

**Index: A10009 - Office of Research & Innovation**

<u>Purpose of Area</u>		<u>Tie in with Strategic Plan</u>
<p>Advance the university's economic leadership and stimulation of the regional economy. Working with the colleges, brings UT knowledge resources to bear on regional technology commercial development opportunities, including tech transfer, incubation, and support of innovation and entrepreneurship initiatives in collaboration with the state and regional partners, plus advanced-level workforce development.</p> <p><b><u>Employees: 5 base, 1 grant</u></b></p> <p align="center"><b><u>Brief job description for each position type</u></b></p>		<p>Goal 2: Item 4: "We will establish a recognized role in economic leadership and stimulation of the regional economy." Also, supports several of Goal 3 Research and Tech Transfer subgoals. More goals below.</p> <p>Goal 6: "We will be distinguished for our community outreach and global engagement. We will be a key driver in the revitalization of the region's economy and quality of life. "</p>
Sr. Exec. Dir., Mary Jo Waldock	Oversees Office of Research and Innovation, Tech Transfer, UT Incubation, Workplace Credit Programs, Workforce Development grants, Urban Affairs Center, University Clean Energy Alliance of Ohio, and Intermodal Transportation Institute. Also oversees UTIE as Exec. Director, and various venture operations as President (MCOF, Incenu) , the Edison Incubation grant, plus other projects as assigned.	
Assoc. Dir. , Regional and Economic Engagement	Liaison with President's office and other university economic engagement partners (NORED, RGP, Chamber, Port, etc.) to build UT reputation and impact in regional economic success; administrative services to School of Solar and Advanced Renewable Energy (SSARE) on behalf of College of Natural Science and Math; implementer for multiple initiatives (grants, US Small Business Administration projects, other)	Same as above and below.
Executive Secretary 2/Budget Administrator	Handles all budget, finance, and operational activities for the UT general-funded and designated fund side of the Office of Research and Innovation and the SSARE, as well as a portfolio of PV and economic development grants (this year approx. \$40 million just for the grant component)	Meets core values regarding financial and operational effectiveness. Supports capability to expand research by helping make large externally funded projects manageable.
Exec. Secretary, Office of Research and Innovation	Extensive support for all Office of Research and Innovation (UT) and UTIE activities and processes, including scheduling and documentation. Provides support to Chair and Exec. Dir. of UTIE, corporate research development, company and inventor meetings, UTIE Membership, and a variety of other university economic engagement activities.	Same as above.
Director, MTSBDC	Three month temporary position through Dec. 31, 2011. As resources and project require, may extend another 1-3 months.	

**Index: A10009 - Office of Research & Innovation (continued)**

<b><u>Employees: 5 base, 1 grant</u></b>	<b><u>Brief job description for each position type</u></b>	<b><u>Tie in with Strategic Plan</u></b>
Grant Writer 2 (grant)	<i>Externally-funded</i> grant-writer; This position is presently showing as part of UTLC. We are working to fix that.	Assists companies with incentives to improve workforce and capital development.
<p align="center"><b><u>Revenue</u></b></p> <p>This area generates revenue for other parts of UT, by "selling" corporate research engagement, and by operating business enterprises generating funds that eventually flow to UT (e.g. MCOF). There is additional potential for revenue, and UTIE board is supportive of additional marketing and selling activities. Also acts as liaison with ODOD and others regarding state and federally supported economic development initiatives. UT facilitates the regional technology-driven economic development services (e.g. Rocket Ventures, LLC)</p>		<p>Ties with goals about research, reputation and revenue growth, plus ongoing expectations from the state regarding using Universities as drivers of economic success, enriching student work-related education, and bringing research into commercial development (lab to launch). For example, there have been 40-50 students working in the incubator buildings at various points, in a variety of research and commercialization tasks.</p>

**Operating Budget**

**Planned Usage**

Supplies

usual day-to-day supplies of running office (pens, paper, folders, flip charts...)

Travel

limited to those relevant to strategic initiatives; President's office covers those associated with that office's interests.

