

Lawrence Berkeley National Laboratory

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Annual Report 2009



OCFO LAWRENCE BERKELEY NATIONAL LABORATORY
Office of the Chief Financial Officer

Annual Report **20** Fiscal Year 2009
09

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

January 2010



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Chief Financial Officer’s Statement 1
Office of the Chief Financial Officer 3
Lawrence Berkeley National Laboratory, University of California 4

1. Institutional Information 5

Where Did Your Program Dollars Go in FY2009? | Figure 1.1 6
 Cost Trend by Expense Category, FY2005 - FY2009 (\$M and % of Total) Table 1.1 7
 Cost By Direct Funding Source by Division, FY2005 - FY2009 (\$K) | Table 1.2 8
 Cost by Direct Funding Source by Division, FY2009 (\$K) | Table 1.2a 9
 Cost By Direct Funding Source by Division, FY2008 (\$K) | Table 1.2b 10
 Cost By Direct Funding Source by Division, FY2007 (\$K) | Table 1.2c 11
 Cost By Direct Funding Source by Division, FY2006(\$K) | Table 1.2d 12
 Cost By Direct Funding Source by Division, FY2005 (\$K) | Table 1.2e 13
 Indirect Budget Costs by Division, FY2009 (\$K) | Table 1.3 14
 Average FTE Breakdown by Division, FY2009 (\$K) | Table 1.4 15
 Funds Held for Others' Costs, FY2005 - FY2009 (\$K) | Table 1.5 16

2. Direct Funding — DOE and Reimbursable Work 17

LBNL Fund Trends (BA) by Funding Source (\$K) | Table 2.1 20
 LBNL Cost Trends by Funding Source (\$K) | Table 2.2 22
 Laboratory Funding and Costs by Source (\$K) | Table 2.3 24
 DOE Programs (\$K) | Table 2.4 26
 Other Direct Operating (\$K) | Table 2.5 36
 Sponsored Project Information (\$K) | Figure 2.1 38

3. American Recovery and Reinvestment Act of 2009 (ARRA) 39

ARRA DOE Programs | Table 3.1 40
 ARRA Other Direct Operating (\$K) | Table 3.2 42
 Where Did Your ARRA Program Dollars Go in FY2009? | Figure 3.1 43
 ARRA Cost by Expense Category, FY2009 (\$M and % of Total) | Table 3.3 44
 ARRA Job Reporting | Table 3.4 45

4. Indirect Budgets.....	47
Indirect Budgets — FY2009 Costs (\$M) Figure 4.1	48
Institutional Overhead Costs as a Percent of Operating Costs, FY2007 - FY2009 Figure 4.2	49
Institutional Costs by Division, FY2009 (\$K) Table 4.1	50
Institutional FTEs Charged by Division, FY2009 Table 4.2	51
Payroll Burden Summary (\$M) Figure 4.3	52
Gross Payroll Summary (\$M) Figure 4.4	52
Organizational Burden Costs and FTEs Table 4.3	53
Service Center Costs and FTEs Table 4.4.....	54
Distributed Recharges by Resource Category Trends, FY2005 - FY2009 (\$K) Table 4.5.....	55
Functional Support Costs as a Percent of Total Costs, FY2003 - FY2008 (\$K) Figure 4.5 ...	56
 5. Financial Statement	 57
Balance Sheet Comparative Statement of Financial Position (in \$K) Table 5.1	58
Summary of Significant Accounting Policies Note 1	59
Accounts Receivable Note 2	60
Inventories Note 3	60
Other Current Assets Note 4.....	60
Net Plant and Equipment Note 5	61
Drafts Payable Note 6.....	61
Environmental Liability Note 7.....	62
Capital Leases Note 8.....	62
Environment, Safety and Health (ES&H) Liability Note 9.....	62
 6. Procurement and Property Management.....	 63
Requisitions Submitted by Laboratory Divisions Table 6.1	64
Purchases Placed Using Purchase Orders/Subcontracts Table 6.2.....	65
Purchases Placed Using P-Card Table 6.3.....	65
Laboratory Socioeconomic Performance Table 6.4	65
Property Management Activity Table 6.5.....	66
 7. Acronyms and Key Terms.....	 67

Chief Financial Officer's Statement

I am delighted to present to you the 2009 Chief Financial Officer's Annual Report. The data included in this report has been compiled from the Budget Office, the Controller, Procurement and Property Management and the Sponsored Projects Office. I hope you find this information useful as a reference tool.

2009 was an incredible year for Lawrence Berkeley National Laboratory. We saw our Laboratory Director, Dr. Steven Chu, confirmed as the new Secretary of Energy in President Obama's Cabinet, and we have received unprecedented new funding from the American Recovery and Reinvestment Act (ARRA) in the amount of \$214M as of September 30, 2009.

This new influx of funding presented amazing opportunities and challenges for the Office of the Chief Financial Officer (OCFO). We quickly established a governance organization, the Stimulus Steering Committee (SSC) to manage ARRA program funds, providing high level oversight and strategic direction and operational support to the scientific divisions. We coordinated communication and reporting with internal and external organizations affected by ARRA. Developing a strategy and approach for effective funds management was critical, and to address this need we implemented an automated reporting mechanism for accounting processes and procedures, management controls, performance reviews and validations.

Communication was of utmost importance as ARRA requirements were being received and interpreted daily. To address this, the OCFO established an ARRA website listing all ARRA-funded projects and funding received, and it now serves as a resource for researchers and operations personnel alike.

To accommodate the need for financial and operational staff to understand all the nuances of the ARRA reporting requirements, the OCFO conducted comprehensive training sessions on federal policies and procedures for the Laboratory. An executive summary on key ARRA financial management concepts, as well as an abbreviated training course was also developed for the Laboratory's scientific community and managers.

Consequently, the Laboratory was recognized by the Department of Energy's (DOE) Berkeley Site Office (BSO) as a leader in planning and managing ARRA funding and expenditures across the DOE complex.

Not all notable achievements were connected to ARRA. The OCFO went live with the Planning module of our Budget and Planning System in October of 2008. With the implementation of the Planning module we now have our key funds control data components, costs, liens, funding, guidance and plans, captured in an integrated institutional system for the first time. This will minimize the need for manually maintained shadow systems in the divisions and improve the accuracy, consistency and availability of our financial data. The forecasting capability of the Planning module also allows the Budget Office to do more in-depth analysis on the overhead collection estimates. In addition, when using the Planning module, Resource Analysts now have the ability to develop and price budgets using an institutionally validated and maintained rate structure.

The Sponsored Projects Office (SPO), led an effort to forge an agreement with the State of California (SB1629) that enables the Laboratory to more easily facilitate contracting between State agencies and the Laboratory. This is a major milestone in the Laboratory's ability to receive funding from State agencies and now scientists will have much more flexibility when partnering with the State on their research projects.

SPO was also able to reach a significant milestone in their multi-year Electronic Sponsored Research Administration (eSRA) project with the selection of a vendor. The contract for five eSRA modules was signed with Click Commerce. This new vendor will integrate sponsored project development, tracking, and "grants.gov" submissions into one system that will also be aligned with various compliance offices

Chief Financial Officer's Statement Continued

such as Animal and Human Subjects, and Conflict of Interest. We will also be working closely with the Berkeley Site Office to make sure their needs are met as well.

Lawrence Berkeley National Laboratory continues to be a top DOE Office of Science (SC) national laboratory in the implementation of a comprehensive strategic sourcing supply chain initiative. Eighteen strategic sourcing subcontracts are in place resulting in better pricing than previously experienced, and requiring fewer resources to administer these purchases. Eight commodities are provided through an eCommerce

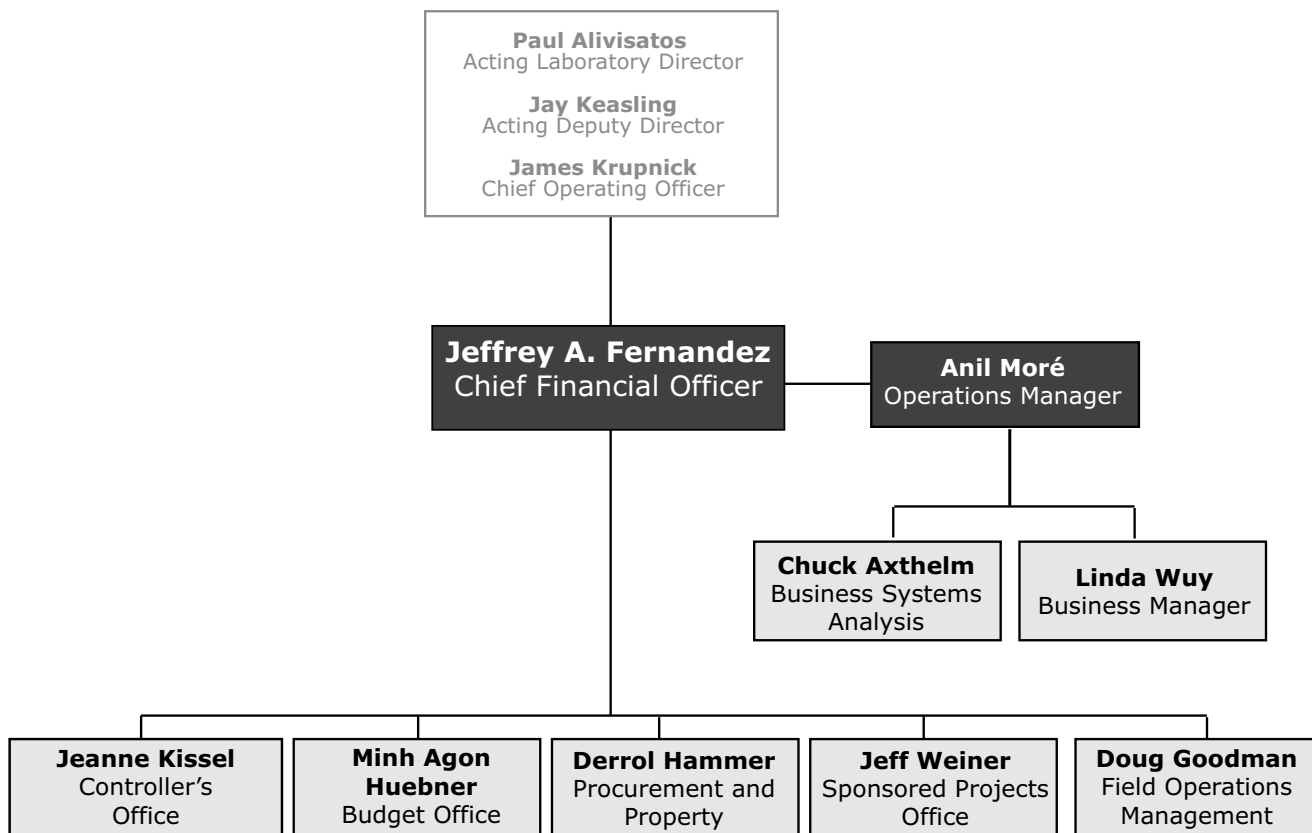
process that is deployed Laboratory-wide for electronic purchases by users. With the commodities added in FY2009, LBNL offers more commodities than any other DOE SC national laboratory, and we are expecting an increase in transactions of approximately 10%.

There has never been a year at the Laboratory like FY2009 for many of the reasons I've discussed. The opportunities and challenges that lay before us now are at the same time daunting and exhilarating, and I, for one, can't wait to explore them in 2010.

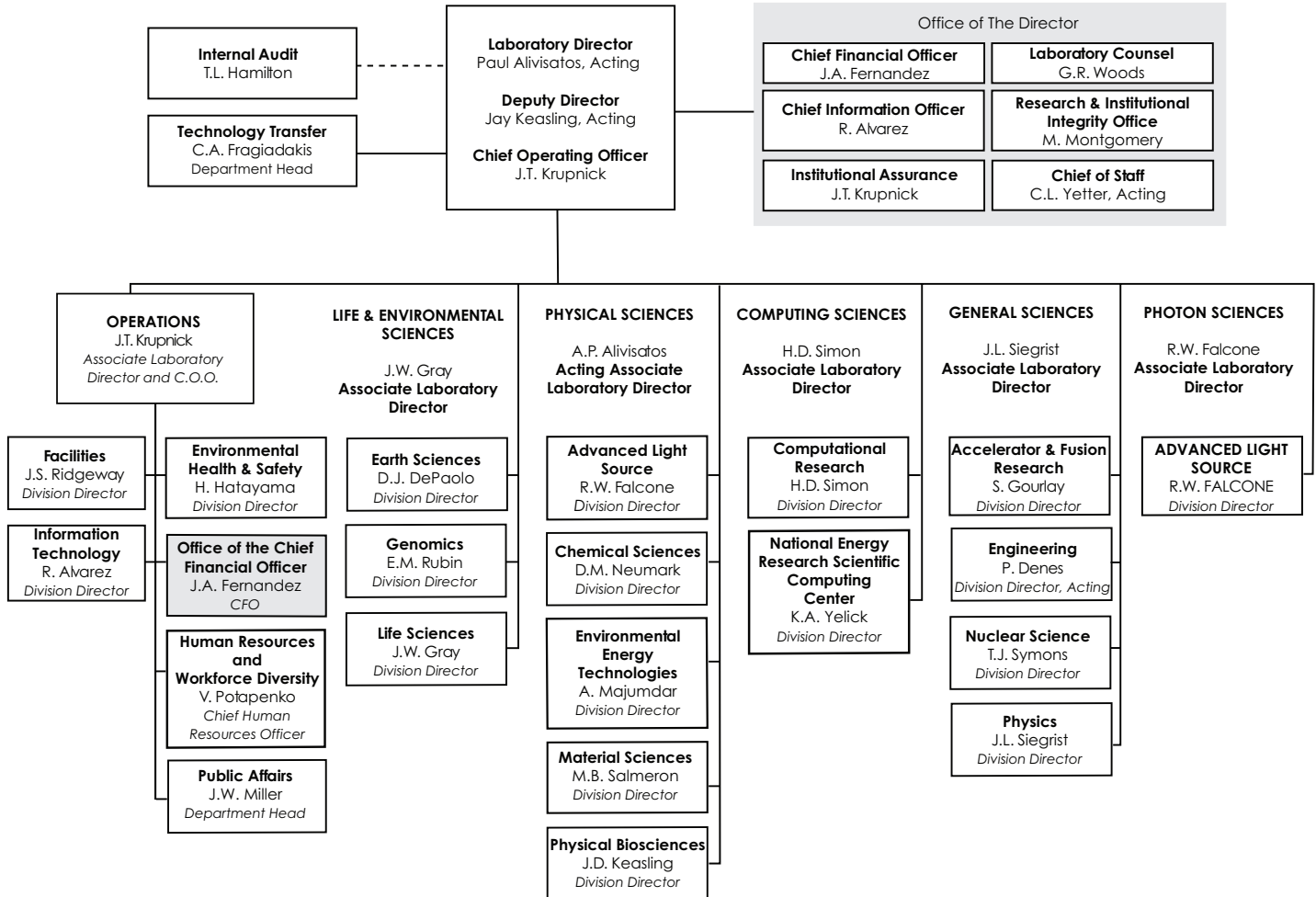
Sincerely,

Jeffrey A. Fernandez
Chief Financial Officer

Office of the Chief Financial Officer



Lawrence Berkeley National Laboratory, University of California



20
09 | 1. Institutional Information

Figure 1.1

Where Did Your Program Dollars Go in FY2009?

