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## Contents: Laboratory Directed Research and Development (LDRD) Program

Effective Date: **October 2002**

Point of Contact: [LDRD Subject Matter Expert](#)

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### Section

### Overview of Content (see section for full process)

#### [Introduction](#)

#### [1. Preparing, Submitting, Reviewing, and Approving LDRD Proposals](#)

- Complete Proposal Information Questionnaire.
- Review and approve proposals.
- Authorize funding.

#### [2. Preparing and Submitting Reports on LDRD Projects](#)

- Submit status reports.

#### [Definitions](#)

#### **Exhibits**

[Examples of Projects for LDRD Funding](#)  
[Restrictions on LDRD Awards](#)  
[Sample Interim Status Report](#)

#### **Forms**

[LDRD Data Collection Form](#)  
[Proposal Information Questionnaire](#)

## Training Requirements and Reporting Obligations

This subject area does not contain training requirements.

This subject area contains the following reporting obligations:

- After the start of the project, submit an interim annual status report by November 1 to the LDRD Scientific Director.
- For two years after the completion of the project, submit LDRD Data Collection Form to the LDRD Scientific Director.

See the section [Preparing and Submitting Reports on LDRD Projects](#).

## References

None

## Standards of Performance

Provide for strategic growth and investment in the Laboratory's programmatic mission and supporting assets through the following:

- Using Laboratory Directed Research and Development (LDRD);
- Maintaining an Institutional Plan through a process for formal strategic planning; and
- Maintaining a supportive work environment that fosters innovative scientific and technological research and analysis to serve customers' needs, and staff development to address long-term organizational needs and staff career goals.

All staff shall ensure that the scientific and technical information resulting from BNL research is available to the maximum permissible extent for future use by the scientific community and the public within BNL's and the customer's requirements.

## Management System

This subject area belongs to the **Science and Technical Program Management** management system.

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## Introduction: Laboratory Directed Research and Development (LDRD) Program

Effective Date: **March 2002**

Point of Contact: [LDRD Subject Matter Expert](#)

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This subject area describes the procedures for preparing, submitting, reviewing, and approving proposals for the Laboratory Directed Research and Development (LDRD) Program. It also describes the procedures for reporting on the status of LDRD projects.

The purpose of the LDRD Program is to encourage and support the development of new ideas that could lead to new programs, projects, and directions for the Laboratory. The LDRD program focuses on early exploration and exploitation of creative and innovative concepts, which enhance the ability of the Laboratory to carry out its current and future mission objectives in line with the goals of the Department of Energy (DOE). This discretionary research and development tool is viewed as one important way of maintaining the scientific excellence of the Laboratory. It is a means to stimulate the scientific-technological community (foster new science and technology ideas), which is a factor in achieving and maintaining staff excellence, and is a means to address national needs within the overall mission of the DOE.

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*Subject Area: Laboratory Directed Research and Development (LDRD) Program*

# 1. Preparing, Submitting, Reviewing, and Approving LDRD Proposals

 Effective Date: **October 2002**

 Point of Contact: [LDRD Subject Matter Expert](#)

## Applicability

This information applies to BNL staff who prepare, submit, review, and approve Laboratory Directed Research and Development (LDRD) Program proposals for funding.

## Required Procedure

Proposals for the following fiscal year will be solicited in January for submission by April. Awards will be made by May on a competitive basis. Normally, LDRD projects will start shortly after the beginning of the fiscal year.

<b>Step 1</b>	<p>The Principal Investigator completes the <a href="#">Proposal Information Questionnaire</a>, which consists of an abstract and three-page proposal outlining the planned project.</p> <p>See the <a href="#">Examples of Projects for LDRD Funding</a> exhibit for information on projects or studies that are considered candidates for the LDRD Program.</p>
<b>Step 2</b>	<p>The Department Administrator, Department Chair/Division Manager, and cognizant Associate Laboratory Director (ALD) review and approve the Proposal Information Questionnaire.</p>
<b>Step 3</b>	<p>The Department Chair/Division Manager transmits the Proposal Information Questionnaire to the <a href="#">LDRD Scientific Director</a>, who acts as the Chair of the LDRD Selection Committee.</p>
<b>Step 4</b>	<p>The LDRD Selection Committee reviews all proposals, obtains additional information deemed necessary, and selects the projects to be funded and the amount of each award. See the <a href="#">Restrictions on LDRD Awards</a> exhibit for information on restrictions for LDRD funding.</p>

