EERE STRATEGIC MANAGEMENT SYSTEM

BUDGET HUT

Overview of the Strategic Management System Budget Hut

The Strategic Management System (SMS) will increase the efficiency and effectiveness of the EERE business management functions of planning, budget formulation, program implementation, and program analysis and evaluation. The key tool for SMS is the Excel-based spreadsheets for program spend plans, projects, and milestones and the linkages to Departmental financial and procurement data systems and access to new data system files from the field (primarily the national laboratories for subcontract information). In this overview, there will be a brief discussion of this key spreadsheet tool and its advantages, if utilized, for EERE management, program managers, and the field.

The spreadsheets provide a common format of key information that can be used for formulation of the budget request, that can be used for planned program implementation with the identification of planned new procurement actions, that can track implementation of planned program actions, and that measure performance against milestones. In addition to these important functions, these spreadsheets can assist both program managers and EERE management in a number of ways. The data fields have been selected in order for these spreadsheets to be centrally used at the Deputy Assistant Secretary level and the Office of Planning, Budget, and Management (OPBM) level to have the vast majority of quick response data tasks centrally answered without sending the task down to the program manager level. Currently, these tasks not only disrupt the daily activities of program managers, but also program implementers in the field (both at operations offices and national laboratories). If these spreadsheets are properly utilized and maintained, tasks that concern projects/program work in certain Congressional Districts or states will be centrally answered. Other inquiries, such as identifying work by a certain performer, such as a specific national laboratory, can be quickly determined. We can quickly determine how much of the funding is being performed through competitive means and how much is being performed by lab sub-contract, in-house labs, CRADAs, cooperative agreements, etc. Non-Federal cost sharing figures can also be quickly displayed at various breakout levels.

The program spend plan spreadsheets can be copied and modified to work on three fiscal years: the current year of implementation (currently, FY 2000), the fiscal year of budget defense (currently, fiscal year 2001), and the fiscal year of budget formulation (currently, fiscal year 2002). Since many of the activities of a program are multi-year in nature, many of the project titles and performers remain the same for the next year (scopes of work and project costs would have to be updated). For the next year, one would delete activities that were closed out and one would insert entries for new planned procurement actions with a basic description of the scope of work, the procurement office, and the project cost identified. The spend plan entries could be modified based on House, Senate, and Conference marks for the fiscal year that is in the budget defense process or for the target/overtarget levels of the fiscal year that is in the budget formulation process.

The milestone spreadsheet, if fully utilized and maintained, can serve a number of important functions. First, these milestones serve as EERE's corporate basis for GPRA compliance (managing programs based on performance and the attainment of goals). Milestones also provide our field performers with our expectations and therefore can be used as key inputs to our award fee determinations of national laboratories or as a basis for our shift of ongoing or new work from one performer to another. If the importance level of milestones is uniformly applied, milestones can also be used to trigger key inputs to the sector's weekly reports to the Assistant Secretary, inputs to the monthly S-2 meetings, and inputs to the 30-60-90 day calendar of events.

These spreadsheets can dramatically change the way EERE manages its portfolios of programs; however, the effectiveness of these spreadsheets depends on their proper application by all program managers and the maintenance of complete, accurate, and current information. Therefore, there needs to be a personal commitment on the part of each program manager and quality control needs to be a key duty of each office director. In addition, performance expectations on the quality of these spreadsheets must be applied by the Associate Deputy Assistant Secretary of the Deputy Assistant Secretary of each sector as the rating or reviewing official.

To assist the sectors in completing these spreadsheets, several concurrent activities are underway. OPBM is taking the lead on obtaining software licenses for all EERE desktop computers: the goal is to install Microsoft Office 2000 in the near future. Associated training, with an emphasis on its application to SMS, is also being planned. The above spreadsheets are being augmented with periodic downloads from the Department's procurement and financial data systems to form the EERE Budget Hut (see attachment for additional information). These downloads will allow program managers the ability to obtain information on awards made by DOE Procurement Offices, including the date of award, status, recipient, recipient's address, and recipient's Congressional District. Similarly, monthly FIS information can be extracted by B&R code and performer (contractor identification number) on current costing and obligation information.

Since the Department's data systems provide only summary information for the national laboratories, additional electronic SMS information is required from these national laboratories, particularly concerning laboratory subcontracts. NREL has just provided an electronic file of information on their laboratory subcontracts (an updated file will be provided monthly), which can be extracted by program. While the names and addresses of subcontractors are shown, Congressional Districts are not. TMS, the support service contractor for the SMS effort, will insert the Congressional District Codes for these laboratory subcontracts. Similar efforts will follow with other national laboratories: discussions have been ongoing with ORNL. TMS will continue to work on the interface of field data.

Our intent in the implementation of the fiscal year 2001 SMS spreadsheets is to minimize the amount of rework and refinement. Minimizing successive changes and refinements to the initial spreadsheet data are largely dependent upon the quality of the data provided by the program managers for their programs (a sector quality control management issue) and the guidelines provided for the consistent input of data into these spreadsheets. To address the issue of consistent data input, guidelines and data field definitions will follow. SMS spreadsheets for the Biopower program will also be provided to illustrate the initial application of these guidelines.

TABLE OF CONTENTS

The SMS Budget Hut

The Strategic Management System (SMS) Budget Hut provides much of the information required to support the SMS planning, formulation, execution, and evaluation cycle. Some parts of the Hut provide data as downloaded and reformatted from Departmental and National Laboratory systems; other parts of the Hut require routine data updates by each EERE organization.

Some of the key parts of the Hut include:

Monthly MARS Download – includes funding, obligation, cost, and uncosted data for each EERE contract or financial assistance by B&R, appropriation symbol, office, national laboratory, and awardee. This download should be used monthly throughout EERE in the execution part of the cycle as a means to identify cost trends and to assure that the timing of obligations and costs are consistent with the needs of the particular project.

Monthly PADS Download – includes the location, value, start date, end date, type of award, type of awardee, and a wide-range of other data for all EERE contracts, cooperative agreements, grants, and interagency agreements. This download should be used monthly throughout EERE in the execution part of the cycle as a means to: understand the status of funding modifications; plan actions required to replace expiring awards; and answer questions regarding, for example, the location (state or congressional district) or type (small business set aside, for example).

Monthly National Laboratory Downloads – include budget and procurement data as provided monthly by NREL, ORNL, and ANL (other laboratories should be included soon). No Departmental system identifies individual national laboratory procurements, so these downloads provide the only routine means for EERE organizations to review and report on the timeliness and status of national laboratory procurements. The timeliness of such procurements often impact significantly the progress of major projects as well as the funding schedule.

Spend Plan Spreadsheet – relates to formulation, execution, and evaluation by assisting each EERE organization to plan, track, and report each funding action over the course of a fiscal year. The Control Table part of the Spend Plan summarizes the administrative control levels and constantly compares those to the spending plan to identify instances of funds remaining at Headquarters too long. The Spend Plan is one of the three (with the Milestones and Projects spreadsheets) key components of the EERE Annual Operating Plan (AOP).

Milestone and Project Spreadsheets – link work performance to the funding actions in the Spend Plan by providing a standard format for each EERE organization to plan, track, and report milestones and project information. These two worksheets with the Spend Plan comprise the EERE AOP.

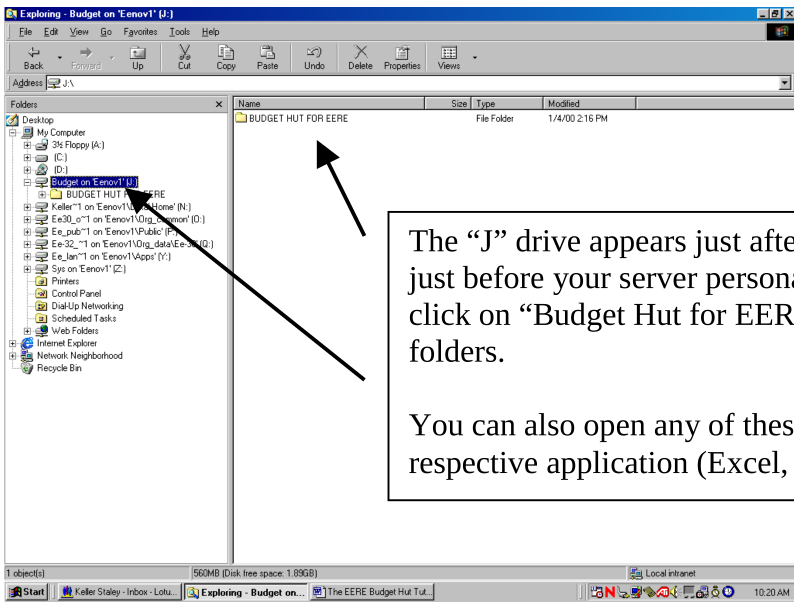
The Budget Hut Tutorial includes sections on how to use the Hut to support each of the SMS deliverables and products referenced in this Guidance Letter.

List of Acronyms

AFP	Approved Funding Plan
AOP	Annual Operating Plan
B&R	Budget & Reporting
CFD	Computational Fluid Dynamics
CFO	Chief Financial Officer
CID	Contractor Identification #
DISCAS	Departmental Integrated Standard Cost & Accounting System
DOE	Department of Energy
EERE	Energy Efficiency and Renewable Energy
FDW	Financial Data Warehouse
FEMP	Federal Energy Management Program
FIN	
FIS	Financial Information System
FWP	Field Work Proposal
FY	Fiscal Year
GPRA	Government Performance and Results Act
IOF	Industries Of the Future
M&O	Management & Operating (contract)
MARS	Management Analysis Reporting System
NREL	National Renewable Energy Laboratory
OMB	Office of Management and Budget
OPBM	Office of Planning, Budget and Management
PADS	Procurement and Assistance Data System
PNGV	Partnership for a New Generation of Vehicles
PR	Procurement Request
R&D	Research & Development
SMS	Strategic Management System
WA	Work Authorization

1. HOW TO USE THE SMS BUDGET HUT

The Strategic Management System (SMS) Budget Hut (the "Hut) provides a "one stop shop" for managing and reporting a wide range of budget, financial, procurement, and administrative processes and data used daily by EERE management and staff in the implementation of the EERE mission.



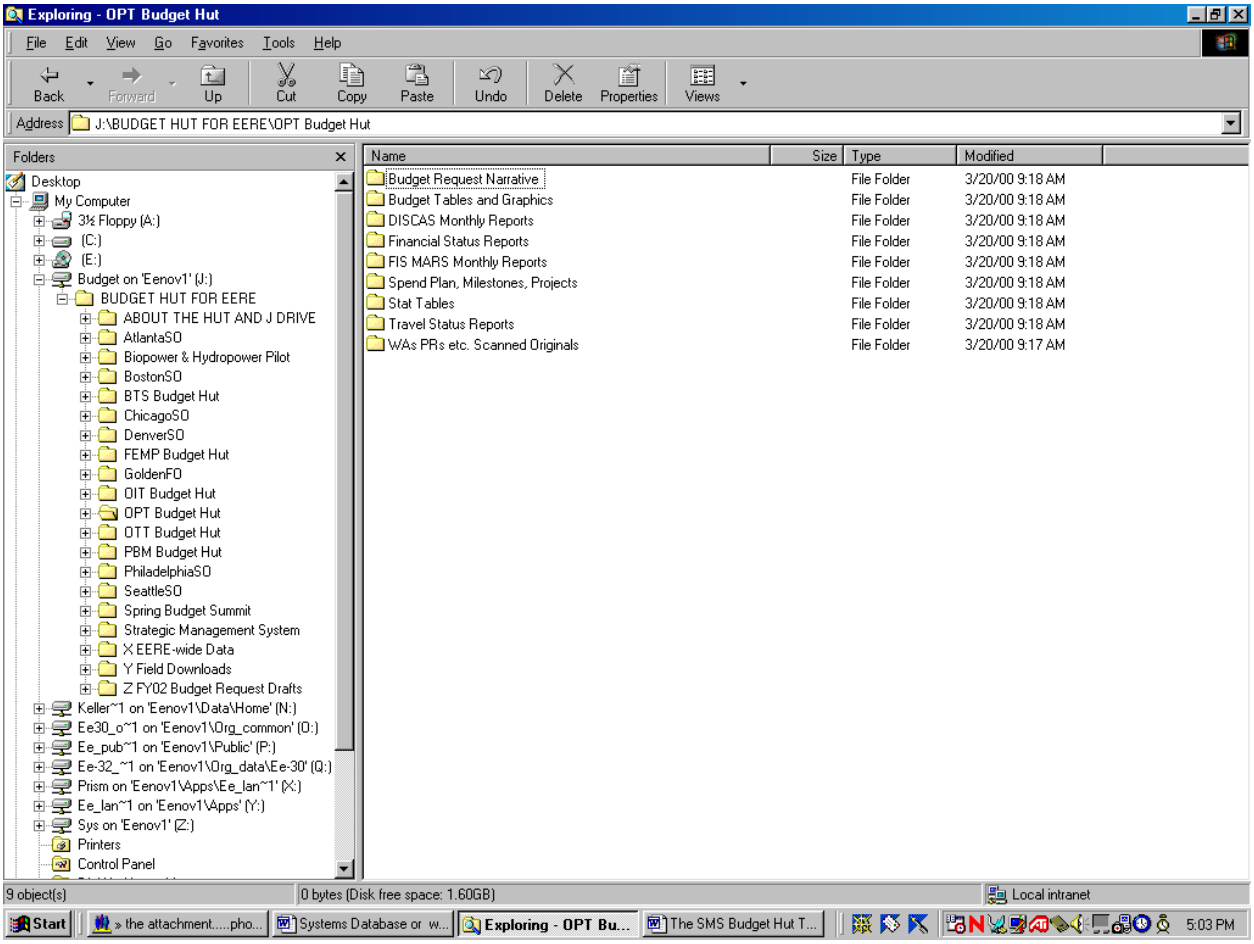
The "J" drive appears just after your internal drives and just before your server personal "N" drive. Double-click on "Budget Hut for EERE" to see and open the folders.