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)	\$0.35	\$0.35	\$0.10	\$0.37
Contract Labor	\$0.00	\$0.00	\$0.01	\$0.00
Org. Burden (b)	\$0.05	\$0.06	\$0.02	\$0.07
Subtotal Direct Labor	\$0.40	\$0.41	\$0.13	\$0.44
Other Direct:				
Services	\$0.19	\$0.13	\$0.48	\$0.14
Materials	\$0.10	\$0.06	\$0.30	\$0.07
Utilities	\$0.02	\$0.00	\$0.00	\$0.00
Other Expenses (c)	\$0.01	\$0.01	\$0.01	\$0.01
Recharges (b,d)	\$0.02	\$0.10	\$0.01	\$0.03
Travel	\$0.02	\$0.01	\$0.00	\$0.01
Subtotal Other Direct	\$0.35	\$0.31	\$0.80	\$0.27
Total Direct	\$0.75	\$0.72	\$0.93	\$0.71
INDIRECT:				
Procurement	\$0.01	\$0.01	\$0.02	\$0.01
Travel	\$0.00	\$0.00	\$0.00	\$0.00
G&A (Other Inst.)	\$0.24	\$0.27	\$0.05	\$0.28
Total Indirect	\$0.25	\$0.28	\$0.07	\$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/GSRAs and Campus Labor.
(b) Distributed activities used by direct funded programs.
(c) Includes miscellaneous expenses (stipends, sales tax, freight, etc.).
(d) Includes recharges credited back to direct operating accounts such as ALS and ESnet.

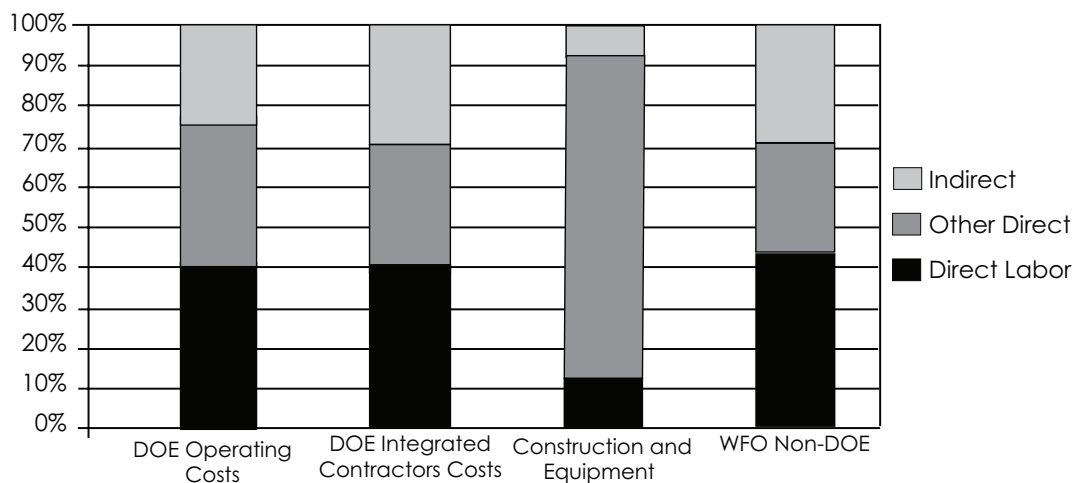


Table 1.1

Cost Trend by Expense Category, FY2005 - FY2009 (\$M and % of Total)

Expenses	FY2005		FY2006		FY2007		FY2008		FY2009	
	\$M	%	\$M	%	\$M	%	\$M	%	\$M	%
DIRECT:										
Direct Labor:										
UC Labor (a)	174.8	33.4%	175.4	33.9%	180.3	34.9%	191.7	32.5%	206.8	31.9%
Contract Labor	0.8	0.2%	0.9	0.2%	1.3	0.3%	1.2	0.2%	1.9	0.3%
Org. Burden (b)	27.3	5.2%	29.2	5.6%	29.8	5.8%	30.4	5.2%	33.0	5.1%
Subtotal Direct Labor	202.9	38.7%	205.6	39.7%	211.4	40.9%	223.3	37.9%	241.7	37.3%
Other Direct:										
Services	102.1	19.5%	91.7	17.7%	84.0	16.3%	117.2	19.9%	140.7	21.7%
Materials	75.5	14.4%	68.4	13.2%	68.0	13.2%	82.1	13.9%	78.3	12.1%
Utilities	7.1	1.4%	5.1	1.0%	6.2	1.2%	7.3	1.2%	8.0	1.2%
Other Expenses (c)	1.1	0.2%	1.9	0.4%	2.7	0.5%	2.8	0.5%	4.0	0.6%
Recharges (b,d)	8.8	1.7%	10.6	2.0%	8.4	1.6%	8.9	1.5%	14.1	2.2%
Travel	9.4	1.8%	9.8	1.9%	7.9	1.5%	9.4	1.6%	9.3	1.4%
Subtotal Other Direct	204.0	38.9%	187.4	36.2%	177.2	34.3%	227.7	38.6%	254.4	39.3%
Total Direct	406.8	77.7%	393.0	76.0%	388.5	75.2%	451.0	76.5%	496.0	76.6%
INDIRECT:										
Procurement	6.6	1.3%	7.5	1.5%	7.4	1.4%	8.2	1.4%	7.3	1.1%
Travel	0.9	0.2%	0.8	0.2%	0.9	0.2%	1.2	0.2%	1.3	0.2%
Space (e)	8.7	1.7%	0.0	0.0%	0.0	0.0%	0.0	0.0%	0.0	0.0%
G&A (Other Inst.)	100.7	19.2%	115.8	22.4%	119.6	23.2%	129.2	21.9%	143.0	22.1%
Total Indirect	116.9	22.3%	124.2	24.0%	127.8	24.8%	138.5	23.5%	151.7	23.4%
TOTAL EXPENSES	523.7	100.0%	517.2	100.0%	516.4	100.0%	589.5	100.0%	647.7	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.

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

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

(e) Space rate eliminated in FY2006, costs moved to G&A (Site Support).

Table 1.2

Cost By Direct Funding Source by Division, FY2005 - FY2009 (\$K)

Division	FY2005	FY2006	FY2007	FY2008	FY2009
Accelerator & Fusion Research	27,163	25,595	28,099	26,042	28,139
Advanced Light Source	45,023	44,180	48,906	51,508	49,662
Chemical Sciences	12,351	12,554	14,877	17,002	15,694
Computing Sciences (a)	10	79,614	77,355	101,133	103,461
Computational Research (a)	18,828	-	-	-	-
NERSC Center (a)	41,299	-	-	-	-
Information Technology (a)	28,195	3,852	3,391	3,634	3,100
Environmental Energy Technologies	51,514	53,052	45,763	52,004	58,795
Engineering	4,503	5,408	8,429	13,351	8,306
EH&S	5,780	7,360	5,493	3,490	3,270
Earth Sciences	28,954	31,036	29,856	31,027	34,240
Facilities	41,275	31,492	12,244	17,076	43,839
Genomics	8,198	9,733	10,437	8,731	6,208
Genomics - JGI	46,706	43,105	45,461	50,839	51,135
Life Sciences	43,113	47,788	51,929	56,872	59,835
Materials Sciences	35,352	40,048	50,657	55,835	63,386
Nuclear Science	28,781	26,501	28,098	26,774	33,566
Physical Biosciences	28,680	29,167	25,228	44,219	52,015
Physics	27,305	26,978	30,373	29,984	32,139
Lab Directorate/Other	924	752	730	858	903
Other (b)	(116)	(1,060)	(947)	(880)	58
Division Total	523,837	517,155	516,382	589,499	647,749

Note: Minor variances may occur due to rounding.

(a) Computational Research, NERSC Center as well as the E5net portion of Information Technology became part of Computing Sciences in FY2006.

(b) Primarily Work for Others charge to offset Safeguards and Security activities FY2005 - FY2008. In FY2009, Safeguards and Security Work for Others charge was eliminated.

Table 1.2a

Cost 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 (a)	88,264	2,153	2,004	1,347	93,767	9,694	103,461
Computational Research (a)	-	-	-	-	-	-	-
NERSC Center (a)	-	-	-	-	-	-	-
Information Technology (a)	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
EH&S	3,270	0	0	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	-	-	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.

(a) Computational Research, NERSC Center as well as the E5net portion of Information Technology became part of Computing Sciences in FY2006

Table 1.2b

Cost By Direct Funding Source by Division, FY2008 (\$K)

Division	FY2008						
	DOE Operating	DOE Integrated Contractors Costs	WFO Federal	WFO Non-Federal	Operating Subtotal	Capital and Equipment	Total
Accelerator & Fusion Research	19,426	1,514	1,441	799	23,180	2,862	26,042
Advanced Light Source	44,552	7	0	865	45,424	6,084	51,508
Chemical Sciences	14,236	75	599	79	14,990	2,012	17,002
Computing Sciences (a)	87,106	2,895	1,464	1,227	92,693	8,440	101,133
Computational Research (a)	-	-	-	-	-	-	-
NERSC Center (a)	-	-	-	-	-	-	-
Information Technology (a)	2,455	-	-	45	2,500	1,134	3,634
Environmental Energy Technologies	30,890	1,513	5,701	12,797	50,901	1,103	52,004
Engineering	2,814	213	322	516	3,865	9,485	13,351
EH&S	3,490	-	-	-	3,490	-	3,490
Earth Sciences	21,996	2,171	1,339	4,681	30,186	841	31,027
Facilities	4,174	-	-	-	4,174	12,902	17,076
Genomics	2,522	-	6,043	34	8,599	132	8,731
Genomics - JGI	45,068	301	357	945	46,671	4,168	50,839
Life Sciences	11,452	20	36,844	6,876	55,191	1,680	56,872
Materials Sciences	42,030	123	1,004	7,238	50,396	5,439	55,835
Nuclear Science	17,280	90	2,296	3,533	23,199	3,575	26,774
Physical Biosciences	33,778	515	6,071	3,761	44,126	93	44,219
Physics	22,481	791	715	353	24,341	5,644	29,984
Lab Directorate/Other	743	-	-	115	858	-	858
Other (b)	(947)	68	-	-	(880)	-	(880)
Division Total	405,548	10,296	64,195	43,864	523,904	65,595	589,499

Note: Minor variances may occur due to rounding.

(a) Computational Research, NERSC Center as well as the ESnets portion of Information Technology became part of Computing Sciences in FY2006.

(b) Primarily Work for Others charge to offset Safeguards and Security activities.

Table 1.2c

Cost By Direct Funding Source by Division, FY2007 (\$K)

Division	FY2007						
	DOE Operating	DOE Integrated Contractors Costs	WFO Federal	WFO Non-Federal	Operating Subtotal	Capital and Equipment	Total
Accelerator & Fusion Research	20,818	660	2,662	1,469	25,609	2,490	28,099
Advanced Light Source	42,453	13	0	809	43,275	5,632	48,906
Chemical Sciences	12,457	0	704	115	13,276	1,601	14,877
Computing Sciences (a)	67,615	2,902	1,376	1,202	73,096	4,259	77,355
Computational Research (a)	-	-	-	-	-	-	-
NERSC Center (a)	-	-	-	-	-	-	-
Information Technology (a)	2,384	-	-	-	2,384	1,007	3,391
Environmental Energy Technologies	24,583	1,596	6,549	12,406	45,135	628	45,763
Engineering	3,086	144	428	580	4,238	4,192	8,429
EH&S	5,397	-	-	-	5,397	96	5,493
Earth Sciences	17,466	6,486	1,838	3,886	29,676	180	29,856
Facilities	1,772	-	-	-	1,772	10,473	12,244
Genomics	2,546	-	7,739	88	10,373	64	10,437
Genomics - JGI	40,337	1,843	371	1,338	43,890	1,572	45,461
Life Sciences	10,033	125	33,766	7,082	51,006	923	51,929
Materials Sciences	39,670	12	1,222	5,292	46,196	4,461	50,657
Nuclear Science	15,582	36	2,563	7,016	25,198	2,900	28,098
Physical Biosciences	12,676	386	7,580	4,135	24,777	451	25,228
Physics	19,573	474	485	335	20,868	9,505	30,373
Lab Directorate/Other	730	-	-	-	730	-	730
Other (b)	(1,018)	70	-	-	(947)	-	(947)
Division Total	338,161	14,747	67,284	45,755	465,947	50,435	516,382

Note: Minor variances may occur due to rounding.

(a) Computational Research, NERSC Center as well as the ESNET portion of Information Technology became part of Computing Sciences in FY2006.

(b) Primarily Work for Others charge to offset Safeguards and Security activities.

Cost By Direct Funding Source by Division, FY2006 (\$K)

Division	FY2006						
	DOE Operating	DOE Integrated Contractors Costs	WFO Federal	WFO Non-Federal	Operating Subtotal	Capital and Equipment	Total
Accelerator & Fusion Research	18,506	499	2,054	3,049	24,108	1,487	25,595
Advanced Light Source	36,269	180	0	928	37,377	6,803	44,180
Chemical Sciences	11,440	12	101	70	11,623	931	12,554
Computing Sciences (a)	67,768	4,463	3,129	489	75,849	3,765	79,614
Computational Research (a)	-	-	-	-	-	-	-
NERSC Center (a)	-	-	-	-	-	-	-
Information Technology (a)	2,678	-	-	-	2,678	1,175	3,852
Environmental Energy Technologies	29,091	1,597	6,991	14,522	52,201	851	53,052
Engineering	1,530	479	808	798	3,615	1,793	5,408
EH&S	6,469	0	0	0	6,469	890	7,360
Earth Sciences	17,932	6,000	2,777	3,601	30,310	727	31,036
Facilities	3,006	6	-	-	3,011	28,481	31,492
Genomics	1,759	-	7,175	141	9,075	658	9,733
Genomics - JGI	35,543	1,171	1,713	2,410	40,837	2,268	43,105
Life Sciences	11,153	5	29,941	6,607	47,707	81	47,788
Materials Sciences	30,688	38	1,327	5,233	37,287	2,761	40,048
Nuclear Science	15,536	74	1,885	7,423	24,918	1,583	26,501
Physical Biosciences	12,412	652	10,606	4,369	28,039	1,128	29,167
Physics	15,626	684	942	673	17,926	9,052	26,978
Lab Directorate/Other	754	(2)	-	-	752	-	752
Other (b)	(887)	-	-	-	(887)	(173)	(1,060)
Division Total	317,272	15,859	69,449	50,312	452,892	64,262	517,155

Note: Minor variances may occur due to rounding.

(a) Computational Research, NERSC Center as well as the ESNET portion of Information Technology became part of Computing Sciences in FY2006.

(b) Primarily Work for Others charge to offset Safeguards and Security activities. In FY2006 LDRD Equipment is indirectly funded.

Table 1.2e

Cost By Direct Funding Source by Division, FY2005 (\$K)

Division	FY2005						
	DOE Operating	DOE Integrated Contractors Costs	WFO Federal	WFO Non-Federal	Operating Subtotal	Capital and Equipment	Total
Accelerator & Fusion Research	18,917	592	2,090	2,051	23,649	3,513	27,163
Advanced Light Source	34,384	179	-	917	35,479	9,545	45,023
Chemical Sciences	11,071	-	164	74	11,309	1,042	12,351
Computing Sciences	-	-	-	10	10	-	10
Computational Research	15,346	911	2,495	78	18,828	-	18,828
NERSC Center	30,873	-	-	-	30,873	10,426	41,299
Information Technology	21,923	1,641	1,291	-	24,855	3,340	28,195
Environmental Energy Technologies	29,939	1,343	6,911	12,801	50,994	520	51,514
Engineering	1,256	446	842	1,408	3,952	552	4,503
EH&S	5,694	-	-	-	5,694	85	5,780
Earth Sciences	15,341	7,001	3,055	2,720	28,117	837	28,954
Facilities	1,793	-	-	-	1,793	39,481	41,275
Genomics	739	-	7,048	415	8,203	(5)	8,198
Genomics - JGI	41,283	-	611	1,332	43,227	3,479	46,706
Life Sciences	9,406	4	28,614	4,374	42,398	715	43,113
Materials Sciences	24,294	243	1,885	4,994	31,416	3,936	35,352
Nuclear Science	16,186	20	2,067	8,354	26,627	2,154	28,781
Physical Biosciences	9,982	432	12,921	4,096	27,432	1,248	28,680
Physics	16,348	222	502	867	17,938	9,367	27,305
Lab Directorate	864	59	-	-	924	-	924
Other (a)	(728)	-	-	-	(728)	612	(116)
Division Total	304,913	13,091	70,496	44,490	432,990	90,847	523,837

Note: Minor variances may occur due to rounding.

