

FY 2019 INITIAL PLANNING AND BUDGET GUIDANCE

Overview

This document provides guidance for Environmental Management's (EM) fiscal year (FY) 2019 planning and budget formulation overarching guidance.

EM has been working to fully integrate budget formulation and life-cycle planning to ensure that senior management understands the long-term impacts of near-term budget decisions in real time. Each site's annual budget formulation process should be conducted within the context of life-cycle goals and objectives at the site, paying close attention to milestones and other key planned completion dates. As part of your FY 2019 submission to Headquarters, it is important that you provide both your FY 2019 request and your site's FY 2020-FY 2023 projected profile based on your FY 2019 request. The outyear component of this request is the basis for understanding the impacts of a FY 2019 decision beyond the formulation year. Having the outyear data available simplifies the formulation process and ensures consistency with planning estimates. These projected profiles should assume no more than 1% per year escalation rate at each site given historical funding trends and realistic expectations for future funding. Assumptions regarding priorities and scope determination should be made consistent with the budget guidance provided.

Once senior management has made decisions regarding the FY 2019 budget, sites will be asked to update the FY 2020- FY 2024 window to reflect any changes. These data will be updated again once the Congressional Budget Request is released.

In addition to these short-term outyear profiles, it is essential that EM is able to reconcile life-cycle cost profiles at Headquarters with current site baselines and life-cycle cost data as they currently reside in IPABS. We need to work corporately to develop a single-source data set for Headquarters to use that will be updated through a documented process and can be modified as necessary to meet various requirements (EMEL, Congressional Budget Request, alternatives analyses, etc.) but will remain traceable for consistency across the program. Life-cycle cost approach, update schedule, and requirements will be discussed at the upcoming Planning Workshop so that we can get site input on the best way to accomplish this as we move forward.

Planning and Budget Deliverables

The FY 2019 – FY 2023 Planning and Budget Workshop is scheduled for June 6 – 8, 2017, in Washington, DC.

In support of this workshop, site offices will develop and submit their FY 2019 – FY 2023 planning update through the Planning and Budget Integration Tool. Consistent with previous years, funding profiles will be required for the prior year (FY 2017 Omnibus), budget year (FY 2018 Request) and fiscal year(s) for the next planning and budget cycle (FY 2019 – FY 2023).

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In addition to the submittal of your planning update, sites offices should be prepared to provide and discuss the following at the workshop:

- Overall accomplishments that will be achieved at the FY 2019-FY2023 target levels
- Impacts associated with a “flat” target from FY 2018
- Impacts assuming a 5% reduction from the FY 2019 – FY 2023 target levels
- Baseline status of Line Item Construction Projects in the 5-year window (both existing and future planned projects)
- Major Schedule of site activities for the 5-year window

Programmatic Assumptions

Deactivation & Decommissioning (D&D) and Facility Transfer Assumptions (HQ POC: Andrew Szilagyi, (301) 903-4278)

EM typically performs D&D under the Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) as a "non-time critical" removal action. However, there have been few regulatory compliance agreements that specify D&D activities. Integration of facility D&D with soil and groundwater clean-up, as a part of “Area Closure” or facility modernization actions, enhances the need for an accelerated and more cost effective D&D program. Furthermore, delays in the final disposition of contaminated facilities further increases deterioration, thus targeted accelerated investments in D&D can significantly reduce life-cycle costs.

For the FY 2019 through FY 2023 budget cycle, the sites should focus on five broad D&D areas. These include (1) planning and analysis, prioritizing surveillance and maintenance activities needed to avoid costly degradation and unanticipated conditions during D&D; additionally, efforts should focus on, at a minimum, minimizing the growth, or even reversing the trend in deferred maintenance (2) characterization, including structural characterization of facilities that are structurally deteriorated or contaminated, resulting in reduced worker risk while attaining high quality structural information for planning; (3) deactivation, decontamination and decommissioning/demolition, identifying technical solutions to reduce all waste generation, and cleanup schedule and costs over the baseline estimates; (4) closure, including assessment of experience with in-situ decommissioning (entombment) and applicability to implement this closure strategy at selective site facilities; and (5) sites should also evaluate a strategy that focuses on prioritizing deactivation, (i.e., the primary risk reduction phase of D&D), across the site’s facilities and deferring the final decommissioning/demolition. Analysis of this scenario should take into account the cost of surveillance and maintenance, the risk of degradation and concomitant spread of contamination, the cost of money, and any resulting additional decommissioning/demolition costs. The prioritization of D&D projects should focus primarily on risk reduction/elimination and the extent of cost savings associated with the otherwise annually increasing surveillance and maintenance. Detailed thought should also be given to the concept of "bundling" the D&D of the primary (high risk) facility with adjacent (co-located) lower-risk "industrial" facilities in order to take advantage of the

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mobilized and experienced work force. Recognizing the relatively inevitable "down time" that occurs during the D&D of complex high-hazard facilities, planning and initiating work in the adjacent industrial facilities will greatly increase progress.

For the FY 2019 – FY 2023 budget development, the sites should continue to address D&D work on facilities representing the highest site risks. For example, at Savannah River Site Building 235-F, DOE, in its response to the Defense Nuclear Safety Board's (DNFSB) Recommendation 2012-1, stated that action must be taken to reduce the hazards associated with the material at risk that remains as residual contamination and address safety issues at Building 235-F. SRS should submit a request that supports planned risk reduction activities associated with the residual Pu-238 in accordance with Implementation Plan, November 2014, which supports DOE's commitment with DNFSB on Recommendation 2012-1. At the Hanford site, with the excavation of high radioactive contaminated soils beneath Building 324 complete, planning for and initiating the demolition of the Building should be a priority. Similarly other EM sites should evaluate and prioritize funding needs for handling the highest risk D&D work to make cleanup progress.

In 2008, EM agreed that many excess facilities and ancillary structures from NNSA, SC and NE met the acceptance criteria for eventual transfer to EM for D&D. The candidate facilities were identified following comprehensive in-person facility assessments ("walkdowns") and are required to meet the mandatory generic and specific pre-transfer requirements for each facility, including compliant safety basis documents pursuant to 10 CFR 830, Nuclear Safety Management. As the owning programs fulfill their stabilization responsibilities and EM target funding becomes available, EM will initiate planning and the conduct of D&D. In January 2015, DOE's Secretary of Energy established the Excess Contaminated Facilities Working Group (ECFWG) to develop analysis and options for how DOE may prioritize and address the numerous excess contaminated facilities owned by the various DOE Program Offices. Additionally, in early 2015, the DOE Inspector General and the Government Accountability Office issued reports that raised concerns regarding DOE's management of high-risk excess facilities, particularly those awaiting transition to the Office of Environmental Management. The ECFWG collected enterprise-wide data to obtain updated inventory and cost estimates to D&D these facilities and developed a qualitative assessment of the risk they may pose. DOE used this data to define the scope of the challenge and to identify better approaches for prioritizing excess facilities. The results of this analysis were documented in a December 2016 Report to Congress, "Plan for Deactivating and Decommissioning of Nonoperational Defense Nuclear Facilities." As stated in the National Defense Authorization Act for Fiscal Year 2016 Sections 3133, "The Secretary of Energy shall, during each even-numbered year, beginning in 2016, develop and subsequently carry out a plan for the activities of the Department of Energy relating to the deactivation and decommissioning of nonoperational defense nuclear facilities." While the 2016 Report required a specific data call, DOE's intent is to streamline this effort and use data contained in the Facilities Information Management System (FIMS); as such, EM sites should ensure that data in FIMS is comprehensive and accurate. In late 2016/early 2017, EM in coordination with DOE's other Program Offices conducted additional "walkdowns" at the Oak Ridge Y-12 Complex and at Lawrence Livermore National Laboratory (LLNL). As a result of these combined efforts, significant additional funding for EM was identified in the President's 2018 Budget with direction to focus EM D&D efforts on high risk facilities at Y-12 and LLNL. These sites should continue this focus in Fiscal Year 2019.

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LLW and MLLW Disposal Assumptions (HQ POC: Doug Tonkay, (301) 903-7212)

As DOE O435.1 requires, where feasible, LLW and MLLW should be disposed at the site where they are generated. For those wastes that require off-site disposal, the Nevada National Security Site (NNSS) is currently the only Federally-owned, disposal facility available to receive waste generated by other DOE sites. As established in FY 2009, the base operations of the disposal LLW and MLLW disposal facilities at the NNSS are direct funded. This direct funding provides for at least 1.2 million cubic feet of waste receipts. Therefore, generator sites are not charged disposal fees during project execution, unless the waste streams require special handling or receipt which results in incremental costs. *However, this disposal service is predicated on generator sites providing accurate and detailed waste forecasts and NNSS optimizing receipts and monitoring actual shipment rates. The underutilization of the NNSS capacity in recent years challenges the continued viability of this approach. A revised funding strategy may be required and subsequent guidance would be provided.* Also, there continues to be considerable sensitivity with unique and high-activity LLW and MLLW streams proposed for disposal at NNSS. To the extent that EM sites and projects identify new, potentially controversial waste streams for disposal at NNSS in future FYs, the viability of this waste being ultimately approved for disposal at NNSS should be discussed with EM-4. It may be more appropriate to conservatively assume commercial disposal, if practical, for budget planning purposes. Each year, the Nevada Site Office (NSO) issues “Program Management Strategy for Disposal Operations,” which delineates the waste forecasting and receipt considerations. Wastes must meet the NNSS Waste Acceptance Criteria, and waste forecasts must be coordinated with the NSO’s annual waste forecasting process. For questions, call Mr. Jhon Carilli, NSO at (702) 295-0672.

DOE has committed to the State of Nevada that the NNSS will not be the sole site receiving off-site waste shipments from DOE generators. Therefore, consistent with prior guidance, generator sites must evaluate commercial disposal alternatives for those wastes requiring off-site disposal, to evaluate whether commercial disposal does not provide a cost-effective alternative when considering packaging, certification, transportation, and disposal costs. Although generators are generally not charged for disposal at NNSS, it is possible and necessary to compare NNSS and commercial alternatives using the “analytical unit rate” for disposal at NNSS (currently \$21.09 per cubic foot). This analytical unit rate is published annually in the NNSS “Program Management Strategy for Disposal Operations.” The Office of Waste Disposal (EM-4.22) is available to support these cost comparisons. Information on the availability and capabilities of commercial disposal facilities can also be obtained from EM-4.22.

- NNSS will continue to receive approved LLW and MLLW streams at Area 5.
- The EnergySolutions’ facility in Clive, Utah, remains available for LLW and MLLW streams that do not exceed Nuclear Regulatory Commission’s (NRC) classification for Class A LLW. Currently, the Clive Facility is unable to receive wastes containing concentrations of depleted uranium greater than 5 percent by weight. Details on this and other Waste Acceptance Criteria limitations should be discussed with EnergySolutions personnel. DOE awarded a prime indefinite quantity/indefinite deliverable contract for commercial disposal services to EnergySolutions, which includes fixed unit pricing. The contract can be found at http://emcbc.doe.gov/Content/Office/DE-EM0002406_Combined.pdf. The DOE contracting officer is Bill Hensley, EMCBC (Bill Hensley bill.hensley@emcbc.doe.gov).

