

**Fermilab**  
**FY2002 Self-assessment**  
**Process Assessment Report**  
**For**  
**Division/Section:** Particle Physics Division

**Date:** September 25, 2002

Division/Section performing assessment

Particle Physics Division (PPD)

Name of organization that owns assessed process

PPD Division Office, Financial Group

Organization Strategy

The financial reports are a tool for obtaining the latest available data and analyzing how the Division's funding and resources are being utilized. These financial reports enable the Division management to monitor progress, anticipate change, identify variances and take appropriate action.

Names of Personnel on Assessment team

Ellie Arroyo

Name of process assessed

Financial Reports

Brief description of process to be assessed

The Financial Group publishes several internal financial reports on a monthly basis to track budget obligations and costs. These monthly reports include labor, material and services status by funding source, travel expenditures, project paid effort status, and overtime expenditures.

1. Are metrics associated with this process? If so, what are they?

The metric is as follows:

Indicator 1:

Examine the number of internal reports required on a monthly basis:

Are all the reports currently being produced needed and is there opportunity for improvement? This will be rated on a pass/fail scale.

If pass=outstanding, if fail=unsatisfactory.

Indicator 2:

Timeliness of reports produced:

If reports are distributed within three days from when the data is available=Outstanding;

If reports are distributed on the fourth business day after the data is available=Excellent;

If reports are distributed on the fifth business day after the data is available=Good;

If reports are distributed after the fifth Business day from when the data is available=Unsatisfactory.

Indicator 3:

Number of total reports that had to be re-issued during the year (where total reports equal 13 reports x 12 months = 156 total reports):

0-7=Outstanding, 8-14=Excellent, 15-21=Good, 22-29=Marginal, >29=Unsatisfactory

The overall grade will be calculated by averaging the scores of the three indicators above, using a point scale set as follows:

Outstanding if in the range 3.5 – 4.0,

Excellent if in the range 2.5 – 3.5,

Good if in the range 2.0 – 2.5,

Marginal if in the range 1.0 – 2.0,

Unsatisfactory if in the range 0 – 1.0

2. What are the names of the procedures associated with this process?

There aren't any formal written procedures for these reports.

3. Are these procedures being followed? Are they current?

N/A

4. Describe the methodology used to assess this process.

We looked at 156 reports done during FY02.

5. Results of the assessment:

The existing process controls are adequate and there aren't any notable deficiencies at this time.

The process for distributing financial reports within the Particle Physics Division is working effectively. It is important that the financial reports be available, as needed, to management on a timely basis; however, the level of accuracy is also important.

Indicator 1:

Examine the number of internal reports required on a monthly basis:

The Financial Group produces and publishes 13 standard reports each month comprised of numerous pages. Following is a list of financial reports published on a monthly basis.

- 1) Operating Obligations Analysis
- 2) Equipment Funds Status
- 3) Total Obligations Summary
- 4) Experiments – FY2002
- 5) Plant Summary
- 6) Overtime Summary Graphs
- 7) CDF RunIIb R&D Effort
- 8) DZero RunIIb R&D Effort
- 9) CMS Effort
- 10) MINOS Effort
- 11) NUMI Effort
- 12) E907 Effort
- 13) Obligations Budget Allocations

These reports are all necessary for management to monitor progress, anticipate change, identify variances, and take appropriate action. We actually review the need for these reports several times each year and did so during FY02.

The rating on this indicator is pass=4.

Indicator 2:

Timeliness of reports produced:

The financial reports were distributed by the fourth business day after the data was available.

The rating on this indicator is Excellent=3.

Indicator 3:

Number of total reports that had to be re-issued during the year  
(where total reports equal 13 reports x 12 months = 156 total reports):

The Financial Group reviews all its work before it is distributed. Sometimes it is unavoidable that due to some oversight a report might have to be re-issued. Over the last year, only the Operating Obligations Analysis report and the Equipment Funds Status report have been re-issued. These reports had to be re-issued due to errors in a calculation after a new activity was added and the formula wasn't changed. After-the-fact errors have not been found in any of the other reports. Out of 156 total reports produced, the Operating Obligations Analysis was re-issued four times and the Equipment Funds Status report was re-issued once.

The rating on this indicator is Outstanding=4.

The overall rating for this assessment is Outstanding.

This result was calculated as follows:  $(4+3+4) / 3 = 11 / 3 = 3.66$ .

Identified opportunities for improvement

Are additional reports required for management to monitor progress, anticipate change, identify variances and take appropriate action? No.

Schedule for implementation of improvements

None

Status of improvements from previous assessment

N/A

Attachments (supporting data, worksheets, reports, etc.

