



Oklahoma Center for the Advancement of Science and Technology

Small Business Technology Transfer (STTR) Phase II Matching Funds Program

Fiscal Year 2014 Solicitation

Submission Dates: July 12, 2013 through June 30, 2014
Closing Date: June 30, 2014

For additional information contact:

**Oklahoma Center for the Advancement of
Science and Technology
Programs Division
755 Research Parkway, Suite 110
Oklahoma City, OK 73104**

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Toll Free: 866-265-2215
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E-mail: uwgxp@ctvplg@ocast.ok.gov
Web Site: www.ocast.ok.gov**

OCAST Small Business Technology Transfer (STTR)
Matching Funds Program
Fiscal Year 2012 Solicitation

A. PROGRAM DESCRIPTION

The OCAST STTR Matching Funds Program is designed to award matching funds to Oklahoma firms who (1) have been awarded a federal STTR Phase I award and (2) have submitted a qualified Phase II proposal to a participating federal government agency.

STTR is administered by 5 federal agencies for the purpose of providing research and development funding to small companies. Companies compete for funding by submitting proposals in response to solicitations issued by participating federal agencies. The federal program provides for funding competitions in two phases: Phase I - to conduct feasibility research; Phase II - to expand and develop Phase I results. The federal program also includes a Phase III which provides commercialization support for the product or process developed in Phase II. For more information about the federal STTR program go to: www.sbirworld.com

Through the STTR Matching Funds Program, OCAST will match an eligible Oklahoma firm's federal Phase I STTR award at the rate of \$.50 on the dollar, with a maximum award of \$25,000, if that firm submits a qualified Phase II proposal to any participating federal agency, or a federal "Fast Track" proposal through the Department of Defense (DoD) or the National Science Foundation ("NSF"). "Fast Track" programs which may be initiated by other federal agencies may not fit OCAST's program provisions, and thus would not be eligible for funding under the "Fast Track" provisions of this solicitation, (see section K for specific information about "Fast Track").

B. PROGRAM PURPOSE

The Oklahoma Center for the Advancement of Science and Technology (OCAST) has a statutory mandate to develop a program to provide State-matching support for federal STTR program grants awarded to Oklahoma firms. The purpose of the OCAST STTR Matching Funds Program is to provide 'Interim funding' which bridges the funding gap between the end of the federal Phase I and the beginning of the federal Phase II. The program helps the Phase I award-winning firm pursue the more substantial Phase II awards, toward the ultimate end of Phase III, commercialization.

The goals of the program are: (1) to increase the amount of federal research dollars received by Oklahoma firms; (2) to help sustain Oklahoma companies through the funding gap period between the final federal Phase I payment and the first federal Phase II payment and (3) to encourage the establishment and growth of high-quality, small advanced technology firms in the State of Oklahoma.

C. DEFINITIONS

1. **Applicant** - a small business that submits an application for an award under this Program Solicitation.
2. **Award** - financial assistance provided pursuant to a contract that matches a Recipient's federal STTR Phase I award at a rate of \$.50 on the dollar with a maximum award of \$25,000.
3. **Federal SBIR "Fast Track" Program** - Federal program designed to provide interim federal funding between the

completion of the federal SBIR Phase I grant and the beginning of the federal SBIR Phase II grant. The federal SBIR "Fast Track" program only applies to those federal agencies that have elected to participate in the federal "Fast Track" initiative.

4. **Recipient** – an Applicant who has been approved to receive an award under this Program Solicitation.
5. **"Research Institute"** means an Oklahoma based university or nonprofit research laboratory as defined in the relevant federal agency's STTR solicitation.
6. **"Small business"** – a business concern that is at least 51 percent owned and controlled by one or more individuals who are citizens of, or permanent resident aliens, in the United States and that does not have more than 500 employees, including its affiliates.

D. APPLICANT ELIGIBILITY

In order to be eligible to be considered for an award under this program, the applicant must meet the following qualifications:

1. Applicant must meet all federal STTR eligibility requirements.
2. Applicant must be a for-profit Oklahoma-based small business.
3. Applicant must have (a) won a Phase I STTR award from a participating federal agency, (b) submitted a final Phase I report; (c) demonstrated that the federal agency has an interest in this Phase II proposal, e.g. an invitation to submit a Phase II proposal from the federal agency; (d) submitted such proposal to the federal agency.

