Assessment Plans for the Administrative Units of the Office of Research

Mission Statement

UC Merced's Office of Research (OR) provides administrative support, education and oversight to facilitate the research activities of the University's faculty, staff and students.

The OR is currently divided into five units comprised of Sponsored Projects Services, Research Compliance and Integrity, Research Development Services, Technology Transfer, and the Laboratory Animal Resource Center. Each of these units reports directly or indirectly to the Vice Chancellor for Research (see attached organizational chart).

The units within the OR seek a balance between serving the needs of their customers (faculty staff and students engaged in research) and assuring compliance with university policies as well as state and federal research regulations. Thus, these units engage in an array of educational activities to assure compliance with research policies and regulations.

During the summer of 2010, each of the administrative units within OR drafted their initial plans for annual assessment. These plans include program goals for the current fiscal year and proposed methods of assessing the progress towards meeting these goals. All of these units are in the process of bringing up new functions, and have focused primarily on these new activities in their assessment plans. However, attention will also be paid to established and ongoing functions within these units.

Each of the units will conduct user satisfaction surveys as partial assessment measures but they will also collect additional data pertinent to their individual missions.

Annual assessments will be collected by the Vice Chancellor for Research and submitted to SACA for review. These annual assessments will be used to inform the ongoing development of both short and long term goals for the unit.

Each unit will participate in a periodic review at a frequency established by SACA. For each unit, the periodic review will be summative and include a self-assessment and self study, informed by the cumulative annual assessments, as well as an external review. The latter will be conducted by at least 1 one member of the unit's customer base (typically a faculty member) and at least one member external to the campus. In some cases external review might also include formal review by an external accreditation team. For example, the Laboratory Animal Resource Center is now accredited by the Association for Assessment and Accreditation of Laboratory Animal Care International (AAALAC international). AAALAC accreditation, required by system wide UC policy, is considered the gold standard for animal research programs. AAALAC accredited institutions are reviewed by an external team every three years. Thus the periodic review of the Laboratory Animal Resource Center will include external input from the AAALAC site visit team.

While it is the purview of SACA to establish a campus schedule for periodic reviews, the OR respectfully requests the following initial schedule for the periodic review of its units.

Academic Year	**OR Administrative Unit(s)**
2011-2012	Sponsored Project Services Research Development Services
2013-2014	Technology Transfer
2015-2016	Research Compliance
2016-2017	Laboratory Animal Resource Center

Office of Research Compliance and Integrity
Assessment Plan

Mission Statement

The mission of the Office of Research Compliance and Integrity is to provide broad oversight, resources, training and education for the integrity and compliance issues relating to the conduct of research at the University of California, Merced.

The Office of Research Compliance and Integrity attempts to facilitate and better the research community at UC Merced through the following actions:

- Implementing policy and procedural requirements governing research misconduct, conflicts of interest, human subjects research, animal subjects research, biosafety, stem cell research and export controls in accordance with state, federal and the University of California laws and regulations

- Promoting research integrity by providing education, training and resources to faculty, staff, researchers and students in research compliance and the responsible conduct of research

- Formulating and supervising recommendations regarding ethical practices and professional, federal, state and all other policies or requirements relating to research

- Creating, maintaining and improving the UC Merced research integrity and compliance infrastructure.

Planning Goals

The priorities and intentions of the Office of Research Compliance and Integrity for the 2010 – 2011 years are the following:

1. In conjunction with Environmental Health and Safety, develop and seat the Institutional Biosafety Committee (IBC) charged with providing oversight on all matters relating to the safe use of hazardous biological materials and organisms. A comprehensive Biosafety program is a required element of any academic research program and the Office of Research is committed to provide that service to faculty researchers, staff and students.

2. To put in place a comprehensive Responsible Conduct of Research (RCR) training program for all individuals engaged in research at the UC Merced campus. The RCR training program will make available RCR training to all researchers to ensure the ability of those individuals to make ethical research decisions as they matriculate through their careers

3. To continue to provide guidance, instruction and service in the research compliance areas of Human Subjects Research, Animal Subjects Research, Conflict of Interest management and mitigation, and research misconduct.