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- The Federal Waste Disposal Facility at Waste Control Specialists (WCS) in Andrews, Texas remains available for disposal of LLW and MLLW disposal up to NRC Class C limits. DOE awarded a prime indefinite quantity/indefinite deliverable contract for commercial disposal services to WCS, which includes fixed unit pricing. WCS is licensed to dispose of depleted uranium. The contract can be found at http://emcbc.doe.gov/Content/Office/DE-EM0002405_Combined.pdf. The DOE contracting officer is Bill Hensley, EMCBC (Bill Hensley bill.hensley@emcbc.doe.gov).
- Seven treatment basic ordering agreements were awarded in July 2015, providing a wide range of MLLW treatment and LLW processing services available to all DOE waste generators. The basic ordering agreement with WCS includes low activity waste services for LLW and MLLW (below 10% of the NRC Class A LLW limit) resulting in disposal as exempt waste in WCS' permitted Resource Conservation and Recovery Act disposal cell. Similarly, four other treatment basic ordering agreements also provide bulk survey for release services for low activity waste. Details on this vehicle can be obtained by contacting Lee Bishop, the technical representative lee.bishop@em.doe.gov or the DOE Contracting Office, Bill Hensley bill.hensley@emcbc.doe.gov.)

To facilitate complex-wide planning and analysis, EM-4.22 continues to collect updated forecasts for the volumes of LLW and MLLW that will be generated by EM and other DOE programs. The annual update of the Baseline Disposition Data (BLDD) is conducted each winter. The update of the BLDD for 2017 is now complete based on site input requested in early FY 2017. It is expected the update will generally align with the sites' FY 2018 Congressional Request and the developing FY 2019 budget request. For questions regarding cost-benefit analyses, commercial disposal options, and BLDD forecasts, contact Doug Tonkay, EM-4.22, and (301) 903-7212.

Transuranic Waste Disposal Assumptions (HQ POC: Betsy Forinash, (202) 586-1467)

The National Transuranic (TRU) Program, led by Carlsbad Field Office (CBFO), works with the EM-Headquarters National TRU Program Office (EM-4.21) and leads the TRU Corporate Board to integrate TRU waste management activities throughout the complex in order to make optimal use of the National TRU Program assets and WIPP disposal capacity. Significant enhancements were implemented in Fiscal year (FY) 2016 and FY 2017 to WIPP safety-relevant programs, including revised WIPP Waste Acceptance Criteria to be implemented at waste generator sites. Waste emplacement safely resumed on January 4, 2017 and waste shipments on April 10, 2017. However, waste emplacements and shipments will be limited until degraded critical infrastructure is repaired and the new permanent ventilation system at WIPP is operating. Given these conditions, the following assumptions apply to the FY 2019 budget request:

- In FY 2019, TRU waste sites should plan for a continued limited rate of contact-handled (CH) TRU waste shipments for disposal of up to 5 shipments per week. The Office of Field Operations (EM-3), EM-4.21, and CBFO will continue to work closely with the waste generator sites to ensure current understanding of status and future outlook.
- Waste characterization at DOE waste generator sites will be funded by the respective site and includes activities such as Visual Examination, Real Time Radiography, Non Destructive Assay, Dose to Curie Conversion, and Flammable Gas Analysis.

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- Waste characterization certification of legacy transuranic waste at Savannah River Site, Oak Ridge National Laboratory, and Los Alamos National Laboratory will be funded by Project Baseline Summary Central Characterization Project CB-0081, whereas the Idaho National Laboratory funds its waste characterization certification through their own approved program. Transportation certification for all TRU generator sites is funded by CB-0081.
- A total of up to approximately 200 shipments are projected for FY 2019. The exact allocation and sequence for shipping will be adjusted based on the emplacement rate at WIPP, operational needs at WIPP and generator sites, and logistical issues (e.g., weather) that affect shipping.
- All TRU waste is required to meet the requirements of the National TRU Program (NTP), e.g., WIPP Waste Acceptance Criteria (latest revision); enhanced Acceptable Knowledge process including chemical compatibility evaluations; Basis of Knowledge for waste with oxidizing constituents; Generator Site Technical Reviews; site self-assessments; NTP review, facility qualification evaluation, site recertification audit, etc.
- Planning for shipment/emplacement of remote-handled waste is expected to be delayed until at least FY 2021 due to operational constraints at WIPP. Use of the shielded container assemblies (SCAs) may be considered (emplaced with CH waste) prior to FY 2021.
- To the extent the additional storage investments are required at TRU waste generator sites, these emergent requirements should be clearly identified.
- To the extent that existing compliance milestones or compliance targets are anticipated to be impacted, these should be clearly identified.

Please contact the WIPP Program Manager, James Rhoades, at the Carlsbad Field Office or Betsy Forinash, EM-4.21 for any questions regarding these assumptions.

Prior to developing or modifying compliance commitments involving disposition of TRU waste, DOE sites should notify and discuss the activities with EM-3, EM-4, and the Carlsbad Field Office Manager.

Similarly, the identification and modification of performance based incentives related to TRU disposition will also be coordinated through the National TRU Corporate Board on at least an annual basis. The TRU-related corporate metrics included in the FY 2019 budget request will be carefully reviewed and modified as necessary to ensure the integrated, National TRU Strategy is accurately reflected in the metrics.

Specific questions regarding challenging TRU waste streams (e.g., suspect non-defense TRU wastes) and requests for additional guidance should be requested from EM-4.21. Sites should not assume that waste streams are eligible for shipment to WIPP if they are not certifiable for disposal within the WIPP baseline inventory or do not have a defense determination. However, to facilitate visibility and resolution of these waste challenges, the impacts and costs associated with on-site storage of these wastes should be identified, to the extent possible, within the FY 2019 budget request.

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High Level Waste (HLW) Disposal Assumptions (HQ POC: Steve Schneider, (301) 903-7198)

Due to the uncertainty regarding the availability of a geologic repository for DOE-managed HLW, EM sites must continue to assume the need to store immobilized HLW on-site through, at least, 2048. After that date, sites must re-evaluate plans regarding availability of the capability to load HLW canisters into transportation casks for shipment of HLW offsite. Under special circumstances, EM sites may assume that a centralized interim storage facility may accept limited quantities of HLW for off-site storage and that some specific, small volume wastes may be suitable for disposal in deep boreholes. However, sites should not unilaterally take action to significantly revise currently approved baseline plans. In addition, sites should continue to implement technical compliance requirements for treatment and packaging these materials previously established with the Office of Civilian Radioactive Waste Management (RW), as needed. These compliance requirements are identified in RW documents issued in support of the Yucca Mountain License Application (LA), and associated EM specification and compliance strategy documents. These documents remain valid unless and until alternative requirements are approved by EM-HQ. Changes to EM-developed and site/contractor developed documents that could impact acceptability of HLW in a future disposal system must be reviewed and approved/concurrence in by EM-HQ. EM sites should continue to support effective quality assurance oversight of their programs consistent with *Quality Assurance Requirements Document*, Rev 20 effective October 1, 2008. Tank waste treatment programs at Hanford, Idaho, and Savannah River should continue the cost effective treatment and packaging activities for HLW consistent with existing compliance and regulatory requirements.

Spent Nuclear Fuel (SNF) and Nuclear Material Management and Disposition Assumptions (HQ POC: Steve Schneider, (301) 903-7198)

EM sites should safely and securely manage EM's inventory of spent nuclear fuel and nuclear materials, and should submit requests to fully fund the facilities and operations required to meet mission objectives. Due to the uncertainty regarding the availability of a geologic repository, EM sites should assume the need to manage SNF through at least 2048. The request should include funding required to maintain EM's facilities and infrastructure while reducing the amount of deferred maintenance. Sites should request funding sufficient to meet safeguards and security and project management requirements and continue to implement effective quality assurance oversight of their programs and projects consistent with site contract requirements.

The Idaho and Savannah River sites should continue to receive and manage foreign research reactor and domestic research reactor SNF, consistent with the Department's missions. EM sites should comply with all regulatory agreements and Records of Decision, including, but not limited to, the Idaho Settlement Agreement and the March 2013 Amended Record of Decision for processing aluminum-clad SNF and target material. The Savannah River site should submit a request to fully fund the receipt and management of nuclear materials to support the Department's nuclear nonproliferation and other missions.

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Infrastructure (HQ POC: Connie Walter, (301) 903-1620)

The Department has been increasing its focus on addressing failing infrastructure across the complex, as well as, investing in existing infrastructure upgrades in order to avoid potential future incidents.

Site submissions should clearly incorporate and identify infrastructure activities that are included within the site planning submissions.

Contractor Pension Plans and Post-Retirement Benefits (PRB) (HQ POC: Angela Whatmore, (202) 253-0993)

Pensions contributions as an indirect cost should follow the Department's January 2010 revised policy which eliminated its requirement that every contractor employee Defined Benefit (DB) pension plan maintain an 80 percent funded status. Contractors will now be required to fund their DB pension plans at a level equivalent to the minimum required by Employee Retirement Income Security Act (ERISA), or higher if necessary, for a DB pension plan to have a funded status to at least 60 percent to keep DB pension plans active participants earning a benefit each year. DOE's reimbursement of contractor costs in excess of the ERISA required minimum contribution will require approval by the Office of Environmental Management Head of Contracting Activity in consultation with the Chief Financial Officer, the General Counsel, and affected HQ's Program Offices.

Capital Line-Item Construction and Capital Asset Cleanup Projects (HQ POC: Rodney Lehman (301) 903-6104)

Sites are to identify capital project rankings, drivers, and internal and external ranking factors. This provision applies to all current and future capital projects of \$10M or greater, regardless of Critical Decision (CD) and funding type.

For Line-Item Construction Projects, the request should include all funding types including Other Project Costs (OPC); TEC Design; and TEC Construction funds. Construction activities with at TPC over \$10M should be clearly defined as line item projects with a data sheet in the site submission.

CD Levels Required for Budget Submissions: Projects need CD-0 to be included in the Congressional budget submission to request PED funds for use in preliminary design, final design and baseline development. The funding profile for projects at CD-0/1 should match the upper end of the approved cost range. Any CD-1 project requesting funds must have CD-2 prior to the Congressional Budget submission, unless the Project Management Executive accepts specific conditions as enumerated in DOE Order 413.3B. Any CD-0 project requesting construction funds must get approval for a waiver from this DOE Order 413.3B requirement. For long-lead procurement, the project can have a CD-3A (before the CD-2) to request construction funds to procure long lead items or indicating the use of PED funds for long-lead procurement. If the cost of a conceptual design is estimated to exceed \$5M, the project must be identified and the funds for the conceptual design must be specifically requested in the Congressional budget submission prior to start of the conceptual design.

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Project Engineering and Design (PED) Funds: Estimates for PED funds should be reflected in the site submission. PED duration should be limited to two years for projects with a total project cost under \$100 million.

Full Funding: All capital projects with a total project cost (TPC) of \$50M or less must request all funds within the same appropriation year as Critical Decision (CD)-2, unless justification for less than full funding is approved by the Energy Systems Acquisition Advisory Board (ESAAB)

DOE Order 413.3B Compliance: Consistent with S-1 direction, sites should ensure capital project compliance with DOE Order 413.3B requirements is fully reflected as appropriate in the funding scenarios, except the \$5.9B funding scenario where the site should specify instances where the direction would not be met. DOE Order 413.3B requirements apply to all capital projects with a TPC of \$10M or greater.