You can also open any of these folders through the respective application (Excel, PowerPoint, etc.)

The Hut resides on the "J" drive of the EERE server and is accessible by any EERE Federal employee and select contractors. Users can access the Hut from anywhere in the Forestall building that has a LAN connection to the EERE server. (Note: Golden Field Office and the regional support offices should have "read" and perhaps "write" access to the J drive by Fall 2000).

The Hut consists of several folders – one for each EERE major organization and others for all EERE – which, in turn, contain another set of folders for each of the systems and data covered in the Hut.

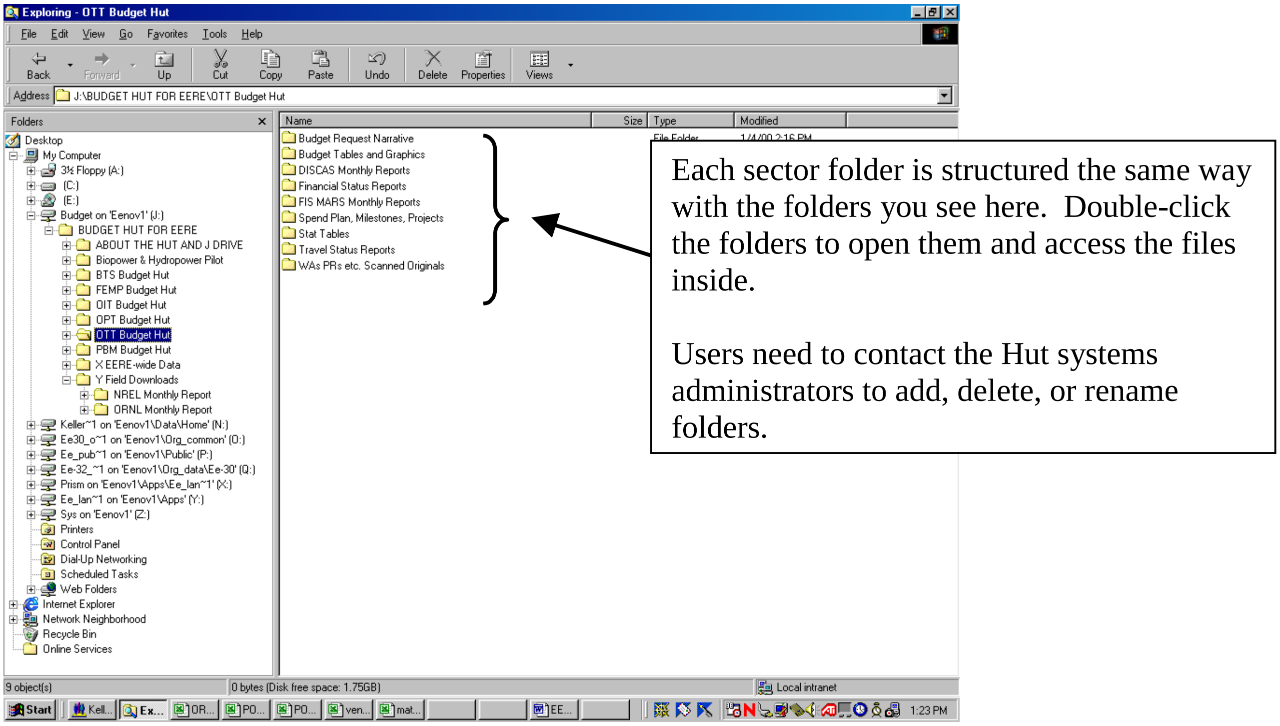
The major organizations with sector-specific folders in the Hut include each of the Deputy Assistant Secretary (DAS) organizations and the Federal Energy Management Program (FEMP). The folder for the DAS for Planning, Budget and Management includes the data for the Office of the Assistant Secretary. (Note: similar folders will be established for Golden and each regional support office as they are given access to the J drive in late Fall 2000).



The folders within each organization's folder include the following:

- Budget Request Narrative
- Budget Tables and Graphics
- DISCAS Monthly Reports (Not Yet Available)
- Financial Status Reports
- FIS / MARS Monthly Reports
- PADS Reports
- Spend Plan, Milestones, Projects
- Stat Tables
- Travel Status Reports
- WAs, PRs, etc. Scanned Originals (Not Yet Available)

Instructions on how to use each of these folders begin in Chapter 2 of this tutorial.



Only members of the sector have “read” access to the folders within any sector folder. Only a few members of any sector have “write” access to their folder. The sectors determine who has “write” or “read” access to their folders.

The All-EERE folder contains:

- Data not readily divisible into sector-specific components (e.g., monthly downloads from the Departmental Procurement and Assistance Data System – PADS);
- Budget presentations and graphics of interest throughout EERE;
- Other documents of interest throughout EERE.

All EERE Federal employees and select contractors have “read” access to the All-EERE folder. Only a few members of the EERE Office of Planning, Budget, and Management (PBM) have “write” access to that folder. Sectors may request PBM to add contractors and others to the list of those with “ read” access to the All-EERE folder.

a. What Does the Hut Do?

The Hut integrates otherwise disparate data (spend plans, milestones, project descriptions, MARS downloads, National Laboratory budget systems downloads, PADS downloads, travel system downloads, and others) by putting that data in the same place every month (the appropriate folder on the "J" drive) and rendering it all in Excel 2000. This allows users throughout EERE to easily find the data and focus on a single set of easy to use tools (Excel's "front end" subtotal, filter, pivot table, and sort tools) to access and manipulate the data as though it were part of a complex, integrated system. This also allows easier reporting of EERE-wide data.

The graphics, presentations, and other documents in the Hut generally are in versions of Word, PowerPoint, and Word Perfect used widely throughout EERE.

b. Who Updates the Data in the Hut?

The table below summarizes the main folders and the schedule for their respective updates. PBM manages and updates almost every folder – for the most part populating those folders with re-formatted excerpts from existing Departmental and Field systems.

Folder	*Updated by:*	*Updated when:*	*Folder Location*
Budget Request Narratives	PBM	As Required	sector
Budget Tables and Graphics	whomever	As Required	sector
DISCAS Monthly Reports	PBM	Monthly	Not yet available
Financial Status Reports	PBM	Monthly	sector
FIS MARS Monthly Reports	PBM	Monthly	sector
PADS Reports	PBM	Monthly	sector
Spend Plan, Milestones, and Projects	sector	Monthly / As Required	sector
Stat Tables	PBM	As Required	sector
Travel Status Reports	PBM	Monthly	sector
WAs, PRs, etc. Scanned Originals	PBM	Monthly / As Required	sector
NREL and ORNL Financial Status Reports	PBM	Monthly	Y Field Downloads

The most important updating required of the sectors (each DAS and FEMP) relates to the first folder referenced in the table, "Spend Plan, Milestones, and Projects." Chapter 2.g.v. provides instructions for the use of this folder.

2. THE SECTOR-SPECIFIC FOLDERS

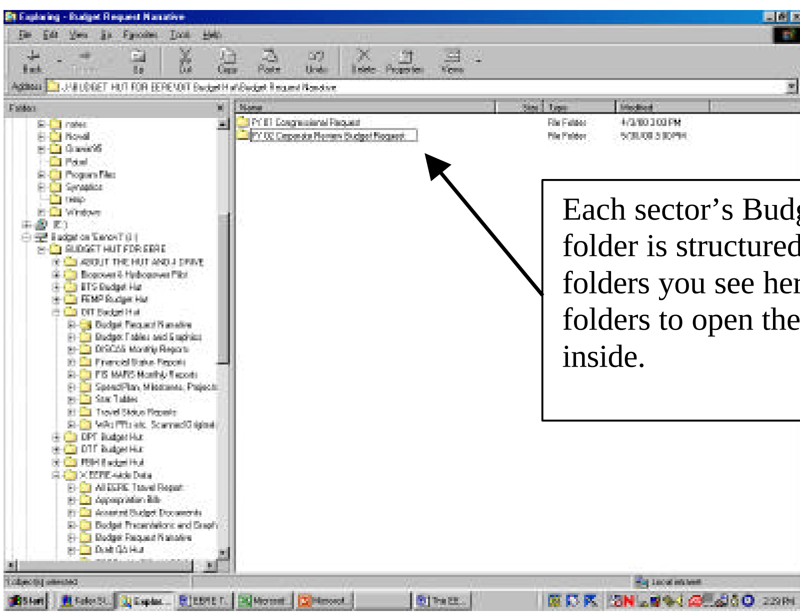
The major organizations with sector-specific folders in the Hut include each of the Deputy Assistant Secretary (DAS) organizations and the Federal Energy Management Program (FEMP). The folder for the DAS for Planning, Budget and Management includes the data for the Office of the Assistant Secretary.

The folders within each organization's folder include the following:

- Budget Request Narrative
- Budget Tables and Graphics
- DISCAS Monthly Reports
- Financial Status Reports
- FIS / MARS Monthly Reports
- PADS Reports
- Spend Plan, Milestones, Projects
- Stat Tables
- Travel Status Reports
- WAs, PRs, etc. Scanned Originals

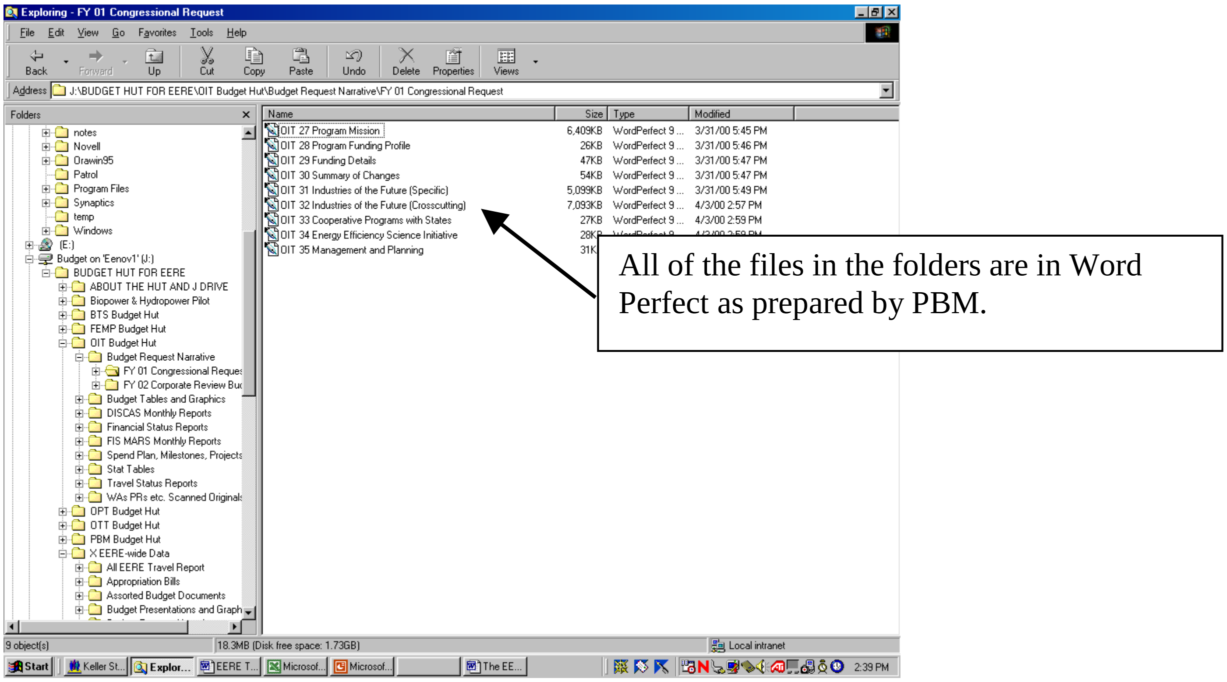
a. Budget Request Narrative

This folder provides a complete copy of the sector's budget requests beginning with the FY 2001 Congressional Budget Request.



Each sector's Budget Request Narrative folder is structured the same way as the folders you see here. Double-click the folders to open them and access the files inside.

Each of the files – there are several for each folder for each request – include long file names and sequential numbering to make them easy to find.



b. Budget Tables and Graphics

This folder serves as a "grab bag" of sorts to provide a consistent location for miscellaneous budget tables, graphics, and other documents.

c. DISCAS Monthly Reports

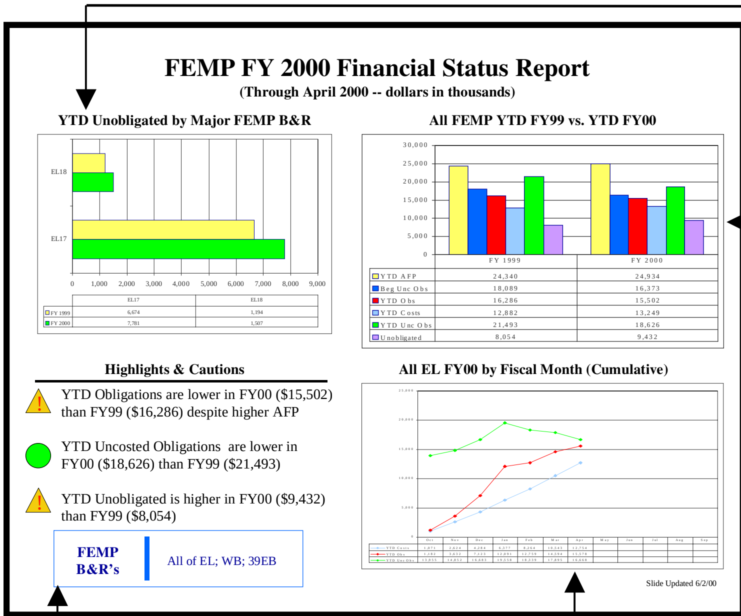
Note: the DISCAS Monthly Reports are not yet available from the Budget Hut.

