

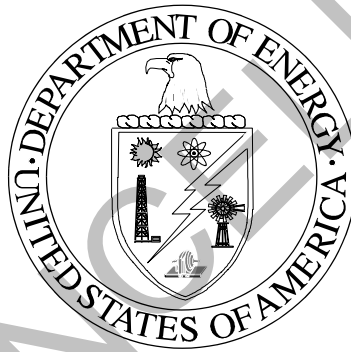
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9-30-95

This directive was reviewed and certified as current and necessary by (Enter Name), (Enter Title)  
Director, Office of Management, Budget and Evaluation/Chief Financial Officer, XX-XX-XXXX.

# **BUDGET EXECUTION MANUAL**

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**U.S. DEPARTMENT OF ENERGY**  
**Office of Chief Financial Officer**  
**Budget Execution Branch**

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**Distribution:**  
All Departmental Elements

**Initiated by:**  
Office of Chief Financial  
Officer

BUDGET EXECUTION MANUAL

1. PURPOSE. This Manual is designed to provide the user with a single source for references, definitions, and detailed procedures for distributing and controlling Department funds. Accordingly, the Manual provides detailed requirements to supplement DOE O 135.1, BUDGET EXECUTION-FUNDS DISTRIBUTION AND CONTROL.
2. SUMMARY. This Manual is composed of five chapters about specific budget execution topics and processes. The chapters are organized to provide comprehensive sources for information related to individual DOE budget execution funds control processes. Chapter I provides general information relating to the DOE concept and schedule for budget execution. Chapters II through IV describe the DOE processes for establishing controls through the base table, apportionment, and approved funding program (AFP) and allotment processes. Chapter V addresses the processes associated with reprogramming, restructuring, appropriation transfers, rescissions, and deferrals.
3. CONTACT. Questions concerning this Manual should be referred to the Office of Budget, Budget Execution Branch, (301) 903-2902.

BY ORDER OF THE SECRETARY OF ENERGY:

ARCHER L. DURHAM  
Assistant Secretary for  
Human Resources and Administration

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CHAPTER I  
INTRODUCTION

1. GENERAL. Proper execution of the Department's budget is critical for DOE to achieve the goals established through the planning and budget formulation processes. Accordingly, the Department has established systems and processes to ensure compliance with public law and Office of Management and Budget (OMB) and Department directives during the budget execution phase. DOE budget execution policies regarding funds distribution and control, and the associated requirements, are contained in DOE O 135.1, BUDGET EXECUTION-FUNDS DISTRIBUTION AND CONTROL. This Manual is intended to complement DOE O 135.1 by addressing the principles, processes, procedures, timing, and other information relative to the distribution and control of the DOE budget.
2. REFERENCES. Procedures for the distribution and control of funds are based on public law, OMB directives, and internal DOE directives. Accordingly, Attachment I-1 identifies references that serve as the basis for the Department's funds control procedures.
3. DEFINITIONS. Critical terminology relative to the funds distribution and control procedures is defined in Attachment I-2.
4. SCHEDULE. The schedule for control and distribution of DOE funds is consistent from year to year; however, specific action dates may vary as a result of the appropriations process. Overall budget execution activities related to the control and distribution of funds are standard and listed below with approximate time frames:
  - a. Call for estimated unobligated carryover (June);
  - b. Call for initial AFPs (July);
  - c. Call for mandatory obligation requirements, if required (September);
  - d. Passage of appropriation acts or continuing resolution (September/October);
  - e. Submit initial apportionment requests for unobligated carryover and/or new appropriations (August);
  - f. Issue base table (quarterly);
  - g. Issue AFPs and Advice of Allotment (monthly);
  - h. Process reprogramming, restructuring, or appropriation transfer requests (as required); and
  - i. Process rescissions and/or deferrals (as required).

#### REFERENCES

1. 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.
2. Title 31, United States Code (U. S. C. ), Section 1301, "Application of Appropriations," which restricts the expenditure of funds to the purposes for which they are appropriated.
3. Title 31, U. S. C. , Sections 1341, 1342, "The Anti -Deficiency Act," which states that no Federal officer or employee may authorize Government obligations or expenditures in advance of or in excess of an appropriation, unless otherwise authorized by law, and that no Federal officer or employee may accept voluntary services except as authorized by law.
4. Title 31, U. S. C. , Section 1512, "Apportionment and Reserves," which provides the legislative basis for the apportionment process by requiring, except as otherwise provided, that all appropriations and funds available for obligation be apportioned.
5. Title 31, U. S. C. , Section 1514, "Administrative Division of Apportionments," which requires establishment of administrative control of funds designed to restrict obligations against an appropriation or fund to the amount of the apportionment or reapportionment, and that the agency head be able to fix responsibility for the creation of any obligation in excess of an apportionment or reapportionment.
6. Title 31, U. S. C. , Section 1517, "Prohibited Obligations and Expenditures," which prohibits making or authorizing expenditures or obligations in excess of available apportioned funds, or amount permitted by regulations under Section 1514, and requires the reporting of violations of this section to the President and the Congress.
7. "The Budget and Accounting Procedures Act of 1950," which 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.
8. "Congressional Budget and Impoundment Control Act of 1974," which establishes the fiscal year to commence on 10-1 (Title 31, U. S. C. , Section 1102), and prescribes the rescission and deferral process (Title 2, U. S. C. , Sections 681-688).
9. Title 31, U. S. C. , Section 1535, "Agency Agreements," (commonly referred to as the "Economy Act") which authorizes a Federal agency to place reimbursable agreements for work or services with other Federal agencies.
10. Section 111 of the Energy Reorganization Act of 1974, as amended, Public Law 93-438, which cites provisions and limitations applicable to the use of operating expenses, expenditures for facilities and capital equipment, new project starts, and the merger of funds.

11. Section 659 of the Department of Energy Organization Act of 1977, Public Law 95-91, which allows the Secretary, when authorized in an appropriation act for any fiscal year, to transfer funds from one appropriation to another, providing that no appropriation is either increased or decreased by more than 5 percent for that fiscal year.
12. Annual authorization and appropriation acts, which may contain specific guidance on Department funding as well as limitations on reprogramming, restructuring, and appropriation transfer actions.
13. OMB Circular No. A-34, "Instructions on Budget Execution," of 10-18-94, which provides instructions on budget execution including apportionments, reapportionments, deferrals, proposed and enacted rescissions, systems for administrative control of funds, allotments, and reports on budget execution.
14. Treasury Fiscal Requirements Manual, Volume I, Section 2040, which prescribes the procedures to be followed in the issuance of Treasury appropriation warrants.
16. DOE 4300.2C, NON-DEPARTMENT OF ENERGY FUNDED WORK (WORK FOR OTHERS), of 12-28-94, which establishes policies, procedures, and responsibilities for authorizing non-DOE funded work.
17. "Government Accounting Office Policy and Procedures Manual For Guidance of Federal Agencies," Title 7, Fiscal Procedures, of 5-18-93, which provides guidance related to agency fiscal processes and financial systems.

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#### DEFINITIONS

1. ACCRUED COST refers to the value (purchase price) of goods and services used, or consumed, within a given period, regardless of when paid.
2. ADMINISTRATIVE DIVISION OR SUBDIVISION OF FUNDS refers to any distribution of an appropriation or fund. Overobligation or overexpending of appropriations, apportionments, and allotments are always violations of the Anti-Deficiency Act.
3. ADVICE OF TRANSFER AUTHORIZATION, or HQ F 2260.2A, is issued to an allottee to document that funds are not available for obligation by DOE because the funds are being made available for obligation to a receiving agency under a transfer appropriation.
4. ALLOTTEE represents the head or other authorized employee of the Department who has been delegated authority to incur obligations pursuant to the term of an allotment.
5. ALLOTMENT is an authorization by either the agency head, or another authorized employee, to subordinate agency employees to incur obligations within a specified amount pursuant to an OMB apportionment or reapportionment action, in accordance with OMB Circular No. A-34, or other statutory authority making funds available for obligation. Allotments convey legal limitations and are made on HQ F 2260.2, "Advice of Allotment."
6. APPORTIONMENT is a distribution made by OMB of the amount available for obligation in an appropriation or fund account. The distribution makes amounts available for time periods, programs, activities, projects, objects, or combinations thereof. The amounts apportioned limit the obligations that may be incurred.
7. APPROPRIATION ACT is an act of Congress that permits Federal agencies to incur obligations and to make payments out of the Treasury for specified purposes. An appropriation act usually follows enactment of authorizing legislation, and is the most common means of providing budget authority. Limitations imposed in appropriations constitute separate legal limitations and will be reflected on allotments.
8. APPROPRIATION (OR FUND) ACCOUNT refers to an account established in the Treasury to record appropriations and other budgetary resources provided by appropriations and authorization statutes and transactions affecting the account. Appropriation or fund accounts are available for incurring obligations in a definite period, as follows:
  - a. One-year or annual accounts are available for obligation only during a specified fiscal year and expire at the end of that time.
  - b. Multiple-year accounts are available for a specified period of time in excess of one fiscal year.



- c. No-year accounts are available for obligation for an indefinite period of time, usually until the objectives for which the authority was made available are attained, or all funds are expended.
9. APPROVED FUNDING PROGRAM (AFP) refers to a document issued to DOE Elements setting forth the funds available for obligation and expenditure (not to exceed the amount allotted) in each appropriation account. It specifies the obligation control levels applicable to each program, subprogram, or activity. The approved funding program represents the detailed breakdown of the allotment for program management purposes. AFPs for operating expenses, plant and capital equipment, and reimbursable work are issued monthly, as necessary, by the Chief Financial Officer (CFO).
10. AUTHORIZATION is the basic substantive legislation enacted by Congress which sets up or continues the legal operation of a Federal program or agency either indefinitely or for a specific period of time or sanctions a particular type of obligation or expenditure within a program.
11. BASE TABLE is the document that displays budgetary resources available for obligation by the Department at a level of detail consistent with Congressional requirements (e.g., conference reports, etc). It is the controlling document that provides the basis for the DOE allotment and AFP systems. It is submitted quarterly to Congressional Committees.
12. BUDGET AND REPORTING CLASSIFICATIONS define the coding structure that parallels Department activities and programs. This structure is used for executing the budget; reporting actual obligations, costs, and revenues; and controlling and measuring actual versus budgeted performance.
13. BUDGETARY RESOURCE refers to the forms of authority given to an agency that allow it to incur obligations. Budgetary resources include the following: new appropriations; unobligated balances from prior appropriations; direct spending authority; obligation limitations; reimbursable agreements granting funds from another agency, and cash advances from non-Federal entities.
14. BUDGET AUTHORITY is the authority provided by law to enter into obligations that will result in immediate or future outlays of Government funds. The basic forms of budget authority are appropriations, contract authority, borrowing authority, and authority to obligate and expend offsetting receipts and collections. Budget authority may be classified by the period of availability (one-year, multiple-year, no-year); by the timing of Congressional action (current or permanent); by the manner of determining the amount (definite or indefinite); or by its availability for new obligations.
15. BUDGET OUTLAYS include the dollar amounts of checks issued, letter-of-credit withdrawals, or other payments made (including advances to others), and net of refunds and reimbursements. The total budget outlay consists of the sum of the outlays from appropriations and funds,

less offsetting receipts. The terms "expenditure" and "net disbursement" are frequently used interchangeably with the term "outlay."

16. CONTINUING RESOLUTION refers to legislation enacted by Congress to provide budget authority for specific ongoing activities and for a specific period of time in cases where the regular yearly appropriation for such activities has not been enacted by the beginning of the fiscal year. A continuing resolution usually specifies a maximum rate at which the Department may incur obligations based on levels specified in the resolution. The levels specified may be current rate, the lower of the amounts provided in appropriation bills passed in the House or Senate, or any other basis set forth in the continuing resolution.
17. CONTRACT AUTHORITY describes a form of budget authority under which contracts or other obligations may be incurred in advance of appropriations or receipts. Contract authority does not provide funds to pay the obligations and thus requires a subsequent appropriation or the use of collections of receipts to liquidate the obligations. Appropriations to liquidate contract authority are not classified as budget authority since they are not available for obligation. Section 401 of the Congressional Budget Act of 1974 limits new contract authority, with few exceptions, to the extent or amount provided by appropriation acts.
18. DEFERRAL is the temporary withholding or delaying the obligation or expenditure of budget authority or any other type of executive action that effectively precludes the obligation or expenditure of budget authority. Budget authority may be deferred to provide for contingencies, to achieve savings or greater efficiency in the operations of the government, or as otherwise specifically provided by law. Budget authority may not be deferred in order to effect a policy in lieu of one established by law.
19. DIVISION CODE is a means of grouping functionally related budget and reporting classifications that identify the Headquarters Element responsible for developing, managing, and revising AFP data for the obligation control levels contained in the DOE base table.
20. GENERAL PLANT PROJECTS are minor new construction projects of a general nature, the total estimated costs of which may not exceed the Congressional authorization of \$2 million per project. General plant projects are necessary to adapt facilities to new or improved production techniques, to effect economies of operations, and to reduce or eliminate health, fire, and security problems. For additional information concerning general plant projects, see DOE 4700.3, GENERAL PLANT PROJECTS, Change 1, of 11-16-92.
21. LEGAL LIMITATION describes a restriction on the use or availability of funds that is placed on DOE in the form of public laws (e.g., appropriation bills) and apportionments from OMB. The basis for this type of limitation is Title 31, U. S. C., section 1514, and OMB Circular No. A-34. Legal limitations are identified on allotments.

22. MAJOR ITEM OF EQUIPMENT is any item of capital equipment, or a group of automatic data processing (ADP) components (e.g., a computer system) having a total estimated purchase value of \$2,000,000 or more, including related capitalizable costs, and not related to construction. [Note: The determining factor for a major item of equipment is the estimated purchase value of the item(s) regardless of whether the actual method of acquisition is purchase, lease, or some combination of the two. Thus, a leased item of equipment is a major item of equipment if the estimated purchase equivalent value of the item is \$2,000,000 or more, even if the annual lease cost is less than \$2,000,000.]
- a. For new items, the purchase equivalent value is based on list, anticipated, or actual purchase price.
  - b. For used items, reutilization of DOE-reassigned, Government excess, or exchange/sale items, the purchase equivalent value is based on the current best estimate market value.
23. OBLIGATION CONTROL LEVEL designates the level at which obligations are to be controlled in the Department, as specified in the DOE base table. An obligation control level is an administrative limitation that represents an upper limit placed on the amount of obligations or expenditures that may be incurred for a specific program, function, activity, or element of expense. This type of restriction is subject to Department, rather than statutory, rules and penalties. Information on the penalties associated with exceeding obligation control levels is contained in the Office of Financial Policy's Accounting Handbook. Obligation control levels can be imposed on DOE by Congress, OMB, or internal Department management (e.g., ceilings on travel). Obligation control levels specified in AFPs may not be exceeded.
24. OPERATING EXPENSES is a broad funding category which normally includes costs of items that do not meet the criteria for monetary amount and service life associated with capitalization (i.e., a cost equal to or greater than \$5,000 and a service life of 2 years or more). Exceptions to this are for those programs whose approved budget structure provides for operating expenses only, such as the Environmental Restoration Program, Strategic Petroleum Reserve, and the Power Marketing Administrations. The Office of Financial Policy's Accounting Handbook provides additional information on the guidelines for identifying operating expenses.
25. PLANT AND CAPITAL EQUIPMENT refers to a broad funding category which includes items of plant and equipment, including both real and personal property, that are owned by DOE and are recorded in the completed plant accounts and meet the monetary and service life criteria for capitalization (i.e., a service life of 2 years or more, and a cost equal to or greater than \$5,000), regardless of the appropriation or fund charged. Group purchases of similar items that each cost less than the minimum (\$5,000), but when combined constitute a significant investment are considered capitalized property, such as automated data processing equipment (ADPE) components. For additional details and exclusions concerning plant and capital equipment, see the Office of Financial Policy's Accounting Handbook.

26. REIMBURSEMENTS are the sums received by the Government for commodities sold or services furnished either to the public or to another Government account that are authorized by law to be credited directly to a specific appropriation or fund account. These amounts are deducted from the total obligations incurred (and outlays) in determining net obligations (and outlays) for such accounts. See the Office of Financial Policy's Accounting Handbook for additional information on processing of reimbursements.
27. REPROGRAMMING is the use of funds in an appropriation account for purposes other than those contemplated by the Congress during appropriation action. Additional information concerning reprogramming is contained in Chapter V of this Manual.
28. RESCISSION is enacted legislation that cancels budget authority previously provided by Congress before the authority would otherwise lapse and no longer be available for obligation. Budget authority proposed for rescission should be retained or held in DOE reserves pending decision on the proposed rescission.
29. RESTRUCTURING is an action that involves using the funds as originally intended in the Department's Congressional budget justification but reporting the funds differently from the form and detail in which the funds were proposed by the President and appropriated by the Congress. Any format change to the DOE base table constitutes a restructuring action and requires that OMB and Congress be notified.
30. SUPPLEMENTAL APPROPRIATION describes an appropriation enacted as an addition to the regular annual appropriation act. Supplemental appropriations may provide additional budget authority beyond original estimates or may propose changes to the appropriation language, which does not affect the amounts previously requested. Supplemental support programs or activities (including new programs authorized after the date of the original appropriations act) for which the need for funds is too urgent to be postponed until the next regular appropriation.
31. TOTAL ESTIMATED COST of a construction project is the gross cost of the project, including the cost of land and land rights; engineering, design, and inspection costs; direct and indirect construction costs; and initial equipment necessary to place the plant or installation in operation.
32. TOTAL OBLIGATIONAL AUTHORITY available to the Department consists of all new budget authority plus the unexpired, unobligated balances brought forward from previous years for obligation, and reimbursements authorized to be credited to a specific account or fund during the fiscal year.
33. TRANSFER APPROPRIATION is an account established to receive and disburse allocations from another appropriation. Such allocations and transfers are not adjustments to budget authority or balances of budget authority. Consequently, the receiving activity must report on obligations and expenses to the issuing activity for reporting under the parent or original appropriation. A transfer appropriation requires a Standard

Form (SF) 1151, "Nonexpenditure Transfer Authorization" to document the transfer. These accounts carry symbols identified with the original appropriation. See the Office of Financial Policy's Accounting Handbook for additional information.