- Appendix A. Example Monthly Obligation Report
- Appendix B. Example Monthly SWF, Travel and Contract Labor Report
- Appendix C. Example Monthly Total Obligations (Operating and Equipment) Report
- Appendix D. Example Monthly Overtime Chart
- Appendix E. Example Monthly Effort Report for one project  
-- the NuMI part of the NuMI / MINOS Project
- Appendix F. Sample Budget Allocation Report

Appendix A. Example Monthly Obligation Report

PARTICLE PHYSICS DIVISION  
OPERATING OBLIGATIONS ANALYSIS  
FY02-- MONTH  
(000) 10

Department	Prior Year Open Com	YTD Actual Costs	FY02 Obligations Budget	Obligations this Month	Obligations to Date	Balance (Oblig Budget - Obligs)	Target 83.3%	Mo. Linear Budget	To date Monthly Average	Balance/ Month to Go	Open Com PO's
EPP/Theory Guest & Visitors	SWF 0.0	1,034.9	1,304.9	91.5	1,034.9	270.0	79.3%	108.7	103.5	135.0	0.0
	M&S 125.8	983.0	1,112.8	68.3	1,029.2	83.6	92.5%	92.7	102.9	41.8	172.0
	TOTAL G&V 125.8	2,017.9	2,417.7	159.8	2,064.1	353.6	85.4%	201.5	206.4	176.8	172.0
Exp Physics Projects (EPP)	OP M&S 118.5	975.9	804.0	76.8	983.5	(179.5)	122.3%	67.0	98.4	(89.8)	126.1
	R&D M&S 193.6	669.8	1,123.0	86.7	633.3	489.7	56.4%	93.6	63.3	244.9	157.1
	TOTAL M&S 312.1	1,645.7	1,927.0	163.5	1,616.8	310.2	83.9%	160.6	161.7	155.1	283.2
D Zero Operations Dept (2A)	OP M&S 404.2	1,466.3	2,022.0	232.8	1,675.3	346.7	82.9%	168.5	167.5	173.4	613.2
	TOTAL M&S 404.2	1,466.3	2,022.0	232.8	1,675.3	346.7	82.9%	168.5	167.5	173.4	613.2
D Zero Upgrade (2D)	OTHER OP M&S 13.8	11.0	0.0	0.0	(2.8)	2.8	N/A	0.0	(0.3)	1.4	0.0
	TEMP HELP OP M&S 23.3	0.0	0.0	0.0	(23.3)	23.3	N/A	0.0	(2.3)	11.7	0.0
	TOTAL M&S 37.1	11.0	0.0	0.0	(26.1)	26.1	N/A	0.0	(2.6)	13.1	0.0
D Zero RUNIib (2Y)	M&S 0.0	179.2	440.8	264.6	480.3	(39.5)	109.0%	36.7	48.0	(19.8)	301.1
CDF Department (3X)	OTHER OP M&S 16.7	238.7	360.0	23.9	251.6	108.4	69.9%	30.0	25.2	54.2	29.6
	TOTAL M&S 16.7	238.7	360.0	23.9	251.6	108.4	69.9%	30.0	25.2	54.2	29.6
CDF Operations Department (3D)	OTHER OP M&S 400.6	1,049.7	1,137.7	217.8	1,115.6	22.1	98.1%	94.8	111.6	11.1	466.5
	TOTAL M&S 400.6	1,049.7	1,137.7	217.8	1,115.6	22.1	98.1%	94.8	111.6	11.1	466.5
CDF OTHER (3J)	OTHER OP M&S 5.2	0.0	0.0	0.0	(5.2)	5.2	N/A	0.0	(0.5)	2.6	0.0
	TEMP HELP OP M&S 42.2	0.0	0.0	0.0	(42.2)	42.2	N/A	0.0	(4.2)	21.1	0.0
	TOTAL M&S 47.3	0.0	0.0	0.0	(47.3)	47.3	N/A	189.6	(4.7)	23.7	0.0
CDF RUNIib (3Y)	M&S 1.2	189.5	843.9	51.7	458.9	385.0	54.4%	70.3	45.9	192.5	270.6
Division Office	OTHER OP M&S 154.9	683.3	1,069.4	53.5	569.3	500.1	53.2%	89.1	56.9	250.1	40.9
