Conference Management Plan

This plan complies with DOE Contract, DE-AC02-07CH11358, Section H, Clause H.40 – Conference Management.

1.0 APPROVAL RECORD

- Reviewed by: Document Control Coordinator (Hiliary Burns)
- Reviewed by: Ames Site Office Manager (Jennifer Stricker)
- Approved by: General Counsel (Barbara Biederman)
- Approved by: Assistant Director for Strategic Planning (Cynthia Jenks)
- Approved by: Associate Director for Sponsored Research (Debra Covey)
- Approved by: Chief Operations Officer (Mark Murphy)
- Approved by: Chief Research Officer (Duane Johnson)
- Approved by: Deputy Director (Tom Lograsso)
- Approved by: Director (Adam Schwartz)

The official approval record for this document is maintained in the Training and Documents Office, 105 TASF.

2.0 REVISION/REVIEW INFORMATION

This plan has been updated by a new author. Future revision descriptions for this document will be made available from and maintained by the author.

3.0 POLICY

It is the policy of the Ames Laboratory to adhere to conference planning and regulations as DOE orders and policies stipulate.

The Ames Laboratory contract DE-AC02-07CH11358, Section H, Clause H.40 outlines the requirements for conference management to ensure that all attended conferences reflect the DOE/NNSA's commitment to fiscal responsibility, appropriate stewardship of taxpayer funds and supports the mission of DOE/NNSA as well as other sponsors of work. Different requirements exist for DOE/Contractor sponsored conferences, hosted conferences, and non-sponsored conferences that are attended by Laboratory staff. The clause establishes expectations for Laboratory management to control and document the number of employees attending conferences and minimize the costs by Ames Laboratory employees at all conferences. It clarifies the requirements for funding conferences in compliance with existing laws and regulations and it ensures that Ames Laboratory is exercising care with respect to the use of taxpayer's dollars.

This plan formalizes a process put in place to comply with conference management guidelines which require an approval process for all conference sponsorships, attendance to DOE/Contractor sponsored conferences and attendance to Non-DOE/Contractor sponsored conferences.

4.0 PURPOSE AND SCOPE

The purpose of this Plan is to outline the roles and responsibilities of Laboratory employees in regards to hosting and participating in local, national, and international conferences. The policies and procedures outlined in this plan are the responsibility of all research and support staff that may be affected by the information contained within the Laboratory's documentation.

Ames Laboratory collaborates and interacts with organizations worldwide. Conference attendance by Ames Laboratory staff is very important in fulfilling the mission of the Laboratory. Conferences are an efficient forum to disseminate research results and establish contacts for collaborative work. Conferences and meetings are also a forum to share best practices to keep the operations of the Laboratory as cost effective as possible. With limited resources always a concern, Laboratory management has to weigh the benefits of conference participation to the related cost. Ames Laboratory's major thrust is fundamental research conducted to advance general knowledge. Practical applications can or may be developed from this research and disseminated during conferences and workshops.

4.1 Definitions

4.1.1 Conference

A conference is defined in the Federal Travel Regulation as, "[a] meeting, retreat, seminar, symposium, or event that involves attendee travel and is not exempt or excluded under section 9 of the Conference Management Plan. The term 'conference' also applies to training activities that are considered to be conferences under 5 C.F.R 410.404.

Other common terms used include conventions, expositions, symposiums, seminars, workshops, or exhibitions. Conferences typically involve topical matters of interest to, and the participation of, multiple agencies and/or nongovernmental participations. Indications of a formal conference often include but are not limited to registration, registration fees, a published substantive agenda, and scheduled speakers, or discussion panels. Individual events may qualify as conferences without meeting all of the indicia listed above, but will generally meet some of them. Please note that some training events may qualify as conferences for the purposes of this guidance, particularly if they take place in a hotel or conference center.\

Note: Meetings to discuss funded research with collaborators and/or with the program office funding the work do not fall under the conference management plan. In addition the requirements set forth in this plan exclude the following:

I. A meeting between two entities in closed door discussions (one-on-one meetings).
II. A traveler is asked to give an invited talk at a seminar not open to the public, assuming there is no registration fee associated with the event.

4.1.2 DOE/Contractor Sponsored Conferences

DOE/Contractor-sponsored conferences include those events that meet the conference definition and either or both of the following:

1. DOE/Contractor provides funding to plan, promote, or implement an event, except in instances where the Contractor:
   a. covers participation costs in a conference for specified individuals (e.g., students, retirees, speakers, etc.) in a total amount not to exceed $10,000 (by individual contractor for a specific conference); or
   b. purchasing goods or services from the conference planners (e.g., attendee registration fees, renting booth space).
2. DOE/Contractor authorizes use of the official seal, or other seals/logos/trademarks to promote a conference. Exceptions include non-M&O contractors who use their seal to promote a conference that is unrelated to their DOE contract(s) (e.g., if a DOE IT contractor were to host a general conference on cyber security).

4.1.3 Ames Laboratory Hosted Conference

Ames Laboratory Hosted conferences have the same definition as DOE/Contractor sponsored conferences and the Ames Laboratory is the host or co-host of the conference. For the purpose of this plan we have split DOE/Contractor sponsored conferences and Ames Laboratory hosted conferences because there are separate roles and responsibilities for each of these.

4.1.4 Exemptions

See section 9.0

4.1.5 Local Conferences

Events within the local duty location that do not require advance travel authorization. These may also qualify as a conference for the purposes of this guidance if the event exhibits other key indicia of a conference, especially the payment of a registration, exhibitor, sponsor, or conference fee.

4.1.6 The Conference Management Tool (CMT)

The CMT is a working database of information documenting all DOE sponsored conference and Federal Non DOE conference activities within the DOE complex. The CMT is utilized to track and approve all conference activities that DOE funds are used to sponsor travelers to attend, participate, and present research information during conferences. The CMT allows for approval packages of DOE complex-wide conferences over $100,000 to go for the Deputy Secretary's signature approval and over $500,000 to go to the Secretary of Energy for signature approval. The CMT is housed, and maintained by DOE, in the government sponsored iPortal system, https://iportal.doe.gov.

4.1.7 Formal Classroom Training

Formal classroom training is no longer subject to the conference management approval and reporting process, regardless of its location or whether it is part of a certification program but it is subject to an exemption review and approval. Such training often involves instruction in a small setting with a limited number of instructors (one or two) and may include examinations to test learning. Examples of formal classroom training include: instruction on IT software programs and training on a new acquisition policy.

Classroom training does not include gatherings that exhibit the indicia of formal conference, which often includes a registration fee, a published substantive agenda, multiple speakers and/or discussion panels.

