

5100.6a CONGRESSIONAL BUDGET REVIEW

DOE-5100.6A CONGRESSIONAL BUDGET REVIEW
DOE-5100.6

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

ORDER
DOE 5100.6A
5-18-92

SUBJECT: CONGRESSIONAL BUDGET REVIEW

1. PURPOSE. To outline requirements and procedures for the preparation and submission of the Department of Energy (DOE) budget for the Congressional Budget Review.
2. CANCELLATION. DOE 5100.6, CONGRESSIONAL BUDGET REVIEW, of 10-26-83.
3. REFERENCES.
 - a. DOE 2200.4, ACCOUNTING OVERVIEW, of 3-31-88, which establishes the accounting policy, principles, objectives, and responsibilities for DOE.
 - b. DOE 2200.6, FINANCIAL ACCOUNTING, of 10-24-88, which defines capital equipment, low value capital equipment, and object class 3 equipment, and sets forth the policy of DOE for accounting for and funding low value capital equipment acquisition.
 - c. DOE 4300.1C, REAL PROPERTY MANAGEMENT, of 6-28-92, which establishes Departmental policies and procedures for the acquisition, use, and disposal of real estate (real property) or interests therein.
 - d. DOE 5100.5, OFFICE OF MANAGEMENT AND BUDGET - BUDGET PROCESS, of 7-21-83, which outlines requirements and procedures for the preparation and submission of DOE budget for the Office of Management and Budget.
 - e. All other directives with a 5100 classification code that establish policy, procedures, and responsibilities of DOE for budget formulation, execution, review, and analysis in accordance with executive, legislative, and internal management requirements.
4. BACKGROUND. To facilitate the publication and use of budget policies

and procedures, budget instructions are being separated into individual Orders covering the various phases of the budget cycle. The Orders are to be published in the DOE 5100 series and numbered sequentially. The subject directive covers one phase of the budget cycle.

BY ORDER OF THE SECRETARY OF ENERGY:

DONALD W. PEARMAN, JR.
Acting Director
Administration and Human
Resource Management

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CHAPTER I

PRINTED JUSTIFICATION MATERIAL

1. INTRODUCTION.

- a. The congressional budget request culminates the year long budgetary cycle which begins in early January with the issuance of program preparation instructions for the 5-year planning review. Typically, the process begins in late November or early December after receipt of the initial passback of Office of Management and Budget (OMB) allowances on the Department's budget request and before the OMB and Presidential appeal process. Congressional review of the budget consists of several distinct phases in which the Department is involved to varying degrees. The activities in which DOE is involved include:
 - (1) Briefing of congressional staff and press;
 - (2) Preparing and transmitting detailed budget justifications;
 - (3) Congressional hearings and markup sessions; and
 - (4) Congressional appeal process.
- b. The detailed congressional justification documents are developed based on the needs of subcommittee staff, and are transmitted to Congress immediately after the President's budget. In mid-February, House appropriation subcommittees begin their reviews by holding hearings where testimony is taken from DOE officials on areas within their jurisdiction. Transcripts are taken of these proceedings, and within certain restrictions established by the appropriate committee, witnesses may correct or provide information for the record. House subcommittees and committees then markup and report appropriation legislation to the floor for action. Where floor action on individual items in the

budget differs from the request, appeal packages may be developed and transmitted to the appropriate Senate subcommittee. The Senate subcommittees and committees then proceed through a process similar to that of the House which ultimately results in Senate floor action on the proposed legislation. Differences between the House and Senate measures are resolved through conference between selected members of both House and Senate committees. The report of this conference is subject to approval by both the House and Senate.

- c. Detailed instructions are shown below on the preparation of budget justification documents as well as ancillary documents such as obligations and costs by State, laboratory, and budget history tables. Backup and crosscut data are generally prepared at the specific request of the various subcommittees. Several of these are prepared on a recurring basis and are discussed below. Others are prepared only on a one-time basis to meet a specific and short-term need. These will be identified as the need arises.
 - d. This Order does not address the format of supplemental requests or budget amendments submitted to the Congress.
2. **PREVIEW OF THE BUDGET.** The preview of the budget consists of the congressional staff briefing, the press briefing, and the preparation of two preview documents.
- a. **Congressional Staff Briefing.** The Office of Budget (CR-10), in conjunction with the Assistant Secretary for Congressional and Intergovernmental Affairs (CP), briefs the appropriate congressional subcommittee staffs on the major items contained in the President's budget for DOE activities. This briefing is generally done on the Friday prior to submission of the budget on the following Monday. One briefing is held for the staffs of the appropriation and authorizing subcommittees. The Office of Budget, External Coordination Staff (CR-12), is responsible for the overall coordination of the appropriation subcommittee staff briefing while the Office of Congressional and Intergovernmental Affairs coordinates the legislative committee staff briefing. In each case, the House and Senate staffs are usually briefed simultaneously.
 - b. **Press Briefing.** The Office of Public Affairs (PA-1), is responsible for coordinating the press briefing. This briefing is held on Saturday prior to submission of the President's budget to Congress and is generally conducted by the Chief Financial Officer

(CFO) or other Secretarial Officer. Material for this briefing will be developed from the congressional budget request.

- c. Preview Documents. There are two basic documents developed for use at the press and congressional briefings. Each of these documents is printed in sufficient quantities to allow limited distribution to the Congress, press, and public.

- (1) Budget Highlights is prepared by the Office of Budget and provides a capsulized presentation of the DOE budget.
- (2) Annual Report is prepared by the CFO and highlights DOE past year accomplishments and near-term plans.

3. PRESENTATION OF THE BUDGET.

- a. General Guidance.

- (1) The "Budget and Accounting Act of 1921" requires the President to submit annually, within 15 days after Congress convenes, a proposed Federal budget. Within a few days after submission of the Federal budget, each executive department and agency transmits to the appropriate congressional committees and subcommittees, justification materials which explain and support the President's request. As a rule, the justification materials are provided in the manner best suited to the respective committees. In this regard, the Department is governed primarily by the needs of the House and Senate Appropriations subcommittees on Energy and Water Development and Interior and Related Agencies. While the subcommittees' needs may vary slightly from year to year, the basic requirements are consistent and lend themselves to standardization of format. Detailed instructions for the preparation of justification materials, to the extent they are standardized, are shown below. Minor changes requested by the subcommittees will be discussed in the annual call letter issued by the CFO. There are three internal processes necessary to support the preparation of the justification materials:

- (a) Budget Call Letter. The congressional budget process is initiated within the Department through issuance of a congressional budget call letter. This letter is prepared by the Office of Budget, Budget Formulation Branch, and sets out specific guidance for preparation

and transmittal of justification materials. The call letter would normally include information on due dates, program structure, and necessary fiscal guidance.

- (b) **Budget Structure.** The budget structure contained in the congressional call letter represents the minimum level of detail to which the budget justification shall be written. The structure and level of detail is initially set out by the appropriation subcommittees and is used through the Internal Review, OMB, and congressional budget processes. While this structure will undergo a normal evolutionary change during the process, convenience changes are to be kept to a minimum. All changes must be specifically approved by the Director of Budget (CR-10), OMB, and the appropriate congressional appropriations subcommittee.
- (c) **Control Tables.** The Office of Budget, Budget Formulation Branch (CR-132), is responsible for maintaining a system to track budget funding data throughout the annual budget process. This branch will issue control tables (see Figure I-1) setting OMB allowances for budget authority and outlays for current year, and budget year. The justification sent to Congress in support of the President's budget must tie to the numbers in these control tables.

DEPARTMENT OF ENERGY 19BY CONGRESSIONAL BUDGET REQUEST BY APPROPRIATION ----- (In thousands of dollars)						
Account Title	19PY Authori ty	19PY Outl ays	19CY Authori ty	19CY Outl ays	19BY Authori ty	19BY Outl ays

General Science and Research - Summary						
1. Basic Sciences						
A. Life Sciences Research and Nuclear Medicine Applications						
1. General Life Sciences	20545	24087	24410	22900	28530	26900
2. Nuclear Medicine						

	Appl i cat i ons	16401	15441	17590	17000	20000	19000
3.	Program Di rect i on	195	195	237	237	---	---
Subtotal Li fe Sci ences Research		41141	39733	42237	40037	48530	45900
B.	Hi gh Energy Physi cs						
1.	Physi cs Research	63267	50707	71850	70750	76500	76040
2.	Faci l i ty Operations	192145	187139	207300	200782	228100	220984
3.	Hi gh Energy Technol ogy	38730	45691	42050	42050	30380	30230
4.	Program Di rect i on	567	567	624	624	845	845
5.	Other Capi tal Equip ment	2300	2168	2300	20000	2000	2000
Subtotal Hi gh Energy Physi cs		297217	294362	325124	316206	337825	380119
C.	Nucl ear Physi cs						
1.	Medi um Energy Physi cs	44344	42900	57700	50159	58055	54003
2.	Heavy Ion Physi cs	41043	40862	33600	43283	39975	42033
3.	Nucl ear Theory	6083	6019	6100	6486	7000	6970
4.	MSU Cyclotron	---	---	6000	4700	8900	7500
5.	Program Di rect i on	170	170	184	184	270	270
6.	Other Capi tal Equip ment	1000	1360	1000	1000	1300	1175
Subtotal Nucl ear Physi cs		92648	91407	104504	105012	115300	111953
Subtotal General Science and Research		431006	425492	471945	662055	322095	307972
Less Suppl emental s Pay Cost		---	---	-45	-45	---	---
Total , General Science Research		431006	425492	471900	662010	322095	307972
		=====	=====	=====	=====	=====	=====
Excludes Programmati c and Pay Rai se Suppl emental s				Excl udes Al l Proposed Suppl emental s			

Figure 1-1
Control Table

- (2) Since the congressional process begins well before final Presidential decisions are reached on the budget, it must be assumed that all appeals of the initial OMB allowances will be unsuccessful. These allowances will be used as the basis for developing the basic framework of the congressional justification. As these allowances change during the OMB and Presidential appeal process, the justifications will be modified accordingly.

b. Justification Documents.

- (1) The Department's justification materials are provided in a manner best suited to meet the needs of the respective appropriation subcommittees. While most of these materials remain static from year to year, some minor changes may take place as the committees alter their requirements. These revised requirements are identified during meetings held between Office of Budget and appropriation's committee staff. Where changes identified at these meetings are of a continuing nature, revisions will be made to the appropriate Orders. One-time only or short-term changes will be reflected in the annual call letter.
 - (a) Coordination. The Budget Formulation Branch has overall coordinating responsibility for the congressional justification process. All justifications and related documents shall be submitted to the branch for appropriate distribution. The branch coordinates the review of the material submitted; however, suggested revisions shall be transmitted to Departmental Elements through the appropriate branch in the Office of Budget. Final revised documents shall be submitted directly to the Budget Formulation Branch, for printing and distribution to Congress. Single appropriation materials shall be coordinated and consolidated for printing by the Budget Formulation Branch.
 - (b) Conformity with OMB Allowance. The budget, as printed in the Appendix to the President's budget, must be supported by the congressional justification. The Department is not authorized to make any changes in the substantive content of decisions reached by the President and OMB. However, the Department, with the concurrence of OMB, may permit the justifications to

Congress to reflect correction of errors in the appendix on the condition that the Department will explain such discrepancies with the subcommittees before the hearings and provide the reasons why the errors occurred.

- (c) Financial Basis. Financial data reflected in the justification should agree with budget authority and budget outlay control tables. Any departure from amounts shown in these tables must be specifically approved in writing by the Director of Budget. The control tables shall reflect OMB allowances or Presidential decisions for items which were the subject of appeal.
 - (d) Funding requests shall be justified in terms of budget authority. Where budget authority is normally zero, such as the Bonneville Power Administration, narrative and tabular material should reflect obligations instead of budget authority. Past year and current year data will be adjusted for comparability to bring it programmatically in line with budget year structure. Amounts shown in justification material for past and current years will include only actual appropriations to date and will exclude pending program supplementals. Past year data must be consistent with the final SF-133, "Report on Budget Execution," and the "Treasury Combined Statement." Tabular data should be footnoted to explain that program supplementals are pending.
- (2) The "Summary of Estimates by Appropriation," Figure I-2, justification document, which is a dollar summary by appropriation, of the Department's budget year request, will be prepared by the Office of Budget.
- (3) Departmental Elements shall prepare detailed justification documents for transmittal to the Office of Budget for review. These documents include, but are not limited to the following:
- (a) Appropriation Language, Figure I-3. Departmental Elements will prepare the proposed appropriation language as printed in the Appendix to the President's budget. This language uses as a base, the language contained in either the current year appropriation legislation, if enacted, or that proposed in the current

year budget pending before Congress. Changes to this language in the budget year are indicated by brackets ([]) in the case of deletions, or underscores (_) in the case of additions. With the exception of changes in appropriated dollar amounts, any changes to appropriation language must be footnoted and fully explained. These statements should be reflected on the proposed language page and should include an explanation of what change is being proposed and why. Statements should be kept as brief as possible, consistent with the need to fully explain the change.

