PATHWAY C

Economic Engagement and Commercialization

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Supporting Our Transformation: The Third Century
Pathway C: Economic Engagement and Commercialization
DRAFT Recommendations and Implementation Plan

BACKGROUND

Drivers for Pathway C
- Becoming a benchmark “Economically Engaged and Entrepreneurial University” is a priority for UC
  - Evidence includes:
    - Inclusion in the 2019 Master Plan and previous UC/21 Strategic Plan
    - Carnegie designations for “Curricular Engagement” and “Outreach and Partnerships”
    - Resource investments in community planning, real estate enhancement, workforce development partnerships, product development, community service, health initiatives, industry collaborations and sustainability initiatives.
    - APLU Top Award for “Innovation and Economic Prosperity” initiatives

- This choice is driven by
  - Increasing public expectations for universities as economic drivers across the country
  - Federal funding agencies’ expectations to translate innovation into societal benefit
  - State-wide and regional priority in Ohio (OBR Task Force and CBC Study) for commercialization of university innovation and relevant workforce talent

UC’s Current Status:
UC has been proactive in creating its Economic Engagement Agenda and in launching new initiatives to move the University forward as a fully engaged University in the regional ecosystem. Examples of initiatives include: establishment of the UC Technology Commercialization Accelerator, UCRI, and UC Forward, as well as participation in many major collaborations, such as the Confluence Water Cluster.

Our growth in this area has been a clearly progressive one, but the University’s total potential has yet to be realized. As the University plans for future growth, however, UC’s newly launched initiatives and achievements now form a solid foundation for taking our economic engagement to the next level and truly leveraging our capabilities as an essential component of the region’s economy and as a leader among universities.

The recommendations that follow for Pathway C are strategically focused to further enable and scale what we have started and to maximize the full range of university potential within the regional ecosystem.
I. Team:
A team of both internal and external members, which included faculty, administration, industry, economic development, and investors, conducted the work leading to Pathway C recommendations.

II. Self-Study Approach to Determine Needs and Recommendations:
Qualitative and quantitative data from the following sources were used as the basis for Pathway C recommendations:

1) CICEP Internal Assessment Tool (developed by APLU’s Commission on Innovation and Economic Prosperity) for a standardized assessment of UC’s perceived economic engagement among faculty and administrative groups
2) Follow-on UC Internal Assessment Questionnaire to assess knowledge of specific UC program initiatives
3) 2011 Regional Innovation Task Force Initiative for assessing UC’s role and perceived performance by external stakeholders in the region
4) July 2013 UC Economic Engagement Retreat to drill deeper into issues and potential solutions.

III. Problem Definition Based on Assessment Outcomes
Significant input was sought from the Pathway C Team in assessing the data from the Self-Assessment process. The results indicated a high degree of congruence across all assessment measures. All data pointed to the same three inter-related areas for growth and improvement needed to significantly enhance our ability to bring economic engagement and commercialization outcomes to the next level of achievement. The three areas are:

- Developing mechanisms for valuing a stronger internal culture of economic engagement;
- Establishing an infrastructure to guide, facilitate and support economic engagement and commercialization activity;
- Establishing a communication network that supports economic engagement from both marketing and educational perspectives.

IV. Stakeholder Value Propositions Underpinning Recommendations
UC’s commercialization activity exists within an ecosystem of stakeholder groups; therefore, recommendations that addressed the needs of stakeholder groups were also factored into the final plan:

- **University/Colleges:** “Expanded opportunities, increased prestige, and preservation/attraction talent.”
- **Faculty:** “Transformation of intellectual capital/technology into societal improvement and new resources and prestige.”
- **Students:** “Experiential learning to be “next gen” entrepreneurs, and have a competitive workforce advantage.”
• **Investors:** “Free, unfettered access to resources, expertise and technology in which to invest.”
• **Industry:** “Access to IP, physical resources and expertise and increased potential for co-creation and commercialization of new technologies.”
• **Community:** “Job growth and wealth creation needed for a vibrant, sustainable community.”

