



## Attachment C

### New York State Foundation for Science, Technology and Innovation (NYSTAR) PROGRAM INFORMATION SHEET

**Program:** Administration

**Mandate:**

**Mandated Funding Level:**

None

**Brief Description/History/Background:**

Comprises several units supporting the operation of the Foundation and its Programs. Functions include:

Executive Office: Supports the Executive Director and Foundation Board Operations.

Financial: All budgeting, contracting, procurement & purchasing, accounts payable and accounts receivable and compliance with Authority Budget Office.

Intergovernmental Relations - coordinates interactions with Executive and Legislature as well as communications with Press and outside inquires.

Legal: Assists in the implementation of all policies and programs, prepares legal documents necessary to develop and manage the programs, represent the Foundation in legal proceedings. Tracks state and federal legislation and legislative proposals.

Human resources and training.

Management Information Systems and Telecommunications

**Issues:**

**Population Served:**

All staff operate out of a central Albany office and they support the Foundation Board and staff, as well as carry out directives from the Executive

**Performance Measures:**

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### New York State Foundation for Science, Technology and Innovation (NYSTAR) PROGRAM INFORMATION SHEET

**Program:** Technology Transfer Initiative Program

**Mandate:**

The program is governed by §209-p of the Executive law

**Mandated Funding Level:**

None

**Brief Description/History/Background:**

The Technology Transfer Incentive Program, created in 1999, is specifically designed to help business in collaboration with universities to make the rapid transfer of new ideas and technology from the research lab to the marketplace. Ultimately, it is the commercialization and market transfer where the greatest opportunities for high tech growth and commercialization. In 2008, the law was amended to allow research institutions to participate in the program.

**Issues:**

Per statute, funds appropriated for this program are to enhance technology transfer from universities and research institutions to businesses within New York State.

**Population Served:**

Institutions of higher education, research institutions and businesses that are working to commercialize emerging technologies .

**Performance Measures:**

NYSTAR uses the following metrics to measure contract performance: Invention Disclosures; Patent Applications; Patents Received; Licensing Agreements entered into; Research Grants Applied For; Research Grants Received; Companies Created; New Jobs Created (either professional, manufacturing, or support); Jobs Retained (either professional, manufacturing, or support); Total Wages; Increase in Company Sales; Company Savings; Additional Funds Acquired by Company (venture, SBIR, other research funds); Capital Improvements; and Royalty Income.

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New York State Foundation for Science, Technology and Innovation (NYSTAR)  
**PROGRAM INFORMATION SHEET**

**Program:** Security Through Advanced Research and Technology (START)

**Mandate:**

Line item

**Mandated Funding Level:**

None

**Brief Description/History/Background:**

High-Technology Matching Grants Program, provides matching grants to help colleges and universities secure Federal and other research funding.

**Issues:**

None

**Population Served:**

Colleges and universities and collaborating industry partners.

**Performance Measures:**

NYSTAR uses the following metrics to measure contract performance: Invention Disclosures; Patent Applications; Patents Received; Licensing Agreements entered into; Research Grants Applied For; Research Grants Received; Companies Created; New Jobs Created (either professional, manufacturing, or support); Jobs Retained (either professional, manufacturing, or support); Total Wages; Increase in Company Sales; Company Savings; Additional Funds Acquired by Company (venture, SBIR, other research funds); Capital Improvements; and Royalty Income.

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### New York State Foundation for Science, Technology and Innovation (NYSTAR) PROGRAM INFORMATION SHEET

**Program:** Science & Tech Law Center

**Mandate:**

The program is governed by §209-q of the Executive law.

**Mandated Funding Level:**

None

**Brief Description/History/Background:**

The Science and Technology Law Center, created in 1999, to advise the Centers for Advanced Technology (CATs) and other academic institutions on all technology-related legal issues, and any other services deemed necessary by NYSTAR, including but not limited to: (a) conducting research on legislation, regulations and legal decisions that impact the flow of technology transfer and academic research; (b) entering into a memorandum of understanding with the Centers for Advanced Technology and other academic institutions to provide legal assistance to the institutions; (c) working directly with startup and early stage technology companies outside of institutional settings; and (d) working with the Centers in creating and hosting venture capital fairs.

