Berkeley Lab OCFO 2012 Annual Report

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University of California
Berkeley, California

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Front Cover: Documentation photo of the construction of the Daya Bay Neutrino Experiment (joint venture between China and USA). Photo by Roy Kaltschmidt, Lawrence Berkeley National Laboratory.

Chief Financial Officer's Statement **1**
Office of the Chief Financial Officer **3**
Lawrence Berkeley National Laboratory (LBNL), University of California **4**

1. Institutional Information **5**

Where Did Your Program Dollars Go in FY2012 | Figure 1.1 6
Cost Trends by Expense Category, FY2008 - FY2012 ($M and % of Total) | Table 1.1 7
Direct Cost Trends by Division, FY2008 - FY2012 ($K) | Table 1.2 8
Costs by Direct Funding Source by Division, FY2012 ($K) | Table 1.2a 9
Costs by Direct Funding Source by Division, FY2011 ($K) | Table 1.2b 10
Costs by Direct Funding Source by Division, FY2010 ($K) | Table 1.2c 11
Costs by Direct Funding Source by Division, FY2009($K) | Table 1.2d 12
Costs by Direct Funding Source by Division, FY2008 ($K) | Table 1.2e 13
Indirect Budget Costs by Division, FY2012($K) | Table 1.3 14
Average FTE Breakdown by Division, FY2012 ($K) | Table 1.4 15
Funds Held for Others Cost Trends, FY2008 - FY2012 ($K) | Table 1.5 16

2. Direct Funding — DOE and Reimbursable Work **17**

LBNL Funding Trends (BA) by Funding Source ($K) | Table 2.1 20
LBNL Cost Trends by Funding Source ($K) | Table 2.2 22
LBNL Funding and Costs by Funding Source ($K) | Table 2.3 24
FY2012 Funding and Costs by DOE Programs ($K) | Table 2.4 (a-f) 26
FY2012 Funding and Costs by Other Direct Operating Source ($K) | Table 2.5 34
FY2012 Funding and Cost Trends by Other Direct Operating Source ($K) | Figure 2.1 36

3. American Recovery and Reinvestment Act of 2009 (ARRA) **37**

LBNL ARRA Fund Trends (BA) by Funding Source ($K) | Table 3.1 38
LBNL ARRA Cost Trends by Funding Source ($K) | Table 3.2 39
Where Did Your ARRA Program Dollars Go in FY2012? | Figure 3.1 40
FY2012 ARRA Funding and Costs by DOE Programs ($K) | Table 3.3 41
FY2012 ARRA Funding and Costs by Other Direct Operating Source ($K) | Table 3.4 44
ARRA Cost Trends by Expense Category, FY2012-FY2012 ($M and % of Total) | Table 3.5 45
ARRA Job Reporting | Table 3.6 46

Table of Contents Continued

4. Indirect Budgets 53

Indirect Budgets — FY2012 Costs ($M) | Figure 4.1 54
Institutional Overhead Costs as a Percent of Operating Costs, FY2008 - FY2012 | Figure 4.2 55
Institutional Costs by Division, FY2012 ($K) | Table 4.1 56
Institutional FTEs Charged by Division, FY2012 | Table 4.2 57
Payroll Burden Summary ($M) | Figure 4.3 58
Gross Payroll Summary ($M) | Figure 4.4 58
Organizational Burden Costs and FTEs | Table 4.3 59
Service Center Costs and FTEs | Table 4.4 60
Distributed Recharges by Resource Category Trends — FY2008-FY2012 ($K) | Table 4.5 61

5. Financial Statement 63

Balance Sheet Comparative Statement of Financial Position (in $K) | Table 5.1 64
Summary of Significant Accounting Policies | Note 1 65
Accounts Receivable | Note 2 66
Inventories | Note 3 66
Other Current Assets | Note 4 66
Net Plant and Equipment | Note 5 67
Drafts Payable | Note 6 67
Environmental Liability | Note 7 67
Capital Leases | Note 8 68
Environment, Safety and Health (ES&H) Liability | Note 9 68
Year-end Adjustments | Note 10 68
Environmental, Safety and Health | Note 11 69
Year-end Adjustments | Note 12 69

6. Procurement and Property Management 71

Requisitions Submitted by Laboratory Divisions | Table 6.1 72
Purchases Placed Using Purchase Orders/Subcontracts | Table 6.2 73
Purchases Placed Using P-Card | Table 6.3 73
Laboratory Socioeconomic Performance | Table 6.4 73
Property Management Activity | Table 6.5 74

7. Acronyms and Key Terms 75

FY2012 was a year of progress and change in the Office of the Chief Financial Officer (OCFO) organization. The notable accomplishments outlined below strengthened the quality of the OCFO's stewardship and services in support of the scientific mission of Lawrence Berkeley National Laboratory (LBNL). Three strategies were key to this progress: organizational transformation aligned with our goals; process redesign and effective use of technology to improve efficiency, and innovative solutions to meet new challenges. Over the next year we will continue to apply these strategies to further enhance our contributions to the Lab's scientific mission.

Let me step back and introduce myself as the new Chief Financial Officer for Berkeley Lab. I joined the Lab in 2006 and served as the Deputy Division Director for Operations in the Environmental Energy Technologies Division (EETD). For the past two years I also had the opportunity to lead the Financial Systems Modernization (F$M) project that is laying the groundwork to redesign OCFO business processes and systems, including procurement and financial services.

I am delighted to join the OCFO organization, and honored to become CFO. From my former vantage point in EETD, and through my work on F$M, I know what a terrific organization the OCFO is, and what a testament to the accomplishments of the OCFO staff and management team under the leadership of my predecessor, Jeffrey Fernandez.

A number of exciting OCFO leadership transitions occurred this year. We welcomed a new Procurement and Property Head, Becky Cornett, with deep and invaluable experience from her many years at Hewlett-Packard. Two OCFO employees were promoted to new leadership roles. Anne Moore, our former Direct Budget Manager, became the Budget Officer, and Rick Inada, former Assistant Manager in the Office of Sponsored Projects and Industry Partnerships (OSPIP) was named the Manager of OSPIP. These colleagues bring a wealth of experience and knowledge to their new roles, and will strengthen the OCFO leadership team.

FY2012 saw major accomplishments from all areas of the OCFO.

The transformation of the Controller's Office begun in 2010 by Rachelle Jeppson and her team continued to progress. This year, the unit explored ways to effectively balance stewardship and compliance responsibilities with support to mission responsibilities. A second initiative in the Controller's area focused on reducing paper flow in Accounts Payable. Electronic workflow and optical character recognition technology were implemented in Phase 1. In Phase 2, the focus will be on electronic "request for issuance of check" (RFIC) implementation. This initiative enhanced operational effectiveness, supports our compliance responsibilities and improved the end-user experience.

The Budget Office, under Anne Moore's leadership, partnered closely with the OCFO Field Operations Unit, led by Doug Goodman, to excel in their management of American Recovery and Reinvestment Act (ARRA) funding. Reviews by the DOE Inspector General and DOE's Office of Energy Efficiency and Renewable Energy were both very favorable, a significant accomplishment due to the substantial ARRA funding received ($334M), the number of projects, and the complexity of the reporting requirements.

The Budget Office and Field Operations also successfully partnered to formulate and execute budgets for the Laboratory's 17 divisions, emphasizing customer-focused support to the Divisions' principal investigators, program managers, senior management and staff while adhering to effective funds control practices and principles.

In Procurement and Property, Becky Cornett and her team are leading an organizational transformation to more effectively partner with, and deliver goods and services to, our scientific and operational customers. A new management team for Procurement and Property is in place that brings not only a vast amount of experience and knowledge, but also fresh new ideas to better serve science while remaining compliant with all federal and state regulations.

The Procurement Department spearheaded a project that closed out over 4,000 expired purchase orders, freeing up $11M for our scientific mission. Procurement also re-engineered the P-Card program, enabling the scientific community to obtain goods and services more efficiently.

Chief Financial Officer's Statement Continued

In the Office of Sponsored Projects and Industry Partnerships, Rick Inada and his team assisted scientists in proposing to over 200 new potential sponsors of Laboratory research. OSPIP also signed 476 User Agreements, a 10% increase over FY2011 levels, enabling other research entities to utilize LBNL's four Designated National User Facilities. In partnership with the Lab's scientific and IT divisions, OSPIP also successfully implemented the first phase of the Electronic Sponsored Research Administration (eSRA) system.

In OCFO Operations and Business Systems Analysis, units led by Anil More and Chuck Axthelm, respectively, the strategic training plan was updated, the reporting environment was improved, and the units spearheaded efforts to respond to new DOE mandates and guidance such as the new Conference Services reporting requirement.

Looking to the future, the OCFO continues to play the lead role in the Financial Systems Modernization project for the Laboratory. F$M is a key example of our strategic objective to redesign processes and use technology effectively to improve efficiency. Minh Huebner, the Deputy CFO, will continue her leadership as our very able Project Manager, and I will continue to serve as Project Director.

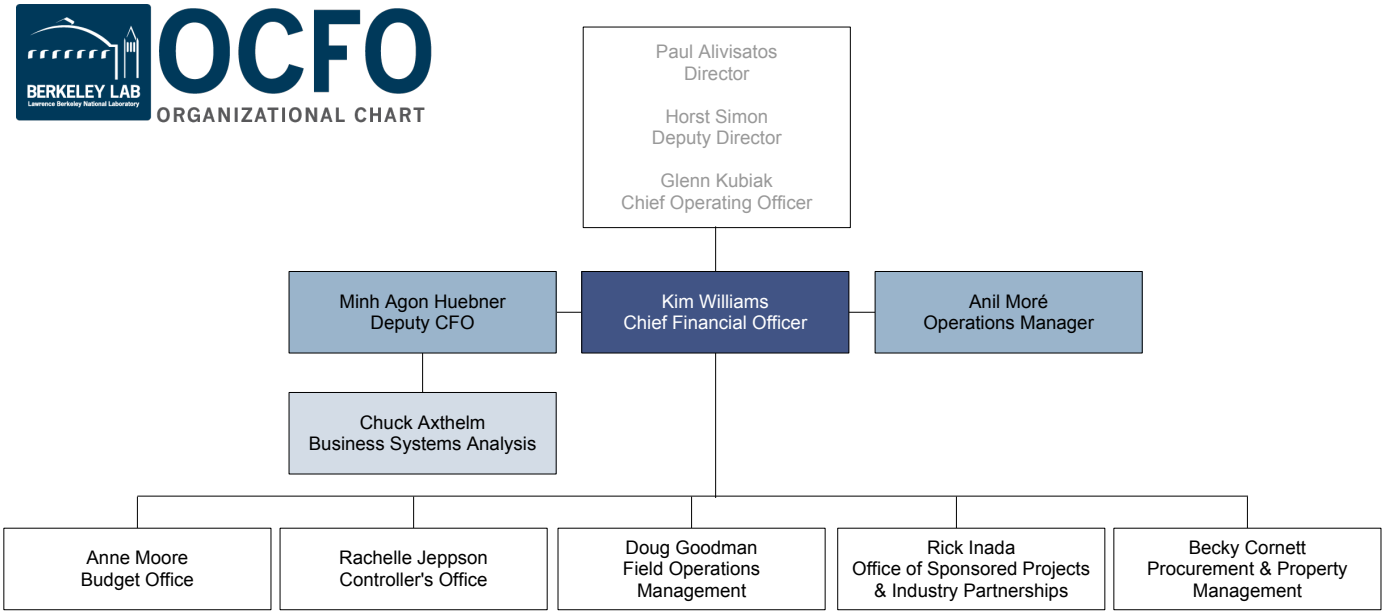
F$M will reshape how we deliver financial services and information to the Laboratory research and operations community while effectively accomplishing our stewardship responsibilities. Phase I was completed, yielding a detailed list of functional requirements, re-engineered process flows, and a comprehensive business case. A request for proposals (RFP) was issued for systems integration services, and a governance structure for Phase II of the project was also completed.

There were many other achievements in the OCFO this past fiscal year that space will not allow me to expand on, but which were nonetheless exceptional. It's an exciting time with many opportunities for the OCFO organization to contribute to the Lab's research mission, and I am thrilled to lead these efforts in partnership with all of the OCFO staff.

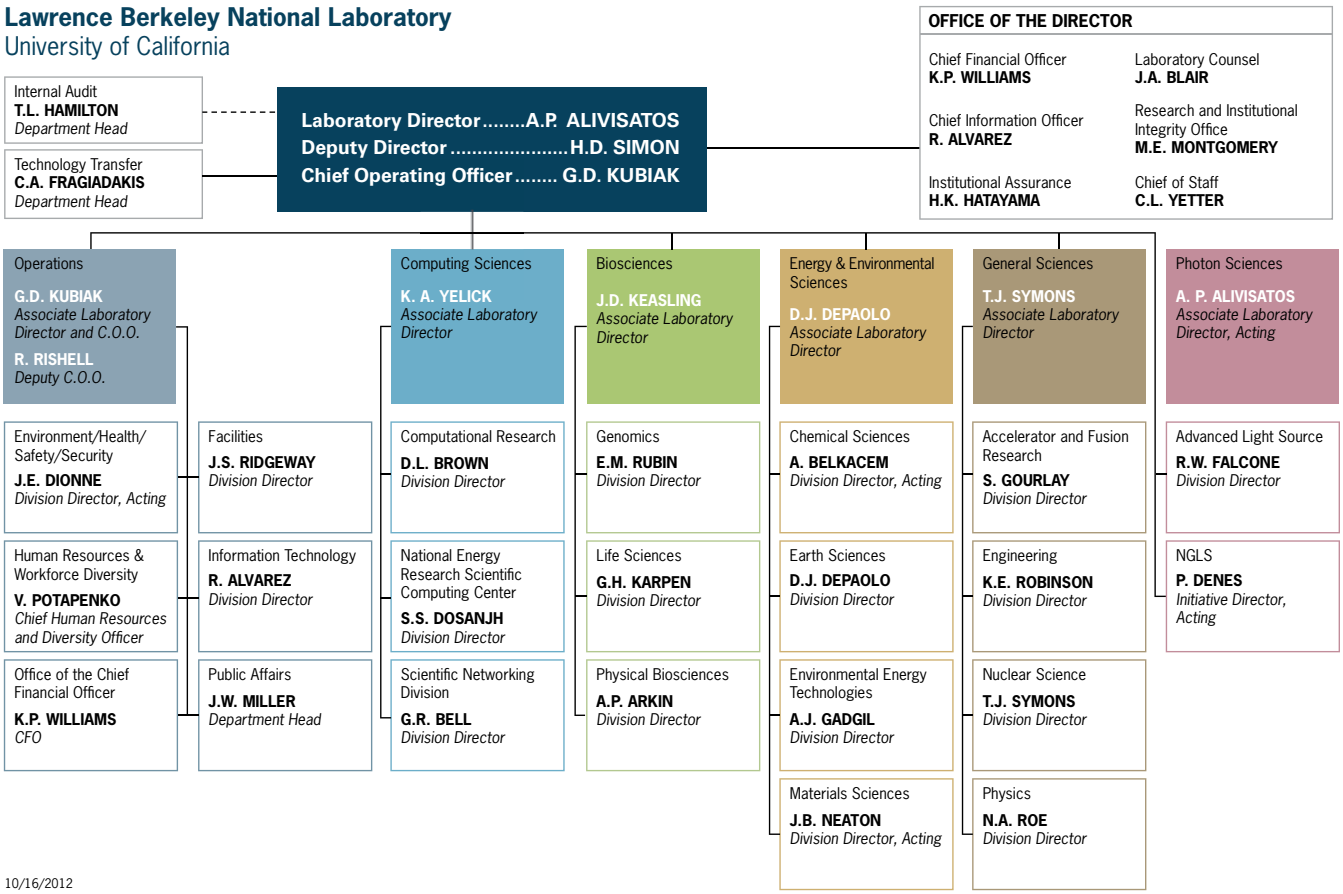
Sincerely,

Kim Williams
Chief Financial Officer

Office of the Chief Financial Officer



Lawrence Berkeley National Laboratory (LBNL), University of California



1.
Institutional Information

Figure 1.1

Where Did Your Program Dollars Go in FY2012?

	LBNL Cost Breakdown per Dollar			
Expenses	**DOE Operating Costs**	**DOE Intergrated Contractors Costs**	**Construction and Equipment**	**WFO Non-DOE**
DIRECT				
Direct Labor:				
University of California (UC) Labor (a)	$0.34	$0.32	$0.14	$0.38
Contract Labor	$0.00	$0.00	$0.00	$0.00
Organization Burden (b)	$0.05	$0.05	$0.02	$0.07
Subtotal Direct Labor	**$0.40**	**$0.38**	**$0.16**	**$0.45**
Other Direct:				
Services	$0.21	$0.22	$0.46	$0.13
Materials	$0.10	$0.08	$0.30	$0.06
Utilities	$0.01	$0.00	$0.00	$0.01
Other Expenses (c)	$0.01	$0.01	$0.00	$0.02
Recharges (b,d)	$0.02	$0.07	$0.01	$0.03
Travel	$0.02	$0.02	$0.00	$0.02
Subtotal Other Direct	**$0.37**	**$0.40**	**$0.77**	**$0.27**
Total Direct	**$0.77**	**$0.78**	**$0.93**	**$0.71**
INDIRECT				
Procurement	$0.01	$0.02	$0.02	$0.01
Travel	$0.00	$0.00	$0.00	$0.00
G&A (Other Institutions)	$0.22	$0.20	$0.05	$0.28
Total Indirect	**$0.23**	**$0.22**	**$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, Administrators, Students/GSRA's 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.

