

The Arctic Military Environmental Cooperative (AMEC) Program Management Manual

A Trilateral Initiative Among the Russian Federation, the
Kingdom of Norway, and the United States of America.

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1.0 INTRODUCTION

1.1 BACKGROUND

The Arctic Military Environmental Cooperation (AMEC) Program was established in 1995 to provide a forum for the United States, Norway, and Russia to work together in addressing military-related environmental quality issues in the Arctic. The primary purposes of the AMEC Program are to 1) share information on the impacts of military activities on the arctic environment, 2) develop cooperative relationships among military

personnel in the participating countries, and 3) sponsor technical projects that assess the environmental impacts of military activities in the arctic and develop action plans and technologies for managing such impacts.

The United States, Norway, and Russia are considered to be equal partners in the program. AMEC is funded by the three participating parties and managed jointly by the Ministries of Defence of Russia and Norway and the Department of Defense of the United States. Other government agencies and private organizations may participate in activities of the AMEC Program as deemed appropriate by the three AMEC participants.

The AMEC Program was established by a formal Declaration among the three participating countries. The Declaration describes the basic structure and purpose of the AMEC Program. The organization and operating principles of the Program are further elaborated in a series of formal Annexes. Taken together, the Declaration and Annexes are considered to be the highest level AMEC Program documents.

Two other documents, the AMEC Strategic Plan and AMEC Program Management Manual (this document), provide detailed information on long-term Program plans and management procedures. The AMEC Strategic Plan elaborates on the vision, and long-term goals and objectives of the Program, and establishes the strategic approach for achieving them. The Strategic Plan will be reviewed periodically and at least once a year to ensure that it reflects current policy and goals. This Program Management Manual provides a detailed description of how the program is organized, and establishes guidelines, procedures, and schedules for various aspects of project development and implementation.

1.2 AMEC PROGRAM MANAGEMENT MANUAL

The AMEC Program Management Manual (PMM) establishes guidelines and procedures for managing the AMEC Program and individual projects. This Manual is not an internationally agreed to legal document. Rather, it is a set of management practices which the AMEC participants agree in principal to follow for the mutual benefit of the success of the program.

The PMM is organized into two parts: the body (chapters 2 through 7) and the appendices. The body of the PMM presents guidelines and general procedures for the following: program organization and planning (Chapter 2); project development (Chapter 3); project management (Chapter 4); project funding, budgeting, and contracting (Chapter 5); program administration (Chapter 6); and legal issues (Chapter 7). The Appendices present detailed procedures and other information on the Program and individual projects. These are "living" documents that will be updated as the Program changes over time.

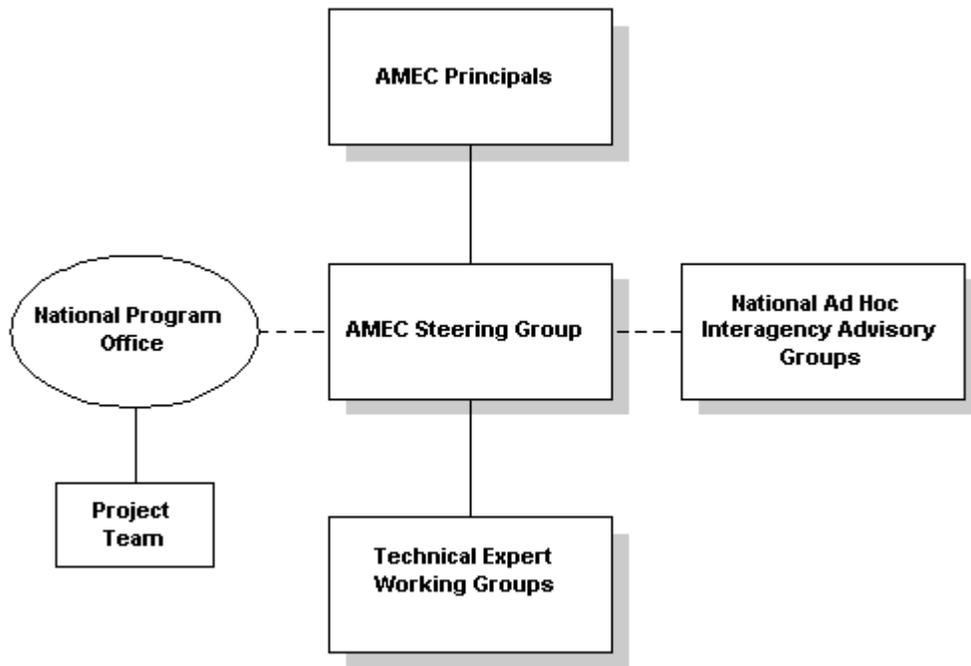
2.0 PROGRAM ORGANIZATION AND PLANNING

2.1 PROGRAM STRUCTURE

The Declaration between the Department of Defense of the United States of America, the Ministry of Defence of the Russian Federation and the Royal Ministry of Defence of the Kingdom of Norway establishes the basic purpose and objectives of the AMEC Program. The activities needed to achieve the objectives of the Declaration are described in Annexes to the Declaration.

The organizational structure and suggested means of financing the AMEC Program are established in the AMEC Terms of Reference. The AMEC Terms of Reference establish four entities for managing the Program: 1) the Parties to the Declaration; 2) the Principals; 3) a Steering Group; and 4) Technical Experts. These are trilateral entities, with members from the United States, Norway, and Russia. Figure 2-1 illustrates the AMEC organization structure.

Figure 2.1
AMEC Organizational Structure



In addition to the basic organizational structure described above, the AMEC Terms of Reference state that "Each country will maintain an internal project organizational structure to facilitate the successful execution of the AMEC Program and implementation of projects." Such facilitation may be achieved through the establishment of National Program Offices and Project Teams. As used in this Program Management Manual, the term National Program Office refers to an organizational set of functions that are necessary to support an individual country's Steering Group Co-Chair. These functions may include, but are not necessarily limited to administrative, technical and logistical support. The National Program Office should also serve to enhance communications

within and between AMEC countries. The physical form of the National Program Office must be decided by the individual countries and nothing in this PMM is intended to stipulate what structure must be followed.

Similarly, individual projects are carried out by Project Teams. Each AMEC country will determine how to staff Project Teams based on many considerations including availability of staff, internal government agency missions, and sources of funding. What is important is that all of the functions necessary to execute projects within the guidelines of this PMM are provided. Project Teams are described in more detail below.

Parties to the Declaration

The Parties to the AMEC Declaration are identified in the AMEC Terms of Reference as the Royal Ministry of Defence of the Kingdom of Norway, the Ministry of Defence of the Russian Federation and the Department of Defense of the United States of America. The Parties are responsible for overseeing the Declaration and approving or terminating amendments and annexes to the Declaration. Each of the AMEC parties is represented in AMEC activities by a Principal, Steering Group Representatives, and Technical Experts.

Principals

The Principals are identified by title in the AMEC Terms of Reference as officials of the Russian Ministry of Defence, the Norwegian Royal Ministry of Defence, and the United States Department of Defense. They ensure that the objectives of the AMEC Declaration are achieved by overseeing AMEC project development and obtaining needed resources. The Principals are responsible for the following:

- Developing guidelines for the direction of work under the Declaration and directing work of the Steering Group
- Program implementation, policies and requirements
- Meetings to review reports of program activities
- Approving participation of other country's government organizations in AMEC activities
- Approving annexes (including projects, significant changes, etc.) to the Declaration and obtaining funding for work required to support the Declaration
- Informing the Parties on the status and results of AMEC activities
- Terminating Annexes to the Declaration.

Steering Group

The Steering Group coordinates implementation of the Declaration, reviews guidelines and other aspects of AMEC development, and supervises implementation of AMEC projects. The Steering Group is co-chaired by a senior representative from each country, plus up to three special advisors. Country representatives receive administrative, technical, and contractual support from their respective National Program Offices (discussed below). The National Program Offices also provide the functional link

between the Steering Group and Project Teams that carry out specific projects. Each country's Steering Group Co-Chair may also receive support and advice from ad hoc interagency advisory groups.

The Steering Group provides overall leadership and control of the activities of the Project Teams. Disagreements that cannot be reconciled by the Steering Group are referred to the Principals for resolution. The Steering Group responsibilities as stated in the AMEC Terms of Reference include:

- Preparing proposals on the composition of technical expert working groups
- Managing the attainment of program goals and objectives by reviewing and approving project tasks, project schedules, and funding procedures
- Identifying and prioritizing work requirements, reviewing work plans, schedules, and financing, and executing program tasks on schedule and within budget
- Providing project task management and overseeing their implementation
- Supporting technical expertise requirements to meet Declaration goals
- Managing logistics and other program support to meet Declaration goals
- Overseeing national security aspects of AMEC Projects
- Preparing and reviewing proposals for new AMEC Projects and AMEC Program Areas to be approved by the Principals
- Providing Quality Assurance/Quality Control (QA/QC) oversight of Project planning, execution, and close-out
- Scheduling and organizing Steering Group meetings and reports to the Principals
- Identifying and disseminating lessons learned and process improvements, and making recommendations to AMEC Principals for future project actions.

Technical Experts

The Steering Group selects Technical Experts to provide advice on projects and evaluate proposals for new projects. As such, they have a role in both program and project support. Technical Experts are organized in working groups to review specific technical areas. These are distinct from ad hoc interagency advisory groups in two ways. First, Technical Expert working groups are trilateral, where ad hoc working groups are not. Second, ad hoc groups are generally made up of officials representing other government agencies outside the Defense Department or Defence Ministries. Technical Experts do not need to be government officials. The programmatic responsibilities for Technical Experts include:

- Preparing and submitting reports and documentation on the AMEC Program
- Organizing meetings and briefings, and preparing reports in conjunction with AMEC program requirements
- Ensuring Lessons Learned and Process Improvements are identified and communicated to the Steering Group
- Submitting proposals for future projects to the Steering Group for inclusion in the appropriate program area.

