Statement of Objectives (SOO)
Staff Support for Regional State Engagement with the U.S. Department of Energy - Office of Integrated Waste Management on Radioactive Materials Transportation Planning for the Midwestern Region

1. PURPOSE

The purpose of this Cooperative Agreement between the U.S. Department of Energy (DOE), Office of Nuclear Energy (NE), Office of Integrated Waste Management (DOE-IWM) and [TBD] hereinafter referred to as the "Recipient" is to facilitate engagement between State government officials in the midwestern region of the United States and DOE-IWM in planning for future large-scale DOE transportation of commercial spent nuclear fuel (SNF) and high-level radioactive waste (HLW) to storage and disposal facilities, when such facilities become available, and related DOE program issues that may impact a State or region. This facilitation is an essential component of developing and implementing a successful large-scale SNF transportation program that is safe, secure, and that merits public trust and confidence.

2. BACKGROUND

The U.S. Department of Energy (DOE) is conducting activities in preparation for consolidated interim storage and disposal of commercial SNF and other nuclear wastes. These activities include, but are not limited to, site preparation activities at nuclear power plant sites, evaluation of regional transport considerations, and transportation coordination efforts as part of an integrated waste management system. The working relationship between DOE-IWM and the States under this Cooperative Agreement will be based on cooperation and consultation and will build on the successful collaborations among Tribes, States, and DOE on other shipping campaigns.

This Statement of Objectives (SOO) outlines activities to be conducted by the Recipient to assist DOE-IWM in preparing for, and if applicable, implementing an integrated waste management program. Activities may include, but are not limited to:

- evaluation of transportation infrastructure at and near nuclear reactor and SNF storage sites;
- efforts to complete the policy and procedures for a DOE emergency response training and technical assistance funding program for SNF shipments;
- addressing outstanding questions related to a rail, highway, or waterway based SNF transportation system;
- developing a framework for DOE rail, highway, and waterway safety inspections;
- information sharing on DOE development of specialty railcars;
- assisting in developing general plans and procedures for DOE SNF shipping campaigns, including providing regional or State-specific data and information;

- supporting State participation in meetings and technical conferences including the Annual Meeting of DOE's National Transportation Stakeholders Forum (NTSF), as appropriate; and
- other activities specific to the Nuclear Waste Policy Act of 1982, as amended and/or management of commercial SNF by DOE.

3. PERFORMANCE PERIOD

The period of performance is January 1, 2022 through September 30, 2026.

4. STATEMENT FOR CONDUCTING THE PROJECT

The Recipient shall complete the tasks and deliverables described below in this SOO under this Cooperative Agreement in cooperation with the following States (hereinafter referred to as "participating States") Illinois, Indiana, Iowa, Kansas, Michigan, Missouri, Minnesota, Nebraska, North Dakota, Ohio, South Dakota, Wisconsin. Changes to this list may be made with DOE-IWM approval.

The Recipient shall assemble and manage the participating States in a committee format that ensures both adequate and balanced representation from their region with a primary purpose of addressing topics and issues relevant to this SOO.

Under this SOO, the Recipient agrees to:

A. Serve as the primary point of contact to DOE-IWM on matters pertaining to planning for DOE shipments of SNF in their region.
B. Coordinate all other tasks related to the common concerns and information needs of participating States, Recipient, and DOE-IWM (e.g., policy guidance, technical research and information - as related to SNF, HLW, and other radioactive materials; historical documentation, and lessons learned).
C. Provide funding made available under this Cooperative Agreement for State participants' travel to technical conferences and meetings that are directly related to the overall purpose of these Cooperative Agreements.
    a. All travel under this Cooperative Agreement, other than what is included in the Recipient's initial budget plan, annual Supplemental Program Proposal, or requested by DOE-IWM, must be preapproved by DOE-IWM using the format provided in Appendix A.

