524-35 175307 P - 16 N93-30716 WORKING PANEL #3 **TECH TRANSFER BETWEEN NASA** AND THE AEROSPACE COMMUNITY

ROBERT SACKHEIM & DENNIS DUNBAR

TECHNOLOGY TRANSFER BETWEEN THE GOVERNMENT AND THE ABROSPACE INDUSTRY

OVERVIEW

THE OBJECT OF THIS WORKING GROUP PANEL IS TO REVIEW QUESTIONS AND ISSUES PERTAINING TO TECHNOLOGY TRANSFER BETWEEN THE GOVERNMENT AND THE AEROSPACE INDUSTRY FOR USE ON BOTH GOVERNMENT AND COMMERCIAL SPACE CUSTOMER APPLICATIONS. TEAM LEADER - ROBERT SACKHEIN - TRW PRESENTER - DEMNIS DUNBAR - GD CLS

SUBTOPIC A - GOVERNMENT CUSTOMER RAPPORTEUR - WALT OSTAD - LOCKHEED

SUBTOPIC B - COMMERCIAL CUSTOMER RAPPORTEUR - NEVILLE MARSWELL - JPL

MEMBERS

HAROLD ADELSON - TRW JOE GERNAND - RI JOHN JENNINGS - NASA C NORM BOWLES - DOT OCST JOE FULLER - FUTRON LEE HOLCOMB - NASA R RON MARINZEL - BDM DENNIS MCGOVERN - MD BSC WILLARD WEAVER - MASA LANGLEY LARRY PALMER - HUGHES HMS DON THURMAN - MASA MSFC DANON WELLS - DOT OCST C.

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TWO TECHNOLOGY PARTNERSHIP MODELS FOR CONSIDERATION



KEY ISSUES AND QUESTIONS

- 1. DOES THE GOVERNMENT EXERT TOO MUCH CONTROL?
- 2. DOES NASA HAVE A CHARTER AND/OR AN INTENT TO SUPPORT / ENHANCE U.S. INDUSTRY COMMERCIAL COMPETITIVENESS?
- 3. TO WHAT EXTENT SHOULD INDUSTRY DEPEND ON THE GOVERNMENT?
- 4. ARE FUNDING PRIORITIES COMPATIBLE WITH NATIONAL PRIORITIES FOR COMMERCIAL COMPETITIVENESS?
- 5. HOW FAR SHOULD THE GOVERNMENT TAKE TECHNOLOGY FOR CONMERCIAL USE?
 - a)
 - R&T BASE AND FOCUSED (LEVEL 5 & 6) BRIDGE TECHNOLOGY (LEVEL 7, 8 & 9) HOW TO FUND BRIDGE TECHNOLOGY b)
 - C)
 - - DIRECT GOVERNMENT FUNDING (CRAD) Investment TAX CREDITS (BASED ON SALES)
 - CRADA / CRDA
 - MANDATED POLICY & INCENTIVES
 - GOVERNMENT FUNDED DENO'S AND FLIGHT TESTS
 - "ANCHOR TENANT" OR "BLOCK BUY" POMTS

GOVERNMENT TO AEROSPACE INDUSTRY (CONTINUED)

KEY ISSUES AND QUESTIONS

- 6. CAN THE GOVERNMENT PROVIDE OTHER BROAD INCENTIVES FOR TECHNOLOGY TRANSFER?
- 7. TO WHAT LEVEL SHOULD THE GOVERNMENT TRANSFER TECHNOLOGY?
 - AS & FUNCTION OF DEVELOPMENT RISK (ACTS)
 - AS A FUNCTION OF GOVERNMENT BENEFITS AND PAYBACK (ELV'S)
- SHOULD THE U.S. MULTI-NODE TECH TRANSFER ORGANIZATION BE 8. MODIFIED IN THE JAPANESE MITI STYLE?
- ARE SBIR'S COST EFFECTIVE FOR LARGE AEROSPACE FIRMS? CAN 9. THERE BE NORE EFFECTIVE UTILISATION?