4. Applications must be received by OCAST no later than 45 days from the date the Phase II application was submitted to the federal agency. Any application received by OCAST after 45 days will be returned without consideration.
5. Applicant may not receive concurrent funding support from other sources, which duplicate the purpose of the funds to be provided by OCAST.
6. Applicant must certify that at least fifty-one percent (51%) of the proceeds of the federal Phase II award will be spent in Oklahoma.
7. Applicant may not apply for an OCAST STTR Matching Funds Program award if the Applicant has received an award during the current fiscal year (July 1, 2011 through June 30, 2012).
8. Any applicant that, in OCAST's judgment, has failed to correct a material breach of a contract awarded under any of OCAST programs will not be eligible to submit an application.

E. FUNDING TERMS

1. For FY 2012 only, the first year the program is operational, the eligibility date for submission of STTR Phase II proposals will be retroactive to January 1, 2011. No applications will be accepted based on STTR Phase II proposals submitted to federal agencies before January 1, 2011. The 45 day window will not be in effect for federal applications submitted between January 1, 2011 and June 30, 2012.
2. Beginning in FY 2012, providing funds are available, applicants must apply for

state funding within 45 calendar days from the date they submitted their federal application. The company must submit documentation of the date the Phase II application was submitted and received by the federal agency.

3. Applications will be considered, and funds awarded, on a first-come, first-served basis within this application period or until the funds available for this program have been exhausted.
4. So long as funds remain available, for each approved application, funds will be awarded in an amount equal to 50% of the federal STTR Phase I award, not to exceed \$25,000.

F. APPLICATION REQUIREMENTS

Applications must include ALL of the documents specified below in order to be considered complete. Incomplete applications *may be returned to the applicant without further review*. Each applicant must submit the following documents in the order listed below:

1. A completed OCAST STTR Matching Funds Program application form (Appendix attached).
2. A copy of a document proving the legal existence of the applicant's organization, such as articles of incorporation, partnership agreements, or a notarized affidavit of sole proprietorship, indicating name and location of business.
3. Evidence that the STTR Phase I final report was received and accepted by the federal agency for which the research was conducted and that terms of the STTR Phase I contract between the company and the participating federal

agency were met satisfactorily by the company. Such evidence must include:

- a. a copy of the STTR Phase I contract;
- b. a copy of the STTR Phase I final report (portions which are non-proprietary/ nonclassified);
- c. verification of the final payment to the applicant under the federal STTR Phase I contract. In the event that final payment is pending, a copy of the final invoice submitted to the federal agency shall be accepted as documentation of the firm's successful compliance with the federal STTR Phase I Contract.

4. A copy of the federal STTR Phase II proposal that has been submitted to the participating federal agency (portions which are non-proprietary/nonclassified).
5. Proof that the federal STTR Phase II proposal has been submitted to and received by the participating federal agency. Documentation must include the date the federal agency received the application.
6. A notarized statement, signed by an authorized official of the applicant firm, attesting that:
 - a. the applicant is eligible to submit an STTR Phase II proposal;
 - b. the applicant has not received and will not solicit funds from any other source which duplicates the purpose of the funds to be provided by OCAST and;
 - c. in the event the firm is awarded a federal Phase II grant or contract, as

a minimum, fifty-one percent (51%) of the proceeds of that federal Phase II award shall be spent in Oklahoma.

NOTE: If proprietary or classified material is excluded from the STTR Phase II Matching Funds Program application, the applicant must submit a notarized statement, signed by an authorized official of the applicant firm, attesting to the fact that the excluded material is proprietary or classified and that economic harm or violation of federal rules pertaining to classified materials will result if such materials are submitted.

G. APPLICATION PREPARATION AND SUBMISSION

Applicants **must** use the required forms and comply with all requirements of this solicitation. The required documents listed in the previous section **must** be assembled in the following order and **include a clearly marked cover page identifying each section.**

Section 1. Application Forms

Section 2. Proof of Firm's Existence

Section 3. Evidence that the STTR Phase I Final Report was received and accepted by the Federal Agency

Section 4. Copy of Federal Phase II Proposal

Section 5. Proof that the Federal STTR Phase II Proposal has been Submitted to the Federal Agency

Section 6. Notarized Statements

The documents comprising the application must be stapled together in the upper left-hand corner and delivered to OCAST by mail, carrier service or in person at the following address:

Sherry Roberts
Small Business Research Assistance
OCAST
755 Research Parkway, Suite 110
Oklahoma City, OK 73104

All materials pertaining to the application must be received by OCAST no later than 5:00 PM, June 30, 2012. No applications or supplemental materials submitted in response to this solicitation shall be accepted after 5:00 PM, June 30, 2012, or when awards funds have been exhausted, except for supplemental material requested by OCAST.

