DEPARTMENT OF THE INTERIOR
FACILITIES MAINTENANCE AND CAPITAL IMPROVEMENTS

The Department of the Interior (Interior) owns and operates over 34,000 buildings, 120,000 miles of roads, and a wide variety of other constructed assets. These facilities serve nearly 380 million visitors annually. They provide schooling for 53,000 native American children and a place of work for 45,000 Interior employees. The value of these assets is measured in billions of dollars. Many are considered priceless for their historical significance. As the steward of these assets, Interior is committed to improving the maintenance of these existing facilities and making the capital investments in new facilities that are essential to it's mission. To this end, the facilities maintenance and construction management improvements described below are being instituted Interior-wide.

This Attachment provides directions on 1) the Five-Year Maintenance and Capital Improvement Plan, 2) compliance with Federal Accounting Standards Advisory Board #6 deferred maintenance requirements, and 3) review of facilities-related information systems requirements.

I. FIVE-YEAR MAINTENANCE AND CAPITAL IMPROVEMENT PLAN

OBJECTIVES OF THE PLAN

The development of the Five-Year Maintenance and Capital Improvement Plan (the Plan) is an important step in the improvement of Interior's infrastructure for the next millennium. The Plan will start with Fiscal Year (FY) 2000 and cover the five-year period through FY 2004 (See Exhibit 1). It will be updated annually. The completion of deferred maintenance and capital improvement projects funded since FY 1999 will also be reported annually.

The Plan has several important objectives. It will help us better understand Interior's accumulated deferred maintenance needs and to comply with the Federal Accounting Standard (FASAB) Number 6 on deferred maintenance reporting. In addition, it will aid Departmental planning for future capital improvements.

Through the use of a set of common definitions for facilities management terms in this Interior-wide planning process, Interior will be able to present a more consistent and credible view of its budgeted resources and capital investments, goals, needs and priorities to the Administration and the Congress.

Data developed during the formulation of the initial plan and through the annual updates will provide a greatly improved foundation for making facilities management decisions. Through the implementation of a Interior-wide assessment of facilities condition, updating the facilities inventory, and by tracking the completion of projects we will be able to monitor our progress toward addressing accumulated deferred maintenance needs.

The ultimate success of improving the stewardship of constructed assets will be measured by our ability to reduce accumulated deferred maintenance for Interior facilities. To insure the sustainability of that accomplishment, annual maintenance should be adequately funded so that essential maintenance is no longer deferred. The planning and performance measurement processes described here will help establish what that funding level should be.

Concurrent with the development of the Plan, improvements to the Interior budget structure and accounting systems are being made to enable us to measure the effectiveness of our facilities management programs more accurately. In addition, in response to Congressional interest, a review of Interior's facilities-related information systems is being initiated to identify user needs and functional requirements, and to assess the potential for sharing common systems approaches among bureaus.

DEFINITIONS

A set of Common Definitions of Facilities Maintenance and Construction Terms (See Exhibit 2a) was developed in February 1998 by the Interior Deferred Maintenance Working Group. Based on input from the Office of Management and Budget and Congressional Committee Staffs, the definitions have been clarified to reduce confusion with certain terms used in the budget structure.

Exhibit 2b illustrates the four primary types of facilities management functions: Operations, Annual Maintenance, Deferred Maintenance, and Capital Improvements, as well as a number of other commonly used terms which describe methods by which those primary functions are accomplished. The Plan is concerned with Deferred Maintenance and Capital Improvement needs and projects. Changes being made to Interior's budget structure and accounting systems are intended to make a clear separation between Operations and Maintenance.

THE PLANNING PROCESS

The planning process will annually provide the single information base on facilities needs for the formulation of the Department and bureau budgets, for compliance with FASAB Number 6, and for measuring the performance of the facilities management programs. The schedule below for FY 1998, the first year of the planning process, includes the deadlines for preparation of bureau and Departmental budgets for FY 2000.

The Plan will include all deferred maintenance and capital improvement needs for all types of facilities regardless of how the work to satisfy those needs is expected to be funded. This means that in addition to the deferred maintenance needs (i.e. repair and rehabilitation) and line item construction needs called for in the budget submissions, all other facilities deferred maintenance and capital improvement needs should be included in the Plan. The specific budget line items for which new five year project lists are to be developed for the FY 2000 budget are discussed and identified on page 10. For other programs (e.g., replacement school construction, dam safety, and Federal highway program projects) existing priority lists will be used. Office equipment or other equipment needs that are not facilities-related would not be included in the Plan.

FY 2000 Budget and Five-Year Plan Schedule

Bureaus are to develop and submit their FY 2000 Five-Year Maintenance and Capital Improvement Plan and the FASAB 6 deferred maintenance information on the following schedule:

June 15, 1998, bureaus submit FY 2000 Budgets to the Department without project lists but including the methodology being used to develop both the Five-Year Plan and the FASAB #6 deferred maintenance report.

August 1, 1998, bureaus submit to the Department their Five-Year Maintenance and Capital Improvement Plans, prioritized lists of projects for the FY 2000 Repair and Rehabilitation and for Line-Item Construction budget line items, and lists of identified deferred maintenance needs not included in the timeframe of the Plan but required for FASAB #6 reporting.

August 1, 1998, completion of the Departmental review of facilities-related information systems requirements and any related FY 2000 budget proposals for systems requirements.

September 1, 1998, Department submits FY 2000 Budget and Five-Year Maintenance and Capital Improvement Plans with projects to OMB.

October 1, 1999, implementation of changes to Departmental and bureau budget and accounting structures for FY 2000.

November 1, 1998, bureaus submit FY 1998 deferred maintenance needs list to bureau auditors in support of the bureau FASAB financial statement reporting requirement.

November 24, 1998, OMB Passback to the Department.

November 30, 1998, bureaus submit to the Department their final FY 1998 deferred maintenance needs list to be the basis for the Consolidated Financial Statements FASAB deferred maintenance reporting requirement.

February 2, 1999, Department submits FY 2000 Budget and Five-Year Maintenance and Capital Improvement Plans to the Congress.

February 1999, follow-up hearing on facilities maintenance and construction with the House Committee on Appropriations, Subcommittee for Interior and Related Agencies.

Starting with the FY 1999 budget, the Department has committed to the Office of Management and Budget (OMB) and the Congress that completed facilities deferred maintenance and capital improvement projects will be reported annually. Consequently, the following step will be added to the schedule starting in FY 1999.

November 15, 1999, bureaus report completions of projects funded in FY 1999.

Annual Update

Interior's Five-Year Plan will require annual updating in accordance with the timetable described above. This is so that the budget request will continue to reflect a five-year picture of the bureaus' deferred maintenance and capital improvement needs. The annual update presents the opportunity for the bureaus to adjust their project priorities based on newly identified needs or previously identified needs that have become critical during the past year. There may also be deferred maintenance needs in the out-years of the Plan that, during the current year, have been addressed through annual maintenance or other means and need to be removed as part of the updating of the Plan.

Similarly, with these annual updates of the Plan, each bureau is to report on the completion of projects funded in the past fiscal years of the Plan. This will be accomplished by providing that data on the last column of the Summary Project Ranking List (see below).

Categories of Facilities Maintenance and Construction Needs

Projects listed in the bureaus' Five-Year Plan are to be identified in one or more of the categories below.

