

PPPL PRINCETON PLASMA PHYSICS LABORATORY	PROCEDURE		No. GEN-015 Rev 4 Page 1 of 8
	Subject: Procedure for Research Sponsored by Non-DOE Entities	Effective Date: March 8, 2013 Supersedes revision 3 dated Feb. 3, 2010	Initiated by: Head, Business Operations 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 Expert (SME): Head of Business Operations; and Head of Budget Office

References

DOE Order 481.1C Work For Others (Non-Department of Energy Funded Work)
 DOE Accounting Handbook, Chapter 13- Reimbursable Work, Revenues, and Other Collections
 DOE Order 483.1- DOE Cooperative Research and Development Agreement
 DOE Order 522.1- Pricing of Department Materials & Services
 DOE Manual 481.1A- Reimbursable Work for Non-Federal Sponsors Process Manual
 PPPL Policy P-020 – Policy for Research Sponsored by Non-DOE Entities
 PPPL Policy P101 – Export Control
 PPPL Procedure MC-013 – Export Control

Applicability

This procedure applies to research or non-research work funded by entities other than DOE, including those funded under Work-For-Others (WFO) agreements and Cooperative Research And Developmental Agreements (CRADA). Excluded from the provisions of this policy are: 1) work funded by the DOE, either in whole or in part; 2) work for non-federal sponsors which is supported, in part, by DOE direct funding, via a formally negotiated cost sharing agreement; and 3) consulting services by individual PPPL staff. This policy is designed to meet the requirements in the referenced documents.

Introduction

The management process can vary depending on the type of Sponsor and whether a CRADA or a WFO agreement is used. Sponsors can include federal agencies other than DOE, commercial/industrial entities, foreign governments subject to a treaty agreement with the DOE, state agencies, and not-for-profit entities.

The core portion of the management process that is applicable to all projects sponsored by non-DOE entities requires various levels of Laboratory management to review and approve the project

prior to a project proposal package being submitted to the Princeton University Office of Research and Project Administration (ORPA), the DOE-Princeton Site Office (PSO), or the Sponsor. Attachment 1, the Proposal Sign-Off Sheet, is intended to provide the approval signatories with an overview of the subject proposal. The PI is encouraged to attach whatever supporting data he/she thinks appropriate to support the standard forms.

ORPA is responsible for the administration of all WFO or CRADA projects to be performed by the Laboratory with respect to University Research Board policy. It is their responsibility to process, negotiate, and accept all awards, except awards from federal agencies, and to ensure that DOE rules and regulations are adhered to.

Questions regarding and interpretations of this procedure may be addressed to/obtained from the Budget Director or the Head, Business Operations

This procedure is organized in the following sections:

A. PPPL PREPARATION AND REVIEW OF PROPOSED PROJECTS

B. PROCEDURES FOR ALTERNATIVE TYPES OF SPONSORS

B.1 SPONSOR IS A FEDERAL AGENCY (OTHER THAN DOE)