4.2 Acronyms

AA – Administrative Assistant
AMSO – Ames Site Office, Chicago
CMT – Conference Management Tool
CO – Contracting Officer
COO - Chief Operations Officer
DD – Division Director
DM – Department Manager
DOE - Department of Energy
HQ – Department of Energy headquarters

ID – Institute Director
OPOC - Organizational Point of Contact
PD – Program Director(s)

5.0 PREREQUISITIE ACTIONS AND REQUIREMENTS

5.1 The DOE will reimburse Ames Laboratory for approved conference costs only if the principle purpose of the conference is to disseminate trade, business, professional or technical information or to stimulate production per contract requirements.

5.2 Attendance/exemption requests to a conference should be reported to the OPOC no less than 3 months prior to the date of the conference to comply with CMT reporting requirements. Non-compliance may result in DOE funding being denied and the attendee finding alternate funding to the event.

5.3 The Ames Laboratory will not expend funds on a proposed conference without the required approvals.

5.4 Once funds have been expended on a non-sponsored conference by DOE or any other contractor, Ames Laboratory may not authorize the use of their trademarks/logos for the conference, provide the conference planners with more than $10,000 for specified individuals to participate in the conference, or provide any other sponsorship funding for the conference.

5.5 If the Ames Laboratory is asked to co-host or sponsor an event that is a non-DOE sponsored event then DOE approval is needed. See section 7 for more information.

5.6 If Ames Laboratory sponsors a conference, it may charge attendees (including DOE, DOE contractor employees, and non-DOE attendees) a registration fee. The fee may not be used for any type of unallowable costs, such as entertainment or alcoholic beverages.

5.7 The DOE will not reimburse the Laboratory for the cost of entertainment or alcoholic beverages, regardless of how the cost is classified; for example, DOE will not reimburse an entertainment cost included in a conference fee unless the cost is non-separable.

6.0 ROLES AND RESPONSIBILITIES FOR DOE/CONTRACTOR SPONSORED CONFERENCES

6.1 Director and Deputy Director

Both the Director and Deputy Director are responsible for:

- The implementation and oversight of all approval requests related to all Laboratory-sponsored domestic and international conferences that require employees to be on official travel to attend, participate, or present.
- Ensuring that contractor conferences are being held to support the Laboratory's purpose and conform to procedural requirements of DOE Contract DE-AC02-07CH11358 Section H, Clause H.40.

6.2 Chief Operations Officer

The Chief Operations Officer is responsible for:

- Designating a primary and/or alternate organizational point of contact (OPOC) and ensure the designated employee(s) enters the information requested; estimated costs, estimated attendees, contractor sponsored conferences details, provisions for food, and cost saving strategies implemented for each conference on the iPortal DOE Conference Management Tool (CMT) as necessary.
- Notifying Laboratory staff of the Conference Management Plan and guidance.
- Approving all exemption requests.

6.3 Conference Management Organizational Point of Contact (OPOC)

The OPOC is responsible for:

- Working with the PD/ID/PD/DM and Administrative Assistants to guide staff through the process of submitting proper forms and notices for conference attendance.
- Upon notification of researchers/staff attending an event, the OPOC may contact the various Laboratory programs to attain an estimated list of attendees for the specified conference and consolidate this information into a Laboratory wide view of the conference.
- Submitting DOE Sponsored conference information into the DOE Conference Management Tool (CMT) as necessary.
- Notifying and documenting conference approvals in the conference FY spreadsheet for disclosure to departments/divisions and the Travel Office.
- Negotiation for information and additional “slots” with approved labs for Ames Laboratory travelers after conference approval dates.
- By December 15 each year, for the prior fiscal year, update the CMT to include actual costs and attendance for participating in conferences that were sponsored by a Departmental Element that cost more than $100,000.
- Contacting and gaining written (email) approval from the COO on all events that qualify as exempt from CMT documentation requirements utilizing the “exemption request” document and supporting information.
- Prepare document for the DOE to request sponsorship of a conference and submit to Ames Site Office.

6.4 Division Director(DD)/Institute Director(ID)/Program Director(PD)/Department Manager(DM) or Administrative Assistant(AA)

These individuals are responsible for ensuring the OPOC receives all necessary information in the conference request notification.

6.5 Laboratory Staff

Laboratory staff who attend conferences are reminded they are stewards of taxpayer dollars and should ensure the Laboratory funds are used solely for purposes that are appropriate, cost-effective, and important to the core mission of the Laboratory. Attendees are expected to conduct themselves in a manner that demonstrates the professionalism of Ames Laboratory at all times and to maintain the highest levels of ethics and responsibility by:

- Reporting all planned conference travel to their AA or the Conference OPOC.
- Aggressively seeking to reduce costs.

- Flagging any aspects of the conference approval request, such as the venue, which might raise questions and provide an explanation for the choice.
- Providing adequate information about the conference(s) that will be attended and filling out the exemption request form if this conference is deemed exempt from the conference management system by the OPOC . This documentation is submitted to the COO for review, confirmation, and approval of exemption.
- Assuring no costs associated with conference attendance shall be incurred until the appropriate approval (local and/or HQ) is received and communicated to the Laboratory and its divisions.

7.0 ROLES AND RESPONSIBILITIES OF AMES LABORATORY HOSTED/SPONSORED EVENTS

7.1 Ames Site Office

Approves/disapproves request to sponsor conferences and notifies Ames Laboratory of decision if over $100,000.

Note**:** *Funds will not be expended or permission granted to use the Ames Laboratory logo on the proposed Ames Laboratory hosted conferences with expenditures estimated to exceed $100,000 until notified of approval by the contracting officer.*

7.2 Director and Deputy Director

The Director and Deputy Director are responsible for:

- The implementation and oversight of all approval requests related to all Laboratory-hosted/sponsored domestic and international conferences that require employees to be on official travel to attend, participate, or present.
- Ensuring contractor conferences are being held to support the Laboratory's purpose and conform to procedural requirements of DOE Contract, DE-AC02-07CH11358, Section H, Clause H.40.
- Approval/disapproval of all initial conference hosting/sponsoring or co-hosting requests that are $50,000 and greater.

7.3 Chief Operations Officer

The Chief Operations Officer is responsible for:

- Approval/disapproval of all initial conference hosting/sponsoring or co-hosting requests that are less than $50,000.
- Approving all exemption requests.

7.4 Conference Management Organizational Point of Contact (OPOC)

The OPOC is responsible for:

- Creating an entry in the CMT system at least six months prior to the conference date for any Ames Lab hosted/sponsored event that will exceed $100,000. DOE Provides approval/disapproval based on size of conference request (>$100,000 and <$500,000 approved by the deputy secretary; $500,000 and above approved by secretary).
- Notifying and documenting conference approvals in the conference FY spreadsheet for disclosure to departments/divisions and the travel office.
- By December 15 each year, for the prior fiscal year, updating the CMT to include actual costs and attendance for participating in conferences that were sponsored by a Departmental Element that cost more than $100,000.

