



Department of Energy
Washington, DC 20585

FEB 22 2008

MEMORANDUM FOR DISTRIBUTION

FROM:

MARK W. FREI *Mark W. Frei*
DEPUTY ASSISTANT SECRETARY FOR
PROGRAM PLANNING AND BUDGET

SUBJECT:

CLARIFYING GUIDANCE - Participation of the Environmental Management Site Specific Advisory Board, Stakeholders, and Regulators in Environmental Management Budget Requests

The purpose of this memorandum is to clarify the guidance regarding the involvement of the Environmental Management Site Specific Advisory Board (EM SSAB), stakeholders, and regulators in the EM budget formulation process.

The attached guidance (Attachment 1) was issued on February 1, 2007, to establish a consistent approach for EM SSAB involvement in the budget formulation process. It has been determined that clarifying guidance is needed as to what budget information can be released and when that information should be released to the EM SSAB and other stakeholders. Clarifications to the original guidance are shown below in bold. A timeline (Attachment 2) is also attached for your information.

EM Budget Guidance for the Budget Year ¹

- Budget Year information may be provided to the EM SSAB and other stakeholders at the Project Baseline Summary (PBS) level. **Discussions beyond the Budget Year should focus on your site's validated baselines². Please note that validated baselines are subject to change based on annual appropriations. The EM SSAB and other stakeholders should help identify any deviations from EM's overall risk-based prioritization scheme. For example, Decontamination and Decommissioning (D&D) of some particularly high-risk facilities may be recommended as a higher priority, or remediation of a particularly risky groundwater plume.**

¹ Budget Year – The year for which funds are being requested.

² EM project baselines have been certified through a process where an Independent Review or an External Independent Review has been conducted to determine the validity of the scope, cost and schedule for the baseline.

- Following issuance of the EM Budget Guidance (**January/February**), begin scheduling briefings for the EM SSAB **and other stakeholders** regarding planned accomplishments for the work scope, priorities, schedules/milestones, validated baselines and compliance projections for various prioritized activities. Establish an agreed-upon timeframe to allow the EM SSAB **and stakeholders** to review and provide input in a timely manner to support the proposed budget submission.
- Submit the EM SSAB's advice, **as well as that of other stakeholders**, along with the site's recommended course of action, to EM Headquarters with the budget submission for the Budget Year (**March/April**). Provide a copy of the site's recommendation to the EM SSAB **and other stakeholders, as the site deems appropriate. *Once the sites make their budget requests to DOE Headquarters, all recommendations in the form of the (Integrated Priority List) IPL are EMBARGOED until the first Monday in February, when the President submits his budget to Congress.***

President's (Congressional) Budget Request

- Within 30 days **after the President's budget request to Congress**, provide a briefing to the EM SSAB **and other stakeholders (as appropriate)** outlining planned accomplishments at the President's request level. Provide an assessment of impacts.

Receipt of Appropriation

- Within 30 days **after** receipt of an appropriation (including amounts received under a Continuing Resolution) provide a briefing to the EM SSAB **and other stakeholders (as appropriate)** on the appropriation, funding allocations or Continuing Resolutions and potential impacts. This briefing should also include a synopsis of the previous year's performance to include information such as carryover amounts, actual versus planned expenditures, and baseline performance metrics.

This guidance does not supersede any existing legal agreements. Field sites are to continue to involve the EM SSAB **and other stakeholders** in accordance with existing agreements. No additional actions are required if existing agreements meet the intent of this guidance.

If you have any further questions, please contact Ms. Melissa Nielson, Director for the Office of Public and Intergovernmental Accountability at (202) 586-0356 or Ms. Cynthia Rheaume, Director for the Office of Budget, at (202) 586-8899.

Attachments

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FEB 01 2007

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FROM:

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 DEPUTY ASSISTANT SECRETARY FOR
 PROGRAM PLANNING AND BUDGET

SUBJECT:

Participation of the Environmental Management Site
 Specific Advisory Board in Environmental
 Management Budget Requests

The purpose of this memorandum is to transmit guidance regarding the involvement of the Environmental Management Site Specific Advisory Board (EM SSAB) in the EM budget request process.

To assist your advisory boards with planning their schedules, a copy of the Fiscal Year (FY) 2009 Environmental Management (EM)/Chief Financial Officer (CFO) Consolidated Budget Calendar is attached.

