



# The SBIR/STTR Program in the Office of Nuclear Physics

**Michelle D. Shinn, Ph.D.**

Program Manager for Industrial Concepts  
DOE Office of Science  
Office of Nuclear Physics

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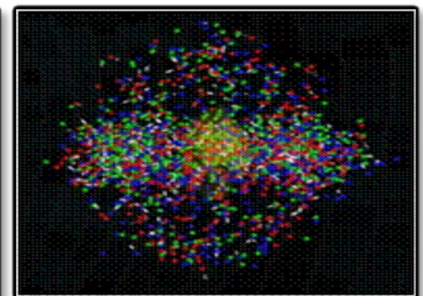
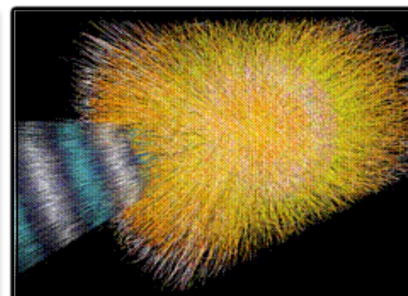
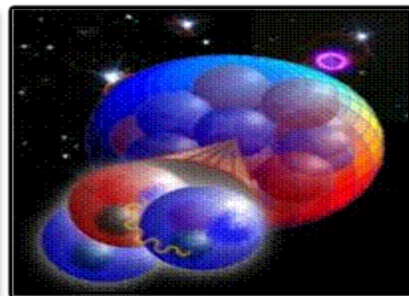
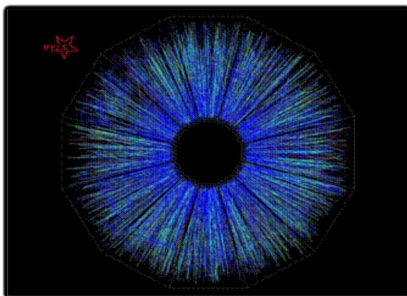
# Outline

- The Office of Science, Office of Nuclear Physics (NP) mission and the accelerators used to help accomplish its mission
- How NP's mission influences topic development and selection of proposals.
  - Advance accelerator technologies important to NP
    - For example, superconducting RF, strong hadron cooling
  - Develop software tools and hardware to advance NP Instrumentation and projects
- Initiatives to increase commercialization
- Outcomes - observations on commercialization
- Conclusions

Discovering, exploring, and understanding all forms of nuclear matter

## The Scientific Challenges

- The existence and properties of nuclear matter under extreme conditions, including that which existed at the beginning of the universe
- The exotic and excited bound states of quarks and gluons, including new tests of the Standard Model
- The ultimate limits of existence of bound systems of protons and neutrons
- Nuclear processes that power stars and supernovae, and synthesize the elements
- The nature and fundamental properties of neutrons and the neutrino and their role in the evolution of the early universe





# At Present NP Operates 3 National Scientific User Accelerator Facilities and is building a 4th

“Microscopes” capable of groundbreaking research support the NP mission



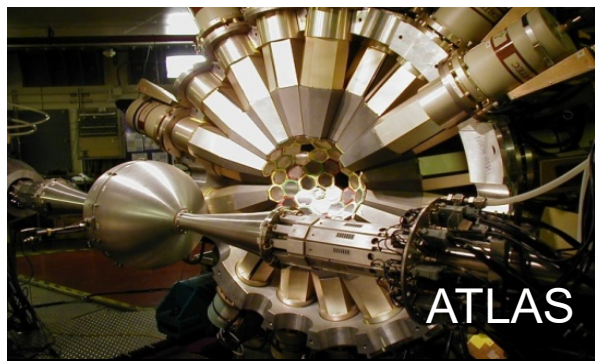
RHIC

Relativistic Heavy Ion Collider



CEBAF

Continuous Electron Beam Accelerator Facility



ATLAS

Argonne Tandem Linac Accelerator System



FRIB

Under Construction  
& Commissioning

Facility for Rare Isotope Beams at MSU





# How the NP Mission translates into programs

- NP's major program areas are:
  - Heavy Ion Nuclear Physics
  - Medium Energy Physics
  - Nuclear Structure-Nuclear Astrophysics
  - Fundamental Symmetries
  - Nuclear Theory (**not involved in the SBIR/STTR Program**)
  - Isotope Development and Production for Research and Applications
- Accelerator Science and Technology is the major component that facilitates all of the NP subprograms.

} Low Energy Nuclear Physics



# NP SBIR/STTR Topics for FY 2019 support those programs

- Software and Data Management
  - Electronics Design and Fabrication
  - Accelerator Technology
  - Instrumentation, Detection Systems and Techniques
  - Isotope Science and Technology
- 
- Every year there is subtopic revision, based on community input.



