Environment, Safety & Health, and Infrastructure (ESH&I) Management Plan

Guidance Document

March 10, 1998

Development funded by:

Office of Laboratory Operations and ES&H (ER-80), Laboratory Infrastructure Division (ER-82), and Oak Ridge National Laboratory

Version 98-1

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Management Plan Guidance Document

Table of Contents

Overview 1

Background 1
- **Benefits of Integrated Planning** 2

Resources 4

Expectations 5
- **Laboratories** 5
- **Site/Area Offices** 7
- **ER Headquarters** 9

Benefits 10
- **Laboratories** 10
- **Site/Area Offices** 11
- **ER Headquarters** 11

Scope 12

Elements of the ESH&I Planning Process 13
- **Needs Analysis** 13
- **Activity Development** 14
- **Activity Prioritization** 15
- **Budget Formulation, Submission, and Review** 17
- **Budget Execution** 18
- **Cost Accounting, Performance Monitoring and Feedback** 18

Schedule 19

Appendix A

- **ES&H/Infrastructure Activity Data Sheet**
  Form and Instructions

Attachment 1: CAMP/RPM CONVERSION TABLE

Attachment 2: Specific Information Requirements

Basic Information 1
Table 2-1: Basic ES&H Budget Information Expectations 2
Risk Management Conclusions 3
Budget Analysis 3
FY 1998 ESH&I Commitments 4
DOE Site/Area/Operations Office Review 4

Overview

It is a fundamental Department of Energy policy that the work of the Department be carried out in a manner that protects the safety and health of the workers and the public, and safeguards the environment. To this end, ES&H must be an integral part of the way the Department plans, budgets, and executes work. This is reflected in several Departmental policies and requirements, including:

- The Departmental Strategic Plan, submitted on September 30, 1997;
- DOE Safety Management System Policy (DOE P 450.4) dated October15, 1996; and
- Department of Energy Acquisition Regulations (DEAR) 48 CFR, Clause 970.5204-2, Integration of Environment, Safety and Health into Work Planning and Execution.

Similarly, adequate funding for and management of facility infrastructure needs are critical to the success of all of the Department's missions. As a result of mission uncertainty, decreasing program budgets, and pressures to reduce facility overhead, investments in infrastructure are often increasingly difficult to make. However, inadequate funding for infrastructure does not save costs in the long term. Deferred maintenance and infrastructure improvements will ultimately result in increased construction needs, make operations less efficient, and very likely increase environmental, safety and health risks.

DOE Order 430.1, Life Cycle Asset Management (LCAM), requires that DOE, in partnership with its contractors, plan, acquire, operate, maintain, and dispose of physical assets as valuable natural resources. Under the LCAM Order, the program office designated as landlord has some key responsibilities. These responsibilities include issuing policy relative to infrastructure planning and budgeting and coordinating facility management activities to provide a consistent corporate approach to facilities management.

Mission success, the health and safety of workers, and the protection of the environment are all dependent upon adequate environment, safety and health, and infrastructure management.

Background

The primary mission of the Office of Energy Research (ER) is scientific research. Much of this work, as well as other Department of Energy and other Federal scientific research, is conducted in our five multi-program laboratories. Energy Research is the landlord for these multi-program laboratories and performs certain landlord functions applicable to all the ER multi-program laboratories that were formalized in a Memorandum of Agreement signed November 5, 1997, by ER, the Office of Nuclear Energy (NE), and the Office of Environmental Management (EM). Aspects of these landlord functions are delegated to the Site/Area Offices and further assigned to contractors operating our laboratories via contract terms. This guidance addresses ER's System for Managing ES&H and Infrastructure.

Expectations, guidance, and requirements for the ER system for managing ES&H and infrastructure are provided below. This system is multi-layered and addresses the identification, scoring, prioritization, budgeting, and execution of ES&H and infrastructure activities and issues of the laboratory contractors, the Site/Area Offices and ER Headquarters. The desired outcomes of this system are that it enables us to:

- meet major ES&H and Infrastructure commitments
- address key issues
- manage unfunded ES&H and infrastructure risks
- systematically reduce ES&H and infrastructure risks
- establish and maintain stakeholder confidence

In July 1997 the Action Plan for Improved Management of Brookhaven National Laboratory (BNL) was issued in response to the Department's Oversight Report entitled "Integrated Safety Management Evaluation of Brookhaven National Laboratory." The Action Plan defined six high-level actions for improving the management of BNL. In discussing Action 2.0, which was assigned to the Department's Chief Financial Officer, the Action Plan notes that the Department lacks a consistent approach to formulating budgets for ES&H and Infrastructure needs and recommends the establishment of a DOE corporate process for ES&H and Infrastructure budget formulation and execution. It also recommends that the Department's current ES&H Management Planning process form the basis for development of this broader process.

The final rule dated June 27, 1997, which modified the Department of Energy Acquisition Regulations (DEAR) 48 CFR, added a new Clause 970.5204-2, Integration of Environment, Safety and Health into Work Planning and Execution. This new clause, which was to be made a part of all contracts by December 31, 1997, requires:

> *"The contractor shall ensure that management of ES&H functions and activities becomes an integral but visible part of the contractor's work planning and execution processes."*
>
> *"On an annual basis, the contractor shall review and update for DOE approval, its safety performance objectives, performance measures, and commitments consistent with and in response to DOE's program and budget execution guidance and directions. Resources shall be identified and allocated to meet safety objectives and performance commitments as well as maintain the integrity of the entire system. Accordingly, the system shall be integrated with the contractor's business processes for work planning, budgeting, authorization, execution and change control."*

<u>Benefits of Integrated Planning</u>

New, renovated, or better maintained facilities usually make safer workplaces and may increase compliance with environmental regulations. Similarly, environment, safety and health (ES&H) requirements and needs may drive infrastructure activities. As a result, it may not always be

practical or feasible to clearly delineate infrastructure activities from ES&H activities. As noted in the DOE Action Plan for Improved Management at Brookhaven National Laboratory:

> Across the DOE sites, each laboratory can identify a backlog of projects and activities that would improve the situation for ES&H compliance, prevent deterioration that could lead to ES&H threats, or remove inactive facilities that require continuing standby and maintenance costs to prevent ES&H threats.

Laboratories must coordinate and integrate their infrastructure planning activities with those performed in support of the ES&H Management Plan. This will allow optimum use of the management processes and tools and facilitate achievement of the expectations and benefits noted below. An evaluation of FY1998 data at Oak Ridge National Lab (ORNL) indicated that approximately one-third of all planned infrastructure activities were also determined to be ES&H related and, as such, were included in two separate planning processes. This led to duplicate, redundant efforts in developing and maintaining separate activity data, the potential for data inconsistencies, and inefficiencies in the use of available data for budget and execution planning.

It is imperative that contractor and DOE managers be able to view and evaluate both ES&H and Infrastructure needs in an integrated fashion. Funding decisions for these activities must be made considering the specific and overall risks to achieve a balance in priorities and ensure that available resources are effectively allocated to address safety, programmatic, and operational considerations. As noted in the BNL Action Plan:

> The current constrained out-year budget targets, especially for the non-defense programs, and the lack of overall support for this kind of expenditure [ESH&I] generally is not an incentive for programs to budget up-front for these kinds of projects and activities. Essentially, a Principal Secretarial Officer has to choose between diminishing program mission effort or putting forward plans that may be stricken from the budget. In a time of shrinking budgets, there is pressure to absorb ES&H and infrastructure costs through overhead, or to postpone some projects. The end result is the continuing deterioration of laboratory facilities and a process that lacks the information necessary to manage the laboratories. Also, pressure to absorb such costs in overhead is counter to the general direction to reduce overhead at the laboratories.

This Guidance describes the process for the Department's Multi-Program Energy Laboratories (MELs) to develop and submit integrated ES&H and Infrastructure (ESH&I) Management Plans for FY 2000. It further suggests that each laboratory pursue effective integration of their internal business systems with this process (e.g., by use of electronic coupling) to ensure that the information in this process is more representative of actual planned activities and can be assembled more efficiently.

Resources

Energy Research assumes that the ES&H Management Planning Process will continue to provide planning information and that there will be some modifications to that Process, such as the annual Letter Report (also referred to as the Commitment Affirmation Letter), in the next cycle. Departmental ES&H Policies and Information Requirements will be issued in the FY 2000 UNICALL in early 1998; ER expects compliance with the UNICALL guidance. Additionally, separate Departmental guidance, "Environment, Safety, and Health Guidance for Fiscal Year 2000 Budget Formulation and Execution," has been issued by the Office of Environment, Safety and Health (EH) and is available on the World Wide Web at the following URL (address):

http://tis-nt.eh.doe.gov/bps/eshplan

Information from the laboratory management and operating contractors will continue to roll-up through the Site/Area and Operations Offices to Headquarters utilizing the ES&H Management Plan software. During the past two years ER has sponsored the development and testing of an enhancement of the ES&H Management Plan software to cover infrastructure activities and needs. For efficient use of existing resources (both in the field and at Headquarters) and to avoid the confusion of having information provided in different formats, ER prefers that the infrastructure information requested in this guidance be packaged and communicated using this enhanced software. The latest version of the software (which also now includes an expanded capability to capture significant issues, actions, commitments, and milestones) is available on the Web at:

http://tis-nt.eh.doe.gov/bps/eshplan/software.htm

The revised software Users Manual describing the additional information and features of the software relative to support for infrastructure planning will be provided separately, upon request to ER-82.

Data regarding both ES&H and Infrastructure activities and plans are to be captured in the FY 2000 ES&H/Infrastructure Management Plan Information System and submitted in the Budget Formulation Plan in April 1998. This should include overhead funded activities as well as direct funded activities. Overhead funded infrastructure activities are limited to general maintenance (not programmatic maintenance) and special maintenance items (i.e., GPP-like projects from overhead). Direct funded activities include: GPP, GPE, and non-scientific infrastructure needs funded from AIP, ARIM, and line-items. The latter would include MEL-FS program funded line items.

