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CHAPTER I

GENERAL

1. INTRODUCTION.

- a. The OMB Budget submission provides a mechanism for the annual OMB review of the Department's resource requirements. The OMB budget represents an update of the Internal Review Budget (IRB) to reflect the Secretary's decisions on the Department's budget. The submission should be based on the guidance contained in the Secretary's budget allowance. The process is initiated in early August with the issuance of the OMB call letter to the Heads of Headquarters Elements and selected field elements. Included in the call letter will be due dates; an approved program structure; a list of required figures; and any pertinent fiscal and policy information necessary to prepare the budget request.
- b. A statistical table reflecting the final Secretary's allowance will be issued shortly after the Secretary makes the final budget decisions and will serve as the control table for the OMB submission. Following reviews at the Assistant Secretary level the budget submissions undergo a second review, by the budget analysts in the Office of Budget, to determine that they accurately represent Secretarial decisions and are suitably supported by the justification. When the estimates are received in OMB they are referred to the examiners assigned to the program involved. They identify budgetary and programmatic issues of major importance to be raised for discussion with the Department's representatives at hearings conducted by OMB. Following the hearings, OMB examiners prepare their summary of the issues and their recommendations for the OMB Director's review. The Director's review results in the initial OMB allowance and provides an opportunity for the principal officials of OMB to obtain an understanding of the Department's program operations and budget requests. Analyses are prepared reflecting significant issues involving the relationship of the Department requests to the planning ceiling set for the Department

as a result of the spring planning review.

- c. In anticipation of receipt of the OMB allowance, the Office of the Secretary and the Assistant Secretary, Management and Administration, will inform Departmental Elements of the OMB plans for passback of the allowances, together with a DOE schedule of events that will lead to the submission of an appeal document to OMB. The schedule of events includes dates for submission of formal appeals and timing of internal DOE reviews.
- d. OMB transmits the allowances to DOE in late November. OMB prepares an allowance fact sheet for each major program receiving an allowance different than the original DOE request. The fact sheet includes dollar allowances for current year supplementals, budget year requests, and 2 out years. Prior to actual receipt of the allowance, the Office of Budget personnel meet with OMB budget examiners to obtain additional clarifying information. Based on the analysis of the OMB allowance the Department undertakes an appeal process which results in additional supporting justification being sent to OMB. After analysis of the DOE appeals, OMB informs the Secretary of their final budget actions. On occasion the OMB may request hearings or additional information concerning the DOE appeal data.

2. GENERAL POLICIES AND GUIDELINES. General information and policies on the preparation and submission of budget estimates are contained in OMB Circular A-11, "Preparation and Submission of Budget Estimates." The budget request to OMB must conform to the policies and other requirements of Circular A-11. Circular A-11 sections, cross referenced against OMB directives and other regulations, provide the additional guidance necessary for the preparation of estimates (see Figure I-1).

Circular A-11 Reference	Circular or Other Regulations	Title or Subject
13. 2	Circular A-19	Procedures for the coordination and clearance of agency recommendations on proposed, pending, and enrolled legislation.
13. 5	Circular A-45 (revised), A-25 and A-121	Policies governing charges for rental quarters and related facilities.

13. 7	Ci rcul ar A-10	Responsi bi l i t i e s f o r di s c l o s u r e w i t h r e s p e c t t o t h e b u d g e t.
13. 2	Exe c u t i v e O r d e r 12291	R e d u c t i o n o f o n e r o u s p a p e r w o r k.
13. 3	Ci rcul ar A-64	P o s i t i o n m a n a g e m e n t s y s t e m a n d e m p l o y m e n t c e i l i n g.
13. 3 13. 5(o)	Ci rcul ar A-76	P o l i c i e s f o r a c q u i r i n g c o m m e r c i a l o r i n d u s t r i a l p r o d u c t s f o r G o v e r n m e n t u s e.
13. 3(12)	Ci rcul ar A-30 Exe c u t i v e O r d e r 11609	F e d e r a l E m p l o y e e U n i f o r m A l l o w a n c e A c t.
13. 4(c)	Exe c u t i v e O r d e r 12348 Ci rcul ar A-63 (R e v i s e d)	C o m p a r a t i v e c o s t a n a l y s i s t o l e a s e o r p u r c h a s e g e n e r a l p u r p o s e r e a l p r o p e r t y.
13. 4(d)	Exe c u t i v e O r d e r 11490	D e s i g n a n d c o n s t r u c t i o n o f F e d e r a l b u i l d i n g i n c l u d i n g f a l l o u t p r o t e c t i o n.
13. 4(e)	Ci rcul ar A-106 Exe c u t i v e O r d e r 11752 Exe c u t i v e O r d e r 12088	R e p o r t i n g r e q u i r e m e n t s i n c o n n e c t i o n w i t h t h e p r e v e n t i o n , c o n t r o l , a n d a b a t e m e n t o f e n v i r o n m e n t a l p o l l u t i o n a t e x i s t i n g F e d e r a l f a c i l i t i e s.
13. 4(g)	Exe c u t i v e O r d e r 11988 Exe c u t i v e O r d e r 11990	U s e o f f l o o d p l a i n s f o r c o n s t r u c t i o n.
13. 4(m)	Ci rcul ar A-18	P o l i c i e s o n c o n s t r u c t i o n o f f a m i l y h o u s i n g.
13. 4(n)	G S A F P M R 101-35. 2	P o l i c i e s o n a c q u i s i t i o n o f a u t o m a t e d d a t a p r o c e s s i n g e q u i p m e n t.
13. 4(p)	Ci rcul ar A-95	E v a l u a t i o n , r e v i e w , a n d c o o r d i n a t i o n o f F e d e r a l a n d f e d e r a l l y a s s i s t e d p r o g r a m s a n d

		proj ects.
13. 4(r)	Ci rcular A-63	Advi sory commi ttee management.
13. 5	Ci rcular A-112	Methods for estimating outlays.

Figure I -1  
Cross-reference of OMB Di rectives

### 3. RESTRICTIONS ON DISCLOSURE OF BUDGET INFORMATION. OMB Circular A-10,

Revised, "Responsibilities for Disclosure With Respect to the Budget," imposes upon Federal officials and employees certain responsibilities with respect to the executive budget. Attention is specifically directed to the provisions of this Circular which restrict budgetary disclosures, as set forth below:

"Requirements for confidentiality prior to official transmittal. The confidential nature of agency submissions, requests, recommendations, supporting materials, and similar communications should be maintained, since these documents are an integral part of the decision making process by which the President resolves budget issues and develops recommendations to the Congress. Presidential budget decisions are not final until the budget itself is transmitted to Congress. Amendments to the budget and supplemental appropriation requests may also follow the transmittal of the budget. Budgetary information should not be disclosed in any form prior to transmittal by the President of the material to which it pertains. The head of each agency is responsible for preventing premature disclosures of this budgetary information.

"Agency testimony before and communications with Congress on budgetary matters. In furnishing information on appropriations and budgetary matters, representatives of agencies should be aware of the limitations on such communications, including the limitation that:

"No estimate or request for an appropriation and no request for an increase in an item of any such estimate or request... shall be submitted to Congress or any committee thereof by any officer or employee of any department or establishment, unless at the request of either House of Congress." (31 U.S.C. 15)

"Furthermore, agency representatives should be aware of restrictions upon communications to influence legislation that are

not conducted through proper official channels (18 U.S.C. 1913).

"Clearance of changes in the President's budget. The prohibition against submissions by agencies to Congress of estimates or requests for appropriations without the approval of the President or request of either House of Congress applies to changes in appropriation language and to changes in the limitations recommended in the budget. When an agency desires to propose such changes, written requests will be presented to the Office of Management and Budget (in accordance with the provisions of OMB Circular No. A-11). All such requests must be transmitted through the Office of Budget and must include complete justification as to the need for the change."

4. **FREEDOM OF INFORMATION ACT (FOIA).** This Act requires that, with certain exceptions, identifiable records of the agency must be made available to the public. Nevertheless, OMB Circular A-10, revised, states that an agency should not release budgetary documents subject to the FOIA before the end of the fiscal year to which those records pertain. Specifically, it reads as follows: "Information available to the public. An agency may disclose budgetary records of that agency, if otherwise appropriate, upon a request for such records pursuant to the FOIA following the end of the fiscal year to which such information pertains. Although it is not possible to determine merely by the generic category of records whether an agency would be authorized to withhold records requested under the FOIA in every instance, most budgetary documents of an agency that are subject to the FOIA should be exempt from mandatory release pursuant to the provisions of 5 U.S.C. 552(b)(5), and an agency should not release such records prior to the expiration of the fiscal year to which such records pertain. Depending upon the nature of the records requested, other exemptions to the FOIA may apply or the release of records within 5 U.S.C. 552(b)(5) may be inappropriate even after the end of the fiscal year to which the records pertain. Agency heads will be held responsible for determining the propriety of releases of records under the FOIA pertaining to budgetary matters."
5. **PUBLIC REQUESTS FOR BUDGETARY INFORMATION.** Information from the Department's field budget requests, the Internal Review Budget (IRB) request, or the OMB request may not be released to the public. Information from these documents falls within the purview of OMB Circular A-10. Citizen inquiries may be referred to the Budget Formulation Branch (MA-301.3).

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## CHAPTER II

### OFFICE OF MANAGEMENT AND BUDGET SUBMISSION - PHASE I

#### 1. OMB SUBMISSION.

- a. Overview. The DOE budget is transmitted to OMB in several distinct phases. The initial submission due 9-15, includes the justifications, legislative proposals, and projected program supplementals as well as certain analytical crosscuts annually specified by OMB Circular A-11, section 15.1. Also included as part of the "initial submission" but usually due several days later is the "computer materials" submission. This is also referred to by OMB as "fall overview" and includes current services estimates, multi-year projections, receipts estimates, loan and credit program data and supplementary source documents. The second phase is the "print material" submission which is due to OMB upon receipt of the initial OMB allowance (OMB Circular A-11, section 15.3). The print material submission encompasses the items that are included in the Appendix to the President's Budget. In addition, after receipt of the initial OMB allowance the "computer materials" must be updated to reflect the allowance. Pay cost supplemental requests are generally on a separate track with due dates specified by OMB during the review process.
- b. Initial Submission. The OMB submission is divided into four categories, the regular budget request, legislative proposals, program supplementals, and certain crosscut materials required by OMB Circular A-11. Each of these four categories require separate OMB schedules.
  - (1) The regular request consists of items for which funds are requested and which typically have existing substantive legislation authorizing the program. This represents the majority of the funds requested.
  - (2) The legislative program represents a notification to Congress



that a request for funds will be submitted upon enactment of substantive legislation. These items are typically included in a separate section of the President's budget.

- (3) Program supplementals include amounts needed for the current year due to unanticipated increases in resource requirements. (See page III-19, paragraph 6, for detailed guidance.)
- (4) OMB Circular A-11, "Crosscut Materials," includes specific analytical exhibits in specific subject areas. Detailed guidance for preparation of these materials is contained in OMB Circular A-11 and on page II-51, paragraph 2, of this directive.

c. Justification - General Guidance.

- (1) Overview of Budget Justification Material (OMB Circular A-11, Section 24.1). The Department's budget justifications will be prepared on the basis of discrete programs or organizational entities known as decision units. For each decision unit, programs will identify and discuss the implications of several funding levels. The format is similar to that used in the IRB Process. In addition, all decision unit funding levels must be ranked in priority order. Organizations, including those budgeted in the Departmental administration appropriation, are required to justify their staffing requests in their budget submissions to OMB. Manpower justifications are to be expressed in terms of full-time equivalents (FTE) (full-time permanent (FTP) and total).
- (2) Funding Levels (OMB Circular A-11, Section 24.1(a)). For each decision unit, the implications of the following will be identified and discussed:
  - (a) Departmental Request will reflect the Department's preferred funding level, which is generally above the anticipated revised OMB target. All budget justifications are to be written to this level.
  - (b) Revised OMB Target will reflect the amounts contained in the mid-session review as modified by OMB. These amounts are generally issued by OMB in mid-July. They may only be modified to reflect subsequent congressional action or approved Presidential initiatives.

- (c) Decrement Level is a level that typically falls below both the Departmental request and the revised OMB target. It will describe what activities will not be performed as a result of a 10 percent decrement below the revised OMB target. A decremental level is not required for each decision unit. However, organizations must have a sufficient number of reduced level packages to equal an overall 10 percent reduction from the revised OMB target level for their respective organizations. Further, they may not be used to reopen major issue items already the subject of Secretarial decisions.

(3) Ranking (OMB Circular A-11, Section 24.1(b)3.).

- (a) To facilitate the Departmentwide ranking, organizational elements should also include a single comprehensive list, which ranks the various funding levels of all decision units in decreasing order of priority. A format for the ranking is illustrated by Figure II-1. For any decision unit, the decrement level must be ranked before the revised OMB target or Departmental request levels of the same decision unit. However, a Departmental request level for one decision unit may be ranked ahead of the decremental level of another decision unit. The ranking format should include:

- 1 A clear indication of the priority assigned to the funding level.
- 2 Identification of the decision unit and of each funding level.
- 3 Budget authority, budget outlays, and total full-time equivalent associated with each of the funding levels.
- 4 Cumulative budget authority, budget outlays, and FTE amounts.
- 5 A concise description of the decision unit at each funding level.

- (b) Program offices must submit a statement containing the rationale for their ranking. It should focus on how the request furthers the overall DOE goals and objectives. This rationale will be used in the Department-wide

ranking. Therefore, the priority strategy employed and the potential impact of the rankings should be carefully considered.

- (4) **Staffing Control Levels.** Budget Year staffing controls reflect the budget levels to be requested. The basic justification will be written for the Departmental request level. Control tables reflecting the decisions on staffing will be included in the Secretary's allowance letter. Control levels for manpower, expressed in terms of FTP and total full-time equivalents given in the Secretary's allowance letter will be computerized for all organizations. These computerized tables will be provided to OMB as the official record of the Departmental staffing requested by appropriation, decision unit, and organization. The staffing levels shown in these tables will be those from which OMB will develop its manpower allowance mark for each decision unit, organization, and for the Department in total. Questions regarding these controls should be addressed to the Manpower Control Branch (MA-211.2). Changes in mix or deviation from the control levels cannot be made without prior approval of the Manpower Resource Management Division (MA-211). Changes will be considered only if the request is specific and justified.

Department of Energy FY 19BY OMB BUDGET RANKING SHEET Organization (in thousands of dollars)							
Rank	Decision Unit	Cost This Activity			Cumulative		
		BA	BO	FTE	BA	BO	FTE
1.	Mul ti -Program Faci l i t i e s (decrement)	35, 500	40, 000	---	35, 500	40, 000	---
2.	Bas i c Energy Sci ences (decrement)	228, 500	231, 700	7	264, 000	271, 700	7
3.	Hi gh Energy Physi cs (decrement)	356, 600	360, 000	9	620, 600	631, 700	16
4.	Bas i c Energy Sci ences (revi sed OMB target)	31, 000	31, 000	3	651, 600	662, 600	19
21.	Mul ti -Program Faci l i t i e s	15, 000	5, 000	---	1, 701, 500	1, 689, 000	327

(Departmental request)	
-----	
Narrative explanation of	
<div> Outlays associated with decrement packages often higher than BA because decremental level includes all outlays resulting from prior year appropriations. </div>	
Description	
Rank Decision Unit	-----
1. Multi-Program Facilities (decrement)	Provides \$25 million for continued funding of 19PY construction starts, \$7 million to begin construction of ESRL at ORNL, \$2.5 million for new starts in 19BY Reduced program level.
2. Basic Energy Sciences (decrement)	Defer Social and Economic Sciences and High Temperature Materials Lab. Decreases of research of 8% from 19PY level. Several facilities shutdown or severely limited in operation.
3. High Energy Physics (decrement)	Facility utilization 20-30%. Isabelle and Tevatron 1 pace slowed, Energy Saver Operation deferred until late 19PY+1, Tevatron II deferred, and 20% loss of scientific manpower.
4. Basic Energy Sciences (revised OMB target)	Defer Social and Economic Sciences and High Temperature Materials Lab. Decrease of research of 3% from 19PY level. Reduced utilization of existing facilities and less planned use of new facilities.
21. Multi-Program Facilities (Departmental request)	Provides for a more economic funding pattern for 19PY projects and permits about \$43 Million for new starts in 19BY comprised of 18 project at several different labs. Enables progress on backlog.
<div> Cannot be longer than 4 lines, 50 characters per line for each funding level. </div>	

Figure II-1

d. Justification - Detailed Guidance.