H. APPLICATION REVIEW AND APPROVAL

1. OCAST staff will review applications to ascertain compliance with the requirements of this solicitation on a first-come first-served basis during the state's fiscal year (July 1 through June 30).
2. To qualify for funding, applications must be complete and in full compliance with all requirements in this solicitation. **NOTE: OCAST staff may return incomplete or non-compliant applications *without further review*.** At their discretion, OCAST staff may request supplemental materials from the applicant. If OCAST staff requests supplemental materials, **such materials must be received within 15 days of the date of the request or the application may be returned to the applicant *without further review*.**

3. Applications will be approved on the basis of satisfactory compliance with all requirements as stated in this solicitation.
4. A decision by OCAST to disapprove an application may be appealed to the Oklahoma Science & Technology Research and Development (OSTRaD) Board of Directors. All appeals must be submitted to the OSTRaD Board within thirty (30) days of receipt of the notice of disapproval.

I. AWARD CONTRACT

1. The mechanism for funding approved applications is a professional services contract between OCAST and the recipient. The contract shall include commitments on the part of the Recipient to comply with all requirements described in this STTR Matching Funds Program solicitation.
2. Terms of the contract shall also include the following requirements:
 - a. Status reports must be filed with OCAST every six (6) months between the start date of the OCAST contract and the submission of the final report. The Recipient shall prepare the Status Report as outlined in Appendix B of this solicitation.
 - b. A final report shall be filed with OCAST within 30 days of notification of federal Phase II contract award or denial. The Recipient shall prepare the Final Report as outlined in Appendix C of this solicitation when submitting the final report.
3. The Recipient shall provide OCAST with requested information for OCAST's annual STTR Matching Funds Program

survey for a period of up to five (5) years following receipt of the OCAST award.

4. If notification regarding award of a Phase II contract is received from the federal agency within six months of the start date of the OCAST contract, the status report will be waived, and only a final report will be required.
5. Failure to file a final report as required may cause the Recipient to be barred from receiving further OCAST STTR-related funding.
6. The Recipient, or designated fiscal agent, shall maintain records and accounts that properly document and account for the source and application of all OCAST funds for a minimum of five (5) years. All such records and accounts shall be made available on demand by OCAST for inspection and use in carrying out its responsibilities for administration of the funds.
7. The Recipient or designated fiscal agent shall comply with the audit policy of OCAST and shall provide OCAST timely copies of reports on any audits that include funds received from OCAST.
8. In the event that an audit results in the determination that the Recipient has expended contract funds on unallowable costs, the Contractor shall reimburse OCAST in full for all such costs.
9. Recipients will receive **two** sets of contract documents, which must be signed, dated, and **both copies** returned to OCAST. A fully executed contract will be returned to the applicant. Upon receipt and approval of the signed contract documents, payment will be processed and a warrant mailed to the applicant.

J. "FAST TRACK" PROVISION

1. **"Fast Track" Applicant Eligibility** - In order to be eligible to be considered for an award under the "Fast Track" provisions of the OCAST STTR Matching Funds Program, the applicant participating in any federal STTR "Fast Track" program must comply with all provisions set forth in this solicitation and in addition must:

- a. have applied for a federal Phase II STTR award through the "Fast Track" program, and;
- b. provide evidence of participation in the "Fast Track" program.

NOTE: Companies that are participating in the federal "Fast Track" program with a federal agency which requires its federal Phase I, "Fast Track", and federal Phase II applications to be submitted at the same time, will not be eligible under the "Fast Track" provisions of the OCAST STTR Matching Funds Program until that company has obtained a fully-executed federal STTR Phase I contract with a confirmed budget.

2. **"Fast Track" Funding Terms** - Funding for approved OCAST "Fast Track" Matching awards will be disbursed to an awardee only when OCAST has received all documentation required under Section H, and the firm's Phase I final report. The Phase I final report must be submitted to OCAST within 12 months of the OCAST contract start date.