# NP yearly SBIR/STTR topic development process

- Start with last year's published topics and make initial revisions based on year-round observation of needs by Program Managers and input we gather during meetings with the NP community,
- Request input for each topic from subject matter experts within the NP community,
- Collect and implement input on existing subtopics. Add or delete subtopics as necessary, based on work funded and recently published advancements.
  - Deleted subtopics are considered “deferred”, and may rotate back in as needed.
- Review HEP and BES Topics to insure we don't unnecessarily duplicate-fund the same R&D, unless complimentary,



## Subtopic requests must be right-sized & timed

- Match Facility Accel. Improvement Projects and Cap. Equip. activities and mid-term upgrade plans to 3 year SBIR/STTR funding cycle.
  - Same for universities or other collaborations working on detectors.
- Coordinate with other Offices to not duplicate efforts unless a particular technology is synergistic.
  - An example might be lower cost SRF cavity fabrication that would benefit from additional investment.
- Projects must be of sufficient value to the NP community to justify the investment





## Our subtopic narratives reflect areas of NP strategic importance – our “brand”

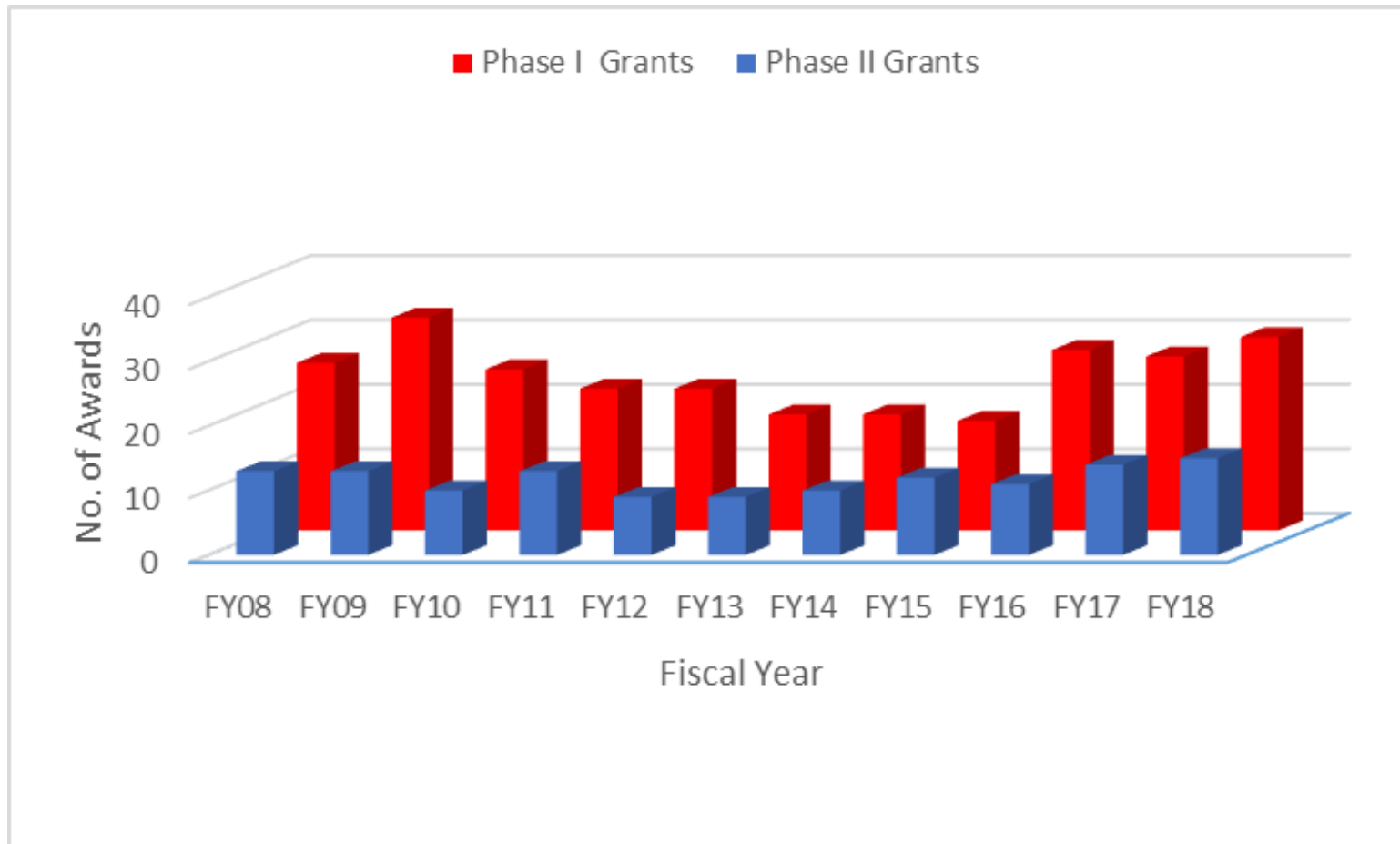
- Our subtopics reflect the following strategy,
- Use SBIR/STTR funding of small businesses to maintain leadership in technology areas where NP has unique needs.
  - SRF accelerators and related technologies (e.g. cryogenics)
  - Polarized sources
  - CW RF sources
  - Detectors with emphasis on particle identification