- (1) Lead Table. Justifications prepared for each Assistant Secretary by appropriation at the decision unit level of detail will include a lead table in the format of Figure II-2. The table should include a breakout of each lower level of detail addressed in the narrative. Funding data included in the table must be consistent with control tables and the narrative justifications. The table will include five columns, as follows:
  - (a) Prior Year (PY) Appropriation. Reflects amounts appropriated to date including enacted supplementals made comparable to the Fiscal Year 19 Budget Year (FY 19BY) structure. Comparability transfers should be footnoted.
  - (b) Calendar Year (CY) Estimate. Should reflect the amounts contained in the President's budget, as amended, made comparable to the budget year. However, if there is an enacted appropriation or a conference report, funding provided in the appropriate congressional reports would be reflected. Comparability transfers should be footnoted.
  - (c) Budget Year (BY) Estimates:
    - 1 Decrement level;
    - 2 Revised OMB target; and
    - 3 Departmental request.
- (2) Summary of Changes.
  - (a) A summary of changes, Figure II-3, will follow each lead table in the justification material and be consistent. This table is an itemized list of the dollar changes which occur among the FY 19CY budget level, the decremental, OMB target, and program planning FY 19BY levels. The table is not intended to be a justification, but rather an identification of proposed changes. The relationship between the lead table and the summary of changes table is analogous to the same tables used in the congressional justification.

- (b) The summary of change will be prepared for each decision unit and must agree with the preceding lead table. Increases will be identified for each subactivity level shown in the lead table and discussed in the narrative justification. The stub should be constructed in such a way that in one or two lines the increases can be explained.

DEPARTMENT OF ENERGY FY 19BY OMB BUDGET LEAD TABLE NUCLEAR ----- Energy Supply Research and Development - Operating Expenses Energy Supply Research and Development - Plant and Capital Equipment (Tabular dollars in thousands. Narrative material in whole dollars.)					
	FY 19BY Revised				
	FY 19PY	FY 19CY			Depart-
	Appropriation	Request	Decrement	OMB Target	mental
					Request
Conventional Reactor Systems (NE)					
Light Water Reactor Systems					
Operating Expenses	\$23,900	\$49,500	\$51,200	\$56,900	\$62,600
Capital Equipment	0	500	600	600	600
Subtotal	23,900	50,000	51,800	57,500	63,200
Three Mile Island (TMI)					
Examination Activities					
Operating Expenses	0	0	9,000	10,000	10,000
Capital Equipment	0	0	0	0	0
Subtotal	0	0	9,000	10,000	10,000
Advanced Reactor Systems					
Operating Expenses	4,000	4,700	5,400	5,400	5,400
Capital Equipment	100	300	300	300	300
Subtotal	4,100	5,000	5,700	5,700	5,700
Program Direction					
Operating Expenses	941	1,298	1,500	1,500	1,600
Subtotal	941	1,298	1,500	1,500	1,600
Total					
Operating Expenses	68,341	55,498	67,100	73,800	79,600
Capital Equipment	2,600	800	900	800	900

Conventional Reaction Systems	\$ 70,941	\$56,298	\$ 68,000	\$ 74,600	\$ 80,500
Staffing Total FTE's	65/67	63/65	62/63	63/65	63/65
Authorization: Section 31, P. L. 83-703					

Figure II-2  
Lead Table

DEPARTMENT OF ENERGY FY 19BY OMB BUDGET	
SUMMARY OF CHANGES	
Decision Unit Title (dollars in thousands)	
FY 19CY Budget request	\$ 68,700
High temperature reactor technology	
- reduce scope of experiment by eliminating one test	-1,200
TMI	
- Increase number of inspections	+500
Decremental Level	\$ 68,000
High Temperature reactor technology	
- Expand number of experiments	+5,700
TMI	
- Expand program to include core removal	+1,000
OMB Target Level	\$ 74,700
High temperature reactor technology	
- Conduct temperature test	+5,700
Program direction	
- Increase FTE by 3 positions in quality control monitoring	+100
Departmental request level	\$ 80,500

Figure II-3  
Summary of Changes

(3) Narrative (OMB Circular A-11, Section 24.1(b)1).

- (a) The narrative justification provides a detailed, logical explanation of program goals and objectives, the best means for attaining them, the rationale for a Federal role, and the estimated resources required to do so. The justification documents for each Assistant Secretary are to be organized by appropriation accounts and detailed at the specific decision unit level of detail. The justification must explain and justify the FY 19BY amounts in the lead table in a consistent and organized manner. It should focus on the Departmental request level. Further, OMB Circular A-11 provides specific minimum requirements for the narrative portion of the justification. This includes the nature of the problem being addressed, the rationale for a Federal role, objectives and accomplishments, as well as the relationship to other programs and constraints.
  - (b) The narrative should utilize the financial and workload data which will enhance the understanding of the characteristics of the organization or appropriation. Lower level breakdown strengthens the justification, and its use is encouraged. In a separate section, the narrative should describe the activities that would be eliminated and the impact if the decision unit were funded at the OMB target level. In another separate, but similar, section the narrative should describe the additional activities that would be eliminated and the impact if the decision unit were funded at the decrement level.
- (4) Construction Project Data Sheets.
- (a) Key Concepts, Budgeting for Plant Acquisition and Construction, and Capital Equipment Not Related to Construction versus Operating Expenses. The budgets for operating expenses (OE), plant acquisition and construction (PL), and capital equipment not related to construction (CE) should be prepared so as to be consistent with the accounting treatment as prescribed in DOE 2200.1, ACCOUNTING POLICY AND PRACTICES, paragraph 4b, chapters II and VI. Below are guidelines to be used in simplifying the determination as to where the acquisition of land, facilities, or equipment should be budgeted:
    - 1 Items of capital equipment for which the Department



will retain title, cost in excess of \$3,000, have an expected service life of more than 1 year, and not required to complete a construction project, shall be budgeted for as capital equipment not related to construction. Low value capital equipment, \$3,000 or less, may be budgeted from plant and capital equipment (P&CE) or operating expenses in accordance with the policy stated in DOE 5100.1. PROGRAMMING, BUDGETING, AND ACCOUNTING FOR THE ACQUISITION OF LOW VALUE CAPITAL EQUIPMENT.

- 2 Items of capital equipment not related to construction required for experimental projects shall be budgeted from operating expenses if the equipment will be destroyed during the experiment or will have no further value other than scrap upon completion of the experiment.
- 3 Budget plant and capital equipment funds for the following:
  - a All land acquisition (fee or easement).
  - b All constructed facilities and capital equipment necessary to provide a complete and operable facility.
  - c Exception, facilities, or equipment which meet the definition of research and development, and which normally have an estimated life of less than 3 years may be budgeted for as operating expenses.
- 4 The leasing of facilities and equipment is permissible when it is in the best interest of the Government to do so. Lease payments are budgeted for as operating expenses:
  - a Lease With Option to Purchase. When a lease contains an option to purchase, the lease payments are budgeted as operating expenses. However, if the option is exercised by the Government, the purchase price under the option will be budgeted for as plant and capital equipment not related to construction.
  - b Lease Purchase Agreements. Agreements which provide

for transfer of title at the end of the lease term or for the transfer of title by exercise of an option at a nominal sum unrelated to the value of the property at the time the option is exercised, are considered installment purchases. Funds for the annual payments shall be budgeted under operating expenses. However, because the Department assumes all risks of ownership, the total amount of the annual payments shall be recorded as an item of DOE-owned property and capitalized. In the event the purchase is accelerated prior to the last year of the lease-to-ownership arrangement whereby the full amount of the remaining installments are paid at one time, then funds required to complete the purchase shall be budgeted for as plant and capital equipment not related to construction. Note that real property may not be acquired in this manner as the Department has no lease-purchase authority for real estate.

- c ADP Planning Documents. When ADP equipment is going into a rehabilitated location it should be capital equipment; in a new location it should be plant.

(b) General.

- 1 Construction project data sheets are used to explain and justify the need for construction projects. These documents are to be updated and submitted annually as part of the field budget submissions for all projects requesting DOE funding in FY 19BY. The data sheets shall be prepared as illustrated in Figure II-6, "Plant and Capital Equipment," and Figure II-7, "Operating Expenses Funded," using the amount of space required for the presentation under each section. Continuation pages shall be used as necessary. The data sheets examples may not contain all of the elements described in the instructions.
- 2 Construction projects and operating expenses funded projected over \$25 million total estimated cost (TEC) should be validated by the Office of Project and Facilities Management (MA-22) prior to submission of the IRB.

- 3 Construction project data sheets present the description, justification, and cost data for all construction projects budgeted and accounted for under plant and capital equipment and operating expenses appropriations. Include in the cost of a construction project, all costs in connection with the addition and or retirement of plant and equipment (including transferred equipment and materials), land, improvements to land, buildings (including permanently attached equipment), utilities, and initial movable equipment such as machine tools, laboratory and office furniture, and equipment necessary to outfit a building or group of buildings for operation. Exclude initial stocks of spare parts or other materials and supplies which are initially chargeable to inventories. Estimates for general plants projects (GPP) shall provide only for work to be authorized during the fiscal year, since funds for this purpose are both authorized and appropriated annually.
- 4 General plant projects shall be assigned to outlay programs. The predominant program at any given site normally assumes budget responsibility for those GPP's which provide basic support for all functions at the site. GPP support for program-specific work at the weapons activities multiprogram laboratory will be funded by the program originating the request.

(c) Preparation of Construction Project Data Sheets.

- 1 DOE is required by law to obtain congressional authorization for the appropriation of funds. Insofar as practical, the development and review of the program to be submitted to the Congress for authorization will be undertaken as an integral part of the regular budget process, both internally and through OMB. Construction project data sheets shall be prepared and submitted for all projects requiring authorization or appropriation in the budget year.
- 2 Construction project data sheets shall be prepared as follows:
  - a A separate data sheet shall be submitted for each new plant or facility and for each alteration or

addition involving the construction, modification, alteration, or improvement of a building which is estimated to cost more than \$1 million. The construction of a number of similar or related units, under a specific program, may be submitted as a single project, i.e., the construction of a group of facilities for a specific reactor.

- b A single data sheet shall be submitted to include other projects on a consolidated basis, covering alterations, improvements, additional, or new construction as well as provision, where necessary, for construction items of an unpredictable or unforeseeable nature which is estimated to cost less than \$1 million. These projects shall be titled "General Plant Projects." The data sheet shall be prepared to indicate the funds requested in the program planning estimate, and include a note to indicate which projects would be deleted to attain the target estimate and the decremental estimate as indicated in Figure III-15.
- c Data sheets for the multi-program general purpose facilities program will be submitted for those projects selected by the multi-program general purpose facilities review committee.
- d A data sheet should be an objective document written from the standpoint of the Department as a whole rather than as one segment of the Department. Personal pronouns, building and area numbers, identification of staff personnel, and unsubstantiated value judgements should not be used. A data sheet should be self-sufficient. The use of technical terms that have a special connotation in industry or science should be avoided and should not depend on the reader having access to other documents.
- e The scope of the project shall be set forth in the data sheets in detail sufficient to permit a careful review and evaluation of the project. The data sheet items should not, however, be stated so precisely as to preclude the exercise of appropriate latitude by the manager in the actual design and

construction of the project, as described in the data sheet, after authorization and appropriation of the funds.

- f Information required on page II-25, subparagraphs n through r for Figure II-6 and page II-30, subparagraphs o through s for Figure II-7 should be presented on separate sheets as these data are removed from the figures for the submission to Congress.
- 3 The following detailed instructions govern the preparation of construction project data sheets, Figure II-6.
- a Item 1, Title and Location of Project.
    - i Each project title must be unclassified.
    - ii Project titles shall be sufficiently short and descriptive to permit ready reference.
    - iii Project title should not include specific building or area numbers.
    - iv In typing project titles, an initial capital shall be used for the first word in the project title and for proper names.
    - v The location of the project shall be given.
  - b Item 2, Project Number. New project numbers shall be issued by the Budget Formulation Branch within each budget year, showing the year, the organizational code, the appropriation, and the sequential number of the project.
  - c Items 3 and 3a, Date A-E Work Initiated and Date Physical Construction Starts. Insert the quarter and year in which A-E work began or is to be initiated and physical construction started or is to be started, respectively. Do not assume "start" of a budget year project prior to the start of FY 19BY. The most realistic dates possible should be shown based on the status of conceptual work, assuming

availability funds at the beginning of the budget year.

- d Item 4, Date Construction Ends. Insert the quarter and year in which construction is expected to be completed.
- e Item 5, Previous Cost Estimate.
  - i Insert the last total estimated cost of project which has previously been submitted to the Congress. The date on which that estimate was determined shall also be shown.
  - ii If the project has not previously been submitted to Congress then the word "none" should be shown.
- f Item 6, Current Cost Estimate. Insert the current total estimated cost of the project and the date on which the estimate was prepared or reviewed and confirmed. If plant engineering and design (PE&C) funds are included in the current cost estimate, indicate as follows:

Current Cost Estimate	\$27,350
Less amount for PE&D	350
Net Cost Estimate	\$27,000

- g Item 7, Financial Schedules. For all construction projects, indicate by fiscal year, the amounts required for authorization, appropriation, obligations, and costs. The total of these columns shall agree with item 6, "Current Cost Estimate" or "Net Cost Estimate," if PE&D is included. The tabulation should be consistent with the project schedule dates as shown in items 3, 3a, and 4. Where the totals of these columns are at variance with item 6, an explanation footnote should be provided. Financial schedules should reflect all funding for the project from its beginning. Where an authorization bill was not enacted, authorization data should reflect the amounts appropriated to the extent necessary to bring authorizations to date in

line with appropriations to date. Programs should seek sufficient authorization to cover budget year appropriations only. The Department will no longer request authorization of the total estimated project cost in advance of the appropriation requirements.

- i Figure II-4 is a financial schedule required for all construction projects:

Fiscal Year	Authorizations	Appropriations	Obligations	Costs
Prior Years	\$50,000	\$30,000	\$30,000	\$ 5,000
19CY	---	\$20,000	\$20,000	\$ 7,000
19BY	\$15,000	\$15,000	\$15,000	\$13,000
19BY+1	\$15,000	\$15,000	\$15,000	\$20,000
19BY+2			\$20,000	
after 19BY+3			\$14,400	

Figure II-4  
Financial Schedule - Construction Projects

- ii In addition, General Plant Projects shall show, for purposes of comparison, the obligations and costs incurred for similar work in the 2 preceding years. This data shall be reported as outlined in Figure II-5.

Fiscal Year	Obligations	Costs			
		FY 19PY	FY 19CY	FY 19BY	After
FY 19PY-1 Projects	\$ 0 1/	\$1,000	\$ 500	\$ 0	\$ 0
FY 19PY Projects	5,000	3,000	1,000	1,000	0
FY 19CY Projects	6,000	0	4,000	1,000	1,000
FY 19BY Projects	7,000	0	0	4,000	3,000
		\$4,000	\$5,500	\$6,000	\$4,000

1/ FY 19PY-1 or prior projects shall be shown only if costs are incurred in FY 19PY, 19CY, or 19BY. Costs prior to FY 19PY shall not be shown for such projects.