3. **"Fast Track" Application Requirements** Applicant must submit evidence that the STTR "Fast Track" application and STTR Phase II application were submitted in accordance with the requirements outlined

by the federal agency solicitation. Such evidence must include:

- a. a copy of the STTR Phase I contract;
- b. a copy of the federal STTR "Fast Track" application or a copy of the federal STTR Phase I and Phase II application cover sheet(s) which indicates application to the federal "Fast Track" program;
- c. verification of the amount paid to the applicant under the federal Phase I contract, including a copy of the invoice(s) and/or pending invoice(s) submitted to the federal agency and;
- d. a copy of the STTR Phase I final report (portions which are non-proprietary and nonclassified) when the federal Phase I project is completed.

4. **"Fast Track" Application Review, Approval, and Award** - Upon approval by the OSTRaD Board of Directors, a letter will be mailed to the awardee indicating the approved award amount and stipulating that funds will be disbursed only upon receipt of all documentation required under this solicitation; specifically, the federal Phase I final report and documentation of payment. The awardee may then forward a copy of this letter to the applicable federal agency to satisfy the requirements of the federal STTR "Fast Track" application.

K. GENERAL TERMS AND CONDITIONS

1. No oral statement of any person shall modify or otherwise affect the terms and conditions of this Solicitation.

2. OCAST may reject any application that does not comply with the requirements of this Solicitation.
3. OCAST may withdraw this Solicitation at any time.
4. This Program is funded by State appropriations and awards are contingent upon the availability of State funds.

L. RELEASE OF INFORMATION

OCAST is subject to the Oklahoma Open Meetings Act and the Open Records Act. However, *“marketing plans, financial statements, trade secrets, research concepts, methods or products, or any other proprietary information shall be confidential, except to the extent that the person or entity which provided such information or which is the subject of such information consents to the disclosure.”* 74 O.S. § 5060.7.

OCAST may use the contents from applications for the required OCAST Annual Report or other publications without obtaining permission from the applicant unless the contents are confidential under State or Federal law and are identified as confidential by the Applicant.

M. INQUIRIES

Inquiries about the OCAST STTR Matching Funds Program should be addressed to:

OCAST Programs
755 Research Parkway, Suite 110
Oklahoma City, OK 73104

Current solicitations for OCAST funding programs and information about small business support is available on-line at: www.ocast.ok.gov

Current federal solicitations and information about the federal program may be found at: www.sbir.com

N. WORKSHOPS

OCAST will conduct workshops on application preparation during State Fiscal Year 2012. For additional information about the workshops or the OCAST STTR program in general, please contact:

405/319-8408
Toll free: 866/265-2215
steven.martinez@ocast.ok.gov

O. COMMERCIALIZATION SUPPORT

Commercialization support is available through:

i2E, Inc
840 Research Parkway, Suite 250
Oklahoma City, Oklahoma 73104
405/235-2305

On the web at: www.i2E.org
Toll Free: 800/337-6822

For OCAST Use Only

Application #	Contract #	Date Received	Date approved/denied by OSTRaD Board of Directors
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Oklahoma Center for the Advancement of Science and Technology (OCAST)

**OCAST Small Business Technology Transfer (STTR)
FY 201& Matching Funds Program**

1. Firm name		2. Federal tax ID number	
3. Firm street address			
(City)	(County)	(State)	(Zip)
4. Firm mailing address (if different from question 3)			
(City)		(State)	(Zip)
5. Previous names, if any, used by your firm (other than name listed in question 1 of this application)			

6. Firm telephone number ()	10. Oklahoma State House of Representatives district number
7. Firm fax number ()	11. Oklahoma State Senate district number
8. Firm e-mail address	12. Federal Congressional district number
9. Firm Website	13. Federal Agency to which proposal was submitted

14. Principal Investigator (P.I.) [Please type.]	18. Authorized Organizational Official [Please type.]
15. Job Title	19. Job Title
16. Signature and Date	20. Signature and Date
17. E-mail address	21. E-mail address

Research Institution

22. Research institution name			
23. Research institution address <i>(Street Address)</i>			
<i>(City)</i>	<i>(County)</i>	<i>(State)</i>	<i>(Zip)</i>
24. Research institution mailing address (if different from question 26) <i>(Street Address)</i>			
<i>(City)</i>		<i>(State)</i>	<i>(Zip)</i>

