UNITED STATES
DEPARTMENT OF THE INTERIOR
Director of Budget

NOV 14 2007

Memorandum

To: **Bureau Budget Officers**
Subject: **2010 Budget Guidance – Attachment G**

Attached please find instructions (Attachment G) related to development of the FY 2010-FY 2014 Five-Year deferred maintenance and capital improvement plans. Data formats will also be provided electronically.

The initial Five-Year Plan submission for Construction Projects is due June 2, 2008, and the Five-Year Plan submission for Deferred Maintenance Projects is due July 1, 2008. Bureaus should assume that the FY 2010 and out year requests for construction and deferred maintenance will be funded at the same level as the President's budget levels for the FY 2009 five-year plans.

We are issuing Attachment G earlier than in prior years to better enable bureaus to comply with the guidance. This year's guidance is essentially the same as last year's guidance. The lists of definitions and categories have been rearranged in alphabetical order. The only other changes are:

- The correction of an oversight which did not previously list the Bureau of Reclamation in the requirement for electronic submission of Exhibit 3 along with the hard copy.
- The correction of the handicapped accessibility reference to include the Architectural Barriers Act of 1968 and the Rehabilitation Act of 1973.

The Department plans to meet with bureau staff to provide training to ensure consistent implementation of the Five-Year Plan and to explore opportunities to examine ways to streamline and improve the Five-Year Plan process. The first meeting will be held in Washington, DC on January 9-10, 2008 and in Denver on January 23-24, 2008.

Questions on this should be directed to Rita Jankovich in the Office of Budget (202-208-4967) or to Bill Hamele (208-5704) or Bob Jarcho (208-3329) in the Office of Acquisition and Property Management.

Pam Haze

Attachment

cc: Director, Office Procurement and Acquisition Management
Chief Information Officer
Director, Office of Financial Management
POB Analysts

DEPARTMENT OF THE INTERIOR
FACILITIES DEFERRED MAINTENANCE AND CAPITAL IMPROVEMENTS

The Department of the Interior (DOI) owns and operates over 34,000 buildings, 126,000 miles of roads, and a wide variety of other constructed assets. These facilities serve nearly 380 million visitors annually. They provide schooling for over 48,000 Native American children in 185 schools and a place of work for DOI 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, DOI is committed to improving the maintenance of these existing facilities and making the capital investments in new facilities that are essential to its mission. To this end, the facilities maintenance and construction management practices described in this Attachment have been instituted Department-wide.

This Attachment includes the following:
1) Changes in Attachment G guidance from guidance issued for FY 2009 – FY 2013.
2) Guidance for developing the Five-Year Deferred Maintenance and Capital Improvement Plan.
3) Common Definitions for Maintenance and Construction Terms, Exhibit 1a.
4) Common Definitions for Facility Maintenance and Construction Terms, Exhibit 1b.
5) Project Data Sheet, Exhibit 2a.
6) Definition of Project Data Sheet Data Elements, Exhibit 2b.
7) Deferred Maintenance vs. Capital Improvements in the 5-Year Plan Submission, Exhibit 3.
8) Summary Project Data Sheet, Exhibit 4.
9) Project Completion Report, Exhibit 5.
10) Definitions of Data Elements for Summary Project Data Sheet (Exhibit 4) & Completion Report (Exhibit 5), Exhibit 6.

Changes in Attachment G guidance from the FY 2008 - FY 2012 guidance are listed below:

- Corrects the citation of authority for performing accessibility projects (page 8), because the Federal government is exempt from the American with Disabiliites Act (ADA), but is subject to the Architectural Barriers Act of 1968 and the Rehabilitation Act of 1973. (Both of these law require that Federal buildings are handicap accessible.)
- Includes the Bureau of Reclamation in the list of Bureaus submitting data analyses electronically (page 7).

[1] **Asset Priority Index (API)**
The API is a measure of the importance of a constructed asset to the mission of the installation where it is located. API is tied to a constructed asset, not a project. The numeric range is from One (1), for little or no importance, to One Hundred (100), for very important. In the FRPP this is known as Mission Dependency Index (MDI) and constructed assets are categorized as shown below:

- **Mission Critical** – without constructed asset mission is compromised.
- **Mission Dependent, Not Critical** – does not fit "Mission Critical" or "Not Mission Dependent."
- **Not Mission Dependent** – mission unaffected

FIVE-YEAR DEFERRED MAINTENANCE AND CAPITAL IMPROVEMENT PLAN

OBJECTIVES OF THE FIVE-YEAR PLAN

The updating of the Five-Year Deferred Maintenance and Capital Improvement Plan (the Five-Year Plan) is an important step in the improvement of DOI's infrastructure for the next millennium. The Five-Year Plan update in support of the FY 2010 budget starts with FY 2010 and covers the five-year period through FY 2014. The plan will continue to be updated annually. The requirement to submit completion reports for projects approved during prior plans continues. The completion of FY 2000 through FY 2008 Deferred Maintenance and Capital Improvement Projects will be reported at the end of FY 2008.

Development of the FY 2010 – FY 2014 Five-Year Plan will help us better understand DOI's accumulated deferred maintenance needs and changes to Bureau maintenance needs since submission of the FY 2009 – FY 2013 Five-Year Plan. The projects in the Five-Year Plan will be added to all remaining deferred maintenance projects to comply with the Federal Accounting Standard Advisory Board (FASAB), **Accounting for Property, Plant, and Equipment** Number 6. It also will aid Departmental planning for future capital improvements.

Through the use of a set of common definitions for facilities management terms in this Department-wide planning process, DOI has been 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. With establishment of definitions and framework for the Five-Year Plan, the Department can now turn its attention to the implementation of a DOI-wide assessment of facilities condition, updating the facilities inventory, and tracking the completion of projects to monitor Bureau progress toward addressing accumulated deferred maintenance needs.

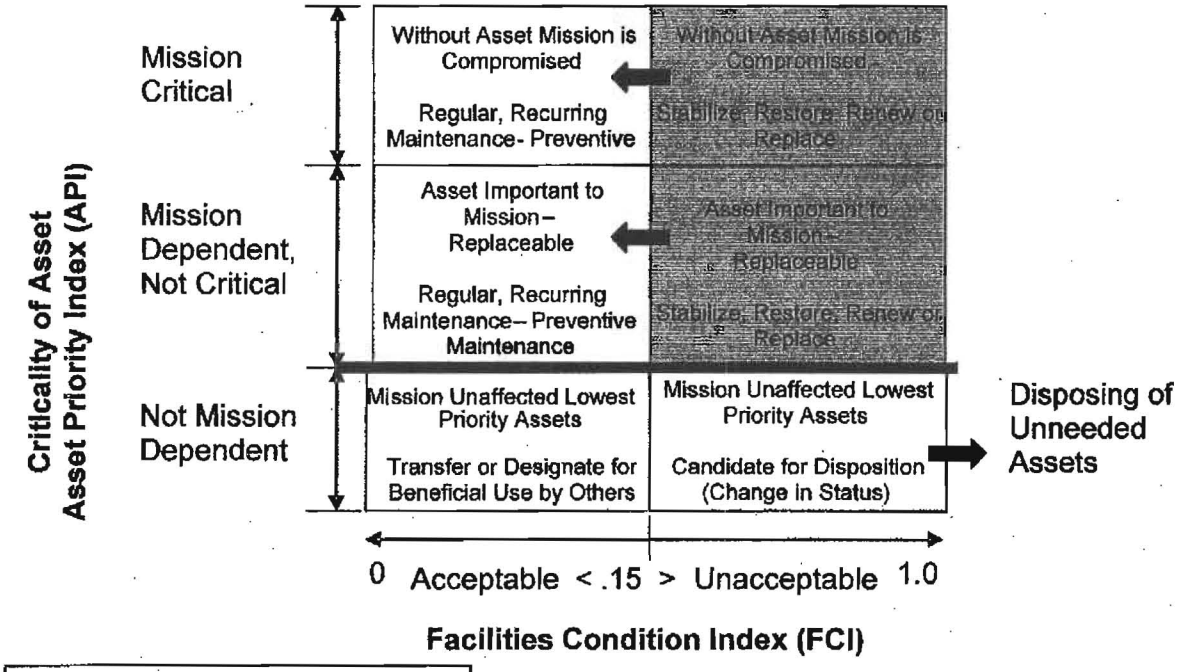
The ultimate success of improving the stewardship of constructed assets will be measured by the ability to reduce accumulated deferred maintenance for DOI facilities. To insure the sustainability of that accomplishment, annual maintenance should be adequately funded so that essential maintenance is no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