	The total amount of funds to be made available for the program, and the number of projects supported, will vary from year to year, depending to a large extent on the Laboratory's overall financial situation, and on the amount approved by DOE.
<b>Step 5</b>	The LDRD Scientific Director submits selected proposals to the Operations Security (OPSEC) Working Committee Chair for classification review and operational security considerations.
<b>Step 6</b>	The LDRD Scientific Director submits selected proposals to the DOE Brookhaven Site Office (BHSO) LDRD Project Manager for concurrence 45 days before the start of the fiscal year.
<b>Step 7</b>	The LDRD Scientific Director notifies the Principal Investigator and the cognizant Department Chair/Division Manager, and ALD when an LDRD research project is authorized for funding.

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Subject Area: **Laboratory Directed Research and Development (LDRD) Program**

## 2. Preparing and Submitting Reports on LDRD Projects

Effective Date: **October 2002**

Point of Contact: [LDRD Subject Matter Expert](#)

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## Applicability

This information applies to BNL staff who prepare and submit status reports to the LDRD Scientific Director on LDRD projects.

## Required Procedure

The Principal Investigator submits reports to the [LDRD Scientific Director](#).

<b>Step 1</b>	<p>After the start of the project, submit an interim annual status report by November 1 to the <a href="#">LDRD Scientific Director</a>. Use the format of the <a href="#">Sample Interim Status Report</a> exhibit. Also complete and submit an <a href="#">LDRD Data Collection Form</a>.</p> <p><b>Note:</b> These status reports should provide a brief summary (outlining purpose, approach, and status or progress of two pages or less) of the results of the LDRD project. Projects of more than one year should only summarize progress since the previous report. Additionally, the status report must also identify significant findings or accomplishments, papers, publications, patents, follow-on funding (includes funds requested or approved by DOE or from other agencies), support of post docs or students, presentations, and copyrights. For multi-year projects, the goals for the following years should be updated in view of the previous year's experience.</p>
<b>Step 2</b>	<p>For two years after the completion of the project, only submit the LDRD Data Collection Form to the LDRD Scientific Director.</p>

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Subject Area: **Laboratory Directed Research and Development (LDRD) Program**

### Examples of Projects for LDRD Funding

Effective Date: **March 2002**

Point of Contact: [LDRD Subject Matter Expert](#)

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Projects or studies that are appropriate candidates for the Laboratory Directed Research and Development Program (LDRD) are normally small, ranging from \$50,000 to \$200,000 per year, with a preference for smaller projects. They are generally funded for periods of two years with a possible continuation for a third year. Typically, they include the following:

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- Projects in the forefront areas of basic and applied science and technology for the primary purpose of enriching Laboratory capabilities;
- Advanced study of new hypotheses, new concepts, or innovative approaches to scientific or technical problems;
- Experiments and analyses directed toward "proof of principle" or early determination of the utility of new scientific ideas;
- Conceptual and preliminary technical analysis of experimental facilities or devices.

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Subject Area: **Laboratory Directed Research and Development (LDRD) Program**

### Restrictions on LDRD Awards

Effective Date: **March 2002**

Point of Contact: [LDRD Subject Matter Expert](#)

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The purpose of the LDRD program is to develop new, fundable programs at the Laboratory. As such, the work proposed should be consistent with the missions of the Laboratory, the Department of Energy (DOE), and the Nuclear Regulatory Commission (NRC). In this regard, the Laboratory's Institutional Plan and Agency program documents serve as guidance.

- Awards will not be made to substitute for, or increase funding for any tasks for which Congress or the DOE has established a specific limitation, or for any specific tasks that are funded by DOE or other users of the Laboratory.
- The exploratory study should not require the acquisition of permanent staff.
- Projects will be modest in size and limited to 3 years or less.
- Awards will not fund activities that will require the addition of non-LDRD funds to reach a useful stage of completion.
- The LDRD study will not fund
  1. construction line-item projects, in whole or in part;
  2. construction design beyond the preliminary phase (e.g., conceptual design, Title I design work, or any similar or more advanced effort may not be supported),
  3. capital equipment expenditures. Any preliminary design work before conceptual design which is supported, must be directly associated with an LDRD project.