In developing site ESH&I Management Plans, activities should be identified as being related to ES&H, or Infrastructure, or Both. Additionally, activities must still be designated as either Core, Compliance, or Improvement to satisfy external reporting requirements concerning Departmental

budget liabilities. Of special note is that the costs for activities designated as “ES&H” (only) or as “Both” (ES&H and Infrastructure) must be allocated across the ES&H functional areas. An ESH&I activity data sheet (ADS) form has been designed to support the identification of activities and the documentation of data required in the Department's annual ES&H Management Plan as well as in support of integrated infrastructure planning. The ADS form and instructions are provided in Appendix A to this Guidance.

Expectations

To achieve appropriate levels of funding, contractor and DOE managers, both in the field and at Headquarters, must have the information they need to make informed budget decisions. This requires that ESH&I needs be identified, prioritized, and communicated to site and headquarters program managers making budget decisions. Environment, safety & health, and infrastructure needs must be identified and activities to resolve these needs must be planned in an integrated fashion and must be visible during the Department's annual budgeting process. Furthermore, ESH&I planning should be integrated into the contractor budget and planning systems, with considerations for feedback and formal change control.

ESH&I support for DOE facilities is funded through a variety of funding mechanisms, including:

- Indirect funding through allocable cost accounts
- Direct funding of programmatic needs
- Direct funding of non-programmatic needs

ESH&I activities cannot be funded in a piecemeal or uncoordinated manner. Budget decisions must be made, reviewed, and approved by the facility operating management, responsible DOE field elements, and DOE programs with full knowledge of the entire integrated set of ESH&I needs and planned activities. The objective of the integrated ESH&I Management Plan process is to provide a method for facilities to report integrated ESH&I planning and budgeting information in an efficient, timely, and consistent manner that will support the facility operating organizations' and DOE's budgetary needs and requests.

The following expectations have been established for ER’s multi-program laboratories, site/area offices, and Headquarters elements relative to the development and implementation of an integrated ESH&I Management Planning Process.

<u>Laboratories</u>

1. Establish an integrated and documented process to identify, prioritize, fund, and execute ES&H and infrastructure needs regardless of funding source or program.

2. Ensure that the management process for producing the integrated priority list uses recognized risk-based prioritization methods to support Laboratory management resource allocation decisions.

3. Ensure that Senior Laboratory management is strongly and visibly involved in establishing or reviewing priorities and in the resource allocation decisions.

4. Ensure that Senior Laboratory management is cognizant of all unfunded risks and vulnerabilities and has approved any temporary, mitigative actions taken to manage those risks until they can be permanently resolved.

5. Provide opportunity for appropriate stakeholder participation in the ESH&I prioritization and planning process.

6. Document the Laboratory process and provide such documentation annually to Site/Area Office and ER Headquarters. The documentation should describe how the ES&H and Infrastructure Plan is prepared and executed, including how changes to the plan will be identified, controlled, and approved (e.g., new items added, changes in priorities, or cost and schedules, etc.).

7. Present the results of the Planning Process to the Site/Area Offices in the ESH&I Management Plan submission as a comprehensive, integrated Plan which includes a prioritized listing of <u>all</u> ES&H and Infrastructure needs. This submission is essentially the ES&H Budget Formulation Plan required by the FY 2000 UNICALL except that infrastructure information is also included, and should be submitted coincident with the Field Budget submission which is normally due in April of each year. The submission should also present key strategic and tactical issues and plans that address these issues, as well as address all other UNICALL information requirements, in the risk management summary section of the Plan. Laboratories should ensure that the following information is provided to Site/Area Offices in the Plan:

   - Activities that require a DOE decision on direct funding,
   - Activities designed to address significant issues and vulnerabilities at each Laboratory (investments),
   - Any issues or vulnerabilities that are unfunded or not adequately funded over the planning horizon, and
   - Significant mitigative or compensatory actions planned to address these incompletely funded risks and vulnerabilities.

   Note: There <u>must be</u> a cross-referencing between the Plan's ADSs and the budget submissions for activities direct funded by DOE. Such cross-referencing allows the plans to become actionable by Headquarters and is essential.

8. Pursue effective integration of their internal business systems (budget formulation, work authorization for infrastructure improvements, issue management and tracking, execution, and budget requests for direct funded activities) with this process (e.g., by use of electronic coupling) to ensure that the information in this process is more representative of actual planned activities and can be assembled more efficiently.

9. Review planned ES&H and Infrastructure activities and projects (direct and indirect funded) with Site/Area Offices and come to closure on associated change control processes at the beginning of each fiscal year.

Site/Area Offices

1. Ensure that during the planning process, the laboratory:

   - Recognizes and incorporates vulnerabilities in work planning,
   - Establishes priorities to ensure work is executed in a safe and environmentally sound manner;
   - Allocates resources to execute work safely considering budget constraints and skill mix requirements;
   - Identifies and communicates to DOE the ESH&I vulnerabilities associated with satisfying mission goals under budget constraints; and
   - Links all direct Headquarters funding requests in the Field Budget Submission to ADS's in the ESH&I Management Plan submission (and vice versa) at multi-program laboratories.

2. Ensure that during program execution, the laboratory:

   - Allocates resources to the agreed upon activities;
   - Executes the program in a framework of disciplined work, cost, and schedule control; and
   - Secures Site/Area Office approval before making changes that will impact negotiated expectations (i.e., changes to activities above a specified threshold)

3. Provide guidance on the set of issues (concerns, vulnerabilities, risks, and opportunities) that should be addressed by the Laboratory in the ESH&I planning process and documentation.

4. Review the laboratory's annual planned ES&H and Infrastructure activities and projects. The review should include schedules and milestones, change control procedures, unfunded activities and the appropriateness of mitigative or compensatory actions that manage the remaining risks. Identify the set of significant issues and activities that will be subject to

change control by DOE; this agreed upon set of issues and activities should constitute the annual ESH&I performance commitments that should be tracked and monitored.

5. Ensure that responsible DOE management is cognizant of all unfunded risks and vulnerabilities and has approved any temporary, mitigative actions taken to manage those risks until they can be permanently resolved.

6. Ensure that performance expectations established in negotiation between Site/Area Offices and Laboratories reflect plans to address significant issues and are used by the Site/Area Offices as a basis for tracking Laboratory performance.

7. Submit a Letter Report after the start of each fiscal year to Headquarters that outlines the ESH&I performance commitments made and met, the key issues at the Laboratory, and a prioritized list of unfunded activities along with a description of the associated vulnerabilities. This requirement is referred to as the Commitment Affirmation Letter in the description of the ES&H Management Plan process in the FY 2000 UNICALL. Documentation of the process used by the Site/Area Office to implement this guidance and prepare their Report should be submitted as a supplement to the annual Letter Report along with the documentation of the Lab's Process. This documentation is important in the independent process validation activity to be performed by ER Headquarters periodically (see discussion below).

8. Proactively engage other Programs at the site to ensure compatibility and integration with the Landlord Process.

9. Maintain an Integrated Institutional (Site) Perspective on issues and resolution approaches.

10. Meet all the FY 2000 UNICALL requirements for submitting ESH&I budget information.

11. Communicate program, policy, and planning guidance to operating contractors.

12. Communicate program budget decisions to operating contractors.

13. Establish and communicate ESH&I performance criteria to operating contractors.

14. Ensure that the operating contractor's indirect-funded, ES&H/Infrastructure plans are based on formal, structured planning and budgeting processes and, in conjunction with the program-funded activities, represent cost-effective stewardship of the physical assets of the facility and that the work of the laboratory can be carried out in a manner that protects the safety and health of the workers and the public, and safeguards the environment.

ER Headquarters

1. Work with EH and the CFO to attain value-added improvements to existing planning, budgeting and execution systems.

2. Help communicate the need for and use of indirect funded budget information.

3. Increase emphasis on issue identification, tracking, and resolution.

4. Review and approve or comment on, as appropriate, the risk management strategy presented by the Field, including unfunded vulnerabilities and issues, and the compensatory actions proposed to address these vulnerabilities and issues. Specific actions include:

   - Consider the Field's input in the ESH&I Management Plan and DOE budget process submissions in April of each year in formulating program budgets, and provide feedback to the Field on the funding status of those ADS's and FWP's requesting direct ESH&I funding as well as any other ESH&I issues.

   - Review annual Letter Reports and make adjustments in budgets to address significant unfunded risks. This may include: increased direct funding, re-prioritization of existing funding, adjustments in overhead rates, etc.

5. Promote better coordination and strategic and operational planning between ER and other programs both in Headquarters and in the field.

6. Work with EH to ensure ESH&I Management Planning information is packaged on an Institutional (Site) basis.

7. Maintain a Landlord perspective in addressing the acceptability of unfunded vulnerabilities.

8. Continue to work to reduce barriers imposed by numerous "colors of money."

9. Ensure that financial support is available for maintaining and enhancing the ESH&I Plan Management software, training the users of the software, and analyzing and summarizing information in the database.

10. In the ER Strategic Information Planning effort, endeavor to develop electronic linkages between budget formulation and work authorization processes, ESH&I field work proposals, and the ESH&I Management Plan for direct-funded needs.

11. Conduct validation reviews of Laboratory and Site/Area Office ESH&I Management Plan Process for compliance with DOE and ER guidance beginning in FY 1999.

12. Meet all the FY 2000 UNICALL requirements for submitting ESH&I budget information.

13. Issue annual guidance that provides policy relative to ESH&I planning and budgeting activities, establishes performance objectives, and coordinates ESH&I management activities to provide a consistent corporate approach.

14. Support the responsible DOE field elements in developing site-specific ESH&I performance criteria.

15. Champion adequate funding for the laboratories during the annual budgeting process by:

    - reviewing and making budget decisions concerning ESH&I activities, and
    - ensuring that the combined budgets of a facility's indirect-funded ESH&I activities and the program-funded activities are adequate to ensure cost-effective stewardship of the physical assets of the facility and that the work of the laboratory can be carried out in a manner that protects the safety and health of the workers and the public, and safeguards the environment.

Benefits

Preparation of an integrated ESH&I Management Plan provides other benefits in addition to helping to fulfill the expectations noted above.

<u>Laboratories</u>

- Better communicate and justify environment, safety & health, and infrastructure funding requirements in an integrated fashion to the Landlord and other funding Program Offices.

