February 1998

DEPARTMENT OF ENERGY

BUDGET FORMULATION HANDBOOK

OFFICE OF CHIEF FINANCIAL OFFICER

Department of Energy

Washington, DC 20585

March 2, 1998

MEMORANDUM FOR HEADS OF FIELD ELEMENTS

FROM: **Lynwood H. Henderson /s/**
Director Office of Budget

SUBJECT: **Field Chapters of the DOE Budget Formulation Handbook**

This memorandum transmits the most current update to Section I: Field Budget Process of the DOE Budget Formulation Handbook. Enclosure 1 provides a summary of changes to the Chapters. The instructions contained in the Handbook should be read in its entirety to ensure that data submissions are in accordance with revised requirements.

We will format the presentation of the FY 2000 Budget in portrait orientation. Field budget materials that survive the Corporate and OMB review process, and are ultimately included in the Congressional Budget justifications, such as project data sheets, will be required to be submitted in portrait format. We will revise the data sheet format first and, after consulting with congressional staff, we will provide it to you, hopefully in time for the April submission. If we do not obtain consensus in time, you should prepare the data sheets in the landscape orientation.

We welcome any comments, suggestions or ideas you may have to make this a more useful document. General questions on the Handbook should be directed to David Bugg on 202-586-4715. Specific questions should be directed to the person(s) listed in the point of contact matrix in the front of each chapter.

Enclosures
cc: Heads of Headquarters Elements
Principal Budget Contacts

Enclosure 1

DEPARTMENT OF ENERGY
FY 2000 FIELD BUDGET CALL

(Summary of Changes to Field Section of the DOE Budget Formulation Handbook)

Page No.	**Change**
II-2.1 & II-2.3	**Program Direction- Support Services.** The FY 1998 House EWD report language (H.R. 105-190) requires that all support services contracts be budgeted for in the Program Direction account regardless if they fund a program mission line or are for the benefit of a Federal FTE.
II-2.3	**Program Direction - Salaries and Benefits.** The annual $80 payments to the civil service retirement fund for currently employed CSRS and FERS personnel required by the Federal Workforce Restructing Act of 1997 is no longer required per OMB Circular A-11, dated June 23, 1997.
II-4.1 & III-9.1	**Project Data Sheet.** OMB has changed its approach regarding the full funding of capital assets. OMB has directed that capital projects be fully funded by using incremental budget authority for the budget year plus advance appropriations for the outyears necessary to fully fund current and proposed construction projects. The project data sheet format has been modified to eliminate redundancy in reporting requirements for the Federal Acquisition Streamlining Act and OMB Circular A-11, Part III, on asset reporting. This information will be used for the OMB A-11 Exhibit 300B Report (see below). Also, projects data sheets will be submitted in 12 pont New Times Roman typeface.
III-3.1	**Motor Vehicle Statement for FYBY**. Reporting schedule changed to include funding for vehicles requested and alternative fuels vehicles (AFVs). The Energy Policy Act of 1992 requires that 75% of all vehicles acquired must be AFVs.
III-4.29	**Planning and Budgeting for the Acquisition of Capital Assets.** OMB has revised DOE's dollar threshold and format for Exhibit 300B, Capital Asset Plan and Justification reporting for FY 1998. The revised dollar threshold includes all line item construction projects with Total Estimated Cost greater than or equal to $20 million for which new budget authority is requested in FY 2000 or for which the uncosted balances are equal to or greater than $10 million as of September 30, 1998. The new report is called the OMB A-11 Project Status Report which provides performance data for the project.

DOE BUDGET FORMULATION HANDBOOK
SECTION I: FIELD BUDGET PROCESS

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CHAPTER I

INTRODUCTION

1. OVERVIEW

a. Purpose: The primary purpose of Section I: Field Budget Process, the Department of Energy (DOE) Budget Formulation Instruction, is to outline the procedure established by DOE Order 130.1, BUDGET FORMULATION PROCESS, by which budget estimates are to be prepared, documented, and reviewed to ensure that budget requests are of high quality.

b. Guidance: This section of the instruction provides the guidance for the preparation and review of the Field Budget submissions:

(1) DOE Operations Offices are responsible to ensure that their contractors prepare accurate budget estimates to accomplish valid program requirements in the most cost-efficient manner.

(2) All budget requests, including indirect, should be reviewed each year by Operations Office staff, Management & Operating (M&O) contractor staff to ensure reasonableness, consistency with program guidance, and proper pricing.

(3) Operations Office staff should ensure that the M&O contractors subject all estimates to program and budget reviews by someone other than a program advocate to provide assurance that the requests are reasonable and are supported by appropriate documentation.

(4) In coordination with the Heads of Headquarters Organizations and the CFO, the Operations Office should conduct multi-disciplined reviews to validate the cost estimates and reasonableness of all new initiatives and changing programs. “Bottoms-up” reviews of all activities are to be conducted by the Operations Office staff within a reasonable period of time, but not less than every five years.

(5) Unsupported budget estimates disclosed subsequent to the submission of the Field budget to Headquarters must be reported to the CFO and the funding program for adjustments during the Planning-based budget process.

(6) M&O contractors' budget handbooks developed in concert with this document must clearly delineate the roles and responsibilities of the Operations Office budget staffs and the contractor's central budget staff with regard to reviewing and recommending budget adjustments.

(7) As part of the validation process, the Operations Office should conduct reviews of the M&O contractor's budget formulation handbooks and related training programs to determine the extent of compliance with and effectiveness of the budget formulation process.

(8) In addition, during the review process, detailed analyses should be conducted on the current financial status of each activity to include a review of the projected unobligated and uncosted balances.

c. References: While there are a number of references which could be included, the following is a suggested list of key references for the Section I: Field Budget Process of the Instruction:

(1) DOE ORDER 130.1, **Budget Formulation Process**, the DOE order which establishes the unified field budget process and defines the roles & responsibilities of the Headquarters & Field Elements participating in the process and lists all of the key DOE orders and other references which may be useful.

(2) DOE ORDER 430.1, **Life Cycle Asset Management,** provides that DOE, in partnership with its contractors, shall plan, acquire, operate, maintain, and dispose of physical assets as valuable national resources.

(2) DOE ORDER O 534.1, **Accounting,** prescribe the policies and general procedures for the accounting and financial management of Department of Energy (DOE) accounting operations**..**

(3) DOE ORDER 5300.1B, **Telecommunications,** which provides information on the acquisition of telecommunications equipment.

(4) DOE ORDER 5700.7C, **Work Authorization System,** which establishes a work authorization and control process for work performed by designated management and operating (M&O) contractors.

(5) **M&O Contractors' Budget Formulation Handbooks,** reference each of these handbooks for each M&O contractor under the purview of the Operations Office. This handbook should describe the contractors budget formulation and review process.

(5) **Operations Office Cost Estimating Handbook,** which is used to prepare cost estimates for construction projects.

(6) **Environmental Management 2006 Plan Guidance to Field,** this is updated each year and provides guidance on the preparation of the EM 2006 Plan which also serves as the budget request.

(7) **Other Program and Budget Guidance Documents,** this is updated annually and provides guidance to Field on the preparation of the budget.

(8) **Field Budget Call,** updated annually and provides guidance to the Field on the preparation of the budget.

d. Definitions: The following is a list of definitions to be included in the instructions. The intent is to keep the list to the minimum used for budget formulation purposes. Additional definitions which may be unique to your particular requirements should be added as required at each Operations office :

(1) **Accrued costs** are amounts owed for items received, services received, expenses incurred, assets acquired, construction performed, and amounts received for which a bill has not been received or approved. (Accrued costs are distinguished from budget outlays in that accrued costs are recorded on the accrual basis of accounting while budget outlays are recorded on the cash basis of accounting. Accrued costs records the accrual of a liability and budget outlays records the payment of the liability net of refunds and reimbursements.)

(2) **Baseline**. An estimate of spending, revenue, the deficit or surplus, and the public debt expected during a fiscal year under current laws and current policy. For the purposes of the Budget Enforcement Act, the baseline is defined as the projection of current-year levels of new budget authority, outlays, revenues, and the surplus or deficit into the budget year and outyears based on laws enacted through the applicable date. Section 257 of Gramm-Rudman-Hollings sets forth rules for calculation the baseline.

CBO Baseline. The Congressional Budget Office's (CBO) baseline for the upcoming fiscal year. This baseline shows the pattern of federal government revenues and expenditures for the next 5 years if current policies continues. It appears in the CBO's annual report for the Budget Committees on the economic and budget outlook for the upcoming year. The CBO baseline is revised, as necessary, once the President's budget is released. It is also modified, as necessary, to conform to new legislative requirements, such as those imposed by the Gramm-Rudman-Hollings Act and the Budget Enforcement Act.

(3) **Budget Authority (BA)**. Authority provided by law to enter into obligations that will result in immediate or future outlays involving Government funds,

except for authority to assure or guarantee the repayment of indebtedness incurred by another person or government. The basic forms of budget authority are appropriations, contract authority, and borrowing authority. Budget authority may be classified by the following:

(a) **Period of Availability**

1 **One-Year (Annual) Authority**. Budget authority that is available for obligation only during a specified fiscal year and that expires at the end of that time.

2 **Multiple-Year Authority**. Budget authority that is available for a specified period of time in excess of 1 fiscal year.

3 **No-Year Authority**. Budget authority that remains available for obligation for an indefinite period of time, usually until the objectives for which the authority was made available are attained or until the funds are fully expended.

(b) **Time of Congressional Action**.

1 **Current Authority**. Budget authority enacted by Congress in or immediately preceding the fiscal year in which it becomes available.

2 **Permanent Authority**. Budget authority that becomes available as the result of previously enacted legislation (substantive legislation or prior appropriation act) and that does not require current action by the Congress. Authority created by such legislation is considered to be current in the first year in which it is provided and permanent in succeeding years. It is possible to distinguish between "fully permanent" authority (such as interest on the public debt), where no subsequent action is required, and "conditionally permanent" authority (such as general revenue sharing), where authority expires after a set period of time unless it is reenacted.

© **Determination of Amount**.

1 **Definite Authority**. Budget authority that is stated as a specific sum at the time that the authority is granted. This includes authority stated as "not to exceed" a specified amount.

2 **Indefinite Authority**. Budget authority for which a specific sum is not stated but is to be determined by other factors, such as the receipts from a certain source or obligations incurred.

(4) **Budget Outlays (BO)**. The amount of checks issued or funds electronically transferred, most interest accrued on public debt, or other payments made (including advances to others), net of refunds and reimbursements. Total budget outlays consist of the sum of outlays from appropriations and funds included in the unified budget, less offsetting receipts. The outlays of off-budget Federal entities are excluded form the unified budget under provisions of law, even though these outlays are part of total Government spending. Federal outlays are recorded on the cash basis of accounting, with the exception of most interest on the public debt, for which the accrual basis of accounting is used.

(5) **Budget Year (BY)** is the fiscal year for which the budget is being considered, that is the fiscal year following the current year. For Budget Enforcement Act purposes, the term budget year means, with respect to a session of Congress, the fiscal year of the Government that starts on October 1 of the calendar year in which that session begins. The budget year is the fiscal year for which budget estimates are being developed and is two fiscal years from the current execution year (execution year is the fiscal year in which the budget is being executed). This definition applies to the first three cycles of the budget formulation budget process, i.e, the Field, IRB, and OMB budget. However, for the Congressional cycle, the budget year is only one fiscal year from the execution year. For example, in January of 1994, the execution year is FY 1994 and the Field is starting to work on their budget year estimate for FY 1996; by the time the Congressional cycle for the FY 1996 budget occurs, in December of 1994, the execution year will be FY 1995.

(6) **Contractor Encumbrances** consist of amounts of contracts awarded by the M&Os and the Integrated and Management contractor (IMCs) consisting of (a) purchase orders issued; (b) contracts and subcontracts awarded including the full liability under lease purchases and capital leases; © termination cost for incrementally funded firm fixed price contracts, operating lease agreements, and multi-year service contracts that contain termination clauses; (d) other agreements for the acquisition of goods and services related to other M&O/IMC liabilities, and (e) work orders or authorizations issued to M&O/IMC construction contractors.

(7) **Current Year (CY)** is the fiscal year immediately preceding the budget year. It is the fiscal year of the budget currently being considered in Congress. This definition applies to the first three cycles of the budget formulation budget process, i.e, the Field, CRB, and OMB budget. However, for the Congressional

cycle, the current year is the fiscal year in which the budget is currently being executed. For example, in January of 1994 when FY 1996 (BY) budget process beings, the execution year is FY 1994 and the FY 1995 (CY) budget in the process of being sent to Congress for consideration; by the time the Congressional cycle for the FY 1996 budget occurs, in December of 1994, the execution year will be FY 1995 (CY).

(8) **Decision Unit**. For the Department, decision units represent the major program elements of the approved budget structure which is used for formulation and decision-making purposes. A decision unit is usually a subset of an appropriation. A decision unit must be organizationally exclusive (i.e., controlled exclusively by a single Departmental organization). It can, however, encompass an entire appropriation (i.e., Inspector General) but can not be composed of more than one appropriation. A decision unit can consist of operating expenses, or capital equipment, or construction type funding or any combination thereof. It can be a single obligational control or a combination of many obligation controls. A decision unit can include a single B&R or many B&Rs. Furthermore, a large funding amount does not automatically qualify a program entity as a decision unit; although with few exceptions, decision units are generally larger than $1 million, and can be in the hundreds of millions of dollars (as in the Environmental and Defense programs). In summary, a decision unit is simply any major program element so designated in the decision unit listing maintained and distributed by the Office of Budget.

(9) **Direct Costs** are any costs which are (can be) identified with a particular program the first time the costs are charged. These costs are directly charged to a program since they are directly related to and are being incurred principally for the benefit of the program receiving the charges. These costs generally consist of direct labor, materials and supplies.

(10) **Fiscal Year (FY)** is any yearly accounting period, regardless of its relationship to a calendar year. The fiscal year for the federal government begins on October 1 and ends on September 30. The fiscal year is designated by the calendar year in which its ends for example, fiscal year 1992 is the year beginning October 1, 1991 and ending September 30, 1992.

(11) **Fully Loaded Costs** reflect the sum of the direct and allocated indirect costs. For budget formulation purposes fully loaded costs are used to prepare the DOE program estimates. When these costs are incurred they are reported to the Department's Financial Information System (FIS) using the budget and reporting (B&R) classification codes.

(12) **General Plant Projects (GPP)** are miscellaneous minor new construction projects of a general nature, the total estimated cost of which may not exceed the congressional authorization of $5 million per project. GPP are necessary to adapt facilities to new or improved production techniques, to effect economies of operations, and to reduce or eliminate health, fire, and security problems. These projects provide for design or construction (or both); other capital alterations and additions; and improvements to land, buildings, and utility systems, and they may include the construction of small, new buildings, replacements or additions to roads, and general area improvements.

(13) **Indirect Costs (Allocable)** are costs that are not identified with a single, specific final cost objective. These costs, collected in cost pools, are distributed or allocated to a final cost objective based on a predetermined methodology. Site overhead costs, service centers, and organizational burden are examples of indirect costs.

(14) **Laboratory Directed Research and Development (LDRD)** represents the Department's independent research and development costs. These are indirect costs which are allocated to all direct programs at the laboratory for independent research and development activities in conformance with the guidelines contained in DOE Order 413.2.

(15) **Obligations**. Amounts of orders placed, contracts awarded, services received, and similar transactions during a given period that will require payments during the same or a future period. Such amounts include outlays for which obligations have not been previously recorded and reflect adjustments for differences between obligations previously recorded and actual outlays to liquidate those obligations. All obligations must be supported by written documentation or law.

(16) **Outyear** is any year (or years) beyond the budget year for which projections are made.

(17) **Prior Year (PY)** is the fiscal year immediately preceding the current year and two fiscal years preceding the budget year. It is the fiscal year in which the budget is being executed. This definition applies to the first three cycles of the budget formulation budget process, i.e, the Field, CRB, and OMB budget. However, for the Congressional cycle, the prior year is the fiscal year in which the budget has been closed-out. For example, in January of 1998 when FY 2000 (BY) budget process beings, the execution year is FY 1998; by the time the Congressional cycle for the FY 2000 budget occurs, in December of 1998, the execution year will be FY 1999 (CY) and the FY 2000 (PY) budget has been closed.

(18) **Recharge or user costs** are costs for a service such as the computer center, or the engineering department which are charged out to either direct programs or indirect programs on the basis of services provided at a predetermined rate which reflects the costs for the provision of the services.

(19) **Reprogramming** is shifting funds within an appropriation or fund account to use them for different purposes than those contemplated at the time of appropriation (for example, obligating budgetary resources for a different object class from the one originally planned). While a transfer of funds involves shifting funds from one account to another, reprogramming involves shifting funds within an account.

Reprogramming is generally preceded by consultation between federal agencies and the appropriate congressional committees. It often involves formal notification and opportunity for congressional committees to concur in the proposal.

(20) **Review** is an exercise to assess the contractor's planning and budgeting documentation to understand the reason for an activity, what resources are being requested and why the resources are needed, and how the basis for the estimates was developed.

(21) **Total Estimated Cost (TEC)**. The total estimated cost of a construction project is the gross cost of the project, including the cost of land and land rights; engineering, design, and inspection costs; direct and indirect construction costs; and the cost of initial equipment necessary to place the plant or installation in operation, whether funded out of operations or plant and capital equipment appropriations. It should be noted that in recent years Congress has authorized amounts for construction projects exclusive of amounts for construction planning and design. In these cases the amount authorized is used as a base for total estimated costs, even though it does not include planning and design costs.

(22) **Total Project Cost (TPC)** consists of all the costs included in the TEC of a construction project plus the pre-construction costs such as conceptual design and R&D, plus the costs associated with the pre-operational phase such as training and start-up costs.

(23) **Uncosted Obligations** are the results of legal obligations incurred for which goods and services not yet been provided.

(24) **Validation** is an exercise involving the comprehensive examination of the contractor's documentation to evaluate the supporting documentation for the

activity, verify the resources requested and their necessity, and test the estimates developed and verify the reasonableness of the contractor's scope requirements.

e. Background: This section has been left intentionally blank. The section will be provided at a later date once the roles and responsibilities of the Office of Laboratory Management and the Associate Deputy Secretary for Field Management have been clearly established.

f. Key Budget Concepts: The purpose of this section is to provide guidance on the proper use of the budget categories in formulating budgets. The Department's budget for most programs is divided into three funding categories: Operating Expenses, Capital Equipment (not related to a construction project), and Construction. The exception is for programs funded under the Energy and Water Development appropriation (EWD). Effective FY 1996, funds supporting General Plant Projects (GPP), Capital Equipment (CE), and most Accelerator Improvement Projects (AIP) contained in EWD are merged and budgeted with operating funds. This change was made to allow greater flexibility for the Department's laboratories and facilities in allocating resources for operations and infrastructure activities, and at the same time retain the capability for adequate program management by Headquarters DOE Secretarial Offices. The EWD committee further expects to be kept informed of specific details related to GPP, CE, and AIP and other operating expense funded construction-related costs in the Department's annual budget justification. Additionally, the EWD committee directed that the Department continue to account for obligations and costs at levels which identify GPP, CE, and AIP and other operating expense funded construction-related costs.

(1) **Operating Expenses**: Operating expenses are normally used to budget for operational activities and includes such expenses as labor, travel, training and small dollar items which are not intended to be capitalized (i.e., less than $25,000 and a useful life of less than 2 years).

(a) There are some exceptions for those programs whose budget structure provides for operating expenses funding only, such as the Environmental Restoration Program, Strategic Petroleum Reserve and Naval Petroleum Reserves. These programs generally use operating expenses to fund capital equipment and construction projects. When operating expenses are used to budget for construction projects, a project data sheet is required for all projects in excess of the limitation on General Plant Projects (GPP), currently $5 million.

(b) Another exception is the lease purchase of telecommunications equipment which is considered to be the provision of utility services and is funded annually using operating expenses.

(2) **Capital Equipment not Related to Construction**: This budget category provides for capital equipment not related to a specific construction project, including the costs for installing the equipment. Field budgets should contain a detailed listing of the equipment being requested, and indicate whether it a new item of equipment or is to replace existing equipment. The Congressional budget submission which is prepared by Headquarters will normally only identify major items of equipment over $2.0 million.

(3) **Differentiating Between Capital Equipment and Construction Projects**: In most cases, the equipment can be installed with little or no significant installation costs or construction activities required. However, in some cases the equipment requires significant construction activities to function such as the provision of foundations, utilities, and structural modifications and additions to a building. As a general rule, construction funds should be used when these construction activities constitute more than 20 percent of the costs of the equipment, or when the construction activities exceed the GPP limitation.

(4) **Projects Funded Out of Construction Funds**: Normally, projects which result in the construction of a structure or facility having a useful life of 2 years or more are funded out of capital funds in either a line-item project, or in a GPP project if under the Congressional limitation for GPP projects (currently $5 million). These are identified under the construction funding category and a construction project data sheet is prepared for the submission of the budget.

(a) Refer to Chapter 3, paragraph 7., for a complete description of the procedures to be followed to prepare project data sheets. Note that Item 10 of the project data sheet contains the Total Estimated Cost (TEC) portion of the project. These costs consist of all the costs necessary to design, construct and outfit a facility or structure. Generally, these costs are comprised of the capital costs plus the initial complement of low value (less than $25,000) furnishings which, while not meeting the capitalization criteria, are necessary to provide a complete and useable facility.

(b) Item 12(a) of the data sheet contains the Total Project Cost (TPC) portion of the project. TPC consists of all the costs in the TEC plus the pre-construction costs such as conceptual design and R&D, plus the costs associated with the pre-operational phase such as training and start up costs.

(5) **Projects Funded Out of Operating Expenses**:

(a) Operating expenses are used to fund construction projects which have an expected life of less than two years since these projects will not be

capitalized on the books. Examples are experimental facilities which are expected to be used for less than two years. It is important that project data sheets be prepared for all projects with a Total Estimated Cost (TEC) in excess of the GPP limitation which is currently $5 million.

(b) Similarly, programs that only have operating expense funding such as the Environmental Restoration or the Strategic Petroleum Reserve, or Naval Petroleum Reserves, should prepare project data sheets for all construction-type projects with a TEC of $5 million or more.

(c) The project data sheets for projects funded out of operating expenses are prepared in exactly the same way as the data sheets funded from construction funds, except that item 2.b. of the project data sheet is changed to reflect operating expenses as the source of funds. Item 10 of the data sheet should encompass those costs which are directly associated with the construction phase of the project (TEC) and Item 12 should contain all the costs from conceptual design through start-up (TPC).

(6) **Grouping of Construction Projects**: In the interest of minimizing the number of individual data sheets, smaller projects can be grouped together to form a larger single data sheet whenever the activities are site-wide and constitute a theme, such as the construction of utilities. In these cases separate sub-projects should be described in paragraphs 8 and 9 of the data sheet along with the TEC, funding profile, and start and completion of construction schedules.

(7) **Environmental Restoration Projects**:

(a) The EM Environmental Restoration Program (EM-40) is funded entirely by Operating Expenses, and this funding is utilized for traditional operating-type expenses, capital equipment, and construction-type efforts. This is an approach used for environmental cleanup activities which evolved prior to the creation of the EM Program in late 1989. Past Non-Defense cleanup Non-Defense efforts were budgeted in this manner since the early 1980's. When the Defense cleanup activities were separately established, they were also budgeted for in this manner. The focus of these activities is the cleanup of contaminated facilities and sites, which is largely under the Federal and State regulatory control and which involves far more uncertainty than traditional construction-type activities.

(b) Starting with the FY 1994 Congressional Budget submission, Environmental Restoration activities will be further justified using Operating Expense Funded Project Data Sheets. These data sheets must be consistent with the EM Long-Term Plan (focus on Year 2006) or in an

approval base-line document. These will provide accountability and control in the budget process that is essentially the same as that for construction projects. All activities will be subject to standardized review, routine reports, periodic meetings, and high-level DOE decisions for key milestones. The data sheets and supporting documentation developed as part of the validation process will be used for validation of budget requests. These documents will itemize the various equipment and traditional construction-type efforts included in the annual site cleanup activities.

(c) All EM-40 activities, except Headquarters efforts, have been grouped into 17 Major Systems or Strategic Systems(MS or SS). Field Offices should submit project data sheets for all EM-40 efforts under their cognizance. For those sites receiving funding from different appropriation accounts (Defense and Non-Defense) separate data sheets will be required. As discussed previously, please include additional subproject details in Section 8 and Section 9 of the EM-40 MS/SS data sheets to reflect construction-type items. This separate description needs to include a funding profile, schedule, and TEC for the particular subproject.

2. **BUDGET VALIDATION PROCESS**:

a. Purpose: To evaluate planning, development, baselines and funding prior to inclusion of a new project or system acquisition in the DOE budget or seeking increased funding for a prior project or system. It requires a review of project planning and conceptual development documentation, as well as discussion with the program or Operations Office and principle contributing contractors to determine the source basis, procedures, and validity of proposed requirements, scope, cost, schedule, funding, and so forth. Findings and recommendations resulting from the validation process will be provided for use in the annual budget formulation.

b. Type of Reviews: There are two types of budget reviews that are required to validate a budget justification. These are program reviews and pricing reviews. Program reviews are conducted by qualified Operations Office personnel in coordination with the Headquarters Program staff, to ensure that the program guidance has been followed and to validate the reasonableness of resources and the programmatic assumptions upon which the estimates are based. Resources include quantity of hours required, quality of labor (staff level assigned), quality & materials, need for subcontracts, and other direct costs. Results of program reviews should be given to the Operations Office CFO. The Operations Office CFO with the assistance of available Headquarters CFO staff and Program Organizations representatives should conduct pricing reviews to validate the reasonableness of cost estimates. These pricing reviews should verify that adequate reviews have been conducted by the M&O contractor staff and adequate backup documentation is maintained in support of the estimates. Ideally, both the pricing reviews and the program reviews should be conducted at the same time to ensure the highest quality of the budgets and to minimize the impact on the M&O contractors' staff.

c. Preparation for the Reviews: Before conducting the reviews it is important that all members of the review team understand how the contractors' budget formulation system works. This should all be documented in the contractor's budget handbook which will be maintained in Chapter 8 of the Field Section of the Budget Formulation Instruction as a reference document. This subject should also be covered in the Operations Office Training program for budget and program analysts.

d. Establishing a Baseline: It is important that in validating the resources requested that the current financial status be understood and considered. This means that the reviewers should analyze the current and projected costing rate, the planned obligational schedule and develop projections of year-end unobligated and uncosted balances to determine if excess funds are expected to be available to offset the requirements for new budget authority.

e. Sample Questions: The validation questions listed on the following pages are to provide you with sample questions for you to consider when performing a budget validation. The list is by no means exhaustive and some questions may not apply to each and every validation situation.

(1) **Review of Uncosted and Unobligated Balances**.

(a) What are the estimated uncosted and unobligated balances projected to be available. Have they been used to offset the budget year requirements?

(b) In determining the funding requirements for the budget year have efforts been made to minimize the carryover uncosted and unobligated balances?

(2) **Budget Instruction Review**.

(a) Is instruction updated, maintained and followed in the validation process?

(b) Are written procedures available (i.e., budget records, management policy)?

(c) Are your roles and responsibilities clearly defined?

(d) Is there complete budget formulation training?

(e) How is management's role defined in the procedure?

(f) What is your validation process (i.e., committee reviews, management reviews, site office reviews)?

(g) Is a change control process used in updating budgets in order to keep them current?

(3) **Program Budget Guidance**.

(a) Was the guidance given to M&O contractor timely/late?

(b) Was guidance broken down by decision unit?

(c) Was the guidance complete, clear, and specific?

(d) Do you actively seek guidance when the proper organization fails to provide the necessary guidance for development of work scope/estimates?

(e) Does the guidance contain a schedule for work completion?

(f) Does the schedule provide time for review of work performed?

(4) **Work Scope Validation Guide**.

(a) Why is the proposed activity (or components of the activity) necessary? What are the major drivers?

1 If necessary, is the proper technical expertise and staff level assigned to get the job done? How was this determined?

(b) What are the scope changes since approval of the previous budget?

1 What is the basis for the changes and the effect on cost and scope?

2 Are changes traceable in supporting documents?

(c) How do you know that the cost and schedule estimates are accurate and reasonable?

1 Contingencies should be kept to a minimum, and are generally used for construction projects. If contingencies are built into the estimates do they reasonably reflect the level of confidence in the scope of work, development features, pricing methodology, and complexity of work?

(d) Is the work scope appropriate and consistent with DOE guidance?

(e) What are the major constraints/uncertainties in accomplishing the work scope?

1 What is the degree of uncertainty attached to each major constraint?

2 Based on the constraints or uncertainties how likely can the work scope be achieved within the stated cost and schedule?

(f) What are the alternatives? Is there a better, more cost effective way to get the job done? How would the alternatives affect cost and schedule?

(g) Has the work scope been reviewed/approved by contractor management or other parties independent of those responsible for preparing or executing

the budget? By whom? Was the review documented? What changes resulted from the review?

(h) Is the scope of work adequately defined?

(i) Are prior year accomplishments identified?

(j) Are there interfaces/prerequisites on which the accomplishment of work is dependent?

(k) Are interface agreements in place (e.g.landlord versus program responsibilities)?

(l) Does the program have an established baseline?

(m) Are regulatory concerns identified?

(n) If an activity is growing significantly from one year to the next, is the ramp up reasonable and achievable and does it represent the most efficient application of resources?

(o) Are level of effort changes and cost growth above inflation uniformly explained and justified?

(p) Is the work scope prioritized to a level which will aid in decision making if budget reductions occur?

(q) Are safeguards and security activities identified?

(r) Have all environmental, safety and health needs been identified, as required and anticipated?

(s) Are narrative goals and budget funding plans consistent with the institutional plan and strategic plan?

(t) Are impacts of funding reductions adequately addressed?

(u) Is the work scope adequately documented?

(v) Where applicable, is the work identified consistent with the program Work Breakdown Structure (WBS)?

(w) Are cost accounts and work packages logical subdivisions of the total program work scope?

(x) Does the scope of work of each cost accounts include all of the work scope identified for the program?

(y) Is the requirement for the work to be performed internal (DOE-program driven) or external (Work for Others)?

(z) Is the work to be performed internally or externally?

(aa) Does the required work scope duplicate work being performed elsewhere in the Department?

(ab) Does the final work scope estimate reflect the complexity of the program and represent an accurate assessment of the funds necessary to accomplish the stated technical objectives?

(5) **Milestones Guide**.

(a) Are milestones listed for each year? If not, is this appropriate?

(b) Are the milestones measurable? Do they reflect the proposed work scope?

(c) Do the milestones and completion dates support the work schedule? Are the dates dictated by Presidential Initiatives, Energy Policy Act of 1992, etc.)?

(d) Are milestones achievable per the schedule identified?

(e) Are deliverables associated with milestones identified?

(6) **Cost Estimate Validation Guide**.

(a) What cost “options” were considered in accomplishing the technical program for the minimum expense?

(b) Does the final estimate reflect the complexity of the program and represent an accurate assessment of the funds necessary to accomplish the stated technical objectives?

(c) Has the estimate been documented and will it withstand audit scrutiny?

(d) When was the estimate prepared?

(e) Who prepared the budget (cost estimate)?

(f) Have the estimates been reviewed by parties independent of those responsible for preparing or executing the budget? Was the review documented? What changes resulted from the review?

(g) What major assumptions were used to arrive at the cost estimate?

1 What is the degree of uncertainty attached to each major constraint or assumption (low, moderate, high)?

2 Source? (e.g, historical data, vender quotes, industry standard, comparable tasks, etc. -- be specific.)

3 How are you sure your cost estimates are accurate and reasonable?

4 What escalation rates were used? Valid sources?

5 How was the estimate developed (i.e., trends, “bottoms-up”, incremental change in work, etc.)? When was the last “bottoms-up” estimate performed?

6 Is current estimate reconciled back to the previous estimate?

(h) Determine the major changes from last year's budget requirements.

1 What are the key drivers for the changes, such as, technical, regulatory compliance, escalation, and new baseline information? Does the budget justification reflect these drivers?

(i) What cost models or automated budget programs were used to develop the estimates? Have they been verified/validated?

(j) Are estimates formulated within the requirements of all applicable DOE Orders.

(k) Review the documentation supporting the budget estimates.

1 What technical documents were used to develop the estimates?

2 Randomly select various cost elements and determine the components which build the estimates. Assess whether the documentation appears sufficiently detailed to support the estimate.

(l) Are material, labor costs, escalation, and overhead costs well documented? Where did they come from?

(m) Are all unit costs, vendor quotes~ all assumptions (e.g.resource availability) well documented?

(n) Schedules and milestones: Are all tasks sufficiently explained and documented in work papers and do cost estimates reflect these tasks?

(o) Are contingency costs reasonable and well documented in supporting documents?

(7) **Indirect Costs**.

(a) What oversight procedures are implemented for evaluating indirect cost resources requirements in the budget?

(b) Are indirects applied consistently to all programs. If not, why?

(c) Is proper oversight of indirects being performed?

(d) To what level of detail are indirect reviews being performed?

(e) Who is doing the review?

(f) Are specific cost pools consistent with Cost Accounting Standards?

(g) Is there any evidence of inappropriate or unallowable costs being incorporated into OH cost pools?

(h) Is the methodology and rationale for allocating the various indirect cost pools to direct programs reviewed and assessed for consistency with Cost Accounting Standards?

(i) What documentation exists for indirect cost accumulation and allocation (backing up budget formulation estimates)? Is the documentation adequate to support/manage/control indirect costs?

(j) Is this documentation routinely reviewed for oversight and evaluation purposes?

(k) Describe in detail the current process by which indirects are presented, reviewed, justified and approved?

(l) Are midyear reviews conducted on actual indirect costs? Are adjustments made as a result?

(m) Are significant changes in indirect costs explainable/ justifiable/supported/documented?

(n) Are any costs charged to indirects that should have been charged to direct programs (or vice versa)?

(o) Is there any evidence of "taxing" to supply funds for unbudgeted programs/activities? What is the justification? How are the taxes being applied and for what are they used?

(p) What actions have been taken to correct improper charges to indirects?

(8) **M&O Full-time Employees (FTEs) Guide**.

(a) Identify and justify FTEs and type of personnel required (e.g, engineers versus technicians).

(b) Are FTEs justified or zero-based analyzed?

(c) Are year-to-year staffing increases justified?

(d) Are the staff hours budgeted reflective of the time needed to accomplish particular tasks?

(9) **Non-labor**.

(a) Are all non-labor requirements identified/explained?

(b) Are changes in non-labor activity from one year to the next justified?

(c) Are multi-year commitments covered (current plus the out years)?

(10) **Long-range Planning**.

(a) How does the proposed work fit within the priorities of the program?

(b) Is the work included in institutional/strategic plans?

(c) Are issues/resolution of issues included in the appropriate planning package?

(d) Has work package documentation been completed on all requested funding?

(11) **Capital Equipment**.

(a) Have equipment requirements been identified and budgeted through the programs?

(b) Have installation costs and procurement costs been included as part of the estimate?

(c) Have funding determinations (capital versus operating) been performed where necessary?

(12) **Construction**.

(a) Are the requirements of the DOE Project Management System being followed?

(b) Have the estimates been formulated based on DOE Order 130.1 (Budget Formulation Process)?

(c) Have GPP estimates been formulated based on DOE Order 4700.3?

(d) Have short form data sheets been prepared for proposed construction efforts?

(e) Are adequate dollars identified for advance planning/conceptual design?

(f) Does schedule allow the time necessary for environmental documentation/reviews?

(g) Have funding determinations (capital versus operating) been made consistent with DOE funding policy?

(h) Are impacts of funding reductions adequately addressed?

(i) Are all agreements in place, e.g., for example landlord versus program responsibility?

(j) Does the conceptual design call for the inclusion of energy conservation features to minimize life cycle costs as required by DOE Order 6430.1A, GENERAL DESIGN CRITERIA?

(k) Is the project shown on the latest approved site master plan?

(13) **Operating Expenses**.

(a) What budget execution procedures are in place to ensure proper allocation, authorization and control of operating funds?

(b) What review process is followed to ensure that the utilization of operating funds complies with DOE policy and congressional intent?

(c) How is excess funding recognized and utilized?

(d) What procedures are followed for the authorization of redirection of funds for unbudgeted programs?

(e) If applicable, what percentage of your total operating and capital funding is directed to Laboratory Directed Research and Development (LDRD)? How is LDRD funding being utilized? Is it consistent with DOE Order 5000.4A?

(f) Where have you found improper financial management of operating dollars? What did the improprieties entail? What corrections were proposed? Were the corrections made? If not, why not?

(14) **Leases**.

(a) Are lease-purchase analyses performed for every lease entered into and are you following the recommendation of the analyses?

(b) Are you following the guidance established in OMB Circular A-11.

(c) Are there situations where decisions to lease were based on the shortage of funds rather than on economic considerations?

(d) What arrangements/options are available in the lease-to-ownership leases and which ones will be exercised? Do any of these leases involve real estate?

(e) When it has been determined that there has been improper use of leases, or improper funding of leases, what measures are taken to correct the problem?

(15) **Budget Validations, in General**.

(a) What procedures were followed in conducting the budget validation review?

(b) Does the budget validation review follow the policies promulgated in DOE 2200.13, OVERSIGHT OF INTEGRATED CONTRACTOR FINANCIAL MANAGEMENT?

(c) Who has conducted the review? Were the Operations Offices, PSOs, programs, etc. involved? What approach was used (team, by individual office, etc.)?

(d) Are validation reviews being tied into the budget formulation process at both the contractor and field level?

(e) Were validation reviews performed on operating, capital and plant funded projects?

(f) Are additional reviews needed on line item construction projects in light of the fact that they already should have gone through Headquarters Project and Facilities Management validations?

(g) Describe plan developed for conducting bottoms-up reviews on a random sampling basis.

(h) Are cost estimates for on-going projects subject to the same level of review as they are for new starts? What are the differences?

(i) Are the actual programmatic requirements for the program or project being validated in the review process?

(j) Are indirect funded activities included in the budget validation process?

(k) Was there adequate documentation on cost estimates for a quality validation to be performed?

(l) What level of confidence do you have that your validation resulted in good and accurate information (i.e., 80-100% of questions answered fully equates to high level of confidence, 50-80% of questions answered fully equates to adequate level of confidence, 30-50% of questions answered fully equates to marginal level of confidence, and 0-30% of questions answered fully equates to low to no level of confidence)? If your confidence is low, what is the next step?

(m) What is the impact on the Operations Office staffing requirements as more staff is needed to perform the validation reviews?

(n) Were estimates subject to extensive review by non-program advocates?

(o) Are estimates reviewed at the contractor level prior to submission to the Operations Office?

(p) What checks and balances are in place to assure unbiased validations?

(q) Are reviewing officials given the authority to require/make changes to correct insufficiencies that they find during the validation review? If not, who has the authority to implement changes?

3. **REQUIREMENTS FOR GOOD BUDGET JUSTIFICATION**: The purpose of this section is to describe the minimum kinds of information which are necessary for well justified budget requests, whether Field Work Proposals (FWPs), EM Long-Term Plan or approved baseline, or other documents are used. These documents should contain the following types of information:

a. The overall objectives of the program and specific Headquarters organization guidance.

b. Discrete milestones and associated funding.

c. The accomplishments planned for the current year as well as the scope of the work planned for the budget year. The scope should clearly describe what will be done with the funds being requested in the budget year and how the work will be accomplished.

d. The need for the proposed level of effort. (While a continuing activity normally requires less justification than a new activity, there is still a need to justify on-going activities.)

e. The basis for the estimates including the key assumptions which drive the resource requirements.

f. If different funding levels are requested, clearly describe what will be bought for the additional funds above the target or guidance level and justify why the additional funds are warranted.

g. If capital equipment is requested, identify all large items of equipment, specifying whether or not the equipment is for replacement and why it is required.

h. If construction projects are required, indicate in the operating expense portion of the justification the importance of the facility to the program objectives, focusing on the timing of the facility requirement.

i. If a structure or facility is being proposed to be funded out of operating expenses, indicate the basis for not using construction funds.

j. Based on validation reviews, an assessment of the level of confidence for the budget estimate should be assigned (i.e., low, medium or high confidence).

4. **REQUIREMENTS FOR GOOD BUDGET DOCUMENTATION**: This section describes what constitutes good backup documentation. Good documentation should explain in detail how the estimates were developed unless the basis is fully explained in the primary budget justification document. The level of documentation depends upon the nature of the work. For example, if the work involves continuation of on going basic research at the same level of effort as the previous year then extensive backup documentation may not be necessary. However, if new initiatives or changing programs are requested, detailed documentation which will allow the reviewer to fully understand how the estimates were developed should be provided.

5. **PERFORMANCE MEASUREMENT**:

a. Introduction. The adoption of performance-based budgeting by the Department was designed to be consistent with provisions of the Government Performance and Results Act (GPRA) of 1993. Headquarters program organizations will be expected to submit their budget requests that support the Departments Strategic Plan and Annual Performance Plan, include quantified output measures and related outcomes. To achieve this, field budget submissions need to provide definitive performance measurement information that provides a supportable base for the Headquarters program budget requests. To successfully development of performance-based field submissions will require both broad conceptual guidance and program specific guidance. This section provides general guidance that defines the overall process, basic concepts and anticipated results. Program specific guidance is intended to supplement this general guidance and provide needed information such as, program goals and objectives, performance measurement metrics and guidelines on the level and type of reporting desired. Specific guidance is provided with program budget guidance (see Field Budget Call programmatic guidance section).

b. Definitions. Key terms used in this performance measurement guidance are provided below:

(1) **Strategic Plans -** either at the Department or program level is a broad statement of primary goals and objectives such that their successful accomplishment results in achieving ultimate missions results.

(2) **Annual Performance Plan -** A plan, capable of being executed in a fiscal year, that links the nearer-term strategies, goals, and objectives contained in the Strategic Plan with fiscal year resources and performance measures as identified in the annual budget.

(3) **Goal -** is a quantifiable statement of a desired major end mission result.

(4) **Objective -** is a quantified statement of an end result which significantly contributes to the accomplishment of a goal.

(5) **Performance-Based Budgets -** budget that are stated in objective quantifiable and measurable terms what will be achieved or accomplished at a certain level of funding.

(6) **Metrics -** are the unit of the measurement used to indicate the performance of a particular activity.

(7) **Performance Indicators -** is a quantified or measured expression of successful advancement towards or achievement of a desired goal or objective.

(8) **Output or Output Measure -** is a quantitative expression of a tangible product that results from a certain level of activity.

(9) **Outcome or Outcome Measure -** is an assessment of activity results compared to the intended end result or purpose of the activity.

c. What Is Meant By Performance-Based Budgets. In general, performance-based budgeting means that DOE budgets will be appropriately modified or expanded to state in objective, quantifiable and measurable terms what will be achieved or accomplished for a certain level of resources, i.e., the outputs for a certain level of input. These budgets will relate to strategic plans, and reflect anticipated outcomes. It is intended that the same performance indicators will be used in budgets and related documents such as strategic plans, annual performance plans and performance reports. All DOE organizations are expected to prepare performance-based budgets. Performance measurement data are to be incorporated into the same justification exhibits currently being utilized by the Department, such as Overviews, Key Activity Summaries and Project Data Sheets. Programs that by their nature have a range of activity levels will need to indicate the different performance outputs and outcomes associated with variances in funding and activity levels.

d. What Is Expected From Field Elements (i.e., Operations and Field Offices) and M&O Contractors. As indicated above, for FYBY Field Elements are to follow both the general guidelines presented in this section and complementary guidance provided by program organizations (See FIELD BUDGET CALL, programmatic guidance section). Unless specifically directed by program guidance, Field Elements are to submit the same basic budgetary exhibits as in prior years. These exhibits are to be modified or expanded as necessary to include performance-based budgeting information. In particular, narrative statements and descriptions should indicate to the extent practical which goals and objectives are being supported and include quantified output and outcome performance measures. Probable exhibits to be modified for reporting performance information are field work proposals, activity data sheets and project data sheets.

f. Adhering To The FIELD BUDGET CALL Process. As outlined below, preparing and submitting performance-based budget data should not alter the overall FLYBY Field Budget Call process. The process steps in developing performance-based budgets are as follows:

(1) A key preliminary step is development of strategic plans. Both Department level and major program strategic plans have been developed to provide priority goals

and objectives to Field Elements. Program level strategic plans are to directly support goals and objectives of the Department's strategic plan. To the extent possible field submissions should identify and indicate strategic program goals and objectives supported.

(2) In conjunction with development of program level strategic plans, Headquarters program organizations must prepare program budget and planning guidance for inclusion in the Field Budget Call. This guidance should provide available performance indicators and metrics information, and describe the level and type of performance data to be submitted.

(3) Field development efforts formally begin with issuance of the Field Budget Call and subsequent distribution of guidance by Operations Offices to M&O Contractors.

(4) Headquarters Elements are encouraged to provide clarification of program guidance and assistance through Operations Offices budget personnel to the M&O Contractors.

(5) Upon completion of development efforts, Operations Offices perform normal review and validations of M&O contractors budget requests prior to submission to Headquarters in mid-April. This should include an assessment of performance in relation to requested resources.

(6) In April, the Secretary issues the Five-year Budget and FTE Guidance.

(7) In June/July timeframe, Secretarial Officers submit draft Budget and FTE input to the Office of Budget.

(8) In July, the Secretary meets with each Assistant Secretary by business lines.

(9) In August, final decisions are made and the budget is prepared in final to OMB.

g. Basic Concepts, Principles and Assumptions. This section addresses a number of different subject areas related to preparing performance-based budget submissions. The guidelines presented herein are intended to apply to the initial field budget process. Program planning and budget guidance is to supplement the governing concepts presented below:

(1) DOE budgets will continue to be predominately program oriented. That is, submissions to OMB and Congress will present and support direct funded program activities.

(2) Most supplementary and crosscut materials including allocable cost exhibits are exempt from performance-based reporting requirements except as specifically noted in guidance provided in the Field Budget Call. Project data sheets (except for GPP) are to appropriately include two items of performance measurement data beyond that normally reported. Item 9 of the data sheets is to: (1) additionally indicate what program planning objectives the project benefits/supports, and (2) in quantifiable terms, indicate the type and amount of work to be completed during the budget year. This information is to be provided at the appropriate level.

(3) All DOE programs are expected to prepare performance-based budgets. This year's field process is to focus on DOE's major outlay programs that rely heavily on field data to prepare budget requests.

(4) Field budget submissions are to reflect outputs and outcomes based on anticipated target level funding. Program budget guidance should indicate to Field Elements any different funding options, cases, ranges, etc. that are to be applied to their program activities and corresponding budget submissions.

(5) Performance indicators are required for each of the three fiscal years (PY, CY and BY) that are shown in most budget exhibits. Outputs and outcomes are to be individually stated in quantified annual amounts.

(6) Field Elements are not required to link 100% of their budget to a particular strategic goal or objective of the Department or that of a major outlay program. An example of an activity not linked could be general administrative or support costs where the need is obvious and justified and where there are no obvious goals or objectives that apply. The strategic plans goals and objectives are not available for program direction, staff functions and many of the Department's smaller programs and budget activities. The presumption is that most Field Elements should be able to prepare and link a high percentage of their requests to goals and objectives of DOE's major programs. (**NOTE: It is important to note that even though some activities or costs in field budget submissions will not directly link to a particular major program goal or objective, Field Elements are expected to make a good faith/best effort of providing quantified performance indicators in all budget requests.**)

(7) Closely related to linkage is metrics. Examples of potential metrics are completed production units, tests conducted, BTUs saved, buildings decontaminated, completed construction, etc. Ideally, common metrics should be consistently applied to particular goals and objectives. Having common metrics facilitates linkage by easily allowing integration and roll up of field level budget requests into consolidated segments of Headquarters program budgets.

Major outlay programs must provide in their program budget guidance the preferred metrics to be used for activities related to a particular goal or objective. To the extent metrics have been provided they should be used. In situations where the type of measurement is not specified, Field Elements may determine and use a metric that reasonably indicates and measures performance. (**NOTE: It is anticipated that your initial field input will be extremely valuable to Headquarters organizations in determining specific metrics to be used in future cycles**).

(8) To be meaningful, performance measurement data submitted to Headquarters needs to be accurate and reflective actual expected performance. It is unknown at this time to what extent Field Elements may be required to report actual FY BY performance results. Eventually such results will be reported on a regular annual basis.

h. Additional Information.

(1) Field Elements are encouraged to contact their Headquarters program organizations early in the process to resolve uncertainties and to obtain needed programmatic information/clarification.

(2) General questions related to performance based budgeting should be directed to David Bugg Office Budget, on (202) 586-4715. General questions concerning strategic planning should be directed to Bill Kennedy, Office of Policy, Planning and Program Analysis, on (202) 586-0423.

6. **FEDERAL STAFFING**: The Office of Human Resources and Administration (HR) is responsible for developing and implementing policies and procedures for budgeting, allocating and monitoring the utilization of Federal Full-Time Equivalents (FTEs). In carrying out its staffing budgeting responsibilities, HR prepares and issues separate staffing data calls, analyzes staffing requests and provides recommendations to the Secretary on the deployment of FTEs to carry out the Department's programs and mission.

CHAPTER II

PRIMARY SUBMISSION MATERIALS

1. **INTRODUCTION**. Primary submission material comprises three basic budget exhibits which generally summarize the total budget request of a laboratory, facility, or contractor. Each request package submitted shall contain the five basic exhibits, which are: (a) summary of estimates tables; (b) project data sheets; and (c) field work proposals (FWP's), activity data sheets (ADS), or EM 2006 Plan. Other submission requirements are discussed in Chapters 3 and 4 of this Instruction. Each of the three primary submission exhibits is discussed below.

2. **PROGRAM DIRECTION (Federal FTEs only)**. Conference Report 104-293 accompanying the FY 1996 Energy & Water Development (EWD) Appropriations Bill (H.R. 1905) requires that each organization have one program direction line within each appropriation account for all Full-Time Equivelants(FTE's), both field and headquarters. The Conference Report Language also requires that object class information be provided. The FY 1998, EWD Appropriations Bill Commitee Report (H.R.105-190) specified that all support services contracts are to be included in the program direction account regardless of whether the contracts are in direct support of the program mission or indirectly via supporting Federal staff. To comply with these reporting requirements, all Operations Offices that receive program direction funding under EWD appropriations must prepare and submit Figures II-2a through 2d consistent with the guidance provided in paragraphs "a" through "d" below:

   a. Program Performance Summary (Figure II-2a).
   A separate Program Performance Summary must be prepared for program direction funding for each organization within a given appropriation. For example, the Oak Ridge Operations Office is required to prepare three Program Performance Summaries for the Energy Supply Research and Development appropriation for the Offices of Nuclear Energy, Energy Research, and Environment, Safety and Health. Only one Program Performance Summary is required for the Departmental Administration appropriation. Program Performance Summaries should utilize Time New Roman 12 point font. The standard format for the Program Performance Summary is described below.

   Section I - "Mission Supporting Goals/Ongoing Responsibilities"
   This section should describe the purpose of the program direction and the specific activities funded under the following four categories: Salaries and Benefits, Travel, Support Services, and Other Related Services. All funding associated with program direction must be reported in one of the four categories. Definitions for these categories are provided at the end of this guidance.

Section II - "Funding Tables"
Program direction funding must be reported in obligations by site (Operations, Area, Support and Project Office), by program (Basic Energy Sciences, Magnetic Fusion), and the four categories (Salaries and Benefits, Travel, Support Services, and Other Related Services) for each of the three fiscal years (PY, CY, BY). The FTEs associated with the program must also be reported.

In addition to site, program, FTE and category data, the funding table includes an average FTE cost for each program at each site. The last group of entries on the table displays total program direction funding by category, and FTEs. The total column provides program direction funding by category, and FTEs.

An adjustment line shall be used to reflect deobligations, start and/or end of year unobligated balances in any of the fiscal years. The amount in the adjustment line is then subtracted from (or added to) the organization's grand total line to calculate Budget Authority (BA). Footnotes must be used to describe the type of adjustment and the amount.

