

*The Department of Energy has opted to utilize the following agreement for Designated Proprietary User Facilities transactions. Because these transactions are widespread across Departmental facilities, uniformity in agreement terms is desirable. Except for the \*\*\* provisions, minor modifications to the terms of this agreement may be made by CONTRACTOR, but any changes to the \*\*\* provisions or substantive changes to the non \*\*\* provisions will require approval by the DOE Contracting Officer, WHICH WILL LIKELY DELAY YOUR ACCESS TO THE USER FACILITY. In instances where DOE Contracting Officer approval for substantive changes cannot be obtained, Work for Others (WFOs) and Cooperative Research and Development Agreements (CRADAs) may be more appropriate due to the increased flexibility such agreements afford.*

**Proprietary User Agreement**

No.

BETWEEN

**The Regents of the University of California**  
("CONTRACTOR")

Facility Operator of Ernest Orlando Lawrence Berkeley National Laboratory ("Laboratory") under U.S.  
Department of Energy ("DOE") Contract No.  
DE-AC02-05CH11231

AND

<Legal Name of USER Institution>  
("USER")

(Collectively, "the Parties")

The obligations of the CONTRACTOR may be transferred to and shall apply to any successor in interest to said contractor continuing the operation of the DOE facility involved in this Proprietary User Agreement.

**ARTICLE I. FACILITIES AND SCOPE OF WORK**

Employee(s), consultant(s), and representative(s) of USER (hereinafter called "Participant(s)") shall be permitted to use the National Energy Research Scientific Computing Center (hereinafter "NERSC" or "User Facility") for purposes as described in individual proposals approved by NERSC or by DOE for execution at the User Facility.

In order for the USER to gain access to and/or use of the User Facility, the research must first receive programmatic approval of the User Facility director or DOE. It is understood and agreed that the approval determinations are final. To receive such approval, the USER is obligated to provide a proposal disclosing a functional non-proprietary description of the intended work in accordance with published procedures, since such information is essential to the CONTRACTOR to operate the User Facility. This Agreement incorporates an Appendix for each proposal in which CONTRACTOR and USER must agree on a meaningful list of research results and data generated during the work performed under the user agreement that will be publicly released. The scope of work and title shall not be considered proprietary information and shall be publicly releasable.

This Proprietary User Agreement shall be incorporated by reference and apply to all such use of computational resources ~~experiments~~ authorized for performance at NERSC which are funded by USER and the Government under the ALCC Program. CONTRACTOR will retain its employees assigned to this Work on its payroll and will be reimbursed by USER for the account of DOE in accordance with DOE's pricing policy, which provides for full cost recovery.

Facility: National Energy Research Scientific Computing Center (NERSC or "User Facility")  
Scope of Work ("Work"): Proprietary use of the computational resources at NERSC.

## **ARTICLE II. TERM OF THE AGREEMENT**

This Agreement shall have a term of \_\_\_\_\_ months/years from the effective date. The term of this Agreement shall be effective as of the date on which it is signed by the last of the Parties.

## **ARTICLE III. BILLING AND PAYMENT OF EXPENSES**

The cost for use of this User Facility is covered in whole or in part for U.S. Industrial USERS selected under the ALCC Program, and for Non-U.S. Industrial USERS selected under the ALCC Program *with an express determination from the Associate Director of ASCR*. Under these programs, federal funding is provided for non-collaborative proprietary research. Cost share by the Industrial USER for the use of the User Facility may be required to qualify for use under the ALCC Program and is reflected below.

Consequently, each Party will bear its own costs and expenses associated with this Agreement. No money will be transferred to or from either Party as consideration, in whole or in part, for this Agreement except for reimbursement for support services that are provided above and beyond those normally provided by the facility upon request by User and at the discretion of the Contractor. Services may include such activities as equipment handling, or facility operation outside of normal working hours or storage capacity above standard allocations, but shall not include conduct of research. Costs associated with User support shall be agreed upon in advance and set forth in a separate agreement. Under such separate agreement, Contractor will invoice User for these costs, and user shall pay each invoice according to the instructions therein.