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- 1. NASA, ONB, NS,C ETC. NEED TO AGREE ON A CHARTER FOR SUPPORTING U.S. COMMERCIAL COMPETITIVENESS.
- 2. NASA AND INDUSTRY NEED & PLAN FOR "BRIDGE" TECHNOLOGY FUNDING.
- 3. COMMERCIAL COMPETITIVENESS NATIONAL PRIORITY VS. FUNDING PRIORITY IS OUT OF BALANCE: MORE FUNDS MEEDED.
- 4. NEED TO REVISIT "OVER-INSTITUTIONALISATION" OF THE TECH TRANSFER PROCESS BY TOO MANY FRDERAL AGENCIES. THIS IS BOUND TO RESULT IN NON-VALUE ADDED COST BURDENS TO THE TECHNOLOGY IMPLEMENTATION PROCESS - ESPECIALLY FOR THE AEROSPACE IMPUSTRY.
- 5. NEED MORE FINANCIAL INCENTIVES FOR INDUSTRY TO TAKE THE RISKS NECESSARY FOR EFFECTIVE TECHNOLOGY TRANSFER TO LARGE SPACE SYSTEMS. (EG: THE NACA - AIRCRAFT INDUSTRY MODEL)

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Subtopic A

Technology Transfer Associated With A Projected Government Application

Dr. Walter Olstad

TECHNOLOGY TRANSFER HODEL



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EFFICIENCY OF TECHNOLOGY TRANSFER

(T₀₁/T₁₀₀) $\eta_{11} \equiv (\mathbf{Pa}_{0} - \mathbf{P}_{10})$ ----- M_{μ} . M_{0} (1 + $M_{\tau\tau\tau}$)

WHERE

 Pa_{ur} Pa_{ur} = PASSION OF "HANDS-ON" USER, TECH. DEVELOPER T_{ur} = DIRECT INTERACTION TIME BETWEEN DEVELOPER & USER T_{uro} = TOTAL PRODUCT DEVELOPMENT TIME N_{r} = NUMBER OF VALUE-ADDING PLAYERS IN PROCESS N_{o} = NUMBER OF DISTINCT ORGANIZATIONS INVOLVED N_{ur} = NUMBER OF TECH. TRANSFER INTERMEDIARIES

LESSONS LEARNED / INSIGHTS

APOLLO

- NASA INDUSTRY TEANWORK
 CLARITY OF NASA AND INDUSTRY ROLES
 RESOURCES AND PASSION OVERCAME OBSTACLES
 TRADITIONAL TRANSFER MECHANISMS PROACTIVELY USED
 STRONG ROLE FOR NASA FACILITIES AND FLIGHT EXPERIMENTS

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- NASA AND INDUSTRY LESS OF A TEAM
 MORE CONFUSION THAN CLARITY ABOUT TECHNOLOGY ROLES
 UNSTABLE REQUIREMENTS DISRUPT TECHNOLOGY DEVELOPMENT
 TRADITIONAL TRANSFER MECHANISMS FORGOTTEN
 UNCERTAIN RESOURCES AND WAVERING PASSION

GOVERNMENT - AEROSPACE INDUSTRY

• MANAGEMENT LACKS UNDERSTANDING OF TECHNOLOGY TRANSFER IMPORTANCE / PROCESS

.

· INDUSTRY ISN'T ANY BETTER

· INADEQUATE PERSONNEL MOBILITY

• GROWTH OF INHIBITING LAWS / REGULATIONS

• KNEE-JERK REACTIONS OF R&T TO PROGRAMMATIC INSTABILITIES

- LOSS OF PASSION IN MASA AND INDUSTRY

GOVERNMENT - AEROSPACE INDUSTRY

TRANSFER MECHANISHS THAT WORK BETWEEN

NASA RET - INDUSTRY

- · PROFESSIONAL/TECHNICAL INTERCHANGE
- · PUBLISHED TECHNICAL MATERIALS
- IRAD REVIEWS
- · PERSONNEL EXCHANGES

- SHARING OF FACILITIES
 CONTRACT R&D
 CONTRACT CONCEPT/SYSTEMS STUDIES
- · SBIR

INDUSTRY - NASA CUSTOMER

- TECHNICAL MARKETING/WHITE PAPERS
- SOLICITATIONS/PROPOSALS CONTRACT CONCEPT/SYSTEMS STUDIES
- PERSONNEL CO-LOCATIONS/LIAISONS USE OF GOVERNMENT FACILITIES
- DATA DELIVERABLES
- · PRODUCT DELIVERABLES (TEST ARTICLES/PROTOTYPES/FINAL)