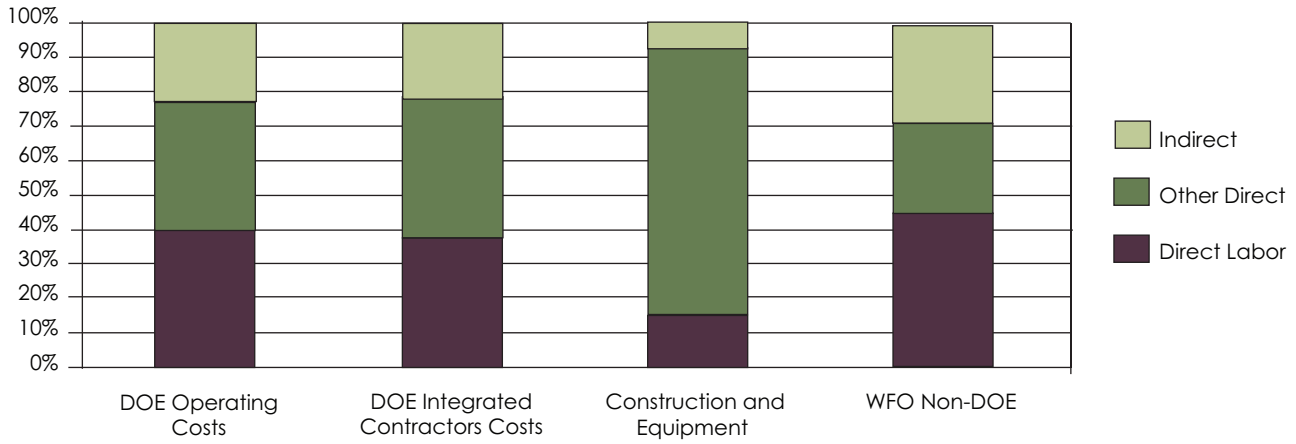


Table 1.1

Cost Trends by Expense Category, FY2008 - FY2012 ($M and % of Total)

	FY2008		FY2009		FY2010		FY2011		FY 2012	
Expenses	**$M**	**%**	**$M**	**%**	**$M**	**%**	**$M**	**%**	**$M**	**%**
DIRECT										
Direct Labor:										
UC Labor (a)	191.7	32.5%	206.8	31.9%	237.2	29.2%	264.3	31.6%	271.5	33.1%
Contract Labor	1.2	0.2%	1.9	0.3%	1.4	0.2%	1.1	0.1%	0.8	0.1%
Organization Burden (b)	30.4	5.2%	33.0	5.1%	37.1	4.6%	40.0	4.8%	41.3	5.0%
Subtotal Direct Labor	**223.3**	**37.9%**	**241.7**	**37.3%**	**275.7**	**34.0%**	**305.5**	**36.5%**	**313.6**	**38.3%**
Other Direct:										
Services	117.2	19.9%	140.7	21.7%	203.3	25.1%	213.6	25.5%	182.6	22.3%
Materials	82.1	13.9%	78.3	12.1%	120.6	14.9%	86.6	10.4%	88.9	10.9%
Utilities	7.3	1.2%	8.0	1.2%	8.3	1.0%	10.8	1.3%	8.4	1.0%
Other Expenses (c)	2.8	0.5%	4.0	0.6%	4.5	0.6%	5.6	0.7%	5.7	0.7%
Recharges (b,d)	8.9	1.5%	14.1	2.2%	14.3	1.8%	15.6	1.9%	20.3	2.5%
Travel	9.4	1.6%	9.3	1.4%	11.7	1.4%	12.9	1.5%	13.1	1.6%
Subtotal Other Direct	**227.7**	**38.6%**	**254.4**	**39.3%**	**362.8**	**44.7%**	**345.1**	**41.3%**	**319.0**	**38.9%**
Total Direct	**451.0**	**76.5%**	**496.0**	**76.6%**	**638.5**	**78.7%**	**650.5**	**77.8%**	**632.6**	**77.2%**
INDIRECT										
Procurement	8.2	1.4%	7.3	1.1%	8.5	1.0%	8.3	1.0%	8.6	1.1%
Travel	1.2	0.2%	1.3	0.2%	1.5	0.2%	1.6	0.2%	1.9	0.2%
G&A (Other Institutions)	129.2	21.9%	143.0	22.1%	162.5	20.0%	175.7	21.0%	176.0	21.5%
Total Indirect	**138.5**	**23.5%**	**151.7**	**23.4%**	**172.5**	**21.3%**	**185.6**	**22.2%**	**186.5**	**22.8%**
TOTAL EXPENSES	**589.5**	**100.0%**	**647.7**	**100.0%**	**811.1**	**100.0%**	**836.1**	**100.0%**	**819.1**	**100.0%**

Note: Minor variances may occur due to rounding.
(a) UC Labor includes salary and benefits for Scientists/Engineers, Administrators, Students/GSRA's and Campus Labor.
(b) Distributed activities used by direct funded programs.
(c) Includes misc. expenses (stipends, sales tax, freight, etc.).
(d) Includes recharges credited back to direct operating accounts such as ALS and ESnet.

Table 1.2

Direct Cost Trends by Division, FY2008 - FY2012 ($K)

Division	FY2008	FY2009	FY2010	FY2011	FY2012
Accelerator & Fusion Research	26,042	28,139	39,175	52,669	43,585
Advanced Light Source	51,508	49,662	57,656	63,453	70,357
Chemical Sciences	17,002	15,694	17,715	17,965	17,979
Computing Sciences	101,133	103,461	128,123	143,316	125,749
Environmental Energy Technologies	52,004	58,795	82,493	102,721	107,006
Engineering	13,351	8,306	5,929	4,014	3,524
Environment/Health/Safety/Security	3,490	3,270	2,806	2,504	3,360
Earth Sciences	31,027	34,240	44,300	55,550	55,399
Facilities	17,076	43,839	64,299	36,450	37,843
Genomics - JGI	50,839	51,135	77,375	67,023	72,055
Genomics	8,731	6,208	5,994	6,360	5,951
Information Technology	3,634	3,100	3,380	3,570	2,781
Life Sciences	56,872	59,835	62,290	59,118	49,384
Materials Sciences	55,835	63,386	72,722	76,397	81,551
Nuclear Science	26,774	33,566	34,598	37,753	38,809
Physical Biosciences	44,219	52,015	66,258	65,928	61,986
Physics	29,984	32,139	44,751	40,219	40,633
Lab Directorate/Other	858	903	1,112	991	1,088
Other (a)	(880)	58	88	92	52
DIVISION TOTAL	**589,499**	**647,749**	**811,062**	**836,095**	**819,093**

Note: Minor variances may occur due to rounding.
(a) In FY2008, significant credit primarily due to Work for Other charge to offset Safeguards and Security activities.

Table 1.2a

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

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

Note: Minor variances may occur due to rounding.

Table 1.2b

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

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

Note: Minor variances may occur due to rounding.

Table 1.2c

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

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

Note: Minor variances may occur due to rounding.

Table 1.2d

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

Division	FY2009						
	DOE Operating	DOE Integrated Contractors Costs	WFO Federal	WFO Non-Federal	Operating Subtotal	Capital and Equipment	Total
Accelerator & Fusion Research	20,258	843	1,578	611	23,290	4,849	28,139
Advanced Light Source	45,784	38	0	806	46,628	3,034	49,662
Chemical Sciences	13,936	63	638	76	14,713	980	15,694
Computing Sciences	88,264	2,153	2,004	1,347	93,767	9,694	103,461
Environmental Energy Technologies	36,375	2,992	5,631	12,220	57,218	1,577	58,795
Engineering	2,995	779	1,225	206	5,205	3,101	8,306
Environment/Health/Safety/Security	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
Information Technology	2,324	-	-	49	2,373	726	3,100
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.

Table 1.2e

Costs 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	87,106	2,895	1,464	1,227	92,693	8,440	101,133
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
Environment/Health/Safety/Security	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
Information Technology	2,455	-	-	45	2,500	1,134	3,634
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 (a)	(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) Primarily Work for Other charge to offset Safeguards and Security activities.

Table 1.3

Indirect Budget Costs by Division, FY2012 ($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	1,802	155	225	1,178	-	-	-	-	-	3,360
Advanced Light Source	2,404	-	-	1,525	-	-	-	-	-	3,930
Chief Financial Officer Organization	-	-	-	-	-	9,597	9,559	-	2,144	21,300
Chemical Sciences	1,209	-	-	1,681	-	-	-	-	-	2,890
Computing Sciences	5,836	-	-	2,303	-	-	-	-	-	8,139
Environmental Energy Technologies	6,527	2,189	-	2,768	-	-	-	-	-	11,484
Engineering	5,593	1,437	-	150	-	674	-	1,410	-	9,264
Environment/Health/ Safety/Security	-	-	-	-	-	-	-	25,912	-	25,912
Earth Sciences	4,259	-	-	2,247	-	-	-	41	-	6,547
Facilities	4,344	11,729	-	-	-	-	2,198	43,340	-	61,611
Genomics	598	-	-	-	-	-	-	-	-	598
Genomics - JGI	(3)	434	-	913	-	-	-	-	-	1,344
Information Technology	2,489	7,723	-	-	-	16,350	27	11,887	15	38,491
Lab Directorate	-	-	-	-	-	17,178	-	-	-	17,178
Life Sciences	4,696	720	-	1,783	-	-	-	-	-	7,200
Materials Sciences	4,250	330	-	1,957	-	-	-	-	-	6,538
Nuclear Science	1,895	(0)	-	963	-	-	-	-	-	2,858
ALD for Operations	-	5,636	-	-	5,730	13,837	-	9,151	-	34,354
Physical Biosciences	2,879	5,073	-	1,976	-	-	-	-	-	9,928
Physics	1,678	-	-	546	-	-	-	-	-	2,224
Other (d)	-	-	-	-	-	5,765	-	-	-	5,765
DIVISION TOTAL	**50,457**	**35,426**	**225**	**19,992**	**5,730**	**63,401**	**11,785**	**91,740**	**2,159**	**280,912**

Note: Minor variances may occur due to rounding.

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

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

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

(d) Includes: UC Management Fee (General Laboratory).

Table 1.4

Average FTE Breakdown by Division, FY2012 ($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	75.8	5.1	36.2	117.1	9.8	0.5	4.3	14.6	131.7
Advanced Light Source	185.8	0.4	19.3	205.5	15.1	-	9.0	24.1	229.5
Chief Financial Officer Organization	0.0	-	-	0.0	-	-	148.1	148.1	148.1
Chemical Sciences	66.5	2.5	-	68.9	7.6	-	8.9	16.4	85.4
Computing Sciences	171.3	10.2	-	181.5	37.0	-	10.1	47.0	228.6
Environmental Energy Technologies	211.5	93.5	0.0	305.0	37.3	16.0	13.0	66.3	371.3
Engineering	4.8	4.6	-	9.4	27.4	7.5	9.0	43.9	53.3
Environment/Health/ Safety/Security	4.2	-	0.4	4.7	-	-	117.4	117.4	122.1
Earth Sciences	145.8	42.6	-	188.4	20.5	-	9.9	30.5	218.9
Facilities	2.5	-	13.4	15.9	23.0	3.2	157.9	184.2	200.1
Genomics	-	21.9		21.9	3.6	-	-	3.6	25.5
Genomics - JGI	202.0	3.7	-	205.6	0.0	8.1	5.7	13.8	219.5
Information Technology	6.2	-	-	6.2	12.1	22.4	94.4	128.8	135.0
Lab Directorate	0.7	-	-	0.7	-	-	61.4	61.4	62.1
Life Sciences	42.3	134.6	-	176.9	34.9	5.2	8.9	49.0	225.9
Materials Sciences	253.9	42.5	0.4	296.8	19.3	2.1	11.0	32.4	329.2
Nuclear Science	85.2	25.0	2.7	112.8	12.6	0.0	5.5	18.2	131.0
ALD for Operations	1.4	-	-	1.4	-	11.1	106.8	117.9	119.3
Physical Biosciences	167.5	31.5	-	199.1	18.3	8.3	13.9	40.5	239.5
Physics	102.7	2.9	0.3	105.9	11.5	-	2.1	13.6	119.5
DIVISION TOTAL	**1,730.0**	**421.0**	**72.6**	**2,223.6**	**290.0**	**84.3**	**797.3**	**1,171.7**	**3,395.3**

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 50.6 FTEs from non-contract projects (CSRUC, IJE, IPA, MLA, Royalties, and UC Construction Projects).

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

Table 1.5

Funds Held for Others Cost Trends, FY2008 - FY2012 ($K)

Funding Source	FY2008	FY2009	FY2010	FY2011	FY2012
Royalty	1,678	1,509	2,153	2,037	4,080
Contractor-Funded Institutional Supporting Research & Development and GIFTS	2,940	2,839	2,909	2,639	2,966
Inter-Location Appointments (ILA)	2,960	3,478	3,233	3,033	3,689
UC Construction Projects	1,126	1,170	358	950	1,030
Other	303	98	170	75	156
Total	**9,007**	**9,094**	**8,823**	**8,734**	**11,921**

Note: Minor variances may occur due to rounding
Primary increase is for four royalty projects that started in FY2012 with project costs of $1.7M.

2.
Direct Funding — DOE & Reimbursable Work

Direct Funding — Department of Enegy (DOE) and Reimbursable Work

Total Laboratory Funding - $15.8M, Decrease

Total funding decreased 2% to $745.2M in FY2012 partially from the continued ramp down of American Recovery and Reinvestment Act of 2009 (ARRA) funding and partially from ramp down of DOE Office of Science construction projects. New FY2012 ARRA funding of $4.9M was solely from non-DOE sponsors. Per the Act, funds were no longer available for direct obligation after September 30, 2010.

Type	FY2011 ($M)	FY2012 ($M)	Delta ($M)
Non- ARRA	747.1	740.3	(6.8)
ARRA	13.9	4.9	(9.0)
Total	**761.0**	**745.2**	**(15.8)**

DOE Operating and Maintenance (O&M) Funding – $127K, Decrease

O&M funding provides for the execution of research and development efforts, purchase of equipment, accelerator improvement projects and construction of general plant projects. Total funding was relatively flat year over year. Slight decreases in Offices of Science and Energy Efficiency and Renewable Energy funding were offset by a small net increase in funding from various other DOE Offices.

Office of Science
Office of Science (SC) O&M funding decreased slightly, $2.3M or 0.5% in FY2012. The notable changes were:

- $5.5M increase for the Energy Science Network (ESnet) funded by Advanced Scientific Computing Research for build out of 100 Gbps National Science network.
- $3.6M increase for operations at the Advanced Light Source funded by Basic Energy Sciences.
- $5.0M less for the Helios Solar Energy Research (SERC) project which is ending in FY2013 funded by Basic Energy Sciences to study the theory of fuels from sunlight. Applied solar energy research is continuing at the Joint Center for Artificial Photosynthesis (JCAP).
- $2.9M less for research and development for Next Generation Light Source (NGLS) funded by Basic Energy Sciences.

Office of Energy Efficiency and Renewable Energy
Energy Efficiency and Renewable Energy (EERE) O&M funding decreased $1.9M or 2.9% in FY2012. The notable changes were:

- $1.8M increase for operating activities at the Advanced Biofuels Process Development Unit (ABPDU) for ramp up for full operation in FY2013.
- $3.3M less for Building Technologies projects related to Energy Efficiency Standards, Building Simulation and US-China Clean Energy Research Center.
- $2.3M less for ARRA funded Evaluation for Better Buildings.

Other DOE
Funding from various other DOE programs in FY2012 accounted for a net increase of $4.1M from FY2011 levels. The notable changes were:

- $3M increase for Advanced Research Projects Agency - Energy (ARPA -E) funded projects: research on Green Electricity Network Integration, Plants Engineered to Replace Oil (PETRO), Grid-Scale Energy Storage.

DOE Construction Funding - $7.1M Decrease

DOE Construction funding decreased 35% to $13M in FY2012, primarily due to the winding down of the SC funded project on the Seismic Life-Safety, Modernization and Replacement of General Purpose Buildings, Phase 2.

Other Direct Operating Funding – $8.5M, Decrease

Total Other Direct Operating funding decreased $8.5M or 6.5% to $123.7M in FY2012. The net decrease was driven by a drop in funding received from Other Federal Sponsors offset by an increase in Non-Federal funding.

Other Federal Agencies
Other Federal Agencies funding decreased $12.6M driven by the following major changes:

- $13.2M net decrease in funding from National Institutes of Health (NIH) and Department of Homeland Security for multiple projects last funded in FY2011. Many of these projects have continued to cost

Direct Funding — Department of Enegy (DOE) and Reimbursable Work Continued

against the remaining funding in FY2012 and into early FY2013.

- $1.3M increase in funding from Department of Defense (DOD) for projects related to improving energy efficiency in military buildings and electrification of non-tactical vehicles.

Non-Federal Sponsors

Non-Federal Agencies funding increased $3.2M driven by the following major changes:

- In FY2011, due to changes in previously anticipated funding needs in the Cost of Work for Others Program (WN), excess budget authority was deobligated of $3.8M. In FY2012, $1.8M of funding was received and there was no deobligation of funds. Offsetting this positive year-to- year variance was a decrease in the funding from various University sponsors due to completion of several projects in late FY2011. UC Berkeley Energy Biosciences Institute also experienced a drop in FY2012 funding after receiving substantial funding in FY2011 to research the impacts of the Gulf oil spill.

Data Sources for Tables in this section are as follows:

Data Type	Source
FY2012 Beginning Uncosted Obligations	Carryover Funding as provided in the LBNL final FY2011 Contract Modification
FY2012 Funds	Budget Authority as provided in the LBNL contract modification for the fiscal year
FY2012 Costs	LBNL published Year End Costs
FY2012 Ending Uncosted Obligations	DOE – Beginning Uncosted + Funds – Costs WFO – The sum of FY2012 Beginning Uncosted, FY2012 Funds and FY2012 Costs for the "Other Direct Operating" categories does not equal FY2012 Ending Uncosted Obligations due to various adjustments not reflected in the FY2012 Costs column. Examples of these adjustments include Bridge Funding, suspense items, and Federal Administrative Charge. The total of these adjustments for FY2012 is ($1,060K).

