Mission / Purpose

The mission of the Office for Technology Transfer (OTT) is to effectively manage and deploy the intellectual property assets of the University. OTT is primarily responsible for commercializing the innovations generated by UA faculty, staff and students, either through licenses to industry partners or via the formation of spin-off enterprises based on UA technologies.

Other Outcomes, with Any Associations and Related Measures, Targets, Findings, and Action Plans

OthOtcm 1: Increase Awareness
Increase faculty, staff and student awareness and engagement

Related Measures

M 1: Staff Presentations
Number of departmental presentations by OTT staff
Source of Evidence: Administrative measure - other

Target:
Give at least 6 formal presentations per year to various faculty/staff groups.

Finding (2013-2014) - Target: Met
One-on-one meetings—we are averaging 15 per month.

M 2: One on One meetings
Number of one-on-one meetings with faculty, staff and students to encourage new invention disclosures.

Source of Evidence: Discussions / Coffee Talk

Target:
Meet with 4 contacts per month.

Finding (2013-2014) - Target: Met
OTT had over 60 individual meetings (both internal and external) this year which averages to ~5 meetings per month.

Related Action Plans (by Established cycle, then alpha):

Staff Presentations
Established in Cycle: 2013-2014
OTT staff will conduct formal presentations for various faculty/staff groups.

For full information, see the Details of Action Plans section of this report.

M 3: Number of hits on OTT website
Number of hits on OTT website

Source of Evidence: Activity volume

Target:
Average 175 website hits per month.

Finding (2013-2014) - Target: Met
Average number of website hits was 311 per month. The percentage of first time visitors made up 62.02% of the all site visits. The top 5 countries that had visitors to website were the US, India, UK, Canada and Germany. The top 5 states (omitting Alabama) that had visitors to website were Georgia, California, Florida, Texas and New York.

Related Action Plans (by Established cycle, then alpha):

Staff Presentations
Established in Cycle: 2013-2014
OTT staff will conduct formal presentations for various faculty/staff groups.

For full information, see the Details of Action Plans section of this report.

M 4: Number of new invention disclosures
Number of new invention disclosures submitted.

Source of Evidence: Activity volume

Target:
1 disclosure per $2 mil of research expenditure

Finding (2013-2014) - Target: Met
For FY13, OTT had a total of 48 new invention disclosures (on $55,885 mil of Federal R&D expenditures--note this is the FY12 number); thus providing 1 disclosure per $1.16 mil of R&D expenditure.

Related Action Plans (by Established cycle, then alpha):

Staff Presentations
Established in Cycle: 2013-2014
OTT staff will conduct formal presentations for various faculty/staff groups.
For full information, see the Details of Action Plans section of this report.

OthOtcm 2: Inventions prioritization
Improved ability to identify, protect and better focus on inventions of higher licensing potential.

Related Measures

**M 6: Number of patent applications**
Number of patent applications that are filed (with respect to number of disclosures).
Source of Evidence: Activity volume

**Target:**
File at least 45 patent applications per year.

**Finding (2013-2014) - Target: Met**
In FY13, OTT filed 57 patent applications

**M 8: External Advisory Panel**
Number of technologies vetted by an external advisory panel and commercialization path(s) determined.
Source of Evidence: Administrative measure - other

**Target:**
Engage panel to evaluate and develop commercialization strategies for 7 technology opportunities.

**Finding (2013-2014) - Target: Met**
OTT evaluated 5 university owned technologies, 1 university student owned technology and 1 externally owned technology.

**M 9: Business Plan Competition**
Alabama Launchpad business plan competition entries that are based on University IP, and the number of teams that reach the finals.
Source of Evidence: Administrative measure - other

**Target:**
Support 2 teams per year.

**Finding (2013-2014) - Target: Met**
Dr. Hough serves as Tuscaloosa Mentor Coordinator for Alabama Launchpad. OTT Attended 2 kick-off events in Birmingham to support UA-based teams. OTT supported three round 1 teams--Graphenics, MagnPro and Thurpore. OTT supported three round 2 teams that participated: Bidsters, Surface Intergy and e-Electricity. In addition to this support OTT also:
- Organized speed mentoring events to help teams improve business plan
- Organized pitch practices and mentors for 3 semi-finalists teams (Bidsters, Surface Intergy, E-Electricity)
- Hands on review and mentorship of Bidsters and E-electricity Business plan, presentation, pitch, overall strategy

OthOtcm 3: UA Intellectual Property
Effective deployment of University IP for commercialization by industry

Related Measures

**M 10: Generation of Marketing Slicks**
Number of new technology marketing pages added to the website.
Source of Evidence: Administrative measure - other

