

# **U.S. DEPARTMENT OF ENERGY**

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## **Report on Carryover Balances for Fiscal Year Ending September 30, 2000**



**March 2001**

Prepared by: Office of Chief Financial Officer

# CONTENTS

|   |      |   |
|---|------|---|
| Summary of Analysis .....                                 | Page | 1 |
| Composition of FY 2000 Year-End Uncosted Obligations..... |      | 2 |
| Background and Analysis Approach .....                    |      | 2 |
| Summary Threshold Analysis .....                          |      | 4 |
| Unobligated Balance Analysis .....                        |      | 8 |

## SUPPORTING CHARTS:

- Chart 1 Uncosted Obligations by Appropriation and Fiscal Year
- Chart 2 Uncosted Obligations Comparison of FY 1999 to FY 2000
- Chart 3 FY 2000 Uncosted Obligations Threshold Analysis by Appropriation
- Chart 4 Unobligated Balances
- Chart 5 Department of Energy Use of Prior Year Balances

## SUMMARY OF ANALYSIS

On October 24, 1992, the President signed the Energy Policy Act of 1992 into law (P.L. 102-486). Section 2307 of the Act requires the Department to submit an annual report to Congress on the status of its uncosted obligations.

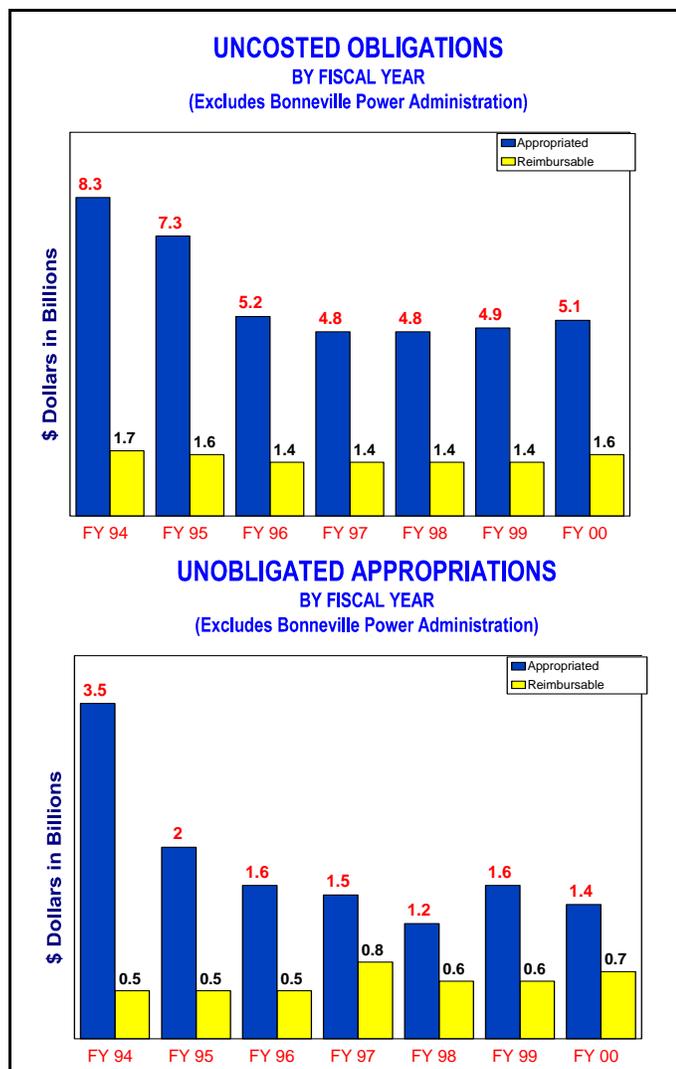
The scope of this report has been expanded to include both uncosted and unobligated balances and presents a more comprehensive picture of Department's performance in managing carryover balances. This is the ninth annual submission of that report.

Over the past several years, the Department of Energy (DOE) has made significant progress in reducing its level of uncosted balances. In fact, since FY 1997, the Department has maintained uncosted balance levels lower than the preceding 16 years.

As Exhibit 1 shows, the Department has reduced its uncosted balances for appropriated activities by \$3.2 billion (39%) over the last six years. (See Charts 1 and 2 for year by year details) Since FY 1996, when the Department began its analysis efforts, balances have remained fairly constant, ranging from a high of \$5.2 billion to a low of \$4.8 billion. This leveling off is consistent with the Department's analysis indicating that DOE has approached an appropriate level of uncosted balances. To this end, the Department's uncosted balances were \$51 million below target levels in FY 1999 and \$25 million below target levels in FY 2000. Based on these variances and the detailed review and analysis of balances throughout DOE, any additional reductions in uncosted balances are expected to be relatively minor (barring any extraordinary funding issues).

In addition to managing uncosted obligations, the Department has also significantly reduced unobligated balances for appropriated activities. Unobligated balances for appropriated activities have been reduced by \$2.1 billion since FY 1994 and unobligated balances as a percent of total obligational authority have decreased from 8% in FY 1999 to 7% in FY 2000. This further demonstrates the Department's commitment to reducing excess balances rather than

Exhibit 1



recategorizing them. These reductions demonstrate added emphasis being placed on understanding, reviewing, and managing these balances throughout the Department.

Finally, the Department utilized \$194.7 million of carryover balances to offset programmatic costs in FY 2000 and anticipates using an additional \$117.3 million in FY 2001. (See Chart 5) Effective use of available balances helps provide continuity of Departmental operations and assists ensuring that these balances continue to be right-sized.

### **Composition of FY 2000 Year End Uncosted Obligations**

Exhibit 2 presents the composition of the Department's \$6.7 billion uncosted balance as of September 30, 2000. Of this amount, \$1.6 billion was associated with reimbursable work funded by appropriations and funds of other Federal agencies and non-Federal entities. These funds are under external control and cannot be used to offset DOE appropriations. Another \$0.6 billion is associated with Line Item construction projects. Construction projects are reviewed on a case-by-case basis through other Departmental processes including the annual Congressional Report on Prior Year Construction Projects.

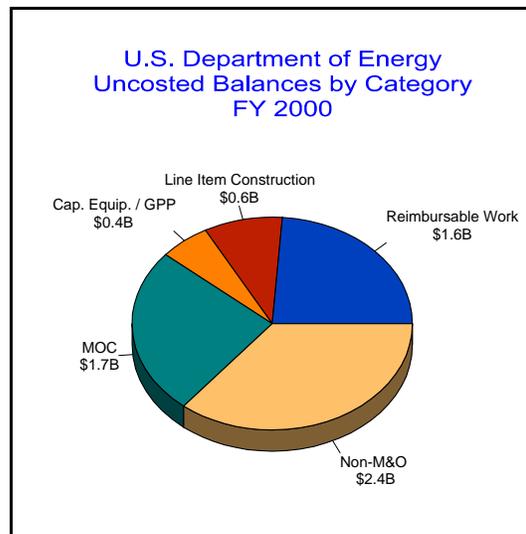
Four hundred million dollars of the total uncosted balance is related to Capital Equipment, General Plant Projects (GPP) and Accelerator Improvement Projects (AIP). Another \$1.7 billion is attributed to uncosted balances arising from the operating activities of the Department's major operating contractors (MOC), including Management and Operating (M&O), Integrated and Integrating contractors. The final \$2.4 billion results from operating and prime contract activities not related to the Department's MOCs.

