

Non-Department of Energy Fellowship Process at LBNL

Background

The [UC-DOE Prime Contract \(Contract 31\)](#), Part I, [Section C.4 \(b\)\(1\)](#), identifies the education and training of future generations of scientists and engineers to promote the Department of Energy's (DOE) national science and education goals as part of the mission of Berkeley Lab (LBNL).

In accordance with the guidance provided to LBNL in memo dated 09/22/2017 from the DOE Berkeley Site Office (BSO) Contracting Officer Maria Robles to LBNL CFO Kim Williams, LBNL may accept non-DOE fellowships under the criteria set forth under this policy. LBNL further determines that fellowships must involve training which directly benefits LBNL or enhances the capability to carry out the mission of the lab. The memo states that fellowship proposals need not be submitted to BSO for approval prior to award, unless the activity is being funded by a federal interagency agreement requiring DOE acceptance.

Criteria

Non-DOE fellowships are research projects fully funded by non-DOE entities and must meet the following requirements:

- 1) Are consistent with or complementary to DOE and Laboratory missions;
- 2) Do not adversely impact execution of assigned programs;
- 3) Would not place the Laboratory in direct competition with the domestic private sector; and
- 4) Would not create a detrimental future burden on DOE resources.

Further, the Laboratory defines non-DOE fellowships as awards where all of the following conditions apply:

- 1) The award is made to a named individual or for the benefit of a named individual. Substitution of the training fellow is not permitted;
- 2) The sponsor's intent in making the award is to provide support solely for training of the named individual in the early stages of his or her career. Training for these purposes is defined as the acquisition of new scientific skills or techniques necessary to function independently in the area in which the training has occurred;
- 3) Any salary support is restricted to the fellow;
- 4) The scope of the training fellowship activity is proposed and developed by the fellow, subject to the review and approval of LBNL;
- 5) The activity provides a direct benefit to LBNL work or enhances the capability of the LBNL to carry out its mission;
- 6) Receipt of any combination of non-DOE training fellowship awards while at the LBNL is limited to a total of five years for a specific level of training, i.e. pre-doctoral or post-doctoral; and
- 7) The fellowship award is determined through a formal selection process.

Process

Proposals

The LBNL Contracts Officers (CO) have the authority to submit non-DOE fellowship proposals. This authority has been delegated by the Berkeley Lab Director to submit proposals. Proposals to receive fellowships from U.S. sponsors need not be submitted to BSO for approval prior to award if the award is solely for the purpose of funding a fellowship, with the following exceptions:

- CO's will submit requests for waiver of the Federal Administrative Charge to BSO for approval if the request for waiver is based on the sponsor's status as a small business, non-profit organization, state or local government, university, or the National Institutes of Health (NIH). If the waiver request is based on the nature of work, the concurrence of the DOE program manager that the work proposed meets the criteria of the Controller's guidance memorandum is required;
- Fellowship proposals to non-U.S. entities must be submitted to BSO for review and approval prior to acceptance of a fellowship.

Awards

The CO's have the authority to negotiate and process non-DOE fellowship awards.

Federal

For non-NIH federal sponsors, the awarding mechanism is an interagency agreement or similar agreement issued under the Economy Act. Agreements issued under the Economy Act are submitted to BSO for acceptance by the DOE CO.

For NIH, under the Memorandum of Understanding between DOE and NIH dated June 18, 1998, the awarding mechanism is a grant award issued to the Regents with standard NIH terms. NIH fellowship awards are reviewed and accepted by the CO. Notification of award is sent to BSO upon activation by the CO.

Non-Federal

The awarding mechanism is a) a standard Strategic Partnerships Project (SPP) agreement, or b) a sponsor agreement so long as there are no terms which conflict with Contract 31. Should there be any conflict in the sponsor agreement with Contract 31 or question as to acceptability, the CO will submit a Request for Non-Standard Negotiated Terms to BSO for review and approval.

Accounting

The Office of the Chief Financial Officer (OCFO) accounts for funding and costs of fellowships in the same manner as all other SPP projects. Contract authorization is under the same authority as all other SPP projects.

Federal

The standard federal SPP accounting process using federal budget SPP authorities governs the accounting process. Sponsors are billed monthly for costs incurred against the authorized amount of funding.

Non-Federal

A cash advance is required prior to the start of work. Sponsors are then billed monthly, with payments provided either by check or wire transfer.