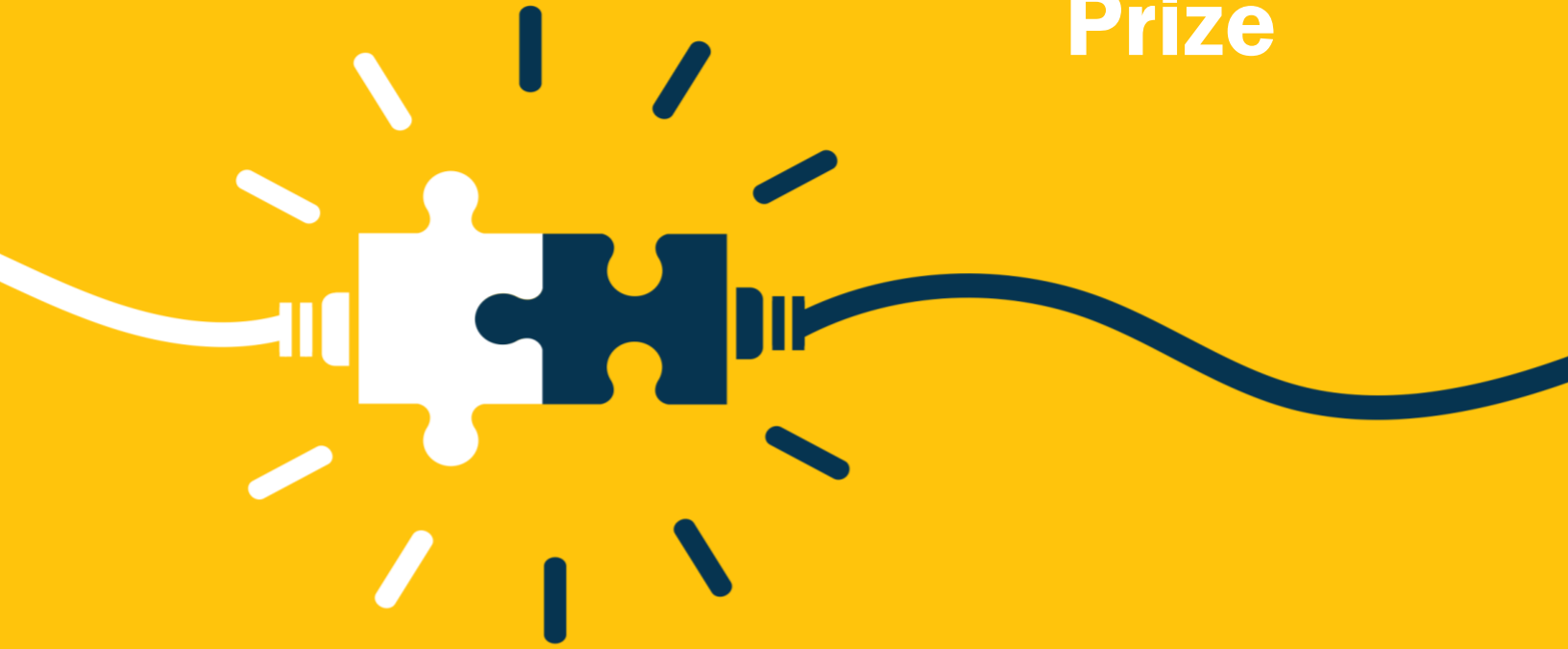


Lab MATCH Prize



Official Rules

September 2023



*Technology
Commercialization
Fund*

U.S. DEPARTMENT OF
ENERGY | OFFICE OF
Technology Transitions



OTT

Office of Technology Transitions

AMERICAN
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U.S. DEPARTMENT OF ENERGY

Preface

The U.S. Department of Energy’s Lab MATCH Prize will be governed by 15 U.S.C. § 3719 and this Official Rules document. This is not a procurement under the Federal Acquisitions Regulations and will not result in a grant or cooperative agreement under 2 CFR 200. The Prize Administrator reserves the right to modify this Official Rules document if necessary and will publicly post any such notifications as well as notify registered prize participants.

Date	Modification
-	-
-	-

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1 Executive Summary

The U.S. Department of Energy (DOE) Office of Technology Transitions (OTT) is launching the American-Made Making Advanced Technology Commercialization Harmonized (MATCH) Prize. This prize aims to accelerate national laboratory intellectual property (IP) licensing and commercialization. The goal of the prize is to connect national lab IP to a diverse cohort of innovators and entrepreneurs who have the commitment and business acumen to develop long-term commercialization plans and make significant progress toward licensing and commercializing the technology solutions.

1.1 Prizes

The Lab MATCH Prize offers a total prize pool of \$620,000 in cash across three phases. In Phase 1 (Commitment Phase), teams will compete to prove that they are committed to working through the technology transfer process to advance the licensing and commercialization of national lab IP. Teams will select the national lab IP that they are interested in, provide details about their team, plan, and relevant background to show evidence that they can accelerate the commercialization efforts and are willing to work closely with the relevant lab technology transfer office to make the plan a success. Up to 20 winning teams will receive \$2,500 each in cash and will be eligible to compete in Phase 2. The participating national laboratories include:

- National Renewable Energy Laboratory (NREL)
- Sandia National Laboratories (SNL)
- Oak Ridge National Laboratory (ORNL).

In Phase 2 (Plan Phase), winning teams from Phase 1 will continue to compete to create a comprehensive commercialization plan that describes their commercialization intentions, past experiences, and specific plans of action. Teams will submit the required laboratory Technology Transfer worksheets that will detail the plan of action and provide relevant information describing team skills and qualifications. This phase is focused on ensuring that the commercialization process is well-defined, the details in the plan and timelines are clear, the team has the resources, partners, potential funding, and external connections to be successful, and more. At the end of Phase 2, up to nine winning teams will receive \$30,000 each in cash and be eligible to compete in Phase 3.

In Phase 3 (Action Phase), winning teams from Phase 2 will make significant progress on licensing/commercialization by working closely with the national lab technology transfer office and the relevant researcher(s). We anticipate that IP agreement negotiations, licensing, and possibly commercialization could happen within the timing of the prize, but we also realize that some technologies require additional time to be completely and successfully commercialized. This phase of the prize allows for teams to work diligently toward the goal of commercialization, and the prize will be awarded based on level of progress toward that goal, as assessed by DOE. The submission form will give teams the ability to describe their progress made throughout the prize, describe the additional action needed to fully commercialize the technology (if applicable), and provide other useful information including further details about progress made, partnerships, etc. As evidence of significant progress, teams will be required to provide evidence that they have developed partnership agreements with commercialization partners, sponsors, investors, and customers that represent significant steps toward commercialization. At the end of Phase 3, three winning teams will each receive an additional prize of \$100,000 in cash.

Contest	Winners	Prizes
Commitment	Up to 20 winners	\$2,500 (\$50,000 total prize pool)
Plan	Up to 9 winners	\$30,000 (\$270,000 total prize pool)
Action	Up to 3 winners	\$100,000 (\$300,000 total prize pool)

1.2 Key Dates

- **Phase 1 – Submission Opens:** September 2023
- **Phase 1 – Submission Closes:** 5 p.m. ET on January 25th, 2024
- **Phase 1 – Winner Announcement:** Early Spring 2024 (anticipated)
- **Phase 2 – Submission Opens:** Early Spring 2024 (anticipated)
- **Phase 2 – Submission Closes:** Late Summer 2024 (anticipated)
- **Phase 2 – Winner Announcement:** Fall 2024 (anticipated)
- **Phase 3 – Submission Opens:** Fall 2024 (anticipated)
- **Phase 3 – Submission Closes:** Spring 2025 (anticipated)
- **Phase 3 – Winner Announcement:** Late Spring 2025 (anticipated)

Specific dates and timing will be updated on the [HeroX](#) platform.

1.3 Eligibility and Competitors

All Phase Eligibility

Competitors in the Lab MATCH Prize must comply with the eligibility requirements below. By uploading a submission package, a competitor certifies that they are in compliance with these eligibility requirements. Eligibility is subject to verification before prizes are awarded. As soon as the Prize Administrator becomes aware that a competitor is not eligible to win, the competitor may be disqualified. The registered competitor is the individual or entity that registers in [HeroX](#) to compete.

- DOE employees, employees of sponsoring organizations, members of their immediate families (e.g., spouses, children, siblings, or parents), and persons living in the same household as such persons, whether or not related, are not eligible to participate in the prize.
- Individuals who worked at DOE (federal employees or support service contractors) within six months prior to the submission deadline of any contest are not eligible to participate in any prize contests in this program.
- Federal entities and federal employees are not eligible to participate in any portion of the prize.
- DOE national laboratory employees cannot compete in the prize.
- Entities and individuals publicly banned from doing business with the U.S. government such as entities and individuals debarred, suspended, or otherwise excluded from or ineligible for participating in federal programs are not eligible to compete.
- Entities and individuals identified as a restricted party on one or more screening lists of the Department of Commerce, State, and the Treasury are not eligible to compete. See Consolidated Screening List at <https://www.trade.gov/consolidated-screening-list>.

- Individuals participating in a foreign government talent recruitment program¹ sponsored by a country of risk² and teams that include such individuals are not eligible to compete.
- Entities owned by, controlled by, or subject to the jurisdiction or direction of a government of a country of risk are not eligible to compete.
- As part of your submission to this prize program, you will be required to sign the following statement:

I am providing this submission package as part of my participation in this prize. I understand that the information contained in this submission will be relied on by the federal government to determine whether to issue a prize to the named competitor. I certify under penalty of perjury that the named competitor meets the eligibility requirements for this prize competition and complies with all other rules contained in the Official Rules document. I further represent that the information contained in the submission is true and contains no misrepresentations. I understand false statements or misrepresentations to the federal government may result in civil and/or criminal penalties under 18 U.S.C. § 1001 and § 287, and 31 U.S.C. §§ 3729-3733 and 3801-3812.

DOE may conduct a review, using government resources, of the competitor and project personnel for foreign interference. The result of the risk review may result in the submission being deemed ineligible in the prize competition. This risk review, and potential determination of ineligibility, can occur at any time during the prize competition. The results of a risk review are not appealable.

In keeping with the goal of growing a community of innovators, competitors are encouraged to form multidisciplinary teams while developing their concept. The [HeroX](#) platform provides a space where parties interested in collaboration can post information about themselves and learn about others who are also interested in competing in this contest.

Phase 1 Eligibility

- Individuals, teams of individuals, private entities (for-profits and nonprofits), and nonfederal government entities (such as states, counties, tribes, municipalities, and academic institutions) are eligible to compete in Phase 1 (Commitment Phase).
- A single competitor or team may submit a maximum of three submissions. If more than three submissions are received from a single competitor or team, the three most recently submitted submissions will be considered.

Phase 2 Eligibility

- Only winners of Phase 1 (Commitment Phase) are eligible to compete in Phase 2 (Plan Phase).

¹ Foreign Government-Sponsored Talent Recruitment Program is defined as an effort directly or indirectly organized, managed, or funded by a foreign government, or a foreign government instrumentality or entity, to recruit science and technology professionals or students (regardless of citizenship or national origin, or whether having a full-time or part-time position). Some foreign government-sponsored talent recruitment programs operate with the intent to import or otherwise acquire from abroad, sometimes through illicit means, proprietary technology or software, unpublished data and methods, and intellectual property to further the military modernization goals and/or economic goals of a foreign government. Many, but not all, programs aim to incentivize the targeted individual to relocate physically to the foreign state for the above purpose. Some programs allow for or encourage continued employment at United States research facilities or receipt of federal research funds while concurrently working at and/or receiving compensation from a foreign institution, and some direct participants not to disclose their participation to U.S. entities. Compensation could take many forms including cash, research funding, complimentary foreign travel, honorific titles, career advancement opportunities, promised future compensation, or other types of remuneration or consideration, including in-kind compensation.

