Small Business Technology Transfer Program (STTR)

Annual Report - FY 2001

Office of Technology
U.S. Small Business Administration
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Introduction

This is the eighth annual report presented by the U.S. Small Business Administration (SBA) pursuant to Public Law 102-564, the Small Business Research and Development Enhancement Act of 1992, as amended.

This report describes the operation and administration of the Small Business Technology Transfer program (STTR) for fiscal year 2001.

Summary of Legislation

Public Law 102-564, as amended

Title I of Public Law 102-564 amended the Small Business Act by reauthorizing the Small Business Innovation Research (SBIR) program. After extensive hearings by several committees and review of extensive testimony from numerous experts, Federal Government officials, participating small businesses, beneficiaries, and oversight groups including the General Accounting Office, Public Law 102-564 was passed by the Congress. At the time it was reauthorized, the SBIR program had been in effect for a decade, during which it achieved remarkable success in its program goals of helping small businesses develop important technology and helping keep the Nation at the forefront of technological innovation.

Seeking to further expand small business opportunities in the technical arena, Title II of the Act, established the STTR program.

The STTR program shares the underlying philosophy of the SBIR program. It targets federally funded research and development as a base for technological innovation that will contribute to the growth and strength of the Nation's economy. It differs from the SBIR program in that STTR awards are made to small businesses that pursue technological innovation through cooperative research and development with Federal laboratories and non-profit scientific and educational institutions.

Duration of the Program

The Small Business Technology Transfer Program

Funding

Federal agencies that participate in the STTR program must have an extramural budget for research or research and development in excess of $1 billion. Program guidelines established the following percentages of funds an agency could expend with small businesses in connection with the STTR program:

- Not less than 0.05 percent of such budget in fiscal year 1994;
- Not less than 0.1 percent of such budget in fiscal year 1995; and
- Not less than 0.15 percent of such budget through fiscal year 2003.
- Not less than 0.3 percent of such budget in fiscal year 2004 and each fiscal year thereafter.

Federal Agencies Participating

The five Federal agencies that meet the funding threshold and participate in the program are:

- Department of Defense
- Department of Energy
- Department of Health and Human Services
- National Aeronautics and Space Administration
- National Science Foundation

The Three-Stage STTR Process

Public Law 102-564 structured the STTR program as a three-phase process designed to identify and nurture promising research and development interests within the small business community. These phases are:

Phase I: Awards are made to determine, to the extent possible, the scientific, technical, and commercial merit and the feasibility of ideas submitted. Phase I awards generally will not exceed $100,000 and are for a 1-year effort. Award amounts are set at the discretion of the participating agencies.

Phase II: In Phase II, Phase I projects with the most potential may be funded to further develop ideas to meet particular program goals. Phase II awards will generally not exceed $500,000 for a 2-year effort. Specific amounts awarded are at the discretion of the awarding agencies.

Phase III: No Federal STTR funds are expended during this phase. In Phase III, program participants pursue
commercial applications of the innovations developed in Phases I and II. However, in Phase III, program participants may receive additional non-STTR Federal funds to develop products and services for use by the Federal Government. They may also receive awards from non-STTR Federal funding sources for continuation of competitively selected research and research and development.

Eligibility for Participation in STTR

The STTR program involves cooperative research and development performed jointly by a small business and a research institution. Thus, each STTR project involves at least two partners, each of which must meet eligibility criteria in order for the project to be funded.

To be eligible for an STTR award, a small business must have no more than 500 employees, be independently owned and operated, not be dominant in the field of operation in which it is proposing, have its principal place of business in the United States, be organized for profit, and be primarily owned by U.S. citizens.

To be eligible for participation in an STTR award, a research institution must be a non-profit institution as defined by the Stevenson-Wydler Technology Innovation Act of 1980, or a federally funded research and development center (FFRDC) as identified by the National Science Foundation in accordance with the Office of Federal Procurement Policy Act. Thus, most universities and colleges, non-profit research centers, and Federal Government-owned, company-operated laboratories are eligible.