**Issues:**

NYSTAR recently awarded a three year designation to Syracuse University.

**Population Served:**

The Science and Technology Law center advises the Centers for Advanced Technology (CATs), other academic institutions as well as the Regional Technology Development Centers on technology-related legal issues, on issues of patents, licenses, and high tech commercialization. It also is a resource to state government on the promulgation of intellectual property policy.

**Performance Measures:**

NYSTAR monitors forums and conferences to discern their usefulness to the business and academic communities. It reviews reports and white papers issued by the Law Center to apprise academia, entrepreneurs, and small business of the latest trends and changes in patent law and intellectual property public policy. NYSTAR also solicits feedbacks from the CAT's and other Centers to determine the effectiveness of outreach of the STLC.

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### New York State Foundation for Science, Technology and Innovation (NYSTAR) PROGRAM INFORMATION SHEET

**Program:** Small Business Innovation Research (SBIR)

**Mandate:**

Federal program that complements Public Authorities Law §3102-c

**Mandated Funding Level:**

None. Operational funding for outreach specialists are provided through appropriations to NYSTAR's Regional Technology Development Centers program (Industrial Technology Extension Service and Technology Development Organization). Specific Grants to businesses are made directly by the Federal SBIR Program to the recipient.

**Brief Description/History/Background:**

SBIR is a federal program, started in 1984, which funds high-risk projects at the earliest stages of technology development - before companies can attract venture capital - and using a three-phase approach, helps companies move new technologies from idea to commercialization. NYSTAR's nationally recognized SBIR outreach program helps companies to prepared applications and participate in this important source of capital. This program stimulates high risk or advanced technology research and development.

**Issues:**

None.

**Population Served:**

Small technology companies and entrepreneurs.

**Performance Measures:**

Number of SBIR proposals applied for and received.

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### New York State Foundation for Science, Technology and Innovation (NYSTAR) PROGRAM INFORMATION SHEET

**Program:** Regional Technology Development Centers (RTDC)

**Mandate:** Public Authorities Law § 3102-d; Executive Law Art. 10-B)

**Mandated Funding Level:**

None, though Federal funds require either state or local matching funds. The State TDO Funding also requires a local match.

**Brief Description/History/Background:**

Regional Technology Development Center (RTDC) supports a statewide network of regional, non-profit organizations to provide basic and specialty services by combining resources from two state programs (Industrial Technology Extension Service (ITES) and Technology Development Organization (TDO) with support from the Federal Manufacturing Extension Program (MEP).

**Issues:**

Uncertainty in federal and state funding levels create concerns for centers that are considering new programs and methods of assisting companies. Program Funding provides significant operational support for the RTDCs.

**Population Served:**

NYSTAR has designated ten economic development centers throughout the state to provide basic and specialty services to small and medium sized manufacturers, science and technology-based businesses, and start-ups in need of basic business advice and new technologies and methods to modernize their operations.

**Performance Measures:**

NYSTAR uses the following metrics to measure contract performance: New Jobs Created (either professional, manufacturing, or support); Jobs Retained (either professional, manufacturing, or support); Total Wages; Increase in Company Sales; Company Savings; Additional Funds Acquired by Company (venture, SBIR, other research funds); and Capital Improvements. Measures are gathered through an independent survey company.

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### New York State Foundation for Science, Technology and Innovation (NYSTAR) PROGRAM INFORMATION SHEET

**Program:** James D. Watson Investigator Program

**Mandate:**

The program is governed by §209-s of the Executive law.