Other Items to be included in Budget Request: If TEC design is expected to exceed \$2M for any minor construction or line item construction project, the project must be identified and the funds for the design must be requested. For minor construction projects with an estimated TEC which exceeds \$5M, the project should also be identified in the budget request.

Project Data Sheets: For all capital projects with a Total Estimated Cost (TEC) greater than \$10M, a Project Data Sheet (PDS) will be prepared if the project is supported in the budget request, irrespective of CD level and whether the project is to be line-item or operating expense funded. The PDS for line item construction projects will continue to be included in Congressional budget submissions. The PDS for non-line item projects will be used internally within the Department.

OMB Non-IT Capital Asset Business Cases: For all active capital projects at any CD level with a TPC greater than \$10M, an OMB Business Case (aka, Exhibit 300) is to be prepared if the project is supported in the budget request. DOE-specific guidance and templates will be separately provided at a later date for Business Case development based on FY 2019 OMB requirements.

*Project Work Scope Categorization and Funding / Authorization Requirements (HQ
POC: Jeff McMillan, (301) 903-7701)*

EM sites initiate projects routinely with proposed scopes of work to restore capabilities to support mission and to support new missions. These projects may include construction, procurement of equipment, maintenance activities, and environmental remediation activities. To ensure that EM sites properly categorize these various project types and comply with the requirements of Title 50, War and National Defense, subsections 2741 – 2754, a Work Scope Categorization and Funding / Authorization Requirements Checklist has been developed (Attachment A). For each project initiated, EM sites should complete the checklist as accurately and completely as possible. EM sites should follow the instructions in the checklist to ensure that the correct funding type is identified for each project and that the appropriate DOE Order or Federal Code is followed.

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EM sites should also review projects in the early stages of planning and execution using the checklist to verify that the Site has correctly categorized the work scope and is pursuing the correct type of funding for the project.

Innovation and Technology Development (formerly Technology Development) Guidance *(HQ POC: Rod Rimando, (240) 676-6470)*

The development and deployment of innovative technologies can significantly reduce EM life-cycle cost and mission schedule. There are many examples of EM-funded Cleanup Innovation and Technology (CIT) activities giving rise to new and innovative solutions that have resulted in more efficient and effective cleanup methods, improved processing technologies, and decreased worker exposure. For these reasons, EM believes that investments in technology activities are a high priority even given the tight fiscal constraints in which we operate.

Sites offices are encouraged to identify within their planning submission proposals for CIT activities that have the potential to enhance safety and reduce worker exposures; improve mission effectiveness and quality; and to reduce life-cycle costs, schedules, and technical uncertainties and risks. The proposed site CIT activities should not include ongoing or currently-required operational activities at the site; rather, these activities should be aimed at providing scientific understanding, technical knowledge, and advanced technologies to enable accelerated cleanup and reduced cost through use of alternative, more effective and/or efficient approaches to site cleanup. The site proposals should meet the guidelines for Technology Readiness Levels 4-6, per DOE Guide 413.3-4A.

Administrative Guidance

Acquisition Services (POC: Norbert Doyle, (202) 287-5591)

Planning and budget for current, follow-on contracts, and new major acquisition needs in FY 2019 and beyond is the responsibility of end-users of the resulting contract award (e.g., each EM Program Office, Field Office, and Small Site Project Office). The annual planning and budget formulation process should include funding requests necessary for the development of technically sound and credible requests for acquisition planning, proposal and technical evaluation of the offeror's technical approach and cost proposal as well as technical and contract oversight of the resulting award. The end user organization of the resulting contract award is accountable for ensuring adequate staffing and appropriate technical resources are available to develop a statement of work, evaluate all aspects of the technical approach from the offeror(s) and perform technical cost reviews to determine most probable cost. In addition, complex acquisition may require budgeting for analysis of workforce and pension/benefit plans. End users must plan and budget for internal controls, including pre and post award audit support, technical specialty areas needed to validate the contractor has delivered the technical quality required by its contract, and other advisory services. Of specific mention, end-users are responsible for funding to cover the applicable audits for each contract as required by federal laws and regulations, including the following: Accounting System; Purchasing Systems, Cost Estimating Systems; Incurred Cost Audits; and Property Management Systems and cost proposal evaluation and assistance, such as DCAA or independent contractor assistance. Costs associated

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with end user participation in source selections may include Federal staff travel costs, source evaluation board secure space, industry interface, and technical support contractors and are to be covered by the end user. Sites should assume the Environmental Management Acquisition Center (EMAC) will lead all major EM procurement planning activities, source selection, cost estimating, and contract administration. In addition to providing assistance from a cadre of skilled acquisition personnel, the EMAC is a central repository of acquisition procedures, policies, and best practices.

Real Property, Infrastructure/Integrated Facilities Infrastructure (IFI) Crosscut and Sustainability Guidance (HQ POC: Andrew Szilagyi, (301) 903-4278) EM typically transfers excess asset (most commonly land parcels) pursuant to DOE O 430.1C policy to external private organizations (such as Community Reuse Organizations) for economic development or other reuse based on reviews such as, but not limited to – the Comprehensive Environmental Response, Compensation, and Liability Act; the Resource Conservation and Recovery Act; the National Environmental Policy Act; and property valuation and business case justification. The information on real property assets under site purview is maintained and updated in the DOE Facilities Information Management System (FIMS) and the FIMS information is certified annually by site. Sites should ensure that the excess asset information in FIMS is consistent with other documentation such as the Five Year Site Plans, Land Use Management Plans and EM’s IPABS.

For the FY 2019 through FY 2023 budget cycle, sites should provide information on the excess assets that are planned for transfer through a specified authority (e.g., DOE 10CFR770, General Services Administration or special statute). The site Real Property Office and other planning personnel should refer to DOE O 430.1C and DOE Real Estate Property Guide 2014 at <https://energy.gov/sites/prod/files/2014/09/f18/Real%20Estate%20Desk%20Guide%20-%202014%20update.pdf>, for further clarification on excess assets transfer.

Consistent with previous year’s requirements, for the FY 2019 through FY 2023 budget cycle, the Sites are required to provide an Integrated Facilities Infrastructure (IFI) Crosscut Budget table. Guidance for the IFI is provided by DOE’s Office of Asset Management and DOE’s Office of Chief Financial Officer as well as herein. Sites should ensure that the IFI information is consistent with the language in specific site budget write-ups, and specifically for the IFI sub-element “D&D” that it is consistent with the D&D information in, but not limited to, PBS-30 and PBS-40; as well as with data in FIMS and the Five Year Site Plan.

EM is required to comply with EO 13693, Planning for Federal Sustainability in the Next Decade and DOE Order 436.1 Departmental Sustainability, and is committed to achieve the Department sustainability goals set to meet these requirements. Integrating the sustainability requirements within the budget information is necessary to provide the Site Office and EM/DOE insight to meeting the sustainability goals at each Site. Integrating sustainability can significantly advance efficient, reliable and renewable energy for the future. Energy represents approximately one fourth of the Departments operating costs and reducing these costs will have the greatest impact on reducing overall operating costs. Implementing both energy efficiency and alternate-renewable energy projects will help EM contribute to energy independence, and save funds in the long term. Investing now in sustainability will not only contribute to DOE’s goal for meeting departmental requirements, but will also save future operating and maintenance

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costs. EM believes sustainable initiatives should be a high priority and will result in positive Return on Investment.

Sites should prepare funding requests and resources needed in two parts: Part One should include must-fund projects that will meet min-safe categories, including but not limited to the infrastructure, fleet, energy conservation measures, and analysis of and adaptation to extreme weather and other events. Other sustainability related projects should be included within a site's submitted planning documents, but do not need to be within the "blue" narrative of your submission.

At the full planning level, sites should request funding and resources needed to carry out the implementation of departmental sustainability requirements identified in their Site Sustainability Plans: these include efforts required for fleet management, increases in alternative fuel use and reduction in petroleum use, metering at individual source points for energy use, data center optimization, and high performance sustainable buildings (for new construction). The funding request for energy efficiency improvement investments should include the initial cost of performing energy and water evaluations for one-fourth of covered facilities on an annual basis, in compliance with the Energy Independence and Security Act of 2005, Section 432 (which requires that all covered facilities be assessed every four years). Before investments can be made, these evaluations must be done to assess the existing improvement opportunities and provide more detailed estimates of Return on Investments. Where possible, available appropriations should either be applied to a privately financed project as a one-time payment from savings (i.e., as a "buydown") or used to directly fund longer-payback energy conservation measures (e.g., renewable energy projects) that cannot be included in the privately financed projects.

Designed to offset energy costs, energy incentive programs are typically offered by state agencies and utility providers. Federal entities are eligible for a variety of incentives, including incentives for energy-efficient, new construction and energy conservation measures in existing facilities. According to the *National Energy Conservation Policy Act (Act)*, as amended in 2005, Federal agencies are directed to take maximum advantage of financial incentives and other forms of financing to reduce direct energy costs to the Government. Although available incentive programs vary from site to site, numerous incentive opportunities exist. The Office of Inspector General's audit, conducted between FY2013 – 2014 highlighted that federal facilities should be in compliance with this requirement, and as such, sites should apply for this funding to meet this requirement when applicable.

Cyber Security (HQ POCs: Robert Ganaway, (202) 586-7760)

In FY 2019, all Cyber Security requirements should be requested as part of the sites Safeguards and Security request consistent with Congressional direction for FY 2018. For sites with no Safeguards and Security funding, Cyber Security will continue to be funded through indirect funding allocations.

FY 2019 INITIAL PLANNING AND BUDGET GUIDANCE

Sites should coordinate the requirements of the Cyber Security budget with their Chief Information Officer in order to ensure cohesion of information is being requested and reported in the Departments Cyber Security Crosscut.

Attachment A - Work Scope Categorization and Funding / Authorization Requirements Checklist

DOE-CKLST-[year]-[site]-[project identifier]

Scope Description for the Work Scope Categorization and Funding Authorization Requirements Checklist (Rev. 0, 4-11-17)

INSTRUCTIONS

(Refer to the "Scope Categorization Checklist" tab of this file for definitions of terms, and for references to "the Code", used in this worksheet.)

NOTE: For printing hardcopies of the worksheets, both worksheets are configured to 11" x 17" size paper, in portrait orientation, and are more user friendly in this format. To maximize efficiency of content printed on each page, reformatting of page breaks may be necessary to accommodate the length of input to certain Questions in a worksheet, and depending on type of printer.

1) To be able to use the Checklist, first provide an initial description of the "Proposed Scope of Work" in Section 1 below. At least a high level description of the "Proposed Scope of Work" must be provided, but the description can be refined over time, and Section 1.0 updated with additional description information, as needed. If possible, at this stage of scope maturity, describe the mission, goal, need, or other driver(s) that may justify the need to perform the proposed scope of work, and describe any priority / urgency that may be associated with respect to other DOE facility, site, program , etc. scope already planned.

2) Once the "Proposed Scope of Work" is initially described, perform as much of the Checklist as possible, following the directions in the Checklist, to make an initial scope categorization determination as "construction" or "not construction". (Note: Questions in the Checklist specific to cost should be left blank until Step 3 below)

3) Once Step 2 is completed, prepare a cost estimate and schedule duration estimate for the "Proposed Scope of Work". If the initial categorization determination is "construction" use Section 2a for estimate development and documentation purposes, otherwise use Section 2b.

