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CHAPTER 8: BUDGET EXECUTION MODULE

To be provided at a later time.

CHAPTER 9: ADMINISTRATION MODULE

Included in Volume 2 of the IPABS-IS Integrated Guidance.

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1.0 Overview

1.1 Introduction to IPABS

1.1.1 Summary

The Integrated Planning, Accountability, and Budgeting System (IPABS) is the project-based management system that supports the Environmental Management (EM) Program. IPABS supports EM by providing stable business processes focused on supporting site closure and cleanup completion. IPABS consists of two major components:

- The management system -- Described in the IPABS Handbook,¹ the management system describes the top-level EM business processes and associated responsibilities necessary to fulfill EM program goals and objectives.
- The information system -- The IPABS Information System (IPABS-IS), along with the EM Corporate Database, provides the means to collect, store, and report information that supports the IPABS business processes and other EM information requirements. IPABS-IS can be accessed through the Internet at the following address (URL): <https://ipabs-is.em.doe.gov/ipabs>

IPABS supports almost all major EM planning, budget formulation, execution, and reporting needs in FY 2000. Specific products include the FY 2001 Congressional Budget Request, *Paths to Closure*, annual EM and Departmental performance plans and reports, annual management commitments, monthly and quarterly performance reports for the EM program (and for specific projects), the FY 2002 budget formulation process, and the Department's Central Internet Database, required as part of the PEIS settlement agreement.

IPABS also provides the basis for improved linkages between the science and technology program and actual cleanup activities; the ability to analyze integration opportunities; and support for efforts to strengthen managerial and financial control across the EM program.

¹ U.S. Department of Energy (DOE), February 1999. *Integrated Planning, Accountability, and Budgeting System Handbook*. Office of Environmental Management, Washington, DC.

This guidance will provide the implementation details associated with IPABS and IPABS-IS. The guidance is structured as follows:

CHAPTER		CONTENT SUMMARY
1	Introduction/ Overview	Summary of the guidance, overall schedule, key interrelationships, and introduction to the information system
2	Project Execution Module	Process to track cost and schedule performance, milestones, and corporate performance measures during the year
3	FY 2001 Fall Budget Module	Process to update FY 2001 Office of Management and Budget (OMB) data (budget authority, narratives, and metrics) to prepare for the FY 2001 Congressional submission
4	Life-Cycle Planning Module	Process to update life-cycle (FY 1997 - FY 2070) planning data for the EM program
5	Stream Disposition Data	Process to collect a key part of the life-cycle planning data related to waste, contaminated media, and spent fuel
6	FY 2002 Budget Formulation Module	Process to initiate FY 2002 budget formulation process including the Integrated Priority List, budget authority, narratives, and metrics
7	Reporting Module	Describes the new Report Module where reports and data can be accessed
8	Budget Execution Module	TBD (currently not developed)
9	Administration Module	Instructions on how to use the Administration Module in IPABS-IS for those that have access rights
	Attachments	Schedule, change control procedures, etc.

Changes or updates to this document may be necessary as new information becomes available. In this event, an addendum or changed pages will be issued. Until such change occurs, the information provided in this document represents the IPABS guidance for FY 2000.

1.1.2 What's New?

Several improvements have been made to the IPABS process.

Integrated Guidance

To provide clearer direction, EM has developed an integrated guidance package that provides (1) general policy and assumptions, (2) explanations of data uses and interrelationships to provide context for sites as they assemble their data, and (3) detailed line-by-line instructions for data entry/submission. The integrated nature of this guidance will result in better linkages between business processes (e.g., planning and execution), and a closer tie between overarching policy and the system implementation details.

Improvements to IPABS-IS

The IPABS-IS has replaced the Interim Data Management System (IDMS), which has resulted in several improvements in the overall system this year. The Progress Tracking System (PTS) will no longer be used. Cost and schedule performance information will now be collected in the Project Execution Module in IPABS-IS. This will provide improved linkages between execution, budgeting, and planning. Also, EM has integrated the collection of stream disposition data into IPABS-IS. Therefore, the Analysis and Visualization System (AVS) will no longer be used for data collection, but it may still be used as an analytical tool. In addition, the budget data to support the FY 2001 Congressional Budget will be updated and collected in IPABS-IS, eliminating the "Fall Budget Data Template" that was used last year. This will bring all aspects of budget formulation into the overall system. Finally, a new Report Module will be available which will make it much easier for users to access and print reports that previously were not available except through special requests to the Corporate Information Office (CIO). The Report Module will allow users to print not only current information but also information from earlier datasets.

There are still some areas where data will be collected outside IPABS-IS although EM is working to include some of this in the future. (See Attachment A for more information on how IPABS is related to other systems.) For example, pollution prevention data

will be collected in the same manner that it has been in the past. Also, EM (with the participation of the CIO Team) may continue to make decisions to collect some information “offline” based on its urgency, complexity and/or frequency. This is the case with Geographic Site level stewardship data in FY 2000.

Changes to Existing Data Requirements

The data being collected this year are based on a thorough requirements review that was conducted using the agreed upon corporate process. Changes to the requirements are under change control. Since last year, a number of data requirement changes have been discussed and implemented. Each chapter will discuss the specific changes that have been made as they relate to each business process and associated data collection module.

Science and Technology

Several changes have been made to the collection of science and technology data and the associations to related data in IPABS-IS. The intent of these changes is to make the data entry process easier for the user and for the data collected to be more useful for analysis and decision-making. Changes made are as follows:

- The Focus Area work package is replaced by a more specific Focus Area technical response to a site need.
- All SDD collected in AVS last year will now be part of the life-cycle planning module in IPABS-IS.
- Focus Area work packages, technologies associated with work packages, and those elements associated with potential benefits (cost savings and risk reduction) are deleted from the PBS structure.

Process for Approval of Data

When data are first submitted/approved from the Field on the required dates, it is considered to be the initial Field approved dataset. At this time, a review and validation period takes place where Headquarters works with the field to resolve any issues they may have with the data submission. Any additional validation and/or quality assurance of the dataset will also be performed at this time. This period of review and/or validation has been built into data submission schedules to improve data quality. The review process does not prevent Headquarters from working with the Field prior to submission of their initial Field approved dataset; in fact this is strongly encouraged.

Any data changes to the initial Field approved dataset that have been agreed to by both Headquarters and the Field are made by the Field. Once all changes have been incorporated the dataset is re-approved/re-submitted by the Field by the required date. This dataset is then considered to be Field and Headquarters approved

and will be used as the basis for planning, budgeting, and execution activities as appropriate. All changes to the data from this time forward must go through the appropriate change control procedures both in the Field and at Headquarters.

1.1.3 Schedule

EM has put together an overall timetable for the collection and submission of data. That schedule can be found below and in Attachment B. This data collection schedule should help sites plan for the entire fiscal year. The schedule identifies the release date for each chapter of the guidance, data collection/update periods, data review periods, and data due dates. In order to facilitate data collection, sites should start planning now to meet the deadlines shown in the schedule. It is absolutely essential that the data are provided in a timely manner and are of a quality that allows EM to use them immediately in high-visibility products.

The schedule provides for review periods where Headquarters Site Teams and other personnel can review and provide comments back to their Field counterparts in order to improve the quality of the Field data submissions. The data are considered Field and Headquarters approved after the review period. This does not preclude Headquarters personnel from working throughout the process with the Field. In fact, it is assumed that Headquarters Site Teams are actively working to ensure that the initial and final data submissions are of sufficient quality and accuracy to be used by Headquarters. Any changes after the review period would have to go through the change control process.

The schedule includes quarterly submission dates for execution data in January, April, July, and October. A more detailed schedule with some of the monthly execution milestones can be found in Chapter 2.

Key budget dates include January 7 for updated data for the FY 2001 Congressional Budget and April 14th for the Field submission to kick off the FY 2002 formulation process. FY 2001 Congressional Budget submission dates may need to be adjusted based on receipt of the OMB passback numbers. In addition, please note that the FY 2002 budget formulation data collection module will not be available (seeded) until early February. This is to ensure that all FY 2001 Congressional request data is accurately reflected in the FY 2002 formulation module.

On the planning side, stream disposition data are due February 15 so that there is more time to validate the information and develop consistency in the intersite transfers. The annual update to the life-cycle planning data is due March 15. The planning data are due one month before the FY 2002 budget formulation data so that the budget can be built from the planning baseline.

Schedule for Integrated Deliverables		
Date	Deliverable	Chapter
November 2, 1999	Project Execution Module online for FY 1999 year-end metric actuals. Guidance available.	2
November 4, 1999	Final FY 1999 PTS submittal due to Headquarters.	2
November 8, 1999	Project Execution Module online for FY 2000 cost and schedule input.	2
	Reporting Module online and available for report generation. Guidance available.	7
November 12, 1999	FY 1999 year-end metric actuals must be approved for use by Headquarters.	2
November 29, 1999	FY 2000 cost and schedule approved and financial data seeded.	2
December 1, 1999	Last day for approval of proposed PBS structural changes.	4,6
December 15, 1999	FY 2001 Fall Budget Update Module online. Guidance available.	3
December 23, 1999	Life-Cycle Planning Module online. Guidance available.	4
	Stream Disposition Data online. Guidance available.	5
January 7, 2000	Initial Field approved FY 2001 Fall Budget Update data due.	3
January 10-28, 2000	IPABS-IS Training	N/A
January 14, 2000	Field and Headquarters approved FY 2001 Fall Budget Update data due with review comments incorporated.	3
January 21, 2000	FY 2000 first quarterly update to cost and schedule data due, and financial data seeded.	2
January 31, 2000	Focus Area technical responses completed.	4

Schedule for Integrated Deliverables		
Date	Deliverable	Chapter
February 14, 2000	FY 2002 Budget Formulation Module online. Guidance available	6
March 1, 2000	Initial Field approved Stream Disposition Data due.	5
March 15, 2000	Initial Field approved Life-Cycle Planning data due.	4
March 31, 2000	Field and Headquarters approved Stream Disposition Data due with review comments incorporated.	5
April 14, 2000	Initial Field approved FY 2002 Budget Formulation data due.	6
	Budget Execution Module online. Guidance available.	8
	Field and Headquarters approved life-cycle planning data due with review comments incorporated.	4
	Worksheet with life-cycle implications of at-target funding and initiatives to close the gap due.	4
April 20, 2000	FY 2000 second quarterly update to cost and schedule data due, financial data seeded, and mid-year performance measure actuals due.	2
April 21, 2000	Field and HQ approved FY 2002 Budget Formulation data review complete.	6
April 28, 2000	Field and Headquarters approved FY 2002 Budget Formulation data due with review comments incorporated.	6
July 21, 2000	FY 2000 third quarterly update to cost and schedule data due, and financial data seeded.	2
October 2000	FY 2000 fourth quarterly update to cost and schedule data due, financial data seeded, and year-end performance measure actuals due.	2

1.1.4 Basic Roles and Responsibilities

IPABS requires a full team effort to be successful, from the individual project managers in the Field through to the senior management at Headquarters. The basic roles and responsibilities outlined below will allow individuals to work effectively towards the IPABS goal to build a high-quality management system. In the context of this guidance and the overall IPABS process, the following roles and responsibilities apply:

- The Office of Policy, Planning, and Budget is responsible for overall policy and strategic guidance.
- The Corporate Information Office is responsible for IPABS-IS corporate data management, data requirements management, and system development and implementation.
- The CIO team (Headquarters and Field) is responsible for discussion and approval of data requirements.
- The Field owns the data and is responsible for its quality. Specific responsibilities within each Operations/Field Office are left to the Field. The appropriate subject matter experts in the field should participate in the review and approval of the data. After the normal update period, changes to data will be under the appropriate Field change control procedures.
- The designated individuals in the field, with approval authority for each data set, are responsible for validating the data that have been entered and for approving the data by the scheduled submission date.
- Site Teams and other Headquarters personnel are responsible for the review and validation of the data. While the personnel do not have approval authority per se (except for the PBSs “owned” by Headquarters), they should work with the Field during initial data preparation so that they are familiar with and comfortable with the Field submission. After Field approval of the data, Site Teams should provide comments in a timely fashion during the review period so that the data can be revised accordingly. In addition, Site Teams assist in ensuring that corporate data are accurately portrayed in EM products. After the normal update period, changes to data shall be

under the appropriate Headquarters change control procedures.

- Headquarters subject matter experts are responsible for topical policy guidance, definitions, the establishment of validation rules, and specific formulas for roll-up calculations.

1.1.5 Key Data Groupings

Data can be broadly categorized by major business processes, which are reflected as different modules in IPABS-IS. The key subject groupings include:

- Life-Cycle Planning Information (Chapters 4 and 5)
- Budget Information (Chapters 3, 6, and 8)
- Execution Information (Chapter 2)

Life-Cycle Planning Information

The life-cycle work scope for the EM program is communicated through data provided from the Field that are consistent with site baselines and planning estimates. Site baselines and planning estimates are the starting point for all information contained in IPABS-IS. Annual updates to Project Baseline Summaries (PBSs) and other life-cycle planning elements at the Geographic Site, site summary (SSL) and stream level should be based on site planning information. The baseline elements in IPABS form a completed summary picture for the EM program from 1997 through 2070. In general it is assumed that estimates in the near-term (i.e., through 2006) are of higher quality than the longer-range planning estimates for the outyears (i.e., beyond 2006).

The following items in IPABS-IS reflect site baselines and planning estimates:

- Life-cycle cost estimates by year (or block of years)
- Planned completion dates for Geographic Sites
- Planned start, mission completion, and PBS completion dates for projects
- Planned dates for important milestones including those milestones on the critical path for site completion
- Planned completion dates for release sites and facilities and other performance measure planning quantities
- End state and other associated scope narrative
- Stream disposition data (SDD), disposition maps, and the associated data found in the SDD
- Programmatic risk scores

- Stewardship information
- Science and technology needs

Budget Information

Budget information for a given year is developed within the context of site baselines. Budget information consists of new budget authority (BA), performance measure targets, and budget milestones along with associated narratives used in budget documentation. New this year is the identification of performance-based milestones for selected PBSs to complement corporate performance measures in establishing a performance-based budget for EM. Budget information must be consistent with appropriations; requests; and targets provided by EM in accordance with guidance from the Department of Energy's Chief Financial Officer and OMB.

Budget information is focused on a three-year window. With minor exceptions, every PBS has a single corresponding budget and reporting (B&R) code around which EM formulates budgets. Budget authority at the B&R level are of audit quality. In addition to B&R level data, the Operations/Field Offices provide an estimate of BA by PBS divided into prescribed categories and subcategories and expense types to communicate the estimated BA associated with work that EM performs. These estimates improve communication during the budget formulation and justification phases but do not necessarily need to be of audit quality (i.e., sites and Headquarters are not required to track costs this way in their accounting and financial systems).

Other budget information includes Project Data Sheets for line item construction projects and an Integrated Priority List (IPL), which each Operations/Field Office must generate for the budget formulation year. In the April FY 2002 Field submission, there will be two lists. The first is an IPL that prioritizes activities at each Operations/Field Office in an order based on the most essential and logical sequencing of work. The second is a compliance list that focuses purely on priorities from a compliance perspective. Both lists should build up from zero to a full requirements case and are used to evaluate impacts of reduced and increased funding levels.

Execution Information

Execution year cost, schedule, financial and milestone information is collected to measure progress against plans and budgets. This information is collected at the PBS, technical task plan (TTP), and line item construction project levels depending upon the specific element. These data are collected monthly, quarterly, and/or semi-annually, based on the approved data requirements, and where

available, are imported in from other DOE systems. Execution year corporate performance measure actuals are collected at mid-year and year-end to compare progress against planned targets and agreed upon management commitments which are composed of milestones; waste, nuclear material, and spent nuclear fuel quantities; release sites; facilities; and technology deployments.

1.1.6 Interrelationships and Special Topics

IPABS-IS supports the integration of data collection across Headquarters' business processes. The following sub-sections discuss in more detail the interrelationships of the key data contained in each module.

Dollars and Scope in Planning, Budget and Execution

EM uses the PBS as the key building block for planning, budgeting, and managing its work. EM's B&R codes center around EM PBSs so that Headquarters planning, budgeting, and execution activities tie more closely to the way work is performed in the field. This tie is found in planning documentation such as *Paths to Closure* and in budget documentation, which discusses the budget in the context of the program's life-cycle requirements. Sites should base their budget requests directly on site baseline planning information. The link then carries through into the execution phase where EM tracks actual performance (financial, cost/schedule, milestones, performance measures) against baseline plans and budget targets.

Dollars: PBSs contain two types of dollar amounts. The planning and financial portion of the PBS contains dollar amounts on a cost basis. This method follows traditional project management principles, which are focused on estimated and actual costs. The budget portion of the PBS reflects budget authority or BA. Budget documentation will continue to reflect BA while estimated baseline costs will continue to be used to portray the life-cycle requirements necessary to complete the estimated work scope and the actual costs for the EM program.

Performance Measures: The primary purpose of performance measurement in EM is to track progress toward accomplishing the program completion vision, goals, and objectives (i.e., the safe, compliant completion of the EM mission at DOE sites in a cost-effective manner). Performance measurement information is an extremely important means for justifying and defending EM's budget to OMB, Congress, and stakeholders. *Performance measurement* involves determining what to measure, identifying data collection methods, and collecting the data. Evaluation

involves assessing progress toward achieving program expectations. Performance measurement and evaluation are components of performance-based management. Ultimately, performance measurement provides a path of accountability between the Department's long-term vision and the day-to-day activities of individual federal and contractor employees.

Performance measurement is mandated by the Government Performance and Results Act (GPRA) of 1993 and is central to other legislation and Administration initiatives. EM uses performance measures to help justify the program and its costs, provide measurable results to demonstrate progress towards strategic goals and objectives, evaluate results, identify areas needing attention, determine opportunities for improvement, and establish accountability for taxpayer resources.

EM has developed specific corporate performance measures that link planning goals with the budget, program execution, and evaluation of program performance and results. These corporate performance measures focus on programmatic accomplishments and "big picture" results and provide a quantitative assessment of performance (including a counting methodology and the units to be counted). These corporate performance measures include:

- Number of release sites cleaned up;
- Volume of waste treated and disposed by waste type;
- Number of facilities decommissioned;
- Quantity of nuclear material and spent nuclear fuel stabilized and prepared for disposition;
- Number and type of alternative technology deployments.

All measures are tied to specific PBSs. Corporate performance measures also include key milestones for PBSs that reflect major progress points toward overall mission completion. In the budget process, performance measures focus on the three-year budget window, consistent with BA targets. Annualized performance commitments for the execution year and planned goals for the budget formulation year are used in numerous documents against which EM must report progress. Also, actuals are collected for each performance measure as part of the execution process. It is important for EM to be able to explain variances between what is planned, what is projected to be completed with the budget, and what is actually performed.

This guidance includes discussion of performance measures in the context of execution in Chapter 2, budget formulation in Chapters

3 and 6, and planning in Chapters 4 and 5. In addition, there are two important attachments supporting performance measures. Attachment C explains from a systems-perspective performance measure counting methods for life-cycle planning, budget targets, and actuals. Attachment O provides a complete list of performance measures and definitions for performance measures and budget authority categories.

Dollars and Measures for FY 1999: As EM closes out FY 1999, it must collect data that reflects actuals for the fiscal year (e.g., costs, BA, performance measures, etc.). The budget section of the PBS will show how much new BA was actually allocated to each project based on the year-end AFP. The project execution section of the PBS should show how much was costed by project (based on the year-end financial data from the Management Analysis Reporting System (MARS)). Performance measures for FY 1999 will show what the target was for FY 1999 (as stated in the FY 2000 Congressional Budget Request) along with what was actually accomplished based on what was collected in the Project Execution Module (PEM). Milestone information (from PTS) will also show what was planned and accomplished as reflected in the PBS. BA and cost may differ for definitional reasons, but both relate to the scope of work that was accomplished in FY 1999.

Each Operations/Field Office should be prepared to explain why actual performance varied from what was stated in the FY 1999 column of the FY 2000 Congressional Budget Request. Furthermore, while not collected in IPABS-IS, Operations/ Field Offices need to be prepared to explain how they performed relative to their baseline planning objectives for FY 1999 and what impact that performance will have on the overall life-cycle cost and schedule of the EM program under their jurisdiction.

Dollars and Measures for FY 2000: FY 2000 is currently the execution year. The planned scope provided in the baseline section of the PBSs for FY 2000 must be consistent with the scope and schedule articulated in the FY 2000 column of the FY 2001 Congressional Budget (i.e., the same basic policy assumptions must be consistent). However, specific performance measure goals in the budget may vary from those in the baseline due to normal variances in the baseline and the timing of data collection. The execution module must also reflect the same planned scope in the form of Budgeted Cost of Work Performed (BCWS), milestones, and performance measures. As the year progresses, Operations/Field Offices will need to record actual accomplishments in site project control systems and provide

accurate reports on performance in FY 2000 against planned BA, planned cost, planned milestones, and planned performance goals in the Project Execution Module. As in FY 1999, EM will close out FY 2000 and require documentation to explain variances between budget and baseline performance goals and actual results.

Dollars and Measures for FY 2001: For FY 2001, baseline scope objectives must be consistent with the policy assumptions used in the FY 2001 Congressional Budget. BA and performance goals for FY 2001 will be documented in the FY 2001 Congressional Budget Request consistent with the data collected in the Fall Budget (limited update) Module. In parallel, Operations/Field Offices will provide an update to Headquarters of baseline information. Operations/Field Offices should be able to explain any differences between the FY 2001 baseline planned accomplishments and FY 2001 Congressional Budget target accomplishments in FY 2001. Next fall, Operations/Field Offices will provide an update to the FY 2001 performance goals based on the FY 2001 appropriation and will then proceed to execute work in FY 2001. At the end of FY 2001, Operations/Field Offices should be prepared to compare FY 2001 actuals back to the original goals set in the FY 2001 Congressional Budget Request.

Dollars and Metrics for FY 2002: For FY 2002, Headquarters recognizes that each Operations/Field Office is just beginning the budget formulation process and that planning assumptions developed for initial budget targets will differ from the baseline. Therefore, for FY 2002, baseline scope objectives and budget scope objectives will show a variance. The differences between what presumably can be accomplished in the baseline (the “planning level”) versus what presumably can be accomplished at the BA “target level” will be communicated through several mechanisms including:

- The FY 2002 priority lists based on site priorities and compliance will build from zero up to the full baseline (i.e. planning) requirements level in priority order.
- Draft FY 2002 Performance Measures - In April, sites will be required to submit preliminary performance goals for FY 2002 based on the BA target. These goals will differ from baseline goals for FY 2002. The difference will primarily be attributable to the difference between the BA target-level funding and the full requirements as documented in the baseline section of the PBS.

Performance Measures and Stream Disposition Data

Stream disposition data (SDD) can be summarized by performance measure reporting category (e.g., LLW Disposal - On-Site/Commercial) at the PBS level (see Chapter 5 for more information on SDD). This linkage between life-cycle disposition planning numbers and performance measures allows EM to discuss annual goals and objectives in the context of total program scope. There are, however, two factors preventing performance measure goals from simply being a mathematical rollup of all SDD:

- Not all streams are considered “performance measure streams.” For example, some remediation waste is currently not counted as a performance measure. Therefore, there are methods for how specific budget/performance categories are computed from SDD in terms of which streams to count and which streams to ignore. In Chapter 5 and Attachment C, EM will provide specific instructions for how to identify performance measure streams.
- SDD reflect the baseline, not the budget in the execution, budget, and formulation year. Therefore, the budget performance measure targets for these years could vary from the mathematically derived volume from the SDD. However, while not the same, there is an expectation that the budget-based performance targets are related to the rolled-up “performance measure streams” from the SDD.

Milestones and the Critical Closure Path

As part of the baseline documentation, each PBS must contain a list of important life cycle milestones with planned completion dates. Headquarters has identified milestones that must be included in the PBS:

- Project Start, Mission Complete, and Project End Dates
- Critical Closure Path Milestones
- Management Commitments and specific project-level performance commitment milestones in the execution year and budget year
- Enforceable Agreement Milestones
- Defense Nuclear Facilities Safety Board (DNFSB) Milestones
- Major Decision Point (e.g., Environmental Impact Statements (EISs), RODs)
- Milestones with Inter-site Implications
- Critical Decision (those tracked for line item projects, strategic systems, etc.) Milestones

The subset of PBS milestones and events that must occur on schedule in order for EM to complete its mission at a given Geographic Site as planned represent the critical closure path. EM is establishing a stronger tie between project milestones and the critical closure path and with the integration of the execution-tracking module into IPABS-IS, EM will be tracking the status of critical closure path milestones to ensure that progress at sites is on schedule.