	TEMP HELP OP M&S 140.7	60.7	0.0	(0.1)	62.8	(62.8)	N/A	0.0	6.3	(31.4)	142.8
	TOTAL M&S 295.6	744.0	1,069.4	53.4	632.1	437.3	59.1%	89.1	63.2	218.7	183.7
Electrical Engineering Dept	M&S 349.0	625.1	775.0	9.7	304.4	470.6	39.3%	64.6	30.4	235.3	28.3
Mechanical Dept	M&S 22.4	329.5	450.0	13.5	325.2	124.8	72.3%	37.5	32.5	62.4	18.1
Site Dept	M&S 4.2	38.2	65.0	0.8	35.8	29.2	55.1%	5.4	3.6	14.6	1.8
Special Projects	M&S 27.8	63.9	0.0	2.3	37.8	(37.8)	N/A	0.0	3.8	(18.9)	1.7
Theory - Staff	M&S 0.0	114.3	140.0	12.5	114.3	25.7	81.6%	11.7	11.4	12.9	0.0
Support Services	M&S 68.3	254.8	524.6	6.0	309.2	215.4	58.9%	43.7	30.9	107.7	122.7
Technical Centers	M&S 96.2	736.5	905.0	104.1	709.5	195.5	78.4%	75.4	71.0	97.8	69.2
CMS Base Program	M&S 10.0	217.9	234.0	16.6	208.0	26.0	88.9%	19.5	20.8	13.0	0.1
ES&H/Building Mgmt.	M&S 96.0	366.6	405.0	34.5	308.8	96.2	76.2%	33.8	30.9	48.1	38.2
Astro Physics	M&S 23.0	81.2	90.0	1.4	59.0	31.0	65.6%	7.5	5.9	15.5	0.8
MINOS Soudan Facility Ops (2L)	M&S 87.6	331.5	415.0	1.3	243.9	171.1	58.8%	34.6	24.4	85.6	0.0
MINOS Base Program (2N)	M&S 0.0	37.8	96.0	8.1	37.8	58.2	39.4%	8.0	3.8	29.1	0.0
<b>TOTAL PPD (Minus CMS SWF listed below)</b>	M&S 2,425.1	9,704.4	13,013.2	1,286.8	9,880.1	3,133.1	75.9%	1,084.4	988.0	1,566.6	2,600.8
	SWF 0.0	35,129.0	40,996.9	3,363.2	35,129.0	5,867.9	85.7%	3,416.4	3,512.9	2,934.0	0.0
	TOTAL 2,419.7	44,833.4	54,010.1	4,650.0	45,009.1	9,001.0	83.3%	4,500.8	4,500.9	4,500.5	2,600.8
<b>TOTAL PPD (BALANCES TO DIR COST REP BY DIV)</b>	<b>2,425.2</b>	<b>44,833.4</b>	<b>54,010.1</b>	<b>4,650.0</b>	<b>45,009.1</b>	<b>9,001.0</b>	<b>83.3%</b>	<b>4,500.8</b>	<b>4,500.9</b>	<b>4,500.5</b>	<b>2,600.8</b>
CMS Operating Project	M&S 5,269.2	11,107.9	11,651.5	154.8	7,881.7	3,769.8	67.6%	971.0	788.2	1,884.9	2,043.0
Plus CMS Project SWF	SWF 0.0	0.3	0.0	(5.2)	0.3	(0.3)	N/A	0.0	0.0	(0.2)	0.0
Plus CMS Project G&A	G&A 0.0	22.5	400.0	(0.2)	22.5	377.5	5.6%	33.3	2.3	188.8	0.0
CMS Maintenance & Operations	M&S 0.0	0.0	295.6	295.6	295.6	0.0	100.0%	24.6	29.6	0.0	295.6
<b>CMS Operating Total</b>	<b>5,269.2</b>	<b>11,130.7</b>	<b>12,347.1</b>	<b>445.0</b>	<b>8,200.1</b>	<b>4,147.0</b>	<b>66.4%</b>	<b>1,028.9</b>	<b>820.0</b>	<b>2,073.5</b>	<b>2,338.6</b>
<b>MINOS PROJECT (5N)</b>	<b>187.2</b>	<b>440.6</b>	<b>484.3</b>	<b>0.0</b>	<b>253.4</b>	<b>230.9</b>	<b>52.3%</b>	<b>40.4</b>	<b>25.3</b>	<b>115.5</b>	<b>0.0</b>
<b>TOTAL PPD</b>	<b>7,881.6</b>	<b>56,404.7</b>	<b>66,841.5</b>	<b>5,095.0</b>	<b>53,462.5</b>	<b>13,379.0</b>	<b>80.0%</b>	<b>5,570.1</b>	<b>5,346.3</b>	<b>6,689.5</b>	<b>4,939.4</b>

