

# **Administrative and Educational Support Report**

**Office of Innovation & Intellectual Property**

**Annual Action Plan  
Annual Assessment Report**

**June 2006 – May 2007**



**Annual Action Plan: June 1, 2006–May 31, 2007**

**Unit:** Office of Innovation and Intellectual Property

**UTPA Mission:** The University of Texas-Pan American (UTPA) serves the higher education needs of a rapidly growing, international, multicultural population in the South Texas Region. The University preserves, transmits and creates knowledge to serve the cultural, civic, and economic advancement of the region and the state. The University provides students advanced instruction in academic programs offered through innovative delivery systems that lead to professional certification, and baccalaureate, master's and doctoral degrees. Through teaching, research, creative activity and public service, UTPA prepares students for lifelong learning and leadership roles in the state, nation and world community.

**Division:** Academic Affairs     **Unit Head:** Jacquelyn Michel

**Unit Mission:** The Office of Innovation and Intellectual Property manages the intellectual assets of the institution by fostering research knowledge creation, capturing knowledge and leveraging the knowledge assets created for the best interests of the public, the inventor/creator and the research sponsors.

**UTPA Goal:** Become an outstanding research institution, emphasizing collaborative partnerships and entrepreneurship.

**Academic Affairs Objective:** Foster intramural and extramural collaborative research partnerships.

**College/AVP Objective:** Establish National recognition as a student oriented, public research institution with respect to UTPA; Marketing positioning - Perception of stakeholders.

Unit Objective	Strategy(ies) to Achieve Unit Objective	Measurable Outcome for Unit Objective	Assessment Criteria, Evaluation Methods for Measurable Outcome	New Resources Needed in FY07
Enhance public awareness of UTPA's knowledge bases and knowledge assets. (1)	Develop searchable research expertise/capabilities /resources database.	Launch Website with searchable research expertise/capabilities /resources database.	Yr 1 2007 baseline # of contacts initiated through website versus blind calls # of searches to general hits. Website launched by May	Web Team Support, Code to track the number of searches and hits

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Unit Objective	Strategy(ies) to Achieve Unit Objective	Measurable Outcome for Unit Objective	Assessment Criteria, Evaluation Methods for Measurable Outcome	New Resources Needed in FY07
			31, 2007.	
		Faculty trained for self reporting research expertise.	# 50% increase in number of faculty pages updated and live as compared to 2007 Baseline	Writing and editing support for initial data entry Training and development support for website.
	Engage in University wide marketing planning.	Actively participate in and provide input and feedback to UTPA's Marketing Working Group. Help create marketing campaigns and marketing materials for UTPA's institutional marketing.	One institutional marketing research campaigns or initiatives with input and participation from office by May 31, 2007.  Ensure materials highlight research knowledge growth and assets.	None.
	Provide story ideas about knowledge assets and background data and information to appropriate entities.	Increase media stories about UTPA's research and technology knowledge assets.	# of printed stories published compared to FY05 Baseline will show an increase.	None.
	Regional and State EDCs are aware of and promote our research knowledge bases.	Increase the number of EDCs who link to our knowledge bases from their websites.	# of links increased in FY07 Baseline	Dependent upon adequate travel funding.
	UT System awareness and promotion of our research & knowledge bases.			
	UT Technology Management Council Representative.	Active Participation in UTTMC events to give UTPA perspective and manage implications to	Track # attended and # of conversations held regarding Technology Management and	None.

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Unit Objective	Strategy(ies) to Achieve Unit Objective	Measurable Outcome for Unit Objective	Assessment Criteria, Evaluation Methods for Measurable Outcome	New Resources Needed in FY07
		UTPA.	implications for UTPA. FY07 Baseline 100% of UTTMC events attended.	
	UT System components are aware of and promote our research knowledge bases.	UTA/UTPA active link project completed	UTA/UTPA active link project completed. FY07	None.
	Other entities contact us about our research knowledge bases.	Establish tracking method for contacts regarding collaborations with external entities.	Establish method to track# of contacts from outside institutions. FY07 Baseline  Lead indicators for Yr 1 2007 Baseline may be anecdotal.	