Stream Disposition Data and the Critical Closure Path

Annual disposition planning data (i.e., disposition/shipping schedule) must be internally consistent with project completion and site closure data reflected elsewhere in the PBS or critical closure path milestones. Certain annual disposition data form the basis for determining completion and closure schedules. In order to improve data interrelationships, EM is requesting that Operations/Field Offices identify streams that are on or influence the critical closure path. This identification is being accomplished through a simple Yes/No field in the SDD tables.

Programmatic Risk Information

Programmatic risk management is an important element of EM's overall program management strategy. Attachment D provides programmatic risk score definitions. Programmatic risk data identify disposition streams (from the SDD) and the critical closure path milestones that may require additional management attention due to uncertainties with respect to key planning assumptions including scope definition, science and technology availability, and inter-site dependencies. Programmatic risk measures potential risks to cost and schedule; this risk is different from public, worker, or environmental (P/W/E) risks.

For SDD, each disposition stream has an associated programmatic risk score. Every stream must be scored with respect to three programmatic risk categories -- scope, technology, and inter-site dependencies. The scoring is based on a 1-5 scale where five is high risk. These programmatic risk scores help identify areas that require management attention -- areas that could result in significant cost growth or schedule delays. Each disposition facility may also be scored (1-5) for any facility and/or equipment limitations that may be barriers to stream disposition.

Similar to disposition streams, each critical closure path milestone (event or activity) is associated with a programmatic risk score (provided that a risk exists for the milestone). The programmatic risk categories and scale are the same for critical closure path milestones as they are for disposition streams.

Programmatic risk scoring is a new project management tool in EM and its use will continue to improve as sites gain implementation experience. An uncertainty analysis in the 1999 *Paths to Closure* used programmatic risk data to assign uncertainty ranges to each PBS by ranking it as having high, medium, or low uncertainty for project definition, innovation, and complexity. The analysis used programmatic risk data as the basis for the rankings. PBSs with high programmatic risk in each of the three factors had the largest range of cost uncertainty; projects with low uncertainty in each factor have the smallest range of costs. EM plans to continue the use of programmatic risk data in its analysis of uncertainties in the cost estimate for the EM program.

Science and Technology Information

The IPABS process has been instrumental in linking science and technology needs at EM sites to science and technology development and deployment efforts in EM's Office of Science and Technology. Linkages are made through streams, critical events, and PBSs with a particular focus on streams and milestones with high technological programmatic risk. Key data elements for each PBS include FY 2000 science and technology needs and opportunities, technical responses, technology deployments, opportunities for risk reduction, and potential cost savings. Data are used to prioritize investments in science and technology, validate site needs and technical responses, identify technical gaps and potential benefits, and support measurement of corporate measures for science and technology.

As described elsewhere in this section, there is connectivity between the waste stream data in the SDD, the critical closure path data, and the relevant PBSs. While these relationships are important for overall data quality, they are particularly important in terms of validating the FY 2000 science and technology needs and opportunity statements, and prioritizing and measuring the value of the Focus Area Work Packages. The ties are made by (1) linking the waste stream data from the SDD to the PBSs; (2) linking the critical closure path milestones to the PBSs; and (3) linking the relevant needs to the SDD and to the critical closure path milestones through PBSs.

Public, Worker, and Environmental Risk

Public, worker, and environmental (P/W/E) risk should be an integral part of setting priorities, sequencing project work, measuring progress, and demonstrating that EM is managing its hazards to acceptable risk levels, with institutional controls in place. EM should address the hazards with the highest risk first.

Risk information is collected at the Site Summary Level and will highlight the hazards and associated risks deemed important to the sites and their local stakeholders, regulators, and Tribal Nations. It includes site hazard information tables and articulates the site hazard abatement story and associated actual and potential risks from a holistic point of view.

To ensure worker safety, EM is committed to implementing the Integrated Safety Management (ISM) program. The five ISM core functions are: work scope definition, hazards analysis, development and implementation of controls, execution of work within controls, and feedback and continuous improvement. The work scope, hazard, and work performance information is collected at the PBS level. The controls and feedback/improvement mechanisms are described at the SSL.

Stewardship and Long-term Surveillance and Maintenance (LTS&M)

There are several initiatives in place associated with long-term stewardship at EM sites. DOE is preparing a report on long-term stewardship initiative as mandated by the National Defense Authorization Act of 1999. EM plans to maintain the approved IPABS stewardship data requirements; however, in order to support this initiative, most stewardship data, including data previously collected in the Geographic Site tab in IPABS-IS, will be collected in a one-time data call. Data requirements for this initiative are currently being developed, with specific guidance to be issued in parallel to this guidance under separate cover. The information provided in the one-time data call must be consistent with life-cycle planning assumptions including completion definitions, completion dates, end states, assumed landlord responsibilities, and estimated stewardship costs.

Cost and schedule estimates for LTS&M will continue to be collected within a PBS and identified as such in the SSL crosscut in the year of occurrence.

Each site that plans on managing its own stewardship activities and not giving those responsibilities to another entity must differentiate between “cleanup” costs and stewardship costs by creating a post-site completion PBS for stewardship. The stewardship PBS will collect costs associated with stewardship once site completion has been achieved (see Chapter 4). Sites must provide a scope and cost estimate for stewardship activities in this PBS from site completion through 2070 except where there is a sound basis for not including these costs (e.g., the site transfers to a private owner) or a sound basis for terminating those costs before 2070 (e.g., monitoring is required only for 30 years post-site completion).

When the site is complete, all post-closure costs should be in one stewardship PBS. For projects that are completed prior to site completion, stewardship costs can remain in that project's PBS until site completion when those costs should transfer to the stewardship PBS. All stewardship costs (both pre and post site completion) should be identified as part of the SSL LTS&M crosscut cost category. All PBS stewardship data should be consistent with the data in the stewardship National Defense Authorization Act (NDAA) of 1999 call.

1.1.7 Uses for the Data

The data in all the modules supports programmatic planning execution, budget, and reporting requirements.

Life-cycle planning data is used for:

- *Paths to Closure*
- Analyzing complex-wide integration opportunities
- Analyzing program and policy alternatives to regulatory impacts
- Transportation planning
- Communicating EM progress, status, and plans
- Supporting technical information management at Headquarters
- Central Internet Database
- Identifying waste stream flow and/or storage, treatment and disposal pathways
- Validation of science and technology needs and opportunities statements and technical responses
- National prioritization of EM's science and technology investments
- Identification of technology gaps and technology based cost savings where EM is not, but should be, making science and technology investments
- Measuring the impact of EM's science and technology investments

Budget Information is used to support:

- The internal budget review process
- The CFO budget submittal
- The OMB budget submittal
- The Congressional Budget submittal
- Congressional inquiries

Project execution tracking information is used to support a variety of EM reporting needs:

- EM quarterly management review (QMRs)
- Monthly management review briefings
- DOE Performance Plan which accompanies the FY 2001 Congressional Budget
- Secretary's Performance Agreement with the President
- EM Management Commitments and Execution Year Performance Plan
- Accountability Report
- Responses to Congressional inquiries
- Other project management responsibilities

1.1.8 Change Control

Change control is an important component of IPABS. There are different aspects of change control within the overall system. Four are of particular note:

- Changes to the PBS structure
- Changes to other "valid lists"
- Changes to data after they have been approved
- Changes to data requirements/model

Change control is critical to the validity of data in IPABS. As part of the EM commitment to the Secretary to improve the internal controls within EM, a PBS change control process was instituted by the Assistant Secretary on August 31, 1999. (The charter and procedures can be found on the Internet at <http://www.em.doe.gov/pbscontrol/>). The charter for this process requires each site to use a documented change control system at the site level for controlling changes to PBSs. Headquarters approval of changes to PBSs that exceed the thresholds established for each site must be submitted and approved by the appropriate Deputy Assistant Secretary/Assistant Secretary. Approvals must be received prior to the change of data in IPABS.

Changes to PBS Structure

The PBS is a critical building block of IPABS and as such, is under strict change control. One reason for the strict process is the direct relationship between PBSs and B&R codes. As of December 1, 1999 all proposed changes to the PBS structure for the FY 2000 update to the life-cycle planning data and the beginning of the FY 2002 budget formulation process were received and reviewed. Approved changes can be found in Attachment E.

The approved list for the FY 1999 life-cycle planning data and the FY 2001 budget can found in Attachment F.

Where the approved list has changed, it will be necessary to crosswalk certain data elements from the old structure to the new structure. This process is described in Attachment G. Broadly speaking, both budget and life cycle planning data will need to be mapped so that EM can maintain a comprehensive picture of the program. The Field should be prepared to provide this data crosswalk whenever PBS changes are proposed.

Changes to Other Valid Lists

IPABS-IS contains many “valid lists.” Each valid list plays an important role in the structure and integrity of the EM Corporate Database. Certain subject matter experts, data owners, and affected individuals must agree to any change in each valid list. Attachment H contains a list of some of the more important valid lists along with the general procedures used by the Corporate Information Office to maintain control of these lists.

Changes to Data After They Have Been Approved

IPABS-IS works on a process where data are considered “working” until selected individuals “approve” the data. Once data are “approved,” it is officially saved into the EM Corporate Database and is used to support the various products listed in Section 1.1.7 above. Therefore, changes to approved data can have serious ramifications because the data may have already been used in high-visibility corporate products. The Corporate Information Office is implementing a formal change control process to document any requested changes to data after they have been approved. An interim process was used for changes to the 1999 year-end actuals in the PEM and the process is expected to become more rigorous after the March 15 deadline for life-cycle planning data and the April 15 deadline for FY 2002 budget formulation data. No changes will be accepted to data in a PBS unless the change can be documented through the appropriate Field or Headquarters PBS change control process. See Attachment I for more information on this process.

Changes to Data Requirements

Since 1998, the EM CIO and now the Corporate Information Office have maintained a data and system requirements management system to document all approved, proposed, and pending changes to requirements associated with IPABS-IS. Attachment J contains more information on change control of data requirements and the data model.

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2.0 Project Execution Module

2.1 Policy and Topical Guidance

2.1.1 Overall Description and Purpose

Purpose of Project Execution Module

The Project Execution Module (PEM) of the Integrated Planning, Accountability, and Budgeting System-Information System (IPABS-IS) replaces the Progress Tracking System (PTS) as EM Headquarters' centralized system for reporting financial, milestone, performance, and other execution-year information for PBSs, sub-PBSs, TTPs, and line item construction projects. In addition, the PEM collects mid-year and year-end actual performance information against the agreed upon management commitments for the current execution year.

The data collected in the PEM are based on a thorough requirements review. Changes to the data requirements currently reported/displayed in the PEM have been baselined and are under change control, which ensures that any proposed new data requirements are thoroughly reviewed by both Operations/Field Offices and Headquarters prior to implementation. Proposed new data requirements for the PEM and any other modules of IPABS-IS will be reviewed on a regular basis. The EM CIO manages the requirements review process from Headquarters.

The deployment of the PEM demonstrates progress towards the goal of integrating all of the major Headquarters business functions (planning, budget formulation, project execution tracking, and budget execution). The development of the PEM is the first major step of the evolution from the Integrated Data Management System (IDMS), used this past spring to support the FY 1999 lifecycle planning, FY 2001 budget formulation, and FY 1999 mid-year performance measure actuals data collection into IPABS-IS.

Project execution tracking and performance measure information are collected at five different levels:

- (1) Office
- (2) Site Summary Level (SSL)
- (3) Project Baseline Summary (PBS)
- (4) Sub-PBS (including line item construction projects)

(5) Technical Task Plans (TTPs)

Note that all sub-PBSs, line items, and TTPs are associated with a PBS that is considered “valid” for project execution. Sub-PBSs that are valid for project execution data entry/viewing at an Operations/Field Office are not necessarily associated with a PBS that is part of that Operations/Field Office’s valid list of PBSs (i.e., a sub-PBS at a Field Office can be associated with a Headquarters PBS with Field reporting responsibilities for that sub-PBS). All valid TTPs are associated with one of the three Science and Technology PBSs at Headquarters, even though data entry/viewing might be done in the Field for a TTP. See below for a general description of the valid list maintenance process.

Note: Reporting responsibilities for a sub-PBS, whose source is a PBS at another Operations/ Field Office or at Headquarters, rest with the originating PBS unless alternative arrangements have been agreed upon.

Note that Operations/Field Offices and Headquarters have the option of providing data to the PEM either through the data entry module of IPABS-IS on the Internet or through a batch loading process. Additional information on the batch loading process for the execution module is available in Attachment K.

**Uses for Project
Execution Module Data**

Project execution tracking information is used to support a variety of EM reporting needs:

- EM Quarterly Management Review (QMR)
- Monthly Management Review briefings to the Deputy Secretary of Energy
- DOE Performance Plan which accompanies the FY 2001 Congressional Budget
- Secretary’s Performance Agreement with the President
- EM Management Commitments and Execution Year Performance Plan
- Accountability Report
- Responses to Congressional inquiries

- Other project management responsibilities

The QMR is conducted by the Assistant Secretary for Environmental Management (EM-1) in conjunction with senior EM Program and Operations/Field Office managers. EM-1 uses these quarterly management reviews to assess progress toward meeting annual goals and objectives and as the basis for making key management and funding decisions. Similarly, the Deputy Secretary of Energy (S-2) reviews EM's progress toward completion of its annual goals on a monthly basis. Both of these reporting mechanisms will rely heavily on data provided in the PEM.

Each year, the Assistant Secretary for Environmental Management (EM-1) establishes Management Commitments for the current execution year with each Operations/Field Office Manager. These Management Commitments consist of EM's Corporate Performance Measures and Management Commitment milestones for the execution year. The commitments are tailored to individual Operations/Field Offices and provide a balanced approach to determining critical program expectations and for assessing EM's progress towards meeting key programmatic and high visibility project goals and objectives. Management Commitment information is stated in the PEM.

2.1.2 Valid List Management Process

Change Control and the EM Valid List

All data collected in IPABS-IS is based on a consistent framework of valid units of information that is maintained in the EM valid list. The EM valid list is a compilation of all valid PBSs, sub-PBSs, line item construction projects, and TTPs with associated information (e.g., B&R codes). The purpose of the EM valid list is to control the creation and modification of valid identifying information to allow for consistency across EM's major business processes. The EM valid list will ensure that data displayed and reported to IPABS-IS is consistent with data reported to other systems external to EM, such as the CFO's MARS system. Note that the EM valid list will identify which items are valid for project execution, budget formulation, lifecycle planning, and budget execution since it is likely that there will be some variation within these different business processes.

Related to project execution, the EM valid list coordinator will work closely with the EM CIO to ensure that the list reported to the CFO for reporting to MARS is consistent with the valid list

maintained in the EM Corporate Database for reporting to IPABS-IS. Changes to the EM valid list are under change control:

- Changes to the PBS List must be approved through a process that includes EM-10 (under the new EM Headquarters structure) and the appropriate Site Lead. It is important that updates to the PBS list include all fields relevant to updating the EM valid list. There is an annual update schedule in place for changes to the valid PBS list.
- Changes to the TTP list must be approved by the Office of Science and Technology and their associated point of contact in the EM Budget Office at Headquarters. Once approved, these changes will be reflected in the EM valid list with the appropriate accompanying information (e.g., Focus Area Name, OST Work Package Number, etc.)
- Changes to the sub-PBS list must be approved by the EM Budget Office and the appropriate Headquarters point of contact.
- Changes to the line item construction project list should not be required during the course of the execution year as this information is Congressionally controlled. Please bring any issues regarding the valid list of line item construction projects to the attention of the EM Budget Office immediately.

Currently, the valid list update and maintenance process is done offline and uploaded on a regular basis to IPABS-IS. The formal valid list change control process is being established and will be provided under separate cover.

2.1.3 Submittal Schedule Overview

Data Displayed Monthly

The PEM is designed to report project execution and performance measure data on a routine basis during the fiscal year. Different types of data are reported/displayed on different schedules (i.e., monthly, quarterly, or semi-annually).

The following data elements will be displayed in the PEM from other systems on a monthly basis for PBSs, sub-PBSs, line item construction projects, and TTPs:

- Preliminary Actual Cost of Work Performed (ACWP): Preliminary ACWP will be loaded into IPABS-IS on the fifth working day of each month from feeds provided from the Departmental Integrated Standardized Core Accounting System (DISCAS) at each Operations/Field Office. If an Operations/Field Office wants to see Preliminary ACWP in IPABS-IS, a process is in place for providing this information from DISCAS to the IPABS-IS database administrator through an off-line process. Providing Preliminary ACWP is optional in IPABS-IS.
- ACWP: Final ACWP will be loaded into IPABS-IS from the Departmental Management Analysis Reporting System (MARS) on the tenth working day of each month.
- All other financial data displayed in IPABS-IS (including AFP, obligations information, etc). In addition to final ACWP data, all other final financial data displayed in IPABS-IS will be loaded into IPABS-IS from MARS on the tenth working day of each month.

Data Collected Monthly

The following data will be collected in the PEM on a monthly basis for PBSs, sub-PBSs, line item construction projects, and TTPs:

- Budgeted Cost of Work Scheduled (BCWS): There are two required components of BCWS -- Original BCWS and Adjusted BCWS. Original BCWS will be provided with monthly resolution for FY 2000 as part of the first FY 2000 monthly data submission (this year on November 29, 1999) and then locked and displayed in IPABS-IS for the remainder of the fiscal year. Adjusted BCWS will be updated on a monthly basis for the reporting month and subsequent months; prior months will be locked. If there is a difference between Original BCWS and Adjusted BCWS, a narrative explanation will be required.
- DNFSB Milestone Information: DNFSB milestones will be statused monthly to support the reporting needs to the Defense Nuclear Facilities Safety Board. Additional DNFSB milestone-specific information will be required on a monthly basis as well.

**Data Collected
Quarterly**

The following data will be collected in the PEM on a quarterly basis. The specific reporting level that is required (PBS, sub-PBS, line item construction project, TTP) is indicated next to the data element:

- **Budgeted Cost of Work Performed (BCWP):** BCWP is required for TTPs, line items, and “mission PBSs,” and is optional for other PBSs and sub-PBSs. BCWP information will be reported quarterly (i.e., on the fourteenth working day after the end of the reporting quarter) by month to IPABS-IS. IPABS-IS has the capability to report monthly BCWP for those Operations/Field Offices that plan to use IPABS-IS as their internal execution tracking system, but Headquarters only requires BCWP information quarterly.
- **Variance Information:** Variance information will be calculated for line item construction projects, TTPs, and “mission PBSs” on a quarterly basis. If a variance exists for a line item construction project, a TTP, or a “mission PBS” that exceeds established thresholds, Operations/Field Offices will be directed to enter narratives to explain that variance. If an Operations/Field Office has entered BCWP for optional levels (e.g., sub-PBSs) and therefore variance information is calculated, narrative explanations of variance will be optional.
- **Milestone Status Information:** Generally, milestones required by Headquarters at the PBS and TTP levels will be statused quarterly (i.e., forecast and actual dates will be updated). DNFSB milestones will be statused monthly to support the reporting needs to the Defense Nuclear Facilities Safety Board. If there is a variance (considering applicable thresholds), Operations/Field Offices will be directed to enter narratives to explain that variance. IPABS-IS has the capability to report milestone status monthly for those Operations/Field Offices that plan to use IPABS-IS as their internal execution tracking system, but Headquarters only requires that milestones (except for DNFSB) be statused quarterly. Field-level milestones can be statused as needed in the Field.

- Projected Carryover and Projected Unobligated: These two data elements are required for PBSs, sub-PBSs, line item construction projects, and TTPs on a quarterly basis.
- Operations/Field Office and Headquarters Program Level Issues: Operations/Field Office and Headquarters Program level progress and issues statements will be collected on a quarterly basis to support the Quarterly Management Review (QMR).

**Data Collected
Semi-Annually**

The following data will be collected in the PEM on a semi-annual basis. This information is collected at the PBS level, unless otherwise noted:

- Corporate performance measure actuals for transuranic waste (TRU) high level waste (HLW), mixed low-level waste (MLLW), low-level waste (LLW), hazardous waste, remediation waste, release sites, facilities, nuclear materials, spent nuclear fuel, and technology deployments. Deployments are collected at the PBS level for the entire Operations Office (i.e., when the user selects the deployments tab in the project execution module for any PBS, the list of deployments for the entire Operations/Field Office will be displayed).

**Data Collected
Annually**

The following data will be collected in the PEM on an annual basis (year-end). This information is collected at the SSL, unless otherwise noted:

- Variance explanations for Corporate Performance Measures exceeding the reporting threshold of greater than or less than ten percent. These variances are calculated based upon any difference found between agreed upon Management Commitments for the execution year.

**PEM Deliverable
Schedule**

The dates represented in this schedule are current as of November 1, but are subject to change.

Date	Scheduled Deliverable
November 2, 1999	Project execution module (PEM) of IPABS-IS open to enter FY 1999 year-end performance measures actuals data.
November 8, 1999	PEM open to enter cost, schedule, financial, and milestone information (FY 2000).
November 12, 1999	FY 1999 year-end performance measures actuals data due to Headquarters in the PEM.
November 15, 1999	Preliminary ACWP for October loaded into IPABS-IS (if provided).
November 22, 1999	Final financial data (including ACWP) for October loaded into IPABS-IS from MARS.
November 29, 1999	Initial monthly submission to the PEM is due to Headquarters, including BCWS Original data and DNFSB milestone status.
December 7, 1999	Preliminary ACWP for November loaded into IPABS-IS (if provided).
December 14, 1999	Final financial data (including ACWP) for November loaded into IPABS-IS from MARS.
December 20, 1999	Second monthly submission to the PEM is due to Headquarters, including BCWS adjusted data and DNFSB milestone status.
January 7, 2000	Preliminary ACWP for December loaded into IPABS-IS (if provided).
January 14, 2000	Final financial data (including ACWP) for December loaded into IPABS-IS from MARS.
January 21, 2000	First quarterly (third monthly) submission to the PEM is due to Headquarters, including updates to BCWS Adjusted data, BCWP (where required), variance explanations (when required), full milestone status, and Operations/Field Office/Program progress and issues narratives.
February 7, 2000	Preliminary ACWP for January loaded into IPABS-IS (if provided).
February 14, 2000	Final financial data (including ACWP) for January loaded into IPABS-IS from MARS.
February 18, 2000	Fourth monthly submission to the PEM is due to Headquarters. First quarter QMR document complete (estimated).
March 7, 2000	Preliminary ACWP for February loaded into IPABS-IS (if provided).
March 14, 2000	Final financial data (including ACWP) for February loaded into IPABS-IS from MARS.
March 20, 2000	Fifth monthly submission to the PEM is due to Headquarters.
April 7, 2000	Preliminary ACWP for March loaded into IPABS-IS (if provided).
April 14, 2000	Final financial data (including ACWP) for March loaded into IPABS-IS from MARS.