**Mandated Funding Level:**

The program began in 2002 providing \$200,000 over a two year period, to investigators who perform research in the life sciences or other life science enabling disciplines such as engineering, material science, chemistry, computer science, electronics, physics, bioinformatics, nanotechnologies, and applications of microelectronics and micro-electromechanical devices.

**Brief Description/History/Background:**

The James D. Watson Investigator Program was created to recognize outstanding early career scientists who demonstrate the potential for leadership in their fields and who demonstrate an entrepreneurial spirit to help foster economic development in New York State.

**Issues:**

There were no new appropriations for this Program in the FY 08-09.

**Population Served:**

Per statute, eligible applicants for grants issued under this program shall be: full-time staff members who are United States citizens or legal permanent residents; have been awarded their doctoral degrees; and have less than five years of post-doctoral experience; and are conducting research in the life sciences or in enabling sciences as defined in this article. All applicants must demonstrate expertise in the life sciences or in the enabling science discipline as stated in their application.

**Performance Measures:**

NYSTAR uses the following metrics to measure contract performance: Invention Disclosures; Patent Applications; Patents Received; Licensing Agreements entered into; Research Grants Applied For; Research Grants Received; Companies Created; New Jobs Created (either professional, manufacturing, or support); Jobs Retained (either professional, manufacturing, or support); Total Wages; Increase in Company Sales; Company Savings; Additional Funds Acquired by Company (venture, SBIR, other research funds); Capital Improvements; and Royalty Income.

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### New York State Foundation for Science, Technology and Innovation (NYSTAR) PROGRAM INFORMATION SHEET

**Program:** High Technology Matching Grants

**Mandate:**  
None

**Mandated Funding Level:**  
None. State Funds are often committed to leverage a larger Federal Award.

**Brief Description/History/Background:**

Appropriations in this Program usually initiate with an Executive Commitment to supporting a University Technology Initiative that will leverage considerable Federal or private matching dollars. Initiatives currently supported include: Albany CAIST; Albany INDEX; Columbia Nanocale; Columbia Materials Res. (MRSEC); Cornell Nanobiotech (NBCE); Cornell Materials Res.; Cornell Nanoscale; Cornell NNIN; CUNY NASA; RPI Focus Center; RPI Nanoscale; Stony Brook DNDO; Syracuse SAID.

**Issues:**

**Population Served:**

**Performance Measures:**

NYSTAR uses the following metrics to measure contract performance: Invention Disclosures; Patent Applications; Patents Received; Licensing Agreements entered into; Research Grants Applied For; Research Grants Received; Companies Created; New Jobs Created (either professional, manufacturing, or support); Jobs Retained (either professional, manufacturing, or support); Total Wages; Increase in Company Sales; Company Savings; Additional Funds Acquired by Company (venture, SBIR, other research funds); Capital Improvements; and Royalty Income.

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### New York State Foundation for Science, Technology and Innovation (NYSTAR) PROGRAM INFORMATION SHEET

**Program:** Focus Center

**Mandate:**  
None

**Mandated Funding Level:**

In the 1990's the Executive Committed to provide up to \$5 million annually for the duration of their designation.

**Brief Description/History/Background:**

Focus Center–New York (FC-NY) and its founding members, the University at Albany and Rensselaer Polytechnic Institute (RPI), participate with four other academic research institutions [Georgia Institute of Technology (Georgia Tech), Stanford University, Massachusetts Institute of Technology (MIT), University of California at Los Angeles] in a national research program known as the Focus Center Research Program.

The overarching goal of the program is to act as a fully integrated, long-term, research and development resource for the creation of future generations of integrated circuitry (IC) products.

**Issues:**

**Population Served:**

**Performance Measures:**

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### **New York State Foundation for Science, Technology and Innovation (NYSTAR) PROGRAM INFORMATION SHEET**

**Program:** Faculty Development Program

**Mandate:**

The program is governed by Article 10-B, §209-a and §209-p of the Executive law.