² DOE has designated the following countries as foreign countries of risk: Iran, North Korea, Russia, and China. This list is subject to change.

- In Phase 2, all competitors must be a for-profit business entity, such as a corporation or other organization, that is formed in and maintains a primary place of business in the United States with majority domestic ownership and control. A for-profit business entity is eligible to compete only if it includes a winner from Phase 1 as an employee or owner. Individuals or groups of individuals are not eligible to compete in Phase 2.
- Winners from Phase 1 may form a for-profit entity during Phase 2 in order to be eligible to win the Phase 2 prize.

Phase 3 Eligibility

- Only winners of Phase 2 (Plan Phase) are eligible to compete in Phase 3 (Action Phase).

In Phase 3, all competitors must be a for-profit business entity, such as a corporation or other organization, that is formed in and maintains a primary place of business in the United States with majority domestic ownership and control. A for-profit business entity is eligible to compete only if it includes a winner from Phase 2 as an employee or owner. Individuals or groups of individuals are not eligible to compete in Phase 3.

2 Background

2.1 Prize Background

The Lab MATCH Prize is part of the American-Made Challenges program, which is your fast track to the clean energy revolution. Funded by DOE, it incentivizes innovation through prizes, training, teaming, and mentoring, connecting the nation's entrepreneurs and innovators to America's national labs and the private sector.

The Lab MATCH Prize is sponsored by the OTT, through the Technology Commercialization Fund, with a goal of accelerating the commercialization of national laboratory IP and getting the IP into the hands of qualified innovators who are ready to take the technology solutions to the next level. The specific goals of the prize include:

- Rapidly advance national lab IP licensing and commercialization
- Incentivize innovative for-profit companies and start-ups to speed their plans and activities to license and commercialize national laboratory IP
- Open the door to allow innovators to work with national labs and technology researchers to accelerate commercialization plans and action steps. Participating national labs include:
 - NREL
 - SNL
 - ORNL.
- Award prize money to the companies that made the most significant advancements in their commercialization plans along the way and who can prove that they have either been successful with their commercialization efforts or have a clear pathway for doing so.

2.2 Prize Phases

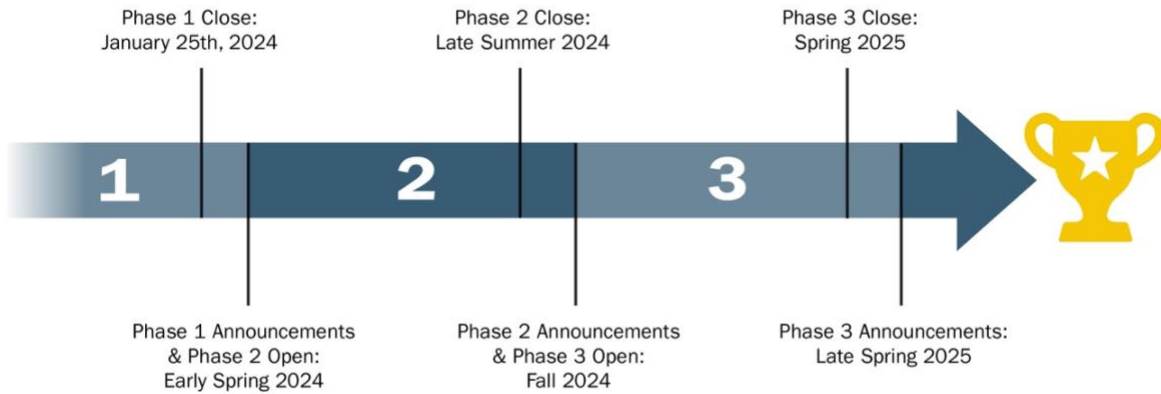
The Lab MATCH Prize contains three phases—Commitment, Plan, and Action—to incentivize national lab IP commercialization.

The three phases include:

Phase 1 – Commercialization Commitment: Competing teams will select national lab IP and prove that they are committed to working through the technology transfer process to advance the licensing and commercialization of national lab IP. Up to 20 winning teams will receive \$2,500 each in cash and will be eligible to compete in Phase 2.

Phase 2 – Commercialization Plan: Winning teams from Phase 1 will continue to compete to create a comprehensive commercialization plan that describes their commercialization intentions, past experiences, and specific plans of actions. At the end of Phase 2, up to nine winning teams will receive \$30,000 each in cash and be eligible to compete in Phase 3.

Phase 3 – Commercialization Action: Winning teams from Phase 2 will make significant progress on licensing/commercialization by working closely with the national lab technology transfer office and the relevant researcher(s). Teams will be expected to provide evidence that they have developed partnership agreements with commercialization partners, sponsors, investors, and customers that represent significant steps toward commercialization. At the end of Phase 3, three winning teams will each receive an additional prize of \$100,000 in cash.



2.3 Program Goal Requirements

Only submissions relevant to the goals of this program are eligible to compete. The Prize Administrator must conclude that all the following statements are true when applied to your submission:

- The proposed commercialization plan and activities are in alignment with the national lab IP expectations/requirements and the team provides enough background and information to demonstrate their commitment, engagement, and ability to secure resources to advance the technology selected.
- The team, through their submission materials, provides supporting material demonstrating that they have the expertise, capital, technical acumen, and practical capabilities to successfully license and commercialize the technology selected.
- The activities described in the submission package are performed in the United States and have the potential to benefit the U.S. market.
- The proposed plan and activities represent an approach that will license the technology to an entity that will commercialize the technology solution.
- The proposed solution is not dependent on new, pending, or proposed federal, state, or local government legislation, resolutions, appropriations, measures, or policies.
- The proposed solution does not involve the lobbying of any federal, state, or local government office.
- The proposed solution is based on fundamental technical and market principles and is consistent with a basic understanding of the U.S. economy.
- The submission content sufficiently confirms and describes the competitor's intent to commercialize technology and establish a viable U.S.-based business in the near future.

- Teams should be prepared to engage with the national labs and follow the commercialization process identified by individual labs and governed by DOE. Appendix 2 provides the various lab Technology Commercialization Worksheets that will need to be developed during this prize. Prize participants should make themselves familiar with DOE's Technology Transfer Working Group's Licensing Guide (https://www.energy.gov/sites/default/files/2019/08/f65/TTWGLicensingGuide2019_0.pdf), which provides important information about licensing and commercializing technologies from the national labs.

2.4 Additional Requirements

Please read and comply with additional requirements in Appendix 1.

COMPETITORS WHO DO NOT COMPLY WITH THESE REQUIREMENTS MAY BE DISQUALIFIED.

3 Phase 1 – Commercialization Commitment

3.1 Goal

Team will compete to prove they are committed to working through the technology transfer process to advance the licensing and commercialization of national lab IP. Teams will select the national lab IP that they are interested in, provide details about their team, plan, and relevant background to show evidence that they can accelerate the commercialization efforts and are willing to work closely with the relevant lab technology transfer office to make the plan a success. Up to 20 winning teams will receive \$2,500 each in cash and will be eligible to compete in Phase 2.

In this phase, teams will provide a clear plan of action that solidifies the team's engagement and commitment to participating in the prize for the long-term purpose of taking national lab-provided IP technology solutions to the next level, by licensing and commercializing the technology. The team shall develop a plan of action that clearly provides a pathway for successful commercialization that will bring the technology into the marketplace and offer a viable path for a sustainable business model.

Up to 20 winners will receive \$2,500 each and will be eligible to compete in Phase 2.

3.2 National Lab IP Offered as Part of Lab MATCH Prize

This prize has three engaged national labs participating who see value in accelerating the commercialization of lab IP technology solutions. These include:

- NREL
- SNL
- ORNL.

The technology transfer organizations within these labs are key members of the prize team and will play a role in helping the teams succeed along the way. Each lab has provided IP developed within their labs as options that can be selected by the prize competitors. Teams should select the IP that interests them most and matches their expertise. Teams shall also be ready and willing to work with the various technology transfer offices to complete additional relevant paperwork, hold meetings, and meet with relevant researchers as well.

Available IP that is offered as part of this prize include:

NREL:

- [PRECISE™](#) Pre-configuring and controlling inverter set-points software
- [Module-OT™](#) A security solution for distributed-energy-resource communications
- [Bioderived Monomers as Replacements in Petroleum-Based Polymers and Copolymers](#)
- [Automatic Load Type and Identification for Plug Load Management Systems](#)
- [Non-Contact Electroluminescence Imaging of Outdoor Modules.](#)

SNL:

- [SD 12201 Photovoltaic Prognostics](#)
- [SD 11471 Advanced Fire-Resistant Forms of Activated Carbon and Methods of Adsorbing and Separating Gases Using Same](#)

- [SD 13324 Rectenna that Converts Infrared Radiation to Electrical Energy](#)
- [SD 15033 Thermally Driven Nitrogen and Ammonia Production](#)
- [SD 11322 Solid State Lithium Battery](#)
- [SD 13289 Ducted Fuel Injection](#)
- [SD 14858 TwistAct](#)
- [SD 15307 Turf Algae Harvesting](#)
- [SD 16004 Multivalent SARS-CoV-2 Nanobodies.](#)

ORNL:

- [Catalytic Porous Polymer for Selective Reduction of CO2](#)
- [Intensified Carbon Capture Using Buildings Infrastructure \(ICCBI\)](#)
- [Thermally Anisotropic Composites for Improved Thermal Management in Building Envelopes](#)
- [Predictive Traction Assist for Vehicles in Platooning Operations](#)
- [Mechanically Robust Ion-Conducting Membranes for Redox Flow Batteries](#)
- [Novel Method to Prepare High Performance Magnet Polymer Composite Magnets.](#)

Other IP Options on the Lab Partnering Service:

DOE hosts a website geared toward connecting innovators to national lab IP and patents, called the Lab Partnering Service (LPS): <https://labpartnering.org/>. All of the IP listed above can be found on this website as well as countless additional DOE-funded technologies that are available for commercialization. Teams may choose to research other technologies on LPS and you may propose additional IP that comes from NREL, ORNL, or SNL. There is no guarantee that the national lab will be able to use your selected IP in this prize, but we will do our best to honor your request. If you want to submit IP from LPS that is not listed in the Prize Rules Document, you may do so. But we highly encourage you to submit a second submission with IP that is listed in the Rules Document as well. This will ensure that you at least include one technology that has been approved to be included in this prize.

3.3 How To Enter

Go to [HeroX](#) and follow the instructions for registering and submitting all required materials before the phase deadline. Competitors can also form teams or find partners through the [HeroX](#) platform.

3.4 Important Dates

Refer to the timeline on [HeroX](#) for relevant dates and deadlines.

