



WN Funding Requests

Lawrence Berkeley
National Laboratory

Financial Policies and Procedures

Part I

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| Primary contact: | Manager, Direct Budget |

Summary

LBNL receives a limited amount of WN funding authority each year for Work for Others sponsors that are precluded by law or statute from paying in advance. This policy allows the Budget Office and the Deputy Director to allocate and manage WN funds in support of the LBNL mission and in a manner consistent with Department of Energy (DOE) guidelines.

Policy

Sponsor Criteria

B&R WN Funds Authority can be requested for the following Work for Others sponsors:

- Non-Federal entities where the sponsor is precluded by law or statute from providing advance payment, which are typically State and Local Governments. All requests will be reviewed and approved by the Budget Office on a case by case basis.
- Non-Federal entities other than a State or Local Government will need to be reviewed and approved by BSO/DOE.

Approval Process and Criteria

Requests for WN that are included in the DOE Field Budget submission process which is done two years prior to being funded by the current year's funding authority level will be considered on a first come, first served basis and managed by the Budget Office.

- If a request is received after the current year's ceiling has been expended it may be funded by using carryover funding. Provided that there is carryover funds available the request will be approved based on funds availability and institutional needs.

Requests for WN that are not included in the DOE Field Budget Submission process will be approved based on funds availability and institutional needs.

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- The Deputy Director has authorized the Budget Office to approve individual requests based on the availability of funds.
- Requests for WN can be approved prior to having a signed contract in place but the approval is only valid for six months. If it takes longer than six months to get the contract signed the WN request will have to be resubmitted to the Budget Office for approval.
- Requests with signed contracts have priority.

The request must include the following signatures before WN Funds are released:

| Signor | Authorization/Description |
|---|---|
| Principal Investigator | Formal requestor |
| Business Manager | Signifies divisional approval |
| SPO Contracts Officer | Certifies that sponsor meets the WN funding criteria and a contract has been signed or is currently under negotiations. For Non-Federal sponsors other than state and local governments, certifies that use of WN requires DOE approval. |
| Berkeley Site Office (BSO) Financial Manager (if applicable) | Certifies that sponsor meets WN funding criteria. |
| Budget Officer | Certifies that WN Funds Authority is available. Dependent on the amount of funds available the Deputy Director may be required to review and approve. |
| Deputy Director for Operations (or designate)* | Allocation of WN Funds Authority is appropriate. |

*The Budget Office will review each request and forward to the Deputy Director for approval as necessary.

Procedures

Roles and Responsibilities

Resource Analyst

- Prepares and completes the WN Funding Request Form. Works with the Budget Office if there is any question on whether or not the sponsor meets the criteria.
- Coordinates and obtains the required signatures, the form must be signed by the Principal Investigator and Business Manager.

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- Upon project completion, the Division Resource Analyst will notify the Budget Office of any unexpended funds.

SPO Contracts Officer

- Reviews and signs the request form.
- The request form is forwarded to the Budget Office for review and approval with a copy of the state statute, which states that the sponsor is prohibited from paying in advance.

Budget Office

- The request form is reviewed.
- Coordinates approvals (if applicable) from BSO* and the Deputy Director.
- Informs the Resource Analyst and the SPO Contracts Officer whether the request has been approved by the Budget Office or sent to the BSO* or the Deputy Director for approval. The SPO Contracts Officer will be informed by e-mail upon final approval.
- Any unexpended funds are to be released to the Budget Office and will be utilized based on institutional needs.

*BSO only approves appropriateness of sponsor, not the allocation of WN Funding Authority.

Authority and Contacts

BSO (DOE Berkeley Site Office)

Glossary

- **B&R:** Budget and reporting code.
- **BARC:** Budget and reporting classification.
- **BSO:** DOE Berkeley Site Office.
- **Field Budget Submission:** DOE Annual Budget Call each spring for inclusion in the President's Budget presented to Congress. Field budget formulation takes place two years prior to the execution year.

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- **Non Federal entity:** An entity that is not part of the Federal Government.
- **WN:** Cost of the Work for Others program under the Office of Management, Budget and Evaluation Assistant Secretary.
- **WN Carryover funding:** WN Budget Authority obligated in prior fiscal years that is not associated with a specific contract and unexpended balances from complete projects. The DOE has authorized use of carryover funds for projects that meet the WN criteria

Related documents

- WN Funding Request Form (link to Word doc)
- [DOE BARC Report](#)
- [DOE Accounting Handbook, Chapter 13 paragraph 2g\(2\)\(f\)](#)