DEPARTMENT OF ENERGY FY 19BY CONGRESSIONAL BUDGET REQUEST SUMMARY OF ESTIMATES BY APPROPRIATION ----- (In thousands of dollars)				
	19PY Actual		19CY Estimate	
	BA	BO	BA	BO
Appropriations Before the Energy and Water Development Subcommittees:				
Atomic Energy Defense Activities - OE & PACE	2,667,988	2,540,876	2,961,498	2,943,515
General Science and Research - OE & PACE	431,006	425,492	417,900	462,010
//// //// //// //// //// //// //// //// //// //// ////				
SAMPLE IS INCOMPLETE. PARTIAL SHOWN FOR ILLUSTRATIVE PURPOSES ONLY.				
//// //// //// //// //// //// //// //// //// //// ////				
Energy Information Administration	65,644	61,341	87,273	85,273
Economic Regulation	99,233	81,699	152,879	146,932
Subtotal, Appropriations Before the Energy and Water Development Subcommittees	4,736,575	2,272,447	4,196,845	2,761,743

Supplemental s:	---	---	121, 105	79, 297
Total Appropriation Before the Energy and Water Development Subcommittees	4, 736, 575	2, 272, 447	4, 317, 950	2, 841, 040
Total, DOE	10, 867, 300	8, 437, 074	10, 857, 976	9, 337, 422
	=====	=====	=====	=====
	19BY Request			
	BA	BO		
Appropriations Before the Energy and Water Development Subcommittees:				
Atomic Energy Defense Activities - OE & PACE	3, 443, 228	3, 377, 798		
General Science and Research - OE & PACE	522, 895	507, 972		
////	////	////	////	////
SAMPLE IS INCOMPLETE. PARTIAL SHOWN FOR ILLUSTRATIVE PURPOSES ONLY.				
////	////	////	////	////
Energy Information Administration	116, 223	116, 126		
Economic Regulation	162, 471	156, 135		
Subtotal, Appropriations Before the Energy and Water Development Subcommittees	5, 070, 178	3, 596, 983		
Supplemental s:	---	38, 336		
Total Appropriation Before the Energy and Water Development Subcommittees	5, 070, 178	3, 635, 319		
Total, DOE	12, 654, 032	10, 911, 566		
	=====	=====		

Figure I -2
Summary of Estimates by Appropriation

DEPARTMENT OF ENERGY
PROPOSED APPROPRIATION LANGUAGE
DEPARTMENTAL ADMINISTRATION

For salaries and expenses of the Department of Energy necessary for Departmental administration and other activities in carrying out the purposes of the Department of Energy Organization Act (Public Law 95-91), including the acquisition or condemnation of any real property or any facility or for plant or facility acquisition, construction, or expansion or for the purchase, construction, or acquisition of capital equipment and other expenses incidental thereto, the hire of passenger motor vehicles; official entertainment expenses (not to exceed \$35,000) and any moneys received as authorized by section 201 of Public Law 95-238, notwithstanding the provisions of section 3617 of the Revised Statutes (31 U.S.C. 484), \$361,168,000 to remain available until expended.

[Departmental Administration, Operating Expenses]

1/ [For salaries and expenses of the Department of Energy necessary for Departmental administration and other activities in carrying out the purposes of the Department of Energy Organization Act (Public Law 95-91), including the hire of passenger motor vehicles; official entertainment expenses (not to exceed \$228,279,000, of which \$6,165,000 2/ shall be for the Office of Inspector General and any moneys received as authorized by section 201 of Public Law 95-238, notwithstanding the provisions of section 3617 of the Revised Statutes (31 U.S.C. 484), to remain available until expended.]

[Departmental Administration, Plant and Capital Equipment]

1/ [For expenses of the Department of Energy necessary for Departmental administration and other activities in carrying out the purposes of the Department of Energy Organization Act (Public Law 95-91), including the acquisition or condemnation of any real property or any facility or for plant or facility acquisition, construction, or expansion, or for the purchase, construction, or acquisition of capital equipment and other expenses incidental thereto, \$36,015,000 to remain available until expended.]

Explanation of Change

1/ Basic change is a proposed merger of Departmental administration operating and plant and capital equipment appropriations. As a result, the proposed appropriation language for FY 1981 essentially consolidated the language associated with the separate FY 1980 appropriation elements.

2/ There is one modification. There is no specific reference to a funding level or limitation for the Office of the Inspector General (IG) contained within the proposed language. This type of identification is not required since the Department already displays and segregates funding requirements for IG within program estimates.

Appropriation Language

- (b) Summary of Estimates by Appropriation by Major Activity, Figure I-4. This table provides actual prior year, estimated current year and budget year budget authority and outlays. This table is prepared by Departmental Elements for each appropriation using the level of detail indicated by roman numerals in the program structure attached to the annual call letter. Prior year amounts should include all actual appropriations to date made comparable to the budget year. Current year amounts will include actual appropriations to date made comparable to the budget year including enacted supplementals, but excluding pending program supplementals. In the absence of enacted appropriations, current year data should reflect the budget request pending before Congress.
- (c) Amounts Available for Obligation, Figure I-5. This table provides a crosswalk from amounts actually appropriated to total obligational authority. Departmental Elements will prepare this table for each appropriation reflecting only those funds actually within their purview. Where appropriations cross organizational lines, the Budget Formulation Branch will consolidate program submissions to an appropriation summary table.
- (d) Program Overview, Figure I-6. The program overview is a brief narrative which gives a general description of the substantive direction of the program. It is intended to be more programmatic than budgetary in tone. The goals of the program, as well as past year accomplishments and current year expectations, should be included as background. This should lead to a discussion of the general direction the program will be taking in the budget year through the budget year plus 3 years. Include milestones to be met, and the benefits to be derived from, and the cost of meeting those milestones in the 3 outyears. To the extent possible, benefits derived from this particular course of action should be quantified. Statements in the overview should be responsive to the interests of the various congressional committees reviewing the program. Program overviews will be prepared at the level of detail indicated by an

asterisk (*) in the program structure attached to the budget call letter. The structure will also indicate the program organization having lead responsibility for preparing overview statements where a specific program crosses organizational lines.

DEPARTMENT OF ENERGY 19BY CONGRESSIONAL BUDGET REQUEST SUMMARY ESTIMATES BY APPROPRIATION BY MAJOR ACTIVITY GENERAL SCIENCE AND RESEARCH ----- (In thousands of dollars)						
	19PY Actual		19CY Estimate		19BY Request	
	BA	BO	BA	BO	BA	BO
High Energy Physics	194,517	193,827	219,624	217,624	242,245	240,705
Nuclear Physics	14,748	12,502	81,584	79,484	88,800	86,495
Program Direction	1,141	1,583	2,250	2,250	2,250	2,250
Total	\$270,406	\$267,912	\$303,458	\$299,358	\$333,295	\$329,450
=====						
<div> <div></div> <div>Reflects Actual Appropriation Made Comparable to 19BY Budget Structure</div> </div>						

Figure I-4
Summary of Estimates by Appropriation
by Major Activity

DEPARTMENT OF ENERGY 19BY CONGRESSIONAL BUDGET REQUEST AMOUNTS AVAILABLE FOR OBLIGATION ENERGY SUPPLY R&D ----- (In thousands of dollars)		
	19CY	19BY
Appropriation	2,220,923	2,349,904
Proposed Supplementals:		

		Active Solar	156	---
		Photovoltaics	6,000	---
Includes Only Those Supplementals Approved By The Office of Management and Budget	--	Geothermal	5,000	---
		Converter	7,000	---
		Pay Cost	1,670	---
		Subtotal	19,826	---
		Comparative Transfer To:		
		Uranium Enrichment - OE	-718	---
		Comparative Transfer From:		
Reflects Adjustments Required To Make 19CY Comparable To 19BY Budget Structure	---	Atomic Energy Defense Activities	480	---
		Department Administration	871	---
		Subtotal	633	---
		Subtotal, Budget Authority	2,241,382	2,349,904
Real Transfer Shown Only When An Actual Congressional Approved Transfer Takes Place Between Appropriation	---	Receipts and Reimbursements:		
		Unobligated Balances, Start of Year	120,268	---
		Unobligated Balances, End of Year	---	---
		Total, Obligations	2,361,650	2,349,904

Figure I-5
Amounts Available for Obligation

DEPARTMENT OF ENERGY	
19BY CONGRESSIONAL BUDGET REQUEST	
PROGRAM OVERVIEW	

Title	
	Enter Title From Program Structure Attached To Call

		Letter
Identify The Specific Program By Title And Clearly State Its Goal. Provide A Brief Description Of The Activities And Mechanisms Used To Achieve The Stated Goals.	<p>The goal of the XXXXXXXXXX program is to provide alternative means of meeting the nation's energy demands by accelerating the use of renewable energy resources. It supports the YYYYYYYYYY mission area. The program is structured to utilize the full resources of Government to remove economic, technical and institutional barriers; to foster the growth of a solar industry; to provide policies to support the widespread use of solar energy. The mechanisms employed in the program are systems development, market and field tests, financial incentives, and legislative and regulatory policies.</p>	
State In Concise Terms The Accomplishments Achieved In The Present (19CY) Year. Be Specific and Comprehensive.	<p>19CY accomplishments include:</p> <ul style="list-style-type: none"> o Provide incentives background papers and option model analysis to domestic policy review support. o Installer training program implemented in 15 colleges. o Pilot program initiated to disseminate DOE-developed school curricula in selected school districts. 	
State The Specific Program Objectives For The Budget Year And The 3 Out-Years. Ensure That These Objectives Are Directly Responsive To The Public Law Authorizing The Program.	<p>Specific objectives for 19BY to 19BY+3, formulated in response to Public Laws are:</p> <ul style="list-style-type: none"> o Conduct a directed research and technology development program for substantially reducing solar heating and cooling system costs. o Operate an information system to collect, store, evaluate and disseminate user-oriented, technical data relating to energy utilization. o Develop solar system performance standards and criteria for the production and installation of solar energy systems. 	
	Accomplishment of these specific	

State Briefly The Benefits That The Accomplishment Of The Objective Will Produce. Be Responsive In This Statement To The Interests Of The Congressional Committee Reviewing Request.	objectives will help meet the objective of pertinent Public Laws; sustain the interests of private industry, participating government agencies and the general public; and provide an alternative source for meeting the nation's energy needs.
--	---

Figure I-6
Program Overview

(e) Lead Table, Figure I-7. A lead table will be prepared for each section of justification material at the activity level of detail indicated by a roman numeral in the program structure attached to the annual budget call letter. The table should include a breakout of each lower level of detail addressed in the narrative. Funding data included in the tables must be consistent with the statistical table. The table will consist of four columns:

- 1 Prior Year (19PY) Appropriation. Reflects amounts appropriated to date including enacted supplementals made comparable to the 19BY structure. Comparability transfers should be footnoted.
- 2 Calendar Year (19CY) Appropriation. Reflects only amounts actually appropriated to date, excluding all pending supplementals, made comparable to the 19BY structure. Comparability transfers should be footnoted.
- 3 Budget Year (19BY) Base. Reflects amounts appropriated to date as shown on 19CY appropriation column plus pending pay cost supplementals. Pending program supplementals and rescissions are excluded from amounts shown; however, the appropriate entries will be footnoted to indicate that a supplemental or rescission request is currently pending. Only program supplementals approved by OMB should be footnoted. This column should also include nondiscretionary increases to

19CY funding over which the Department has no control. The majority of these items will relate to staffing and supporting activities. Increases or decreases shown here will generally include the following:

- a Increases to basic Federal Telecommunications Systems (FTS) and standard level user charge (rent) costs.
 - b Adjustment for increase or decrease in the total number of compensable days. For example: 1980 contained 262 compensable days including paid holidays while 1981 contained 261.
 - c Estimated statutory pay cost increases. Do not reflect anticipated promotions.
 - d Annualization of positions filled during 19CY. For example, new positions included in the CY appropriations would have only partial funding considering the lapse rate for the delay in filling vacancies. The personnel costs for these positions must be annualized in the BY. Therefore, the difference between full year funding and current year funding would be considered a mandatory increase. Annualized items do not include commitments, phase funded construction, or items which have been authorized by law but not funded in previous years.
- 4 19BY Request. Reflects total amount requested in the President's budget including BY impact of pending CY supplementals.
- 5 Authorization Citation. Reflects citation of legislation which authorize the Department to carry out the program. Citation should reflect organic legislation rather than legislation which authorizes appropriations in accordance with section 660 of the Department of Energy Organization Act.

DEPARTMENT OF ENERGY
19BY CONGRESSIONAL BUDGET REQUEST
LEAD TABLE
NUCLEAR
ENERGY SUPPLY RESEARCH AND DEVELOPMENT

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

	19PY Appropriation	19CY Appropriation	19BY Base	19BY Request
Converter Reactor Systems (NE)				
Thermal Reactor Technology				
Operating Expenses	\$23,900	\$49,500	\$49,500	\$39,000
Capital Equipment	0	500	500	1,000
Subtotal	23,900	50,000	50,000	40,000
Three Mile Island (TMI)				
Examination Activities				
Operating Expenses	0	0 1/	0 1/	7,500
Capital Equipment	0	0	0	1,000
Subtotal	0	0 1/	0 1/	8,500
Advanced Reactor Systems				
Operating Expenses	4,000	4,700	4,700	4,800
Capital Equipment	100	300 2/	300 2/	200
Subtotal	4,100	5,000	5,000	5,000
Gas Cooled Thermal Reactors				
Operating Expenses	39,500	0	0	0
Capital Equipment	2,500	0	0	0
Subtotal	42,000	0	0	0
Program Direction				
Operating Expenses	941	1,298	1,411	1,465
Subtotal	941	1,298	1,411	1,465
Total				
Operating Expenses	68,341	55,498	55,611	52,765
Capital Equipment	2600	800	800	2,200
Converter Reactor Systems	\$70,941	\$56,298	\$56,411	\$54,965
Staffing				
FTP/Total FTEs	181/199	188/191	188/191	195/199

Authorization: Section P. L. 83-703

1/ Excludes a pending supplemental request of \$7,000,000 operating expense.

2/ Excludes a pending supplemental request of \$2,500,000 capital

equipment.

Figure I-7
Lead Table

- (f) **Summary of Changes, Figure I-8.** A summary of changes table will follow each lead table in the justification material. This table is an itemized list of the dollar changes which occur between the current year appropriations enacted and the budget year request. The table is not intended to be a justification but rather an identification of proposed changes. The summary of changes table must agree with the preceding lead table. Accordingly, the list should be split into two categories: required increases and program increases or decreases. Required increases will identify the differences between the 19CY appropriation and the 19BY base columns of the lead table. Program increases or decreases will identify differences between the 19BY base and 19BY request columns of the lead table. The program increase itemization is generally a summary of the increases discussed in the narrative justification. The summary of changes explains specific elements while the narrative justification explains the reasons for the increases.