The DISCAS Monthly Reports excerpts ….

d. Financial Status Reports

This folder houses the sector's monthly Financial Status Report as prepared by PBM and discussed by the ASEE and the DASs once a month in the ASEE Senior Staff meeting generally held each Wednesday.

The first page of this two-page PowerPoint report includes three charts and a "Highlights and Cautions" section summarizing the status of obligations, costs, unobligated, and uncosteds for the sector as reported by the DOE Financial Data Warehouse and maintained in the "FIS MARS Monthly Reports" folder provided for each sector.



"YTD Unobligated by Major EL B&R"

This graphic depicts unobligated by each major B&R that belongs to that sector.

"YTD FY99 vs. YTD FY00"

This graphic depicts: YTD AFP; YTD Authorized; Beginning Uncosted Obligations; YTD Obligations; YTD Costs; YTD Uncosted Obligations; and YTD Unobligated for the entire sector.

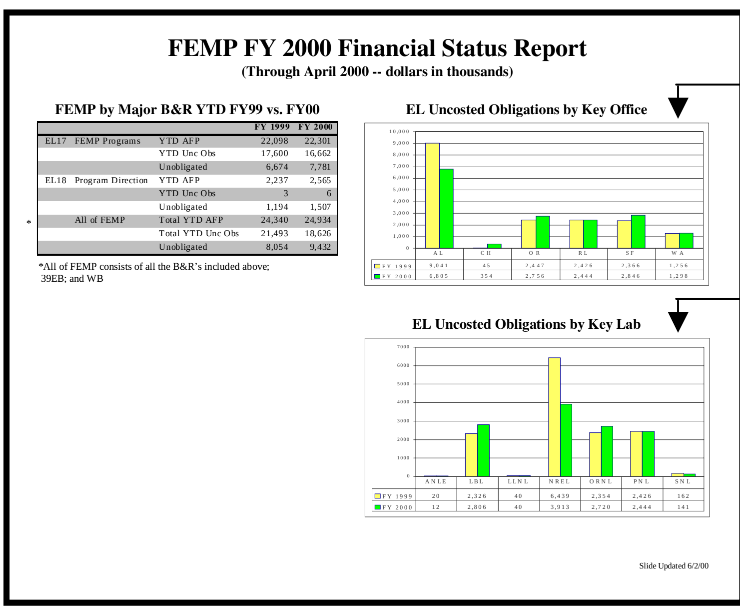
"FY00 by Month (Cumulative)"

This graphic depicts: YTD Authorized; YTD Obligations; YTD Costs; YTD Uncosted Obligations by month for the entire sector.

"Highlights and Cautions"

This graphic depicts key trends.
Depicts positive trends.
Depicts cautions.
Depicts serious problems.

The second page includes two charts and a table.



"Uncosted Obligations by Key Office"

This graphic depicts uncosted obligations for EERE B&Rs for the Operations Offices with which EERE does most of its business.

"Uncosted Obligations by Key Lab"

This graphic depicts uncosted obligations for EERE B&Rs for the National Labs with which EERE does most of its business.

e. FIS MARS Monthly Reports

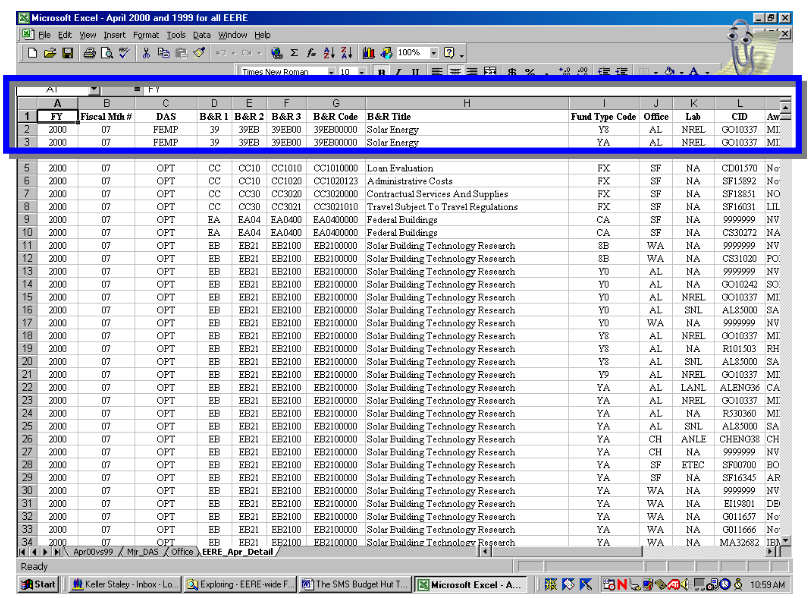
This folder holds sector-specific, detail-level, monthly MARS data as downloaded and rendered to Excel through the DOE Chief Financial Officer (CFO) Financial Data Warehouse (FDW). PBM updates the folder with a new monthly file by about the 15th of the following month. For example, May 2000 MARS data should be available from the folder by the 15th of June.

The structure of each download file within each sector folder includes:

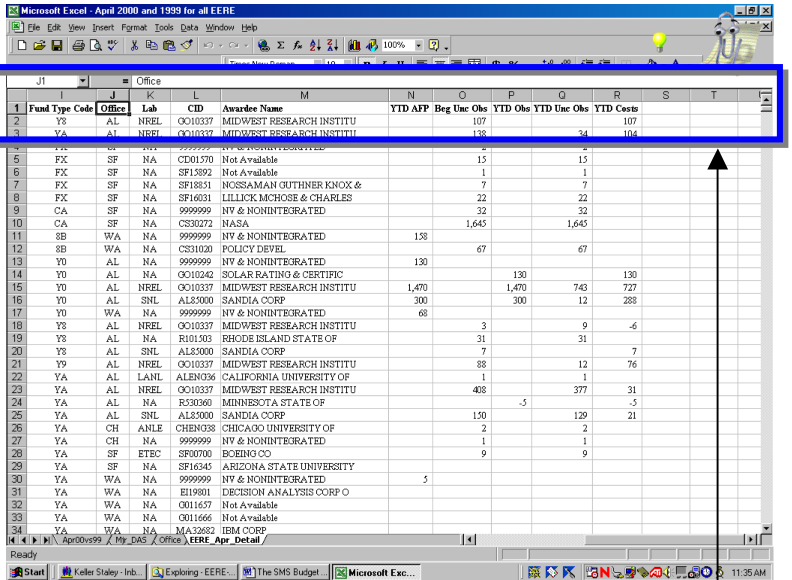
- Fiscal year
- Fiscal month number
- DAS
- B&R 1,2,3
- B&R Code and title
- Fund Type
- Operations Office
- National Laboratory
- Awardee CID
- Awardee Name
- Approved Funding Program (AFP)
- Beginning Uncosted Obligations
- Year to Date (YTD) Obligations
- YTD Costs
- Ending Uncosted Obligations

First 12 columns of the sheet

See sample of these columns below

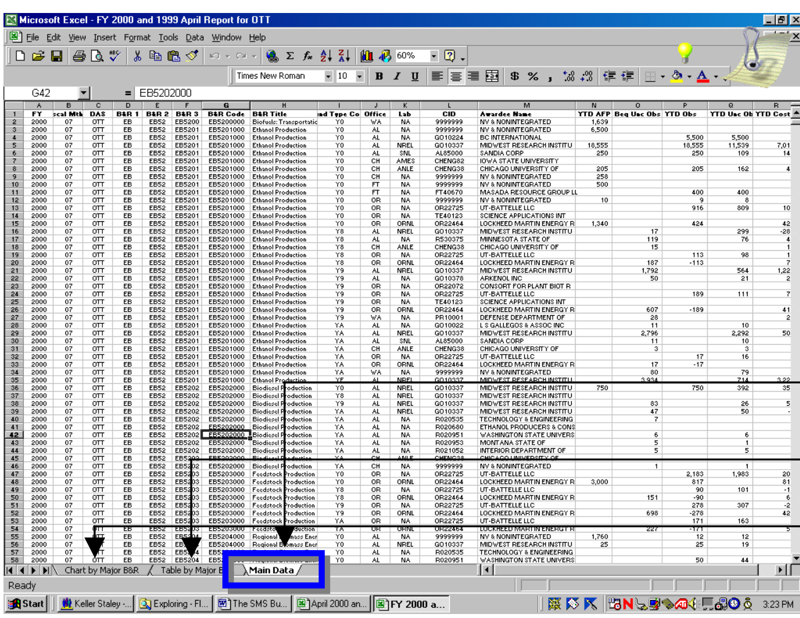


	A	B	C	D	E	F	G	H	I	J	K	L	
1	FY	Fiscal Mth #	DAS	B&R 1	B&R 2	B&R 3	B&R Code	B&R Title	Fund Type Code	Office	Lab	CID	Aw
2	2000	07	FEMP	39	39EB	39EB00	39EB00000	Solar Energy	Y8	AL	NREL	GO10337	MI
3	2000	07	FEMP	39	39EB	39EB00	39EB00000	Solar Energy	YA	AL	NREL	GO10337	MI
5	2000	07	OPT	CC	CC10	CC1010	CC1010000	Loan Evaluation	FX	SF	NA	CD01570	No
6	2000	07	OPT	CC	CC10	CC1020	CC1020123	Administrative Costs	FX	SF	NA	SF15892	No
7	2000	07	OPT	CC	CC30	CC3020	CC3020000	Contractual Services And Supplies	FX	SF	NA	SF18851	NO
8	2000	07	OPT	CC	CC30	CC3021	CC3021010	Travel Subject To Travel Regulations	FX	SF	NA	SF16031	LIL
9	2000	07	OPT	EA	EA04	EA0400	EA0400000	Federal Buildings	CA	SF	NA	9999999	NV
10	2000	07	OPT	EA	EA04	EA0400	EA0400000	Federal Buildings	CA	SF	NA	CS30272	NA
11	2000	07	OPT	EB	EB21	EB2100	EB2100000	Solar Building Technology Research	8B	WA	NA	9999999	NV
12	2000	07	OPT	EB	EB21	EB2100	EB2100000	Solar Building Technology Research	8B	WA	NA	CS31020	PO
13	2000	07	OPT	EB	EB21	EB2100	EB2100000	Solar Building Technology Research	Y0	AL	NA	9999999	NV
14	2000	07	OPT	EB	EB21	EB2100	EB2100000	Solar Building Technology Research	Y0	AL	NA	GO10242	SO
15	2000	07	OPT	EB	EB21	EB2100	EB2100000	Solar Building Technology Research	Y0	AL	NREL	GO10337	MI
16	2000	07	OPT	EB	EB21	EB2100	EB2100000	Solar Building Technology Research	Y0	AL	SNL	AL85000	SA
17	2000	07	OPT	EB	EB21	EB2100	EB2100000	Solar Building Technology Research	Y0	WA	NA	9999999	NV
18	2000	07	OPT	EB	EB21	EB2100	EB2100000	Solar Building Technology Research	Y8	AL	NREL	GO10337	MI
19	2000	07	OPT	EB	EB21	EB2100	EB2100000	Solar Building Technology Research	Y8	AL	NA	R101503	RH
20	2000	07	OPT	EB	EB21	EB2100	EB2100000	Solar Building Technology Research	Y8	AL	SNL	AL85000	SA
21	2000	07	OPT	EB	EB21	EB2100	EB2100000	Solar Building Technology Research	Y9	AL	NREL	GO10337	MI
22	2000	07	OPT	EB	EB21	EB2100	EB2100000	Solar Building Technology Research	YA	AL	LANL	ALENG36	CA
23	2000	07	OPT	EB	EB21	EB2100	EB2100000	Solar Building Technology Research	YA	AL	NREL	GO10337	MI
24	2000	07	OPT	EB	EB21	EB2100	EB2100000	Solar Building Technology Research	YA	AL	NA	R530360	MI
25	2000	07	OPT	EB	EB21	EB2100	EB2100000	Solar Building Technology Research	YA	AL	SNL	AL85000	SA
26	2000	07	OPT	EB	EB21	EB2100	EB2100000	Solar Building Technology Research	YA	CH	ANLE	CHENG38	CH
27	2000	07	OPT	EB	EB21	EB2100	EB2100000	Solar Building Technology Research	YA	CH	NA	9999999	NV
28	2000	07	OPT	EB	EB21	EB2100	EB2100000	Solar Building Technology Research	YA	SF	ETEC	SF00700	BO
29	2000	07	OPT	EB	EB21	EB2100	EB2100000	Solar Building Technology Research	YA	SF	NA	SF16345	AR
30	2000	07	OPT	EB	EB21	EB2100	EB2100000	Solar Building Technology Research	YA	WA	NA	9999999	NV
31	2000	07	OPT	EB	EB21	EB2100	EB2100000	Solar Building Technology Research	YA	WA	NA	EI19801	DE
32	2000	07	OPT	EB	EB21	EB2100	EB2100000	Solar Building Technology Research	YA	WA	NA	G011657	No
33	2000	07	OPT	EB	EB21	EB2100	EB2100000	Solar Building Technology Research	YA	WA	NA	G011666	No
34	2000	07	OPT	EB	EB21	EB2100	EB2100000	Solar Building Technology Research	YA	WA	NA	MA32682	IBM



- Awardee Name
- Approved Funding Program (AFP)
- Beginning Uncosted Obligations
- Year to Date (YTD) Obligations
- YTD Costs
- Ending Uncosted Obligations

PBM generally titles each sector's monthly FIS MARS download file in terms such as "FY 2000 and 1999April Report for OTT." Double-click on the file title to open the Excel workbook. The workbook includes three Excel worksheets titled:



1. Main Data
2. Table by Major B&R
3. Chart by Major B&R

Users can toggle between the three worksheets by clicking on the tabs at the bottom of the worksheet (see the graphic above).