3.5 Commitment Phase Process

The Commitment Phase consists of the following steps:

1. **Activation and Submission** – Competitors start by selecting an IP technology solution from a participating national lab that they are interested in commercializing (see Section 3.2 for available IP). Teams should consider the technology solution and their expertise related to that technology, the national lab that they would be working with, and the relevant requirements of the technology transfer offices; and commit to being an engaged and active partner during the prize. This prize requires a substantial time commitment to progress from Phase 1 all the way through Phase 3, which will result in IP commercialization. Teams must be ready for that commitment, be willing to communicate often with the national labs and the Prize Administrator, and be willing to engage with the national lab research and commercialization experts.

After the IP has been selected, the teams will also take action to provide documentation about their team, background, past commercialization experiences, partners, plans, and timeline to help provide a clear plan of action.

2. **Assessment** – The Prize Administrator screens submissions for eligibility and completion and assigns technology and commercialization experts and other subject-matter expert reviewers to independently score the content of each submission.
3. **Announcement** – After the winners are publicly announced, the Prize Administrator notifies the teams and requests the necessary information to distribute cash prizes. After winning Phase 1, competitors are eligible to compete in Phase 2.

3.6 What To Submit

A complete submission package for Phase 1 should include the following items:

- Cover page and narrative
- Summary PowerPoint slide
- Letters of commitment or support (optional).

The following details provide more guidance on what information to provide and how reviewers evaluate and score your submission. Reviewers will evaluate your submissions by assigning a single score for each scored submission section, based on their overall agreement or disagreement with a series of statements as shown in the following table.

1	2	3	4	5	6
Strongly Disagree	Disagree	Slightly Disagree	Slightly Agree	Agree	Strongly Agree

3.6.1 Cover Page Content

List basic information about your submission, including:

- Project title
- Team/company name
- Short description
- Key project members (names, contacts, and links to their professional online profiles)
- Other partners (if any)
- Your city, state, and nine-digit zip code.

3.6.2 Narrative

You should answer each of the following three questions. The suggested content bullets are only suggestions to guide your responses. You decide where to focus your answers. The individual answers to the three questions do not have a word limit; however, **the aggregate response to these three questions must not exceed 2,500 words**, not including captions, figures/graphs, or references. A word count must be included at the end of your submission (see template for details). You may also include **up to five supporting images, figures, or graphs**. The reviewers will score the questions based on the content you have provided.

Narrative

Maximum 2,500 words and 5 supporting images or figures (PDF)

Template:

Question 1 – How is your team qualified and capable of commercializing laboratory IP?

Suggested content competitor provides:

- Describe the team members on your team; provide information about past experiences that make you qualified to commercialize IP.
- Explain any past experiences you have had commercializing technologies/products and/or working with national labs.
- Provide any detail about your team that shows that you are engaging the help of others and utilizing diverse perspectives from market partners or have diverse team members.
- Explain why you are capable of advancing this technology to get it to commercialization success throughout this prize competition.
- Provide relevant LinkedIn links.

A single score on a scale of 1–6 is provided, taking the following statements into consideration:

- The team is committed and capable of commercializing IP technology solutions.
- The team has past experiences that directly relate to licensing or commercialization success.
- The team is diverse in nature and/or is ensuring that diverse perspectives are included in their plans.
- The team has the resources available to be successful including facilities, partners, and financial resources.

Question 2 – What IP technology solution did you select and why?

Suggested content competitor provides:

- Provide information about the IP that you chose and the national lab that it came from.
- Describe why you selected that IP technology and describe any expertise that you have that relates to that technology.
- Provide any additional background that helped you make this decision.
- Have you ever worked with the selected national lab in the past? If so, describe the relationship and experience.

A single score on a scale of 1–6 is provided, taking the following statements into consideration:

- The team has strong reasoning for selecting the IP technology and the national lab.
- The team has experience and background that could yield a successful commercialization project for this IP solution.
- The team has existing technology and capabilities that are complementary to the government IP selected.

Question 3 – What is your plan of action for commercialization?

Suggested content competitor provides:

- Describe the plan of action and the steps you will take throughout the prize competition if you were to be selected as a winner in Phase 1 and continue through Phase 3.

A single score on a scale of 1–6 is provided, taking the following statements into consideration:

- The plan of action has strong, achievable goals and high likelihood for success.
- The team's commercialization plan/timeline aligns well with the prize goals and timeline.

<ul style="list-style-type: none"> • Document the partners and external assistance that you will be seeking. • Describe any business considerations or changes you will need to make. • Do you have plans that will help advance a technology solution for use in underserved or underrepresented communities? If so, please explain. 	<ul style="list-style-type: none"> • There are clear steps described that will lead to a successful IP commercialization. • The plan details how the solution will help advance the marketplace and advance the technology utilization for underserved and underrepresented communities. • The team has a clear plan for engaging needed commercialization partners, customers, investors, and other partners.
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Reviewer Recommendation	
<ul style="list-style-type: none"> • There is no direct corresponding submission requirement for this score. Rather, it is an overall assessment of all materials submitted in HeroX. 	<p>A single score on a scale of 1–6 is provided, taking the following statements into consideration:</p> <ul style="list-style-type: none"> • The team/company should be strongly considered for a Phase 1 prize.

3.6.3 Submission Summary Slide (Will Be Made Public)

Make a public-facing, one-slide submission summary that introduces your team and/or organization and your plan. There is no template, so competitors are free to present the information in any format. Any text must be readable in a standard printed page and a conference room projection and should be in at least 14-point font.

3.6.4 Letters of Support or Commitment (Optional)

Attach one-page letters (of support, intent, or commitment) from other relevant entities to provide context. Letters of support from partners or others that are critical to the success of your proposed solution will likely increase your score. General letters of support from parties that are not critical to the execution of your solution will likely not factor into your score. Please do not submit multipage letters.

3.7 How Winners Are Determined and Awarded

The Prize Administrator screens all completed submissions and ensures that the teams are eligible. Then the Prize Administrator, in consultation with DOE, assigns subject-matter-expert reviewers who independently score the content of each submission. Both federal and national laboratory reviewers may be assigned to review the submissions and evaluate the competitor’s submission package according to the criteria above. DOE OTT will be the final decision maker for the prize awards and the commercialization activities will be implemented through the relevant national laboratory technology transfer offices.

3.7.1 Reviewer Panel Scoring

The scoring of submissions will proceed as follows:

- Experts will review each submission individually and assess the response from the competitor to each statement in the three criteria described in the tables in Section 3.6.2.
- Reviewers will score each section 1–6, depending on the degree to which the reviewer agrees that the submission reflects the statements for consideration.
- Each section score will be added together to generate a total score for the submission.
- The total scores from each reviewer will be averaged to produce a final score for the competing team/organization. This score will inform DOE’s decisions on prize awards, but DOE will consult with the participating national labs to make the final decisions.

3.7.2 Interviews

DOE, or the Prize Administrator, may decide to interview a subset of competitors. The interviews would be held prior to the announcement of the winners and would serve to help clarify questions the reviewers may have. Participating in interviews is not required, and interviews are not an indication of a competitor’s likelihood to win.

3.7.3 Final Determination

DOE will designate a federal employee as the judge before the final determination of the winners. Final determination of the winners by the judge will take into account the reviewers’ feedback and scores, application of program policy factors, and the interview findings (if applicable).

3.7.4 Announcement

Approximately 60 days after the contest closes, the Prize Administrator will notify the winners and request the necessary information to distribute the prizes. The Prize Administrator will then publicly announce the winners.

3.8 Additional Terms and Conditions

See Appendix 1 for additional requirements.

COMPETITORS THAT DO NOT COMPLY WITH THE ADDITIONAL REQUIREMENTS IN APPENDIX 1 MAY BE DISQUALIFIED.

4 Phase 2 – Commercialization Plan

4.1 Goal

Winning teams from Phase 1 will continue to compete to create a comprehensive commercialization plan that describes their commercialization intentions, past experiences, and specific plans of action. Teams will submit the required laboratory technology transfer worksheets that will detail the plan of action and provide relevant information describing team skills and qualifications. This phase is focused on ensuring that the commercialization process is well-defined, the details in the plan and timelines are clear, the team has the resources, partners, potential funding, and external connections to be successful, and more.

Submission materials in this phase are specifically geared toward advancing commercialization plans and providing documentation that the various national lab technology transfer offices need to continue moving the IP licensing/commercialization process forward. Each national lab may have slightly different requirements for providing verification of qualifications. The forms for NREL, ORNL, and SNL are included in Appendix 2 and each team is responsible for downloading and completing the relevant lab Commercialization Worksheet based on the lab you are working with.

Up to nine winners will receive \$30,000 each and the right to continue to compete in Phase 3.

4.2 How To Enter

Go to [HeroX](#) and follow the instructions for registering and submitting all required materials before the phase deadline. Competitors can also form teams or find partners through the [HeroX](#) platform.

4.3 Important Dates

Refer to the timeline on [HeroX](#) for relevant dates and deadlines.

4.4 Plan Phase Process

The Plan Phase consists of the following steps:

1. **Activation and Submission** – Competitors have already selected their IP in Phase 1, so Phase 2 should focus on advancing your commercialization plan and providing the necessary materials that the national labs need to ensure that the team is committed and qualified to be successful in commercializing the technology. Teams will be assigned a technology transfer contact at the relevant national lab to communicate with and ask questions of to help guide the submission materials. The lab researcher may also be available to work with the team to answer technical questions that will advance the commercialization process.

In this phase, all teams must become a for-profit business entity, such as a corporation or other organization, that is formed in and maintains a primary place of business in the United States with majority domestic ownership and control. A for-profit business entity is eligible to compete only if it includes a winner from Phase 1 as an employee or owner. Individuals or groups of individuals are not eligible to compete in Phase 2.

2. **Assessment** – The Prize Administrator screens submissions for eligibility and completion and assigns national lab technology transitions experts to independently score the content of each submission.

3. **Announcement** – After the winners are publicly announced, the Prize Administrator notifies the teams and requests the necessary information to distribute cash prizes. After winning Phase 2, competitors are eligible to compete in Phase 3.

4.5 What To Submit

A complete submission package for Phase 2 should include the following items:

- Cover page and narrative
- Summary PowerPoint slide
- Commercialization Worksheet
- Letters of commitment or support (optional).

The following details provide more guidance on what information to provide and how reviewers evaluate and score your submission. Reviewers will evaluate your submissions by assigning a single score for each scored submission section, based on their overall agreement or disagreement with a series of statements.

1	2	3	4	5	6
Strongly Disagree	Disagree	Slightly Disagree	Slightly Agree	Agree	Strongly Agree

4.5.1 Cover Page Content

List basic information about your submission, including:

- Project title
- Team name
- Short description
- Key project members (names, contacts, and links to their professional online profiles)
- Other partners (if any)
- Your city, state, and nine-digit zip code.

4.5.2 Narrative

You should answer each of the following three questions. The content bullets are only suggestions to guide your responses. You decide where to focus your answers. The individual answers to the three questions do not have a word limit; however, **the aggregate response to these three questions must not exceed 2,500 words**, not including captions, figures/graphs, or references. A word count must be included at the end of your submission (see template for details). You may also include **up to five supporting images, figures, or graphs**. The reviewers will score the questions based on the content you have provided.

Narrative

Max 2,500 words and 5 supporting images or figures (PDF)

Template:

Question 1 – How is your team qualified and dedicated to commercializing laboratory IP?

Suggested content competitor provides:

- Describe your team and new updates about your team, including the team members. Provide information about past experiences that make you well qualified.
- Describe what your team did during the competition that is leading you to successful IP commercialization and licensing.
- Explain how you are using past experiences to license or commercialize the technologies or products.
- Provide any detail about your team that shows that you are engaging the help of others and utilizing diverse perspectives from market partners or have diverse team members.
- Describe the additional resources that your team is putting toward your efforts.
- Provide relevant LinkedIn links.