DEPARTMENT OF ENERGY 19BY CONGRESSIONAL BUDGET REQUEST SUMMARY OF CHANGES ENERGY SUPPLY RESEARCH AND DEVELOPMENT ----- (In thousands of dollars)		
19CY Appropriation enacted	\$56,298	Must Agree With 19CY Column Of Lead Table.
Built in increases and decreases:	----	
Pay cost supplemental	+113	
19BY base	\$56,411	Must Agree With 19BY Base Column Of Lead Table.
Program increases and decreases:	----	
Thermal Reactor Technology		

o Orderly close out of High Temperature Reactor	-25,000	
o Light Water Reactor (LWR) Uranium		

Utilization expansion of scope to include longer range improvements	+3,000	
o LWR occupational exposure/productivity improvement - establishment of meaningful level of effort	+7,000	
o LWR safety R&D - Expanded effort	+5,000	

Subtotal	\$-10,000	
Three Mile Island (TMI) Examination Activities		

o New initiative (pending supplement in 1980)	+8,500	

Subtotal	\$-8,500	
Advanced Reactor Systems		

None	0	
Gas Cooled Thermal Reactors		

None	0	
Program Direction		

o One staff year increase	+54	

19BY budget request	\$54,965	

		Must Agree With 19BY Request Column Of Lead Table.

Figure I-8
Summary of Changes Table

c. Narrative Justification.

- (1) The narrative justification provides the Congress a detailed, logical explanation of program goals and objectives, the best means for attaining them, and the estimated resources required to do so. The narrative must explain and justify the numbers in the lead table in a consistent and organized fashion. The budget justification material for each appropriation should contain all of the information that is necessary for the Congress to arrive at an informed judgment. The merits of increases must be explained fully, and descriptions of decreases should correctly and adequately describe the policy rationale and should be informative

enough to allow members of the subcommittees to inquire intelligently about their impact. Generally, the justification is arranged so that the first few pages highlight program goals and the components of change proposed in the budget request. The body of the justification is used to describe the existing program and the changes proposed to maintain and improve it. Finally, the budget request provides a variety of standards, financial and workload data, that may be helpful in understanding the characteristics of the organization or appropriation. General guidance for preparing the narrative justification is included in the paragraphs below.

- (2) Be specific in formulating the narrative. Indicate initially the amount of the increase over the current year's budget authority. For example, "The 19BY budget request for the project is \$30 million, a \$10 million increase over the amount appropriated in 19CY." Indicate planned purchases, requested positions, and expected accomplishments. Identify projects of significant size, or of special interest to the Congress. If some, or all, of the funds are not yet allocated, or if no particular project is cited, indicate the unallocated amount as such and indicate that a competition will take place. Reference legislative proposals contained in the President's budget affecting the congressional budget request. Do so at an appropriate point in the narrative and incorporate the proposals into the narrative discussion to the extent feasible.
- (3) Indicate in the narrative the organization (such as Fossil Energy or Energy Research) carrying out the activity.
- (4) Prepare the narrative justification at least to the level shown in the program structure attached to the call letter. Typically, lower level breakdown strengthens the justification, and its use is encouraged. Note carefully the level of detail contained in last year's committee reports, both appropriation and authorization. The same level of detail must be visible in the narrative.
- (5) Initially, state the objectives and goals of the level of effort being justified. Explain how the attainment of these objectives supports the program objectives cited in the program overview. Orient the remainder of the justification toward the following:

- (a) State the reasons supporting both the particular dollar amount requested, and the specific number of personnel needed in order to meet the stated objectives. For example, explain why a requested \$10 million is required to meet a project's objective as opposed to \$11 million or \$9 million. Provide comprehensive studies or detailed evaluations that have been completed and that have identified the amounts requested at the optimum level of commitment. Provide, also, supporting workload data.
 - (b) Explain in detail the benefits to be realized at the particular level of funding and staffing in the request. State the benefits in terms of quantifiable data wherever possible. For example, use terms such as the number of barrels of oil to be saved at this level as opposed to a higher or lower level of resource commitment.
 - (c) Describe the geographic location at which funds will be expended whenever possible. If funds are partially spent in the field, state the percentage of funds that will be spent and indicate the state or geographic location.
- (6) In addition, provide, in the first portion of the narrative, a discussion of the operating expenses portion of the program followed by the capital equipment and plant requirements. Although the funding for plant and capital equipment may be in a different appropriation, discuss it as part of the appropriate program. For example, capital equipment and construction items for the solar small power system are funded in the energy supply research and development plant and capital equipment appropriation. The operating expenses for the solar small power systems are funded through the energy supply research and development-operating expenses appropriation. Regardless, all of the requirements for the solar small power systems should be discussed at the same physical location in the narrative justification.
- (7) Use tabular data within the justification to lend clarity to the explanation of the program and to reduce the narrative.
- (8) New initiatives (initiatives that have never been attempted before in a particular area) should be especially highlighted

in the narrative.

- (9) Identify in each narrative a separate justification of the personnel required to support the requested level of effort. Include in the justification only the dollars for personnel compensation, benefits and travel for personnel at both Headquarters and program specific field locations supporting this level of effort. The full spectrum of support services for direct funded positions such as those in the Energy Information Administration (EI), Economic Regulatory Administration (RG), the power administrations, and certain entire, or segments of, field organizations should be justified and budgeted by the cognizant organization in the appropriate program.
- (10) Explain the need for the particular number of full-time equivalents required in the budget year when justifying staffing resources. Use workload data to the maximum extent possible to describe the attempts made to absorb the additional workload and the reasons these attempts were unsuccessful. For example, if it is stated that 300 people are required to process 3000 dockets, indicate the workload data supporting the number of 300 people. State the length of time required for one person to process one docket. Provide specific workload data to support the request.

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 2200.4, ACCOUNTING OVERVIEW. 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.

- (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.

- (5) 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 19BY. The data sheets shall be prepared as illustrated in Figure I-11, page I-41, "Plant and Capital Equipment," and Figure I-12, page I-47, "Operating Expenses Funded," using the amount of space required for the presentation under each section. Continuation pages shall be used as necessary. The data sheet 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 Organization, Resources and Facilities Management (AD-10) prior to submission of the Internal Review Budget (IRB). Construction Project Data Sheets or Conceptual Design Reports should be submitted to CR-10 prior to the scheduled field review. Projects with complete and valid conceptual designs will be given priority consideration for inclusion in the budget. Failure to provide complete Construction Project Data Sheets or Conceptual Design Reports prior to the field review will jeopardize support for the project and the validation process.
- (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), 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 assume 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 addition involving the construction, modification, 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 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 II-12.

- (c) Data sheets for the multiprogram general purpose facilities program will be submitted for those projects selected by the multiprogram 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 judgments 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.
- (3) The following detailed instructions govern the preparation of construction project data sheets, Figure I-11, page I-41.
- (a) Item 1, Title and Location of Project.
 - 1 Each project title must be unclassified.
 - 2 Project titles shall be sufficiently short and descriptive to permit ready reference.
 - 3 Project title should not include specific building or area numbers.
 - 4 In typing project titles, an initial capital shall be used for the first word in the project title and for proper names.

5 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.
- 1 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.
 - 2 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&D) 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.

- 1 Figure 1-9 is a financial schedule as required for all construction projects.

Fi scal Year	Authori zati ons	Appropri ati ons	Obl i gati ons	Costs
Pri or Years	\$50, 000	\$30, 000	\$30, 000	\$ 5, 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 1-9
Fi nanci al Schedul e - Constructi on Proj ects

- 2 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 I-10.

Fi scal Year	Obl i gati ons	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	\$6, 000	\$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 I-10
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 date. 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.

- 1 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.
- 2 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.
- 3 Describe other structures, such as pits, tunnels, towers, bunkers, stacks, and other enclosures not included in subparagraph (h)2 above.
- 4 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.

- 5 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.
- 6 Describe any standard equipment included in this project such as office and laboratory furniture and equipment, hoists, and machine tools.
- 7 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.
- 8 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.
- 9 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. 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.
- 10 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 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:
- 1 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.
 - 2 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.
 - 3 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 therefor, 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.
 - 4 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.
 - 5 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.

- 6 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.
- 7 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.
- 8 If the data sheet shows both a previous cost estimate and a current cost estimate on line 5 and 6 of Figure I-11, explain the factors involved in determining the revised estimate.
- 9 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.
- 10 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 the case of replacement facilities, include comparative data for the facilities being replaced.
 - a 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.

- b For research or development facilities, including new research machines, show separately the operating costs, maintenance costs, the total cost of the research or development program to be carried out, and the incremental program cost related to occupation of the new building.
 - c In all cases, the basis for these estimates of annual cost for operations and maintenance should be included.
- 11 For any construction project which requires the conduct of a research and development (R&D) 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 costs for the budget year and for each future year of such R&D will be included for such project (see page I-36 paragraph 4c(3)(m)1b). The justification for GPP shall set forth major known subprojects and examples of cost, a brief physical description, and a concise narrative justification.

(j) Item 10, Detail of Cost Estimate.

- 1 This section of the data sheet consists of an estimate for each of the account classifications listed in subparagraph (j)3 below. Under each of the classifications give a breakdown of the costs, indicating significant units and costs wherever possible. Include only those classifications that are applicable to the projects. All costs should be presented in current year dollars.
- 2 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 cost 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 cost while those performed for Title I and II are charged to plant and capital equipment.

- 3 The account classifications to be used, together with explanatory notes, are provided below:
 - a 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.
 - b 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 4300.1C, for regulations concerning the acquisition of real property.
 - c 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 construction 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 in paragraph 4c(3)(h)3, page I-27.
 - iv Special Facilities. Identify major engineered equipment, and special systems, as described in paragraph 4c(3)(h)4, page I-27. 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 in paragraph 4c(3)(h)5, page I-27, and the total cost. Where this subitem constitutes a major portion of the project, units, unit costs, and total costs should be shown.
- d 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 paragraph 4c(3)(h)6, page I-27. Costs shall include any engineering effort required.
 - e Major Commuter Items. List and provide costs for each major computer item as described in paragraph 4c(3)(h)7, page I-27.

- f 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.
- g 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.
- h 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.
- i 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.
- j 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 I design is 25 percent complete."
- k 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 on which estimate is based; and factors affecting the contingent amount. The method to be used in showing these footnotes is noted in item 12 below.

- 1 Normally costs should be rounded off to the nearest \$10,000 for item costs and to the nearest \$100,000 for total costs.
 - m 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:
- 1 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.
 - 2 Design and inspection will be performed by the 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 contain 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 using the amount of space as required for presentation under each section. If items 12 and 13 are not required, so indicate on the data sheet "items 12 and 13 are not required."

(m) Detailed Instructions in Completing Items 12 and 13.

The cost estimates in item 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.

1 Total Project Cost.

- a 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.
- b 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 a narrative explaining and justifying each cost provided.
 - iv All costs under subparagraphs i and iii, above, shall be escalated to the year of expenditure.
- 2 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).

- a 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 the facility.
 - b Include programmatic effort which relies upon the direct and primary use of the facility. Provide a yearly estimate and narrative justification.
 - c An estimate of annual capital equipment needs not related to construction but related to the programmatic effort shown in item 2, above, should be included. The accompanying narrative should explain any expected installations of new programmatic related capital equipment.
 - d Include a yearly cost estimate and narrative justification of GPP or other expected construction related to programmatic effort included in item 2 above. Include the man-years of effort required to maintain and repair the facility.
 - e Any other expected annual costs should be listed with an accompanying narrative.
- 3 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.

(4) The following instructions govern the preparation of "Construction Project Data Sheets - Operating Expenses Funded," Figure I-12, page I-47. This document should be prepared only if the project is in procurement, fabrication, or construction phases in the 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 19BY. The schedule is not required if the project is still in the conceptual design stage in the 19BY. Figure I-12 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, subparagraphs (c)4 and (c)6, provide the cumulative obligations for prior (before 19PY) year, the B/A, Obligations and B/O for the 19PY, the B/A and B/O for the 19CY and 19BY, and an estimate of future year requirements (BA/BO) through completion of the project.
 - 1 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.
 - 2 R&D Related to Construction. Includes conceptual design and any other R&D related to the construction of the facility.
 - 3 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.
 - 4 Direct Project Related Support Costs. Includes all other operating expense funds, such as inventories and training.

- 5 Capital Equipment. Includes equipment to be used in the construction of the facility or for facility operations.
 - 6 Total Operating Expenses. Summation of subparagraphs (4)(c)1 through 5 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 (4)(c) and (4)(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).
- 1 Design and Construction.
 - 2 Facility Operations and Maintenance.
 - 3 Other.
 - 4 Total Non-DOE Funding.
- (g) Total Project Cost. Summation of items (4)(b) through (4)(e) 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) Current Year Achievements. Provide a narrative description of achievements relating to the development of the project in the current year.
- (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 paragraph 4c(3)(j)3j, page I-34.

DEPARTMENT OF ENERGY 19BY CONGRESSIONAL BUDGET REQUEST 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 Fuels 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 I-11
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 I-11
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 |
|---|------------------------|
-
9. Purpose, Justification of Need for, and Scope of Project (continued)
-
- 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.

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 I-11
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
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/

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 I-11
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
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 \$1.48/10⁶ 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 I-11
Construction Project Data Sheets -
Plant and Capital Equipment Funded

DEPARTMENT OF ENERGY
19BY CONGRESSIONAL BUDGET REQUEST
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)

Reedy Creek Utilities Demonstration Plant DOE Idaho Field Office						
Total Estimated Cost (TEC) \$14,945,000						
(Tabular dollars in thousands. Narrative material in whole dollars.)						
	Cumulative Prior Years	FY 1980 Actual			FY 1981 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

Reedy Creek Utilities Demonstration Plant DOE Idaho Field 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 I-12
Construction Project Data Sheets -
Operating Expenses Funded

Reedy Creek Utilities Demonstration Plant DOE Idaho Field 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 throughput; (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 I-12

Construction Project Data Sheets -
Operating Expenses Funded

Reedy Creek Utilities Demonstration Plant
DOE Idaho Field 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.