**B.2 SPONSOR IS A FOREIGN GOVERNMENT ORGANIZATION WHICH HAS AN
AGREEMENT WITH THE DOE FOR JOINT RESEARCH INITIATIVES**

**B.3 SPONSOR IS A COMMERCIAL FOR PROFIT, STATE AGENCY, OR OTHER
NOT FOR PROFIT ENTITY**

C. ADMINISTRATION OF FUNDED PROPOSALS

D. TRAINING (SECTION Required for all Procedures)

PROCEDURE**A. PPPL PREPARATION AND REVIEW OF PROPOSED PROJECTS****RESPONSIBILITY****ACTION**

Principal Investigator	<ol style="list-style-type: none"> 1. Obtains approval from the cognizant Department Head to proceed with the development of a formal work scope and supporting budget, and to formally request proposal preparation funds from the Head, PS&T Department. 2. Ensures that the scope of work, budget proposed, and contract terms are consistent. Prepares the Proposal package, including Attachments 1 and 2 (or 3), which is to be submitted for Laboratory management approval. Completes the Fundamental Research Checklist and Certification or Export Control Review Request, as applicable (Attachment 2 or 3 in PPPL Procedure MC-013, Export Control). Provides a three-week period of time for Laboratory management and DOE review.
Budget Office	<ol style="list-style-type: none"> 3. Supports Principal Investigator in preparing the Proposal package, including the development of a proposed budget. Submits the Fundamental Research Checklist or Export Control Review Request to the Office of Export Control.
Head, Technology Transfer Office	<ol style="list-style-type: none"> 4. Reviews the Proposal and, in collaboration with cognizant Princeton University Office of Technology Licensing staff, ensures that there are no potential conflicts between the instant Proposal and Licensing Agreements previously negotiated with other entities with respect to intellectual property.
Head, ESH&S	<ol style="list-style-type: none"> 5. Ensures that a NEPA review has been completed, if required, and that the proposal is consistent with the applicable ES&H guidelines.
Office of Export Control	<ol style="list-style-type: none"> 6. Ensures that an export control review has been completed for applicable projects and that the proposal is consistent with the Laboratory's Export Control policy and procedures. Provides a copy of the Export Control Determination Form to the Budget Office.

- | | |
|--|---|
| Cognizant Department Head | 7. Provides appropriate senior line-management oversight, including a review of the scope of work for intellectual content and reasonableness, a determination that the required resources are available, and that the acceptance of the proposed work would not adversely impact the execution of existing DOE programs. |
| Head, Business Operations | 8. Ensures that the cost estimate is reasonable, that the appropriate indirect rates are being utilized, that the necessary pre-financing requirements as promulgated by DOE are complied with, and that acceptance of the work will not create a detrimental future burden on DOE resources. In the case of agreements where Princeton University is a party, works with the Head, Plasma Science and Technology Department and the cognizant department head of the PI developing the WFO proposal to ensure there are no organizational conflicts of interest. |
| Associate Director, Engineering & Infrastructure | 9. For fabrication efforts, ensures that the scope of work can be accomplished with the resources being proposed, that the proposed schedule is reasonable, and that the technical staff resources required to support the proposed work are available. |
| Cognizant Deputy Director | 10. Verifies that the Laboratory will make available the appropriate resources to execute the work scope being proposed, and that the proposed work is consistent with, and complimentary to, DOE’s mission for the Laboratory. |
| Director | 11. Approves proposal for submission to the Sponsor. |
| Budget Office | 12. Submits proposal package to DOE-PSO and ORPA for approval. The proposal package should include the following: <ul style="list-style-type: none"> a. Copy of the proposed research or research-related work scope. b. DOE’s Proposal Information Questionnaire (PIQ) or CRADA Joint Work Statement questionnaire with all applicable items addressed (Attachments 2 and 3, respectively). c. Notification of changes, if any, to the pre-approved WFO/CRADA agreements. d. Conflict of Interest Certifications executed by all Laboratory employees having a substantial role in the preparation, negotiation, or approval of the CRADA or WFO’s agreement. (See Attachment 5). A “substantial role” as utilized above is defined as acting in the capacity of the Principal Investigator (PI) or being a signatory on the Proposal Sign-Off Sheet (See Attachment 1). |

B. PROCEDURES FOR ALTERNATIVE TYPES OF SPONSORS

The procedure varies depending on the type of Sponsor and whether a WFO or CRADA agreement is to be used. (See Attachment 4 for guidance on determining the type of agreement.)

B.1 SPONSOR IS A FEDERAL AGENCY (OTHER THAN DOE)

When funding is provided by a federal agency, the agreement terms and conditions are the “boiler-plate” conditions of the sponsoring agency. The DOE standard mark-up for administrative costs (currently at 3.0%) is applicable, except in the case of work being performed for the Department of Homeland Security, in which case no mark-up is applied. ORPA is not directly involved in the proposal process; however, ORPA may be required to provide certain certifications (i.e., prohibition against lobbying) to the Sponsor.

