



3527

## FCAB UPDATE

*Week of February 23, 2001*

(Last update was dated February 2, 2000)

### MEETING SCHEDULE

**Stewardship Committee Meeting**  
*(combined February/March meeting)*  
Thursday, March 1, 2001, 6:30 p.m.

Services Building Conference Room

**Full FCAB Meeting (date change)**  
Saturday, March 10, 2001, 8:30 a.m.

Services Building Conference Room

**DOE Cleanup Progress Briefing**  
Tuesday, March 13, 2001, 6:30 p.m.

Services Building Conference Room

### ATTACHMENTS

- Draft summary of Stewardship Committee Meeting on January 8, 2001
- Draft summary of Full FCAB Meeting on January 13, 2001
- Agenda for Stewardship Committee Meeting on March 1, 2001
- Draft Agenda for Full FCAB Meeting on March 10, 2001
- Critical Analysis Team Report #19
- DOE Public Participation Policy (public comment period ends April 30, 2001)
- DOE Openness Advisory Panel Report on Community Relations
- Statement by Energy Secretary Abraham to the Senate Armed Service Committee (see bottom of page 2 for comments on Environmental Management and accelerated cleanups).
- Newsclips
  - Congressman Steve Chabot Visits Fernald
  - Fluor Fernald Honored
  - DOE Warned of Budget Cuts for 2002

### NEWS and ANNOUNCEMENTS

- **CHECK YOUR CALENDARS** – We need to reschedule and decide on final dates for FCAB and Stewardship meetings in April and May. When in doubt, please contact the FCAB office during normal business hours before you go. The April full CAB meeting has been tentatively rescheduled to Saturday, April 7 at 8:30 a.m.
- **PUBLIC COMMENT PERIOD** for the DOE Public Participation Policy ends April 30, 2001. Please review the policy and note any comments for discussion at our April meeting.

### FOR FURTHER INFORMATION

Please contact Doug Sarno or Lois Yasutis, Phoenix Environmental Corporation  
Phone: 513-648-6478 or 703-971-0058 Fax: 513-648-3629 or 703-971-0006  
E-Mail: [djsarno@theperspectivesgroup.com](mailto:djsarno@theperspectivesgroup.com) / [lyasutis@theperspectivesgroup.com](mailto:lyasutis@theperspectivesgroup.com)



# MEETING SUMMARY

**Date:** January 8, 2001

**Topics:**

- Weldon Springs Experience
- Native American Update
- Scenarios Planning
- Funding Planning

**Attendees:**

**Fernald Citizens Advisory Board**

Jim Bierer  
Marvin Clawson  
Steve Depoe  
Pam Dunn

**Phoenix Environmental Corp**

Doug Sarno

**U.S. Department of Energy**

Steve McCracken  
Kathleen Nickel  
Gary Stegner  
Ed Skintik

**Ohio Environmental Protection Agency**

Tom Schneider

**Fluor Fernald**

Tisha Patton  
Larry Stebbins  
Jeff Wagner  
Eric Woods

**FRESH**

Edwa Yocum  
Carol Schroer

**FCRO**

Todd Trammel

**Crosby Twp. Historical Society**

Jim Innis



The University of Cincinnati will hold a Regional Communications Conference on April 6-9, 2001, at the Omni Netherland Plaza in Cincinnati, OH. Steve Depoe would like representatives from the Fernald site, the FCAB, and/or the community to participate in a roundtable discussion on stakeholder involvement at Fernald, including activities like the Future of Fernald workshops. The FCAB and Fluor agreed to work with Steve on this event.

Jim Werner has resigned from DOE as part of the transition to a new Administration. His temporary replacement is Dave Geiser. It will be several months before the new Administration's impact on environmental policies can be determined.

A team of experts is looking at technologies for monitoring the disposal facility cap and cover system as part of the Post Closure Stewardship Technology Program. The team has developed a priority list of geomechanical and ecological parameters that need monitoring. On January 25<sup>th</sup>, the team will review and select monitoring technologies. The Stewardship Committee will receive a report on the technologies, and be able to provide input before the deployment of any system(s).

In a comment letter about DOE's draft Long-Term Stewardship Study, OEPA generally favored DOE's recommendations. However, OEPA is concerned that the study does not sufficiently address:

- Developing new institutional controls to replace problematic ones;
- Including LTS considerations in the remedy selection process;
- A "full life cycle cost accounting" of only 70 years;
- Relying only on annual funding by Congress;
- Sustaining re-evaluation methodologies for sites and technologies.

## Weldon Springs, Missouri

Steve McCracken provided an overview of the Weldon Springs site.

Weldon Springs, a site similar to Fernald, is expected to finish clean up and to begin stewardship activities within the next two years. A priority of the citizen's group is to find ways to maintain good post-closure communication with DOE. Post closure stewardship requirements for environmental monitoring, institutional controls, and good communications are set out in CERCLA. DOE has agreed that these requirements will continue in force after closure. The community is developing stewardship plans to ensure that DOE fulfills those requirements.

The Weldon Springs long-term stewardship plan begins with the model created by stakeholders at Oak Ridge and adds its own plans for surveillance, monitoring and institutional controls.

The community also is planning an onsite public "interpretation" center. The center could become a key component for funding under CERCLA. They sought advice from specialists at the Missouri Department of Conservation. The specialists had recommendations on the size of the center, how to incorporate it into the existing site infrastructure (i.e., hiking trails, wildlife refuge), as well as how to draw public attention to the site. Also under consideration is a plan to partner with area schools and/or tourist boards. The Weldon Springs interpretation center could be open for visitation by next summer.

Weldon Springs is struggling to ensure implementation of its stewardship plans by completion of clean up. The lesson for Fernald is to begin stewardship planning early to open avenues for implementation and funding prior to closure. For example, grading land for trails, or an interpretation center, could be funded under the closure contract.

### **Native American Update**

Formal discussion has been initiated with Native American groups to determine their participation interest in the site. It will be several more months before a plan is developed and funding needs realized. One possible funding source may be tribal grants from the Department of the Interior.

### **Stewardship Scenario and Funding Planning**

Over the next two months, the Stewardship Committee will develop a conceptual plan for the restored site. The plan will include criteria for the public use areas, such as the hiking trails. Area park planning specialists in Hamilton County will be invited to participate in future planning sessions. Ann Wickham, the new stewardship contact at the Ohio Field Office, will also be invited and may be able to suggest other helpful contacts.

The Stewardship Committee needs to look at goals that can be implemented and funded prior to completion of the clean up. Goals implemented after closure will need new funding. The committee discussed future funding possibilities, such as the Natural Resource Damage Assessments and community settlements, and Congressional appropriation.

### **Next Meeting**

The next Stewardship Committee meeting will be a combined meeting for February/March. The meeting is scheduled for Thursday, March 1, 2001.



## FULL BOARD MEETING

### Services Building Conference Room

Saturday, January 13, 2001

## MINUTES – DRAFT OF 2/16/01

The Fernald Citizens Advisory Board (the "Board") met from 8:30 a.m. until 12:30 p.m. on Saturday, January 13, 2001, at the Fernald Site Services Building in Hamilton, Ohio. The meeting was reported in the Federal Register and open to the public.

#### Members Present

French Bell  
 Jim Bierer  
 Sandy Butterfield  
 Marvin Clawson  
 Lisa Crawford  
 Lou Doll  
 Pam Dunn  
 Glenn Griffiths (for Steve McCracken)  
 Jane Harper  
 Gene Jablonowski  
 Graham Mitchell  
 Gene Willeke

#### Members Absent

Steve Depoe  
 Mike Keyes  
 Steve McCracken  
 Robert Tabor  
 Fawn Thompson  
 Thomas Wagner

#### Designated Federal Official

Gary Stegner

#### Phoenix Environmental Staff

Douglas Sarno  
 Lois Yasutis

#### Fluor Fernald Staff

Tisha Patton

Also present at the meeting were approximately 15 members of the general public representing Fluor Fernald, Inc. (Fluor), the Department of Energy (DOE), the Critical Analysis Team (CAT), the Greater Cincinnati Occupational Health Center, and the local community.

## 1. Call to Order

Jim Bierer called the meeting to order at 8:30 a.m.

## 2. Chair's Remarks and Ex-Officio Announcements

The University of Cincinnati will hold a Regional Communications Conference on April 6-9, 2001, at the Omni Netherland Plaza in Cincinnati, OH. Steve Depoe asked for representatives from Fluor, the Board, and/or the community at large to participate in a roundtable discussion about Fernald and its stakeholder involvement. Interested persons should contact Jim Bierer or Steve Depoe as soon as possible.

As part of the transition to a new Administration, political appointee, Jim Werner, has resigned from DOE. His temporary replacement is David Geiser. DOE Assistant Secretary for Environmental Management, Carolyn Huntoon, is not an appointee and may be a continuing presence. It will be several months before the new Administration's impact on environmental policies can be determined.

The Board asked that its representatives from the United States Environmental Protection Agency (EPA), the Ohio Environmental Protection Agency (OEPA), and DOE facilitate some response to their concerns on the cancellation of the Fernald Health Effects Subcommittee (FHES). Past inquiries to DOE and the Centers for Disease Control (CDC) in Atlanta, who is responsible for FHES oversight, have gone unanswered. The Board will send another letter to the CDC requesting the status of the FHES.

On January 23<sup>rd</sup>, representatives from DOE and contractors at the Portsmouth Site will tour the Fernald facility to discuss experience with the On Site Disposal Facility (OSDF). There is poor stakeholder involvement at Portsmouth, and personnel from the site may seek guidance from the Board.

The EPA has raised the standard of allowable uranium in water from 20 parts per billion (ppb) to 30 ppb. Dennis Carr, Fluor Fernald Executive Project Director, explained that 20 ppb was the standard used to measure: (1) discharge into the Great Miami River, (2) clean up of the Great Miami Aquifer, (3) clean up of ground water on site, especially under buildings, and (4) waste acceptance at the OSDF. It is not clear whether the change in standard would necessitate a ROD amendment, and DOE and EPA will follow up with the Board on that subject. Fluor has had internal discussions about the raised standard, and will keep the Board advised of any impact on water or soil remediation.

The Board will send a follow up letter to Rep. Portman and Sen. DeWine requesting that they continue to ensure appropriate support of Fernald issues in the new Administration.

The Board asked DOE to comment on a report from the Defense Nuclear Facilities Safety Board (DNFSB) setting out inadequacies in the FEMP Fire Protection Program,

specifically within the Tension Support Structures used to store radioactive waste. In DOE's opinion the issue is a relatively minor "paperwork" problem for DOE to resolve with DNFSB, not an actual "safety" problem. DOE has asked Fluor to prepare its response by March 5.

### **3. Upcoming Site Specific Advisory Board (SSAB) Chairs Meeting in Las Vegas**

The next SSAB Chairs meeting will be February 7-10, 2001, in Las Vegas. They will review the results of the October Stewardship Workshop and discuss topics and plans for the next workshop. Jim Bierer hopes to initiate discussion on the possible effects of the new Administration on functions of the SSABs.

### **4. Discussion on New Contract and Rebaselining Scenarios**

Under the new 10 year closure contract, Fluor must provide a new, revised baseline to DOE by June 1, 2001. Dennis Carr, Executive Project Director for Fluor, explained the tasks involved with the rebaselining. The baseline includes approximately 13,000 activities. To rebaseline, Fluor looks at the sequencing and scheduling details of all activities, and performs a full resource analysis on each activity. The proposed baseline is compared against available funding and adjusted as necessary. The final baseline is subject to review by DOE and an independent validation. The contract defines funding at a flat \$290 million per year with no increases for escalation, as opposed to higher funding in the upfront years that decreases as the contract proceeds. Flat funding will make it very difficult to continue with all activities at their current levels. Using all the available information, Fluor is developing a number of scenarios to explore the most efficient way of proceeding. The three top scenarios currently under consideration are:

- Proceed at current levels, prioritizing critical projects and allocating remaining funding across all remaining projects. For example, under this scenario, K-65 Silos would be prioritized as critical, while the pace of waste management projects would be reduced;
- Proceed fully on certain projects and slow down or stop others. For example, concentrate efforts on K-65 Silos, waste pits and waste management, delay up to four years on OSDF and soil excavation, and delay up to three years on Decontamination and Dismantlement (D&D); and
- Supplement available funding with commercial funding to accelerate the execution of projects, especially in the upfront years of the contract. For example, bring in outside funding to execute D&D at an accelerated pace while delaying soil remediation until D&D allows access to the contaminated soil under the buildings.

Dennis will work with Doug Sarno to prepare the three scenarios in a format that Board members can look at and evaluate. Fluor needs the Board's input within the next month. The Board will meet on Monday, February 5, 2001, 6:00 p.m., for the sole purpose of reviewing and discussing the scenarios. The Board's review will be centered on, but not limited to, the following criteria:

- Schedule of key activities by Operable Unit (OU);
- Annual and total costs;
- Labor needs over time to include number and classes of employees and costs;
- Environmental impacts;
- Risk issues;
- Milestone impacts;
- Regulatory reaction;
- Impacts on Consent Agreement;
- Costs and other impacts associated with stopping and restarting a project, particularly capping of the OSDF;
- Feasibility;
- Input from onsite workers;
- Funding impacts.

## 5. Silos Update and Discussion

In a revision to its charter that fulfills DOE requirements for independent reviewers, the Critical Analysis Team (CAT) will report directly to DOE. CAT team reports will continue to be sent to everyone who regularly received them in the past.