Critical Health and Safety Deferred Maintenance Need. A facility deferred maintenance need that poses a serious threat to public or employee safety or health.

Examples:
A public building that is diagnosed to be at high risk for structural failure.
Compliance with Notices of Violation (OSHA, EPA, etc.).
Implementation of court-ordered repair or clean-up schedules.
Safety deficiencies at "High Hazard" and "Significant Hazard" dams that if not corrected may cause the structure to fail, resulting in public or employee injury or death.
Road projects (non-ISTEA eligible) to correct serious safety deficiencies.

Critical Health and Safety Capital Improvement Need. A condition that poses a serious threat to public or employee safety or health and can only be reasonably abated by the construction of some capital improvement.

Examples:
Construction of new facilities to comply with notice of violation.
Construction of additional vault toilets at a recreational site that has experienced increased visitation resulting in the overflow of existing vault toilets and/or visitors using other than provided facilities.

Critical Resource Protection Deferred Maintenance Need. A facility deferred maintenance need that poses a serious threat to natural or cultural resources.

Examples:
Deficiency that poses the risk of serious decline in a fish or wildlife resource.
Repairs to a building housing a museum collection which is threatened because of the poor building condition.

Repair of a sewage system that has breached and is leaking into a perennial stream system.

Critical Resource Protection Capital Improvement Need. A condition that poses a serious threat to natural or cultural resources.

Examples:
Construction of a recreational site to protect the resource from environmental degradation due to a change in use patterns.

Critical Mission Deferred Maintenance Need. A facility deferred maintenance need that poses a serious threat to a bureau's ability to carry out its assigned mission.

Examples:
Deficiency in electrical power generation capacity.
Repair of deferred maintenance items at a visitor center or other public facility that if not accomplished will quickly compromise the public's investment in the structure.

Compliance and Other Deferred Maintenance Need. A facility deferred maintenance need that will improve public or employee safety, health, or accessibility; compliance with codes, standards, laws, complete unmet programmatic needs and mandated programs; protection of natural or cultural resources or to a bureau's ability to carry out its assigned mission.

Examples:
Providing universal ADA accessibility.
Compliance with Federal, state, and/or local building codes.
Facility repair or rehabilitation to increase program efficiency.
High-payout energy conservation proposals.

Notes: Needs identified under the this category should be coded to enable retrieval of those needs addressing health, safety, accessibility, and other code compliance requirements ("unfunded requirements").

Other Capital Improvement Need. The construction of a new facility or the expansion or rehabilitation of an existing facility to accommodate a change of function or new mission requirements.

Examples:
Construct a visitors center at a new national park.
Major alteration to a school dormitory to convert it's function to academic classroom use.

FY 2000 Interior Budget Priorities

The Department of the Interior is committed to reducing its accumulated deferred maintenance on existing facilities before constructing most new facilities. When developing the FY 2000 Budget and the Five-Year Maintenance and Capital Improvement Plan, bureaus are to rank and prioritize

projects with highest emphasis on critical deferred maintenance needs in health and safety, resource protection, and bureau mission. New capital improvements not concerned with compelling health and safety or resource protection needs will only be funded in exceptional situations.

To provide greater consistency Department-wide, projects are to be ranked using a weighting process based on the percentage of the work (total project $) that falls in each of the Categories of Facilities Maintenance and Construction Needs described elsewhere in this Attachment. The weighting factors to be applied are:

Critical Health and Safety Deferred Maintenance (CHSdm)	10	
Critical Health and Safety Capital Improvement (CHSci)	9	
Critical Resource Protection Deferred Maintenance (CRPdm)		7
Critical Resource Protection Capital Improvement (CRPci)	6	
Critical Mission Deferred Maintenance (CMDM)		4
Compliance and Other Deferred Maintenance (C&ODM)	3	
Other Capital Improvements (OCI)	1	

Based on these weight factors, projects are to be ranked using the following calculation:

(%CHSdm x 10) + (%CHSci x 9) +(%CRPdm x 7) + (%CRPci x 6) + (%CMDM x 4) + (%C&ODM x 3) + (%OCI x 1) = RANK SCORE

NOTE: The total of the percentages for a project must equal 100% and not exceed it.

This ranking formula may appear to be complex. However, it is designed to accommodate all types and sizes of projects, from the simple to the complex. It can be easily adapted to personal computer spreadsheet software for ease of computation. It places the highest priority on facility-related Critical Health and Safety and Critical Resource Protection deferred maintenance needs in that order. Capital improvement projects that eliminate substantial amounts of deferred maintenance receive a higher rank score than projects that do not address deferred maintenance needs. As bureaus reduce the accumulated deferred maintenance in these categories, funding will be directed to lower priority deferred maintenance and new capital improvement projects. Complex projects including many items of work involving both maintenance and capital improvements may have portions of the project in several of the ranking categories. Smaller, less complex projects may include work in only one or two of the ranking categories. Some example projects and their RANK SCORE calculation are shown below:

Sample Project 1: Repair Water Treatment Plant - $135,000

Description: Correct water treatment plant deficiencies which pose a health threat to employees and visitors.

The percentage of this is 100% CHSdm. The project's RANK SCORE would be: 100 x 10 = 1000.

Sample Project 2: Replace Concrete Fish Rearing Tanks - $650,000.

Description: Replace deteriorated reinforced concrete rearing tanks used for endangered fish species.

The percentage of this is 100% CRPdm. The project's RANK SCORE would be: 100 x 7 = 700.

Sample Project 3: Rehab Headquarters Office Facility To Meet Codes - $165,000

Description: The rehabilitation is to correct critical health and safety deficiencies by (1) providing a fire alarm system, which is currently lacking for the new headquarters office annex building, (2) providing fire suppression systems for storage rooms in the old headquarters office building, (3) installing a fume hood and, (4) installing an eye wash station. To comply with the requirements for the National Electrical Code, the project includes replacing and repairing the portions of the electrical system in the old headquarters office building.

The percentage of this project in the categories might be 70% CHSdm and 30% C&ODM. The project's RANK SCORE would be: (70 x 10) + (30 x 3) = 790.

Sample Project 4: Protect Wetlands and Dunes - $30,000

Description: Wetlands is habitat for endangered species. Replace broken guardrails and hardware protecting wetlands and coastal dunes from off-road vehicles. Repair deteriorated boardwalk in viewing area for visitor safety.

The percentage of this project in the categories might be 80% CRPdm and 20% CHSdm. The project's RANK SCORE would be (20 x 10) + (80 x 7) = 760.

Sample Project 5: Provide Vehicle Maintenance Garage - $280,000

Description: Location is in sub-zero winter temperature zone and requires maintenance of snow removal and other equipment. No vehicle maintenance building exists and OSHA has cited the location as unsafe because vehicle maintenance staff must work in exposed, sub-zero conditions. Project consists of constructing a new maintenance garage and includes a 200 square foot office (the office is 15% of the cost of the project).

The percentage of this project in the categories might be 85% CHSci and 15% OCI. The project's RANK SCORE would be (85 x 9) + (15 x 1) = 780.

Sample Project 6: Construction of a New Campground Area - $450,000.

Description: Increased visitor demand calls for construction of a new 100 site campground with water and restroom facilities.