Section III - "Performance Summary"
During the "lessons learned' meeting with EWD committee staff on the FY 1997 Congressional Budget Request, staff noted that the "Performance Summary" section was not very helpful because it simply described many of the obvious ongoing activities that are funded in program direction (e.g., "provide personnel compensation including salaries and benefits for 310 full-time equivalents"). Committee staff directed the Department to condense this section to describe those activities that readily are quantifiable and substantively justify the need for federal staff and the resources to support such staffing levels. Therefore, care should be taken to identify and describe the oversight/management activities performed and the programmatic problems that could occur in the absence of DOE oversight/management. Describe if the program is staffing up or down, reducing or increasing support service contracts or working capital activities, by how much and <u>why</u>. Explain if severance or voluntary separation incentive payments are being funded, including the number of FTEs affected and the estimated cost.

Section IV - "Explanation of Funding Changes from FY 19CY to FY 19BY"
Changes should be explained in terms of total category levels (i.e., Salaries and Benefits, Travel, Support Services, and Other Related Costs) for the organization as well as for specific programs. Net changes in categories (e.g., Other Related Expenses) should be broken out by the specific increases or decreases of subordinate activities.

b. <u>Object Class Summary (Figure II-2b)</u>.

A separate Object Class Summary must be prepared for program direction funding for each organization within an appropriation. For example, Albuquerque Operations Office must prepare three Object Class Summaries for the Other Defense Activities appropriation for the Offices of Nonproliferation & National Security, Worker & Community Transition, and Fissile Materials Disposition. Object Class categories that are not used for all three fiscal years may be deleted to simplify the schedule. Adjustment lines shall be used to reflect deobligations, start and/or end of year unobligated balances in any of the fiscal years. These amounts are then subtracted from (or added to) the organization's total obligations to calculate Budget Authority (BA).

c. Detailed Support Services Schedule (Figure II-2c)
Organizations that fund support service contracts are required to prepare and submit a detailed breakout of such contracts. All support services contracts are to be included in this schedule. The schedule should be prepared according to the definitions provided below.

d. Detailed Related Expenses Schedule (Figure II-2d)
Organizations are required to prepare and submit a detailed breakout of other related expenses. This schedule should be prepared according to the definitions provided below.

Definitions of Program Direction Categories:

Salary and Benefits - (Object Class categories 11.1 through 13.0)
Salary includes compensation for regular salaries and wages paid directly to civilian full-time permanent and other than full-time permanent employees, other payments that become a part of the employee's basic pay rate (e.g., geographic differentials and nationwide pay raises) and other personnel compensation such as overtime, holiday pay, Sunday pay, and cash incentive awards.

Benefits include cash allowances for relocation and other expenses related to permanent change of station (PCS) and payments to funds for the benefit of employees. Also, includes payments to subsidize the costs of civilian employees commuting by public transportation.

Benefits also includes payments for former employees such as severance pay to employees involuntarily separated, and voluntary separation incentives. Includes payments to the unemployment fund, payments of 9 percent of final basic pay to the civil service retirement fund for employees who took the early-out or buy-out authority, and payments to the employees health benefits fund for annuitants.

Travel - (Object Class categories 21.0 and 22.0)
Travel includes funding for the transportation of Government employees, their per diem allowances while in authorized travel status, and other expenses incidental to travel that are to be

paid by the Government either directly or by reimbursing the traveler. Travel also includes transportation of things, for the care of such things while in process of being transported, and for other services incidental to the transportation of things. An example, would be the transportation of household goods related to permanent change of station (PCS).

Support Services - (Object Class category 25.1)
As a part of the Strategic Alignment Initiative, support services were grouped into the following two categories:

Technical Support Services - includes funding for services which include, but are not limited to, determining feasibility of design considerations; development of specifications, system definition, system review and reliability analyses; trade-off analyses; economic and environmental analyses which may be used in the Department of Energy's preparation of environmental impact statements; test and evaluation, surveys or reviews to improve the effectiveness, efficiency and economy of technical operations.

Management Support Services - includes funding for services which include, but are not limited to, analyses of workload and work flow; directives management studies; automated data processing; manpower systems analyses; assistance in the preparation of program plans; training and education; analyses of Department management processes; and any other reports or analyses directed toward improving the effectiveness, efficiency and economy of management and general administrative services. This category also includes clerical and graphics support services.

Other Related Expenses - (Object Class categories 23.1 through 24, 25.2 and 25.3, 25.7, 26.0, and 31.0)

Other Related Expenses includes all program direction costs not reported under Salaries and Benefits, Travel or Support Services. Specifically, this category includes payments for rental space, telecommunications, utilities and miscellaneous charges, printing and reproduction, other services (e.g., tuition), operation & maintenance of equipment, purchases of goods and services from government accounts, supplies and materials, and equipment.

DEPARTMENT OF ENERGY
FY BY FIELD BUDGET REQUEST
CHICAGO OPERATIONS OFFICE

ENERGY SUPPLY, RESEARCH AND DEVELOPMENT
OFFICE OF ENERGY RESEARCH PROGRAM DIRECTION
(Tabular dollars in thousands, Narrative in whole dollars)

I. Mission Supporting Goals/Ongoing Responsibilities:
Program direction provides overall direction and administrative support for Energy Research programs to ensure that all operations are conducted in the most efficient manner consistent with national science and technology policy....

Program direction has been grouped into four categories:

- Salaries and Benefits (Object Class categories 11.1 through 13.0) provides compensation for X full-time FTEs and X part-time FTEs....
- Travel (Object Class categories 21.0 and 22.0)....
- Support Services (Object Class category 25.1).....
- Other Related Expenses (Object Class categories 23.1 through 24, 25.2 and 25.3, 25.7, 26.0, and 31.0).....

II. FY 19PY Funding Table:

	Total	Chicago Operations Office	Princeton Area Office	Brookhaven Area Office	Chicago Support Office
Biological & Environmental Research					
Salary and Benefits					
Travel					
Support Services					
Other Related Expenses					
Total	$	$	$	$	$
Full Time Equivalents					

Figure II-2a
Program Performance Summary

II. FY 19PY Funding Table (cont'd):

	Total	Chicago Operations Office	Princeton Area Office	Brookhaven Area Office	Chicago Support Office
Magnetic Fusion					
Salary and Benefits					
Travel					
Support Services					
Other Related Expenses					
Total	$	$	$	$	$
Full Time Equivalents					
Basic Energy Sciences					
Salary and Benefits					
Travel					
Support Services					
Other Related Expenses					
Total	$	$	$	$	$
Full Time Equivalents					
Total Energy Research					
Salary and Benefits					
Travel					
Support Services					
Other Related Expenses					
Grand Total	$	$	$	$	$
Full Time Equivalents					
Adjustments					
Budget Authority					

Figure II-2a
Program Performance Summary

II. FY 19CY Funding Table:

	Total	Chicago Operations Office	Princeton Area Office	Brookhaven Area Office	Chicago Support Office
Biological & Environmental Research					
Salary and Benefits					
Travel					
Support Services					
Other Related Expenses					
Total	$	$	$	$	$
Full Time Equivalents					
Magnetic Fusion					
Salary and Benefits					
Travel					
Support Services					
Other Related Expenses					
Total	$	$	$	$	$
Full Time Equivalents					
Basic Energy Sciences					
Salary and Benefits					
Travel					
Support Services					
Other Related Expenses					
Total	$	$	$	$	$
Full Time Equivalents					
Total Energy Research					
Salary and Benefits					
Travel					
Support Services					
Other Related Expenses					
Grand Total	$	$	$	$	$
Full Time Equivalents					
Adjustments					
Budget Authority					

Figure II-2a
Program Performance Summary

II. FY 19BY Funding Table:

	Total	Chicago Operations Office	Princeton Area Office	Brookhaven Area Office	Chicago Support Office
Biological & Environmental Research					
Salary and Benefits					
Travel					
Support Services					
Other Related Expenses					
Total	$	$	$	$	$
Full Time Equivalents					
Magnetic Fusion					
Salary and Benefits					
Travel					
Support Services					
Other Related Expenses					
Total	$	$	$	$	$
Full Time Equivalents					
Basic Energy Sciences					
Salary and Benefits					
Travel					
Support Services					
Other Related Expenses					
Total	$	$	$	$	$
Full Time Equivalents					
Total Energy Research					
Salary and Benefits					
Travel					
Support Services					
Other Related Expenses					
Grand Total	$	$	$	$	$
Full Time Equivalents					
Adjustments					
Budget Authority					

Figure II-2a
Program Performance Summary

III. **Performance Summary**	FYPY	FYCY	FYBY
Salaries and Benefits:			
Streamlined organizational elements at Brookhaven Area Office by eliminating xx (third-tier) components in the Basic Energy Sciences program.			
Conducted independent peer reviews for xx projects in Energy Research, Fossil Energy and Energy Efficiency to determine quality of the science and its relevance to DOE's mission and the national science agenda.			
Reviewed and implemented nuclear safety requirements contained in the Price Anderson Amendment Act of 1988.			
Prepared policy and plans for laboratory infrastructure management as required by the Energy Policy Act of 1992.			
Total Salaries and Benefits	$xxxx	$xxxx	$xxxx
Travel:			
Will institute travel ceilings in accordance with Secretarial initiative to accomplish a total reduction of $ xx in travel costs.			
Total Travel	$xxxx	$xxxx	$xxxx
Support Services:			
Conducted training for xx FTEs for use of the new Energy Research wide area network (WAN) for more efficient transfer of science data between Headquarters and Field.			
Will train xx FTES for use of the new Energy Research wide area network (WAN) for more efficient transfer of science data between Headquarters and Field.			
Total Support Services	$xxxx	$xxxx	$xxxxx
Other Related Expenses:			
Will continue to downsize ER field staff by xx percent and contractual services by xx percent consistent with strategic alignment initiative and Congressional direction.			
Total Other Related Expenses	$xxxx	$xxxx	$xxxx

Figure II-2a
Program Performance Summary

IV. Explanation of Funding Changes FY CY to FY BY:

Decrease of $ xx in Salaries and Benefits is due to a reduction of xx FTEs in Magnetic Fusion.	$xxx
Increase of $ xx in Training is the result of additional training required for nuclear safety at Princeton Area Office consistent with Price Anderson Act.....	xxx
Net decrease of $ xx in Other Related Expenses is due to a 20% reduction in travel consistent with Secretarial strategic realignment initiative (-$xx), an increase of $ xx in capital equipment for the purchase of three replacement copiers, and five replacement facsimile	xxx
Total Funding Change	$xxxx

Figure II-2a
Program Performance Summary

DEPARTMENT OF ENERGY
FY BY FIELD BUDGET REQUEST
CHICAGO OPERATIONS OFFICE

ENERGY SUPPLY, RESEARCH AND DEVELOPMENT
OFFICE OF ENERGY RESEARCH PROGRAM DIRECTION
(Dollars in thousands)

		FY PY	FY CY	FY BY
Direct Obligations:		---	---	---
11.1	Full-time permanent	$	$	$
11.3	Other than full-time permanent			
11.5	Other personnel compensation			
11.8	Special personnel services payments			
		---	---	---
11.9	Total Personnel Compensation	$	$	$
12.1	Civilian personnel benefits			
13.0	Benefits for former personnel			
21.0	Travel and transportation of persons			
22.0	Transportation of things			
23.1	Rental payments to GSA			
23.2	Rental payments to others			
23.3	Communications, utilities, and miscellaneous charges			
24.0	Printing and reproduction			
25.1	Advisory and assistance services			
25.2	Other services			
25.3	Purchases of goods & services from Gov’t accounts			
25.7	Operation and maintenance of equipment			
26.0	Supplies and materials			
31.0	Equipment			
		---	---	---
99.0	Subtotal, Direct Obligations	$	$	$

Figure II-2b
Program Object Class Summary, EWD

		FY PY	FY CY	FY BY
	Reimbursable Program	----------	----------	----------
99.9	Total, Obligations	$	$	$
		======	======	======
	Recovery of prior year obligations			
	Unobligated balance avail, start of year			
	Unobligated balance avail, end of year			
	Budget Authority	$	$	$
		======	======	======

Figure II-2b
Program Object Class Summary, EWD

Support Services Detail	**FY 19PY ($000)**	**FY 19CY ($000)**	**FY 19BY ($000)**	**FY 19BY/FY 19CY Change ($000)**
Technical Support Service				
Feasibility of Design Considerations	$xxx	$xxx	$xxx	$xxx
Econmic and Environmental and Environmental Analysis	xxx	xxx	xxx	xxx
Test and Evaluation Studies	xxx	xxx	xxx	xxx
Subtotal	$xxxx	$xxxx	$xxxx	$xxxx
Management Support Services				
Management Studies	xxx	xxx	xxx	xxx
Training and Education	xxx	xxx	xxx	xxx
ADP Support	xxx	xxx	xxx	xxx
Subtotal	**xxx**	**xxx**	**xxx**	**xxx**
Use of Prior-Year Balances	xxx	xxx		
Total Support Services	**$xxxx**	**$xxxx**	**$xxxx**	**$xxxx**

Figure III-2c
Support Services Expenses Schedule, EWD

Other Related Expenses Detail	**FY 19PY ($000)**	**FY 19CY ($000)**	**FY 19BY ($000)**	**FY 19BY/FY 19CY Change ($000)**
Training				
Printing and Reproduction	xxx	xxx	xxx	xxx
Rental Space	xxx	xxx	xxx	xxx
Software Procurement /Maintenance Activities/Capital Acquisitions	xxx	xxx	xxx	xxx
Other	xxx	xxx	xxx	xxx
Subtotal	**$xxx**	**$xxx**	**$xxx**	**$xxx**
Use of Prior-Year Balances	xxx	xxx		
Total	**$xxxx**	**$xxxx**	**$xxxx**	**$xxxx**

Figure II-2d
Other Related Expenses Schedule, EWD

3. FIELD WORK PROPOSALS OR ACTIVITY DATA SHEETS

a. Most work proposed for funding in FYBY is described in Field Work Proposals (FWPs), Field Planning Proposals (FPPs), Environmental Restoration and Waste Management (EM) 2006 Plan, Activity Data Sheets or other documents. DOE 5700.7C, WORK AUTHORIZATION SYSTEM, establishes a formal process for authorizing and controlling work performed by management and operating contractors. The Order applies to all work financed from operating funds including capital equipment not related to construction, but exempts line item construction projects (paragraph 4. of this Chapter), materials regularly produced for sale (-cost of work for other- section 5. of Chapter 3) and major system acquisitions or major projects (DOE 4700.1). DOE 5700.7C contains the FWP format which is to be used for all activities requesting funding in FYBY. It should be referenced for guidance in preparing these documents.

b. The 2006 Plan is used in lieu of FWP's for EM activities regardless of funding source, i.e., operating expense, or plant and capital equipment. Project data sheets must also be submitted for construction activities whether operating expense or line item funded.

4. **PROJECT DATA SHEETS**.

a. General.

(1) Project data sheets are required to explain and justify to Congress the need for real property capital improvements regardless of the funding source (operating or construction expense). They are the primary documents used to defend funding for construction projects throughout the budget formulation process. Also, data from the Project Data Sheet will be used in conjunction with the OMB A-11 Project Status Report, (Chapter III, section 9, Planned Action of Capital) to meet performance reporting requirements of the Federal Acquisition Streamlining Act (FASA) Title V and OMB A-11, Part III, Planning, Budgeting and Acquisition of Capital Assets. Project data sheets shall be developed and submitted for new project efforts and for any ongoing projects which require Congressional authorization and/or appropriation in the budget fiscal year. Data sheets and conceptual design reports are required prior to project validation. Only validated projects are considered for funding in the **Corporate Review Budget (CRB)** process. There should be no overlap in funding requested in construction project data sheets and funding in Field Work Proposals.

(2) Project data sheets contain cost and schedule baseline data necessary to support funding the project. The data sheet includes a Preliminary Estimate, Title I Baseline, and Current Baseline. These baseline estimates are established based upon the projects Total Estimated Cost (TEC). The Total Project Cost (TPC) is not used to establish cost and schedule baselines. A Preliminary Schedule Baseline is established when construction project funds are requested based on the conceptual design report and will be reported throughout the life of project. The Title I Baseline (TEC) represents the official baseline for the project. It is established after completion of Title I work and will be used during the life of the project to comply with annual performance reporting requirements contained in FASA Title V, and OMB A-11. The Current Baseline represents the Department's latest approved baseline.

(3) Project data sheets present the description, justification, and cost data for all capital projects that exceed the dollar threshold of $5,000,000. See subparagraph 4.e. for instructions and formats for reporting and requesting funding for General Plant Projects (GPP) and Accelerator Improvement Projects (AIP) of less than $5,000,000 total project cost.

(4) Include in the Total Estimated Cost of a capital project all costs in connection with the addition and/or retirement of plant and equipment (including transferred equipment and materials), land, improvements to land, buildings (including permanently attached equipment), utilities, and initial movable equipment, such as machine tools, laboratory and office furniture, and equipment, necessary to outfit a building or group of buildings for operation. Exclude initial stocks of spare parts or other materials and supplies which are initially chargeable to inventories.

(5) Each project shall be assigned to the appropriate organizational component.

b. Project Accounting Requirements.

(1) All new projects must proportionately share site overhead/landlord cost. It is important that project cost estimates include and reflect this full proportionate share of these indirect costs. Capital projects started after FY 1994 are affected by the following guidance:

> Cost Accounting Standards require that indirect costs be allocated to cost objectives in reasonable proportion to the causal and beneficial relationship of these costs to cost objectives. For purposes of allocating indirect costs to DOE construction/capital projects, this would mean that (in addition to fringe and organizational burden) an equitable share of all general and administrative and other site wide common support activities would be charged to all cost objectives, regardless of the type of funding. In most, if not all, instances, this would result in the application of the same overhead/indirect rate to both operating and construction/capital projects. However, this does not preclude the use of a different rate if there are cost centers/costs which are material and do not have a causal and beneficial relationship to construction/capital projects.

(2) The budgets for operating expenses (OE), plant acquisition and construction (PL), and capital equipment not related to construction (CE) should be prepared so as to be consistent with the accounting treatment as prescribed in DOE O 534.1 and the DOE Accounting Handbook, Chapter 10, PLANT AND CAPITAL EQUIPMENT, Section 1. INTRODUCTION, Paragraph 1.d. Capitalization Criteria. DOE capitalization criteria requires that all property, plant and equipment with an initial acquisition cost of $25,000 or more and an estimated service life of two years or greater shall be capitalized and reported in the financial statement. Below are guidelines to be used in simplifying the determination as to where the acquisition of land, facilities, or equipment should be budgeted:

(a) Items of capital equipment for which the Department will retain title, which cost $25,000 or more, have an expected service life of two years or more, and are not required to complete a construction project, shall be budgeted for as capital equipment not related to construction.

(b) Items of capital equipment not related to construction required for experimental projects shall be budgeted from operating expenses if it is expected that the equipment will be destroyed during the experiment or will have no further value other than scrap upon completion of the experiment.

(c) Budget plant and capital equipment funds for the following:

1 All land acquisition (fee or easement).

2 All constructed facilities and capital equipment necessary to provide a complete and operable facility.

3 *Exception*. Facilities or equipment which meet the definition of research and development, and which normally have an estimated life of less than three years, may be budgeted for as operating expenses. Regardless of the budget source or classification of funds, R&D facilities and equipment that meet the capitalization criteria shall be capitalized.

(3) The leasing of facilities and equipment is permissible when it is in the best interest of the Government to do so.

(a) *Lease With Option to Purchase*. When a lease contains an option to purchase, the lease payments may have to be capitalized.

(b) *Lease Purchase Agreements*. Agreements which provide for transfer of title at the end of the lease term or for the transfer of title by exercise of an option at a nominal sum unrelated to the value of the property at the time the option is exercised, are considered installment purchases. Such installment purchases have to be capitalized.

(4) For additional clarification, refer to the definitions for Budget and Reporting Classifications 35, Capital Equipment Not Related to Construction, and 39, Plant Acquisition and Construction.

c. Preparation of Project Data Sheets.

(1) DOE is required by law to obtain Congressional authorization for the appropriation of funds. Insofar as practical, the development and review of the project to be submitted to the Congress for authorization will be undertaken as an integral part of the regular budget process, both internally and through OMB. Project data sheets shall be prepared and submitted for all projects requiring authorization or appropriation in the budget year. **The Project Data Sheet transmitted in the last budget to Congress shall be the baseline for the present Project Data Sheet.**

(2) A data sheet should be an objective document written from the standpoint of the Department as a whole rather than as one segment of the Department. Personal pronouns, building and area numbers, identification of staff personnel, and unsubstantiated value judgements should not be used. A data sheet should be self-sufficient. It should avoid the use of technical terms that have a special connotation in industry or science, and should not depend on the reader having access to other documents.

(3) The scope of the project shall be set forth in the data sheets in detail sufficient to permit a careful review and evaluation of the project. The data sheet items should not, however, be stated so precisely as to preclude the exercise of appropriate

latitude by the manager in the actual design and construction of the project, as described in the data sheet, after authorization and appropriation of the funds.

(4) Project data sheets are to be prepared as illustrated in Figures II-4.1, Significant Changes and II-4.2, Project Data Sheet. These examples are for illustration purposes and the amount of space or length required should be adjusted for full presentations under each section. The examples contain all the data elements required in actual project descriptions.

(a) A project data sheet shall be submitted for each new plant or facility and for each addition involving the construction, modification, or improvement which is estimated to cost $5,000,000 or more. Project data sheets for "Operating Expense Funded" projects with a total estimated cost of $5 million or more shall also be prepared. Capital projects costing less than $5,000,000 shall be requested and funded as GPP. See subparagraph 5.e. in this chapter of the Handbook for instructions and formats for reporting and requesting funding for GPP.

(b) Data sheets for the multiprogram general purpose facilities program will be submitted for those projects selected by the multiprogram general purpose facilities review committees.

(c) The construction of a number of similar or related units, under a specific program, may be submitted on a consolidated basis as a single project, i.e., the construction of a group of facilities for a specific reactor. Consolidated project data sheets shall identify subprojects as follows:

1 Separate subprojects shall be used to identify items that are not at a single location.

2 Separate subprojects shall be identified for items at the same location that require separate Architect and Engineering (A-E) work, or for which initial funding will be requested in different fiscal years, or where funding will be the responsibility of different decision units, or that have construction activity start or end dates in different fiscal years.

3 Project data sheet for a consolidated project will identify as subprojects items that would have required designation as a subproject based on the criteria of subparagraph (c)2 above when changes in the funding, schedule, or actual performance dictate.

(d) The project data sheet shall utilize Times New Roman 12 point font.

(5) An additional line in the Heading will follow the fiscal year and budget cycle identification line if Projects transmitted in the last budget to Congress have changed data or text.

(a) The Decision Unit title that the Project supports will be shown in the Heading. If the Decision Unit title is subordinate to a Program title, the Program title (and any additional intervening titles) will be shown above the Decision Unit title.

(b) Continuation information will be included on every page after the first page. The designation (Continued) will be appended to all continuation information.

1 The Heading will appear only on the first page.

2 A two line identification consisting of Section 1. and 2. with a top and bottom ruler will be on every page after the first.

3 The Section Number and Section Title and Subsection letter and Subsection Title will be the first line after the project continuation identification.

(c) The Heading in the Significant Changes Sheet is identical to that in the Project Data Sheet with the exception of the line indicating that changes from the last Congressional submission have a redline. The Significant Change Sheet should contain only changes from the previous submission to the Congress that are **significant**. If needed, the heading will include the notation that tabular dollars are in thousands and narrative material is in whole dollars.

(6) In even numbered budget years, Projects funded from the National Defense Budget Function (050) will append data for the BY+1 in brackets (for example, the budget year 1996 request will show: FY 1996/[FY 1997] for column headings and $xx,xxx [$zz,zzz] for dollar amounts). However, brackets will not be used in the Heading.

(7) Information for Major Systems or Strategic Systems projects will be in agreement with the project plan baseline document. Only directed changes (i.e., directed by Congressional action) or Energy Systems Acquisition Advisory Board (ESAAB) approved changes are to be identified.

(8) For Environmental Restoration (EM-40) projects under the Assistant Secretary for Environmental Restoration and Waste Management, the following definitions shall apply for each Strategic Systems project unless a different precedent has been established:

(a) Total Estimated Cost (TEC): This term will not be used for EM-40 projects.

(b) Total Project Cost (TPC): The cost included in the most current EM-40 Five Year Plan or in an approved Baseline Document which sums all previous costs plus projected costs for the next five fiscal years. The TPC shall include all associated Other Project Costs for this period. If certain projects which extend

beyond the EM-40 2006 Plan have approved baselines in place, they shall be used in their entirety.

(9) Significant changes (project or subproject TEC, TPC, construction end date, or scope adjustments) are to be clearly identified.

(a) Project changes between the present Project Data Sheet and the Project Data Sheet transmitted in the last budget to Congress will be explained in Item 8.

(b) During initial Field update of Project Data Sheets previously submitted, the term "last budget to Congress" shall refer to the OMB budget request and modifications directed in the final budget allowances. Subsequent to the budget request to Congress, Project Data Sheets will be revised to insure changes between the Congressional budget request and any update in the Field budget request are identified.

(c) Figure II-4.1 summarizing the major changes to a Project Data Sheet will be placed in front of the Project Data Sheet. The explanation of changes in Figure II-4.1 should be limited to a single page. Any more extensive explanation of the changes should be placed in Item 8.

(d) All elements of the project description (Item 8 of the Project Data Sheet) that have been added, deleted, or modified since the last budget to Congress will have a "Redline indicator" (a vertical line in the left margin).

(10) Footnotes should be used sparingly. Do not footnote within the text. It is distracting to have to leave the text to read the footnote. Include all necessary discussion in the text. Project TEC, TPC, and completion date require explanations in the narrative of Item 8 of the Project Data Sheet. Thus, footnotes on these three categories elsewhere are redundant and may be inconsistent.

(11) The following detailed instructions govern the preparation of project data sheets, Figure II-4.2:

(a) **Item 1**, Title, and Location of Project.

1 Each project title must be unclassified.

2 Project titles shall be sufficiently short and descriptive to permit ready reference and shall not be changed after a project number has been assigned.

3 In typing project titles, an initial capital letter shall be used for the first word in the project title and for proper names.

4 The location of the project shall be given. For consolidated project data sheets at more than one location, the term Various Locations shall be used. Do not show the predominate location in such cases.

5 The funding program decision unit is indicated in the data sheet header. If the project is under consideration by more than one program, identify alternate funding programs in Item 1.

(b) **Item 2a and 2b**, Project Number and Funding Type. New project numbers shall be issued by the Budget Operations Division (CR-13) for new projects in each budget year, showing the year, the organization, and the sequential number of the project which also indicates appropriation for organizations with multi-appropriations. Project numbers shall be assigned soon after receipt of data sheets at Headquarters. Only properly assigned numbers shall be used to identify projects. The type of funding for the project, either Operating Expense or Construction, will be shown in item 2b.

(c) **Items 3a and 3b**, Date A-E Work Initiated (Title I start scheduled) and A-E Work Preliminary and Final Design (Title I and II) Duration. Insert the fiscal quarter and year in which A-E work for Title I began or is to be initiated and the duration of Preliminary and Final Design (Title I and II) in months. Do not assume “start” of a budget year project prior to the start of FYBY. The most realistic dates possible should be shown based on the status of conceptual work, assuming availability of funds at the beginning of the budget year. Enter the date under the Preliminary Schedule. When Title I work is complete, enter Title I Baseline date and enter the same date under the Current Baseline. The Preliminary Schedule date and the Title I Baseline date will not change. All subsequent date changes will be shown under the Current Baseline. For EM-40 projects only, items 3a and 3b should be titled "Date Assessment Phase Initiated" and "Duration of Assessment Phase" correspondingly.

(d) **Items 4a and 4b**, Date Physical Construction Starts and Ends. Insert the date (fiscal quarter) construction activity started or is to be initiated and date which construction activity is expected to be completed. These dates shall be the earliest start date and the last completion date of all subprojects identified. Include dates for physical construction start and end, beneficial occupancy, completion of final punch list, and operational start dates in Item 8 below. This date will be shown under the Preliminary Schedule. When Title I work is completed, enter Title I Baseline date and enter the same date under the Current Baseline. The Preliminary Schedule date and the Title I Baseline date will not change. All subsequent date changes will be shown under the Current Baseline. For EM-40 projects only, items 4a and 4b should be titled "Date Cleanup Phase Starts/Started" and "Date Cleanup Phase Ends" correspondingly.

(e) Item 5, Total Estimated Cost (TEC). Insert Federal total estimated cost (TEC). Escalation factors approved by the Office of Projects and Fixed Asset

Management will be used in preparation of project cost estimates. EM-40 projects shall enter see TPC for TEC. Projects that are funded Preliminary and Final Design (Title I & II) only should be footnoted as shown in Figure II-4.2.

a Preliminary Estimate. The preliminary TEC baseline estimate is based upon the CDR and will be shown through the completion of the project.

b Title I Baseline. When Title I is completed show TEC for Title I Baseline and TEC for Current Baseline. The Title I Baseline date will not change. The TEC baseline is used for FASA Title V performance reporting to OMB and Congress, **not the TPC**.

c Current Baseline. All approved changes will be shown under the Current Baseline which is the latest approved baseline.

(f) **Item 6**, Total Project Cost . Insert the current Federal total project cost (TPC). Although the TPC will be shown under the Preliminary, Title I, and Current Baseline Estimates, the TPC shall not be used for baselining and performance reporting. Projects that are funded Preliminary and Final Design (Title I & II) only should be footnoted as shown in Figure II-4.2. TPC is further described in Item 12 (a). For projects that contain subprojects, the TEC shall be the sum of the TEC for all subprojects less any Non-Federal contribution(s). EM-40 projects shall enter "See TPC" for TEC.

(g) **Item 7**, Financial Schedule. Obligations in the budget year and outyears shall reflect an incremental funding policy. The Department will financie outyears by requesting adavance appropriations.

Projects that are phase funded (e.g., Preliminary and Final Design (Title I & II), and Construction), will display funding in the financial schedule by design and construction phases. The preliminary baseline estimate (TEC) will be used for the Finance Schedule until completion of Title I. Afterwards, the Financial Schedule will be changed to reflect the Title I baseline TEC or Current Baseline Estimate TEC if it is difference from Title I.

The tabulation should be consistent with the project schedule dates as shown in Items 3a, 3b, 4a and 4b. The total of the appropriations column plus the adjustments column, the obligations column, and the costs column shall be equal and agree with the TEC in Item 5, "Current Baseline Estimate"" Financial schedules should reflect all Federal funding for the project from its beginning and must be reconciled to the Departmental Primary Accounting System (DPAS) i.e., Financial Information System (FIS) and Funds Distribution System (FDS).

1 Section 7 of Figure II-4.2 is an example of a financial schedule as required for all projects.

2 The FIS Plant History report only provides a total of five year segments (four individual years previous to the current execution year and an aggregate amount for all other years) thus, amounts for years earlier than the budget year minus 6 years (BY-6) are combined.

3 The Appropriation and Adjustments columns for all past years and the current execution year must be identical to the Office of Budget FDS Base Table amounts for the Project.

4 Footnotes must be shown for all amounts in the Adjustments column. A reference to a reprogramming must identify the Office of Budget Reprogramming Number. Other adjustments must cite the authority (supplemental or rescission, the Public Law; deferral, the Presidential deferral number; etc.). If multiple adjustments occurred in a year, the footnote must list the individual amounts and authorities. Additionally, do not footnote the year, place the footnote on the amount being explained.

5 The Obligations and Costs columns for all past years must be identical to the FIS Plant History Report amounts. The obligations column for the current execution year will be identical to the latest FDS Approved Funding Program (AFP) amount.

6 The current execution year Obligations and Costs will be in agreement with the approved baseline for Strategic Systems and Major Systems projects.

(h) **Item 8**, Project Description, Justification and Scope. This item should state clearly, but concisely, the essential features of the project, indicating whether it is a new facility, modification of existing facilities, or addition to existing facility. The justification shall state how this project ties to the DOE (or program) Strategic Plan, discuss alternatives, risks and uncertainties of meeting cost/schedule goals. In describing facilities, code words, if used, should be identified as such. Any unusual technical terms should be explained when used in project descriptions. Describe the following physical aspects as applicable. The description should read such that easy correlation can be made with the cost estimate given in Item 9. If the project contains subprojects, describe each subproject using the same aspects after a general introduction of the overall project.

1 If the data sheet shows a revised current baseline estimate in lines 5 and 6 of Figure II-4.2 explain the factors involved in determining the revised estimate. The explanation shall also be provided on the Significant Changes cover sheet, Figure II-4.1.

2 Describe improvements to land and, where this item constitutes a major portion of the project, include information such as the approximate

length, width, and types of roadways, approximate capacities of parking areas, and any proposed drainage structures and fencing.

3 Describe each building or building addition, including approximate floor plan dimensions, gross area, number of stories, story heights, basement, if provided; types of construction and reason for using such if not obvious; types of heating and air-conditioning; capacities of cranes and any design, fabrication, or construction features which are unusual or specialized and have a significant impact on the cost estimate, such as shielding, protective construction, hot cells, or special ventilation systems, environmental protection systems, and fire protection systems.

4 Describe other structures, such as pits, tunnels, towers, bunkers, stacks, and other enclosures not included in subparagraph (h)3 above.

5 Describe types of utilities to be provided, such as water, sewer, and power, and where this item constitutes a major portion of the project, include information such as the length and size of the utility lines.

6 Describe any special facilities, such as accelerator components, movable shielding, vacuum systems, processing piping, power or controls, reactor vessels, inert gas, hydrogen or purging systems, or cryogenic systems.

7 Describe any standard equipment included in this project, such as office and laboratory furniture and equipment, hoists, and machine tools.

8 Describe any computer system or component of a computer system having a total estimated purchase cost of $2,000,000 or more. A brief justification and explanation of the rationale for utilizing construction funds shall be provided.

9 For those projects not receiving full appropriation in this year's budget, provide a brief description of that portion of the scope to be accomplished with this year's appropriation.

10 For project that contain Subprojects the following applies:

a After the subparagraph letter, provide a two-digit Subproject Number (01-99) preceding the Subproject Title and Location. The Subproject Number will be used to provide Obligational Authority in the Approved Funding Program (AFP) and to report Obligations and Costs to FIS.

b Subproject Numbers will not be reused or changed during the life of the Project

c Subproject titles shall not be changed.

d Provide the Subproject Total Estimated Cost (TEC), the cumulative Appropriation for all previous years, the PY Appropriation, the CY Appropriation, the BY Appropriation, the cumulative outyear Appropriation to complete the Subproject and the construction activity start and end dates with each subproject description as follows:

TEC	Prev.	FYPY	FYCY	FYBY	Outyear	Const. Start -- Comp. Dates
$61,499	$xx,xxx	$xx,xxx	$12,156	$3,700	0	1st Qtr PY-2 - 2nd Qtr BY+3

Elements of the funding profile and construction schedule that changed from the last data sheet submitted to the Congress shall be underlined and a Redline should appear in the left margin. Explain the changes in the text description of the subproject. For EM-40 Subprojects, modify the TEC heading to read - **TPC** and enter the Subproject TPC.

e Provide the date Subproject construction activity starts and the date construction activity ends. If any date has changed from the date previously transmitted to Congress, provide an explanation in the description of the Subproject. For EM-40 Subprojects, **(substitute the word cleanup for construction)** the completion date will be the current Five Year Plan end date or approved baseline end date, as appropriate.

f Subproject data will be reconciled with total Project data.

g The sum of the TEC for all Subprojects will equal the total line item cost on line j of Item 9, and the Total on line a.1.(a) in Item 11 of the Project Data Sheet (See Figure II-4.2). For EM-40 Subprojects, the TPC for all Subprojects will equal the TPC in Item 6 and line a.2.(i) of Item 11 of the Project Data Sheet.

h The sum of the Appropriation amounts for each fiscal year for all Subprojects will equal the sum of the Appropriation and Adjustment amounts in the Financial Schedule for the fiscal year.

i The sum of the Appropriation amounts for the previous fiscal years for all Subprojects will equal the sum of the Appropriation and Adjustment amounts in the Financial Schedule for all fiscal years previous to the PY.

j The dates in Items 4a and 4b of the Project Data Sheet will be the earliest construction **(or cleanup for EM-40 projects)** start date and the latest completion date for all Subprojects.

k Completed subprojects are to remain in the Project Data Sheet with its funding profile. To conserve space, the narrative description should be removed the year following the year it was reported completed to Congress.

11 Describe the research, development, or production program which is underway or planned, including the relationship of the proposed facility (both as to need and timing) to the program objectives and schedules.

a State the criteria which determined the size or scope of the project, such as volume of production, storage capacity, number of persons to be housed, and space requirements for research.

b To the maximum extent feasible within security limitations, data sheets for projects involving production increases should indicate the present production rate or capacity and the change proposed. If the project is deemed to be an intermediate phase of a long-range program, indicate its relationship to the foreseeable planned capacity. If a production facility, state annual capacity and basis therefore, i.e., 1-shift, 2-shift operation, 5-day week, 6-day week. When inclusion of capacity involves "Top Secret" data, indices shall be used to the maximum extent practicable, or, if not practicable, the information shall be submitted separately to the program office concerned.

c If the purpose of the project is to replace existing facilities, explain fully the circumstances which make replacement necessary and the disposition to be made of the replaced facilities.

d Indicate that existing facilities have been reviewed to determine that the need cannot be met by modification of existing facilities. This is of particular importance in the case of radioactive contaminated facilities where decontamination and decommissioning costs are factors.

e State the reasons for the proposed timing of the completion of the project and the effect on the program if the project is deferred or not authorized.

f To the maximum extent practicable, justifications should contain data on the economics of the project including the basis for calculating savings and payout. In computing savings, comparative cost estimates shall include the cost of depreciation of the facility. Justifications can often be strengthened by reference to alternatives and to the consequences of disapproval.

g If costs include overhead of an off-site contract laboratory operated by a university or other institution, the reasons for including such

overhead and the method by which the amount of such overhead was determined shall be stated.

h The project data sheet shall state the estimated gross annual cost (excluding depreciation) for operating the facilities upon completion, less any offsetting reductions which are applicable. In the case of replacement facilities, include comparative data for the facilities being replaced.

i For production type facilities and power producing facilities, the first full-year's operating costs, maintenance costs, and the annual costs at equilibrium should be set forth. Gross annual costs, revenues, or other offsetting reductions, and new annual costs should be shown.

ii For research or development facilities, including new research machines, show separately the operating costs, maintenance costs, the total cost of the research or development program to be carried out, and the incremental program cost related to occupation of the new building.

iii In all cases, the basis for these estimates of annual cost for operations and maintenance should be included.

12 Include two items of performance measurement data at the appropriate (project or subproject) level:

a Indicate what program planning objectives the project (or subproject) benefits/supports, and

b Indicate the type and amount of project (or subproject) work to be completed during the budget year in quantifiable terms.

(i) **Item 9**, Details of Cost Estimate .

1 This section of the data sheet consists of an estimate for each of the account classifications listed in subparagraph 3 below. Under each of the classifications give a breakdown of the costs, indicating significant units and costs wherever possible. Include all classifications. Enter zero dollars for classifications not applicable to the project. All costs should be presented in current year dollars, escalated to the midpoint of construction.

2 General administrative and other indirect costs, properly charged to the project, shall not be shown as a line item but shall be prorated among the various elements of costs. Also, the estimated costs of construction management services by private firms shall be similarly prorated among the various elements of construction costs. All the account classifications shall

be listed even if no dollar amount is applicable. If it has been determined that the project will be administered under an "off-site" contract with a university or other institution, and that the institution will be reimbursed for overhead in connection with such administration, a memorandum entry shall be included indicating the estimated amount of such overhead. The costs for preparing system design descriptions or any comparable technical documentation are to be budgeted for and costed to operating expense or construction consistent with the treatment of related expenditures, e.g., documents which are accomplished for conceptual design are charged to operating cost while those performed for Preliminary and Final Design (Titles I and II) are charged to construction. The costs for preparing environmental documentation shall be budgeted for and costed to operating expenses.

a Unit cost per square foot or cubic foot for buildings or other construction shall be computed on the basis of gross areas and shall exclude the amount included in the estimate for contingencies. Unit costs should not be more precise than warranted by the status of design.

b The items to be shown in this section of the data sheet should include all pertinent data on quantities and unit costs. Unusual unit costs, engineering design, and inspection or contingency rates should be explained in notes.

c A statement shall be included as a note at the end of the estimate to show the basis for the estimate, e.g., "conceptual design is complete, Title I is 25 percent complete".

d Explanatory notes shall be provided to indicate reasons why certain unit costs may be out of the normal range, such as: cost for special isolation requirements; costs related to speedup of construction showing hours per week on which estimate is based; and factors affecting the contingent amount.

e Actual costs in the narrative should be in whole dollars, tabular actual costs should be in thousands of dollars.

f Escalation rates should be explicitly stated and when the rates are significantly different from the guidance provided in the Field Budget Call, a thorough explanation shall be provided.

3 The account classifications to be used, together with explanatory notes, are provided below as noted costs are broken between design and construction:

a Design Phase.

[1] Preliminary and Final Design (Title I and Title II) costs (Design Drawings and Specifications. Enter the total costs of Preliminary and Final Design in 9.a.1. A listing of design activities that are included in this total can be found in the 'DOE Cost Estimating Guide, Volume 6, "Cost Guide"; Chapter 25, "Guidelines on ED&I Costs", Attachment 25-1, Page 5. Do not include Title III design services in this total. Additionally, record the cost of the Design Drawings and Specifications, in parenthesis, as shown in Figure II-4,2, Item 9.a.1.

[2] Design Management Costs as a Percentage of Design Phase. Report costs for those services provided by the organization responsible for management of the construction effort during Preliminary and Final Design (Title I and Title II) as a percentage of 9.a.(1). Construction management services are further defined in DOE 4700.1 and DOE 6430.1A.

[3] Project Management Costs as a Percentage of Design Phase. Report costs for those services provided to the DOE on a specific project during Preliminary and Final Design (Title I & Title II) for planning, organizing, directing, controlling, and reporting on the status of the project. Compute the approximate percentage of total design costs in Item 9.a. off to the nearest tenth of a percent.

b Construction Phase **(Not required for Design-only data sheet**).

[1] Land and Land Rights. Provide a breakdown identifying each site to be acquired, the acreage or square miles involved, unit cost, and total cost or the cost of each land right acquired. See DOE 4300.1B, REAL PROPERTY AND SITE DEVELOPMENT PLANNING, for regulations concerning the acquisition of real property.

[2] Improvements to Land. Indicate the types of improvements to be made and total cost. Where this sub-item constitutes a major portion of the project, it should be expressed in terms of units, unit costs, and total cost, such as ___miles of road at $___ per mile.

[3] Buildings. List and identify each building or building addition to be constructed or existing building to be modified, showing gross square feet, unit cost, and total cost. If the unit cost is unusually high, provide an explanatory note.

[4] Special Equipment. Identify major engineered equipment, and special systems, as described in Item 8 of the Project Data Sheet

(see subparagraph 4c(11)(h)6 f). Where major equipment components identified under "special facilities" appear to be standard in nature but are listed as special because, for example, they actually require special engineering and/or fabrication to meet requirements, an explanation of the special nature of the equipment should be included.

[5] Other Structures. List and provide costs for each major other structure described in Item 8 of the Project Data Sheet (see subparagraph 4c(11)(h)4).

[6] Utilities. List the types of utilities described in Item 8 of the Project Data Sheet (see subparagraph 4c(11)(h)5) and the total cost. Where this subitem constitutes a major portion of the project, units, unit costs, and total costs should be shown.

[7] Standard Equipment. List and provide costs for the major items of "off-the-shelf" equipment and furnishings, requiring a nominal engineering effort, as described in Item 8 of the Project Data Sheet (see subparagraph 4c(11)(h)7). Costs shall include any engineering effort required.

[8] Major Computer Items. List and provide costs for each major computer item as described in subparagraph 4c(11)(h)8 .

[9] Removal Cost Less Salvage. Include removal costs less salvage incident to the replacement of plant and equipment applicable to the project. Separate projects shall be established to budget and account for removal costs and salvage incident to the retirement of plant equipment which is not to be replaced.

[10] Inspection, Design and Project Liaison, Testing, Checkout, and Acceptance. The cost of design support coincident with construction activities (such as field drawings), Title III services, acceptance, testing, and checkout by construction services personnel (not to be confused with startup and ORR costs).

[11] Construction Management Costs. Report costs for those services provided by the organization responsible for management of the construction effort after Title I and Final Design (Title II) and continuing through completion of construction. Construction management services are further defined in DOE 4700.1 and DOE 6430.1A.

[12] Project Management. Report costs for those services provided to the DOE on a specific project, after the design phase and

starting with the construction phase through completion, for planning, organizing, directing, controlling, and reporting on the status of the project. Compute the approximate percentage of total. construction costs in Item 9.b. rounding off to the nearest tenth of a percent.

c Contingency at Approximate Percentage of Above Costs. Compute and indicate a total (design and construction phase) contingency amount as a percentage of all above costs, rounding to the nearest percent. This contingency is provided to cover unforeseen and unpredictable situations and shall not provide for increasing the scope of the project. The amount of contingency will depend on the status of design and complexity of the project.

[1] Design Phase. Show design phase contingencies as a subtotal of total contingencies.

[2] Construction Phase. Show construction phase contingencies as a subtotal of total contingencies. **(Not used for Design-only data sheet)**.

d Total Line Item Cost. Add contingencies to subtotal.

e Non-Federal Contribution. Non-Federal funds from other sources that are considered capital funds contained in the Total line item cost.

f Net Federal Total Estimated Cost (TEC). The Federal cost net of non-Federal contribution. This is the TEC shown in Item 6.

(j) Item 10, Method of Performance. Indicate the type of contracting arrangements contemplated, using the following paragraphs or combinations of parts of these paragraphs as a guide:

1 Design and inspection shall be performed under a negotiated architect or engineer contract. Construction and procurement shall be accomplished by fixed price contracts awarded on the basis of competitive bidding.

2 Design and inspection shall be performed by the operating contractor. To the extent feasible, construction and procurement shall be accomplished by fixed price contracts and subcontracts awarded on the basis of competitive bidding.

(k) Items 11 and 12. All project data sheets shall contain an item 11 and an item 12. Item 11 shall contain the financial schedule and item 12 shall contain the narrative material associated with the financial schedule. Items 11 and 12 shall be prepared as illustrated in the sample Figure II-4.2, using the amount of space required for presentation under each section. If the project includes subprojects,

attach a page in the format of Sections 11 and 12 for each subproject. Aggregated data should be supplied in Section 11 and 12 of the data sheet.

(l) Detailed Instructions In Completing Items 11 and 12. The cost estimates in item 11 are to be developed using the general guidance provided below. Item 12 shall parallel the costs detailed in item 11 with a narrative justification and explanation. The narrative shall include a brief description of each item in 11, its cost, the basis for operating expense funding and a schedule for accomplishment of the item. It should include the estimated start and completion dates and relevant project interface dates.

1 Total Project Costs (item 11(and 12).a).

a Total Facility Costs (item 11(and 12).a.1). This section shall contain all those costs which are directly related to construction of the facility.

i Design (item 11(and 12).a.1.(a)). Include any costs associated with preparation of the conceptual design.

ii Construction (item 11 (and 12).a.1(b). The line item costs must agree with the TEC before offset for Non-Federal contribution in Item 9.j. **(Not used in Design-only data sheet preparation).**

iii Plant Engineering and Design (item 11(and 12).a.1.(c)). Include any operating expense engineering and design costs, exclusive of the conceptual design costs identified in subparagraph b ii below, prior to construction funding availability. These are sometimes referred to as “bridge funds”.

iv Operating Expense Funded Equipment (item 11(and 12).a.1.(d)). Any equipment, system, component, or other item which is funded from operating expenses for the direct use of the construction project or is required to make the facility or experiment complete and operable should be included. A narrative justification should be included to explain the reasons for such items and examples of items to be funded in this manner.

v Inventories (item 11(and 12).a.1.(e)). Any inventories which are necessary to put the facility into use should be included.

vi Total Facility Cost (Federal and Non-Federal) (item 11(and 12).a.1.(f)). Total items identified in i through iv above.

b Other Project Costs (item 11(and 12).a.2). All estimated costs shall be escalated to the year of planned expenditure. Actual costs shall be shown when incurred. **(NOTE: items i through viii not used in Design-only data sheet preparation).**

i R&D Necessary to Complete Construction (item 11(and 12).a.2.(a)). Any construction project which requires the conduct of a Research and Development program directly prerequisite to its specific design and construction features and for which R&D funds are included in the operating expenses appropriation request shall include the total cost by fiscal year for such R&D.

ii Conceptual Design Costs (item 11(and 12).a.2.(b)). Indicate the cost of the conceptual design and Conceptual Design Report (CDR).

iii Decontamination and Decommissioning (D&D) (item 11(and 12).a.2.(c)). Costs associated with removal of hazardous material (typically radioactive or chemical material) from facilities, soils, or equipment by washing, chemical action, mechanical cleaning, or other remediation techniques. Also include costs associated with decommissioning (demolition, dismantling, and removal, see DOE Accounting Handbook, Chapter 10, Plant and Capital Equipment).

iv NEPA Documentation Costs (item 11(and 12).a.2.(d)). All costs of complying with NEPA 1969 including: EAs, EISs, permitting actions, and site characterization.

v Other ES&H Costs (item 11(and 12).a.2.(e)). Any costs associated with environmental, safety, and health activities exclusive of those associated with NEPA activities shown in time 11(and 12). a.2.(d).

vi Other Project Related Costs (item 11(and 12).a.2.(f)). Any other costs directly related to the project that occur on a one-time basis, such as start-up costs, and training should be listed along with a narrative explaining and justifying each cost.

vii Total Other Project Costs (item 11(and 12).a.2.(g)). Total the project costs identified in i through vi above.

viii Total Project Costs (item 11(and 12).a.2.(h)). Total the costs in a vi and b vii above including any Non-Federal contribution.

ix Non-Federal Contribution (item 11(and 12).a.3.). Include Non-Federal funds from other sources that are considered operating funds and any Non-Federal capital funds identified in Item 9.j.

x Net Federal Total Project Cost (TPC) (item 11(and 12).a.3.(a)). Total project cost less Non-Federal contribution.

xi The total costs in Item 11 on line a.1.(a) will be the same as the costs in Item 9 on line 9.i. For EM-40 projects, the TPC by year in Item 11 in line a.2.(i) will equal the costs by year in Item 7.

2 Related Annual Cost. This section should include the costs directly associated with the operation and maintenance of the facility. An estimate of the annual cost (Item 11b) and a narrative explanation (Item 12b) should be included. Indicate when the annual cost will begin to be incurred. The annual cost, which will represent average per year over the useful life, should be escalated to the first year in which the cost will be incurred. Any significant variances in the annual cost estimates year to year should be discussed in the narrative. For example, there may be planned purchase of a major item of equipment which shall substantially change the annual costing later or make a significant change in the mode of operation. Any significant variations in the annual costing rates or the preceding items should be footnoted. For example, the procurement of a new nuclear reactor core on a very infrequent basis would greatly increase the annual capital equipment cost rate for a facility. These deviations in costs should be segregated from the annual cost rate. Indicate the estimated useful life of the facility (years). **(Not used in Design-only data sheet preparation.)**

a Facility Operating Costs (item 11(and 12).b.1). The estimate should include the annual costs to operate the facility including cost of labor and materials. The narrative should include**:**

i The staff years of effort required to operate the facility, and

ii A statement indicating whether it does or does not replace any other facility. If a replacement facility, provide total, not incremental, annual costs.

b Facility Maintenance and Repair Costs (item 11(and 12).b.2). Include all non-construction maintenance efforts and repair. In the narrative, specify the staff years of effort required to maintain and repair the facility.

c Programmatic Operating Expenses Directly Related to the Facility (item 11(and 12).b.3). Include programmatic effort which relies upon the direct and primary use of the facility. Provide a yearly estimate and narrative justification.

d Capital Equipment not Related to Construction but related to the Programmatic Effort in the Facility (item 11(and 12).b.4). An estimate of annual capital equipment needs not related to construction but related to the programmatic effort included in subparagraph 2 a above should be included. The accompanying narrative should explain any expected installations of new programmatic related capital equipment.

e GPP or Other Construction related to the programmatic Effort in the Facility (item 11(and 12).b.5). Include a yearly cost estimate and narrative justification of a General Plant Project or other expected construction related to programmatic effort included in subparagraph 2 a above.

f Utility Costs (item 11(and 12).b.6). All annual utility costs incurred to operate the facility.

g Other Costs (item 11(and 12).b.7). Any other expected annual costs should be listed with an accompanying narrative.