The balances as of September 30, 2000, represent a "snapshot" in time. As DOE programs continue to function, funds recorded as uncosted at the end of a fiscal year may later be partially or completely expended, for example, by the mid-point of the next fiscal year, or may be identified and/or withdrawn to offset future budget requests. Remaining balances are monitored to assure they do not inappropriately increase uncosted balances at the end of FY 2001.

### **Background & Analysis Approach**

It is not possible to eliminate uncosted obligations completely. Uncosted obligations are required to meet that portion of existing contractual obligations related to goods and services that have not yet been received, used, or consumed. The Department of Energy is one of only a few Federal agencies that has a cost-based accounting system, consistent with OMB cost and accrual accounting requirements.

Exhibit 2



On October 24, 1992, the President signed the Energy Policy Act of 1992 into law (P.L. 102-486). Section 2307 of the Act requires the Department to submit an annual report to Congress on the status of its uncosted obligations. The scope of this report has been expanded to include both uncosted and unobligated balances and presents a more comprehensive picture of Department's performance in managing carryover balances. This is the ninth annual submission of that report.

In April 1996, the General Accounting Office (GAO) issued its report "DOE Needs to Improve its Analysis of Carryover Balances" (GAO/RCED-96-57). The GAO stated that the Department "does not have a standard, effective approach for identifying excess carryover balances that may be available to reduce future budget requests. Instead it relies on broad estimates of potentially excess balances in its individual programs. As a result, DOE cannot be sure whether the amount of carryover balances it proposes for use by its programs is adequate, too small, or too large..."

Recognizing that there is a legitimate rationale for retaining some level of uncosted balances and to address GAO concerns, DOE developed a comprehensive approach for the systematic analysis of uncosted balances. This approach is based on establishment of percentage thresholds specifying levels of uncosted balances consistent with sound financial management for specific types of financial/contractual arrangements. This allows the Department to evaluate its overall performance based on the variance between target thresholds and actual balances.

A target threshold is defined as an analytical reference point (i.e., a specific dollar value or percentage of funds available) beyond which uncosted obligated balances should be given greater scrutiny. That does not mean that balances in excess of threshold are inappropriate. It does mean these balances will become subject to more intensive review and require more detailed justification to determine their appropriateness.

In order to analyze those areas where the Department can exercise the most control, costs and uncosted balances are segregated into distinct categories that display similar and predictable costing rates. The table in Exhibit 3 outlines the various uncosted categories and their respective thresholds.

Exhibit 3

| CATEGORY  | THRESHOLD  |
|---|--|
| <p><b>Contractor operating costs:</b> This category includes costs incurred by Major Operating Contractors (MOC), which manage Departmental sites.</p>  | <p><b>13% of the Total Funds Available to Cost (TAC) for operating activities for the fiscal year just ended.</b></p>                        |
| <p><b>Capital Equipment, GPP &amp; AIP:</b> Capital equipment meets the accounting criteria for capitalization. General Plant Projects and Accelerator Improvement Projects are grouped in this category because they share similar costing patterns.</p> | <p><b>50% of the Total Funds Available to Cost (TAC) for capital equipment, GPP and AIP respectively for the fiscal year just ended.</b></p> |

| CATEGORY  | THRESHOLD   |
|---|---|
| <b>Non-Integrated Operating &amp; Prime Contract Costs:</b> Costs for other than MOC contractors.   | <b>17% of the Total Funds Available to Cost (TAC) for non-integrated activities for the fiscal year just ended.</b>   |
| <ul style="list-style-type: none"> <li>◆ <b>Line Item Construction</b></li> <li>◆ <b>Grants</b></li> <li>◆ <b>CRADAs and other Cooperative Agreements</b></li> <li>◆ <b>Reimbursable Work</b></li> <li>◆ <b>EM Privatization</b></li> </ul> | <b>Not Subject to a Specific Threshold. These costs should be reported and evaluated on a case-by-case basis throughout the life of the contractual instruments. (Consistent with GAO’s approach)</b> |

The analysis process requires that all Departmental elements (Headquarters organizations, Field organizations, Major Operating Contractors) review their respective uncosted balances against the above thresholds and report the results. Each element arrays their uncosted balances in a standard format which discloses programs with uncosted balances in excess of the defined thresholds. For each program that exceeds the defined threshold, a narrative justification is required which explains the major drivers for the balances, accompanied by a request to retain the balances based on a defined planned usage, or an acknowledgment that the balances can be withdrawn for higher priority use.

The increased emphasis on analyzing these balances as a result of this new direction has contributed greatly to the Department’s success in reducing its uncosted balances.

**Summary Threshold Analysis**

As noted earlier in this report, the purpose of the threshold approach is to provide a reference point beyond which further analysis is required to determine if a particular balance is appropriate or necessary. However, it cannot be assumed that any amount over threshold is inherently available or unnecessary. In addition to providing a basis for assessing the appropriateness of balances, this analysis helps to identify types of funding and contractual instruments which display inherently higher balances than typical operating funding. Categories such as line-item construction, grants, cooperative agreements, and reimbursable work have traditionally been exempted from threshold application. These exemptions are consistent with the GAO approach for reviewing uncosted balances.

In FY 2000, the Department added Defense Environmental Management Privatization funding to the list of exempted funding categories. The Privatization Initiative is designed to shift risk and responsibility for financing construction of major cleanup or waste disposal facilities to the private sector. Privatization contracts inherently display a high percentage of uncosted balances since up-front funding is required and payment is not made until significant goals are completed by the contractor (i.e., completed construction of a waste treatment facility) which may extend beyond the current fiscal year. GAO, in their last review of DOE carryover balances, agreed that privatization projects should be reviewed separately, and did not apply percentage targets to

privatization funding. DOE has made this change consistent with the GAO approach. While not subject to threshold analysis, these balances are reviewed each year to ensure that the carryover amounts correlate with the level of planned privatization activities.

DOE's threshold analysis for FY 2000 shows that the Department as a whole is \$25.4 million below the target threshold. (See Chart 3) However, there is a combination of over and under threshold amounts at the appropriation level within the whole. The major drivers for those appropriations which are significantly over threshold are presented below. Exhibit 4 provides eight selected appropriations that exceeded the assigned thresholds at the end of FY 2000 with justifications presented below.

Exhibit 4

| Appropriation  | FY 2000 Ending Uncosted Balance | FY 2000 Threshold Amount | Amount Over Threshold /Variance | Percent Variance |
|--|---------------------------------|--------------------------|---------------------------------|------------------|
| 89X0243<br>Other Defense Activities                                  | \$583.2M                        | \$419.9M                 | \$163.2M                        | 39%              |
| 89X5227<br>Nuclear Waste Fund  | \$26.6M                         | \$14.2M                  | \$12.5M                         | 88%              |
| 89X5231<br>Uranium Enrichment Decontamination & Decommissioning Fund | \$101.3M                        | \$53.0M                  | \$48.3M                         | 91%              |
| 89X0312<br>Cerro Grande Fire Activities                              | \$87.0M                         | \$24.9M                  | \$62.1M                         | 249%             |
| 89X0213<br>Fossil Energy Research & Development                      | \$288.6M                        | \$216.9M                 | \$71.7M                         | 33%              |
| 89X0215<br>Energy Conservation                                       | \$370.7M                        | \$282.7M                 | \$88.0M                         | 31%              |
| 89X0218<br>Strategic Petroleum Reserve                               | \$51.0M                         | \$27.8M                  | \$23.2M                         | 83%              |
| 89X0219<br>Naval Petroleum & Oil Shale Reserves                      | \$24.5M                         | \$7.9M                   | \$16.6M                         | 210%             |

EXPLANATION OF SIGNIFICANT THRESHOLD VARIANCES:

Energy and Water Development Appropriations

**Appropriation Number 89X0243, Other Defense Activities** - Exceeds the appropriation threshold by a net amount of \$163.2 million due to cooperative agreements related to the Materials, Protection, Control, and Accounting (MPC&A) program and the Initiatives for Proliferation Prevention (IPP) program. The MPC&A program is working to upgrade physical security at over 40 sites in Russia that use or store weapons-usable nuclear materials to prevent

unauthorized removal. The IPP program is designed to employ former Soviet weapons scientists, engineers, and technicians in peaceful projects at their scientific institutes and prevent acceptance of work in countries developing nuclear weapons programs.