NOTE: P.O.'S = PURCHASE ORDERS AND ARE "HARD" (REAL) OBLIGATIONS; RIPS = REQUISITIONS IN PROCESS AND ARE "SOFT" COMMITMENTS (THEY CAN BE CANCELLED OR REJECTED).

## Appendix B. Example Monthly SWF, Travel and Contract Labor Report

### SWF BREAKDOWN:

PPD REGULAR EMPLOYEES SWF OP	0.0	34,883.0	40,846.9	3,334.8	34,883.0	5,963.9	85.4%	3,403.9	3,488.3	2,982.0	0.0
PPD TERM EMPLOYEES SWF OP (SZD)	0.0	222.9	120.0	26.9	222.9	(102.9)	185.8%	10.0	22.3	(51.5)	0.0
PPD ON-CALL EMPLOYEES SWF OP (SZE)	0.0	23.1	30.0	1.5	23.1	6.9	77.0%	2.5	2.3	3.5	0.0
<b>TOTAL PPD OPERATING SWF</b>	<b>0.0</b>	<b>35,129.0</b>	<b>40,996.9</b>	<b>3,363.2</b>	<b>35,129.0</b>	<b>5,867.9</b>	<b>85.7%</b>	<b>3,416.4</b>	<b>3,512.9</b>	<b>2,934.0</b>	<b>0.0</b>

### PPD TRAVEL:

EPP Guests & Visitors	0.0	21.7	5.0	(0.8)	21.7	(16.7)	434.0%	0.4	2.2	(8.4)	0.0
EPP Department	0.0	283.6	340.0	24.1	283.6	56.4	83.4%	28.3	28.4	28.2	0.0
D-ZERO (2A)	0.0	47.9	35.0	9.1	47.9	(12.9)	136.9%	2.9	4.8	(6.5)	0.0
D-ZERO RUNIib (2Y)	0.0	3.1	0.0	0.1	3.1	(3.1)	N/A	0.0	0.3	(1.6)	0.0
CDF RUNIib (3Y)	0.0	0.8	0.0	0.2	0.8	(0.8)	N/A	0.0	0.1	(0.4)	0.0
CDF Department (3X)	0.0	8.6	25.0	0.8	8.6	16.4	34.4%	2.1	0.9	8.2	0.0
CDF Operations (3D)	0.0	9.2	7.0	0.1	9.2	(2.2)	131.4%	0.6	0.9	(1.1)	0.0
Division Office Management Reserve	0.0	1.3	0.0	0.3	1.3	(1.3)	N/A	0.0	0.1	(0.6)	0.0
Division Office Foreign Travel (4RFT)	0.0	136.8	100.0	34.6	136.8	(36.8)	136.8%	8.3	13.7	(18.4)	0.0
Division Office Project Review Travel (4TOE)	0.0	7.4	5.0	1.8	7.4	(2.4)	148.0%	0.4	0.7	(1.2)	0.0
Division Office Snowmass (BTP)	0.0	(2.1)	0.0	0.0	(2.1)	2.1	N/A	0.0	(0.2)	1.1	0.0
Special Projects	0.0	3.8	0.0	0.0	3.8	(3.8)	N/A	0.0	0.4	(1.9)	0.0
Plant Projects	0.0	0.3	0.0	0.0	0.3	(0.3)	N/A	0.0	0.0	(0.2)	0.0
Theor Physics-Staff	0.0	53.3	45.0	7.1	53.3	(8.3)	118.4%	3.8	5.3	(4.2)	0.0
CMS Project	0.0	63.4	100.0	17.8	63.4	36.6	63.4%	8.3	6.3	18.3	0.0
CMS Base Program	0.0	110.7	115.0	12.8	110.7	4.3	96.3%	9.6	11.1	2.2	0.0
Support Services	0.0	3.8	50.0	1.3	3.8	46.2	7.6%	4.2	0.4	23.1	0.0
Electrical Engineering Dept	0.0	5.7	15.0	0.0	5.7	9.3	38.0%	1.3	0.6	4.7	0.0
Mechanical Dept	0.0	5.4	20.0	0.0	5.4	14.6	27.0%	1.7	0.5	7.3	0.0
Site Dept (BHS)	0.0	0.1	0.0	0.0	0.1	(0.1)	N/A	0.0	0.0	(0.1)	0.0
Technical Centers	0.0	16.3	30.0	5.5	16.3	13.7	54.3%	2.5	1.6	6.9	0.0
ES&H	0.0	0.0	5.0	0.0	0.0	5.0	0.0%	0.4	0.0	2.5	0.0
Astro	0.0	11.4	45.0	0.6	11.4	33.6	25.3%	3.8	1.1	16.8	0.0
MINOS Project	0.0	36.9	40.0	13.8	36.9	3.1	92.3%	3.3	3.7	1.6	0.0
MINOS Base Program	0.0	28.9	30.0	4.4	28.9	1.1	96.3%	2.5	2.9	0.6	0.0
<b>Total PPD TRAVEL</b>	<b>0.0</b>	<b>858.3</b>	<b>1,012.0</b>	<b>135.6</b>	<b>858.3</b>	<b>153.7</b>	<b>84.8%</b>	<b>84.3</b>	<b>85.8</b>	<b>/6.9</b>	<b>0.0</b>