V. **Existing Best Practices Underpinning Recommendations:**
Recommendations are based on existing best practices among benchmark universities. Institutions reviewed included MIT, Arizona State University, Purdue University, University of Kentucky, Carnegie Mellon, University of Utah, Washington University, Penn State, University of Michigan, Ohio State University and Colorado University. While each has unique approaches, two overarching themes emerged from the analysis of these universities’ success: 1) **intentionality** and 2) **commercialization infrastructure investments**. These two themes were demonstrated across all or a substantial number of the universities through the following types of initiatives.

- Top leadership support
- Dedicated, centralized infrastructure for commercialization
- University gap funds, such as early stage technology development grants and seed funds
- Commercialization aggregated at a physical location for increased visibility
- Integration of tech transfer office, accelerators, incubators, etc. to provide a one-stop, commercialization function
- Interdisciplinary cooperation and leveraging of unique university centers, institutes and expertise
- Participation of faculty, staff and students to create a broad-based culture of entrepreneurship
- High level reporting line for Office of Commercialization
- High level external advisory boards
- Use of alumni network for both monetary and physical resources
- Proactive engagement with corporate/industry partners through corporate visits, part-time entrepreneurial residencies, etc. to encourage networking and cross pollination.
- Educational initiatives for prospective faculty and student entrepreneurs
- Facilitative conflict of interest policies
PATHWAY C RECOMMENDATIONS

OVER-ARCHING GOAL:
To develop an entrepreneurial ecosystem that expands opportunities for all of UC’s stakeholder groups and provides support for the commercialization of a wide range of intellectual property throughout the university.

RECOMMENDATIONS:
Based upon assessment data, stakeholder needs and identified best practices, the following three areas of recommendations are proposed:

**Area 1: Culture**

**Issues:**
A culture that embraces economic engagement is core to success. Core issues included:

- Current Reappointment, Promotion and Tenure (RPT) criteria align with traditional values of teaching, research/scholarship and service and do not recognize and reward economic engagement.
- Changing RPT criteria is complicated as decisions occur at the faculty/department level, making uniform incorporation of economic engagement/commercialization into RPT guidelines challenging.
- Community engagement and commercialization is not universally understood by faculty, resulting in limited understanding of the opportunity and ways to participate.

**Solutions:**

**GOAL 1: Promote, value and reward community engagement to change culture**

- **Objective 1.1 Leadership Stance**
  Establish a leadership position of economic engagement as a recognized value of the University
  
  ➢ Assemble a high level team charged with developing a leadership position and plan for disseminating the position
  
  ➢ Incorporate into Vision and Mission Statement

- **Objective 1.2 RPT Recognition and Reward Systems**
  Expand RPT criteria to include community (economic and/or social) engagement and commercialization as a valued area of contribution and develop additional reward mechanisms for faculty achievements
  
  ➢ Work with Faculty Senate leadership to develop a set of agreed upon principles, provide channels for faculty input and to formulate a final set of reward/incentiverecommendations
Seek additional input into expanded RPT criteria and other potential incentives from Deans and other high level administrators for a balanced set of recommendations

Provide informational venues to insure understanding of the recommendations, their benefits and position among the other traditional RPT criteria

• **Objective 1.3 Educational Initiatives**
  Increase ability to lead and/or participate in entrepreneurial initiatives through educational programs that provide background knowledge and skills needed to succeed

  ➢ Establish a multi-pronged educational program targeted at different levels of need
    ➢ General Orientation Session on a semi-annual basis to stimulate interest and provide basic information regarding Intellectual property and commercialization processes
    ➢ Commercialization Informational Series Sessions to assist faculty in understanding commercialization processes and ways to engage
    ➢ Entrepreneurial Boot Camp to work with faculty with early stage technologies and an interest in taking them forward to commercialization

  ➢ Assemble team of experts for delivering program (i.e., technology transfer, Accelerator Entrepreneurs in Residence, College of Business, College of Law, and external experts from industry, investors, patent law, etc.