25. Research institution telephone number ()	30. Oklahoma State House of Representatives district number
26. Research institution fax number ()	31. Oklahoma State Senate district number
37. Research institution e-mail address	32. Federal Congressional district number
28. Research Institute Principal Investigator (P.I.) <i>if applicable</i>	33. Research Institute Co-PI [if applicable]
29. Research Institute PI E-mail	34. Research Institute Co-PI E-mail

35. Research institution Website

36. Project Title and three sentence description in lay terms.
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APPENDIX A APPLICATION FORM

Firm Business Information:

37. Check the appropriate box that best describes your firm's main business activity

- | | | |
|---|--|--|
| <input type="checkbox"/> AUT - Factory Automation | <input type="checkbox"/> ENR - Energy | <input type="checkbox"/> PHO - Photonics |
| <input type="checkbox"/> BIO - Biotechnology | <input type="checkbox"/> ENV - Environmental | <input type="checkbox"/> SOF - Computer Software |
| <input type="checkbox"/> CHE - Chemicals | <input type="checkbox"/> MAN - Manufacturing Equipment | <input type="checkbox"/> SUB - Subassemblies/Components |
| <input type="checkbox"/> COM - Computer Hardware | <input type="checkbox"/> MAT - Advanced Materials | <input type="checkbox"/> TAM - Test & Measurement |
| <input type="checkbox"/> DEF - Defense | <input type="checkbox"/> MED - Medical | <input type="checkbox"/> TEL - Telecommunications/Internet |
| <input type="checkbox"/> EDU - Education | <input type="checkbox"/> PHA - Pharmaceuticals | <input type="checkbox"/> TRN - Transportation |

37a. If your STTR Phase II project does not fall within the above general category for your firm, please specify the appropriate category for your firm's project, using the above list.

38. Please describe briefly the main products/processes/services your firm produces

39. SIC - Standard Industrial Code(s) applicable to your firm's main business operations

40. NAIC - North American Industrial Code(s) applicable to your firm's main business operations

27. Types of employees	Current number of employees per category	Current employee number in Oklahoma
a) Professional / Scientific		
b) Management		
c) Technical / Technician		
d) Skilled labor		
e) Unskilled labor		
f) Other (please describe)		

APPENDIX A APPLICATION FORM

28. How will your firm use the OCAST STTR Matching funds, if awarded? Please indicate your best estimate of the percentage expenditures on the table below.

Estimated Percentage Expenditures	OCAST STTR Matching Funds
a) Wages and salaries	%
b) Facility rental	%
c) Supplies	%
d) Research-related equipment	%
e) Computer software	%
f) Consultant fees	%
g) Other (please specify)	%

Commercialization

Based on completion of Phase II of your STTR project and movement into the "Commercialization Phase" (Phase III), your firm may anticipate a variety of outcomes, depending upon the nature of the market for the product or process that is the subject of your Phase II proposal. Please answer the following questions related to **Phase III**, indicating your best estimate of the commercial potential of your product/process.

29. Does your firm's project involve patentable products/processes or copyrightable intellectual property? Yes ___ No ___ [If "No," please go to question 30. If "Yes," please answer Parts a) and b) below.]	
a) What is the estimated number of patents issued or expected to be issued? _____	b) What is the estimated total value of the patents? _____
30. Does your firm plan to manufacture/produce your product/service in Oklahoma? Yes ___ No ___ [If "No," please go to question 31. If "Yes," please answer Parts a) through d) below.]	
a) What do you estimate will be the value (retail) of the product/services sold in the first full year of production? _____	
b). What will be the nature of the market for the product or process that is the subject of your Phase II application? Government ___ Commercial Market ___ Both Government and the Commercial Market ___	
c) Is there a similar product/process on the market today? Yes ___ No ___ <i>If "No," please skip to Part d) below. If "Yes," please answer i) through iv) below.</i>	
i) What is the current unit price? (Designate wholesale or retail) \$ _____	
ii) How many are currently sold annually (Designate nationally or worldwide) _____	
iii) What are the pricing trend / history? (Rising or falling) \$ _____	
iv) What is your firm's current market share, if any? _____ %	
d) Potential Market. (Please attach additional sheets, as necessary, to further explain your market analysis.)	
i) What is your estimate of the unit price at which the product/process will be offered? (Designate wholesale or retail) \$ _____	
ii) How many do you estimate you will sell annually during the first year of sales? (Designate nationally or worldwide) _____	
iii) During the third year of sales? _____	