Project level responsibilities for the Technical Experts include:

- Ensuring the Project Plan integrates all task actions into a viable and efficient plan
- Conducting periodic reviews of budget status and taking routine action to ensure success
- Arranging meetings and conducting site inspections, etc., when necessary, at locations approved by the appropriate Steering Group representatives
- Ensuring deliverables and reports meet scheduled milestones
- Assuming QA/QC responsibilities for the Project's realization
- Developing and submitting a detailed Project Plan to the Steering Group representatives for approval

National Program Offices

Each country in the AMEC Program may establish a National Program Office headed by a National Program Manager. As discussed above, the National Program Office provides management, technical, and administrative support for the Program in each respective country. Specifically, the National Program Office will carry out the following functions:

- Provide contracting authority for work performed on AMEC projects
- Oversee the management of individual projects to ensure that they are on schedule and within budget
- Provide a point of contact(s) within each country for the programmatic, financial, technical, contractual and administrative functions of AMEC Program
- Provide administrative support for meetings and document management in each country
- Provide administrative and technical support to the national AMEC Principal and Steering Group representative
- Provide administrative support to the Technical Experts Working Groups and Project Teams when they meet trilaterally
- Coordinate support to the AMEC program provided by ad hoc interagency working groups, if applicable, and national members of Technical Working Groups
- Coordinate all AMEC correspondence between countries.

Project Teams

A Project Team will be established to carry out each AMEC project. A Project Team is composed of individuals who provide the management functions necessary for successful project execution. Key members of each Project Team include a Lead Project Officer from the country with the primary responsibility for a project, Project Officers from the other two countries, Contracting Officers representing each organization that contracts for specific project tasks, and a Principal Investigator for each task. Each country will be represented on all projects.

Project Teams may include individuals who are members of Technical Experts Working Groups, but they are not required to do so. In the event that a Technical Expert is assigned to review a proposal for a particular project, that individual should not also be a member of the Project Team that would carry out the proposal, in order to avoid the appearance of a conflict of interest.

The membership of a Project Team may change over time. For example, a project that begins as a study of environmental conditions at a site may evolve into a remediation effort. These are different tasks that require different kinds of personnel.

Project Officers

Project Officers manage the execution of projects. Each project will have a Lead Project Officer. The AMEC Steering Group will decide which country should have the lead on a given project based on its review of the project concept level proposal. Once the lead country has been selected, the National Program Office from that country will recommend to the Steering Group the Lead Project Officer, Contracting Officer, and Principal Investigator for that country. Each of the other two countries will also designate a Project Officer and a Contracting Officer. In some cases, potential key project members will be identified through the new project proposal development process (Chapter 3).

The Lead Project Officer is responsible for the day-to-day management of each project. The Lead Project Officer is expected to seek the views of the other two Project Officers on all substantive project-related matters (such as personnel assignments and task scheduling), and to build consensus wherever possible. The Steering Group will mediate any issues that cannot be resolved by the three Project Officers.

Unlike Technical Experts, Project Officers have contracting support through the organizations with which they are affiliated. Project Officers, by definition, should be associated with an organization that has the authority to enter into contracts to carry out project tasks. Project Officers are responsible for the following:

- Acting as a liaisons between the project teams, the Technical Expert Working Groups, and the AMEC National Program Offices
- Managing contracts needed to perform a specific project
- Managing project tasking, budgeting, and performance review
- Ensuring that the Principal Investigators meet milestones and the project budget.

Principal Investigator

More than any other individual, the Principal Investigator is responsible for performing the technical work needed to execute a given project. In most cases, the Principal Investigator is likely to be the same individual who developed the technical details of a project proposal. For this reason the Principal Investigator will typically have the most in-depth knowledge of a given project. This individual should be identified in the Project Proposal.

Contracting Officer

AMEC has no contracting authority by itself. Therefore, all AMEC project work must be carried out through an organization with contracting authority. A Contracting Officer represents the contracting organization on the Project Team. In cases where there is more than one contracting organization, each such organization will be represented on the Project Team by a Contracting Officer. The Contracting Officer is responsible for monitoring project performance on behalf of the particular contracting agency to ensure that the terms of the contracts are met.

2.2 PARTICIPATION BY OTHER COUNTRIES

Other countries besides the United States, Norway, and Russia may be concerned with impacts of military activities on the Arctic environment and wish to participate in the AMEC program in some capacity. The AMEC Principals will consider requests by other governments to participate in AMEC on a case-by-case basis. In considering such requests the Principals will consider the following kinds of factors: additional expertise and resources new participants could bring to the program, AMEC's relationship to other international programs, impacts on administrative requirements, meetings, and the decision making processes.

The position of Principal is available only to the three nations signatory to the original AMEC Declaration. The roles and responsibilities of the Principals do not change with the addition of new members. Other countries may participate in AMEC at one of the following levels:

Full Membership Full membership is open to new participants. Full members provide a representative to the Steering Group and have equal voting rights with the other members of the Steering Group. In addition to paying the cost of their own participation, full members are expected to contribute resources to fund AMEC projects.

Limited Membership Limited membership is the equivalent of "observer" status. Countries with limited membership participate in Steering Group meetings but do not have a vote in decisions and recommendations of the Steering Group.

Project Participation Project participation is open to nations providing expertise and/or funding to specific project(s). Participation in projects does not include participation in the Steering Group or any other AMEC activities except as required by the project and the Project Plan.

Additional detail on how requests by other countries to participate in AMEC will be evaluated is provided in Appendix IX.

2.3 PROGRAM PLANNING

The highest level document in the AMEC Program is the Declaration by the participating countries that established the Program and laid out its key goals. The next level of documents are the AMEC Terms of Reference, which establishes the organization of the program, and a series of Annexes, which provide additional information on program organization and content.

Two other documents provide more detailed information on planning, tracking, and evaluating program activities: the AMEC Strategic Plan and the AMEC Program Baseline. The purpose and content of these documents are described below.

Strategic Plan

The AMEC Strategic Plan is written by the Steering Group and must be approved by the Principals. Under the supervision of the Steering Group, it will be reviewed annually to determine whether it reflects the most recent developments in the Program, and revised accordingly. The Strategic Plan addresses the following topics:

- Program Vision, Goals, and Objectives
- Description of the Arctic environment and impacts of military activities in the arctic
- Technical issue areas in which projects will be developed
- Long Term (5 year) Program Schedule and projected budget

A copy of the AMEC Strategic Plan is included as Appendix I.

Program Baseline

The Program Baseline establishes objective metrics against which progress in the Program can be measured. In particular, the baseline includes current budgets, schedules, and milestones for the Program as a whole and the individual projects. The Baseline is closely related to the Strategic Plan. The Strategic Plan describes what the AMEC Program aims to do during the next 5 years, whereas the Program Baseline, which is prepared after the Strategic Plan has been completed and approved by the Principals, provides the benchmarks that reviewers can use in evaluating projects to measure how well the Program is achieving the goals and objectives stated in the Strategic Plan. The Baseline is revised at least annually (or as often as necessary) to ensure that it reflects current Program conditions. The Baseline includes the following kinds of information:

- Strategic Plan
- Broad (high-level) Technical Plan
- Broad (high-level) Financial Plan
- Current Projects Portfolio
- Information about projects approved for future implementation pending funding and prioritization

The current AMEC Program Baseline is included as Appendix II.

2.4 PROGRAM REVIEW

The Principals, with assistance from the Steering Group, will periodically review the AMEC Program to determine whether its mission, goals, and objectives are being met, and if they are not, how they should be modified. The review will address the following questions:

- Are project milestones being met?
- Are expenditures within budget?
- Are all quality assurance/quality control requirements being met?
- Are all administrative and reporting requirements being met?

In addition, the Steering Group will annually review the Strategic Plan and the Program Management Manual (this document) to ensure that they reflect current guidance from the Principals concerning overall mission, goals, and objectives, and strategy for managing projects and budgeting. These reviews will incorporate the QA/QC requirements outlined in the individual project contracts. A copy of the QA/QC requirements for each project is included in Appendix VI.

The Steering Group will ensure that any changes in program policy or technical direction are approved by the Principals and incorporated into the Strategic Plan or Appendices to the Program Management Manual.

3.0 PROJECT DEVELOPMENT

3.1 OVERVIEW

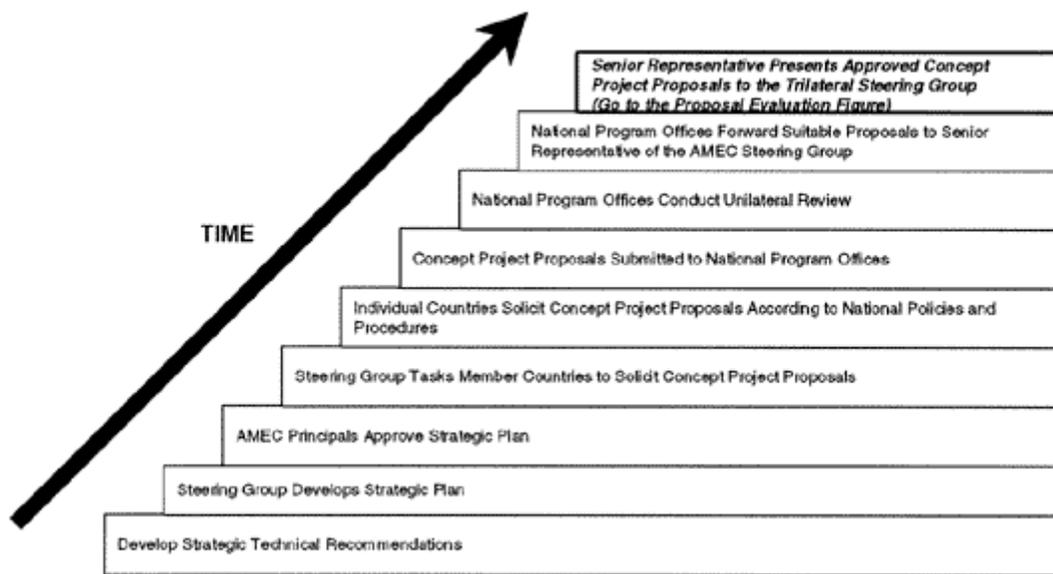
The AMEC Program carries out its work through projects that address the environmental impacts of military activities in the Arctic. In this sense, the AMEC Program is simply the collection of projects under its sponsorship. Since at any time there are more potentially worthwhile projects than the Program can actually sponsor, a process is needed for selecting new projects. This chapter describes the process for identifying, evaluating, and approving new AMEC projects.