Both the MPC&A and IPP programs require negotiating unique agreements with countries of the Former Soviet Union (FSU) resulting in higher than usual uncosted balances. Many of these agreements are multi-year in nature and require up-front funding, leaving significant uncosted balances in the early years of the contract since portions of the work are scheduled for subsequent year(s). Also, DOE laboratories must have full funding in hand before beginning contract discussions with Russian institutes, while the ensuing contract negotiations and performance of work may span over several months. Further, payments cannot be made to Russian institutions until specified deliverables are completed and accepted. While these factors increase uncosted balances at the end of the year, MPC&A balances are almost entirely costed in the subsequent fiscal year.

Another driver for these balances is the International Nuclear Safety Program (INSP) which, similar to MPC&A and IPP programs, requires negotiations with international partners, including foreign governments, through tri-party agreements. The coordination of these agreements takes more time than a typical research and development program and contributes to higher balances at the end of the year. In addition, INSP efforts may involve the fabrication of high-expense, customized items with long-lead times, such as full-scope nuclear reactor simulators, safety parameter display systems, and comprehensive emergency operating instructions. These extended lead times result in inherently higher uncosted balances. A final contributor to the end of year FY 2000 uncosted balance was the delayed receipt of \$39.5 million from the Department of State until the second half of the year, leaving little time to obligate and fully cost these balances.

While these issues are largely unavoidable, the Department continues to look for opportunities to mitigate the time lag between obligations and costing.

**Appropriation Number 89X5227, Nuclear Waste Fund** – Exceeds appropriation threshold by a net amount of \$12.5 million. This balance is primarily the result of: (1) management and operating contractor performance fees appropriately earned and obligated in FY 2000 which will not be costed and paid until evaluated and approved in FY 2001; and, (2) a lease termination liability required by OMB Circular No. A-11. All of these balances remain necessary to support the activities for which they were originally appropriated.

**Appropriation Number 89X5231, Uranium Enrichment D&D Fund** - Exceeds appropriation threshold by a net amount of \$48.3 million. The are two major drivers for this uncosted balance. First, the Department established a contract for cleaning up three of the five gaseous diffusion buildings at East Tennessee Technology Park. The terms of this contract require the contractor to provide up-front financing to support their activities until specific performance elements are completed. Since payment is made by DOE only upon completion of these significant activities, uncosted balances at a particular point in time (such as at the end of the fiscal year) may be higher than expected in a standard operating contract. Additionally, contractor completion dates for some current activities shift, which further delays costing on the Department's books. While this type of performance based reimbursement plan may in some instances create higher uncosted

balances than normal operating contracts, it provides for better stewardship of taxpayer dollars. A second driver for uncosted balances in this appropriation involves balances which were retained through the end of FY 2000 to cover potential litigation and closeout costs. These balances remain necessary to complete the activities for which they were appropriated.

**Appropriation Number 89X0312, Cerro Grande Fire Activities** - Exceeds appropriation threshold by a net amount of \$62.1 million. As the result of the Cerro Grande, New Mexico fire, which occurred in May 2000, the Department received a Supplemental Appropriation (H.R. 4425) in FY 2000 totaling \$138 million. These funds became available to obligate and expend in late July. Thus, it was not possible to expend the full amount by the end of the fiscal year. Spending plans are in place, with many activities requiring long-lead procurements while some are estimated for completion in FY 2003. These emergency funds remain necessary to continue activities associated with the recovery and restoration from the fire.

#### Interior and Related Agencies Appropriations

**Appropriation 89X0213, Fossil Energy Research and Development** - Exceeds the appropriation threshold by a net amount of \$71.7 million. This uncosted balance is primarily the result of a number of items including: 1) a short term continuing resolution (63 days) in FY 2000 which limited funding availability early in the fiscal year and constricted program planning and funding schedules, thereby delaying obligations; 2) the presence of cost shared research and development contracts which require up-front funding for multi-year work, whereas costing occurs over a longer time span; 3) the execution of competitive awards such as the Broad-based Agency Announcements, Program Research and Development Announcements, Program Solicitations, etc., which take additional time to generate awards and drive higher than normal uncosted balances; and, 4) uncosted balances retained to pay final vouchers for contracts in closeout and awaiting final Defense Contract Audit Agency audits. These funds remain necessary to fund the programmatic activities for which they were appropriated.

**Appropriation Number 89X0215, Energy Conservation** - Exceeds appropriation threshold by a net amount of \$88.0 million, primarily the result of contracting mechanisms and operating procedures (such as cost-shared contracts and competitive R&D awards) necessary to conduct the types of research and development activities supported by the Energy Conservation appropriation. These contracting vehicles inherently provide levels of uncosted balances which are higher than normal operating funding, but which are equally justifiable.

For example, the Office of Energy Efficiency and Renewable Energy frequently enters into cost-shared research activities, which are subcontracted through the Department's laboratories. The "Building America" program and the "Partnership for a New Generation of Vehicles" program both are in this category. Funds for these and other cost-shared activities are most often multi-year in nature and require up-front funding to ensure program continuity. This funding process, while necessary, results in higher uncosted balances than normal due to the out year funding commitments.

Another characteristic unique to Energy Conservation research activities is the length of time required to make competitive awards after the start of the fiscal year. Competitive solicitations are subject to a two month solicitation period, a two month application period, and a two to three month period for final award. This delays the obligation of funds significantly. Funds which might otherwise be obligated in December, for example, would be obligated in June or July. Therefore, an additional six to seven months (approximately 48 to 56 percent) of uncosted obligations might be expected at the end of the year.

These are typical examples of circumstances which affect uncosted balances for this appropriation. The Department continues to monitor these activities to ensure that any over threshold amounts are attributable to these types of contractual agreements. In addition, the Office of Energy Efficiency and Renewable Energy has implemented new business management systems which facilitate structured performance reviews including the review of accrued costs and uncosted balances in relation to technical progress. The new management systems will increasingly facilitate advanced program planning, the timely transfer of funds to procurement offices for program implementation, and the monthly review of milestone achievements within projected schedules and costs. This emphasis on program and project management, with special attention on carryover balances, could reduce uncosted balances in the future.

These funds are necessary to accomplish the programmatic activities for which they were appropriated.

**Appropriation 89X0218, Strategic Petroleum Reserve** - Exceeds the appropriation threshold by a net amount of \$23.2 million. The over threshold amount is the result of a number of items including: 1) contracts for special order inventory spares associated with completion of the Life Extension Program, including custom-made valves and pipes which require long-lead time for procurement; 2) funding for major firm fixed price maintenance construction projects covering an extended period; 3) funding for terminal services work in process scheduled to continue through FY 2002; and, 4) ongoing activities associated with Royalty In-Kind program receipts and information systems upgrades. These balances should be retained and are required to perform the tasks for which they were appropriated.