(a) Work for Others charge to offset Safeguards and Security activities; and LDRD Equipment.

Table 1.3

Indirect Budget Costs by Division, FY2009 (\$K)

Division	Distributed Support Costs			Institutional Costs						Total (a)
	Org. Burden	Service Centers (b)	Other (c)	LDRD	IGPP	G&A	Procurement Burden	Site Support	Travel Burden	
Accelerator & Fusion Research	1,561	143	207	3,083	-	-	-	-	-	4,994
Advanced Light Source	1,962	(9)	-	1,710	-	-	-	-	-	3,663
Chief Financial Officer Organization	-	-	-	-	-	8,021	7,856	-	1,546	17,423
Chemical Sciences	965	-	-	679	-	-	-	-	-	1,644
Computing Sciences	5,049	-	-	2,142	-	-	-	-	-	7,191
Computational Research	-	-	-	-	-	-	-	-	-	-
NERSC Center	-	-	-	-	-	-	-	-	-	-
Information Technology	2,984	7,266	-	-	-	14,149	-	8,537	-	32,937
Environmental Energy Technologies	3,464	1,185	-	2,008	-	-	-	-	-	6,657
Engineering	4,452	1,434	-	-	-	612	-	1,542	-	8,040
EH&S	-	-	-	-	-	-	-	22,957	-	22,957
Earth Sciences	2,828	-	-	1,689	-	-	-	495	-	5,012
Facilities	3,967	10,474	-	-	-	-	2,293	36,201	-	52,936
Genomics	426	-	-	-	-	-	-	-	-	426
Genomics - JGI	-	-	-	397	-	-	-	-	-	397
Lab Directorate	-	-	-	-	-	10,649	-	-	-	10,649
Life Sciences	5,200	538	-	2,108	-	-	-	-	-	7,845
Materials Sciences	3,105	309	-	1,492	-	-	-	-	-	4,907
Nuclear Science	1,411	-	-	1,076	-	-	-	-	-	2,487
ALD for Operations	-	3,803	-	-	3,801	9,077	-	6,688	-	23,370
Physical Biosciences	2,587	3,983	-	1,491	-	-	-	-	-	8,061
Physics	1,448	-	-	1,721	-	-	-	-	-	3,169
Other (d)	-	-	-	-	-	6,178	-	-	-	6,178
Division Total	41,408	29,126	207	19,596	3,801	48,687	10,149	76,421	1,546	230,940

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 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 (General Laboratory).

Table 1.4

Average FTE Breakdown by Division, FY2009 (\$K)

Division	Direct Funded FTEs				Indirect Funded FTEs				Total FTEs
	DOE Operating (a)	WFO (b)	Capital & Equipment	Direct Funded Total	Org. Burden	Service Centers (c)	Operations Overhead (d)	Indirect Funded Total	
Accelerator & Fusion Research	71.7	6.5	17.8	96.0	10.0	0.4	9.9	20.4	116.3
Advanced Light Source	174.5	0.1	5.9	180.6	13.1	-	8.1	21.3	201.8
Chief Financial Officer Organization	0.0	-	-	0.0	-	-	137.2	137.2	137.2
Chemical Sciences	64.8	1.6	0.2	66.6	6.6	-	4.4	10.9	77.5
Computing Sciences	152.0	9.1	-	161.2	37.6	-	10.2	47.8	208.9
Environmental Energy Technologies	109.0	56.5	-	165.6	25.5	8.8	7.3	41.6	207.1
Engineering	3.1	3.7	6.8	13.6	27.0	8.0	8.6	43.7	57.3
EH&S	3.4	-	-	3.4	-	-	111.6	111.6	115.0
Earth Sciences	85.5	27.2	0.8	113.4	15.6	-	5.6	21.2	134.7
Facilities	6.3	-	14.6	20.9	22.1	5.2	151.9	179.2	200.2
Genomics	9.3	14.2	-	23.4	3.4	-	1.7	5.1	28.5
Genomics - JGI	172.5	9.5	-	182.0	-	-	0.1	0.1	182.0
Information Technology	6.2	-	-	6.2	15.5	26.3	95.8	137.6	143.7
Lab Directorate	0.2	-	-	0.2	-	-	53.0	53.0	53.3
Life Sciences	55.3	161.8	-	217.1	41.2	3.4	11.0	55.6	272.7
Materials Sciences	214.7	37.0	2.5	254.2	21.3	1.7	9.2	32.2	286.4
Nuclear Science	78.6	22.5	6.8	108.0	10.1	-	4.7	14.8	122.8
ALD for Operations	2.4	-	-	2.4	-	11.7	78.6	90.3	92.7
Physical Biosciences	124.4	29.3	0.8	154.5	17.8	0.9	7.5	26.1	180.7
Physics	83.1	3.2	15.8	102.1	10.5	-	8.0	18.4	120.5
Division Total	1,417.1	382.2	72.0	1,871.2	277.3	66.5	724.4	1,068.2	2,939.4

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 Paid Leave Factor (PLF).
- FTE calculation does not include Contract Labor or Campus Labor.
- Total FTE excludes 42.9 FTEs from "Funds Held for Others Costs" projects (see table 1.5 for examples).

(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, Site Support, LDRD, Institutional General Plant Projects (IGPP), Procurement, Travel, Payroll Burden, and LBNL's Office of Homeland Security.

Table 1.5

Funds Held for Others' Costs, FY2005 - FY2009 (\$K)

Funding Source	FY2005	FY2006	FY2007	FY2008	FY2009
Royalty	1,391	1,809	2,031	1,678	1,509
Contractor Supporting Research (CSR)	-	151	2,108	2,051	1,515
Gifts	-	267	429	889	1,324
Inter-Location Appointments (ILA)	679	1,402	2,089	2,960	3,478
UC Construction Projects	-	-	625	1,126	1,170
University of California Directed Research and Development (UCDRD)	2,604	165	-	-	-
UC Bid Contract Competition	1,848	-	-	-	-
Other	16	79	44	303	98
Total	6,538	3,873	7,326	9,007	9,094

Note: Minor variances may occur due to rounding.
FY2005 to FY2008 figures restated from prior year annual report due to change in data gathering methodology.

20
09 | 2. Direct Funding — DOE and Reimbursable Work

Direct Funding — DOE and Reimbursable Work

Total Laboratory Funding – Increase \$290.6M

Total funding increased \$290.6M to a total of \$908.2M; \$213.7M or 74% of the increase was related to the American Recovery and Reinvestment Act (ARRA) funded projects. The increase was primarily for DOE operations and maintenance projects in the amount of \$248.2M (\$182.4M ARRA). Funding for DOE construction projects increased \$41.9M (\$29.5M ARRA) and overall funding from other non-DOE sponsors increased \$0.5M.

Operations and Maintenance Funding – Increase \$248.2M

DOE Operations and Maintenance (O&M) new funding (budget authority) provided to the Laboratory totaled \$735.3M in FY2009, an increase of \$248.2M (\$182.4M ARRA) over FY2008 funding. O&M funding provides for the execution of direct operations, the purchase of equipment, accelerator improvement projects, and the construction of general plant projects. While LBNL experienced increases in funding levels provided by all Assistant Secretarial Offices, the FY2009 funding increase was provided almost entirely by the Office of Science with a funding increase of \$228.3M (92% of the total O&M increase). Energy Efficiency and Renewable Energy (EERE) was the next highest funder of the increase at \$15.4M (\$3.7M ARRA) over FY2008 levels.

Office of Science's Advanced Scientific Computing Research program (ASCR) increased funding by \$80.5M to \$182.6M in total. Computing Sciences continued to receive ASCR funding for ESnet and NERSC to expand services provided to the DOE community in areas of networking and supercomputing. This represents an increase for bandwidth upgrades to the Science Data Network and the purchase of a next generation computer system under the NERSC 6 project. Additionally, Computing Sciences received \$82.3M of ARRA funds primarily for the Advanced Network Initiative (\$61.8M) to build a prototype 100Gbps network connecting four Office of Science sites, the LBNL Magellan Project (\$16.4M) to purchase a cluster computer system to be incorporated into a cloud computing project, including hiring post-doctoral researchers to support application and tool development for key research areas, and for the Petascale Initiative (\$3.1M).

The Office of Science's High Energy Physics (HEP) program funding increased by a total of \$33.9M in the O&M category. This was primarily due to funding of \$25M for the Advanced Plasma Acceleration Facility (BELLA) project (\$17M ARRA) and an increase in funding related to the Daya Bay project (\$5.5M) and the Joint Dark Energy Mission (JDEM) of \$2.3M.

The Office of Science's Basic Energy Sciences Program (BES) funding increased \$40M in total over FY2008 levels. Three primary drivers were: 1) increases in funding across various projects within the Materials Sciences and Engineering subprogram for the National Center for Electron Microscopy (NCEM) User Facility (\$1.2M), the Molecular Foundry, a Nanoscale Science Research Center User Facility, (\$3.4), Advance Light Source AIP (\$3.5M), and the Microscopic and Electronic Structure Observatory (\$4.4M); 2) a new Energy Frontier Research Center for \$3.1M; and 3) ARRA funding related to ALS projects (\$11.3M) and Molecular Foundry equipment funding (\$5.9M).

The \$16.9M increase in the Office of Science's Biological Environmental Research (BER) program is due to ARRA funded initiatives (\$17.2M) which offset a slight decrease in non-ARRA funding year to year. The Joint Genome Institute (JGI) received \$13.1M in ARRA funds for the purchase of Phases 1 - 3 O&M equipment, such as computational hardware, reagents and sequencers. Physical Bio-science's Joint BioEnergy Institute (JBEI) project received \$4.0M in ARRA funding.

The Office of Science Fusion Energy Sciences program increased FY2009 funding, providing \$11.0M of ARRA funds for the HEDLP NDCX-II.

The Science Laboratories Infrastructure program increased by \$37.3M over FY2008 levels primarily due to ARRA funding for General Plant Projects (\$16.3M) to upgrade several buildings and provide for a transformer bank upgrade as well as accelerated funding for the ongoing Bevatron Demolition project (\$14.3M). This facility demolition project appropriately disposes of Building 51 and the accelerator in order to free the site of excess, underutilized space. It is a multi-year project that is currently planned for completion in FY2012.

Direct Funding — DOE and Reimbursable Work Continued

DOE'S Energy Efficiency and Renewable Energy (EERE) program funding increased \$16.4M in total (ARRA \$3.7M). Projects included: Geothermal (ESD), Hybrid Electric Systems and Equipment Standards and Analysis (EETD).

DOE Construction Funding – Increase \$41.9M

The total line-item construction funding provided by the Office of Science in FY2009 was \$56.2M, a \$41.9M funding increase (ARRA \$29.6M). Basic Energy Sciences (BES) funding increased \$21.1M (ARRA \$14.6M) due to the acceleration of the ALS User Support Building construction. Scientific Laboratories Infrastructure Funding increased \$20.8M primarily due to the Seismic Safety Upgrade Phase 2 project (ARRA \$15.0M). Both are multi-year projects that moved into the construction phase in FY2008.

Other Direct Operating Funding – Increased \$0.5M

In FY2009, overall funding from DOE Integrated Contractors and non-DOE Work-for-Others sponsors increased by \$0.5M in total. A \$5.2M decrease in funding from Other Federal Agencies was offset by a \$4.9M increase in funding from non-Federal sponsors and a \$0.7M increase in DOE Integrated Contractor funding. Funding for Cooperative Research and Development Agreements (CRADAs) was essentially flat when compared with FY2008.

Funding from Other Federal Agencies decreased \$5.2M or 9% in FY2009. The overall decrease is attributed to \$7.9M in funding deobligations as a result of the Legacy Balance Clean-up Project. Funding amounts were significantly reduced for the following agencies; Environmental Protection Agency (EPA) \$2.8M, National Institutes of Health (NIH) \$2.8M, and Department of Defense (DOD) \$1.2M. After adjusting for the legacy deobligations, funding from Other Federal Agencies increased by \$2.7M or 4%. This increase was primarily due to a \$3.5M increase in funding from the Department of Defense for breast cancer and environmental technologies research as well as a \$2.5M increase across various Other Federal Agencies offset by a \$3.3M decrease from NIH.

Non-Federal funding increased \$4.9M or 10% in FY2009. The largest increase was in the funding category Universities and Institutes. This increase is primarily driven by \$2.4M from the Energy Biosciences Institute (EBI) spread across multiple LBNL divisions, \$2.4M from the University of California, Berkeley which includes work for the National Science Foundation's (NSF) DUSEL and GEOTRACES projects, \$1.2M from the University of Maryland, Baltimore to Computing Sciences, Genomics and Earth Sciences for work on the NIH Human Genome Project (HGP) offset by a \$1.3M drop from the University of Wisconsin for the Ice Cube project which continues to ramp down.

Data sources for tables in this section are as follows:

Data Type	Source
FY2009 Beginning Uncosted Obligations	Carryover Funding as provided in the LBNL final FY2008 Contract Modification (GSO)
FY2009 Funds	Budget Authority as provided in the LBNL contract modification for the fiscal year
FY2009 Costs	LBNL published Fiscal Year End Costs
FY2009 Ending Uncosted Obligations	DOE - Beginning Uncosted + Funds – Costs WFO - The sum of FY2009 Beginning Uncosted, FY2009 Funds and FY2009 Costs for the "Other Direct Operating" categories does not equal FY2008 Ending Uncosted Obligations due to various adjustments not reflected in the FY2008 Costs column. Examples of these adjustments include UC Bridge Funding, suspense items, and Federal Administrative Charge. The total of these adjustments for FY2009 is (\$0.8M) .

Table 2.1

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

LBNL Fund Trends (BA) by funding source (\$K)	FY2005	FY2006	FY2007	FY2008	FY2009 (a)
DOE DIRECT OPERATING					
Administrator for National Nuclear Security Administration	4,712	6,045	5,387	5,179	5,863
Assistant Secretary for Energy Efficiency and Renewable Energy	26,701	20,516	26,520	27,102	43,507
Assistant Secretary for Environmental Management	4,037	3,861	1,709	-	425
Assistant Secretary for Fossil Energy	5,859	7,017	6,328	8,124	10,668
Assistant Secretary for Nuclear Energy	-	-	-	788	825
Assistant Secretary for Policy and International Affairs	-	10	(0)	65	100
Office of Civilian Radioactive Waste Management	3,151	2,331	1,387	(0)	35
Office of Electricity Delivery and Energy Reliability	4,500	4,486	7,213	4,970	7,427
Office of Energy and Threat	-	-	-	65	300
Office of Health Safety and Security	724	611	564	413	385
Office of Intelligence	-	-	-	-	-
Office of Science	267,062	299,606	329,097	371,361	503,087
Office of the Chief Financial Officer	-	(1)	-	-	28
Office of the Chief Information Officer	-	(0)	-	-	-
Technical Analysis	220	-	(0)	-	-
Total DOE Direct Operating	316,966	344,482	378,206	418,067	572,649
OTHER DIRECT OPERATING					
Work for Others - Federal Agencies	71,879	60,209	83,164	61,640	56,474
Work for Non-Federal Sponsors (b)	48,036	57,078	38,529	43,882	48,816
Cooperative Research and Development Agreements	554	633	(1,419)	539	505
Work for Others - DOE Integrated Contractors (c)	13,092	15,859	14,747	10,296	11,015
Total Other Direct Operating	133,561	133,779	135,020	116,357	116,810
TOTAL OPERATING	450,526	478,260	513,226	534,424	689,458

continued...