Student Learning Outcomes

1. Faculty and researchers will be able to make decisions on whether their research has any biohazard risks, whether those risks should be assessed by the IBC, and have general knowledge of the risks of using biohazard agents in a research program. They will know how to contact, access, and submit an application for the use of biohazards through the IBC approval process. Users will also be required to participate in biohazard safety training through an online process using the Collaborative Institutional Training Initiative (CITI) organization training modules. Achievement of learning outcomes will be measured by the number and passing percentage of individuals taking the online biohazard training as well as by the number of application submitted to the IBC for review. The Office of Research will also participate in a customer satisfaction survey that will address the satisfaction of students, staff and faculty who perform research with potential biohazards with the IBC/Biohazard safety program.

2. By participating in the RCR training program, students will be able to use the knowledge gained to make logical, ethical decisions about their research projects and programs throughout their careers as both students and professional scientists. In addition, the training on research ethics will establish a solid foundation for those students who choose not to stay in the research field but to branch out into fields of business, teaching, administration, etc. The Office of Research will provide multiple avenues of training: 1) a formal RCR class (QSB294) offered once per academic year and taught by both the Office of Research staff and UC Merced faculty; 2) online training provided by the Collaborative Institutional Training Initiative (CITI) that allows students and users to access RCR training electronically and at their own pace; 3) tailored, in-person training by Office of Research staff upon request and at several times throughout the year (e.g. Graduate Student Orientation) and 4) various materials, books, websites, that are continually made available to students/users throughout the year. Achievement of the student learning outcomes will be measured through the numbers of students enrolled in the formal RCR class, through the accounting and passing rate/percentage of students taking the online training, and generally through a count of how many times the Office of Research is contacted to deal with RCR issues. The Office of Research will also participate in a customer satisfaction survey that will address the satisfaction of students, staff and faculty who engage in RCR training program and use any of its sources for RCR education.

3. For the other activities of the Office of Research, users will continue to be provided with the services relating to the Institutional Review Board (IRB human subjects research), the Institutional Animal Care and Use Committee (IACUC), the Conflict of Interest committee (COIC) and guidance on research misconduct. The Office will

measure the success of these programs by monitoring protocol review, protocol approval process, maintenance of outside accreditation (Association for the Assessment and Accreditation of Laboratory Animal Care, AAALAC) of the animal welfare program, and number of cases reviewed by the COIC. The Office of Research will also participate in a customer satisfaction survey that will address the satisfaction of students, staff and faculty who regularly use the above outlined services.

Program Objectives

The objectives of the Office of Research Compliance and Integrity are as follows:

1. To provide guidance to the faculty, staff and students of UC Merced on issues around research integrity, compliance and responsibility. A key component of this objective is to make available a complete IBC/biohazard safety program. Currently, UC Merced has no IBC and a very limited biohazard safety program. Our objective is to expand the program and provide IBC review of potentially biohazardous risks to the faculty as a required service on an academic research campus. Our timeline is to have the first IBC meeting in Fall of 2010. Initially, the effectiveness and efficiency of the IBC and the biohazard safety program will be measured by the committee members, who have expertise in similar programs. After establishing routine processes, the Office of Research will attempt to gain data in customer satisfaction through a comprehensive customer survey. This objective will be tied to other research compliance activities in the office that parallel and dovetail with the mission and function of the IBC and biohazard safety program. Examples of such activities are, human subjects research, animal subjects research, export control functions, etc.

2. To provide a broad RCR training program that allows access by all researchers, students, trainees etc, who have need of instruction in RCR for any reason. The goal is to have this program in place by the end of the academic calendar year 2011. Since the requirement for RCR training is based on new regulations by federal funding agencies, the success of the RCR training program will be partially assessed by the success of UC Merced researchers and graduate students in particular, in gaining extramural funding. Our expectations for an RCR training program are increased rates of success of graduate students and postdoctoral researchers in gaining independent, extramural funding, faculty outreach to our office to provide RCR training to their staff and students, and in general, a culture of knowledge and compliance that has RCR embedded within it.

