FY11 Research Plan
Goal Setting and Budgets

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August 26, 2010
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Desired Outcomes for the Budget and Planning Exercise

- Align Goals and Resources
  - Input to revising “Lab Agenda” currently underway
  - “Lab Budget” due ~Oct. 15; dictates the timing of the exercise
  - Provide PPA management and department heads with a set of well-defined goals for the coming year
  - Organized on near-, mid- and long-term time scales
    - Critical outcomes (5-10 years) define long-term goals
    - Strategic (2-5 years) define intermediate steps to critical outcomes
    - Tactical (0-2 years) connects directly to individual performance goals
  - Transparency
  - Ability to make difficult decisions
  - Ability to relocate and prioritize based on program needs, schedules, and financial constraints
Desired Outcomes for the Budget and Planning Exercise

• Provide a baseline for the year to which we will be accountable for execution and budget accuracy
• Validate resources and align funding with other directorates
  – Input to planning by other directorates, e.g. professional center rates, scientific computing
  – HEP funding/program direction to ARD
• Current exercise is just the start of a year long process with a mid-year check point on goals and forecasts
Background and Key Assumptions

Planning Criteria

• Importance and impact of science opportunity includes long-term goals as a laboratory HEP effort
• Alignment with national priorities: HEPAP, P-5, PASAG, ASTRO2010, etc
• Coherence of overall PPA plan
• Match to current or future capabilities
• Availability of core research staff and/or faculty
• Responding to and supporting user community
## Background and Key Assumptions

### Financial Situation – FY10 Financial Model

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<th>FY12 Forecast</th>
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### Strategy:

- For FY2010 and FY2011, use FY09 carry-forward and manage head count, including possible migration to other areas at SLAC.
- By FY2012 reduce impact of indirects and program support changes by ~50% of FY2010 levels. The remaining financial impact is absorbed through headcount management.
- Projected evolution of HEP share of installed computing hardware onsite and reductions in service levels will reduce computing recharge costs by ~50%.
Background and Key Assumptions

Financial Situation – FY10 Financial Model

• Worked toward an agreed FY2012 model for SLAC HEP
  – Used “Scenario A’ Super B” (assumes minimal investment in Super B and no additional funding for an inflation adjustment in FY11) with a step of $4.3M in FY2012 core funding to partially offset financial model impacts. - (not certain what we will get this in 2012).

• Implementation in FY2010 and FY2011
  – Projected planned budgets in FY2010 and FY2011 to match FY2012 model
  – Positioned carry-forward in B&R accounts to offset anticipated impact of indirects rate and/or computing recharge costs
  – Technical complications:
    • Can only move carry-forward within a restricted set of B&R codes and otherwise need to move current year allocations
  – Created a full list of changes and worked with office to implement most of these in the August financial plan, and some in September
Background and Key Assumptions

Financial Situation – Other

- Planning on a six-month continuing resolution
  - Expect 11/12 of the FY11 funding and “no new starts”
  - “No new starts” means that projects can proceed with R&D, but new MIEs cannot be started possibly delaying CD-1 reviews; this may impact e.g. LSST
  - Minimize new hires and M&S

- Quarterly apportionment
  - OMB has decided to expand the practice of apportion approved funding on quarterly basis to DOE programs effective Oct 1, 2010.
  - This means that we won’t receive our annual funding up front, but on quarterly basis depending on our spending plan.
  - It will force an increased level of forecast accuracy to +/- 5%, and we need to plan the purchase timing of large M&S items.
## Expected Financial Plan for FY2011

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**Notes:**
- Assumes SP/ND indicates and does not include Sci Comp Re-Change Cost
- Doesn’t include ANA, FACET and Early Career Award, linear/Non and HI-End
- Assume A" Super R for FY11, slightly modified
- 25% Salary increase and inflation - TBM Insurance from FY10 to FY11
Budget Direction for FY2011

• FY11 PPA financial situation is very critical
  – Funding is limited and the financial envelope is already defined for most programs
• Counting with natural reduction in BABAR and some ARD migration to LCLS II to mitigate the FY10 “Financial Model Impact”
  – High level of uncertainty and limited funding for the Super B program in FY11
• During FY11 we will run out of non-fenced carry forward leaving PPA and HEP-AD vulnerable to additional funding fluctuations
• Expectations are that FY12 will also be a difficult year
Budget Direction for FY2011

• As a result, this year’s annual budget will be somewhat different from previous exercises
  – Not truly a bottoms-up exercise, but rather a validation of current head count-FTE assumptions
  – Minimal allocation for M&S and travel based on historical usage
  – Will discuss specific M&S program needs, but in general M&S and travel will be very tight

