

# Department of Energy

# United States Senate

Senator Tom Coburn, MD

May 4, 2011

Via U.S. Mail and Email ( )

Mr. Steven Chu  
Secretary  
United States Department of Energy  
Forrestal Building; Room 7B138  
1000 Independence Avenue, SW  
Washington, DC 20585-0800

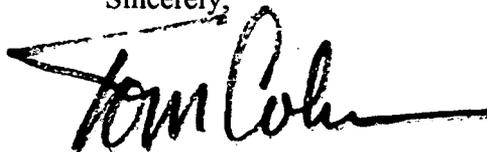
Dear Secretary Chu:

The Department of Energy provides benefits to certain individuals through a number of programs. These programs include, but are not limited to: (1) Inventions and Innovation Grants; (2) Carbon Capture and Storage – FutureGen 2.0; (3) Advanced Research and Projects Agency – Energy Financial Assistance Program; (4) Fossil Energy Research and Development Program; and (5) a number of other specific cooperative agreements and grants to individuals.

I am interested in learning about the individuals that receive funds or benefits through these programs. For the programs listed above, please provide the following information for all individuals that received any payment from these programs during Fiscal Years 2007, 2008, 2009 and 2010, who also reported income of \$1,000,000 or greater through any agency measurement of income (such as Adjusted Gross Income): (1) name of individual; (2) total reported income for the Fiscal Year in which the payment was made; (3) name of each program the individual received benefits through; (4) amount of benefits received from each program; and (5) total amount of all program benefits received during each Fiscal Year. This information should be produced in an electronic usable format, such as Microsoft Excel.

Please provide the above information by May 18, 2011. If you have any questions, including the format in which the information should be produced, please contact /

Sincerely,



Tom Coburn, M.D.  
United States Senator



## Department of Energy

Washington, DC 20585

June 8, 2011

The Honorable Tom Coburn, M.D.  
United States Senate  
Washington, DC 20510-3604

Dear Senator Coburn:

I am responding to your May 4, 2011, letter to Secretary Chu requesting information on individuals that receive funds or benefits through Department of Energy (DOE) programs in Fiscal Years 2007, 2008, 2009 and 2010, and who also reported income of \$1,000,000 or greater.

Unlike other agencies, with some small exceptions, DOE does not have programs with benefits or direct payments to individuals. The majority of DOE's financial assistance dollars are used predominantly in two ways. The first is discretionary awards in research, development and demonstration programs that require facilities and other resources beyond the reach of an individual. In particular, the cost sharing requirements of the Energy Policy Act 2005 make participating in DOE's programs problematic for single individuals. The second means for distributing DOE funding is through formula awards to state, local and tribal governments, and environmental management grants to communities around DOE facilities. There are a few other smaller programs, but they are targeted to specific activities generally not open to individuals.

For the discretionary awards, each DOE program office determines which opportunities will receive funding, and who is eligible to receive that funding based on a variety of factors, including program authorizations and appropriations, and that program office's portion of the DOE mission. Only one program, Energy Efficiency and Renewable Energy's (EERE) "Inventions and Innovations Program," has a component aimed at individual researchers. EERE, however, has not funded that piece of the program in over ten years. Other programs may indicate in their program listing in the Catalog of Federal Domestic Assistance (CFDA) that individuals may be eligible for award, but the actual program opportunities may not include individual eligibility or, as discussed above, individuals may not have the resources to apply as the prime or may not be eligible for the funding opportunities available in any given fiscal year.

Moreover, since so few awards are given to individuals, DOE does not have a policy of reviewing the reported income of award winners.



We have reviewed our records for the four years identified in your letter and the enclosed spreadsheet provides the information on all individuals that received payments under DOE programs in the applicable fiscal years. In total, three individuals were funded under CFDA Number 81.121, Nuclear Energy Research, Development and Demonstration. Each individual received payments to support the Generation IV International Forum (GIF) Economic Model Working Group (EMWG). The EMWG upgraded existing nuclear-economic models and developed new ones where required to produce the Integrated Nuclear Energy Economics Model, providing standardized and credible economic evaluations of Gen IV nuclear energy systems by the GIF. The product of the EMWG's efforts is contained in *Cost Estimating Guidelines for Generation IV Nuclear Energy Systems* (2007). These guidelines provide a way to develop cost estimates for the development, design, construction/production, fuel cycle, energy products, and modularization of GIF nuclear energy systems.