A single score on a scale of 1–6 is provided, taking the following statements into consideration:

- The team remains capable and committed to commercializing IP technology solutions and they have demonstrated some successes during the prize competition so far.
- The team has utilized their past experiences to make progress on licensing and commercialization.
- The team is diverse in nature and/or is ensuring that diverse perspectives are included in their plans.
- The team has leveraged outside resources, facilities, partnerships, and/or financial contributions to advance their plans.

Question 2 – What IP technology solution did you select and why?

Suggested content competitor provides:

- Provide information about the IP that you chose and the national lab that it came from.
- Describe why you selected that IP technology and describe any expertise that relates to that technology.
- Describe anything new related to successes, lessons learned, or barriers that you are experiencing with the technology and/or market potential.
- Provide any additional background that helped you make this decision.
- Have you ever worked with the selected national lab in the past? If so, describe the relationship and experience.

A single score on a scale of 1–6 is provided, taking the following statements into consideration:

- The team has identified successes, lessons learned, or barriers to market potential that are well articulated.
- The team has experience and background that will yield a successful commercialization project for this IP solution.
- The team has existing technologies or capabilities that they are utilizing as part of the licensing and commercialization efforts.

Question 3 – What is your plan of action for commercialization and what progress have you made during the prize competition so far?

<p>Suggested content competitor provides:</p> <ul style="list-style-type: none"> • Describe the plan of action and the steps you have taken and will take throughout the prize competition, if you were to be selected as a winner in Phase 2 and continue through Phase 3. • Describe the steps and successes that you have accomplished so far in the prize competition process. • Have you needed to pivot or change your plans? Tell us why and what you are adjusting to help move the commercialization process forward. • Describe how your team is engaging with the relevant national lab, learning about their processes, and understanding the requirements. • Document the partners and external assistance that you will be seeking. • Describe any business considerations or changes you will need to make. • Do you have plans that will help advance a technology solution for use in underserved or underrepresented communities? If so, please explain. 	<p>A single score on a scale of 1–6 is provided, taking the following statements into consideration:</p> <ul style="list-style-type: none"> • The plan of action still seems reasonable, achievable, and the team is on track based on their plan. • The team has made progress toward successful IP commercialization. • The team has successfully worked with the relevant national lab, is communicating effectively, and is making significant progress. • The plan details how the solution will help advance the marketplace and advance the technology utilization for underserved and underrepresented communities. • The team has engaged partners, found potential customers, or has made progress in developing partnerships for the future.
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<p>Reviewer Recommendation</p>	
<ul style="list-style-type: none"> • There is no direct corresponding submission requirement for this score. Rather, it is an overall assessment of all materials submitted in HeroX. 	<p>A single score on a scale of 1–6 is provided, taking the following statements into consideration:</p> <ul style="list-style-type: none"> • The team/company should be strongly considered for a Phase 3 prize.

4.5.3 Submission Summary Slide (Will Be Made Public)

Make a public-facing, one-slide submission summary that introduces your team and/or organization and your mission. There is no template, so competitors are free to present the information in any format. Any text must be readable in a standard printed page and a conference room projection and should be in at least 14-point font.

4.5.4 Commercialization Worksheet (Will Not Be Made Public, But Will Be Shared With the Relevant National Lab)

Upload the Commercialization Worksheet for the relevant national lab (in Appendix 2 and available as a downloadable document on [HeroX](#)). This information will be reviewed by the relevant national lab and will be used as an additional element in the review process. This completed file can be uploaded as a Word document or PDF in your [HeroX](#) submission.

4.5.5 Letters of Support or Commitment (Optional)

Attach one-page letters (of support, intent, or commitment) from other relevant entities to provide context. Letters of support from partners or others that are critical to the success of your proposed solution will likely increase your score. General letters of support from parties that are not critical to the execution of your solution will likely not factor into your score. Please do not submit multipage letters.

4.6 How Winners Are Determined and Awarded

The Prize Administrator screens all completed submissions and ensures that the teams are eligible. Then the Prize Administrator, in consultation with DOE, assigns subject-matter-expert reviewers who independently score the content of each submission. Both federal and national laboratory reviewers may be assigned to review the submissions and evaluate the competitor's submission package according to the criteria above. DOE OTT will be the final decision maker for the prize awards and the commercialization activities will be implemented through the relevant national laboratory technology transfer offices.

4.6.1 Reviewer Panel Scoring

The scoring of submissions will proceed as follows:

- Experts will review each submission individually and assess the response from the competitor to each statement in the three criteria described in the tables in Section 4.5.2.
- Reviewers will score each section 1–6, depending on the degree to which the reviewer agrees that the submission reflects the statements for consideration.
- Each section score will be added together to generate a total score for the submission.
- The total scores from each reviewer will be averaged to produce a final score for the competing team/organization. This score will inform DOE's decisions on prize awards, but DOE will make the final decisions.

4.6.2 Interviews

DOE, or the Prize Administrator, may decide to interview a subset of competitors. The interviews would be held prior to the announcement of the winners and would serve to help clarify questions the reviewers may have. Participating in interviews is not required, and interviews are not an indication of a competitor's likelihood to win.

4.6.3 Final Determination

DOE will designate a federal employee as the judge before the final determination of the winners. Final determination of the winners by the judge will take into account the reviewers' feedback and scores, application of program policy factors, and the interview findings (if applicable).

4.6.4 Announcement

Approximately 60 days after the contest closes, the Prize Administrator will notify the winners and request the necessary information to distribute the prizes. The Prize Administrator will then publicly announce the winners.

4.7 Additional Terms and Conditions

See Appendix 1 for additional requirements.

COMPETITORS THAT DO NOT COMPLY WITH THE ADDITIONAL REQUIREMENTS IN APPENDIX 1 MAY BE DISQUALIFIED.

5 Phase 3 – Commercialization Action

5.1 Goal

Winning teams from Phase 2 will make significant progress on licensing/commercialization by working closely with the national lab technology transfer office and relevant researcher(s). We anticipate that IP agreement negotiations, licensing, and possibly commercialization could happen within the timing of the prize, but we also realize that some technologies require additional time to be successfully commercialized completely. This phase of the prize allows for teams to work diligently toward the goal of commercialization, and the prize will be awarded based on level of progress toward that goal, as assessed by DOE. The submission form will give teams the ability to describe their progress made throughout the prize, describe the additional action needed to fully commercialize the technology (if applicable), and provide other useful information including further details about progress made, partnerships, etc. As evidence of significant progress, teams will be required to provide evidence that they have developed partnership agreements with commercialization partners, sponsors, investors, and customers that represent significant steps toward commercialization. Evidence may take many forms, but could include contract agreements for purchasing equipment, evidence of funding provided to advance the technology or company, pilot project agreements, customer orders, etc.

Up to three winners will each receive \$100,000.

5.2 How To Enter

Go to [HeroX](#) and follow the instructions for registering and submitting all required materials before the phase deadline.

5.3 Important Dates

Refer to the timeline on [HeroX](#) for relevant dates and deadlines.

5.4 Action Phase Process

The Action Phase consists of the following steps:

- 1. Activation and Submission** – Competitors have already developed their plans and started working with the national labs, so Phase 3 should focus on actively implementing your commercialization plan, making progress toward commercialization, deeply engaging with the national labs, securing mentors/partners, and potentially fully licensing/commercializing the IP by the end of the prize. Teams will continue to work with their assigned technology transfer contact and researcher at the relevant national lab to work toward commercialization during the prize competition.
- 2. Assessment** – The Prize Administrator screens submissions for eligibility and completion and assigns national lab technology transitions experts to independently score the content of each submission.
- 3. Announcement** – After the winners are publicly announced, the Prize Administrator notifies the teams and requests the necessary information to distribute the cash prize.

5.5 What To Submit

A complete submission package for Phase 3 should include the following items:

- 90-second video (public)
- Cover page and narrative
- Summary PowerPoint slide
- Letters of commitment or support (required).

The following details provide more guidance on what information to provide and how reviewers evaluate and score your submission. Reviewers will evaluate your submissions by assigning a single score for each scored submission section, based on their overall agreement or disagreement with a series of statements.

1	2	3	4	5	6
Strongly Disagree	Disagree	Slightly Disagree	Slightly Agree	Agree	Strongly Agree

5.5.1 Online Public Video (Will Be Made Public)

Online Public Video – What’s your team and commercialization solution in 90 seconds?	
<p>Suggested content competitor provides:</p> <ul style="list-style-type: none"> • What have you accomplished during this competition and how close are you to meeting the goals set forth in your commercialization plan? • Describe your interactions with the national lab, other partners, and anyone else who helped you get to this point. • What are your next steps to continue to commercialize the IP technology? 	<p>The video will be taken into consideration, but will not be scored.</p> <ul style="list-style-type: none"> • The video explains the progress made to date and the progress seems to be in alignment with the developed plans. • Significant progress has been made to commercialize the IP technology.

Post your publicly accessible video online (e.g., YouTube, Vimeo). Be creative and produce a video that conveys the required information in exciting and interesting ways, but do not focus on time-consuming activities that only improve production values (i.e., technical elements such as décor, lighting, and cinematic techniques). Assistance from others with experience in this area may be helpful. Members of the American-Made Network may be able to help you create your video.

5.5.2 Cover Page Content

List basic information about your submission, including:

- Project title
- Team name
- Short description
- Key project members (names, contacts, and links to their professional online profiles)
- Other partners, customers, or mentors
- Your city, state, and nine-digit zip code.

5.5.3 Narrative

You should answer each of the following three questions. The content bullets are only suggestions to guide your responses. You decide where to focus your answers. The individual answers to the three questions do not have a word limit; however, **the aggregate response to these three questions must not exceed 2,500 words**, not including captions, figures/graphs, or references. A word count must be included at the end of your submission (see template for details). You may also include **up to five supporting images, figures, or graphs**. The reviewers will score the questions based on the content you have provided.

Narrative	
Max 2,500 words and 5 supporting images or figures (PDF)	
Template:	
Question 1 – How will your team continue to commercialize the IP beyond the Prize?	
<p>Suggested content competitor provides:</p> <ul style="list-style-type: none"> • Describe how your team delivered successfully throughout the prize competition. • Describe what your team did during the competition that has led to successful IP commercialization. • Describe how your team is dedicated to continuing to make progress towards commercialization and build a sustainable business around this IP. 	<p>A single score on a scale of 1–6 is provided, taking the following statements into consideration:</p> <ul style="list-style-type: none"> • The team remains capable and committed to commercializing IP technology solutions and they have demonstrated significant successes during the prize competition. • The team is successfully staying engaged with the relevant national lab to develop a long-term sustainable business plan around this IP. • The team is diverse in nature and/or is ensuring that diverse perspectives are included in their plans. • The team has leveraged outside resources, facilities, partnerships, and/or financial contributions to advance their plans.

Question 2 – What have you accomplished during this prize competition?

Suggested content competitor provides:

- Describe the plan of action and the steps that you took throughout the prize competition.
- Did you successfully license or commercialize the IP technology? If not, how close are you and what work still needs to be done?
- Describe the steps and successes that you have accomplished through this process.
- Do you have a plan for continued success and new partnerships?
- Describe how your team is engaged with the relevant national lab and what lessons were learned.
- Do you have any key successes or significant roadblocks you want to explain?
- Document the partners and external assistance that you leveraged.
- Describe any new business considerations or changes you will need to make going forward.
- Do you have plans that will help advance a technology solution for use in underserved or underrepresented communities? If so, please explain.
- Describe any customers or funders that you have developed agreements with.

