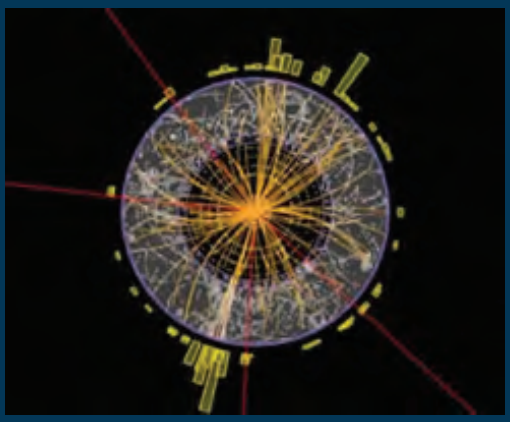

2013 Annual Report

BERKELEY LAB
Lawrence Berkeley National Laboratory

OCFO
Office of the Chief Financial Officer

Office of the Chief Financial Officer
Annual Report

2013

Ernest Orlando Lawrence Berkeley National Laboratory
University of California
Berkeley, California

January 2014

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Front Cover:
Top Image: Next-Generation Ecosystem Experiment (NGEE-Arctic) Project, Barrow, Alaska ~*Photo Credit: Roy Kaltschmidt, Berkeley Lab*
Middle Image: Image of a Higgs Boson Event in the ATLAS Experiment ~*Photo Credit: CERN, Switzerland*
Bottom Image: Construction of the Environmental Energy Technologies Division (EETD) Facility for Low-Energy eXperiments in building (FLEXLAB) ~*Photo Credit: Roy Kaltschmidt, Berkeley Lab*

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FY2013 presented Lawrence Berkeley National Laboratory (LBNL) with an array of financial challenges. At the federal budget level, Continuing Resolutions and sequestration meant that the Lab operated for most of the year with incomplete funding information. This funding uncertainty, combined with the need to manage costs carefully, made planning for research, operations and key initiatives more complex. The Lab employed a dual strategy, applying targeted cost management approaches to sustain research and core operations, while funding essential strategic initiatives to expand research programs and strengthen facilities and support to the Lab's scientific mission. By year-end FY2013, LBNL received a total of $793 million in new funding, a six percent increase over FY2012 funding. Total spending was $819 million, level with FY2012 spending.

Challenges create opportunities, and the Office of the Chief Financial Officer (OCFO) seized those opportunities to expand our contributions to the Lab, as described in the notable accomplishments below. We continued the strategic use of organizational transformation and talent development, process redesign, and leveraging of technology to provide practical and innovative solutions to the Laboratory Community.

OCFO Vision: High-value financial stewardship, services, and strategic solutions that contribute to the scientific mission of the Laboratory.

FY2013 was a productive and successful year for the Procurement and Property Department led by Becky Cornett. A firm commitment to continuous improvement and customer service resulted in implementation of new operating principles, guidelines and key initiatives that yielded distinct service improvements across the $338M in procurement activity. Notable accomplishments include a more than 40% reduction in PCard and Purchase Order processing time, capture of $27.6M in supplier-negotiated savings, and $2.8M in property-related cost savings. The Procurement area also successfully completed a rigorous DOE peer review. These efforts resulted in a 96.9% customer satisfaction rating, a testament to the service improvement to the Laboratory community.

The OCFO Budget Office, led by Anne Moore, continued to provide funds management and analysis services for decision support across a wide range of areas. Initiatives spanned a variety of projects from support and communication during the government shutdown, to partnering with other Operations Divisions on a comprehensive budget evaluation exercise. The budget exercise provided information for critical decision-making in FY2013 and served as a basis for FY2014 planning, aiding the Operations Divisions in identifying total targeted reductions of five percent year-to-year. The Budget Office very ably supported management of the $793M in funding, and $205M in institutional spending.

The Field Operations Unit, led by Doug Goodman, provided essential budget formulation, execution, and decision support to the Laboratory. Major accomplishments included analysis and contingency planning throughout the FY2013 federal funding cycle; co-developing, with other OCFO business units, a new and effective encumbrance reporting mechanism, and providing technical expertise in designing new financial processes and services as part of the Financial Systems Modernization (F$M) project. The Field Operations Unit supported Principal Investigators, Project Managers and Lab leadership in the management of more than 12,400 projects across the Lab.

The Office of Sponsored Projects and Industry Partnerships (OSPIP), led by Rick Inada, continued its partnership with the OCFO's Business Systems Analysis group and LBNL's Information Technology division to implement the new electronic Sponsored Research Administration (eSRA) system. eSRA streamlines and automates development and submittal of research proposals to sponsors. OSPIP also worked closely with divisions to implement innovative research funding solutions, including the first Master CRADA (Cooperative Research and Development Agreement) with CalCharge, LLC to facilitate collaboration in advanced battery technologies. OSPIP submitted over 700 proposals while negotiating 1,300 awards, helping scientists bring in $131.5 million in sponsored research contract funding, a 14% increase over FY2012.

Chief Financial Officer's Statement Continued

Continuing its focus on transformation, the Controller's Office led by Rachelle Jeppson, consolidated from three departments to two: Business and Disbursement Services and Financial and Employee Accounting. The reorganization allowed for greater integration between work units and lower department costs. Over the year, the department processed over $136M in sponsor receivables, $330M in payroll and $412M in vendor payments. Cross-functional partnerships, both internal and external to the Laboratory, have also been an area of focus that enhanced the Controller's Office support of the scientific divisions. In addition, the department continued to refine and enhance processes that leverage technology and electronic (paperless) workflows. These improvements will position the department to optimize business processes with the implementation of F$M in FY2015.

Building on the OCFO vision, within OCFO Operations the focus was on expanding understanding of the Lab's research 'business model,' and further developing our talented staff. Townhall meetings focused on the Lab's science mission and the role the OCFO plays in every stage of a scientific project (planning and proposing, executing and closeout). We hosted distinguished Lab scientists who spoke about their research and our impact on their work. To support staff in providing exceptional value, we implemented clear, consistent and achievable performance standards.

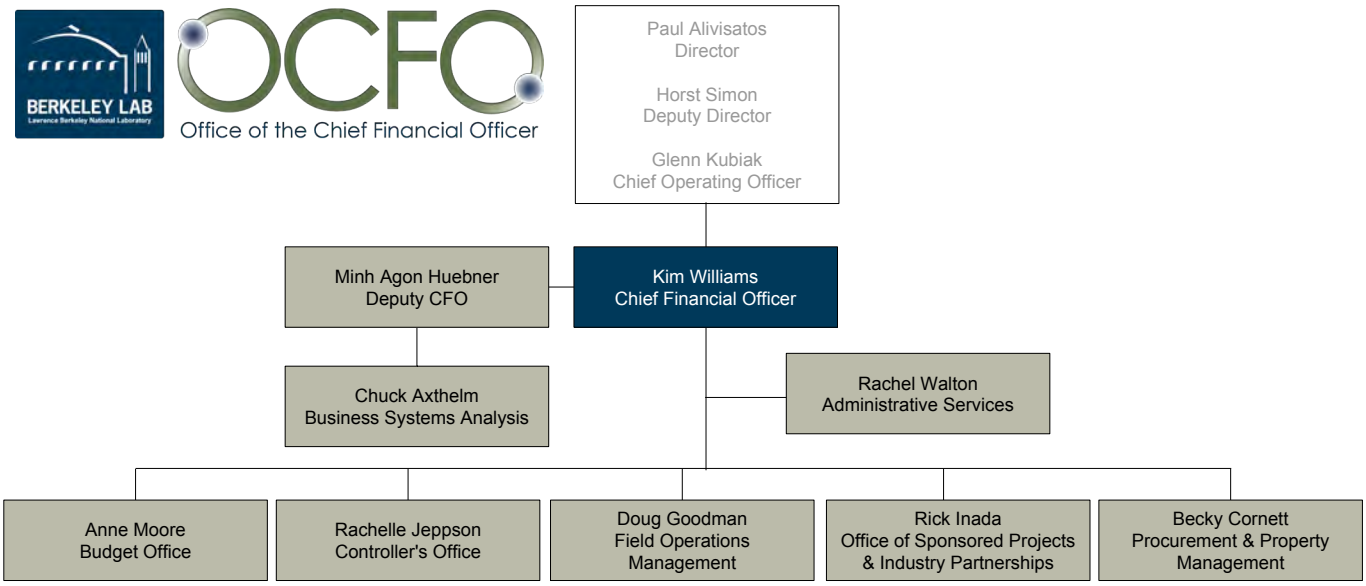
The OCFO established a cross-functional team to implement a cohesive and comprehensive approach to meet the new DOE requirement to report fully burdened encumbrance data by June 2013. While several aspects of the change were complex, of key concern was the potential impact on scientific project execution. The team analyzed the requirements, evaluated and modified processes, and developed system specifications managed by the Business Systems Analysis team that Chuck Axthelm leads. The changes were successfully implemented on time. In parallel, the team provided education and consultation to the Divisions to mitigate impacts to project execution.

The Financial Systems Modernization (F$M) project team led by Minh Huebner, our Deputy CFO and Project Manager, completed several critical milestones in FY2013 in preparation for the launch of Phase IIA in FY2015. With our selected implementation partner, Accenture, cross-functional teams throughout the Laboratory completed the functional design of the system, organizational readiness plan, and detailed project plan. An organizational governance and stakeholder engagement model was established to ensure that the outcomes of this project meet the needs of the Laboratory community. An independent project review validated the project approach and indicated this phase of the project is tracking positively for successful execution.

Despite, or perhaps because of, the many challenges we faced, FY2013 was a year of significant accomplishment. As FY2014 began in the midst of a government shutdown, it's clear the financial complexities will continue. We in OCFO look forward to supporting the Lab in meeting these challenges and expanding our contributions to the scientific mission of the Lawrence Berkeley National Laboratory.

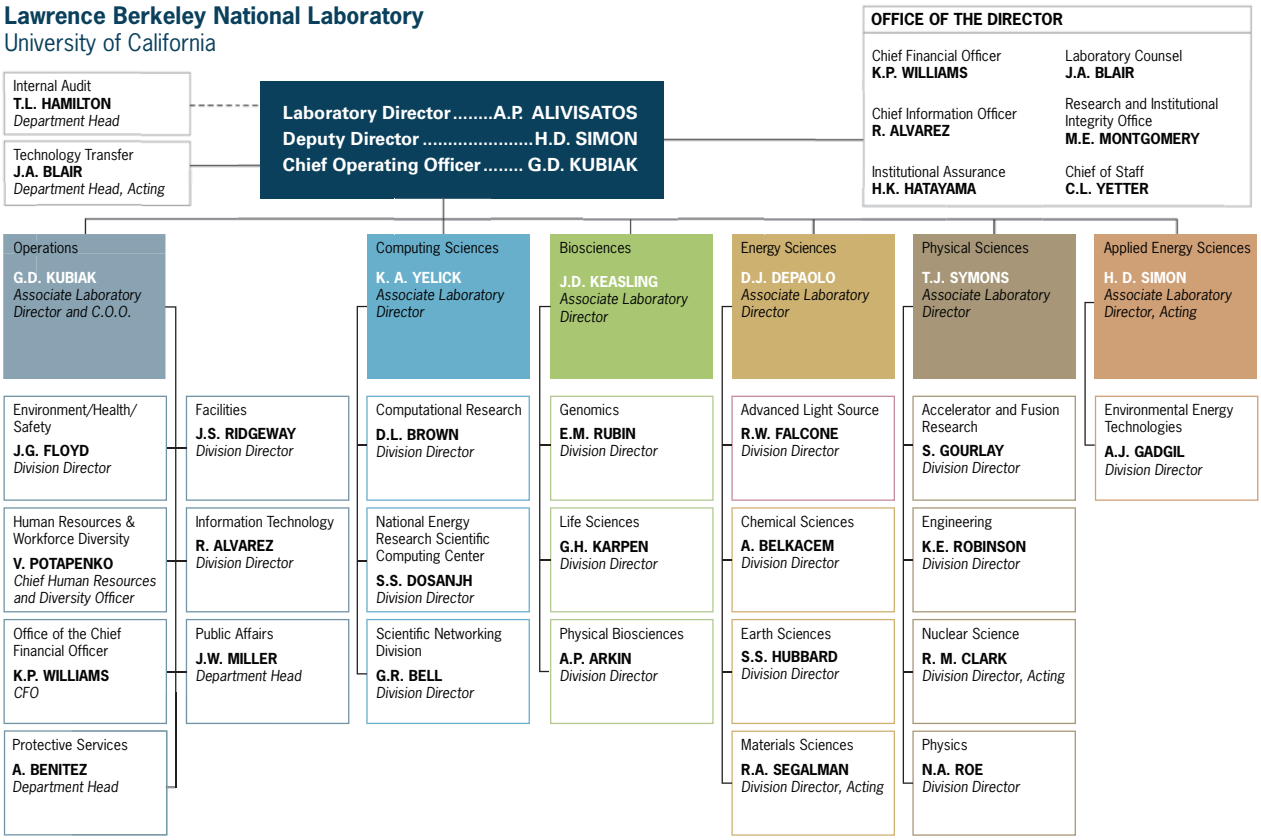
Sincerely,
Kim Williams
Chief Financial Officer

Office of the Chief Financial Officer



Organization

Lawrence Berkeley National Laboratory (LBNL), University of California



10/10/2013

1. Institutional Information

Figure 1.1

Where Did Your Program Dollars Go in FY2013?

Expenses	LBNL Cost Breakdown per Dollar			
	DOE Operating Costs	DOE Integrated Contractors Costs	Construction and Equipment	WFO Non-DOE
DIRECT				
Direct Labor:				
UC Labor (a)	$0.34	$0.35	$0.14	$0.38
Contract Labor	$0.00	$0.00	$0.00	$0.00
Organization/ALD Burden (b)	$0.05	$0.06	$0.03	$0.07
Subtotal Direct Labor	**$0.40**	**$0.42**	**$0.17**	**$0.46**
Other Direct:				
Services	$0.22	$0.10	$0.51	$0.12
Materials	$0.09	$0.19	$0.24	$0.06
Utilities	$0.01	$0.00	$0.00	$0.01
Other Expenses (c) (e)	$0.00	$0.00	$0.00	$0.01
Recharges (b) (d) (e)	$0.03	$0.03	$0.01	$0.04
Travel	$0.02	$0.02	$0.00	$0.02
Subtotal Other Direct	**$0.36**	**$0.35**	**$0.76**	**$0.25**
Total Direct	**$0.75**	**$0.76**	**$0.94**	**$0.71**
INDIRECT				
Procurement	$0.01	$0.02	$0.01	$0.01
Travel	$0.00	$0.00	$0.00	$0.00
G&A (Other Inst.)	$0.23	$0.21	$0.05	$0.28
Total Indirect	**$0.25**	**$0.24**	**$0.06**	**$0.29**
TOTAL EXPENSES	**$1.00**	**$1.00**	**$1.00**	**$1.00**

Note: Minor variances may occur due to rounding.
(a) UC Labor includes salary and benefits for Scientists/Engineers, Admin., Students/GSRA's and Campus Labor.
(b) Distributed activities used by direct funded programs. ALD Burden implemented at beginning of FY2013.
(c) Includes misc. expenses (stipends, sales tax, freight, etc.).
(d) Includes recharges credited back to direct operating accounts such as ALS and ESnet.
(e) Safeguards and Security funding moved from Environment/Health/Safety to Protective Services in FY2013.

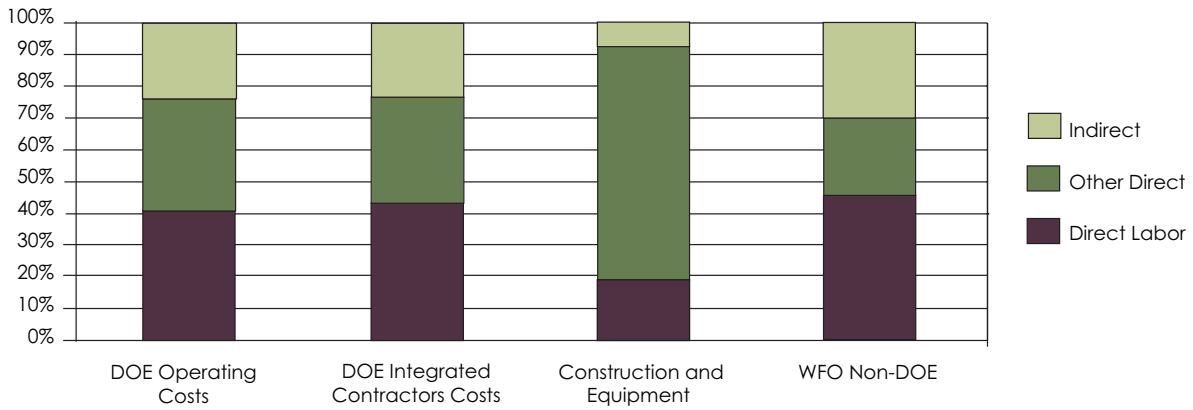


Table 1.1

Cost Trends by Expense Category, FY2009 - FY2013 ($M and % of Total)

Expenses	FY2009		FY2010		FY2011		FY2012		FY2013	
	$M	%	$M	%	$M	%	$M	%	$M	%
DIRECT										
Direct Labor:										
UC Labor (a)	206.8	31.9%	237.2	29.2%	264.3	31.6%	271.5	33.1%	273.2	33.4%
Contract Labor	1.9	0.3%	1.4	0.2%	1.1	0.1%	0.8	0.1%	0.7	0.1%
Organization/ALD Burden (b)	33.0	5.1%	37.1	4.6%	40.0	4.8%	41.3	5.0%	42.4	5.2%
Subtotal Direct Labor	**241.7**	**37.3%**	**275.7**	**34.0%**	**305.5**	**36.5%**	**313.6**	**38.3%**	**316.4**	**38.6%**
Other Direct:										
Services	140.7	21.7%	203.3	25.1%	213.6	25.5%	182.6	22.3%	183.3	22.4%
Materials	78.3	12.1%	120.6	14.9%	86.6	10.4%	88.9	10.9%	79.0	9.6%
Utilities	8.0	1.2%	8.3	1.0%	10.8	1.3%	8.4	1.0%	7.8	1.0%
Other Expenses (c) (e)	4.0	0.6%	4.5	0.6%	5.6	0.7%	5.7	0.7%	3.4	0.4%
Recharges (b) (d) (e)	14.1	2.2%	14.3	1.8%	15.6	1.9%	20.3	2.5%	22.8	2.8%
Travel	9.3	1.4%	11.7	1.4%	12.9	1.5%	13.1	1.6%	12.5	1.5%
Subtotal Other Direct	**254.4**	**39.3%**	**362.8**	**44.7%**	**345.1**	**41.3%**	**319.0**	**38.9%**	**308.8**	**37.7%**
Total Direct	**496.0**	**76.6%**	**638.5**	**78.7%**	**650.5**	**77.8%**	**632.6**	**77.2%**	**625.2**	**76.3%**
INDIRECT										
Procurement	7.3	1.1%	8.5	1.0%	8.3	1.0%	8.6	1.1%	9.3	1.1%
Travel	1.3	0.2%	1.5	0.2%	1.6	0.2%	1.9	0.2%	1.4	0.2%
G&A (Other Inst.)	143.0	22.1%	162.5	20.0%	175.7	21.0%	176.0	21.5%	183.3	22.4%
Total Indirect	**151.7**	**23.4%**	**172.5**	**21.3%**	**185.6**	**22.2%**	**186.5**	**22.8%**	**194.1**	**23.7%**
TOTAL EXPENSES	**647.7**	**100.0%**	**811.1**	**100.0%**	**836.1**	**100.0%**	**819.1**	**100.0%**	**819.2**	**100.0%**

Note: Minor variances may occur due to rounding.
(a) UC Labor includes salary and benefits for Scientists/Engineers, Admin., Students/GSRA's and Campus Labor.
(b) Distributed activities used by direct funded programs. ALD Burden implemented at beginning of FY2013.
(c) Includes misc. expenses (stipends, sales tax, freight, etc.).
(d) Includes recharges credited back to direct operating accounts such as ALS and ESnet.
(e) Safeguards and Security funding moved from Environment/Health/Safety to Protective Services in FY2013.