Table 2.1

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

Funding Source	FY2008	FY2009	FY2010	FY2011	FY2012 (a)
DOE DIRECT OPERATING					
Administrator for National Nuclear Security Administration	5,179	5,863	7,082	6,204	7,009
Advanced Research Projects Agency - Energy (b)	-	28	5,297	-	2,993
Assistant Secretary for Energy Efficiency and Renewable Energy	27,102	43,507	98,411	66,410	65,678
Assistant Secretary for Environmental Management	-	425	2,675	2,741	1,371
Assistant Secretary for Fossil Energy	8,124	10,668	13,750	7,297	8,316
Assistant Secretary for Nuclear Energy (c)	788	825	1,545	3,104	2,877
Assistant Secretary for Policy and International Affairs	65	100	741	108	50
Office of Civilian Radioactive Waste Management (c)	-	35	(1)	(2)	-
Office of Electricity Delivery and Energy Reliability	4,970	7,427	10,042	7,998	8,743
Office of Energy and Threat	65	300	(65)	-	109
Office of Health Safety and Security	413	385	150	20	57
Office of Management	-	-	-	1	-
Office of Science	371,361	503,087	448,488	475,423	497,738
Office of the Chief Information Officer	-	-	460	(137)	-
Total DOE Direct Operating	**418,067**	**572,649**	**588,576**	**569,167**	**594,941**
OTHER DIRECT OPERATING (d)					
Work for Other Federal Agencies	61,640	56,474	68,928	68,960	56,401
Work for Non-Federal Sponsors (e)	43,882	48,816	58,998	50,240	53,460
Cooperative Research and Development Agreements	539	505	482	1,220	417
Work for Other DOE Integrated Contractors (f)	10,296	11,015	11,007	11,828	13,437
Total Other Direct Operating	**116,357**	**116,810**	**139,413**	**132,249**	**123,716**
TOTAL OPERATING	**534,424**	**689,458**	**727,989**	**701,416**	**718,657**

continued...

Table 2.1

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

Funding Source	FY2008	FY2009	FY2010	FY2011	FY2012 (a)
DOE PLANT AND CAPITAL EQUIPMENT					
Basic Equipment/Major Items of Equipment:					
Administrator for National Nuclear Security Administration	2,205	340	-	77	-
Assistant Secretary for Energy Efficiency and Renewable Energy	1,097	65	8,482	1,200	-
Office of Science	58,836	132,728	53,902	34,904	10,612
Total DOE Capital Equipment	**62,138**	**133,133**	**62,384**	**36,181**	**10,612**
GENERAL PLANT PROJECTS					
Office of Science	4,775	16,233	1,499	1,032	-
ACCELERATOR IMPROVEMENT PROJECTS					
Office of Science	2,050	13,255	5,320	2,300	3,000
LINE-ITEM CONSTRUCTION					
Assistant Secretary for Energy Efficiency and Renewable Energy	-	-	15,700	-	-
Office of Science	14,226	56,158	34,025	20,063	12,972
Total DOE Plant	**21,051**	**85,646**	**56,544**	**23,395**	**15,972**
TOTAL DOE PLANT AND CAPITAL EQUIPMENT	**83,189**	**218,779**	**118,928**	**59,576**	**26,584**
TOTAL LABORATORY	**617,613**	**908,237**	**846,917**	**760,992**	**745,241**

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 FY2012: The FY2012 ARRA funds received were categorized as: Operating ($18,009K) and Plant and Equipment ($-13,047K). See Table 3.1 for details.

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

(c) Office of Civilian Radioactive Waste Management FY2012 funding is reported under Office of Nuclear Energy due to DOE realignment.

(d) FY2010, FY2011 and FY2012 ARRA National Institutes of Health (NIH) and National Science Foundation (NSF) awards were obligated to LBNL by DOE as work for a Non-Federal entity to accommodate OMB apportionment requirements for ARRA. For reporting consistency with prior and future years, all NIH and NSF funding and cost data is reflected under the Work for Other Federal Agencies category.

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

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

Table 2.2

LBNL Cost Trends by Funding Source ($K)

Funding Source	FY2008	FY2009	FY2010	FY2011	FY2012 (a)
DOE DIRECT OPERATING					
Administrator for National Nuclear Security Administration	5,703	5,853	7,232	6,105	7,026
Advanced Research Projects Agency - Energy (b)	-	13	30	1,966	2,517
Assistant Secretary for Energy Efficiency and Renewable Energy	24,059	28,387	57,400	78,939	71,739
Assistant Secretary for Environmental Management	242	341	1,969	3,251	1,842
Assistant Secretary for Fossil Energy	7,060	6,840	6,969	11,182	9,624
Assistant Secretary for Nuclear Energy (c)	206	964	1,485	2,733	3,091
Assistant Secretary for Policy and International Affairs	-	66	96	685	98
Office of Civilian Radioactive Waste Management (c)	2,078	222	39	4	-
Office of Electricity Delivery and Energy Reliability	4,242	6,015	7,353	6,676	8,470
Office of Energy and Threat	-	-	38	158	132
Office of Health Safety and Security	542	390	281	31	37
Office of Science	361,416	392,951	459,035	481,048	505,375
Office of the Chief Information Officer	-	-	299	24	-
Total DOE Direct Operating	**405,548**	**442,043**	**542,228**	**592,803**	**609,950**
OTHER DIRECT OPERATING (d)					
Work for Other Federal Agencies	64,195	64,754	73,768	72,095	68,687
Work for Non-Federal Sponsors (e)	43,412	44,604	55,399	55,558	56,360
Cooperative Research and Development Agreements	452	250	785	496	980
Work for Other DOE Integrated Contractors	10,296	11,015	11,007	11,828	13,437
Total Other Direct Operating (f)	**118,355**	**120,622**	**140,959**	**139,977**	**139,464**
TOTAL OPERATING	**523,904**	**562,665**	**683,187**	**732,780**	**749,413**

Table 2.2

LBNL Cost Trends by Funding Source ($K) Continued

Funding Source	FY2008	FY2009	FY2010	FY2011	FY2012 (a)
DOE PLANT AND CAPITAL EQUIPMENT					
Basic Equipment/Major Items of Equipment:					
Administrator for National Nuclear Security Administration	1,343	1,331	159	140	-
Assistant Secretary for Energy Efficiency and Renewable Energy	763	1,070	870	5,372	1,567
Office of Science	47,907	46,645	80,815	64,165	28,306
Total DOE Capital Equipment	**50,013**	**49,045**	**81,844**	**69,677**	**29,874**
GENERAL PLANT PROJECTS					
Office of Science	4,340	5,098	11,853	454	3,220
ACCELERATOR IMPROVEMENT PROJECTS					
Office of Science	2,680	1,268	1,865	5,444	6,985
LINE-ITEM CONSTRUCTION					
Assistant Secretary for Energy Efficiency and Renewable Energy	-	-	91	1,151	2,036
Office of Science	8,561	29,673	32,223	26,589	27,565
Total DOE Plant	**15,582**	**36,039**	**46,031**	**33,638**	**39,807**
TOTAL DOE PLANT AND CAPITAL EQUIPMENT	**65,595**	**85,084**	**127,875**	**103,315**	**69,680**
TOTAL LABORATORY	**589,498**	**647,749**	**811,062**	**836,095**	**819,093**

Note: Minor variances may occur due to rounding.

Data Source: LBNL published Fiscal Year End Costs.

(a) Includes funding for American Recovery and Reinvestment Act (ARRA) in FY2012: The FY2012 ARRA costs were colored as: Operating ($46,642K), Plant and Equipment ($18,035K). See Table 3.2 for details.

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

(c) Office of Civilian Radioactive Waste Management FY2012 costs are reported under Office of Nuclear Energy due to DOE realignment.

(d) In FY2010, FY2011 and FY2012 ARRA National Institutes of Health (NIH) and National Science Foundation (NSF) awards were obligated to LBNL by DOE as work for a Non-Federal entity to accommodate OMB apportionment requirements for ARRA. For reporting consistency with prior and future years, all NIH and NSF funding and cost data is reflected under the Work for Other Federal Agencies category.

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

(f) FY2012 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 FY2012 is ($1,060K).

Table 2.3

LBNL Funding and Costs by Funding Source ($K)

LBNL FY2012 Funding and Cost by Source ($K)	FY2012 Beginning Uncosted Obligations	FY2012 Funds	FY2012 Costs	FY2012 Ending Uncosted Obligations
DOE DIRECT OPERATING				
Administrator for National Nuclear Security Administration	3,080	7,009	7,026	3,063
Advanced Research Projects Agency - Energy (a)	3,315	2,993	2,517	3,792
Assistant Secretary for Energy Efficiency and Renewable Energy	62,512	65,678	71,739	56,452
Assistant Secretary for Environmental Management	1,251	1,371	1,842	780
Assistant Secretary for Fossil Energy	15,925	8,316	9,624	14,618
Assistant Secretary for Nuclear Energy (b)	917	2,877	3,091	703
Assistant Secretary for Policy and International Affairs	167	50	98	118
Office of Electricity Delivery And Energy Reliability	11,319	8,743	8,470	11,593
Office of Energy and Threat	103	109	132	80
Office of Health Safety and Security	7	57	37	28
Office of Management	1	0	0	1
Office of Science (c)	232,877	497,738	505,375	225,240
Total DOE Direct Operating (d)	**331,474**	**594,941**	**609,950**	**316,466**
OTHER DIRECT OPERATING (e)				
Work for Other Federal Agencies	63,540	56,401	68,687	51,937
Work for Non-Federal Sponsors (f) (g)	28,558	53,460	56,360	26,008
Cooperative Research and Development Agreements	1,049	417	980	515
Work for Other DOE Integrated Contractors (h)	-	13,437	13,437	-
Total Other Direct Operating (i)	**93,147**	**123,716**	**139,464**	**78,459**
TOTAL OPERATING	**424,622**	**718,657**	**749,413**	**394,925**

continued...

Table 2.3

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

LBNL FY2012 Funding and Cost by Source ($K)	FY2012 Beginning Uncosted Obligations	FY2012 Funds	FY2012 Costs	FY2012 Ending Uncosted Obligations
DOE PLANT AND EQUIPMENT				
Basic Equipment/Major Items of Equipment:				
Administrator for National Nuclear Security Administration	0	-	-	0
Assistant Secretary for Energy Efficiency and Renewable Energy	2,310	-	1,567	742
Office of Science	57,190	10,612	28,306	39,495
Total Capital Equipment	**59,500**	**10,612**	**29,874**	**40,238**
General Plant Projects				
Office of Science	4,890	-	3,220	1,669
Accelerator Improvement Projects				
Office of Science	14,882	3,000	6,985	10,897
Line-Item Construction				
Assistant Secretary for Energy Efficiency and Renewable Energy	14,459	-	2,036	12,422
Office of Science	45,017	12,972	27,565	30,424
Total DOE Plant	**79,247**	**15,972**	**39,807**	**55,413**
TOTAL DOE PLANT AND CAPITAL EQUIPMENT (d)	**138,747**	**26,584**	**69,680**	**95,650**
TOTAL LABORATORY (j)	**563,369**	**745,241**	**819,093**	**490,576**

Note: Minor variances may occur due to rounding.

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

(b) Assistant Secretary for Nuclear Energy FY2012 Beginning Uncosted Obligations includes $42K that was previously reported under Office of Civilian Radioactive Waste Management in FY2011. Change is result of DOE realignment.

(c) Difference in FY2011 Ending Uncosted Obligations and FY2012 Beginning Uncosted Obligations is -$91K. Difference relates to Stores Inventory adjustment at the beginning of FY2012 to carryover balance.

(d) Several FY2012 Beginning Balances are different than FY2011 Ending Uncosted Balances due to the Capital Threshold Change effective October 1, 2012. The net effect between operating and equipment is $0. For details of these changes by Office refer to Table 2.4.

(e) FY2012 ARRA National Institutes of Health (NIH) and National Science Foundation (NSF) awards were obligated to LBNL by DOE as work for a Non-Federal entity to accommodate OMB apportionment requirements for ARRA. For reporting consistency with prior and future years, all NIH and NSF funding and cost data is reflected under the Work for Other Federal Agencies category.

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

(g) Difference in FY2011 Ending Uncosted Obligations and FY2012 Beginning Uncosted Obligations is $4K. Difference relates to adjustment for Federal Administrative Charge.

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

(i) The sum of FY2012 Beginning Uncosted Obligations and FY2012 Funds, minus, FY2012 Costs does not equal FY2012 Ending Uncosted Obligations due to various adjustments not reflected in the FY2012 Costs column. Examples of these adjustments include Bridge Funding, suspense items, and Federal Administrative Charge. The total of these adjustments for FY2012 is ($1,060K).

(j) Includes American Recovery and Reinvestment Act (ARRA) funds and costs in FY2012: Operating ($18,009K, $46,642K) and Plant and Equipment ($-13,047K), ($18,035K). See Table 3.1 and Table 3.2 for details.

Table 2.4

FY2012 Funding and Costs by DOE Programs ($K)

ADMINISTRATOR FOR NATIONAL NUCLEAR SECURITY ADMINISTRATION		FY2012 Beginning Uncosted Obligations	FY2012 Funds	FY2012 Costs	FY2012 Ending Uncosted Obligations
OPERATING					
DP15	Advanced Simulation and Computing Campaign	-	6	-	6
FS21	Cyber Security	91	318	160	250
NN20	Nonproliferation and Verification Research and Development	2,423	6,030	5,856	2,598
NN40	Nonproliferation and International Security	565	655	1,011	210
Total Operating (a)		**3,080**	**7,009**	**7,026**	**3,063**
CAPITAL EQUIPMENT					
NN20	Nonproliferation and Verification Research and Development	0	-	-	0
Total Capital Equipment (a)		**0**	**0**	**0**	**0**
TOTAL ADMINISTRATOR FOR NATIONAL NUCLEAR SECURITY ADMINISTRATION		**3,080**	**7,009**	**7,026**	**3,063**

Note: Minor variances may occur due to rounding.

(a) FY2012 Beginning Uncosted Obligations balance was adjusted by $6K from Capital Equipment to Operating due to the DOE Capitalization Threshold change from $50K to $500K effective at the beginning of FY2012.

continued...

Table 2.4a

FY2012 Funding and Costs by DOE Programs ($K) Continued

OFFICE OF SCIENCE		FY2012 Beginning Uncosted Obligations	FY2012 Funds	FY2012 Costs	FY2012 Ending Uncosted Obligations
OPERATING					
AT50	FES - Science	1,652	5,508	5,091	2,069
FS10	Safeguards and Security - Science	1,701	5,427	4,672	2,456
KA11	Proton Accelerator-Based Physics	5,971	18,238	16,794	7,416
KA12	Electron Accelerator-Based Physics	109	245	244	111
KA13	Non-Accelerator-Based Physics	7,028	13,953	14,088	6,893
KA14	Theoretical Physics	5,019	4,619	6,024	3,614
KA15	Advanced Technology R&D	7,648	12,044	15,052	4,640
KB01	Medium Energy Physics	383	210	491	102
KB02	Heavy-Ion Physics	1,595	6,851	5,430	3,016
KB03	Nuclear Theory	3,560	2,803	3,422	2,942
KB04	Low Energy Physics	5,750	15,343	17,231	3,861
KC02	Materials Sciences and Engineering	17,719	25,612	29,365	13,967
KC03	Chemical Sciences, Geosciences, and Energy Biosciences	27,054	42,422	39,558	29,918
KC04	Scientific User Facilities	20,114	87,120	86,499	20,734
KG06	Excess Facilities Disposition	8,443	(2,454)	5,989	0
KJ01	Mathematical, Information, and Computational Sciences	60	(30)	6	24
KJ04	Mathematical, Computational, and Computer Sciences Research	23,441	24,288	19,572	28,157
KJ05	High Performance Computing and Network Facilities	47,528	96,413	96,111	47,829
KL01	Student Programs	656	586	830	412
KL02	Educator Programs	129	11	83	58
KP11	Life Sciences	334	(0)	329	4
KP12	Climate Change Research	416	(1)	212	202
KP13	Environmental Remediation	16	-	16	0
KP15	Biological Research	958	(1)	535	422
KP16	Biological Systems Science	37,434	120,766	123,621	34,579
KP17	Climate and Environmental Sciences	8,160	17,765	14,112	11,813
Total Operating (a)		**232,877**	**497,738**	**505,375**	**225,240**
CAPITAL EQUIPMENT					
AT50	FES - Science	455	-	454	1
KA11	Proton Accelerator-Based Physics (b)	239	1,515	616	1,138
KA13	Non-Accelerator-Based Physics	945	500	1,369	76
KA15	Advanced Technology R&D	11,650	5,072	13,124	3,598
KB02	Heavy-Ion Physics	1,804	(600)	1,064	140

Note: Minor variances may occur due to rounding.

(a) FY2012 Beginning Uncosted Obligations balance was adjusted by $19,731K from Capital Equipment, General Plant Projects, and Accelerator Improvement Projects to Operating due to the DOE Capitalization Threshold change from $50K to $500K effective at the beginning of FY2012. FY2012 Beginning Uncosted Obligations balance was also adjusted by ($91K) due to Stores Inventory adjustment in FY2012.

(b) Includes Institutional General Purpose Equipment activity.

continued...