34. TRANSFER BETWEEN APPROPRIATION ACCOUNTS (APPROPRIATION TRANSFER) is the permanent withdrawal of budget authority or balances from one appropriation account for credit to another. An appropriation transfer can be effected only when 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," to transfer cash on Treasury records and the submission of a reapportionment request, SF 132, "Apportionment and Reapportionment Schedule," to OMB.
35. TREASURY APPROPRIATION WARRANT is 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 payment of obligations incurred for each appropriation or fund account.
36. TRUST FUNDS are funds collected from specific sources and used by the Government for carrying out specific purposes and programs according to the terms of a trust agreement or statute. Trust fund receipts and expenditures are recorded against specific account symbols, and are available for carrying out specific purposes according to the terms of the statute.
37. UNEXPENDED BALANCE (UNCOSTED BALANCE) is the amount of budget authority that has been obligated but not yet costed or expended and is still available for outlays in the future.
38. UNOBLIGATED BALANCE designates the portion of budget authority that has not yet been obligated. In 1-year or annual accounts, the unobligated balance expires (i.e., ceases to be available for obligation) at the end of the fiscal year, except for valid obligation adjustments associated with that fiscal year. In multiple-year accounts, the unobligated balance may be carried forward and remain available for obligation for the period specified. In no-year accounts, the unobligated balance is carried forward and available for obligation indefinitely until specifically rescinded by law or until the purposes for which it was appropriated have been accomplished.

## CHAPTER 11

### BASE TABLE PROCESS AND PROCEDURES

#### 1. GENERAL.

- a. The base table displays, by appropriation, all obligational authority available to the Department. Title 31, Sections 1341, 1514, and 1517 of the U.S.C., require that obligations made against an appropriation not exceed the total of the appropriation, apportionment, reapportionment, or allotment. The base table provides a tool to assist in controlling all obligational authority by setting forth individual totals within each appropriation. These obligation control levels specify the use of funds as intended by Congress. The basis for establishment of the base table is the appropriation legislation and accompanying conference reports, since it is the final Congressional action which provides obligational authority. Additionally, any administrative limitation on the use or availability of funds may be reflected in the content and level of detail on the DOE internal base table.
- b. The base table is the controlling document for the allotment and AFP system. All funds distributed throughout DOE by the allotment and AFP processes are limited by the amounts in the base table. Attachment 11-1 provides an overview of the relationship of the base table to each phase of budget execution.
- c. Attachment 11-2 provides an overview of the various controls on fund availability which must be maintained. The types of controls are divided into legal limitations and administrative limitations. These controls may be imposed at a number of levels within the Federal budget process (i.e., Congress, OMB, and DOE). Within DOE, controls are maintained within the allotment and AFP processes.

#### 2. TIMING.

- a. The base table is established annually upon passage of the appropriation legislation. Prior to the start of the fiscal year, the base table is developed in accordance with the information contained in conference reports and appropriation legislation. In the absence of a conference report or legislation, the base table is developed using the latest and most conservative information available from Congress for the new fiscal year (i.e., House and Senate reports).
- b. The base table is updated with unobligated carryover balances for no-year or unexpired multi-year funds when actual, year-end accounting information is available, and reapportionments received from OMB.

- c. Changes to the base table may occur at any time during the fiscal year as a result of reprogrammings, restructurings, appropriation transfers, and supplemental /rescission appropriations.

### 3. BASE TABLE DEVELOPMENT.

- a. The base table development process begins with receipt of the initial House markup of the President's budget. The line items, as they appear in the House markup, become the line items for the initial base table. Base table line items are updated whenever additional Congressional action changes the character of the line items as they originally appeared in the Congressional budget submission.
- b. During the January through June time period, the Office of Chief Financial Officer prepares the budget and reporting classification structure for the upcoming fiscal year. After June, this structure will only be changed to reflect final Congressional action. This procedure assures a one-to-one correlation between the budget and reporting classifications and the base table line items.
- c. Upon receipt of the conference report from Congress, final line item adjustments and dollar amounts are entered into the base table. Any subsequent changes to the base table requested by DOE requires compliance with reprogramming requirements contained in Chapter V of this Manual.
- d. The initial base table for the fiscal year is included in the call for initial AFP and allotment data. This call is issued prior to the beginning of the fiscal year and includes all information necessary to initiate the allotment and AFP processes.

### 4. BASE TABLE MAINTENANCE.

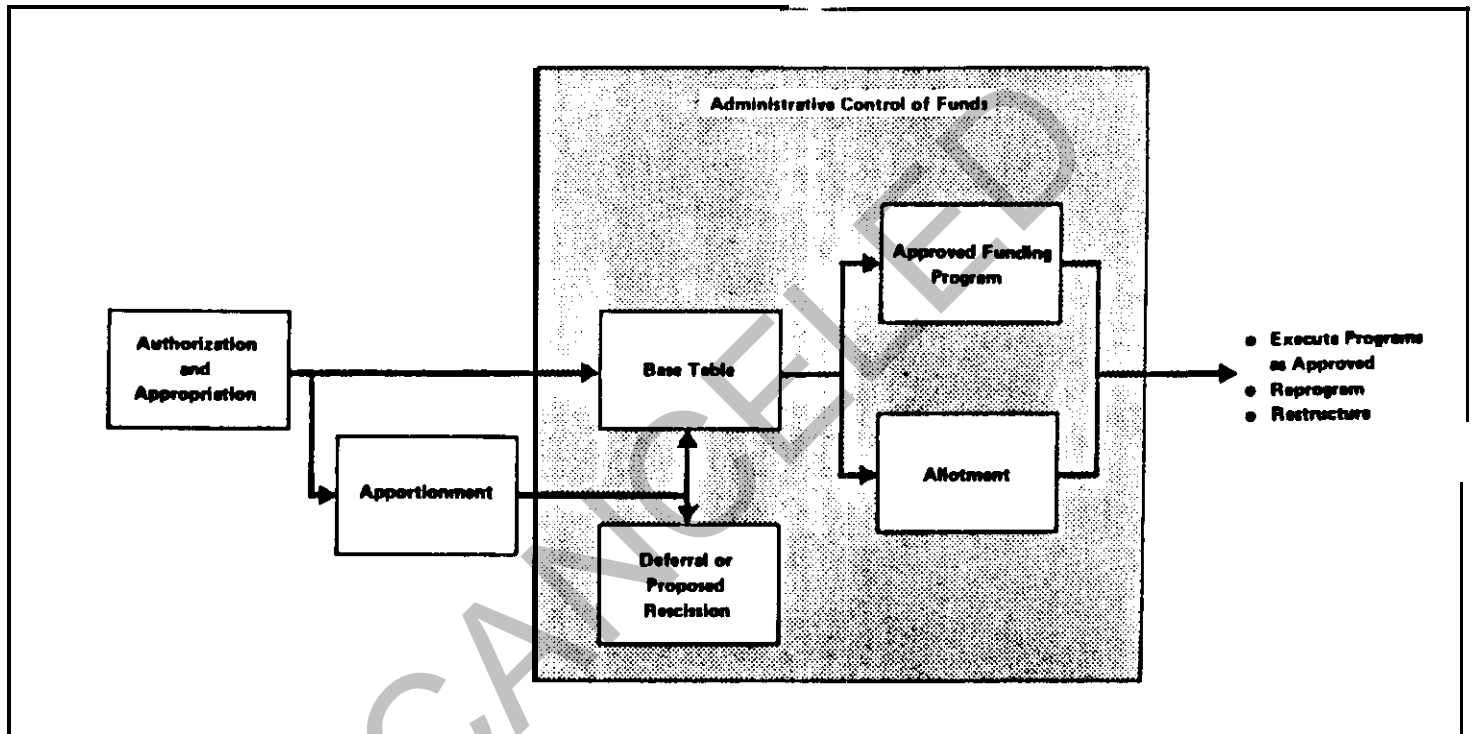
- a. Throughout the fiscal year, the base table showing Congressional control levels as they appeared in the conference report remains constant until subsequent action effects a change. Changes can result from reprogrammings, restructurings, appropriation transfers, or supplemental /rescission appropriations.
- b. After Congress has completed action on a request for reprogramming, restructuring, or appropriation transfer, DOE receives either verbal or written notification. Based on the information conveyed in the notification from the committees, the Office of Budget updates the base table to reflect the change in authority. For a supplemental appropriation, the appropriation act is the document that authorizes a change to the base table.

- c. The base table is updated with unobligated carryover balances for no-year or unexpired multi-year funds when actual, year-end accounting information is received.
- d. Attachment 11-3 is an example of the base table as it is maintained throughout the year. A separate column is provided for the following types of changes that may occur: reprogramming, structure/other, and supplemental appropriations. Appropriation transfers and rescissions are shown in the supplemental column.

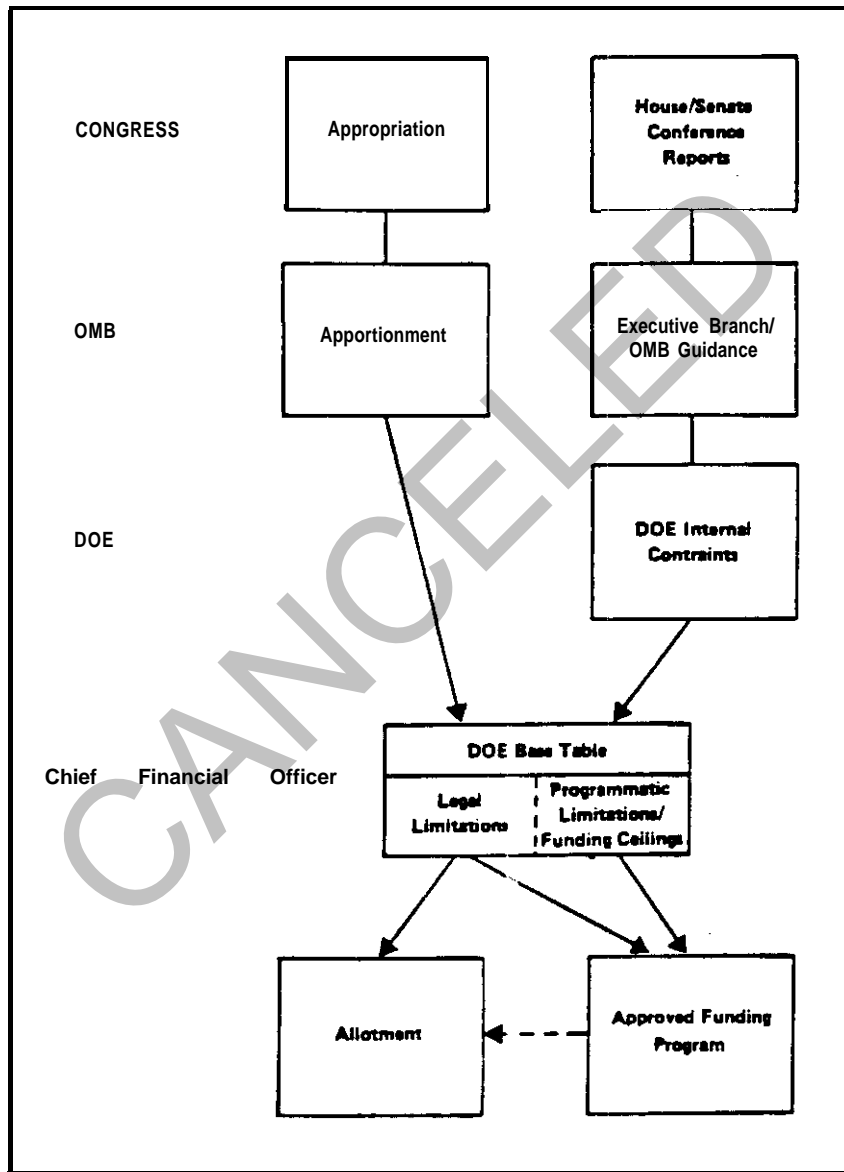
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ADMINISTRATIVE CONTROL OF FUNDS



ALLOTMENT AND APPROVED FUNDING PROGRAM CONTROLS



DEPARTMENT OF ENERGY BASE TABLE  
EXAMPLE

	APPROPRIATION AUTHORITY	STRUCTURE/ OTHER CHANGES AUTHORITY	(DOLLARS IN THOUSANDS) SUPPLEMENTAL CHANGE AUTHORITY	REPROGRAMMING CHANGE AUTHORITY	AUTHORITY	CURRENT PROGRAMMING UNOBLIGATED FOLLOWER	OBLIGATIONAL AUTHORITY
<b>ATOMIC ENERGY DEFENSE ACTIVITIES--0910220</b>							
<b>DEFENSE WASTE MANAGEMENT</b>							
INTERIA WASTE MANAGEMENT.....	\$ 193,313	\$ -5,000 A	\$	\$	\$ 188,313	\$ 450	\$ 188,763
LONG TERM WASTE MANAGEMENT TECHNOLOGY.....	53,861	-4,000 A			49,861	3,352	53,213
TERMINAL STORAGE.....	14,800				14,800	36	14,836
DECONTAMINATION & DECOMMISSIONING.....	12,655				12,655		12,655
TRANSPORTATION AND.....	4,100	-1,000 A			3,100	3	3,103
PROGRAM DIRECTION.....	2,000				2,000	206	2,206
<b>TOTAL, DEFENSE WASTE MANAGEMENT.</b>	<b>281,929</b>	<b>-10,000</b>			<b>271,929</b>	<b>4,047</b>	<b>275,976</b>
<b>NUCLEAR MATERIALS SECURITY AND SAFEGUARDS DEVELOPMENT</b>							
NUCLEAR MATERIALS SECURITY AND SAFEGUARDS.....	37,310				37,310	124	37,434
PROGRAM DIRECTION.....	5,850				5,850	122	5,972
<b>TOTAL, NUCLEAR MATERIALS SECURITY AND SAFEGUARDS DEVELOPMENT.....</b>	<b>43,160</b>				<b>43,160</b>	<b>246</b>	<b>43,406</b>
SECURITY INVESTIGATIONS.....	28,500				28,500		28,500
GENERAL REDUCTION.....	-37,450	37,450 A					
UNOBLIGATED BALANCE BROUGHT FORWARD (UNAPPLIED).....						987	987
<b>TOTAL, ATOMIC ENERGY DEFENSE ACTIVITIES--0910220.....</b>	<b>\$ 4,372,000</b>	<b>\$</b>	<b>\$</b>	<b>\$</b>	<b>\$ 4,372,000</b>	<b>\$ 7,132</b>	<b>\$ 4,379,132</b>
<b>CURRENT CHANGES</b>							
A/REFLECTS DISTRIBUTION OF CONGRESSIONAL GENERAL REDUCTION IN ACCORDANCE WITH P.L. 97-377.							

## CHAPTER 111

### OMB APPORTIONMENT AND TREASURY WARRANT PROCESSES

#### 1. GENERAL.

- 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. Department expenditures are drawn against this account.

#### 2. TIMING.

- a. When all or part of the budgetary resources do not result from current action by Congress, such as initial apportionment, apportionment requests must be submitted to OMB by 8-21. When all of the budgetary resources for an account depend on passage of appropriation acts by Congress, initial apportionment requests must be submitted to OMB within 10 calendar days after enactment of appropriation acts providing 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 a previous apportionment becomes necessary. In the case of an enacted rescission, the reapportionment request must be submitted within 5 calendar days of passage. Requests for reapportionment of actual unobligated balances are submitted once reconciliation with the final SF 133, "Report On Budget Execution," and TFS Form 2108, "Year End Closing Statement," have been completed.
- 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.

#### 3. 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) Appropriation transfers of budget authority;
  - (c) Unobligated balances related to unexpired accounts;
  - (d) Reimbursements and other income;
  - (e) Recoveries of prior year obligations; and
  - (f) Restorations and write-offs.
- (2) These must be apportioned by OMB prior to obligation 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 a combination thereof.
- (4) For no-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 one fiscal year. However, unobligated balances apportioned for periods of less than one fiscal year remain available for obligation through the end of the fiscal year. For example, the unobligated balance of funds apportioned for the 1st quarter are available for obligation in subsequent quarters of the same fiscal year without reapportionment.
- b. Request For Apportionment and Reapportionment.
- (1) All requests to OMB for apportionment and reapportionment are made by the Office of Budget (CR-131) on SF 132, "Apportionment and Reapportionment Schedule" (Attachment III-1). The initial action by OMB based on submission of an SF 132 is termed 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, unless otherwise specified by OMB.

- (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, as required.
- (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.
- (5) Reapportionments may be required for any of the following:
  - (a) New obligational authority provided in appropriation acts, when unobligated carryover for the same appropriation was previously apportioned.
  - (b) Supplemental appropriations.
  - (c) Appropriation transfers.
  - (d) Rescissions initiated by Congress and enacted into law.
  - (e) Release of deferrals or denial of rescissions proposed by the administration. Chapter V of this Manual provides information on 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 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," prepared by Office of Department Accounting (see Attachment III-2) to transfer the funds on Treasury records.
- (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 3b, above. The reapportionment process is initiated following Congressional approval of the appropriation transfer.

d. Apportionment of Unobligated Balances.

