

Section J

Appendix J

Non-Employee and Employee Categorization Framework for Work Performed at the Pacific Northwest National Laboratory

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The Contractor shall develop, maintain, and submit for PNSO approval a PNNL Non-employee and Employee Categorization Framework (NEECF). The NEECF supports mission/project and business needs, captures risk mitigation, identifies access controls and indicates approved costs of employees, non-employee visiting researchers and other non-employees performing work or accessing PNNL. The management and version control of the NEECF shall be assigned to the PNNL Research Management and Operations (M&O) Program and included under the Research M&O Program, Program Description. Non-employees not captured in the NEECF, or exceptions to the NEECF, require advance approval by the PNSO Contracting Officer prior to entering into an approved Institutional or Individual agreement.

The Contractor may or may not incur costs for non-employee categories identified under the Visiting Research Program as defined below or per Section H, H-21 “Advanced Understanding of Allowable Costs”, Item 4) and/or Item 6).

- (a) Visiting Researcher Program – The Contractor may maintain a visiting researcher program for non-employee researchers. Collaboration with visiting researchers provides a valuable means for meeting mission objectives, advancing business goals, and growing scientific impact. The non-employee researchers are defined below.
 - (1) *Joint Appointments*. Joint Appointees (in) are visiting researchers employed with a university, or with DOE approval, other research institutions, who holds an appointment with PNNL to collaborate or work with PNNL. Work must be performed under an approved Institutional and Individual agreement. Costs for Joint Appointees shall be in accordance with Appendix A, Section II. Compensation, Payment of Joint Appointees.
 - (2) *Emeritus* – Emeritus are former PNNL researchers who retired as a Contractor employee. Emeritus retain former title, but receive no salary or benefits. Emeritus activities include mentorship and knowledge transfer. All Emeritus must perform under an approved “PNNL Emeritus Agreement”.
 - (3) *Research Partner* – Research Partners are non-employee visiting researchers who collaborate, observe, consult, or work with PNNL on existing PNSO authorized work. Access is established under an approved agreement. Funds for work performed and/or expenses shall be reimbursed per approved work packages or under the above-mentioned advanced understanding on allowable cost clauses.
 - (4) *Federal Guest Researcher* – Federal Guest Researchers are federal employees or federal contractor personnel aligned with a PNNL strategic relationship. Access to PNNL is established under an approved Institutional and Individual agreement.

- (5) *Student Programs*. Students and Educators are non-employee visiting researchers who are either a student enrolled in a Science, Technology, Engineering and Mathematics (STEM) field degree program or degrees that support STEM fields, recently graduated student that will be conducting research based on a recent degree, or a teacher who is participating in a STEM program. Access to PNNL is established under an approved Institutional agreement or existing PNSO authorized work. Costs associated with student and educators are limited to reimbursements as outlined below.
- a. Distinguished Graduate Research Program (DGRP) students will work with faculty from universities under strategic partnerships with PNNL and scientists at PNNL while completing graduate coursework and subsequently transfer to PNNL for the remaining years of the Ph.D. program to gain research experience with PNNL scientists. The home university provides a tuition waiver while the student is at PNNL. PNNL costs are limited to those defined in Section H, clause H-21, Item 4).
 - b. DOE Sponsored Programs (e.g., Visiting Faculty Program, Office of Science Graduate Student Research Program). Costs are associated with existing PNSO authorized work.
 - c. Sponsored Student Programs and Fellowships (e.g., Mickey Leland Energy Fellowship Program, National Science Foundation, Department of Homeland Security, Department of Defense SkillBridge). Individuals under these programs and fellowships collaborate or work with PNNL on existing PNSO authorized work. PNNL costs are limited to those defined in Section H, clause H-21, Item 4).
 - d. Student Teacher Program – (e.g., CalPoly and Murdock) summer research experience for aspiring K-12 STEM teachers who are on a teaching path or in a STEM field. Individuals under these programs collaborate or work with PNNL on existing PNSO authorized work to equip teachers with the knowledge to apply in the classroom. PNNL costs are limited to those defined in Section H, clause H-21, Item 4).
- (b) Employee Programs. PNNL employees shall be defined under the NEECF. Below are the definitions of PNNL Employee categories and/or programs.
- (1) *Full-Time Equivalent (FTE) Employee*. An FTE is a person employed by the Contractor to perform full time work at PNNL for wages or salary. Employee performs work in accordance with the employment offer and Contractor policies and procedures. Costs associated with salaries, transportation, and relocations shall be in accordance with Contractor procedures.
 - (2) *Limited-Term Employee (LTE) Program*. An LTE employee is a person employed by the Contractor for a limited duration at PNNL for wages or salary. LTEs (e.g., high school interns, undergraduate interns, graduate interns, and postgraduate research associates) perform work in accordance with the employment agreement terms and conditions. This

also includes DOE funded programs that pay stipends, travel, etc., as well as non-sponsor programs (e.g., National Security Internship Program) defined under Contractor procedures. The Contractor may incur costs associated with participation in programs (e.g., consortium arrangements such as the National Physical Sciences Consortium [NPSC], the National GEM Consortium [GEM], National Nuclear Security Administration Graduate Fellowship Program [NGFP], Minority Serving Institution Partnership Program [MSIPP], DOE/NNSA/Contractor academy/leadership programs, and Contractor science education initiatives) to provide graduate fellowships to students in science and engineering. Costs associated with salaries, transportation, and relocations shall be in accordance with Contractor procedures.

- (3) *Joint Appointments (out)*. Joint Appointee (out) is a PNNL employee who holds an appointment and is requested to work/conduct research activities at a university or other non-profit research institutions. Work must be performed under an approved Institutional and Individual agreement. Costs for Joint Appointees shall be in accordance with Part III, Section J, Appendix A “Advanced Understanding on Human Resource Costs”, Section II. “Compensation”, Payment of Joint Appointees.
- (c) Other Non-Employees/Programs. Other non-employees shall be defined under the NEECF. Below are the definitions of PNNL non-employee categories and/or programs.
- (1) *Vendors and Subcontractors*. Person or entity awarded a subcontract, as defined in FAR Subpart 2.1, to furnish supplies or services for performance under the PNNL prime contract. Vendors and Subcontractors supporting research or non-research activities at PNNL must be performed under an approved subcontract or purchase order, including all changes and modifications in accordance with DOE Acquisition Regulations (DEAR) 970.52.44-1 “Contractor's Purchasing System” as captured in Section I.
 - (2) *Visitor*. A Visitor is an individual who is not a Contractor employee, vendor or subcontractor and does not meet one of the other NEECF categories. Visitors may include but are not limited to federal or non-federal individuals, outside assessors, regulators, or individuals attending a workshop, meeting, or tour. Access to PNNL is established in accordance with the Contractor’s approved Safeguards and Security program and associated procedures as required under the most current DOE Safeguards and Security Program Order in Appendix D.
 - (3) *User Facility Users*. User Facility Users are individuals approved to access one or both of PNNL’s designated User Facilities as established under DOE Waiver No. W(C)-2008-003. Users, upon proposal acceptance, must adhere to the obligations and responsibilities for onsite and/or remote access to and use the User Facility equipment, services, information, and other material consistent with the proprietary or non-proprietary User Agreements signed by the User’s institution and the Contractor.
 - (4) *Resident Department of Energy (DOE)*. Resident DOE personnel are DOE federal employees, or other federal or federal contractor personnel designated by PNSO with access to PNNL.