Table 1.2

Direct Cost Trends by Division, FY2009 - FY2013 ($K)

Division	FY2009	FY2010	FY2011	FY2012	FY2013
Accelerator & Fusion Research	28,139	39,175	52,669	43,585	31,520
Advanced Light Source	49,662	57,656	63,453	70,357	74,850
Chemical Sciences	15,694	17,715	17,965	17,979	22,298
Computing Sciences	103,461	128,123	143,316	125,749	139,536
Environmental Energy Technologies	58,795	82,493	102,721	107,006	103,779
Engineering	8,306	5,929	4,014	3,524	4,934
Environment/Health/Safety	3,270	2,806	2,504	3,360	1,518
Earth Sciences	34,240	44,300	55,550	55,399	57,319
Facilities	43,839	64,299	36,450	37,843	36,455
Genomics - JGI	51,135	77,375	67,023	72,055	67,646
Genomics	6,208	5,994	6,360	5,951	7,419
Information Technology	3,100	3,380	3,570	2,781	2,081
Life Sciences	59,835	62,290	59,118	49,384	41,123
Materials Sciences	63,386	72,722	76,397	81,551	78,309
Nuclear Science	33,566	34,598	37,753	38,809	37,193
Physical Biosciences	52,015	66,258	65,928	61,986	62,076
Physics	32,139	44,751	40,219	40,633	48,283
Protective Services (a)	-	-	-	-	1,442
Lab Directorate/Other	903	1,112	991	1,088	1,394
Other	58	88	92	52	64
DIVISION TOTAL	**647,749**	**811,062**	**836,095**	**819,093**	**819,242**

Note: Minor variances may occur due to rounding.
(a) Safeguards and Security funding moved from Environment/Health/Safety to Protective Services in FY2013.

Table 1.2a

Costs by Direct Funding Source by Division, FY2013 ($K)

Division	FY2013						
	DOE Operating	DOE Integrated Contractors Costs	WFO Federal	WFO Non-Federal	Operating Subtotal	Capital and Equipment	Total
Accelerator & Fusion Research	19,768	1,869	731	541	22,909	8,611	31,520
Advanced Light Source	61,368	91	-	963	62,422	12,428	74,850
Chemical Sciences	18,867	94	1,438	1,898	22,298	-	22,298
Computing Sciences	129,882	841	1,825	1,387	133,935	5,601	139,536
Environmental Energy Technologies	74,587	2,365	9,142	17,571	103,666	114	103,779
Engineering	128	2,232	950	1,073	4,382	552	4,934
Environment/Health/Safety	1,480	-	-	-	1,480	39	1,518
Earth Sciences	42,882	3,353	1,869	9,214	57,319	-	57,319
Facilities	938	-	-	-	938	35,517	36,455
Genomics - JGI	67,048	-	-	598	67,646	-	67,646
Genomics	1	-	4,894	2,525	7,419	-	7,419
Information Technology	1,931	-	-	150	2,081	-	2,081
Life Sciences	8,081	-	28,444	4,578	41,104	19	41,123
Materials Sciences	64,502	514	2,193	8,927	76,136	2,173	78,309
Nuclear Science	20,283	5,311	6,650	2,009	34,253	2,940	37,193
Physical Biosciences	51,280	453	3,797	5,731	61,261	815	62,076
Physics	47,155	300	604	149	48,209	74	48,283
Protective Services (a)	1,442	-	-	-	1,442	-	1,442
Lab Directorate/Other	1,345	49	-	-	1,394	-	1,394
Other	-	64	-	-	64	-	64
Division Total	**612,968**	**17,537**	**62,538**	**57,315**	**750,359**	**68,882**	**819,242**

Note: Minor variances may occur due to rounding.
(a) Safeguards and Security funding moved from Environment/Health/Safety to Protective Services in FY2013.

Table 1.2b

Costs by Direct Funding Source by Division, FY2012 ($K)

Division	FY2012						
	DOE Operating	DOE Integrated Contractors Costs	WFO Federal	WFO Non-Federal	Operating Subtotal	Capital and Equipment	Total
Accelerator & Fusion Research	24,493	1,115	1,768	490	27,867	15,718	43,585
Advanced Light Source	58,387	69	-	1,010	59,466	10,892	70,357
Chemical Sciences	17,302	49	312	315	17,979	-	17,979
Computing Sciences	119,388	2,142	2,724	1,232	125,485	264	125,749
Environmental Energy Technologies	74,951	2,841	10,011	18,512	106,315	691	107,006
Engineering	618	1,155	982	770	3,524	-	3,524
Environment/Health/Safety	2,501	-	-	-	2,501	859	3,360
Earth Sciences	39,490	2,005	2,740	11,164	55,399	-	55,399
Facilities	6,101	-	-	-	6,101	31,742	37,843
Genomics - JGI	70,069	-	4	676	70,749	1,306	72,055
Genomics	11	-	4,621	1,319	5,951	-	5,951
Information Technology	2,636	-	-	145	2,781	-	2,781
Life Sciences	10,581	-	33,245	4,943	48,769	616	49,384
Materials Sciences	67,192	102	3,221	8,529	79,044	2,507	81,551
Nuclear Science	26,821	2,679	5,185	1,283	35,969	2,840	38,809
Physical Biosciences	50,639	259	3,656	6,555	61,109	876	61,986
Physics	37,739	910	217	398	39,264	1,369	40,633
Lab Directorate/Other	1,030	58	-	0	1,088	-	1,088
Other	-	52	-	-	52	-	52
Division Total	**609,950**	**13,437**	**68,687**	**57,340**	**749,413**	**69,680**	**819,093**

Note: Minor variances may occur due to rounding.

Table 1.2c

Costs by Direct Funding Source by Division, FY2011 ($K)

Division	FY2011						
	DOE Operating	DOE Integrated Contractors Costs	WFO Federal	WFO Non-Federal	Operating Subtotal	Capital and Equipment	Total
Accelerator & Fusion Research	21,528	1,055	1,781	977	25,341	27,328	52,669
Advanced Light Source	51,267	137	-	879	52,283	11,170	63,453
Chemical Sciences	15,068	120	2,042	45	17,275	691	17,965
Computing Sciences	133,114	2,236	2,593	2,365	140,308	3,007	143,316
Information Technology	2,400	-	-	154	2,554	1,016	3,570
Environmental Energy Technologies	78,124	2,940	7,202	13,763	102,029	693	102,721
Engineering	162	871	1,666	1,022	3,721	293	4,014
Environment/Health/Safety	2,504	-	-	-	2,504	-	2,504
Earth Sciences	39,342	1,962	2,754	10,565	54,622	928	55,550
Facilities	8,362	-	-	-	8,362	28,088	36,450
Genomics	134	-	4,673	1,553	6,360	-	6,360
Genomics - JGI	63,172	-	132	757	64,061	2,962	67,023
Life Sciences	10,656	-	38,878	9,110	58,644	474	59,118
Materials Sciences	59,974	72	2,775	6,441	69,261	7,137	76,397
Nuclear Science	22,392	1,826	3,680	937	28,834	8,919	37,753
Physical Biosciences	52,004	325	3,562	6,013	61,904	4,024	65,928
Physics	31,622	179	358	1,474	33,633	6,586	40,219
Lab Directorate/Other	978	13	-	0	991	-	991
Other	-	92	-	-	92	-	92
Division Total	**592,803**	**11,828**	**72,095**	**56,054**	**732,780**	**103,315**	**836,095**

Note: Minor variances may occur due to rounding.

Table 1.2d

Costs by Direct Funding Source by Division, FY2010 ($K)

Division	FY2010						
	DOE Operating	DOE Integrated Contractors Costs	WFO Federal	WFO Non-Federal	Operating Subtotal	Capital and Equipment	Total
Accelerator & Fusion Research	20,545	828	1,791	1,251	24,415	14,760	39,175
Advanced Light Source	49,856	185	0	1,659	51,700	5,955	57,656
Chemical Sciences	14,198	12	1,906	47	16,163	1,552	17,715
Computing Sciences	106,470	2,545	1,502	1,250	111,768	16,355	128,123
Information Technology	2,687	-	-	86	2,774	606	3,380
Environmental Energy Technologies	58,187	2,489	7,382	13,390	81,448	1,045	82,493
Engineering	221	977	2,770	1,152	5,120	808	5,929
Environment/Health/Safety	2,806	0	-	-	2,806	-	2,806
Earth Sciences	30,766	1,345	3,325	8,582	44,017	283	44,300
Facilities	20,275	-	-	-	20,275	44,023	64,299
Genomics	542	-	4,183	1,270	5,994	-	5,994
Genomics - JGI	70,087	-	121	1,555	71,762	5,612	77,375
Life Sciences	10,558	-	40,663	10,151	61,372	919	62,290
Materials Sciences	53,532	191	2,288	5,871	61,882	10,840	72,722
Nuclear Science	20,564	293	3,255	2,380	26,492	8,106	34,598
Physical Biosciences	51,004	942	4,433	6,180	62,560	3,699	66,258
Physics	28,840	1,091	149	1,359	31,439	13,311	44,751
Lab Directorate/Other	1,092	19	-	-	1,111	-	1,112
Other	-	88	-	-	88	-	88
Division Total	**542,228**	**11,007**	**73,768**	**56,184**	**683,187**	**127,875**	**811,062**

Note: Minor variances may occur due to rounding.

Table 1.2e

Costs by Direct Funding Source by Division, FY2009 ($K)

Division	FY2009						
	DOE Operating	DOE Integrated Contractors Costs	WFO Federal	WFO Non-Federal	Operating Subtotal	Capital and Equipment	Total
Accelerator & Fusion Research	20,258	843	1,578	611	23,290	4,849	28,139
Advanced Light Source	45,784	38	0	806	46,628	3,034	49,662
Chemical Sciences	13,936	63	638	76	14,713	980	15,694
Computing Sciences	88,264	2,153	2,004	1,347	93,767	9,694	103,461
Information Technology	2,324	-	-	49	2,373	726	3,100
Environmental Energy Technologies	36,375	2,992	5,631	12,220	57,218	1,577	58,795
Engineering	2,995	779	1,225	206	5,205	3,101	8,306
Environment/Health/Safety	3,270	0	-	-	3,270	-	3,270
Earth Sciences	23,618	1,579	3,055	5,101	33,353	887	34,240
Facilities	9,391	-	-	-	9,391	34,448	43,839
Genomics	2,787	-	3,291	130	6,208	-	6,208
Genomics - JGI	46,567	-	349	1,275	48,192	2,943	51,135
Life Sciences	13,178	-	39,023	7,165	59,367	469	59,835
Materials Sciences	48,000	232	940	7,490	56,663	6,723	63,386
Nuclear Science	18,909	176	2,906	3,510	25,501	8,065	33,566
Physical Biosciences	42,366	1,034	3,699	4,611	51,709	306	52,015
Physics	23,160	1,067	415	215	24,857	7,283	32,139
Lab Directorate/Other	861	0	-	41	903	-	903
Other	-	58	-	-	58	-	58
Division Total	**442,043**	**11,015**	**64,754**	**44,854**	**562,665**	**85,084**	**647,749**
Note: Minor variances may occur due to rounding.							

Table 1.3

Indirect Budget Costs by Division, FY2013 ($K)

Division/ALD	Distributed Support Costs			Institutional Costs						Total (a)
	ALD/ Org. Burden	Service Centers (b)	Other (c)	LDRD	IGPP	G&A	Procurement Burden	Site Support	Travel Burden	
Accelerator & Fusion Research	1,852	104	245	1,443	-	-	-	-	-	3,643
Advanced Light Source	2,505	-	-	1,239	-	-	-	-	-	3,744
Chief Financial Officer	-	-	-	-	-	14,870	10,554	-	1,642	27,065
Chemical Sciences	1,473	-	-	2,691	-	-	-	-	-	4,164
Computing Sciences	5,918	-	-	2,788	-	-	-	-	-	8,705
Environmental Energy Technologies	6,171	2,182	-	2,477	-	-	-	-	-	10,830
Engineering	5,746	1,572	-	336	-	1,115	-	2,245	-	11,013
Environment/Health/Safety	-	-	-	-	-	-	-	23,005	-	23,005
Earth Sciences	4,318	133	-	2,498	-	-	-	-	-	6,948
Facilities	4,224	11,431	-	-	6,451	-	1,907	48,789	-	72,801
Genomics	591	-	-	234	-	-	-	-	-	825
Genomics - JGI	-	5,000	-	1,038	-	-	-	-	-	6,038
Information Technology	2,701	7,210	-	-	-	20,856	27	7,426	14	38,234
Lab Directorate	-	-	-	-	-	16,765	-	-	-	16,765
Life Sciences	4,402	772	-	2,600	-	-	-	-	-	7,775
Materials Sciences	3,882	259	-	2,002	-	-	-	-	-	6,143
Nuclear Science	1,838	-	-	740	-	-	-	-	-	2,576
ALD for Operations	-	5,103	-	-	-	15,435	-	918	-	21,456
Physical Biosciences	3,193	5,776	-	1,786	-	-	-	-	-	10,754
Physics	1,909	-	-	977	-	-	-	-	-	2,886
Protective Services	-	-	-	-	-	-	-	4,089	-	4,089
Other (d)	-	-	-	-	-	6,336	-	-	-	6,336
Biosciences ALD	926	-	-	-	-	-	-	-	-	926
Energy and Environmental Sciences ALD	573	-	-	-	-	-	-	-	-	573
Computing Sciences ALD	115	-	-	-	-	-	-	-	-	115
Division/ALD Total	**52,334**	**39,542**	**245**	**22,848**	**6,451**	**75,376**	**12,487**	**86,471**	**1,656**	**297,411**

Note: Minor variances may occur due to rounding.

(a) Summation of indirect budget costs provided only to show magnitude of dollars being managed and does not equate to total indirect costs since there are overlaps between indirect budgets. For example, some organization burden costs are included in G&A and Recharges.

(b) Service Centers includes recharge cost centers that default to B&R YN01 (project type OHRCH) only and GSRA pass through cost.

(c) Includes: LBNL's Office of Homeland Security (formerly known as Nuclear Non-Proliferation).

(d) Includes: UC Management Fee.

Table 1.4

Average FTE Breakdown by Division, FY2013

	Direct Funded FTEs				Indirect Funded FTEs				Total FTEs
Division	DOE Operating (a)	WFO (b)	Capital & Equipment	Direct Funded Total	ALD/ Org. Burden	Service Centers (c)	Operations Overhead (d)	Indirect Funded Total	
Accelerator & Fusion Research	64.6	3.9	28.3	96.7	9.9	0.3	6.4	16.6	113.3
Advanced Light Source	184.8	0.8	32.4	218.1	14.8	-	6.0	20.8	238.9
Chief Financial Officer	0.0	-	-	0.0	-	-	150.0	150.0	150.0
Chemical Sciences	72.7	9.4	-	82.1	8.2	-	13.8	22.1	104.2
Computing Sciences	183.1	8.8	-	191.9	36.6	-	11.4	48.0	239.9
Environmental Energy Technologies	211.9	84.2	0.4	296.5	36.6	16.1	11.2	63.9	360.5
Engineering	8.7	4.6	0.0	13.3	28.1	8.0	10.4	46.5	59.8
Environmental/Health/ Safety	2.8	-	0.1	2.9	-	-	104.3	104.3	107.2
Earth Sciences	154.6	36.2	-	190.8	21.4	0.6	10.7	32.7	223.5
Facilities	1.3	-	10.5	11.9	19.5	3.1	169.2	191.9	203.8
Genomics	0.0	25.5	-	25.5	3.8	-	1.9	5.7	31.2
Genomics - JGI	207.9	3.2	-	211.1	(0.0)	10.4	7.0	17.4	228.6
Information Technology	6.6	-	-	6.6	12.4	18.3	94.5	125.2	131.8
Lab Directorate	0.3	-	-	0.3	-	-	68.7	68.7	69.0
Life Sciences	30.9	114.2	-	145.2	30.8	5.3	14.4	50.5	195.6
Materials Sciences	239.3	42.2	0.0	281.6	18.8	1.4	11.3	31.6	313.1
Nuclear Science	85.2	31.2	1.7	118.1	12.5	-	3.9	16.3	134.5
ALD for Operations	2.6	-	-	2.6	-	10.1	92.0	102.1	104.7
Physical Biosciences	153.0	32.2	0.2	185.4	22.1	9.0	9.3	40.4	225.9
Physics	95.7	3.0	0.0	98.8	13.0	-	1.9	14.9	113.7
Protective Services	2.4	-	-	2.4	-	-	11.4	11.4	13.8
Biosciences ALD	-	-	-	-	2.9	-	-	2.9	2.9
Energy and Environmental Sciences ALD	-	-	-	-	2.6	-	-	2.6	2.6
Computing Sciences ALD	-	-	-	-	0.6	-	-	0.6	0.6
Division Total	**1,708.6**	**399.5**	**73.8**	**2,181.9**	**294.6**	**82.7**	**809.7**	**1,187.0**	**3,368.8**

Notes:
- Minor variances may occur due to rounding.
- FTEs are calculated based on translating labor hours charged into work-months and dividing by division's PLF factor.
- FTE calculation does not include Contract Labor or Campus Labor.
- Total FTE excludes 44.9 FTEs from non-contract projects (CSRUC, ILAs, Royalties, and UC Construction Projects).

(a) DOE Operating includes DOE Integrated Contractors and Fellowships.
(b) WFO includes CRADA.
(c) Service Centers includes recharge cost centers that default to B&R YN01 (project type OHRCH) only.
(d) Operations Overhead includes: G&A, LDRD, Site Support, Payroll Burden, Procurement, Travel, IGPP, S&S, and LBNL's Office of Homeland Security.

Table 1.5

Funds Held for Others Cost Trends, FY2009 - FY2013 ($K)

Funding Source	FY2009	FY2010	FY2011	FY2012	FY2013
Royalty	1,509	2,153	2,037	4,080	3,508
Contractor-Funded Institutional Supporting R&D & Gifts	2,839	2,894	2,615	2,948	3,164
Inter-Location Appointments (ILA)	3,478	3,233	3,033	3,689	2,198
UC Construction Projects	1,170	358	950	1,030	1,188
Other	98	5	58	78	79
Total	**9,094**	**8,643**	**8,693**	**11,825**	**10,137**

Note 1: FY2009-2012 figures have been restated to properly reflect cost trends by excluding gift assessment fees from Contractor-Funded Insitutional Supporting R&D and Gift, and UC questioned costs from Other.

Note 2: Decrease of ($1.5M) from FY2012 to FY2013 in Inter-Location Appointments (ILA) is primarily due to the reduction of UC Berkeley awards for Computer Sciences ($960K), Nuclear Sciences ($248K) and Engineering ($151K).

2. Direct Funding — DOE & Reimbursable Work

Total Laboratory Funding

Total Laboratory Funding - $48M Increase

Total funding increased 6.5% to $793M in FY2013 primarily due to increased funding from the DOE Offices of Environmental Management, Energy Efficiency and Renewable Energy and National Nuclear Security Administration.

Type	FY2012 ($M)	FY2013 ($M)	Delta ($M)
Non- ARRA	$740	$791	$50
ARRA	$5	$2	$(2)
Total	**$745**	**$793**	**$48**

DOE Operating and Maintenance (O&M) Funding – $45.7M, Increase

O&M funding provides for the execution of research and development (R&D) efforts, purchase of equipment, accelerator improvement projects and construction of general plant projects. Total funding increased by 8% in FY2013 due to increases in Energy Efficiency and Renewable Energy and various other DOE Offices.

Office of Science

Office of Science (SC) O&M funding increased slightly, $8.3M or 2% in FY2013. The notable changes were:

- $10.7M increase for the DesignForward project funded by Advanced Scientific Computing Research to accelerate the R&D of critical technologies needed for exa-scale computing.
- $8M increase for the Sanford Underground Research Facility (SURF) in South Dakota funded by High Energy Physics for research in neutrino physics and dark matter research.
- $5.5M decrease due to the discontinuation of the Fusion Energy Sciences Program.
- Energy Efficiency and Renewable Energy (EERE) O&M funding increased $12.7M or 19% in FY2013. The notable changes were:
    - $5.8M increase for the US/China Clean Energy Research Center and Commercial Buildings Integration funded by the Building Technologies Program.
    - $4.1M increase for R&D of Emerging Technologies projects including; Lighting, Space Conditioning and Refrigeration and Windows Technology funded by the Building Technologies Program.
    - $1.8M decrease due to the completion of ARRA funded Project Advanced Geothermal Systems with CO2 as Heat Transmission Fluid.

Other DOE

Funding from various other DOE programs in FY2013 accounted for a net increase of $24.7M. The notable changes were:

- $19.4M increase in operating funding for Old Town Decontamination and Decommissioning funded by Environmental Management Non-Defense Environmental Cleanup.
- $4M increase for National Nuclear Security Administration (NNSA) - Office of Science collaboration for the DesignForward project funded by NNSA.
- $3.5M increase for cost share of ESnet funded by NNSA.

DOE Construction Funding - $13M Decrease

LBNL received no DOE Construction funds in FY2013 causing a year-to-year decrease because previously funded SC projects, Seismic Life Safety and Modernization and Replacement of General Purpose Buildings, Phase 2 were planned for completion in FY2013.

Other Direct Operating Funding – $15.4M, Increase

Total Other Direct Operating funding increased $15.4M or 12% to $139.1M in FY2013. The increase was driven by additional funding received from Other Federal and Non-Federal sponsors.

Other Federal Sponsors

Other Federal Sponsors funding increased $6.3M driven by the following major changes:

- $4.1M increase in funding from Department of Defense (DOD) for an Innovator Award for R&D in cancer research.
- $1.3M increase in funding from the Department of Homeland Security (DHS) for nuclear and radiological signal detection.
- $1.6M net decrease in National Institutes of Health (NIH) funding.