APPENDIX A APPLICATION FORM

31. Does your firm anticipate making licenses available to producers/manufacturers of your product/process? Yes ___ No ___
[If "No," please go to question 32. If "Yes," please answer Part a) below.]

a) What do you estimate will be the **total value** of the licenses(s)? \$ _____

Follow-on Funding

32. Does your firm have a commitment for follow-on funding at the end of Phase II, other than that listed in Q. 29-31 above? Yes ___ No ___
Is your firm in the process of negotiating for such funding? Yes ___ No ___

If the answer to both questions is "No," please skip to question 33.
If the answer to either question is "Yes," please describe the **nature and approximate dollar value** of the follow-on funding and its **current status**.

33. **Savings for Your Firm.** Your firm may anticipate receiving future financial benefits during the course of this STTR project. Please fill out the following table, giving your **best estimate** of the savings your firm expects, if any, as a result of the project.

	During Phase II
a) In labor costs	\$
b) In materials	\$
c) In energy costs	\$
d) In waste savings	\$
e) Other (please specify)	\$

Estimated Job Impact - Number of full-time equivalent jobs

34. What effect will **OCAST** STTR Matching funds and **federal** STTR Phase II funds, if awarded, have on your firm's employment planning? Please indicate estimated numbers on the table below.

	During Phase II	
If funding is received, what is the number of jobs expected to be created in the following categories, if any?	With OCAST STTR Matching funds	With federal STTR Phase II funds
a) Professional / Scientific		
b) Management		
c) Technical / Technician		
d) Skilled Labor		
e) Unskilled Labor		
f) Other (please describe)		

APPENDIX A APPLICATION FORM

If funding is NOT received, what, if any, is the number of employees that your company may be forced to lay off?	Without OCAST STTR Matching funds	Without federal STTR Phase II funds
a) Professional / Scientific		
b) Management		
c) Technical / Technician		
d) Skilled Labor		
e) Unskilled Labor		
f) Other (please describe)		

SUCCESS RATES.

The following questions (35 & 36) assist OCAST in determining the overall success rates of Oklahoma firms applying for federal SBIR/STTR awards.

35. Has your firm received any federal STTR or STTR awards in the two years?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<i>If "No", please skip to question 36. If "Yes", please supply the following information for each award in the appropriate section. Indicate with an asterisk (*) those proposals for which the firm received an OCAST Award. Attach additional sheets, as needed.</i>		

SBIR/STTR Phase I Applications - Federal Award Received						
Year Federal Award Received	*	Project Title	<i>Check one.</i>		Federal Agency	Award Amount
			SBIR	STTR		

SBIR/STTR Phase II Applications - Federal Award Received						
Year	*	Project Title	<i>Check one.</i>		Federal Agency	Award Amount
			SBIR	STTR		

APPENDIX A APPLICATION FORM

36. Did your firm apply for any **federal SBIR/STTR** awards in the **past two years** that did **NOT** receive federal funding? Yes ___ No ___
If "No", please skip to question 37. If "Yes", please supply the following information for each proposal in the appropriate section. Indicate with an asterisk () those proposals for which the firm received an OCAST Award. Attach additional sheets, as needed.*

SBIR/STTR Phase I Applications - No Federal Award Received					
Year	*	Project Title	<i>Check one.</i>		Federal Agency
			SBIR	STTR	
SBIR/STTR Phase II Applications - No Federal Award Received					
Year Proposal Submitted	*	Project Title	<i>Check one.</i>		Federal Agency
			SBIR	STTR	

STTR Fast Track Program (Fill out this section only if applicable.) **If your firm submitted an STTR "Fast Track" proposal**, please answer the questions (37 & 38). If not, please skip to Question 39.

**APPENDIX A
APPLICATION FORM**

37. Date your firm's federal STTR "Fast Track" proposal was submitted (month / year)
38. Follow-on funding. Does your firm have a commitment for "Fast Track" funding? Yes ____ No ____ If "no", please skip to Question 39. If "yes", please describe the nature and approximate dollar-value of the Fast Track follow-on funding. Attach additional sheets if needed.