Figure II-5  
Financial Schedule - General Plant Projects

- h Item 8, Brief Physical Description of Project. This item should state clearly, but concisely, the essential features of the project, indicating whether it is a new facility, alteration of existing facilities, or addition to existing facility. In describing facilities, code words, if used, should be identified as such. Any unusual technical terms should be explained when used in project descriptions. Describe the following physical aspects as applicable. The description should read such that easy correlation can be made with the cost estimate given in item 10.
- i Describe improvements to land and, where this item constitutes a major portion of the project, include information such as the approximate length, width, and type of roadways, approximate capacities of parking areas, and any proposed drainage structures and fencing.
  - ii Describe each building or building addition, including approximate floor plan dimensions, gross area, number of stories, story heights, basement, if provided; types of construction and reason for using such if not obvious; types of heating and air-conditioning; capacities of cranes and any design, fabrication, or construction features which are unusual or specialized and have a significant impact on the cost estimate, such as shielding, protective construction, hot cells, or special ventilation systems, environmental protection systems, and fire protection systems.
  - iii Describe other structures, such as pits, tunnels, towers, bunkers, stacks, and other enclosures not included in subparagraph ii, above.
  - iv Describe any special facilities, such as accelerator components, movable shielding, vacuum systems, processing piping, power or controls, reactor vessels, inert gas, hydrogen or purging systems, or cryogenic systems.
  - v Describe types of utilities to be provided, such



as water, sewer, and power, and where this item constitutes a major portion of the project, include information such as the length and size of the utility lines.

- vi Describe any standard equipment included in this project such as office and laboratory furniture and equipment, hoists, and machine tools.
- vii Describe any computer system or component of a computer system having a total estimated purchase cost of \$400,000 or more including related capitalizable costs. The types of related capitalizable costs and an estimate of each cost shall be provided. A brief justification and explanation of the rationale for utilizing construction funds shall be provided.
- viii For those projects not receiving full appropriation in this year's budget, provide a brief description of that portion of the scope to be accomplished with this year's appropriation.
- ix For those facilities where nuclear contamination will occur, identify the tentative method of decommissioning the facility at the end of its useful life, indicate the expected useful life of the facility, and include a cost estimate for decommissioning. The cost estimate should be developed using constant year dollars. (See page II-22, subparagraph m). Indicate that the estimate is in constant year dollars and the reference year. Identify the approximate year when the final decommissioning method will be selected and the final cost estimate for decommissioning will be developed. This information will be used as a baseline for an authorization request for a construction project where the decommissioning will be a significant project.
- x Projects for GPP may be described in more general terms by identifying the contractor and other installations covered by the project and stating the nature of the various types of alterations,

modifications, improvements, or new construction to be undertaken.

i Item 9, Purpose, Justification of Need, and Scope of Project. This item should lead off with a sentence stating clearly and concisely the primary reason for proposing the project. The narrative justification shall also include the following elements as applicable:

i Describe the research, development, or production program which is underway or planned, including the relationship of the proposed facility (both as to need and timing) to the program objectives and schedules.

ii State the criteria which determined the size or scope of the project, such as volume of production, storage capacity, number of persons to be housed, and/or space requirements for research.

iii To the maximum extent feasible within security limitations, data sheets for projects involving production increases should indicate the present production rate or capacity and the change proposed. If the project is deemed to be an intermediate phase of a long-range program, indicate its relationship to the foreseeable planned capacity. If a production facility, state annual capacity and basis therefore, i.e., 1-shift, 2-shift operation, 5-day week, 6-day week. When inclusion of capacity involves "Top Secret" data, indices shall be used therefore to the maximum extent practicable, or, if not practicable, the information shall be submitted separately to the program organization concerned.

iv If the purpose of the project is for replacement of existing facilities, explain fully the circumstances which make replacement necessary and the disposition to be made of the replaced facilities.

v Indicate that existing facilities have been

reviewed to determine that the need cannot be met by modification of existing facilities. This is of particular importance in the case of radioactively contaminated facilities where decontamination and decommissioning costs are factors.

- vi State the reasons for the proposed timing of the completion of the project and the effect on the program if the project is deferred or not authorized.
- vii To the maximum extent practicable, justifications should contain data on the economics of the project including the basis for calculating savings and payout. In computing savings, comparative cost estimates shall include the cost of depreciation of the facility. Justifications can often be strengthened by reference to alternatives and to the consequences of disapproval.
- viii If the data sheet shows both a previous cost estimate and a current cost estimate on line 5 and 6 of Figure II-6, explain the factors involved in determining the revised estimate.
- ix If construction costs include overhead of an offsite contract laboratory operated by a university or other institution, the reasons for including such overhead and the method by which the amount of such overhead was determined shall be stated.
- x The construction project data sheet shall state the estimated gross annual cost (excluding depreciation) for operating the facilities upon completion, less any offsetting reductions which are applicable. In case of replacement facilities, include comparative data for the facilities being replaced.
  - aa For production type facilities or power producing facilities both the first full-year's operating costs, maintenance

costs, and the annual costs at equilibrium should be set forth. Gross annual costs, revenues, or other offsetting reductions, and new annual costs should be shown.

bb For research or development facilities, including new research machines, show separately the operating costs, maintenance costs, the total cost of the the research or development program to be carried out, and the incremental program cost related to occupation of the new building.

cc In all cases, the basis for these estimates of annual cost for operations and maintenance should be included.

xi For any construction project which requires the conduct of a research and development (R&D) program directly pre-requisite to its specific design and construction features and for which R&D funds are included in the operating expenses appropriation request, the total estimated costs for the budget year and for each future year of such R&D will be included for such project. (See page II-23, subparagraph bb).

xii The justification for GPP shall set forth major known subprojects and examples of cost, a brief physical description, and a concise narrative justification. Include only those classifications that are applicable to the project. All costs should be presented in current year dollars.

j Item 10, Detail of Cost Estimate.

i This section of the data sheet consists of an estimate for each of the account classifications listed in subparagraph iii, below. Under each of the classifications give a breakdown of the costs, indicating significant units and costs wherever possible.

ii General administrative and other indirect costs,

properly charged to the project, shall not be shown as a line item but shall be prorated among the various elements of construction costs. Also the estimated costs of construction management services by private firms shall be similarly prorated among the various elements of construction costs. Only the account classifications applicable to the project need be listed. However, if it has been determined that the project will be administered under an "offsite" contract with a university or other institution, and that the institution will be reimbursed for overhead in connection with such administration, a memorandum entry shall be included indicating the estimated amount of such overhead. The costs for preparing system design descriptions or any comparable technical documentation are to be budgeted for and costed to the operating or plant and capital equipment appropriations consistent with the treatment of related expenditures, e.g., documents which are accomplished for conceptual design are charged to operating costs while those performed for Title I and II are charged to plant and capital equipment. The costs for preparing environmental documentation shall be budgeted for and costed to operating expenses.

- iii The account classifications to be used, together with explanatory notes, are provided below:
  - aa Engineering Design and Inspection Costs at the Approximate Percent of Construction Costs. Compute costs and indicate as approximate percentage of total construction costs rounding off to the nearest percent. Include costs for safety analysis reviews made after selection of the site.
  - bb Land and Land Rights. Provide a breakdown identifying each site to be acquired, the acreage or square miles involved, unit cost, and total cost or the cost of each land right acquired. See DOE 4300.1, REAL ESTATE MANAGEMENT, for regulations concerning the

acquisition of real property.

cc Construction Costs.

- (i) Improvements to Land. Indicate the types of improvements to be made and total cost. Where this subitem constitutes a major portion of the project, it should be expressed in terms of units, unit costs, and total cost, such as \_\_\_\_ miles of road at \$\_\_\_\_ per mile.
- (ii) Buildings. List and identify each Building or building addition to be constructed or existing building to be modified, showing gross square feet, unit cost, and total cost. If the unit cost is unusually high, provide a footnote explanation.
- (iii) Other Structures. List and provide costs for each major other structure described on page II-14, subparagraph h.
- (iv) Special Facilities. Identify major engineered equipment, and special systems, as described on page II-14 subparagraph h. Where major equipment components identified under "Special Facilities" appear to be standard in nature but are listed as special because, for example, they actually require special engineering and/or fabrication to meet requirements, an explanation of the special nature of the equipment should be included.
- (v) Utilities. List the types of utilities described on page II-14, subparagraph h and the total cost. Where this subitem constitutes a major portion of the project, units, unit costs, and total costs should be shown.

- dd Standard Equipment. List and provide costs for the major items of "off-the-shelf" equipment and furnishings, requiring a nominal engineering effort, as described in item 8. Costs shall include any engineering effort required.
- ee Major Computer Items. List and provide costs for each major computer item as described in item 8.
- ff Removal Cost Less Salvage. Include removal costs less salvage incident to the replacement of plant and equipment applicable to the project. Separate projects shall be established to budget and account for removal costs and salvage incident to the retirement of plant and equipment which is not to be replaced.
- gg Contingency at Approximate Percentage of Above Costs. Compute and indicate a contingency amount as a percentage of all above costs, rounding to the nearest percent. This contingency is provided to cover unforeseen and unpredictable situations and shall not provide for increasing the scope of the project. The amount of contingency will depend on the status of design and complexity of the project.
- hh Unit cost per square foot or cubic foot for buildings or other construction shall be computed on the basis of gross areas and shall exclude the amount included in the estimate for contingencies. Unit costs should not be more precise than warranted by the status of design.
- ii The items to be shown in this section of the data sheet should include all pertinent data on quantities and unit costs, even if this repeats some data reported in item 8 or 9. Unusual unit cost, engineering design, and inspection or contingency rates should be

explained in footnotes. The total estimated cost shall agree with item 6.

jj A statement should be included as a footnote at the end of the estimate to show the basis for the estimate, e.g., "conceptual design is complete, and Title 1 design is 25 percent complete."

kk The items to be shown in this section of the data sheet shall be listed in tabular form, wherever practicable; so that the cost data may stand out in the presentation. If explanatory notes for any of the items listed are necessary, they will be provided as a footnote to the section. Explanatory notes shall be provided to indicate reasons why certain unit costs may be out of the normal range; cost allowances made for isolation; costs related to speedup of construction showing hours per week which estimate is based; and factors affecting the contingent amount. The method to be used in showing these footnotes is noted in Figure II-6.

ll Normally, costs should be rounded off to the nearest \$10,000 for item costs and to the nearest \$100,000 for total costs.

mm Escalation rates should be explicitly stated and when the rates are significantly different that the guidance provided in the budget call, a thorough explanation should be provided.

k Item 11, Method of Performance. Indicate the type of contracting arrangements contemplated, using the following paragraphs or combinations of parts of these paragraphs as a guide:

i Design and inspection will be performed under a negotiated architect or engineer contract. Construction and procurement will be accomplished by fixed price contracts awarded on the basis of competitive bidding.



- ii Design and inspection will be performed by the operating contractor. To the extent feasible, construction and procurement will be accomplished by fixed price contracts and subcontracts awarded on the basis of competitive bidding.

l Items 12 and 13. All projects which have a total estimated cost (TEC) of \$5 million or more, and for projects with a TEC of less than \$5 million where there are significant "other direct project costs" or when there are exceptionally large "other related costs," will have an item 12 and an item 13. Item 12 will contain the financial schedule and item 13 will contain the narrative material associated with the financial schedule. These items are used to explain and justify construction projects on a total cost basis. Items 12 and 13 shall be prepared as illustrated in Figure II-6, using the amount of space as required for presentation under each section. If items 12 and 13 are not required, indicate on the data sheet "items 12 and 13 are not required."

m The following are more detailed instructions to use in completing items 12 and 13. The cost estimates in items 12 are to be developed using the general guidance provided below. Item 13 will parallel the costs detailed in item 12 with a narrative justification and explanation. The narrative shall include a brief description of each item in 12, its cost, the basis for operating expense funding and a schedule for accomplishment of the item. It should include the estimated start and completion dates and relevant project interface dates.

i Total Project Cost.

aa Total Facility Cost. This section shall contain all those costs which are directly related to construction of the facility.

- (i) The construction line item costs must agree with those costs contained in prior sections of the data sheet.

- (ii) Plant Engineering and Design (PE&D) costs shall be shown in the proper year to agree with data sheet.
- (iii) Operating Expense Funded Equipment. Any equipment, system, component, or other item which is funded from the operating expenses appropriation for the direct use of the construction project or is required to make the facility or experiment complete and operable should be included. A narrative justification should be included to explain the reasons for expenses funded items and examples of items to be funded in this manner.
- (iv) Inventories. Any inventories which are necessary to put the facility into use should be included.

bb Other Project Costs.

- (i) R&D Necessary to Complete Construction. Any construction project which requires the conduct of a research and development program directly prerequisite to its specific design and construction features and for which R&D funds are included in the operating expenses appropriation request, the total estimated cost by fiscal year for such R&D will be included. Funds used for conceptual design should be included.
- (ii) Conceptual Design. Indicate the cost of conceptual design and should be escalated to the year of expenditure.
- (iii) Other Project Related Costs. Any other costs directly related to the project that occur on a one time basis, such as startup costs, training, and decommissioning cost, should be listed and provide a narrative explaining and

justifying each cost.

- (iv) All costs under (i) and (iii) shall be escalated to the year of expenditure.

ii Other Related Funding Requirements. This section should include the ongoing costs directly associated with the operation of the facility and the programmatic effort to be conducted using the facility which is not appropriate for inclusion in total project cost. An estimate of the annual costs and a narrative explanation should be included. In this portion of the data sheet, the narrative explanation will take precedence over the cost estimates. Any significant variances in the annual cost estimates should be explained in the narrative. For example, there may be the planned purchases of a major item of equipment which will substantially change the annual costing rate or make a significant change in the mode of operation. Indicate the estimated useful life of the project (years).

- aa A facility operating cost estimate should include the annual costs to operate and maintain the facility including cost of utilities, labor, and materials. Indicate the man-years of efforts required to operate facility.
- bb Include programmatic effort which relies upon the direct and primary use of the facility. Provide a yearly estimate and narrative justification.
- cc An estimate of annual capital equipment needs not related to construction but related to the programmatic effort included in subparagraph ii, above, should be included. The accompanying narrative should explain any expected installations of new programmatic related capital equipment.
- dd Include a yearly cost estimate and narrative justification of GPP or other expected

construction related to programmatic effort included in subparagraph ii, above. Include the man-years of effort required to maintain and repair the facility.

ee Any other expected annual costs should be listed with an accompanying narrative.

iii Significant Cost Variations. In addition, any significant variations in the annual costing rates for the preceding items should be footnoted. For example, the procurement of a new nuclear reactor core on a very infrequent basis would greatly increase the annual capital equipment cost rate for a facility. These deviations in costs should be segregated from the annual cost rates.

n Item 14, Incorporation of Fallout Shelters in Future Federal Buildings. For all suitable buildings the total estimated costs shall include fallout shelter space conforming to the design requirements. The existence of adequate fallout shelter space in the vicinity or the location of this facility in a security area should not necessarily prevent the consideration of providing shelter space in new facilities. For purposes of this item, one of the following statements should normally be used:

i Efforts will be made through the use of slanting techniques in design of this building to provide additional shelter space at little or no additional costs.

ii If fallout shelters are not provided, indicate the reason, i.e., sufficient space available, and deficiency programmed in another project.

iii The building to be constructed as a part of this project is not suitable for use as a fallout shelter because ... (the reason may be type of construction, such as prefabricated metal buildings, or type of work to be performed in the facility, such as the handling of explosives or radioactive material).