  ➢ Market the availability of the program through large broadcasting methods and individual outreach

  ➢ Showcase program successes to stimulate additional interest

• **Objective 1.4 Expanded Pathways for Participation**
  Create novel pathways for faculty to engage in entrepreneurial activities

  ➢ Establish a team of faculty and industry representatives to develop a framework for novel, joint opportunities, such as joint university/industry appointments, University/Industry Exchanges, topic-specific university/industry forums

  ➢ Establish “Tiger Team” to serve as liaisons between Centers of Excellence/Departments and both Accelerator and UCRI to identify opportunities with commercial and/or industry-sponsored research potential

  ➢ Create a University-Community Engagement Council charged with identifying community issues and expertise available to address those issues and to facilitate connections to relevant networks

  ➢ Establish a “convening process” to bring together interdisciplinary teams, augmented by additional expertise, to take newly identified opportunities forward
**Area 2: Commercialization and Engagement Infrastructure and Resources**

**Issues:**
There is a need for a comprehensive university-wide infrastructure to guide, facilitate and support the Innovation and Engagement missions of the University. Core issues include:

- Limited focus on the front end of the Innovation Process (as early as grants) to increase potential for commercialization
- Fragmented and under-powered University commercialization infrastructure
- Poorly understood pathways for commercialization
- Non-facilitative policies and procedures
- Lack of centralized and easily searchable repository of university resources to facilitate partnerships, collaborations and new opportunity creation
- Lack of “single point of contact” to assist external stakeholders in navigating the university system and connecting with resources

**Solutions:**

**Goal 2:** Establish an integrated and readily understood campus-wide infrastructure to support and grow UC’s economic engagement impact across all opportunity areas

**University Infrastructure for Federal and State Grant-based Intellectual Property**

- **Objective 2.1 Change the Model (Figure 1.)**
  
  Create an infrastructure focused on expanding opportunities and supporting commercialization of all types of Intellectual Property

**Pathways for Technology Commercialization**

![Pathways for Technology Commercialization diagram](image)

*Figure 1.*
• Re-mission current Intellectual Property Office into being a Technology Commercialization Accelerator with fully integrated vs. parallel functions (Figure 2.)

Figure 2.

• Align staffing to execute on commercialization mission
  • Expand skill set and capacity of tech transfer staff through new hires and training of current staff to execute on new models
  • Increase functionality and expand capabilities of the new Accelerator Model through
    i. addition of patent counsel
    ii. creation of external alliances/contractors for conducting due diligence, developing commercialization plans and marketing technologies with licensing potential
    iii. further integration of entrepreneurs-in-residence into overall functions of the Accelerator

• **Objective 2.2  Expand the Focus (Figure 3.)**
  Focus on all stages of the commercialization continuum in order to create a more robust pipeline of opportunities
Figure 3.

- Adopt a broader vision for commercialization and when it begins
  - Assist in identifying grant opportunities that have commercialization potential
  - Provide grant advising related to incorporating relevant commercialization considerations that might differentiate proposals from the competition
  - Assist in identifying collaborators that add commercialization value

- Follow progress of projects and provide continued advising to strengthen IP position and assist in transitioning into Accelerator projects

- **Objective 2.3 Align and Provide Resources to Support Full Range of Opportunities**
  - Expand Accelerator resource commitments sufficient to meet the needs of the overall university – including students, i.e., funding for increased Entrepreneurs-in-Residence services and commercialization grants
  - Create an alumni network for expanded industry connections, resources and mentoring
  - Establish a Seed Fund for investing in UC start-up company opportunities in order to develop start-up companies to increase potential for success vs. spinning out shell companies

- **Objective 2.4 Make it Easy!**
  Provide universal resources and processes that facilitate entrepreneurial involvement across all stages of the innovation and commercialization continuum
  - Develop a resource guide that lays out an understandable framework for commercialization of all types of intellectual property and clear pathways for
pursuing commercialization related to federally sponsored vs. industry sponsored research