Bob Fellman, Project Manager, Silos and Accelerated Waste Retrieval (AWR) Projects, explained the regulatory, construction, and design planning processes for the Silos Project.

Last summer, Fluor sent to EPA the remedial design plan on the Accelerated Waste Retrieval (AWR) for review and comment. After revisions, based on comments from EPA and the CAT, Fluor submitted its finalized plan in January and expects EPA approval this month. In early March, Fluor will submit a remedial action workplan covering operation of the Radon Control System (RCS). At some date, which is still undetermined, Fluor will submit a remedial action workplan for the actual transfer of waste to temporary storage tanks for delivery for remediation.

Construction and design on technical equipment to remove waste from the silos (known as EMMA) is about 75% complete, but Fluor is continuing to look at safety issues in the design and deployment of EMMA's robotic arm. The RCS design is complete and some of the system's features are already in place onsite. The balance of the design planning for the Silos Project is underway.

Construction work is approximately 22% complete. At the storage tank area, tank pads and foundations for each of the transfer storage tanks are poured and construction has started on the walls. At the RCS, the foundation and walls are up for the air handling building, and a generator is installed. All of the foundation work is done at the equipment and stack areas.

Fluor Fernald and Foster Wheeler, the construction subcontractor on the Silos Project, continue to try to iron out contractual issues, which may affect scheduling.

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During November and December, Fluor and Rocky Mountain Remediation Services (RMRS) agreed to a termination of services by RMRS on Silo 3, and all design documentation was turned over to Fluor. As of January 8, 2001, RMRS is officially terminated as the Silo 3 subcontractor. Fluor is currently considering its options for Silo 3 and hopes to complete a new plan for implementation by April.

The CAT has reviewed the AWR design documents and found them to be adequate. They also looked at what went wrong on the Silos Project, possible remedies, and how to ensure the same problems don't recur at the silos or elsewhere on site. The problems were both technical and managerial. The CAT's detailed report on AWR and the Silos Project will be distributed in the near future.

Board members expressed the opinion that even though the Silos Project contains complex technical and risk management issues, the problems need to be brought under control and a definitive action plan put in place, especially under the flat funding constraints of the new contract.

## **6. Stewardship Plans for 2001**

Activities for future use of the restored site include a system of hiking trails, Native American reinterments, and an onsite information center. Over the next couple of years the Stewardship Committee will be exploring and planning stewardship of these activities, including post remediation monitoring and reporting, institutional controls, information and records management, natural resources management, funding, and identification of responsible parties.

In February/March 2001, the Stewardship Committee will concentrate on developing a conceptual plan for the hiking/biking trails that will include educational markers on historical and environmental aspects of the site. The conceptual plan for a trail system will aid the Natural Resources Trustees in their work.

## **7. New Member Recruitment**

Mike Keyes has indicated that he will resign from the Board. There have been no definite responses to Board member recruitment actions. The Board will continue to look at new member possibilities to include recruiting members from local colleges and high schools.

**8. Public Comment**

Jim Bierer opened the floor to public comment. There was none.

**9. Adjournment**

Jim Bierer adjourned the meeting at 12:30 p.m.

I certify that these minutes are an accurate account of the January 13, 2001, meeting of the Fernald Citizens Advisory Board.

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James Bierer, Chair Fernald Citizens Advisory Board	Date
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Gary Stegner, Public Affairs Officer U.S. Department of Energy Deputy Designated Federal Official	Date
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# STEWARDSHIP COMMITTEE MEETING

Services Building Conference Room

Thursday, March 1, 2001

## AGENDA

- |                |   |
|----------------|---|
| 6:30 p.m.      | Call to Order   |
| 6:30–6:45 p.m. | Remarks and Announcements                               |
| 6:45–7:15 p.m. | Natural Resource Trustee Issues Related to Rebaselining |
| 7:15–7:30 p.m. | Native American Reinterments                            |
| 7:30–8:30 p.m. | Conceptual Plans and Criteria for Trails                |
| 8:30–8:45 p.m. | Public Comment  |
| 8:45 p.m.      | Adjourn   |
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**FULL BOARD MEETING**  
**Services Building Conference Room**

**Saturday, March 10, 2001**

**DRAFT AGENDA**

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|------------------|--|
| 8:00 a.m.        | Continental Breakfast                                    |
| 8:30 a.m.        | Call to Order  |
| 8:30–8:45 a.m.   | Chair's Remarks and Ex Officio Announcements             |
| 8:45–9:15 a.m.   | Update on Silos Project                                  |
| 9:15–10:30 a.m.  | Discussion and Recommendations on Rebaselining Scenarios |
| 10:30–10:45 a.m. | Break  |
| 10:45–11:45 a.m. | Discussion and Recommendations on Rebaselining Scenarios |
| 11:45–12:00 p.m. | Public Comment   |
| 12:00 p.m.       | Adjourn and Lunch  |
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# Memorandum

**Date:** February 16, 2001  
**To:** FCAB Members  
**From:** Doug Sarno  
**RE:** Summary of Critical Analysis Team Report #19

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Recently, we asked to be provided copies of all CAT reports. We will provide a summary of these reports for your use.

In Report #19, the CAT reviewed final design documentation for Accelerated Waste Retrieval. While the CAT found the documentation to be adequate, the report points out that some of the design analyses and predictions for equipment reliability and maintenance are overly optimistic given the complexity of the project and harsh conditions. This is especially true with regards to EMMA and its robotic arm. (Pages 1-4)

Much of the report is focused on the many concerns about the EMMA system. The CAT reiterated its call for an alternative to EMMA and plans to pursue these concerns during meetings in March. (63 EMMA-specific questions are posed on pages 6-8.)

The CAT also expressed concern over the AWR contract in light of Silo 3 and makes two formal recommendations towards better handling of management issues. (Page 5)

- 19-1: Fluor Fernald and DOE should investigate alternative contracting mechanisms to ensure the AWR project will move forward effectively and efficiently; and
- 19-2: Fluor Fernald should aggressively pursue the planned meeting with Foster Wheeler to identify, discuss and resolve issues pertaining to EMMA's cost, operability, reliability and maintainability.

**Critical Analysis Team Report**  
**on**  
**Accelerated Waste Retrieval Final Design**  
**and Fixed Price Contracting**

**CAT Report #19**

**30 January 2001**

The CAT has conducted a brief review of the following Accelerated Waste Retrieval (AWR) documentation: Systems Design Descriptions; Reliability, Availability, and Maintainability Analysis; Final Design Report; and Failure Modes and Effects Analysis. The CAT understands that these documents represent the final design for AWR.

The CAT does not intend to issue a lengthy set of detailed comments at this time. In general, the design documentation provided by Foster Wheeler is adequate. Although the CAT has multiple comments on the documentation, we do not recommend Foster Wheeler spend a great deal of time and effort on reworking the documentation.

**Failure Modes and Effects (FMEA) and Reliability, Availability and Maintainability (RAM) Analyses Comments.**

In general, the FMEA and RAM analysis are useful in developing an understanding and resolving process issues. However, quantitative/mathematical analyses (e.g. 98% availability of a particular component) are not bounded by practical experience. As a result, these quantitative analyses are not particularly useful or meaningful. Following are more specific comments on this issue:

1. RAM, Page 5: Using "library component failure rates" probably will not be applicable to AWR because of operations in a humid, radioactive, corrosive, and erosive environment. In addition, quantitative RAM analysis are not particularly useful for the reasons indicated below.
2. RAM, Page 7: The CAT is unclear how the administrative and equipment replacement times were predicted. In general, the replacement times appear extremely optimistic. These time periods are generally many times higher for DOE than for commercial industry due to administrative oversight, approval procedures and personnel requirements—in short, replacement activities at a DOE site take place in a zero-risk environment.
3. RAM, Page 10: Two different methods are used to calculate failure rates and identify failure prone components. The two methods identify different failure-prone components. The CAT is unclear as to which results Foster Wheeler has chosen to use and why.
4. RAM, Page 10: Applying "engineering insight" to determine failure rates and identify failure prone components is subjective and probably not reliable or defensible. If this

method is used, personnel experienced in DOE projects (preferably, Fernald projects) should be consulted and such consultation should be documented.

5. If an EMMA failure occurs, how long will be required to extract EMMA from the silo and then reinsert EMMA into the silo?
6. RAM, Page 11,13: The availability factors for EMMA are unrealistically optimistic. Given the one-of-a-kind, relatively complex design and application of EMMA, it is unlikely that the assumed availability factors will be achieved. Analytical studies are generally optimistic. This is especially true in EMMA's case since all of EMMA's systems are not included in the analysis, limited operations experience exists for EMMA, and the assumption is made that repairs can be performed outside normal operating times.
7. RAM, Page 14: The assumption that the EMMA mast will not fail is risky given the stated importance of this item. With the size, weight, design, and movement of the mast, a failure of some sort is likely.
8. RAM, Page 14: The FMEA and RAM analyses appear to rely heavily upon preventive and predictive maintenance. The CAT is uncertain how preventive and predictive maintenance can be translated into failure rate calculations, as well as how such maintenance reduces failure rates.
9. RAM, Page 15: The RAM analysis refers to an EMMA support system as having "failure modes that are undetectable." The RAM analysis (or FMEA) should have an analysis of the consequences of an undetected failure for these components.
10. RAM, Page 15: Manufacturers' data is utilized to justify the assumption that components will not fail within the forecast life of the project. Manufacturers' data may not be accurate or applicable to AWR situations. Data based on actual experience with, or use of, the components would be more reliable. In addition, the RAM analysis should at least fully consider the consequences if components fail despite the estimated low probability of failure.
11. RAM, Page 15: The RAM analysis states that the, "Ultrafiltration system on-stream time may be enhanced with additional maintenance during normal facility shutdowns." How would such enhancement be accomplished and what are the additional maintenance requirements? This appears to be a case in which the text is glossing over potential problems.
12. RAM, Page 17: It appears that the mean time to failure and repair calculations are extremely optimistic. Actual experience will likely result in showing equipment failures much sooner than predicted. Repair activities will likely require much more time than the analysis estimates.
13. The CAT is uncertain how human error has been factored into the RAM and FMEA analyses. Human error may likely be the most frequent cause of remote equipment failures and should be more fully analyzed.

### **Other Design Comments**

1. The CAT review identified multiple areas where the systems design descriptions are inconsistent with the design (P&IDs). This may reflect a lack of adequate squad checking prior to release of the documents.

2. The FMEA analysis refers to jet pumps needing specific attention to water quality in order to prevent erosion/corrosion. The CAT agrees with this concern. In addition, jet pump erosion/corrosion will be trivial in comparison with the erosion/corrosion potential in the high pressure piston pumps. There is no indication that Foster Wheeler has taken any action to study and, if necessary, resolve this issue.
3. It appears likely that lifting or lowering EMMA, the sluicing nozzle, or the slurry pump within the tower will be classified as critical lifts. Fernald site procedures indicate that critical lifts require three people (person in charge, rigging representative, and experienced operator). Because of this, Foster Wheeler should consider analyzing these lifts.
4. The CAT cautions Fluor Fernald to ensure that its final design review is comprehensive and organized to produce a timely, complete review to Foster Wheeler.

The use of the slurry line cleanout to unplug a slurry line is briefly described in the system descriptions. However, it is not sufficiently detailed and the design does not demonstrate adequate containment and protection of personnel and the environment. As is noted below, The CAT has previously recommended a mockup and demonstration of the equipment and procedures to unplug a slurry line. In addition, such mockup and testing will be useful for training.

In addition to the above comments, the CAT offers the following comments based on previous CAT input concerning bentonite and ultrafiltration issues:

*...the CAT was hopeful that the (bentonite settling) tests would also include a piping loop to determine the pumping characteristics of the bentonite and understand the process control of the slurry system. Currently, the test plan does not include such a loop.*

*The CAT has not seen a test plan for the ultrafiltration process. Because of the importance of ultrafiltration in providing clean flush water, the CAT recommends that testing to confirm filtration performance be completed.*

*Recommendation 14-2: FDF should complete (or have FW complete) a pump test loop to determine the characteristics of bentonite in the slurry system as well as the ultrafiltration performance. (CAT Report #14, 28 February 2000).*

In the latest documentation, it does not appear that the bentonite issues have been resolved. The previously recommended testing is still needed.

Because EMMA is being used primarily for heel removal, wall washing and fixative application activities, the CAT made the following recommendation in 1999:

*An approach that eliminates EMMA would have the potential to reduce risks, reduce costs, and increase reliability. The Foster Wheeler Value Engineering Study (Document 624-P622-43; recommendation SWRS-2-8) recommended considering other technologies for heel removal. The CAT recommends that, concurrent with definitive design work, a value engineering study be conducted to determine a more practical heel and discrete object removal approach that does not require EMMA and the EDT (CAT Report Number 13,17 November 1999).*

The CAT has also been concerned about wastewater management. Below are past comments of the CAT which remain valid:

*Cation concentrations should be included on the Process Flow Mass Balance to better understand potential water treatment needs. Because cations are not currently included in the mass balance, it cannot be determined whether the effluent will meet AWWT requirements.*

*It is not clear that Foster Wheeler had adequately considered secondary waste issues. The bentonite stream and the AWWT are examples.*

*The CAT remains concerned about assumptions in the silos project concerning AWWT. If AWWT and its requirements are not given full consideration, it could quickly become a constraining factor in AWR or Silos 1 and 2 treatment (CAT Report Number 13,17 November 1999).*

The CAT has raised concerns in the past about the operational aspects of EMMA. It does not appear that the RAM analysis nor the Failure Modes and Effects Analysis sufficiently address CAT concerns. Following are the two important needs that the FMEA does not address sufficiently:

*A comprehensive analysis of potential in-tank accidents and recovery needs to be completed. This is particularly important given the technical risks associated with EMMA. Consideration should include retrieval of a damaged and/or immobilized EMMA.*

*Time and motion studies need to be completed for worker activities in the EDT. The RAM analysis that is going to be complete must be 'hands-on' oriented, not analytical. This RAM should also be realistic about how much a worker can*

*accomplish in a given time period under these working conditions (CAT Report Number 13,17 November 1999).*

Lastly, the analyses do not adequately consider off-normal events. These are important as many projects have failed due to inadequate planning in this area.