- iv This project does not include the construction of new buildings or building additions. Therefore, the provision for fallout shelters is not applicable.
- o Item 15, Federal Compliance with Pollution Control Standards. This section of the data sheet should contain a statement indicating that the total estimated cost of the project includes the cost of those measures which may be necessary to assure that the facility or building will meet the requirements of Executive Order 12088, "Federal Compliance with Pollution Control Standards". A brief statement of those controls provided which assure compliance with the foregoing should also be provided for each type of pollutant. This section should normally contain one of the following paragraphs:
  - i The total cost of this project includes the costs of those measures necessary to assure compliance with Executive Order 12088. Sanitary waste will be discharged into existing sewers connected to adequate sewage treatment facilities. Airborne contaminants will be collected and filtered before being released to the atmosphere. (This paragraph should be modified to reflect the type of pollutants produced by each particular project.)
  - ii The performance of this project will inherently assure compliance with the requirements of Executive Order 12088. (To be used for projects specifically for pollution control.)
  - iii As presently conceived, operation of this project will not generate any environmental pollutants; therefore, the requirements of Executive Order 12088 are not applicable.
- p Item 16, Evaluation of Flood Hazards. This section of the data sheet should contain a statement with regard to the evaluation and consideration of flood hazards in accordance with the requirements of Executive Order 11988, "Evaluation of Flood Hazard in Locating Federally Owned or Financed Buildings,

Roads, and Other Facilities, and in Disposing of Federal Lands and Properties." Section 4 of the Executive order requires that, "Any requests for appropriations for Federal construction of new buildings, structures, roads or other facilities... shall be accompanied by a statement by the head of the agency on the findings of his agency's evaluation and consideration of flood hazards in the development of such requests." Reference is made to the Flood Hazard Evaluation Guidelines for Federal Executive Agencies, published by the Water Resources Council, of 5-72. If it is determined that the project site is not subject to the defined hazards, it is recommended that the following statement be used:

"This project will be located in an area not subject to flooding determined in accordance with Executive Order 11988."

- q Item 17, Compliance with the National Environmental Policy Act, Floodplains/Wetlands Environmental Review Requirements, and Other Related Environmental Statutes. This section of the data sheet should present information on planning for compliance with the National Environmental Policy Act, DOE 5440.1B, IMPLEMENTATION OF THE NATIONAL ENVIRONMENTAL POLICY ACT, the Council on Environmental Quality Regulation (40 CFR 1500-1508), DOE's NEPA guidelines (45 FR 20694, as amended), DOE's regulation 10 CFR 1022, and other related statutes including but not limited to the Clean Air Act, the Clean Water Act, the National Historic Preservation Act, and the Endangered Species Act. Examples of such information include, if a NEPA document has been completed for the proposed project, reference to that document should be made; if a NEPA document is under preparation for a proposed project, reference should be made to that document, its status, and its schedule completion date; and, if a determination on the level of NEPA documentation has not been made for a proposed project, indicate when information will be provided for Headquarters use in determining the need for further documentation for those actions still requiring Headquarters determinations. In all

cases, state whether or not the proposed project is located in a floodplain/wetland.

r Item 18, Accessibility for the Handicapped. Provide a statement indicating that the project will be accessible to the handicapped in accordance with the Architectural Barriers Act, Public Law 90-480, and implementing instructions in the Federal Property Management Regulations (41 CFR 101-91.6). Section 501 of the Rehabilitation Act of 1973 (Public Law 93-112), as amended, requires the development of an affirmative action plan for employment of the handicapped by Federal agencies. Affirmative action plans are also required by 41 CFR 60-250, "Affirmative Action Obligations of Contractors and Subcontractors for Disabled Veterans and Veterans of the Vietnam Era," 41 CFR 60-741, "Affirmative Action Obligations of Contractors and Subcontractors for Handicapped Workers," and DOE 3220.2, EQUAL OPPORTUNITY IN OPERATING AND ONSITE SERVICE CONTRACTOR FACILITIES.

4 The following instructions govern the preparation of Operating Expenses Funded Project Data Sheets, Figure II-7. This document should be prepared only if the project is in procurement, fabrication, or construction phases in the FY 19BY and the total cost is estimated to be \$5 million or more. This includes projects to be jointly funded by the end of the FY 19BY. The schedule is not required if the project is still in the conceptual design stage in the FY 19BY. Figure II-7 contains the following information:

- a Project Title. The title should be short and descriptive.
- b Total Estimated Cost (TEC). The TEC should be only the total cost of construction as if the project were a line item construction project, i.e., the cost to build an operable facility or experiment.
- c Operating Expenses (OE). For the items listed below on page II-29, subparagraphs d through g, provide the cumulative obligations for prior (before FY 19PY) year, the B/A, Obligations and B/O for the FY

19PY, the B/A and B/O for the FY 19CY and FY 19BY, and an estimate of future year requirements (BA/BO) through completion of the project.

- i Design and Construction. This is the cost of constructing the facility. These costs should include engineering, design, inspection, physical construction costs, standard equipment, and contingency.
  - ii R&D Related to Construction. Includes conceptual design and any other R&D related to the construction of the facility.
  - iii Facility Operations. Includes all costs associated with the programmatic use and operation and maintenance of the facility and the number of years estimated for operation.
  - iv Direct Project Related Support Costs. Includes all other operating expense funds such as inventories, and training.
  - v Capital Equipment. Includes equipment to be used in the construction of the facility or for facility operations.
  - vi Total Operating Expenses. Summation of subparagraph i through v above.
- d Other DOE Costs. Includes all other DOE funding related to the program/project activity (i.e., PE&D and line item).
- e Total DOE Cost. Total of subparagraphs c and d above.
- f Non-DOE Cost. Includes identification of all non-DOE funding. The basis for the non-DOE funding should be identified (i.e., signed contract and contractor proposal).
- i Design and construction.
  - ii Facility operations and maintenance.



iii Other.

iv Total non-DOE funding.

g Total Project Cost. Summation of subparagraphs e and f, above.

h Description, Objective, and Justification. Provide a clear and concise description of the project indicating in general terms the technical features of the project. State the objectives of the project and how they relate to the overall mission of the program and the Department. Also state why this project will meet the objective stated above.

i Schedule of Planned Activities. Provide a schedule indicating quarter and fiscal year of the start and completion of major activities. At a minimum, include schedule for conceptual design, detailed design, long-lead procurement, construction and startup/operations. Include explanatory notes to highlight and clarify the schedule (i.e., the reason that long lead procurement must be initiated).

j Management and Contracting Plan. This plan is required to identify overall program or project strategy regarding the procurement approach, anticipated participation by industry or other Government agencies, program or project management location, and general approach to management organization contemplated.

k Prior Year Achievements. Provide a narrative description of achievement relating to the development of the project in prior years.

l CY Achievements. Refer to subparagraph k above.

m Reasons for Increases or Decreases. Indicate the reason for an increase or decrease in funding requirements as related to the last budget request approved by Congress. Also indicate the fiscal year of the last approved budget request.

n Construction Cost Estimate. Refer to page II-18,

subparagraph j.

o Incorporation of Fallout Shelters in Future Federal Buildings. Refer to page II-25, subparagraph n. Judgment should be exercised in locating fallout protection in operating expenses funding facilities which have a useful life of 3 years or less.

p Federal Compliance with Pollution Control Standards. Refer to page II-26, subparagraph o.

q Evaluation of Flood Hazards. Refer to page II-26, subparagraph p).

r Compliance with the National Environmental Policy Act and Related Statutes. Refer to page II-27, subparagraph q.

s Accessibility for the Handicapped. Refer to page II-27, subparagraph r.

Department of Energy FY 19BY OMB BUDGET SUBMISSION			
CONSTRUCTION PROJECT DATA SHEETS			
Atomic Energy Defense Activities - Plant and Capital Equipment			
Atomic Energy Defense Activities			
Decision Unit			
(Tabular dollars in thousands. Narrative material in whole dollars.)			
1. Title and location of project: Steam generation facilities, Idaho Fuel Processing Facility, Idaho		2. Project No. 80-AE-3	
3. Date A-E work initiated: 4th Qtr. FY 1979 (PE&D) Funds)		5. Previous cost estimate: \$24,000 Less amount for 500 PE&D: ----- Net cost estimate: \$23,500 Date: 1/80	
3a. Date physical construction starts: 2nd Qtr. FY 1982			
4. Date construction ends: 3rd Qtr. FY 1984 a/		6. Current cost estimate: \$29,000 Less amount for 500 PE&D (FY 79): ----- Net cost estimate: \$28,500 a/ Date: 12/80	

7. Financial Schedule:

Fiscal Year	Authorization	Appropriations	Obligations	Costs
1980	\$23,500	\$10,000	\$ 7,000 b/	\$ 0
1981	--	8,500	11,500 c/	10,000
1982	5,000	10,000	10,000	9,500
1983	--	--	--	8,000
1984	--	--	--	1,000

a/ The increased TEC reflects the addition of a cogenerator capability, delays caused by studies on alternative energy sources such as geothermal and natural gas, and revisions in the funding schedule in FY 1980 and FY 1981.

b/ Reflects Congressional deferrals of \$3,000,000 to FY 1981.

c/ Reflects Congressional reduction of \$5,000,000.

Figure II-6  
Construction Project Data Sheets  
Plant and Capital Equipment Funded

CONSTRUCTION PROJECT DATA SHEETS

1. Title and location of project: Steam generation facilities, Idaho Fuels Processing Facility, Idaho
2. Project No. 80-AE-3

8. Brief Physical Description of Project

This project provides for the design, procurement, and construction of a coal-fired steam generator facility to meet present and projected steam requirements for projects planned at IFPF through FY 1985. The facility will be designed for a 25-year life, will be steel frame construction with insulated metal panels and be approximately 125' x 132'. The project will include: (a) facilities for coal receiving, handling, and storage; (b) two 67,500 lb/hr coal-fired boilers; (c) a 16,500 s.f. building to house the necessary equipment; (d) water treatment equipment; (e) air pollution control equipment; (f) solid waste disposal equipment; (g) liquid waste treatment equipment; (h) utility tunnel; (i) connections to existing utility systems; (j) railroad spur; (k) connecting roads; (l) parking facilities; (m) all ancillary features required for peak operating efficiency and safety; (n) capability to convert to cogeneration; and (o) a boiler stack. Funds requested will allow for the construction of the boiler house and stack, and will support installation of long lead procurement items such as the boilers and associated auxiliary equipment.

9. Purpose, Justification of Need for, and Scope of Project

The purpose of this project is to provide a coal-fired steam

generation facility which will replace, in part, the existing oil-fired equipment and will provide expansion capacity for planned plant requirements and normal reserve capacity, plus capability to convert to cogeneration at some future date.

The budget authority level requested in FY 1982 is for the continuance of facility design, equipment procurement and the initiation of construction.

The Idaho Fuels Processing Facility (IFPF) was built in 1951 and has undergone a series of expansions and modifications which have increased steam requirements beyond the steam generation capabilities of the original installation. The present steam system will not provide for essential loads should one boiler go off-line. New production facilities are being designed and built which will further exceed the existing available steam generation capabilities. Without additional steam capacity, required production rates would not be achieved.

Specific programs and projects are the driving force behind the need for increased steam generation capacity at IFPF. These projects and projected peak steam requirements are: (a) the New Waste Calcining Facility (NWCf), 19,440 lb/hr; (b) Fluorinel and Storage (FAST) Facility, 11,880 lb/hr; (c) Remote Analytical facility Upgrade and Expansion, 1,404 lb/hr; (d) a proposed Plant Process Chemistry Building, 22,097 lb/hr; (e) other GPP projects, 900 lb/hr; and (f) reserve capacity, steam plant load and distribution losses, 13,930 lb/hr for a total additional future requirement of approximately

Figure II-6  
Construction Project Data Sheets  
Plant and Capital Equipment Funded  
(Continued)

#### CONSTRUCTION PROJECT DATA SHEETS

- |   |                        |
|---|------------------------|
| 1. Title and location of project: Steam generation facilities, Idaho Fuels Processing Facility, Idaho   | 2. Project No. 80-AE-3 |
| 9. Purpose, Justification of Need for, and Scope of Project (continued)   |                        |
| <p>69,651 lb/hr of steam. This, combined with the current base load of 65,550 lb/hr, will increase the total plant requirement to approximately 135,200 lb/hr. It will not be possible to accommodate additional loads from these facilities without expanding the existing steam generation system and adding reserve capacity. Without reserve capacity, several facilities could be forced into unplanned shutdown should be boiler malfunction during the winter months. Should this project be disapproved, curtailed operation of the above facilities would be required.</p> |                        |

National policy is to minimize the consumption of, and eventually to eliminate the use of, fuel oil. Implementation of this project will permit the IFPF to provide normal steam requirements from coal-fired sources.

The scope of this project is determined by the volume and rate of steam generation, coal unloading rate and storage capacity. This facility will produce steam at a peak rate of 135,000 lb/hr including losses incurred from boiler breakdown, distribution, and feedwater heating. The new boilers will be designed to generate steam of a quality required for cogeneration and for process and plant heating purposes.

The coal handling plant is sized for an unloading rate of 100 ton capacity receiving hopper. The dean storage area is sized to contain 6,400 tons of coal, which represents a 30 day supply for each boiler. Coal will be delivered in 70 to 90 ton capacity bottom dumping cars. Ten cars with 700 tons of coal will be sufficient for a three day capacity at a maximum rate of 135,000 lb/hr steam.

A bucket elevator will transfer the coal from the receiving hopper to two live coal bunkers in the boiler house at a rate of 100 ton/hr. The live coal bunkers have a capacity of 135 tons of coal each, which represents 30 hours supply at maximum continuous rating.

The delay in funding or at authorizing this project will have the following effect:

- (1) The existing steam-generation equipment for production activities is subject to failure causing loss of production. Many facilities will be operable with rigid administrative control of steam use. After 1983, Fluorinel fuel processing and operations of the New Waste Calcining Facility could not be conducted concurrently which would result in significantly reduced processing capacity for Fluorinel, severely increased cost per ton of fuel processed, and increased backlog of fuel being stored.
- (2) Progressive growth to meet projected production requirements would be severely limited due to lack of steam.
- (3) Steam required to meet projected production requirements would be installed in a stepwise manner resulting in small units with a higher installation cost, higher operation cost, and substantially decreased energy efficiency.
- (4) Significantly increased overall cost to maintain and repair the existing aging system.
- (5) Annual operations and maintenance costs are approximately \$1.3 million per year.

Figure II-6  
Construction Project Data Sheets

Plant and Capital Equipment Funded  
(Continued)

CONSTRUCTION PROJECT DATA SHEETS			
-----			
1.	Title and location of project: Steam generation facilities, Idaho Fuels Processing Facility, Idaho	2.	Project No. 80-AE-3
-----			
9.	Purpose, Justification of Need for, and Scope of Project (continued)		
-----			
Disapproval of new coal-fired steam generation equipment will mean complete dependence on oil as fuel and will incur a serious risk to IFPF operations should the current plant's capacity at be available for reasons of repair or maintenance. In any event the existing steam capacity will be inadequate after 1983.			
10.	Details of Cost Estimate a/	Item Cost	Total Cost
-----		-----	
a.	Engineering, design and inspection at 24% of construction costs, item b b/		\$ 3,400 b/
b.	Construction costs		16,500 -
	(1) Improvements to land including grading, landscaping, drainage diversion, paving, parking, fencing, lighting, and pedestrian access walks	\$ 200	
	(2) Buildings	1,600	
	(a) Coal boiler house, 16,500 sq. ft. at approximately \$97/sq. ft.		
	(3) Other structures includes boiler stack, ash burial pit, and underground tunnel	4,300	
	(4) Utilities, including electrical power, water, sanitary sewer lines, compressed air, fuel oil, condensate return lines, railroad spurs. etc.	1,600	
	(5) Special facilities includes coal handling equipment, air pollution control equipment, ash handling equipment, water treatment equipment, and two coal fired boilers capable of cogeneration	8,800	
c.	Standard equipment includes auxiliary equipment (\$2,995), and office furniture (\$)		3,000
d.	Removal less salvage		0
			-----
Subtotal			22,900
e.	Contingency at approximately 24% of above cost		5,600
			-----
Total estimated Costs			\$28,500 b/c/
-----			
a/ The above estimates we based on conceptual design and feasibility			

c/ All cost have been escalated at the rate of 12% to current year costs based upon the methodology developed for ID.