The 5-Year Deferred Maintenance and Capital Improvement Plan is a critical element in the implementation of the DOI Asset Management Plan, Bureau Asset Management Plans, and Site-Specific Asset Business Plans. The 5-Year Deferred Maintenance & Capital Improvement Plan focuses on projects that stabilize, restore, or replace constructed assets that are mission critical or mission dependent and are in poor condition.

Project focus should be on the highest priority mission critical and mission dependent constructed assets with emphasis on critical health and safety need. Attachment G sets forth a mechanism to rank these projects for funding using established criteria. Categories for ranking projects include Critical Health Safety, Critical Resource Protection, Energy, Critical Mission, Compliance and Other Deferred Maintenance.

All constructed assets, in submitted projects, must have a Facility Condition Index (FCI) which indicates the deferred maintenance need of the asset. The FCI is a key data element in the Federal Real Property Profile (FRPP), to which all Bureaus input their inventory of Buildings and Structures. All constructed assets, in submitted projects, must have an Asset Priority Index (API) which indicates the importance of that asset to the organization's mission. The API is another key data element in the FRPP.

As may be seen in the API FCI Analysis Chart, the upper right quadrant is the primary focus area for 5-Year Plan funding. This represents the constructed assets that are important to the mission and are in the worst condition. However, there may be situations where funding outside of this quadrant may be warranted, such as in situations of critical health and safety concerns. Managers must exercise judgment in determining the most effective use of resources.



API FCI Analysis Chart

FY 2010 – FY 2014 BUDGET AND FIVE-YEAR PLAN SCHEDULE

Bureaus are to submit FY 2010 – FY 2014 Five-Year Deferred Maintenance and Capital Improvement Plan information based on the following schedule:

June 2, 2008. Bureaus will submit to the Department two (2) copies of the **Construction Portion** of their FY 2010 – FY 2014 Five-Year Deferred Maintenance and Capital Improvement Plans. Bureaus will retain the original plan. This submission will consist of the following:

- Complete descriptions of all FY 2010 construction projects, using the prescribed Project Data Sheet (Exhibit 2a)
- Project Data Sheets for all new and existing FY 2011 – FY 2014 construction projects not previously reviewed and approved.
- Project Data Sheets for any changed construction projects that have been changed in scope and/or cost (other than for inflation). Changed projects mean any variation in description or cost from projects already approved by the Department in Adobe (PDF format).
- A summary by year of all FY 2010 - FY 2014 construction projects (using the Summary Project Data Sheet (format) in Exhibit 4, hard copy and electronically in MS Excel). For this submission, Bureaus have the option of either presenting separately each of the four out-years or providing one list in priority order that adds to the total funding level for the out-years. Whichever method is chosen, each list must be presented in priority order by project score.

July 1, 2008. Bureaus will submit to the Department two (2) copies of the **Deferred Maintenance Portion** of their FY 2010-2014 Five-Year Deferred Maintenance and Capital Improvement Plans. Bureaus will retain the original plan. This submission will consist of:

- Complete descriptions of all FY 2010 deferred maintenance projects, using the prescribed Project Data Sheet (Exhibit 2a).
- Project Data Sheets for all new and existing FY 2011 – FY 2014 deferred maintenance projects not previously reviewed and approved.
- Project Data Sheets for any changed deferred maintenance projects that have been changed in scope and/or cost (other than for inflation). Changed projects mean any variation in description or cost from projects already approved by the Department in Adobe (PDF) format.
- A summary by year of all FY 2010 - 2014 deferred maintenance projects (using the Summary Project Data Sheet (format) in Exhibit 4, hard copy and electronically in MS Excel). For this submission, Bureaus have the option of either presenting separately each of the four out-years or providing one list in priority order that adds to the total funding level for the out-years. Whichever method is chosen, each list must be presented in priority order by project score.

September 2, 2008. Bureaus will submit four (4) copies **(corrected and approved)** of Bureaus FY 2010-2014 Five-Year Deferred Maintenance and Capital Improvement Plans to the Department. Plans should include copies of all FY 2009 Project Data Sheets and Summary Project Data Sheets for FY 2010 – FY 2014. DOI will submit one copy to the Office of Management and Budget (OMB). Bureaus may present separately each of the four out-years or

provide one list in priority order that adds to the total funding level for the out-years. Whichever method is chosen, each list must be presented in priority order by project score.

November 4, 2008. Bureaus will submit two (2) copies of Bureaus FY 2008 Project Completion Report (using the format in Exhibit 5, in hard copy and electronically in MS Excel). This report updates the completion of FY 2000 through FY 2008 project lists reflecting, accomplishments, status, and changes. Plans should include copies of all FY 2010 Project Data Sheets and Summary Project Data Sheets for FY 2010 – FY 2014.

November 4, 2008. Additionally, Bureaus will submit to the Department, two (2) copies of their final FY 2009 project list (in Five-Year Plan format) reflecting any changes based on FY 2009 Congressional appropriations. Plans should include copies of all 2010 Project Data Sheets and summary sheets for FY 2010 - FY 2014.

January 6, 2009. Through Bureau Directors and Assistant Secretaries, Bureaus will submit three (3) copies of their final FY 2010 – FY 2014 Five-Year Plans to the Office of Budget. The plans should reflect FY 2010 President's Budget estimates. Plans should include copies of all 2010 Project Data Sheets and summary sheets for FY 2010 – FY 2014.

This submission is to include a summary chart after the title page displaying both totals by program and year. In addition, Bureaus are to submit the analysis of total deferred maintenance vs. capital improvements (see Exhibit 3). This submission will consist of complete descriptions of each FY 2010 project and a summary of FY 2010 – FY 2014.

Additionally, for the Department records, Bureaus are to submit three (3) copies of complete project descriptions for FY 2010 – FY 2014.

February 3, 2009. **After final Departmental approval**, Bureaus will furnish ten (10) copies of their FY 2010 - FY 2014 Five-Year Deferred Maintenance and Capital Improvement Plans for submission to Congress.

ANNUAL UPDATE

In accordance with the timetable described above, DOI's Five-Year Plan must be updated annually. This is required 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 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 Five-Year Plan that, during the current year, have been addressed through annual maintenance or other means and need to be removed. Five-Year Plans are to be reviewed annually for updating and addition of a new fifth year. Any proposed projects from FY 2009 that Congress does not fund are expected to be integrated into the project listing for FY 2010.

Similarly, with these annual updates of the Five-Year Plan in the FY 2010 budget, the Department will report completions for those projects funded in FY 2000 through FY 2008 and any changes to those lists based on the following criteria:

1) Work already completed,
2) Unfunded emergency work that required immediate attention,
3) Changes resulting from unforeseen site conditions, and
4) Work that no longer needs to be accomplished.

To accomplish this, use the Project Completion Report Form (Exhibit 5).