GOVERNMENT - AEROSPACE INDUSTRY

· CLARIFY NASA VS. INDUSTRY ROLE IN TECHNOLOGY DEVELOPMENT/TRANSFER

- WHAT TECHNOLOGY READINESS LEVEL AND WHY?
- WHO'S THE CUSTOMER?
- · INSTILL PASSION IN NASA FOR TECHNOLOGY TRANSFER
 - CLARIFY OAST/RESEARCH CENTER CHARTERS FOR TECHNOLOGY TRANSFER - PROVIDE POSITIVE INCENTIVES
- . INCREASE "WIN-WIN" PERSONNEL EXCHANGE
 - DEVELOP ASSIGNMENTS
 - MANAGEMENT COMMITMENT AND FOLLOW THROUGH
 - CAREER CHANGES

· INSTITUTE NATIONAL SPACE TECHNOLOGY FACILITIES POLICY

- GROUND-BASED SIMULATION (LARGE SCALE, HIGH COST) SPACE-BASED FACILITIES (QUICK ACCESS, AFFORDABLE)
- · MANAGE TECHNOLOGY TRANSFER
 - RECOGNIZE INDUSTRY'S ROLE IN THE ITP - BUILD CONNECTIVITY AMONG ALL TECHNOLOGY PLANS
- · STREAMLINE PROCUREMENT PROCESS FOR CRAD

GOVERNMENT - AEROSPACE INDUSTRY

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WHO SHOULD DO WHAT

· OAST / RESEARCH CENTER MANAGEMENT / INDUSTRY MANAGEMENT ...

- CLARIFY UNDERSTANDING OF TRANSFER PROCESS
- CLARIFY ROLES FOR OPTIMUM TRANSFER
- · OAST GAIN LONG-TERM COMMITMENT FOR TECHNOLOGY PLAN
- · OAST INCLUDE TRANSFER (AND RECOGNIZE INDUSTRY'S ROLE) IN THE ITP

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- · OAST / RESEARCH CENTERS / INDUSTRY INCREASE INTERACTION AND BECOME & TEAM
- · EVERYONE FIND WAYS TO RECREATE THE PASSION

GOVERNMENT - AEROSPACE INDUSTRY

Subtopic B

Technology Transfer Associated With A Commercial Space Sector Application

Dr. Neville Marzwell

TWO TECHNOLOGY PARTNERSHIP MODELS FOR CONSIDERATION





SUCCESSFUL TEAMS SHARE INFORMATION

MARCH 17 - 19, 1992

FACTORS INFLUENCING TECH-TRANSFER

. TECHNO-ECONOMIC FACTORS

QUALITY OF INFORMATION, MATURITY OF THE TECH. AVAILABILITY OF QUALIFIED / MOTIVATED PERSONNEL, AVAILABILITY OF RESOURCES ÷

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· ORGANISATIONAL FACTORS

CLIMATE, SMOOTHING IN JOINT-DECISION MAKING DONE AT LOWER LEVEL

· COMMUNICATION FACTORS

LEVEL OF COMMUNICATION DEPENDENT ON THE "GAP" BETWEEN BASIC RESEARCH AND READINESS FOR ENGINEERING PROTOTYPING

· TECHNOLOGY MATURITY

INCREASED MATURITY INPLIES LESS RISK AND THEREFORE GREATER PROBABILITY OF SUCCESS

· CULTURAL DIFFERENTIAL

BUSINESS AND PROFESSIONAL PRACTICE







MAJOR BARRIERS AND HINDRANCES TO TECH-TRANSFER (Cont'd)

11. POWER GAMES INTENDED TO MAINTAIN OR PROMOTE PERSONAL AMBITIONS, SUCH AS JOB PROTECTION, COMMERCIAL INTEREST, POLITICAL AMBITIONS, STATUS, OR CONTROL OF THE WORK SITUATION. USUALLY TAKES THE FORM OF SECRECY. (Hawthorne 1978)

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- 12. POOR INTERPERSONAL RELATIONS THE PARTIES REACT NEGATIVELY TO EACH OTHER
- 13. EXPECTATIONS OF ONE PARTY ARE NOT SHARED BY THE OTHER PARTIES
- 14. LACK OF CONTINUED ORGANIZATIONAL COMMITMENT TO THE EFFORT
- 15. PROMISING MORE THAN CAN BE DELIVERED
- 16. SOMEONE TAKING OFFENSE, WHERE NONE WAS INTENDED, AT A SUGGESTION THAT SOME ACTIVITY THEY ARE RESPONSIBLE FOR COULD BE IMPROVED
- 17. CULTURAL DIFFERENCES: ETHNIC, REGIONAL, NATIONAL, OR ORGANIZATIONAL
- 18. EMPLOYMENT SENIORITY SYSTEMS OR FEATHERBEDDING
- 19. DOCUMENTS TOO TECHNICAL FOR THE POTENTIAL USER TO UNDERSTAND
- 20. EXCESSIVE GOVERNMENT REQUIREMENTS FOR PRODUCT TESTING AND APPROVAL



· GOVERNMENT PROCEDURES, REGULATIONS, DOCUMENTATION AND CONTROLS.