Small businesses interested in participating in the STTR program are required to find a research institution meeting this definition and to develop a working agreement before proposing to compete for an STTR award.

Distribution of Work

An STTR award is intended to be a true partnership venture for both the small business and the research institution. To ensure such a relationship, the program establishes minimum performance levels for each participant. Public Law 102-564, as amended, stipulates that under an STTR award, the small business must perform at least 40 percent of the work, and the research institution must perform at least 30 percent of the work.

Management of STTR Projects

Although the conduct of the project is a cooperative research and development venture, the small business exercises overall management, control, and responsibility for the project.

Participating agencies are required to ensure that the small business manages and controls the funding agreement pursuant to a business plan that provides for the commercialization of the technology being funded.

Continued Use of Federal Government Property

STTR guidelines also direct Federal agencies to allow small businesses that use Federal Government equipment during the conduct of an STTR award to continue to do so for not less than 2 years after the beginning of Phase III.
Model Agreements

Public Law 102-564 directs SBA to establish guidelines for a model agreement to be used by all STTR participating agencies in allocating intellectual property rights and follow-on rights. Representatives of each of the five participating agencies issued two model agreements: one published by the Departments of Energy and Health and Human Services, and the other published by the Department of Defense, the National Science Foundation, and the National Aeronautics and Space Administration. The SBA approved both model agreements.

Small businesses are required to negotiate agreements with research institutions, but they are not required to use the model agreements. Rather, they are free to formulate and execute their own agreements or to use the models in whole or in part.

Rights to Data

A major concern of small, innovative firms is that data generated while performing research and development for the Federal Government will be made public. Therefore, STTR legislation stipulates that the program provide for the small business to retain the rights to data it generates while performing in the STTR program. These retention rights remain effective for at least 4 years. The intent of this provision is to authorize the participating agency to protect technical data generated under the STTR funding agreement and to refrain from disclosing such data to competitors of the small business. The statute also stipulates that the agency cannot use the information to produce future technical procurement specifications, thus protecting the participating small business until it has a reasonable chance to seek patent protection, if appropriate.

Therefore, the Policy Directive mandates that, except for program evaluation, participating agencies must protect technical data for at least 4 years from the completion of the project that generated the data. The Federal Government, however, retains a royalty-free license for Federal Government use of any technical data delivered under an STTR funding agreement, whether patented or not.

Follow-On Funding Agreements

Following completion of Federal research and development contracts, it is not unusual for the agency involved to have further research and development interests that result in a continuation of work. There have been numerous instances in which, following the completion of Phase II of STTR, agencies had chosen to continue development of an innovation to produce a product or service developed under the STTR award. To ensure smooth continuation of this work, protect the commercial rights to the innovation, and continue to employ the expertise of the originating small business, agencies are directed, to the degree practicable, to award any non-STTR, follow-on contracts or grants to the originating small business. To make this process more efficient, participating agencies have been advised that the competition for an STTR award serves as meeting the requirements of the Competition in Contracting Act. This allows the agencies to award non-STTR, follow-on work to the small business without further competition.
Critical Technologies

STTR legislation calls for agencies to give special consideration to broad research topics and to topics that further one or more critical technologies. These technologies are identified by the National Critical Technologies Panel (or its successor). To assist the agencies, SBA requested a complete listing of critical technologies from the National Critical Technologies Panel and the Office of the Secretary of Defense. These listings were sent to each participating agency.
Authorities and Responsibilities of the Participants

Participating Agencies

As set forth in Public Law 102-564, the authorities and responsibilities of Federal agencies participating in the STTR program are to:

1. Unilaterally determine categories of projects to be included in its STTR program.

2. Issue STTR solicitations according to a schedule determined cooperatively with the SBA.

3. Unilaterally determine research topics within the agency's STTR solicitations, giving special consideration to broad research areas that further one or more critical technologies as identified by either the National Critical Technologies Panel or the Secretary of Defense.

4. Unilaterally receive and evaluate proposals resulting from STTR solicitations.

5. Unilaterally select awardees for its STTR funding agreements and inform each awardee, to the extent possible, of the allowable expenses under the funding agreement.