5. STATEMENT OF OBJECTIVES

The Statement of Objectives (SOO) is divided into two parts; the first part consists of Principle Program Tasks and Principle Deliverables which will be conducted throughout the performance period of the Cooperative Agreement and are described below. DOE-IWM considers the Principle Program Tasks and Principle Deliverables to be priorities and are consistent across all DOE-IWM Cooperative Agreement Recipients. The second part comprises Supplemental Program Tasks that may be proposed each year by the Recipient and entail specific objectives, work products, and schedules of activities to be conducted during the ensuing funding year. Supplemental Program Tasks will be proposed by the Recipient to DOE-IWM for approval prior to the start of each federal fiscal year in the performance period. Activities proposed as Supplemental Program Tasks should be consistent with DOE-IWM's current program direction, planning and analysis activities, and other DOE policies, and include initiatives intended to meet informational, technical, and other needs of participating State representatives in the region within the overall scope of the SOO.

6. PRINCIPLE PROGRAM TASKS

A. Planning and Policy
   1. Recipient will convene a committee of participating State representatives ("regional committee") in the region to identify topics and issues of interest to committee members related to DOE transport of SNF and HLW to yet-to-be-determined storage and/or disposal facilities, and to engage directly with DOE-IWM staff.
   2. Recipient will convene two regional committee meetings each year, with additional conference calls and/or web-meetings, as needed.
      a. It is expected that one meeting each year will be held in conjunction with DOE's NTSF[1] Annual Meeting.
      b. Recipient will provide logistical support for each regional committee meeting/call including preparation of agendas and briefing materials with input from participating State representatives; assembling meeting handouts and presentations; staffing meeting operations; sending follow-up materials including meeting summaries; and preparing reports of actions to be taken or decisions made, when warranted.
   3. Recipient will participate in and recruit regional committee members to participate in DOE-IWM efforts to identify, evaluate, and prioritize public policy issues regarding development of the transportation system to support shipments of SNF and HLW.
   4. Recipient will coordinate with DOE-IWM program staff to schedule quarterly conference calls/meetings to review the status and progress of activities under the Cooperative Agreement, and emerging issues relevant to the program.

[1] Funds from this cooperative agreement may be used for Committee member travel to the NTSF, for costs of Committee meetings held in conjunction with the NTSF Annual meeting, to support travel costs of presenters from the region to the NTSF Annual meeting, to support staff participation in the NTSF Planning Committee, or similar activities. However, this cooperative agreement is not a funding source for planning or operational costs associated with hosting the NTSF Annual Meeting.

B. Shipment Planning and Preparedness
   1. Recipient will participate in, and recruit regional committee members to participate in, ad hoc working groups to address policy issues and planning activities related to DOE-IWM's program activities, such as the NTSF SNF Rail/Routing ad hoc working group, and others.
   2. Recipient will coordinate participation of committee chairs and co-chairs in DOE-IWM's Transportation Core Group, including attendance at in-person and/or virtual meetings for the purpose of discussing DOE-IWM program progress, future plans, and other outstanding issues.
   3. Recipient will support the assessment of routing and infrastructure issues related to transporting SNF and HLW in the region, including rail, highway, bridges, and port facilities, by facilitating connections between DOE-IWM staff and appropriate participating State government points of contact.
   4. As needed, Recipient will participate in and/or recruit regional committee members to participate in DOE-IWM site visits to nuclear power plant sites in their region.

C. Communications and Work Products
   1. Recipient will assist DOE-IWM in developing and distributing public information and communication materials associated with the transportation of SNF and HLW.
   2. Recipient will coordinate regional committee review and comment of DOE-IWM documents, web-materials, information products, DOE Orders, and other activities, as requested by DOE-IWM.
   3. Recipient will establish and maintain a website for the purpose of providing relevant information about their regional committee and its work to participating State representatives, DOE, and other stakeholders.
   4. Recipient will collaborate with Tribal governments in their region to collectively and strategically address issues impacting both Tribes and participating States.
   5. Recipient will coordinate with DOE-IWM program staff to schedule quarterly conference calls/meetings to review the status and progress of activities under the Cooperative Agreement, and emerging issues relevant to the program.

D. Other
   1. As requested by participating States, Recipient will enter into financial assistance agreements to support participating State engagement in activities, including but not limited to training and exercises.

