

SI-12

# "SPACE SCIENCE IN THE 1990'S AND BEYOND"

by

N95- 14634

Wesley T. Huntress, Jr.<sup>1</sup>  
Associate Administrator for Space Science  
Office of Space Science  
NASA Headquarters  
Washington, DC 20546

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## ABSTRACT

NASA's Office of Space Science is changing its approach to our missions, both current and future. Budget realities are necessitating that we change the way we do business and the way we look at our role in the Federal Government. These challenges are being met by a new and innovative approach that focuses on achieving a balanced world-class space science program that requires less resources while providing an enhanced role for technology and education as integral components of our Research and Development (R&D) programs.

They reflect the new reality confronting us all: we must work together and rely on each other more than ever to achieve our goals. Together we are forging a new approach to space exploration that will likely mean the difference between failure and success.

## INTRODUCTION

These are exciting times in Space Science. This is a time when the national environment is causing us to rethink many of the fundamental assumptions we've made about Space Science and adjust our program to accommodate to new realities and expectations. In fact, that's what this era in NASA and Government is all about -- adjusting to new realities and expectations.

## CHANGING BUDGET ENVIRONMENT

The world in which we operate has changed significantly since 1991, and now instead of arguing over how to divide up an ever-increasing budget as it was then, the central issue facing space science now is how to trim our ambitions to deal with a declining projected budget. In the period from fiscal year (FY) 1986 through FY 1991, the space science budget experienced large growth from year to year. In fact, over that timeframe, the overall budget increased by almost 65 percent (in real year dollars). It was during this period of growth that most of our current major missions were approved.

Space science is in the process of pulling together a new strategic plan, one that is fully integrated into the Agency's new overall strategic plan, and one that brings us forward from the old space science plan that was hashed out at Woods Hole, Massachusetts, in 1991.

But, things started changing just after Woods Hole. During the period 1992 through 1994, we experienced a transition -- from high growth to arrested growth. In the last few years, we have seen the cancellation of some, and the restructuring of most of our major missions, and we have seen additional losses in supporting programs like tracking and data handling which are so important to the overall success of our missions.

A key component of our new strategy is a greater reliance on our industry and research partners. These bold new partnerships are an outgrowth of the Clinton Administration's new priorities and the changing budget environment facing the Federal Government.

In addition, our plans for new missions have not been realized. When we met at Woods Hole almost 3 years ago, we laid out a new mission queue for space science -- one that was based on a more moderate rate of growth than we had experienced in the years immediately preceding 1991. We were basing our program planning on about 7 percent real growth. This

<sup>1</sup> with Mary E. Kicza, Assistant Associate Administrator for Space Science (Technology), and T. Jens Feeley, Policy Analyst, NASA Headquarters

assumption was almost instantly proven incorrect. It is clear that a declining budget for NASA beyond FY 1995 is possible, though I am not ready to say that it is probable. But, in these tough fiscal times, the best we can realistically hope for is that the NASA budget will remain flat over the next few years.

### OTHER NASA PRIORITIES

Within NASA, there are a number of other high priorities that are also searching for outyear funding. The human space flight program, consisting of the Space Shuttle and Space Station, remains one of NASA's highest priorities, and there is concern that there is no cushion left in the Shuttle budget to accommodate further cuts without impacting safety. On top of that, funding is scheduled to increase over the next couple of years for two other high priority areas, namely the Mission to Planet Earth and Aeronautics programs, that are of particular interest to the Clinton administration. Given a flat budget for the agency and the desire to increase MTPE and Aeronautics, NASA is facing the likelihood that it will reduce funding in the area of space science.

### THE NEW REALITY

The fact is that the principal difference between the space science program of the past decade and the space program of the next decade is the economy. Not only is this new reality constraining the size of our appetites, it is conditioning the expectations of our ultimate customer, the American taxpayer.

The result then of a realistic assessment of the current economic environment yields the following:

- The total size of the Federal investment in R&D will probably not grow in real terms.
- Within NASA, while R&D may grow as a percentage of the budget, and some real growth might be expected in some areas (notably Earth Science and Aeronautics consistent with national emphasis on the environment and competitiveness), space science can expect a flat budget at best.

In addition, while the value of the space science program as an element of basic science will continue to be recognized, the expectations of the taxpayer will mandate a change in the way the business of space science is conducted with new emphasis on improvements in education and enhancement of competitiveness.

### THREE-PRONGED APPROACH

As a direct response to this new economic reality and new expectations, the Office of Space Science has embarked upon the development of a new strategy for space science that now comes in three parts:

1. A mission/program strategy that continues discovery, exploration, and expansion of knowledge, and provides inspiration and vision, but does it with an emphasis on doing "more with less" and doing missions that are "smaller, quicker and cheaper;"
2. An integrated technology strategy that provides for the formulation of a partnership between the Office of Space Science and Office of Advanced Concepts and Technology (OACT) in achieving national objectives for the development and transfer of technologies to industry; and,
3. An integrated education strategy that provides for a partnership between the Office of Space Science and NASA's Office of Education in achieving national objectives for improving science and math literacy by taking advantage of characteristics intrinsic to the space science programs and its participants.

I would like to say a few words about our current activities and emphasis in each of these three strategic thrust areas.

### PROGRAMMATIC STRATEGY

With respect to our program strategy, our focus has been on adjusting the ongoing program to accomplish two objectives:

- 1) Complete as much as can be afforded
- 2) Make room for new initiatives

To date, our efforts have focused on adjusting the Advanced X-ray Astrophysics Facility (AXAF) and Cassini missions, where we've managed to delete 30 percent of the development cost to go on both missions and more than 50 percent of the projected operations cost on AXAF. In the near future, we will be reviewing the Jet Propulsion Laboratory (JPL) response to our challenge to reduce Mission Operations and Data Analysis (MO&DA) cost for Cassini by 50 percent.

While we have suffered some setbacks in recent years, notably the loss of the Comet Rendezvous Asteroid Flyby (CRAF) mission and the spectroscopy portion (AXAF-S) of the original AXAF mission, we hope to recover much of what was lost through cooperative efforts with Europe and Japan, respectively.

In addition to these adjustments, we have been modifying our strategy for other missions, not yet contained in our program runout, in order to make them more digestible. For example, the Thermosphere, Ionosphere, Mesosphere Energetics and Dynamics or TIMED mission has been restructured from billion dollar class down to Explorer class, while the Pluto flyby and the Space Infrared Telescope Facility or SIRTF missions are now down to one-half billion-class.

### TECHNOLOGY'S ROLE

I want to make it clear that when I am talking about lower cost spacecraft in the context of space science, I do not mean lower cost because we use off-the-shelf hardware. There may be good reasons to go this route if you are operationally oriented, and use spacecraft only as means to some application -- such as communications, weather, or environmental applications. But if you believe that you are a pioneer, an explorer, a developer, then I believe this is precisely the wrong approach to lower the cost of a spacecraft. If you are a pioneer and a developer, then you want to be at the frontier of technology, constantly pushing at the edge to get more capability for less cost.

There is a mentality in the aerospace business which says that low cost necessarily means off-the-shelf because new technology implies high risk or high cost or both. This is one of those mind sets that creeps into an aging,

conservative enterprise and becomes dogma. I believe it is wrong. To allay the fear of using new technology, it is only necessary to assure that you have done enough testing to be ready to take prudent risk in utilizing it. The extra cost that it may take in testing new technology should be more than balanced by the savings this new technology enables in the development phase.

In space science we can no longer afford to be conservative if we are to survive. We have to inject additional life and excitement into what we are doing. In my opinion, building spacecraft and instruments out of tinker toys from a box off the shelf is not what NASA was intended to be. Developing new technology, pushing to the edge of what is thought possible, that is what NASA was intended to be.

In the U.S., we have to provide the Nation -- our customer -- what it wants, and our public needs to perceive that NASA is pushing the frontiers of science and technology and taking prudent risks for major gain. That is why the public has always admired NASA and it is what made NASA stand out from other parts of the Government that are overly mired in the issues of today rather than the promise of tomorrow. If there is no excitement or adventure in what we do, if we are not expanding physical and technological horizons, then NASA will be perceived as uninspiring and nothing more than a burden on the taxpayer.

We in space science need to be developers again, not just assemblers. We need to once again believe in our own ability to take prudent risk and to try the hard things. We need not to be afraid to try new technology. In fact, we should and are seeking the opportunity to do more to assist the Nation in the search for new and better technologies.

### TECHNOLOGY STRATEGY

In our efforts to play a more active role in technology, the Office of Space Science recently completed an Integrated Technology Strategy. This strategy identifies four goals for space science to accomplish in partnership with NASA's Office of Advanced Concepts and Technology or OACT:

- 1) Identification and support of promising new technologies with emphasis on dual use (Government and private sector);
- 2) Infusion of technologies into space science programs in the interest of more efficient and effective science but also using science missions as a technology validation mechanism;
- 3) Transfer of technologies to the private sector, and,
- 4) Development of partnerships among industry, academia and Government to serve both Space Science and private needs

There are ongoing activities in each of these areas. They include the flight of a commercially provided gyro on the X-ray Timing Explorer (XTE), using XTE as a flight testbed.

Mars Pathfinder will serve as a science and engineering test of the entry, descent, landing, and deployment systems for future small Mars landers. It will combine rough landing techniques developed by the former Soviet Union and the U.S. defense industry with safety ideas derived from the U.S. auto industry. The Mars Pathfinder delivery system will consist of an aeroshell, a parachute, a set of very small retro rockets, and inflatable airbags that deflate after impact on the surface.

Pathfinder's micro-rover technology will open new windows on space exploration by using microtechnology, automation, and advances in thermal control technologies. The Mars Pathfinder micro-rover design combines mobility with sensory perception; it will "see, touch, taste and smell" for us on the surface of Mars. The 40-minute message "trip time" from Earth to Mars makes autonomous operation of the micro-rover mandatory. Three-dimensional images of the Martian landscape will be sent to Earth. Proposed micro-rover routes will then be relayed back to the micro-rover, which will then carry out its instructions as planned. The micro-rover will be equipped to handle unexpected circumstances, including the use of autonomous "if-then" scenarios to avoid obstacles and unforeseen problems. In the future, we hope to build on what we learn with

the Mars Pathfinder micro-rover to develop even more advanced rovers with increased autonomy and versatility that could be used for sample collection and instrument deployment.

There is also the example of the partnership between Caltech/JPL, NASA and Cray Computers in the development of commercially useful applications on Cray's new generation of massively parallel processors.

### EDUCATION STRATEGY

Our education strategy is in its formative stages but it's already apparent that it will also articulate a new way of doing business. It will call for a partnership between Space Science and NASA's Office of Education in achieving NASA's objectives in support of the national education goals first articulated by the Federal Coordinating Council on Science, Engineering and Technology (FCCSET), Committee on Education and Human Resources and now in preparation by the National Science and Technology Council (NSTC) Committee on Education and Training. It will put renewed emphasis on kindergarten through 12th grade education and on the use of technology to broaden the impact of space science education efforts.

### RECENT EVENTS

So, in every instance activities are underway to achieve a new vision for space science. I'm pleased to say that it has already shown results. In the FY 1994 budget, the Discovery program was initiated with the Near Earth Asteroid Rendezvous (NEAR) and the Mars Pathfinder missions, but I believe the FY 1995 budget reflects a true endorsement of the new space science approach with the initiation of the Mars Surveyor Program.

The program is built around the principal of distributed risk and frequent access. It requires a technology investment in order to achieve its low cost and scientific objectives. It will take advantage of industrial capabilities to the extent that they exist and require participation of the private sector for technology transfer and an educational initiative for each element. I believe that the inclusion of this initiative in the President's proposed FY 1995 budget is an endorsement of the new way of doing business

in space science. I am convinced that if the Congress echoes that endorsement, we in NASA's Office of Space Science as well as our partners in the space science community, are committed to reshaping all of space science for the future.

### OUTLOOK

So, specifically, what are the strategic priorities for space science over the next decade? What can we realistically hope to accomplish given our new outlook?

The cornerstones of our approach in the Office of Space Science will include the following:

- 1) Our highest priority will continue to be the completion of missions currently operating or under development. We will establish a renewed commitment to living within defined cost and performance envelopes, while realizing the full science potential of our existing missions.
- 2) Where feasible, we will initiate new programs of modest size to maintain U.S. leadership in space science and to continue the rate of discovery and knowledge.

To achieve this first priority we must foster a renewed commitment to a program management discipline that requires us live within defined cost and performance envelopes. Failure to abide by this new cost ethic will be the death of our programs, especially with NASA's new program management directives which mandate a formal Administrator-level review whenever a program overruns its initial cost estimate by 15 percent.

Our strategy for future additions to space science will clearly emphasize small missions which will enable frequent access to space for continued exploration and discovery. Our future plan will be to:

- 1) Maintain the Explorer program;
- 2) Add the continuation of the Discovery Series; and
- 3) Initiate the Solar-Terrestrial Probe Series

We currently have approval for only the first two Discovery missions -- we must have this important new approach to planetary missions

sustained as an on-going, level-of-effort program. We will be working to get approval to launch Discovery follow-on missions (using Delta or smaller expendable launch vehicles) every 12 to 15 months within cost-capped development program of \$150 million (in FY1992 dollars) or less per mission. The announcement of opportunity or AO for the third Discovery mission has been released in draft, and we anticipate releasing the formal AO next month.

In the case of the Explorer program, we will be releasing the AO for the next set of Small Explorers later this year. We are moving forward with both of these programs and we will be working to make sure they continue into the future.

While it is not in our 1995 budget request, the Solar-Terrestrial Probes program remains the highest priority for a new start in the outyears. We hope to move forward with this program as early as next year, should funding permit. We hope to launch a series of three Solar Terrestrial Probes by 2001, each with development costs of less than \$100 million.

The proposed Mars Surveyor program I mentioned before calls for a start in 1995 of development for a small orbiter that will be launched in November 1996 to study the surface of the Red Planet. This new Mars Surveyor program be an aggressive series of orbiters and landers that will take advantage of launch opportunities about every 2 years as Mars comes into alignment with Earth. The first orbiter will be small enough to be launched on a Delta II and will carry roughly half of the science payload that flew on Mars Observer. Future orbiters and landers will be even smaller, making possible launches on the new Med-lite launch vehicle.

All three of these programs provide a strong base of science, a constant stream of important data, that will serve to maintain the space science research base of our country far into the next century.

We must also provide for major advances in the frontiers of space science. By this I mean that we hope to start an Infrared Astronomy Initiative that would encompass the Stratospheric Observatory for Infrared

Astronomy (SOFLA) and what used to be called the Space Infrared Telescope Facility (SIRTF). We will also be looking to start a Pluto Fast Flyby mission to complete the reconnaissance of the solar system, and a Solar Probe program to complete the reconnaissance of the Sun.

In this regard, we have already agreed to jointly study future Mars, Pluto and Solar Probe missions with the Russians and we will be contacting other nations to foster further discussions for international collaboration on these important missions.

Which brings up another important pillar of our strategic planning, namely, that we must, now more than ever, leverage our investments in space science through international cooperation. Throughout the history of space science, about 70 to 80 percent of our missions have had some sort of international component. In the 1990s and beyond, we need to build on that strong historical base and take advantage of new opportunities to improve scientific return of NASA missions through international cooperation (determined by foreign agency priority and funding availability).

The realities of the 1990s are that all spacefaring nations are struggling to maintain their programs in these difficult economic times. We must work together if we are to succeed.

Just as an example, we formed the International Mars Exploration Working group (IMEWG) last year. The charter of this group is to serve as discussion forum for various nations interested in Mars exploration. Its goal is to keep everyone informed so that we can avoid duplication of effort and discuss potential areas for collaboration/cooperation on Mars exploration. It is developing into a strong mechanism for exchanging ideas and information, and may well facilitate actual cooperation over the long-run. We have already had two meetings, and we expect that the first recommendations on an international strategy for Mars exploration and a future International Mars Network will be presented to the Committee on Space Research or COSPAR in July 1994.

## CONCLUSION

Already, just as our new approach is coming together, we see some positive signs. The FY 1995 budget request is a good first step. I believe the real success of our new strategy will be measured with the start of missions originally conceived as \$1 billion plus missions in the past, but are currently reconstituted to fit new economic constraints and yet signal our intention not to relinquish our leadership in Astronomy and Outer Planet Exploration. While the task may seem daunting, there are clear signs of encouragement from many quarters, both within and outside of NASA. I think we have accomplished a lot already in circumstances that, at the time, appeared very grim. The 1995 Budget is a good budget for space science and I am looking forward to equally good budgets in the future.

In closing, I just want to reiterate that while we do have some challenges before us, space science clearly has a future. By working with our industry and research partners, and by being innovative in our thinking, we can make that future especially bright. Our future lies in a common approach, one that brings all of America's best and brightest groups together. The old ways of getting the job done are not consistent with the new and emerging world we live in. NASA has always been at the forefront -- to remain there we must and will change.



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THE BUSINESS ROUNDTABLE  
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**BY  
CHRISTOPHER T. CROSS  
DIRECTOR, EDUCATION INITIATIVE  
THE BUSINESS ROUNDTABLE  
1615 L STREET N.W.  
SUITE 1100  
WASHINGTON, DC 20036-5601**

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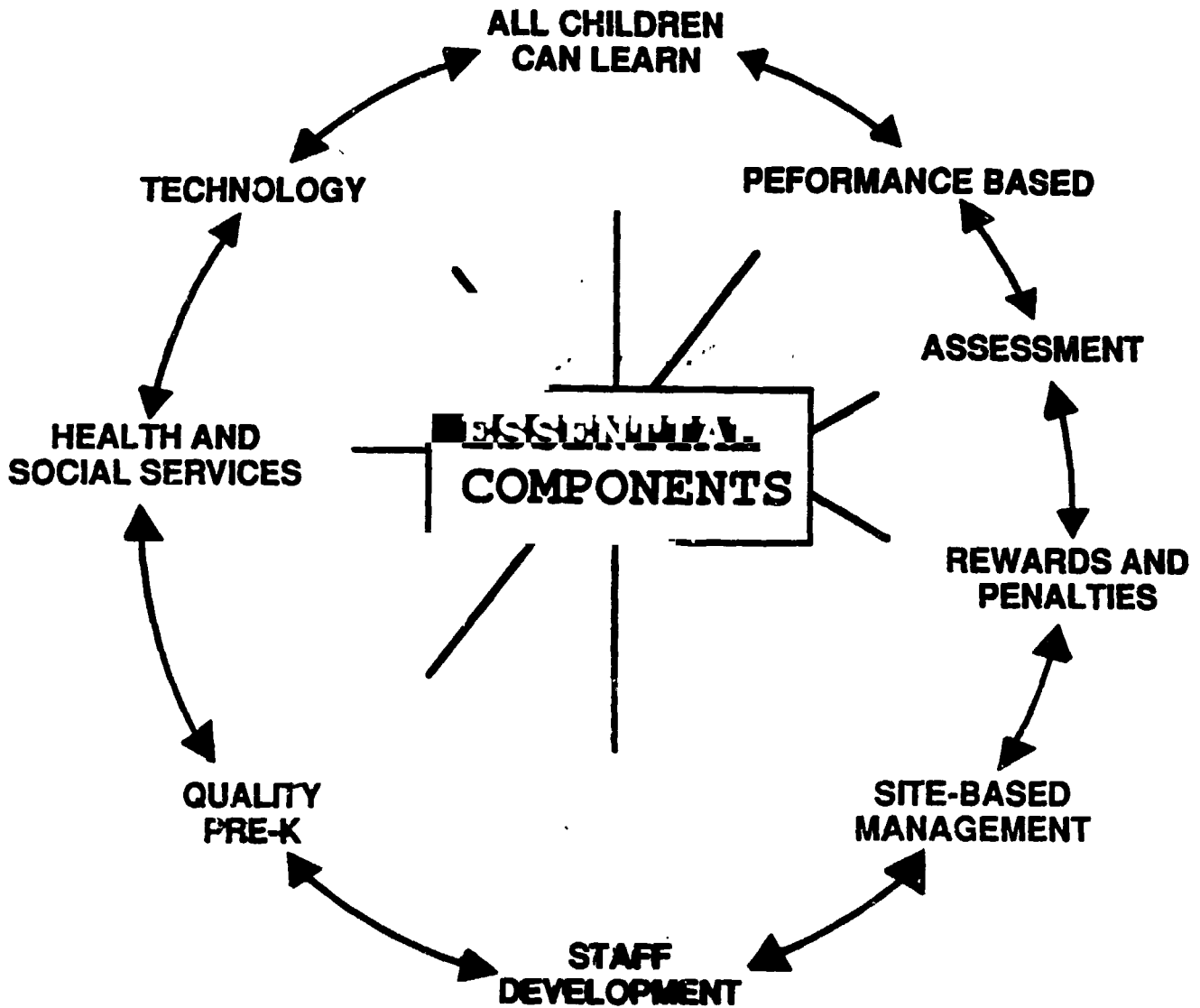
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# The Systemic Solution





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# The Roundtable Education Status 1994

- Launched September 26, 1989
- 180 CEOs
- Activity:
  - 29 States — Significant Activity
  - 13 States — Moderate Activity
  - 7 States — Little Activity

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# **National Education Goals For the Year 2000**

- **All the All the Children Will Start School Ready To Learn.**
- **The High School Graduation Rate Will Increase To At Least 90 Percent.**
- **Students Will Demonstrate In the Fourth, Eighth And Twelfth Grades That They Can Handle Such Subject Matter As English, Mathematics, Science, History And Geography; Every School Will Make Sure Its Students Learn to Use Their Minds Well So They Will Be Ready For Responsible Citizenship, Further Learning, And Productive Employment.**

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# **National Education Goals For the Year 2000 (Continued)**

- **American Students Will Rank First In Mathematics And Science.**
- **Every Adult American Will Be Literate, With The Knowledge And Skills To Compete In A Global Economy And Exercise The Rights And Responsibilities Of Citizenship.**
- **Every School Will Be Free Of Drugs And Violence And Offer A Disciplined Environment Conducive To Learning.**

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# **The Business Roundtable Education Initiative**

## **Mission**

- **CEO-Led, 50-State, Decade-Long Initiative**
- **Join or Establish a Coalition with Governors and Others**
- **Develop and Implement a Public Policy Agenda to Achieve the National Education Goals**
- **Address all Essential Components of a Successful Education System**
- **Provide Ongoing Education, Publications, State Assistance**

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# History

- **June 5, 1989:** Annual Roundtable Meeting  
Presidential Challenge
- **September 26, 1989:** Response to the President
- **September 27-29:** White House Summit with the  
Governors in Charlottesville
- **February 25, 1990:** NGA Announces National Goals
- **Spring 1993:** Reform Legislation Enacted in Ohio,  
Missouri and Washington
- **Summer 1993:** Reform Act Signed in Massachusetts

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# **The Business Roundtable Education Task Force Membership**

**Joseph T. Gorman, Chairman  
TRW, Inc.**

**Paul A. Allaire  
Xerox Corporation**

**Rand Araskog  
ITT Corporation**

**John L. Clendenin  
BellSouth Corporation**

**John J. Curley  
Gannett Co., Inc.**

**Joseph L. Dionne  
McGraw-Hill, Inc.**

**Walter Y. Elisha  
Spring Industries, Inc.**

**Richard B. Fisher  
Morgan Stanley Group**

**H. Laurance Fuller  
Amoco Corporation**

**Gaynor N. Kelley  
Perkin-Elmer Corporation**

**Robert D. Kennedy  
Union Carbide Corporation**

**Reuben Mark  
Colgate-Palmolive Company**

**Joseph Neubauer  
ARA Services, Inc.**

**Paul H. O'Neill  
Aluminum Company of America**

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# **The Business Roundtable Education Task Force Membership**

**James Orr III  
UNUM Corporation**

**Joseph Pichler  
The Kroger Company**

**Henry B. Schacht  
Cummins Engine Co., Inc.**

**Richard Sharp  
Circuit City Stores, Inc.**

**Donald J. Shuenke  
Northwestern Mutual Life Ins. Co.**

**Charles Shoemate  
CPC International, Inc.**

**Frank A. Shrontz  
The Boeing Company**

**A. J. C. Smith  
Marsh & McLennan  
Companies**

**Raymond Smith  
BellAtlantic Corporation**

**Richard J. Stegmeir  
Unocal Corporation**

**W.T. Stephens  
Manville Corporation**

**Dennis Weatherstone  
J.P. Morgan & Company, Inc.**

**David Whitman  
Whirlpool Corporation**

**Stephen Wolf  
UAL Corporation**

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## **Definition of the Problem**

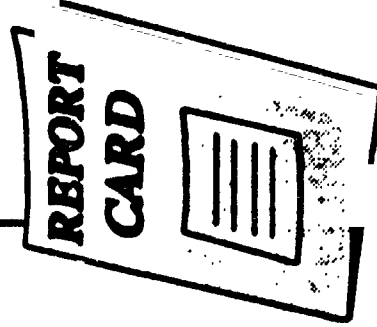
**The Education System has not changed for almost 100 years. Many people know what needs to be done to increase student achievement across the board, yet the system remains resistant to change. The question is, how do we get the change to happen?**



# REALITY GAP: STUDENTS, PARENTS AND EMPLOYERS DISAGREE

## POSITIVE RATINGS OF STUDENTS SKILL (%)

Skill	Students	Parents	Employers
Read well	78	67	30
Write well	66	56	12
Know math	71	65	22
Understand instructions	78	70	33
Solve complex problems	57	48	10
Motivated to work well	69	69	25
Dedication to work	73	67	20
Disciplined work habits	70	54	19

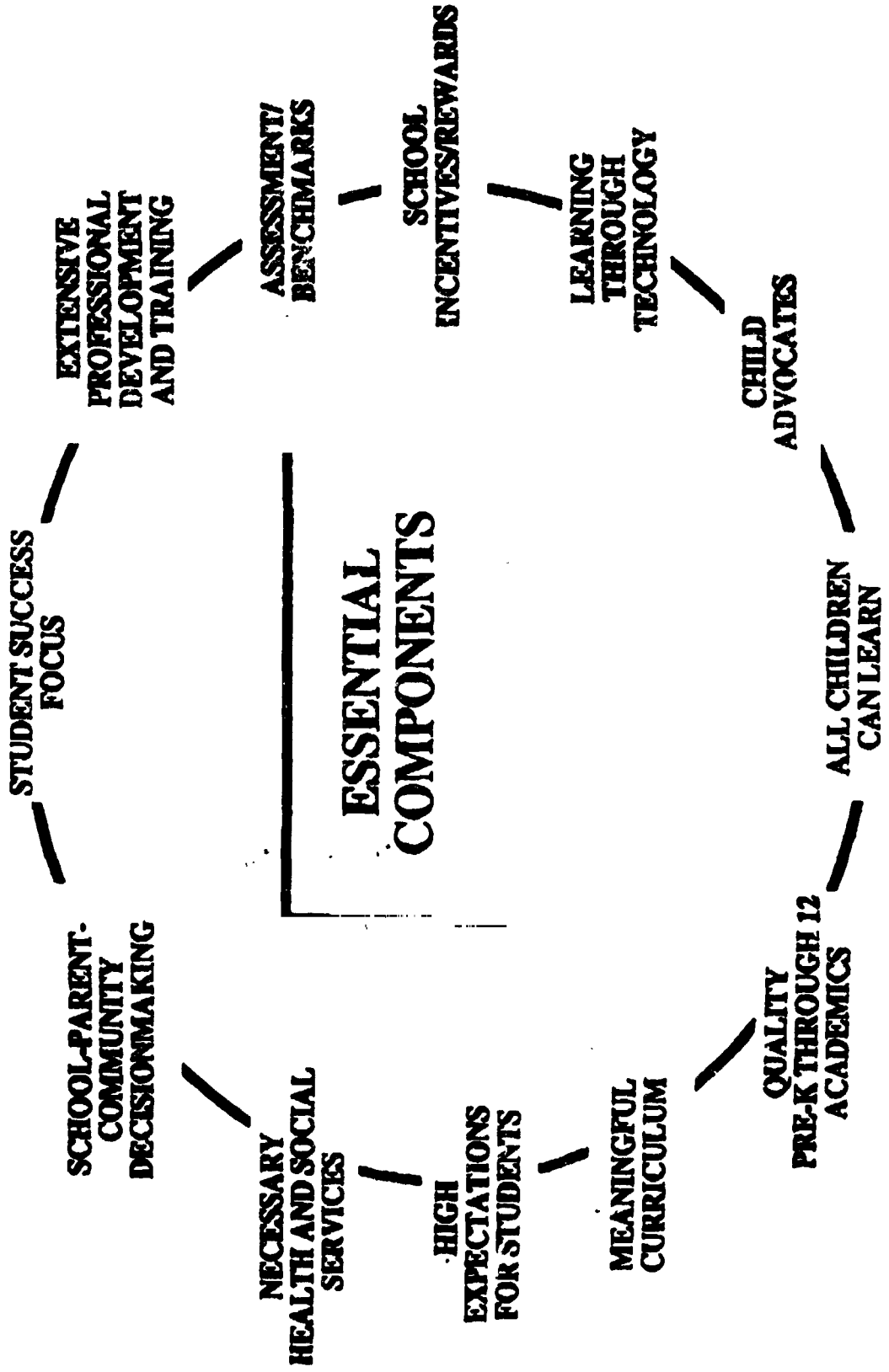


SOURCE: Committee for Economic Development

✓ Students and their parents feel that high school graduates are entering the workforce with the necessary academic skills to succeed on the job.