Info/Communication

phone, conference calls; website and other marketing are coordinated with UT Marketing Communications

**Helpful Statistics/Other Information**

Efforts are expanding to reach new goals, particularly in state and industry engagement focusing on research and commercial development; strong effort to leverage UT and research investments to maximum amount; helps generate firms for incubation and job growth, plus faculty and student research and business development participation.

Efforts are paying off in regional effectiveness and coordination, better alignment and impact. New partnerships, such as the Rocket Ventures LLC joint venture and Edison partnership are relieving cost at UT and helping increase pipeline of new commercial development, with opportunities for student and faculty research and learning, etc.

Sustainability effort for UTIE is under way through aggressive membership development, plus close partnership with State and related agencies.

**Index: 11082 Office of Research Development (Primarily ITI, Urban Affairs, UCEAO)**

**Purpose of Area**

This area supports three unique university level research, policy and economic development initiatives - Intermodal Transportation Institute (ITI), Urban Affairs Center (UAC), and University Clean Energy Alliance of Ohio (UCEAO); Details below.

**Tie in with Strategic Plan**

Three aspects of Goal 6: "We will align University research, workforce development, and engagement efforts with the community. We will achieve recognition for attention to urban education and urban. We will be an economic catalyst for the region."

**INTERMODAL TRANSPORTATION INSTITUTE**

**Employees**

**Brief job description for each position type**

Director, Intermodal Transportation Institute (R. Martinko) (base)  
Intermittent-call in secretary (part-time;grant) Asst. Dir. (grant)

Acts as Intermodal transportation research and policy support resource to region; ties with local region, Ohio and multi-state/super-regional transportation strategy; connecting point for US federal transportation initiatives;  
Funding source: US Dept. of Transportation - Transportation for Security and Econ. Development

In addition to those noted above, ties with UT research and regional transportation infrastructure and economic development strategic goals

**Urban Affairs Center (Mostly self-funding portfolio of grants relating to urban development)**

Director (Neil Reid) (base-Geography)

Faculty on assignment here, overseeing portfolio of grants and helping generate new ones.  
\$3.3 million in USDA Greenhouse grants; \$500K Ohio Department of Development Solar Hub grant; OBOR Economic Dev. Research Collaborative grant; UT Foundation grant;

Six employees (grant-funded)

**UNIVERSITY CLEAN ENERGY ALLIANCE OF OHIO**

Program Services Coordinator (base)  
Director (paid through agency account)

UT provides cost match, per state-wide membership agreement; Gives UT leadership and visibility in our largest center of excellence focus. Most of Ohio colleges and universities are members; fosters growth of clean tech research, industry attraction and engagement, policy development, and sustainability for the state of Ohio; emphasis on education through curriculum development and extensive student engagement; membership driven. UT's contribution to the Alliance: marketing, conference management, website administration, fiscal agent, operations management for consortium; Conference is self-funding.  
Director is funded by universities throughout Ohio through membership fees deposited into UT agency account. They require this "arms-length" financial relationship.

**Index: 11082 Office of Research Development (Primarily ITI, Urban Affairs, UCEAO) - continued**

**Revenue**

Grant and contract funds; membership and conference revenues (UCEAO); ITI brings connection to federal and state resources for policy, research and infrastructure projects of value to UT and the region, as well as recognition to UT in transportation and logistics research.

**Planned Usage**

**Operating Budget**

Supplies	Essential supplies used in making grant applications, contracts, etc.
Travel	Travel to Columbus, ODOT; TRB Conference in Columbus, various other essential travel for obtaining grants and contracts
Info/Communication	phone, copies

**Helpful Statistics/Other Information**

ITI links UT to transportation projects, policy, etc.

Urban Affairs Center hosts large federal greenhouse grant help raise sales and reduce energy costs of NW Ohio greenhouse cluster. Also, operates University of Toledo Press as a re-generative enterprise that has published several books, primarily establishing legacy of local history, and a variety of contracted projects. UT won out against OSU and Case to host the UCEAO.