6. Administer its own STTR funding agreements.

7. Pay recipients on the basis of progress toward or completion of the STTR funding agreement requirements.

8. Submit an annual report on the STTR program to the SBA and the Office of Science and Technology Policy.

9. Develop a model agreement for approval by the SBA that allocates between small businesses and research institutions intellectual property rights and any rights to carry out follow-on research, development, or commercialization.

10. Develop procedures in consultation with the Office of Federal Procurement Policy and the Office of Federal Government Ethics to ensure that federally funded research and development centers that participate in STTR agreements:

A) Are free from organizational conflicts of interest relative to the STTR program.

B) Do not use privileged information gained through work performed for an STTR agency or private access to STTR agency personnel in the development of an STTR proposal.

C) Use outside peer review, as appropriate.
11. Develop procedures for assessing the commercial merit and feasibility of STTR proposals.

Small Business Administration

Public Law 102-564 designates the SBA as the lead Agency to implement the program, govern its policy, and monitor and analyze its performance. As lead Agency, the SBA's authorities and responsibilities are to:

1. Develop, coordinate, and issue a Policy Directive for the general conduct of the STTR programs.

2. Assist small businesses in obtaining Federal Government contracts for research and development.

3. Assist small businesses in obtaining benefits of research and development performed under Federal Government contracts or at Federal Government expense.

4. Develop and maintain a source file and an information program to help ensure each qualified and interested small business the opportunity to participate in technology transfer pilot programs involving Federal agencies.

5. Coordinate with participating agencies a schedule for release of STTR solicitations and prepare a master release schedule that maximizes small businesses' opportunities to respond to solicitations.

6. Independently survey and monitor the operation of STTR programs within participating Federal agencies.

7. Report not less than annually to the Congress on the STTR programs of the Federal agencies.

8. Consult, cooperate, perform studies, and make recommendations to Federal Government agencies.

9. Consult with representatives of small business to assist and encourage such firms to undertake joint programs for research and development.

The STTR Program Policy Directive

Public Law 102-564 authorized the SBA to issue a Policy Directive to conduct the STTR Pilot Program within the Federal Government. Before issuing this Policy Directive, the SBA consulted with the heads of the two Federal agencies participating in the formulation of the program: the Commissioner of Patents and Trademarks and the Administrator of the Office of Federal Procurement Policy.

The SBA met with the representatives of each of these organizations, and after significant discussion and modifications, finalized the Policy Directive effective October 1, 1993.

The Policy Directive guides participating agencies in the operation of the STTR programs. It provides simplified, standardized, and timely solicitations and funding processes. It also directs the participating agencies to reduce regulatory burdens associated with participation in STTR programs. In addition, the directive also provides guidelines for a model agreement to be used by all agencies for allocating intellectual property and other rights between small businesses and research institutions. It also provides procedures to ensure that recipients of STTR awards meet eligibility requirements as small businesses and that they manage and control the performance of the STTR funding agreement.
Finally, the directive instructs the participating agencies to develop procedures to ensure follow-on, non-STTR funding agreements with the small business when appropriate.

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Surveying, Monitoring, and Reporting

Pursuant to the legislation, the SBA is required to independently survey and monitor the operation of STTR programs within participating Federal agencies. The law directs SBA to report not less than annually to the Committee on Small Business of the Senate and the House of Representatives and to the Committee on Science of the House of Representatives on the STTR programs of the Federal agencies.
STTR – The Program’s 8th Year - FY 2001

Public Law 102-564, as amended, provides both general guidance and specific instructions concerning the implementation of the STTR program. To ensure a successful implementation, the law specifically directed several important actions and established completion dates. All mandated actions were implemented in a timely manner.

Solicitation Schedule

STTR policy directs each Federal agency participating in the program to issue STTR solicitations in accordance with a schedule determined cooperatively with the SBA. After approval of SBA’s master schedule, these agencies issued solicitations early in fiscal 2001 to invite small business to propose STTR projects.