Table 2.1

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

LBNL Fund Trends (BA) by funding source (\$K)	FY2005	FY2006	FY2007	FY2008	FY2009 (a)
DOE PLANT AND CAPITAL EQUIPMENT:					
Basic Equipment/Major Items of Equipment					
Administrator for National Nuclear Security Administration	-	450	340	2,205	340
Assistant Secretary for Energy Efficiency and Renewable Energy	400	345	496	1,097	65
Assistant Secretary for Environmental Management	-	-	(0)	-	-
Assistant Secretary for Fossil Energy	-	(8)	(0)	-	-
Office of Electricity Delivery and Energy Reliability	-	-	-	-	-
Office of Intelligence	(2)	-	-	-	-
Office of Science	47,508	33,211	41,243	58,836	132,728
Total	47,906	33,998	42,079	62,138	133,133
General Plant Projects					
Office of Science	4,765	4,864	4,031	4,775	16,233
Accelerator Improvement Projects					
Office of Science	4,000	1,200	3,866	2,050	13,255
Line-Item Construction					
Administrator for National Nuclear Security Administration	-	-	(1)	-	-
Assistant Secretary for Energy Efficiency and Renewable Energy	(10)	-	-	-	-
Office of Science	37,673	13,290	6,868	14,226	56,158
Total	37,663	13,290	6,867	14,226	56,158
TOTAL DOE PLANT AND CAPITAL EQUIPMENT	94,334	53,352	56,843	83,189	218,779
TOTAL LABORATORY					
	544,860	531,612	570,069	617,613	908,237

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 FY2009: Operating (\$84,226K) and Plant and Equipment (\$129,476K). See Table 3.1 for details.

(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 Others Integrated Contractors is assumed to be equal to cost incurred.

Table 2.2

LBL Cost Trends by Funding Source (\$K) Continued

LBL Spending Trends by funding source (\$K)	FY2005	FY2006	FY2007	FY2008	FY2009 (a)
DOE DIRECT OPERATING					
Administrator for National Nuclear Security Administration	5,689	6,078	6,194	5,703	5,853
Assistant Secretary for Energy Efficiency and Renewable Energy	25,844	22,337	18,050	24,059	28,387
Assistant Secretary for Environmental Management	3,130	3,603	2,293	242	341
Assistant Secretary for Fossil Energy	4,807	5,012	5,796	7,060	6,840
Assistant Secretary for Nuclear Energy	-	-	-	206	964
Assistant Secretary for Policy and International Affairs	-	4	6	-	66
Office of Civilian Radioactive Waste Management	1,785	3,000	1,154	2,078	222
Office of Electricity Delivery and Energy Reliability	3,650	5,761	4,339	4,242	6,015
Office of Health Safety and Security	684	576	563	542	390
Office of Intelligence	86	-	-	-	-
Office of Science	258,899	270,841	299,767	361,416	392,951
Office of the Chief Financial Officer	-	-	-	-	13
Office of the Chief Information Officer	179	-	-	-	-
Technical Analysis	161	59	-	-	-
Total DOE Direct Operating	304,913	317,272	338,161	405,548	442,043
OTHER DIRECT OPERATING					
Work for Others - Federal Agencies	70,496	69,449	67,284	64,195	64,754
Work for Non-Federal Sponsors (b)	44,047	49,670	45,627	43,412	44,604
Cooperative Research and Development Agreements	443	642	128	452	250
Work for Others - DOE Integrated Contractors	13,092	15,859	14,747	10,296	11,015
Total Other Direct Operating (c)	128,077	135,620	127,786	118,355	120,622
TOTAL OPERATING	432,991	452,892	465,947	523,904	562,665

continued...

Table 2.2

LBNL Cost Trends by Funding Source (\$K) Continued

LBNL Spending Trends by funding source (\$K)	FY2005	FY2006	FY2007	FY2008	FY2009 (a)
DOE PLANT AND CAPITAL EQUIPMENT					
Basic Equipment/Major Items of Equipment					
Administrator for National Nuclear Security Administration	-	168	267	1,343	1,331
Assistant Secretary for Energy Efficiency and Renewable Energy	248	312	319	763	1,070
Assistant Secretary for Environmental Management	-	-	-	-	-
Assistant Secretary for Fossil Energy	41	9	-	-	-
Office of Electricity Delivery and Energy Reliability	-	-	-	-	-
Office of Intelligence	-	-	-	-	-
Office of Science	49,491	32,243	37,242	47,907	46,645
Total	49,780	32,733	37,828	50,013	49,045
General Plant Projects					
Office of Science	1,533	4,135	6,082	4,340	5,098
Accelerator Improvement Projects					
Office of Science	1,715	2,453	2,038	2,680	1,268
Line-Item Construction					
Administrator for National Nuclear Security Administration	-	-	-	-	-
Assistant Secretary for Energy Efficiency and Renewable Energy	-	-	-	-	-
Office of Science	37,819	24,941	4,487	8,561	29,673
Total	37,819	24,941	4,487	8,561	29,673
TOTAL DOE PLANT AND CAPITAL EQUIPMENT	90,847	64,262	50,435	65,595	85,084
TOTAL LABORATORY					
	523,837	517,155	516,382	589,498	647,749
<p>Note: Minor variances may occur due to rounding. Data Source: LBNL published Fiscal Year End Costs. (a) Includes costs for American Recovery and Reinvestment Act (ARRA) in FY2009: Operating (\$4,489K) and Plant and Equipment (\$6,482K). See Table 3.1 for details. (b) Includes costs for Non-Federal Sponsors who are precluded by law from paying an advance under the WN02 program. (c) FY2009 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 FY2009 is (\$808K).</p>					

Table 2.3

Laboratory Funding and Costs by Source (\$K)

LBNL FY2009 Funding and Cost by Source (\$K)	FY2009 Beginning Uncosted Obligations	FY2009 Funds	FY2009 Costs	FY2009 Ending Uncosted Obligations
DOE DIRECT OPERATING				
Administrator for National Nuclear Security Administration	3,115	5,863	5,853	3,125
Assistant Secretary for Energy Efficiency and Renewable Energy	17,604	43,507	28,387	32,724
Assistant Secretary for Environmental Management	972	425	341	1,056
Assistant Secretary for Fossil Energy	9,202	10,668	6,840	13,030
Assistant Secretary for Nuclear Energy	583	825	964	444
Assistant Secretary for Policy and International Affairs	65	100	66	99
Office of Civilian Radioactive Waste Management	274	35	222	87
Office of Electricity Delivery and Energy Reliability	5,897	7,427	6,015	7,309
Office of Energy and Threat	65	300	-	365
Office of Health Safety and Security	154	385	390	149
Office of Science	119,273	503,087	392,951	229,408
Office of the Chief Financial Officer	-	28	13	15
Total DOE Direct Operating	157,204	572,649	442,043	287,810
OTHER DIRECT OPERATING				
Work for Others - Federal Agencies	78,315	56,474	64,754	70,393
Work for Non-Federal Sponsors (a)	24,947	48,816	44,604	29,602
Cooperative Research and Development Agreements	335	505	250	596
Work for Others - DOE Integrated Contractors (b)	-	11,015	11,015	-
Total Other Direct Operating (c)	103,596	116,810	120,622	100,591
TOTAL OPERATING	260,800	689,458	562,665	388,401

continued...

Table 2.3

Laboratory Funding and Costs by Source (\$K) Continued

LBNL FY2009 Funding and Cost by Source (\$K)	FY2009 Beginning Uncosted Obligations	FY2009 Funds	FY2009 Costs	FY2009 Ending Uncosted Obligations
DOE PLANT AND CAPITAL EQUIPMENT				
Basic Equipment/Major Items of Equipment				
Administrator for National Nuclear Security Administration	1,218	340	1,331	227
Assistant Secretary for Energy Efficiency and Renewable Energy	1,180	65	1,070	175
Office of Science	46,387	132,728	46,645	132,470
Total	48,785	133,133	49,045	132,873
General Plant Projects				
Office of Science	3,763	16,233	5,098	14,897
Accelerator Improvement Projects				
Office of Science	2,977	13,255	1,268	14,964
Line-Item Construction				
Office of Science	23,256	56,158	29,673	49,742
TOTAL DOE PLANT AND CAPITAL EQUIPMENT	78,781	218,779	85,084	212,476
TOTAL LABORATORY (d)	339,581	908,237	647,749	600,877
Note: Minor variances may occur due to rounding. (a) Includes funding for Non-Federal Sponsors who are precluded by law from paying an advance under the WN02 program. (b) Total funding for Work for Others Integrated Contractors is assumed to be equal to cost incurred. (c) The sum of FY2009 Beginning Uncosted Obligations and FY2009 Funds, minus, FY2009 Costs does not equal FY2009 Ending Uncosted Obligations due to various adjustments not reflected in the FY2009 Costs column. Examples of these adjustments include bridge funding, suspense items, and Federal Administrative Charge. The total of these adjustments for FY2009 is (\$808K). (d) Includes American Recovery and Reinvestment Act (ARRA) funds and costs: Operating (\$84,226K, \$4,489K) and Plant and Equipment (\$129,476K, \$6,482K). See Table 3.1 and 3.2 for details.				

Table 2.4

DOE Programs (\$K)

ADMINISTRATOR FOR NATIONAL NUCLEAR SECURITY ADMINISTRATION		FY2009 Beginning Uncosted Obligations	FY2009 Funds	FY2009 Costs	FY2009 Ending Uncosted Obligations
Operating:					
DP12	Science Campaign	0	-	-	0
DP15	Advanced Simulation and Computing Campaign	0	-	-	0
FS21	Cyber Security	0	113	79	34
NN20	Nonproliferation And Verification Research And Development	1,566	5,911	4,928	2,549
NN40	Nonproliferation and International Security	425	215	411	229
NN41	Global Initiative for Proliferation Prevention	1,123	(375)	435	313
Total Operating		3,115	5,863	5,853	3,125
Capital Equipment:					
NN20	Nonproliferation And Verification Research And Development	1,218	340	1,331	227
Total Capital Equipment		1,218	340	1,331	227
TOTAL ADMINISTRATOR FOR NATIONAL NUCLEAR SECURITY ADMINISTRATION		4,333	6,203	7,184	3,352
Note: Minor variances may occur due to rounding.					

continued...

Table 2.4a

DOE Programs (\$K) Continued

OFFICE OF SCIENCE		FY2009 Beginning Uncosted Obligations	FY2009 Funds	FY2009 Costs	FY2009 Ending Uncosted Obligations
AT50	Fusion Energy Sciences - Science	455	4,941	4,948	448
FS10	Safeguards and Security - Science	440	5,537	5,062	915
KA11	Proton Accelerator-Based Physics	1,050	12,967	11,207	2,810
KA12	Electron Accelerator-Based Physics	137	568	631	75
KA13	Non-Accelerator-Based Physics	3,948	13,009	8,807	8,151
KA14	Theoretical Physics	2,909	6,182	5,186	3,905
KA15	Advanced Technology R&D	2,568	13,247	10,306	5,509
KB02	Heavy-Ion Physics	3,591	6,733	6,941	3,383
KB03	Nuclear Theory	470	3,403	2,112	1,761
KB04	Low Energy Physics	2,745	10,004	9,666	3,083
KC02	Materials Sciences and Engineering	16,501	101,877	93,897	24,481
KC03	Chemical Sciences, Geosciences, and Energy Biosciences	8,773	28,027	24,905	11,895
KG06	Excess Facilities Disposition	16,809	29,145	9,226	36,728
KG08	Safety-Related Corrective Actions	4	-	-	4
KJ01	Mathematical, Information, And Computational Sciences	16,826	(612)	14,604	1,610
KJ04	Mathematical, Computational, and Computer Sciences Research	-	23,339	10,767	12,572
KJ05	High Performance Computing and Network Facilities	-	126,739	61,276	65,463
KL01	Undergraduate Research Internships	178	296	361	113
KL02	Graduate/Faculty Fellowships	314	450	373	391
KP11	Life Sciences	14,954	36	3,483	11,507
KP12	Climate Change Research	1,605	4,959	3,843	2,722
KP13	Environmental Remediation	887	(23)	355	509
KP14	Medical Applications and Measurement Science	50	(8)	42	0
KP15	Biological Research	24,057	112,183	104,930	31,310
KX01	Science Program Direction	-	89	26	63
TOTAL OPERATING		119,273	503,087	392,951	229,408

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continued...

Table 2.4a

DOE Programs (\$K) Continued

OFFICE OF SCIENCE (Continued)		FY2009 Beginning Uncosted Obligations	FY2009 Funds	FY2009 Costs	FY2009 Ending Uncosted Obligations
Capital Equipment					
AT50	Fusion Energy Sciences - Science	2	11,000	387	10,615
FS10	Safeguards and Security - Science	8	(8)	-	-
KA11	Proton Accelerator-Based Physics (a)	456	2,139	1,875	721
KA13	Non-Accelerator-Based Physics	1,826	10,666	5,662	6,830
KA15	Advanced Technology R&D	3,058	28,572	4,614	27,016
KB02	Heavy-Ion Physics	1,205	4,560	3,236	2,529
KB04	Low Energy Physics	8,147	5,112	4,842	8,418
KC02	Materials Sciences and Engineering	11,821	21,665	10,097	23,389
KC03	Chemical Sciences, Geosciences, and Energy Biosciences	1,947	3,693	1,992	3,649
KJ01	Mathematical, Information, And Computational Sciences	10,611	-	7,929	2,683
KJ05	High Performance Computing and Network Facilities	-	33,154	1,766	31,388
KP11	Life Sciences	798	(39)	689	71
KP12	Climate Change Research	0	290	-	290
KP13	Environmental Remediation	153	-	152	2
KP14	Medical Applications and Measurement Science	3	(3)	-	-
KP15	Biological Research	6,350	11,926	3,406	14,871
Total Capital Equipment		46,387	132,728	46,645	132,470
Note: Minor variances may occur due to rounding. (a) Includes General Purpose Equipment activity.					
General Plant Projects					
KA11	Proton Accelerator-Based Physics (b)	3,095	-	2,964	131
KC02	Materials Sciences and Engineering	600	-	450	150
KG09	General Plant Projects	0	16,300	1,684	14,616
KP11	Life Sciences	67	(67)	-	0
Total General Plant Projects		3,763	16,233	5,098	14,897

continued...

Table 2.4a

DOE Programs (\$K) Continued

OFFICE OF SCIENCE (Continued)		FY2009 Beginning Uncosted Obligations	FY2009 Funds	FY2009 Costs	FY2009 Ending Uncosted Obligations
Accelerator Improvement Projects					
KC02	Materials Sciences and Engineering	2,977	11,375	1,157	13,195
KB04	Low Energy Physics	-	1,880	111	1,769
Total Accelerator Improvement Projects		2,977	13,255	1,268	14,964
Line-Item Construction					
39KC	Basic Energy Sciences	3,560	26,046	10,237	19,369
39KG	Science Laboratories Infrastructure	19,697	30,112	19,436	30,373
Total Line-Item Construction		23,256	56,158	29,673	49,742
TOTAL OFFICE OF SCIENCE		\$195,656	\$721,460	\$475,634	\$441,482
Note: Minor variances may occur due to rounding. (b) Includes General Purpose GPP activity.					

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continued...