(m) Item 13. Design and Construction of Federal Facilities. The following paragraph should be used.

"All DOE facilities are designed and constructed in accordance with applicable Public Laws, Executive Orders, OMB Circulars, Federal Property Management Regulations, and DOE Orders. The total estimated cost of the project includes the cost of measures necessary to assure compliance with Executive Order 12088, “Federal Compliance with Pollution Control Standards”; section 19 of the Occupational Safety and Health Act of 1970, the provisions of Executive Order 12196, and the related Safety and Health provisions for Federal Employees (CFR Title 29, Chapter XVII, Part 1960); and the Architectural Barriers Act, Public Law 90-480, and implementing instructions in 41 CFR 101-19.6"”

1 The applicable statement a or b should be included:

a "The project will be located in an area not subject to flooding determined in accordance with Executive Order 11988"”

b "The project location in an area subject to flooding has been evaluated and the findings, determined in accordance with

Executive Order 11988, are that ...”" The appropriate material from the finding must be included.

2 The applicable statement a or b should be included:

a "DOE has reviewed the GSA inventory of Federal Scientific laboratories and found insufficient space available, as reported by the GSA inventory"”

b Other appropriate statement in lieu of the above.

(n) Item 13 is required in the Field Budget, Draft OMB Budget, and OMB Budget Request submissions. For the Congressional Budget Request, Item 13 is not prepared.

d. Questions concerning Project Data Sheets. Question on the preparation of project data sheets should be directed to the Office of Budget, Budget Operations Division, (CR-13).

e. General Plant and Accelerator Improvement Projects.

(1) The Committee on Energy and Water Appropriations has merged capital equipment, general plant projects (GPP), and most accelerator improvement projects (AIP) with operating funding. Construction activity that is less than $5,000,000 per project will be included in the operation and maintenance accounts. However, the Committee directed the Department, in implementing these changes, to continue to reflect capital equipment, general plant projects, and accelerator improvement projects in financial and accounting reports. Also, the committee directed that specific details for planned capital equipment and general plant projects be included in the annual budget justifications.

(2) Program specific GPP or AIP are to be funded by the benefiting program. The site landlord should insure that sufficient support is provided for non-program specific GPP or AIP consistent with all other operational and maintenance funded landlord activities. GPP or AIP projects may not be funded from overhead or other indirect functional accounts.

(3) While some information concerning GPP and AIP are requested for use by Headquarters Program Offices in preparing the FY 1999 budget request to OMB and the Congress, Field and Operations Offices are responsible for monitoring the details of GPP and AIP activities of sites under their jurisdiction. Field and Operations Offices will be required to provide necessary details of GPP and AIP activities of their sites on request.

(4) The format for the Field Budget submission for reporting and requesting funding for General Plant Projects and Accelerator Improvement Projects by site is provided in Figure II-4.3, and consists of two parts.

(a) Part I Summary is a tabulation of the GPP or AIP by Headquarters Organization and Budget and Reporting (B&R) code. For each B&R, the obligations and costs for the PY, the CY, and the BY are required. The PY corresponds to BY-2 (the current execution year at the time of preparation of the Field Budget Request) and the CY corresponds to BY-1 (the budget year that is transmitted to the Congress during the same time frame). The total obligations and costs for each year by the site should also be shown. The financial data from Part II Project Listings should be reconciled with Part I.

(b) Part II Project Listing is a brief description of the GPP or AIP accomplishments expected in the PY with available funds, currently anticipated for the CY and the BY if the CY and BY funding requests are approved. At the time of submission of the Field Budget Request, the PY is roughly one-half complete. The anticipated GPP or AIP activities for the CY are in the budget request being considered by the Congress. If the anticipated GPP or AIP activities for the CY are now expected to be different than those submitted to the Congress, explain and stress the impact.

Each PY project shall be described on a separate section of the project listing form. Individual CY projects, if known, should be described on a separate section also. Generic CY and BY projects may be grouped on a single section of the project listing form.

(5) The data element definitions are primarily taken from the Facility Information Management System (FIMS) developed and operated by the Associate Deputy Secretary for Field Management.

(a) The data elements for Part I are as follows:

1 *Site Name* - the name assigned by DOE Headquarters.

2 *Landlord* - the funding Headquarters Program designated to oversee multi-program and facility infrastructure requirements.

3 *Contact Person* - please provide the name, phone number, FAX number, and E-Mail address of the person to be contacted concerning project information provided.

4 *Field Office* - the Operations Office, field office, project office, or other non-Headquarters element responsible for the site.

5 *Budget & Reporting Classification Code (B&R)* that provides funding for the GPP or AIP. If a single B&R provides the GPP or AIP funding at the site, a total line is not required.

(b) Data elements for Part II are:

1 *Site Name* - the name assigned by DOE Headquarters.

2 *Landlord* - the funding Headquarters Program designated to oversee multi-program and facility infrastructure requirements.

3 *Narrative Description* - for PY and known CY projects, describe the problem severity and mission importance of the project, the project scope in terms of capacity or other shortcomings remediated, and other justification for the project.

For generic CY and BY projects, describe the backlog of unfilled requirements and substandard assets by use category name, summarize findings of any condition assessment surveys, and provide any other justification for use GPP or AIP funds.

4 *Funding B&R* - enter the program B&R that will fund the GPP or AIP activity.

5 *Obligation Profile* - summarize the amount in thousands for the activities anticipated in each fiscal year.

6 *Cost Profile* - summarize the amount in thousands for the activities anticipated in each fiscal year.

(c) Questions concerning the GPP or AIP reporting should be addressed to the Budget Operations Division, Budget Formulation activity, (202)-586-4016.

DEPARTMENT OF ENERGY
FYBY FIELD BUDGET REQUEST
(Changes from FYCY Congressional Budget Request are denoted with a vertical line in left margin.)

WEAPONS ACTIVITIES
(Tabular dollars in thousands. Narrative material in whole dollars.)

Defense Programs Stockpile Management

1. Title and Location of Project:	CMR Upgrades Project - Preliminary & Final Design (Title I & II) Los Alamos National Laboratory, Los Alamos, New Mexico	2a. Project No.: 95-D-102 2b. Construction Funded (design only)

SIGNIFICANT CHANGES

- None

Figure II-4.1
Project Data Sheet Significant Changes

DEPARTMENT OF ENERGY
FYBY FIELD BUDGET REQUEST
(Changes from FYCY Congressional Budget Request are denoted with a vertical line in left margin.)

WEAPONS ACTIVITIES
(Tabular dollars in thousands. Narrative material in whole dollars.)

Defense Programs Stockpile Stewardship

1. Title and Location of Project: CMR Upgrades Project - Preliminary & Final Design (Title I & II) 2a. Project No.: 95-D-102
Los Alamos National Laboratory, Los Alamos, New Mexico 2b. Construction Funded (design only)

	Preliminary Schedule	Title I Baseline	Current Baseline Schedule
3a. Date A-E Work Initiated, (Title I Start Scheduled):	1st Qtr. FY 1992		
3b. A-E Work (Preliminary & Final Design (Titles I & II) Duration:	52 months		
4a. Date physical Construction Starts:			
4b. Date Construction Ends:			

Figure II-4.2a
Project Data Sheet
(Preliminary and Final Design (Title I & II) Funding Only)

1. Title and Location of Project: CMR Upgrades Project, Design and Construction 2a. Project No.: 95-D-102
Los Alamos National Laboratory, Los Alamos, New Mexico 2b.
Construction Funded (design only)

	Preliminary Estimate
Total Design Cost --	$52,286

		Preliminary Estimate	Title I Baseline	Current Baseline Estimate
5.	Total Estimated Cost (TEC) --	b/		
6.	Total Project Cost (TPC) --	b/		

7.a Design Financial Schedule (Federal Funds):

Fiscal Year	Appropriations	Adjustments	Obligations	Costs
1992	$ 12,000	0	$ 12,000	$ 8,120
1993	15,000	0	15,000	15,050
1994	15,250	0	15,250	17,300
1995	10,036	0	10,036	10,816

a/ Current Baseline Estimate is the latest baseline which reflects the approved changes to the Title I baseline.

b/ Preliminary Cost Estimates for the CMR Upgrades project are based upon the Conceptual Design Report dated 11/4/90. The preliminary estimates are: Total Estimated Cost (TEC) -- $174,100 (K) and Total Project Cost (TPC) -- $223,635 (K). These estimates are used for the purpose of requesting design funding only. Future construction funding (if requested) will be based upon Title I cost estimates.

Figure II-4.2a
Project Data Sheet
(Preliminary and Final Design (Title I & II) Funding Only)

1996	0	0	0	2,000

1. Title and Location of Project: CMR Upgrades Project, Design and Construction 2a. Project No.: 95-D-102

Los Alamos National Laboratory, Los Alamos, New Mexico 2b. Construction Funded

8. Project Description, Justification and Scope

The Chemistry and Metallurgy Research (CMR) Building is the largest structure at the Los Alamos National Laboratory (550,000 square feet). Construction of the CMR Building was completed in 1952. Most of the major mechanical and electrical equipment has reached the end of its design life.

Since its construction 40 years ago, the CMR Building has been used for research, development, and analytical work with plutonium, uranium and their alloys, and other materials in support of weapons, nuclear materials, and other Laboratory programs. This work continues to be essential to the nation's weapons program, with the principal activities in the building being in support of the plutonium research, development, and demonstration activities conducted at the Laboratory's Plutonium Handling Facility at TA-55. The activities that are critical to these plutonium operations are:

- Essential daily analytical chemistry and metallurgical services on plutonium and other actinides.
  - Analyses of plutonium metal preparations for the Laboratory's Weapons Research, Development, and Test Programs.
  - Analyses required for development and demonstration of new and improved processing methods for scrap recovery.
  - Analyses required for accountability and verification of material received or shipped and for on-site transfers.

- The CMR Building future role is also essential for support of several major Defense Programs areas which include:

  - Enhanced Safety and Reliability of Nuclear Weapons
  - Lead Technical Laboratory for Pu and U Processing

Figure II-4.2a
Project Data Sheet
(Preliminary and Final Design (Title I & II) Funding Only)

- Weapons Dismantlement and Component Storage

The primary purpose of this project is to upgrade facility systems and infrastructure that has been in continuous operation for 40 years and are near the end of their useful life. Such upgrading will ensure the continued safety of the public and Laboratory employees and increase the

8. Project Description, Justification and Scope (continued)

operational safety, reliability and security of essential activities. Increased safety, reliability, and security are critical to the continued operation of the Laboratory's Stockpile Stewardship Programs and other national defense programs.

Funding is requested to initiate Preliminary and Final Design (Title I & II) of the project. No funding of construction activities is requested.

The equipment replacements and upgrades included:

- **Continuous Air Monitor (CAM) Installations**

  Install a new CAM system in the Wings 3, 5, 7, and 9 laboratories. Upgrades include installation of CAMs, Fixed head Air Samplers (FAS), and glovebox hand monitors as required by DOE Order 5480.11 and AR 3-7. Remote monitoring capabilities at the Health Physics office and a data logging system are also included. Existing vacuum systems in Wings 3, 5, and 7 will be utilized while the vacuum system in Wing 9 will be expanded.

- **HVAC Blowers and Motors**

Figure II-4.2a
Project Data Sheet
(Preliminary and Final Design (Title I & II) Funding Only)

Replace existing laboratory exhaust fans in the CMR Building and provide vibration analysis for approximately twenty exhaust fans in the CMR Building. Immediate needs are to replace the 200 HP exhaust fans on the first floor of the filter towers in Wings 3, 5, and 7. Other exhaust fans may require replacement contingent on the scope of the Phase 2 Confinement Zone Separation upgrade.

8. Project Description, Justification and Scope (Continued)

- **Electrical Upgrades**

  The Distribution Analysis and Power Planning Evaluation and Reporting (DAPPER) software will be used for analysis, calculations, and record drawings for all electrical upgrades. Provisions to incorporate a future facility computer monitoring and limited control system will be provided as part of the Electrical Upgrades.

Exterior Electrical Upgrades: Replace inadequately sized exterior sectionalizing switches, eliminate existing exterior single point failures, modify exterior underground electrical system to allow switching and maintenance functions, upgrade existing controls and correct deficiencies to the existing administration wing, and Wings 1, 3, 4, and 9 substations.

Substations Upgrade: Replace substations in Wings 2, 5, and 7.

Wing Electrical Upgrades: Upgrade the interior low voltage power distribution system for all wings except 2 and 4 in the CMR Building. This includes the replacement of power and lighting panel boards, laboratory power panel boards, bus ways, motor control centers, replacement of all obsolete branch and feeder wiring systems, rewiring of laboratories, and upgrading the emergency and exit lighting systems.

Electrical Upgrades to Support Safe Standby, Wings 2 and 4: Upgrade the interior low voltage power distribution system in Wings 2 and 4, which is necessary for safety systems.

Figure II-4.2a
Project Data Sheet
(Preliminary and Final Design (Title I & II) Funding Only)

Spinal Corridor Cable Tray: Provide a cable tray system in the attic spinal corridor.

Grounding and Lightning Protection: Upgrade the CMR Building grounding and lightning protection systems.

8. Project Description, Justification and Scope (Continued)

- **Stack Monitors Upgrade**

  Provide a stack effluent monitoring system for the CMR Building that is in compliance with DOE and EPA requirements. Each stack will be evaluated to determine the type of monitoring required. Each stack system will be stand alone, consisting of in-line samplers, CAMS, vacuum pumps, and associated tubing, wiring, and signal processing equipment. This upgrade also includes a data collection system from all of the stack CAM's to the CMR operations room and the ES&H operations room. The stack effluent monitoring will be in compliance with 40 CFR 61 and DOE Order 6430.1A.

- **Uninterruptable Power Supply (UPS) Installation**

  This Upgrade is in support of the Stack Monitors Upgrade. There will be one UPS supporting the stack monitoring data collection computer systems. The UPS will be capable of providing backup power to the stack effluent monitoring systems for a 4 hour period.

- **Duct Modification**

  Backdraft Dampers: Provide positive shutoff intake backdraft dampers in the supply air ductwork in Wings 2, 3, 4, 5, 7, and 9.

Duct Washdown Upgrade: Upgrade the existing exhaust duct washdown system in Wings 3, 5, and 7. This includes replacement of piping, valves, and spray heads and installation of new flow measurement devices.

Figure II-4.2a
Project Data Sheet
(Preliminary and Final Design (Title I & II) Funding Only)

8. Project Description, Justification and Scope (Continued)

- **Acid Vents and Drains Upgrades**

  Aging piping and a lack of gradient in the acid drain system in the basement of the CMR Building has led to corrosion and clogging of the system. This upgrade includes evaluation and documentation of the existing system, prioritization of the system deficiencies, and cost estimates to correct each deficiency for Wings 3, 5, and 7. Construction will include replacement of piping and components including threaded nipples, fittings, valves, flanged fittings, and gaskets with compatible new components.

1. Title and Location of Project: CMR Upgrades Project, Design and Construction 2a. Project No.: 95-D-102

Los Alamos National Laboratory, Los Alamos, New Mexico 2b. Construction Funded

9. Detail of Cost Estimate

	Item Cost	Total Cost
a. Design Phase.		$ 43,667
1. Preliminary and Final Design costs (Design Drawings, and Specifications - $5,591)	$ 33,667	
2. Design Management costs @ 29.7% of (a(1))	10,000	
3. Project Management (Design) @ ____% of (a(1))		
c. Contingencies at approximately 19.7 percent of above costs		8,619
1. Design Phase	8,619	
d. Total line item cost (Section 11.a.1.(a))		$52,286
e. LESS: Non-Agency contribution (Define in Section 12).		0
f. Total Agency Requirement (Design Only)		$52,286

10. Method of Performance

Procurement will be accomplished under fixed-price subcontracts awarded on the basis of competitive bidding. Consideration will be given to cost-plus-fixed fee on decontamination and refurbishment work on the CMR. Upgrades construction will be done by fixed price

Figure II-4.2a
Project Data Sheet
(Preliminary and Final Design (Title I & II) Funding Only)

contractors and the Laboratory's support services subcontractor. The operating contractor and contracted Architect-Engineers will perform construction inspection.

Figure II-4.2a
Project Data Sheet
(Preliminary and Final Design (Title I & II) Funding Only)

1. Title and Location of Project: CMR Upgrades Project, Design and Construction Los Alamos National Laboratory, Los Alamos, New Mexico	2a. Project No.: 95-D-102 2b. Construction Funded

11. Schedule of Project Funding and Other Related Funding Requirements

	Prior Years	FY 1993	FY 1994	FY 1995	Outyear	Total
a. Total facility costs	$ 8,120	$ 15,050	$ 17,300	$ 10,816	$ 2,000	$ 52,286
1. Total facility costs						
(a) Design (Section 9.a. & Section 9.c.1).....	0	0	0	0	0	0
(c) Plant, Engineering & Design (PE&D)	0	0	0	0	0	0
(d) Operating expenses funded equipment ..	0	0	0	0	0	0
(e) Inventories	0	0	0	0	0	0
(f) Total facility costs (Federal and Non-Federal)	$ 8,120	$ 15,050	$ 17,300	$ 10,816	$ 2,000	$ 52,286
(h) Total capital design costs	$ 0	$ 0	$ 0	$ 0	$ 0	$ 0
3. LESS: Non-Agency contributions (define Federal vs. Non-Federal	0	0	0	0	0	0
(a) Agency total design costs	$ 8,120	$ 15,050	$ 17,300	$ 10,816	$ 2,000	$ 52,286

Figure II-4.2a
Project Data Sheet
(Preliminary and Final Design (Title I & II) Funding Only)

12. Narrative Explanation of Total Project Funding and Other Related Funding Requirements

a. Total project funding
1. Total facility costs
(a) Design - Narrative not required.

(c) PE&D -- None.
(d) Operating expense funded equipment -- Narrative not required.
(e) Inventories -- None.
(f) Total facility cost -- Narrative not required.

3. Non-Federal contribution -- None.
(a) Net Federal Total Project Cost -- Narrative not required.

13. Design and Construction of Federal Facilities

The total estimated cost of this project includes, where appropriate, the cost of measures necessary to assure compliance with OMB Circular No. A-106, and Executive Order No. 12088, "Federal Compliance with Pollution Control Standards"; Section 19 of the Occupational Safety and Health Act of 1970, the provisions of Executive Order No. 12196, and the related Safety and Health provisions for Federal Employees (CFR Title 29, Chapter XVII, Part 1960); and the Architectural Barriers Act of 1968." The project will be located in an area not subject to flooding determined in accordance with Executive Order 11988.

Figure II-4.2a
Project Data Sheet
(Preliminary and Final Design (Title I & II) Funding Only)

DEPARTMENT OF ENERGY
FYBY FIELD BUDGET REQUEST
(Changes from FYCY Congressional Budget Request are denoted with a vertical line in left margin.)

WEAPONS ACTIIVITIES
(Tabular dollars in thousands. Narrative material in whole dollars.)

Defense Programs Stockpile Management

1. Title and Location of Project: CMR Upgrades Project, Design and Construction
2a. Project No.: 95-D-102
Los Alamos National Laboratory, Los Alamos, New Mexico 2b. Construction Funded

SIGNIFICANT CHANGES

- Total estimated cost for Processed Chilled Water, Main Vault, Acid Vents and Drains, and Exhaust Duct Washdown Recycle System Upgrades have been adjusted to reflect completed Title I estimates.

Figure II-4-1b
Project Data Sheet Significant Changes

DEPARTMENT OF ENERGY
FYBY FIELD BUDGET REQUEST
(Changes from FYCY Congressional Budget Request are denoted with a vertical line in left margin.)

WEAPONS ACTIVITES
(Tabular dollars in thousands. Narrative material in whole dollars.)

Defense Programs Stockpile Stewardship

1. Title and Location of Project: CMR Upgrades Project, Design and Construction 2a. Project No.: 95-D-102

Los Alamos National Laboratory, Los Alamos, New Mexico 2b. Construction Funded

		Preliminary Schedule	Title I Baseline	Current Baseline Schedule
3a.	Date A-E Work Initiated, (Title I Start Scheduled):	1st Qtr. FY 1992	1st Qtr. FY 1992	1st Qtr. FY 1992
3b.	A-E Work (Preliminary & Final Design (Titles I & II)) Duration:	52 months	52 months	52 months
4a.	Date physical Construction Starts:	3rd Qtr. FY 1993	3rd Qtr FY 199	3rd Qtr. FY 1993
4b.	Date Construction Ends:	3rd Qtr. FY 2002	3rd Qtr FY 2002	3rd Qtr. FY 2002

		Preliminary Estimate	Title I Baseline	Current Baseline Estimate a/
5.	Total Estimated Cost (TEC) --	$174,100	$174,100	$174,100
6.	Total Project Cost (TPC) --	$223,635	$223,635	$223,635

a/ Current Baseline Estimate is the latest baseline which reflects the approved changes to the Title I baseline.

Figure II-4.2b
Project Data Sheet
(Design and Construction Phase Funded)

7.a Design Financial Schedule (Federal Funds):

Fiscal Year	Appropriations	Adjustments	Obligations	Costs
1992	$ 12,000	0	$12,000	8,120
1993	15,000	0	15,000	15,050
1994	15,250	0	15,250	17,300
1995	10,036	0	10,036	10,816
1996	0	0	0	2,000

7.b Construction Financial Schedule (Federal Funds):

Fiscal Year	Appropriations	Adjustments	Obligations	Costs
1993	12,000	0	12,000	8,500
1994	14,500	0	14,500	14,000
1995	18,000	0	18,000	15,500
1996	22,000	0	22,000	20,500
1997	20,000	0	20,000	21,000
1998	15,000	0	15,000	12,300
1999	12,500	0	12,500	13,000
2000	7,814	0	7,814	6,800
2001	0	0	0	6,000
2002	0	0	0	4,214

Figure II-4.2b
Project Data Sheet
(Design and Construction Phase Funded)

Figure II-4.2b
Project Data Sheet
(Design and Construction Phase Funded)

8. Project Description, Justification and Scope

The Chemistry and Metallurgy Research (CMR) Building is the largest structure at the Los Alamos National Laboratory (550,000 square feet). Construction of the CMR Building was completed in 1952. Most of the major mechanical and electrical equipment has reached the end of its design life.

Since its construction 40 years ago, the CMR Building has been used for research, development, and analytical work with plutonium, uranium and their alloys, and other materials in support of weapons, nuclear materials, and other Laboratory programs. This work continues to be essential to the nation's weapons program, with the principal activities in the building being in support of the plutonium research, development, and demonstration activities conducted at the Laboratory's Plutonium Handling Facility at TA-55. The activities that are critical to these plutonium operations are:

- Essential daily analytical chemistry and metallurgical services on plutonium and other actinides.

8. Project Description, Justification and Scope (continued)

- Analyses of plutonium metal preparations for the Laboratory's Weapons Research, Development, and Test Programs.
- Analyses required for development and demonstration of new and improved processing methods for scrap recovery.
- Analyses required for accountability and verification of material received or shipped and for on-site transfers.

- The CMR Building future role is also essential for support of several major Defense Programs areas which include:

- Enhanced Safety and Reliability of Nuclear Weapons
- Lead Technical Laboratory for Pu and U Processing
- Weapons Dismantlement and Component Storage

Figure II-4.2b
Project Data Sheet
(Design and Construction Phase Funded)

The primary purpose of this project is to upgrade facility systems and infrastructure that has been in continuous operation for 40 years and are near the end of their useful life. Such upgrading will ensure the continued safety of the public and Laboratory employees and increase the operational safety, reliability and security of essential activities. Increased safety, reliability, and security are critical to the continued operation of the Laboratory's Stockpile Stewardship Programs and other national defense programs.

The Special Nuclear Materials Laboratory (SNML) Project was authorized (88-D-105) to replace the CMR Building at Los Alamos National Laboratory. In FY 1990, the project was put on hold pending a substantive review of the project including other potential options for providing the necessary specialized Laboratory space. As the planned completion date of the SNML continued to be pushed back, it became necessary to provide interim upgrades to CMR to allow its safe and reliable use in the interim period; $6,250,000 was reprogrammed (91-R-14, executed in FY 1992) from the SNML line item to Project 90-D-102, Nuclear Weapons Research, Development and Testing Facilities Revitalization, Phase III (WRD&T Revit., 3), subproject CMR Upgrades (Phase 1). Later in FY 1991, it was decided not to proceed with the construction of SNML but provide interim upgrades, to CMR (Phase 1) and to identify further upgrades based on safety and risk assessment, for continued long-term operations. The result of these safety and risk assessments is an Interim Safety Analysis Report (ISAR). The findings of the ISAR are the basis for the scope of CMR Upgrades Phases 2 and 3, which were combined with Phase 1 to produce this stand alone line item in FY 1995.

8. Project Description, Justification and Scope (continued)

The ISAR includes an analysis of risks associated with natural phenomena design basis accidents, current operations, and comparison to criteria (6430.1A). The ISAR was utilized as the basis to identify and prioritize upgrades that would be required to continue operations in a safe, secure, and reliable manner for at least the next 20 years.

CMR Phase 1 Upgrade

Phase 1 was formerly part of WRD&T Revit, 3 with a TEC of $49,500,000. Based upon the 1995 baseline change proposal and the completion of the CDR, the TEC changed to $51,600,000 and completion date changed from 3rd Qtr. FY 1996 to 3rd Qtr. FY 1998.

Figure II-4.2b
Project Data Sheet
(Design and Construction Phase Funded)

Phase 1 of this project consists of required and urgent capital equipment replacements and upgrades in the CMR Building. Individual tasks were initially identified by a panel commissioned by the Deputy Assistant Secretary for Military Application (DASMA) in July 1990, as the minimum essential effort required to maintain operations in the CMR Building while a Safety Analysis Report (SAR) was prepared.

The FY 1998 funds for Phase 1 will be used to complete Phase 1 construction activities. Most Phase 1 construction activities will be substantially completed 3rd Qtr. FY 1997.

The equipment replacements and upgrades included:

- **Continuous Air Monitor (CAM) Installations**

Install a new CAM system in the Wings 3, 5, 7, and 9 laboratories. Upgrades include installation of CAMs, Fixed head Air Samplers (FAS), and glovebox hand monitors as required by DOE Order 5480.11 and AR 3-7. Remote monitoring capabilities at the Health Physics office and a 8 data logging system are also included. Existing vacuum systems in Wings 3, 5, and 7 will be utilized while the vacuum system in Wing 9 will be expanded. This project is complete.

8. Project Description, Justification and Scope (continued)

- **HVAC Blowers and Motors**

  Replace existing laboratory exhaust fans in the CMR Building and provide vibration analysis for approximately twenty exhaust fans in the CMR Building. Immediate needs are to replace the 200 HP exhaust fans on the first floor of the filter towers in Wings 3, 5, and 7. Other exhaust fans may require replacement contingent on the scope of the Phase 2 Confinement Zone Separation upgrade. This subproject is 97 percent complete.

- **Electrical Upgrades**

Figure II-4.2b
Project Data Sheet
(Design and Construction Phase Funded)

The Distribution Analysis and Power Planning Evaluation and Reporting (DAPPER) software will be used for analysis, calculations, and record drawings for all electrical upgrades. Provisions to incorporate a future facility computer monitoring and limited control system will be provided as part of the Electrical Upgrades.

Exterior Electrical Upgrades: Replace inadequately sized exterior sectionalizing switches, eliminate existing exterior single point failures, modify exterior underground electrical system to allow switching and maintenance functions, upgrade existing controls and correct deficiencies to the existing administration wing, and Wings 1, 3, 4, and 9 substations. This portion of Electrical Upgrades is scheduled for completion 3rd Qtr. FY 1997.

Substations Upgrade: Replace substations in Wings 2, 5, and 7. This portion of Electrical Upgrades is scheduled for completion 2nd Qtr. FY 1997.

Wing Electrical Upgrades: Upgrade the interior low voltage power distribution system for all wings except 2 and 4 in the CMR Building. This includes the replacement of power and lighting panel boards, laboratory power panel boards, bus ways, motor control centers, replacement of all obsolete branch and feeder wiring systems, rewiring of laboratories, and upgrading the emergency and exit lighting systems. This portion of Electrical Upgrades is scheduled for completion 2nd Qtr. FY 1997.

Figure II-4.2b
Project Data Sheet
(Design and Construction Phase Funded)

8. Project Description, Justification and Scope (continued)

Electrical Upgrades to Support Safe Standby, Wings 2 and 4: Upgrade the interior low voltage power distribution system in Wings 2 and 4, which is necessary for safety systems. This portion of Electrical Upgrades is scheduled for completion 4th Qtr. FY 1998.

Spinal Corridor Cable Tray: Provide a cable tray system in the attic spinal corridor. This portion of Electrical Upgrades was completed 1st Qtr. FY 1996.

Grounding and Lightning Protection: Upgrade the CMR Building grounding and lightning protection systems. This portion of Electrical Upgrades is scheduled for completion 1st Qtr. FY 1997.

- **Stack Monitors Upgrade**

  Provide a stack effluent monitoring system for the CMR Building that is in compliance with DOE and EPA requirements. Each stack will be evaluated to determine the type of monitoring required. Each stack system will be stand alone, consisting of in-line samplers, CAMS, vacuum pumps, and associated tubing, wiring, and signal processing equipment. This upgrade also includes a data collection system from all of the stack CAM's to the CMR operations room and the ES&H operations room. The stack effluent monitoring will be in compliance with 40 CFR 61 and DOE Order 6430.1A. This subproject is currently estimated to be 97 percent complete.

- **Uninterruptable Power Supply (UPS) Installation**

  This Upgrade is in support of the Stack Monitors Upgrade. There will be one UPS supporting the stack monitoring data collection computer systems. The UPS will be capable of providing backup power to the stack effluent monitoring systems for a 4 hour period. This subproject is 99 percent complete.

Figure II-4.2b
Project Data Sheet
(Design and Construction Phase Funded)

8. Project Description, Justification and Scope (continued)

- **Duct Modification**

  Backdraft Dampers: Provide positive shutoff intake backdraft dampers in the supply air ductwork in Wings 2, 3, 4, 5, 7, and 9. This subproject is 92 percent complete.

  Duct Washdown Upgrade: Upgrade the existing exhaust duct washdown system in Wings 3, 5, and 7. This includes replacement of piping, valves, and spray heads and installation of new flow measurement devices. This portion of the Duct Modifications is scheduled for completion 4th Qtr. FY 1996.

- **Sanitary Sewer Upgrades**

  This subproject was completed 3rd Quarter of FY 1994.

- **Acid Vents and Drains Upgrades**

  Aging piping and a lack of gradient in the acid drain system in the basement of the CMR Building has led to corrosion and clogging of the system. This upgrade includes evaluation and documentation of the existing system, prioritization of the system deficiencies, and cost estimates to correct each deficiency for Wings 3, 5, and 7. Construction will include replacement of piping and components including threaded nipples, fittings, valves, flanged fittings, and gaskets with compatible new components. Remaining system replacement will be incorporated in Phase 2. This subproject is scheduled for completion 4th Qtr. FY 1998.

- **Fire Hazard Analysis (Formerly Fire Protection Upgrades)**

  A Fire Hazard Analysis (FHA) on the CMR Building will be completed in accordance with DOE Order 5480.7A. A cost benefit analysis will be performed on the results of the FHA and the existing National Fire Protection Act (NFPA) 101

analysis to prioritize deficiencies. Identified required upgrades will be done as part of Phase 2. This subproject was completed during the 2nd Qtr. FY 1996.

8. Project Description, Justification and Scope (continued)

- **Safety Analysis Report**

  Perform a complete safety analysis for the CMR Building operations. Activities include analysis, documentation, and review. Complete an Interim Safety Analysis Report (ISAR) to aid in determining the basis for long term upgrades for the CMR Building. Produce a Final Safety Analysis Report (FSAR) to define the safety envelope and the authorization basis for the operation of the CMR Building. The FSAR is to be produced in accordance with DOE Order 5480.23, and related standards for Nuclear Facility Safety Analysis Reports. This was completed 4th Qtr. FY 1995.

- **Engineering Assessments/CDR/EA**

  Engineering Assessment--This project was completed 2nd Qtr. FY 1996.

  Phase 1 funding includes the development of the CDR for those items that have been identified and prioritized as a result of the Interim Safety Analysis Report (ISAR). They are comprised of those upgrade items that are required to extend the operational life of the facility for at least another 20 years based upon safety and compliance for present and future operations. The original CDR was completed during the 3rd Qtr. FY 1995; the Supplemental CDR effort is scheduled for completion 1st Qtr. FY 1997.

  An environmental assessment, including all aspects of Phase 2, has been prepared based upon the conceptual design report. This EA assessed the environmental impact of construction as represented by the Phase 2 scope of work. Approval is scheduled for 2nd Qtr. FY 1997.

Figure II-4.2b
Project Data Sheet
(Design and Construction Phase Funded)

9. Detail of Cost Estimate

	Item Cost	Total Cost
a. Design Phase		$ 43,667
1. Preliminary and Final Design costs (Design Drawings and Specifications - $5,591)	$33,667	
2. Design Management costs @ 29.7% of (a.(1))	10,000	
3. Project Management costs @ ____% of (a.(1))		
b. Construction Phase		111,814
1. Land and Land Rights	0	
2. Improvements to Land	0	
3. Buildings	77,640	
4. Special Equipment	4,174	
5. Other structures	0	
6. Utilities	0	
7. Standard Equipment	0	
8. Major computer items	0	
9. Removal cost less salvage	0	
10. Inspection,design and project liaison, testing, checkout and acceptance	10,000	
11. Construction Management @ 21.8% of (b(1) through b(10))	20,000	
12. Project Management @ ____% of (b(1) through b(10))		
c. Contingencies at approximately 12 percent of above costs		18,619
1. Design Phase	8,619	
2. Construction Phase	10,000	
d. Total line item cost (Section 11.a.1.(f))		$174,100
e. LESS: Non-Agency contribution (Define in Section 12)		0
f. Total Agency Requirement (TEC)		$174,100

Figure II-4.2b
Project Data Sheet
(Design and Construction Phase Funded)

Figure II-4.2b
Project Data Sheet
(Design and Construction Phase Funded)

10. Method of Performance

Procurement will be accomplished under fixed-price subcontracts awarded on the basis of competitive bidding. Consideration will be given to cost-plus-fixed fee on decontamination and refurbishment work on the CMR. Upgrades construction will be done by fixed price contractors and the Laboratory's support services subcontractor. The operating contractor and contracted Architect-Engineers will perform construction inspection.

Figure II-4.2b
Project Data Sheet
(Design and Construction Phase Funded)

11. Schedule of Project Funding and Other Related Funding Requirements

	Prior Years	FY 1999	FY 2000	FY 2001	Outyears	Total
a. Total project costs (Agency Requirements)						
1.. Total facility costs						
(a) Design (Section 9.a & Section 9.c.1)	$ 52,286	$ 0	$ 0	$ 0	$ 0	$ 52,286
(b) Construction (Section 9.b & Section 9.c.2)	$ 91,800	$ 13,000	$ 6,800	$ 6,000	$ 4,214	$ 121,814
(c) Plant, Engineering and Design (PE&D)	0	0	0	0	0	0
(d) Operating expense funded equipment ...	0	0	0	0	0	0
(e) Inventories	0	0	0	0	0	0
(f) Total facility costs (Federal and Non-Federal)	$144,086	$ 13,000	$ 6,800	$ 6,000	$ 4,214	$ 174,100
2. Other project costs						
(a) R&D necessary to complete project	$ 0	$ 0	$ 0	$ 0	$ 0	$ 0
(b) Conceptual design costs	0	0	0	0	0	0
(c) Decontamination & Decommissioning (D&D)	0	0	0	0	0	0
(d) NEPA documentation costs	0	0	0	0	0	0

Figure II-4.2b
Project Data Sheet
(Design and Construction Phase Funded)

(e) Other ES&H costs	0	0	0	0	0	0
(f) Other project related costs (Define in Section 12)	14,468	5,000	10,000	10,000	10,067	49,535
(g) Total other project costs	$ 14,468	$ 5,000	$ 10,000	$ 10,000	$ 10,067	$ 49,535
(h) Total project costs	$158,554	$ 18,000	$ 16,800	$ 16,000	$ 14,281	$ 223,635
3. LESS Non-Agency contribution (Define Federal vs Non-Federal)	0	0	0	0	0	0
(a) Agency total project costs (TPC)	$158,554	$ 18,000	$ 16,800	$ 16,000	$ 14,281	$ 223,635

11. Schedule of Project Funding and Other Related Funding Requirements (continued)

b. Related Lifecycle costs (estimated life of project--40 years; FY 1995 $)

1. Annual facility operating costs	$ 10,000
2. Annual facility maintenance/repair costs	2,500
3. Annual programmatic operating expenses related to the facility	30,000
4. Capital equipment not related to construction but related to the programmatic effort in the facility	1,000
5. GPP or other construction related to the programmatic effort in the facility	1,000
6. Utility costs	2,450
7. Other Annual Costs (define in Section 12)	0
Total related lifecycle costs	$ 46,950

Figure II-4.2b
Project Data Sheet
(Design and Construction Phase Funded)

12. Narrative Explanation of Total Project Funding and Other Related Funding Requirements

a. Total project funding
1. Total facility costs
(a) Design -- Narrative not required.
(b) Construction -- Narrative not required.
(c) PE&D -- None.
(d) Operating expense funded equipment -- Narrative not required.
(e) Inventories -- None.
(f) Total facility cost (Federal and Non-Federal) -- Narrative not required.
2. Other project costs
(a) R&D necessary to complete construction -- No research and development is necessary to establish the specific design and construction features.
(b) Conceptual design -- None. Phase 1 line item. b/
(c) Decontamination and Decommissioning (D&D) -- None.
(d) NEPA documentation -- None. Phase 1 line item costs include NEPA documentation costs.
(e) Other ES&H costs -- None. Phase 1 line item.
(f) Other project related costs -- Operational testing and acceptance, including the Operational Readiness Review has been allowed on selected major system upgrades. Training materials, programs, and test/certification will be updated to reflect the change in site operations resulting from selected systems upgrades becoming operational. See also paragraph 17, Environmental Impacts, below.
(g) Total other project costs -- Narrative not required.
(h) Total project costs -- Narrative not required.
3. Non-Federal contribution -- None.
(a) Net Federal Total Project Cost -- Narrative not required.

b/ CDR and Environmental Assessment costs are carried as part of the Phase 1 Engineering Assessment/Phase 2 Planning Activities and are broken out for clarity.

Figure II-4.2b
Project Data Sheet
(Design and Construction Phase Funded)

Figure II-4.2b
Project Data Sheet
(Design and Construction Phase Funded)

12. Narrative Explanation of Total Project Funding and Other Related Funding Requirements (continued)

b. Related annual costs

1. Annual facility operating costs -- The CMR facility were estimated from the FY 1995 budget requirements for CMR operations.
2. Annual facility maintenance/repair costs -- These are based upon current budget requirements for CMR maintenance.
3. Programmatic operating expenses directly related to the facility -- The programmatic effort which relies upon the direct and primary use of the CMR facilities was established at the FY 1992 level-of-effort based on the unique capabilities of handling radioactive materials. This assumes a constant level-of-effort in these programs.
4. Capital equipment requirements for programmatic support were estimated at $1,000,000/year based upon recent trends in CMR programmatic needs.
5. GPP or other construction related to programmatic effort -- These are anticipated to be approximately $1,000,000/year based upon current CMR programmatic needs.
6. Utility costs -- These are estimated at $2,450,000/year based upon current trends in CMR operations.
7. Other costs -- None anticipated.

13. Design and Construction of Federal Facilities

The total estimated cost of this project includes, where appropriate, the cost of measures necessary to assure compliance with OMB Circular No. A-106, and Executive Order No. 12088, "Federal Compliance with Pollution Control Standards"; Section 19 of the Occupational Safety and Health Act of 1970, the provisions of Executive Order No. 12196, and the related Safety and Health provisions for Federal Employees (CFR Title 29, Chapter XVII, Part 1960); and the Architectural Barriers Act of 1968." The project will be located in an area not subject to flooding determined in accordance with Executive Order 11988.

Figure II-4.2b
Project Data Sheet
(Design and Construction Phase Funded)

DEPARTMENT OF ENERGY
FYBY 1999 FIELD BUDGET REQUEST
(Changes from FYCY Congressional Budget Request are denoted with a vertical line in left margin.)

WEAPONS ACTIVITIES
(Tabular dollars in thousands. Narrative material in whole dollars.)

Defense Programs Stockpile Management

1. Title and Location of Project:	CMR Upgrades Project	2a. Project No.: 95-D-102
	Los Alamos National Laboratory, Los Alamos, New Mexico	2b. Construction Funded

SIGNIFICANT CHANGES

- Total estimated cost for Processed Chilled Water, Main Vault, Acid Vents and Drains, and Exhaust Duct Washdown Recycle System Upgrades have been adjusted to reflect completed CDR estimates.

Figure II-4.2c
Project Data Sheet
(Design & Construction with Advance Appropriation Funding)

DEPARTMENT OF ENERGY
FYBY FIELD BUDGET REQUEST
(Changes from FYCY Congressional Budget Request are denoted with a vertical line in left margin.)

WEAPONS ACTIVITIES
(Tabular dollars in thousands. Narrative material in whole dollars.)

Defense Programs Stockpile Stewardship

1. Title and Location of Project: CMR Upgrades Project 2a. Project No.: 95-D-102

Los Alamos National Laboratory, Los Alamos, New Mexico 2b. Construction Funded

		Preliminary Estimate	Title I Baseline	Current Baseline Estimate
3a.	Date A-E Work Initiated, (Title I Start Scheduled):	1st Qtr. FY 1992	1st Qtr. FY 1992	1st Qtr. FY 1992
3b.	A-E Work (Preliminary & Final Design (Titles I & II)) Duration:	52 months	52 months	52 months
4a.	Date physical Construction Starts:	3rd Qtr. FY 1993	3rd Qtr FY 1993	3rd Qtr. FY 1993
4b.	Date Construction Ends:	3rd Qtr. FY 2002	3rd Qtr FY 2002	3rd Qtr. FY 2002

		Preliminary Estimate	Title I Baseline	Current Baseline Estimate a/
5.	Total Estimated Cost (TEC) --	$174,100	$174,100	$174,100
6.	Total Project Cost (TPC) --	$223,635	$223,635	$223,635

a/ Current Baseline Estimate is the latest baseline which reflects the approved changes to the Title I baseline.

Figure II-4.2c
Project Data Sheet
(Design & Construction with Advance Appropriation Funding)

7. Financial Schedule (Federal Funds):

Fiscal Year	Appropriations	Adjustments	Obligations	Costs
1992	$ 12,000	0	$ 12,000	$ 2,757
1993	27,000	0	27,000	5,061
1994	29,750	0	29,750	10,504
1995	28,036	0	28,036	13,363
1996	22,000	0	22,000	14,909
1997	20,000	0	18,000	16,270
1999	13,000	0	13,000	19,080
1999	11,000	0	11,500	27,400
2000	6,300	0	6,300	27,000
2001	3,500	0	3,500	20,450
2002	3,014	0	3,014	17,306

8. Project Description, Justification and Scope

The Chemistry and Metallurgy Research (CMR) Building is the largest structure at the Los Alamos National Laboratory (550,000 square feet). Construction of the CMR Building was completed in 1952. Most of the major mechanical and electrical equipment has reached the end of its design life.

Figure II-4.2c
Project Data Sheet
(Design & Construction with Advance Appropriation Funding)

8. Project Description, Justification and Scope (Continued)

Since its construction 40 years ago, the CMR Building has been used for research, development, and analytical work with plutonium, uranium and their alloys, and other materials in support of weapons, nuclear materials, and other Laboratory programs. This work continues to be essential to the nation's weapons program, with the principal activities in the building being in support of the plutonium research, development, and demonstration activities conducted at the Laboratory's Plutonium Handling Facility at TA-55. The activities that are critical to these plutonium operations are:

- Essential daily analytical chemistry and metallurgical services on plutonium and other actinides.

  - Analyses of plutonium metal preparations for the Laboratory's Weapons Research, Development, and Test Programs.
  - Analyses required for development and demonstration of new and improved processing methods for scrap recovery.
  - Analyses required for accountability and verification of material received or shipped and for on-site transfers.

- The CMR Building future role is also essential for support of several major Defense Programs areas which include:

  - Enhanced Safety and Reliability of Nuclear Weapons
  - Lead Technical Laboratory for Pu and U Processing
  - Weapons Dismantlement and Component Storage

The primary purpose of this project is to upgrade facility systems and infrastructure that has been in continuous operation for 40 years and are near the end of their useful life. Such upgrading will ensure the continued safety of the public and Laboratory employees and increase the operational safety, reliability and security of essential activities. Increased safety, reliability, and security are critical to the continued operation of the Laboratory's Stockpile Stewardship Programs and other national defense programs.

Figure II-4.2c
Project Data Sheet
(Design & Construction with Advance Appropriation Funding)

8. Project Description, Justification and Scope (Continued)

The Special Nuclear Materials Laboratory (SNML) Project was authorized (88-D-105) to replace the CMR Building at Los Alamos National Laboratory. In FY 1990, the project was put on hold pending a substantive review of the project including other potential options for providing the necessary specialized Laboratory space. As the planned completion date of the SNML continued to be pushed back, it became necessary to provide interim upgrades to CMR to allow its safe and reliable use in the interim period; $6,250,000 was reprogrammed (91-R-14, executed in FY 1992) from the SNML line item to Project 90-D-102, Nuclear Weapons Research, Development and Testing Facilities Revitalization, Phase III (WRD&T Revit., 3), subproject CMR Upgrades (Phase 1). Later in FY 1991, it was decided not to proceed with the construction of SNML but provide interim upgrades, to CMR (Phase 1) and to identify further upgrades based on safety and risk assessment, for continued long-term operations. The result of these safety and risk assessments is an Interim Safety Analysis Report (ISAR). The findings of the ISAR are the basis for the scope of CMR Upgrades Phases 2 and 3, which were combined with Phase 1 to produce this stand alone line item in FY 1995.

The ISAR includes an analysis of risks associated with natural phenomena design basis accidents, current operations, and comparison to criteria (6430.1A). The ISAR was utilized as the basis to identify and prioritize upgrades that would be required to continue operations in a safe, secure, and reliable manner for at least the next 20 years.

a. CMR Phase 1 Upgrade

TEC	Previous	FY 1996	FY 1997		FY 1998	Outyear	Construction Start - Completion Dates
$51,600	$41,800	$4,800	$4,400	$600	$0	3rd Qtr. FY 1993 - 3rd Qtr. FY 1998	

Figure II-4.2c
Project Data Sheet
(Design & Construction with Advance Appropriation Funding)

8. Project Description, Justification and Scope (Continued)

	Previous	FY 1996	FY 1997	FY 1998	FY 1999
Obligations b/	$41,800	$4,800	$4,400	$600	$0

Phase 1 was formerly part of WRD&T Revit, 3 with a TEC of $49,500,000. Based upon the 1995 baseline change proposal and the completion of the CDR, the TEC changed to $51,600,000 and completion date changed from 3rd Qtr. FY 1996 to 3rd Qtr. FY 1998.

Phase 1 of this project consists of required and urgent capital equipment replacements and upgrades in the CMR Building. Individual tasks were initially identified by a panel commissioned by the Deputy Assistant Secretary for Military Application (DASMA) in July 1990, as the minimum essential effort required to maintain operations in the CMR Building while a Safety Analysis Report (SAR) was prepared.

The FY 1998 funds for Phase 1 will be used to complete Phase 1 construction activities. Most Phase 1 construction activities will be substantially completed 3rd Qtr. FY 1997.

b/ This obligation profile is added as an explanation of the proposed obligations for this subproject, based on the new full funding initiative. Item 7, Financial Schedule, does not show obligations for individual subprojects.

Figure II-4.2c
Project Data Sheet
(Design & Construction with Advance Appropriation Funding)

8. Project Description, Justification and Scope (Continued)

The equipment replacements and upgrades included:

- **Continuous Air Monitor (CAM) Installations**

  Install a new CAM system in the Wings 3, 5, 7, and 9 laboratories. Upgrades include installation of CAMs, Fixed head Air Samplers (FAS), and glovebox hand monitors as required by DOE Order 5480.11 and AR 3-7. Remote monitoring capabilities at the Health Physics office and a data logging system are also included. Existing vacuum systems in Wings 3, 5, and 7 will be utilized while the vacuum system in Wing 9 will be expanded. This project is complete.

- **HVAC Blowers and Motors**

  Replace existing laboratory exhaust fans in the CMR Building and provide vibration analysis for approximately twenty exhaust fans in the CMR Building. Immediate needs are to replace the 200 HP exhaust fans on the first floor of the filter towers in Wings 3, 5, and 7. Other exhaust fans may require replacement contingent on the scope of the Phase 2 Confinement Zone Separation upgrade. This subproject is 97 percent complete.

- **Electrical Upgrades**

  The Distribution Analysis and Power Planning Evaluation and Reporting (DAPPER) software will be used for analysis, calculations, and record drawings for all electrical upgrades. Provisions to incorporate a future facility computer monitoring and limited control system will be provided as part of the Electrical Upgrades.

Figure II-4.2c
Project Data Sheet
(Design & Construction with Advance Appropriation Funding)

8. Project Description, Justification and Scope (Continued)

Exterior Electrical Upgrades: Replace inadequately sized exterior sectionalizing switches, eliminate existing exterior single point failures, modify exterior underground electrical system to allow switching and maintenance functions, upgrade existing controls and correct deficiencies to the existing administration wing, and Wings 1, 3, 4, and 9 substations. This portion of Electrical Upgrades is scheduled for completion 3rd Qtr. FY 1997.

Substations Upgrade: Replace substations in Wings 2, 5, and 7. This portion of Electrical Upgrades is scheduled for completion 2nd Qtr. FY 1997.

Wing Electrical Upgrades: Upgrade the interior low voltage power distribution system for all wings except 2 and 4 in the CMR Building. This includes the replacement of power and lighting panel boards, laboratory power panel boards, bus ways, motor control centers, replacement of all obsolete branch and feeder wiring systems, rewiring of laboratories, and upgrading the emergency and exit lighting systems. This portion of Electrical Upgrades is scheduled for completion 2nd Qtr. FY 1997.

Electrical Upgrades to Support Safe Standby, Wings 2 and 4: Upgrade the interior low voltage power distribution system in Wings 2 and 4, which is necessary for safety systems. This portion of Electrical Upgrades is scheduled for completion 4th Qtr. FY 1998.

Spinal Corridor Cable Tray: Provide a cable tray system in the attic spinal corridor. This portion of Electrical Upgrades was completed 1st Qtr. FY 1996.

Grounding and Lightning Protection: Upgrade the CMR Building grounding and lightning protection systems. This portion of Electrical Upgrades is scheduled for completion 1st Qtr. FY 1997.

Figure II-4.2c
Project Data Sheet
(Design & Construction with Advance Appropriation Funding)

8. Project Description, Justification and Scope (Continued)

- **Stack Monitors Upgrade**

  Provide a stack effluent monitoring system for the CMR Building that is in compliance with DOE and EPA requirements. Each stack will be evaluated to determine the type of monitoring required. Each stack system will be stand alone, consisting of in-line samplers, CAMS, vacuum pumps, and associated tubing, wiring, and signal processing equipment. This upgrade also includes a data collection system from all of the stack CAM's to the CMR operations room and the ES&H operations room. The stack effluent monitoring will be in compliance with 40 CFR 61 and DOE Order 6430.1A. This subproject is currently estimated to be 97 percent complete.