PPD TEMPORARY (CONTRACT) HELP:	Current Temp Help Count	Open Committe PO's	YTD Actual Costs	FY02 Obligations Budget	Obligations this Month	Obligations to Date	Balance (Budget - Costs)	Target 83.3%	Mo. Linear Budget	To date Actual AveraKe	Balance/ Month to Go	Open Com PO's
PPD CONTRACT HELP DIV OFFICE OP	0.0	182.9	60.7	0.0	(0.1)	20.6	(20.6)	N/A	0.0	2.1	(10.3)	142.8
PPD CONTRACT HELP D0 OP	0.0	23.3	0.0	0.0	0.0	(23.3)	23.3	N/A	0.0	(2.3)	11.7	0.0
PPD CONTRACT HELP CMS EQ	0.0	95.0	223.5	0.0	0.7	215.8	(215.8)	N/A	0.0	21.6	(107.9)	87.3
PPD CONTRACT HELP CDMS OP	1.0	0.0	34.0	0.0	0.0	43.2	(43.2)	N/A	0.0	4.3	(21.6)	9.2
<b>TOTAL PPD CONTRACT HELP</b>	<b>1.0</b>	<b>301.2</b>	<b>314.8</b>	<b>0.0</b>	<b>0.6</b>	<b>256.3</b>	<b>(256.3)</b>	<b>N/A</b>	<b>0.0</b>	<b>25.6</b>	<b>(128.2)</b>	<b>239.3</b>

Special Operating Projects	Prior Year Open Comm.	YTD Actual Costs	Inception to Date Budget	Obligations this Month	Obligations to Date	Balance	Target 83.3%	Mo. Linear Budget	To date Monthly Average	Balance/ Month to Go	Open Com PO's
<i>Glast-ACD-TDA'S-NASA</i>	M&S 0.0	23.2	46.6	0.0	23.2	23.4	49.8%	5.8	2.3	11.7	0.0
<i>(Tech Centers) (QNA) SWF</i>	SWF 0.0	48.6	69.9	0.0	48.6	21.3	69.5%	9.7	4.9	10.7	0.0
<b>TOTAL</b>	<b>Total 0.0</b>	<b>71.8</b>	<b>116.5</b>	<b>0.0</b>	<b>71.8</b>	<b>44.7</b>	<b>61.6%</b>	<b>15.5</b>	<b>7.2</b>	<b>22.4</b>	<b>0.0</b>

### PPD MODIFIED CONTRACTS:

Total Contract Value	Total Invoiced	Balance
686.9	372.8	314.1

NOTE: THE TRAVEL AND TEMPORARY HELP BUDGETS AND COSTS ARE INCLUDED IN THE TOTAL M&S BUDGET AND COSTS AND INCLUDES ALL FUND TYPES; OPERATING (OP), EQUIPMENT (EQ) AND PLANT (PL).  
OPEN COMMITMENTS DO NOT INCLUDE THE MODIFIED CONTRACTS BALANCE.

Appendix C. Example Monthly Total Obligations (Operating and Equipment) Report

**PARTICLE PHYSICS DIVISION  
TOTAL OBLIGATIONS SUMMARY  
FY02-- MONTH: 10**

31-Jul-02

CMS PROJECT											
Equipment Funds	Current	Current	Obligation	Allocation	RIPS	YTD					
	Allocation	Month	To Date	Balance		Actuals					
SWF	2,500.0	198.6	2,083.1	416.9	0.0	2,083.1					
M&S	3,127.4	182.5	2,517.7	609.7	162.2	494.3					
<b>TOTAL</b>	<b>5,627.4</b>	<b>381.1</b>	<b>4,600.8</b>	<b>1,026.6</b>	<b>162.2</b>	<b>2,577.4</b>					
<i>CMS EQ G&amp;A</i>	<i>1,000.0</i>	<i>86.6</i>	<i>875.9</i>	<i>124.1</i>	<i>0.0</i>	<i>875.9</i>					
<b>ADJUSTED CMS TOTAL</b>	<b>6,627.4</b>	<b>467.7</b>	<b>5,476.7</b>	<b>1,150.7</b>	<b>162.2</b>	<b>3,453.3</b>					
Operating R&D	Current	Current	Obligation	Allocation	Target	Mo.	To Date	Balance	Open Commitments		
	Obligation	Month	To Date	Balance	%	Linear	Actual	/Month	To Go	PO's	RIPS
SWF	0.0	-5.2	0.3	-0.3	N/A	0.0	0.0	-0.2	0.0	0.0	0.0
M&S	11,651.5	154.8	7,881.7	3,769.8	67.6%	971.0	788.2	1,884.9	2,043.0	1,086.0	
G&A	400.0	-0.2	22.5	377.5	5.6%	33.3	2.3	188.8	0.0	0.0	
<b>TOTAL</b>	<b>12,051.5</b>	<b>149.4</b>	<b>7,904.5</b>	<b>4,147.0</b>	<b>65.6%</b>	<b>1,004.3</b>	<b>790.5</b>	<b>2,073.5</b>	<b>2,043.0</b>	<b>1,086.0</b>	