If required, the estimated USER's cost share of the Work, described in Article I above is \$\_\_\_\_\_.

USER represents that the funding it brings to this Agreement does not include federal funds.

## **ARTICLE IV. ADMISSION REQUIREMENTS**

For remote access to and use of NERSC, and any LBNL computers, data storage systems, or communication networks, all Participants must complete all remote access documents or electronic forms required by CONTRACTOR and NERSC, and comply with all applicable policies and procedures regarding such use, including that *all Participants must sign and comply with the LBNL NERSC Appropriate Use Policy*. USER understands and agrees that continued use of NERSC is conditioned upon compliance with these policies. NERSC has the unilateral right to terminate this agreement or access by any Participant if in its sole determination that policies have been violated.

**IF THE USER REQUIRES ACCESS TO OTHER FACILITIES AT THE LABORATORY, A DIFFERENT AGREEMENT WILL NEED TO BE EXECUTED.**

#### **ARTICLE V. PROPERTY AND MATERIALS\*\*\***

USER may be permitted by the CONTRACTOR to furnish equipment, tooling, test apparatus, or materials (“Personal Property” or “Property”) necessary to assist in the performance of the Work at the User Facility. Such items shall remain the property of USER.

Unless the Parties otherwise agree, all such Property furnished by USER or equipment and test apparatus provided by USER will be removed by USER within sixty (60) days of termination or expiration of this Agreement or will be disposed of as directed by USER at USER’s expense. Any equipment that becomes integrated into the User Facility shall be the property of the United States Government (“Government”). USER acknowledges that any material supplied by USER may be damaged, consumed or lost. Materials remaining after performance of the Work or analysis will be removed in their then condition by USER at USER’s expense. USER will return User Facilities and equipment utilized in their original condition except for normal wear and tear.

CONTRACTOR shall have no responsibility for USER’s Property at the User Facility other than loss or damage caused by willful misconduct or gross negligence of CONTRACTOR or its employees.

Personal Property produced or acquired during the course of this Agreement shall be disposed of as directed by the owner at the owner’s expense.

CONTRACTOR may provide USER or its Participants with property (including cryptographic authentication devices and identification badges) to enable Participants use of the facility. USER or Participants shall return CONTRACTOR property within 15 days of termination of this Agreement or CONTRACTOR’s demand.

#### **ARTICLE VI. SCHEDULING \*\*\***

USER understands that CONTRACTOR will have sole responsibility and discretion for allocating and scheduling usage of the User Facilities and equipment needed for or involved under this Agreement.

#### **ARTICLE VII. INDEMNITY AND LIABILITY\*\*\***

##### **A. Personnel Relationships**

USER shall be responsible for the acts or omissions of Participants.

##### **B. Product Liability**

To the extent permitted by United States (“US”) law and US State law of the USER, if USER utilizes the Work derived from this Agreement in the making, using, or selling of a product, process or service, then USER hereby agrees to hold harmless and indemnify CONTRACTOR and the Government, their officers, agents and employees from any and all liability, claims, damages, costs and expenses, including attorney fees, for injury to or death of persons, or damage to or destruction of property, as a result of or arising out of such utilization of the Work by or on behalf of USER, its assignees or licensees.

##### **C. General Indemnity**

To the extent permitted by US law and US State law of the USER, USER hereby agrees to indemnify and hold harmless CONTRACTOR and the US Government, their officers, agents and employees from any and all liability, claims, damages, costs and expenses, including attorney fees, for injury to or death of persons, or damage to or destruction of property, arising out of the performance of this Agreement or arising out of the use of the services performed, materials

supplied or information given hereunder by any persons including the USER, and not directly resulting from the fault or negligence of the CONTRACTOR or the United States Government, or persons acting on their behalf.