**Appropriation 89X0219, Naval Petroleum and Oil Shale Reserves** - The uncosted balance exceeds the appropriation thresholds by a net amount of \$16.6 million. This is a result of the termination of the management and operating contractor for the Naval Petroleum Reserves in California when the Elk Hills oil field was sold in 1998. Other uncosted amounts are the result of several terminated contracts in the closeout process. The remaining uncosted balances will be deobligated as closeout issues are resolved. In accordance with the Department of Interior and Related Agencies Appropriations Act for FY 2001 (P.L.106-291), carryover funds remain available to fund all naval petroleum and oil shale reserve activities.

### **Unobligated Balance Analysis**

The majority of the Department's appropriations are "no-year" funds, thus, balances must be continuously reviewed to ensure that any remaining unobligated funds are spent on Departmental activities for which they were originally appropriated, to offset future budget requests, or to be

utilized in other aspects of the Congressional budget process. Chart 4 shows the Department's unobligated balances by appropriation. The analysis below provides explanations of the major drivers for over 80 percent of the Department's unobligated balances.

#### EXPLANATION OF SIGNIFICANT BALANCES:

##### Energy and Water Development Appropriations

**Defense Environmental Management Privatization - (\$263.2M Unobligated, 45% Total Obligational Authority (TOA))** - The major driver for this unobligated balance is the requirement for up-front funding of projects under the Privatization Initiative. The Privatization Initiative is designed to shift risk and responsibility for financing construction of major cleanup facilities to the private sector. Typically, the government sets aside budget authority to cover contractual obligations and to provide private sector investment incentives, but it does not pay the contractor until specified goals are met and services are delivered. If the government terminates a contract for convenience, funds budgeted would be used to liquidate the government's termination liability. These contracts produce a higher than average unobligated balance as funds are held until the contractor constructs the required facility and begins processing. These balances are reviewed each year to ensure that the remaining unobligated balances are consistent with the level of planned privatization activities and support the initiatives for which they were originally appropriated. As a result of Congressional budget action, \$97.0 million was rescinded due to cancellation of the Hanford Tank Waste Remediation Project. Further, analysis indicates that \$133.3 million will be obligated in FY 2001 for various projects. These obligations together with the rescission will leave a balance of \$7.8 million. These funds remain available to fund the planned programmatic activities.

**Other Defense Activities-(\$220.5M Unobligated, 11% TOA)** - The major drivers for this unobligated balance include:

1. A \$200 million emergency supplemental appropriation received in late FY 1999 as the initial funding required for U.S. assistance to Russia to begin the implementation of a U.S./Russian plutonium disposition accord. These funds are planned for expenditure over a multi-year period. In FY 2000, \$49 million was deferred as an offset for use of prior year balances. As a result, \$151 million remains available for Russian plutonium disposition.
2. \$12.1 million relates to a \$20 million supplemental received late in FY 2000 for the Security Operations program direction account and Nuclear Safeguards and Security programs. This late receipt of funding prevented these two programs from fully obligating these funds prior to the end of the fiscal year. These funds will be utilized in FY 2001 for their intended purposes.
3. \$8.3M unobligated carryover was due to the approval of a reprogramming action late in fiscal year 2000 to reduce contractor support and to expand and restructure operations at the Moscow Embassy. This includes staffing increases to occur during late FY 2000 and

FY 2001 to meet expanded program requirements, increase oversight and improve program management for critical national security endeavors.

4. The Russian program did not award a \$7.1 million contract for an integrating contractor in FY 2000 as originally planned. These funds will be used in FY 2001 for other work conducted in Russia in accordance with the bilateral agreement signed in September 2000.
5. In FY 2000, \$5.3 million was planned to be used to upgrade magazines at the Pantex Plant. A one-year study of the pit storage determined that upgrades are no longer required. These funds are now in reserve for use in a pending reprogramming action to continue the U.S. fissile materials disposition program in FY2001 and FY 2002.
6. \$12.5 million represents funding for a congressionally mandated external review of the Department's line item capital projects. These activities are planned to take place over a multi-year period and therefore unobligated balances are expected.

All funds remain necessary to support the ongoing activities for which they were appropriated.

**Defense Nuclear Waste Disposal - (\$85.0M Unobligated, 43% TOA) -**

This unobligated balance represents funding that was originally earmarked for the Yucca Mountain Interim Storage project. Subsequently, \$75 million was rescinded based on the decision not to build an interim storage facility. The remaining \$10 million is necessary to fund ongoing efforts involved in maintaining the Program's schedule for Site Recommendation, which is a major milestone of the Yucca Mountain project.

Interior and Related Agencies Appropriations

**Strategic Petroleum Reserve (SPR) - (\$33.6M Unobligated, 19% TOA) -** The unobligated balance reflects \$15.5 million in funding required for Vapor Pressure mitigation support; \$9.6 million for settlement of outstanding claims from the Life Extension Program; \$7.5 million for offsets to new budget authority in FY 2001; and, \$1.0 million to fund a Congressionally-mandated plan to increase SPR's capacity from 750 million barrels to one billion barrels. These funds are necessary to carry out the programmatic activities for which they were appropriated.

**Naval Petroleum and Oil Shale Reserves - (\$32.3M Unobligated, 63% TOA) -** The unobligated balance is the result of continuous efforts to deobligate uncosted balances as they become available from closeout of contracts, principally the former management and operating contract for the Naval Petroleum Reserves in California. A large uncosted balance remained when the Elk Hills oil field was sold to Occidental Petroleum in 1998. Only \$1.6 million of new authority was provided for FY 2001, and the remaining unobligated balance is necessary to pay for ongoing programmatic activities as well as several remaining DOE requirements resulting from the Elk Hills sale. Congress directed the use of carryover funds for programmatic activities in the Department of Interior and Related Agencies Appropriations Act for FY 2001 (P.L.106-291).

**Strategic Petroleum Reserve (Petroleum Account) - (\$32.2M Unobligated, 99% TOA)** - The Department is required to support petroleum drawdown activities which are unpredictable. Yet, the Department must be responsive at all times. The current unobligated balance for this appropriation provides the source of funds to finance about 51 percent of the incremental costs of a six-month drawdown, including the cost of electricity to pump hundreds of millions of barrels of oil, for 24 hour-per-day operations, frequent crude oil monitoring and testing, increased maintenance, and enhanced security.

The funds are also for acquiring, transporting, and injecting crude oil into the Reserve. Funding will be required for continued oil receipts from the Royalty-In-Kind program as well as receipts from the 30 million barrel oil exchange conducted in September 2000. Transportation of the oil might cost up to \$1 per barrel and will be paid for from the SPR Petroleum Account. All funds remain necessary to support these activities.

**Clean Coal Technology - (\$430.2M Unobligated, 105% TOA)** - The Clean Coal Technology (CCT) Program uses Cooperative Agreements that require at least a 50 percent cost-sharing with private-sector participants. Up-front funding was used to assure private-sector participants that funding would be available for the entire federal commitment under the terms of the Cooperative Agreements. The Department has two remaining Cooperative Agreements with unobligated funding commitments totaling \$215 million. Funding for Cooperative Agreements is provided in increments corresponding to predefined project milestones. Funding requirements for the remaining Cooperative Agreements are scheduled for Fiscal Years 2001 through 2003.

The main drivers behind the unobligated balance for the CCT Program are the outstanding funding commitments for the two aforementioned projects. In addition, there are unobligated funds for future Program administration costs (program direction) and reserves that can be used by the Department to share in project cost growth up to 25 percent of the original federal commitment. The unobligated balance is necessary to fund these activities as there are no new appropriations available for the CCT Program.