Table 2.4a

FY2012 Funding and Costs by DOE Programs ($K) Continued

OFFICE OF SCIENCE		FY2012 Beginning Uncosted Obligations	FY2012 Funds	FY2012 Costs	FY2012 Ending Uncosted Obligations
CAPITAL EQUIPMENT (CONTINUED)					
KB04	Low Energy Physics	6,611	186	1,448	5,350
KC02	Materials Sciences and Engineering	5,334	1,800	2,830	4,304
KC03	Chemical Sciences, Geosciences, and Energy Biosciences	1,550	1,350	418	2,482
KC04	Scientific User Facilities	9,345	3,568	5,414	7,499
KJ01	Mathematical, Information, and Computational Sciences	31	-	-	31
KJ05	High Performance Computing and Network Facilities	15,218	(2,774)	264	12,180
KP11	Life Sciences	0	-	-	0
KP12	Climate Change Research	4	(4)	-	-
KP15	Biological Research	0	-	0	0
KP16	Biological Systems Science	4,003	-	1,306	2,697
KP17	Climate and Environmental Sciences	0	-	0	-
Total Capital Equipment (c)		**57,190**	**10,612**	**28,306**	**39,495**
GENERAL PLANT PROJECTS					
FS10	Safeguards and Security - Science	900	-	859	41
KA11	Proton Accelerator-Based Physics	13	-	-	13
KC04	Scientific User Facilities	1,294	-	220	1,074
KG09	General Plant Projects	2,682	-	2,141	541
Total General Plant Projects (d)		**4,890**	**-**	**3,220**	**1,669**
ACCELERATOR IMPROVEMENT PROJECTS					
KB04	Low Energy Physics	329	-	328	0
KC02	Materials Sciences and Engineering	8,366	-	4,131	4,235
KC04	Scientific User Facilities	6,187	3,000	2,525	6,662
Total Accelerator Improvement Projects (e)		**14,882**	**3,000**	**6,985**	**10,897**
LINE-ITEM CONSTRUCTION					
39KC	Basic Energy Sciences	3	(3)	-	-
39KG	Science Laboratories Infrastructure	45,014	12,975	27,565	30,424
Total Line-item Construction		**45,017**	**12,972**	**27,565**	**30,424**
TOTAL DOE PLANT		**64,789**	**15,972**	**37,770**	**42,990**
TOTAL OFFICE OF SCIENCE		**354,856**	**524,322**	**571,452**	**307,726**

Note: Minor variances may occur due to rounding.

(c) FY2012 Beginning Uncosted Obligations balance was adjusted by $19,106K from Capital Equipment to Operating due to the DOE Capitalization Threshold change from $50K to $500K effective at the beginning of FY2012.

(d) FY2012 Beginning Uncosted Obligations balance was adjusted by $231K from General Plant Projects to Operating due to the DOE Capitalization Threshold change from $50K to $500K effective at the beginning of FY2012.

(e) FY2012 Beginning Uncosted Obligations balance was adjusted by $394K from Accelerator Improvement Projects to Operating due to the DOE Capitalization Threshold change from $50K to $500K effective at the beginning of FY2012.

continued...

Table 2.4b

FY2012 Funding and Costs by DOE Programs ($K) Continued

ASSISTANT SECRETARY FOR ENERGY EFFICIENCY AND RENEWABLE ENERGY		FY2012 Beginning Uncosted Obligations	FY2012 Funds	FY2012 Costs	FY2012 Ending Uncosted Obligations
OPERATING					
BM01	Biomass/Biofuels Energy Systems	3,974	2,999	3,180	3,793
BR01	EE Departmental Admin, Rec Act	2,283	-	137	2,146
BT01	Residential Buildings	5,366	1,884	4,432	2,818
BT02	Commercial Buildings Integration	8,800	3,956	5,435	7,321
BT03	Emerging Technologies	3,765	8,742	8,833	3,674
BT04	Equipment Standards and Analysis	6,715	14,411	10,554	10,572
BT05	Technical Program Management Support	7	(7)	-	-
BT07	Technology Validation and Market Distribution	1,074	(0)	171	903
EB21	Solar Energy	2,400	805	2,536	669
EB25	Wind Energy Systems	381	500	627	254
EB36	Facilities and Infrastructure	5	-	-	5
EB40	Geothermal Technologies	5,796	5,320	5,409	5,706
EB42	Hydrogen Research R&D	1,101	(0)	799	302
EB51	Energy Efficiency and Renewable Energy Program Direction	3,664	-	1,149	2,516
EB55	Department Energy Management Program	32	(5)	-	27
EB57	Energy Efficiency and Renewable Energy (EERE) Program Support	1,707	250	1,087	869
ED18	Industries Of The Future (Specific)	3	(3)	-	0
ED19	Industries Of The Future (Crosscutting)	502	(0)	289	213
ED20	Industrial Technical Assistance	1,115	2,142	2,349	907
ED22	Technical Program Management Support	0	(0)	-	-
ED27	Next Generation Manufacturing Processes	-	100	35	65
ED28	Next Generation Materials	-	320	71	249
EL17	Federal Energy Management Program	3,102	4,340	4,867	2,575
HT01	Fuel Cell Systems R&D	-	3,313	1,751	1,561
HT02	Hydrogen Fuel R&D	-	513	185	327
HT07	Manufacturing R&D	-	75	54	21
PG03	Strategic Priorites and Impact Analysis	-	485	-	485
PG05	International	-	90	15	75
VT02	Outreach, Deployment & Analysis	502	(0)	484	18
VT03	Hybrid and Electric Propulsion	9	-	8	0
VT05	Materials Technology	110	275	312	74
VT11	Hybrid Electric Systems	481	-	460	21
VT12	Batteries and Electric Drive Technology	6,347	14,961	14,621	6,687
WI03	State Energy Program (Grants)	909	90	581	418
WI04	Other State Energy Activities	191	(0)	20	171
WI05	Gateway Deployment	3	(0)	0	3
WI06	Intergovernmental Activities	597	(1)	320	277
WI07	Weatherization Assistance Program	1,572	125	968	729
Total Operating (a)		**62,512**	**65,678**	**71,739**	**56,452**

continued...

Table 2.4b

FY2012 Funding and Costs by DOE Programs ($K) Continued

ASSISTANT SECRETARY FOR ENERGY EFFICIENCY AND RENEWABLE ENERGY		FY2012 Beginning Uncosted Obligations	FY2012 Funds	FY2012 Costs	FY2012 Ending Uncosted Obligations
CAPITAL EQUIPMENT					
BM01	Biomass/Biofuels Energy Systems	1,505	-	876	629
VT12	Batteries and Electric Drive Technology	805	-	691	114
Total Capital Equipment (a)		**2,310**	**-**	**1,567**	**742**
LINE-ITEM CONSTRUCTION					
39EB	Facilities and Infrastructure	14,459	-	2,036	12,422
Total Line-item Construction		**14,459**	**-**	**2,036**	**12,422**
TOTAL DOE PLANT		**14,459**	**-**	**2,036**	**12,422**
TOTAL ASSISTANT SECRETARY FOR ENERGY EFFICIENCY AND RENEWABLE ENERGY		**79,280**	**65,678**	**75,343**	**69,616**

Note: Minor variances may occur due to rounding.

(a) FY2012 Beginning Uncosted Obligations balance was adjusted by $1,306K from Capital Equipment to Operating due to the DOE Capitalization Threshold change from $50K to $500K effective at the beginning of FY2012.

Table 2.4c

FY2012 Funding and Costs by DOE Programs ($K) Continued

OFFICE OF ELECTRICITY DELIVERY AND ENERGY RELIABILITY		FY2012 Beginning Uncosted Obligations	FY2012 Funds	FY2012 Costs	FY2012 Ending Uncosted Obligations
OPERATING					
TD50	Research and Development	5,743	(0)	2,958	2,785
TD52	Electricity Restructuring	0	(0)	-	-
TD54	Operations and Analysis	5,476	(0)	3,673	1,803
TE11	Clean Energy Transmission & Reliability	100	4,723	1,586	3,238
TE12	Smart Grid Research and Development	-	1,020	93	927
TF00	Permitting, Siting and Analysis	-	3,000	160	2,840
Total Operating		**11,319**	**8,743**	**8,470**	**11,593**
TOTAL OFFICE OF ELECTRICITY DELIVERY AND ENERGY RELIABILITY		**11,319**	**8,743**	**8,470**	**11,593**
Note: Minor variances may occur due to rounding.					

ASSISTANT SECRETARY FOR FOSSIL ENERGY		FY2012 Beginning Uncosted Obligations	FY2012 Funds	FY2012 Costs	FY2012 Ending Uncosted Obligations
OPERATING					
AA15	Advanced Research	1,993	-	1,281	712
AA20	Central Systems	1,063	-	871	192
AA25	Fuel Cells	303	-	303	0
AA30	Sequestration	11,196	(0)	6,147	5,048
AA60	Advanced Energy Systems	-	300	0	300
AA65	Carbon Capture	-	850	31	819
AA70	Carbon Storage	-	3,991	260	3,731
AA90	Cross Cutting Research	-	2,800	265	2,535
AB05	Natural Gas Technologies	166	375	138	404
AC10	Oil Technology	286	(0)	(53)	340
AD20	Contractual Services And Supplies	40	-	34	6
AE10	Advanced Metallurgical Processes	0	-	0	0
AY05	Clean Coal Power Initiative	350	-	12	338
BD00	Unconventional Fossil Energy Technologies	93	-	0	93
CE03	Center for Zero Emissions Technology - Montana State	423	-	336	88
CE47	Innovations for Low-Cost Gasification Systems	5	-	0	5
CE54	Design and Test of an Advanced SOFC Generator in PA	6	-	0	6
Total Operating		**15,925**	**8,316**	**9,624**	**14,618**
TOTAL ASSISTANT SECRETARY FOR FOSSIL ENERGY		**15,925**	**8,316**	**9,624**	**14,618**
Note: Minor variances may occur due to rounding.					

continued...

Table 2.4d

FY2012 Funding and Costs by DOE Programs ($K) Continued

ASSISTANT SECRETARY FOR ENVIRONMENTAL MANAGEMENT		FY2012 Beginning Uncosted Obligations	FY2012 Funds	FY2012 Costs	FY2012 Ending Uncosted Obligations
OPERATING					
EY40	Defense Site Acceleration Completion - Technology Development and Deployment	542	1,372	1,731	182
EY80	Defense Environmental Cleanup - Program Support	2	(1)	2	0
EZ50	Non-Defense Environmental Cleanup - Small Sites	707	0	109	597
Total Operating		**1,251**	**1,371**	**1,842**	**780**
TOTAL ASSISTANT SECRETARY FOR ENVIRONMENTAL MANAGEMENT		**1,251**	**1,371**	**1,842**	**780**

Note: Minor variances may occur due to rounding.

OFFICE OF HEALTH SAFETY AND SECURITY		FY2012 Beginning Uncosted Obligations	FY2012 Funds	FY2012 Costs	FY2012 Ending Uncosted Obligations
OPERATING					
HQ10	Employee Compensation	7	57	37	28
Total Operating		**7**	**57**	**37**	**28**
TOTAL OFFICE OF HEALTH SAFETY AND SECURITY		**7**	**57**	**37**	**28**

Note: Minor variances may occur due to rounding.

ASSISTANT SECRETARY FOR NUCLEAR ENERGY		FY2012 Beginning Uncosted Obligations	FY2012 Funds	FY2012 Costs	FY2012 Ending Uncosted Obligations
OPERATING					
AF36	Generation IV Nuclear Energy Systems Initiative (Generation IV)	0	(0)	0	-
AF58	Fuel Cycle Research and Development (FCR&D)	504	2,877	2,898	483
DF01	First Repository (a)	42	(0)	12	30
DF09	Program Support (a)	0	(0)	0	-
NT01	Crosscutting Technology Development	200	-	89	111
RC04	Advanced Reactor Concepts	171	-	92	79
Total Operating		**917**	**2,877**	**3,091**	**703**
TOTAL ASSISTANT SECRETARY FOR NUCLEAR ENERGY		**917**	**2,877**	**3,091**	**703**

Note: Minor variances may occur due to rounding.
(a) Office of Civilian Radioactive Waste Management FY2012 Beginning Uncosted Obligations are reported under Office of Nuclear Energy due to DOE reallignment.

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Table 2.4e

FY2012 Funding and Costs by DOE Programs ($K) Continued

OFFICE OF ENERGY AND THREAT		FY2012 Beginning Uncosted Obligations	FY2012 Funds	FY2012 Costs	FY2012 Ending Uncosted Obligations
OPERATING					
GD40	Program Direction	103	109	132	80
Total Operating		**103**	**109**	**132**	**80**
TOTAL OFFICE OF ENERGY AND THREAT		**103**	**109**	**132**	**80**
Note: Minor variances may occur due to rounding.					

ASSISTANT SECRETARY FOR POLICY AND INTERNATIONAL AFFAIRS		FY2012 Beginning Uncosted Obligations	FY2012 Funds	FY2012 Costs	FY2012 Ending Uncosted Obligations
OPERATING					
PE01	Policy, Planning And Analysis	0	(0)	-	-
PE04	Energy Security and Assurance Policy	58	-	53	5
PE06	Climate Change Technology Program	102	50	45	106
WA22	Office of International Affairs - Program Direction	7	-	-	7
Total Operating		**167**	**50**	**98**	**118**
TOTAL ASSISTANT SECRETARY FOR POLICY AND INTERNATIONAL AFFAIRS		**167**	**50**	**98**	**118**
Note: Minor variances may occur due to rounding.					

OFFICE OF MANAGEMENT		FY2012 Beginning Uncosted Obligations	FY2012 Funds	FY2012 Costs	FY2012 Ending Uncosted Obligations
OPERATING					
MA10	Other Related Expenses - Contractual Services	1	-	-	1
Total Operating		**1**	**-**	**-**	**1**
TOTAL OFFICE OF MANAGEMENT		**1**	**-**	**-**	**1**
Note: Minor variances may occur due to rounding.					

ADVANCED RESEARCH PROJECTS AGENCY - ENERGY		FY2012 Beginning Uncosted Obligations	FY2012 Funds	FY2012 Costs	FY2012 Ending Uncosted Obligations
OPERATING					
CJ01	ARPA-E Projects	3,315	2,993	2,517	3,792
Total Operating		**3,315**	**2,993**	**2,517**	**3,792**
TOTAL ADVANCED RESEARCH PROJECTS AGENCY - ENERGY (a)		**3,315**	**2,993**	**2,517**	**3,792**
Note: Minor variances may occur due to rounding.					
(a) Advanced Research Projects Agency - Energy was previously reported under Office of the Chief Financial Officer (ARPA-E Projects) in FY2009, FY2010, FY2011.					

Table 2.5

FY2012 Funding and Costs by Other Direct Operating Source ($K)

Funding Source	FY2012 Beginning Uncosted Obligations	FY2012 Funds	FY2012 Costs	FY2012 Ending Uncosted Obligations
REIMBURSABLE WORK FOR OTHERS - AGENCIES				
Work for Others - Federal Agencies:				
Department of Agriculture	0	39	40	0
Department of Commerce	1	(1)	-	-
Department of Defense	10,288	10,736	13,796	7,490
Department of Homeland Security - Borders and Transportation	1,025	763	896	904
Department of Homeland Security - Domestic Nuclear Detection Office	764	-	535	230
Department of Homeland Security - Science and Technology	2,924	2,150	3,680	1,401
Department of Housing And Urban Development	243	49	116	179
Department of State - Other	1,197	-	1,296	1
Department of The Interior	238	668	256	658
Environmental Protection Agency	2,649	550	2,223	1,043
National Aeronautics and Space Administration	3,901	4,280	4,717	3,627
National Institutes of Health (a)	36,228	32,107	36,386	31,868
National Science Foundation (a)	543	453	432	576
Nuclear Regulatory Commission	572	703	783	515
Other Federal Agencies	2,113	3,765	2,792	3,166
Other Federal Agencies - Defense-Related Activities	218	102	149	175
Other Federal Agencies - Energy-Related Activities	637	38	590	102
Total Work for Others - Federal Agencies	**63,540**	**56,401**	**68,687**	**51,937**
Work for Non-Federal Agencies:				
Foreign Governments	613	356	713	329
Domestic and Foreign Industry (b)	8,743	14,803	16,456	7,353
State and Local Governments & NPO's	9,767	24,675	24,980	9,419
Universities and Institutes	4,999	11,826	13,603	3,272
Cost of Work for Others Program (WN) (c)	4,438	1,800	608	5,634
Total Work for Non-Federal Agencies	**28,558**	**53,460**	**56,360**	**26,008**

continued...

Table 2.5

FY2012 Funding and Costs by Other Direct Operating Source ($K) Continued

Funding Source	FY2012 Beginning Uncosted Obligations	FY2012 Funds	FY2012 Costs	FY2012 Ending Uncosted Obligations
REIMBURSABLE WORK FOR OTHERS (continued)				
Cooperative Research and Development Agreements:				
CRADA - Other	1,049	417	980	515
Total Cooperative Research and Development Agreements	**1,049**	**417**	**980**	**515**
TOTAL REIMBURSABLE WORK FOR OTHERS	**93,147**	**110,279**	**126,027**	**78,459**
Work for Other DOE Integrated Contractors:				
Work Performed for Other DOE Locations (d)	-	13,437	13,437	-
Total Work for Other DOE Integrated Contractors	**-**	**13,437**	**13,437**	**-**
TOTAL OTHER DIRECT OPERATING (e) (f)	**93,147**	**123,716**	**139,464**	**78,459**

Note: Minor variances may occur due to rounding.

(a) FY2012 ARRA National Institutes of Health (NIH) and National Science Foundation (NSF) awards were obligated to LBNL by DOE as work for a Non-Federal entity to accommodate OMB apportionment requirements for ARRA. For reporting consistency with prior and future years, all NIH and NSF funding and cost data is reflected under the Work for Other Federal Agencies category.

(b) Difference in FY2011 Ending Uncosted Obligations and FY2012 Beginning Uncosted Obligations is ($4K). Difference relates to adjustment for Federal Administrative Charge.