**Target:**
Generated 15 marketing slicks and conduct targeted marketing campaigns.

**Finding (2013-2014) - Target: Met**
In FY13, OTT generated 22 new marketing slicks and distributed them.

**M 11: Number of option/license agreements executed**
Number of option/license agreements executed with industry.
Source of Evidence: Administrative measure - other

**Target:**
3 license deals per licensing FTE

**Finding (2013-2014) - Target: Met**
In FY12, OTT had 1 licensing FTE and completed 3 licensing/option agreements.

**M 12: External Stakeholders**
Number of business mentors, entrepreneurs-in-residence, student interns and other external stakeholders recruited to work with OTT.
Source of Evidence: Administrative measure - other

**Target:**
OTT will engage 6 new individuals to help promote and commercialize UA’s technology.

**Finding (2013-2014) - Target: Met**
In FY13, OTT engaged two outside experts to work with the office to help facilitate UA technology. OTT also launched two student based internship programs: 1) Triage and 2) Venture Development. In this inaugural year, OTT trained 15 students.

**M 13: Outreach and economic development**
Initiatives with other departments/cross-functional partnerships, both internally and externally.

Source of Evidence: Administrative measure - other

**Target:**
Generate 1 new partnership per year.

**Finding (2013-2014) - Target: Met**

In FY13, OTT partnered with UA's Sales Department to determine the commercialization potential for one UA's based technology. This partnership resulted in the formation of a 7 member team. This team:

- Reached out to over 100 contacts in telecommunication/antenna field;
- Executed 5 NDAs from outreach efforts; and
- Generated significant interest from 3 major companies.

**Details of Action Plans for This Cycle (by Established cycle, then alpha)**

**Staff Presentations**
OTT staff will conduct formal presentations for various faculty/staff groups.

**Established in Cycle:** 2013-2014
**Implementation Status:** Planned
**Priority:** High

**Relationships (Measure | Outcome/Objective):**
- **Measure:** Number of hits on OTT website | **Outcome/Objective:** Increase Awareness
- **Measure:** Number of new invention disclosures | **Outcome/Objective:** Increase Awareness
- **Measure:** One on One meetings | **Outcome/Objective:** Increase Awareness

**Implementation Description:** While we were in the process of planning formal presentations, it became apparent that more informal interactions would be more effective and efficient in increasing awareness. As a result of this finding, we conducted approximately 15 one-on-one meetings per month. These focused efforts lead to an increase in web traffic and invention disclosures. OTT's website averaged per month 436 visits, 262 unique visitors and over 3,100 page views. OTT has been averaging 6.8 new invention disclosure.

**Responsible Person/Group:** OTT
**Additional Resources:** NA
Mission / Purpose

The mission of the Office for Technology Transfer (OTT) is to effectively manage and deploy the intellectual property assets of the University. OTT is primarily responsible for commercializing the innovations generated by UA faculty, staff and students, either through licenses to industry partners or via the formation of spin-off enterprises based on UA technologies.

Other Outcomes, with Any Associations and Related Measures, Targets, Findings, and Action Plans

OthOtcn 1: Increase Awareness
Increase faculty, staff and student awareness and engagement

Related Measures

M 1: Staff Presentations
Number of departmental presentations by OTT staff
Source of Evidence: Administrative measure - other
Target:
Give at least 6 formal presentations per year to various faculty/staff groups.
Finding (2012-2013) - Target: Met
In FY12, OTT made 7 formal presentations to various faculty/staff groups.

M 2: One on One meetings
Number of one-on-one meetings with faculty, staff and students to encourage new invention disclosures.
Source of Evidence: Discussions / Coffee Talk
Target:
Meet with 2 new contacts per month.
Finding (2012-2013) - Target: Met
In FY12, OTT had meetings with over 50 individuals/companies.

M 3: Number of hits on OTT website
Number of internal hits on OTT website
Source of Evidence: Activity volume
Target:
Average 60 website hits per month.
Finding (2012-2013) - Target: Met
In FY12, OTT was still in the process of updated our web presence. The fully revamped site launched in early FY12. We also launched Twitter, Facebook, Google+, and LinkedIn sites. OTT recorded 2,628 visits (~219 hits per month) to the website. There were 7,701 pageviews with an average time on site of 2:23.

M 4: Number of new invention disclosures
Number of new invention disclosures submitted.
Source of Evidence: Activity volume
Target:
1 disclosure per $2 mil of research expenditure
Finding (2012-2013) - Target: Met
For FY12, OTT had a total of 36 new invention disclosures (on $55.885 mil of Federal R&D expenditures); thus providing 1 disclosure per $1.55 mil of R&D expenditure.