CDMS PROJECT											
Equipment Funds	Current	Current	Obligation	Allocation	RIPS	YTD					
	Allocation	Month	To Date	Balance		Actuals					
SWF	0.0	0.0	0.0	0.0	0.0	0.0					
M&S	1,744.5	275.0	1,051.8	692.7	15.0	710.0					
<b>TOTAL</b>	<b>1,744.5</b>	<b>275.0</b>	<b>1,051.8</b>	<b>692.7</b>	<b>15.0</b>	<b>710.0</b>					
Operating R&D	Current	Current	Obligation	Allocation	Target	Mo.	To Date	Balance	Open Commitments		
	Obligation	Month	To Date	Balance	%	Linear	Actual	/Month	To Go	PO's	RIPS
SWF	0.0	0.0	0.0	0.0	N/A	0.0	0.0	0.0	0.0	0.0	0.0
M&S	0.0	0.0	0.0	0.0	N/A	0.0	0.0	0.0	0.0	0.0	0.0
<b>TOTAL</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>	<b>N/A</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>

MINOS PROJECT											
Equipment Funds	Current	Current	Obligation	Allocation	RIPS	YTD					
	Allocation	Month	To Date	Balance		Actuals					
SWF	1,100.0	72.5	817.7	282.3	0.0	817.7					
M&S	13,548.3	922.1	10,663.0	2,885.3	753.4	9,520.4					
<b>TOTAL</b>	<b>14,648.3</b>	<b>994.6</b>	<b>11,480.7</b>	<b>3,167.6</b>	<b>753.4</b>	<b>10,338.1</b>					
Operating R&D	Current	Current	Obligation	Allocation	Target	Mo.	To Date	Balance	Open Commitments		
	Obligation	Month	To Date	Balance	%	Linear	Actual	/Month	To Go	PO's	RIPS
SWF	0.0	0.0	0.0	0.0	N/A	0.0	0.0	0.0	0.0	0.0	0.0
M&S	484.3	0.0	253.4	230.9	52.3%	40.4	25.3	115.5	0.0	0.0	0.0
<b>TOTAL</b>	<b>484.3</b>	<b>0.0</b>	<b>253.4</b>	<b>230.9</b>	<b>52.3%</b>	<b>40.4</b>	<b>25.3</b>	<b>115.5</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>

PPD TOTAL FUNDING (EXCLUDING GLAST)											
Operating	Current	Current	Obligation	Allocation	Target	Mo.	To Date	Balance	Open Commitments		
	Obligation	Month	To Date	Balance	%	Linear	Obligation	/Month	To Go	PO's	RIPS
SWF	40,996.9	3,358.0	35,129.3	5,867.6	85.7%	3,416.4	3,512.9	2,933.8			
M&S	25,444.6	1,737.2	18,310.8	7,133.8	72.0%	2,120.4	1,831.1	3,566.9	4,939.4	2,265.2	
<b>TOTAL</b>	<b>66,441.5</b>	<b>5,095.2</b>	<b>53,440.1</b>	<b>13,001.4</b>	<b>80.4%</b>	<b>5,536.8</b>	<b>5,344.0</b>	<b>6,500.7</b>			
<i>CMS OP G&amp;A</i>	<i>400.0</i>	<i>-0.2</i>	<i>22.5</i>	<i>377.5</i>	<i>5.6%</i>						
<b>ADJUSTED OP TOTAL</b>	<b>66,841.5</b>	<b>5,095.0</b>	<b>53,462.6</b>	<b>13,378.9</b>	<b>80.0%</b>						
Equipment	Current	Current	Obligation	Allocation	RIPS	YTD					
	Allocation	Month	To Date	Balance	%	Actuals					
SWF	3,600.0	271.1	2,900.8	699.2	0.0	2,900.8					
M&S	20,033.7	1,522.3	15,194.9	4,838.8	932.7	12,139.4					
<b>TOTAL</b>	<b>23,633.7</b>	<b>1,793.4</b>	<b>18,095.7</b>	<b>5,538.0</b>	<b>932.7</b>	<b>15,040.2</b>					
<i>CMS EQ G&amp;A</i>	<i>1,000.0</i>	<i>86.6</i>	<i>875.9</i>	<i>124.1</i>	<i>0.0</i>	<i>875.9</i>					
<b>ADJUSTED EQ TOTAL</b>	<b>24,633.7</b>	<b>1,880.0</b>	<b>18,971.6</b>	<b>5,662.1</b>	<b>932.7</b>	<b>15,916.1</b>					
Total Op and Eq	Current	Current	Obligation	Allocation	RIPS	YTD					
	Allocation	Month	To Date	Balance	%	Actuals					
SWF	44,596.9	3,629.1	38,030.1	6,566.8	0.0	47,734.2					
M&S	46,878.3	3,259.5	33,505.7	13,372.6	3197.9	47,328.7					
<b>TOTAL</b>	<b>91,475.2</b>	<b>6,888.6</b>	<b>71,535.8</b>	<b>19,939.4</b>	<b>3197.9</b>	<b>95,062.9</b>					