The percentage of this project in the categories might be 100% OCI. The project's RANK SCORE would be 100 x 1 = 100.

The bureaus are required to use the Departmental ranking system for their various facilities-related programs. However, for line-item construction projects, if bureau has a different formal ranking process already established, it may provide the Department Office of Budget with a written proposal by May 29, 1998, describing how the existing ranking process achieves or will be adapted to achieve the priorities of the Departmental ranking system. The bureaus will be notified of acceptance or rejection of their proposals.

Data Requirements

For each project in the Five-Year Plan, bureaus must submit project information and justification in one of two forms. If the project would be typically described as a "Line-Item Construction" project in the budget justification or it is of a size, duration (multi-year), or complexity that it is to go through a formal planning and design process, the information on the Project Data Sheet (Exhibit 3) must be completed and submitted. To facilitate project review, a Summary Project Data Sheet (Exhibit 4) will also be prepared by extracting selected data from the Project Data Sheets.

Projects that would be typically described as smaller, shorter duration, and less complex deferred maintenance ("Repair and Rehabilitation"), and not normally requiring extensive planning and design, will be listed on a Summary Project Data Sheet (Exhibit 4).

Detailed descriptions of the data elements on the Project Data Sheet and Summary Project Data Sheet are provided in Exhibits 3 and 4. Both the Project Data Sheet and Summary Project Data Sheet will be part of Interior's submission to the OMB and the Congress.

The data required for the Five-Year Plan will also partially support compliance with the FASAB requirement for reporting the deferred maintenance on Interior's facilities in the annual financial statements. However, FASAB requires that all deferred maintenance be reported regardless of when it might be performed, not just that included in the Five-Year Plan. For additional information see the section below on Compliance with FASAB #6 Requirements.

Budget Structure Changes to Support the Five-Year Maintenance and Capital Improvement Plan
As part of the Five-Year Plan, the Department proposes some budget structures changes to better reflect categories of facilities appropriations.

1. Current budget structures in the land management agencies and the Bureau of Indian Affairs do not distinguish between facility operations and facility maintenance. As reflected in the Department's common definitions (See Exhibit 2a), there is a significant distinction between these two categories. Facility operations include such costs as utilities, janitorial and grounds services, and waste management. These are basically costs of operating a facility to support program operations. They contribute only indirectly to the upkeep necessary to achieve the originally anticipated useful life of a facility. Facility maintenance, on the other hand, is work that is directly related to upkeep of fabric and components of a facility. It includes both annual and preventative maintenance, cyclic maintenance, repair and rehabilitation.

To better gauge the level of spending for facility maintenance, the Department proposes that it be shown as a separate subactivity or program element (as appropriate) in bureau budget structures. Areas where this change is needed are:

BLM	MLR Facilities Maintenance
	Western Oregon Facilities Maintenance
	Wildland Fire Preparedness
FWS	Refuges and Wildlife
	Fisheries
NPS	Maintenance
BIA	Education Operations and Maintenance
	Fish Hatchery Operations and Maintenance
	BIA Facilities Operations and Maintenance

FWS should also address in its budget structure, funding for maintenance at the National Conservation Training Center and the Bavin Forensics Laboratory.

Maintenance is not currently reflected as a discrete item in the Geological Survey. USGS should propose a budget structure approach that will better identify its maintenance requirements. The Department recognizes that currently available data may not allow a precise split between base funding levels for operations and maintenance. Bureau budgets submitted to the Department should contain an estimate of the amount for each of the two categories. Through sampling or other means, these estimates should be refined in time to be reflected in the FY 2000 budget. Necessary steps should be taken to ensure that accurate values are recorded during FY1999 budget execution.

2. A majority of the work funded in bureau construction accounts is in fact work to repair and rehabilitate facilities that have deteriorated as a result of deferred maintenance. To reflect this fact, the Department proposes that the construction accounts in FWS, NPS and BIA be re-titled "Construction and Major Maintenance."

3. The Department proposes that dam safety and demolition be trackable elements within

bureaus financial reports if they are not currently so reflected. Dam safety projects are ranked Department-wide on the basis of criteria specific to dams and should be funded as a discrete item. Demolition is an important tool to reduce maintenance costs by removing unneeded, and often unsafe structures. Because there is not in all instances a clear funding source for demolition, it is often unnecessarily delayed. Bureaus are requested in
FY 2000 to set-aside a separate fund to be used exclusively for facility disposal projects. This will provide an added incentive to reduce costly, unneeded infrastructure.
Proposed bureau budget structures reflecting the above changes are attached as Exhibit 5.

FY 2000 Five-Year Project Lists and Funding Levels

The budget structure tables for BLM, FWS, NPS and BIA (Exhibit 5) indicate the budget activities or elements for which ranked Five-Year Plan project lists are to be submitted by August 1 for the FY 2000 budget. The National Park Service should additionally submit project lists for the balance of funds projected to be available under both the 80 percent and 20 percent shares of the Recreation Fee Demonstration program through the expiration of the program in FY 1999.

Within the context of the budget structure that it proposes for maintenance, USGS should submit a ranked five year project list of deferred maintenance projects.

For dam safety projects, the land management bureaus and BIA should follow the Department's dam safety priority list, rather than including dam safety projects in other priority lists. The Bureau of Reclamation should, similarly, continue progress on the Department's dam safety priority list. For other aspects of its maintenance and construction programs, the Bureau of Reclamation should submit information on the procedures and processes that it has in place to ensure that it does not develop a backlog of critical deferred maintenance.

The President's FY 1999 budget contains FY 2000 and out-year estimates for a number of the activities and programs for which Five-Year Plan project lists are requested. A funding target table based on these estimates is set out below. The amounts in this table are the minimum amounts that bureaus should propose for FY 2000. Project lists for FY 2001 through FY 2004 should similarly assume levels no less than those shown below. For activities and programs not covered by the table, FY 2000 and the out-years should be assumed to be **no lower** than the level proposed in the FY 1999 budget. BLM's facilities maintenance and construction budget increases proposed at $8.5 million in FY 1999 and $8.7 million in FY 2000.

		Five-Year Plan	
Budget Activity			

		1998 Enacted	1999 Request	2000 Estimate	2001 Estimate	2002 Estimate	2003 Estimate	2004 Estimate	Total
Maintenance	BLM								
	MLR Deferred Maint.	7.7	9.1	10.3	11.5	11.2	10.0	10.0	53.0
	O&C Deferred Maint.	1.3	1.4	1.5	1.8	1.8	1.4	1.4	7.9
	FWS								
	NWR MMS	35.7	46.6	61.0	76.0	68.0	53.0	53.0	311.0
	NPS								
	Repair & Rehab	32.6	70.0	70.2	74.9	71.6	68.0	68.0	352.7
Construction	BLM	3.0	4.0	5.0	6.0	6.0	4.0	4.0	25.0
	FWS	45.0	37.0	43.0	48.0	45.0	38.0	38.0	212.0
	NPS	215.0	175.0	214.0	252.0	228.0	188.0	188.0	1,070.0
	BIA (Schools)	54.0	87.0	87.0	87.0	87.0	87.0	87.0	435.0

CONDITION ASSESSMENTS

The validity of the Plan is dependent upon the bureaus having accurate and complete facilities information. In order to assure that the most critical needs are being addressed with priority in the Plan, it is essential that the bureaus have a complete inventory of their constructed assets and identify the cost of correcting the deferred maintenance needs associated with those assets. The Plan shall include deferred maintenance, all unfunded work required to bring a facility and it's collateral equipment to a condition that meets accepted codes, laws, and standards (e.g. life safety code, ADA, environmental regulations, etc.); and to preserve the facility so that it continues to provide acceptable services and achieves its expected life.