The Main Data worksheet serves much like a database of raw data as downloaded from FIS MARS through the Financial Data Warehouse. Users can use the "Main Data" worksheet (applying "filter" and the "subtotal" Excel tools to manipulate the raw data) or can use the preformatted "Table by Major B&R" and "Chart by Major B&R" worksheets built by using "Pivot Table" and "Pivot Chart".

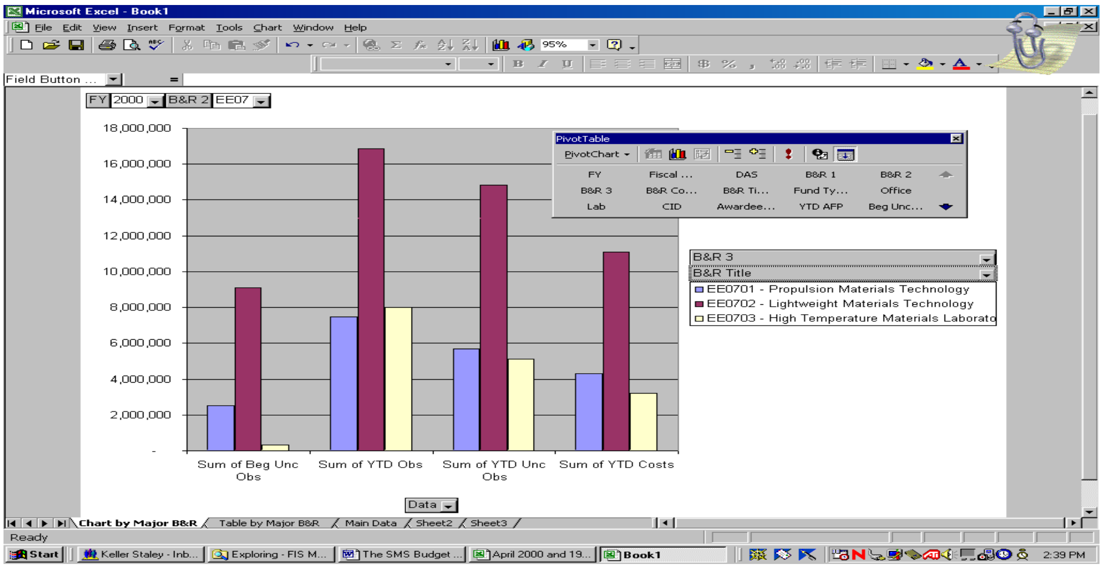


Chart by Major B&R

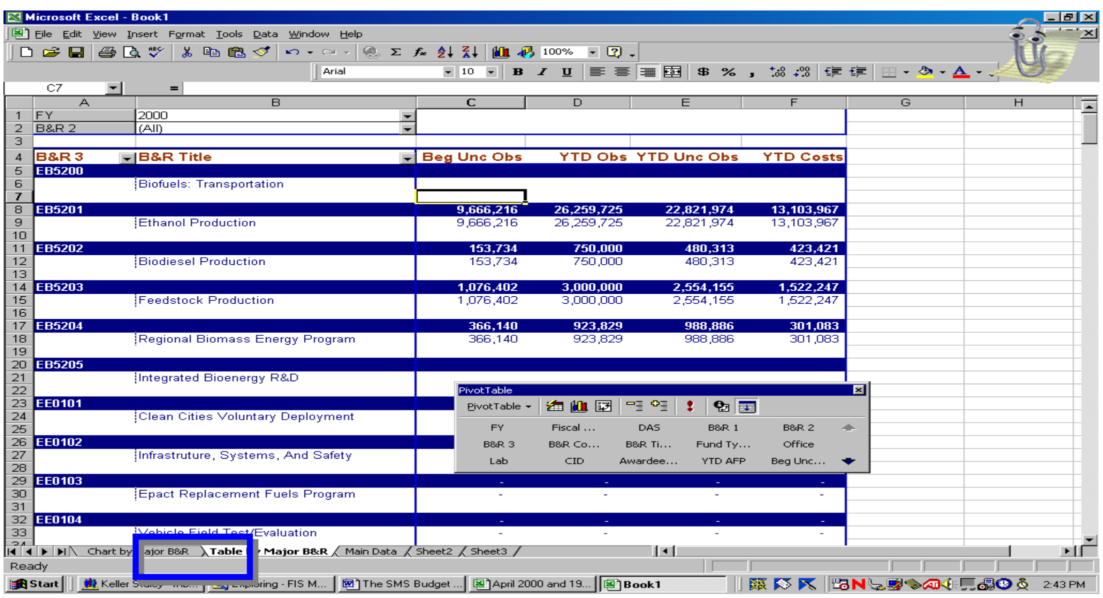
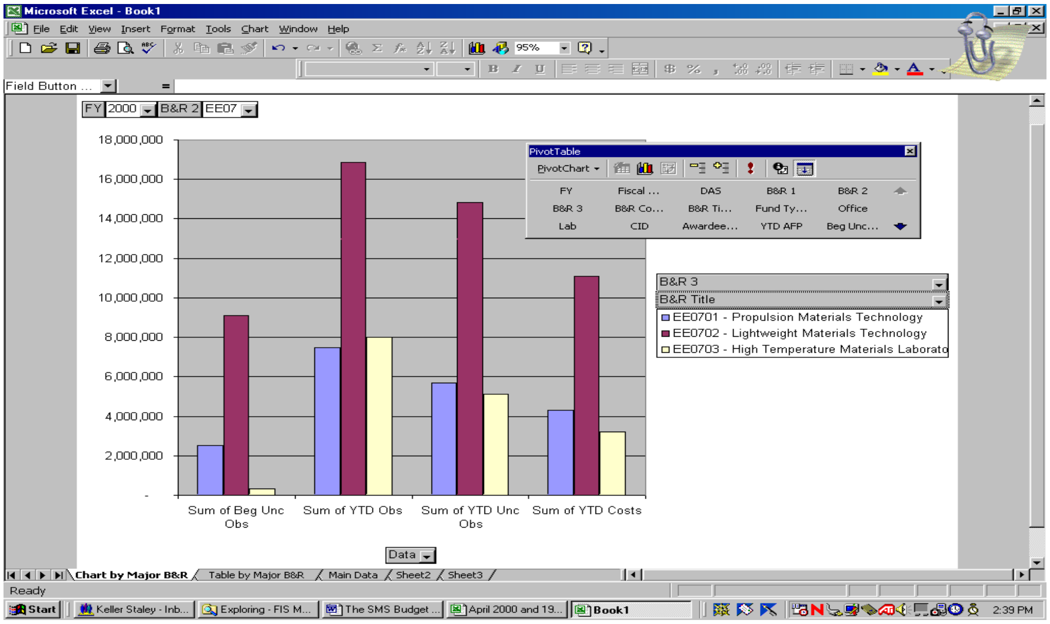


Table by Major B&R

Refer to the tutorial sections, "How to Use Auto Filter?" and "How do I get Subtotals Automatically?" to learn more about using "filter" and "subtotal" to manipulate the Main Data worksheet.

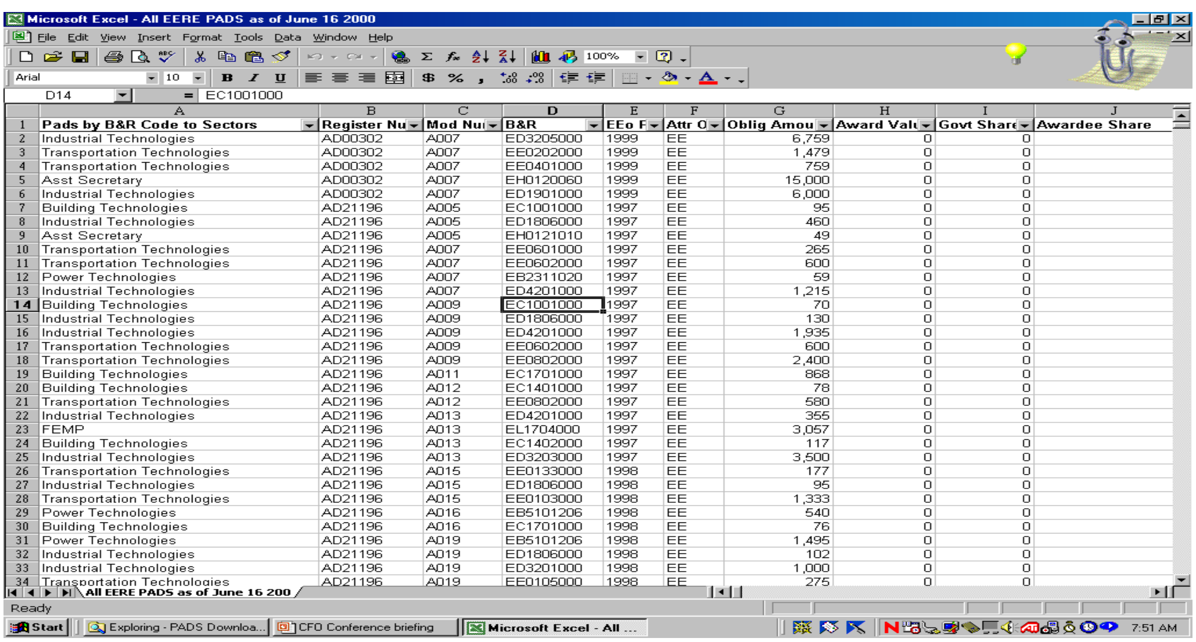
SEE NOTES ON CHG



f. PADS Reports

The Procurement and Assistance Data System (PADS) is the official Departmental system for tracking the status, value, and other characteristics of almost all direct contracts, cooperative agreements, grants, and other acquisition vehicles. Key fields in PADS include, among numerous others: awardee; awardee location (state, city, address, district); award value; obligations by year; modifications by year (dollar value); and type of award.

The Budget Hut updates the PADS data monthly and displays in three different formats: Main Data, Pivot Table, and Pivot Chart.



Microsoft Excel - All EERE PADS as of June 16 2000

	A	B	C	D	E	F	G	H	I	J
1	Pads by B&R Code to Sectors	Register Nu	Mod Nu	B&R	EEo F	Attr O	Oblig Amou	Award Valu	Govt Share	Awardee Share
2	Industrial Technologies	AD00302	A007	ED3205000	1999	EE	6,759	0	0	
3	Transportation Technologies	AD00302	A007	EE0202000	1999	EE	1,479	0	0	
4	Transportation Technologies	AD00302	A007	EE0401000	1999	EE	759	0	0	
5	Asst Secretary	AD00302	A007	EH0120060	1999	EE	15,000	0	0	
6	Industrial Technologies	AD00302	A007	ED1901000	1999	EE	6,000	0	0	
7	Building Technologies	AD21196	A005	EC1001000	1997	EE	95	0	0	
8	Industrial Technologies	AD21196	A005	ED1806000	1997	EE	460	0	0	
9	Asst Secretary	AD21196	A005	EH0121010	1997	EE	49	0	0	
10	Transportation Technologies	AD21196	A007	EE0601000	1997	EE	265	0	0	
11	Transportation Technologies	AD21196	A007	EE0602000	1997	EE	600	0	0	
12	Power Technologies	AD21196	A007	EB2311020	1997	EE	59	0	0	
13	Industrial Technologies	AD21196	A007	ED4201000	1997	EE	1,215	0	0	
14	Building Technologies	AD21196	A009	EC1001000	1997	EE	70	0	0	
15	Industrial Technologies	AD21196	A009	ED1806000	1997	EE	130	0	0	
16	Industrial Technologies	AD21196	A009	ED4201000	1997	EE	1,935	0	0	
17	Transportation Technologies	AD21196	A009	EE0602000	1997	EE	600	0	0	
18	Transportation Technologies	AD21196	A009	EE0802000	1997	EE	2,400	0	0	
19	Building Technologies	AD21196	A011	EC1701000	1997	EE	868	0	0	
20	Building Technologies	AD21196	A012	EC1401000	1997	EE	78	0	0	
21	Transportation Technologies	AD21196	A012	EE0802000	1997	EE	580	0	0	
22	Industrial Technologies	AD21196	A013	ED4201000	1997	EE	355	0	0	
23	FEMP	AD21196	A013	EL1704000	1997	EE	3,057	0	0	
24	Building Technologies	AD21196	A013	EC1402000	1997	EE	117	0	0	
25	Industrial Technologies	AD21196	A013	ED3203000	1997	EE	3,500	0	0	
26	Transportation Technologies	AD21196	A015	EE0133000	1998	EE	177	0	0	
27	Industrial Technologies	AD21196	A015	ED1806000	1998	EE	95	0	0	
28	Transportation Technologies	AD21196	A015	EE0103000	1998	EE	1,333	0	0	
29	Power Technologies	AD21196	A016	EB5101206	1998	EE	540	0	0	
30	Building Technologies	AD21196	A016	EC1701000	1998	EE	76	0	0	
31	Power Technologies	AD21196	A019	EB5101206	1998	EE	1,495	0	0	
32	Industrial Technologies	AD21196	A019	ED1806000	1998	EE	102	0	0	
33	Industrial Technologies	AD21196	A019	ED3201000	1998	EE	1,000	0	0	
34	Transportation Technologies	AD21196	A019	EE0105000	1998	EE	275	0	0	