A single score on a scale of 1–6 is provided, taking the following statements into consideration:

- The team has proven to be successful during the prize competition and made significant progress towards licensing and commercialization.
- The team was able to pivot to adjust for lessons learned or barriers to market potential along the way.
- The team was able to successfully license, commercialize, and/or implement their plan during the prize competition.
- The team has identified potential customers, partners, and/or funding organizations that will help jumpstart the commercialization activities.

Question 3 – What are your future plans to continue this work?

Suggested content competitor provides:

- Describe the plan of action and the steps you will take after the prize concludes.
- Describe what steps are needed to complete the commercialization process, expand the work, sustain the business, engage the market, etc.
- Now that the prize is complete, do you feel like there was enough time to accomplish your goals? If not, what could have been changed to help you meet your goals, and will you continue on that pathway?

A single score on a scale of 1–6 is provided, taking the following statements into consideration:

- The team has a valuable plan and approach for continuing this work to enable full commercialization and a sustainable business model.
- The team is well equipped to continue this work based on the progress they made during the prize and the plans they are working toward.

<ul style="list-style-type: none"> • Tell us about your future plans. 	
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Reviewer Recommendation	
<ul style="list-style-type: none"> • There is no direct corresponding submission requirement for this score. Rather, it is an overall assessment of all materials submitted in HeroX. 	<p>A single score on a scale of 1–6 is provided, taking the following statements into consideration:</p> <ul style="list-style-type: none"> • The team/company should be strongly considered for a Phase 3 prize.

5.5.4 Submission Summary Slide (Will Be Made Public)

Make a public-facing, one-slide submission summary that introduces your team and/or organization and your mission. There is no template, so competitors are free to present the information in any format. Any text must be readable in a standard printed page and a conference room projection and should be in at least 14-point font.

5.5.5 Letters of Support or Commitment (Required)

Attach one-page letters of commitment from other relevant entities. Letters of commitment from partners, customers, mentors, or others that are critical to the success of your commercialization efforts are required in this phase. Contract agreements and/or legally binding letters of commitment are highly encouraged. General letters of support from parties that are not critical to the execution of your solution will likely not factor into your score. Please do not submit multipage letters.

5.6 How Winners Are Determined and Awarded

The Prize Administrator screens all completed submissions and ensures that the teams are eligible. Then the Prize Administrator, in consultation with DOE, assigns subject-matter-expert reviewers who independently score the content of each submission. Both federal and national laboratory reviewers may be assigned to review the submissions and evaluate the competitor’s submission package according to the criteria above. DOE OTT will be the final decision maker for the prize awards and the commercialization activities will be implemented through the relevant national laboratory technology transfer offices.

5.6.1 Reviewer Panel Scoring

The scoring of submissions will proceed as follows:

- Experts will review each submission individually and assess the response from the competitor to each statement in the three criteria described in the tables in Section 5.5.3.
- Reviewers will score each section 1–6, depending on the degree to which the reviewer agrees that the submission reflects the statements for consideration.
- Each section score will be added together to generate a total score for the submission.
- The total scores from each reviewer will be averaged to produce a final score for the competing team/organization. This score will inform DOE’s decisions on prize awards, but DOE will make the final decisions.

5.6.2 Interviews

DOE, or the Prize Administrator, may decide to interview a subset of competitors. The interviews would be held prior to the announcement of the winners and would serve to help clarify questions the reviewers may have. Participating in interviews is not required, and interviews are not an indication of a competitor's likelihood to win.

5.6.3 Final Determination

DOE will designate a federal employee as the judge before the final determination of the winners. Final determination of the winners by the judge will take into account the reviewers' feedback and scores, application of program policy factors, and the interview findings (if applicable).

5.6.4 Announcement

Approximately 60 days after the contest closes, the Prize Administrator will notify the winners and request the necessary information to distribute the prizes. The Prize Administrator will then publicly announce the winners.

5.7 Additional Terms and Conditions

See Appendix 1 for additional requirements.

COMPETITORS THAT DO NOT COMPLY WITH THE ADDITIONAL REQUIREMENTS IN APPENDIX 1 MAY BE DISQUALIFIED.

Appendix 1: Additional Terms and Conditions

A.1 Requirements

Your submission for the Laboratory Making Advanced Technology Commercialization Harmonized (MATCH) Prize is subject to the following terms and conditions:

- You must post the final content of your submission or upload the submission form online by January 25th, 2024, before the prize's Phase 1 submission period closes. Late submissions or any other form of submission may be rejected.
- All submissions that you wish to protect from public disclosure must be marked according to the instructions in Section 10 of Appendix 1 (Section A.10). Unmarked or improperly marked submissions will be deemed to have been provided with unlimited rights and may be used in any manner and for any purpose whatsoever.
- You must include all the required elements in your submission. The Prize Administrator may disqualify your submission after an initial screening if you fail to provide all required submission elements. Competitors may be given an opportunity to rectify submission errors due to technical challenges.
- Your submission must be in English and in a format readable by Microsoft Word or Adobe PDF. Scanned hand-written submissions will be disqualified.
- Submissions will be disqualified if they contain any matter that, in the sole discretion of the U.S. Department of Energy or the National Renewable Energy Laboratory (NREL), is indecent, obscene, defamatory, libelous, and/or lacking in professionalism, or demonstrates a lack of respect for people or life on this planet.
- If you click "Accept" on the HeroX platform and proceed to register for any of the prizes described in this document, these rules will form a valid and binding agreement between you and DOE, and are in addition to the existing HeroX Terms of Use for all purposes relating to these contests. You should print and keep a copy of these rules. These provisions only apply to the prize described here and no other prize on the HeroX platform or anywhere else.
- The Prize Administrator, when feasible, may give competitors an opportunity to fix nonsubstantive mistakes or errors in their submission packages.
- As part of your submission to this prize, you will be required to sign the following statement:

I am providing this submission package as part of my participation in this prize. I understand that the information contained in this submission will be relied on by the federal government to determine whether to issue a prize to the named competitor. I certify under penalty of perjury that the named competitor meets the eligibility requirements for this prize competition and complies with all other rules contained in the Official Rules document. I further represent that the information contained in the submission is true and contains no misrepresentations. I understand false statements or misrepresentations to the federal government may result in civil and/or criminal penalties under 18 U.S.C. § 1001 and § 287, and 31 U.S.C. §§ 3729-3733 and 3801-3812.

A.2 Verification for Payments

The Prize Administrator will verify the identity and role of all competitors before distributing any prizes. Receiving a prize payment is contingent upon fulfilling all requirements contained herein. The Prize Administrator will notify winning competitors using provided email contact information for the individual or entity that was responsible for the submission. Each competitor will be required to sign and return to the

Prize Administrator, within 30 days of the date on the notice, a completed NREL Request for ACH Banking Information form and a completed W9 form (<https://www.irs.gov/pub/irs-pdf/fw9.pdf>). In the sole discretion of the Prize Administrator, a winning competitor will be disqualified from the competition and receive no prize funds if: (i) the person/entity does not respond to notifications; (ii) the person/entity fails to sign and return the required documentation within the required time period; (iii) the notification is returned as undeliverable; (iv) the submission or person/entity is disqualified for any other reason.

In the event of a dispute as to any registration, the authorized account holder of the email address used to register will be deemed to be the competitor. The "authorized account holder" is the natural person or legal entity assigned an email address by an Internet access provider, online service provider, or other organization responsible for assigning email addresses for the domain associated with the submitted address. All competitors may be required to show proof of being the authorized account holder.

A.3 Teams and Single-Entity Awards

The Prize Administrator will award a single dollar amount to the designated primary submitter, whether it consists of a single or multiple entities. The primary submitter is solely responsible for allocating any prize funds among its member competitors or teammates as they deem appropriate. The Prize Administrator will not arbitrate, intervene, advise on, or resolve any matters or disputes between team members or competitors.

A.4 Submission Rights

By making a submission and consenting to the rules of the contest, a competitor is granting to DOE, the Prize Administrator, and any other third parties supporting DOE in the contest, a license to display publicly and use the parts of the submission that are designated as "public" for government purposes. This license includes posting or linking to the public portions of the submission on the Prize Administrator or HeroX applications, including the contest website, DOE websites, and partner websites, and the inclusion of the submission in any other media worldwide. The submission may be viewed by DOE, the Prize Administrator, and judges and reviewers for purposes of the contests, including but not limited to screening and evaluation purposes. The Prize Administrator and any third parties acting on their behalf will also have the right to publicize competitors' names and, as applicable, the names of competitors' team members and organization, who participated in the submission on the contest website indefinitely.

By entering, the competitor represents and warrants that:

1. The competitor's entire submission is an original work by the competitor and the competitor has not included third-party content (such as writing, text, graphics, artwork, logos, photographs, likenesses of any third party, musical recordings, clips of videos, television programs or motion pictures) in or in connection with the submission, unless (i) otherwise requested by the Prize Administrator and/or disclosed by the competitor in the submission, and (ii) the competitor has either obtained the rights to use such third-party content or the content of the submission is considered to be in the public domain without any limitations on use.
2. Unless otherwise disclosed in the submission, the use thereof by the Prize Administrator, or the exercise by the Prize Administrator of any of the rights granted by the competitor under these rules, does not and will not infringe or violate any rights of any third party or entity, including, without limitation, patent, copyright, trademark, trade secret, defamation, privacy, publicity, false light, misappropriation, intentional or negligent infliction of emotional distress, confidentiality, or any contractual or other rights.
3. All persons who were engaged by the competitor to work on the submission or who appear in the submission in any manner have:

- a. Given the competitor their express written consent to submit the submission for exhibition and other exploitation in any manner and in any and all media, whether now existing or hereafter discovered, throughout the world;
- b. Provided written permission to include their name, image, or pictures in or with the submission (or, if a minor who is not competitor's child, competitor must have the permission of the minor's parent or legal guardian) and the competitor may be asked by the Prize Administrator to provide permission in writing; and
- c. Not been and are not currently under any union or guild agreement that results in any ongoing obligations resulting from the use, exhibition, or other exploitation of the submission.

A.5 Copyright

Each competitor represents and warrants that the competitor is the sole author and copyright owner of the submission; that the submission is an original work of the competitor or that the competitor has acquired sufficient rights to use and to authorize others, including DOE, to use the submission, as specified throughout the rules; that the submission does not infringe upon any copyright or any other third-party rights of which the competitor is aware; and that the submission is free of malware.

A.6 Contest Subject to Applicable Law

All contests are subject to all applicable federal laws and regulations. Participation constitutes each participant's full and unconditional agreement to these Official Rules and administrative decisions, which are final and binding in all matters related to the contest. This notice is not an obligation of funds; the final award is contingent upon the availability of appropriations.

A.7 Resolution of Disputes

DOE is solely responsible for administrative decisions, which are final and binding in all matters related to the contest.

Neither DOE nor the Prize Administrator will arbitrate, intervene, advise on, or resolve any matters between team members or among competitors.

A.8 Publicity

The winners of these prizes (collectively, "winners") will be featured on DOE's and NREL's websites.