1. Title and location of project: Steam generation facilities, Idaho Fuels Processing Facility, Idaho	2. Project No. 80-AE-3
---	------------------------

---

11. Method of Performance  
-----  
Contracting arrangements are as follows:

- a. Design, Procurement and Construction: Fixed-price contract awarded on the basis of competitive bidding.
- b. Title III Inspection: By Architect-Engineer contractor under operating contractor surveillance.

12. Funding Schedule of Project Funding and Other Related Funding Requirements  
-----

	Prior Years	FY 1980	FY 1981	FY 1982	FY 1983	FY 1984	Total
	-----	-----	-----	-----	-----	-----	-----
a. Total project costs							
1. Total facility costs							
(a) Construction line item	\$     0	\$     0	\$10,000	\$ 9,500	\$ 8,000	\$ 1,000	\$28,500
(b) PE&D	500	0	0	0	0	0	500
(c) Inventories	0	0	0	0	180	0	180
Total direct costs	\$ 500	\$     0	\$10,000	\$ 9,500	\$ 8,180	\$ 1,000	\$29,180
2. Other project costs							
(a) R&D necessary to complete construction	\$     0	\$     0	\$     0	\$     0	\$     0	\$     0	\$     0
(b) Conceptual design costs	450	0	0	0	0	0	450
(c) Other project related costs	200	0	440	540	470	300	1,950

Total other project costs	\$ 650	\$ 0	\$ 440	\$ 540	\$ 470	\$ 300	\$ 2,400
Total project costs Item 1 & 2)	\$1,150	\$ 0	\$10,440	\$10,040	\$ 8,650	\$ 1,300	\$31,580
b. Other related annual costs (estimated life of project: 25 years)							
1. Facility operating costs						\$ 1,300	
2. Programmatic operating expenses directly related to the facility						0	
3. Capital equipment not related to construction but related to the programmatic effort in the facility						130	
4. Maintenance, repair, GPP or other construction related to programmatic effort in the facility						100	
Total related annual costs						\$ 1,530	

Figure II-6  
Construction Project Data Sheets  
Plant and Capital Equipment Funded  
(Continued)

CONSTRUCTION PROJECT DATA SHEETS	
1. Title and location of project: Steam generation facilities, Idaho Fuels Processing Facility, Idaho	2. Project No. 80-AE-3
13. Narrative Explanation of Total Project Funding and Other Related Funding Requirements	
a. Total project funding	
1. Total Facility	
(a) Inventories - Inventories necessary to put the facility into use are estimated to cost \$180,000.	
2. Other project funding	
(a) R&D necessary to complete construction - Conceptual Design was completed at a cost of \$450,000.	
(b) Other project related funding - Project support and startup are estimated to cost \$1,950,000.	
b. Total related funding requirements - It is estimated the facility will be used 25 years for its programmatic purpose.	
1. Facility operating costs - The major elements comprising the annual operating costs are coal costs, labor costs, and operating costs of boiler, fan systems and motors.	
The total delivery cost of coal to the steam plant will be	



approximately \$25.45/ton based on 1977 dollars. This is equivalent to a price of \$1.48/10<sup>6</sup> BTU.

To operate the facility, three boiler plant operators and one coal yard operator on a three shift rotation basis will be required. Routine plant maintenance will be completed by the boiler plant operators.

2. Programmatic operating expenses directly related to the facility - The steam generated by the coal-fired boilers will be consumed by the following IFPF facilities:

New Waste Calcining Facilities.....	14%
Remote Analytical Facility Upgrade and Expansion.....	1%
Fluorinel and Storage Facility.....	9%
Remainder of Plant.....	76%

3. Capital equipment not related to construction but related to the programmatic effort in the facility - Estimated cost is to cover the costs of dump trucks, inloader, bulldozer, etc. necessary to handle the coal over a 25 year period.
4. Maintenance, repair, GPP or Other Construction Related to Programmatic Effort - Estimated cost is based on experience with average cost for the replacement of lines, valves, pump and motor repairs per year.

Figure II-6  
Construction Project Data Sheets  
Plant and Capital Equipment Funded  
(Continued)

#### CONSTRUCTION PROJECT DATA SHEETS

- |   |                        |
|---|------------------------|
| 1. Title and location of project: Steam generation facilities, Idaho Fuels Processing Facility, Idaho | 2. Project No. 80-AE-3 |
|---|------------------------|
- 
14. Incorporation of Fallout Shelters: Indicate whether shelter space -----  
is included. If not, give the rationale why it is not included.
  15. Federal Compliance with Pollution Control Standards: Indicate -----  
measures taken if necessary, to control environmental pollutants and indicate that those costs were included in the TEC.
  16. Evaluation of Flood Hazards: Indicate whether or not flood hazards -----  
have been considered. If located in a flood plain, indicate mitigating action planned.

17. Environmental Impact: Indicate status of compliance with the  
-----  
National Environmental Policy Act and if the project is located in  
a floodplain/wetland.
18. Accessibility for the Handicapped: Provide a statement indicating  
-----  
accessibility for the Handicapped in accordance with the  
Architectural Barriers Act (Public Law 90-480) and the Federal  
Property Management Regulations (41 CFR 101-19.6).

Figure II-6  
Construction Project Data Sheets  
Plant and Capital Equipment Funded  
(Continued)

DEPARTMENT OF ENERGY  
FY 1981 OMB BUDGET PROCESS  
  
OPERATING EXPENSE FUNDED PROJECT DATA SHEET  
-----  
DEFENSE PROGRAMS

Atomic Energy Defense Activities Construction  
Atomic Energy Defense Activities  
Defense Nuclear Waste

(Tabular dollars in thousands. Narrative material in whole dollars.)

Reedy Creek Utilities Demonstration Plant  
Idaho Operations Office

Total Estimated Cost (TEC) \$14,945,000  
(For Design and Construction)

Figure II-7  
Construction Project Data Sheets  
Operating Expenses Funded

Reedy Creek Utilities Demonstration Plant  
Idaho Operations Office

Total Estimated Cost (TEC) \$14,945,000

(Tabular dollars in thousands. Narrative material in whole dollars.)

Cumulative		FY 1981
Prior Years	FY 1980 Actual	Estimate
-----	-----	-----

	Obs.	B/A	Obs.	B/O	B/A	B/O
Operating expenses (DOE):						
Design and construction	\$ 85	\$3,300	\$3,300	\$2,437	\$8,745	\$8,400
R&D related to construction	100	140	140	140	250	250
Facility operations	0	0	0	0	0	0
Direct project related support costs	0	0	0	0	0	0
Capital equipment	0	0	0	0	0	0
Total operating expenses	185	3,440	3,440	2,577	8,995	8,650
Other DOE funding:						
Activity - Conservation and Solar Energy	0	575	575	575	400	400
Total DOE funding:	185	4,015	4,015	3,152	9,395	9,050
Non-DOE funding:						
Design and construction	0	0	0	0	500	500
Total Project funding	\$ 185	\$4,015	\$4,015	\$3,152	\$9,895	\$9,550

Figure II-7  
Construction Project Data Sheets  
Operating Expenses Funded  
(Continued)

Reedy Creek Utilities Demonstration Plant Idaho Operations Office			
Total Estimated Cost (TEC) \$14,945,000			
(Tabular dollars in thousands. Narrative material in whole dollars.)			
	FY 1982 Estimate		Total Cost
	B/A	B/O	B/A
Operating expenses (DOE):			
Design and construction	\$1,340	\$2,548	\$13,470
R&D related to construction	0	0	490
Facility operations	370	370	370
Direct project related support costs	0	0	50
Capital equipment	30	30	30

Total operating expenses	\$1,740	\$2,948	\$14,410
Other DOE costs			
Activity - Conservation and Solar Energy, design and construction	0	0	975
Total DOE costs	\$1,740	\$2,948	\$15,385
Non-DOE costs			
Design and construction	0	0	500
Total Project costs	\$1,740	\$2,948	\$15,885*
*To reconcile with the TEC of \$14,945,000 delete \$940,000 associated with "Direct project related support costs."			

Figure II-7  
Construction Project Data Sheets  
Operating Expenses Funded  
(Continued)

Reedy Creek Utilities Demonstration Plant Idaho Operations Office
Total Estimated Cost (TEC) \$14,945,000
(Tabular dollars in thousands. Narrative material in whole dollars.)
-----
Description, Objective and Justification
-----
Conceptual design is complete for a Transuranic (TRU) Waste Treatment Facility (TWTF) at the Idaho National Engineering Laboratory (INEL). Its objective is to process (chemically and physically treat and immobilize) the retrievable stored INEL TRU waste and have the capability to process buried TRU waste. The Reedy Creek Utilities Demonstration Plant, located at Lake Buena Vista, Florida, is being undertaken as a cold (non-radioactive) pilot demonstration plant.
A promising technology for immobilizing the TRU waste at the INEL is the slagging pyrolysis incinerator. Rights to this incinerator are held by Andco, Inc. of Buffalo, New York. While the "slagger" is based on "old" blast furnace technology, it has not been used as a nuclear waste incinerator. There is limited experience with this technology in the United States and none in DOE. Development and testing at the Mol, Belgium slagging incinerator will be useful to characterize the end product, however, this incinerator has a different design and scale. Identical scale tests are necessary to confirm how the slagging

incinerator will perform with simulated INEL transuranic waste.

Reedy Creek Utilities Company Incorporated (RCUC), a wholly-owned subsidiary of Walt Disney Enterprises, submitted an unsolicited proposal for a joint project to build an exact scale demonstration incinerator that will support the Idaho project: (a) a slagging pyrolysis incinerator would be designed, constructed, and tested in time to confirm or impact design before construction starts on the Idaho unit; (b) the capacity will be identical to Idaho's at approximately 100 tons/day gross throughout; (c) DOE will have unlimited use of the facility for the first year of operation and 30 days per year for the next 10 years; (d) additional use can be purchased at the pleasure of the Government; and (e) title will transfer to RCUC after the full year of exclusive use by DOE. If the incinerator meets RCUC performance expectations, the U.S. Government (Treasury) will recapture a substantial part of its investment around 1985.

By constructing a cold pilot plant, DOE will gain early design, construction, and operating experience before the commitment to construct a major radioactive waste processing facility at the INEL. The demonstration incinerator will verify the designing of the INEL incinerator at the same scale. By operating the demonstration plant with simulated INEL feed, valuable operating and technical data will be gained. The cold demonstration plant may indicate design changes that may be required in the radioactive waste incinerator. Such changes could then be incorporated before construction rather than by retrofit during construction or after startup.

(a) Schedule of Planned Activities

-----  
The following table presents the total program broken down by primary tasks.

Activity	Start	Complete
-----	-----	-----
Procurement and Fabrication	1Q FY 1980	4Q FY 1981
Facility Construction	4Q FY 1980	1Q FY 1982
Facility Startup	1Q FY 1982	2Q FY 1982
Test Program	2Q FY 1982	2Q FY 1983

Figure II-7  
Construction Project Data Sheets  
Operating Expenses Funded  
(Continued)

Reedy Creek Utilities Demonstration Plant  
Idaho Operations Office

Total Estimated Cost (TEC) \$14,945,000

(Tabular dollars in thousands. Narrative material in whole dollars.)

-----  
(b) Management and Contracting

-----  
The RCUC will design and construct the total facility with the support of appropriate subcontractors. DOE approval will be required for the preliminary design, the final design, and initiation of procurement of long lead items. Operation of the facility will be the sole responsibility of RCUC.

Technical decision on the management of the facility, during DOE's dedicated operating periods, will be made jointly by representatives of RCUC and the Department of Energy. RCUC will monitor daily operation and collect data.

The RCUC stresses quality control and quality assurance in all aspects of its operation. Quality assurance programs are designed into every facet of the RCUC's operation and are highly successful in providing utilities for up to 80,000 visitors per day plus a base population of 35,000 people at Walt Disney World. Quality assurance at Walt Disney World results primarily from emphasis on planning and the employment of competent professionals and technicians. These procedures, coupled with strong management and administrative control, will provide the same high level of quality assurance in constructing and operating the cold demonstration facility as in the other utilities operated by the company.

(c) Prior Year Achievements

-----  
Engineering design for the facility and the process were completed and construction started.

(d) CY Achievements

-----  
Civil/structural (building, site, and utilities) were completed. Installation of process equipment was started. Process equipment checkout was started.

(e) Reasons for Increases and Decreases

-----  
The TEC for this project has increased by \$5,085,000 from the data sheet which supported the FY 19BY Budget Request because:

- o The original estimate was parametric, we now have fixed-price bids (1-1/2 years later).
- o Scope changes have been made including building, adding a second overhead crane, and a redundant induced draft fan.
- o Escalation.
- o Project start delayed 5 months due to difficult agreement negotiations.
- o Design/construction schedule had to be extended by 5 months.

Reedy Creek Utilities Demonstration Plant  
Idaho Operations Office

Total Estimated Cost (TEC) \$14,945,000

(Tabular dollars in thousands. Narrative material in whole dollars.)

(f) Cost Estimate

The costs shown are based on RCUC's final design, appropriately 20% of construction complete, and fixed-price contracts for the bulk of remaining work. The DOE funding outlined in this schedule is limited to the actual design, construction, and checkout periods. The operation of the facility will be the sole responsibility of RCUC with the first year to be devoted exclusively to DOE testing. DOE funding for the Reedy Creek testing program is included in this schedule.

	Item Cost	Total Cost
1. Engineering, design, and inspection, and project management at 34% of construction costs, Item 2		\$ 3,770
2. Construction costs		11,020
(a) Improvements to land	\$ 450	
(b) Buildings and structures	3,570	
(c) Process equipment	5,950	
(d) Utilities	550	
(e) Startup	500	
Subtotal		14,790
3. Contingency @ approximately 1% of above costs		155
Total Estimated Cost		\$14,945 a/ =====

a/ Facility construction will be accomplished by fixed-price contracts and procurements. Estimate is based on fixed-price bids and quotes now in hand. Escalation is at separately identified in these fixed-price commitments.

Figure II-7  
Construction Project Data Sheets  
Operating Expenses Funded  
(Continued)

Reedy Creek Utilities Demonstration Plant  
Idaho Operations Office

Total Estimated Cost (TEC) \$14,945,000

(Tabular dollars in thousands. Narrative material in whole dollars.)

<p>-----</p> <p>Incorporation of Fall out Shelters: Indicate whether shelter space is included. If not, give the rationale why it is not included.</p> <p>-----</p> <p>Federal Compliance with Pollution Control Standards: Indicate measures taken, if necessary, to control environmental pollutants and indicate that those costs are included in the TEC.</p> <p>-----</p> <p>Evaluation of flood Hazards: Indicate whether or not flood hazards have been considered. If located in a flood plain, indicate mitigating action planned.</p> <p>-----</p> <p>Environmental Impact: Indicate status of compliance with the National Environmental Policy Act and if the project is located in a floodplain/wetland.</p> <p>-----</p> <p>Accessibility for the Handicapped: Provide a statement indicating accessibility for the Handicapped in accordance with the Architectural Barriers Act (Public Law 90-480) and the Federal Property Management Regulations (41 CFR 101-19.6).</p> <p>-----</p>
---

Figure II-7  
Construction Project Data Sheets -  
Operating Expenses Funded  
(Continued)

(5) **Federal Manpower Justification.** Federal manpower requests are to be justified in narrative form on a decision unit basis for program organizations. For organizations budgeted for in the Departmental administration appropriation, these justifications are to be done on an organizational basis. Staffing levels must be justified for each request level contained in the budget submission to OMB. Organizations should be very specific in formulating this narrative. It should clearly indicate the differences, if any, from the FY 19CY staffing level and contain an explanation of the difference whether it is an increase or a decrease. In cases where increases above the FY 19CY level are being requested, the justification should be very precise and provide a level of detail that will enable the OMB staff to fully evaluate the programmatic and functional impacts of the request.