✓ Employers take nearly the opposite view.

# COMPREHENSIVE CHANGE



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# International Comparisons

## Age 13 Science 1991

1. Switzerland	70.8	6. Spain	67.6
2. Italy	69.9	7. United States	67.0
3. Canada	68.8	8. Ireland	63.3
4. France	68.6	9. Portugal	62.6
5. Scotland	67.9		

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# International Comparisons

## Age 13 Math 1991

1. Switzerland	70.8	6. England	60.6
2. France	64.2	7. Ireland	60.5
3. Italy	64.0	8. Spain	55.4
4. Canada	62.0	9. United States	55.3
5. Scotland	60.6	10. Portugal	48.3

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# International Comparisons

## Graduation Rank From Upper Secondary School

- |                       |                           |
|-----------------------|---------------------------|
| <b>1. Finland</b>     | <b>8. Austria</b>         |
| <b>2. Denmark</b>     | <b>9. Netherlands</b>     |
| <b>3. Japan</b>       | <b>10. Sweden</b>         |
| <b>4. Norway</b>      | <b>11. France</b>         |
| <b>5. CSFR</b>        | <b>12. Ireland</b>        |
| <b>6. Hungary</b>     | <b>13. United Kingdom</b> |
| <b>7. Switzerland</b> | <b>14. United States</b>  |
|                       | <b>15. Canada</b>         |

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# International Comparisons

## Age 14 Reading 1991

<b>1. Finland</b>	<b>545</b>	<b>6. Iceland</b>	<b>514</b>
<b>2. France</b>	<b>531</b>	<b>7. United States</b>	<b>514</b>
<b>3. Sweden</b>	<b>529</b>	<b>8. Germany</b>	<b>501</b>
<b>4. New Zealand</b>	<b>528</b>	<b>9. Denmark</b>	<b>500</b>
<b>5. Switzerland</b>	<b>515</b>	<b>10. Portugal</b>	<b>500</b>

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# Demographic Data

- **2010 Growth (Under 18)**
  - **Non-White Up 4.4 Million and Whites Down 3.8 Million**
  - **8 Million Immigrants in 1990s from:**
    - Mexico
    - India
    - China
    - Philippines
    - Cuba
    - Jamaica
    - Korea
    - D.R.
    - Canada
- **1990 - 2000 Population Growth**
  - **0-4 Years = -9%**
  - **100+ = +170%**
  - **210 People Per Week Reach 100!**

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## **Demographic Data**

- **Rate of Incarceration - U.S. 1980 - 1990:  
82% Are High School Drop Outs and Cost \$20,000  
Per Year**
- **Two Million Children Are Not Being Raised by Either  
Parent  
- 450,000 by Grandparents**
- **20% of 1986 College Graduates Obtained Jobs Requiring  
No College Training**



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## **Demographic Data**

**• In California by 1995, 52.1% of High School Graduate Will Be Minority**

**- 41% Increase in Total Number of Kids by 2000**

**• 1980 - 1990 Growth**

**U.S. 9.8%**

**White 6.0%**

**Black 13.25%**

**Asian 107.8%**

**Hispanic 53.6%**

**• In 1992, More Muslims than Episcopalians**

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## Demographic Data

- **Percentage of Population under 18:**

<b>1970</b>	<b>34%</b>
<b>1990</b>	<b>26%</b>
<b>2000</b>	<b>25%</b>

- **1980 - 1990:**

- 17% Increase in Couples Without Children**
- 1% Increase in Couples With Children**

- **Number of Prisoners in U.S. 1980 - 1990:**

<b>1980</b>	<b>466,371</b>
<b>1990</b>	<b>1,115,111</b>

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# United States of America Background Information

Percent Children Not Living With A Parent	4.3% 1990
Percent Population Under Age 18 That Is Minority	30.9% 1990
Percent Of Children With Both Or Only Parent In The Labor Force	61.0% 1990

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# United States of America Background Information (cont'd)

Indicators	Percent Change	Trend Data:	
	Over Time	1980	1990
Percent Children in Poverty	22% Worse	16.0	19.5
Percent Children in Single Parent Families	13% Worse	21.3	24.1

# **Current Public Expenditures for Education, by Country: School Year 1988-89**

	<b>As a percent of GDP</b>	<b>Constant 1988-89 U.S. dollars</b>
<b>Canada</b>	<b>3.8</b>	<b>3,508</b>
<b>Denmark</b>	<b>4.5</b>	<b>4,035</b>
<b>Finland</b>	<b>4.1</b>	<b>3,638</b>
<b>Ireland</b>	<b>3.8</b>	<b>1,473</b>
<b>Luxembourg</b>	<b>4.0</b>	<b>4,911</b>
<b>Norway</b>	<b>4.3</b>	<b>3,846</b>
<b>Sweden</b>	<b>4.4</b>	<b>4,600</b>
<b>Switzerland</b>	<b>3.7</b>	<b>4,737</b>
<b>United States</b>	<b>3.4</b>	<b>3,917</b>

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# **The Strategy For Putting The Nine Points In Place Is Dictated By Two Forces**

**Practical Considerations**

**Political Considerations**

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**Because Of The Relationship Of  
Each Of The Nine Points To Others**

**All Of Them Must Be In  
Place For The System To Work**

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## **Lessons Learned**

- **Need New Model For Business Involvement: Long-Term, Systematic, Political**
- **Educate Ourselves First, Then Approach Stakeholders**
- **Defining A Vision Is Easier Than Developing A Strategy**
- **Stick To The Agenda**
- **Start With Your Corporation**



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## **Communication Objective**

- **To humanize the problem of America's failure to adequately develop its children and to motivate citizens to take action**

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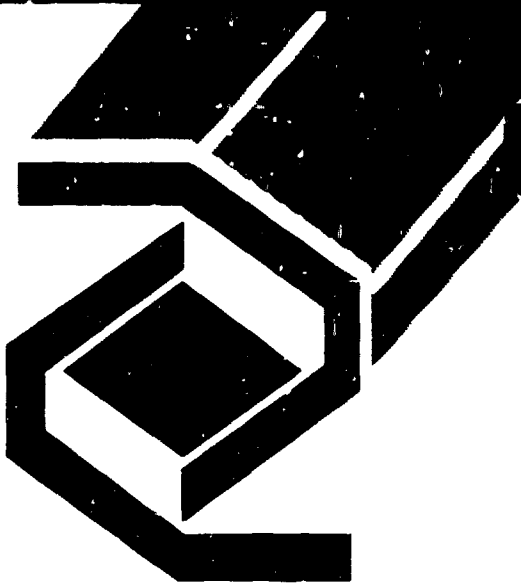
# Challenges

- **Hope vs Helplessness**
- **Individual Responsibility vs Collective Responsibility**
- **Them vs Us**

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# Challenges

- "Jolt" the disinterested into concern
- Remind ordinary Americans of their ability to accomplish extraordinary things



# TABES 94

10th Annual

**Technical and Business  
Exhibition and Symposium**

**May 10 - 11, 1994  
Von Braun Civic Center  
Huntsville, Alabama**

## TECHNOLOGY REINVESTMENT PROJECT

BY

**DR. H. LEE BUCHANAN  
ADVANCED RESEARCH PROJECTS  
DEFENSE SCIENCE OFFICE  
3701 N FAIRFAX DRIVE  
ARLINGTON, VA 22203-1414**

**TABES Paper  
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**TECHNOLOGY REINVESTMENT  
PROJECT  
DEPLOYMENT ACTIVITY AREAS**

**LESSONS LEARNED WORKSHOPS  
PRESENTATION MATERIALS  
AND  
FINAL ATTENDANCE LISTS**

**OAKLAND, CA, MARCH 2, 1994  
AND  
ATLANTA, GA, MARCH 9, 1994**

**MARCH 28, 1994**

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**Agenda for Oakland and Atlanta**

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**Manufacturing Extension Partnership Management Regions**

**Data on Selection and Selected Proposals and Outcomes of the Selection Process**

**Selection Process and Criteria**

**Key Issues of Content**

**Key Issues of the Process**

**Partnerships**

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**Breakout Sessions**

- Manufacturing Extension Service Providers**
- Extension Enabling Services**
- Technology Access Services**
- Alternative Deployment Pilot Projects**

**Final Attendance Lists for Oakland and Atlanta**

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**Agenda**  
**for**  
**Oakland and Atlanta**

# TECHNOLOGY REINVESTMENT PROJECT DEPLOYMENT ACTIVITY AREAS

## Lessons Learned Workshop

University of California  
300 Lakeside Drive  
Oakland, CA  
March 2, 1994

*There will be opportunities for questions in limited numbers during the morning session. The afternoon break-out sessions are designed to address questions in depth, and ample time is allowed in the afternoon sessions for such discussions.*

- |   |   |                 |
|---|---|-----------------|
| 8:00 - 9:00 am  | Registration - Kaiser Center, Auditorium, 2nd Floor   |                 |
| 9:00 - 9:30 am  | Welcome   | Calvin Moore    |
| 9:30 - 9:45 am  | Data on selection and selected proposals<br>Outcomes of the selection process   | Frank Penaranda |
| 9:45 - 9:55 am  | Selection Process and Criteria  | Phil Nanzetta   |
| 10:15 - 10:30 am  | Key Issues of Process <ul style="list-style-type: none"><li>• Structure of the proposal</li><li>• Structure of the site visit</li></ul>   | Tom Starke      |
| <i>Very brief break by stretching in place - coffee available</i> |   |                 |
| 10:35 - 10:45 am  | Partnerships  | Frank Penaranda |
| 10:45 - 12:00 pm  | Three Examples <ul style="list-style-type: none"><li>• Georgia Manufacturing Technology Extension Center (MESP)</li><li>• Agile Web (ADPP)</li><li>• Iowa Metal Casting (EES)</li></ul> |                 |
| 12:00 - 1:00 pm   | Lunch   |                 |
| 1:00 - 4:00 pm  | Break-out Sessions (coffee available mid-afternoon)   |                 |
|   | • Manufacturing Extension Service Providers<br>(California Room)  | Phil Nanzetta   |
|   | • Extension Enabling Services<br>(Lakeview Club, Treffan Room)  | Frank Penaranda |
|   | • Technology Access Services<br>(Lake Merritt Hotel, Paramount Room)  | Tom Starke      |
|   | • Alternative Deployment Pilot Projects<br>(Auditorium)   | John Fenter     |



# Technology Reinvestment Project Deployment Activity Areas

## Lessons Learned Workshop

Georgia Tech Campus

Atlanta, GA

March 9, 1994

*There will be opportunities for questions in limited numbers during the morning session. The afternoon break-out sessions are designed to address questions in depth, and ample time is allowed in the afternoon sessions for such discussions.*

- 8:00 - 9:00 Registration - Theatre of the Arts Auditorium, Bldg. 63
- 9:00 - 9:30 Welcome Mike Kelly
- 9:30 - 9:45 Data on selection and selected proposals Frank Penaranda  
Outcomes of the selection process
- 9:45 - 9:55 Selection Process and Criteria Phil Nanzetta
- 9:55 - 10:15 Key Issues of Content Phil Nanzetta
- 10:15 - 10:35 Key issues of process Tom Starke  
- Structure of the proposal  
- Structure of the site visit
- Very brief break by stretching in place - Coffee available.*
- 10:35 - 10:45 Partnerships Frank Penaranda
- 10:45 - 12:00 Three Examples  
- Georgia Manufacturing Technology Extension Center (MESp)  
- Agile Web (ADPP)  
- Iowa Metal Casting (EES)
- 12:00 - 1:00 Lunch (Student Center Ballroom)
- 1:00 - 4:00 Break-Out Sessions
- |  |                 |
|--|-----------------|
| Manufacturing Extension Service Providers<br>(Theatre of the Arts) | Phil Nanzetta   |
| Extension Enabling Services<br>(Richards Gallery)                  | Frank Penaranda |
| Technology Access Services<br>(Westbrook Gallery)                  | Tom Starke      |
| Alternative Deployment Pilot Projects<br>(Student Center Theatre)  | John Fenter     |
- 
-

**TRP Deployment  
Proposals Selected  
for  
Negotiation**

**TRP DEPLOYMENT - Proposals Selected for Negotiation**

No.	Activity Area	Title	Proposer	City	St.	Executing Agency	Announcement Date
1	TAS	Alaska Technology Transfer Assistance Center (ATTAC)	University of Alaska SBDC	Anchorage	AK	NASA	11/24/93
2	ADPP	Technology Deployment Through Manufacturing Networks	Arkansas Rural Enterprise	Morrilton	AR	NIST	2/23/94
3	MESP	Arizona Applied Manufacturing Center	Maricopa County Community College District (MCCCD)	Tempe	AZ	NIST	11/24/93
4	TAS	Composites Technology Deployment	Cerritos College (CA)/Great Lakes Composite Consortium	Cerritos	CA	DOD	2/23/94
5	MESP	California MTC to Help 300 Defense Suppliers Diversify to Dual Use	California MTC	Hawthorne	CA	NIST	10/22/93
6	ADPP	Smart Valley Commerce Net	Enterprise Integration	Palo Alto	CA	DOD	11/24/93
7	ADPP	Aerogel Commercialization Pilot Project	Aerojet General Corp.	Rancho Cordova	CA	DOE	11/24/93
8	TAS	Pollution Prevention Center	Institute for Research and Technical Assistance	Santa Monica	CA	NIST	11/24/93
9	ADPP	Xerox Can Plan for Solar Powered Hydrogen	Clean Air Now	Venice	CA	DOE	2/23/94
10	TAS	Manufacturing Extension Partnership: National Interactive Telecasts on Competitive Manufacturing Technologies and Techniques	National Technological University	Ft. Collins	CO	NIST	11/24/93
11	TAS	Rocky Mountain Bio/Medical Conversion & Commercialization Project	Colorado Bio/Medical Venture Center	Lakewood	CO	NSF	11/24/93
12	TAS	Technology Access Program	Southern Colorado Business and Technology Center	Pueblo	CO	NIST	11/24/93
13	TAS	Center for Global Competitiveness	Fairfield University	Fairfield	CT	DOE	2/23/94
14	ADPP	Connecticut Energy and Environmental Technologies Deployment Center	Connecticut Department of Economic Development	Rocky Hill	CT	DOE	12/3/93
15	MESP	Connecticut State Technology Extension Program	Connecticut Department of Economic Development	Rocky Hill	CT	NIST	11/24/93
16	TAS	CONNECT: The N.E. Alliance for Photonics Technology Deployment	University of Connecticut	Storrs	CT	NASA	11/24/93
17	ADPP	National Infrastructure for Gear Metrology	ASME	Washington	DC	DOD	11/24/93
18	MESP	The Delaware Manufacturing Alliance	Delaware Development Office	Dover	DE	NIST	11/24/93
19	TAS	Gulf Coast Alliance Technology Access	University of Florida	Gainesville	FL	NASA	11/24/93

**TRP DEPLOYMENT - Proposals Selected for Negotiation**

No.	Activity Area	Title	Proposer	City	St.	Executing Agency	Announcement Date
20	TAS	Moving in a New Direction: Training and Simulation Technology	Naval Training Systems Center	Orlando	FL	NASA	11/24/93
21	TAS	USP/CMR Technology Deployment Proposal to Provide Micro-electronics Technology Consultants to Support Regional Electronics Manufacturing Industry	University of South Florida	Tampa	FL	NASA	11/24/93
22	MESP	Georgia Manufacturing Technology Extension Center	Georgia Tech Research Corporation	Atlanta	GA	NIST	10/22/93
23	MESP	Iowa Manufacturing Technology Center (Iowa MTC)	Iowa State University	Ames	IA	NIST	11/24/93
24	EES	National Assistance Extension Program for Metal Casting: A Foundation Industry	University of Northern Iowa (ITD) Metal Casting Center	Cedar Falls	IA	DOE	10/22/93
25	MESP	Chicago Manufacturing Technology Extension Center	Economic Development Commission of the City of Chicago	Chicago	IL	NIST	11/24/93
26	EES	Illinois Technology Extension Enabling Partnership Project	Illinois Department of Commerce & Community Affairs	Springfield	IL	NIST	11/24/93
27	MESP	MMTC Colorado Regional Office	Mid-America MTC	Overland Park	KS	NIST	11/24/93
28	ADPP	Kansas Manufacturers Association	Kansas Manufacturers Association	Wichita	KS	DOD	11/24/93
29	MESP	Kentucky Technology Service	Kentucky Economic Development Cabinet	Frankfort	KY	NIST	11/24/93
30	ADPP	Massachusetts Manufacturing Modernization Partnership	Massachusetts Executive Office of Economic Affairs	Boston	MA	NIST	10/22/93
31	ADPP	The New England Supplier Institute	BSSC	Boston	MA	DOD	2/23/94
32	MESP	Maryland Manufacturing Modernization Network	Maryland Department of Economic and Employment Development	Baltimore	MD	NIST	11/24/93
33	TAS	University Driven Technology Deployment	University of Maryland	Baltimore	MD	NASA	11/24/93
34	ADPP	Maryland Healthcare Product Alliance	Maryland DEED	Baltimore	MD	NASA	2/23/94
35	TAS	Electronic Information Services for the Tooling and Machining Industry	National Tooling and Machining Association	Ft. Washington	MD	DOE	11/24/93
36	TAS	Environmentally-Conscious Manufacturing	Maine Metal Products Association	Portland	ME	DOE	11/24/93
37	EES	Developing Common Methods and Training Agents for Industrial Extension	Industrial Technology Institute	Ann Arbor	MI	NIST	11/24/93
38	TAS	An Energy & Environmental Technology Access Strategy for Small-Medium Manufacturers	Midwest MTC / EPA / Great Lakes MTC	Ann Arbor	MI	NIST	10/22/93

**TRP DEPLOYMENT - Proposals Selected for Negotiation**

No.	Activity Area	Title	Proposer	City	St.	Executing Agency	Announcement Date
39	EES	Cooperative Network for Dual-Use Information Technologies (CoNDUIT)	Society of Manufacturing Engineers (SME)	Dearborn	MI	NASA/DOE	2/23/94
40	EES	Building a Communication Network Linking Knowledge Providers, Small Business Users and Industrial Extension Agents in Michigan	Michigan State University	East Lansing	MI	NASA	11/24/93
41	MESP	Planning Grant for Michigan Industrial Extension Partnership	Michigan Department of Commerce	Lansing	MI	NIST	2/23/94
42	ADPP	Minnesota Consortium for Defense Conversion	Minnesota Technology, Inc.	Minneapolis	MN	DOD	11/24/93
43	ADPP	Improving Manufacturing Processes in Small and Medium-Sized Minnesota Companies	St. Cloud State University	ST Cloud	MN	DOD	11/24/93
44	TAS	Manufacturers EnterCorp - A Product Realization Access Network	Dematech / Mid-America MTC	Kansas City	MO	NIST	10/22/93
45	MESP	MAMTC Southern Missouri Regional Office	MO Enterprise Business Assist Cntr	Rolla	MO	NIST	2/23/94
46	EES	USNet: An Enabling Service for Manufacturing Networks	Regional Technology Services, Inc. / Georgia Tech	Chapel Hill	NC	NIST	11/24/93
47	MESP	North Carolina Alliance for Competitive Technologies (NC ACTS)	State of North Carolina	Raleigh	NC	NIST	11/24/93
48	MESP	Nebraska Industrial Competitiveness Service (NICS)	Nebraska Department of Economic Development	Lincoln	NE	NIST	2/23/94
49	MESP	New Mexico Manufacturing Extension Program	New Mexico Industry Network Corporation	Albuquerque	NM	NIST	11/24/93
50	TAS	New Mexico Technology Deployment Pilot Project	University of New Mexico	Albuquerque	NM	DOE	12/3/93
51	EES	Development and Application of an Initial Assessment Procedure for Small Manufacturers (Quickview)	New York State Science & Technology Foundation / RPI	Albany	NY	NIST	11/24/93
52	MESP	Manufacturing Outreach Center of N.Y. - Southern Tier	New York State Science & Technology Foundation	Albany	NY	NIST	11/24/93
53	MESP	New York State Industrial Technology Extension Service Project	New York State Science & Technology Foundation	Albany	NY	NIST	10/22/93
54	MESP	New York City Manufacturing Outreach Center	New York State Science & Technology Foundation	Albany	NY	NIST	11/24/93
55	MESP	Hudson Valley Manufacturing Outreach Center	New York State Science & Technology Foundation	Albany (New Paltz)	NY	NIST	11/24/93
56	MESP	Western New York Manufacturing Outreach Center	New York State Science & Technology Foundation	Albany (Buffalo)	NY	NIST	11/24/93
57	EES	National Standards System Network (NSSN)	ANSI	New York	NY	NIST	11/24/93

**TRP DEPLOYMENT - Proposals Selected for Negotiation**

No.	Activity Area	Title	Proposer	City	St.	Executing Agency	Announcement Date
58	TAS	Long Island Technology Access	Long Island Research Institute	Setauket	NY	DOE	11/24/93
59	EES	Standard MTC/MOC Manufacturer Information Database	Great Lakes MTC / Oak Ridge	Cleveland	OH	NIST	11/24/93
60	MESP	Plastics Technology Deployment Center (PTDC)	CAMP/Great Lakes MTC	Cleveland	OH	NIST	11/24/93
61	MESP	Expanding Teaching Factory Services in Northeastern Ohio	CAMP/Great Lakes MTC	Cleveland	OH	NIST	11/24/93
62	ADPP	Alliance for National Excellence Materials Joining	Edison Welding Institute	Columbus	OH	DOD	11/24/93
63	TAS	Technology Access for Product Innovation (TAP-IN)	Battelle / NASA RTTCs / FLC	Columbus	OH	NASA	10/22/93
64	TAS	Hotline Expansion	Heat Treating Network	Kettering	OH	DOD	11/24/93
65	MESP	Defense Enterprise Empowerment Project (DEEP)	Edison Materials Technology Center (EMTEC)	Kettering	OH	NIST	2/23/94
66	MESP	The Oklahoma Industrial Extension System	Oklahoma Center for the Advancement of Science & Technology (OCAST)	Oklahoma City	OK	NIST	11/24/93
67	EES	Oregon Technology Exchange Consortium (OTEC)	Oregon Economic Development Department	Salem	OR	NIST	2/23/94
68	ADPP	The Agile Web Pilot Program	NET Ben Franklin Technology Center	Bethlehem	PA	DOD	10/22/93
69	MESP	Pennsylvania Manufacturing Extension Program: North/East Region	Manufacturers Resource Center	Bethlehem	PA	NIST	11/24/93
70	TAS	Technology Access Service	Ben Franklin Technology Center of Southeastern Pennsylvania	Philadelphia	PA	DOD	12/3/93
71	MESP	Western Pennsylvania Manufacturing Extension Program	Southwestern Pennsylvania Industrial Research Center	Pittsburgh	PA	NIST	11/24/93
72	TAS	National Technology and Commerce Initiative	Knowledge Express / NTTC	Wayne	PA	DOE	11/24/93
73	MESP	Southeastern Environmental Resources Alliance	States of South Carolina & Georgia	Columbia	SC	DOE	2/23/94
74	EES	Electronic Extension Service	South Dakota School of Mines & Technology	Rapid City	SD	NASA	11/24/93
75	MESP	Tennessee Manufacturing Extension Proposal	State of Tennessee Economic & Community Development	Nashville	TN	NIST	2/23/94
76	EES	Texas-One	Texas Department of Commerce	Austin	TX	NIST	11/24/93

**TRF DEPLOYMENT - Proposals Selected for Negotiation**

No.	Activity Area	Title	Proposer	City	St.	Executing Agency	Announcement Date
77	TAS	The Dual Use Market Place	Texas Innovation Network	Dallas	TX	NIST	11/24/93
78	EES	Enabling Extension Through NCATC Tools, Linkages, and Professional Development	National Coalition of Advanced Technology Centers	Waco	TX	NIST	11/24/93
79	MESP	Manufacturing Competitiveness Through Manufacturing Outreach: A Regional Strategy	A.L. Philpott Manufacturing Technology Center	Martinsville	VA	NIST	11/24/93
80	MESP	The Creation of the VMC - Virginia's Manufacturing Extension Service	Virginia Dept. of Economic Development	Richmond	VA	NIST	2/23/94
81	EES	Manufacturing Outreach System for Achieving International Competitiveness (Mosaic)	Production Technology Inc. / Tufts University	Arlington / Medford	VA / MA	NIST	10/22/93
82	MESP	Washington Manufacturing Extension Center	Washington Manufacturing Extension Center	Everett	WA	NIST	11/24/93
83	ADFP	Recycling Technology Assistance Project	Clean Washington Center	Seattle	WA	NIST	10/22/93
84	TAS	Low-Cost High Volume Manufacturing of High-Performance Composite Material Structures for Infrastructure Applications	Great Lakes Composite Consortium	Kenosha	WI	DOD	11/24/93
85	MESP	Northwest Wisconsin Manufacturing Outreach Center	University of Wisconsin-Stout	Menomonie	WI	NIST	2/23/94
86	EES	Creating a National Industrial Extension Agent Curriculum: An Initiative to Foster Dynamic & Interactive Linkages	National Technology Transfer Center / PSU / RPI	Wheeling	WV	NIST	10/22/93

# **Manufacturing Extension Partnership**

## **Management Regions**

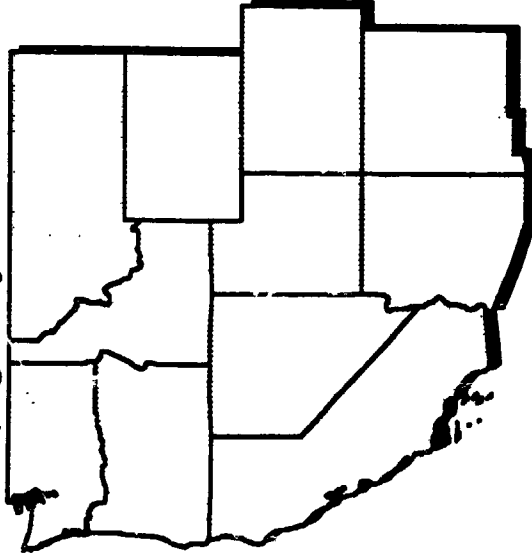




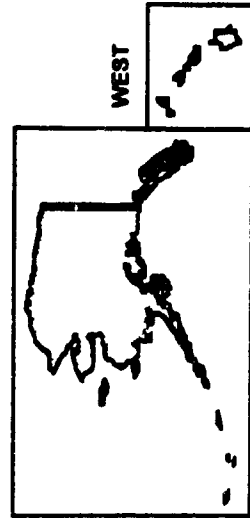
# MANUFACTURING EXTENSION PARTNERSHIP

## MANAGEMENT REGIONS

**WEST**  
David Gold  
301-975-5030  
dgold@enh.nist.gov

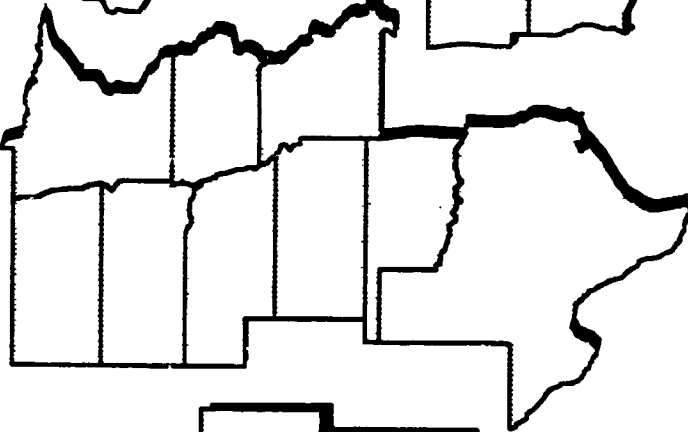


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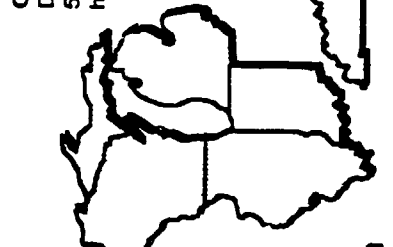