Except where prohibited, participation in the contest constitutes each winner's consent to DOE's and its agents' use of each winner's name, likeness, photograph, voice, opinions, and/or hometown and state information for promotional purposes through any form of media worldwide, without further permission, payment, or consideration.

A.9 Liability

Upon registration, all participants agree to assume any and all risks of injury or loss in connection with or in any way arising from participation in this contest. Upon registration, except in the case of willful misconduct, all participants agree to and, thereby, do waive and release any and all claims or causes of action against the federal government and its officers, employees, and agents for any and all injury and damage of any nature whatsoever (whether existing or thereafter arising, whether direct, indirect, or consequential, and whether foreseeable or not) arising from their participation in the contest, whether the claim or cause of action arises under contract or tort.

In accordance with the delegation of authority to run this contest to the judge responsible for this prize, the judge has determined that no liability insurance naming DOE as an insured will be required of competitors to compete in this competition, per 15 U.S.C. § 3719(i)(2). Competitors should assess the risks associated with their proposed activities and adequately insure themselves against possible losses.

A.10 Records Retention and Freedom of Information Act

All materials submitted to DOE as part of a submission become DOE records and are subject to the Freedom of Information Act. The following applies only to portions of the submission not designated as public information in the instructions for submission. If a submission includes trade secrets or information that is commercial or financial, or information that is confidential or privileged, it is furnished to the Government in confidence with the understanding that the information shall be used or disclosed only for evaluation of the application. Such information will be withheld from public disclosure to the extent permitted by law, including the Freedom of Information Act. Without assuming any liability for inadvertent disclosure, DOE will seek to limit disclosure of such information to its employees and to outside reviewers when necessary for review of the application or as otherwise authorized by law. This restriction does not limit the Government's right to use the information if it is obtained from another source.

Submissions containing confidential, proprietary, or privileged information must be marked as described below. Failure to comply with these marking requirements may result in the disclosure of the unmarked information under the Freedom of Information Act or otherwise. The U.S. Government is not liable for the disclosure or use of unmarked information and may use or disclose such information for any purpose.

The submission must be marked as follows and must identify the specific pages containing trade secrets or confidential, proprietary, or privileged information: "Notice of Restriction on Disclosure and Use of Data: Pages [list applicable pages] of this document may contain trade secrets, confidential, proprietary, or privileged information that is exempt from public disclosure. Such information shall be used or disclosed only for evaluation purposes. [End of Notice]"

The header and footer of every page that contains confidential, proprietary, or privileged information must be marked as follows: "Contains Trade Secrets, Confidential, Proprietary, or Privileged Information Exempt from Public Disclosure." In addition, each line or paragraph containing proprietary, privileged, or trade secret information must be clearly marked with double brackets.

Competitors will be notified of any Freedom of Information Act requests for their submissions in accordance with 29 C.F.R. § 70.26. Competitors may then have the opportunity to review materials and work with a Freedom of Information Act representative prior to the release of materials. DOE does intend to keep all submission materials private except for those materials designated as "will be made public."

A.11 Privacy

If you choose to provide HeroX with personal information by registering or completing the submission package through the contest website, you understand that such information will be transmitted to DOE and may be kept in a system of records. Such information will be used only to respond to you in matters regarding your submission and/or the contest unless you choose to receive updates or notifications about other contests or programs from DOE on an opt-in basis. DOE and NREL are not collecting any information for commercial marketing.

A.12 General Conditions

DOE reserves the right to cancel, suspend, and/or modify the prize, or any part of it, at any time. If any fraud, technical failures, or any other factors beyond DOE's reasonable control impairs the integrity or proper functioning of the prize, as determined by DOE in its sole discretion, DOE may cancel the prize. Any performance toward prize goals is conducted entirely at the risk of the competitor and DOE shall not compensate any competitors for any activities performed in furtherance of this prize.

Although DOE may indicate that it will select up to several winners for each prize, DOE reserves the right to only select competitors that are likely to achieve the goals of the program. If, in DOE's determination, no competitors are likely to achieve the goals of the program, DOE will select no competitors to be winners and will award no prize money.

A.13 Program Policy Factors

While the scores of the expert reviewers will be carefully considered, it is the role of the prize judge to maximize the impact of the prize funds. Some factors outside the control of competitors and beyond the independent expert reviewers' scope of review may need to be considered to accomplish this goal. The following is a list of such factors. In addition to the reviewers' scores, the below program policy factors may be considered in determining winners:

- Geographic diversity and potential economic impact of projects.
- Whether the use of additional DOE funds and provided resources are non-duplicative and compatible with the stated goals of this program and DOE's mission generally.
- The degree to which the submission exhibits technological or programmatic diversity when compared to the existing DOE project portfolio and other competitors.
- The degree to which the submission is likely to lead to increased employment and manufacturing in the United States or provide other economic benefits to U.S. taxpayers.
- The degree to which the submission will accelerate transformational technological, financial, or workforce advances in areas that industry by itself is not likely to undertake because of technical or financial uncertainty.
- The degree to which the submission supports complementary DOE-funded efforts or projects, which, when taken together, will best achieve the goals and objectives of DOE.
- The degree to which the submission expands DOE's funding to new competitors and recipients who have not been supported by DOE in the past.
- The degree to which the submission enables new and expanding market segments.
- Whether the project promotes increased coordination with nongovernmental entities toward enabling a just and equitable clean energy economy in their region and/or community.

A.14 National Environmental Policy Act Compliance

This prize is subject to the National Environmental Policy Act (NEPA) (42 U.S.C. § 4321, et seq.). NEPA requires federal agencies to integrate environmental values into their decision-making processes by considering the potential environmental impacts of their proposed actions. For additional background on NEPA, please see DOE's NEPA website at <http://nepa.energy.gov/>.

While NEPA compliance is a federal agency responsibility and the ultimate decisions remain with the federal agency, all participants in the Laboratory Making Advanced Technology Commercialization Harmonized (MATCH) Prize will be required to assist in the timely and effective completion of the NEPA process in the manner most pertinent to their participation in the prize competition. If applicable,

participants may be asked to provide DOE with information on fabrication and testing of their device such that DOE can conduct a meaningful evaluation of the potential environmental impacts.

A.15 Return of Funds

As a condition of receiving a prize, competitors agree that if the award was made based on fraudulent or inaccurate information provided by the competitor to DOE, DOE has the right to demand that any prize funds or the value of other non-cash prizes be returned to the government.

ALL DECISIONS BY DOE ARE FINAL AND BINDING IN ALL MATTERS RELATED TO THE PRIZE.

Appendix 2: National Lab Commercialization Worksheets

(Three individual worksheets for NREL, SNL, and ORNL)

(Note: These worksheets can also be downloaded directly from the [HeroX](#) website under the Resources Section for this Prize)

National Renewable Energy Laboratory ("NREL") Intellectual Property Commercialization Plan Worksheet

A. Purpose

NREL requires a commercialization plan from all its prospective licensees before licensing its intellectual property. The plan better enables NREL and the prospective licensee to determine and characterize the business fit between their interests. The commercialization plan also provides information for NREL to use in assessing the prospective licensee's intent and plan to achieve commercial use of the NREL Intellectual Property while satisfying its Fairness of Opportunity requirements. Finally, the plan provides NREL input on its calculation of value of the intellectual property to both Parties. If a commercialization plan has already been developed, and contains the information requested below, then that plan may be submitted. If no commercialization plan has been developed, then the following worksheet will be of value in defining the commercialization plan. All information provided is considered business proprietary and not available to the public.

This Commercialization Plan Worksheet is intended to aid in the development and understanding of the Commercialization Plan. This worksheet has three sections: 1) General Company Information, 2) Product Licensing and Sales Information, and 3) Equity Licensing Information. The intent of the questionnaire below is to have the business partner provide as much information as possible. Not all questions may be applicable.

B. General Company Information:

a. Principal Contact (provide multiple names if appropriate)

1. _____ Telephone: _____
Fax: _____
E-mail: _____

2. Principal Contact

_____ Telephone: _____
Fax: _____
E-mail: _____

b. Company Name and address:

c. State of Incorporation _____ If foreign (provide country) _____

d. Headquarters (if different from address provided above)

- e. Number of full-time employees Number of part-time employees

- f. Age of company

- g. Approximate liquidity of company, including a rough estimate of funding budgeted specifically to support additional R&D, product development, sales, etc. required to commercialize the NREL technology (in dollars)
 \$ _____
- h. Approximate volume of company sales (in dollars)
 \$ _____

C. Product Licensing and Sales Information

a. What License Rights are desired?

What is the NREL intellectual property of interest?

Please check the ones desired: Exclusive? ___ or Nonexclusive? ___

If exclusive, please specify a Defined Field(s) of Use:

If exclusive, please specify a duration of time requested for the Exclusivity:

Duration of Exclusivity? ___

If exclusive, please specify a duration of time requested for the Exclusivity:

Geographic Territories? ___

b. Is additional R&D necessary to further develop or complete the product?

Yes _____ No _____ (If "No", skip to C.e)

What type of technical assistance, if any, does the prospective licensee wish from NREL in commercializing the licensed Intellectual Property? (Attach a separate sheet if necessary.)

What is the estimated cost of this development, to NREL? _____

What is the estimated cost of this development, to the company? _____

Estimated time frame for completion? _____

NOTE: A separate CRADA may be executed for this assistance.

- c. If appropriate, elaborate on the **Testing Program** that will be conducted. Please include identification of which tests will be conducted, how many, over what period of time and an estimate of the cost of the program.

d. If appropriate, elaborate on what **Product Development** activities will be accomplished to produce and roll out New Products which incorporate the NREL's Intellectual Property?

- e. If appropriate, please list the applications or uses of the New Products, the competing products for the application or use and the advantages of the New Products.

New Product Application / Use	Competing Product / Material	New Product Advantages or Value
1.		
2.		
3.		

- f. What **Markets** will the products incorporating the Intellectual Property be sold into? What is the size and growth of each?

Market	Size (units/\$)	Growth (%/yr)
1.		

2.		
3.		

- g. What are the expected or estimated annual **Sales** of the new products for the first five years of the license?

Year	Number of Units	Sales in \$
Year 1		
Year 2		
Year 3		
Year 4		
Year 5		

- h. DOE requires that all Licensed Products be 'substantially manufactured in the United States'. Where will the prospective licensee **make, use and sell** this product, process, service, etc.? For example, the prospective licensee plans to manufacture the licensed ceramic material in our plants in Ohio and Texas.

In the U.S.? Yes ___ No ___

If in the U.S., where? _____

If outside the U.S., where? _____

If outside the U.S., what percentage of components will be U.S.? _____

Other comments:

- i. Please complete add any additional information that would support the business case for this license.

j. Have you thought about licensing terms and conditions? Yes _____ No _____

If Yes, please fill out your initial offer

Up-front fee _____ Running royalty rate _____

Diligences on sales: Year 1 _____

Year 2 _____

Year 3 _____

Year 4 _____

Year 5 _____

Other licensing considerations: (Milestones, time-to-first sale, split up-front fees, service royalty rates, product listed in catalogue, etc.)

D. Equity Licensing Information

The following information and section is to be completed if equity is to be provided as part of the licensing agreement.

a. What is the company incorporated as: (Limited partnership, 503 C, S Corp., etc.)

b. What products (name only the top 3) are currently being sold and their estimated cash flow over the last three years.