Step 1 - New Project Identification

All proposals for new projects must be sponsored by a National Program Office, i.e., all proposals will enter the evaluation process through a National Program Office. The AMEC Strategic Plan describes the long-term interests and needs of the Program. Based on the priorities described in the Strategic Plan, each National Program Office helps the Steering Group to identify new projects. National Program Offices identify new projects by soliciting **concept level proposals** from capable organizations within the country. The

solicitation process for concept level proposals is summarized in Figure 3-1. Since each National Program Office will use the legal project solicitation process appropriate for that country, this PMM does not provide guidance on how projects should be solicited.

Figure 3.1
**AMEC Concept Project Proposal
 Solicitation Process**



As described below, a concept proposal is a brief description of a new project sufficient to allow the Steering Group to determine whether a **detailed proposal** is warranted. AMEC Program participants, such as Technical Experts, may also develop concept proposals through the organizations with which they are affiliated.

Step 2 - New Project Evaluation

The National Program Office of the country in which the proposal originates conducts a brief review to ensure that the proposal meets basic administrative requirements (e.g., page length, format, scope). The National Program Offices then send concept proposals they approve to the Steering Group. If the Steering Group believes the concept proposal is worth further consideration, it will ask the proposing organization, through the National Program Office, to prepare a detailed proposal for evaluation.

Step 3 - New Project Approval

Based on the evaluation of the detailed proposal by Technical Experts, the Steering Group may recommend that the Principals approve the project. If the Principals approve the project, it is assigned to the appropriate National Program Office for implementation. The following sections provide an overview of the information required in new project proposals. These requirements have been developed to ensure that the process is

consistent and to help reviewers evaluate the proposals. AMEC officials may request additional information from proposers at any time. Appendix X provides more detailed guidance on the required content of project proposals.

3.2 CONCEPT LEVEL PROPOSALS

The purpose of concept level proposals is to allow reviewers to determine whether a more detailed proposal is warranted. The concept proposal can be up to three pages long, and should include the following:

- A statement of the problem that the project would address
- The objective of the project
- The proposed technical approach
- A conceptual cost estimate and schedule.

The first step in the review process is for the National Program Office in the country where the proposal originates to make sure that the proposal meets minimum requirements for scope and content. If the National Program Office approves the proposal, it is forwarded to the Steering Group. Proposals must be provided to the Steering Group at least 30 days prior to the Steering Group meeting at which the proposal will be considered.

Evaluation Criteria for Review of Concept Level New Project Proposals

All projects must advance the goals of the AMEC Program described in the AMEC Strategic Plan. The Steering Group will consider the following factors in deciding whether to request a detailed proposal.

Arctic Region Projects must focus on environmental issues either in the Arctic region or in regions that have a significant probability of affecting Arctic ecosystems.

Military Focus Projects must address Arctic environmental issues that: 1) are caused by military activities, 2) where the military can have an impact in future protection or remediation of the environment, or 3) where there is military involvement because of security or operational issues. Military participation, coordination, or oversight of AMEC projects is required.

Environmental Concerns Projects should address environmental issues that are of the highest relative concern in the Arctic region. Examples include radioactive, heavy metals, or persistent organic contamination.

Coordination Projects should avoid duplication of efforts being made by other technical or scientific organizations. Plans and activities should be coordinated within and between the AMEC participants.

Funding Identification Potential sources of funding, funding distribution, and in-kind contributions shall be appropriate.

Cost Benefit Projects should provide maximum benefit at minimum cost.

Risk: Priority will be given to projects that address problems with the highest risk to human health and the environment.

Duration All projects will be considered regardless of duration. However, the AMEC Steering Group expects to support at least one or two short term, high impact projects that can be presented to the international community within two years, in addition to supporting longer-term projects.

Trilateral Implementation All three AMEC participating countries must be involved in all projects.

3.3 DETAILED PROPOSALS

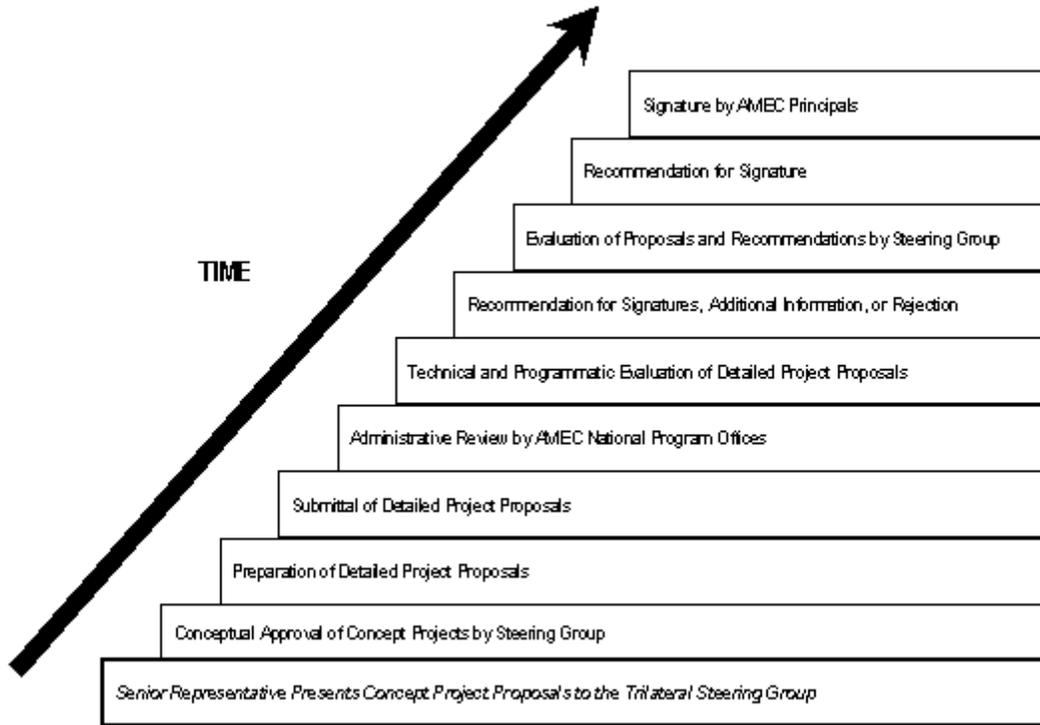
If the Steering Group believes the concept proposal is worth further development, it asks (through the appropriate National Program Office) that the proposing organization develop a detailed proposal.

Detailed proposals should be divided into two volumes: Volume I: Technical Proposal and Volume II: Management Plan/Cost Proposal. The Technical Proposal should provide a detailed description of the objective, background, and technical approach in the new project and identify the Principal Investigator and key staff. The Management Plan describes how the project will be implemented within budget and on schedule. Specific requirements for the Technical Proposal and Management Plan are included in Appendix X.

Evaluation of Detailed Proposals

The process for evaluating detailed proposals is summarized in Figure 3-2. The proposing organization first submits the proposal to its National Program Office for a preliminary administrative review. Assuming administrative requirements are met, the proposal is then provided to the other two National Program Offices. At this point all three National Program Offices conduct a technical and programmatic review of the proposal. The specific requirements and criteria for the administrative, programmatic, and technical review are provided in Appendix X.

Figure 3.2
AMEC Detailed Proposal Evaluation Process



When the National Program Offices complete their reviews of a detailed proposal, they each prepare a summary report, which is sent to the Steering Group. The Steering Group then considers the proposals and sends to the Principals those proposals which it recommends for approval. Based on the evaluation of the Steering Group, the Principals approve or reject a proposals submitted for their consideration. If the Principals agree to move a project into the implementation phase, an Annex to the AMEC Declaration is prepared and signed by the Principals.

3.4 SCHEDULE

The project proposals must be prepared in advance of a meeting of the Steering Group in sufficient time to meet the schedules outlined in Chapter 6. The administrative, technical, and program reviews described above can be expected to take a minimum of 90 days. It should also be noted that if review generates questions or requests for additional data, the proposal drops out of the process to allow for a response from the proposal originator. Therefore, it is strongly encouraged that new project proposals be complete and provide the information needed for review.

4.0 PROJECT MANAGEMENT

4.1 BACKGROUND

The project management process described in this chapter provides the management structure for executing a proposed project approved by the AMEC Principals. Each proposal will have included a proposed management plan which identified the project goals and objectives, funding staffing and resources, and a lead country to execute the project. This proposed management plan, as modified during the proposal approval process, will form the basis for the development of the more detailed Project Management Plan described in this chapter.