In addition, accumulation of facility data will provide the necessary information for compliance with the Federal Accounting Standard which requires annual reporting of deferred maintenance of fixed assets (FASAB Number 6, Accounting for Property, Plant, and Equipment). **Interior has chosen condition assessment as the method to be used for determining the deferred maintenance for each class of constructed asset.**

In line with the Government Performance and Results Act (GPRA) concept of performance-based budgeting, performance measurement in facilities management is anchored to inventory and condition assessment data. Budget formulation, allocation, and execution will impact a change in asset condition. The capability to measure that change, particularly by specific asset category, is essential for reporting accomplishments in the year-end GPRA report and the FASAB requirement.

The following steps are required to achieve Interior-wide consistency in determining the physical condition of constructed assets:

1. Initiate a uniform methodology and a core data set for the facility condition assessments so

as to ascertain the deferred maintenance and repair needs of all existing facilities and validate facility inventories.

2. Ensure that the condition assessments are conducted by competent and qualified personnel using uniform, comprehensive survey criteria.

3. Develop automated systems that accurately document facilities' needs; can be easily reviewed and updated by field and regional staffs; and are capable of being aggregated to any bureau and Department level. Documentation should include standard need descriptions and associated cost estimating procedures.

4. Establish for each bureau a cyclic/recurring condition assessment process where on-site inspections are conducted at a minimum every five years by qualified personnel to determine the condition and accuracy of the inventory and deferred maintenance needs.

It is understood that it will take a multi-year effort for the bureaus to accomplish complete condition assessments on all of their constructed assets. However, over time the process of cyclic condition assessments will greatly improve the quality of the Plan as annual updates are made with better facility needs data.

This type of assessment is an effective way of evaluating the success of the five year planning effort. Using the data collected in consecutive assessments, an accurate evaluation can be made as to whether an asset's condition is improving or declining.

The computation of the current replacement value of the asset as part of the condition assessment process will enable the bureaus to use the industry standard Facilities Condition Index (FCI) as a method of assessing the condition and change of condition of facilities. The FCI should be computed for each facility after a condition assessment is completed for the facility.

The FCI is the ratio of accumulated deferred maintenance to the current replacement value.

FCI = Deferred Maintenance/Current Replacement Value

FCI is an indicator of the depleted value of a bureau's constructed assets. In other words, the FCI illustrates the percentage of capital amount that a bureau would have to spend to eliminate the deferred maintenance. The general guideline is that the FCI should be held below 5 percent for a facility to be considered to be in good condition.

5. PERFORMANCE MEASURES

Improvement of Interior's facilities management programs may be measured in three ways. The first is by tracking the estimated cost of accumulated deferred maintenance. In the long-term this is expected to decline. However, in the short term, as the initial cycle of a formal condition assessment process in implemented, the amount of accumulated deferred maintenance may rise if the assessments uncover additional maintenance needs.

Computing the Facilities Condition Index (FCI) will provide another performance measure for Interior overall, the individual bureaus, types of similar facilities, and by the categories of needs. The improvement on the condition of facilities will be indicated by the absolute decline in the FCI as well as by its rate of change. The FCI will gain meaning over time as Interior's facilities inventory is updated to give an accurate measure of actual replacement value of the constructed assets.

An additional measure of performance will be the determination of the percentage of Departmental facilities that fall into the "Good," "Fair," and "Poor" condition categories. In the long term, the percentage in the "poor" category should be reduced and hopefully eliminated, while the percentage in the "good" category should increase.

II. COMPLIANCE WITH FASAB #6 REQUIREMENTS

The Statement of Federal Financial Accounting Standards Number 6, *Accounting for Property, Plant, and Equipment,* requires disclosure of the estimated cost to remedy accumulated deferred maintenance on Interior plant, property, and equipment (PP&E) beginning in FY 1998 (Exhibit 6). Both General PP&E and Stewardship PP&E are included. At a bureau option, the deferred maintenance cost may be further divided between "critical" and "non-critical."

To comply with this requirement and the associated audit, all deferred maintenance is to be disclosed including that expected to be remedied in FY 1999, that included in the Five-Year Plan for FY 2000-2004, and any other known deferred maintenance.

1. Detailed project lists, including deferred maintenance projects, were submitted as part of the FY 1999 Budget Justification. These lists can provide the deferred maintenance cost estimate data for FY 1999.

2. The Summary Project Data Sheets (Exhibit 4) describing deferred maintenance in the Five-Year Plan can provide the deferred maintenance cost estimates for FY 2000-2004. The deferred maintenance categories in the Five-Year Plan are as follows:

Critical Health and Safety Deferred Maintenance
Critical Resource Protection Deferred Maintenance
Critical Mission Deferred Maintenance
Compliance and Other Deferred Maintenance

When projects on these lists contain both deferred maintenance and capital improvement work, it is important to only report the estimated cost of the deferred maintenance.

3. For deferred maintenance needs and/or projects to be performed after FY 2004, bureaus should use data in their facilities maintenance management information systems or use Summary Project Data Sheets as the basis for the estimates and to provide supporting documentation for audit purposes.

Bureaus should submit their FASAB #6 disclosure to the Office of Financial Management according to the dates shown in the Timetable section above.

III. REVIEW OF FACILITIES-RELATED INFORMATION SYSTEMS REQUIREMENTS

The "Facilities Maintenance Assessment and Recommendations" study was completed in February 1998 by the Interior Planning, Design, Construction, and Maintenance Council. This study and other activities have revealed that (1) the DOI bureaus do not have consistent levels of deferred maintenance data in their facility management systems, (2) the deferred maintenance data themselves are of varying quality, and (3) the deferred maintenance data systems are, in some cases, need functional improvement. At the same time several bureaus are currently involved in singular efforts to redesign, augment, or update their deferred maintenance data systems and property systems.

As part of the continuing Department-wide facilities management improvement effort, and building upon the earlier actions, an Interior in-house group is being formed to conduct a two-month review of maintenance data requirements, systems, and applications. The group will closely examine deferred maintenance issues from both the end-user(s) and systems perspectives. The findings and recommendations of this group will have an impact on and be reflected in the FY 2000 budget submission to OMB. The size and shape of this impact will not be known until the group completes its deliberations this summer.

This group will include representatives from the bureaus, Office of Financial Management, Office of Managing Risk and Public Safety, Office of Information Resources Management, Office of Acquisition and Property Management, and the Office of the Budget. The BLM, FWS, NPS, BIA, BOR, and USGS and the offices listed above need to identify the appropriate persons (no more than 2 people, with 1 alternate) to participate in the working group. Bureau representation must include at least one individual per bureau who is currently managing a field facility.

6. Names of bureau and department representatives should be reported to the Deputy Assistant Secretary for Budget and Finance by May 22, 1998.