Date	Scheduled Deliverable
April 20, 2000	Second quarterly (sixth monthly) submission to the PEM is due to Headquarters. The second quarterly submission includes all of the same data requirements as the first quarterly submission plus mid-year performance measures actuals data.
May 5, 2000	Preliminary ACWP for April loaded into IPABS-IS (if provided).
May 12, 2000	Final financial data (including ACWP) for April loaded into IPABS-IS from MARS.
May 18, 2000	Seventh monthly submission to the PEM is due to Headquarters. Second quarter QMR document complete (estimated).
June 7, 2000	Preliminary ACWP for May loaded into IPABS-IS (if provided).
June 14, 2000	Final financial data (including ACWP) for May loaded into IPABS-IS from MARS.
June 20, 2000	Eighth monthly submission to the PEM is due to Headquarters.
July 10, 2000	Preliminary ACWP for June loaded into IPABS-IS (if provided).
July 17, 2000	Final financial data (including ACWP) for June loaded into IPABS-IS from MARS.
July 21, 2000	Third quarterly (ninth monthly) submission to the PEM is due to Headquarters. The second quarterly submission includes all of the same data requirements as the first quarterly submission.
August 7, 2000	Preliminary ACWP for July loaded into IPABS-IS (if provided).
August 14, 2000	Final financial data (including ACWP) for July loaded into IPABS-IS from MARS.
August 18, 2000	Tenth monthly submission to the PEM is due to Headquarters. Third quarter QMR document complete (estimated).
September 8, 2000	Preliminary ACWP for August loaded into IPABS-IS (if provided).
September 15, 2000	Final financial data (including ACWP) for August loaded into IPABS-IS from MARS.
September 21, 2000	Eleventh monthly submission to the PEM is due to Headquarters.
October 16, 2000	Preliminary ACWP for September loaded into IPABS-IS (if provided).
October 30, 2000	Final financial data (including ACWP) for September loaded into IPABS-IS from MARS.
November 3, 2000	Year-end (twelfth monthly) submission to the PEM is due to Headquarters. The year-end submission includes all of the same data requirements as the first quarterly submission plus year-end performance measures actuals data and associated variance explanations.
December 1, 2000	Year-end QMR document complete (estimated)

2.1.4 Interrelationships with Other Modules

The Project Execution Module of IPABS-IS is consistent with EM's integrated approach to data collection, maintenance, and reporting. In keeping with the philosophy that Headquarters will not collect the same data element more than once, data that are entered in another module of IPABS-IS (i.e., planning or budget) and are needed for viewing in the PEM are displayed from their "home" modules. Such interrelationships include:

- The milestone list and associated characteristics (including planned completion date) displayed at the PBS level in the PEM for statusing during the execution year are displayed from the milestone information entered for that same PBS in the planning module. Any additions or other changes to the milestone list, whether during the annual life-cycle planning update or during the execution year, must be made in the planning module.
- Operations/Field Offices provide performance measure actuals for the execution year in the PEM. Alongside the fields in the PEM used to enter actual quantities/dates for each measure at the PBS level, the PEM will display planning-level quantities/dates entered for the execution year from the planning module and budget-level quantities/dates entered for the execution year from the budget module. In addition, release sites, facilities, and deployments can only be added in the planning module for statusing in the execution module. These relationships will aid in data entry and ensure consistency across business processes. See Attachment O for performance measures definitions.

3.0 Fall Budget Formulation Module

3.1 Policy and Topical Guidance

3.1.1 Overall Description and Purpose

The purpose of Chapter three of the integrated guidance package is to provide the Office of Environmental Management's (EM's) policies and procedures that are necessary to support the FY 2001 Congressional Budget Request data submittal this fall. In addition, Chapter three provides instructions for how to enter BA, performance measures, and milestone data required to support the FY 2001 Congressional Budget Request. Data to support the FY 2000 Congressional Request was entered last fall into the Budget Data Template. This year, data to support the FY 2001 Congressional Budget Request will be entered into the Fall Budget Formulation Module of IPABS-IS.

In the FY 2001 Congressional Budget Request, the PBS budget and performance information will be presented within the context of the life-cycle cost and performance estimates to demonstrate quantifiable progress against EM's life-cycle estimates. The FY 2001 Congressional Budget Request will also include summary – level information and crosscut data to clearly demonstrate EM's performance against its *Accelerating Cleanup: Paths to Closure* goals and objectives. This approach is consistent with the intent and requirements of the Government Performance and Results Act (GPRA) and will enable EM to clearly articulate the tangible results that can be obtained for the resources requested.

EM conducts two primary updates to the Corporate Database each year – one in the spring and one in the fall – in addition to regular updates to project execution data during the current year. The spring update includes the Field's initial budget submittal and the full annual update to EM's life-cycle planning information and stream disposition data. The fall update refines the budget in preparation for delivery to Congress. As of the beginning of FY 2000, all of these updates will be done through IPABS-IS.

The data collected in the Fall Budget Formulation Module that is used to support the Congressional Budget Request is called the Limited Fall Update. The following data are collected in the Fall Budget Formulation Module during the Limited Fall Update:

- FY 2001 auditable PBS-level BA information based on targets articulated in the OMB passback. Note that FY 1999 auditable PBS-level information will be seeded from the final AFP and FY 2000 auditable PBS-level information will be seeded from the adjusted appropriation and both will be locked.
- FY 1999, FY 2000, and FY 2001 BA crosscut information by category and subcategory.
- FY 2000 and FY 2001 target-level performance measures quantities. FY 1999 year-end performance measures quantities were collected in the PEM in November 1999 and are locked in the Fall Budget Formulation Module (See Chapter two of the integrated guidance package for additional information on year-end performance measures actuals).
- FY 2000 and FY 2001 Budget and FY 2000 Management Commitment milestones.

Also, during the Limited Fall Update, Operations/Field Offices are required to make changes to their release site and facility data consistent with the discussions on the conference calls that Headquarters had with each Operations/Field Office. All changes will be made in the Planning module at the Geographic Site level (release site maintenance or facility maintenance tabs, as appropriate – see Chapter 4 for guidance on how to access and update data on these tabs). Changes to the lists of release sites and facilities will be limited to the following PREVIOUSLY AGREED UPON changes:

- Associating release sites or facilities with PBSs where there currently is no link.
- Deleting duplicate release sites or facilities.
- Adding release sites or facilities.

Operations/Field Offices will also be able to add release sites or facilities to support the FY 2001 Congressional Budget Request.

NOTE that only those changes agreed to on these conference calls or changes that impact the FY 2001 Congressional Budget Request can be made at this time.

The remainder of this chapter provides specific policy guidance and instructions for entering data into the Fall Budget Formulation Module.

3.1.2 Budget Formulation Process

Each budget request that EM submits to Congress contains detailed BA and performance information for a three-year window consisting of the budget year, the current year, and the prior year. Data for each of these three years become available through distinct processes, as outlined below:

Budget Year: EM's performance-based budget formulation process is initiated each spring when Operations/Field Offices and Headquarters submit required data to support their initial estimates of "budget year" funding requirements (references to "budget year" in this section refer to the FY 2001 formulation year). These estimates are refined throughout the summer to reflect EM and Departmental decisions. In early fall, the Secretary of Energy makes final budget decisions for the "budget year" and approves the budget for submittal to the Office of Management and Budget (OMB). After OMB reviews the Departmental budget request, comments and required adjustments prior to submitting the Congressional Budget are transmitted to EM in the "OMB Passback," which is received each year in late November/early December. Based on information received in the OMB Passback, Operations/Field Offices revise their "budget year" BA and performance data by PBS during the Limited Fall Update for transmission to Congress in early February.

Current Year: At the same time that the Field is preparing their initial "budget year" request in the spring, Congress is evaluating EM's proposed budget for the "current year" budget request (references to "current year" in this section refer to FY 2000). Final decisions on the "current year" budget request are enacted in appropriations legislation, generally prior to the start of the fiscal year under consideration. Once the appropriations legislation is enacted, EM must establish initial funding allocations and associated performance goals for the execution year based on the provisions and Congressional controls contained in the appropriations legislation. Because this "current year" information is included in EM's "budget year" request, it must be finalized prior to the submission of the "budget year" request to Congress in February.

Prior Year: EM will have completed the execution of the "prior year" by the time the "budget year" budget is submitted to Congress (references to "prior year" in this section refer to FY 1999). The final allocation of "prior year" appropriations and

actual progress against the “prior year” performance goals are reported by Operations/Field Offices and included in the EM "budget year" request. As a result, this information must be finalized and reported prior to the submission of the "budget year" request to Congress in February.

3.1.3 Schedule

The Limited Fall Update is conducted during a short period of time between the time that EM receives the OMB passback and several weeks prior to the point when the Departmental budget request is due to Congress. The following schedule is in place to conduct this update:

Date	Scheduled Deliverable
November 12, 1999	FY 1999 Performance Measure Actuals Completed
November 30, 1999	FY 2000 Allocation Memos to Field Offices
December 3, 1999	FY 2000 B/A markup by PBS provided by Field
December 6, 1999 (Tentative)	FY 2001 OMB Pass-back
December 15, 1999	FY 2001 Limited Fall Update Guidance Issued to Field
December 15, 1999 – January 7, 2000	FY 2001 Fall Budget Formulation Module On Line
December 15, 1999 – January 7, 2000	FY 2000/2001 Measures Completed
December 15, 1999 – January 7, 2000	FY 1999/2000/2001 B/A distribution by Category/Subcategory Completed
December 10, 1999	FY 2000 B/A by PBS seeded into IPABS-IS
December 21, 1999 (Tentative)	FY 2001 Allocations Finalized and Forwarded to Field Offices
December 28, 1999 (Tentative)	FY 2001 B/A markup by PBS provided by Field
December 30, 1999 (Tentative)	FY 2001 B/A by PBS seeded into IPABS-IS
January 7, 2000	FY 2001 Fall Budget Data Finalized and Submitted by Field
January 14, 2000	Field and Headquarters approved FY 2001 Fall Budget Update data due with review comments incorporated
Early February 2000	EM-1/Field Manager Management Commitments finalized

3.1.4 The EM Budget Structure and Control Levels

EM must request and spend budget authority appropriated by Congress in a manner that is consistent with the requirements established by the Administration, Congress, and current law. The EM budget is divided into distinct appropriation and program accounts that are subject to specific constraints. Other control and reporting levels have been established by the Department and EM (e.g., Operations/Field Office allocations, Project Baseline Summary (PBS) allocations, etc.) to ensure compliance with decisions instituted as a result of EM and Departmental Corporate Review Board (CRB) deliberations.

Each PBS is assigned to only one appropriation account and one program account to ensure that EM can comply with the information requirements associated with its control and reporting levels. Fiscal Year 1999 funding levels for control and reporting levels specific to the FY 2001 Congressional Budget are based on the final FY 1999 AFP. FY 2000 funding allocations were provided to the field via memorandum on November 30, 1999. FY 2001 funding levels by Operations/Field Office will be provided as soon after the OMB Passback is received as they are available. Funding targets will be located in Attachment P as soon as they are available.

3.1.4.1 Appropriation Accounts

EM requests funding under five separate appropriations accounts: Defense Environmental Restoration and Waste Management, Defense Facilities Closure Projects, Defense Environmental Management Privatization, Non-Defense Environmental Management, and Uranium Enrichment Decontamination and Decommissioning Fund. Appropriation accounts are established by Congress and are subject to constraints prescribed by the authorization and appropriations committees. For this reason, detailed budget authority and performance measure information must be provided by appropriation account to ensure that committee member and staff inquiries can be accommodated. Once enacted, movement of funding between appropriation accounts is prohibited without a Congressionally-approved Appropriation Transfer. Accordingly, appropriation account totals are not subject to change as part of this update.

3.1.4.2 Program Accounts

Some appropriation accounts are further divided into program accounts (i.e., Site Closure, Site/Project Completion, Post 2006 Completion, Program Direction, and/or Science and Technology). These program accounts are identified in the Conference report that accompanies the appropriation bill and constitute Congressional obligational control levels. A reprogramming is required to move funding between program accounts or specific line-item construction projects. Operations/Field Offices will not be permitted to deviate from the assigned program account control levels indicated in Attachment P.

3.1.4.3 Operations/Field Offices

The Operations/Field Office allocations, within each appropriation account and program account, represent EM internal control points. The sum of Operations/Field Office funding allocated to the Project Baseline Summaries (PBSs) within each appropriation and program account must equal the funding levels identified in Attachment P. Fiscal Year 1999 BA will be controlled at the PBS level. FY 2000 BA will be controlled at the PBS level once final allocations are received back from the Field (based on the November 30, 1999 memoranda distributed to Operations/Field Offices). Prior to submittal of the FY 2001 Congressional Budget, FY 2001 funding allocations will be controlled at the Operations/Field Office and appropriation level. Upon submittal, FY 2001 will be controlled at the PBS level.

3.1.4.4 Project Baseline Summaries (PBSs)

Operations/Field Offices prepared PBSs to summarize and describe the scope and requirements of discrete projects. The PBSs serve as the basic building blocks of the budget. Operations/Field Offices will use the IPABS-IS Fall Budget Formulation Module to verify, and adjust where permitted (if necessary), the BA request and performance measures associated with each PBS for FY 1999, FY 2000, and FY 2001 to support the preparation of the FY 2001 Congressional Budget Request.

FY 1999 funding allocations will be controlled at the PBS level. The funding distribution by PBS is based on the distribution contained in the FY 1999 September (final) AFP. Because budget

requests reflect BA and the AFP reflects the overall funds available to obligate or expend, the AFP had to be adjusted somewhat to show only the BA portion. As such, AFP changes involving prior year funding have been removed; restored unobligated carryover has been removed; and prior year balances used for uncosted offset or reprogrammings were restored to ensure that the distribution is consistent with the final FY 1999 Approved Funding Program (AFP) Plan.

FY 2000 funding allocations will be based on the Field distribution by PBS pursuant to the November 30, 1999 memoranda. Once FY 2000 funding allocations by PBS are provided by the Field and seeded into the Budget Formulation Module, they will also be controlled at the PBS level to ensure that the budget accurately reflects values that will be used to prepare the Congressionally mandated report on PBS distributions and variances. A list of the PBSs that are valid for the formulation of the FY 2001 Congressional Budget Request is included in Attachment F.

The FY 2001 request is controlled at the Operations/Field Office and appropriations/program account level and should be broken out by PBS during the Limited Fall Update.

3.1.5 Performance Measurement

Performance measurement information is an extremely important means for justifying and defending EM's budget to OMB, Congress, and stakeholders. *Performance measurement* involves determining what to measure, identifying data collection methods, and collecting the data. Evaluation involves assessing progress toward achieving program expectations. Performance measurement and evaluation are components of performance-based management. Ultimately, performance measurement provides a path of accountability between the Department's long-term vision and the day-to-day activities of individual federal and contractor employees.

Performance measurement is mandated by the Government Performance and Results Act (GPRA) of 1993 and is central to other legislation and Administration initiatives. EM uses performance measures to help justify the program and its costs, provide measurable results to demonstrate progress towards strategic goals and objectives, evaluate results, identify areas needing attention, and determine opportunities for improvement, and establish accountability for taxpayer resources.

EM will develop and implement a FY 2001 performance-based budget that clearly demonstrates the program and project results expected for the resources requested. The FY 2001 Budget Request will include EM's corporate performance measures and specific milestones for mission-oriented projects. The linkage between the projects' performance measures and milestones and EM's budget request will enable EM, Congress, and others to track, on an annual basis, EM's progress towards its commitments, as well as progress towards project and Geographic Site completion.

3.1.5.1 Corporate Performance Measurement

EM has developed specific corporate performance measures that link planning goals with the budget, program execution, and evaluation of program performance and results. These corporate performance measures focus on programmatic accomplishments and "big picture" results and provide a quantitative assessment of performance (including a counting methodology and the units to be counted). The EM corporate performance measures demonstrate tangible environmental results towards completing cleanup or achieving the intended end state at the remaining Geographic Sites. These corporate performance measures include:

- Number of release sites cleaned up;
- Volume of waste treated and disposed by waste type;
- Number of facilities decommissioned;
- Quantity of nuclear material and spent nuclear fuel stabilized and prepared for disposition;
- Number and type of alternative technology deployments.

The Field will work in partnership with their EM Headquarters Site Teams to establish challenging yet realistic performance goals for FY 2000 and FY 2001 for their corporate performance measures for each applicable project. The FY 2001 budget request will present these performance measures by PBS including the associated FY 1999 year-end results, FY 2000 performance goals based on the appropriation, and FY 2001 performance goals based on the request. These project level corporate performance measures will be set within an overall life-cycle context consistent with Accelerating Cleanup: *Paths to Closure* life-cycle planning data. The FY 2001 Budget Request will also report corporate performance measures data at various crosscut and roll-up levels.

Budget Milestones

EM collects various types of milestone information including Defense Nuclear Facility Safety Board (DNFSB), Enforceable Agreement (EA), Critical Closure Path, Project Critical, Intersite, and Decision Point milestones. These milestones describe specific events or deliverables and have dates associated with their completion. The Field will work in partnership with their Headquarters Site Teams to identify critical FY 2000 and FY 2001 “budget” milestones for mission-oriented PBSs that are reflective of core work scope. These key milestones will subsequently be reported in the FY 2001 Congressional Budget Request, in addition to the corporate performance measures.

Reporting PBS milestones in the budget is required to more fully describe planned project and program accomplishments. Currently, a significant number of EM’s projects do not have quantifiable corporate performance measures for the budget profile years either because work on the project has not yet begun; work is in progress and has not yet been completed; and/or the project is for landlord, infrastructure, or construction activities. It is therefore important that EM’s budget requests include both the corporate performance measures and key project-specific milestones to fully capture the project’s core work scope and accomplishments and justify the budget request.

3.1.5.2 FY 2000 EM Management Commitments

The Assistant Secretary for Environmental Management (EM-1) will establish FY 2000 Management Commitments with each Operations/Field Office Manager that are comprised of EM’s FY 2000 corporate performance measures and selected key project milestones. The commitments will be tailored to individual Operations/Field Offices and will provide a balanced approach to determining critical program expectations and for assessing EM’s progress toward meeting key program and project goals and objectives.

A template for EM’s FY 2000 Management Commitments is provided in Attachment Q. This template is generic and includes EM’s corporate performance measures and specific milestone types. As shown in the Attachment Q template, where applicable, the FY 2000 commitments will be set within the context of FY 1999 actual results, FY 2001 performance goals, and life-cycle goals. The final Management Commitments document for each Operations/Field Office will be tailored to display only those

corporate performance measures and project milestones applicable to each office.

The Management Commitments will be signed after EM finalizes its FY 2000 appropriation allocations to ensure that the commitments reflect necessary adjustments to the FY 2000 performance goals as a result of Congressional action.

ADJUSTMENTS TO THE OPERATIONS/FIELD OFFICES' FY 2000 MANAGEMENT COMMITMENTS WILL NOT BE PERMITTED AFTER THE FY 2001 LIMITED FALL UPDATE DATA ARE APPROVED AND "LOCKED" IN THE CORPORATE DATABASE. The expectation is that the EM-1/Operations/Field Office Manager commitments will be incorporated into managers' performance appraisals to establish accountability. The Management Commitments will be reported in EM's FY 2000 Execution Year Performance Plan to summarize EM's planned fiscal year results.

Establishing Management Commitments

The Operations/Field Offices will work in partnership with their Headquarters Site Teams to establish meaningful FY 2000 Management Commitments. The Field and EM Headquarters should discuss and reach agreement on both the FY 2000 performance measures and milestone commitments **prior** to their submittal in IPABS-IS as part of the Limited Fall update. The FY 2000 corporate performance measure commitments will be automatically rolled up from the PBS data reported in IPABS-IS. The Field will identify management commitment milestones in IPABS-IS by accessing the milestones from the "Planning" module of IPABS-IS and "tagging" the milestone(s) as commitment(s). After the Field's FY 2000 and FY 2001 data are submitted in IPABS-IS, EM Headquarters (EM-10) will generate a Management Commitments document for each Operations/Field Office that is based on the Field's Limited Fall update data submittal. EM-10 will distribute the Management Commitment documents to the Site Teams and to the Field concurrently to facilitate the approval process.

ALL DATA FOR THE FY 2000 MANAGEMENT COMMITMENTS WILL BE BASED ON INFORMATION REPORTED IN IPABS-IS. The only exceptions are the pollution prevention commitments data that are being collected off-line by the EM Headquarters Pollution Prevention Team (EM-22). EM-22 is currently working with the Headquarters Site Teams and Field pollution prevention staff to update the pollution prevention measures for FY 2000 and FY 2001, including the: (1) limit on routine waste generated by waste type and the (2) quantity

of cleanup/ stabilization waste avoided due to pollution prevention activities.

The Operations/Field Office Management Commitments document will be concurred on by the respective Site Team Lead and DAS prior to Field Manager and EM-1 approval. The more detailed PBS corporate performance measures and milestone supporting data for the budget window years will be appended to the Management Commitments for additional information.

3.1.6 Relationship Between Data Submitted and Key Departmental Requirements

This guidance has been tailored to meet EM's near-term requirements and is consistent with EM's overall objective to fully integrate its planning and budget formulation processes. The budget and performance data that the Field submits in response to this guidance will be used to support a number of key EM and Departmental planning, budgeting, execution, and evaluation requirements in addition to the FY 2001 Congressional Budget. These include:

- DOE FY 2001 Annual Performance Plan that accompanies the FY 2001 Congressional Budget;
- FY 2000 Secretary's Performance Agreement with the President;
- EM FY 2000 Management Commitments and Execution Year Performance Plan;
- FY 2000 PBS Allocation Report to Congress due January 2000;
- FY 1999 Year-End (4th Quarter) Management Review;
- FY 1999 Accountability Report;
- Accelerating Cleanup: Paths to Closure (Spring 2000 update); and
- Deputy Secretary Monthly Management Review.

3.1.7 Roles and Responsibilities for Completing the Limited Fall Update

Operations/Field Offices' should work closely with EM Headquarters Site Team Leads, program staff, and Budget Leads to develop an accurate, timely, and complete budget submittal. Specific roles and responsibilities of EM's organizations for developing the FY 2001 budget are provided below.

The **Office of Budget** is responsible for the overall integration and coordination of all budget formulation activities and submittals of budget and performance data to support the FY 2001 Congressional Budget. As in the past, this process relies heavily upon input from the Operations/Field Offices and Headquarters program staff.

The **Operations/Field Offices** are responsible for submitting timely and accurate data, as requested. Operations/Field Offices are expected to coordinate with Headquarters program managers, Site Team Leads, Deputy Assistant Secretaries, and Office of Budget contacts, as appropriate. In addition, Operations/Field Offices are responsible for working closely with their respective EM Headquarters Site Teams throughout the Limited Fall update process to establish challenging, yet realistic FY 2000 and FY 2001 performance goals for their measures and milestones, by PBS.

The **EM Headquarters Program Staff/Site Team Leads** are responsible for working closely with their program and budget counterparts in the Field and at Headquarters to ensure that the budget and performance data reported in the FY 2001 Congressional Budget are complete and accurate. Site Team Leads should coordinate with the Office of Budget Analysts to ensure that there is full EM Headquarters agreement with the Field's proposed data (prior to its formal submittal to Headquarters, if possible). The Headquarters Site Teams are required to ensure that the performance goals the Field establishes are challenging, yet realistic (this area requires additional emphasis; in year's past some of the goals appear to have been set too low). The Site Teams are required to review the Field's performance and budget data for completeness and accuracy. This includes verifying that the Operations/Field Offices' performance quantities and estimated BA.

Operations/Field Offices should consult their respective Headquarters Points of Contact for both general and specific questions associated with this guidance.

3.2 Data Requirements for the Limited Fall Update

The Fall Budget Formulation Module enables Operations/Field Offices and Headquarters to provide data to support the FY 2001 Congressional Budget Request. Information provided in the Fall Budget Formulation Module includes budget narrative information, the proposed distribution of budget authority across PBSs and by category and subcategory, performance measure targets for what will be accomplished at the identified funding levels, Management Commitment information for FY 2000, and budget milestones for the current and budget years (FY 2000 and FY 2001, for this year).

The following updates are required in the Fall Budget Formulation Module to support the FY 2001 Congressional Request:

Budget Authority Data

Operations/Field Offices and Headquarters should review and adjust, as necessary, the FY 1999 and 2000 estimated distribution of BA by category and subcategory. Note that the "Current Allocation" audit quality PBS allocations for FY 1999 and FY 2000 are locked. This is to ensure consistency with the final FY 1999 AFP and FY 2000 Field distribution by PBS results. FY 2000 BA will be seeded and locked after it is received from the field in early December.

Operations/Field Offices and Headquarters should establish audit quality "Current Allocations" of BA for FY 2001 for each PBS such that the total by control level (appropriations and program account) is equal to the established target for the control level.

Operations/Field Offices and Headquarters should review and adjust, as necessary, the estimated distribution of BA by category and subcategory for FY 2001 to ensure that the sum of the estimates is equal to the audit quality FY 2001 "Current Allocations."