- **Uninterruptable Power Supply (UPS) Installation**

  This Upgrade is in support of the Stack Monitors Upgrade. There will be one UPS supporting the stack monitoring data collection computer systems. The UPS will be capable of providing backup power to the stack effluent monitoring systems for a 4 hour period. This subproject is 99 percent complete.

- **Duct Modification**

  Backdraft Dampers: Provide positive shutoff intake backdraft dampers in the supply air ductwork in Wings 2, 3, 4, 5, 7, and 9. This subproject is 92 percent complete.

  Duct Washdown Upgrade: Upgrade the existing exhaust duct washdown system in Wings 3, 5, and 7. This includes replacement of piping, valves, and spray heads and installation of new flow measurement devices. This portion of the Duct Modifications is scheduled for completion 4th Qtr. FY 1996.

Figure II-4.2c
Project Data Sheet
(Design & Construction with Advance Appropriation Funding)

Figure II-4.2c
Project Data Sheet
(Design & Construction with Advance Appropriation Funding)

8. Project Description, Justification and Scope (Continued)

- **Sanitary Sewer Upgrades**

This subproject was completed 3rd Quarter of FY 1994.

- **Acid Vents and Drains Upgrades**

Aging piping and a lack of gradient in the acid drain system in the basement of the CMR Building has led to corrosion and clogging of the system. This upgrade includes evaluation and documentation of the existing system, prioritization of the system deficiencies, and cost estimates to correct each deficiency for Wings 3, 5, and 7. Construction will include replacement of piping and components including threaded nipples, fittings, valves, flanged fittings, and gaskets with compatible new components. Remaining system replacement will be incorporated in Phase 2. This subproject is scheduled for completion 4th Qtr. FY 1998.

- **Fire Hazard Analysis (Formerly Fire Protection Upgrades)**

A Fire Hazard Analysis (FHA) on the CMR Building will be completed in accordance with DOE Order 5480.7A. A cost benefit analysis will be performed on the results of the FHA and the existing National Fire Protection Act (NFPA) 101 analysis to prioritize deficiencies. Identified required upgrades will be done as part of Phase 2. This subproject was completed during the 2nd Qtr. FY 1996.

Figure II-4.2c
Project Data Sheet
(Design & Construction with Advance Appropriation Funding)

8. Project Description, Justification and Scope (Continued)

- **Safety Analysis Report**

  Perform a complete safety analysis for the CMR Building operations. Activities include analysis, documentation, and review. Complete an Interim Safety Analysis Report (ISAR) to aid in determining the basis for long term upgrades for the CMR Building. Produce a Final Safety Analysis Report (FSAR) to define the safety envelope and the authorization basis for the operation of the CMR Building. The FSAR is to be produced in accordance with DOE Order 5480.23, and related standards for Nuclear Facility Safety Analysis Reports. This was completed 4th Qtr. FY 1995.

- **Engineering Assessments/CDR/EA**

  Engineering Assessment--This project was completed 2nd Qtr. FY 1996.

  Phase 1 funding includes the development of the CDR for those items that have been identified and prioritized as a result of the Interim Safety Analysis Report (ISAR). They are comprised of those upgrade items that are required to extend the operational life of the facility for at least another 20 years based upon safety and compliance for present and future operations. The original CDR was completed during the 3rd Qtr. FY 1995; the Supplemental CDR effort is scheduled for completion 1st Qtr. FY 1997.

  An environmental assessment, including all aspects of Phase 2, has been prepared based upon the conceptual design report. This EA assessed the environmental impact of construction as represented by the Phase 2 scope of work. Approval is scheduled for 2nd Qtr. FY 1997.

Figure II-4.2c
Project Data Sheet
(Design & Construction with Advance Appropriation Funding)

1. Title and Location of Project: CMR Upgrades Project, Los Alamos National Laboratory, Los Alamos, New Mexico (Continued)	2a. Project No.: 95-D-102 2b. Construction Funded

Figure II-4.2c
Project Data Sheet
(Design & Construction with Advance Appropriation Funding)

8. Project Description, Justification and Scope (Continued)

b. CMR Phase 2 Upgrade

The Phase 2 components are needed to maintain infrastructure, improve safety for public and workers, and enhance environmental management.

TEC	Previous	FY 1996	FY 1997	FY 1998	Outyear	Construction Start - Completion Dates
$122,500	$0	$6,140	$10,600	$105,760	$0	2nd Qtr. FY 1997 - 4th Qtr. FY 2002

	Previous	FY 1996	FY 1997	FY 1998	FY 1999
Obligations c/	$0	$6,140	$10,600	$15,100	$90,660

Based upon completion of the CDR for the Phase 2 and 3 scope, the TEC for this phase is increased from $85,000,000 to $122,500,000. The construction start date changed from 2nd Qtr. FY 1996 to 2nd Qtr. FY 1997 and the end date changed from 4th Qtr. FY 2003 to 4th Qtr. FY 2002. (Phase 3 scope, cost, and schedule are contingent upon future programmatic requirements based upon the results of the Programmatic Environmental Impact Statement (PEIS) and Site Wide Environmental Impact Statement (SWEIS). Therefore, no funds are requested for Phase 3.

c/ This obligation profile is added as an explanation of the proposed obligations for this subproject, based on the new full funding initiative. Item 7, Financial Schedule, does not show obligations for individual subprojects.

Figure II-4.2c
Project Data Sheet
(Design & Construction with Advance Appropriation Funding)

1. Title and Location of Project: CMR Upgrades Project, Los Alamos National Laboratory, Los Alamos, New Mexico (Continued)	2a. Project No.: 95-D-102 2b. Construction Funded

Figure II-4.2c
Project Data Sheet
(Design & Construction with Advance Appropriation Funding)

8. Project Description, Justification and Scope (Continued)

The FY 1998 funds will be used to complete Phase 2 activities.

The additional long term upgrades developed by the Phase 2 CDR process are:

- **Seismic and Tertiary Confinement (Wings 3, 5, 7, and 9)**

  Structural strengthening to meet the seismic criteria for hazard Category 2 operations. Modification of the existing exterior structural openings in these wings to create a tertiary confinement barrier. Structural strengthening of the Administration Wing (which houses the Operations Center) to meet the seismic criteria for worker safety. Hardening of building openings to security requirements which are also being modified for tertiary confinements. These openings include doors, windows, louvers, etc.

- **Ventilation and Confinement Zone Separation (Wings 3, 5, 7, and 9)**

  Renovate the mechanical systems and the related control systems to replace components that are near the end of their useful lives and to improve confinement zone separation throughout each Wing. Architecturally modifying Wings 3, 5, and 7 to create a secondary confinement barrier. Providing an alarm for each enclosure to alert workers when the mechanical systems are not operating according to safety standards for the facility. Providing a central, chilled water plant to support the mechanical systems' renovations to the building.

Figure II-4.2c
Project Data Sheet
(Design & Construction with Advance Appropriation Funding)

8. Project Description, Justification and Scope (Continued)

- **Standby Power** (Wings 3, 5, 7, and 9)

  Provide standby electrical power to operate the most important mechanical systems at a reduced level sufficient to maintain negative pressure in the laboratory enclosures. This will reduce possibility of spread of contamination due to the loss of offsite power to the ventilation system.

- Communications (Wings 3, 5, 7, and 9)

  Improve emergency communications systems thereby improving worker safety.

- **Wing 1 (HVAC) Upgrades/Wing 1 Interim Decontamination**

  Decontaminate the unoccupied, contaminated laboratories in Wing 1, modifying the HVAC exterior intake and exhaust locations for Wing 1 to improve worker health and safety.

- **Operations Center** (Administration Wing)

  Improve the ergonomics and reliability of the building's central monitoring and control capabilities. Install transfer capability and wiring from the standby power generator to the CMR Operation Center to support all functions or systems required to recover the facility after significant accidents.

Figure II-4.2c
Project Data Sheet
(Design & Construction with Advance Appropriation Funding)

8. Project Description, Justification and Scope (Continued)

- **Process Chilled Water (Wings 3, 5, and 7)**

  Replace the 2 existing 40 year old evaporative coolers in each Wing with a single refrigeration unit to provide chilled water for process equipment. Also, replace the existing 40 year old process chilled water piping system with a new piping system.

- **Main Vault**

  CAMs - Install new Canberra CAMs in the vault, ASM 2000 controllers in the anteroom, and incorporate remote monitoring (similar to Wing CAM systems) to the ES&H office. This upgrade would utilize the generic design established for the Wing CAMs.

- **Acid Vents and Drains (Wings 3, 5, and 7)**

  Correct deficiencies not covered in Phase 1 upgrades (Phase 1 addresses major leaks and flanges). Correct area with inadequate slope, replace branches and risers to laboratories as required, and upgrade the ventilation of the system.

- **Fire Protection Upgrades (Entire Facility)**

  Correct fire protection system deficiencies as identified in the 1992 NFPA 101 analysis, and the Fire Hazard Analysis (to be completed in Phase 1). Deficiencies will be prioritized in a cost benefit analysis which will be completed in Phase 1. Examples of current identified deficiencies are: Add check valves in fire protection risers, add backflow preventors in the sprinkler system, provide fire dampers in duct penetrations, replace fire alarm panels.

Figure II-4.2c
Project Data Sheet
(Design & Construction with Advance Appropriation Funding)

1. Title and Location of Project: CMR Upgrades Project, Los Alamos National Laboratory, Los Alamos, New Mexico (Continued)	2a. Project No.: 95-D-102 2b. Construction Funded

Figure II-4.2c
Project Data Sheet
(Design & Construction with Advance Appropriation Funding)

8. Project Description, Justification and Scope (Continued)

- **Exhaust Duct Washdown Recycling System (Wings 3, 5, and 7)**

  This recycling system will significantly reduce the waste stream from the facility. The reduction in the waste stream will reduce the demands on the current waste treatment plant.

- **Wings 2 and 4 Safe Standby**

  This upgrade includes the costs necessary to establish a safe standby condition for Wings 2 and 4 pending future programmatic use. Included are identification of safety systems required for safe standby deactivation/decontamination of abandoned systems and gloveboxes, removal of all radioactive materials and chemicals, and removal or stabilization of all loose contamination.

- **ES&H Support Activities**

  Additional enhanced ES&H support activities based on the lessons learned from Phase 1 are being incorporated. These efforts include waste management, waste minimization, ES&H support, risk analysis, and ES&H equipment including personnel protective equipment.

c. CMR Phase 3 Upgrades

Phase 3 scope, cost, and schedule are contingent upon future programmatic requirements based upon the results of the Programmatic Environmental Impact Statement (PEIS) and Site Wide Environmental Impact Statement (SWEIS). Therefore,

8. Project Description, Justification and Scope (Continued)

no funds are requested for Phase 3 in FY 1998 and no specific funding has been allocated for the upgrade in the Departments' Five-Year Plan.

Figure II-4.2c
Project Data Sheet
(Design & Construction with Advance Appropriation Funding)

9. Detail of Cost Estimate

	Item Cost	Total Cost
a. Design Phase		$ 43,667
1. Preliminary and Final Design costs (Design Drawings and Specifications - $5,591)	$ 33,667	
2. Design Management costs @ 29.7% of (a.(1))	10,000	
3. Project Management costs @ ____% of (a.(1))		
b. Construction Phase		111,814
1. Land and Land Rights	0	
2. Improvements to Land	0	
3. Buildings	77,640	
4. Special Equipment	4,174	
5. Other structures	0	
6. Utilities	0	
7. Standard Equipment	0	
8. Major computer items	0	
9. Removal cost less salvage	0	
10. Inspection,design and project liaison, testing, checkout and acceptance	10,000	
11. Construction Management @ 21.8% of (b(1) through b(10))	20,000	
12. Project Management @ ____% of (b(1) through b(10))		
c. Contingencies at approximately 12 percent of above costs		18,619
1. Design Phase	8,619	
2. Construction Phase	10,000	
d. Total line item cost (Section 11.a.1.(f))		$174,100
e. LESS: Non-Agency contribution (Define in Section 12)		0
f. Total Agency Requirement (TEC)		$174,100

Figure II-4.2c
Project Data Sheet
(Design & Construction with Advance Appropriation Funding)

10. Method of Performance

Procurement will be accomplished under fixed-price subcontracts awarded on the basis of competitive bidding. Consideration will be given to cost-plus-fixed fee on decontamination and refurbishment work on the CMR. Upgrades construction will be done by fixed price contractors and the Laboratory's support services subcontractor. The operating contractor and contracted Architect-Engineers will perform construction inspection.

Figure II-4.2c
Project Data Sheet
(Design & Construction with Advance Appropriation Funding)

11. Schedule of Project Funding and Other Related Funding Requirements

	Prior Years	FY 1999	FY 2000	FY 2001	Outyears	Total
a. Total project costs (Agency Requirements)						
1.. Total facility costs						
(a) Design (Section 9.a & Section 9.c.1)	$ 52,286	$ 0	$ 0	$ 0	$ 0	$ 52,286
(b) Construction (Section 9.b & Section 9.c.2)	$ 91,800	$ 13,000	$ 6,800	$ 6,000	$ 4,214	$ 121,814
(c) Plant, Engineering and Design (PE&D)	0	0	0	0	0	0
(d) Operating expense funded equipment ...	0	0	0	0	0	0
(e) Inventories	0	0	0	0	0	0
(f) Total facility costs (Federal and Non-Federal)	$144,086	$ 13,000	$ 6,800	$ 6,000	$ 4,214	$ 174,100
2. Other project costs						
(a) R&D necessary to complete project	$ 0	$ 0	$ 0	$ 0	$ 0	$ 0
(b) Conceptual design costs	0	0	0	0	0	0
(c) Decontamination & Decommissioning (D&D)	0	0	0	0	0	0
(d) NEPA documentation costs	0	0	0	0	0	0

Figure II-4.2c
Project Data Sheet
(Design & Construction with Advance Appropriation Funding)

(e) Other ES&H costs	0	0	0	0	0	0
(f) Other project related costs (Define in Section 12)	14,468	5,000	10,000	10,000	10,067	49,535
(g) Total other project costs	$ 14,468	$ 5,000	$ 10,000	$ 10,000	$ 10,067	$ 49,535
(h) Total project costs	$158,554	$ 18,000	$ 16,800	$ 16,000	$ 14,281	$ 223,635
3. LESS Non-Agency contribution (Define Federal vs Non-Federal)	0	0	0	0	0	0
(a) Agency total project costs (TPC)	$158,554	$ 18,000	$ 16,800	$ 16,000	$ 14,281	$ 223,635

11. Schedule of Project Funding and Other Related Funding Requirements (continued)

b. Related Lifecycle costs (estimated life of project--40 years; FY 1995 $)

1. Annual facility operating costs	$ 10,000
2. Annual facility maintenance/repair costs	2,500
3. Annual programmatic operating expenses related to the facility	30,000
4. Capital equipment not related to construction but related to programmatic effort in the facility	1,000
5. GPP or other construction related to the programmatic effort in the facility	1,000
6. Utility costs	2,450
7. Other Annual Costs (define in Section 12)	0
Total related lifecycle costs	$ 46,950

Figure II-4.2c
Project Data Sheet
(Design & Construction with Advance Appropriation Funding)

12. Narrative Explanation of Total Project Funding and Other Related Funding Requirements

a. Total project funding
1. Total facility costs
(a) Design -- Narrative not required.
(b) Construction -- Narrative not required.
(c) PE&D -- None.
(d) Operating expense funded equipment -- Narrative not required.
(e) Inventories -- None.
(f) Total facility cost (Federal and Non-Federal) -- Narrative not required.
2. Other project costs
(a) R&D necessary to complete construction -- No research and development is necessary to establish the specific design and construction features.
(b) Conceptual design -- None. Phase 1 line item. d/
(c) Decontamination and Decommissioning (D&D) -- None.
(d) NEPA documentation -- None. Phase 1 line item costs include NEPA documentation costs.
(e) Other ES&H costs -- None. Phase 1 line item.
(f) Other project related costs -- Operational testing and acceptance, including the Operational Readiness Review has been allowed on selected major system upgrades. Training materials, programs, and test/certification will be updated to reflect the change in site operations resulting from selected systems upgrades becoming operational. See also paragraph 17, Environmental Impacts, below.
(g) Total other project costs -- Narrative not required.
(h) Total project costs -- Narrative not required..
3. Non-Federal contribution -- None.
(a) Net Federal Total Project Cost -- Narrative not required.

d/ CDR and Environmental Assessment costs are carried as part of the Phase 1 Engineering Assessment/Phase 2 Planning Activities and are broken out for clarity.

Figure II-4.2c
Project Data Sheet
(Design & Construction with Advance Appropriation Funding)

Figure II-4.2c
Project Data Sheet
(Design & Construction with Advance Appropriation Funding)

12. Narrative Explanation of Total Project Funding and Other Related Funding Requirements (continued)

b. Related annual costs
1. Facility operating costs -- The CMR facility were estimated from the FY 1995 budget requirements for CMR operations.
2. Facility maintenance and repair costs -- These are based upon current budget requirements for CMR maintenance.
3. Programmatic operating expenses directly related to the facility -- The programmatic effort which relies upon the direct and primary use of the CMR facilities was established at the FY 1992 level-of-effort based on the unique capabilities of handling radioactive materials. This assumes a constant level-of-effort in these programs.
4. Capital equipment requirements for programmatic support were estimated at $1,000,000/year based upon recent trends in CMR programmatic needs.
5. GPP or other construction related to programmatic effort -- These are anticipated to be approximately $1,000,000/year based upon current CMR programmatic needs.
6. Utility costs -- These are estimated at $2,450,000/year based upon current trends in CMR operations.
7. Other costs -- None anticipated.

13. Design and Construction of Federal Facilities

The total estimated cost of this project includes, where appropriate, the cost of measures necessary to assure compliance with OMB Circular No. A-106, and Executive Order No. 12088, "Federal Compliance with Pollution Control Standards"; Section 19 of the Occupational Safety and Health Act of 1970, the provisions of Executive Order No. 12196, and the related Safety and Health provisions for Federal Employees (CFR Title 29, Chapter XVII, Part 1960); and the Architectural Barriers Act of 1968." The project will be located in an area not subject to flooding determined in accordance with Executive Order 11988.

Figure II-4.2c
Project Data Sheet
(Design & Construction with Advance Appropriation Funding)

U. S. DEPARTMENT OF ENERGY

Site Name:(Laboratory, Plant, or other Installation) Landlord Program:_____

Contact Person:_____Phone:_____FAX:_____E-mail:_____

Field Office:_____

FY 19BY FIELD BUDGET REQUEST

GENERAL PLANT (or ACCELERATOR IMPROVEMENT) PROJECTS

I. Summary

HQ Program Office B&R	FY xxPY		FY xxCY		FY xxBY	
	Obligations	Costs	Obligations	Costs	Obligations	Costs
B&R #1						
B&R #2						
Subtotal HQ Program Office #1						
...						
B&R #n						
Subtotal HQ Program Office #n						
Landlord funded GPP B&R						
Total, Site						

Site Name:(Laboratory, plant, or other installation) Landlord Program:_____ GPP (or AIP) (Continued)

Figure II-4.3

General Plant or Accelerator Improvement Projects

II. Narrative Description of GPP's (or AIP's) by fiscal year and funding B&R.

FY__ Description of GPP (or AIP)	Funding B&R	Obligation Profile for B&R	Cost Profile for B&R
1. 2. . . . . n.	B&R #1	PY_____ CY_____ BY_____	PY_____ CY_____ BY_____
FY__ Description of GPP (or AIP)	Funding B&R	Obligation Profile for B&R	Cost Profile for B&R
1. 2. . . . . n.	B&R #2	PY_____ CY_____ BY_____	PY_____ CY_____ BY_____

Figure II-4.3

General Plant or Accelerator Improvement Projects

CHAPTER III

SUPPLEMENTARY JUSTIFICATION MATERIALS

1. **INTRODUCTION** In addition to the primary justification in Chapter II, each laboratory, facility and contractor shall prepare and submit the supplementary justification material exhibits described in this chapter, as appropriate. Copies of this material shall be provided to the Headquarters Organizations as indicated in Attachment D of the Field Budget Call guidance. Questions on supplementary requirements should be directed to the point of contacts specified below:

SUPPLEMENTAL JUSTIFICATION MATERIALS	COMPLETED BY:		POINT OF CONTACT	
	M&O	Ops/FO	NAME	PHONE
Uncosted Obligations	X	X	Dean Childs	301-903-2560
Motor Vehicle Statement	X	X	Mark Napoli	202-586-8256
Reimbursable Work	X	X	Patricia Lach	301-903-2906
Cost of Work for Others	X	X	Any Gray	202-586-4511
Aircraft Statement	X	X	Robert Jones	301-903-5323
Excess Facilities Management	X	X	Andy Szilagyi	301-903-4278
Isotopes Inventory Transactions	X	X	John Pantaleo	301-903-2525
Planned Acquisition of Capital Assets	X	X	Peter Devlin	202-586-4905
Financial Management Activities		X	Sarah Diagne	301-903-5248
Landlord	X	X	David Bugg	202-586-4715
Indirect Costs			Jon Mathis	202-586-4909

2. **UNCOSTED OBLIGATIONS** reporting shall be performed at the close of each fiscal year. Guidance on reporting procedures is contained in the "Policy for Review of Uncosted Balances" which is updated and issued annually by the Office of Chief Financial Officer.

3. **MOTOR VEHICLE STATEMENT FOR FYBY**.The motor vehicle statement (MVS), prepared for the budget year only, provides information relating to the cost of purchase and the leasing of motor vehicles from the General Services Administration motor vehicles. The MVS includes Departmental data regarding the projected compliance with the Energy Policy Act of 1992 (EPACT) which requires that 75 % of the Department's vehicle acquisitions each fiscal year must be alternatively fueled vehicles . Each oversight organization purchasing Government vehicles or using Government funds for the term for hire (leasing) of motor vehicles (60 consecutive days or more) must prepare a MVS for each appropriation and program within an appropriation. Each oversight organization is responsible for gathering these MVSs from all contractors or subsidiary Federal sites under its purview. See FIGURE I for the format of the MVS.

The number of passenger vehicles (sedans, station wagons, ambulances, and buses) to be acquired is dependant on the number authorized by specific Congressional approval in the enacted appropriation language. The price which may be paid for sedans and station wagons should not exceed the current statutory limitation. However, police-type and special heavy-duty vehicles may exceed the current statutory limitation up to a specified amount. Existing statutory limitations can be confirmed with the Office of Contract and Resource Management (HR-53).

Estimates to be included in the MVS format shall be indicated for the following types of motor vehicles:

a. Motor Vehicles:

(1) Passenger Vehicles:

(a) Sedans, including police-type;
(b) Station wagons, including police-type;
(c) Ambulances; and
(d) Buses.

(2). Trucks:

(a) Light capacity under 8,500 lbs gross vehicle weight, 4x2;
(b) Light capacity under 8,500 lbs gross vehicle weight, 4x4;
(c) Medium capacity 8,500 to 23,999 lbs gross vehicle weight; and
(d) Heavy capacity 24,000 lbs gross vehicle weight and over.

(3) Special Purpose Vehicles. Includes trucks with permanently mounted equipment, such as mobile cranes, air compressors, wreckers, fire trucks, line service and special tank trucks, motor scooters, electric and hybrid powered vehicles, and military vehicles described in FPMR 101-38.001-4.

(4) Trailers. Includes trailers and semi-trailers, but does not include truck tractors which should be included under trucks.

The number of police-type vehicles to be acquired as additions and/or replacements should be included within the appropriate vehicle type and identified with a footnote on the statement.

Vehicles to be purchased in the budget year must be identified in columns 2 through 6. In the case of passenger vehicles, the term "purchased" includes transfers from other agencies, with or without reimbursement.

Figure I, explanation of terms in heading and columns:

MVS Heading Information:

"Site/Organization" - Display the site name (e.g., Yucca Mountain, or Strategic Petroleum Reserve, or METC, etc.)

"Oversight Organization" - Display the name of the Headquarters oversight organization (e.g., Assistant Secretary for Fossil Energy, or Director, Office of Civilian Radioactive Waste Management, etc.). Note that the Power Administrations are treated as Headquarters organizations for purposes of this requirement.

"Appropriation/Program" - Display the name of the appropriation (e.g., Fossil Energy Supply or Nuclear Waste Disposal Fund, etc.) and the program (e.g., Advanced clean fuels research, or program direction, etc.). Note that the "program" is a Base Table line item.

Definitions of columns in the MVS:

Column (1) "Type" - Preprinted, vehicle types, defined above.

Columns (2) through (6) display information on purchases of vehicles using DOE appropriated funds:

Column (2) "Addns" - the number of vehicles purchased that increase the vehicle fleet.

Column (3) "Replmt" - the number of vehicles purchased that are replacements for other vehicles but do not increase the number in the vehicle fleet.

Column (4) "Total No. Vehicles" - the sum of columns (2) and (3).

Column (5) “Total Funding” - the amount of funding (in whole dollars) needed to purchase the number of vehicles in column (4).

Column (6) “AFV Vehicles” - The number of alternative fueled vehicles, as defined in the Energy Policy Act of 1992, being purchased. This number should be equal to or less than the total in column (4).

Column (7) “AFV Funding” - The dollar amounts for purchase of alternative fueled vehicles, as defined in the Energy Policy Act of 1992.

Columns (8) through (13) display information on the number of vehicles being leased from the GSA - Interagency FleetManagement System (IFMS) using DOE appropriated funds:

Column (8) “Addns” - the number of vehicles leased from the IFMS that increase the vehicle fleet.

Column (9) “Replmt” - the number of vehicles leased from the IFMS that are replacements for other vehicles but do not increase the number in the vehicle fleet.

Column (10) “Total No. Vehicles” - the sum of columns (8) and (9).

Column (11) “Total Funding” - the amount of funding (in whole dollars) needed to lease from the IFMS the number of vehicles in column (10).

Column (12) “AFV Vehicles” - The number of alternative fueled vehicles, as defined in the Energy Policy Act of 1992, being leased from the IMFS that are additions or replacements in this budget year. This number should be equal to or less than the total in column (10).

Column (13) “AFV Funding” - The dollar amounts for alternative fueled vehicles, as defined in the Energy Policy Act of 1992, being leased from the IFMS that are additions or replacements in this budget year. This number should be equal to or less than the total in column (10).

The original MVSs should be submitted to the Office of Contractor Resource Management (HR-53), one copy to the Office of Budget, Budget Operations Division, CR-13, and one copy to each Headquarters program office providing funding for vehicles..

FYBY FIELD BUDGET REQUEST
MOTOR VEHICLE STATEMENT

Site/Organization:_____
Oversight Organization:_____
Appropriation Program: _____

	DOE PURCHASES						GSA-IFMS					
Type (1)	Addns (2)	Replmt (3)	TotalNo. Vehicles (4)	Total Funding (5)	AFV Vehicle (6)	AFV Funding (7)	Addns (8)	Replmt (9)	Total No. Vehicles (10)	Total Funding (11)	AFV Vehicle (12)	AFV Funding (12)
Passenger Vehicles:												
Sedans			0									
Station Wagons			0									
Ambulances			0									
Buses			0									
Subtotal, Pass. Vehicles	0	0	0	0	0		0	0	0	0	0	
Trucks:												
Light Trucks 4x2			0									
Light Trucks 4x4			0									
Medium Trucks			0									
Subtotal, Trucks	0	0	0	0	0		0	0	0	0	0	
Special Purpose Vehicles			0						0			
Trailers			0						0			
TOTAL	0	0	0	0	0		0	0	0	0	0	

1/ Number of "Total" which are Alternatively-Fueled. (AFV = Alternative Fuel Vehicle)

4. REIMBURSABLE WORK - FEDERAL AND NON-FEDERAL

a. Reimbursable work is defined as any work or service performed by DOE and DOE contractors for either a Federal or non-Federal customer which is part of the customer's mission responsibility and for which the Department does not receive direct appropriated funds from Congress. Reimbursable work is financed through funds provided by Federal customers or from cash advances received from non-Federal customers.

b. Reimbursable Work for Other Federal Agencies.

(1) Figure III-4.1 provides additional information for limitation .93 reimbursements, Reimbursable Work for Other Federal Agencies, which is necessary to comply with OMB Circular No. A-11 requirements.

(2) This schedule should be formatted as shown in the figure. Estimates for total obligation authority should be provided on one schedule for FYPY, FYCY, and FYBY.

(3) Except for the power marketing appropriations, Reimbursable Work for Other Federal Agencies will be identified in two separate appropriations: 89X0240, Weapons Activities, for work with Department of Defense agencies; and 89X0224, Energy Supply Research and Development Activities, for work with all agencies other than the Department of Defense.

(4) Reimbursable work for the power marketing appropriations will be identified against the appropriate power marketing account.

(5) Budget and Reporting Classification 40 has been designated for Reimbursable Work for Other Federal Agencies. For each B&R line on the reimbursable schedule, a brief narrative should be added which describes the nature of work along with associated funding levels for each of the three years provided in the budget. Separate statements should be provided when more than one major work activity is performed under a single B&R line.

(6) Unobligated budget authority for Reimbursable Work for Other Federal Agencies normally expires at the end of each fiscal year. When determining obligation requirements for each fiscal year, care should be taken to assure that sufficient budget authority is requested to fund all obligations expected to be incurred in that fiscal year; i.e., if the terms of any unobligated reimbursable agreements at year-end are such that they will still be available for obligation in the next fiscal year, requests for total obligation authority should include amounts for these carryover reimbursable agreements as well as for anticipated new agreements.

(7) In addition to providing contractor estimates by Budget and Reporting Classification, the grand total for each contractor must be provided for total program 40 at the end of the schedule for each appropriation.

c. Reimbursable Work for Non-Federal Entities (not including Third Party Receipts from Technology Transfer Activities included in d., below).

(1) Figure III-4.2 provides additional information for limitation .92 reimbursements, Reimbursable Work for Non-Federal Entities, which is necessary to comply with OMB Circular A-11 requirements.

(2) This schedule should be formatted as shown in the exhibit. Estimates for total obligation authority should be provided on one schedule for FYPY, FYCY, and FYBY.

(3) Except for the power marketing appropriations, Reimbursable Work for Non-Federal Entities will be identified in two separate appropriations: 89X0240, Weapons Activities, for work with Department of Defense agencies; and 89X0224, Energy Supply Research and Development Activities, for work with agencies other than the Department of Defense. Non-Federal reimbursable work for the power marketing appropriations will be identified against the appropriate power marketing account.

(4) Cash advances are required for all non-Federal reimbursable work except as indicated in DOE Accounting Handbook Chapter 13, "Reimbursable Work, Revenues, and Other Collections."

(5) Budget and Reporting Classification 60 has been designated for Reimbursable Work for Non-Federal Entities. For any anticipated Non-Federal reimbursable work, the schedule should provide the name of the Non-Federal entity, a description of the work to be performed, and a related dollar amount for each of the three years provided in the budget.

(6) In addition to providing contractor estimates by Budget and Reporting Classification, the grand total for each contractor must be provided for total program 60 at the end of the schedule for each appropriation.

d. Third-Party Receipts from Technology Transfer Activities.

(1) Figure III-4.3 provides additional information for limitation .95 reimbursements, Third-Party Receipts from Technology Transfer Activities, which is necessary to comply with OMB Circular A-11 requirements.

(2) This schedule should be formatted as shown in the figure. Estimates for total obligation authority should be provided on one schedule for FYPY, FYCY, and FYBY.

(3) Third-Party Receipts from Technology Transfer Activities are identified in two separate appropriations: 89X0240, Weapons Activities, for work with Department of Defense agencies; and 89X0224, Energy Supply Research and Development Activities, for work with all agencies other than the Department of Defense.

(4) Cash advances are required except as indicated in DOE Accounting Handbook Chapter 13, "Reimbursable Work, Revenues, and Other Collections."

(5) Budget and Reporting Classification 65 has been designated for Third-Party Receipts from Technology Transfer Activities. The schedule should provide the name of the other party, a description of the work to be performed, and the related dollar amount for each of the three years provided in the budget.

(6) In addition to providing contractor estimates by Budget and Reporting Classification, the grand total for each contractor must be provided for total program 65 at the end of the schedule for each appropriation.

e. The amounts included for the FYCY estimates will be used as the basis for issuing the initial FYCY approved funding program for reimbursable work. These estimates should not exceed the approved overall level for non-DOE funded work at a particular facility that has been established by the cognizant program at Headquarters as provided for in DOE 4300.2C.

DEPARTMENT OF ENERGY
FYBY FIELD BUDGET
REIMBURSABLE WORK FOR OTHER FEDERAL AGENCIES
(in thousands of dollars)

(Appropriation Symbol and Title)
(Organizational Component)

B&R Contractor Designation and Description	FYPY Estimate Direct Cost[1]	FYPY Estimate Indirect[3] Added Factor[2]	FYCY Estimate Direct Cost[1]	FYCY Estimate Indirect[3] Added Factor[2]	FYBY Estimate Direct Cost[1]	FYBY Estimate Indirect[3] Added Factor[2]
40-04 Research and Development:						
01 Department of Agriculture						
Jones National Laboratory - (for design and construction of new spectrometer to conduct electron spin echo experiments).	$ 600	19	$ 700	22	$ 800	26
Smith National Laboratory - (to conduct studies on structure and assembly of reaction center of photosystem 2)	1,000	32	$1,000	32	1,000	32
Total 40-04-01	$1,600	51	$1,700	54	$1,800	
02 Department of Commerce						
Jones National Laboratory - (for tracer experiment to validate long-range atmospheric transports)	$ 250	8	$ 400	13	$ 500	16
Total 40-04-02	$ 250	8	$ 400	13	$ 500	16
XX List all appropriate B&Rs by contractor with description.						
TOTAL by B&R	**$2,850**	**59**	**$3,200**	**67**	**$3,400**	**74**
Contractor Totals						
Jones National Laboratory	$ 850	27	$1,100	35	$1,300	
Smith National Laboratory	$2,000	32	$2,100	32	$2,100	32
TOTAL by Contractor	**$2,850**	**59**	**$3,200**	**67**	**$3,400**	**74**

[1] Direct Cost is equal to Reimbursable Work Authority.
[2] Added Factor is to be based on the Departmental Rate, plus any office variable, taken against the direct costs to be incurred within the fiscal year.
[3] All waivers are to be specifically identified and added factor rates appropriately footnoted.

Figure III-4.1
Reimbursable Work for Other Agencies

DEPARTMENT OF ENERGY
FYBY FIELD BUDGET
REIMBURSABLE WORK FOR NON-FEDERAL ENTITIES
(in thousands of dollars)

(Appropriation Symbol and Title)
(Organizational Component)

B&R Contractor Designation and Description	FYPY Estimate Direct Cost[1]	FYPY Estimate Indirect Cost[4] Added Factor[2]	FYPY Estimate Indirect Cost[4] Depreciation[3]	FYCY Estimate Direct Cost[1]	FYCY Estimate Indirect Cost[4] Added Factor[2]	FYCY Estimate Indirect Cost[4] Depreciation[3]	FYBY Estimate Direct Cost[1]	FYBY Estimate Indirect Cost[4] Added Factor[2]	FYBY Estimate Indirect Cost[4] Depreciation[3]
60-00									
Jones National Laboratory									
State of California - to analyze test results related to clean air studies	$4,000	680	260	$5,000	850	325	$5,000	850	325
Smith National Laboratory									
XYZ Corporation - to conduct an aerial survey of corporation's oil refineries	500	85	33	0	0	0	0	0	0
XX-xx List all appropriate B&Rs by contractor with description.									
TOTAL by B&R	**$4,500**	**765**	**295**	**$5,000**	**850**	**325**	**$5,000**	**850**	**325**
Contractor Totals									
Jones National Laboratory	$4,000	680	260	$5,000	850	325	$5,000	850	325
Smith National Laboratory	$ 500	85	33	0	0	0	0	0	0
TOTAL by Contractor	**$4,500**	**765**	**293**	**$5,000**	**850**	**325**	**$5,000**	**850**	**325**

[1] Direct Cost is equal to Reimbursable Work Authority.
[2] Added Factor is to be based on the Departmental Rate, plus any operations/field office rate, applied to the direct costs to be incurred within the fiscal year.
[3] Depreciated rates are site specific and applied to the direct costs.
[4] All waivers are to be specifically identified and added factor and depreciation rates appropriately footnoted.

Figure III-4.2
Reimbursable Work for Non-Federal Entities

DEPARTMENT OF ENERGY
FYBY FIELD BUDGET
THIRD-PARTY RECEIPTS FROM TECHNOLOGY TRANSFER ACTIVITIES
(in thousands of dollars)

(Appropriation Symbol and Title)
(Organizational Component)

	FYPY Estimate			FYCY Estimate			FYBY Estimate		
		Indirect Cost[4]			Indirect Cost[4]			Indirect Cost[4]	
B&R Contractor Designation and Description	Direct Cost[1]	Added Factor[2]	Depreciation[3]	Direct Cost[1]	Added Factor[2]	Depreciation[3]	Direct Cost[1]	Added Factor[2]	Depreciation[3]
65-00									
Smith National Laboratory									
Customer X - Description of activity	$4,000	680	260	$5,000	850	325	$5,000	850	325
Jones National Laboratory									
Customer Y -	500	85	33	0	0	0	0	0	0
Jones National Laboratory									
Customer Z -	200	34	13	300	51	20	400	68	26
XX-xx List all appropriate B&Rs by contractor with description.									
TOTAL, Third Party Receipts from Technology Transfer Activities	**$4,700**	**799**	**306**	**$5,300**	**901**	**345**	**$5,400**	**918**	**351**
Contractor Totals									
Smith National Laboratory	$4,000	680	260	$5,000	850	325	$5,000	850	325
Jones National Laboratory	$ 700	119	46	$ 300	51	20	$ 400	68	26
TOTAL by Contractor	**$4,700**	**799**	**306**	**$5,300**	**901**	**345**	**$5,400**	**918**	**351**

[1] Direct Cost is equal to Reimbursable Work Authority.
[2] Added Factor is to be based on the Departmental Rate, plus any operations/field office rate, applied to the direct costs to be incurred within the fiscal year.
[3] Depreciated rates are site specific and applied to the direct costs.
[4] Activities for which the Departmental added factor and depreciation charges are considered part of DOE's contribution to agreements pursuant to the National Competitiveness Technology Transfer Act of 1989 are to be specifically identified and added factor and depreciation rates appropriately footnoted.

Figure III-4.3
Third-Party Receipts from Technology Transfer Activities

5. COST OF WORK FOR OTHERS AND REVENUES

a. These schedules (see Figures III-5.1, III-5.2 and III-5.3) provide the basic input data required to formulate the FYBY budget submission for the Cost of Work for Others and Revenue Programs. **These programs differ from the Reimbursable program to the extent that participants in the Cost of Work for Others program are prohibited by law from making advance payments. For this reason the Department seeks appropriated funds from Congress.** Charges to this program are for products sold or services performed for non-DOE users which will ultimately reimburse DOE for all appropriate costs incurred. These charges are not to exceed the associated revenues to be received over the life of the project or activity. All costs should be in compliance with DOE Order 2110.1A, Pricing of Departmental Materials and Services. A separate schedule should be prepared for Cost of Work and Revenues. Additionally, schedules should be submitted by individual DOE Operations Offices and M&O contractors, as appropriate. **A copy of all budget submissions for this program should be forwarded to the Conservation, Administration and Regulation Team, CR-14, in the Office of Budget.**

(1) Column (1) should show the Budget and Reporting (B&R) classification.

(2) Column (2) should identify all Cost of Work for Others, or Revenues, as appropriate, to the lowest possible B&R classification and contractors involved.

(3) Column (3) should show the FYPY latest estimate.

(4) Column (4) should show original FYBY budget request as submitted in the previous Field Budget submission.

(5) Column (5) should show the latest revised FYCY budget estimates.

(6) All revised estimates for FYCY should be explained (in bullet format) as changes from the FYCY President's Budget to FYCY Revised Request. (See Narrative Justification)

(7) Column (6) represents the FYBY estimate. Estimates are to be fully explained and justified (in bullet format) in the Narrative Justification.

(8) Column (7) should show the Assistant Secretary and appropriate program associated with the particular activity.

(9) For the Revenue schedule, the sub-headings below columns 3 thru 6 should reflect revenues collected (revenues expected to be collected and deposited in the special fund). If any collections should carry forth into the next fiscal year this should be explained in the Narrative Justification.

(10) For the Revenue schedule, show separately amounts for added factor and depreciation for each line item. For budget estimating purposes, the rate used to calculate added factor should be the most current rate issued by the CFO, (CR-1) at the time field estimates are prepared. The rate used should be indicated on submission schedules. Exceptions to the collection of the added factor and/or depreciation require the prior approval of the CFO.

(11) Narrative Justification:

(a) Summary of Changes from FYCY President's Budget to FYCY Revised Request;

(b) Summary of Changes from FYCY Revised Request to FYBY Request; and

(c) Explanation of the FYBY Estimates.

DEPARTMENT OF ENERGY
FYBY FIELD BUDGET REQUEST
COST OF WORK FOR OTHERS

Budget Contact: _____
DOE Field Office: Kansas City DOE Field Office
Lab/Facility: Lawrence National Laboratory

(Dollars in thousands)

B&R	Activity	FYPY Latest Estimate	FYCY President's Budget	FYBY Request (Direct) Cost	Assistant Secretary & Program	Agreement Number
WN-01	Products Sold:					
0102	Nuclear Reactor Material:	$ 3,033	$--	$--		
	- Heavy Water	4,773	5,367	5,367	DP-XXX	
0103	Radioisotopes	2,694	2,682	1,685	ER-XXX	
0104	Stable Isotopes					
0105	Handling Charges:					
	- Radioisotopes	208	230	230	ER-XXX	
	- Stable Isotopes	76	83	83	ER-XXX	
0119	Miscellaneous Products:					
	- United Kingdom	3600	2,000	1,000	CE-XXX	
Subtotal,	Products Sold	$14, 384	$10,362	$8,108		
WN-02	Services Performed:					
0202	Use of DOE-owned Facilities and Equipment:					
	- SERI	$--	$ 1,404	$2,000	CE-XXX	
	- University of California	3,000	3,200	3,200	ER-XXX	
0203	Irradiation Services and Test Reactor Experiments:					
	- General Electric	1,010	1,200	1,200	DP-XXX	
	- Ontario Hydro	290	--	--	DP-XXX	
0205	Security Investigations	6	6	6		
0206	Special Services and Fabrication:					
	- EPRI	500	600	600	NE-XXX	
	- Gas Research Institute	485	176	478	NE-XXX	
0207	Research for Production of Public Health and Safety:					
0219	Miscellaneous Services:					
	- REECO	2,037	1,129	2,200	DP-XXX	
	- Hot Dry Rock					
	--Germany	2,500	2,500	2,286	CE-XXX	
	- University of Tokyo	600	900	900	ER-XXX	
Subtotal,	Services Performed	$15,428	$14,115	$13,909		
TOTAL,	COST OF WORK FOR OTHERS	$29,812	$24,477	$22,017		

WN-01
0102 Heavy Water -
0103 Radioisotopes -

Summary of Changes from FYCY Request to FYBY Request:

Figure III-5.1
Cost of Work for Others

Department of Energy
FY 19BY FIELD BUDGET
REVENUES COLLECTED
(Dollars in thousands)

DOE FIELD OFFICE: Kansas City DOE Field Office
Lab/Facility: Livermore National Laboratory

B&R (1)	Activity (2)	FYPY Estimates Direct Cost	FYPY Estimates Indirect Cost Added factor (3)	FYPY Estimates Indirect Cost Depreciation	FYCY President's Budget Direct Cost	FYCY President's Budget Indirect Cost Added Factor (4)	FYCY President's Budget Indirect Cost Depreciation	FYBY Request Direct Cost	FYBY Request Indirect Cost Added factor (6)	FYBY Request Indirect Cost Depreciation	Assistant Secretary & Programs (7)
Revenues Associate with Costs of Work:											
ZN-01	Products Sold:										
0102	Nuclear Reactor Material :										
	- Heavy Water	$ 3,033	$212	$485							DP-XXX
0103	Radioisotopes	4,733	334	764	5,367	376	859	5,175	362	828	ER-XXX
0105	Stable Isotopes	2,694	189	431	2,682	188	429	1,685	118	270	ER-XXX
	Handling Charges:										
	- Radioisotopes	208	15	33	230	16	37	210	15	34	ER-XXX
0119	- Stable Isotopes	76	5	12	83	6	13	38	3	6	
	Miscellaneous Products:										
	- United Kingdom		3,600	252	576	2,000	140	160	1,000	70	160
CE-XXX											
Subtotal, Products Sold:		$14,344	$1,007	$2,301	$10,362	$726	$1,658	$8,108	$568	$1,298	
ZN-02	Services Performed:										
0202	-SERI				$1,404	$98	$225	$2,000	$140	$320	CE-XXX
	-University of California	3,000	210	480	3,200	224	512	3,200	224	512	ER-XXX
0203	Irradiation Services and Test Reactors										
	experiments:	1,010	71	162	1,200	84	192	1,200	84	192	DP-XXX
	-General Electric	6	1	1	6	1	1	6	1	1	DP-XXX
0205	Security Investigations										
0206	Special Services and Fabrication:										
	-EPRI	500	35	80	600	42	96	600	42	96	NE-XXX
0207	Research for Public Health & Safety:										
	-Gas Research Institute										
	Miscellaneous Services:	485	34	78	176	12	28	478	33	76	NE-XXX
0219	-REECO										
	-Hot Rock	2,037	143	326	1,129	79	181	2,200	154	352	DP-XXX
	--Germany										
	-University of Tokyo	2,500	175	400	2,500	175	400	2,275	159	364	CE-XXX
		600	42	96	900	63	144	900	63	144	Various
Subtotal, Services Performed		$10,138	$711	$1,623	$11,115	$778	$1,779	$12,859	$900	$2,057	
Total Revenues Assoc. w/ Cost of Work		$24,482	$1,718	$3,924	$21,477	$1,504	$3437	$20,967	$14,468	$3,355	

NARRATIVE JUSTIFICATION:
Summary of Changes from FYCY Budget to FYBY Request:
o ZN-0202 Increase at SERI for research related to Renewable Energy (+$596,000).
o ZN-0219 Increase is a result of additional R&D for the United Kingdom the ARMANDA II event (+4,641,000).
Explanation of the FYBY Estimates:
o Brief explanation of activities describing type of work being performed, research services, products sold, contractors, to whom work is being provided for (foreign and domestic), etc.
o Any new or cancellation of projects or contracts expected should be included in explanation.

Figure III-5.3
Revenues Not Associated with Work for Others

DEPARTMENT OF ENERGY
FYBY FIELD BUDGET
REVENUES NOT ASSOCIATED WITH COST OF WORK FOR OTHERS
(in thousands of dollars)

(Appropriation Symbol and Title)
(Organizational Component)

B&R Agreement Activity Number	FYPY Estimate Direct Cost[1]	FYPY Estimate Added Factor[2]	FYPY Estimate Indirect Cost[4] Depreciation[3]	FYCY Estimate Direct Cost[1]	FYCY Estimate Added Factor[2]	FYCY Estimate Indirect Cost[4] Depreciation[3]	FYBY Estimate Direct Cost[1]	FYBY Estimate Added Factor[2]	FYBY Estimate Indirect Cost[4] Depreciation[3]
Revenues Not Associated With Cost of Work									
ZN-06 Nuclear Material:									
0601 Nuclear Material Consumed:									
- Navy	$ 4,000			$ 7,900			$ 4,870		
DP - XXX									
ZN-07 Other Nuclear Material	400			500			50		
DP - XXX									
ZN-08 Lease of Material	50			50			50		
DP - XXX									
ZN-09 Recovery of Nuclear Materials:									
- (Navy Department)	3,000			4,800			2,500		
DP - XXX									
- (Dupont)	2,400			2,405			2,400		
DP - XXX									
ZN-19 Miscellaneous:									
1903 Lease of Uranium Bearing Land	---			500			50		
NE - XXX									
1906 Sale of Reactor Steam	3,500			9,300			3,500		
DP - XXX									
Total, Revenues Not Associated with Cost of Work	**$13,350**			**$25,455**			**$13,420**		

NARRATIVE JUSTIFICATION:

Summary of Changes from FYCY Estimates to FYBY Estimates:

o ZN-0601 Decrease in work performed for the navy Department at the Pittsburgh Naval Reactor (-$2,680,000).

Explanation of the FYBY Estimates:

o Brief explanation of activities describing type of work being performed, research services, products sold, contractors, to whom work is being provided for (foreign, domestic) etc.

o Any new or cancellation of projects or contracts expected should be included in explanation.

[1] Direct Cost is equal to Reimbursable Work Authority.

[2] Added Factor is to be based on the Departmental Rate, plus any office variable, taken against the direct costs to be incurred within the fiscal year.

[3] Depreciated rates are site specific and are also taken against the direct costs.

[4] All waivers are to be specifically identified and added factor and depreciation rates appropriately footnoted.

Figure III-5.3
Revenues Not Associated with Work for Others

6. **AVIATION SERVICES**

(a) Each aircraft acquisition whether by purchase, lease, transfer or forfeiture, with or without monetary cost, for use of 90 or more days, shall be justified by a cost comparison study conducted and documented in accordance with guidance provided by the Aviation Operations Team (EH-53). This study shall be approved by the senior aviation management official, of the Office of Field Support prior to budget submission.

(b) Each contract for aircraft or aviation services, for use of 90 or more days, through an exclusive use contract, shall be justified by an approved cost comparison study as in (a) above.

(c) Replacement of a current fleet aircraft shall be treated as an acquisition and the provisions of (a) above, applied.

7. EXCESS FACILITIES MANAGEMENT

a. General. One of the objectives of the Department of Energy National Security Strategic Plan is to continuously and safely manage our facilities throughout their entire life cycle including the period they are declared excess, prior to their deactivation and throughout the disposition phase, consistent with DOE Order 430.1A (Life Cycle Asset Management). As you are aware, your site was involved in the identification of excess facilities through participation in the Surplus Facility Inventory and Assessment (SFIA) Project managed by EM-60 in 1992, and through participation in the Excess Facility Special Project managed by EM-20 in 1997.

In order to plan for and facilitate appropriate management and potential transfer of excess facilities, we need to identify the costs associated with surveillance and maintenance (S&M) required to assure safety, security, and environmental protection.

b. Reporting Requirements. Information indicated in Figure III-7 is to be submitted for each excess facility. Excess facilities already transferred to the Office of Environmental Management capture this required information in the Draft EM 2006 Plan and supporting Project Baseline Summary (PBS). Information indicated in Figure III-7 and as described below should be submitted for all excess facilities in all other DOE Program Offices (Defense Programs, Energy Research, Nuclear Energy, etc.).

(1) Funding requirements for S&M need to be provided for all excess facilities. These facilities may be identified in the SFIA, Excess Facilities Special Project, more up-to-date databases, and/or other information sources maintained at each site. S&M funding (direct and indirect or overhead) requirements include those activities and related processes (i.e., technical support and management) necessary to ensure that the facility remains in a safe condition. This includes, but is not limited to, inspection and monitoring of the facility and/or maintenance of barriers controlling radioactive and hazardous materials. Categories of activities include those related to direct and indirect support programs, such as emergency preparedness, projected building maintenance and repair, safeguards and security, safety and health, environmental compliance, radioactive and hazardous material and/or waste monitoring, custodial fees, utilities, leases, and property taxes (or payments in lieu of taxes).

(2) Funding requirements for “Facility Assessment” need to be provided for excess facilities where condition/hazard characterization in not sufficient to provide clear understanding of facility condition to allow safe initiation of S&M and deactivation.

(3) Cost estimate should be developed by site area for fiscal years 2000 through 2004. A primary facility and its ancillary (support) facilities should be grouped together. For example, a reactor and related ancillary facilities should be grouped together. Clear identification of all facilities involved in an area grouping is necessary to ensure all funding requirements are addressed. Please use the attached to develop your requirements. Be sure to include the Budget and Reporting (B&R) code for each primary facility. A brief narrative justification of what is included in your S&M and facility assessment costs is also required. On the last page of your requirements, include a TOTAL for all excess facilities on the entire site.

c. Submission Requirements. The above information should be included in your FYBY Field Budget Request that is due to Headquarters, the due date is specified in the annual FYBY Field Budget Call. Please provide a copy of this schedule to the funding (owner) Headquarters Program Office and to the Program Integration Office (EM-62), Office of Nuclear Material and Facility Stabilization (EM-60). Questions relating to this request can be directed to EM-62.