Table 2.4b

DOE Programs (\$K) Continued

ASSISTANT SECRETARY FOR ENERGY EFFICIENCY AND RENEWABLE ENERGY		FY2009 Beginning Uncosted Obligations	FY2009 Funds	FY2009 Costs	FY2009 Ending Uncosted Obligations
Operating					
BM01	Biomass/Biofuels Energy Systems	478	160	303	336
BT01	Residential Buildings	525	830	902	453
BT02	Commercial Buildings Integration	1,277	505	900	882
BT03	Emerging Technologies	522	4,389	3,056	1,854
BT04	Equipment Standards and Analysis	1,004	4,201	2,896	2,309
BT05	Technical Program Management Support	9	-	-	9
BT07	Technology Validation and Market Distribution	38	212	68	182
EB21	Solar Energy	132	1,187	278	1,041
EB25	Wind Energy Systems	745	434	490	689
EB40	Geothermal	1,175	7,872	1,526	7,520
EB42	Hydrogen Research R&D	1,144	4,187	1,924	3,406
EB51	Energy Efficiency and Renewable Energy Program Direction	-	200	29	171
EB55	Department Energy Management Program	215	-	164	50
EB57	Energy Efficiency and Renewable Energy (EERE) Program Support	124	40	146	18
ED18	Industries Of The Future (Specific)	4	102	33	73
ED19	Industries Of The Future (Crosscutting)	1,601	2,556	2,117	2,040
ED22	Technical Program Management Support	36	-	(1)	37
EH25	Planning, Evaluation and Analysis	3	-	3	0
EL17	Federal Energy Management Program	1,880	3,695	2,343	3,232
EO01	Distributed Energy Resources	0	-	-	0
HI03	Stack Component R&D	0	-	0	0
VT02	Technology Integration	-	533	35	499
VT03	Hybrid and Electric Propulsion	55	-	55	0
VT05	Materials Technology	0	100	-	100
VT11	Hybrid Electric Systems	3,313	11,802	9,892	5,224
WI01	Inter-governmental Activities	12	-	-	12
WI03	State Energy Program (Grants)	111	400	73	438
WI04	Other State Energy Activities	1,001	-	637	365
WI05	Gateway Deployment	116	-	11	105
WI06	Inter-governmental Activities	2,061	100	490	1,671
WI07	Weatherization Assistance Program	24	-	17	7
Total Operating		17,604	43,507	28,387	32,724

continued...

Table 2.4b

DOE Programs (\$K) Continued

ASSISTANT SECRETARY FOR ENERGY EFFICIENCY AND RENEWABLE ENERGY (Continued)		FY2009 Beginning Uncosted Obligations	FY2009 Funds	FY2009 Costs	FY2009 Ending Uncosted Obligations
Capital Equipment					
BT03	Emerging Technologies	94	-	93	1
EB42	Hydrogen Research R&D	100	65	117	48
VT03	Hybrid and Electric Propulsion	65	-	55	10
VT11	Hybrid Electric Systems	922	-	805	117
Total Capital Equipment		1,180	65	1,070	175
TOTAL ASSISTANT SECRETARY FOR ENERGY EFFICIENCY AND RENEWABLE ENERGY		18,785	43,572	29,457	32,899
Note: Minor variances may occur due to rounding.					

continued...

DOE Programs (\$K) Continued

OFFICE OF ELECTRICITY DELIVERY AND ENERGY RELIABILITY		FY2009 Beginning Uncosted Obligations	FY2009 Funds	FY2009 Costs	FY2009 Ending Uncosted Obligations
Operating					
TD50	Research and Development	922	3,805	2,246	2,481
TD52	Electricity Restructuring	0	100	-	100
TD54	Operations and Analysis	4,974	3,522	3,769	4,727
Total Operating		5,897	7,427	6,015	7,309
TOTAL OFFICE OF ELECTRICITY DELIVERY AND ENERGY RELIABILITY		5,897	7,427	6,015	7,309
ASSISTANT SECRETARY FOR FOSSIL ENERGY		FY2009 Beginning Uncosted Obligations	FY2009 Funds	FY2009 Costs	FY2009 Ending Uncosted Obligations
Operating					
AA15	Advanced Research	35	(0)	21	15
AA20	Central Systems	751	2,080	1,037	1,795
AA25	Fuel Cells	0	300	112	188
AA30	Sequestration	5,722	6,348	3,708	8,362
AB05	Natural Gas Technologies	415	1,030	817	628
AC10	Oil Technology	1,677	50	543	1,184
AD20	Contractual Services And Supplies	6	200	5	201
AE10	Advanced Metallurgical Processes	1	-	-	1
AY05	Clean Coal Power Initiative	30	660	45	645
CE03	Center for Zero Emissions Technology - Montana State	564	-	553	11
Total Operating		9,202	10,668	6,840	13,030
TOTAL ASSISTANT SECRETARY FOR FOSSIL ENERGY		9,202	10,668	6,840	13,030
Note: Minor variances may occur due to rounding.					

continued...

Table 2.4d

DOE Programs (\$K) Continued

OFFICE OF CIVILIAN RADIOACTIVE WASTE MANAGEMENT		FY2009 Beginning Uncosted Obligations	FY2009 Funds	FY2009 Costs	FY2009 Ending Uncosted Obligations
Operating					
DF01	First Repository	67	-	22	45
DF09	Program Support	207	35	200	42
Total Operating		274	35	222	87
Total Office of Civilian Radioactive Waste Management		274	35	222	87
ASSISTANT SECRETARY FOR ENVIRONMENTAL MANAGEMENT		FY2009 Beginning Uncosted Obligations	FY2009 Funds	FY2009 Costs	FY2009 Ending Uncosted Obligations
Operating					
EY40	Defense Site Acceleration Completion - Technology Development and Deployment	-	350	164	186
EY80	Defense Environmental Cleanup - Program Support	-	75	35	40
EZ06	Non-Defense Site Acceleration Completion - 2006 Accelerated Completions	0	-	-	0
EZ50	Non-Defense Environmental Cleanup - Small Sites	972	-	142	830
Total Operating		972	425	341	1,056
Total Assistant Secretary for Environmental Management		972	425	341	1,056
Note: Minor variances may occur due to rounding.					

continued...

DOE Programs (\$K) Continued

OFFICE OF HEALTH SAFETY AND SECURITY		FY2009 Beginning Uncosted Obligations	FY2009 Funds	FY2009 Costs	FY2009 Ending Uncosted Obligations
Operating					
HA10	Worker Advocacy	0	-	-	0
HD10	Other Defense Activities (Operating)	0	-	-	0
HD20	Health	0	-	-	0
HQ10	Employee Compensation	9	35	37	7
HU20	Health	145	350	353	141
Total Operating		154	385	390	149
TOTAL OFFICE OF HEALTH SAFETY AND SECURITY		154	385	390	149
ASSISTANT SECRETARY FOR NUCLEAR ENERGY		FY2009 Beginning Uncosted Obligations	FY2009 Funds	FY2009 Costs	FY2009 Ending Uncosted Obligations
Operating					
AF58	Advanced Fuel Cycle Initiative (AFCI)/Global Nuclear Energy Partnership (GNEP)	583	825	964	444
Total Operating		583	825	964	444
TOTAL ASSISTANT SECRETARY FOR NUCLEAR ENERGY		583	825	964	444
Note: Minor variances may occur due to rounding.					

continued...

Table 2.4f

DOE Programs (\$K) Continued

OFFICE OF ENERGY AND THREAT		FY2009 Beginning Uncosted Obligations	FY2009 Funds	FY2009 Costs	FY2009 Ending Uncosted Obligations
Operating					
GD40	Program Direction	65	300	-	365
Total Operating		65	300	-	365
TOTAL OFFICE OF ENERGY AND THREAT		65	300	-	365
ASSISTANT SECRETARY FOR POLICY AND INTERNATIONAL AFFAIRS		FY2009 Beginning Uncosted Obligations	FY2009 Funds	FY2009 Costs	FY2009 Ending Uncosted Obligations
Operating					
PE01	Policy, Planning And Analysis	65	-	44	21
WA22	Office of International Affairs - Program Direction	-	100	22	78
Total Operating		65	100	66	99
TOTAL ASSISTANT SECRETARY FOR POLICY AND INTERNATIONAL AFFAIRS		65	100	66	99
ASSISTANT SECRETARY OFFICE OF THE CHIEF FINANCIAL OFFICER		FY2009 Beginning Uncosted Obligations	FY2009 Funds	FY2009 Costs	FY2009 Ending Uncosted Obligations
Operating					
CJ01	ARPA-E Projects	-	28	13	15
Total Operating		-	28	13	15
TOTAL ASSISTANT SECRETARY OFFICE OF THE CHIEF FINANCIAL OFFICER		-	28	13	15
Note: Minor variances may occur due to rounding.					

Table 2.5

Other Direct Operating (\$K)

	FY2009 Beginning Uncosted Obligations	FY2009 Funds	FY2009 Costs	FY2009 Ending Uncosted Obligations
Reimbursable Work for Others - Agencies:				
Work for Others - Federal Agencies				
Department of Agriculture	44	24	30	39
Department of Commerce	50	(21)	-	30
Department of Defense	14,622	9,710	9,571	14,921
Department of Interior	339	118	264	219
Department of Homeland Security - Borders & Transportation	-	100	47	53
Department of Homeland Security - Domestic Nuclear Detection Office	333	1,112	1,083	362
Department of Homeland Security - Information Analysis and Infrastructure Protection	0	-	-	1
Department of Homeland Security - Science & Technology	1,986	3,831	3,666	2,147
Department of State - International Affairs & Energy Emergencies	752	-	594	176
Department of State - Other	1,842	1,456	359	2,950
Environmental Protection Agency	4,646	(592)	2,184	1,940
National Aeronautics and Space Administration (NASA)	2,653	2,595	3,274	2,044
National Institutes of Health	48,958	34,800	41,408	42,324
National Science Foundation	226	659	415	488
Nuclear Regulatory Commission	199	737	397	550
Other Federal Agencies - Defense Related	201	335	221	318
Other Federal Agencies - Energy Related	451	447	469	402
Other Energy Related Activities	1,011	1,161	771	1,429
Total Work for Others - Federal Agencies	78,315	56,474	64,754	70,393

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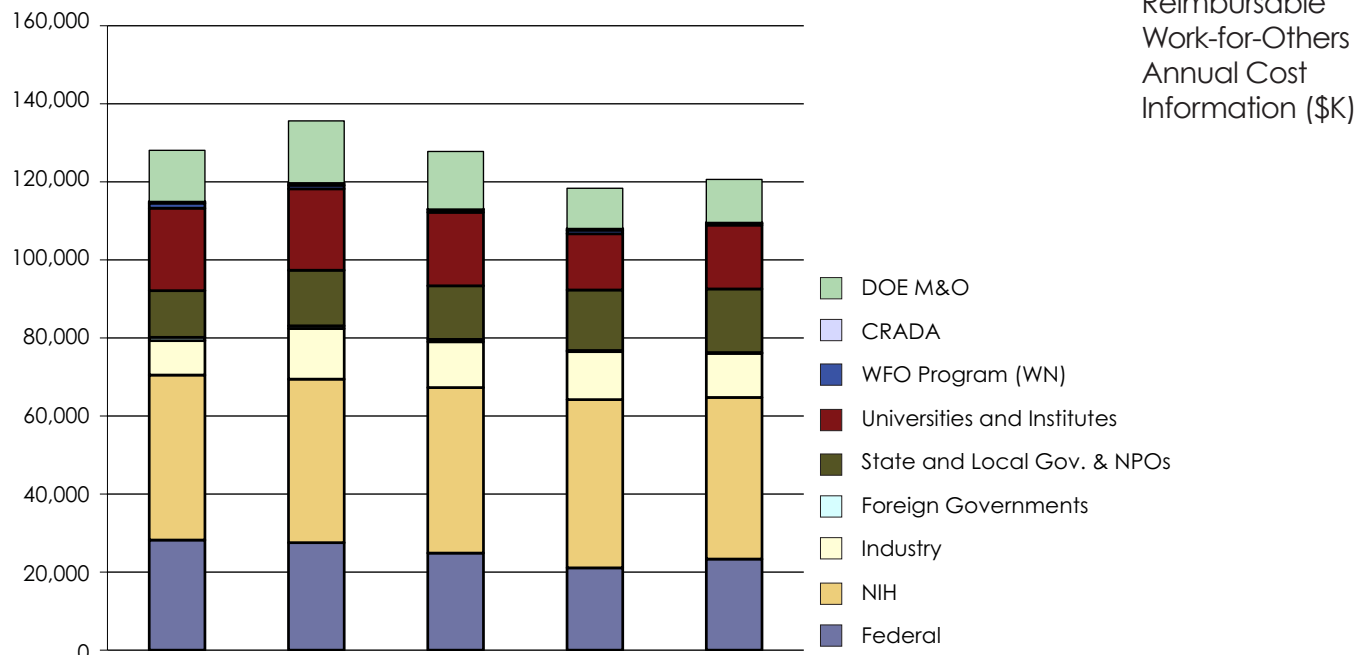
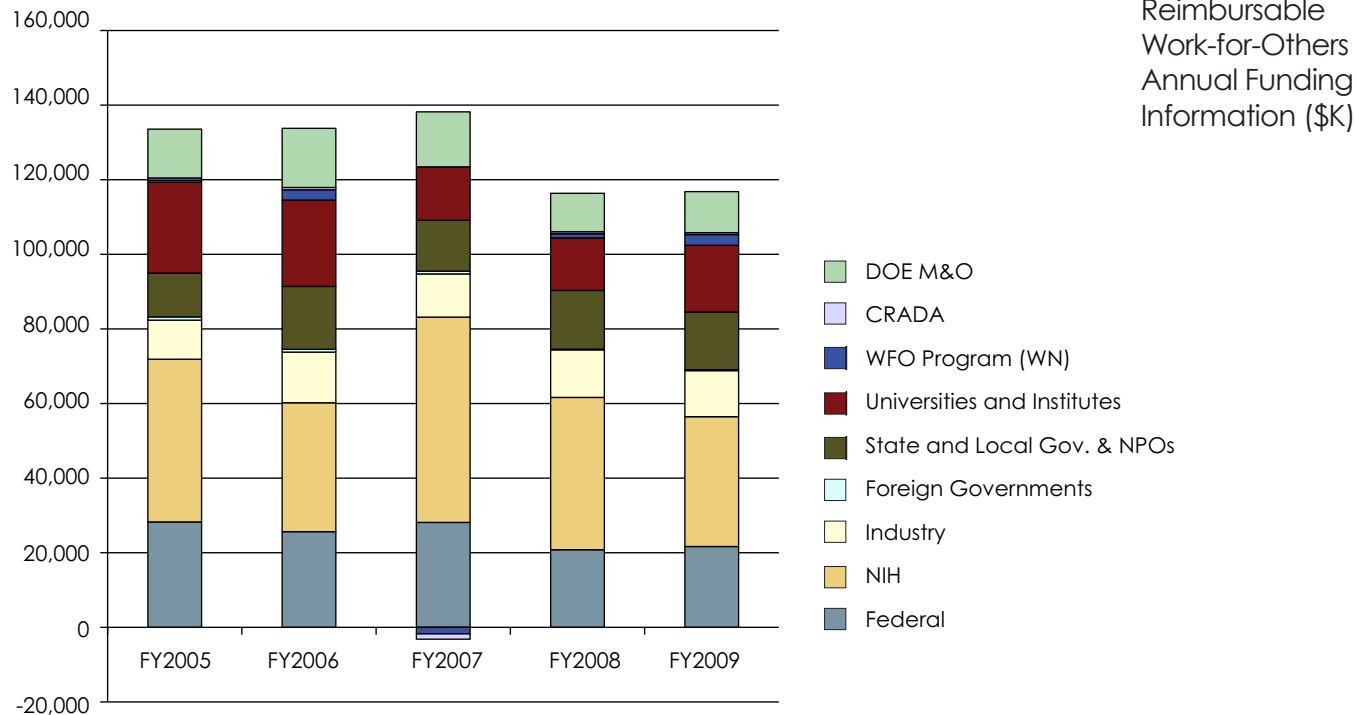
Table 2.5