Performance Data

Operations/Field Offices will coordinate with Headquarters to provide performance measure targets for FY 2000 and FY 2001 by PBS that are challenging yet realistic. The information should be provided based on the current funding distribution.

Operations/Field Offices will identify Management Commitment milestones for FY 2000. Selection of these milestones should be coordinated with Headquarters' Site Leads and the responsible Deputy Assistant Secretary (DAS).

Budget Narratives

Operations/Field Offices will identify budget milestones for PBSs for FY 2000 and FY 2001 that reflect key work scope. These milestones, and ALL identified Management Commitment milestones for FY 2000, should be included in the narratives for the PBS.

Operations/Field Offices will make all necessary corrections to PBS narratives to accommodate programmatic changes or related funding adjustments.

4.0 Life-Cycle Planning Module

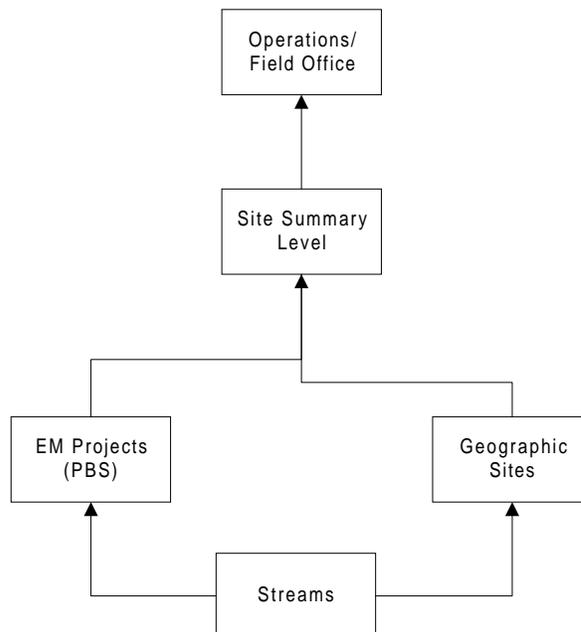
4.1 Policy and Topical Guidance

4.1.1 Overall Description and Purpose

This chapter provides overall policy and implementation information to the Operations/Field Offices and Headquarters about the Office of Environmental Management’s (EM) annual process of updating the EM life-cycle planning data. EM will use the data to support initiatives associated with planning, budgeting, performance measurement, programmatic analysis, integration, and reporting as discussed in section 4.1.3.

For the purposes of IPABS, “life-cycle” is defined as the period from 1997 to 2070. Life-cycle data for the EM program should be based on data associated with site baselines and planning estimates. The information for the near-term (i.e., through 2006) should be based on detailed data; outyear information (i.e., beyond 2006) may be less certain and based on higher-level planning assumptions, which may result in less precise cost and schedule estimates.

Life-cycle planning data is collected and/or reported at five levels (as illustrated in the figure below) including: Project Baseline Summary (PBS), Geographic Site, Stream, Site Summary, and Operations/Field Office.



PBS Level

Life-cycle planning data is collected predominantly at the PBS level. Broadly speaking, PBS-level data includes:

- General project scope and other narrative information
- Baseline validation information
- EM and non-EM estimated project costs
- Project start dates
- Mission and project completion dates
- Other milestones including enforceable agreement, management commitments, and critical closure path
- Reconciliation narrative between annual planning submissions
- Planned waste quantities (derived from SDD)
- Planned nuclear materials quantities
- Planned spent nuclear fuel quantities (derived from SDD)
- Planned release site information including assessment and completion dates
- Planned facility deactivation completion dates
- Planned facility decommissioning assessment and completion dates
- Technology title and deployment dates
- Science and Technology Technical Responses to Site Needs
- Technology needs priority and disposition
- Programmatic risk (by milestone and stream)

Because PBSs are such a critical building block of IPABS used to support planning, budgeting, and execution, the valid list is under strict change control. The approved list for this year's planning update can be found in Attachment E. This is the same list that will be used to support formulation of the FY 2002 budget.

Geographic Site Level

Data is also collected at the Geographic Site level. A Geographic Site is an area of land (or series of buildings) where EM has or is conducting cleanup work. This list is also under change control; see Attachment S for a list of Geographic Sites. The following information is approved for collection at this level.

- General site information (e.g., location, size, etc.)
- Planned completion date
- End state
- Stewardship information
- Summary of public, worker and environmental risks
- Release site list
- Facility list
- Complex-wide Type B packaging inventory

Stream Disposition Data

A special level of data collection under each Geographic Site is the stream level. Stream Disposition Data (SDD) are associated with tracking contaminated media, waste and materials, and spent nuclear fuel from their current locations to their final disposition. Information about stream inventories, generation rates, disposition, transportation needs, radiological/chemical constituents, programmatic risk, critical path, and milestones are collected as part of SDD. Stream disposition data are considered an integral part of the life-cycle planning data but are of sufficient complexity that SDD are addressed in their own chapter, Chapter 5. SDD are not only associated with Geographic Sites but are also linked back to PBSs. By associating streams with specific PBSs, the tie of SDD to other baseline planning information (e.g., performance metrics) is accomplished. Attachment C provides the method by which SDD are rolled up into PBSs for developing planning quantities for EM corporate performance measures.

Site Summary Level

Some information is collected for efficiency reasons at the Site Summary Level (SSL). The SSL is a level of data collection and reporting that represents one or many Geographic Sites organized into logical groupings for the purposes of simplifying certain data requests. For example, INEEL is both a Geographic Site and a SSL; however, Sandia National Laboratory (SNL) is a SSL with two Geographic Sites, SNL-NM and SNL-CA. All projects map into one and only one SSL (Note: Projects do not necessarily map into one and only one Geographic Site). This accommodates some very small sites (such as the Nevada Offsites) where it is not logical to break work across sites into different projects. The following data are collected at the SSL level:

- Safety and health narratives
- EM cost by crosscut category
- Regulatory agreements
- High-level reconciliation narrative explaining differences between annual planning submissions
- Cost estimates for cleanup of excess facilities

Operations/Field Office Level

In addition, data can be collected at the Operations/Field Office level. In past years, the Operations/Field Office level has been used on a limited basis as a data collection level. This year there are no plans to collect data at this level. However, all PBS, Geographic Site, or SSL data can be rolled up to an Operations/Field Office level for reporting.

4.1.2 Schedule

Date	Scheduled Deliverable
December 1, 1999	Last day for approval of proposed PBS structural changes.
December 23, 1999	Life-cycle Planning Module online. Guidance available.
	Stream Disposition Data online as part of Planning Module. Guidance available.
January 31, 2000	Focus Areas provide Technical Responses to Site Needs
March 1, 2000	Initial Field approved Stream Disposition Data due.
March 15, 2000	Initial Field approved Life-cycle Planning data due.
March 31, 2000	Field and Headquarters approved Stream Disposition Data due with review comments incorporated.
April 14, 2000	Field and Headquarters approved Life-cycle Planning data due with review comments incorporated.
	Worksheet with life-cycle implications of at-target funding and initiatives to close the gap due

4.1.3 Uses for the Data

This section summarizes the uses of life-cycle planning data that EM is collecting. The following categories broadly describe how EM uses this data:

- Planning, integration, communication, and summarization
- Budget formulation and justification
- Performance measurement
- Program management and evaluation
- Science and technology investment prioritization, integration, and analysis

Planning, Integration, Communication, and Summarization

Paths to Closure: The DOE Strategic Plan and regulatory, technical, stakeholder and Tribal Nation requirements drive EM planning. Data collected in IPABS-IS is also used to support EM's *Paths to Closure* initiative. *Paths to Closure* is EM's blueprint for planning the completion of all cleanup work in a safe, cost-

effective, and compliant fashion. It serves numerous purposes including:

- to articulate the baseline component of life-cycle cost, scope, and schedule to complete the mission of the EM program and identify and discuss uncertainties associated with this estimate;
- to provide a life-cycle planning profile in the development of annual budgets;
- to focus on the near-term goals and management challenges of EM;
- to discuss prior year progress in the context of what was planned;
- to explain the interrelationships between activities and initiatives at EM Headquarters and Field; and
- to provide information that enables EM to identify, analyze, and resolve challenges on a multi-year basis.

Analyzing Complex-Wide Integration Opportunities: Stream-level data and other planning information like critical closure paths and programmatic risk scores are critical in supporting EM Integration efforts to identify and evaluate opportunities to optimize resources and maintain EM's program objectives. The integration process has identified a list of opportunities that could be pursued to overcome barriers and enable disposition paths, and reduce outyear costs.

Analyzing Program and Policy Alternatives and Regulatory Impacts: EM will use life-cycle planning data to evaluate differences between the baseline requirements and the current budget level in the projected funding levels for the program. EM will use data directly from the life-cycle planning module to articulate the full requirements for EM in order to contrast them with the assumed budget levels.

Transportation: EM uses data on inter-site transfer volumes and schedules, together with data on DOT material classifications, packaging requirements, etc. to ensure the availability of appropriate shipping containers and development of comprehensive integrated transportation schedules for all transportation corridors. These data will help ensure that transportation does not become a barrier to integration and/or to site EM mission completion activities.

Communicating EM Progress, Status, and Plans: In numerous documents and products, EM uses life-cycle planning data in order to articulate the scope, cost, and schedule of the EM program. The

life-cycle planning data are the source to answer Congressional inquiries, to communicate with key stakeholder organizations such as the National Governors' Association, and to prepare other products for external dissemination.

Supporting Technical Information Management at

Headquarters: EM Headquarters routinely requires detailed technical information for the purposes of program analysis and reporting. Technical detail may include knowing that Geographic Sites have groundwater contaminated with specific volatile organic compounds or what the total activity level (in Curies) of radioactive contaminants are at a specific site. Whether to address an inquiry from a special interest group, an oversight agency, Congress, or a Headquarters Program Manager, the life-cycle planning data often contains sufficient information to respond to the inquiry.

Central Internet Database: As part of the Programmatic Environmental Impact Statement (PEIS) settlement agreement, the Department agreed to provide information on waste, materials, facilities, and contaminated media. EM's contribution to this dataset will be provided primarily through data associated with SDD requirements discussed in Chapter 5.

Budget Formulation and Justification

Life-cycle planning data are the starting point for budget formulation and are used throughout the budget cycle. The data provide the context within which budgets are developed and work is prioritized and executed. Life-cycle data will be reported in the FY 2001 Congressional Budget for reference purposes. The initial BA formulation and metric data for FY 2002, provided by the Operations/Field Office in response to this guidance should be prepared based on the updated planning information. The life-cycle cost, scope, and schedule for FY 2002 should represent the full requirements case used as part of the budget formulation process. In other words, the baseline estimates for FY 2002 should be consistent with the full requirements case in the budget (see section 4.1.4).

Performance Measurement

PBSs contain project performance information, including planned and actual costs, milestone dates, and performance measures. The life-cycle planning information provides a life-cycle context as well as planned annual performance measures. The life-cycle planning data provides a reference point to evaluate planned performance measures against the amount targeted with the budget. Through the collection of actuals in the execution module (see Chapter 2 for more information), EM can compare the

execution year data to budget targets and planning estimates. EM reports the status of evaluation information in the PBS either monthly, quarterly, or semiannually, depending on the type of data being reported (see Chapter 2). Performance measures are linked to life-cycle objectives and are used to support a number of EM reporting requirements.

Program Management and Evaluation

For the execution year, Headquarters will receive relevant status information from the Operations/Field Office that includes cost performance, schedule performance (milestones completed), and a list of major issues/concerns. This routine reporting of project tracking, prioritization of issues, closure analysis, and variance evaluation is important to address issues in the life-cycle planning context.

Routine reporting will also allow Headquarters management to track key milestones (e.g., those on the critical path, enforceable agreement milestones, etc.). Along with routine interactions between Headquarters and the sites, data collected in IPABS-IS will enable EM to identify cost and schedule problems and manage uncertainties associated with specific projects. This will be accomplished through the evaluation of programmatic risk attributes that have been identified and associated with waste and material streams and selected milestones (i.e., those on the critical path) to further enhance the focus on potential cost growth and/or schedule delays for these activities and/or projects.

Science and Technology Development

EM will use the *Paths to Closure* Science and Technology data to improve and measure the impact of EM's science and technology investments as described in the following processes:

Validate site needs and technical responses: Field Office STCGs coordinate the generation of science and technology needs which are articulated in the Site Need Statements. A pick list of site needs is provided to IPABS-IS to facilitate data entry within the PBS structures. Site needs are only valid when entered into the PBS structure. If an existing site need is no longer valid, the system will allow the user to disassociate it from the corresponding project.

Focus Areas develop and generate technical responses to solve the problems described in the needs statements. TMS provides a pick list to IPABS-IS to facilitate data entry. PBS managers validate the technical responses and evaluate their responsiveness by including these responses and their assessment in their PBS.

Prioritize investments in science and technology: EM uses the validated needs and technical responses, as well as other planning information, to prioritize the OST budget. Data in IPABS-IS will be used in the Work Package Ranking System (WPRS). The WPRS, which forms the prioritization based on:

- PBS linkages of technical responses to site need
- Planned deployments
- Technology programmatic risk
- Potential cost savings as reported in needs statements

Identify technical gaps and potential benefits: PBS managers, in conjunction with TPOs and STCGs, associate site needs with technical responses, milestones, and stream disposition data within the PBS structure. The medium to high technical risk activities identify where technical gaps exist in the cleanup process. Analysis of the gaps allows EM to plan science and technology investments that will have the greatest impacts on cost and schedule.

Establish a baseline for corporate performance measures: The PBS manager is asked to identify future technology deployments (potential or committed) and to confirm actual deployments for the previous fiscal year as a corporate performance measure. While the implementation plan for the corporate performance measure is still under discussion, the proposed method for data collection is reflected in the current set of data elements and functional requirements.

4.1.4 Assumptions/Basis for Life-Cycle Planning Estimate

Operations/Field Office life-cycle planning data submitted to Headquarters should be based upon the following complex-wide planning assumptions:

Compliance

The Department places a high priority on compliance with environmental laws, regulations, agreements, standards, nuclear safety rules, and other applicable requirements. In completing PBSs and other planning information, Operations/Field Offices must identify regulatory drivers for each EM project. Also, PBSs must include all significant enforceable agreement milestones and DNFSB milestones. And, as part of the FY 2002 budget formulation process, each Operations/Field Office must tie FY 2002 BA to compliance drivers in its IPL (see Chapter 6).

Public, Worker, and Environmental Risk

EM's policies include ensuring the safety and health of workers and reducing risks to the public and the environment.

Accordingly, site baselines and *Paths to Closure* documents should be developed consistent with the statement "do work safely or don't do it." Hazard management is an integral part of setting priorities, sequencing project work, and measuring progress.

Assumed Funding Levels to Support Development of Life-Cycle Estimate

The baselines should be prepared with the funding assumption that they should not exceed the FY 2002 target level plus ten percent in any year. It is recognized that in some instances this level may need to be exceeded due to compliance requirements and agreements. If the planning request in FY 2002 exceeds the FY 2002 target level, Operations/Field Offices must submit programmatic options that would allow the FY 2002 planning case to be made consistent with the FY 2002 target level. The options should be provided in narrative form. Examples of options to bring baselines in line with the FY 2002 target level include re-sequencing of work, scope changes, adjustments to commitments, or schedule optimization. If baselines in the outyears (particularly FY 2003- FY 2006) exceed the target due to compliance requirements and agreements in any year by more than 10%, the Operations/Field Office will need to provide options for bringing their outyear baselines in line with a level no more than 10% greater than their target.

ENVIRONMENTAL MANAGEMENT FY 2002 Budget Targets (Dollars in Thousands)	
<i>Operations/Field Office</i>	<i>FY 2002 Budget Targets</i>
Albuquerque	217,163
Carlsbad	194,498
Chicago	38,827
Idaho	451,259
Nevada	90,212
Oakland	86,482
Oak Ridge	620,050
Ohio	524,975
Richland	726,280
Office of River Protection	382,139
Rocky Flats	664,675
Savannah River	1,266,884
Multi-Site	47,000
Science and Technology	208,548
EH Health Studies	0
Program Direction	359,888

ENVIRONMENTAL MANAGEMENT FY 2002 Budget Targets (Dollars in Thousands)	
<i>Operations/Field Office</i>	<i>FY 2002 Budget Targets</i>
Ur/Th Reimbursement	30,000
D&D Fund Contribution	420,000
Prog. Dir. Reprog. Sources	0
Idaho TMI Reprog. Sources	0
FFTF Reprog. Sources	0
Subtotal	\$6,328,880
D&D Fund Offset	(420,000)
Uncosted (Defense)	(106,017)
Total, EM Traditional Budget Authority	\$5,802,863
Total, EM Privatization	\$600,000
Grand Total, EM	\$6,402,863

Quality of the Estimates

EM realizes that estimates in the near-term (i.e., through 2006) are of higher quality than the longer-range planning estimates for the outyears (i.e., beyond 2006). The level of detail needed for these estimates is summarized in Attachment T.

Site Completion

EM assumes a Geographic Site is “complete” when:

- Deactivation and decommissioning of all facilities currently in the EM program have been completed, excluding any long-term surveillance and maintenance (LTS&M).
- All releases to the environment have been cleaned up in accordance with agreed-upon cleanup standards.
- Groundwater contamination has been contained, or long-term treatment or monitoring is in place.
- Nuclear material and spent fuel have been stabilized and/or placed in safe long-term storage.
- “Legacy” waste (i.e., waste produced by past nuclear weapons production activities with the exception of high-level waste) has been disposed of in an approved manner.

This definition does not imply that EM or DOE is leaving the site when the defined criteria are met. Nor does this definition preclude future uses for sites. Life-cycle data and associated PBSs should include appropriate EM planning assumptions and cost estimates for LTS&M, groundwater treatment, and long-term storage/disposal activities at sites when those activities extend beyond the EM Geographic Site completion date. This

information should be captured in the appropriate PBS prior to Geographic Site completion. After site completion is achieved, these costs should transfer to the post-closure PBS for stewardship.

Stewardship and Long-term Surveillance and Maintenance (LTS&M)

There are several initiatives in place associated with long-term stewardship at EM sites. DOE is preparing a report on long-term stewardship initiative as mandated by the National Defense Authorization Act (NDAA) of 1999. EM plans to maintain the approved IPABS stewardship data requirements; however, in order to support this initiative, most stewardship data, including data previously collected in the Geographic Site tab in IPABS-IS, will be updated in a one-time data call. The data collected in the NDAA data call will be considered part of the EM Corporate Database. Data requirements for this initiative are currently being developed, with specific guidance to be issued in parallel to this guidance under separate cover. The information provided in the one-time data call must be consistent with life-cycle planning assumptions including completion definitions, completion dates, end states, assumed landlord responsibilities, and estimated stewardship costs.

Cost and schedule estimates for LTS&M will continue to be collected within a PBS and identified as such in the SSL crosscut in the year of occurrence.

Each site that plans on managing its own stewardship activities and not giving those responsibilities to another entity must differentiate between “cleanup” costs and stewardship costs by creating a post-site completion PBS for stewardship. The stewardship PBS will collect costs associated with stewardship once site completion has been achieved (see definition above). Sites must provide a scope and cost estimate for stewardship activities in this PBS from site completion through 2070 except where there is a sound basis for not including these costs (e.g., the site transfers to a private owner) or a sound basis for terminating those costs before 2070 (e.g., monitoring is required only for 30 years post-site completion).

When the site is complete, all post-closure costs should be in one stewardship PBS. Stewardship costs in PBSs prior to site completion can remain in that PBS. All stewardship costs (both pre and post site completion) should be identified as part of the SSL LTS&M crosscut cost category. All PBS stewardship data should be consistent with the data in the stewardship (NDAA) call.

PBS Mission Completion

A PBS achieves its mission completion date when it meets the same criteria used for site completion above.

PBS Overall Completion

A PBS achieves overall completion in the last year in which costs are estimated to occur. The PBS completion date can occur after the PBS mission completion date if the PBS contains LTS&M or other types of closeout costs. However, at site completion, these costs should transfer to the post-closure stewardship PBS.

End States

Life-cycle planning data should be based on the best available end state (or end point) assumptions for each Geographic Site that are available at this time. However, decisions about end states and cleanup approaches to achieve those end states will ultimately be made in accordance with the requirements of CERCLA, RCRA, and other applicable statutes and may differ from the assumptions described in this document. At sites where significant differences could exist between the planning end state and the ultimate end state, Headquarters may request (outside of IPABS-IS) an order of magnitude estimate of the costs to reach a range of alternate end states. Of particular interest is the estimated cost to deactivate and decommission the gaseous diffusion plants at Portsmouth and Paducah, and the estimated costs to decommission the major facilities (e.g., the canyons) at Savannah River.

Program Direction

Headquarters will report costs associated with Program Direction in a separate PBS. Although sites may track Program Direction costs in their project control systems, sites should not develop a PBS for Program Direction.

Privatization

For this update, Operations/Field Offices should not report BA above their targets for any new privatization projects. BA for approved, pre-existing privatization projects must be included in each Operations/Field Office BA submittal and is permitted to exceed the target funding level in the near term. Baseline cost estimates for privatization projects should reflect outlays. Outlays for existing privatization projects must be included in Operations/Field Office baselines and consequently in a PBS. For privatization projects, baseline estimated cost should reflect the estimated outlay profile for the project.

**Baseline Costs/
Escalation**

Baseline costs are found in two places: at the PBS level and at the SSL by category (e.g., landlord, remediation, etc). Baseline costs can be reported in either current or constant dollars based on an established agreement with HQ. The CIO requested each site identify their preference for current or constant dollars. This choice cannot be changed once an agreement is reached. The escalation rate, as specified by OMB, will be provided under separate cover. The PBS will automatically calculate baseline

costs in either constant or current dollars based on the escalation rate and the types of dollars entered into the system.

Facilities

PBSs should include all facilities currently in the EM program. This facility estimate should include all active facilities as well as inactive or “excess” facilities presently in EM’s inventory.

Although EM has generally not accepted additional excess facilities from other DOE programs in the past few years, transfers of excess contaminated facilities are expected to commence starting in FY 2002, consistent with the *DOE Order 430.1A, Life Cycle Asset Management*. EM is currently working with other DOE programs to evaluate facilities proposed for transfer in FY 2002 and to negotiate the terms of the transfer, which includes the transfer of funding to maintain the facility in a safe and stable condition. In developing the facilities estimate, Operations/Field Offices should assume that EM will maintain a stable scope of facilities through FY 2002. If agreements have been reached to transfer specific facilities as of the date of the data submission, the facility estimate should include these additional facilities starting from the year of transfer.

In addition, each Operations/Field Office must provide an order of magnitude estimate of the potential financial liability posed by the future transfer of additional excess facilities (i.e., those not in the baseline) and describe the basis of the estimate in the narrative, including a listing of the major facilities that are included. This estimate should include all facilities not in the EM inventory that are currently excess or projected to be excess as of the date of the data submittal. This estimate should not be part of a PBS, rather, it should be provided separately in the SSL and represents costs above the baseline estimates.

Enhanced Performance

Baselines should not include enhanced performance assumptions that the site has not yet found a way to achieve.

Newly Generated Waste Costs

If newly generated waste costs have been included in a site baseline, the site must identify those costs in the PBS. The waste management costs associated with newly generated waste must be separated from costs associated with legacy waste and waste generated as part of the cleanup program in the PBS. This will be required whether the costs were actually incurred by EM or are expected to be transferred to the generating program. It is EM’s goal to transfer financial responsibility for newly generated wastes to the generating program as soon as possible. Once responsibility has been transferred, the target level of funding for that project is

no longer available for EM to request, effectively reducing the target. This reduction in funding target occurs because EM assumes that as financial responsibility for newly generated waste transfers to generator programs, corresponding EM budget target funding also transfer. Regardless of the transfer strategy, *Paths to Closure* will not include newly generated waste management costs associated with operating DOE facilities in the life-cycle completion estimate.

Non-EM Costs

Operations/Field Offices should explicitly identify in each PBS any estimated costs in their baselines that they expect another entity to pay (e.g., other DOE program office, state, private corporation). This applies to both newly generated waste costs and other costs not expected to be EM's responsibility.