- (1) 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 by OMB prior to beginning of a fiscal year if DOE is required to operate under a continuing resolution or to operate without new funding. Unobligated funds, not included in the estimates due prior to the beginning of the fiscal year by the program organizations, will not be submitted for apportionment until actual, year-end accounting data are available in November or December, and thus will not be available for obligation until January or February.
- (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 the final SF 133, "Report on Budget Execution," submitted to OMB for the prior fiscal year and 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 Department Accounting and Analysis Division (CR-42).

e. Apportionment under a continuing resolution. Normally, funds made available by a continuing resolution are automatically apportioned. However, the Department may request a written apportionment if amounts automatically apportioned are deemed to be inadequate or if OMB or the Department deems a written apportionment to be necessary. When an appropriation act is passed, apportionments are requested for the total of the appropriation and, therefore, will include the amounts provided under the continuing resolution.

f. Apportionment of resources resulting from current year deobligations of prior year obligations. Budgetary resources that become available as a result of current year deobligations of prior year obligations made under a no-year appropriation or an unexpired multiyear appropriation are automatically withdrawn when the accounting entries are made. The amount to be withdrawn is based on the net of adjustments (obligations and deobligations) at the contract level. Allottees must submit justifications and receive approval prior to any reallocation of funds resulting from the deobligation of prior year obligations and associated withdrawal from the allotment. 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."

4. TREASURY WARRANT PROCESS.

- a. In most circumstances, appropriation warrants are prepared automatically by Treasury upon passage of appropriation legislation. Attachment 111-3 provides an example of TFS 6200 "Department of Treasury Appropriation Warrant." The warrant is received in the Office of Department Accounting and Financial Systems Development 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; and
  - (3) The legislation citation is the same on both.
- b. Treasury warrants may also be issued to reduce the amount of monies authorized to be withdrawn from the accounts maintained by Treasury. These credit warrants are issued to reduce accounts in accordance with enacted rescissions and appropriation offsets.

CANCELLED



EXAMPLE SF 132  
"APPORTIONMENT AND REAPPORTIONMENT SCHEDULE"  
EXAMPLE

AGENCY		Sheet _____ of _____		
Department of Energy		Fiscal year <u>XX</u>		
BUREAU				
DESCRIPTION		AMOUNT OR LATEST S.F. 122	AGENCY REQUEST	ACTION BY OMB
<b>BUDGETARY RESOURCES</b>				
1. Budget authority:				
A. Appropriations realized.....	\$7,000,000	\$6,825,000	\$6,825,000	
B. Appropriations anticipated (indefinite).....				
C. Other new authority (.....)				
D. Net transfers (+ or -).....	-3,000,000	-3,000,000	-3,000,000	
2. Unobligated balance:				
A. Brought forward October 1.....	1,000,000			
B. Net transfers (+ or -).....				
3. Reimbursements and other income:				
A. Earned.....		100,000	100,000	
B. Change in unfilled customers' orders (+ or -).....				
C. Anticipated for rest of year.....		350,000	350,000	
4. Recoveries of prior year obligations:				
A. Actual.....				
B. Anticipated for rest of year.....				
5. Portion not available pursuant to P.L. .... (-)				
6. Restorations (+) and writeoffs (-)				
7. TOTAL BUDGETARY RESOURCES.....		\$5,000,000	\$4,275,000	\$4,275,000
<b>APPLICATION OF BUDGETARY RESOURCES</b>				
8. Apportioned: <span style="float: right; font-size: small;">Memorandum Obligations Incurred</span>				
Category A:				
(1) First quarter.....	\$1,000,000	\$1,000,000	\$1,000,000	
(2) Second quarter.....	1,200,000	950,000	950,000	
(3) Third quarter.....	1,500,000	1,500,000	1,500,000	
(4) Fourth quarter.....	925,000	675,000	675,000	
Category B:				
(1).....				
(2).....				
(3).....				
(4).....				
9. Withheld pending rescission.....				
		225,000		
10. Deferred.....				
		150,000	150,000	150,000
11. Unapportioned balance of revolving fund.....				
12. TOTAL BUDGETARY RESOURCES.....		\$5,000,000	\$4,275,000	\$4,275,000

SUBMITTED <u>R. B. Gannon</u> (Authorized officer)	February 5 (Date)	APPOINTED _____ (Date)	_____ (Date)
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EXAMPLE SF 1151  
"NONEXPENDITURE TRANSFER AUTHORIZATION"  
EXAMPLE

STANDARD FORM 1151  
7 GAO 2000  
1151-103

### NONEXPENDITURE TRANSFER AUTHORIZATION

Division of Government Financial Operations  
To Room 516, Treasury Annex #1

BUREAU OF ACCOUNTS  
TREASURY DEPARTMENT  
Washington, D.C. 20226

ACCOUNTING DATE

DEC 31 19XX

FUNDING AND INVESTMENT

You are hereby authorized to effect the transfer indicated below.

TRANSFER FROM (D. O. Symbol)	TRANSFER TO (D. O. Symbol)		
Dept. Bureau of Energy Address Washington, D.C. 20545	Dept. President's Commission on the accident Bureau on the Three Mile Island (GSA) Address Washington, D.C.		
APPROPRIATION OR FUND SYMBOL	AMOUNT	APPROPRIATION OR FUND SYMBOL	AMOUNT
89X0224	\$104,000.00	45-89X0224(21)	\$104,000.00

AUTHORITY

Section 646A, Public Law 95-91, 91 STAT 599

The above transfer is proper under the authority cited

1-9-94 (Date)

Robert C. Citizen  
Robert C. Citizen, Director  
Office of Finance and Accounting, CR

(Signature)

Robert C. Citizen

Robert C. Citizen, Director  
Office of Finance and Accounting, CR

(Signature)

(Treasury Form 88) (11/80)

\*Division of General Accounts and Reports, Department of the Treasury, Washington, D.C. 20545-0100  
U.S. GOVERNMENT PRINTING OFFICE: 1980 O-281673

EXAMPLE TFS 6200  
"DEPARTMENT OF ENERGY TREASURY APPROPRIATION WARRANT"  
EXAMPLE

DEPARTMENT OF THE TREASURY APPROPRIATION WARRANT		
Warrant No. <u>835-83-89-13-4</u>		
Accounting Date <u>December 21, 19XX</u>		
<p>The Congress having, by the Acts hereon stated, made the appropriations hereunder specified, the amounts thereof are directed to be established in the general and detailed appropriation accounts, totaling in all \$ <u>8,611,267,000.00</u> and for so doing this shall be the warrant</p>		
The Secretary of the Treasury	Comptroller General of the United States	
By <u>/s/ John P. Mint</u>	By <u>Joe C. Honey</u>	
<u>APR 5 19XX</u> <small>(Date Signed)</small>	<u>APR 20 19XX</u> <small>(Date Counterchecked)</small>	
Department of Energy		
SYMBOL	APPROPRIATION TITLE	AMOUNT
<u>JOINT RESOLUTION</u>		
<p>Making further continuing appropriations and providing for productive employment for the fiscal year 19XX, and for other purposes.</p>		
Public Law 97-377, 97th Congress		Approved December 21, 19XX
89X0224		\$ 1,600,635,000.00
89X0222		324,370,000.00
89X0220		3,564,906,000.00
89X0225		281,211,000.00
89X0223		93,309,000.00
89X0229		26,482,000.00
89X0304		3,056,000.00
89X0303		15,855,000.00
8930212		59,418,000.00
89X0221		1,082,366,000.00
89X0226		1,430,554,000.00
<p style="font-size: small;">TFS FORM 6200 EDITION OF 10-79 MAY BE USED 1-79 1-79 AND 2-2000</p> <p style="text-align: right; font-size: small;">DEPARTMENT OF THE TREASURY - FISCAL SERVICE BUREAU OF GOVERNMENT FINANCIAL OPERATIONS</p>		

## CHAPTER IV

### APPROVED FUNDING PROGRAM & ALLOTMENT PROCESSES

#### 1. GENERAL.

- a. The AFP and allotment processes provide the system for the distribution of all obligational authority made available to DOE for the fiscal year. This system is the culmination of the Federal budget process whereby the President submits the Department's budget to Congress; Congress appropriates the funds; and OMB apportions the funds to the Department. At each stage in these processes, specific controls, ceilings, and limitations are imposed on the use of the funds. The allotment and AFP system is used to establish and maintain these controls at the Department level to ensure that legal, congressional, OMB, and internal DOE ceilings and limitations are not exceeded. Attachment IV-1 is a schema of this relationship.
- b. The allotment process is the means by which officials within the Department are delegated the authority to incur obligations within the amount specified on the allotment. The official document, HQ F 2260.2, "Advice of Allotment," transmits the obligational authority and displays any legal limitations imposed on the use of the funds. The allotment is the means by which the Department assigns responsibility under the administrative control of funds provision of Title 31, U. S. C., section 1514.
- c. The AFP process provides a means for distributing program funding authority at a level of detail designed to achieve the optimal efficiency of program management. The AFP is the document that provides a detailed breakdown of the total amount of obligational authority shown on the Advice of Allotment. The AFP provides the following:
  - (1) The basis for the annual execution of programs as approved by Congress.
  - (2) Programmatic detail of allotted funds to the organizations that have administrative or technical responsibility for the execution of a program.
  - (3) A control to ensure that funds are not distributed in excess of obligational controls reflected on the base table. Information regarding the base table is contained in Chapter II of this Manual.
- d. The AFP reflects the obligations that can be incurred for each program. However, the allotment provides the actual authority to incur obligations on behalf of the Department. The AFP is the programmatic financial guidance; the allotment is the financial authorization. Attachment IV-2 provides an overview of the allotment and AFP processes.

- e. The AFP provides the basis for preparation of the allotment. The amount shown on the "Advice of Allotment" form issued for each appropriation is equal to the total for all program funds included in the AFP for the same appropriation and allottee. Allotments and AFPs are issued concurrently; the AFP represents the detailed breakdown of the allotment for purposes of program management.

## 2. TIMING.

- a. The AFP and allotment processes commence during July with the call to Headquarters Elements for the initial AFP and allotment data for the coming fiscal year. Resource guidance used in the call will be based on the base table reflecting the most conservative information available from the House or Senate Committees, if conference agreement has not been reached.
- b. The allotment and AFP processes continue during July and August with the annual call for identification of estimated unobligated balances for unexpired appropriations. If there is neither an appropriations act nor a continuing resolution, only the unobligated balances of unexpired appropriations as apportioned by OMB will be available for allotment.
- c. During the fiscal year, the allotment and AFP processes follow an established monthly cycle. Initial allotments and AFPs are issued at the beginning of the fiscal year. Changes are processed in accordance with the monthly schedule established by the Budget Execution Branch (CR-131). See Attachment IV-3 for an example.
- d. Allotments are generally made for a period of one fiscal year. Changes are made whenever a revision to an AFP necessitates an increase or decrease in obligational authority. However, if an "Advice of Allotment" form is required before the normal AFP cycle, CR-131 will issue an emergency or out-of-cycle allotment and AFP. See paragraph 7 for guidance.

3. ALLOTMENT PROCESS. Consistent with Title 31, U.S.C., section 1514, the DOE system for administrative control of funds prescribes that allotments be issued at the highest practical organizational level consistent with effective and efficient management. Accordingly, no allottee will be financed from more than one allotment for each appropriation or fund, and it is DOE policy that all budgetary resources available for obligation by DOE activities must be allotted unless specifically exempted.

### a. Determination of Allottees.

- (1) Allotments are issued to the Chief Financial Officer (for all Headquarters activities) and to the Heads of Field Elements who have met the criteria for becoming an allotment holder. The recipient of the allotment is responsible for ensuring compliance with the Department's administrative control of funds procedures and the requirements of the Anti-Deficiency Act.

- (2) To establish a new allottee, the following criteria must be met.
  - (a) The Office of Budget must determine that establishing a new allottee would be consistent with DOE administrative control of funds procedures.
  - (b) The proposed allottee must have accounting, budgetary, and procurement capability. In addition, each requesting office must provide written assurance to the Chief Financial Officer through the Office of Budget, Budget Execution Branch (CR-131), that all of the criteria in Attachment IV-4 have been met to establish a new allotment holder.
- (3) A listing of allottees and AFP codes is maintained by CR-131.

b. Availability of Obligational Authority.

- (1) The document that provides the obligational authority to organizational components is HQ F 2260.2, "Advice of Allotment," shown in Attachment IV-5. Advice of Allotment documents are specific to and include resources for only one appropriation. Allotment changes are issued as a result of AFP changes or revisions. Allotments are prepared by CR-131 and signed by the CFO or designee in accordance with the Office of Financial Policy's Accounting Handbook.
- (2) The "Advice of Allotment" form provides to the allottee the actual authority to incur obligations and make expenditures. The allotment will include legal limitations on obligations and any other legal limitations (e.g., limitations derived from public laws and OMB apportionments) imposed on the Department. The use of legal limitations will be kept to the minimum necessary to comply with statutory or OMB requirements. Violations of legal limitations contained in allotments are considered violations of the Anti-Deficiency Act.
- (3) Allotments are made on an annual basis showing the amount of obligational authority available for the year. However, allotments may be made to cover periods of less than 1 year for purposes of administrative control. Time limitations or programmatic restrictions contained in an OMB apportionment must be carried through to the corresponding allotment. For example, if funds are apportioned by OMB on a quarterly basis, they must also be allotted on a quarterly basis. However, no-year funds made available on a quarterly basis remain available until expended. The same is true for programmatic restrictions included in an apportionment.

They become legal limitations that must be reflected on the allotment. (See Chapter III of this Manual for additional details on apportionment restrictions.)

- (4) If no appropriations act has been enacted by October 1, current year obligational authority may be allotted under the provisions of a continuing resolution.
- (5) An allottee may receive funds from more than one appropriation. Under these circumstances, separate allotments and AFPs are issued for each appropriation from which the allottee receives obligational authority.
- (6) Total obligations must always be controlled so as not to exceed the lesser of the amount of the allotment or budgetary resources available. Because some allotments may contain obligational authority in the form of appropriation reimbursements based on anticipated reimbursements, the amount of budgetary resources available from reimbursements is limited to the sum of (1) reimbursable agreements received from other Federal Government accounts that represent valid obligations of the ordering account; and (2) reimbursable agreements received from non-Federal entities to the extent accompanied by a cash advance. (See OMB Cir. A-34, part III, section 31.3; and the Office of Financial Policy's Accounting Handbook for further discussion.)

c. Derivation of the Allotment Symbol.

- (1) The 6-digit allotment symbol that appears on each "Advice of Allotment" form consists of three sections separated by hyphens: the first section is alpha, and the last two sections are numeric (e.g., SF-54-91).
- (2) The first section, composed of two letters, designates the organization to receive the allotment, in accordance with the allottee listing maintained by CR-131. For example, "SF" represents the DOE Oakl and Operations Office.
- (3) The second section is composed of two digits: the first digit is the last digit of the fiscal year, and the second digit is the last digit of the appropriation symbol. For example, "5" represents FY 1995, and "4" represents appropriation 89X0224.
- (4) The third section is composed of two digits and designates the purpose or limitation for which the allotment is made. The following symbols designate each limitation:
  - (a) Operating Expenses and Plant and Capital Equipment (91);

- (b) Reimbursable Work for Non-Federal Entities (92);
  - (c) Reimbursable Work for Other Federal Agencies (93); and
  - (d) Reimbursable Work - Use of Third-Party Receipts from Technology Transfer Activities (95).
- d. Initial Allotments and Changes to Allotments.
- (1) Initial allotments are prepared by CR-131 on the basis of the initial AFP input received from the Headquarters Elements programmatically responsible for the funds. The amount provided on each HQ F 2260.2, "Advice of Allotment," represents the consolidation of the obligational authority provided for the individual AFP recipients which comprise the allotment. Each allotment is accompanied by a Format 1540, Approved Funding Program (AFP), which specifies the detail associated with the allotment; however, situations may occur where the allotment is less than the AFP as a result of continuing resolutions, or partial funding pending receipt of the full apportionment by OMB, etc.
  - (2) Allotments are updated during the monthly cycle when an AFP is revised to the extent that a change in obligational authority is required. Allotments may also be updated on an emergency or out-of-cycle basis, if necessary.
  - (3) Attachment IV-5 is an example of a completed HQ F 2260.2, "Advice of Allotment," which identifies the appropriation, amount, and any specific limitations or administrative remarks.
- e. Procedure for withdrawal of funds from allottees. The withdrawal of funds from an allottee during a monthly AFP change has the potential to create a violation of Title 31, U.S.C., Section 1517, "Prohibited Obligations and Expenditures," if the funds had already been obligated. To prevent the program manager from withdrawing funds that have already been obligated by the allottee, the procedure outlined below must be followed. The Budget Execution Branch (CR-131) maintains a list of the name or position of person(s) who are authorized by each allottee to verify the availability of funds.
- (1) Any Head of a Headquarters Element, or designee, or any other individual who requests a reduction in an allotment, must verify with the allottee or designee that the funds being withdrawn from the allotment are not obligated and are available for withdrawal. Since allotments are issued in terms of whole dollars, verifications of withdrawals should also be provided in whole dollars. Verification of



withdrawals may be made in writing or by telephone. If made by telephone, a record of the conversation should be maintained by both parties.

- (2) Any Head of a Headquarters Element, or designee, or any other individual who requests a reduction in an allotment, must certify on any request for an AFP change that the above verification has been performed. No AFP change will be processed without the required certification. On Format 1537, "Proposed AFP Input Worksheet," the following certification is preprinted and requires only an authorizing signature to be in compliance with the above procedures:

"I certify that all reductions in allotments resulting from the changes, as requested, have been verified with the allottees as being unobligated and available for withdrawal."

f. Procedures in the Event of Withdrawal of Unavailable Funds.