**See flyer and notes sheet on UCEAO. Note that its Director, Jane Harf, is funded through additional member contributions.**

**ADDITIONAL BUDGET FUNDED BY UCEAO MEMBER CONTRIBUTIONS (UT DOES NOT CONTRIBUTE TO THIS PART)**

	<b>FY11 Budget</b>	
Director Salary	\$	97,000.00
Director Benefits	\$	46,000.00
Business Meetings	\$	2,500.00
Supplies	\$	3,500.00
Travel	\$	15,000.00
Marketing and Communication	\$	2,000.00
Phone	\$	1,500.00
Postage	\$	200.00
Operating Expenses	\$	1,500.00
Intern/Consultant		
<b>TOTAL</b>	<b>\$</b>	<b>169,200.00</b>

**Purpose of Area**

UT incubators serve as home to start-up companies (UT spin-offs and others) that benefit from interactions with UT faculty and students to bring next generation technologies to the marketplace.

**Tie in with Strategic Plan**

Goal 3: Research, Tech Transfer and Incubation, Sub-goal # 6 "We will provide nationally recognized technology transfer and technology and incubation programs that assist in local business development."

**Employees (1 base; 2 on grant)**

**Brief job description for each position type**

Secretary 1 (base) Handles front desk at R1 (secure facility), rental invoicing for Incubation, and a long list of other duties in support of UT Incubation.

Interim Manager, UT Business Incubation (grant) Position is funded through the Ohio Edison Incubation Program through June 2012. These ODOD funds also enable us to obtain services from Rocket Ventures LLC. Through them, we provide business development services to early-stage technology companies, including UT spin-off companies.

Program Director, Procurement Technical Assistance Center (PTAC) (grant) Defense Logistics Agency and ODOD grant-funded position with UT match; expires Jan. 31, 2012;

**Revenue**

Generates rental revenue, presently budgeted at \$37,255. Also obtained ODOD grant funding which helps provide services and support helpful to both UT and other regional innovators. In addition, generates \$6/square foot from tenant rent that goes to a UT Facilities account for utilities and maintenance at the incubators.

**Operating Budget**

**Planned Usage**

Supplies	As required for operations of the UT incubation office. Company tenants pay for their own supplies.
Travel	National Business Incubation Association participation-to learn business incubation best practices.
Info/Communication	Basic phone and information support services.

**Helpful Statistics/Other Information**

Obtained 1:1 matched funds from State of Ohio to help support expanded incubation business development services through the Edison program grant, which runs through June 2012. Also obtained \$25K in State of Ohio support for sub-contract to assist the UT Minority Business Development Center. Sub-contract some business services support through UT's partnership with RGP --Rocket Ventures LLC. This supplements UT efforts in incubation.

Partnership with ODOD Edison grant emphasizes new firms, tenants, jobs, student and faculty engagement, and research growth.

Key metric reports go to state quarterly. UT/Edison effort is the primary regional "physical incubation" (incubation facilities) leader for NW Ohio.

**Index: A10303 Workplace Credit Programs**

**Purpose of Area**

Director, Mark Ray      Base budgeted area to serve off site populations (companies, school districts, & cohorts in geographical areas) who otherwise would not consider UT for their education because of distance or student/employee schedules.

Industry Program Manager      Registration, advising & courses offered on-site through face to face/hybrid offerings.

**Revenue**

Revenue is the tuition dollars generated by courses/class offerings, all of which goes into the general fund. Programs generate excellent operating margin for UT.

**Operating Budget**

**Planned Usage**

Supplies      Purchases used in support of normal office activities (paper, pens, books, etc.)  
 Travel      Used for staff mileage to do registration, sell books, start classes at these off-campus locations. Also, for instructor mileage and hotel, as needed. For meetings with clients/cohorts off-campus.

Scholarships      Scholarships for cohort members.

Instructor pay      Payments for out of load and PT instructors.  
 Printing      Printing costs mostly associated with course administration.