All EERE PADS as of June 16 200

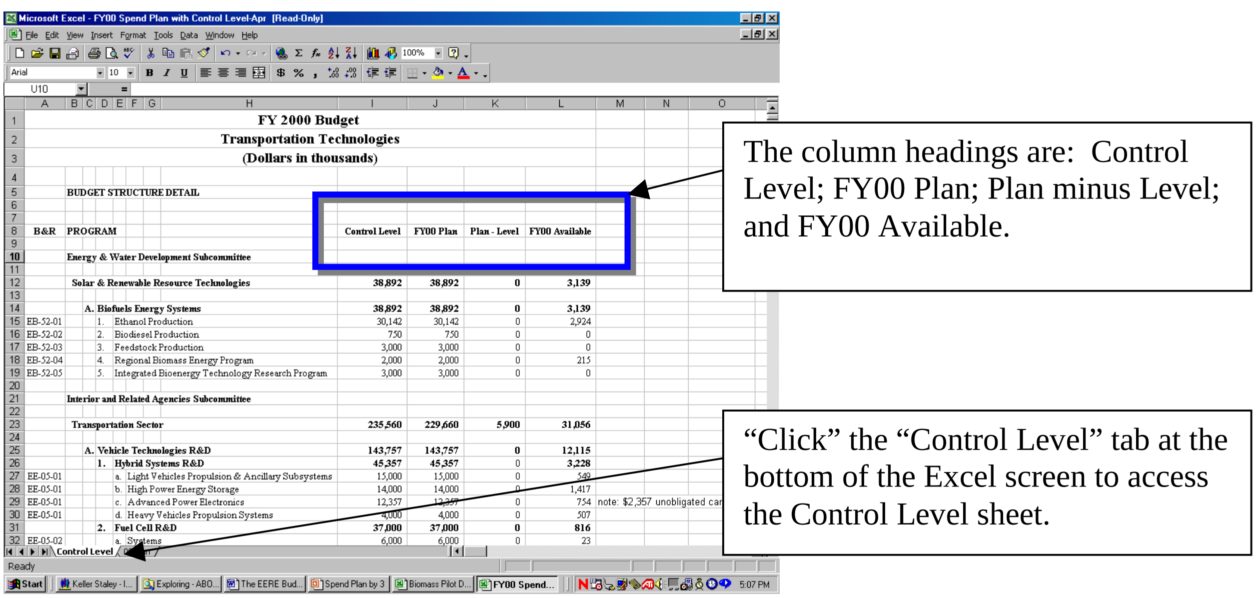
g. Spend Plan, Milestones, and Projects

This folder provides a central location and a common format and process to:

- Plan spending for the entire execution year;
- Track spending relative to control levels;
- Track spending actions from “initiation” to “authorization” within EERE;
- Report spending status by month, B&R, type, lab, initiator, etc.;
- Link that spending to work performance indicators such as milestones and project descriptions – the heart of an EERE-wide Annual Operating Plan (AOP); and
- Relate budget execution to budget formulation.

<u>How to Plan Spending for the Entire Execution Year.</u> The Spend Plan allows you to use the entire Spend Plan for the current year as a starting point for identifying and planning spending for the next fiscal year.

i. <u>How to Track Spending Relative to Control Levels</u> The Spend Plan relates spending to Control Levels by a Control Level worksheet located one “click” away from the Spend Plan worksheet. Users access the Control Level worksheet by clicking on the Control Level tab at the bottom of the Excel window.



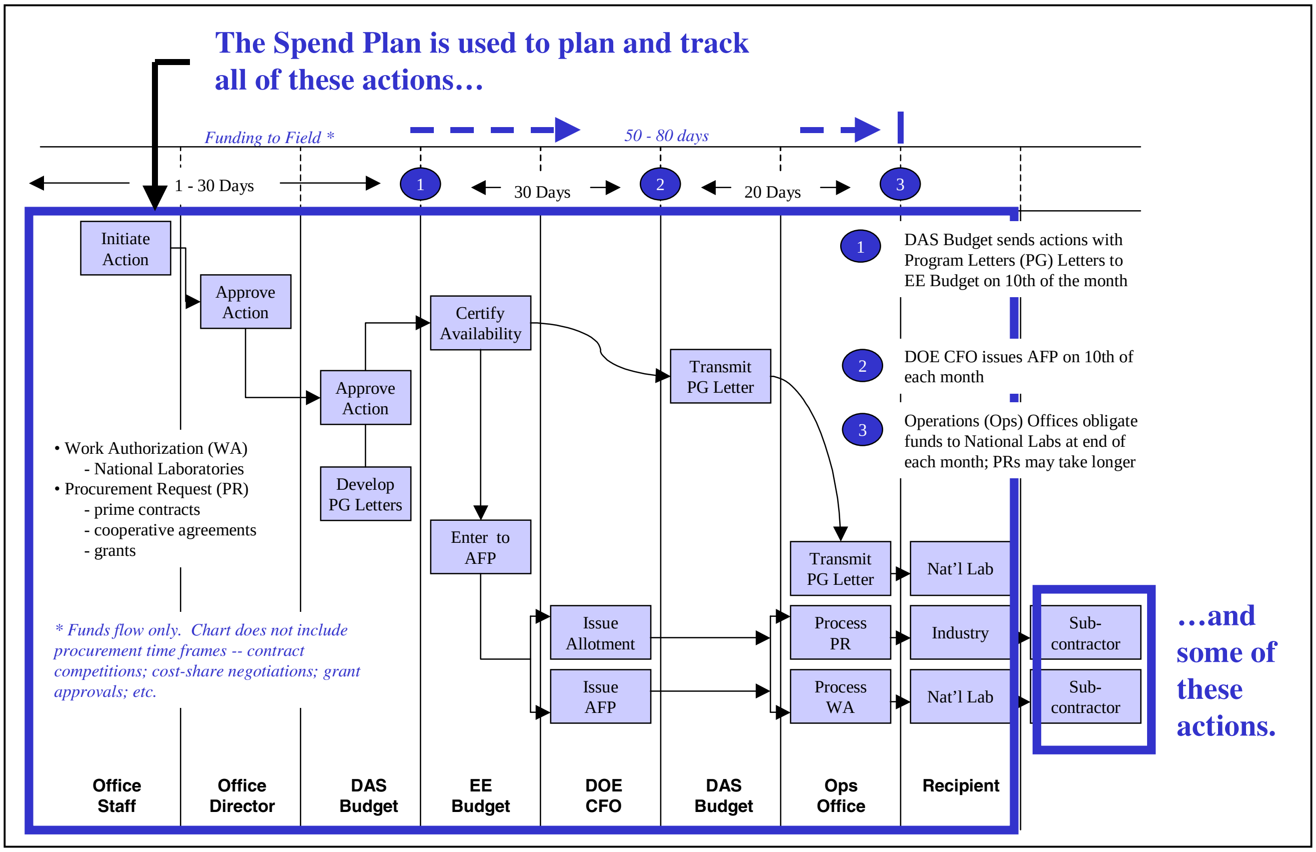
The Control Level worksheet shows appropriated amounts at the lowest level of detail – Key Activity, for example, with Interior appropriations – in the same structure as the appropriation. The Spend Plan is structured the same way with Program, Subprogram, and Key Activity for each project.

The column adjacent to the Control Level column – the "Planned" column – automatically shows the sum of the amounts in the "Planned" column of the Spend Plan. Any change in the "Planned" amounts in the Spend Plan will automatically be reflected in the "Planned" column of the Control Level worksheet.

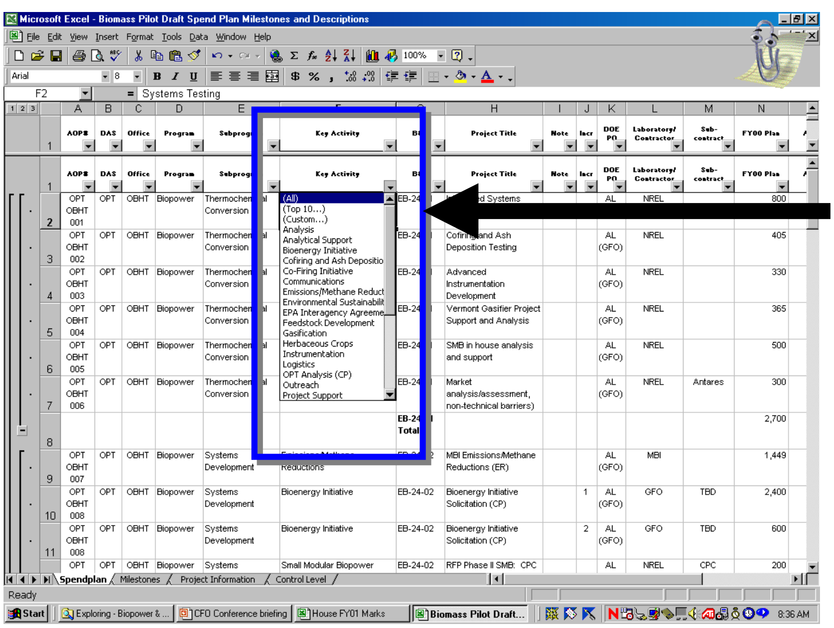
The column "Planned – Control" automatically calculates the delta between the Control Level and the amounts in the "Planned" column. Any case of "over planning" – where the planned amount exceeds the Control Level, is depicted in red as a negative number. Cases of "under planning" are depicted as positives and are in black. The preferred case is that the delta is zero – reflecting that all funds available as denoted in the Control Level are planned in the Spend Plan.

The last column, "Available", automatically summarizes the "Available" column of the Spend Plan. That column in both depicts the amount of funds that have been "planned" but have not yet been sent by the sector organization to OPBM as a Work Authorization (WA), Procurement Request (PR), or any other appropriate funding vehicle.

How to Track Spending Actions from "Initiation" to "Authorization" Within EERE. The Spend Plan includes date fields for the date the action is sent to PMB ("Date to PBM") and the date the action is authorized by PBM ("Date Authorized"). The graphic below summarizes the overall spending process covered by the Spend Plan.

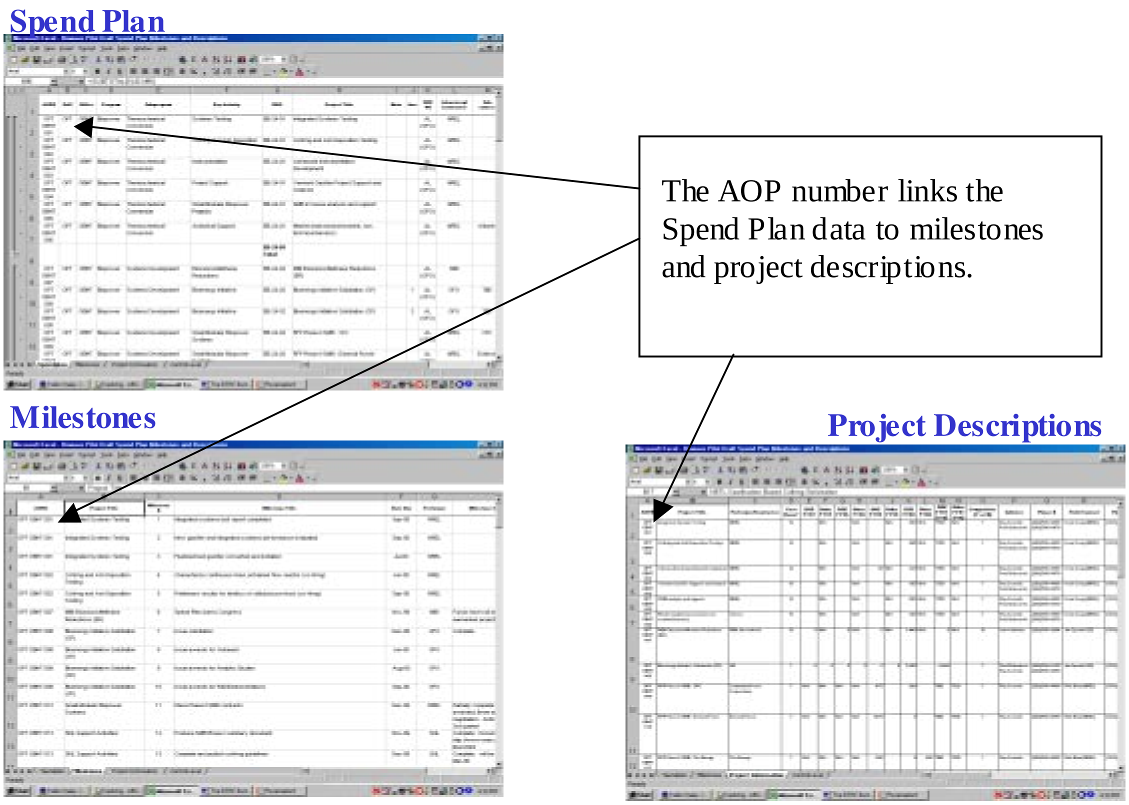


How to Report spending status by month, B&R, type, lab, initiator, etc. The Excel "filter", "pivot table" and "pivot chart" features allow easy reporting by table or by chart for every field used in the Spend Plan.