- (1) If an allottee receives a decrease in an allotment that would place the allotment in an overobligation status or deficiency situation, the cognizant Headquarters Element that initiated the action and CR-131 should be contacted immediately to provide assistance and guidance in resolving the potential overobligation status or deficiency situation of the allotment.
- (2) If a decrease in an allotment, which would not otherwise place the allotment in an overobligation status, results in an overobligation of an obligation control level due to an AFP reduction, the allottee should inform the appropriate Headquarters Element of the situation, specifying the budget and reporting classification and appropriation(s). With this information, the allottee and the Headquarters Element should be able to resolve the problem. If assistance is needed or if the problem is not resolved, CR-131 should be contacted.
- (3) A withdrawal of funds in excess of the unobligated balance that results in an apparent overobligation status is not of itself a violation of the Anti-Deficiency Act, provided additional obligations are not authorized or incurred against the funds; or the withdrawn funds are immediately restored or made available, through deobligation, to the account from which withdrawn, in sufficient amount to cover obligations previously authorized or incurred.

4. APPROVED FUNDING PROGRAM PROCESS. The AFP process is the means by which the Department's program funding is distributed to Headquarters Elements and operational activities at a level of detail designed to maintain

necessary controls while achieving the optimal efficiency of program management. The AFP is the document issued by CR-131, normally on a monthly basis, that sets forth the funds available for obligation in each appropriation account. The AFP displays by DOE component and appropriation account the total amount of obligational authority available for each program or budgetary control level; specifies in financial terms the operating expense and plant and capital equipment funds available for program execution; and reflects all funding control totals and obligation control levels required by the DOE base table and internal distribution decisions. Additionally, the AFP identifies any statutory limitations that result from specific directions contained in the appropriations acts language and OMB apportionments. Approved funding programs are issued for obligational authority, including all direct appropriated funds and reimbursable authority.

- a. Determination of AFP Recipients. Each allottee determines the AFP recipients necessary for its operations. At Headquarters, for the allotment issued to the Chief Financial Officer, the AFP recipients represent Heads of Headquarters Elements. In the field, each allottee determines the AFP recipients it requires. For most Operations/Field offices, there is one AFP recipient for each allottee. An Operations office may, however, have an AFP showing its own programs, plus additional AFPs for each of the multi-program laboratories under its purview. Additional AFP recipients for an allottee may be established as needed to aid an organization in the delineation of organizational subelements necessary to assist in program management. A current listing of AFP recipients and allottees is maintained by CR-131.
- b. Input to the AFPs.
  - (1) All input for the AFPs originates within Headquarters Elements (with the exception of input for the reimbursable work programs that are received from the allottees). The allocation of funds is based on the following:
    - (a) Amounts available in the current DOE base table reflecting the latest Congressional actions;
    - (b) Budget estimates received from Field Elements that reflect the needs of the management and operating/integrated contractors and facilities as well as assessments of funding needs to fulfill program requirements directed by Headquarters Elements;
    - (c) Headquarters Elements' determination of specific funding requirements for Department components.

- (2) All initial input and proposed changes to AFPs must be within the obligational control levels reflected on the current base table. The base table is the controlling document for the allotment and AFP processes. When the obligational authority as contained in the base table has changed as a result of a reprogramming, restructuring, supplemental appropriation, or rescission, the base table is updated to reflect the change in authority. For a situation that requires an adjustment to the base table, the AFP change request should only be initiated after verification that the base table is updated. (Refer to Chapter II of this Manual for additional information regarding the base table.)
- (3) Program requirements may change throughout the fiscal year and require subsequent AFP changes. Every effort should be made to fund new or additional requirements within the ceiling established by the AFP prior to requesting any changes. In general, each time an increase is requested, an offsetting entry must be made to another activity within the same obligation control level before the request can be met. This ensures that no base table controls are exceeded by the change. Requests for changes to obligational control level totals must first be submitted to cognizant committees in accordance with reprogramming, restructuring, and appropriation transfer procedures, contained in Chapter V of this Manual.
- (4) Changes to AFPs are processed on a monthly schedule. When it becomes apparent that the objectives of a program cannot be met within the ceilings established in the AFP or that the objectives of a program can be met with savings, the AFP recipient should request the cognizant Headquarters Element change the funding in the AFP in the next AFP cycle.
- (5) CR-131 will accept requests for direct AFP changes only from Headquarters Elements. Requests from multi-program laboratories are communicated through the appropriate Operations Office. The Operations Office transmits all AFP change requests to the cognizant Headquarters Element. Requests for reimbursable AFP changes are submitted directly to CR-131 by the allotment holders.
- (6) Changes to an AFP do not necessarily require a change in the amount of obligational authority allotted. If the increases to a program in the AFP are equally offset by decreases to other activities in the same AFP, the total amount of obligational authority allotted would not be changed; thus, no change to the "Advice of Allotment" form would be required.

c. Input Work Sheets and Reports.

- (1) Format 1537, "Proposed Approved Funding Program Input Worksheet," (Attachment IV-6) is a program-oriented input worksheet used for coding changes for each AFP cycle. The Format 1537 contains a Division Code, which is a means of grouping functionally related budget and reporting classifications that identify the Headquarters Element responsible for developing, managing, and revising AFP data for the obligation control levels contained in the DOE base table. CR-131 maintains a listing of the approving officials who are authorized to propose AFP changes for each Division grouping.
- (2) Within a particular input worksheet, each budget and reporting classification is listed followed by a breakdown by AFP recipient. The level of detail shown on the worksheet, and subsequently the AFPs, is determined by the cognizant Headquarters Element in conjunction with CR-131. CR-131 identifies the highest acceptable level of detail (the obligation control level) and each Headquarters Element determines the lower levels of detail necessary for program management. The obligation control levels are based on the DOE base table controls, and the associated budget and reporting classifications are published by the Department Accounting and Analysis Division as needed.
- (3) Format 1541, "Proposed Approved Funding Program Confirm Worksheet," (Attachment IV-7) presents the effects of the proposed changes made via the Format 1537, "Proposed Approved Funding Program Input Worksheet." Each Format 1541 is reviewed and concurred on by the cognizant Budget Analysis Division (CR-14) budget analysts to determine accuracy of the proposed changes.
- (4) Format 1540, "Approved Funding Program," (Attachment IV-8) details the total funding available to each AFP recipient for all programs funded from the same appropriation. The Format 1540 document shows the detailed changes which, in summary, make up the accompanying HQ F 2260.2, "Advice of Allotment."
- (5) The AFP recipients are determined as indicated in paragraph 4a, above. Each AFP specifies the operating expense and plant and capital equipment funds available for program execution and reflects all obligational control levels identified in the DOE base table. For those appropriations that include reimbursable authority, the AFPs may include funding levels for reimbursable work.
- (6) All obligational authority available to the recipient is delineated in the AFP report. Each AFP line item includes a budget and reporting classification and contractor

identification code. Capital equipment line items also include a major item of equipment code, and construction line items include a construction project number and total estimated cost (TEC) for the project. Additionally, at the discretion of the program office, a memorandum entry can be included to reflect estimated costs.

- (7) The AFP line items include both new obligational authority and unobligated carryover, as appropriate, to reflect the total obligational authority (TOA) available. Each base table obligation control level in the AFP will include a footnote "0" which indicates "OBLIGATION CONTROL LEVEL NOT TO BE EXCEEDED." See paragraph 5b, below, for further discussion of obligation control levels.

d. Requests for Initial AFPs and Changes to AFPs.

- (1) In July, CR-131 issues to the Headquarters Elements the call for initial AFP and allotment data for the succeeding fiscal year. The call includes specific information needed to complete the initial input to the allotment and AFP processes and is required for all budgetary resources provided to the Department.
- (2) The controlling document for the AFP input is the initial DOE base table showing the amount of obligational authority available to the Department. The funds distributed in the AFP shall not exceed the obligation control levels established in the base table; however, the AFP may contain program activities at a lower level of detail than that shown on the base table. The inclusion of a level of detail lower than the base table is determined by individual program management needs. This detail provides cognizant Headquarters Elements with a tool to distribute resources at a level consistent with their respective program management requirements.
- (3) If there has been no substantial revision to the budget and reporting classification structure for the new fiscal year, the initial AFP input can be accomplished using a special version of Format 1537, which will be transmitted with the call. If the budget and reporting structure has changed significantly, the input is accomplished on AFP transcription sheets. The determination regarding the method of input for initial data is made by CR-131 and is set forth in the call.
- (4) Throughout the fiscal year, when it has been determined by AFP recipients and Headquarters Elements that AFP changes are necessary, the following procedures are to be followed.

- (a) The proposed AFP changes must be coded on the Format 1537, which can be retrieved from the automated Funds Distribution System (FDS) by authorized users or input directly into the FDS by trained and approved users. For each base table control, in the absence of base table changes, the proposed AFP changes must net to zero except for the initial fiscal year input.
  - (b) The AFP change request shall be accompanied by an adequate explanation of change for the request.
  - (c) The proposed AFP input work sheets must be signed by the cognizant Head of a Headquarters Element or designee.
  - (d) All initial input must be submitted in compliance with the schedule published in the call for initial AFP and allotment data. All subsequent changes must be submitted in compliance with the monthly AFP schedule published by CR-131. An example of a schedule of events for a complete monthly AFP cycle is at Attachment IV-3.
- (5) After the AFP data base has been established and/or updated using the input provided by the Headquarters Elements, the FDS will produce proposed AFP confirm work sheets (Format 1541). The confirm work sheets can be retrieved from the automated FDS by Headquarters Elements for verification of the proposed changes. The original input and two copies of the AFP confirm work sheets are sent to the cognizant CR-14 budget analyst who does the following:
- (a) Reviews the Format 1541 in conjunction with the Format 1537 to ensure compliance with amounts in the base table, restrictions in appropriation or authorization language, accounting policy, budget policy, and OMB or legal restrictions. The explanation of change from the Headquarters Element is also reviewed at this time.
  - (b) Coordinates the resolution of any problems or errors with the responsible Headquarters Element.
  - (c) Retains one copy of each Format 1541.
  - (d) Returns the Format 1537, one copy of each Format 1541 (signed), and any explanation of change to CR-131 in accordance with the established schedule.

- (6) If the budget analyst suggests changes to the Format 1541, these should be made through CR-131 and coordinated with the responsible Headquarters Element. If coordinated by telephone, a record of the conversation should be maintained by both parties.
- (7) Upon receipt of the signed Format 1541 and the explanation of change, CR-131 produces management summary reports of the AFP data for review by the Director of Budget and "Advice of Allotment" forms that assign the legal authority to incur obligations and expenditures.
- (8) The Director of Budget or designee approves and signs the management summary reports and allotments, and they are subsequently recorded by CR-131, at which time the AFPs can be retrieved by the recipients.

e. Explanation of Change for AFPs.

- (1) To assist the CR-14 budget analysts in their AFP review, program offices should prepare an explanation of change for each AFP submission. The information contained in the explanation is used to answer inquiries from Congress, OMB, the General Accounting Office, DOE management, and others regarding AFP changes.
- (2) The following points should be included in all explanations of changes.
  - (a) Major reason for the change, such as:
    - 1 Any change resulting from an approved revision to a DOE base table amount or line item as a consequence of a reprogramming, restructuring, supplemental appropriation, deferral, or rescission;
    - 2 Any change to a legally or politically sensitive program;
    - 3 Any change that will affect employment levels in a Departmental Element;
    - 4 For capital equipment, any change affecting a major item of equipment such as:
      - a A major item of equipment (including ADPE) is established, or
      - b A change of \$500,000 or more is made to an existing line item.





5. ALLOTMENT AND AFP LIMITATIONS.

- a. There are two types of limitations maintained through the allotment and AFP system. These are legal and administrative limitations. Policy concerning limitations in the DOE AFP and allotment processes is contained in DOE O 135.1, BUDGET EXECUTION-FUNDS DISTRIBUTION AND CONTROL, and must be adhered to by DOE Elements.
- b. Although obligation control levels may not be exceeded, they differ from legal limitations because violations of obligation control levels are considered administrative violations and are not necessarily violations of the Anti-Deficiency Act. Exceeding obligation control levels violates the Department's Administrative Control of Funds policies (see Office of Financial Policy's Accounting Handbook), and must be reported immediately to the Chief Financial Officer. Exceeding an obligation control level has the potential to cause a statutory violation at the DOE level (i.e., violation of the Anti-Deficiency Act). In those instances where an obligation control level is exceeded but does not result in an Anti-Deficiency Act violation, the individual may still be subject to appropriate administrative disciplinary action.
- c. Additional details concerning statutory violations of the Anti-Deficiency Act, administrative violations, and related disciplinary actions may be found in the Office of Financial Policy's Accounting Handbook.

6. MAJOR ITEMS OF ADPE.

- a. Prior to the beginning of the fiscal year, the Assistant Secretary for Human Resources and Administration (HR) selects for Headquarters review a number of proposed acquisitions of major items of ADPE. Capital equipment and operating expense funds budgeted for ADPE items selected for Headquarters review cannot be obligated until written approval is obtained from HR-42. Such approvals will normally be in the form of either:
  - (1) The approval of a clearance document, or
  - (2) A delegation of authority to a Field Element to approve the clearance document based on approval of an implementation plan submitted.
- b. Each fiscal year, CR-131 receives notification of the major ADPE items selected for Headquarters review by the Assistant Secretary for Human Resources and Administration. These major items of equipment are footnoted with the letter "H" in the appropriate capital equipment and operating expense AFPs.

- c. Approval by HR-42 is required prior to the obligation of the funds for each ADPE line item footnoted with the letter "H." This footnote is not removed from the AFP when approval occurs; therefore, the "H" is not indicative of the status of the approval function. It is a memorandum entry to the cognizant AFP recipient that funds for the acquisition of the particular major ADPE items are not to be obligated without the approval of DOE Headquarters, Office of Information Management, HR-4.

7. OUT-OF-CYCLE ALLOTMENTS.

- a. Emergency (or out-of-cycle) allotments are issued when a funding change is required but it would be detrimental to a program, function, or activity to wait for the next regular monthly AFP cycle to process the change. Requests for emergency allotments must follow the same basic procedures and include the same information as required for normal allotment and AFP changes, only on a more accelerated and less formal basis. The following process must be followed.
  - (1) The Headquarters Element must submit a request through the appropriate Office of Budget Branch Chief to the Chief, Budget Execution Branch, with an approval block provided for signature of the Director of Budget or his designee. The request must include an explanation of the nature of the emergency and must be signed by the Head of a Headquarters Element or designee. The following information normally required for allotment or AFP changes must be included in the request:
    - (a) Appropriation symbol and title;
    - (b) Budget and reporting classifications;
    - (c) Organizations being increased;
    - (d) Organizations being decreased;
    - (e) Contractor identification; and
    - (f) Dollar amount of changes (specify both obligational authority and costs, if applicable).
  - (2) For certification of funds being withdrawn from Field Elements, the certification must be signed and dated by the Head of the Headquarters Element or his designee for signing allotment/AFP changes. The certification must appear as follows:

"I certify that all reductions in allotments resulting from the changes, as requested, have been verified with the allottees as being unobligated and available for withdrawal."

\_\_\_\_\_  
Authorized Approving Official Date

- (3) For certification of funds being withdrawn from Headquarters Elements, the proposed withdrawal must be accompanied by a completed "Confirmation of Funds Available for Withdrawal" document.
  - (4) The cognizant Office of Budget Branch Chief must indicate concurrence or nonconcurrence with the proposed change.
  - (5) The Director, Office of Budget (CR-10); Deputy Director, Office of Budget (CR-11); Director/Deputy Director of Budget Operations (CR-13) or Director/Deputy Director of Budget Analysis (CR-14) must indicate approval of the proposed change in the space provided for Office of Budget approval.
- b. If these steps are followed, the Chief or Acting Chief of Budget Execution (CR-131) has been delegated the authority to sign interim or emergency allotments on behalf of the approving officials listed above in paragraph 7a(5). In any case, the cognizant CR-14 branch chiefs should be certain that an urgent need exists and that such requests are kept to a minimum. Year-end panic requests to merely "dump" funds for obligation will not be construed as bona fide requests.

#### 8. TRANSFER APPROPRIATIONS.

- a. Both the Energy and Water Development and Interior appropriations acts typically provide generic authority for the transfer of appropriations to other Federal agencies to finance the performance of work or providing of goods and services for which the appropriations were made. A written agreement showing the purpose and amount to be transferred is completed by both agencies prior to preparation of an SF 1151, "Nonexpenditure Transfer Authorization." The SF 1151 is prepared by the transferring or losing agency. The transfer is not an adjustment to the budget authority of either agency but, rather, is a transfer or allocation of obligation and disbursement authority to the receiving agency. The budget authority and reporting requirement (i.e., SF 133) remains with the transferring appropriation or parent account.
- b. The Department of Treasury executes the transfer based on the SF 1151 and forwards an executed copy of the SF 1151 to the receiving agency. DOE limits the use of transfer appropriations to instances when no other reimbursement method will suffice to obtain the required services, for instance, the reimbursable work

process as authorized under the Economy Act, Title 31, U. S. C., Section 1535. Any office considering a request for a transfer appropriation should contact the Director, Office of Financial Policy (CR-20) to obtain assistance in identifying other financial methods that can be used in lieu of transfer appropriations. No transfer appropriations will be processed without the approval of the Chief Financial Officer. See the Office of Financial Policy's Accounting Handbook for additional details regarding use of a transfer appropriation.

(1) Transfers to Another Agency.