Figure I-12
Construction Project Data Sheets -
Operating Expenses Funded

Reedy Creek Utilities Demonstration Plant
DOE Idaho Field 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 at 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 I-12
Construction Project Data Sheets -
Operating Expenses Funded

DOE-5100.6A/CII
CHAPTER II - ANCILLARY MATERIAL
ISSUE DATE: 05-18-92
LAST CHANGE:
CHANGE DATE:

DOE-5100.6A CONGRESSIONAL BUDGET REVIEW
DOE-5100.6

CHAPTER II

ANCILLARY MATERIAL

1. **CONTRACT LISTING.** A separate listing of potential contracts must be included for programs funded in the interior appropriations. Identify in this itemization all potential contracts, their estimated amounts, and the program structure levels of effort they support. Use the format in Figure II-1. No narrative is required in the contracts listing. The need for those items will be included in the program narrative justification.
2. **SPECIAL EXHIBITS FOR POWER MARKETING.** In the past, the Power Marketing Administrations have included in their justification material, several special exhibits which are unique to those organizations. These organizations should continue to prepare whatever other figures and tables necessary to strengthen their presentation and/or are agreeable with the appropriate congressional committees. Typically, these exhibits have included:
 - a. **Transmission System Map (PMA).** A map showing the parameters of the transmission system will be included in the congressional justification in the format shown in Figure II-2.
 - b. **Systems Statistics.** Statistics of the power systems will be presented in the format shown in Figure II-3. Those stub entries which are not applicable to the organization preparing the exhibit need not be included in the array.
 - c. **Power Marketed, Wheeled, or Exchanged by Project.** The power marketed, wheeled, or exchanged exhibit should be prepared in the format shown in Figure II-4.
 - d. **Pending Litigation.** A table showing the litigation involving each power marketing organization will be prepared in the format shown in Figure II-5. This exhibit must be prepared even though no

litigation is pending.

3. **ANCILLARY DOCUMENTS.** In addition to the above mainline justification materials, the congressional committees require several ancillary documents which are prepared and submitted in conjunction with the printed justification. Those meeting of a one-time or short-term need will be identified and discussed in the annual budget call letter. Those of recurring nature are discussed below.

DEPARTMENT OF ENERGY 19BY CONGRESSIONAL BUDGET REQUEST 19BY CONTRACT LISTING ECONOMIC REGULATORY ADMINISTRATION ----- (In thousands of dollars)	
	Estimated Amount -----
Fuel s Conversion -----	
o Exemption Petitions (155)	
- Engineering Analysis (155)	\$ 1,783
- Financial Analysis (124)	2,356
- Environmental Analysis NEPA Compliance (155)	10,850
- Fuel Supply and Transportation Analysis (155)	1,550
o Prohibition Orders (15)	
- Engineering Analysis	255
- Financial Analysis	336
- Environmental Analysis and NEPA Compliance	1,575
- Fuel Supply and Transportation Analysis	225
o Other Contracts	
- 525 Court Reports (Pre-petition/Pre-proposal Order Conferences)	263
- Hearings	850
Total, Fuel s Conversion	<u>\$20,043</u>
Utility Programs and Regulatory Intervention -----	
Regulatory Assistance:	
o Commission Grants	\$10,000
o Innovative Rate Projects	8,122
o Consumer Offices	2,000
o Technical Assistance	1,000
- On-Site Projects	
- Workshops	
o Regulatory Research	1,000
- Interstate Cooperation	
- Regulatory Resources and Management	

o Direct Regulatory	2,003
- Reports Analysis	
- Gas and Electric Rate Design Analysis	
- Conservation	
- Load Management	
Subtotal, Regulatory Assistance	\$24,125
Power Supply and Reliability:	
o Follow-on studies with Canada and Mexico to ensure benefits of international interconnections are achieved	140
o Investigation and analysis of power system disturbances (case specific)	250
o Continuance of studies vulnerability and responses of power system to coal strikes, oil embargoes, etc	255
o Follow-up studies to NEA mandated work on power system reliability	300
o Technical analysis, investigation and documentation in support of regulatory interventions related to new source technologies and cogeneration	175
o Powerplant performance outreach activities (workshops for regulatory, utilities, etc.)	50

Figure II-1
19BY Contract Listing

***** DATABASE NOTE:

ATTACHMENT OF FIGURE II-2 - TRANSMISSION SYSTEM MAP (PMA) (PAGE II-3)
IS NOT INCLUDED IN DATABASE, DUE TO ITS FORMAT.

DEPARTMENT OF ENERGY 19BY CONGRESSIONAL BUDGET REQUEST SYSTEMS STATISTICS			
ORGANIZATION TITLE	Identify Specific Power Marketing Administration		
(In thousands of dollars)	19PY Actual	19CY Estimate	19BY Estimate
Generating Capacity:			
Installed Capacity (KW)	7,600,000	7,000,000	8,100,000
Leasing Capacity (KW)	---	---	---
Peak Capacity (KW)	8,000,000	8,500,000	8,520,000
Generating Stations:	Enter The Number Of Projects And Switch Yards In Items 1 & 2.		

Generating Projects (No.)	Enter Capacity In Item 3.	12	12	12
Substations/Switchyards (No.) a/		270	265	265
Substations/Switchyards (KVA Capacity)		17,000,000	17,100,000	17,200,000
Available Energy: b/				
Energy Generated (Megawatt-Hours)		29,000,000	29,600,000	29,250,000
Energy Purchased (Megawatt-Hours)		6,000,000	6,10,000	6,500,000
Energy Available For Marketing (Megawatt-Hours)		35,000,000	35,700,000	35,750,000
Transmission Lines (Circuit Miles):				
800 KV		---	---	---
500 KV	Include Only The Stub Items That Apply To Your Operations. For Example	94	94	94
345 KV	If Transmission Lines (Circuit Miles) Do Not	900	1,100	1,200
230 KV	Include 800 KV Line, Then Do Not Include This Line Item.	6,000	6,000	6,300
161 KV		1,000	1,015	1,015
138 KV		300	300	300
115 KV		6,000	5,600	5,600
49 KV and Below		1,100	1,100	1,100
Total Circuit Miles		15,394	15,209	15,609

Figure II-3
Systems Statistics

DEPARTMENT OF ENERGY	
19BY CONGRESSIONAL BUDGET REQUEST	
POWER MARKETING, WHEELED OR EXCHANGED BY PROJECT	

ORGANIZATIONAL TITLE	Enter 19PY, Actual Power. 19CY and 19BY Estimated Power In Gigawatts (GWH).
-----	-----

				Identify Specific Power Marketing Administration.		
List In Columns 1 and 2. The Title Of Project And The State Served. Provide Complete State Name. Do Not Abbreviate.		Enter Number Of Plants For Projects		Enter Installed Capacity. In Kilowatts (KW) For Each Project Listed		
Project	State	No. Of Plants	Installed Capacity (KW)	19PY Actual Power (GHW)	19CY 1/ Estimated Power (GHW)	19CY 1/ Estimated Power (GHW)
Power Marketed						
Eklutna	Alaska	1	20,000	193	157	159
Snettisham	Alaska	1	47,200	75	92	101
Total, Power Marketed		2	67,200	268	249	260
Power Wheeled and Exchanged		Enter Power Wheeled And Exchanged Data In The Format Described Above		5		
Eklutna	Alaska	1		28	40	40
Total, Power Wheeled and Exchanged		Compute And Enter The Totals For Plant, Installed Capacity And Actual And Estimated Power For Power Wheeled And Exchanged				
		1		28	40	40
1/Represents power delivered to customer in designated state.						
Compute And Enter Total Capacity (Column 4), Total Actual Power (Column 3), And Total Estimated Power (Column 6 & 7) For Power Estimated. Also Enter The Total Of All Plants.				Use Footnotes as Appropriate To Clarify Statistical And Dollar Data. For Example, Use Footnotes To Provide Additional Detail Of Allocation Of Power To Specific Projects. User Identification Or Limitation Of Installed Capacity Or Actual Power.		

Figure II-4
Power Marketed, Wheel ed, or
Exchanged by Project

DEPARTMENT OF ENERGY 19BY CONGRESSIONAL BUDGET REQUEST		
<div style="border: 1px solid black; padding: 2px;">Identify Pending Litigation, Tort Action And Contract Claims Under Separate Subheadings</div>	<div style="border: 1px solid black; padding: 2px;">PENDING LITIGATION ----- ORGANIZATION TITLE -----</div>	<div style="border: 1px solid black; padding: 2px;">Enter Title Of Specific Power Marketing Administration</div>
<p>Associated Electric Cooperative, Inc. v. Harris, No. XXXX-XX (D. D. C. ; filed June 10, 1968) seeks declaratory and injunctive relief from the application of an annual \$1.6 million rate schedule transmission charge for service furnished plaintiff under contract. Plaintiff's Motion for Summary Judgement was granted by the District Court March 8, 1970. On April 18, 1971, the Court of Appeals for the District of Columbia reversed that decision, and remanded the case for resolution of issues of fact. Rehearing was denied December 16, 1974. (See Associated Electric Cooperative, Inc. v. Harris, XXX XXXX XXXX (D. C. 1974)). Plaintiff's Application for a Writ of Certiorari to the Supreme Court was denied November 16, 1975. On September 25, 1977, the District Court, following oral argument, dissolved the March 8, 1970 injunction and ordered plaintiff to begin immediate payment of the transmission charge and of one-half of the charges occurred since 1968. Formulation of an Order fixing trial issues and appointing a Special Master to take evidence is pending.</p>		
<div style="border: 1px solid black; padding: 5px; min-height: 80px;"> <div style="border: 1px solid black; padding: 2px;">Provide An Explanation Of The Issues, Order Contested, Potential Actions, And Plea As Applicable.</div> </div>		
<p>o Each Power Marketing Administration must complete this figure.</p> <p>o If no pending litigation, tort action or contract claims actions are in process, enter the title of the figure and type "NONE" in the center of the page.</p>		

Figure II-5
Pending Litigation

- a. Budget History Tables, Figure II-6. These tables reflect the BY funding levels reached at various stages throughout the annual budget cycle. In addition to current year data, the table provides budget authority and outlays for the organization's budget year request, the Department's OMB request, and the OMB

allowance. The table is prepared by the Budget Formulation Branch and is distributed to the organizations for review and modification. It is developed by appropriation at the decision unit level of detail. Current year supplemental requests are included in the programmatic detail but are backed out in the appropriation summary total.

b. Total Estimated Obligations and Costs by State, Figure II-7.

- (1) In compliance with congressional requirements, the Department will prepare and submit concurrently to Congress with the budget justification material, a costs by state analysis. This report will provide current year obligation and outlay and budget year estimated budget authority and outlay data broken down by State and territory. This report will be coordinated and developed by the Budget Formulation Branch based on data received from the program organizational elements. With the exception of the State and local program under the conservation appropriation, the report is prepared to the activity level indicated by roman numeral in the program structure attached to the budget call letter. The State and local program will be prepared at the statistical table level of detail. Information shall be provided by program organizations for use in furnishing Congress with the necessary data on amounts included in the budget year request for DOE programs in the various States and territories. Data shall be prepared and submitted in duplicate in the manner shown in the attached Figure II-8 to the Budget Formulation Branch for distribution. Stub entries on the report will be separated by operating expenses, capital equipment, and construction.
- (2) The statistical table issued by the Budget Formulation Branch reflecting the final OMB allowances for the budget year will provide control numbers for the current year outlays and the budget year budget authority and outlays. The base table issued by the Budget Execution Branch will provide the control numbers for the current year obligations. These numbers should be adjusted by any anticipated end of year balances carried in the President's budget appendix and should exclude reimbursable obligations. Submissions should be consistent with these control numbers and with the budget justifications to be sent to Congress. Current year data should reflect only enacted appropriations to date adjusted by unobligated balances carried in and out. All

supplementals (including pay cost), deferrals, and rescissions will not be reflected in the current year or budget year. Obligations and costs should be reported in the State or territory in which the production or research and development contractor is physically located. Items or services procured by Headquarters or a field organization for a production or R&D prime contractor should be reported in the State in which the using contractor is physically located. While data are not requested at the specific contractor level of detail, program organizations must be prepared to furnish this information if needed.

DEPARTMENT OF ENERGY BUDGET HISTORY TABLE ----- (In Thousands of Dollars)						
A/S CODE	ACCOUNT TITLE	FY 1983 B/A ENACTED	FY 1984 B/A A/S REQ.	FY 1984 B/A OMB REQ.	FY 1984 B/A CONG. REQ.	
20009	High Energy Physics					
20010	Operating Expenses	269,200	323,300	277,000	331,000	
20011	Plant and Capital Equipment	95,300	129,700	83,000	99,000	
20012	Total, High Energy Physics	364,500	453,000	360,000	429,000	
20019	Nuclear Physics					
20020	Operating Expenses	112,510	125,500	106,300	113,350	
20021	Plant and Capital Equipment	21,510	32,300	15,900	17,600	
20022	Total, Nuclear Physics	133,881	157,800	122,200	130,950	
20030	High Energy and Nuclear Physics Prog.					
20031	Direction (GS)	1,935	1,800	2,000	2,000	
20130	General Reduction - ER (GS)	---	---	---	---	
20140	Cost Outlay Adjustment - ER (GS)	---	---	---	---	
20151	FY 1982 Deferral - ER (GS)	-5,000	---	---	---	
991590	Total, General Science	495,316	612,660	484,200	561,950	
991591	(Operating Expenses)	(209,745)	(450,600)	(385,300)	(446,350)	
991592	(Plant and Capital Equipment)	(285,571)	(162,000)	(989,000)	(115,600)	

Figure II-6

Budget History Table

DEPARTMENT OF ENERGY				
19BY CONGRESSIONAL BUDGET REQUEST				
TOTAL ESTIMATED OBLIGATIONS AND COSTS IN THE STATE OF ALABAMA				

(In thousands of dollars)				
	19CY Estimated Obs	19CY Estimated Outlays	19BY Estimated B/A	19BY Estimated Outlays

Energy Supply Research and Development				
Solar Technology				
I. Biomass	288	487	0	0
II. Photovoltaics Energy Development	15	15	0	0
	-----	-----	-----	-----
Total, Solar Technology	303	502	0	0
Geothermal				
Geothermal	0	7	0	0
	-----	-----	-----	-----
Total, Geothermal	0	7	0	0
Environment				
I. Environmental Research and Development	34	34	40	40
	-----	-----	-----	-----
Total, Environment	34	34	40	40
Basic Research				
I. Basic Energy Sciences	50	50	55	55
II. University Research Support	130	130	180	180
	-----	-----	-----	-----
Total, Basic Research	180	180	235	235
	-----	-----	-----	-----
Total, Energy Supply Research and Development	517	723	275	275
Fossil Energy Research and Development				
Coal				
Coal	3,700	2,730	7,250	7,279