### **Fixed Price Contracting Issues for both AWR and Silo 3**

The CAT is concerned with the extent of Fluor's review and approval ("sign and stamp") process for the AWR contract. The CAT cautions Fluor Fernald to ensure that it does not take *de facto* ownership of the design through its review process.

The failure of the Silo 3 contract provides learning opportunities for the AWR project. Apparently, one of the prime concerns of the Silo 3 contractor was the requirement to use Fluor Fernald's workforce for project labor under the fixed-price contract. AWR is vulnerable to a similar contractor concern. To ensure that the labor requirement does not result in inordinate claims, Fluor Fernald and DOE should investigate alternative contracting mechanisms to establish and maintain an effective, efficient project.

The resolution of the Silo 3 contract dispute and Fluor's new Fernald site contract provide Fluor with new opportunities to better control, manage and perform work. However, Fluor and DOE should understand that the advantages of these recent changes are balanced by distinct disadvantages. Some of these disadvantages include:

1. The Site contract is fixed price, and any changes to the agreed upon scope baseline must be negotiated between Fluor and DOE. All future actions and activities will be bound by the agreed upon and documented scope, schedule and cost baselines.
2. Self performance of silos activities places more responsibility upon Fluor in the area of project management practices and principles. Tracking, managing and reporting activities that were previously the responsibility of a subcontractor become Fluor's responsibilities. As a result, different skills are required as well as added attention to baselines and performance.
3. Fluor Fernald and DOE must develop a more businesslike relationship. Out of scope work requests must be discussed, understood, negotiated, approved and implemented through a contract modification.

### **Recommendations**

**Recommendation 19-1:** Fluor Fernald and DOE should investigate alternative contracting mechanisms to ensure the AWR project will move forward effectively and efficiently.

**Recommendation 19-2:** Fluor Fernald should aggressively pursue the planned meeting with Foster Wheeler to identify, discuss and resolve issues pertaining to EMMA's cost, operability, reliability, and maintainability.

## Appendix 1, CAT Report #19

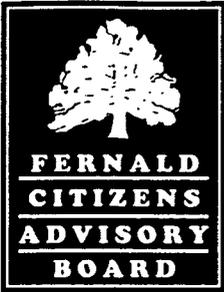
### Additional EMMA Issues

Over the last two years, the CAT has developed a long list of concerns with the EMMA system (see CAT Reports #13 and #14). The following list adds to these concerns and questions based on the systems design description document. These questions and concerns should not be considered as formal comments on the AWR final design documentation. Rather, they represent areas of interest the CAT would like to pursue during the Grey Pilgrim tour and the EMMA Technical Transfer meeting in March.

1. Is EMMA capable of deploying sluicing/retrieval equipment: flexibility, degrees of freedom; required angles of operation; and particle, spray and mist environment?
2. The ability of EMMA to force waste and debris away from the sluicing pump is questionable (systems design description, page 1). Can the water jet be accurately aimed so that the arm, end effector, pump, discharge pipe, hoses, instruments, leads are free of risk?
3. How many simultaneous tasks can EMMA perform?
4. Is there a procedure for clearing the wall-mounted sampling ports?
5. How does EMMA perform some of the indicated tasks without hand, fingers, clean water supply, air supply, wipe technique?
6. What is the relationship between the arm, end effector(s), movement, capacity, capability?
7. Will the fixative have any impact on any components of EMMA, e.g., sticky, gummy?
8. How is the GEES attached to the arm and remain attached?
9. Many of EMMA's operations are going to require excellent visibility. How will this be assured and/or achieved?
10. How much time does Foster Wheeler visualize for training remote operators?
11. How many EMMA's and associated support devices have been built and deployed in similar operating conditions? What were the results?
12. What is the distance from EMMA's entry port to the corners of the silo?
13. Two degrees of freedom provide limited capability to rotate, touch, and move in and out.
14. EMMA has very little dexterity.
15. How does the EMMA operator and the cannon operator communicate in real time?
16. Will there be separate operators for EMMA, water cannon, pump, utilities, HVAC, and product transfer system?
17. Is the 1,000 hours before failure based on experience, vendor information or mathematics?
18. Has a time and motion study been completed to evaluate time to repair failures? Including the number and types of personnel required, tools and materials required, and radiation exposures.
19. How were personnel fatigue factors included in EMMA operating projections? Have there been any communications with FF operations or maintenance personnel?

20. What is the anticipated retrieval non-operating period per day? Can EMMA function with a failure until a non-operating period occurs?
21. What training is going to be provided to FF operators and maintenance personnel? How realistic will the training be? Will TV be involved?
22. Between the local control station and the remote station, which has control and how is this determined/verified?
23. What type of sensors are being provided, and how do they work? Accuracy, lifetime, operating experience in the silo environment, replacement, repair?
24. How large is the designated safety space by the wall?
25. What are the additional safety systems and what do they do? Basis of operation, operator requirements, arm restrictions/limitations, lifetime of each additional safety system?
26. What is the effect on temperature of the in-tower lights? It will be an enclosed space with added restrictions. In an emergency situation, how will a person be evacuated from the tower? What if the person is hurt or disabled? What does PG 3 mean? Have the FF operations and maintenance personnel reviewed the tower design?
27. What would a lightning strike do to people, instrumentation, equipment, process systems (especially HVAC) that are located in the tower at the time of the strike?
28. What does PG 4 mean?
29. How do the elastomer couplings withstand grit, wear, radiation? Where are these couplings located and how are they repaired or replaced?
30. How are the EMMA cables protected from wear, especially that which may result from grit?
31. How is a cable replaced; how long does it take; how many and what type of personnel; tools; and equipment are required? What is the weight and length of the longest cable?
32. What is the weight and length (dimensions) of the largest components of EMMA? Has a time and motion study been performed to assure the largest items can be easily and quickly removed from the tower? Have removal paths been identified? Storage, transportation, and removal areas must be defined.
33. How does an average, older, smoking worker get to the top of the tower without collapsing, not even considering doing some work and then getting down?
34. What will the ability of women to work on EMMA, especially inside the tower?
35. Is claustrophobia going to be a problem in the tower?
36. What is the process and possible hazards of folding floors that are raised and lowered with hand winches?
37. What is the process for changing control stations; how is the controlling station indicated; how is inadvertent transfer of control avoided?
38. Have any tests been done with the protective shield of its ability to withstand washing and spraying?
39. How is control system hardware and software access controlled? Is the remote software under change control? Who has the authority over the software and what is the process for altering software?
40. What does "remote sensing" mean?
41. How are the in-silo detectors accessed for maintenance, changeout?

42. The air flow is 250 cubic feet per minute for the tower, the sluicer module, and the slurry module. This will result in very low—basically stagnant—airflow through the tower. This air flow will not meet radioactive area air flow requirements.
43. Is the EMMA winch in the top of the tower a single failure point?
44. Do the various winches have inching capability?
45. In case of cable failure, is there a fail safe breaking system to prevent dropping a load?
46. Where are the controls for the Z-drive and the maintenance crane? If they are at the base of the tower, will the operator be able to see the crane from the control point?
47. Are all controls capable of being locked out?
48. Is the tower air flow sufficient to maintain working temperatures in winter and summer?
49. When EMMA is extracted will there need to be a person (monitor) at each floor in the tower?
50. What is a "ladder safety climb"?
51. How does a maintenance person pull a 90 foot long breathing air up the 90 foot tower?
52. Can maintenance or operations personnel be on the entry floor of the tower when others are working overhead?
53. How many individual cables are there associated with EMMA, the tower, winches?
54. What is the pressure of the hydraulic fluid when that system is in operation? Is this a safety issue?
55. If the actuation package is 8 ft in diameter and the tower 12 ft in diameter, the maximum clear space is a 2 ft annulus.
56. What is required to replace the support bearings?
57. What is the "other special tooling"?
58. What is the weight of the GEES and the ADSS?
59. Will there be any problem with material galling?
60. How are the hatches attached; captive nuts and bolts?
61. The elastomer couplings need to be tested under field conditions and under a 200 pound load.
62. Can all connects and disconnects be done remotely? If not, how are the end effectors changed?
63. If pinching occurs, doesn't that limit the ability to bend segments?



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# Memorandum

**Date:** February 23, 2001  
**To:** Fernald Citizens Advisory Board  
**From:** Doug Sarno  
**RE:** DOE Public Participation Policy

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Attached is the draft of DOE's Public Participation Policy. The public comment period ends April 30, 2001. Please review this policy and note any comments for discussion at our April meeting.

In summary, DOE acknowledges that public participation is at the core of good community relations and strives to ensure that they are integral and effective parts of all DOE activities. In conjunction with stakeholders, each site will develop and implement a program that promotes openness and two-way communication to meet program, site, and stakeholder needs. Under the policy, DOE will actively seek, consider, and incorporate or otherwise respond in a timely manner to the views of its stakeholders, thereby providing them an opportunity to influence decisions. The policy identifies both goals and core values, and places accountability at the senior staff level to ensure that public participation is implemented.

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U.S. Department of Energy  
Washington, D.C.

POLICY

DOE P 141.A  
~~1210.1~~

Approved: XX-XX-01  
Sunset Review: XX-XX-03  
Expires: XX-XX-05

**SUBJECT: PUBLIC PARTICIPATION and COMMUNITY RELATIONS**

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**PURPOSE**

Public participation is open, ongoing, two-way communication, both formal and informal, between the Department of Energy (DOE) and its stakeholders concerning DOE's missions and activities. Effective public participation is at the core of good community relations, which are essential for DOE facilities to achieve their missions. Regular, interactive communication enables all parties to learn about and better understand the views and positions of the other.

The Department recognizes the many benefits to be derived from public participation and good community relations, for both stakeholders and DOE. Public participation provides a means for DOE to gather the most diverse collection of opinions, perspectives, and values from the broadest spectrum of the public, enabling the Department to make better decisions. Public participation benefits stakeholders by creating an opportunity to provide input and influence decisions that affect their communities and our nation.

This Policy is intended to ensure that public participation and community outreach are integral and effective parts of DOE activities and that decisions are made with the benefit of important public perspectives. This policy provides a mechanism for bringing a broad range of stakeholder viewpoints and community values into DOE's decision-making early in the process. This early involvement enables DOE to make more informed decisions, improve the quality of decisions through collaborative efforts, and build mutual understanding and trust between DOE, the public it serves, and the communities which host its facilities.

**SCOPE**

This policy is designed to function as a framework within which all DOE programs, including programs of the National Nuclear Security Administration, will operate. While it applies to all levels of DOE, its intent is development and implementation of effective public participation programs at each site. In conjunction with its stakeholders and field manager, each site will develop and implement a public participation program that promotes openness and two-way communication and is tailored to meet specific program or staff office, site, and stakeholder needs; this will include performance goals for community relations. This policy is not intended to affect requirements imposed by law, regulation, or contractual agreement; neither does it expand or limit any rights available to the public under current law.

## **POLICY**

Public participation is a fundamental component in program operations, planning activities, and decision-making within DOE. The public is entitled to participate in DOE decision-making processes, and the Department encourages such participation. Effective public participation and good community relations both rest on a foundation of positive personal relationships; DOE managers and staff will seek to build and nurture such relationships.

The methods used to encourage public participation will vary widely in nature and scope and may include, but are not limited to, informal conversations, electronic communication, scheduled meetings and workshops, legally required hearings, and Federal-State-local-Tribal meetings. Under this Policy, DOE will actively seek, consider, and incorporate or otherwise respond in a timely manner to the views of its stakeholders, thereby providing them an opportunity to influence decisions. Stakeholders are defined as those individuals, groups, host communities, and other entities in the public and private sectors that are interested in or affected by any of DOE's activities and decisions.

## **GOALS**

The goals of the DOE Public Participation and Community Relations Policy are as follows:

1. DOE will actively seek to identify stakeholders, consider public input, and incorporate or otherwise respond to the views of its stakeholders in making its decisions.
2. The public will be informed in a timely manner about and empowered to participate in DOE's decision-making processes. Such processes will be open, understandable, and consistently followed. Managers will define clear access points for public input from the earliest stages of a decision process and will provide adequate time for stakeholders to participate.
3. Credible, effective public participation processes, including active community outreach, will be consistently incorporated into DOE program operations, planning activities, and decision-making processes, at Headquarters and in the field. Federal and contractor employees will share responsibility for promoting and improving public participation and community relations.
4. DOE will conduct periodic reviews of its public participation and community relations efforts.