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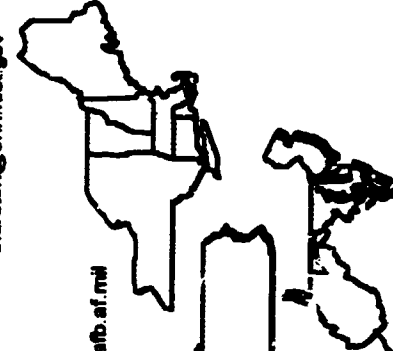
**CEN/TRAL**  
Kevin McIntyre  
301-975-4307  
kmcintyre@enh.nist.gov



**GREAT LAKES**  
Ron Hira  
301-975-3389  
hira@enh.nist.gov

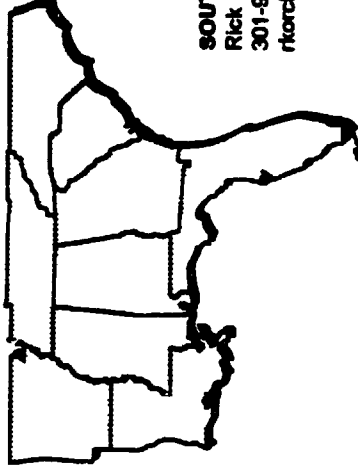


**OHIO VALLEY**  
Debra Haley  
513-255-4623  
haleyd@ml.wpafb.af.mil



**NORTHEAST**  
James Thurston  
301-975-3148  
thurston@enh.nist.gov

**MID-ATLANTIC**  
Doug Devereaux  
301-975-4499  
douglassd@enh.nist.gov



**SOUTH**  
Rick Korchak  
301-975-3580  
rkorchak@enh.nist.gov

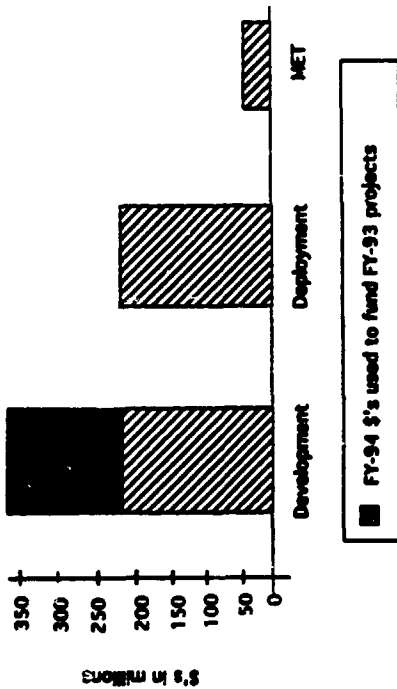
**Data on Selection and Selected Proposals**

**and**

**Outcomes of the Selection Process**

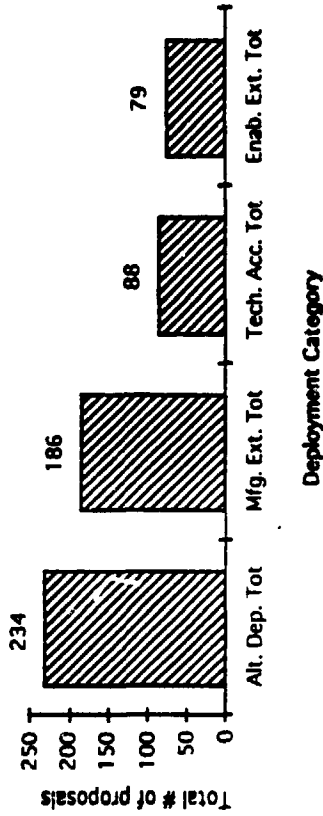
TECHNOLOGY REINVESTMENT PROJECT

Total Amount of TRP Funds Available, by Activity



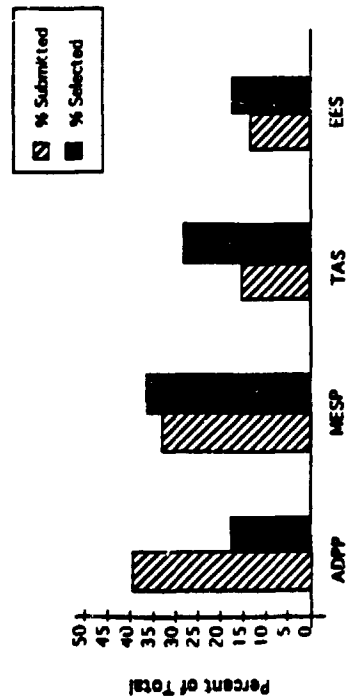
TECHNOLOGY REINVESTMENT PROJECT

Distribution of Deployment Proposals



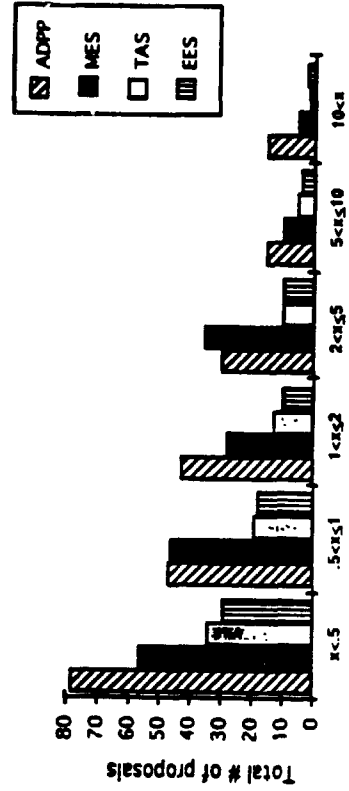
TECHNOLOGY REINVESTMENT PROJECT

Percent of Deployment Proposals Submitted and Selected, by Activity



TECHNOLOGY REINVESTMENT PROJECT

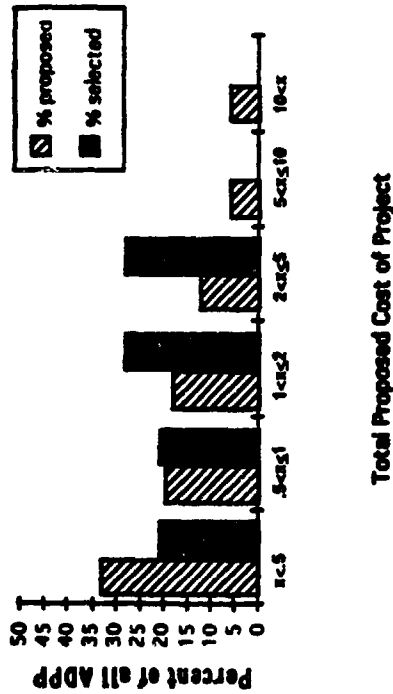
Deployment Proposals, \$ Distribution



x = Total cost of proposed project

TECHNOLOGY REINVESTMENT PROJECT

Alternate Deployment Pilot Projects,  
% Proposed vs. Selected, by \$ Value



Total Proposed Cost of Project

TECHNOLOGY REINVESTMENT PROJECT

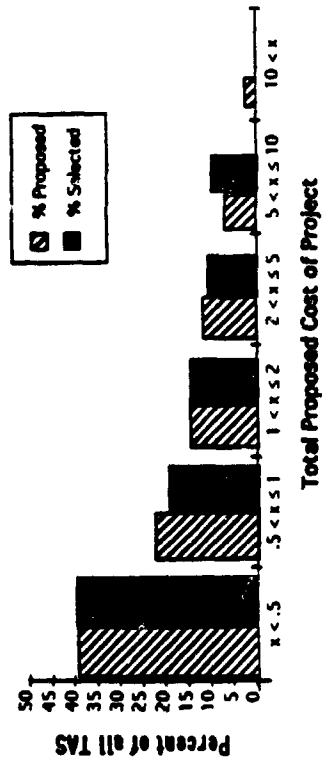
Mfg Ext Services  
% Proposed vs. Selected, by \$ Value



Total Proposed Cost of Project

TECHNOLOGY REINVESTMENT PROJECT

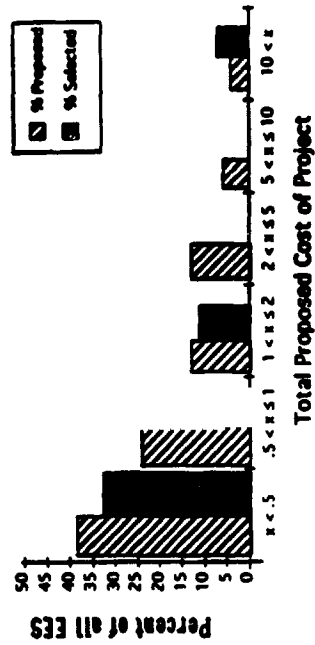
Tech Access Proposals  
% Proposed vs. Selected, by \$ Value



Total Proposed Cost of Project

TECHNOLOGY REINVESTMENT PROJECT

Extension Enabling Proposals  
% Proposed vs. Selected, by \$ Value



Total Proposed Cost of Project

## **Selection Process and Criteria**

## TRP Deployment Selection Process and Criteria

Phil Nanzetta, NIST

Phil Nanzetta nanzetta@nist.nih.gov

U.S. Gov 2004 page 1

## Logistical Facts

- 549 deployment proposals
- 65 technical reviewers from DOD, DOC (NIST), DOE, NASA, and NSF
- Each review group had one member from each agency
- Every review decision required a minimum of three qualified reviewers
- Proposals were reviewed in three stages
  - first review by a subpanel
  - second review by a source selection evaluation board (SSEB)
  - site visit or interview or equivalent
- Chairmen of the SSEBs were from different agencies
- All review judgements were based strictly on the 8 selection criteria published in the Red Book

Phil Nanzetta nanzetta@nist.nih.gov

U.S. Gov 2004 page 2

## Target Population

- Proposer must clearly define
- Proposer must understand needs of target population in depth
- Proposer must be within working distance of
- Size must be appropriate to size of budget

Phil Nanzetta nanzetta@nist.nih.gov

U.S. Gov 2004 page 3

## Defense Conversion, Dual-Use Impacts

- Specifically address needs of defense suppliers and subtier
- Increase competitiveness, number of jobs, quality of jobs
- Help convert companies and workers from defense-dependent to dual use
- Does not exclude other companies from service

Phil Nanzetta nanzetta@nist.nih.gov

U.S. Gov 2004 page 4

### **Technology Sources**

- Have in-house capabilities and personnel or
- Have access through partners or
- Have access through systematic linkages

Full Name: name@domain.com

U.S. gov 2004 page 5

### **Delivery Mechanisms**

- Matches the needs of the target population
- Are effective
- Handles intellectual property issues
- Uses best industrial practices
- Proposed approach has good technical quality

Full Name: name@domain.com

U.S. gov 2004 page 6

### **Management Experience and Plans**

- Governing or managing entity has clear responsibility and power
- There is significant involvement and support by industry
- Sound organizational structure
- Leadership has experience and quality
- Has sound staffing, evaluation, and training plans

Full Name: name@domain.com

U.S. gov 2004 page 7

### **Funding, Budget, and Cost Share**

- Spending plan must match delivery mechanisms
- Cost share must be solid and certain

Full Name: name@domain.com

U.S. gov 2004 page 8

### **Accessibility of Services and Documentation**

- Fair access to services; not restricted to members
- Documentation of results, especially for pilot projects

PHI Health Services@phil.gov

LL on 304 page 9

### **Coordination and Elimination of Duplication**

- Understand and link with related service providers in service region
- If there is a comprehensive state plan, must be consistent with it
- Does not duplicate existing resources
- Does not clash with existing services

PHI Health Services@phil.gov

LL on 304 page 10



**Key Issues of Content**

## Key Issues of Content

U.S. 2001 page 11

Public Health Service, Department of Health and Human Services

## Focus on the Customer

- Winning proposals start with the target population (customer) and focus on it throughout
- Losing proposals focus on what the proposer wants to do
- Winning proposals are specific, concrete, and demonstrate a believable understanding of the target population and its needs
- Losing proposals are generic, abstract, and focus on technology push instead of customer need

U.S. 2001 page 12

Public Health Service, Department of Health and Human Services

## Strong Management and Organization

- Winning proposals lay out a clear organization (it may be complex) with a clear point of control and responsibility. A good organization chart helps.
- Losing proposals have a mushy organization, confusing, and with divided control and responsibility. A bad chart hurts.
- Winning proposals identify their limitations and show how they will address them
- Losing proposals pretend not to have any limitations, but they peek from behind every paragraph
- Winning proposals make sense. From the point of view of the customer, participant, and sponsors
- Losing proposals have no way to attract customers, participants that don't contribute, and letters of support that don't make any commitments.

U.S. 2001 page 13

Public Health Service, Department of Health and Human Services

## Match

- Winning proposals have a solid commitment of match, all of which clearly contributes to the objective. Cash, of course, is very good.
- Losing proposals have unbelievable or weak match, or match that really doesn't support the objective. Useless equipment, unrelated in-kind, or small percentages of personnel time are weak.
- Winning proposals have reasonable, soundly based fee schedules (if fees are charged).
- Losing proposals project fee-based income with poor justification at levels contrary to common experience.
- Winning proposals have state match already appropriated in advance, "opportunity" funds that can be tapped, or very firm state commitment of funds
- Losing proposals have "best wishes" letters from the governor or weasel-worded support.

U.S. 2001 page 14

Public Health Service, Department of Health and Human Services

### Technical Capacity

- Winning proposals have sound technical capability which is really available for the project
- Losing proposals are not technically equipped to implement the project

FD-302 (Rev. 10-6-95)

U.S. GPO: 2004-500-107

### Credibility and Believability

- Winning proposals make reasonable, credible claims which are internally consistent and agree with known facts
- Losing proposals clearly overstate their position and include assertions that do not agree with known facts
- Winning proposals explain why they are the right organization to do the job, that they have considered the alternatives of "somebody else" or "a new entity". Winning proposals show the proposed activities are within (or close to) their mission and range of expertise
- Losing proposals look like they are just trying for some available resources.

FD-302 (Rev. 10-6-95)

U.S. GPO: 2004-500-107

### Judgeable

- Winning proposals correspond to natural operating entities which can be evaluated as a unit
- Losing proposals bunch together a number of separate entities, some weak and some strong, to make a bundle that is not clearly judgeable.

FD-302 (Rev. 10-6-95)

U.S. GPO: 2004-500-107

## **Key Issues of the Process**

## Key Issues of the Process

- Proposals
- Site Visits

Tom Starke

Department of Energy (LANL)

Deployment  
Lessons Learned Workshop  
Atlanta, Georgia  
March 9, 1994

## Purpose of the Proposal

- Describe the proposed activity:
  - What
  - Who
  - So What
  - How
  - How Much
- How much will the activity further TRP goals
  - In terms of the selection criteria
- Statement of Work

## The evaluator is an Information Customer

- Clarity
- Organize for evaluation
  - all proposal information is evaluated against the criteria
- Fact-based arguments
  - Not assertions
  - Relevant facts
  - Arm your advocate
- What exists now, versus what's proposed
- Know your concept's backdrop

## Purpose of the Site Visit

- Validate Proposal
- Assess Quality of Teaming
- Proposer's Relation with Target Population
- Inspect Facilities to be Used

## The evaluator is an Information Customer

- **Site choice:**
  - Demonstrations
  - hours
  - availability of key team members
- **Understand the instructions, otherwise ask.**
- **Rehearse**
  - Know your team members
  - Know your target population representatives
- **Have a simple explanation of your concept**

## The evaluator is an Information Customer

- **Listen as much as you talk**
  - Leave time for questions
  - Expect the agenda to be disrupted
  - Anticipate emphasis on the weakest or most critical areas
  - Its often ok to acknowledge you don't have a few of the answers
- **Expect everything the evaluators see to be included in the site visit evaluation**
- **Challenge the evaluators if you believe their facts are wrong**

# Partnerships

## PARTNERSHIPS

### VALUE TO THE PROPOSAL

- O SIZE**
  - How Many Partners ?
  - Adequacy for The Job
  - Critical Funding Levels
  
- O DIVERSITY**
  - Complementary Mixture of Partners
  - Skills; Target Group Representation; Geographics
  
- O COHESIVENESS**
  - Delineation of Responsibilities
  - Clear Organization; Firm Agreement; Legal Document
  
- O LEADERSHIP**
  - Clear Management Structure; Who's in Charge?



**Example**

**Georgia Manufacturing Technology  
Extension Center**

## PROPOSAL DEVELOPMENT

- Get started early
- Select experienced proposal team
- Focus on executive summary
- Have outsiders review proposal
- Focus on approach, not the organization
- Include partners in development
- Give proposal quality advantage
- Treat site visit like sales presentation

## STRATEGY DEVELOPMENT

- Don't give up after the first try
- Be customer-needs driven
- Gain sponsor endorsement during pre-proposal period
- Seek partnerships
- Deal with cost-sharing early

**Breakout Sessions**

**Manufacturing Extension Services Providers**

**Extension Enabling Services**

**Technology Access Services**

**Alternative Deployment Pilot Projects**

**Manufacturing Extension Services Providers**

**Characteristics of Strong Extension  
Proposals**

**and**

**The TRP Process  
New York's Experience**

## Characteristics of Strong Extension Proposals

Phil Nanzetta, NIST

www.nist.gov

11 Jan 2011

## Focus on the Customer

- Strong
  - Focus and clear commitment to helping a target population, with a good understanding of the target population
- Weak
  - Have an existing organization to feed, and only a shallow understanding of a target population
- Red Flag
  - Have an existing organization to feed, and no apparent care for a target population
  - Building an empire, and no apparent care for a target population

www.nist.gov

11 Jan 2011

## Learning Organization

- Strong
  - Organization and management allows for significant changes it learns from experience or from others
- Weak
  - Management personnel are inflexible and doctrinaire, or very weak
  - Organizational structure is set in concrete
  - Couldn't get the attention of the level above if you wanted to
- Red Flag
  - Management is confrontational and intransigent
  - Level above doesn't care about results

www.nist.gov

11 Jan 2011

## Relationship to Industry

- Strong
  - Tight ties to industry, understanding of industry needs, as reflected in organization, staffing, and board
- Weak
  - Lip service to industry participation or need
  - Academic or government dominated board
- Red Flag
  - No industry influence visible

www.nist.gov

11 Jan 2011

## Quality of Match

- Strong
  - Full match in cash, already appropriated
  - In-kind part of match is economically practical and would be purchased if match were all in cash
- Weak
  - High proportion of in-kind match consisting of low percentage shares of staff time, loosely related equipment and facilities, and "white elephants" that are no longer of use to the initial owner
- Red Flag
  - Extremely unrealistic projections of fees for service or membership fees
  - Loose indications of appropriations to come in the future

www.ghd.com

11 Jan 2015

## Character of the Proposal

- Strong
  - Clear, compactly, honestly written proposal
- Weak
  - Sloppy, negligently written proposal which does not address the concerns in the selection criteria
- Red Flag
  - False statements or exaggeration beyond the bounds of good taste
  - Proposal which clearly skirts issues that are important for the selection criteria

www.ghd.com

11 Jan 2015

## Good Delivery Mechanism

- Strong
  - Clear, strong delivery mechanism, described so it makes sense and relies only on partners who have an interest in success of the project
- Weak
  - Poorly conceived, poorly described, unfocused delivery mechanism
- Red Flag
  - Attention to income and empire building, with little or no focus on the delivery mechanism

www.ghd.com

11 Jan 2017

## Access to Technology

- Strong
  - Clearly described, effective means of access to technology
- Weak
  - Technology present in the environment of the proposer, but no effective mechanisms of access are described
- Red Flag
  - Proposer has a narrow "favorite" technology it's pushing
  - No indication of a means for access to technology

www.ghd.com

11 Jan 2015

## Don't clash, don't duplicate

- **Strong**
  - Identifies service providers and technology sources in the region and describes effective coordination with them, proven by actual examples from the past
- **Weak**
  - Defines coordination with some of the service providers and technology sources, but they are new and untested
  - Is not aware of many service providers and technology sources
- **Red Flag**
  - Proposes to set up shop next door to a service provider with no defined means for coordination
  - Proposes to develop technology which is already available from an existing source

**The TRP Process**  
**New York's Experience**



## THE TRP PROCESS : NEW YORK'S EXPERIENCE

## CONTEXT FOR NYS MANUFACTURING RELATED TRP PROPOSALS : DEFINING THE ISSUES

- Manufacturing is important to NYS
- 28,000 firms, nearly all small
- Employ 1 million
- Smaller firms source of new jobs

## TRP DEPLOYMENT LESSONS LEARNED WORKSHOP

Presented by Mark S. Vanden  
Director of Research  
Program of National Technology Research  
Institute  
Rensselaer Polytechnic Institute  
Troy, N.Y. 12180  
Telephone : 518-273-2900

## CONTEXT FOR NYS TRP PROPOSALS : DEFINING THE PROBLEM

- About 2,000 fewer factory establishments than four years ago
- Since 1988, NY has lost nearly 200,000 manufacturing jobs
- 18% decline vs. 7% loss nationally
- Job loss due mainly to overseas competition
- Inability of firms to modernize major factor

## NYS MANUFACTURING FIRMS BY REGION

REGION	NUMBER OF FIRMS
Capital	1,000
Central NY	1,000
Finger Lakes	1,500
Long Island	5,000
Mid-Hudson	2,500
Mohawk Valley	500
NY City	13,500
North Country	500
Southern Tier	1,000
Western NY	2,000
<b>TOTAL:</b>	<b>28,500</b>

**CONTEXT FOR NYS TRP PROPOSALS :  
DEFINING THE TARGET POPULATION :**

**CHARACTERISTICS OF TYPICAL SMALL  
MANUFACTURERS**

- Is family owned or sole proprietorship
- Is a supplier of parts to a larger manufacturer
- Has customers that are other business, not end users
- Has less than 50 employees; and sales of under \$5 million

**CONTEXT FOR NYS TRP PROPOSALS :  
DEFINING THE TARGET POPULATION**

- Should upgrade operational and management capability
- Has limited in-house engineering and technical staff
- Benefits of technology realized but considers them out of reach
- Is in a reactive mode to marketplace changes
- Lacks systematic planning

**CONTEXT FOR NYS TRP PROPOSALS :  
DEFINING THE NEED**

To stay competitive, these manufacturing firms need to:

- Engage in strategic planning
- Speed the adoption of new and rapidly evolving technologies
- Invest in modern plant and equipment
- Improve worker productivity, training and involvement in the redesign of manufacturing process

**CONTEXT FOR NYS TRP PROPOSALS :  
DEFINING THE NEED**

- Develop new domestic and export markets in a rapidly changing global economy
- Improve quality control and management techniques

## **NYS TRP PROPOSAL : ADDRESSING THE NEED**

### **EXISTING NYS PROGRAM INITIATIVES**

- 1982 - Industrial Technology Councils established
  - Local non-profit organizations
  - Industry Led
- 1986, 1990 - Industrial Technology Extension Service established state wide
- 1989 - Northeast Manufacturing Technology Center (NEMTC)

### **NY's TRP ACTION PLAN**

- Work with local ITC's throughout
- Statewide information meetings (Jan. - March '93)
- Attended TRP briefings (April '93)
- Individual regional meetings (May, June '93)
- Proposal review (July '93)

## **NY's TRP STRATEGIC APPROACH : MAJOR THEMES**

- Manufacturing firm is the customer
- Build on existing programs to serve the customer
- Locally responsive proposals; locally managed
- State coordination
- Access to State and local matching funds
- Leverage local resources

## **NY's TRP ACTION PLAN INDUSTRIAL TECHNOLOGY EXTENSION SERVICE (ITES) PROPOSAL**

*Concept: Expand NYS manufacturing extension personnel from 17 to 50*

- NYSSIF TRP Proposer
- Sub-contract with ITC's
- Target regions with high manufacturing clusters
- TRP funds : 50%  
State funds : 50%
- Managed by NYSSIF

**NY's TRP ACTION PLAN :  
MANUFACTURING OUTREACH  
CENTERS (MOC)**

**Concept :** Local centers of special assistance to firms

- Proposals from 6 manufacturing regions
- Local resources tied in
- Integrated with Extension Service and NEMTC
- Part of statewide manufacturing assistance system

**NY's TRP ACTION PLAN :  
MANUFACTURING OUTREACH  
CENTERS (MOC)**

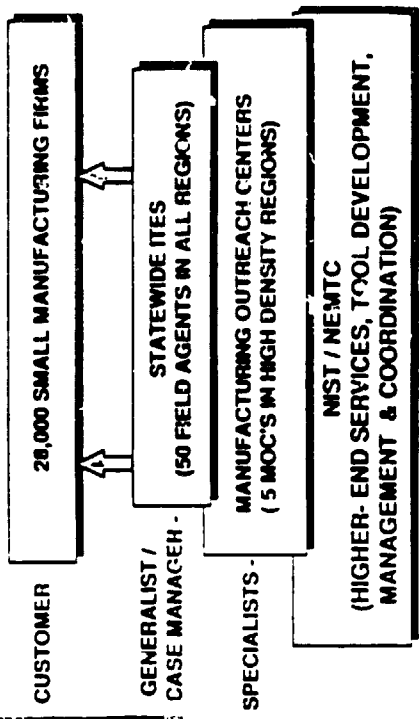
- NYSSTF as TRP proposer
- Local ITC sub-contractor and regional management entity
- TRP funds : 50%  
State funds : 25%  
Local funds : 25%

**NY's TRP ACTION PLAN :  
NORTHEAST MANUFACTURING  
TECHNOLOGY CENTER (NEMTC)**

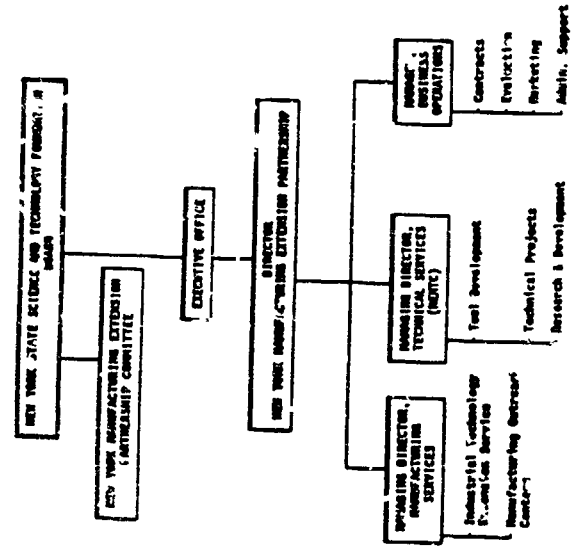
**Concept :** Develop "tools" and support for extension service and MOC's to help firms

- Proposal developed by NEMTC and RPI
- NYSSTF TRP proposer
- RPI as subcontractor
- TRP funds : 50%  
State funds : 50%

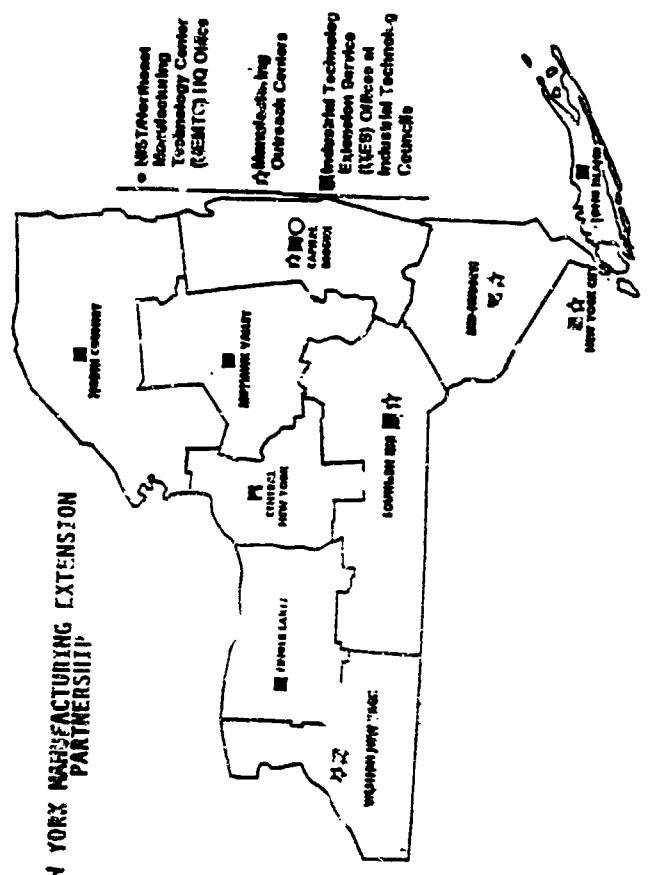
**NEW YORK'S MANUFACTURING  
EXTENSION PARTNERSHIP**



NEW YORK MANUFACTURING EXTENSION PARTNERSHIP ORGANIZATION PLAN



NEW YORK MANUFACTURING EXTENSION PARTNERSHIP



SUMMARY of TRP PROPOSALS SUBMITTED by NYSSTF and APPROVED by TRP

Proposals Submitted	Proposals Approved	Program Area
1	1	Industrial Extension Service
6	4	MOC's
3	1	NEMTC Projects
4	0	High Tech Assistance Projects
14	6	

TRP PROPOSAL PREPARATION TIPS

- Put the "customer" first (target population)
- Make sure you have right context and rationale
- Communicate with team members early and often
- Make a convincing case in the Executive Summary

### TRP PROPOSAL PREPARATION TIPS

- Secure reliable sources of matching funds.
- Do you believe in the project?