Main Data
The "Main Data" spreadsheet is used to maintain and update the Spend Plan. "Filter" (see blue box) allows reporting by any item in any column.

ii. **<u>How to Link Dollars to Work Performance</u>** The Spend Plan links dollars to work performance by relating the items listed in the Spend Plan – the actual rows in the spreadsheet – to milestones and project descriptions. The specific mechanism for that linkage is the first column of the Spend Plan, the AOP (Annual Operating Plan) Number. Those numbers – unique numbers assigned by the sector organization for each unique Spend Plan item – are assigned by the sector organization to the relevant milestones and project descriptions described in the Milestones and Project Descriptions worksheets.



The structure of the AOP number follows the sector and office designations. The first characters in the AOP number reflect the DAS designation (for example, OPT for the Office of Power Technologies, and FEMP, for the Federal Energy Management Program). The second three characters reflect the office designation (for example, AAT for the Office of Advanced Automotive Technologies). The third three characters are any numbers 001 through 999 such that any item in the Spend Plan with a combination of Project Title and Performer that is unique has an AOP number that is also unique.

The AOP number OTT AAT 012, for example, denotes a project funded by the Office of Advanced Automotive Technologies (OAAT). Any incremental funding of that project to the same performer should carry the same AOP number (each of those increments receive a different designation – 1, 2, or 3, for example – in the "Increment" column of the Spend Plan). Funding by OAAT of the same project to a different performer should carry a different AOP number such as OTT AAT 013.

Anyone entering data in the Spend Plan, Milestones, or Project Descriptions worksheets should be careful to use the exact same wording for the title of a project every time that project appears.

Instructions on the use of the Milestones and Project Descriptions worksheets are found later in this manual.

Instructions on relating "cross cutting" projects are found in the discussion of the Project Title column of the Spend Plan.

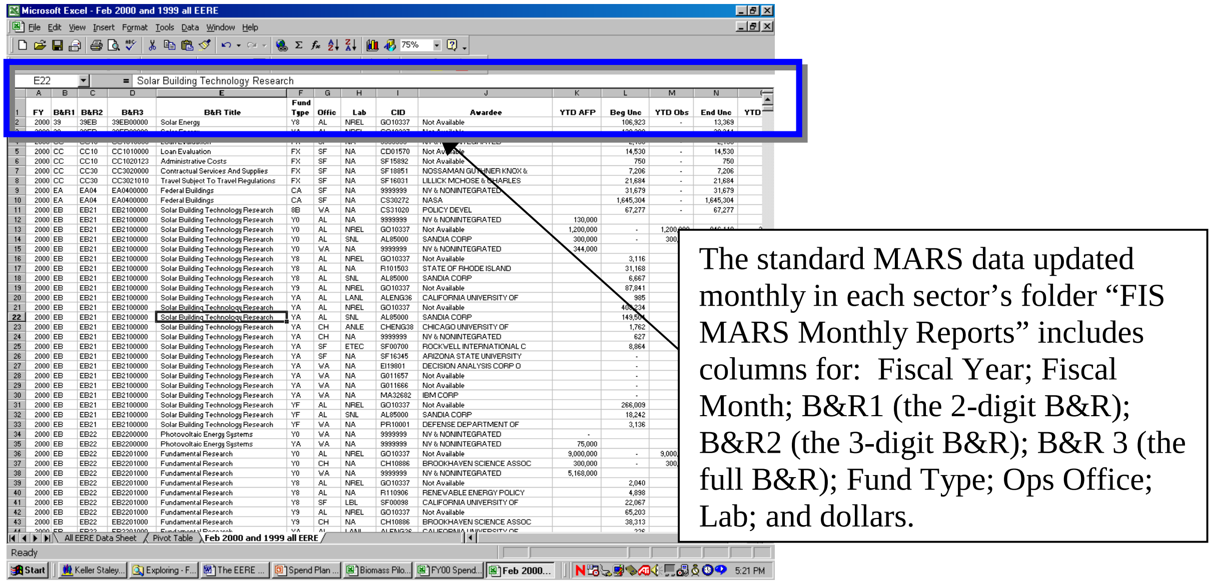
iii. How to Link the Spend Plan to Departmental Data on Costs, Obligations, and Uncosteds

The Spend Plan does not track costs, obligations, or uncosteds but instead provides several data fields that allow easy reference to similar data fields in the Management and Reporting System (MARS) which is the official Departmental financial system. The table below shows the relation of data fields found in both the Spend Plan and MARS.

Spend Plan Field (Column Heading)	MARS Field
B&R (number and title)	B&R (number and title)
CID	CID
Performer	Awardee
Ops Office	Ops Office
Lab	Lab

You can review the MARS data by opening the folder "MARS Monthly Reports" in your sector's folder on the "J" drive Budget Hut. That folder includes an Excel spreadsheet with the latest MARS data for all B&Rs relevant to your sector.

You can manipulate this raw data easily with the Excel filter, subtotal, sort, and pivot table tools, or you can access PowerPoint files with graphics depicting the current status of obligations, costs, uncosted, and unobligated by B&R, lab, and operations office. You can request OPBM to develop any monthly or ad hoc report for you, or you can receive instruction from OPBM on how to build such reports yourself.



Specific instructions on the use of the MARS reports and the PowerPoint files are provided later in this manual.

iv. <u>Relating Budget Execution to Budget Formulation</u> The Program-Subprogram-Key Activity structure of the Spend Plan makes it an outstanding tool for using the project-level data in the Spend Plan as a "bottoms up" tool for formulating budgets. The best way to do this is to copy the Spend Plan to a new file and eliminate columns unnecessary for budget formulation (such as the dates, "available", "BFM", and "Month"). Then eliminate any rows depicting one time purchases (such as office supplies) and incremental funding of the same project. After eliminating the unnecessary rows and columns, enter dollar amounts in the "Planned" columns for the existing and new projects as you expect to fund them in the year for which you are formulating the budget. After entering the dollar amounts, "click" to the Control Level and review the "Planned" column to the results of your dollar allocations as summed to the Key Activity, Subprogram, Program, and other relevant levels.

You can also adjust the "Control Level" column in the Control Level spreadsheet to depict detail or summary level dollar-level goals. The "Plan – Control" column automatically depicts any differences between the goals and the amounts planned in the Spend Plan.

v. Data Field Definitions – The Spend Plan Spreadsheet

AOP#: This is a sequential number established by the program manager, which represents a fund transfer action (typically, a fund transfer letter or a procurement request to a given entity; however, there may be multiple increments of funding during a fiscal year to one entity: see increment column definition below). If a fund transfer consists of multiple B&D codes/subcodes and/or Type codes, there will be multiple AOP#s for the fund transfer action.

DAS: This is a sector code.

Sector Code	EE Sector Name
OPT	Office of Power Technologies
OIT	Office of Industrial Technologies
OTT	Office of Transportation Technologies
BTS	Office of Building Technologies, State and Community Programs
OPBM	Office of Planning, Budget, and Management
FEMP	Federal Energy Management Program

Office: This is either EE-XX or OXXX. Whichever is used, it should be consistent for all program records in that office.

Program: This should be the name of the program as shown in the Budget Request.

Subprogram: This should be the name of the subprogram: subprograms are often shown in the E&WD budget request (be consistent with the budget request). Sometimes, subprograms are associated with specific B&R category codes.

Key Activity: Often key activities are identified in the Interior budget request (where identified in the budget request, be consistent).

B&R: These are the funding codes, which may be up to 9 characters in length, depending on the categories for a program. *Note: the DOE financial data systems use the full nine characters.*

Project Title: A descriptive title of the work being performed. The project title must be unique, since it is used as a key identifier on both the project and milestones spreadsheets. In order to identify certain types of projects, the additional codes shown in the table will be inserted, where applicable.

Additional Codes for Project Titles (add after the unique project title)

Additional Codes	Description
(ER)	Congressional earmark
(SEP)	Project selected/to be selected from the State Energy Program special projects solicitation
(HBCU)	Work performed by one of the Historically Black Colleges and Universities (see attached list)
(HSI)	Work performed by one of the Hispanic Serving Institutions (see attached list)
(NA)	Work that directly benefits Native Americans, such as a technology field validation project on an Indian Reservation or work performed by one of the Tribal Colleges and Universities (see attached list)
(CP)	Collaborative Project: where more than one EERE program funds this project. In this case each program that funds this project must use the same identical project title followed by (CP)

Collaborative projects may be used within a sector, such as in OPT to analyze the national projected market penetration of the portfolio of renewable energy technologies in the year 2020. In this case, each renewable energy program would provide a portion of the funding for this collaborative project. Each program would have a project title entry of "FY 2000 OPT Renewable Energy Market Contribution Analysis in 2020 (CP)" with the associated funding from that program. Similarly, we could have collaborative projects among sectors, such as among OIT, OPT and OTT for the Bioenergy Initiative. In this case an identical project title with "(CP)" added at the end of the title would be shown in each program that provides funding t this collaborative project. This coding allows the capability to pull and list all collaborative project efforts.

Note: This field can be used to further categorize the information, such as assessments (AS), carryover (CO), etc.

Increment: This is a sequential number that is used to specify various increments of funding.

DOE PO: This represents the DOE procurement office to which the fund transfer letter or procurement request is sent. Note that the Golden Field Office and the Regional Offices receive their funding through the Albuquerque Operations Office.

Procurement Office Code	Procurement Office
AL	Albuquerque Operations Office
AL(GFO)	Golden Field Office
AL(BRO)	Boston Regional Office
AL(PRO)	Philadelphia Regional Office
AL(ARO)	Atlanta Regional Office
AL(CRO)	Chicago Regional Office
AL(DRO)	Denver Regional Office
AL(SRO)	Seattle Regional Office
CH	Chicago Operations Office
ID	Idaho Operations Office
NV	Nevada Operations Office
OR	Oak Ridge Operations Office
OAK	Oakland Operations Office
RL	Richland Operations Office
SR	Savannah River Operations Office
FT	National Energy Technology Laboratory (NETL)
HQ	Headquarters Procurement

Laboratory/Contractor: If the funds are sent by the DOE Procurement Office to a national laboratory or to a DOE laboratory, show the national laboratory (NREL, ORNL, SNL, PNNL, etc). If an award is made by a DOE procurement office, list the name of the recipient.

National Laboratory

National Laboratory Code	National Laboratory
ANL	Argonne National Laboratory
BNL	Brookhaven National Laboratory
INEEL	Idaho National Engineering and Environmental Laboratory
LBNL	Lawrence Berkeley National Laboratory
LLNL	Lawrence Livermore National Laboratory
LANL	Los Alamos National Laboratory
NREL	National Renewable Energy Laboratory
ORNL	Oak Ridge National Laboratory
PNNL	Pacific Northwest National Laboratory
SNL	Sandia National Laboratory

Other DOE Laboratories

Laboratory Code	Laboratory
NETL	National Energy Technology Laboratory
SRTC	Savannah River Technology Center

Subcontractor: Only for laboratory subcontracts (or subcontracts from consortiums), show the name of the recipient of the subcontract. *For subcontracts below a threshold of $50K, a sector may wish to group these in categories of competitive and non-competitive contracts.*

FY00 plan ($K): The is the planned amount of funding for this project in $K (thousands of dollars). For laboratory subcontracts, this will be the actual amount of the award(s) and will not include the lab cost of subcontract processing and administration.

Available ($K): This is the remaining planned funding that has not yet been transmitted in a fund transfer letter or a procurement request in $K (thousands of dollars).

Date to OPBM: This is the date that the sector has sent the signed fund transfer or procurement request to OPBM.

Date Authorized: This is the date that OPBM certifies that the fund transfer or procurement request.

Month/FIN: For fund transfers, this is the month of the FIN plan transfer.

BFM: This is the tracking number added to the fund transfer by OPBM.

CID or FWP No.: CID is the contractor identification number. This number is used by the Department's financial database to identify national laboratories and other performers of work. In the PADS download for the Budget Hut, the CID is shown as the Register Number. The FWP number may not be as useful, since all lab work for a program usually has the same FWP number.

Initiator: This is the name of the EE program manager for this project (often the initiator of the fund transfer or the procurement request).

Type: This is a code that represents the mechanism for the accomplishment of the work.

Code	Description
LD	Laboratory Direct (funding for in-house R&D or administration of lab subcontracts)
LS	Laboratory subcontract (this represents the actual award cost of the subcontract(s)).
CRADA	Cooperative Research and Development Agreement (awarded from a DOE Procurement Office for work in a national lab with outside partners)
CA	Cooperative Agreement (Awarded from a DOE Procurement Office)
PC	Prime Contract (awarded from a DOE Procurement Office)
GD	Discretionary Grant (awarded from a DOE Procurement Office)
GF	Formula Grant (such as under the State Grant Programs in OBTS)
SB	SBIR/STTR funding
IA	Interagency Agreement (funds provided to another Federal government entity)
O	Other

Data Field Definitions – The Milestone Spreadsheet

AOP#: This is a sequential number established by the program manager, which represents a fund transfer action (typically, a fund transfer letter or a procurement request to a given entity; however, there may be multiple increments of funding during a fiscal year to one entity: see increment column definition below).