**D. Patent and Copyright Indemnity—Limited**

To the extent permitted by US law and US State law of the USER, USER shall fully indemnify the Government and CONTRACTOR and their officers, agents, and employees for infringement of any United States patent or copyright arising out of any acts required or directed or performed by USER under the Agreement to the extent such acts are not normally performed at the User Facility.

**E.** The liability and indemnity provisions in paragraphs B, C and D above shall not apply unless USER shall have been informed as soon as practicable by CONTRACTOR or the Government of the suit or action alleging such liability or infringement, and such indemnity shall not apply to a claimed liability or infringement that is settled without the consent of USER unless required by a court of competent jurisdiction.

**F. General Disclaimer**

THE GOVERNMENT AND CONTRACTOR MAKE NO EXPRESS OR IMPLIED WARRANTY AS TO THE CONDITIONS OF THE USER FACILITY FURNISHED HEREUNDER. IN ADDITION, THE GOVERNMENT, CONTRACTOR AND USER MAKE NO EXPRESS OR IMPLIED WARRANTY AS TO THE RESEARCH OR ANY INTELLECTUAL PROPERTY, GENERATED INFORMATION, OR PRODUCT MADE OR DEVELOPED UNDER THIS AGREEMENT, OR THE OWNERSHIP, MERCHANTABILITY, OR FITNESS FOR A PARTICULAR PURPOSE OF THE RESEARCH OR RESULTING PRODUCT; THAT THE GOODS, SERVICES, MATERIALS, PRODUCTS, PROCESSES, INFORMATION, OR DATA TO BE FURNISHED HEREUNDER WILL ACCOMPLISH INTENDED RESULTS OR ARE SAFE FOR ANY PURPOSE INCLUDING THE INTENDED PURPOSE; OR THAT ANY OF THE ABOVE WILL NOT INTERFERE WITH PRIVATELY OWNED RIGHTS OF OTHERS. THE GOVERNMENT, CONTRACTOR AND/OR USER SHALL NOT BE LIABLE FOR SPECIAL, CONSEQUENTIAL, OR INCIDENTAL DAMAGES ATTRIBUTED TO USE OF SUCH FACILITIES, RESEARCH OR RESULTING PRODUCT, INTELLECTUAL PROPERTY, GENERATED INFORMATION, OR PRODUCT MADE OR DELIVERED UNDER THIS AGREEMENT.

**G. Notice and Assistance Regarding Patent and Copyright Infringement**

1. USER shall report to the Government, promptly and in reasonable written detail, each notice or claim of patent or copyright infringement based on the performance of this Agreement of which USER has knowledge.
2. In the event of any claim or suit against the Government on account of any alleged patent or copyright infringement arising out of the performance of this Agreement or out of the use of any supplies furnished or Work or services performed hereunder, USER shall furnish to the Government when requested by the Government, all evidence and information in possession of USER pertaining to such suit or claim. Such evidence and information shall be furnished at the expense of the Government except where USER has agreed to indemnify the Government.

**ARTICLE VIII. PATENT RIGHTS\*\*\***

**A. Definitions**

1. "Subject Invention" means any invention or discovery of USER conceived or first actually reduced to practice in the course of or under this Agreement.
2. "Patent Counsel" means the DOE Patent Counsel assisting the Facility Operator.

**B. Rights of USER – Election to Retain Rights**

With respect to any USER Subject Invention, which includes inventions of any Participants, reported and elected in accordance with paragraph (C) of this clause, USER may elect to obtain the entire right, title and interest in any patent application filed in any country on a Subject Invention and in any resulting patent secured by USER. Where appropriate, the filing of patent application by USER is subject to DOE security regulations and requirements.

**C. Invention Identification, Disclosures, and Reports**

USER shall furnish the Patent Counsel a written report concerning each USER Subject Invention, which includes inventions of any Participants, within six months after conception or first actual reduction to practice, whichever occurs first. If USER wishes to elect title to the Subject Invention, a notice of election to the Subject Invention should be submitted with the report or within one year of such date of reporting of the Subject Invention.