Appendix D. Example Monthly Overtime  
Chart



Appendix E. Example Monthly Effort Report for the NuMI part of the NuMI / MINOS Project

NUMI\_FINAL\_Project Effort\_FY02

		184	160	152	168	160	168	176	176	160	
		FY02 Avg	23	20	19	21	20	21	22	22	
DEPT		Mthly FTE	Oct-01	Nov-01	Dec-01	Jan-02	Feb-02	Mar-02	Apr-02	May-02	Jun-02
MD	Mech Sr Tech Aide	0.02			0.08	0.13	0.00				
MD	Designer	0.32		0.20	0.32	0.48	0.65	0.53	0.70	0.66	0.75
MD	Mech Tech II	0.02			0.08		0.08				
MD	Mech Eng II	0.69	0.45			1.00	1.00	1.00	0.50	1.00	0.95
MD	Design Drafter	0.04					0.15		0.02		0.15
MD	Mech Eng II	0.24	0.35			0.30	0.50	0.15	0.30	0.55	0.25
EED	Drafter Sr	0.01	0.09				0.00				
MD	Designer	0.34	0.99	1.00	1.00		1.00	1.00	0.50	1.00	1.00
TC	Mech Sr Tech Aide	0.01								0.09	
EED	Elect Eng III	0.08	0.30	0.32	0.10	0.10	0.00				
MD	Mech Tech Spec	0.02	0.20				0.00				
MD	Mech Tech II	0.01			0.03		0.00	0.02			
MD	Mech Eng II	0.25	0.80	0.72	0.70	0.30	0.00				
EED	Elec Tech Spec	0.03									
MD	Designer	0.19	0.25	0.53	0.32	0.30	0.00		0.05	0.05	0.13
MD	Mech Eng Assoc Sr	0.16	0.20	0.10	0.10	0.15	0.20	0.05	0.05	0.25	0.20
MD	Eng Phy III	0.02							0.05		
EED	Sr Tech Aide	0.02				0.20	0.00				
MD	Mech Tech II	0.01									
MD	Design Drafter	0.12							0.59	0.57	0.05
MD	Operations Spec Sr	0.01						0.11			
EED	Elec Tech Spec	0.02					0.15				
MD	Design Drafter Sr	0.22				0.29	0.00	0.10	0.99	0.27	
MD	Design Drafter Sr	0.59	0.83	0.39	0.90	0.95	0.98	0.83	1.00		
MD	Designer	0.30	0.50	1.00	1.00	0.45	0.27	0.78	1.00		
MD	Mech Eng II	0.98	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	0.85
MD	Design Drafter Sr	0.04			0.37		0.00				
MD	Mech Tech II	0.01						0.10	0.05		
MD	Design Drafter Sr	0.88	0.81	0.85	0.95	0.80	0.99	0.93	1.00	0.77	0.95
MD	Eng Phy I	0.12					0.05			0.25	0.80
MD	Mech Eng III	0.88	0.90	1.00	0.75	1.00	0.85	0.50	0.85	1.00	0.95
MD	Mech Sr Tech Aide	0.09									0.34
MD	Mech Designer	0.63	0.85	1.00	1.00	0.40	1.00	1.00	1.00		
MD	Mech Eng III	0.98	0.85	1.00	1.00	1.00	1.00	1.00	1.00	1.00	0.95
MD	Mech Eng III	0.14	0.60	0.20			0.00		0.20	0.40	
TC	Sr Tech Aide	0.08							0.80		
MD	Designer	0.98	0.80	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00
MD	Mech Sr Tech Aide	0.08									0.21
MD	Mech Eng Assoc Sr	0.90	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00
MD	Mech Eng III	0.44	0.40	0.35	0.15	0.60	0.70	0.85	0.10	0.25	0.25
MD	Designer	0.30	1.00	1.00	1.00		0.00				
MD	Mech Eng II	0.70		0.95	0.70		0.95	0.95	0.95	0.90	0.70
MD	Design Drafter Sr	0.87	0.83	0.78	0.84	0.90	0.88	0.81	0.82	0.97	0.90
<b>project</b>		<b>13.70</b>	<b>13.99</b>	<b>14.39</b>	<b>14.58</b>	<b>12.36</b>	<b>14.39</b>	<b>13.71</b>	<b>15.51</b>	<b>12.99</b>	<b>12.38</b>

<b>ON PROJECT SUMMARY (\$K)</b>	0.0
SWF Budget	1,000.0
Estimated Effort Costs per this worksheet (PPD only)	960.6
*NUMI Project YTD SWF Costs per GL (all effort) (Include PPD effort transfer up to the prior month)	826.7
% of SWF Budget Costed	82.7%

\*The YTD SWF Costs per GL includes overtime and into SWF Costs per GL only include PPD effort transfers u since PPD reports its effort one month in arrears.