- Provide an integrated delineation of both funded and unfunded needs, ensuring that the risks associated with unfunded needs are clearly recognized and accepted by responsible management.

- Provide facility management with an integrated source of information concerning the planning and budgeting of ESH&I activities and vulnerabilities

- Provide in one integrated, summary document the ESH&I activity and budget information to satisfy multiple customer information needs.

- Establish realistic expectations for ESH&I performance consistent with approved budgets.

- Make unfunded vulnerabilities clearly visible to ensure management attention can be focused on unfunded or under-funded vulnerabilities.

- Facilitate the identification and monitoring of ESH&I performance commitments.

Site/Area Offices

- Ability to efficiently review and understand site specific ESH&I needs and budget requirements in one summary-level, integrated document.

- Assurance, under the significantly reduced reporting requirements of the LCAM Order, that facility infrastructure needs are being adequately addressed and managed.

- Input to establish realistic performance measures related to ESH&I.

- Establish realistic expectations for ESH&I performance consistent with approved budgets.

- Ability to monitor and assess contractor ESH&I performance.

- Ability to ensure unfunded vulnerabilities are receiving adequate management attention to ensure risks are being appropriately addressed.

- Ability to better communicate ESH&I funding requirements to landlord and other funding program offices in an integrated fashion.

- Ability to clearly communicate to landlord and other funding program offices unfunded vulnerabilities to ensure that the associated risks are understood and accepted.

ER Headquarters (and other funding Program Offices):

- Information required to support ESH&I budget decisions, presented in the context of an integrated Plan.

- Assurance that facility ESH&I programs reflect Departmental and Program policies and guidance.

- Information on unfunded needs to support championing of funding during the Departmental budget formulation process.

- Ability to efficiently review and understand site specific ESH&I needs and budget requirements in one summary-level, integrated document.

- Assurance that site specific ESH&I needs and risks are being adequately addressed and managed.

- Realistic expectations for ESH&I performance consistent with approved budgets.

- An ability to clearly identify unfunded vulnerabilities to ensure that the associated risks are understood and accepted.

Scope

The integrated ESH&I planning process addresses the management functions required to plan and budget for all identified ESH&I needs. All ESH&I activities requiring program funding (for both non-programmatic and programmatic needs) or indirect funding should be included in the ESH&I Budget Plan submission for FY 2000. The submission should be <u>based on identified needs</u>; that is, all ESH&I activities designed to address identified issues, whether the activity is considered Target or Unfunded, should be included in the Plan and forwarded through the rollup process.

Infrastructure support activities for the entire life cycle of all physical assets at the Laboratory should be included. This includes:

- the acquisition of buildings and structures,
- major renovations to these buildings or structures,
- the purchase of equipment needed to support the performance of facility missions, and
- the maintenance or repair of these buildings, structures, or equipment.

Environment, safety and health activities submitted in the Plan should include only those activities whose <u>primary intent</u> is to:

- reduce current levels of ES&H risk;
- prevent increases in ES&H risk;
- improve performance against established ES&H performance measures and indicators;
- maintain current levels of compliance with applicable ES&H laws, regulations, or standards; or
- bring the site or facility into compliance with an applicable ES&H law, regulation, or standard.

The integrated ESH&I budget formulation information should not include activities that are primarily operational in nature, even if some secondary ES&H benefits can be attributed to these activities. If the primary intent of the project or activity is to protect the environment, the public, or workers during the operation of a DOE facility or conduct of a DOE program mission, it should be included. However, if the primary intent of the activity is to operate the facility or conduct the program mission, it should not be included, even if it provides some ES&H benefits.

Also, the ESH&I Plans should not include the collateral or ancillary duties of non-ES&H personnel to support safety and health reviews, attend briefings, etc., and it should not include activities related to the physical systems, personnel, and programs to provide nuclear material accountability, safeguards, and security.

Further discussion of the scope and detailed requirements of the ES&H Budget Formulation process can be found in the FY 2000 UNICALL and in the Departmental Guidance issued by EH.

Elements of the ESH&I Planning Process

This Guidance does *not* prescribe the specific management processes or systems that each site or contractor use to identify ESH&I needs or to develop, prioritize, and budget for the activities to address those needs. The definition of the specific management processes and procedures used to develop an integrated ESH&I Plan is left to the individual sites. This Guidance only addresses the development and reporting of specific planning and budgeting information necessary to implement these functions, in an integrated, efficient, timely, and consistent manner.

ES&H and Infrastructure planning should include processes and tools for budget formulation, budget execution planning and tracking, and performance measurement. The planning process can be broken down into the following steps.

Needs Analysis

Ultimately, the line manager has lead responsibility for ensuring ESH&I needs to accomplish site mission are identified. In defining which ESH&I activities should be planned for and included in the ESH&I budget formulation submission, it is recommended that an ESH&I needs assessment be performed. In performing the needs analysis, current and future ESH&I requirements for which resources must be defined, planned, and budgeted are identified.

Each site should develop and implement site-specific processes and tools to perform this planning element. However, note that recent modifications were made to the ES&H Management Plan Information System to support the management and tracking of issues and related corrective actions. These additional features of the software can be used to document issues and perform the Needs Analysis portion of the planning process if desired. Additional information regarding these features of the software are available from ER-82 upon request.

Needs analysis involves three logically-flowing steps:

- *Definition of Requirements* - The current and anticipated future missions and programmatic activities of the site are defined.
- *Analysis of Current Conditions* - An inventory and assessment of existing infrastructure and ES&H programs is performed and compared with the determined requirements.
- *Definition of Needs* - A comparison of the results obtained from each of the first two steps above is performed to determine the ESH&I needs that must be planned and budgeted for.

The specific needs should be defined and documented by the responsible line managers, using site-specific processes or systems. This should include a discussion of the practical alternatives considered in determining the needs. Alternative consideration is especially significant where major projects and/or system acquisitions are involved.

ER's system leaves to laboratory management the responsibility to determine the most cost-effective manner of defining and documenting ESH&I needs. However, as noted above, the revised ESH&I Management Plan Information System software now includes an expanded capability to capture significant issues, actions, commitments, and milestones. This software is available to all laboratories and can be used in managing issues and defining ESH&I needs. Also, the operating organization at each laboratory is expected to maintain a database of existing infrastructure assets as well as identified deficiencies and asset conditions. The Life Cycle Asset Management order requires that "The DOE corporate physical assets database be maintained as a complete, current inventory of the DOE physical assets."

Activity Development

ESH&I needs that are defined in the needs analysis are now translated into activity packages having detailed scope, schedule, and cost information.

Activities should be packaged consistent with the manner in which the facility's programs and activities are organized and managed. Each activity package should correspond to decision units in the overall planning and budgeting process for the facility.

In developing site ESH&I Management Plans, activities should be identified as being related to ES&H, or Infrastructure, or Both. An ESH&I activity data sheet (ADS) form has been designed to support the identification of activities and the documentation of data required in the Department's annual ES&H Management Plan as well as in support of integrated infrastructure planning. Additionally, as noted previously, the ESH&I Management Plan Information System has been revised to support the integrated planning of ESH&I activities.

The ADS form and instructions are provided in Appendix A to this Guidance. Each ADS should include the information requested on the form. This includes:

- information to uniquely identify the activity and associate it with the particular site;
- a description of the activity and identification of the anticipated accomplishments and milestones associated with implementing it;
- activity categorization data;
- activity cost information; and
- activity risk analysis and priority ranking information.

Activity Prioritization

ER expects each laboratory to present a comprehensive, integrated priority list of all ES&H and Infrastructure needs in the ESH&I Management Plan submission. Each laboratory must also ensure that the management process for producing the integrated priority list uses recognized risk-based prioritization methods to support Laboratory management resource allocation decisions.

Risk-based prioritization of ESH&I activities supports the ability to allocate resources to the optimum set of activities that will provide the greatest reduction in risk and that can feasibly be performed during the planning period. In establishing planning priorities, scoring risks associated with each activity by use of a risk evaluation model is generally the first step. Establishing risk reduction benefit scores is usually followed by management decisions on priorities based on other factors that are not considered by the risk model. Factors such as available funding, precedence relationships, strategic considerations, etc. are generally beyond the scope of most risk models.

Following development of the ADSs, each activity should be evaluated and scored, using a risk-based approach. This score can be compared to the relative risk score of all other activities to determine a preliminary priority ranking among the scored activities, based solely on the reduction of those risks considered by use of the risk model. Of course, there are likely to be other factors affecting the establishment of activity priorities for resource planning and allocation purposes.

The net risk reduction benefit scores can also be used to perform further evaluations of activities. For example, activities having a high initial risk score and a low net risk reduction benefit score should be examined to see if a better alternative is available to address the underlying issue. Similarly, an evaluation of high benefit, low cost activities could identify opportunities to resolve some of the most significant risks with a small amount of available resources.

In the past, most laboratories have scored infrastructure activities using the scoring model and methodology previously described in DOE Order 4320.2A, "Capital Asset Management Process" (CAMP). This necessitated the use of a separate risk model, the Department's ES&H Risk-based Priority Model (RPM), for separately scoring ES&H activities. The use of two separate priority models has led to difficulties in generating the required integrated priorities list for all ESH&I

activities. In support of the previous planning cycle, Brookhaven National Lab developed a table for converting a CAMP score to a RPM score to enable them to produce an integrated list of activities (see Attachment 1). More recently, ORNL has developed a management process that uses only the RPM to score all ES&H and Infrastructure activities. Preliminary priorities developed from ADS risk scores are then evaluated by ORNL Senior Management to determine the final integrated priority list. This methodology enables the laboratory to produce the comprehensive, integrated priority list of all ESH&I needs expected by ER.

Regardless of which method is used to develop activity priorities, ER expects each laboratory to establish an integrated and documented process to identify, prioritize, fund, and execute ESH&I needs regardless of funding source or program. The risk model used in this process should consider both the relative likelihood of an adverse occurrence and subsequent consequences if the activity is not performed, as well as the degree to which performance of the activity reduces the likelihood and consequences of such events.

The risk-reduction score should be the primary consideration for establishing the relative priority ranking for each ADS. However, for some activities a business risk analysis of the proposed activities may be desirable to determine:

- risk factors that may impact completion of the activity;
- the payback period of the activity (in years);
- if the activity represents the most cost-effective alternative to address the infrastructure support need.