• In addition, there will be targeted exercises to answer a handful of very specific programmatic questions
Budget Direction for FY2011
Developing a PPA Research Plan

- Lab management plan incorporates a commitment that each Directorate will annually develop and/or revise its “business” or research plan
  - Directorate level implementation plan for “lab agenda” currently under discussion and revision
    - Lab agenda = “what, when, who”, with measurable strategic outcomes
    - PPA plan = “How” and the details of how we measure outcomes
  - Informs priorities for Operations and Accelerator Directorates
- Input from all Directorates discussed yesterday in the senior management retreat
  - Good progress and now interacting on revised lab-level plan
SLAC Agenda - PPA

- Targeted programs in particle physics, particle astrophysics & cosmology
  - Establish a leading dark energy science program
  - Establish SLAC as major partner in next generation direct dark matter search
  - Retain SLAC as a world leader intensity frontier quark flavor physics
  - Engage in LHC upgrade program
  - Play a leading US role in initiating next generation particle astrophysics experiments, such as CTA or EXO, through CD-0
- Premier electron accelerator laboratory
  - Establish fundamental electron and positron acceleration properties for PWFA and secure CD-0 for demonstration phase for PWFA collider
  - Establish warm x-band technology for warm energy frontier collider and other science applications
SLAC Agenda - PPA

PPA

- Execute the construction of the LSST camera and develop the data management system
- Execute the fabrication of SuperCDMS sensors and construct germanium towers for SNOLab
- Execute the design and construction of collider and detector systems for a high-luminosity next generation B-factory project
- Support the optimal performance of the Fermi LAT instrument and the delivery of high quality data to the scientific collaboration
- Steward a device development program that supports ultrafast x-ray detector and PPA science programs at SLAC (Joint with LCLS & SSRL)

HEP accelerator R&D

- Execute PWFA research program to demonstrate electron/positron acceleration properties with FACET; advance proposals for PWFA demonstration phase following FACET
- Secure funding from non HEP sources to execute coherent research, development, and industrialization projects for X-band technology
SLAC Agenda - PPA

**PPA**
- Execute CD-2 on LSST and define and propose dark energy science center
- Execute CD-2 on Super CDMS project
- Secure a 5-year extended mission (2013-2018) from NASA and DOE for the Fermi GST
- Perform critical R&D and develop high-luminosity next generation B-factory project through CD-2
- With LCLS & SSRL identify leader of detector R&D program by Q2 FY11
- Identify and recruit key leaders

**HEP accelerator R&D**
- Identify and recruit key leadership, a wider research community and a concrete initial research program for PWFA at FACET; concept development for FACET II
- Identify and consolidate core competencies in high gradient and RF source technology
- Develop international partnerships and a proposal for a coherent research, development and industrialization proposal for x-band program
FY11 Key Questions & Actions

• Proton Research and ATLAS M&O:
  – Complete implementation of planned Atlas profile and stabilize current scope

• Electron Research
  – Understand manpower needs with or without SuperB
  – Implementation plan for Heavy Photon/APEX and impact on SiD

• BABAR Computing
  – Plan, scope and schedule for archival system (software)
  – Retirement schedule for the end-of-lifetime computing equipment
FY11 Key Questions & Actions

• Nonaccelerator Research
  – Overall constraint on total KA13 budget
  – CDMS
    • Ramp-up plan for CDMS SNOLab R&D in accordance with funding envelope
  – LSST
    • Ramp-up LSST R&D in anticipation of the project start
    • Need to define the minimum and desired level of funding required pre-CD1 and pre-CD2
  – EXO
    • Stabilize EXO 200 it moves from commissioning to operations; minimize full EXO R&D within the funding envelope
FY11 Key Questions & Actions

– CTA
  • Need to understand the level of funding available from DOE for the R&D collaboration and SLAC effort

– Computational Cosmology
  • Minimal level of investment in while computational cosmology proposal is in preparation and under review

• Accelerator Science and Development
  – Ramp-up PWFA and reduce Accelerator Development in accordance with funding envelope

• ILC
  – Potential for reduced national investment in 2011

• FACET Operations
  – Operations/AIPs and support for the experimental program
  – Need a bottoms-up estimate first and then need to align on the funding model with BES
FY11 Key Questions & Actions

• Detector R&D
  – Interesting projects exceed funding and we need prioritize possible activities; needs leadership to be run as a program

