

Advanced Photon Source

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PSC NATIONAL ENVIRONMENTAL POLICY ACT (NEPA) REVIEWS

Section where used:

This procedure is to be used by the PSC divisional environmental compliance representatives (ECRs) and the PSC NEPA Owner.

Changes made in this revision:

- Author changed from T. Barkalow to P. Rossi
- Replaced Managing Minor Work Projects at APS (APS_1257043) with Contractor and Construction Services (APS_1414023) in Section 1.4

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PSC NATIONAL ENVIRONMENTAL POLICY ACT (NEPA) REVIEWS

1 INTRODUCTION

The Photon Sciences Directorate (PSC) has a NEPA Owner who is responsible for ensuring all PSC organizations' routine activities, project work scope, and proposals have been evaluated for environmental impact in accordance with the National Environmental Policy Act (NEPA).

1.1 Purpose

This procedure describes the NEPA review process used within PSC.

1.2 Scope

- Field Work Proposals
- APS Minor Work Projects
- Laboratory Directed Research and Development (LDRD) Proposals
- Strategic Planning Program (SPP) Proposals – formerly known as Work for Others (WFO)
- Experimental Activities

1.3 Applicability

This procedure will be followed in the NEPA review of the activities listed under 1.2 Scope. The review must be conducted prior to activity implementation.

1.4 References

- LMS-PROC-11 [National Environmental Policy Act Implementation](#)
- LMS-PROC-105 [Work for Others Proposals](#)
- LMS-PROC-117 [Management of Laboratory Directed Research and Development Program](#)
- Environmental Assessment for Enhanced Operations of the APS at ANL-East ([APS 1181633](#))
- Contractor and Construction Services ([APS 1410423](#))
- APS Work Project Checklist (template) and Instructions ([APS 1259683](#))
- APS Experiment Safety Reviews ([APS 1187022](#))

2 BACKGROUND

The APS had an Environmental Assessment performed and documented for construction/operation and later amended to address significant new additions. An APS

NEPA checkpoint review process was developed and accepted by the then EQO Director on 9/17/1997. That process described how a NEPA review would be performed for individual minor work projects and for experimental activities. The review consisted of evaluating the activities against the EA (or revised EA once it was issued) and, if not bounded by the EA, the approved site wide Categorical Exclusions. A signature line for the completed NEPA review was included in the Work Project Checklist developed for minor work projects and a separate log was developed to list the individual reviews performed. The NEPA review for experimental activities was documented annually by each beamline's management. However, the APS NEPA checkpoint review process was not issued as an APS procedure.

LMS-PROC-11 National Environmental Policy Act presently requires each Directorate to prepare and issue a NEPA review procedure and contains requirements that are not included in the APS NEPA checkpoint review process. This procedure replaces the APS NEPA checkpoint review process and meets the requirements in LMS-PROC-11.

3 ACCEPTANCE CRITERIA

The activities listed under 1.2 Scope cannot be implemented until documentation is issued demonstrating the activity is within the scope of a currently approved NEPA document, such as an Environmental Assessment or an approved Categorical Exclusion issued by the DOE Argonne Site Office.

4 PREPARATION OR PREREQUISITE ACTIONS

Prepare the requisite documents for activities listed under 1.2 Scope prior to the NEPA review.

5 PROCEDURE

The following sub-sections cover each set of activities listed under 1.2 Scope.

In all cases the term "NEPA Owner" includes any alternate PSC NEPA Owner who has been designated and certified as an NEPA Owner in accordance with LMS-PROC-11. In the extended absence of the PSC NEPA Owner, the alternate PSC NEPA Owner, any other certified ALD NEPA Owner, or the Argonne NEPA Coordinator may perform a NEPA review in order to process a document in a timely manner.

The NEPA Owner must document and maintain records of NEPA reviews in accordance with [LMS-PROC-11](#).

5.1 Field Work Proposals

5.1.1 Divisional Field Work Proposals (FWPs) that are continuation of previous FWPs do not require review by the NEPA Owner as the previous NEPA review remains

valid. All new work covered by an FWP requires a NEPA review as described in the remainder of this section.