These Project Completion Reports are necessary to define the Department's success in meeting pre-established Government Performance and Results Act (GPRA) goals. Annually, the Department is required to report on its completion of construction and maintenance projects. By the standard, DOI is to complete 30% of a given year's project the first year after being funded; 70% after the second year; and 95% after the third year. The timely submission of your completion data is critical in determining the Department's overall status relative to the GPRA standards.

DATA REQUIREMENTS

For each project in the Five-Year Plan, Bureaus must submit project information and justification on a Project Data Sheet (Exhibit 2a).

To facilitate project review, prepare a Summary Project Data Sheet (Exhibit 4) by extracting selected data from the Project Data Sheets. Electronic copies should be provided on a CD-ROM. The data fields required for this electronic submission are shown in Exhibit 4 and are to be prepared in MS Excel. All electronic submittals will be sent as part of the official Bureau submission.

For all projects briefly state how the project will meet DOI and Bureau Strategic Plan goals and objectives and the DOI and Bureau Asset management Plans and the Site Specific Asset

Management Plans.

Detailed descriptions of the data elements on the Project Data Sheet and Summary Project Data Sheet are provided in Exhibits 2b and 6. Both the Project Data Sheet (Exhibit 2a) and Summary Project Data Sheet (Exhibit 4) will be part of DOI's submission to the OMB and the Congress.

REQUIRED DEFERRED MAINTENANCE & CAPITAL IMPROVEMENT ANALYSES

Bureaus are to prepare Exhibit 3 to record funds allocated to deferred maintenance work versus capital improvements in the Five-Year Plan. For each account and year, provide the following:

- Dollars and percentage of each ranking category and its total.
- Total number of projects by year.
- Summary of the same information showing totals for all five years.

In addition to the hardcopy submission, an electronic copy is required. Both submissions should duplicate one another and shall be formatted as an MS Excel file (Windows 98 or more recent version). Format is available from DOI by e-mail or diskette. Other software such as Lotus may be used for this purpose providing it can be translated into MS Excel. A separate table should be provided in the format of Exhibit 3 for each of the following Five-Year Deferred Maintenance and Capital Improvement Plan submissions:

BLM	MLR Maintenance, O&C Maintenance, Wildland Fire, Construction
USGS	Maintenance
FWS	Refuge Maintenance, Hatchery Maintenance, Law Enforcement Maintenance Construction
NPS	Repair and Rehab, Construction
BIA	FI&R, Construction
BOR	Construction, Maintenance

FIVE-YEAR FUNDING LEVELS AND GENERAL GUIDANCE ON PROJECT LISTS

Initially Bureaus should assume FY 2010 and out-years FY 2011 – FY 2014 will be funded at the President's Budget levels in the FY 2009 Five-Year Plans.

For dam safety projects, rather than prioritizing dams according to these guidelines, the land management Bureaus and BIA should follow the Technical Priority Rating List. Bureaus are to cite the DOI Dam Safety rank when a dam is included in the Five-Year Plans. Similarly, the Bureau of Reclamation should 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.

Projects that primarily are for seismic rehabilitation should be included in the Five-Year Plans in the order of the Bureaus' Seismic Rehabilitation Priority Ranking Lists.

Projects for compliance with the Architectural Barriers Act of 1968 or the Rehabilitation Act of 1973 should equal at least 5 percent of each year's projects regardless of total rank.

Bureaus should be able to identify those work components in their Five-Year Plan projects that are related to upgrading security and combating terrorism at mission essential facilities, monuments and dams.

Projects with energy conservation elements should be able to be identified for reporting to DOI's Energy Management Program. The Office of Acquisition and Property Management will issue separate guidance on required reporting of FY 2010 data related to energy conservation components in the Five-Year Plan projects.

Construction projects, for which a Capital Asset Plan, Exhibit 300, is required to be submitted to the Department, must be accompanied by a completed Project Data Sheet including Five-Year Plan ranking score.

In order to reduce the time required by the Bureaus and the Department in reviewing and approving the Five-Year Plan projects, the Bureaus shall:

- Indicate projects that have received Departmental approval and have no subsequent changes in scope, score/ranking or cost. See Project Data Sheet (Exhibit 2a) and Summary Project Data Sheet (Exhibit 4) for indicator box; and
- Resubmit projects for Departmental review in the order of the initial submission. Resubmitted projects will ultimately be presented in new rank order in the final list. This is necessary because it will enable Departmental reviewers to easily locate changed projects for reconsideration.

CATEGORIES OF FACILITIES MAINTENANCE AND CONSTRUCTION NEEDS

Projects listed in the Bureaus' Five-Year Plans 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 (Occupational Safety and Health Administration (OSHA), Environmental Protection Agency (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-Intermodal Surface Transportation Enhancement Act eligible) to correct serious safety deficiencies.
- Repair of a failing fire alarm and/or existing sprinkler system.
- Repair of a radio tower that must be climbed to perform equipment maintenance, if climbing the tower is an unacceptable safety hazard due to the tower's condition/design.

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 a 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.
- Installation of a fire alarm system in a public building where one did not previously exist.

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.
- Repairs to cultural/historic facilities and or fabric to prevent loss.

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

- Dike construction to keep wetlands from draining resulting in the loss of endangered species habitat.
- Installation of a fire sprinkler system for the protection of a building or its contents where the system did not previously exist.
- Construction of a structure to protect petroglyphs and pictographs from deterioration.

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.

Energy Policy, High Performance, Sustainable Building Capital Improvement Need.
Energy Policy Act of 2005 or the guiding principles of the Memorandum of Understanding (MOU) for High Performance and Sustainable Buildings Deferred Maintenance and/or Capital Improvement Needs.
Examples:
Energy Conservation Projects.

- Projects that meet the intent of the Energy Policy Act of 2005.
- Sustainability projects.

Project components could include but not limited to: incorporation of renewable energy technologies – photovoltaics, wind technologies, ground source heat pumps, passive solar heating, biomass, etc.; incorporation of energy efficient technologies – motion detections systems, lighting retrofits, high efficiency heating, ventilation, and air-conditioning (HVAC) systems, energy management control systems, water saving technologies, individual building utility meters, upgrade building insulation, windows, doors, procuring Energy Star or FEMP-recommended products, additional costs to design buildings to 30% below American Society of Heating, Refrigerating, and Air-Conditioning Engineers (ASHRAE) standards in accordance with the Section 109 of the Energy Policy Act of 2005 (Public Law 109-58), incorporation of sustainable design principles to siting, design, and construction of all new and replacement buildings.

Other Deferred Maintenance Need. A facility deferred maintenance need that will improve public or employee safety, health, or accessibility; 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.
Example:

- Facility repair or rehabilitation to increase program efficiency.

Note: Needs identified under this category should be coded to enable retrieval of those needs addressing health, safety, accessibility requirements ("unfunded requirements").

Code Compliance Capital Improvement Need. A facility capital improvement need that meets codes, standards, laws.
Examples:

- Providing universal accessibility to comply with the Architectural Barriers Act of 1968 or the Rehabilitation Act of 1973..
- Compliance with Federal, state, and/or local building codes.

Note: Needs identified under this category should be coded to enable retrieval of those needs addressing code compliance requirements ("unfunded requirements").

Other Capital Improvement Need. Other capital improvement is 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 visitor's center at a new national park.
- Major alteration to a school dormitory to convert its function to academic classroom use.