### TRP SITE INTERVIEWS PREPARATIONS and TIPS

- Have only key people attend
  - Project leaders and doors
- Meet before the meeting
- Provide organizational context and structure
- Answer reviewers written questions briefly, but thoroughly

### TRP SITE INTERVIEWS PREPARATIONS and TIPS

- Use appropriate visuals and demonstrations  
( video tapes, overheads, etc.)
- Don't be defensive; OK to say "I don't know"

### FUNDING SUMMARY - TRP PROJECTS to NYSSTF

Projects Awarded : 6

Federal TRP Funds : \$ 4,675,000  
NY State Matching Funds : \$ 2,800,000  
Local Cash and Inkind Funds : \$ 1,925,000

Total Annual Funds : \$ 9,350,000

## **Extension Enabling Services**

Presented by: Frank Penaranda  
at Lessons Learned Workshop

## TRP DEPLOYMENT -- EXTENSION ENABLING SERVICES

### DISTRIBUTION OF AWARDS BY CATEGORIES

#### AREAS SERVED

8 - National

6 - States

1 - Industry Sector

#### FOCUS

5 - Elec. Networks

2 - Data Bases

5 - Training

1 - Tools

2 - States Structures



# EXTENSION ENABLING SERVICES

## EVALUATION CRITERIA

The selection criteria contained on this sheet apply to extension enabling services activities for technology deployment. They also incorporate the statutory selection criteria for the TRP programs. Each proposal must address these selection criteria. Selection criteria are grouped into eight equally weighted categories. *Special selection factors for technology sources, delivery mechanisms, management experience and plans, funding, budget, and cost share, accessibility of services and documentation, and coordination and elimination of duplication [in italics] are given to amplify the general criteria and are not additional criteria.*

### (1) Target Population

The proposal should target a clearly defined population of beneficiary companies or organizations, and should clearly identify the needs which the proposal addresses. The target population should include a significant number of United States-based small manufacturing firms and/or companies dependent upon Defense expenditures, and should be large enough to justify the proposed expenditure. The approach set forth in the proposal should be reasonable for the needs identified and the defined population. Factors that will be considered include:

- (a) Demonstration of a clear definition of the target population, its size, needs, and demographic characteristics.
- (b) Demonstration of an understanding of the needs of the target population.
- (c) Appropriateness of the plan to address the identified needs of the target population.
- (d) Appropriateness of the size of the target population and the anticipated impact for the proposed expenditure.

### (2) Defense Conversion, Dual-Use Impacts

The proposal must provide a substantial impact in advancing defense conversion objectives. It should specifically address the needs of defense suppliers and their subtier suppliers. It should increase competitiveness, number of jobs, and quality of jobs. Factors that will be considered include:

- (a) Degree to which the planned approach will serve a substantial number of defense suppliers and their subtier suppliers.
- (b) Effectiveness of the proposed approach in increasing competitiveness, number of jobs, and quality of jobs through the target population particularly among displaced defense workers.
- (c) Degree to which the proposed approach can serve to convert businesses and their workforces from defense-

dependent to capabilities having both defense and non-defense commercial applications.

### (3) Technology Sources

For proposals that focus on work directly with small businesses, the proposal should demonstrate that the proposer has adequate access to the technology needed to provide sound service. This access is through a combination of in-house expertise and experience, partnerships with technology sources, and linkages to external technology sources. It is the linkage and understanding of how to gain access to technology that is most important.

Proposals to extract technology will be based on existing core competency, not on an intent to develop in-house expertise. The proposal must set forth a convincing plan for identifying the needed technology within an organization and for "extracting and packaging" the technology. Special factors for each activity expand on these criteria.

#### Special Selection Factors:

- (a) Strength of existing core competency in the proposed area of activity.
- (b) Adequacy of plans to identify technology within the proposer's organization and to extract and package it for use by others.

### (4) Delivery Mechanisms

The proposal must set forth a clearly defined, effective mechanism for delivery of services to the target population. For extension service providers, this refers to the means for working directly with target companies. For technology sources, this calls for well thought-out plans for formation of linkages to the organizations that work directly with companies. Special factors for each activity expand on these criteria. Factors that will be considered include:

- (a) Effectiveness of proposed delivery mechanism.
- (b) Demonstration of capacity to form the effective linkages and partnerships necessary for success of the proposed activity.
- (c) Adequacy of plans to handle intellectual property issues.
- (d) Technical quality of the proposed approach, including knowledge and use of best industrial practices.

#### Special Selection Factors:

- (a) Adequacy of plans for identifying in-house or external sources of technology to meet the needs of target population.

(b) *Strength of plans to establish linkages with service providers and demonstrated success in forming and maintaining such linkages.*

## (5) Management Experience and Plans

The proposal must set forth plans for proper organization, staffing, and management of the activity and must demonstrate that the leadership of the activity has a strong, current experience base to assure success. Special factors for each activity expand on these criteria. Factors that will be considered include:

- (a) Appropriateness of the organizational approach for carrying out the proposed activity.
- (b) Quality and depth of experience of the proposed leadership and the organization within which they will work.
- (c) Soundness of staffing plans, including recruitment, selection, training, and continuing professional development.
- (d) Thoroughness of evaluation plans, including internal evaluation for management and control, and external evaluation for assessing outcomes of the activity, and "customer satisfaction" measures of performance.
- (e) Presence of a governing or managing entity with clear responsibility for performance of the proposed activity.
- (f) Evidence of significant involvement and support by private industry.

### Special Selection Factor:

*Proposals should identify, treat, and resolve issues regarding selection of beneficiaries of the project. There should be a demonstrated valid public purpose in the distribution of benefits. The approach will not create an unfair technological or competitive advantage for one company or group of companies.*

## (6) Funding, Budget, and Cost Share

The proposed spending plan must reasonably match the proposer's projected activities. The proposal must contain a reasonable and practical plan for obtaining the cost share; i.e., that part of the budget not covered by the requested federal funds. Special factors for each activity expand on these criteria. Factors that will be considered include:

- (a) Reasonableness of the budget, both income and expenses.
- (b) Strength of commitment for proposer's cost share.
- (c) Effectiveness of management plans for control of the budget.
- (d) Appropriateness of in-kind contribution.
- (e) Adequacy of plans for out-year funding.

### Special Selection Factor:

*The likelihood that within five years after award, DoD assistance will not be necessary to sustain the program.*

## (7) Accessibility of Services and Documentation

Fair access to the services defined in the proposal must be available to all members of the target population. For pilot projects especially, and all projects in general, there must be plans for broadly disseminating the results of the proposed activity. Special factors for each activity expand on these criteria. Factors that will be considered include:

- (a) Adequacy of plan for handling requests for diverse services.
- (b) Strength of plan for documenting, evaluating, and disseminating information on new approaches taken and on outcomes of activities.

### Special Selection Factor:

*The proposer's plan will specify the process for documenting the pilot project, analyzing its results, and publishing the analytical case study to help others replicate, modify, or avoid the approach.*

## (8) Coordination and Elimination of Duplication

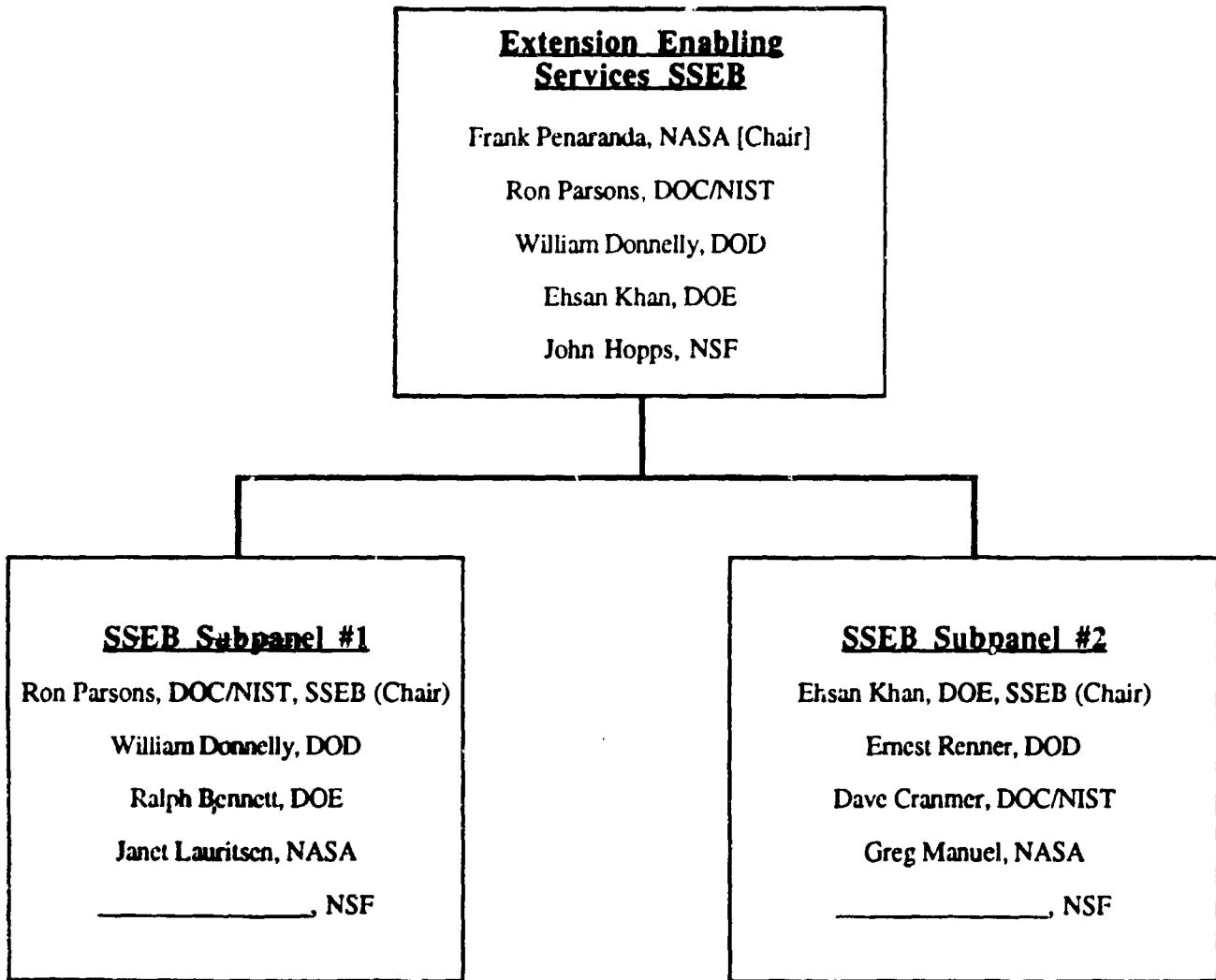
It is desired to minimize the creation of services and technology sources which duplicate, overlap, or conflict with existing resources. The proposer must demonstrate an understanding of existing organizations and resources within its environment and establish working linkages where appropriate. If there is a comprehensive state plan for technology transfer and extension, the proposer should document that its plan is consistent with the state plan. Special factors for each activity expand on these criteria. Factors that will be considered include:

- (a) Understanding of existing organizations and resources related to the proposed target population.
- (b) Adequate linkages and partnerships with existing organizations.
- (c) Consistency with comprehensive state plans if such plans exist.

### Special Selection Factors:

- (a) *The proposal must demonstrate the extent to which the proposed approach makes use of existing technology resources and service providers, and the extent to which the proposer demonstrates an awareness of other pilot projects with the same structure.*
- (b) *The impact of the proposed approach, if successful, will be large enough to justify the investment. There should be some demonstration that the approach can be replicated elsewhere with large impact.*

# Extension Enabling Services SSEB Structure



7/29/93

7:05 AM

## Defense Conversion, Dual-Use Impacts

- **Good**
  - Defense impacted firms identified as fraction of target population
  - Special needs of defense impacted firms identified
  - Attention to stimulating employment opportunities for defense displaced workers
  - Appropriateness of technology to dual-use applications
- **Poor**
  - General references to Defense reduction impacts in a geographic area

## Technology Sources

- **Good**
  - Appropriate for the target population
  - Technically excellent
  - Committed to and experienced with existing event companies
  - Ability to access technology sources outside the project
- **Poor**
  - Not explicitly identified
  - Insufficient for the target population

## Delivery Mechanisms

- **Good**
  - Efficient and cost effective
  - Appropriate for tech sources and target population
  - Already demonstrated
  - Innovative
- **Poor**
  - Generic
  - Inflexible and complex
  - Too much technology development

## Management Experience and Plans

- **Good**
  - An established team
  - A clear statement of work
  - A realistic schedule
  - A budget organized against the statement of work
  - Examples of past success managing deployment activities
  - Project plan aimed at self-sufficiency
  - A plan for effective communication with tech sources and target population
- **Poor**
  - No discussion of risks and mitigation options

## Funding, Budget, and Cost Share

- Good
  - A clear budget presentation
  - Budget organized against the statement of work and the schedule
  - Cash or earned personnel time cost share
  - Established accounting cost control processes
- Poor
  - The most funding requested for stated deliverables

## Accessibility of Services and Documentation

- Good
  - Service accessible to every member of target population
  - Project included target population outreach activities
  - Project planned for success, planned for proliferation of the approach
- Poor
  - Not addressed

## Description of Awards

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OF POOR QUALITY

## Coordination and Elimination of Duplication

- Good
  - Thorough understanding of competing and complementary services and extension systems
  - Established relationships with complementary services
  - Coordinated with state or national extension organizations
- Poor
  - Uniqueness asserted

# **Technology Access Services**

# Tech Access Services Lessons Learned Workshop

Tom Starke  
Department of Energy (LANL)

Atlanta, Georgia  
March 9, 1994

# Lessons Learned Feedback

## Global Characteristics of Good Proposals

- Proposed project was an integrated whole
- Every piece of information in the proposal was competitive:
  - Choice of team members
  - Kind of matching funds
  - relation to existing programs
- Quality was supported by fact-based argument, not just assertions
- Evidence of a well-defined and smoothly functioning team
- Commitment to transition to self-sufficient status

## Target Population

- Good
  - Well defined, clearly identified
  - Demonstrated understanding of the needs
  - Representativeness of target population on the team
  - Appropriate for funding
  - In need of technology assistance
- Poor
  - Too many companies
  - Insufficient needs articulation

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## National: All Technologies

- National wide systems for organizing access to all technologies
- Total funding: \$21.4 million
- Examples:
  - Knowledge Express Database
  - TAP-91, utilizing a partnership of RTTCs
  - National Interactive Telecasts

## National: Single Tech Focus

- National-wide system for organizing access for a single industry or a specific technology
- Total Funding: \$ 6.2 million
- Examples:
  - National Hotline for metal heat treatment
  - Electronic information service for feeding and machining industry
  - Composite tech information for infrastructure applications

## Regional: Single focus

- Regional technology access organized around a single tech source, technology, or application
- Total Funding: \$8.3
- Examples:
  - CUWATER
  - Training in...
  - Pollution Free
  - N. Alliance Av Photonics Tech. 1/91/97

## Regional: All Technologies

- Regional technology access service covering many technologies and industries
- Funding: \$ 10.7 million
- Examples:
  - Ben Franklin Technology Access Service
  - Alberta Tech Traveler Assistance Center
  - Long Island Technology Access



## **Alternative Deployment Pilot Projects**

TECHNOLOGY REINVESTMENT PROJECT  
TECHNOLOGY DEPLOYMENT

ALTERNATIVE DEPLOYMENT PILOT PROJECTS

ALTERNATIVE DEPLOYMENT PILOT PROJECTS

Key Participants:

John Fenter	DOD/AF
Phillip Heyes	DOE
John Hopps	NSF
Gale Morse	NIST
James Thornton	NIST
James Velazquez	NASA

JOHN R. FENTER  
AIR FORCE MANUFACTURING TECHNOLOGY  
WRIGHT LABORATORY  
WRIGHT-PATTERSON AFB, OH

ALTERNATIVE DEPLOYMENT PILOT PROJECTS

ALTERNATIVE DEPLOYMENT PILOT PROJECTS

Aerogel Commercialization Pilot Project  
 Agile WEB Pilot Project  
 Alliance for National Excellence in Materials Joining  
 Connecticut Energy and Environment Technologies Deployment Center  
 Deployment of a National Infrastructure for Laser Metrology  
 Improving Manufacturing Processes for SMEs in Minnesota  
 Mass Manufacturers Association: A Consortium to Accomplish Defense Conversion  
 Maryland Healthcare Product Alliance  
 Massachusetts Manufacturing Modernization Partnership (M3P)  
 Minnesota Consortium for Defense Conversion  
 New England Suppliers Institute  
 Recycling Technology Assistance Project  
 Sierra Valley CommercialNet  
 Technology Deployment Through Manufacturing Networks  
 Xerox CAM Plan for a Solar Powered Hydrogen Generating Facility

- Pilot projects providing nontraditional industrial and manufacturing assistance
- ADPP aims to:
  - Improve the technological strength of defense dependent small business
  - Understand and improve the interactions between prime contractors and their supplier chains, including business culture factors
  - Improve quality and other manufacturing practices throughout the prime-supplier within an industrial sector
  - Support small company incubators
- Projects are encouraged to address commercialization of new technologies and to pursue dual-use technology applications



## ALTERNATIVE DEPLOYMENT PILOT PROJECTS EVALUATION CRITERIA

EVALUATION CRITERIA: Target Population

REFERENCE EXAMPLE: Regional Network of Suppliers

RATING: Excellent

**RATIONALE:**

- Three prime contractors that are served by a common supplier base in a defined geographical region join with the Department of Commerce of the state in which they are located and a group of 30 suppliers to propose a set of activities which will simplify and rationalize the requirements placed by the prime contractors on their suppliers. The proposal was rated Excellent because:
  - The target population is well defined and applicable to several prime contractors
  - The demographics of the target population are similar in that they have a common customer base and serve a common geographic region
  - It addresses the needs of the target population through development of simplified and rationalized requirements from their customer base

## ALTERNATIVE DEPLOYMENT PILOT PROJECTS EVALUATION CRITERIA

EVALUATION CRITERIA: Target Population

REFERENCE EXAMPLE: Supplier Chain

RATING: Above Average

**RATIONALE:**

- Contractor XYZ and a group of its principal suppliers are to implement a system of electronic commerce for business and product description activities. The proposal was rated Above Average because:
  - A significant group of suppliers (50) are contained in the target population
  - The demographics of the target population are well defined, i.e., suppliers to XYZ

The proposal rating was reduced because

- It fails to demonstrate an understanding of the needs of the target population, i.e., dictates solution without establishing the need

## ALTERNATIVE DEPLOYMENT PILOT PROJECTS EVALUATION CRITERIA

EVALUATION CRITERIA: Defense Conversion, Dual-Use Impacts

REFERENCE EXAMPLE: Prime Contractor-Supplier Integration

RATING: Above Average

**RATIONALE:**

- Prime contractor establishing dual-use teaching factories for suppliers. The proposal is rated Above Average because:
  - Prime contractor assists dual-use suppliers in establishing a strategic business plan
  - Prime contractor will financially assist supplier in achieving plan's goals

The proposed rating was reduced because:

- Training in commercial practices not provided to suppliers by prime
- Quality technologies not emphasized

## ALTERNATIVE DEPLOYMENT PILOT PROJECTS EVALUATION CRITERIA

EVALUATION CRITERIA: Technology Sources

REFERENCE EXAMPLE: Regional Network of Suppliers

RATING: Excellent

**RATIONALE:**

- Three prime contractors that are served by a common supplier base in a defined geographical region join with the Department of Commerce of the state in which they are located and a group of 30 suppliers to propose a set of activities which will simplify and rationalize the requirements placed by the prime contractors on their suppliers. The proposal was rated Excellent because:
  - The in-house expertise of the prime contractors and suppliers provides an excellent capability to simplify and rationalize requirements
  - The project can be completed without the need for external technology sources or consultants

## ALTERNATIVE DEPLOYMENT PILOT PROJECTS EVALUATION CRITERIA

EVALUATION CRITERIA: Delivery Mechanisms

REFERENCE EXAMPLE: Electronic Commerce

RATING: Very Good

RATIONALE: University and non-profit consortium proposes to develop a system for electronically linking small firms with large customers. Proposal is rated Very Good because:

- Letters of commitment executed with 6 major manufacturers and 30 suppliers
- Participating manufacturers have instituted paperless systems in their factories

The proposal rating was reduced because:

- It did not include a demonstration

## ALTERNATIVE DEPLOYMENT PILOT PROJECTS EVALUATION CRITERIA

EVALUATION CRITERIA: Delivery Mechanisms

REFERENCE EXAMPLE: Regional Network of Suppliers

RATING: Above Average

RATIONALE: An alliance of multiple prime contractors, the Department of Commerce of the state, and 30 suppliers proposes to standardize and streamline flow down requirements and introduce best manufacturing practices. Proposal was rated Above Average because:

- Prime contractors have established in-place vendor network programs
- Proposed standardization and streamlining will improve quality, reduce cost and increase competitiveness

The proposed rating was reduced because:

- It did not recognize the significant impact of mandatory government specification requirements nor include a plan to address them

## ALTERNATIVE DEPLOYMENT PILOT PROJECTS EVALUATION CRITERIA

EVALUATION CRITERIA: Delivery Mechanisms

REFERENCE EXAMPLE: Supplier Chain

RATING: Below Average

RATIONALE: Prime contractor establishing an electronic link with 50 suppliers for business and product data. Rated Below Average because:

- Company has not demonstrated a capability in this area
- No evidence of commitment of suppliers to participate
- Resulting systems will be considered proprietary

## ALTERNATIVE DEPLOYMENT PILOT PROJECTS EVALUATION CRITERIA

EVALUATION CRITERIA: Management Experience and Plans

REFERENCE EXAMPLE: Regional Network of Suppliers

RATING: Above Average

RATIONALE: Three prime contractors that are served by a common supplier base in a defined geographical region join with the Department of Commerce of the state in which they are located and a group of 30 suppliers to propose a set of activities which will simplify and rationalize the requirements placed by the prime contractors on their suppliers. The proposal was rated Above Average because:

- Leadership is provided by three prime contractors which have extensive experience dealing with suppliers

The proposal rating was reduced because:

- No single management authority is defined

## ALTERNATIVE DEPLOYMENT PILOT PROJECTS EVALUATION CRITERIA

**EVALUATION CRITERIA:** Funding, Budget, and Cost Share

**REFERENCE EXAMPLE:** Supplier Chain

**RATING:** Excellent

**RATIONALE:**

- A prime contractor proposes to establish an electronic link with 50 suppliers for business and product data. Proposal is rated Excellent because:
  - Significant portion of budget (75%) flows down to suppliers, product vendors, and third-party technical assistance providers
  - All matching funds are in cash, i.e., no payment in-kind
  - The documented benefits greatly exceed proposed cost (5 to 1)

## ALTERNATIVE DEPLOYMENT PILOT PROJECTS EVALUATION CRITERIA

**EVALUATION CRITERIA:** Coordination and Elimination of Duplication

**REFERENCE EXAMPLE:** Commercialization

**RATING:** Excellent

**RATIONALE:**

- A demonstration pilot is proposed to accelerate within Ohio the commercialization of technologies in the electronics industry sector. This proposal is rated Excellent because:
  - Demonstrates a solid understanding of existing state plans and organizations related to technology commercialization
  - Defines working linkages to assure coordination with state agencies
  - Targeted technology sector complements state efforts
  - No duplication of existing state or federal activities

## ALTERNATIVE DEPLOYMENT PILOT PROJECTS EVALUATION CRITERIA

**EVALUATION CRITERIA:** Accessibility of Services & Documentation

**REFERENCE EXAMPLE:** Regional Network of Suppliers

**RATING:** Above Average

**RATIONALE:**

- An alliance consisting of three prime contractors, a group of 30 common regional suppliers and the regional state Department of Commerce have proposed activities to reduce costs by eliminating nonvalue added requirements and introducing best management practices. The proposal is rated Above Average because:
  - A common shared data base information system is proposed
  - Mix of suppliers (large, small, various technologists, etc.) enhances project relevancy for other primes/suppliers
- Proposal rating was reduced because
  - No definitive plan to disseminate project results outside of the alliance

## Aerogel Commercialization Pilot Project

**Model:** Private Sector Commercialization of Federal Lab Technology

Data	Objective
<ul style="list-style-type: none"> <li>Defense Dual-Use Assistance Extension Program</li> <li>Primary Team Members:                             <ul style="list-style-type: none"> <li>Aerogel - General Corp., LLNL &amp; LBNL, 5 private sector end users and California &amp; Michigan service providers</li> </ul> </li> <li>Total Cost: \$2.621K</li> <li>Duration: 15 months</li> </ul>	<ul style="list-style-type: none"> <li>Prototype and assess new applications and products using aerogel technologies</li> <li>Commercialize federal lab technology</li> </ul>
<p><b>Approach</b></p> <ul style="list-style-type: none"> <li>Defense prime deploying federal lab technology</li> <li>Produce product samples for demonstration and testing by private sector end users</li> <li>Disseminate performance and cost data to SMEs through service providers</li> <li>Management by for-profit private sector company</li> </ul>	<p><b>Impact</b></p> <ul style="list-style-type: none"> <li>Creates new markets for lightweight, high R-value aerogel products in the automotive, aerospace, appliance industries</li> <li>Retains jobs in defense dependent companies</li> <li>Utilizes excess capability at Aerogel facilities</li> <li>Successful commercialization of products from federal lab R&amp;D</li> </ul>

## The Agile Web Pilot Program

Model: Reconfigurable Customer/Supplier Partnerships

<p><b>Data</b></p> <ul style="list-style-type: none"> <li>Regional Technology Alliances Assistance Program</li> <li>Primary Team Members: Ben Franklin Center, Agile Manufacturing Forum, TI, BMA, 14 SMEs</li> <li>Total Cost: \$4,358K</li> <li>Duration: 24 months</li> </ul>	<p><b>Objective</b></p> <ul style="list-style-type: none"> <li>Integrate and evaluate agile manufacturing</li> <li>Structured collaboration between large customers and small suppliers</li> <li>Modernize information infrastructures of small suppliers</li> </ul>
<p><b>Approach</b></p> <ul style="list-style-type: none"> <li>Iterative manufacturing pilots using electro-mechanical assemblies</li> <li>Virtual firms will be formed for different products based on competitiveness</li> <li>Suppliers cooperate to optimize cost, cycle time, marketing</li> </ul>	<p><b>Impact</b></p> <ul style="list-style-type: none"> <li>Expands business of small suppliers in Pennsylvania</li> <li>Improves procurement of repair parts</li> <li>Establishes benchmarks for world class flexible/agile manufacturing</li> <li>Develops robust, internationally competitive SME network</li> </ul>

## Connecticut Energy and Environment Technologies Deployment Center

Model: State-led Program Focused on Dual-Use Technology Development

<p><b>Data</b></p> <ul style="list-style-type: none"> <li>Defense Dual-Use Assistance Extension Program</li> <li>Primary Team Members: Connecticut Dept. of Economic Development, Technology for Connecticut, Inc. (TECHCONN)</li> <li>Total Cost: \$2,003K</li> <li>Duration: 24 months</li> </ul>	<p><b>Objective</b></p> <ul style="list-style-type: none"> <li>Integrate energy and environmentally based laboratory technologies into products and commercial ventures</li> <li>Deploy high technologies to serve large and rapidly growing markets in energy production and environmental control systems</li> </ul>
<p><b>Approach</b></p> <ul style="list-style-type: none"> <li>Extract technologies from academic, industry, and federal labs for commercialization of gas turbines, fuel cells, batteries, marine propulsion, and monitoring &amp; control</li> <li>Create 10 projects for deploying new technologies</li> <li>Emphasize prototype demonstration projects rather than services</li> </ul>	<p><b>Impact</b></p> <ul style="list-style-type: none"> <li>Revitalizes 863 Connecticut firms with defense related expertise in propulsion and energy conversion</li> <li>Generates several hundred new manufacturing jobs within 5-10 years</li> <li>Establishes technology transfer and development as a method for creating jobs</li> </ul>