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

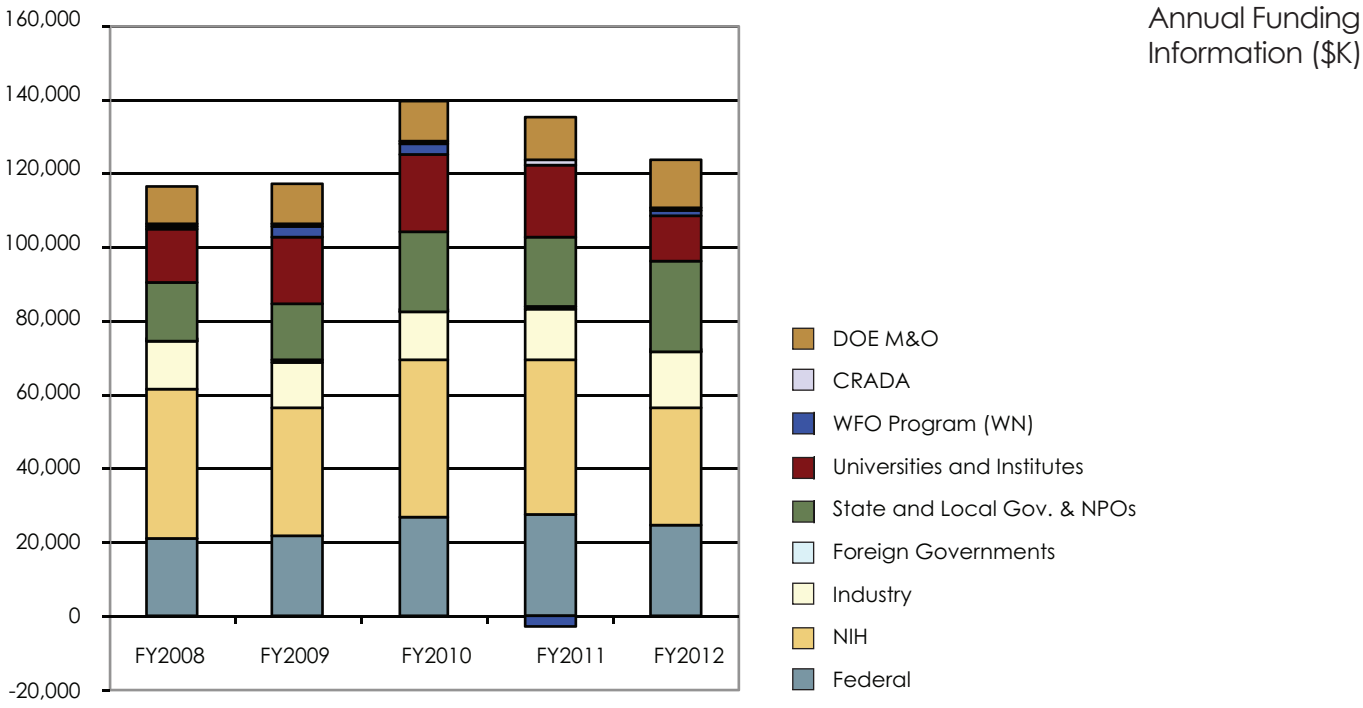
(d) Total funding for Work for Other Integrated Contractors is assumed to be equal to cost incurred.

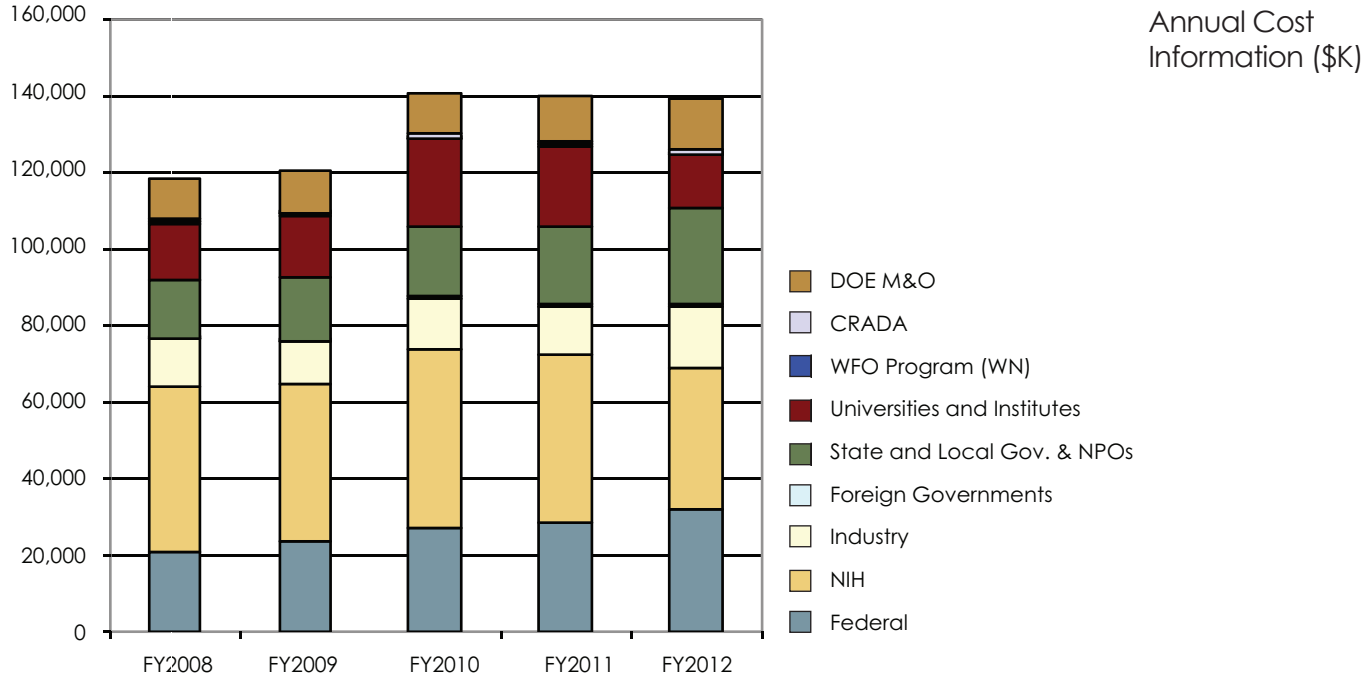
(e) The sum of FY2012 Beginning Uncosted Obligations, FY2012 Funds, minus, FY2012 Costs does not equal FY2012 Ending Uncosted Obligations) due to various adjustments not reflected in the FY2012 Costs column. Examples of these adjustments include Bridge Funding, suspense items, and DOE's Federal Administrative Charge. The total of these adjustments for FY2012 is ($1,060K).

(f) Includes FY2012 Beginning Uncosted Obligations, FY2012 Funds and FY2012 Costs for American Recovery and Reinvestment Act (ARRA), ($1,500, $4,935, $5,803K) see Table 3.4 for details by sponsor.

Figure 2.1

FY2012 Funding and Cost Trends by Other Direct Operating Source ($K)





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

Table 3.1

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

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

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

(b) Portion of High Performance Network Facilities funding reobligated from Capital Equipment to Operating in FY2011 and FY2012.

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

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

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

Table 3.2

LBNL ARRA Cost Trends by Funding Source ($K)

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

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

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

Figure 3.1

Where Did Your ARRA Program Dollars Go in FY2012?

Expenses	DOE Operating Costs	DOE Intergrated Contractors Costs	Construction and Equipment	WFO Non DOE
DIRECT				
DIRECT LABOR				
UC Labor (a)	$0.20	$0.26	$0.16	$0.41
Contract Labor	$0.00	$0.00	$0.00	$0.00
Organization Burden (b)	$0.03	$0.04	$0.03	$0.08
Subtotal Direct Labor	**$0.23**	**$0.30**	**$0.19**	**$0.49**
OTHER DIRECT				
Services	$0.40	$0.46	$0.26	$0.13
Materials	$0.21	$0.02	$0.45	$0.04
Utilities	$0.00	$0.00	$0.00	$0.00
Other Expenses (c)	$0.00	$0.00	$0.01	$0.01
Recharges (b,d)	$0.01	$0.02	$0.01	$0.04
Travel	$0.01	$0.02	$0.00	$0.01
Subtotal Other Direct	**$0.63**	**$0.51**	**$0.73**	**$0.23**
Total Direct	**$0.86**	**$0.81**	**$0.92**	**$0.72**
INDIRECT				
Procurement	$0.01	$0.02	$0.02	$0.01
Travel	$0.00	$0.00	$0.00	$0.00
G&A (Other Inst.)	$0.13	$0.17	$0.06	$0.27
Total Indirect	**$0.14**	**$0.19**	**$0.08**	**$0.28**
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 misc. expenses (stipends, sales tax, freight, etc.).
(d) Includes recharges credited back to direct operating accounts such as ALS and ESnet.

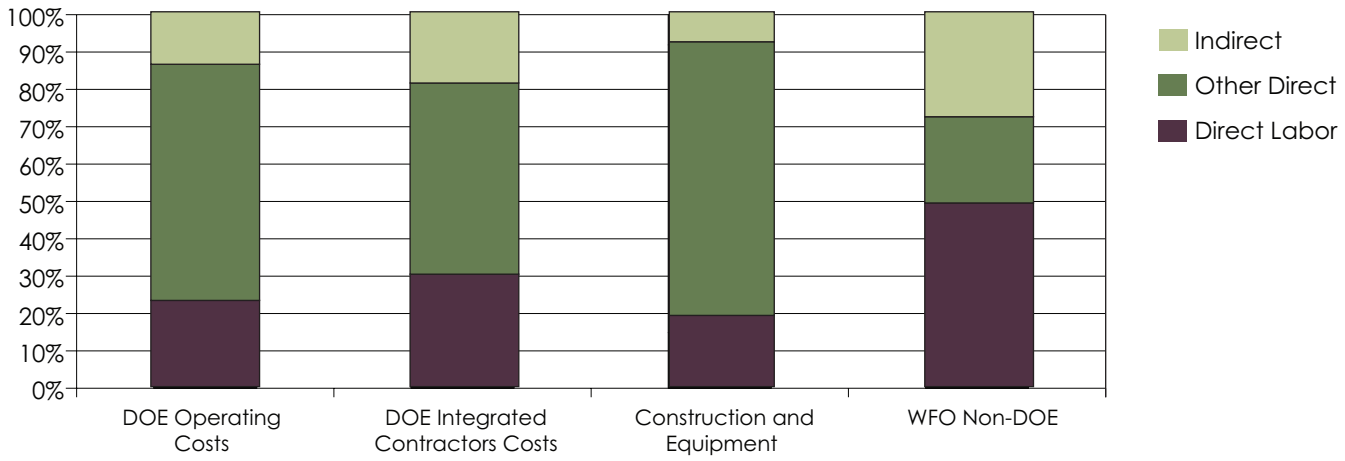


Table 3.3

FY2012 ARRA Funding and Costs by DOE Programs ($K)

Office of Science ARRA		FY2012 Beginning Uncosted Obligations	FY2012 Funds	FY2012 Costs	FY2012 Ending Uncosted Obligations
OPERATING:					
KA14	Theoretical Physics	1,946	-	520	1,426
KA15	Advanced Technology R&D	295	-	46	249
KB03	Nuclear Theory	2,217	-	723	1,494
KB04	Low Energy Physics	625	-	350	274
KC02	Materials Sciences and Engineering	1,973	(0)	589	1,384
KG06	Excess Facilities Disposition	0	-	0	0
KJ04	Mathematical, Computational, and Computer Sciences Research	4,186	-	2,264	1,922
KJ05	High Performance Computing and Network Facilities	18,623	13,074	23,608	8,089
KP15	Biological Research	1	-	1	-
Total Operating		**29,866**	**13,074**	**28,101**	**14,839**
CAPITAL EQUIPMENT:					
AT50	Fusion Energy Sciences - Science	455	-	454	1
KA15	Advanced Technology R&D	8,019	-	7,580	439
KC02	Materials Sciences and Engineering	1,081	-	1,043	39
KJ05	High Performance Computing and Network Facilities	13,336	(13,074)	262	0
KP15	Biological Research	0	-	0	-
Total Capital Equipment		**22,891**	**(13,074)**	**9,339**	**478**
GENERAL PLANT PROJECTS:					
KG09	General Plant Projects	2,682	-	2,141	541
Total General Plant Projects		**2,682**	**-**	**2,141**	**541**
Accelerator Improvement Projects:					
KB04	Low Energy Physics	329	-	328	0
KC02	Materials Sciences and Engineering	4,451	-	1,884	2,567
Total Accelerator Improvement Projects		**4,779**	**-**	**2,212**	**2,567**
Line Item Construction:					
39KC	Basic Energy Sciences	0	(0)	-	-
39KG	Science Laboratories Infrastructure	1,431	-	1,431	0
Total Line Item Construction		**1,431**	**(0)**	**1,431**	**0**
TOTAL OFFICE OF SCIENCE		**61,649**	**(1)**	**43,223**	**18,425**

continued...

Table 3.3

FY2012 ARRA Funding and Costs by DOE Programs ($K) Continued

Assistant Secretary for Energy Efficiency and Renewable Energy ARRA		FY2012 Beginning Uncosted Obligations	FY2012 Funds	FY2012 Costs	FY2012 Ending Uncosted Obligations
OPERATING					
BM01	Biomass/Biofuels Energy Systems	3,436	-	838	2,598
BR01	EE Departmental Admin, Recovery Act	2,283	-	137	2,146
BT01	Residential Buildings	2,232	-	2,230	2
BT02	Commercial Buildings Integration	4,804	-	1,322	3,482
EB36	Facilities and Infrastructure	5	-	-	5
EB40	Geothermal	1,791	-	1,564	228
EB51	Energy Efficiency and Renewable Energy Program Direction	3,566	-	1,051	2,516
EL17	Federal Energy Management Program	0	(0)	-	-
WI07	Weatherization Assistance Program	1,470	-	968	502
Total Operating		**19,587**	**(0)**	**8,109**	**11,478**
CAPITAL EQUIPMENT					
BM01	Biomass/Biofuels Energy Systems	1,505	-	876	629
Total Capital Equipment		**1,505**	**-**	**876**	**629**
LINE ITEM CONSTRUCTION					
39EB	Facilities and Infrastructure	14,459	-	2,036	12,422
Total Line Item Construction		**14,459**	**-**	**2,036**	**12,422**
TOTAL ASSISTANT SECRETARY FOR ENERGY EFFICIENCY AND RENEWABLE ENERGY		**35,550**	**(0)**	**11,022**	**24,529**
Assistant Secretary for Fossil Energy ARRA		**FY2012 Beginning Uncosted Obligations**	**FY2012 Funds**	**FY2012 Costs**	**FY2012 Ending Uncosted Obligations**
OPERATING					
AA30	Sequestration	3,428	-	2,345	1,083
Total Operating		**3,428**	**-**	**2,345**	**1,083**
TOTAL ASSISTANT SECRETARY FOR FOSSIL ENERGY		**3,428**	**-**	**2,345**	**1,083**

continued...

Table 3.3

FY2012 ARRA Funding and Costs by DOE Programs ($K) Continued

Office of Electricity Delivery and Energy Reliability ARRA		FY2012 Beginning Uncosted Obligations	FY2012 Funds	FY2012 Costs	FY2012 Ending Uncosted Obligations
OPERATING:					
TD50	Research and Development	1,757	-	327	1,429
Total Operating		**1,757**	**-**	**327**	**1,429**
TOTAL OFFICE OF ELECTRICITY DELIVERY AND ENERGY RELIABILITY		**1,757**	**-**	**327**	**1,429**

Advanced Research Projects Agency - Energy		FY2012 Beginning Uncosted Obligations	FY2012 Funds	FY2012 Costs	FY2012 Ending Uncosted Obligations
OPERATING					
CJ01	ARPA-E Projects	3,315	-	1,956	1,359
Total Operating		**3,315**	**-**	**1,956**	**1,359**
TOTAL ADVANCED RESEARCH PROJECTS AGENCY - ENERGY (A)		**3,315**	**-**	**1,956**	**1,359**

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

Total ARRA Funding and Costs by DOE Programs	FY2012 Beginning Uncosted Obligations	FY2012 Funds	FY2012 Costs	FY2012 Ending Uncosted Obligations
TOTAL OPERATING	**57,953**	**13,074**	**40,838**	**30,188**
TOTAL EQUIPMENT	**24,396**	**(13,074)**	**10,215**	**1,107**
TOTAL GENERAL PLANT PROJECTS	**2,682**	**-**	**2,141**	**541**
TOTAL ACCELERATOR IMPROVEMENT PROJECTS	**4,779**	**-**	**2,212**	**2,567**
TOTAL LINE ITEM CONSTRUCTION	**15,890**	**(0)**	**3,467**	**12,422**
TOTAL ARRA DOE PROGRAMS	**105,700**	**(1)**	**58,873**	**46,826**

Table 3.4

FY2012 ARRA Funding and Costs by Other Direct Operating Source ($K)

Funding Source	FY2012 Beginning Uncosted Obligations	FY2012 Funds	FY2012 Costs	FY2012 Ending Uncosted Obligations
REIMBURSABLE WORK FOR OTHER AGENCIES				
Work for Others - Federal Agencies				
Department of Defense	2	-	2	0
National Institutes of Health (a)	105	1,557	1,653	3
National Science Foundation (a)	14	(10)	4	(0)
Other Energy Related Activities	44	75	43	77
Total Work for Others - Federal Agencies	**165**	**1,621**	**1,701**	**80**
Work for Others - Non-Federal Agencies				
Industry (b)	367	870	992	246
State and Local Governments & NPO's	0	(0)	-	-
Universities and Institutes	491	246	602	131
Cost of Work for Others Program (WN) (c)	478	-	309	169
Total Work for Non-Federal Agencies	**1,336**	**1,116**	**1,904**	**546**
TOTAL REIMBURSABLE WORK FOR OTHERS	**1,500**	**2,737**	**3,605**	**626**
Work for Other DOE Integrated Contractors				
Work Performed for Other DOE Locations (d)		2,198	2,198	-
Total Work for Other DOE Integrated Contractors	**-**	**2,198**	**2,198**	**-**
TOTAL OTHER DIRECT OPERATING (e)	**1,500**	**4,935**	**5,803**	**626**

Note: Minor variances may occur due to rounding.
(a) FY2012 ARRA National Institutes of Health (NIH) and National Science Foundation (NSF) awards were obligated to LBNL by DOE as work for a Non-Federal entity to accommodate OMB apportionment requirements for ARRA. For reporting consistency with prior and future yeras, all NIH and NSF funding and cost data is reflected under the Work for Other Federal Agencies category.
(b) Difference in FY2011 Ending Uncosted Obligations and FY2012 Beginning Uncosted Obligations is ($4K). Difference relates to adjustment for Federal Administrative Charge.
(c) Includes funding for Non Federal Sponsors who are precluded by law from paying an advance under the WN02 program.
(d) Total funding for Work for Other Integrated Contractors is assumed to be equal to cost incurred.
(e) The sum of FY2012 Beginning Uncosted Obligations, FY2012 Funds, minus, FY2012 Costs does not equal FY2012 Ending Uncosted Obligations due to various adjustments not reflected in the FY2012 Costs column. Examples of these adjustments include Bridge Funding, suspense items, and DOE's Federal Administrative Charge. The total of these adjustments for FY2011 is $7K.