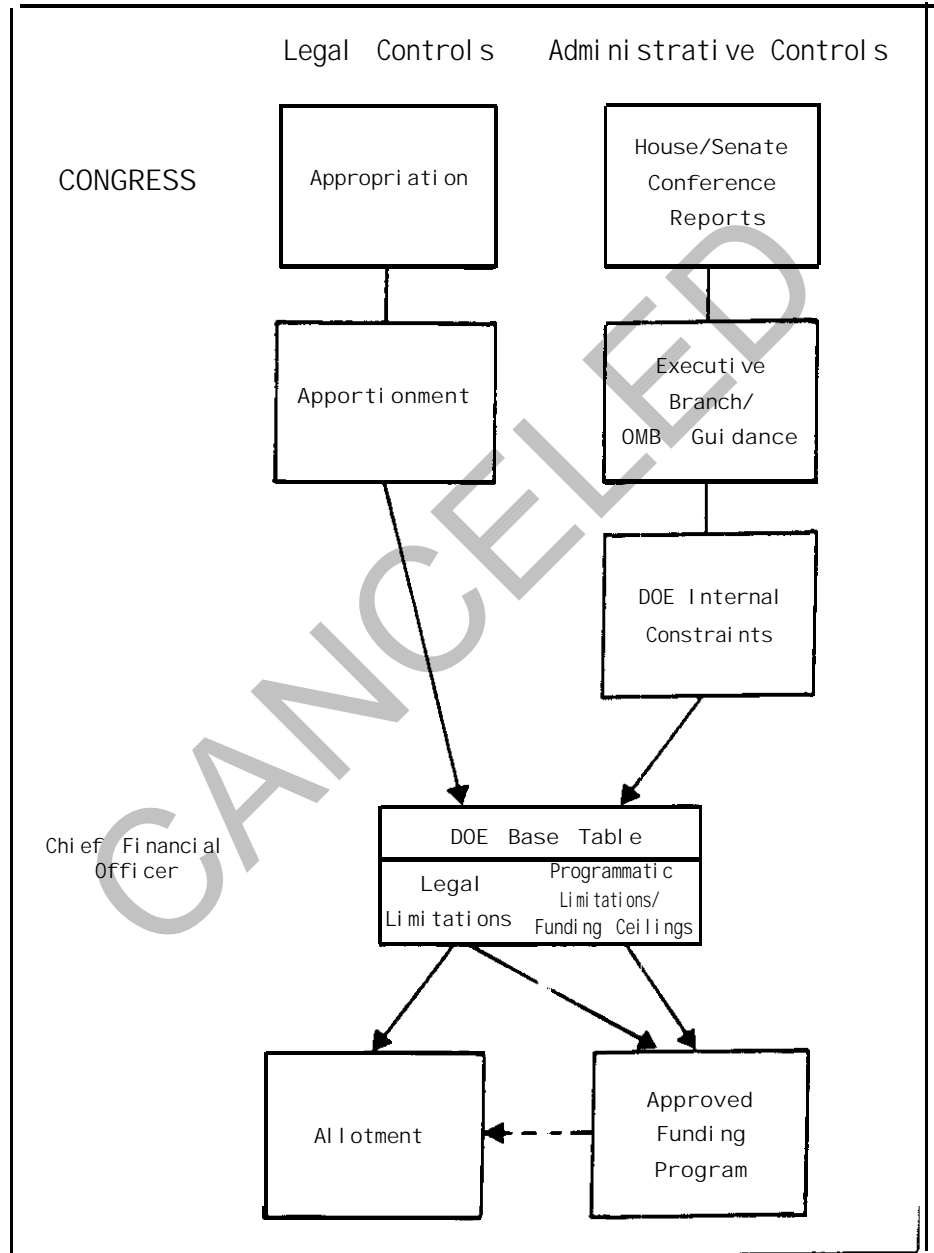
- (a) For transfer of appropriations to another Federal agency, after DOE has entered into a written agreement with the receiving agency, the DOE Headquarters Element responsible for the affected funds will send a written request to the Director, Departmental Accounting and Analysis Division (DAAD) (CR-42), for the preparation of an SF 1151, "Nonexpenditure Transfer Authorization." CR-42 will prepare the SF 1151 and submit it to CR-131 for concurrence. Before concurring, CR-131 will ensure that the allotment of the transferring organization has been reduced by the amount of the proposed transfer. The funds will be set aside in reserve until the SF 1151 is executed by Treasury. When the Chief Financial Officer receives an executed copy of the SF 1151 from Treasury indicating that the funds have been transferred, a copy is submitted to CR-131 for preparation of the HQ F 2260.2A, "Advice of Transfer Authorization," and an AFP. The "Advice of Transfer Authorization" includes a statement that the funds are not available for obligation by DOE because they are available for obligation only by the receiving agency.
- (b) The AFP issued in conjunction with the "Advice of Transfer Authorization" contains the detailed plan for the work being performed by the other agency. It consists of the same reports as described in paragraph 5, above.
- (c) When any or all of an appropriation that has been transferred to another Federal agency in the current year or a prior fiscal year is to be returned to DOE, the other Federal agency prepares a SF 1151. After processing the form, the Department of the Treasury transmits one copy of the accomplished SF 1151 to DOE, DAAD (CR-42), who will then forward a copy to CR-131. Based on the SF 1151, CR-131 revises the current AFP of the office involved, and issues an "Advice of Transfer Authorization" reducing the transfer

authority granted in the current fiscal year by the amount of the returned appropriation. Any unused funds are returned to the allottee for use in the parent account.

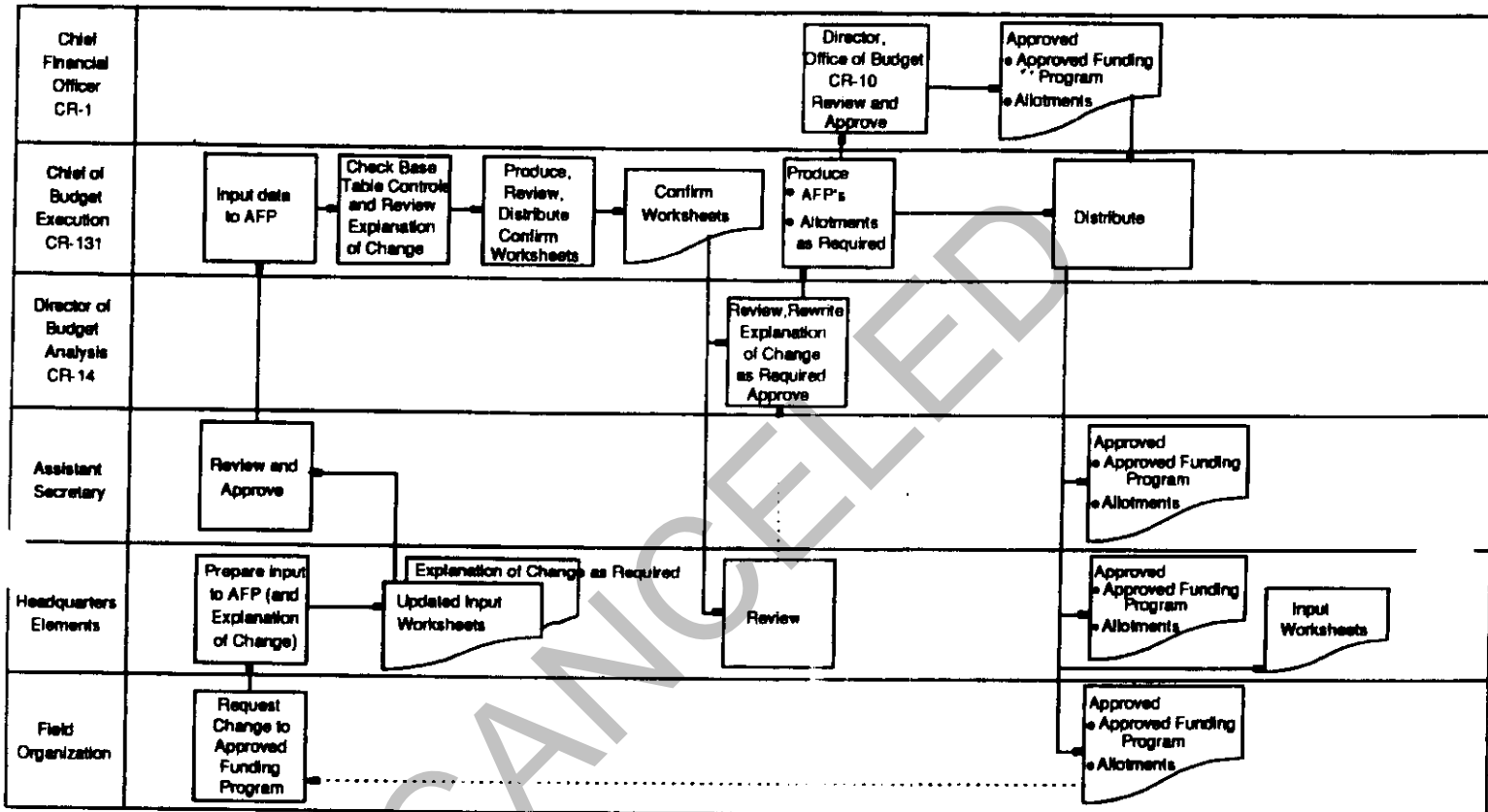
(2) Transfers from Another Agency.

- (a) After entering into an agreement with the transferring agency, the DOE Headquarters Element to receive the funds prepares a DOE F 2100.1, "Request for Allotment of Funds for Transfer Appropriations and Other Special Accounts." The completed form is submitted to CR-42 in anticipation of the pending transfer. Upon receipt of an accomplished copy of the SF 1151 (prepared by the transferring agency) from Treasury, CR-42 will certify receipt of the transfer by signing the DOE F 2100.1 and forwarding a copy of it, along with the SF 1151, to the Budget Execution Branch. The certified DOE F 2100.1 provides authority for CR-131 to issue an allotment to the cognizant allottee, which therein provides the authority to obligate and expend funds. The accompanying AFP provides lower-level details of the transfer funds as appropriate.
- (b) For identification purposes, DOE's agency code (89) will be affixed to the appropriation account symbol of the transferring agency; for example, a transfer from the General Service Administration's appropriation 47X4542 is identified as 89-47X4542 on the SF 1151. The Advice of Allotment and AFP will also carry this identification.
- (c) When any portion of an amount transferred to DOE is to be returned to the transferring agency, the affected DOE Headquarters Element shall request that CR-42 prepare the SF 1151 to return the funds. CR-42 will prepare the SF 1151 and submit it to CR-131 for concurrence. Before concurring, CR-131 will ensure that the applicable allotment has been reduced by the amount of the proposed transfer. When the SF 1151 has been executed by Treasury, CR-42 will provide a copy to CR-131 for its records.

ALLOTMENT AND APPROVED FUNDING PROGRAM CONTROLS



BUDGET EXECUTION ALLOTMENT AND FUNDING  
PROGRAM PROCESS



APPROVED FUNDING PROGRAM SCHEDULE

APRIL 1993						
SUNDAY	MONDAY	TUESDAY	WEDNESDAY	THURSDAY	FRIDAY	SATURDAY
				1	2 2nd workday	3
					Budget Examiner approvals due to Budget Execution Branch	
4	5 3rd workday	6	7 5th workday	8 6th workday	9 7th workday	10
	Compute April allotments		Budget Execution Branch Chief review of AFPs	April AFPs and allotments signed	April AFPs and May input worksheets available	
11	12	13	14	15	16 12th workday	17
					May AFP input due	
18	19	20	21	22	23	24
25	26	27	28	29	30 last workday	
				May confirm worksheets available for review	April End-of-Month processing	

EXAMPLE OF MONTHLY SCHEDULE FOR APPROVED FUNDING PROGRAM AND ALLOTMENT CHANGES



#### CRITERIA FOR ESTABLISHING A NEW DOE ALLOTMENT HOLDER

1. A justified need must be demonstrated which would result in the improvement of control, efficiency, or effectiveness over the present funds control system. This need should be coordinated through affected Headquarters Elements and addressed to the Chief Financial Officer.
2. A documented funds control system approved by the Office of Budget should be established and include the following.
  - a. An organization chart showing segregation of functions and responsibilities between certifying officials and those incurring or recording obligations and expenditures.
  - b. A narrative description of the funds control system operation including a functional flow chart; an explanation of the use as well as copies of the forms used in the funds control process; and a designation of officials by title authorized to certify available funds.
  - c. Desk procedures for handling and processing allotments and approved funding programs; for certifying funds available; and for processing and recording commitments and obligations.
  - d. A list of current individuals holding positions authorized to certify funds available. This list must be updated by memo from the DOE operations office Manager to the Director of Budget (CR-10), if personnel changes occur.
3. DOE operations/Field office operations should include procedures for:
  - a. Reconciling totals in the funds control system to totals in the most recent Advice of Allotment;
  - b. Ensuring the legal restrictions on the Advice of Allotment are not violated;
  - c. Accepting and approving reimbursable agreements from other Federal or Non-Federal entities;
  - d. Ensuring all available funds allotted are made available for obligation;
  - e. Ensuring all commitments, obligations, and expenditures are promptly reported and recorded.
  - f. Reviewing monthly financial reports to detect legal or administrative funds control violations for immediate reporting to the Chief Financial Officer;
  - g. Ensuring commitments (reservations) are cleared in a timely manner;

- h. Ensuring outdated obligations are detected and cleared in a timely Manner; and
      - i. Reconciling hard-copy reports with system-generated data.
- 4. An adequate control environment should consist of the following:
  - a. direct contract/procurement authority and budget responsibilities;
  - b. organizational alignment that provides a clear segregation of authorities, duties, and responsibilities between individuals responsible for funds control, personnel, procurement, program, and site or facility operations;
  - c. distribution of written, approved, funds control and office operating procedures to all appropriate individuals involved in the funds control function;
  - d. supervisory oversight and management practices to ensure that the funds control procedures are followed;
  - e. security procedures and storage systems to ensure only authorized officials have access to funds control and funds certification records, documents, and forms control.
  - f. access to DISCAS capabilities;
  - g. computer hardware and software capable of accessing the Office of Budget Funds Distribution System; and
  - h. certification by the proposed allottee that all criteria for establishing an allotment holder have been met, and that adequate internal controls are in place.

EXAMPLE OF HQ F 2260.2  
"ADVICE OF ALLOTMENT"

HQ F 2260.2

U.S. DEPARTMENT OF ENERGY  
ADVICE OF ALLOTMENT

R-FDS1121-001

ALLOTMENT SYMBOL : AL-22-91  
FISCAL YEAR : 1992

DATE : 03/09/92  
CHANGE NUMBER : 5

ISSUED TO : MANAGER, DOE ALBUQUERQUE FIELD OFFICE

APPROPRIATION : 89X0222  
GENERAL SCIENCE AND RESEARCH ACTIVITIES

AUTHORIZED BY : LYNWOOD H. HENDERSON DIRECTOR, OFFICE OF BUDGET

DESCRIPTION	NET AMOUNT	ALLOTMENT CHANGES		REVISED AMOUNT
	PREVIOUSLY	ORIGINAL	WITHDRAWAL	AVAILABLE UNDER
	AVAILABLE UNDER	ISSUE OR	OR DECREASE	ABOVE ALLOTMENT
	ABOVE ALLOTMENT	INCREASE		SYMBOL
	SYMBOL			

TOTAL AVAILABLE FOR OBLIGATION	57,684,320	5,000	57,734,320
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REMARKS OR INSTRUCTIONS

To issue allotment in accordance with approved funding program # 7.

Budgetary resources provided by this allotment are to be executed in accordance with the terms and provisions of P. L. 102-104, the Energy and Water Development Appropriations Act.

THIS ADVICE OF ALLOTMENT AUTHORIZES THE ALLOTTEE TO INCUR OBLIGATIONS AND TO MAKE EXPENDITURES UNDER THE APPROPRIATION CITED. OBLIGATIONS INCURRED AND EXPENDITURES MADE UNDER THIS ALLOTMENT WILL BE SUBJECT TO THE AMOUNTS, SPECIFIC LIMITATIONS, AND INSTRUCTIONS AS INDICATED. THEY ALSO WILL BE SUBJECT TO PROVISIONS OF APPLICABLE STATUTES, AND OTHER PUBLISHED INSTRUCTIONS PERTAINING TO THE AVAILABILITY OF APPROPRIATIONS. OBLIGATIONS MAY NOT BE INCURRED IN EXCESS OF ANY OF THE AMOUNTS ALLOTTED AS SHOWN ABOVE. (SEE TITLE 31 OF THE UNITED STATES CODE, SECTION 1514.)

EXAMPLE OF FORMAT 1537  
"PROPOSED APPROVED FUNDING PROGRAM INPUT WORKSHEET"

R-FDS1537-001

U.S. DEPARTMENT OF ENERGY  
FUNDS DISTRIBUTION SYSTEM  
PROPOSED APPROVED FUNDING PROGRAM INPUT WORKSHEET  
89X0222 - GENERAL SCIENCE AND RESEARCH ACTIVITIES  
FISCAL YEAR 199

03/10/92  
PAGE: 1

FUND TYPE - WA		KA1 - HIGH ENERGY PHYSICS				EH - ENERGY RESEARCH, OFFICE OF						
B&R CODE	B&R TITLE / CONTRACTOR NAME	APP REC	CID	NARC	P I	TYPE	CURRENT APPROVED AMOUNT	F1	F2	REQUESTED CHANGE	F1	F2

I CERTIFY THAT ALL REDUCTIONS IN ALLOTMENTS RESULTING FROM THE CHANGES, AS REQUESTED, HAVE BEEN VERIFIED WITH THE ALLOTTEES AS BEING UNOBLIGATED AND AVAILABLE FOR WITHDRAWAL.