**U.S. DEPARTMENT OF ENERGY**  
**Uncosted Obligations by Appropriation and Fiscal Year**  
**Appropriated and Reimbursable Activities**  
*(dollars in thousands)*

| APPROPRIATION                                   | FY 1994          | FY 1995          | FY 1996          | FY 1997          | FY 1998          | FY 1999          | FY 2000          |
|---|------------------|------------------|------------------|------------------|------------------|------------------|------------------|
| <b>ENERGY &amp; WATER DEVELOPMENT</b>           |                  |                  |                  |                  |                  |                  |                  |
| Geothermal Resources Development Fund           | 313              | 313              | 46               | 46               | 46               | 46               | 25               |
| Federal Energy Regulatory Commission            | 30,284           | 27,442           | 13,712           | 9,031            | 8,843            | 4,524            | 8,797            |
| Science   | 431,019          | 316,122          | 195,876          | 176,064          | 511,595          | 626,345          | 668,453          |
| Energy Supply & Research Activities             | 2,050,192        | 1,992,333        | 1,429,033        | 1,157,372        | 478,232          | 497,308          | 484,259          |
| Energy Supply & Research Activities - 98 Annual | 0                | 0                | 0                | 0                | 111,359          | 14,116           | 4,704            |
| Energy Supply & Research Activities - 99 Annual | 0                | 0                | 0                | 0                | 0                | 88,336           | 13,085           |
| Energy Supply & Research Activities - 00 Annual | 0                | 0                | 0                | 0                | 0                | 0                | 117,865          |
| Energy Supply & Research Activities - 99/00 2yr | 0                | 0                | 0                | 0                | 0                | 28,898           | 6,474            |
| Uranium Supply & Enrichment Activities          | 121,480          | 104,786          | 67,254           | 36,627           | 4,469            | 0                | 0                |
| Departmental Administration                     | 65,079           | 62,412           | 59,352           | 40,704           | 49,575           | 56,094           | 63,136           |
| Departmental Administration - 99/01 3yr         | 0                | 0                | 0                | 0                | 0                | 2,422            | 439              |
| Working Capital Fund                            | 0                | 0                | 0                | 1,571            | 13,234           | 7,695            | 10,946           |
| Office of Inspector General                     | 2,399            | 2,855            | 2,556            | 2,168            | 3,122            | 2,876            | 1,676            |
| Weapons Activities                              | 2,690,109        | 2,257,666        | 2,023,918        | 1,884,000        | 1,917,447        | 1,797,172        | 2,058,656        |
| Defense Env. Rest. & Waste Mgmt.                | 1,765,553        | 1,219,598        | 1,133,231        | 951,011          | 1,018,789        | 709,877          | 694,080          |
| Defense Env. Rest. & Waste Mgmt. - 99/01 3yr    | 0                | 0                | 0                | 0                | 0                | 1,587            | 304              |
| Defense Environmental Mgmt. Privatization       | 0                | 0                | 0                | 0                | 0                | 361,216          | 358,864          |
| Non-Defense Environmental Management            | 0                | 0                | 0                | 0                | 98,477           | 81,501           | 66,041           |
| Other Nuclear Security Activities - 00/01 2yr   | 0                | 0                | 0                | 0                | 0                | 0                | 7,512            |
| Defense Facilities Closure Projects             | 0                | 0                | 0                | 0                | 91,720           | 103,701          | 107,774          |
| Defense Facilities Closure Projects - 99/01 3yr | 0                | 0                | 0                | 0                | 0                | 281              | 73               |
| Other Defense Activities                        | 959,253          | 872,093          | 449,448          | 558,193          | 511,205          | 567,092          | 583,204          |
| Other Defense Activities - 98/99 2yr            | 0                | 0                | 0                | 0                | 32,400           | 0                | 0                |
| Other Defense Activities - 99/00 2yr            | 0                | 0                | 0                | 0                | 0                | 19,044           | 1                |
| Southeastern Power Administration               | 251              | 266              | 504              | 369              | 57               | 300              | 143              |
| Southeastern Power Administration - 2000 Annual | 0                | 0                | 0                | 0                | 0                | 0                | 1,097            |
| Southwestern Power Administration               | 19,054           | 13,417           | 7,082            | 6,705            | 8,732            | 11,467           | 11,701           |
| Continuing Fund (SEPA)                          | 0                | 0                | 0                | 0                | 0                | 2,431            | 981              |
| Continuing Fund (SWPA)                          | 0                | 0                | 0                | 0                | 2,991            | 3,416            | 3,416            |
| Alaska Power Administration                     | 1,104            | 3,557            | 4,441            | 3,349            | 13,336           | 8,491            | 16,648           |
| Isotope Production & Distribution Fund          | 3,320            | 6,354            | 8,096            | 5,900            | 6,499            | 7,890            | 8,184            |
| Colorado River Basins Fund <i>a/ c/</i>         | 7,444            | 6,271            | 8,238            | 22,159           | 7,623            | 6,593            | 9,186            |
| Western Area Power Administration               | 166,684          | 129,479          | 90,767           | 99,918           | 87,778           | 68,871           | 75,076           |
| Falcon/Amistad Op. Fund (WAPA) <i>c/</i>        | 0                | 0                | 0                | 5                | 317              | 420              | 1                |
| Nuclear Waste Fund                              | 78,201           | 83,506           | 33,110           | 68,939           | 38,585           | 59,257           | 26,619           |
| Nuclear Waste Fund - 2000 1yr                   | 0                | 0                | 0                | 0                | 0                | 0                | 5,718            |
| Uranium Enrichment D&D Fund                     | 88,009           | 73,331           | 25,707           | 28,167           | 47,819           | 48,682           | 101,335          |
| Defense Nuclear Waste Disposal                  | 0                | (461)            | 19,656           | 22,162           | 4,256            | 2,663            | 8,427            |
| Cerro Grande Fire Activities                    | 0                | 0                | 0                | 0                | 0                | 0                | 87,012           |
| <b>TOTAL Energy &amp; Water Development</b>     | <b>8,479,748</b> | <b>7,171,340</b> | <b>5,572,027</b> | <b>5,074,460</b> | <b>5,068,506</b> | <b>5,190,612</b> | <b>5,611,912</b> |

**U.S. DEPARTMENT OF ENERGY**  
**Uncosted Obligations by Appropriation and Fiscal Year**  
**Appropriated and Reimbursable Activities**  
*(dollars in thousands)*