4.2 PURPOSE

The purpose of this chapter is to define the management process which will be utilized in executing all AMEC projects. This process will be used regardless of which country has been designated as the Lead Country. Certain aspects of project management, such as contracting and budget authorization, will be governed by the national laws of each country. Additionally, minor modifications to the standard management process may occasionally be necessary. With these few exceptions, adherence to the process described in this chapter will ensure that all AMEC projects are managed uniformly and monitored effectively by the Steering Group and the AMEC Principals.

4.3 OVERVIEW

The three phases of AMEC project management are:

Project Startup The first requirement in beginning a new project is to develop a Project Management Plan. This plan will detail all aspects of managing the project and is the initial step in executing an approved AMEC project. The plan will outline the tasks involved with clearly identified completion dates (milestones), funding, organization, staffing, principal investigators, resources and facilities, status reports, inter-country coordination and quality assurance/ quality control (QA/QC) requirements. No work may begin on any AMEC project until the Project Management Plan has been submitted to, and approved by the Steering Group. The required contents of a project management plan are described below.

Project Execution The project will be executed in accordance with the Project Management Plan. Except in compelling circumstances; e.g., emergencies, or situations where delay might greatly increase costs. Deviations from the Project Management Plan will be documented in an approved revision to the Project Management Plan.

Project Closeout The project will be formally closed out in accordance with the procedures outlined in the Project Management Plan, as modified during the course of the project.

4.4 KEY PERSONNEL

The roles and responsibilities of key AMEC participants are discussed in detail in Chapter 2. The following section specifically reviews the project management roles of these participants.

AMEC Principals The AMEC Principals are responsible for ensuring that all AMEC projects further the goals and objectives of the AMEC Declaration. They monitor the status of projects during the execution phase to ensure project milestones are being achieved within budget constraints.

Steering Group The Steering Group is directly responsible to the AMEC Principals for ensuring that all projects are being executed in accordance with established AMEC guidelines and the project-specific Project Management Plan. The Steering Group may establish project-specific Technical Expert Groups on an as-needed basis to assist the Project Team during the execution of the project. The Steering Group monitors the performance of all projects through its review of periodic status reports and will recommend such changes as are necessary in the Project Management Plan to ensure the project meets its stated goals and objectives.

Lead Country The Lead Country is designated by the Principals as part of the proposal approval process. Each AMEC country is involved in the management and execution of every AMEC project; the role of each country is defined by the Principals during the proposal approval process. The primary function of the Lead Country is to coordinate the efforts of all participants, however, each country shares equally in the decision making process throughout the duration of the project.

National Program Office Each country participates in every AMEC project, and it is the responsibility of each country's National Program Office to ensure that its participation is in accordance with the approved Project Management Plan. National Program Offices provide the functions necessary to monitor the progress of AMEC projects through internal (national) reporting mechanisms, as well as through trilateral AMEC status reports (discussed below).

Project Team The Project Team is the workforce for the project. It normally consists of the Project Officers, the Principal Investigators, and the Task Teams. Although Project Teams are specifically established for each project, all share some common characteristics:

1. Project Teams are trilateral (although on any given project, a country's participation may be minimal).
2. Each project has three Project Officers, one from each AMEC country, operating under the overall control of the trilateral program.
3. Task Teams may be staffed solely by one country, but similar to the project officers, operate under the overall control of the trilateral program.
4. When the Project Team includes principal investigators whose goods and services have been procured by contract, the Project Team should include the contracting agencies which procured the principal investigators. These contracting agencies

will regulate the principal investigators through the terms of the contract and in accordance with the national laws of the contracting agency. Project officers must coordinate with contracting agencies to ensure that, to the extent allowable by law, the contract requires performance in accordance with the Project Management Plan.

5. Individual members of a project team are responsible both to their national project officer and to the trilateral project management.

Project Officers Each AMEC country assigns a project officer to each AMEC project. The Project Officer of the Lead Country will be the Lead Project Officer and is responsible for coordinating the efforts of all project officers. Each project officer is responsible for ensuring that his country's participation in the project is in conformance with the Project Management Plan. Project officers have dual reporting responsibilities. They must report on the status of AMEC projects directly to their National Program Offices using internal (national) reporting procedures. Additionally, they must participate in the development of AMEC (trilateral) status reports for submission to the Steering Group. Project officers are responsible for the selection of Task Team members in accordance with the Project Management Plan. They are also responsible for maintaining (and revising as necessary) the Project Management Plan.

Contracting Officers Contracting Officers play an indispensable role in the overall management of the project. In defining the role of the Contracting Officer, the following considerations must be noted:

1. Contracting Officers must strictly comply with their national contracting laws and procedures.
2. Project Officers have no contract authority. They must procure needed goods and services; e.g., principal investigators through a contracting agency (which supplies the contracting officer).
3. Contractors are required to perform only the scope of work in their contracts. For this reason, project officers must carefully coordinate project needs with the Contracting Officers before the contract is signed.
4. Only the Contracting Officer is authorized to modify the contractor's scope of work if project requirements change; the Project Officer must request the change through the Contracting Officer.

Principal Investigator Most AMEC projects have one or more principal investigators, although an individual project may have none. Principal investigators may be private contractors, government agencies, or quasi-government agencies. Normally, their involvement in a project will be by contract with a government agency under the direction of a National Program Office. Because their participation is contractual, their roles, responsibilities, duties, funding, and performance are governed by the laws of the country of the contracting agency. To the extent allowed by law, these contracts should require performance in accordance with the Project Management Plan. Principal Investigators are part of the Project Team and are responsible, through the agency with whom they contract, to the Project Officer.

Task Teams Task teams are established by the project officers as identified in the Project Management Plan, to execute the specific project tasks. Task teams, whether staffed by one or more countries, work under the direction of both their National Program Office and trilateral Project Officers. The responsibilities, duties, and functions of the task teams will be established by the Project Officers in the Project Management Plan.

4.5 PROJECT MANAGEMENT PLAN

All AMEC projects will be executed according to a Project Management Plan. As described in Section 3.3, a Project Management Plan is initially developed during the detailed proposal development process by the proposal originators. Once the project has been approved by the Principals, the Project Officers are responsible for maintaining and revising the Project Management Plan. The Project Management Plan should include a table of contents and the following sections. Supporting documentation should be included in the form of Appendices.

The required sections include:

- Organization and Staffing
- Technical Approach (Workplan)
- Principal Investigator Management
- Funding
- Management Reports
- Quality Assurance/Quality Control (QA/QC) Plan
- Legal
- Project Closeout
- Glossary

Each section of the Project Management Plan is discussed below.

Organization and Staffing

This section identifies all participants involved in the oversight, management, and execution of the project, from the AMEC Principals to the task teams. The organization and staffing must be in accordance with the management plan approved by the Principals during the proposal approval process. All key personnel, with the exception of individual task team members, must be identified by name and position.

Staffing and organization for the project will be shown on an organizational Chart. The duties, functions and responsibilities of all key personnel/organizations will be fully described.

Technical Approach (Workplan)

The Technical Approach or Workplan, defines the process for executing the project. It includes:

- The tasks to be performed and staffing, equipment, and facilities necessary to perform these tasks.
- A clear delineation of the project responsibilities for each country, both by task, and for the project as a whole.
- The management relationship between the Lead Project Officer and the Project Officers from the other two countries. As outlined earlier, the Lead Project Officer is responsible for coordinating the work with the other Project Officers but all Project Officers have equal decision making authority.
- The role, if any, for Technical Expert Working Groups and Ad Hoc Interagency Work Groups.
- A project management profile which outlines the objectives, status, milestones and financial profile for the project on a task by task basis.
- A Project schedule (a Gantt chart for example) which projects the milestones (completion dates) for all tasks. This schedule will be used to measure progress throughout the course of the project.

Principal Investigator Management

Most projects have one or more principal investigators who provide goods and services contractually to the project. As described earlier, the responsibilities, duties, and obligations of the principal investigators are defined exclusively by the terms of their contracts. The formation, management, and execution of these contracts is governed by the national law of the contracting agency and is the sole responsibility of the contracting officer. For planning purposes, however, the Project Officer must be aware of the general nature of the contract. This section should therefore, include, for each principal investigator:

- The identity of the Principal Investigator (contractor)
- The goods or services to be provided and the timeline for delivery
- A brief synopsis of the contract's scope of work
- Any special terms, conditions, or restraints under which the contractor is obliged to operate.

Funding

The allocation of funds for AMEC projects is exclusively a national function and is governed by the budget, authorization, and appropriation process of the individual AMEC countries. It will be assumed that funding source and amount is consistent with the plan approved by the Principals during the proposal approval process. This section will:

- Identify the source and amount of funding for the project.
- Identify the precise purposes for which the funding has been approved. This is critical because in some instances, funding may have been authorized for a specific purpose only; to use it for other purposes may violate the law.

- Identify the method by which the funds will be managed and expended. Normally, this will be by contract, in which case, the contracting agencies, contracting officers, contractors (principal investigators), and funding for each contract will be fully identified.
- Identify all goods and services provided directly to the project by one of the participating countries. These goods and services may or may not be reimbursed by one of the other countries and they will not be treated as project "costs" for accounting or cost reporting purposes. However, they should be included in this section to ensure that the source of funding of all goods and services is identified.
- Provide a schedule for the planned expenditure of project funds. This schedule will track funds for individual tasks and for the project as a whole.

Management Reports

AMEC projects involve two types of management reports:

Internal National Reports. The content and frequency of these reports are a national function, normally established by the National Program Offices to monitor an individual country's performance on the project. They are not considered AMEC reports and are not a part of the AMEC reporting system. These reports **should not be included** in the Project Management Plan.

