

DOE 5800.1A
5-14-92

THIS PAGE MUST BE KEPT WITH DOE 5800.1A. RESEARCH AND
DEVELOPMENT LABORATORY TECHNOLOGY TRANSFER PROGRAMS.

DOE 5800.1A. RESEARCH AND DEVELOPMENT LABORATORY TECHNOLOGY
TRANSFER PROGRAMS. HAS REVISED DOE 5800.1 TO REFLECT
ORGANIZATIONAL TITLE AND OTHER EDITORIAL REVISIONS TO
INCORPORATE CHANGES REWIRED BY SEN-6. NO SUBSTANTIVE.
CHANGES HAVE BEEN MADE. DUE TO THE NUMBER OF PAGES AFFECTED
BY THE REVISIONS. THE ORDER HAS BEEN ISSUED AS A REVISION.

U.S. Department of Energy

Washington, D.C.

ORDER

DOE 5800.1A

5-18-92

SUBJECT: RESEARCH AND DEVELOPMENT LABORATORY TECHNOLOGY
TRANSFER PROGRAMS

1. PURPOSE. To establish the policy and responsibilities for the management of the Department of Energy (DOE) Research and Development (R&D) laboratory technology transfer programs.
2. CANCELLATION. DOE 5800.1, RESEARCH AND DEVELOPMENT LABORATORY TECHNOLOGY TRANSFER PROGRAM, of 3-25-82.
3. SCOPE. The provisions of this Order apply to all elements of the Department which are involved in the administration, management, and support of the DOE laboratories.
4. REFERENCES.
 - a. DOE 5000.1B, INSTITUTIONAL PLANNING BY MULTIPROGRAMS LABORATORIES, of 4-9-92, which establishes policy and responsibilities for administering the DOE multiprogram laboratories.
 - b. DOE 5600.1, MANAGEMENT OF THE DEPARTMENT OF ENERGY WEAPON PROGRAM AND WEAPON COMPLEX, of 6-27-79, which establishes policy and responsibilities for management of the weapon complex and program.
 - c. Public Law 96-480, The Stevenson-Wydler Technology Innovation Act of 1980, which requires technology transfer by federally funded R&D laboratories.
5. POLICY AND OBJECTIVES.
 - a. Policy. It is DOE policy that technology transfer activities as required by Public Law 96-480 are legitimate functions of the R&D laboratories and will be conducted, as appropriate, at those laboratories specified in this Order.
 - b. Objectives.
 - (1) To establish a Department policy and R&D laboratory technology transfer programs responsive to the requirements of Public Law 96-480.
 - (2) To require the conduct, as appropriate, of technology transfer activities at the R&D laboratories.
 - (3) To assure the application of consistent assumptions and procedures in the planning and conduct of technology transfer activities at the R&D laboratories.

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- (4) To assure appropriate and effective administration and management of the technology transfer programs by the Cognizant Secretarial Officers assigned responsibility for the R&D laboratories.
- (5) To assure the timely and accurate collection of data and information about technology transfer for the purpose of describing the overall DOE effort in the laboratory technology transfer programs.

6. DEFINITIONS

- a. Technology Transfer. The transformation of R&D into processes, products, and services that can be applied to State and local government and private sector needs. The R&D laboratory technology transfer programs emphasize personal interaction between the technical staff of the R&D laboratories and representatives of the public and private sectors. The R&D laboratory technology transfer programs include the following activities:
 - (1) Assessment of R&D projects for applicability to the needs of the private sector and State and local governments.
 - (2) Application and/or adaptation of research or technology into processes, products, and services for use by the private sector and State and local Governments.
 - (3) Technical assistance to the private sector and State and local governments in adapting federally developed technology for use.
 - (4) Cooperation with technology transfer brokers to move technology from the laboratories to the private sector and State and local governments.
 - (5) Licensing of DOE-owned patented technology for commercial use.
- b. Technology Transfer Brokers. Any institution or organization which provides linkage between the R&D source and the public or private sector utilizing the R&D.
- c. Cognizant Secretarial Officers and R&D Laboratories. Attachment 1 identifies the Cognizant Secretarial Officers and the DOE R&D laboratories under their purview.

7. RESPONSIBILITIES AND AUTHORITIES

- a. Deputy Secretary establishes DOE policy and overall guidance for the R&D laboratory technology transfer programs. In so doing, the Deputy Secretary is supported by the Director of Energy Research.

b. Director of Energy Research.