Involvement of Tribal Nations, State and Local Government Officials, Regulators, and Stakeholders

Consistent with the Department's Public Participation Policy (DOE Policy 1210.1) and EM's Public Participation Policy of May 1, 1995, Tribal Nations, state and local government officials, regulators, and stakeholders should be afforded ample opportunities for substantive involvement in each phase of the development of each Operations/Field Office's FY 2002 budget and life-cycle planning submittal. Accordingly, sites should engage Tribal Nations, state and local government officials, regulators, and stakeholders throughout the development of life-cycle data and the FY 2002 budget formulation processes. In addition, Tribal Nations, state and local government officials, regulators, and stakeholders should be afforded the opportunity to participate in the development of future site *Paths to Closure* reports.

Waste Isolation Pilot Plant

The Waste Isolation Pilot Plant opened on March 26, 1999 to dispose non-mixed transuranic (TRU) waste and received a RCRA permit from the State of New Mexico on October 27, 1999 to dispose of mixed TRU waste.

Internal Controls

EM assumes that sites are continuing to comply with the Internal Control Guidelines issued in June 1999 as they prepare their life-cycle planning estimates. See Attachment U for the guidelines.

4.1.5 Interrelationships to Other Modules

Planning Data and Budget Formulation

Life-cycle planning data provides a context for budget formulation. Budget information primarily consists of new budget authority (BA) and performance goals along with narratives used in budget documentation. Budget information is consistent with targets

provided by the Department of Energy's CFO and the Office of Management and Budget (OMB).

In the formulation year, planning data will be assumed to reflect the full requirements case. This applies to dollars, schedule (i.e., milestones), and performance metrics.

Planning and budget data should also be related in the crosscut categories. More information on this is in section 4.1.6. Using the crosswalk in Attachment V, the SSL crosscut and BA crosscut should be based on similar definitions.

Planning Data and Execution

Life-cycle planning data provide a framework to compare execution data for the fiscal year with planned data. As EM closes out FY 1999 and future years, it must collect data that reflects actuals for the fiscal year (e.g., costs, BA, performance measures, etc.). The project execution section of the PBS will show how much was costed by project. Performance measures for FY 1999 will show what was planned, what was set as a target in the budget, and what was actually accomplished. Milestone information will also show what was planned and accomplished as reflected in the PBS. BA and cost may differ for definitional reasons, but both relate to the scope of work that was accomplished in FY 1999 and future years. The actuals can be compared to the planning baselines as well as budget targets.

Planning Data and SDD

Stream data are an important component of the life-cycle planning data; they document the life-cycle plans for the disposition of contaminated media, waste, and spent nuclear fuel. Therefore, all cost, scope, and schedule data in a PBS must be consistent with SDD. Also, streams are associated with specific PBSs, which ties SDD to other baseline planning information including performance metrics. SDD form the basis for performance measures in the baseline. Attachment C provides the method by which SDD are rolled up into PBSs for developing planning quantities for EM corporate performance measures.

4.1.6 Changes and Areas for Improvement Relative to Last Year

Current and Constant Dollars

IPABS-IS will now incorporate a site's preference of current or constant dollars by allowing sites to choose current versus constant dollars to report future life-cycle planning data both at the PBS and SSL level. However, once sites have picked a method, the selection cannot be changed. The system will convert the

estimates to current or constant dollars (whichever is not provided) using escalation rates.

BA and SSL Categories

There should be a relationship between BA cost categories in the three-year budget window and SSL costs for those same years. The relationship is based on a clear mapping of BA and SSL categories that can be found in Attachment V. Reports will be available to confirm this relationship.

Reconciliation

Sites should explain in narrative form the reason for life-cycle cost changes from last year's submission to this year's submission. The reconciliation narrative will be collected at two levels: the SSL and the PBS. The SSL level narrative should broadly describe the overall difference in cost, scope, and schedule. The PBS by PBS narrative should discuss changes in cost, scope, and schedule on the PBS level. If the PBS is new, the site should explain in the narrative whether the PBS is based on new scope or is the result of the transfer of work from another PBS. If the PBS is now inactive (but was active last year), the narrative should describe whether the scope and costs went away or were incorporated into another PBS.

Stewardship

Stewardship data are collected at three levels: the Geographic Site, the SSL, and the PBS level. Geographic Site level information is being collected in a one-time only stewardship data call. Therefore, IPABS-IS will deactivate the Geographic Site tab in the planning module.

Data will still be collected in IPABS-IS at the PBS and SSL level. At the PBS level, cost and schedule stewardship data will be collected. To assist in the identification of stewardship costs, all sites must create a stewardship PBS that contains those costs from site completion to 2070 (unless there is a solid basis for not doing so). In addition, all stewardship costs both pre and post closure must be reported at the SSL level so that all LTS&M costs can be easily identified. Last year we found that sites had LTS&M costs in their baseline but had not identified those costs as LTS&M at the SSL level.

Mission and Project Completion

Last year there was some confusion about the definitions of mission and project completion. Mission completion is defined as when a PBS meets the relevant criteria used for overall site completion. Project completion is defined as the last year that a PBS is funded.

This year the approach to mission and project completion is improved in two ways. First, the differences between the two are

more clearly defined (see 4.1.4) and second, the data is displayed in a more prominent method in the application. Validation routines will require sites to provide both of these milestones for all PBSs.

Newly Generated Waste

Sites should identify what portion of their baseline costs from 1997 to 2070 are associated with newly generated waste (i.e. “non-legacy” waste) activities irregardless of who is funding the activities. In addition, sites should provide their best estimate as to when responsibility for newly generated waste will transfer outside of EM by identifying those PBS costs assumed to be the responsibility of a non-EM entity.

Waste Oriented Performance Measures and SDD

Stream disposition data can be rolled up based on a series of rules to generate annual planning numbers by performance measure category by PBS (see Attachment O for categories). The planning numbers derived from SDD will display in the PBS waste and SNF tabs of the Planning Module. In the formulation year, budget-based performance measure targets for waste and SNF performance measures should be provided on the same definitional basis as those used to rollup SDD.

Science and Technology Performance Measures

EM is pursuing phased implementation of the performance measures beginning in FY 2000 through FY 2002 as the baseline data improve. They were developed with complex wide input and based on principles provided by the EM Advisory Board. The measures include:

- Number of new technologies deployed
- Number of high priority site needs that are met
- Reduction in project life-cycle cost
- Reduction in critical pathway and stream technological risk

The measures will be used to evaluate EM’s investments in science and technology and determine how effectively EM’s project managers use both the advancement of science and the availability of new technology to execute their projects. They require responsibility to be jointly shared between the organizations performing the research and development and the PBS managers. The measures drive integration and accountability and will improve the scientific underpinning and provide the technological options needed for success in our most difficult projects.

Science and Technology Data Collection

Several changes have been made to the collection of science and technology data and the associations to related data in IPABS-IS. The intent of these changes is to make the data entry process easier

for the user and for the data collected to be more useful for analysis and decision-making. Changes made are as follows.

- Site needs are no longer directly addressed by work packages but by more specific technical responses. Focus Areas develop and generate technical responses to solve the problems described in the needs statements. Related technical responses will be rolled into the work packages. Additional information on technical responses is located on the Focus Area home page.
- All SDD collected in AVS last year will now be part of the life-cycle planning module in IPABS-IS. With this change, the stream-to-need-to-technical response relationship will be made within the PBS structure. By associating a stream with a need and a technical response with a need, the inference of the technical response to the stream can then be made.

Focus Area work packages, technologies associated with work packages, and those elements associated with potential benefits (cost savings and risk reduction) are deleted from the PBS structure.

Applicable Data Fields for Different PBSs

Within the life-cycle planning module, all relevant data for your SSL/Geographic Site/project must be provided. Information that is not applicable to your project is not needed (e.g., release sites or science and technology linkages).

In general, Headquarters and National Program PBSs should provide scope narrative, cost and milestones as required. Also, the SSL crosscut is required for HQ PBSs. Similarly for stewardship PBSs, the focus should be on cost, scope, and milestones. It is likely that some science and technology linkages or needs may need to be identified as well.

4.1.7 Management Initiatives

This section outlines seven specific management initiatives EM is pursuing in order to meet its program objectives with special emphasis between FY 2000 and 2006: (1) ensure worker health and safety, (2) reduce risks to the public and the environment, (3) improve project and program management practices, (4) maximize the impact of science and technology investments on cleanup, (5) improve integration among sites, (6) focus on long-term

stewardship requirements, and (7) maintain dialogues with regulators, state and local officials, stakeholders.

Ensure Worker Health and Safety

In achieving its overall program objectives, EM will not sacrifice worker health and safety in any manner. Since its inception, the EM program has placed a high priority on achieving its mission in a manner that ensures a safe and healthy workplace. EM remains committed to its policy to “Do Work Safely, or Don’t Do It.” EM is a leader in Integrated Safety Management (ISM), an approach that incorporates safety and health concerns into project planning. Efforts will continue to focus on integration of the Department’s overall ISM system with individual projects to ensure that cross-cutting facility and worker safety and health issues are addressed in a consistent and effective manner.

Reduce Risks to the Public and the Environment

In achieving its overall program objectives, EM will ensure the appropriate reduction of risks to public health and the environment as a top priority. The EM program will reduce risks by complying with all of its legal obligations, which include applicable requirements under federal, state, and local environmental statutes and regulations; activities required under the terms of permits, administrative orders, or judicial decrees; enforceable milestones or schedules established in agreements negotiated between EM and its regulators. EM will also reduce risks by honoring all of its commitments to the Defense Nuclear Facilities Safety Board (DNFSB).

Improve Project and Program Management Practices

EM needs to make improvements in both project and program level management practices to achieve its overall objectives. Earlier in 1999, DOE began an initiative aimed at strengthening the Department’s project management efforts. This initiative includes establishing a new project management organization in the Office of the Chief Financial Officer, establishing project management tracking and control systems, establishing a “watch list” of potential problem projects, and strengthening line management accountability for project management results.

In concert with and in addition to Departmental efforts, EM is striving to make improvements to its overall project and program management practices. This effort requires improvements in baseline estimates, particularly near-term estimates. EM is also striving to improve internal controls, strengthen project management practices, and conduct baseline reviews and validations. Finally, EM is working to improve its programmatic management processes to bring early and focused management attention to potentially significant problems so that projects stay on

Maximize the Impact of Science and Technology Investments on Cleanup

course. This effort includes identifying and resolving issues on critical closure paths that could delay completion schedules.

To achieve its overall program objectives, EM will require new developments in science and technology. During the last two years EM has made a fundamental change in the investment strategy for science and technology. The new approach relies on four principles: solution-driven investing; full integration with cleanup projects; a comprehensive approach from science through deployment; and the use of credible decision processes. This new approach should improve EM's ability to meet cleanup objectives by accelerating the deployment of new technology, resolving high priority site needs, reducing technical risk, and reducing life-cycle cost.

Improve Integration and Find Ways to Reduce Costs Through Integration

There are many intersite dependencies associated with the successful execution of EM work. Specifically, the management of various wastes (transuranic waste, low level waste, and mixed low level waste), spent fuel, and nuclear materials entails the coordination amongst sites and agreements with regulators, stakeholders, and other parties. Numerous critical integration issues must be resolved both to accomplish EM's closure objectives. One of the most important issues is determining an equitable and efficient system for the shipment and receipt of waste and materials. Until these determinations are made, substantial volumes of waste must be stored, resulting in increased storage costs, delays in decommissioning of structures, and, ultimately, delays in the completion of site cleanup. The compounding effects of delays can have significant impacts on overall costs. EM must maintain management focus on these integration needs and opportunities to control programmatic costs and schedules.

Similarly, there are interprogram dependencies between EM and various other Department programs including the Offices of Fissile Material Disposition, Civilian Radioactive Waste Management, and Nuclear Nonproliferation and National Security. EM needs to integrate strategies and sequencing of work consistent with schedules in the other offices in order to achieve potential savings that could result from such integration and sequencing.

Focus on Long-Term Stewardship Requirements

The Environmental Management program needs to address stewardship issues now at its remaining sites to provide for a smooth transition from cleanup to stewardship through technical, financial, and managerial planning. Focusing on stewardship now also allows EM to emphasize that cleanup goals are often reducing

and controlling rather than eliminating risks. In addition, planning for stewardship allows science and technology needs to be identified and necessary research and development to be initiated. Finally, EM's emphasis on stewardship helps assure the public that DOE will keep its commitments over the long term.

Maintain Dialogue with Regulators, State and Local Officials, Stakeholders, and Tribal Nations

Continuing dialogue is necessary on a number of fronts including overall site strategies and end state, compliance, integration, cleanup priorities, and certain specific project decisions. Maintaining public trust and confidence is a vital part of EM's ability to move the cleanup program forward. The EM program must engage in an active dialogue with stakeholders, regulators, state and local governments, and Tribal Nations about programs and activities at each of DOE's sites—and collectively make hard choices regarding priorities in the event of insufficient funding to meet all plans and objectives. The EM program is committed to work with stakeholders to review all aspects of the Department's programs—including activities addressed by enforceable agreements and activities not required under those agreements—to make decisions on site programs that balance many competing priorities and needs.

An important part of this initiative is the "Statements of Principles" signed by Secretary Richardson and the governors of Colorado, South Carolina, Tennessee, and Washington. These principles commit DOE and the Governors to ongoing and active communications, timely sharing of information, better education of the public, more effective interactions with stakeholders, and development of mechanisms to avoid making decisions without appropriate public involvement.

EM also recognizes the importance of public involvement in determining site end states. Although end states are better defined for the sites scheduled for completion by 2006, important end state decisions still lie ahead both for the closure sites and for the longer-term sites where a sizable portion of the total life-cycle costs will be incurred. In order for cleanup to progress at these sites and for baselines to become more accurate, EM must continue its dialogue with stakeholders, regulators, state and local governments, and Tribal Nations.

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5.0 Stream Disposition Data

5.1 Policy and Topical Guidance

5.1.1 Introduction and General Topics

This chapter of the guidance supports the collection and maintenance of stream level data identified in *IPABS-IS Data Requirements* (12/18/98), including recently approved amendments. The stream disposition data (SDD) required to support the Integrated Planning, Accountability, and Budgeting System (IPABS) were identified through an extensive field review and concurrence process. The SDD requirements are managed through a formal change control process under the EM Chief Information Officer. Specifically, this guidance pertains to the following stream level *IPABS-IS Data Requirements*:

- 1017 Contaminated Media/Waste Inventory and Disposition Information.
- 1018 Programmatic Risk
- 1021 Treatment/Disposal Systems
- 1029 Stream Characteristics Information
- 1500 Stream-level Transportation Data

Relatively few changes or additions have been made in the above requirements in the past year. The majority of the previously reported data will require only that sites review and adjust existing data to reflect recent changes in their management plans.

The scope of this year's data collection/update effort includes:

- Stream-level planning data for FY 2000 through the life cycle for each individual stream
- FY 1999 year-end stream quantities ("actuals")
- Planned disposition activities for:
 - EM waste
 - EM contaminated media
 - DOE spent nuclear fuel
 - Other DOE (non-EM managed) radioactive waste (as required by DOE Order 435.1)

5.1.2 Overview

Last year the SDD were collected and edited through the Analysis and Visualization System (AVS). The SDD/AVS data were intermittently downloaded, processed and uploaded into the Interim Data Management System (IDMS) where summaries of the SDD were presented to help support development of site and project summaries and budget information. This year the SDD collection and maintenance functions and the IDMS functions have been integrated into a single application (IPABS-IS) with multiple modules. Though the AVS is still available as an analytical tool, it will no longer be used for data collection. Data will be downloaded periodically from IPABS-IS to the AVS to support ‘what-if’ analyses and preparation of disposition maps.

The SDD level of the Planning Module allows all sites to view each others data while data entry occurs. This allows shipping and receiving sites to work cooperatively in ensuring intersite transfer data quality. SDD are part of the IPABS-IS Planning Module.

5.1.3 Schedule

Date	Scheduled Deliverable
December 23, 1999	Life-cycle Planning Module online, including SDD. Guidance available.
March 1, 2000	Field approved SDD due.
March 31, 2000	Field and HQ approved SDD due with review comments incorporated

5.1.4 Uses for the Data

Stream Disposition Data document the planned baseline disposition paths for waste, contaminated media and spent nuclear fuel. These baseline disposition paths define the work scope required to move waste, media and spent fuel from their current condition to their “end state.” Data are collected on the mass, volume, characteristics, schedule, programmatic risk and other details associated with each stream as it moves to the next system. Stream data are grouped, summarized and reported at various levels to focus attention on various aspects of management plans or progress. One form of graphic report, the Stream Disposition Map, has proven very effective in illustrating the planned or baseline

disposition paths and identifying opportunities to improve those plans.

A **stream** is the smallest quantity of material managed (unit of work) for which data are collected. A stream is defined as a group of materials, media or wastes having similar origins, generating program, waste type, management requirements (i.e., same disposition path) or barriers to disposition. Streams are stored or dispositioned by only one EM project (i.e., PBS) in a given year. A stream is dispositioned when it enters the next TSD System or is transferred to another site.

A **TSD System** is defined by the facility that houses the system and the function or technology performed by the system (e.g., WERF/Incineration).

DOE routinely tracks technical waste, contaminated media and SNF data at a sufficient level of resolution to support a range of program planning, analysis, and integration activities, as well as interaction with external stakeholders (Congress, OMB, DNFSB, NGA, etc.). EM relies on a single set of Corporate data, based on the SDD, as the technical basis for the majority of these applications. Collection of SDD through the IPABS-IS annual update process avoids multiple data calls and the potential for disparate data sources. Data must be of sufficient quality to meet the needs of critical stakeholders and DOE managers.

Current Uses of SDD

Supporting Environmental Management Planning: SDD provide the technical and quantitative basis for many EM planning efforts involving waste, contaminated media, SNF, transportation, integration and development of the *Paths to Closure* document.

Total Planned Quantities: The SDD are used to establish the total planning quantities that provide the basis and context for the annual waste and spent nuclear fuel GPRA performance measures used to support EM's congressional budget submissions, Annual Performance Plan, and Secretary's Performance Agreement.

Analyzing Complex-Wide Integration Opportunities: Stream-level data are critical in supporting EM integration efforts to identify and evaluate opportunities to optimize resources and accelerate site closures. The integration process has identified a list of opportunities that could be pursued to overcome barriers to waste disposition.

Complying with DOE Order 435.1: On July 9, 1999, DOE issued a new order, *Radioactive Waste Management* (DOE O 435.1), that requires establishing a system for collection of DOE-wide waste data and preparation of Waste Management Program Plans (by waste type) within a year. SDD provide the technical approach and basis for meeting these requirements.

Populating the Central Internet Database: DOE is developing the Central Internet Database pursuant to the terms of a December 1998 lawsuit settlement. The SDD are one of the primary data sources for the Central Internet Database. (See Section 5.1.8 Relationship of SDD to Central Internet Database)

Preparing the Low Level Waste Disposal Capacity Report: SDD will be the primary technical data source for preparing the September 2000 update of this biannual report to the Defense Nuclear Facilities Safety Board (DNFSB 94-2).

Preparing Disposition Maps: Disposition Maps are graphical representations (reports) of a site's baseline planning data related to managing wastes, contaminated media, and spent nuclear fuel. They show the planned progression from current status through treatment and disposal. SDD are the sole basis for documenting each step in the disposition path. Maps are viewable on the AVS web site (see Section 5.1.8). These maps will be generated in the AVS based on data collected in IPABS-IS.

Analyzing Program and Policy Alternatives and Regulatory Impacts: EM Headquarters routinely requires detailed technical information to support decision making and reporting processes. Stream-level data have been used to analyze complex-wide treatment and disposal alternatives in support of the Records of Decision for MLLW and LLW. They have been used to analyze the DOE policy for commercial disposal of LLW and to identify waste currently targeted for treatment at DOE incinerators now subject to the Maximum Achievable Control Technology (MACT) rule.

Communicating EM Progress, Status, and Plans: The EM Corporate Database is the primary data source for answering Congressional inquiries, letters from citizens and communicating with stakeholders. Inquiries from special interest groups, oversight agencies, and Headquarters Program Managers can often be answered directly from the Corporate Database.

Transportation Planning: EM uses data on intersite transfer volumes and schedules, together with data on DOT material classifications, packaging requirements, etc. to ensure the availability of appropriate shipping containers and to support development of transportation corridors. SDD will also be used to update the annual Transportation Needs report in 2000.

5.1.5 Assumptions

Providing the best available technical data

HQ assumes that the data reported by the Field are the best “available” technical data, data that are reasonably available or that can be assembled from data used for other site purposes. There is no expectation, intention, or driver for sites to develop new data or perform additional characterization activities or analyses to provide the requested data. Deficiencies or limitations in the reported data should be acknowledged in the appropriate comment/narrative fields to facilitate effective use (or exclusion) of the data in summary analyses.

Reporting Non-EM Newly Generated Waste

Information on all DOE radioactive waste and waste management activities are needed to support a variety of DOE complex-wide configuration analyses and reporting functions. For the past several years, an effort has been underway to transfer management responsibility for newly generated waste from EM back to non-EM generators such as Defense Programs and Office of Science. This ‘reengineering’ of the waste management process is essentially complete for several sites and in various stages of planning or transition for others. EM, however, retains responsibility under DOE Order 435.1 to collect and maintain data on all DOE radioactive waste and waste management activities. In addition, certain data on non-EM managed radioactive waste are required for the Central Internet Database. The SDD are a means by which data on non-EM managed waste required by DOE Order 435.1 and needed for the Central Internet Database can be collected.

In the SDD, disposition and inventory quantities to be managed by an EM project are linked to the appropriate EM PBS codes; newly generated radioactive waste quantities to be dispositioned by a non-EM Program are distinguished by assigning a “Non-EM” program/project designation (e.g., DP, OS, NE, etc.).

Reporting Consistent Data

Baseline data must be consistent with formal Departmental decisions, stakeholder and tribal nation agreements and permits relating to approved, authorized, and/or permitted treatment and disposal sites/facilities; quantities that the Department has formally

agreed to move off site; and approved generator lists at receiving sites. If for any reason the baseline disposition of a stream (or alternatives being negotiated) cannot be effectively aligned with formal decisions or agreements, the disposition for that stream should be designated as "to be determined" or "TBD."

Shipping/Receiving Site Coordination

When preparing annual and life-cycle planning data for streams going to other DOE sites, shipping sites must coordinate with the receiving site to assure pertinent details such as system availability dates, generator or quantity constraints and any other concerns regarding waste or transportation system acceptance criteria. As an example, WIPP is expected to be available for receipt of mixed transuranic waste sometime in FY 2000. However, there are schedule uncertainties due to provisions of the recently issued RCRA permit. Shipping sites must work directly with the Carlsbad Area Office (CAO) to ensure that their respective shipping and receiving schedules and the total volumes to be transferred are sufficiently coordinated and based on compliance with expected permit conditions. The tangible proof and expected outcome of effective coordination will be shipping and receiving site stream data records that report comparable, if not exactly matched, annual disposition quantities and life-cycle totals.

Buried TRU Waste and Related Materials Data Collection Effort

There was a separate data collection in FY 1999 for information on buried TRU waste and related materials. Streams reported in SDD relating to management of burial grounds previously used for disposal of TRU waste and environmental media contaminated with TRU radionuclides in concentrations exceeding 10 nCi/g should be consistent with information reported for the buried TRU waste and related materials data call.

5.1.6 Interrelationships to Other Modules

Planning

PBS: Project-level (PBS) summaries of SDD are displayed (i.e., "read only") for all the years in the Planning Module. Data are displayed by performance measure category as a reference for developing PBS-level targets (non-performance measure categories are also displayed).

Critical Closure Path: Annual data reflecting disposition schedules must be internally consistent with project completion and site closure data reflected elsewhere in the PBS or Critical Closure Path milestones. Certain annual disposition data form the basis for determining completion and closure schedules. To help

improve data interrelationships, reporting sites are asked to check streams that are on, or that influence, the critical closure path.