3. To continue the functions of the Office of Research that already provide the foundation necessary for ethical research in the areas of human subjects, animals subjects conflict of interest, and research misconduct. The measurement of the success of these activities will be in parallel with the measurement of the success of the above mentioned activities of the IBC and

RCR. The success of any comprehensive Research Compliance and Integrity program is dependent upon the responsible office providing all aspects necessary for UC Merced researchers to be successful in extramural funding, publishing of research results, and providing service and teaching to students and the community. These broad functions are intimately tied together and thus the services provided by the Office of Research are tantamount to a successful research program at an academic university.

SPONSORED PROJECTS SERVICES
ANNUAL ASSESSMENT PLAN

FY 2011

MISSION STATEMENT

The Mission of the Sponsor Projects Services Office is to provide effective and timely pre- and post-award services to faculty, staff and students, for extramurally-sponsored research and educational projects at UC Merced.

Sponsored Projects Services (SPS) pre-award office at UC Merced is responsible for the effective and timely handling of proposals to external sponsors and the negotiation and the administration of awards. SPS pre-award office also oversees limited submission programs, and interfaces with the human subjects, animal care and use committees, and the conflict of interest advisory committee.

Sponsored Projects Services (SPS) post-award office at UC Merced is responsible for assisting the Principal Investigator (PI) with the day-to-day administration of faculty research grants, cooperative agreements and contracts[1]. SPS post-award is also responsible for approval and reconciliation of all purchasing, travel and reimbursements charged against faculty awards. It has the primary responsibility of determining the suitability of all charges on grants.

The American Recovery and Reinvestment Act (ARRA) Account Analyst performs both pre- and post-award management of ARRA extramural funding from varied federal and state sponsors under contracts and grants.

Sponsored Projects Services office reports to the Vice Chancellor for Research and Dean of the Graduate Division.

UNIT FUNCTIONS

The functions of SPS pre-award office include the following:

- Proposal and budget development assistance
- Proposal review, authorization, and transmissions
- Grant and contract negotiation and acceptance
- Processing award documents

[1] The School of Engineering is responsible for the post award management of Engineering accounts.

- Subaward/subcontract preparation and administration
- Non-financial post-award assistance
- Award Closeout
- Liaison with compliance committees
- Policy coordination
- Material Transfer Agreements (incoming)
- Nondisclosure Agreements
- Research activity and associated reports
- Electronic research administration systems with sponsors
- Faculty and staff general inquiries

The functions of SPS post-award office include the following:

- Award set-up and monitoring
- Monthly expenditure statements and projections
- Policy clarification and compliance
- Reconciliation
- Cost Sharing collection
- Award re-budgeting
- Purchasing, travel and reimbursement approvals
- Subaward setup and monitoring
- Financial award closeout
- Faculty and staff general inquiries

PLANNING GOALS

By centralizing pre-and post-award services, faculty have one principal point office to contact pertaining to their extramurally sponsored University activities. The Vice Chancellor for Research is the chief research officer of the campus and is the primary advocate for the research community.

The priorities of the SPS office for FY2011 are the following:

1. Implement the Kuali Coeus software program. This will allow the Sponsored Projects Services office to go from a paper based system to an electronic system of tracking proposals, awards, subawards, material transfer agreements and to provide reports on proposal and award activities of the campus to our internal and external stakeholders.

2. Assist with the creation of the UC Merced PI Portal. The PI Portal will provide Principal investigators and their staff with online access to project financial reports and certifications, effort reporting and certifications, funding opportunities, and to Kuali Coeus.

PROGRAM OBJECTIVES

The objective of the SPS office in implementing Kuali Coeus is to increase the ease of routing an electronic proposal for academic approvals on campus, and to implement a successful system-to-system functionality that will allow actual proposal submission to Grants.gov without downloading and completing an online.