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# Sample Interim Status Report

## Full Title of Project

*Principal Investigator(s) LDRD Project #*

### PURPOSE:

Succinctly state in one short paragraph the technical objective or goal and the exploratory nature of the work pursued in the context of the current state of its technical field. The "objective" in this context is the expected technical result and its technical implications [i.e., feasibility determination, long-standing scientific question answered, differentiation among alternate engineering solutions]. Follow-on implications of success in terms of new programs and BNL institutional strategy should then be mentioned briefly as motivational background for the technical goals.

### APPROACH:

In successive separate paragraphs, describe the background in the field that led to your pursuit of this project, the scope of the investigation [i.e., what piece(s) of the problem(s) is (are) being studied], and the methods employed to carry out the work. Mention of collaborators not named as P.I.s above is appropriate here.

### TECHNICAL PROGRESS AND RESULTS:

First, allude briefly to progress in the prior Fiscal year, for projects previously funded. Then describe the reporting period Fiscal year advances in terms of tests completed, software written, etc. Do not use future tense or present tense progressive(-ing)

forms of verbs, but rather simple past tense. Continue with identification of results from this completed work, which can be singled out as technical milestones of the project. If appropriate, end with a summary of implications inferred from the results.

If continuation of this work is anticipated, indicate here what added results and milestones are planned in the next Fiscal year. If continuation will be supported from other than LDRD sources, that must be stated explicitly in the following section clearly identifying all new sponsors.

Also state if this project involves animal vertebrates and/or human subjects.

### SPECIFIC ACCOMPLISHMENTS:

List quantifiable accomplishments. These do not include technical milestones alluded to in the previous section. These must include patent applications and invention reports, internal reports (including preliminary design), commitments for future programmatic funding, publications (in preparation, submitted, in press, or in print), awards, and review presentations including those scheduled to occur after the reporting period Fiscal year. External publications should be grouped according to whether they are refereed or not and further as to whether they are reports of prior Fiscal years work or part of the reporting period Fiscal year results.

### LDRD FUNDING:

FY 20XX	\$
FY 20XX (estimated)	\$
FY 20XX(estimated)	\$



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Subject Area: **Laboratory Directed Research and Development (LDRD) Program**

## LDRD Data Collection Form

Effective Date: **October 2002**

Point of Contact: [LDRD Subject Matter Expert](#)

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The LDRD Data Collection Form is provided as a [Word](#) file.

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**LDRD DATA COLLECTION FORM**

**Read and then remove the instructions before attempting to complete this form and return it electronically to D. J. Greco ([greco@bnl.gov](mailto:greco@bnl.gov)).**

**LDRD PROJECT NUMBER:**

**PROJECT TITLE:**

**PRINCIPAL INVESTIGATOR(S):**

**PUBLICATIONS** **TOTAL** \_\_\_\_\_

List all refereed publications originating in whole or in part from this LDRD including those that have been submitted, but do not include any that are in preparation. Provide the total number above.

Example of style

Ozone production in the New York City Urban Plume. Kleinman, L. I., Daum, P. H., Imre, D. G., Lee, J. H., Lee, Y. -N., Nunnermacker, L. J., Springston, S. R., Weinstein-Lloyd, J., and Newman, L. J. Geophys. Res., 105, 14,495-14,511 (2000).

**MEETINGS, PROCEEDINGS, AND ABSTRACTS** **TOTAL** \_\_\_\_\_

List all formal presentations originating in whole or in part from this LDRD including those that have been accepted for presentation but not yet presented. Provide the total number above.

Example of style

Ozone production in the New York City urban plume. Kleinman, L., Daum, P. H., Imre, D., Klotz, P., Lee, J. H., Lee, Y. N., Nunnermacker, L. J., Springston, S., Weinstein-Lloyd, J., and Newman, L. American Geophysical Union Fall Meeting, San Francisco, CA, Dec. 8-12, 1997.

**REPORTS** **TOTAL** \_\_\_\_\_

List all formal reports originating in whole or in part from this LDRD including those that have been accepted for publication, but do not include any that are in preparation. Provide the total number above.

**PATENTS AND LICENSES** **TOTAL** \_\_\_\_\_

List all patents and licenses originating in whole or in part from this LDRD including those that are pending, but not any that are in preparation. Provide the total number above.