AMEC (Trilateral) Status Reports. These are periodic reports prepared by the Project Officers to the Steering Group and Principals on the progress of an ongoing project. The content and frequency of status reports will vary somewhat from project to project. For some projects, especially where progress may be relatively slow for an extended period of time, frequent status reports would have no value. For others, particularly high cost, politically sensitive projects, frequent status reports will be a necessity.

In general, status reports will be submitted two weeks in advance of each Steering Group meeting or upon request by the Steering Group or Principals. Status reports should also be prepared if a project is experiencing significant problems that require action by the Principals or Steering Group.

The information included in the status report should, for the most part, reflect the work completed since the last report was prepared and should also be as current as possible. An example of the format to use for status reports is included in Appendix XI. The precise format to use may vary from project to project; however, all status reports must contain a progress update and cost information. The progress update should —

1. Identify tasks accomplished during the reporting period.
2. Measure progress on all tasks against the planned schedule.
3. Explain variances from the planned performance milestones.
4. Identify issues that may impact future progress and proposed solutions
5. Make performance projections for the next reporting period.

The cost information should—

1. Identify project expenditures during the reporting period.
2. Measure expenditures for the reporting period and to date against the planned schedule for expenditures.
3. Explain variances from the planned expenditure schedule.
4. Identify factors which may impact the proposed expenditure schedule and, where feasible, propose solutions.
5. Make expenditure projections for the next reporting period.

Quality Assurance/Quality Control (QA/QC) Plan

All AMEC projects must have a QA/QC Plan tailored to the needs of the specific project. On some projects, the complexity of the individual tasks may require that separate QA/QC protocols be adopted for each task. Project Officers should coordinate with the principal investigators on the preparation of this plan.

Legal

A brief statement regarding the legal framework in which the project must operate is necessary for all participants. In most cases, a reference to the project contract with a copy of the appropriate legal documents included in the appendices to the Project Management Plan will suffice.

Project Closeout

It will be important to understand when and how it will be determined that a project is complete. Additionally, the Project Officers must ensure that the services that were contemplated in the Technical Approach have been provided and that the information regarding project performance is communicated to the Steering Group and to the AMEC Principals. Additional discussion regarding project closeout is included in Section 4.6.

Glossary

The glossary defines all acronyms, abbreviations, and technical terms used throughout the Project Management Plan. Because this is a trilateral document which must be translated into three languages, acronyms and abbreviations should be kept to a minimum.

4.6 PROJECT CLOSEOUT

As with all other aspects of the project, it is critical that the Project Officer coordinate closely with the Contracting Officer to ensure that the scope of work for the Principal Investigators define the requirements for closing out a project. As part of project closeout, the project team must:

- Ensure that the Steering Group has approved the final version of all reports and deliverables.
- Prepare a lessons learned report which identifies problem areas identified during the course of the project, particularly those of a systemic nature which might reoccur during other AMEC projects. This report should also identify how the problem was successfully resolved.
- Prepare proposals for follow-on projects. Where feasible, draft project management plans should be prepared for these follow-on projects.

It should be understood that it is possible that follow-on projects may fall outside the goals and objectives of the AMEC program.

5.0 PROJECT BUDGETING, FUNDING, AND CONTRACTING

5.1 BUDGETING AND FUNDING

The individual countries in the AMEC Program use their respective budgeting mechanisms to fund projects and program management. There is no "AMEC budget." The financial means to implement AMEC is the sum of the national contributions towards the costs of projects approved for funding and the cost of running the Program. The following policies for budgeting and project funding apply in the AMEC Program:

- Each country will use its nationally approved procedures and schedules for obtaining funding authority.
- Each specific AMEC project may be supported by all three countries in the form of direct financing, the supply of materiel and equipment, or other forms of payment to the extent permitted by the laws within each individual country.
- Financial arrangements for each specific AMEC project shall be governed by subsequent written mutual agreements of the parties.
- In principle, each Party will pay its own costs for participation in AMEC activities. All activities undertaken pursuant to the Declaration are subject to availability of funds.

5.2 CONTRACTING

AMEC has no contracting authority. Consequently, the responsibility for procuring goods and services in support of AMEC projects must be assigned to agencies in one or more of the participating countries that can enter into contracts. In general, this function is provided through the National Program Office. However, depending on other considerations, such as the scope of the project or the affiliation of the Principal Investigator, any legally established entity could enter into required contracts.

This chapter provides general contracting policies that will apply to all AMEC projects, and summarizes contracting considerations that are unique to AMEC. These will be described in greater detail in the Appendix IV (contracting) and Appendix VIII (legal).

Each country follows its own laws and procedures for procuring goods and services. This includes complying with its internal budget authorization and approval process, as well as with its laws and regulations governing the formation and execution of contracts.

Contract Considerations Unique to AMEC

AMEC is subject to all applicable international laws and agreements. There will be a separate annex to the declaration that establishes policies for legal matters. Some of the key legal issues that must be considered in the AMEC Program are:

- Conflict of laws among participating countries
- Taxes
- Liability and Indemnification
- Intellectual Property Rights
- Third party retransfer of equipment
- Business confidentiality

5.3 PROJECT REVIEW AND AUDITING

The issues related to financial auditing of all AMEC projects will be determined in the corresponding contracts. Auditing is necessary to ensure that expenditures are reasonable, accounted for, and consistent with the project management plan. Project Officers are responsible for maintaining the financial integrity of the project(s) they manage. Since projects may be executed in one country using funds provided by another country, the AMEC Program may specify a single financial accounting system for all projects. It is recognized, however, that each country may have its own accounting requirements (such as may be specified by national contracting procedures). Project Officers from each country are responsible for meeting any additional accounting requirements specified by their own governments.

Appendix V provides further detail on the auditing requirements for the AMEC Program and for each country's auditing requirements.

6.0 PROGRAM ADMINISTRATION

6.1 TYPES OF MEETINGS

Much of AMEC's work centers around conducting meetings and producing reports and other written documents. Every AMEC meeting is documented in the form of a Record of Meeting. Records of Meeting are signed by the appropriate AMEC representatives at the

conclusion of each meeting and thereby become an official document. Decisions adopted trilaterally by AMEC officials are put into the Record and enter into force 15 days after the document is signed unless one of the parties informs the other two in writing that it intends to terminate its execution. The Records of Meetings are prepared in English and Russian with both texts having equal force. Annexes to the Records of Meeting are integral parts.

If necessary and mutually agreed to, members of the AMEC organization can make trilateral decisions without holding a meeting. If so, any decisions reached are recorded and put into the record of the next regular meeting of the countries, at which time the countries formally sign the record of the decision as a separate document.

In order for the Program to meet its goals and use resources most effectively, it is essential that meetings and corresponding documents are carefully managed. AMEC sponsors four types of trilateral meetings: those of the Principals, the Steering Group, Technical Expert Working Groups, and Project Teams. In addition, each country can hold internal AMEC-related meetings. This chapter reviews the different kinds of meetings in the AMEC program and provides guidelines and general procedures for the conduct and documentation of these meetings.

Participants in the AMEC Program meet for the following reasons:

- To identify, discuss, and resolve issues
- To review and comment on documents
- To review the status of individual projects
- To build personal ties with AMEC participants from different countries.

The following sections describe the various types of AMEC meetings.

Principals Meetings

The AMEC Principals meet two times per year to address policy-level issues, to mediate problems the Steering Group encounters in its work but is not able to resolve on its own, and to identify additional tasks for the Steering Group. Principals meetings are generally held in the spring and fall, directly following a Steering Group meeting. Principals meetings are usually 1 to 2 days in duration, and the location of these meetings rotates among countries.

Steering Group Meetings

The AMEC Steering Group meets at least four times per year. It always meets before each of the two annual Principals meetings, and it generally meets in conjunction with collective Technical Expert Working Group meetings. Steering Group Co-Chairs may convene additional meetings on an as-needed basis. The Steering Group addresses problems that arise in individual AMEC projects, proposes policy and programmatic guidance for consideration by the Principals, and carries out any other responsibilities

necessary for AMEC to function. Steering Group meetings last 3 to 5 working days. The location of these also meetings rotates among the three countries.

Technical Expert Working Group Meetings

The Technical Expert Working Groups meet at the request of the AMEC Steering Group on specific issues requiring their attention. As discussed in Chapter 2, Technical Experts have both programmatic and project level responsibilities. In general, the Technical Expert Working Groups meet at least twice a year, in advance of Steering Group meetings. Meetings may occur more frequently as tasked by the Steering Group.

Project Team Meetings

Project Teams, as defined in Section 4.4, are responsible for the day-to-day execution of individual projects. Project Team meetings focus on identifying and resolving technical, budgetary, and management issues specific to the given project. Although each project team decides when and how often it needs to meet, meetings must also be coordinated with project review activities performed by the Steering Group.

6.2 MEETING SCHEDULE

The Steering Group maintains a current list of all planned meetings. This list is discussed and revised as necessary during meetings of the Steering Group and Principals. The current master schedule for meetings is included in Appendix VII.

6.3 RECORDS OF MEETING

At each trilateral meeting of the Principals, Steering Group, Technical Experts, and Project Teams a Record of Meeting is prepared and signed. The host nation is responsible for writing the draft protocol, obtaining review and comment by the other two nations, and preparing the final draft. The first draft should be provided to the two other nations (in English and in Russian) at the beginning of the meeting and a final version before the end of the meeting.

The Record of Meeting should include the following:

- Date and location of meeting
- Names and titles of the participants
- Issues and problems discussed and problems and issues
- Decisions and recommendations made.

An appendix to the formal Record of Meeting includes a list of participants with their full addresses, a list of documents referenced or exchanged at the meeting, a list of action items (discussed below), and any additional statements by individual countries.

