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Revision: **0**



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June 1, 2014

## Waste & Environmental Services Standard Operating Procedure

### for **PREPARATION OF THE ANNUAL ENVIRONMENTAL SURVEILLANCE REPORT**

#### APPROVAL SIGNATURES:

<b>Subject Matter Expert:</b>	<b>Organization</b>	<b>Signature</b>	<b>Date</b>
Terry Morgan	WES-EDA	Signature on file	6/25/2009
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## 1. PURPOSE AND SCOPE

This Waste and Environmental Services (WES) procedure describes the preparation, review, and distribution of the annual LANL Environmental Surveillance Report (ESR) required by DOE Order 231.1A.

This procedure applies to individuals that contribute to the ESR: ESR coordinator, Group coordinators, ESR editor, ESR compositors. Not required (but recommended) to train to this procedure are: authors of ESR.

## 2. BACKGROUND AND PRECAUTIONS

### 2.1 Background

This procedure conforms to the requirements of DOE Order 321.1A. The annual ESR summarizes the results of environmental monitoring of air, surface water, groundwater, sediments, soils, biota, and foodstuffs performed at LANL during a calendar year. The report is prepared by personnel in at least four groups. A coordinator for the whole report ensures that the report is compiled, reviewed, and prepared efficiently and on time. Per DOE Order 321.1A, the ESR must be available to the public by October 1 after the sampling year.

### 2.2 Precautions

#### 2.2.1 Procedure Change

- If the ESR preparation process needs to be changed based on experiences during the previous year, the **ESR Coordinator** initiates revision of this procedure at the fall planning meeting.

## 3. EQUIPMENT AND TOOLS

None.

## 4. STEP-BY-STEP PROCESS DESCRIPTION

### 4.1 Description of Roles

ESR Coordinator	1.	Act as main point of contact for ESR preparation.
	2.	Coordinate resolution of content and format issues between DOE and LANL.
	3.	Confer with division representative for final decisions on any conflicts.
	4.	Plan and schedule actions in this procedure so ESR is issued for public release by October 1.
	5.	Arrange for outside review of the report.

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ESR Coordinator (cont.)	6.	Maintain distribution list for ESR.
	7.	Perform grammar and spelling edit of the report before final publication.
	8.	Perform check of references to tables, figures, and references.
	9.	Provide any needed guidance on layout and format.
ESR Editor	10.	Make final decisions regarding content and format.
	11.	Act as point of contact between the ESR coordinator and authors in the group.
	12.	Receive report submissions from authors in respective group, submit report submissions to ESR coordinator, and receive comments from ESR coordinator and editor.
	13.	Determine the content required in assigned sections to meet the requirements of DOE Orders with the group leader and authors.
	14.	Arrange for group technical reviews.
	15.	Certify the accuracy and quality of the data submitted by group authors.
Group Coordinators	16.	Perform technical edit of group's input.
	17.	Receive report submissions from group coordinators.
	18.	Compile the ESR and its drafts.
	19.	Maintain files of report submissions, drafts, and comments, and submit to records center upon completion of the report.
	20.	Maintain distribution list of those who wish to receive final report.
ESR Compositor	21.	Work with WES-EDA Group web master to post ESR on the web.
	22.	Write assigned sections of the report, provide the report submissions to the group coordinator, and respond to reviewers' comments.
	23.	Determine, with the group coordinator, the content required in assigned sections to meet the requirements of DOE Orders.

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#### 4.2 Planning and Scheduling of Report Preparation

ESR Coordinator 1. Planning for the ESR begins in the fall of the year for which the report is being prepared. For example, planning for the 2010 report starts in the fall of 2010. The 2010 report is to be available to the public by October 1, 2011.

#### 4.3 Fall Planning Meeting

ESR Coordinator 1. Call for a planning meeting sometime in November. Invitees should include the group coordinators from each contributing group, ESR editor, compositors, and the ESR Coordinator (owner of the ESR process).

Group Coordinators 2. May invite authors to the fall planning meeting.

ESR Coordinator 3. At the fall meeting, provides the group coordinators with the following information to resolve format and content changes to the extent practical.