| APPROPRIATION                                    | FY 1994           | FY 1995          | FY 1996          | FY 1997          | FY 1998          | FY 1999          | FY 2000          |
|--|-------------------|------------------|------------------|------------------|------------------|------------------|------------------|
| <b>INTERIOR</b>                                  |                   |                  |                  |                  |                  |                  |                  |
| Fossil Energy Research & Development             | 328,005           | 377,680          | 291,758          | 219,354          | 221,284          | 255,262          | 288,635          |
| Fossil Energy Research & Development - 98 Annual | 0                 | 0                | 0                | 0                | 0                | 0                | 4                |
| Fossil Energy Research & Development - 99 Annual | 0                 | 0                | 0                | 0                | 0                | 99               | 38               |
| Fossil Energy, Construction                      | 793               | 751              | 54               | 0                | 0                | 0                | 0                |
| Energy Conservation                              | 617,262           | 676,803          | 338,938          | 410,676          | 318,617          | 338,036          | 370,661          |
| Energy Information Administration                | 27,653            | 25,351           | 20,462           | 15,494           | 14,080           | 18,828           | 20,174           |
| Economic Regulatory Administration               | 1,590             | 2,443            | 1,477            | 695              | 335              | 172              | 236              |
| Strategic Petroleum Reserve                      | 98,946            | 85,829           | 120,988          | 121,393          | 98,216           | 57,562           | 51,006           |
| Naval Petroleum & Oil Shale Reserves             | 93,165            | 92,375           | 75,917           | 51,277           | 49,692           | 29,503           | 24,493           |
| SPR Petroleum Account                            | 3,077             | 3,116            | 2,359            | 2,369            | 2,467            | 2,496            | 3,495            |
| Emergency Preparedness                           | 2,469             | 1,618            | 867              | 398              | 209              | 109              | 55               |
| Clean Coal Technology                            | 317,276           | 404,046          | 199,605          | 290,257          | 409,251          | 378,178          | 312,818          |
| Energy Security Reserves & Alternate Fuels Prod  | 10,010            | 9,879            | 9,858            | 9,855            | 9,788            | 9,787            | 9,806            |
| <b>TOTAL Interior</b>                            | <b>1,500,246</b>  | <b>1,679,891</b> | <b>1,062,283</b> | <b>1,121,768</b> | <b>1,123,939</b> | <b>1,090,032</b> | <b>1,081,421</b> |
| <b>TOTAL Other <sup>b/</sup></b>                 | <b>22,030</b>     | <b>17,836</b>    | <b>11,722</b>    | <b>9,487</b>     | <b>6,234</b>     | <b>4,364</b>     | <b>4,480</b>     |
| <b>TOTAL DEPARTMENT OF ENERGY</b>                | <b>10,002,024</b> | <b>8,869,067</b> | <b>6,646,032</b> | <b>6,205,715</b> | <b>6,198,679</b> | <b>6,285,008</b> | <b>6,697,813</b> |

**Footnotes:**

a/ Uncosted revolving fund balances

b/ Other consists of expired appropriations, Payments to States under Federal Power Act, Trust Fund Advances for Co-Sponsored Work, Gifts, Donations and Bequests, and Transfer Appropriations.

c/ FY 2000 balances reflect post closing accounting adjustments.

**General Notes:**

All amounts include the cost side of reimbursable work, and exclude the collection side of reimbursable work.

**U.S. DEPARTMENT OF ENERGY**  
**Uncosted Obligations Comparison of FY 1999 to FY 2000**  
**Appropriated and Reimbursable Activities**  
*(dollars in thousands)*

| APPROPRIATION                                    | 1999 Total<br>Uncosted | Increase/<br>(Decrease) | 2000 Total<br>Uncosted |
|--|------------------------|-------------------------|------------------------|
| <b>ENERGY &amp; WATER DEVELOPMENT</b>            |                        |                         |                        |
| Geothermal Resources Development Fund            | 46                     | (21)                    | 25                     |
| Federal Energy Regulatory Commission             | 4,524                  | 4,273                   | 8,797                  |
| Science  | 626,345                | 42,108                  | 668,453                |
| Energy Supply & Research Activities              | 497,308                | (13,049)                | 484,259                |
| Energy Supply & Research Activities - 98 Annual  | 14,116                 | (9,412)                 | 4,704                  |
| Energy Supply & Research Activities - 99 Annual  | 88,336                 | (75,251)                | 13,085                 |
| Energy Supply & Research Activities - 00 Annual  | 0                      | 117,865                 | 117,865                |
| Energy Supply & Research Activities - 99/00 2yr  | 28,898                 | (22,424)                | 6,474                  |
| Departmental Administration                      | 56,094                 | 7,042                   | 63,136                 |
| Departmental Administration - 99/01 3yr          | 2,422                  | (1,983)                 | 439                    |
| Working Capital Fund                             | 7,695                  | 3,251                   | 10,946                 |
| Office of Inspector General                      | 2,876                  | (1,200)                 | 1,676                  |
| Weapons Activities                               | 1,797,172              | 261,484                 | 2,058,656              |
| Defense Env. Rest. & Waste Mgmt.                 | 709,877                | (15,797)                | 694,080                |
| Defense Env. Rest. & Waste Mgmt. - 99/01 3yr     | 1,587                  | (1,283)                 | 304                    |
| Defense Environmental Mgmt. Privatization        | 361,216                | (2,352)                 | 358,864                |
| Non-Defense Environmental Management             | 81,501                 | (15,460)                | 66,041                 |
| Other Nuclear Security Activities - 00/01 2yr    | 0                      | 7,512                   | 7,512                  |
| Defense Facilities Closure Projects              | 103,701                | 4,073                   | 107,774                |
| Defense Facilities Closure Projects - 99/01 3yr  | 281                    | (208)                   | 73                     |
| Other Defense Activities                         | 567,092                | 16,112                  | 583,204                |
| Other Defense Activities - 99/00 2yr             | 19,044                 | (19,043)                | 1                      |
| Southeastern Power Administration                | 300                    | (157)                   | 143                    |
| Southeastern Power Administration - 2000 Annual  | 0                      | 1,097                   | 1,097                  |
| Southwestern Power Administration                | 11,467                 | 234                     | 11,701                 |
| Continuing Fund (SEPA)                           | 2,431                  | (1,450)                 | 981                    |
| Continuing Fund (SWPA)                           | 3,416                  | 0                       | 3,416                  |
| Alaska Power Administration                      | 8,491                  | 8,157                   | 16,648                 |
| Isotope Production & Distribution Fund <i>a/</i> | 7,890                  | 294                     | 8,184                  |
| Colorado River Basins Fund <i>a/ c/</i>          | 6,593                  | 2,593                   | 9,186                  |
| Western Area Power Administration                | 68,871                 | 6,205                   | 75,076                 |
| Falcon/Amistad Op. Fund (WAPA) <i>c/</i>         | 420                    | (419)                   | 1                      |
| Nuclear Waste Fund                               | 59,257                 | (32,638)                | 26,619                 |
| Nuclear waste Fund - 2000 1yr                    | 0                      | 5,718                   | 5,718                  |
| Uranium Enrichment D&D Fund                      | 48,682                 | 52,653                  | 101,335                |
| Defense Nuclear Waste Disposal                   | 2,663                  | 5,764                   | 8,427                  |
| Cerro Grande Fire Activities                     | 0                      | 87,012                  | 87,012                 |
| <b>TOTAL Energy &amp; Water Development</b>      | <b>5,190,612</b>       | <b>421,300</b>          | <b>5,611,912</b>       |

**U.S. DEPARTMENT OF ENERGY**  
**Uncosted Obligations Comparison of FY 1999 to FY 2000**  
**Appropriated and Reimbursable Activities**  
*(dollars in thousands)*

| APPROPRIATION                                    | 1999 Total<br>Uncosted | Increase/<br>(Decrease) | 2000 Total<br>Uncosted |
|--|------------------------|-------------------------|------------------------|
| <b>INTERIOR</b>                                  |                        |                         |                        |
| Fossil Energy Research & Development             | 255,262                | 33,373                  | 288,635                |
| Fossil Energy Research & Development - 98 Annual | 0                      | 4                       | 4                      |
| Fossil Energy Research & Development - 99 Annual | 99                     | (61)                    | 38                     |
| Energy Conservation                              | 338,036                | 32,625                  | 370,661                |
| Energy Information Administration                | 18,828                 | 1,346                   | 20,174                 |
| Economic Regulatory Administration               | 172                    | 64                      | 236                    |
| Strategic Petroleum Reserve                      | 57,562                 | (6,556)                 | 51,006                 |
| Naval Petroleum & Oil Shale Reserves             | 29,503                 | (5,010)                 | 24,493                 |
| SPR Petroleum Account                            | 2,496                  | 999                     | 3,495                  |
| Emergency Preparedness                           | 109                    | (54)                    | 55                     |
| Clean Coal Technology                            | 378,178                | (65,360)                | 312,818                |
| Energy Security Reserves & Alternate Fuels Prod  | 9,787                  | 19                      | 9,806                  |
| <b>TOTAL Interior</b>                            | <b>1,090,032</b>       | <b>(8,611)</b>          | <b>1,081,421</b>       |
| <b>TOTAL Other <sup>b/</sup></b>                 | <b>4364</b>            | <b>116</b>              | <b>4,480</b>           |
| <b>TOTAL DEPARTMENT OF ENERGY</b>                | <b>6,285,008</b>       | <b>412,805</b>          | <b>6,697,813</b>       |