If you have any questions please contact [redacted]  
Intergovernmental Affairs, at [redacted]

Office of Congressional and

Sincerely,



Ingrid Kolb  
Director  
Office of Management

Enclosure

Individuals Receiving Funds through Department of Energy Programs  
FY 2007-2010

Enclosure

	A	B	C	D	E	F	G	H
1								
2	Contract Awardee Name	GL Period Name	CFDA Code	CFDA Description	Payment	Organization	Description Of Work	Type of Business Description
3	GEOFFREY ROTHWELL	10-Sep	81.121	NUCLEAR ENERGY RESEARCH, DEVELOPMENT AND DEMONSTRATION	22,632.00	Nuclear Energy	NEW COOPERATIVE AGREEMENT AWARD FOR SUPPORT GENERATION IV PROGRAM - ECONOMICS MODELING GROUP	INDIVIDUAL
4		9-Sep	81.121	NUCLEAR ENERGY RESEARCH, DEVELOPMENT AND DEMONSTRATION	32,029.00	Nuclear Energy	NEW COOPERATIVE AGREEMENT AWARD FOR SUPPORT GENERATION IV PROGRAM - ECONOMICS MODELING GROUP	INDIVIDUAL
5		8-Sep	81.121	NUCLEAR ENERGY RESEARCH, DEVELOPMENT AND DEMONSTRATION	35,040.00	Nuclear Energy	NEW COOPERATIVE AGREEMENT AWARD FOR SUPPORT GENERATION IV PROGRAM - ECONOMICS MODELING GROUP	INDIVIDUAL
6		7-Sep	81.121	NUCLEAR ENERGY RESEARCH, DEVELOPMENT AND DEMONSTRATION	59,533.00	Nuclear Energy	NEW COOPERATIVE AGREEMENT AWARD FOR SUPPORT GENERATION IV PROGRAM - ECONOMICS MODELING GROUP	INDIVIDUAL
7	GEOFFREY ROTHWELL Sum:				149,234.00			
8	ONOPKO, EUGENE	10-Sep	81.121	NUCLEAR ENERGY RESEARCH, DEVELOPMENT AND DEMONSTRATION	19,818.62	Nuclear Energy	THIS BASIC AWARD IS A RESULT OF A NON-COMPETITIVE ACTION AND NO FUNDING ANNOUNCEMENT WAS UTILIZED. THIS FINANCIAL ASSISTANCE AWARD WILL PROVIDE FOR MR. EUGENE ONOPKO'S CONTINUED SUPPORT OF THE GENERATION IV INTERNATIONAL FORUM'S ECONOMIC MODEL WORKING GROUP.	INDIVIDUAL
9		9-Sep	81.121	NUCLEAR ENERGY RESEARCH, DEVELOPMENT AND DEMONSTRATION	29,501.78	Nuclear Energy	INTEGRATED NUCLEAR ECONOMICS MODEL	INDIVIDUAL
10					35,992.90		THIS BASIC AWARD IS A RESULT OF A NON-COMPETITIVE ACTION AND NO FUNDING ANNOUNCEMENT WAS UTILIZED. THIS FINANCIAL ASSISTANCE AWARD WILL PROVIDE FOR MR. EUGENE ONOPKO'S CONTINUED SUPPORT OF THE GENERATION IV INTERNATIONAL FORUM'S ECONOMIC MODEL WORKING GROUP.	INDIVIDUAL
11		9-Sep	81.121	NUCLEAR ENERGY RESEARCH, DEVELOPMENT AND DEMONSTRATION	42,211.22	Nuclear Energy	INTEGRATED NUCLEAR ECONOMICS MODEL	INDIVIDUAL
12		7-Sep	81.121	NUCLEAR ENERGY RESEARCH, DEVELOPMENT AND DEMONSTRATION	58,699.21	Nuclear Energy	INTEGRATED NUCLEAR ECONOMICS MODEL	INDIVIDUAL
13	ONOPKO, EUGENE Sum:				196,223.73			
14	RASIN WILLIAM H	10-Sep	81.121	NUCLEAR ENERGY RESEARCH, DEVELOPMENT AND DEMONSTRATION	48,168.00	Nuclear Energy	INTEGRATED NUCLEAR ECONOMICS MODEL	INDIVIDUAL
15		9-Sep	81.121	NUCLEAR ENERGY RESEARCH, DEVELOPMENT AND DEMONSTRATION	48,389.00	Nuclear Energy	INTEGRATED NUCLEAR ECONOMICS MODEL	INDIVIDUAL
16		9-Sep	81.121	NUCLEAR ENERGY RESEARCH, DEVELOPMENT AND DEMONSTRATION	62,156.00	Nuclear Energy	INTEGRATED NUCLEAR ECONOMICS MODEL	INDIVIDUAL
17		7-Sep	81.121	NUCLEAR ENERGY RESEARCH, DEVELOPMENT AND DEMONSTRATION	78,809.00	Nuclear Energy	INTEGRATED NUCLEAR ECONOMICS MODEL	INDIVIDUAL
18	RASIN WILLIAM H Sum:				235,540.00			