- 5.1.2 The pertinent division's budget administrator must provide the scope of each divisional Field Work Proposal (FWP) to the NEPA Owner prior to submission to the Office of the Chief Financial Officer (OCF). The information can be attached to an email sent to, or given directly to, the NEPA Owner.
- 5.1.3 The NEPA Owner will review the scope and determine whether or not the described activities are addressed by an existing NEPA document. If so, the NEPA Owner will provide an email to the division's budget administrator that "yes" is the proper entry to be used for the eBud "NEPA Approved?" field. If the described activities are not addressed by an existing NEPA document, the NEPA Owner will provide an email to the division's budget administrator that "no" is the proper entry to be used for the "NEPA Approved?" field. In this case the NEPA Owner will prepare an Environmental Review Form (ERF) as described in LMS-PROC-11.
- 5.1.4 The division's budget administrator will confirm that the proper entry has been entered into the "NEPA Approved?" field prior to submitting to the OCF.
- 5.1.5 The NEPA Owner must enter the relevant information into the Argonne NEPA Log in accordance with LMS-PROC-11.

5.2 APS Minor Work Projects

- 5.2.1 All APS minor work projects that involve construction require a NEPA review.
- 5.2.2 The APS Coordinator must provide the original Work Project Checklist (WPC) to the NEPA Owner for review.
- 5.2.3 The NEPA Owner will review the WPC and attached documentation to determine whether or not the described activities are addressed by an existing NEPA document. The NEPA Owner signs the WPC on the "Environmental Review" signature line, obtains a NEPA reference number from the "Work Project Checklist and NEPA Log" located at 401/B4148C, completes the entry for the log, and then fills in the pertinent NEPA Reference Number from the log on the WPC.
- 5.2.4 When the NEPA Owner concludes that the WPC described activity is covered by an existing NEPA document, the reference to the pertinent document is entered into the "Work Project Checklist and NEPA Log" and no further action is needed.

When the NEPA Owner concludes that the WPC described activity is not covered by an existing NEPA document, this is noted in the "Work Project Checklist and

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NEPA Log” and a note added to the WPC that final implementation of the described activity cannot be conducted until an ERF is completed and resolved. The NEPA Owner must advise the APS Coordinator for the WPC of the NEPA review results. Unless directed otherwise by the APS Coordinator, the NEPA Owner proceeds with preparing and submitting an ERF for the WPC described activity in accordance with LMS-PROC-11.

When the NEPA Owner concludes that the WPC described activity does not require a NEPA review, “NA” is entered into the “Work Project Checklist and NEPA Log” and no further action is needed.

- 5.2.5 The NEPA Owner will request ALD Office Administrative Support to scan the Work/Project Checklists and NEPA Log into ICMS on an annual basis.

5.3 LDRD Proposals

- 5.3.1 DDs will ensure that the divisional ECR receives a copy of all LDRD Work Project Authorization forms (form ANL-48B) to be signed by the DD and the associated LDRD summary and scope.
- 5.3.2 Prior to the DD signing Block 7 on form ANL-48B, the divisional ECR must advise the DD as to whether or not the specific LDRD proposal involves tasks beyond computational or office work and therefore must have a NEPA review performed.
- 5.3.3 The divisional ECR must notify the NEPA Owner of each LDRD proposal requiring a NEPA review and provide a copy of the LDRD summary and scope description to the NEPA Owner.
- 5.3.4 The NEPA Owner will perform a NEPA review in accordance with LMS-PROC-11 and will notify the divisional ECR of the results. If the NEPA Owner determines the reviewed LDRD activity is not within the scope of an existing NEPA document, the NEPA Owner will proceed with preparing an ERF as described in LMS-PROC-11.
- 5.3.5 The NEPA Owner must enter the relevant information into the Argonne NEPA Log in accordance with LMS-PROC-11.