Product	Sales Volume (\$)/year
1.	Yr. 1
	Yr. 2
	Yr. 3
2.	Yr. 1
	Yr. 2

Product	Sales Volume (\$)/year
	Yr. 3
3.	Yr. 1
	Yr. 2
	Yr. 3

- c. What is the estimated value of the company? If a third-party evaluation is available please attach documentation.

- d. Amount of cash on hand? _____

- e. Current debt load? _____

- f. How many shares have been created, and who are the top two owners

Total number of shares: Preferred _____
Common _____

Owner 1 _____

Owner 2 _____

- g. What is the current value of a share of stock? What is the equity position, in dollars and shares, provided in exchange for the license (or upfront fee)?

Preferred _____ Common _____

- h. Would you provide NREL an observation seat of the Board of Directors?

Yes _____ No _____

Voting _____ Non-voting _____

- i. What is the exit strategy for the company, if any? (IPO, Maintain as private, etc.)

j. Is there an estimated time frame for acquisition, IPO, etc. (in years)

k. If an acquisition is the exit strategy, who are likely candidates?

Are discussions for acquisition currently underway?

l. Is the company currently or in the near future seeking additional capital?

Yes _____ No _____

If Yes, from who? _____

If Yes, amount of capital _____

National Technology & Engineering Solutions of Sandia, LLC

(a wholly owned subsidiary of Honeywell International, Inc.) as Operator of

Sandia National Laboratories Participant Data Sheet (PDS)

Sandia National Laboratories Internal Use Only – Agreement Number: _____

ALL APPLICABLE SECTIONS MUST BE COMPLETED BEFORE SANDIA NATIONAL LABORATORIES CAN PROCESS YOUR AGREEMENT

1.0 Please provide information for our long-term records and communications with your company/agency.			
1.1	Company/Agency Name:		DUNS Number:
	Address for Overnight Delivery:		
	City:	State:	Country:
	Zip/Postal Code:	Phone:	Fax:
1.2	Parent Company (if applicable):		
2.0 Please provide (if applicable) the pertinent information for the division in your company/agency with whom Sandia National Laboratories will be working. If Part 2 is not completed, then Parts 3-12 will apply to the entity listed in Part 1.			
	Division Name:		
	Address for Overnight Delivery:		
	City:	State:	Country:
	Zip/Postal Code:	Phone:	Fax:
	Industry Classification:		
3.0 Please provide the company/division or agency name as you want it to appear on the agreement.			
4.0 Please provide specific points of contact within your company/division or agency.			
4.1 Please provide the technical point of contact with whom our technical staff will be working.			
	Dr. <input type="checkbox"/>	Mr. <input type="checkbox"/>	Mrs. <input type="checkbox"/>
	Name:		Email:
	Address for Overnight Delivery:		
	City:	State:	Country:
	Zip/Postal Code:	Phone:	Fax:
4.2	This agreement may involve the negotiation of legal and/or business terms and conditions between your company/division or agency and Sandia National Laboratories. Please provide the non-technical point of contact for questions (e.g. corporate/agency attorney, contracts manager, etc.).		
	Dr. <input type="checkbox"/>	Mr. <input type="checkbox"/>	Mrs. <input type="checkbox"/>
	Name:		Email:
	Address for Overnight Delivery:		
	City:	State:	Country:
	Zip/Postal Code:	Phone:	Fax:

4.3	Please provide contact information of the individual with signing authority for your company/division or agency.				
	Dr. <input type="checkbox"/>	Mr. <input type="checkbox"/>	Mrs. <input type="checkbox"/>	Name:	
	Title:		Email:		
	Address for Overnight Delivery:				
	City:		State:	Country:	
	Zip/Postal Code:		Phone:	Fax:	
4.4	Which party should we use as our primary point of contact ?		Technical <input type="checkbox"/>	Non-Technical <input type="checkbox"/>	Signatory <input type="checkbox"/>

5.0 Provide information for the company/division or agency listed in Part 1 or 2.
NOTE: 5.1, 5.2, 5.4, and 5.5 must be answered. Disregard Part 5 if the entity listed in Part 1 or 2 is a government

5.1	<input type="checkbox"/> A U.S.-owned business	<input type="checkbox"/> A non U.S.-owned business
5.2	<input type="checkbox"/> A U.S.-controlled business	<input type="checkbox"/> A non U.S.-controlled business
5.3	<input type="checkbox"/> A multi-national company (i.e., U.S.-owned with foreign research and/or manufacturing facilities)	
5.4	State of Incorporation:	Country of Incorporation:
5.5	Does the company/division have operations in the United States?	Yes <input type="checkbox"/> No <input type="checkbox"/>

6.0 Will the products, processes, or services for use or sale in the United States that are the result of inventions or other intellectual property arising from the performance of the anticipated agreement be substantially manufactured in the United States?

Yes <input type="checkbox"/>	No <input type="checkbox"/>
------------------------------	-----------------------------

7.0 Are all employees and subcontractors of the company/division or agency listed in Parts 1 and 2 who will be receiving information and/or intellectual property from Sandia National Laboratories under this proposed agreement **CITIZENS OF THE UNITED STATES**? **Note that Green Card holders are considered US Citizens for this purpose.**

Yes <input type="checkbox"/>	No <input type="checkbox"/>	
7.1	If 7.0 is NO, of what countries are the recipients a citizen? (Attach additional information sheets to list all applicable recipients/countries if necessary)	
Name:	Country:	U.S. Immigration Status:
Name:	Country:	U.S. Immigration Status:
Name:	Country:	U.S. Immigration Status:

8.0 Are any employees of the company/division or agency listed in Parts 1 and 2 who are involved in negotiating this agreement either current or former ("former" meaning within the last 6 months) employees, consultants, or contractors of:

8.1	NTESS, LLC?	Current <input type="checkbox"/>	Former <input type="checkbox"/>	No <input type="checkbox"/>
8.2	Honeywell International, Inc. or its named businesses?	Current <input type="checkbox"/>	Former <input type="checkbox"/>	No <input type="checkbox"/>
8.3	Peraton?	Current <input type="checkbox"/>	Former <input type="checkbox"/>	No <input type="checkbox"/>
8.4	Kansas City National Security Campus/ Honeywell Federal Manufacturing and Technologies (FM&T)?	Current <input type="checkbox"/>	Former <input type="checkbox"/>	No <input type="checkbox"/>
8.5	Mission Support and Test Services, LLC (Nevada National Security Site)?	Current <input type="checkbox"/>	Former <input type="checkbox"/>	No <input type="checkbox"/>
8.6	Savannah River National Laboratory/ Savannah River Nuclear Solutions (SRNS)?	Current <input type="checkbox"/>	Former <input type="checkbox"/>	No <input type="checkbox"/>

8.7	Universities Research Association, Inc. (URA)?	Current <input type="checkbox"/>	Former <input type="checkbox"/>	No <input type="checkbox"/>
8.8	Longenecker and Associates, Inc.?	Current <input type="checkbox"/>	Former <input type="checkbox"/>	No <input type="checkbox"/>
8.9	Sandia Technical Partners (STP) and its member companies (Los Alamos Technical Associates, Inc., Strategic Management Solutions, LLC, Innovative Technology Partnerships, LLC, Sigma Science, Inc.)?	Current <input type="checkbox"/>	Former <input type="checkbox"/>	No <input type="checkbox"/>
Name the individual(s) and associations, if any, on an attachment.				

9.0 The company/division or agency listed in Part 2 is a(n) (check all that apply):

9.1	<input type="checkbox"/> U.S.-owned business meeting criteria of a small business under those defined by the US Small Business Administration https://sba.gov/		
9.2	<input type="checkbox"/> Large business (500 or more employees)		
9.3	<input type="checkbox"/> Non-profit organization or business under the U.S. Internal Revenue Code		
9.4	<input type="checkbox"/> Consortium or member of a consortium or partnership under the potential agreement		
9.5	<input type="checkbox"/> Formed as a joint venture		
9.6	<input type="checkbox"/> Trade association		
9.7	<input type="checkbox"/> Honeywell International, Inc. or its wholly owned subsidiaries including Federal Manufacturing and Technologies, currently known as the Kansas City National Security Campus, and Honeywell Automation and Controls Sustainable Technologies		
9.8	<input type="checkbox"/> U.S. local government entity		
9.9	<input type="checkbox"/> U.S. state government entity		
9.10	<input type="checkbox"/> U.S. federal government agency		
9.11	<input type="checkbox"/> Contractor to a U.S. federal government agency requesting access to Sandia National Laboratories intellectual property for use on behalf of the U.S. government		
9.12	<input type="checkbox"/> U.S. institution of higher education (please specify below)		
	<input type="checkbox"/> State-chartered institution	<input type="checkbox"/> Private institution	
9.13	<input type="checkbox"/> Department of Energy National Laboratory		
9.14	<input type="checkbox"/> Historically black college or university		
9.15	<input type="checkbox"/> Certified 8A firm		
9.16	<input type="checkbox"/> Disadvantaged business		
9.17	<input type="checkbox"/> Woman-owned business		
9.18	<input type="checkbox"/> Minority-owned business		
9.19	<input type="checkbox"/> Native American-owned business		
9.20	<input type="checkbox"/> Hispanic American-owned business		
9.21	<input type="checkbox"/> African American-owned business		
9.22	<input type="checkbox"/> Asian American-owned business		
9.23	<input type="checkbox"/> Tribal government		
9.24	<input type="checkbox"/> Foreign company/government entity		
9.25	<input type="checkbox"/> None of the above (explain on a separate sheet)		
9.26	If 9.4, 9.5, or 9.6 is checked , is the signatory to this agreement authorized to bind all members of the consortium, partnership, joint venture, or trade association to the terms and conditions in the proposed agreement?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
9.27	If 9.11 is checked , please fill in all fields below. If 9.13 is checked , fill in the contract number and contract start/end dates.		

U.S. federal government agency:		
Federal contract number:	Contract start and end dates:	
Government agency contact:	Email:	Phone:

10.0 Is a U.S. government agency the source of any of the funds that will be paid to Sandia National Laboratories under this proposed agreement?

Yes <input type="checkbox"/>	No <input type="checkbox"/>	If yes, identify the agency (e.g., DOE, NIH, etc.):
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11.0 Is either the company/division or agency listed in Parts 1.0 and 2.0 debarred, suspended, or ineligible as defined in the Federal Acquisition Regulation 9.4?

Yes <input type="checkbox"/>	No <input type="checkbox"/>	If yes, identify the agency (e.g., DOE, NIH, etc.):
------------------------------	-----------------------------	---

12.0 If the proposed agreement will involve the **payment of funds** by your company/division or agency to Sandia National Laboratories, please complete Part 12 below.

Please provide your company's/division's or agency's point of contact for accounts payable.
 NOTE: Unless Sandia National Laboratories is instructed otherwise, the initial invoice (if applicable) will be included in the agreement execution package. Subsequent invoices (if any) will be mailed to the individual below.

Dr. <input type="checkbox"/>	Mr. <input type="checkbox"/>	Ms. <input type="checkbox"/>	Name:	Email:
Billing Address:				
City:		State:	Country:	
Zip/Postal Code:		Phone:	Fax:	

Special Instructions:

By submitting this form, I attest that the information provided is correct as of this date and may be relied upon for purposes of entering into the proposed agreement.