Non-Federal Sponsors

Non-Federal Agencies funding increased $4.3M driven by the following major change:

- $4.9 increase in funding from State and Local Governments and Non-Profit Organizations for various projects related to improving greenhouse gas emissions.

Total Laboratory Funding Continued

Work Performed for Other DOE Integrated Contractors
Work Performed for Other DOE Integrated Contractors increased $4.1M driven by the following major changes:

- $2.2M increase in a subcontract from Oak Ridge National Laboratory to develop a Science and Implementation Plan for the Next Generation Ecosystem Experiments (NGEE) Project.
- $1.8M increase in a subcontract from Brookhaven National Laboratory to collaborate on the STAR Heavy Flavor Tracker Project.

Total Laboratory Costs

Total Laboratory Costs - $100K increase

Total costs were flat increasing only $100K (less than 1%) from FY2012. American Recovery and Reinvestment Act (ARRA) costs continued to ramp down offset with a roughly equivalent increase in Non-ARRA spending.

Type	FY2012 ($M)	FY2013 ($M)	Delta ($M)
Non-ARRA	$754	$785	$30.3
ARRA	$65	$34	($30.2)
Total	**$819**	**$819**	**$0.1**

DOE Operating and Maintenance (O&M) Costs - $1.3M, Decrease

Office of Science
Office of Science (SC) O&M costs were relatively flat, decreasing only $300K or .1%. The notable year-to –year variances included:

- $15.6M increase for the National Energy Research Scientific Computing Center (NERSC) funded by the Advanced Scientific Computing Research Program for completion of NERSC 6 lease, ramp-up of NERSC 7 and the NERSC relocation project
- $6.0M decrease due to the demolition of Building 51 that was completed in FY2012 from Scientific Laboratory Infrastructure
- $5.4M decrease for the 88-inch Cyclotron Facility funded by Nuclear Physics
- $3.1M decrease for High Energy Density Laboratory Plasma Science for Inertial Fusion Energy funded by Fusion Energy Science

Office of Energy Efficiency and Renewable Energy
Energy Efficiency and Renewable Energy (EERE) O&M costs decreased $4M or 5%. The notable changes were:

- $2.0M decrease for Vehicles Technologies in the Battery Programs and related capital equipment purchases
- $1.5M decrease for LBNL's research contribution to other federal agencies energy efficiency programs in the Federal Energy Management Program
- $1.2M decrease in spending on ARRA funded Geothermal Technologies Research and Development

Other DOE
Other DOE O&M costs increased $2.9M or 9%. The notable change was:

- $2.4M increase for DesignForward funded by National Nuclear Security Administration (NNSA) as part of the NNSA and SC collaboration for exa-scale computing

DOE Construction Costs $3.6M, Increase

DOE Construction costs increased 9% to $43M in FY2013, primarily due to the SC funded project Seismic Life-Safety, Modernization and Replacement of General Purpose Buildings, Phase 2 which will be completed in early-FY2014. Additionally, the increase reflects spending for the EERE funded project for the National User Test Bed Facility for Low-Energy Integrated Building Systems which will be completed in mid-FY2014.

Other Direct Operating Costs - $2.1M, Decrease

Other Direct Operating Costs decreased 2% to $137M

Total Laboratory Costs Continued

in FY2013, primarily due to a decrease in the Other Federal Agencies category of 9% or $6M related primarily to National Institutes of Health and Department of Defense sponsored spending. This decrease was offset by increases to DOE Integrated Contractor costs of $4M or 30% for projects from Oak Ridge National Lab, Brookhaven National Lab, and SLAC National Accelerator Laboratory.

Data Sources for Tables in this section are as follows:

Data Type	Source
FY2013 Beginning Uncosted Obligations	Carryover Funding as provided in the LBNL final FY2012 Contract Modification
FY2013 Funds	Budget Authority as provided in the LBNL contract modification for the fiscal year
FY2013 Costs	LBNL published Year End Costs
FY2013 Ending Uncosted Obligations	DOE – Beginning Uncosted + Funds – Costs WFO – The sum of FY2013 Beginning Uncosted, FY2013 Funds and FY2013 Costs for the "Other Direct Operating" categories does not equal FY2013 Ending Uncosted Obligations due to various adjustments not reflected in the FY2013 Costs column. Examples of these adjustments include Bridge Funding, suspense items, and Federal Administrative Charge. The total of these adjustments for FY2013 is ($-1,145K).

Table 2.1

LBNL Funding Trends (BA) by Funding Source ($K)

Funding Srouce	FY2009	FY2010	FY2011	FY2012	FY2013 (a)
DOE DIRECT OPERATING					
Administrator for National Nuclear Security Administration	5,863	7,082	6,204	7,009	14,399
Advanced Research Projects Agency - Energy	28	5,297	-	2,993	4,131
Assistant Secretary for Energy Efficiency and Renewable Energy	43,507	98,411	66,410	65,678	78,423
Assistant Secretary for Environmental Management	425	2,675	2,741	1,371	20,523
Assistant Secretary for Fossil Energy	10,668	13,750	7,297	8,316	5,215
Assistant Secretary for Nuclear Energy	825	1,545	3,104	2,877	2,930
Assistant Secretary for Policy and International Affairs	100	741	108	50	200
Loan Programs Office	-	-	-	-	15
Office of Civilian Radioactive Waste Management	35	(1)	(2)	-	-
Office of Electricity Delivery and Energy Reliability	7,427	10,042	7,998	8,743	8,485
Office of Energy and Threat	300	(65)	-	109	138
Office of Health Safety and Security	385	150	20	57	34
Office of Legacy Management	-	-	-	-	150
Office of Management	-	-	1	-	-
Office of Science	503,087	448,488	475,423	497,738	506,725
Office of the Chief Information Officer	-	460	(137)	-	-
Total DOE Direct Operating	**572,649**	**588,576**	**569,167**	**594,941**	**641,370**
OTHER DIRECT OPERATING (b)					
Work for Other Federal Agencies	56,474	68,928	68,960	56,401	62,667
Work for Non-Federal Sponsors (c)	48,816	58,998	50,240	53,460	57,737
Cooperative Research and Development Agreements	505	482	1,220	417	1,192
Work for Other DOE Integrated Contractors (d)	11,015	11,007	11,828	13,437	17,537
Total Other Direct Operating	**116,810**	**139,413**	**132,249**	**123,716**	**139,132**
TOTAL OPERATING	**689,458**	**727,989**	**701,416**	**718,657**	**780,502**

Note: Minor variances may occur due to rounding.
Data Source: Budget Authority as provided in the LBNL final contract modification for the fiscal year.
(a) Includes funding for American Recovery and Reinvestment Act (ARRA):
In FY2013 ARRA funds received were categorized as: Operating ($2,315K) and Plant and Equipment ($-1K). See Table 3.1 for details.
(b) FY2010, FY2011, FY2012 and FY2013 ARRA National Institutes of Health (NIH) and National Science Foundation (NSF) awards were obligated to LBNL by DOE as work for a Non-Federal entity to accommodate OMB apportionment requirements for ARRA. For reporting consistency with prior and future years, all NIH and NSF funding and cost data is reflected under the Work for Other Federal Agencies category.
(c) Includes funding for Non-Federal Sponsors who are precluded by law from paying an advance under the WN02 program.
(d) Total funding for Work for Other Integrated Contractors is assumed to be equal to cost incurred.

continued...

Table 2.1

LBNL Funding Trends (BA) by Funding Source ($K) Continued

Funding Srouce	FY2009	FY2010	FY2011	FY2012	FY2013 (a)
DOE PLANT AND CAPITAL EQUIPMENT					
Basic Equipment/Major Items of Equipment					
Administrator for National Nuclear Security Administration	340	-	77	-	(0)
Assistant Secretary for Energy Efficiency and Renewable Energy	65	8,482	1,200	-	-
Office of Science	132,728	53,902	34,904	10,612	11,081
Total DOE Capital Equipment	**133,133**	**62,384**	**36,181**	**10,612**	**11,080**
GENERAL PLANT PROJECTS					
Office of Science	16,233	1,499	1,032	-	1,250
ACCELERATOR IMPROVEMENT PROJECTS					
Office of Science	13,255	5,320	2,300	3,000	550
LINE-ITEM CONSTRUCTION					
Assistant Secretary for Energy Efficiency and Renewable Energy	-	15,700	-	-	-
Office of Science	56,158	34,025	20,063	12,972	(2)
Total DOE Plant	**85,646**	**56,544**	**23,395**	**15,972**	**1,798**
TOTAL DOE PLANT AND CAPITAL EQUIPMENT	**218,779**	**118,928**	**59,576**	**26,584**	**12,878**
TOTAL LABORATORY	**908,237**	**846,917**	**760,992**	**745,241**	**793,380**

Note: Minor variances may occur due to rounding.
Data Source: Budget Authority as provided in the LBNL final contract modification for the fiscal year.

Table 2.2

LBNL Cost Trends by Funding Source ($K)

Funding Source	FY2009	FY2010	FY2011	FY2012	FY2013 (a)
DOE DIRECT OPERATING					
Administrator for National Nuclear Security Administration	5,853	7,232	6,105	7,026	9,310
Advanced Research Projects Agency - Energy	13	30	1,966	2,517	3,651
Assistant Secretary for Energy Efficiency and Renewable Energy	28,387	57,400	78,939	71,739	68,584
Assistant Secretary for Environmental Management	341	1,969	3,251	1,842	2,138
Assistant Secretary for Fossil Energy	6,840	6,969	11,182	9,624	9,817
Assistant Secretary for Nuclear Energy	964	1,485	2,733	3,091	3,072
Assistant Secretary for Policy and International Affairs	66	96	685	98	76
Loan Programs Office	-	-	-	-	15
Office of Civilian Radioactive Waste Management	222	39	4	-	-
Office of Electricity Delivery and Energy Reliabiltiy	6,015	7,353	6,676	8,470	7,479
Office of Energy and Threat	-	38	158	132	164
Office of Health Safety and Security	390	281	31	37	40
Office of Science	392,951	459,035	481,048	505,375	508,623
Office of the Chief Information Officer	-	299	24	-	-
Total DOE Direct Operating	**442,043**	**542,228**	**592,803**	**609,950**	**612,968**
OTHER DIRECT OPERATING (b)					
Work for Other Federal Agencies	64,754	73,768	72,095	68,687	62,538
Work for Non-Federal Sponsors (c)	44,604	55,399	55,558	56,360	56,111
Cooperative Research and Development Agreements	250	785	496	980	1,204
Work for Other DOE Integrated Contractors	11,015	11,007	11,828	13,437	17,537
Total Other Direct Operating (d)	**120,622**	**140,959**	**139,977**	**139,464**	**137,391**
TOTAL OPERATING	**562,665**	**683,187**	**732,780**	**749,413**	**750,359**

Note: Minor variances may occur due to rounding.
Data Source: LBNL published Fiscal Year End Costs.
(a) Includes funding for American Recovery and Reinvestment Act (ARRA):
In FY2013 ARRA costs were colored as: Operating ($22,056K), Plant and Equipment ($12,474K). See Table 3.2 for details.
(b) In FY2010, FY2011, FY2012 and FY2013 ARRA National Institutes of Health (NIH) and National Science Foundation (NSF) awards were obligated to LBNL by DOE as work for a Non-Federal entity to accommodate OMB apportionment requirements for ARRA. For reporting consistency with prior and future years, all NIH and NSF funding and cost data is reflected under the Work for Other Federal Agencies category.
(c) Includes funding for Non-Federal Sponsors who are precluded by law from paying an advance under the WN02 program.
(d) FY2013 Costs do not include various adjustments. Examples of these adjustments include bridge funding, suspense items and Federal Administrative Charge. The total of these adjustments for FY2013 is ($-1,145K).

continued...

Table 2.2

LBNL Cost Trends by Funding Source ($K) Continued

Funding Source	FY2009	FY2010	FY2011	FY2012	FY2013 (a)
DOE PLANT AND CAPITAL EQUIPMENT					
Basic Equipment/Major Items of Equipment					
Administrator for National Nuclear Security Administration	1,331	159	140	-	-
Assistant Secretary for Energy Efficiency and Renewable Energy	1,070	870	5,372	1,567	742
Office of Science	46,645	80,815	64,165	28,306	24,773
Total DOE Capital Equipment	**49,045**	**81,844**	**69,677**	**29,874**	**25,515**
GENERAL PLANT PROJECTS					
Office of Science	5,098	11,853	454	3,220	1,769
ACCELERATOR IMPROVEMENT PROJECTS					
Office of Science	1,268	1,865	5,444	6,985	6,622
LINE-ITEM CONSTRUCTION					
Assistant Secretary for Energy Efficiency and Renewable Energy	-	91	1,151	2,036	8,262
Office of Science	29,673	32,223	26,589	27,565	26,715
Total DOE Plant	**36,039**	**46,031**	**33,638**	**39,807**	**43,368**
TOTAL DOE PLANT AND CAPITAL EQUIPMENT	**85,084**	**127,875**	**103,315**	**69,680**	**68,882**
TOTAL LABORATORY	**647,749**	**811,062**	**836,095**	**819,093**	**819,242**

Note: Minor variances may occur due to rounding.
Data Source: LBNL published Fiscal Year End Costs.
(a) Includes funding for American Recovery and Reinvestment Act (ARRA):
In FY2013 ARRA costs were colored as: Operating ($22,056K), Plant and Equipment ($12,474K). See Table 3.2 for details.

Table 2.3

LBNL Funding and Costs by Funding Source ($K)

LBNL FY2013 Funding and Cost by Source ($K)	FY2013 Beginning Uncosted Obligations	FY2013 Funds	FY2013 Costs	FY2013 Ending Uncosted Obligations
DOE DIRECT OPERATING				
Administrator for National Nuclear Security Administration	3,063	14,399	9,310	8,153
Advanced Research Projects Agency - Energy	3,792	4,131	3,651	4,272
Assistant Secretary for Energy Efficiency and Renewable Energy	56,452	78,423	68,584	66,291
Assistant Secretary for Environmental Management	780	20,523	2,138	19,164
Assistant Secretary for Fossil Energy	14,618	5,215	9,817	10,016
Assistant Secretary for Nuclear Energy	703	2,930	3,072	561
Assistant Secretary for Policy and International Affairs	118	200	76	242
Loan Programs Office	-	15	15	0
Office of Electricity Delivery And Energy Reliability	11,593	8,485	7,479	12,599
Office of Energy and Threat	80	138	164	54
Office of Health Safety and Security	28	34	40	22
Office of Legacy Management	-	150	-	150
Office of Management	1	-	-	1
Office of Science	225,240	506,725	508,623	223,343
Total DOE Direct Operating	**316,466**	**641,370**	**612,968**	**344,867**
OTHER DIRECT OPERATING (a)				
Work for Other Federal Agencies	51,937	62,667	62,538	52,754
Work for Non-Federal Sponsors (b)	26,008	57,737	56,111	28,038
Cooperative Research and Development Agreements	515	1,192	1,204	553
Work for Other DOE Integrated Contractors (c)	-	17,537	17,537	-
Total Other Direct Operating (d)	**78,459**	**139,132**	**137,391**	**81,345**
TOTAL OPERATING	**394,925**	**780,502**	**750,359**	**426,212**

Note: Minor variances may occur due to rounding.

(a) ARRA National Institutes of Health (NIH) and National Science Foundation (NSF) awards were obligated to LBNL by DOE as work for a Non-Federal entity to accommodate OMB apportionment requirements for ARRA. For reporting consistency with prior and future years, all NIH and NSF funding and cost data is reflected under the Work for Other Federal Agencies category.

(b) Includes funding for Non-Federal Sponsors who are precluded by law from paying an advance under the WN02 program.

(c) Total funding for Work for Other Integrated Contractors is assumed to be equal to cost incurred.

(d) The sum of FY2013 Beginning Uncosted Obligations and FY2013 Funds minus FY2013 Costs does not equal FY2013 Ending Uncosted Obligations due to various adjustments not reflected in the FY2013 Costs column. Examples of these adjustments include bridge funding, suspense items, and Federal Administrative Charge. The total of these adjustments for FY2013 is ($-1,145K).

continued...

Table 2.3

LBNL Funding and Costs by Funding Source ($K) Continued

LBNL FY2013 Funding and Cost by Source ($K)	FY2013 Beginning Uncosted Obligations	FY2013 Funds	FY2013 Costs	FY2013 Ending Uncosted Obligations
DOE PLANT AND EQUIPMENT				
Basic Equipment/Major Items of Equipment				
Administrator for National Nuclear Security Administration	0	(0)	-	-
Assistant Secretary for Energy Efficiency and Renewable Energy	742	-	742	0
Office of Science	39,495	11,081	24,773	25,803
Total Capital Equipment	**40,238**	**11,080**	**25,515**	**25,804**
General Plant Projects				
Office of Science	1,669	1,250	1,769	1,150
Accelerator Improvement Projects				
Office of Science	10,897	550	6,622	4,825
Line-Item Construction				
Assistant Secretary for Energy Efficiency and Renewable Energy	12,422	-	8,262	4,161
Office of Science	30,424	(2)	26,715	3,707
Total DOE Plant	**55,413**	**1,798**	**43,368**	**13,843**
TOTAL DOE PLANT AND CAPITAL EQUIPMENT	**95,650**	**12,878**	**68,882**	**39,646**
TOTAL LABORATORY (e)	**490,576**	**793,380**	**819,242**	**465,858**

Note: Minor variances may occur due to rounding.
(e) Includes American Recovery and Reinvestment Act (ARRA):
In FY2013 ARRA costs were colored as: Operating ($2,315K, $22,056K) and Plant and Equipment ($-1K, $12,474K).
See Table 3.1 and Table 3.2 for details.

Table 2.4

FY2013 Funding and Costs by DOE Programs ($K)

ADMINSTRATOR FOR NATIONAL NUCLEAR SECURITY ADMINISTRATION		FY2013 Beginning Uncosted Obligations	FY2013 Funds	FY2013 Costs	FY2013 Ending Uncosted Obligations
OPERATING					
DP15	Advanced Simulation and Computing Campaign	6	4,000	5	4,001
FS21	Field Security - Cyber Security	250	(30)	219	0
NN20	Nonproliferation And Verification Research And Development	2,598	5,870	5,732	2,736
NN40	Nonproliferation and International Security	210	1,026	983	252
MO01	NNSA CIO Activities - Cyber Security	-	3,534	2,370	1,164
Total Operating		**3,063**	**14,399**	**9,310**	**8,153**
CAPITAL EQUIPMENT:					
NN20	Nonproliferation And Verification Research And Development	0	(0)	-	-
Total Capital Equipment		**0**	**(0)**	**-**	**-**
TOTAL ADMINISTRATOR FOR NATIONAL NUCLEAR SECURITY ADMINISTRATION		**3,063**	**14,399**	**9,310**	**8,153**
Note: Minor variances may occur due to rounding.					

continued...

Table 2.4a

FY2013 Funding and Costs by DOE Programs ($K) Continued

OFFICE OF SCIENCE		FY2013 Beginning Uncosted Obligations	FY2013 Funds	FY2013 Costs	FY2013 Ending Uncosted Obligations
OPERATING					
AT50	FES - Science	2,069	4	2,019	54
FS10	Safeguards and Security - Science	2,456	3,767	4,653	1,570
KA11	Proton Accelerator-Based Physics (a)	56	-	10	46
KA13	Non-Accelerator-Based Physics (a)	26	(1)	24	2
KA14	Theoretical Physics (a)	2,323	(100)	1,252	971
KA15	Advanced Technology R&D (prior to restructure) (a)	379	(0)	373	6
KA21	Energy Frontier Experimental Physics (a)	4,274	8,365	7,946	4,693
KA22	Intensity Frontier Experimental Physics (a)	2,991	18,795	18,665	3,121
KA23	Cosmic Frontier Experimental Physics (a)	5,718	11,460	11,773	5,405
KA24	Theoretical and Computational Physics (a)	1,291	4,870	3,933	2,228
KA25	Advanced Technology R&D (a)	5,615	16,849	16,629	5,835
KA26	Accelerator Stewardship (a)	-	30	-	30
KB01	Medium Energy Physics	102	591	518	175
KB02	Heavy-Ion Physics	3,016	5,211	4,886	3,340
KB03	Nuclear Theory	2,942	2,294	3,378	1,857
KB04	Low Energy Physics	3,861	10,256	10,869	3,248
KC02	Materials Sciences and Engineering	13,967	28,944	27,595	15,316
KC03	Chemical Sciences, Geosciences, and Energy Biosciences	29,918	44,186	41,322	32,781
KC04	Scientific User Facilities	20,734	83,663	88,343	16,054
KG06	Excess Facilities Disposition	0	(0)	-	-
KJ01	Mathematical, Information, And Computational Sciences	24	(24)	-	-
KJ04	Mathematical, Computational, and Computer Sciences Research	28,157	26,430	23,658	30,929
KJ05	High Performance Computing and Network Facilities	47,829	104,184	102,018	49,995
KL02	Educator Programs (a)	0	(0)	-	-
KL10	Internships and Visiting Faculty Activities at DOE Labs (a)	470	1,507	1,327	650
KL11	Fellowships (a)	-	15	13	2
KP11	Life Sciences	4	(1)	1	3
KP12	Climate Change Research	202	(0)	124	77
KP13	Environmental Remediation	0	(0)	-	-
KP15	Biological Research	422	(3)	223	196
KP16	Biological Systems Science	34,579	116,130	119,532	31,177
KP17	Climate and Environmental Sciences	11,813	19,305	17,535	13,583
Total Operating (a)		**225,240**	**506,725**	**508,623**	**223,343**

(a) FY2013 Funds for High Energy Physics (Budget and Reporting Codes beginning with KA) and Workforce for Teachers and Scientists (Budget and Reporting Codes beginning with KL) were shifted at the 4 digit Budget and Reporting Code level from the FY2013 Funds column (Budget Authority) to FY2013 Beginning Uncosted Obligations due to DOE realignment. Therefore, FY2012 Ending Uncosted Obligations do not equal FY2013 Beginning Uncosted Obligations. Net effect is zero.

continued...