The objective of creating a PI Portal is to decrease the administrative burden presently borne by faculty.

MEASURES

The methodology that will be used to evaluate the success of the Kuali Coeus software program and the PI Portal is for users to complete a brief survey after usage. The survey would be done during the pilot phase and during the rollout phase to the campus. The information derived from this survey will determine if any changes to be to these systems.

In addition, the Sponsored Projects Services office will keep track off the number of interactions with individuals outside the office that are of a simple or complex nature. The tracking of e-mail messages, telephone calls, walk-ins, and meetings will take place during anticipated busy months (January, June, July) and anticipated less-busy months (February, March, April).

The effective submission of proposals by the SPS will also be assessed by comparing the number of submittals which meet the submittal deadline versus the number of submittals that are not able to be submitted by the deadlines set by the extramural sponsors. Data will be collected for those proposals in which the PI initiates the process by or before the internal deadlines set by SPS. This will be compared to submittal data for those proposals in which the PI initiates the submittal process after the internal deadlines set by SPS.
In additional to tabulating and tracking internal award statistics, SPS will conduct annual customer satisfaction surveys to assist in its assessment of meeting the needs of UC Merced's research community.

NOTE: Both planning goals are dependent upon the technical assistance of others outside of the Office of Research.

Laboratory Animal Resource Center
Assessment Plan

Mission Statement

The UC Merced Laboratory Animal Resource Center is a team of professionals committed to the advancement of science in collaboration with the research community by promoting the humane care and use of animals used in biomedical research and teaching.

The Laboratory Animal Resource Center (LARC) provides animal husbandry and veterinary services to the research community at UC Merced through the following actions:

- Providing space and equipment to meet the needs of diverse research programs.
- Providing quality, humane care for research and teaching animals in the most cost effective and efficient manner.
- Providing veterinary care to research animals as outlined in the Animal Welfare Act, the Guide for the Care and Use of Laboratory Animals, and the American College of Laboratory Animal Medicine.
- Provide personable, quality customer services to the research community.
- Provide teaching and training opportunities to animal users to promote the appropriate use of animals in research and teaching.

Planning Goals

The priorities and intentions of the Laboratory Animal Resource Center for the 2010 – 2011 years are the following:

4. In conjunction with Facilities Management, develop, install, and test an automatic notification process within the building management system capable of dialing a phone tree when environmental conditions are outside set parameters.
5. In conjunction with School of Natural Science programmers design and implement an on-line enrollment system for the Occupational Health and Safety program covering personnel working with animals and/or animal tissues in the course of their work or studies at UC Merced.
6. To outfit a core lab capable of assisted reproductive techniques, caesarian and embryo rederivation, and cryopreservation of valuable mouse strains used in biomedical research and teaching.
7. To complete the caging purchases necessary to meet the needs of the faculty that use animals in biomedical research and teaching.

8. To continue to provide guidance, instruction and service to faculty and staff engaged in research activities involving animals in biomedical research and teaching at UC Merced.

Student Learning Outcomes

4. Faculty, research staff or students, and husbandry staff are trained in species specific environmental parameters appropriate for the health and well-being of the species and consistent the research objectives. In addition to building management control system monitoring husbandry staff document daily environmental parameters. Often research staff or students volunteer to perform environmental monitoring and animal welfare checks. With the knowledge of species specific environmental parameters research staff and students will be able to contact the appropriate facilities personnel to address heating, ventilation, and air conditioning issues. This knowledge is a critical component of all research projects involving animals. Daily documentation logs are compared to building management control system data on a quarterly basis thus providing a basis for determining accuracy of documentation and response to environmental incidents.

5. Faculty, research staff or students, and husbandry staff having contact with animals or animal tissues in the course of their employment or studies at UC Merced are required to enroll in the Occupational Health and Safety Program (OHSP). There are risks associated with the use of animals in biomedical research and teaching. The OHSP is designed to provide preventative medicine services and health related education to those employees and students. With this service and information employees and students will be able to perform their work or research safely. An on-line form submission and enrollment system will facilitate the program process as well as provide a means to measure faculty, research staff or students, and husbandry staff compliance.