(6) **Manpower Figures.**

(a) The first tier organization preparing a budget is required



to submit an overall summary of Federal civilian manpower requirements by appropriation, decision unit, and organization using either Figure II-8, II-9, or II-10. (The stub for Figure II-9 must be exactly the same as the stub on the manpower controls). Some organizations may be asked to provide more detail on manpower distributions and will be contacted separately if additional information is required.

- (b) Organizations included in the Departmental administration appropriation will distribute their manpower requirements to the major internal organization level.
- (c) Full-time permanent employment generally is for those positions established for a year or more whose incumbents are expected to work 40 hours per week. The other than full-time permanent category includes for budget purposes full-time temporary, part-time (both temporary and permanent) and intermittent employment subject to OMB ceiling controls. Youth opportunity programs (Stay-in-School and Federal Junior Fellowship) are excluded from the other than full-time permanent category.
- (d) Figures II-8, II-9, and II-10 are not to be included in the budget materials to go to OMB, but are to be submitted directly to the Office of Organization and Management Systems.

DEPARTMENT OF ENERGY FY 19BY OMB BUDGET						
Summary of Staffing Included in Major Activities						
SUMMARY OF FULL-TIME EQUIVALENT - PROGRAM ORGANIZATIONS						
-----						
FY 19BY REQUEST						
Organizational: _____						
Appropriation/Major Activity/Organizational	FY 19BY FTP Total	FY 19CY FTP Total	Decremental Level FTP Total	OMB Target Level FTP Total	Program Planning Level FTP Total	
-----						
ABC Appropriation:						
Decision Unit						
Decision Unit						
Headquarters						

Operations Office X					
Operations Office Y					
Decision Unit					
Headquarters					
Project Office A	_____	_____	_____	_____	_____
Subtotal ABC					
Appropriation					
DEF Appropriation:					
Decision Unit					
Decision Unit					
Headquarters					
Operations Office X	_____	_____	_____	_____	_____
Subtotal DEF					
Appropriation					
-----					
Organizational Recap:					
Headquarters					
Operations Office X					
Operations Office Y					
Project Office A	_____	_____	_____	_____	_____
Total					

Figure II-8  
Summary of Full-Time Equivalent -  
Program Organizations

DEPARTMENT OF ENERGY						
FY 19BY OMB BUDGET						
Summary of Staffing Included in Major Activities						
SUMMARY OF FULL-TIME EQUIVALENT - HEADQUARTERS STAFF ORGANIZATION						
				FY 19BY REQUEST		
Organization: _____						
				Decremental	OMB	Program
				Level	Target	Planning
Appropriation/Major	FY 19BY	FY 19CY				
Activity/Organization	FTP Total	FTP Total		FTP Total	FTP Total	FTP Total
-----						
APPROPRIATION:						
-----						
Office of the Assistant						
Secretary						
(Director, etc.)						

Office of ...					
Office of ...					
Office of ...					
Office of ...					
Total					

Figure 11-9  
Summary of Full-Time Equivalent -  
Headquarters Staff Organization

DEPARTMENT OF ENERGY FY 19BY OMB BUDGET						
Summary of Staffing Included in Major Activities						
SUMMARY OF FULL-TIME EQUIVALENT - OPERATIONS OFFICES						
			FY 19BY REQUEST			
Organization:						
			Decremental *	OMB*	Program*	
			Level	Target	Planning	
Appropriation/Major	FY 19PY	FY 19CY	FTP Total	FTP Total	FTP Total	
Activity/Organization	FTP Total	FTP Total	FTP Total	FTP Total	FTP Total	
ABC APPROPRIATION:						
Program Support						
Office of the						
Manager						
Office of the						
General Counsel						
.... for Administration						
.... for XXXXX						
.... for YYYYY						
Subtotal Program						
Support						
Program: **						
Fossil						
....						
....						
Energy Research						
....						
Defense						
....						

.....					
Nuclear					
.....					
.....					
Subtotal Program	_____	_____	_____	_____	_____
Total ABC					
Appropriation	_____				
DEF Appropriation:					
Program Support	_____	_____	_____	_____	_____
Total	=====	=====	=====	=====	=====
* Subject to official designation in the budget call.					
** Identify all program with 1 or more FTEs in any year.					

Figure II-10  
Summary of Full-Time Equivalent  
Operations Offices

e. Computer Materials (Fall Overview). The computer materials listed in OMB Circular A-11, section 15.1, will be submitted (prior to 10-1) according to dates to be supplied by OMB. The computer materials consist of: receipt estimates; supplementary source data; multi-year planning estimates projections; and current services estimates. The information will be revised to reflect reestimates, approved administration initiatives and policy guidance, and completed congressional action. FY 19BY and approved FY 19BY + 4 data will not be included on the listings but must be filled in by the program organizations. Budget requests not reflecting latest policy guidance will not be acceptable as the basis for revision. All materials will be revised subsequent to reflect OMB and Presidential decisions, reestimates, congressional action, and new assumptions. Unlike the justifications, the computer materials should reflect actual appropriation amounts and should not be made comparable with the budget year. The data in each of the budget schedules must be complete and internally consistent. Consistency is also required between the various schedules within each account. The following checklists will assist in determining completeness, internal consistency, and the consistency of the same data in different schedules.

(1) Checklist for Supplementary Source Document.

(a) General.

- 1 Is the correct identification code entered on each page of the schedule?
- 2 In section A, "Analysis of Budget Authority and Outlays":
  - a Are all the required columns filled in on the budget authority and outlay lines?
  - b Are the amounts for each coded line and the totals for budget authority and outlays the same as on the program and financing schedule?
  - c Where memorandum entries are required, do they agree with supporting data? (For example, "Appropriation to liquidate contract authority" must be same as line coded 40.49 or 60.49 on the program and financing schedule.)
- 3 In section B "Distribution of Outlays":
  - a Do the totals of the columns add to the total outlays in section A?
  - b The amounts on line 311 may not exceed the amounts for new budget authority for each year as shown on lines coded 40 through 50 on the program and financing schedule. Similarly, line 312 may not exceed lines 60 through 69 on the program and financing schedule.
  - c The amount on line 313 for each year may not exceed the obligated balances on lines coded 72 (or 72 with two-digit suffix) on the program and financing schedule.
  - d The amount on line 314 for each year may not exceed the unobligated balances on lines coded 21 (or 21 with two-digit suffix) on the program and financing schedule.
  - e The memo entry amount on line 315 may not exceed the amount of the memo entry for "Appropriations to liquidate contract authority" in section A of the SSD for each year.

4 In section C, "Character Classification":

- a Are the totals of budget authority and outlays the same as in section A for each year?
- b Is each separate function in this section treated as though it were a separate account?
- c Are proper character codes shown in each line entry?

(2) Checklist for Current Services Estimates SSSD-S-L.

(a) Detail Data Processing.

- 1 Are current services estimates provided for each program and financing schedule that has a transmittal code of "O"?
- 2 Is an "S" written at the top of each page?
- 3 Is the 11-digit identification code for each account correct? This code is shown on the program and financing (P and F) schedules in the OMB budget appendix for the budget year.
- 4 Are the line codes indicated the same as those in the program and financing schedule for the account?

2. OTHER OMB MATERIALS. The other OMB materials comprise the final part of the initial OMB submission. Refer to the OMB Circular A-11 section shown parenthetically below for specific guidance. Guidance concerning additional materials is provided below. Typically, the other OMB materials include: Information in Rental Payments to GSA, (24.3); Analysis of National Climate Program Activities, (24.4); Data on Research and Development, (44.1 - 55.4); and Data on Social Research and Development Activities, (48.1 - 48.5).

- a. Telecommunications. Where FY 19BY estimates for telecommunications requirements exceed \$1 million or are more than 10 percent of the total estimate for a decision unit, additional information should be provided (Figure II-11). In these cases, the telecommunication systems and services should be described and justified in a narrative statement reflecting quantifiable benefits in terms of increased productivity, reduced costs or decreased levels of staffing attributable to the effective use of communications

technology. Questions on telecommunications requirements may be addressed to the Division of Telecommunications, MA-253.

- b. Major Computer Requirements. Each organization should identify and justify all major items of ADP equipment proposed for the budget year (BY) in the appropriate decision unit of the funding or landlord program; and submit a consolidated crosscut summary computer table of all major items of ADP equipment for the past year (PY), the current year (CY), and BY. Each of these requirements is discussed below.

(1) Major Item Identification. A major item of ADP equipment is defined as an component or group of components having a total estimated purchase cost of \$400,000 or more including related capitalizable costs. The determining factor for a major item of ADP equipment is the estimated purchase cost of the item irrespective of the type of funding used or whether the actual method of acquisition is purchase, lease, or some combination of the two. Thus, a leased item of ADP equipment is a major item if the estimated purchase cost of the item is \$400,000 or more even if the annual lease cost is less than \$400,000. All major items of ADP equipment proposed for the BY must be separately identified and justified in the appropriate narrative material supplied by the funding or landlord program. This separate identification and justification pertains to all major items of ADP equipment regardless of whether they are proposed for lease or purchase or whether they are to be funded from operating, capital, or construction funds. In cases where major items of ADP equipment are funded from operating expenses by a single program, the total annual cost of the lease, or lease to ownership, must be shown by the funding program. In those cases where major items of ADP equipment are funded from operating expenses by multiple programs, the total annual cost of the lease, or lease to ownership, must be shown by the program having budget responsibility for general purpose equipment at that location. Where appropriate, however, it should be noted that the actual costs will be shared programmatically according to a charge-back plan based upon utilization.

(2) Major Computer Requirements Crosscut Summary. In addition to the requirement to identify and justify all major items of ADP equipment in the narrative material as described above, the Department is required to prepare a crosscut summary computer table which specifically lists each major item of ADP

equipment, except for items funded from construction projects, utilizing/requiring funds during either the PY, CY, or BY. The Office of ADP Management (MA-24) is responsible for coordinating the preparation of this consolidated Department crosscut computer table and assuring its timely submittal to OMB. In order to assure that the information contained in the table accurately reflects the latest budget decisions, MA-24 will require the assistance of Headquarters program divisions prior to the OMB submittal. Accordingly, based upon the results of the internal review, MA-24 will prepare an initial crosscut computer table for cognizant program review and markup. After this review process is completed, MA-24 will prepare a final Departmental cross-cut computer table for submittal to OMB.

- (3) Data on ADP Systems. Each organization of the Department is required to report information on the acquisition, operation, or use of general management computer systems. Two submissions of these materials are actually required; one at the time of the initial submission of budget materials and a second revised submission following receipt of determinations. Each of these submissions are discussed below.
- (4) Initial Submission (OMB Estimates). As discussed in more detail in DOE 5100.4, these various ADP reporting requirements will be coordinated within the Department by MA-24 based to a large extent upon data contained within the individual ADP site plans. However, much of the data to be reported will require programmatic review and concurrence by the cognizant Headquarters program organizations. Therefore, the Office of ADP Management will submit the necessary information to appropriate organizations subsequent to the internal view and in sufficient time for review prior to the OMB budget submission. After the review process is completed, the Office of ADP Management will prepare, if necessary, exhibits for transmittal to OMB.
- (5) Revised Submission (Congressional Estimates). Subsequent to receipt of determinations, the Department is required to submit a revised report to OMB. This revised report will be prepared by the Office of ADP Management, with program concurrences where appropriate, for submittal to OMB reflecting budgetary changes.

### 3. DATA ON RESEARCH AND DEVELOPMENT.



- a. The Controller will issue a call for budget data on research and development each year, typically in mid-August. Included in the call will be due dates; formats; general instructions; and, programs considered to be included in R&D under the FY 19BY structure. The information requested is developed in accordance with OMB Circular A-11, sections 44.1 and 44.4. This information is utilized by OMB for review of budget requests, overall resource allocations, and preparation of the Analysis on Research and Development published each year in the Special Analysis of the Budget of the United States Government. The submission will be reviewed by the Office of Energy Research and the Office of Project and Facilities Management, in addition to the Office of Budget prior to transmittal to OMB.
- b. Operating expenses data should be reported as basic research, applied research, or development. Development is further subdivided into technology development, concept and demonstration development, and full scale development. Capital equipment not related to construction and plant expenses associated with R&D should be assigned to R&D facilities. Federal manpower related expenses associated with R&D should also be included.
- c. Program officials, in conjunction with the appropriate Office of Budget analysis branch, must ensure that the budget authority and outlays reported be equal to those reported in section C of the corresponding supplementary source documents (SSD's) under character classification codes as follows:

Exhibit 44 Line Code Character Class

Basic Research	101	1410
Applied Research	102	1420
Development	103	1430
R&D Facilities	301	1311(PL), 1321(CE)

REPORT ON OBLIGATIONS FOR TELECOMMUNICATIONS SYSTEMS			
-----			
		PY - past year	
		CY - current year	
		BY - budget year	
DEPARTMENT OF ENERGY			
FY 19BY OMB BUDGET			
Division of Telecommunications			
Obligations for Telecommunications Systems			
-----			
(In thousands of dollars)			
	19PY	19CY	19BY

		-----	-----	-----
1.	Capital Investments			
	-----			
	a. Hardware	3,127	1,014	2,116
	b. Site	423	79	104
	c. All other	119	135	139
		-----	-----	-----
	Subtotal	3,669	1,228	2,359
2.	Personnel			
	-----			
	a. Compensation, benefits and travel	27,412	27,986	28,520
	b. Workyear	(979)	(993)	(1,015)
		-----	-----	-----
	Subtotal	27,412	27,986	28,520
3.	Equipment Lease, Space and Other Operating Costs			
	-----			
	a. Lease of telecommunications equipment	4,973	5,065	5,214
	b. Space	1,064	1,117	1,239
	c. Supplies and other	764	809	855
		-----	-----	-----
	Subtotal	6,801	6,991	7,308
4.	Commercial Services			
	-----			
	a. Lease of telecommunications services	11,174	11,765	12,317
	b. System engineering services	995	1,113	1,261
	c. Studies	527	817	215
	d. All other	189	196	211
		-----	-----	-----
	Subtotal	12,885	13,891	14,004
5.	Interagency Services			
	-----			
	a. Payments	14,617	15,324	16,887
	b. Offsetting collections	-319	-325	-341
		-----	-----	-----
	Subtotal	14,298	14,999	16,546
6.	Intra-agency Services 1/			
	-----			
	a. Payments	173	189	201
	b. Offsetting collections	-214	-229	-242
		-----	-----	-----
	Subtotal	-41	-40	-41
7.	Other Services			
	-----			
	a. Payments	85	41	---
	b. Offsetting collections	-54	-58	-63
		-----	-----	-----

	Subtotal	31	-17	-63
8.	Special Purpose Telecommunications Systems and Services			
	-----			
a.	Command and control, tactical and mobile	16,439	19,568	22,196
b.	Radar	16,746	17,625	17,630
c.	Radiodetermination	21,426	21,518	21,601
d.	Telemetry	23,326	26,656	32,476
e.	Other	3,679	4,369	4,128
	-----			
	Subtotal	81,616	89,736	98,031
	TOTALS			
	-----			
	Total obligations	146,671	154,774	166,664
	Workyears	(979)	(993)	(1,015)
	-----			
	1/ At the Agency Level these entries should not to zero.			

Figure II-11  
Report on Obligations for Telecommunications Systems

#### 4. DATA ON ENVIRONMENTAL PROGRAMS.

- a. The Controller will issue two separate calls for budget data on environmental programs (Environmental Special Analysis) each year. Information submitted in response to the first call (early September) should be prepared based on the Secretary's allowance. Information submitted in response to the second call (late November) must reflect FY 19PY actuals, FY 19CY enacted appropriation, and the FY 19BY as a result of OMB passback. Included in each call will be general instructions; formats; and due dates. Individual reports will be required for each decision unit described in the call. The individual reports as submitted, as well as a consolidated report for the Department will be forwarded to OMB. Negative replies are requested.
- b. The reporting requirements apply to all DOE organizations, R&D programs, and non-R&D programs. This includes organizations which do not budget for environmental work as a separate budget activity. Operating expenses, capital equipment, and construction funding as applicable, should be reported. If input is required from field organizations or contractors, it is requested that arrangements be made with those installations to provide the necessary data in a time frame that will allow for conformance to the specified due date.