Some of the anticipated actions resulting from this Departmental effort will include identification of all related systems, the determination of the system owners, the development of common reporting data elements, the clear establishment of system functional requirements, the streamlining of the deferred maintenance data entry and tracking process, and the determination of the best method to capture, process, and report this information so that it has greater utility to all users. The ultimate success of this effort will depend in large part on the development of data system improvements, standardized data protocols, and data reports that are truly useful in the field and at headquarters.

		CURRENT BUDGET JUST-YEAR	FIVE YEAR MAINTENANCE AND CONSTRUCTION PLAN					OUTYEARS
OPERATIONS			BUDGET YEAR (FY2000)	BUDGET YEAR +1 (FY2000)	BUDGET YEAR +2 (FY2000)	BUDGET YEAR +3 (FY2000)	BUDGET YEAR +4 (FY2000)	
MAINT.	ANNUAL MAINT.							
	DEFER. MAINT.							
CAPITAL IMPROVEMENT								

Key:

	FASAB 6 Deferred Maintenance Needs		FASAB 6 and 5-Year Plan Deferred Maintenance Needs		5-Year Plan Construction Needs

COMMON DEFINITIONS FOR MAINTENANCE AND CONSTRUCTION TERMS

The following definitions have been adapted from those developed for the February 1998 study team report entitled "Facilities Maintenance Assessment and Recommendations." Definitions for primary terms are shown in **BOLD** type and are summarized on the attached chart. To provide further clarification, supporting text and definitions of other commonly used terms are provided in normal type and indented under each primary term.

During the development of the FY 2000 Budget Guidance and Instructions for the Plan, several of the definitions have been modified to further differentiate between different types of deferred maintenance and capital improvement, and to eliminate confusion between the rehabilitation and construction as functions versus their use as budget categories.

MAINTENANCE

Maintenance

The upkeep of constructed facilities and structures and capitalized equipment necessary to realize the originally anticipated useful life of a fixed asset.

> Maintenance includes preventive maintenance; cyclic maintenance; repairs; replacement of parts, components, or items of equipment; periodic condition assessments; periodic inspection, adjustment, lubrication, and cleaning (non-janitorial) of equipment; painting; resurfacing; rehabilitation; special safety inspections; and other actions to assure continuing service and to prevent breakdown.

Annual Maintenance

Maintenance performed to repair failures during the year in which they occur. Includes preventive and/or cyclic maintenance performed in the year in which it is scheduled to occur.

> **Preventive Maintenance**
>
> Scheduled servicing; repairs; inspections; adjustments; and replacement of parts that result in fewer breakdowns and fewer premature replacements and achieve the expected life of facilities and equipment.
>
> **Cyclic Maintenance**
>
> Preventive maintenance activities that recur on a periodic and scheduled cycle of greater than 1 year.Typical projects include reroofing or repainting buildings, overhauling engines, replacing of components of gauging stations, rebuilding cable ways, and refinishing hardwood floors.

7. Deferred Maintenance

Maintenance that was not performed when it should have been or when it was scheduled and which, therefore, was put off or delayed for a future period. (Adapted from FASAB No. 6)

Deferred maintenance needs may be further categorized in two tiers, critical and non-critical. Delaying correction of non-critical needs will usually result in them becoming critical facility or equipment deficiencies at a future time.

Code compliance (e.g. life safety, ADA, OSHA, environmental, etc.) and other regulatory or Executive Order compliance requirements not met on schedule are considered deferred maintenance. Construction of new facilities would be expected to comply with all codes and other requirements, as would major expansions of existing facilities.

Deferred Maintenance Backlog

The unfunded or otherwise delayed work required to bring a facility or item of equipment to a condition that meets accepted codes, laws, and standards and preserves the facility or equipment so that it continues to provide acceptable services and achieves its expected life.

Facility or Equipment Deficiency

A defect that occurs when maintenance is not performed in a timely manner. Deficiencies may or may not have immediately observable physical consequences, but when allowed to accumulate, they inevitably lead to deterioration of performance or loss of asset value or both. An accumulation of such uncorrected deficiencies is a backlog that represents an impairment (in both physical and financial terms).

Health and Safety Deficiency

A facilities or equipment deficiency that poses a threat to human safety and health (e.g. violations of National Fire Protection Association 101 Life Safety Code or appropriate Health Code) that requires immediate interim abatement and/or long-term permanent abatement.

8. Repair

Work to restore a damaged, broken, or worn-out facility, facility component, or item of equipment to normal operating condition.

> Repairs are either annual maintenance or deferred maintenance activities. Repairs are usually smaller in scope than rehabilitations.

Rehabilitation (without expansion or change of function)

Renovation of an existing facility or any of its components in order to restore and/or extend the life of the facility. Because there is no expansion or change of function the work primarily addresses deferred maintenance.

Replacement

Substitution or exchange of one existing facility, facility component, or item of equipment for another having the capacity to perform the same function.

> Replacement is considered maintenance because the deferred maintenance needs for the replaced facility or item of equipment are eliminated. The decision to replace a facility or item of equipment usually is reached when replacement is more cost effective or in the best interest of the government rather than repair or rehabilitation. The size of the existing facility is not expanded in a replacement. Replacement of an item of equipment usually occurs when it has exceeded its useful life.

Demolition and Disposal

Dismantling and removal, or surplusing of a deteriorated or otherwise unneeded facility or item of equipment, including necessary clean-up work.

CAPITAL IMPROVEMENT

Capital Improvement

The construction, installation, or assembly of a new facility, or the alteration, expansion, or extension of an existing facility to accommodate a change of function or unmet programmatic needs.

> Capital Improvement Backlog
> The aggregate of all capital improvement that addresses unmet needs.

9. New Construction

The erection, installation, or assembly of a new facility.

Alteration (for change of function, without expansion)

Work to change the function of and existing facility or any of its components. The capacity or size of the facility is not expanded. Deferred maintenance of the original facility may be reduced or eliminated by an alteration.

Expansion

Increasing the capacity or size of a facility to serve needs different from, or significantly greater than, those originally intended.

Expansion is considered a capital improvement activity because it is creating a new (i.e. expanded) asset. Deferred maintenance needs on the original facility may be reduced or eliminated through an expansion.

OPERATIONS

Operations

Activities related to the normal performance of the functions for which a facility or item of equipment is intended to be used.

Costs such as utilities (electricity, water, sewage), fuel, janitorial services, window cleaning, rodent and pest control, upkeep of grounds, vehicle rentals, waste management, and personnel costs associated with the performance of these functions are generally included within the scope of operations and are not considered maintenance costs.

INVENTORY

Installation

An operational unit comprised of one or more facilities and the associated land.

Examples of typical Interior installations could include parks, refuges, research centers, detention centers, recreation sites, large dams, schools, office locations, etc.

Facility

A separate and individual building, structure, or other constructed real property improvement.

Facility Component

A building subsystem, major item of equipment, or other portion of a major facility.

Facility Type (See Facility and Equipment Types)

UNITS OF WORK

Need

A maintenance, capital improvement, or other programmatic or operational requirement which can be satisfied by a single unit of work.

Project

A single planned undertaking of capital improvement and/or maintenance to satisfy one or more needs.

CONDITION/PERFORMANCE INDICATORS

Condition Assessment

Periodic inspection by qualified personnel to fully determine and document the condition of a facility or item of equipment and identify maintenance needs.