**Mandated Funding Level:**

None

**Brief Description/History/Background:**

The NYSTAR Faculty Development Program began in 1999, assisting institutions of higher education in New York State in the recruitment and retention of leading entrepreneurial research faculty in science and technology fields with strong commercial potential. In 2008, the law was amended to make research institutions eligible to participate in the program.

**Issues:**

None

**Population Served:**

Per statute, consideration for the allocation of awards shall be given to all institutions of higher education within the state provided such institutions demonstrate to the satisfaction of NYSTAR a specific need for such funds and the manner in which such award for the recruitment and retention of research faculty would enhance the research capabilities and reputation of the institution.

**Performance Measures:**

NYSTAR uses the following metrics to measure contract performance: Invention Disclosures; Patent Applications; Patents Received; Licensing Agreements entered into; Research Grants Applied For; Research Grants Received; Companies Created; New Jobs Created (either professional, manufacturing, or support); Jobs Retained (either professional, manufacturing, or support); Total Wages; Increase in Company Sales; Company Savings; Additional Funds Acquired by Company (venture, SBIR, other research funds); Capital Improvements; and Royalty Income.

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### New York State Foundation for Science, Technology and Innovation (NYSTAR) PROGRAM INFORMATION SHEET

**Program:** Community College Tech Workforce

**Mandate:**  
No

**Mandated Funding Level:**  
None

**Brief Description/History/Background:**

Grants to Onondaga, Monroe and Hudson Valley Community Colleges to establish workforce development and training programs to address the crippling lack of a trained labor pool in the rapidly expanding fields of renewable/alternative energy, energy conservation, and sustainable design and construction.

**Issues:**

This Program was a Legislative add in the FY 07-08 Budget for a 3 year pilot at three community colleges. The ultimate payoff will be a skilled labor force, business development, economic revitalization, technical innovation, and Upstate population retention.

**Population Served:**

Young adults, mid-career adults, entrepreneurs and businesses and manufacturers needing a skilled workforce.

**Performance Measures:**

NYSTAR uses the following metrics to measure contract performance: course development and offerings, student enrollment, retention and graduation, employer demand for program graduates, acceptance rates for transfer students to 4 year schools, over-time application and retention rates, and employer assessment of program graduates.

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### New York State Foundation for Science, Technology and Innovation (NYSTAR) PROGRAM INFORMATION SHEET

**Program:** College Applied Research & Technology Centers (CART)

**Mandate:**

The program is governed by §209-t

**Mandated Funding Level:**

None

**Brief Description/History/Background:**

The CART Program, established in 2002, is designed to: spur technology-based research and economic development in New York; promote research collaboration and innovation with New York businesses; promote workforce development; better leverage State funding with investments from the Federal government, industry, foundations, and not-for-profit organizations with an economic development mission; and increase competitiveness of New York companies.

**Issues:**

None

**Population Served:**

Per statute, college or college-affiliated research institute or a consortium of such institutions who collaborate with private industry. There was funding for three CART's - but only two have been designaed -- One at Marist College and the other at Staten Island.

**Performance Measures:**

NYSTAR uses the following metrics to measure contract performance: Invention Disclosures; Patent Applications; Patents Received; Licensing Agreements entered into; Research Grants Applied For; Research Grants Received; Companies Created; New Jobs Created (either professional, manufacturing, or support); Jobs Retained (either professional, manufacturing, or support); Total Wages; Increase in Company Sales; Company Savings; Additional Funds Acquired by Company (venture, SBIR, other research funds); Capital Improvements; and Royalty Income.

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### New York State Foundation for Science, Technology and Innovation (NYSTAR) PROGRAM INFORMATION SHEET

**Program:** Center for Advanced Technology (CAT)

**Mandate:**

New York Consolidated Laws Public Authorities Article 10-A New York State Science and Technology Foundation § 3102-b. Centers for advanced technology.

**Mandated Funding Level:**

The current appropriations funds 15 Center's annually. There is no mandated funding level, State funding does request at least a 2:1 local match.