Department of Energy
FYBY Field Budget Request

Excess Facilities Management Funding Requirements
(Dollars in Thousands)

Operations Office: _____
Point of Contact: _____ Phone: _____

	FYBY	FYBY+1	FYBY+2	FYBY+3	FYBY+4
Facility: _____					
B&R Code: _____					
Management Function					
1. Surveillance & Maintenance					
2. Routine Monitoring (e.g.,health physics and security)					
3. Facility Characterization					

1/ Narrative Justifications should be prepared for Fiscal Years PY-1 through BY

Figure III-7
Excess Facilities

8. **ISOTOPES INVENTORY TRANSACTIONS**. The Budgeted Operations Statement (Figure III-8.1) summarizes the projected revenues and estimated expenses, and should be completed by using the data from Figure III-8.2. This statement focuses on anticipated receipts and disbursements. Do not include the cost of goods sold from inventory, but do include the revenue from inventory. Also, do not include any expenses for marketing, ST05. Marketing will be assigned by Headquarters. The Five Year Business Plan should provide guidance in dveloping your operations statements.

ATTACHMENT A
BUDGETED OPERATIONS STATEMENT

B&R CODE	ACTIVITY	FY BY	FTEs
	REVENUES		
ZN1001	Radioisotopes		
ZN1002	Stable Isotopes		
ZN1003	Services		
ZN1004	Other Revenue[1/]		
	TOTAL REVENUES		
	Total Production/Services Exp.		
ST0101	Radioisotopes		
ST0102	Stable Isotopes		
ST010109	Non Production Cost[2/]		
ST02	Services		
	Other Expenses		
ST03	Isotope Storage & Distribution		
ST08	Customer Sales/Services[3/]		
ST04	Process Development		
	Total Other Expenses		
	Funding Required ( ) or Returned to IP&D		

ISOTOPE REVENUE AND EXPENSE

[1/]Other revenue includes such items as rental of hot cells, lease of shipping casks.

[2/]Includes current fiscal year costs of excess labor and capacity not directly attributable to a radioactive isotope pruduct costs and not charged to indirect expenses.

[3/]Explain the allocation method used to allocate sales offices costs to products.

Figure III-8.2
Isotope Revenue and Expense

ISOTOPE	REVENUE	REVENUE FROM INVENTORY	PRODUCTION EXPENSE
OTHERS			
TOTALS			

Notes: All driver (primary) isotopes should be reported and separated by radioisotopes and stable isotopes. Revenue and revenue from inventory sales should be summarized and recorded on Figure III-8.1. Likewise, production expenses should be summarized and included on Figure III-8.1.

Figure III-8.2
Isotope Revenue and Expense

9. **PLANNED ACQUISITION OF CAPITAL ASSETS**.

a. Background: The Office of Management and Budget (OMB) Circular A-11 Part 3, Planning, Budgeting and Acquisition of Capital Assets requires all agencies fully fund each useful segment (or module) of a capital asset acquisitions through regular or advance appropriations (DOE will request Advance Appropriations) and submit this information with their annual OMB budget request each September.OMB A-11 requests "phased funding" or funding by project stages if the asset can be divided into more than one useful segment. For example, a construction project could first receive funding for the planning stage and later receive advance appropriation funding for the construction stage. Agencies are required to provide the following information related to the acquisition of capital assets as part of their initial budget submissions:

(1) Exhibit 300A, Impact of Full Funding of Capital Assets requires information on projects funded incrementally. Note that the Exhibit 300A will be completed by the headquarter's program offices. Section A of the 300A reflects budget authority necessary under incremental funding. These numbers should match the sum of appropriations and adjustment columns on the funding schedule of the project data sheet.

Section B of the 300A should reflect the budget authority being requested through Advance Appropriations in FYBY. The budget authority should be split by year based upon when it is proposed that the money be appropriated. If an advance appropriation is being requested for an entire outstanding TEC, Section B should look just like section A.

If the requested Advance Appropriation would fund only a segment of the project (funding one or more economically viable phases of the project to completion) then Section B should only reflect this portion of the funding, with any future advance appropriations being reflected in the unfunded amounts column. See Figure III-9.1 for the content and format of the information requested from the program offices.

(2) OMB A-11 also requires that the Department report on all major acquisition that require special management attention because of their importance to agency mission. This information includes a summary of spending for project stages; justification and other information; and cost, schedule, and performance goals. The Department is required to submit a preliminary performance report with the OMB budget submission and a final report after yearend closing in the format provided at Figure III-9.2 for all line item construction projects meeting the criteria as provided below.

(3) For FY 1998, the reporting threshold will be same as FY 1997. All new and existing line item construction funded Plant & Capital Equipment (PACE) projects with a Total Estimated Cost (TEC) greater than or equal to $20 million for which new budget authority is requested in FY 2000 or for which the uncosted balances are equal to or greater than $10 million as of September 30, 1998. A preliminary performance report

based upon FY 1998 third quarter data (June 30, 1998) projected through the end of FY 1998 will be submitted to OMB with the Department's budget request. Operations Office will provide the preliminary 300B report to Headquarters programs no later than August 3, 1998. The 300A report will be completed by the Headquarters program offices. The final report will be submitted after yearend to Headquarters Programs no later than December 4, 1998. The instructions and format of the report are provided at Figure III-9.2.

(4) Major Definitions:

(a) *Capital Assets:* Spending for capital assets includes construction, major rehabilitation, and the purchase of major items, such as land, buildings, or equipment, including information technology owned by the Federal Government.

(b) *Full Funding* means that appropriations—regular annual appropriations or advance appropriations—are enacted that are sufficient in total to complete a useful segment of a capital project before any obligations may be incurred for that segment. Full funding for an entire capital project is required if the project cannot be divided into more than one useful segment. If the asset can be divided into more than one useful segment, full funding is desirable, but is not required to constitute full funding.

(c) *Incremental Funding* means that appropriations—regular appropriations or advance appropriations—are enacted for just part of a useful segment of a capital project, if the project has useful segments, or for a part of the capital project as a whole, if it is not divisible into useful segments. Incremental funding a capital asset, in which funds could be obligated to start the segment (or project) despite the fact that they are insufficient to complete a useful segment or project, is not permitted under Circular A-11.

(5) Questions regarding the preparation of these reports should should be direct to the point of contact identified in the matrix on the first page of this chapter.

IMPACT OF FULL FUNDING OF CAPITAL ASSETS

(Report all new and ongoing incrementally funded capital assets)

Agency: Department of Energy
Appropriation Account Number/Title:_____
Program Office:_____

(Budget authority in thousands)

PY=Prior Year
CY=Current Year
BY=Budget Year

	PY	CY	BY	BY+1	BY+2	BY+3	BY+4	BY+5 and Beyond	Total Unfunded
PART I: NEW Projects/Capital/Assets Funded Beginning in BY or Later									
A. Annual incremental amounts of budget authority for new projects/capital assets:									
Project No.1.....	na	na	100	100	100	100	100	0	400
Project No.2.....	na	na	300	200	200	200	100	0	700
Project No.3.....	na	na							
Etc.....	na	na							
Total.....	na	na							
B. FYBY Advance Appropriation funding for new projects/capital assets:									
Project No.1.....	na	na	100	100	100	100	100	0	0
Project No.2.....	na	na	300	100	100	0	0	0	500
Project No.3.....	na	na							
Etc.....	na	na							
Total.....	na	na							

Project No. 1. Example above shows a new $500,000 project funded incrementally (I.A.) and (I.B.) advance appropriation are requested in BY to fully fund the entire outstanding TEC. Project No. 2. Example above shows a new $1,000,000 project funded incrementally (I.A.) and (I.B.) advance appropriation requested in BY only to fund a segment or phase of the project. Future advance appropriations (for the balance of TEC) reflected in the unfunded amounts column.

PART II: PAST Projects/Capital/Assets Funded Beginning in CY or Earlier									
A. Annual incremental amounts of budget authority for past projects/capital assets:									
Project No.1.....	10	10	10	10	10	10	0	0	30
Project No.2.....	20	20	10	10	10	10	10		40
Project No.3.....									
Etc.....									
Total									
B. FYBY Advance Appropriation funding for past projects/capital assets:									
Project No.1.....	na	na	10	10	10	10	0	0	0
Project No.2.....	na	na	10	5	5			0	70
Project No.3.....	na	na							
Etc.....	na	na							
Total.....	na	na							

Project No. 1. Example above shows an ongoing project (whose total cost is $60,000 with $40,000 still to be funded in BY and beyond) funded incrementally (II.A.) And (I.B.) advance appropriation are requested in BY to fully fund the entire outstanding TEC. Project No. 2. Example above shows an ongoing project (whose total cost is $100,000 with $60,000 still to be funded in BY and Beyond) funded incrementally (I.A.) and (I.B.) advance appropriation are requested in BY only fund a segment of the project. Future advance appropriations (for the balance of the TEC) reflected in the unfunded amounts column.

OMB A-11 PROJECT STATUS REPORT

Instructions. The OMB A-11 Project Status Report provides project performance reporting. The data will be consistent with the project data sheet (PDS) and performance management systems used to track the Department's construction projects. To assist in completing the performance report, three examples are provided (Figures III-9.2b through Figures III-9.2d) that represent various phases a project may be funded.

The OMB A-11 report provides the following baseline information: Preliminary Baseline Estimate, Title I Design Baseline, and Current Baseline. These baselines are based upon the projects Total Estimated Cost (TEC). **Do not use The Total Project Cost (TPC) to baseline projects.** The Preliminary baseline is established when construction project funds are requested based on the conceptual design report and will be reported throughout the life of project. The Design (Title I) Baseline (TEC) represents the official baseline for the project. It is established after completion of Design (Title I) Baseline work and will be used during the life of the project to comply with annual performance reporting requirements contained in FASA Title V, and OMB A-11, Part III, Planning, Budgeting, and Acquisition of Capital Assets. The Current Baseline represents the Department's latest approved baseline.

General baseline requirements and guidance is found DOE Order 430.1, Life Cycle Asset Management and Good Practices Guides, PMG-01, Project Management Overview, and PMG-09, Baseline Change Control. Program specific baseline thresholds and authorities are found in the Joint Program Direction on Project Management guidance issued January 1996.

1. Title and Location of Project. This information will be the same as item 1 reported on the project data sheet.

2.a. Project No. This information will be the same as item 2.a. reported on the project data sheet.

3.a. Date A-E Work Initiated, (Preliminary Design (Title I) Start Scheduled). This information will be the same as item 3.a. reported on the project data sheet.

3.b. A-E Work (Title I & II) Duration. This information will be the same as item 3.b. reported on the project data sheet.

4.a. Date Physical Construction Starts. This information will be the same as item 4.a. reported on the project data sheet.

5. Total Estimated Cost (TEC). This information will be the same as item 5 reported on the project data sheet.

6. Total Project Cost (TPC). This information will be the same as item 6 reported on the project data sheet.

7. Financial Schedule. This information will be the same as reported on the project data sheet. The financial schedule should start with the initial year of funding the project through BY +5 and beyond.

8. Project Description. Use applicable parts of item 8 as reported on the project data sheet for project description.

9. Performance Measurement System Description. Give a description of the performance based system used to monitor achievement or deviation from baselines during the life cycle of the project. An "earned value" system that calculates cost and schedule variances may be used when available, also an equivalent system may also be described and used.

10. Previous Baselines. Identify previous cost, schedule, and performance baselines, if any (each previous baseline must be identified separately).

    [NOTE: The baseline for requesting capital funding (based on the conceptual design report) is a Preliminary baseline. The baseline for performance reporting is not established until after completing Title I Design which will be the performance baseline used to measure and report to OMB and comply with OMB A-11. The initial Title I Design baseline and all subsequent baselines approved will be provided under the "Current Baseline" section].

Figure III-9.2a
OMB A-11 Project Status Report
Instructions

PERFORMANCE REPORTING

11. Project Technical Baseline Goals. Include relevant parts of item 8 (to include subprojects if appropriate) reported on the project data sheet to discuss technical baseline goals.

    Current Performance: Based on outputs from the performance based management system described above, identify any deviation from the technical performance baseline (progress to date).

    Performance Variance: If any deviation exists, discuss and explain why.

Performance Measurement

12. Cost Baseline Goals. Based on outputs from the performance based management system described in 9 above, identify whether current total estimated cost at completion is 10% or more above the baseline goals.

    The cost baseline is the same as item 5 (TEC) Title I Design Baseline from the project data sheet. The following footnote will be included for the Current Estimate. "The Current Estimate is the estimate to complete that reflects progress to date, but is not a change to the baseline."

    Corrective Action. Identify corrective actions that have been taken or are needed to complete the project. Also identify the impact on the final TEC, schedule, and performance goals.

13. Schedule Baseline Goals. Based on outputs from the performance based management system described in 9 above, identify whether the current forecasted completion date for the project is 10% or more past the baseline schedule completion date. If so, discuss and explain why.

    The schedule baseline is the same as item 3 Preliminary Title Design Baseline from the project data sheet. The following footnote will be included for the Current Estimate. "The Current Estimate is the estimate to complete that reflects progress to date, but is not a change to the baseline."

    Corrective Actions. Identify corrective actions that have been taken or are needed to complete the project.

Figure III-9.2a
OMB A-11 Project Status Report
Instructions

OMB A-11 PROJECT STATUS REPORT

1. Title CMR Upgrades Project, Title I & II Design 2.a. Project No.: 95-D-102
Location Los Alamos National Laboratory,
Los Alamos, New Mexico

	Preliminary	Title I Baseline	Current Baseline
3.a. Date A-E Work Initiated, (Preliminary Design (Title I) Start Scheduled):	1st Qtr. FY 1992		

3.b. A-E Work (Titles I & II) Duration: 52 months

4.a. Date physical Construction Starts:

4.b. Date Construction Ends:

	Preliminary	Title I Baseline	Current Baseline
5. Total Estimated Cost (TEC) --	$174,100		
6. Total Project Cost (TPC) --	$223,635		

7.a. Design Financial Schedule (Federal Funds):

Fiscal Year	Appropriations	Adjustments	Obligations	Costs
1992	$ 12,000	0	$ 12,000	$ 8,120
1993	15,000	0	15,000	15,050
1994	15,250	0	15,250	17,300
1995	10,036	0	10,036	10,816
1996	0	0	0	2,000

Figure III-9.2b
OMB A-11 Project Status Report
Title I & II Design

OMB A-11 PROJECT STATUS REPORT

8. Project Description

The Chemistry and Metallurgy Research (CMR) Building is the largest structure at the Los Alamos National Laboratory (550,000 square feet). Construction of the CMR Building was completed in 1952. Most of the major mechanical and electrical equipment has reached the end of its design life.

Since its construction 40 years ago, the CMR Building has been used for research, development, and analytical work with plutonium, uranium and their alloys, and other materials in support of weapons, nuclear materials, and other Laboratory programs. This work continues to be essential to the nation's weapons program, with the principal activities in the building being in support of the plutonium research, development, and demonstration activities conducted at the Laboratory's Plutonium Handling Facility at TA-55. The activities that are critical to these plutonium operations are:

- Essential daily analytical chemistry and metallurgical services on plutonium and other actinides.
  - Analyses of plutonium metal preparations for the Laboratory's Weapons Research, Development, and Test Programs.
  - Analyses required for development and demonstration of new and improved processing methods for scrap recovery.
  - Analyses required for accountability and verification of material received or shipped and foronsite transfers.

- The CMR Building future role is also essential for support of several major Defense Programs areas which include:
  - Enhanced Safety and Reliability of Nuclear Weapons
  - Lead Technical Laboratory for Pu and U Processing
  - Weapons Dismantlement and Component Storage

The primary purpose of this project is to upgrade facility systems and infrastructure that has been in continuous operation for 40 years and are near the end of their useful life. Such upgrading will ensure the continued safety of the public and Laboratory employees and increase the operational safety, reliability and security of essential activities. Increased safety, reliability, and security are critical to the continued operation of the Laboratory's Stockpile Stewardship Programs and other national defense programs.

9. Performance Measurement System Description - The CMR Upgardes is using a performance-based system to monitor achievement of, or deviation from, established cost and schedule goals. Actual work accomplished is compared monthly to planned work which has been time-phased over the established schedule duration. Actual costs are collected from the Laboratory's Financial Management Information System (FMIS) and then compared to both the planned work

Figure III-9.2b
OMB A-11 Project Status Report
Title I & II Design

and the earned progress to determine performance against cost and schedule goals. Variance analyses are conducted and case, impact, and corrective action determined whenever a deviation occurs.

The project scope was derived from the Conceptual Design Report and baselined, using risk analysis, into a logical Work Breakdown Structure (WBS) that provides for the proper level of visibility into each sub-element of the project. There are 333 separate work packages for the project.

10. Previous Baselines - None

PERFORMANCE REPORTING

11. PROJECT TECHNICAL BASELINE GOALS

The components of the project are needed to maintain infrastructure, improve safety for public and workers, and enhance environmental management. These goals include:

Subproject	Performance Measure
Seismic & Tertiary Confinement	Structural strengthening to meet the seismic criteria for hazard Category 2 operations. Hardening of building openings to security requirements which are also being modified for tertiary confinements.
Ventilation & Confinement Zone Separation	Renovate the mechanical systems and the related control systems to replace components that are near the end of their useful lives and to improve confinement zone separation throughout each wing.
Standby Power	Provide standby electrical power to operate the most important mechanical systems at a reduced level sufficient to maintain negative pressure in the laboratory enclosures.

Figure III-9.2b
OMB A-11 Project Status Report
Title I & II Design

OMB A-11 PROJECT STATUS REPORT

Current Performance:
Unchanged from the Preliminary Design (Title I) Baseline.

Performance Measurement	Baseline	Current Estimates [1/]	Variances	Corrective Actions
12. COST BASELINE GOALS				
TOTAL ESTIMATE COST	52,286			

13. SCHEDULE BASELINE GOALS- Design Only

Start	1st Qtr 92
Complete	2nd Qtr 96

[1/] Current Estimate is the estimate to complete that reflects progress to date, but is not a change to the baseline.

Figure III-9.2b
OMB A-11 Project Status Report
Title I & II Design

OMB A-11 PROJECT STATUS REPORT

1. Title: CMR Upgrades Project, Design and Construction 2.a. Project No.: 95-D-102
Location: Los Alamos National Laboratory,
Los Alamos, New Mexico

	Preliminary	Title I Design Baseline	Current Baseline
3.a. Date A-E Work Initiated, (Preliminary Design (Title I) Start Scheduled):	1st Qtr. FY 1992	1st Qtr. FY 1992	1st Qtr. FY 1992
3.b. A-E Work (Titles I & II) Duration:	52 months	52 months	52 months
4.a. Date physical Construction Starts:	3rd Qtr. FY 1993	3rd Qtr FY 1993	3rd Qtr. FY 1993
4.b. Date Construction Ends:	3rd Qtr. FY 2002	3rd Qtr FY 2002	3rd Qtr. FY 2002

	Preliminary	Title I Design Baseline	Current Baseline
5. Total Estimated Cost (TEC) --	$174,100	$174,100	$174,100
6. Total Project Cost (TPC) --	$223,635		$223,635

7.a. Design Financial Schedule (Federal Funds):

Fiscal Year	Appropriations	Adjustments	Obligations	Costs
1992	$ 12,000	0	$ 12,000	$ 8,120
1993	15,000	0	15,000	15,050
1994	15,250	0	15,250	17,300
1995	10,036	0	10,036	10,816

Figure III-4m2.c
OMB A-11 Project Status Report
Design and Construction Phase Funded

1996	0	0	0	2,000

7.b. Construction Financial Schedule (Federal Funds):

Fiscal Year	Appropriations	Adjustments	Obligations	Costs
1993	12,000	0	12,000	8,500
1994	14,500	0	14,500	14,000
1995	18,000	0	18,000	15,500
1996	22,000	0	22,000	20,500
1997	20,000	0	20,000	21,000
1998	15,000	0	15,000	12,300
1999	12,500	0	12,500	13,000
2000	7,814	0	7,814	6,800
2001	0	0	0	6,000
2002	0	0	0	4,214

8. Project Description

The Chemistry and Metallurgy Research (CMR) Building is the largest structure at the Los Alamos National Laboratory (550,000 square feet). Construction of the CMR Building was completed in 1952. Most of the major mechanical and electrical equipment has reached the end of its design life.

Since its construction 40 years ago, the CMR Building has been used for research, development, and analytical work with plutonium, uranium and their alloys, and other materials in support of weapons, nuclear materials, and other Laboratory programs. This work continues to be essential to the nation's weapons program, with the principal activities in the building being in support of the plutonium research, development, and demonstration activities conducted at the Laboratory's Plutonium Handling Facility at TA-55. The activities that are critical to these plutonium operations are:

- Essential daily analytical chemistry and metallurgical services on plutonium and other actinides.
  - Analyses of plutonium metal preparations for the Laboratory's Weapons Research, Development, and Test Programs.
  - Analyses required for development and demonstration of new and improved processing methods for scrap recovery.

Figure III-4m2.c
OMB A-11 Project Status Report
Design and Construction Phase Funded

- Analyses required for accountability and verification of material received or shipped and for on-site transfers.

- The CMR Building future role is also essential for support of several major Defense Programs areas which include:

  - Enhanced Safety and Reliability of Nuclear Weapons
  - Lead Technical Laboratory for Pu and U Processing
  - Weapons Dismantlement and Component Storage

The primary purpose of this project is to upgrade facility systems and infrastructure that has been in continuous operation for 40 years and are near the end of their useful life. Such upgrading will ensure the continued safety of the public and Laboratory employees and increase the operational safety, reliability and security of essential activities. Increased safety, reliability, and security are critical to the continued operation of the Laboratory's Stockpile Stewardship Programs and other national defense programs.

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9. Performance Measurement System Description - The CMR Upgardes is using a performance-based system to monitor achievement of, or deviation from, established cost and schedule goals. Actual work accomplished is compared monthly to planned work which has been time-phased over the established schedule duration. Actual costs are collected from the Laboratory's Financial Management Information System (FMIS) and then compared to both the planned work and the earned progress to determine performance against cost and schedule goals. Variance analyses are conducted and case, impact, and corrective action determined whenever a deviation occurs.

   The project scope was derived from the Conceptual Design Report and baselined, using risk analysis, into a logical work Breakdown Structure (WBS) that provides for the proper level of visibility into each sub-element of the project. There are 333 separate work packages for the project.

10. Previous Baselines - None

PERFORMANCE REPORTING

11. PROJECT TECHNICAL BASELINE GOALS

Figure III-4m2.c
OMB A-11 Project Status Report
Design and Construction Phase Funded

OMB A-11 PROJECT STATUS REPORT

The components of the project are needed to maintain infrastructure,improve safety for public and workers, and enhance environmental management. These goals include:

Subproject	Performance Measure
Seismic & Tertiary Confinement	Structural strengthening to meet the seismic criteria for hazard Category 2 operations. Hardening of building openings to security requirements which are also being modified for tertiary confinements.
Ventilation & Confinement Zone Separation	Renovate the mechanical systems and the related control systems to replace components that are near the end of their useful lives and to improve confinement zone separation throughout each wing.
Standby Power	Provide standby electrical power to operate the most important mechanical systems at a reduced level sufficient to maintain negative pressure in the laboratory enclosures.

Current Performance:

Unchanged from the Preliminary Design (Title I) Baseline.

Performance Variance: There are no variances in the performance goals.

Performance Measurement	Baseline	Current Estimates [1/]	Variances	Corrective Actions
12.COST BASELINE GOALS				
TOTAL ESTIMATED COST	174,100	171,800		
Current Status through reporting period mm/dd/yy	$48.9 M	$ 46.6	-4.7%	A

Expected Cost/Expenditure Status: 48.9 M

Actual Cost/Expenditure Status: 46.6 M as of 9/30/96

[1/] Current Estimate is the estimate to complete that reflects progress to date, but is not a change to the baseline.

Figure III-4m2.c
OMB A-11 Project Status Report
Design and Construction Phase Funded

$\frac{\text{Expected - Actual}}{\text{Expected}}$ = - 4.7 %

Corrective Actions

A - Variances requiring corrective actions would be identified above in the rightmost column, with description of the actions to be taken stated in this space.

The project is projecting continued cost management and is forecasting a 1% cost underrun by year's end. The project is on track and the Performance Measurement Baseline established on February 1, 1995 continues as the current estimate.

There were project cost savings for the project totaling $1.3 M that were realized FY 96. Savings resulted from procurement efficiencies and better than expected productivity. This amount added to the $1M already identified previously, totals $2.3 M.

Performance Measurement	Baseline	Current Estimates [1/]	Corrective Variances	Actions
13. SCHEDULE BASELINE GOALS				
Start	1st Qtr 92	1st Qtr 92		
Complete	3rd Qtr 02	4th Qtr 02		
Current Status through reporting period mm/dd/yy	37% complete	35.8% complete	3.2 %	
None Required				

Expected Percent Complete: 37 % as of 9/30/96

Actual Percent Complete: 35.8 % as of 9/30/96

$\frac{\text{Expected - Actual}}{}$ = 3.2 % as of 9/30/96

[1/] Current Estimate is the estimate to complete that reflects progress to date, but is not a change to the baseline.

Figure III-4m2.c
OMB A-11 Project Status Report
Design and Construction Phase Funded

OMB A-11 PROJECT STATUS REPORT

Expected

The project is projecting an improvement to the schedule and is forecasting a 2% overall variance at end of FY 1997. During FY 96 the project experienced a minor setback in the schedule. This delay caused a slippage in the overall schedule of an additional week. The project manager and staff took actions to rearrange the scheduled work to minimize the delay to the overall schedule.

Figure III-4m2.c
OMB A-11 Project Status Report
Design and Construction Phase Funded

OMB A-11 PROJECT STATUS REPORT

1. Title: CMR Upgrades Project 2.a Project No.: 95-D-102
Location: Los Alamos National Laboratory,
Los Alamos, New Mexico

	Preliminary	Title I Design Baseline	Current Baseline
3.a. Date A-E Work Initiated, (Preliminary Design (Title I) Start Scheduled):	1st Qtr. FY 1992	1st Qtr. FY 1992	1st Qtr. FY 1992
3.b. A-E Work (Titles I & II) Duration:	52 months	52 months	52 months
4.a. Date physical Construction Starts:	3rd Qtr. FY 1993	3rd Qtr FY 1993	3rd Qtr. FY 1993
4.b. Date Construction Ends:	3rd Qtr. FY 2002	3rd Qtr FY 2002	3rd Qtr. FY 2002

	Preliminary	Title I Design Baseline	Current Baseline
5. Total Estimated Cost (TEC) --	$174,100	$174,100	$174,100
6. Total Project Cost (TPC) --	$223,635		$223,635

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7. Financial Schedule (Federal Funds):

Fiscal Year	Appropriations	Adjustments	Obligations	Costs
1992	12,000	0	12,000	2,757
1993	27,000	0	27,000	5,061
1994	29,750	0	29,750	10,504
1995	28,036	0	28,036	13,363
1996	22,000	0	22,000	14,909
1997	20,000	0	18,000	16,270
1998	13,000	0	13,000	19,080
1999	11,500	0	11,500	27,400
2000	6,300	0	6,300	27,000
2001	3,500	0	3,500	20,450
2002	3,014	0	3,014	17,306

Figure III-4m.2d
OMB A-11 Project Status Report
Design & Construction Project Fully Funded Advance Appropriations

OMB A-11 PROJECT STATUS REPORT

8. Project Description

The Chemistry and Metallurgy Research (CMR) Building is the largest structure at the Los Alamos National Laboratory (550,000 square feet). Construction of the CMR Building was completed in 1952. Most of the major mechanical and electrical equipment has reached the end of its design life.

Since its construction 40 years ago, the CMR Building has been used for research, development, and analytical work with plutonium, uranium and their alloys, and other materials in support of weapons, nuclear materials, and other Laboratory programs. This work continues to be essential to the nation's weapons program, with the principal activities in the building being in support of the plutonium research, development, and demonstration activities conducted at the Laboratory's Plutonium Handling Facility at TA-55. The activities that are critical to these plutonium operations are:

- Essential daily analytical chemistry and metallurgical services on plutonium and other actinides.
  - Analyses of plutonium metal preparations for the Laboratory's Weapons Research, Development, and Test Programs.
  - Analyses required for development and demonstration of new and improved processing methods for scrap recovery.
  - Analyses required for accountability and verification of material received or shipped and for on-site transfers.

- The CMR Building future role is also essential for support of several major Defense Programs areas which include:

  - Enhanced Safety and Reliability of Nuclear Weapons
  - Lead Technical Laboratory for Pu and U Processing
  - Weapons Dismantlement and Component Storage

The primary purpose of this project is to upgrade facility systems and infrastructure that has been in continuous operation for 40 years and are near the end of their useful life. Such upgrading will ensure the continued safety of the public and Laboratory employees and increase the operational safety, reliability and security of essential activities. Increased safety, reliability, and security are critical to the continued operation of the Laboratory's Stockpile Stewardship Programs and other national defense programs.

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9. Performance Measurement System Description - The CMR Upgardes is using a performance-based system to monitor achievement of, or deviation from, established cost and schedule goals. Actual work accomplished is compared monthly to planned work which has been time-phased over the established schedule duration. Actual costs are collected from the Laboratory's Financial Management Information System (FMIS) and then compared to both the planned work and the earned progress to determine performance against cost and schedule goals. Variance analyses are conducted and case, impact, and corrective action determined whenever a deviation occurs.

   The project scope was derived from the Conceptual Design Report and baselined, using risk analysis, into a logical WORK Breakdown Structure (WBS) that provides for the proper level of visibility into each sub-element of the project. There are 333 separate work packages for the project.

Figure III-4m.2d
OMB A-11 Project Status Report
Design & Construction Project Fully Funded Advance Appropriations

10. Previous Baselines

The CMR upgrades project started as a phased project, initially authorized in FY 1993 as part of the Nuclear Weapons Research, Development and Testing Facilities Revitalization line item (90-D-102) with a total estimated cost of $49.5 million and completion date of fourth quarter 1996. Phase I was separated from 90-D-102 in the Department's FY 1995 budget request and a new three phase line item (95-D-102) was created exclusively to deal with CMR. The total estimated cost of this three phase project was $194.75 million. Phase 3 was subsequently deleted in DOE's FY 1997 budget and the total estimated cost dropped to the current figure of $174.1 million. The completion date for the two phase project was et as the fourth quarter of FY 2002.

Figure III-4m.2d
OMB A-11 Project Status Report
Design & Construction Project Fully Funded Advance Appropriations

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PERFORMANCE REPORTING

11. PROJECT TECHNICAL BASELINE GOALS

The components of the project are needed to maintain infrastructure, improve safety for public and workers, and enhance environmental management. These goals include:

Subproject	Performance Measure
Seismic & Tertiary Confinement	Structural strengthening to meet the seismic criteria for hazard Category 2 operations. Hardening of building openings to security requirements which are also being modified for tertiary confinements.
Ventilation & Confinement Zone Separation	Renovate the mechanical systems and the related control systems to replace components that are near the end of their useful lives and to improve confinement zone separation throughout each wing.
Standby Power	Provide standby electrical power to operate the most important mechanical systems at a reduced level sufficient to maintain negative pressure in the laboratory enclosures.

Current Performance:

Unchanged from the Preliminary Design (Title I) Baseline.

Performance Variance: There are no variances in the performance goals.

Figure III-4m.2d
OMB A-11 Project Status Report
Design & Construction Project Fully Funded Advance Appropriations

OMB A-11 PROJECT STATUS REPORT

	Baseline	Corrective Current Estimates [1/]	Variances	Actions
12. COST BASELINE GOALS				
TOTAL ESTIMATED COST		174,100	171,800	
Current Status through reporting period mm/dd/yy	$48.9 M	$ 46.6	-4.7%	A

Expected Cost/Expenditure Status: 48.9 M

Actual Cost/Expenditure Status: 46.6 M as of 9/30/96

$$\frac{\text{Expected - Actual}}{\text{Expected}} = -4.7\ \%$$

Corrective Actions

A - Variances requiring corrective actions would be identified above in the rightmost column, with description of the actions to be taken stated in this space.

The project is projecting continued cost management and is forecasting a 1% cost underrun by year's end. The project is on track and the Performance Measurement Baseline established on February 1, 1995 continues as the current estimate.

There were project cost savings for the project totaling $1.3 M that were realized FY 96. Savings resulted from procurement efficiencies and better than expected productivity. This amount added to the $1M already identified previously, totals $2.3 M.

Corrective

[1/] Current Estimate is the estimate to complete that reflects progress to date, but is not a change to the baseline.

Figure III-4m.2d
OMB A-11 Project Status Report
Design & Construction Project Fully Funded Advance Appropriations

OMB A-11 PROJECT STATUS REPORT

	Baseline	Current Estimates [1/]	Variances	Actions
13. SCHEDULE BASELINE GOALS				
Start	1st Qtr 92	1st Qtr 92		
Complete	3rd Qtr 02	4th Qtr 02		
Current Status through reporting period mm/dd/yy	37% complete	35.8% complete	3.2 %	None Required

Expected Percent Complete: 37 % as of 9/30/96

Actual Percent Complete: 35.8 % as of 9/30/96

$$\frac{\text{Expected - Actual}}{\text{Expected}} = 3.2\ \%\ \text{as of } 9/30/96$$

The project is projecting an improvement to the schedule and is forecasting a 2% overall variance at end of FY 1997. During FY 96 the project experienced a minor setback in the schedule. This delay caused a slippage in the overall schedule of an additional week. The project manager and staff took actions to rearrange the scheduled work to minimize the delay to the overall schedule.

[1/] Current Estimate is the estimate to complete that reflects progress to date, but is not a change to the baseline.

Figure III-4m.2d
OMB A-11 Project Status Report
Design & Construction Project Fully Funded Advance Appropriations

10. **FINANCIAL MANAGEMENT ACTIVITIES**.

a. Reporting Field Entities and Responsible Program/Secretarial Officers

Reporting Field Entities	**Responsible Program/Secretarial Officers**
DOE Albuquerque Operations Office	Associate Deputy Secretary for Field Management
DOE Chicago Operations Office	Associate Deputy Secretary for Field Management
DOE Golden Field Office	Assistant Secretary for Energy Efficiency & Renewable Energy
DOE Idaho Operations Office	Associate Deputy Secretary for Field Management
DOE Nevada Operations Office	Associate Deputy Secretary for Field Management
DOE Oakland Operations Office	Associate Deputy Secretary for Field Management
DOE Oak Ridge Operations Office	Associate Deputy Secretary for Field Management
DOE Ohio Field Office	Associate Deputy Secretary for Field Management
DOE Richland Operations Office	Associate Deputy Secretary for Field Management
DOE Rocky Flats Field Office	Associate Deputy Secretary for Field Management
DOE Savannah River Operations Office	Associate Deputy Secretary for Field Management
Alaska Power Administration	Washington, D.C. Liaison Office, Alaska, Southeastern & Southwestern Power Admin.'s
Southeastern Power Administration	Washington, D.C. Liaison Office, Alaska, Southeastern & Southwestern Power Admin.'s
Southwestern Power Administration	Washington, D.C. Liaison Office, Alaska, Southeastern & Southwestern Power Admin.'s
Western Area Power Administration	Western Area Power Admin.

Reporting Field Entities	Responsible Program/Secretarial Officers
Morgantown Energy Technology Center	Assistant Secretary for Fossil Energy
Pittsburgh Energy Technology Center	Assistant Secretary for Fossil Energy
Strategic Petroleum Reserves Project Office	Assistant Secretary for Fossil Energy
Naval Petroleum Reserves-California	Assistant Secretary for Fossil Energy
Naval Petroleum Reserves-CO, UT, and WY	Assistant Secretary for Fossil Energy
Headquarters CFO Organization	Headquarters CFO Organization

b. General Reporting Requirements

(1) It is the responsibility of the reporting field entities named above to submit the required Financial Management data **using the "Report on Resources for Financial Management Activities" (Exhibit 40A, Figure III-10b.1)** to both the Office of the Chief Financial Officer (see Points of Contact listed below) and the responsible Program/Secretarial Officer by the date specified in the Field Budget Call.

(2) All questions, correspondence, and submissions should be directed to the following figure-specific contact points within the Office of the Chief Financial Officer:

(a) **Figure III-10b.1, Report on Resources for Financial Management Activities (Exhibit 40A)**

CONTACT: Sarah Diagne, CR-42
PHONE: (301)903-5248 FAX: (301)903-0273
INTERNET ADDRESS: SARAH.DIAGNE@HQ.DOE.GOV

ADDRESS: U.S. Department of Energy
Office of Financial Control and Reporting
Room E-171, Germantown Building
19901 Germantown Road
Germantown, MD 20874-1290

(b) **Figure III-10b.2, Audit of Financial Statements**

CONTACT: Judy Fuerstenberg, IG-33

PHONE: (202)586-0140 FAX: (202)586-0099

ADDRESS: U.S. Department of Energy
Office of Inspector General
Room 5A-193, Forrestal Building
1000 Independence Ave, S.W.
Washington, DC 20585

Due to a reduction in reporting requirements, this figure and supporting schedules will now be prepared by the Inspector General's office and provided to the contact point indicated above for submission to the Office of Budget.

(c) **Figure III-10e.5, Report on Obligations for Information Technology**

CONTACT: Micheala Brown, CR-60
PHONE: (301) 903-4027 FAX: (301) 903-1863
INTERNET ADDRESS: Micheala.Brown@HQ.DOE.GOV

ADDRESS: U. S. Department of Energy
Office of Corporate Financial Systems
Room E-180, Germantown Building
19901 Germantown Road
Germantown, MD 20874

c. Background/Reference

(1) The necessary submissions require data from both the Finance/Accounting and Budget offices of Field and Headquarters elements. Therefore, **coordination is vital**.

(2) Section 40, "Data on Financial Management Activities," of OMB Circular A-11, "Preparation and Submission of Budget Estimates," provides guidance on completing Exhibit 40A and can be used as a reference.

d. Figure III-10b.1, Report on Resources for Financial Management Activities .

(1) **Reporting Structure and Definitions**. All DOE Field CFO Organizations and other DOE Field locations which have **Federal Employees** dedicated to performing financial management activities are to provide the information requested. In completing this Figure, each Reporting Entity will detail its budget by the following functional categories:

(a) **Asset Management**: Includes resources for administrative expenses for credit programs consistent with the levels reported for credit program accounts under credit reform (i.e., amounts requested as a separate appropriation for administrative expenses in credit program accounts); resources devoted to debt collection for non-credit receivables; resources devoted to cash management; and resources devoted to property and inventory management and control.

(b) **Accounting and Reporting**: Includes resources for processing, recording **and reporting** of revenues, receipts, appropriations, apportionments, allotments, obligations, outlays, expenditures, assets, liabilities, and other financial transactions; reconciliation of asset and liability accounts, such as accounts or loans receivable, with subsidiary records and with external data, such as Treasury cash records; funds control and preparation of financial statements.

(c) **Audits of Financial Statements**: Includes resources for performing audits of financial statements, with separate identification for contract and in-house costs, as detailed on Exhibit 40A (entries 8102, 8201, and 8202). The amounts reported under "Audits of Financial Statements" for entry 3001 is the sum of entries 8201 and 9201; similarly, the amounts reported for entry 3002 is the sum of entries 8202, 9102, and 9202. Data on preparation of financial statements are no longer included in this category. It is now included in Accounting and Reporting.

(d) **Financial Management Systems**: Includes resources for financial management systems, which consist of financial systems and financial portions of mixed systems necessary to support financial management. Data reported should be consistent with information reported on Figure III-10e.3.

(2) **Reporting Requirements**. Your completed "Report on Resources for Financial Management Activities" is intended to report the total Federal staffing (FTEs) and dollars required to carry out the **Federal** financial management function in the field. This includes all of the resources required for field CFO organizations and other field locations which have Federal FTEs performing financial management activities. All direct costs to support DOE's financial management function are to be reported, excluding those resources dedicated to the procurement function and those resources required principally for program management and having only secondary responsibilities for financial management.

(a) Information on contractual support ("Support Contracts") for DOE's financial management responsibilities is required; however, the M&O contractor's financial management functions should be excluded from the amount reported. Western Area Power Administration is also exempted from this reporting requirement.

(b) FTE's should be reported for each of the two years (CY and BY) and should reflect total FTE's required to perform financial management activities for each year.

(3) **Explanation of Changes.** In completing the "Report on Resources for Financial Management Activities," please provide explanations for significant changes from CY to BY.

EXHIBIT 40A

DEPARTMENT OF ENERGY FIELD OFFICE:
(In thousands of dollars)

REPORT ON RESOURCES FOR FINANCIAL MANAGEMENT ACTIVITIES

		CY	BY
	Asset Management		
1001	No. Of FTE		
1002	Budget Authority		
	Accounting and Reporting		
2001	No. Of FTE		
2002	Budget Authority		
	Audits of Financial Statements		
3001	No. Of FTE		
3002	Budget Authority		
	Financial Management Systems		
4001	No. Of FTE		
4002	Budget Authority		
	Subtotal		
5001	No. Of FTE		
5002	Budget Authority		
	Adjustments		
6001	No. Of FTE		
6002	Budget Authority		
	Total, net		
7001	No. Of FTE		
7002	Budget Authority		
	Audits of Financial Statements[1/]		
	Contract		
8102	Budget Authority		
	In-house costs		
8201	No. Of FTE		
8202	Budget Authority		
	Org-wide Financial Statements[2/]		
	Contract	Org-wide Financial Statements will be	
9102	Budget Authority	prepared by the Inspector General's Office	
	In-house costs		
9201	No. Of FTE		
9202	Budget Authority		
	Total, all reporting entities		
9401	No. Of FTE		
9402	Budget Authority		
9998	Agency Contact:		
9999	Telephone Number:		

[1/]These figures are for the 10 reporting entities required by the CFO Act.

[2/]These figures are for Department-wide Financial Statements audit costs.

Figure III-10b.1
Report on Resources for Financial Management Activities

DEPARTMENT OF ENERGY
FYBY FIELD BUDGET
AUDIT OF FINANCIAL STATEMENTS
(Dollars in Thousands)

Organization:
Contact:
Phone:

	FYCY Estimate		FYBY Estimate	
	FTE	BA	FTE	BA
Working Capital Fund				
Contract				
In-house costs				
Subtotal, Working Capital				
Organization-wide Financial Statements				
Contract				
In-house costs				
Subtotal, Organization-wide				

Figure III-10b.2
Audit of Financial Statements

e. Financial Management Systems (FMS) Five-Year Plan. FMS Five-Year Plan information is required for DOE compliance with FMS Management oversight responsibilities as prescribed by the Office of Management and Budget (OMB) Circular A-127, "Financial Management Systems". The information collected through the Field Budget Call aides in the preparation of the FMS portion of the DOE Chief Financial Officer (CFO) Five-Year Plan, as required by the CFO Act of 1990, and for preparation of DOE FMS Budget submissions, as required by the OMB Circular A-11, "Preparation and Submission of Budget Estimates".

(1) Compliance with Financial Management Systems Five-Year Plan reporting is required of:

- *all Headquarters organizations, Field organizations (Accounting Service Centers only), and Power Marketing Administrations* operating, maintaining, or utilizing an inventoried component of the Department's Single Integrated Financial Management System (see subparagraph III-10.e.(3)), and

- all organizations maintaining or operating one of the inventoried financial systems of the integrated management and operating (M&O) contractors (see subparagraph III-10.e.(4)).

(2) For reporting purposes, the following definitions, as defined in OMB Circular A-11, are applicable:

An ***information system*** is the organized collection, processing, transmission, and dissemination of information in accordance with defined procedures. Information systems include non-financial, financial, and mixed systems, as defined below.

A ***financial management system*** consists of financial systems and the financial portions of mixed systems necessary to support financial management.

A ***financial system*** is an information system, comprised of one or more applications, that is used for any of the following:

- collecting, processing, maintaining, transmitting, and reporting data about financial events;
- supporting financial planning or budgeting activities;
- accumulating and reporting cost information; or
- supporting the preparation of financial statements.

A financial system supports the financial functions required to track financial events, provide financial information significant to the financial management of the agency and/or required for the preparation of financial statements.

A ***mixed system*** is a system that supports both financial and non-financial functions of the Federal Government or components thereof.

A ***non-financial system*** is a system that supports non-financial functions of the Federal Government or components thereof and any financial data included in the system are insignificant to agency financial management and/or are not required for the preparation of financial statements.

A ***financial management system initiative*** requires a budgetary investment that: a) creates a new system (a system that automates previously manual functions or functions not previously performed by the agency), b) replaces an existing system or set of systems, or c) upgrades an existing system or set of systems (where an upgrade provides major enhancements to a system or systems that add significant functionality).

The ***information systems life cycle*** includes the phases through which information systems pass, typically characterized as initiation, development, operation, and termination.

(3) **Financial Management Systems (FMS) Five-Year Plan for DOE Organizations**. DOE Department-wide policy and procedures governing financial management systems activities are set forth in DOE Order 534.1, "Accounting", and have been established to ensure that:

- DOE continues to work towards the consolidation and standardization of its financial management systems consistent with OMB Circular A-127 and the CFO Act of 1990, and

- No funds shall be expended for FMS corrective actions or enhancements not approved as conforming with OMB FMS objectives, nor for the continued operation of an FMS not in conformance with OMB FMS objectives unless progress towards conformity is demonstrated.

(a) **Underlying Policy**. OMB requires that each agency's financial system shall be integrated into and made a part of one modern, well-planned and designed agency financial management system. This includes agency consolidation and standardization of similar type systems and sub-systems

components to include financial system interfaces where possible and feasible, use of modern technology and systems concepts, single source entry, data base sharing, and flexible reporting processes.

(b) **Consolidation Goals**. OMB requires that each agency should have an integrated financial system made up of a single budget and accounting system, one payroll system, etc. These may be supported by subsystems for separate programs or organizational units, adapted to their needs, that use uniform procedures, data classifications and definitions, and function as an integral part of the overall system.

(c) **Reporting Requirement for FMS Plans**. *All Headquarters organizations, Field organizations (Accounting Service Centers only), and Power Marketing Administrations* operating, maintaining, or utilizing one of the inventoried components of the Department's Single Integrated Financial Management System (SIFMS) must prepare and submit a financial management systems plan (see subparagraph III-10.e.(4) for M&O contractors). The inventoried financial systems of SIFMS include:

- Departmental Funds Distribution System (FDS),
- Financial Information System (FIS),
- Departmental Integrated Standardized Core Accounting System (DISCAS),
- Departmental Payroll/Personnel System (PAY/PERS),
- Departmental Budget Formulation System (DBFS), and
- management information systems of Southwestern and Western Area Power Marketing Administrations.

All organizations should provide their submissions with a memorandum signed by the Field CFO or Financial Officer. FMS Plan submissions are to be provided no later than April 30, 1998, to the Office of Corporate Financial Systems (CR-60), within the Office of Chief Financial Officer.

1 *CFO Five-Year Plan*.

a *FMS Schematic*. Provide a schematic of the FMS environment. Identify data flows, subsystem components, and interfaces to other major DOE financial systems.

b *Description of Operations*. Provide a brief description of the FMS operation, including dollars processed annually, for major financial accounting activities. Indicate FMS compliance with the principles and standards developed by the Comptroller General and implemented through OMB Circular A-127, and

with the "Core Financial Management System (FMS) Requirements" published by the Joint Financial Management Improvement Program. Use the format provided in Figure III-10e.1.

c *Justification of FMS Upgrades*. Provide a synopsis of the justification for the FMS upgrades currently undertaken or planned. The synopsis should include narrative descriptions of the following items: purpose, scope, functional objectives, technical approach, related functions to be replaced, key participating organizations, current status of project with anticipated completion date, and any other information necessary to provide an understanding of the project.

d *FMS Nonconformances*. List FMS nonconformances identified as a result of a Limited or Detailed Review or an independent third-party audit. If there are no nonconformances, indicate FMS compliance.

e *Improvement Projects and Milestones*. Provide a list of FMS improvement projects and milestones. Describe the FMS relationship and/or interface to the Department's Single Integrated Financial Management System and provide benefits to be realized upon implementation of planned improvements.

f *Inventory of Financial Systems*. Complete an inventory of the financial system currently being utilized as the baseline application. For all future targeted financial systems being developed or being modified to incorporate additional or different FMS data other than reported in the baseline application inventory, complete an additional inventory of the financial system, change the title on the format from "Inventory of Baseline Application" to "Inventory of New or Revised Application". Use the format provided in Figure III-10e.2.

2 *Report on Obligations for Information Technology*.

a *FMS Obligation Reporting*. The "Report on Obligations for Information Technology" is required by OMB Circular A-11, "Preparation and Submission of Budget Estimates". Reporting on FMS costs is required for all of the following types of systems even if they fall below the $50 million threshold (for life cycle costs): all core financial systems; financial and mixed systems critical to effective agency-wide financial management,

reporting and control; and any financial and mixed systems appearing on the high risk list in the most recent annual budget.

b *Purpose*. Data on acquisition, operation, and use of information technology are collected for oversight of the acquisition and use of automatic data processing, telecommunications, and other information technology to provide for more effective and efficient management of information and resources. Data gathered is used in direct support of information analysis and reporting required by the Chief Financial Officer's Act of 1990.

c *Detailed FMS Obligation Report*. Complete the OMB form "Report on Obligations for Information Technology" provided in Figure III-10e.3, using the OMB definitions provided below.

d *Definitions for FMS Obligation Reporting.*

1. Equipment	Any equipment or interconnected system or subsystem of equipment used in the automatic acquisition, storage, manipulation, management, movement, control, display, switching, interchange, transmission, or reception of data or information.
A. Capital purchases	Capital investments for equipment for data processing and telecommunications, such as supercomputers, mainframes, minicomputers, microcomputers, analog and digital private branch exchanges (PBX), ancillary equipment, such as disk drives, tape drives, plotters, printers, storage and back-up devices cable-connected to computers, digital imaging equipment, optical storage and/or retrieval equipment (e.g., optical character recognition devices, computer-generated microfilm and other data acquisition devices), punch card accounting equipment and office automation equipment that was designed for use in conjunction with or controlled by a computer system; telecommunications networks and related equipment, such as voice communications networks, data communications networks, local area networks, terminals, modems, data encryption devices, fiber optical and other communications networks, packet switching equipment, terrestrial carrier equipment (e.g., multipliers and concentrators), lightwave, microwave or satellite transmission and receiving equipment, telephonic (including cellular and other hand held devices) equipment, and facsimile equipment. Does not include furniture, typewriters, copiers, calculators, or microfilm/microfiche equipment.
B. Other equipment purchases/leases	Non-capital purchases or leases for equipment as defined above.
2. Software	Any software, including firmware, specifically designed to make use of and extend the capabilities of Federal Information Processing (FIP) equipment identified in item 1 above.
A. Capital purchases	Software purchases (including one-time obligations for long-term licenses) or leases costing $25,000 or more for system programs (e.g., control and library programs, assemblers, compilers, interpreters, utility programs, sort-merge programs, and maintenance-diagnostic programs); application programs; and commercial-off-the-shelf (COTS) software (e.g., word processing, communications, graphics, file-management and database management system software). Software also includes independent subroutines, related groups of routines, sets or systems of programs; databases; and software documentation.
B. Other software purchases/leases	Software purchases or leases costing less than $25,000.
3. Services	Any service, other than support services, performed or furnished by using the equipment or software identified in items 1 and 2 above. Services include teleprocessing, local batch processing, electronic mail, voice mail, centrex, cellular telephone, facsimile, and packet switching of data.
4. Support services	Any commercial services, including maintenance, used in support of equipment, software, or services identified in items 1, 2, and 3 above. Support services include source data entry, training, planning for the use and acquisition of information technology, studies (e.g., requirements analysis, analyses of alternatives, and conversion studies), facilities management of government-furnished information technology, custom software development, system analysis and design, and computer performance evaluation and capacity management.
5. Supplies	Any consumable item designed specifically for use with equipment, software, services, or support services identified in items 1, 2, 3, and 4, above.
6. Personnel (compensation and benefits)	Includes the salary (compensation) and benefits for government personnel (both civilian and/or military) who perform information technology functions 51% or more of their time. Functions include but are not limited to policy, management, systems development, operations, telecommunications, computer security, contracting, and secretarial support. Personnel in user organizations who simply use information technology assets incidental to the performance of their primary functions are not to be included.