**UTPA Goal:** Become an outstanding research institution, emphasizing collaborative partnerships and entrepreneurship.

**Academic Affairs Objective:** Establish a research environment that is student-learner centered.

**College/AVP Objective:** Encourage student participation in research activities.

Unit Objective	Strategy(ies) to Achieve Unit Objective	Measurable Outcome for Unit Objective	Assessment Criteria, Evaluation Methods for Measurable Outcome	New Resources Needed in FY07
Foster student learning about innovation, invention and entrepreneurship. (2)	Promote campus wide entrepreneurship through a seminar or series of seminars.	Host significant campus wide event focused on entrepreneurship.	Host one significant campus wide event focused on entrepreneurship by May	Funding for entrepreneurship event, Cooperation of Deans and Student Affairs.

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			31, 2007 and track # of students who participate in event. 2007 Baseline	
	Presentations to graduate and undergraduate students on innovation, invention, and entrepreneurship.	Provide presentations to student groups.	Provide one presentation to graduate and undergraduate students on innovation, invention and entrepreneurship. Track # of students who participate to establish 2007 Baseline.	None.

**UTPA Goal:** Become an outstanding research institution, emphasizing collaborative partnerships and entrepreneurship.

**Academic Affairs Objective:** Provide support for the improvement of the research infrastructure.

**College/AVP Objective:** Enhance the infrastructure and services of Research Administration.

Unit Objective	Strategy(ies) to Achieve Unit Objective	Measurable Outcome for Unit Objective	Assessment Criteria, Evaluation Methods for Measurable Outcome	New Resources Needed in FY07
Effectively manage the capture and leverage of knowledge assets. (3) (1) Effective: DISCLOSURE	Encourage and motivate faculty, Deans and graduate students on the disclosure of knowledge assets.	Provide presentations to relevant groups on the benefits of the disclosure process.	Yr 1 number of presentations forms FY07 Baseline One presentation by May 31, 2007.	None.
	Provide ease of access to information through web-based tools and	Create web-based tools and instructions.	Web based tools and instructions created by May 31, 2007.	Adequate resources for web-based tools and instructions.

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Unit Objective	Strategy(ies) to Achieve Unit Objective	Measurable Outcome for Unit Objective	Assessment Criteria, Evaluation Methods for Measurable Outcome	New Resources Needed in FY07
	instructions.			
	Provide patent search tools and expertise to faculty to enhance their research activities.	Patent searches provided as a service for faculty, students and staff.	<ul style="list-style-type: none"> <li>Patent searches provided as a service for faculty, students and staff by May 31, 2007.</li> <li># of patent searches Yr 1. FY07 Baseline. Increase in Yr 2 / Yr 1 FY07 Baseline.</li> </ul>	Funding for research tools.
(2) Effective: PATENT PROSECUTION	Manage the knowledge asset process from disclosure through abandonment.	Provide assistance filing for patents/provisions	<ul style="list-style-type: none"> <li># of Patents Granted / # of patents filed (cannot be measured annually average 12 – 36 month time to granting)</li> </ul>	Solely Dependent on funding for Patent prosecution, and the quality of the potential market value of the disclosure
(3) Effective: TECHNOLOGY TRANSFER AND COMMERCIALIZATION		Track license agreements	# of License Agreement (Baseline) Yr 1 FY2005	Solely Dependent on funding for Patent marketing And of Marketing internships in OIIP office

**UTPA Goal:**

Become an outstanding research institution, emphasizing collaborative partnerships and entrepreneurship.

**Academic Affairs Objective:**

Establish a framework for external support of research and entrepreneurial activities.

**College/AVP Objective:**

Establish training, policies and procedures, evaluation and review to support the growth of the research endeavor.

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Unit Objective	Strategy(ies) to Achieve Unit Objective	Measurable Outcome for Unit Objective	Assessment Criteria, Evaluation Methods for Measurable Outcome	New Resources Needed in FY07
Develop funding to enhance entrepreneurship, research collaborations, technology transfer and commercialization of knowledge assets. (4)	Convert existing underutilized space into collaborative technology incubation/R&D space for faculty and students to build relationships with industry by working on real world problems.	Create Space for collaborative technology incubation/R/D space for faculty and students.	Space occupied and utilized by faculty and students by May 31, 2007.	Dependent on external funding received from submitted proposals Dependent on UTPA, especially, COSE commitment to the incubator.
	Participate in National, State and regional initiatives to promote research done at UTPA.	Participate in one National, State and regional initiatives to promote research at UTPA	One documented participation in national, state or regional initiative to promote research at UTPA.  # of references and contacts from relationships increases (FY05 Baseline)	Dependent on funding.