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 budget and the Five-Year Deferred 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. Projects involving critical health and safety components of work should be coordinated with Bureau safety managers. 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 on page 8. 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
Energy Policy, High Performance, Sustainable Buildings CI (EPHPBSci)	5
Critical Mission Deferred Maintenance (CMdm)	4
Other Deferred Maintenance (Odm)	3
Code Compliance Capital Improvement (CCci)	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) + (%EPHPBSci x 5) + (%CMdm x 4) + (%Odm x 3) + (%CCci x 3) + (%Oci x 1) = TOTAL 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. An example project and its TOTAL SCORE calculation are shown below:

Sample Project: 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, that 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% CCci. The project's TOTAL SCORE would be: (70 x 10) + (30 x 3) = 790.

CONDITION ASSESSMENTS

The validity of the Five-Year Plan is dependent upon the Bureaus having accurate and complete facilities information. In order to assure that the most critical needs are being addressed, 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.

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). The Department has chosen condition assessments 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 are to be anchored to inventory and condition assessment data. Budget formulation, allocation, and execution will influence 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.

On December 2, 1999, the Department issued formal guidance for conducting Facilities Condition Assessments Surveys (FCAS) to the Bureaus. Implementation of these guidelines will achieve Department-wide consistency in determining the physical condition of constructed assets by:

1. Initiating a uniform methodology and a core data set for the facility condition assessments to ascertain the deferred maintenance and repair needs of all existing facilities and validate facility inventories.

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

3. Developing 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. Establishing for each Bureau a cyclic/recurring condition assessment process where on-site inspections are conducted at a minimum every five years by qualified personnel and annually by local staff to determine the condition and accuracy of the inventory and deferred maintenance needs.

In order to provide greater objectivity and consistency Department-wide in the ranking of Five-Year Plan projects, in conducting FCAS, for each identified deficiency, Bureaus are to categorize the deficiency using the Categories of Facilities Maintenance and Construction Needs described on page 8. This deficiency categorization is to be based on the percentage of the cost estimate for abatement of the deficiency.

It is understood that it will take a multi-year effort (begun in FY 2000) for the Bureaus to accomplish complete condition assessments on all of their constructed assets. Over time the process of cyclical condition assessments will provide better facility needs data and will improve the quality of the Five-Year Plans.

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," from information developed by the Federal Real Property Council (FRPC) and from descriptions developed by the Facilities Management Systems Partnership (FMSP) Work Group on "Work Types." Definitions are summarized in Exhibit 1b.

Acceptable Condition. (See Condition/Performance Indicators/Metrics.)

Asset Priority Index. (See Condition/Performance Indicators/Metrics.)

Capital Improvement
The construction, installation, or assembly of a new asset, or the alteration, expansion, or extension of an existing asset to accommodate a change of function or unmet programmatic needs, or to incorporate new technology. This may include major renovation of an existing asset in order to restore and/or extend the life of the asset without a change of function. This includes constructed asset deficiencies where there is non-compliance to codes (e.g. life safety, ADA, OSHA, environmental, etc.) and other regulatory or Executive Order compliance requirements Includes engineering and/or contracted A&E services that support planning, design, and execution of deferred maintenance activities.

- **New Construction** – The erection, installation, or assembly of a new asset.
- **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.

Condition Assessment
Periodic inspection by qualified personnel to fully determine and document the condition of a constructed asset and identify maintenance needs.

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

Constructed Asset Component
A component is a building subsystem, major item of equipment, or other portion of a major facility.

Current Replacement Value (CRV)
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, it is the standard estimate for a Government-purchased replacement of like capability. 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 estimating replacement costs.

Deferred Maintenance (DM)
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). This DOES NOT include constructed asset deficiencies where there is non-compliance to codes (e.g. life safety, ADA, OSHA, environmental, etc.) and other regulatory or Executive Order compliance requirements. It does include engineering and/or contracted A&E services that support planning, design, and execution of deferred maintenance activities.

- **Deferred Corrective Maintenance** – Work to restore a damaged, broken, or worn-out asset, asset component, or item of IBE to normal operating condition.
- **Deferred Recurring Maintenance** – Planned preventive maintenance activity that recurs on a periodic and scheduled cycle of greater than 1 year, but less than 10 years that was not completed as scheduled.
- **Deferred Component Renewal** – Planned preventive maintenance activity that recurs on a periodic and scheduled cycle greater than 10 years that was not completed as scheduled.
- **Deferred Demolition** – Dismantling and removal, or surplus of a deteriorated or otherwise unneeded asset or item of IBE including necessary clean-up work.
- **Deferred Rehabilitation** – Renovation of an existing asset or any of its components in order to restore and/or extend the life of the asset. Because there is no expansion or change of function the work primarily addresses deferred maintenance.
- **Deferred Replacement** – Substitution or exchange of one existing asset, asset component, or item of IBE, for another having the capacity to perform the same function.

Facility
Depending on context could be a constructed asset, a group of constructed assets or an installation. Recommend that this term not be used.

Facility Condition Index. (See Condition/Performance Indicators/Metrics.)

Installation
An operational unit comprised of one or more constructed assets and the associated land. Examples of typical DOI installations could include parks, refuges, research centers, detention centers, recreation sites, large dams, schools, office locations, etc.

Maintenance
Maintenance to repair unscheduled and scheduled deficiencies during the time period in which they occur. This includes preventive maintenance for buildings, structures, and installed building equipment (IBE) as recommended by the manufacturer. It also includes engineering and/or contracted Architectural and Engineering (A&E) services that support planning, design, and execution of maintenance activities.

- **Corrective Maintenance** – Unscheduled maintenance repairs to correct deficiencies during the year in which they 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 constructed assets and IBE. These activities are conducted with a frequency of 1 year or less.
- **Recurring Maintenance** – Preventive maintenance activities that recur on a periodic and scheduled cycle of greater than 1 year, but less than 10 years.
- **Component Renewal** – Preventive maintenance activities that recur on a periodic and scheduled cycle of greater than 10 years.
- **Emergency Maintenance** – Maintenance activities that are unscheduled repair, to include call outs, to correct an emergency need to prevent injury, loss of property, or return asset to service. These repairs are initiated within a very short time period from which the need is identified, usually within hours.
- **Demolition** – Dismantling and removal, or surplus of a deteriorated or otherwise unneeded asset or item of IBE, includes necessary clean-up work, during the year in which the need occurred.
- **Mobile Equipment Maintenance** – All corrective, preventive, emergency, replacement, etc., maintenance done on mobile equipment assets, those assets directly contributing to the Real Property / Facility Maintenance mission.

Need
Need is a maintenance, capital improvement, or other programmatic or operational requirement which can be satisfied by a single unit of work. It can be documented by a work order, task order, etc.

Operations
Activities related to the normal performance of the functions for which a facility or item of Installed Building equipment (IBE) 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, periodic condition assessments, the Facilities Maintenance Management System (FMMS), miscellaneous engineer services not attributable to a specific project and personnel costs associated with the performance of these functions are generally included within the scope of operations and are not considered maintenance costs.

Administrative Operations
Activities associated with general administrative support functions, travel, training, meetings,

leave, supervision, budget formulation, FMMS, etc.

Facilities Operations
Work activities performed on a recurring basis throughout the year which intends to meet routine, daily operational needs. Typical work includes janitorial and custodial services, snow removal, solid waste removal, operation or purchase of utilities (water, sewer, and electricity), grounds keeping, etc.

- **Operational Maintenance** – Activities related to the normal performance of the functions for which an asset or item of equipment is intended to be used.
- **Custodial Maintenance** – Activities associated with general day-to-day care and cleaning operations necessary to operate a constructed asset, installation, or program to include housekeeping duties such as restroom cleaning and sanitization, floor waxing, vacuuming and window cleaning; rodent and pest control; and lawn mowing.
- **Trash Removal** – Activities associated with the Solid waste disposal of hazardous and non-hazardous waste and debris such as boxes, scrap wood, garbage, solvents, paints and other unusable items. Also includes recycling products e.g. copy paper, cans, bottles, etc.
- **Snow Removal** – When snow, ice and/or freezing rain develops, or any unsafe conditions which may have been caused by thawing and re-freezing, snow removal requirements shall be implemented. Snow removal shall include treatment for removing snow from sidewalks, walkways, driveways, parking lots and roadways requiring the use of special mechanized equipment and/or trucks, chemicals designed to melt snow or ice, and sand.
- **Water Order** – A request to deliver water to a water user.
- **Environmental Clean Up** – Activities related to the cleanup efforts of a large scale, complex environmental contamination usually associated with issues as hazardous waste, petroleum products, etc.