> Facilities and items of equipment are categorized according to condition using codes such as those shown below:
>
> Good - Facility/equipment condition meets established maintenance standards, operates efficiently, and has a normal life expectancy. Scheduled maintenance should be sufficient to maintain the current condition.
>
> Fair - Facility/equipment condition meets minimum standards but requires additional maintenance or repair to prevent further deterioration, increase operating efficiency, and to achieve normal life expectancy.
>
> Poor - Facility/equipment does not meet most maintenance standards and requires frequent repairs to prevent accelerated deterioration and provide a minimal level of operating function. In some cases this includes condemned or failed facilities.

Based on periodic condition assessments, an indicator of condition is the percent of facilities and items of equipment in each of the good, fair, or poor categories.

Replacement Cost

The standard industry cost and engineering estimate of materials, supplies, and labor required to replace a facility or item of equipment at existing size and functional capability. This includes current costs for overhead, planning/design, construction, and construction management.

Alternatively, the standard estimate for a government purchased replacement of like capability. Replacement Cost is an important measurement used in the calculation of Facility Condition Index (FCI).

Replacement cost may also be estimated by accounting methods which inflate the original cost and costs of any subsequent capital improvements to current year using established price indices.

Historic structures and inherited facilities (with zero acquisition costs) pose unique problems for estimation of replacement costs.

Facility Condition Index (FCI)

The ratio of accumulated deferred maintenance to the replacement cost for a facility or item of equipment or group of facilities or items of equipment.

FCI is a calculated indicator of the depleted value of facilities. An acceptable range for the FCI could vary by facility type. A typical range would be from .02 to .05, i.e. from 2% to 5% of replacement value.

Facility and Equipment Types:

Bridge

A structure erected over a waterway or other obstruction and having a track/passageway for traffic or other moving loads.

A. **Vehicular Bridge.** - A manmade structure used to provide passage for motor vehicle traffic.

B. **Culvert Bridge.** - A manmade structure composed of multiple box or pipe structures for vehicular or other traffic.

C. **Trail Bridge.** - A manmade structure used to provide easy passage for traffic (such as pedestrian, bicycle, and equestrian).

Building

A. **General.** - Any structure with a roof and commonly enclosed by walls, designed for storage, human occupancy, shelter for animals, or other useful structure; distinguished from structures not designed for occupancy (such as fences or bridges) and from structures not intended for use in one place (such as boats and trailers) even though subject to occupancy.

B. **Historic General**. - Historic buildings, structures, and monuments owned and maintained for their historic significance (excluding historic housing).

C. **Housing**. - Buildings used as residences in support of agency mission (houses, apartments, bunkhouses, etc.).

D. **Historic Housing**. - Historic houses owned and maintained for their historic significance and used for residency.

Campground/Recreation Area

Public use area for recreation, picnicking, boat launching, and camping.

Dam

A structure 25 feet or more high with storage capacity in excess of 15 acre-feet or having storage capacity of at least 50 acre-feet and a height of at least 6 feet built across a watercourse to impound water and create a reservoir.

Dam Hazard Classifications

The classification for a dam is based on the potential consequences of failure. In other words, on potential loss of life and damage to downstream property that failure of the dam would probably cause. Such classification is related to the amount of development downstream of a dam. There are three classifications: High - Significant - Low.

High Hazard is a downstream hazard classification for dams in which more than 6 lives would be in jeopardy and excessive economic loss (urban area including extensive community, industry, agriculture, or outstanding natural resources) would occur as a direct result of dam failure.

Significant Hazard is a downstream hazard classification for dams in which 1-6 lives are in jeopardy and appreciable economic loss (rural area with notable agriculture, industry, or work sites, or outstanding natural resources) would occur as a result of dam failure.

Low Hazard is a downstream hazard classification for dams in which no lives are in jeopardy and minimal economic loss (undeveloped agriculture, occasional uninhabited structures, or minimal outstanding natural resources) would occur as a result of failure of the dam.

10. Equipment

Machinery, vehicles, instruments, tools and other types of property associated with the operation and/or maintenance of constructed facilities and improvements.

Equipment is property of a durable nature and can be expected to have a period of service of a year or more after being put into use without material impairment to its physical condition.

Equipment can be capitalized (i.e. depreciated) or non-capitalized.

Specialized research equipment such as nuclear reactors are included.

Fence

Barrier (with posts, rails, wire, wire mesh, etc.) used to form a boundary, protect (protect public values or protect the general public from safety hazards), or confine.

Interpretive Display

Specialized structures used to provide interpretive or educational information to visitors. Maintenance is related to the structure and associated signs but not the content of display material.

Marine Facility

Structures or items of equipment on the water such as docks, piers, seawalls, and aids to navigation.

Monitoring Network

Network of monitoring instruments such as seismic and earthquake monitors, stream and flood forecast gauges, mercury manometers, motion detectors, and observation wells.

Hydro Power System

Station where flowing water energy is converted into electric energy. This includes:

A. **Hydroelectric Plant**. - Electric powerplant using falling water as its motive force.

B. **Electric Power System.** - Physically connected electric generating, transmission, and primary or secondary distribution facilities operated as a unit under one control.

Road

A. **Paved**. - Roads constructed with asphalt or concrete surface, including signs and culverts.

B. **Unpaved**. - Roads constructed with gravel, crushed stone, or compacted earth surface, including signs and culverts.

Site

A. **Administrative Site**. - Acreage, structure, service, or system (excluding buildings) that is set aside to support Federal administrative programs and staff. Included are utility systems (water, sewer, electricity, gas, etc.), roads, parking lots, sidewalks, recreation fields, and grounds.

B. **Grounds**. - Outdoor area, either public or administrative, which requires maintenance. Assets falling into this category include landscaped areas, cemeteries, picnic areas, and campgrounds. Typical features of grounds assets are fences, walls, grave markers, fire grates, tables, litter containers, benches, flag poles, trees, shrubs, flower beds, and irrigation systems.

Trail and Boardwalk

A marked path or course, including signs, that is used primarily by pedestrians, beasts-of-burden, and various special equipment or machines generally used for individual travel.

A. **Paved**. - Trails constructed with asphalt or concrete surface.

B. **Unpaved**. - Trails constructed with gravel, crushed stone, wood chips, or compacted earth surface.

C. **Boardwalk.** - Trail constructed of boards or substitute materials to provide an elevated walking surface, and may include observation decks.

D. **Water Trail**. - A recreation and/or conservation trail on a lake, river, canal, or ocean between specific points and containing access points and day and/or overnight use sites for the boating public.

Tunnel

A feature that is constructed by excavating through natural ground to convey traffic or water, or to house conduits or pipes.

11. Utility

A system and associated equipment required for electric power, gas, water, water treatment, waste water collection and treatment, or communication service functions.

A. **Powerplant**. - Structure that houses turbines, generators, photovoltaic, and associated control equipment.

B. **Water System.** - Facility and equipment for collection, treatment, storage, and distribution of potable and nonpotable water.

C. **Wastewater System.** - Facility and equipment for the collection, treatment, and disposal of wastewater, including RV dump stations.

D. **Communication System.** - Facility and equipment for radio and telephone communication.

E. **Fuel System.** - Facility and equipment for the storage and/or distribution of fuel.

Water Management Facility

A. **Dike/Levee**. - Water detention/retention structure that impounds bodies of relatively shallow water or protects facilities from flood runoff. Levees are generally earthen structures designed to retain water within a floodway and protect adjacent areas. These structures do not meet the size criteria for classification as a dam as defined elsewhere in this table.