Table 2.4a

FY2013 Funding and Costs by DOE Programs ($K) Continued

OFFICE OF SCIENCE (Continued)		FY2013 Beginning Uncosted Obligations	FY2013 Funds	FY2013 Costs	FY2013 Ending Uncosted Obligations
CAPITAL EQUIPMENT					
AT50	FES - Science	1	(1)	-	-
KA11	Proton Accelerator-Based Physics (a)	1,138	(440)	571	127
KA13	Non-Accelerator-Based Physics (a)	76	(0)	74	1
KA15	Advanced Technology R&D (prior to restructure) (a)	462	(1)	438	23
KA22	Intensity Frontier Experimental Physics (a)	-	1,987	187	1,801
KA25	Advanced Technology R&D (a)	3,135	2,950	5,582	504
KB02	Heavy-Ion Physics	140	(140)	-	-
KB04	Low Energy Physics	5,350	1,400	2,940	3,810
KC02	Materials Sciences and Engineering	4,304	(300)	2,083	1,920
KC03	Chemical Sciences, Geosciences, and Energy Biosciences	2,482	(573)	1,409	500
KC04	Scientific User Facilities	7,499	6,400	5,888	8,011
KJ01	Mathematical, Information, And Computational Sciences	31	(31)	-	-
KJ05	High Performance Computing and Network Facilities	12,180	(170)	5,601	6,409
KP11	Life Sciences	0	(0)	-	-
KP15	Biological Research	0	(0)	-	-
KP16	Biological Systems Science	2,697	-	-	2,697
Total Capital Equipment (b)		**39,495**	**11,081**	**24,773**	**25,803**
Note: Minor variances may occur due to rounding. (a) FY2013 Funds for High Energy Physics (Budget and Reporting Codes beginning with KA) and Workforce for Teachers and Scientists (Budget and Reporting Codes beginning with KL) were shifted at the 4 digit Budget and Reporting Code level from the FY2013 Funds column (Budget Authority) to FY2013 Beginning Uncosted Obligations due to DOE realignment. Therefore, FY2012 Ending Uncosted Obligations do not equal FY2013 Beginning Uncosted Obligations. Net effect is zero. (b) Includes Institutional General Purpose Equipment activity.					
GENERAL PLANT PROJECTS					
FS10	Safeguards and Security - Science	41	1,100	39	1,102
KA11	Proton Accelerator-Based Physics	13	-	-	13
KC04	Scientific User Facilities	1,074	150	1,190	34
KG09	General Plant Projects	541	-	541	0
Total General Plant Projects		**1,669**	**1,250**	**1,769**	**1,150**
ACCELERATOR IMPROVEMENT PROJECTS					
KB04	Low Energy Physics	0	-	-	0
KC02	Materials Sciences and Engineering	4,235	-	4,235	0
KC04	Scientific User Facilities	6,662	550	2,387	4,825
Total Accelerator Improvement Projects		**10,897**	**550**	**6,622**	**4,825**
LINE-ITEM CONSTRUCTION					
39KG	Science Laboratories Infrastructure	30,424	(2)	26,715	3,707
Total Line-item Construction		**30,424**	**(2)**	**26,715**	**3,707**
TOTAL DOE PLANT		**42,990**	**1,798**	**35,106**	**9,682**
TOTAL OFFICE OF SCIENCE		**307,726**	**519,604**	**568,502**	**258,828**
Note: Minor variances may occur due to rounding.					

continued...

Table 2.4b

FY2013 Funding and Costs by DOE Programs ($K) Continued

ASSISTANT SECRETARY FOR ENERGY EFFICIENCY AND RENEWABLE ENERGY		FY2013 Beginning Uncosted Obligations	FY2013 Funds	FY2013 Costs	FY2013 Ending Uncosted Obligations
OPERATING					
BM01	Biomass/Biofuels Energy Systems	3,793	4,018	3,244	4,566
BR01	EE Departmental Admin, Rec Act	2,146	-	537	1,608
BT01	Residential Buildings Integration	2,818	1,817	3,539	1,096
BT02	Commercial Buildings Integration	7,321	9,742	5,430	11,632
BT03	Emerging Technologies	3,674	10,697	8,252	6,119
BT04	Equipment and Buildings Standards	10,572	15,162	12,917	12,817
BT07	Technology Validation and Market Introduction	903	(0)	868	35
EB21	Solar Energy	669	-	523	146
EB25	Wind Energy Systems	254	(1)	243	11
EB36	Facilities and Infrastructure	5	-	-	5
EB40	Geothermal Technologies	5,706	-	3,503	2,204
EB42	Hydrogen Research R&D	302	(0)	161	141
EB51	Energy Efficiency and Renewable Energy Program Direction	2,516	(0)	1,001	1,515
EB55	Department Energy Management Program	27	(27)	-	-
EB57	Energy Efficiency and Renewable Energy (EERE) Program Support	869	-	652	217
ED18	Industries Of The Future (Specific)	0	(0)	-	-
ED19	Industries Of The Future (Crosscutting)	213	(0)	113	100
ED20	Industrial Technical Assistance	907	1,438	1,563	782
ED27	Next Generation Manufacturing Processes	65	-	65	0
ED28	Next Generation Materials	249	-	63	186
EL17	Federal Energy Management Program	2,575	3,701	3,371	2,905
GT01	Enhanced Geothermal Systems	-	4,265	687	3,578
GT03	Innovative Exploration Technologies	-	1,134	23	1,111
HT01	Fuel Cell Systems R&D	1,561	3,021	3,027	1,556
HT02	Hydrogen Fuel R&D	327	900	743	485
HT07	Manufacturing R&D	21	75	67	29
PG03	Strategic Priorites and Impact Analysis	485	875	440	920
PG05	International	75	555	339	291
SL01	Concentrating Solar Power	-	232	-	232
SL02	Photovoltaic R&D	-	1,028	390	638
SL04	Market Transformation (Standards/Operability/Training)	-	1,597	886	711
VT02	Outreach, Deployment & Analysis	18	-	(5)	23
VT03	Hybrid and Electric Propulsion	0	(0)	0	0
VT05	Materials Technology	74	248	286	36
VT11	Hybrid Electric Systems	21	-	16	5
VT12	Batteries and Electric Drive Technology	6,687	15,884	14,200	8,371
WI03	State Energy Program (Grants)	418	835	279	973
WI04	Other State Energy Activities	171	(0)	111	60

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Table 2.4b

FY2013 Funding and Costs by DOE Programs ($K) Continued

ASSISTANT SECRETARY FOR ENERGY EFFICIENCY AND RENEWABLE ENERGY		FY2013 Beginning Uncosted Obligations	FY2013 Funds	FY2013 Costs	FY2013 Ending Uncosted Obligations
WI05	Gateway Deployment	3	-	3	0
WI06	Intergovernmental Activities	277	(0)	125	151
WI07	Weatherization Assistance Program	729	434	566	596
WW02	Technology Viability	-	613	288	325
WW03	Technology Application	-	182	67	114
Total Operating		**56,452**	**78,423**	**68,584**	**66,291**
CAPITAL EQUIPMENT					
BM01	Biomass/Biofuels Energy Systems	629	-	628	0
VT12	Batteries and Electric Drive Technology	114	-	114	0
Total Capital Equipment		**742**	**-**	**742**	**0**
LINE-ITEM CONSTRUCTION					
39EB	Facilities and Infrastructure	12,422	-	8,262	4,161
Total Line-item Construction		**12,422**	**-**	**8,262**	**4,161**
TOTAL DOE PLANT		**12,422**	**-**	**8,262**	**4,161**
TOTAL ASSISTANT SECRETARY FOR ENERGY EFFICIENCY AND RENEWABLE ENERGY		**69,616**	**78,423**	**77,587**	**70,452**
Note: Minor variances may occur due to rounding.					

Table 2.4c

FY2013 Funding and Costs by DOE Programs ($K) Continued

OFFICE OF ELECTRICITY DELIVERY AND ENERGY RELIABILITY		FY2013 Beginning Uncosted Obligations	FY2013 Funds	FY2013 Costs	FY2013 Ending Uncosted Obligations
OPERATING					
TD50	Research and Development	2,785	-	1,258	1,527
TD54	Operations and Analysis	1,803	-	1,433	370
TE11	Clean Energy Transmission & Reliability	3,238	4,824	2,681	5,381
TE12	Smart Grid Research and Development	927	1,100	701	1,326
TF00	Permitting, Siting and Analysis	2,840	2,561	1,405	3,995
Total Operating		**11,593**	**8,485**	**7,479**	**12,599**
TOTAL OFFICE OF ELECTRICITY DELIVERY AND ENERGY RELIABILITY		**11,593**	**8,485**	**7,479**	**12,599**
Note: Minor variances may occur due to rounding.					

ASSISTANT SECRETARY FOR FOSSIL ENERGY		FY2013 Beginning Uncosted Obligations	FY2013 Funds	FY2013 Costs	FY2013 Ending Uncosted Obligations
OPERATING					
AA15	Advanced Research	712	(0)	691	21
AA20	Central Systems	192	(0)	123	69
AA25	Fuel Cells	0	(0)	(3)	3
AA30	Sequestration	5,048	-	3,371	1,677
AA60	Advanced Energy Systems	300	-	300	0
AA65	Carbon Capture	819	160	600	379
AA70	Carbon Storage	3,731	2,283	2,046	3,969
AA90	Cross Cutting Research	2,535	2,563	1,955	3,142
AB05	Natural Gas Technologies	404	210	404	209
AC10	Oil Technology	340	(0)	185	155
AD20	Contractual Services And Supplies	6	-	4	3
AE10	Advanced Metallurgical Processes	0	(0)	-	-
AY05	Clean Coal Power Initiative	338	-	65	273
BD00	Unconventional Fossil Energy Technologies	93	-	-	93
CE03	Center for Zero Emissions Technology - Montana State	88	-	76	12
CE47	Innovations for Low-Cost Gasification Systems	5	-	-	5
CE54	Design and Test of an Advanced SOFC Generator in PA	6	-	-	6
Total Operating		**14,618**	**5,215**	**9,817**	**10,016**
TOTAL ASSISTANT SECRETARY FOR FOSSIL ENERGY		**14,618**	**5,215**	**9,817**	**10,016**
Note: Minor variances may occur due to rounding.					

LOAN PROGRAMS OFFICE		FY2013 Beginning Uncosted Obligations	FY2013 Funds	FY2013 Costs	FY2013 Ending Uncosted Obligations
OPERATING					
LG20	Loan Guarantee Program Contract Support	-	15	15	0
Total Operating		**-**	**15**	**15**	**0**
TOTAL LOAN PROGRAMS OFFICE		**-**	**15**	**15**	**0**
Note: Minor variances may occur due to rounding.					

Table 2.4d

FY2013 Funding and Costs by DOE Programs ($K) Continued

ASSISTANT SECRETARY FOR ENVIRONMENTAL MANAGEMENT		FY2013 Beginning Uncosted Obligations	FY2013 Funds	FY2013 Costs	FY2013 Ending Uncosted Obligations
OPERATING					
EY40	Defense Site Acceleration Completion - Technology Development and Deployment	182	1,030	994	218
EY80	Defense Environmental Cleanup - Program Support	0	115	47	68
EZ50	Non-Defense Environmental Cleanup - Small Sites	597	19,378	1,098	18,878
Total Operating		**780**	**20,523**	**2,138**	**19,164**
TOTAL ASSISTANT SECRETARY FOR ENVIRONMENTAL MANAGEMENT		**780**	**20,523**	**2,138**	**19,164**
Note: Minor variances may occur due to rounding.					

OFFICE OF HEALTH SAFETY AND SECURITY		FY2013 Beginning Uncosted Obligations	FY2013 Funds	FY2013 Costs	FY2013 Ending Uncosted Obligations
OPERATING					
HQ10	Employee Compensation	28	34	40	22
Total Operating		**28**	**34**	**40**	**22**
TOTAL OFFICE OF HEALTH SAFETY AND SECURITY		**28**	**34**	**40**	**22**
Note: Minor variances may occur due to rounding.					

ASSISTANT SECRETARY FOR NUCLEAR ENERGY		FY2013 Beginning Uncosted Obligations	FY2013 Funds	FY2013 Costs	FY2013 Ending Uncosted Obligations
OPERATING					
AF58	Fuel Cycle Research and Development (FCR&D)	483	2,930	2,885	528
DF01	First Repository	30	-	12	18
NT01	Crosscutting Technology Development	111	-	96	15
RC04	Advanced Reactor Concepts (ARC)	79	-	79	0
Total Operating		**703**	**2,930**	**3,072**	**561**
TOTAL ASSISTANT SECRETARY FOR NUCLEAR ENERGY		**703**	**2,930**	**3,072**	**561**
Note: Minor variances may occur due to rounding.					

OFFICE OF LEGACY MANAGEMENT		FY2013 Beginning Uncosted Obligations	FY2013 Funds	FY2013 Costs	FY2013 Ending Uncosted Obligations
OPERATING					
LM01	Legacy Management Activities - Defense	-	150	-	150
Total Operating		**-**	**150**	**0**	**150**
TOTAL OFFICE OF LEGACY MANAGEMENT		**-**	**150**	**0**	**150**
Note: Minor variances may occur due to rounding.					

Table 2.4e

FY2013 Funding and Costs by DOE Programs ($K) Continued

OFFICE OF ENERGY AND THREAT		FY2013 Beginning Uncosted Obligations	FY2013 Funds	FY2013 Costs	FY2013 Ending Uncosted Obligations
OPERATING					
GD40	Program Direction	80	138	164	54
Total Operating		**80**	**138**	**164**	**54**
TOTAL OFFICE OF ENERGY AND THREAT		**80**	**138**	**164**	**54**
Note: Minor variances may occur due to rounding.					

ASSISTANT SECRETARY FOR POLICY AND INTERNATIONAL AFFAIRS		FY2013 Beginning Uncosted Obligations	FY2013 Funds	FY2013 Costs	FY2013 Ending Uncosted Obligations
OPERATING					
PE04	Office Of Environmental Analysis	5	-	-	5
PE06	Climate Change Technology Program	106	200	76	230
WA22	Office of International Affairs - Program Direction	7	-	-	7
Total Operating		**118**	**200**	**76**	**242**
TOTAL ASSISTANT SECRETARY FOR POLICY AND INTERNATIONAL AFFAIRS		**118**	**200**	**76**	**242**
Note: Minor variances may occur due to rounding.					

OFFICE OF MANAGEMENT		FY2013 Beginning Uncosted Obligations	FY2013 Funds	FY2013 Costs	FY2013 Ending Uncosted Obligations
OPERATING					
MA10	Other Related Expenses - Contractual Services	1	-	-	1
Total Operating		**1**	**-**	**-**	**1**
TOTAL OFFICE OF MANAGEMENT		**1**	**-**	**-**	**1**
Note: Minor variances may occur due to rounding.					

ADVANCED RESEARCH PROJECTS AGENCY - ENERGY		FY2013 Beginning Uncosted Obligations	FY2013 Funds	FY2013 Costs	FY2013 Ending Uncosted Obligations
OPERATING					
CJ01	ARPA-E Projects	3,792	4,131	3,651	4,272
Total Operating		**3,792**	**4,131**	**3,651**	**4,272**
TOTAL ADVANCED RESEARCH PROJECTS AGENCY - ENERGY		**3,792**	**4,131**	**3,651**	**4,272**
Note: Minor variances may occur due to rounding.					

Table 2.5

FY2013 Funding and Costs by Other Direct Operating Source ($K)

Funding Source	FY2013 Beginning Uncosted Obligations	FY2013 Funds	FY2013 Costs	FY2013 Ending Uncosted Obligations
REIMBURSABLE WORK FOR OTHER - AGENCIES				
Work for Other - Federal Agencies				
Department of Agriculture	0	(0)	0	-
Department of Defense	7,490	16,262	11,943	12,048
Department of Homeland Security - Borders and Transportation	904	901	1,274	520
Department of Homeland Security - Domestic Nuclear Detection Office	230	-	227	3
Department of Homeland Security - Science and Technology	1,401	3,682	3,603	1,480
Department of Housing And Urban Development	179	194	163	215
Department of State - Other	1	(2)	(1)	-
Department of The Interior	658	540	397	812
Environmental Protection Agency	1,043	1,087	1,594	581
National Aeronautics And Space Administration	3,627	4,494	5,047	3,222
National Institutes of Health (a)	31,868	30,508	33,069	29,435
National Science Foundation (a)	576	436	602	428
Nuclear Regulatory Commission	515	661	607	564
Other Federal Agencies	3,166	3,711	3,834	3,152
Other Federal Agencies - Defense-Related Activities	175	18	101	96
Other Federal Agencies - Energy-Related Activities	102	174	81	198
Total Work for Other - Federal Agencies	**51,937**	**62,667**	**62,538**	**52,754**
Work for Non-Federal Agencies				
Foreign Governments	329	510	439	359
Domestic and Foreign Industry	7,353	14,662	14,653	7,753
State and Local Governments & NPO's	9,419	29,544	28,209	10,821
Universities and Institutes	3,272	11,022	11,644	2,633
Cost of Work for Other Program (WN) (b)	5,634	2,000	1,166	6,472
Total Work for Non-Federal Agencies	**26,008**	**57,737**	**56,111**	**28,038**

Note: Minor variances may occur due to rounding.

(a) FY2013 ARRA National Institutes of Health (NIH) and National Science Foundation (NSF) awards were obligated to LBNL by DOE as work for a Non-Federal entity to accommodate OMB apportionment requirements for ARRA. For reporting consistency with prior and future years, all NIH and NSF funding and cost data is reflected under the Work for Other Federal Agencies category.

(b) Includes funding for Non-Federal Sponsors who are precluded by law from paying an advance under the WN02 program.

continued...

Table 2.5

FY2013 Funding and Costs by Other Direct Operating Source ($K) Continued

Funding Source	FY2013 Beginning Uncosted Obligations	FY2013 Funds	FY2013 Costs	FY2013 Ending Uncosted Obligations
Cooperative Research and Development Agreements				
CRADA - Other	515	1,188	1,200	553
CRADA - Small Business	-	4	4	-
Total Cooperative Research and Development Agreements	**515**	**1,192**	**1,204**	**553**
TOTAL REIMBURSABLE WORK FOR OTHER	**78,459**	**121,595**	**119,854**	**81,345**
Work for Other DOE Integrated Contractors				
Work Performed for Other DOE Locations (c)	-	17,537	17,537	-
Total Work for Other DOE Integrated Contractors	**-**	**17,537**	**17,537**	**-**
TOTAL OTHER DIRECT OPERATING (d) (e)	**78,459**	**139,132**	**137,391**	**81,345**

Note: Minor variances may occur due to rounding.