Name:	Title:	Date:
Signature:		

TECHNOLOGY LICENSE APPLICATION

Office of Technology Transfer



UT-Battelle, LLC (UT-BATTELLE) is the management and operating (M&O) contractor for the Department of Energy's (DOE's) Oak Ridge National Laboratory in Oak Ridge, Tennessee. In its capacity as an M&O contractor, UT-BATTELLE acquires rights to intellectual property (patents, copyrights, trademarks and mask works) developed under its contract with DOE. One of the functions of UT-BATTELLE's Office of Technology Transfer is to negotiate license agreements for such intellectual property with companies for commercial applications of ORNL-developed technologies. Such licenses can be non-exclusive or "exclusive," depending upon which strategy is expected to achieve maximum commercial deployment of the technology. Note that the federal government always retains a non-exclusive license—for federal government use—to technologies created at federal laboratories. Consequently, UT-BATTELLE cannot grant truly "exclusive" licenses for any technology. Rather, when the word "exclusive" is used in context of a UT-BATTELLE license, it should be understood that the rights granted are actually "sole commercial" rights to the intellectual property.

UT-BATTELLE's commercial licenses include three types of financial obligation on the part of the licensee: (1) an execution fee, due at the time of execution of the license agreement; (2) a "running royalty" payable periodically based upon sales; and (3) an annual minimum royalty which is offset by running royalties. The actual amounts of these fees are negotiable based primarily upon the fair market value of the technology, the degree of exclusivity granted, and commitments to commercialization made by the applicant. In addition, UT-BATTELLE requires licensees to reimburse expenses for protecting the intellectual property that is licensed. By completing this license application, the prospective licensee acknowledges that the fee structure described above will be part of any eventual license.

Before negotiations begin on terms of a license, UT-BATTELLE requests that the prospective licensee complete a license application. Information provided by UT-BATTELLE or the prospective licensee in this document is for discussion purposes only; it does not constitute an offer or proposal by any party. UT-BATTELLE protects portions of this application as business sensitive, in accordance with the legend printed on those pages. The information is requested to enable a thorough understanding of the prospective licensee's intentions with respect to its commercialization of the technology.

UT-Battelle views the execution of a license as the beginning of a relationship, not the end, and works closely with its licensees to ensure the successful commercialization of licensed technologies. We look forward to working with you.

You may complete this application electronically in Microsoft Word and return via e-mail, or print and fill in the information by hand and return via FAX. Complete contact information for returning completed license applications is shown at the bottom of the last page of the application.

This application is for the following UT-Battelle intellectual property:

1. What is the incorporated name of your company?

2. Special considerations regarding your company:

Size

- Small Business¹ Medium Business Large Business²

Corporate Structure

- S-Corporation C-Corporation Limited Liability Company
 Partnership Sole Proprietorship

Ownership

- Wholly U.S. Owned Foreign Owned in Whole or in Part (____%)

If a corporation, in what U.S. state is your company incorporated?

3. If foreign (non-U.S.) owned in whole or in part, in what country is the parent company based?

4. (Optional) Please indicate if your company is at least 50% owned by individual(s) who self-identify as members of the following groups:

- United States Veterans
 Women
 Black Americans
 Hispanic Americans
 Native Americans (Alaska Natives, Native Hawaiians, or enrolled members of a Federally or State recognized Indian Tribe)

¹ Small Business as defined at Section 2 of Public Law No. 85-536 (15 U.S.C. 632) and implementing regulations of the Small Business Administration.

² Fortune 500 company.

Information in this document is for discussion purposes only; it does not constitute an offer or proposal by any party. When completed, this page contains financial and commercial information that is BUSINESS CONFIDENTIAL and UT-BATTELLE agrees not to use or disclose this information to any third party without the advance written approval of the prospective licensee, except as may be required by the UT-BATTELLE contract with the DOE.

- Asian Pacific Americans (persons with origins from Burma, Thailand, Malaysia, Indonesia, Singapore, Brunei, Japan, China (including Hong Kong), Taiwan, Laos, Cambodia (Kampuchea), Vietnam, Korea, The Philippines, U.S. Trust Territory of the Pacific Islands (Republic of Palau), Republic of the Marshall Islands, Federated States of Micronesia, the Commonwealth of the Northern Mariana Islands, Guam, Samoa, Macao, Fiji, Tonga, Kiribati, Tuvalu, or Nauru)
- Subcontinent Asian Americans (persons with origins from India, Pakistan, Bangladesh, Sri Lanka, Bhutan, the Maldives Islands or Nepal)
- Members of other groups designated from time to time by SBA. 13 CFR §124.103(b)
Other group: _____

5. Please provide the address and contact person's name for notices, plus a telephone number, FAX number, and e-mail address.

6. Nature of your company's business [including Principal SIC Code(s), if applicable]:

7. Number of people directly employed by your company:

8. Are any of your company's principals³:

- Current or former UT-Battelle/ORNL employees?
- Current or former UT-Battelle/ORNL consultants?
- Current or former DOE employees?

If the answer to any of the above questions is "yes," please explain:

9. Is there any plan for a current or former ORNL/UT-Battelle employee(s) to have a role in the company or developing the technology?

- Yes

³ 'Principal' means a person with either a financial interest of five (5) percent or more in the prospective licensee if the licensee's stock is not publicly traded, or a person with a financial interest of more than \$100,000 in the prospective licensee if the licensee's stock is publicly traded.

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No

If the answer to the above questions is “yes,” please explain:

10. Please provide information on the location(s) of your company’s manufacturing or process facilities to be used in the proposed commercialization efforts.
11. How did your company learn of the availability for license of this intellectual property?
12. Has your company been involved in any previous technology transfer activities with UTBATTELLE?
- Cooperative Research and Development Agreement (CRADA)
 - Technical Assistance Program
 - “Work for Others⁴”
 - User Agreement for one of ORNL’s User Facilities
 - Other License
 - Other technology transfer activity (please describe):
13. With respect to the intellectual property identified in Item 10, does your company desire to license U.S. rights only, or both U.S. rights and foreign rights? (Keep in mind that foreign rights may not be available on some technologies)
14. With regard to the technology in question, what type of license does your company seek (e.g., R&D only, exclusive commercial, non-exclusive commercial, other)? If you wish exclusive commercial rights, please provide the basis for this need. Keep in mind that exclusive rights may not be available for some technologies.

⁴ “Work for Others” refers to research work which you paid UT-BATTELLE to undertake for you.

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15. How does your company intend to use this technology? Please provide a description of (1) the primary field(s) of use; (2) the product(s) and/or process(es) you would expect to commercialize based on the licensed intellectual property; and (3) exactly how the intellectual property being licensed will be incorporated into—or will enable functionality of—the product(s) you expect to commercialize.

16. List the members of your Management Team (including scientific advisors/business advisors/marketing team, etc) that will assist in the development and commercialization of the technology. Include details for each on their role, expertise, and qualifications.

17. With respect to the products and/or services your company would commercialize based on this technology, what would be the competitive products or services in the marketplace?

18. How would the licensed product(s) or service(s) compete against these competitive items?

19. What is the underlying basis for the value of the product(s) or service(s) your company intends to produce (i.e., competitive advantages: faster, cheaper, stronger, unfilled need, etc.)?

20. In order to successfully commercialize this technology, what is your company's anticipated total investment, in both dollars and man-hours of effort, during each of the next 5 years?

21. How will these investments be funded?

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22. When would you expect to have your first prototype built?
23. When would you expect to make your first commercial sale?
24. In what geographic areas would you plan to sell these products or services?
U.S. geographical markets:
- Foreign geographical markets:
25. In addition to the information provided elsewhere in this document, what are the characteristics and assets of your company that make it uniquely suited to bring this technology to market successfully?
26. Based on your knowledge of the development and commercialization of the technology, please provide information on development milestones that that could be included in a license as performance milestones.
27. Based on your knowledge of the market in this technology area, please provide information on your company's view of:

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A reasonable initial license fee (license execution fee) to be paid for licensing this technology;

A reasonable royalty rate to be paid on gross sales of products based on this technology;

A reasonable minimum annual royalty rate;

A reasonable milestone payments; and/or

A reasonable equity stake in the company;

28. Please also provide the basis for your calculation of (1) a reasonable initial license fee; and (2) a reasonable royalty rate on gross sales. Appropriate things upon which these might be based are (1) your company's business plan for commercializing this technology; and (2) *pro forma* financial statements showing at least the first five years of revenues from for your company's commercialization of this technology and resulting sales of product(s) and/or service(s) based on the technology to be licensed. If *pro forma* data are not available, please consider the following bases for answers to question 24: (1) an estimate of the size of the total U.S. and worldwide markets for the product(s) or service(s) for each of the next 5 years; (2) an estimate of the share of the anticipated U.S. and worldwide markets for the product(s) or service(s) your company expects to capture during each of the next 5 years; (3) the anticipated market price (per unit) of the product or service that you will produce deriving from the licensed technology; (4) an estimate of your company's gross sales of the product(s) or service(s) for each of the next 5 years; and (5) an estimate of the net margin(s) your company expects to realize on sales of the product(s) or service(s).
29. Please attach (1) your company's business plan for commercializing this technology; and (2) *pro forma* financial statements showing at least the first five years of positive revenues (if positive revenues are to be preceded by one or more years of zero or negative revenues, include sufficient years of data to show 5 years of positive revenues) from for your company's commercialization of this technology and resulting sales of product(s) and/or service(s) based on the technology to be licensed. Please be sure to limit your projections to COMMERCIAL SALES ONLY (do not include sales to the U.S. Federal Government). If *pro forma* data are not available, please answer Questions 24-28. If *pro forma* data are provided, please skip to Question 35, but please make sure your *pro forma* data address the information requests contained in Questions 29-34.

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30. Please provide an estimate of the size of the total U.S. and worldwide COMMERCIAL markets for the product(s) or service(s) for each of the first 5 future years in which you expect to have positive revenues from commercialization of this technology.

31. Please provide an estimate of the share of the anticipated U.S. and worldwide COMMERCIAL markets for the product(s) or service(s) your company expects to capture during each of the first 5 future years in which you expect to have positive revenues from commercialization of this technology.

32. What is the anticipated market price (per unit) of the product or service that you will produce deriving from the licensed technology?

33. Please provide an estimate of your company's gross COMMERCIAL sales of the product(s) or service(s) for each of the first 5 future years in which you expect to have positive revenues from commercialization of this technology.

34. Please provide an estimate of the net margin(s) your company expects to realize on COMMERCIAL sales of the product(s) or service(s) BEFORE payment of royalties to UT-Battelle (please express as a percentage of gross revenues) during each of the first 5 future years in which you expect to have positive revenues from commercialization of this technology.

35. If your commercialization/business plan indicates that revenues will not be generated within one year after a license is executed, please indicate how many years of no revenues are anticipated, as well as the regulatory/investment/product development milestones you must meet during the pre-revenue period in order to get to the revenue-generation stage with this technology.

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36. Most technologies available for license from UT-Battelle, LLC are at a relatively early stage of development, and require some further development prior to the technology being ready for the marketplace. Does your company anticipate the need for technical assistance from the Oak Ridge National Laboratory in this regard, either in the form of consulting services from its employees or research at the Laboratory sponsored by your company?
37. Who is the primary person (and his/her position title, telephone number, and e-mail address) within your company with whom licensing discussions should be held?
38. Does this person have signature authority for license agreements? If not, who will be the signatory on any license agreement that may result from these discussions?

Thank you for taking the time to complete this application, and for your interest in commercialization of UT-Battelle's intellectual property.

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