Project Title: A descriptive title of the work being performed. The project title must be unique, since it is used as a key identifier on both the project and milestones spreadsheets. In order to identify certain types of projects, the additional codes shown in the table will be inserted, where applicable.

Additional Codes for Project Titles (add after the unique project title)

Additional Codes	Description
(ER)	Congressional earmark
(SEP)	Project selected/to be selected from the State Energy Program special projects solicitation
(HBCU)	Work performed by one of the Historically Black Colleges and Universities (see attached list)
(HSI)	Work performed by one of the Hispanic Serving Institutions (see attached list)
(NA)	Work that directly benefits Native Americans, such as a technology field validation project on an Indian Reservation or work performed by one of the Tribal Colleges and Universities (see attached list)
(CP)	Collaborative Project: where more than one EERE program funds this project. In this case each program that funds this project must use the same identical project title followed by (CP)

Collaborative projects may be used within a sector, such as in OPT to analyze the national projected market penetration of the portfolio of renewable energy technologies in the year 2020. In this case, each renewable energy program would provide a portion of the funding for this collaborative project. Each program would have a project title entry of "FY 2000 OPT Renewable Energy Market Contribution Analysis in 2020 (CP)" with the associated funding from that program. Similarly, we could have collaborative projects among sectors, such as among OIT, OPT and OTT for the Bioenergy Initiative. In this case an identical project title with "(CP)" added at the end of the title would be shown in each program that provides funding t this collaborative project. This coding allows the capability to pull and list all collaborative project efforts.

Milestone Description: Concise description of the milestone.

Performer: For in-house laboratory work or a CRADA, show the national laboratory. For either a laboratory subcontract or an award from a DOE Procurement Office, this would be the contractor/recipient. For a consortium which has subcontracts, the program manager may wish to show the consortium/subcontractor (the only issue with milestones is that we hold the consortium responsible for performance, not the consortium's subcontractors).

Milestone Status (narrative): description of the current status of the milestone.

Milestone Status: Pull down symbols that can be used by the program manager.

Importance level: This ranges from 1 to 5 with 1 being the most important level. Use the following table for general guidance.

Importance Level	General Guidelines
1	Of importance to at least the Assistant Secretary. This includes reports to Congress, attainment of legal requirements, rulemaking, sensitive Congressional earmarks, and performance measures in the Secretary's performance agreement with the President. This would also include events to likely be attended by the Assistant Secretary or higher level official.
2	Of importance to at least the Deputy Assistant Secretary. This includes events to likely be attended by the Deputy Assistant Secretary.
3	Of importance to at least the office director.
4	Of high importance to the program manager.
5	Of moderate importance to the program manager.

Notes:

- Importance level 1 and 2 milestones would likely be tracked for the S-2 monthly briefing. For events, level 1 and 2 milestones would likely be included in the 30-60-90 day calendar.
- Importance level 1, 2 and 3 milestones would likely be reported in the sector's weekly report to the Assistant Secretary.
- Importance level 1, 2, 3 and 4 milestones for national laboratories would likely be tracked as input to award fee evaluations for the national laboratories.

Date last updated: Date of the most recent entry in the milestone status (narrative field) by the responsible DOE program manager.

Updated By: Name of the responsible DOE program manager.

Data Field Definitions – <u>The Projects Spreadsheet</u>

<u>AOP#:</u> This is a sequential number established by the program manager, which represents a fund transfer action (typically, a fund transfer letter or a procurement request to a given entity). If a fund transfer consists of multiple B&D codes/subcodes and/or Type codes, there will be multiple AOP#s for the fund transfer action.

<u>Project Title:</u> A descriptive title of the work being performed. <u>The project title must be unique,</u> since it is used as a key identifier on both the project and milestones spreadsheets. In order to identify certain types of projects, the additional codes shown in the table will be inserted, where applicable.

Additional Codes for Project Titles (add after the unique project title)

Additional Codes	Description
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(HSI)	Work performed by one of the Hispanic Serving Institutions (see attached list)
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(CP)	Collaborative Project: where more than one EERE program funds this project. In this case each program that funds this project must use the same identical project title followed by (CP)

Collaborative projects may be used within a sector, such as in OPT to analyze the national projected market penetration of the portfolio of renewable energy technologies in the year 2020. In this case, each renewable energy program would provide a portion of the funding for this collaborative project. Each program would have a project title entry of “FY 2000 OPT Renewable Energy Market Contribution Analysis in 2020 (CP)” with the associated funding from that program. Similarly, we could have collaborative projects among sectors, such as among OIT, OPT and OTT for the Bioenergy Initiative. In this case an identical project title with “(CP)” added at the end of the title would be shown in each program that provides funding t this collaborative project. This coding allows the capability to pull and list all collaborative project efforts.

Performer: For laboratory in-house work (LD) or a CRADA, show the cognizant national laboratory; otherwise, show the actual recipient of funds. Where a program provides a large amount of funds to a consortium, the program manager may want to show the subcontractor to the consortium as the performer.

Cost Share: Is there a non-Federal cost share for this project or project increment: Y for yes or N for no. Cost share may be in cash and/or in-kind services.

DOE FXX ($K): Program's DOE funding in $K for this project or project increment for fiscal year XX.

Other FXX ($K): Dollar value in $K of non-Federal cost share in fiscal year XX. This includes cash plus the dollar value of in-kind services.

Competitive: Was this project competitively awarded? Y for yes or N for no. Show SBIR/STTR funds as competitive, since awards are made through competitive solicitations. All in-house laboratory work (type code: Laboratory Direct) should be shown as competitive. National Laboratories are Federally-Funded Research and Development Centers, which have a recognized role under Part 35 of the Federal Acquisition Regulations, Research and Development Contracting. The M&O contracts for these laboratories are competed (typically, a 5-year base contract with a 5-year option). In most cases Interagency Agreements can be considered as competitive. Typically, interagency agreement funds are either provided to a Federally-Funded Research and Development Center for in-house R&D or are used for competitive solicitations. Many consortiums competitively subcontract work. In these cases the funding of these consortium subcontracts should be shown as competitive, while the status of the remaining funding for the management services of the consortium would depend on the status of the award to the consortium (for example, the consortium could have received a non-competitively award under a cooperative agreement).

Initiator: DOE program manager(s) responsible for the management oversight of this project or project increment.

Phone #: Telephone number of the initiator: the responsible DOE program manager(s).

Field Contact: The technical monitor/contracting officers representative for either a laboratory subcontract or an award made by a DOE procurement office. For in-house national laboratory work, this is the responsible national laboratory project manager.

Phone #: The telephone number of the field contact.

Contractor: Name of the point of contact for the contractor for a laboratory subcontract or the recipient of an award made by a DOE procurement office. With the exception of work performed in-house or under a CRADA at a DOE laboratory, this is the point of contact for the performer of the work. For a subcontractor to a consortium, a program manager may want to show both the name of the point of contact to the consortium and the name of the point of contact for the subcontract, since the field contact would be the technical monitor, contracting officer's representative for the award to the consortium.

Phone #: The telephone number of the point of contact for the contractor.

Project Summary: This is a brief description of the scope of work and its objective (what it is intended to accomplish).

Major Partners: Significant project partners in additional to the primary contractor. For a CRADA, which involves in-house work in a national laboratory, there are one or more non-Federal partners.

Start Date: Start date of work on the project or project increment.

Completion Date: Projected completion date of the project or project increment.

City: City of the performer of the project or project increment: city of the national laboratory if the project is performed in-house; otherwise, city of the contractor/recipient of DOE procurement office award or a laboratory subcontract.

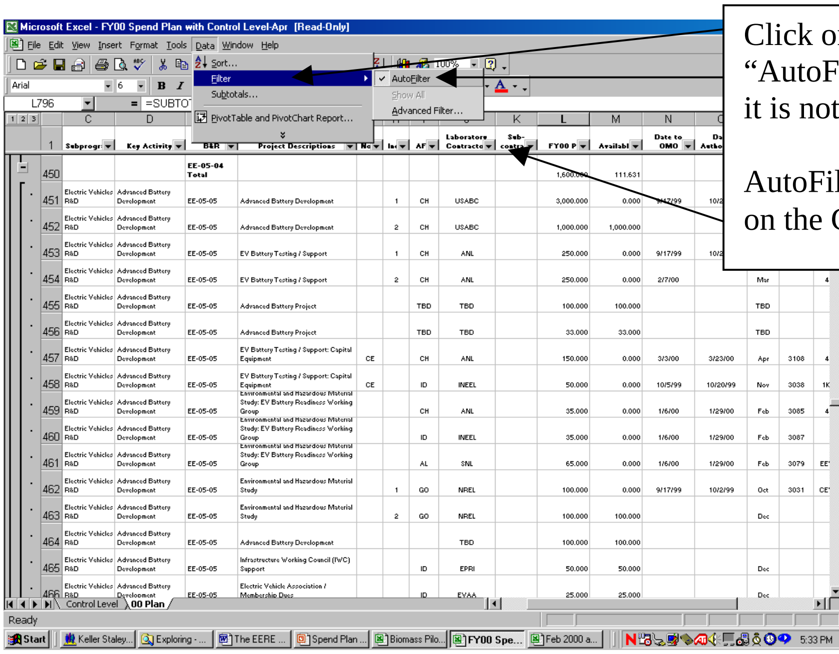
State: State of the performer of the project or project increment: state of the national laboratory if the project is performed in-house; otherwise, state of the contractor/recipient of DOE procurement office award or a laboratory subcontract.

District: Congressional District of performer of the project or project increment: Congressional District of the national laboratory if the project is performed in-house; otherwise, Congressional District of the contractor/recipient of DOE procurement office award or a laboratory subcontract. Note: for awards from a DOE procurement office, this can be obtained from PADS.

National Laboratory	State	Congressional District/Representative
Argonne National Laboratory (ANL)	IL	13/Judy Biggert
Brookhaven National Laboratory (BNL)	NY	1/Michael Forbes
Idaho National Engineering and Environmental Laboratory (INEEL)	ID	2/Mike Simpson
Lawrence Berkeley National Laboratory (LBL)	CA	9/Barbara Lee
Lawrence Livermore National Laboratory (LLNL)	CA	10/Ellen Tauscher
Los Alamos National Laboratory (LANL)	NM	3/Tom Udall
National Renewable Energy Laboratory (NREL)	CO	6/Tom Tancredo
Oak Ridge National Laboratory (ORNL)	TN	3/Zach Wamp
Pacific Northwest National Laboratory (PNNL)	WA	4/Doc Hastings
Sandia National Laboratory (SNL)	NM	1/Heather Wilson

vi. How to Use Auto Filter?

Auto Filter is an Excel tool that allows you pick an item in a column and see every row where that item appears. To pick every instance of "NREL" in the "Laboratory / Contractor" column of the Spend Plan, for example, click on the arrow that appears at the top of that column.



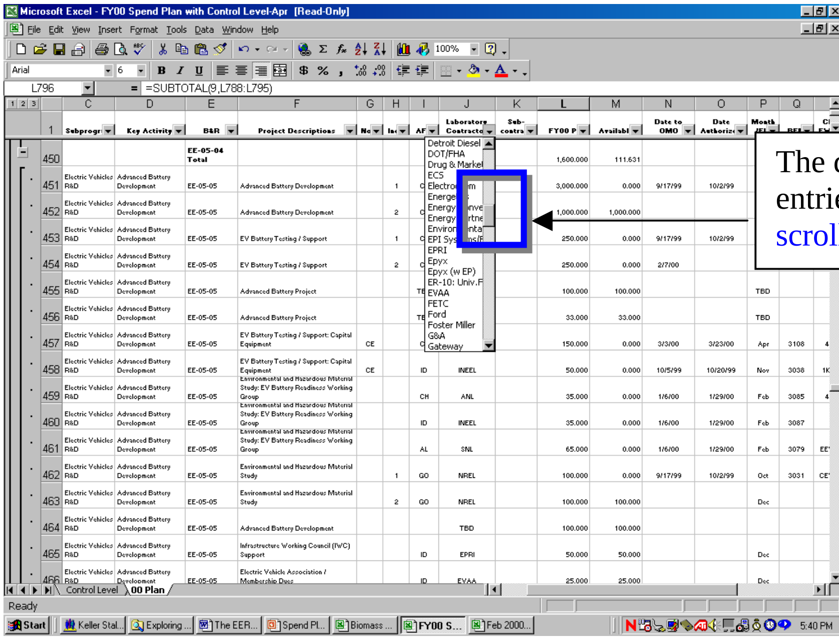
Click on "Data"; the "Filter"; then "AutoFilter" to activate AutoFilter if it is not on.

AutoFilter is on if the arrows appear on the Column Heading row.

(Note: If the arrow does not appear, Auto Filter is not on. To turn it on, click on any cell in the spreadsheet, click on the "Data" box at the top of the screen, and click on "Auto Filter" in the drop-down window. The arrows should appear at the top of each column automatically.)

Clicking on the Auto Filter arrow automatically produces a drop-down window that lists in alphabetical order every unique laboratory and contractor name that appears in that column. Select the item you want to see by clicking on it. The spreadsheet automatically filters to show the entire row of every instance of the item you selected – all other rows are filtered out.