- · LACK OF DIRECTION, DEFINITION, ROLES, RESPONSIBILITY AND ACCOUNTABILITY OF GOVERNMENT AGENCIES IN TECHNOLOGY TRANSFER.
- LACK OF LONG-TERM STRATEGIC GOALS FOR GOVERNMENT AGENCIES WHICE RESULTS IN UNCERTAINTIES, TURBULENCES, FLUCTUATIONS AND PRIORITIES FOR SPACE SYSTEMS.
- GOVERNMENT DOES NOT TAKE R4D BASE TO HIGH ENOUGH LEVEL OF READINESS TO REDUCE RISK TO INDUSTRIAL/COMMERCIAL SECTORS.
 - SIMULATION MODEL IS FAR FROM BEING AN ENGINEERING PROTOTYPE OR A FLIGET TESTED AUBSYSTEX
 - INFRASTRUCTURE TO SUPPORT BRIDGING
 - ECONOMICAL INCENTIVES LACK OF POLICY AND STRATEGY
- · LACK AND MAGNITUDE OF CAPITAL REQUIREMENTS RENDERED INDUSTRY DEPENDENT ON GOVERNMENT FOR SPACE MARKET NEEDS AND DEFINITION.
- · GOVERNMENTAL AGENCIES FUNDING STRUCTURE OF BASE R&D FOCUSED TECHNOLOGY BUT NO CLEAR FUNDING FOR ENGINEERING PROTOTYPING, QUALIFICATION AND FLIGHT VALIDATION.
- HIGHER AND MORE COMPLEX TECHNOLOGY LEVEL BEING DEVELOPED WHICH EAS NOT BEEN MATCHED BY INCREASED HUMAN COMPETENCE, TRAINING AND EDUCATION.
- MULTI-MODI TECH. TRANSFER ORGANIZATIONS HIGHLY DISORGANIZED, INEFFICIENT WHEN COMPARED TO JAPAN'S CONSORTIUM OF GOVERNMENT AGENCIES, BANKS, INDUSTRY AND UNIVERSITIES.
- · SBIR EFFECTIVENESS RECOGNIZED FOR SHALL SUBSYSTEMS BUT HAS NO IMPACT ON SPACE SYSTEMS DEVELOPMENT DUE TO SHORTAGE IN CAPITAL BORROWING CAPABILITIES.

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STAGE	DONOR	вотн	
·····		DECISION: GO/NO GO	
IMPLEMENTATION	CONSIDER CAPITAL AND HARDWARE	RECRUIT RESOURCES	CONSIDER PEOPLE AND EMOTIONS
	OVERCOME PREJUDICE		BUILD COHESIVE ORGANIZATION
	PROVIDE TRAINING		PROVIDE SUPPORTING ELEMENTS
	OVERCOME RESISTANCE TO CHANGE	RUN PILOT OPERATION	ENSURE BUREAUCRATIC SUPPORT
MAINTENANCE DEL ASS TRO IDEI POS		DECISION: GO/NO GO	
	DELEGATE AUTHORITY	NUN FULL-SUNLE OF EINT	ENSURE COMPATIBILITY WITH SUPPORTING ELEMENTS
	ASSIST IN		EVALUATE SIDE EFFECT
	TROUBLE-SHOOTING		PERFORM CONCURREN
	IDENTIFY DIVERSIFICATION		RED
			EVALUATE NET BENEFI
	EVALUATE NET BENEFITS	EVALUATE SUCCESS	
		DECISION: GO/NO GO	