Total , Coal	3, 700	2, 730	7, 250	7, 279
--------------	--------	--------	--------	--------

Figure 11-7
Total Estimated Obligations and
Cost in the State of Alabama

DEPARTMENT OF ENERGY 19BY CONGRESSIONAL BUDGET REQUEST TOTAL ESTIMATED OBLIGATIONS AND COSTS BY STATE - WORKSHEET GENERAL SCIENCE AND RESEARCH HIGH ENERGY PHYSICS ----- (In thousands of dollars)				
Operating Expenses	19CY Estimated Obligations	19CY Estimated Outlays	19BY Estimated B/A	19BY Estimated Outlays
-----	-----	-----	-----	-----
Al abama	---	---	---	---
Al aska	---	---	---	---
Ari zona	298	298	310	310
Arkansas	---	---	---	---
Cal i forni a	108, 278	105, 450	153, 195	142, 995
Col orado	205	205	820	820
Connecti cut	2, 238	2, 150	2, 090	2, 090
Del aware	---	---	---	---
Di stri ct of Col umbi a	13, 569	16, 085	18, 916	18, 916
Fl ori da	869	869	844	844
Georgi a	105	105	115	115
Hawai i	975	975	1, 040	1, 040
I daho	---	---	---	---
I lli noi s	181, 062	176, 859	192, 250	196, 650
I ndi ana	2, 324	2, 236	2, 700	2, 700
I owa	865	845	980	980
Kansas	45	45	50	50
Kentucky	---	---	---	---
Loui si ana	290	290	360	360
Mai ne	---	---	---	---
Maryl and	1, 822	1, 822	2, 020	2, 020
Utah	---	---	---	---
Vermont	---	---	---	---
Vi rgi ni a	66	66	220	220
Washi ngton	790	745	800	800
West Vi rgi ni a	---	---	---	---
Wi sconsi n	3, 335	3, 215	3, 100	3, 100
Wyomi ng	---	---	---	---
New Hampshi re	65	65	60	60
Ameri can Somoa	---	---	---	---
Guam	---	---	---	---
Northern Mari ana Isl and	---	---	---	---

Puerto Rico	---	---	---	---
Trust Territories	---	---	---	---
Virgin Islands	---	---	---	---
Unallocated Headquarters	5,122	6,789	7,532	9,107
Less - Revenues	---	---	---	---
Total, Department of Energy	322,323	319,114	387,402	383,177
	=====	=====	=====	=====

Figure II-8
Total Estimated Obligations and
Cost by State - Worksheet

- c. Laboratory Tables, Figure II-9. Each year the congressional committees require the Department to furnish an analysis of its budget year request by major laboratory. This report is coordinated and developed by the Office of Budget, Budget Formulation Branch, based on input from organizational elements. The report is prepared at the activity level indicated by roman numeral in the program structure attached to the budget call letter. In this report, prior year, current year, and budget year data for each major activity will be shown on a single page, Figure II-10. Prior year and current year will reflect obligations and outlays while budget year data will include budget authority and outlays. Data will be presented in whole numbers. 19PY columns will incorporate the effects of pay cost and program supplementals, rescissions, and deferrals. The 19CY and 19BY columns will not reflect these factors as they are merely proposals at this time. Stub entries on the report will be separated and subtotaled by operating expenses, capital equipment, and construction. Major laboratories will be listed by category: program dedicated, and production, testing, and fabrication facilities. In addition, the stub will include an unallocated entry which is defined as the difference between the amount distributed to the listed laboratories and the total available within the activity.

DEPARTMENT OF ENERGY					
19BY CONGRESSIONAL BUDGET REQUEST					
ESTIMATES FOR LABS/PLANT					

(In thousands of dollars)					
19PY		19CY		19BY	
-----		-----		-----	
OBS	Outlays	OBS	Outlays	OBS	Estimated B/O

Total Energy Supply Research and Development	10,665	10,574	10,150	11,821	11,060	11,300
Fossil Energy Research and Development						
III. Surface Coal Gasification	---	100	100	90	---	---
V. Advanced Research and Technology Development	252	252	257	---	---	---
VI. Advanced Environmental Control Technology	---	---	417	375	310	279
Total, Coal	252	357	517	455	310	279
Total Fossil Energy Research and Development	252	357	517	455	310	279
Uranium Enrichment Uranium Resources and Enrichment						
III. Uranium Resource Enrichment	85	85	75	75	75	75
Total Uranium Resources and Enrichment	85	85	75	75	75	75
Total Uranium Enrichment	85	85	75	75	75	75
Departmental Administration Policy and Management						
II. Changes in Inventories and Other Adjustments	14	14	10	9	10	10
Total Policy and Management	14	14	10	9	10	10
Total Departmental Administration	14	14	10	9	10	10
	=====	=====	=====	=====	=====	=====

Figure II-9
Estimates for Laboratories and Plants

DEPARTMENT OF ENERGY 19BY CONGRESSIONAL BUDGET REQUEST ESTIMATE FOR LABORATORIES AND PLANTS - WORKSHEET GENERAL SCIENCE AND RESEARCH BASIC SCIENCES ----- (In thousands of dollars)						
	19PY Estimate		19CY Estimate		19BY Estimate	
	OBS	B/O	OBS	B/O	OBS	B/O
Contractors						

Operating Expenses:						
Energy Technology						
Laboratories:						
Ames Laboratory	1,035	1,085	930	940	1,065	1,065
Argonne National						
Laboratory	14,195	14,814	13,535	13,835	15,020	15,020
Brookhaven National						
Laboratory	60,198	60,789	56,505	67,210	75,775	75,775
Hanford Engineering						
Development						
Laboratory	---	---	---	---	---	---
Idaho National						
Engineering Lab.						
(excluding ICPP)	134	105	---	40	---	---
Lawrence Berkeley						
Laboratory	35,809	35,758	37,091	37,171	41,945	41,945
Lawrence Livermore						
Laboratory	205	214	210	220	235	235
Los Alamos Scientific						
Laboratory	33,934	35,218	35,473	37,475	40,450	40,450
Oak Ridge National						
Laboratory	9,280	9,473	9,218	9,578	10,200	10,200
Pacific Northwest						
Laboratory	100	95	95	95	150	150
Sandia Laboratories	---	---	---	---	---	---
Savannah River						
Laboratory	---	---	---	---	---	---
Program Dedicated						
Laboratories:						
Solar Energy Research						
Institute	---	---	---	---	---	---
Bettis Atomic Power						
Laboratory	---	---	---	---	---	---

(LIST OTHER LABS AS APPROPRIATE)						
Nuclear Materials Production:						
Paducah Gaseous Diffusion Plant	---	---	---	---	---	---
(LIST OTHER FACILITIES AS APPROPRIATE)						
Subtotal	---	---	---	---	---	---
Capital Equipment:						
(List Estimates for Each Contractor as Appropriate)						
Subtotal	---	---	---	---	---	---
Construction:						
(List Estimates for Each Contractors as Appropriate)						
Subtotal	---	---	---	---	---	---
Total, DOE	154,890	157,551	163,057	166,564	184,840	184,840
	=====	=====	=====	=====	=====	=====

Figure II-10
Estimates for Laboratories and Plants - Worksheet

4. **ADP BUDGET DATA.** As part of the congressional budget submission the Department is required to identify and justify all major items of ADP equipment proposed for the budget year (BY) in the appropriate narrative justification section of the funding or landlord program; submit a consolidated crosscut summary table of all major items of ADP equipment for the past year (PY), the current year (CY), and budget year (BY); and, prepare lease versus purchase financial alternative analyses supporting the method of acquisition of major computer systems.
 - a. **Major Item Identification.** A major item of ADP equipment is defined as a component or group of components having a total estimated purchase cost of \$400,000 or more including relatable capitalizable costs. The determining factor for a major item of ADPE 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 ADPE is a major item of ADP equipment 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 justification section of 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 by 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.

- b. Major Computer Requirements Crosscut Summary. In addition to the requirement to identify and justify all major items of ADP equipment in the narrative justification sections of the appropriate program budget, 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 or requiring funds during either the PY, CY, or BY. The Office of Information Resources Management Policy, Plans, and Oversight, AD-24, is responsible for coordinating the preparation of the consolidated Departmental crosscut computer table for submittal to appropriate congressional committees by the CFO. In a manner similar to that for the OMB crosscut summary computer table, AD-24 will prepare an initial computer table subsequent to Presidential determinations for cognizant Headquarters program division review and markup. After this review process is completed, AD-24 will prepare a final Departmental crosscut computer table for submission to Congress by the CFO.
- c. Financial Alternative Analyses. Pursuant to a standing request, the Department is required to provide the House appropriations committee with lease versus purchase financial alternative analyses to support the proposed method of acquisition for each BY

request for a major computer system. During each congressional budget cycle, AD-24 will identify those major computer systems that require supporting lease versus purchase financial analyses and will coordinate the preparation of this information with cognizant Headquarters Elements. The basic input for the preparation of this information will come from data contained in the ADP and data communications long-range site plans submitted in response to the annual call letter from the CFO. After this coordination and review is completed, AD-24 will provide these analyses to the CFO for submission to the appropriate congressional committees in conjunction with the budget justification materials.

5. CROSSCUT DOCUMENTS. Crosscut analyses will be prepared to consolidate related functions that are being funded within the Department of Energy in several different areas. While these analyses are prepared during previous phases of the budget process, it is necessary to update them to reflect final Presidential allowances. Any questions concerning the preparation and content of these tables should be discussed with the appropriate Budget Analysis Division branch of the Office of Budget.
 - a. Safeguards Estimates, Figure II-11, page II-19. (Page II-16, contains instructions for safeguards and security estimates.)
 - b. Safeguards and Security Estimates - Construction Projects and Subprojects, Figure II-12, page II-20.
 - c. Summary of Fire, Safety, Occupational Safety and Health Administration (OSHA), Environmental Projects, Figure II-13, page II-21.
 - d. Summary of General Plant Projects, Figure II-14, page II-22.
 - e. Summary of General Purpose Facilities, Figure II-15, page II-23.
 - f. Summary of General Plant Equipment, Figure II-16, page II-24.
 - g. Work Performed by Other Agencies, Figure II-17, page II-25.
 - h. Pilot and Demonstration Plants, Figure II-18, page II-26.
 - i. Changes in Inventories, Figure II-19, page II-27.
 - j. Estimated Obligations for Consultant Services, Figure II-20, page II-29.

k. Summary of Personnel Resources, Figure II-21, page II-31.

6. INSTRUCTIONS FOR SAFEGUARDS AND SECURITY ESTIMATES.

a. Purpose. To provide total safeguards and security budgetary information for all DOE programs which protect classified information, nuclear weapons, nuclear materials, and DOE facilities against theft and sabotage. Included are DOE's safeguards and security activities associated with the research, development, and production of nuclear weapons and special nuclear materials other critical U.S. energy resources; and international nonproliferation. This information allows a systematic overview and evaluation of safeguards and security at all DOE facilities.

b. Guidance For Competing These Figures.

(1) All safeguards and security budgetary information should be allocated to operating, capital equipment, or construction (Figure II-11). Budget authority and budget outlays for each of 3 years are needed (19PY, 19CY, and 19BY).

(2) As part of Figure II-11, indicate the percentage of the safeguards and security funding at each location that deals with the protection of nuclear weapons and special nuclear materials.

(3) A financial schedule for all safeguards and security construction projects should be provided in Figure II-12, Part A.

(4) In Figure II-12, Part B, general plant projects should show, for comparison purposes, the obligations and costs incurred for similar work in the two preceding years.

(5) Copies of current Schedules 44's, "Construction Project Data Sheets," should be provided as backup.

c. Descriptions of Safeguards and Security Activities.

(1) Research and Development. Includes research and development for safeguards and security activities outlined in paragraphs 6c(2) through 6c(6) of this Chapter.

(a) Analysis and evaluation of existing systems, and development of improved or new systems.

- (b) Improved or new research and development technology.
 - (c) Test and demonstration of prototype equipment and systems in the operating environment.
 - (d) Provision of expert field assistance in the implementation of proven systems and equipment.
 - (e) Work accomplished in support of international nonproliferation activities.
- (2) Facility Security for Special Nuclear Materials Classified Matter, Property. Protection of DOE Headquarters and field, area offices, and contractor sites against sabotage, unauthorized entry and exit (except for those activities reported under Nuclear Control and Accountability), damage, destruction or theft of property or classified matter.
- (3) Communications.
- (a) Communication systems for monitoring DOE-owned materials/property.
 - (b) Systems for monitoring shipments of DOE-owned material (special nuclear materials and other) when integrated with secure transportation facilities below.
 - (c) Voice or digital communications between vehicles.
 - (d) Escorts, central stations, and local law enforcement agencies.
 - (e) Other safeguards and security communications equipment and devices installed and operational within and between DOE fixed sites.
- (4) Transportation. Transportation of weapons, components, special nuclear materials and other materials, and DOE-owned nuclear materials.
- (5) Nuclear Material Control and Accountability.
- (a) Exit monitoring of personnel, packages, and vehicles to detect covert special nuclear materials removal.

- (b) Escorts, tamper-indicating seals, and administrative controls to monitor authorized special nuclear materials removals.
 - (c) Instrumentation and stationary special nuclear materials detectors, hand-held portable detector equipment and additional personnel as necessary.
 - (d) Accountability systems for supervised control and accountancy based on measurement or validation of prior measurement of all nuclear material flows and inventories.
 - (e) Provisions for or modifications to provide substructure material balance areas and consequent process control equipment and instrumentation.
 - (f) Custodians for material balance areas and storage vaults.
 - (g) Assay instrumentation and selected internal controls for batch by batch and shift by shift control of material to provide timely nuclear material alarm capability along previously identified diversion paths.
- (6) Emergency Response and Recovery Capability.
- (a) Detection and recovery of special nuclear materials, weapons components, precious metals, or other items of national security interest, which have been lost or stolen.
 - (b) Methods for detecting and locating lost material, provision for standby instruments (portable, vehicle mounted, airborne, etc.) recovery teams, and contingency plans for organizing and conducting a recovery action.
 - (c) Exercises conducted as part of contingency planning.
- (7) Program Direction. Safeguards and security staffing for Departmental organizations.
- (8) Security Investigations. Information is to be provided by the Office of Security Affairs (SA) only. All other programs should indicate a "zero" for this activity.