Adjustments to the preliminary activity priority rankings may be made to account for the results of the business risk analysis and other planning factors not considered by the risk model. Other factors may include the overall cost of the activities, precedence and coupling relationships among activities, schedule considerations, and other practical planning factors. The basis and considerations for the risk scores and ranking adjustments for each ADS will be clearly documented in a manner to ensure that Department management and other stakeholders can understand the rationale for the results.

ER expects each laboratory to ensure that Senior Laboratory Management is cognizant of all unfunded risks and vulnerabilities and has approved any temporary, mitigative actions taken to manage those risks until they can be permanently resolved. Ideally, an activity evaluation group, composed of experienced managers and representing a cross-section of functional expertise and knowledge of the laboratory's mission and infrastructure should be established to evaluate the risks and benefits of each ESH&I activity and score the activities against the selected risk model. Training should be provided to the group to ensure consistency in use and application of the adopted risk scoring model and to develop baseline risk and operating assumptions. Such scoring should be followed by a process in which Senior Laboratory Management is visibly involved in making the final, documented decisions on priorities.

Budget Formulation, Submission, and Review

Following risk scoring of the ESH&I activities, available indirect and direct resources are allocated to the activity packages in accordance with their relative risk benefit scores and other planning factors. Proposed ESH&I Budget Formulation Plans are then sent to site managers for review and approval.

The responsible organization for each laboratory will submit integrated ESH&I planning and budgeting information as a comprehensive, integrated Plan to the responsible DOE Site/Area Office as part of the Department's annual budget formulation process. This submission is essentially the ES&H Budget Formulation Plan required by the FY 2000 UNICALL except that infrastructure information is also included, and should be submitted coincident with the Field Budget submission which is normally due in April of each year. Note that there must be a cross-referencing between the Plan's ADSs and the budget submissions for activities direct funded by DOE. Such cross-referencing allows the plans to become actionable by Headquarters and is essential.

This submission will include documentation of the Laboratory ESH&I Management Planning process and a prioritized listing of all ES&H and infrastructure needs. The submission should present key strategic and tactical issues and plans that address these issues, identify activities that require a DOE decision on direct funding, and address all other UNICALL information requirements. Basic information to be provided includes FY 2000 budget analysis information and risk management conclusions, and FY 1998 ESH&I work execution commitments.

Specific information requirements are noted in Attachment 2 of this Guidance. These requirements are consistent with the information requirements found in the Department's FY 2000 Field Budget Call and the separate Departmental ES&H Guidance available on the World Wide Web (http://tis-nt.eh.doe.gov/bps/eshplan). The requirements have been supplemented herein to incorporate ER's desire to integrate Infrastructure information along with ES&H information.

Following review and approval by the DOE field element, the ESH&I Budget Formulation submission will be sent to the Landlord program office and other funding Program offices as described in the UNICALL. The planning and budgeting information provided by each site will be used to champion adequate funding for ESH&I support during the Department's annual budget process.

Budget Execution

Prior to the budget execution year, each laboratory organization should review the current ESH&I Management Plan with their respective Site/Area Office. The review should identify the status of ESH&I commitments, define current key issues, identify unfunded vulnerabilities and associated activities, and discuss the impact of planning and budgeting decisions on ESH&I activities for the upcoming budget execution year.

The Site/Area Office will submit a Letter Report to Headquarters that outlines the ESH&I performance commitments made and met, the key issues at the Laboratory, and a prioritized list of unfunded activities along with a description of the associated vulnerabilities. (This requirement is referred to as the Commitment Affirmation Letter in the description of the ES&H Management Plan process in the FY 2000 UNICALL.)

Cost Accounting, Performance Monitoring and Feedback

During the budget execution year, the actual costs associated with performing the ESH&I activities should be collected and tracked using existing facility or site cost accounting systems. The level of detail of this cost accounting should be consistent with site-specific cost accounting systems and requirements set forth by the DOE Office of Chief Financial Officer. The actual costs should be reviewed and incorporated into the next planning/budgeting cycle.

During the program implementation year, progress made in performing the activities and achieving the performance objectives and milestones should be monitored in accordance with the operating organization's self-assessment processes and the DOE's line management oversight processes. Information from these evaluations should be explicitly fed back into the ESH&I planning process for updating current work plans and for subsequent budgeting cycles.

Schedule for Production of the ESH&I Management Plan

The following schedule has been recreated from the Department's FY 2000 ES&H Management Plan Guidance and modified to reflect the inclusion of Infrastructure planning for ER's Multi-Program Energy Labs.

Date	**Action**
December 1997	EH issues *ES&H Guidance for FY 2000 Budget Formulation and Execution Commitments Reporting* for the FY-2000 Budget Cycle.
February 1998	CSO and Operations/Field Office issue Supplemental Guidance on ESH&I Planning.
February 1998	Chief Financial Officer issues Unified Field Budget Call (UNICALL).
April 1998	Operating Organizations submit ESH&I budget formulation information and related FY 1998 commitments progress to Operations/Field Offices.
April 1998	Operations/Field Offices submit integrated ESH&I budget formulation information to ER, and ES&H information to other responsible Program SOs and EH, submit ESH&I budget formulation information (without data) to CR and PO, and provide update on FY 1998 ES&H commitments to CR, PO, EH and CSOs.
June 1998	CSOs, EH, and CR ensure proposed Program Budgets for FY 2000 adequately address significant ESH&I Risks.
August/ September 1998	CSOs revise ESH&I budget formulation data to reflect budget decisions and submit finalized ES&H data to EH. CSOs provide feedback on revised ESH&I budget data to Operations/Field Offices. DOE Contracting Officers at Operations/Field Offices or responsible DOE Elements provide site contractors with formal ES&H expectations for FY 1999 as required in 48 CFR (DEAR) Clause 970.5204-2.
October 1998	Operating Organizations update Facility Work Plans for the Current Budget Execution Year, negotiate ESH&I Performance Measures with Contracting Officer, and submit ESH&I Management Plan (i.e. annual update to Integrated Safety Management System required by 48 CFR (DEAR) Clause 970.5204-2) * to Contracting Officer.
October 1998	Operations/Field Office reviews and approves ESH&I Management Plan (i.e. annual update to Integrated Safety Management System required by 48 CFR (DEAR) Clause 970.5204-2) *, and incorporates ESH&I Performance Measures into Contractor Incentive/Reward Systems. Operations/ Field Offices submit Commitment Affirmation Letter to CR, PO, EH and CSOs on ESH&I Commitments (completed in FY 1998 and planned for FY 1999 Work Plans).

* Alternatively, as with some Energy Research facilities, the monthly financial plans may be used to require key commitments.

FY 2000
Environment Safety & Health, and Infrastructure
Management Plan

Appendix A

ES&H/Infrastructure Activity Data Sheet

Form and Instructions

U.S. DEPARTMENT OF ENERGY

ESH/Infrastructure Management Plan

ACTIVITY DATA SHEET

For Data Reference Use Only

a. Facility Code b. ADS Number

Activity Data Sheet (ADS) Identification Section

1. Facility Code: _____ 2. Facility Name: _____

3. ADS Title: _____

3a. ADS Area: (Select 1 only) ( ) ES&H ( ) Infrastructure ( ) Both

4. Data Sheet Status Code: (Select 1 only) ( ) Open ( ) Closed ( ) Hold ( ) Discontinued ( ) Void

5. Budget Identifier _____
6. Original Identifier _____
7. Work Package No. _____
8. Account No. _____
9. WBS Code _____
10. Reference ADS # _____
11. Resp. SO Code _____
12. Contractor Code _____
13. Contractor Division _____
14. Contr. Department _____
15. Contractor Manager _____
16. Contractor Phone _____
17. DOE Manager _____
18. DOE Phone _____

ES&H ADS Functional Areas

19. If ES&H, is activity a FEDPLAN (formerly known as A-106) Activity? [ ] Yes [ ] No

20. ES&H Functional Area Breakdown (Attach additional pages if necessary)

Functional area	Sub-Area	% Total Cost

Percentage of costs attributable to: 21. Training: _____ 22. Maintenance _____

ADS Type Section

23. ADS Type: (Select 1 only) ( ) Core ( ) Compliance ( ) Improvement

24. Drivers (Attach additional pages as necessary)

Driver Type	Driver Code	Primary? (Just one)	Driver Title

25. Compliance Comments (Attach additional pages as necessary)

For Data Reference Use Only

a. Facility Code

b. ADS Number

26. ADS Description/Objective (Attach additional pages as necessary)

Provide a description of the activity. Include sufficient detail to allow a reader not previously knowledgeable of the activity to understand the activity's scope and what it is intended to accomplish.

27. ADS Appraisal/Justification (Attach additional pages as necessary)

Describe the risks/impact of not implementing or not continuing this activity and opportunities related to this activity. Discuss risks/benefits, if applicable, for Public Safety & Health, Site Personnel Safety & Health, Compliance, Mission Impact, Cost-effective Risk Management, and Environmental Impact. Describe any other significant impacts or considerations (e.g., cost avoidances, payback periods, etc.)

.28. ADS Milestones & Accomplishments (Attach additional pages as necessary)

Describe the expected outcome from implementation of this activity. Identify all significant milestone events and dates, and other expected accomplishments. Identify existing major or key commitments regarding this activity.

For Data Reference Use Only

a. Facility Code b. ADS Number

ADS Scoring Section

29. DOE Risk-based Priority Model (RPM) Scoring

	BEFORE			**AFTER**		
	Consequence[1]	Multiplier[2]	Likelihood[3]	Consequence[1]	Multiplier[2]	Likelihood[3]
Public S&H						
Site Pers. S&H						
Compliance						
Mission Impact						
Cost Eff. Risk Mgmnt						
Environ. Impact						

1 - Enter the row number from the DOE Risk-based Priority Model (RPM)
2 - Minimum multiplier value is 0.1
3 - Enter "A" through "D" or a direct probability value between 0.001 and 0.9999

30. RPM Scoring Adjustments:
Contractor _____ Ops Office _____ SO _____

31. CAMP/Other Numeric Score: _____

32. Project Priority: _____
Allowable range, low to high, is 1.0 to 9.9.

31a. CAMP/Other Scoring Adjustments:
Contractor _____ Ops Office _____ SO _____

31b. Select the CAMP Major Category and Identify the Associated Sub-category With the Highest Rating Score:

Major Category (Select only one.)