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**CORE VALUES**

Though program-specific public participation activities may vary throughout DOE, each program will be characterized by the following core values:

- Accessibility Known avenues to DOE managers who are available, approachable, and open to the public.
- Accountability Responsibility to the public for its decisions and a willingness to provide the rationale for its decisions.
- Accuracy Commitment to the truth.
- Communication Open, two-way exchange of information, knowledge, and perspectives between DOE and its stakeholders, including its host communities.
- Consistency Stakeholder and community interactions marked by regularity and continuity.
- Fairness Objectivity and freedom from undue favor toward any side.
- Honesty Commitment to fairness, trustworthiness, and straightforwardness.
- Innovation Introduction of new ideas, methods, and approaches.
- Openness Ready accessibility and a willingness to listen to, consider, and respond to the views of stakeholders.
- Peer Review Reexamination of key issues and decisions by internal and external peers.
- Respect Consideration and sensitivity to diversity and cultural concerns of stakeholders.
- Responsiveness Timely and thoughtful consideration of and response to the needs and concerns of stakeholders and affected communities.
- Scientific  
Credibility Commitment to the pursuit of sound, dependable, leading edge science.
- Sincerity Openness, frankness, and truthfulness in all stakeholder and community communications.
- Time/  
Timeliness Adequate amount of time for stakeholders to participate in DOE decision-making processes. Timely responses to stakeholder input and requests. Timely DOE decisions informed but not delayed by public participation.

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**ACCOUNTABILITY**

Senior Departmental, program or staff office, and field managers are accountable for ensuring that public participation and community relations activities meet the goals of this Policy, are fully coordinated, and reflect DOE principles and values. Program or staff office and project managers are responsible for ensuring that appropriate public participation and community relations activities are identified and included in their decision-making processes.

Public participation is a performance element for these managers; they will be given incentives for good stakeholder and community relations and held to measurable performance standards.

BY ORDER OF THE SECRETARY OF ENERGY:

s/T.J. GLAUTHIER  
Deputy Secretary  
1/19/01

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# Memorandum

**Date:** February 23, 2001  
**To:** Fernald Citizens Advisory Board  
**From:** Doug Sarno  
**RE:** Relations Between DOE Facilities and Their Host Communities: A Pilot Review

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Last fall, a DOE Openness Advisory Panel visited Fernald, as well as two other DOE sites, as part of its review of community relations between DOE facilities and the surrounding communities. Fernald was selected because it is widely recognized as an example of good community relations. The panel recently released the attached report.

The following findings were reported:

1. Good community relations are essential for DOE facilities to achieve their missions;
2. Each site must tailor community relations programs to its own circumstances;
3. DOE must recognize and address its legacy of public distrust;
4. Communications must be full, open, timely, and two-way;
5. Person-to-person contacts are crucial for good community relations;
6. A constructive attitude towards community relations is critical to success;
7. Management at all levels must be accountable;
8. Community relations requires a clear and unambiguous organizational focus;
9. Community relations must be an integral part of DOE's operations; and
10. DOE facilities should seek ways to make their resources useful to the surrounding community.

The report also makes the following recommendations to the Secretary of Energy:

1. Establish a policy emphasizing effective, progressive community relations as a DOE priority;
2. Require monthly community relations reports from field managers;
3. Establish incentives for good community relations, such as job performance criteria and contract awards.
4. Develop an organizational focal point at DOE-HQ for community relations;
5. Each site should develop its own community relations approach; and
6. Conduct independent periodic reviews of community relations at DOE sites.

*Relations between DOE Facilities and their Host Communities:  
A Pilot Review*

## **Executive Summary**

This report is about how the Department of Energy (DOE) can improve its relationships with the communities in which its facilities are located. In March 2000, Secretary Richardson asked the Openness Advisory Panel (OAP) of the Secretary of Energy Advisory Board to review and assess DOE's relationships with the communities surrounding its laboratories and facilities and to provide an independent assessment of how DOE is perceived as a neighbor, what it is doing well, and what it could do better. As a first step, the OAP conducted a pilot review at several sites representative of DOE's varied missions and provide a basis for developing a more extensive review process. The selected sites were Lawrence Berkeley National Laboratory, a multi-purpose science laboratory; Lawrence Livermore National Laboratory, an active defense laboratory; and the Fernald Plant, a former defense site now being cleaned up and shut down, and a widely recognized example of good community relations.

The review consisted of two-day visits and meetings with individuals or small groups representing a cross section of interests and views. These included state and local regulatory authorities, elected officials, public service providers (e.g. police and fire officials), business leaders, union leaders, educators, public interest groups, DOE or site advisory boards, contractors, and DOE site and operations office personnel. The visits were conducted by a site review team consisting of four OAP members. A total of more than 100 individuals at the three sites were interviewed during the course of the pilot review. The following conclusions and recommendations are based on the observations of the OAP site review team that visited the three sites and subsequent discussions with other OAP members.

## **Summary Of Findings**

1. *Good community relations are essential for DOE facilities to achieve their missions.* Neglecting constructive relations and dialog with the communities in which DOE facilities are located can lead to conflicts that divert management attention and resources from achieving DOE's missions and can place DOE at a disadvantage in the competition for skilled employees and community support.
2. *Each site must tailor community relations programs to its own circumstances, consistent with Departmental policy.* Rather than prescribing specific practices, it is preferable to set performance goals for community relations and let each site determine how best to achieve them. Lessons from past community relations failures at some DOE facilities, sometimes leading to acrimonious litigation, must be understood and applied elsewhere so that other facilities do not repeat the same mistakes.
3. *DOE must recognize and address its legacy of public distrust.* Trust in the DOE and its predecessor agencies has been eroded by past actions and community experiences with DOE facilities. This legacy of distrust places extra burdens on DOE and contractor personnel who bear no responsibility for past actions, but who must nonetheless deal with the legacy.

4. *Communication must be full, open, timely, and two-way.* Each site must provide complete and timely information to the community. Failure to provide full and complete information causes distrust. Information concerning public health, safety, and the environment must be made readily available. Good community relations involves listening to the concerns of the community, not simply "getting the message out."
5. *Person-to-person contacts are crucial for good community relations.* Successful community relations requires building positive personal relationships with key individuals and groups in the community. An important contributor to success is relationships with stakeholders developed by employees at all levels of the organization, not just at the top.
6. *A constructive attitude towards community relations is critical to success.* DOE and the contractor must approach community relations with the understanding that the site is part of the local community, not a federal enclave on foreign territory. Facility management must be willing to consider the impacts of their choices on the state of relations with the surrounding community, and to take those impacts into account in making decisions. New approaches conducive to good community relations will likely require changes in some traditional and firmly held views within facilities.
7. *Management at all levels must be accountable for good community relations.* Management at all levels of DOE and site contractor organizations must be actively and visibly engaged with the community and must strongly support community relations efforts throughout the organization. Incentives for good community relations should be established for senior DOE managers and for site contractors. The best approach for assessing performance is for DOE to listen directly to the community's views, rather than to rely solely on self-evaluations.
8. *Community relations requires a clear and unambiguous organizational focus.* Community relations should have a clearly identified focal point at the site, operations office, and headquarters levels, separate in reality and appearance from any activities aimed primarily at one-way communication, often referred to as "public relations." Community relations efforts will appear insincere, and thus be ineffective, if they are seen as means of persuasion or manipulation.
9. *Community relations must be an integral part of DOE's operations.* Community relations should be treated as a normal cost of doing business, and should not be a low priority when budgets are tight. Community relations activities also require time, which should be provided for in program planning.
10. *DOE facilities should seek ways to make their resources useful to the surrounding community.* A proven way for DOE facilities to improve relationships is to use their resources to help host communities. Mutual fire protection and emergency response agreements, as well as education support activities at all levels and in all sectors of the community, are highly valued by host communities. However, education programs must not promote a point of view or seek to convey a message. Sites should also consider other ways in which their physical resources and employee skills might benefit their neighbors.

### Recommendations to the Secretary

1. The Secretary should establish a policy emphasizing effective, progressive community relations as a priority throughout the complex of DOE facilities. This policy should be included in the Department's Strategic Plan. It should, in turn, be embraced and promulgated by each of the facilities as an integral programmatic objective.
2. The Secretary should require community relations reports from field managers at the monthly field managers meeting in Washington in order to ensure continuing high level attention to this issue.
3. Incentives for good community relations should be established. Senior DOE managers should have measurable performance standards included in their job descriptions and performance evaluations. DOE should tie experience in community relations to site management contract awards, and contracts should include meaningful criteria and incentives for performance in community relations. A process for independent assessments of the community's views of the adequacy of a site's performance in this area should be developed.
4. DOE Headquarters should have an institutional focal point for community relations, to assist Program Secretarial Officers carry out their responsibilities in this area, to monitor the Department's performance across the complex, and to identify and disseminate community relations "best practices" from both departmental and private sector experience.
5. Each site should develop an organized approach to enable members of the community to express concerns and an organized approach for the site to respond. The community should have a clear understanding of how, and to whom, to communicate concerns. The mechanism for communication should include an appeal process to assure objective review.
6. DOE should periodically conduct independent community relations reviews at DOE sites. Continuing the process tested in this pilot review is desirable as a way to evaluate DOE's relations with its host communities. It is also a potentially powerful tool to assist facilities strengthen the ties with their communities.

## Background

In March 2000, Secretary Richardson asked the Openness Advisory Panel (OAP) of the Secretary of Energy Advisory Board to review and assess DOE's relationships with the communities surrounding its laboratories and facilities and to provide an independent assessment of how DOE is perceived as a neighbor, what it is doing well, and what it could do better.

As a first step, the OAP decided to conduct a pilot review at several sites and provide a basis for developing a more extensive review process. Three sites were selected for this pilot review. The sites were selected as representative of DOE's varied missions:

- Lawrence Berkeley National Laboratory, a multi-purpose science laboratory
- Lawrence Livermore National Laboratory, an active defense laboratory
- The Fernald Plant, a former defense site now being cleaned up and shut down, and a widely recognized an example of good community relations.

The review consisted of two-day visits and meetings with individuals or small groups representing a cross section of interests and views. A site review team consisting of four OAP members conducted the visits.<sup>1</sup> The team met with:

- state and local regulatory authorities
- elected officials
- public service providers (e.g. police and fire officials)
- business leaders and union leaders
- educators
- public interest groups
- DOE or site advisory boards
- contractors
- DOE site and operations office personnel

A total of more than 100 individuals at the three sites were interviewed during the course of the pilot review.

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<sup>1</sup> Herbert Brown (Chairman), Margret Carde, Thomas Cotton (Vice Chairman), and Eric Willis

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## Findings

The following conclusions are based on the observations of the OAP site review team that visited the three sites and subsequent discussions with other OAP members.

These findings also draw on other reports by SEAB panels that address different aspects of DOE's relations with outside parties. The first is the report of the SEAB Task Force on Radioactive Waste Management. Established in 1991 at the request of Secretary James D. Watkins, this intensive 27-month study examined the critical issues of ensuring public trust and confidence in the Department's radioactive waste management programs, and developed recommendations intended to be more broadly applicable within the Department.<sup>2</sup> Its report, *Earning Public Trust and Confidence: Requisites for Managing Radioactive Waste*, was issued in November 1993.<sup>3</sup> (The task force will be referred to as the Trust and Confidence Task Force herein to ensure clear association with this report.) Since radioactive waste management activities affect many if not most of the communities that are neighbors to DOE facilities, they have particular relevance to this review of community relations activities and issues.

The second report is *Responsible Openness: An Imperative for the Department of Energy*, issued by the Openness Advisory Panel of the SEAB in August 1997.<sup>4</sup> In this report, the Openness Advisory Panel took an expansive view of openness:

“We see ‘openness’ as a broad concept that covers much more than declassification. Providing the public with access to information is equally important. And beyond accessibility of information, openness involves a way of doing business in which stakeholders and other interested parties are invited to participate, rather than be kept at arm's length.”<sup>5</sup>

This report addressed the broader aspects of openness: improving the classifications system, achieving greater accessibility to documents and information, and changing the culture of the Department. Since the Department's relations with its neighboring communities is a crucial aspect of this broad concept of openness, a number of the findings and recommendations of this earlier report are applicable to the specific issue of improving community relations.

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<sup>2</sup> The panel undertook an extensive effort extending over a period of 27 months. In a series of eight meetings throughout the country, the panel heard formal presentations from nearly 100 representatives of state and local governments, non-governmental organizations, and senior DOE Headquarters and Field Office managers. The group also commissioned a variety of studies from independent experts, contracted with the National Academy of Sciences and the National Academy of Public Administration to hold workshops on designing and leading trust-evoking organizations, and carried out one survey of parties affected by the Department's radioactive waste management activities and a second one of DOE employees and contractors.

<sup>3</sup> *Earning Public Trust and Confidence: Requisites for Managing Radioactive Waste*, Final Report of the Secretary of Energy Advisory Board Task Force on Radioactive Waste Management, U.S. Department of Energy, Washington, D.C., November 1993. The report is available on the SEAB Web page at <http://www.hr.doe.gov/seab/>

<sup>4</sup> *Responsible Openness: An Imperative for the Department of Energy*, Openness Advisory Panel, Secretary of Energy Advisory Board, U.S. Department of Energy, Washington, D.C., August 25, 1997. The report is available on the SEAB Web page at <http://www.hr.doe.gov/seab/>

<sup>5</sup> *Responsible Openness*, p. 5.