6. Faculty, research staff or students and husbandry staff will have the opportunity to learn and perform assisted reproductive techniques, caesarian and embryo rederivation, and cryopreservation. Assisted reproductive techniques can be used to aid breeding programs. Rederivation can be used to rid strains of diseases detrimental to research. And cryopreservation can be used to archive valuable mouse strains used in biomedical research and teaching. Quality control will be performed with respect to each procedure allowing a measurement of success.

Additional Assessment

1. Customer satisfaction with LARC staff and facilities will be assessed through a customer satisfaction survey.

2. As part of its federal assurance, the LARC routinely goes through surprise inspections by the USDA. The LARC is also a major component of the UC Merced's Animal Welfare Program (AWP). The AWP is formally accredited by the American

Association for the Advancement of Laboratory Animal Care (AAALAC), a private nonprofit organization that is committed to best practices in laboratory animal research. Annual performance reports must be filed and approved by AAALAC to maintain accreditation. Continued accreditation serves as an additional annual assessment of the LARC.

Program Objectives

The objectives of the Laboratory Animal Resource Center are as follows:

1. To provide an animal housing facility where environmental parameters can be set and maintained as outlined in the "Guide for the Care and Use of Laboratory Animals" and the laws and regulations that govern the use of animals in biomedical research and teaching. Regulation of body temperature within normal variation is necessary for the well-being of homeotherms. In the vivarium this is accomplished through species specific temperature and humidity settings. Additionally appropriate ventilation is necessary to supply oxygen; remove thermal loads caused by animal respiration, lights, and equipment; dilute gaseous and particulate contaminants; adjust the moisture content of room air; and, where appropriate, create static-pressure differentials between adjoining spaces. Currently environmental parameters are set in and controlled by the building management system program. Alarm points are appropriately set and flagged when environmental values are outside set point ranges. Upgrading this system with automatic dial up notification will facilitate quicker emergency response if conditions warrant adding additional protections to animals and faculty/student research projects.

2. To provide a program and aide in compliance for all personnel, employees and students, to minimize the risks associated with the use of animals in biomedical research and teaching. Program elements include: recommendations for working safely following a physician's review of personal medical history and work site risk assessment; and educational material including personal hygiene, personal protective equipment, zoonoses, animal handler asthma and allergy, reproductive health, and links to CDC. Currently: enrollment in the OHSP and training material is paper based; individuals may enroll at any time of the year; enrollment is annual and individuals must renew each year. This has led to some lapses in coverage and compliance. An on-line form submission and enrollment system will facilitate the enrollment and renewal process preventing lapses in coverage and ensuring compliance.

3. To provide space and equipment necessary to provide training and/or service in the areas of assisted reproductive techniques, caesarian and embryo rederivation, and cryopreservation of valuable mouse strains used in biomedical research and teaching.

Research Development Services
Office of Research
Annual Assessment Plan
FY 2011

Mission Statement

The mission of the Research Development Services (RDS) Unit in the Office of Research at the University of California, Merced (UC Merced) is to promote growth in campus extramural funding for research and graduate training and to expand UC Merced's capacity to pursue major disciplinary, multi and interdisciplinary team based research initiatives.

Planning Goals

The priorities and intentions of Research Development Services for the 2010 – 2011 year are the following:

1. To maintain and increase funding support for and the quality of graduate and undergraduate research at UC Merced. It should be noted that federal funding for research is expected to decline over the next three years due to the current fiscal environment; RDS funding goals need to recognize and address this likely change.
2. To expand UC Merced's capacity to lead and participate in large multidisciplinary and interdisciplinary team-based research initiatives.
3. To develop collaborative relationships among UC Merced faculty and with external partners in order to blend faculty expertise with funding opportunities and to increase research capacity.
4. To build relationships with extramural research funding agencies and potential collaborators and partners.
5. To monitor and analyze and provide advice and assistance to UC Merced faculty and administration regarding new/emerging/changing funding opportunities and environments.
6. To compile and assess data on research development activities and on the research enterprise at UC Merced.

