

Announcement of Collaborative Research Opportunities	Effective Date: Jan. 16, 2015	Initiated by: Lew Meixler Head, Technology Transfer, Patents and Publications
	Supersedes: PST-001, R0, Dated 10/10/01	Approved: Stewart Prager Director

Management System (Primary): 01.00 Strategy and Management
Management System Owner: Director and Deputy Directors
Management Process: 01.08 Business Development
Process Owner: Deputy Directors
Sub-Process: 01.08.04 Technology Transfer
Sub-Process Owner: Deputy Director for Operations; Head, Best Practices and Outreach
Subject Matter Expert Head, Technology Transfer

Applicability

This procedure applies to all Laboratory activities where there is an opportunity to team with industrial partners on technology transfer activities, such as CRADAs, Personnel Exchanges or Technology Maturation Arrangements on research related to the PPPL mission.

Introduction

The reason for providing broad awareness of opportunities for industrial partners to team with researchers at PPPL, is to provide fair access to all potential partners to the Laboratory's expertise. This procedure describes the process for assuring widespread availability of joint research and partnering and opportunities with the commercial sector as part of the Laboratory's Technology Transfer mission.

Acronyms

CRADA Cooperative Research and Development Agreement

Procedure

Responsibility

Action

PPPL Researcher

1. Contacts the Head of Technology Transfer to communicate a desire to participate in a collaborative arrangement, such as a Cooperative Research and Development Agreement (CRADA), a Personnel Exchange or a Technology Maturation Arrangement with an industrial partner.

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|---------------------------|---|
| Head, Technology Transfer | <p>2. A. Determines if the subject matter of a proposed collaborative arrangement is consistent with the mission of the Laboratory and if there exists funding to support the collaboration.</p> <p>B. Determines interest in the Laboratory in a collaborative arrangement in order to develop a proposal effort, and a Principal Investigator</p> |
| Principal Investigator | <p>3. Develops a draft topic title and a short summary of the proposed topic of the research. The summary must be written in order that no intellectual property is disclosed in the summary, unless an issued patent or copyright protects that intellectual property.</p> |
| Head, Technology Transfer | <p>4. Includes the topic title and summary of the proposed research into a notice of opportunity that is appropriate for broad public dissemination. The notice of the Collaborative Research Opportunity also includes a request for information on the capabilities of the respondents to perform the collaboration in sufficient details to evaluate their abilities. The primary mechanism is the PPPL Technology Transfer WEB site. http://www.pppl.gov/organization/technology-transfer</p> <p>NOTE: Other public forums, such as the Federal Laboratory Consortium or State of New Jersey Technology Council publications, may also be used as a mechanism for making the opportunity generally known, at the discretion of the Principal Investigator and the Head of Technology Transfer.</p> |
| Head, Technology Transfer | <p>5. Retains the copy of each of the responses received from the solicitation. Forwards copies of the responses to the Principal Investigator for consideration regarding a research partner.</p> |
| Principal Investigator | <p>6. Confers with the Head of Technology Transfer to develop a recommendation regarding the preferred partner and submits the recommendation to the Head of the PPPL Department where the work will be performed for approval.</p> |
| Cognizant Department Head | <p>7. Accepts recommendation and forwards to the Deputy Director for final approval.</p> |
| Deputy Director | <p>8. Provides final approval of research partner selected.</p> |

TRAINING

Head, Technology Transfer 1. Specifies the appropriate training methods and means (below) and obtains concurrence of the Management System Owner and the Management Process Owner.

Target Audience: Researchers, PIs, Department Heads

Instructor: Head of Technology Transfer

Training Method:

Read only

Email distribution only

Acknowledgment required - Informal (email, note, conversation or telecon sufficient)

Frequency:

Once only

Other: Upon revision of procedure.

Head, Technology Transfer 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 assistance and guidance in the course development, implementation, tracking, and maintenance.

Records Requirements Specific To This Procedure

Records Custodians must assure records are maintained as follows:

Record Title	Record Custodian	Location	Retention Time
Announcement of Collaborative Research Opportunity	Head, Technology Transfer	Project files	Transfer 1 record set to corporation partner following project completion and/or termination, as set forth in initial CRADA agreement. Retain 1 record set for 10 years after project completion or termination, and then destroy. Reference DOE records schedule WFO (2.b)
Response to Announcement of Collaborative Research Opportunity	Head, Technology Transfer	Project files	Transfer 1 record set to corporation partner following project completion and/or termination, as set forth in initial CRADA agreement. Retain 1 record set for 10 years after project completion or termination, and then destroy. Reference DOE records schedule WFO (2.b)

Attachments

1. Sample Format of a CRADA Announcement

**Princeton Plasma Physics Laboratory
James Forrestal Campus
P. O. Box 451, Princeton, NJ 08543**

- A. Cooperative Research and Development Agreement (CRADA) with private industry for research & development in *[state Topic Title here]* technology using ionized gases known as plasmas. POC Mr. Lewis Meixler, Head of the Office of Technology Transfer, E-mail LMeixler@PPPL.GOV. The Princeton Plasma Physics Laboratory (PPPL), operated by Princeton University under contract with the Department of Energy (DOE), is seeking industrial CRADA partners for research & development in technology related to *[state Topic Title here]*. Cooperative Research and Development Agreements (CRADAs) are structured to offer the Partner Company an opportunity to leverage its resources with that of the Laboratory in the development of industrial products or processes, and to share in any intellectual property such as patents or copyright material developed jointly during the CRADA project. The industrial partner may license intellectual property developed solely by the Laboratory. The objective of the CRADA program is to increase U.S. competitiveness. All projects are conducted under policies of nondisclosure of company proprietary information. The industrial partner is expected to share in the research, and may contribute funding, equipment, industrial components or software. This is not a procurement, and no funding will flow from PPPL to the industrial partner. Costs are expected to be shared between PPPL and the industrial partner.

[provide summary of the collaborative effort sought here]

Potential industry partners are requested to submit a written response expressing their interest in this program. The response should include responses to all of the following items:

- a. A description of the entity's experience in the technical field;
- b. A description of the participant's business, whether U. S. or foreign owned, and including a statement of whether the entity is a small, minority owned, veteran, or woman owned business;
- c. The potential benefits of this CRADA to the participant's business and the Laboratory, and;
- d. The partner's capability and commitment to the commercialization of products developed under this CRADA.

No proprietary information should accompany the response to this offer. Obligations of confidentiality may attend PPPL's disclosure of its technology with this offer. Depending on the partner's ability and commitment to commercialization and other factors, a license to PPPL's technology may be available to the industrial partner under the CRADA. Only written responses can be accepted. Due date for responses is _____