7. Other (DOD only) A. Capital purchases B. Other purchases	Include items not otherwise reported in items 1 through 6 above. Items costing $25,000 or more. Items costing less than $25,000.
8. Intra-governmental payments	Payments for all information technology services within agencies, between executive branch agencies, judicial and legislative branches, and State and local governments.
9. Intra-governmental collections (-)	Collections for all information technology services within agencies, judicial and legislative branches, and State and local governments.
10. Total obligations	The sum of items 1 through 9 above.
11. Workyears	Estimated number of workyears associated with the civilian and/or military personnel reported in item 6 above.

Financial Management Systems Description

Organization: _____
Financial Management System: _____

System Manager:

(1) Name
(2) Title
(3) Address
(4) Telephone Number

DESCRIPTION OF SYSTEM

1. Purpose

   Include functions performed and applicable Reimbursable cross-servicing.

2. Major System Outputs

3. Major System Inputs

4. Annual Dollars Processed, Accounted, Controlled, etc.

5. Number of Transactions Processed Annually

   Unit costing of major types of transactions processed within program (indicate major types of transactions, number of transactions, total costs for number of transactions and unit cost of each transaction.)

6. Data Accuracy and Timeliness Indicators

Figure III-10e.1
FMS Description

Inventory of Baseline Application
Department of Energy

April 1998

Inventory of Financial Systems

Financial System Name: Single Integrated Financial Management System (SIFMS)
Application Name: _____

Responsible Organization, Contact Person, and Telephone Number
_____
Business Area Served: _____
Application Purpose: _____

Application Type (choose only one):

__ Acquisition (Procurement, Purchasing)
__ Core Financial
__ Executive Information System
__ Government-wide Processing/Information System
__ Personnel/Payroll - Civilian
__ Personnel/Payroll - Other (military, foreign service)
__ Other
__ Budget Formulation
__ Labor Distribution
__ Inventory/Property
__ Loan
__ Revenue
__ Travel
__ Inventory (Held for Sale)

Application Class (choose only one): __ Financial __ Mixed

Functions Supported (check all that apply):

__ General Ledger
__ Funds Control
__ Accounts Payable
__ Cost Accumulation/Distribution
__ Deposits
__ Time and Attendance
__ Civilian Payroll
__ Resource Planning
__ Inventory
__ Personal Property Management
__ Direct Loans
__ Grant Management
__ Training
__ Subsidies Management
__ Income Verification
__ Other (please specify) _____
__ Budget Execution
__ Budget Formulation
__ Accounts Receivable
__ Disbursements
__ Personnel
__ Labor Distribution
__ Military Payroll
__ Procurement
__ Seized/Forfeited Assets
__ Real Property Management
__ Guaranteed Loan
__ Management Information
__ Securities Management
__ Mortgage Insurance
__ Travel

Application Status: __ Operational __ Under Development __ Phased __ Discontinued

Figure III-10e.2
Inventory of FMS
(Page 1 of 4)

April 1998

Inventory of Financial Systems (Continued)

Financial System Name: Single Integrated Financial Management System
Application Name: _____

Future Plans for Application:

__ Not planned for upgrade or replacement in the next 5 years
__ Upgrade planned or underway *
__ Replacement planned or underway * (Identify replacement) _____
__ Plans not yet developed

* **System End Life** (Estimate the year the application is expected to be replaced or discontinued) _____

Date of Software Implementation (actual or projected: the date the application was originally implemented) _____

Date of Last Major Software Upgrade Implemented: _____

Year 2000 Status: __ Proven to be working __ Making fixes
__ Testing fixes __ Assessing application

Designation of Agencywide (Departmentwide) Standardized System:

__ Yes, the system has been designated as an agencywide (departmentwide) system for specific functions with central version control of software
__ No, the system performs specific functions for only portions of the agency (department), i.e., more than one system is performing the same function(s) for different components of the agency (department)
__ The system's status as an agencywide (departmentwide) system has not yet been determined

Does this application relate to any FMFIA non-conformances or material weaknesses? (reference page number(s) of 1997 FMFIA report): _____
_____

Compliance with JFMIP Functional Requirements:

__ Yes, the application meets functional requirements published by JFMIP for that application type
__ No, the application does not meet functional requirements published by JFMIP for that application type
__ Not applicable, application type is not core, travel, payroll, or loan

Compliance with Accounting Standards: (answer should be consistent with the determination of compliance with the provisions of the Federal Financial Management Improvement Act of 1996)

__ Yes, the application is substantially compliant
__ No, the application is not compliant
__ Compliance is undetermined

Figure III-10e.2
Inventory of FMS
(Page 2 of 4)

April 1998

Inventory of Financial Systems (Continued)

Financial System Name: Single Integrated Financial Management System (SIFMS)
Application Name: _____

Level of compliance with agency standard data classifications for recording financial events and reporting:

__ Total Information Architecture, meets all data classification standards within an agencywide information architecture for all information

__ Core Financial Information, meets agencywide data classification standards for only the accounting classification structure as described in JFMIP Core Financial Systems Requirements
__ Not expected to meet agencywide data classification standards because of replacement plans
__ Does not meet agencywide data classification standards for financial information
__ Agency does not have data classification standards for financial information

How does this application use the U.S. Government Standard General Ledger?

__ Fully implemented at transaction level
__ Partially implemented at transaction level
__ No implementation of the SGL
__ Not applicable

Level of Compliance with Government-wide and Agency-specific Functional Requirements (check one in each column):

External Reporting	Internal Reporting	Processing
__	__	__ Meets or exceeds all requirements
__	__	__ Meets most major requirements, but not all
__	__	__ Meets very few or no requirements
__		Not applicable

Source of Software (check all that apply):

__ Commercial off-the-shelf (list vendor and package name, if known)
__ Custom-developed (list contractor name or In-house)
__ Obtained from another agency (list the agency, if known)
__ Cross-serviced by another agency (list the agency, if known)
__ Not yet determined
__ Other (please specify) _____

Level of compliance with Agency Information Technology Standards:

__ Meets targeted agency IT standards planned for full implementation in the future
__ Meets current agency IT standards
__ Does not meet significant agency IT standards
__ Operates in obsolete IT environment
__ Agency does not have IT standards that apply to this application

Date Departmental IT Standards were issued: _____

Figure III-10e.2
Inventory of FMS
(Page 3 of 4)

April 1998

Inventory of Financial Systems (Continued)

Financial System Name: Single Integrated Financial Management System (SIFMS)
Application Name: _____

User of Services:

__ This application is provided by another agency on a cross-servicing basis
__ The system has been contracted out to a private party

__ The application is part of a governmentwide system and is available to all agencies for collecting or sharing of information
__ Not applicable

Provider of Services:

__ Provides external cross-servicing to another agency *****
__ Provides Governmentwide support, sharing or collecting governmentwide information
__ Not applicable

*** Number of Other Agencies Provided with Cross-Servicing: _____**

Annual Transaction Volume (financial events processed as transactions during a year): _____

Technical Environment (check all that apply):

__ Mainframe __ Midrange
__ Client/Server __ Personal Computer
__ Card Services __ Internet
__ Manual __ Other

List, if known, the hardware vendor, hardware type and general configuration (e.g., mainframe, PC, client-serve, LAN), operating system (e.g., MVS, UNIX), and primary data management environment (e.g., sequential files, VSAM, DB2, Oracle, ADABAS, Rdb). _____
_____
_____

Figure III-10e.2
Inventory of FMS
(Page 4 of 4)

REPORT ON OBLIGATIONS FOR INFORMATION TECHNOLOGY
DEPARTMENT OF ENERGY
Organization
FMS Name and Acronym
(in Thousands of Dollars)

Check only one:
__ Non-financial
__ Financial
__ Mixed (___% of Financial)

Check only one:
__ New system
__ Replacement system
__ Existing system (___% of upgrade(s))

	PY FY 1997	CY FY 1998	BY FY 1999
1. Equipment			
A. Capital purchases			
B. Other equipment purchases/leases	_____	_____	_____
Subtotal			
2. Software			
A. Capital purchases			
B. Other software purchases/leases	_____	_____	_____
Subtotal			
3. Services			
4. Support Services			
5. Supplies			
6. Personnel (compensation/benefits)			
7. Other (DoD only)			
8. Intra-governmental payments			
9. Intra-governmental collections	_____	_____	_____
10. Total obligations			
11. Workyears (FTEs)			

PY = Prior Year CY = Current Year BY = Budget Year

Figure III-10e.3
Obligations for Information Technology

(4) **Financial Management Systems (FMS) Plan Input for DOE Integrated Management and Operating (M&O) Contractors**. The Department relies heavily on the integrated management and operating contractors, which maintain separate sets of accounts and records for recording all business transactions in accordance with Departmental accounting practices and procedures. Each integrated contractor has a separate and unique financial management system with little commonality among the contractors except for their ability to report by the Department's requirements. DOE Departmentwide policy and procedures governing financial management systems activities are set forth in DOE Order 534.1, "Accounting", and have been established to ensure that:

- DOE integrated M&O contractors continue to work towards a single, integrated financial management system consistent with Office of Management and Budget Circular A-127 and the Chief Financial Officer (CFO) Act of 1990, and

- Funds should not be expended for integrated M&O contractor FMS corrective actions or enhancements that do not conform with Departmental FMS objectives nor for the continued operation of an FMS not in conformance with Departmental FMS objectives unless progress towards conformity is demonstrated.

(a) **Underlying Policy**. The Department encourages that each DOE integrated M&O contractor's financial system be integrated into and made a part of one modern, well planned and designed financial management system. This includes consolidation and standardization of similar type systems and sub-systems components to include financial system interfaces where possible and feasible, use of modern technology and systems concepts, single source entry, data base sharing, and flexible reporting processes.

(b) **Consolidation Goals**. The Department encourages each DOE integrated M&O contractor to work towards an integrated financial system made up of a single budget and accounting system, one payroll system, etc. These may be supported by subsystems for separate programs or organizational units, adapted to their needs, that use uniform procedures, data classifications, and definitions, and function as an integral part of the overall system. The purpose of the information reported is to ensure that FMS planned improvements conform with Departmental FMS objectives, identify opportunities for consolidation and standardization of FMS subsystem components, and provide FMS data for the preparation of DOE's FMS five-year planning strategies for annual reporting to OMB.

(c) **Reporting**. - All organizations utilizing, maintaining or operating one of the inventoried financial systems of the integrated M&O contractors must prepare and submit a financial management systems plan. Integrated M&Os should submit their FMS plan through the appropriate DOE field organization under a cover memorandum signed by the Field CFO or Financial Officer. One copy of the FMS submission is to be provided directly to the Office of Departmental Accounting and Financial Systems Development (CR-40), within the Office of CFO, no later than April 30, 1997.

(d) **DOE Integrated M&O Contractors FMS Plan**.

1 *FMS Schematics*. Provide a baseline and a five-year target schematic depicting the integrated M&O contractor's single, integrated FMS environment. Each schematic should be a high-level (1-page) diagram that identifies major data flows, subsystem components, and interfaces to other major contractor or DOE financial systems. Future FMS Plan submissions will be required to report progress against the baseline configuration.

The system categories below have been identified to aid integrated M&O contractors in determining those information systems that should be included in the FMS Plan. Contractors should identify their systems that fall into these categories and then determine if those systems are part of their single, integrated financial management system (i.e., they process financial events or pass a significant amount of financial data to other financial subsystems). Financial systems that do not fit into one of the defined system categories should also be identified. Additional criteria for including financial systems in the FMS Plan are:

- Systems with lifecycle costs > $250,000, or
- Systems having an external impact, or
- Systems supporting Records Management functions, regardless of cost.

The resulting set of systems should be reported in the FMS Plan. The candidate system categories are:

Accounts Receivable - Supports the billing, collection, and detailed reporting of taxes, fees, and other revenues.

Accounts Payable - Supports activities associated with establishing payables and disbursing funds. Examples of disbursement types include transactions for the payment of goods and services received, advances, prepayments, imprest fund reimbursements, loans, grants, transfer payments to persons, and insurance payments.

Budget/Funds Control - Supports the preparation of budget information during the budget formulation process and the establishment of a baseline from which to build the budget, tracks investments and modifications to the budget, and tracks the status of the budget request as it moves through the process until receipt of financial plan.

Cash Management - Supports receipt of monies due to the company and the management of the company's cash reserves, including managing cash-on-hand, managing deposits, monitoring Federal Reserve fund balances, making tax calculations and payments, and writing checks.

Cost Accounting - Supports the collection of data from the common data sources (and from the financial and budgetary accounting system as necessary), the processing of that data, and the reporting of cost information in general purpose and special purpose reports. As a part of the system, procedures and practices are established to enable appropriate collection, measurement, accumulation, analysis, interpretation, and communication of cost information.

DOE FIS/MARS Interface - Is the Departmental financial information system that accumulates data from financial subsystems and consolidates that data for Departmental reports issued internally, and to the OMB, Treasury and Congress.

General Ledger - Supports the structural discipline over data used in the financial accountability functions of budget execution, financial accounting, cash management, and cost accounting that is designed into financial management systems to ensure consistency with data used in the transaction tracking functions. General ledger control provides the structural framework to ensure financial accountability functions within an agency are maintained consistently throughout the financial management systems.

Grant Management - Supports management of grants (including shared revenue), subsidies, gratuities, and other aid for which cash payments are received by non-Federal Government organizations and individuals.

Human Resources - Supports Human Resources functions including Affirmative Action/Equal Opportunity Employment (AA/EEO), Benefits, Compensation, Labor Relations, Staffing, and Training.

Inventory - Supports the management of inventory used to support the mission of the agency and supports the functions of needs determination, inventory in storage, inventory in production, inventory disposition, and program planning and monitoring.

Labor Distribution - Supports distribution of employee labor charges across accounts.

Payroll - Supports collection and maintenance of payroll information, processes time and attendance information, performs leave and payroll computations (including retirement contributions), supports payments of social insurance benefits and other transfer payments, and calculates and delivers pay (checks, Electronic Funds Transfer, etc.).

Procurement - Supports the acquisition process of obtaining goods and services; prepares and tracks the status of requisitions, purchase orders, and contracts; records and validates the receipt of goods and services; and provides information to the core financial system for matching invoices and issuing payments.

Project Management - Supports planning and tracking of project tasks, estimating resource requirements, and measuring project results.

Property Management - Supports physical and accounting control over fixed and movable assets.

Real Property Management - Supports management and administrative activities associated with real property.

Service Centers - Supports collection of a specific service or group of services performed by specific technical and/or administrative services; distribution of costs at standard rates representative of services used by others; and often referred to as a recharge.

Time and Attendance - Supports capture, maintenance, and processing of time and attendance information to support both payroll and labor distribution.

Travel - Supports management of travel activities and expenses and prepares and tracks the status of travel orders, advances, and vouchers as they go through the various stages of preparation, approval, and processing.

2 *FMS Schematic Descriptions*. Provide separate text descriptions of the baseline, current (if included), and five-year target FMS schematics. These descriptions should be high-level and should explain the general sequence of processing and flow of information through the financial subsystems shown on the schematics. Descriptions should also explain subsystems that perform functions from multiple system categories and subsystems that actually represent multiple information systems (e.g., a Human Resources Information System shown on the schematic may actually be composed of 20 individual information systems). Improvements described in connection with the five-year target schematic should reference current or planned improvement projects.

3 *FMS Components List and Inventory*. Provide a list of all subsystems (e.g., a Payroll System, a Property System, etc.) that are part of the single, integrated FMS. Include subsystems that are planned or in development as a result of current systems modernization projects. The list should contain each system name, system acronym, and the associated system category.

4 *Description of Accomplishments*. Provide a description of accomplishments that would show an indication of the contractor's progress against the baseline and other significant systems/information sharing or integration efforts suitable for reporting to OMB. Accomplishments may include any of the following:

- any reduction in the total number of FMS components (from that reported in the baseline) (e.g., the combining of three site-specific systems into one centralized system with standardized business rules);

- any shared system efforts, including: 1) system demonstrations to other integrated M&O contractors, and 2) actual system transfers to other contractors;

- participation on any Financial Management Systems Improvement Council (FMSIC) Functional & Operational Requirements (F&OR) teams or other appropriate FMSIC initiatives (e.g., benchmarking);

- participation on other DOE contractor sharing or integration initiatives;

- any progress in the area of Electronic Commerce;

- use of commercial off-the-shelf (COTS) packages;

- franchising (providing services identified as a high-performance specialty area of the providing contractor to other integrated M&O contractors) or smartsourcing (efficient subcontracting of services that are outside the core competencies of the integrated M&O contractor) efforts; and

- money and FTE cost savings totals and process improvements achieved through modernization efforts.

5 *FMS Improvement Project Descriptions*. Provide a description of FMS improvement projects (new development or major enhancements to existing systems). Improvement projects should be reported in the FMS Plan if the project:

- does not represent maintenance and operations of existing systems,

- will cost $250,000 or more, and

- will take longer than six months from project initiation through the start of production runs (i.e., more than a six-month life cycle).

Project descriptions should include a high-level explanation of the project, the impact that the project will have on the baseline and/or current environment (including a discussion of systems that will be enhanced or replaced and new systems that will be created), and the total project cost by year from project initiation through implementation of new systems or completion of the project. Project costs should be included as a single total for each year that should include capital investments needed to support the system; personnel (contractor plus any subcontractor support) costs; equipment rental, space, and other operating costs; and commercial services costs. Personnel costs should include the costs of end-users who are dedicated to the project (even if they do not charge their time to the project).

Note: The Federal Information Processing Standards Publication 105, June 1994, page 6, defines "Maintenance/Enhancement" as "resolving problems not detected during testing, improving the performance of the product and modifying the system to meet changing requirements."

11. **LANDLORD FUNDING**.

a. Introduction:

(1) **For this budget cycle there are no other changes in funding responsibility or in funding methods for landlord cost. This means for budgeting purposes, landlord guidance entitled, "Secretary of Energy Landlord Funding Implementation Guidance" issued by the Director of Administration and Management on October 22, 1992 remains in effect for funding landlord costs.**

(2) For this cycle, previously named Lead PSOs retain indicated landlord funding responsibilities at designated Operations Offices and Site Offices. Previously named PSOs that were designated as the landlord for a contractor plant site shall continue their indicated landlord funding responsibilities for those sites.

(3) It is recognized that some specific changes in landlord designations have been recognized and approved since the issuance of the October 22, 1992 landlord guidance. Changes in landlord designation and funding responsibilities have only been made in instances where a replacement organization has agreed to assume the responsibility. Issues or concerns regarding landlord cost funding responsibility should be promptly raised to the Office of the Associate Deputy Secretary for Field Management (FM-1) and to the Office of the Chief Financial Officer (CR-1) for clarification/resolution.

b. Operations Offices:

(1) The funding requirements associated with Operations Offices can be viewed in two discreet categories. The first category is landlord, and the second is program direction.

(a) Landlord - In accordance with provisions of the October 22, 1992 landlord guidance memorandum, the then indicated lead PSO is responsible for funding the landlord requirements for designated Operations Offices. This includes any infrastructure requirements (such as a telephone switch that serves the entire reservation) that are not within the plant fences, as well as any other institutional support requirements that are not program or site specific.

1 Examples of institutional support requirements are:

- roads and grounds outside the plant fences
- site planning for other than a plant site
- Operations Offices security guards

- operation of the Operations Office Emergency Operations Center
- operation of any museums that are not operated by an M&O (in which case the M&O's overhead would fund the operation)

(b) Program Direction - Previously indicated lead PSOs are responsible for funding the salaries, benefits, travel and contractual services of the FTE's assigned to them. In addition, this PSO is to provide program direction funds for the general support that cannot be easily identified with any particular FTE.

1 Examples of general Operations Offices support costs are:

- rent
- communications
- utilities
- printing and reproduction
- janitorial
- maintenance of motor pool
- general administrative support services
- other contractual support service costs which are generally not easily identified with an individual FTE

c. Site Offices:

(1) Site Offices are DOE offices located at contractor facilities. The funding requirements associated with DOE Site Offices can generally be viewed in two categories. These are: 1) M&O provided services, and 2) program direction.

(a) M&O Provided Services - Any Site Office support costs that cannot be easily split out or identified to the Site Office due to co-location with an M&O should be absorbed by that M&O. These are usually insignificant in amount.

1 Examples of M&O provided services are:

- janitorial
- utilities

(b) Program Direction

1 In all cases Site Office costs are to follow FTEs assigned to these offices. Program-sponsored FTEs are to be funded by that program.

General FTEs (i.e., not associated with a particular program) assigned to a site by an Operations Office are to be funded by the Operations Office's previously indicated lead PSO. Programs are responsible for providing funding for the following costs associated with program:

- salaries
- benefits
- travel
- contractual services
- equipment

2 Contractual services should cover all costs that are in support of program FTEs. These support costs include, such items as physical security or training, that can easily be attributed to a particular FTE, are therefore to be appropriately funded by the associated program.

3 Any expansion of DOE Site Office costs that are directly attributable to a particular program shall be funded by that program. Examples of this would be relocation costs associated with moving program-dedicated FTEs or lease of additional space required for additional program FTEs.

d. Contractors:

(1) Landlord requirements associated with contractor plant sites (i.e., inside the plant fence) can be split into two categories. These are: 1) operating, and 2) capital requirements.

(a) Operating - Landlord operating costs are general costs that are allocated to benefitting programs. For instance, if a multi-program facility roof is repaired, the costs should be allocated to the various programs that use the facility. If, however, a single-program facility roof is repaired, that program should bear the cost.

(b) Capital - Capital expenditures cannot be split-funded. Therefore, the PSO that was previously designated as the landlord has site-wide responsibility to fund general capital requirements involving multi-program utilization. A capital requirement associated with a single-program facility, however, must be borne by the program.

12. **INDIRECT COSTS**.

a. Indirect Cost Review Process

(1) This guidance describes the process to be used by the Department of Energy (DOE) for review and oversight of accumulation and distribution practices and monitoring of contractor execution of Management and Operating (M&O) contractor and other contractor indirect costs. Indirect costs covered by this process include Site Overhead, Organizational Burden, Distributed Cost and Service Centers. Laboratory Directed Research and Development (LDRD) is currently excluded from substantive review. This process does not replace or limit review of indirect costs by any field office, but merely describes a minimum review for such offices to perform.

(2) **Definitions**: The following are definitions related to indirect costs. The first five definitions represent the standard types of indirect costs which are subject to review. All indirect costs of an M&O contractor will fit into one of these five categories.

(a) **Site Overhead Costs**. A component of indirect costs which are distributed to benefitting final cost objectives based upon a predetermined allocation methodology.

(b) **Organizational Burden**. Those costs associated with managing direct organizations (i.e., organizations whose labor is charged to and whose primary purpose is to support final cost objectives). Examples include the cost of managers, clerical support, supplies, and contractual services. These costs are generally distributed based on actual direct labor charged by that organization to specific final cost objectives, or to other organizations within the contractor's operation.

(c) **Distributed Cost**. Homogenous costs accumulated and allocated on a basis that is representative of the resources used. Includes allocated costs that do not fit in any other category.

(d) **Service Center Pools**. Costs associated with providing a specific service or group of services where the costs are accumulated and then charged to the user on a standard rate representative of the services used. This method is often referred to as a “recharge” or “buy by the drink”. Depending on the nature of the services to be provided, costs may be charged to other indirect cost pools or to final cost objectives.

(e) **Laboratory Directed Research and Development (LDRD)**. Costs incurred in accordance with DOE Order 413.2 for the purpose of pursuing new and innovative scientific concepts of benefit to the Department of Energy. Costs are assessed to all or most of the program efforts of the contractor. LDRD is covered by a separate review process embodied in DOE Order 413.2 and is excluded from substantive review at this time.

(f) **Indirect Cost (IC) Office**. Includes the Operations Offices and all other HQ and Field Offices that manage M&O contractors at which there are overhead and organizational burden costs, as defined in paragraphs (1) above.

(3) **Timeline**: DOE's Oversight and Review of Contractor Indirect Costs consists of several major elements to be completed on the following timeline:

(a) **Accumulation and Distribution Practices**. IC offices are to create, execute and annually update a five-year plan for the ongoing review of the contractor's accumulation and distribution practices.

(b) **Monitoring of Contractor execution of indirect costs**. M&O Contractors are to submit an annual execution plan to the appropriate IC Office **no later than October 1**.

(4) **Elements of Review and Oversight**

(a) **Ongoing Review and Verification of Contractors Cost Accumulation and Distribution Practices**. The IC Office is to perform an ongoing review and verification of the contractor's cost accumulation and distribution practices, as well as significant changes to these policies or practices. The policies and practices, as approved by DOE, should be in the form of a Cost Accounting Standards (CAS) disclosure statement. DOE will approve all practices that materially impact the outcome of cost allocations including description and definition of cost pools, content of the pools and the basis for allocation. (Any changes that would impact the current cost accounting disclosure statement or its equivalent are considered to be significant.) The IC Office may use a risk-based approach in deciding which pools are to be reviewed and their sequence. In addition, the IC Office will develop a Five Year Plan for this ongoing review and update the plan on an annual basis.

1 The reviews conducted by the IC Office, at a minimum, will include the following:

a Examine the budgeted and actual composition of the pool(s) to determine that the costs charged to pools are appropriate. The examination will include a review of transactions.

b Verify that cost was accumulated and allocated in accordance with CAS disclosure statements or some other approved policy/practice.

c Validate the appropriateness of the allocation base.

d Evaluate the reasonableness of costs budgeted and incurred.

e Determine that the cost belongs in the pool/cost center/organization and would not be more appropriately charged direct or allocated via another pool/cost center/organization.

f Determine that circumstances still warrant the need for the pool, and that the cost should not be accumulated and allocated in some other manner.

g Review may include a consideration of allowability of cost.

2 The product of this review is an internal report prepared by the IC Office for use in resolving issues with the contractor. Any significant problems or issues arising from the reviews will be reported to the DOE CFO.

(b) **Monitoring of Contractor Execution of Indirect Costs**.

1 Using the contractor's normal reporting format, IC Offices are to monitor each contractor's indirect costs against the amounts budgeted. **This is to be done at least semi-annually.**

2 At the beginning of the fiscal year, the contractor shall provide a time-phased indirect cost plan as specified by the IC Office.

3 The contractor shall provide variance analyses based upon criteria determined by the IC Office. The IC Office will ensure that significant variances and budget issues which may arise are resolved to DOE's satisfaction.

4 Problems and issues will be reported by the IC Offices to the DOE HQ CFO.

b. **List of IC Offices**. **As a minimum**, the following offices are to review and oversee accumulation and distribution practices and monitor contractor execution of indirect costs according to the guidance provided:

Albuquerque Operations Office
Chicago Operations Office
Ohio Field Office
Golden Field Office
Idaho Operations Office
Nevada Operations Office
Oak Ridge Operations Office
Richland Operations Office
Rocky Flats Field Office
Oakland Operations Office
Savannah River Operations Office
Naval Petroleum Reserves-CA
Naval Petroleum and Oil Shale Reserves-CO, UT, and WY

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CHAPTER IV

CROSSCUTS

1. **INTRODUCTION** Crosscuts are vehicles used by Headquarters Organizations to consolidate the total amount being budgeted for a functional cost which is funded by numerous programs. Copies of these crosscuts shall be simultaneously submitted to Headquarters Organizations who have oversight responsibilities as indicated below in the following matrix:

CROSSCUTS	Completed by:		Point of Contact	Phone
	M&O	Ops/FO		
Environmental, Safety and Health	X	X	Ray Blowitski (EH-30.2)	301-903-9878
Safeguard and Security Budget Estimates	X	X	Alice King or Karen Stewart (NN-513)	301-903-8782 301-903-9934
Information Management	X	X	Marlene Lydick (HR-42)	202-586-3278

2. **ENVIRONMENT, SAFETY AND HEALTH: Supplementary Budget Submission Guidance**.

a. Departmental ES&H Policies, and Information Requirements

(1) In the Departmental Strategic Plan submitted to the Office of Management and Budget and to the Congress on September 30, 1997 as required by the Government Performance Results Act (GPRA) of 1993, the second strategy for accomplishing the ES&H Objective for Corporate Management is to: *"Clearly identify and fund ES&H priorities and ensure resources are appropriately spent on those priorities"*. The Department has committed to the following under GPRA:

- *"Conduct sufficient workscope planning and identify and fund ES&H priorities in the FY 1999 budget and annually thereafter."*

- *"Starting in October 1997, annually monitor and report on ES&H expenditures and improve related internal controls."*

(2) DOE Safety Management System Policy (DOE P 450.4 dated 10-15-96) establishes requirements for the institutionalization of Integrated Safety Management (where safety means Environment, Safety and Health) throughout the DOE complex. The Objectives of Integrated Safety Management are:

"The Department and contractors must systematically integrate safety into management and work practices at all levels so that missions are accomplished while protecting the public, the worker, and the environment. This is to be accomplished through effective integration of safety management into all facets of work planning and execution. In other words, the overall management of safety functions and activities becomes an integral part of mission accomplishment."

(3) The Department of Energy Acquisition Regulations (DEAR) 48 CFR were modified (final rule dated June 27, 1997) to add a new Clause 970.5204-2 Integration of Environment, Safety and Health into Work Planning and Execution. This new clause, which will be made a part of all contracts by December 31, 1997, requires:

"The contractor shall ensure that management of ES&H functions and activities becomes an integral but visible part of the contractor's work planning and execution processes"

"On an annual basis, the contractor shall review and update for DOE approval, its safety performance objectives, performance measures, and commitments consistent with and in response to DOE's program and budget execution guidance and directions. Resources shall be identified and allocated to meet safety objectives and performance commitments as well as maintain the integrity of the entire system. Accordingly, the system shall be integrated with the contractor's business processes for work planning, budgeting, authorization, execution and change control."

As currently structured, the ES&H Management Planning Process is intended to satisfy the work planning and budgeting aspects of these requirements.

(4) Guiding principles and core functions for integrating ES&H activities into work planning and execution processes are provided in three documents - (a) The Department's Implementation Plan in response Defense Nuclear Facility Safety Board (DNFSB) Recommendation 95-2, (b) Integrated Safety Management, DOE P450.4, and (c) DOE G 450.4-1, Integrated Safety Management System Guide dated November 26, 1997. Information is required as part of this Supplementary Budget Submission on two of five core functions: Define the Scope of Work, and Provide Feedback and Continuous Improvement, and two of the seven Guiding Principles of Integrated Safety Management: Balanced Priorities (Resources are effectively allocated to address safety, programmatic, and operational considerations), and Competence Commensurate with Responsibilities (Personnel possess the experience, knowledge, skills, and abilities that are necessary to discharge their responsibilities).

(5) There are a variety of annual external requests for data pertaining to the ES&H component of the Department's budget. The Department requires information on ES&H resource needs and planned allocations to effectively respond to Federally mandated external reporting requirements to OMB, Congress, and EPA. These reports include the ES&H Budget Summary/Crosscut, OMBCircular A-11, Federal Agency Environmental Program Planning (FEDPLAN) in response to Executive Order 12088, Federal Compliance with Pollution Control Standards, the Government Management Reform Act of 1994 with respect to ES&H Compliance Liabilities, and the Pollution Prevention/Waste Minimization Crosscut Report. The annual ES&H budget formulation information submission is used to respond to these requirements.

(6) The DOE Action Plan for Improved Management of Brookhaven National Laboratory assigned the CFO the responsibility of establishing a Corporate Budget Formulation and Execution Process for ES&H and infrastructure. The additional elements of the expanded ES&H Process needed to address work

execution, in addition to the traditional reporting on ES&H budget formulation requirements, are incorporated in this Field Budget Call.

b. ES&H Expections.

The ES&H Management Plan information requested each year is designed to communicate answers to basic risk management questions to departmental senior management during the Corporate Budget Review process. In addition, in order to meet the Departmental commitments under GPRA and in response to the BNL Action Plan, commencing with this year, information is requested concerning major ES&H commitments during work execution. **Throughout this supplementary guidance the term "ES&H Management Plan" should be considered synonymous with the "Integrated Safety Management System Description annual update" required by 48 CFR (DEAR) 970.5402-2.** Specific information which should be addressed in both the budget formulation and execution material provided in response to this section include the following:

- A description and estimated cost of the major ES&H activities that need to be performed at the site/facility:

  (1) to prevent accidents and manage immediate risks to the public, site workers or the environment;

  (2) develop and implement integrated ES&H programs (Integrated Safety Management);

  (3) achieve compliance with all applicable ES&H laws, regulations, and DOE Orders, prepare for external oversight, and meet commitments to regulatory bodies (such as DNFSB recommendations accepted by DOE, commitments with regulators, compliance agreements, etc.); and

  (4) continue to improve ES&H performance and promote excellence.

- The priorities associated with these activities during the period FY 1998 - FY 2000 or the outyears, i.e. when these activities will be accomplished.

- Identify who is responsible for funding and managing these activities.

- Identify what major ES&H vulnerabilities exist at the site/facility.

- Identify strategies to address these vulnerabilities in the prior year, current year, budget year or the outyears. This should also include planning for activities,

such as for pollution prevention or waste minimization processes, that look at alternate strategies to prevent the realization of the hazards in the first place.

- o Identify any risk that cannot be effectively managed within current projected budgets and any mitigating actions taken to address those risks.

c. ES&H Reporting Requirements

In order to respond to these various ES&H policies and information requirements, and to assure that sufficient resources will be available to enable the work of the Department to be carried out in a safe and environmentally sound manner, ES&H must be an integral and visible component of the Department's budget and work execution. This assurance requires that certain information on the ES&H component of the Department's proposed budgets be available to DOE line managers in the field and at Headquarters during the Corporate Budget Review and during the annual work plan (execution) development process update.

(1) The annual ES&H budget formulation information submission is used to response to the Corporate Budget Review Process requirements for work planning and budgeting. This information is designed to communicate answers to basic budget and risk management questions concerning the Budget Year (FY 2000) including:

- o An activity level ES&H data submission providing information on the scope, priorities, and resources for ES&H activities from FY 1998 through FY 2000 and the outyears.

- o A text summary of major ES&H issues, summary budget information, and risk management conclusions for the budget year (FY 2000) for the site.

- o For ES&H Compliance Activities included in the ES&H data submission, a Management Signature attestation, including a check off of the management approval field in the ES&H ADS (or equivalent) indicating management has reviewed and approved the scope and cost estimates of the activity, and a statement in the formal transmittal letter signed by the appropriate senior manager attesting to the accuracy of the cost and scope of the ES&H data. Such a statement might be: "the ES&H activities provided in the roll-up data have been reviewed by management. The compliance activities represent our best estimate of the scope and cost of activities needed to bring the facility into compliance with laws,

regulations, executive orders, and DOE Order requirements addressing significant risks."

Note: Since compliance activities are considered ES&H liabilities under the Government Management Reform Act of 1994 (GMRA) which must be booked in the Department's annual financial statement, the compliance activities submitted for the FY 2000 data call should be traceable back to the compliance activities identified during the FY 1999 budget cycle. On an annual basis, the CFO will ask sites the verify their ES&H liability total and activities. Therefore, the site and Operations/Field Office must be able to reconcile differences between compliance activities submitted between two subsequent annual budget submissions. Any differences should be known and attributable to a reason, i.e. either the activity was completed in the fiscal year, activity rescoped, or activity no longer considered a compliance issue.

(2) Accompanying the annual ES&H budget formulation information submission shall be information concerning the integration of ES&H into the operational work plans for the site. This information is designed to communicate a top level look at contractor accountability for meeting safety performance objectives and commitments in response to DOE direction. Information which should be provided includes:

- A summary of the major ES&H commitments being addressed in the FY 1998 work plan and progress made in meeting those commitments, and site level summary of ES&H funding.

(3) At the beginning of the new fiscal year, an annual ES&H Commitment Affirmation Letter shall be developed to respond to the annual work plan (execution) development and approval process. This letter is designed to communicate answers to basic work execution questions including:

- A summary of the major ES&H commitments that were addressed in the FY 1998 work plan with their final end-of-year status.

- A summary of the major ES&H commitments incorporated in the FY 1999 work plan.

- A summary of the remaining major ES&H risks (i.e., those risks not adequately addressed in the FY 1999 work plans).

d. General Guidelines.

(1) The ES&H Management Planning Process is an important part of the Department's Integrated Safety Management System. It provides the structured management process, and an optional set of tools, that enables DOE to discern the ES&H aspects of all of its business lines. The ES&H Management Planning Process provides the vehicle by which ES&H priorities can be established and by which budgets for ES&H activities can be developed and funded by the Department of Energy. The resultant ES&H budget formulation information facilitates Headquarters decision-making and stakeholder communication.

(2) The review of planned ES&H programs, the integration of ES&H planning into overall program planning, and the analysis of ES&H budget needs is a formal part of the Department's Corporate Budget Review Process. To support this review and budget analysis, summary information and conclusions from each site's ES&H Management Plan should be compiled and submitted as part of the formal Field Budget submission materials to their Operations/Field Office. In general, this information covers the scope, priorities, and resources for ES&H activities, a summary of major ES&H commitments for the work execution, and a summary of risk management conclusions for the site for the budget year.

As part of the Corporate Budget Review Process, it is anticipated that teleconferences will be held with senior management at each Operations/Field Office and appropriate Headquarters CSOs, CR, and EH to discuss the major ES&H needs and operational issues at each site which may require attention during budget decision-making.

Following the Corporate Budget Review Process, the information will be updated to reflect budget decisions and be used to prepare required reports to external organizations, specifically the ES&H Crosscuts for the Department's OMB and Congressional Budget Submissions, the annual FEDPLAN Report required by Executive Order 12088 (formerly known as A-106) and Reports of Pollution Control Programs for OMB Circular A-11, and the annual update to the Waste Minimization and Pollution Prevention Crosscut Plan.

(3) **ES&H Budget Formulation Information Submission for FY 2000**. Each operating organization should provide the following information in a text summary (with electronic backup), extracted from its ES&H Management Plan.

(a) **Summary ES&H Financial Information**

- Total direct ES&H costs broken down by Resource Structure Code or Budget & Reporting (B&R) Code, and by category of funding (i.e., operating, capital equipment, General Plant Project, or Line Item) for FY-1998 through FY-2000.

- Total allocated (indirect) ES&H costs broken down by the Resource Structure Codes or B&R Codes to which the costs have been allocated for FY-1998 through FY-2000.

- Annual direct and allocable funding levels for each of the ES&H functional areas from FY-1998 through FY-2000. Significant increases or decreases during the FY 1998-FY 2000 period in any functional area should be explained. The ES&H functional areas are defined in the Department's ES&H Guidance for FY 2000 Budget Formulation and Execution Commitments Reporting, and included as Attachment B to this supplemental guidance.

Note: Each of these summary cost reports is a standard output report that can be produced directly from the ES&H Management Plan Information System software provided by the Office of Environment, Safety, and Health to support the preparation of ES&H Management Plans.

(b) **Important Risk Management Conclusions for the FY 2000 Planning Year**

- Identification of the most important ES&H risk management issues being addressed at the facility within the current budget targets for FY 2000 (this should not be a compendium of ES&H issues, but should focus on the most significant ES&H issues confronting the facility). While it is not required that issues be reported for FY 1999, the sites should review and update their FY 1999 issues identified in the prior year's ES&H budget formulation information submission since these issues will need to be reported in October by letter report.

- Identification of any significant ES&H risks that are not or will not be adequately addressed at the requested budget level. Identify administrative or other compensatory measures planned to address these risks. Identify any future, increased costs that may result if these risks are not addressed during the budget year.

- Identification of the highest ranking unfunded activities (i.e., the most important candidates for funding should additional resources become available).

- Identification of any unfunded (or under funded) activities that address emerging ES&H issues, or important areas defined in the EH or CSO strategic guidance. The risks associated with not funding these activities should be clearly articulated.

- Identification of any unfunded (or under funded) activities that represent good investments in risk management and prevention, even though they do not address immediate, significant risks.

(c) **Budget Analysis Support Information**

- Identification of the major planning assumptions related to changes in facility programs and mission.

- Identification of the bases and major assumptions used in deriving ES&H funding targets.

- Identification of ES&H activities whose funding would be jeopardized if budgets are cut (e.g., the ADSs whose relative ranking places them just above the funding line).

- Description of the impact on ES&H programs of a decrement level reduction in total site budget. (Note: assume a 10% decrement if no specific departmental or responsible Cognizant Secretarial Office (CSO) decrement is established.) Identify the specific programs that would be impacted and the increases in risk that would be expected.

- For sites where major uncertainties in programmatic funding (i.e., the termination or initiation of a major project) exist, a description of the impact of that potential change on ES&H programs and funding should be provided.

The ES&H budget formulation information submission consisting of summary ES&H financial information, ES&H risk management conclusions, and budget analysis information should be prepared by each operating organization for their site, and provided along with a roll-up disk of their site ES&H Activity Data Sheet data (or other CSO specified reporting mechanism) to the Operations Office (or responsible DOE Organization).

(4) **FY 1998 ES&H Commitments Submission**. Along with the ES&H budget formulation information described in the previous section (IV.1.d.(3)), each operating organization should provide the following information by text summary (with electronic backup), extracted from its ES&H Management Plan. Note, this information on FY 1998 commitments will need to be updated and progress verified by letter report in October.

(a) **FY 1998 ES&H Commitments and Progress**

- Description of the major ES&H work commitments, agreed to by DOE and the site contractors, which are incorporated into the site operating work plans for FY 1998. These commitments should address the most important ES&H risk management issues at the facility within the FY 1998 funding appropriation at each site (this should not be a compendium of ES&H issues, but should focus on the most significant ES&H issues at the facility).

- Identification of any significant ES&H risks that are not or will not be adequately addressed in the FY 1998 work plans. Identify administrative or other compensatory measures planned or currently being taken to address these risks. Identify any future, increased costs that may result if these risks are not addressed during the budget year.

- Identification of the highest ranking unfunded activities (i.e., the most important candidates for funding in the FY 1998 work plan should additional resources become available).

- Identification of any unfunded (or under funded) activities that address emerging ES&H issues, or important areas defined in the EH or CSO strategic guidance. The risks associated with not funding these activities should be clearly articulated.

(5) Each Operations Office (or responsible DOE organization) should review and approve the information provided by each operating organization. In particular, Operations Office financial managers should ensure consistency between the financial information supplied in the ES&H budget formulation information submission with accompanying FY 1998 ES&H commitments and progress submission, and the primary budget submission materials comprising the Field Budget Submission package.

(a) The Operations Office (or responsible DOE organization) should consolidate the ES&H budget formulation information submission and

accompanying FY 1998 ES&H commitments and progress submission described in sections IV.1.d.(3) and (4) from each site within its purview to produce an integrated Operations Office ES&H budget formulation information submission and FY 1998 ES&H commitments and progress submission. This consolidated summary report should be provided to the Office of the Chief Financial Officer (CR), the Assistant Secretary for Policy (PO), the Assistant Secretary for Environment, Safety, and Health (EH), and each responsible Cognizant Secretarial Officer (CSO). In addition, all ES&H activity data should be rolled up to EH, and the CSO should be provided with a rollup of all ES&H activities for which the CSO has funding or oversight responsibility (as landlord). Roll-up and reporting of information to the Cognizant Secretarial Office is delineated in the following subsections.

(b) The Operations Office (or responsible DOE organization) should provide EH and the landlord Secretarial Office for each site a complete set of ES&H activity data (as defined in the Department's ES&H Guidance for FY 2000 Budget Formulation and Execution Commitments Reporting for:

1 all activities (whether considered target or unfunded) that are direct funded by the landlord CSO;

2 all of the activities (whether considered target or unfunded)funded out of allocable cost pools that allocate costs to multiple CSOs;

3 all of the activities (whether considered target or unfunded) funded out of allocable cost pools that allocate all costs to the landlord CSO;

4 the resource allocation tables for all allocable cost pools; and

5 the ES&H budget formulation information submission and FY 1998 ES&H commitments and progress submission described in section IV.1.d.(3) and (4).

(c) The Operations Office (or responsible DOE organization) should provide Other Cognizant Secretarial Officers that fund ES&H activities at a facility, but are not the facility landlords, with the data for all of their direct funded ES&H activities. Also, if there are any allocable cost pools used at a facility that allocate all costs to only one CSO, then the ES&H activity data for the activities funded from these single CSO cost pools and the resource allocation schedule should be reported to that CSO. For example, assume that the Facility X (DP Landlord) ES&H Management Plan contains the

following types of ES&H activities (whether considered target or unfunded):

1 Activities that are direct-funded by the Assistant Secretary for Defense Programs (DP),

2 Activities that are funded out of allocable cost pools from which costs are allocated to multiple SOs,

3 An activity that is direct funded by the Office of Energy Research (ER),

4 Several activities direct funded by the Office of Environmental Management (EM), and

5 Activities that are funded out of an allocable cost pool from which costs are allocated only to Resource Structure Codes that are the responsibility of ER.

The Operations Office would send all data to EH. It would send DP, the landlord, the ES&H activity data for the activities in categories (1) and (2) above, the resource allocation schedules for all allocable cost pools except the pool described in item (4), as well as the ES&H budget formulation information submission and FY 1998 ES&H commitments and progress submission. The Operations Office would also send ER the ES&H activity data from categories (3) and (5) above, and the resource allocation schedule for the allocable cost pool covering the activities in category (5). Finally, the Operations Office would send EM the ES&H activity data in category (4). Since EM guidance specifies an alternate reporting format, the data in category (4) should be reported in the EM PBS format in lieu of ES&H MPIS format.

(d) For sites using the ES&H Management Plan Information System (ES&H MPIS) software, this information is already captured in the database, and should be provided to the appropriate Secretarial Office on a roll-up diskette(s). Preparation of roll-up diskette(s) is described in the ES&H Management Plan Information System Users' Manual.

(6) **ES&H Commitment Affirmation Letter**. By October 31, 1998 each Operations/Field Office Manager (or responsible DOE organization manager) shall submit a letter report for each site for which the Manager is responsible, outlining the following:

(a) Historic (Just Completed) Execution Fiscal Year Information (FY 1998)

1. Confirm or validate that the major ES&H work commitments agreed to by DOE and the site contractors in the FY 1998 work plans were completed. These commitments should be the same as those described in the ES&H budget formulation information submission in April. If any of the commitments previously described in the April submission were not met, provide a brief explanation and indicate whether formal change control was exercised including DOE approval (e.g. funding was reallocated to address an emergent issue and this commitment will be accomplished in FY 1999).

2. Table of actual ES&H expenditures for FY 1998, by functional area.

(b) Prior Year - Current Execution Fiscal Year Information (FY 1999)

1. Description of the major ES&H work commitments, agreed to by DOE and the site contractors, which are incorporated into the site operating work plans for FY 1999. Again, these commitments should address the most important ES&H risk management issues being addressed at the facility within the FY 1999 funding appropriation at each site (this should not be a compendium of all ES&H issues, but should focus on the most significant risk issues at the facility).

2. Identification of any significant ES&H risks that are not or will not be adequately addressed in the FY 1999 work plans. Identify administrative or other compensatory measures planned to address these risks. Identify any future, increased costs that may result if these risks are not addressed during the budget year.

3. Identification of the highest ranking unfunded activities (i.e., the most important candidates for funding in the FY 1999 work plan should additional resources become available).

4. Identification of any unfunded (or under funded) activities that address emerging ES&H issues, or important areas defined in the EH or CSO strategic guidance. The risks associated with not funding these activities should be clearly articulated.

5. A Table of planned ES&H expenditures for the fiscal year, by functional area.

Affirmation by the responsible DOE Manager that sufficient resources (funding and FTEs) are available to meet the established commitments.

The Letter Report should be submitted to the Office of the Chief Financial Officer (CR), the Office of Environment, Safety and Health (EH), and the landlord Cognizant Secretarial Officer (CSO).

e. Summary Information Requirements and Schedule. This section describes the specific ES&H budget information expectations for Fiscal Year 2000, the ES&H commitment submission expectations, and suggested steps in the preparation and roll-up of the information. Figure IV-1.1 provides a summary of the basic ES&H budget information expectations for Fiscal Year 2000, FY 1998 ES&H commitments and progress submission expectations, and the ES&H commitments affirmation letter expectations.

(1) **Plan Preparation Steps**. Figure IV-1.2 lists the major steps suggested for the preparation of operating organization ES&H Management Plans and resulting ES&H budget formulation information submission and ES&H commitments submissions. In practice, the preparation of quality information typically involves iterations within and among these major steps, as well as periodic reviews to assure accuracy, completeness, and internal consistency. The second column of Figure IV-1.2 identifies the responsibilities for performing each step.

After completion and management approval, operating organizations submit their ES&H activity information to the appropriate DOE Operations Office (or responsible DOE organization). The Operations Office (or responsible DOE organization) is responsible for reviewing the planning information provided for each of its sites and facilities, and providing approved ES&H activity information to the responsible Headquarters Cognizant Secretarial Offices (CSO). In parallel with this process, section IV.1.d.(3) and (4) above requires that specific information from the management plans be submitted as part of the package of Supplementary Budget Materials. Section IV.1.d.(6) requires a later submission. Figure IV-1.3 identifies the major steps in this roll-up and review process; specific roles and responsibilities of ES&H, line-program, and financial managers for performing each step.

Specific directions on the information system requirements for the ES&H data submission are as follows:

(a) The ES&H Management Plan Information System (ES&H MPIS) software is the preferred reporting format, however, it use is not mandatory. Use of other reporting formats, in lieu of the ES&H MPIS, is described in the next two paragraphs. For sites utilizing the ES&H MPIS, the ES&H MPIS software should be used to report all site ES&H activities, including both

target level ES&H budgets, i.e. all safety and health activities and non-EM environmental activities, and unfunded ES&H activities, whether funded by direct or indirect funds to all Cognizant Secretarial Officers. Activity Data Sheets prepared using the ES&H MPIS and submitted to the Cognizant Secretarial Officers (CSOs) by the Field through the Operations/Field Offices should be prepared and prioritized in accordance with guidance provided in the ES&H Guidance for FY 2000 Budget Formulation and Execution Commitments Reporting as augmented by any CSO specific budget guidance. The use of the ES&H MPIS is encouraged since this format is used for reporting ES&H information external to the Department during the OMB and Congressional Budget stages.

(b) Where other reporting mechanisms have been specified by the funding CSO's budget guidance, submit the environment, safety and health funding activity data electronically using the CSO specified format. To ensure external departmental ES&H reporting needs can be met, the CSO specified format must meet the following:

- The CSO format must provide data for each of the "required" data fields in the ES&H Activity Data Sheet (see Appendix A).

- Non-EM ES&H data should still distinguish between core, compliance and improvement categories. Compliance activities should meet the continuity requirements with the prior year submission described above in section IV.1.c.2.

- In addition, each CSO allowing the use of an alternate reporting mechanism must ensure each site submits the information specified in sections IV.1.d.(3), (4) and (6) of this guidance.

Note: Since ES&H data submitted via the ES&H MPIS is used for external reporting, any CSO specifying an alternate format will be responsible for ensuring the data received from the field is converted to an appropriate format for making external reports, i.e. either ES&H MPIS format or specific external format, such as the EPA's FEDPLAN PC database. EH will no longer take responsibility for doing data conversion or external reporting from alternative CSO databases (unless that CSO converts its data to ES&H MPIS format).

Any ES&H Activity Data submitted by another reporting mechanism should still be prepared and prioritized consistent with the guidance provided in the ES&H Guidance for FY2000 Budget Formulation and Execution Commitments Reporting.