( ) Health & Safety (HS)
( ) Environmental & Waste Management (EN)
( ) Safeguards & Security (SS)
( ) Mission & Investment (MI)

Sub-category Code: _____

33. Activity Scored by: _____

34. Date Scored: _____

35. Scoring Comments (Attach additional pages as necessary)
Document the justification for all scores and scoring adjustments. Consider all risks/impacts categories for the risk model used. Describe any other significant impacts or considerations.

For Data Reference Use Only

a. Facility Code b. ADS Number

ADS Resource Data

36. Budget Year Funding Case: ( ) Target or ( ) Unfunded

37. Resource Structure Code (RSC): _____
or
Allocable Cost Pool Identifier (Pool ID): _____

(Note: If the ADS is funded from an allocable cost pool, a valid <=== cost pool must be identified.)

38. B&R Code (For ADSs direct-funded by a single RSC): _____

39. WFO / Cost Reimbursable Funding Source: _____

40. Start Year: _____ 41. End Year: _____

42. Activity Cost Estimate (x $1,000) 43. FTE Requirements

	Estimated Implementation Costs in $1,000				**% ESH**	**FTEs** (to two decimals)	
Fiscal Year	Operating Expense (OE)	Capital Equipment (CE)	General Plant Project (GPP)	Line Item Project (LIP)		Federal	Contractor
Prior Year (PY) 1998							
Current Year (CY) 1999							
Budget Year (BY) 2000							
BY + 1 2001							
BY + 2 2002							
BY + 3 2003							
BY + 4 2004							
BY + 5* 2005							

* For Compliance activities with costs beyond BY + 5, enter total estimated cost to complete in the BY + 5 row.

44. Related Capital Funding (Required only for Infrastructure activities, if applicable.):

[ ] General Plant Project (Landlord)
[ ] General Plant Equipment (GPE)
[ ] Accelerator & Reactor Improvements & Modifications (ARIM)
[ ] Reactor Modifications (RMOD)
[ ] Other (OTHR) (specify): _____

45. Cost Estimate Notes (Attach additional pages as necessary.)

For Data Reference Use Only

a. Facility Code b. ADS Number

Additional Infrastructure Activity Information

46. Asset Categories: (Indicate the percent of total activity costs for each of the following that apply.)

% of costs (Column must sum to 100%)

_____ Buildings
_____ Site Utility Systems
_____ Roads/Grounds/Security
_____ Vehicles
_____ Scientific Devices
_____ Non-scientific Operating Equipment
_____ Related Personal Property
_____ Other (specify): _____

47. Activity Category: (Select only one. If General Maintenance, indicate the maintenance types.)

( ) Cleanup/Removal of Contaminated/Surplus Facilities (CLN)
( ) Major Renovation (REN)
( ) Functional Improvement (IMP)
( ) Construction (CON)
( ) Management & Planning (MGT)
( ) General Maintenance (MNT) : (Mark all that apply.)

[ ] fencing	[ ] elevator	[ ] HVAC
[ ] electrical	[ ] telecommunications	[ ] roofing
[ ] painting	[ ] plumbing	[ ] fire/life safety (incl. asbestos)
[ ] janitorial	[ ] grounds keeping	

Review/Approval

NOTE: All sites should be aware of requirements from the Department of Energy Unified Field Budget Call.

48. Management Approval? [ ] Yes [ ] No

49. Activity in Process? [ ] Yes [ ] No

A1. Reviewed by*: _____ Date: _____

A2. Approved by*: _____ Date: _____

*Not captured in the DOE ES&H/Infrastructure Management Plan Information System.

For Data Reference Use Only

a. Facility Code b. ADS Number

**** Note: This page is for Financial Office Use Only ****

Allocable Cost Pool Information Data Sheet

1. Allocable Cost Pool Name: _____

2. Allocable Cost Pool Identifier (Pool ID): _____

3. Allocable Cost Category: (Select only one)

   ( ) Overhead
   ( ) Organizational Burden
   ( ) Distributed Cost
   ( ) Service Center
   ( ) Lab Directed Research & Development (LDRD)
   ( ) Other _____

4. Allocable Cost Pool Type: (Select only one)

   ( ) Direct-funded
   ( ) Indirect-funded

5. Resource Allocation Table (Attach additional pages as necessary)

Resource Structure Code (RSC)	Budget & Reporting (B&R) Code	Percent of Total Allocable Cost Pool [1]

1 - Sum of all percents must equal 100.

General

These instructions are to be used and referred to in support of completing an activity data sheet (ADS) form for each Environment, Safety and Health and Infrastructure (ESH/Infrastructure) activity.

ADS Data Requirements

a. **Facility Code** - *This area is for data entry personnel use only*. After the Activity Data Sheet (ADS) has been entered into the ESH/Infrastructure Management Plan Information System (ESH/Plan), the validated facility code can be noted in this area of the ADS form by the data entry personnel for future hard-copy reference. The valid facility codes can be found in the Lookup Tables in the ESH/Infrastructure Management Plan Information System.

b. **ADS Number** - *This area is for data entry personnel use only*. After an ADS has been entered into the System, it will have been given a System-assigned identification number. That number can be noted here by the data entry personnel for future hard-copy reference. When combined with the Facility Code, this number provides a DOE-wide unique identifier for the ADS.

c. **Date** - Enter the date the ADS is originated. This data is for hard copy reference only and is not captured in the Information System.

1. **Facility Code** - Enter the facility code for the facility responsible for the activity. The valid facility codes can be found in the Lookup Tables in the ESH/Infrastructure Management Plan Information System. Note that the DOE Facility Codes List includes some codes that do not necessarily represent single, specific "facilities"; rather, those codes may represent and be used for all facilities in an area (e.g., DOE Washington Headquarters).

2. **Facility Name** - Enter the name of the facility responsible for the ADS.

3. **ADS Title** - Provide a short, descriptive title for the ADS (50 characters maximum). This will appear in most ESH/Plan output reports; therefore, it should be carefully constructed to give a concise but descriptive indication of the nature of the ADS.

3a. **ADS Area** - Indicate whether the ADS documents an ES&H activity, an Infrastructure activity, or both. If the ADS documents both ES&H and Infrastructure related activities, the percentage of the activities driven by or associated with ES&H requirements should be indicated for each fiscal year in the Activity Cost Estimate in the ADS Resource Section.

4. **Data Sheet Status Code** - Indicate the Data Sheet Status Code only if you are the status of an existing ADS. Provide comments concerning the reason for the change (e.g., activity was eliminated due to changing mission) for entry in the Status Remarks field in the ESH/Infrastructure Management Plan Information System. The Data Sheet Status Codes are:

- **Open** - This status code indicates that the ADS is to be included for consideration in the planning and budgeting process. By default, only "Open" ADSs are included in the data roll-up process.

- **Closed** - This status code indicates that the activity described by an ADS has been completed. By default, ADSs having a "Closed" status will not be included in the roll-up process.

- **Hold** - This status code indicates that the ADS has been administratively placed on hold by Management. By default, ADSs having a "Hold" status will not be included in the roll-up process.

- **Discontinued** - This status code indicates that the activity described by an ADS has been discontinued but was not completed for one reason or another. For example, the activity may have been determined to not be economically feasible or necessary to continue.

  A discontinued ADS may have been subsumed (combined or replaced) within another ADS or may have been broken out into several smaller ADSs that are more focused in scope. In these cases, data should be entered in the Reference ADS field of the smaller of the related ADSs, as described below. By default, ADSs having a "Discontinued" status will not be included in the roll-up process.

- **Void** - This status code indicates that the ADS record has been voided. Changing the status to "Void" is usually recommended over deleting the ADS record from ESH/Plan, in case later decisions are made to re-open the record. By default, ADSs having a "Void" status will not be included in the roll-up process.

5. **Budget Identifier** - For all direct-funded ADSs enter the identification number of the formal budget document (e.g., project data sheet or field work proposal) submitted with the Field Budget Submission package that includes funding for this activity. This number should be provided for all direct funded ADSs identified as "Target" in the Budget Year Funding Case field.

For ADSs funded by allocable cost mechanisms, this field may be used to identify the operating organization's internal budget document reference.

6. **Original Identifier** - *This is an optional field*. Enter the original ADS identifier, if applicable. Prior to entry into the integrated ESH/Infrastructure Management Plan Information System, an different, original identifier may have been assigned to the activity.

7. **Work Package No.** - *This is an optional field*. If applicable, enter the identification number of the work authorization directive, work package, or other budget execution document that contains the work described in the ADS.

8. **Account No.** - *This is an optional field*. If applicable, enter the local (or internal) account number used to capture and identify costs associated with the ADS.

9. **WBS Code** - *This is an optional field*. If applicable, enter the internal work breakdown structure (WBS) identification number/code associated with the ADS.

10. **Reference ADS** - *This is an optional field*. If applicable, enter the ESH/Infrastructure Management Plan Information System ADS number for any other ADS that the current ADS is determined to be explicitly related to. For example, a Reference ADS may have been subsumed within another ADS, or may have been broken out to several smaller ADSs that are more focused in scope. When three (or more) ADSs are related, select one as the "master" ADS. Enter "REF" in the Reference ADS field of the master ADS; enter the ADS number of the master ADS in the Reference ADS field of the two other ADSs.

11. **Responsible SO Code** - For direct funded ADSs, enter the two-character code indicating the Secretarial Office (SO) responsible for funding the ADS. For indirect-funded and outside-funded activities, indicate the Landlord SO. The valid Secretarial Offices and SO codes can

be found in the Lookup Tables in the ESH/Infrastructure Management Plan Information System.

12. **Contractor Code** - Enter the facility operator/contractor code. This is generally the management and operations (M&O) contractor or integrating contractor for the facility. For Federally operated facilities (e.g., Operations Offices), select "[N/A]" which is located at the bottom of the list. The valid DOE Facility Operator codes can be found in the Lookup Tables in the Management Plan Information System.

