

Subject: Small Business Innovative Research (SBIR) / Small Business Technology Transfer (STTR) Proposals	Effective Date: February 10, 2014	Initiated by: Head, Budget Office
	Supersedes: Rev. 0 Dated 1/31/1995 and P-021, Rev. 0 Dated 10/29/93	Approved: Director

- Management System (Primary):** 01.00 Strategy and Management
- Management System Owner:** Director; Deputy Directors for Research and for Operations
- Management Process:** 01.08 Business Development
- Process Owner:** Deputy Director for Research
- Sub-Process:** 01.08.03 Work For Others
- Sub-Process Owner:** Deputy Director for Operations
- Subject Matter Experts (SMEs):** Head of Business Operations; and Head of Budget Office

Applicability

This procedure is applicable to requests by small businesses for PPPL participation in innovative research activities.

Introduction

The federal government, and the U. S. Department of Energy (DOE) in particular, encourage Federally Funded Research and Development Centers (FFRDCs) to actively participate in the Small Business Innovative Research (SBIR) and Small Business Technology Transfer (STTR) programs by providing assistance to and/or collaboration with small businesses in research proposals. Small business investigators occasionally contact the Laboratory to participate in their SBIR/STTR proposals, which require the use of Laboratory resources. PPPL has adopted the following ground rules regarding SBIR/STTR projects:

1. PPPL shall collaborate on SBIR/STTR projects assuming that the work does not interfere with major PPPL/DOE programs and schedules.
2. Full cost recovery for PPPL activities shall be provided.
3. If the SBIR/STTR project is in direct support of PPPL’s programmatic goals, PPPL can, with DOE approval, cost share on the project. Examples are:
 - o If a SBIR/STTR investigator proposes to place a diagnostic on a PPPL experimental device and PPPL had already planned to place this diagnostic on the device at DOE’s expense, PPPL may participate in the SBIR/STTR project at no cost to the SBIR/STTR program. PPPL costs will be charged to the experimental project.
 - o If the proposed SBIR/STTR experiment is not part of PPPL planned project activities but it benefits the fusion program overall, PPPL may consider some cost-sharing in the experiment.

This procedure provides guidelines to PPPL staff to avoid any conflict during communications with a prospective SBIR/STTR investigator preparing a proposal that involves PPPL participation.

PPPL approval, and DOE Princeton Site Office pre-approval, of an SBIR/STTR investigator’s request for the use of the Laboratory’s resources must be obtained prior to submission of the proposal to the sponsoring federal agency.

For SBIR/STTR proposals in which PPPL is a funded participant, PPPL’s budget is included in the proposal as a subcontract. If the proposal is funded, a Work for Others Agreement must be executed with the small business in accordance with GEN-015, Procedure for Research Sponsored by Non-DOE Entities.

Reference Documents

- Public Law 97-219: Small Business Innovation Development Act of 1982
- Public Law 102-564: Small Business Technology Transfer Act of 1992
- SBIR/STTR Reauthorization Act of 2011 (extends SBIR/STTR programs through 9/30/2017)

Procedure

Responsibility

Action

- | | |
|------------------------------|--|
| Contacted Individual at PPPL | <ol style="list-style-type: none"> 1. Documents, via email to PPPL's Deputy Director for Research or for Operations, contact by a prospective SBIR/STTR investigator requesting use of PPPL personnel and/or facilities. 2. Requests the SBIR/STTR investigator to submit, in writing, the following information to the cognizant Deputy Director, with a copy to the Budget Office and cognizant Department Head and supervisor: the nature of the proposed research project; its relationship to PPPL's programmatic objectives; the type(s) of Laboratory support required; and the name of the SBIR/STTR investigator’s contact within the Laboratory. |
| PPPL Deputy Director | <ol style="list-style-type: none"> 3. Discusses the proposed research project with the appropriate staff, upon receipt of SBIR/STTR investigator's written request, and determines the Laboratory's position in accordance with the guidelines of this procedure. Notifies the SBIR/STTR investigator, the PPPL Contacted Individual, and Budget Office of the Laboratory’s position. |

If it is determined that PPPL can participate in the SBIR/STTR proposed research project:

- | | |
|------------------------------|---|
| Contacted Individual at PPPL | <ol style="list-style-type: none"> 4. Completes the DOE Provisional SBIR/STTR Proposal Approval Form (Attachment 1) and submits it, along with a breakdown of the proposed budget for the PPPL work scope, to the Budget Office. |
|------------------------------|---|

- Budget Office
5. Submits the DOE Provisional SBIR/STTR Proposal Approval Form and proposed PPPL budget to the DOE Princeton Site Office (PSO) for approval.
 6. Provides a Letter of Support to the SBIR/STTR investigator, signed by the cognizant Deputy Director, upon receipt of PSO's provisional approval.