Inspection Operations
Regularly scheduled inspections consisting of observations and/or measurements needed to determine the physical and functional condition of the bridge, to identify any changes from initial or previously recorded conditions, and to ensure that the structure continues to satisfy present service requirements.

- **Annual Condition Assessment** – Annual inspection by qualified personnel to determine and document the condition of an asset or item of equipment and identify maintenance needs.
- **Comprehensive Condition Assessment** – Periodic inspection, conducted at least once every five years, by qualified personnel to fully determine and document the condition of an asset or item of equipment and identify maintenance needs.
- **Installed Building Equipment Inspection** – Required inspections on fixed equipment assets to include State, local, federal, or local government/management required inspections, e.g., emissions, safety.
- **Mobile Equipment Inspection** – Required inspections on mobile equipment assets, that directly contribute to the Real Property / Facility Maintenance mission, to include State, local, federal, or local government/management required inspections, e.g., emissions, safety.

- **Dam Safety Inspections** – Periodic inspections or assessments, in accordance with Department Manual, Part 753 (Dam Safety and Security Program), by qualified personnel to fully determine and document the condition of the dam and related geologic features. This includes high, significant and low hazard dams. This includes Formal, Intermediate and Special Safety Evaluation of Existing Dams (SEED), and other inspections of the dam (day, weekly, monthly and annual).
- **Bridge Safety Inspections** – Regularly scheduled inspections consisting of observations and/or measurements needed to determine the physical and functional condition of the bridge, to identify any changes from initial or previously recorded conditions, and to ensure that the structure continues to satisfy present service requirements.
- **Seismic Safety Inspections** – A periodic inspection by qualified personnel involving a comprehensive study to determine how a building or structure will respond during a major seismic event. The seismic inspection process evaluates the structural integrity of a building or structure based on a defined level of seismicity and level of performance. Seismic inspections include Rapid Visual Screening, Nonstructural Hazards Quantification, seismic rehabilitation and seismic evaluations.
- **Environmental Compliance Surveys** – Inspections conducted in accordance with 40 CFR Protection of Environment to determine enforcement and compliance activities for air, water, pesticides, toxics, and radiation.
- **Safety Inspections** – A periodic inspection by qualified personnel of any asset, installation, facility, construction site, other area, workplace, or environment where work is performed by employees of the agency to assure safe and healthy working conditions exist. These inspections may be conducted to inspect and investigate according to 29 CFR 1960, Subpart D, Inspection and Abatement. Inspectors shall investigate such places of employment and all pertinent conditions, structures, machines, apparatus, devices, equipment, and materials therein, and to question privately any agency employee, any agency supervisory employee, and/or any official in charge of an establishment to assure safe and healthy practices are conducted.
- **Accessibility Inspections** – A standardized physical inspection of an asset, facility, site or program component to evaluate its accessibility, as determined by performing measurement tasks against standard accessibility codes such as Uniform Federal Accessibility Standards (UFAS) and ADA.

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

Unacceptable Condition. (See Condition/Performance Indicators/Metrics.)

FACILITY AND EQUIPMENT TYPES

Administrative Site
Area or land, used and/or set aside for program purposes (such as office complex, housing, fire station, fire lookout, work camp, schools, cultural landscapes, communication site, or historical/interpretive site) bounded by a more or less defined perimeter, or established boundary.

Bridge
A structure erected over a waterway or other obstruction, such as roads or railways and having a track/passageway for traffic or other moving loads (i.e., pedestrian, animal, vehicular, etc.).

- **Road Bridge** – A structure including supports erected over a depression or an obstruction, such as water, highway, or railway, and having a track or passageway for carrying traffic or other moving loads, and having an opening measured along the center of the roadway of more than 20 feet between under croppings of abutments or spring lines of arches, or extreme ends of openings for multiple boxes. May also include multiple pipes, where the clear distance between openings is less than half of the smaller contiguous opening (AASHTO).
- **Culvert Bridge** – Multiple box culverts or multiple pipe structures underneath roadbeds to allow passage of water. Pipe structures must be 20 feet or greater from the outside pipe edges.
- **Trail Bridge** – Spanning structure designed to be used by pedestrians, animals, bicycles, all-terrain vehicles (ATVs), etc.

Building

- **General** – Buildings are defined as any structure with a roof and commonly enclosed by walls, designed for storage, human occupancy, or shelter for animals, distinguished from other structures not designed for occupancy (such as fences or bridges). Buildings include offices, warehouses, post offices, hospitals, prisons, schools, housing and storage units. IBE or fixed equipment, that is permanently attached to and a part of the operation of the building, and cannot be removed without cutting into the walls, ceilings or floors, is also included. Examples of fixed equipment include plumbing, heating and lighting equipment, elevators, central air conditioning systems and built-in safes and vaults.
- **Historic General** – Historic buildings, structures, and monuments owned and maintained for their historic significance (excluding historic housing).
- **Housing** – Buildings predominantly used as dwellings, such as apartment houses, single houses, row houses, dormitories, barracks, etc.
- **Historic Housing** – Historic houses owned and maintained for their historic significance and used for residency.

Dam
This is any artificial barrier, including appurtenant works, used to impound or divert water.

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.

Equipment – Installed Building Equipment (IBE)
Installed Building Equipment (Real Property) are items that are affixed or built into a constructed asset and become an integral part of the constructed asset, e.g., utilities systems. IBE is within the scope of Attachment G.

Equipment – Mobile
Equipment that is mobile and directly contributes to the Real Property / Facility Maintenance mission. Equipment-Mobile is within the scope of Attachment G. These are primarily utility systems related.

Fence
A physical barrier or boundary used as protection or confinement for humans and/or wildlife. This may include barbed wire, split rail, chain link, wooden, stone, electric, etc.

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

- **Hydroelectric Plant.** – A facility where the force of water is used to produce electric energy. Normally uses a dam.
- **Electric Distribution System.** – Facilities designed for the delivery of electric energy to customers. Includes high voltage transmission lines, substations and distribution lines.

Interpretive Display
These specialized structures are 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.

Marina
Marina facilities are primarily for marine operations that may include piers, jetties, seawalls, docks, bulkheads, boat launch, harbor masters office, restrooms, picnic area, parking, etc.

Monitoring Network
This is a network of monitoring instruments such as seismic and earthquake monitors, stream and flood forecast gauges, mercury manometers, motion detectors, and observation wells. See equipment above.