**D. Facilities License**

USER agrees to and does hereby grant to the Government an irrevocable, nonexclusive paid-up license in and to any inventions or discoveries, regardless of when conceived or actually reduced to practice or acquired by USER, which at any time through completion of this Agreement are owned or controlled by USER and are incorporated in the User Facility as a result of this Agreement to such an extent that the User Facility is not restored to the condition existing prior to the Agreement (1) to practice or to have practiced by or for the Government at the User Facility, and (2) to transfer such licenses with the transfer of that User Facility. The acceptance or exercise by the Government of the aforesaid rights and license shall not prevent the Government at any time from contesting the enforceability, validity or scope of, or title to, any rights or patents herein licensed.

**ARTICLE IX. RIGHTS IN TECHNICAL DATA \*\*\***

**A. Definitions**

1. "Technical Data" means recorded information, regardless of form or characteristic, of a scientific or technical nature. Technical Data as used herein does not include financial reports, cost analyses, and other information incidental to Agreement administration.
2. "Proprietary Data" means Technical Data which embody trade secrets, developed at private expense, such as design procedures or techniques, chemical composition of materials, or manufacturing methods, processes or treatments, including minor modifications thereof, provided that such data:
  - a. are not generally known or available from other sources without obligation concerning their confidentiality,
  - b. have not been made available by the owner to others without obligation concerning their confidentiality,
  - c. are not already available to the Government without obligation concerning their confidentiality, and
  - d. are marked as "Proprietary Data."
3. "Third Party Software" means software (including source code and object code), documentation and data employed by USER in performance of this Agreement that is

commercially available and licensed from third parties, and is unmodified by USER in performance of this Agreement. Third party software may include open source software.

4. "Electronic Information" means any recorded information regardless of form or characteristic, including Technical Data, Proprietary Data and Third Party Software.
  5. "Unlimited Rights" means rights to use, duplicate or disclose Technical Data, in whole or in part, in any manner and for any purpose whatsoever, and to permit others to do so.
- B.** USER is permitted by the CONTRACTOR to install "Electronic Information" (such as software object and source code, documentation and data) for use in performance of this Agreement on systems designated by CONTRACTOR provided that the Electronic Information (e.g., Third Party Software) is properly licensed. Likewise, USER may create such Electronic Information in the course of the Work. Any Electronic Information, which are not required to be delivered to CONTRACTOR, must be removed by the User upon completion of the Work and prior to the earlier of (1) termination of this Agreement, or (2) the end of an approved proposal period (i.e. computer time allocation) if a proposal is not renewed or extended. Any Electronic Information, including computer files, remaining at NERSC will be treated according to this Article XI as applicable. NERSC may delete any Electronic Information, including files and data, remaining at its sole discretion. Notwithstanding the foregoing, USER understands and agrees that NERSC may hold backup copies of USER and Participant Electronic Information, until the backup files are deleted or overwritten.
- C.** USER agrees to furnish to DOE or CONTRACTOR those data, if any, which are (1) essential to the performance of Work by DOE or CONTRACTOR personnel or (2) necessary for the health and safety of such personnel in the performance of the Work. Any data furnished to DOE or CONTRACTOR shall be deemed to have been delivered with Unlimited Rights unless marked as "Proprietary Data" of USER.
- D.** USER agrees that it shall have the sole responsibility for identifying and marking all documents containing Proprietary Data that are furnished by USER or produced under this Agreement. USER further agrees to mark each such document by or before termination of the Agreement by placing on the cover page thereof a legend identifying the document as Proprietary Data of USER and identifying each page and portion thereof to which the marking applies. The Government and CONTRACTOR shall not disclose properly marked Proprietary Data of USER outside the Government and CONTRACTOR. The Government and CONTRACTOR reserve the right to challenge the proprietary nature of any markings on data.
- E.** USER is solely responsible for the removal of all of its Proprietary Data, Electronic Information, and Third Party Software from the User Facility by or before termination of this Agreement. The Government shall have Unlimited Rights in any Technical Data (including Proprietary Data and excluding Third Party Software) which are not removed from the User Facility by or before termination of the Agreement, except for backups as described in this Article. The Government shall have Unlimited Rights in any Technical Data (including Proprietary Data) that are incorporated into the User Facility under the Agreement to such extent that the User Facility or equipment is not restored to the condition existing prior to such incorporation.
- F.** Upon completion or termination of the Work, USER agrees to deliver to DOE and CONTRACTOR a non-proprietary report describing the Work performed under the Agreement.