**Helpful Statistics**

FY10: 4138 student credit hours; FY11: 3570 student credit hours  
 FY10: \$1,740,943 generated from tuition (plus fees); FY11: \$1,583,664 generated from tuition (plus fees)  
 FY10: \$810,051 that goes to UT after expenses; FY11: \$727,197 that goes to UT after expenses  
 FY10: \$250,000 to partnering UT colleges; FY11: \$250,000 to partnering UT colleges  
 These two employees generate more revenue than when there were five.

**Tie in with Strategic Plan**

Goal 6: "We will provide opportunities for professional development and continuing education." Also, meets other goals to increase retention rates & enrollments and reach underrepresented groups. Meet market demand.

Hybrid course offerings

Scholarships lower out of pocket expense and keep tuition competitive with other universities that compete for these cohorts of students.

Scholarships lower out of pocket expense and keep tuition competitive with other universities who offer courses and programs to employers.

**Purpose of Area**

Responsible for assessing, developing and protecting the University's intellectual property, marketing technology, and developing university spinoff companies.

**Tie in with Strategic Plan**

Goal 3: Item 6: "We will provide nationally recognized technology transfer and technology and incubation programs that assist in local business development."

**Employees**

**Brief job description for each position type**

Senior Director, Dan Kory, Ph.D.

Responsible for the creation, management, supervision and implementation of the University's intellectual property and technology transfer policies and practices including the patenting strategy; value creation activities such as technology reviews, marketing, licensing, and new company start-ups; financial valuation; business & research alliances relative to UT IP; internal & external commitments to regional technology business development; as well as preparing and negotiating multi-million dollar agreements with highly specialized contract issues regarding industrial sponsored research, inter-institutional collaboration, complex federal issues, such as Bayh-Dole, Export Control, and the Convention of Biological Diversity; patent prosecution, materials transfer, conflicts-of-interest, and confidentiality; plus invention-stimulating activities, including seminars, lectures and other presentations for faculty and student education. The function is a major portal for private industry to develop licensing and research alliances and also works with local and state officials in all aspects of University-based economic development.

Associate General Counsel

This position is responsible for assisting the Vice President and General Counsel in providing legal advice and service to all campuses of the University relating to the University's technology licensing and contract program, including negotiating, drafting, and reviewing license agreements, material transfer agreements, sponsored research agreements, consulting agreements, and inter-institutional agreements; advising the University on patent, trademark, and intellectual property matters; managing the University's patent portfolio; serving in an advisory role to UT in regard to Innovation Enterprises (UTIE); conducting early-stage technology assessments; and developing and implementing marketing strategies and establishing proper valuation for licensing of technology. The Associate General Counsel works closely with the Senior Legal Counsel/Health Science Campus, the Associate Vice President for Technology Transfer, the Associate Vice President for UT Innovation Enterprises, and the Vice President for Research Development. Responsibilities will also include monitoring the work of outside counsel on University legal matters as required. The position requires the ability to work on a level of parity with outside counsel and to interact successfully with midlevel and senior corporate officers and administration of the University.

J.D., Patent Technology Associate

This position is responsible for identifying inventions, which are conceived or developed at the University, and managing all aspects of the invention disclosure process. Specific responsibilities include: promoting the University's policies and procedures by giving frequent seminars and presentations to enhance the understanding of what is patentable technology, the patenting process, and the value of active participation in the technology marketing and licensing process; interacting and meeting with University faculty on a regular basis to understand their research programs with the specific objective to identify and promote promising inventions; reviewing University research proposals, grants, and awards to identify potential patentable products and services and to protect the University's interests in externally-funded projects; working with University faculty to prepare invention disclosures and patent applications; receiving and documenting the invention disclosures; performing patent searches; assisting in the determination if technology is appropriate for patenting or other protection; assisting University faculty with the preparation of their presentations to the University's patent committees; performing market research on the commercialization and licensing potential; and preparing non-confidential summaries of the technologies for technology marketing.