Radio Infrastructure Definitions

- **Cabinet** – An outdoor freestanding metal enclosure in various sizes, weatherproof and non-weatherproof, which houses the radio electronics equipment. Does not have space to permit human occupancy and equipment is serviced through access doors. Normally bolted to a concrete pad. Antenna, grounding and power distribution systems are fed into the enclosure at a designed entry point.
- **Concrete Pad** – A formed pour of reinforced concrete used to support a radio structure, portable building or tower structure.
- **Container** – An enclosure, or storage building, which was manufactured as a shipping or storage container and does not contain any internal power distribution, lighting or grounding systems. Does have space to permit human occupancy. On site modifications (e.g., to add internal power distribution, lighting or grounding systems) have been done to make the enclosure usable as a radio structure. Normally bolted to a concrete pad or pillars.
- **Hut** – An enclosure or building which was specifically manufactured as a telecommunications structure and contains all the necessary internal power distribution, lighting or grounding systems. May or may not have HVAC. Does have space to permit human occupancy. Normally bolted to a concrete pad or pillars. Antenna, grounding and power distribution systems are fed into the enclosure at a designed entry point.
- **Pole** – An antenna support structure normally mounted to a building facade, roof or other structures. Typically round tubing usually made of wood, aluminum, iron, carbon fiber, or other materials with a diameter from 1 to 4 inches with a length less than 10 feet and usually includes a manufactured mounting system often used to hold wires, cabling for power, radio and other communication systems. Not designed to permit climbing by a person.
- **Shed** – An enclosure or building, usually of wood, which was constructed on site and does not contain any internal power distribution, lighting or grounding systems. Does have space to permit human occupancy. On site modifications (e.g., to add internal power distribution, lighting or grounding systems) have been done to make the enclosure usable as a radio structure. Normally bolted to a concrete pad or pillars.
- **Tower** – An antenna support structure normally mounted to a concrete pad or pillar. Designed to permit climbing by a person. May be self supporting or guyed. Configured with 3 or more legs latticed together or as a solid monopole. Height ranges from 10 to 2,000 feet.

Road

- **Paved** - Improved surfaces constructed of paving materials used for vehicular transportation.
- **Unpaved** – Graded, drained surfaces other than pavement (i.e., stone, gravel, etc.) used for vehicular transportation.

Trail and Boardwalk
A marked path or course that is used primarily for pedestrians, animals, bicycles, ATVs, etc.

- **Paved** - Improved paths or courses constructed with paving materials.
- **Unpaved** – Designated natural paths or courses.
- **Boardwalk** – A structure to facilitate access across wet areas, sensitive habitat or plant communities, or areas physically difficult to cross.
- **Water Trail** – Designated natural waterways used for travel.

Tunnel
This is a structure constructed by excavating through natural ground to convey traffic, water or house conduits, or pipes.

Utility Systems
These include HVAC, sewage, water and electrical systems when they serve several buildings and/or other structures of an installation. When these systems serve a single building, which is reported separately, include the utility systems cost in the cost of the building. Report structures and facilities used in the production of its own power requirements. This category also includes heating plants and related steam and gas lines; sewage disposal plants, storm and sanitary sewer lines; water treatment plants, wells, pump houses, reservoirs, and pipelines; and electrical substations, standby or auxiliary power plants, lighting structures, and conduits.

- **Access Control** – The locking/security mechanisms used to monitor, on-site or remotely, access and prevent unauthorized access to a radio equipment enclosure, subsystem or antenna support structure.
- **Fuel System** – A system of pipes, pumps, valves, and regulators for the purpose of distributing fuel from a source to points of use is a fuel system.
- **Grounding System** – This is the system used to provide a common electrical reference for all the electronics equipment within and around a radio structure. This common system is also a protection device for personnel and equipment which may be susceptible to surges of electrical energy. Based on the Motorola R56 Standard for grounding systems.
- **HVAC** – Systems that control the ambient environment (temperature, humidity, air flow, and air filtering) and must be planned for and operated along with other data center components such as computing hardware, cabling, data storage, fire protection, physical security systems and power.
- **Lighting System** – The system used to provide illumination of the work areas within and around the radio equipment enclosure, subsystem or antenna support structure.
- **Power Distribution** – Electricity distribution is the penultimate process in the delivery of electric power, i.e. the part between transmission and user purchase from an electricity provider. It is generally considered to include medium-voltage (less than 50kV) power lines, low-voltage electrical substations and pole-mounted transformers, low-voltage (less than 1000V) distribution wiring and sometimes electricity meters.
- **Power-Generating Facilities** – Facilities that contain engines, turbines, generators, alternative energy sources and associated control equipment for the purpose of electrical current generation.
- **Power Source** – The electrical energy sources used to power the equipment within and around the radio equipment enclosure, subsystem or antenna support structure. May be commercially line fed from a distant location. On site sources may be a combination of fossil

fuel generators, photo voltaic cells, wind turbine or hydroelectric generators, and storage battery cells.

- **Telecommunication System** – This is an external system that supports building infrastructure requirements for communications. It includes but is not limited to radio, telephone, intercom, emergency equipment, security and safety systems, low or high water level alarms, etc. May include cabling, wiring, radio base stations, repeaters, antennas, satellite dishes and switching devices.
- **Wastewater Collection System** – This consists of pipes, sewage lines, manholes, vaults, septic tanks, pumps, and other works necessary for the collection, treatment, and disposal of wastewater.
- **Water Distribution System** – This may be an open or closed system used to distribute water by gravity or pressure from a collection point to use point(s).

Water Management Facility

- **Dike/Levee** – A dike or levee is a water detention/retention structure or retaining wall that impounds bodies of relatively shallow water or protects facilities from flood runoff, or to create or restore wetland habitat. Levees are generally earthen structures designed to retain water within a floodway and protect adjacent areas.
- **Diversion Dam** – This is a dam built to divert water from a waterway or stream into a different watercourse.

CONDITION/PERFORMANCE INDICATORS/METRICS

In addition to the GPRA goal measurement of completed projects mentioned in the Annual Update section on page 6 of this Attachment, improvement of DOI's facilities management programs may be measured several ways. These (4) four metrics are required data elements for each asset entered into the FRPP. At present Utilization is only required for offices, hospitals, warehouses, laboratories, and housing.

Asset Priority Index (API)

The API is a measure of the importance of a constructed asset to the mission of the installation where it is located. API is tied to a constructed asset, not a project. The numeric range is from One (1), for little or no importance, to One Hundred (100), for very important. In the FRPP this is known as Mission Dependency Index (MDI) and constructed assets are categorized as shown below:

- **Mission Critical** – without constructed asset mission compromised.
- **Mission Dependent, Not Critical** – does not fit "Mission Critical" or "Not Mission Dependent."
- **Not Mission Dependent** – mission is unaffected.

Facility Condition Index (FCI)

FCI = DM/CRV. FCI is the ratio of accumulated Deferred Maintenance (DM) to the Current Replace Value (CRV) for a constructed asset. FCI is a calculated indicator of the depleted value of a constructed asset. The range is from Zero (0), for a newly constructed asset, to One (1.0),

for a constructed asset with a DM value equal to its CRV. Acceptable ranges vary by Asset Type, but as a general guideline, the FCI should be held below .15 for a facility to be considered to be in acceptable condition. An acceptable rating for BIA schools should be held below 0.10. Constructed assets are categorized as shown below:

- **Acceptable** – meets established maintenance standards, operates efficiently, and has a normal life expectancy. Scheduled maintenance should be sufficient to maintain the current condition, or, meets minimum standards but requires additional maintenance or repair to prevent further deterioration, increase operating efficiency, and to achieve normal life expectancy.
- **Unacceptable** – 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.

In the FRPP, this is known as Condition Index (CI) and is calculated thus, CI= (1-FCI) x100.

Utilization (UI)

Utilization is the extent to which a constructed asset is used. Utilization is a ratio of actual usage to designed usage, with a range from 0% to 100%. Acceptable ranges vary by Asset Type. Constructed assets are categorized as shown below:

- **Over-Utilized**
- **Utilized**
- **Underutilized**
- **Not Utilized**

Annual Operations & Maintenance Costs (O&M)

Annual O&M includes the following:

- Recurring maintenance and repair costs.
- Utilities (includes plant operation and purchase of energy).
- Cleaning and/or janitorial costs (includes pest control, refuse collection and disposal to include recycling operations).
- Roads/grounds expenses (includes grounds maintenance, landscaping and snow and ice removal from roads, piers and airfields).