## The Alliance for National Excellence in Materials Joining

Model: World Class Technology Resource Network

<p><b>Data</b></p> <ul style="list-style-type: none"> <li>Regional Technology Alliances Assistance Program</li> <li>Primary Team Members: Edison Welding Institute, Primes, MITs, BFTC, Universities</li> <li>Total Cost: \$11,105K</li> <li>Duration: 36 months</li> </ul>	<p><b>Objective</b></p> <ul style="list-style-type: none"> <li>Create materials joining outreach network for SMEs</li> <li>Validate assessment tools and methods for laser quality joining</li> <li>Disseminate technical knowledge to defense and commercial users</li> </ul>
<p><b>Approach</b></p> <ul style="list-style-type: none"> <li>Provide state-of-the-art processes and techniques to target population</li> <li>Enhance networks for training &amp; assistance: John's et al &amp; PrimeNet</li> <li>Coordinate with existing service provider networks &amp; supplier networks</li> <li>Led by state technology center with defense and non-defense partners</li> </ul>	<p><b>Impact</b></p> <ul style="list-style-type: none"> <li>Improves joining capabilities of aerospace, automotive, heavy manufacturing in midwest region, California and Connecticut</li> <li>Creates infrastructure for national training and technical assistance</li> <li>Revolutionizes materials joining processes—a \$50B economy</li> </ul>

## The Deployment of a National Infrastructure for Gear Metrology

Model: Critical Industry Technical Resource Services

<p><b>Data</b></p> <ul style="list-style-type: none"> <li>Defense Dual-Use Assistance Extension Program</li> <li>Primary Team Members: American Society of Mechanical Engineers, DOE-Y-12, NIST, Penn State</li> <li>Total Cost: \$7,908K</li> <li>Duration: 36 months</li> </ul>	<p><b>Objective</b></p> <ul style="list-style-type: none"> <li>Assist American industry in improving global competitiveness in the quality assurance of precision manufactured gears</li> </ul>
<p><b>Approach</b></p> <ul style="list-style-type: none"> <li>Facilitate collaboration within gear industry</li> <li>Conduct benchmarking studies and develop measurement capabilities</li> <li>Technical society manages industry-led cooperative program</li> </ul>	<p><b>Impact</b></p> <ul style="list-style-type: none"> <li>Traceable dimensional standards for gear quality with rapid turnaround and low cost</li> <li>Calibration services for all companies in gear industry</li> <li>National quality standards for \$15B industry</li> </ul>

### Improving Mfg Process in Small & Medium Sized MN Companies

<p><b>Model:</b> Team-Based Methodology for Problem Solving and Process Improvement</p>	
<p><b>Data</b></p> <ul style="list-style-type: none"> <li>Regional Technology Alliances Assistance Program</li> <li>Primary Team Members: St. Cloud State University, MTI, 3M, Technical Colleges</li> <li>Total Cost: \$5,872K</li> <li>Duration: 36 months</li> </ul>	<p><b>Objective</b></p> <ul style="list-style-type: none"> <li>Improve manufacturing operations of SMEs in central Minnesota</li> <li>Use structured process on-site to increase manufacturing efficiency, quality, and productivity</li> </ul>
<p><b>Approach</b></p> <ul style="list-style-type: none"> <li>Deploy teams of experts from client and tech sources</li> <li>Identify problems &amp; generate solutions from raw material to product shipment</li> <li>Involves user to identify problems &amp; generate solutions</li> <li>Define, train, implement improvements &amp; transfer responsibility to client</li> <li>Clients expected from UMMTC assessments</li> </ul>	<p><b>Impact</b></p> <ul style="list-style-type: none"> <li>Creates long term plant-wide benefits for Minnesota economy</li> <li>Provides increased productivity, better product quality, and global competitiveness</li> <li>A systems process for implementing effective manufacturing techniques</li> <li>Sends new engineers to new jobs with in-plant manufacturing engineering experience</li> </ul>

### Kansas Manufacturers Association: A Consortium for Defense Conversion

<p><b>Model:</b> Competitive Network Pursuing New Business</p>	
<p><b>Data</b></p> <ul style="list-style-type: none"> <li>Regional Technology Alliances Assistance Program</li> <li>Primary Team Members: Kansas Manufacturers Association, Mid-America MTC, Wichita State</li> <li>Total Cost: \$2,000K</li> <li>Duration: 36 months</li> </ul>	<p><b>Objective</b></p> <p>Provide cooperative methods for sub-tier SMEs in defense industry to convert from defense to commercial business</p>
<p><b>Approach</b></p> <ul style="list-style-type: none"> <li>Implement strategic business plans for consortium members</li> <li>Increase competitiveness and capability of consortium as a group by using electronic commerce, design, and engineering services, and quality certification</li> <li>Managed by KMA Board of Directors</li> </ul>	<p><b>Impact</b></p> <ul style="list-style-type: none"> <li>Preserves defense/aerospace capabilities of SMEs</li> <li>Sub-tier manufacturers leveraged into virtual enterprises (horizontal and vertical integration)</li> <li>Expands manufacturing base, maintains employment levels, creates new jobs</li> </ul>

### Maryland Healthcare Product Alliance

<p><b>Model:</b> Conversion of Advanced Defense Technologies</p>	
<p><b>Data</b></p> <ul style="list-style-type: none"> <li>Regional Technology Alliances Assistance Program</li> <li>Primary Team Members: MD Dept. of Econ &amp; Employment Development, SMDTC, SBCTC, APL, Westinghouse, Fairchild, IBM</li> <li>Total Cost: \$11,366K</li> <li>Duration: 36 months</li> </ul>	<p><b>Objective</b></p> <p>Transfer advanced defense technologies to create viable new healthcare products and businesses</p>
<p><b>Approach</b></p> <ul style="list-style-type: none"> <li>Create nonprofit corporation to facilitate healthcare product applications</li> <li>Services include outreach, market assessment, prototyping, intellectual property protection, &amp; venture analysis</li> <li>Partners with hospitals for product feedback</li> <li>Adapts successful Massachusetts model for deploying healthcare products</li> </ul>	<p><b>Impact</b></p> <ul style="list-style-type: none"> <li>Provides defense companies access to healthcare markets</li> <li>Retains high quality jobs at defense dependent companies</li> <li>Creates leading-edge healthcare companies in Maryland</li> </ul>

### Massachusetts Manufacturing Modernization Partnership

<p><b>Model:</b> State-led Cooperation Among Previously Competing Service Providers</p>	
<p><b>Data</b></p> <ul style="list-style-type: none"> <li>Defense Dual-Use Assistance Extension Program</li> <li>Primary Team Members: Massachusetts Exec Office of Econ Affairs, Bay State Skills Corp., Industrial Services Program, Univ. of Massachusetts</li> <li>Total Cost: \$29,642K</li> <li>Duration: 36 months</li> </ul>	<p><b>Objective</b></p> <ul style="list-style-type: none"> <li>Coordinate and supplement existing technology assistance service providers into a comprehensive state-wide system</li> <li>Strengthen existing industry</li> <li>Retain and upgrade jobs</li> </ul>
<p><b>Approach</b></p> <ul style="list-style-type: none"> <li>Establish 5 coordinated regional delivery centers with industry dominated boards</li> <li>Provide strong state oversight</li> <li>Builds on, and coordinates, existing business and technology services</li> </ul>	<p><b>Impact</b></p> <ul style="list-style-type: none"> <li>Assists 10,000 firms state-wide with focus on defense dependent industry sectors (e.g. plastics, electronics, metalworking)</li> <li>Creates centralized points of contact for industry access to assistance services</li> </ul>



## Minnesota Consortium for Defense Conversion

Model: Public Nonprofit Product Development/Marketing Network

<p><b>Data</b></p> <ul style="list-style-type: none"> <li>Defense Dual-Use Assistance Extension Program</li> <li>Primary Team Members: Minnesota Technology Inc.</li> <li>Total Cost: \$6,301K</li> <li>Duration: 36 months</li> </ul>	<p><b>Objective</b></p> <ul style="list-style-type: none"> <li>Diversify business base of defense subcontractors</li> <li>Improve communication for defense primes' subcontractors</li> <li>Improve quality practices of SMEs</li> </ul>
<p><b>Approach</b></p> <ul style="list-style-type: none"> <li>Assess members' core capabilities for new product development</li> <li>Establish electronic network and database of primes' needs and requirements</li> <li>Create information exchange between subcontractors</li> </ul>	<p><b>Impact</b></p> <ul style="list-style-type: none"> <li>Retains jobs by expanding business base</li> <li>Effective, cooperative commerce between defense primes and suppliers in Minnesota</li> <li>Enhance collective ability of consortium members</li> </ul>

## Recycling Technology Assistance Project

Model: State Extension Resource for Reuse and Waste Minimization

<p><b>Data</b></p> <ul style="list-style-type: none"> <li>Defense Dual-Use Assistance Extension Program</li> <li>Primary Team Members: Clean Washington Center, National Recycling Coalition, Northwest Policy Center</li> <li>Total Cost: \$10,521K</li> <li>Duration: 48 months</li> </ul>	<p><b>Objective</b></p> <ul style="list-style-type: none"> <li>Transform production practices to attain greater materials-use efficiency</li> <li>Reduce waste and increase materials reuse</li> <li>Develop new products</li> </ul>
<p><b>Approach</b></p> <ul style="list-style-type: none"> <li>Evaluate SME product development and use/reuse of materials</li> <li>Coordinate state-wide delivery system</li> <li>Managed by state with strong industry involvement</li> <li>Collect and disseminate information nationally</li> </ul>	<p><b>Impact</b></p> <ul style="list-style-type: none"> <li>Cost savings and product development for SMEs</li> <li>Clean-up and cost savings for military installations</li> <li>Increases demand for recycled commodities</li> <li>Establishes model for national replication</li> </ul>

## The New England Suppliers Institute

Model: Multi-State OEM/Supplier Quality Network

<p><b>Data</b></p> <ul style="list-style-type: none"> <li>Defense Dual-Use Assistance Extension Program</li> <li>Primary Team Members: Bay State Skills Corp. (Massachusetts), 5 State Partners, Industry Associations</li> <li>Total Cost: \$4,186K</li> <li>Duration: 36 months</li> </ul>	<p><b>Objective</b></p> <ul style="list-style-type: none"> <li>Establish industry-led New England consortium to help SMEs meet customer requirements</li> <li>Upgrade SME quality practices</li> <li>Strengthen competitiveness of SMEs</li> </ul>
<p><b>Approach</b></p> <ul style="list-style-type: none"> <li>Create relationships between OEMs and suppliers</li> <li>Harmonize OEM requirements</li> <li>Identify, coordinate and deliver technology and business assistance</li> <li>Managed by industry with support from state</li> </ul>	<p><b>Impact</b></p> <ul style="list-style-type: none"> <li>Improves competitiveness of defense related OEMs and suppliers in 6 New England states</li> <li>Diversifies business base of defense dependent subcontractors</li> <li>Establishes model for coordinating services across state boundaries</li> </ul>

## Smart Valley CommerceNet

Model: Regional, Supplier-specific, Communication Tool

<p><b>Data</b></p> <ul style="list-style-type: none"> <li>Regional Technology Alliances Assistance Program</li> <li>Primary Team Members: Enterprise Integration Technologies Corp., Stanford University, BARRNet/WestREN Corp.</li> <li>Total Cost: \$11,996K</li> <li>Duration: 36 months</li> </ul>	<p><b>Objective</b></p> <ul style="list-style-type: none"> <li>Deploy electronic infrastructure to modernize Silicon Valley's electronics, software, and information services to:             <ul style="list-style-type: none"> <li>Expedite procurements</li> <li>Reduce cost of goods</li> <li>Allow concurrent engineering</li> </ul> </li> </ul>
<p><b>Approach</b></p> <ul style="list-style-type: none"> <li>Deploy electronic networking technology to primes, OEM's and their suppliers</li> <li>Provide on-line capability for catalogs, product orders, competitive solicitations, and intercompany collaborative engineering</li> <li>Provide application and educational services</li> <li>Free to clients for 18 months</li> </ul>	<p><b>Impact</b></p> <ul style="list-style-type: none"> <li>Strengthens linkage between Silicon Valley businesses, high technology companies, and 1800 defense and commercial companies</li> <li>Diversifies defense dependent businesses and increases competitiveness</li> <li>Models nationally replicable pilot for electronic commerce and engineering data exchange</li> </ul>

## Xerox CAN Solar Powered Hydrogen Generation Deployment

**Model:** Integration of Previously Developed Federal Technology

<p><b>Data</b></p> <ul style="list-style-type: none"> <li>Regional Technology Alliances Assistance Program</li> <li>Primary Team Members: Clean Air Now, Xerox, United Technologies, SEA, Praxair, NREL</li> <li>Total Cost: \$2.515K</li> <li>Duration: 13 months</li> </ul>	<p><b>Objective</b></p> <ul style="list-style-type: none"> <li>Integrate federally sponsored technology for use in clean-air vehicles and fueling stations</li> <li>Deploy prototype vehicles in California</li> </ul>
<p><b>Approach</b></p> <ul style="list-style-type: none"> <li>Integrate existing and pre-commercial technologies to deploy hydrogen in fleet vehicles</li> <li>Use 50% ethanol methanolizer originally developed for submarines and satellites</li> <li>Partners provide key technology and/or other resources</li> </ul>	<p><b>Impact</b></p> <ul style="list-style-type: none"> <li>Provides method for other companies with fleet vehicles to convert to hydrogen power</li> <li>System meets or exceeds anticipated environmental regulations</li> <li>Develops new markets</li> <li>Transitions technology from Navy &amp; NASA sponsored R&amp;D</li> <li>Expedite nationwide deployment of hydrogen as transportation fuel</li> </ul>

## ALTERNATIVE DEPLOYMENT PILOT PROJECTS Evaluation Criteria

- Delivery Mechanisms
  - Effective Linkages for Project Activities and Target Populations
  - Multiple Techniques Available: Reports, Workshops, Classes, Hands-on Training
  - Intellectual Property Issues Were Nonexistent or Resolved
- Management Experience and Plans
  - Management Organization Was Efficient and Able to Control Funding, Personnel, and Technical Content
  - Critical Companies in the Target Population Had a Visible, Strong Role and Interacted with the Management Team
  - Project Manager Was Experienced in the Role and Had Authority for Project Success

## Technology Deployment Through Manufacturing Networks

**Model:** Manufacturing Assistance to Groups of Companies

<p><b>Data</b></p> <ul style="list-style-type: none"> <li>Defense Dual-Use Assistance Extension Program</li> <li>Primary Team Members: Winrock International, Metaworking Connection, Inc., Woodworks Inc.</li> <li>Total Cost: \$2,138K</li> <li>Duration: 12 months</li> </ul>	<p><b>Objective</b></p> <ul style="list-style-type: none"> <li>Evaluate manufacturing networks as an institutional structure to promote industrial competitiveness</li> <li>Demonstrate 2 networks' approaches to encourage member-manufacturers to adopt manufacturing technologies</li> <li>Evaluate implications of a demand-driven entrepreneurial approach to technology development</li> </ul>
<p><b>Approach</b></p> <ul style="list-style-type: none"> <li>Benchmarking member manufacturers to understand their strengths and weaknesses</li> <li>Provide in-plant technology demonstrations and assistance to member groups</li> <li>Integrate member companies vertically and horizontally for new product development</li> </ul>	<p><b>Impact</b></p> <ul style="list-style-type: none"> <li>Provides technology assistance to 1200 small manufacturers in Arkansas wood and metal industries</li> <li>Revitalizes wood and steel industries within Arkansas to increase sales and open new markets</li> <li>Demonstrates impact of multi-firm assistance approaches</li> </ul>

## ALTERNATIVE DEPLOYMENT PILOT PROJECTS Evaluation Criteria

- Target Population
  - Well Defined Group of Companies to Benefit from Project
  - Survey of Region or Sector Provides Data for Population
  - Members of Population Included on Team and Helped Define the Program Based on Actual Needs
- Defense Conversion, Dual-Use Impacts
  - Included Defense Primes and/or Suppliers
  - Utilized Engineering Expertise to Generate Commercial Markets
  - Assessed Technologies for Commercial Market Share
  - Reasonably Determinable and Realistic Estimates of Project Impacts
- Technology Sources
  - Relevant Existing Technical Sources for the Target Population and Project Objectives
  - Agreements Defined for Technology Access and People Available
  - Sources Are Strategically Located or Accessible to Target Population

**ALTERNATIVE DEPLOYMENT PILOT PROJECTS**  
Evaluation Criteria

TRP 1994

- Funding, Budget, and Cost Share
  - Project Cost Was Reasonable to Meet Objectives
  - Commitment for Cost Share Was Strong: Cash, Dedicated People, Companies, States
  - Plans Included Approaches Leading to Self-Sufficiency
- Accessibility of Services and Documentation
  - Detailed Approach to Provide Easy Access by Target Population
  - Cost Effective Means to Provide Services
  - Pilot Model Evaluation by 3rd Party for Effectiveness
  - Detailed Data and Documentation to be Sufficient for Replication
- Coordination and Elimination of Duplication
  - State and Regional Plans Do Not Conflict
  - Coordination of Activities and Services to Assure Non-Duplication
- Two Competitions this Year
  - Tightly Focused Technology Areas -- Spring
  - Development, Deployment, Manuf. Ed. Areas -- Summer
- Teams Were Better if Management Organization, Program Manager, and SME Roles Were Well Defined
- Project Concept/Plans Must Be Concise, Clear, Well Thought-Out, With Relevant Goals, and Reasonably Priced
- Direct Contact with TRP Team Provided Better Proposals
- Factfinding Trips By Evaluation Team Are Critical

**Final Attendance List  
for  
Oakland**

**C. Josh Abend**  
President  
SKUNKLAB/USA  
335 Bryant Street, Suite 210  
Palo Alto, CA 94031  
Phone: (415)617-3727  
FAX: 617-3799

**Dr. Charles E. Backus**  
Associate Dean for Industrial & Professional  
Development  
Arizona State University  
College of Engineering & Applied Sciences  
Tempe, AZ 85287-5506  
Phone: (602)965-2825  
FAX: 965-5815

**Janice D. Bennett**  
Assistant Director, OSP  
Arizona State University  
Office of Sponsored Projects  
Box 871603  
Tempe, AZ 85287-1603  
Phone: (602)965-8237  
FAX: 965-8013

**Meera Blattner**  
Professor  
University of California, Davis  
Applied Science  
P.O. Box 808, Dept of Applied Science, I-794  
Livermore, CA 94551  
Phone: (510)422-3503  
FAX: 422-8681

**John Boesel**  
V.P. for Programs  
CALSTART  
530 Water Street, Suite 541  
Oakland, CA 94607  
Phone: (510)452-5422  
FAX: 452-5424

**Claudia Bach**  
President  
Document Center  
1504 Industrial Way, Unit 9  
Belmont, CA 94002  
Phone: (415)591-7600  
FAX: 591-7617

**Dr. William L. Baker**  
Grants & Contracts Developer  
Utah Valley State College  
Development  
800 W. 1200 Street  
Orem, UT 84058-5999  
Phone: (801)222-8000x8414  
FAX: 226-5207

**Alison Bird**  
CTEP  
State of California  
DTSC/OPPTD  
P.O. Box 806, DTSC/OPPTD  
Sacramento, CA 95812-0806  
Phone: (916)445-2959  
FAX: 327-4494

**John Boesel**  
V.P. for Programs  
CALSTART  
3601 Empire Ave.  
Burbank, CA 91505  
Phone: (818)565-5600  
FAX: 565-5610

**Dr. Russell P. Boisjoly**  
Acting Dean, School of Business  
Fairfield University  
School of Business  
Donnarumma Hall, N. Benson Road  
Fairfield, CT 06430  
Phone: (203)254-4070  
FAX: 254-4105

**Royanne Boyer**  
Associate Dean  
Utah Valley State College, MATC  
Continuing Education  
800 West 1200 South  
Orem, UT 84058-5999  
Phone: (801)222-8000x565  
FAX: 374-5473

**William Bruno**  
Program Manager  
Utah Research Institute  
825 East 4800S.  
Salt Lake City, UT 84107  
Phone: (801)265-0940  
FAX: 263-1554

**Paul Chann**  
Procurement Analyst  
U.S. Small Business Administration  
Procurement Assistance  
71 Stevenson Street, 18th Floor  
San Francisco, CA 94105  
Phone: (415)244-2416  
FAX: 244-2440

**Jay Cooper**  
Instructor  
West Los Angeles College  
Center for Economic Development  
4800 Freshman Drive  
Culver City, CA 90230  
Phone: (310)204-1832  
FAX: 204-3732

**Dave Cranmer**  
Associate Director, Program Planning & Policy  
NIST / MEP  
Bldg. 224, Room B115  
Gaithersburg, MD 20899  
Phone: (301)975-3414  
FAX: 963-6556

**Mark E. Brown**  
Engineering Director  
Hughes Aircraft  
Transportation Communication & Control Systems  
Bldg. 676/DD345, P Box 3310  
Fullerton, CA 92634  
Phone: (714)441-9960  
FAX: 732-5377

**Jack Campbell**  
Program Manager  
U.S. Small Business Administration  
Procurement Assistance  
71 Stevenson Street, 18th Floor  
San Francisco, CA 94105  
Phone: (415)744-8711  
FAX: 744-6457

**Belle Cole**  
Special Assistant  
University of California  
Office of the President  
300 Lakeside Drive  
Oakland, CA 94612  
Phone: (310)475-6079  
FAX: 475-2020

**Jeanne Coe**  
Contracts Specialist, OSP  
Arizona State University  
Office of Sponsored Projects  
Box 871603  
Tempe, AZ 85287-1603  
Phone: (602)965-8013  
FAX: 965-8013

**Judi Dohn**  
Director, Business Development  
NISET  
4505 Maryland Pkwy  
Las Vegas, NV 89154-1046  
Phone: (702)896-9745  
FAX: 896-9743

Joel DuBovv  
Professor  
University of Utah  
Utah Research Institute  
104 EMRO  
Salt Lake City, UT 84112  
Phone: (801)581-6348  
FAX: 581-5440

Dean Eppley  
Business Planner  
Sacramento Air Logistics Center  
Plans & Programs  
3237 Peace Keeper Way, Suite 6  
McClellan AFB, CA 95652-1049  
Phone: (916)643-1281  
FAX: 643-3549

Mr. John R. Fenter  
Asst to the Dir, Mfg Tech  
U.S. Air Force  
Mfg Tech Directorate  
2977 P Street, Suite 6, Bldg. 653  
Wright Patterson AFB, OH 45433-7739  
Phone: (513)255-2232  
FAX: 476-7291

Louis L. Foltzer  
V.P. Sales - Western Region  
Westinghouse Airships, Inc.  
519 W. Taylor Street, Suite 369  
Santa Maria, CA 93454  
Phone: (805)928-9986  
FAX: 928-2986

Paul L. Garbarino  
Program Manager  
IBM  
9Y3  
150 Kettletown Rd., Mail Drop 321  
Southbury, CT 06488  
Phone: (203)262-5090  
FAX: 262-5755

Deborah Dumais  
Director, Market Development  
AEROJET  
Department 0132  
1940 Alabama Avenue  
Rancho Cordova, CA 95741-3530  
Phone: (916)351-8554  
FAX: 351-8660

Charles Estes  
Director - GMTEC  
Georgia Tech  
Economic Development Inst.  
223 O'Ke. Bldg.  
Atlanta, GA 30332  
Phone: (404)894-6106  
FAX: 853-9172

Matthew Filner  
Senior Program Associate  
Battelle Memorial Institute  
Public Technology Programs  
25000 Great Northern Corp. Center, Suite 260  
North Olmsted, OH 44070  
Phone: (216)734-0974  
FAX: 734-0686

Richard Fosse  
Director of Contract Education  
Fresno City College  
Training Institute  
390 W. Fir  
Clovis, CA 93611  
Phone: (209)323-4688  
FAX: 323-4811

Marshall Gartenlaub  
CACT Director  
Fullerton College  
Center for Applied Competitive Technology  
100 S. Anaheim Blvd., Suite 150  
Anaheim, CA 92805  
Phone: (714)563-0183  
FAX: 563-0189

**Dr. Harold Glick**  
Physicist  
Naval Warfare Assessment Cntr  
Measurement Sciences  
NWAC (Code MS-318), P.O. Box 5000  
Corona, CA 91718-5000  
Phone: (909)273-4755  
FAX: 273-4102/4279

**Julian A. Gravino**  
President & CEO  
Edison Industrial Systems Ctr.  
1700 N. Westwood, Suite 2286  
Toledo, OH 43607-1207  
Phone: (419)531-8610  
FAX: 531-8465

**Rod D. Hanks**  
V.P. Human Resources  
HR Textron, Inc.  
Human Resources  
25200 W. Rye Canyon Road  
Valencia, CA 91355  
Phone: (805)253-5214  
FAX: 259-8090

**Steve Harari**  
President  
Enterprise Integration Technologies  
459 Hamilton Ave.  
Palo Alto, CA 94301  
Phone: (415)617-8000  
FAX: 617-8019

**Paul Helliker**  
Principal Engineer  
CALSTART  
3601 Empire Avenue  
Burbank, CA 91505  
Phone: (818)565-5600  
FAX: 565-5610

**Greg Goin**  
Program Manager  
Thiokol Corporation  
Human Development  
9160 N. Highway 83, P.O. Box 689, MS CTC  
Corinne, UT 84307  
Phone: (801)863-5536  
FAX: 863-5510

**Ed Grysiewicz**  
President  
Econologic  
170 Forset Lane  
Menco Park, CA 94025  
Phone: (415)324-8606  
FAX: 324-8681

**Dwayne Hansen**  
Director, Mfg Initiatives  
Ben Franklin Technology Center  
125 Goodman Drive  
Bethlehem, PA 18015  
Phone: (610)758-5238  
FAX: 861-5918

**Jeff Haun**  
TRP Representative  
TRP Office  
ARPA / TRP  
3701 N. Fairfax Drive  
Arlington, VA 22203-1714  
Phone: (703)696-8945  
FAX: 696-8956

**Jerry Hight**  
Corporate Relations Specialist  
California State University, Chico  
Office of Sponsored Projects  
First & Normal Streets  
Chico, CA 95929-0870  
Phone: (916)898-5700  
FAX: 898-6804



Dr. Nabil Ibrahim  
Associate Dean, Graduate Studies  
San Jose State University  
General Engineering  
One Washington Square  
San Jose, CA 95192-0205  
Phone: (408)924-3968  
FAX: 924-3818

Michael D. Jacobson  
President  
QUOIN, Inc.  
901 Heritage Drive, Suite 205  
Ridgecrest, CA 93555  
Phone: (619)446-2004  
FAX: 446-4036

Murray Johanssen  
Instructor  
West Los Angeles College  
Center for Economic Development  
4800 Freshman Drive  
Culver City, CA 90230  
Phone: (310)204-1832  
FAX: 204-3732

Ehsan Khan  
DOE  
1000 Independence Avenue  
Washington, DC 20585  
Phone: (202)586-4785  
FAX: 586-7719

Ron LaPolla  
Marketing Management  
Whittaker Electronics Systems  
Marketing  
1785 Voyager Avenue  
Simi Valley, CA 93063  
Phone: (805)584-8200x630  
FAX: 526-1372

T.R. Jacks  
Program Manager  
Indiana University  
Engineering & Technology  
714 N. Senate Ave, Suite 100  
Indianapolis, IN 46202-3112  
Phone: (317)226-5641  
FAX: 226-5615

Cary Jenson  
Secretary  
Lawrence Livermore National Lab  
Energy, Mfg. & transportation Technologies  
7000 East Ave., P.O. Box 808, L-644  
Livermore, CA 94550  
Phone: (510)424-4372  
FAX: 423-7914

Thomas A. Kane  
Manager  
Gencorp Aerojet  
New Business Development  
1100 West Hollyvale St., P.O. Box 296  
Azusa, CA 91702  
Phone: (818)812-2970  
FAX: 812-2083

Elizabeth J. Kuutila  
Director, Office of Technology Commercialization  
Iowa State University  
Center for Advanced Tech Development  
153C ASC II  
Ames, IA 50011  
Phone: (515)294-2067  
FAX: 294-9519