Other Direct Operating (\$K) Continued

	FY2009 Beginning Uncosted Obligations	FY2009 Funds	FY2009 Costs	FY2009 Ending Uncosted Obligations
Work for Non-Federal Agencies				
Foreign Governments	222	229	217	243
Industry	6,423	12,347	11,288	7,836
State and Local Governments & NPO's	8,422	15,470	16,300	7,859
Universities and Institutes	6,664	17,905	16,364	8,014
Cost of Work for Others Program (WN) (a)	3,217	2,866	437	5,651
Total Work for Non-Federal Agencies	24,947	48,816	44,604	29,602
Cooperative Research and Development Agreements				
CRADA - Small Business	65	2	(10)	77
CRADA - Other	270	502	260	519
Total Cooperative Research and Development Agreements	335	505	250	596
TOTAL REIMBURSABLE WORK FOR OTHERS	103,596	105,795	109,608	100,591
Work for Others - DOE Integrated Contractors				
Work Performed for Other DOE Locations (b)	-	11,015	11,015	-
Total Work for Others -DOE Integrated Contractors	-	11,015	11,015	-
TOTAL OTHER DIRECT OPERATING (c) (d)	103,596	116,810	120,622	100,591
<p>Note: Minor variances may occur due to rounding.</p> <p>(a) Includes funding for Non Federal Sponsors who are precluded by law from paying an advance under the WN02 program.</p> <p>(b) Total funding for Work for Others Integrated Contractors is assumed to be equal to cost incurred.</p> <p>(c) The sum of FY2009 Beginning Uncosted Obligations and FY2009 Funds, minus, FY2009 Costs does not equal FY2009 Ending Uncosted Obligations due to various adjustments not reflected in the FY2009 Costs column. Examples of these adjustments include bridge funding, suspense items, and Federal Administrative Charge. The total of these adjustments for FY2009 is (\$808K).</p> <p>(d) Includes funds and costs for American Recovery and Reinvestment Act (ARRA), (\$1,792K, 40K) see Table 3.2 for details by sponsor.</p>				

Figure 2.1

Sponsored Project Information (\$K)



20
09 | 3. American Recovery and Reinvestment Act of 2009
(ARRA)

Table 3.1

ARRA DOE Programs (\$K)

OFFICE OF SCIENCE ARRA		FY2009 Beginning Uncosted Obligations	FY2009 Funds	FY2009 Costs	FY2009 Ending Uncosted Obligations
Operating:					
KA15	Advanced Technology R&D	–	2,201	400	1,801
KB03	Nuclear Theory	–	950	34	916
KC02	Materials Sciences and Engineering	–	308	–	308
KG06	Excess Facilities Disposition	–	14,301	2,496	11,805
KJ04	Mathematical, Computational, and Computer Sciences Research	–	4,000	–	4,000
KJ05	High Performance Computing and Network Facilities	–	51,386	16	51,370
KP15	Biological Research	–	5,596	1,422	4,174
Total Operating		–	78,742	4,368	74,374
Capital Equipment:					
AT50	Fusion Energy Sciences - Science	–	11,000	385	10,615
KA15	Advanced Technology R&D	–	15,000	–	15,000
KC02	Materials Sciences and Engineering	–	11,408	30	11,378
KJ05	High Performance Computing and Network Facilities	–	26,977	–	26,977
KP15	Biological Research	–	11,565	145	11,421
Total Capital Equipment		–	75,950	560	75,390
Accelerator Improvement Projects:					
KB04	Low Energy Physics	–	1,880	111	1,769
KC02	Materials Sciences and Engineering	–	5,800	8	5,792
Total Accelerator Improvement Projects		–	7,680	119	7,561
General Plant Projects:					
KG09	General Plant Projects	–	16,300	1,684	14,616
Total General Plant Projects		–	16,300	1,684	14,616
Line Item Construction:					
39KC	Basic Energy Sciences	–	14,546	4,118	10,428
39KG	Science Laboratories Infrastructure	–	15,000	1	14,999
Total Line Item Construction		–	29,546	4,119	25,427
TOTAL OFFICE OF SCIENCE		–	208,218	10,850	197,369

Table 3.1

ARRA DOE Programs (\$K) Continued

ASSISTANT SECRETARY FOR ENERGY EFFICIENCY AND RENEWABLE ENERGY		FY2009 Beginning Uncosted Obligations	FY2009 Funds	FY2009 Costs	FY2009 Ending Uncosted Obligations
Operating:					
EB40	Geothermal	-	2,064	-	2,064
EB51	Energy Efficiency and Renewable Energy Program Direction	-	200	29	171
EL17	Federal Energy Management Program	-	1,400	39	1,361
Total Operating		-	3,664	68	3,596
TOTAL ASSISTANT SECRETARY FOR ENERGY EFFICIENCY AND RENEWABLE ENERGY		-	3,664	68	3,596

ASSISTANT SECRETARY OFFICE OF THE CHIEF FINANCIAL OFFICER		FY2009 Beginning Uncosted Obligations	FY2009 Funds	FY2009 Costs	FY2009 Ending Uncosted Obligations
Operating:					
CJ01	ARPA-E Projects	-	28	13	15
Total Operating		-	28	13	15
TOTAL ASSISTANT SECRETARY OFFICE OF THE CHIEF FINANCIAL OFFICER		-	28	13	15

ARRA Other Direct Operating (\$K)

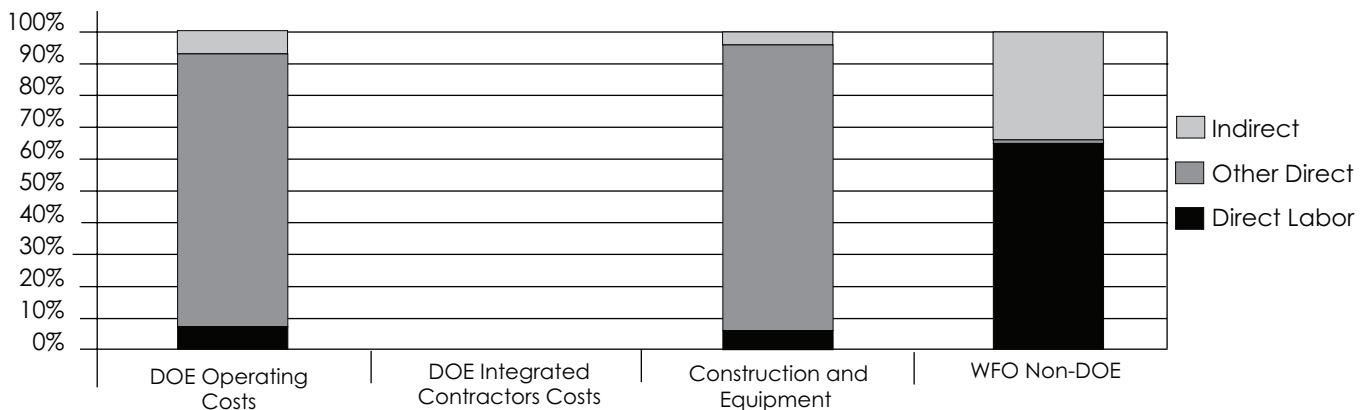
ARRA Related Work for Others	FY2009 Beginning Uncosted Obligations	FY2009 Funds	FY2009 Costs	FY2009 Ending Uncosted Obligations
REIMBURSABLE WORK FOR OTHERS - AGENCIES:				
Work for Others - Federal Agencies				
Dept of Defense		445	0	445
National Institutes of Health		1,322	40	1,281
Total Work for Others - Federal Agencies	-	1,767	40	1,726
Work for Non-Federal Agencies:				
Industry		25	0	25
Total Work for Non-Federal Agencies	-	25	0	25
Total Reimbursable Work for Others	-	1,792	40	1,751
WORK FOR OTHERS - DOE INTEGRATED CONTRACTORS:				
Work Performed for Other DOE Locations	-	-	-	-
Total Work for Others - DOE Integrated Contractors	-	-	-	-
TOTAL OTHER DIRECT OPERATING	-	1,792	40	1,751

Figure 3.1

Where Did Your ARRA Program Dollars Go in FY2009?

Expenses	DOE Operating Costs	DOE Integrated Contractors Costs	Construction and Equipment	WFO Non-DOE
Direct:				
Direct Labor:				
UC Labor (a)	\$0.06	\$0.00	\$0.05	\$0.52
Contract Labor	\$0.00	\$0.00	\$0.00	\$0.00
Organizational Burden (b)	\$0.01	\$0.00	\$0.01	\$0.13
Subtotal Direct Labor	\$0.07	\$0.00	\$0.06	\$0.65
Other Direct:				
Services	\$0.56	\$0.00	\$0.86	\$0.00
Materials	\$0.31	\$0.00	\$0.04	\$0.01
Utilities	\$0.00	\$0.00	\$0.00	\$0.00
Other Expenses (c)	\$0.00	\$0.00	\$0.00	\$0.00
Recharges (b)	\$0.00	\$0.00	\$0.00	\$0.00
Travel	\$0.01	\$0.00	\$0.00	\$0.00
Subtotal Other Direct	\$0.87	\$0.00	\$0.90	\$0.01
Total Direct	\$0.94	\$0.00	\$0.96	\$0.66
Indirect:				
Procurement	\$0.01	\$0.00	\$0.02	\$0.00
Travel	\$0.00	\$0.00	\$0.00	\$0.00
G&A (Other Institutional)	\$0.05	\$0.00	\$0.03	\$0.34
Total Indirect	\$0.06	\$0.00	\$0.04	\$0.34
TOTAL EXPENSES	\$1.00	\$0.00	\$1.00	\$1.00

Note: Minor variances may occur due to rounding.
 (a) UC Labor includes salary and benefits for Scientists/Engineers, Admin., Students/GSRAs and Campus Labor.
 (b) Distributed activities used by direct funded programs.
 (c) Includes miscellaneous expenses (stipends, sales tax, freight, etc.).



ARRA Cost by Expense Category, FY2009 (\$M and % of Total)

Expenses	FY2009	
	\$M	%
Direct:		
Direct Labor:		
UC Labor (a)	0.6	5.9%
Contract Labor	0.0	0.0%
Organizational Burden (b)	0.1	1.0%
Subtotal Direct Labor	0.8	6.9%
Other Direct:		
Services	8.0	73.1%
Materials	1.6	14.6%
Utilities	0.0	0.0%
Other Expenses (c)	0.0	0.0%
Recharges (b)	0.0	0.2%
Travel	0.0	0.2%
Subtotal Other Direct	9.7	88.1%
Total Direct	10.4	95.0%
Indirect:		
Procurement	0.1	1.3%
Travel	0.0	0.0%
G&A (Other Institutional)	0.4	3.6%
Total Indirect	0.5	5.0%
Total Expenses	11.0	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. (c) Includes miscellaneous expenses (stipends, sales tax, freight, etc.).		

Table 3.4

ARRA Job Reporting

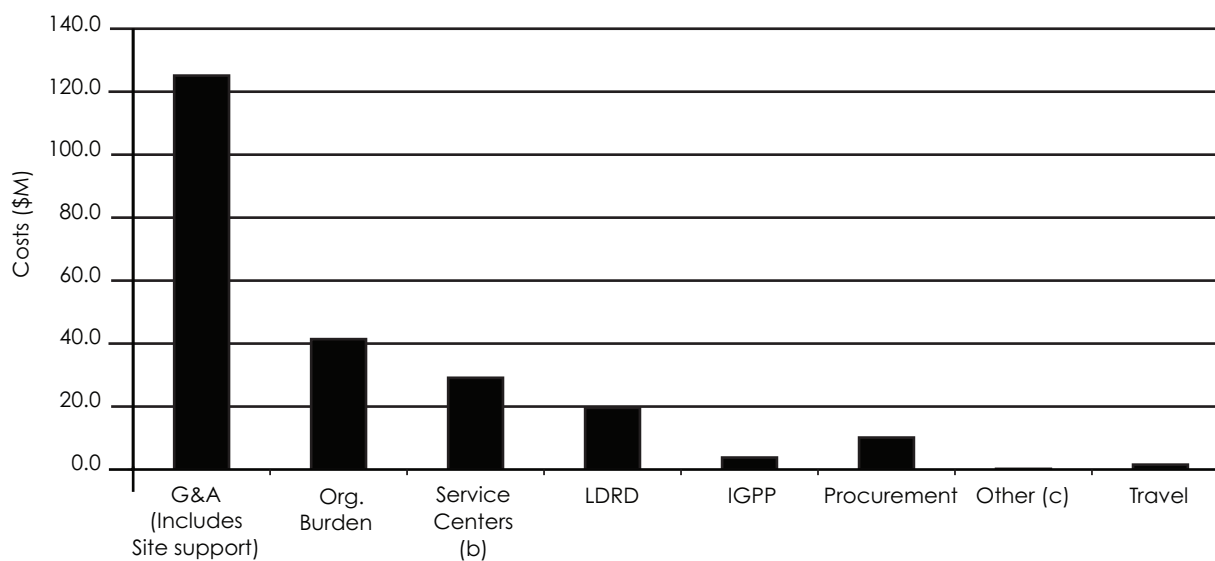
LBNL ARRA Project	Quarterly (a)			DOE Weekly			
	LBNL FTE	Grants Subrecipients	Total	LBNL FTE	Vendors	Subrecipients	Total
ALS User Support Building	-	-	-	-	9.97	9.86	19.83
GPP, Upgrade Bldg 62	0.06	-	0.06	0.06	0.66	0.08	0.80
GPP, Upgrade Bldg 66	0.18	-	0.18	0.18	-	-	0.18
GPP, Air Handling Equipment	0.18	-	0.18	0.18	-	-	0.18
GPP, Upgrade Bldg 2	0.28	-	0.28	0.28	0.01	0.15	0.43
GPP, Modernize Transformer	0.11	-	0.11	0.11	-	-	0.11
Bevatron Demolition	-	-	-	-	2.43	2.66	5.09
Seismic Phase 2, 09-SC-72	0.01	-	0.01	0.01	-	-	0.01
Advanced Plasma Acceleration Facility	1.00	-	1.00	1.00	-	-	1.00
Nuclear Data Program Initiative	0.18	-	0.18	0.18	-	-	0.18
Enh AIP Funding, Injector	0.19	-	0.19	0.19	-	-	0.19
Federal Lab Support for ARRA Transactions	0.12	-	0.12	0.12	-	-	0.12
Advanced Technology R&D Augmentation	0.37	-	0.37	0.37	-	-	0.37
Enh AIP Funding, RF Amplifier	0.20	-	0.20	0.20	-	-	0.20
Energy Frontier Research Centers	-	-	-	-	-	-	-
HEDLP NDCX-II	1.27	-	1.27	1.27	0.29	-	1.57
ALS Beamline Detectors	0.03	-	0.03	0.03	-	-	0.03
ALS Slice Beamline EPU	0.11	-	0.11	0.11	-	-	0.11
ALS Sextupoles Magnets	0.05	-	0.05	0.05	-	-	0.05
ALS High Field Vector Magnet	0.00	-	0.00	0.00	-	-	0.00
ARPA-E Early Harvest Solicitation Support	0.04	-	0.04	0.04	-	-	0.04
Joint BioEnergy Institute	0.00	-	0.00	0.00	-	-	0.00
Advanced Networking Initiative	0.06	-	0.06	0.06	-	-	0.06
Enhance FEMP Service Function	0.14	-	0.14	0.14	-	-	0.14
DOE Subtotal	4.57	-	4.57	4.57	13.36	12.75	30.68
Red Cell Band 4.1 - Development	0.20	-	0.20				
Age of Onset and Huntington's Disease	0.01	-	0.01				
Grant Subtotal (b)	0.21	-	0.21				
LBNL Total	4.78	-	4.78				

Note: Minor variance may occur due to rounding.
 Vendors = Materials and Services retained
 Subrecipients = Subcontractor New + Subcontractor Retained
 a. As of September 30, 2009, LBNL was instructed to submit one report for all ARRA work as a single DOE Contractor.
 b. If the two Grants were reported in the OMB Grant format, they would have yielded 2.15 and 0.14 Jobs, respectively.