DEPARTMENT OF ENERGY
19BY CONGRESSIONAL BUDGET REQUEST
SAFEGUARDS AND SECURITY ESTIMATES
APPROPRIATION NAME
MAJOR CATEGORY TITLE
19BY ESTIMATES

(In thousands of dollars)

Organization: _____

(Insert Name of Contractor, Field or Headquarters Location as
applicable in each column)

	B/A	B/O	B/A	B/O	B/A	B/O
	-----	-----	-----	-----	-----	-----
Operating:						
Research and Development	\$ 300	\$ 300	\$ 300	\$ 300	\$ 300	\$ 300
Facility Security	100	100	100	100	100	100
Communications	50	50	50	50	50	50
Transportation	50	50	50	50	50	50
Nuclear Material Control and Accountability	25	25	25	25	25	25
Emergency Response and Recovery	25	25	25	25	25	25
Program Direction	20	20	20	20	20	20
Security Investigations	15	15	15	15	15	15
Total	585	585	585	585	585	585
Capital Equipment:						
Research and Development	100	100	100	100	100	100
Facility Security	30	30	30	30	30	30
Communications	15	15	15	15	15	15
Transportations	15	15	15	15	15	15
Nuclear Material Control and Accountability	10	10	10	10	10	10
Emergency Response and Recovery	10	10	10	10	10	10
Program Direction	20	20	20	20	20	20
Security Investigations	15	15	15	15	15	15
Total	215	215	215	215	215	215
Construction:						
Research and Development	200	200	200	200	200	200
Facility Security	70	70	70	70	70	70
Communications	35	35	35	35	35	35
Transportations	35	35	35	35	35	35
Nuclear Material Control and Accountability	15	15	15	15	15	15
Emergency Response and Recovery	20	20	20	20	20	20

Program Direction	20	20	20	20	20	20
Security Investigations	15	15	15	15	15	15
Total 1/	410	410	410	410	410	410
Subtotals:						
Research and Development	600	600	600	600	600	600
Facility Security	200	200	200	200	200	200
Communications	100	100	100	100	100	100
Transportations	100	100	100	100	100	100
Nuclear Material Control and Accountability	50	50	50	50	50	50
Emergency Response and Recovery	55	55	55	55	55	55
Program Direction	60	60	60	60	60	60
Security Investigations	45	45	45	45	45	45
Total	\$1, 210	\$1, 210	\$1, 210	\$1, 210	\$1, 210	\$1, 210
	=====	=====	=====	=====	=====	=====
of work dealing with SNM and nuclear weapons	35%		35%		35%	
	-----		-----		-----	
1/ Identify in summary dollar amounts allocated to GPP.						
	B/A	B/O	B/A	B/O		
	-----	-----	-----	-----		
Operating:						
Research and Development	\$ 300	\$ 300	\$ 300	\$ 300		
Facility Security	100	100	100	100		
Communications	50	50	50	50		
Transportation	50	50	50	50		
Nuclear Material Control and Accountability	25	25	25	25		
Emergency Response and Recovery	25	25	25	25		
Program Direction	20	20	20	20		
Security Investigations	15	15	15	15		
Total	585	585	585	585		
	-----	-----	-----	-----		
Capital Equipment:						
Research and Development	100	100	100	100		
Facility Security	30	30	30	30		
Communications	15	15	15	15		
Transportations	15	15	15	15		
Nuclear Material Control and Accountability	10	10	10	10		
Emergency Response and Recovery	10	10	10	10		
Program Direction	20	20	20	20		
Security Investigations	15	15	15	15		

Total	215	215	215	215
Constructi on:				
Research and Devel opment	200	200	200	200
Facili ty Securi ty	70	70	70	70
Communi cati ons	35	35	35	35
Transportati ons	35	35	35	35
Nuclear Materi al Control and Accountabi lity	15	15	15	15
Emergency Response and Recovery	20	20	20	20
Program Di recti on	20	20	20	20
Securi ty Investi gati ons	15	15	15	15
Total 1/	410	410	410	410
Subtotal s:				
Research and Devel opment	600	600	600	600
Facili ty Securi ty	200	200	200	200
Communi cati ons	100	100	100	100
Transportati ons	100	100	100	100
Nuclear Materi al Control and Accountabi lity	50	50	50	50
Emergency Response and Recovery	55	55	55	55
Program Di recti on	60	60	60	60
Securi ty Investi gati ons	45	45	45	45
Total	\$1, 210	\$1, 210	\$1, 210	\$1, 210
of work deal ing wi th SNM and nuclear weapons	35%		35%	
1/ I denti fy i n summary doll ar amounts al l oca ted to GPP.				

Figure II -11
Safeguards and Securi ty Estimates

DEPARTMENT OF ENERGY 19BY CONGRESSIONAL BUDGET REQUEST SAFEGUARDS AND SECURITY ESTIMATES CONSTRUCTION PROJECTS AND SUBPROJECTS (In thousands of dollars) PART A							
Project No.	Title	TEC	Fiscal Year	Auth	App	Oblig	Cost

BY-0-101	Weapons Prod. Fac.	20,000	19BY	10,000	5,000	5,000	1,500
			19BY+1	---	3,000	3,000	4,000
			19BY+2	---	2,000	2,000	3,500
			After 19BY+2	10,000	10,000	10,000	11,000
(Continue for each applicable project)							
General Plant Projects							
PART B							
Project No.	Title	TEC	Fiscal Year	Auth	App	Oblig	Cost
BY-R-201	Safeguards Facility - LLL	2,500	19BY	2,500	1,000	1,000	---
			19BY+1	---	1,500	1,000	1,200
			19BY+2	---	---	500	1,000
			After 19BY+2	---	---	---	300

Figure II-12
Safeguards and Security Estimates - Construction Projects and Subprojects

DEPARTMENT OF ENERGY 19BY CONGRESSIONAL BUDGET REQUEST SUMMARY OF FIRE, SAFETY, OSHA, AND ENVIRONMENT PROJECT (APPROPRIATION NAME) (MAJOR ACTIVITY) (In thousands of dollars)													
				19PY Actual			19CY Estimate			19BY Request			
Priority Number	Project	Location	TEC	B/A	OBS	B/O	B/A	OBS	B/O	B/A	OBS	B/O	
1	XX-R-201	LLL	\$1,000	1,000	1,000	500	---	---	500	---	---	---	
2	XX-R-202	LANL	500	250	250	100	250	250	100	---	---	300	
3	XX-R-203	LANL	500	500	500	250	---	---	150	---	---	100	

Figure II-13
Summary of Fire, Safety, and Occupational Safety and Health Administration Environmental Projects

DEPARTMENT OF ENERGY

19BY CONGRESSIONAL BUDGET REQUEST
SUMMARY OF GENERAL PLANT PROJECTS

(In thousands of dollars)

Contractors -----	19PY Actual			19CY Estimate		
	B/A	OBS	B/O	B/A	OBS	B/O
Mul ti -Program Laboratori es -----						
Lawrence Li vermore Laboratory	\$ 4, 165	\$ 4, 019	\$ 4, 416	\$ 4, 500	\$ 4, 675	\$ 2, 481
Los Al amos Sci enti fi c Laboratory	4, 250	2, 571	4, 325	4, 500	6, 003	2, 531
Sandi a Laboratori es	2, 785	1, 623	2, 064	4, 500	5, 662	1, 711
Subtotal	11, 200	8, 213	10, 805	13, 500	16, 340	6, 723
Other Contractors -----						
Nevada Bendi x	1, 000 500	1, 000 500	1, 000 500	1, 000 500	1, 000 500	1, 000 500
Subtotal	1, 500	1, 500	1, 500	1, 500	1, 500	1, 500
Total , General Pl ant Projects	\$12, 700 =====	\$ 9, 713 =====	\$12, 305 =====	\$15, 000 =====	\$17, 840 =====	\$ 8, 223 =====
Contractors -----	19BY Request					
	B/A	B/O				
Mul ti -Program Laboratori es -----						
Lawrence Li vermore Laboratory	\$ 4, 000	\$ 3, 592				
Los Al amos Sci enti fi c Laboratory	4, 000	3, 186				
Sandi a Laboratori es	4, 000	3, 656				
Subtotal	12, 000	10, 434				
Other Contractors -----						
Nevada Bendi x	1, 000 500	1, 000 500				
Subtotal	1, 500	1, 500				
Total , General Pl ant Projects	\$13, 500 =====	\$11, 934 =====				

Figure II -14
Summary of General Pl ant Projects

(In thousands of dollars)

Figure II-15
Summary of General Purpose Facilities

[illegible]

[illegible]

Figure II-16
Summary of General Plant Equipment

DEPARTMENT OF ENERGY										
19BY CONGRESSIONAL BUDGET REQUEST										
WORK PERFORMED BY OTHER AGENCIES										
(APPROPRIATION NAME)										
(MAJOR ACTIVITY)										

(In thousands of dollars)										
			19PY Actual			19CY Estimate			19BY Request	
			-----			-----			-----	
			B/A	OBS	B/O	B/A	OBS	B/O	B/A	B/O
			-----			-----			-----	
Operating Expenses										

Other Federal Agency										
Name			1,000	1,000	1,000	2,000	2,000	2,000	3,000	3,000
Major Activity										
(one line description										
or title of work)										
Capital Equipment										

Other Federal Agency										
Name			100	100	100	200	200	200	300	300
Major Activity										
(one line description										
or title of work)										
Total, Work Performed			-----	-----	-----	-----	-----	-----	-----	-----
by Other Agencies			1,100	1,100	1,100	2,200	2,200	2,200	2,200	2,200
NOTE: o Show totals for all columns.										
o Show breakout for each Other Federal Agency involved.										
o Include all work being performed by Other Federal										
Agencies that is being funded by DOE appropriation.										
This work must be of a programmatic nature only, not										

administrative or service such as GSA space rentals and office supply procurement.

Figure II-17
Work Performed by Other Agencies

INSTRUCTIONS FOR PILOT AND DEMONSTRATION PLANTS

1. Complete this figure for all pilot and demonstration plants for which the estimate for the construction phase only is \$5.0 million or greater. Includes all project-related costs from R&D prerequisite to design and construction through the demonstration period. For those funded mainly by operating expenses appropriations (as opposed to plant appropriations) data should not be entered unless the project is in the "construction phase," by the end of the 19BY or a joint funding contract has been entered into by the end of 19BY.
2. Include all project or work that is funded jointly by DOE appropriations and non-Federal organizations funding.

DEPARTMENT OF ENERGY
19BY CONGRESSIONAL BUDGET REQUEST
PILOT AND DEMONSTRATION PLANTS
(APPROPRIATION NAME)
(MAJOR ACTIVITY)

(In thousands of dollars)

		Cumulative Prior Year		19PY Actual			
	Location	TEC	OBS	B/O	B/A	OBS	B/O
One Line Description or Title	LANL	\$10,000					
Operating Expenses (DOE)							
Design and Construction		6,000	---	---	6,000	6,000	5,000
R&D Related to Construction		1,000	---	---	1,000	1,000	500
Facility Operations		500	---	---	500	500	250
Direct Project Related Support Costs		500	---	---	500	500	250
Total Operating Expenses (DOE)		8,000	---	---	8,000	8,000	6,000
Capital Equipment (DOE)		2,000	---	---	2,000	2,000	2,000
Other DOE Funding		---	---	---	---	---	---

Figure II-18
Pilot and Demonstration Plants

DEPARTMENT OF ENERGY 19BY CONGRESSIONAL BUDGET REQUEST CHANGES IN INVENTORIES (APPROPRIATION NAME) (MAJOR ACTIVITY) (ROMAN NUMERAL LEVEL) ----- (In thousands of dollars)						
	19PY Actual		19CY Estimate		19BY Request	
	B/A	B/O	B/A	B/O	B/A	B/O

Common Use Stores						
Beginning Balance	200	200	200	200	200	200
Ending Balance	200	200	200	200	200	200
Change	---	---	---	---	---	---

Special Process Spares						
Beginning Balance	300	300	300	300	300	300
Ending Balance	300	300	300	300	300	300
Change	---	---	---	---	---	---

Fuel Fabrication						
Beginning Balance	500	500	500	500	500	500
Ending Balance	500	500	500	500	500	500
Change	---	---	---	---	---	---

Special Reactor Materials						
Beginning Balance	700	700	700	700	700	700
Ending Balance	700	700	700	700	700	700
Change	---	---	---	---	---	---

Isotopes						
Beginning Balance	300	300	300	300	300	300
Ending Balance	300	300	300	300	300	300
Change	---	---	---	---	---	---

Total Change	---	---	---	---	---	---
=====						

Figure II-19
Change in Inventories

7. **CONSULTANT SERVICE ESTIMATES.** As required by Public Laws 96-304, Section 307(a), 96-514, Section 309(b), and 96-528, Section 616(a), each Federal agency must annually submit to Congress an estimate of the amount of funds contained in their budget request for consultant services. This estimate must reflect the amount for consultant services within each appropriation, by organization, and a brief description of the need for consultant services. These estimates will be transmitted to Congress concurrently with the budget justification materials.

a. Each program office should prepare an estimate of the amount of consultant services contained in their budget request for each appropriation. These estimates should be prepared in the format of Figure II-20.

b. Consultant service estimates are divided into six different subcomponents or types. Any consultants hired, special studies done by consultants, and other management and professional services that are contracted for but not solely or clearly identified as being consultant services need to be included. A brief description of each of the type codes is provided below:

(1) Line "C" Consultant Services Contracts. Represents all anticipated obligations to be incurred under contracts clearly and solely designated as contracts for consultant services.

(2) Line "P" Personnel Appointment. Represents the amount to be paid to hire consultants that are employed because of special expertise for a specific period of time and in accordance with prescribed personnel guidelines. For this line the estimated number of consulting workday is also shown.

(3) Line "A" Advisory Committee Expenses. Represents all expenses with conducting or participating in an advisory committee including travel and salaries, whether for DOE employees or hired consultants, whether reimbursed or not reimbursed.