Ernie Leach  
Deputy Chancellor  
CA Community Colleges Chancellor's Office  
1107 9th Street  
Sacramento, CA 95814  
Phone: (916)445-5226  
FAX: 323-9478

**Ferdinand F. Leimruehler**  
Director  
Purdue University  
Technical Assistance Program  
Civil Engineering Bldg., Room 6-175  
West Lafayette, IN 47907-1284  
Phone: (317)494-9188  
FAX: 494-9187

**Pat McCulloch**  
Consultant  
Cerritos Community College  
Technology Division  
11110 Alondra Blvd  
Nowalk, CA 90650  
Phone: (310)860-2451x2927  
FAX: 467-5005

**Mr. Don Nakamoto**  
Research Director  
International Assoc. of Machinists & Aerospace  
Workers  
2600 W. Victory Boulevard  
Burbank, CA 91505  
Phone: (818)845-7401  
FAX: 845-2642

**Fred Nichols**  
Vice President  
National Coalition for Advanced Mfg  
1331 Pennsylvania Ave., NW, Suite 1410 N  
Washington, DC 20004  
Phone: (202)662-8960  
FAX: 637-3182

**Owen D. Osborne**  
Associate Director  
Oregon State Univ. Extension Service  
Extension Admin.  
Ballard Hall 101  
Corvallis, OR 97331-3606  
Phone: (503)737-2713  
FAX: 737-4423

**Niall Mateer**  
Coordinator, Science Issues  
University of CA  
V-Provost research  
300 Lakeside Drive, 18th Floor  
Oakland, CA 94612-3550  
Phone: (510)987-9478  
FAX: 987-9447

**Dr. Unny Menon**  
Professor  
CAL Poly S.U.  
Industrial & Mfg Engr  
Ind. & Mfg Engr. Dept.  
San Luis Obispo, CA 93407  
Phone: (803)756-1180  
FAX: 756-5439

**Phil Nanzetta**  
NIST / MEP  
Bldg. 224, Room B115  
Gaithersburg, MD 20899  
Phone: (301)975-3414  
FAX: 963-6556

**Michael Odza**  
Publisher  
Technology Access Report  
16 Digital Drive, Suite 250  
Novato, CA 94949-5760  
Phone: (415)883-7600  
FAX: 883-6421

**Robert J. Owens**  
Tech Transfer Specialist  
Lawrence Livermore Nat'l Lab  
Tech Transfer Program Office  
P.O. Box 808, L-795  
Livermore, CA 94551  
Phone: (510)423-9724  
FAX: 423-8988

**John C. Peak**

**Director**

**Univ. of CA Mfg Extension Program**

**15373 Innovation Drive, Suite 105**

**San Diego, CA 92128**

**Phone: (619)451-7690**

**FAX: 485-7390**

**Randy W. Peebles**

**Instructional Dean, Tech**

**Cerritos Community College**

**Technology Division**

**11110 Alondra Blvd**

**Nowalk, CA 90650**

**Phone: (310)860-2451x2912**

**FAX: 467-5005**

**Gerald M. Peeler**

**Ass't City Manager**

**City Of Livermore**

**1052 S. Livermore Ave.**

**Livermore, CA 94550??**

**Phone: (510)373-5140**

**FAX: 373-5135**

**Frank Penaranda**

**Member, Technology Deployment Panel**

**NASA**

**Office of Advanced Concepts & Technology**

**Code: C4**

**Washington, DC 20546**

**Phone: (202)358-1500**

**FAX: 358-3938**

**Gary Phelps**

**Project Writer**

**Mountainland Applied Tech Center**

**Utah Valley State College**

**800 West 1200 South**

**Orem, UT 84058-5999**

**Phone: (801)222-8000**

**FAX: 374-5473**

**Dr. Jay D. Pinson**

**Dean, College of Engineering**

**San Jose State University**

**College of Engineering**

**One Washington Square**

**San Jose, CA 95192-0080**

**Phone: (408)924-3800**

**FAX: 924-3818**

**Terry Price**

**Dept Chair**

**Cerritos Community College**

**Technology Division**

**11110 Alondra Blvd**

**Nowalk, CA 90650**

**Phone: (310)860-2451x2927**

**FAX: 467-5005**

**Mr. Dan Quick**

**Director**

**University of Northern Iowa**

**Metal Casting Center**

**ITC 76**

**Cedar Falls, IA 50614-0178**

**Phone: (319)273-6894**

**FAX: 273-5959**

**Cindy Radvanyi**

**Business Planner**

**Sacramento Air Logistics Center**

**Plans & Programs**

**3237 Peace Keeper Way, Suite 6**

**McClellan AFB, CA 95652-1049**

**Phone: (916)643-1281**

**FAX: 643-3549**

**Leo Reddy**

**President**

**National Coalition for Advanced Mfg**

**1331 Pennsylvania Ave., NW, Suite 1410 N**

**Washington, DC 20004**

**Phone: (202)662-8960**

**FAX: 637-3182**

**Stephen S. Reed**  
Director  
Weber State University  
Technology Assistance Center  
Ogden, UT 84408-1801  
Phone: (801)626-6309  
FAX: 626-6987

**Twila Fisher Reighley**  
Manager  
Arizona State University  
Office of Sponsored Projects  
Box 871603  
Tempe, AZ 85287-1603  
Phone: (602)965-0273  
FAX: 965-8013

**Dr. Clifford E. Rhodes, Jr.**  
Deputy Division Leader  
Lawrence Livermore Nat'l Lab  
Computational Physics, L-298  
P.O. Box 808, L-298  
Livermore, CA 94551  
Phone: (510)422-4524  
FAX: 422-2051

**Dr. Wayne Sawka**  
Manager, Technology Assessment  
AEROJET  
Department 0134  
1940 Alabama Avenue  
Rancho Cordova, CA 95741-3530  
Phone: (916)355-5763  
FAX: 351-8660

**Tom Scheffelin**  
Waste Management Engineer  
State of California  
DTSC/OPPTD  
P.O. Box 806, DTSC/OPPTD  
Sacramento, CA 95812-0806  
Phone: (916)445-2959  
FAX: 327-4494

**Alan Seamons**  
Manager  
Thiokol Corporation  
Strategic Operation Human Development  
9160 N. Highway 83, P.O. Box 689, MS CTC  
Corinne, UT 84307  
Phone: (801)863-8680  
FAX: 863-6121

**Tasos Sioukas**  
Instructor  
West Los Angeles College  
Center for Economic Development  
4800 Freshman Drive  
Culver City, CA 90230  
Phone: (310)204-1832  
FAX: 204-2

**Marko Slusarczyk**  
Director of Business Development  
Silicon Video Corporation  
Marketing  
10460 Bubb Road  
Cupertino, CA 95014  
Phone: (408)257-8500  
FAX: 257-4360

**David K. Sorensen**  
Executive Director  
West CAMP  
1025 Riverbreeze Drive, Suite 200  
Orem, UT 84050  
Phone: (801)378-3254  
FAX: 378-7575

**Dr. Charles A. Stamps**  
Dean of Arts, Business & Communications  
Pueblo Community College  
900 West Orman Avenue  
Pueblo, CO 81004  
Phone: (719)549-3253  
FAX: 544-1179

Tom Starke  
Member, Technology Deployment Panel  
DOE  
Office of Defense Programs  
1000 Independence Ave. (DP4.1)  
Washington, DC 20585  
Phone: (202)586-5880  
FAX: 586-1057

Marilyn Sweet  
Project Director  
West Los Angeles College  
Center for Economic Development  
4800 Freshman Drive  
Culver City, CA 90230  
Phone: (310)204-1832  
FAX: 204-3732

Steve Trent  
Project Engineer  
U.S. Air Force  
Mfg Tech Directorate  
2977 P St., Suite 6, WL/MTI Bldg. 653  
Wright-Patterson AFB, OH 45433-7739  
Phone: (513)255-7371  
FAX: 476-4420

Richard J. Wasley  
Engineer  
Lawrence Livermore National Lab  
Energy, Mfg & Transportation Technologies  
7000 East Ave., P.O. Box 808, L-644  
Livermore, CA 94550  
Phone: (510)424-4372  
FAX: 423-7914

Steven Weiss  
Mechanical Engineer  
Electus Technology, Inc.  
1260 E. Victoria Ave.  
San Bernardino, CA 92408  
Phone: (909)799-8358  
FAX: 799-8348

Sara Steinhoffer  
Research Policy Analyst  
Univ. of San Diego  
Federal Research Policy  
Department 0939  
LaJolla, CA 92093-0939  
Phone: (619)534-8241  
FAX: 534-6404

George Taylor  
NIST / MEP  
Bldg. 224, Room B115  
Gaithersburg, MD 20899  
Phone: (301)975-3414  
FAX: 963-6556

Michael Ward  
Dean  
California State University  
College of Engr., Computer Sci., Tech  
Chico, CA 95929-0003  
Phone: (916)898-5963  
FAX: 898-4070

Alesa Watson  
Project Scheduler  
Electus Technology, Inc.  
1260 E. Victoria Ave.  
San Bernardino, CA 92408  
Phone: (909)799-8305  
FAX: 799-8348

Mark S. Wiesel  
Manager, Program Controls  
HR Textron, Inc.  
Finance  
25200 W. Rye Canyon Road  
Valencia, CA 91355  
Phone: (805)253-5309  
FAX: 259-8090

**Ron Williams**  
**Gold Strike Director**  
**CA Trade & Commerce Agency**  
**Office of Strategic Technology**  
**200 E. Del Mar, Suite 204**  
**Pasadena, CA 91105**  
**Phone: (818)568-9437**  
**FAX: 568-9962**

**Linda Wood**  
**NIST / MEP**  
**Bldg. 224, Room B115**  
**Gaithersburg, MD 20899**  
**Phone: (301)975-3414**  
**FAX: 963-6556**

**Mr. Bernard G. Zuzo**  
**Senior Associate**  
**American Technology Initiative**  
**535 Middlefield Road, Suite 180**  
**Menlo Park, CA 94025**  
**Phone: (415)325-5353**  
**FAX: 329-0320**

**Final Attendance List  
for  
Atlanta**

Soni Abe  
University of Cincinnati  
Director, Manufacturing Research Center  
College of Engineering  
500 L Rhodes Hall  
Cincinnati, OH 45221-0012  
Phone: (513)556-2709  
FAX: 556-3390

Dr. Emmanuel I. Agba  
Mississippi State University  
Asst. Professor of Engr.  
Mechanical Engineering  
P.O. Box Drawer ME  
Mississippi State, MS 39762  
Phone: (601)325-7316  
FAX: 325-8573

Carol Aton  
Georgia Tech  
Senior Research Associate  
Economic Development Institute  
O'Keefe Bldg., Room 216  
Atlanta, GA 30332-0800  
Phone: (404)853-0468  
FAX: 853-9172

Pantulu Avasarala  
University of Cincinnati  
Graduate Assistant  
Mechanical Engineer  
500 L Rhodes Hall  
Cincinnati, OH 45221-0012  
Phone: (513)556-7453  
FAX: 556-3390

Jim Babcock  
Georgia Tech  
Principal Research Scientist  
College of Computing  
801 Atlantic  
Atlanta, GA 30332-0280  
Phone: (404)894-9106  
FAX: 853-9378

Ashraf Badir  
Clark Atlanta University  
Assistant Professor  
Physics / Engineering  
HIPAC Center  
Atlanta, GA 30314  
Phone: (404)880-6900  
FAX: 880-6880

David S. Barley, Jr.  
Alabama Department of Economic & Community  
Affairs  
Tech Transfer Representative  
Science, Technology & Energy Division  
401 Adams Ave., P.O. Box 5690  
Montgomery, AL 36103-5690  
Phone: (205)242-5285  
FAX: 242-0552

Josh Batchelder  
Advanced Driving Simulators (ADS)  
Principal  
Team Coordinator, Marketing & Personnel  
4360 Chamblee Dunwoody Road, Suite 400  
Atlanta, GA 30341  
Phone: (404)458-5525  
FAX: 455-1850

Stacey L. Bedgood  
Concurrent Technologies Corporation  
Technology Assessment Engineer  
Process Technology  
1450 Scalp Avenue  
Johnstown, PA 15904  
Phone: (814)269-2875  
FAX: 269-2799

Mark Bensen  
Kenan Institute  
Associate Director  
NCSU  
Box 7006  
Raleigh, NC 27695  
Phone: (919)515-5118  
FAX: 515-5831



**Dr. Bkarat B. Bhalla**  
Fairfield University  
Director, CIMS  
School of Business  
North Benson Road  
Fairfield, CT 06430-7524  
Phone: (203)254-4120  
FAX: 254-4105

**Jim Brooks**  
Texas Instruments  
Contracts/Marketing  
Research  
13588 N. Central Expwy., MS 105  
Dallas, TX 75243  
Phone: (214)995-2318  
FAX: 995-2006

**Dr. James O. Bryant, Jr.**  
Auburn University  
Associate Dean for Extension  
Engineering Extension Service  
107 Ramsey Hall  
Auburn University, AL 36849  
Phone: (205)844-4370  
FAX: 844-5715

**Lee Buchannan**  
ARPA  
3701 N. Fairfax Avenue  
Arlington, VA 22203-1744  
Phone: (703)696-2282  
FAX:

**Edward T. Burns**  
Indiana Business Modernization & Tech Corp.  
Vice President  
One North Capitol Ave., Suite 925  
Indianapolis, IN 46208  
Phone: (317)635-3058  
FAX: 231-7095

**Mr. J. Brice Bible**  
University of Tennessee Space Institute  
Assistant Director  
CSTAR  
MS 27, UTSI Research Park  
Tullahoma, TN 37388  
Phone: (615)455-7275  
FAX: 455-6167

**Alfred E. Brown**  
Knowledge Express Data Systems  
CEO/President  
900 West Valley Road, Suite 401  
Wayne, PA 19087  
Phone: (610)293-9712  
FAX: 687-2704

**D.R. Buchanan**  
North Carolina State University  
Associate Dean  
College of Textiles  
Box 8301  
Raleigh, NC 27695-8301  
Phone: (919)515-6649  
FAX: 515-3057

**Henry B. Burdg**  
Auburn University  
Director  
College of Business  
College of Business, Suite 147  
Auburn University, AL 36849  
Phone: (205)844-4659  
FAX: 844-5989

**J.C. Campbell**  
Georgia Tech  
Associate Director  
Mfg. Research Cntr  
813 Ferst Drive, Mail Code 0560  
Atlanta, GA 30332-0560  
Phone: (404)853-9455  
FAX: 853-0957

Randolph M. Case  
Information Technology & Telecommunication Lab  
Lab Director  
347 Ferst Drive  
Atlanta, GA 30332  
Phone: (404)894-3456  
FAX: 894-9081

Lynne U. Chronister  
Mississippi State University  
Director, Sponsored Programs Administration  
Office of Sponsored Programs  
P.O. Box 6156, 305 Bowen Hall  
Mississippi State, MS 39762  
Phone: (601)325-7404  
FAX: 325-3803

Dr. Howard E. Clark  
American Society of Mechanical Engineers  
Director, Research  
Research  
1828 L St., NW  
Washington, DC 20036  
Phone: (202)785-3756  
FAX: 429-9417

James W. Cofer  
Georgia Tech Research Institute  
Director, Advanced Concepts Office  
7220 Richardson Road  
Smyrna, GA 30080  
Phone: (404)528-7010  
FAX: 528-7019

Robert E. Davis  
IBM Corp.  
Advisory Engineer/Scientist  
1508 Route 52  
Hopewell Junction, NY 12524  
Phone: (914)894-2388  
FAX: 892-6256

David L. Day  
Alabama Small Business Development Consortium  
Director, Technology Program  
1717 11th Ave. South, Suite 419  
Birmingham, AL 35294  
Phone: (205)934-7260  
FAX: 934-7645

Tony Dickens  
West Virginia Development Office  
State Liason for Industrial Modernization  
Business & Industrial Development  
Bld. 6, Room B-517, State Capitol Complex  
Charleston, WV 25305-0311  
Phone: (304)558-3083  
FAX: 558-0449

David G. Dickson  
VA Department of Economic Development  
Director, Community & Business Services  
1021 E. Cary Street, P.O. Box 798  
Richmond, VA 23206-0798  
Phone: (804)371-8215  
FAX: 371-8111

Ralph Dratch  
Long Island Research Institute  
Manager  
Contract R&D  
100 N. Country Road  
Setauket, NY 11733  
Phone: (516)689-6300  
FAX: 751-8678

Andrew Dugenske  
Georgia Tech  
Associate Director for Technology - Acting  
MARC  
813 Ferst Drive  
Atlanta, GA 30332-0560  
Phone: (404)894-9161  
FAX: 853-0957

**Dr. J. Barry Duvall**  
East Carolina University  
Professor  
Industrial Technology  
105 Flanagan Hall  
Greenville, NC 27858-4353  
Phone: (919)757-6704  
FAX: 757-4250

**Dr. Imeh D. Ebong**  
University of Rhode Island  
Director, Research Development  
The Research Office  
70 Lower College Road, University of Rhode Island  
Kingston, RI 02881-0811  
Phone: (401)792-5971  
FAX: 792-9089

**Virgil Elam**  
Mississippi State University  
Manager, National Institute for Tech Training  
Division of Continuing Education  
P.O. Box 5247  
Mississippi State, MS 39762  
Phone: (601)325-3619  
FAX: 325-8666

**Leslie Cummings Elam**  
Mississippi State  
Consultant  
Continuing Education  
P.O. Drawer 6338  
Mississippi State, MS 39762  
Phone: (601)323-8843  
FAX: 323-8843

**Charles Estes**  
Georgia Tech  
Director, GMTEC  
Economic Development Institute  
223 O'Keefe Building  
Atlanta, GA 30332  
Phone: (404)894-6106  
FAX: 853-9172

**Elma Ettman**  
Elma Ettman  
Consultant  
c/o Advanced Driving Simulators  
4360 Chamblee Dunwoody Road, Suite 400  
Atlanta, GA 30341  
Phone: (706)838-4727  
FAX: 838-4201

**Sandra Ewerett**  
Lorain County Community College  
Technical Projects & Training Manager  
Advanced Technologies Center  
1005 N. Abbe Road  
Elyria, OH 44035  
Phone: 1-800-995-5222x7032  
FAX: 366-4105

**Mary Fant**  
NC Department of Labor  
Policy Analyst/Advisor  
Commissioner's Office  
4 West Edenton Street  
Raleigh, NC 27601  
Phone: (919)????  
FAX: 733-6197

**Kathleen Faulkner**  
Connecticut Department of Economic Development  
Program Manager  
Business & Regional Service Division  
865 Brook Street  
Rocky Hill, CT 06067-3405  
Phone: (203)258-4283  
FAX: 721-7650

**John R. Fenter**  
USAF WL/MT  
Asst. to the Director, Mfg. Tech  
Mfg. Technology Directorate  
Bldg. 653, 2977 P Street, Suite 6  
Wright-Patterson AFB, OH 45433-7739  
Phone: (513)255-2232  
FAX: 476-7291

Janet Franz  
Vermont EPCOR  
Project Coordinator  
Cook Bldg., University of Vermont  
Burlington, VT 05405  
Phone: (802)656-7969  
FAX: 656-2950

Traci B. Frey  
The New York Public Library  
Associate Manager for Government Grants  
Government Affairs & Programs  
Fifth Avenue & 42nd Street  
New York, NY 10018  
Phone: (212)930-0692  
FAX: 391-2503

Christopher Fuller  
Pratt & Whitney / GESP  
Proposal Specialist  
Program Service  
P.O. Box 109600, M/S 702-90  
West Palm Beach, FL 33410-9600  
Phone: (407)796-7119  
FAX: 796-7381

Walter L. Gilflen  
Brevard Community College  
Associate V.P. for Development  
Development Office  
1519 Clearlake Road  
Cocoa, FL 32922  
Phone: (407)632-1111x4540  
FAX: 633-4565

Bill Griffie  
Iowa Plastic Technology Center  
Consultant  
242 Guchrist, University of Northern Iowa  
Cedar Falls, IA 50614-0029  
Phone: (319)273-6920  
FAX: 273-6494

Dr. Thomas Frey  
Lorain County Community College  
Technical Specialist  
Nord Advanced Technologies Center  
1005 N. Abbie Road  
Elyria, OH 44035  
Phone: 1-800-995-5222x7019  
FAX: 366-4105

Stan Lee Fulcher  
Louisiana Dept. of Economic Development  
Economic Development Research Supervisor  
Office of Policy & Research  
P.O. Box 94185  
Baton Rouge, LA 70804-9185  
Phone: (504)342-4315  
FAX: 342-5389

Dr. George W. Garrison  
University of Tennessee Space Institute  
Executive Director  
CSTAR  
MS 27, UTSI Research Park  
Tullahoma, TN 37388  
Phone: (615)455-9294  
FAX: 455-6167

Michael Grant  
Southwest Research Institute  
6220 Culebra, P.O. Drawer 28510  
San Antonio, TX 73228-0510  
Phone: (210)522-5983  
FAX: 522-5499

Debra Haley  
NIST / MEP  
Bldg. 224, Room B115  
Gaithersburg, MD 20899  
Phone: (301)975-3414  
FAX:

Audrey D. Hallett  
Sprint Communications Co.  
Sr. Contract Administration  
Government Contract Administration  
13221 Woodland Park Road, MS VAHRNA0608  
Herndon, VA 22071  
Phone: (703)904-2093  
FAX: 904-2069

George M. Happ  
Vermont EPSCOR  
Project Director  
Cook Bldg., University of Vermont  
Burlington, VT 5405  
Phone: (802)656-0456  
FAX: 656-8831

Volker Hartkopf  
Carnegie Mellon University  
Director  
Center for Building Performance and Diagnostics  
5000 Forbes Avenue  
Pittsburgh, PA 15213  
Phone: (412)268-2350  
FAX: 268-6129

Jeff Haun  
TRP Office  
TRP Representative  
ARPA/TRP  
3701 N. Fairfax Drive  
Arlington, VA 22203-1714  
Phone: (703)696-8945  
FAX: 696-8956

Dr. Scott C. Helzer  
University of Northern Iowa  
Metal Casting Center  
ITC 76  
Cedar Falls, IA 50614-0178  
Phone: (319)273-6894  
FAX: 273-5959

Dwayne Hansen  
Ben Franklin Tech Center  
Director, Mfg. Initiatives  
125 Goodman Drive  
Bethlehem, PA 18015  
Phone: (215)758-5238  
FAX: 861-5918

Andrew J. Harris, Jr.  
Georgia Institute of Technology  
Director  
State Relations  
177 North Avenue, Wardlaw Bldg.  
Atlanta, GA 30332-0392  
Phone: (404)894-1238  
FAX: 853-9187

Dr. Kenneth E. Harwell  
University of Alabama in Huntsville  
V.P. for Research & Associate Provost  
UAH  
Research Institute, Room M-17  
Huntsville, AL 35899  
Phone: (205)895-6100  
FAX: 895-6783

Philip Hayes  
U.S. Department of Energy  
Energy Cons. Specialist  
1000 Independence Ave., SW  
Washington, DC 20585  
Phone: (202)586-4814  
FAX: 586-1605

Ronald L. Henderson  
U.S. Dept. of Energy, Atlanta Support Office  
Director, Grants Management Division  
730 Peachtree Street, N.E., Suite 876  
Atlanta, GA 30308  
Phone: (404)347-7139  
FAX: 347-3098

Richard J. Higgins  
Georgia Tech  
Director, Microelectronics Research Ctr.  
791 Atlantic Drive  
Atlanta, GA 30332-0269  
Phone: (404)853-9400  
FAX: 853-9410

Jackie Hines  
Sawtek, Inc.  
R&D Engineer  
R&D  
P.O. Box 609501  
Orlando, FL 32850-9501  
Phone: (407)886-8860  
FAX: 886-7061

Walt Holifield  
Mississippi State University  
Research Engineer  
Aerospace  
Drawer A  
Mississippi State, MS 39762  
Phone: (601)325-3274  
FAX: 325-3864

Ed Hunter  
Ohio Advanced Technology Center  
Services Manager  
3155 Research Blvd., Suite 201  
Dayton, OH 45420-4006  
Phone: (513)253-0217  
FAX: 253-7238

Rod Ice  
Neely Nuclear Research Center  
Principal Research Scientist  
Georgia Tech, 900 Atlantic Drive  
Atlanta, GA 30332-0425  
Phone: (404)894-3621  
FAX: 853-9325

Dave Hillis  
East Carolina University  
Assistant Director  
Industrial Technology  
105 Flanagan Hall  
Greenville, NC 27838-4353  
Phone: (919)757-6704  
FAX: 757-4250

Brian A. Hinman  
Westinghouse Savannah River Company  
Proposal Specialist  
Business Development Department  
Bldg. 773-41A  
Aiken, SC 29808  
Phone: (803)725-8857  
FAX: 725-4553

Clement Howton  
Calhoun Community College  
Assistant Director of Development  
Trade & Economic Development  
P.O. Box 2216, Highway 31 North  
Decatur, AL 35609-2216  
Phone: (205)306-2581  
FAX: 306-2877

G. Duane Hutchison  
Georgia Institute of Technology  
Associate Director  
OCA  
Centennial Research Bldg., Rm 258  
Atlanta, GA 30332-0420  
Phone: (404)894-4819  
FAX: 894-3120

Luciano Iorizzo  
U.S. Army Armor School  
Technical Advisor  
Distributed Training Division  
Attn: ATS - DT, Bldg. 2368  
Fort Knox, KY 40121  
Phone: (502)624-4191  
FAX: 624-3206

John J. Jarvis  
Georgia Tech  
Professor & Director  
Industrial Research Lab  
School of ISYE  
Atlanta, GA 30332-0205  
Phone: (404)894-2303  
FAX: 894-2301

Shelby Jean  
Great Lakes Composites Consortium  
Business Development & Planning  
8400 LakeView Pkwy., Suite 800  
Kenosha, WI 53142  
Phone: (414)947-7471  
FAX: 947-8919

Richard Johnson  
Northwestern University  
Associate Director  
1801 Maple Avenue  
Evanston, IL 60201-3135  
Phone: (708)491-4794  
FAX: 491-7105

Brian Johnson  
Florida Small Business Development Center  
Information Research Specialist  
19 West Garden Street, Suite 300  
Pensacola, FL 32501  
Phone: (904)444-2060  
FAX: 444-2070

Brent Kaylor  
Booz Allen & Hamilton  
Associate  
TIP  
4001 N. Fairfax Drive, Suite 650  
Arlington, VA 22203  
Phone: (703)528-8080  
FAX: 525-3754

Ehsan Khan  
DOE  
2326 Darius Lane  
Herndon, VA 22071  
Phone: (703)471-1821  
FAX: 471-7719

Rick Korchak  
NIST / MEP  
Bldg. 224, Room B115  
Gaithersburg, MD 20899  
Phone: (301)975-3414  
FAX:

Ramesh Krishnaiyer  
STAC, NASA  
Associate Director  
1515 W. Commercial Blvd.  
Ft. Lauderdale, FL 33309  
Phone: (305)351-4104  
FAX: 351-4105

Ann Krone  
Sprint  
Government Cost Analyst  
Government System Division  
8330 Ward Parkway  
Kansas City, MO 64114  
Phone: (816)854-2339  
FAX: 854-2302

Matthew La Vigne  
Technological Research and Development Authority  
Contracts Administrator  
6750 South Highway U.S. 1  
Titusville, FL 32780  
Phone: (407)269-6330  
FAX: 269-6346

Stuart G. Lang  
St. Norbert College  
Executive Director  
Institutional Advancement  
100 Grant Street, Main Hall  
De Pere, WI 54115  
Phone: (414)337-3955  
FAX: 337-4008

John Lemke  
Lemke & Associates  
President  
P.O. Box 1232  
Roswell, GA 30075  
Phone: (404)552-7990  
FAX:

Sally Little  
NASA  
Manager, Technology Reinvestment  
MSFC  
Code PA01  
Marshall Space Flight Center, AL 35812  
Phone: (205)544-4266  
FAX: 544-4810

Robert G. Loewy  
Georgia Tech  
Professor & Director Aerospace Engineer  
Aerospace  
Montgomery - Knight 313  
Atlanta, AL  
Phone: (404)894-3004  
FAX: 894-2760

Dallas R. Martin  
NREL  
Manager, Tech Transfer Office  
Technology Transfer Office  
1617 Cole Blvd.  
Golden, CO 80401  
Phone: (303)231-7005  
FAX: 231-1997

Dr. Arvid G. Larson  
Walcraft & Associates  
Chief Scientist  
635 Slaters Lane, Suite 400  
Alexandria, VA 22314  
Phone: (703)684-5588  
FAX: 548-2881