<u>Program Objectives</u>

The objectives of Research Development Services are as follows:

1. To identify and disseminate information to faculty and graduate students regarding research funding opportunities, including limited submission opportunities through periodic email and newsletter announcements, development of electronic list serves geared to specific interest areas, and maintenance of calendars on the RDS website indicating Letter of Intent, Pre-Proposal and Proposal due dates for announced research funding opportunities, as well as the matrix of Limited Submission internal and external deadlines. This objective supports Planning Goals number 1, 2, 3, 5 and 6 above.

2. To develop, plan and implement training workshops and classes for faculty and graduate students on research proposal writing and seeking research funding, and

to participate in orientation programs for new faculty and graduate students. This objective supports Planning Goals number 1, 2, 3 and 5 above.

3. To provide technical assistance, advice and support to UC Merced faculty in developing successful proposals, particularly to support the planning, coordination, and submission of large and/or complex research funding applications. This objective will be addressed through the provision of proposal writing and editing services, with a focus on effective communication and responsiveness to the funder requirements. Priority will be given to support for the planning, coordination, and submission of large and/or complex research funding proposal applications and for proposals to support graduate student research and training. This objective supports all six Planning Goals above.

4. To participate in regional and national Research Development organizations, conferences and activities and to work with the Deans of the Schools, UC Merced Center and Research Institute Directors, Vice Chancellor for Research, Director of Sponsored Projects, and the University External Relations in order to build relationships with potential funding and research partners and to increase the visibility of the research enterprise at UC Merced at the regional, state and national levels. This objective supports Planning Goals 1,2,3,4 and 5, above.

5. To develop expertise and disseminate information regarding funding opportunities specifically targeted to UC Merced's status as a Hispanic Serving Institution. This objective supports Planning Goals 1, 2, 4 and 5 above.

6. To work with the Sponsored Projects Office to integrate research development activities and proposal applications at UC Merced into the electronic web-based data information system currently under development. This objective supports all six Planning Goals, above.

Measures

RDS will measure and assess its progress in meeting the above goals and objectives in support of its mission through achievement of the following by June 30, 2011.

1. Development, with advice from faculty experts at UC Merced, of a matrix to track UC Merced faculty funding success rates over a three year window, based on faculty FTE amounts; the matrix will also compare funding rates per faculty FTE to funding rates at other University of California campuses.

2. Distribution of least 12 email alerts and 2 electronic 'funding update' newsletters to the UC Merced faculty and graduate student lists, with links to updates and calendars on the RDS website as well as information about funding trends;

3. Development of at least two specialized list serve lists for interested faculty and focused on specific research interests or areas of funding;

4. Planning, development and implementation of at least 2 workshops on seeking research funding and proposal writing for graduate students, as well as participation in the annual graduate and faculty student orientations and as a guest lecturer in QSB 294 (Graduate Education and the Practice of Responsible Research);

5. Planning, development and implementation of at least one workshop or panel training session on seeking research funding that is directed specifically to junior (tenure track, not yet tenured) faculty;

6. Planning, development and implementation of at least one set of UC Merced visits with workshops, information sessions and consultations for faculty from officials/program officers from a major governmental and/or private funding source;

7. Coordinate and participate in the development process for at least 30 submitted faculty proposals that: support collaborative and multi-disciplinary research efforts, foster the capacity of junior faculty to build independent research careers, and/or address student research opportunities;

8. Development and initiation of a customer satisfaction survey that will measure the satisfaction of faculty with RDS services.

9. Development and initiation of a customer survey for faculty designed to measure RDS impact on increased faculty capacity to seek independent research funding and to be successful in working in interdisciplinary research efforts.

