Indirect Burdens Applied to Training Fellowships and Sponsored Research Career Development Projects

Brief

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BRIEF

Policy Summary

This policy defines the Non-DOE Training Fellowship, the Sponsored Research Career Development Project, and their related indirect burden treatment.

Who Should Read This Policy

Berkeley Lab employees who work on proposals and projects related to DOE fellowships, Non-DOE Training Fellowships, and Sponsored Research Career Development Fellowships

To Read the Full Policy, Go To:

The POLICY tab on this wiki page

Contact Information

Indirect Budget Manager, Budget Office, Office of the Chief Financial Officer (OCFO)

Policy

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POLICY

A. Purpose

This policy defines the Non-DOE Training Fellowship, Sponsored Research Career Development Projects, and their related indirect burden treatment.

B. Persons Affected

This policy applies to employees who work on proposals and projects related to DOE Fellowships, Non-DOE Training Fellowships, and Sponsored Research Career Development Fellowships at Lawrence Berkeley National Laboratory (Berkeley Lab).

C. Exceptions

Not applicable
D. Policy Statement

1. DOE Fellowships, Non-DOE Training Fellowships, and Strategic Partnership Projects (SPP) Career Development Projects are excluded from the application of organization burdens; Associate Laboratory Directorate (ALD) burdens; and Office of Homeland Security, General and Administrative (General, Site Support, Off-site), Laboratory Directed Research and Development (LDRD), and Institutional General Plant Project (IGPP) rates.

2. In order to qualify as a DOE or Non-DOE Training Fellowship or a Sponsored Research Career Development Project, the project must meet the following conditions:
   a. It is a formal fellowship or career-development program that is funded and approved by either DOE or a non-DOE sponsor. The fellowships/training selections are based on a formal application and review process. The selection of individuals is based on pre-established criteria reviewed by a selection board.
   b. The fellowship/training is for a named individual or for the benefit of a named individual. Substitution of the fellow/trainee is not permitted.
   c. The intent is to provide support 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.
   d. A mentor is assigned to the fellow to ensure the fellow works towards becoming an independent researcher.
   e. The training provides a direct benefit to Berkeley Lab work or enhances the capability of Berkeley Lab to carry out its mission.
   f. Receipt of any combination of fellowship and/or awards while at Berkeley Lab is limited to a total of five years for a specific level of training, i.e., predoctoral or postdoctoral.

3. DOE/Non-DOE Training Fellowship and Sponsored Research Career Development projects meeting the criteria above are exempt from the following indirect rates:
   a. Organization burdens.
   b. Area burdens.
   c. General and Administrative (General, Site Support, Off-site).
   e. LDRD.
   f. IGPP.

E. Roles and Responsibilities

Managers, supervisors, and employees have the responsibility to ensure that a proposal or project qualifies as a training fellowship or Sponsored Research career development project before indirect rates are exempt.

<table>
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<tr>
<th>Division Role</th>
<th>Responsibility</th>
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</table>
| Requester for Fellowship/Sponsored Research Career Development proposal or project | • Completes a Non-DOE Fellowship Training Indirect Exemption Approval Form.  
• Obtains Budget Office approval before submitting these types of proposals.  
• Creates unique project IDs to capture and properly burden the cost of the fellowship/Sponsored Research career-development project. |
| Division Director, Deputy Division Director, or the Business Manager | • Signs the Non-DOE Fellowship Training Indirect Exemption Approval Form.  
• Submits the signed form to the Indirect Budget Group of the Budget Office for review. |
| Budget Office Role | Responsibility |
| Indirect Budget Group | • Reviews and approves/declines the Non-DOE Fellowship Training Indirect Exemption Approval Form.  
• Informs the requester, the Sponsored Projects Office, and the SPP Group by e-mail.  
• Works with the division to ensure that proper burdens are applied. |
| Budget Office | • Ensures the Indirect Budget Group has approved these projects before opening these types of projects. |
| OSPIP CO Role | Responsibility |
| Strategic Partnerships Office (SPO) Contracts Officer | • Ensures approval from the Budget Office is received prior to approving any proposals.  
• Ensures approval from the Budget Office is received prior to setting up these types of projects. |

F. Definitions/Acronyms

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<th>Term</th>
<th>Definition</th>
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Lawrence Berkeley National Laboratory. The official or current version is located in the online LBNL Requirements and Policies Manual. Printed or exported versions are not official. Users are responsible for working with the latest approved revision.
Organization burden indirect rates
Rate applied to recover the costs for the general management and administration of the scientific and support divisions or departments at Berkeley Lab

Area burden rates
Rate applied to recover the activities related to the management, supervision, and administration of the Associate Laboratory Directorate

General and Administrative (General, Site Support, Off-site) indirect rate
Rate applied to recover costs of the management and administration of Berkeley Lab as a whole

Office of Homeland Security (OHS) indirect rate
Rate applied to recover the costs of technical programmatic oversight of Berkeley Lab’s Homeland Security, Proliferation Detection, Counterterrorism, and Intelligence research and development

Laboratory Directed Research and Development (LDRD) indirect rate
Rate applied to recover the costs of LDRD projects

Institutional General Plant Project (IGPP) indirect rate
Rate applied to recover the costs of IGPP projects

G. Recordkeeping Requirements
None

H. Implementing Documents

<table>
<thead>
<tr>
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<th>Title</th>
<th>Type</th>
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<tbody>
<tr>
<td>11.02.016.001</td>
<td>Non-DOE Fellowship Training Indirect Exemption Approval Form</td>
<td>Form</td>
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<tr>
<td>11.02.003.001</td>
<td>Cost Accounting Standards Board (CASB) Disclosure Statement, Lawrence Berkeley National Laboratory</td>
<td>Official Guidance</td>
</tr>
</tbody>
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I. Contact Information
Indirect Budget Manager, Budget Office, OCFO

J. Revision History

<table>
<thead>
<tr>
<th>Date</th>
<th>Revision</th>
<th>By Whom</th>
<th>Revision Description</th>
<th>Section(s) Affected</th>
<th>Change Type</th>
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<tbody>
<tr>
<td>4/22/2013</td>
<td>0</td>
<td>L. Freeman</td>
<td>New policy</td>
<td>All</td>
<td>Major</td>
<td>All</td>
<td>Minor</td>
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<tr>
<td>9/5/2018</td>
<td>1.1</td>
<td>L. Freeman</td>
<td>Periodic review, edits for clarity of existing policy; update WFO to SPP</td>
<td>All</td>
<td>Minor</td>
<td>All</td>
<td>Minor</td>
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Source Requirements Documents

- Cost Accounting Standard 401, *Consistency in Estimating, Accumulating and Reporting Costs*
- Cost Accounting Standard 402, *Consistency in Allocating Costs Incurred for the Same Purpose*
- Cost Accounting Standard 406, *Cost Accounting Period*
- Cost Accounting Standard 418, *Allocation of Direct and Indirect Costs*

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