Terry L. Lindsey  
Engineered Fabrics Corporation  
Vice President  
Marketing  
669 Goodyear Street  
Buckman, GA 30125  
Phone: (404)684-7855x4505  
FAX: 684-2438

Robert G. Loewenthal  
EG&G Mechanical Components Group  
Program Manager R&D  
Research & Development  
50 Sharpe Drive  
Cranston, RI 02920  
Phone: (401)463-5270  
FAX: 463-6820

Dr. Kathryn V. Logan  
Georgia Institute of Technology  
Principal Research Engineer  
Office of Interdisciplinary Programs  
Room 283, Centennial Research Bldg.  
Atlanta, GA 30332-0130  
Phone: (404)894-6902  
FAX: 894-7339

Aditya Mathur  
Purdue University  
Professor  
Computer Science  
1398 Dept. of Computer Science  
W. Lafayette, IN 47907-1398  
Phone: (317)494-7822  
FAX: 494-0739



**Paul Mazzuca, Jr.**  
M/A - COM, Inc.  
Technical Advisor  
309 Yorkum Pkwy.  
Alexandria, VA 22304-3907  
Phone: (703)751-0005  
FAX: 823-1808

**Leon McGinnis**  
Georgia Tech  
Director, CIMS  
CIMS  
Atlanta, GA 30332-0406  
Phone: (404)894-5562  
FAX: 853-0957

**James C. McKean**  
VA Department of Economic Development  
Manager, Industry Services  
Community & Business Services  
1021 E. Cary Street, P.O. Box 798  
Richmond, VA 23206-0798  
Phone: (804)371-8227  
FAX: 371-8111

**Gary Mears**  
EDS Corporation  
Senior Account Rep.  
Military Systems Division  
13600 CSDR  
Herndon, VA 22071  
Phone: (703)742-1304  
FAX: 742-2419

**C.W. Meyers**  
Georgia Institute of Technology  
Associate Dean  
College of Engineering  
225 North Avenue  
Atlanta, GA 30332-0360  
Phone: (404)894-1323  
FAX: 853-0168

**Joe F. McCrosson**  
Westinghouse Savannah River Company  
Manager  
Development Department  
Bldg. 773-41A  
Aiken, SC 29808  
Phone: (803)725-4861  
FAX: 725-4553

**Kevin McIntyre**  
NIST  
Bldg. 224, Room B115  
Gaithersburg, MD 20899  
Phone: (301)975-3414  
FAX: 963-6556

**Cliff McKeithan**  
C. McKeithan  
Consultant  
c/o Advanced Driving Simulation  
4360 Chamblee Dunwoody Road, Suite 400  
Atlanta, GA 30341  
Phone: (404)565-6729  
FAX: 358-5209

**Harry M. Meyer**  
Martin Marietta Energy Systems Y-12 Plant  
Development Staff Chemist  
Bldg. 9203, MS 8084  
Oak Ridge, TN 37831  
Phone: (615)576-3866  
FAX: 576-2782

**Farrokh Mistree**  
Georgia Tech  
Professor  
Systems Realization Lab  
Atlanta, GA 30332-0605  
Phone: (404)894-8412  
FAX: 894-9342

Deborah Mitta  
Georgia Tech Research Institute  
Senior Research Engineer  
GTRI/CAD  
Atlanta, GA 30332-0800  
Phone: (404)894-1909  
FAX: 894-8638

George Mosinskis  
Southern CA Gas Company  
Special Projects Manager  
Research  
1150 Connecticut Ave., NW, #717  
Washington, DC 20036  
Phone: (202)822-3708  
FAX: 293-2887

Trygve C. Myhre  
Oak Ridge Centers or Mfg. Tech.  
Program Development Manager  
Martin Marietta Energy Systems, Inc.  
P.O. Box 2009, 9737 MS 8091  
Oak Ridge, TN 37831-8091  
Phone: (615)574-1624  
FAX: 574-2000

F. Richard Nicoson  
Indiana Vocational Technical College  
Coordinator of Business & Industry Training  
Business & Syc Training Suc, ICAT  
501 South Airport Street - HRAA  
Terre Haute, IN 47803  
Phone: (812)877-3616  
FAX: 877-1184

Demetrius T. Paris  
Georgia Institute of Technology  
V.P. for Research and Graduate Programs  
Office of the President  
Georgia Tech University  
Atlanta, GA 30332-0325  
Phone: (404)894-8885  
FAX: 853-9163

Michael Moch  
Michigan State University  
Chairperson  
Department of Management  
475 HBB  
East Lansing, MI 48824  
Phone: (517)355-1878  
FAX: 336-1111

Dale E. Mowbray  
Indiana Vocational Technical College  
Director of Business & Industry Training  
501 South Airport Street - HRAA  
Terre Haute, IN 47803  
Phone: (812)877-3616  
FAX: 877-1184

Phil Nanzetta  
NIST  
Director  
Manufacturing Extension Partnership  
Bldg. 224, Room B115  
Gaithersburg, MD 20899  
Phone: (301)975-3414  
FAX: 963-6556

John M. Owens  
Auburn University  
Associate Dean for Research  
College of Engineering  
108 Ramsay Hall  
Auburn, AL 36849  
Phone: (205)844-4326  
FAX: 844-2672

T.C. Parsons  
University of Tennessee  
Executive Director  
226 Capitol Blvd., Suite 606  
Nashville, TN 37219-1804  
Phone: (615)532-4902  
FAX: 532-4937

**Ron Parsons**  
NIST / MEP  
Bldg. 224, Room B115  
Gaithersburg, MD 20899  
Phone: (301)975-3414  
FAX:

**Jennifer Payette**  
NIST / MEP  
Special Projects Manager  
Bldg. 224, Room B115  
Gaithersburg, MD 20899  
Phone: (301)975-5042  
FAX:

**Frank Penaranda**  
NASA  
Member, Technology Deployment Panel  
Office of Advanced Concepts & Technology  
Code: CU  
Washington, DC 20546  
Phone: (202)358-1500  
FAX: 358-3938

**Laurie Peterfreund**  
St. Louis County Economic Council  
Technology Development Coordinator  
Def. Adj. & Diversification  
121 South Meramec  
St. Louis, MO 63105  
Phone: (314)889-7663  
FAX: 889-7666

**Anne L. Pierce**  
University of Hartford  
Director of Scientific Advancement  
Academic Affairs  
200 Bloomfield Ave.  
West Hartford, CT 06117  
Phone: (203)768-4849  
FAX: 768-5220

**Gary W. Poehlein**  
Georgia Institute of Technology  
V.P. for Interdisciplinary Programs  
Office of Interdisciplinary Programs  
Atlanta, GA 30332-0370  
Phone: (404)894-4826  
FAX: 894-7339

**N. Nullie Potitong**  
Georgia Institute of Technology, OCA  
Attorney  
OCA/Legal  
Centennial Research Bldg., Rm 254  
Atlanta, GA 30332-0420  
Phone: (404)894-4812  
FAX: 894-3120

**Elizabeth Reid**  
Ben Franklin Technology Center  
Manager, Government Affairs & PR  
4516 Henry Street  
Pittsburgh, PA 15213  
Phone: (412)681-1520  
FAX: 681-2625

**William T. Rhodes**  
Georgia Institute of Technology  
Professor  
Center for Optical Science & Engineering  
Atlanta, GA 30332-0252  
Phone: (404)894-2929  
FAX: 894-6285

**John D. Roethle**  
Anderson/Roethle, Inc.  
President  
733 N. Van Buren Street  
Milwaukee, WI 53202  
Phone: (414)276-0070  
FAX: 276-4364

Chandra Roychoudhuri  
University of Connecticut  
Director/Professor  
Photonics Research Center  
260 Glenbrook Road, U-157  
Storrs, CT 06260-3157  
Phone: (203)486-2557  
FAX: 486-1033

Ward D. Rummel  
Martin Marietta  
Manager Advanced Technology  
8776 W. Mountainview Lane  
Littleton, CO 80125-9406  
Phone: (303)977-1751  
FAX: 977-1145

F. Michael Saunders  
Georgia Tech  
Professor/Center Director  
Environmental Engineer/OESTP  
Environmental Engineering  
Atlanta, GA 30332-0512  
Phone: (404)894-7693  
FAX: 894-9724

George Schiro  
NCMS  
Program Manger  
Mfg. Application & Ed. Center  
3025 Boardwalk  
Ann Arbor, MI 48104-3266  
Phone: (313)995-4958  
FAX: 995-4004

Bernard J. Schroer  
University of Alabama in Huntsville  
Director  
Center for Automation and Robotics  
Huntsville, AL 35899  
Phone: (205)895-6256  
FAX: 895-6733

Dr. Andrew Rudczynski  
Rutgers University  
Associate V.P. Research  
Office of Research & Sponsored Programs  
Admin. Bldg., Annex II, P.O. Box 1179  
Piscataway, NJ 08855-1179  
Phone: (908)445-2884  
FAX: 445-3257

Christopher Russo  
New York State  
Asst. Director, Office of Fiscal Administration  
Economic Development  
One Commerce Avenue  
Albany, NY 12245  
Phone: (518)473-4830  
FAX: 486-6604

William I. Sauser, Jr.  
Auburn University  
Associate V.P.  
Extension Office  
213 Samford Hall  
Auburn University, AL 36849-5638  
Phone: (205)844-5700  
FAX: 844-5708

Reid Schlager  
Advanced Driving Simulators (ADS)  
Principal  
Financial Management/Marketing  
4360 Chamblee Dunwoody Road, Suite 400  
Atlanta, GA 30344  
Phone: (404)416-8436  
FAX: 416-8436

Daniel Schutzer  
Citibank  
Vice President  
909 Third Ave., 32nd Floor  
New York, NY 10022  
Phone: (212)559-1876  
FAX: 832-7497

**Stanley Shelly**  
National Institute of Flexible Manufacturing  
President  
R.D. # 2, Box 1100, Moiser Own Road  
Meadsville, PA 16335  
Phone: (814)333-2415  
FAX: 337-8172

**William T. Sheppard**  
Southern Technology Applications Center  
Technology Counselor Stennis Space Center  
College of Engineering, University of FL  
Bldg. 1103  
Stennis Space Center, MS 39529  
Phone: (601)688-1287  
FAX: 688-2408

**Dr. Jatinder Singh**  
Clark Atlanta University  
U.P. Brawley Drive, Box 302  
Atlanta, GA 30314  
Phone: (404)880-6935  
FAX: 880-6890

**Robert W. Springfield**  
Georgia Tech Economic Development Institute  
Associate Director, IES  
Industrial Extension Service  
1 Reservation Street, Rome Regional Office  
Rome, GA 30161-5429  
Phone: (706)295-6008  
FAX: 295-6049

**William E. Starn**  
National Institute of Flexible Manufacturing  
Chairman of the Board  
R.D. # 2, Box 1100, Moiser Own Road  
Meadsville, PA 16335  
Phone: (814)333-2415  
FAX: 337-8172

**W. Steve Shepard**  
Mississippi State University  
Director  
Diagnostic I&A Lab  
DIAL, P.O. Drawer MM  
Mississippi State, MS 39762  
Phone: (601)325-2105  
FAX: 325-8465

**Jeff Shick**  
National Technology Transfer Center  
Deputy Director  
316 Washington Avenue  
Wheeling, WV 26003  
Phone: (304)243-2535  
FAX: 243-2129

**Patrick Smith**  
IBM  
Manager of Tech Analysis  
IBM East Fishkill Facility, Route 52  
Hopewell Junction, NY 12533-0999  
Phone: (914)894-7527  
FAX: 862-6256

**Terry Squier**  
El Paso Community College  
Director  
Advanced Technology Center  
P.O. Box 20500  
El Paso, TX 79998  
Phone: (915)594-2350  
FAX: 594-2369

**Harry J. Stone**  
Institute of Adv. Mfg. Sciences  
Managing Director  
Ctr for Applied Environment & Technology  
1111 Edison Drive  
Cincinnati, OH 45215  
Phone: (513)948-2000  
FAX: 948-2007

**Timothy W. Swafford**  
NSF/ERC for Computational Field Simulation  
Deputy Director  
P.O. Box 6176  
Mississippi State, MS 39762  
Phone: (601)325-7722  
FAX: 325-7692

**Larry D. Tenerbaugh**  
Texas Engineering Extension Service  
Assistant Agency Director  
Texas A&M University System  
College Station, TX 77843-8000  
Phone: (409)862-2076  
FAX: 862-2888

**Robert C. Thurmond**  
University of Louisville  
Director  
Telecommunications Research Cntr  
Shelby Campus  
Louisville, KY 40292  
Phone: (502)852-0900  
FAX: 852-4701

**Vonna Viglione**  
NC Dept. of Labor  
Assistant Director  
Division for Training Initiatives  
19 W. Hargett Street, Suite 209  
Raleigh, NC 27601  
Phone: (919)733-6550  
FAX: 733-2897

**Dr. Terry Walch**  
Quality Workforce Education Consortium of Colleges  
Project Director  
5930 Middle Fiskville Rd.  
Austin, TX 78752  
Phone: (512)483-7721  
FAX: 483-7820

**Dr. David H. Swanson**  
National Institute of Standards & Technology  
Manufacturing Extension Partnership  
Polymers Bldg. B1115  
Gaithersburg, MD 20899  
Phone: (301)945-5306  
FAX: 963-6556

**Paul C. Thistleton**  
Louisville/Jefferson County Office for Economic  
Development  
Executive Director  
600 West Main Street, Suite 400  
Louisville, KY 40202  
Phone: (502)574-3204  
FAX: 574-1588

**David R. Veazie**  
Georgia Tech  
PhD Candidate  
Mechanical Engineering  
4275 Cabretta Drive  
Smyrna, GA 30080  
Phone: (404)434-4085  
FAX:

**Mike Viilo**  
Kaman Diversified Technologies  
Assistant Vice President  
1111 Jefferson Davis Hwy., Suite 700  
Arlington, VA 22202  
Phone: (703)416-2500  
FAX: 416-2512

**W. Travis Walton**  
Technology Extension Service  
Director  
Univ. of MD, Engineering Research Ctr  
College Park, MD 20742  
Phone: (301)405-3883  
FAX: 403-4105

Steven Wax  
TRP  
Chief of Staff  
3701 N. Fairfax Avenue  
Arlington, VA 22203-1714  
Phone:  
FAX:

Julie S. Welch  
Arkansas Science & Technology Authority  
Research Program Manager  
100 Main Street, Suite 450  
Little Rock, AR 72201  
Phone: (501)324-9006  
FAX: 324-9012

Carolyn E. Williamson  
Sprint Communications Co.  
Sr. Contract Administration  
Contracts  
13221 Woodland Park Road, MS VAHRNA608  
Herndon, VA 22071  
Phone: (703)904-2093  
FAX: 904-2069

Ward O. Winer  
Georgia Tech  
Director and Regents Professor  
Mechanical Engineering Department  
254 Cherry Street  
Atlanta, GA 30332-0405  
Phone: (404)894-3200  
FAX: 894-1658

Eric Alan Wolfe  
Coal Technology Corporation  
Environmental Project Manager  
Environmental  
103 Thomas Road  
Bristol, VA 24201  
Phone: (703)669-6515  
FAX: 669-2161

Linda Wood  
NIST  
Assistant to the Director  
MEP  
Bldg. 224, Room B115  
Gaithersburg, MD 20899  
Phone: (301)975-3414  
FAX: 963-6556

Ronald A. Young  
Southeast Manufacturing Technology College  
Vice President  
EDI of South Carolina  
P.O. Box 1149  
Columbia, SC 29202  
Phone: (803)252-8806  
FAX: 252-0056

Jan Youtie  
Georgia Tech  
Senior Research Associate  
Economic Development Institute  
O'Keefe Bldg, Room 205  
Atlanta, GA 30332-0800  
Phone: (404)894-6111  
FAX: (404)853-9172

Raymond Zavada  
Innovative Productivity, Inc.  
President  
P.O. Box 9368  
Louisville, KY 40209-0386  
Phone: (502)364-5173  
FAX: 364-5272

Robert P. Zimmer  
Georgia Tech  
GTRI  
225 North Ave., CRB510  
Atlanta, GA 30332  
Phone: (404)894-3519  
FAX: 894-7206

Abdul-Hamid Zureick  
Georgia Institute of Technology  
Professor  
School of Civil Engineering  
Mason Bldg., School of Engineering  
Atlanta, GA 30332-0355  
Phone: (404)894-2294  
FAX: 894-2278



**List of Others  
Receiving Proceedings**

**Mary Grace Arriola**  
Director, Product Development Partnership  
Economic Development Corp. of LA County  
6922 Hollywood Blvs., #615  
Los Angeles, CA 90049  
Phone: (213)462-5111  
FAX: 462-2228

**Elizabeth Gail Chappell**  
Contract Negotiator  
Texas Instrument Inc.  
Contracts  
13532 North Central Expressway  
Dallas, TX 75243  
Phone: (214)995-7087  
FAX: 995-3067

**Peter Crabtree**  
Development Officer  
Peralta Community College District  
Education Services  
333 East 8th Street  
Oakland, CA 94606  
Phone: (510)466-7210  
FAX:

**Jerry Donahue**  
Executive Director  
Boulder Technology Incubator  
1821 Lefthand Circle, Suite B  
Longmont, CO 80501-6740  
Phone: (303)678-8000  
FAX: 678-8505

**Julius Duscha**  
Editor  
Defense Conversion Advisory  
2200 Pacific #7-D  
San Francisco, CA 94115  
Phone: (415)931-7729  
FAX: 673-3512

**Terry M. Bourne**  
CFO  
Pulse-Com Corporation  
215 W. Franklin, Suite 303  
Monterey, CA 93940  
Phone: (408)375-3230  
FAX: 375-2301

**Kurt Chilcott**  
Director  
City of San Diego  
Economic Development Services  
1200 Third Avenue, Suite 1620  
San Diego, CA 92101  
Phone: (619)236-6550  
FAX: 236-6512

**Mr. Jas Dhillon**  
Principal  
Blue Marble Partners  
Corporate Office  
406 Amapola Ave., Suite 200  
Torrance, CA 90501  
Phone: (310)328-3583  
FAX: 328-9057

**Mr. Ken Dozier**  
Director of Research  
Cal State University, L.A.  
5151 State University Drive  
Los Angeles, CA 90032-8150  
Phone: (213)343-4476  
FAX: 343-4555

**Samuela A. Evans**  
Contract & Grant Officer  
University of CA  
Research Administration  
300 Lakeside Dr., 12th Floor  
Oakland, CA 94612-3550  
Phone: (510)987-9849  
FAX: 835-3704

David Gold  
Regional Manager  
NIST / MEP  
Bldg. 224, Room B115  
Gaithersburg, MD 20899  
Phone: (301)975-3414  
FAX: 963-6556

Jeffrey D. Hill  
Co-Publisher  
CALS Journal, Inc.  
14407 Big Basin Way  
Saratoga, CA 95070  
Phone: (408)867-8600  
FAX: 867-9800

Christopher Holben  
Assistant Secretary  
CA Trade and Commerce Agency  
Economic Development  
801 K Street, Suite 1700  
Sacramento, CA 95814  
Phone: (916)324-9777  
FAX: 322-3524

Dr. Sandor Holly  
Principal Engr. Specialist  
Rockwell International Corp.-Rocketdyne Division  
Advanced Programs  
6633 Canoga Ave., Mail Stop FA03  
Canoga Park, CA 91304  
Phone: (818)586-3069  
FAX: 586-3074

Steven L. Jarvis  
Director, Office of Strategic Technology  
State of California  
Trade & Commerce Agency  
200 E. Del Mar, #204  
Pasadena, CA 91105  
Phone: (818)568-9437  
FAX: 568-9962

Dr. Stephen L. Gomes  
Chief Executive Officer  
American Technology Initiative  
535 Middlefield Road, Suite 180  
Menlo Park, CA 94025  
Phone: (415)325-5353  
FAX: 329-0320

Ron Hira  
Regional Manager  
NIST / MEP  
Bldg. 224, Room B115  
Gaithersburg, MD 20899  
Phone: (301)975-3389  
FAX: 963-6556

R Kim Holder  
Resource Development Specialist  
Dallas County Community College District  
Resource Development  
701 Elm Street  
Dallas, TX 75202-3299  
Phone: (214)746-2458  
FAX: 746-2107

Amy Hughes  
DoD  
Office of Economic Adjustment  
16695 Shannon Road  
Los Gatos, CA 95032  
Phone: (408)356-2212  
FAX: 356-4980

Dr. James Jordan  
Director, Adv Programs  
CAM-I  
California Office  
3350 E. Birch, Suite 240  
Brea, CA 92621  
Phone: (714)579-1617  
FAX: 993-4100

**Bruce Kern**  
Director of Economic Development  
Alameda County  
Economic Development  
1221 Oak Street  
Oakland, CA 94612  
Phone: (510)272-3874  
FAX: 272-3784

**Donald Korn**  
Vice President  
Silicon Valley Technologies Corp.  
3235 Kifer Road, Suite 210  
Santa Clara, CA 95051  
Phone: (408)739-2600  
FAX: 739-6364

**Stuart G. Lang**  
Executive Director for Institutional Advancement  
St. Norbert College  
Institutional Advancement  
100 Grant Street, Main Hall  
De Pere, WI 54115  
Phone: (414)337-3955  
FAX: 337-4008

**Tim Little**  
Advisory Board Member  
Clean Air Now  
Board of Advisors  
6153 Lawton Ave.  
Oakland, CA 94618  
Phone: (510)658-0702  
FAX: 658-0702

**Gonzalo Lopez**  
Assistant Deputy Director  
City of San Diego  
Economic Development Services  
1200 Third Avenue, Suite 1620  
San Diego, CA 92101  
Phone: (619)236-6551  
FAX: 236-6512

**R Lew Kontnik**  
President  
Colorado Bio / Medical Venture Center  
1610 Pierce Street  
Lakewood, CO 80214  
Phone: (303)237-3998  
FAX: 237-4010

**Nick Kremer**  
Dean, Economic Development  
Irvine Valley College  
5500 Irvine Center Drive  
Irvine, CA 92720  
Phone: (714)559-3217  
FAX: 559-3270

**Gail Benson Ledesma**  
Program Manager  
Mission College  
Corp. Training  
3000 Mission College Blvd.  
Santa Clara, CA 94587  
Phone: (408)748-2780  
FAX: 980-9540

**Dr. Slaomic Lobodzinski**  
Director of Digital Laboratory  
California State University, Long Beach  
Dept. of Engineering  
1250 Belleflower  
Long Beach, CA 90820  
Phone: (310)985-5521  
FAX: 985-7561

**Bob Mac Connell**  
Principal  
R.T. Mac Connell Associates  
817 Louise Drive  
Sunnyvale, CA 94087  
Phone: (408)739-4534  
FAX: 739-4534

**Dr. Michael M. Mann**  
Chairman & C.E.O.  
Blue Marble Partners  
Corporate Office  
406 Amapola Ave., Suite 200  
Torrance, CA 90501  
Phone: (310)328-3583  
FAX: 328-9057

**R A.W. McCullough**  
President  
AWM Associates  
20 Aunt Park Lane  
Newtown, CT 06470  
Phone: (203)270-7159  
FAX:

**Ralph D. Mills**  
Director, Research & Policy Planning  
CA State University  
400 Golden Store, #302  
Long Beach, CA 90802-4275  
Phone: (310)985-2037  
FAX: 985-2829

**Jan Murra**  
Administrative Associate  
Arizona State University  
CIM Systems Research Center  
Box 875106  
Tempe, AZ 85287-5106  
Phone: (602)965-3709  
FAX: 965-2910

**Dr. David Norton**  
Director  
Utah Research Institute  
Mail Code 1207, Weber State University  
Ogden, UT 84404  
Phone: (801)479-8837  
FAX: 476-1263

**Carol McClain**  
Coordinator, Research  
University of CA  
Academic Affairs  
Office of the President, 300 Lakeside Dr., 18th Floor  
Oakland, CA 94612-3550  
Phone: (510)987-9473  
FAX: 987-9456

**Jimm Meloy**  
Education Programs Director  
Autodesk  
Education Department  
2320 Marinship Way  
Sausalito, CA 84965  
Phone: (415)491-8208  
FAX: 491-8337

**Nancy Millstead**  
Development Officer  
Francis Tuttle Vo Tech Center  
Development  
12777 N. Rockwell  
Oklahoma City, OK 73162  
Phone: (405)720-4744  
FAX: 720-4755

**Rzui Naida**  
Senior Financial Analyst  
SRI International  
333 Rovenswood Ave.  
Menlo, CA 95035  
Phone: (415)859-2431  
FAX:

**Ken Patton**  
Dean of Career Education, Econ. Development  
Glendale Community College  
1500 N. Verdugo Road  
Glendale, CA 91208  
Phone: (818)240-1000x5157  
FAX: 549-9436

Willard W. Perry  
Manager, Business Development  
Midwest Research Institute  
California Operations  
32108 Canyon Crest Court  
Westlake Village, CA 91361  
Phone:  
FAX:

Mr. Richard Reece  
President  
Blue Moon Partners  
Corporate Office  
406 Anapola Ave., Suite 200  
Torrance, CA 90501  
Phone: (310)328-3583  
FAX: 328-9057

R Rebecca Rone  
Senior Scientist, Contracts & Grants  
Molecular Simulations  
Life Sciences  
16 New England Executive Park  
Burlington, MA 01803-5297  
Phone: (617)229-9800  
FAX: 229-9899

Robert G. Sakai  
Science & Technology Coordinator  
Alameda County (Economic Development Program  
County Administrator's Office  
1221 Clark Street, Suite 555  
Oakland, CA 94612  
Phone: (510)272-3881  
FAX: 272-3784

Raj Seshadri  
Principal  
Chestnut Associates  
One Sansome Street, Suite 2100  
San Francisco, CA 94104  
Phone: (415)951-4670  
FAX: 951-4660

Cynthia Shallit  
Manager  
Sacramento Redevelopment Agency  
Economic Development  
600 I Street  
Sacramento, CA 95814  
Phone: (916)440-1399x446  
FAX: 447-2261

Kathleen Shanahan  
Deputy Secretary  
Trade & Commerce Agency  
801 K Street, Suite 1700  
Sacramento, CA 95814  
Phone: (916)324-5065  
FAX: 324-3524

Rohit K. Shukla  
Executive Director  
Los Angeles Regional Technology Alliance  
6922 Hollywood Blvd., #415  
Los Angeles, CA 90028  
Phone: (213)462-5111  
FAX: 462-4029

William H. Sleight  
Co-Publisher  
CALs Journal, Inc.  
14407 Big Basin Way  
Saratoga, CA 95070  
Phone: (408)867-8600  
FAX: 867-9800

Chip Smith  
Principal Scientist  
Ballena Systems Corp.  
617 South Lower Sacramento Road  
Lodi, CA 95242  
Phone: (209)369-0236  
FAX: 369-0243

Ms. Doris J. Stan  
Director  
Fairfield University  
Office of Grants & Sponsored Programs  
Donnarumma Hall, N. Benson Road  
Fairfield, CT 06430  
Phone: (203)254-4000x2500  
FAX: 254-4060

Robert Stark  
Director  
NASA Regional Tech Center  
University of Southern CA  
3716 S. Hope, #200  
Los Angeles, CA 90007  
Phone: (213)743-6132  
FAX:

R Hugh Sullivan  
Executive Director  
Spokane Intercollegiate Research & Technology  
Institute (SIRTI)  
501 North Riverpoint Blvd., SUite 245  
Spokane, WA 99202-1649  
Phone: (509)456-7091  
FAX: 456-7097

Meg Svoboda  
Analyst  
Legislative Analyst's Office  
925 L Street, Suite 1000  
Sacramento, CA 95814  
Phone: (916)322-8402  
FAX:

William R. Taylor  
Director  
Montana State University  
University Technical Assistance Program  
402 Roberts Hall  
Bozeman, MT 59717  
Phone: (406)994-3971  
FAX: 994-6098

Paul Staples  
Executive Director  
Clean Air Now  
Staff  
1415 Abbot Kinney Blvd., #112  
Venice, CA 90291  
Phone: (310)450-2121  
FAX: 827-4887

Brian Stucke  
Project Engineer  
U.S. Air Force  
Mfg Tech Directorate  
2977 P St., Suite 6, WL/MTI Bldg. 653  
Wright-Patterson AFB, OH 45433-7739  
Phone: (513)255-7371  
FAX: 476-4420

Dr. Michael Sullivan  
Technology Projects Manager  
NAWC - Weapons Division  
U.S. Navy  
Code 3402  
Point Mugu, Ca 93042-5001  
Phone: (805)989-9208  
FAX: 989-3938