The following guidance will establish a consistent approach for EM SSAB involvement:

EM Budget Guidance for the Budget Year ¹

- Budget Year information may be provided to the EM SSAB at the Program Baseline Summary (PBS) level. Any information beyond the budget year should be provided at the site level only.
- Following issuance of the EM Budget Guidance, schedule an advisory board briefing on planned accomplishments for the work scope, priorities, schedules/milestones, five-year targets, and compliance projections. Establish an agreed upon timeframe to allow the EM SSAB to review and provide input in a timely manner supporting the proposed budget submission to EM.
- Submit the EM SSAB's advice, with the site's recommended course of action, to EM Headquarters with the budget submission. Provide a copy of the site's recommendation to the EM SSAB. **At this point, dollar amounts within the budget request become "Embargoed."** Upon submission of the budget request to EM Headquarters, only the work scope related to target and over target requests may be discussed.

¹ Budget Year -- The year for which funds are being requested.



President's (Congressional) Budget Request ²

- Within 30 days, provide a briefing to the EM SSAB outlining planned accomplishments at the President's request level. Provide an assessment of impacts.

Receipt of Appropriation

- Within 30 days of receipt of an appropriation including amounts received under a Continuing Resolution, provide a briefing to the EM SSAB on the appropriation and funding allocations or any continuing resolutions and potential impacts. This briefing should also include a synopsis of the previous year's performance to include information such as carryover amounts, actual versus planned expenditures, and baseline performance metrics.

This guidance does not supersede any existing legal agreements. Field sites are to continue to involve the EM SSAB in accordance with existing agreements. No additional actions are required if existing agreements meet the intent of this guidance.

If you have any further questions, please contact Ms. Cynthia Rheume, Director for the Office of Budget, at (202) 586-5314 or Ms. Melissa Nielson, Director for the Office of Public and Intergovernmental Accountability, at (202) 586-0356.

Attachment

² Occurs on the first Monday of each February.

Distribution

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J. Schwier, RL
G. Jones, RL
S. Blanding, SR
W. Spader, SR

FY 2009 EM/CFO Consolidated Budget Calendar

| Activity | Time Frame |
|--|----------------------|
| CFO Issues Field Budget Call | Nov 16 |
| Field budgets (infrastructure, Safeguard and Security, Exhibit 300s, and other crosscutting info) submitted to Headquarters (HQ) Program Secretarial Officers (PSOs) (Field Budget Call submittals); CFO Issues Program & Fiscal Guidance to PSO's | Feb 15 Feb 23 |
| EM Guidance with Funding Targets Issued to Field –Integrated Planning Accountability Budgeting System (IPABS) Open for Planning Data Collection Briefing Templates Distributed (Budget Narrative Collection delayed) | |
| EM Field Management Briefings (Budget Request) per EM Guidance to EM HQ Management | March 26 - 30 |
| Preliminary EM Summary Integrated Priority List (IPL) with site-level Target (T)/OverTarget (OT) allocations based on field presentations prepared by HQ Office of Business Operations (EM-30) | April 6 |
| Assistant Secretary for Environmental Management (EM-1) and Deputy Assistant Secretary for Environmental Management (EM-2) complete review of preliminary EM Summary IPL and site funding allocations (T/OT); EM issues preliminary decisions with IPL to field in preparation for EM Corporate Review Board | April 13 |
| EM Convenes Corporate Review Board with Field Management to discuss preliminary EM-Wide IPL; Summary IPL finalized; Detailed IPL developed based on briefings / decisions | April 18 |
| EM Submission of Corporate Program Review Documents (IPL) to CFO CFO issues Office of Management and Budget (OMB) Budget Call and Formats | May 4 |
| CFO Initiates Review and Decisions Process; CFO A-Team provides recommendations to EM; EM Briefs the Secretary of the Department of Energy (S-1) & the Deputy Secretary of the Department of Energy (S-2); EM IPABS open for Field Budget Narrative Updates to Match EM Corporate IPL submission | May 4 – June 15 |
| Draft S-1 Decisions and Appeal Process | June 15 – 29 |
| CFO Issues final Program Decision Memorandum (PDM) | June 29 |
| OMB Budget Developed based on PDM Decisions | July |
| EM submits Draft OMB Submission to CFO for review | August 3 |
| CFO Review/Resolve Outstanding Issues/CFO comments back to PSOs | August |
| Final Budget Submitted to OMB | September 7 |

EM SSAB and Stakeholder Involvement In DOE EM Budget Process