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09 4. Indirect Budgets

Indirect Budgets — FY2009 Costs (\$M)

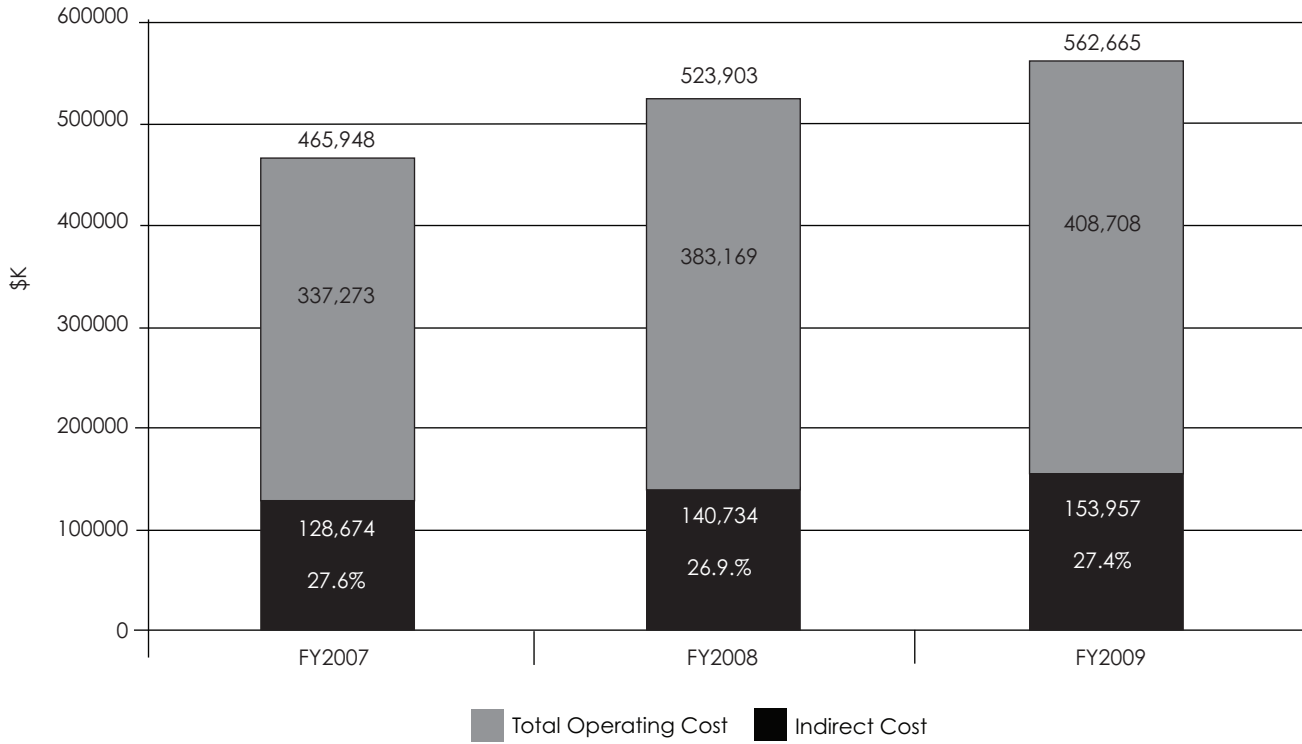
Indirect Budgets (a)	FY2009 Costs (\$M)
G&A (Includes Site Support)	125.1
Organizational Burden	41.4
Service Centers (b)	29.1
LDRD	19.6
IGPP	3.8
Procurement	10.1
Other (c)	0.2
Travel	1.5
Total	230.9



- (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 organizational burden costs are included in G&A and Recharges. In FY2009 LDRD cost includes \$5.6M G&A assessed on LDRD projects.
- (b) Service Centers includes recharge cost centers that default to B&R YN01 (project type OHRCH) only and GSRA pass-through cost.
- (c) Includes: Office of Homeland Security.

Figure 4.2

Institutional Overhead Costs as a Percent of Operating Costs, FY2007 - FY2009



Note: Chart represents the institutional overhead costs 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, FY2009 (\$K)

Division	G&A (a)	LDRD (b)	Procurement	Travel	IGPP	Total
Laboratory Directorate	10,649					10,649
LDRD		19,596				19,596
Engineering	2,154					2,154
Earth Science	495					495
ALD for Operations						
ALD Office	1,316					1,316
IGPP					3,801	3,801
Non-Cap	6,553					6,553
Work Force Diversity Office	296					296
Public Affairs	2,096					2,096
Human Resources	4,890					4,890
Environmental Health & Safety	22,957					22,957
Facilities	36,201		2,293			38,494
Office of the Chief Financial Officer	8,021		7,856	1,546		17,423
Information Technology	22,686					22,686
Project Management Office	478					478
Health, Safety, & Security	135					135
General Laboratory (c)	6,178					6,178
Total	125,107	19,596	10,149	1,546	3,801	160,199

Note: Minor variances may occur due to rounding.

(a) Includes Site Support & Strategic Planning Support Activities (SPSA).

(b) LDRD costs include \$5.6M of G&A assessment.

(c) Includes: UC Management Fee.

Table 4.2

Institutional FTEs Charged by Division, FY2009

Division	G&A (a)	LDRD (b)	Procurement	Travel	IGPP	Total
Laboratory Directorate	53.0					53.0
LDRD (b)		86.6				86.6
Engineering	8.6					8.6
Earth Science	0.1					0.1
ALD for Operations						
ALD Office	5.9					5.9
IGPP					3.4	3.4
Non-Cap	11.1					11.1
Work Force Diversity Office	2.4					2.4
Public Affairs	13.0					13.0
Human Resources	36.5					36.5
Environmental Health & Safety	111.6					111.6
Facilities	129.9		22.0			151.9
Office of the Chief Financial Officer	64.7		61.3	11.2		137.2
Information Technology	95.8					95.8
Project Management Office	2.4					2.4
Health, Safety, & Security	0.3					0.3
General Laboratory	0.6					0.6
Total	536.1	86.6	83.3	11.2	3.4	720.7

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)

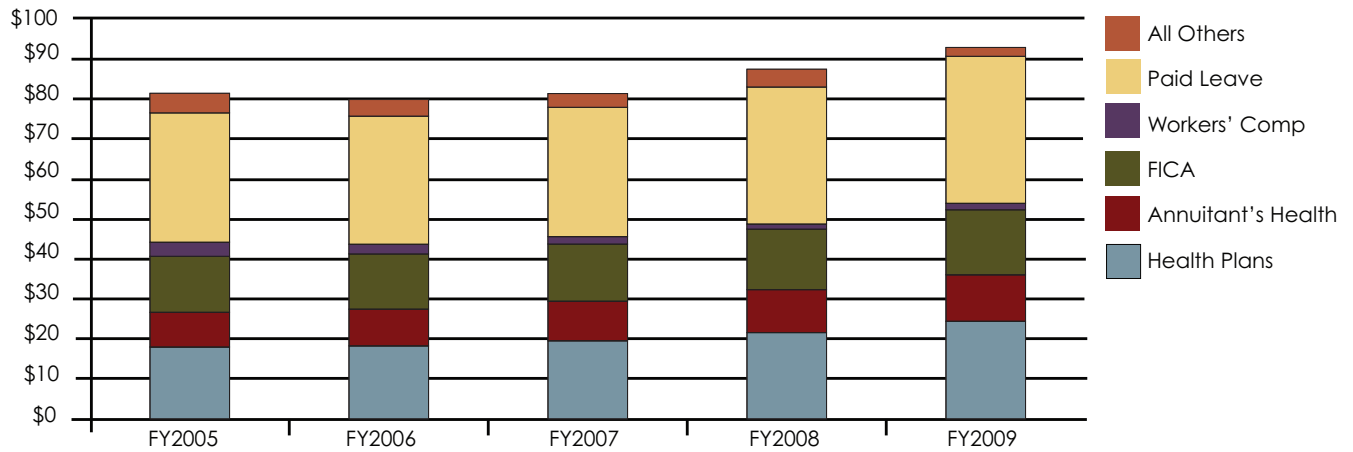


Figure 4.4

Gross Payroll Summary (\$M)

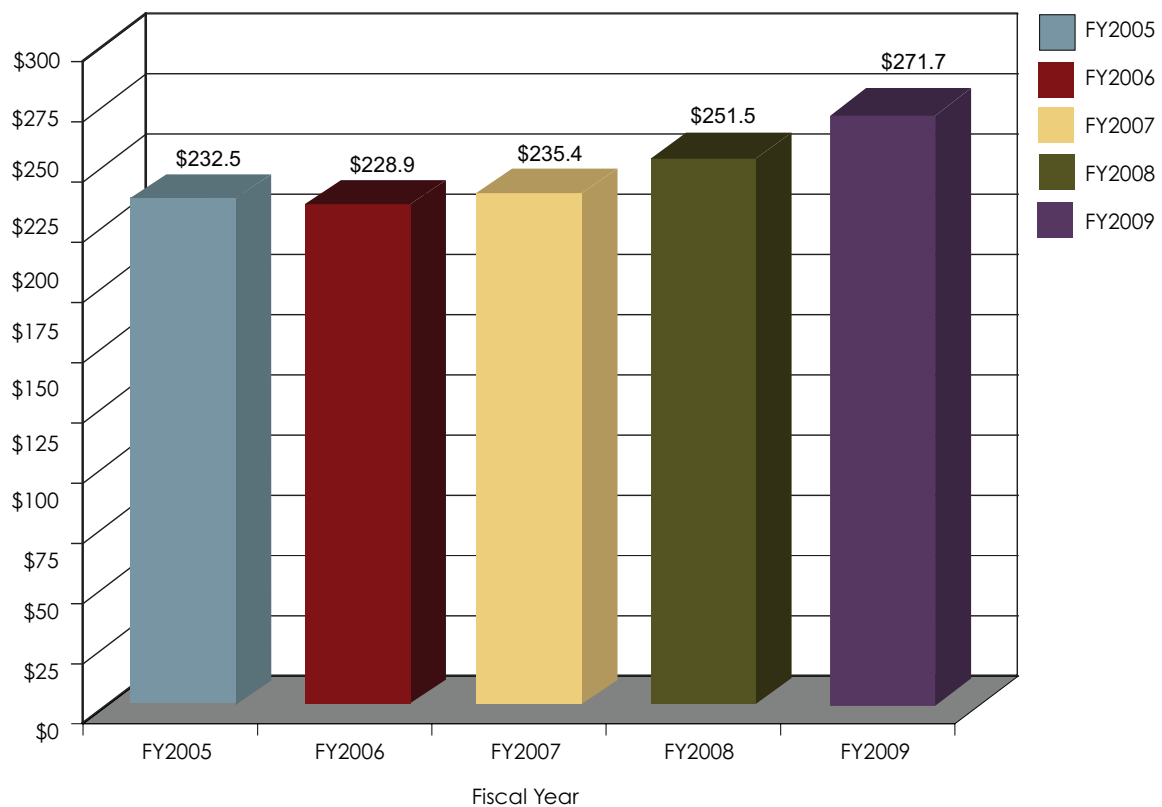


Table 4.3

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	FY2009	
	Cost \$K	Avg FTE
Accelerator & Fusion Research	1,561	10.0
Advanced Light Source	1,962	13.1
Chemical Sciences	965	6.6
Computing Sciences	5,049	37.6
Environmental Energy Technology	3,464	25.5
Engineering	4,452	27.0
Earth Sciences	2,828	15.6
Facilities	3,967	22.1
Genomics - Onsite	426	3.4
Information Technology	2,984	15.5
Life Sciences	5,200	41.2
Materials Sciences	3,105	21.3
Nuclear Sciences	1,411	10.1
Physical Biosciences	2,587	17.8
Physics	1,448	10.5
Total	41,408	277.3
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)	FY2009	
	Cost \$K	Avg FTE
Accelerator & Fusion Research	143	0.4
Advanced Light Source Apartments (b)	(9)	0.0
Environmental Energy Technology	1,185	8.8
Engineering	1,434	8.0
Facilities	10,474	5.2
Information Technology	7,266	26.3
Life Sciences	538	3.4
Materials Sciences	309	1.7
Physical Biosciences	3,983	0.9
ALD Operations (c)	3,803	11.7
Total	29,126	66.5

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) Final closing cost adjustments associated with the Advanced Light Source Apartments.
(c) Includes: GSRA pass-through costs.

Table 4.5

Distributed Recharges by Resource Category Trends, FY2005 - FY2009 (\$K)

Distributed Recharge (a, b)	FY2005	FY2006	FY2007	FY2008	FY2009
Vehicle	1,267	1,498	1,190	1,204	1,342
MSD Facility	473	367	316	273	310
Building Manager	127	84	151	160	143
ALS Apartment Recharge (c)		218	174	177	
Animal Care	446	444	408	396	494
Creative Services	1,547	1,368	1,357	1,319	1,481
88-Inch Accelerator Operations	67	135	421	545	444
JBEI Non-Material Recharge				70	240
JBEI Material Recharge				1,487	3,742
Telephone Services	6,222	4,753	4,080	3,980	4,408
EETD Recharge	1,095	1,077	1,065	1,106	1,187
Molecular Foundry	44	93	138	171	81
Computer/Net Recharges	4,558	5,613	4,376	2,733	2,605
Engineering Shop	956	890	839	951	927
CAD	653	634	636	647	654
ALS Proprietary Recharge	529	731	693	776	764
HTA Non-Material Recharge	5	33	38	49	13
HTA Material Recharge	42	153	60	53	32
JGI Recharge (Capillary Sequencing)	17,760	13,083	12,316	10,887	10,352
JGI Recharge (Synthesis Sequencing)			34		
JGI WFO Administrative Charge	222	195	102	183	319
ESnet Recharge	2,442	4,719	3,460	3,307	1,164
Electricity (d)	8,072	6,335	7,307	8,382	9,106
Conference Recharge	51	73	60		
GSRA - Material Recharge					2,549
GSRA - Non-Material Recharge					1
Low Background Facility	13	11	31	67	72
Print Room	39	1			
Biomed Isotopes	141	91	51		
Mixed Waste Recharge/GL		16	6	3	10
Miscellaneous Recharges		39	(0)		
Rapid Prototyping Lab	13				
Total Recharges	46,784	42,652	39,308	38,927	42,440

Note: Minor variances may occur due to rounding.