- Summary of outside review (content review) of last year's report
- Proposed schedule for submittals and report preparation (see example Attachment 1, Example of ESR Preparation Schedule)
- Proposed format and layout of the report (based on discussions with ESR Coordinator)
- Lessons learned from last year's report
- Assignments to each group for required submittals
- Other relevant topics

Group Coordinators 4. Provide input on the following at the fall meeting:

- Proposed format and content changes
- Author assignments
- Proposed schedule
- Other relevant topics

#### 4.4 Spring Planning Meeting

ESR Coordinator 1. Calls for a planning meeting sometime in March. Invitees will include the group coordinators from each contributing group, ESR editor, compositors, and ESR Coordinator.

Group Coordinators 2. May invite authors to the spring planning meeting.

ESR Coordinator 3. Provides the group coordinators, at the spring meeting, the following information:

- DOE's guidance on report format as available
- Final format and layout of report
- Guidance and requirements from ESR editor and compositors for submission of electronic files, including format and file naming conventions
- Schedule for submissions
- Other relevant topics

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| Group Coordinators | 4. | Provide information on the following at the spring meeting: <ul style="list-style-type: none"> <li>• Proposed format and content changes</li> <li>• Author assignments</li> <li>• Status of any analytical work that may impact the preparation of the report</li> <li>• Schedule for submissions</li> <li>• Other relevant topics</li> </ul> |
|--------------------|----|---|

#### **4.5 Preparing and Submitting ESR Contributions**

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| Group Coordinators | 1. | Make assignments to each author within the group and establish a schedule for submission of contributions from each.                        |
|                    | 2. | Make final decisions on the content required with the group leader and authors to meet the requirements of DOE Orders.                      |
| Authors            | 3. | Prepare the required contributions and submit them to the group coordinator.  |
| Group Coordinators | 4. | Ensure each author's contribution is technically reviewed by appropriate peers or outside experts before submission to the ESR coordinator. |
|                    | 5. | Send contributions to the ESR compositor in the agreed-upon electronic format after they have been reviewed.                                |

#### **4.6 Preparing and Reviewing Drafts**

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|-----------------|----|--|
| ESR Compositor  | 1. | Logs all submissions and compiles them into the specified format.  |
| ESR Coordinator | 2. | Works with the compositor to prepare drafts of the separate ESR chapters, preferably within a week, and returns the draft to the group coordinators. Marked changes (strikeout or redlines) should be left in the document so authors can see what was changed or edited.<br><br>Generally, three review drafts should be prepared for each chapter, with reviews after each (see below). If review comments are minimal, fewer drafts may be produced. If comments are numerous and/or revisions are significant after each draft, more drafts and review cycles may be needed. |
|                 | 3. | Arranges for review of each draft chapter as each is available. Establishes a deadline of about two weeks for return of comments for each review.  |
|                 | 4. | If there are significant changes to the chapter, the chapter is re-sent for a subsequent review.   |
|                 | 5. | If comments are available before the "concurrent review" meetings (see below), appropriate comments are forwarded to each group coordinator before the meetings.   |
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ESR Coordinator (cont.)	6.	Arranges for review of each chapter with required reviewers, including: <ul style="list-style-type: none"> <li>• Authors within each group that provided contributions (arranged through group coordinators)</li> <li>• LANL Office of Legal Counsel (LC)</li> <li>• LANL Classification Group (Safe-1)</li> <li>• EP Division Environmental Programs Manager (ADEP)</li> <li>• DOE Los Alamos Site Office (LASO)</li> </ul>
	7.	Obtains documented concurrence from the above required reviewers before the report is finalized.
	8.	If the ESR coordinator and the chapter author decide to have a “concurrent review” session to address comments on a chapter, the ESR coordinator arranges (in cooperation with the group coordinators) for a meeting between the reviewers and authors to reach consensus on the changes to be made to the draft. The ESR compositor tracks all changes discussed at the concurrent review meeting.
Authors	9.	Submit re-writes as necessary to the group coordinator who forwards them to the ESR Compositor.
ESR Coordinator	10.	Sends the draft for spelling and grammar edit after final preparation of the first draft of each chapter and after any major changes.
	11.	Prepares Form 595 and submits the draft to Safe-1 Division for security review and assignment of a publication number about two months before publication.