**UTPA Goal:** Become an outstanding research institution, emphasizing collaborative partnerships and entrepreneurship.

**Academic Affairs Objective:** Enhance and capitalize on faculty research capabilities.

**College/AVP Objective:** Establish National recognition as a student oriented, public research institution with respect to UTPA; Marketing positioning - Perception of stakeholders.

Unit Objective	Strategy(ies) to Achieve Unit Objective	Measurable Outcome for Unit Objective	Assessment Criteria, Evaluation Methods for Measurable Outcome	New Resources Needed in FY07
Leverage faculty research capabilities by promoting faculty entrepreneurship and commercialization of assets. (5)	Educate faculty on the opportunities available through commercialization of their own ideas or collaborations with private	Host presentations and forums on entrepreneurship, technology transfer and commercialization.	Host one presentations or forums on entrepreneurship, technology transfer and commercialization. (FY 07	Support of Provost and Deans.

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Unit Objective	Strategy(ies) to Achieve Unit Objective	Measurable Outcome for Unit Objective	Assessment Criteria, Evaluation Methods for Measurable Outcome	New Resources Needed in FY07
	industry, SBIR, STTRS.	Small meetings one-on-ones as needed.	baseline).	
	Utilize relationships created through collaborations and partnerships with regional, state and national entities.	Develop new partnerships and research funding through SBIRs, STTRs or industry contractual research.	# of new collaborations FY06 baseline– at least one new project, SBIR or STTR by May 31, 2007.	None.
	Participate in opportunities to showcase faculty research. AUTM, LES, regional and Technology commercialization events.	Increase promotion of UTPA research through regional and national events.	Yr 1 (FY05 baseline) measure increase in interest level through number of contacts generated through event.	Travel and marketing funds



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Enhance public awareness of UTPA’s knowledge bases and knowledge assets. (1)	Launch Website with searchable research expertise/capabilities /resources database.	Yr 1 2007 baseline # of contacts initiated through website versus blind calls # of searches to general hits.	Website launch delayed due to resource constraints and software programming delays. Tracking and monitoring software not installed.	Continued working with Beta version but delayed launch until final version is deployed.

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		Website launched by May 31, 2007.		
	Faculty trained for self reporting research expertise.	# 50% increase in number of faculty pages updated and live as compared to 2007 Baseline	Worked with 20 individual faculty on issues related to updating pages. 2 departmental sessions were held.	Individual training continued but group training held until latest software installed and verified.
	Actively participate in and provide input and feedback to UTPA's Marketing Working Group. Help create marketing campaigns and marketing materials for UTPA's institutional marketing.	One institutional marketing research campaigns or initiatives with input and participation from office by May 31, 2007.  Ensure materials highlight research knowledge growth and assets.	New logo determined and launched. UTPA Advantage Campaign created and launched.  UTPA Factsheet includes references to research activities.	
	Increase media stories about UTPA's research and technology knowledge assets.	# of printed stories published compared to FY05 Baseline will show an increase.	7 news stories related to research were published.	Actively partnered with both internal and external media to ensure research message is included when appropriate. Suggested interesting research related articles.
	Increase the number of EDCs who link to our knowledge bases from their websites.	# of links increased in FY07 Baseline	Pending official launch.	Pending official launch.
	Active Participation in UTTMC events to give UTPA perspective and manage implications to UTPA.	Track # attended and # of conversations held regarding Technology Management and implications for UTPA.	Actively engaged in UTTMC and in appropriate subcommittees. 4 annual meetings 20 teleconferences	Implemented new procedures where necessary to follow "best practice" .