After approval of its solicitation schedule, each participating agency provided SBA with information necessary to publish a pre-solicitation announcement. The announcements provided interested small businesses with information on forthcoming opportunities in the STTR program, as well as basic information on program requirements, opening and closing dates of solicitations, and agency contact points for further information.

In fiscal year 2001, the participating agencies had the following solicitation periods:

- Department of Defense - January 2, 2001, through April 11, 2001
- Department of Energy – November 29, 2000, through February 20, 2001
- Department of Health and Human Services - January 2001 with closings April 1, August 1 and December 1, 2001
- National Aeronautics and Space Administration - March 28, 2001, through June 6, 2001
- National Science Foundation – March 1, 2001, through June 8, 2001

Award Obligation Requirements

Program policy required participating agencies to expend on STTR awards not less than 0.15 percent of their fiscal year 2001 development. In fiscal year 2001, $71,943,274 should have been obligated program-wide to meet this requirement; however, actual obligations were $78,311,783 exceeding the requirement by 1.08 percent.

Small-Business Participation

During FY 2001, small businesses submitted 1,190 proposals under the STTR program, including 1,007 Phase I
proposals and 183 Phase II proposals. A total of 337 awards were made, including 224 Phase I awards and 113 Phase II awards. Awards were made to 288 small businesses. In FY 2001, total STTR program obligations were $78,311,783. Small business received $44,862,627 or 57 percent of total funding. Research institutions received $30,449,046 or 39 percent.

Minority and Disadvantaged Firms

Of the 288 firms that successfully competed for STTR awards, 33 or 11.4 percent were firms owned by minority or disadvantaged persons. They received $8,057,197 or 10 percent of the $78,311,783 total obligated.

Research Institutions

Small businesses interested in participating in the STTR program must find a research institution that meets the program's definition and develop a working agreement before proposing to compete for an STTR award.

The statistics available at the end of the fiscal year indicate that 288 firms collaborated with 108 research institutions. Of contracts and grants awarded during the year, 307 were made to universities and colleges, 18 to federally funded research and development centers, and 43 to other non-profit research institutions. The research institutions were located in 43 states, the District of Columbia and Puerto Rico.
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Alabama

**Birmingham**
- Vectorlogics, Inc.

**Huntsville**
- Alabama Cryogenic Engineering
- Information Systems Labs
- Time Domain Corporation

**Tuscaloosa**
- Neurorecovery, Inc.

Arizona

**Scottsdale**
- Three Rivers Holdings, LLC

**Tucson**
- Advanced Ceramics Research (2)
- Alamx, LLC
- Lite Cycles, Inc.
- Materials & Electrochemical Re
  Ventana Research
- Vitron, Inc.

Arkansas

**Fayetteville**
- Space Photonics, Inc.

California

**Anaheim**
- RST Scientific Research, Inc.

**Carlsbad**
- ISIS Pharmaceuticals

**Del Mar**
- Tumorex, Inc.

**Fountain Valley**
- Hybrid Plastics

**Irvine**
- Eergc Corporation

**Lake Forest**
- Moset Corporation

**Los Angeles**
- AMPAC BIOTEchnology
- Pivotal Biosciences

**Marina Del Rey**
- Fetch Technologies

**Mountain View**
- CSA Engineering, Inc.

**Northridge**
- Chemat Technology, Inc. (2)

**Orangevale**
- Expert MicroSystems, Inc.

**Pacific Palisades**
- Level Set Systems

**Pasadena**
- Epicenter Software
- G-Ceptor Sciences
- Mathematical Sys & Solutions
FY 2001 STTR Phase I Awardees

San Diego
   Energy Science Laboratories
   Genomatica
   Irisys Research and Dev.
   Neurocrine Biosciences, Inc.
   Orincon Corporation
   Sequoia Sciences

San Leandro
   Alameda Applied Sciences Corp.

San Marino
   Intragne Sciences, Inc.

San Mateo
   Biomimesys, Inc.
   Carta Proteomics

Santa Cruz
   DigitalSpace Corporation

Sherman Oaks
   Arete Associates

Sun Valley
   Powdermet, Inc.