Assessment Plan for the Office of Technology Transfer
Office of Vice Chancellor for Research

MISSION

The Office of Technology Transfer (OTT) at the University of California, Merced Campus (UCM) exists to provide assistance to all inventors at UCM in registering and coordinating with the technology transfer office at the University of California Office of the President (UCOP) patent, trademarks, and trade secrets.

The UCM OTT provides interpretation of policy, procedures and rules that impact technology transfer to the stakeholders at UCM. The Office serves as a conduit between UCM and UCOP. OTT coordinates all Material Transfer Agreements (MTAs) for outgoing items and Nondisclosure Agreements (NDAs) as they impact maintenance and control of intellectual property.

GOALS

Provide high quality assistance to the stakeholders at the University of California, Merced (UCM):

- to understand the requirements, procedures and rules involved in reporting inventions
- to assist the faculty, staff and students in completing all required paperwork including a Record of Invention (ROI) form and assignments to the Board of Regents.
- to serve as a conduit to provide a copy of the completed ROI form to the University of California Office of the President for future processing.
- to review and approve any licensing agreements
- to act on behalf of the UCM inventor(s) and assure that their rights are protected
- to help the faculty understand the restrictions and requirements when sharing intellectual property (IP) with collaborators and colleagues and help them prepare an MTA for negotiation
- to educate the inventors on the requirements for discussing IP with potential licensees, competitors or colleagues and assist them in preparing an NDA.

STUDENT, STAFF OR FACULTY LEARNING OUTCOMES

- A website will be maintained and reviewed at least annually to ensure that information needed to become a functioning inventor is provided. Instructional efforts will be provided regularly to provide the basic understanding in inventorship and how to report an invention/discovery. The information provided will be sufficient such that the inventor will have the skills to complete an ROI form.

- An inventor will have access to the Director of OTT within 24 hours of a request to discuss policy, requirements and procedures.

- When an ROI is received it will be reviewed and required information or changes will be requested of the primary inventor within 24 hours. The outcome will be a high quality ROI, acceptable to UCOP.

- After guiding the inventors in the proper method of disclosure of inventions or discovery of intellectual property, the director will interface between UCM and the office of technology transfer at UCOP. Tracking, patenting and licensing procedures will be carried out. The results will be an expedited transfer of the ROI to a patent attorney and appropriate information for marketing and commercialization.

- The director participates with UCOP in the prosecution of any patenting, marketing, licensing and contractual negotiation with industrial partners or venture capitalists.

- The director shall act as the single conduit for the campus. A complete record will be maintained for each case (defined by PI and invention number). The outcome is a case file valuable in answering inquiries and specifics on any case.

- A booklet of inventions shall be maintained and used for historical records and as marketing information to interest potential licensees and to recognize faculty, staff and students' activities. The outcome is a booklet.

PROGRAM OBJECTIVES

- Program objectives include having a program that inspires the inventor to report inventions. The program shall provide activities which assist the inventor to report inventions and understand the roles and responsibilities of the inventor. When classes or presentations are made by the director, a record will be kept on the event.

- The ROI will demonstrate that the inventor has the skills to process an invention. Email records between the inventor and patent attorney will demonstrate that appropriate activities have taken place to refine the process.

- Blank MTAs and NDAs will be contained on the website to facilitate and expedite the process of sharing IP or carrying out discussions with potential licensees.

- A customer satisfaction survey will be carried out each year providing each outcome and activity of the process to see if stakeholders are reasonably satisfied with the OTT services and to see what changes may need to be made to benefit the stakeholder.

MEASURES

- The director shall contact members of UCOP and those private sector people when carrying out patent application procedures to see what the current level of performance is and how the process may be improved. Director of OTT shall keep records of ROIs requiring revision after submitting to UCOP.

- Student, staff and faculty will be surveyed to receive diagnostics on each phase of the process at UCM, UCOP and at the patent attorney.

- Records will be kept of when an ROI is received by OTT at UCM and processed, to see if 24-hour turnaround time is being met.