G. Marie Talnack  
Consultant  
Univ. of California-Irvine  
University Tower, Suite 240  
Irvine, CA 92716  
Phone: (714)509-2990  
FAX: 509-2997

Wendy Umino  
Principal Consultant  
Assembly Office of Reserach  
CA Legislature  
1020 N Street, Suite 408  
Sacramento, CA 95814  
Phone: (916)445-1638  
FAX: 327-3874

**Pete Zaniewski**

**Senior Engineer**

**Caltrans**

**Division of New Technology, Materials & Research**

**1227 O Street, P.O. Box 942873**

**Sacramento, CA 94273-0001**

**Phone: (916)654-9873**

**FAX: 654-9977**



John Adams  
Georgia Tech Research Institute  
AMTC Director  
Economic Development Institute  
209 O'Keefe Bldg  
Atlanta, GA 30332  
Phone: (404)894-4138  
FAX: 853-4172

Charles Alter  
Edison Industrial Systems Center  
Director  
Business Development  
1700 N. Westwood, Suite 2286  
Toledo, OH 43607-1207  
Phone: (419)531-8610  
FAX: 531-8465

Gregg Bennett  
Bevill Technology Center  
Executive Director  
P.O. Box 2488  
Gadsen, AL 35903  
Phone: (205)547-5782  
FAX: 547-5790

J. Scott Calhoun  
Mississippi State University  
Research Engineer  
Engineer Research Center  
P.O. Box 6176  
Mississippi State, MS 39762  
Phone: (601)325-7754/7559  
FAX: 325-7692

Rick Carlisle  
Governor's Office  
Economic Policy Advisor  
North Carolina  
116 W. Jones Street  
Raleigh, NC 27603-8001  
Phone: (919)715-4382  
FAX: 715-3775

Janet Allen  
Georgia Tech  
Senior Research Scientist  
School of Mechanical Engineering  
Georgia Institute of Technology  
Atlanta, GA 30345  
Phone: (404)894-8168  
FAX: 325-3300

Lawrence L. Barker, Jr.  
New York State  
Director, Empire State Mfg. Service  
Economic Development  
One Commerce Plaza  
Albany, NY 12245  
Phone: (518)474-1131  
FAX: 486-6644

James W. Bishop  
Southeast Manufacturing Technology Center  
Executive Director  
P.O. Box 1149  
Columbia, SC 29202  
Phone: (803)252-6976  
FAX: 252-0056

Bruce D. Cameron  
McDermott/Babcock & Wilcox  
Government Relations Rep.  
Washington Operations Office  
1850 K St., NW, Suite 950  
Washington, DC 20006  
Phone: (202)833-7018  
FAX: 296-2868

Dr. Lawrence A. Casper  
University of Wisconsin  
Assistant Dean of Engineering for Industrial R&D  
College of Engineering  
1415 Johnson Drive  
Madison, WI 53706-1691  
Phone: (608)262-5215  
FAX: 262-6400

**Neil Chaudhry**  
Edison Materials Tech Cntr  
Business Development Manager  
3171 Research Blvd.  
Kettering, OH 45420  
Phone: (513)259-1393  
FAX: 259-1303

**Dr. Earl J. Claire**  
University of South Florida  
Principal Investigator  
Center for Microelectronics Research  
4202 East Fowler Avenue, M/S ENB-118  
Tampa, FL 33620  
Phone: (813)974-5005  
FAX: 974-5250

**Dave Cranmer**  
NIST  
Associate Director  
Program Planning & Policy  
Bldg. 224, Room B115  
Gaithersburg, MD 20899  
Phone: (301)975-5753  
FAX: 963-6556

**Marilyn Cobb Croach**  
Enterprise Florida  
Director, Defense Programs  
SunBank Center, 200 South Orange Ave., Suite 120  
Orlando, FL 32801  
Phone: (407)425-5313  
FAX: 425-1921

**Art Davies**  
Institute of Advanced Mrg. Sciences  
Director, Marketing  
1111 Edison Drive  
Cincinnati, OH 45216  
Phone: (917)948-2000  
FAX: 948-2109

**Dr. Dan Dolan**  
South Dakota School of Mines & Technology  
Director of Economic Development  
502 East Saint Joe St.  
Rapid City, SD 57701  
Phone: (605)394-2445  
FAX: 394-5195

**Mr. Bill Eads**  
State of Tennessee, Economic & Community  
Development  
Science & Technology Advisor  
Office of Science & Technology  
370 Sixth Avenue, North, Rachel Jackson Bldg, 6th  
Floor  
Nashville, TN 37243-0405  
Phone: (615)741-2994  
FAX: 741-5070

**Dr. Murat Eron**  
M/A-Com Inc.  
IC Production Manager  
MED-ICPD  
100 Chelmsford Street  
Lowell, MA 01851-2694  
Phone: (508)656-2745  
FAX: 656-2900

**John Filder**  
Northwestern University  
Senior Scientist  
Industrial Research Laboratory  
1801 Maple Avenue  
Evanston, IL 60201-3135  
Phone: (708)491-2341  
FAX: 491-7105

**Richard French**  
American Welding Society  
Deputy Executive Director  
Administration  
550 N.W. LeJeune Road  
Miami, FL 33126  
Phone: 1-800-443-9353x218  
FAX: (305)445-1116

**Patti Frohrib**  
Fox Valley Technical College  
Resource Development Specialist  
Research & Development  
1825 N. Bluemound Dr., P.O. Box 2277  
Appleton, WI 54913-2277  
Phone: (414)735-5611  
FAX: 735-2582

**Robert Gasko**  
Advanced Driving Simulators (ADS)  
Principal  
Ground Prototype Construction  
4360 Chamblee Dunwoody Road, Suite 400  
Atlanta, GA 30341  
Phone: (404)416-8818  
FAX: 416-8436

**David Gold**  
NIST  
Regional Manager  
MEP  
Bldg. 224, Room B115  
Gaithersburg, MD 20899  
Phone: (301)975-5049  
FAX: 963-6556

**David R. Hendrix**  
Georgia Institute of Technology  
Manager, Program Initiation Div.  
OCA/PID  
Centennial Research Bldg., Rm 256  
Atlanta, GA 30332-0420  
Phone: (404)894-4817  
FAX: 894-6956

**Mac Holladay**  
Governor's Development Council  
Chief Operating Officer  
Development  
233 Peachtree St., Suite 206  
Atlanta, GA 30302  
Phone: (404)880-7244  
FAX: 880-7246

**Robert E. Fulton**  
Georgia Institute of Technology  
Director, CALS Tech Center  
Mechanical Engineering  
School of Mechanical Engineering  
Atlanta, GA 30332  
Phone: (404)894-7409  
FAX: 894-9342

**Clifford E. George**  
Mississippi State University  
Professor of Chemical Engineering  
Diagnostic Instrumentation and Analysis Laboratory  
P.O. Box MM  
Mississippi State, MS 39762  
Phone: (601)325-7205  
FAX: 325-2482

**J. Lynn Griesemer, Ed.D**  
University of Massachusetts  
Associate V.P. for Economic Development  
18 Tremont Street, Suite 800  
Boston, MA 2108  
Phone: (617)287-7045  
FAX: 287-7022

**Ron Hira**  
NIST  
Regional Manager  
MEP  
Bldg. 224, Room B115  
Gaithersburg, MD 20899  
Phone: (301)975-3389  
FAX: 963-6556

**Roger Hughes**  
Minnesota Job Skills Partnership  
Executive Director  
500 Metro Square Bldg., 121 7th Place East  
St. Paul, MN 55101  
Phone: (612)297-4660  
FAX: 296-1290

**Dr. S.L. Iyer**  
South Dakota School of Mines & Technology  
Director of Economic Development  
502 East Saint Joe St.  
Rapid City, SD 57701  
Phone: (605)394-2445  
FAX: 394-5195

**Michael J. Kelly**  
Manufacturing Research Center  
Director  
Georgia Tech  
813 Ferst Drive  
Atlanta, GA 30332-0560  
Phone: (404)894-9090  
FAX: 853-0957

**Robert King**  
Society of Manufacturing Engineers  
Chief Staff Officer  
Government Relations  
One SME Drive, P.O. Box 930  
Dearborn, MI 48121  
Phone: (313)271-1500  
FAX: 271-2861

**Jack Lackey**  
Georgia Tech  
Principal Research Scientist  
EOEML/GTRT  
Baker Bldg., GTRI  
Atlanta, GA 30332  
Phone: (404)853-0573  
FAX: 894-5073

**Holly Lawe**  
Georgia Tech EDI  
Senior Research Associate  
IDS  
222 O'Keefe  
Atlanta, GA 30332  
Phone: (404)894-4299  
FAX: 853-9172

**Jimmy Johnston**  
State of Tennessee  
Energy Program Manager  
Dept. of Economic & Community Development,  
Energy Division  
320 6th Ave., North, Rachel Jackson Bldg., 6th Floor  
Nashville, TN 37243-0405  
Phone: (615)741-2994  
FAX: 741-5070

**Ernest J. Kerzicnik**  
GE Aircraft Engines  
Manager, Materials & Mfg. Marketing  
Adv. Engine Programs Dept.  
One Neumann Way, M/D X408  
Cincinnati, OH 45215-6301  
Phone: (513)552-5903  
FAX: 552-5938

**Carlota Klimas**  
Phillips Laboratory (USAF)  
Directorate Technology Transfer Rep.  
Advanced Weapons & Survivability Directorate (WS)  
Bldg. 413, Room 264, 3550 Aberdeen Ave., SE  
Kirtland AFB, NM 87117-5776  
Phone: (505)846-0273  
FAX: 846-0417

**John L. Lauderdale**  
Babcock & Wilcox  
Senior Marketing Specialist  
Contract Research Division  
1850 K St., NW, #950  
Washington, DC 20006  
Phone: (202)833-7037  
FAX: 296-2868

**Dean I. Lawry**  
Phillips Laboratory (USAF)  
Directorate Tech Transfer Rep.  
3550 Aberdeen Avenue SE, Bldg. 3. 413, Room 264  
Kirtland AFB, NM 87117-5776  
Phone: (505)846-0273  
FAX: 846-0417

**Mark S. LeClair**  
Fairfield University  
Associate Professor  
North Benson Road  
Fairfield, CT 06430  
Phone: (203)254-4000x2865  
FAX: 254-4105

**Robert G. Lehman**  
West Virginia University  
Director Industrial Extension  
549 ESB, Box 6101  
Morgantown, WV 26506-6101  
Phone: (304)293-3800  
FAX: 293-6751

**Ron Liss**  
Catonsville Community College  
Chairperson, Technical Studies Div.  
800 S. Rolling Road  
Catonsville, MD 21228  
Phone: (410)455-4740  
FAX: 455-4744

**Dr. Charles A. Lundquist**  
University of Alabama in Huntsville  
Director of Consortium National Dev. in Space  
Associate VP for Research/CMS  
301 Sparkman Drive, RI-M65  
Huntsville, AL 35899  
Phone: (205)895-6620  
FAX: 895-6791

**Donna May**  
Catonsville Community College  
Director of Mfg. and Applied Tech  
Continuing Education  
800 S. Rolling Road  
Catonsville, MD 21228  
Phone: (410)455-4189  
FAX: 455-4744

**Sandra Miller**  
Winrock International  
Director, Arkansas Rural Enterprise Center  
Rt. 3, Box 376  
Mcrrilton, AR 72110  
Phone: (501)727-5435x260  
FAX: 727-5242

**Larry Nye**  
Economic Development Resources  
Principal  
Box 189  
Titusville, FL 32781  
Phone: (407)269-3224  
FAX: 269-8971

**Henry Paris**  
Georgia Institute of Technology  
Assoc. Director, Georgia Tech Research Institute  
EOEML  
Georgia Tech University  
Atlanta, GA 30332-0800  
Phone: (404)894-3688  
FAX: 894-5073

**Ira W. Pence, Jr.**  
Georgia Institute of Technology  
Director  
Material Handling Research Center  
813 Ferst Dr., NW  
Atlanta, GA 30332-0206  
Phone: (404)894-2362  
FAX: 853-0957

**Sonny Perdue**  
State of Georgia  
State Senator  
327A Legislative Office Bldg  
Atlanta, GA 30334  
Phone: (404)656-6892  
FAX: 656-0093

**Steve Powers**  
Intergraph Corporation  
System Integration  
Electronics  
One Madison Industrial Park  
Huntsville, AL 35894  
Phone: (205)730-3523  
FAX: 730-8344

**Michael J. Rowan**  
Georgia Tech  
Senior Research Scientist  
GA Tech Research Institute  
GTRI/EOEML  
Atlanta, GA 30332  
Phone: (404)853-3074  
FAX: 894-5073

**Ashok Saxena**  
Georgia Institute of Technology  
Professor & Director  
School of Material Science & Engineer  
778 Atlantic Drive  
Atlanta, GA 30332-0245  
Phone: (404)894-2816  
FAX: 853-9140

**Stanley J. Souvenir**  
SPARTA, Inc.  
Chief Engineer  
4901 Corporate Drive  
Huntsville, AL 35805  
Phone: (205)837-5282x1642  
FAX: 830-0287/5561

**Tom Starke**  
DOE  
Member, Technology Deployment Panel  
Office of Defense Programs  
1000 Independence Ave., (DP 4.1)  
Washington, DC 20585  
Phone: (202)586-5880  
FAX: 586-1057

**Jane Renz**  
Lorain County Community College  
Program Coordinator  
Advanced Technologies Center  
1005 N. Abbie Road  
Elyria, OH 44035  
Phone: 1-800-995-5222x7032  
FAX: 366-4105

**Ken Saulter**  
Midwest Mfg. Tech Center  
Program Manager, Energy & Environment  
2901 Hubbard Rd., P.O. Box 1485  
Ann Arbor, ME 48106  
Phone: (313)769-4234  
FAX: 769-4064

**Dr. William F. Snyder**  
Wytheville Community College  
President  
Office of the President  
1000 East Main Street  
Wytheville, VA 24382  
Phone: (703)228-3851  
FAX: 228-2129

**John G. Squires**  
Envirotek Fuel Systems, Inc.  
Director  
857 Revere Way West  
Bartlesville, OK 74006  
Phone: (918)333-9381  
FAX: 333-9354

**Dan Stevens**  
Sprint  
Manager Proposal Costing  
Govt. Systems Div., Pricing  
8330 Ward Parkway  
Kansas City, MO 64114  
Phone: (816)854-2357  
FAX: 854-2303

Ramesh Talreja  
Georgia Tech  
Professor  
Aerospace Engineering  
Aerospace Engineering  
Atlanta, GA 30332-0150  
Phone: (404)853-9351  
FAX: 894-2760

E. Dale Threadgill  
University of Georgia  
Department Head  
BAE  
Driftmier Engr. Center  
Athens, GA 30602-4435  
Phone: (706)542-1653  
FAX: 542-8806

William K. Walsh  
Auburn University  
Department Head  
Textile Engineering  
Auburn, AL 36849  
Phone: (205)844-4123  
FAX: 844-4068

Geroge Taylor  
NIST  
MEP  
Bldg. 224, Room B115  
Gaithersburg, MD 20899  
Phone:  
FAX:

Chris Van Horn  
Department of Energy  
Economic Development Specialist  
Office of Economic Development  
P.O. Box A  
Aiken, SC 29802  
Phone: (803)725-5313  
FAX: 725-5968

Lynda L. Weatherman  
Space Coast Development Commission  
Executive Director  
2000 S. Washington Ave., Suite 2  
Titusville, FL 32780  
Phone: (407)269-3221  
FAX: 267-8971

TECHNOLOGY REINVESTMENT PROJECT

**TRP Successes**

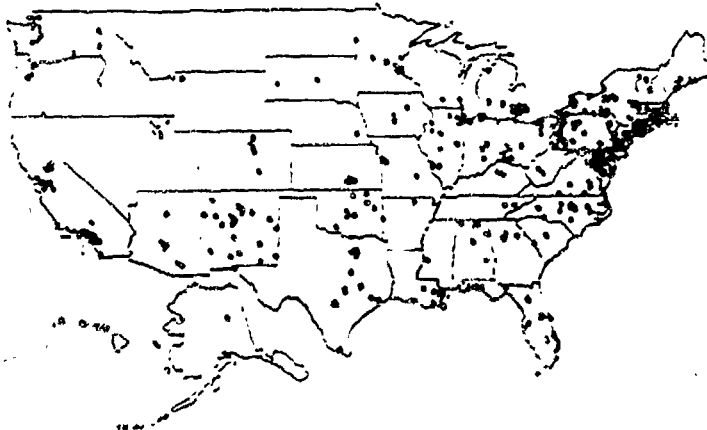
- **Surprisingly Successful Response To Complex Solicitation**
  - Excellent Proposals Exceed Available Funding
- **Successful Start to Integration of Military/Commercial Base**
  - Innovative Dual-Use Programs
  - Workforce Retraining
  - Infrastructure Support
- **Meaningful and Unique Collaboration**
  - Large Well Integrated Teams (Horizontal and Vertical)
  - Gov't, Industry, University Teams
  - Inclusion of Small Businesses
- **Active Participation By State and Local Governments**
  - Regional Alliances
  - State Funding
- **Cooperation Among Multiple Federal Agencies Works!**

TECHNOLOGY REINVESTMENT PROJECT

**Technology Reinvestment Project**

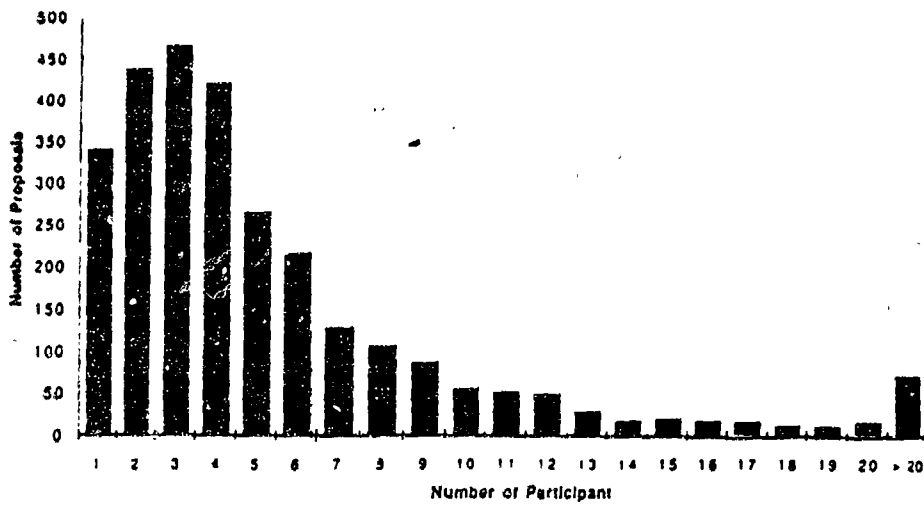
Cumulative Announcements

December 3, 1993



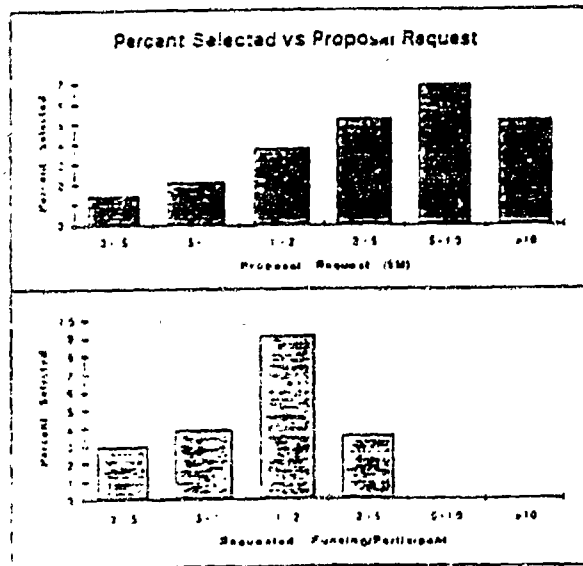


Participants per Proposal



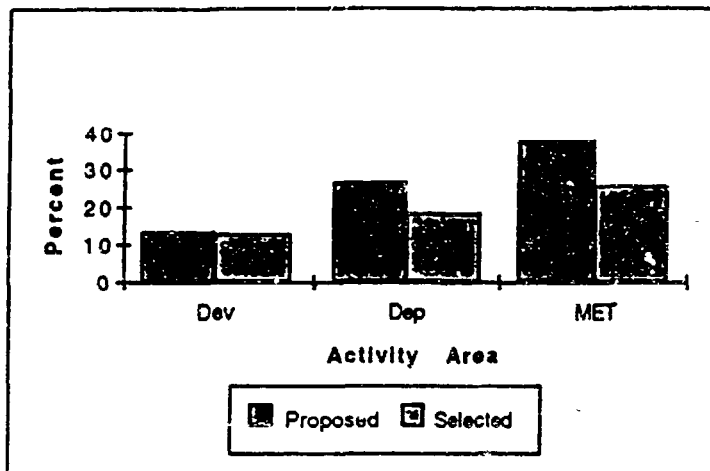
TECHNOLOGY REINVESTMENT PROJECT

TRP Funding Requests



### University Performance in TRP

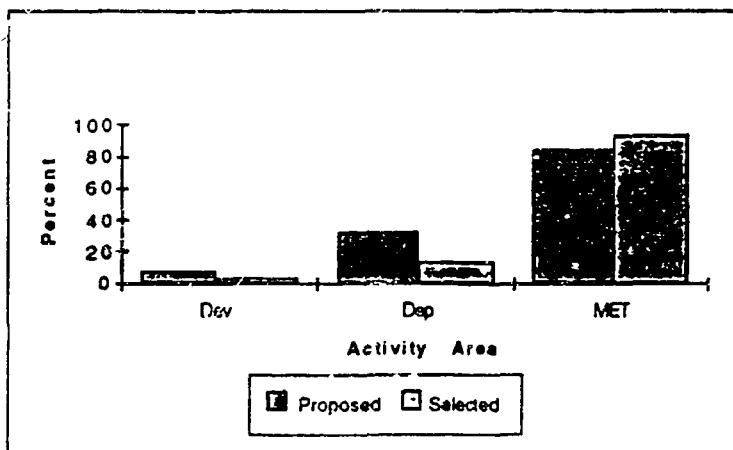
#### Participants



\* Estimated using name search

### University Performance in TRP

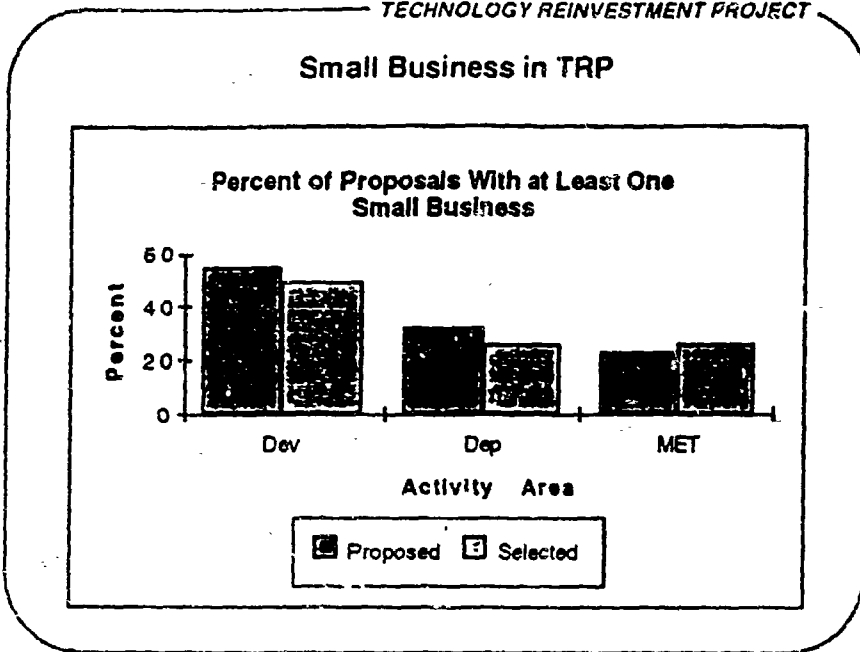
#### Lead Proposer



\* Estimated using name search

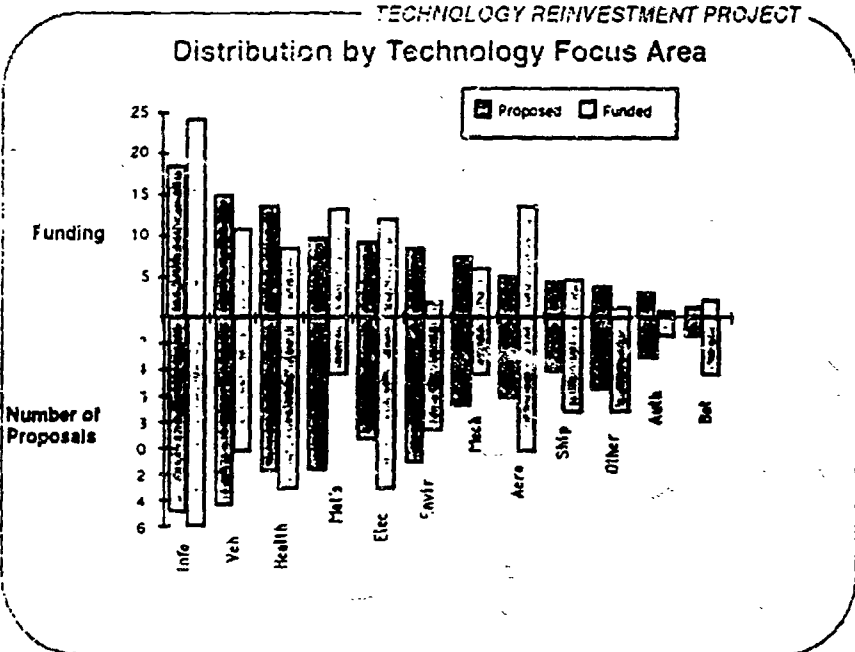
TECHNOLOGY REINVESTMENT PROJECT

Small Business in TRP



TECHNOLOGY REINVESTMENT PROJECT

Distribution by Technology Focus Area



TECHNOLOGY REINVESTMENT PROJECT

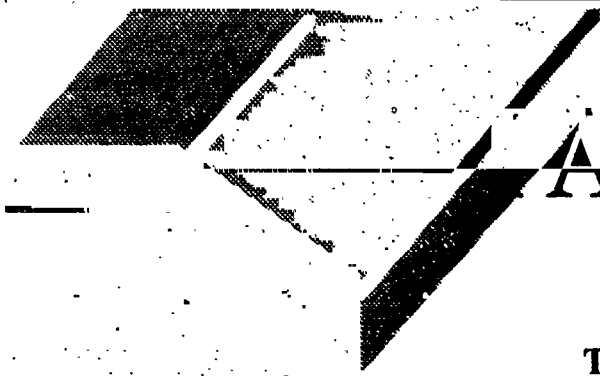
TRP - What's Next?

- **Dual-Use, Defense Conversion Will Continue**
  - TRP Statutes Appear to be Well Funded in FY 1994
- **Collaboration, Partnerships, Cost Sharing Still Required**
  - Some Breaks for Small Businesses
- **TRP Options Available**
  - Some FY 94 Funds for FY 1993 TRP Proposals Very Likely
  - Limited FY 94 Competition
    - » Focused in Scope and Technologies
  - Large Competition
    - » FY 94 and/or FY 95

TECHNOLOGY REINVESTMENT PROJECT

Defense FY 94 Appropriations/Authorizations  
(\$1,000,000)

	PB	App	Auth
Dual-Use Partnerships	324	474	524
• Dual-Use Critical Technology Partnership		150	250
• Commercial-Military Integration Partnership		100	75
• Advanced Manufacturing Technology Partnership		30	50
• Regional Technology Alliance		100	75
• Defense Dual-Use Assistance Extension		0	30
• Manufacturing Extension Service Providers		0	30
• Defense Manufacturing Engineering Education Pgm		24	24
		(404)	(524)
• Agile Manufacturing/Enterprise Integration		35	50
• Advanced Material Partnership		30	30
• United States-Japan Management Training Program		5	10



# TABES 94

10th Annual

**Technical and Business  
Exhibition and Symposium**

**May 10 - 11, 1994  
Von Braun Civic Center  
Huntsville, Alabama**

**HELPING SMALL COMPANIES  
COMMERCIALIZE PUBLIC-SECTOR  
TECHNOLOGY**

BY

Lee W. Rivers  
Executive Director  
National Technology Transfer Center  
Wheeling Jesuit College  
Wheeling, West Virginia 26003

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P.O. Box 1964  
Huntsville, Alabama 35807  
Telephone: 205-837-4287  
Fax: 205-837-4275

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