Sunnyvale
   Layton BioScience, Inc.

Thousand Oaks
   Monopole Research

Torrance
   Intelligent Optical Systems
   Opto-Knowledge Systems, Inc.

Westlake Village
   Metacomp Technologies, Inc.

Colorado

Arvada
   Barber-Nichols, Inc.

Boulder
   Knowledge Analysis Tech.
   Software Solutions, Inc.

Wheat Ridge
   TDA Research, Inc.

Connecticut

East Hartford
   Advanced Fuel Research, Inc.

New Haven
   Protometrix

Wethersfield
   Qualtech Systems, Inc.

District of Columbia

Washington
   Solus Biodefense

Florida

Alachua
   Nanocoat Technologies

Boca Raton
   Adept Systems, Inc.
FL 2001 SBIR Phase I Awardees

Clearwater
CCEL Bio-Therapies, Inc.

Gainesville
New Era Technologies, Inc.

Jacksonville
Analysis, Design & Diagnostics

Largo
Constellation Technology Corp.

Palm Bay
Advanced Magnet Lab, Inc.

Stuart
Florida Laser Systems

Temple Terrace
Saneron Therapeutics, Inc.

Georgia

Atlanta
Cermet, Inc.

Decatur
Virtually Better, Inc.

Dunwoody
Transfusion & Transplantation

Tucker
Pharmasset, Inc.

Hawaii

Honolulu
Oceanit Laboratories, Inc.

Illinois

Bolingbrook
Smart Pixel, Inc.

Champaign
Npl Associates, Inc.

Chicago
Integrated Genomics, Inc.

De Kalb
Psytex Corporation

Evanston
Containerless Research, Inc.

Mt. Prospect
Vertec Biosolvents LLC

Naperville
I.C. Gomes Consulting & Invest

Indiana

Indianapolis
Comchem Technologies, Inc.

West Lafayette
Advanced Process Combinatorics

Iowa
FY 2001 STTR Phase I Awardees

**Ames**
Molecular Express, Inc.

**Kentucky**

**Lexington**
- Orcca Technology, Inc.
- Tigen Pharmaceuticals

**Louisiana**

**New Orleans**
- St. Charles Pharmaceuticals

**Maine**

**Wiscasset**
- Technology Systems, Inc.

**Maryland**

**Baltimore**
- Protein Research, Inc.

**Bethesda**
- PEM Technologies, Inc.

**College Park**
- Claragen, Inc.

**Gaithersburg**
- Immersion Medical, Inc.

**Millersville**
- Ceramic Composites, Inc.

**Silver Spring**
- Ralph B. Fiorito Company (2)

**Massachusetts**

**Bedford**
- Eukarion, Inc.

**Belmont**
- Natural Pharmacia Int'l. (2)
- Praxis, Inc. (2)

**Boston**
- Exhale Therapeutics, Inc.

**Cambridge**
- Biostream Therapeutics, Inc. (2)
- Satcon Technology Corporation
- Sleep-Wake Systems, Inc. (SWS)

**Chelmsford**
- Scientific Solutions, Inc.
- Triton Systems, Inc.

**East Falmouth**
- Webb Research Corporation
- Webbb Research Corporation

**Lawrence**
- Flight Landata, Inc.

**Lexington**
- GrowTech, Inc.

**Newton**
- Shenasa Medical
North Falmouth  
Benthos, Inc.

Norwood  
EIC Laboratories, Inc.

Waltham  
Foster-Miller, Inc. (2)  
Viatronix

Wareham  
Phoenix Innovation, Inc.

Woburn  
Antigenics, Inc.  
Kazak Composites, Inc. (2)  
Scientific Systems Company (3)

Michigan  
Ann Arbor  
Advent Engineering Services  
Emag Technologies, Inc.  
MC-Three, Inc.  
Mers, LLC

Bloomfield Hills  
Starfire Electronic Dev.

Midland  
Oxazagen, Inc.

Minnesota  
Arden Hills  
Audiology, Inc.