1. *Good community relations are essential for DOE facilities to achieve their missions*

The crucial first step in improving community relations is for DOE and contractor personnel to understand that the state of their facility's relations with its neighbors can affect their ability to carry out their missions.<sup>6</sup> **Public trust, above all else, is essential.**<sup>7</sup>

What kind of involvement DOE should have with its neighbors begs the question: who are the neighbors? The old definition of neighbor as someone who lives and works near the DOE site may no longer be adequate. Today, "neighbors" may be described as those interested in or affected by DOE's presence, whether by traffic congestion, health and safety concerns, as a potential employer, through interaction with employees that work at DOE sites, the impact of the site on land use questions, and a variety of other issues.

Old definitions of "neighbor" are rapidly changing. For example, **DOE facilities find themselves in an increasingly dynamic environment.** Change has many dimensions: local development and growth patterns, economic changes both residential and industrial, social and political shifts of opinion, and demographic changes both within the facilities themselves and in the surrounding communities. **No longer can a DOE facility assume that it is the only attractive "high tech" business in town.** The influx of other companies means growing competition for both technical and support personnel, as well as for the interest and support of the local community. It is not practical to take the community's appreciation for the existence of the facility for granted.

Changing residential and demographic patterns are complicating the task of relating to the surrounding community. The review team observed at every site that employees are the first line, and the most effective, ambassadors in a community. However, **the concept of a site's "community" is expanding as workers, for economic reasons, must live farther and farther away.**<sup>8</sup> While the relationship to the local host community remains of central importance, a declining percentage of site workers residing in that community can lessen the beneficial influence of workers as "ambassadors." At the same time, there may be a need to extend the geographic scope of a site's community relations efforts to encompass new dormitory communities in which more and more workers reside. Interviews with representatives of some of these more remote communities indicated genuine interest in having a closer relationship with the neighboring DOE facility.

Another important change is the demographic "graying" that is occurring at some DOE facilities. As the average age of the employees increases, there are fewer families with school age children, and therefore lesser incentives to the older DOE employees for community involvement, particularly in schools. Facilities need to encourage the older generation of workers to make their skills available as valuable resources for the community and to support and recognize

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<sup>6</sup> One DOE official pointed out that the first step is to convince DOE and contractor personnel that community relations is a problem that affects them; then show them what they can do about it.

<sup>7</sup> Earlier studies arrived at the same conclusion as this study. "Public trust and confidence is not a luxury. DOE not only has an obligation to earn it, but it also has a compelling need to do so." *Earning Public Trust and Confidence*, p. 20. "DOE needs to have the public trust if it is to accomplish its missions...." *Responsible Openness*, pp. 2-3.

<sup>8</sup> We were informed by a realtor that the average price of a 1000 square foot two bedroom, one bath house in Berkeley, host to the Lawrence Berkeley Laboratory, is about \$500,000.

community efforts.

Good relations with surrounding communities are desirable for the simple reason that public facilities conducting the public's business should be good neighbors. At a more pragmatic level **poor community relations limit a facility's ability to carry out its missions.** At the simplest level, **a state of friction caused by the surrounding community's dissatisfaction can divert management attention and resources away from program missions.** If the relationship is characterized by deep distrust, it can lead to, or exacerbate, active opposition to those missions. As the Trust and Confidence Task Force observed, "The lack of public trust and confidence is not only being recognized by stakeholders as an obstacle to programmatic progress, but it is also being used increasingly as a reason for opposing initiatives that are important to programmatic progress."<sup>9</sup>

**Cases of activities causing conflict with the community should be carefully scrutinized and not allowed to fester, since problems in one area can adversely affect the overall relationship.** As one environmental activist observed with respect to the relations of the nearby DOE facility with his community, "There have been good points, but the bad ones stick in your mind."

**Where there is continuing and vocal political opposition to a particular activity at a site, it is important to determine whether the benefits of retaining the activity outweigh those of terminating it in the interests of eliminating the disproportionate amount of management time and resources devoted to it.** In cases in which the activity is part of the site's mandated mission, the site might have little discretion to eliminate the activity. However, it might have some ability to modify it in ways that address local concerns while still achieving fundamental objectives. As one DOE manager observed, it may be necessary to modify the mission in order to achieve enough consensus to allow progress.

Furthermore, as DOE facilities increasingly seek to expand activities beyond core missions, by providing services to other government agencies and even the private sector, the acceptability of particularly discretionary activities to host communities deserves careful consideration. In one instance of a controversial activity observed during the pilot study, members of the community suggested that simply placing the option of terminating the activity on the table for discussion might reduce the conflict and improve the level of trust. **It must not be expected, however, that improving community relations practices can make conflicts go away entirely.** Some level of disagreement about the activities of the government are to be expected in a democratic society. **What can be accomplished is to lower the level of emotion associated with those disagreements and to keep it from poisoning the relationship between the site and the community.**

**DOE should develop procedures for assessing community concerns about an activity, determining the extent to which they can be addressed at the site level, and deciding how to include the concerned public in the review process.** The procedures should encourage interactions with the community that assure early attention to community concerns, even if raised by only a few members of the public.

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<sup>9</sup> *Earning Public Trust and Confidence*, p.37

2. *Each site must tailor community relations programs to its own circumstances, consistent with Departmental policy*

**Every site has unique features that must be taken into account in developing an appropriate community relations program.** Every community has its own character, and the history of the relationship between the site and the community has created current realities that must be taken into account when addressing future site plans.

**A particularly important difference concerns the nature of the activities at the site.** For example, **Fernald, which is engaged solely in cleaning up and shutting down, faces very different challenges from Livermore, which is still actively engaged in defense nuclear activities.** At Fernald, there is widespread agreement about the mission of the site. Various parties said that the key point in the turnaround of relations with the community was the decision to shut down the activities that were the source of radioactive and hazardous emissions. From that point on, a cooperative relationship to achieve the shared objective of environmental health and safety was possible. At sites where there are ongoing activities that have potentially adverse impacts on the community, or that are associated with controversial policy issues, the scope of shared interests is smaller and the potential for conflicts greater.

**Despite these differences, there are common denominators of principle and practice that should apply across all sites.<sup>10</sup> However, the means and styles of implementation may be different to suit particular circumstances.** Local DOE community relations officials with considerable successful experience cautioned against pushing specific techniques onto all the sites from the top. Instead, **it is better to set a performance goal (improve relations with the community) and let each site figure out how best to achieve it.** DOE officials at several sites pointed to the Department's successful Integrated Safety Management (ISM) initiative, aimed at making safety management an integral part of work, as a good example of a non-prescriptive approach.

In seeking methods to improve community relations in their particular circumstances, sites should seek to learn from the successful experiences of other DOE sites and the private sector. Lessons from past community relations failures at some DOE facilities, sometimes leading to acrimonious litigation, must be understood and applied elsewhere so that other facilities do not repeat the same mistakes. **DOE Headquarters should promote a systematic effort to identify and assess the causes of both successes and failures in community relations and to disseminate the lessons throughout the complex.<sup>11</sup>**

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<sup>10</sup> One businessman with considerable success at community relations warned, "'We're different' is an excuse for not doing anything."

<sup>11</sup> The Trust and Confidence task force recommended that DOE "Support and develop mechanisms to learn from innovations by Field Offices that have increased public trust and confidence." *Earning Public Trust and Confidence*, p. 54

### 3. DOE must recognize and address its legacy of public distrust

**DOE and the site contractor must understand that they are operating in a climate of public distrust created by behavior over many years.** This point was made in a variety of ways by many people in each of the communities that were visited. As one senior site manager put it, "The problem we face is that people don't believe anything DOE says." On the same point, a local emergency response person said, "Once you've lied to me, it's hard to trust you. It took a long time for me to believe anything from DOE." **This legacy of distrust places extra burdens on DOE and contractor personnel who bear no responsibility for past actions, but who must nonetheless deal with the legacy.** As the Trust and Confidence Task Force observed, this legacy of distrust could require the adoption of measures that would not otherwise be necessary.<sup>12</sup>

"The many decades of secrecy that have surrounded the activities of the Department of Energy have served to create suspicion of the Department and its activities. These suspicions, reinforced by ongoing lapses in providing complete and timely information, damage relations between the Department and its contractors and the communities in which they must operate. These suspicions also erode confidence in the Department by the public and its elected representatives, undermining the Department's capacity to accomplish its missions. As a result, the Secretary should place a high priority on enhancing and institutionalizing openness throughout DOE and its contractor community. The public trust that openness can nurture is an essential precondition for success in the Department's activities." *Responsible Openness*, p. ix.

"The legacy of distrust created by the Department's history and culture will continue for a long time to color public reaction to its radioactive waste management efforts. Only a sustained commitment by successive Secretaries of Energy can overcome it." *Earning Public Trust and Confidence*, p. 36.

**One measure that has proved to be helpful is the use of independent expert review and analysis to help defuse controversial technical issues.** At several sites, various parties (including regulators) said that the independent technical work produced by consultants for stakeholder groups was of excellent quality and very useful. The Department should encourage the use of such independent technical reviews, and should ensure that the independent reviewers, who can be difficult to find, are provided the timely, comprehensive information they need to conduct an effective review.<sup>13</sup>

**It is also important to be responsive to all elements in the community, and not to marginalize those who are critical and distrustful.** Critics and opponents should be brought to the table as part of the community and not be isolated from contact with DOE and contractor

<sup>12</sup> "If DOE is to restore public trust and confidence, it will have to take steps that might be considered unnecessary for an organization that has maintained public trust and confidence over long periods of time." *Earning Public Trust and Confidence*, p. 36.

<sup>13</sup> At one site a candidate independent technical reviewer withdrew from consideration in part because DOE appeared to be uncooperative in providing timely data. At another site, independent reviewers were refused requests to tour the site or meet with key personnel.

decisionmakers. People who feel cut off from constructive communication may seek other, perhaps less constructive, means of expressing their views. The site review team learned that members of the community look to the activists to raise issues, and expect the site to respond to the issues seriously and respectfully. When an activist group proposes to hire its own technical expert, DOE should cooperate appropriately.

**Establishment of advisory groups should be considered as a means of enhancing regular two-way communication.** The Trust and Confidence Task Force recommended that DOE commit itself to "Early and continuous involvement of state and/or local advisory groups ...on which a broad range of stakeholders ... are represented. That involvement would be characterized by frequent contact, complete candor, rapid and full response to questions, implementation of at least some suggestions, and assistance in increasing the technical and oversight skills of the community."<sup>14</sup> **It is important, however, that community advisory groups not be seen as creatures of the DOE or facility management.** The need to include minority opinions in the dialogue is essential. The danger of developing an insider group of advisors cuts off DOE's ability to respond to the dynamic quality of community change. Advisory groups need flexibility to address various situations as they arise. The scope of an advisory group's review should not be arbitrarily limited.

**In seeking the trust of the community, DOE and contractor management must learn to trust the community in return.** As one DOE community relations official observed, two-way trust is needed. While this might appear risky to those accustomed to a less open way of conducting business, it can lead to remarkably helpful results. In Fernald, DOE along with its regulators (the U.S. Environmental Protection Agency and the Ohio Environmental Protection Agency) created a citizen's task force to make recommendations on central issues posed by the remediation of the Fernald Environmental Management Project, including the target cleanup levels and the final disposition of the radioactive wastes from the site. Instead of recommending a "not in my backyard" approach involving cleanup to background levels and removal of all waste from the site, the task force took a broad view, considering a wide range of issues including feasibility, cost, and safety and equity issues raised by moving waste from their site for disposal somewhere else. As a result, the task force accepted cleanup to the EPA maximum contaminant levels, and permanent disposition of all but the most radioactive portion of the waste onsite.<sup>15</sup> Because the task force members were seen by the community as representative of and responsible to the community, their recommendation was accepted by the community as a whole.

#### *4. Communication must be full, open, timely, and two-way*

**Good community relations requires good communications in both directions.** The site must provide information to the community, and must be willing to receive and consider information from the community.

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<sup>14</sup> *Earning Public Trust and Confidence*, Executive Summary.

<sup>15</sup> Fernald Citizens Task Force, *Recommendations on Remediation Levels, Waste Disposition, Priorities, and Future Use*, July 1995.

In *Responsible Openness*, the OAP pointed out that providing the public with access to information is a central part of openness. The validity of this conclusion was verified by discussions with members of the communities surrounding all three sites visited during this pilot study.

**DOE and contractor personnel should actively provide information to the community about what the site does** -- not only about the activities that might be of concern to the public but also about the benefits its activities provide to the community and the broader society. Members of the public stressed that **lack of knowledge and familiarity causes mistrust and fear**.

Providing access to the facility can go a long way toward reducing the air of mystery that has surrounded DOE facilities in the past. Community Open Houses appear to be an effective and appreciated way to increase public familiarity with the activities of the facility.

**It is also important to take the initiative in making information available, rather than to provide it only when there is an obvious need or legal requirement.** One local business leader observed: "It's what they don't say that stirs the pot. Lay it out there in terms laymen can understand."