In the FRPP, this is known as Annual Operating Costs.

COMMON DEFINITIONS FOR FACILITIES MAINTENANCE AND CONSTRUCTION TERMS A full definition of these terms can be found in Exhibit 1a.			
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, periodic condition assessments, the FMMS, miscellaneous engineer services not attributable to a specific project and personnel costs associated with the performance of these functions are generally included within the scope of operations and are not considered maintenance costs.	**Maintenance** Maintenance to repair unscheduled and scheduled deficiencies during the time period in which they occur. This includes preventive maintenance for buildings, structures, and installed related equipment as recommended by the manufacturer. Includes engineering and/or contracted A&E services that support planning, design, and execution of maintenance activities.	**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. This Does Not include facility deficiencies where there is non-compliance to codes and other regulatory or Executive Order compliance requirements. Includes engineering and/or contracted A&E services that support planning, design, and execution of deferred maintenance activities.	**Capital Improvement** The construction, installation, or assembly of a new asset, or the alteration, expansion, or extension of an existing asset to accommodate a change of function or unmet programmatic needs, or to incorporate new technology. This may include major renovation of an existing asset in order to restore and/or extend the life of the asset without a change of function. This includes facility deficiencies where there is non-compliance to codes and other regulatory or Executive Order compliance requirements. Includes engineering and/or contracted A&E services that support planning, design, and execution of deferred maintenance activities.
Annual Condition Assessment **Comprehensive Condition Assessment** **Fixed Equipment Inspection** **Mobile Equipment Inspection** **Dam Safety Inspections** **Bridge Safety Inspections** **Seismic Safety Inspections** **Environmental Compliance Surveys** **Safety Inspections** **Accessibility Inspections** **Operational Maintenance** **Custodial Maintenance** **Trash Removal** **Snow Removal** **Water Order** **Environmental Clean Up** **Administrative Activities**	**Corrective Maintenance** **Preventive Maintenance** **Recurring Maintenance** **Component Renewal** **Emergency Maintenance** **Demolition** **Mobile Equipment Maintenance**	**Deferred Corrective Maintenance** **Deferred Recurring Maintenance** **Deferred Component Renewal** **Deferred Demolition** **Deferred Rehabilitation** **Deferred Replacement**	**New Construction** **Alteration (for change of function, without expansion)** **Expansion**

DEFERRED MAINTENANCE AND CAPITAL IMPROVEMENT PLAN
FY 2010 – 2014

[Bureau Name] **PROJECT DATA SHEET**	Project Score/Ranking:
	Planned Funding FY:
	Funding Source:

Project Identification

Project Title:		
Project No.:	Unit/Facility Name:	
Region/Area/District:	Congressional District:	State:

Project Justification

DOI Asset Code:	Real Property Unique Identifier:	API:	FCI-Before:	FCI-Projected:
1. 2. 3.				

Project Description:

Project Need/Benefit:

Revision Statement: (provided when submitting a revised Project Data Sheet)

Ranking Categories: Identify the percent of the project that is in the following categories of need.

% Critical Health or Safety Deferred Maintenance (10)	% Energy Policy, High Performance Sustain Bldg CI (5)
% Critical Health or Safety Capital Improvement (9)	% Critical Mission Deferred Maintenance (4)
% Critical Resource Protection Deferred Maintenance(7)	% Other Deferred Maintenance (3)
% Critical Resource Protection Capital Improvement (6)	% Code Compliance Capital Improvement (3)
	% Other Capital Improvement (1)

Capital Asset Planning 300 Analysis Required (circle one): YES NO | **Total Project Score:**

Project Costs and Status

Project Cost Estimate (This PDS):	$'s	%	**Project Funding History (Entire Project):**	$'s
Deferred Maintenance Work:			Appropriated to Date:	
Capital Improvement Work:			Requested in FY___ Budget:	
Total:		100%	Planned Funding in FY__:	
			Future Funding to Complete Project:	
			Total:	

Class of Estimate (circle one): A B C D DM
Estimate Good Until (mm/yy): ____/____

Dates:	Sch'd	**Project Data Sheet**	**DOI Approved:**
Construction Start/Award: (qtr/yy)	____/____	Prepared/Last Updated: ____/____ mm/yy	(circle one) YES NO
Project Complete: (qtr/yy)	____/____		

Annual Operation & Maintenance Costs ($s)

Current:	Projected:	Net Change:

PROJECT DATA SHEET – DATA ELEMENTS

Definitions of Data Elements

Project Identification

Project Score/Ranking
This is to be the same number as shown in the Total Project Score block in the Project Justification section of the Project Data Sheet.

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 should not be included as there are other categories for those. Use descriptive words to indicate the action(s) being taken.

Examples:
Drinking Water Upgrade
Rehabilitate Unsafe Historic Residence
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.

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

DOI Asset Code:
DOI Facilities Asset Code (8 digits). List an Asset Code for each constructed asset that is involved in this project. This is found in the Real Property records and is part of the FRPP.

Real Property Unique Identifier:
The Number used in the FRPP to identify a specific constructed asset. List an RP Identifier for each constructed asset that is involved in this project. This is found in the FRPP.

API:
The Asset Priority Index of the constructed asset. List the API for each constructed asset that is involved in this project.

FCI-Before:
The current FCI of the constructed asset(s) as identified in the Project Scope. FCI should be as of September 30 of the year prior to the PDS submission. List an FCI for each constructed asset that is involved in this project.

FCI-Projected:
Projected, resultant FCI of the constructed asset(s) as identified in the Project Scope, after project completion. (Existing DM less DM identified in the project) divided by the CRV. List an FCI for each constructed asset that is involved in this project.

Project Description
The project description must include a statement of the identified problem(s), its impact, and the prescribed solution. It must be written in a way to support the percentage in each ranking category included in 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. If an asset is being **Repaired By Replacement**, disposition of the existing asset must be addressed and cost included in the project cost.

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. For all projects, briefly state how the project will meet DOI and Bureau Strategic Plan goals and objectives and the DOI and Bureau Asset Management Plans and the Site Specific Asset Business Plans.

Revision Statement:
State briefly why this PDS was revised.

Ranking Categories
Identify the percentage of the projects work that is in each of the 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
Energy Policy, High Performance, Sustainable Buildings Capital Improvement Needs
Critical Mission Deferred Maintenance Needs
Other Deferred Maintenance Needs
Code Compliance Capital Improvements
Other Capital Improvements

Capital Asset Planning

OMB requires preparation of a Capital Asset Plan and Justification (Exhibit 300 in OMB Circular A-11) for major capital acquisitions. The Department has determined that Exhibit 300s should be prepared for any construction project whose total project cost is $10 million or greater. For more details, see the Capital Planning and IT Investment in the general management guidance section of the FY 2009 Budget Guidance. Circle **"YES"** or **"NO."**

Total Project Score

The result of the calculation after applying the weight factors for the Ranking Categories. 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
Energy Policy, High Performance, Sustainable Buildings CI (EPHPSBci)	5
Critical Mission Deferred Maintenance (CMdm)	4
Other Deferred Maintenance (Odm)	3
Code Compliance Capital Improvements (CCci)	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) + (%EPHPBci x 5) + (%CMdm x 4) + (%Odm x 3) +(%CCci x 3) + (%Oci x 1) = TOTAL PROJECT SCORE

Project Costs and Status

Project Cost Estimate (This PDS)

This applies only to the project or portion of a project being requested in this Project Data Sheet.

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. Labor costs should only be included when a contractor accomplishes the project.

Capital Improvement Work
This is the estimated cost of a proposed project that addresses capital improvement needs. For those projects addressing both capital improvements 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
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 current cost estimates of projects:

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.