**COPYRIGHTS**

**TOTAL \_\_\_\_\_**

List all copyrights (other than publications) originating in whole or in part from this LDRD including those that are pending, but not any that are in preparation. Provide the total number above.

**INVENTION DISCLOSURES**

**TOTAL \_\_\_\_\_**

List all invention disclosures submitted to the Laboratory's Office of Intellectual Property & Sponsored Research that were either directly derived from this LDRD or from any follow-on efforts. Provide the total number above.

**PROJECT REVIEWS**

**TOTAL \_\_\_\_\_**

List all formal review presentations that pertain to this work. Include the name of the reviewing body and date of review, title of presentation, and names of presenters. Do not include the mid-year LDRD program reviews. Provide the total number above.

**STUDENTS AND RESEARCH ASSOCIATES**

**TOTAL \_\_\_\_\_**

Provide names of all graduate students and Research Associates supported during the duration of this LDRD and give the number of months that they were supported. Provide the total number above combined as full-time equivalents, rounded to the nearest month.

**NEW HIRES**

**TOTAL \_\_\_\_\_**

Provide names of any new staff that were hired as a direct result of this LDRD. Provide the total number above.

**FOLLOW-ON FUNDING**

**TOTAL \_\_\_\_\_**

List all requests for funding including any that have been rejected, and those still pending decisions but not any that are in preparation. Give the title of the project, the Principal Investigator, date of submission, the name of the agency, action taken, amount funded or requested per year, and the duration. Provide the total number above.

**AWARDS**

**TOTAL \_\_\_\_\_**

Provide information on any national awards or recognitions received that are attributable in whole or in part to LDRD projects funded in any year. For each award, describe (in 150 words or less) its significance and the role that LDRD played in achieving it. Provide the total number above.



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Subject Area: *Laboratory Directed Research and Development (LDRD) Program*

## Proposal Information Questionnaire

Effective Date: **October 2002**

Point of Contact: [LDRD Subject Matter Expert](#)

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The Proposal Information Questionnaire is provided as a [Word](#) file.

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**BROOKHAVEN NATIONAL LABORATORY  
PROPOSAL INFORMATION QUESTIONNAIRE  
LABORATORY DIRECTED RESEARCH AND DEVELOPMENT PROGRAM**

**PRINCIPAL INVESTIGATOR**

**PHONE**

**DEPARTMENT/DIVISION**

**DATE**

**OTHER INVESTIGATORS**

**TITLE OF PROPOSAL**

**PROPOSAL TERM** (month/year)

From

Through

**SUMMARY OF PROPOSAL**

**Description of Project:**

**Expected Results:**

**INSTRUCTIONS**

Under **Description of Project**, provide a summary of the scientific concept of the proposed project including the motivation for the undertaking and the approach that will be used to conduct the investigation. Also indicate how the project meets the general characteristics of the LDRD Program and how it is tied to the DOE Mission. Under **Expected Results**, clearly enunciate what are the expected results and how they will impact the science. These items should not exceed the space remaining on this page, using the given font and size. Follow this page with an extended Proposal of no more than three (3) pages in length plus a Milestone Schedule. In addition, include a one-page Vita of the Principal Investigator; fill out the page with citations to recent pertinent publications. Do not include any additional attachments, as these will be discarded. Complete the Questionnaire, obtain the required approvals, and provide a Budget in the format on the form supplied. Break down the funding by fiscal year and by the broad categories of labor, materials and supplies, travel (foreign & domestic), services and subcontracts. LDRD funds cannot be used to purchase capital equipment. Indicate the intent to use collaborators, postdoctoral research associates, and/or students. Identify the various burdens applied, i.e., organizational, materials, and contracts. Include any other charges but the Laboratory G&A should not be applied. Go to the LDRD web site ([www.bnl.gov/ldrld/](http://www.bnl.gov/ldrld/)) for further information. **(This paragraph should be deleted before you input the requested information.)**

# PROPOSAL

## VITA (Principal Investigator)

## LDRD MILESTONE SCHEDULE

Date	Planned Accomplishments
6 months	
1 year	
18 months	
2 years	
30 months	
3 years	

**1. HUMAN SUBJECTS** (Reference: DOE Order 1300.3)

Are human subjects involved from BNL or a collaborating institution?

If **yes**, attach copy of the current Institutional Review Board Approval and Informed Consent Form from BNL and/or collaborating institution.