- Provide support mechanisms to address needs earlier in the innovation process (including grant submissions) to set the stage for commercialization outcomes
- Provide navigational tools for identifying and accessing resources (Resource Directory)
- Create a “Welcome Mat” to increase visibility and triage internal and external inquiries to appropriate resource connections
- Align policies and procedures to support and facilitate the commercialization

- **Objective 2.5 Transform the University into a Living Commercialization Incubator**
  Transition the university into a dispersed, living incubator by identifying and leveraging all resources relevant to commercialization activities
  - Create policies and processes for use of University resources by university start-ups as well as community start-ups/ small companies
  - Develop comprehensive inventory of available resources
  - Create the appropriate infrastructure to manage incubator functions, i.e., contracts, invoicing, compliance, tracking
  - Market opportunities

- **Objective 2.6 Leverage Commercialization activity as vehicle for Student Learning**
  Create pathways for student participation in commercialization activities
  - Establish an internship program for start-up companies
  - Deploy student teams to work on due diligence related to UC’s technology commercialization opportunities
  - Expand Accelerator staffing and financial resources to support student start-up initiatives

**Infrastructure for Industry and Non-traditional Intellectual Property Opportunities**

**Objective 2.7 Grow the UCRI Structure and functionality into a Sustainable Vehicle for Commercialization of non-federal and state funded intellectual property and non-traditional forms of intellectual property as well as increase the base of industry-sponsored research**

- Engage industry partners through collaborative agreements whereby UC’s background intellectual property will be commercialized in parallel with the newly developed foreground technology by the partner. Monetization occurs from the value contribution of both the background technology and joint development.

- Provide mechanisms for commercialization of non-traditional intellectual property, such as service and consulting opportunities

- Leverage State and Federal grants that focus on transitioning late technology readiness level (TRL) projects to the market via collaboration with industry partners.
• Coordination UCRI functions with University commercialization infrastructure for seamless processes, increased opportunities and ease for faculty participation

Area 3: Strategic Economic Engagement Communication

Issues:
The University’s role in engagement and as community resource lacks both internal and external visibility. Core issues included:

• Fragmented messaging related to economic engagement and commercialization
• Limited focus on use of communication as a vehicle for opening doorways for new opportunities, and conveying a unified brand expression of UC as a broadly recognized resource in building the community

Goal 3:
Establish Economic Engagement Strategic Communications Plan that becomes part of UC’s Brand

• **Objective 3.1 Revise Communications Infrastructure**
  Create an infrastructure capable of identifying UC stories from across all colleges, establishing an engagement brand and increasing visibility of engagement to both internal and external stakeholders

  ○ **Strategy**
    1. Establish a Communications Board of PR representatives from each college tasked with:
       a. developing a unified concept for the University
       b. coordinating messaging across colleges
       c. developing strategies for increasing visibility of engagement and impact

• **Objective 3.2 Expand Strategy**
  Develop new media strategies focused specifically on engagement

  ○ **Strategies**
    1. Develop media releases focused entirely on engagement to celebrate successes and foster our culture of innovation and engagement
    2. Expand outreach efforts to get the message out
    3. Fully utilize social media outlets
### UNIVERSITY OF CINCINNATI TABLE SUMMARY OF GROWTH AND IMPROVEMENT PLAN