**Brief Description/History/Background:**

The CAT Program, established in 1982, is designed to spur technology-based applied research and economic growth in New York; encourage applied research collaboration and innovation with industry; promote workforce development; better leverage State funds with investments from the Federal government, industry, foundations, and not-for-profit economic development organizations; and increase the competitiveness of New York State companies.

**Issues:**

Many of the CAT's are approaching or have surpassed twenty years of existence and funding. Often they are a significant component of regional commercialization efforts, and attempts to scale back or eliminate this program have met with

**Population Served:**

Per statute, university or university-affiliated research institute or a consortium of such institutions

**Performance Measures:**

NYSTAR uses the following metrics to measure contract performance: Invention Disclosures; Patent Applications; Patents Received; Licensing Agreements entered into; Research Grants Applied For; Research Grants Received; Companies Created; New Jobs Created (either professional, manufacturing, or support); Jobs Retained (either professional, manufacturing, or support); Total Wages; Increase in Company Sales; Company Savings; Additional Funds Acquired by Company (venture, SBIR, other research funds); Capital Improvements; and Royalty Income.

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### **New York State Foundation for Science, Technology and Innovation (NYSTAR) PROGRAM INFORMATION SHEET**

**Program:** CAT Development Program

**Mandate:**

This program is governed by Executive Law §209-p

**Mandated Funding Level:**

None

**Brief Description/History/Background:**

The Centers for Advanced Technology Development Program, created in 1999, enhance and expand the capabilities of existing Centers for Advanced Technology (CAT) that have achieved a record of success and demonstrate significant potential to increase the economic impact generated by the CAT with New York business.

**Issues:**

There have been no new CAT Development appropriations since 2005. No CAT Development awards have been made since 2006.

**Population Served:**

Per statute, only institutions hosting Centers for Advanced Technology (CATs) are eligible.

**Performance Measures:**

NYSTAR uses the following metrics to measure contract performance: Invention Disclosures; Patent Applications; Patents Received; Licensing Agreements entered into; Research Grants Applied For; Research Grants Received; Companies Created; New Jobs Created (either professional, manufacturing, or support); Jobs Retained (either professional, manufacturing, or support); Total Wages; Increase in Company Sales; Company Savings; Additional Funds Acquired by Company (venture, SBIR, other research funds); Capital Improvements; and Royalty Income.

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### New York State Foundation for Science, Technology and Innovation (NYSTAR) PROGRAM INFORMATION SHEET

**Program:** Capital Facility Program

**Mandate:**

The program is governed by §209-p of the Executive law.

**Mandated Funding Level:**

The program provided \$95 million for capital projects. \$47.5 million was appropriated to NYSTAR, and \$47.5 million was appropriated through SUNY Capital Funds. The SUNY funds had to be awarded to SUNY institutions.

**Brief Description/History/Background:**

The award for the Capital Facility Program were made in 2001. The \$95 million for the program was divided up into two segments, \$85 million for the creation of Strategically Targeted Academic Research (STAR) Centers and \$10 million for Advanced Research Centers (ARC). From these funds six STAR Centers and five ARCs were funded.

**Issues:**

This program was only provided funding for the initial round of awards and no new awards have been made since 2001.

**Population Served:**

Per statute, only institutions hosting Centers for Advanced Technology (CATs) were eligible to compete for STAR Center funding. All New York State institutions for higher education were eligible to compete for ARC funding.

**Performance Measures:**

NYSTAR uses the following metrics to measure contract performance: Invention Disclosures; Patent Applications; Patents Received; Licensing Agreements entered into; Research Grants Applied For; Research Grants Received; Companies Created; New Jobs Created (either professional, manufacturing, or support); Jobs Retained (either professional, manufacturing, or support); Total Wages; Increase in Company Sales; Company Savings; Additional Funds Acquired by Company (venture, SBIR, other research funds); Capital Improvements; and Royalty Income.