



WN Funding Requests

Lawrence Berkeley
National Laboratory

Financial Policies and Procedures

Part I

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Primary contact:	Manager, Direct Budgets

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 an advance. This policy allows the Budget Office and the Deputy Director for Operations 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 an advance, primarily State and Local Governments. All requests will be reviewed and approved on a case by case basis. The sponsor must reimburse the Government for all costs incurred.
- Requests where the sponsor is a Non-Federal entity other than a State or Local Government. These must be reviewed and approved by the DOE.

Approval Process and Criteria

Any request included in the DOE Field Budget submission two years prior to be 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.

- Because requests can often exceed the current year's funding level, requests received after the current year's ceiling has been expended may be funded by using carryover funding if available. The Deputy Director for Operations will review and approve all such requests.

Any request not included in DOE Field Budget Submission will be presented to the Deputy Director for Operations for approval. Approval will be based on funds availability and institutional needs.

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- The Deputy Director for Operations has authorized the Budget Office to approve individual requests up to \$15,000, for a maximum of \$100,000 annually.
- The approval of a WN request without a signed contract expires after six months if the contract has not been signed. If this occurs, 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	Purpose of Signature
Principal Investigator	Formal requestor
Division Director	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. For individual requests <\$15,000 not included in DOE Field Budget Submissions, for a maximum of \$100,000 annually, allocation of WN funds authority is appropriate.
Deputy Director for Operations (or designate)*	Allocation of WN funds authority is appropriate.

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

Procedures

Once it is determined/anticipated that a WFO sponsor is precluded by law or statute from providing an advance, requestors complete a WN Funding Request Form. The form must be signed by the Principal Investigator, Division Director, and SPO Contracts Officer and submitted to the Budget Office for review.

Budget Office reviews the WN Funding Request Form and informs the requestor and SPO Contracts Officer whether the request has been approved by the Budget Office, or sent to the BSO* or the Deputy Director for Operations for approval. The requestor and SPO Contracts Officer will be informed by e-mail upon final approval. The Budget Office will notify the requestor by phone if there are any problems.

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Upon project completion, the Division Resource Analyst will notify the Budget Office of unexpended funds. Unexpended funds are to be released to the Budget Office and will be utilized based on institutional needs.

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

Authority

BSO (DOE Berkeley Site Office)

Contacts

- WFO Analyst, Budget Office
- Manager, Sponsored Projects Office (SPO)
- Manager, Direct Budgets

Glossary

- **B&R:** Budget and Reporting code.
- **BARC:** Budget and Reporting Classification.
- **BSO:** DOE Berkeley Site Office.
- **Field Budget Submission:** The 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.
- **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.
- **Non Federal Entity:** An entity that is not part of the Federal Government.
- **Work-For-Others (WFO):** Work for non-DOE entities performed by DOE/contractor personnel and/or utilize DOE facilities and are not directly funded by DOE appropriations. Work is in accordance with DOE Order 481.1C.
- **WN:** Cost of Work for Others program under the Office of Management, Budget and Evaluation Assistant Secretary.

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Related Documents

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