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		FY07 Baseline 100% of UTTMC events attended.		
	UTA/UTPA active link project completed	UTA/UTPA active link project completed. FY07	Pending see first note above.	
	Establish tracking method for contacts regarding collaborations with external entities.	Establish method to track# of contacts from outside institutions. FY07 Baseline  Lead indicators for Yr 1 2007 Baseline may be anecdotal.	Pending see first note above.	

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Foster student learning about innovation, invention and entrepreneurship. (2)	Host significant campus wide event focused on entrepreneurship.	Host one significant campus wide event focused on entrepreneurship by May 31, 2007 and track # of students who participate in	Postponed until FY2008 due to significant changes in administration of key participants.	Discussion underway for how to incorporate as a broad academic initiative.

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		event. 2007 Baseline		
	Provide presentations to student groups.	Provide one presentation to graduate and undergraduate students on innovation, invention and entrepreneurship. Track # of students who participate to establish 2007 Baseline.	3 presentations were made.  Approximately 45 undergraduate and graduate students	Laboratory Notebook record keeping guidelines were prepared.

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Effectively manage the capture and leverage of knowledge assets. (3) (1) Effective: DISCLOSURE	Provide presentations to relevant groups on the benefits of the disclosure process.	Yr 1 number of presentations forms FY07 Baseline One presentation by May 31, 2007.	3 presentations were made to departmental meetings and to research groups.	Recommended task force to COSE to develop instructions regarding IP for Senior Design projects and for Graduate research assistant training.
	Create web-based tools and instructions.	Web based tools and instructions created by May 31, 2007.	In progress pending the launch of the final website.	Pending

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	Patent searches provided as a service for faculty, students and staff.	<ul style="list-style-type: none"> <li>Patent searches provided as a service for faculty, students and staff by May 31, 2007.</li> <li># of patent searches Yr 1. FY07 Baseline. Increase in Yr 2 / Yr 1 FY07 Baseline.</li> </ul>	15 patent searches performed and 6 on-going alerts.	Patent searches provided early in the disclosure and research process to increase focus and enhance outcomes.
(2) Effective: PATENT PROSECUTION	Provide assistance filing for patents/provisions	<ul style="list-style-type: none"> <li># of Patents Granted / # of patents filed (cannot be measured annually average 12 – 36 month time to granting)</li> </ul>	3 filed 5 in preparation	Refine measure since outcome can be a multi-year process. Need to have earlier lead indicators.
(3) Effective: TECHNOLOGY TRANSFER AND COMMERCIALIZATION	Track license agreements	# of License Agreement (Baseline) Yr 1 FY2005	1 license agreement completed	Refine measure since outcome can be a multi-year process. Need to have earlier lead indicators.

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Develop funding to enhance entrepreneurship, research collaborations, technology transfer and commercialization of knowledge assets. (4)	Create Space for collaborative technology incubation/R/D space for faculty and students.	Space occupied and utilized by faculty and students by May 31, 2007.	Pending due to lack of resources.	Space requested
	Participate in one National, State and regional initiatives to promote research at UTPA	One documented participation in national, state or regional initiative to promote research at UTPA.  # of references and contacts from relationships increases (FY05 Baseline)	2 state 3 regional 1 national	

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Leverage faculty research capabilities by promoting faculty entrepreneurship and commercialization of assets. (5)	Host presentations and forums on entrepreneurship, technology transfer and commercialization.	Host one presentations or forums on entrepreneurship, technology transfer and commercialization. (FY 07 baseline).	1 College level presentation  Several small meetings with faculty and administration to begin to	Create buy in University wide for the Entrepreneurship activities

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	Small meetings one-on-ones as needed.		build consensus.	
	Develop new partnerships and research funding through SBIRs, STTRs or industry contractual research.	# of new collaborations FY06 baseline– at least one new project, SBIR or STTR by May 31, 2007.	5 proposed collaborations 2 with funding pending	Define measures of success to have more lead indicators.
	Increase promotion of UTPA research through regional and national events.	Yr 1 (FY05 baseline) measure increase in interest level through number of contacts generated through event.	Designed and obtained a promotional booth for promoting research.  Utilized at 1 state event and generated contacts.  Initiated conversations on increasing international collaborations with Border States of Mexico.	Further discussions on how to measure ROI are underway.