DOE-5100.5/CIH

CHAPTER III - OFFICE OF MANAGEMENT AND BUDGET SUBMISSION - PHASE II

ISSUE DATE: 07-21-83

LAST CHANGE:

CHANGE DATE:

DOE-5100.5 OFFICE OF MANAGEMENT AND BUDGET - BUDGET PROCESS

CHAPTER III

OFFICE OF MANAGEMENT AND BUDGET SUBMISSION - PHASE II

1. PRINT MATERIALS SUBMISSION (BUDGET APPENDIX MATERIALS). The print materials submission is due to OMB after the initial OMB allowance. All materials are submitted to OMB through the Office of Budget. The following paragraphs expand the guidance provided in OMB Circular A-11; however, A-11 is still the prime reference to be used in completing these schedules. These materials are updated several times during the process to reflect final Presidential decisions on the budget.

- a. Appropriation Language (OMB Circular A-11, Section 31.1 - 31.6). Any required programmatic changes to the appropriation language must be submitted to the Budget Formulation Branch, MA-301.3, as changes to a base. This base is defined as the appropriation language shown in the FY 19CY Appropriation Act or, if an appropriation has not been enacted, use the appropriation language proposed in the FY 19CY congressional justification as amended.
- b. Program and Financing Schedule. The program and financing (P&F) schedule will be prepared in accordance with OMB Circular A-11, sections 32.1 through 32.7. The P&F schedule requires data for 3 years:
  - (1) Prior Year (PY). Amounts should be shown in the structure in which appropriated; comparability adjustments should not be included, however, footnotes reflecting such adjustments will be used.
  - (2) Current Year (CY). Funds are shown as enacted; comparability adjustments should not be included, however, they will be footnoted. In accordance with OMB Circular A-11, section 32.6:
    - (a) Anticipated pay cost supplementals should not be included until such time as OMB provides the Department with the allowances.

- (b) The effect of rescission proposals will be shown in a separate schedule.
  - (c) Pending program supplementals, supplementals now requested, and items proposed for later transmittal will all be shown in separate schedules with the appropriation heading at the top of each schedule.
- (3) Budget Year (BY). All amounts should reflect the OMB allowance. All comparability adjustments should be footnoted. The footnote must take the following form:

- (a) For the account assuming funding for the activity, the full title of each losing account and the budget authority amount of applicable to each must be listed.

NOTE: - Includes \$ -- in 19BY for activities previously financed from \_\_\_\_\_:

19PY    19CY

- (b) For the account losing the activity, comparable amounts for 19PY (\$ --) and 19CY (\$ --) are included below. The full title of each gaining account and the budget authority amount applicable to each must be listed.

NOTE: - Excludes \$ -- in 19BY for activities transferred to \_\_\_\_\_:

- (c) For further guidance on the footnotes please refer to OMB Circular A-11, section 32.7(e).

c. Object Classification. Each program and financing statement must have a corresponding object classification. The object classification breaks down the obligations into several categories which are defined in OMB Circular A-11, section 34.1. OMB Circular No. A-12, also provides definitional guidance on the object class categories. The totals of the object classification schedule must be equal to the obligations total on the corresponding program and financing schedule.

d. Personnel Summary.

- (1) If the object classification contains an entry for personnel compensation, a personnel summary must be prepared. The

entries are specified in OMB Circular A-11, section 34.4.

- (2) The Manpower Control Branch, MA-211.2, is responsible for the review, coordination and submission of manpower data to the Office of Budget for personnel summaries. In order to accomplish this function, organizations are to complete Figure III-1, and III-2 and submit them to the Manpower Control Branch.

- (a) Figure III-1, End of Year Positions, Fiscal Year FTE Summary. This figure provides the manpower data base for all print material submissions. Data is to be shown in the structure to be used for the congressional budget down to the decision unit level as required by the approved budget structure. FYPY positional and FTE data will be provided to all organizations prior to the time when print material exhibits are to be prepared. Data provided will be based on official EMPRIS data base information as of 9-30. FYCY and FYBY FTE data will reflect staffing levels provided in the OMB passback. These levels will be adjusted if required depending on the outcome of the OMB appeal process. Positions data for FYCY and FYBY are to be developed by individual organizations. Since manpower is allocated and controlled on a FTE basis there are no control targets to be met for positions. However, positions data should be consistent with the FTE usage and staffing plans for the years shown. All positional data provided is subject to review before it will be accepted. It should be noted that this information is especially sensitive because it, along with FTE's, is closely examined in the final budget review process by OMB and the Congress.

- (b) Figure III-2, Permanent Positions by Appropriation. This figure provides the average grade data base for completing the personnel summary and for the Manpower Control Branch to develop detail of permanent positions consolidations by appropriation are those developed in Figure III-1. Positions for each fiscal year are to be distributed into the various categories - Executive Level, Senior Executive Service (SES), General Schedule (GS) or Ungraded. Specific guidance concerning the development of this figure will be provided by the Manpower Control Branch, MA-211.2 before organizations begin preparing print materials.

- Organizati on: \_\_\_\_\_

Pg. : \_\_\_\_\_ of \_\_\_\_\_

[illegible]

FY







Unfilled Pos. End of Year								
Total Perm Employment End of Year								

Figure III-2  
Permanent Positions by Appropriation  
(Format)

DEPARTMENT OF ENERGY FY 19BY OMB BUDGET			
PERSONNEL SUMMARY BY APPROPRIATION			
-----			
Organization: _____			
Appropriation: _____			
	FY 19PY	FY 19CY	FY 19BY
Direct			
-----			
Total Number of FTP Positions			
Total Compensable Workyears			
Full-time Equivalent Employment			
Full-time Equivalent of Overtime and Holiday Hours			
Average ES Salary			
Average GS Grade			
Average GS Salary			
Average Salary Ungraded Positions			
Reimbursable			
-----			
Total Number of FTP Positions			
Total Compensable Workyears			
Full-time Equivalent Employment			
Full-time Equivalent of Overtime and Holiday Hours			

Average ES Salary				
Average GS Grade				
Average GS Salary				
Average Salary Ungraded Positions				

Figure III-3  
Personnel Summary by Appropriation  
(Format)

DEPARTMENT OF ENERGY FY 19BY OMB BUDGET						
PERSONNEL SUMMARY BY APPROPRIATION BY YEAR						
-----						
FY 19__						
Organization:						
-----						
	Appropriation					Total
Direct						
-----						
Total Number of FTP Positions						
Total Compensable Workyears						
Full-time Equivalent Employment						
Full-time Equivalent of Overtime and Holiday Hours						
Average ES Salary						
Average GS Grade						
Average GS Salary						
Average Salary Ungraded Positions						
Reimbursable						
-----						
Total Number of FTP Positions						
Total Compensable Workyears						
Full-time Equivalent Employment						
Full-time Equivalent of Overtime and Holiday Hours						
Average ES Salary						

Average GS Grade	----	----	----	----	----	-----
Average GS Salary	----	----	----	----	----	-----
Average Salary Ungraded Positions	----	----	----	----	----	-----

Figure III-4  
Personnel Summary by Appropriation by Year  
(Format)

e. Checklist for the Budget Appendix Materials. The data in each of the budget schedules must not only be complete and internally consistent, but consistent between the schedules within each account. The following checklists will assist in determining completeness, internal consistency, and the consistency of the same data on different schedules:

(1) Checklist on Program and Financing Schedules.

- (a) Are the 11 digit identification codes in agreement with the master account title file listing, and entered on each page of the schedule? (Information on the master account title file listing is available in the Budget Formulation Branch MA-301.3.)
- (b) Is the seventh-digit of the identification code, which indicates the timing of the transmittal of estimates, correctly coded?
- (c) Are program supplementals set forth in separate schedules? (Supplementals for the cost of pay raises effective prior to submission of the estimates will be included in regular schedules.)
- (d) Are offsetting collections shown in the regular program and financing schedules where applicable? If offsetting collections are shown, are reimbursable obligations shown separately from direct obligations? (See OMB Circular A-11 for definition of terms.)
- (e) Are offsetting collections correctly classified as coming from Federal funds, trust funds, non-Federal sources, and/or off-budget Federal entities? (See OMB Circular A-11 for definition of terms.)

- (f) Does the schedule contain a footnote as required for significant transfers in the estimates? Is there a corresponding note in the other schedule(s) involved?
- (g) Are line entries consistent with comparable entries in the Treasury Department's combined statement and the report on budget execution? (Information on the Treasury Combined Statement is available in the Budget Formulation Branch.)

(2) Checklist on Object Classification.

- (a) Is the correct identification code entered on each page of the schedule (OMB Circular No. A-11 section 21.3)?
- (b) Is each object line coded in agreement with the numbered classes defined in OMB Circular No. A-12, "Object Classification"?
- (c) If pre-printed Standard Form 300-T is used, are unused lines crossed off?
- (d) Do the individual items listed add to the total line (costs or obligations)?
- (e) Where the detail by objects is presented on a cost basis, the sum of the costs, and the change in selected resources must be the same as the corresponding amounts shown as "total program costs funded" and "change in selected resources" on the program and financing schedule.
- (f) The entry for line coded 99, total obligations must be the same as the line coded 10, total obligations on the program and financing schedule.

(3) Checklist for Detail of Permanent Positions (OMB Circular No. A-11, sections 35.3. - 35.3.)

- (a) Do the number of positions by grade (plus ungraded positions) add to the total permanent positions line?
- (b) The number shown on the line "Total Permanent Positions" must be the same as the number shown on the "Personnel Summary" for "Total Number of Permanent Positions."
- (c) Are the unfilled positions, end of year accurately

portrayed? Are the resulting entries, total permanent employment, end of year consistent with Department employment ceilings? Are the figures for each appropriation consistent with the SF-113A, "Monthly Report of Federal Civilian Employment"?

2. PAY COST SUPPLEMENTALS. Requests for pay cost supplementals are submitted separately to OMB on a specified date. Supplementals required in the current year to meet increased pay costs will be included in the regular schedules with amounts already enacted, rather than in separate schedules. In these cases, amounts shown for each activity in the program and financing schedule will include the cost of the pay raises. The amounts reflected will represent the net amount necessary, including maximum feasible absorption, for the additional cost applicable to employment financed through appropriations already enacted for the period. Estimates for program supplementals for the current year should be based on the new pay scales.

### 3. SPECIAL INFORMATION SUBMISSION.

a. The special information submission is due to OMB usually after the initial OMB allowance. General guidance concerning these exhibits is contained in OMB Circular A-11. The following exhibits comprise the special information submission:

(1) Data on acquisition, operation and use of information technology systems (sections 43.1 - 43.2).

(2) Data on agency borrowing and investment (sections 47.1 - 47.2).

(3) Data on debt collection activities (sections 51.1 - 51.3).

b. All of the above exhibits shall be prepared by the appropriate program organizations as identified in the annual budget call letter. These exhibits shall be reviewed by the Office of Budget prior to transmittal to OMB.

### 4. DEPARTMENTAL ADMINISTRATION.

a. All organizations receiving funding through Departmental administration appropriations are required to submit detailed budget schedules in support of their requests. The organizations included in this appropriation are shown in Figure III-5. To ensure sufficient information from all of the organizations for submission and consolidation into an overview, submit the additional schedules

as shown in Figures III-6 through III-9.

- b. The manpower workload justification required in the paragraph on staffing should be updated to reflect Secretarial decisions made during the IRB process. All information on staffing requested for Departmental administration must be submitted to MA-211 for review and concurrence prior to the transmittal to the Office of Budget. Each object class must have the major increments identified, priced, and justified separately.
- c. The following information is provided for use in completing the schedule.
  - (1) FTP includes compensation for FTP employees and merit pay for GM 13-15 employees. (These employees have been identified within each organization.) Include 3 percent of GM salaries for within grade increases and .5 of 1 percent for quality step increase (QSI) and cash awards. Within grade increases for other than merit pay employees is also 3 percent.
  - (2) OTFTP includes compensation for temporary and part-time employees and consultants.
  - (3) Other compensation includes overtime and other incentive awards.
  - (4) Personnel benefits includes 11 percent of the total of FTP and 7 percent for OTFTP, as well as benefits for former employees. (Controller budgets centrally for workmen's compensation.)
  - (5) Travel is subject to regulation.
  - (6) Support services includes standard level user charges (SLUC), communications, utilities and other rent, printing and reproduction, supplies and materials, transportation of persons and things, and other services. Headquarters' support services is budgeted centrally by Departmental administration with certain exceptions.
  - (7) SES rank and performance awards will be centrally budgeted as a separate line within the Departmental administration appropriation.

Organizations Included in Departmental Administration

Office of the Secretary  
Assistant Secretary, Management and Administration  
Assistant Secretary, Congressional, Intergovernmental  
and Public Affairs  
General Counsel  
Inspector General  
Board of Contract Appeals  
Office of Minority Economic Impact  
International Affairs  
Chicago Operations Office  
Idaho Operations Office  
Oak Ridge Operations Office  
Richland Operations Office  
San Francisco Operations Office  
Savannah River Operations Office  
Office of Policy, Planning, and Analysis

Figure III-5

Organizations Included in Departmental Administration

DEPARTMENT OF ENERGY						
FY 19BY OMB BUDGET						
FEDERAL PERSONNEL SUPPORT SERVICES SCHEDULE						
-----						
(In thousands of dollars)						
FY 19PY		FY 19CY		FY 19BY		
-----		-----		-----		
B/A	B/A	B/A	B/A	Decre- mental	OMB Target	Program Planning
-----		-----		-----		
				BA/BO	BA/BO	BA/BO
-----		-----		-----		
Transportation of Things						
Communication Services						
Telephone						
FTS						
Commercial						
Postage						
Lump Sum Payments to						
U. S. Postal						
Services in Lieu						
of Postage						
(Excluding Parcel						
Post)						
Other than Lump Sum						
Payments						
Other						
-----		-----		-----		



Total							
Rents and Utilities*							
GSA Space Charges							
SLUC Charges							
Other (speci fy)	_____	_____	_____	_____	_____	_____	_____
Total							
Printing and Reproduction							
(speci fy)							
Services Performed by							
Other Agenci es							
Other Services							
Maintenance and Repair							
of Vehi cles and							
Equipment							
Maintenance of Bui l di ngs							
Jani tori al and Custodi al							
Servi ces							
Alarm Protection Systems							
Offi ci al Entertainment							
Empl oyee Heal th Servi ces							
Storage of Househol d							
Goods							
Traini ng of Empl oyees							
Suppl i es and Materi al s							
Other (speci fy)	_____	_____	_____	_____	_____	_____	_____
Total							
GRAND TOTAL SUPPORT							
SERVI CES	=====	=====	=====	=====	=====	=====	=====
* Only speci fy rental of space and utilities.							
[To be prepared for activities funded within the Departmental							
Admi ni strati on account only. ]							

Figure III-6  
Federal Personnel Support Services

DEPARTMENT OF ENERGY			
FY 19BY OMB BUDGET			
FEDERAL TRAVEL AND TRANSPORTATION OF PERSONS SCHEDULE			
-----			
(In thousands of dollars of Budget Authority)			
	FY 19PY	FY 19CY	FY 19BY
	-----	-----	-----
			Decre- OMB Program
			-----
Section I - Travel			
Subject to Regulation			
Change of Station			
Invitati onal Travel			

	2010	2011	2012	2013	2014	2015	2016
Public Meeting and Hearings by DOE and Others							
Training Related Travel							
Contract Negotiation and Selection							
Contract Management and Administration							
International Travel (specify)							
Symposia and Conferences							
Other (specify)							
Total	=====	=====	=====	=====	=====	=====	=====

[To be prepared for activities funded within the Departmental Administration account only.]