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.

DM – Deferred Maintenance Project – If the Project Data Sheet is being used for a project that would be typically described as smaller, shorter duration, and less complex deferred maintenance, and not normally requiring extensive planning and design as opposed to a Line-Item Construction type projects, this item should be circled. 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.

Estimate Good Until (mm/yy)
This is the date (by month and year) on which the current cost estimate will expire.

Project Funding History (Entire Project)
This is the summation of all costs associated with this project, if more than one PDS is involved, this area shows the total of all the PDS's, for all years.

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. 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.

Planned Funding FY___
This is the budget year and amount being 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 space in the Project Cost Estimate (this request) block of the data sheet.

Future Funding to Complete Project
This is out-year funding. Show all costs necessary to complete the total project.

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

Dates:
These are spaces to put the scheduled dates in this block.

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 (by quarter and fiscal year) 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 (mm/yy) 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.

DOI Approved
This indicates whether the project has received prior Departmental review and approval. Circle **"Yes"** if the project has been reviewed and approved by the Department and has **no** subsequent changes in scope, score/ranking or cost since that approval. Circle "**No**" if the project is new or there **have been** subsequent changes in scope, score/ranking or cost since last reviewed and approved by the Department.

Annual Operations & Maintenance Costs ($s)

Current:
Annual O&M dollars currently spent to maintain this asset(s). As recorded in the FRPP.

Projected:
Annual O&M dollars projected to maintain this asset(s) resulting from this project.

Net Change:
Current – Projected

Deferred Maintenance vs. Capital Improvements in the 5-Year Plan
($000)

Bureau:_____
Account:_____
Date:_____

	Deferred Maintenance					Capital Improvement						
	Critical H/S DM	Critical Res Prot DM	Critical Mission DM	Other DM	**Total DM**	Critical H/S CI	Critical Res Prot CI	EPHPB CI	Code Comp CI	Other CI	**Total CI**	**Total DM & CI**
FY 2010												
$	25,000	15,000	4,000	1,000	45,000	3,000	1,000		1,000	1,000	5,000	50,000
%	50.0%	30.0%	8.0%	2.0%	90.0%	6.0%	2.0%		2.0%	2.0%	10.0%	100.0%
No. of Projects												850
FY 2011												
$												
%												
No. of Projects												
FY 2012												
$												
%												
No. of Projects												
FY 2013												
$												
%												
No. of Projects												
FY 2014												
$												
%												
No. of Projects												
Total, 5-Year Plan												
$												
%												
No. of Projects												

Attachment G – FY 2010-14
Exhibit 3

EXHIBIT 4 FY 2010-2014 [BUREAU NAME]

SUMMARY PROJECT DATA SHEET

DEFERRED MAINTENANCE PLAN (or) **CAPITAL IMPROVEMENT PLAN**

Plan Fund FY	DOI Score	Region /Area/ District	Unit/ Facility Name	State	Cong. Dist.	Project #	Project Title	Ranking Categories									Total DM/ CI		Orig Cost Est ($000)	DOI Appr
								% CHSdm	% CHSci	CRPdm	% CRPci	% CMdm	% EPHPSBci	%Odm	%CCci	% Oci	% DM	%CI		

[BUREAU NAME]

COMPLETION REPORT FOR REPORTING YEARS 2000-2007

DEFERRED MAINTENANCE PLAN (or) CAPITAL IMPROVEMENT PLAN

Plan Fund FY	DOI Score	Region /Area/ District	Unit/ Facility Name	State	Cong.Dist.	Project #	Project Title	Proj Cat	Orig Cost Est ($000)	APPR Amount ($000)	Final Proj Cost ($000)	Other Fund	Proj Stat	Narrative

Attachment G – FY 2010-14
Exhibit 5

Definitions of Data Elements for

SUMMARY PROJECT DATA SHEET (Exhibit 4)
&
COMPLETION REPORT (Exhibit 5)

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

DM or CI
Is this project Deferred Maintenance (**DM**) of Capital Improvement (**CI**). (Appears only on the Omnibus electronic spreadsheet, and not on Exhibits 4 & 5.)

DOI Score
The result of the calculation after applying the weight factors for the Ranking Categories. 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
Energy Policy, High Performance, Sustainable Buildings CI (EPHPSBci)	5
Critical Mission Deferred Maintenance (CMdm)	4
Other Deferred Maintenance (Odm)	3
Code Compliance Capital Improvements (CCci)	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) + (%EPHPSBci x 5) + (%CMdm x 4) + (%Odm x 3) + (%CCci x 3)+ (%Oci x 1) = TOTAL SCORE

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

Unit/Facility 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 #
The identification code used to distinguish this project from all others within a Bureau. The code can be any combination of characters and numbers.

Project Title
A brief (100 characters or less) title of the project. The location and facility name of the property should not be included as there are other categories for those. Use descriptive words to indicate the action(s) being taken.

Examples:
Drinking Water Upgrade
Rehabilitate Unsafe Historic Residence
Retrofit existing Oil & Paint Storage Building

Proj Cat
Was this project in the original Plan submitted to Congress or did it come from somewhere else?

Use the appropriate symbol:	**SYMBOL**
All Original Projects submitted to Congress	**Plan**
Congressional Add Project	**CO**
Other Added Projects (*)	**O**
Emergency Replacement Project (**)	**ER**
Replacement Project for other than an emergency (**)	**OR**

* There must be an accompany narrative explaining the circumstances for the addition.

** There must be an accompany narrative explaining the circumstances causing the change. Cite listed project that has been displaced and identify displaced project with appropriate Status Code.

Ranking Categories

% CHSdm	=	Critical Health and Safety Deferred Maintenance
% CHSci	=	Critical Health and Safety Capital Improvement
% CRPdm	=	Critical Resource Protection Deferred Maintenance
% CRPci	=	Critical Resource Protection Capital Improvement
% EPHPSBci	=	Energy Policy, High Performance, Sustainable Buildings Capital Improvement
% CMdm	=	Critical Mission Deferred Maintenance
% Odm	=	Compliance and Other Deferred Maintenance
% CCci	=	Code Compliance Capital Improvements
% 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%.

Orig Cost Est ($000)
This is the estimated cost of the project when it went to Congress. 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.

Appropriated Amount ($000)
This is the amount that Congress appropriated.

Final Project Cost ($000)
This is the amount that the project actually cost.

DOI Appr
This indicates whether the project has received prior Departmental review and approval. Mark "**Y**" if the project has been reviewed and approved by the Department and has **no** subsequent changes in scope, score/ranking or cost since that approval. Mark "**N**" if the project is **new** or there **have been** subsequent changes in scope, score/ranking or cost since last reviewed and approved by the Department.

Other Fund
If another source of funds will be used to fund this project, annotate with "**OF**", and state in the narrative the circumstances causing the change.

Proj Stat
(Project Status as of the last day of the fiscal year for each project identified above. Some projects may repeat the same status from year to year.).

	SYMBOL
For projects that did not receive appropriations	**NO**
Project work deferred to out-year for funding (***)	**D**
Work no longer needs to be accomplished (***)	**N**
Project delay due to disputes, changes to the project resulting from (***) unforeseen site conditions or concealed conditions in existing structures.	**DL**
Project planning and engineering design in progress	**PD**
Construction contract awarded (Use only if on-site construction has not begun.)	**CA**
On-site construction started: either by force account, grant, or contract	**CS**
For projects that are completed, enter month and year. (This is the date the work in the project is completed. For contracted projects, it is completed on-site construction and not the contract close-out date or end of warranty.)	**mm/yy**

*** State in the narrative the circumstances causing the change.

Narrative
Include additional information to clarify the project as necessary.