IMPORTANT: Use the Checklist definition for terms used in Section 2.

The initial estimate for the "Proposed Scope of Work" should be developed using estimating technique(s) appropriate for the level of scope maturity available and used for the Section 1 scope description.

(NOTE: For low maturity scope definition, it is advisable to use a cost estimate range and schedule duration range, e.g. using a technique similar to an AACEI Class 5 or ROM type estimate, instead of trying to estimate using technique(s) that would be appropriate for determining a "point" estimate, which would be an appropriate estimating technique for a high level of scope maturity definition. This worksheet allows for a "range" or a "point" estimate for cost and schedule duration.)

4) If the categorization determination for the "Proposed Scope of Work" was "construction", use the estimate information from Section 2a below to finish questions in the Checklist, Part B, related to the cost of the "construction", otherwise continue to 5) below.

5) The completed "Proposed Scope of Work" form and associated "Scope Categorization Checklist" form must be printed and combined into one consolidated document, to become a record of the scope categorization process and determination. So prior to printing, add a unique document identifier (and any title / document descriptive information) in the header of each form, then print the forms. Ensure the preparer and validator sign and date the bottom of each form. Once completed, scan hardcopies as one PDF file, to create a signed / dated electronic version of the DOE Proposed Scope of Work and Scope Categorization document.

6) Retain the completed and signed "Proposed Scope of Work" and "Scope Categorization Checklist" document at the DOE Office (if in field), DOE Budget Development Office and / or DOE Chief Financial Officer (CFO) office, for record purposes.

NOTE 1: Revisions to the answer(s) to any Question(s) of any completed record should be indicated by issuing an updated record, with the revision number associated with the unique document identification number in the header of forms increased to the next higher value, and the revision description added to the existing Section 1 information.

NOTE 2: User questions, suggestions, etc., and any update to the content / format of any Part(s), Section(s) and / or Question(s) of the worksheet(s), shall be coordinated with the DOE Office of Record having configuration control of this MS Excel File (currently the DOE Office of Environmental Management, Savannah River Operations Office). If updated, the MS Excel file will be reissued with the worksheets reflecting the update by a change to the revision number and date in the Title of each worksheet.

Scope Description for the Work Scope Categorization and Funding Authorization Requirements Checklist (Rev. 0, 4-11-17)

Section 1: Scope Description for the "Proposed Scope of Work" (use multiple pages if necessary).

Section 2: Estimate (Range) and Schedule / Duration (Range) for the "Proposed Scope of Work"

Section 2a: If Proposed Scope of Work is Categorized as "Construction":

Conceptual Design Cost (Range) (NOTE: If required by statute per the Code as described in Part B of the Checklist, or by DOE policy / decision):

\$ - Note: This cost (range) is considered "Other Project Costs" by DOE policy

"Conceptual Design" Duration (Range)	Note: This duration will help determine the "Proposed Scope of Work's" cost (range).

"Construction Design" Cost (Range)	Note: This cost (range) is considered part of the "Proposed Scope of Work's" "Total Estimated Cost" by the Code and DOE policy
\$ -	

Construction Design Duration (Range)	Note: This duration will help determine the "Proposed Scope of Work's" cost range.

Cost (Range) for "Construction Activities"	Note: This cost is considered part of the "Proposed Scope of Work's" "Total Estimated Cost" by the Code and DOE policy. The estimate for all remaining "Construction Activities" must include all applicable scope, starting from the end of "Construction Design" through the end of all remaining "Construction Activities", as defined in Part B of the Checklist, for the particular "Proposed Scope of Work".
\$ -	

"Construction Activities" Duration Range	Note: This duration will help determine the "Proposed Scope of Work's" cost range.

Combined "Total Estimated Cost" (Range) of the "Proposed Scope of Work"

	This block should reflect the sum of the "Construction Design" Cost (Range) and the Cost (Range) for all other "Construction Activities". Use this estimate (range) as the basis for answering questions in Part B of the Checklist related to "Total Estimated Cost". (NOTE: If using range values for the estimate, use the high end value of the range estimate as the cumulative "Total Estimated Cost" value)
--	--

Construction Total Duration Range	Note: This duration will help determine the Proposed Scope of Work's cost range.

Section 2b: If Proposed Scope of Work is Categorized as **NOT** "Construction":

Estimated Cost Range of the "Proposed Scope of Work"

\$ - Cost to be used as needed for planning / budgetary purposes.

Scope Total Duration Range	Note: This duration will help determine the Proposed Scope of Work's cost range.

Prepared By: _____ (Print Name)

Scope Description for the Work Scope Categorization and Funding Authorization Requirements Checklist (Rev. 0, 4-11-17)

Prepared By: _____

(Signature)

Contractor Company Name or
DOE Office Identifier

Date: _____

Validated By: _____

(Print Name)

Validated By: _____

(Signature)

Contractor Company Name or
DOE Office Identifier

Date: _____

Work Scope Categorization and Funding / Authorization Requirements Checklist (Rev. 0, 4-11-17)

Yes No

GENERAL NOTE FOR CHECKLIST: The purpose of this Checklist is to help the Department of Energy (DOE) user, e.g. federal staff, or person(s) under contract to DOE,;

1) understand and ensure compliance with requirements as stated in United States Code, Title 50 "War and National Defense", Chapter 42 "Atomic Energy Defense Provisions", Subchapter VII "Budget and Financial Matters", Part A "Recurring National Security Authorization Provisions", Sections 2741 - 2754 (hereafter referred to as "the Code"), as related to "Construction" for the Department of Energy,

2) make a consistent determination regarding whether a "proposed scope of work" should be categorized as "Construction" or "not Construction" accordingly.

CRITICAL FUNCTION OF THIS CHECKLIST:

This Checklist, as associated with each "Proposed Scope of Work" form, should be filled out in its entirety, with a check mark in the "Yes" or "No" block for each Question, and / or example provided with a Question, in each Part and Section of the Checklist, because:

- a) more than one Question, and / or example provided with a Question, in this Checklist may be applicable for the proposed scope of work and be critical for making an appropriate work scope categorization determination
- b) depending on the block(s) checked "Yes", the resultant work scope categorization determination may require specific Congressional Authorization, Congressional Notification and / or Congressional Appropriation of funds, prior to commencement of and / or continuation with execution of the "Proposed Scope of Work"
- c) this Checklist, once completed and combined with the completed "Proposed Scope of Work" sheet, will become a DOE record of the process used, information considered and the work scope categorization determination made associated with the "Proposed Scope of Work"

PART A: DETERMINE CONSTRUCTION / MAJOR IT ACQUISITION

Complete all questions in this section to determine if the potential scope of work could be categorized as "Construction", may involve some portion of "Construction Activities" or could be a "Major Information Technology (IT) Acquisition / Investment".

<p>1) Will the "proposed scope of work" result in erection, installation, fabrication or assembly, or acquisition of services for erection, installation, fabrication or assembly, resulting in a <u>NEW</u> "facility", that will be funded and / or owned by DOE, and located on DOE property?</p>	<p>For this Checklist, the term "<u>facility</u>" will be defined from two general perspectives. The first is from a physical perspective.</p> <p>"FACILITY" - DEFINITION 1: The term "<u>facility</u>" is defined to mean land, buildings, and other structures, their functional systems and equipment, and other fixed systems and equipment installed therein, including site development features such as landscaping, roads, walks, parking areas, outside lighting and communication systems, central utility plants, utilities supply and distribution systems, and other necessary physical features required for the "facility" to carry out its intended mission, purpose or function.</p> <p>The second is from an Information Technology (IT) perspective.</p> <p>"FACILITY" - DEFINITION 2: When the potential scope of work is primarily related to an Information Technology (IT) initiative, the term "<u>facility</u>" is defined to mean any equipment or interconnected system or subsystem of equipment that is used in the automatic acquisition, storage, manipulation, management, movement, control, display, switching, interchange, transmission, or reception of data or information, including computers, ancillary equipment, software, firmware, and similar procedures, services (including support services), and related resources required for the IT to function as intended. For the purposes of this Checklist, the types of IT scopes that would be considered "construction" are typically planned for through the DOE Capital Planning and Investment Control (CPI) process.</p> <p>However, if a new "<u>facility</u>" (using DEFINITION 1) is required in support of the IT initiative, then the potential scope of work falls under DEFINITION 1. Additionally, if the IT initiative is a part of a larger effort or project, the larger effort or project scope shall be used to determine the appropriate categorization in this Checklist.</p> <p>For the purposes of this checklist, the definition of the term "<u>new</u>" is not to be confused with the definition of "<u>Maintenance or Repair</u>" (see Part C of this Checklist for the Definition of "Maintenance or Repair").</p> <p>The term "<u>new</u>" for this checklist is to be interpreted to mean:</p> <p>1) the addition of an entire new "<u>facility</u>", which may include the acquisition of "<u>new</u>" land to put it on, and / or</p> <p>2) the addition of "<u>new</u>" system(s), equipment, etc. in, on or connected to an existing "<u>facility</u>" that are not part of the current mission, design function, purpose and / or operation, of that "<u>facility</u>".</p>
<p>If the "proposed scope of work" meets any of the Question 1 examples, put a check mark in each of the "Yes" blocks that are applicable, and put a check mark in the "No" blocks for those that are not applicable. Then continue to Question 2.</p> <p>If the "proposed scope of work" does not meet any of the Question 1 examples, put a check mark in all of the "No" blocks, and continue to Question 2.</p> <p>Examples of a "facility" may include (but are not limited to):</p>	
<p>a. A "new" non-nuclear "facility", e.g. office building; warehouse; storage building; laboratory; chemical or other processing facility; etc. for non-nuclear service?</p>	<p>_____</p>
<p>b. A "new" "facility", e.g. laboratory, operating or processing facility; power plant; etc. intended for nuclear service?</p>	<p>_____</p>
<p>c. A "new" "facility" for storage of material such as (but not limited to):</p>	<p>_____</p>

Work Scope Categorization and Funding / Authorization Requirements Checklist (Rev. 0, 4-11-17)