Table 3.5

ARRA Cost Trends by Expense Category, FY2009-FY2012 ($M and % of Total)

Expenses	FY2009		FY2010		FY2011		FY2012	
	$M	%	$M	%	$M	%	$M	%
DIRECT								
DIRECT LABOR								
UC Labor (a)	0.6	5.9%	11.0	10.5%	18.0	17.8%	12.9	19.9%
Contract Labor	0.0	0.0%	0.1	0.1%	0.0	0.0%	0.1	0.1%
Organization Burden (b)	0.1	1.0%	1.9	1.8%	3.0	2.9%	2.2	3.3%
Subtotal Direct Labor	**0.8**	**6.9%**	**13.0**	**12.4%**	**21.0**	**20.7%**	**15.1**	**23.3%**
OTHER DIRECT								
Services	8.0	73.1%	48.8	46.7%	47.5	46.9%	22.5	34.8%
Materials	1.6	14.6%	33.4	31.9%	18.5	18.3%	16.9	26.1%
Utilities	0.0	0.0%	0.0	0.0%	0.0	0.0%	0.0	0.0%
Other Expenses (c)	0.0	0.0%	0.2	0.2%	0.2	0.2%	0.2	0.3%
Recharges (b,d)	0.0	0.2%	0.4	0.4%	1.0	1.0%	0.8	1.2%
Travel	0.0	0.2%	0.2	0.2%	0.6	0.6%	0.4	0.7%
Subtotal Other Direct	**9.7**	**88.1%**	**83.0**	**79.4%**	**67.8**	**67.0%**	**40.8**	**63.1%**
Total Direct	**10.4**	**95.0%**	**96.0**	**91.8%**	**88.8**	**87.7%**	**55.9**	**86.5%**
INDIRECT								
Procurement	0.1	1.3%	1.5	1.4%	1.5	1.5%	1.1	1.6%
Travel	0.0	0.0%	0.0	0.0%	0.1	0.1%	0.1	0.1%
G&A (Other Inst.)	0.4	3.6%	7.0	6.7%	10.9	10.7%	7.6	11.8%
Total Indirect	**0.5**	**5.0%**	**8.5**	**8.2%**	**12.4**	**12.3%**	**8.8**	**13.5%**
TOTAL EXPENSES (E)	**11.0**	**100.0%**	**104.5**	**100.0%**	**101.2**	**100.0%**	**64.7**	**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 misc. expenses (stipends, sales tax, freight, etc.).
(d) Includes recharges credited back to direct operating accounts such as ALS and ESnet.
(e) Total Costs for FY2010 is different than in the FY2010 Annual Report based on a Work for Other DOE Integrated Contractors award changing status from Non-ARRA to ARRA. The impact to costs for FY2010 is a $221.9K increase.

Table 3.6

ARRA Job Reporting

DOE Direct ARRA Project	Quarterly FTEs (a)			Life-to-Date Jobs		
	LBNL	Sub-Recipient	Total	Created	Retained	Total
Total DOE Direct ARRA Projects	**60.0**	**22.0**	**81.9**	**287.9**	**1,298.3**	**1,586.1**
Total Other Direct Operating ARRA Projects (b) (c)	**14.0**	**1.9**	**16.0**	**79.9**	**32.8**	**112.7**
LBNL TOTAL	**74.0**	**23.9**	**97.9**	**367.7**	**1,331.1**	**1,698.8**
DOE Direct ARRA Project:						
ALS User Support Building	-	-	-	5.2	106.0	111.3
GPP, Upgrade Building 62	1.0	7.1	8.2	3.7	28.8	32.5
GPP, Upgrade Building 66	-	-	-	2.6	19.5	22.1
GPP, Air Handling Equipment	-	-	-	0.9	11.2	12.1
GPP, Upgrade Building 2	-	-	-	2.0	18.4	20.4
GPP, Modernize Transformer	-	-	-	4.5	8.6	13.1
Bevatron Demolition	-	-	-	-	22.7	22.7
Seismic Phase 2, 09-SC-72	-	1.4	1.4	7.5	130.3	137.8
Adv. Plasma Accel. Facility. (BELLA)	2.4	-	2.4	25.2	27.4	52.6
Nuclear Data Program Init.	1.0	-	1.0	-	3.2	3.2
Enh AIP Funding, Injector	0.1	-	0.1	6.9	1.0	7.9
Fed Lab Support for ARRA Trans	-	-	-	1.1	-	1.1
HEP-Adv Tech R&D Augmentation(Magnets)	0.7	-	0.7	5.4	5.7	11.0
Nanoscale Science Rsrch Centrs	-	-	-	0.6	25.6	26.2
Enh AIP Funding, RF Amplifier	-	-	-	0.9	-	0.9
Energy Frontier Research Cntrs	0.1	-	0.1	0.2	-	0.2
HEDLP NDCX-II	-	-	-	23.4	33.7	57.1
ALS Beamline Detectors	0.1	-	0.1	5.6	1.1	6.7
ALS Slice Beamline EPU	-	-	-	6.3	1.8	8.0
ALS Sextupoles Magnets	4.7	-	4.7	9.8	-	9.8
ALS High Field Vector Magnet	-	-	-	3.1	5.8	8.9
ARPA-E Early Harvest Solict.	-	-	-	0.1	-	0.1
Joint Genome Institute	-	-	-	-	102.5	102.5
Joint BioEnergy Institute	-	-	-	0.0	39.8	39.8
Advanced Networking Initiative	5.7	-	5.7	16.7	461.8	478.6
Comp. Partnerships (SciDAC-e)	0.6	-	0.6	1.9	-	1.9

(a) Represents data reported in Fedreporting.gov for LBNL's FY2012 Q4.
(b) Other Direct Operating includes Work for Others, Federal Sponsors, Non-Federal Sponsors.
(c) In FY2012, it was discovered that there was a system error that overstated the number of Life-to-Date jobs for Other Direct Operating ARRA Projects that was previously reporting in the FY2011 Annual Report. This was corrected for the FY2012 Annual Report.

continued...

Table 3.6

ARRA Job Reporting Continued

DOE Direct ARRA Project (Continued)	**Quarterly FTEs (a)**			**Life-to-Date Jobs**		
	LBNL	**Sub-Recipient**	**Total**	**Created**	**Retained**	**Total**
Enhance FEMP Service Function	-	-	-	4.5	1.3	5.7
LBNL Magellan Cloud Computing	0.2	-	0.2	10.4	101.9	112.3
Climate100 - ESG to 100 Gbps	-	-	-	1.2	-	1.2
Petascale Initiative	3.4	-	3.4	15.7	-	15.7
Enhanced Geothermal Systems (EGS) with C02 as Heat Transmission Fluid	0.0	0.8	0.8	1.7	3.5	5.2
Coupled Thermal-Hydrological-Mechanical-Chemical Model and Experiments for Optimization of Enhanced Geothermal System Development and Production	2.5	-	2.5	3.9	0.5	4.4
Fluid Imaging of Enhanced Geothermal Systems through Joint 3D Geophysical Inverse Modeling	0.6	1.1	1.6	4.3	0.8	5.2
Integrated Approach to Use Natural Chemical and Isotopic Tracers to Estimate Fracture Spacing and Surface Area in EGS Systems	1.5	-	1.5	6.2	-	6.2
National Accounts Acceleration in Support of Commercial Building Initiative	3.5	1.3	4.8	8.3	5.3	13.6
Smart Grid Investment Grant Program	0.7	1.0	1.8	1.0	2.0	3.1
Hospital Energy Benchmarking SysDev	-	-	-	0.7	0.1	0.8
Incorporating EE into Commercial Mortgage Underwriting	0.3	-	0.3	1.2	4.5	5.8
Northern California CO2 Reduction Project	-	-	-	0.6	-	0.6
Builders Challenge and Existing Home Retrofits	0.4	0.2	0.7	7.0	6.7	13.8
Advanced Biofuels PDU-Bioenergy Research Center Collaboration	0.4	0.4	0.7	2.9	86.7	89.6
Deep Exploratory Test well for CO2 Sequestration purposes, Newark Basin-Southern New York and New Jersey	1.3	-	1.3	1.1	0.7	1.8
Residential Home Retrofit Support & Research	0.2	-	0.2	6.2	-	6.2
Home Retrofits Rating Support	0.3	-	0.3	7.7	0.3	8.1
Residential Building Home Retrofit Analysis	0.0	-	0.0	0.7	0.6	1.3
User Facility For Low Energy Integrated Buildings Systems Research (UTBF)	2.1	4.3	6.4	3.7	11.7	15.4
High Energy Physics- Early Career Research Program	2.9	-	2.9	5.5	-	5.5
Basic Energy Sciences- Early Career Research Program	1.8	-	1.8	5.4	-	5.4
Nuclear Physics-Early Career Research Program	2.2	-	2.2	6.0	0.5	6.5
NP-3D Gamma ray Imaging Technologies	0.9	-	0.9	2.9	-	2.9
ASCR-Comp Partnerships- SciDAC-e-PERC-3-Enhancing Productivity of Materials Discovery computation for Solar fuels and Next Gen. Autotuning Large Computational codes.	1.0	1.5	2.6	1.6	4.8	6.4
Visualization and Analytics Center for Enabling Technologies-VACET	1.1	-	1.1	3.5	-	3.5
Applied Partial Differential Equations Center for Enabling Technologies(APDEC)	1.0	1.0	1.9	1.8	1.8	3.7
(a) Represents data reported in Fedreporting.gov for LBNL's FY2012 Q4.						

continued...

Table 3.6

ARRA Job Reporting Continued

DOE Direct ARRA Project (Continued)	Quarterly FTEs (a)			Life-to-Date Jobs		
	LBNL	Sub-Recipient	Total	Created	Retained	Total
Towards Optimal Petascale Simulations-TOPS-SciDAC-e	0.0	-	0.0	2.7	-	2.7
EE Technical Assistance	0.2	-	0.2	0.5	-	0.5
Development of an Integrated Microbial-ElectroCatalytic (MEC) System for Liquid Biofuel Production from CO2	3.6	-	3.6	5.3	1.2	6.5
High Throughput Discovery of Robust Metal Organic Frameworks for CO2 capture	2.5	0.2	2.7	8.9	1.7	10.6
ARRA Evaluation	-	0.8	0.8	0.6	4.6	5.2
LBNL ARRA Bridge - Evaluation Support	-	-	-	0.1	0.5	0.6
Industrial Carbon Capture & Storage:Joint Inversion of Monitoring Data for Early Leakage Detection	4.3	-	4.3	6.0	1.4	7.3
Carbon Capture Simulation initiative-Industrial Carbon Capture and Storage	0.1	-	0.1	6.3	-	6.3
Online Training tool-Weatherization Training and Technical Assistance	1.7	0.9	2.6	3.9	0.2	4.1
ARPA E- Hydrogen-Bromine Flow Batteries for Grid-Scale Energy Storage	2.8	-	2.8	4.2	-	4.2
Total DOE Direct ARRA Projects	**60.0**	**22.0**	**81.9**	**287.9**	**1,298.3**	**1,586.1**

Other Direct Operating ARRA Project (b) (c)	Quarterly FTE (a)			Life-to-Date Jobs		
	LBNL	Sub-Recipient	Total	Created	Retained	Total
PHENIX FVTX Sensor Backplanes	-	-	-	1.2	-	1.2
PHENIX Station Disks	-	-	-	0.0	-	0.0
Evaluating Benefits of Advanced Metering Infrastructure, Smart Meters and Time-Varying Tariffs	-	-	-	0.9	-	0.9
Knowledgebase R&R Pilot Project	-	-	-	1.8	-	1.8
Knowledge Fusion and Data-Supported Deep Annotation for Reconstruction of Metabolism	-	-	-	-	1.2	1.2
Technical Support for the ARRA Technical Assistance Project (TAP)	1.4	-	1.4	1.7	-	1.7
Optics characterization for LCLS CXI and NIF SXI projects	-	-	-	0.1	-	0.1
Determining Technetium Speciation Using X-ray Absorption Fine Structure (XAFS)	-	-	-	0.1	-	0.1
Interregional Electricity Reliability Issue Assessment and Analysis	-	0.3	0.3	0.5	1.0	1.5
Area of Interest 2: New Technologies, Electricity Demand, and Utility Resource Plans	1.5	0.9	2.4	2.5	0.9	3.4
Technical Assistance to Electric Infrastructure Planners on Other Subjects	0.1	-	0.1	0.7	-	0.7
A Distributed Intelligence Automated Demand Response Building Management System	0.2	-	0.2	0.9	-	0.9

(a) Represents data reported in Fedreporting.gov for LBNL's FY2012 Q4.

(b) Other Direct Operating includes Work for Others, Federal Sponsors, Non-Federal Sponsors.

(c) In FY2012, it was discovered that there was a system error that overstated the number of Life-to-Date jobs for Other Direct Operating ARRA Projects that was previously reporting in the FY2011 Annual Report. This was corrected for the FY2012 Annual Report.

continued...

Table 3.6

ARRA Job Reporting Continued

Other Direct Operating ARRA Project (b) (c) (Continued)	Quarterly FTE (a)			Life-to-Date Jobs		
	LBNL	Sub-Recipient	Total	Created	Retained	Total
Energy-Efficient and Comfortable Buildings through Multivariate Integrated Control (ECoMIC)	1.0	-	1.0	1.7	-	1.7
Wireless Modular Dimming Lighting Control System	0.3	-	0.3	0.6	-	0.6
Development of High Rate Sequential Coatings for Low Cost Electrochromic Glass	0.0	-	0.0	1.2	-	1.2
ARRA Performance Tracking Metrics	0.3	-	0.3	0.4	-	0.4
IWO - Battaglia	-	-	-	-	-	-
Coatings for Superconducting Radio-Frequency (SRF) Cavities by HiPIMS Technology	-	-	-	-	-	-
Automated Continuous Commissioning of Commercial Buildings	-	-	-	1.4	0.2	1.6
Red Cell Band 4.1--Developmental Changes in RNA Splicing	-	-	-	2.6	2.0	4.6
Red Cell Band 4.1 - Developmental Changes in RNA Splicing	0.2	-	0.2	3.3	-	3.3
Age of Onset and Huntingtons Disease	-	-	-	2.6	0.3	3.0
Age of Onset and Huntingtons Disease	-	-	-	3.3	-	3.3
In Vivo Analysis of a Noncoding Susceptibility Region for Coronary Artery Disease	-	-	-	3.5	-	3.5
The Berkeley Cancer Genome Center	-	-	-	-	0.8	0.8
Accelerating Cancer Research with Single Cell Arrays	-	-	-	0.1	0.8	0.9
ARRA Development of the Cell Ontology in Support of the Gene Ontology	-	-	-	2.1	-	2.1
Self-healing Composites via Novel Biomolecular Design and Processing	-	-	-	2.4	-	2.4
MT Function and Dysfunction in Single Neurons in Vivo	0.1	-	0.1	4.7	0.2	4.9
Comprehensive characterization of the Drosophila transcrip-tome	0.1	0.6	0.7	0.5	2.3	2.8
Beamline Automation for Structure Determination	-	-	-	0.8	0.7	1.5
Bay Area Breast Cancer and the Environment Research Center	-	-	-	0.9	-	0.9
Mapping Anti-Cancer Drugs Using Advanced X-Ray Microanalysis	0.1	-	0.1	0.2	-	0.2
ARRA Gene Ontology Consortium	-	-	-	1.6	-	1.6
Genome-Wide Mapping of Chromosomal Proteins in Drosophilia	-	-	-	0.1	4.8	4.8
Generation of an In vivo Human Genome Transcriptional Enhancer Dataset	-	-	-	1.2	-	1.2
Matrix- Based Mineral (MBM) Enamel Biomimetics	-	-	-	1.0	-	1.0
Integrated nanoparticle characterization and toxicity assessment	-	-	-	0.1	-	0.1
Integrated nanoparticle characterization and toxicity assessment	-	-	-	0.1	-	0.1

(a) Represents data reported in Fedreporting.gov for LBNL's FY2012 Q4.

(b) Other Direct Operating includes Work for Others, Federal Sponsors, Non-Federal Sponsors.

(c) In FY2012, it was discovered that there was a system error that overstated the number of Life-to-Date jobs for Other Direct Operating ARRA Projects that was previously reporting in the FY2011 Annual Report. This was corrected for the FY2012 Annual Report.

continued...