7.5 Division Director (DD)/Institute Director (ID)/Program Director (PD)/Department Manager (DM) or Administrative Assistant (AA)

These individuals are responsible for:

- Giving at least a 6 month (preferred) notice to the OPOC and COO for conference hosting/sponsoring approval. Non-compliance may result in DOE funding being denied.
- Keeping expenditures and attendance at conferences to the minimum necessary to accomplish program objectives.
- In the selection process, identifying opportunities to save costs in selecting a particular conference site or in scheduling the conference (e.g., to obtain off-season rates).
- Maintaining written documentation of the alternatives considered and the selection rationale used as outlined in the DOE's *Office of General Counsel's Guidance on Conducting and Participating in Conferences.* Avoiding selecting resort or recreational sites unless true cost savings will result.
- Making binding conference arrangements only after obtaining the approvals required by this plan.
- No costs associated with conference hosting shall be incurred until the appropriate approval (local and/or HQ) is received and communicated to the Laboratory and its divisions.
- DOE may reimburse the Laboratory on a case by case basis for the cost of meals and refreshments provided at the Ames Laboratory hosted event. Some cases may include:
    - The meals and refreshments are incidental to the conference.
    - Attendance at the meals and when refreshments are served is important for the attendee's full participation in the conference.
    - The meals and refreshments are part of a formal conference that also includes substantial functions occurring separately from when the food is served.

8.0 ROLES AND RESPONSIBILTIES OF NON-DOE/CONTRACTOR SPONSORED CONFERENCES/EVENTS

All non-DOE/Contractor sponsored conferences shall follow a separate approval process that ensures costs related to conferences are allowable, allocable, reasonable, and further the mission of DOE/NNSA.

8.1 Director and Deputy Director

The Director or Deputy Director are responsible for approving all non-DOE sponsored conferences with expenses $50,000 and greater for the Ames Laboratory.

8.2 Chief Operations Officer

The Chief Operations Officer is responsible for:

- Approving all non-DOE sponsored conferences where attendance exceeds more than 5 people from the Ames Laboratory with total expenses less than $50,000. Up to and including 5 peope will automatically be approved.
- Reviewing and approving all events that may qualify as exempt from conference management documentation requirements utilizing the "Exemption Request" document and supporting information. Written approval (email) is provided on those exempt events that are excluded from the conference management documentation requirements.

8.3 Conference Management Organizational Point of Contact (OPOC)

The OPOC is responsible for:

- Working with the DD/ID/PD/DM and Administrative Assistants to guide staff through the process of submitting proper forms and notices for conference attendance.
- Upon notification of researchers/staff attending event, the OPOC may contact the various Laboratory programs to attain an estimated list of attendees for the specified conference and consolidate this information into a Laboratory wide view of the conference.
- Contacting and gaining written approval (email) from the COO on all non-DOE sponsored events where more than 5 people from Ames Laboratory will be attending a conference.
- Contacting and gaining written approval from the Director on all non-DOE sponsored conferences where expenses for the Ames laboratory are estimated to be $50,000 or greater.
- Notifying and documenting conference approvals in the conference FY spreadsheet for disclosure to departments/divisions and the travel office.

8.4 Division Director (DD)/Institute Director (ID)/Program Director (PD)/Department Manager (DM) or Administrative Assistant (AA)

These individuals are responsible for ensuring that the OPOC receives all necessary information in the conference request notification.

8.5 Laboratory Staff

Laboratory staff who attend conferences are reminded they are stewards of taxpayer dollars and should ensure the Laboratory funds are used solely for purposes that are appropriate, cost-effective, and important to the core mission of the Laboratory. Attendees are expected to conduct themselves in a manner that demonstrates the professionalism of Ames Laboratory at all times and to maintain the highest levels of ethics and responsibility by:

- Reporting all planned conference travel to their AA or the conference OPOC.
- Aggressively seeking to reduce costs.
- Flagging any aspects of the conference approval request, such as the venue, which might raise questions and provide an explanation for the choice.
- Submitting supporting information and documentation for all conferences that may be deemed exempt from Conference Management to their AA or the OPOC.
- Assuring no costs associated with conference attendance shall be incurred until the appropriate approval (local) is received and communicated to the Laboratory and its divisions. The Purchasing Department is aware and will not make arrangements to a conference until approval has been received and documented by the Conference OPOC.

9.0 EXEMPTIONS AND CLERIFICATIONS

9.1 Exemptions

The activities listed below are not considered conferences even if the event meets the general definition of a conference. Even where an event is considered exempt, organizations are expected to continue to apply strict scrutiny to DOE's participation to ensure the best use of government funds and adherence with not only all applicable laws and policy, but the underlying spirit or principles, including ensuring that only personnel attend events that have a mission-

essential need to do so, that expenses be kept to a minimum, and that participation in any associated social events be limited and restrained to the greatest degree practicable to avoid the appearance of impropriety. Exemptions from this guidance should be granted sparingly and only when events fully meet the definition and intent of the criteria below (**Note**: for groups that meet throughout the year, an annual exemption may be obtained):

I. Meetings necessary to carry out statutory oversight functions. This exemption would include activities such as investigations, inspections, audits, or non-conference planning site visits. (Exemption A)
II. Meetings to consider internal agency business matters held in Federal facilities. This exemption would include activities such as meetings that take place as part of an organization's regular course of business, do not exhibit indicia of a formal conference as outlined above, and take place in a Federal facility. (Exemption B)
III. Bi-lateral and multi-lateral international cooperation engagements that do not exhibit indicia of a formal conference as outlined in 4.1.1 that are focused on diplomatic relations.(Exemption C)
IV. Formal classroom training which does not exhibit indicia of a formal conference as outlined in Section H, Clause H.40 in the Ames Laboratory contract. See definitions for formal classroom training details. (Exemption D)
V. Meetings such as Advisory Committee and Federal Advisory Committee meetings, Solicitation/Funding Opportunity Announcement Review Board meetings, peer review/objective review panel meetings, evaluation panel/board meetings, and program kick-off and review meetings (including those for grants and contracts). (Exemption E)

9.2 Exemption Processing

Exemption request forms can be found in the conference folder on the T-drive. Conference attendees or program assistants should fill out the exception request and forward to the Conference Management POC for review along with any and all supporting documentation. Exemption requests will be routed to the COO for review and approval.

10.0 REVISION REQUIREMENTS

If the approved conference funding fees increase and the new level exceeds the delegated approved amounts revisions will require AMSO or DOE approval.