\_\_\_\_\_  
AUTHORIZED APPROVING OFFICIAL                      DATE

OPERATING EXPENSES: 89X0222.91

KA HIGH ENERGY PHYSICS  
O KA01 PHYSICS RESEARCH  
KA0101 RESEARCH

UNIVERSITY OF CALIFORNIA (LANL)	AL	ALENG36	NEW OA	550,000	<u>+50,000</u>
			UNOB BAL	0	
			TOTAL OA	550,000	
			EST COST	550,000	<u>+50,000</u>
			DOE RES	0	
			OMB RES	0	
OTHER	AL	9999999	NEW OA	40,000	
			UNOB BAL	0	
			TOTAL OA	40,000	
			EST COST	40,000	
			DOE RES	0	
			OMB RES	0	
IOWA STATE UNIVERSITY (AMES)	AM	CHENG82	NEW OA	1,120,000	<u>-50,000</u>
			UNOB BAL	0	
			TOTAL OA	1,120,000	
			EST COST	1,120,000	<u>-50,000</u>
			DOE RES	0	
			OMB RES	0	

O - OBLIGATIONAL CONTROL LEVEL NOT TO BE EXCEEDED

EXAMPLE OF FORMAT 1537  
"PROPOSED APPROVED FUNDING PROGRAM INPUT WORKSHEET"  
(CONTINUED)

R-FDS1537-001

U.S. DEPARTMENT OF ENERGY  
FUNDS DISTRIBUTION SYSTEM  
PROPOSED APPROVED FUNDING PROGRAM INPUT WORKSHEET  
89X0222 - GENERAL SCIENCE AND RESEARCH ACTIVITIES  
FISCAL YEAR 1991

03/10/92  
PAGE: 17

FUND TYPE - MA		KA1 - HIGH ENERGY PHYSICS				KE - ENERGY RESEARCH, OFFICE OF				
B&R CODE	B&R TITLE / CONTRACTOR NAME	AFP REC	CID	NAF I	O P TYPE	CURRENT APPROVED AMOUNT	F1	F2	REQUESTED CHANGE	F1 F2
CAPITAL EQUIPMENT: 89X0222.91										
35KA	HIGH ENERGY PHYSICS									
O 35KA02	FACILITY OPERATIONS									
	IOWA STATE UNIVERSITY (AMES)	AM	CHENG82		NEW OA	100,000				
	MIE NUMBER: 99ZZ				UNOB BAL	0				
	MIE TITLE: OTHER THAN MAJOR ITEMS				TOTAL OA	100,000				
					EST COST	0				
					DOE RES	0				
					OMB RES	0				
	UNIVERSITY OF CHICAGO (ANL)	AN	CHENG38		NEW OA	2,257,000				
	MIE NUMBER: 99ZZ				UNOB BAL	0				
	MIE TITLE: OTHER THAN MAJOR ITEMS				TOTAL OA	2,257,000				
					EST COST	0				
					DOE RES	0				
					OMB RES	0				
	ASSOCIATED UNIVERSITIES, INC (BNL)	BN	CH00016		NEW OA	11,110,000				
	MIE NUMBER: 99ZZ				UNOB BAL	0				
	MIE TITLE: OTHER THAN MAJOR ITEMS				TOTAL OA	11,110,000				
					EST COST	0				
					DOE RES	0				
					OMB RES	0				
	UNIV RES ASSOC - FERMILAB	CB	CH03000		NEW OA	30,485,000				
	MIE NUMBER: 99ZZ				UNOB BAL	0				
	MIE TITLE: OTHER THAN MAJOR ITEMS				TOTAL OA	30,485,000				
					EST COST	0				
					DOE RES	0				
					OMB RES	0				

O - OBLIGATIONAL CONTROL LEVEL NOT TO BE EXCEEDED

EXAMPLE OF FORMAT 1537  
"PROPOSED APPROVED FUNDING PROGRAM INPUT WORKSHEET"  
(CONTINUED)

R-FDS1537-001

U.S. DEPARTMENT OF ENERGY  
FUNDS DISTRIBUTION SYSTEM  
PROPOSED APPROVED FUNDING PROGRAM INPUT WORKSHEET  
89X0222 - GENERAL SCIENCE AND RESEARCH ACTIVITIES  
FISCAL YEAR '92

03/10/92  
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FUND TYPE - WA KA1 - HIGH ENERGY PHYSICS

EH - ENERGY RESEARCH, OFFICE OF

B&R CODE	B&R TITLE / CONTRACTOR NAME	AFP REC	CID	O P WARR	TYPE	CURRENT APPROVED		REQUESTED	
						AMOUNT	F1 F2	CHANGE	F1 F2
PLANT/CONSTRUCTION: 89X0222.91									
39RA	HIGH ENERGY PHYSICS								
0	PROJECT NUMBER: GPE103-000 PROJECT TITLE: GENERAL PLANT PROJECTS								
	ASSOCIATED UNIVERSITIES, INC (BNL) TEC: 29,135,384	BN	CB00016		NEW OA UNOB BAL	6,198,000 1,280			
					TOTAL OA	6,199,280			
					EST COST	0			
					DOE RES	0			
					OMB RES	0			
	UNIV RES ASSOC - FERMI LAB TEC: 16,329,452	CB	CB0300C		NEW OA UNOB BAL	4,140,000 0			
					TOTAL OA	4,140,000			
					EST COST	0			
					DOE RES	0			
					OMB RES	0			
	STANFORD UNIVERSITY (SLAC) TEC: 21,795,815	SF	SF00515		NEW OA UNOB BAL	3,060,000 0			
					TOTAL OA	3,060,000			
					EST COST	0			
					DOE RES	0			
					OMB RES	0			
0 TOTAL, PROJECT NUMBER:	GPE103				NEW OA UNOB BAL	13,398,000 1,280			
					TOTAL OA	13,399,280			
					OMB RES	0			

0 - OBLIGATIONAL CONTROL LEVEL NOT TO BE EXCEEDED

EXAMPLE OF FORMAT 1541  
"PROPOSED APPROVED FUNDING PROGRAM CONFIRM WORKSHEET"

ORGANIZATION NAME	AFP REC	TYPE	OBLIGATIONAL AUTHORITY		
			PREVIOUS 03/09/92	CHANGE	REVISED
MANAGER, DOE ALBUQUERQUE FIELD OFFICE	AL	TOTAL OA	964,000	50,000	1,014,000
AMES LABORATORY	AM	TOTAL OA	1,220,000	50,000-	1,170,000
ARGONNE NATIONAL LABORATORY	AN	TOTAL OA	10,178,000	0	10,178,000
		DOE RES	109,000	0	109,000
		TOTAL	10,287,000	0	10,287,000
BROOKHAVEN NATIONAL LABORATORY	BN	TOTAL OA	86,544,532	0	86,544,532
MANAGER, DOE CHICAGO FIELD OFFICE	CH	TOTAL OA	287,435,714	0	287,435,714
		DOE RES	12,500,000	0	12,500,000
		TOTAL	299,935,714	0	299,935,714
ENERGY RESEARCH, OFFICE OF	EH	TOTAL OA	10,730,951	0	10,730,951
		DOE RES	6,116,000	0	6,116,000
		TOTAL	16,846,951	0	16,846,951
LAWRENCE BERKELEY LABORATORY	LB	TOTAL OA	22,540,000	0	22,540,000
LAWRENCE LIVERMORE NATIONAL LABORATORY	LL	TOTAL OA	1,240,000	0	1,240,000
OAK RIDGE NATIONAL LABORATORY	OM	TOTAL OA	405,000	0	405,000
MANAGER, DOE OAK RIDGE FIELD OFFICE	OR	TOTAL OA	14,925,000	0	14,925,000
MANAGER, DOE RICHLAND FIELD OFFICE	RL	TOTAL OA	2,424,000	0	2,424,000
MANAGER, DOE SAN FRANCISCO FIELD OFFICE	SF	TOTAL OA	167,295,757	0	167,295,757
MANAGER, DOE SAVANNAH RIVER FIELD OFFICE	SR	TOTAL OA	300,000	0	300,000
PROJ MGR, SSC PROJECT OFFICE	SU	TOTAL OA	3,187,000	0	3,187,000
TOTAL, HIGH ENERGY PHYSICS		TOTAL OA	609,389,954	0	609,389,954
		DOE RES	18,723,000	0	18,723,000
		TOTAL	628,112,954	0	628,112,954

EXAMPLE OF FORMAT 1541  
"PROPOSED APPROVED FUNDING PROGRAM CONFIRM WORKSHEET"  
(CONTINUED)

B-FBS1541-001		U.S. DEPARTMENT OF ENERGY FUNDS DISTRIBUTION SYSTEM PROPOSED APPROVED FUNDING PROGRAM CONFIRM WORKSHEET 09X0222 - GENERAL SCIENCE AND RESEARCH ACTIVITIES FISCAL YEAR 1992				03/10/92 PAGE: 2			
KA1 - HIGH ENERGY PHYSICS		PH - ENERGY RESEARCH, OFFICE OF							
BAR CODE	BAR TITLE/ CONTRACTOR NAME	CID	AFP REC	REVISED FY 1992 EST COST	TYPE	OBLIGATIONAL AUTHORITY			
						PREVIOUS 03/09/92	F1 F2	CHANGE	F1 F2
OPERATING EXPENSES: 09X0222.91									
KA	HIGH ENERGY PHYSICS								
0 KA01	PHYSICS RESEARCH								
KA0101	RESEARCH								
	UNIVERSITY OF CALIFORNIA (LAML)	ALENG36	AL		NEW OA	550,000	50,000	600,000	
					UNOB BAL	0	0	0	
				600,000	TOTAL OA	550,000	50,000	600,000	
	OTHER	9999999	AL		NEW OA	40,000	0	40,000	
					UNOB BAL	0	0	0	
				40,000	TOTAL OA	40,000	0	40,000	
	IOWA STATE UNIVERSITY (AMES)	CHENG02	AM		NEW OA	1,120,000	50,000-	1,070,000	
					UNOB BAL	0	0	0	
				1,070,000	TOTAL OA	1,120,000	50,000-	1,070,000	
	UNIVERSITY OF CHICAGO (ANL)	CHENG38	AM		NEW OA	5,790,000	0	5,790,000	
					UNOB BAL	0	0	0	
				5,790,000	TOTAL OA	5,790,000	0	5,790,000	
					DOE RES	80,000	0	80,000	
					TOTAL	5,870,000	0	5,870,000	
	ASSOCIATED UNIVERSITIES, INC (BML)	CH00016	BN		NEW OA	8,590,000	0	8,590,000	
					UNOB BAL	0	0	0	
				8,590,000	TOTAL OA	8,590,000	0	8,590,000	
	UNIV RES ASSOC - FERMILAB	CH03000	CH		NEW OA	9,140,000	0	9,140,000	
					UNOB BAL	0	0	0	
				9,140,000	TOTAL OA	9,140,000	0	9,140,000	
	OTHER	9999999	CH		NEW OA	59,500,000	0	59,500,000	
					UNOB BAL	0	0	0	
				59,500,000	TOTAL OA	59,500,000	0	59,500,000	
	OTHER	9999999	EH		NEW OA	1,776,707	0	1,776,707	
					UNOB BAL	7,707	0	7,707	
				1,776,707	TOTAL OA	1,776,707	0	1,776,707	
	UNIVERSITY OF CALIFORNIA (LBL)	SF00098	LB		NEW OA	11,290,000	0	11,290,000	
					UNOB BAL	0	0	0	
				11,290,000	TOTAL OA	11,290,000	0	11,290,000	

0 - OBLIGATIONAL CONTROL LEVEL NOT TO BE EXCEEDED



EXAMPLE OF FORMAT 1541  
"PROPOSED APPROVED FUNDING PROGRAM CONFIRM WORKSHEET"  
(CONTINUED)

B-FBI1541-001		U.S. DEPARTMENT OF ENERGY FUNDS DISTRIBUTION SYSTEM PROPOSED APPROVED FUNDING PROGRAM CONFIRM WORKSHEET 89K0222 - GENERAL SCIENCE AND RESEARCH ACTIVITIES FISCAL YEAR 1992						03/16/92 PAGE: 19			
NA		EH - ENERGY RESEARCH, OFFICE OF									
NA1 - HIGH ENERGY PHYSICS		OBLIGATIONAL AUTHORITY									
BAR CODE	BAR TITLE/ CONTRACTOR NAME	CID	APP REC	REVISED FY 199: EST COS'3	TYPE	PREVIOUS 03/09/92	F1 F2	CHANGE	F1 F2	REVISED	F1 F2
CAPITAL EQUIPMENT: 89K0222.91											
35KA	HIGH ENERGY PHYSICS										
0 35KA02	FACILITY OPERATIONS										
	IONA STATE UNIVERSITY (AMES)	CHENG02	AM		NEW OA	100,000		0		100,000	
	NIE NUMBER: 9922				UNOB BAL	0		0		0	
	NIE TITLE: OTHER THAN MAJOR ITEMS				TOTAL OA	100,000		0		100,000	
	UNIVERSITY OF CHICAGO (AML)	CHENG38	AM		NEW OA	2,257,000		0		2,257,000	
	NIE NUMBER: 9922				UNOB BAL	0		0		0	
	NIE TITLE: OTHER THAN MAJOR ITEMS				TOTAL OA	2,257,000		0		2,257,000	
	ASSOCIATED UNIVERSITIES, INC (ONL)	CH0024	AM		NEW OA	11,110,000		0		11,110,000	
	NIE NUMBER: 9922				UNOB BAL	0		0		0	
	NIE TITLE: OTHER THAN MAJOR ITEMS				TOTAL OA	11,110,000		0		11,110,000	
	UNIV RES ASSOC - FERMILAB	CH0300	CH		NEW OA	30,485,000		0		30,485,000	
	NIE NUMBER: 9922				UNOB BAL	0		0		0	
	NIE TITLE: OTHER THAN MAJOR ITEMS				TOTAL OA	30,485,000		0		30,485,000	
	OTHER	999999	CH		NEW OA	900,000	M	0		900,000	M
	NIE NUMBER: 20FC				UNOB BAL	0		0		0	
	NIE TITLE: LEPICS SYSTEM UPGRADE, MIT				TOTAL OA	900,000		0		900,000	
	OTHER	999999	CH		NEW OA	8,795,000		0		8,795,000	
	NIE NUMBER: 9922				UNOB BAL	0		0		0	
	NIE TITLE: OTHER THAN MAJOR ITEMS				TOTAL OA	8,795,000		0		8,795,000	
	OTHER	999999	EH		NEW OA	4,929,000		0		4,929,000	
	NIE NUMBER: 9922				UNOB BAL	4,929		0		4,929	
	NIE TITLE: OTHER THAN MAJOR ITEMS				TOTAL OA	4,933,991		0		4,933,991	
	UNIVERSITY OF CALIFORNIA (LBL)	SF0098	LS		NEW OA	2,050,000		0		2,050,000	
	NIE NUMBER: 9922				UNOB BAL	0		0		0	
	NIE TITLE: OTHER THAN MAJOR ITEMS				TOTAL OA	2,050,000		0		2,050,000	
	OTHER	999999	DR		NEW OA	1,005,000		0		1,005,000	
	NIE NUMBER: 9922				UNOB BAL	0		0		0	
	NIE TITLE: OTHER THAN MAJOR ITEMS				TOTAL OA	1,005,000		0		1,005,000	
	OTHER	999999	RL		NEW OA	140,000		0		140,000	
	NIE NUMBER: 9922				UNOB BAL	0		0		0	
	NIE TITLE: OTHER THAN MAJOR ITEMS				TOTAL OA	140,000		0		140,000	

0 - OBLIGATIONAL CONTROL LEVEL NOT TO BE EXCEEDED

EXAMPLE OF FORMAT 1541  
"PROPOSED APPROVED FUNDING PROGRAM CONFIRM WORKSHEET"  
(CONTINUED)

R-FW1541-001

U.S. DEPARTMENT OF ENERGY  
FUNDS DISTRIBUTION SYSTEM  
PROPOSED APPROVED FUNDING PROGRAM CONFIRM WORKSHEET  
09X0222 - GENERAL SCIENCE AND RESEARCH ACTIVITIES  
FISCAL YEAR 1992

03/10/92  
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KA1 - HIGH ENERGY PHYSICS

EM - ENERGY RESEARCH, OFFICE OF

BAR CODE	BAR TITLE/ CONTRACTOR NAME	CID	AFP REC	REVISED FY 1992 EST COSTS	TYPE	OBLIGATIONAL AUTHORITY				
						PREVIOUS 03/09/92	F1 F2	CHANGE	F1 F2	REVISED
PLANT/CONSTRUCTION: 09X0222.91										
39KA HIGH ENERGY PHYSICS										
D PROJECT NUMBER: 0PE103-000 PROJECT TITLE: GENERAL PLANT PROJECTS										
ASSOCIATED UNIVERSITIES, INC (BNL) TEC: 29,135,384		CH00014	BN	NEW OA UNOB BAL TOTAL OA	6,190,000 1,280 6,199,280	0 0 0	0	0	6,190,000 1,280 6,199,280	0 0 0
UNIV RES ASSOC - FERMILAB TEC: 16,329,452		CH03000	CH	NEW OA UNOB BAL TOTAL OA	4,140,000 0 4,140,000	0 0 0	0	0	4,140,000 0 4,140,000	0 0 0
STANFORD UNIVERSITY (SLAC) TEC: 21,795,815		SF00515	SF	NEW OA UNOB BAL TOTAL OA	3,060,000 0 3,060,000	0 0 0	0	0	3,060,000 0 3,060,000	0 0 0
D TOTAL, PROJECT NUMBER: 0PE103				NEW OA UNOB BAL TOTAL OA	13,390,000 1,280 13,399,280	0 0 0	0	0	13,390,000 1,280 13,399,280	0 0 0
D PROJECT NUMBER: 61F007-000 PROJECT TITLE: LINEAR ELECTRON ACCELERATOR										
STANFORD UNIVERSITY (SLAC) TEC: 115,879,359		SF00515	SF	NEW OA UNOB BAL TOTAL OA	0 0 0	0 0 0	0	0	0 0 0	0 0 0
D PROJECT NUMBER: 75006A-000 PROJECT TITLE: ACCELERATOR AND REAC IMPROVEMENTS AND MODS										
STANFORD UNIVERSITY (SLAC) TEC: 900,000		SF00515	SF	NEW OA UNOB BAL TOTAL OA	0 610 610	0 0 0	0	0	0 610 610	0 0 0