A list of action items should be prepared by the host country by the conclusion of each meeting. This list includes the action, responsible country(s) (or person(s)), and expected completion date. The list is to be based on the discussions and agreements reached during the meeting. Its aim is to create in one document an integrated list of near-term actions to be taken so that all parties understand who must do what by when. The action items list is to be appended to the Record of Meeting.

In the event that all three parties do not reach agreement on a specific subject during meeting discussions, the Record of Meeting may include statements that express the perspective of only one of the delegations (or a part of a delegation). In such cases, it is useful to include the perspectives of the other two delegations as well, to more clearly describe areas of disagreement.

Additional guidelines concerning the schedule for preparing and submitting meeting documents are discussed in the following section.

6.4 MEETING PREPARATION

Successful meetings depend on adequate preparation. As such, any documents should be provided as early as possible to meeting participants, and not later than outlined below. The purpose of this section is to identify the various types of documents needed to support the AMEC Program and to provide guidance regarding who prepares the documents and when. As a rule, the host nation is responsible for preparing documents for signature by all participants at the end of each trilateral meeting.

Agenda Preparation and Review

For trilateral meetings of the Principals, Steering Group, and Technical Experts that support programmatic issues, the country hosting the meeting is responsible for preparing a draft agenda. This document is prepared by the Steering Group Co-Chair with assistance from the National Program Office and is then distributed to the other two nations' Steering Group Co-Chairs for their review and approval.

For meetings of the Project Teams, the Lead Project Officer prepares the agenda, with input from the other two Project Officers. Deadlines for Project Team documents are the same as for Steering Group and Principals meeting documents.

Preparation of Review Documents, Issue Papers, and Background Materials

Prior to each Steering Group and Principals meeting, the Steering Group Co-Chair, with assistance from the National Program Office, will prepare issue papers as needed to support discussion of agenda items. Each issue paper should have a 1 to 2 paragraph background statement and a list of possible action items. In general, the Steering Group Co-Chair, with help from the National Program Office, prepares issue papers and status reports relevant to the overall AMEC program, while the Project Officers prepare issue

papers on individual projects. Each solicits input from other AMEC participants as warranted in preparing these issue papers.

Steering Group Co-Chairs and the Project Officers are responsible for ensuring that issues papers have been adequately coordinated through the National Program Office. Such coordination may include policy, legal, and technical review by other government agencies and by other AMEC participants. Once complete, the documents are forwarded to the host country's National Program Office which then compiles them and the final agenda in the form of a draft Record of Meeting.

The National Program Office for the host nation should also gather and distribute any additional reference or background materials, including minutes of the previous meeting, needed to support discussion topics. If the volume of background materials is large, the National Program Office should ensure that a reference set of such materials is available at the meeting.

Document Distribution Before Meetings

It is crucial that participants in Principal and Steering Group meetings have adequate time to review the draft Record of Meeting, including issue papers and other materials, before meetings begin. Therefore, these should be made available to the Steering Group Co-Chairs and Principals (in English and Russian) at least one week before the meeting and updated immediately prior to the meeting as needed. Similar guidelines are highly recommended for meetings of Technical Experts and Project Teams.

In order to meet this schedule, the host nation must ensure that the draft agenda is distributed at least 3 weeks before the meeting to allow adequate time for comment and revisions. Comments and revisions to the agenda should be returned to the host nation no later than 2 weeks prior to the meeting so that a final agenda can be prepared. Similarly, issue papers and other materials must be delivered to the host nation at least 2 weeks prior to the meeting so that they may be incorporated into the draft Record of Meeting.

The host country will distribute the final package of documents to the other countries who ensure that other participants within its' delegation have copies before the meeting begins.

6.5 CONDUCT OF MEETINGS

AMEC meetings are conducted under generally accepted protocols for international governmental meetings. These may include formal rules of order and requirements for documenting proceedings of meetings.

Meetings of the AMEC Principals are conducted under the chairmanship of one of its Co-Principals at a mutually agreed to time following the principle of rotation among the participating countries. Generally, these meetings are held in the spring and fall and not less than twice a year. If the Co-Principal in whose country the meeting is held is not able

to attend the meeting, an individual nominated by the Co-Principal of the hosting country will act as the chairman of the meeting. Meetings of the Steering Group are conducted in the same fashion (i.e. the Senior Representative of the Steering Group from the host country will chair the meeting). The host country provides the necessary addresses for receiving correspondence of the participating countries during the trilateral meetings. Specific dates and locations for conducting meetings are included in the yearly and long term plans.

6.6 ADMINISTRATIVE SUPPORT DURING MEETINGS

Facility, Equipment, and Staff Support

The host nation is responsible for providing the meeting facility, equipment, and all necessary administrative support at each AMEC meeting. This includes providing adequate telephone, facsimile, computer, printer, photocopying, and overhead and slide projectors capabilities. The host nation also provides secretarial and administrative support to help coordinate and perform needed administrative tasks as required. If the meeting location and lodging facilities are not within walking distance of each other, the host nation should provide local transportation for the visiting delegations.

Interpreters and Translators

The working languages for all trilateral meetings are English and Russian. The host nation is responsible for providing an adequate number of interpreters for each meeting. Because meetings can generate extensive paperwork and new documents, it is desirable for the host nation to have made arrangements before each meeting to have overnight translation services available. All interpreters and translators should be familiar with the technical issues and terms under discussion, and should have adequate time to review meeting materials prior to a meeting in order to be familiar with discussion topics.

Communications to and from Member Countries

It is a normal and accepted diplomatic practice for visiting delegations to consult with authorities in their home countries during international meetings. To facilitate communications and decision making in meetings, the host nation should therefore ensure that sufficient telephone and facsimile communication capabilities are available to visiting delegations.

International Travel

Funding for travel by visiting delegations will comply with the legal constraints of the funding source.

Document Production During Meetings

During each meeting, it is the host nation's responsibility to provide for the production and distribution of all relevant official documents prepared. Each participant at the meeting will be provided a compendium of relevant official documents at the conclusion of the meeting. The host nation's Steering Group Co-Chair will subsequently ensure that the other Steering Group Co-Chairs receive all of these documents.

7.0 LEGAL ISSUES

7.1 OVERVIEW

The AMEC Program and all individual projects are subject to the laws of the countries in which they are carried out. It is therefore necessary for the participating countries to have a common understanding of the application to AMEC of laws concerning a variety of issues, including the following:

- Taxes and tariffs
- Intellectual property
- Trade
- Contracting
- Indemnification/liability
- Environmental protection
- Worker safety
- Project funding.

The Steering Group is responsible for ensuring that a legal annex exists to address these issues. A current draft of this annex is included as Appendix VIII.

APPENDIX I AMEC STRATEGIC PLAN

The Strategic Plan is developed by the Steering Group and periodically revised to reflect changing conditions in the Program. The Strategic Plan addresses the following topics:

- Program Vision, Goals, and Objectives
- Description of the Arctic Environment and impacts of military activities in the arctic
- Technical issue areas in which projects will be developed
- Long Term Program Schedule and projected budget.

A copy of the AMEC Strategic Plan is included herein for reference.

(A copy of the Strategic Plan will be inserted at this location when it has been completed and approved by the Principals.)

APPENDIX II AMEC PROGRAM BASELINE

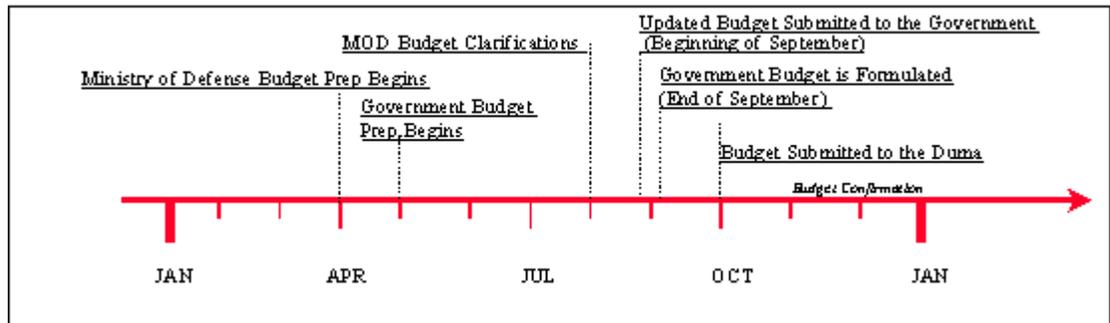
(A copy of the AMEC Program Baseline will be inserted by the Steering Group when it becomes available.)

APPENDIX III DETAILED BUDGET PROCESSES

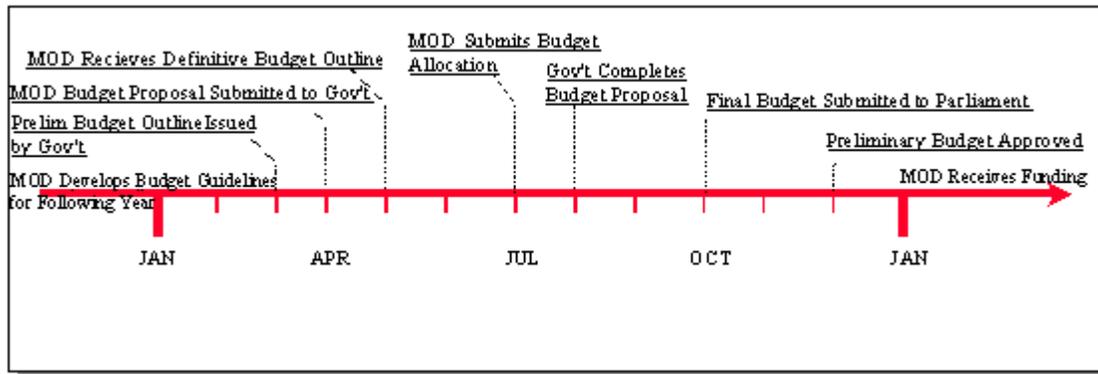
Detailed information from each country regarding budget processes that impact the AMEC Program and the execution of projects should be inserted here by the Steering Group as it becomes available.