(4) Line "SA" Special Studies and Analyses. Represents obligations in Federal Procurement Data System (FPDS) codes R501 through R599 which are the standard procurement code numbers for special studies and analyses contracts.

(5) Line "MP" Management and Professional Services. Represents

obligations in contracts coded in the FPDS codes R401 through R499 which are the code numbers for management and professional service contracts.

- (6) Line "RD" Management Services for Research and Development Activities. Represents the same type of services as contracted for in lines "SA" and "MP" above only the contracts are funded with research and development funds and are primarily coded as research and development procurement and not as consultant services.

DEPARTMENT OF ENERGY								
ESTIMATED OBLIGATIONS FOR CONSULTANT SERVICES								
FY 19BY CONGRESSIONAL BUDGET REQUEST								
FOSSIL ENERGY								

Appropriation Numbers	Appropriation Title	Type Code	Obligations (In Thousands)			Personnel Appointments Only (Workdays)		
			19PY	19CY	19BY	19PY	19CY	19BY

89X0213	Fossil Energy Research and Development	C	9,496	4,320	0			
		P	120	100	100	60	40	40
		A	58	67	73			
		SA	2,587	1,203	0			
		MP	2,963	1,372	7,540			
		RD	4,846	2,233	0			
	TOTALS		<u>20,070</u>	<u>9,295</u>	<u>7,713</u>	<u>60</u>	<u>40</u>	<u>40</u>
			=====	=====	=====	==	==	==
Narrative Comments:								

Figure 11-20
Estimated Obligations for Consultant Services

8. SUMMARY OF PERSONNEL RESOURCES SCHEDULE. The House Appropriations Subcommittees on Energy and Water Development and Interior and Related Agencies have requested certain personnel related data to assist in

their review of the Department's budget request. Each organization should prepare a summary of personnel resources by appropriation/division unit for the past year, current year and budget year. The funding and FTE levels should be consistent with the object classification schedule contained in the President's Budget Appendix materials. Definitions for these categories are contained in the Department's Budget and Reporting Classifications. The parenthetical numbers on the following chart indicate which column the object class information should appear as shown on Figure II-21.

a. Full-Time Equivalents:

- (1) Full-Time Permanent
- (1) Total FTE's (including OTFTP)

b. Personnel Compensation: Object Class

- (2) Full-Time Permanent 11.1
- (3) Other than Full-Time Permanent 11.3
- (3) Other Personnel Compensation 11.5

c. Benefits:

- (4) Personnel Benefits-Civilian 12.1
- (4) Benefits for former Employees 13.0
- (5) Travel and Transportation Persons 21.1

(6) Contractual Services

- Transportation of things 22.0
- Communications, utilities & other rent 23.2
- Printing and reproduction 24.0
- Supplies and materials 26.0
- Other services 25.0

DEPARTMENT OF ENERGY			
FY 19BY CONGRESSIONAL BUDGET REQUEST			
SUMMARY OF PERSONNEL RESOURCES			
OFFICE OF ENERGY RESEARCH			
FY 19PY ACTUAL OBLIGATIONS			

(Dollar Amounts in Whole Thousands)			
(1)	(2)	(3)	(5)
Full-Time	FTP	Other	Travel

Appropriation/Program	Equivalents		Base	Personnel	(4)	of
-----	FTP	Total	Salaries	Compensation	Benefits	Persons
-----	---	-----	-----	-----	-----	-----
General Science and Research						

General Science Program Direction	29	30	\$ 1,149	\$ 29	\$ 104	\$ 85
-----	---	-----	-----	-----	-----	-----
Subtotal, General Science and Research	29	30	\$ 1,149	\$ 29	\$ 104	\$ 85
Energy Supply Research and Development						

Magnetic Fusion - HQ	64	68	\$ 2,673	\$128	\$ 261	\$223
Biological and Environment Research Headquarters	57	60	\$ 2,265	\$185	\$ 225	\$ 97
Chicago - EML	87	95	2,767	106	298	93
-----	---	-----	-----	-----	-----	-----
Subtotal, Biological and Environment Research Headquarters	144	155	\$ 5,032	\$291	\$ 523	\$190
Supporting Research and Technical Analysis Basic Energy Sciences - HQ	50	53	\$ 1,953	\$ 98	\$ 189	\$123
Advisory and Oversight Program Direction - HQ	49	95	2,160	145	218	133
-----	---	-----	-----	-----	-----	-----
Subtotal, Support Resource and Technology	99	148	\$ 4,113	\$243	\$ 407	\$256
Policy and Management	19	21	641	95	66	29
-----	---	-----	-----	-----	-----	-----
Subtotal, Energy Supply Research and Development	326	392	\$12,459	\$757	\$1,157	\$698
Grand Total						

Headquarters	268	284	\$10,841	\$680	\$1,063	\$690
Chicago - EML	87	95	2,767	106	298	93
-----	---	-----	-----	-----	-----	-----
Total	355	379	\$13,608	\$786	\$1,361	\$783
Appropriation/Program				(6) Contractual	(7)	

	Services	Total
General Science and Research		
General Science Program Direction	\$ --	\$ 1,367
Subtotal, General Science and Research	\$ --	\$ 1,367
Energy Supply Research and Development		
Magnetic Fusion - HQ	\$ 21	\$ 2,206
Biological and Environment Research		
Headquarters	\$ --	\$ 2,772
Chicago - EML	--	6,036
Subtotal, Biological and Environment Research Headquarters	\$ --	\$ 8,808
Supporting Research and Technical Analysis		
Basic Energy Sciences - HQ	\$ 32	\$ 2,395
Advisory and Oversight Program		
Direction - HQ	--	2,656
Subtotal, Support Resource and Technology	\$ 32	\$ 5,051
Policy and Management	4	835
Subtotal, Energy Supply Research and Development	\$ 57	\$16,900
Grand Total		
Headquarters	\$ 57	\$13,331
Chicago - EML	--	3,264
Total	\$ 57	\$16,595

Figure II-21
Summary of Personnel Resources

DOE-5100.6A/CIII
CHAPTER III - CONGRESSIONAL REVIEW
ISSUE DATE: 05-18-92
LAST CHANGE:
CHANGE DATE:

DOE-5100.6A CONGRESSIONAL BUDGET REVIEW
DOE-5100.6

CHAPTER III

CONGRESSIONAL REVIEW

1. CONGRESSIONAL REVIEW OF BUDGET. The congressional review process formally begins with transmittal of the President's budget to the Congress. Immediately following the President's budget, each executive department and agency transmits to the appropriate congressional committees detailed justification documents which explain and support the President's request. The congressional process is essentially divided into three specific phases. In the order by which congressional rules envision action, they are: concurrent budget resolutions; authorization of appropriations; and appropriations.
 - a. Concurrent Budget Resolutions. These resolutions establish spending limitations for the entire Federal budget by functional category. The requirement for the resolutions is contained in the Budget and Impoundment Control Act of 1974. The House and Senate Budget Committees are responsible for developing two concurrent resolutions each year. The first resolution establishes preliminary spending targets for the Federal Government. All legislative and appropriation committees and the Congressional Budget Office provide input in the form of recommendations to the budget committees as to what these spending targets should be. The budget committees are required by law to report the proposed resolution by 4-15 of each year. The resolution will establish targets both in the aggregate and by functional category, for new budget authority and for total outlays. The second resolution differs from the first in that it is reported after many of the appropriation bills have been enacted and the limitations established are binding rather than targets. The second resolution must be finalized by 9-15, and Congress cannot adjourn sine die until a second budget resolution is passed. The Department's input to the concurrent resolution process is channeled through OMB. In late February or early March, OMB provides DOE with computer printouts of the pending appropriation

request, including outyear data. These printouts are then marked up to reflect significant changes (\$50 million or more) in budget spending or receipt projections, and returned to OMB. Each executive department and agency conducts a similar exercise which enables the President to advise Congress of significant changes on a Governmentwide basis.

b. Authorization of Appropriations.

(1) This authorization is a means by which the legislative committees, with full House and Senate concurrence, establish upper limits of funds which may be appropriated for specific programs. The legislative committees develop the authorization of appropriations legislation for DOE on an annual basis as required by section 660 of the DOE Organization Act. The authorization of appropriations for DOE activities is currently under the jurisdiction of several committees in both the House and Senate. In the House, these committees are:

- (a) Armed Services;
- (b) Interior and Insular Affairs;
- (c) Energy and Commerce; and
- (d) Science, Space and Technology.

(2) The Senate committees are:

- (a) Armed Services; and
- (b) Energy and Natural Resources.

(3) The Assistant Secretary for Congressional and Intergovernmental Affairs has overall responsibility for coordination of the DOE internal authorization process. This office serves as liaison with the legislative committees, maintains the DOE calendar of hearings, determines and prepares witnesses, and tracks-committee markups and advises DOE management of changes.

(4) The Office of the General Counsel is responsible for drafting the proposed authorization legislation. To the extent necessary, General Counsel is supported in this effort by the

Chief of External Coordination (CR-12) and the Chief of Budget Formulation (CR-132). The Office of the General Counsel coordinates the clearance of legislation through OMB and transmits the final proposal to the Congress. This office also coordinates the review of hearing transcripts including the preparation of responses submitted for the record. Subsequent to the transmittal of proposed legislation to Congress, the various legislative subcommittees conduct hearings where testimony is taken from DOE officials on areas within their jurisdiction. The subcommittees determine the time and place these hearings are held. Subcommittees then provide the full committees with their recommendations (markup) on the proposed legislation. After engaging in a process similar to that of the subcommittees, the legislative committees report their bills for House and Senate floor action. These bills must be reported by the Committees by 5-15, and before appropriation bills unless a waiver is reported by the House Rules Committee or Senate Budget Committee.

c. Appropriations.

- (1) Appropriation legislation establishes actual funding availability for DOE programs. This legislation is developed and reported by appropriation committees in both the House and Senate. While this responsibility lies with the appropriation committees, in practice, most detailed work is done in the subcommittees which have jurisdiction over specific programs. There are two appropriation subcommittees in both the House and Senate with jurisdiction over DOE programs: Energy and Water Development and Interior and Related Agencies. DOE appropriations reviewed by these subcommittees are:

- (a) Energy and Water Development.

- 1 Atomic energy defense activities; Weapons activities;
 - a Weapons activities;
 - b New production reactors;
 - c Defense environmental restoration and waste management;

- d Materials production and other defense programs;
- 2 General science and research;
- 3 Energy supply research and development;
- 4 Uranium supply and enrichment activities;
- 5 Federal energy regulatory commission;
- 6 Geothermal resources development fund;
- 7 Power marketing administrations;
 - a Alaska Power Administration;
 - b Bonneville Power Administration;
 - c Southeastern Power Administration;
 - d Southwestern Power Administration;
 - e Western Area Power Administration;
- 8 Departmental Administration;
- 9 Special foreign currency;
- 10 Isotope production and distribution;
- 11 Office of the Inspector General; and
- 12 Nuclear waste disposal fund.

(b) Interior and Related Agencies.

- 1 Fossil energy research and development;
- 2 Naval petroleum and oil shale reserves;
- 3 Energy conservation;
- 4 Clean coal technology;

- 5 Strategic petroleum reserve;
- 6 Energy information administration;
- 7 SPR petroleum account;
- 8 Economic regulation; and
- 9 Emergency preparedness.

(2) The appropriation subcommittees, like the legislative committees, hold hearings subsequent to receipt of the President's budget. The Chief of External Coordination Staff is responsible for maintaining the calendar of hearings and will update and distribute this calendar as necessary. The staff is also responsible for determination and prebriefing of witnesses with regard to anticipated questions and issues, and coordination of review of hearing transcripts.

(3) Witnesses at hearings will prepare brief written statements of their testimony which will be placed in the official record of the proceeding. These statements will be developed in accordance with guidelines prepared and submitted to the Chief of External Coordination at least 7 days prior to the hearing date for review and transmittal to OMB for clearance. After the hearing, witnesses will have an opportunity to review the printed transcript of their testimony and make minor and grammatical changes. Under the rules of the various subcommittees, no major substantive changes may be made to testimony at that time. Each of the subcommittees has its own rules governing the method for marking transcripts and the prescribed format of responses submitted for the record.

d. Preparation for Markup. As the appropriation subcommittees prepare to markup the Department's budget request, they request information relative to the anticipated impact of their proposed recommendations on specific DOE programs. Each of the two subcommittees has its own requirements concerning the format to be used in preparing and submitting this information. For the Interior Subcommittee, the data is requested in the form of "capability statements" (see Figure III-1). All statements requested by this subcommittee are presented on a standardized format prescribed by the subcommittee. The Energy and water Development Subcommittee requests "fact sheets" for the data they

require. This subcommittee has not prescribed a standardized format for this information. The data required by the subcommittees are prepared on an "as needed" basis. The initial request is received by the External Coordination Staff which in turn notifies the appropriate Office of Budget, Budget Analysis Division branch of the requirement. The branch then advises and assists the appropriate organizational element in preparing a response to the requirement. The response is then returned to the External Coordination Staff, through the appropriate budget analysis division branch, for review and transmittal to the subcommittee.

- e. **Appeal Process.** The Constitution requires that all revenue measures originate in the House and, by custom, the House claims the right to originate all appropriation measures. Accordingly, the Senate appropriations committees have come to serve as an appellate body for actions taken by the House. Following floor action by the House, DOE is given an opportunity to appeal any part of the floor action to the Senate. Procedures for conducting the appeal differ substantially depending on which subcommittee has jurisdiction over the program involved in the appeal. In preparing for the appeal, regardless of the subcommittee involved, the appropriate program organizations develop a standardized appeal package in every case that the House floor action differs from the Department's request. This package is submitted to the External Coordination Staff, through the appropriate budget analysis division branch for review. This staff has the responsibility for the quality and format control of these submissions. The package is then forwarded to the CFO and higher level officials for approval. The Department's recommendations are subject to review and approval by OMB. The packages are then transmitted to the Senate appropriation subcommittees. The procedures for handling Departmental appeals currently differ between the two Senate appropriation subcommittees having jurisdiction over DOE programs. The Energy and Water Development Subcommittee generally conducts formal "recall" hearings. The process surrounding these hearings is much the same as the regular hearings held at the beginning of the congressional review. The Interior and Related Agencies Subcommittee does not conduct formal hearings. Their consideration of appeal items is based primarily on review of the appeal package and a detailed letter transmitted from the Secretary.

