Sponsored Research Awards — Financial Certifications

Brief

Title: Sponsored Research Awards — Financial Certifications
Publication date: 6/25/2018
Effective date: 1/15/2011

BRIEF

Policy Summary

This policy defines the requirements for Berkeley Lab's financial officials to certify costs for select Sponsored Research award documents.

Who Should Read This Policy

Any Laboratory employee who certifies costs for Sponsored Research award documents.

To Read the Full Policy, Go To:

The POLICY tab on this wiki page

Contact Information

Reimbursable Group Budget Manager

Policy

Title: Sponsored Research Awards — Financial Certifications
Publication date: 6/25/2018
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POLICY

A. Purpose

The purpose of this policy is to define the requirements and procedures for Lawrence Berkeley National Laboratory (Berkeley Lab) financial officials who are required to certify costs for select Sponsored Research award documents.

B. Persons Affected

All Laboratory employees who certify costs for Sponsored Research award documents.

C. Exceptions

Not applicable

D. Policy Statement

Berkeley Lab is responsible for administering the terms and conditions of Sponsored Research awards. Funding sponsors may require financial certification (e.g., periodic/annual/final closeout financial status reports and invoice statements) of costs associated with work being performed at Berkeley Lab. These reports/certification documents are submitted to the sponsor to update the financial status of work performed and/or to seek cost reimbursement. Additionally, Berkeley Lab is responsible for attesting or certifying project costs are appropriate, allocable, accurate, and complete.
E. Roles and Responsibilities

<table>
<thead>
<tr>
<th>Role</th>
<th>Responsibility</th>
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| Principal investigator or designee  | • Manages, directs, and performs work in support of Sponsored Research awards.  
                                           • Certifies costs are appropriate, allocable, accurate, and complete for work performed and reflected on the invoice. As appropriate, the PI or division director may delegate the responsibility of invoice certification to a division business or financial manager or resource analyst.  
                                           • In those instances where a cost certification on a financial status report (e.g., periodic, annual, final, etc.) also requires certifying the integrity of the Laboratory’s Financial Management System, the division designee submits the completed Division Cost Certification Form via e-mail to ARHelp@lbl.gov within the contract time limit.  
                                           • The Division Cost Certification Form (for the periodic/annual/close-out financial status report) certifies that costs incurred are appropriate, allocable, accurate, and complete. The form is primary backup documentation for the RG’s internal control, auditing, and financial-integrity purposes. |
| Reimbursable Group (RG)             | • Serves as the authorized fiscal officer, certifying costs on the affected contract award documents (i.e., periodic/annual/close-out financial status reports).  
                                           • Certifies the costs incurred are appropriate, allocable, accurate, and complete to the sponsor via e-mail, unless the award terms state otherwise.  
                                           • Certifies the integrity of Berkeley Lab's Financial Management System.  
                                           • Provides limited certification if the division's supporting documentation (e.g., Division Cost Certification Form) is not included. This certification is limited to the date and amounts of advance payments, invoice payments, and/or invoice numbers. |

F. Definitions/Acronyms

<table>
<thead>
<tr>
<th>Term</th>
<th>Definition</th>
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<tr>
<td>Principal investigator (PI)</td>
<td>The individual ultimately responsible for meeting the terms of a project proposal, including the scope of work, the schedule, and the budget.</td>
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<tr>
<td>Sponsored Research</td>
<td>The performance of work for non-Department of Energy (DOE) entities by DOE/contractor personnel and/or the use of DOE facilities that are not directly funded by DOE appropriations.</td>
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G. Recordkeeping Requirements

None

H. Implementing Documents

None.

I. Contact Information

Reimbursable Group Budget Manager

J. Revision History

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<th>By Whom</th>
<th>Revision Description</th>
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<td>3/23/18</td>
<td>1.2</td>
<td>M. Fix</td>
<td>Update for OSPIP/IPO change: WFO to SPP change: Clarify R&amp;R</td>
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<td>1.1</td>
<td>Franier</td>
<td>Review completed 1/31/2013, no changes</td>
<td>Pub &amp; next review dates</td>
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<td>1/2/2012</td>
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<td>Reformat for wiki</td>
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Source Requirements Documents

- University of California Contracts and Grant Manual: Chapter 6, Financial-General

Implementing Documents

To be determined