Approximate timelines showing key budgeting milestones for the United States, Russia, and Norway are included for reference.

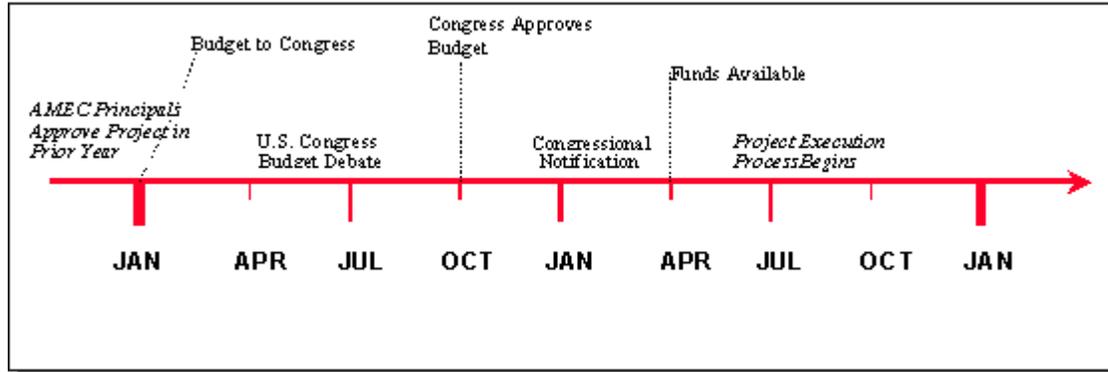
Russian Budgeting Timeline



Norwegian Budgeting Timeline



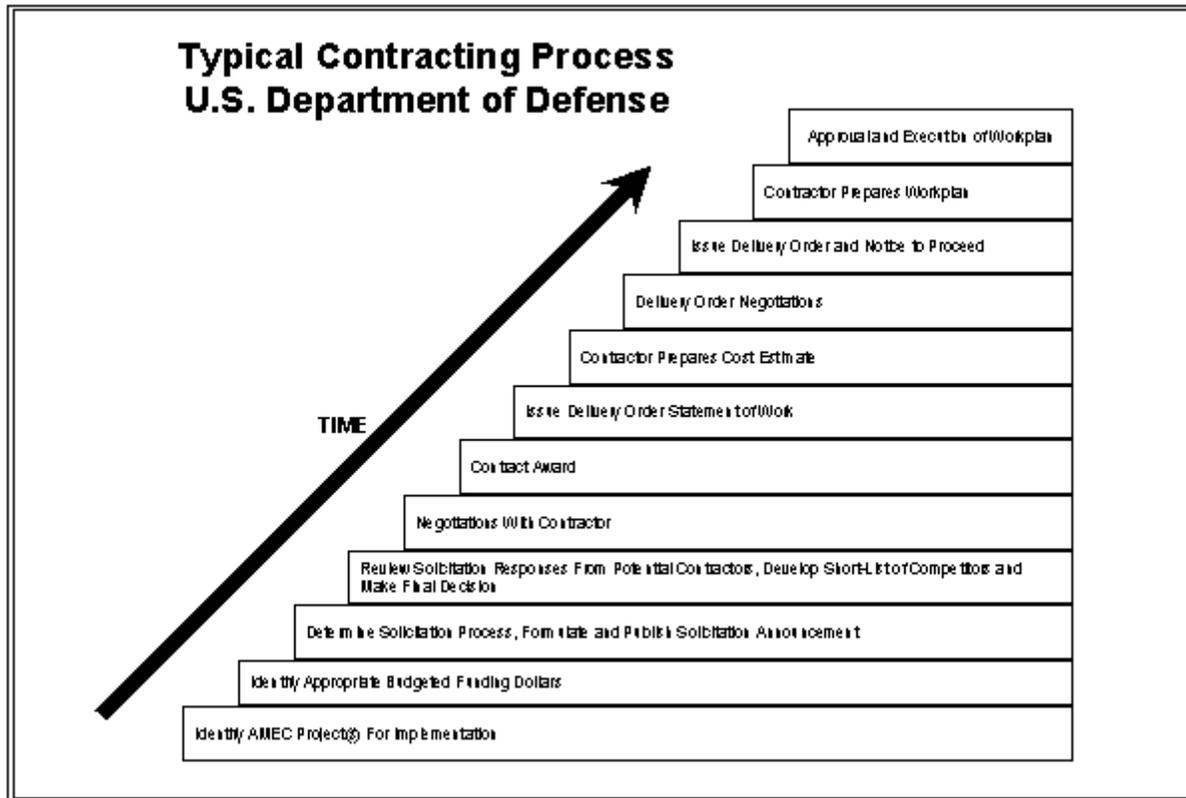
United States Budgeting Timeline



APPENDIX IV DETAILED CONTRACTING PROCEDURES

More detailed information regarding the contracting processes in each country that impact the AMEC Program and the execution of projects should be inserted by the Steering Group as it becomes available.

A graphic showing the typical steps in the U.S. Department of Defense contract in process follows.



APPENDIX V PROJECT FINANCIAL AUDITING

Financial auditing procedures will be determined in individual contracts on a project by project basis. An overview of each countries financial auditing requirements as they pertain to the AMEC Program and Projects is included herein for reference.

(To be inserted by the Steering Group as information becomes available.)

APPENDIX VI QUALITY ASSURANCE AND CONTROL

(Quality assurance and control procedures will be provided by the Steering Group as information becomes available.)

APPENDIX VII SCHEDULES, MILESTONES, DELIVERABLES

(Copies of the most recent AMEC calendar of events and individual project schedules should be inserted here. Each should identify meetings, milestones, and deliverables. These calendars should be updated routinely.)

APPENDIX VIII LEGAL ANNEX

The Steering Group is developing a legal annex that describes AMEC policies with respect to legal issues, including the following:

- taxes and tariffs
- intellectual property
- trade
- contracting
- indemnification/liability
- environmental protection
- worker safety
- project funding.

A copy of the most recent draft of the Legal Annex is included herein for reference.

APPENDIX IX APPLICATION PROCEDURES FOR OTHER COUNTRIES

-DRAFT-

The process for application for full or limited membership is defined by the following sequential steps:

1. Application Letter - any country expressing interest in AMEC participation will send a written request to at least one of the Steering Group co-chairs. The recipient will ensure that the request is distributed to the other Steering Group co-chairs so that it may be discussed at the next meeting.
2. Recommendation - the Steering Group will prepare its recommendation on acceptance or rejection of the application to the Principals for the next Principals meeting provided that there is at least 120 days time between the receipt of the application letter and the Principals' meeting.
3. Principals' Acceptance - the Principals' decision to accept a new member must be unanimous. If unanimous agreement is not obtained, the Principals' may reconsider the application at the next meeting. In the event that the Principals do not decide unanimously on the interested country's inclusion in AMEC and resolve to reconsider the application at their next meeting, the applicant will be notified in a trilaterally signed letter from the Steering Group. The Steering Group will similarly provide a notification letter should the application be rejected.
4. Acceptance Letter - assuming that the application is accepted, the Principals' will instruct the Steering Group to send a trilaterally signed acceptance letter. The letter will include instructions that participating in AMEC must begin with participation in at least one of its projects before the new member will be included in the Steering Group meetings. Such participation will take the form of both personnel and financial contributions.

Participation - the new nation may begin participating in the Steering Group meetings six months after it begins its participation in at least one AMEC project.

Each application for participation will, throughout the process, be weighed individually for its own merits, advantages and limitations. The Principals may include whatever restrictions of requirements they deem appropriate in the acceptance of any new member.

Project Participation Participation of any country only in a specific AMEC project will be recommended for approval by the Steering Group along with the recommendation for approval of the Project Plan. The Project Plan will describe the role and contributions of the country to be included.

October 1998

APPENDIX X

PROJECT PROPOSAL REQUIREMENTS

GUIDELINES FOR PREPARING DETAILED PROPOSALS

Detailed proposals shall follow the guidelines described below. Each proposal shall be prepared in two volumes to allow for more expeditious review. The requirements for each volume are summarized below.

VOLUME	TITLE	PAGE LIMIT
I	Technical Proposal	15
II	Management Plan and Cost Proposal	10*

*The page limitation applies to the Management Plan portion of Volume II only. The cost portion is not page limited but should be prepared as concisely as possible.

Three paper copies of each volume shall be submitted for distribution. Each volume shall include a cover page clearly indicating the following information:

- Volume Number and Title
- Proposal Title/Subject
- Name of Proposing Organization
- Name of Proposal Sponsor
- Date of Submittal
- Copy Number (1 through 3)

An Executive Summary of five pages or less should be provided with each proposal. The Executive Summary shall contain a summary of the main point of both volumes and is not included in the page limitations shown above. A copy of the Executive summary should be included as the first section of each volume of the proposal.

The Technical Proposal shall include the following sections:

- **Objective** - provide a brief explanation of the technical objective of the proposed project. If the proposed project is one phase of a potentially larger project provide the objective of the proposed project and, in addition, provide the objective of the overall project. This discussion should be as specific as possible.
- **Relevance** - this section shall address the relevance of the proposed project to the objectives of AMEC. Provide a discussion of how the proposed project responds

to AMEC goals and supports the AMEC mission as outlined in the Declaration and the AMEC Program Management Plan.