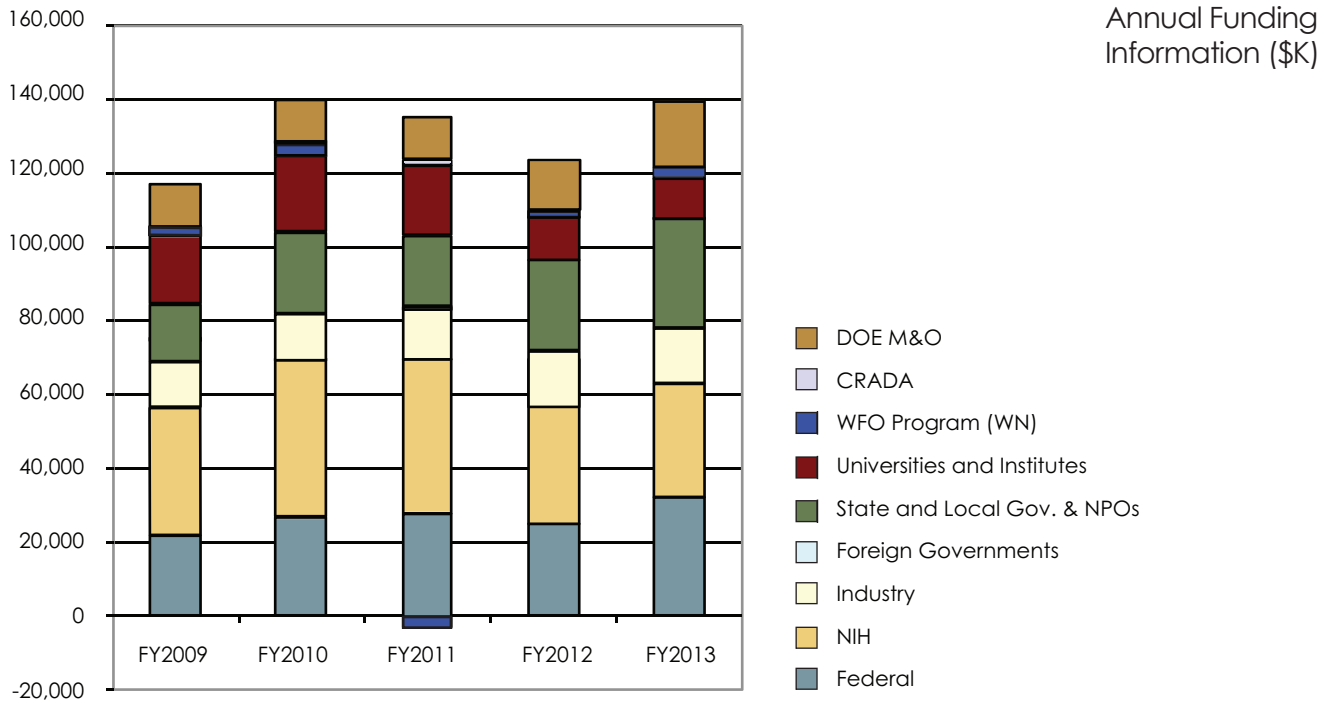
(c) Total funding for Work for Other Integrated Contractors is assumed to be equal to cost incurred.

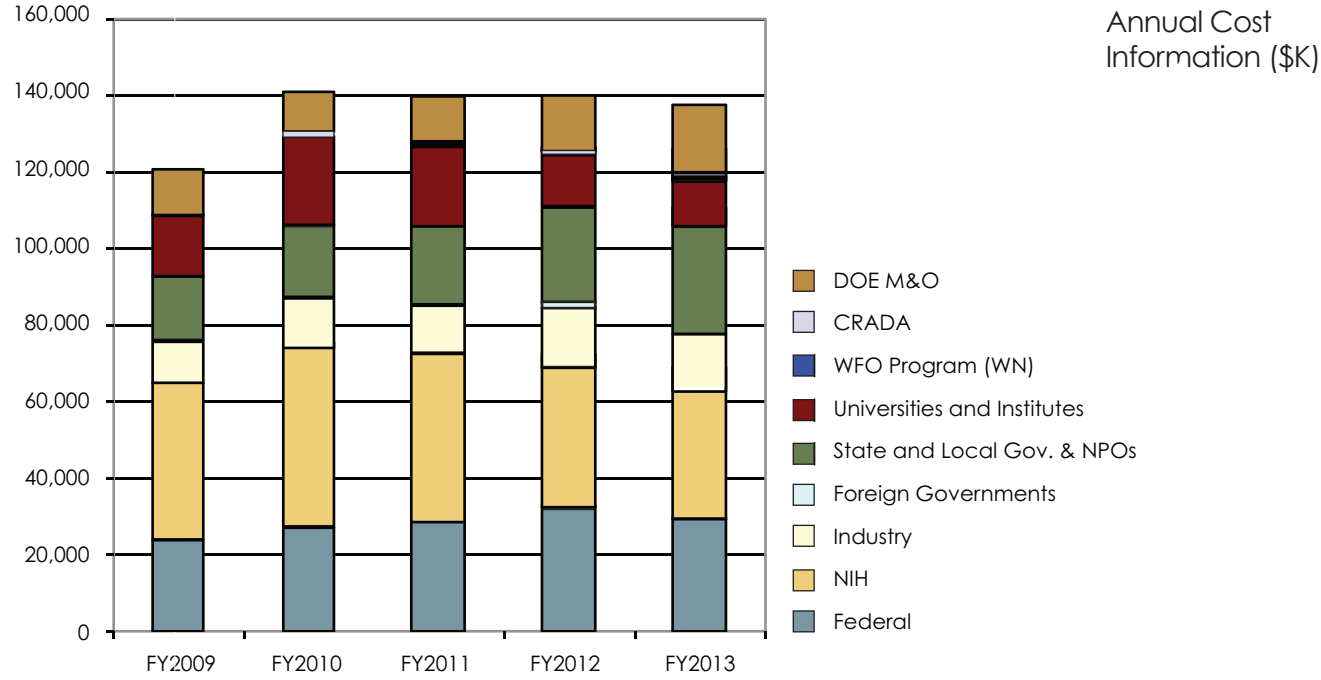
(d) The sum of FY2013 Beginning Uncosted Obligations, FY2013 Funds, minus, FY2013 Costs does not equal FY2013 Ending Uncosted Obligations due to various adjustments not reflected in the FY2013 Costs column. Examples of these adjustments include bridge funding, suspense items, and DOE's Federal Administrative Charge. The total of these adjustments for FY2013 is ($-1,145K).

(e) Includes FY2013 Beginning Uncosted Obligations, FY2013 Funds and FY2013 Costs for American Recovery and Reinvestment Act (ARRA), ($626K, $2,670K, $3,154K). See Table 3.4 for details by sponsor.

Figure 2.1

FY2013 Funding and Cost Trends by Other Direct Operating Source ($K)





3. American Recovery & Reinvestment Act of 2009 (ARRA)

Table 3.1

LBNL ARRA Funding Trends (BA) by Funding Source ($K)

LBNL Fund Trends (BA) by funding source ($K)	FY2009	FY2010	FY2011	FY2012	FY2013
DOE OPERATING					
Advanced Research Projects Agency - Energy	28	5,297	-	-	-
Assistant Secretary for Energy Efficiency and Renewable Energy	3,664	37,206	2,289	(0)	(2)
Assistant Secretary for Fossil Energy	-	4,950	-	-	-
Office of Electricity Delivery and Energy Reliability	-	2,795	-	-	-
Office of Science	78,742	17,717	4,948	13,074	(5)
Total Operating	**82,434**	**67,965**	**7,237**	**13,074**	**(7)**
OTHER DIRECT OPERATING					
Work for Other Federal Agencies	1,767	5,453	6,182	1,621	(12)
Work for Non-Federal Sponsors (a)	25	1,930	3,504	1,116	1,154
Work for Other DOE Integrated Contractors (b) (c)	-	1,098	1,924	2,198	1,529
Total Other Direct Operating	**1,792**	**8,481**	**11,610**	**4,935**	**2,670**
TOTAL OPERATING	**84,226**	**76,446**	**18,847**	**18,009**	**2,315**
DOE PLANT AND CAPITAL EQUIPMENT					
Basic Equipment/Major Items of Equipment					
Assistant Secretary for Energy Efficiency and Renewable Energy	-	4,700	-	-	-
Office of Science (a)	75,950	(492)	(4,949)	(13,074)	(1)
Total DOE Capital Equipment	**75,950**	**4,209**	**(4,949)**	**(13,074)**	**(1)**
General Plant Projects					
Office of Science	16,300	-	-	-	-
Accelerator Improvement Projects					
Office of Science	7,680	-	-	-	-
Line-Item Construction					
Assistant Secretary for Energy Efficiency and Renewable Energy	-	15,700	-	-	-
Office of Science	29,546	-	-	(0)	(0)
Total DOE Plant	**53,526**	**15,700**	**-**	**(0)**	**(0)**
TOTAL DOE PLANT AND CAPITAL EQUIPMENT	**129,476**	**19,909**	**(4,949)**	**(13,074)**	**(1)**
TOTAL LABORATORY	**213,702**	**96,354**	**13,898**	**4,935**	**2,662**

Note: Minor variances may occur due to rounding.

(a) Total Funding for FY2010 Work for Non-Federal Sponsors as reported in the FY2010 Annual Report is different than stated herein. Difference is a result of a Work for Other DOE Integrated Contractors award changing status from Non ARRA to ARRA. The impact to Funding for FY2010 is $33.3K. As a result of this change, FY2010 Report ARRA Funding - Work for Non-Federal Sponsors is restated as $1,930.

(b) Total funding for Work for Other Integrated Contractors is assumed to be equal to cost incurred.

(c) Total Funding for FY2010 for Work for Other DOE Integrated Contractors as reported in the FY2010 Annual Report is different than stated herein. Difference is a result of a Work for Other DOE Integrated Contractors award changing status from Non ARRA to ARRA. The impact to Funding for FY2010 is $221.9K. As a result of this change, FY2010 Report ARRA Funding - Work for Other DOE Integrated Contracts is restated as $1,098.

Table 3.2

LBNL ARRA Cost Trends by Funding Source ($K)

LBNL Spending Trends by Funding Source ($K)	FY2009	FY2010	FY2011	FY2012	FY2013
OPERATING					
Advanced Research Projects Agency - Energy	13	30	1,966	1,956	1,179
Assistant Secretary for Energy Efficiency and Renewable Energy	68	11,652	11,853	8,109	4,001
Assistant Secretary for Fossil Energy	-	208	1,314	2,345	927
Office of Electricity Delivery and Energy Reliability	-	450	589	327	525
Office of Science	4,368	30,689	36,484	28,101	12,268
Total Operating	**4,449**	**43,029**	**52,206**	**40,838**	**18,902**
OTHER DIRECT OPERATING					
Work for Other Federal Agencies	40	6,015	7,181	1,701	13
Work for Non-Federal Sponsors	-	1,195	2,927	1,904	1,613
Work for Other DOE Integrated Contractors (a)	-	1,098	1,924	2,198	1,529
Total Other Direct Operating	**40**	**8,308**	**12,032**	**5,803**	**3,154**
TOTAL OPERATING	**4,489**	**51,336**	**64,238**	**46,642**	**22,056**
DOE PLANT AND CAPITAL EQUIPMENT					
Basic Equipment/Major Items of Equipment					
Assistant Secretary for Energy Efficiency and Renewable Energy	-	-	3,195	876	628
Office of Science	560	27,277	19,781	9,339	476
Total Capital Equipment	**560**	**27,277**	**22,977**	**10,215**	**1,104**
General Plant Projects					
Office of Science	1,684	11,577	357	2,141	541
Accelerator Improvement Projects					
Office of Science	119	945	1,837	2,212	2,567
Line-Item Construction					
Assistant Secretary for Energy Efficiency and Renewable Energy	-	91	1,151	2,036	8,262
Office of Science	4,119	13,311	10,685	1,431	-
Total DOE Plant	**5,922**	**25,924**	**14,029**	**7,820**	**11,370**
TOTAL DOE PLANT AND CAPITAL EQUIPMENT	**6,482**	**53,201**	**37,006**	**18,035**	**12,474**
TOTAL LABORATORY	**10,971**	**104,537**	**101,244**	**64,677**	**34,530**

Note: Minor variances may occur due to rounding.

(a) Total Costs for FY2010 for Work for Other DOE Integrated Contractors as reported in the FY2010 Annual Report is different as stated herein. Difference is a result of a Work for Other DOE Integrated Contractors award changing status from Non ARRA to ARRA. The impact to Costs for FY2010 is $221.9K. As a result of this change FY2010 Report is restated as Funding $1,098.

Figure 3.1

Where Did Your ARRA Program Dollars Go in FY2013?

Expenses	DOE Operating Costs	DOE Integrated Contractors Costs	Construction and Equipment	WFO Non-DOE
DIRECT				
Direct Labor				
UC Labor (a)	$0.24	$0.27	$0.12	$0.50
Contract Labor	$0.00	$0.00	$0.00	$0.00
Organization/ALD Burden (b)	$0.04	$0.05	$0.02	$0.09
Subtotal Direct Labor	**$0.28**	**$0.32**	**$0.14**	**$0.58**
Other Direct				
Services	$0.36	$0.46	$0.64	$0.04
Materials	$0.17	$0.00	$0.16	$0.01
Utilities	$0.00	$0.00	$0.00	$0.00
Other Expenses (c) (e)	$0.00	$0.00	$0.00	$0.00
Recharges (b) (d) (e)	$0.01	$0.02	$0.01	$0.03
Travel	$0.01	$0.01	$0.00	$0.02
Subtotal Other Direct	**$0.55**	**$0.49**	**$0.80**	**$0.10**
Total Direct	**$0.83**	**$0.81**	**$0.94**	**$0.68**
INDIRECT				
Procurement	$0.02	$0.02	$0.02	$0.00
Travel	$0.00	$0.00	$0.00	$0.00
G&A (Other Inst.)	$0.16	$0.18	$0.04	$0.31
Total Indirect	**$0.17**	**$0.19**	**$0.06**	**$0.32**
TOTAL EXPENSES	**$1.00**	**$1.00**	**$1.00**	**$1.00**

Note: Minor variances may occur due to rounding.
(a) UC Labor includes salary and benefits for Scientists/Engineers, Admin., Students/GSRA's and Campus Labor.
(b) Distributed activities used by direct funded programs. ALD Burden implemented at beginning of FY2013.
(c) Includes misc. expenses (stipends, sales tax, freight, etc.).
(d) Includes recharges credited back to direct operating accounts such as ALS and ESnet.
(e) Safeguards and Securities costs moved from Other Expenses to Recharges for FY2013 report.

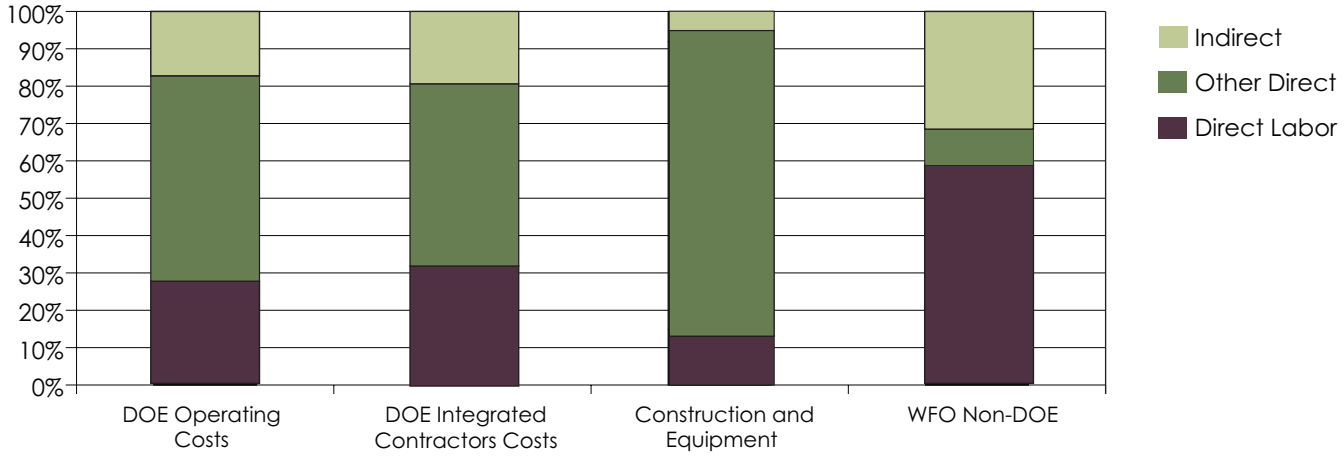


Table 3.3

FY2013 ARRA Funding and Costs by DOE Programs ($K)

Office of Science ARRA		FY2013 Beginning Uncosted Obligations	FY2013 Funds	FY2013 Costs	FY2013 Ending Uncosted Obligations
OPERATING:					
KA14	Theoretical Physics	1,426	-	588	838
KA15	Advanced Technology R&D	249	(0)	244	5
KB03	Nuclear Theory	1,494	-	748	746
KB04	Low Energy Physics	274	-	274	0
KC02	Materials Sciences and Engineering	1,384	-	492	892
KG06	Excess Facilities Disposition	0	(0)	-	-
KJ04	Mathematical, Computational, and Computer Sciences Research	1,922	-	1,840	82
KJ05	High Performance Computing and Network Facilities	8,089	(5)	8,082	2
Total Operating		**14,839**	**(5)**	**12,268**	**2,566**
CAPITAL EQUIPMENT:					
AT50	Fusion Energy Sciences - Science	1	(1)	-	-
KA15	Advanced Technology R&D	439	(0)	438	1
KC02	Materials Sciences and Engineering	39	-	38	1
Total Capital Equipment		**478**	**(1)**	**476**	**1**
GENERAL PLANT PROJECTS:					
KG09	General Plant Projects	541	-	541	0
Total General Plant Projects		**541**	**-**	**541**	**0**
ACCELERATOR IMPROVEMENT PROJECTS:					
KB04	Low Energy Physics	0	-	-	0
KC02	Materials Sciences and Engineering	2,567	-	2,567	0
Total Accelerator Improvement Projects		**2,567**	**-**	**2,567**	**0**
LINE ITEM CONSTRUCTION:					
39KG	Science Laboratories Infrastructure	0	(0)	-	-
Total Line Item Construction		**0**	**(0)**	**-**	**-**
TOTAL OFFICE OF SCIENCE ARRA		**18,425**	**(6)**	**15,853**	**2,567**

continued...

Table 3.3

FY2013 ARRA Funding and Costs by DOE Programs ($K) Continued

Assistant Secretary for Energy Efficiency and Renewable Energy ARRA		FY2013 Beginning Uncosted Obligations	FY2013 Funds	FY2013 Costs	FY2013 Ending Uncosted Obligations
OPERATING:					
BM01	Biomass/Biofuels Energy Systems	2,598	-	765	1,833
BR01	EE Departmental Admin, Recovery Act	2,146	-	537	1,608
BT01	Residential Buildings	2	(2)	(0)	0
BT02	Commercial Buildings Integration	3,482	-	970	2,512
EB36	Facilities and Infrastructure	5	-	-	5
EB40	Geothermal	228	-	227	1
EB51	Energy Efficiency and Renewable Energy Program Direction	2,516	-	1,001	1,515
WI07	Weatherization Assistance Program	502	-	502	0
Total Operating		**11,478**	**(2)**	**4,001**	**7,474**
CAPITAL EQUIPMENT:					
BM01	Biomass/Biofuels Energy Systems	629	-	628	0
Total Capital Equipment		**629**	**-**	**628**	**0**
LINE ITEM CONSTRUCTION:					
39EB	Facilities and Infrastructure	12,422	-	8,262	4,161
Total Line Item Construction		**12,422**	**-**	**8,262**	**4,161**
TOTAL ASSISTANT SECRETARY FOR ENERGY EFFICIENCY AND RENEWABLE ENERGY		**24,529**	**(2)**	**12,891**	**11,636**

Assistant Secretary for Fossil Energy ARRA		FY2013 Beginning Uncosted Obligations	FY2013 Funds	FY2013 Costs	FY2013 Ending Uncosted Obligations
OPERATING:					
AA30	Sequestration	1,083	-	927	156
Total Operating		**1,083**	**-**	**927**	**156**
TOTAL ASSISTANT SECRETARY FOR FOSSIL ENERGY		**1,083**	**-**	**927**	**156**

continued...

Table 3.3

FY2013 ARRA Funding and Costs by DOE Programs ($K) Continued

Office of Electricity Delivery and Energy Reliability ARRA		FY2013 Beginning Uncosted Obligations	FY2013 Funds	FY2013 Costs	FY2013 Ending Uncosted Obligations
OPERATING:					
TD50	Research and Development	1,429	-	525	904
Total Operating		**1,429**	**-**	**525**	**904**
TOTAL OFFICE OF ELECTRICITY DELIVERY AND ENERGY RELIABILITY		**1,429**	**-**	**525**	**904**
Advanced Research Projects Agency - Energy		**FY2013 Beginning Uncosted Obligations**	**FY2013 Funds**	**FY2013 Costs**	**FY2013 Ending Uncosted Obligations**
OPERATING:					
CJ01	ARPA-E Projects	1,359	-	1,179	180
Total Operating		**1,359**	**-**	**1,179**	**180**
TOTAL ADVANCED RESEARCH PROJECTS AGENCY - ENERGY (a)		**1,359**	**-**	**1,179**	**180**

(a) Advanced Research Projects Agency - Energy was previously reported under Office of the Chief Financial Officer (ARPA-E Projects) in FY2009, FY2010, FY2011.