		Yes	No
	<p>1) solid waste, including hazardous and radioactive solid waste 2) liquid waste, including hazardous and radioactive liquid waste 3) nuclear fuel</p> <p>requiring large, complex and / or specialized / designed and constructed storage and / or disposal capability, such as a tank, vault, storage building, and / or other long term disposal "facility", etc.?</p> <p>NOTE: The following types of storage and / or disposal capability would typically NOT be considered a "facility" because they are executed in compliance with appropriate requirements, e.g. EPA, RCRA, CERCLA, NEPA, specific permit, etc. in support of operations and maintenance of a facility that generates waste incidental to the mission, purpose and / or function of the operation, e.g. is a waste generator (list is not intended to be all inclusive):</p> <ul style="list-style-type: none"> - simple concrete pads for approved waste / fuel container storage (above ground) - slit or engineered trench - other routine, non-complex approved or permitted wasted storage capability - etc. 		
d.	A "new" support "facility", such as an electrical substation or distribution center, pump station / pit or valve house, water system (fire, process, potable, etc.), or other typical utility?	_____	_____
e.	A "Major IT Acquisition / Investment" for a "new facility" specifically to locate IT related hardware, support systems, or service center personnel, e.g. help desk or similar type activities?	_____	_____
f.	A "Major IT Acquisition / Investment", such as development of "new" software / hardware that is not associated with construction of a new "facility"?	_____	_____
	NOTE: These IT efforts are typically developed through the Capital Planning and Investment Control (CPIC) process, which is an integrated, structured methodology to managing IT investments, which ensures that IT investments align with the overall Strategic Plan and Mission in support of business needs while minimizing risks and maximizing returns throughout the investment's life cycle. CPIC uses a systematic selection, control, and continual-evaluation process to ensure that an investment supports the overall Mission and business needs.		
g.	A "new" ground water treatment "facility", or other treatment, monitoring, etc. system or equipment for the purposes of ground water / contamination spill (chemical, nuclear or other) treatment / remediation, not including simple monitoring wells / stations?	_____	_____
h.	A "new" support "facility", e.g. a concrete or grout batch plant, electrical substation, etc. constructed on DOE property to enable approved methods for DOE facility and / or land disposal?	_____	_____
i.	A "new" communications or security "system" for all of a DOE site or for a specific area level of coverage, such as a security system, radio trunking system, cell phone system, public address system, fire alarm or communication system, etc.?	_____	_____
j.	A "new" temporary or mobile electrical, ventilation, compressed air, instrumentation and / or control services "system", e.g. skid or modular unit, requiring specific DOE defined design specification and fabrication, assembly, etc. at the manufacturer facility, by a subcontractor or prime contractor, to bring the skid to the point of providing service?	_____	_____
k.	A "new" pilot or experimental "facility", e.g. for testing of new technology or process, training in a "cold" mock up, etc.? For this example, the stage at which a new technology or mock up is considered to meet the "new" pilot or experimental "facility" definition, is when the new technology or mock up facility goes from a laboratory or small scale environment, to full scale or the final stage before the technology or experiment is intended to be deployed into the construction or operating environment.	_____	_____
	NOTE: It may be appropriate to fund the construction of a "new" pilot or experimental "facility" with non-construction funds, if the plan / intent for construction and use of the "facility" can be justified to be for short term (typically less than 2 years from beginning of construction to shutdown and disposal of the "facility"), research and development purposes. However, this may not relieve the Department from the requirement to notify Congress of the intent to construct the "facility", or other requirements of the Code.		
l.	New roads, bridges, permanent parking areas, and other civil activities intended to provide new "infrastructure", not already described above, that will be funded and / or owned by DOE, and located on DOE property?	_____	_____
m.	An acquisition of a "new " Major Item of Equipment (MIE) that will include "Construction"	_____	_____
	NOTE: Even if no "construction" is necessary for installation of the MIE, the Code and DOE		

Work Scope Categorization and Funding / Authorization Requirements Checklist (Rev. 0, 4-11-17)

		Yes	No
<p>scope as defined below?</p> <p>DEFINITION: Capital equipment with a cost that exceeds \$2M. In most cases, capital equipment is installed with no construction cost. However, in cases where the equipment requires provision of supporting construction such as foundations, utilities, structural modifications, and/or additions to a building, the associated construction activities must be acquired through a line item construction project or a minor construction project if the cost is below the minor construction threshold established by Congress.</p>			
		<p>policy requires that Congressional Notification be made for MIE of \$5M or greater if installed in a government facility, prior to acquisition.</p> <p>If the MIE will be installed in a non-DOE facility, the Code and DOE policy requires that Congressional Notification be made for MIE of \$2M or greater.</p> <p>NOTE: For these requirements, the term "facility" means a DOE laboratory, plant, site or other facility.</p>	

m. Other? (The potential scope of work should be described on the "Scope Determination Form" but the previous examples of what might constitute "Construction" of a "new" DOE "facility" should be used to determine if a check mark should be placed in the "Yes" or a "No" column for this question.)	_____	_____
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2) Will the "proposed scope of work" require a change to the current design and / or structure of an EXISTING "facility", or acquisition of services resulting in a change to the current design and / or structure of an EXISTING "facility", that will be funded and / or owned by DOE, and located on DOE property?

If the "proposed scope of work" meets any of the Question 2 examples, put a check mark in each of the "Yes" blocks that are applicable, and put a check mark in the "No" blocks for those that are not applicable. Then continue to Question 3.

If the "proposed scope of work" does not meet any of the Question 2 examples, put a check mark in all of the "No" blocks, and continue to Question 3.

Examples include (but are not limited to):

a. "Addition, Expansion, or Improvement" to an existing "facility"? These actions typically result in a change to design and / or the "facility" structure, systems or equipment, <u>specifically</u> to increase capability, footprint, or facilitate the execution of a new mission, function or purpose within the existing "facility".	_____	_____
NOTE: This would not include a "change" to design and / or the "facility" structure, systems and / or equipment necessary to facilitate the continuation of the "facility" mission, function or purpose, where the intent is not to specifically "redefine" the purpose <u>and</u> capability of the structure, systems and / or equipment allowing the "facility" to meet its mission, function and / or purpose.		
b. "Repurposing or Conversion" of a "facility", e.g. changing the design, structure, systems, equipment, etc. for the sole purpose of making the facility available for a different function, purpose or mission than originally intended.	_____	_____
c. "Replacement or Relocation" of a "facility"?	_____	_____
The terms "Replacement" and "Relocation" for this example are defined to mean moving the function, purpose or mission of a "facility" to another location (if the current "facility" can be / is mobilized) or to a new "facility", including any related site preparation, utilities, etc., more suitable for the function, mission or purpose, but without "Repurposing" or "Conversion" activities being performed to the new "facility" to do so.		
d. Activities requiring redesign to facilitate new system(s) or equipment installation in or made part of a "facility", and any related site preparation, not due to a requirement to bring the existing "facility" to current code / standard compliance or a change to the current contract?	_____	_____
For the purposes of this checklist, the definition of "new" is not to be confused with the definition of "Maintenance or Repair" (see Part C of this Checklist for the Definition of "Maintenance or Repair"). The term "new" for this question is to be interpreted to mean the addition of system(s) or equipment not currently included in the existing "facility" mission, function or purpose design and / or operation.		
e. "Excavation, Filling and Landscaping", or other improvements to existing land for the purposes of improving the land, including aesthetic improvement, and / or making it useful for other future missions, purposes or functions, if not being executed currently and specifically in support of other specific "Construction"?	_____	_____
For the purposes of this checklist, this does not include changes made as part of a regulatory or other agreement required for "Remediation of Land" (See Part C of this Checklist for the definition of "Remediation of Land").		
f. Activities, equipment, etc. necessary to bring an existing "facility" up to a new code, standard, law, etc. (i.e. external change), which may result from a change to the contract or direction from DOE, or that is determined to be necessary by contractor senior leadership (i.e. internal change), to bring the "facility", including any system(s), equipment, support utilities, etc. needed for the "facility" to function, to a standard different than the original / current code of record for the current phase of "facility" life cycle?	_____	_____

Work Scope Categorization and Funding / Authorization Requirements Checklist (Rev. 0, 4-11-17)

Yes No

g. A "Major IT Acquisition / Investment" that will result in changes to an existing DOE "facility" specifically to locate IT related hardware, support systems, or service center personnel, e.g. help desk or similar type activities?

For purpose of this Checklist, only check "Yes" if changes to an existing DOE "facility" will be required in support of the "Major IT Acquisition / Investment" that would result in a change to design and / or the "facility" structure, systems or equipment, to increase capability, footprint, or facilitate the execution of a new mission, function or purpose within the existing "facility"?

h. A "Major IT Acquisition / Investment", such as development of updates to "existing" software / hardware that is not associated with construction of a new "facility"?

NOTE: These IT efforts are typically developed through the Capital Planning and Investment Control (CPIC) process, which is an integrated, structured methodology to managing IT investments, which ensures that IT investments align with the overall Strategic Plan and Mission in support of business needs while minimizing risks and maximizing returns throughout the investment's life cycle. CPIC uses a systematic selection, control, and continual-evaluation process to ensure that an investment supports the overall Mission and business needs.

i. An acquisition of a Major Item of Equipment (MIE) in support of a change to an existing "facility" that will include additional "Construction" scope as defined below?

DEFINITION: Capital equipment with a cost that exceeds \$2M. In most cases, capital equipment is installed with no construction cost. However, in cases where the equipment requires provision of supporting construction such as foundations, utilities, structural modifications, and/or additions to a building, the associated construction activities must be acquired through a line item construction project or a minor construction project if the cost is below the minor construction threshold established by Congress.

NOTE: Even if no "construction" is necessary for installation of the MIE, the Code and DOE policy requires that Congressional Notification be made for MIE of \$5M or greater, prior to acquisition.

j. Other? (The potential scope of work should be described on the "Scope Determination Form" but the previous examples of what might constitute "Construction" of a "new" DOE "facility" should be used to determine if a check mark should be placed in the "Yes" or a "No" column for this question.)

3) If a "Yes" was checked for any of the Question 1 or Question 2 examples, the "proposed scope of work" shall be categorized as:

- "Construction",
- an action requiring "Construction Activities", and / or
- a "Major IT Acquisition / Investment", if for Information Technology (IT) purposes

Ensure a check mark has been made in all of the applicable "Yes" block(s) for the example(s) in Question1 or Question 2 that generally match the description of the "proposed scope of work", and ensure a check mark has been made in all of the "No" blocks for those examples that do not apply.

Complete Section B of this Checklist to determine the type of "Construction", "Construction Activities", or "Major IT Acquisition / Investment", that the "proposed scope of work" should be categorized as and any Congressional authorization(s), notification(s) and / or Congressionally appropriated funds required .

Otherwise, continue to Question 4.

4) If there are no Question 1 or Question 2 examples that generally match the description of the "proposed scope of work", ensure each check box for each example in Question 1 and Question 2 is given a check mark in the "No" block.

The "proposed scope of work" will not be categorized as:

- "Construction"
- requiring "Construction Activities", and / or
- as a "Major IT Acquisition / Investment"

Ensure a check mark is made in all of the "No" boxes in Part B, "Determination of "Construction" or "Major IT Acquisition / Investment"", then continue on to complete Part C of this Checklist, "Determination of Other Scope Type Categorization", for the "proposed scope of work".

PART B: DETERMINATION OF "CONSTRUCTION" OR "MAJOR IT ACQUISITION / INVESTMENT"

Answer the questions in the following two Sections to determine the type of "Construction", "Construction Activities", or "Major IT Acquisition / Investment", and the associated requirements as stated in United States Code, Title 50 "War and National Defense", Chapter 42 "Atomic Energy Defense Provisions", Subchapter VII "Budget and Financial Matters", Part A "Recurring National Security Authorization Provisions", Sections 2741 - 2754, hereafter referred to as "the Code" in this Checklist.

Work Scope Categorization and Funding / Authorization Requirements Checklist (Rev. 0, 4-11-17)

Yes	No
-----	----

For the purposes of Part B of this Checklist, Total Estimated Cost (TEC) of "Construction", per the Code, is equal to the TEC of "Construction Design" plus all "Construction Activities", including the purchase of land and land rights required to facilitate "Construction". TEC does not include the costs of "Conceptual Design".

Per the Code, and for the purposes of this Checklist, "Construction Design" is defined as beginning after completion / approval of "Conceptual Design". "Construction Design" activities include those activities typically performed during, and referred to in industry and DOE as, "preliminary design" through "final design" (e.g. activities up to and including 100% design complete, bid and / or construction ready design).