- **Technical Approach** - specific technical goals, methods and conditions for the proposed project shall be provided. Provide specific details relative to the project design and methods, anticipated problems and their solutions. If the methodology is new or unusual provide sufficient detail and supporting information to allow for adequate review. As appropriate, describe how project results will be implemented in the field or transitioned to further development. Also describe the equipment and/or facilities required and how these will be obtained.
- **Milestones** - include the project's significant technical events and deliverables. In particular, identify any anticipated critical decision points during the project. Describe the criteria that will be used for decision making.
- **Past Performance** - include discussion of the proposer's past performance relative to both technical execution of projects with similar technical requirements. Provide at least five references.

The Management Plan shall include the following elements:

- **Project Organization and Staff**- present the organizational structure of the project, the key project staff (Project Manager, Senior Investigator etc.) and the roles and responsibilities of each individual. Resumes or CVs of key personnel may be provided in an appendix. Identify other staff and support requirements and how they will be filled. Describe how the efforts of project personnel will be coordinated along with the mechanisms for project communication.
- **Resources** - identify any facilities, equipment, supplies required for the project and how these resources will be accessed. Identify the location(s) where the project will be performed. If any of the proposed required resources are from outside the proposer's organization describe how these resources will be accessed (cooperative agreement, subcontract etc.)
- **Problem Identification** - identify any potential obstacles to successful project performance and what measures will/ are being taken to address these obstacles.
- **Project Schedule** - provide project schedule in Gantt (or similar) chart format. The format should indicate schedule dependencies. Describe how the project will be monitored to assure that the schedule is met.
- **Expenditure Schedule** - provide an expenditure schedule linked to the project schedule in sufficient detail to allow monitoring of expenditures vs. project progress. Describe how expenditures will be monitored to assure project completion within the budget.

This management plan is not intended to take the place of management plan requirements of any implementing contract mechanism and shall be consistent with the Project Management process described in Chapter 4. Contract required management document(s) can be used to fulfill the requirements of this plan as long as the elements described above are addressed.

The cost proposal shall include a description of the amount of funds requested, with a break down of labor and other project costs. Recommendations regarding the source of funding should also be provided. For projects with an expected duration of longer than one year the costs must be presented by year. The minimum information to be provided is described as follows:

- **Labor Costs** - the current and projected labor rates for each project participant and/or labor category must be provided. The method used to determine labor rates shall also be provided. The number of hours for each person or labor category must be provided by task.
- **Equipment and Facilities Cost** - all costs (lease, purchase, subcontract etc.) associated with providing required equipment and facilities must be identified. If some or all of the equipment or facilities are going to be provided at no cost to the project, these must be identified. Any time dependent costs must be identified.
- **Other Costs** - any other associated cost must be itemized. Included in this category are travel, expendable items, communication costs, telephone, copying, document preparation etc.

Each cost element must include appropriate supporting data such as vendor quotes, historical cost, price list, engineering estimate etc.

CRITERIA FOR STAGE I AND II PROPOSAL REVIEW

Each proposal will be reviewed in a two stages. In Stage I, the National Program Office for the country in which the proposal originates conducts an administrative, programmatic, and technical review. The purpose of these reviews is to ensure that no proposal goes forward to the other AMEC participants unless it has been approved by the government of the country in which the proposal originates. In Stage II the other participating countries conduct their own administrative, programmatic, and technical reviews, as discussed below.

Administrative Review

The National Program Office will review each detailed proposal to ensure that it is complete, consistent with AMEC mission and policy, and conforms to applicable legal requirements. Based on this review the National Program Office can 1) reject the proposal outright, 2) return the proposal to the proposing organization for further information or clarification, or 3) forward the proposal for further review by the other participating countries.

Programmatic Evaluation

In this phase the members of the Technical Experts Working Group from the country performing the review will evaluate whether the proposing organization is capable of

carrying out the project efficiently and competently. This review will focus on the following items:

- **Management Plan** - the Management Plan will be evaluated based on the strategy proposed to manage the project including the ability to access and manage the necessary resources and ensure quality control, schedule control and cost control.
- **Cost Magnitude** - cost magnitude will be evaluated to determine the potential impact on the available funding.
- **Cost Realism** - the Cost Proposal will be reviewed to determine that the proposer operates with reasonable efficiency and that the proposed costs demonstrate an understanding of the magnitude of the resources needed to complete the project.
- **Risk** - based on the above criteria, the past performance information presented in Volume II, and the identification and discussion of potential problems and obstacles, the reviewer(s) assess the overall risk presented by this project. Risk is defined as the qualitative measure of confidence that the proposer can successfully complete the project. This is not a measure of **technical or environmental** risk.
- Technical Evaluation

The National Program Office and qualified Technical Experts from the country performing the review will evaluate the technical quality of the proposal. The goal of this review is to ensure that the proposing organization is technically qualified to perform the proposed project and that the project is technically worthwhile. The following items will be considered.

- **Probability of Success** - this criteria concerns the degree of confidence that the project will meet the desired overall objective. This is an assessment of the appropriateness of the proposed action to solve the identified problem
- **Need** - the proposed project will be evaluated to determine that the project will fill a demonstrated need of the program and to provide assurance that the project objective has not already been met.
- **Soundness of Approach** - the technical proposal will be evaluated to determine the degree to which the proposal adequately demonstrates an understanding of the objective and the technical methodology to be used to achieve the objective. This demonstration includes the appropriateness of the skills mix provided by the proposed personnel and of the proposed facilities and equipment. The technical assumptions and the degree to which they are supported will also be evaluated.
- **Cost Benefit** - this evaluation will weigh the benefit of achieving the proposal objective against the cost required to achieve the objective.

APPENDIX XI

SAMPLE PROJECT STATUS REPORT

(Insert Sample Project Status Report)

AMEC
PROJECT STATUS SHEET
November 17, 1997 through March 17, 1998

1. Project Number: 1.4

2. Project Title: Solid Radioactive Waste Storage Technologies

Brief Description: Provide three specific technologies to the Russian Navy. There will be a demonstration phase to last one year. The decision on further work will depend on the success of the demonstration phase. All work is directed at applications at Andreeva Bay on the Kola Peninsula.

3. Project Milestones/Schedule

- Oct 97 - Steering Group Meeting in Anchorage, Alaska.
- Nov 97 - Norway selected vendors for the technologies it is purchasing.
- Nov 97 - Request for Quotations issued for the purchase of coating technology.
- Dec 97 - Contracts signed with Nuklid and Promatec.
- Spring 98 - Begin demonstration phase
- Spring 1999 - End demonstration phase

4. Funds Status:

		Total Funds Expended				
Work Category	Planned Budget	Actual Expenses During Reporting Period	Russian Federation	United States	Norway	Remaining Budget

Study/Evaluation		40 k				
Design		80 k				
Construction	15 k	20 k				
Equipment	50 k	60 k				
Training	19 k	50 k				
Post Construction						
Admin Spt. (mts TDY, ect.						
Project Total (1)	\$84 k	\$250 k				

1. Note: Gov't labor/travel not included in Project budget - provided by non-AMEC DOE account

Legend:

- Study/Evaluation** - studies related to project's development
- Design** - design effort required for project
- Construction** - costs for fabrication
- Equipment** - procurement costs for equipment
- Training** - training through the life cycle of the of the project
- Post Construction** - costs to validate capabilities
- Admin Spt (mtgs TDY etc)** - all cost

5. Project Status and Task Summary:

- Additional FY97 funding obtained through agency review of lower priority projects and subsequent relocation.
- Communication between the project officers is much improved. Phone calls between the project officers are not routine yet, but they have been started.
- Contracts were signed in December 1997 with Promatec (to procure surface coating material and equipment) and Nuklid (to conduct destructive and nondestructive performance testing of coating demonstration. These support milestones identified in the October 1997 AMEC Principals Meeting.
- Fy98 funding was provided by the Department of Energy in January 1998

- Currently established logistics to deliver technologies and make preparations to apply the coating at Andreeva Bay when weather permits in Spring 1998.

Task Summary

TASK#	TASK	ACTION TAKEN	RESPONSIBLE PARTY	DEADLINE	
				Target Date	Completion
1	Obtain FY 97 funding	Scheduled and completed a peer review. Project variances were validated	Andrew Griffith DOE	12/01/97	12/20/97
2	Initiate monthly project officer teleconferences	Completed teleconference that sets monthly teleconference schedule for the next six months	Project Officers	11/15/97	11/15/97
3	Sign contracts with Promatec and Nuklid	Prepare statements of work, issue request for proposal, negotiate and award contracts	Andrew Griffith and DOE Contracting Officer	12/05/98	12/28/98
4	Prepare remedial response action plan	Gave a notice to proceed on contract. Provided contractor investigation results and decision document.	Andrew Griffith DOE	10/5/98 2/18/98	3/15/98
5	Determine FY99 requirements	Prepare FY99 programming estimates and documents	Andrew Griffith DOE	3/4/98	Not Completed
6	Prepare work plan for coating demonstration	Give notice to proceed to Promatec	Andrew Griffith and DOE Contracting Officer	6/5/98	Not Completed
7	Prepare work plans for	Give notice to proceed to Nuklid	Andrew Griffith	6/5/98	Not Completed

	destructive and nondestructive performance testing of coating demonstration		and DOE Contracting Officer		
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Note: Shaded tasks indicate task completion

6. Issues/Required Assistance

- Resolve the liability, duties and taxes, and intellectual property rights issues

7. Project Officer name/phone/address

- **Name:** Andrew Griffith, U.S. DOE
- **Phone:** 301-903-7120
- **Fax:** 301-903-4423
- **E-Mail:** andrew.griffith@em.doe.gov