The need to make information understandable to the intended recipients was a common theme raised by a variety of community members during the site visits. **Two levels of information are necessary: details and hard data for opinion-setters, and clear, readable, concise information for the general public.**<sup>16</sup>

**It is particularly important to be as forthcoming as possible in providing information in cases in which it might be damaging or where the situation is changing rapidly.** One senior manager put it this way: "If you have bad news, it doesn't get better with time." In the case of rapidly changing news, frequent updates and interaction with community members are essential, first, to show that DOE is addressing the problems of concern and second, to utilize public questions as a way to help identify areas that DOE may need to address more fully. A local emergency response provider said that the willingness of the site contractor to share information was key to establishing trust. "Just tell us the truth; people can handle it."

**Information concerning public health, safety, and the environment must be made readily available.** In general such information is not classified. However, substantial effort might be required to find the documents containing the information. Furthermore, in some cases those documents will have to be reviewed and redacted because they also contain information that is classified.<sup>17</sup> Emphasizing the importance of making information publicly available, the Trust and Confidence Task Force recommended that DOE should "disseminate without exception information about past practices that may raise questions about potential health, safety, and

<sup>16</sup> Individuals dealing with site cleanup issues often want direct access to original records and raw data, without any additional interpretation or explanation.

<sup>17</sup> "Virtually all information bearing on environment, health, and safety is now unclassified. But, the simple fact that the information is unclassified does not necessarily mean that it is accessible. Unclassified information that is buried in a file is effectively unavailable to the public (or the Department)." *Responsible Openness*, pp. 5-6.

environmental risks.” (See box)

*To provide information fully and rapidly, the Department should:*

- Identify and employ the information channels actually used by stakeholders.
- Disseminate without exception information about past practices that may raise questions about potential health, safety, and environmental risks.
- Invoke the pre-decisional exemption in the Freedom of Information Act only under exceptional circumstances, which are candidly explained.
- Release, on request, any DOE-generated material that has been shared, even informally, with any other non-governmental organization. Precautions should, of course, be take to protect legitimate proprietary information.

*Earning Public Trust and Confidence, p. 50*

**Failure to provide full and complete information breeds distrust.** The site review team heard of several cases in which requests for data and answers to specific questions from particular groups in a community were not provided in a timely way. These occurrences were pointed out not only by the requesters, but also by other members of the community who clearly thought that the failure to respond indicated arrogance, the desire to cover up damaging information, or just plain incompetence.

**Communication needs to be timely and ongoing, not simply responsive to problems.** Officials should not wait for a final evaluation of a crisis or final decision on a proposal before communicating with the community. At one site, a businessman said that when he told a colleague he was coming to discuss community relations at the DOE facility, the colleague responded “They must have a problem.” A local official dealing with hazardous materials called for a free and ongoing exchange of information that is not reactive and that is not necessarily solicited. “I am a public official in charge of assuring community health and safety. If I’m in the dark,” he said, “the community has a real problem.”

**The minimum legal requirements concerning the amount and timing of information to be provided should be exceeded whenever necessary to meet community needs.** Information should be routinely accessible, so members of the community do not have to resort to measures such as Freedom of Information Act requests to obtain it. In addition, there should be communication about problems and issues from the beginning. One DOE community relations official pointed out that the involvement processes required by law come too late to allow meaningful public/DOE dialogue. A variety of communication methods is desirable to reach all segments of the community population. In one instance, DOE and contractors used e-mail to provide timely and appreciated “heads-up” notices to members of the community to alert them to developing issues.

**Communication should also be two-way. Good community relations involves listening to the concerns of the community, not simply “getting the message out.”** One DOE manager

told us: "The most important thing we can do is listen to the public and be honest with them. We must give them the good and the bad news, and follow through on commitments."

The idea of two-way communications applies in particular to the way in which the facility approaches the community with respect to plans for future activities. At several sites, various members of the community suggested that the facility management should not go out to public meetings with proposals to sell, but rather with a blank sheet of paper and a willingness to talk about issues and solutions.

**To ensure clear and timely two-way communication, there should be an established and visible mechanism through which the public has direct access to top contractor and DOE officials at the site.** A standing advisory panel can serve this function, but more informal practices (such as regular one-on-one meetings) can also work.

**Special care is needed so that the culture of secrecy historically present at defense-related sites is not an obstacle to openness in communications and in community relations in general.** At one site, a businessman noted that relationships had improved in past years, but that recent security issues have slowed the progress that had been made.

**Preservation and enhancement of security for critical nuclear secrets is essential. Consistent with this necessity, the Department should strive to preserve openness in its relations with the communities surrounding its sites and with the public more broadly.** In its previous report, the Openness Advisory Panel observed that greater openness is required for the success of the Department's missions not only for the credibility and trust that it engenders, but also because the ability to recruit and retain a staff of the highly skilled scientific and technical professions needed to implement its defense missions, especially the Science Based Stockpile Stewardship program, might depend upon it. As the report observed, "a life 'behind the fence' may not seem as desirable to new recruits as it may have been during the Cold War."<sup>18</sup> In addition, the productivity of the laboratories will probably entail a greater mix of classified and unclassified research than in the past. The more openness there is, consistent with rigorously protecting classified information, the greater likelihood of productive advances in both areas.<sup>19</sup>

##### 5. *Person-to-person contacts are crucial for good community relations*

**Successful community relations require building positive personal relationships with key individuals and organizations.**<sup>20</sup> It was clear at all of the sites visited that members of the community trusted specific individuals associated with the site rather than the organizations to which they belonged. One DOE public affairs official observed that there is so much competition

<sup>18</sup> *Responsible Openness*, p.2.

<sup>19</sup> *Responsible Openness*, p. 3

<sup>20</sup> The importance of building relationships in the host community is recognized in the private sector. "At the heart of the neighbor of choice strategy is relationship building. The intention is to position the company favorably into the community by developing positive and sustainable relationships with key individuals and organizations....The company has to be viewed as an asset, not a liability, in the community. And it has to use relationship building as a means for developing a legacy of trust in the community. When a crisis occurs, consequently, the company's explanations will be heard fairly." Burke, Edmund M., "Becoming a Neighbor of Choice...A Strategy for Community Relations," the Center for Community Relations at Boston College, March 26, 1996, p. 3.

for public attention in the proliferation of mass media that mass communications is an ineffective way to persuade the public. Instead, he stated, building personal relationships with opinion leaders is “the only way I know of to build trust.”

**Both DOE and the site contractor must have the right people in the community relations jobs; the public must be comfortable with them and have access to them.** These people must also have respect within DOE and hold high enough positions to have direct access to top management. Continuity of personnel appears to be particularly important in building trusting personal relationships.

In addition to a formal community relations or public affairs staff, **each site visited by the site review team has employees at various levels throughout the organization who engage in outreach and involvement and are seen as effective ambassadors by the community.** At each site the site review team heard praise for the work of such individuals.<sup>21</sup> **The community needs to see that senior management gives such individuals and their activities visible institutional support and recognition.**<sup>22</sup>

A particularly successful model is the “Fernald Envoy Program,” established in 1994 to promote one-on-one communication between Fernald personnel and representatives of local community groups interested in site activities. Envoys, who are both DOE and site contractor employees, build close relationships with community groups by providing them with detailed information, listening to their questions, concerns, and suggestions, and providing this feedback to those involved in making decisions concerning Fernald cleanup activities. Envoys have direct access to top management. They are empowered to give information to the public – without having to go up and down the chains of command in the site contractor and DOE organizations; if they cannot answer a question from their own knowledge, they can get the needed information from experts at the site. **A DOE community relations official stated that the key to success at Fernald was relinquishing control of stakeholder relations, so that it took place all levels – not just the top of the organization.**

At some sites the site and community have set up citizen advisory boards which meet to discuss areas of concern in the community and to make recommendations to DOE and its contractor. These boards are effective if they are perceived as independent from DOE and when they have flexibility in defining the scope of their investigation.

6. *A constructive attitude towards community relations is critical to success*

DOE and the contractor must approach community relations with the understanding that the site is part of the local community, not a federal enclave on foreign territory. This is obviously the case at those sites where the primary or sole focus of activities now is management and mitigation of the health, safety, and environmental impacts of past activities on the surrounding

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<sup>21</sup> At one site, the individual who was mentioned most frequently as being an outstanding representative of the site to the community was not a member of the community relations or public affairs organizations.

<sup>22</sup> At the same site, discussing the same person, a community member noted that if this person could not help and had to refer an issue to another part of the lab having the appropriate expertise, the result was that “things fall apart – there is no interest or understanding.” The perception was that the help came from the individual, not from the facility.

community. But it is also true at the sites with a continuing active defense mission. **With the end of the Cold War, and the growth of non-classified research activities even at defense sites, there is no reason to believe that the degree of isolation that prevailed in the past will serve a site well in the future.**

Both DOE and contractor management must understand clearly that they are engaged in the public's business and therefore are accountable to the public, including in particular that part of the public in whose neighborhood they work. **Facility management must be willing to consider the impacts of choices on the state of relations with the surrounding community, and to take those impacts into account in making decisions.**<sup>23</sup>

**Building good community relations requires people with the right attitude and mindset; they must not have a "fortress mentality" and must scrupulously avoid "demonizing" any opposition or being perceived as arrogant.** It is important to treat all groups with respect. All members of the public, no matter what their views, have a right to know how the site affects their interests, and have the right to define those interests. Moreover, minority opinions could be harbingers of mainstream opinion to come. DOE should listen when these issues first arise so that DOE can deal with dynamic changes in matters that could well affect its community relationships.

**New approaches conducive to good community relations will likely require changes in some traditional and firmly held views within facilities** (see box).<sup>24</sup>

**Changing the Culture.** ...[T]he 50 years of secrecy inherent in protecting the development of nuclear weapons inevitably produced a 'culture' – a system of beliefs and ways of doing business—that persists among the Department's employees and its contractors. Orders and regulations, however well intended to rectify defects in the system, will fall short of their intended purpose if they are counter to the prevailing mindset of this entrenched culture. It might be expected that this concern would apply only to the nuclear weapons complex, but in fact the non-defense activities of the Department were influenced by the Department's practices in the defense arena and have assumed many of its characteristics.

Until cultural change is seen by all to be in the self interest of the Department's and its contractors' employees, lasting and fundamental changes in the way DOE does business will be difficult to achieve, and the advances of the last few years will be transitory achievements."

*Responsible Openness*, p. 6.

<sup>23</sup> On this point, the Trust and Confidence Task Force recommended a series of measures "To ensure that the public trust and confidence implications of critical Departmental activities have been properly identified and weighed.." *Earning Public Trust and Confidence*, p. 54. The same point is recognized in the private sector "The only way that the neighbor of choice strategy will become corporate wide is to make it part of the company culture. Before a business decision is made managers need to consider: *What are the community implications of this decision?*" Burke, op. cit., p. 7.

<sup>24</sup> The first independent review of the Department's openness efforts called for steps to change the culture of secrecy that inhibited openness. National Research Council, *A Review of the Department of Energy Classification Policy and Practice*, National Academy Press: Washington, D.C., 1995, p. 83.

7. *Management at all levels must be accountable for good community relations*

**Management at all levels of DOE and site contractor organizations must be committed to successful community relations. They must strongly support community relations efforts throughout their organizations.** Furthermore, those efforts cannot be left to community relations personnel alone; **top level management, beginning with the facility director and the DOE operations office manager, must themselves be actively and visibly engaged with the community.**<sup>25</sup> This includes participation in a range of community organizations, and accessibility for one-on-one meetings with key members of the community.<sup>26</sup> Senior managers should have measurable performance standards for community relations included in their job descriptions and performance evaluations (see box).<sup>27</sup>

“Senior managers would be required to establish performance standards in the area of sustaining public trust and confidence. That activity would become part of their job descriptions, and they would be evaluated accordingly.”

*Earning Public Trust and Confidence*, p. 59.

“Individuals and organizations often respond better to the promise of rewards than to the threat of penalties, and they tend to produce the things for which they are being rewarded. DOE should include explicit measures of openness in performance measures for agency personnel and contractors. Provision of explicit performance measures of openness could be a useful step in establishing concrete positive incentives for openness.”

National Research Council, *A Review of the Department of Energy Classification Policy and Practice*, p. 83.

**A related issue that was raised at all sites as a concern is the need for clear lines of accountability so that the community knows who is responsible and accountable for what goes on at the site.** Sometimes it is not clear whether to turn to site managers, contractor management, the DOE Field Office, or DOE Headquarters. Confusion in the lines of authority and responsibility does not build trust and may allow staff to abdicate responsibility—a sure-fire way to engender public distrust.

<sup>25</sup> The importance of broad management involvement in community relations is recognized in the private sector: “The neighbor of choice strategy needs to be a corporate-wide strategy, not a community relations strategy. While the community relations staff is instrumental and critical in planing and helping to carry out the strategy, positioning the company positively in the community is a corporate-wide responsibility.” Burke, op. cit., p. 7

<sup>26</sup> One senior site manager reported that when he joined the Chamber of Commerce, the other members from the community were very surprised, and pleased, to see someone from the facility.

<sup>27</sup> The importance of evaluating managers in terms of community relations performance was heard from both DOE officials and businessmen. As one businessman put it, “In my company, when we tried to get into a community, we found individuals and made it part of their performance appraisals.” He also said it is important for facility management to get involved personally, say that community relations is important to them, and recognize people who do well in that area.

**Authority and responsibility for community relations should be delegated to the Field Office level to the extent possible.** Some community members interviewed by the site review team expressed dissatisfaction at the perception that information about important news has to be cleared with DOE Headquarters first. This situation engenders public impatience and perhaps distrust, depending on how long the delay is. The suspicion is that local staff members are not being candid or may be passing the buck to avoid admitting their own mistakes.