Programmatic Risk, Technology Needs, and Focus Area Work Packages: Each stream and TSD System is scored to reflect potential programmatic risks. Independently, each milestone in a site's critical closure path is scored in a similar fashion. Previously reported risk data for SDD and Critical Path milestones often failed to exhibit logical relationships. Sites should actively seek to establish logical relationships between Closure Path and SDD risk scores. Also, when the SDD technology category risk score is high, there is potential for a relationship with Technology Needs, and perhaps Focus Area Work Packages, which are now identified at the Project level. Sites should work closely with their Technology Development and/or Focus Area representatives to assure logical relationships between technology risk scores, identified needs and Focus Area work efforts.

Budget Formulation

Project-level (PBS) summaries of SDD are displayed (i.e., "read only") in the Budget Formulation Module for FY 1999, 2000, and 2001. This provides reference values intended to facilitate alignment of budget submittals with the underlying SDD values.

Project Execution

Project-level (PBS) summaries of SDD FY 1999 Actuals data (e.g., LLW Disposal On Site in 1999, End of Year Inventory) will be displayed as a reference value to aid in reporting of execution data.

5.1.7 Changes and Areas for Improvement Relative to Last Year

Integration

The data collection functions of AVS have been integrated into IPABS-IS to alleviate issues related to passing data from one system to another and from having to coordinate and synchronize multiple operating systems and technical support functions.

- SDD reports and summaries of SDD presented in other system modules will now use virtually the same summary logic and "roll-up" queries.
- SDD reports and summaries used in other modules will always be "in synch" (previously there was a multi-day lag between data entry in AVS and data display in IDMS).
- Direct data entry will help assure all reports and summaries from any module always draw on exactly the same data records.

- Verifying the quality of integrated data will be a lot easier because there will be significantly fewer opportunities for processing, manipulation and synchronization errors. Many of the QC queries previously reported to the Field (days or weeks after data entry) are now fully integrated into the data entry function to preclude entry of internally inconsistent data.
- Many of the system performance and firewall issues associated with the previous applications have been minimized or eliminated.

Data Consistency

It is our ultimate consistency goal to achieve the following:

- Disconnects should be eliminated between shipping and receiving sites' reported quantities.
- Prior year actuals should agree exactly.
- Data should be internally consistent.
- Disconnects between SDD and Critical Closure Path milestone technology scores should be eliminated.

Validation Expectations for the Dataset

Significant efforts were made last year to improve data quality. Summaries of QC analyses were distributed every few weeks to Ops/Field Office and HQ data contacts for review and action as appropriate. Conference calls were set up to discuss issues and facilitate resolution. Data issue resolution and verification efforts resulted in dramatic quality improvements. Core data issues, those with potential to impact quantitative project measures, were reduced from more than 5000 to less than 100, with most of the remaining issues considered minor.

Headquarters, site teams, data users and national programs perform extensive programmatic and cross-site review of the working SDD from February 16 through March 15, 2000. This review will focus on:

- Ensuring data completeness (e.g., TSD System closure dates, transportation data for all streams shipped off site)
- QC/validation – additional query checks of logical data relationships
- Facilitating resolution of intersite disconnects:
 - “qualitative” disconnects, i.e., receiving site proposed by a shipping site does not acknowledge receipt
 - “quantitative” disconnects, both shipping and receiving sites acknowledge transfer but disagree significantly on volume (more than 10%)

- “schedule” disconnects - shipping site proposes to ship before or after receiving TSD system operational dates (e.g., proposing shipment to WERF three years after closure date)
- Ensuring technical programmatic risk score accuracy and completeness

Data validation and quality control reports will be available on line. Site teams will have access to the same quality control progress/status reports as the Field. A series of teleconferences will be arranged to discuss quality control findings and agree on resolution.

5.1.8 Relationship of SDD to Other Initiatives

SDD and PBS-Level Performance Measures

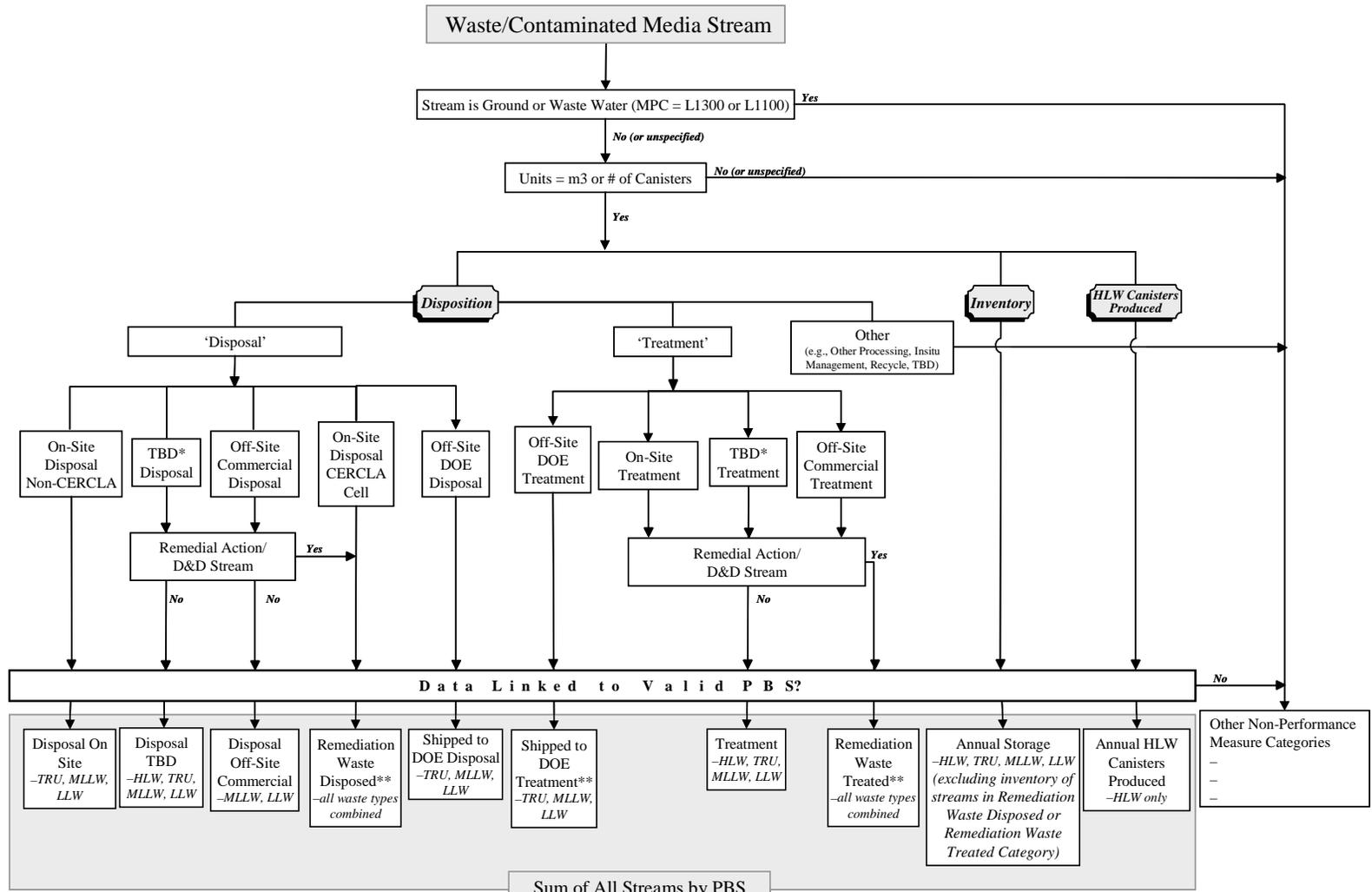
Performance measures used to support EM’s budget request and annual performance plan are collected at the PBS level for the prior year (FY 1999), budget execution year (FY 2000), planning year (FY 2001) and budget formulation year (FY 2002). The SDD quantities are not used for performance measures, but PBS-level performance measures are put in the context of life-cycle quantities that are derived from the underlying SDD waste and SNF streams. The relationship between these two sets of data is discussed below. Changes in SDD technical risk will be a corporate performance measure for Science and Technology beginning in FY 2000.

PBS-Level Performance Measures: Performance measures are collected at the PBS level by measure category (e.g., on-site LLW disposal volume, HLW treatment volume, etc.). The PBS-level performance measures are based on what can be accomplished with the funding levels contained in the Congressional appropriation for the current fiscal year and the President’s budget submission for the planning year. These data are collected in the Fall Budget Formulation Module. Past year actuals are collected using the Project Execution Module. In addition to supporting the President’s budget submission, the PBS-level performance measures are used for the Annual Performance Plan and the Secretary’s performance agreement.

SDD-Derived Planning Quantities: The waste and SNF life-cycle quantities are used to put performance measures in context and for planning purposes, such as *Paths to Closure* and DOE’s Strategic Plan. These are calculated from the underlying SDD in accordance with current performance measure policy and guidance. (See Attachment C for more information on

performance measure count methods). This is summarized in Figure 5-1: Graphical Summary of Guidance -- How Stream Quantities are Rolled Up to Project-Level Planning Totals. As can be seen from Figure 5-1, some SDD streams will not be included because of the specific business rules applied to EM's performance measures. Quantities of waste from remedial action activities are generally excluded from planning estimates for comparison with performance measures, unless waste is sent for disposal at another DOE site. Not all disposition activities contribute to performance measures. For example, use of the "other processing" rather than "treatment" disposition category excludes waste streams from planning estimates for comparison to performance measures.

**Figure 5-1: Graphical Summary of Guidance --
How Stream Quantities are Rolled Up to Project-Level Planning Categories**



* "TBD" means there are pending decisions between either on versus off-site, or DOE versus commercial
 ** Non-Performance Measure Category

The table below provides a summary and a comparison of the PBS-level performance measures and SDD-derived planning quantities.

Comparison of PBS-Level Performance Measures and Comparable SDD-Derived Quantities							
Year	PBS-Level Measures			SDD Quantities			Relationship
	Funding Level	When Collected	Module	Funding Level	When Collected	Module	
Past Year (Actuals) (FY 1999)	Appropriation	Fall	Program Execution	Appropriation	Spring	SDD (part of Planning)	Should be consistent
Budget Execution (FY 2000)	Appropriation	Fall/Winter	Budget	Appropriation	Spring	SDD (part of Planning)	Should be consistent
Planning (FY 2001)	President's Budget Request	Fall/Winter	Budget	Baseline Funding Assumption	Spring	SDD (part of Planning)	May be inconsistent due to different funding assumption
Budget Formulation (FY 2002)	OMB Target	Spring	Budget	Baseline Funding Assumption	Spring	SDD (part of Planning)	May be inconsistent due to different funding assumption
Life-cycle/ Out years	Not applicable	Not Collected	Not Applicable	Baseline Funding Assumption	Spring	SDD (part of Planning)	Only SDD collected

Correlation between SDD-derived Planning Quantities and PBS-Level Measures: There should be good correlation between the SDD-derived planning quantities and PBS-level performance measures. This correlation allows EM to discuss annual goals and objectives in the context of total program scope. The two datasets should be totally consistent for past-year actuals and the execution year because they should be developed using the same funding assumption - the appropriation funding levels for those years. In other words, using the performance measurement rules shown graphically in Figure 5-1, the SDD quantities when summed to the PBS level for past-year actuals and the budget execution year (based on the Spring submission) should agree with the PBS-level performance measures (reported the previous Fall) for past-year actuals and the budget execution year.

For the planning (FY 2001) and budget formulation years (FY 2002), the situation is less straightforward. For these years there may be inconsistencies between the two datasets. The primary reason for the potential inconsistency is that the two sets of data are developed using different funding assumptions for these years. The SDD-derived data are based on the funding assumptions used to develop the planning-level or *Paths to Closure* baseline. However, the PBS-level performance measures are based on what can be accomplished at funding levels corresponding to the President's budget request and the OMB target for the planning and formulation years, respectively. Even though there may be some inconsistency between the two datasets for these years, it is expected that the PBS-level performance measures will be developed using the SDD-derived data as a basis. In addition, Operations and Field offices need to be able to explain the reasons for any significant differences between the SDD-derived data and PBS-level performance measures.

Resolving the Inconsistencies: EM recognizes that the present approach of collecting and maintaining two sets of data and the resulting inconsistencies for planning and budget formulation years is less than ideal. A working group is being established to address and resolve this issue. However, because the issue is complicated, it will take some time for the working group to identify an acceptable solution. Until an acceptable solution is identified and implemented, EM will continue the current approach.

SDD and the Central Internet Database

In December 1998, the Department settled a lawsuit regarding the Waste Management Programmatic Environmental Impact Statement. Under the terms of the settlement, DOE agreed to develop a Central Internet Database with specified information on waste, contaminated media, spent nuclear fuel, and facilities. For radioactive waste and contaminated media, the settlement specifies that the following information be provided in the database:

- Location (by site)
- Waste type
- Volume or mass
- Major chemical constituents of concern
- Major radionuclides of concern and total estimated curie content
- Generator by site and major program
- Waste disposition plans
- Annual volumes of intersite transfers

To minimize the resource burden on Field and Operations Offices and maintain an overall consistent set of data for radioactive waste,

contaminated media, and spent nuclear fuel, the SDD will be the primary data source used to populate the Central Internet Database. Additionally, for waste managed by non-EM programs (DP, SC, NE), the SDD portion of the planning module can be used to collect the waste data needed for the CID. However, non-EM programs can also supply the data needed for the CID using other means if they choose. In addition, EM will issue under separate cover further guidance that clarifies which SDD data elements needed to support the CID and DOE Order 435.1.

The Central Internet Database will become operational in January 2000. Initially, it will be populated using the SDD collected in FY 1999. It will be updated in FY 2000 when this year's SDD become available.

Data Requirements for 435.1

The SDD level of IPABS-IS collects the required planning information and serves as the waste management data system.

(Excerpts from implementing guidance DOE G435.1, Section I.2.D): “The Deputy Assistant Secretary for Waste Management is responsible for establishing and maintaining a system to compile waste generation projection data and other information concerning radioactive waste management facilities, operations, and activities across the complex.”

Information and data are generally collected for each DOE site in the complex. Typically, the following information and data for high-level waste, transuranic waste, low-level waste, and mixed low-level waste are to be included in the waste management data system:

- Quantities of past, current, and projected waste, by waste type and year
- Waste characteristics
- Waste management life-cycle plans, including final disposition and no-path-to-disposal information
- Facility and operational information including capacities
- Barriers to disposition and technology needs

Relationship of SDD to the National Spent Nuclear Fuel Database

A National Spent Nuclear Fuel Database has been developed to facilitate the Department's interim management of its inventory of spent nuclear fuel (SNF) and to prepare it for eventual disposal in a geologic repository. This National SNF Database is maintained by the National SNF Program under the supervision of the Idaho Operations Office. The Database contains detailed technical information as to the fuel type, quantity, site and facility location,

packaging configuration, radioisotopic inventory, and management plan for each of the individual SNF entries comprising the complete inventory of EM managed SNF, both currently existing and proposed for future receipt and management.

EM's corporate database (IPABS) also captures information about SNF, in the form of stream disposition data (SDD) records. SDD present DOE's SNF inventory at a more rolled up level than the National SNF database. SDD emphasis is on describing the required management path.

A crosswalk has been constructed between the National SNF database and IPABS SDD to ensure consistency between the two datasets and avoid redundant data entry. IPABS displays (but cannot overwrite) details from the National SNF database (e.g., isotopic characteristics, source reactors, storage location, fuel type) based on the crosswalk.

SDD and Long-Term Stewardship

The Department must prepare a report for Congress outlining the scope and approach for its Long-Term Stewardship (LTS) effort. Field and Headquarters staff are working collaboratively to ensure the appropriate perspectives are addressed in this report. Data requirements for the report are currently being developed, with specific guidance to be issued December 1999.

Key to the requirements is identifying the unit of analysis ("sites" and "portions of sites") that is to be reported on. At this time there is no direct correlation between LTS units of analysis and the streams reported in SDD. Details on any correlation will evolve as the report and data requirements are finalized.

SDD and AVS

While the AVS data collection function has been integrated in IPABS-IS, AVS is still available for disposition map drawing and evaluation of alternative disposition configurations at <http://id.inel.gov/avs/>. For more information, contact the AVS help desk at 208-526-1417 or Paul Fairborn (pjf@inel.doe.gov) at the Idaho National Engineering and Environmental Laboratory. Disposition maps, like other reports, will reflect data entered into IPABS-IS at the close of the previous business day.

SDD and Preparation of Disposition Maps for Nuclear Materials

Life-cycle nuclear material disposition data are not included in SDD. Draft Nuclear Material Baseline Disposition Maps will be provided for each site to update and submit to their Headquarters program contact by April 14, 2000. Maps are not in lieu of annual life-cycle profile.

For more information please directly contact Carl Sink (301-903-5131) and Martin Seitz at BAH (202-626-1064).

SDD Level -- Nuclear Materials Stream Disposition Data:

Since the stream disposition data for EM nuclear material is not contained in SDD, this information is being collected and managed separately from the other stream data discussed in this guidance. Last year, the Nuclear Material Stewardship Program (EM-21, Albuquerque and Savannah River) teamed with the sites and prepared draft baseline Nuclear Material Disposition Maps. These maps were then distributed to the Operations/Field Offices and Headquarters Site Team Leads in the second quarter of FY 1999 for validation. Input received from the Operations/Field Offices was subsequently incorporated in these maps.

For the Spring 2000 update, a package containing the updated maps from last year, along with related supplemental information, will be provided for each site. The Operations/Field Offices must update and validate their Nuclear Material Disposition Maps and provide any modifications to the appropriate Headquarters Site Team Leads. DOE is preparing an Integrated Nuclear Materials Management plan as required by section 3172 of the FY 2000 Defense Authorization Act. DOE is required to submit this plan to Congress in March 2000. As a part of this plan's presentation, DOE will be developing a policy to determine if certain excess nuclear materials should be retained as a national resource or discarded as waste. If an excess nuclear material is designated as a national resource, it will be transferred to another Program Office for management. If an excess nuclear material is designated as waste, the stream information subsequent to the waste declaration must be transferred from the nuclear materials maps and entered onto the appropriate waste maps for the site via the SDD. Any significant waste streams produced by operations to stabilize or make the nuclear material ready for disposition must also be identified on the nuclear material maps and entered into the appropriate waste maps for the site via SDD.

The Nuclear Materials Stewardship Program will update the Nuclear Material Disposition Maps with the modifications received from the appropriate Headquarters Site Team Leads during this data update. However, EM will still collect annualized life-cycle nuclear material performance metrics in the PBS, as discussed in Chapter 4, Section 4.2.1.5.

**SDD and Pollution
Prevention Program
Reporting System**

The Pollution Prevention Program reporting system, managed by the Albuquerque Center of Excellence for Pollution Prevention, will

continue to provide pollution prevention data reporting for the DOE complex. In January 2000, the CY 1999 annual data collection request for the *Annual Report of Waste Generation and Pollution Prevention Progress* will be forwarded to the Field by the Albuquerque Operations Office. As discussed in a memorandum to the Field from Kent Hancock, EM-77, dated July 28, 1999, the annual data reporting for pollution prevention will be transitioned to a fiscal year (FY)-basis for the *Annual Report of Waste Generation and Pollution Prevention Progress* in FY 2000. For the FY 2000 annual data collection request in 2001, the pollution prevention data requirements will be consolidated with the IPABS-IS data requirements. After the consolidation, the independent collection of pollution prevention data will be conducted only for DOE sites that remain outside the IPABS-IS process.

5.1.9 Glossary of Key Terms

Streams

Stream -- a group of materials, media, or wastes having the same waste type, physical and contaminant characteristics, management requirements (i.e., same disposition path), or barriers to disposition. Streams are stored or dispositioned by only one EM project (i.e., PBS) in a given year. A stream is dispositioned when it enters the next TSD System, is transferred to another site, or is managed *in situ*. Streams are further defined as being stored or dispositioned by only one Project at a time. This definition of waste stream should not be confused with “waste stream” as defined under RCRA, or any myriad site-specific definitions (which is usually associated with a much more detailed reporting level).

In Situ Contaminated media -- contaminated environmental media that has been or is planned to be remediated, without excavation, by using strategies that isolate and stop any further spread of contaminants into the surrounding environment.

Ex Situ media -- contaminated environmental media that has been or is planned to be remediated by 1) excavating or otherwise removing the contaminated media from the ground/environment; 2) treating when appropriate; and 3) disposing of these materials/waste in a specially designed facility that isolates the waste from the environment.

Management Activities

Storage -- the collection and management of waste for the purposes of awaiting treatment or disposal capacity, in such a manner as to not constitute disposal of the waste.

Inventory -- amount in storage at a particular time (e.g., end-of-year inventory)

Treatment -- any method, technique, or process designed to change the physical or chemical character of waste to render it less hazardous; safer to transport, store, or dispose; or to reduce its volume.

Disposal -- emplacement of waste in a manner that ensures protection of human health and the environment within prescribed limits for the foreseeable future with no intent of retrieval and that requires deliberate action to regain access to the waste.

Waste/Material Types

High Level Waste (HLW) -- highly radioactive waste material resulting from the reprocessing of SNF, including liquid waste produced directly in reprocessing and any solid material derived from such liquid waste that contains fission products in sufficient concentrations; and other highly radioactive material determined, consistent with existing law, to require permanent isolation.

Transuranic Waste (TRUW) -- radioactive waste containing more than 100 nanocuries of alpha-emitting transuranic isotopes per gram of waste, with half-lives greater than 20 years, except for: HLW; waste the Secretary of Energy has determined, with concurrence of the EPA administrator, does not need the degree of isolation required by the 40 CFR Part 191 disposal regulations; or waste the NRC has approved for disposal on a case-by-case basis in accordance with 10 CFR Part 61.

Mixed Low Level Waste (MLLW) -- waste containing both a radioactive component subject to the Atomic Energy Act, as amended, and a hazardous component subject to the Resource Conservation and Recovery Act, as amended (includes LLW regulated under TSCA).

Low Level Waste (LLW) -- radioactive waste, including accelerator-produced waste, that is not HLW, SNF, TRUW, byproduct material (as defined in Section 11e.(2) of the Atomic Energy Act of 1954), or naturally occurring radioactive material.

Hazardous Waste (HAZ) -- waste containing a hazardous component subject to the Resource Conservation and Recovery Act, as amended, or defined as hazardous by state regulation (includes waste regulated under TSCA).

Restoration Response Strategies

In Situ Containment -- Response strategy consisting of the placement of a barrier, seal, or diversion to contain the further spread of contamination (e.g., capping, lateral barrier, interception).

In Situ Treatment -- Response strategy consisting of the treatment of contaminated media in place (e.g., chemical stabilization, biodegradation, flushing).

Access/Institutional Control -- Response strategy consisting of monitoring and limiting public access and/or usage of an area containing contaminated media (e.g., physical restrictions, monitoring, administrative restrictions).

No Further Action -- Response strategy in which a decision of “no further action” is anticipated.

Stream Characteristics

Total Activity -- the sum of the activities of the individual long-lived radionuclides (i.e., half-lives of greater than one year) that comprise the stream. Activities of short-lived decay products (i.e., half-lives of less than one year) that accompany longer-lived radionuclides, e.g., yttrium-90, barium-137m and thorium-234, should not be included in this total.

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6.0 FY 2002 Budget Formulation Module

6.1 Policy and Topical Guidance

6.1.1 Overall Description and Purpose

This chapter provides overall policy and implementation information to the Operations/Field Offices and Headquarters about the Office of Environmental Management's (EM's) annual process for preparing the Initial Field Budget Request. Preparation of the FY 2002 Initial Field Budget Request is the first step in the process of formulating the FY 2002 Congressional Budget Request, due in February 2001.

EM conducts two primary updates to its Corporate Database each year – once in the spring and once in the fall – in addition to monthly and quarterly updates to project execution data throughout the current execution year. The Spring Update of the FY 2002 Budget Formulation Module encompasses activities to prepare the Initial Field Budget Request and the annual update of EM's life-cycle planning information and stream disposition data. The Fall Update refines the budget data in preparation for delivery to Congress.