Per the Code, and for the purposes of this Checklist, "Construction Activities" are defined as all non-"Construction Design" related construction activities (i.e. activities other than "preliminary design" and "final design") required to complete "Construction" and provide a fully functional "facility", which typically includes (but is not limited to):

- field engineering and design changes required during construction
- startup testing for structures, systems and components, through integrated cold testing
- and other activities necessary to bring the "facility" to a state / ready for use in support of its intended mission, purpose or function.

TEC also includes the cost of D&D of any facilities necessary to facilitate the execution of the subsequent proposed "Construction" scope of work. (TEC does not include conceptual design costs.)

Under the Code, the performance of "Construction Design" plus "Construction Activities", when grouped together, is also referred to as a "Plant Project" or "Construction Project". The definition of these terms, as related to the Code and as used in this Checklist, should not be confused with other definitions for these terms that may be found outside of the Code. The questions in this Part of the Checklist will help determine whether the "proposed scope of work" is a "General Plant Project (GPP)", an "Institutional General Plant Project (IGPP)" (which are both also referred to in the Code as a "Minor Construction Project"), or a "Line Item Construction Project".

For the purposes of this Checklist, an "IT Project" is assumed to have a set of activities that can generally be bounded similar to how activities would be bounded for a "Construction Project". So, for the purposes of this Checklist, an "IT Project" is assumed to be either:

1) a software and / or hardware development scope of work, where the resultant software / hardware would be housed on / in existing DOE property in existing facilities without the need for actual "Construction" to do so. For this type of potential IT scope scenario, these activities are assumed to generally include: a concept that is developed (similar to conceptual design), if approved, the concept is matured to the point of readiness for testing (similar to the preliminary portion of Construction Design), and then tested and adjusted to make it ready for its intended use (similar to completing final "Construction Design"), then the software / hardware is installed in existing DOE facilities and tested to ensure it serves its intended function (similar to completion of Construction Activities).

As such, the TEC requirements of the Code could also apply to this type of "IT Project", which may be considered a "Major IT Acquisition / Investment", so early identification of the appropriate DOE Order that should be followed is critical to ensure DOE can take necessary action to attain any Congressional authorization(s) and / or Congressionally appropriated funds needed.

2) a scope of work requiring construction of a new "facility"(or multiple), or a change to the current design and / or structure of an existing "facility" (or multiple), similar to examples of Part A, Question 2; such that the IT scope can be implemented. As such, the proposed IT scope would be considered "Construction" and / or requiring "Construction Activities" to implement. This proposed IT scope might be classified as a "Major IT Acquisition / Investment" or an "IT Project", but the definition of TEC would follow the definition associated with "Construction" per the Code.

So, Total Estimated Cost (TEC) of "Construction", per the Code, is equal to the TEC of "Construction Design" plus all "Construction Activities", including the IT scope. "Construction Activities" are defined as all non-"Construction Design" related activities required to complete "Construction" and provide a fully functional "facility", which would include the IT scope implementation and testing so it is ready for its intended purpose. The TEC would also include the cost of D&D of any facilities, including any IT related equipment, necessary to execute the subsequent "Construction" scope. (TEC does not include conceptual design costs.)

If none of the questions in Checklist Part B, Section 1 or Section 2, result in a "Yes" response, re-evaluate the "proposed scope of work", the cost (range) estimate and schedule / duration (range), and associated risks, and re-perform Part A of this Checklist.

Section 1: Categorization and Requirements for Minor Construction Projects as General Plant Projects (GPP), Institutional General Plan Projects (IGPP) and Major Items of Equipment (MIE).

NOTE: A "STOP" sign in the cell to the right of a Question, where action(s) required dependent on the answer of to Question, does not mean that completing the remainder of the Checklist should be discontinued. It means that, as a result of a "Yes" check related to that Question, there may be specific statute, OMB and / or DOE requirements to request Congressional Authorization for the "proposed scope of work", request specific type(s) of funding be Appropriated by Congress for the "proposed scope of work", and / or make Notification(s) to Congress regarding the "proposed scope of work", before continuing with any further planning / execution of the "proposed scope of work".

Complete all Parts of the Checklist to ensure actions that may be required associated with any further planning / execution of the "proposed scope of work" are identified.

1)	Is the "proposed scope of work" an Information Technology (IT) Initiative, and:		
	a. a "Major IT Acquisition / Investment" that will be / is authorized through the DOE Capital Planning and Investment Control (CPIC) process, that will require "Construction" of a new "facility", or "Construction" changes to an existing "facility" specifically for the purposes of implementing the IT Initiative?	_____	If "Yes", a request for an information technology investment must be approved by DOE. DOE O 415.1 shall be followed (and appropriate contractor procedure(s), if applicable) to ensure appropriate actions are taken consistent with the applicable statutory, regulatory, Office of Management and Budget (OMB), and Departmental requirements. Continue to Question 1.b. If "No", continue to Question 1.b.
	b. a "Major IT Acquisition / Investment" that will be / is included in the DOE Capital Planning and Investment Control (CPIC) process, and is primarily software / hardware development related and not requiring new construction or changes to an existing "facility", and is not in support of or inherent to another "Construction" scope of work?	_____	If "Yes", DOE O 415.1 shall be followed (and appropriate contractor procedure(s), if applicable), to ensure appropriate actions are taken consistent with the applicable statutory, regulatory, Office of Management and Budget (OMB), and Departmental requirements. Continue to Question 1.c. If "No", continue to Question 1.c.



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		Yes	No	
c.	<p>If a. or b. is checked "Yes", is the estimated TEC of the proposed IT scope of work < \$10M?</p> <p>NOTE: Use estimate information from Section 2 of the "Proposed Scope of Work" form.</p>			<p>If "Yes", DOE O 415.1 shall be followed, (and appropriate contractor procedure(s), if applicable), to ensure appropriate actions are taken consistent with the applicable statutory, regulatory, Office of Management and Budget (OMB), and Departmental requirements. Continue to Question 3.</p> <p>If "No", continue to Question 2.</p>
2)	<p>NOTE: This Question only applies for Major Item(s) of Equipment (MIE). If Part A identified the "proposed scope of work" as "construction", but not associated with MIE, check "No" for this Question and continue to Question 3.</p> <p>Did Part A of this checklist identify the "proposed scope of work" as an MIE AND:</p> <p>a) are construction or construction activities required to install the MIE, AND</p> <p>b) will installation of the MIE be less than \$10M TEC (including the cost of the MIE)?</p> <p>NOTE: Use estimate information from Section 2 of the "Proposed Scope of Work" form.</p>			<p>If "Yes", the scope would need to be executed per the <u>principles</u> of DOE O 413.3 as an MIE minor construction project (and appropriate contractor procedure(s), if applicable), but continue to Question 4 to determine if it also qualifies as a GPP or IGPP for budget development purposes.</p> <p>If "No", then if:</p> <p>a) the TEC associated with construction or construction activities required to install the MIE is greater than or equal to \$10M (including the cost of the MIE), a line item construction project is required. Check remaining questions in Section 1 as "No" and go to Section 2.</p> <p>b) the MIE does not require construction or construction activities for installation, check remaining question in Section 1 and Section 2 as "No" and continue to and complete Section C and Section D of this Checklist.</p>
3)	<p>Is the Total Estimated Cost (TEC) of the proposed "Construction", i.e. "Construction Design" plus "Construction Activities", scope of work < \$10M?</p> <p>NOTE: Use estimate information from Section 2 of the "Proposed Scope of Work" form.</p>			<p>If "Yes", the "proposed scope of work" is most likely a "minor construction project" and would be either an MIE and / or GPP or IGPP, but continue to Question 4 to further develop the scope categorization determination.</p> <p>If "No", check remaining questions in Section 1 as "No" and continue to Section 2.</p>
4)	<p>Is the TEC of proposed "Construction Design" > \$2.0M?</p> <p>NOTE: Per the Code, if the "proposed scope of work" TEC for "Construction", i.e. "Construction Design" plus "Construction Activities", is < \$10M, i.e. constitutes a "minor construction project", then a Conceptual Design is NOT required, prior to "Construction Design".</p> <p>NOTE: Use estimate information from Section 2 of the "Proposed Scope of Work" form.</p>			<p>If "Yes", the Code requires funds for "Construction Design" to be specifically authorized by law (by Congress) before proceeding with "Construction Design". Continue to Question 5.</p> <p>If "No", continue to Question 5.</p>
5)	<p>If the answer to Question 3 was "Yes", revalidate the overall cost of proposed "Construction" scope of work using the "Proposed Scope of Work" form.</p> <p>Is the cumulative TEC of the proposed "Construction" scope of work" still < \$10M?</p>			<p>If "Yes", the scope is an MIE and / or GPP or IGPP and per the Code may be funded by funds other than "construction" funds. The MIE and / or GPP or IGPP would need to be execute per the <u>principles</u> of DOE O 413.3 (and appropriate contractor procedure(s), if applicable). Continue to Question 6 to further develop the scope categorization determination.</p> <p>If "No", check remaining questions in Section 1 as "No" and continue to Section 2.</p>
6)	<p>Is the TEC of the proposed "Construction" scope of work > \$5.0M but < \$10.0M?</p> <p>NOTE: Use estimate information from Section 2 of the "Proposed Scope of Work" form.</p>			<p>If "Yes", the Code requires Congressional Notification prior to beginning the MIE and / or GPP or IGPP. Continue to Question 7 to further develop the scope categorization determination.</p> <p>If "No", continue to Question 7.</p>
7)	<p>Does the proposed "Construction" scope of work benefit a single distinct program or a common mission?</p>			<p>If "Yes", the "proposed scope of work" is a GPP, and per the Code may be funded by funds other than "construction" funds. The GPP must be execute in compliance with the <u>principles</u> of DOE O 413.3 (and appropriate contractor procedure(s), if applicable). Check remaining questions in Section 1, Section 2, and Part C as "No" and continue to and complete Section D of this Checklist.</p> <p>Note: An MIE can also be considered a GPP.</p> <p>If "No", Continue to Question 8.</p>



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		Yes	No	
8)	Does the proposed "Construction" scope of work benefit multiple programs or is it institutional in nature?			<p>If "Yes", the "proposed scope of work" is an IGPP, and per the Code may be funded by funds other than "construction" funds. The IGPP must be executed in compliance with the principles of DOE O 413.3 (and appropriate contractor procedure(s), if applicable). Check remaining questions in Section 2 and Part C as "No" and continue to and complete Section D of this Checklist.</p> <p>Note: An MIE can also be considered a GPP.</p> <p>If each Question in Section 1 was answered "No", revalidate the "proposed scope of work" to justify whether it should be considered "Construction", and what the TEC is likely to be. If it is still considered "construction" and the TEC is less than \$10M, at least one Question in Section 1 should be checked "Yes".</p> <p>If determined not to be "construction", check questions in Section 2 as "No" and continue to and complete Section C and Section D of this Checklist.</p>

Section 2: Categorization and Requirements for Line Item Construction Projects.

