



SANDIA NATIONAL LABORATORIES

CRADA

COOPERATIVE RESEARCH AND
DEVELOPMENT AGREEMENTS

An Overview for
Potential Collaborators

WHAT IS A CRADA?

A Cooperative Research and Development Agreement (CRADA) is a legal document that permits the transfer of NTESS's technologies; processes; research and development (R&D) capabilities; and technical know-how to the private sector or academia. Such technology transfer is authorized by the Stevenson-Wydler Technology Innovation Act of 1980. NTESS and the Department of Energy (DOE) benefit from collaborative research supporting DOE missions and program objectives. The CRADA Participant benefits from access to NTESS's unique technologies, capabilities, and expertise.

What distinguishes a CRADA from other partnership mechanisms is the collaborative nature of the work. Through a CRADA, the Participant and NTESS will work together as collaborators. For guidance with regard to the appropriate partnership mechanism contact CRADA@sandia.gov.



The DOE/Sandia Scaled Wind Farm Technology (SWIFT) facility allows for rapid, cost-efficient testing and development of transformative wind energy technology, with specific emphasis on improving wind plant performance. For more information visit swift.sandia.gov

Sandia National Laboratories (SNL) is managed and operated by National Technology & Engineering Solutions of Sandia LLC (NTESS), a wholly owned subsidiary of Honeywell International Inc. for the U.S. Department of Energy's National Nuclear Security Administration.



CRADA BENEFITS

Executing a CRADA with NTESS can allow Non-Federal Entities (NFEs) to:

- Access NTESS's unique technologies, processes, capabilities, and technical know-how
- Negotiate a license to NTESS-developed intellectual property
- Stretch R&D money to accomplish R&D objectives
- Protect commercially valuable information developed jointly under a CRADA
- Negotiate intellectual property and rights (thereof)

GETTING STARTED

Requirements:

To work with NTESS under a CRADA, the following is required:

- A written statement of work and related supporting documentation
- Acceptance of the CRADA's legal terms and conditions
- Identification of a funding source
- Review and approval of the project by DOE

Contact the CRADA Team as soon as collaborative work is being considered.

"Working with Sandia allows each company to focus on what we do best. Sandia designs cutting-edge microfabricated components and Rockwell Collins can integrate them to demonstrate new radio capabilities."

*Jon Lovseth, Senior Engineering Manager
Advanced Radio Systems:
Receiver Exciter Technology
Rockwell Collins Advanced Technology Center*

FUNDING

Funds-In: Cash payments made by the Participant to pay for CRADA work.

TIP: *Acceptance of the pre-approved CRADA Terms and Conditions greatly expedites Agreement execution.*

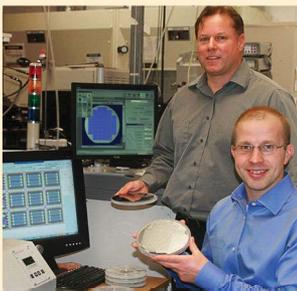
DOE requires that the Participant maintain a 60-day funding reserve. This funding reserve cannot be used to pay NTESS's costs for

CRADA work until the Participant's total funds-in contribution has been received. Since NTESS can perform work only when funding is received in advance, the Participant shall also provide a minimum of 30 days of advance funding. NTESS shall not begin work under the CRADA until the agreement is executed and both the 60-day funding reserve and the 30-day minimum advance funding are received.

DOE also requires a 3% Federal Administrative Charge be added to funds-in unless the Participant is eligible for an exception to full-cost recovery (e.g. small businesses, institutes of higher education, state and local governments).

In-Kind: In-kind refers to non-cash contributions of labor, property, or services provided by a Participant in support of the CRADA effort. In-kind contributions include personnel, personal property (equipment and supplies) and capital equipment.

All CRADAs must have in-kind support from the Participant, even when the project is being paid for solely with Participant funds.



Rockwell Collins has collaborated with Sandia since 2008 and licensed the patented microresonator technology. Ken Wojciechowski and Troy Olsson, Sandia Principal Electronics Engineers, hold wafers of microresonator filters.

INTELLECTUAL PROPERTY

In most circumstances, both the CRADA Participant and NTESS will be utilizing existing intellectual property (Background Intellectual Property or BIP) that they have already created. Each party will identify its BIP prior to the execution of the CRADA in order to avoid any confusion during the course of the CRADA relative to ownership of the BIP. BIP typically includes:

- Existing inventions,
- Existing patents or patent applications,
- Existing software codes/copyrights,
- Existing mask works, and
- Existing engineering designs/blueprints.

Identified BIP will be incorporated into an Annex of the CRADA document.

INFORMATION EXCHANGE

Once a CRADA is executed, properly marked information exchanged by NTESS and the CRADA Participant is protected under the CRADA. However, during all preliminary discussions before the CRADA is executed,

exercise caution prior to exchanging information.

TIP: *Sending payment via Electronic Funds Transfer (EFT) will allow you to start work faster.*

A Non-Disclosure Agreement (NDA)

should be completed and signed by both Parties before any Proprietary Information is disclosed to NTESS or received from NTESS prior to execution of the CRADA.

CRADA EXECUTION PROCESS

1.



Identify a need for collaboration.



2.



Contact the CRADA Team at CRADA@sandia.gov.



3.



Determine Estimated Costs and Potential Funding Sources.



4.



Develop Statement of Work using DOE-approved template.



5.



Agree on the CRADA's legal terms and conditions.



NOTE: Steps 3, 4 and 5 happen in parallel.

6.



Sign CRADA.



7.



Provide payment, if applicable.



Work can begin.



Sandia Responsibility



Sandia CRADA Agreement Specialist Responsibility



CRADA Participant Responsibility

For a current listing of collaborative opportunities visit our website.

Interested in collaborating with NTESS in a technical area but don't yet have a specific project in mind? Contact CRADA@sandia.gov.



**Sandia
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