RESOURCES

39. a) Are you familiar with the Oklahoma Technology Commercialization Center? Yes ____ No ____
b) Have you ever been a client of the Oklahoma Technology Commercialization Center? Yes ____ No ____
40. a) Are you familiar with the Oklahoma Alliance for Manufacturing Excellence? Yes ____ No ____
b) Have you ever been a client of the Oklahoma Alliance for Manufacturing Excellence? Yes ____ No ____

APPENDIX B APPLICATION FORM

A

OCAST SBTTR MATCHING FUNDS PROGRAM STATUS REPORT REQUIREMENTS

Please summarize the status of your firm at this time in terms of:

- 1) research progress;
- 2) the adequacy of OCAST STTR Matching funds in meeting the company's needs; and
- 3) is the company still prepared to accept a federal Phase II contract if awarded.

If the company is unable to continue operations, even with the OCAST STTR Matching Funds Program award, explain why.

This report is due every six months after receipt of OCAST Matching Funds Program award until the firm receives the federal Phase II award or notification the federal award will not be granted.

This status report must be typewritten, signed and dated by the authorized organizational official.

APPENDIX C APPLICATION FORM

OCAST STTR MATCHING FUNDS PROGRAM FINAL REPORT REQUIREMENTS

The following shall serve as the final report and must be filed with OCAST within 30 days of notification of a federal Phase II contract award or denial. Please provide a thorough and complete response to each of the questions below.

- 1) If your firm was awarded a federal Phase II contract, please state the contract amount.
- 2) If a Phase II contract was awarded but the company was unable or unwilling to accept the contract, please explain.
- 3) Please state whether the company plans to continue the proposed research on its own resources if a federal Phase II contract was not awarded. If this is the case will/did the OCAST STTR Matching Funds Program award contribute to the firm's ability to continue the research?
- 4) Please discuss any material effects the OCAST STTR Matching Funds Program award had on your firm.
- 5) Please discuss how the OCAST award monies were used in support of the research and development.
- 5) Please provide any general comments you may have about this program.

This final report must be typewritten, signed and dated by the authorized organizational official.



**State of Oklahoma
Office of State Finance
Vendor Maintenance**

Vendor/Payee Form

Change Existing Address # _____

Additional Address

The State of Oklahoma requires the following information for all new vendors (payees) before any payments can be made. This information is used to establish you in the State's vendor file. The form must be signed to be valid. This form should not be used to establish Garnishment Vendors or State Employee Vendors.

AGENCY SECTION

Agency Name _____		
Contact Name _____		Phone #: _____ Fax#: _____
1099 Reportable Status	Attention Paying Agency: Please check the Add box on the left if payments to this vendor/Payee are represented by Account Codes listed on page 3 of this form. If the vendor is incorrectly showing as 1099 Reportable, check the Remove box. The PeopleSoft system requires specific details regarding the type of transaction. Please check the box that applies to this vendor:	
<input type="checkbox"/> Add:	<input type="checkbox"/> 1 - Rents	<input type="checkbox"/> 2 - Royalties <input type="checkbox"/> 3 - Prizes & Awards
<input type="checkbox"/> Remove:	<input type="checkbox"/> 6 - Medical & Health Care	<input type="checkbox"/> 7 - Non-Employee Compensation <input type="checkbox"/> 10 - Crop Insurance Proceeds
	<input type="checkbox"/> 14 - Gross Proceeds to an Attorney	
PeopleSoft (Oracle) 10-digit Vendor #: _____		

VENDOR/PAYEE SECTION (Please print or type this information. Complete and fax to requesting State Agency)

Company Name (or Individual, or Government Entity) _____	Phone # _____	Fax # _____
Name on IRS Record (if different than above) _____	Phone # _____	Fax # _____
VENDOR/PAYEE TIN/SSN: _____		
Business Address:		
(PO Box or Street, City, State, 9-Digit Zip Required) _____		E-mail Address _____
Optional Address – check as appropriate:		
If different, <input type="checkbox"/> Pricing <input type="checkbox"/> Ordering <input type="checkbox"/> Invoicing <input type="checkbox"/> Remitting <input type="checkbox"/> Returning		Phone # _____ Fax # _____
(PO Box or Street, City, State, 9-Digit Zip Required) _____		E-mail Address _____
Contact Name & Title: _____		