#### **4.7 Preparing Final ESR**

ESR Compositor	1.	Makes all changes and prepares the final version of the report after all changes have been successfully negotiated with DOE and the approval from DOE has been received.
ESR Coordinator	2.	Obtains final certification letters from EP, WQH, RCRA, and EAQ groups attesting to the data accuracy and completeness in their respective ESR chapters.
ESR Compositor	3.	Submits the report to the EP Webmaster for electronic posting on the LANL web Internet site. Posting on the web site constitutes “release” for purposes of meeting the October 1 milestone for public availability of the report.
	4.	Coordinates the ESR distribution of the executive summary or CD copies to those on the maintained distribution list.

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#### 4.8 Records Management

- ESR Coordinator
- Maintains and submits, by November 1, the following records and/or documents generated to the Records Processing Facility according to EP-DIR-SOP-4004, Records Transmittal and Retrieval Process:
    - Copy of printed ESR
    - Written correspondence with DOE
    - Approval from DOE to print
    - Data certification memos from EP, WQH, RCRA, and EAQ groups
    - Draft reports with author comments

#### 5. DEFINITIONS

None.

#### 6. PROCESS FLOW CHART

Not applicable.


#### 7. ATTACHMENTS

**Attachment 1** Example of ESR Preparation Schedule

#### 8. REVISION HISTORY

Revision No. <i>[Enter current revision number, beginning with Rev.0]</i>	Effective Date <i>[DCC inserts effective date for revision]</i>	Description of Changes <i>[List specific changes made since the previous revision]</i>	Type of Change <i>[Technical (T) or Editorial (E)]</i>
0	3/15/99	New procedure.	T
1	3/15/00	Revised document, issued as LANL-ESH-20-OPRDT-001	T
2	6/16/04	Revised and issued as RRES-MAQ-232, R2.	T
3	12/12/05	Revised to streamline description of process and reflect new coordinator.	T
0	7/14/09	Revised and reformatted, issued as SOP-5231; supersedes ENV-MAQ-232-R3.	T

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ATTACHMENT 1	
<p><b>SOP-5231-1</b></p> <p>Example of ESR Preparation Schedule</p>	<p>Records Use only</p> 
<p><b>Preparation of 2009 Environmental Surveillance Report</b></p> <p><b>CY 2010 Schedule</b></p>	
<p>Process starts with initial submission of chapter – chapters submitted late can cause schedule to slip. Schedule is the latest or longest time allotted – processes should be started sooner when possible.</p> <p>Schedule for initial submission of chapters:</p> <p>Ch. 7 &amp; 8    April 10, 2010  Ch. 1 &amp; 2    May 1, 2010  Ch. 4        May 22, 2010  Ch. 3        June 1, 2010  Ch. 5 &amp; 6    June 12, 2010</p> <p>General schedule:</p>	

What	When	How Long	Who
Draft submitted to compositor and coordinator	See table above		Chapter author
Compositing of text, tables, and graphics	Starts after initial submission	2 weeks	Compositor
Review of changes by author	After first compositing; starts 2 weeks after submission	3 days	Chapter author
1st draft for technical reviews (may include DOE Reviewer and legal)	After author approves composition; starts 2+ weeks after submission	2 weeks	ESR Coordinator
Editing	Concurrent with reviews; starts 4+ weeks after submission	1 week	IRM-CAS Editor
Concurrent review session (optional)	At end of review period: occurs about 5 weeks after submission	1 day	Chapter author, reviewers



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<b>What</b>	<b>When</b>	<b>How Long</b>	<b>Who</b>
Comment resolution	After comments received; starts 5 weeks after submission	2 weeks	Chapter author
2nd compositing of text, tables, and graphics	After comment resolution; starts 7 weeks after submission	1 week	Compositor and ESR Coordinator
Review of changes by author	After compositing; starts 8 weeks after submission	3 days	Chapter author
Legal review	Starts 8–9 weeks after submission; no later than early August	1 week	Legal Counsel
Security review by Safe-1	Concurrent with legal review	1 week	Group Safe-1
3rd edit and composite text, tables, graphics	Mid-August	1 week	Compositor, IRM-CAS editor
Review by DOE and ADEP for final approval	Late August	1 week	DOE reviewers and approvers
4th draft to author for final review and check	Early September	1 week	Chapter author
Final document composited	Mid-September	One week	Compositor and ESR Coordinator
Post document on web	Mid-September	One week	Compositor and ESR Coordinator

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