RESPONSIBILITY

ACTION

- | | |
|-------------------|--|
| DOE-PSO | 1. Submits the Laboratory’s proposal, including the applicable scope of work and related funding request to the potential Sponsor. In the case of electronic proposal submissions by the Laboratory, provides an electronic copy of the PSO proposal transmittal letter for inclusion in the proposal. |
| Sponsoring Agency | 2. Provides funding directly to DOE via an interdepartmental transfer upon accepting the proposal. Provides the required certifications. |
| DOE-PSO | 3. Modifies PPPL’s prime contract when funding is received. |
| Budget Office | 4. Opens cost center and notifies the PI that work may commence. |

B.2 SPONSOR IS A FOREIGN GOVERNMENT ORGANIZATION WHICH HAS AN AGREEMENT WITH THE DOE FOR JOINT RESEARCH INITIATIVES

RESPONSIBILITY

ACTION

- | | |
|---------------|--|
| Budget Office | 1. Negotiates the contractual terms and conditions with the foreign Sponsor. [Terms and conditions are always secondary to the prime contract and the government-to-government agreement.] |
| DOE-PSO | 2. Reviews and approves agreement terms and conditions and the proposed scope of work. Submits agreement and proposed scope of work to the DOE Office of International Science and Technology Cooperation, the DOE Office of Counterintelligence, and the DOE Office of Science. |

- ORPA 3. Reviews and approves agreement terms and conditions and the proposed scope of work.
- Budget Office 4. Submits the proposal package to the Sponsor.
- 5. Executes the final agreement with ORPA and the Sponsor.
- Sponsoring Agency 6. Tenders the appropriate amount of pre-financing to PPPL.
- Accounting Division 7. Transfers funding to DOE.
- DOE-PSO 8. Modifies PPPL’s prime contract when funding is received.
- Budget Office: 9. Opens a cost center and notifies the PI that work may commence.

B.3 SPONSOR IS A COMMERCIAL FOR PROFIT, STATE AGENCY, OR OTHER NOT FOR PROFIT ENTITY

RESPONSIBILITY

ACTION

- Budget Office/PI 1. Negotiates the proposed scope of work with the Sponsor. Provides the Sponsor with the DOE pre-approved version of the WFO or CRADA agreement for review and acceptance.
- Budget Office 2. Submits the negotiated scope of work to DOE-PSO for approval, and to ORPA in order for it to be incorporated into the proposal package to be submitted to the Sponsor.
- 3. Note: PPPL may also request DOE-PSO to waive the DOE administrative charge in the appropriate circumstances. If the CRADA format is applicable, PPPL must advise ORPA if PPPL wishes to waive the intellectual property rights to the Sponsor. This determination will be incorporated as part of the Laboratory’s management approval package.
- DOE-PSO 4. Reviews and approves the scope of work and the WFO Proposal Information Questionnaire (PIQ) or CRADA Joint Work Statement document (Attachment 2 or 3).

- | | |
|---------------------|---|
| Budget Office | 5. Sends the proposal to the Sponsor. |
| | 6. Note: Provided that the WFO or CRADA agreement is not changed from the DOE pre-approved version, the proposal package may be submitted to the potential Sponsor without additional DOE approvals of the contract terms and conditions. Any deviation from the pre-approved version of either the WFO or CRADA agreement must be approved by DOE-PSO and Princeton University prior to submission of the proposal to the Sponsor. |
| Sponsoring Agent | 7. Tenders the appropriate amount of pre-financing to PPPL. Provides the required certifications. |
| Accounting Division | 8. Transfers funding to DOE. |
| DOE-PSO | 9. Modifies PPPL's prime contract when the funding is received. |
| Budget Office | 10. Opens the cost center and notifies the PI that work may commence |