• ESTB
  – Need an updated plan and ongoing operations proposal

• PEP MMS/ D&D
  – We are assuming MMS completion in 2010 and D&D planning and design in 2011
  – Need to identify a team to do the design and planning
  – Need to define a budget, scope and schedule for FY11

• Scientific Computing Re-Charge
  – Ongoing lab-level discussions about funding model
FY11 Key Questions & Actions

• G4, SPIRES and SciDB
  – Size programs to available funding; currently preparing a proposal to DOE for SPIRES funding

• Professional Service Centers: REGM, REGE, SCA
  – Need a head count model that matches projected funding from anticipated PPA and non-PPA customers
  – Need to also ensure viability of center operations
Plan Specifics and Timelines
Roles and Responsibilities

• PPA: David MacFarlane/William Wisniewski/Rafael Alva
  – Overseeing all HEP funds

• Financial Analysts:
  – Kan Fong: PPA DO, PPA Travel Commitment Files, KIPAC Theory, Theory, O&E Cosmology, CDMS, Atlas, G4/SPIRES & Prof Center Comp.
  – Linda Price: Fermi ISOC, Fermi Physics, BABAR Physics & Collaboration; ATLAS, Super B, Detector R&D and SiD, Professional Centers REGM, REGE, SCA
  – Robert Woods: LSST, EXO, JDEM, DES, PEP MMS
Plan Specifics and Timelines

- Budget planning assume 52% Indirects and 10% Program Support
- Headcount actions continue to require Directorate approval:
  - Replacement
  - Extension
  - Additions
- Using WBS = Current Programs
- Moving to full visibility of total budget including overhead vs. budgeting at direct budget level only
- Focus on headcount
  - Program Directors work with supporting departments to define the scope of work and understand the resources required to carry out the work
Plan Specifics and Timelines

- M&S will need to be planned by month
- Bottoms up and prioritized approach to travel budget planning
  - Travel is controlled by DOE
  - Cannot swap between M&S and Travel
  - Conference Approval – long lead time – 75 Days
  - Mandatory Planning Tool: PPA Travel Logs
- Travel and M&S is going to be very tight! Plan accordingly
Plan Specifics and Timelines

• Plan for approved LDRD Proposals
  – PPA will have a few approved LDRD proposals

• Other Important factors to consider
  – Identify possible non-DOE/HEP funding
  – Identify early the need for Financial Plan Transfers\MPOs for National Labs and University Subcontracts for Universities
    • Long lead time
    • Might need Subcontracts

• Purchased Equipment, CEPs and GPP/Infrastructure
  – Include in the Budget Template
  – Same due date

• Tasks and activity schedules
  – Needs in FY11 for long-lead procurements
# PPA Budget Templates

**Column A - Annual KS 5 is only required for M&S Budget**

- To add a row: 1) select the entire row that contains similar information to what you want to add, 2) right click and select "copy" and 3) select the entire row below where you want to insert, 4) right click and select "insert copied row" and 5) select "delete"

**To delete a row:** 1) select the entire row, 2) right click and select "delete".

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**SAFETY, ACCESSIBILITY, TRANSPARENCY, AND INCLUSION**

PPA Document: PPA Budget Planning - August 26, 2010

PPA Budget Planning: August 26, 2010 Page 25
# FY11 Budget Planning Timeline

## FY11 Budget and FY10 Close Time line

<table>
<thead>
<tr>
<th>Event</th>
<th>August</th>
<th>September</th>
<th>October</th>
<th>November</th>
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<tbody>
<tr>
<td></td>
<td>16 - 20</td>
<td>23 - 27</td>
<td>30 - 3</td>
<td>6 - 10</td>
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<td>13 - 17</td>
<td>20 - 24</td>
<td>27 - 1</td>
<td>4 - 8</td>
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<td>11 - 15</td>
<td>18 - 22</td>
<td>25 - 29</td>
<td>1 - 5</td>
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<td>1 - 5</td>
<td>8 - 12</td>
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</table>

### Budget FY 11
- **Kick-off**
- Dept Mgrs Prepare Input
- Dept Mgrs and Fin Analyst Prepare Budget
- Prof Center Rates
- Dept Reviews with DMCF
- Division Reviews
- Consolidation and Final Review
- Preparation for Lab Review
- ALDs Meeting
- Communication of Approved Budget to Dept Mgrs.
- Publish 1st Report