11.0 STRATEGIC PARTNERSHIP PROJECTS, ROYALTY FUNDS OR DIRECTOR'S DISCRETIONARY FUNDS

Conference travel supported by Strategic Partnership Projects (formerly Work for Others), is not subject to the Conference Management Plan. Ames Laboratory royalty funds may be used to support conference sponsorship or conference attendance as long as the Royalty Use Plan includes these items as potential expenditures. Costs have to be allowable in accordance with the terms of the contract. Approval by DOE CMT is not required if Royalty Funds are used to support conference travel. Director's Discretionary Funds are not considered DOE funds and, therefore, are not subject to this Plan.

12.0 ATTACHMENTS

Attachment 1. Updated Guidance on Conference-Related Activities and Spending
Attachment 2. Clause H.40
Attachment 3. Exemption Request Form

Attachment 1- Updated Guidance on Conference-Related Activities and Spending

The Deputy Secretary of Energy
Washington, DC 20585

August 17, 2015

MEMORANDUM FOR FRANKLIN M. ORR
UNDER SECRETARY FOR SCIENCE AND ENERGY

FRANK KLOTZ
UNDER SECRETARY FOR NUCLEAR SECURITY

DAVID M. KLAUS
DEPUTY UNDER SECRETARY FOR MANAGEMENT AND PERFORMANCE

HEADS OF ALL DEPARTMENTAL ELEMENTS

FIELD SITE MANAGERS

LABORATORY DIRECTORS

FROM: ELIZABETH SHERWOOD-RANDALL

SUBJECT: Updated Guidance on Conference-Related Activities and Spending

In 2012, the Department of Energy (DOE) launched a comprehensive initiative to improve management of conference-related activities and spending. As a result of this effort, the Department has institutionalized best practices for managing conferences and has established a in which where cost-effectiveness is carefully considered in making conference-related decisions. In addition, the Department has developed a better understanding of the investment in conferences that is essential to achieve our vital science and technology mission.

As a result of progress in improving conference management and in recognition of the important role that conferences play in accomplishing our critical mission, the Secretary and I are further refining the Department's conference management policies and procedures using a risk-based approach. These changes will better enable participation in vital professional conferences, streamline approval processes, and reduce transactional oversight of our contractors, while meeting all legal requirements and maintaining appropriate management controls to ensure cost-effectiveness.

All Departmental elements will implement the revised policies and procedures outlined in Attachment A. Highlights of these enhancements include:

- Dividing conferences into two categories: 1) conferences sponsored by DOE and its contractors and 2) conferences sponsored by external entities that DOE and its

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contractors attend, but have no role in funding (with certain specific exceptions) or promoting. Under our new approach, management attention will be especially focused on conferences sponsored by DOE and its contractors.

- Modifying contracts to hold contractors accountable for responsibly managing and tracking costs for participation in external conferences without additional transactional oversight. Contractor employees will continue to utilize the current conference management system until such time as contract modifications are in effect.

- Promoting greater accountability by having each Under Secretary whose organization or contractor is sponsoring a conference with costs to the Department greater than $100,000 approve the conference. (The current policy is to have all Under Secretaries with staff/contractors attending sign the approval package.)

- Streamlining the data collected for conferences over $100,000.

These changes will significantly expedite the approval process allowing attendees to take advantage of reduced early registration fees and lower-cost travel. They will also eliminate unnecessarily burdensome reporting. In addition, these changes further demonstrate the Department's continuing commitment to holding contractors accountable through performance-based rather than transaction-based oversight.

These policy and process modifications cancel previous memoranda on conference management, including former Deputy Secretary Poneman's memorandum on this topic dated December 6, 2012. The Office of the General Counsel's Guidance on Conferences will be updated to align with these policy changes. The Office of Management (MA), which oversees the conference function, will lead the transition to the new policies and procedures. MA will monitor the effectiveness of this new process and may make adjustments as needed, working closely with DOE program offices.

Questions concerning this policy should be directed to Ingrid Kolb, Director, Office of Management at (202) 586-2550.

Attachments: DOE Conference Management Policies and Procedures, July 2015
Model H Clause – Conference Management
Determination of a Conference Revised, June 2015
DOE-Sponsored Conferences Exceeding $100K
Non DOE-Sponsored Conferences Exceeding $100K

Attachment A

U.S. DEPARTMENT OF ENERGY
CONFERENCE MANAGEMENT POLICIES AND PROCEDURES
JULY 2015

All prior memoranda on the topic of conference management, other than the GC Guidance on Conferences, are hereby cancelled, including guidance issued by the former Deputy Secretary on December 6, 2012. The policies and procedures applicable to contractors and contractor employees will be effective at such time as an H clause (Attachment 1) is incorporated into contracts, as appropriate. Contracting officers will incorporate the model H clause into contracts, as appropriate, within 10 business days of the issuance of this policy.

Conference Definition

- *Conference Definition.* The definition of a conference is outlined in Attachment 2 and has not changed except with regard to formal classroom training.

- *New Exception to Definition.* Formal classroom training is no longer subject to the conference management approval and reporting process, regardless of its location or whether it is part of a certification program. Such training often involves instruction in a small setting with a limited number of instructors (one or two) and may include examinations to test learning. Examples of formal classroom training include: instruction on IT software programs and training on a new acquisition policy.

  Classroom training does not include gatherings that exhibit the indicia of a formal conference, which often includes a registration fee, a published substantive agenda, multiple speakers and/or discussion panels.

DOE/Contractor-Sponsored Conferences

- *Sponsorship.* This policy includes different requirements for Department of Energy (DOE)/Contractor-sponsored conferences versus external conferences where DOE and its contractors have no role other than attending the conference. A conference is considered to be DOE/Contractor-sponsored if the event meets a) the definition of a conference as outlined in Attachment 2, and b) either or both of the following criteria:

  - *DOE/Contractor contributes appropriated funding for a conference.* This includes providing funding to help plan, promote, or implement a conference. Examples include providing funding to rent a conference venue or hire a conference planner. Also included is sponsoring a session at a conference.

    Exceptions include instances where DOE/Contractors: (1) cover participation costs in a conference for specified individuals (e.g. students, retirees, speakers, etc.) in a total amount not to exceed $10,000 (by an individual contractor for a specific conference); (2) purchase goods or services from the conference planners (e.g., attendee registration fees; renting booth space); or (3) DOE provides

funding to the conference planners through Federal grants. Attending a conference, giving a speech, or serving as an honorary chairperson does not connote sponsorship.

- *DOE/Contractor authorizes use of the official DOE seal, or other seals/logos/ trademarks to promote a conference.* If the Department or its contractors authorize the use of the official DOE seal, or other DOE/NNSA seals/logos/trademarks, or M&O contractor logos/trademarks to promote a conference, that conference is considered a Department/Contractor sponsored conference.