0 - OBLIGATIONAL CONTROL LEVEL NOT TO BE EXCEEDED

U.S. DEPARTMENT OF ENERGY  
 FUNDS DISTRIBUTION SYSTEM  
 APPROVED FUNDING PROGRAM  
 09X0222 - GENERAL SCIENCE AND RESEARCH ACTIVITIES  
 FISCAL YEAR 1992

APPROVED FUNDING PROGRAM NO. 7

AL - MANAGER, DOE ALBUQUERQUE FIELD OFFICE

	OBLIGATIONAL AUTHORITY			RESERVES	
	PREVIOUS	CHANGE	REVISED	DOE	OMB
OPERATING EXPENSES.....	54,039,000	50,000	54,089,000	0	0
CAPITAL EQUIPMENT.....	3,640,000	0	3,640,000	0	0
PLANT/CONSTRUCTION.....	5,320	0	5,320	0	0
SUBTOTAL, PLANT AND CAPITAL EQUIPMENT.....	3,645,320	0	3,645,320	0	0
TOTAL, DIRECT FUNDING.....	57,684,320	50,000	57,734,320	0	0
TOTAL, OBLIGATIONAL AUTHORITY.....	57,684,320	50,000	57,734,320	0	0

CANCELED

EXAMPLE OF FORMAT 1540  
 APPROVED FUNDING PROGRAM

DIRECTOR, OFFICE OF BUDGET  
 (SIGNED) LYNNWOOD H. HENDERSON  
 03/09/92

U.S. DEPARTMENT OF ENERGY  
 FUNDS DISTRIBUTION SYSTEM  
 APPROVED FUNDING PROGRAM  
 89X0222 - GENERAL SCIENCE AND RESEARCH ACTIVITIES  
 FISCAL YEAR 1992

		APPROVED FUNDING PROGRAM NO. 7							
AL - MANAGER, DOE ALBUQUERQUE FIELD OFFICE									
BAR CODE	BAR TITLE/ CONTRACTOR NAME	CID	REVISED FY 1992 EST COSTS	TYPE	OBLIGATIONAL AUTHORITY				TOTAL
					NEW	F1 F2	UNOD BAL	F1 F2	
OPERATING EXPENSES: 89X0222.91 (NA)									
0 KA01	HIGH ENERGY PHYSICS PHYSICS RESEARCH RESEARCH								
	UNIVERSITY OF CALIFORNIA (LAML)	ALENG36	550,000	PREVIOUS	550,000		0		550,000
			<del>50,000</del>	CHANGE	<del>50,000</del>		0		<del>50,000</del>
			600,000	REVISED	600,000		0		600,000
	OTHER	9999999	40,000	PREVIOUS	40,000		0		40,000
0 KA0101	TOTAL, RESEARCH		590,000	PREVIOUS	590,000		0		590,000
			<del>50,000</del>	CHANGE	<del>50,000</del>		0		<del>50,000</del>
			640,000	REVISED	640,000		0		640,000
0 KA0102	RESEARCH SUPPORT								
	UNIVERSITY OF CALIFORNIA (LAML)	ALENG36	5,000	PREVIOUS	5,000		0		5,000
	KA0102 TOTAL, RESEARCH SUPPORT		5,000	PREVIOUS	5,000		0		5,000
0 KA01	TOTAL, PHYSICS RESEARCH		595,000	PREVIOUS	595,000		0		595,000
			<del>50,000</del>	CHANGE	<del>50,000</del>		0		<del>50,000</del>
			645,000	REVISED	645,000		0		645,000
0 KA03	HIGH ENERGY TECHNOLOGY ACCELERATOR RESEARCH AND DEVELOPMENT								
	UNIVERSITY OF CALIFORNIA (LAML)	ALENG36	369,000	PREVIOUS	369,000		0		369,000
	KA0301 TOTAL, ACCELERATOR RESEARCH AND DEVELOPMENT		369,000	PREVIOUS	369,000		0		369,000
0 KA03	TOTAL, HIGH ENERGY TECHNOLOGY		369,000	PREVIOUS	369,000		0		369,000
KA	TOTAL, HIGH ENERGY PHYSICS		964,000	PREVIOUS	964,000		0		964,000
			<del>50,000</del>	CHANGE	<del>50,000</del>		0		<del>50,000</del>
			1,014,000	REVISED	1,014,000		0		1,014,000

EXAMPLE OF FORMAT 1540  
 APPROVED FUNDING PROGRAM  
 (CONTINUED)

0 - OBLIGATIONAL CONTROL LEVEL NOT TO BE EXCEEDED

R-FDS1540-001

U.S. DEPARTMENT OF ENERGY  
FUNDS DISTRIBUTION SYSTEM  
APPROVED FUNDING PROGRAM  
89X0222 - GENERAL SCIENCE AND RESEARCH ACTIVITIES  
FISCAL YEAR 1992

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AL - MANAGER, DOE ALBUQUERQUE FIELD OFFICE

APPROVED FUNDING PROGRAM NO. 7

BAR CODE	BAR TITLE/ CONTRACTOR NAME	CID	REVISED FY 1992 EST COSTS	TYPE	OBLIGATIONAL AUTHORITY				TOTAL
					NEW	F1 F2	UNOB BAL	F1 F2	
(CAPITAL EQUIPMENT: 89X0222.91 (WA))									
35KB D 35KB01	NUCLEAR PHYSICS PROGRAMMATIC EQUIPMENT								
	UNIVERSITY OF CALIFORNIA (LAML) NIE NUMBER: 11CA NIE TITLE: SMO DETECTOR COMPONENTS	ALENG36	0	PREVIOUS	300,000		0		300,000
	UNIVERSITY OF CALIFORNIA (LAML) NIE NUMBER: 11CB NIE TITLE: MAJOR DETECTOR SYSTEMS	ALENG36	0	PREVIOUS	1,500,000		0		1,500,000
	UNIVERSITY OF CALIFORNIA (LAML) NIE NUMBER: 71CA NIE TITLE: EXPERIMENTAL AREA BEAM LINES	ALENG36	0	PREVIOUS	340,000		0		340,000
	UNIVERSITY OF CALIFORNIA (LAML) NIE NUMBER: 71CB NIE TITLE: INSTRUMENTATION CONTROL SYSTEM	ALENG36	0	PREVIOUS	500,000		0		500,000
	UNIVERSITY OF CALIFORNIA (LAML) NIE NUMBER: 9922 NIE TITLE: OTHER THAN MAJOR ITEMS	ALENG36	0	PREVIOUS	1,000,000		0		1,000,000
D 35KB01	TOTAL, PROGRAMMATIC EQUIPMENT		0	PREVIOUS	3,640,000		0		3,640,000
35KB	TOTAL, NUCLEAR PHYSICS		0	PREVIOUS	3,640,000		0		3,640,000
	TOTAL, CAPITAL EQUIPMENT (WA).....		0	PREVIOUS	3,640,000		0		3,640,000

0 - OBLIGATIONAL CONTROL LEVEL NOT TO BE EXCEEDED

EXAMPLE OF FORMAT 1540  
APPROVED FUNDING PROGRAM  
(CONTINUED)

R-FDS1540-001

U.S. DEPARTMENT OF ENERGY  
FUNDS DISTRIBUTION SYSTEM  
APPROVED FUNDING PROGRAM  
89X022Z - GENERAL SCIENCE AND RESEARCH ACTIVITIES  
FISCAL YEAR 1992

PAGE: 7

AL - MANAGER, DOE ALBUQUERQUE FIELD OFFICE

APPROVED FUNDING PROGRAM NO. 7

BAR CODE	BAR TITLE/ CONTRACTOR NAME	CID	REVISED FY 1992 EST COSTS	TYPE	OBLIGATIONAL AUTHORITY			
					NEW	F1 F2	UNOB BAL	F1 F2
PLANT/CONSTRUCTION: 89X022Z.91 (NA)								
59KB	MUCIFAR PHYSICS							
0	PROJECT NUMBER: GPF100-000 PROJECT TITLE: GENERAL PLANT PROJECTS							
	UNIVERSITY OF CALIFORNIA (LANL) TEC: 5,272,814	ALENG36	0	PREVIOUS	0		3,594	3,594
0	PROJECT NUMBER: 87R201-000 PROJECT TITLE: ACCELERATOR IMPROVEMENTS AND MODS, VARIOUS LOCATIONS							
	UNIVERSITY OF CALIFORNIA (LANL) TEC: 1,400,800	ALENG36	0	PREVIOUS	0		1,726	1,726
0	PROJECT NUMBER: 88R201-000 PROJECT TITLE: AIP, VARIOUS LOCATIONS							
	UNIVERSITY OF CALIFORNIA (LANL) TEC: 500,000	ALENG36	0	PREVIOUS	0		0	0
0	PROJECT NUMBER: 89R201-000 PROJECT TITLE: AIP, VARIOUS LOCATIONS							
	UNIVERSITY OF CALIFORNIA (LANL) TEC: 400,000	ALENG36	0	PREVIOUS	0		0	0
0	PROJECT NUMBER: 90R300-000 PROJECT TITLE: AIP							
	UNIVERSITY OF CALIFORNIA (LANL) TEC: 493,000	ALENG36	0	PREVIOUS	0		0	0

EXAMPLE OF FORMAT 1540  
APPROVED FUNDING PROGRAM  
(CONTINUED)

0 - OBLIGATIONAL CONTROL LEVEL NOT TO BE EXCEEDED

EXAMPLE OF EXPLANATION OF APPROVED FUNDING  
PROGRAM CHANGE

APPROVED FUNDING PROGRAM  
EXPLANATION OF CHANGE

Appropriation Symbol and Title: 89X0222, General Science and Research Activities

Program: Nuclear Physics

<u>Base Table Line Item Title and B&amp;R Code</u>	<u>(Obligations in Thousands)</u>		
	<u>Current Amount</u>	<u>Change</u>	<u>Proposed Amount</u>
<i>Operating Expenses</i>			
Medium Energy Physics (KB01)	5,000	650	5,650
Heavy Ion Physics (KB02)	9,000	1,350	7,650
<i>Capital Equipment</i>			
Medium Energy Physics (KB01)		1,000	1,000
<i>Construction</i>			
93-R-209, Heavy Ion Facility (39KB02)	0	500	500

**Narrative:** Proposed approved funding programs (AFPs) reflect approval of reprogramming number 93-R-100 (see Congressional correspondence dated 9/5/93 relating to this reprogramming).

Concurrence: \_\_\_\_\_  
Budget Analysis Division Analyst

## CHAPTER V

### CHANGES TO THE APPROVED BUDGET PLAN

1. GENERAL. During the fiscal year, events or conditions may necessitate changes to the budget plan as presented to and subsequently appropriated by Congress. In accordance with policies contained in DOE O 135.1, BUDGET EXECUTION-FUNDS DISTRIBUTION AND CONTROL, changes to the approved budget plan must be communicated to the cognizant Congressional committees as they occur. Processes designed to address these changes include reprogrammings, restructurings, appropriation transfers, rescissions, and deferrals.
  - a. Reprogramming, Restructuring, and Appropriation Transfers.
    - (1) Title 31 U.S.C., Section 1301, expressly prohibits the expenditure of funds in an appropriation or appropriation account for purposes other than those for which they were appropriated by Congress. For DOE, these Congressional controls represent the approved program baseline and are generally delineated in the Department's base table and related documentation. Chapter II of this manual contains additional information detailing the approved program baseline. It is the Department's policy that significant changes to program execution shall be considered only to meet unforeseen or emergency situations, as discussed in paragraph 4, below. In this regard, Congress requires the Department to ensure that the appropriate committees are promptly and fully notified whenever a necessary change to the approved program baseline is required. Accordingly, notifications of such changes are provided to Congress through submission of formal reprogramming, restructuring, and appropriation transfer proposals, and the Department shall comply with subsequent directions in the responses from the Congressional committees. It is further the policy of DOE that the need for reprogramming, restructuring, or appropriation transfer action be determined promptly and that documents supporting such actions be processed expeditiously within the Department. Preparing offices shall consider the use of simultaneous concurrences, special committees, and other means of reducing the time required to prepare documents for submission to Congress.
    - (2) There may be changes in program execution or unforeseen events encountered that, although not requiring formal notification procedures, may affect areas of known Congressional interests or concerns. In these cases, the Department may elect to notify the appropriate committees, through less formal procedures, with the intent of keeping them fully informed of adjustments in program. Additionally, Congress may authorize the Department, through



annual legislation, to independently accomplish changes to the approved program baseline within specified limits without submitting formal notifications in advance. The Department considers this internal approval authority a means for effecting flexibility in its programs and, therefore, intends to take the necessary precautions to ensure this flexibility is in no way jeopardized nor the authority revoked. Therefore, all reprogramming, restructuring, and appropriation transfer proposals initiated within the Department, including those not deemed to require prior Congressional notification, will adhere to the procedures identified in paragraph 5, below. Failure to keep Congress currently and fully informed of changes in program execution, as required, will not only violate the trust and latitude granted the Department, but could translate into stringent statutory constraints and limitations imposed on the Department by Congress.

b. Rescissions and Deferrals.

- (1) A rescission is enacted legislation initiated by either the Administration or Congress that cancels budget authority. Rescissions are proposed under the following circumstances:
  - (a) The President determines that all or part of any budget authority is not required to carry out the full objective or scope of programs for which it was provided;
  - (b) The President determines that budget authority should be rescinded for fiscal policy reasons; or
  - (c) All or part of any budget authority due to expire at the end of the fiscal year is to be reserved from obligation for the entire fiscal year.
- (2) A deferral is an executive action or inaction designed to temporarily withhold, delay, or preclude the obligation or expenditure of budget authority. The President or Department may initiate deferrals to:
  - (a) Provide for contingencies;
  - (b) Achieve savings made possible because of changes in requirements or greater efficiency of operations; or
  - (c) Comply with public law.

2. TIMING. Changes to the approved budget plan may be proposed at any time during the fiscal year if unforeseen events or conditions necessitate changes to the approved program levels contained in the base table. Accordingly, proposed changes should be monitored and reviewed to

determine if a need still exists for their original purpose and to assess their current status. For example, if it is determined that deferred funds are no longer required, actions should be initiated to rescind the budget authority.

3. REPROGRAMMING. Reprogramming is the use of funds in an appropriation account for purposes other than those contemplated by Congress during appropriation action. Reprogramming differs from appropriation transfer, which is prohibited unless specifically authorized by statute. Reprogramming actions result under the following circumstances:
  - a. Departure from a program baseline as described in the Department's base table and amplified in Congressional reports (House, Senate, or Conference) accompanying authorization and appropriations acts; or
  - b. Significant programmatic departure from that described in Congressional budget narrative justifications (as approved by OMB and Congress) and Congressional testimony (including questions and answers submitted for the hearing record). These departures may be identified as follows:
    - (1) The reallocation of funds from one activity, program, function, or project to another within an appropriation. Most of these actions result in base table changes; however, some changes may qualify as reprogramming actions but not result in base table changes.
    - (2) The use of funds for purposes other than those presented to and approved by Congress, such as a new start within a generic line or a significant change in scope.
    - (3) The adjustment of activities involving areas of known Congressional special interests, concerns, or sensitivities.
  - c. Other Considerations.
    - (1) Compliance with the requirements associated with reprogramming is largely a matter of maintaining "full faith and credit" with Congressional committees. As such, Congress shall be advised not only of changes that affect the approved program baseline but also of a variety of circumstances and events that affect areas of known special Congressional interests or concerns. Relative to the latter, there are no fixed guidelines to follow when determining whether a particular event or occurrence warrants Congressional notification. As indicated previously, each event is unique, requiring evaluation and judgment on a case-by-case basis, with due consideration given to the specific circumstances and Congressional interests prevailing at that time. Consequently, it is not feasible to delineate, within the

context of this Manual, all circumstances and events that require Congressional notification. To this end, however, representative examples of factors and events which shall be considered are as follows:

- (a) Politically sensitive issues;
  - (b) Changes in operations that affect employment levels, program goals, or funding requirements;
  - (c) Slippage in production schedules (e.g., delay, design change, test failure);
  - (d) Potential impacts on national security;
  - (e) emergencies resulting from natural and manmade disasters, such as fires, floods, explosions, and industrial accidents;
  - (f) Congressionally directed actions as described in legislation, Congressional reports, or other Congressional communications;
  - (g) Changes to obligational control levels, as reflected in AFPs;
  - (h) Changes from program, project, or contract scopes contemplated by Congress during appropriation action; and
  - (i) Large-dollar divergences within the baseline.
- (2) As a potential reprogramming proposal is reviewed, it may be determined that such action does not constitute reprogramming as defined in Chapter I of this Manual and, therefore, does not require formal reprogramming procedures. However, in keeping with the full disclosure policy described in paragraph 3c, above, it may be necessary to notify Congress of the Department's intentions through less formal procedures. In these cases, the Chief Financial Officer's informal discussions with the appropriate committee or a Secretarial Officer's correspondence with the appropriate committee will serve as sufficient notification of the impending action.
- (3) When considering possible Congressional involvement, refer to the reprogramming definition in Chapter I of this Manual.
- (4) Normally, the Chief Financial Officer shall either concur and transmit formal proposals to the Deputy or Under Secretary or the Secretary, as appropriate, or nonconcur and so advise the respective program office.