1 V 97405	DONOR	BOTH	RECIPIENT
SEARCH		UNRECOGNIZED	
ID CJ Pi Di TC F(IDENTIFY CAPABILITIES	TT OPPORTUNITY	IDENTIFY NEEDS
	ESTABLISH POLICIES AND PRIORITIES		ESTABLISH POLICIES AND PRIORITIES
	DEVELOP INCENTIVES TO SEARCH FOR NEEDS		DEVELOP INCENTIVES TO SEARCH FOR CAPABILITIES
	PROVIDES CHANNELS FOR CONTACT	ESTABLISH VIABLE CONTACT	PROVIDE CHANNELS FOR CONTACT
ADAPTATION		DECISION: GOANO GO	
	LEARN ENVIRONMENT OF RECIPIENT		EVALUATE Socio-Economic Implications
	EVALUATE ADAPTATION REQUIREMENTS		EVALUATE EFFECTIVENESS
	EVALUATE COST		EVALUATE OTHER ALTERNATIVES
	EVALUATE FEASIBILITY	ANALYZE COST	EVALUATE DESIRABILIT

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ENHANCING FACTORS TO TECH-TRANSFER

INTERPERSONAL RELATIONSHIP

... THE MECHANISM OF TECHNOLOGICAL TRANSFER IS ONE OF AGENTS, NOT AGENCIES; OF THE MOVEMENT OF PEOPLE AMONG ESTABLISHMENTS, RATHER THAN OF THE ROUTING OF INFORMATION THROUGH COMMUNICATION SYSTEMS (Burns, 1969:12).

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THE NATIONAL REFERRAL CENTER, A SERVICE OPERATED UNDER THE LIBRARY OF CONGRESS, HEARTILY SUBSCRIBES TO THE CONVICTION THAT SCIENTIFIC AND TECHNICAL INFORMATION IS MOST EFFECTIVELY TRANSFERRED FROM PERSON TO PERSON, NOT FROM MEDIA TO PEOPLE (TIMMONB, 1978: 34).

STRATEGIES FOR PROMOTING TECH-TRANSFER TO PRIVATE SECTOR

TECHNOLOGY TRANSFER STRATEGY	PURPOSE	TRANSFER MECHANISMS	
PASSIVE	TO MAKE INFORMATION ACCESSIBLE TO THOSE MOIVIDUALS AND ORGANIZATIONS SEARCHING FOR SOLUTIONS TO CUSTOMER/SOCIETY PROBLEMS	TECHNICAL DATABASES NTIS PROFESSIONAL JOURNALS TRADE PUBLICATIONS CONFERENCES WORKSHOPS	
ROLE-DIRECTED	TO ACTIVELY PROMOTE AWARENESS OF NEW TECHNOLOGY TO INDIVIDUALS OCCUPYING BOUNDARY-SPANNING ROLES IN ORGANIZATIONS	PROFESSIONAL JOURNALS AND SEMINAR PRESENTATIONS TARGETED TO CERTAIN DISCIPLINES TRADE PUBLICATIONS AND SEMINAR PRESENTATIONS TARGETED TO INDUSTRY GROUPS OR NATIONAL ASSOCIATIONS TECHNOLOGY FAIRS INDUSTRY TEAMS	
ORGANIZATION DIRECTED	TO ACTIVELY PROMOTE THE ADOPTION OF NEW PRODUCT OR PROCESS CONCEPTS TO INNOVATOR FIRMS IN AN INDUSTRY	TRANSFER OF R&D PERSONNEL DEMONSTRATION PROJECTS PERSONAL CONTACTS ONSITE VISITS JOINT VENTURES TAX INCENTIVES	





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• DEFINE A QUANTIFIABLE PROCEDURE WITH MEASURABLE OBJECTIVES FOR GOVERNMENT / INDUSTRY TECHNOLOGY TRANSFER.

RECOMMENDATIONS

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- INDUSTRI TECHNOLOGI IRREFINI DEVELOP A CULTURE FOR DOING BUSINESS BASED ON COST EFFECTIVENESS AND TECH TRANSFER IN BOTH GOVERNMENT AND COMMERCIAL SECTORS... "USE OF NASA FACILITIES... MASA PERSONNEL."
- NORE MONEY IS NOT THE MAIN ISSUE BUT A METHODOLOGY, AN APPROACH AND A NEW WAY OF LIPE IS NEEDED... "A FORUM... A FACILITATION IS NEEDED."
- PERSONNEL EXCHANGE, COST EFFECTIVE / GOAL ORIENTED CONSORTIUMS ARE THE MOST PROMISING ENDEAVORS. (TAX DEFERMENT/INITIATIVES FOR MONEY EARNED FROM TECH TRANSFER FOR 2 TO 3 YEARS)
- · JOINT TECHNOLOGY FAIRS/SHOWS ARE MORE EFFECTIVE THAN PUBLICATIONS ALONE WHERE "HANDS-ON" IS ENCOURAGED.

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