OthOtcn 2: Inventions prioritization
Improved ability to identify, protect and better focus on inventions of higher licensing potential.

Related Measures

M 6: Number of patent applications
Number of patent applications that are filed (with respect to number of disclosures).
Source of Evidence: Activity volume
Target:
File at least 15 patent applications per year.
Finding (2012-2013) - Target: Met
In FY12, OTT filed 47 patent applications.

M 8: External Advisory Committee
Number of technologies vetted by an external advisory committee and recommended for accelerator funding.
Source of Evidence: Administrative measure - other
Target:
Engage 4 outside experts to help evaluate technology opportunities.
Finding (2012-2013) - Target: Met
In FY12, OTT engaged 6 outside experts to help evaluate and prioritize OTT technologies.

M 9: Business Plan Competition
Alabama Launchpad business plan competition entries that are based on University IP, and the number of teams that reach the finals.
Source of Evidence: Administrative measure - other
Target: Support 2 teams per year.
Finding (2012-2013) - Target: Met
In FY11, OTT worked with two team that participated in the statewide business plan competition.

OthOtcm 3: UA Intellectual Property
Effective deployment of University IP for commercialization by industry

Related Measures

M 10: Generation of Marketing Slicks
Number of new technology marketing pages added to the website.
Source of Evidence: Administrative measure - other
Target: Post 10 new technologies to website per year.
Finding (2012-2013) - Target: Partially Met
In FY12, OTT only generated 7 new marketing slicks. Since considerable effort was expended in revamping the OTT website less time was available for this activity. The revamped website is now complete, and efforts have been shifted back to producing marketing slicks. In addition to the marketing slicks, OTT is also promoting technologies via additional social media outlets.
Finding (2012-2013) - Target: Partially Met
In FY12, OTT only generated 7 new marketing slicks. Since considerable effort was expended in revamping the OTT website less time was available for this activity. The revamped website is now complete, and efforts have been shifted back to producing marketing slicks. In addition to the marketing slicks, OTT is also promoting technologies via additional social media outlets.

M 11: Number of option/license agreements executed
Number of option/license agreements executed with industry.
Source of Evidence: Administrative measure - other
Target: 3 license deals per licensing FTE
Finding (2012-2013) - Target: Met
In FY11, OTT had 1 licensing FTE and completed 4 licensing/option agreements.

M 12: External Stakeholders
Number of business mentors, entrepreneurs-in-residence and other external stakeholders recruited to work with OTT.
Source of Evidence: Administrative measure - other

M 13: local economic development
Number of new start-ups/spin-offs formed in support of local economic development.
Source of Evidence: Administrative measure - other
Target: Launch 1 new start-up venture per year.
Finding (2012-2013) - Target: Met
In FY12, OTT launched and helped one start-up.

OthOtcm 4: Increase UA Income from intellectual property
Increased University income from deployment of University IP.
Mission / Purpose

The mission of the Office for Technology Transfer (OTT) is to effectively manage and deploy the intellectual property assets of the University. OTT is primarily responsible for commercializing the innovations generated by UA faculty, staff and students, either through licenses to industry partners or via the formation of spin-off enterprises based on UA technologies.

Other Outcomes, with Any Associations and Related Measures, Targets, Findings, and Action Plans

OthOtcm 1: Increase Awareness
Increase faculty, staff and student awareness and engagement

Related Measures

M 1: Staff Presentations
Number of departmental presentations by OTT staff
Source of Evidence: Administrative measure - other
Target:
Give at least 6 formal presentations per year to various faculty/staff groups.
Finding (2011-2012) - Target: Met
OTT made 6 formal presentation in FY11.

M 2: One on One meetings
Number of one-on-one meetings with faculty, staff and students to encourage new invention disclosures.
Source of Evidence: Discussions / Coffee Talk

M 3: Number of hits on OTT website
Number of internal hits on OTT website
Source of Evidence: Activity volume
Target:
Average 60 website hits per month.
Finding (2011-2012) - Target: Not Reported This Cycle
OTT started tracking hits late, and recently revamped the site. We have also increasing our web presence through the use of Twitter and Facebook. As a result we are slowing seeing an uptick in traffic.

M 4: Number of new invention disclosures
Number of new invention disclosures submitted.
Source of Evidence: Activity volume
Target:
1 disclosure per $2 mil of research expenditure
Finding (2011-2012) - Target: Met
For FY11, we had 1 disclosure per $1.79 mil of research expenditure.

M 5: Number of partnerships formed with internal UA stakeholders
Number of partnerships formed with internal UA stakeholders
Source of Evidence: Administrative measure - other

OthOtcm 2: Inventions prioritization
Improved ability to identify, protect and better focus on inventions of higher licensing potential.