13. **Contractor Division** - *This is an optional field*. Identify the contractor organization division responsible for the ADS.

14. **Contractor Department** - *This is an optional field*. Identify the contractor organization department responsible for the ADS.

15. **Contractor Manager** - *This is an optional field*. Identify the contractor manager who is responsible for the validity of the data on the activity. Enter the manager's last name, followed by his/her first and middle initials (LASTNAME FM).

16. **Contractor Phone** - *This is an optional field*. Enter the ten-digit telephone number for the Contractor Manager.

17. **DOE Manager** - *This is required for FEDPLAN (formerly A-106) ADSs, as noted in Field 19; it is optional for others*. Enter the last name, followed by his/her first and middle initials (LASTNAME FM) of the DOE manager (e.g., site/area/operations office manager), *not a contractor employee*, who is knowledgeable of and responsible for the validity of the ADS data.

18. **DOE Phone** - *This is required for FEDPLAN (formerly A-106) ADSs, as noted in Field 19; it is optional for others*. Enter the ten-digit telephone number for the DOE Manager.

19. **FEDPLAN (formerly A-106 Plan) Activity** - Indicate by checking the "Yes" or "No" check box whether the ADS documents a FEDPLAN activity. The annual FEDPLAN Report is required by Executive Order 12088 (formerly known as A-106); reporting requirements are defined by the Office of Management and Budget (OMB). Generally, Core and Compliance environmental activities are likely to be FEDPLAN items. If you have questions on whether an activity is a FEDPLAN activity, contact your ESH/Infrastructure Management Plan Information System Administrator.

20. **ES&H Functional Breakdown** - For ADSs documenting ES&H related activities, enter the two-character code(s) indicating the functional area(s) to which costs are allocated for the activity. The primary functional area code is required for all ES&H ADSs. For ADSs documenting BOTH related activities, the functional area is required and the total cost allocations must sum to 100 percent. For ADSs documenting Infrastructure activities, therefore having no ES&H related costs, the functional area breakdown is not required.

The identification of multiple functional areas or functional sub-areas is usually optional. However, the functional sub-area breakdown must be provided for all environmental activities in the Pollution Prevention (PP) and Environmental Restoration (ER) functional area. If multiple functional areas and/or sub-area breakdowns are identified, you must indicate the percent (to the nearest 1 percent) of the total ADS cost allocated to each. Total cost allocations must sum to 100 percent. Percentage allocations for functional sub-areas will sum to the total percentage of cost allocated the specific parent functional area.

The valid functional area and sub-area codes can be found in the Lookup Tables in the integrated ESH/Infrastructure Management Plan Information System.

21. **Percentage of ADS Costs Attributable to Training** - *This is an optional field*. Estimate the percentage of the activity's costs attributed to or targeted toward training.

22. **Percentage of ADS Costs Attributable to Maintenance** - *This is an optional field*. Estimate the percentage of the activity's costs attributed to or targeted toward maintenance.

23. **ADS Type** - This data is specifically required for ES&H related ADSs. Select the appropriate ADS type. *Select only one*. Valid ADS types are:

- **Core** - currently performed ES&H activities that are considered necessary by facility management to maintain current levels of ES&H compliance or to prevent increases in the current levels of ES&H risks. Activities included in Core ADSs have the characteristic that if they were not performed, either (1) the level of compliance of the facility would be lower than the current level or (2) the level of risk posed by facility operation would be greater than the current level.

- **Compliance** - additional corrective actions, activities, or programs over and above the current Core ES&H programs, that are required to improve the facility's state of compliance and move the facility toward full compliance or conformance with all applicable ES&H laws, regulations, agreements, and DOE Orders. After compliance is achieved, any continuing activities and resources required to maintain compliance should be included in Core ADSs.

- **Improvement** - those new or ongoing activities, beyond Core and Compliance activities, that will raise the level of ES&H performance, lower the level of ES&H risks at a site or facility, and help the facility move toward excellence in ES&H performance. Improvement activities do not affect the facility's level of ES&H compliance.

24. **Driver(s)** - This is specifically required for all ES&H related Compliance activities. Enter the driver type and code that requires or is associated with the activity. The current list of valid driver codes can be found in the Lookup Tables in the ESH/Infrastructure Management Plan Information System. More than one driver may be entered; if so, you should ensure that the primary driver is entered in the appropriate box. For all FEDPLAN (formerly A-106) ADSs, as noted in Field 19; the primary driver type and code should reference the Federal law requiring the activity. State laws or DOE Orders implementing the Federal law can be referenced as secondary drivers. Use additional pages if more than two drivers are applicable.

25. **Compliance Comments** - *This is an optional field*. Provide comments associated with the compliance condition related to the activity.

26. **ADS Description/Objective** - Provide a complete description of the activities documented on the ADS, the intended objective for performing the activities, and the underlying causes or issues driving the activity.

27. **ADS Appraisal/Justification** - Provide a complete appraisal of the risks of not implementing or continuing the activity and the opportunities associated with implementing it. This information is especially needed to (a) provide a better understanding of the ADS and what it is intended to accomplish, (b) help determine if the ADS is the best alternative solution to the problem being addressed, (c) support the development of risk scores for the ADS for relative ranking among other ADSs, and (d) help reviewers understand the bases used in developing risk scores. Discuss the risks and/or benefits, if applicable, for Public Safety & Health, Site Personnel Safety & Health, Compliance, Mission Impact, Cost-effective Risk Management,

and Environmental Impact., and describe any other significant considerations or opportunities (e.g., cost avoidances, payback periods, etc.). A discussion of cost escalations resulting from delays in starting the activity may also be discussed here.

28. **ADS Milestones & Accomplishments** - Describe the expected outcome resulting from implementation of the activities. Identify all significant milestones and other accomplishments. This field should also be used to identify any existing major or key commitments that have been made regarding the activities in the ADS.

29. **ADS Scoring** - This field is used to record the DOE ES&H Risk-based Priority Model (RPM) score for ADSs designated as ES&H or BOTH and should support activity prioritization and management decision-making. An Infrastructure ADS can be scored using the RPM method or Capital Asset Management Process (CAMP). However, all ADSs, (ES&H, Infrastructure, and BOTH) should ultimately be integrated and prioritized. (A CAMP/RPM Conversion Table for converting a CAMP score to a RPM score is referenced in Attachment 1).

In the "Before" columns, enter the *before* consequence (i.e., impact row number) selected from the RPM for each impact category. If necessary, you may specify a multiplier to be applied to the standard weighted value of the consequence. The default multiplier is 1.0; the minimum multiplier is 0.1. Next, identify the column letter, “A,” “B,” “C,” or “D,” as selected from the RPM, that is associated with the likelihood of experiencing each *before* consequence. If necessary, a specific probability value between 0.0001 and 0.9999 may be provided in place of the RPM column letter .

In the "After" columns, enter the *after* consequence (i.e., impact row number) selected from the RPM for each impact category. As with the *before* scores, and if necessary, you may specify a multiplier to be applied to the standard weighted value of the consequence. The default multiplier is 1.0; the minimum multiplier is 0.1. Next, identify the column letter, “A,” “B,” “C,” or “D,” as selected from the RPM, that is associated with the likelihood of experiencing each *after* consequence. If necessary, a specific probability value between 0.0001 and 0.9999 may be provided in place of the RPM column letter .

Note that *at most*, one before score (consequence and likelihood combination) and one after score should be entered for each applicable impact category.

30. **RPM Scoring Adjustments** - Identify any scoring adjustments applied to the RPM score by either the Contractor, the DOE Operations/Site Office, or DOE SO. Scoring adjustments should not reflect a change in the net risk or benefit scores resulting from application of the DOE ES&H RPM. Rather, they should only reflect "management's prerogative" to move the ADS up or down in a list prioritized by total score. The scoring adjustments can be additions to or subtractions from the net risk/benefit score.

31. **CAMP/Other Numeric Score** - This field can be used where numeric priority scores that were not produced by application of the DOE ES&H Risk-based Priority Model have been assigned to the ADS. These scores may be developed through use of the Capital Asset Management Process (CAMP) prioritization matrix. A CAMP score can be converted to a raw RPM score to support development of a single, integrated priority list by using the CAMP/RPM Conversion Table shown in Attachment 1. The CAMP prioritization model and methodology are described in DOE Order 4320.2A, "Capital Asset Management Process." Operating organizations should contact the responsible DOE field element to ensure availability and use of the latest revision of the CAMP priority matrix.

31a. **CAMP/Other Scoring Adjustments** - Identify any scoring adjustments applied to the non-RPM risk score by either the Contractor, the DOE Operations/Site Office, or DOE SO. Scoring adjustments can be additions to or subtractions from the net risk/benefit score.

31b. **Major CAMP Category** - Select the Major Category and identify the Sub-category code from which the highest single category rating score is determined from application of the CAMP Priority Model. The valid Major Categories and Sub-category codes are shown below.

Major Camp Categories / Sub-categories

Health & Safety (HS)
- CO - Compliance with Orders & Laws
- RD - Technological Base (R&D)
- IH - Industrial Hygiene
- IS - Industrial Safety
- FP - Fire Protection
- HP - Health Physics
- CR - Criticality
- IN - Infrastructure

Environmental & Waste Management (EN)
- CO - Compliance with Orders & Laws
- RD - Technological Base (R&D)
- LQ - Liquid & Hazardous Waste
- SW - Solid & Hazardous Waste
- AP - Airborne Pollutants
- WM - Waste Minimization
- ER - Environmental Restoration
- CA - Corrective Actions
- IN - Infrastructure

Safeguards & Security (SS)
- CO - Compliance with Orders, Regulations, Policies, MSSA
- RD - Technological Base (R&D)
- SN - SNM Accountability
- PS - Protection of SNM
- CL - Protection of Classified Information, Technology, and Parts (Non-SNM)
- TH - Protection of Property from Theft & Loss (Non-SNM, Non-classified
- HA - Protection from Hostile Action
- IN - Infrastructure

Mission & Investment (MI)
- CO - Compliance with Orders, Initiatives, and Directives
- BB - Business Benefits
- RD - Technological Base (R&D)
- CC - Mission Capability, Capacity, & Quality
- AS - Asset Condition
- IN - Infrastructure
- NB - National Business Strategies/Partnerships

32. **Project Priority** - *This is an optional field*. The allowable range of values, low to high, is 1 to 9.9. This field may be used to record a separate determination of priority or importance of an activity beyond that determined from application of the RPM, CAMP, or other prioritization methods noted above.