**Concomitantly, DOE Field Office management must have the knowledge and skills needed to take a direct role in community relations and to administer the community relations aspect of the site management contract.** This might require special training.<sup>28</sup>

Contractor personnel also play a key role in community relations, since they are usually the largest and most visible presence on the site.<sup>29</sup> **DOE should establish performance-based criteria for community relations, and should tie experience in community relations to site management contract awards and success in community relations to bonuses.**<sup>30</sup> In addition, the DOE's contract with the site contractor must set meaningful standards of performance for community relations.

**The best approach for assessing performance is for DOE to listen directly to the community's views of relations with the site, rather than to rely solely on self-evaluations.** Success should be measured by results – the actual state of community relations. One DOE community relations manager suggested evaluating the site's performance by measuring "the temperature of the site's relations with the community," which might be accomplished by having a senior official from Headquarters meet with stakeholders.<sup>31</sup> **This pilot review has shown that members of the community are willing and able to provide candid assessments to independent evaluators.**<sup>32</sup>

<sup>28</sup> "Most general managers are unprepared for taking on a community relations activity...." Some companies provide training programs, others send them to executive education programs in community relations. Burke, op. cit. pp. 9-10.

<sup>29</sup> "Because of the Department's extensive use of contractors in carrying out its radioactive waste management activities, any attempt to strengthen public trust and confidence will have to include those individuals in order to be successful." *Earning Public Trust and Confidence*, p. 40

<sup>30</sup> The most recent RFP for the Fernald site contract included a factor for "Stakeholder Involvement Experience" – "the offeror's experience in effectively working with community groups, such as local citizens groups, local Government organizations and other interest groups." This was given 5 percent of the weight – the same as given to "Corporate Past Performance." DE-RP-00OH20115, p. 176, 179.

<sup>31</sup> The Trust and Confidence Task Force recommended consideration of "the deployment of 'trust and confidence' teams that would independently evaluate how different units performed." *Earning Public Trust and Confidence*, p. 53

<sup>32</sup> The Trust and Confidence Task Force concluded: "The actions [to enhance trust and confidence] endorsed by the Secretary would be incorporated into each program's strategic planning process and into its Total Quality Management regime. Appropriate metrics for evaluating performance would have to be developed in consultation with the affected stakeholders. Those 'publics' would also have to participate in the assessment process." *Earning Public Trust and Confidence*, p. 59.

The Trust and Confidence Task Force's recommendations to the Department concerning ways to improve the quality of its interactions with all public stakeholders included :

- "Make training in public involvement principles and processes a requirement for managers, supervisors, and technical personnel who might interact with stakeholders.
- Make bonus awards, career advancements, and promotions dependent on successful demonstration of the capability to interact positively with a wide range of sectors in the public.
- Require DOE contractors to conduct equivalent training for their employees. Their performance evaluations and awards should be structure to include contributions to the overall public involvement effort."

*Earning Public Trust and Confidence*, p. 50.

8. *Community relations requires a clear and unambiguous organizational focus*

**Community relations should have a clearly identified focal point at the site, operations office, and headquarters levels. This focal point should be separate in reality and appearance from any activities aimed primarily at one-way communication, often referred to as "public relations."**<sup>33</sup> Community relations involves working with the community on subjects of mutual interest and concern. While communications are important, they involve listening as well as providing information. The emphasis is on getting the community's messages in, rather than getting the site's message out. Community relations also involves public participation, to bring the public into the decision process at an early date concerning matters that affect their interests. (A good statement of the two-way focus of public participation is shown in the following box.) It could be difficult for the same individuals to function effectively in both one-way and two-way activities. Furthermore, **community relations efforts will appear insincere, and thus be ineffective, if they are seen as means of persuasion or manipulation.**<sup>34</sup>

**Community relations should not be viewed as solely a function of the environmental management part of a site's organization.** DOE's environmental management program has devoted considerable efforts to a wide range of activities to engage its stakeholders, so its mechanisms for interactions with neighboring communities are generally well established and accepted. **The sites should seek to provide community relations points of contact for all activities, not just those conducted by the environmental management program.** This is particularly important for activities that are viewed as controversial.

<sup>33</sup> One-way communication is sometimes viewed as the function of "public relations." The need to consider community relations as something quite distinct from traditional public relations is hardly unique to DOE. "Government relations and public relations continues to dominate the thinking behind many companies' external affairs strategies. Community relations continues to be viewed as a marginal operation." Burke, op. cit., p. 9

<sup>34</sup> An individual involved in cleanup issues at one site said that the site had a large public relations group, in relation to its community outreach, and described the situation as "a volunteer mouse vs. a professional paid elephant."

## DOE PUBLIC PARTICIPATION POLICY

Public participation is a open, ongoing, two-way communication, both formal and informal, between the Department of Energy and its Stakeholders. This steady, interactive communication enables each party to learn about and better understand the views and positions of the other. The Department recognizes the many benefits to be derived from public participation, for both stakeholders and DOE. Public participation provides a means for the Department to gather the most diverse collection of opinions, perspectives, and values from the broadest spectrum of the public, enabling the Department to make better, more informed decisions. Public participation benefits stakeholders by creating an opportunity to provide input and influence decisions.

### POLICY

Public participation is a fundamental component in program operations, planning activities, and decision-making within the Department. The public is entitled to play a role in Departmental decision-making.

### PURPOSE

This policy is intended to ensure that public participation is an integral and effective part of Departmental activities and that decisions are made with the benefit of important public perspectives. This policy provides a mechanism for bringing a broad range of diverse stakeholder viewpoints and values early into the Department's decision-making processes. This early involvement enables the Department to make more informed decisions, improve quality through collaborative efforts, and build mutual understanding and trust between the Department and the public it serves.

Excerpts from Department of Energy Public Participation Policy, DOE P 1210.1, 1994

A potentially complicating factor is the realignment of DOE lines of authority so that each site reports to the Headquarters office with the most direct interest in its activities. For example, Lawrence Livermore National Laboratory reports to the Office of Defense Programs, Fernald to the Office of Environmental Management, and Lawrence Berkeley Laboratory to the Office of Science. The different Program Secretarial Offices can have different attitudes toward, and experience with, community relations. **Secretarial attention may be required to ensure that a uniform level of attention is paid to community relations across the range of responsible Program Secretarial Offices.**<sup>35</sup> Including the state of each facility's community relations as a

<sup>35</sup> "[T]he social vision [the philosophical underpinning for community relations activities] needs to be widely communicated throughout the company, particularly by the CEO. Only the CEO has the authority – clout, if you will—to insist upon the importance of a social vision for the success of the company. It is explaining the *need* for a social vision that is most important. If the CEO does not explain the relationship of the vision to the future of the company, and if he or she is not personally involved in community affairs, then the vision becomes a platitude." Burke, op. cit., p. 8

standard agenda item for the Secretary's monthly meetings with the field managers could help achieve this objective.

**DOE Headquarters should have an institutional focal point for community relations.**

Although responsibility and authority for community relations should be decentralized to the extent possible, a headquarters office would assist Program Secretarial Officers carry out responsibilities in this area and would monitor the Department's performance across the complex. It could also help improve the quality and reduce the total costs of community relations throughout the DOE complex by taking the lead in identifying and disseminating community relations "best practices" from both departmental and private sector experience.<sup>36</sup> Because of the great overlap between community relations and public participation objectives, principles, and practices, a single organizational focal point for both may be appropriate.<sup>37</sup>

9. *Community relations must be an integral part of DOE operations*

**Community relations must be an integral part of all programs and activities, not simply an add-on.**<sup>38</sup> As discussed earlier, it must be a responsibility of senior DOE and contractor management, not just the community relations organizations.

**Adequate funding must be provided; community relations should be treated as a normal cost of doing business, and should not be viewed as a low priority when budgets are tight.** Admittedly, this can be difficult in an environment of restricted and even declining funding for mandated missions. Nonetheless, the importance of good community relations to the achievement of DOE missions should be recognized in the allocation of resources. Past reports have emphasized the need for resources to address the closely related issues of trust and confidence, and openness.<sup>39</sup>

**Community relations activities also take time, which should be provided for in program planning.** If sufficient time for early communication with the community is not planned at the beginning of an activity, more time may be required later to deal with public reactions to what might be perceived as unilateral actions by the site.

Community relations expertise should be treated with the same seriousness as technical and managerial expertise. Training in community relations "best practices" should be provided to staff, and when appropriate, outside expertise and experience should be brought in.

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<sup>36</sup> On this point, the Trust and Confidence Task Force recommended that to promote a new culture, the Department should "Disseminate on a systematic basis throughout DOE experientially derived "best practices" for building, sustaining, or recovering public trust and confidence. *Earning Public Trust and Confidence*, p. 53

<sup>37</sup> See the Department of Energy Public Participation Policy, DOE P 1210.1.

<sup>38</sup> The Trust and Confidence Task Force reached the same conclusions: "Efforts to restore and sustain public trust and confidence cannot simply be appended to on-going activities. There must be a recognition among senior policy-makers and managers that most choices have consequences for institutional trustworthiness." *Earning Public Trust and Confidence*, p. 36.

<sup>39</sup> "Personnel and resources targeted toward the strengthening of public trust and confidence would be identified as part of the program's internal budget review." *Earning Public Trust and Confidence*, p. 59.

"Budgetary adjustments should be made in order to ensure the availability of resources for openness." *Responsible Openness*, p. 31.

10. *DOE facilities should seek ways to make their resources useful to the surrounding community.*

**A proven way for DOE facilities to improve relationships with host communities is to use resources to help those communities.** For example, **mutual fire protection and emergency response agreements are much appreciated by surrounding communities and appear beneficial to the DOE facility as well as its neighbors.** At one site, a local emergency response official said that emergency response cooperation “has helped turn around feelings against the site.” He recognized that such cooperation is mutually beneficial: “They needed our manpower as much as we needed their expertise.”

**Education support activities at all levels are also highly valued by host communities.** At all three sites visited in this pilot study, the site review team heard enthusiastic reports from local educators and others about a wide range of outreach efforts supporting local education programs. This was particularly true with respect to programs directed towards minority students. **These education efforts can benefit the DOE by increasing the scientifically and technically literate pool and introducing them to the possibility of working with the facility as a possible career** (see box).<sup>40</sup>

While education outreach activities are popular, **an effort must be made to ensure that education programs do not stray into being public relations efforts to promote a point of view or convey a message.** When education outreach is done by staff volunteers, even in their private capacity as parents in their own children’s schools, training should be provided to clarify the distinction between public relations and education.<sup>41</sup> While private businesses regularly advertise their successes through educational outreach, DOE as a government agency must use more restraint so that DOE is not perceived as using educational outreach as a tool for gaining public approval of its missions. **DOE’s emphasis should be a contribution to and partnership with education institutions and should assist such institutions in achieving their own goals.** DOE will benefit from these education activities by promoting a general interest in scientific careers.

**Sites should also consider other ways in which physical resources and employee skills could benefit the local community.** One businessman suggested, for example, that the site should make it possible for local businesses to purchase test and analytical services that they could not afford to do themselves. In his view, this would both benefit local businesses and provide income to the facility. Providing public meeting areas could be another contribution.

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<sup>40</sup> It may be as important to increase the supply of trained technicians as the supply of scientists. These trained technicians make the labs work – and they are attractive employees for other high-tech companies. Cooperative programs – especially ones that give students an opportunity to work at the site in some capacity – can increase the likelihood that they will look to the site as a possible employer when they enter the job market.

<sup>41</sup> One parent complained that a Lab volunteer in the schools used a Geiger counter to show radiation coming from a covered box. When the box was opened, a banana was inside. The parent said her child was afraid to eat bananas after viewing the demonstration.

“Strengthening the quality and practice of science, math, and engineering education in the United States is an essential priority for the nation ..... Such investment in education is a benefit not only to the nation but also to the Department itself. Given its goals, it is a significant priority for the Department to ensure that the best talent is available to sustain its ongoing mission..... The Task Force believes the Department can make an invaluable contribution to the country and ensure its own skill support by harnessing its cadre of technical people and research base to enhance science, math and technology education at the K-12 level.”

SEAB Task Force on Education Final Letter Report (December 2, 1998)

**Site management should work with the community in defining the types of assistance to be provided.** It is important to involve opinion leaders from the community in the early planning stages, rather than simply presenting the community with fully developed proposals. One approach, used by some private sector companies, would be to conduct periodic community needs assessments – interviews with key community leaders to learn their opinions about the needs of the community that might be addressed by community programs supported by the site. This demonstrates the site’s commitment to the community, and helps ensure that its programs can be defended as responding to what the community itself identifies as critical needs. In addition, it can help avoid unreasonable expectations on the part of the community, since the site management can clearly identify the limitations on its ability to provide community support.<sup>42</sup>

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<sup>42</sup> Burke, op. cit., p. 6.

## Summary of Findings

1. *Good community relations are essential for DOE facilities to achieve their missions*

DOE facilities find themselves in an increasingly dynamic environment to which they must adapt. This brings the facilities into head-on competition for employees and community support with other, growing sectors of the economy. Neglecting constructive relations and dialogue with the communities in which DOE facilities are located can place DOE at a disadvantage in this competition and can lead to conflicts that divert management attention and resources from achieving DOE's missions.