**GOAL 1: Promote, value and reward community engagement to change culture**

<table>
<thead>
<tr>
<th>Objectives</th>
<th>Actions</th>
<th>Timeline</th>
<th>Resources</th>
<th>Indicator/Measure of Success</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Objective 1.1 Leadership Stance</strong>&lt;br&gt;Establish economic engagement as recognized value of UC</td>
<td>1) Establish leadership position for economic engagement as valued part of UC’s Mission&lt;br&gt;2) Incorporate message into Vision/Mission statements</td>
<td>1) July 2014&lt;br&gt;2) August 2014</td>
<td>No financial resources require for 1.1</td>
<td>Economic engagement position is communicated across all areas of the university</td>
</tr>
<tr>
<td><strong>Objective 1.2 RPT Recognition</strong>&lt;br&gt;Expand RPT to include Engagement (social and economic) &amp; Commercialization as valued contribution</td>
<td>1) IEPA Teams to work with Faculty Senate, deans, and administration to develop RPT guidelines to include engagement in departmental, college and provost criteria&lt;br&gt;2) Provide informational venues to roll out</td>
<td>1) July - December 2014&lt;br&gt;2) January 2015 Information sessions</td>
<td>No financial resources required&lt;br&gt;Commitment of supportive faculty; leadership essential</td>
<td>Near-term: increase in colleges including engagement in RPT criteria&lt;br&gt;Long-term: ALL colleges include engagement in RPT&lt;br&gt;Increased number of faculty participation/rewarded</td>
</tr>
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<td><strong>Objective 1.3 Education</strong>&lt;br&gt;Increase knowledge of and skills for participating in entrepreneurial activities</td>
<td>Initiate educational program to increase faculty interest and ability to participate in entrepreneurial activities&lt;br&gt;• Tier 1 Program: Introductory series on opportunity identification, IP &amp; pathways to commercialization</td>
<td>1) July 2014 launch of Tier 1 Program</td>
<td>$15,000 Part-time admin support Tier 1: No financial resources required. Led by Office of Entrepreneurial Affairs in partnership with Col of Business</td>
<td>Growing number of faculty participating in Tier 1 program&lt;br&gt;Increased # disclosures&lt;br&gt;Increased # of viable licensing opportunities</td>
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### Objective 1.4 Establish Pathways

#### Expansion of Pathways for Faculty entrepreneurial engagement

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<thead>
<tr>
<th>1) Establish “Tiger Team” liaisons between internal and external entities (industry, Centers &amp; Departments &amp; Accelerator/UCRI) to identify commercialization opportunities and/or industry sponsored research</th>
<th>1) July 2014 initiate “Tiger Team”</th>
<th>1) $50,000 ($10,000 per Liaison) Entrepreneurial stipends for “Tiger Team Liaisons ($10,000 per Liaison)</th>
<th>New opportunities identified by Tiger Team</th>
</tr>
</thead>
<tbody>
<tr>
<td>2) Initiate a Program for joint university/industry appointments</td>
<td>2) January 2015 Plan completed for new pathways</td>
<td>2) No additional financial resources needed due to mutual exchange relationship</td>
<td>Growing # faculty participating in programs</td>
</tr>
<tr>
<td>3) Initiate University/Industry Exchange Program to create joint learning opportunities and new opportunities</td>
<td>3) Same as 2)</td>
<td>3) Same as No. 2</td>
<td>Increased # new university/industry opportunities from new programs</td>
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<tr>
<td>Establish University – Community Engagement Council and convening process to identify opportunities and facilitate connectivity</td>
<td>4) September 2014</td>
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**Tier 2 Program:**

- Entrepreneurial Boot Camp for faculty with interest in pursuing technology commercialization (Model after NSF supported Cincinnati Creates Companies Program)

**Tier 2 Program:**

- No financial resources required. To be led by Office of Entrepreneurial Affairs and College of Business
- Pro bono external experts

- Increased # faculty involved in economic engagement and commercialization (verified by Tech Transfer Office/RPT records)
- Increased Accelerator deal flow and # of executed licenses
## Goal 2: Establish a Campus-wide Infrastructure to Support and Grow UC’s Economic Engagement Impact