A subtotal for the "Planned" and "Available" columns will appear at the bottom of the filtered list if the "Subtotal" tool has been activated previously. To see subtotals otherwise, you can activate the "Subtotal" tool or click the "∑" key at the top of the Excel screen. [See more on subtotals in the, "How to Use Subtotals," section of this manual.



The drop-down window lists the entries alphabetically. Use the bar to scroll through the list.

vii. How to Use the Scroll and Freeze Panes Features

It is often useful to scroll down or to the right of a spreadsheet and still see the column headings or the first few columns of a row. Excel provides two ways to do this.

The first feature relates only to freezing the column headings as you scroll down a spreadsheet. Activate the feature by moving the cursor to the top right corner of the borders of the Excel screen – to the horizontal bar that appears just above the arrow in the page-long vertical bar that appears at the right of the screen. When the cursor touches the bar, it will become highlighted as a small horizontal bar with small two arrows pointing up and down. To freeze the column heading row so that it appears regardless how far down the spreadsheet you scroll, hold the left click button down and pull the highlighted bar to the line between the first and second rows. Release the button, and the scroll feature is activated until you deactivate it by moving the bar back to its original position.

The second feature freezes both horizontally and vertically. Activate the feature by clicking on the cell that is just below and to the right of the rows and columns you want to remain static ("frozen") regardless where you are in the spreadsheet. The most useful place to do this is just below the column headings row (so that you can see the column headings at all times) and just to the right of the "AOP #" or "Project Title" columns.

After clicking on the cell, click on the "Window" key at the top of the Excel screen and the click on "Freeze Panes". Deactivate the "Freeze Panes" feature by returning to the "Window" key and click on "Unfreeze Panes".

viii. How Can I Send a Report to Each Lab Summarizing the Money I Have Sent Them?

This is a useful report to send each lab periodically – maybe with each new AFP – to assure a consistent understanding between the lab and headquarters regarding the status of the funds sent to date. The basis of the report can be by DAS, office, program, B&R, initiator or any of the other appropriate column headings that appear in the Spend Plan.

To base the report on DAS for example, use the Auto Filter to filter to the appropriate DAS organization (or FEMP). Further filter the report to the specific lab by selecting that lab from the "Laboratory / Contractor" column. The report now shows every instance of that DAS sending funds to the selected lab – regardless whether the funds have been sent or are still available to be sent.

Filter the report further to only the items that have actually been sent to the lab by using the Auto Filter on the "Date Authorized" column. Click on the Auto Filter arrow and the pick "blank" at the bottom of the drop-down window. That filters the report to only those items that have not been "authorized."

Filtering on the "BFM" column should produce the same result as filtering on the "Date Authorized" column. It is useful compare such filters sometimes to identify missing data. There should be a BFM number for each "authorized" item and vice versa. Conversely, no items without a BFM number should have an authorization date.

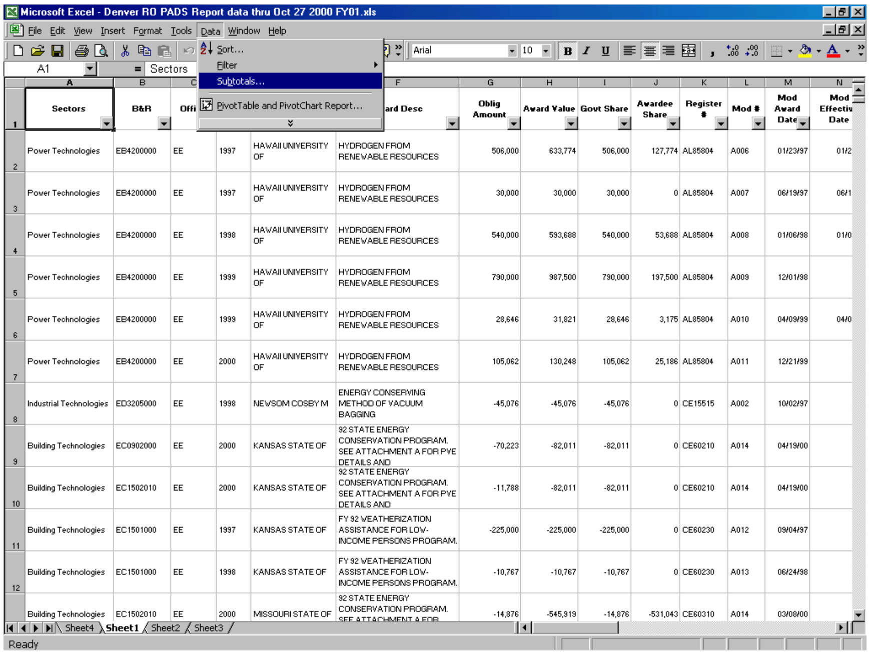
ix. How do I Add a New Item (a New Row) to the Spend Plan or the Other Spreadsheets?

The most efficient way to add a new row is to copy a row of data closest in content to the one you want to add and then paste that row into a blank row you create. To do this, click on any cell in the row just below the row where you want the new item to appear – that is also the row most probably that is closest in content to the row you want to add. Insert a new blank row by clicking on "Insert" at the top of the Excel screen; then click on "Row" and a blank row will appear above the row you originally clicked. Click on the box to the left of the row you want to copy – the box where the number of the row appears – to highlight the entire row. Click on the "copy" icon at the top of the Excel screen; move the cursor to the numbered box of the blank row you just created; and click the "paste" icon. Change the fields in the new row as appropriate.

Use the "Date Sent to OPBM" instead of the "Date Authorized" column if you want to include any items that have been sent to OPBM in addition to the items that have been "authorized".

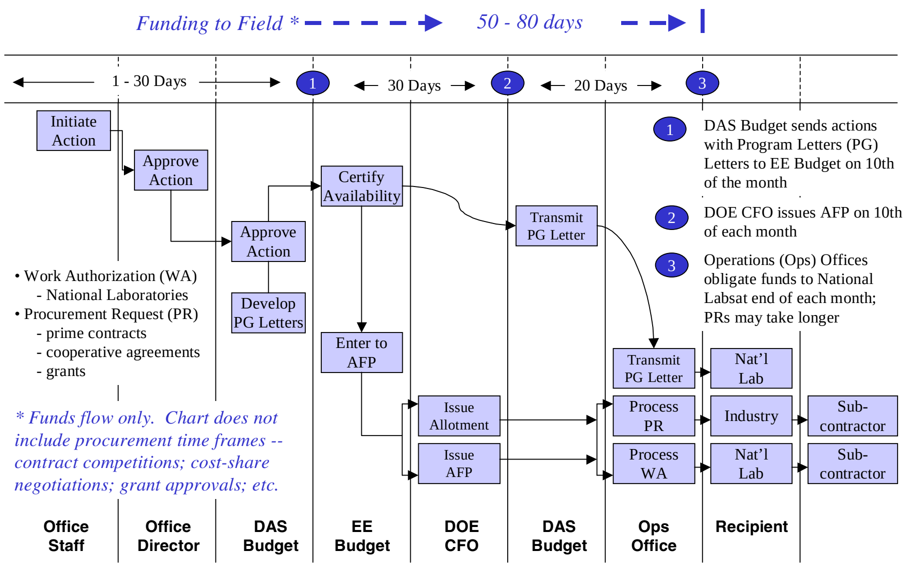
x. How do I Get Subtotals Automatically?

Activate the "Subtotals" feature of Excel by clicking on the "Data" key at the top of the Excel screen.



How do I See Only My Items in the Spend Plan or the MARS Reports?

The Spend Plan focuses on funding actions through the process by which they are planned, initiated, approved by the DAS organization, forwarded to OPBM, and authorized by OPBM. The graphic below depicts the process that the Spend Plan tracks.



It is important to understand that no other system in the Department or in the Field tracks the various funding actions during the 30 – 60 days they are within EERE.

xi. **<u>How to complete these spreadsheets</u>** These guidelines provide initial direction for the completion of these spreadsheets. While a number of circumstances have been anticipated, it is expected that additional unique circumstances will arise. When they do, revisions to these guidelines will be developed.

For the spend plan spreadsheet, general guidelines follow on what should constitute a single line entry (assistance will be provided on the initial entries to achieve consistency). For fund transfers to a national laboratory, a single line entry will generally represent that month's FIN plan transfer to that national laboratory for both a specific B&R code/sub code and a specific type of work (see Type code in the data definitions). For example, if the HTS program was sending $5 million in the October FIN plan to ORNL and $2M was for in-house R&D (LD), $2M was for lab subcontracts (LS), and $1M for Credos (CRADA), there would be three line entries: one for each type code. By doing so, this allows SMS to properly account for the intended mechanism through which the funds will be implemented. For some large programs, there may be multiple fund transfer letters in the initial FIN plan due to the limitation of the DAS's signature authority. In these cases, show these as a single line entry (unless you have multiple B&R codes/sub codes and/or multiple Type codes); this entry may have multiple BFM numbers. For transfers to a DOE Procurement Office for multi-year projects which have been previously awarded, show these as single entries. For transfers to a DOE Procurement Office for a new solicitation, show the new solicitation as a single line entry. Single line entries will typically have their own AOP sequence number with the exception of increments, which represent funding additions or withdrawals in a subsequent FIN plan transfer from the initial transfer (these lines would have the same AOP sequence number but different increment numbers to account for the resultant funding available for these actions).

The total funding for the spend plan spreadsheet should represent the total amount of appropriations that are actually available to DOE to obligate (these appropriations include SBIB/STTR/contract audit costs, which are DOE obligations from the program). This is the amount of appropriations that we will show in subsequent budget requests for that year. Typically, this represents the report language number minus general reductions and any recisions. This allows alignment with the application of this data for budget request and defense purposes. For these same budget request and defense applications, it is important that each program use the same subprogram and key activity names and division of the funds as shown in the budget request for that program.

To further define the mechanism for how the work is to be performed, there are the columns of DOE PO (DOE Procurement Office), Laboratory/Contractor, and Subcontractor. There is some latitude as to the level of detail provided on the spend plan spreadsheet versus the level shown on the project spreadsheet. In the case of funds provided to a laboratory for laboratory subcontracts for the spend plan spreadsheet, the code for the DOE Procurement Office for that lab would be in the first column, the code for the lab would be in the second column, and then a program manager could either provide a list of subcontractors or leave it blank for the third column. On the project spreadsheet, you would have individual project lines for each laboratory subcontractor (note: lab subcontractors below a certain threshold, such as $50K, could be grouped and reported in categories as long as there are separate categories for competitive and non-competitive work). Since some programs provide large amounts of funds to consortiums, which in turn subcontract to the actual performers of the work, these columns could be used in a similar manner.

In this case for the spend plan spreadsheet, the code for the DOE Procurement Office would be in the first column, the consortium would be shown in the second column as the contractor, and the subcontractors to the consortium could optionally be listed in the third column. In the project spreadsheet, you could have one project line which represents the funding of the consortium for the work it performs and separate project lines for each subcontractor to the consortium with their funding. This can have several advantages: one being the determination of competitive versus non-competitive work. While the funding to the consortium may be non-competitive, the awards to its subcontractors may be competitive. This kind of breakout allows a proper representation of the situation.

Within a program, project titles must be unique and consistent for all spreadsheets to allow tracking among the spreadsheets (consistent project titles must also be used for collaborative projects among programs). There might be multiple project lines on the project spreadsheet for a single line entry on the spend plan spreadsheet. For example, a single line on the spend plan spreadsheet may represent a competitive solicitation to be issued that will have multiple awards, a group of laboratory subcontracts, or a group of subcontracts to be awarded by a consortium. It would be advantageous to use a unique short title in the spend plan and add a unique short title to it for each award or subcontract in the project spreadsheet. Please refer to the data field definitions for project title for the discussion of coding collaborative projects.

For solicitations, you should show a one-line entry for the solicitation in the project spreadsheet until awards are made. As awards are made, add entries of each award as a new project line with a unique project name. If all awards are made at the same time, the project line representing the solicitation on the project spreadsheet can be deleted (it is replaced by awarded projects) with the transfer of any remaining funds to another project. In some cases, a few awards are made initially with the intent of making additional awards from the remaining funds in the future. In this case, as each award is made, show a new project and retain the solicitation line with the funding level adjusted to reflect the remaining funds.

Program work at a national laboratory may typically consist of both in-house R&D work and laboratory subcontracts. In the project spreadsheet the actual award cost(s) of the laboratory subcontracts must be shown. Since some national laboratories identify a subcontract processing and administration cost (often it is a percentage of the award costs of the subcontracts), it may be advantageous for the program manager to enter a project line for these subcontract administration costs. This would separate these costs from the costs of in-house R&D work. The program manager should breakout the in-house R&D work into individual projects. In establishing these breakouts, the use of these projects in the evaluation of work performed against milestones (which will be shown in the milestone spreadsheet) should be a key consideration.

By using unique project titles, considerable confusion is avoided when viewing the milestone spreadsheet. It is clear which sets of milestones belong to which project. Not all projects will have milestones (particularly small projects). Some projects will have multiple milestones. For each milestone there will be a line. For example, a new competitive solicitation would have multiple milestones, such as date the solicitation is issued, date merit review complete, date of selection, date of Congressional notifications, and date of awards. In this case, each milestone for this project would represent a single line entry in the milestone spreadsheet. The logic and associated use of the level of importance of the milestones should guide the development of milestones (see above and in the field definitions).