The following data are collected in the Spring FY 2002 budget formulation update:

- Operations/Field Office "Planning" and "Compliance" Integrated Priority Lists (IPL);
- "Audit Quality" Budget Authority (BA) distribution for FY 2002 by Project Baseline Summary (PBS) at decrement (85 percent of target), target, and planning levels (should be no more than target plus 10%);
- BA crosscut estimates by PBS, Category, and Subcategory for FY 2002 at the decrement, target, and planning funding levels;
- Performance measures quantities that can be accomplished at the target and planning (should be no more than target plus 10%) funding levels during FY 2002;
- Significant milestones that will be accomplished in FY 2002 at the target funding level;
- Descriptions of the planned activities in FY 2002 at the target funding level. Editorial changes to the PBS descriptions used in the budget also will be conducted as part of this process.

All information submitted as part of Chapter 6 procedures will be collected using the Budget Formulation Module of EM's Integrated Planning, Accountability, and Budget System – Information System (IPABS-IS).

In the FY 2002 EM Budget Request, PBS budget and performance information will be presented within the context of the life-cycle cost and performance estimates to demonstrate quantifiable progress against EM's life-cycle estimates. The FY 2002 EM Budget Request will also include summary level information and crosscut data to clearly demonstrate EM's performance against its baseline planning goals and objectives. This approach is consistent with the intent and requirements of the Government Performance and Results Act (GPRA) and will enable EM to clearly articulate the tangible results that can be obtained for the resources requested.

6.1.2 Budget Formulation Process

Each budget request that EM submits to Congress contains detailed BA, milestone, and performance information for a three-year window consisting of the budget year, the current year, and the prior year. Data for each of these three years become available through distinct processes, as outlined below:

Budget Year: EM's performance-based budget formulation process is initiated each spring when Operations/Field Offices and Headquarters submit required data to support their initial estimates of "budget year" funding requests (references to "budget year" in this section refer to the FY 2002 formulation year). These estimates are refined throughout the summer to reflect EM and Departmental decisions. The Secretary of Energy makes final budget decisions in late summer for the "budget year" and approves the budget for submittal to the Office of Management and Budget (OMB). After OMB reviews the Departmental budget request, comments and required adjustments prior to submitting the Congressional Budget are transmitted to EM in the "OMB Passback." The OMB Passback generally is received each year in late November/early December. Based on information received in the OMB Passback, Operations/Field Offices revise their "budget year" BA and performance data by PBS during the Limited Fall Update for transmission to Congress in early February.

Current Year: At the same time the Field is preparing their initial "budget year" request in the spring, Congress is evaluating EM's

proposed budget request for the "current year" (references to "current year" in this section refer to FY 2001). Final decisions on the "current year" budget request are enacted in appropriations legislation, generally prior to the start of the fiscal year under consideration. Once the appropriations legislation is enacted, EM must establish initial funding allocations and associated performance goals for the execution year based on the provisions and Congressional controls contained in the appropriations legislation. Because this "current year" information is included in EM's "budget year" request, it must be finalized during the Fall Update, prior to the submission of the "budget year" request to Congress in February. During the Spring Update the "current year" is locked and uneditable to ensure consistency with the FY 2001 Congressional Budget Request.

Prior Year: EM will be in the process of executing the "prior year" (references to "prior year" in this section refer to FY 2000) budget as the field is preparing their initial "budget year" request. The final allocation of "prior year" appropriations and actual progress against the "prior year" performance goals are reported by Operations/Field Offices and included in the EM "budget year" request. As a result, this information must be finalized and reported during the fall update, prior to the submission of the "budget year" request to Congress in February. During the Spring Update, the "prior year" will be locked and uneditable to ensure consistency with the FY 2001 Congressional Budget Request.

6.1.3 Schedule

The schedule for completing the preparation of the Initial Field Budget Request is provided below. All related data is required to be approved in IPABS-IS for submittal to Headquarters by April 14th.

Date	Scheduled Deliverable
February 16, 2000	FY 2002 Budget Formulation Module online. Guidance available
April 14, 2000	Initial Field approved FY 2002 Budget Formulation data due.
April 28, 2000	Field and HQ approved FY 2002 Budget Formulation data review complete.
Late May	EM Corporate Forum-FY 2002 Corporate Review Budget decisions
Early June	EM submits FY 2002 CRB submission to CFO

6.1.4 The EM Budget Structure and Control Levels

EM must request and spend budget authority appropriated by Congress in a manner that is consistent with the requirements established by the Administration, Congress, and current law. The EM budget is divided into distinct appropriation and program accounts that are subject to specific constraints. In addition, other control and reporting levels have been established by the Department and EM (e.g., Operations/Field Office allocations, PBS allocations, etc.).

Each PBS is assigned to only one appropriation account and one program account to ensure that EM can comply with the information requirements associated with its control and reporting levels. FY 2000 and FY 2001 data will be seeded into IPABS-IS and reflect the FY 2001 Congressional Budget Request submission. These values will be locked and uneditable during the Spring Update. FY 2002 funding target levels are provided in Attachment P.

Appropriation Accounts

EM requests funding under five separate appropriation accounts: Defense Environmental Restoration and Waste Management, Defense Facilities Closure Projects, Defense Environmental Management Privatization, Non-Defense Environmental Management, and Uranium Enrichment Decontamination and Decommissioning Fund. Appropriation accounts are established by Congress and are subject to constraints prescribed by the authorization and appropriations committees. For this reason, detailed budget authority and performance measure information must be provided by appropriation account to ensure that committee member and staff inquiries can be accommodated. Once enacted, movement of funding between appropriation accounts is prohibited without a Congressionally-approved Appropriation Transfer.

Program Accounts

Some appropriation accounts are further divided into program accounts (i.e., Site Closure, Site/Project Completion, Post 2006 Completion, Program Direction, and/or Science and Technology). These program accounts are identified in the Conference report that accompanies the appropriation bill and constitute Congressional obligational control levels. A reprogramming is required to move funding between program accounts or specific line-item construction projects.

Operations/Field Offices

The Operations/Field Office FY 2002 target allocations are provided in Attachment P. The sum of Operations/Field Office FY 2002 Budget Request must equal these target allocations. Operations/Field Office FY 2002 Planning Requests should be no greater than 10% above the target allocation. If the Planning Request exceeds the FY 2002 target level, programmatic options must be submitted that would allow the planning level case to be made consistent with the target level.

Project Baselines Summaries (PBSs)

Operations/Field Offices prepare PBSs to summarize and describe the scope and requirements of discrete projects. The PBSs serve as the basic building blocks of the budget. Operations/Field Offices will use the IPABS-IS Budget Formulation Module to provide initial budget and performance measure estimates for FY 2002.

FY 2000 and FY 2001 funding allocations by PBS will be seeded and locked. The seeded data by PBS are consistent with the FY 2001 Congressional Budget Request submission. FY 2001 values will be the subject of considerable scrutiny and inquiry by Congress and stakeholders during this period.

6.1.5 Integrated Priority Lists (IPLs)

It is recognized that each Operations/Field Office has its own priority-setting process or system in place. Some site priority-setting processes may be quantitative in nature while others may be qualitative. EM Headquarters does not intend to impose a standardized prioritization system, nor will it compare the prioritization system results from site to site. It is recognized that each process or system was designed with input from regulators, local stakeholders, and Tribal Nations. However, Operations/Field Offices should also consider the following EM principles in developing their priority lists:

- Eliminate or reduce the most urgent risks
- Maintain compliance
- Reduce mortgage and support costs to free up funds for further risk reduction and acceleration of site closures
- Protect worker and public health and safety
- Reduce the generation of waste
- Create a collaborative relationship between DOE, regulators, stakeholders, and Tribal Nations
- Focus science and technology development on filling technology gaps and cost/risk reduction

- Integrate materials management and waste operations across sites
- Develop and implement a long-term stewardship program

IPL data will represent the Operations/Field Office's current prioritization of EM projects and will help to make the tradeoffs between different strategic approaches more explicit. Stakeholders should participate at the site level in how work is prioritized.

The IPL should reflect, at a sub-PBS level (IPL element) of detail, the entire scope of work that the site would be able to accomplish in FY 2002 at various funding levels (decrement, target and planning level). The decrement level (15% below target) work scope must first be prioritized. Next, prioritization would continue through the target level to the planning (should be no more than target plus 10%) level workscope. **Only traditional budget authority should be prioritized. Privatization project funding should not be included in prioritization activities. However, operating funds associated with prioritization SHOULD be included in the IPLs. Note: An IPL element can only be associated with one PBS, but a PBS can have multiple IPL elements.**

All IPL element entries must be categorized in terms of Compliance Driver as well as Peer Review Work Classification Definitions (see description of categories below). As in past years, for each element in the IPL, the budget authority associated with the element must be allocated into the 10 Compliance driver categories. In most cases, more than one Compliance driver category will apply to a single IPL element. The BA for each IPL element must be allocated across the seven peer review categories as well, using the FY 2001 Peer Review experience as a guide. For your reference, the FY 2001 Peer Review reports will be posted on the FTP server at address: <ftp://ftp.em.doe.gov>. As with the Compliance driver categories, IPL elements may be assigned to multiple Peer Review categories. This information is used to construct EM matrices and is invaluable in the communication and defense of the EM budget request.

Each IPL element should provide narrative impacts for elements at the decrement level and above on:

- Compliance in FY 2002
- Outyear compliance milestones for FY 2003-FY 2006 (explicitly identify the year in which the anticipated compliance impact will occur)

- Program scope, schedule and closure dates

Each Operations/Field Office is required to provide two FY 2002 Integrated Priority Lists (IPLs): "Planning" IPL and "Compliance" IPL.

1. The "Planning" IPL will reflect the Operations/Field Offices' optimal FY 2002 case and reflect the trade-offs deemed appropriate to present a balanced program. Within the target level of funding, Operations/ Field Offices are expected, to the extent possible, to include all compliance, risk, minimum safety, acceleration activities, as well as the operating (base program) portion of any privatization projects. If these activities cannot be accommodated within the target level, the Operations/Field Office should include these activities as a planning level (over target) item. All planning items must be prioritized and included in the IPL in the same manner as the within target items.
2. Whereas the "Planning" IPL will be prepared to reflect the Operations/ Field Office's optimal/balanced FY 2002 program, the "Compliance" IPL should be prepared on the basis of satisfying all requirements within the decrement and target funding levels necessary for compliance with Executive Order 12088 and DNFSB Recommendations. The purpose of the Compliance IPL is to identify important activities at each Operations/Field Office that would not get done within the target level if the EM program prioritized its budget request strictly on a compliance basis.

Priority lists should NOT include National Program activities (specifically, Science and Technology and Program Direction).

6.1.6 Performance Measurement

Performance measurement information is an important component of justifying and defending EM's budget to OMB, Congress, and stakeholders. Performance measurement involves determining what activities to measure, the appropriate data collection methods, and collecting the performance data. Data evaluation involves assessing progress toward achieving program goals. Performance measurement and evaluation are components of performance-based management. Ultimately, performance measurement provides a path of accountability between the Department's long-term vision

and the day-to-day activities of individual federal and contractor employees.

Performance measurement is mandated by the Government Performance and Results Act (GPRA) of 1993 and is central to other legislation and Administration initiatives. EM uses performance measures to help justify the program and its costs, provide measurable results to demonstrate progress towards strategic goals and objectives, evaluate results, identify areas needing attention, determine opportunities for improvement, and establish accountability for tax payer resources.

EM will develop and implement a FY 2002 performance-based budget that clearly demonstrates the program and project results expected for the resources requested. The FY 2002 Budget Request will include EM's corporate performance measures and specific milestones for mission-oriented projects. The linkage between the projects' performance measures and milestones and EM's budget request will enable EM, Congress, and others to track, on an annual basis, EM's progress towards its management commitments, as well as progress towards project and geographic site completions.

Corporate Performance Measurement

EM has developed specific corporate performance measures that link planning goals with the budget, project execution, and evaluation of project performance and results. These corporate performance measures focus on programmatic accomplishments and "big picture" results. They also provide a quantitative assessment of performance allowing comparison of like quantities (including a counting methodology and the units to be counted). The EM corporate performance measures demonstrate tangible environmental results towards completing cleanup or achieving the intended end state at the remaining geographic sites. These corporate performance measures include:

- Number of release sites cleaned up;
- Volume of waste treated and disposed by waste type;
- Number of facilities decommissioned;
- Number of facilities deactivated;
- Quantity of nuclear material and spent nuclear fuel stabilized and prepared for disposition;
- Number and type of innovative technology deployments.

The Field will work in partnership with their EM Headquarters Site Teams to establish challenging yet realistic FY 2002 performance goals. The FY 2002 performance goals will be based on the initial

field request and will be refined during the various stages of the budget process. These project level corporate performance measures will be set within an overall life-cycle context consistent with the sites' most current life-cycle planning data. The FY 2002 Budget Request will also report corporate performance measures data at various crosscut and roll-up levels.

Budget Milestones

EM collects various types of milestone information including Defense Nuclear Facility Safety Board (DNFSB), Enforceable Agreement (EA), Critical Closure Path, Project Critical, Intersite, and Decision Point milestones. These milestones describe specific events or deliverables and have dates associated with their completion. The Field will work in partnership with their Headquarters Site Teams to identify critical FY 2002 “budget” milestones for mission-oriented PBSs that are reflective of core work scope. These milestones may be refined during the next Fall Update and will subsequently be reported in the FY 2002 Budget Request.

Reporting PBS milestones in the budget is required to better describe planned project and program accomplishments. Currently, a significant number of EM’s projects do not have quantifiable corporate performance measures for the budget profile years because work is in progress and has not yet been completed and/or because the project is for landlord, infrastructure, or construction activities. It is therefore important that EM’s budget requests include both the corporate performance measures and key project-specific milestones to fully capture the project’s core work scope and accomplishments and justify the budget request.

6.1.7 Relationship Between Data Submitted and Key Departmental Requirements

This guidance is consistent with EM’s overall objective to fully integrate its planning and budget formulation processes. The budget and performance data that the Field submits in response to this guidance will be used to support a number of key EM and Departmental planning, budgeting, execution, and evaluation requirements in addition to the FY 2002 Congressional Budget. These include:

- FY 2002 Corporate Review Budget/ FY 2002 Office of Management and Budget Submissions.
- DOE FY 2002 Annual Performance Plan that accompanies the FY 2002 Congressional Budget;

- FY 2001 Secretary's Performance Agreement with the President;
- EM FY 2001 Management Commitments and Execution Year Performance Plan;
- FY 2000 Accountability Report;
- Spring 2000 update of sites' baseline planning estimates; and
- Deputy Secretary Monthly Management Review.

6.1.8 Roles and Responsibilities for Completing the Spring Update

Operations/Field Offices should work closely with EM Headquarters Site Office Directors, program staff, and Budget Leads to develop an accurate, timely, and complete budget submittal. Specific roles and responsibilities of EM's organizations for developing the FY 2002 budget are provided below.

The **Office of Budget** is responsible for the overall integration and coordination of all budget formulation activities and submittals of budget and performance data to support the FY 2002 Congressional Budget. As in the past, this process relies heavily upon input from the Operations/Field Offices and Headquarters program staff.

The **Operations/Field Offices** are responsible for submitting timely and accurate data, as requested. Operations/Field Offices are expected to coordinate with Headquarters program managers, Site Office Directors, Deputy Assistant Secretaries, and Office of Budget contacts, as appropriate. In addition, Operations/Field Offices are responsible for working closely with their respective EM Headquarters Site Offices to establish challenging FY 2002 performance goals for their measures and milestones, by PBS.

The **EM Headquarters Program Staff/Site Office Directors** are responsible for working closely with their program and budget counterparts in the Field and at Headquarters to ensure that the budget and performance data reported in the FY 2002 Congressional Budget are accurate and reasonable. Site Office Directors should coordinate with the Office of Budget analysts to ensure that there is full EM Headquarters agreement with the Field's proposed data (prior to its approval in IPABS-IS and formal submittal to Headquarters, if possible). The Headquarters Site Teams are required to ensure that the performance goals the Field establishes are challenging, yet realistic (this area requires

additional emphasis; in year's past some of the goals appear to have been set too low). The Site Teams are required to review the Field's performance and budget data for completeness and accuracy. This includes verifying the Operations/Field Offices' performance quantities and estimated BA.

Operations/Field Offices should consult their respective Headquarters Points of Contact for both general and specific questions associated with this guidance.

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7.0 Report Module

7.1 Introduction

The Integrated Planning, Accountability, and Budgeting System-Information System (IPABS-IS) Report Module provides easy access to EM Corporate Data in reports and reference materials through the Internet. This module is designed to replace the need for many of the hard copy distribution processes of the past. Through the IPABS-IS Report Module, you can view reports directly in your browser without having to install additional software packages on your computer.

The IPABS-IS Report Module allows you to:

- view reports
- subscribe to reports
- print reports
- search for reports
- download and save reports in .pdf and Microsoft Excel formats
- customize reports to run on a schedule with the settings you select

The IPABS-IS Report Module uses commercial off-the-shelf (COTS) business intelligence software by Cognos to deliver information to your desktop. This highly flexible tool will allow EM to expand the Report Module capabilities in the future. The initial deployment is designed to provide access to a very small subset of fixed reports focused on FY 1999 Year-end Performance Measures, and Cost, Schedule, and Financial information.

To enter the IPABS-IS Report Module, log onto IPABS-IS on the Internet at <https://ipabs-is.em.doe.gov/ipabs> and enter your user name and password. Contact the IPABS-IS help desk at 703-345-2106 if you need access to IPABS-IS and do not have a user name and password. Once you have logged onto IPABS-IS, select the [IPABS-IS Web Reporting Module](#) hyperlink to enter the IPABS-IS Report Module.

7.1.1 What is the Difference Between the Reports in the Report Module and the Data Entry Module?

Reports are available in two places in IPABS-IS – the Report Module and the data review portion of the Data Entry Module. In the early stages, there will be some overlap between reports in

these two locations. However, through time, you will see a greater delineation. The Data Entry Module will provide reports focused on data review and validation for those who are entering data. The Report Module will evolve into a comprehensive tool that will include:

- A wide array of reports that summarize recently provided data in IPABS-IS
- Multiple datasets to report both current and historical data
- Reports that roll up and present data in special formats (e.g., QMR charts and graphics)
- Analytical tools to “slice and dice” and directly query EM Corporate Data

7.1.2 Using Adobe Acrobat Reader

The IPABS-IS Report Module uses portable document format (.pdf) technology to view and print reports. In order to view and print reports in .pdf format, you need to have Adobe Acrobat Reader 3.01 or higher installed.

To check to see if you have Adobe Acrobat Reader installed, follow the instructions below:

- Step 1 Click on the **Start** button on the bottom of your screen and go to **Programs** button to view all the programs installed on your computer.
- Step 2 Scroll to the top of the list of **Programs** and look for Adobe Acrobat.
- Step 3 If Adobe Acrobat is in list of programs, you do not have to install Adobe Acrobat. If you do not see Adobe Acrobat, continue on to Step 4.
- Step 4: If you need to install Adobe Acrobat Reader, enter the IPABS-IS Report Module and select the **Help** tab from the navigation bar (see Section 7.1 for instructions on accessing the IPABS-IS Report Module). In the help document, select the Before You Begin hyperlink from the Table of Contents and click on the Download Abode Acrobat Reader 3.01 hyperlink.

To check the version of your Adobe Acrobat Reader, follow the instructions below:

- Step 1: From the Help menu in Acrobat Reader, click About Acrobat Reader and look for the version number.

- Step 2: If the version number is lower than 3.01, Adobe Acrobat Reader must be updated.
- Step 3: If you need to update Adobe Acrobat Reader, enter the IPABS Report Module and select the Help tab from the navigation bar (see Section 7.1 for instructions on accessing the Report Module). In the help document, select the [Before You Begin](#) hyperlink from the Table of Contents and click on the [Download Adobe Acrobat Reader 3.01](#) hyperlink.

If the **Open With** dialogue box appears when a report in .pdf format is opened in the IPABS-IS Report Module, then Adobe Acrobat Reader is not installed. If a report in .pdf format is opened and it appears in an incorrect format, the Adobe Acrobat Reader installed is an old version. Follow the directions above to install or update Adobe Acrobat Reader.

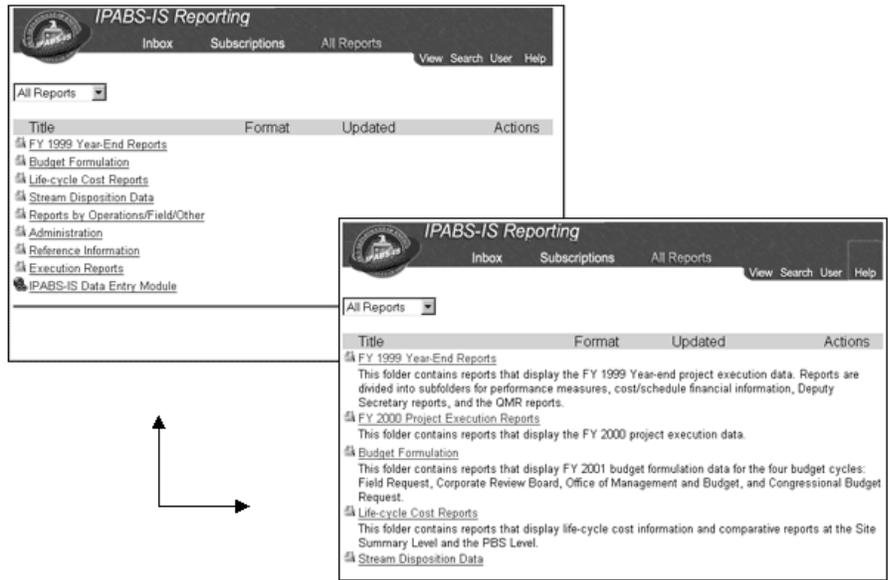
7.1.3 Main View of All Reports

The main view of the Report Module is called the **All Reports** screen. The report framework on this screen allows users to navigate through the Report Module and select reports specific to a functional area.

Depending on how your user profile is set up, you may first enter a **Welcome** screen when you enter the IPABS Report Module that allows you to Start using the IPABS Report Module, to enter the online Help document, to take a Quick Tour, or to set your user Preferences. To access the **All Reports** view, select **Start**. If you do not want to view this screen in the future, uncheck the box titled “Show this Welcome page at startup”.

Each report and most folders have descriptions that clarify the type of information being displayed. The view of the report framework can be changed to include or exclude folder and report descriptions by selecting the **View** tab on the top right corner of the screen.

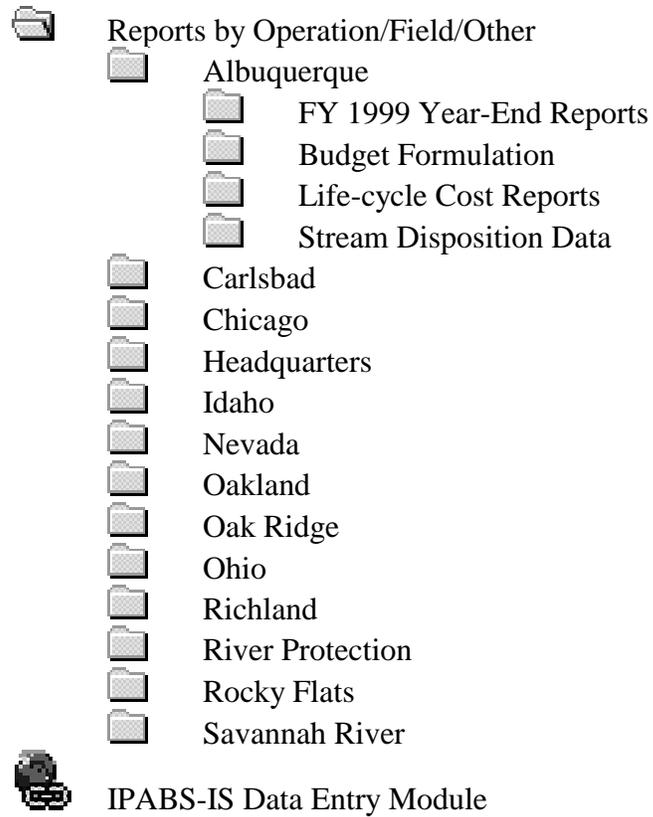
Figure 7.1: Using the View Tab



7.1.4 Report File Structure

The **All Reports** screen provides a report file structure that organizes available reports and documents by functional area (i.e. Life-cycle Cost, FY 1999 Year-End Reports, Stream Disposition Data). Users can drill down through this structure to access reports and reference materials. As more reports become available, this framework will be expanded to accommodate additional functional areas. At any time, users can easily return to the report file structure by clicking on **All Reports** from the navigation bar or by selecting **All Reports** from the drop down menu. You can also re-enter the IPABS Data Entry Module from the **All Reports** view. The report file structure is as follows:

-  All Reports
 -  FY 1999 year-End Reports
 -  Performance Measures
 -  Budget Formulation
 -  FY 2001 Field Request
 -  FY 2001 CRB
 -  FY 2001 OMB
 -  Comparative Reports
 -  Life-cycle Cost Reports
 -  Stream Disposition Data
 -  Reference Information



7.1.5 General Information about Reports

The IPABS-IS Report Module has different types of reports for different information needs. Each type of report uses an unique icon depending on whether you are updating a report or simply viewing a report. When you update a report, the data is refreshed as the report is selected; however, when you simply view a report, the report data has already been updated by either the report administrator or as a result of running the report previously. The **Updated** column in the report information will display the date of the data in each report.