Eden Prairie  
SVT Associates, Inc. (2)

Minneapolis  
Healthcare Interactive, Inc.

Missouri  
Columbia  
Paternity Testing Corporation

Creve Coeur  
Eagle Adjustable Lens

St. Louis  
Computerized Medical Systems  
Production Products Manufact.

Montana  
Belgrade  
Transwesttech

Townsend  
PFM Manufacturing, Inc.

Nebraska  
Lincoln  
Bionebraska, Inc.

New Hampshire  
Hanover  
Creare, Inc.  
Glycofi
FY 2001 STTR Phase I Awardees

Nashua
Scientific Solutions, Inc.

New Jersey

Berkeley Heights
RJM Semiconductor, LLC

Bordentown
Carbozyme, Inc. NJ Ecocomplex

Livingston
Utility Development Corp.

Mercerville
Laser Energetics, Inc.

Monmouth Junction
Princeton Scientific Inst.

New Brunswick
Layered Manufacturing, Inc.

Piscataway
Nanopowder Enterprises, Inc.

Ramsey
Natural Drug Science, LLC

Somerset
Nian-Cra, Inc.
Synergy Pharmaceuticals, Inc. (2)

New Mexico

Albuquerque
Adherent Technologies, Inc.

Dominica

New Mexico

Albuquerque
Intellite
Management Sciences, Inc.
Picodyne, Inc.

New York

Amherst
Hybrid Technologies (2)

Binghamton
Clear Science Corporation

Huntington Station
Product Remanufacturing Center

Latham
Crystal IS, Inc.
Sensor Electronic Technology
Sensor Electronic Technology,

Manhasset
Tissue Genesis, Inc.

New York

Opticology, Inc.
Weidlinger Associates, Inc.

North Carolina

Raleigh
Hexatech
Hydrosiz Technologies, Inc.
Ohio

Clayton
Faraday Technology, Inc.

Beavercreek
Materials Research Institute
Taitech, Inc. (2)

Cincinnati
Celsus Laboratories, Inc.

Cleveland
North Coast Crystals, Inc.

Columbus
Mets Corp.
Oncoimmune, LTD (2)

Dayton
Aps Material, Inc.
IAP Research, Inc.

Fremont
Sierra Lobo, Inc.

Kent
Psychological Systems & Resch.

Oklahoma

Oklahoma City
JK Autoimmunity, Inc.

Stillwater
CMS Technetronics, Inc.
Nomadics, Inc.

Oregon

Fairview
Blue Road Research

Pennsylvania

Blue Bell
Inkine Pharmaceutical Company

Fort Washington
Materials Sciences Corporation

Landisville
Electron Entergy Corporation

Media
Oncovax, LLC

University Park
Fluent Cardiovascular Solution

South Carolina

Edgefield
Newtec Remediation Services

Hilton Head
Kigre, Inc.

Tennessee

Chattanooga
Accurate Automation Corp.
FY 2001 STTR Phase I Awardees

Germantown
   James R. Johnson and Assocs.

Memphis
   Molecular Design International

Nashville
   Generx+, Inc. (2)
   TK TX Company

Oak Ridge
   Americam Magnetics, Inc.

Texas

Austin
   Agave Biosystems, Inc.

Bellaire
   Visigen BioTechnologies, Inc.

Bryan
   Accelerator Technology Corp.

Houston
   Indus Instruments
   Introgen Therapeutics, Inc.
   Millar Instruments, Inc.

San Antonio
   Genetex, Inc.

Smithville
   Dermigen, Inc.

Utah

Salt Lake City
   ZARS, Inc.

Vermont

Burlington
   Healthsim, Inc.

Virginia

Arlington
   Information Extraction & Trans

Blacksburg
   Foresters Incorporated
   Luna Innovations Inc.
   Luna Innovations, Inc. (4)
   Prime Photonics, Inc.
   Technology in Blacksburg, Inc.

Charlottesville
   Terahertz Device Corporation

Christiansburg
   NanoSonic, Inc. (2)

Dulles
   Edenspace Systems Corporation

Fairfax
   Fulcrum Corporation
   Microwave Technologies, Inc. (2)

Falls Church
   Cortana Corporation
11 2001 SBIR Phase I Awardees

Vienna
   WXW INFO, Inc.