C. ADMINISTRATION OF FUNDED PROPOSALS**RESPONSIBILITY****ACTION**

- | | |
|------------------------|--|
| Budget Office | 1. Provides the necessary Laboratory contract/grant administration. |
| | 2. In the case of CRADA agreements, delivers a final report documenting the results of the research performed and any new inventions or technology developed to the DOE Site Office and the DOE Office of Scientific and Technical Information (OSTI). |
| Principal Investigator | 3. Performs work scope objectives, meeting budget parameters, and ensuring that general performance is in compliance with the terms and conditions of the agreement. |
| | 4. Ensures that the Laboratory receives a final report from its CRADA partner documenting the results of the research performed and any new inventions or technology developed. |

D. TRAINING (SECTION Required for all Procedures)

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

Head of Business
Operations or Designee

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.

Attachments

1. Proposal Sign-Off Sheet
2. DOE's Proposal Information Questionnaire (PIQ)
3. CRADA Joint Work Statement questionnaire
4. Determination to Use CRADA or WFO Agreements
5. Conflict of Interest Certification

PPPL	PRINCETON PLASMA PHYSICS LABORATORY	PROCEDURE	No. GEN - 015 Rev 4 Page 1 of 1
Proposal Sign-Off Sheet			Attachment 1

**PRINCETON PLASMA PHYSICS LABORATORY
WORK FOR OTHERS
PROPOSAL SIGN-OFF SHEET**

Sponsor: _____

Proposal Title: _____

Principal Investigator: _____

Period of Performance: _____

Proposed Budget: _____

Summary Description of work scope proposed:

APPROVALS:

Principal Investigator

Intellectual Property Rights: Waive Retain

Department Head

Field of Use: _____

Head, Technology Transfer Office

Head, ESH&S

NEPA Planning Form Required: Yes No

Business Operations

Contract Type: WFO CRADA

Deputy Director

Director

Fabrication activities? Yes No

If Yes, Inhouse: Yes No

Describe: _____

Associate Director, Engineering & Infrastructure

PPPL	PRINCETON PLASMA PHYSICS LABORATORY	PROCEDURE	No. GEN - 015 Rev 4 page 1 of 5
	Proposal Information Questionnaire		Attachment 2

WORK-FOR-OTHERS NEW PROPOSAL INFORMATION QUESTIONNAIRE

A. PROJECT SUMMARY DATA

1. Proposal No. _____
2. Project Title: _____
3. Laboratory division responsible for work (standard division abbreviation)
4. Principal Investigator: _____
5. Identify Type of Sponsor, and applicable Charge:

DOE Administrative Charge will be applied:

- U. S. Federal Government _____
(except as noted below for NIH & SERDP)
Large Business _____
Foreign Government or Organization _____

DOE Administrative Charge waived for the following:

- U.S. Domestic:
Non-Profit _____
Small Business _____
State Government _____
Local Government _____
Inst. Of Higher Education _____
DOE wide blanket waiver _____
NIH, SERDP

6. Are you aware of a formal agreement or MOU between DOE and the Sponsor under which the work will be performed? _____. If Yes, reference the title to the agreement if available.
7. Sponsor, Point of Contact, Address and Telephone Number:
8. Term of Project in Number of Months _____

Total Project Cost \$ _____

If proposal is multi-year, indicate the proposed budget for each year?

\$Year 1 \$Year 2 \$Year 3 \$Year 4 \$Year 5

B. NATURE OF WORK

1. Summary of Scope of Work and Principal Objectives:

2. Will the work involve access to classified information and/or special nuclear materials?
 _____ If Yes, attach DOE Form 5634.2.

3. Do you anticipate that the work will involve access to:
 Proprietary information: _____
 Unclassified Controlled _____
 Nuclear Information (UCNI) _____
 Naval Nuclear Propulsion _____
 Information (NNPI) _____
 Official Use Only (OUO) _____

4. Will any export controlled, sensitive or proprietary technology be used or developed during this project? _____. If Yes, has approval been obtained?