5.4 SSP Proposals

- 5.4.1 The divisional ECR must review each divisional SSP proposal for potential environmental impact as part of the divisional quality assurance review performed in accordance with LMS-PROC-105.

- 5.4.2 The divisional ECR must determine if the SSP proposal activities involve more than office work. If not, the ECR completes portions A and B of form ANL-697 in accordance with LMS-PROC-105 Exhibit A, provides the completed form to the divisional SSP proposal coordinator, and provides a copy to the NEPA Owner. If more than office work is involved, the ECR must provide to the NEPA Owner a copy of the SSP proposal and a copy of form ANL-697 with Part A completed.
- 5.4.3 If the NEPA Owner is provided a SSP proposal with associated form ANL-697, the NEPA Owner must perform a NEPA review and record the results in Part C of form ANL-697. The NEPA Owner then must sign form ANL-697 and return it to the appropriate divisional ECR. The divisional ECR in turn provides the completed form to the divisional SSP proposal coordinator.
- 5.4.4 The NEPA Owner must enter the relevant information into the Argonne NEPA Log in accordance with LMS-PROC-11.

5.5 Experimental Activities

- 5.5.1 [APS 1187022](#) requires an Experiment Safety Assessment Form (ESAF) be prepared for experiments performed on beamlines and in other APS experimental facilities.
- 5.5.2 Each ESAF references a set of Experiment Hazard Classes. These were addressed in the “Environmental Assessment for Enhanced Operations of the APS at ANL-East” as experiment safety envelopes. As such ESAF documented experiments with hazards that fall solely into these Experiment Hazard Classes are covered by an existing NEPA document and require no further NEPA review. This has been incorporated into the ESAF.
- 5.5.3 If an ESAF documented experiment has a hazard that has been marked as being in the “Other” Experiment Hazard , additional review must be performed by APS safety personnel (the Experiment Safety Review Board for beamline experiments or by the division ESH coordinator for non-beamline experiments) to determine whether or not a separate NEPA review is needed.
- 5.5.4 If a NEPA review is required, the applicable APS safety personnel must provide a copy of the ESAF and results of the additional review to the NEPA Owner.
- 5.5.5 The NEPA Owner performs the NEPA review and reports the results to the applicable safety personnel. If the proposed activity is not addressed by an existing NEPA document, the experiment originator will be informed and notified that the activities cannot be performed until NEPA documentation is obtained. The NEPA Owner will prepare an ERF in accordance with LMS-PROC-11 upon request of the experiment originator and must enter the relevant information into the Argonne NEPA Log in accordance with LMS-PROC-11.

6 CLOSEOUT OR POST-PERFORMANCE ACTIVITY

Not applicable.

7 DOCUMENTS/RECORDS CREATED BY THIS PROCEDURE

The documents/records listed below will be created in the execution of this procedure and must be retained as indicated.

Description of Document/Record (include ID number, if applicable)	Custodian	Storage Location and Medium	Retention Requirement
Documents reviewed and review results	PSC NEPA Owner	Electronic record in APS ICMS or paper copy in PSC NEPA Owner office	25 years from activity/project completion

8 TRAINING REQUIRED

The PSC NEPA Owner must complete Argonne training course ESH300A, Environmental Management System Training for Managers and Supervisors, and any additional training specified by ESQ to be certified as a NEPA Owner in accordance with LMS-PROC-11.

The PSC divisional ECRs must complete all Argonne training courses that are required for ECRs.

9 FEEDBACK AND IMPROVEMENT

If you are using this procedure and have comments or suggested improvements for it, please go to the [APS Policies and Procedures Comment Form](#)* to submit your input to a Procedure Administrator. If you are reviewing this procedure in workflow, your input must be entered in the comment box when you approve or reject the procedure.

Instructions for execution-time modifications to a policy/procedure can be found in the following document: Field Modification of APS Policy/Procedure ([APS 1408152](#)).

* <https://www.aps.anl.gov/Document-Central/APS-Policies-and-Procedures-Comment-Form>