33. **Scored By** - Indicate who scored the ADS (e.g., Facility Project Evaluation Group). This information can be used by the data entry personnel to ensure that the risk scoring information to be entered into the Information System is valid.

34. **Date Scored** - Enter the date that the ADS was scored.

35. **ADS Scoring Comments** - Provide scoring comments to identify the bases (i.e., rationale, reasons, and/or justifications) for the scores and scoring adjustments applied to the ADS. This information is especially needed so that reviewers can understand the scoring bases.

36. **Budget Year Funding Case** - The Budget Year Funding Case field must be designated as either Target or Unfunded based on the results of the operator's resource allocation process. Note that the Budget Year Funding Case applies to all three budget years (prior year, current year, planning year) of the ADS in the ES&H/Infrastructure planning process. Thus, for example, if funding is expected for an ADS in FY 1998 and FY 1999 but the activity is expected to be Unfunded in FY 2000, a separate ADS should be developed to cover the unfunded work scope.

- **Target** - ADSs that are expected to be funded during the planning period (FY 1998 through FY 2000) should be identified as Target. For direct funded activities, those ADSs designated as Target should be consistent with the operator's formal budget submission. For activities funded by allocable cost mechanisms, those ADSs designated as Target should represent the operating organization's determination of what will be funded based on their internal resource allocation and decision-making processes.

- **Unfunded** - This case is used for ADSs that would not be funded, given the facility's current budget expectations. This is a critical designation; it identifies for each stakeholder in the decision process which activities will not be funded under the proposed budget scenario.

Note: Funding assumptions and other information utilized to derive all funding targets and allocate ES&H resources should be documented in the Cost Estimate Notes field on the ADS form. Previous activity costs spent prior to the current year can also be documented in the Cost Estimate Notes field.

37. **Resource Structure Code** - Identify the correct resource structure code for each ADS to be direct-funded. For ADSs to be funded from allocable cost pools, see the Allocable Cost Pool Identifier (Pool ID) data element described below.

Resource structure codes should be selected from the DOE Resource Structure Codes List developed by the DOE Controller's Office (CR). The current list of valid codes can be found in the Lookup Tables in the ESH/Infrastructure Management Plan Information System. ESH/Plan will automatically map and fill in an appropriate budget and reporting (B&R) code when a valid resource structure code is entered into the System. This B&R code may be replaced or supplemented by the activity Planner or the facility's financial organization or management.

—— or ——

Allocable Cost Pool Identifier (Pool ID) - For each ADS to be funded from an allocable cost pool, identify the Pool ID for the allocable cost pool from which the ADS will be funded. The Pool ID is a site-defined code (up to eight characters) that identifies the specific allocable cost pool being used to fund the activity. For example, "Overhead" may be the Pool ID selected to identify the site-wide overhead pool. Page 10 of these instructions describes the use of the Allocable Cost Pool Information Data Sheet. The Allocable Cost Pool Information Data Sheet form is similar to the Activity Data Sheet and is used by the financial organization to help develop the information necessary to identify an allocable cost pool.

38. **B&R Code** - Identify the Budget and Reporting (B&R) code associated with the ADS. As noted above, each Resource Structure Code has a specific B&R code associated with it.

Facility planners, management, and financial personnel should ensure that the correct Resource Structure Code and B&R codes are identified for the ADS. The current list of valid B&R codes can be found in the Lookup Tables in the ESH/Infrastructure Management Plan Information System.

39. **WFO/Cost Reimbursable Funding Source** - *This is an optional field.* For activities funded from outside sources (e.g., work for others, cost reimbursable), provide an indication of where the funding is coming from or what organization the work is being performed for (e.g., DOD, DOT, USAF, US ARMY, US NAVY, GSA).

40. **Start Year** - *This is an optional field.* This field and the End Year field are provided to assist in managing ADS cost data. Enter the first fiscal year (FY) for which funding is requested/attained for implementation of the ADS. For example, if the ADS is included in the FY2000 Budget Plan, but is not intended for implementation and funding until FY 2002, enter "2002" in the Start Year field. For existing, recurring activities, this field is not meaningful and should be left blank.

41. **End Year** - *This is an optional field.* This field and the Start Year field are provided to assist in managing ADS cost data. Enter the fiscal year the ADS is expected to be completed. The End Year field is meant for projects with an expected end date (typically CE, GPP, and LIP).

42. **Activity Cost Estimate** - Enter the estimated costs required to implement and complete the ADS. Enter costs by fiscal year and by funding category (i.e., "color of money") in the appropriate rows and columns. All costs should be entered to the nearest thousand dollars. First-year costs should not precede any fiscal year date entered in the Start Year field. Final year costs should not extend beyond any fiscal year date entered in the End Year field. For Compliance activities that have costs that extend 5 years or more beyond the Budget Year (BY +5), you must enter the total estimated cost to completion for the activity in the BY +5 row of the Activity Cost Estimate field.

For ADSs indicated as both ES&H and Infrastructure (refer to Item 3a, above), you must indicate the percentage of the total activity costs that can be specifically attributed to ES&H requirements and needs. A percentage should be shown for each of the funding years

43. **FTE Requirements** - Enter, by fiscal year, the number of effective person-years associated with full-time equivalent employees (FTEs) required to implement and complete the ADS. Both contractor and Federal FTEs are required, as applicable. FTE data may be entered up to two decimal places.

44. **Related Capital Funding** - Indicate the related capital funding category associated with the activity costs, if applicable.

45. **Cost Estimate Notes** - Funding assumptions and other information utilized to derive all funding targets and allocate ES&H resources should be documented in the Cost Estimate Notes field on the ADS form. Previous activity costs spent prior to the current year can also be documented there. This should include key planning assumptions used to develop activity costs and an indication of whether funding has been escalated and, if so, what escalation factors were used. Information related to the Total Cost Assessment for Waste Minimization / Pollution Prevention ADSs should also be provided here.

46. **Asset Categories** - For Infrastructure activities. Depending on how the infrastructure activities are planned and packaged, one or more types of assets may be affected by an ADS. Identify the categories (i.e., types) of assets being addressed by identifying the percentage of total activity costs associated with each asset category.

47. **Activity Category** - For Infrastructure activities. Select only one activity category to indicate the type of activity being planned and documented with this activity data sheet. If the activity category is "General Maintenance," indicate the type(s) of maintenance being performed.

48. **Management Approval** - Indicate whether management approval of the ADS data has been provided. NOTE: All sites should be aware of requirements from the Department of Energy Unified Field Budget Call for FY 1999, some of which are noted below.

49. **Activity In-process** - *This is an optional field*. Indicate whether the ADS documents an activity that is already in process (i.e., budget obligations exist).

A1. **Reviewed by** - Information in this field is not captured in the Management Plan Information System. However, the responsible manager should review the ADS and sign and date it to indicate his/her review and approval of the correctness and validity of the information contained in it. NOTE: All sites should be aware of requirements from the Department of Energy Unified Field Budget Call for FY 1999, some of which are noted below.

A2. **Approved by** - Information in this field is not captured in the Management Plan Information System. However, the responsible manager, so designated by the Operator, DOE Operations/Site Office, or SO to approve ADSs, should review the ADS and sign and date it to indicate his/her approval of the correctness and validity of the information contained in it. NOTE: All sites should be aware of requirements from the Department of Energy Unified Field Budget Call for FY 1999, some of which are noted below.

Excerpt from the Department of Energy Unified Field Budget Call for FY 1999:

> The review of planned ES&H programs, the integration of ES&H planning into overall program planning, and the analysis of ES&H budget requests is a formal part of the Department's Corporate Budget Review Process. To support this review and budget analysis, summary information and conclusions from each site's ES&H Management Plan should be compiled into an ES&H Budget Formulation Plan and submitted as part of the formal Field Budget submission materials to their Operations/Field Office. This Plan consists of:
>
> - Information on the scope, priorities, and resources for ES&H activities.
> - A summary of risk management conclusions for the site.
> - For ES&H Compliance Activities, a Management Signature attestation, including a check off of the management approval field in the ES&H ADS indicating management has reviewed and approved the scope and cost estimates of the activity, and a statement in the formal transmittal letter signed by the appropriate senior manager attesting to the accuracy of the cost and scope of the ES&H data. Such a statement might be: "the ES&H activities provided in the roll-up data have been reviewed by management. The compliance activities represent our best estimate of the scope and cost of activities needed to bring the facility into compliance with laws, regulations, executive orders, and DOE Order requirements addressing significant risks."
>
> **(Note: Compliance activities are considered to be departmental ES&H liabilities under the Government Management Reform Act. As such, a signed copy of each Compliance activity should be retained at each site which may be auditable by the Inspector General.)**

Allocable Cost Pool Information Data Sheet

Note: This page is for Financial Office Use Only

The following instructions support the preparation of the Allocable Cost Pool Information Data Sheet. To accurately account for and characterize allocable ES&H and Infrastructure costs, information must be provided for each allocable cost pool used to fund related activities. This information does not need to be provided on each activity. Instead, it is captured one time for the entire facility. The Allocable Cost Pool Information Data Sheet provides a format for reporting this information.

1. **Allocable Cost Pool Name** - Identify the name of the allocable cost pool. This name is usually assigned and recognized by the facility finance, budget, and management personnel for a specific allocable cost pool. For example, the general site overhead pool might be named simply as "Site Overhead."

2. **Allocable Cost Pool Identifier (Pool ID) -** Identify the code to be used to associate an activity with the allocable cost pool named above. The Pool ID is a site-defined code and must be limited to eight (8) characters (e.g., OVERHEAD) for use in the ESH/Infrastructure Management Plan Information System. Each ADS to be funded from an allocable cost pool must be identified with the Pool ID for the allocable cost pool from which the ADS will be funded.