In addition, the PPPL Contacted Individual, Cognizant Deputy Director, and Budget Office staff involved in the SBIR/STTR proposal process must sign a Conflict of Interest Form, Attachment 5 to GEN-015, Procedure for Research Sponsored by Non-DOE Entities.

Training

- Head of Business
Operations or
Designee
1. Provides training as described below.

Target Audience: Principle Investigators; Planning and Control Officers; Department Heads

Training Method:
X Read only training via Email distribution of this procedure

Frequency:
X Upon each revision of this procedure
 2. Notifies the Human Resources Training Office of the training so that they will be aware of the training requirements and be able to provide any appropriate assistance and guidance in the course development, implementation, tracking, and maintenance.
- Head of Business
Operations or
Designee

Records

Records Custodians 1. Maintain records according to the following requirements:

Record	Record Custodian	Location	Retention Time
Contact Memo Unfunded Proposal	Budget Office Records Coordinator	Budget Office designated file location	3 years after rejection (*ADM 3.13)
Contact Memo Funded Proposal	Budget Office Records Coordinator	Budget Office designated file location	1 record set for 10 years after completion or termination (*WFO 2.b)
SBIR/STTR Proposal Approval Form Unfunded Proposal	Budget Office Records Coordinator	Budget Office designated file location	3 years after rejection (*WFO 1.b.(2))
SBIR/STTR Proposal Approval Form Funded Proposal	Budget Office Records Coordinator	Budget Office designated file location	1 Record set for 10 years after completion or termination (*WFO 1.f.(0))
Letter of Support Unfunded Proposal	Budget Office Records Coordinator	Budget Office designated file location	3 years after rejection (*WFO 1.b.(2))
Letter of Support Funded Proposal	Budget Office Records Coordinator	Budget Office designated file location	1 Record set for 10 years after completion or termination (*WFO 1.f.(0))
Conflict of Interest Form Unfunded Proposal	Budget Office Records Coordinator	Budget Office designated file location	3 years after rejection (*WFO 1.b.(2))
Conflict of Interest Form Funded Proposal	Budget Office Records Coordinator	Budget Office designated file location	1 Record set for 10 years after completion or termination (*WFO 3.b)

* From DOE Programmatic Records Schedules - Work For Others & CRADAS

Attachments

1. DOE Provisional SBIR/STTR Proposal Approval Form - Typical

PPPL	PRINCETON PLASMA PHYSICS LABORATORY	PROCEDURE	No. GEN-014 Rev 1 page 1 of 1
DOE Provisional SBIR/STTR Proposal Approval Form - Typical			Attachment 1

**U.S. Department of Energy – Princeton Plasma Physics Laboratory
Provisional SBIR/STTR Proposal Approval**

1. Date Prepared:
2. Work Proposal Title:
3. Small Business Name:
4. Estimated work proposal term in number of months:
5. Organization issuing the solicitation and solicitation number:
6. Headquarters Funding Organization:
7. Princeton Plasma Physics Laboratory Manager/Researcher:

(Name)

(Research Department)

8. What unique capability does PPPL have to perform this work, such that this work is not in competition with the private sector?
9. Complete columns as appropriate or add additional columns

	PPPL	Team Member A Name:	Team Member B Name:	Total Award Requested
Lead Team Member (indicate by X)				
Proposed share of award in \$				
Cost sharing if applicable				
Total Award Requested				

10. Proposal Description: (Approach, anticipated benefits, PPPL's work scope and role of each team member. Approximately 2-3 paragraphs total.)

11. Princeton Site Office Official:

(Signature)

(Date)