Total ARRA Funding and Costs by DOE Programs	FY2013 Beginning Uncosted Obligations	FY2013 Funds	FY2013 Costs	FY2013 Ending Uncosted Obligations
TOTAL OPERATING	**30,188**	**(7)**	**18,902**	**11,280**
TOTAL EQUIPMENT	**1,107**	**(1)**	**1,104**	**2**
TOTAL GENERAL PLANT PROJECTS	**541**	**-**	**541**	**0**
TOTAL ACCELERATOR IMPROVEMENT PROJECTS	**2,567**	**-**	**2,567**	**0**
TOTAL LINE ITEM CONSTRUCTION	**12,422**	**(0)**	**8,262**	**4,161**
TOTAL ARRA DOE PROGRAMS	**46,826**	**(8)**	**31,376**	**15,442**

Table 3.4

FY2013 ARRA Funding and Costs by Other Direct Operating Source ($K)

Funding Source	FY2013 Beginning Uncosted Obligations	FY2013 Funds	FY2013 Costs	FY2013 Ending Uncosted Obligations
REIMBURSABLE WORK FOR OTHER AGENCIES				
Work for Other - Federal Agencies				
Department of Defense	0	(0)	-	-
National Institutes of Health (a)	3	(8)	-	-
Other Energy Related Activities	77	(4)	13	60
Total Work for Other - Federal Agencies	**80**	**(12)**	**13**	**60**
Work for Other - Non-Federal Agencies				
Industry	246	632	815	67
Universities and Institutes	131	173	291	20
Cost of Work for Others Program (WN) (b)	169	348	506	11
Total Work for Non-Federal Agencies	**546**	**1,154**	**1,613**	**98**
TOTAL REIMBURSABLE WORK FOR OTHER	**626**	**1,141**	**1,626**	**158**
Work for Other DOE Integrated Contractors				
Work Performed for Other DOE Locations (c)	-	1,529	1,529	-
Total Work for Other DOE Integrated Contractors	**-**	**1,529**	**1,529**	**-**
TOTAL OTHER DIRECT OPERATING (d)	**626**	**2,670**	**3,154**	**158**

Note: Minor variances may occur due to rounding.
(a) FY2013 ARRA National Institutes of Health (NIH) awards were obligated to LBNL by DOE as work for a Non-Federal entity to accommodate OMB apportionment requirements for ARRA. For reporting consistency with prior and future yeras, all NIH funding and cost data is reflected under the Work for Other Federal Agencies category.
(b) Includes funding for Non-Federal Sponsors who are precluded by law from paying an advance under the WN02 program.
(c) Total funding for Work for Other Integrated Contractors is assumed to be equal to cost incurred.
(d) The sum of FY2013 Beginning Uncosted Obligations, FY2013 Funds, minus, FY2013 Costs does not equal FY2013 Ending Uncosted Obligations due to various adjustments not reflected in the FY2013 Costs column. Examples of these adjustments include bridge funding, suspense items, and DOE's Federal Administrative Charge. The total of these adjustments for FY2013 is $16K.

Table 3.5

ARRA Cost Trends by Expense Category, FY2009-FY2013 ($M and % of Total)

Expenses	FY2009		FY2010		FY 2011		FY 2012		FY2013	
	$M	%	$M	%	$M	%	$M	%	$M	%
DIRECT										
DIRECT LABOR										
UC Labor (a)	0.6	5.9%	11.0	10.5%	18.0	17.8%	12.9	19.9%	7.2	20.8%
Contract Labor	0.0	0.0%	0.1	0.1%	0.0	0.0%	0.1	0.1%	0.1	0.1%
Organization/ALD Burden (b)	0.1	1.0%	1.9	1.8%	3.0	2.9%	2.2	3.3%	1.2	3.4%
Subtotal Direct Labor	**0.8**	**6.9%**	**13.0**	**12.4%**	**21.0**	**20.7%**	**15.1**	**23.3%**	**8.4**	**24.4%**
OTHER DIRECT										
Services	8.0	73.1%	48.8	46.7%	47.5	46.9%	22.5	34.8%	15.6	45.0%
Materials	1.6	14.6%	33.4	31.9%	18.5	18.3%	16.9	26.1%	5.1	14.8%
Utilities	0.0	0.0%	0.0	0.0%	0.0	0.0%	0.0	0.0%	0.0	0.0%
Other Expenses (c) (e)	0.0	0.0%	0.2	0.2%	0.2	0.2%	0.2	0.3%	0.0	0.1%
Recharges (b) (d) (e)	0.0	0.2%	0.4	0.4%	1.0	1.0%	0.8	1.2%	0.4	1.3%
Travel	0.0	0.2%	0.2	0.2%	0.6	0.6%	0.4	0.7%	0.2	0.6%
Subtotal Other Direct	**9.7**	**88.1%**	**83.0**	**79.4%**	**67.8**	**67.0%**	**40.8**	**63.1%**	**21.3**	**61.7%**
Total Direct	**10.4**	**95.0%**	**96.0**	**91.8%**	**88.8**	**87.7%**	**55.9**	**86.5%**	**29.7**	**86.1%**
INDIRECT										
Procurement	0.1	1.3%	1.5	1.4%	1.5	1.5%	1.1	1.6%	0.6	1.7%
Travel	0.0	0.0%	0.0	0.0%	0.1	0.1%	0.1	0.1%	0.0	0.1%
G&A (Other Inst.)	0.4	3.6%	7.0	6.7%	10.9	10.7%	7.6	11.8%	4.2	12.1%
Total Indirect	**0.5**	**5.0%**	**8.5**	**8.2%**	**12.4**	**12.3%**	**8.8**	**13.5%**	**4.8**	**13.9%**
TOTAL EXPENSES (f)	**11.0**	**100.0%**	**104.5**	**100.0%**	**101.2**	**100.0%**	**64.7**	**100.0%**	**34.5**	**100.0%**

Note: Minor variances may occur due to rounding.

(a) UC Labor includes salary and benefits for Scientists/Engineers, Admin., Students/GSRAs and Campus Labor.

(b) Distributed activities used by direct funded programs. ALD Burden Implemented at beginning of FY2013.

(c) Includes misc. expenses (stipends, sales tax, freight, etc.).

(d) Includes recharges credited back to direct operating accounts such as ALS and ESnet.

(e) Safeguards and Security funding moved from Environment/Health/Safety to Protective Services in FY2013.

(f) Total Costs for FY2010 is different than in the FY2010 Annual Report based on a Work for Other DOE Integrated Contractors award changing status from Non-ARRA to ARRA. The impact to costs for FY2010 is a $221.9K increase.

Table 3.6

ARRA Job Reporting

DOE Direct ARRA Project	Life-to-Date Jobs		
	Created	Retained	Total
Total DOE Direct ARRA Projects	**332.5**	**1,470.3**	**1,802.8**
Total Other Direct Operating ARRA Projects (a)	**89.7**	**33.7**	**123.3**
LBNL TOTAL	**422.2**	**1,503.9**	**1,926.1**
DOE Direct ARRA Project:			
ALS User Support Building	5.2	106.0	111.3
GPP, Upgrade Bldg 62	4.7	32.2	36.9
GPP, Upgrade Bldg 66	2.6	19.5	22.1
GPP, Air Handling Equipment	0.9	11.2	12.1
GPP, Upgrade Bldg 2	2.0	18.4	20.4
GPP, Modernize Transformer	4.5	8.6	13.1
Bevatron Demolition	-	22.7	22.7
Seismic Phase 2, 09-SC-72	7.5	130.3	137.8
Adv. Plasma Accel. Facility. (BELLA)	25.3	34.5	59.8
Nuclear Data Program Init.	-	4.1	4.1
Enh AIP Funding, Injector	6.9	1.0	7.9
Fed Lab Support for ARRA Trans	1.1	-	1.1
HEP-Adv Tech R&D Augmentation(Magnets)	7.1	6.0	13.1
Nanoscale Science Rsrch Centrs	0.6	25.6	26.2
Enh AIP Funding, RF Amplifier	0.9	-	0.9
Energy Frontier Research Cntrs	0.2	-	0.2
HEDLP NDCX-II	23.4	33.7	57.1
ALS Beamline Detectors	5.6	1.1	6.7
ALS Slice Beamline EPU	6.3	1.8	8.0
ALS Sextupoles Magnets	16.3	2.3	18.6
ALS High Field Vector Magnet	3.1	5.8	8.9
ARPA-E Early Harvest Solict.	0.1	-	0.1
Joint Genome Institute	-	102.5	102.5
Joint BioEnergy Institute	0.0	39.8	39.8
Advanced Networking Initiative	19.5	547.3	566.8
Comp. Partnerships (SciDAC-e)	3.1	1.0	4.1

Note: Minor variances may occur due to rounding.
(a) Other Direct Operating includes Work for Others, Federal Sponsors, Non-Federal Sponsors.

continued...

Table 3.6

ARRA Job Reporting Continued

Direct ARRA Project (Continued)	**Life-to-Date Jobs**		
	Created	**Retained**	**Total**
Enhance FEMP Service Function	4.5	1.3	5.7
LBNL Magellan Cloud Computing	10.4	102.1	112.4
Climate100 - ESG to 100 Gbps	1.2	-	1.2
Petascale Initiative	18.3	-	18.3
Enhanced Geothermal Systems (EGS) with C02 as Heat Transmission Fluid	1.8	3.7	5.5
Coupled Thermal-Hydrological-Mechanical-Chemical Model and Experiments for Optimization of Enhanced Geothermal System Development and Production	4.5	0.5	5.0
Fluid Imaging of Enhanced Geothermal Systems through Joint 3D Geophysical Inverse Modeling	4.4	0.8	5.2
Integrated Approach to Use Natural Chemical and Isotopic Tracers to Estimate Fracture Spacing and Surface Area in EGS Systems	6.2	-	6.2
National Accounts Acceleration in Support of Commercial Building Initiative	10.2	6.4	16.6
Smart Grid Investment Grant Program	2.4	2.7	5.1
Hospital Energy Benchmarking SysDev	0.7	0.1	0.8
Incorporating EE into Commercial Mortgage Underwriting	1.2	4.5	5.8
Northern California CO2 Reduction Project	0.6	-	0.6
Builders Challenge and Existing Home Retrofits	7.0	7.1	14.1
Advanced Biofuels PDU-Bioenergy Research Center Collaboration	3.3	97.1	100.4
Deep Exploratory Test well for CO2 Sequestration purposes, Newark Basin- Southern New York and New Jersey	2.1	0.7	2.7
Residential Home Retrofit Support & Research	6.2	-	6.2
Home Retrofits Rating Support	7.7	0.3	8.1
Residential Building Home Retrofit Analysis	0.7	0.6	1.3
User Facility for Low Energy Integrated Buildings Systems Research (UTBF)	8.1	52.7	60.7
High Energy Physics- Early Career Research Program	8.1	-	8.1
Basic Energy Sciences- Early Career Research Program	6.6	-	6.6
Nuclear Physics-Early Career Research Program	8.1	0.5	8.6
NP-3D Gamma ray Imaging Technologies	3.7	-	3.7
ASCR-Comp Partnerships- SciDAC-e-PERC-3-Enhancing Productivity of Materials Discovery computation for Solar fuels and Next Gen. Autotuning Large Computational codes.	2.3	6.3	8.5
Visualization and Analytics Center for Enabling Technologies-VACET	3.6	-	3.6
Applied Partial Differential Equations Center for Enabling Technologies(APDEC)	3.1	1.9	5.0
Note: Minor variances may occur due to rounding.			

continued...

Table 3.6

ARRA Job Reporting Continued

DOE Direct ARRA Project (Continued)	Life-to-Date Jobs		
	Created	Retained	Total
Towards Optimal Petascale Simulations-TOPS-SciDAC-e	2.7	-	2.7
EE Technical Assistance	0.5	-	0.5
Development of an Integrated Microbial-ElectroCatalytic (MEC) System for Liquid Biofuel Production from CO2	7.7	1.8	9.4
High Throughput Discovery of Robust Metal Organic Frameworks for CO2 capture	11.3	2.9	14.2
ARRA Evaluation	1.1	14.2	15.3
LBNL ARRA Bridge - Evaluation Support	0.2	5.3	5.5
Industrial Carbon Capture & Storage:Joint Inversion of Monitoring Data for Early Leakage Detection	9.3	1.4	10.7
Carbon Capture Simulation initiative-Industrial Carbon Capture and Storage	6.3	-	6.3
Online Training tool-Weatherization Training and Technical Assistance	5.4	0.3	5.7
ARPA E- Hydrogen-Bromine Flow Batteries for Grid-Scale Energy Storage	4.2	-	4.2
Total DOE Direct ARRA Projects	**332.5**	**1,470.6**	**1,802.8**

Other Direct Operating ARRA Project (a)	Life-to-Date Jobs		
	Jobs Created	Jobs Retained	Total Jobs
PHENIX FVTX Sensor Backplanes	1.2	-	1.2
PHENIX Station Disks	0.0	-	0.0
Evaluating Benefits of Advanced Metering Infrastructure, Smart Meters and Time-Varying Tariffs	0.9	-	0.9
Knowledgebase R&R Pilot Project	1.8	-	1.8
Knowledge Fusion and Data-Supported Deep Annotation for Reconstruction of Metabolism	-	1.2	1.2
Technical Support for the ARRA Technical Assistance Project (TAP)	2.1	-	2.1
Optics characterization for LCLS CXI and NIF SXI projects	0.1	-	0.1
Determining Technetium Speciation Using X-ray Absorption Fine Structure (XAFS)	0.1	-	0.1
Interregional Electricity Reliability Issue Assessment and Analysis	0.8	1.6	2.4
Area of Interest 2: New Technologies, Electricity Demand, and Utility Resource Plans	4.0	1.1	5.1
Technical Assistance to Electric Infrastructure Planners on Other Subjects	0.7	-	0.7
A Distributed Intelligence Automated Demand Response Building Management System	1.1	-	1.1

Note: Minor variances may occur due to rounding.
(a) Other Direct Operating includes Work for Others, Federal Sponsors, Non-Federal Sponsors.

continued...

Table 3.6

ARRA Job Reporting Continued

Other Direct Operating ARRA Project (a) (Continued)	**Life-to-Date Jobs**		
	Created	**Retained**	**Total**
Energy-Efficient and Comfortable Buildings through Multivariate Integrated Control (ECoMIC)	1.8	-	1.8
Wireless Modular Dimming Lighting Control System	0.7	-	0.7
Development of High Rate Sequential Coatings for Low Cost Electrochromic Glass	1.2	-	1.2
ARRA Performance Tracking Metrics	0.9	-	0.9
IWO - Battaglia	-	-	-
Coatings for Superconducting Radio-Frequency (SRF) Cavities by HiPIMS Technology	-	-	-
Automated Continuous Commissioning of Commercial Buildings	1.4	0.2	1.6
Red Cell Band 4.1--Developmental Changes in RNA Splicing	2.6	2.0	4.6
Red Cell Band 4.1 - Developmental Changes in RNA Splicing	3.3	-	3.3
Age of Onset and Huntingtons Disease	2.6	0.3	3.0
Age of Onset and Huntingtons Disease	3.3	-	3.3
In Vivo Analysis of a Noncoding Susceptibility Region for Coronary Artery Disease	3.5	-	3.5
The Berkeley Cancer Genome Center	-	0.8	0.8
Accelerating Cancer Research with Single Cell Arrays	0.1	0.8	0.9
ARRA Development of the Cell Ontology in Support of the Gene Ontology	2.1	-	2.1
Self-healing Composites via Novel Biomolecular Design and Processing	2.4	-	2.4
MT Function and Dysfunction in Single Neurons in Vivo	4.7	0.2	4.9
Comprehensive characterization of the Drosophila transcriptome	0.5	2.3	2.8
Beamline Automation for Structure Determination	0.8	0.7	1.5
Bay Area Breast Cancer and the Environment Research Center	0.9	-	0.9
Mapping Anti-Cancer Drugs Using Advanced X-Ray Microanalysis	0.2	-	0.2
ARRA Gene Ontology Consortium	1.6	-	1.6
Genome-Wide Mapping of Chromosomal Proteins in Drosophilia	0.1	4.8	4.8
Generation of an In vivo Human Genome Transcriptional Enhancer Dataset	1.2	-	1.2
Matrix- Based Mineral (MBM) Enamel Biomimetics	1.0	-	1.0
Integrated nanoparticle characterization and toxicity assessment	0.1	-	0.1

Note: Minor variances may occur due to rounding.
(a) Other Direct Operating includes Work for Others, Federal Sponsors, Non-Federal Sponsors.

continued...

Table 3.6

ARRA Job Reporting Continued

Other Direct Operating ARRA Project (a) (Continued)	Life-to-Date Jobs		
	Created	Retained	Total
Integrated nanoparticle characterization and toxicity assessment	0.1	-	0.1
Biomimetic Actinide Decorporation: Characterization and Preclinical Development	9.5	9.2	18.7
Manipulating b1 integrin to enhance radiation therapy for breast cancer	0.6	1.5	2.1
Non-B DNA Structure with Chemical Carcinogens	0.0	1.6	1.6
STCI: Middleware for Monitoring and Troubleshooting of Large-Scale Applications on National Cyberinfrastructure	3.7	-	3.7
PHENIX: new methods for automation in macromolecular crystallography	0.3	2.0	2.2
Mismatch Repair and DNA Expansion	0.8	-	0.8
Materials for Green Engineering of Urban Areas	0.0	-	0.0
Production of Advanced Coatings for Solar Cells	0.1	-	0.1
Multidimensional Electrofocusing on Gradient Monoliths	0.7	-	0.7
A metagenomic study of the Hoatzin crop microbes to reveal novel carbohydrate-active enzymes	-	-	-
National Institute for Computational Sciences (NICS) NSF Center for Remote Data Analysis and Visualization	4.2	-	4.2
Blind Geothermal System Exploration in Active Volcanic Environments; Multi-phase Geo-physical and Geochemical Surveys in Overt and Subtle Volcanic Systems, Hawaii and Maui	0.5	-	0.5
In-situ protein-protein interaction network isPIN study	0.1	-	0.1
In-situ protein-protein interaction network isPIN study	0.4	-	0.4
Toward the Understanding of Induced Seismicity in Enhanced Geothermal Systems	1.1	-	1.1
Experiment-Based Model for the Chemical Interactions between Geothermal Rocks, Supercritical Carbon Dioxide and Water	2.3	-	2.3
Development of Advanced Thermal-Hydrological-Mechanical-Chemical (THMC) Modeling Capabilities for Enhanced Geothermal Systems	1.0	-	1.0
A New Analytic-adaptive model for EGS assessment, development and management support	1.2	-	1.2
Optimized Drilling and Completion of Abrasive Slurry Jet Microhole Arrays for Efficient Exploitation of Enhanced Geothermal Systems	2.0	-	2.0
Geochemistry and THMC Models for the Newberry EGS Project	0.6	-	0.6
Characterizing Fractures in Geysers Geothermal Field by Micro-seismic Data, Using Soft Computing, Fractals, and Shear Wave Anisotropy	0.5	-	0.5
THMC Modeling of EGS Reservoirs - Continuum through Discontinuum Representations	0.6	-	0.6
Note: Minor variances may occur due to rounding. (a) Other Direct Operating includes Work for Others, Federal Sponsors, Non-Federal Sponsors.			

continued...

Table 3.6

ARRA Job Reporting Continued

Other Direct Operating ARRA Project (a) (Continued)	**Life-to-Date Jobs**		
	Created	**Retained**	**Total**
Modeling Li Distribution and its Effect on Anode Protection Layers	2.3	-	2.3
TCGA Data Analysis Center at Berkeley	2.4	-	2.4
Enabling Novel Cathode Electrode Design with Integrated Separator and Manufacturing Toolset for High Energy Prismatic Li-ion Battery Cells	2.9	-	2.9
Development of an 8kx8k pixel direct detection CMOS camera with single electron counting for cryoEM	-	-	-
Automated Continuous Commissioning of Commercial Buildings	0.3	-	0.3
Research Services Program - Geochemistry	0.1	-	0.1
TCGA Data Analysis Center at Berkeley	0.8	0.2	1.0
Innovative Building-Integrated Enthalpy Recovery	0.4	-	0.4
Novel Functions for Red Cell Proteins Lu and LW	0.0	3.3	3.3
Support of the SSA National Support Center Project	0.0	-	0.0
Total Other Direct Operating ARRA Projects (b)	**89.3**	**33.8**	**123**
Total DOE Direct ARRA Projects	**332.5**	**1,470.3**	**1,802.8**
Total Other Direct Operating ARRA Projects (b)	**89.7**	**33.7**	**123.3**
LBNL TOTAL	**422.2**	**1,503.9**	**1,926.1**

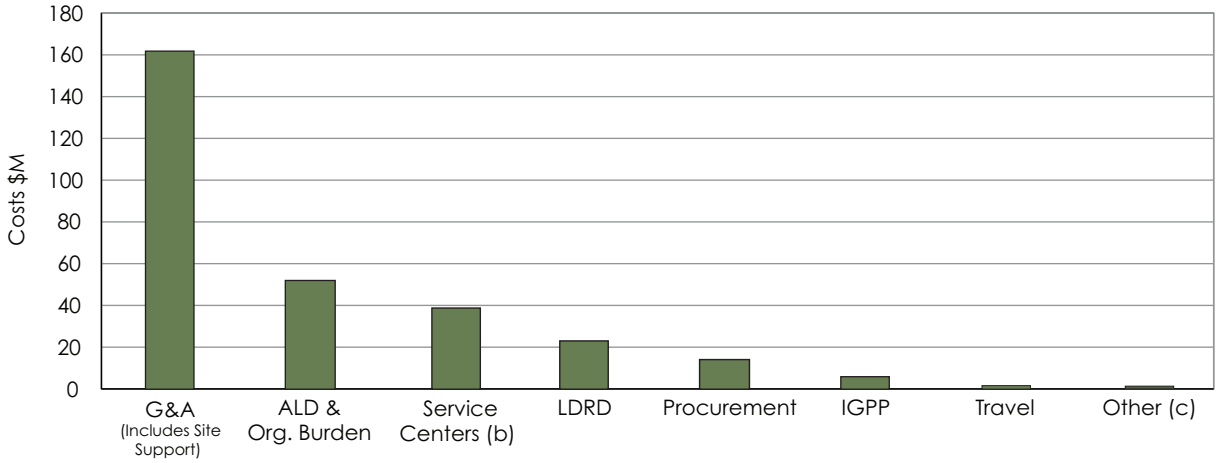
Note: Minor variances may occur due to rounding.
(a) Other Direct Operating includes Work for Others, Federal Sponsors, Non-Federal Sponsors.