### FY 10 Close
- Implement FY10 FPT
- Last day for Time Sheet rev
- Accruals
- PS/ Prof Centers and Indirects
- True-up

Budget Frozen
## FY11 Budget Planning Process and Schedule

<table>
<thead>
<tr>
<th>When</th>
<th>What</th>
<th>Who</th>
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</thead>
<tbody>
<tr>
<td>Aug 26 – 31, 2010</td>
<td>Templates with budget information and guidance to Dept Heads</td>
<td>Financial Analyst</td>
</tr>
<tr>
<td>Aug 30 – Sept 17 2009</td>
<td>Initial budget roll up for PPA and budget meeting with Financial Analyst</td>
<td>Dept Mgrs. and PPA Planning Office</td>
</tr>
<tr>
<td>Sept 3</td>
<td>PPA Prof Center rates ready</td>
<td>REGM, REGE, SCA and Financial Analyst</td>
</tr>
<tr>
<td>Sept 13 to Oct 1st</td>
<td>Dept review FY11 plan PPA management</td>
<td>Dept Mgr, Fin Analyst and PPA Mgt.</td>
</tr>
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</table>

<table>
<thead>
<tr>
<th>When</th>
<th>What</th>
<th>Who</th>
</tr>
</thead>
<tbody>
<tr>
<td>Oct 4</td>
<td>Budget frozen</td>
<td>PPA Fin Analyst and Dept Mgrs</td>
</tr>
<tr>
<td>Oct 4 to Oct 12</td>
<td>Final PPA plan and prepare for Lab review</td>
<td>PPA Dir &amp; Planning/Div Heads</td>
</tr>
<tr>
<td>Oct 15</td>
<td>Lab review</td>
<td>PPA Mgmt</td>
</tr>
<tr>
<td>Oct 29</td>
<td>Final budget communicated to Dept Mgrs</td>
<td>PPA Mgmt and Fin Analyst</td>
</tr>
</tbody>
</table>
Input to research plan

• Examples
  – BABAR D&D:
    • Tactical: Complete the removal of the barrel DIRC and EMC, and dismantling of barrel steel
    • Strategic: Complete D&D to make components available for SuperB
  – LSST:
    • Tactical: Complete sensor prototype and vendor qualification
    • Strategic: Execute development plan for CD-1 and CD-2 reviews; develop a plan for dark energy science center
    • Critical Outcomes: Precision exploration of dark energy enabled

• Action:
  – Prepare 1-2 transparencies that organize your thoughts on tactical, strategic, and critical outcomes for your department
  – Will form the basis for discussions with PPA management in July and development of the PPA research plan
Plan Specifics and Timelines
Homework Summary

- Homework for PPA Departments in preparation for management review
  - Provide summary of program goals (see back-up)
  - Review head count assumptions with financial planners
  - Address key programmatic questions
  - Highlight special programmatic M&S needs and indicate priorities
  - Prepare slide highlighting program strengths and weaknesses, as well as opportunities and risks
New DOE Office of Science approval requirements for attending “events”
## 2011 Program High Level Direction

<table>
<thead>
<tr>
<th>Expectations</th>
<th>Programs</th>
<th>Direction</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mature and well defined Programs</td>
<td>Theory, FGST, KIPAC Theory O&amp;E, FACET MIE, BABAR D&amp;D, RF sources, Det. R&amp;D</td>
<td>Already defined or flat, possible reduction to enable growth in other areas</td>
</tr>
<tr>
<td>Realignment</td>
<td>ATLAS, HEP Computing and Electron (BABAR &amp; SiD)</td>
<td>Decrease based in DOE direction</td>
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<tr>
<td>Two Scenarios:</td>
<td><strong>LSST and Super B</strong></td>
<td>Program specific</td>
</tr>
<tr>
<td>Other HEP - AD</td>
<td><strong>EXO 200, PEP-MMS, FACET Ops., CDMs</strong></td>
<td>Program specific but with DOE funding constraints</td>
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<tr>
<td>Bottoms-up</td>
<td>JDEM, DES</td>
<td>Negotiated with lead lab for R&amp;D $s otherwise only science support</td>
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<tr>
<td>Other Lab Support</td>
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<tr>
<td>Incubators</td>
<td>CMB, CTA (previously AGIS), KIPAC Computing, Heavy Photon</td>
<td>Partially Funded with LDRD and small incremental DOE funding otherwise funded by redirection from other programs.</td>
</tr>
<tr>
<td>Professional Centers</td>
<td>REGE, REGM &amp; CSA</td>
<td>Size in accordance to programmatic funding</td>
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Note: Sci. Computing Re-charge currently under revision for affordability

NATIONAL ACCELERATOR LABORATORY