B. **Diversion Dam/Water Control Structure**. - Manmade structure for diverting natural gravity flow water and controlling water levels in impoundments. These structures do not meet the size criteria for classification as a dam as defined elsewhere in this table.

C. **Water Conveyance**. - Pipeline, ditch, or canal facility for movement of water.

COMMON DEFINITIONS FOR FACILITIES MAINTENANCE AND CONSTRUCTION TERMS

Operations	Maintenance		Capital Improvement
Activities related to the normal performance of the functions for which a facility or item of equipment is intended to be used.	The upkeep of constructed facilities and structures and capitalized equipment necessary to realize the originally anticipated useful life of the fixed assets.		Construction, of a new facility, or the expansion or extension of an existing facility to accommodate a change of function or unmet programmatic needs.
	Annual Maintenance Maintenance performed to repair failures during the year in which they occur. Includes preventive and/or cyclic maintenance performed in the year in which it is scheduled to occur.	**Deferred Maintenance** Maintenance that was not performed when it should have been or when it was scheduled and which, therefore, was put off or delayed for a future period. (Adapted from FASAB No. 6)	

METHODS OF ACCOMPLISHING WORK IN EACH CATEGORY OF MAINTENANCE AND CONSTRUCTION

Repair. Work to restore a damaged, broken, or worn-out facility, facility component, or item of equipment to normal operating condition. **Preventive Maintenance.** Scheduled servicing; repairs; inspections; adjustments; and replacement of parts that result in fewer breakdowns and fewer premature replacements and achieve the expected life of facilities and equipment **Cyclic Maintenance.** Preventive maintenance activities that recur on a periodic and scheduled cycle of greater than 1 year. **Condition Assessment.** Periodic inspection by qualified personnel to fully determine and document the condition of a facility or item of equipment and identify maintenance needs.	**Repair.** Work to restore a damaged, broken, or worn-out facility, facility component, or item of equipment to normal operating condition. **Rehabilitation (without expansion or change of function).** Renovation of an existing facility or any of its components in order to restore and/or extend the life of the facility. **Replacement.** Substitution or exchange of one existing facility, facility component, or item of equipment for another having the capacity to perform the same function. **Demolition.** Dismantling and removal, or surplusing of a deteriorated or otherwise unneeded facility or item of equipment, including necessary clean-up work.	**New Construction.** The erection, installation, or assembly of a new facility. **Alteration (for change of function, without expansion).** Work to change the function of an existing facility or any of its components. **Expansion.** Increasing the capacity or size of a facility to serve needs different from, or significantly greater than, those originally intended.

Attachment 2

This is the Project Form

(See Project.form.wpd file)

PROJECT DATA SHEET - DATA ELEMENTS

Definitions of Data Elements on Project Data Sheet

Project Identification

Bureau Priority/Ranking

The unique, numerical rank of a project within a Bureau's deferred maintenance or capital improvement lists. Project criticality, as supported by the percentages in the Ranking Categories sections below, should be used to prioritize all projects.

Planned Funding FY

The fiscal year in which a project is projected to be funded, as of the current submittal of the Five-Year Plan.

Project Title

A brief (100 characters or less) title of the project. The location and facility name of the property may be included, as well as descriptive words to indicate the action(s) being taken.

Examples:

Upper Snake River Drinking Water Upgrade
Minute Man NHP, Rehabilitate Unsafe Historic Residence
Tensas River NWR, Retrofit existing Oil & Paint Storage Building

Project No.

The identification code used to distinguish this project from all others within a Bureau. The code can be any combination of characters and numbers. The current form will accommodate approximately 16 characters.

Unit/Facility Name

The name of the unit, facility or location at which the project is to be accomplished.

Region/Area/District

The Region, Area or District within which a facility is located.

12. Congressional District

The Congressional District in which the facility is located.

State

Two letter abbreviation for the state in which the facility is located.

Project Justification

Project Description

The project description must include a statement of the identified problem(s), its impact, and the prescribed solution. It should be written in a way to support the priority ranking placed on the project. This section may be used to provide additional details of the property to be improved, the specific tasks to be accomplished, and the deficiencies to be corrected. For deferred maintenance projects, reasons for the project should be provided, with a brief explanation of safety, resource, or mission risks and benefits. Project duration and timing or project phases may also be discussed here.

Project Need/Benefit

Justify here the primary safety, resource, or mission needs to be satisfied and benefits to be gained with project accomplishment. These should relate directly to the problem or risk expressed in the project description. Also, state the quantifiable GPRA outputs (measures) and ultimate outcomes that this project will help achieve.

Ranking Categories

Identify the percentage of the projects work that is in each of the 7 categories listed below. These categories are described early in this guideline. The percentages must add to 100%.

Critical Health and Safety Deferred Maintenance Needs
Critical Health and Safety Capital Improvement Needs
Critical Resource Protection Deferred Maintenance Needs
Critical Resource Protection Capital Improvement Needs
Critical Mission Deferred Maintenance Needs
Compliance and Other Deferred Maintenance Needs
Other Capital Improvements

13. Capital Asset Planning

OMB requires preparation of a Capital Asset Plan and Justification (Exhibit 300B in OMB Circular A-11) for major capital acquisitions. The Department has determined that exhibit 300B's should be prepared for any construction project that (a) requires construction funding (whether through advance appropriations or sequential appropriations) in more than one fiscal year, or (b) involves construction costs in excess of $10 million.

Project Costs and Status

Project Cost Estimate

Deferred Maintenance Work

This is the estimated cost of the proposed project that addresses deferred maintenance needs. For those projects addressing both deferred maintenance as well as capital improvement needs, it includes only those costs addressing deferred maintenance. The estimate should include the cost of project planning, design, other direct and indirect cost if the bureau typically funds these activities in the project cost.

Capital Improvement Work

This is the estimated cost of a proposed project that addresses capital improvement needs. For those projects addressing both capital improvement as well as deferred maintenance needs, it includes only those costs addressing capital improvements. It should include all planning, design, value engineering, construction management, and construction costs for which the bureau typically funds in the project cost.

Total Project Estimate

Cost of deferred maintenance portion plus cost of capital improvement portion of a project.

Class of Estimate

Use the following to categorize the status of the project's current cost estimate:

A - Working Drawings and Specifications Complete - This estimate is based on complete quantity take-off from completed construction drawings and on specifications ready for a competitive bid. It reflects the best available estimate of construction costs based on a competitive bid situation.

14. **B - 40% Design Complete** - This estimate is based on the development of the selected alternative and tentative bid schedule items, either lump sum or unit price. It uses quantities based on design drawings. At the end of project planning, the project should be developed in sufficient detail to demonstrate that the design will fulfill the functional and technical requirements of the project. This is the first time in the planning and design process where a project construction cost estimate is accurate enough to support a budget request.

C - Planning Complete - This estimate is a conceptual cost estimate based on square footage or other unit cost of similar construction. The project identification/feasibility process should result in a description of facility goals, objectives, and needs and the information needed to evaluate the feasibility of the project and provide a preliminary project cost range and initial project schedule. This description is used to request future planning and engineering design funds only. The engineering design process is considered approximately 15 percent complete at end of this phase.
D - Pre-Planning - This estimate is based on a tentative project design, with project size and complexity that is still experiencing significant development.