4. Indirect Budgets

Figure 4.1

Indirect Budgets — FY2013 Costs ($M)

Indirect Budgets (a)	FY2013 Costs ($M)
G&A (Includes Site Support)	161.8
ALD & Organizational Burden	52.3
Service Centers (b)	39.5
LDRD	22.8
Procurement	12.5
IGPP	6.5
Travel	1.7
Other (c)	0.2
Total	**297.4**



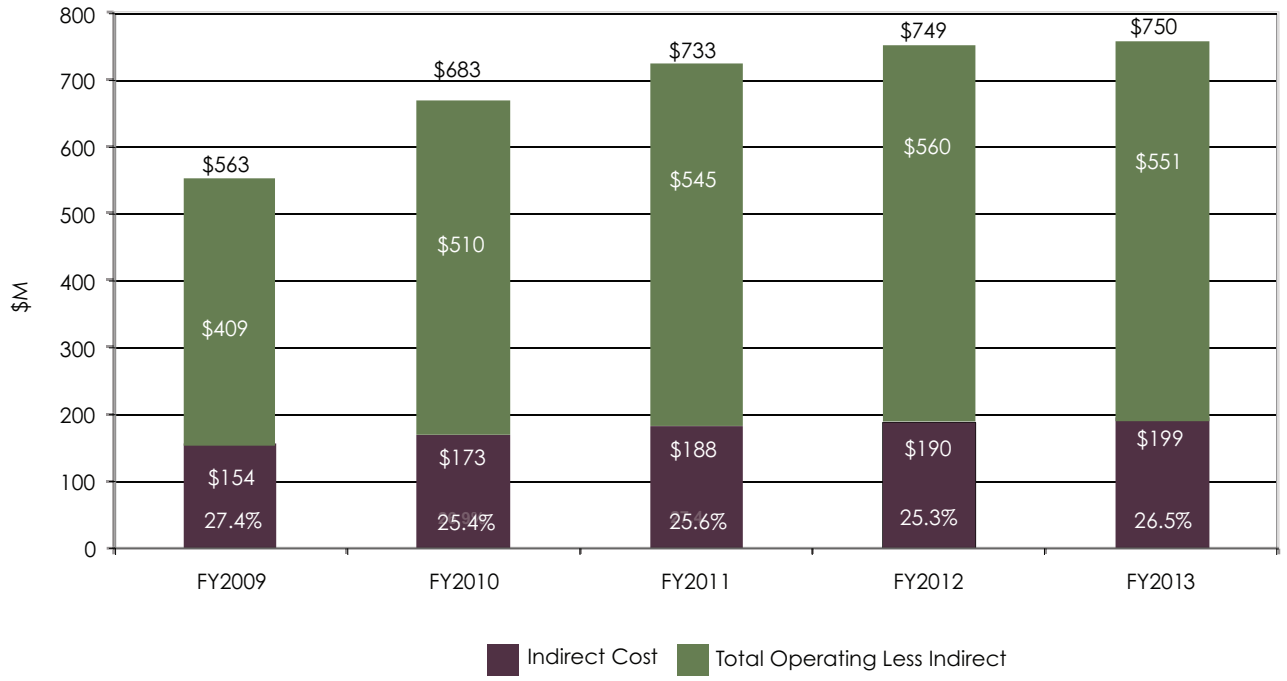
(a) Summation of indirect budget provided only to show magnitude of dollars being managed and does not equate to total indirect costs since there are overlaps between indirect budgets. For example, some organization burden costs are included in G&A and Recharges. In FY2013, LDRD cost includes $6.6M G&A assessed on LDRD projects.

(b) Service Centers includes recharge cost centers that default to B&R YN01 (project type OHRCH) only.

(c) Includes: Office of Homeland Security Charge.

Figure 4.2

Institutional Overhead Costs as a Percent of Operating Costs, FY2009 - FY2013



Note: Chart represents the institutional overhead cost structure for each fiscal year with adjustments for indirect double count of G&A on LDRD projects (DOE mandate to apply G&A to LDRD projects beginning FY2006). Institutional overhead costs include G&A, LDRD, Site Support, Travel, Procurement, and IGPP. Percent is the percentage of indirect cost to total operating cost.

Table 4.1

Institutional Costs by Division, FY2013 ($K)

Division	G&A (a)	LDRD (b)	Procurement	Travel	IGPP	Total
Lab Directorate (a)	16,765					16,765
LDRD		22,848				22,848
Engineering	3,360					3,360
Associate Lab Director for Operations						
ALD Office	1,787					1,787
Office of Institutional Assurance	1,874					1,874
Work Planning & Control	918					918
IGPP					6,451	6,451
Non-Cap	6,594					6,594
Work Force Diversity Office	427					427
Public Affairs	3,724					3,724
HR	7,622					7,622
Environmental/Health/Safety	19,802					19,802
Protective Services	7,291					7,291
Facilities	42,195		1,907			44,102
OCFO	14,870		10,554	1,642		27,065
IT	28,240		27	14		28,282
General Lab	6,336					6,336
Total	**161,805**	**22,848**	**12,487**	**1,656**	**6,451**	**205,247**

Note: Minor variances may occur due to rounding.
(a) Includes Site Support & Strategic Planning Support Activities (SPSA).
(b) LDRD costs include $6.6M of G&A assessment.

Table 4.2

Institutional FTEs Charged by Division, FY2013

Division	G&A (a)	LDRD (b)	Procurement	Travel	IGPP	Total
Lab Directorate (a)	68.7					68.7
LDRD		109.6				109.6
Engineering	9.1					9.1
Associate Lab Director for Operations						
ALD Office	7.9					7.9
Office of Institutional Assurance	10.1					10.1
Work Planning & Control	2.3					2.3
IGPP					3.2	3.2
Non-Cap	10.0					10.0
Work Force Diversity Office	2.0					2.0
Public Affairs	20.8					20.8
HR	45.9					45.9
Environmental/Health/Safety	104.3					104.3
Protective Services	11.4					11.4
Facilities	138.5		17.6			156.0
OCFO	72.5		67.7	9.7		150.0
IT	94.5					94.5
General Lab	0.0					0.0
Total	**598.0**	**109.6**	**85.3**	**9.7**	**3.2**	**805.7**

Note: Minor variances may occur due to rounding.
(a) Includes Site Support & Strategic Planning Support Activities (SPSA).
(b) LDRD projects conducted by multiple divisions as reflected in Table 1.3.

Figure 4.3

Payroll Burden Summary ($M)

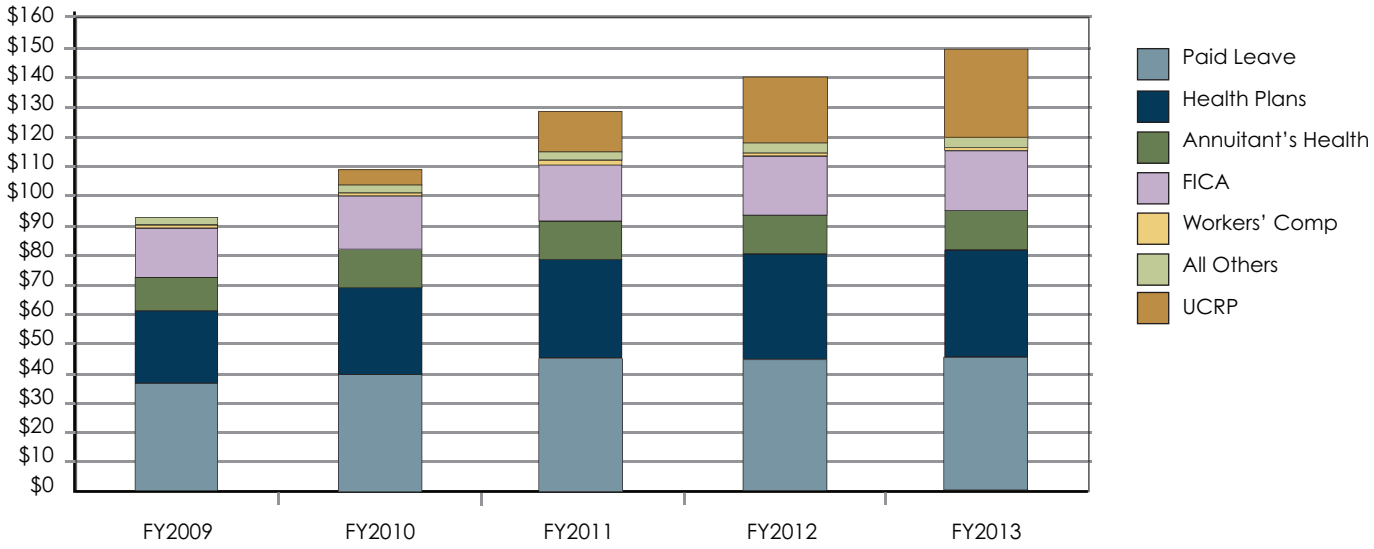


Figure 4.4

Gross Payroll Summary ($M)

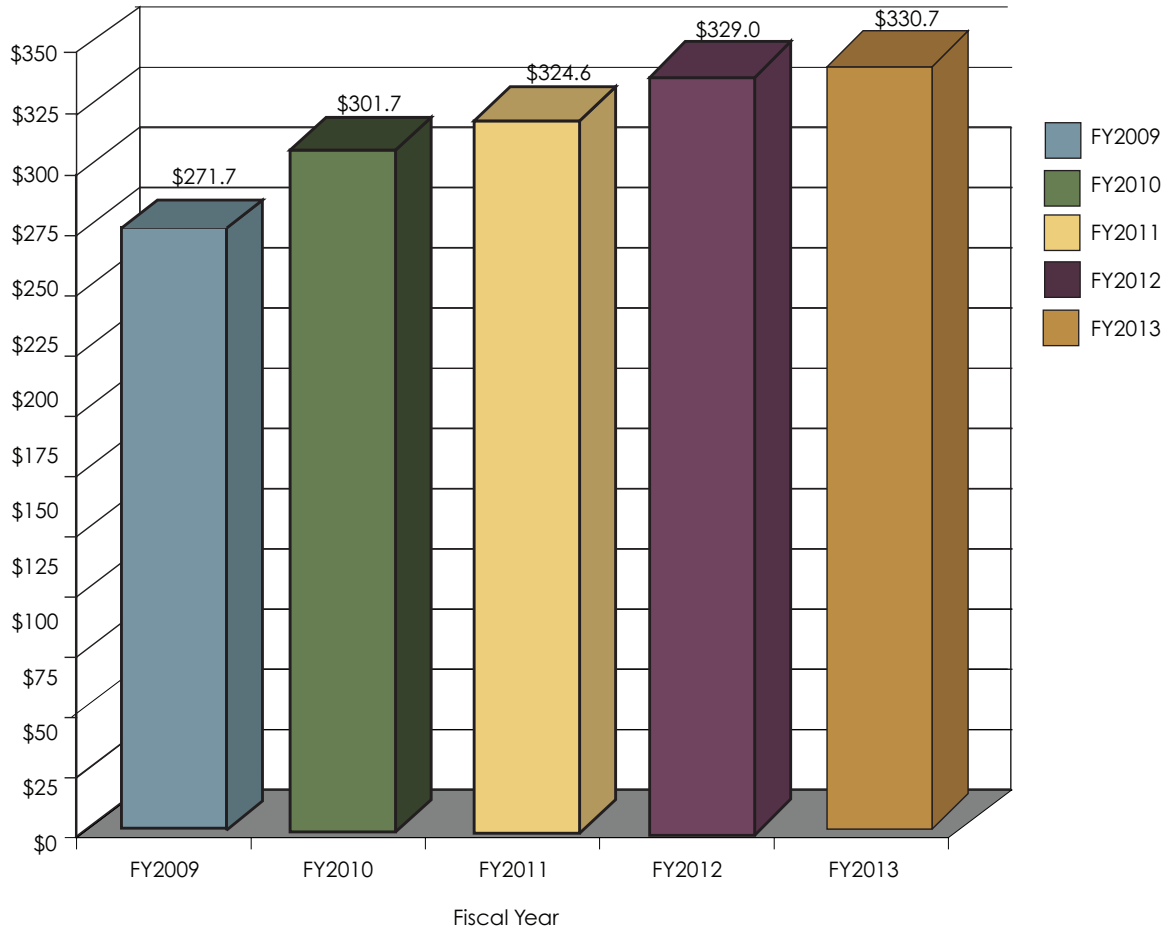


Table 4.3

Organizational Burden Costs and FTEs

Organizational burden includes costs for the management and supervision of division/department activities and is distributed over labor costs including campus and contract labor.

Division Cost Pools	FY2013	
	Cost $K	Avg FTE
Accelerator & Fusion Research	1,852	9.9
Advanced Light Source	2,505	14.8
Chemical Sciences	1,473	8.2
Computing Sciences	5,918	36.6
Environmental Energy Technology	6,171	36.6
Engineering	5,746	28.1
Earth Sciences	4,318	21.4
Facilities	4,224	19.5
Genomics - Onsite	591	3.8
Information Technology	2,701	12.4
Life Sciences	4,402	30.8
Materials Sciences	3,882	18.8
Nuclear Sciences	1,836	12.5
Physical Biosciences	3,193	22.1
Physics	1,909	13.0
Total	**50,719**	**288.5**
Note: Minor Variances may occur due to rounding.		

ALD Burden Costs and FTEs

Associate Lab Directorate burden includes costs for the management and supervision of ALD activities and is distributed over labor costs including campus and contract labor.

Division Cost Pools	FY2013	
	Cost $K	Avg FTE
Biosciences	926	2.9
Computing Sciences	115	0.6
Energy and Environmental Sciences	573	2.6
Total	**1,614**	**6.1**
Note: Minor Variances may occur due to rounding.		

Table 4.4

Service Center Costs and FTEs

Certain Laboratory services are provided by recharges that recover operational costs through various cost-allocation mechanisms; e.g., by assigning a dollar value to the work performed (a unit charge based on an hourly rate) or the products produced (unit charge per item).

Division (a)	FY2013	
	Cost $K	Avg FTE
Accelerator & Fusion Research	104	0.3
Environmental Energy Technology	2,182	16.1
Engineering	1,572	8.0
Earth Sciences	133	0.6
Facilities	11,431	3.1
Genomics (JGI)	5,000	10.4
Information Technology	7,210	18.3
Life Sciences	772	5.3
Materials Sciences	259	1.4
Physical Biosciences	5,776	9.0
ALD Operations (b)	5,103	10.1
Total	**39,542**	**82.7**

Note: Minor Variances may occur due to rounding.
(a) Service Centers includes recharge cost centers that default to B&R YN01 (project type OHRCH) only and GSRA pass through costs.
(b) Includes: GSRA pass through costs.

Table 4.5

Distributed Recharges by Resource Category Trends, FY2009 - FY2013 ($K)

Distributed Recharge (a) (b)	FY2009	FY2010	FY2011	FY2012	FY2013
Vehicle	1,342	1,028	991	829	759
MSD Facility	310	234	246	331	259
Building Manager	143				
Animal Care	494	549	744	720	665
Creative Services	1,481	1,582	2,010	1,511	1,507
FAM Facility Recharge					75
ESD Sample Analysis Recharge					131
Warehouse Storage Recharge				51	128
88-Inch Accelerator Operations	444	688	452	562	720
JBEI Non-Material Recharge	240	252	288	869	946
JBEI Material Recharge	3,742	3,642	4,034	4,095	4,845
Telephone Services	4,408	4,687	5,064	5,637	5,318
EETD Recharge	1,187	1,495	1,784	2,132	2,149
Molecular Foundry	81	197	213		
Computer/Net Recharges	2,605	2,415	2,244	2,258	1,913
Engineering Shop	927	932	918	878	884
CAD	654	731	731	717	794
ALS Proprietary Recharge	764	872	646	823	617
HTA Non-Material Recharge	13				
HTA Material Recharge	32				
JGI Recharge (Capillary Sequencing) (c)	10,352	1,149	27	15	
JGI WFO Administrative Charge (d)	319	223	260	68	
ESnet Recharge	1,164	974	1,192	822	310
JGI Occupancy Labor Recharge (d)				948	1,152
JGI Occupancy Material Recharge (d)				2,684	3845
Electricity	9,106	9,855	12,576	10,795	10,597
Mixed Waste Recharge/GL	10	2	9	2	1
National Center for Electron Microscopy				7	3
GSRA - Material Recharge	2,549	2,554	3,350	3,937	3,610
GSRA - Non-Material Recharge	1	1	1	0	7
Low Background Facility	72	45	45	29	48
Total Recharges	**42,440**	**34,108**	**37,824**	**40,722**	**37,437**

Note: Minor variances may occur due to rounding.
(a) Includes recharges credited back to direct operating accounts such as ALS, ESnet, JGI, etc.
(b) Does not include Procurement and Travel recharges.
(c) JGI Capillary Sequencing platform phased out in FY 2012.
(d) JGI WFO Administrative Charge phased out in FY 2012 and replaced by JGI Occupancy Labor and Material Recharges.

5. Financial Statement

Table 5.1

Balance Sheet Comparative Statement of Financial Position ($K)

	FY2012	FY2013
ASSETS:		
Current Assets		
Accounts Receivable	4,440	7,407
Inventories	421	407
Other Current Assets	189	237
Total Current Assets	**5,050**	**8,051**
Net Plant & Equipment	711,869	681,395
Total Assets	**716,919**	**689,446**
LIABILITIES AND EQUITY:		
Liabilities:		
Current Liabilities		
Drafts Payable	4,659	(188)
Accounts Payable	68,278	61,051
Accrued Expenses	52,964	54,110
Other	29,694	25,299
Total Current Liabilities	**155,595**	**140,272**
Environmental Liabilities (Note 2)	641,312	762,092
ES&H Liability	313,026	305,037
Capital Lease Liability	13,567	0
Post-Retirement Benefits (Note 2)	777,710	751,463
Pension Plan Liability (Note 2)	782,324	1,083,438
Total Liabilities	**2,683,534**	**3,042,302**
DOE Equity:		
Beginning Equity	(1,588,833)	(1,966,615)
Change in Equity	(377,782)	(386,241)
Ending Equity	(1,966,615)	(2,352,856)
TOTAL LIABILITIES AND EQUITY	**716,919**	**689,446**

Note: FY2013 balances include prior FY2012 year-end adjustments posted in FY2013 for environmental, post-retirement benefits, and pension plan liabilities. These year-end adjustments were coordinated with DOE and referenced in the FY2012 LBNL Annual Report, Note 12.

Note 1

Summary of Significant Accounting Policies

Basis of Presentation

These financial statements have been prepared to report the financial position and results of operations of LBNL. They have been prepared from the books and records of the Laboratory in accordance with LBNL's accounting policies.

Reporting Entity

The Laboratory is a national research facility operated by UC for DOE under the terms of Contract DE-AC02-05CH11231 (Contract 31).The Laboratory's reporting entity status is that of an integrated contractor, meaning LBNL's accounts are integrated with those of DOE through the use of reciprocal accounts. All assets and liabilities are owned by the Federal Government.

Basis of Accounting

The financial records of the Laboratory conform to generally accepted accounting principles (GAAP) and cost accounting standards (CAS) when they do not conflict with the provisions of the DOE accounting directives for Management and Operating (M&O) Contractors and are in compliance with Contract 31 between UC and DOE.

Financial Sources

The Laboratory receives funding from DOE in accordance with the provisions of Contract 31. The Laboratory receives authorizations to incur costs and conduct operations through modifications to the contract.

Reimbursable work is performed for Federal and non-Federal entities. Costs are recorded and billed to the requesting entity by the Laboratory on behalf of DOE. Cash collected from these billings is transmitted to the U.S. Department of the Treasury and deposited in the DOE account. Non-Federally funded work performed at LBNL must be funded in advance.

Letter of Credit

The Laboratory received authority for expenditures according to a checks-paid letter of credit from the U.S. Department of the Treasury; Letter of Credit Contract Number DE-AC02-05CH11231 with Wells Fargo Bank (WFB). The WFB letter of credit was renewed on November 1, 2012 for a five year term.

Inventories

The Laboratory uses a perpetual inventory system. An annual physical inventory is performed according to a cyclical sampling plan approved by DOE. Stores inventories and precious metals are valued and charged based on a moving average costing method. Special materials are valued by DOE.