4. RESTRUCTURING. Restructuring is the use of funds as originally intended in the Department's Congressional budget justification, but reported differently from the form and detail in which they were proposed by the President and appropriated by Congress. Any format change to the Congressional base table constitutes a restructuring action and requires that OMB and Congress be notified.
5. APPROPRIATION TRANSFERS.
  - a. An appropriation transfer is a method of transferring budgetary resources to another appropriation within the same agency or to an appropriation of another agency or activity. It differs from a transfer appropriation as discussed in Chapter IV of this Manual, in that it involves the permanent withdrawal and transfer of budget authority from one appropriation to another, and may only be done when specifically authorized by statute. Accordingly, the obligation and disbursement authority as well as reporting requirement is transferred to the gaining appropriation. Like the transfer appropriation, execution of the SF 1151 is required for the appropriation transfer; however, in addition a reapportionment request to OMB is required to adjust the affected appropriation(s).
  - b. Upon determination to initiate an appropriation transfer, the Headquarters Element will complete DOE F 5160.1, "Reprogramming, Restructuring, and Appropriation Transfer Summary," which provides the budgetary data and amount of the proposed transfer. A copy of the completed form is forwarded to CR-131 for review and determination of type of action to be issued.
  - c. Pending receipt of the approved reapportionment and the accomplished SF 1151, CR-131 will process adjustments to the AFP of the Headquarters Element and the associated allotment, and place the funds in reserve. Likewise, on an incoming appropriation transfer, the accomplished SF 1151 and associated reapportionment serve as the budgetary resources and basis to adjust the AFP and allotments of the affected programs.
6. PROCESSING REPROGRAMMING, RESTRUCTURING, AND APPROPRIATION TRANSFER REQUESTS.
  - a. Heads of Departmental Elements shall notify the Director of Budget (CR-10) to initiate a reprogramming, restructuring, appropriation transfer request. The points of contact are the Director of Budget Analysis (CR-14) and the Chief of Budget Execution (CR-131). The appropriate Branch Chief within the Budget Analysis Division will provide support during preparation of the reprogramming, restructuring, or appropriation transfer request and shall serve as the liaison within the Office of the Chief Financial Officer. The Chief of Budget Execution shall act in a timely manner to identify the information essential to the development of a complete request.

The initiating office shall provide an advance copy of DOE F 5160.1, "Reprogramming, Restructuring, and Appropriation Transfer Summary" (Attachments V-1 and V-2) and to the cognizant CR-14 Branch Chief, who shall advise the initiator of the following.

- (1) The type of action to be issued (i.e., either reprogramming, restructuring, or appropriation transfer) and whether notification or concurrence of OMB and Congress is required, must be determined before the action can be implemented. For those actions not deemed to require formal notification procedures, a determination will be made on a case-by-case basis as to the appropriate documentation and procedures necessary to finalize the action.
  - (2) The Congressional committees to receive the proposed reprogramming, restructuring, or appropriation transfer action.
  - (3) The DOE serial number assigned by CR-131 to the proposed reprogramming, restructuring, or appropriation transfer action.
- b. Pending final action on the proposal, the Chief of Budget Execution shall reserve, within the AFP providing the source of funds, the dollar amount to be transferred or reprogrammed and shall revise the allotment and AFP accordingly.
- c. Having obtained all necessary information from the Office of Budget, the Heads of Departmental Elements shall do the following.
- (1) Prepare all justification and explanatory statements.
  - (2) Prepare appropriate letter to the cognizant Congressional committee. The letter shall be prepared for the Chief Financial Officer's signature and contain essential information for the Congressional committees. The information that should be included in the letter to the Congressional committee is identified in paragraph 7, below.
  - (3) Obtain the concurrence of the Assistant Secretary for Congressional and Intergovernmental Affairs, and obtain concurrences of the Assistant Secretary for Policy, and other organizations as deemed necessary.
  - (4) Transmit the proposal to the Chief Financial Officer.
- d. The Chief Financial Officer, or designee, shall do the following:
- (1) Obtain the concurrence of GC-1, as appropriate.

- (2) Concur in and coordinate the proposal with OMB, or nonconcur with the proposal and so notify the Departmental Element. When the Chief Financial Officer determines that a reprogramming, restructuring, or appropriation transfer proposal is of a sensitive nature or will result in a major change in program direction, the proposal shall be forwarded to seek concurrence and approval from the Deputy or Under Secretary or Secretary, as appropriate. At each level, a decision shall be made, with or without comments, to either concur, nonconcur, or forward the proposal to the next higher level for appropriate action. Upon approval by the Deputy or Under Secretary or Secretary, the Chief Financial Officer shall transmit the proposal to Congress.

7. GUIDELINES FOR PREPARING LETTERS FOR THE CONGRESSIONAL COMMITTEES. The following guidelines are to be used in preparing the reprogramming, restructuring, or appropriation transfer notification letters and backup materials to be transmitted to Congressional committees. Letters to Congressional committees are to be prepared for each committee identified by CR-131. Generally, the same letter shall be sent to each committee.

- a. The initial paragraph of letters to Congressional committees shall state the fundamental purpose of the proposed action, including a statement identifying the source of the funds, and begin with the following language:
  - (1) For reprogramming requests:

"This letter is to inform you of a proposed reprogramming action to move funds to Program X."
  - (2) For appropriation transfer requests:

"The purpose of this letter is to transmit, pursuant to (insert applicable public law citation), a Department of Energy proposal for an appropriation transfer of (\$) in Appropriation X to Appropriation Y."
- b. The following paragraph should identify the specific program that will receive the funds and the goals and objectives of this program. This section of the letter shall identify the amount and circumstances that necessitate a reprogramming, restructuring, or appropriation transfer action (e.g., unexpected problems, low initial estimates, a change in direction). If appropriate, the reason why these circumstances could not have been anticipated at the time the budget was justified shall be stated.
- c. The subsequent paragraph(s) shall address the impact of the proposed reprogramming, restructuring, or appropriation transfer action. Specifically, the following items, if applicable, shall be identified and fully discussed in this section of the letter:

- (1) The changes to program goals or direction and to the cost estimate for the current fiscal year and the budget year being considered by Congress;
  - (2) The benefits of the reprogramming, restructuring, or appropriation transfer action and the consequences of not implementing the proposed change;
  - (3) The appropriation, budget activity, and program that is to be used as the funding source for the reprogramming or transfer action;
  - (4) The specific reasons why the losing program's funding can be decreased; and
  - (5) The impact of the proposed action on the current fiscal year and on the budget year.
- d. The concluding remarks of the notification letters should identify any enclosures provided, and state that Office of Budget or other Department personnel are available to respond to Congressional inquiries, and that consideration of this proposal would be appreciated. The enclosures to the notification letters are intended to provide a detailed backup to the reprogramming, restructuring, or appropriation transfer proposal. The supportive materials will vary from one action to another. For reprogramming and appropriation transfer proposals, justification should include specific information on how the estimates were developed and illustrate how the specific increases and decreases in budget authority and outlays affect appropriations, budget activities, or programs. Estimates of fiscal, economic, or budgetary impact on future years shall also be included. The effect on employment levels shall be documented because this is of particular significance in the consideration of the transfers or reprogramming actions. Itemized lists of specific activities, equipment, and sites shall be included, as appropriate. All relevant detail used in developing the reprogramming, restructuring, or appropriation transfer actions shall be included in the backup materials, but voluminous or extraneous detail should be avoided. The purpose of the backup materials is to demonstrate to the Congressional committees that the reprogramming, restructuring, or appropriation transfer is fully justifiable, and that the Department has carefully considered the financial and programmatic implications of the proposed action.

8. PROCESSING RESCISSION OR DEFERRAL REQUESTS.

- a. All requests to OMB for rescissions and deferrals must be accompanied by a completed OMB Form, "Proposed Rescission of Budget Authority" (Attachment V-3) or OMB, Form "Deferral of Budget Authority" (Attachment V-4) as appropriate. The information contained in these forms must provide the reasons for, and anticipated effect of, the proposed action. This request must be submitted regardless of whether the action affects the

apportionment process. OMB may suggest significant changes in Department proposals or may propose deferral or rescission actions on its own initiative. Such changes or proposals are discussed with the affected Departmental Element and the rescission and deferral reports on them are developed accordingly.

- b. After DOE or OMB determines that a rescission or deferral is warranted, the program organization responsible for the affected program initiates a request by doing the following:
    - (1) Completing OMB Form, "Proposed Rescission of Budget Authority" or OMB Form, "Deferral of Budget Authority," as appropriate. Detailed instructions for completing OMB Form, "Proposed Rescission of Budget Authority", and OMB Form, "Deferral of Budget Authority" are contained in OMB Circular A-34, dated 10-18-94. The Office of Budget will provide guidance, as necessary, and forms are available in the Budget Execution Branch (CR-131).
    - (2) Drafting a letter of transmittal to OMB.
    - (3) Submitting the appropriate AFP changes to the Office of Budget, which will effect the appropriate allotment reduction.
  - c. Upon receipt of the request, the Office of Budget determines whether the deferral requires adjustment to an apportionment. Agency deferrals do not require reapportionment. All proposed rescissions require adjustment to an apportionment. If the proposed rescission or deferral requires adjustment to an apportionment, the Office of Budget will complete the SF 132, "Request for Apportionment/ Reapportionment." The amount requested for rescission or deferral is placed in line 9 or 10, as appropriate, under the column title "Agency Request." The amounts proposed for rescission or deferral are withheld from obligation while the request is being considered in order to ensure the availability of the funds once action on the deferral or rescission is finalized. The dollar amount deferred or proposed for rescission will be placed in reserve by the Office of Budget within the AFP providing the source of funds, and the AFP and allotment will be revised accordingly.
9. RELEASE OF FUNDS DEFERRED OR PROPOSED FOR RESCISSION. Release of funds deferred or proposed for rescission through the apportionment process can only be accomplished by submission of a reapportionment request to OMB. Following reapportionment action by OMB to make the funds available for obligation, the cognizant program organization must request an AFP change to release the funds from the reserve.



COMPLETED EXAMPLE OF DOE F 5160.1  
"REPROGRAMMING, RESTRUCTURING, AND APPROPRIATION  
TRANSFER SUMMARY"

6. Program Title and DOR Classification		Program Base		Change Proposed		Revised Program	
		DA		DA		DA	
<b>6a. Program Increases</b>							
ZN	Miscellaneous Revenues	-104,267		+23,181		-161,086	
WN	Cost of Work for Others	43,803		+1,682		45,485	
<b>Total Program Increases</b>				+24,863			
<b>6b. Source of Funds</b>							
PE	Policy Analysis and System Studies	16,500		-6,300		10,200	
L	Intergovernmental & Inst. Affairs	34,303		-3,490		30,813	
WC	Changes in Inventories	12,000		-12,000		-0-	
WA12	Personnel Benefits	15,300		-3,073		12,227	
<b>Total Program Decreases</b>				-24,863			
<b>7. Description (Brief description of Highlights)</b>							
Reprogramming will be used to offset a portion of the revenue shortfall resulting from the strike at R-reactor, slippage in sales of nuclear material to Italy, and cancellation of sales to India.							

U.S. DEPARTMENT OF ENERGY  
**REPROGRAMMING, RESTRUCTURING  
AND APPROPRIATION TRANSFER SUMMARY**  
(Dollars in Thousands)

1. DOE Serial No: R-20  
2. Date: 8/29/85  
3. Type of Action: Reprogramming  
4. Appropriation Title: General Administration  
5. Appropriation Symbol: 0910230

**EXAMPLE**

INSTRUCTIONS FOR FILLING OUT DOE F 5160.1

## INSTRUCTIONS

**BLOCK 1** **DOE SERIAL NUMBER** -- ENTER THE DOE SERIAL NUMBER AS OBTAINED FROM THE BUDGET EXECUTION BRANCH.

**BLOCK 2** **DATE**

**BLOCK 3** **TYPE OF ACTION** -- INDICATE EITHER REPROGRAMMING, RESTRUCTURING, OR APPROPRIATION TRANSFER.

**BLOCK 4** **APPROPRIATION TITLE** -- ENTER APPROPRIATION TITLE AS IDENTIFIED ON THE CONGRESSIONAL BASE TABLE (AVAILABLE FROM THE BUDGET EXECUTION BRANCH).

**BLOCK 5** **APPROPRIATION SYMBOL** -- ENTER APPROPRIATION SYMBOL AS IDENTIFIED ON TTI CONGRESSIONAL BASE TABLE (AVAILABLE FROM THE BUDGET EXECUTION BRANCH).

**BLOCK 6** **PROGRAM TITLE**

- ENTER THE PROGRAM TITLE, BUDGET AND REPORTING (BOM) CLASSIFICATION, AND/OR SPECIFIC PROJECT IDENTIFICATION THAT CORRESPONDS TO THE DESCRIPTION ON THE CONGRESSIONAL BASE TABLE FOR THE PROGRAM(S) TO BE INCREASED (PROGRAM INCREASES) OR TO BE DECREASED (SOURCE OF FUNDS). IN THE CASE OF A PROPOSED ACTION INVOLVING MORE THAN ONE APPROPRIATION, THE PERTINENT APPROPRIATION TITLE AND SYMBOL SHOULD BE IDENTIFIED UNDER BOTH PROGRAM INCREASES AND SOURCE OF FUNDS.
- IN THE COLUMN "PROGRAM BASE", ENTER THE AMOUNT OF CURRENT BUDGET AUTHORITY AND CURRENT BUDGET OUTLAYS.
- IN THE COLUMN "CHANGE REQUESTED", ENTER THE AMOUNT OF INCREASE OR DECREASE, AS APPROPRIATE.  
IN THE COLUMN "REVISED PROGRAM", ENTER THE RESULT OF THE PROPOSED CHANGE.
- WHERE ADDITIONAL SPACE IS REQUIRED, PRESENT DATA FOR BLOCKS 1 THRU 6 ON AN ADDITIONAL SHEET AND ENTER TOTAL LINES, ONLY, IN BLOCK 6.

**BLOCK 7** **DESCRIPTION** -- ENTER A CONCISE JUSTIFICATION OF THE PROPOSED REPROGRAMMING, RESTRUCTURING OR APPROPRIATION TRANSFER. THIS DESCRIPTION WILL BE USED TO FOOTNOTE THE QUARTERLY SUBMISSION OF THE BASE TABLE TO THE CONGRESS.

PROPOSED RESCISSION OF BUDGET AUTHORITY

Rescission Proposal No.: \_\_\_\_\_

**Proposed Rescission of Budget Authority**

Report Pursuant to Section 1012 of P.L. 99-504

<b>Agency</b> Department of Energy	<b>New Budget Authority</b> <u>P.L. 99-XXX-1</u> <b>\$ 431,131,000</b>
<b>Bureau</b>	<b>Other Budgetary Resources</b> <b>\$ 69,807,387</b>
<b>Appropriation Title &amp; Symbol</b>  Energy Conservation 8510215	<b>Total Budgetary Resources</b> <b>\$ 490,938,387</b>
	<b>Amount Proposed for Rescission</b> <b>\$ 10,077,000</b>
<b>OMB Identification Code</b> 89-D215-0-1-272	<b>Legal Authority (in addition to sec. 1012):</b> <input checked="" type="checkbox"/> Antideficiency Act
<b>Grant Program</b> <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input type="checkbox"/> Other _____
<b>Type of Account or Fund</b> <input type="checkbox"/> Annual <input type="checkbox"/> Multi-year _____ (specify date) <input checked="" type="checkbox"/> New	<b>Type of Budget Authority:</b> <input checked="" type="checkbox"/> Appropriation <input type="checkbox"/> Contract Authority <input type="checkbox"/> Other _____

Justification

The rescission of \$10,077,000 reflects FY 19XX unobligated budget authority in Conservation and Renewable Energy Programs. The \$10,077,000 is consistent with the overall obligational plan for the Energy Conservation appropriated programs including Buildings and Community Systems (\$2,918,000), Industry (\$2,917,000), Transportation (\$2,742,000), Multi-Sector (\$500,000), and State and Local Assistance Program Direction (\$1,000,000).

Estimated Effects

Budget outlays would be reduced by a like amount.

Other Effects

DEFERRAL OF BUDGET AUTHORITY

Deferral No.: \_\_\_\_\_

## Deferral of Budget Authority

Report Pursuant to Section 1013 of P.L. 98-544

<b>Agency</b> Department of Energy <hr/> <b>Bureau</b> <hr/> <b>Appropriator Title &amp; Symbol</b> Uranium Supply and Enrichment Activities 09X0226	<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 80%;"><b>New Budget Authority (P.L. 98-544)</b></td> <td style="text-align: right;">\$ 2,235,000,000</td> </tr> <tr> <td><b>Other Budgetary Resources</b></td> <td style="text-align: right;">123,791,000</td> </tr> <tr> <td><b>Total Budgetary Resources</b></td> <td style="text-align: right;"><u>2,358,791,000</u></td> </tr> </table> <hr/> <b>Amount to be deferred:</b> Part of year \$ _____ Entire year <u>130,000,000</u>	<b>New Budget Authority (P.L. 98-544)</b>	\$ 2,235,000,000	<b>Other Budgetary Resources</b>	123,791,000	<b>Total Budgetary Resources</b>	<u>2,358,791,000</u>
<b>New Budget Authority (P.L. 98-544)</b>	\$ 2,235,000,000						
<b>Other Budgetary Resources</b>	123,791,000						
<b>Total Budgetary Resources</b>	<u>2,358,791,000</u>						
<b>OAS Identification Code</b> 05-0226-0-1-271	<b>Legal Authority (in addition to sec. 1013):</b> <input checked="" type="checkbox"/> Antideficiency Act <input type="checkbox"/> Other _____						
<b>Grant Program</b> <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input type="checkbox"/> Other _____						
<b>Type of Account or Fund:</b> <input type="checkbox"/> Annual <input type="checkbox"/> Multiple-year _____ <small>EXPIRATION DATE</small> <input checked="" type="checkbox"/> No-year	<b>Type of Budget Authority:</b> <input checked="" type="checkbox"/> Appropriation <input type="checkbox"/> Contract Authority <input type="checkbox"/> Other _____						

**Justification:** Electric rates from the Department's power suppliers are expected to result in FY 1991 savings of \$124,000,000. Current estimates of capital equipment requirements for the gaseous diffusion complex indicate that \$6,000,000 of FY 1991 appropriations for capital equipment are no longer needed.

**Estimated Effect:**

None

**Overall Effect:**

This action will reduce outlays by \$130,000,000 in FY 1991, resulting in a revised total estimated outlays of \$2,147,000,000.