J.D., Licensing Associate

This position is responsible for technology case management including identifying, evaluating, and licensing patentable inventions made by University researchers. Specific activities include: evaluating the technology's commercial potential; identifying potential licensees; preparing non-confidential, technical information for marketing purposes; developing and implementing technology-specific marketing strategies; and drafting and negotiating license agreements with large, small, domestic and/or international companies. In addition, the patent licensing associate position requires close collaboration with Technology Transfer staff for technology identification, technology development assistance, and providing administrative, compliance and research support.

**Index: A10072 Technology Transfer (continued)**

IP Administrator This position handles aspects of the invention disclosure management and reporting process including receiving disclosures and other patent documents, entering disclosure information into databases, performing federal reporting and managing communications with outside patent counsel (assignments, declarations, and other routine interactions); is responsible for financial functions in the office, including invoicing, receipt and disbursement of revenues associated with licenses; invoicing and receipt of reimbursements from licensees; and payments to law firms, etc.; prepares standardized contracts such as Material Transfer Agreements; and provides secretarial, file maintenance, and office management functions.

**Revenue**

Estimated \$1.7MM annually; sources are royalties and license payments on UT-owned intellectual property

**Operating Budget**

**Planned Usage**

Supplies	Required software, Office supplies for day-to-day activities, purchases of Market Data, copies to support patent activity
Travel	Travel to meet with clients and attend Technology Transfer Officers Council (OBOR's state-wide council for tech transfer managers) and Association of University Technology Managers meetings; Use webinars and phone conferences extensively; TTOC and other face-to-face travel is undertaken only when necessary; Does not charge travel to client meetings; Reasons to travel--staying up to date on practices among university practitioners in this fast changing field (federal law is undergoing change, as are policies and practices ). Assoc. Gen. Counsel is serving on planning committee for AUTM annual meeting.
Communication	Postage to send documents, long distance, telephone charges, annual report, marketing material, etc.
Patent/Royalty	Required payments to authors/inventors; protection of UT IP. Required to comply with UT Patent Policy

**Helpful Statistics/Other Information**

Link to annual report containing more detail on faculty inventors and program performance:

<http://www.utoledo.edu/research/TechTransfer/PDFs/2011annual.pdf>



# UT Technology Transfer Statistical Summary

Fiscal Year	2003	2004	2005	2006	2007	2008	2009	2010
Total Sponsored Awards (M)	\$48.7	\$97.7	\$96.6	\$58.5	\$63.0	\$58.8	\$71.4	\$74.0 <sup>2</sup>
Research Expenditures (M)	\$42.2	\$48.2	\$50.9	\$47.9	\$52.4	\$59.6	\$66.1	\$66.0
Invention Disclosures	24	34	35	38	33	55	91	67
Invention Disclosures/\$10M Research Expenditures US Average 4.3	5.8	7.0	6.8	7.9	6.3	9.2	13.8	10.1
New License Agreements	5	8	12	9	19	12	22	16
New License Agreements/\$10M Research Expenditures US Average 0.4	1.2	1.7	2.4	1.9	3.6	2.2	3.3	2.4
Total License Agreements	39	41	53	56	75	83	97	113
Spin-off Businesses <sup>1</sup> US Average 1/\$100M	0	2	1	2	3	3	3	2
Revenue (K)	\$150K	\$337K	\$901K	\$525K	\$865K	\$940K	\$1M <sup>2</sup>	\$1.4M <sup>2</sup>

<sup>1</sup> Spin-off businesses are companies that are formed either by UT faculty members to advance their UT-developed technology or by external entrepreneurs, who begin a new business enterprise based solely on UT Technology.

<sup>2</sup> UT Foundation currently holding ~\$2.5M in start-up equity based on third party valuation.