**Footnotes:**

a/ Uncosted revolving fund balances

b/ Other consists of expired appropriations, Payments to States under Federal Power Act, and Trust Fund Advances for Co-Sponsored Work, Gifts, Donations and Bequests, and Transfer Appropriations.

c/ FY 2000 balances reflect post closing accounting adjustments.

**U.S. DEPARTMENT OF ENERGY**  
**Uncosted Obligations Threshold Analysis by Appropriation**  
**Appropriated and Reimbursable Activities**  
*(dollars in thousands)*

| APPROPRIATION                                   | 2000 Total<br>Uncosted | Uncosted<br>Threshold | Variance Net     |
|---|------------------------|-----------------------|------------------|
| <b>ENERGY &amp; WATER DEVELOPMENT</b>           |                        |                       |                  |
| Geothermal Resources Development Fund           | 25                     | 10                    | 15               |
| Federal Energy Regulatory Commission            | 8,797                  | 30,096                | (21,299)         |
| Science   | 668,453                | 770,377               | (101,924)        |
| Energy Supply & Research Activities             | 484,259                | 471,943               | 12,316           |
| Energy Supply & Research Activities - 98 Annual | 4,704                  | 4,149                 | 555              |
| Energy Supply & Research Activities - 99 Annual | 13,085                 | 14,633                | (1,548)          |
| Energy Supply & Research Activities - 00 Annual | 117,865                | 121,043               | (3,178)          |
| Energy Supply & Research Activities - 99/00 2yr | 6,474                  | 4,816                 | 1,658            |
| Departmental Administration                     | 63,136                 | 62,362                | 774              |
| Departmental Administration - 99/01 3yr         | 439                    | 577                   | (138)            |
| Working Capital Fund                            | 10,946                 | 15,926                | (4,980)          |
| Office of Inspector General                     | 1,676                  | 5,502                 | (3,826)          |
| Weapons Activities                              | 2,058,656              | 2,182,318             | (123,662)        |
| Defense Env. Rest. & Waste Mgmt.                | 694,080                | 880,532               | (186,452)        |
| Defense Env. Rest. & Waste Mgmt. - 99/01 3yr    | 304                    | 147                   | 157              |
| Defense Environmental Mgmt. Privatization       | 358,864                | 358,864               | 0                |
| Non-Defense Environmental Management            | 66,041                 | 72,813                | (6,772)          |
| Other Nuclear Security Activities - 00/01 2yr   | 7,512                  | 4,403                 | 3,109            |
| Defense Facilities Closure Projects             | 107,774                | 155,093               | (47,319)         |
| Defense Facilities Closure Projects - 99/01 3yr | 73                     | 37                    | 36               |
| Other Defense Activities                        | 583,204                | 419,971               | 163,233 *        |
| Other Defense Activities - 99/00 2yr            | 1                      | 3,246                 | (3,245)          |
| Southeastern Power Administration               | 143                    | 220                   | (77)             |
| Southeastern Power Administration - 2000 Annual | 1,097                  | 1,968                 | (871)            |
| Southwestern Power Administration               | 11,701                 | 12,278                | (577)            |
| Continuing Fund (SEPA)                          | 981                    | 981                   | 0                |
| Continuing Fund (SWPA)                          | 3,416                  | 3,416                 | 0                |
| Alaska Power Administration                     | 16,648                 | 2,831                 | 13,817           |
| Isotope Production & Distribution Fund a/       | 8,184                  | 6,865                 | 1,319            |
| Colorado River Basins Fund a/ c/                | 9,186                  | 9,186                 | 0                |
| Western Area Power Administration               | 75,076                 | 95,341                | (20,265)         |
| Falcon/Amistad Op. Fund (WAPA) c/               | 1                      | 220                   | (219)            |
| Nuclear Waste Fund                              | 26,619                 | 14,160                | 12,459 *         |
| Nuclear waste Fund - 2000 1yr                   | 5,718                  | 34,405                | (28,687)         |
| Uranium Enrichment D&D Fund                     | 101,335                | 53,011                | 48,324 *         |
| Defense Nuclear Waste Disposal                  | 8,427                  | 15,194                | (6,767)          |
| Cerro Grande Fire Activities                    | 87,012                 | 24,883                | 62,129 *         |
| <b>TOTAL Energy &amp; Water Development</b>     | <b>5,611,912</b>       | <b>5,853,817</b>      | <b>(241,905)</b> |

\* Justifications for these over threshold amounts are provided starting on page 5 of this report

**U.S. DEPARTMENT OF ENERGY**  
**Uncosted Obligations Threshold Analysis by Appropriation**  
**Appropriated and Reimbursable Activities**  
*(dollars in thousands)*

| APPROPRIATION                                    | 2000 Total<br>Uncosted | Uncosted<br>Threshold | Variance Net    |
|--|------------------------|-----------------------|-----------------|
| <b>INTERIOR</b>                                  |                        |                       |                 |
| Fossil Energy Research & Development             | 288,635                | 216,931               | 71,704 *        |
| Fossil Energy Research & Development - 98 Annual | 4                      | 0                     | 4               |
| Fossil Energy Research & Development - 99 Annual | 38                     | 17                    | 21              |
| Energy Conservation                              | 370,661                | 282,666               | 87,995 *        |
| Energy Information Administration                | 20,174                 | 15,322                | 4,852           |
| Economic Regulatory Administration               | 236                    | 360                   | (124)           |
| Strategic Petroleum Reserve                      | 51,006                 | 27,782                | 23,224 *        |
| Naval Petroleum & Oil Shale Reserves             | 24,493                 | 7,874                 | 16,619 *        |
| SPR Petroleum Account                            | 3,495                  | 504                   | 2,991           |
| Emergency Preparedness                           | 55                     | 15                    | 40              |
| Clean Coal Technology                            | 312,818                | 311,786               | 1,032           |
| Energy Security Reserves & Alternate Fuels Prod  | 9,806                  | 1,667                 | 8,139           |
| <b>TOTAL Interior</b>                            | <b>1,081,421</b>       | <b>864,924</b>        | <b>216,497</b>  |
| <b>TOTAL Other <i>b/</i></b>                     | <b>4,480</b>           | <b>4,480</b>          | <b>0</b>        |
| <b>TOTAL DEPARTMENT OF ENERGY</b>                | <b>6,697,813</b>       | <b>6,723,221</b>      | <b>(25,408)</b> |

**\* Justifications for these over threshold amounts are provided starting on page 5 of this report**

a/ Uncosted revolving fund balances

b/ Other consists of expired appropriations, Payments to States under Federal Power Act, and Trust Fund Advances for Co-Sponsored Work, Gifts, Donations and Bequests, and Transfer Appropriations.

c/ FY 2000 balances reflect post closing accounting adjustments.