1)	Is the "proposed scope of work" primarily an Information Technology (IT) Initiative project that will result in the construction of a new facility?			<p>If "Yes", a request for an information technology investment must be approved by DOE. DOE O 415.1 shall be followed (and appropriate contractor procedure(s), if applicable) to ensure appropriate actions are taken consistent with the applicable statutory, regulatory, Office of Management and Budget (OMB), and Departmental requirements, but continue to Question 2.</p> <p>If "No", continue to Question 2.</p>	
2)	Is the TEC of the proposed "Construction" scope of work > \$10M? NOTE: Use estimate information from Section 2 of the "Proposed Scope of Work" form.			<p>If "Yes", this is a Line Item Construction Project and a "Conceptual Design" must be completed prior to requesting funds for "Construction", i.e. "Construction Design" plus "Construction Activities", and requesting authorization to start "Construction", from Congress.</p> <p>If being executed under DOE O 413.3B, a CD-0 must be approved by DOE before beginning "Conceptual Design".</p> <p>However, continue with Question 3 to determine if other Congressional action is required in support of this Line Item Construction Project.</p> <p>If "No", go back and re-perform Section 1 to determine what type of "construction" less than \$10M TEC the proposed scope of work should be categorized as.</p>	
3)	Is the estimated cost of Conceptual Design > \$5M? NOTE: Use estimate information from Section 2 of the "Proposed Scope of Work" form.			<p>If the TEC of the "Construction" is > \$10M TEC, the Code requires that a "Conceptual Design" be completed before submitting a request for funds for the "Construction".</p> <p>If "Yes", request, and / or ensure receipt of, funds for "Conceptual Design" from Congress before proceeding with the Conceptual Design work. However, continue to Question 4 to complete this Checklist.</p> <p>If "No", continue to Question 4.</p>	
4)	Is the TEC of Construction Design > \$2.0M? NOTE: Use estimate information from Section 2 of the "Proposed Scope of Work" form.			<p>If "Yes", then:</p> <p>a) specific funds for "Construction Design" must specifically be authorized by law (from Congress), and be received, before proceeding with "Construction Design".</p> <p>b) specific funds for "Construction" must also be requested, and received, from Congress.</p> <p>BUT, continue to Question 5.</p> <p>If "No", continue to Question 5.</p>	
5)	If Congressional action for funds and / or authorization for "Conceptual Design" and / or "Construction Design" have been accomplished, have Congressional requirements for the rest of			<p>If "Yes", commence and / or continue executing the "Construction" per applicable DOE Order(s) and appropriate contractor procedure(s) if</p>	

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<p>Construction Design have been accomplished, have Congressional requirements for the rest of the "Construction", e.g. remaining "Construction Activities", been satisfied by DOE?</p> <p>NOTE: Regardless of the answer to this question, ensure completion of Part C and Part D of this checklist.</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>	<p>applicable DOE Order(s) (and appropriate contractor procedure(s) if applicable) BUT check questions in Part C as "No" and continue to and complete Section D of this Checklist.</p> <p>If "No", funds for "Construction" must specifically be authorized by law (from Congress). Request and / or ensure receipt of funds from Congress, and ensure requirements of applicable DOE Order(s) have been completed, as necessary, to commence / continue activities for "Construction", BUT check questions in Part C as "No" and continue to and complete Section D of this Checklist.</p>
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PART C: DETERMINATION OF OTHER SCOPE TYPE CATEGORIZATION

Answer the following questions to determine the "phase of the life cycle" for a "facility" and / or "land" that the potential scope of work may support. There may be more than one "Yes" answer in this Part of the Checklist.

The intent of Part C of the Checklist is to help refine the description of a "proposed scope of work" that was determined to be "not-Construction" in the preceding Part(s) of this Checklist, by considering if the proposed scope of work is associated with one or more phases of a typical life cycle for a DOE owned "facility" and / or "land". The user may be then able to include additional information to better frame the purpose and requirements for the initial description of the "proposed scope of work" in the "Proposed Scope of Work" form, Section 1.

NOTE: "Construction" may have been the first phase of the lifecycle of the "facility" and / or "land" the non-construction "proposed scope of work" is now supporting. Once construction is completed, the "facility" and / or "land" would typically enter the "Operation" phase of the lifecycle, then typically go through one or more of the "phase of the lifecycle" stages listed in this Part of the Checklist.

Ensure that all Questions in Part C are answered, then continue on to Part D.

<p>1) Is the proposed scope of work necessary to support "Operation", which is defined as all activities after acquisition (e.g. construction, procurement, lease, turnover from another agency, etc.) of a "facility" necessary to carry out the full intended mission, purpose or function of the "facility", or until DOE determines the facility is no longer required to operate, up to the point that the "facility" begins the next phase of its life cycle, e.g. Deactivation, Decommissioning, Decontamination, Dismantlement and Disposal, etc.</p> <p>For the purposes of this checklist, this does not include activities required for "Maintenance or Repair" of the "facility" or "land" during "Operations".</p>	<p><input type="checkbox"/> <input type="checkbox"/></p>	<p>If the proposed scope of work will be categorized as in support of "Operations" for a DOE "facility" or "land", document on the "Proposed Scope of Work" worksheet the phase of the life cycle the "facility" or "land" is currently in, and complete remaining questions of the Checklist.</p> <p>If the proposed scope of work is not in support of "Operations", also continue to Question 2.</p>
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<p>2) Is the proposed scope of work comprised of "Maintenance or Repair" activities necessary to keep an existing "facility" functioning as designed / intended during any of its life cycle phases?</p> <p>As found in the June 30, 2016 Federal Accounting Standards Advisory Board Handbook of Federal Accounting Standards and Other Pronouncements, as Amended, as defined in Statement of Federal Financial Accountings Standards (SFFAS) 40, Definitional Changes Related to Deferred Maintenance and Repairs:</p> <p>"Maintenance and repair are activities directed toward keeping fixed assets in an acceptable condition. Activities include preventive maintenance; replacement of parts, systems, or components; and other activities needed to preserve or maintain the asset. Maintenance and repairs, as distinguished from capital improvements, exclude activities directed towards expanding the capacity of an asset or otherwise upgrading it to serve needs different from, or significantly greater than, its current use."</p> <p>NOTE: The term "systems" can refer to either (1) information technology assets (e.g., hardware, internal use software, data communication devices, etc.) or (2) groupings (assemblages) of component parts belonging to a building, equipment or other real property.</p> <p>For this checklist, "Maintenance or Repair" activities may be necessary during more than just the "Operation" phase of a DOE "facility" or "land", and may be performed to support more than one phase of the anticipated life cycle.</p> <p>Examples of "Maintenance or Repair" activities include (but are not limited to):</p>	<p><input type="checkbox"/> <input type="checkbox"/></p>	<p>If the proposed scope of work will be categorized as "Maintenance or Repair" for a DOE "facility" or "land", document on the "Proposed Scope of Work" worksheet the phase of the life cycle the "facility" or "land" is currently in, and complete remaining questions of the Checklist.</p> <p>If the proposed scope of work is not in support of "Maintenance or Repair", continue to Question 3.</p>
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<p>a. Is it "Preventative or Predictive Maintenance or Repair", performed to keep the structure(s), system(s), equipment, land, etc. of the "facility" <u>working in their intended state</u> in support of</p>	<p><input type="checkbox"/> <input type="checkbox"/></p>	
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		Yes	No
	<p>the mission, purpose or function of the "facility" in the current phase of its life cycle?</p> <p>The term "preventative" and "predictive" is generally defined to exclude activities required due to a failure of "facility" structure(s), systems, equipment, land, etc. Those types of "Maintenance or Repair" are considered "Corrective Maintenance or Repair".</p> <p>For the purpose of this checklist, "Preventative or Predictive Maintenance or Repair" includes activities resulting in removal and / or abandonment of existing, outdated and / or no longer produced or supported systems or equipment associated with a "facility", area, or even the entire site at DOE, and installation of system(s) or equipment determined to meet the same function or purpose as the previous system or equipment. This is also commonly referred to as "replacement in kind". This definition <u>is to be interpreted to include</u> situations where comparable currently available system(s) or equipment come with increased capability and / or functionality, in comparison to the old, but where the increased capability and / or functionality <u>is not a DOE initiated new design criteria, function or capacity need.</u></p> <p>However, this definition should not be confused with definitions in Part A, Question 2, of this Checklist, where if DOE updates the functional criteria, adds, or otherwise provides the vendor / manufacturer with specific engineered design and / or operational specifications, then the activity is no longer a "Maintenance or Repair" activity, and shall be treated as a "Construction" scope of work.</p>		
b.	<p>Is it "Corrective Maintenance or Repair", defined as those activities performed when there is a failure or malfunction of a structure, system, equipment, etc. associated with a "facility", to <u>reestablish</u> the condition of structure(s), system(s), equipment, land, etc. of the "facility" to their intended / current state in support of the mission, purpose or function of the "facility" in the current phase of its life cycle?</p> <p>For the purpose of this checklist, "Corrective Maintenance or Repair" includes activities resulting in removal and / or abandonment of existing, outdated and / or no longer produced or supported systems or equipment associated with a "facility", area, or even the entire site at DOE, and installation of system(s) or equipment determined to meet the same function or purpose as the previous system or equipment. This is also commonly referred to as "replacement in kind". This definition <u>is to be interpreted to include</u> situations where comparable currently available system(s) or equipment come with increased capability and / or functionality, in comparison to the old, but where the increased capability and / or functionality <u>is not a DOE initiated new design criteria, function or capacity need.</u></p> <p>However, this definition should not be confused with definitions in Part A, Question 2, of this Checklist, where if DOE updates the functional criteria, adds, or otherwise provides the vendor / manufacturer with specific engineered design and / or operational specifications, then the activity is no longer a "Maintenance or Repair" activity, and shall be treated as a "Construction" scope of work.</p>	_____	_____
c.	<p>Is it related to IT function and necessary to keep a "facility" functioning, or to reestablish the functionality due to malfunction or failure, to allow the "facility" to function in its intended / current state in support of the mission, purpose or function of the "facility" in the current phase of its life cycle?</p> <p>Maintenance costs include costs needed to sustain an IT system at the current capability and performance levels including: corrective hardware/software, voice and data communications maintenance, replacement of damaged or obsolete IT equipment, and associated overhead costs. Examples of IT maintenance activities include, but are not limited to, operating system upgrades, technology refreshes, and security patch implementations.</p>	_____	_____
3)	<p>Is the proposed scope of work necessary to support "Alterations", which are defined as simple adjustments to interior arrangements or other physical characteristics of an existing facility so that it can be more effectively adapted to or utilized for its designated purpose. Examples include:</p>		<p>If the proposed scope of work will be categorized as "Alteration" for a DOE "facility" or "land", document on the "Proposed Scope of Work" worksheet the phase of the life cycle the "facility" or "land" is currently in, and complete remaining questions of the Checklist.</p> <p>If the proposed scope of work is not in support of "Alteration", continue to Question 4.</p>
a.	<p>Removal or installation of interior walls for purposes of rearranging the layout of an office building, and incidental heating and ventilation ducting system modifications that do not significantly extend the capacity of the system?</p>	_____	_____
b.	<p>Construction of a door or passage through an interior structural wall?</p>	_____	_____
c.	<p>Installation of new lighting fixtures that do not significantly increase the lumens emitted but</p>	_____	_____