  Exceptions include non-M&O contractors who use their seal to promote a conference that is unrelated to their DOE contract(s) (e.g., if a DOE IT contractor were to host a general conference on cyber security).

- *Conference Management Tool.* DOE and its contractors use the Conference Management Tool ("Tool") to establish sponsorship of a conference. DOE and its contractors enter information regarding such conferences into the Tool as follows:

  - *Departmental Elements* sponsoring a conference *regardless of the net cost to DOE* create an entry for the conference in DOE's Tool and establish a conference lock-date (i.e., the deadline for an organization to indicate their participation in a conference). Interested organizations enter cost/attendee information prior to the lock-date.

    In some instances, due to space and budgetary constraints, a sponsoring organization may not be able to accommodate all interested attendees. In these situations, the sponsoring organization will communicate these limitations and will work with other organizations to accommodate attendees, if possible.

  - *Contractors* sponsoring a conference use the same process, but only for Contractor-sponsored conferences where the total estimated expenditures of DOE appropriated funds is greater than $100,000. If a contractor is attending a conference sponsored by a Departmental Element, the contractor enters information on their participation in the Tool.

  Departmental Elements and contractors create an entry in the Tool for a conference they are sponsoring at least six months prior to the conference date. In the event a requirement for a conference emerges with less lead time, the organization should alert the Office of Management (MA) as soon as possible.

- *Package Development.* Once the lock-date has passed, the sponsoring organization develops a package for any conference estimated to cost over $100,000 for the approval of their Under Secretary (this includes any subordinate contractors that may sponsor conferences). Information required for approval packages for DOE-sponsored conferences exceeding $100,000 is included in Attachment 3.

- *Under Secretary Approval.* The sponsoring organization submits packages for conferences with net costs expected to exceed $100,000 to the Under Secretary to which the sponsoring organization or contractor reports. (In instances where the organization reports to the Secretary [e.g., CFO, GC], the head of the Departmental Element approves the conference.) Only that Under Secretary reviews and signs the package. No funds shall be expended until the Under Secretary approves a conference estimated to cost between $100,000 and $500,000 with the exception of minimal funding for developing estimates. **Approval packages are expected to be approved at least four months prior to the beginning of the conference.**

- *Waivers.* Packages for conferences sponsored by a Departmental Element or contractor with net costs expected to exceed $500,000 must also be approved by the Deputy Secretary. These packages must include a waiver explaining the exceptional circumstances that exist whereby spending in excess of $500,000 is the most cost-effective option to achieve a compelling purpose. No funds shall be expended until the waiver is approved. **Approval packages are expected to be submitted by the sponsoring Under Secretary to the Executive Secretariat for Deputy Secretary review at least four months prior to the beginning of the conference.**

- *Funds Expenditure.* Once the sponsoring Under Secretary (or the Deputy Secretary) approves the package, funds may be expended for the conference. The sponsoring organization notifies other organizations that employees may begin registering for the conference and obligating funds (e.g., travel), as necessary.

  To ensure compliance with the Anti-Deficiency Act, a conference cannot become a DOE/Contractor-sponsored conference once any DOE funds have been expended. For example, after a Departmental Element or contractor purchases airline tickets to send employees to a conference, neither a DOE office nor an M&O Contractor may authorize the use of their logo for the conference, or provide the conference planners with more than $10,000 to fund participation by specified individuals. (See section on Sponsorship.)

- *Attendance Approval.* DOE Federal and contractor employees' participation in a conference must be approved by supervisors in accordance with established procedures (e.g., DOE travel policies and procedures). Heads of Departmental Elements should monitor participation and associated costs.

- *Reporting Actual Costs/Attendance.*

  - *Departmental Elements.* Within 10 days following the end of a conference sponsored by a Departmental Element costing in excess of $20,000, the sponsoring organization must update the Tool to include actual attendance. By December 15 each year, for the prior fiscal year, Departmental Elements must update the Tool to include the actual costs and attendance for conferences they

have sponsored costing in excess of $100,000. This information will be used to prepare statutorily-mandated reports.

- *Contractors*. To support Departmental Elements, by December 15 each year, for the prior fiscal year, contractors must update the Tool to include their actual costs and attendance for participating in conferences that were sponsored by a Departmental Element that cost more than $100,000.

Non-DOE/Contractor Sponsored Conferences

DOE Employees. The following requirements pertain to DOE employee participation in conferences that are not sponsored by the Department.

- *Conference Management Tool*. When a DOE employee plans to attend a conference, the Departmental Element creates an entry for the conference (if one does not already exist) and completes the required data fields, including the estimated cost and attendance for their organization. (If the conference already exists in the Tool, the Departmental Element completes the required data fields.) MA will monitor the Tool and will establish lock-dates for participation. Other organizations interested in attending will enter cost/attendee information prior to the lock-date.

- *Package Development.* MA prepares the approval packages for external conferences where DOE's net costs for its employees are likely to exceed $100,000. **MA generates the packages collecting only the information noted in Attachment 4 at least two months before the critical date for the conference (e.g., early registration date).**

- *Under Secretary Approval*. MA submits packages for conferences costing over $100,000 for the approval of the Under Secretaries (and equivalents) who have DOE employees within their subordinate organizations attending the conference. **MA obtains the needed signatures at least one month prior to the critical date for the conference (providing at least a month for conference registration/travel planning).**

- *Waivers*. Approval packages for external conferences with net costs for DOE employee participation expected to exceed $500,000 must also be approved by the Deputy Secretary. MA will prepare a waiver explaining the exceptional circumstances that exist whereby spending in excess of $500,000 is the most cost-effective option to achieve a compelling purpose. No funds shall be expended until the waiver is approved. **MA will submit approval packages to the Executive Secretariat for Deputy Secretary review at least two months prior to the critical conference date.**

- *Funds Expenditure*. Once all relevant Under Secretaries (or the Deputy Secretary) approve the package, MA notifies impacted organizations that funds may be expended. Until such time, no funds shall be spent on the conference. ***Once funds***

have been expended on a non-sponsored conference, Departmental Elements may not authorize the use of DOE/NNSA seals/logos/trademarks for the conference, provide the conference planners with more than $10,000 in funds for specified individuals to participate in the conference, or provide any other sponsorship funding for the conference. (See section on Sponsorship for additional details.) Taking these actions would result in the conference becoming DOE-sponsored, which could result in possible violations of the Anti-Deficiency Act.

- *Attendance Approval*. DOE employees' participation in a conference must be approved by supervisors in accordance with established procedures (e.g., DOE travel policies and procedures).

Contractor Employees: Relevant DOE contracts will be modified through an H clause to make contractors responsible for managing and tracking conference costs. They will be held accountable through established contract administration processes.