Icon	Meaning
	You can view but cannot update the report.
	You can view the report. Also the report will be updated when you open it.

Icon	Meaning
	You can view the report but it will not be updated automatically when you open it.
	You can gain access to a related Web site by clicking on this hyperlink.

7.1.6 Report Priorities

The IPABS-IS Report Module prioritizes reporting needs based on the schedule for data updates. The initial focus of the Report Module is on establishing FY 1999 Year-End Performance Measure reports and Cost, Schedule, and Financial information reports. The following reports are available:

FY 1999 Year-End Reports:

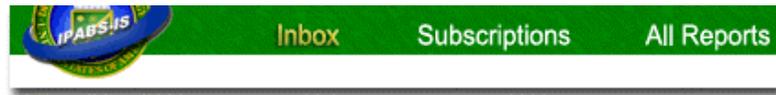
- FY 1999 Performance Measures by PBS
- FY 1999 Performance Measures by Office
- FY 1999 EM Corporate Performance Measures
- FY 1999 EM Corporate performance Measures by Metric
- FY 1999 Project Execution Decommissioning List
- FY 1999 Project Execution Deactivation List
- FY 1999 Project Execution Technology
- Deployment PBS Detail

The report module will include reports related to the fall budget update, life-cycle planning, including Stream Disposition Data, and the Spring budget, as data related to those business processes becomes available.

7.1.7 IPABS-IS Report Module Navigation Bar

You can change the IPABS-IS Report Module to view to see different groups of reports by using the navigation bar at the top of

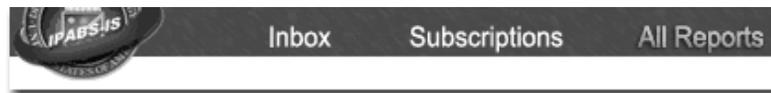
the screen. When the view is changed, the navigation bar changes by highlighting the current view in yellow.



The **Inbox** view displays the latest results for reports that the user has updated or subscribed to.



The **Subscriptions** view lists the reports the user has subscribed to. The user may change report properties and remove subscriptions in this view (see Section 7.3 for more detailed instructions).



The **All Reports** view displays the reports organized in a file structure.



The **View** tab toggles the folder and reports descriptions on and off.

The **Search** tab allows the user to search for reports and documents using key words.

The **User** tab enables the user to customize IPABS-IS Web Reports. For example, the user may change the startup view for the welcome page, toggle off/on the folder and report description, and show/hide report formats.

The **Help** button opens the IPABS-IS online guidance.

7.2 Opening a Report

To open a report in the IPABS-IS Report Module, you must first log into IPABS-IS at <https://ipabs-is.em.doe.gov/ipabs> with your user name and password. Contact the IPABS-IS help desk at 703-345-2106 if you need access to IPABS-IS and do not have a user name and password. After entering your user name and password, select the [IPABS-IS Web Reporting Module](#) hyperlink.

From the **All Reports** screen, choose one of the following options:

- If you are interested in a specific Office, choose the Reports by **Operations/Field/Other Office** folder to view pre-filtered reports.
- If you want to view rollup reports or want to customize your report to include a specific set of Offices, choose one of the business process/functional area folders such as the **FY 1999 Year-End Performance Measures**.

You can navigate through the file structure to access the specific report you want based on the business process/functional area you are interested in. If you chose to view pre-filtered reports from the **Reports by Office** folder, simply select the report name and the report will run. If you chose to view rollup or customized reports, please follow Steps 1-5.

Instructions for Opening a Rollup or Customized Report

- Step 1: Click on the report name. If you are prompted, select the name of the Office you want to view by clicking on the Office name. To select more than one office, hold down the **Control** (Ctrl) key on your keyboard and use your mouse to select multiple Offices. You may need to wait a few seconds for the prompt to appear.
- Step 2: Click on the **Finish** button on the bottom of the screen to update the report.
- Step 3: To view the report you have just selected, click on the **Inbox** button.
- Step 4: In the Inbox, you may need to select the **Refresh** button at the top of your browser until the report you updated appears in bold and the time and date appears in the **Updated** column.
- Step 5: Open the report by clicking on the report title.

If you open a report that is updated before it is viewed, you will receive a message indicating that the report has been queued for updating. To view the report, go to the **Inbox** view or to the **Report Property** page, select “Default Actions and Export Formats” and click on View from the drop down list.

7.2.1 Using the Front Page on Each Report

The first page of each IPABS-IS report displays information about the report to help determine what data are being reported. Each report includes a report description and a list of the filters that were used in the report. To access data on the second page, use the scroll bar on the bottom right side of the screen or use the arrow button in the Adobe Acrobat Reader toolbar.

7.2.2 Opening Reports in Netscape or Internet Explorer

The IPABS-IS Report Module is compatible with both Netscape and Internet Explorer. Both browsers use .pdf formats to display reports. When using Netscape as your Internet browser, Adobe Acrobat Reader will open the reports in a new window of your browser. To return to the file structure, first close or minimize Adobe Acrobat Reader, then select **Parent Folder** in the bottom left corner of your browser or use the back button on your browser. If you are using Internet Explorer, Adobe Acrobat Reader will open reports directly within your browser. To return to the file structure, either select **Parent Folder** from the bottom left corner of your browser or use the back button on your browser.

7.2.3 Opening Reports in Different Formats

Reports usually appear in a .pdf file when they are viewed. They can also be viewed in an Excel (.xls) or text (.csv) file provided that the report was created for one or both of these formats. The formats available for a specific report can be determined by clicking the **Properties** icon in the **Actions** column before you view the report.

Step 1: In the Actions column, click the Properties icon for a report in any view.

Opening a Report in Different Formats

- Step 2: From the Available Actions box, select a View option with a different format.
- Step 3: If the User Class box appears, select a user class.
- Step 4: Click Go.
- Step 5: If there is a prompt to either open the file or save it on your computer, open the file.

7.3 Subscribing to Reports

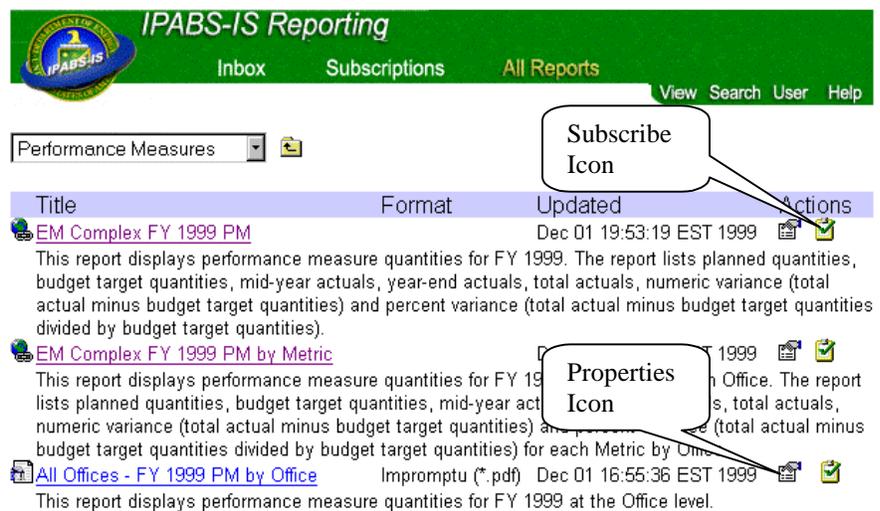
Subscribing to a report is similar to subscribing to a magazine. You subscribe to a magazine to receive a specific number of issues within a given time period. Subscribing to a report gives you easy access to the report and ensures that every time the report is updated the newest version will appear in your **Inbox**.

You can also schedule when your subscribed reports will be updated. Only reports that have yellow icons can be scheduled to be updated at specified times. To schedule a report to be updated, it must be subscribed to first.

Instruction for Subscribing to Reports

Step 1: In the **All Reports** view, click the Subscribe icon, located next to the report to subscribe.

Figure: 7.2 All Report View



Any report can be subscribed to. After the report has been subscribed to, the report appears in the **Subscriptions** view. If the report has all ready been subscribed to, the Subscribe icon does not appear in the **All Reports** view.

7.3.1 Customizing Subscriptions

After subscribing to a report, the subscription can be customized by defining its properties. The options for customizing reports depend on what type of report it is. For example, a report usually appears in a .pdf file when it is first viewed. If the report icon is yellow or white and the administrator makes additional formats

Instructions for Customizing Reports Subscriptions

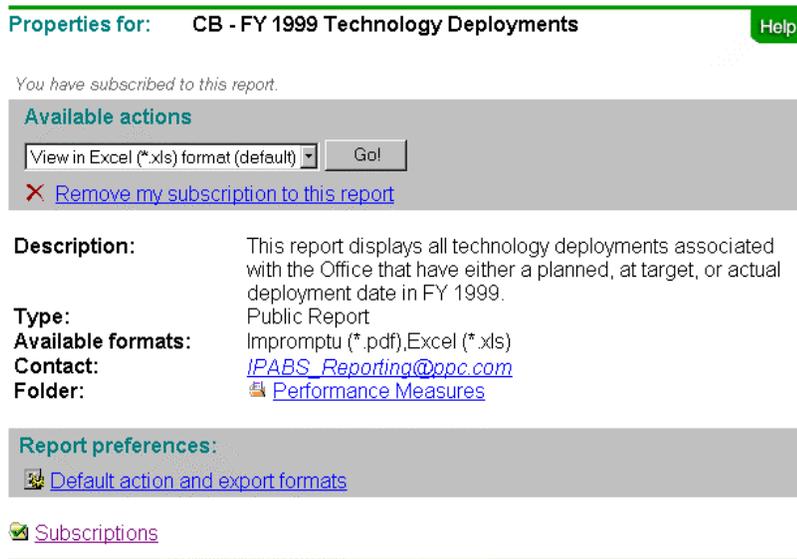
(besides .pdf) available, the default format used to view the report can be changed. If the report icon is yellow additional options will be available. You can customize the following settings in a report subscription:

- Change the default format for the report
- Update the report before it is viewed
- Choose the desired data by saving prompts
- Set the schedule

Step 1: Select the **Subscriptions** view from the navigation bar.

Step 2: Click on the **Properties** icon, click **Default Action and Export Formats** in the Report Preferences section.

Figure 7.3: Subscription Properties Screen



Step 3: Select one or more check boxes to specify the default actions (if available) and/or formats that the report should to be saved as.

Tip: To cancel a subscription, click the Remove icon beside the subscription in the **Subscriptions** view.

Step 4: If **Prompts** is available in the Report Preferences section, click **Prompts** to choose the prompt(s) that

the report will update for the specific data that you want to view.

- Step 5: If the Next button appears, click Next to select more prompt values, and then click OK to return to the Subscription Property page.
- Step 6: If **Schedule** is available in the Report Preferences section, click **Schedule** to define a schedule for the report.
- Step 7: Click the **Run Report** button to specify how often the report is to be updated, and then click OK to return to the Subscription Property page. Please note that your ability to update reports through scheduling is limited by the frequency with which the report database is updated. For example, even though you may schedule a report to run every hour, you will only get new data in that report when the report database is updated.
- Step 8: If it is specified that the report is to be run regularly, select the **Until** box and specify the schedule end.
- Step 9: In the Report Preferences section, click **Parent Folder** to return to the **All Reports** view.

Notes: All other report preferences must be indicated before setting the schedule. If they are not, the preference settings may not be included in the report.

The format options available in the **Default Action** box and **Export Formats** section depend on the available formats specified by the report administrator.

When subscribing to a report, **Export Formats** does not display a .pdf check box because all report results are generated in this format.

7.4 Printing Reports

Reports can be printed when they are viewed in either Adobe Acrobat Reader or Microsoft Excel.

Instructions for Printing Reports in Netscape

- Step 1: From the **File** menu of Adobe Acrobat, select Print.
- Step 2: Select the desired print options.
- Step 3: Click OK.

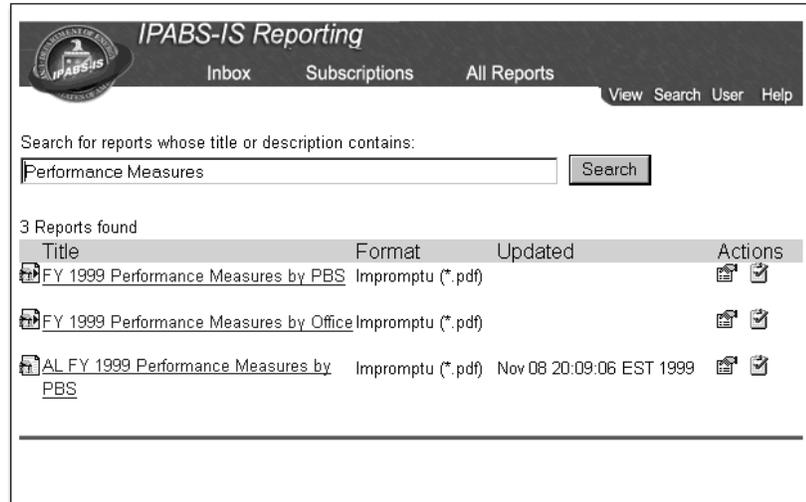
Instructions for Printing Reports in Internet Explorer

- Step 1: From the **File** menu of your Internet Explorer browser, select Print.
- Step 2: Select the desired print options.
- Step 3: Click OK.

7.5 Using the Search Function

The **Search** tab should be used to find a specific report by typing a word or phrase that appears in the report title or the report description. The search results appear below the text box (See Figure 7.4).

Figure 7.4: Search



Instructions for Report Searching

- Step 1: On the Navigation bar, click the **Search** tab.
- Step 2: In the “Search For Reports Whose Title Or Description Contains” box, type a word or a phrase.
- Step 3: Select Search.

Note: The search results show the first 100 matching reports. To limit the search, use more specific keywords.

7.6 Saving Reports

A report can be saved to the user's computer when it is viewed in Acrobat Reader or Excel.

Instructions for Saving Reports in Adobe Acrobat Reader

Adobe Acrobat

- Step 1: In any view, open a report that uses the .pdf format.
- Step 2: In the frame at the bottom of the screen, select **Save** from the box, and then click **Go**.
- Step 3: Specify that you want to save the file, and then navigate to the location where you would like to save the report.
- Step 4: Give the file a new name and save it with a .pdf (.ps) extension.
- Step 5: Click Save.

Instructions for Saving Reports in Excel

Excel

- Step 1: In any view, open a report that uses the .pdf format.
- Step 2: In the frame at the bottom of the screen, select **View in Excel** from the box, and then click **Go**.
- Step 3: Once the file has opened, go to the same box at the bottom of the screen and specify that you want to save the file, then click **Go**.
- Step 4: Navigate to the folder where the file is to be saved.
- Step 5: Give the file a new name.
- Step 6: Click Save.

To save a .pdf file, click the Properties icon in the Actions column, select Save from the **Available Actions** box, click **Go**, and then follow steps 3 through 5 in the Adobe Acrobat Reader procedure above.

If you use the Property page to save a copy of a report that has a yellow icon, and it has not been updated, a page appears indicating that the report is queued to run. A copy of the report can be saved to your computer after it has been updated.

7.7 Changing the Settings of the IPABS-IS Report Module

All changes to the appearance of the IPABS-IS Report Module are executed on the Preferences page. The Preferences page may be accessed by selecting the **User** tab on the navigation bar.

Options for the changing the settings of reports include the ability to:

- show or hide the **Welcome** screen when the IPABS-IS Report Module first starts
- choose a default view
- show or hide report descriptions

Figure 7.5: Preferences Screen

The screenshot shows a window titled "Preferences for: Administrator" with a "Help" button in the top right corner. The settings are as follows:

- Logged on as user class:** Root User Class
- Startup view:** All Reports (dropdown menu)
- Show the report format
- Show the descriptions
- Show the welcome page
- Passwords:** [Change logon password](#)

At the bottom right, there are "OK" and "Cancel" buttons.

Instructions for Preference Changes

The top of the Preferences page shows the user name and user class that are being used for the session.

- Step 1: On the Navigation bar, click the **User** tab.
- Step 2: From the **Startup View** box, select the view that you want to use as a default.
- Step 3: Choose one of the following:
- Clear the **Show the Report Format** box to hide the report format.
 - Clear the **Show the Descriptions** box to hide the report descriptions.

- Clear the **Show the Welcome Page** box so that the Welcome page does not appear when you enter the IPABS-IS Report Module.

Step 4: Click OK.

7.8 Frequently Asked Questions

This section provides easy access to answers to some of the frequently asked questions about the IPABS-IS Report Module.

7.8.1 Logging On

Question: Do I need to install any software on my computer to use the IPABS-IS Report Module?

Answer: No. You only need a Web browser and Adobe Acrobat Reader 3.01 or higher to view reports in the IPABS-IS Report Module.

Question: I have already logged on, but now I am being asked to do it again. Why?

Answer: You are asked to log on again if you have not used an application in the IPABS-IS Report Module for 60 minutes.

Question: When I log into the Report Module, I get a message that asks if it is okay to accept cookies. What are cookies and how do I change my settings to accept them?

Answer: Some Web sites store information in a small text file, called a "cookie," on your hard disk. Cookies contain information about you and your preferences based on how you changes settings on the web page and where you visited. To accept cookies, go to **Tools/Internet Options** from your browser toolbar. Select the **Security** tab and click on **Custom Level**. Scroll to the **Cookies** portion of the settings and select the **Enable** radial dial for both the "Allow cookies to be stored on your computer" and "Allow per-session cookies". You can also select the **Prompt** radial dial so that you will be notified of sites that use cookies before you choose to accept them. Select **Okay** and the changes to your browser setting will be saved.

Question: I have a user name and password but I cannot log into IPABS-IS. Why?

Answer: Either your user name and password is not correct or you do not have Cookies enables in your browser settings. If you think your user name may not be correct, contact the IPABS-IS Help Desk (703-345-2106) to find out your correct username and

password. If you are sure that your user name is correct, then check to be sure that your Cookies are enabled. To accept cookies, go to **Tools/Internet Options** from your browser toolbar. Select the **Security** tab and click on **Custom Level**. Scroll to the **Cookies** portion of the settings and select the **Enable** radial dial for both the “Allow cookies to be stored on your computer” and “Allow per-session cookies”. You can also select the **Prompt** radial dial so that you will be notified of sites that use cookies before you choose to accept them. Select **Okay** and the changes to your browser setting will be saved.

7.8.2 Opening Reports

Question: I am looking for a report that I viewed yesterday, but now I can't find it. What happened?

Answer: The report administrator has probably taken the report offline to make some changes. You can wait and try again later, or contact your report administrator for more information.

Question: Some of the report titles are wrapping to the next line. How do I fix this?

Answer: Your screen appearance setting may be set to large fonts. If you change your Web browser's default font size, you can reduce or prevent report titles from wrapping to the next line.

You can also hide the Formats column to make room for the report title. To hide the Formats column, click the Set Your Preferences icon in the top-right corner of your Web browser window, clear the Show the Report Format check box, and then click OK.

Question: When I tried to open a report with a yellow icon, I received the message that the report was queued to be run. What does that mean?

Answer: This means that your request to open the report has been added to a list of report requests from other users. When your report request reaches the top of the list, the report is updated and then sent to your Inbox view so that you can open the report.

Question: When I tried to open a report with a yellow icon that is not supposed to be updated before I open it, I received the message that the report was queued to be run. Why?

Answer: This type of report is updated only if the report has not been run before. The next time you open the report, it shows the results from the previous update.

Question: I opened a report using a bookmark yesterday, but now it doesn't work. Why?

Answer: Are you are a member of more than one user class? If you are, you may have bookmarked the report using a different user class than the current one. Try logging on as a different user class.

7.8.3 Subscribing to Reports

Question: What is a subscription?

Answer: A subscription is a setting that you configure when you want to see a particular report every time it changes. When you subscribe to a report, it appears in the Inbox view each time the report is updated.

Question: After I subscribed to a report, the Subscribe icon still appeared when I returned to the All Reports view. Isn't it supposed to disappear after you subscribe to a report?

Answer: Yes. Your Web browser may be showing a previously cached version of the All Reports view. You can refresh the All Reports view or clear your cache to view the most recent data. For information about caches, see the documentation for your Web browser.

7.8.4 Updating Reports

Question: Why can I update some reports and only view others?

Answer: The icons that appear beside a report tell you whether you can update a report. If you see



, you can view, but not update this report.



, you can specify when to update this report. This report is not updated when you open it.



, you can specify when to update this report. The report is updated whenever you open it.

Question: When I update a report, where do I see the results?

Answer: When you update a report, you can go to the **Inbox** view to read the report when it is ready or the **Report Property** page to view the report when it is ready

Updated reports appear in the **Inbox** view as unread items in bold text. Subscriptions also appear in the **Inbox** view every time the reports update. You may need to refresh the **Inbox** view to see the updated report. When you update a report that uses a yellow icon, it appears only in your **Inbox** view and can be viewed only by you.

Question: How can I request changes (i.e., format, data fields) to a report or request a new report in the IPABS-IS Report Module?

Answer: If you would like to request a change to an existing report or would like to propose a new report for the IPABS-IS Report Module, contact Jill Bilyeu at 301-903-7228 or Terri Lamb at 202-586-9007. In the future, you will be able to submit change requests online in the IPABS-IS Report Module.

7.9 Glossary of Icons and Terms

Icon	Description
	A yellow icon that indicates a report that you can view and update.
	A yellow icon with an arrow that indicates a report that you update for subsequent viewing from the Inbox.
	A gray icon that indicates a report that you can view but not update.
	Searches for a specific report.
	Opens the Inbox, which shows the latest results for reports that you've updated or subscribed to.
	Shows available reports organized by report folders.
	Shows your favorite reports.
	Subscribes to a report.
	Shows the properties of a report, such as available actions, contact person, and description.
	Removes the selected report from the Inbox or Subscriptions list.
	Enables you to customize the settings on the IPABS-IS Report Module. For example, you can change the default view used when you start IPABS-IS Report Module.
	Opens the IPABS-IS Report Module online Help.
	Shows and hides the description of reports.

Term	Meaning
All reports	A view that lists all the reports and report folders that can be accessed.
Inbox	<p>A view that lists the reports and URLs that have changed since you last read them. Reports and URLs appear in this view when</p> <ul style="list-style-type: none"> - A report or URL to which you subscribed is updated - You update a report from the All Reports view or the Subscriptions View
<p>Personal Report (Two forms)</p> <div style="text-align: center;">   </div>	<p>A report that can be updated. These reports always have yellow icons.</p> <ul style="list-style-type: none"> -A report that will not automatically be updated before it is opened. -A report that will automatically be updated before it is opened.
<p>Public report</p> <div style="text-align: center;">  </div>	<p>A report that can be viewed, but not updated. This type of report is updated according to a schedule defined by the report administrator. These reports always have white icons.</p>
<p>Report Module Administrator</p>	<p>The federal Point of Contact for the IPABS-IS Report Module: Jill Bilyeu (301) 903-7228.</p>

Term	Meaning
Subscription	A view that shows the reports that have been subscribed to.
User Class	A group of users who have the same access permissions.

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8.0 Budget Execution Module

To be provided.

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9.0 Administration Module

Included in Volume 2 of the IPABS Integrated Guidance.

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