Related Measures

M 6: Number of patent applications
Number of patent applications that are filed (with respect to number of disclosures).
Source of Evidence: Activity volume
Target:
File at least 15 patent applications per year.
Finding (2011-2012) - Target: Met
In FY11, OTT filed 44 patent applications.

M 7: Number of outsourced commercial assessments
Number of outsourced commercial assessments, potential technology licensees contacted and leads generated.
Source of Evidence: Administrative measure - other

M 8: External Advisory Committee
Number of technologies vetted by an external advisory committee and recommended for accelerator funding.
Source of Evidence: Administrative measure - other

M 9: Business Plan Competition
Alabama Launchpad business plan competition entries that are based on University IP, and the number of teams that reach the finals.
Source of Evidence: Administrative measure - other

**OthOtcm 3: UA Intellectual Property**
Effective deployment of University IP for commercialization by industry

**Related Measures**

**M 10: Generation of Marketing Slicks**
Number of new technology marketing pages added to the website.
Source of Evidence: Administrative measure - other

**Target:**
Post 10 new technologies to website per year.

**Finding (2011-2012) - Target: Met**
Posted over 10 marketing slicks.

**M 11: Number of option/license agreements executed**
Number of option/license agreements executed with industry.
Source of Evidence: Administrative measure - other

**Target:**
3 license deals per licensing FTE

**Finding (2011-2012) - Target: Met**
In FY11, OTT had 1 licensing FTE and completed 3 licensing/option agreements.

**M 12: External Stakeholders**
Number of business mentors, entrepreneurs-in-residence and other external stakeholders recruited to work with OTT.
Source of Evidence: Administrative measure - other

**M 13: local economic development**
Number of new start-ups/spin-offs formed in support of local economic development.
Source of Evidence: Administrative measure - other

**OthOtcm 4: Increase UA Income from intellectual property**
Increased University income from deployment of University IP.

**Related Measures**

**M 14: Industry sponsored research funding**
Industry sponsored research funding, including SBIR/STTR subawards, for technology associated with protected University IP.
Source of Evidence: Administrative measure - other

**M 15: Patent Cost Reimbursements**
Patent cost reimbursements (ratio of reimbursements:expenses), option/licensing fees, royalty income and cashed-in equity
Source of Evidence: Administrative measure - other
### III. Timetable: What Assessment Measures will be Administered When for Each Expected Outcome

<table>
<thead>
<tr>
<th>Month</th>
<th>Outcome #1: Increased awareness of OTT’s mission and IP process</th>
<th>Outcome #2: Improved commercial assessment and marketing of protected technologies</th>
<th>Outcome #3: Effective commercialization of University IP</th>
<th>Outcome #4: Income generation from University IP</th>
</tr>
</thead>
<tbody>
<tr>
<td>September</td>
<td>Website hits</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>October</td>
<td></td>
<td>Commercial assessments and marketing results</td>
<td>Start-ups formed</td>
<td>Sponsored research funding</td>
</tr>
<tr>
<td>November</td>
<td>Invention disclosures</td>
<td>Patent applications filed</td>
<td>Option/license agreements executed</td>
<td>Licensing income</td>
</tr>
<tr>
<td>December</td>
<td></td>
<td>Alabama Launchpad entries</td>
<td></td>
<td></td>
</tr>
<tr>
<td>January</td>
<td>Website hits</td>
<td>Commercial assessments and marketing results</td>
<td></td>
<td></td>
</tr>
<tr>
<td>February</td>
<td>Departmental seminars and one-on-one meetings</td>
<td>Technologies recommended for accelerator funding</td>
<td>OTT stakeholders recruited</td>
<td></td>
</tr>
<tr>
<td>March</td>
<td>Number of partnerships formed</td>
<td>Alabama Launchpad semifinalists</td>
<td></td>
<td></td>
</tr>
<tr>
<td>April</td>
<td></td>
<td>Commercial assessments and marketing results</td>
<td>Start-ups formed</td>
<td>Sponsored research funding</td>
</tr>
<tr>
<td>May</td>
<td>Invention disclosures</td>
<td></td>
<td>Option/license agreements executed</td>
<td>Licensing income</td>
</tr>
<tr>
<td>June</td>
<td>Website hits</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>July</td>
<td>Departmental seminars and one-on-one meetings</td>
<td>Commercial assessments and marketing results</td>
<td></td>
<td></td>
</tr>
<tr>
<td>August</td>
<td></td>
<td>Technologies recommended for accelerator funding</td>
<td>Number of new technologies posted to web</td>
<td></td>
</tr>
</tbody>
</table>