**ARTICLE X. LABORATORY SITE ACCESS, SAFETY AND HEALTH\*\*\***

As a precondition to using CONTRACTOR User Facilities, Participants must complete all CONTRACTOR Site Access documents and requirements. USER and Participants shall take all reasonable precautions in activities carried out under this Agreement to protect the safety and health of others and to protect the environment. Participants must comply with all applicable safety, health, access to information, security and environmental regulations and the requirements of the DOE and CONTRACTOR, including the specific requirements of the Proprietary User Facility covered by this Agreement. In the event that USER or Participant fails to comply with said regulations and requirements, CONTRACTOR may, without prejudice to any other legal or contractual rights, issue an order stopping all or any part of USER's or Participant's activities at the Designated Proprietary User Facility.

**ARTICLE XI. PERSONNEL RELATIONSHIPS \*\*\***

Participants will remain employees or representatives of USER at all times during their participation in the Work under this Agreement, and shall not be considered employees of CONTRACTOR or DOE for any purpose. Participants shall be subject to the administrative and technical supervision and control of CONTRACTOR during and in connection with the Participants' activities under this Agreement.

**ARTICLE XII. CYBER SECURITY AND MANDATED CONTROLS\*\*\***

- A. NERSC documents policies and procedures regarding cyber security, the type of software and data that is permissible, appropriate use of NERSC systems, and recommended cyber security procedures on its website and in the *NERSC Appropriate Use Policy*. USER should periodically review these materials, and act in accordance. The more restrictive of NERSC policies and procedures and this document will apply.
- B. USER understands and agrees that it is solely responsible for the security and protection of Electronic Information transmitted through NERSC and LBNL systems and networks or stored and processed on NERSC and LBNL computer systems. USER must evaluate the security mechanisms provided by NERSC (including operating file system permissions, account passwords and similar access controls, file backups, network security) and store only that data USER deems sufficiently protected.
- C. NERSC may automatically backup Electronic Information stored on its systems. Should USER desire to prevent backups of certain materials, please make arrangements with NERSC.
- D. USER acknowledges that the export of goods or technical data may require some form of export control license from the U.S. Government and that failure to obtain such export control license may result in criminal liability under the laws of the United States.
- E. THE USE OF LBNL RESOURCES TO STORE, MANIPULATE, OR REMOTELY ACCESS CLASSIFIED INFORMATION, UNCLASSIFIED CONTROLLED NUCLEAR INFORMATION (UCNI), NAVAL NUCLEAR PROPULSION INFORMATION (NNPI), SECRET RESTRICTED DATA (SRD), SPECIAL ACCESS REQUIRED DATA (SAR), THE DESIGN OR DEVELOPMENT OF NUCLEAR, RADIOLOGICAL, BIOLOGICAL, OR CHEMICAL WEAPONS OR OF ANY WEAPONS OF MASS DESTRUCTION IS EXPRESSLY PROHIBITED.
- F. The use of NERSC and LBNL resources to store, manipulate, or remotely access information, software, or data that may affect the legal or security status of NERSC or LBNL or require additional controls, requires prior written approval from CONTRACTOR, which may be

withheld at CONTRACTOR's sole discretion. Such materials include but are not limited to export-controlled software or technical data (e.g. under EAR (Export Administration Regulations) or ITAR (International Traffic in Arms Regulations)), Personally Identifiable Information or health information (including data covered by HIPPA, the Health Information Portability and Accountability Act), and information subject to "Official Use Only" or similar governmental restrictions.

