

Guidelines for Use of FRA Discretionary Funds

1. Parent Policy and Related Policies/Guidelines

Policy for Use of FRA Discretionary Funds

2. Purpose

The purpose of this procedure is to define, outline and communicate the guidelines for the usage of Fermi Research Alliance, LLC. (FRA) Discretionary Funding. Discretionary Funds are intended to be used for expenditures that are not allowable on Department of Energy (DOE) contract funds. The below guidelines apply to the use of all Discretionary Funds provided by FRA. Failure to adhere to these guidelines may result in reduced or no reimbursement for charges incurred. Use of the available, limited FRA Discretionary Fund is subject to internal and external audit review.

3. Applicability

This procedure applies to FRA and all its employees and Fermilab users.

4. Effective Date and Date Reviewed/Updated

These guidelines went into effect October 1, 2020

5. Guidelines

Process Overview

FRA (Fermi Research Alliance) funds are limited and can be used to pay for “unallowable” DOE Contract expenses (such as lunch, dinner, receptions, alcohol, etc.). Please refer to the Conference Office’s “Allowable/Unallowable Costs List” for specific items to be shared only with fellow Fermilab personnel. ([Conference Office Allowable/Unallowable Costs List](#))

DOE Contract funds are used for coffee breaks, meals, when over 50% of the participants are from outside the lab (i.e., “Non-Local” definition), and other items and contingencies as specifically outlined in the DOE Contract Funds policy ([Policy Use of Contract Funds for Food](#)).

If outside participation is less than 50%, FRA funds are used at the approval of the Directorate to cover lunches, dinners, receptions, alcohol, and items that cannot be funded by registration fees or DOE Contract funds. Collaboration meetings, as well as most workshops, meetings, and conferences, should be funded with available registration fees.

FRA Funding Approval – Submitted to the Directorate office for signature in the form of:

[FRA One Time Funding Request Form](#)

Reimbursements – Submitted in the form of:

[General Accounting Payment Request Form](#)

[Petty Cash Voucher](#)

Funding Request Procedure

FRA funding must be requested via the appropriate FRA Request Form (see above links) based on the frequency of the event occurrence. For audit purposes, the FRA Request Form must include documents which outline the use for the requested funds. Placed below are the minimum documentation requirements:

Date of initial FRA Funding Request – Date when request is made by event organizer.

Meeting/Event Name – Full name of the one-time or recurring event to be held.

Date(s) of Event – Month, Day and Year event will be held.

Name of Requestor – Individual requesting the funds and/or event organizer.

Purpose – The direct benefit to Fermilab as a whole, rather than specific individuals or groups, must be demonstrated.

Objective – The requestor must include their affiliation with the Lab and supplement a list of names/organizations participating. For example, business lunches should include a list of those in attendance as well as a business purpose. If the list is extensive, (e.g., for an awards ceremony) a list of those invited and/or groups may be substituted.

Estimated Number of Participants – The estimated number of participants as outlined in the above objective and specified whether they are from outside Fermilab (e.g. contractors, vendors, visitors), and if they are affiliated with a DOE or DOE contractor.

Justification for Use of FRA Funding – Requestor should outline the need for use of FRA funding over Contract funding. This justification should also include what specifically the allotted FRA funding will be used at the event (i.e.: food, beverages, set-up, etc.).

Estimated Funding Requested – Organizer should provide a total amount of funding requested including all expenses to be incurred. An estimated funding breakdown should be provided as backup material to the amount requested.

Upon submittal of the required FRA Funding Request Form to the Office of the Director, the appropriate responsible parties will review the documentation submitted and provide a decision on the requested funds within one week of submittal. If approved, the approval parties will provide a signed copy of the FRA Funding Request Form for the requestor/organizer's records. This document should be included in any future requests for reimbursement from the requestor/organizer.

Reimbursement Request Procedure

All reimbursement requests must be submitted to the Office of the Director via General Accounting Payment Request Form or Petty Cash Voucher (only when \$100 or less) and include proper documentation including:

- a. All itemized original receipts
- b. Approved FRA Funding Request Form
- c. Attendee list (including employees, contractors and guests with their affiliation designating “Local/Non-Local”)
- d. Any other paperwork/emails/agenda as supporting documentation

The Director’s Office will approve the reimbursement request within one week of the requestor’s documentation submittal.

Notes/Further Guidance

Dinner Reimbursements:

- a. Maximum gratuity is 15% of total bill after taxes included.
- b. Maximum alcoholic drinks per guest is 2. Alcohol is allowable up to 2 drinks per guest and should not be deducted entirely.
- c. Anything above these allowable limits must be deducted from the total amount requested for reimbursement.

Approved FRA Funding Request forms are tracked per FY/Date and Event/Meeting Name for audit purposes.

All reimbursement requests must include the approved FRA Funding Request Form and full documentation related to FY it which the expense occurred. *(Example: If reimbursement is submitted in October 2019 for a reimbursement that took place in a September dinner, need to include copy of approved FY 18 FRA Funding Request form, signed by Directorate).*

If a group is hosting multiple events throughout the year, the requestor will need to include a copy of the approved Annual FRA Funding Justification form for each reimbursement.

6. Definitions

Discretionary Funds

Discretionary Funds are allotted for expenditures that are not allowable on DOE contract funds. For DOE-defined Conferences, contact the Conference Office to discuss what items are allowable or unallowable on DOE Contract funds.

Conferences

“Conference” is defined in the Federal Travel Regulation as “[a] meeting, retreat, seminar, symposium or event that involves attendee travel. The term ‘conference’ also applies to training activities that are conferences under 5 C.F.R 410.404” However it is noted the definition is only a starting point and will be evaluated against the June 2015 DOE document. What constitutes a conference for the purpose of this guidance is a fact-based determination based on an evaluation of the criteria established and approved by the

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Conference Office. A school at Fermilab would be an example of a “conference”.

Fermilab/Local Attendees

Employees and faculty of Fermilab and Argonne

Employees and faculty of University of Chicago participating on behalf of Fermi Research Alliance (FRA)

Employees from other institutions such as Northern Illinois University and Northwestern Illinois University

On Official Travel/Outsiders

University of Chicago employees

All Vendors, Visitors, Contractors, etc.

7. Owner and Subject Matter Experts

Responsibility for reviewing, updating, and communicating changes to this procedure rests with the Office of the Chief of Staff. Budgeting of FRA funds and approval of FRA funding requests are the responsibility of the Director’s Office.

8. Review Cycle

This procedure is to be reviewed on the same schedule as the parent policy.

9. Communication Plan

For all FRA employees and Fermilab users who request the use of FRA funds, the Office of the Director will provide in-person training, written instructions, and an ITNA training class.

10. References

N/A