For the FY 2000 budget cycle, the Office of Environmental Management (EM) has chosen to report its ES&H activity data in the Project Baseline Summary (PBS) format. EM sites preparing EM ES&H activities should follow the applicable EM Guidance. EM sites will still be required to submit the ES&H information described in sections IV.1.d.(3), (4), and (6). In addition, EM landlord sites which have ES&H activities direct funded by other CSOs should report those ES&H activities in the format specified by those other CSOs. In most cases, this will be the ES&H MPIS format.

(c) It is recognized that in meeting the requirement of 48 CFR (DEAR) 970.5204-2 to integrate ES&H into the contractor's business processes for work planning, budgeting, authorization, execution and change control, the ES&H MPIS software may still be a stand-alone system at some sites and not integrated well into contractor specific business processes. In such cases, the contractor may elect to prepare its ES&H work execution and budget formulation information using its site specific reporting mechanisms, and to electronically submit their environment, safety and health funding activity data using an alternate format, provided the following conditions are met.

- The alternate reporting mechanism should be a database type system (ideally one that uses a format compatible with the ES&H MPIS.)

- The contractor must submit a request to use this alternate reporting mechanism to its landlord CSO, via the Operations/Field Office no later than February 15, 1998, and receive authorization from the CSO to use the alternate reporting mechanism. The CSO should then notify EH and CR no later than April 1, 1998 of any sites for which alternate formats have been approved.

Also, to ensure external departmental ES&H reporting needs can be met, the contractor's database must meet the following:

- The contractors database must provide data for each of the "required" data fields in the ES&H Activity Data Sheet (see Appendix A).

- Non-EM ES&H data should still distinguish between core, compliance and improvement categories. Compliance activities should meet the continuity requirements with the prior year submission described above in section IV.1.c.2.

- In addition, the contractor using an alternate reporting mechanism for its data is still required to submit the information specified in sections IV.1.c.(3), (4) and (6) of this guidance.

Note: ES&H data submitted via the ES&H MPIS is easily used for external reporting. However, if the data received from the contractor is in an alternate format that can not be combined with other departmental data in ES&H MPIS format, the contractor will be required to convert its data to an appropriate format for making external reports, e.g. EPA's FEDPLAN PC database. EH will no longer take responsibility for external reporting in the event alternative reporting methods are adopted by contractors (unless the data has been converted by the contractor to ES&H MPIS format).

Any ES&H Activity Data submitted by another reporting mechanism should be prepared and prioritized consistent with the guidance provided in the ES&H Guidance for FY 2000 Budget Formulation and Execution Commitments Reporting.

(2) **Schedule**. The ES&H Budget Formulation Plan derived from each ES&H Management Plan plays an important role in the Department's budget decision-making process. Therefore the production schedule for the Plan supports various milestones in the budget process. Figure IV-1.4 lists the major milestones associated with the production of the ES&H Management Plans. In addition to the milestones in this table, individual CSOs or Operations Offices may establish specific, interim milestones to facilitate their consolidation and review of the planning information.

(3) Complete guidance and instructions for preparation of the ES&H Management Plan is provided in the Department's ES&H Guidance for FY2000 Budget Formulation and Execution Commitments Reporting. The key features of this document have been included with this guidance in the following attachments.

- Attachment A - Activity Data Sheet Form Instructions (Appendix A of the Guidance).

- Attachment B - Functional Area Descriptions (Appendix B of the Guidance)

The ES&H Guidance for FY2000 Budget Formulation and Execution Commitments Reporting can be obtained through the ES&H Management Plan World Wide Web Site on the EH TIS Homepage. The URL for this website is: "http://tis-nt.eh.doe.gov/bps/eshplan". For additional information, contact Raymond Blowitski (EH-73) at 301-903-9878 or through the internet by email at "Ray.Blowitski@eh.doe.gov".

Basic ES&H Budget Information Expectations

Scope Description (for Individual Activities)	A summary description of ES&H support activities planned at the facility for FY-1998 through FY-2000 assuming target level funding. These activities should be subdivided into Core, Compliance, and Improvement activities. Information necessary to support external Environmental reporting requirements should be provided. **(Note: Compliance activities are considered to be departmental ES&H liabilities under the Government Management Reform Act. As such, a signed copy of each Compliance activity should be retained at each site which may be auditable by the Inspector General.)**
	A summary description of unfunded Compliance activities.
Budget Information (for Individual Activities)	The total direct and the total indirect cost of these activities for FY-1998 through FY-2000, broken down into the ES&H functional areas. (Note: the ES&H software is also designed to collect outyear funding. Though not required (except for Compliance activities) it is recommended ES&H planning be extended into the outyears for all activities. Outyear funding projections may also be required by CSO Budget Guidance.)
	The total cost-to-complete (beyond FY 2000) for Compliance activities.
	The appropriate B&R codes and category of funding (operating, capital, GPP, or line item) for direct-funded activities.
	The appropriate facility indirect resource pool for indirect-funded activities, and the resource allocation schedule for each pool that funds ES&H activities.
Skill Mix Information (for Individual Activities)	Facility-wide summary of FTE requirements for FY-1998 through FY-2000, broken down into ES&H functional areas.
FY 1998 Commitments & FY 2000 Facility-wide Risk Management Information	Facility-wide summary of the major ES&H commitments being addressed in the FY 1998 work plan.
	Facility-wide summary of the major ES&H risks and the activities being planned in FY 2000 to manage these risks.
	Facility-wide summary of any major significant risks that cannot be adequately addressed in FY 1998 and within proposed FY 2000 budgets.
	Relative risk priority information for funded and unfunded Compliance activities.
	Synopsis of additional facility risk management and ES&H budget analysis information
ES&H Commitment Affirmation Letter	Summary of major ES&H commitments completed in FY 1998 and/or reasons major agreed upon commitments were not met.
	Summary of major ES&H commitments to be completed in the FY 1999 work plan, and assurance that sufficient ES&H resources have been allocated to meet these commitments.

Figure IV-1.1

Major Steps in the Preparation of Operation Organization
ES&H Management Plans

Planning Process Step	**Primary Responsibility**
1. Perform ES&H Needs Assessment to identify programmatic requirements, current deficiencies, and emerging issues.	o Program line managers define ES&H support needs and provide information to ES&H managers. o ES&H managers define site-wide ES&H needs.
2. Prepare ES&H Activity Data Sheets (ADSs), or equivalent, to describe and characterize all ES&H activities and programs.	o Line and ES&H managers responsible for managing and performing the work provide information on the ES&H activities and programs. o Financial management personnel support preparation and update of the ES&H activity cost information. o ES&H Management Plan Information System (or equivalent) Administrator (i.e., the individual responsible for management and configuration control of the software) manages data entry.
3. Evaluate risk-reduction of ES&H Activities and establish relative ranking of ES&H Activities .	o Committee of mangers representing broad spectrum of expertise in ES&H disciplines, and having extensive knowledge of a facility's operations, potential risks, and operating history, evaluate ES&H activities . o ES&H Management Plan Information System (or equivalent) Administrator assures accurate entry of scoring information. o Senior operating organization management establishes relative priorities.

Figure IV-1.2
Major Steps
Page 1 of 2

Major Steps in the Preparation of Operation Organization
ES&H Management Plans

Planning Process Step	**Primary Responsibility**
4. Make risk management decisions by allocating available resources to ES&H activities (i.e., determine which activities can be funded and which must be deferred during each year).	o Financial managers define ES&H budget targets, and ensure final Plan financial data is consistent with Field Budget Submission and with internal budgets established for allocable cost pools. o ES&H managers working with financial management personnel determine which ES&H activities will be funded and the funding level. o Senior management approves funding level decisions. o ES&H Management Plan Information System (or equivalent) Administrator assures accurate entry of ES&H activity cost and funding status information.
5. Submit ES&H budget formulation information submisison package to the Operations/Field Office that contains summary of ES&H financial information, ES&H risk management conclusions, budget analysis information, and ES&H Management Plan Information System (or equivalent electronic) roll-up diskette. Also submit FY 1998 ES&H commitments and progress update summary information.	o Financial managers document ES&H financial information, budget assumptions and budget impact analysis information and prepare the final, approved budget analysis summary for submittal. o ES&H managers document FY 1998 commitments, FY 2000 planning assumptions and key risk management conclusions. o Senior management approves FY 1998 commitment, FY 2000 risk management conclusions and budget analysis summary (narrative). o ES&H Management Plan Information System (or equivalent) Administrator enters the narrative in the database and prepares required reports. o ES&H Management Plan Information System (or equivalent) Administrator prepares roll-up diskette.

Figure IV-1.2
Major Steps
Page 2 of 2

ES&H Management Plan Review and Roll-up

Planning Process Step	**Primary Responsibility**
1. Operations/Field Office (and any associated site or area offices) prepares ES&H ADSs (or equivalent) describing their ES&H activities.	o ES&H managers provide information on ES&H activities. o Financial managers support preparation of ES&H activity cost information. o ES&H Management Plan Information System (or equivalent) Administrator manages the data entry.
2. Operations/Field Office reviews operating organization budget formulation and accompanying FY 1998 ES&H commitments and progress update information.	o ES&H and program managers review budget formulation information for quality, completeness, and appropriateness of priorities. They also review/approve ES&H budget, and FY1998 commitments narratives . o Financial managers review financial data for consistency with budget submission and approve ES&H financial information, and budget impact analysis portion of narrative summary. o ES&H Management Plan Information System (or equivalent) Administrator manages entry of revised data.
3. Operations Office prepares Supplementary Budget Material from Plan for field budget submission.	o Financial management prepares and submits ES&H Supplementary Budget Material required by the Field Budget Call.
4. Operations/Field Office prepares ES&H budget formulation and commitments information for Cognizant Secretarial Offices and EH.	o ES&H Management Plan Information System (or equivalent) Administrator prepares roll-up diskettes for Cognizant Secretarial Offices. o ES&H Plan Coordinator forwards roll-up diskettes and approved narrative summaries to responsible Cognizant Secretarial Offices.
5. Cognizant Secretarial Office prepares ADSs (or equivalent) describing their ES&H activities.	o Managers responsible for Cognizant Secretarial Office ES&H activities provide information on ES&H programs. o Financial managers support preparation of ES&H activity cost information. o ES&H Management Plan Information System (or equivalent) Administrator manages the data entry.

Figure IV-1.3
Review and Roll-up
Page 1 of 2

ES&H Management Plan Review and Roll-up

Planning Process Step	**Primary Responsibility**
6. Cognizant Secretarial Office reviews Field ES&H budget formulation data, and accompanying FY 1998 commitments information.	o Program managers review ES&H budget formulation information for quality, completeness, appropriateness of priorities, and risk management conclusions. o Program or landlord managers review scope and cost of ES&H activities for cost-effectiveness. o Program and financial managers make final funding decisions on direct funded activities and provide feedback to Operations/Field Offices. o Financial managers review financial data for consistency with budget submission and review budget impact analysis.
7. Cognizant Secretarial Office revises ES&H budget data to reflect program manager decisions, and submits diskettes to EH.	o Program and financial managers determine any changes to ES&H activity funding status and cost data, document resolution of budget process issues in narrative summary, and provide feedback to Operations/Field Offices. o ES&H Management Plan Information System (or equivalent) Administrator manages the data entry, converts data (if appropriate) to ES&H MPIS format, and prepares a roll-up diskette for EH.
8. Operation Office Manager submits Letter Report to CFO, EH and CSO on FY 1998 ES&H Commitments Completed and FY 1999 ES&H Commitments to be completed in FY 1999 Work Plans	o Program managers review ES&H commitments completed in FY 1998 against original commitments made. Review change control process for justification if commitments were not met. o Program managers review scope, cost, and schedule of ES&H commitment proposed for the FY 1999 work plans. Review ES&H resource requirements to assure sufficient resources are available to accomplish commitments. o Operations/Field Office Manager sign letter of affirmation concerning major FY 1998 ES&H Commitments completed and major FY 1999 ES&H Commitments included in the annual contractor work plan.

Figure IV-1.3
Review and Roll-up
Page 2 of 2

ES&H Management Plan Production Schedule

Date	Action
December 1997	EH issues *ES&H Guidance for FY 2000 Budget Formulation and Execution Commitments Reporting* for the FY-2000 Budget Cycle
January 1998	CSO and Operations/Field Office issue Supplemental Guidance on ES&H Planning
January 1998	Chief Financial Officer issues the Field Budget Call
February 1998	DOE submits formal ES&H Budget Report for FY 1997-FY 1999 to Congress with Presidents Budget
March/April 1998	Operating Organizations submit ES&H budget formulation information and FY 1998 ES&H commitments progress to Operations/Field Offices
April 1998	Operations/Field Offices submit ES&H budget formulation information and ES&H data to CSOs and EH, and ES&H budget formulation information (without data) to CR, and PO. Provide update on FY 1998 ES&H commitments to CR, PO, EH and CSOs.
June 1998	CSOs, EH, and CR ensure proposed Program Budgets for FY 2000 adequately address significant ES&H Risks.
August/ September 1998	CSOs revise ES&H budget formulation data to reflect budget decisions and submit Roll-up Disks to EH. DOE Contracting Officers at Operations/Field Offices or responsible DOE Elements provide site contractors with formal ES&H expectations for FY 1999 as required in 48 CFR (DEAR) Clause 970.5204-2. CSOs provide feedback on revised ES&H budget data to Operations/Field Offices.
October 1998	Operating Organizations update Facility Work Plans for the Current Budget Execution Year, negotiate ES&H Performance Measures with Contracting Officer, and submit ES&H Management Plan (i.e. annual update to Integrated Safety Management System required by 48 CFR (DEAR) Clause 970.5204-2) * to Contracting Officer. Operations/Field Offices submit Letter Report to CR, PO, EH and CSOs on ES&H Commitments (completed in FY 1998 and planned for FY 1999 Work Plans).
October 1998	Operations/Field Office reviews and approves ES&H Management Plan (i.e. annual update to Integrated Safety Management System required by 48 CFR (DEAR) Clause 970.5204-2) *, and incorporates ES&H Performance Measures into Contractor Incentive/Reward Systems.

* Alternatively, as with some Energy Research facilities, the monthly financial plans may be used to require key commitments.

Figure IV-1.4
Production Schedule

Appendix A

ADS Form and Instructions

Rev. 1, 12/08/97

U.S. DEPARTMENT OF ENERGY
FY 2000 ES&H MANAGEMENT PLAN

ACTIVITY DATA SHEET

For Data Reference Use Only

a. Facility Code b. ADS Number

Activity Data Sheet (ADS) Identification Section

1. Facility Code: _____ 2. Facility Name: _____

3. ADS Title: _____

4. Data Sheet Status Code: (Select 1 only) ( ) Open ( ) Closed ( ) Hold ( ) Discontinued ( ) Void

5. Budget Identifier _____
6. Original Identifier _____
7. Work Package No. _____
8. Account No. _____
9. WBS Code _____
10. Reference ADS # _____
11. Resp. SO Code _____
12. Contractor Code _____
13. Contractor Division _____
14. Contr. Department _____
15. Contractor Manager _____
16. Contractor Phone _____
17. DOE Manager _____
18. DOE Phone _____

ADS Functional Areas

19. Is ES&H activity a FEDPLAN (formerly known as A-106) Activity? [ ] Yes [ ] No

20. Functional Area Breakdown (Attach additional pages if necessary)

Functional area	Sub-Area	% Total Cost

Percentage of costs attributable to: 21. Training: _____ 22. Maintenance _____

ADS Type Section

23. ADS Type: (Select 1 only) ( ) Core ( ) Compliance ( ) Improvement

24. Drivers (Attach additional pages as necessary)

Driver Type	Driver Code	Primary? (Just one)	Driver Title

25. Compliance Comments (Attach additional pages as necessary)

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U.S. DEPARTMENT OF ENERGY
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ACTIVITY DATA SHEET

For Data Reference Use Only

a. Facility Code b. ADS Number

26. ADS Description (Attach additional pages as necessary)

Provide a description of the activity. Include sufficient detail to allow a reader not previously knowledgeable of the activity to understand the activity's scope and what it is intended to accomplish.

27. ADS Milestones & Accomplishments (Attach additional pages as necessary)

Describe the expected outcome from implementation of this activity. Identify all significant milestone events and dates, and other expected accomplishments. Identify existing major or key commitments regarding this activity.

28. ADS Appraisal (Attach additional pages as necessary)

Describe the risks/impact of not implementing or not continuing this activity and the benefits of continuing or implementing this activity. Discuss risks/benefits for Public Safety & Health, Site Personnel Safety & Health, Compliance, Mission Impact, Cost-effective Risk Management, and Environmental Impact. Describe any other significant impacts or considerations.

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U.S. DEPARTMENT OF ENERGY
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ACTIVITY DATA SHEET

For Data Reference Use Only

a. Facility Code b. ADS Number

ADS Scoring Section

29. RPM Scoring

	BEFORE			AFTER		
	Consequence[1]	Multiplier[2]	Likelihood[3]	Consequence[1]	Multiplier[2]	Likelihood[3]
Public S&H						
Site Pers. S&H						
Compliance						
Mission Impact						
Cost Eff. Risk Mgmnt						
Environ. Impact						

1 - Enter the row number from the Risk-based Priority Model (RPM)
2 - Minimum multiplier value is 0.1
3 - Enter "A" through "D" or a direct probability value between 0.001 and 0.9999

30. Scoring Adjustments:
Contractor _____ Ops Office _____ SO _____

31. Other (Non-RPM) Numeric Score: _____

32. Project Priority: _____
Allowable range, low to high, is 1.0 to 9.9.

33. Activity Scored by: _____

34. Date Scored: _____

35. Scoring Comments (Attach additional pages as necessary)
Document the justification for all scores and scoring adjustments. Consider the risks/impacts for Public Safety & Health, Site Personnel Safety & Health, Compliance, Mission Impact, Cost-effective Risk Management, and Environmental Impact. Describe any other significant impacts or considerations.

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U.S. DEPARTMENT OF ENERGY
FY 2000 ES&H MANAGEMENT PLAN
ACTIVITY DATA SHEET

For Data Reference Use Only

a. Facility Code b. ADS Number

ADS Resource Data

36. Budget Year Funding Case: ( ) Target or ( ) Unfunded

37. Resource Structure Code (RSC): _____
or
Allocable Cost Pool Identifier (Pool ID): _____

(Note: If the ADS is funded from an allocable cost pool, a valid <=== cost pool must be identified.)

38. B&R Code (For ADSs direct-funded by a single RSC): _____

39. WFO / Cost Reimbursable Funding Source: _____

40. Start Year: _____ 41. End Year: _____

42. Activity Cost Estimate (x $1,000) 43. FTE Requirements

	Estimated Implementation Costs in $1,000					**FTEs** (to two decimals)	
Fiscal Year	Operating Expense (OE)	Capital Equipment (CE)	General Plant Project (GPP)	Line Item Project (LIP)		Federal	Contractor
Prior Year (PY) 1998							
Current Year (CY) 1999							
Budget Year (BY) 2000							
BY + 1 2001							
BY + 2 2002							
BY + 3 2003							
BY + 4 2004							
BY + 5* 2005							

* For Compliance activities with costs beyond BY + 5, enter total estimated cost to complete in the BY + 5 row.

44. [n/a; Field Deleted].

45. Cost Estimate Notes (Attach additional pages as necessary.)

Review/Approval NOTE: All sites should be aware of requirements from the Department of Energy Unified Field Budget Call for FY 2000, some of which are noted in the ADS Instructions.

46. Management Approval? [ ] Yes [ ] No 47. Activity in Process? [ ] Yes [ ] No

A1. Reviewed by*: _____ Date: _____

FY 2000 ES&H MANAGEMENT PLAN

ALLOCABLE COST POOL INFORMATION DATA SHEET

For Data Reference Use Only

a. Facility Code b. Cost Pool ID

A2. Approved by*: _____ Date: _____

*Not captured in the DOE ES&H Management Plan Information System.

1. Allocable Cost Pool Name: _____

2. Allocable Cost Pool Identifier (Pool ID): _____

3. Allocable Cost Category: (Select only one)

( ) Overhead
( ) Organizational Burden
( ) Distributed Cost
( ) Service Center
( ) Lab Directed Research & Development (LDRD)
( ) Other _____

4. Allocable Cost Pool Type: (Select only one)

( ) Direct-funded
( ) Indirect-funded

5. Resource Allocation Table (Attach additional pages as necessary)

Resource Structure Code (RSC)	Budget & Reporting (B&R) Code	Percent of Total Allocable Cost Pool [1]

1 - Sum of all percents must equal 100.

Activity Data Sheet Instructions

General

These instructions are to be used and referred to in support of completing an activity data sheet (ADS) form for each DOE Environment, Safety and Health (ES&H) Management Plan activity. Most of the data elements on the ADS form are required to be completed. However, some data elements are described as optional in these instructions and are not required, except on specific guidance from the responsible Secretarial Office.

ADS Data Requirements

a. **Facility Code - (REQUIRED)** *This area is for data entry personnel use only*. After the Activity Data Sheet (ADS) has been entered into the ES&H Management Plan Information System (ESH/Plan), the validated facility code can be noted in this area of the ADS form by the data entry personnel for future hard-copy reference. The valid facility codes can be found in the Lookup Tables in the ES&H Management Plan Information System.

b. **ADS Number - (REQUIRED or Equivalent)** *This area is for data entry personnel use only*. After an ADS has been entered into the ES&H Management Plan Information System, it will have been given a System-assigned identification number. That number can be noted here by the data entry personnel for future hard-copy reference. When combined with the Facility Code, this number provides a DOE-wide unique identifier for the ADS.

c. **Date -** Enter the date the ADS is originated. This data is for hard copy reference only and is not captured in the ES&H Management Plan Information System.

1. **Facility Code - (REQUIRED)** Enter the facility code from the DOE Facility Codes List for the facility responsible for the ADS. The valid facility codes can be found in the Lookup Tables in the ES&H Management Plan Information System. Note that the DOE Facility Codes List includes some codes that do not necessarily represent single, specific "facilities"; rather, those codes may represent and be used for all facilities in an area (e.g., DOE Washington Headquarters).

2. **Facility Name - (REQUIRED)** Enter the name of the facility responsible for the ADS.

3. **ADS Title - (REQUIRED)** Provide a short, descriptive title for the ADS (50 characters maximum). This will appear in most ESH/Plan output reports; therefore, it should be carefully constructed to give a concise but descriptive indication of the nature of the ADS.

4. **Data Sheet Status Code - (REQUIRED)** Indicate the Data Sheet Status Code if you are changing the ADS status. When changing the status code of an ADS, provide

comments concerning the reason for the change (e.g., activity was eliminated due to changing mission) for entry in the Status Remarks field in the ES&H Management Plan Information System. The Data Sheet Status Codes are:

- **Open** - This status code indicates that the ADS is to be included for consideration in the ES&H planning and budgeting process. By default, only "Open" ADSs are included in the data roll-up process.

- **Closed** - This status code indicates that the activity described by an ADS has been completed. By default, ADSs having a "Closed" status will not be included in the roll-up process.

- **Hold** - This status code indicates that the ADS has been administratively placed on hold by Management. By default, ADSs having a "Hold" status will not be included in the roll-up process.

- **Discontinued** - This status code indicates that the activity described by an ADS has been discontinued but was not completed for one reason or another. For example, the activity may have been subsumed by a separate ADS, determined not to be economically feasible to continue, or developed to address criteria or requirements that have since changed or have been eliminated.

  A discontinued ADS may have been subsumed (combined or replaced) within another ADS or may have been broken out into several smaller ADSs that are more focused in scope. In these cases, data should be entered in the Reference ADS field of the smaller of the related ADSs, as described below. By default, ADSs having a "Discontinued" status will not be included in the roll-up process.

- **Void** - This status code indicates that the ADS record has been voided. Changing the status to "Void" is usually recommended over deleting the ADS record from ESH/Plan, in case later decisions are made to re-open the record. By default, ADSs having a "Void" status will not be included in the roll-up process.

5. **Budget Identifier - (REQUIRED)** For all direct-funded ADSs enter the identification number of the formal budget document (e.g., project data sheet or field work proposal) submitted with the Field Budget Submission package that includes funding for this activity. This number should be provided for <u>all</u> direct funded ADSs identified as "Target" in the Budget Year Funding Case field.

   For ADSs funded by allocable cost mechanisms, this field may be used to identify the operating organization's internal budget document reference, although this is not required.

6. **Original Identifier** - *This is an optional field*. Enter the original ADS identifier, if applicable. Prior to entry into the ES&H Management Plan Information System, an original identifier may have been assigned to distinguish and track the ADS within a department or division.

7. **Work Package No.** - *This is an optional field*. If applicable, enter the identification number of the work authorization directive, work package, or other budget execution document that contains the work described in the ADS.

8. **Account No.** - *This is an optional field*. If applicable, enter the local (or internal) account number used to capture and identify costs associated with the ADS.

9. **WBS Code** - *This is an optional field*. If applicable, enter the internal work breakdown structure (WBS) identification number/code associated with the ADS.

10. **Reference ADS** - *This is an optional field*. If applicable, enter the ES&H Management Plan Information System ADS number for any other ADS that the current ADS is determined to be explicitly related to. For example, a Reference ADS may have been subsumed within another ADS, or may have been broken out to several smaller ADSs that are more focused in scope. When three (or more) ADSs are related, select one as the "master" ADS. Enter "REF" in the Reference ADS field of the master ADS; enter the ADS number of the master ADS in the Reference ADS field of the two other ADSs.

11. **Responsible SO Code - (REQUIRED)** For direct funded ADSs, enter the two-character code indicating the Secretarial Office (SO) responsible for funding the ADS. For indirect-funded and outside-funded activities, indicate the Landlord SO. The valid Secretarial Offices and SO codes can be found in the Lookup Tables in the ES&H Management Plan Information System.

12. **Contractor Code - (REQUIRED)** Enter the facility operator/contractor code. This is generally the management and operations (M&O) contractor or integrating contractor for the facility. For Federally operated facilities (e.g., Operations Offices), select "[N/A]" which is located at the bottom of the list. The valid DOE Facility Operator codes can be found in the Lookup Tables in the ES&H Management Plan Information System.

13. **Contractor Division** - *This is an optional field*. Identify the contractor organization division responsible for the ADS.

14. **Contractor Department** - *This is an optional field*. Identify the contractor organization department responsible for the ADS.

15. Contractor Manager - *This is an optional field*. Identify the contractor manager who is responsible for the validity of the data on the activity. Enter the manager's last name, followed by his/her first and middle initials (LASTNAME FM).

16. Contractor Phone - *This is an optional field*. Enter the ten-digit telephone number for the Contractor Manager.

17. DOE Manager - *This is required for FEDPLAN (formerly A-106) ADSs, as noted in Field 19; it is optional for others*. Enter the last name, followed by his/her first and middle initials (LASTNAME FM) of the DOE manager (e.g., site/area/operations office manager), *not a contractor employee*, who is knowledgeable of and responsible for the validity of the ADS data.

18. DOE Phone - *This is required for FEDPLAN (formerly A-106) ADSs, as noted in Field 19; it is optional for others*. Enter the ten-digit telephone number for the DOE Manager.

19. FEDPLAN (formerly A-106 Plan) Activity - (REQUIRED) Indicate by checking the "Yes" or "No" check box whether the ADS documents a FEDPLAN activity. The annual FEDPLAN Report (formerly known as A-106) is required by Executive Order 12088; reporting requirements are defined by the Environmental Protection Agency (EPA). Generally, Core and Compliance environmental activities are likely to be FEDPLAN items. Refer to Section 2.2.3 of the DOE ES&H Guidance for FY2000 Budget Formulation and Execution Commitments Reporting for the definition of activities that should be characterized as FEDPLAN. The ES&H Guidance for FY2000 Budget Formulation and Execution Commitments Reporting can be found on the ES&H Management Plan World Wide Web site on the EH TIS Homepage. The URL for the Web site is: "http://tis-nt.eh.doe.gov/bps/eshplan".

20. ES&H Functional Breakdown - (REQUIRED) Enter the two-character code(s) indicating the functional area(s) to which costs are allocated for the activity. *The primary functional area code is required for all ES&H ADSs*.

The identification of multiple functional areas or functional sub-areas is usually optional. However, *the functional sub-area breakdown must be provided for all environmental activities in the Pollution Prevention (PP) and Environmental Restoration (ER) functional area*. If multiple functional areas and/or sub-area breakdowns are identified, you must indicate the percent (to the nearest 1 percent) of the total ADS cost allocated to each. Total cost allocations must sum to 100 percent. Percentage allocations for functional sub-areas will sum to the total percentage of cost allocated the specific parent functional area.
The valid functional area and sub-area codes can be found in the Lookup Tables in the ES&H Management Plan Information System.

21. Percentage of ADS Costs Attributable to Training - *This is an optional field*. Estimate the percentage of the activity's costs attributed to or targeted toward training.

22. Percentage of ADS Costs Attributable to Maintenance - *This is an optional field*. Estimate the percentage of the activity's costs attributed to or targeted toward maintenance.

23. ADS Type - (REQUIRED) Select the appropriate ADS type. *Select only one*. Valid ADS types are:

- **Core -** currently performed ES&H activities that are considered necessary by facility management to maintain current levels of ES&H compliance or to prevent increases in the current levels of ES&H risks. Activities included in Core ADSs have the characteristic that if they were not performed, either (1) the level of compliance of the facility would be lower than the current level or (2) the level of risk posed by facility operation would be greater than the current level.

- **Compliance -** additional corrective actions, activities, or programs over and above the current Core ES&H programs, that are required to improve the facility's state of compliance and move the facility toward full compliance or conformance with all applicable ES&H laws, regulations, agreements, and DOE Orders. After compliance is achieved, any continuing activities and resources required to maintain compliance should be included in Core ADSs.

- **Improvement -** those new or ongoing activities, beyond Core and Compliance activities, that will raise the level of ES&H performance, lower the level of ES&H risks at a site or facility, and help the facility move toward excellence in ES&H performance. Improvement activities do not affect the facility's level of ES&H compliance.

24. Driver(s) - (REQUIRED) *This is especially required for all Compliance activities*. Enter the driver type and code that requires or is associated with the activity. The current list of valid driver codes can be found in the Lookup Tables in the DOE ES&H Management Plan Information System. More than one driver may be entered; if so, you should ensure that the primary driver is entered in the appropriate box. For all FEDPLAN (formerly A-106) ADSs, as noted in Field 19; the primary driver type and code should reference the Federal law requiring the activity. State laws or DOE Orders implementing the Federal law can be referenced as secondary drivers. Use additional pages if more than two drivers are applicable.

25. Compliance Comments - *This is an optional field*. Provide comments associated with the compliance condition related to the activity.

26. ADS Description Section - (REQUIRED) Provide a complete description of the activity or activities being documented on the ADS and the underlying causes or issues driving the activity.

27. ADS Milestones & Accomplishments Section - (REQUIRED) Describe the expected outcome resulting from implementation of this activity. Identify all significant milestones and other accomplishments. This field can be used to identify any existing major or key commitments that have been made regarding the activities in the ADS.

28. ADS Appraisal Section -(REQUIRED) Provide a complete appraisal of the risks of not implementing or continuing the activity and the benefits associated with implementing it. This information is especially needed to (a) provide a better understanding of the ADS and what it is intended to accomplish, (b) help determine if the ADS is the best alternative solution to the problem being addressed, (c) support the development of risk scores for the ADS for relative ranking among other ADSs, and (d) help reviewers understand the bases used in developing risk scores. To help in scoring the ADS, the appraisal should address all of the applicable categories noted on the ADS form.

29. ADS Scoring - (REQUIRED for compliance and Improvement) This field is to be used when the DOE ES&H Risk-based Priority Model (RPM) is used to score the ADS to support activity prioritization and management decision-making.

In the "Before" columns, enter the *before* consequence (i.e., impact row number) selected from the RPM for each impact category. If necessary, you may specify a multiplier to be applied to the standard weighted value of the consequence. The default multiplier is 1.0; the minimum multiplier is 0.1. Next, identify the column letter, “A,” “B,” “C,” or “D,” as selected from the RPM, that is associated with the likelihood of experiencing each *before* consequence. If necessary, a specific probability value between 0.0001 and 0.9999 may be provided in place of the RPM column letter .

In the "After" columns, enter the *after* consequence (i.e., impact row number) selected from the RPM for each impact category. As with the *before* scores, and if necessary, you may specify a multiplier to be applied to the standard weighted value of the consequence. The default multiplier is 1.0; the minimum multiplier is 0.1. Next, identify the column letter, “A,” “B,” “C,” or “D,” as selected from the RPM, that is associated with the likelihood of experiencing each *after* consequence. If necessary, a specific probability value between 0.0001 and 0.9999 may be provided in place of the RPM column letter .

Note that *at most*, one before score (consequence and likelihood combination) and one after score should be entered for each applicable impact category. Refer to the DOE ES&H Guidance for FY2000 Budget Formulation and Execution Commitments Reporting, Section 2.2.5 and Appendix C, for a discussion on use of the RPM. The

ES&H Guidance for FY2000 Budget Formulation and Execution Commitments Reporting can be found on the ES&H Management Plan World Wide Web site on the EH TIS Homepage. The URL for the Web site is: "http://tis-nt.eh.doe.gov/bps/eshplan".

30. **Scoring Adjustments - (REQUIRED if ADS is scored)** Identify any scoring adjustments applied to the ADS by either the Contractor, the DOE Operations/Site Office, or DOE SO. Scoring adjustments do not reflect a change in the net risk or benefit scores resulting from application of the DOE ES&H RPM. Rather, they reflect "management's prerogative" to move the ADS up or down in a list prioritized by total score. The scoring adjustments can be additions to or subtractions from the net risk/benefit score.

31. **Other (Non-RPM) Numeric Score - (REQUIRED if ES&H RPM is not used)**This field can be used where numeric priority scores that were not produced by application of the DOE ES&H Risk-based Priority Model have been assigned to the ADS.

32. **Project Priority -** *This is an optional field*. The allowable range of values, low to high, is 1 to 9.9. This field may be used to record a separate determination of priority or importance of an activity beyond that determined from application of the ES&H Risk-based Priority Model.

33. **Scored By - (REQUIRED if ADS is scored)** Indicate who scored the ADS (e.g., Facility ES&H Evaluation Group). This information can be used by the data entry personnel to ensure that the risk scoring information to be entered into the ES&H Management Plan Information System is valid.

34. **Date Scored - (REQUIRED if ADS is scored)**Enter the date that the ADS was scored by the evaluation group.

35. **ADS Scoring Comments - (REQUIRED if ADS is scored)** Provide scoring comments to identify the rationale, reasons, and/or justifications for the scores and scoring adjustments applied to the ADS. This information is especially needed so that reviewers can understand the scoring bases.

36. **Budget Year Funding Case - (REQUIRED)** The Budget Year Funding Case field must be designated as either Target or Unfunded based on the results of the operator's resource allocation process. Note that the Budget Year Funding Case applies to all three budget years (prior year, current year, planning year) of the ADS in the ES&H planning process. Thus, for example, if funding is expected for an ADS in FY 1998 and 1999 but the activity is expected to be Unfunded in FY 2000, a separate ADS should be developed to cover the unfunded FY 2000 work scope.

- **Target** - ADSs that are expected to be funded during the planning period (FY-1998 through FY-2000) should be identified as Target. For direct funded activities, those ADSs designated as Target should be consistent with the operator's formal budget submission. For activities funded by allocable cost mechanisms, those ADSs designated as Target should represent the operating organization's determination of what will be funded based on their internal resource allocation and decision-making processes. Document funding assumptions and other information utilized to derive all funding targets used to allocate ES&H resources in the Cost Estimate Notes field on the ADS form.

- **Unfunded** - This case is used for ADSs that would not be funded, given the facility's current budget expectations. This is a critical designation; it allows each stakeholder in the decision process to understand which activities will not be funded under the proposed budget scenario. Document funding assumptions and other information utilized to derive all funding targets used to allocate ES&H resources in the Cost Estimate Notes field on the ADS form.

Operating organizations should refer to Section 2.2.4 of the DOE S&H Guidance for FY2000 Budget Formulation and Execution Commitments Reporting for a discussion activity budget information. The ES&H Guidance for FY2000 Budget Formulation and Execution Commitments Reporting can be found on the ES&H Management Plan World Wide Web site on the EH TIS Homepage. The URL for the Web site is: "http://tis-nt.eh.doe.gov/bps/eshplan".

37. Resource Structure Code -(REQUIRED) Identify the correct resource structure code for each ADS to be direct-funded. For ADSs to be funded from allocable cost pools, see the Allocable Cost Pool Identifier (Pool ID) data element described below.

Resource structure codes should be selected from the DOE Resource Structure Codes List developed by the DOE Controller's Office (CR). The current list of valid codes can be found in the Lookup Tables in the ES&H Management Plan Information System. ESH/Plan will automatically map and fill in an appropriate budget and reporting (B&R) code when a valid resource structure code is entered into the System. This B&R code may be replaced or supplemented by the ES&H Planner or Facility Management.

—— or ——

Allocable Cost Pool Identifier (Pool ID) - (REQUIRED) For each ADS to be funded from an allocable cost pool, identify the Pool ID for the allocable cost pool from which the ADS will be funded. The Pool ID is a site-defined code (up to eight characters) that identifies the specific allocable cost pool being used to fund the activity. For example, “Overhead” may be the Pool ID selected to identify the site-wide overhead pool. Page 10 of these instructions describes the use of the Allocable Cost Pool Information Data Sheet. The Allocable Cost Pool Information Data Sheet form is similar to the Activity

Data Sheet and is used to help develop the information necessary to identify an allocable cost pool.

Refer to Section 2.2.4 of the DOE S&H Guidance for FY2000 Budget Formulation and Execution Commitments Reporting for further discussion of how ADSs funded by allocable cost pools should be characterized. The ES&H Guidance for FY2000 Budget Formulation and Execution Commitments Reporting can be found on the ES&H Management Plan World Wide Web site on the EH TIS Homepage. The URL for the Web site is: "http://tis-nt.eh.doe.gov/bps/eshplan".

38. B&R Code - (REQUIRED if Field #37 has not been completed) Identify the Budget and Reporting (B&R) code associated with the ADS. As noted above, each Resource Structure Code has a specific B&R code associated with it. This B&R code may be replaced or supplemented by the ES&H Planner or Facility Management. Facility ES&H planners, management, and financial personnel should ensure that the correct Resource Structure Code and B&R codes are identified for the ADS. The current list of valid B&R codes can be found in the Lookup Tables in the ES&H Management Plan Information System.

39. WFO/Cost Reimbursable Funding Source - *This is an optional field*. For activities funded from outside sources (e.g., work for others, cost reimbursable), provide an indication of where the funding is coming from or what organization the work is being performed for (e.g., DOD, DOT, USAF, US ARMY, US NAVY, GSA).

40. Start Year - *This is an optional field*. This field and the End Year field are provided to assist in managing ADS cost data. Enter the first fiscal year (FY) for which funding is requested/attained for implementation of the ADS. For example, if the ADS is included in the FY 2000 ES&H Management Plan, but is not intended for implementation and funding until FY 2001, enter "2001" in the Start Year field. For existing, recurring activities, this field is not meaningful and should be left blank.

41. End Year - *This is an optional field*. This field and the Start Year field are provided to assist in managing ADS cost data. Enter the fiscal year the ADS is expected to be completed. The End Year field is meant for projects with an expected end date (typically CE, GPP, and LIP).

42. Activity Cost Estimate - (REQUIRED) Enter the estimated costs required to implement and complete the ADS. Enter costs by fiscal year and by funding category (i.e., "color of money") in the appropriate rows and columns. All costs should be entered to the nearest thousand dollars. First-year costs should not precede any fiscal year date entered in the Start Year field. Final year costs should not extend beyond any fiscal year date entered in the End Year field. For Compliance activities that have costs that extend 5 years or more beyond the Budget Year (BY +5), you must enter the total

estimated cost to completion for the activity in the BY +5 row of the Activity Cost Estimate field.

43. FTE Requirements - (REQUIRED) Enter, by fiscal year, the number of effective person-years associated with full-time equivalent employees (FTEs) required to implement and complete the ADS. Both contractor and Federal FTEs are required, as applicable. FTE data may be entered up to two decimal places.

44. [n/a; Field Deleted] - This field was previously labeled "Additional Out-year Resources to Complete Compliance Activities." This data is now to be incorporated in Item 42, "Activity Cost Estimate," above.

45. Cost Estimate Notes - (REQUIRED) Provide notes or comments needed to support or justify the ADS cost estimates, including key planning assumptions used to develop activity costs. This should include an indication of whether funding has been escalated and, if so, what escalation factors were used. A discussion of cost escalations resulting from delays in starting the activity may also be discussed here. Information related to the Total Cost Assessment for Waste Minimization / Pollution Prevention ADSs should be provided here.

46. Management Approval - *This is Required for Compliance ADSs, optional for core and improvement ADSs*. Indicate whether management approval of the ADS data has been provided.

47. Activity In-process - *This is an optional field*. Indicate whether the ADS documents an activity that is already in process (i.e., budget obligations exist).

A1. Reviewed by - *This is Required for Compliance ADSs, optional for Core and Improvement ADSs*. Information in this field is not captured in the ES&H Management Plan Information System. However, the responsible manager should review the ADS and sign and date it to indicate his/her review and approval of the correctness and validity of the information contained in it. **Signed copies of Compliance ADSs should be retained at the site as an auditable record.**

A2. Approved by - *This is Required for Compliance ADSs, optional for Core and Improvement ADSs*. Information in this field is not captured in the ES&H Management Plan Information System. However, the responsible manager, so designated by the Operator, DOE Operations/Site Office, or SO to approve ADSs, should review the ADS and sign and date it to indicate his/her approval of the correctness and validity of the information contained in it. **Signed copies of Compliance ADSs should be retained at the site as an auditable record.**

Allocable Cost Pool Information Data Sheet

The following instructions support the preparation of the Allocable Cost Pool Information Data Sheet. To accurately account for and characterize allocable ES&H costs, information must be provided for each allocable cost pool used to fund ES&H activities. This information does not need to be provided on each activity. Instead, it is captured one time for the entire facility. The Allocable Cost Pool Information Data Sheet provides a format for reporting this information.

45. Allocable Cost Pool Name - (REQUIRED) Identify the name of the allocable cost pool. This name is usually assigned and recognized by the facility finance, budget, and management personnel for a specific allocable cost pool. For example, the general site overhead pool might be named simply as "Site Overhead."

46. Allocable Cost Pool Identifier (Pool ID) - (REQUIRED) Identify the code to be used to associate an activity with the allocable cost pool named above. The Pool ID is a site-defined code and must be limited to eight (8) characters (e.g., OVERHEAD) for use in the ES&H Management Plan Information System. Each ADS to be funded from an allocable cost pool must be identified with the Pool ID for the allocable cost pool from which the ADS will be funded.

47. Allocable Cost Category - (REQUIRED) Indicate the cost category that best characterizes the allocable cost pool. Only one allocable cost category can be selected for each pool.

48. Allocable Cost Pool Type - (REQUIRED) Indicate the cost pool type that best characterizes the allocable cost pool. An allocable cost pool can only be either direct-funded or indirect-funded.

49. Resource Allocation Table - (REQUIRED) Enter the resource structure code and percent of total allocable cost pool for each funding source contributing to the allocable cost pool. The separate percentages allocated to different funding sources within the pool must sum to 100. For example, Site XYZ's Site Overhead allocable cost pool could have the following composition:

Percent of Total

Resource Structure Code	B&R Code (optional)	Allocable Cost Pool
3Y5101		0.600
HA1002		0.900
JA0102		1.500
JA0110		0.200
TE0404		15.80
YA0808		81.00

Similarly, Site ABC could have a direct-funded, distributed cost pool as shown below:

Resource Structure Code	B&R Code (optional)	Percent of Total Allocable Cost Pool
TE0404		100.00

Appendix B

Functional Areas

Functional Areas have been established to assist planners in understanding and communicating the major ES&H issues, activities, and costs associated with a facility or site overall ES&H program. The functional area definitions provided in this attachment describe the programmatic activities that should be included for that particular functional area. Specific sub-areas and associated compliance drivers are delineated in each functional area to facilitate the development of comprehensive programs. The ES&H database is capable of capturing these sub-areas to aid management with program planning.

B.1 Safety and Health Functional Areas

The following functional areas are intended to capture site activities directed towards protection of the health and safety of the public and employees, which are required by federal, state, regional, or local law or regulation; Executive Order; or DOE Order. State, regional, or local regulations are often more restrictive than federal regulations, and, therefore, sites must be knowledgeable about all applicable safety and health requirements when defining their S&H program.

Overall compliance drivers that relate to many of the S&H functional areas by reference or by providing the broad foundation for comprehensive S&H programs are not listed for each functional area. These overall compliance drivers include the following.

DOE O 440.1	Worker Protection Management for DOE Federal and Contractor Employees
DOE 4330.4B	Maintenance Management Program
DOE 5480.4	Environmental Protection, Safety, and Health Protection Standards
DOE 5480.19	Conduct of Operations Requirements for DOE Facilities
DOE 6430.1A	General Design Criteria

The primary regulatory drivers (e.g., 29 CFR, DOE Orders, etc.) for each sub-area have been listed to aid in the identification of S&H activities which may fall within each area. While other regulations or Orders, in addition to those listed, may be relevant or may reference broad requirements, only those that provide specific and primary direction or requirements for a functional area have been listed.

Area Code	Functional Area Name and Description

EP **EMERGENCY PREPAREDNESS**

The Emergency Preparedness functional area includes all those activities that are intended to provide the final barrier for ensuring the safety and health of workers and the public, and for protecting property and the environment in the event of an emergency. Activities in this functional area include maintenance/inspection of emergency facilities and equipment; emergency response team personnel training, drills and exercises; maintaining/updating of current emergency plan based on site specific hazards; coordination with State and Local authorities and Federal agencies. Hazard assessment provides the technical basis for emergency management programs.

The extent of emergency planning and preparedness required for a particular facility directly corresponds to the type and scope of hazards present and the potential consequence of accidents or events. Plant equipment that is part of safety systems relied upon to prevent or mitigate accidents (HVAC, process monitors, etc.) are not included in this area, but are addressed in the Industrial Safety or Nuclear Safety functional areas. Planning related to use of emergency egress paths is included in this functional area, but the physical plant and equipment provided for normal and emergency egress are addressed in the Industrial Safety functional areas.

FP **FIRE PROTECTION**

The Fire Protection functional area includes all those activities that are intended to prevent, detect, and suppress fires. Activities in this functional area include fire prevention; fire detection; fire suppression systems; related inspections and testing; fire fighting and emergency response; loss prevention; operation of ambulances and fire fighting equipment; testing and inspection of fire suppression equipment and alarm systems; flammable and explosive material control; training/systems to National Fire Protection Association (NFPA), state and local requirements; review design plans/specifications for compliance with regulations, codes, and standards, and inspect construction areas for potential fire hazards; and mutual aid agreements with local authorities.

This functional area excludes those fire protection activities and/or systems that are solely for the benefit or protection of nuclear systems, storage areas, and/or processes (e.g., glove box inerting systems). These excluded activities are to be included in the Nuclear Safety functional areas.

IH **INDUSTRIAL HYGIENE**

The Industrial Hygiene functional area includes all those activities that are intended to provide protection to workers from chemical, biological, physical, and physiological hazards. Activities in this functional area include anticipation, recognition, evaluation and control of health hazards, redesign of equipment and tasks, ventilation, substitution of less hazardous materials, written and verbal communication of real and perceived hazards, personnel protection, laser safety, and physiological stress, such as noise, heat, cold, and non-ionizing radiation. This functional area does not include medical surveillance, employee medical records, and exposure of workers to ionizing radiation.

IS INDUSTRIAL SAFETY

The Industrial Safety functional area includes all those activities that are intended for the protection of workers from physical trauma. Activities in this functional area include electrical safety; machinery and machine guarding; personnel protection; accident investigation; compressed gas and pressure system safety; hoisting, rigging, and material handling; lock-out/tag-out; confined space controls; platform, man-lift and scaffolding usage; safe surfaces for walking and working; cutting, welding and brazing safety; hand and portable power tool safety; explosives and hazardous material handling, storage and use; construction safety; firearms safety; and facility egress.

MS OCCUPATIONAL MEDICAL SERVICES

The Occupational Medical Services functional area includes all those activities that are intended to provide a comprehensive occupational medical program. Activities in this functional area include employee health examinations such as pre-placement and qualification, periodic, return to work, fitness for duty, and termination examinations; diagnosis and treatment of occupational illnesses and injuries; employee health counseling (employee assistance program and wellness); maintenance of medical records; emergency medical treatment and triage; specialized medical equipment; and immunization programs.

NS NUCLEAR SAFETY

The Nuclear Safety functional area includes those activities that serve to maintain or improve the level of safety involved with radioactive and or fissionable materials that exist in such form and quantity that a nuclear hazard potentially exists to the employees or the general public. Included are activities involving criticality safety or nuclear operations safety associated with the following types of operations:

- Production, processing, or storage of radioactive liquid or solid waste, fissionable materials or tritium;
- Nuclear material separations operations;
- Irradiated materials inspection, fuel fabrication, decontamination or recovery operations;

- Fuel enrichment operations;

- Environmental remediation or waste management activities involving radioactive materials.

It is not intended that the programmatic aspects of nuclear operations be captured and reported in this functional area; only those activities designed to enhance or maintain the safety and health performance of the line programs should be categorized as nuclear safety. The physical systems, personnel and programs to provide nuclear material accountability, safeguards, and security are not included in the ES&H Management Plan.

RP RADIATION PROTECTION

The Radiation Protection functional area includes all those activities that are intended to control exposures of workers and the public to radioactivity. Activities in this functional area include control equipment and procedures for radiation sources; interlocks, instrumentation and shielding for radiation-generating devices; equipment and procedures used to minimize or mitigate external exposure; personnel dosimetry, bioassay program, and ALARA programs; control of paths for inhalation or ingestion of radiation; radiation-exposure records; fixed and portable instrumentation for radiation detection and measurement; and contamination control.

TS TRANSPORTATION SAFETY

The Transportation Safety functional area includes all those activities that are intended to ensure safe packaging and transportation. Activities in this functional area include packaging certification; coordination of intra-building and onsite movements and transfers; offsite and international shipments; transportation (including marking and labeling) of hazardous material; inspection/maintenance of transportation equipment; testing and technology of transportation hardware; certification and training of transportation operators; aviation safety; motor vehicle safety; watercraft safety; and rail safety.

MO MANAGEMENT AND OVERSIGHT

The Management and Oversight functional area includes all those activities that are intended to coordinate, direct, integrate and control S&H activities across multiple functional areas. Activities in this area include S&H documentation and document control activities; configuration management; S&H performance trending, analyses, and lessons learned feedback; corrective action tracking; S&H self-assessment activities; dedicated internal S&H personnel; coordination and communication with DOE, state, and local authorities; internal audits and surveillance; external S&H program reviews; operational readiness reviews; and voluntary protection program. Nuclear safety analyses are included in the Nuclear Safety functional area.

B.2 Environmental Functional Areas

The following functional areas are intended to capture site activities directed towards protection of air, water, and other environmental media, which are required by federal, state, regional, or local law or regulation; enforcement action (including Notice of Violation); Compliance Agreement; Executive Order; or DOE Order. State, regional, or local regulations are often more restrictive than federal EPA regulations, and, therefore, sites must be knowledgeable about all applicable environmental requirements when defining their environmental program.

Key Departmental environmental compliance drivers include:

DOE O 231.1	Environment, Safety, and Health Reporting
DOE O 451.1	National Environmental Policy Act Compliance Program
DOE 4700.1	Project Management System
DOE 5400.1	General Environmental Protection Program
DOE 5820.2A	Radioactive Waste Management

Functional Area Code — **Functional Area Name and Description**

CA PROTECTION OF AIR QUALITY

The Protection of Air Quality functional area includes activities designed to assess and monitor air quality and to control air contaminant emissions. The focus of this functional area is compliance with regulations promulgated or to be promulgated under the Clean Air Act to prevent significant deterioration of air quality in identified geographical areas; to conform to both mobile and point source air quality emissions standards; and to monitor and control the emissions of air toxins and those emissions which contribute to acid rain or depletion of stratospheric ozone. Activities in this functional area include inventory, inspection, and performance testing of air emissions sources; application for and maintenance and renewal of air operating permits; the construction, operation, and maintenance of control technologies applied to air emissions sources; and monitoring of identified point sources. This functional area does not include compliance with radiological standards where otherwise addressed in the Radiation Protection S&H functional area or the control of air emissions from RCRA Treatment, Storage, and Disposal (TSD) facilities or Toxic Substances Control Act (TSCA) incinerators.