# NP Topic introductions reflect our community and mission emphasis and serve as a filter

- All grant applications must explicitly show relevance to the DOE Nuclear Physics Program. Grant applications must be informed by the state of the art in nuclear physics applications, commercially available products, and emerging technologies
- A proposal based on merely incremental improvements or little innovation will be considered non-responsive unless context is supplied that convincingly shows its potential for significant impact or value to the DOE Nuclear Physics Program.
- Applications which are largely duplicative of previously funded research by the Office of Nuclear Physics will be considered nonresponsive to this topic.
  - We do make exceptions for NP strategic technologies
- The goal of the program is to seek innovations that will advance our nation's capability to perform nuclear physics research, and more specifically to improve DOE Nuclear Physics (NP) Scientific User Facilities and the wider NP community's experimental programs.

# NP SBIR/STTR Award Trend (FY08 – FY18)



- Total value of grants funded FY 2014 - 2018: ~\$81M
- 118 companies funded (some multiple times) during this time span.
- ~\$20 M awarded in FY19

## Our SBIR/STTR Program → NP mission and strategic priorities are tied to our community and its facilities

- The 2016 National Academy of Sciences review of the DOE SBIR/STTR Phase II program had several recommendations. Two of significance are:
  - DOE should seek to develop programs linking Laboratories' procurement actions with relevant SBIR/STTR projects.
  - DOE should examine from a strategic perspective how the relationship of SBIR/STTR with the National Laboratories works today.
- One way to make the adoption by a Lab of the product from a finished grant more likely is to require that a prototype or method be ready for testing in a NP application by the grant's conclusion
  - This increases the likelihood there will be hardware that can be rapidly purchased and deployed to fulfill the NP community's needs.
  - Which should lead to higher rates of commercialization



# The key to commercialization is to build relationships through communication

- Our scientific community needs products and methods for an identified future need that requires some R&D, but have constraints, in funding or workforce, that make it hard to pursue
- The NP SBIR/STTR program is structured to foster partnerships between business and community to fulfill those future needs
- The conundrum – how are we, as a Federal agency to publicize a company’s product to the wider community without creating the appearance of an unfair advantage to these companies?
  - Use the required public announcement of our awards
  - Last 3 years found on DOE SBIR-STTR Office awards page
- Let reviewers and leadership at facilities & universities know what companies received awards.
- Add DOE press releases on SBIR/STTR awards to the News section on our landing page
  - Make this resource known to our community



## Other SBIR/STTR Program Updates

- We have another initiative to better connect businesses to the NP community.
  - Since 2017, offer companies the opportunity to have a kickoff meeting about 1 month after they receive funding
    - During the meeting, discuss community members to contact to ensure compatibility with their needs
- A new Sequential Award, Phase IIC, to be rolled out DOE-wide
- Increased minimum award amounts for the first time since 2011.
  - Phase I: \$200k, 12 months (was \$150k, typically 9 months)
  - Phase II: \$1.1M, 2 years (was \$1M, 2 years)
    - Will be fully implemented in FY20
- NP uniquely fosters the connection between the NP community and the small businesses that serve it through an annual exchange meeting
- Program Managers from other Federal agencies (e.g. NSF, NIH) invited
  - This in turn provides opportunities for funding by those agencies and an introduction into new science and technology sectors