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		Yes	No
may result in energy or maintenance savings?			
4)	<p>Is the proposed scope of work necessary to support "Deactivation and / or Decommissioning", which is defined as placing a facility in a stable and known condition including the removal of hazardous and radioactive materials to ensure adequate protection of workers, public health and safety, and the environment, thereby limiting the long-term cost of surveillance and maintenance?</p> <p>Actions include the removal of fuel, draining and/or de-energizing nonessential systems, removal of stored radioactive and hazardous materials, short and / or long term surveillance and maintenance, and related actions.</p> <p>Deactivation does not include all decontamination necessary for the dismantlement and demolition phase of decommissioning (e.g., removal of contamination remaining in the fixed structures and equipment after deactivation), because these actions may be conducted under a DOE PBS different than the one conducting the "Deactivation and / or Decommissioning" activities. This is different than the DOE definition for these two terms would indicate.</p>	_____	_____
		<p>If the proposed scope of work will be categorized as "Deactivation and / or Decommissioning" for a DOE "facility" or "land", document on the "Proposed Scope of Work" worksheet the phase of the life cycle the "facility" or "land" is currently in, and complete remaining questions of the Checklist.</p> <p>If the proposed scope of work is not in support of "Deactivation and / or Decommissioning", continue to Question 5.</p>	
5)	<p>Is the proposed scope of work necessary to support "Decontamination", is defined as the beginning of the effort taken by the organization charged with final disposition of the "facility". Decontamination is the final removal of residual chemical, biological, or radiological contaminant and hazardous materials by mechanical, chemical or other techniques to allow a "facility" to be transitioned to its final end state, which may be turnover to another DOE agency or the public for reuse, dismantlement and disposal, abandonment, etc.</p>	_____	_____
		<p>If the proposed scope of work will be categorized as "Decontamination" for a DOE "facility" or "land", document on the "Proposed Scope of Work" worksheet the phase of the life cycle the "facility" or "land" is currently in, and complete remaining questions of the Checklist.</p> <p>If the proposed scope of work is not in support of "Decontamination", continue to Question 6.</p>	
6)	<p>Is the proposed scope of work necessary to support "Dismantlement and Disposal", is defined as the actions required to take a "facility" to its final end state. This includes physically removing the "facility" down to bear earth with disposal of all associated wastes, entombment, abandonment, or other regulatory agreed to end state, at which point DOE no longer has to carry the "facility" on the DOE Financial statement.</p> <p>Not included is "construction" of a "facility" (see Part A) for the purposes of "Dismantlement and Disposal", e.g. construction of a grout, concrete, etc. batch plant / facility on DOE property.</p>	_____	_____
		<p>If the proposed scope of work will be categorized as "Dismantlement and Disposal" for a DOE "facility" or "land", document on the "Proposed Scope of Work" worksheet the phase of the life cycle the "facility" or "land" is currently in, and complete remaining questions of the Checklist.</p> <p>If the proposed scope of work is not in support of "Dismantlement and Disposal", continue to Question 7.</p>	
7)	<p>Is the proposed scope of work necessary to support "Remediation of Land", defined as environmental, e.g. soil, water, air, etc., remediation or restoration activities to mitigate the movement of or remove chemical, nuclear or other contaminants to meet regulatory requirements?</p> <p>This includes digging, trenching, procurement of and installation of material that is, in itself, a semi / impermeable barrier, "Operation" of a soil, water, other, etc. remediation "facility" to completion, monitoring, etc.</p> <p>Not included is "construction" of a "facility" (see Part A) for the purposes of remediation, e.g. construction of a new and / or <u>change</u> to an existing, pump and treat system to remediate ground / water contaminants.</p>	_____	_____
		<p>If the proposed scope of work will be categorized as "Remediation of Land" for a DOE "facility" or "land", document on the "Proposed Scope of Work" worksheet the phase of the life cycle the "facility" or "land" is currently in, and complete remaining questions of the Checklist.</p> <p>If the proposed scope of work is not in support of "Remediation of Land", continue to Question 8.</p>	
8)	<p>Is the proposed scope of work necessary to support "Permanent or Temporary Transfer" of DOE control and custody of a "facility" or "land" to a third party who thereby acquires rights to control, use, or relinquish the property.</p>	_____	_____
		<p>If the proposed scope of work will be categorized as in support of "Permanent or Temporary Transfer" for a DOE "facility" or "land", document on the "Proposed Scope of Work" worksheet the phase of the life cycle the "facility" or "land" is currently in, and complete remaining questions of the Checklist.</p> <p>If the proposed scope of work is not in support of "Permanent or Temporary Transfer", continue to Question 9.</p>	
9)	<p>If any of the "Yes" blocks in Part C are checked for the proposed scope of work, continue to Part D to determine:</p>	_____	_____
		<p>If the answer to all Questions in Part A, B and C of the checklist are "No" at this time, revalidate the overall scope, estimated cost range and estimated duration of the proposed</p>	

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		Yes	No
<p>TO DETERMINE:</p> <p>1) whether DOE may require the proposed scope of work to be executed under a specific DOE Order, or specific set of project or program controls.</p> <p>2) If applicable, whether the contract requires the proposed scope of work to be executed under a specific DOE Order or specific set of project or program controls.</p> <p>3) If applicable, if a contractor company's management would determine there would be benefit from executing the proposed scope of work under any DOE Order(s), such that the company may make a business decision to apply the DOE Order.</p> <p>4) If applicable, if a contractor company's management would determine there would be benefit from executing the proposed scope of work under some other specific set of project or program controls defined by contractor policy or procedure(s).</p>			
		<p>re-evaluate the overall scope, estimated cost range and estimated duration of the proposed scope of work, and re-perform this Checklist, as applicable.</p> <p>NOTE: The reason for the above statement is because this Checklist worksheet and the Proposed Scope of Work worksheet is intended to help DOE determine what "phase" of the typical life cycle for a DOE "facility" and / or "land" the "proposed scope of work" would support, so the proposed scope of work should fall under one of the "phases" in Part A or Part C of this Checklist. This will allow the Checklist user to ensure:</p> <p>1) due diligence has been used by DOE in trying to appropriately make a determination of scope categorization, which then allows DOE to ensure compliance with applicable statute and other requirements associated with the type of "proposed" work scope,</p> <p>2) DOE can take appropriate actions in support of DOE budget development and prioritization.</p> <p>3) if applicable, DOE can provide appropriate guidance to the contractor(s) that may be required to execute some, or all, of the proposed scope of work.</p>	

PART D: DOE ORDER APPLICABILITY: Complete Part D of this checklist to determine:

Answer the following questions to identify if the "proposed scope of work" might be determined by DOE (or contractor senior leadership, if applicable), as:

1) being required to be executed per specific DOE Order(s) for reasons other than those requirements associated with a scope categorization determination made by using prior Parts of this Checklist,

2) being a scope of work that would benefit from being executed per specific DOE Order(s), or specific set(s) of project or program control(s).

1) Will DOE (or contractor senior leadership, if applicable) determine it is required, or beneficial, to use DOE O 413.3 (current version at time of filling out this Checklist) to execute the potential scope of work (for scopes with an estimated cost below \$10M)?		<p>If "Yes", document this decision on the "Proposed Scope of Work" worksheet, and execute per the <u>principles</u> of DOE O 413.3 (and appropriate contractor procedures, if applicable).</p> <p>Mark Questions 2, 3, 4 and 5 as "No", and finish the Checklist by having the appropriate DOE representative (and contractor, if applicable) complete the "Prepared by" and "Validated by" blocks at the end of this Checklist, and complete / update the "proposed Scope of Work" worksheet and ensure it is signed as well. Also, ensure that a unique document number, and the appropriate revision, be added / updated at the top of both the "Proposed Scope of Work" and "Scope Categorization Checklist" worksheets, to allow configuration control of the completed documents.</p> <p>If "No", continue to Question 2.</p>
2) Will DOE (or contractor senior leadership, if applicable) determine it is required, or beneficial, to use DOE O 413.3 (current version at time of filling out this Checklist) to execute the potential scope of work (for scopes with an estimated cost equal to or greater than \$10M)?		<p>If "Yes", document this decision on the "Proposed Scope of Work" worksheet, and execute under DOE O 413.3 requirements (and appropriate contractor procedures, if applicable).</p> <p>Mark Questions 3, 4 and 5 as "No", and finish the Checklist by having the appropriate DOE representative (and contractor, if applicable) complete the "Prepared by" and "Validated by" blocks at the end of this Checklist, and complete / update the "proposed Scope of Work" worksheet and ensure it is signed as well. Also, ensure that a unique document number, and the appropriate revision, be added / updated at the top of both the "Proposed Scope of Work" and "Scope Categorization Checklist" worksheets, to allow configuration control of the completed documents.</p> <p>If "No", continue to Question 3.</p>
3) Will DOE (or contractor senior leadership, if applicable), determine it is required, or beneficial, to use DOE O 415.1 (current version at time of filling out this Checklist) to execute the potential scope of work?		<p>If "Yes", document this decision on the "Proposed Scope of Work" worksheet, and execute under DOE O 415.1 requirements (and appropriate contractor procedures, if applicable).</p> <p>Mark Questions 4 and 5 as "No", and finish the Checklist by having the appropriate DOE representative (and contractor, if applicable) complete the "Prepared by" and "Validated by" blocks at the end of this Checklist, and complete / update the "proposed Scope of Work" worksheet and ensure it is signed as well. Also, ensure that a unique document number, and the appropriate revision, be added / updated at the top of both the "Proposed Scope of Work" and "Scope Categorization Checklist" worksheets, to allow configuration control of the completed documents.</p> <p>If "No", continue to Question 4.</p>

Work Scope Categorization and Funding / Authorization Requirements Checklist (Rev. 0, 4-11-17)

		Yes	No	
4)	Will DOE (or contractor senior leadership, if applicable), determine it is required or beneficial to use some other specific Order (current version at time of filling out this Checklist) to execute the potential scope of work? (Identify the Order on the "Proposed Scope of Work" worksheet.)			<p>If "Yes", document the appropriate Order to be followed on the "Proposed Scope of Work" worksheet, and execute under the applicable DOE Order(s) requirements (and appropriate contractor procedures, if applicable).</p> <p>Mark Question 5 as "No", and finish the Checklist by having the appropriate DOE representative (and contractor, if applicable) complete the "Prepared by" and "Validated by" blocks at the end of this Checklist, and complete / update the "proposed Scope of Work" worksheet and ensure it is signed as well. Also, ensure that a unique document number, and the appropriate revision, be added / updated at the top of both the "Proposed Scope of Work" and "Scope Categorization Checklist" worksheets, to allow configuration control of the completed documents.</p> <p>If "No", continue to Question 5.</p>
5)	If Questions 1 through Question 4 above are answered "No", check this Question "Yes".			<p>If "Yes", document the appropriate DOE site level procedure or policy (and /or appropriate contractor procedure(s), as applicable) to be followed on the "Proposed Scope of Work" worksheet, and execute the proposed work of scope accordingly.</p> <p>Finish the Checklist by having the appropriate DOE representative (and contractor, if applicable) complete the "Prepared by" and "Validated by" blocks at the end of this Checklist, and complete / update the "proposed Scope of Work" worksheet and ensure it is signed as well. Also, ensure that a unique document number, and the appropriate revision, be added / updated at the top of both the "Proposed Scope of Work" and "Scope Categorization Checklist" worksheets, to allow configuration control of the completed documents.</p>

Prepared by : _____ (Print Name)	Contractor Company Name or DOE Office Identifier: _____
Prepared by : _____ (Signature)	Date: _____
Validated by : _____ (Print Name)	Contractor Company Name or DOE Office Identifier: _____
Validated by : _____ (Signature)	Date: _____