2. *Each site must tailor community relations programs to its own circumstances, consistent with Departmental policy*

Every site has unique features that must be taken into account in developing an appropriate community relations program. While there are common denominators of principle and practice that should apply across all sites, the means and styles of implementation may be different to suit particular circumstances. Rather than prescribing specific practices, it is preferable to set performance goals for community relations and let each site determine how best to achieve them. DOE Headquarters should promote a systematic effort to identify and assess the causes of both successes and failures in community relations and to disseminate the lessons throughout the complex. Lessons from community relations failures at some DOE facilities, sometimes leading to acrimonious litigation, must be understood and applied elsewhere so that other facilities do not repeat the same mistakes.

3. *DOE must recognize and address its legacy of public distrust*

Trust in the DOE and its predecessor agencies has been eroded by past actions and community experiences with the DOE facilities. This legacy of distrust places extra burdens on DOE and contractor personnel who bear no responsibility for past actions, but who must nonetheless deal with the legacy. They must not marginalize those who are critical and distrustful. Furthermore, in seeking the trust of the community, DOE and contractor management must learn to trust the community in return. While this might appear risky to those accustomed to a less open way of conducting business, it can lead to remarkably helpful results.

4. *Communication must be full, open, timely, and two-way*

Good community relations requires good communications in both directions. The site must provide complete and timely information to the community, and must be willing to receive and consider information from the community in return. Lack of knowledge and familiarity causes mistrust and fear. Failure to provide full and complete information causes distrust. It is particularly important to provide information in cases in which the information might be damaging or where the situation is changing rapidly. Information concerning public health, safety, and the environment must be made readily available. The minimum legal requirements concerning the amount and timing of information to be provided should be

exceeded whenever necessary to meet community needs. Consistent with the necessity to protect critical nuclear secrets, the Department should strive to preserve openness in its relations with the communities surrounding its sites and with the public more broadly.

Good community relations involves listening to the concerns of the community, not simply “getting the message out.” There should be an established and visible mechanism through which the public has direct access to top contractor and DOE officials at the site.

5. *Person-to-person contact is crucial for good community relations*

Successful community relations requires building positive personal relationships with key individuals and organizations in the community. The review team found at all of the sites visited that members of the community trusted specific individuals associated with the site rather than the organizations to which they belonged. Both DOE and the site contractor community relations personnel must be respected by and accessible to the community, and must also be respected within DOE and have direct access to top management. An important contributor to success is relationships with stakeholders developed by employees at all levels of the organization, not just at the top. In addition to a formal community relations or public affairs staff, each site visited by the site review team has employees at various levels throughout the organization who engage in outreach and involvement and are seen as effective ambassadors by the community. The community needs to see that senior management gives such individuals and their activities visible institutional support and recognition.

6. *A constructive attitude towards community relations is critical to success*

DOE and the contractor must approach community relations with the understanding that the site is part of the local community, not a federal enclave on foreign territory. With the end of the Cold War, and the growth of non-classified research activities even at defense sites, there is no reason to believe that the degree of isolation that prevailed in the past will serve a site well in the future. Facility management must be willing to consider the impacts of choices on the state of relations with the surrounding community, and to take those impacts into account in making decisions. Building good community relations requires people with the right attitude and mindset; they must not have a “fortress mentality” and must scrupulously avoid “demonizing” any opposition or being perceived as arrogant. New approaches conducive to good community relations will likely require changes in some traditional and firmly held views within facilities.

7. *Management at all levels must be accountable for good community relations*

Management at all levels of DOE and site contractor organizations must strongly support community relations efforts throughout their organizations, and must themselves be actively and visibly engaged with the community. Senior managers should have measurable performance standards for community relations included in their job descriptions and performance evaluations. Authority and responsibility for community relations should be delegated to the Field Office level to the extent possible. Concomitantly, DOE Field Office

management must have the knowledge and skills needed to take a direct role in community relations and to administer the community relations aspect of the site management contract. Site contractor personnel also play a key role in community relations. DOE should tie experience in community relations to site management contract awards, and contracts should include meaningful criteria for performance in community relations. The best approach for assessing performance is for DOE to listen directly to the community's views of relations with the site, rather than to rely solely on self-evaluations. Success should be measured by results – the actual state of community relations. This pilot review has shown that members of the community are willing and able to provide candid assessments to independent evaluators.

8. *Community relations requires a clear and unambiguous organizational focus*

Community relations should have a clearly identified focal point at the site, operations office, and headquarters levels. This focal point should be separate in reality and appearance from any activities aimed primarily at one-way communication, often referred to as "public relations." Community relations requires two-way communication and involves working with the community on subjects of mutual interest and concern. Community relations efforts will appear insincere, and thus be ineffective, if they are seen as means of persuasion or manipulation. Community relations should not be viewed as solely a function of the environmental management part of a site's organization. The sites should seek to provide community relations points of contact for all activities, not just those conducted by the environmental management program. Secretarial attention may be required to ensure that a uniform level of attention is paid to community relations across the range of Program Secretarial Offices having responsibility for the various sites. DOE Headquarters should have an institutional focal point for community relations. This could assist the various responsible Program Secretarial Officers carry out their responsibilities in this area, monitor the Department's performance across the complex, and identify and disseminate community relations "best practices" from both departmental and private sector experience.

9. *Community relations must be an integral part of DOE operations*

Community relations must be an integral part of all programs and activities, not simply an add-on. Adequate funding must be provided. Community relations should be treated as a normal cost of doing business, and should not be a low priority when budgets are tight. Community relations activities also require time, which should be provided for in program planning.

10. *DOE facilities should seek ways to make their resources useful to the surrounding community.*

A proven way for DOE facilities to improve relationships is to use resources to help host communities. Mutual fire protection and emergency response agreements are much appreciated by surrounding communities and appear beneficial to the DOE facility as well as its neighbors. Education support activities at all levels are also highly valued by host communities. This is particularly true of those directed towards minority students. These

education efforts can benefit the DOE by increasing the scientifically and technically literate pool and introducing them to the possibility of working with the facility as a possible career. An effort must be made to ensure that education programs do not stray into being public relations efforts to promote a point of view or convey a message. DOE's emphasis should be a contribution to and partnership with educational institutions and should assist such institutions in achieving their own goals. Sites should also consider other ways in which their physical resources and employee skills might benefit their neighbors. Site management should work with the community in defining the types of assistance to be provided.

## Recommendations to the Secretary

1. The Secretary should establish a policy emphasizing effective, progressive community relations as a priority throughout the complex of DOE facilities. This policy should be included in the Department's Strategic Plan. It should, in turn, be embraced and promulgated by each of the facilities as an integral programmatic objective.
2. The Secretary should require community relations reports from field managers at the monthly field managers meeting in Washington in order to ensure continuing high-level attention to this issue.
3. Incentives for good community relations should be established. Senior DOE managers should have measurable performance standards for community relations included in their job descriptions and performance evaluations. DOE should tie experience in community relations to site management contract awards, and contracts should include meaningful criteria and incentives for performance in community relations. A process for independent assessments of the community's views of the adequacy of a site's performance in this area should be developed.
4. DOE Headquarters should have an institutional focal point for community relations, to assist Program Secretarial Officers carry out responsibilities in this area, to monitor the Department's performance across the complex, and to identify and disseminate community relations "best practices" from both departmental and private sector experience.
5. Each site should develop an organized approach to enable members of the community to express concerns and an organized approach for the site to respond. The community should have a clear understanding of how, and to whom, to communicate concerns. The mechanism for communication should include an appeal process to assure objective review.
6. The DOE should periodically conduct independent community relations reviews at DOE sites. Continuing the process tested in this pilot review is desirable as a way to evaluate DOE's relations with its host communities. It is also a potentially powerful tool to assist facilities strengthen the ties with their communities.

The format used in this pilot review, which relied heavily on independent observers rather than DOE employees listening to the views of representatives of community organizations, produced candid and helpful discussions. In the future, more planning and communication with the communities and site personnel should precede the site visits. More time should be allowed to identify people with whom to meet who are independent of DOE or its contractors, to allocate time for interviews, and to provide an opportunity for those interviewed to request changes in the format of the interviews or subjects to be discussed. Each review should include private feedback to the site personnel.

**STATEMENT BY ENERGY SECRETARY  
SPENCER ABRAHAM  
TO THE  
SENATE ARMED SERVICES COMMITTEE  
February 8, 2001**

Mr. Chairman, Senator Levin, and Members of the Committee, it is a privilege to appear before you today. I want to thank you for providing me with this opportunity to discuss the important national security programs on the Department of Energy.

Having been on the job less than three weeks now, I am certain that I will be able to answer all of your detailed questions with great ease.

As each of you are intimately aware, more than two-thirds of the Department of Energy's budget is funded from defense accounts. The Department supports our national security in many critical areas, including: (1) maintaining our enduring nuclear deterrent; (2) mitigating the proliferation of nuclear weapons, fissile materials, and weapons expertise; (3) providing the Navy with effective nuclear propulsion systems; and (4) cleaning up the legacy of more than 50 years of nuclear weapons production.

I wish to say at the outset that I intend to work with each of you to ensure that these programs are successful and that they continue to support the national security interests of the United States. Let me begin by taking a moment to briefly discuss my views on each of these areas, starting with the programs of the National Nuclear Security Administration.

First, I will say that I fully supported the establishment of the NNSA when I was in the Senate and continue to support it today. I voted for the Domenici-Kyl amendment and for the Defense Authorization Act which created the NNSA. General Gordon and I have established a very productive working partnership and I am confident that this new entity will be successful.

**Weapons Programs**

As I stated during my confirmation hearing only three weeks ago, the most sobering and important responsibility vested in the Secretary of Energy is the duty to certify to the President each year that the U.S. nuclear arsenal is safe, secure and reliable.

I can assure the members of this Committee that nothing I do will be higher on my priority list than ensuring the safety and security of our nuclear deterrent.

The DOE weapons program is continuing to implement new methods of certifying the safety, reliability, and effectiveness of U.S. nuclear warheads in the absence of underground nuclear testing. This requires expensive and technically complex new experimental facilities and capabilities. Not all of these facilities and capabilities are operational yet, but the Department is continuing to make progress in this area. We must establish these new facilities and capabilities as rapidly as possible.

I believe that we would want to pursue most of these new capabilities even if we were in a testing environment. I hope to work with you and the other members of Congress in the coming months to ensure that these programs are adequately funded and supported. In addition to establishing these new science-based certification tools, DOE is also in the process of evaluating our critical production capabilities -- such as tritium gas production, uranium processing, and plutonium pit production. Again, these capabilities may require expensive, new facilities and technologies and in the future, I hope to work with you to ensure that any need which we may have are successfully met.

### Nonproliferation Programs

The Department also plays a critical role in threat reduction, by addressing the challenge of nuclear weapons proliferation. This nation has an acute interest in accounting for and preventing the spread of nuclear weapons materials, technology, and expertise. The Department has had many past successes in this arena and -- working with you B I will continue those efforts.

I believe that the recent Baker-Cutler report will serve as a useful tool to help frame the debate on these critical issues, and I look forward to working with you to address these challenges.

### Naval Reactors Programs

This is an area of the Department that is running exceptionally well. In my opinion, the old adage -- "if it isn't broken, don't try to fix it" -- applies here. I have great confidence that Admiral Bowman and his staff will continue the tradition of excellence that has marked this program since it was established by Admiral Hyman Rickover in the 1940s.

### Environmental Management

The Department also has the unenviable responsibility of cleaning up and managing the wastes generated during more than 50 years of nuclear weapons

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production. These problems were not created overnight and certainly we are not going to dispense with them quickly or easily. But, we can do a better job.

I plan to examine DOE's cleanup program and identify those areas where we can make better progress in cleaning up and closing excess facilities and sites. I plan to work closely with you, the other Members of Congress, and also with the States and local communities that host these sites, to find ways to accelerate the pace of cleanup. By working to reduce overhead costs, I feel we can free up more funds for accelerated cleanup.

### Other Challenges

There are many other challenges facing the Department.

Improving security will be a very high priority of mine. I intend to work with General Gordon and the other DOE program offices to ensure that the Department's senior managers are fully engaged in improving security at all of our sites, not just the national laboratories.

Maintaining the Department's unique and critical skills will also be a top priority of mine. People are DOE's most valuable asset. Yet, we know that many production facilities are one engineer deep in essential manufacturing areas and many labs are at risk of losing their highly trained scientists and engineers to more attractive employment opportunities. In addition, the average workforce age at sites such as Pantex and Y-12 is well over 50 years old.

These are very troubling trends that must be addressed. I have spoken to former Senator Kempthorne about the Chiles Commission report, and I intend to take a close look at the Commission's recommendations to ensure that we are taking steps to maintain DOE's most valuable commodity B its highly trained workforce.

Finally, we must find a way to recapitalize DOE's aging infrastructure. DOE has allowed its nuclear weapons production plants to degrade in recent years, leaving a tremendous backlog of deferred maintenance and modernization. The deterioration of existing facilities is a very serious threat to DOE's mission readiness. Some have projected the backlog to be as high as several billion dollars. We must begin to address this problem and I would ask for your support in this area.

### Closing

In closing, let me say again that I am extremely honored that President Bush has chosen me for this position. The missions of the Department are vital to our national interests.

I pledge to work with the members of this Committee and others in Congress to carry out these missions to the best of my abilities and in the best interests of the American people.

Thank you.

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