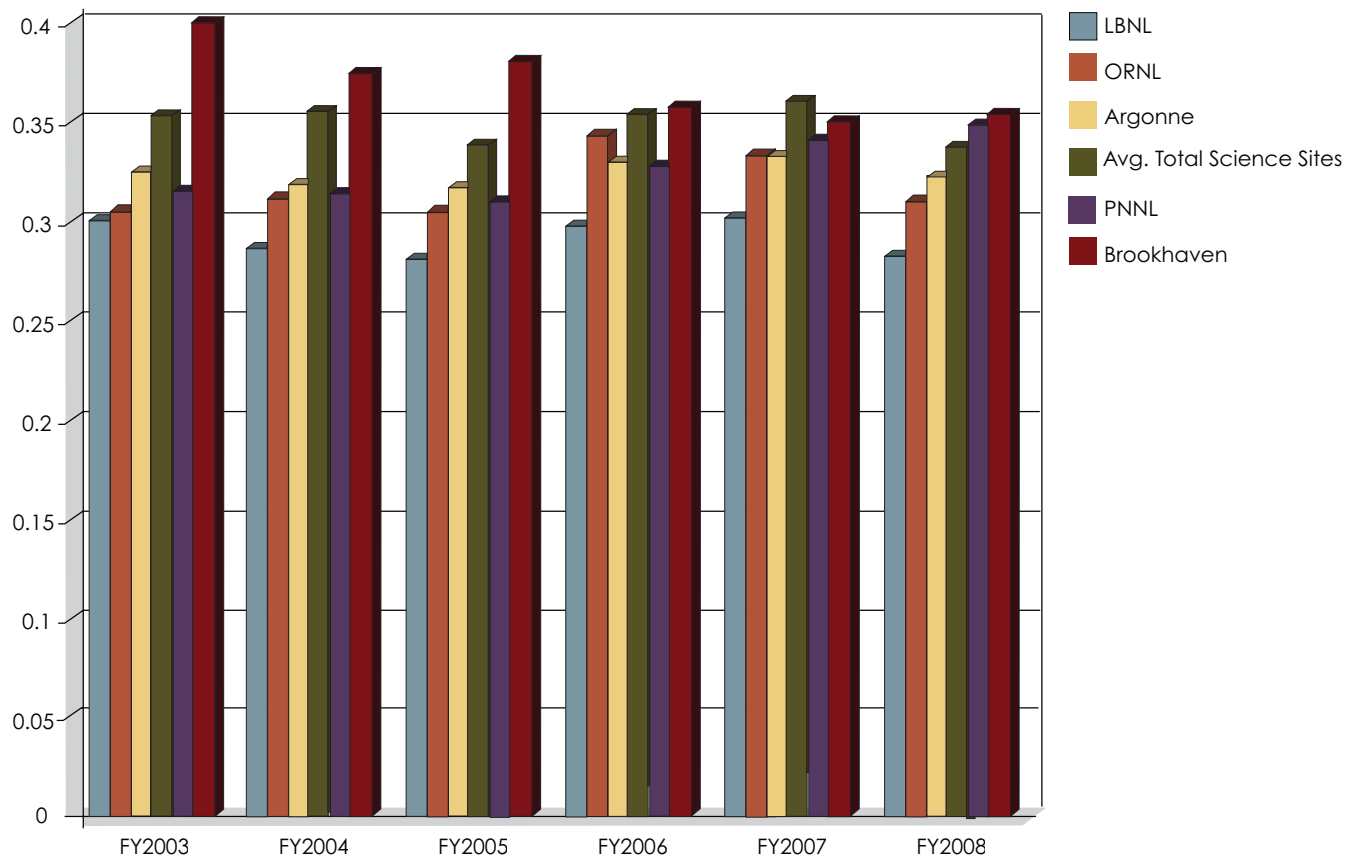
(a) Includes recharges credited back to direct operating accounts such as ALS, ESnet, JGI, etc.

(b) Does not include Procurement and Travel recharges.

(c) Prior to FY2006 recharge was incorporated within UC DRD funds.

(d) Prior to FY2006 recharge included Electricity Maintenance.

Functional Support Costs as a Percent o Total Costs, FY2003 - FY2008 (\$K)



20
09 | 5. Financial Statement

Balance Sheet Comparative Statement of Financial Position (in \$K)

	FY2008	FY2009
ASSETS:		
Current Assets		
Accounts Receivable (Note 2)	\$ 6,901	\$ 7,603
Inventories (Note 3)	499	482
Other Current Assets (Note 4)	516	287
Total Current Assets	7,916	8,372
Pension Plan Assets	442,432	0
Net Plant and Equipment (Note 5)	589,046	620,265
Total Assets	1,039,394	628,637
LIABILITIES AND EQUITY:		
Liabilities:		
Current Liabilities		
Drafts Payable (Note 6)	\$ (976)	\$ (9,673)
Accounts Payable	57,025	71,924
Accrued Expenses	39,910	46,061
Other	23,617	27,685
Total Current Liabilities	119,576	135,997
Post-Retirement Benefits	339,379	524,391
Environmental Liabilities (Note 7)	613,076	570,451
Capital Lease Liability (Note 8)	18,946	10,471
ES&H Liability (Note 9)	458,428	426,697
Pension Plan Liability	n/a	486,325
Total Liabilities	1,549,405	2,154,332
DOE Equity:		
Beginning Equity	\$ (258,896)	\$ (510,011)
Change in Equity	(251,115)	(1,015,684)
Ending Equity	(510,011)	(1,525,695)
TOTAL LIABILITIES AND EQUITY	1,039,394	628,637

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 which are summarized in this note.

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 of the assets and liabilities are owned by the Federal Government.

Basis of Accounting

The financial records of the Laboratory conform with 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 effective April 1, 2007 to March 31, 2010, with two option years for possible extension to March 31, 2012.

Inventories

The Laboratory uses a perpetual inventory system for all inventories. 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. These items are capitalized if they have an anticipated service life of two years or more and cost \$50K or more. Costs of construction and fabrication are capitalized 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 Annual, Sick, and Other Leave

Laboratory policy provides for employees' annual vacation benefits ranging from 10 to 16 hours per month, depending upon years of service. Employees may accumulate vacation up to two times their annual leave. Upon retirement or termination, the employee is paid 100% of accumulated vacation pay.

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. Retiring employees are allowed to apply unused sick leave toward additional years of service.

Retirement Plan

Most University career employees are participants in the UC Retirement System (UCRS). UCRS consists of a basic

Summary of Significant Accounting Policies Continued

defined benefit plan and two voluntary plans composed of several investment funds that are funded with University and employee contributions.

Accounts Receivable

The following were included in accounts receivable (\$K):

	FY2008	FY2009
Trade Receivables	644	1,013
Inter-DOE Operations Offices (outside local field office)	2,086	2,297
Intra-DOE Operations Offices (within local field office)	354	482
Employees	2	1
Parent Organization (UC)	(2,198)	(3,040)
Reimbursements - Federal Agencies	6,017	6,854
Allowance for Doubtful Accounts	(4)	(4)
Total Accounts Receivable – September 30	6,901	7,603

Inventories

The following were included in inventories (\$K):

	FY2008	FY2009
Nuclear Materials	25	25
Precious Metals and Other Special Materials	115	110
Stores Inventories	377	356
Allowance for Loss on Stores	(18)	(9)
Total Inventories – September 30	499	482

Other Current Assets

The following were included in other current assets (\$K):

	FY2008	FY2009
Advances to Other DOE Locations (Russian Subcontracts)	301	33
Prepayments	210	249
Security Deposits	5	5
Total Other Current Assets – September 30	516	287

Note 5

Net Plant and Equipment

The following were included in net plant and equipment (\$K):

Category	Plant & Equip. Costs		Accumulated Depreciation		Net Plant & Equip.	
	FY2008	FY2009	FY2008	FY2009	FY2008	FY2009
Structure, Facilities, & LI	393,927	339,446	(188,107)	(168,296)	205,820	171,150
Equipment	321,335	422,755	(221,349)	(279,692)	99,986	143,063
Leasehold Improvement	72,177	25,255	(26,031)	(18,104)	46,146	7,151
Utilities	32,151	32,151	(20,535)	(21,112)	11,616	11,039
Reactors & Accelerators	144,613	146,701	(101,743)	(111,025)	42,870	35,676
Work in Process	182,608	222,405	-	-	182,608	222,405
Assets Under Capital Lease	-	46,922	-	(17,141)	-	29,781
Total	1,146,811	1,235,635	(557,765)	(615,370)	589,046	620,265

Note 6

Drafts Payable

The following is an analysis of drafts payable (\$K):

	FY2008	FY2009
Balance - October 1	1,017	(976)
Deposits:		
Payments Vouchers - Letter of Credit	(565,199)	(622,164)
Miscellaneous Receipts	(48,561)	(58,220)
Disbursements	611,767	671,687
Drafts Payable Balance - September 30	(976)	(9,673)

Environmental Liability

The estimated remaining cost of remediation of environmentally contaminated facilities at LBNL is recorded as a liability. The Environmental Management liability is based on baseline life-cycle cost estimates prepared with the DOE Site Office with updates for subsequent changes pursuant to DOE's established change control process.

The Active Facilities liability is based on cost estimates generated for facilities reported in the Facility Information Management System. The funded portion of the liability is \$830K and is included in Other Current Liabilities. The following are included in the environmental liability (\$K):

	FY2008	FY2009
Environmental Management	9,081	0
Active Facilities	603,995	570,451
Total Unfunded Environmental Liability - September 30	613,076	570,451

Capital Leases

LBNL has entered into capital leases for a Cray Super-computer, and network equipment. The following is a schedule of future lease payments by fiscal year (\$K):

Fiscal Year	\$K
FY2010	8,820
FY2011	1,530
FY2012	121
Total Future Payments	10,471

Environment, Safety and Health (ES&H) Liability

The ES&H Liability is based on ES&H compliance activities reported annually through the ES&H Management Plan that are necessary to bring facilities and operations into compliance with existing environmental, safety,

and health laws and regulations, excluding activities included in the Environmental Liability. The following are the ES&H liability (\$K):

	FY2008	FY2009
Total ES&H Liability – September 30	458,428	426,697

20
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6. Procurement and Property Management

Table 6.1

Requisitions Submitted by Laboratory Divisions

Division	# Requisitions	Estimate (\$K)
Accelerator & Fusion Research	1,928	\$17,850
Advanced Light Source	3,308	\$7,818
Chief Financial Officer	1,508	\$14,721
Chemical Sciences	1,951	\$3,233
Computational Research	550	\$15,390
Computing Sciences	767	\$5,870
Environmental Energy Technologies	3,260	\$19,379
Engineering	1,100	\$4,029
Environment, Health & Safety	1,798	\$11,490
Earth Sciences	2,549	\$9,370
Facilities	3,937	\$118,377
Genomics	3,672	\$32,052
Human Relations	443	\$961
Information Technologies & Services	1,971	\$10,565
Laboratory Directorate	487	\$886
Life Sciences	7,010	\$17,141
Material Sciences	7,809	\$21,871
NERSC	389	\$37,404
Nuclear Science	1,195	\$4,536
Operations	198	\$3,557
Public Affairs	230	\$343
Physical Biosciences	5,942	\$20,265
Physics	1,172	\$11,370
Totals	53,174	\$389,478

Table 6.2

Purchases Placed Using Purchase Orders/Subcontracts

	(\$K)	# Actions
Total POs	\$302,503	38,359
\$0 - \$2,500 (non-negative)	\$10,301	33,540
\$2,500 - \$10,000	\$12,464	2,418
\$10,000 - \$25,000	\$16,765	1,009
\$25,000 - \$100,000	\$49,721	988
\$100,000 - \$1,000,000	\$95,144	370
\$1,000,000 +	\$118,108	34

Table 6.3

Purchases Placed Using P-Card

	(\$K)	# Actions
Total POs	\$12,356	14,747
\$0 - \$500	\$1,788	9,078
\$500 - \$1,000	\$1,807	2,584
\$1,000 - \$2,500	\$2,938	1,903
\$2,500 - \$5,000	\$2,884	823
\$5,000 +	\$2,939	359

Table 6.4

Laboratory Socioeconomic Performance

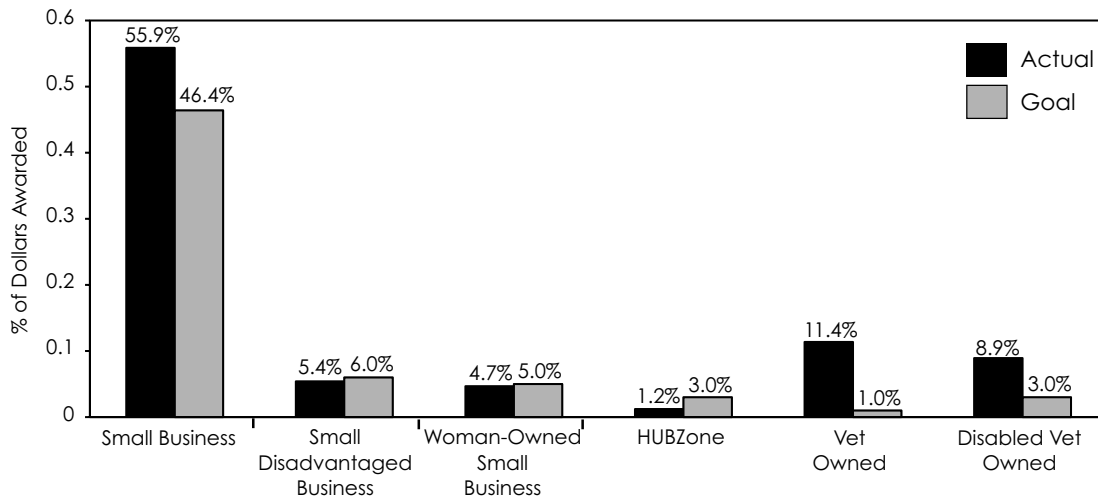


Table 6.5

Property Management Activity

CHARACTERIZATION OF LABORATORY ASSETS			
	# of Assets	Acquisition Value (\$K)	
Total Laboratory Assets	27,545	681,020	
Equipment	9,255	631,700	
Sensitive Assets	18,290	49,320	
Computers Laptops	3,484	7,528	
Computer Desktops	7011	16,869	
Loaned Assets	83	4,614	
Assets Created in FY2009	4,656	80,399	
Assets to Excess in FY2009	2,734	17,610	
Inventory Campaign	Base	Positive Resolutions	% Positive
Controlled	97	96	98.97
Sensitive	3,058	3,037	99.31
Validation Size	103	103	99.03
Assets Scanned	3,155	3,020	95.72
Division	Asset Count	Asset Value (\$K)	
Accelerator & Fusion Research	1,165	32,630	
Advanced Light Source	1,985	164,392	
Chief Financial Officer	366	514	
Chemical Sciences	1,268	26,042	
Computational Research	1,636	26,764	
Computing Sciences	95	246	
Environmental Energy Technologies	1,575	17,987	
Engineering	1,027	16,769	
Environment, Health & Safety	575	3,089	
Earth Sciences	1,283	13,774	
Excess Turn-In Center	226	3,575	
Facilities	1,050	6,838	
Genomics	1,853	47,059	
Human Relations	135	154	
Information Technologies & Services	2,512	15,757	
Laboratory Directorate	140	216	
Life Sciences	2,112	33,301	
Materials Sciences	3,412	88,115	
NERSC	1,046	71,520	
Nuclear Science	746	34,276	
Operations	32	39	
Public Affairs	171	421	
Physical Biosciences	2,314	26,917	
Physics	821	50,626	
Total	27,545	681,021	

 7. Acronyms and Key Terms

AFRD	Accelerator and Fusion Research Division
ALS	Advanced Light Source
ANL	Argonne National Laboratory
A/S	Assistant Secretary (DOE)
B&R	Budget and Reporting
BA	Budget Authority
BES	Basic Energy Science
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
ERWM	Environmental Restoration and Waste Management
EH&S	Environment, Health, and Safety
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
OHRC	Overhead Recharge
ORNL	Oak Ridge National Laboratory
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
SPO	Sponsored Projects Office
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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Cover Photos *(By Roy Kaltschmidt, LBNL)*:

Top:

First two photos on the left: Construction at the Lab.

Far Right: JBEI image of Rajat Sagar holding two beakers of biofuel sludge.

Bottom:

Dismantling of the Bevatron.

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