- *Managing Costs*. The Contractor and its employees shall make every reasonable effort to limit costs associated with conference expenditures and attendance. Conference costs must support the mission of DOE/NNSA.

- *Tracking and Approving Costs*. The Contractor shall develop and implement a process to ensure costs related to conferences are allowable, allocable, reasonable, and further the mission of DOE/NNSA. This process must at a minimum:

  - Track all conference expenses; and

  - Require that the Laboratory Director (or equivalent) or Chief Operating Officer approves conference costs where they exceed $100,000 for a single conference.

  Contractors are not required to enter information on non-DOE/Contractor-sponsored conferences in DOE's Tool.

- ***Once funds have been expended on a non-sponsored conference, Contractors may not authorize the use of their trademarks/logos for the conference, provide the conference planners with more than $10,000 for specified individuals to participate in the conference, or provide any other sponsorship funding for the conference. (See section on Sponsorship for additional details.) If a contractor does so, its expenditures for the conference may be deemed unallowable.***

ATTACHMENT 1

Model H Clause - Conference Management
(Contracting officers should use the below model language, but may tailor it to suit specific program needs, as necessary.)

The Contractor agrees that:

a) The contractor shall ensure that contractor-sponsored conferences reflect the DOE/NNSA's commitment to fiscal responsibility, appropriate stewardship of taxpayer funds and support the mission of DOE/NNSA as well as other sponsors of work. In addition, the contractor will ensure conferences do not include any activities that create the appearance of taxpayer funds being used in a questionable manner.
b) The definition of a conference is attached.
c) Contractor-sponsored conferences include those events that meet the conference definition and either or both of the following:
   1) The contractor provides funding to plan, promote, or implement an event, except in instances where a contractor:
      i) covers participation costs in a conference for specified individuals (e.g. students, retirees, speakers, etc.) in a total amount not to exceed $10,000 (by individual contractor for a specific conference) or
      ii) purchases goods or services from the conference planners (e.g., attendee registration fees, renting booth space).
   2) The contractor authorizes use of its official seal, or other seals/logos/ trademarks to promote a conference. Exceptions include non-M&O contractors who use their seal to promote a conference that is unrelated to their DOE contract(s) (e.g., if a DOE IT contractor were to host a general conference on cyber security).
d) Attending a conference, giving a speech or serving as an honorary chairperson does not connote sponsorship.
e) The contactor will provide information on conferences they plan to sponsor with expected costs exceeding $100,000 in the Department's Conference Management Tool, including:
   1) Conference title, description, and date
   2) Location and venue
   3) Description of any unusual expenses (e.g., promotional items)
   4) Description of contracting procedures used (e.g., competition for space/support)
   5) Costs for space, food/beverages, audio visual, travel/per diem, registration costs, recovered costs (e.g., through exhibit fees)
   6) Number of attendees
f) The contractor will not expend funds on the proposed contractor-sponsored conferences with expenditures estimated to exceed $100,000 until notified of approval by the contracting officer.

g) For DOE-sponsored conferences, the contractor will not expend funds on the proposed conference until notified by the contracting officer.
   1) DOE-sponsored conferences include events that meet the definition of a conference and where the Department provides funding to plan, promote, or implement the conference and/or authorizes use of the official DOE seal, or other seals/logos/ trademarks to promote a conference. Exceptions include instances where DOE:
      i) covers participation costs in a conference for specified individuals (e.g. students, retirees, speakers, etc.) in a total amount not to exceed $10,000 (by individual contractor for a specific conference) or
      ii) purchases goods or services from the conference planners (e.g., attendee registration fees; renting booth space); or provide funding to the conference planners through Federal grants.
   2) Attending a conference, giving a speech, or serving as an honorary chairperson does not connote sponsorship.
   3) The contractor will provide cost and attendance information on their participation in all DOE-sponsored conference in the DOE Conference Management Tool.

h) For *non-contractor sponsored conferences*, the contractor shall develop and implement a process to ensure costs related to conferences are allowable, allocable, reasonable, and further the mission of DOE/NNSA. This process must at a minimum:
   1) Track all conference expenses.
   2) Require the Laboratory Director (or equivalent) or Chief Operating Officer approve a single conference with net costs to the contractor of $100,000 or greater.

i) Contractors are not required to enter information on non-sponsored conferences in DOE'S Conference Management Tool.

j) Once funds have been expended on a non-sponsored conference, contractors may not authorize the use of their trademarks/logos for the conference, provide the conference planners with more than $10,000 for specified individuals to participate in the conference, or provide any other sponsorship funding for the conference. If a contractor does so, its expenditures for the conference may be deemed unallowable.

Attachment 2

DETERMINATION OF A CONFERENCE
REVISED – JUNE 2015

1. General Definition. "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 considered to be conferences under 5 C.F.R 410.404." However, this definition is only a starting point. What constitutes a conference for the purpose of this guidance is a fact-based determination based on an evaluation of the criteria established in this attachment.

2. Additional Indicia of Conferences. Conferences subject to this guidance are also often referred to by names other than "conference." Other common terms used include conventions, expositions, symposiums, seminars, workshops, or exhibitions. They typically involve topical matters of interest to, and the participation of, multiple agencies and/or nongovernmental participations. Indicia of a formal conference often include but are not limited to registration, registration fees, a published substantive agenda, and scheduled speakers, or discussion panels. Individual events may qualify as conferences without meeting all of the indicia listed above, but will generally meet some of them. Please note that some training events may qualify as conferences for the purposes of this guidance, particularly if they take place in a hotel or conference center.

3. Local Conferences. Events within the local duty location that do not require advance travel authorization may also qualify as a conference for the purposes of this guidance if the event exhibits other key indicia of a conference, especially the payment of a registration, exhibitor, sponsor, or conference fee.

4. Exemptions. For the purposes of this guidance, the exemptions below apply and these types of activities should not be considered to be conferences even if the event meets the general definition of conference in section 1 above. Even where an event is considered exempt from this guidance, organizations are expected to continue to apply strict scrutiny to DOE's participation to ensure the best use of government funds and adherence with not only all applicable laws and policy, but the underlying spirit or principles, including ensuring that only personnel attend events that have a mission-essential need to do so, that expenses be kept to a minimum, and that participation in any associated social events be limited and restrained to the greatest degree practicable to avoid the appearance of impropriety. Exemptions from this guidance should be granted sparingly and only when events fully meet the definition and intent of the criteria below:

    a. Meetings necessary to carry out statutory oversight functions. This exemption would include activities such as investigations, inspections, audits, or non-conference planning site visits.

b. Meetings to consider internal agency business matters held in Federal facilities. This exemption would include activities such as meetings that take place as part of an organization's regular course of business, do not exhibit indicia of a formal conference as outlined above, and take place in a Federal facility.

c. Bi-lateral and multi-lateral international cooperation engagements that do not exhibit indicia of a formal conference as outlined above that are focused on diplomatic relations.

d. Formal classroom training which does not exhibit indicia of a formal conference as outlined above.

e. Meetings such as Advisory Committee and Federal Advisory Committee meetings, Solicitation/Funding Opportunity Announcement Review Board meetings, peer review/objective review panel meetings, evaluation panel/board meetings, and program kick-off and review meetings (including those for grants and contracts).