- G. DOE AND CONTRACTOR SHALL HAVE THE UNRESTRICTED RIGHT TO INSPECT ALL CODES, THIRD PARTY SOFTWARE, COMPUTER FILES, ELECTRONIC INFORMATION, AND DATA TO ENSURE COMPLIANCE WITH THIS ARTICLE AND ALL APPLICABLE LEGAL RESTRICTIONS.

### **ARTICLE XIII. THIRD-PARTY CONTRACTS --RESERVED**

#### **ARTICLE XIV. DISPUTES \*\*\***

The Parties will attempt to jointly resolve all disputes arising under this Agreement. If the Parties are unable to jointly resolve a dispute within a reasonable period of time, either Party may contact the laboratory's Technology Transfer Ombudsman ("TTO") to provide assistance. The TTO may work directly to resolve the dispute or, upon mutual agreement of the Parties, contact a third party neutral mediator to assist the Parties in coming to a resolution. The costs of the mediator's services will be shared equally by the Parties. In the event that an agreement is not reached with the aid of the ombudsman or mediator, the Parties may agree to have the dispute addressed by neutral evaluation. The decision rendered by the neutral evaluator shall be nonbinding on the Parties, and any costs incurred there from shall be divided equally between the Parties. Upon mutual agreement, the Parties may request a final decision by the DOE Contracting Officer. Absent resolution, either Party may seek relief in a court of competent jurisdiction.

#### **ARTICLE XV. CONFLICT OF TERMS\*\*\***

If some or all of the funding and/or scope of the Work is subject to a U.S. federal agency grant, cooperative agreement, or contract ("Funding Agreement"), and to the extent any Work is performed under the separate Funding Agreement and the intellectual property provisions in the Funding Agreement are inconsistent with the terms and conditions in this User Agreement, the terms and conditions of the federal Funding Agreement shall prevail if the DOE Approval of the use of the ALCC Patent Waiver is not granted in the attached appendices. Note: If funding and/or scope includes federal funds or overlaps with scope from a federally funded project, the entire project shall be subject to the terms of the Funding Agreement. Notwithstanding any conflicts with the Funding Agreement, the specific terms that apply to the use of the User Facility in Articles I, IV, V, VI, IX, and XII apply to any use of the User Facility by User and its Participants.

Each Appendix requires NERSC Director concurrence that the Work does not engage CONTRACTOR staff in collaborative research. If any Work engages CONTRACTOR staff in collaborative research, that Work will be memorialized in a separate agreement, such as a Strategic Partnership Project (SPP) or a Collaborative Research and Development Agreement (CRADA) between the Parties. In the event of any conflict between the terms of this document and any other SPP or CRADA agreement for the same Work between the Parties, the terms of that agreement shall prevail, provided that the specific terms that apply to the use of the User Facility in Articles I, IV, V, VI, IX, and XII apply to any use of the User Facility by User and its Participants.

**ARTICLE XVI. TERMINATION\*\*\***

Either Party may terminate this Agreement for any reason at any time by giving not less than thirty (30) days prior written notice to the other Party, provided that CONTRACTOR shall recover payment for the costs incurred by CONTRACTOR on behalf of USER prior to termination and for termination costs. NERSC may also require immediate termination as provided in Article IV. Notice will be deemed made as of the day of receipt. The obligations of any clause of this Agreement, which by their nature extend beyond its termination, shall remain in full force and effect until fulfilled.

In witness whereof, the Parties hereto have executed this Agreement:

**FOR THE REGENTS OF THE  
UNIVERSITY OF CALIFORNIA AS  
MANAGEMENT AND OPERATING  
CONTRACTOR FOR THE ERNEST  
ORLANDO LAWRENCE BERKELEY  
NATIONAL LABORATORY**

**FOR USER**

Sign: \_\_\_\_\_

Sign: \_\_\_\_\_

Name: \_\_\_\_\_

Name: \_\_\_\_\_

Title: \_\_\_\_\_

Title: \_\_\_\_\_

Date: \_\_\_\_\_

Date: \_\_\_\_\_