Washington

Richland
   Yahsqs LLC

Seattle
   Stirling Dynamics, Inc.

Wisconsin

Madison
   Eragen Biosciences, Inc. (2)

Middleton
   Gammex, Inc.

Wyoming

Sheridan
   Big Horn Valve, Inc.

Laramie
   CC Technology, Inc. (2)
FY 2001 STTR Phase II Awardees

Alabama

Birmingham
- Vaxin, Inc.

Huntsville
- CFD Research Corp.
- CFD Research Corporation

Arizona

Scottsdale
- Zona Technology, Inc.

California

Carlsbad
- Opotek, Inc.

Goleta
- Frontier Technology, Inc.

Hawthorne
- Systems Technology, Inc.

Hayward
- Kinetic Ceramics, Inc.

Irvine
- Ixion Biotechnology, Inc.
- Energy & Environmental Res.

Redding
- Mallard Medical Company, Inc.

San Jose
- Kinetic Ceramics, Inc.

Santa Barbara
- Mission Research Corporation
- NanoDevices, Inc.

Colorado

Boulder
- CMD Optics, Inc.
- Droplet Measurement Tech.

Littleton
- ITN Energy Systems Inc.

Wheat Ridge
- TDA Research Inc.

Florida

Alachua
- Ixion Biotechnology, Inc.

Boca Raton
- GeoSyntec Consultants

Miami
- Apostain, Inc.
- General Oceanics Inc.
- Intelligent Hearing Systems
- New Span Opto-Technology, Inc.

Palm Bay
- Advanced Magnet Lab Inc.

Titusville
- Analex Corporation
Winter Park
   Florida Maxima Corporation

Illinois

Chicago
   Integrated Genomics, Inc.

De Kalb
   Psytec Corporation

Evanston
   Applied Thin Films

Wilmette
   MP Technologies, LLC

Kansas

Lawrence
   Kinedyne Corporation

Kentucky

Lexington
   Tigen Pharmaceuticals

Maryland

Beltsville
   ATEC, Inc.

Columbia
   Conducting Materials Corp.

Massachusetts

Belmont
   Natural Pharmacia Int'l.

Boston
   Boston Micromachines Corp.
   Simpres, Inc.

Burlington
   Alphatech, Inc. (2)

Holliston
   Harvard Bioscience, Inc.

Newton
   Ulex Corporation

Somerville
   Science Research Laboratory (2)

Woburn
   Aptima, Inc.

Michigan

Ann Arbor
   Koester Performance Research
   Thromgen, Inc.

New Jersey

Cherry Hill
   AMT, Inc.

Monmouth Junction
   Nucycle Therapy, Inc.
FY 2001 STTR Phase II Awardees

New Brunswick
Ceramare Corporation

Princeton
Palatin Technologies, Inc.

New Mexico
Albuquerque
Adherent Technologies, Inc.
Applied Research Associates

New York
Albany
Mohawk Innovative Technology

Elmsford
Hypres, Inc. (2)

Latham
Crystal IS, Inc.
Sensor Electronic Technology

Troy
Applied Biophysics, Inc.

North Carolina
Raleigh
NITRONEX Corporation

Ohio
Blacklick
Environmental Energy, Inc.

Columbus
Neurostructural Analysis, LTD

Kent
Kent Displays, Inc.

Miamisburg
Inorganic Specialists

Rocky River
Sensor Development Corporation

Oklahoma
Stillwater
Nomadics, Inc.

Pennsylvania
Fort Washington
Materials Sciences Corporation

Agentase LLC

Puerto Rico
Mayaguez
A/C & Mechanical Services Corp

South Carolina
Hilton Head
Kigre, Inc.
Tennessee

Fairfax
  Materials Modification, Inc.
  Trident Systems, Inc.

Franklin
  Dynamic Structure & Materials

Maryland

Manassas
  Airak, Inc.