3. **Allocable Cost Category** - Indicate the cost category that best characterizes the allocable cost pool. Only one allocable cost category can be selected for each pool.

4. **Allocable Cost Pool Type** - Indicate the cost pool type that best characterizes the allocable cost pool. An allocable cost pool can only be either direct-funded or indirect-funded.

5. **Resource Allocation Table** - Enter the resource structure code and percent of total allocable cost pool for each funding source contributing to the allocable cost pool. The separate percentages allocated to different funding sources within the pool must sum to 100. For example, Site XYZ's Site Overhead allocable cost pool could have the following composition:

Resource Structure Code	B&R Code (optional)	Percent of Total Allocable Cost Pool
3Y5101		0.600
HA1002		0.900
JA0102		1.500
JA0110		0.200
TE0404		15.80
YA0808		81.00

Similarly, Site ABC could have a direct-funded, distributed cost pool as shown below:

Resource Structure Code	B&R Code (optional)	Percent of Total Allocable Cost Pool
TE0404		100.00

CAMP/RPM CONVERSION TABLE

Note: Brookhaven National Lab developed the following table for converting a CAMP score to a RPM score to enable them to produce an integrated list of activities. It is provided here as a **guide** only, for converting a Capital Asset Management Process (CAMP) Score to a DOE ES&H Risk-based Priority Model (RPM) Score. Management should review the "Raw" RPM score derived and adjust the score, if needed, to produce an accurate, comprehensive, and integrated priority list of all "ES&H," "Infrastructure," and "BOTH" ADS's.

CAMP SCORE TO RPM CONVERSION	
CAMP SCORE	**"Raw" RPM SCORE**
70	538
60	150
50	75
40	30
30	15
20	0

FY 2000 ESH&I Budget Formulation Information Submission and FY 1998 ES&H Commitments Submission

Specific Information Requirements

Each laboratory should provide the following information in a text summary (with electronic backup), extracted from its ESH&I Management Plan. These requirements are consistent with the information requirements found in the Department's FY 2000 Field Budget Call and the separate Departmental ES&H Guidance available on the World Wide Web at the following address: (http://tis-nt.eh.doe.gov/bps/eshplan). The requirements have been supplemented herein to incorporate ER's desire to integrate Infrastructure information along with ES&H information.

Basic Information

Operating organizations are expected to provide the following basic information:

- An activity level ESH&I data submission providing information on the scope, schedule, risk-based priorities, budget and skill-based resources for ESH&I activities. The preferred format for this information is the ESH&I ADS.
  - For Core[1] and Improvement[1] activities, only the FY 1998 through FY 2000 information is required, although it is recommended that planning be conducted for the out-years and this information be provided as well.
  - For Compliance[1] activities, information is required for the life-cycle of the activity from FY 1998 through completion. As a minimum, estimates for the annual resource requirements should be provided for FY 1998 through FY 2004 and the projected remaining project cost to completion provided in the FY 2005 column.
- A text summary of major ESH&I issues, summary budget information, and risk management conclusions for the budget year (FY 2000) for the site.
- For ESH&I Compliance Activities included in the submission, a Management Signature attestation, including a check off of the Management Approval field in the ADS indicating that the laboratory management has reviewed and approved the scope and cost estimates of the activity, and a statement in the formal transmittal letter signed by the appropriate senior manager attesting to the accuracy of the cost and scope of the ESH&I data.

[1]In order to meet new departmental reporting requirements resulting from the Government Management Reform Act of 1994 (GMRA), the department must be able to identify noncompliances with laws, regulations, executive orders, and DOE Orders which implement risk-significant regulatory requirements. These noncompliances are considered liabilities under GMRA which must be carried in the Departmental end-of-year financial statement. As a result, the ESH&I "ADS Type" data field is a mandatory field for the FY 2000 budget cycle. Laboratories must ensure that all "non-EM" funded ADSs are categorized as either Core, Compliance, or Improvement activities.

- Along with the ESH&I budget formulation information and risk management conclusions described above, each laboratory should provide information on commitments included in their FY 1998 work plans and the progress and status of those commitments. This commitment information will need to be updated and progress verified in a Commitment Affirmation Letter report in October 1998.

The basic information expectations are summarized in Table 2-1. The information summarized in Table 2-1 can be provided through the use of ESH&I ADSs. The ADS form and detailed instructions for its completion are presented in Appendix A.

Table 2-1
Basic ESH&I Budget Information Expectations

Scope Description (for Individual ESH&I Activities)	A summary description of all ESH&I support activities planned at the facility for FY-1998 through FY-2000 (whether considered target or unfunded), assuming a site target level funding. These activities should be subdivided by ADS Area (ES&H/Both or Infrastructure) and by ADS Type (Core, Compliance, and Improvement). Information necessary to support external environmental reporting requirements should be provided (see section 2.2.3).
	A summary description of unfunded Compliance activities.
Budget Information (for Individual ESH&I Activities)	The total direct and the total indirect cost of these activities for FY-1998 through FY-2000, broken down by ADS Area (ES&H/Both or Infrastructure), and for ES&H and Both type ADSs into the ES&H functional areas. It is recommended that planning be extended into the outyears, although this is not required except for Compliance activities.
	The total cost-to-complete (beyond FY 2004) for Compliance activities.
	The appropriate B&R codes and category of funding (e.g., operating, capital equipment, GPP, or line item) for direct-funded activities.
	The appropriate facility indirect resource pool for indirect-funded activities, and the resource allocation schedule for each pool that funds the activities.
Skill Mix Information	Facility-wide summary of FTE requirements for FY-1998 through FY-2000 (broken down into ES&H functional areas for ES&H and Both type ADSs).
Risk Management Information	Facility-wide summary of the major ESH&I risks and the activities being planned in FY 2000 to manage these risks.
	Facility-wide summary of any major significant risks that cannot be adequately addressed within proposed FY 2000 budgets.
	Relative risk priority information for funded and unfunded Compliance activities.
	Synopsis of additional facility risk management and ESH&I budget analysis information requested by the UNICALL (as noted in this Attachment).

FY1998 Commitments Information	Description of the major ESH&I work commitments, agreed to by DOE and the site contractors, which are incorporated into the site operating work plans for FY 1998. These commitments should address the most important ESH&I risk management issues at the facility within the FY 1998 funding appropriation at each site (this should not be a compendium of all ESH&I issues, but should focus on the most significant ESH&I issues at the facility).

Important Risk Management Conclusions for the FY 2000 Planning Year Summary

Each laboratory should provide a concise summary of important risk management information. This information (after review and approval by the Site/Area/Operations Office) is consistent with the supplementary budget submission material that is required by the FY 2000 Unified Field Budget Call (UNICALL). The summary should provide the following information.

- Identification of the most important ESH&I risk management issues being addressed within the current budget targets for FY-2000 (this should not be a compendium of ESH&I issues, but should focus on the most significant risk issues confronting the facility).

- Identification of any significant ESH&I risks that are not or will not be adequately addressed at the requested budget level. Identify administrative or other compensatory measures planned to address these risks. Identify any future, increased costs that may result if these risks are not addressed during the budget year.

- Identification of the highest ranking unfunded activities (i.e., the most important candidates for funding should additional resources become available). These can be identified using one of the standard one-line reports from the ESH&I Management Plan Information System.

- Identification of any unfunded (or underfunded) activities that address emerging ESH&I issues, or important areas defined in the EH or ER strategic guidance. The risks associated with not funding these activities should be clearly articulated.

- Identification of any unfunded (or underfunded) activities that represent good investments in risk management and prevention, even though they do not address immediate, significant risks.

Budget Analysis Support Information

A concise summary of budget analysis information should also be provided by each laboratory. This information (after review and approval by the Site/Area/Operations Office) is also part of the supplementary budget submission material that is required by the UNICALL. The summary should provide the following information.

- Identification of the major planning assumptions related to changes in facility programs and mission.

- Identification of the bases and major assumptions used in deriving ESH&I funding targets.

- Identification of ESH&I activities whose funding would be jeopardized if budgets are cut (e.g., the ADSs whose relative ranking places them just above the funding line).

- Description of the impact on ESH&I programs of a decrement level reduction in total site budget. See the FY 2000 Field Budget Call or other specific guidance for the decrement level which should be used. If no decrement level is specified, assume a 10% reduction. Identify the specific programs that would be impacted and the increases in risk that would be expected.

- For laboratories where major uncertainties in programmatic funding (i.e., the termination or initiation of a major project) exist, a description of the impact of that potential change on ESH&I programs and funding should be provided.

FY 1998 ESH&I Commitments Submission.

Along with the ESH&I budget formulation information described above, each laboratory should provide the following information by text summary (with electronic backup), extracted from its ESH&I Management Plan. Note, this information on FY 1998 commitments will need to be updated and progress verified in a Commitment Affirmation Letter report in October 1998.

- Description of the major ESH&I work commitments, agreed to by DOE and the site contractors, which are incorporated into the site operating work plans for FY 1998. These commitments should address the most important ESH&I risk management issues at the facility within the FY 1998 funding appropriation at each site (this should not be a compendium of all ESH&I issues, but should focus on the most significant ESH&I issues at the facility).

The summary ESH&I risk management, budget analysis, and commitments narrative summary information can be captured in the appropriate facility-level fields of the ESH&I Management Plan Information System and included on the roll-up disk or export file that is sent to the Site/Area/Operations Office. This allows each laboratory's entire ESH&I Budget Formulation Information to be provided on electronic media.

DOE Site/Area/Operations Office Review

Each responsible DOE Site/Area/Operations Office should review and approve the information provided by each operating organization. In particular, DOE financial managers should ensure consistency between the financial information supplied in the submission and the primary budget submission materials comprising the Field Budget Submission package. If applicable, the responsible DOE Operations Office should consolidate the ESH&I budget formulation information from each site within its purview to produce an integrated Operations Office ESH&I budget formulation information submission and FY 1998 ES&H commitments and progress submission. This consolidated summary

submission should be provided to ER, the Office of the Chief Financial Officer (CR), the Assistant Secretary for Policy (PO), the Assistant Secretary for Environment, Safety, and Health (EH), and other responsible Cognizant Secretarial Officers (CSOs) as necessary, in accordance with the UNICALL requirements.