5. Is this project related to Nuclear, Chemical, or Biological non-proliferation detection technology? _____

6. Will any portion of this work be performed outside the United States?
 _____ If Yes, where?

7. Will any Non-U.S. Persons provide guidance, assistance, or perform any work on this project? _____ If Yes, identify their home country.

8. Is the sponsor foreign, or owned or controlled by a foreign organization? _____
 If it is a foreign entity, what country?
 If foreign owned, or controlled, what organization owns the company, and from what country?

If any of questions 2 through 8 are answered "Yes," a Request for Export Control Review Form must be completed.

9. Does this project relate to ongoing work at the Laboratory? _____
 If Yes, how does it relate?

If No, how does this work complement DOE's mission?

Proposal Information Questionnaire**Attachment 2**

10. Does this project involve human subjects or animal research? ____
If Yes, briefly explain.
11. Is this proposal in response to a formal solicitation or Broad Agency Announcement (BAA)? ____ If Yes, provide BAA title, sponsor name, and solicitation number.
12. What capabilities, specifically unique to PPPL's R&D facilities and/or expertise, are being utilized for this work?
13. Does the capability to perform the work exist in domestic private facilities or laboratories? ____
14. Has this proposed work undergone Counterintelligence Review?
Yes ____ No ____ N/A ____

C. STAFFING REQUIREMENTS

- | 1. | <u>Category</u> | <u>Name</u> | <u>% of Effort</u> | <u>Duration</u> | <u>Division</u> |
|----|--|-----------------|--------------------|-----------------|-----------------|
| 2. | Principal Investigator's time on DOE projects | | | ____% | |
| 3. | Principal Investigator's time on WFO projects | | | ____% | |
| 4. | Will any new hires be required for this work? ____ If Yes, indicate the number. | | | | |
| 5. | Will outside consultants or subcontractors be required for any part of this work?
____ If Yes, enter the estimated amount per year: | | | | |
| | <u>\$Year 1</u> | <u>\$Year 2</u> | <u>\$Year 3</u> | <u>\$Year 4</u> | <u>\$Year 5</u> |

What special capabilities are needed?

D. ESH AND NEPA DOCUMENTATION

1. Are there any special ESH requirements applicable to this work that are not addressed under current PPPL policies and procedures? _____. If yes, how will these requirements will be met?
2. Will any radioactive or hazardous waste be generated under this project _____. If yes, the proposal narrative must indicate the specific waste type that will be generated, and the budget must include a line item estimate for its disposal.
3. Is this work considered as included in the categorical exclusion category for NEPA (National Environmental Protection Act)? _____

E. FACILITIES AND EQUIPMENT

1. Will the use of Laboratory facilities for this work interfere with ongoing DOE work?

2. Will there be any special space requirements beyond existing facilities?
_____ If so, what requirements?
3. Is information resources management hardware or software or telecommunications resources being procured as part of this work? _____. If Yes, describe it. A federal agency takes title for these items and the items must be procured directly by the federal agency.
4. Is construction, modification, or restoration involved? _____ If Yes, describe it.

F. TECHNOLOGY TRANSFER

Note: This section is required only for non-Federally sponsored projects

1. Is there PPPL technology that has been or will be developed specifically for transfer to the private sector? ___ If yes, explain (e.g., is there a license agreement?)
2. Will the PI in the course of conducting the research be using Proprietary Data known to PPPL as a result of a separately funded research program? ___
3. Have the ramifications of the proprietary work been discussed with the DOE/HQ Program Officials? The program official has stated that the work performed under the use agreement is not covered by another contract or arrangement falling under DOE's statutory patent policy, and is not of sufficient interest to the DOE programmatic mission responsibility to justify DOE supporting the work in whole or in part with direct program funding. PSO must discuss this response with the DOE Patent Counsel. _____

SIGNATURES

Principal Investigator _____

ESH&S Department/NEPA _____

Laboratory Approving Official _____

For DOE Use Only**G. DOE 0 481.1C, Part 4.c. Certification**

I have reviewed the proposed WFO project and certify that this work:

1. Is consistent with or complementary to DOE mission and the missions of PPPL
2. Will not adversely impact execution of assigned programs
3. Will not place PPPL in direct competition with the domestic private sector
4. Will not create a detrimental future burden on DOE resources

Signature_____
Date

JOINT WORK STATEMENT
JWS/CRADA # _____**(Project Title)**
(Submittal Date)**A. Data Table****1. Summary/OSTI Abstract**

2. Participant(s) Name and Address**(NAME)**
(Mailing or Street Address)
(City, State, Zip)
(Telephone Number)**(NAME)**
(City, State, Zip)
(Telephone Number)**3. Participant Type (check all that apply)**

	Participant One	Participant Two
Foreign	_____	_____
University	_____	_____
Small Business	_____	_____
Large Business	_____	_____
State or Local	_____	_____
Government	_____	_____
Not-for-Profit	_____	_____
National Laboratory	_____	_____

CRADA Joint Work Statement	Attachment 3
----------------------------	--------------

DOE M 483.1-1
Page 2

1-12-01

4. Funding Table

Funding Type	Year 1		Year 2		Year 3		Totals
	Funds -in	*In-kind	Funds-in	*In-kind	Funds-in	*In-kind	
Participant 1							
Participant 2							
Dept. of Energy							
Totals							
Federal Admin Charge (if applicable)							

**Note: If applicable, the contractor has reviewed the participant(s) proposed in-kind contribution and based on __ experience, __ financial analysis, and/or __ sound business judgment has determined the estimated in-kind contribution(s) is/are reasonable.*

- Identify the DOE mission area (__ Energy, __ Environmental Quality, __ Science, __ National Security, __ Other) that will benefit from this CRADA. If other, please explain.
- How does the proposed CRADA benefit DOE, Participant, and U.S. Taxpayer? *(Some facilities require textual explanation; others provide a checklist for each stakeholder. An example follows.)*

EXAMPLE:

DOE Benefit: __ Assists laboratory achieve programmatic scope, __ adds new capability to the laboratory's core competencies, __ enhances the laboratory's core competencies, __ uses the laboratory's core competencies, and/or __ enhances U.S. competitiveness by utilizing DOE-developed intellectual property and/or capabilities.

7. DOE Program Manager

Telephone No. _____

8. B&R Code and/or FWP Number

DOE M 483.1-1

Page 3

1-12-01

9. The Proposed CRADA will be based upon ___ Modular CRADA, ___ Short Form CRADA, ___ Multilab CRADA, ___ USIC, ___ other
(identify) _____

B. Special Considerations

1. Background Intellectual Property (e.g., inventions or copyrightable software, etc.)?
___ Yes ___ No
If yes, list (1) _____
(2) _____
(3) _____
2. Is the company interested in licensing Background Intellectual Property?
___ Yes ___ No
Please identify any known impediments for such licensing. _____
3. Are human or animal subjects involved in this project? ___ Yes ___ No
(If yes, before the CRADA can be executed, approvals must be obtained from the Institutional Review Board or the Animal Care and Use Committee.)
4. Have all necessary environmental, safety, health and quality (NEPA) reviews been satisfactorily completed? ___ Yes ___ No (explain)

5. The laboratory is responsible for obtaining OCI Certificates and will maintain in the file the completed OCI Certificates for each employee with a substantial role in this CRADA. Are there any organizational or personal conflict of interest issues associated with this CRADA?
___ Yes (explain) ___ No

6. Will export controlled and classified information be used or produced?
___ Yes ___ No If yes, identify.

DOE M 483.1-1

Page 4

1-12-01

7. How was Fairness of Opportunity determined? ___ Participant approached laboratory ___ Participant responded to CBD ___ Participant was contacted by laboratory after or during broad public announcement.

(Supporting documentation is to be maintained in CRADA file.)