CW PROTECTION OF WATER QUALITY

The Protection of Water Quality functional area includes those activities arising from compliance with the Clean Water Act and the Safe Drinking Water Act to protect groundwater and surface waters; to assess and monitor surface water and drinking water quality; and to control sanitary and industrial wastewater discharge effluents to surface water, drinking water, or publicly owned treatment works. This area also includes the environmental protection activities associated with operation of wastewater pretreatment and discharge treatment facilities; and of potable water storage, treatment and distribution facilities. Where not otherwise addressed by corrective actions under RCRA or CERCLA, this functional area also addresses the assessment and monitoring of groundwater and control of discharges to groundwater.

CS CONTROL OF TOXIC SUBSTANCES

The Control of Toxic Substances functional area includes those activities which comply with federal, state, or local regulations to control the use and management of materials regulated because of their known or suspected toxic or hazardous characteristics. It encompasses regulations promulgated under a number of environmental laws to identify and promote the safe use of these materials and prevent their release into the environment. Among these are the Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA), the Superfund Amendments and Reauthorization Act (SARA), the Toxic Substances Control Act (TSCA), the Resource Conservation and Recovery Act (RCRA), and the Federal Insecticide, Fungicide, and Rodenticide Act (FIFRA). This area also includes the management of hazardous materials in underground storage tanks as promulgated under RCRA, but does not include management and funding of hazardous, mixed, or radioactive wastes.

ER ENVIRONMENTAL RESTORATION

The Environmental Restoration functional area includes those activities whose primary purpose is the correction of irregularities and contamination from leaks of pollutants, spills, past production, or at former sites such as Superfund. Those activities intended to alleviate or eliminate the effects of a release of a hazardous substance into the environment; alleviate or eliminate a threat of a release of an existing hazardous substance that could potentially harm people or the environment; or restore natural resources both on-site and off-site should be included. The focus of this functional area is compliance with regulations promulgated under the Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA), the Superfund Amendments and Reauthorization Act (SARA), or the Resource Conservation and Recovery Act (RCRA) for remedial investigation and remedial actions required to cleanup radiative, hazardous, or mixed waste contamination. Activities in this functional area include remedial investigations or facility assessment and investigation, remedial action plan and remedial design or corrective measures study preparation, soil and groundwater remediation, revegetation, and post-remediation monitoring.

ER.1 CERCLA Restoration

This area covers remedial actions conducted under CERCLA/SARA Section 120 (d) and (e) and Section 121. Activities include the confirmation of the presence or absence of hazardous materials; characterization of a release or potential release to determine any basis for further action; accurate determination of the nature and extend of the contamination problem; preliminary or conceptual engineering assessments of remedial action criteria and standards; selection of preferred remedial action alternative; preparation of detailed design and engineering plans; implementation of the selected remedial action; preparation of all required documentation.

ER.2 RCRA Restoration

This area covers remedial actions conducted on- and off-site under RCRA Section 3004 (u) and (v) and Section 3008 (h). Activities undertaken to effect closure of hazardous waste treatment, storage, and disposal units and interim status units are included.

ER.3 Other Restoration

This area covers remedial actions where the governing regulation (CERCLA/RCRA) has not been determined or is subject to change.

ER.4 Restoration Management

This area covers program and maintenance support activities, decontamination and decommissioning activities, and post-remediation monitoring.

PP POLLUTION PREVENTION AND WASTE MINIMIZATION

The Pollution Prevention functional area includes all site-wide and facility waste generator-specific activities that are predominantly associated with Waste Minimization and Pollution Prevention (WMin/PP). WMin/PP is defined to include activities that involve source reduction and recycling of all wastes and pollutants. It includes practices that reduce the use of materials, energy, water, or other resources, and practices that protect natural resources through conservation or more efficient use. Detailed definitions of WMin/PP and other key terms for this functional area can be found in DOE's 1996 Pollution Prevention Program Plan and Pollution Prevention Strategy. The key regulatory driver is Executive Order (EO) 12856 (Federal Compliance with Right to Know and Pollution Prevention Requirements).

Compliance activities which are not predominately associated with pollution prevention, such as Toxic Release Inventory reporting, Clean Water Act compliance, etc., should be identified in the specific functional areas associated with the particular activity.

PP.1 Program Development and Management

This area includes projects and activities necessary to initiate WMin/PP strategies, plans and studies and to establish waste generation baselines. Specifically included for both site-wide and generator specific programs are items that establish Senior Management commitment, set quantitative source reduction and recycling goals and institute performance measures, implement Environmentally Sound Pollution Prevention Procurement practices, develop and implement incentive programs, and ensure compliance with federal, state, regional, or local laws and regulation or Departmental directives.

PP.2 Training and Awareness Programs

This area includes employee training and awareness programs and public outreach and awareness programs for both site-wide and generator specific programs.

PP.3 Opportunity Assessments and Cost/Benefit Analysis

This area includes those activities necessary to conduct WMin/PP opportunity assessments at any site or facility. All activities associated with identifying and prioritizing waste generating processes and activities including the use of cost/benefit analyses are included. Additional activities include generator activities associated with inventorying existing waste sources, development of a site priority waste stream list, and identification and prioritization of WMin/PP opportunities and RD&D needs.

PP.4 Source Reduction, Reuse and Recycling Activities for Hazardous and Radioactive Materials

This area includes projects and activities which, through source reduction, reuse, or recycling, reduce the use or requirements for, reduce/avoid the generation of, and reduce the volume or toxicity of hazardous, radioactive, or mixed wastes.

PP.5 Source Reduction, Reuse and Recycling for Toxic Chemicals

This area includes projects and activities which, through source reduction, reuse, or recycling, reduce the use or requirements for, reduce/avoid the generation of, and reduce the volume or toxicity of toxic chemicals. Activities to identify alternative chemicals for 33/50 program compliance would be included in this sub-area.

Hazardous materials and toxic chemicals include chemicals on the EPCRA Toxic Release Inventory list, ozone depleting chemicals, or other regulated hazardous materials.

PP.6 Technology Transfer and Research, Development & Demonstration (RD&D) Projects

This area includes those activities and programs which facilitate WMin/PP technology transfer and information exchange; and integrate pollution prevention into research, development, demonstration, test, and evaluation programs.

PP.7 Design and Specifications Review

This area includes those activities or projects related to the design of pollution prevention into new products, processes, and facilities; and the review and revision of technical standards or documents such as MILSPECS, MILSTDS, NEPA documents, operating standards, procurement requests, construction project documents, or quality assurance plans, etc.

WM WASTE MANAGEMENT

The Waste Management functional area includes those activities addressing the treatment, storage, and disposal of wastes. Activities include characterization and certification of waste to ensure its proper treatment or disposal; waste handling and temporary storage activities, such as operation of 90-day satellite accumulation areas for the storage of hazardous waste; operation and management of all waste treatment and disposal systems; and final disposal of all wastes.

MR MANAGEMENT, OVERSIGHT AND REPORTING

The Management, Oversight and Reporting functional area includes those activities which are intended to coordinate, direct, and integrate environmental activities across multiple environmental functional areas. If management, oversight, and reporting activities can be directly and uniquely linked to a specific functional area, these activities should be reported under that functional area. Included within this functional area are coordination of the site environmental protection plans and implementation of National Environmental Policy Act (NEPA) requirements. Specific tasks include documentation and control; information management; compliance and corrective action tracking; environmental management audits, appraisals, and self-assessments; internal communication among divisional, program, or contractor staff; communication and coordination with DOE, other federal, state or local authorities; and general environmental monitoring and surveillance planning and coordination.

3. SAFEGUARDS AND SECURITY (S&S) CROSSCUT ESTIMATES

a. Instructions for preparing S&S Crosscut. The purpose of this section is to provide crosscut guidance for all Department of Energy (DOE) programs that protect classified matter, nuclear materials, and government property against theft, sabotage, espionage, and other acts that may cause adverse impacts on national security or harm to public health and safety. Included are DOE's S&S activities associated with research, development, production, processing and storage of nuclear weapons and special nuclear materials, protection of classified information and other critical U.S. energy resources. This information allows a systematic overview and evaluation of S&S funding at all DOE facilities, including area offices.

(1) General Guidelines:

(a) Each operations/field/area office and site will submit S&S estimates in the subcategories that are defined in paragraph 3.b. Estimates shall reflect **NEW BUDGET AUTHORITY** for FYPY, FYCY, and FYBY. The years requested in detail are defined as follows:

Fiscal Year Prior Year = FYPY = 1998
Fiscal Year Current Year = FYCY = 1999
Fiscal Year Budget Year = FYBY = 2000

(b) Explain any significant changes between the FYPY-1, FYPY, FYCY, and FYBY estimates in the narrative justification section {see paragraph 3.a.(2)(c)}. **This part of the document is EXTREMELY important to the S&S staff since it is frequently used to address questions from internal DOE management, the Office of Management and Budget, and most importantly, Congressional subcommittees. Specific attention should be focused on explaining increases and decreases between FY 1997 - FY 1998, FY 1998 - FY 1999 and FY 1999 - FY 2000 by S&S category.** The discussion should be used to identify and explain uncosted carryover balances and any effects such balances will have on new Budget Authority requested. Describe the impact if funds are not approved at the level requested. Background which explains changes in mission, personnel levels, programs and rationale behind these changes from the last field submission is also desired.

(c) S&S activities that are directly funded by a program should be reported against that program's budget and reporting (B&R) classification. If uncosted carryover balances will be used to offset or supplement the FY 1998 new Budget Authority requested, these uncosted balances should be addressed in total by site within the narrative justification section of the submission.

(d) Overhead pools/indirect funds that pay for S&S activities should be prorated to the applicable B&R classification consistent with site-approved cost distribution methodology. Please site the source document for the approved cost distribution methodology. Where many programs contribute small amounts to overhead pools, it is not necessary to separately list every program's B&R classification. The funding in these indirect pools may be combined into a summary category labeled "All Other B&R's" if the amount of funding is extremely small. Because funds labeled "All Other B&R's" are not reviewed by any specific Headquarters program office, this category should be used sparingly.

(e) Please provide **an original and one copy** of the S&S Crosscut estimates to the Office of Safeguards and Security, (NN-513), addressed to the designated point of contact (POC) as displayed in Figure IV-3.1(see page IV - 3.4). Provide one copy to the **appropriate program office(s)** that will directly or indirectly fund S&S activities relevant to their program as displayed in Figure IV - 3.2 (see page IV - 3.5).

(f) Listed below are a few guidelines for reference when collecting and collating the data requested.

* ***NEW GUIDELINE* AS OF JANUARY 1998: PLEASE INCLUDE ANY ESTIMATES FOR CAPITAL EQUIPMENT AND GENERAL PLANT PROJECTS (GPP) IN THE APPROPRIATE S&S OPERATING AND MAINTENANCE SUBCATEGORIES THAT ARE DISPLAYED IN THE PREFERRED CROSSCUT FORMAT.**

* As a clarification, the following subcategories have been included in the S&S crosscut: **"Explosive Detection"** and **"Escorts"** under the Physical Security category; **"Classification/Declassification"** under the Information Security category.

* All Federal and Contractor S&S funded activity **shall** be reported. Notice that this requirement is NOT the same as the Functional Support Cost Report.

* All dollars shall represent new budget authority and be fully loaded as defined in Attachment E (DOE Budget Formulation Handbook, Field Budget Process Section) of the FY 2000 Field Budget Unified Call.

* Classification and declassification activities **shall** be included in the crosscut estimates.

* Items such as Emergency Response, Emergency Operations Center, NEST, FRMAC, and other non-safeguards and security functions shall **NOT** be reported in the crosscut.

* International Safeguards and Security estimates shall only reflect the budgeted figures associated with the safeguarding and securing of domestic DOE sites. Other than the dollars associated with the maintenance of the GJ04 Nuclear Materials Management and Safeguards System (NMMSS) managed by the DOE Oakland Operations Office, and the dollars identified for general and administrative overhead costs at some labs, NO other "GJ" dollars are to be included.

* Special Technologies Program (STP) intelligence-related funding shall **not** be included.

* Estimates for **ESCORTS SHALL** be included in the Physical Security category.

* Construction project data sheets detailing **S&S-related** line item construction projects shall be included with the S&S Crosscut request. This includes any line item construction projects that are funded by a program office's operating dollars. Regardless of the color of money used, please display the funding for line item projects in the Safeguards and Security Crosscut "Line Item Construction" category. If changes in projects have occurred since the previous field submission, please indicate the change(s) and rationale for the change(s).

SAFEGUARDS & SECURITY CROSSCUT
PROGRAM ANALYSTS by FACILITY

WEAPONS S&S OPERATIONS - KAREN STEWART/301-903-9934

Albuquerque Operations Office
Transportation Safeguards Division
Safeguards and Security Division
Information Resources Management Division

Carlsbad Area Office & Waste Isolation Pilot Plant
Grand Junction Office
Kansas City Area Office & Plant
Los Alamos Area Office & National Laboratory
Armarillo Area Office & Pantex
Kirtland Area Office & Sandia National Laboratories

Nevada

Oakland Operations Office
Lawrence Berkeley National Laboratory
Lawrence Livermore National Laboratory
Stanford Linear Accelerator Center

Oak Ridge Operations Office
Thomas Jefferson National Accelerator Facility
Oak Ridge Institute for Science and Education
Oak Ridge National Laboratory
Paducah Gaseous Diffusion Plant
Portsmouth Gaseous Diffusion Plant
Office of Scientific and Technical Information

PRODUCTION & ENERGY S&S - ALICE KING/301-903-8782

Chicago Operations Office
Ames Laboratory
Argonne National Laboratory
Brookhaven National Laboratory
Environmental Measurements Laboratory
Fermi National Accelerator Laboratory
New Brunswick Laboratory
Princeton Plasma Physics Laboratory

Golden Field Office and National Renewable Energy Lab

Rocky Flats Field Office and Environmental Tech Site
Idaho

Ohio Field Office (Fernald, Mound, and West Valley)

Richland

Savannah River

National Petroleum Technologies Office (formerly BPO)
Federal Energy Technology Center
Naval Petroleum and Oil Shale Reserves

Strategic Petroleum Reserves
Pittsburgh Naval Reactors
Schenectady Naval Reactors
Headquarters
Central Training Academy

Figure IV-3.1

SAFEGUARDS & SECURITY CROSSCUT
PROGRAM OFFICE CONTACTS

Program Office	**Contact**	**Phone**
Defense Programs	Thomas Cousins	301-903-5308
Environmental Management	Maurice Daugherty	301-903-9978
Nuclear Energy (AF except AF99)	Mary Friend	301-903-5024
CFO (AF99)	Sherry Reid	202-586-4202
Nuclear Energy (AJ)	Mike Parrino	703-603-8282
Nuclear Energy (CD)	Susan Harlow	301-903-5947
Fossil Energy	Melissa Nicholson	301-903-2626
Fossil Energy (Naval Petroleum & Oil Shale Res)	Brent Sheets	202-586-1498
Fossil Energy (Strategic Petroleum Reserve)	Mary Carol Shannahan	202-586-4487
Environment, Safety and Health	Colleen Feldmeyer	301-903-2366
Energy Research	Isla Linger	301-903-3540
Civilian Radioactive Waste Management	Nick DiNunzio	202-586-8953
Energy Efficiency & Renewable Energy	Herb Owens	202-586-9264
Fissile Materials Disposition	Sandy Haller	202-586-3448
Nonproliferation & National Security (GC)	Laurence Lanes	202-586-8611
Nonproliferation & National Security (GD)	Brenda Swiger	301-903-4440
Nonproliferation & National Security (GH)	Joanne Csordas	301-903-3573
Nonproliferation & National Security (NN)	Susanne Furr	301-903-5168
Nonproliferation & National Security (NN/GJ)	Rosann Werner	202-586-7961
Nonproliferation & National Security (NN/ND)	Kathleen Watts	202-586-3776
Nonproliferation & National Security (NN/NT)	Larry Cain	202-586-0318

**** Please send a copy to those program office contacts that support S&S activities at your site.**

Figure IV-3.2

(2) Specific Guidelines:

(a) Each operations/field/area office and site will submit a **summary** of total site S&S funding (Operating and Maintenance, and Line Item Construction), including all reimbursable amounts as depicted in Figure IV-3.3. Reimbursable work is defined as any work or service performed by DOE and DOE contractors for either a Federal or non-Federal customer which is part of the customer's mission and for which the Department does not receive direct appropriated funds from Congress. The amounts reflected as DOE Operating and Maintenance, and Line Item Construction funding (line 3 of Figure IV - 3.3) should correspond to those totals presented in the preferred S&S detailed crosscut format which will be mailed under separate cover.

DEPARTMENT OF ENERGY
SAFEGUARDS and SECURITY CROSSCUT ESTIMATES
FY 2000 FIELD BUDGET REQUEST
FACILITY/SITE SUMMARY
(New Budget Authority in Thousands)

Type of Funding	**FY 1998**	**FY 1999**	**FY 2000**
1. DOE Funded Operating and Maintenance			
2. DOE Funded Line Item Construction			
3. SUBTOTAL DOE FUNDED S&S **(add lines 1-2)** **Should match total displayed in detail estimates.**			
4. Direct Funded Reimbursable			
5. Reimbursable Funded Overhead			
6. TOTAL S&S CROSSCUT **(add lines 3,4,5)**			

Figure IV-3.3

(b) The **preferred reporting format** displaying the categories, subcategories, and Budget and Reporting (B&R) classifications for each site **will be issued to the sites under separate cover** by the Office of Safeguards and Security (NN-513). However, an example format is shown in Figure IV-3.4 for your reference which shows the categories and subcategories. Please note that this format must be completed for **each** B&R used to fund S&S activities. If you use the preferred format, do NOT submit Figure IV - 3.4. In either case, please do not include amounts for any reimbursable work within these categories or subcategories. Sites or facilities that have not been reporting data in the S&S Crosscut and believe that they should be reporting in the Crosscut may contact the cognizant program analyst shown in Figure IV-3.1.

DEPARTMENT OF ENERGY
Safeguards and Security Crosscut Estimates
FY 2000 Field Budget Request
(New Budget Authority in Thousands)

FOR INFORMATION ONLY

FACILITY: _____ FYPY FYCY FYBY

BUDGET and REPORTING CLASSIFICATION: ____

SECTION I: Operating and Maintenance

A. Program Management
1. Planning
2. Professional training and development
3. Policy oversight and administration

TOTAL Program Management

B. Protective Forces
1. Salaries, wages, benefits
2. Materials and supplies
3. Equipment and facilities
4. Protective Force training
5. Protective Force management

TOTAL Protective Forces

C. Physical Security Protection Systems
1. Performance testing
2. Intrusion detection and assessment
3. Barriers/secure storage/locks
4. Entry control/access controls
5. Explosive detection
6. Vital components and tamper-safe monitoring
7. Escorts

TOTAL Physical Security

D. Transportation
1. Personnel
2. Equipment

TOTAL Transportation

E. Information Security
1. Information protection
2. Classification/Declassification
3. Information assurance
4. Technical surveillance countermeasures
5. Operations security

TOTAL Information Security

Figure IV-3.4

DEPARTMENT OF ENERGY
Safeguards and Security Crosscut Estimates
FY 2000 Field Budget Request
(New Budget Authority in Thousands)

FACILITY: _____ FYPY FYCY FYBY

BUDGET and REPORTING CLASSIFICATION: ___

FOR

F. Personnel Security
1. Clearance program
2. Initial investigations
3. Reinvestigations
4. Security awareness program
5. Visit control

TOTAL Personnel Security

G. Material Control and Accountability
1. Material control
2. Material accountability

TOTAL Material Control & Accountability

INFORMATION

H. Research and Development
1. Research
2. Technology development

TOTAL Research & Development

SUBTOTAL SECTION I: Operating and Maintenance

SECTION II: LINE ITEM CONSTRUCTION

TOTAL S&S CROSSCUT (total of sections I and II)

ONLY

Figure IV-3.4

(c) **Narrative Justification:** Explain any significant changes between the FYPY-1, FYPY, FYCY, and FYBY estimates in the narrative justification (see Figure IV-3.5). **This part of the document is <u>EXTREMELY important</u> to the S&S staff since it is frequently used to address questions from internal DOE management, the Office of Management and Budget, and most importantly, Congressional subcommittees. Specific attention should be focused on explaining increases and decreases between FY 1997 - FY 1998, FY 1998 - FY 1999 and FY 1999 - FY 2000 <u>by S&S category</u>.** The discussion should be used to identify and explain uncosted carryover balances and any effects such balances will have on new Budget Authority requested. Describe the impact if funds are not approved at the level requested. Background which explains changes in mission, personnel levels, programs and rationale behind these changes from the last field submission is also desired.

DEPARTMENT OF ENERGY
SAFEGUARDS and SECURITY CROSSCUT ESTIMATES
FY 2000 FIELD BUDGET REQUEST
NARRATIVE JUSTIFICATION

OPERATIONS OFFICE: _____
FACILITY: _____

OPERATING and MAINTENANCE:

Program Management:

Protective Forces:

Physical Security:

Transportation:

Information Security:

Personnel Security:

Material Control & Accountability:

Research & Development:

LINE ITEM CONSTRUCTION PROJECTS:

(d) Please provide a list of items being funded with new budget authority under Safeguards and Security's Operating and Maintenance (O&M) subcategories (see Figure IV-3.6). Please provide the title, Capital Equipment or General Plant Project number (if appropriate), in which S&S O&M subcategory the funds are included, funding amount by fiscal year, a brief description, and the status of the item. This will help in preparing narrative justifications for Headquarters S&S management. If funding profiles have changed from the previous field submission, please annotate the change(s) and provide rationale for the change(s). In the brief description, please note any prior year uncosted balances that will be used along with the new Budget Authority requested.

DEPARTMENT OF ENERGY

SAFEGUARDS and SECURITY CROSSCUT ESTIMATES

FY 2000 FIELD BUDGET REQUEST

CAPITAL EQUIPMENT & GENERAL PLANT PROJECTS

OPERATIONS OFFICE: _____

SITE/FACILITY: _____

CAPITAL EQUIPMENT

CE Title	S&S O&M subcategory	Fiscal Year	Amount	Brief Description	Status

SAFEGUARDS and SECURITY CROSSCUT ESTIMATES
FY 2000 FIELD BUDGET REQUEST
CAPITAL EQUIPMENT & GENERAL PLANT PROJECTS

GENERAL PLANT PROJECTS

GPP #	S&S O&M subcategory	GPP Title	Fiscal Year	Amount	Brief Description	Status

(e) **Safeguards and Security Staffing Breakdown:** S&S staffing should be reported for all Operating and Maintenance categories at all locations, including area offices. Please display the full-time-equivalents (FTEs) as shown in Figure IV-3.7. The FTEs should include Federal employees, Management and Operating (M&O) and

Management and Integrating (M&I) Contractor employees, and support service contract employees to DOE and the M&O and M&I Contractors. **The Federal FTEs should be based on 2,080 hours of straight time worked per year. Also, if the non-federal employees (contractors) FTE hour per year rate is different than 2,080, the difference should be explained in the narrative area.**

DEPARTMENT OF ENERGY
FY 2000 FIELD BUDGET REQUEST
SAFEGUARDS & SECURITY CROSSCUT STAFFING BREAKDOWN
(Full-Time Equivalents {FTE})

Facility: _____

	FY 1998			FY 1999			FY 2000		
S&S Category	Federal	Contractor	Total	Federal	Contractor	Total	Federal	Contractor	Total
Program Management			0.0			0.0			0.0
Protective Forces			0.0			0.0			0.0
Uniformed			0.0			0.0			0.0
Management/Other			0.0			0.0			0.0
Subtotal Pro. Forces	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Physical Security			0.0			0.0			0.0
Transportation			0.0			0.0			0.0
Information Security			0.0			0.0			0.0
Personnel Security			0.0			0.0			0.0
Mat. Control & Acct.			0.0			0.0			0.0
Research & Dvlpmnt			0.0			0.0			0.0
TOTAL FTEs	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0

{NOTE: The FTEs should be calculated using a base of 2,080 hours for Federal employees. FTEs are based on straight time.

FIGURE IV - 3.7
S&S Staffing Breakdown

(f) **Ten-Year Program Analysis:** In accordance with OMB Circular A-11 and DOE emphasis on long-term strategic planning, a Ten-Year Program Analysis for Atomic Energy Defense Activities (AEDA) and Non-AEDA programs will be provided (see Figure IV-3.8). The Fiscal Years requested are as follows:

FYPY	1998
FYCY	1999
FYBY	2000
FYBY +1	2001
FYBY +2	2002
FYBY +3	2003
FYBY +4	2004
FYBY +5	2005
FYBY +6	2006
FYBY +7	2007
FYBY +8	2008
FYBY +9	2009

Please use only those B&R classifications which correspond to the B&Rs identified by your site in the detail exhibit. Estimates should include inflation consistent with indices provided in the Office of Chief Financial Officer's FY 2000 Field Unified Call. Data for non-AEDA B&R codes should be totaled and displayed on the "All Other Non-AEDA" line in Figure IV-3.8 for each category. Please provide a brief summary of the technical assumptions and inflation factors used in preparing this table.

U.S. DEPARTMENT OF ENERGY
FY 2000 FIELD BUDGET REQUEST
SAFEGUARDS & SECURITY CROSSCUT ESTIMATES
(Tabular Dollars in Thousands)
TEN-YEAR PROGRAM ANALYSIS for ATOMIC ENERGY DEFENSE ACTIVITIES (AEDA) and NON-AEDA ACTIVITIES

FACILITY:_____

TYPE OF FUNDS	FY 1998	FY 1999	FY 2000	FY 2001	FY 2002	FY 2003	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009
OPERATING & MAINTENANCE												
AEDA												
AJ, Naval Reactors												
DP, Weapons Activities												
EW, Environ. Rest. - Def												
GA, Fissile Materials Disp.												
GC, Nnprlfrtn & Ver. R&D												
GD, Nuclear S&S												
GG, Worker & Com. Trans.												
GH, Security Investigations												
GJ, Arms Contrl & Nnprlfrtn												
HD, ES&H (Defense)												
ND, Emergency Mgmnt												
NN, NN Program Direction												
NT, Intelligence												
SUBTOTAL AEDA	0	0	0	0	0	0	0	0	0	0	0	0
ALL NON-AEDA												
SUBTOTAL O&M	0	0	0	0	0	0	0	0	0	0	0	0

Figure IV-3.8

U.S. DEPARTMENT OF ENERGY
FY 2000 FIELD BUDGET REQUEST
SAFEGUARDS & SECURITY CROSSCUT ESTIMATES
(Tabular Dollars in Thousands)
TEN-YEAR PROGRAM ANALYSIS for ATOMIC ENERGY DEFENSE ACTIVITIES (AEDA) and NON-AEDA ACTIVITIES

FACILITY:_____

TYPE OF FUNDS	FY 1998	FY 1999	FY 2000	FY 2001	FY 2002	FY 2003	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009
LINE ITEM CONSTRUCTION												
AEDA												
AJ, Naval Reactors												
DP, Weapons Activities												
EW, Environ. Rest. - Def												
GA, Fissile Materials Disp.												
GC, Nnprlfrtn & Ver. R&D												
GD, Nuclear S&S												
GG, Worker & Cmmnty Trans.												
GH, Security Investigations												
GJ, Arms Control & Nnprlfrtn												
HD, ES&H (Defense)												
ND, Emergency Management												
NN, NN Program Direction												
NT, Intelligence												
SUBTOTAL AEDA	0	0	0	0	0	0	0	0	0	0	0	0
ALL NON-AEDA												
SUBTOTAL LINE ITEMS	0	0	0	0	0	0	0	0	0	0	0	0

Figure IV-3.8

U.S. DEPARTMENT OF ENERGY
FY 2000 FIELD BUDGET REQUEST
SAFEGUARDS & SECURITY CROSSCUT ESTIMATES
(Tabular Dollars in Thousands)
TEN-YEAR PROGRAM ANALYSIS for ATOMIC ENERGY DEFENSE ACTIVITIES (AEDA) and NON-AEDA ACTIVITIES

FACILITY:_____

TYPE OF FUNDS	FY 1998	FY 1999	FY 2000	FY 2001	FY 2002	FY 2003	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008	FY 2009
TOTAL S&S CROSSCUT												
AEDA												
AJ, Naval Reactors	0	0	0	0	0	0	0	0	0	0	0	0
DP, Weapons Activities	0	0	0	0	0	0	0	0	0	0	0	0
EW, Environ. Rest. - Def	0	0	0	0	0	0	0	0	0	0	0	0
GA, Fissile Materials Disp.	0	0	0	0	0	0	0	0	0	0	0	0
GC, Nnprlfrtn & Ver. R&D	0	0	0	0	0	0	0	0	0	0	0	0
GD, Nuclear S&S	0	0	0	0	0	0	0	0	0	0	0	0
GG, Worker & Cmmnty Tran.	0	0	0	0	0	0	0	0	0	0	0	0
GH, Security Investigations	0	0	0	0	0	0	0	0	0	0	0	0
GJ, Arms Control & Nnprlfrtn	0	0	0	0	0	0	0	0	0	0	0	0
HD, ES&H (Defense)	0	0	0	0	0	0	0	0	0	0	0	0
ND, Emergency Management	0	0	0	0	0	0	0	0	0	0	0	0
NN, Program Direction	0	0	0	0	0	0	0	0	0	0	0	0
NT, Intelligence	0	0	0	0	0	0	0	0	0	0	0	0
SUBTOTAL AEDA	0	0	0	0	0	0	0	0	0	0	0	0
ALL NON-AEDA	0	0	0	0	0	0	0	0	0	0	0	0
TOTAL S&S CROSSCUT	0	0	0	0	0	0	0	0	0	0	0	0

Figure IV-3.8

b. Definitions.

(1) **Operating Expenses.** Operating expenses are normally used to budget for operational activities and includes such items as labor, travel, training, and small dollar items which are not intended to be capitalized (i.e., less than $25,000 and a useful life of less than two years).

(a) **Program Management**: Includes all personnel and operating expenses for planning; professional development and training; inspections, surveys or assessments; test and evaluation; resource planning and implementation for S&S; policy oversight; management and administration; responses to management requests and foreign ownership, control or influence (FOCI).

1 *Planning* - includes personnel and operating expenses associated with such efforts as: development and implementation of S&S plans, procedures and actions to accomplish S&S policy requirements; the development, management and oversight of an acceptance and validation testing and evaluation (T&E) program and related documentation; the development and management of a FOCI program, monitoring and notifications; development of S&S estimates, S&S financial data, and S&S cost data to reply to information requests from the Office of Safeguards and Security, inspector general (IG), Security Evaluations (SE), General Accounting Office (GAO), Congress, and special ad hoc groups; S&S resource review and bench marking recommendations.

2 *Professional Training and Development* - includes personnel and operating expenses associated with such efforts as: the establishment, maintenance, direction, support and assessment of a S&S training program which satisfies DOE-established policies; the certification and approval of the S&S training program; the development, management and maintenance of an S&S training records management system; the training of personnel to perform tasks associated with their duties, and qualification and/or certification of personnel before assignment of S&S responsibilities.

3 *Policy Oversight and Administration* - includes personnel and operating expenses associated with such efforts as: the effective management, direction and oversight of S&S organizational

activities, policies and guidance to assure implementation of S&S requirements; inspections, surveys, or assessments to determine the status of the S&S program and to evaluate its effectiveness; development and management of a facility survey and approval program, facility pre-survey planning or scheduling; verification of the acceptability and validity of existing facility approval status; granting new facility approval; terminating facility approval; maintenance of facility data and approval records; identification, tracking and closure of findings or deficiencies noted during inspections, pre-surveys, surveys or assessments; development of reports to identify S&S program deficiencies, status and corrective actions.

(b) **Protective Forces**: Includes all personnel and operating expenses associated with Protective Forces to include but not limited to salaries, overtime, benefits, materials and supplies; equipment and facilities; vehicles; helicopters; training; communication equipment and management. The subcategories are described below.

1 *Salaries, Wages and Benefits* - includes salary, overtime, and benefits for uniformed protective forces and other protective force administrative and support personnel funded by safeguards and security.

2 *Materials and Supplies* - includes all personnel and operating expenses associated with the availability of protective force materials and supplies such as: uniforms; normal contractor operating materials and supplies; the conduct and management of inspections, storage and inventory of materials and supplies; development and management of inventory or material and supply tracking systems and development, revision and management of status reports.

3 *Equipment and Facilities* - includes personnel and operating expenses associated with such efforts as: availability and management of protective force equipment (weapons, explosives, ammunition, chemical agents, protective masks, tactical vests, handcuffs, flashlight or other individual, special purpose or duty equipment) and facilities; communication equipment (radios, telephones, etc.); vehicles, and the mandatory equipment to be

included with each vehicle including specialized equipment such as snow and watercraft; security force helicopter operations; conduct and management of inspections of equipment and facilities; storage and inventory of equipment; development and management of inventory or equipment tracking systems and development, revision and management of status reports.

4 *Protective Force Training* - includes personnel and operating expenses associated with such efforts as: the development and management of a formal training program for uniformed and other protective force, administrative and support personnel; development of training-needs analysis; development and implementation of training plans and courses for uniformed, administrative and support personnel; training of uniformed, administrative and support personnel to perform tasks associated with their duties (job task analysis), and the conduct of training exercises for uniformed protective force personnel.

5 *Protective Force Management* - includes personnel and operating expenses associated with such efforts as: protective force planning; development and management of manuals, orders and plans to implement old and new DOE 5632 series orders; development and administration of management systems, procedures, support tasks, and status reporting for the protective force program; examination of protective force personnel, equipment, weapons, vehicles, facilities and other protective force aspects to determine the effectiveness of the protective force.

(c) **Physical Security Protection Systems**: Includes all personnel and operating expenses associated with such efforts as: performance testing; intrusion detection and assessment; barrier/secure storage/locks; entry control/access controls; **explosive detection**; vital components and tamper-safe monitoring; and **escorts**. The subcategories are described below.

1 *Performance Testing* - includes personnel and operating expenses associated with such efforts as: the examination and testing of physical security systems to ensure their effectiveness and operability.

2 *Intrusion Detection and Assessment* - includes personnel and operating expenses associated with such efforts as: the implementation and maintenance of intrusion detection systems (i.e. reporting equipment, alarms, CCTV, sensors, line supervision, alarm management and processing center, protective lighting, voice communications, etc.) as required by DOE orders; assessment of the reliability, accuracy, timeliness and effectiveness of intrusion detection systems and development and reporting of intrusion alarm reports as required by DOE orders.

3 *Barrier/Secure Storage/Locks* - includes personnel and operating expenses associated with such efforts as: the implementation and maintenance of physical barriers (i.e. fabricated or natural impediments); to restrict, limit, delay or deny entry into a designated area; the use of locking devices to delay entry, and secure storage used to protect classified matter while in storage.

4 *Entry Control/Access Controls* - includes personnel and operating expenses associated with such efforts as: the implementation and maintenance of a badge system, and access control systems to ensure that persons entering/leaving facilities are authorized, and that they do not introduce prohibited articles into or remove Government property from Departmental facilities in accordance with DOE orders and local directives.

5 ***Explosive Detection*** - includes personnel and operating expenses associated with such efforts as: conducting canine searches, canine maintenance, veterinary services, and boarding and training; performance testing of electronic explosive detection equipment; maintenance of equipment; and acquisition of explosive detection equipment.

6 *Vital Components and Tamper-safe Monitoring* - includes personnel and operating expenses associated with such efforts as: the monitoring of tamper-indicating devices (TID) and alarms (i.e. found on containers, doors, fences), but does not include those TIDs associated with the MC&A program, which reveals violations of containment integrity and posting and monitoring of anti-tamper warnings or signs as specified in DOE orders.

7 ***Escorts*** - includes personnel and operating expenses associated with providing services to include accompanying uncleared/unbadged personnel to and within site boundaries.

(d) **Transportation**: All security-related transportation expenses (both intra- and inter-site transfers) for transport of special nuclear materials (including safe havens), weapons, and other classified material. Includes personnel expenses (salaries, wages, benefits and training), and equipment costs, such as maintenance, facilities, security upgrades to vehicles, and communications.

(e) **Information Security**: Includes all personnel, operating and equipment expenses associated with classified documents and material, classification AND declassification, unclassified controlled nuclear information, security infractions, information assurance, technical surveillance countermeasures, and operations security. The subcategories are described below.

1 *Information Protection* - includes all personnel and operating expenses associated with the protection of classified and sensitive unclassified information.

2 ***Classification/Declassification*** - includes all personnel and operating expenses associated with the classification/declassification program.

3 *Information Assurance* - includes all personnel and operating expenses associated with programs directed at protecting traditional and non-traditional automated information systems (AIS) that either process sensitive unclassified and classified information or are critical to facility operations from traditional and Information Warfare threats (both internal and external adversaries). Traditional AISs include standalone PCS, network-based Local Area Network/Wide Area Network (LAN/WAN) systems, micro-, mini-, mainframe-, and super-computers. Non-traditional AISs include automated process control systems; fire, criticality, and security alarm systems; telephone and network switching systems (i.e., Asynchronized Transfer Mode (ATM) and Frame Relay); electrical power distribution control systems; oil and gas distribution control systems; and other Systems Control and Data Acquisition (SCADA)- type systems. All security-related costs associated with

site-wide and complex-wide network management, Internet access, data integrity and transmission security (i.e., encryption, public key infrastructure, digital signature, etc.) training and education, and incident management should be included.

4 *Technical Surveillance Countermeasures* - includes all personnel and operating expenses associated with technical surveillance countermeasures.

5 *Operations Security* - includes all personnel and operating expenses, and training materials, associated with the operations security (OPSEC) program, such as the OPSEC organization, program planning, and program conduct.

(f) **Personnel Security**: Includes all expenses for clearance program, initial investigations, reinvestigations, adjudication, security education, visit control, Personnel Security Assurance Program, psychological/medical assessments (including the Accelerated Access Authorization Program), national agency checks, and administrative review costs. The subcategories are described below.

1 *Clearance Program* - includes the personnel and operating expenses for such activities as Personnel Security Assurance Program; adjudications: screening and analysis of personnel security cases for determining eligibility for access authorizations; national agency checks; and handling Freedom of Information (FOI) and Privacy Act requests.

2 *Initial Investigations* - includes the personnel and operating expenses associated with such activities as reviewing the Questionnaire for Sensitive Positions (SF-86), initial screenings, Central Personnel Clearance Index (CPCI) updates, and the Accelerated Access Authorization Program (AAAP).

3 *Reinvestigations* - includes the personnel and operating expenses associated with recurring investigations for DOE, contractor, and subcontractor personnel.

4 *Security Awareness Program* - includes the personnel and operating expenses of establishing and maintaining security education and awareness programs for DOE and DOE contractor employees.

5 *Visit Control* - includes the personnel and operating expenses associated with classified visits as well as unclassified visits and assignments by foreign nationals.

(g) **Material Control & Accountability (MC&A)**: Includes all personnel and operating expenses associated with control and accountability of special nuclear materials, nuclear weapons, test devices, and weapons components and parts. Includes MC&A access areas, surveillance, containment, detection, assessment, testing, transfers, verifications and measurements, inventories, reconciliation, and statistical analysis. The subcategories are defined below.

1 *Material Control* - includes the personnel and operating expenses associated with material access, data and equipment, material surveillance, material containment, and detection/assessment of those items listed in 3.b.(1)(g) above.

2 *Material Accountability* - includes the personnel and operating expenses associated with accounting systems, inventories, measurements and measurement control, material transfers, and tamper indicating devices associated with the material accountability program.

(h) **Research & Development**: Includes all personnel and operating expenses incurred through research and/or the systematic development of technologies for use in Physical Security, Material Control and Accounting, Information Security, and Personnel Security. This would encompass any activities that are required for a technology to progress from basic research to full scale development and the technology transfer of a product to a commercial vendor, to include any modification of proven technologies to satisfy safeguards and security requirements.

(2) **CAPITAL EQUIPMENT.** This category provides for capital equipment not related to a specific construction project, including the costs for installing the equipment. Field budget submissions should contain a detailed list of the

equipment being requested in Figure IV-3.6 for each fiscal year, and indicate whether it is a new item of equipment or is replacing existing equipment.

(3) **CONSTRUCTION**. Projects requiring construction of a structure or facility having a useful life of two years or more are funded out of capital funds in either a line-item project, or in a general plant project (GPP) if under the Congressional limitation for GPP projects (currently $5 million). Please provide project data sheets for line-item construction projects regardless of funding source (i.e., operating or construction). Please include a detailed list of the general plant projects for each fiscal year identified in Figure IV-3.6.

4. INFORMATION MANAGEMENT

a. Introduction. In support of the Program Offices, Information Management (IM) crosscut information will be collected from Departmental Elements as part of the FY BY DOE Field Budget Call.

(1) Purpose. The Department has fiscal responsibility for seeing that IM resources, which consume nearly 10 percent of the DOE budget, are managed effectively as an asset by the programs they support.

(2) Information Management Crosscut Process Overview. Information being requested through the Field Budget Call will identify IM planning estimates in a consistent manner across diverse programs and organizations. The requested Information Management (IM) Planning Estimates Schedule will be used to identify total planned IM dollars and Federal full time equivalent (FTE) estimates for the site or organization for the Past Year (PY), Current Year (CY), and Budget Year (BY). These are reported by specific categories and should identify resource estimates for all IM related activities, except Records Management. While Records Management is an IM activity, planning estimates are not required by OMB under Circular A-11.

b. Administrative Instructions.

(1) The IM Planning Estimates Schedule should be prepared using a word processing package such as WordPerfect or Microsoft Word, or using a spreadsheet package such as Excel. Please identify the software used on the diskette, or in the e-mail transfer note.

(2) Three paper copies and one electronic copy of the schedule are required from field sites: one paper copy to the Office of Budget, one to the Office of the Associate Deputy Secretary for Field Management, and one to the Headquarters funding program point-of-contact. The electronic copy should be sent to the Department's Chief Information Officer.

(3) Two copies of the IM Planning Estimates Schedule are required from Headquarters program and staff organizations: one paper copy to the Office of Budget and one electronic copy to the Chief Information Officer. Program organizations are responsible for ensuring their submissions do not duplicate information being submitted by their field sites. Following is a table that shows

the submission requirements for each receiving organization. It also identifies the format requested.

Submitting Site or Organization	Receiving Organization Number of Copies Required, Form, and Date Due				
	Operations or Other Cognizant Field Site	Office of Budget	Office of Associate Deputy Secretary for Field Management	Chief Information Officer	Headquarters Funding Program POC
HQ Program and Staff Offices	N/A	1 Paper Copy 4/15/98	N/A	1 Electronic 4/15/98 e-mail or diskette	N/A
Operations Offices and other DOE Field Sites	N/A	1 Paper Copy 4/15/98	1 Paper Copy 4/15/98	1 Electronic 4/15/98 e-mail or diskette	1 Paper Copy 4/15/98
Labs/M&O, M&I, and Other Contractors	Set by that office in separate instructions	1 Paper Copy 4/15/98	1 Paper Copy 4/15/98	1 Electronic 4/15/98 e-mail or diskette	Coordinated through cognizant Opns/Field Offices

(4) The IM Planning Estimates Schedule must be submitted electronically to the Chief Information Officer no later than 4/15/98. Electronic submissions should be sent to Marti Lydick, HR-42 (Marlene.Lydick@hq.doe.gov). Laboratory, Management and Operating (M&O), Management and Incentive (M&I), and other contractor submissions should be submitted through the cognizant Operations Office. Other DOE field sites should submit directly to the Chief Information Officer, unless Headquarters coordination is required by their sponsors.

(5) Operations and field offices are to coordinate the submission process for their respective sites and review and maintain copies of the schedule, either in paper copy or electronic form. They are also responsible for coordinating the submission of additional copies to program offices, if required.

c. IM Planning Estimates Schedule - This schedule is used to collect planning estimates for the acquisition, operation, and use of information systems and their components from each DOE site and Headquarters Organization. It will serve two purposes for the Department: (1) provide a tool to coordinate and oversee the acquisition of

automatic data processing equipment, telecommunications, and other information technology to manage information resources, as required by the Paperwork Reduction Act of 1980; and (2) provide a way to consolidate a Departmentwide report required by OMB for these planning estimates under Circular A-11.

(1) Data provided on this schedule should include planned obligations for information technology activities that encompass planning (requirements, feasibility, and benefit-cost studies), system design, development, and acquisition; voice, data and video telecommunications requirements regardless of whether or not they are associated with an information system installation, operation, maintenance, or support; and all automatic data processing equipment as the term is defined in section 111 of the Federal Property and Administrative Services Act of 1948 (40 U.S.C. 759) and applicable GSA regulations (41 CFR chapter 21). Identify the dollar value of the resources required to support all site IM activities in each category as described below. Show only DOE costs or collections. Do not include costs for Records Management activities on this schedule as it is not required by OMB.

(2) Provide the following identification information.

Field Site or HQ Program/Office Name: Field Site or HQ Program/Office Code: Cognizant Operations/Field Office Code (if applicable): Field Site or HQ Program/Office IM POC Name: Telephone Number: Field Site or HQ Program/Staff Office Budget Office POC Name: Telephone Number:

(3) Following are definitions for the funding information required in each category of the table.

1. <u>Equipment</u> - This is any equipment or interconnected system or subsystem of equipment used in the automatic acquisition, storage, manipulation, management, movement, control, display, switching, interchange, transmission, or reception of data or information. Examples of computing and telecommunications equipment are listed below. These are examples and should not be considered an all inclusive listing.

Computing equipment:

- supercomputers, mainframes, minicomputers, microcomputers
- ancillary equipment, such as disk drives, tape drives, plotters, printers, storage and backup devices that are cable-connected to computers
- digital imaging equipment, optical storage and/or retrieval equipment (e.g., optical character recognition devices, computer-generated microfilm and other data acquisition devices)
- office automation equipment designed for use in conjunction with or controlled by a computer system
- Not included are typewriters, copiers, calculators, microfilm/microfiche equipment, or furniture.

Telecommunications equipment:

- analog and digital private branch exchanges (PBXs)
- telecommunications networks and related equipment such as voice communications networks, data communications networks, local area networks, terminals, modems, data encryption devices, fiber optical and other communications networks, packet switching equipment, terrestrial carrier equipment (e.g., multipliers and concentrators)
- lightwave, microwave, or satellite transmission and receiving equipment
- telephonic (including cellular and other hand held devices) equipment
- facsimile equipment
- videoconferencing equipment

A. Capital Purchases (=>$25K) - DOE defines a capital investment as an asset that costs $25 thousand or more and has a lifecycle of two years or more. This includes purchases and leases of equipment with either capital investment funds or operating expense funds.

B. Other Equipment Purchases/Leases (<$25K) - This includes the purchase or lease of equipment listed above that is not considered a capital investment and that is acquired with operating expense funds.

2. Software - Any software, including firmware, specifically designed to make use of and extend the capabilities of Federal Information Processing equipment as defined under capital investments. Software investments to be included are as follows.

- system programs (e.g., control and library programs, assemblers, compilers, interpreters, utility programs, sort-merge programs, and maintenance-diagnostic programs
- application programs
- commercial-off-the-shelf (COTS) software (e.g., word processing, communications, graphics, file management and database management system software)
- independent subroutines, related groups of routines, sets or systems of programs
- databases
- software documentation

A. Capital Purchase (=>25K) - This includes software purchases (including one-time obligations for long-term licenses) or leases for software investments described above. Include purchases and leases of software being made with either capital investment funds or operating expense funds. A capital investment is an asset that costs $25 thousand or more and has a lifecycle of two years or more.

B. Other Software Purchases/Leases (<$25K) - This includes the purchase or lease of software costing less than $25 thousand listed above that are not considered as capital investments and are acquired with operating expense funds.

3. Services - This is funding for any service, other than support services, performed or furnished by using the equipment or software as defined in 1 and 2 above. Services include teleprocessing, local batch processing, electronic mail, voice mail, centrex, cellular telephone, facsimile, and packet switching of data.

4. Support Services - This is funding for any commercial services used, including maintenance, (laboratories and contractors) in support of equipment, software, or services as defined in 1, 2, or 3 above.

Personnel-Related Costs - Information management activity include the labor cost of personnel who create or configure computer-based tools, applications, or systems as deliverable assets for others to use. These assets provide functions that generate, receive, store, or transmit information. Information management labor cost of those who use the computer related asset's to obtain information. An example would be an

engineer developing a computer model where the only deliverable product (asset) is the output of the model. This would not be an information management reportable activity.

Contract/Subcontract Costs - This includes contracts/ subcontracts where the entire contract or only specific tasks within the contract may be IM related. Those tasks that are IM related are to be reported in this section.

Examples of support services are:

- data entry in information management organizations
- information technology training
- planning for information management activities (e.g., planning documents, scoping studies, requirements definition, requirements analysis, alternative analysis, conversion studies)
- facilities management of information technology
- system analysis, design, development, enhancement, and maintenance
- computer performance evaluation and capacity management
- compliance activities
- custom software development
- custom and commercial software operations and maintenance
- computer center operations
- telecommunications operations such as telephone, data, facsimile, video, and radio
- end user support and training
- data administration/standards

5. Supplies - This includes any consumable item designed specifically for use with the equipment, software, services, or support services as defined in 1, 2, 3, and 4. above.

6. Personnel (compensation/benefits) - This includes the salary compensation and benefits for Government personnel identified in section 10 below, who perform information technology functions 51 percent or more of their time. Functions include, but are not limited to, policy, oversight, management, systems development, operations, telecommunications, computer security, contracting, and secretarial support. Personnel in user organizations who simply use information technology assets incidental to the performance of their primary functions are not to be included.

7. Intra-Governmental Payments - Payments for all information technology services within agencies, between executive branch agencies, judicial and legislative branches, and State and local governments are required in this item. Federal Telecommunications System 2000 (FTS 2000) payments are to be identified in 7A; all others should be included in 7B.

8. Intra-Governmental Collections (-) - Collections for all information technology services within agencies, between executive branch agencies, judicial and legislative branches, and State and local governments are required in this item. FTS 2000 collections are to be identified in 8A; all others should be included in 8B.

9. Total - Total of dollars included in categories 1 through 8 for each year.

10. Staffing Resource Profile - Enter the Full Time Equivalent (FTE) staff in work years required to support the activity described. These FTEs should perform IM-related tasks 51 percent or more of their time and not just be users of the information technology assets incidental to the performance of their primary function. (Report Federal employees only.)

11. B&RC Distribution Profile - Using the B&RC code listing in the Decision Unit/B&R Classification Code Crosswalk section of the Unified Field Budget Process Manual from the Call, allocate the total funding requirements identified in category 9 of the Funding Profile to the appropriate DOE funding program or reimbursable activity. This is required for the PY, CY, and BY.

(4) A sample format follows that can be copied and used for input, if desired. It was prepared in WordPerfect table format. You may also submit the information using a spreadsheet package.

Information Management (IM) Planning Estimates Schedule

Field Site or HQ Program/Office Name:
Field Site or HQ Program/Office Code:
Cognizant Operations/Field Office Code (if applicable):

Field Site or HQ Program/Office IM POC Name:
Telephone Number:

Field Site or HQ Program/Staff Office Budget Office POC Name:
Telephone Number:

Planning Estimates: (in thousands of dollars)

Category	**PY**	**CY**	**BY**
1. Equipment A. Capital Purchases (=>25K) B. Other Purchases/Leases (<25K)			
2. Software A. Capital Purchases (=>25K) B. Other Purchases/Leases (<25K)			
3. Services			
4. Support Services			
5. Supplies			
6. Personnel (Government)			
7. Intra-Governmental Payments A. FTS B. Other			
8. Intra-Governmental Collections A. FTS B. Other			
9. Total			
10.Work years (FTEs) (Government only)			
11.B&RC Distribution (Distribute totals in Category 9 by B&RC)			