Property, Plant, and Equipment

Property, plant, and equipment are purchased, constructed, or fabricated in-house and include major modifications or improvements. Effective October 1, 2011, DOE increased the capitalization threshold to $500K for items with an anticipated service life of two years or more. Property, plant and equipment items meeting these criteria are capitalized. Costs of construction and fabrication are capitalizable expenses and are recorded initially as construction/fabrication work in process. Upon completion or beneficial occupancy, the value is transferred to the appropriate fixed-assets account. Depreciation is computed using the straight-line method over the estimated useful life of the asset.

Liabilities

Liabilities represent the amount of monies that are likely to be paid by the Laboratory as a result of transactions or events that have already occurred. Liabilities cannot be incurred by LBNL without an authorized appropriation, except for approved unfunded liabilities.

Accrued Vacation and Sick Leave

Laboratory policy provides for employees' annual vacation benefits ranging from 10 to 16 hours per month, depending upon years of service. Vacation is earned and accrued on a monthly basis. Employees may accumulate vacation up to two times their annual leave. Unused earned vacation is paid 100% upon retirement or termination.

Each employee accumulates sick leave at a rate of eight hours per month. Unused sick leave accumulates until it is used. If an employee terminates before using sick leave, the benefit is forfeited without liability to the Laboratory. As such, no sick leave liability is recorded. Retiring employees are allowed to apply unused sick leave toward additional years of service.

Note 1

Summary of Significant Accounting Policies Continued

Retirement Plan

Most career employees are participants in the UC Retirement System (UCRS). UCRS consists of a 2-tier basic defined benefit plan (UCRP) and two voluntary plans composed of several investment funds that are funded with employer and employee contributions. Employees who first become eligible to participate in UCRP on or after July 1, 2013 will accrue benefits in the 2013 Tier. An employee who began accruing benefits before July 1, 2013 will continue accruing benefits under the 1976 Tier until he or she has a break in service. If an employee returns to eligible employment on or after July 1, 2013 following a break in service, he or she will accrue additional service credit under the 2013 Tier.

Note 2

Year-End Adjustments

Subsequent to the Laboratory fiscal year-end, DOE made adjustments for final Post-Retirement Benefit and Pension Plan Liabilities. These amounts will be reflected In the Laboratory's actuals for October 2013. Both Post-Retirement Benefits and Pension Plan Liability decreased as of September 30, 2013. The reductions were a result of increased discount rates (4.75% for FY2013, up from 3.75% for FY2012), favorable asset returns, offset by additional experience expenses. These adjustments are the result of coordination and approval by both DOE and UC.

Subsequent to the Laboratory fiscal year-end, DOE also made adjustments to Environmental Liabilities. The $121M reduction was primarily due to a $123M decrease in Active Facilities Liabilities (ACF), offset by a $2M increase in Restructured Environmental Liabilities (REL).

The following is the adjusted balance sheet for FY2013:

Note 2

Year-End Adjustments Continued

Adjusted Balance Sheet ($K)			
	FY2013	FY2013	Adjusted FY2013
ASSETS:			
Current Assets			
Accounts Receivable	7,407		7,407
Inventories	407		407
Other Current Assets	237		237
Total Current Assets	**8,051**	**0**	**8,051**
Net Plant & Equipment	681,395		681,395
Total Assets	**689,446**	**0**	**689,446**
LIABILITIES AND EQUITY:			
Liabilities:			
Current Liabilities			
Drafts Payable	(188)		(188)
Accounts Payable	61,051		61,051
Accrued Expenses	54,110		54,110
Other	25,299		25,299
Total Current Liabilities	**140,272**	**0**	**140,272**
Environmental Liabilities	762,092	(121,139)	640,953
ES&H Liability	305,037		305,037
Capital Lease Liability	0		0
Post-Retirement Benefits	751,463	(189,756)	561,707
Pension Plan Liability	1,083,438	(510,159)	573,279
Total Liabilities	**3,042,302**	**(821,054)**	**2,221,248**
DOE Equity:			
Beginning Equity	(1,966,615)		(1,966,615)
Change in Equity	(386,241)	821,054	434,813
Ending Equity	**(2,352,856)**	**821,054**	**(1,531,802)**
Total Liabilities and Equity	**689,446**	**0**	**689,446**

6. Procurement & Property Management

Table 6.1

Purchases Placed Using Purchase Orders/Subcontracts

Total POs	($K)	# Actions
$0 - $25,000	$55,596	60,737
$25,001 - $150,000	$66,092	1,174
$150,001- $1,000,000	$95,927	307
$1,000,001 +	$121,117	37

Table 6.2

Procurement Purchase Order Dollar Amount by Division

Division	PO ($K)
Accelerator & Fusion Research	3,713
Advanced Light Source	13,996
Chief Financial Officer	8,670
Chemical Sciences	4,891
Computational Research	8,073
Computing Sciences	1,029
Environmental Energy Technologies	28,450
Engineering	5,026
Environment/Health/Safety	5,108
Earth Sciences	10,034
Facilities	60,366
Genomics	28,238
Human Resources	1,207
Information Technology	13,319
Laboratory Directorate	2,072
Life Sciences	7,946
Material Sciences	15,460
NERSC	21,055
Nuclear Science	5,361
Operations	27,261
Public Affairs	478
Physical Biosciences	31,627
Physics	18,509
Protective Services	6,897
Scientific Networking	9,945
Total	**338,732**

Figure 6.1

Procurement Spend by Channel ($K)

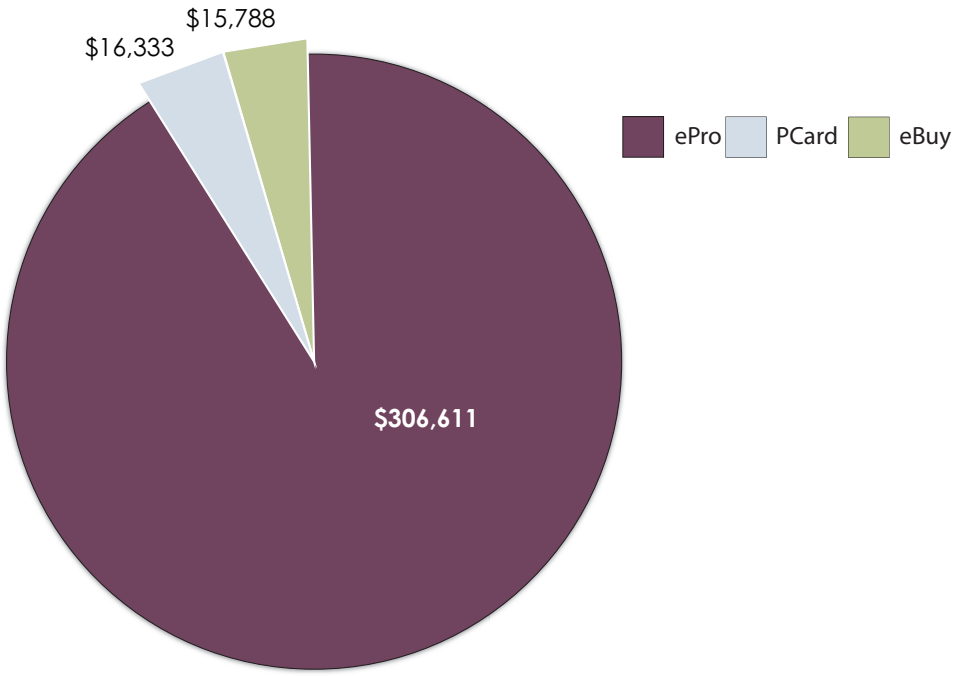
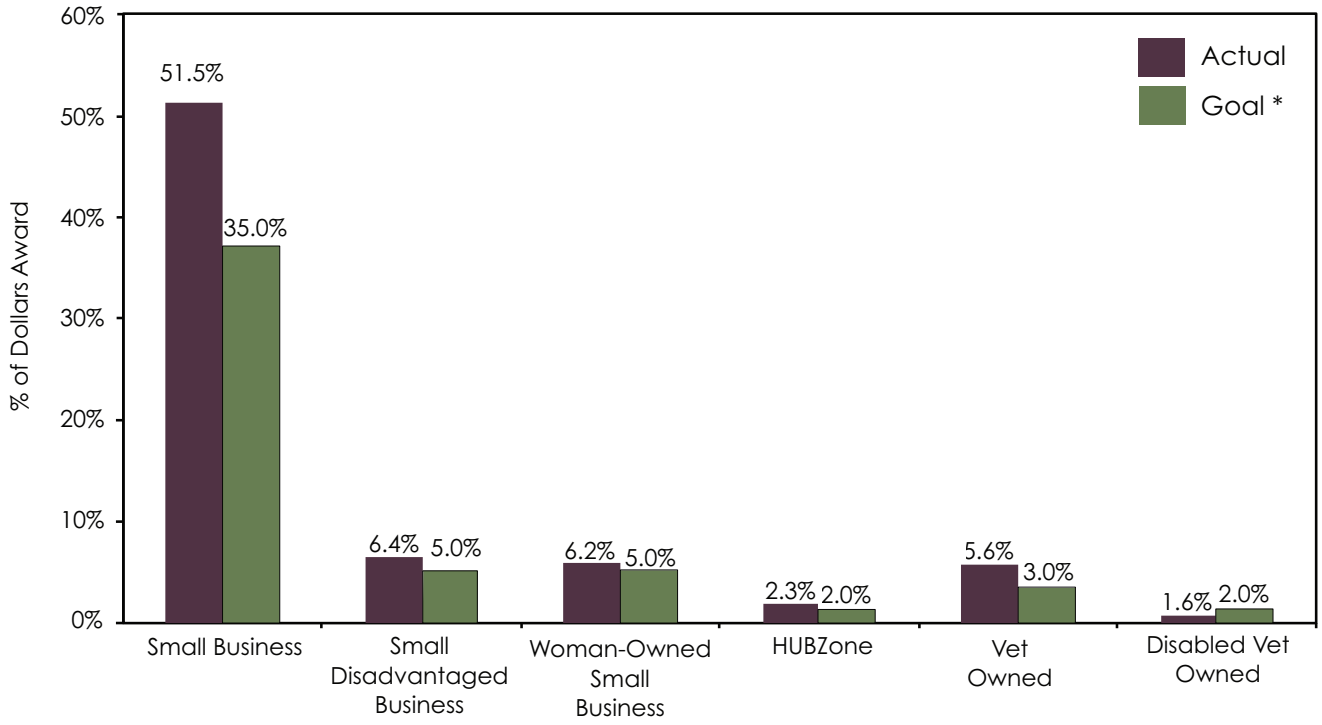


Figure 6.2

Laboratory Supplier Socioeconomic Performance



**DOE Balanced Scorecard Goal*

Figure 6.3

Cycle Time for Purchase Orders <$25k — Subcontracting Groups FY2013

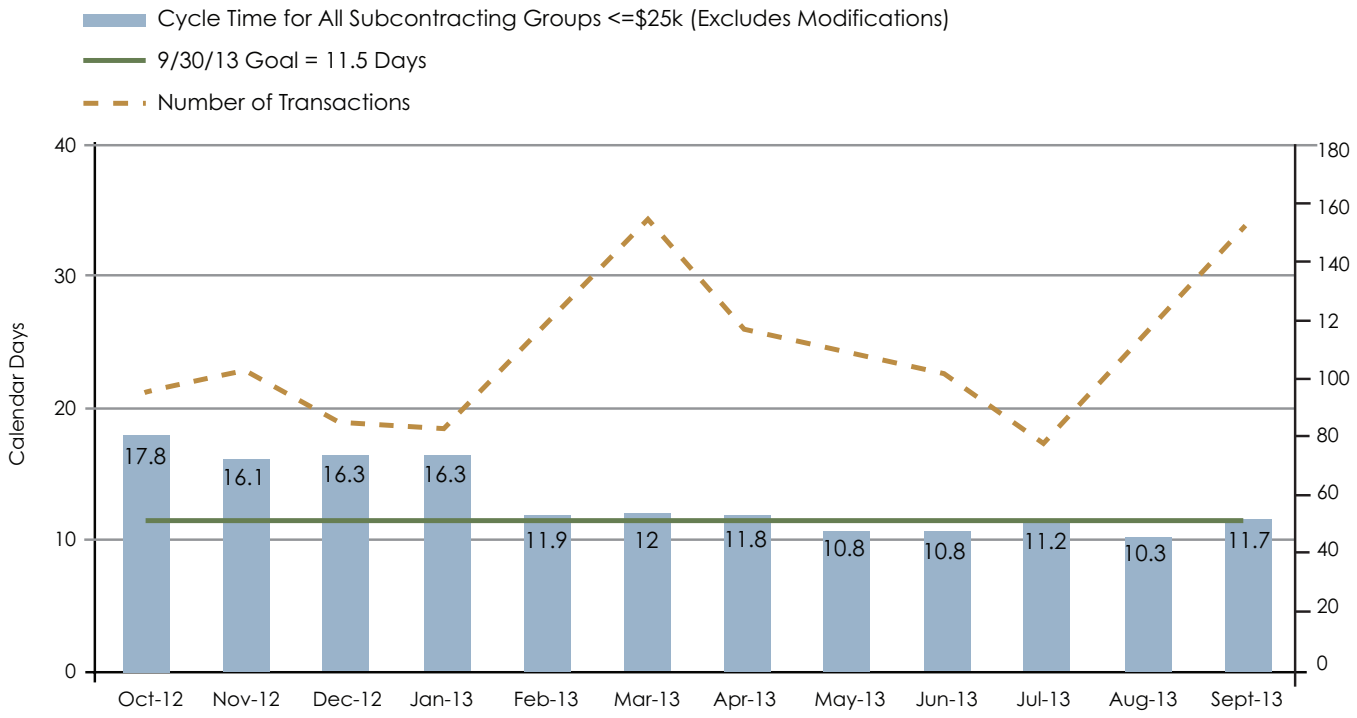


Figure 6.4

Procurement Cost Savings

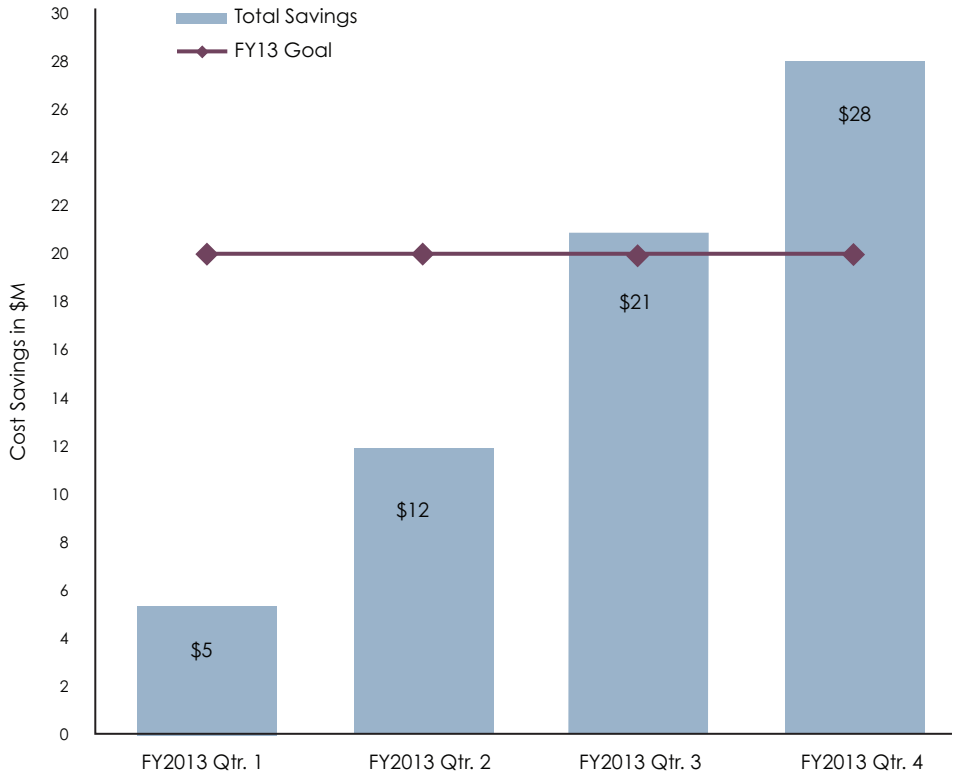


Table 6.3

Property Management Activity

	# of Assets	Acquisition Value	
Equipment*	8,939	691,473,072	
Attractive*	20,291	55,434,740	
High Risk*	11	182,976,068	
Total Assets	**29,241**	**929,883,880**	
Computers Laptops	5,651	10,825,711	
Computer Desktops	6,696	14,043,934	
Tablets	758	483,474	
Total	**13,105**	**25,353,119**	
Inventory campaign	**Base**	**Positive Resolutions**	**% Positive**
Controlled	30	30	100%
Sensitive	3,374	3,369	100%
High Risk	9	9	100%
Final Results	3,413	3,408	99.85%
Validation Size	50	50	100%
Assets Scanned	3,165	3,413	93%
Division	**Asset Count**	**Acquisiton Value**	
Accelerator & Fusion Research	1,320	85,825,218	
Advanced Light Source	1,416	197,675,715	
Chief Financial Officer	290	422,671	
Chemical Sciences	1,395	30,168,612	
Computational Research	1,741	26,870,041	
Computing Sciences	293	12,549,221	
Environmental Energy Technologies	2,513	25,077,816	
Engineering	932	13,031,403	
Environment/Health/Safety	627	3,105,604	
Earth Sciences	2,106	22,526,176	
Facilities	1,157	9,989,137	
Genomics	1,481	32,203,988	
Human Resources	196	223,673	
Information Technology	2,745	19,127,143	
Laboratory Directorate	115	230,230	
Life Sciences	1,653	31,318,830	
Material Sciences	3,650	135,984,964	
NERSC	1,153	74,807,461	
Nuclear Science	1,065	63,026,943	
Operations	28	44,274	
Public Affairs	125	241,051	
Physical Biosciences	1,977	39,194,763	
Physics	967	105,547,875	
Protective Services	296	691,070	
TOTAL ASSETS	**29,241**	**929,883,880**	

* **Equipment**: Has an acquisition cost > $10,000 and expected useful life of > 2 years; **Attractive**: Attractive regardless of cost (laptops, desktops, workstations, tablets and radios); **High Risk**: Property used in the nuclear fuel cycle, firearms, ammunition and explosives, nuclear weapon components or nuclear weapon-like components that do not contain nuclear material as listed in DOE O 474.2.

7. Acronymns & Key Terms

Acronyms and Key Terms

AFRD	Accelerator and Fusion Research Division
ALS	Advanced Light Source
ANL	Argonne National Laboratory
ARPA-E	Advanced Research Projects Agency-Energy
ARRA	American Recovery and Reinvestment Act of 2009
A/S	Assistant Secretary (DOE)
B&R	Budget and Reporting
BA	Budget Authority
BES	Basic Energy Sciences
BNL	Brookhaven National Laboratory
BSC	Business Systems Committee
CAD	Computer Aided Design
CFO	Chief Financial Officer
CRADA	Cooperative Research and Development Agreement
DARHT	Dual Axis Radiographic Hydrodynamic Test
DNA	Deoxyribonucleic Acid
DOD	Department of Defense
DOE	Department of Energy
DOI	Department of Interior
EERE	Energy Efficiency and Renewable Energy
ERWM	Environmental Restoration and Waste Management
EHSS	Environment/Health/Safety/Security
ESnet	Energy Sciences Network
FNAL	Fermi National Accelerator Laboratory
FTE	Full-Time Equivalent
FY	Fiscal Year (Oct. 1 through Sept. 30)
G&A	General and Administrative
G/L	General Ledger
GSO	Goods and Services on Order
HR	Human Resources
HWC	Hazardous Waste Charge
HZE	High-Z High-Energy
I-MANAGE	Integrated Management Navigation System
IC	Integrated Contractors

ICO	Integrated Contractor Order
IT	Information Technology
LANL	Los Alamos National Laboratory
LBF	Low Background Facilities
LBNL	Lawrence Berkeley National Laboratory
LDRD	Laboratory Directed Research and Development
LLNL	Lawrence Livermore National Laboratory
M&O	Management & Operating
NASA	National Aeronautics and Space Administration
NERSC	National Energy Research Scientific Computing Center
NIH	National Institutes of Health
NNSA	National Nuclear Security Administration
O&M	Operations & Maintenance
OASDI	Old Age, Survivors and Disability Insurance
OCFO	Office of the Chief Financial Officer
OHRCH	Overhead Recharge
ORNL	Oak Ridge National Laboratory
OSPIP	Office of Sponsored Projects and Industry Partnerships
PLF	Paid Leave Factor
PNNL	Pacific Northwest National Laboratory
PPPL	Princeton Plasma Physics Laboratory
R&D	Research and Development
SLAC	Stanford Linear Accelerator Center
SNAP	SuperNova Acceleration Project
SNL	Sandia National Laboratories
STARS	Standard Accounting and Reporting System
UC	University of California
WFO	Work for Others

Key Terms

Throughout this document, $K means dollars in thousands, $M means dollars in millions, and $B means dollars in billions.

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