CAPABILITY STATEMENT

Agency/Bureau: (Name of Agency or Bureau)
Appropriation: (Appropriation Account Title)
Activity: (Budget Activity and Subactivity)
Proposed Amendment: (Dollar Amount and Short Description, Including Location)

Current Program: Describe in a narrative form the ongoing program or situation. In the case of construction projects, describes work completed to date. Gives information on what will be accomplished with currently available funding.

Amount Budgeted FY 19--: Indicates the amount already in the budget for the program or project for which the increase is proposed. Also includes appropriation account(s) under which funding is budgeted.

Feasibility: Narrative explanation of feasibility of proposed increase. Explains exactly what additional work could be accomplished if increase were granted. Includes desirability of project, priority of project, and an explanation of how increasing funding will help achieve established program goals. If no legal authority exists for the program, proposed appropriation language should be included.

Capability: Budgetary explanation of proposed increase. Includes specific information on how funding will be utilized, as well as how it will be distributed if applicable (i.e., geographic area, state, National Park or Forest, region, office, station, etc.). Should include information on capability phasing program or project, estimated total cost of project, and any future year budget requirements. If the amount proposed is excessive or insufficient for the specific work involved, a more accurate dollar figure should be suggested.

Outlay Effect: Displays outlay schedule for the amount proposed in the amendment by fiscal year.

ALL INDICATED HEADINGS SHOULD BE INCLUDED ON EVERY STATEMENT. IF MY HEADING DOES NOT APPLY, INDICATE THIS WITH AN APPROPRIATE ENTRY. ALL STATEMENTS MUST INCLUDE INFORMATION ON THE PRIORITY OF THE PROJECT OR PROGRAM. IF NO SPECK PRIORITY IS ASSIGNED, A STATEMENT REGARDING MERIT SHOULD BE INCLUDED.

NOTE: A capability statement is a budget impact summary of proposed adjustments in funding for a specific program or project. It is not a short paragraph stating that if additional funding is provided it will be spent. It is not necessarily a statement of Departmental or agency position. These statements are used by the staff and Committee members as an aid in assessing the merit and outcome of proposed amendments in the markup session.

Figure III-1
Capability Statement

5100.11a BUDGET EXECUTION - OFFICE OF MANAGEMENT AND BUDGET

DOE-5100.11A BUDGET EXECUTION - OFFICE OF MANAGEMENT AND
DOE-5100.11 BUDGET APPORTIONMENT AND TREASURY WARRANT PROCESS

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

ORDER
DOE 5100.11A
5-18-92

SUBJECT: BUDGET EXECUTION - OFFICE OF MANAGEMENT AND BUDGET
APPORTIONMENT AND TREASURY WARRANT PROCESS

1. PURPOSE. To describe the process by which the Department of Energy (DOE) obtains apportionments from the Office of Management and Budget (OMB) and appropriation warrants from the Department of the Treasury.
2. CANCELLATION. DOE 5100.11, BUDGET EXECUTION - OFFICE OF MANAGEMENT AND BUDGET APPORTIONMENT AND TREASURY WARRANT PROCESS, of 5-1-84.
3. REFERENCES.
 - a. "The Budget and Accounting Procedures Act of 1950" (31 U.S.C. 666) defines the legal basis for the issuance of appropriation warrants by the Secretary of the Treasury, who is responsible for the system of central accounting and financial reporting for the Government as a whole.
 - b. "The Anti-Deficiency Act" (31 U.S.C. 1512) which, constrained by the "Congressional Budget and Impoundment Control Act of 1974," provides the legislative basis for the apportionment process by requiring, except as otherwise provided, that all appropriations and funds available for obligation be apportioned.
 - c. "The Congressional Budget and Impoundment Control Act of 1974" (31 U.S.C. 1020 and 1400-1407) establishes the fiscal year to commence on 10-1.
 - d. OMB Circular No. A-34, "Instructions on Budget Execution," which provides detailed instructions and supporting schedules for Federal budget execution as well as the apportionment process.
 - e. Treasury Fiscal Requirements Manual, volume I, section 2040, which prescribes the procedures to be followed in the issuance of Treasury appropriation warrants.

- f. Article 1, section 9, of the Constitution of the United States, which states that, "No money shall be drawn from the Treasury, but in Consequence of Appropriations made by Law" and upon which the apportionment and Treasury warrant process is based.
- g. DOE 2200.5B, FUND ACCOUNTING, of 6-8-92, which prescribes DOE policies, procedures, and responsibilities for administrative control of all funds.
- h. DOE 5100.13A, BUDGET EXECUTION - RESCISSIONS AND DEFERRALS, of 5-18-92, which describes the procedures by which DOE processes rescissions and deferrals.
- i. DOE 5160.1A, REPROGRAMMING, RESTRUCTURING, AND APPROPRIATION TRANSFER PROCEDURES, of 12-01-86, which prescribes policies, criteria and procedures for initiating reprogramming, restructuring, and appropriation transfer actions relating to the appropriation accounts of DOE.

4. BACKGROUND.

- a. The OMB apportionment process makes funds available to Federal agencies for obligation and expenditure. The process is intended to prevent the obligation or expenditure of funds in an account that would require deficiency or supplemental appropriations, and to achieve the most effective and economical use of amounts made available.
- b. The Treasury appropriation warrant provides the formal authority to request withdrawal of money from the Treasury after enactment of the appropriation by Congress. Within the Department of the Treasury, the warrants are the initial step in establishing a fund account by appropriation. Departmental expenditures are drawn against this account.

5. DEFINITIONS.

- a. Apportionment. The distribution made to an agency by OMB of amounts available for obligation in an appropriation or fund account. The distribution makes amounts available for specified time periods, programs, activities, projects, objects, or combinations thereof.
- b. Continuing Resolution. Legislation enacted by Congress to provide budget authority or specific ongoing activities in cases where the

regular fiscal year appropriation for such activities has not been enacted by the beginning of the fiscal year. The continuing resolution usually specifies a maximum rate at which the agency may incur obligations, based on the rate of the prior year, the President's budget request, or an appropriation bill passed by either or both Houses of Congress.

- c. Treasury Appropriation Warrant. The official document issued, pursuant to law, by the Secretary of the Treasury, that establishes the amount of money authorized to be withdrawn from the Treasury for payments of obligations.

6. RESPONSIBILITIES. The Chief Financial Officer is responsible for the following:

- a. Requesting OMB to apportion the funds appropriated by Congress.
- b. Requesting apportionment from OMB for estimated unobligated balances for unexpired funds.
- c. Requesting reapportionments when necessary.
- d. Requesting issuance by the Department of the Treasury of a warrant when necessary.
- e. Recording receipt, of the Treasury appropriation warrant.

7. TIMING. In cases where all or part of the budgetary resources do not result from current action by Congress, initial apportionment requests must be submitted to OMB by 8-21. In those cases where all of the budgetary resources for an account are dependent upon passage of appropriation acts by Congress, initial apportionment requests must be submitted to OMB within 10 calendar days after approval of the new budget authority or by 8-21, whichever is later. During the fiscal year, reapportionment requests must be submitted within 10 calendar days after approval of an appropriation or other substantive act providing budget authority where such authority is enacted after the initial apportionment for the year has been made or as soon as a change in an apportionment previously made becomes necessary. The request for reapportionment of actual unobligated balances are submitted once reconciliation with the final Standard Form (SF) 133 and TFS Form 2108 has been completed.

8. OMB APPORTIONMENT PROCESS.

a. Overview.

(1) Apportionments are requested for the following types of appropriated obligational authority as specified in section 41.1 of OMB Circular No. A-34.

(a) Budget authority;

(b) Unobligated balances;

(c) Reimbursements and other income;

(d) Recoveries of prior year obligations; and

(e) Restorations and writeoffs.

(2) These must be apportioned by OMB prior to obligation irrespective of whether the authority is new or a carryover of unexpired authority from a prior fiscal year.

(3) Types of Apportionments:

(a) Category A. Apportionment by fiscal quarter.

(b) Category B. Apportionment by time periods other than by quarters; for activities, projects, objects; or for a combination thereof.

(4) For no-year and multi-year appropriations, unobligated carryover must be apportioned on an annual basis since apportionments only cover 1 year. In no case will an apportionment cover a period longer than 1 fiscal year. However, unobligated balances apportioned for periods less than 1 fiscal year remain available for obligation through the end of the fiscal year. For example, the unobligated balance of funds apportioned for the first quarter are available for obligation in subsequent quarters of the same fiscal year without reapportionment.

b. Request for Apportionment and Reapportionment.

(1) All requests for apportionment and reapportionment are made by the Office of Budget (CR-131) on SF 132, "Apportionment and Reapportionment Schedule" (Attachment 1). The initial action by OMB based on submission of an SF 132 is termed as

an apportionment; whereas all subsequent actions covering the same appropriation are termed reapportionments.

- (2) Detailed instructions for completing the SF 132 are contained in OMB Circular No. A-34. Supporting detail by program for the request may be submitted along with the SF 132 in the case of unobligated carryover. Requests for apportionments and reapportionments are made at the level of the appropriation or fund account.
- (3) After OMB completes action on a request for apportionment or reapportionment, the SF 132 is returned to the Office of Budget. The Office of Budget distributes copies as required within the Office of Chief Financial Officer and notifies cognizant program organizations of the action by OMB.
- (4) The approved SF 132 from OMB constitutes the authority to obligate funds in accordance with any provisions contained in the apportionment schedule. The amounts apportioned by OMB as indicated on the SF 132 are legal limitations on funds availability and, as such, represent ceilings on the amount that may be obligated pursuant to section 1512 of title 31 U.S.C. For example, if OMB incorporates a program identification into the apportionment schedule, the amount identified is a legal limitation on the use of funds for that program. DOE 2200.5B, provides additional information regarding legal limitations.
- (5) Reapportionments may be required for any of the following:
 - (a) New obligational authority when unobligated carryover for the same appropriation was previously apportioned.
 - (b) Supplemental appropriations.
 - (c) Appropriation transfers.
 - (d) Release of deferrals or denial of proposed rescissions. (DOE 5100.13A, BUDGET EXECUTION - RESCISSIONS AND DEFERRALS, provides a description of the apportionment and reapportionment process relating to rescissions and deferrals.)
- (6) For additional details regarding exceptions to the above list, refer to section 44.4 of OMB Circular No. A-34.

c. Apportionment of Appropriation Transfers.

- (1) An appropriation transfer is the permanent movement of budget authority of balances from one appropriation account to another. An appropriation transfer can be effected only if authority to do so is specifically provided in an appropriation or other act. An appropriation transfer requires the execution of an SF 1151, "Nonexpenditure Transfer Authorization" (see Attachment 2) to transfer the funds on Treasury records. (Questions concerning this form should be referred to CR-131.)
- (2) All appropriation transfers require reapportionment of both the appropriation from which funds are transferred and to which funds are transferred. The procedures for obtaining a reapportionment from OMB for an appropriation transfer are the same as those described in paragraph 7b, above. The reapportionment process is initiated based upon receipt of Congressional approval of the appropriation transfer.

d. Apportionment of Unobligated Balances.

- (1) Within DOE, the apportionment process begins in July preceding the beginning of the budget year with the call for estimated unobligated balances issued by the Office of Budget. OMB regulations require agencies to request apportionment of estimated unobligated balances prior to the beginning of the new fiscal year. It is extremely important to have estimated unobligated balances apportioned if DOE is required to operate under a continuing resolution or to operate without new funding. Unobligated funds not included in the estimates by the program organizations will not be apportioned until actual, year-end accounting data are available in November or December, and thus will not be available for obligation until then.
- (2) When reapportionment requests are prepared to provide for the difference between the estimated reapportionment and the actual unobligated carryover, the total amount apportioned for the unobligated carryover must agree with:
 - (a) The final SF 133, "Report on Budget Execution submitted to OMB for the prior fiscal year; and
 - (b) The "Statement of Unexpended Balances of Appropriations

and Funds," TFS Form 2108, submitted to Treasury for the prior fiscal year.

- (3) This reconciliation is accomplished by the Budget Execution Branch (CR-131) and the Departmental Accounting and Analysis Division (CR-42).
- e. Operating Under a Continuing Resolution. If Congress does not pass an appropriation act by the first day of the fiscal year, they will often enact a continuing resolution which provides that current operations continue at the same rate and time period as the prior year and that no new projects are started. Under the provisions of a continuing resolution, funds may or may not be apportioned by OMB. When an appropriation act is passed, apportionments are requested for the total of the appropriation and, therefore, they will include the amounts provided under the continuing resolution.
- f. Current Year Deobligations of Prior Year Obligations.
 - (1) Individual current deobligations of prior year obligations made under a no-year appropriation or an unexpired multi-year appropriation are automatically withdrawn. Allottees must submit justifications and receive approval prior to any reallocation of funds resulting from the deobligation of prior year obligations. Apportionments for recovery of prior year obligations will be accomplished by the use of the following footnote: "In addition to the amounts apportioned herein, actual recoveries of prior year obligations are automatically apportioned."
 - (2) Funds that are in excess of the amount authorized by Congress or funds proposed for use different than that originally presented to Congress or for purposes not specifically identified to Congress should not be reobligated until approval has been obtained in accordance with the procedures contained in DOE 5160.1A.

9. THE TREASURY WARRANT PROCESS.

- a. In most circumstances, appropriation warrants are prepared automatically by Treasury upon passage of appropriation legislation. Attachment 3 provides an example of TFS 6200, "Department of Treasury Appropriation Warrant." The warrant is received in the Office of Financial Systems and a copy is

forwarded to the Budget Execution Branch to verify that:

- (1) The Treasury warrant and the OMB apportionment provided by the same legislation are reconcilable.
 - (2) The appropriation symbol and the title are the same on both.
 - (3) The legislation citation is the same on both.
- b. When appropriation legislation is passed, Treasury will prepare a warrant to cover full amount of budget authority provided by the appropriation. Details of this process are contained in the Treasury Fiscal Requirements Manual.

BY ORDER OF THE SECRETARY OF ENERGY:

DONALD W. PEARMAN, JR.
Acting Director
Administration and Human
Resource Management