

Navigating Collaboration and Sponsored Research at DOE National Laboratories

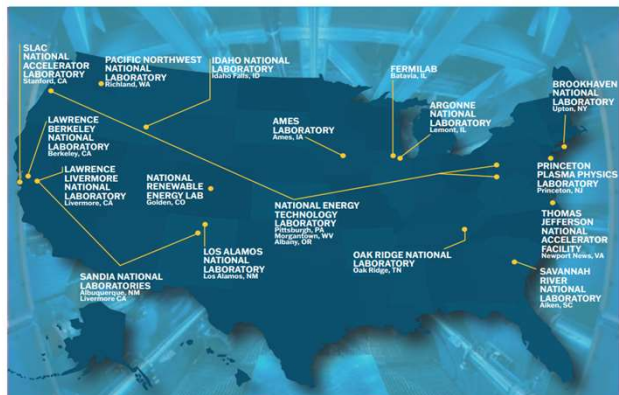
By

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Agenda

- Introduce the DOE Lab Complex
- The mechanisms of engagement with DOE labs
- Key Points to Know about working with DOE Labs
- Discussion



DOE National Laboratories

The crown jewels of the Nation's R&D ecosystem



National Lab priorities:

- Ensure the fullest use of the Nation's federal investment in R&D
- To guide use-inspired fundamental research
- To address key problems with 'dream teams' of academic, industry, and laboratory scientists working collaboratively
- To accelerate transfer of science insights and technologies to industry



FFRDCs (Federally Funded Research and Development Centers)

Federally funded research and development centers (FFRDCs) are public-private partnerships which conduct research and development for the United States Government.

- FFRDCs are operated by universities and corporations to fulfill certain long-term needs of the government "which cannot be met as effectively by existing in-house or contractor resources".
- FFRDCs are prohibited from competing for work with industry.



Focus on Tech Transfer

DOE's National Laboratories play a major role in DOE's mission to contribute to US economic security, scientific discovery, economic competitiveness, and quality of life through innovations in science and technology. Strong focus on using the national lab system to link basic science and industry.

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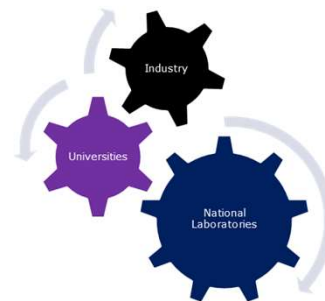


Sponsored Research Partnerships with National Laboratories

There are numerous ways to partner with the labs to access their unique capabilities including:

- Cooperative Research and Development Agreement (CRADA)
- Strategic Partnership Projects (SPP) – formerly known as Work for Others (WFO)
- Agreements for Commercializing Technology (ACT)
- Technical Assistance (TA) Agreement
- Proprietary and Non-Proprietary User Agreements
- Technology Licensing Agreement
- Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR)

Note: Not all National Laboratories have the same technology transfer mechanisms available. Contact the laboratory you are interested in partnering with for additional information



Universities Partnering with DOE Labs:

TABLE 1: CRADAs, SPPs, AND ACTs AT DOE NATIONAL LABS (FY2015-FY2019)

	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019
CRADAs, total active in the FY	666	739	924	1,011	1,002
CRADA funds in (\$ thousands)	\$60,497	\$60,435	\$61,031	\$68,102	\$62,102
SPPs (non-federal), total active in the FY	2,259	2,234	2,090	2,411	2,248
SPP (non-federal) funds in (\$ thousands)	\$247,230	\$255,443	\$204,308	\$250,583	\$271,545
ACTs, total active in the FY	75	78	101	122	126
ACT funds in (\$ thousands)	\$30,506	\$17,108	\$23,754	\$38,173	\$46,303

The State of the DOE National Labs - <https://www.energy.gov/sites/default/files/2021/01/f82/DOE%20National%20Labs%20Report%20FINAL.pdf>

The National Laboratories collectively **subcontract more than \$500 million annually to universities** and employ more than 8,500 students, post-doctoral fellows and faculty in a typical year.