## Appendix F. Sample Budget Allocation Report

**PARTICLE PHYSICS DIVISION OBLIGATIONS BUDGET ALLOCATIONS  
FY 2002**

22-Jul-98

	Current			Change			Revised		
	SWF	M&S	Total	SWF	M&S	Total	SWF	M&S	Total
<b>HEP OPERATING (KA)</b>									
<b>SUMMARY:</b>									
CDF Operations	0.0	1137.7	1137.7	0.0	0.0	0.0	0.0	1,137.7	1,137.7
CDF Department	0.0	360.0	360.0	0.0	0.0	0.0	0.0	360.0	360.0
CDF RunIIb	0.0	843.9	843.9	0.0	0.0	0.0	0.0	843.9	843.9
CMS Base Program	6.0	234.0	240.0	0.0	0.0	0.0	6.0	234.0	240.0
D Zero Operations	0.0	2022.0	2022.0	0.0	0.0	0.0	0.0	2,022.0	2,022.0
D Zero RunIIb	0.0	440.8	440.8	0.0	0.0	0.0	0.0	440.8	440.8
Electrical Engineering Dept.	0.0	775.0	775.0	0.0	0.0	0.0	0.0	775.0	775.0
ES &H/ Bldg Management	0.0	405.0	405.0	0.0	0.0	0.0	0.0	405.0	405.0
Experimental Physics Projects	241.6	1927.0	2168.6	0.0	0.0	0.0	241.6	1,927.0	2,168.6
EPP Guests	1304.9	1037.8	2342.7	0.0	75.0	75.0	1,304.9	1,112.8	2,417.7
Mechanical Department	0.0	450.0	450.0	0.0	0.0	0.0	0.0	450.0	450.0
MINOS Base Program	0.0	96.0	96.0	0.0	0.0	0.0	0.0	96.0	96.0
MINOS Soudan Facility Operation	0.0	415.0	415.0	0.0	0.0	0.0	0.0	415.0	415.0
Particle Physics Division Office	39444.4	1069.4	40513.8	0.0	0.0	0.0	39,444.4	1,069.4	40,513.8
Site Department	0.0	65.0	65.0	0.0	0.0	0.0	0.0	65.0	65.0
Special Projects	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Support Services	0.0	164.6	164.6	0.0	360.0	360.0	0.0	524.6	524.6
Technical Centers	0.0	905.0	905.0	0.0	0.0	0.0	0.0	905.0	905.0
Theoretical Astrophysics	0.0	90.0	90.0	0.0	0.0	0.0	0.0	90.0	90.0
Theoretical Physics	0.0	140.0	140.0	0.0	0.0	0.0	0.0	140.0	140.0
<b>Total Division Base Program</b>	<b>40996.9</b>	<b>12578.3</b>	<b>53575.1</b>	<b>0.0</b>	<b>435.0</b>	<b>435.0</b>	<b>40,996.9</b>	<b>13,013.3</b>	<b>54,010.1</b>

**HEP Operating Allocation History**

PPD Operating Initial Allocation ----->	51,922.0
PPD FY01 Operating Carryover ----->	250.0
Add'l allocation from DOE for USPAS Director-July ----->	240.0
Add'l allocation from DOE for USPAS JAS2002 Conf-July ----->	120.0
Italian Summer Students funds received in May Fin Plan ----->	25.0
SWF Transfer to Computing Division (G.B. 12202)-Jan ----->	-81.0
SWF Add'l allocation from Directorate for G&V Support (G.B. CJA)-Jan ----->	32.0
Add'l allocation from Directorate for UTA forward funding (DZero) ----->	42.0
SWF Transfer to Technical Division (R.K. 3329)-Feb ----->	-99.6
SWF Transfer from Computing Division (V.O. 10674)-Mar ----->	56.0
SDSS Transfer from Beams-April ----->	60.0
CDF Additional Allocation for RunIIb ----->	843.9
DZero Additional Allocation for SIFT ----->	84.0
DZero Additional Allocation for RunIIb ----->	440.8
G&V (CDF ITEP Russians-4KAM) transferred from Directorate to PPD in July ----->	75.0
<b>Total HEP Operating Allocation -----&gt;</b>	<b>54,010.1</b>