Y/N \_\_\_\_\_

**2. VERTEBRATE ANIMALS**

Are vertebrate animals involved?

If **yes**, has approval from BNL's Animal Care and Use Committee been obtained?

Y/N \_\_\_\_\_

Y/N \_\_\_\_\_

**3. NEPA REVIEW**

Are the activities proposed similar to those now carried out in the Department/Division which have been previously reviewed for potential environmental impacts and compliance with federal, state, local rules and regulations, and BNL's Environment, Safety, and Health Standards? (Therefore, if funded, proposed activities would require no additional environmental evaluation.)

Y/N \_\_\_\_\_

If **no**, has a NEPA review been completed in accordance with the Subject Area National Environmental Policy Act (NEPA) and Cultural Resources Evaluation and the results documented?

Y/N \_\_\_\_\_

(Note: If a NEPA review has not been completed, submit a copy of the work proposal to the BNL NEPA Coordinator for review. No work may commence until the review is completed and documented.)

**4. ES&H CONSIDERATIONS**

Does the proposal provide sufficient funding for appropriate decommissioning of the research space when the experiment is complete?

Y/N \_\_\_\_\_

Is there an available waste disposal path for project wastes throughout the course of the experiment?

Y/N \_\_\_\_\_

Is funding available to properly dispose of project wastes throughout the course of the experiment?

Y/N \_\_\_\_\_

Are biohazards involved in the proposed work? If yes, attach a current copy of approval from the Institutional Biosafety Committee.

Y/N \_\_\_\_\_

Can the proposed work be carried out within the existing safety envelope of the facility (Facility Use Agreement, Nuclear Facility Authorization Agreement, Accelerator Safety Envelope, etc.) in which it will be performed?

Y/N \_\_\_\_\_

If **no**, attach a statement indicating what has to be done and how modifications will be funded to prepare the facility to accept the work.

**5. TYPE OF WORK**

Select Basic or Applied \_\_\_\_\_

**6. CATEGORY OF WORK** (select one by placing an X)

Advanced Sensors & Instrumentation	_____	Engineering & Manufacturing Processes	_____
Biological Sciences (including medical)	_____	Materials Science and Technology	_____
Chemistry	_____	Mathematics and Computing Sciences	_____
Earth and Space Sciences (including environmental)	_____	Nuclear Science and Engineering	_____
Energy Supply and Use	_____	Physics	_____

**7. POTENTIAL FUTURE FUNDING**

Identify below the Agencies and the specific program/office, which may be interested in supplying future funding. Give some indication of time frame.

**APPROVALS**

Department /Division Administrator

\_\_\_\_\_

Print Name

Signature

Department Chair/Division Manager

\_\_\_\_\_

Print Name

Signature

Cognizant Associate Director

\_\_\_\_\_

Print Name

Signature

**BUDGET REQUEST BY FISCAL YEAR**

(Note: Funding for more than 2 years is unlikely and cannot exceed 3 years.)

COST ELEMENT	FISCAL YEAR _____	FISCAL YEAR _____	FISCAL YEAR _____
Labor (list names, type of staff, and level of effort; where names are not known, indicate "TBD")  Fringe Total Labor Organizational Burden @ ____ %			
Materials Supplies Travel Services Total MST Materials Burden @ ____%			
Sub-contracts Contracts Burden @ ____%			
Electric Power ITD Charge Other (specify)			
<b>TOTAL PROJECT COST</b>			
List all materials costing over \$5000			



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**Definitions: Laboratory Directed Research and Development (LDRD) Program**

Effective Date: **March 2002**

Point of Contact: [LDRD Subject Matter Expert](#)

Term	Definition
Laboratory Directed Research and Development (LDRD) Program	Encourages and supports the development of new ideas and technology, promotes the early exploration and exploitation of creative and innovative concepts, and develops new "fundable" R&D projects and programs.

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## Laboratory Directed Research and Development (LDRD) Program

Point of Contact: [LDRD Subject Matter Expert](#)

## Revision History of this Subject Area

Date	Description	Management System
March 2002	<p>This subject area describes the procedures for preparing, submitting, reviewing, and approving proposals for the Laboratory Directed Research and Development (LDRD) Program. It also describes the procedures for reporting on the status of LDRD projects.</p> <p>This subject area replaces the Laboratory Directed Research and Development (LDRD) Program Manual.</p>	Scientific and Technical Program Management

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