Figure III-7  
Federal Travel and Transportation  
of Persons Schedules

DEPARTMENT OF ENERGY							
FY 19BY OMB BUDGET							
FEDERAL PERSONNEL EXPENSES SUMMARY SCHEDULE							
-----							
(In thousands of dollars)							
FY 19PY		FY 19CY		FY 19BY			
-----		-----		-----			
B/A	B/A	B/A	B/A	Decre-	OMB	Program	
-----				mental	Target	Planni ng	
-----				BA/B0	BA/B0	BA/B0	
-----				-----	-----	-----	
Personal Services							
FTS Base Salaries							
OTFTP Base Salaries							
Payments to Other							
Agencies for							
Reimbursable Loans							
Other Compensation							
Total							
Full-time Equivalents							
Average Salary							
Personnel Benefits							
Travel Subject to							
Regulation							

	2019	2020	2021	2022	2023	2024	2025
Support Services							
Contractual Funds							
Other Support Services							
Capital Equipment							
GRAND TOTAL	=====	=====	=====	=====	=====	=====	=====

[To be prepared for activities funded within the Departmental Administration account only.]

Figure III-8  
Federal Personnel Expenses Summary Schedule

DEPARTMENT OF ENERGY  
FY 19BY OMB BUDGET  
OBJECT CLASS FUNDING SUMMARY  
DECISION UNIT 1/  
-----  
(In thousands of dollars)  
FY 19\_\_

Assistant Secretary and immediate staff	2/	2/							
Organizational Units	FTP	OTFTP	Benefits	Travel	Services	Equipment	Total		
-----	---	-----	-----	-----	-----	-----	-----	-----	-----

1/ A separate object class funding summary must be prepared for FY 19PY, FY 19CY, and FY 19BY.

2/ Include full-time equivalent/and positions.

Figure III-9  
Object Class Funding Summary

## 5. OUTLAYS.

- a. The relationship between budget authority, obligations, and outlays should be closely coordinated and thoroughly analyzed. The request for outlay data at the decision unit level will create problems which many organizations may find difficult to handle. Although

there may be no accounting data for outlays at this level, it is nevertheless necessary to provide rational and internally consistent estimates for outlays. Generally, this requires that past year data at the appropriation level be accurately estimated and that current year and budget year data reflect realistically projected spending patterns. Preparation of such estimates generally implies that the type of analysis in the example below be performed at the lowest level for multi-year appropriations:

(In thousands of dollars)

	19PY	19CY	19BY
Budget authority .....	\$1,000	\$1,100	\$1,100
Unobligated balance, start-of-year .	450	475	200
Unobligated balance, end-of-year ...	-475	-200	-500
obligations .....	975	1,375	800
Obligated balance, start-of-year ...	350	310	600
Obligated balance, end-of-year .....	-310	-600	-400
outlays .....	\$1,015	\$1,085	\$1,000

- b. For annual appropriations, where unobligated balances do not carry forward, the unobligated balance entries are irrelevant. Instead, budget authority will be equivalent to obligations, except in the past year where an entry for unobligated balance lapsing may be necessary.
- c. The inclusion of 7 years of data on budget authority and outlays for each decision unit makes it necessary to develop policies for computing and displaying these data in a systematic fashion. Figure III-10 has been constructed to develop the necessary links between budget authority, obligations, and outlays as shown on the program and financing "preprinting" schedules for each appropriation and the budget authority and outlays required on the decision packages and on the Department's multi-year and long-range projections.

DEPARTMENT OF ENERGY FY 19BY OMB BUDGET Energy Supply R&D (OE) Assistant Secretary for Nuclear Energy ANALYSIS OF BUDGET AUTHORITY, OBLIGATIONS AND OUTLAYS ----- (In thousands of dollars)							
Appropriation Summary	19PY	19CY	19BY	19BY+1	19BY+2	19BY+3	19BY+4
	----	----	----	-----	-----	-----	-----

Budget authority
Unobligated balances
Lapsing
Obligations
Obligated balance,
start-of-year
Obligated balance,
end-of-year
Adjustments in expired
accounts
Outlays
Budget Authority and Outlays
by Decision Units
Title
-----
Reactor Systems
BA
0
Commercial Nuclear Waste
BA
0
Spent Nuclear Fuel
BA
0
Advanced Nuclear Systems
BA
0
Total
BA
0
Instructions
-----
This figure provides for the summarization and rationalisation for each appropriation's budget authority and outlay estimates. Budget authority and outlays in the Appropriation Summary section must equal the summary totals shown at the end of the Budget Authority and Outlays by Decision Unit section.

Figure III-10  
Analysis of Budget Authority, Obligations, and Outlays

## 6. SUPPLEMENTAL REQUESTS.

- a. Requests for supplementals are presented differently, depending upon the timing of their submission. Supplementals proposed to accompany the President's annual budget are discussed below. (Supplementals proposed for later transmittal are discussed in DOE 5100.7). Supplementals proposed in the fall are included in the President's annual budget in January, unless an urgent need exists. These supplemental requests are subject to the same due dates as the regular budget submission, that is they are due to the Department when the IRB is requested and are due to OMB on 9-15.

b. For all DOE Elements, requests for a supplemental appropriation are initiated within the organizational element. The request is initially prepared in memorandum form. A example memorandum is shown in Figure III-11. The supplemental request memorandum is reviewed and approved by the appropriate Assistant Secretary and is then forwarded to the Office of Budget together with the regular FY 19BY OMB budget request. This memorandum will include:

- (1) The appropriation affected by the request;
- (2) Funding requirements in terms of budget authority and associated obligations, program costs, and budget outlays;
- (3) A statement of program need for which request is initiated;
- (4) Why the need cannot be accomplished within existing resources;
- (5) Why the need is so urgent that it cannot wait until the next budget cycle;
- (6) The change in expected program accomplishments;
- (7) The reasons for the omission of the request from the regular estimates for the period concerned; and
- (8) Whenever possible, supplementals should be accompanied by recommendations as to where corresponding offsets can be made.

c. Within the Office of Budget, the appropriate branch personnel will review and evaluate the request to determine:

- (1) Applicability within current agency policy;
- (2) Degree of need;
- (3) Alternate actions to accomplish the change required in the request; and
- (4) Adequacy of justification.

d. As necessary, the respective Budget Analysis Branch personnel will discuss the proposed request with program personnel. Following this review, the Office of Budget will prepare a decision memorandum containing recommendations for the Secretary. Upon concurrence by the Controller, the memorandum will be forwarded to the Assistant

Secretary, Management and Administration, for approval and signature. The memorandum will contain:

- (1) Reasons for the request;
  - (2) Requirement for timely action and effect of delays that justify processing the request;
  - (3) Alternatives considered;
  - (4) Appropriation(s) affected; and
  - (5) Amounts being requested.
- e. The relevant Assistant Secretary will be notified of the Controller's recommendation and the Secretary's decision. Following approval by the Secretary to proceed with the request for a supplemental appropriation or a budget amendment, the appropriate Assistant Secretary's staff prepares the material required by OMB Circular No. A-11. This document includes:
- (1) Justification;
  - (2) Appropriation language;
  - (3) Justification of need;
  - (4) Program and financing schedule;
  - (5) Object classification schedule; and
  - (6) Personnel summary, if appropriate.
- f. In preparing the justification for supplementals, the columns of tabular data are somewhat different from the regular budget submission. For supplementals the columns are: FY 19CY current estimate; revised estimate; and proposed supplemental. When preparing appendix materials for proposed supplementals which accompany the President's budget, the FY 19CY column will contain the budget authority requested for the supplemental and the associated budget outlays. The residual budget outlays, if any, will show in the FY 19BY column. Otherwise, the 19PY and the 19BY column are left blank.
- g. Justifications should set forth the reasons for the omission of the

request from the regular estimates for the period concerned, and the reasons why it is considered essential that the additional appropriation be granted during the year instead of obtaining the money as a regular appropriation the following year. Whenever possible, requests for supplementals, whether under existing or proposed legislation, should be accompanied by recommendations as to where corresponding offsets can be made. If the estimate is approved for later transmittal (rather than with the budget), further justification of the supplemental estimate will be required when it is formally submitted. In addition, when a supplemental appropriation will result in a payment to a receipt account, a statement of receipts should be prepared. As necessary, the Budget Formulation Branch, Office of Budget, is available to provide assistance in interpreting the guidance in OMB Circular No. A-11. All justification material is submitted to the Office of Budget for review and forwarding to OMB. OMB may conduct hearings on the request for a supplemental appropriation. The Office of Budget will coordinate and make arrangements for the hearings with the appropriate personnel. Upon OMB approval of the supplemental, the appropriate Assistant Secretary's staff should prepare the congressional justification material (see DOE 5100.7).

DOE F 1325. 8  
(7-79)

U. S. DEPARTMENT OF ENERGY

DATE: October 12, 1982

memorandum

REPLY TO  
ATTN OF: CE-2

SUBJECT: ACTION: Biomass Pilot Plant FY 19CY Supplemental Budget  
----- Request

TO: The Secretary

BACKGROUND:

-----  
A decision must be made as to whether the Department of Energy should pursue a FY 19CY supplemental budget request for the biomass pilot plant currently under construction at Smithdale, Rhode Island. This project is funded under the Energy Supply Research and Development - Operating Expenses Appropriation, 89-0224-0-1-271.

DISCUSSION:

-----  
Biomass Pilot Plant Number 233 is jointly funded by the Department of Energy and XYZ Corporation of Wilmington, Delaware. The project was proposed in the FY 19CY budget and the total estimated cost (TEC) was based upon a plant engineering and design survey completed in FY 19PY-1.



The plant is designed to demonstrate the commercial feasibility of producing ethanol for use in gasohol. A Northeast Coast location was chosen due to the limited number of refineries, the restricted transportation system for the distribution of hydrocarbon distillates, and the heavy dependence of the region upon heating oil for home use. During a winter oil embargo, regional refineries would tax their capacities to produce sufficient quantities of home heating oil and gasoline for the transportation system. A biomass fermenting plant would permit the production of gasohol for the transportation system and relieve the pressure on the middle distillate refining system.

Due to climactic conditions, gasohol has not been commercially accepted in the Northeastern part of the United States. Furthermore, the scarcity and price of available land increases the risk factor involved in the development of a commercial biomass distillation plant.

In a joint funding agreement, the XYZ Corporation has agreed to provide the land and one-half the cost of the construction of facilities and the purchase of capital equipment. The Department will provide the remaining 50 percent of the construction and capital equipment costs and guarantee the purchase price of the first 1,000,000 gallons of gasohol produced in each of the first five years. DOE will receive cost data from the operation of the plant to demonstrate the commercial feasibility of such a facility.

Figure III-11  
Example Supplemental Budget Request Memorandum

2

Requests for procurement (RFP) were prepared for key production and refining equipment for the pilot plant on a "cost plus" basis. Proposals have been reviewed and evaluated.

The building and storage facilities have been completed and the production equipment is to be purchased. However, due to the recent increase in the price of copper, the fermenting vats, cooling coils, and refining equipment, it can no longer be purchased for the original estimates.

The non-DOE participant is increasing their contribution to cover those items for which they are responsible. The additional funds are necessary to cover increases in the costs of items for which the Department is responsible.

The delivery production and refining equipment is essential to the start-up of the facility and the manufacture of ethanol prior to winter.

The following table shows the increased DOE cost of the components:

BIOMASS PILOT PLANT

-----

(In thousands of dollars of budget authority)

Components	Presently Available	Revised Estimated	Proposed Supplemental
DOE funding:			
Fermenting vats	200	300	100
Boilers	500	500	---
Cooling coils	150	350	200
Distillation equipment	300	300	---
Refining equipment	400	600	200
	-----	-----	-----
Total, DOE funding	1,550	2,050	500
Non-DOE funding	3,100	3,875	775
	-----	-----	-----
Total project funding	4,650	5,925	1,275

A detailed analysis and review has been made of the available existing funds. Present contractual commitments and funding for contracts now being finalized will utilize all existing budget authority. Because of the stage of development, no diversion is possible without causing slippages. If the project is delayed pending request of additional funds during the normal budget process, the operational data will be extended into the winter months and the DOE costs could be increased another seventeen percent. The plant capacity can not be reduced to cover the additional costs and still produce sufficient quantities of ethanol to be commercially feasible.

Figure III-11  
Example Supplemental Budget Request Memorandum  
(Continued)

3

OPTIONS:

1. Await the normal budget cycle and extend the operational date of the plant.
2. Request supplemental funds from the Congress.

RECOMMENDATION:

That you approve option 2.

John Doe  
Assistant Secretary  
Conservation and Renewable Energy

APPROVED: \_\_\_\_\_

(In thousands of dollars)

	FY 19BY			
	FY 19CY			Revised
	Appropriation	DOE Request	OMB Mark	Appeal Request
B/A				
B/O				
Staffing				
FTP/Total FTEs				
APPEAL ISSUE:				
1.				
2.				
IMPACT OF ALLOWANCE:				
APPEAL				

Figure III-12  
FY 19BY Appeal Format

DEPARTMENT OF ENERGY FY 19BY OMB BUDGET SUMMARY OF FY 19BY APPEAL ITEMS					
ASSISTANT SECRETARY FOR CONSERVATION AND RENEWABLE ENERGY ENERGY SUPPLY AND DEVELOPMENT (In thousands of dollars of Budget Authority)					
Energy Storage Systems	FY 19BY Request	OMB Mark	Amount Appealed	FY 19BY Revised Request	Explanation
Thermal and Mechanical Storage					Restore funding of Thermal
BA	36,500	30,000	5,000	35,000	Applications
B0	33,800	27,000	3,500	32,000	to FY 19PY
FTE 1/	---	---	---	---	level.

Program Direction					Fund
BA	2,000	1,500	400	1,900	addi ti onal
B0	1,400	1,200	250	1,100	posi ti ons
FTE 1/	57	40	11	51	associ ated
					with pro-
					grammatic
					increase in
					Solar Energy
					Battery
					devel opment.
All Other					
BA	43,500	40,500	---	40,500	
B0	40,500	37,500	---	37,500	
FTE 1/	---	---	---	---	
Total Energy Storage Systems					
BA	82,000	72,000	5,400	77,400	
B0	75,700	66,000	3,750	70,600	
FTE 1/	57	40	11	51	
<hr/>					
1/ Display FTEs: FTP/Total					

Figure III-13  
Summary of FY 19BY Appeal Items

DEPARTMENT OF ENERGY				
FY 19BY OMB BUDGET				
ORGANIZATION:				
APPROPRIATION:				
DECISION UNIT NAME				
-----				
(In thousands of dollars)				
FY 19CY				
-----				
Appropriation	Supplemental Request	OMB Mark	Appeal	Revised Supplement Request
-----				
B/A				
B/O				
Staffing				
FTP/Total FTEs				

FY 19BY IMPACT			
	Supplemental Request	OMB Mark Appeal	Revised Supplement Request
B/A			
B/O			
Staffing			
FTP/Total FTEs			
APPEAL ISSUE:			
-----			
1.			
2.			
IMPACT OF ALLOWANCE:			
-----			
APPEAL			
-----			

Figure III-14  
FY 19CY Supplemental Appeal Format

DEPARTMENT OF ENERGY FY 19BY OMB BUDGET SUMMARY OF FY 19CY SUPPLEMENTAL APPEAL ITEMS					
-----					
ORGANIZATION: APPROPRIATION: -----					
(In thousands of dollars of budget Authority)					
FY 19CY					
Decision Unit Title and Number	Currently Available	Supplemental Request	OMB Mark	Amount Appealed	Revised Request
-----	-----	-----	-----	-----	-----
3 Item No. 1					
BA					
BO					
FTE 1/					
Item No. 2					