7. PRINCIPLE DELIVERABLES

A. Planning and Policy
   1. Within 30 days from the start of the performance period, the Recipient will provide DOE-IWM with a list of current regional committee members with contact information, to include elected officials of participating State governments (or their designated employees with authority to act

on their behalf) acting in their official capacities through the Cooperative Agreement to engage with DOE-IWM on the topics covered in this SOO.

   a. The Recipient will provide DOE-IWM with updated contact information within 30 days of any change in regional committee representatives.

2. Within 45 days of each semi-annual regional committee meeting, Recipient will prepare meeting summaries, which include action items and/or agreements made, and email a copy or a public web-link to the DOE-IWM Program Manager.
3. Within 30 days from the end of each quarter of each federal fiscal year, the Recipient will submit a quarterly progress report on the status of the implementation of the Cooperative Agreement. Quarterly reports will follow the Federal Assistance Reporting Checklist and Instructions (examples of appropriate formats can be provided upon request). Quarterly reports may be structured to provide progress information for multiple DOE Cooperative Agreements, if the reports make it clear which activities are entirely or partially supported by DOE-IWM funds. The Recipient will submit periodic financial reports as specified in the Administrative and National Policy Requirements section of the Cooperative Agreement.

B. Shipment Planning and Preparedness

1. Every federal fiscal year, the Recipient shall obtain, in a manner to be determined by the Recipient, and provide to DOE-IWM independent feedback from its regional committee members. This feedback should focus on the type and quality of support services provided to the participating State representatives by the Recipient. The Recipient shall convey this information to DOE in a written report that summarizes the views expressed by each participating State and demonstrates the extent to which the Recipient is meeting participating State information and communication needs, is knowledgeable about the issues that are most important to the representatives of the States in their region, is providing suitable support to help participating State representatives understand or address key issues, and is otherwise adequately facilitating engagement between participating State representatives and DOE-IWM.

C. Communications and Work Products

1. Recipient will maintain a public website with designs, marketing, branding, and content development determined in consultation with participating State representatives.
2. Recipient will provide DOE-IWM with electronic copies of any reports, policy papers, technical papers, official letters, web-materials, training materials, presentations, and public communication materials produced under this Cooperative Agreement. Such documents must also comply with the Terms and Conditions of this Cooperative Agreement.

8. SUPPLEMENTAL PROGRAM TASKS

Supplemental program tasks may be proposed each year by the Recipient after consultation with participating State representatives, and entail specific objectives, work products, and schedules of activities to be conducted during the ensuing funding year. Supplemental Program Tasks will be proposed to DOE-IWM for approval at least 60 days prior to the start of each federal fiscal year in the

performance period (functionally, this will be part of the annual continuation award renewal process). Activities proposed as Supplemental Program Tasks should focus on initiatives that meet informational, technical, and other needs of State representatives in the region that are directly related to the purpose of the Cooperative Agreement.

9. SUPPLEMENTAL PROGRAM DELIVERABLES

Will be determined annually and correspond to the DOE-IWM-approved Supplemental Program Tasks proposed by the Recipient.

APPENDIX A:
DOE-IWM Travel Request Process

All travel under this Cooperative Agreement, other than what is included in the Recipient's initial budget plan, annual Program Proposal, or at the request of DOE-IWM, must be preapproved by DOE-IWM. Recipient must submit a travel request, with the information indicated below, to the Technical Project Office (TPO) with a copy to the DOE-IWM Federal Program Manager, thirty (30) days prior to the first day of the proposed travel. DOE-IWM approval of travel will be accomplished by an email response clearly approving the requested travel. Estimated timeframe for DOE-IWM approval/disapproval will be within three (3) business days.

Travel request information to submit to TPO:

- Name(s) of Traveler(s)
- Traveler(s) employer or affiliation
- Purpose of travel and relevance to Cooperative Agreement SOO
- Travel departure location
- Travel arrival location
- Travel start and end dates
- Estimated travel costs
- Estimated training/conference fees