8. Did the Participant require any substantive/material changes to the laboratory-/field-approved modular CRADA and/or any changes to double-underlined language?

___ Yes ___ No

If yes, attach copies of the proposed modified articles, and (if applicable) Participant's U.S. Competitiveness worksheet/justification. If requested by the Contracting Officer, the Contractor will provide justification for modified articles in writing.

9. Additional Notes: If applicable, identify special considerations or comments.

SIGNATURES

Principal Investigator

ESH&S Department/NEPA

Laboratory Approving Official

DOE

PPPL	PRINCETON PLASMA PHYSICS LABORATORY	PROCEDURE	No. GEN - 015 Rev 4 page 1 of 1
Determination to Use CRADA or WFO Agreement			Attachment 4

The determination of whether to use a CRADA or WFO agreement to perform a project for a non-federal Sponsor is made jointly by the Head, Business Operations and the Head, Plasma Science and Technology Department. This determination is based on the nature of the proposed sponsored project scope when compared to the guidelines enumerated below:

Characteristics of a WFO agreement:

1. Proposed work scope is generally not directly linked to the DOE funded mission performed at the Laboratory.
2. DOE may waive the agency administrative charge where the sponsored work scope is for a small business or a not-for-profit entity. The DOE will not waive the agency administrative charge where the sponsored work scope is for entities other than small businesses and not-for-profit entities.
3. Sponsor usually enjoys full rights to intellectual property; however, the Laboratory may negotiate with the sponsor whereby the sponsor agrees to accept a “limited field of use license” in the sponsor’s area of interest, with the Laboratory retaining the intellectual property rights in all other fields.
4. Sponsor provides 100% of the funding to support the work being performed.

Characteristics of a CRADA

1. DOE and Sponsor contribute to the sponsored research work scope; the sponsor’s contribution may be “in kind work” and/or direct funding to the Laboratory.
2. Work scope is complementary to DOE funded missions at the Laboratory (i.e., DOE mission directly benefits from research work scope).
3. DOE will not waive DOE administrative charge on funds in to the Laboratory unless the CRADA sponsor is a small business or a not-for-profit entity.

Intellectual property rights are defined by the terms of the CRADA contract. Sponsor has the opportunity to license any resulting intellectual property that is owned by Princeton University. Contract must contain “mandatory disclaimer” in the case of a “100% funds-in” arrangement if the Sponsor is a “small business,” and the Laboratory wishes to retain intellectual property rights.

PPPL	PRINCETON PLASMA PHYSICS LABORATORY	PROCEDURE	No. GEN - 015 Rev 4 page 1 of 1
Conflict of Interest Certification			Attachment 5

**Princeton Plasma Physics Laboratory
Cooperative Research and Development / Work for Others Agreement with
insert name of partner/sponsor
Conflict of Interest Certification**

- I certify that I, my spouse, domestic partner (as that term is defined by Princeton University), child, parent, sibling or business partner, or an organization in which I hold a financial interest, have no substantial financial interest (a substantial financial interest will be determined on a case by case basis, depending on the facts of each case, but typically consistent with an interest having a value of at least \$10 thousand) in the approval of the Cooperative Research and Development Agreement (CRADA)/Work for Others Agreement (WFO) with *insert name of partner/sponsor*.
- I certify that I, my spouse, domestic partner (as that term is defined by Princeton University), child, parent, sibling or business partner, or an organization in which I hold a financial interest, has not received a gift or gratuity from any entity that has an interest in the approval of the CRADA/WFO with *insert name of partner/sponsor*.
- I certify that I am not negotiating nor have an arrangement concerning prospective employment with an organization which has a substantial financial interest in the approval of the CRADA/WFO with *insert name of partner/sponsor*.

Principal Investigator

Budget Analyst

Department Head

Budget Director

Head, Technology Transfer Office
Infrastructure

Associate Director, Engineering and

Head, ESH&S

Deputy Director

Business Operations

Director