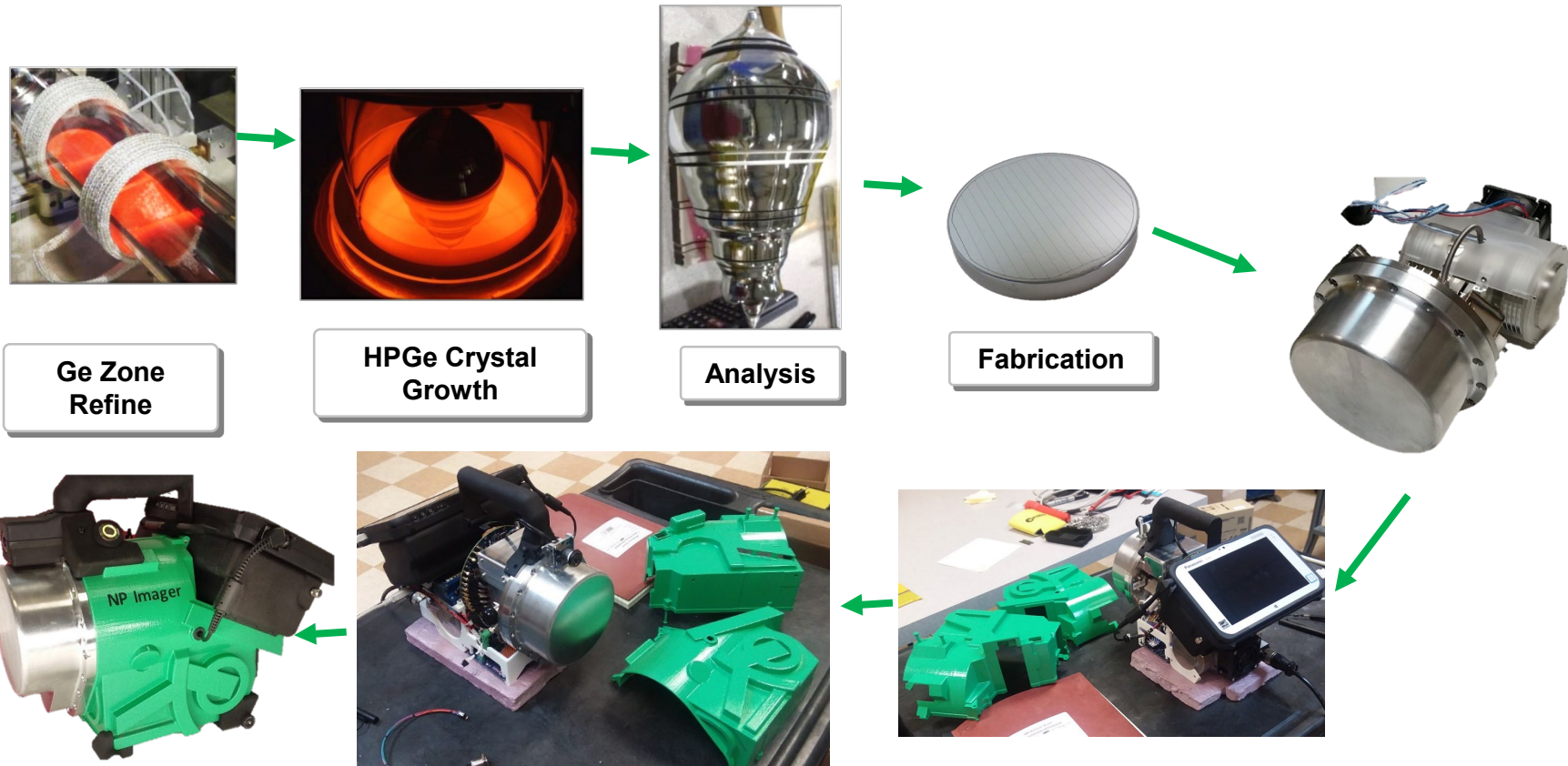


# Outcomes

- The short answer is – it's early days since program changes occurred over FY18-19
- The DOE SBIR-STTR Office collects Ph III outcomes for sales only to US National Laboratories
- NP has expanded this request to include sales to other US and foreign research institutions
- Collected first data for FY18
  - Will be an annual process
- FY18 Phase III & other worldwide sales was ~ \$4M
- Sales to Labs roughly equal to other research institutions
- Accelerator sales, primarily in sources, magnet components, and diagnostics accounted for about 25% of the total
- The majority was in instrumentation – detectors and electronics
- Sales of hardware based on awards made over 5 years earlier
  - It takes time for Phase II prototypes to become products

# Commercialization Highlight PHDS Co

- In FY18 PHDs Co made sizeable sales of their radioisotope imagers to several National Labs
  - Based on High purity germanium (HPGe) crystals



This SBIR program adapted the PHDS Co. vertical manufacturing to **NP Imager**

- Their first Phase II award, for reliable HPGe crystal growth, was in 2004!

# Commercialization Highlight (cont)

- Imager at work – detecting position of Ac-225 and Ra-225 in a separation column



99.8 keV  $^{225}\text{Ac}$

40 keV  $^{225}\text{Ra}$

Slide courtesy Ethan Hull

# Conclusions

- NP uses the Congressionally-mandated SBIR/STTR Program –
  - To fund R&D that benefits the NP community
  - To build and sustain a US-based commercial infrastructure that serves society in areas beyond nuclear science
- NP's set aside for the SBIR/STTR Program over five years is equivalent to that for a major item of equipment like a detector
  - With input from NP Program Managers and the community, the NP SBIR/STTR program uses those funds for R&D that advances our core technologies as well as new initiatives