Estimate Good Until (mm/yy)

This is the date (by month and year) on which the current cost estimate will expire.

Project Funding History

Appropriated to Date

This is the total funds that have been appropriated to this project from all funding sources through and including the current fiscal year. As an example, for information updates taking place in mid-FY 1998, it would include all appropriations from all funding sources through and including FY 1998. This applies primarily to capital improvement (construction) projects; for deferred maintenance projects only funds actually obligated up through the date of data entry should be used.

Requested in FY'___ Budget

This is the President's Budget request for the next fiscal year. For information updates taking place in mid-FY 1998, this amount would be the funds being requested for FY 1999.

Planned Funding FY___

This is the budget year and amount requested for the project or portion of the described on this Project Data Sheet. This should be the same cost that is entered in Total Project Estimate space in the Project Cost Estimate block of the data sheet.

Future Funding to Complete Project

This is out year funding. For information updates taking place in mid-FY 1998, this would be for FYs 2001 and beyond.

Total

The sum of all anticipated funding needs for the proposed project - the sum of the above four lines.

Dates:
There are spaces to put the scheduled and actual date in this block. The actual date will be reported as described in the FY 2000 Five-Year Plan Schedule section of this guideline.

Construction Start/Award

This is the projected date (by quarter and fiscal year) that the project bid will be awarded (for those projects requiring bids) or the date construction is planned to begin.

Project Complete

This is the date that the work in the project is scheduled to be complete. For contracted projects, it is not the contract close-out date or end of warranty.

Project Data Sheet Prepared/Last Updated

This is the date (by month, day, year) that the last significant alteration of data was made on this particular record. For most projects whose data are entered at the field level with only insignificant changes at the Regional and National levels, this would be the latest date the responsible facility personnel enter new data or verify data from previous years. For projects which are corrected or updated at Regional or National levels, this would be the latest date that a record had been (significantly) changed.

This is the Summary Form

(See Summary.form.wpd file)

SUMMARY PROJECT DATA SHEET - DATA ELEMENTS

Definitions of Data Elements on Summary Project Data Sheet

Rank

The unique, numerical rank of a project within a Bureau's deferred maintenance list. Project criticality, as supported by the percentages in the Ranking Categories sections below, should be used to prioritize all projects.

Region/Area/District

The Region, Area or District within which a facility is located.

Facility of Unit Name

The name of the unit, facility or location at which the project is to be accomplished.

State

Two letter abbreviation for the state in which the facility is located.

Cong Dist

The Congressional District in which the facility is located.

Project Title/Description

1. If using this block for just a project title, provide a brief (60 characters or less) title of the project. The location and facility name of the property may be included, as well as descriptive words to indicate the action(s) being taken.

   Examples:

   Upper Snake River Drinking Water Upgrade
   Minute Man NHP, Rehabilitate Unsafe Historic Residence
   Tensas River NWR, Retrofit existing Oil & Paint Storage Building

   If only providing a project title on this form, there must be a project description as described below provided on a back-up sheet. That back-up information must be easily identified to the project on the summary sheet.

2. 2. If using this block for title and description, the project description must include a statement of the identified problem(s), its impact, and the prescribed solution. It should be written in a way to support the priority ranking placed on the project. For deferred maintenance projects, reasons for the project should be provided, with a brief explanation of safety, resource, or mission risks and benefits.

Total $'s

This is the estimated cost of the proposed project. The estimate should include the cost of project planning, design, other direct and indirect cost if the bureau typically funds these activities in the project cost. Labor costs should only be included when the project is accomplished by a contractor.

Ranking Categories

CHSdm = Critical Health and Safety Deferred Maintenance Needs
CHSci = Critical Health and Safety Capital Improvement Needs
CRPdm = Critical Resource Protection Deferred Maintenance Needs
CRPci = Critical Resource Protection Capital Improvement Needs
CMdm = Critical Mission Deferred Maintenance Needs
C&ODM = Compliance and Other Deferred Maintenance Needs
OCI = Other Capital Improvements

Identify the percentage of the projects work that is in each of the categories described early in this guideline. The percentages must add to 100%.

Date Compl mm/yy

This is the date that the work in the project is scheduled to be complete. For contracted projects, it is not the contract close-out date or end of warranty.

This is a Proposed Budget Structure for BLM for FY 2000

It is not yet Approved and therefore left blank

Accounting for Deferred Maintenance under FASAB Standards

Statement of Federal Financial Accounting Standards Number 6, *Accounting for Property, Plant, and Equipment,* requires the disclosure of information about deferred maintenance beginning in fiscal year 1998. The disclosures will be required as a note to a line item on the face of the statement of net costs -- no dollar amount should be recognized on the face of the financial statements. The disclosure must include information about the condition of property and the estimated costs to remedy deferred maintenance of Plant, Property and Equipment (PP&E). The term "Plant, Property and Equipment" covers both "General PP&E" and "Stewardship PP&E". General PP&E includes items used to provide general government service such as buildings and equipment used to produce goods or services, or to support the mission of the entity. Within Interior the General PP&E guidance will apply to accountable property. Stewardship PP&E includes heritage assets held for their cultural, architectural, or aesthetic characteristics (e.g. historic buildings) and land other than that acquired for or in connection with other General PP&E that is not reported on the balance sheet (e.g. public domain land and national parks).

Deferred Maintenance

"Deferred maintenance" is defined as maintenance that was not performed when it should have been or was scheduled to be and which, therefore, is put off or delayed for a future period. This is consistent with the complete definition of deferred maintenance used by Interior (Exhibit 2a,b). For purposes of the Standard, maintenance is described as the act of keeping fixed assets in acceptable condition, including preventive maintenance, normal repairs, replacement of parts and structural components, and other activities needed to preserve the asset so that it continues to provide acceptable services and achieves its expected life. Maintenance excludes activities aimed as expanding the capacity of an asset or otherwise upgrading it to serve needs different from, or significantly greater than, those originally intended. The Standard permits the amounts disclosed for deferred maintenance to be measured using condition assessment surveys or life-cycle costing. The Department has selected to follow the condition assessment survey approach for fiscal year 1998 and all subsequent disclosures.

Disclosures

At a minimum, the following information shall be presented for all PP&E (including general PP&E, stewardship land and heritage assets).

- Identification of each major class of asset for which maintenance has been deferred.
- Method of measuring deferred maintenance for each major class of PP&E.

- The following information about the condition assessment surveys should be presented for each major class of PP&E:
  - description of requirements or standards for acceptable operating condition,
  - any changes in the condition requirements or standards, and
  - asset condition and a range estimate of the dollar amount of maintenance needed to return it to its acceptable operating condition.

  Because in FY 1998, not all bureaus yet use a formal condition assessment process, a description should be included of how condition was determined.

Disclosures may include stratification between critical and noncritical (Compliance and Other Deferred Maintenance) amounts of maintenance needed to return each major class of asset to its acceptable operating condition. Where stratification is use to disclose critical and noncritical amounts, the disclosure will include a complete definition of these categories.

In addition, disclosures should include any other information management believes would assist readers in understanding deferred maintenance at Interior and the Department's stewardship over assets entrusted to it.