Texas

Austin
  Radiant Research, Inc.

College Station
  Lynntech, Inc.

Houston
  Agennix, Inc.

San Antonio
  Biomedical Development Corp.

Utah

Salt Lake City
  Idaho Technology (2)
  Materials & Systems Research
  Spectrotek, LC

Virginia

Arlington
  Information Extraction & Trans

Blacksburg
  Luna Innovations, Inc.

Christiansburg
  NanoSonic Inc.

Washington

Bellevue
  Northwest Radiography, P.S.

Seattle
  Behavioral Technology

Wyoming

Laramie
  CC Technology, Inc.
### STTR Program Data - Fiscal Year 2001

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<td>3,870,542</td>
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### STTR AWARD PROFILE - COMMITMENTS

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<th>TOTAL PHASE II AWARDS</th>
<th>MINORITY/DISAD. PHASE II AWARDS</th>
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<th>MIN/DISAD. PHASE I DOLLARS AWARDED</th>
<th>TOTAL PHASE II DOLLARS AWARDED</th>
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### STTR SOLICITATION PROFILE

| Number of FFRDCs | 5       | 1       | 8       | 4       | 0       | 18     |
| Number of Universities | 119    | 26      | 11      | 23      | 128     | 307    |
| Number of Other Non-Profit | 14     | 0       | 4       | 0       | 25      | 43     |

### RESEARCH INSTITUTION PROFILE
## STTR Program Data - Fiscal Year 2001

### Cooperative Research Profile

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<th>NASA</th>
<th>HHS</th>
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<td>8,200,542</td>
<td>5,266,074</td>
<td>6,401,108</td>
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<td>5,024,796</td>
<td>3,006,780</td>
<td>3,675,810</td>
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<td>3,115,746</td>
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<td>8</td>
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<td>527,187</td>
<td>129,929</td>
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<td><strong>No. of Awards to Other Non-Profits</strong></td>
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### Phase I

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<th>HHS</th>
<th>TOTAL</th>
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<td><strong>Total Dollars of Awards</strong></td>
<td>7,246,794</td>
<td>1,296,597</td>
<td>1,788,119</td>
<td>1,895,316</td>
<td>12,006,036</td>
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<td><strong>Dollars to Small Business</strong></td>
<td>4,444,990</td>
<td>703,991</td>
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<td>1,138,815</td>
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<td>13,643,524</td>
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<td><strong>Dollars to Research Institutions</strong></td>
<td>2,696,633</td>
<td>592,606</td>
<td>637,613</td>
<td>756,501</td>
<td>5,819,165</td>
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<td><strong>Dollars to Universities</strong></td>
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<td><strong>Dollars to FFRDCs</strong></td>
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<td>59,720</td>
<td>210,205</td>
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<td>519,023</td>
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## STTR Program Data - Fiscal Year 2001

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**PHASE II**

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<tr>
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<td>DOLLARS TO RESEARCH INSTITUTIONS</td>
<td>8,815,561</td>
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<td>6,460,660</td>
<td>19,946,528</td>
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<th>HHS</th>
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<tbody>
<tr>
<td>NO. OF AWARDS TO UNIVERSITIES</td>
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<td>14</td>
<td>2</td>
<td>8</td>
<td>49</td>
<td>118</td>
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<td>DOLLARS TO UNIVERSITIES</td>
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<td>276,744</td>
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<td>5,804,206</td>
<td>17,296,234</td>
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<th>NASA</th>
<th>HHS</th>
<th>TOTAL</th>
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</thead>
<tbody>
<tr>
<td>NO. OF AWARDS TO FFRDCS</td>
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<td>0</td>
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<th>HHS</th>
<th>TOTAL</th>
</tr>
</thead>
<tbody>
<tr>
<td>NO. OF AWARDS TO OTHER NON-PROFITS</td>
<td>9</td>
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<td>1</td>
<td>0</td>
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FY 2001 dollars obligated include modifications to previous year’s awards for DOD ($4,033,477K) and HHS ($830,345K). HHS’ total dollars include $258,813 to others.