- (1) Provides staff recommendations to the Deputy Secretary regarding policy for the conduct of the technology transfer programs by the R&D laboratories.
- (2) Provides annual schedule and guidance to Cognizant Secretarial Officers for the DOE R&D laboratory technology transfer programs. The technology transfer programs will include the approval of an annual 5-year technology transfer program plan by the Cognizant Secretarial Officers and the submission of an annual technology transfer program report by each laboratory. The development of the guidance will be coordinated with the Cognizant Secretarial Officers.
- (3) Coordinates the technology transfer programs as part of the institutional planning process.
- (4) Provides guidance regarding the incorporation of the technology transfer program functions into existing institutional planning process for multiprogram laboratories. For those R&D laboratories not included in the existing institutional planning process provides guidance regarding utilization of applicable elements of that process so as to avoid creating any new duplicative process or paper requirement.
- (5) Coordinates the preparation of an annual laboratory technology transfer program reports.
- (6) Provides an interagency coordination point for technology transfer programs at DOE laboratories as appropriate.
- (7) The Laboratory Management Division, Office of Field Operations Management, ER-42, is the focal point for coordinating the laboratory technology transfer programs with institutional planning and interagency coordination as appropriate.

c. Cognizant Secretarial Officers.

- (1) Assure that the technology transfer programs are incorporated into the activities of the R&D laboratories under their responsibility to the extent appropriate and consistent with overall DOE policy.
- (2) Coordinate with the Director of Energy Research regarding general policies, assumptions, definitions, and procedures affecting the laboratory technology transfer programs.

- (3) Administer the technology transfer programs for the R&D laboratories for which they are responsible.
 - (4) Incorporate the technology transfer program into the existing institutional planning process for multiprogram laboratories and utilize applicable elements of the institutional planning process for R&D laboratories not now included in that process.
 - (5) Provide guidance through the appropriate field office, as applicable, for the R&D laboratories under their responsibility regarding the development and implementation of the technology transfer program consistent with the schedule and guidance issued by the Director of Energy Research.
 - (6) Approve annual 5-year technology transfer program plan for the R&D laboratories under their responsibility, utilizing the institutional process where appropriate.
- d. Director of Administration and Human Resource Management provides support for the technology transfer program at R&D laboratories as appropriate.
 - e. Director of Security Affairs provides security classification guidance on new areas of information as appropriate.
 - f. Assistant Secretary for Congressional and Intergovernmental Affairs provides recommendations to the Deputy Secretary regarding policy for conduct of and effectiveness of the technology transfer programs at the R&D laboratories in regard to State and local governments.
 - g. Assistant General Counsel for Intellectual Property.
 - (1) Administers patent licensing program of DOE, including granting of licenses to qualified applicants.
 - (2) Negotiates patent licenses, including charging of royalties where appropriate.
 - (3) Coordinates with operations offices and R&D laboratories to provide technical assistance to patent licenses when appropriate.
 - h. Deputy Assistant Secretary for Naval Reactors.
 - (1) Establishes procedures for all technology transfer concerning Naval reactors information at R&D laboratories.
 - (2) Approves all technology transfers concerning information in the Naval reactors program.

i. Managers of DOE Field Offices.

- (1) Oversee laboratory compliance with the guidance provided by the Director of Energy Research and the cognizant Secretarial Officers concerning the technology transfer program at R&D laboratories under their purview.
- (2) Advise and concur in the individual R&D laboratory technology transfer program annual 5-year plans and annual reports.

BY ORDER OF THE SECRETARY OF ENERGY:



Donald W. Pearman, Jr.
Acting Director
Administration and Human
Resource Management

R&D LABORATORIES AND RESPONSIBLE COGNIZANT SECRETARIAL OFFICERS 1/

1. Director of Energy Research.
 - a. Argonne National Laboratory
 - b. Brookhaven National Laboratory
 - c. Lawrence Berkeley Laboratory
 - d. Oak Ridge National Laboratory
 - e. Pacific Northwest Laboratory
 - f. Ames Laboratory
 - g. Continuous Electron Beam Accelerator Facility
 - h. Environmental Measurements Laboratory 2/
 - i. Fermi National Accelerator Laboratory
 - j. Inhalation Toxicology Research Institute
 - k. Laboratory of Biomedical and Environmental Sciences
 - l. Laboratory of Radiobiology and Environmental Health
 - m. Oak Ridge Institute for Science and Education
 - n. Princeton Plasma Physics Laboratory
 - o. Savannah River Ecology Laboratory
 - p. Stanford Linear Accelerator Center
 - q. Stanford Synchrotrons Radiation Laboratory
 - r. Superconducting Super Collider Laboratory

1/ R&D laboratories are contractor-operated except where noted

2/ Government-owned, Government-operated laboratory

R&D LABORATORIES AND RESPONSIBLE COGNIZANT SECRETARIAL OFFICERS 1/

2. Assistant Secretary for Defense Programs
 - a. Los Alamos National Laboratory
 - b. Lawrence Livermore National Laboratory
 - c. Sandia National Laboratory
 - d. Savannah River Laboratory
3. Assistant Secretary for Nuclear Energy.
 - a. Idaho National Engineering Laboratory
 - b. Bettis Atomic Power Laboratory
 - c. Energy Technology Engineering Center
 - d. Knolls Atomic Power Laboratory
4. Assistant Secretary for Fossil Energy.
 - a. Morgantown Energy Technology Center 2/
 - b. Pittsburgh Energy Technology Center 2/
5. Assistant Secretary, Conservation and Renewable Energy: National Renewable Energy Laboratory.
6. Director of Security Affairs: New Brunswick Laboratory.

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