	DOE-SPONSORED CONFERENCES EXCEEDING $100K -- ATTACHMENT 3		
	CURRENTLY COLLECTED	**PROPOSAL**	**REQUIRING AUTHORITY**
BASIC PROFILE	Conference title	RETAIN	**M-12-12/STATUTE**
	Conference description	RETAIN (limit length)	**M-12-12/STATUTE**
	Location (City)	RETAIN	**M-12-12/STATUTE**
	Venue/Facility	RETAIN	**DOE**
	Dates (various fields)	RETAIN	**M-12-12/STATUTE**
	Sponsor	RETAIN	**M-12-12/STATUTE**
	Co-sponsor	RETAIN	**DOE**
	Primary Point of Contact	RETAIN	**DOE**
	Hosting Organization (DOE Organization)	RETAIN	**DOE**
	Event has Senior-Level Approval	RETAIN	**M-12-12/STATUTE**
	Political sensitivities	RETAIN	**DOE**
	Description of unusual expenses (e.g., promotional items)	RETAIN	**DOE**
RATIONALE	Compelling Need for Conference (Conferences > $500,000 only)	RETAIN	**M-12-12/STATUTE**
	Description of contracting procedures used (competition for space/support)	ADD	**STATUTE**
COST BUILD UP	Meeting space total cost	ADD	**DOE**
	Food and beverage costs	RETAIN	**STATUTE**
	Audio visual costs	RETAIN	**STATUTE**
	Other costs	RETAIN	**DOE**
	Travel/per diem costs by office broken down by Federal, Contractor and Other	RETAIN	**STATUTE**
	Registration costs (DOE Fees) by office broken down by Federal, Contractor and Other	RETAIN	**DOE**
	Estimate of recovered costs (through registration or exhibit fees)	RETAIN	**M-12-12/STATUTE**
TOTALS	Event Net Total Cost to the Department	RETAIN	**M-12-12/STATUTE**
	Total Federal, Contractor, Other attendees by program	RETAIN	**M-12-12/STATUTE**
SUPPORTING DETAIL	Government Facilities. Explanation of why a government facility is not being used.	DELETE	
	Video conferencing. Explanation of why VTC cannot be used	DELETE	
	External Attendance. Estimated number of external attendees	DELETE	
	Curtail costs. Description of strategies to curtail costs (e.g., carpooling, hosting event at DOE facility, reducing attendees)	DELETE	
	Food. Three questions about whether food is provided.	DELETE	
	Promotional items. Description of items.	DELETE	
	Additional information	DELETE	
	Attendees broken out by presenters, active participants, and other (i.e. support) attendees	DELETE	
	Meeting space/equipment/amenity costs broken down into categories with explanation of these expenses	DELETE	
	Contractor costs (meeting & space planning, meeting logistics)	DELETE	

	NON DOE-SPONSORED CONFERENCES EXCEEDING $100K -- ATTACHMENT 4		
	CURRENTLY COLLECTED	**PROPOSAL**	**REQUIRING AUTHORITY**
BASIC PROFILE	Conference title	RETAIN	**M-12-12**
	Conference description	RETAIN (limit length)	**M-12-12/STATUTE**
	Location (City)	RETAIN	**M-12-12**
	Venue/Facility	RETAIN	**DOE**
	Dates (various fields)	RETAIN	**M-12-12**
	Sponsor	RETAIN	**M-12-12**
	Co-sponsor	RETAIN	**DOE**
	Primary Point of Contact	RETAIN	**DOE**
	Hosting Organization (DOE Organization drop-down)	RETAIN	**DOE**
	Event has Senior-Level Approval	RETAIN	**M-12-12/STATUTE**
	Political sensitivities	RETAIN	**DOE**
	Description of unusual expenses	RETAIN	**DOE**
RATIONALE	Compelling Need for Conference (Conferences > $500,000 only)	RETAIN	**M-12-12**
TOTALS	Event Net Total Cost to the Department	RETAIN	**M-12-12/STATUTE**
	Total Federal, Contractor, Other attendees by program	RETAIN	**DOE**
SUPPORTING DETAIL	Video conferencing. Explanation of why VTC cannot be used	DELETE	
	External Attendance. Estimated number of external attendees	DELETE	
	Curtail costs. Description of strategies to curtail costs (e.g., carpooling, hosting event at DOE facility, reducing attendees)	DELETE	
	Food. Three questions about food and who is providing it.	DELETE	
	Promotional items. Description of items.	DELETE	
	Additional information	DELETE	
	Attendees broken out by presenters, active participants, and other (i.e. support) attendees	DELETE	
	Meeting space/equipment/amenity costs broken down into categories with explanation of these expenses (only if DOE holds a Co-sponsor role and/or to determine Package Lead Organization)	DELETE	
	Food and beverage costs	DELETE	
	Contractor costs (meeting & space planning, meeting logistics)	DELETE	
	Audio visual costs	DELETE	
	Other costs	DELETE	
	Travel/per diem costs by office broken down by Federal, Contractor and Others (to determine Package Lead Organization)	DELETE	
	Registration costs by office broken down by Federal, Contractor and Other (to determine Package Lead Organization)	DELETE	
	Estimate of recovered costs (through registration or exhibit fees)	DELETE	

Attachment 2- Clause H.40

functional areas with other DOE contractors, industry and research institutions. Assure development of metrics and targets that result in efficient and cost effective performance.

(8) Continuous feedback and performance improvement.

(9) An implementation plan (if needed) that considers and mitigates risks.

(10) Timely and appropriate communication to the Contracting Officer, including electronic access, of assurance related information.

The initial contractor assurance system description shall be approved by the Contracting Officer.

(b) The Government may revise its level and/or mix of oversight of this contract when the Contracting Officer determines that the assurance system is or is not operating effectively.

CLAUSE H. 40 – CONFERENCE MANAGEMENT

The Contractor agrees that:

a) The Contractor shall ensure that Contractor-sponsored conferences reflect the DOE/NNSA's commitment to fiscal responsibility, appropriate stewardship of taxpayer funds and support the mission of DOE/NNSA as well as other sponsors of work. In addition, the contractor will ensure conferences do not include any activities that create the appearance of taxpayer funds being used in a questionable manner.

b) Determination of a Conference.

