

Announcement of Collaborative Research Opportunities	Effective Date: Oct. 10, 2001	Initiated by: Head, Technology Transfer
	Supersedes: NEW	Approved: Director

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, partnering and licensing opportunities suited for transfer to the commercial sector as part of the Laboratory's Technology Transfer mission.

Acronyms

CRADA Cooperative Research and Development Agreement

Procedure**Responsibility****Action**

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|---------------------------|--|
| 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. |
| Head, Technology Transfer | 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.

B. Calls for interest in collaborative arrangements, in anticipation of the availability of funding in order to develop relationships for the purposes of developing proposal efforts that may lead to a partnership. |

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| Principal Investigator | 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, non-disclosure agreement or copyright protects that intellectual property. |
| Head, Technology Transfer | 4. Includes the topic title and summary of the proposed research into a format that is appropriate for publication in the Commerce Business Daily (CBD). (See Attachment 1)

NOTE: Other public forums, such as Federal Laboratory Consortium publications, or State of New Jersey Technology Council publications, may be used as a mechanism for making the opportunity generally known, at the discretion of the Principal Investigator and the Head of Technology Transfer |
| | 5. Forwards the prepared CBD announcement to the Head of Procurement in electronic format |
| Procurement | 6. Submits the announcement for publication in the Commerce Business Daily

7. Forwards a copy of the published CBD announcement and official receipt of the CBD announcement to the Head, Technology Transfer. |
| Head, Technology Transfer | 8. Retains the copy of the CBD announcement, the receipt, and records of responses received from the CBD solicitation. Forwards copies of the responses to the Principal Investigator for consideration regarding a research partner. |
| Principal Investigator | 9. 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. |
| Cognizant Department Head | 10. Accepts recommendation and forwards to the Deputy Director for final approval. |
| Deputy Director | 11. Provides final approval of research partner selected. |

Attachments

Sample Format of a Commerce Business Daily 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, Fax (609) 243-2418. 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, from 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's contribution may be contributions of funding, labor, equipment, industrial components or software. This is not a procurement, and no funding will flow from PPPL to the industrial partner. Costs of development will be shared based on a predetermined formula 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 this technical field;
- b. A description of the participant's business, including a statement of whether the entity is a small, minority owned, 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, 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 _____