<sup>3</sup> Estimates



# Top Universities in US in translating research into license agreements and start-up companies\*

## License Agreements

- 1) Brigham Young University
- 2) Stevens Institute of Technology
- 3) University of North Carolina at Charlotte
- 4) University of Texas, Arlington
- 5) Duquesne University
- 6) University of Akron 
- 7) University of Toledo 
- 8) Catholic University
- 9) Creighton University
- 10) Arizona State University

## Start-up Companies

- 1) Iowa State University
- 2) Brigham Young University
- 3) Duquesne University
- 4) North Carolina State University
- 5) University of Oregon 
- 6) University of Toledo 
- 7) New Jersey Institute of Technology
- 8) Western Kentucky University
- 9) Stevens Institute of Technology
- 10) Montana State University

*\*(FY2005 AUTM; Innovation Associates) [www.InnovationAssociates.us](http://www.InnovationAssociates.us)*

INNOVATION



**Index: H10073 Indirect Cost Recovery - Urban Affairs**

DESIGNATED ACCOUNT WITH OVERHEAD RESULTING FROM GRANT ACTIVITY

**Purpose of Area**

This provides essential support between grant periods and to seed new grant development efforts.

**Tie in with Strategic Plan**

Goal # 6: "We will align University research, workforce development, and engagement efforts with the community. We will achieve recognition for attention to urban education and urban. We will be an economic catalyst for the region." communities."

**Employees**

**Brief job description for each position type**

N/A

**Revenue**

N/A

**Operating Budget**

**Planned Usage**

Supplies

None on base, since this is an H account for grant indirects.

Travel

This year may use approx. \$500 of the less than \$10K from their grant indirects to fund travel for staff conference participation, it not covered by the grants they are working on.

Info/Communication

None on base, since this is an H account for grant indirects.

**Helpful Statistics/Other Information**

Index: H10641 - Indirect Cost Recovery (overhead) account for Intermodal Transportation Institute

**Purpose of Area**

Designated account used to seed new grant development activity and address funding gaps. Using for extending support staff while winding down from federal Transportation Institute grant.

**Tie in with Strategic Plan**

Goal 6: "We will align University research, workforce development, and engagement efforts with the community. We will achieve recognition for attention to urban education and urban. We will be an economic catalyst for the region." communities."See notes on A11082.

**Employees**

N/A

**Brief job description for each position type**

**Revenue**

N/A

**Operating Budget**

Supplies  
Travel  
Info/Communication

**Planned Usage**

**Helpful Statistics/Other Information**

**Index: 100384 - Charter School Council Scholarship**

**Purpose of Area**

\$20,000 -Used exclusively for scholarships, in accord with the UT-Board authorized portion of UT \$50,000 withholdings from oversight fees from Charter Schools monitored under UT's charter school authority. Unused funds from one year are allowed to carry-forward for up to one year. If not used, they would lapse, but they have always been used, so far.

**Tie in with Strategic Plan**

UT Board initiative relating to increasing choice for students from Ohio's public schools.

**Employees**

**Brief job description for each position type**

NONE

**Revenue**

Primary revenue source is in A10287.

**Operating Budget**

**Planned Usage**

Supplies	N/A
Travel	N/A
Info/Communication	N/A

**Helpful Statistics/Other Information**

## Index: A10287 - Ohio Council of Community Schools

### Purpose of Area

UT Board- sponsored authorization of K-12 charter schools in Ohio. This is a pass-through account in which UT collects oversight fees in accordance with its responsibilities as an authorizer, then passes those fees on to its designated oversight body, the Ohio Council of Community Schools (OCCS) to conduct the oversight activities. UT withholds \$50,000 to help cover administrative costs of handling this account, and (upon budget amendment request) places \$20,000 of scholarship funds into account 100384 for UT scholarships for graduates of schools chartered through OCCS.

### Tie in with Strategic Plan

Relates to UT Board commitments, tying most closely to Goal 6, and focus on supporting effectiveness of schools. Our org acts as overseer solely to the collection and disbursement of oversight fees from contracts that are reviewed by UT Legal Counsel.

### Employees

NONE

### Brief job description for each position type

### Revenue

\$2,100,000 budgeted; actual can be higher, with matching expenditure of all but \$50K (withholding) of whatever amount flows through.

### Operating Budget

Supplies  
Travel  
Info/Communication

### Planned Usage

none - once a year Waldock and Enrollment Services interact to help OCCS with scholarship.  
none - once a year Waldock and Enrollment Services interact to help with scholarship.  
N/A

### Helpful Statistics/Other Information