1) Definition. "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 considered to be conferences under 5 C.F.R 410.404. However, this definition is only a starting point. What constitutes a conference for the purpose of this guidance is a fact-based determination based on an evaluation of the criteria established in this attachment.

2) Additional Indicia of Conferences. Conferences subject to this guidance are also often referred to by names other than "conference." Other common terms used include conventions, expositions, symposiums, seminars, workshops, or exhibitions. They typically involve topical matters of interest to, and the participation of, multiple agencies and/or nongovernmental participations. Indications of a formal conference often include but are not limited to registration, registration fees, a published substantive agenda, and scheduled speakers, or discussion panels. Individual events may qualify as conferences without meeting all of the indicia listed

above, but will generally meet some of them. Please note that some training events may qualify as conferences for the purposes of this guidance, particularly if they take place in a hotel or conference center.

3) Local Conferences. Events within the local duty location that do not require advance travel authorization may also qualify as a conference for the purposes of this guidance if the event exhibits other key indicia of a conference, especially the payment of a registration, exhibitor, sponsor, or conference fee.

4) Exemptions. For the purposes of this guidance, the exemptions below apply and these types of activities should not be considered to be conferences even if the event meets the general definition of conference in section 1 above. Even where an event is considered exempt for this guidance, organizations are expected to continue to apply strict scrutiny to DOE's participation to ensure the best us of government funds and adherence with not only all applicable laws and policy, but the underlying spirit or principles, include ensuring that only personnel attend events that have a mission-essential need to do so, that expenses be kept to a minimum, and that participation in any associated social events be limited and restrained to the greatest degree practicable to avoid the appearance of impropriety. Exemptions from this guidance should be granted sparingly and only when events fully meet the definition and intent of the criteria below:

   i) Meetings necessary to carry out statutory oversight functions. This exemption would include activities such as investigations, inspections, audits, or non-conference planning site visits.

   ii) Meetings to consider internal agency business matters held in Federal facilities. This exemption would include activities such as meetings that take place as part of an organization's regular course of business, do not exhibit indicia of a formal conference as outlined above, and take place in a Federal facility.

   iii) Bi-lateral and multi-lateral international cooperation engagements that do not exhibit indicia of a formal conference as outlined above that are focused on diplomatic relations.

   iv) Formal classroom training which does not exhibit indicia of a formal conference as outlined above.

   v) Meetings such as Advisory Committee and Federal Advisory Committee meetings, Solicitation/Funding Opportunity Announcement Review Board meetings, peer review/objective review panel meetings, evaluation panel/board meetings, and program kick-off and review meetings (including those for grants and contracts).

c) Contractor-sponsored conferences include those events that meet the conference definition and either or both of the following:

1) The Contractor provides funding to plan, promote, or implement an event, except in instances where the Contractor:

   i) covers participation costs in a conference for specified individuals (e.g., students, retirees, speakers, etc.) in a total amount not to exceed $10,000 (by individual contractor for a specific conference); or

   ii) purchases goods or services from the conference planners (e.g., attendee registration fees, renting booth space).

2) The Contractor authorizes use of the official seal, or other seals/logos/ trademarks to promote a conference. Exceptions include non- M&O contractors who use their seal to promote a conference that is unrelated to their DOE contract(s) (e.g., if a DOE IT contractor were to host a general conference on cyber security).

d) Attending a conference, giving a speech or serving as an honorary chairperson does not connote sponsorship.

e) The Contactor will provide information on conferences they plan to sponsor with expected costs exceeding $100,000 in the Department's Conference Management Tool, including:

   1) Conference title, description, and date;
   2) Location and venue;
   3) Description of any unusual expenses (e.g., promotional items);
   4) Description of contracting procedures used (e.g., competition for space/support);
   5) Costs for space, food/beverages, audio visual, travel/per diem, registration costs, recovered costs (e.g., through exhibit fees); and
   6) Number of attendees.

f) The Contractor will not expend funds on the proposed Contractor-sponsored conferences with expenditures estimated to exceed $100,000 until notified of approval by the Contracting Officer.

g) For DOE-sponsored conferences, the Contractor will not expend funds on the proposed conference until notified by the Contracting Officer.

   1) DOE-sponsored conferences include events that meet the definition of a conference and where the Department provides funding to plan, promote, or implement the conference and/or authorizes use of the official DOE seal, or other seals/logos/ trademarks to promote a conference. Exceptions include instances where DOE:

      i) covers participation costs in a conference for specified individuals (e.g., students, retirees, speakers, etc.) in a total amount not to exceed $10,000 (by individual contractor for a specific conference); or

ii) purchases goods or services from the conference planners (e.g., attendee registration fees, renting booth space); or providing funding to the conference planners through Federal grants.

2) Attending a conference, giving a speech, or serving as an honorary chairperson does not connote sponsorship.

3) The Contractor will provide cost and attendance information on their participation in all DOE-sponsored conference in the DOE Conference Management Tool.

h) For non-Contractor sponsored conferences, the Contractor shall develop and implement a process to ensure costs related to conferences are allowable, allocable, reasonable, and further the mission of DOE/NNSA. This process must at a minimum:

1) Track all conference expenses; and

2) Require the Laboratory Director (or equivalent) or Chief Operating Officer approve a single conference with net costs to the contractor of $100,000 or greater.

i) Contractors are not required to enter information on non-sponsored conferences in DOE's Conference Management Tool.

j) Once funds have been expended on a non-sponsored conference, contractors may not authorize the use of their trademarks/logos for the conference, provide the conference planners with more than $10,000 for specified individuals to participate in the conference, or provide any other sponsorship funding for the conference. If the Contractor does so, its expenditures for the conference may be deemed unallowable.

k) Site requested clarifications: The procedures set forth above do not apply to:

1. A meeting between two entities in closed door discussions (one-on-one meetings)
2. A traveler is asked to give an invited talk at a seminar not open to the public, assuming there is no registration fee associated with the event.

Attachment 3- Exemption Request Form

Submitting an Exemption Request

Conference Title:

Dates:

Location:

Website:

Registration Fees:

Proposed Travel Fees:

Purpose:

Number traveling:

Exemption being applied (A: Meeting to carry out oversight, B: Internal agency business, C: International cooperation, D: Formal classroom training, E: Board or Peer Review Meeting), See expansion of Exemption List on pages 2 & 3 below:

Justification of Exemption (Please add event details, don't use abbreviations, state if event has been exempt in prior years & prior exemptions applied):

Should the traveler attend more than one meeting during a trip – please note that the exemptions are meeting specific and any additional meetings/conferences would need to be identified.