DOE is actively seeking universities as partners

Watch the DOE website for announcements similar as below

- DOE National labs are very interested in engaging with universities as partners in responding to Funding Opportunity Announcements (FOA)
- Numerous DOE and ARPA-E calls are available
 - <https://arpa-e.energy.gov/faqs/current-funding-faqs>
 - <https://www.energy.gov/fecm/solicitations-and-business-opportunities>

NEWS & EVENTS > NEWS

DOE ANNOUNCES \$1.5 MILLION FOR RESEARCH DEVELOPMENT AND PARTNERSHIP PILOTS

Published: 1 March 2022

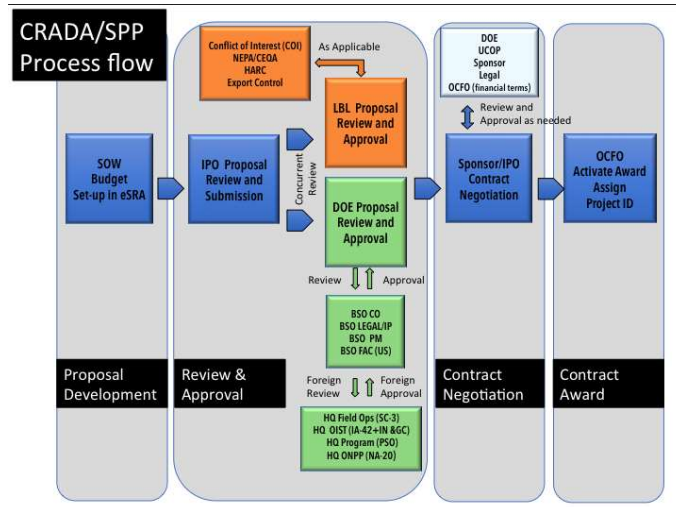
CATALYZING PARTNERSHIPS BETWEEN UNDERREPRESENTED COLLEGES AND UNIVERSITIES AND DOE CLIMATE, EARTH, AND ENVIRONMENTAL SCIENCES RESEARCH

The U.S. Department of Energy (DOE) announced plans to provide \$1.5 million for new grants to colleges and universities that are underrepresented in DOE's climate, Earth, and environmental science investments. The Research and Partnership Pilot (RPP) is designed to help provide technical assistance to build capacity and broaden institutional participation.

"With enormous challenges facing the country to solve the climate crisis and promote equitable solutions and practices, we must diversify and expand the talent pool in climate and Earth science disciplines in order for science to exert even greater impacts on society," said Sharlene Weatherwax, DOE Associate Director of Science for Biological and Environmental Research. "These grants will promote a strong and diverse talent pool as we move into the future, where climate science will make major and impactful contributions in support of the DOE mission."



Focus on SPP and CRADAs



LBL – CRADA and SPP Process Flow = <https://ipo.lbl.gov/for-researchers-partnerships/>



Strategic Partnership Projects (SPP) and Cooperative Research and Development Agreement (CRADA)

Know what DOE considers for approval as you prepare

- Unique capabilities are required from the laboratory that are not found in industry
- Cannot place the laboratory in direct competition with the private sector
- Requires full cost recovery
- No funds to flow from Laboratory to SPP sponsor or CRADA participant
- Is the work within the mission of the laboratory and DOE
- Statement of Work should have clear task, milestones and deliverables
- Work cannot create a detrimental burden on DOE resources



Key points to know when working with National Laboratories

DOE doesn't have the same motivations that private industry has so terms are generally in the sponsor/participants favor

Acceptance of the DOE standard terms and conditions will streamline the process significantly

CRADA must be cooperative. Participant must perform some tasks clearly outlined in the Statement of Work

SPP is not possible unless sponsor is contributing 100% of the funds

- DOE cannot augment work for other entities
- It isn't always just a local DOE Site office decision. Foreign reviews require additional DOE HQ reviews (DOE-SC; Program Secretarial Office; Office of International Affairs; NA-20 NNSA and others when needed)



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