If different, <input type="checkbox"/> Pricing <input type="checkbox"/> Ordering <input type="checkbox"/> Invoicing <input type="checkbox"/> Remitting <input type="checkbox"/> Returning		Phone # _____ Fax # _____
-----		-----
(PO Box or Street, City, State, 9-Digit Zip Required) _____		E-mail Address _____
Contact Name & Title: _____		
Customer Service Information, if different:		
Phone # _____	Fax # _____	E-mail _____

Vendors/Payees DO NOT fax to numbers below. The form must be returned to the state agency requesting this information. Use OSF_GARNVEND form for Garnishment Vendors.

State Agency, fax completed and signed form to: **OSF, Attention Vendor Maintenance 405-521-3383 or 405-522-0392**

OSF/DCS USE ONLY:	Date Posted: _____	By: _____
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OSF Account Codes for 1099 Reporting - By Category

<input type="checkbox"/> 1 - RENTS	532110 Rent of Office Space 532120 Rent of Land 532130 Rent of Other Building Space 532140 Rent of Equipment and Machinery 532150 Rent of Telecommunications Equip 532160 Rent of Electronic Data Processing Equipment 532170 Rent of Electronic Data Processing Software 532190 Other Rents	<input type="checkbox"/> 2 - ROYALTIES	553170 Royalties	<input type="checkbox"/> 3 - PRIZES AND AWARDS	552140 Incentive Awards – Monetary & Material 552160 Incentive Payments – Oklahoma Horse Breeders & Owners 552170 Incentive Payments – Oklahoma Film Enhancement Rebate
<input type="checkbox"/> 6 - MEDICAL & HEALTH CARE PAYMENTS		515780 Psychiatric & Substance Abuse Hospitals 515880 Specialty Hospitals (except Psychiatric & Substance Abuse) 515890 Nursing Care Facilities 515900 Residential Mental Retardation Facilities 515910 Residential Mental Health & Substance Abuse Facilities 515920 Community Care Facilities for the Elderly 515930 Other Residential Care Facilities 537210 Laboratory Services & Supplies 551230 Medical Services to Indigent (from agencies other than DHS) 551240 Hospital Services to Indigents (from agencies other than DHS) 551250 Other Health Services to Indigents (from agencies other than DHS) 515280 Surveying & Mapping (except geophysical) Services 515290 Testing Laboratories 515300 Interior Design Services 515310 Industrial Design Services 515320 Graphic Design Services 515330 Other Specialized Design Services 515350 Custom Computer Programming Services			
<input type="checkbox"/> 7 - NON-EMPLOYEE COMPENSATION		515600 Telephone Call Centers 515610 Business Service Centers 515620 Collection Agencies 515630 Credit Bureaus 515640 Other Business Support Services 515650 Investigation & Security Services 515660 Educational Services 515940 Individual & Family Services 515950 Community Food & Housing & Emergency & Other Relief Services 515960 Vocational Rehabilitation Services 515970 Child Day Care Services 515980 Arts, Entertainment and Recreation 515990 Other Services (except Public Administration) 531150 Printing and Binding Contract 531160 Advertising 531170 Informational Services 531190 Exhibitions, Shows and Special Events 531220 Burial Charges 531330 Jury and Witness Fees 531390 Payments for Photographing Supplies and Services 533110 Maintenance and Repair of Buildings and Grounds (outside vendors) 533120 Maintenance and Repair- Equipment (outside vendors) 533130 Maintenance and Repair of Telephone Equipment (outside vendors) 533140 Maintenance and Repair of Data Processing Equipment (outside vendors) 533150 Maintenance and Repair of Data Processing Software (outside vendors) 545110 Land Improvements 546210 Buildings and Other Structures –Construction and Renovation 546220 Major Maintenance and Repair of Equipment 547110 Highway and Bridge Construction Expense-Contractual 547120 Maintenance and Repairs to Highways and Bridges 547210 Major Maintenance and Renovation –Bridges 552120 Teacher Stipends (“Incentive” payments) 553160 Legal Settlements Reportable to the IRS 554190 Voter Registration Services			
<input type="checkbox"/> 14 - GROSS PROCEEDS TO AN ATTORNEY		553180 Settlements – Paid To/Thru Attorney			