**General Notes:**

1) It is important to note that the variances presented in this chart are "NET" variances at the appropriation level which have been summarized based on detailed analyses performed at individual Field elements. The detailed analyses calculate thresholds at the 4th digit of the Department's Budget and Reporting Classification and as such, specific field element variances may actually contain a combination of overages and underages to arrive at a net Departmental figure.

2) Threshold amounts for reimbursable work, Line item construction, EM Privatization and some Grants, and Cooperative agreements are set at 100% as these activities inherently display a higher level of uncosted balances with minimal control and therefore do not lend themselves to threshold analysis. Other Departmental efforts monitor and address uncosted balances for these activities.

**U.S. DEPARTMENT OF ENERGY**  
**Unobligated Balances**  
**Appropriated Balances Only\*\***  
*(dollars in thousands)*

| APPROPRIATION                                   | FY 2000 Total<br>Obligational<br>Authority (TOA) | End of Year<br>FY 2000<br>Unobligated<br>Balance |
|---|--|--|
| <b>ENERGY &amp; WATER DEVELOPMENT</b>           |  |  |
| Geothermal Resources Development Fund           | 0  | 22   |
| Federal Energy Regulatory Commission            | 176,485  | 3,899  |
| Science   | 2,843,582  | 17,301   |
| Energy Supply & Research Activities             | 3,869  | 3,861  |
| Energy Supply & Research Activities - 00 Annual | 645,330  | 658  |
| Energy Supply & Research Activities - 99/00 2yr | 189  | 111  |
| Departmental Administration                     | 234,401  | 25,127   |
| Departmental Administration - 99/01 3yr         | 2,050  | 802  |
| Working Capital Fund                            | 88,275   | 7,641  |
| Office of Inspector General                     | 30,409   | 917  |
| Weapons Activities                              | 4,586,254  | 44,219   |
| Defense Env. Rest. & Waste Mgmt.                | 4,504,689  | 24,639   |
| Defense Env. Rest. & Waste Mgmt. - 99/01 3yr    | 166  | 737  |
| Defense Environmental Mgmt. Privatization       | 585,423  | 263,191 *  |
| Non-Defense Environmental Management            | 334,974  | 1,521  |
| Other Nuclear Security Activities - 00/01 2 yr  | 35,500   | 1,647  |
| Defense Facilities Closure Projects             | 1,061,257  | 1,633  |
| Defense Facilities Closure Projects - 99/01 3yr | 40   | 40   |
| Other Defense Activities                        | 2,019,587  | 220,460 *  |
| Other Defense Activities - 99/00 2yr            | 5,587  | 0  |
| Southeastern Power Administration               | 2,225  | 1,233  |
| Southeastern Power Administration - 2000 Annual | 11,579   | 0  |
| Southwestern Power Administration               | 28,867   | 1,033  |
| Continuing Fund (SEPA)                          | 12,050   | 50   |
| Continuing Fund (SWPA)                          | 300  | 300  |
| Alaska Power Administration                     | 0  | 143  |
| Isotope Production & Distribution Fund a/       | 34,103   | 3,827  |
| Colorado River Basins Fund a/                   | 211,644  | 17,577   |
| Western Area Power Administration               | 200,735  | 9,736  |
| Western Area Emergency Fund                     | 500  | 500  |
| Falcon/Amistad Op. Fund (WAPA)                  | 1,460  | 164  |
| Nuclear Waste Disposal                          | 0  | 2,592  |
| Nuclear Waste Fund                              | 7,983  | 0  |
| Nuclear Waste Disposal Fund - 2000 1 yr         | 239,601  | 239  |
| Uranium Enrichment D&D Fund                     | 307,256  | 59   |
| Defense Nuclear Waste Disposal                  | 196,574  | 85,001 *   |
| Cerro Grande Fire Activities                    | 138,000  | 0  |
| <b>TOTAL Energy &amp; Water Development</b>     | <b>18,550,944</b>                                | <b>740,880</b>                                   |

|  |
|--|
| <p><b>U.S. DEPARTMENT OF ENERGY</b><br/> <b>Unobligated Balances</b><br/> <b>Appropriated Balances Only**</b><br/> <i>(dollars in thousands)</i></p> |
|--|

| APPROPRIATION                                   | FY 2000 Total<br>Obligational<br>Authority (TOA) | End of Year<br>FY 2000<br>Unobligated<br>Balance |
|---|--|--|
| INTERIOR  |  |  |
| Fossil Energy Research & Development            | 433,798  | 34,775   |
| Fossil Energy, Construction                     | 199  | 199  |
| Energy Conservation                             | 758,759  | 40,848   |
| Energy Information Administration               | 74,325   | 2,871  |
| Economic Regulatory Administration              | 2,132  | 186  |
| Strategic Petroleum Reserve                     | 177,278  | 33,574 *   |
| Naval Petroleum & Oil Shale Reserves            | 51,589   | 32,252 *   |
| SPR Petroleum Account                           | 32,679   | 32,213 *   |
| Emergency Preparedness                          | 62   | 74   |
| Clean Coal Technology                           | 411,124  | 430,197 *  |
| Energy Security Reserves & Alternate Fuels Prod | 2,982  | 2,961  |
| <b>TOTAL Interior</b>                           | <b>1,944,927</b>                                 | <b>610,150</b>                                   |
|   |  |  |
| <b>TOTAL Other b/</b>                           | <b>1,200</b>                                     | <b>0</b>   |
|   |  |  |
| <b>TOTAL DEPARTMENT OF ENERGY</b>               | <b>20,497,071</b>                                | <b>1,351,030</b>                                 |

*\* Summary explanations for the level of unobligated balances for these appropriations are included starting on Page 7 of this report.*

**\*\* This chart excludes reimbursable work funding since unobligated balances for reimbursable work represent funds appropriated to other Federal agencies and are not available to offset Department of Energy appropriations.**

**Footnotes:**

- a/ Unobligated revolving fund balances
- b/ "Other" consists of Gifts, Donations and Bequests

**General Notes:**

# U.S. DEPARTMENT OF ENERGY

## Use of Prior Year Balances

**As of February 7, 2001**

*(dollars in thousands)*

|   | FY 2000 Use of Prior<br>Year Balances | FY 2001 Use of Prior<br>Year Balances |
|---|---------------------------------------|---------------------------------------|
| Energy Supply Research & Development      | \$1,570                               | \$0                                   |
| Non-Defense Environmental management      | 7,587                                 | 36                                    |
| Departmental Administration               | 16,183                                | 8,000                                 |
| Weapons Activities                        | 20,668                                | 13,647                                |
| Defense Env. Restoration and Waste Mgmt.  | 6,076                                 | 41,246                                |
| Defense Environmental Mgmt. Privatization | 44,000                                | 25,092                                |
| Defense Nuclear Nonproliferation          |                                       | 526                                   |
| Other Defense Activities                  | 50,915                                | 0                                     |
| Southeastern Power Administration         | 3,000                                 | 1,100                                 |
| Southwestern Power Administration         | 0                                     | 900                                   |
| Western Area Power Administration         | 20,000                                | 5,983                                 |
| Geothermal Res. Dev. Fund                 | 0                                     | 0                                     |
| Naval Petroleum & Oil Shale Reserves      | 24,740                                | 20,775                                |
| <b>TOTAL</b>                              | <b>\$194,739</b>                      | <b>\$117,305</b>                      |

NOTE: Prior Year Balances may include unobligated balances as well as obligations that have not yet been costed.