Table 3.6

ARRA Job Reporting Continued

Other Direct Operating ARRA Project (b) (c) (Continued)	Quarterly FTE (a)			Life-to-Date Jobs		
	LBNL	Sub-Recipient	Total	Created	Retained	Total
Biomimetic Actinide Decorporation: Characterization and Pre-clinical Development	0.3	0.2	0.5	9.5	9.2	18.7
Manipulating b1 integrin to enhance radiation therapy for breast cancer	0.3	-	0.3	0.6	1.5	2.1
Non-B DNA Structure with Chemical Carcinogens	-	-	-	0.0	1.6	1.6
STCI: Middleware for Monitoring and Troubleshooting of Large-Scale Applications on National Cyberinfrastructure	-	-	-	3.7	-	3.7
PHENIX: new methods for automation in macromolecular crystallography	-	-	-	0.3	2.0	2.2
Mismatch Repair and DNA Expansion	-	-	-	0.8	-	0.8
Materials for Green Engineering of Urban Areas	-	-	-	-	-	-
Production of Advanced Coatings for Solar Cells	-	-	-	0.1	-	0.1
Multidimensional Electrofocusing on Gradient Monoliths	-	-	-	0.7	-	0.7
A metagenomic study of the Hoatzin crop microbes to reveal novel carbohydrate-active enzymes	-	-	-	-	-	-
National Institute for Computational Sciences (NICS) NSF Center for Remote Data Analysis and Visualization	1.3	-	1.3	2.4	-	2.4
Blind Geothermal System Exploration in Active Volcanic Environments; Multi-phase Geophysical and Geochemical Surveys in Overt and Subtle Volcanic Systems, Hawaii and Maui	-	-	-	0.5	-	0.5
In-situ protein-protein interaction network isPIN study	-	-	-	0.1	-	0.1
In-situ protein-protein interaction network isPIN study	-	-	-	0.4	-	0.4
Toward the Understanding of Induced Seismicity in Enhanced Geothermal Systems	1.8	-	1.8	0.8	-	0.8
Experiment-Based Model for the Chemical Interactions between Geothermal Rocks, Supercritical Carbon Dioxide and Water	0.9	-	0.9	0.8	-	0.8
Development of Advanced Thermal-Hydrological-Mechanical-Chemical (THMC) Modeling Capabilities for Enhanced Geothermal Systems	0.4	-	0.4	0.6	-	0.6
A New Analytic-adaptive model for EGS assessment, development and management support	0.4	-	0.4	1.0	-	1.0
Optimized Drilling and Completion of Abrasive Slurry Jet Micro-hole Arrays for Efficient Exploitation of Enhanced Geothermal Systems	0.6	-	0.6	1.7	-	1.7
Geochemistry and THMC Models for the Newberry EGS Project	0.1	-	0.1	0.5	-	0.5
Characterizing Fractures in Geysers Geothermal Field by Micro-seismic Data, Using Soft Computing, Fractals, and Shear Wave Anisotropy	-	-	-	0.5	-	0.5
THMC Modeling of EGS Reservoirs - Continuum through Discontinuum Representations	0.1	-	0.1	0.3	-	0.3

(a) Represents data reported in Fedreporting.gov for LBNL's FY2012 Q4.

(b) Other Direct Operating includes Work for Others, Federal Sponsors, Non-Federal Sponsors.

(c) In FY2012, it was discovered that there was a system error that overstated the number of Life-to-Date jobs for Other Direct Operating ARRA Projects that was previously reporting in the FY2011 Annual Report. This was corrected for the FY2012 Annual Report.

continued...

Table 3.6

ARRA Job Reporting Continued

Other Direct Operating ARRA Project (b) (c) (Continued)	Quarterly FTE (a)			Life-to-Date Jobs		
	LBNL	Sub-Recipient	Total	Created	Retained	Total
Modeling Li Distribution and its Effect on Anode Protection Layers	1.0	-	1.0	1.4	-	1.4
TCGA Data Analysis Center at Berkeley	-	-	-	2.4	-	2.4
Enabling Novel Cathode Electrode Design with Integrated Separator and Manufacturing Toolset for High Energy Prismatic Li-ion Battery Cells	1.4	-	1.4	2.2	-	2.2
Development of an 8kx8k pixel direct detection CMOS camera with single electron counting for cryoEM	-	-	-	-	-	-
Automated Continuous Commissioning of Commercial Buildings	-	-	-	0.3	-	0.3
Research Services Program - Geochemistry	-	-	-	0.1	-	0.1
TCGA Data Analysis Center at Berkeley	-	-	-	0.8	0.2	1.0
Innovative Building-Integrated Enthalpy Recovery	-	-	-	0.4	-	0.4
Novel Functions for Red Cell Proteins Lu and LW	-	-	-	0.0	3.3	3.3
Support of the SSA National Support Center Project	0.0	-	0.0	0.0	-	0.0
Total Other Direct Operating ARRA Projects (b)	**14.0**	**1.9**	**16.0**	**79.9**	**32.8**	**112.7**
Total DOE Direct ARRA Projects	**60.0**	**22.0**	**81.9**	**287.9**	**1,298.3**	**1,586.1**
Total Other Direct Operating ARRA Projects (b)	**14.0**	**1.9**	**16.0**	**79.9**	**32.8**	**112.7**
LBNL TOTAL	**74.0**	**23.9**	**97.9**	**367.7**	**1,331.1**	**1,698.8**

Note: Minor variances may occur due to rounding.

(a) Represents data reported in Fedreporting.gov for LBNL's FY2012 Q4.

(b) Other Direct Operating includes Work for Others, Federal Sponsors, Non-Federal Sponsors.

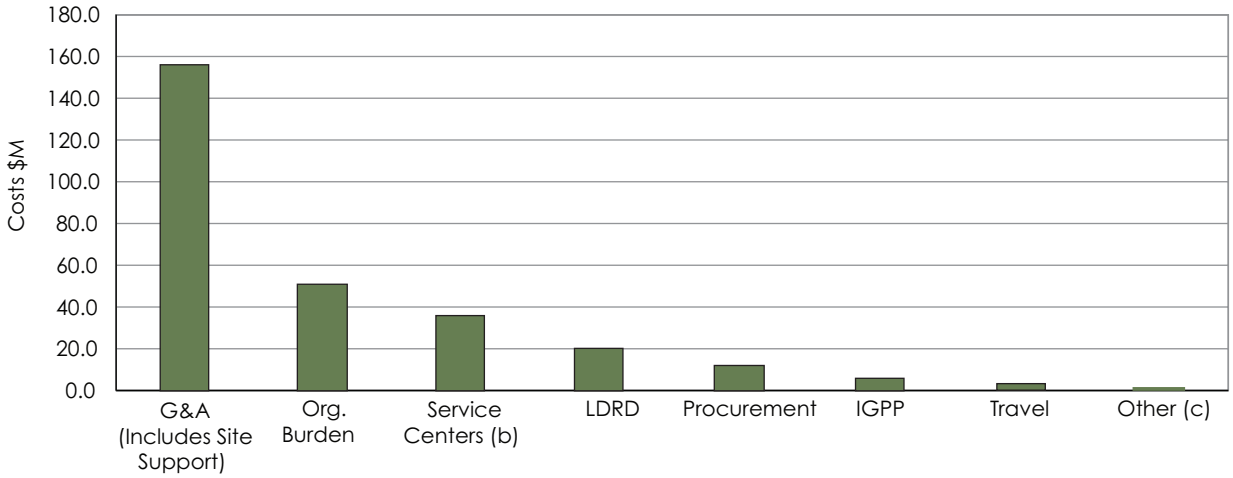
(c) In FY2012, it was discovered that there was a system error that overstated the number of Life-to-Date jobs for Other Direct Operating ARRA Projects that was previously reporting in the FY2011 Annual Report. This was corrected for the FY2012 Annual Report.

4.
Indirect Budgets

Figure 4.1

Indirect Budgets — FY2012 Costs ($M)

Indirect Budgets (a)	FY2012 Costs ($M)
G&A (Includes Site Support)	155.1
Organization Burden	50.5
Service Centers (b)	35.4
LDRD	20.0
Procurement	11.8
IGPP	5.7
Travel	2.2
Other (c)	0.2
Total	**280.9**



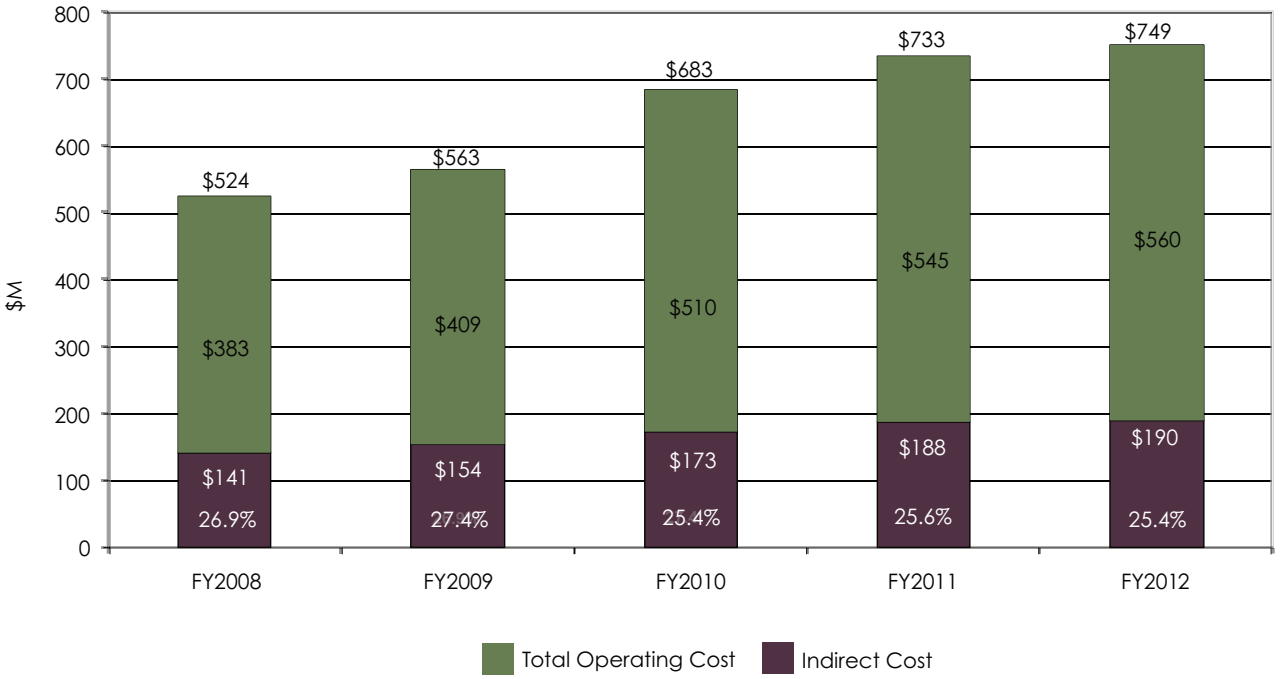
(a) Summation of indirect budget provided only to show magnitude of dollars being managed and does not equate to total indirect costs since there are overlaps between indirect budgets. For example, some organization burden costs are included in G&A and Recharges. In FY2012, LDRD cost includes $5.7M G&A assessed on LDRD projects.

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

(c) Includes: Office of Homeland Security Charge.

Figure 4.2

Institutional Overhead Costs as a Percent of Operating Costs, FY2008 - FY2012



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

Table 4.1

Institutional Costs by Division, FY2012 ($K)

Division	G&A (a)	LDRD (b)	Procurement	Travel	IGPP	Total
Lab Directorate	17,178					17,178
LDRD		19,992				19,992
Engineering	2,084					2,084
Earth Sciences	41					41
ALD for Operations:						
ALD Office	1,837					1,837
IGPP					5,730	5,730
Non-Cap	8,552					8,552
Work Force Diversity Office	472					472
Public Affairs	3,683					3,683
HR	7,846					7,846
EHSS	25,912					25,912
Facilities	43,340		2,198			45,538
CFO	9,597		9,559	2,144		21,300
IT	28,237		27	14		28,279
Work Planning & Control	599					599
General Lab	5,765					5,765
Total	**155,141**	**19,992**	**11,785**	**2,159**	**5,730**	**194,805**

Note: Minor variances may occur due to rounding.
(a) Includes Site Support & Strategic Planning Support Activities (SPSA).
(b) LDRD costs include $5.7M of G&A assessment.

Table 4.2

Institutional FTEs Charged by Division, FY2012

Division	G&A (b)	LDRD (b)	Procurement	Travel	IGPP	Total
Lab Directorate (a)	69.6					69.6
LDRD		101.7				101.7
Engineering	8.4					8.4
Earth Sciences	0.2					0.2
ALD for Operations:						
ALD Office	8.3					8.3
IGPP					5.6	5.6
Non-Cap	9.6					9.6
Work Force Diversity Office	3.7					3.7
Public Affairs	19.7					19.7
HR	46.3					46.3
EHSS	117.4					117.4
Facilities	139.3		18.6			157.9
OCFO	68.3		66.3	13.5		148.1
IT	94.4					94.4
Work Planning & Control	2.3					2.3
Total	**587.4**	**101.7**	**85.0**	**13.5**	**5.6**	**793.2**

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)

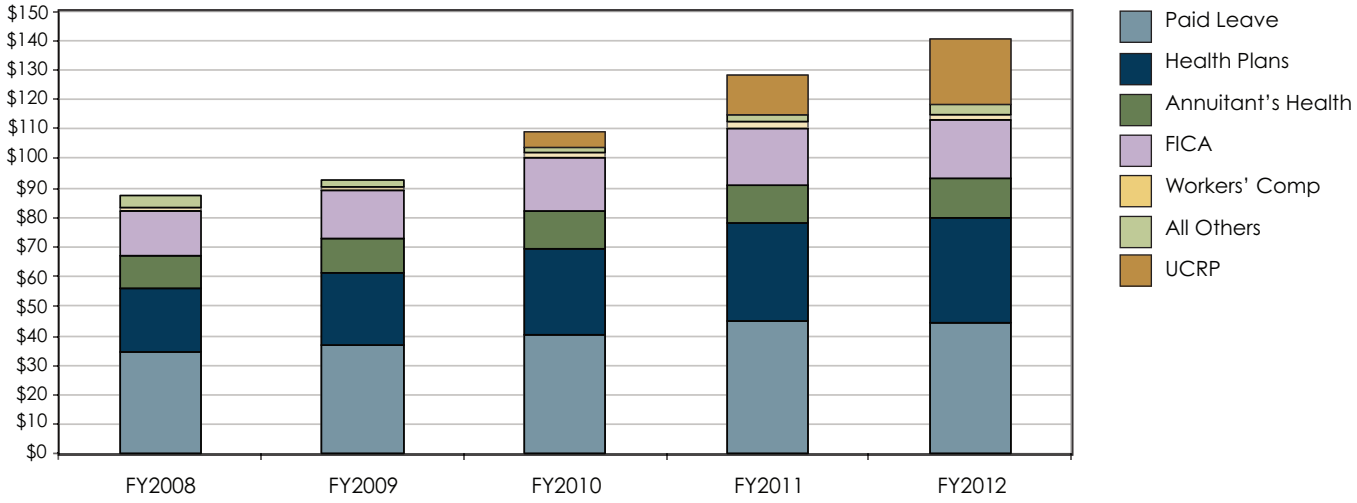


Figure 4.4

Gross Payroll Summary ($M)

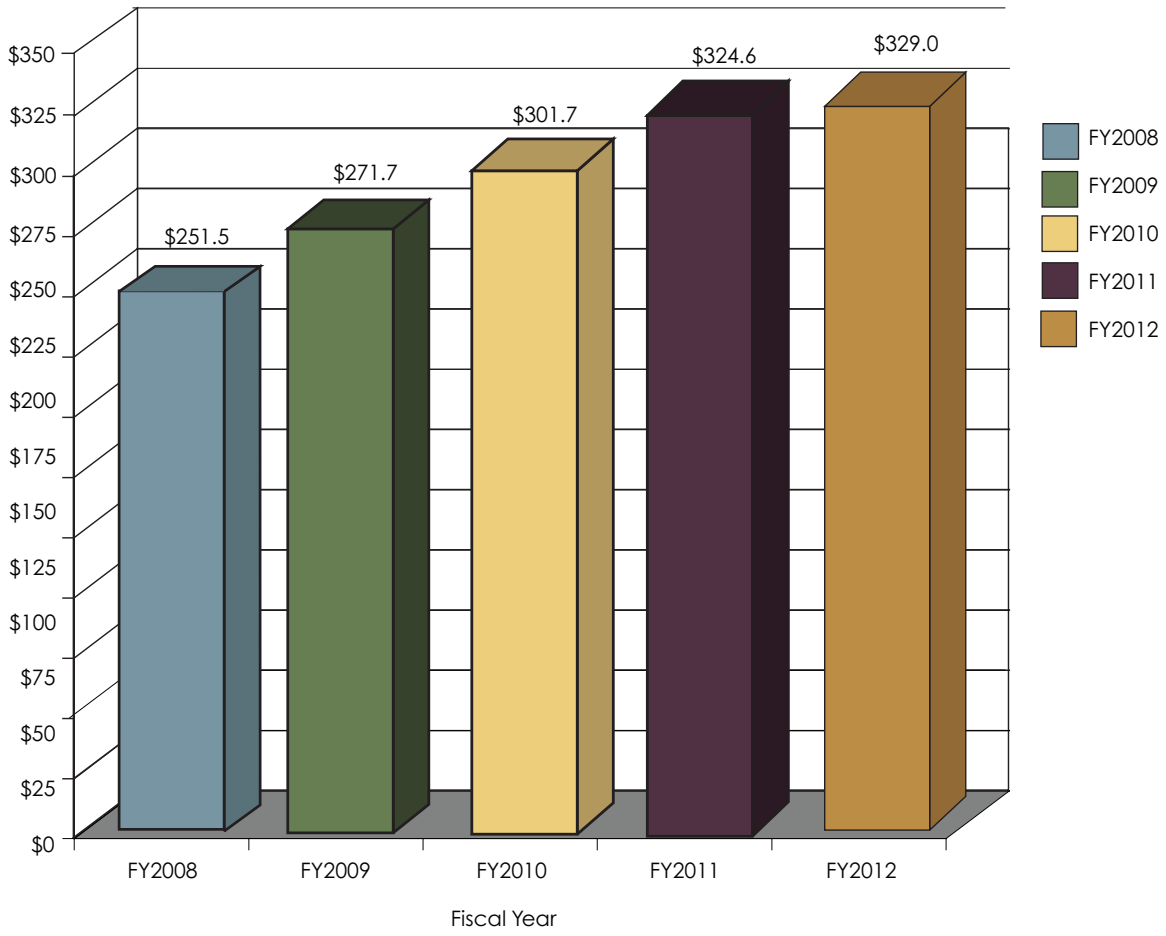


Table 4.3

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	FY2012	
	Cost $K	Avg FTE
Accelerator & Fusion Research	1,802	9.8
Advanced Light Source	2,404	15.1
Chemical Sciences	1,209	7.6
Computing Sciences	5,836	37.0
Environmental Energy Technology	6,527	37.3
Engineering	5,593	27.4
Earth Sciences	4,259	20.5
Facilities	4,344	23.0
Genomics - Onsite	595	3.6
Information Technology	2,489	12.1
Life Sciences	4,696	34.9
Materials Sciences	4,250	19.3
Nuclear Science	1,895	12.6
Physical Biosciences	2,879	18.3
Physics	1,678	11.5
Total	**50,457**	**290.0**
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)	FY2012	
	Cost $K	Avg FTE
Accelerator & Fusion Research	155	0.5
Environmental Energy Technology	2,189	16.0
Engineering	1,437	7.5
Facilities	11,729	3.2
Genomics (JGI)	434	8.1
Information Technology	7,723	22.4
Life Sciences	720	5.2
Materials Sciences	330	2.1
Physical Biosciences	5,073	8.3
ALD Operations (b)	5,636	11.1
Total	**35,426**	**84.3**

