

U.S. Department of Energy
Washington, D.C.

ORDER

DOE O 135.1

Approved: 09-30-95

This directive was reviewed and certified as current and necessary by Bruce M. Carnes, Director, Office of Management, Budget and Evaluation/Chief Financial Officer, 9-18-02.

SUBJECT: BUDGET EXECUTION-FUNDS DISTRIBUTION AND CONTROL

1. **OBJECTIVE.** To describe the Department of Energy (DOE) systems, policies, and assignment of requirements for the control of the Department'S budget process to include:
 - a. Establishing and maintaining the base table;
 - b. Obtaining apportionments from the Office of Management and Budget (OMB), and appropriation warrants from the Department of the Treasury;
 - c. Issuing approved funding programs (AFPs) and allotments; and
 - d. Processing reprogramming, restructuring, appropriation transfer actions, rescissions, and deferrals relating to the appropriation accounts of DOE.
2. **CANCELLATION.** The Orders listed below are canceled. Cancellation of an Order does not, by itself, modify or otherwise affect any contractual obligation to comply with such an Order. Canceled Orders that are incorporated by reference in a contract shall remain in effect until the contract is modified to delete the reference to the requirements in the canceled Orders.
 - a. DOE 5100.11A, BUDGET EXECUTION - OFFICE OF MANAGEMENT AND BUDGET APPORTIONMENT AND TREASURY WARRANT PROCESS, of 5-18-92.
 - b. DOE 5100.12A, BUDGET EXECUTION - DEPARTMENT OF ENERGY BASE TABLE, of 5-18-92.
 - c. DOE 5100.13A, BUDGET EXECUTION -RESCISSIONS AND DEFERRALS, of 5-18-92.
 - d. DOE 5100.14A, ALLOTMENT AND APPROVED FUNDING PROGRAM PROCESS, of 5-18-92.
 - e. DOE 5160.1B, REPROGRAMMING, RESTRUCTURING, AND APPROPRIATION TRANSFER PROCEDURES, of 5-18-92.

DISTRIBUTION:

All Departmental Elements

INITIATED BY:

Office of Chief Financial Officer

3. APPLICABILITY. This directive applies to all Headquarters and Field Elements that have responsibility for management and execution of Department funds.
4. REQUIREMENTS.
 - a. Overall budget execution activities related to the control and distribution of funds shall be conducted according to the requirements presented in DOE M 135.1-1, BUDGET EXECUTION MANUAL.
 - b. A base table shall be prepared and submitted quarterly to the appropriate Congressional committees. All funds distributed throughout DOE by the allotment and AFP processes shall be limited by the amounts specified in the base table.
5. RESPONSIBILITIES.
 - a. The Secretary of Energy shall concur or nonconcur on those reprogramming, restructuring, and appropriation transfer proposals forwarded by the Under Secretary.
 - b. The Under Secretary shall concur, nonconcur, or seek concurrence from the Secretary, as appropriate, for those reprogramming, restructuring, and appropriation transfer proposals forwarded by the Chief Financial Officer.
 - c. Secretarial Officers shall submit proposed rescissions and deferrals to the Chief Financial Officer.
 - d. Chief Financial Officer shall:
 - (1) Establish and maintain the DOE base table and submit it quarterly to the appropriate Congressional committees, and ensure that appropriate controls are transmitted to the DOE organizations which will execute the program funds.
 - (2) Request apportionment of funds from OMB and submit reapportionment requests when necessary.
 - (3) Request issuance by the Department of the Treasury of appropriation warrants when necessary, and record receipt of warrants.
 - (4) Provide staff review, approval, and issuance of all AFPs.
 - (5) Prepare and issue allotments that are within the availability of authority and/or funds provided by appropriations, apportionments, reimbursements, and other means.

- (6) Concur in all Agency deferrals initiated by DOE and monitor all deferrals after they are reported to OMB.
 - (7) Manage requested changes to Congressional control levels by determining whether a reprogramming, restructuring, or an appropriation transfer proposal is appropriate; obtaining staff concurrences as necessary; notifying OMB and Congress as necessary; and placing in reserve in the AFP any funds proposed for reprogramming or appropriation transfer.
- e. Assistant Secretary for Congressional and Intergovernmental Affairs shall concur on reprogramming, restructuring, and appropriation transfer proposals.
 - f. General Counsel shall concur on reprogramming, restructuring, and appropriation transfer proposals, as required.
 - g. Heads of Headquarters Elements shall adhere to funds control processes and procedures as contained in DOE M 135.1-1, BUDGET EXECUTION MANUAL.
 - h. Assistant Secretary for Policy shall concur on reprogramming, restructuring, and appropriation transfer proposals, as required.
 - i. Heads of Field Elements shall maintain a current program and funding baseline for budget execution. Accordingly, they shall insure that significant changes in budget execution are coordinated through the cognizant Secretarial Officer prior to implementation.
 - j. Allottees shall execute programs under their administrative control in accordance with an AFP, which accompanies the Advice of Allotment. Further, allottees will adhere to all legal limitations annotated on the Advice of Allotment, including amount, purpose and time period of availability for funds contained therein.
6. CONTACT. John Strahler, Office of Budget, Budget Execution Branch (CR-131), 301-903-2902.

BY ORDER OF THE SECRETARY OF ENERGY:



ARCHER L. DURHAM
Assistant Secretary for
Human Resources and Administration