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

Table 4.5

Distributed Recharges by Resource Category Trends, FY2008 - FY2012 ($K)

Distributed Recharge (a, b)	FY2008	FY2009	FY2010	FY2011	FY2012
Vehicle	1,204	1,342	1,028	991	829
MSD Facility	273	310	234	246	331
Building Manager	160	143			
ALS Apartment Recharge	177				
Animal Care	396	494	549	744	720
Creative Services	1,319	1,481	1,582	2,010	1,511
Warehouse Storage Recharge					51
88-Inch Accelerator Operations	545	444	688	452	562
JBEI Non-Material Recharge	70	240	252	288	869
JBEI Material Recharge	1,487	3,742	3,642	4,034	4,095
Telephone Services	3,980	4,408	4,687	5,064	5,637
EETD Recharge	1,106	1,187	1,495	1,784	2,132
Molecular Foundry	171	81	197	213	
Computer/Net Recharges	2,733	2,605	2,415	2,244	2,258
Engineering Shop	951	927	932	918	878
CAD	647	654	731	731	717
ALS Proprietary Recharge	776	764	872	646	823
HTA Non-Material Recharge	49	13			
HTA Material Recharge	53	32			
JGI Recharge (Capillary Sequencing) (c)	10,887	10,352	1,149	27	15
JGI WFO Administrative Charge (d)	183	319	223	260	68
ESnet Recharge	3,307	1,164	974	1,192	822
JGI Occupancy Labor Recharge (d)					948
JGI Occupancy Material Recharge (d)					2,684
Electricity	8,382	9,106	9,855	12,576	10,795
Mixed Waste Recharge/GL	3	10	2	9	2
National Center for Electron Microscopy					7
GSRA - Material Recharge		2,549	2,554	3,350	3,937
GSRA - Non-Material Recharge		1	1	1	0.0
Low Background Facility	67	72	45	45	29
Total Recharges	**38,927**	**42,440**	**34,108**	**37,824**	**40,722**

(a) Includes recharges credited back to direct operating accounts such as ALS, ESnet, JGI, etc.
(b) Does not include Procurement and Travel recharges.
(c) JGI Capillary Sequencing platform phased out in FY2012.
(d) JGI WFO Administrative Charge phased out in FY2012 and replaced by JGI Occupancy Labor and Material Recharges.

5.
Financial Statement

Table 5.1

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

	FY2011	FY2012
ASSETS:		
Current Assets		
Accounts Receivable (Note 2)	5,031	4,440
Inventories (Note 3)	403	421
Other Current Assets (Note 4)	86	189
Total Current Assets	**5,520**	**5,050**
Net Plant & Equipment (Note 5)	694,242	711,869
Total Assets	**699,762**	**716,919**
LIABILITIES AND EQUITY:		
Liabilities::		
Current Liabilities		
Drafts Payable (Note 6)	(1,607)	4,659
Accounts Payable	73,157	68,278
Accrued Expenses (Note 7)	30,594	52,964
Other (Note 8)	39,816	29,694
Total Current Liabilities	**141,960**	**155,595**
Post-Retirement Benefits (Note 12)	659,965	777,710
Environmental Liabilities (Note 9)	652,075	641,312
Capital Lease Liability (Note 10)	0	13,567
ES&H Liability (Note 11)	349,770	313,026
Pension Plan Liability (Note 12)	484,825	782,324
Total Liabilities	**2,288,595**	**2,683,534**
DOE Equity:		
Beginning Equity	(1,621,977)	(1,588,833)
Change in Equity	33,144	(377,782)
Ending Equity	**(1,588,833)**	**(1,966,615)**
TOTAL LIABILITIES AND EQUITY	**699,762**	**716,919**

Note: FY2012 balances include prior FY2011 year-end adjustments posted in FY2012 for environmental, post-retirement benefits and pension plan liabilities. These year-end adjustments were coordinated with DOE and referenced in the FY2011 LBNL Annual Report, Note 10.

Note 1

Summary of Significant Accounting Policies

BASIS OF PRESENTATION

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

REPORTING ENTITY

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

BASIS OF ACCOUNTING

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

FINANCIAL SOURCES

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

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

LETTER OF CREDIT

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

INVENTORIES

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

LIABILITIES

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

ACCRUED 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.

Note 1

Summary of Significant Accounting Policies Continued

RETIREMENT PLAN

Most University career employees are participants in the UC Retirement System (UCRS). UCRS consists of a basic defined benefit plan and two voluntary plans composed of several investment funds that are funded with University and employee contributions.

Note 2

Accounts Receivable

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

	FY2011	FY2012
Trade Receivables	1,275	1,260
Inter-DOE Operations Offices (outside local field office)	746	1,010
Intra-DOE Operations Offices (within local field office)	174	534
Employees	11	30
Parent Organization (UC)	(3,918)	(3,283)
Reimbursements - Federal Agencies	6,743	4,889
Allowance for Doubtful Accounts	(1)	(0)
Total Accounts Receivable – September 30	**5,030**	**4,440**

Note 3

Inventories

The following were included in inventories ($K):

	FY2011	FY2012
Nuclear Materials	23	25
Precious Metals and Other Special Materials	204	280
Stores Inventories	185	125
Allowance for Loss on Stores	(9)	(9)
Total Inventories – September 30	**403**	**421**

Note 4

Other Current Assets

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

	FY2011	FY2012
Prepayments	86	189
Security Deposits	0	0
Total Other Current Assets – September 30	**86**	**189**

Note 5

Net Plant and Equipment

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

	Plant & Equipment Costs		Accumulated Depreciation		Net Plant & Equipment	
Category	**FY2011**	**FY2012**	**FY2011**	**FY2012**	**FY2011**	**FY2012**
Buildings	398,291	413,591	177,578	186,538	220,713	227,053
Structures, Facilities & Land Improvements	31,748	31,898	14,172	14,564	17,576	17,334
Equipment	495,114	507,018	371,318	344,237	123,796	162,781
Leasehold Improvements	25,255	25,255	18,969	19,390	6,286	5,865
Utilities	55,220	57,589	38,596	39,647	16,624	17,942
Reactors & Accelerators	155,267	163,041	133,765	150,903	21,502	12,138
Work in Process	287,745	251,052	-	-	287,745	251,052
Assets Under Capital Lease	-	24,974	-	7,270	-	17,704
Total Net Plant and Equipment - September 30	**1,448,640**	**1,474,418**	**754,398**	**762,549**	**694,242**	**711,869**

Note 6

Drafts Payable

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

	FY2011	FY2012
Balance - October 1	1,723	(1,607)
Deposits:		
Payments Vouchers - Letter of Credit	(814,534)	(780,099)
Miscellaneous Receipts	(63,662)	(51,930)
Disbursements	874,866	838,295
Drafts Payable Balance - September 30	**(1,607)**	**4,659**

Note 7

Accrued Expenses

	FY2011	FY2012
Litigation accrual	1,474	549
Management Allowance (indirect)	3,788	3,785
Vacation Accrual	22,667	22,991
Payroll Accrual	1,862	25,264
Other (unearned rebates, miscellaneous)	803	375
Total Accrued Expenses – September 30	**30,594**	**52,964**

The monthly payroll is funded on the first of each month. Depending on when the day the first falls on can impact whether there is an accrual or not. September 2012 payroll was funded on October 2012 thus creating an accrual whereas in FY2011, the monthly payroll was funded and no accrual was necessary.

Note 8

Other Current Liabilities

	FY2011	FY2012
Payroll Deductions	5,759	493
Funds Held For Others	5,201	3,378
Funded Environmental Liabilities	707	597
Work For Others (WFO) Advances	28,149	25,226
Total Other Current Liabilities – September 30	**39,816**	**29,694**

Note 9

Environmental Liability

The estimated remaining cost of remediation of environmentally contaminated facilities at LBNL is recorded as a liability. The Environmental Management liability is calculated utilizing baseline life-cycle cost estimates prepared with the DOE Site Office. Updates for subsequent changes are made 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 contingency allocation relates to the Restructured Environmental Liabilities (REL), a DOE focused area that is comprised of soil and groundwater remediation, excess materials, waste streams of current operations and other non-environmental management and active facilities estimates. The funded portion of the liability is $597K and is included in Other Current Liabilities.

The following are included in the environmental liability ($K):

Fiscal Year	FY2011	FY2012
Active Facility	571,083	572,373
Long Term Stewardship	42,221	41,453
Contaminated Media	21,487	19,241
Excess Material	102	123
Contingency Allocation from DOE-HQ	17,182	8,122
Total Unfunded Environmental Liability - September 30	**652,075**	**641,312**

Note 10

Capital Leases

LBNL has entered into a lease for NERSC 6. The following is a schedule of future lease payments by fiscal year ($K).

	$K
FY2013	6,867
FY2014	6,700
Total Future Payments	**13,567**

Note 11

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. These activities 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):

	FY2011	FY2012
Total ES&H Liability – September 30	**349,770**	**313,026**

Note 12

Year-end Adjustments

Subsequent to the Laboratory fiscal year end, DOE made adjustments for final post-retirement and pension plan liabilities. These amounts will be reflected In the Laboratory's actuals for October 2012. Both the post-retirement and pension liabilities were negatively impacted by reduced discount rates, less than favorable asset returns and additional experience expenses. These adjustments are the result of coordination and approval by both DOE and UC. The following is the adjusted balance sheet for FY2012.

	FY2012	Year-End Adjustments	Adjusted FY2012
ASSETS:			
Current Assets			
Accounts Receivable (Note 2)	4,440	0	4,440
Inventories (Note 3)	421	0	421
Other Current Assets (Note 4)	189	0	189
Total Current Assets	**5,050**	0	**5,050**
Net Plant & Equipment (Note 5)	711,869	0	711,869
Total Assets	**716,919**	0	**716,919**
LIABILITIES AND EQUITY:			
Liabilities::			
Current Liabilities			
Drafts Payable (Note 6)	4,659	0	4,659
Accounts Payable	68,278	0	68,278
Accrued Expenses (Note 7)	52,964	0	52,964
Other (Note 8)	29,694	0	29,694
Total Current Liabilities	**155,595**	0	**155,595**
Post-Retirement Benefits (Note 12)	777,710	(55,114)	722,596
Environmental Liabilities (Note 9)	641,312	0	641,312
Capital Lease Liability (Note 10)	13,567	0	13,567
ES&H Liability (Note 11)	313,026	0	313,026
Pension Plan Liability (Note 12)	782,324	274,541	1,056,865
Total Liabilities	**2,683,534**	**219,427**	**2,902,961**
DOE Equity:			
Beginning Equity	(1,588,833)	0	(1,588,833)
Change in Equity	(377,782)	(219,427)	(597,209)
Ending Equity	**(1,966,615)**	**(219,427)**	**(2,186,042)**
TOTAL LIABILITIES AND EQUITY	**716,919**	**0**	**716,919**

6.
Procurement & Property Management

Table 6.1

Requisitions Submitted by Laboratory Divisions

Division	# Requisitions	Estimate ($K)
Accelerator & Fusion Research	2,561	6,839
Advanced Light Source	3,672	11,043
Chief Financial Officer	1,657	19,974
Chemical Sciences	2,388	5,743
Computational Research	525	33,137
Computing Sciences	572	1,598
Environmental Energy Technologies	5,206	32,636
Engineering	912	3,157
Environment/Health/Safety/Security	1,612	10,291
Earth Sciences	4,006	11,158
Facilities	3,944	66,148
Genomics	3,625	28,479
Human Resources	449	1,539
Information Technology	1,648	15,007
Laboratory Directorate	559	3,083
Life Sciences	6,623	9,886
Material Sciences	10,620	26,410
NERSC	332	21,406
Nuclear Science	1,575	11,738
Operations	261	7,169
Public Affairs	220	520
Physical Biosciences	7,376	24,332
Physics	1,218	10,647
Totals	**61,561**	**$361,940**
Note: Minor variances may occur due to rounding.		

Table 6.2

Purchases Placed Using Purchase Orders/Subcontracts

	($K)	# Actions
Total POs	**$339,068**	**49,530**
$0 - $2,500	$12,548	44,389
$2,500 - $10,000	$12,914	2,496
$10,000 - $25,000	$17,298	1,051
$25,000 - $100,000	$56,646	1,106
$100,000 - $1,000,000	$118,820	445
$1,000,000 +	$120,842	43

Table 6.3

Purchases Placed Using P-Card

	($K)	# Actions
Total POs	**$15,613**	**15,917**
$0 - $500	$1,874	9,544
$500 - $1,000	$1,929	2,722
$1,000 - $2,500	$3,314	2,130
$2,500 - $5,000	$3,325	955
$5,000 +	$5,171	566

Table 6.4

Laboratory Socioeconomic Performance

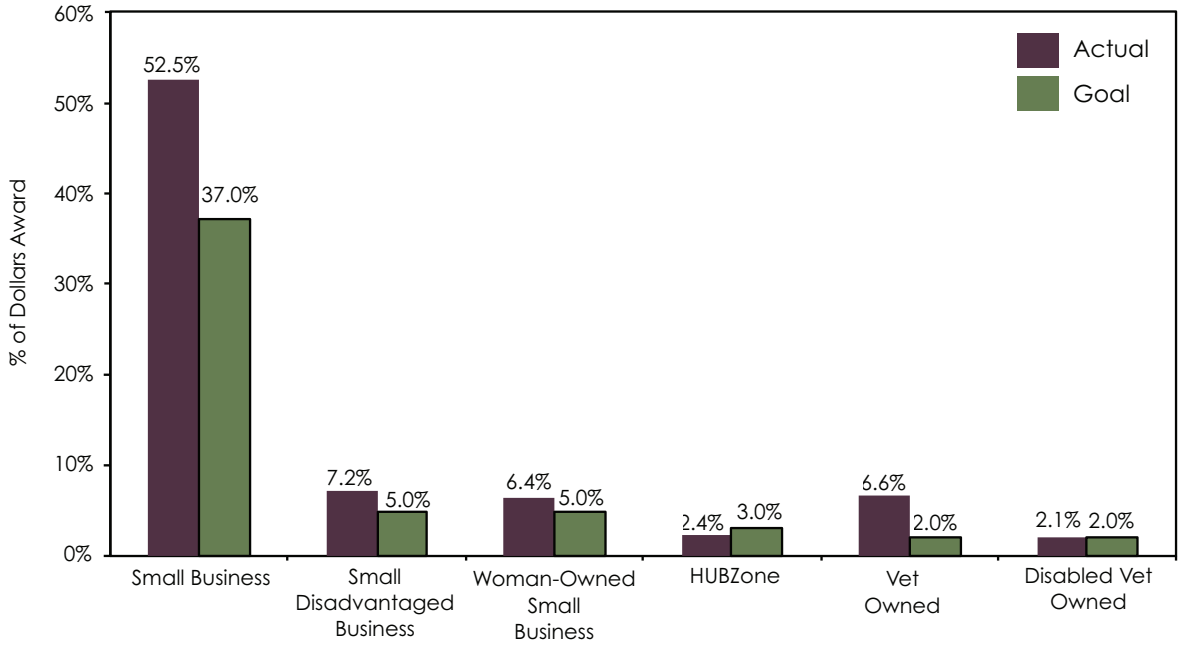


Table 6.5

Property Management Activity

	# of Assets	Acquisition Value	
Equipment	10,634	644,713	
Sensitive Assets	22,635	59,118	
High Risk	9	150,287	
Total Assets	**33,278**	**854,118**	
Computers Laptops	5,170	10,036	
Computer Desktops	7,349	16,607	
Total Computers	**12,519**	**26,643**	
Inventory campaign	**Base**	**Positive Resolutions**	**% Positive**
Controlled	96	96	100
Sensitive	5,185	5,174	99.7
High Risk	9	9	100
Validation Size	Not Required Per DOE	Not Required Per DOE	
Assets Scanned	5,229	5,033	96.3
Division	**Asset Count**	**Acquisiton Value**	
Accelerator & Fusion Research	1,528	52,958	
Advanced Light Source	2,480	195,107	
Chief Financial Officer	416	496	
Chemical Sciences	1,339	27,545	
Computational Research	1,729	27,120	
Computing Sciences	188	5,648	
Environmental Energy Technologies	2,389	24,473	
Engineering	1,152	13,859	
Environment/Health/Safety/Security	634	3,032	
Earth Sciences	1,978	19,406	
Excess Turn-In Center	121	1,322	
Facilities	1,194	6,689	
Genomics	1,888	33,754	
Human Resources	178	212	
Information Technology	3,013	20,795	
Laboratory Directorate	170	239	
Life Sciences	2,361	33,954	
Materials Sciences	4,233	132,116	
NERSC	1,283	69,840	
Nuclear Science	1,038	60,900	
Operations	23	39	
Public Affairs	209	335	
Physical Biosciences	2,769	38,710	
Physics	965	85,569	
TOTAL ASSETS	**33,278**	**854,118**	

7. Acronyms and Key Terms

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

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

Key Terms

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

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