<table>
<thead>
<tr>
<th>Related Objectives</th>
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<tbody>
<tr>
<td><strong>Objective 2.1</strong></td>
<td>Establish understandable framework for commercialization of all types of IP and clear pathways for faculty to follow</td>
<td>1) July 2014</td>
<td>1) No financial resources needed</td>
<td>Short Term: Acceptance and positive feedback by administration and faculty</td>
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<tr>
<td><em>Make it easy!</em></td>
<td>2) <strong>Completed</strong> Directory Faculty Expertise; Complete Faculty Expertise Directory July 2014 for expanded Directory</td>
<td>2) Seed funds were allocated as 1X funds from 2019 for initial development.</td>
<td>Long Term: Increased interest in participating in economic engagement</td>
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<td>3) Establish Center for City as Front Door to University to facilitate collaborations and partnerships – Feature: Hot Topics – Working with UC</td>
<td>3) January 2015</td>
<td>$75,000 Additional financial support for Directory’s ongoing expansion, refinements and IT maintenance and</td>
<td>Faculty empowered to pursue entrepreneurial interests in alignment with new Policies and Procedures</td>
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<td></td>
<td>4) Align policies and procedures to support and facilitate commercialization</td>
<td>4) June 2015 Review completed; July 2015 Policy approvals</td>
<td>3) $60,000 Salary Support for Center for City</td>
<td>Increased # of Collaborations and Partnerships</td>
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<td></td>
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<td>4) No financial cost; leadership team needed from OGC and OTC</td>
<td>Positive feedback from external constituencies</td>
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<tr>
<td><strong>Objective 2.2 Enabling Infrastructure</strong></td>
<td>1) Re-frame OTC into Tech Commercialization Accelerator with focus on IP protections within context of commercialization outcomes</td>
<td>July 2014</td>
<td><strong>Staff/funding requirements:</strong> (see detailed budget)</td>
<td></td>
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<tr>
<td>Create a comprehensive and adequately resourced commercialization infrastructure to support the commercialization of University-based Intellectual Property and business engagement Subdivide into internal and external</td>
<td>2) Expand skill set of tech transfer staff through new hires and training of current staff to execute on new models</td>
<td>January 2015 New framework fully implemented</td>
<td><strong>Overall Operations:</strong> Assoc. VP, 50% Admin Assistant <strong>IP, deal flow, marketing and licensing functions</strong> - Director, two senior technology managers, two patent attorneys, IP docket manager</td>
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<td></td>
<td>3) Create external alliances to assist with needs that extend capabilities, as needed</td>
<td>On-going</td>
<td><strong>Commercialization Functions:</strong> 3 part-time EIRs, Student teams</td>
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<td>4) Create an alumni network for industry connections, resources and mentoring</td>
<td>Alumni network development on-going</td>
<td><strong>Entrepreneur Grant Funding:</strong> Continuation of 2019 Entrepreneurial Grants and Entrepreneurs in Residence and additional Third Frontier funding (plus match)</td>
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<td></td>
<td>5) Establish a Seed Fund for investing in UC start-up company opportunities</td>
<td>Seed Fund – 1st Closing January 2015 2nd Closing July 2015</td>
<td>Patents: New IP and maintenance of active patents</td>
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<td><strong>Seed Fund</strong> $25,000 Funding for management fees of fund</td>
<td>Fully integrated one-stop resource for commercialization implemented</td>
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<td>Resources are sufficient to support the needs across the university (including student start-ups)</td>
<td>Increased revenues generated</td>
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<td>Increased number of start-up companies better positioned to succeed</td>
<td>Increased number of licensing deals</td>
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<td>Related Objectives</td>
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</table>
| **Objective 2.5**  | 1) Create policies and procedures that allow use of University resources by start-up companies and small companies  
2) Market opportunities | January 2015 Draft of policies completed  
March 2014 approval  
Marketing ongoing | Office of Research, Entrepreneurial Affairs and Technology Commercialization, and General Counsel to draft | Co-location of entrepreneurial activity in alignment with policies  
Increase income generated by business deals utilizing University resources |
| UC as Living Incubator |  |  |  |  |
| Transition the university into a living incubator by identifying and leveraging all resources in commercialization activities |  |  |  |  |
|  | **Objective 2.6**  
**Student Pathways** | 1) Establish an internship program for start-up companies  
2) Deploy student teams to work on due diligence related to technology commercialization opportunities  
3) Expand staffing and financial resources to support student start-up companies | July 2014 Launch of internship program  
April 2015 Student Accelerator Competition | Educational Program Co-led by Entrepreneurial Affairs and Technology Commercialization and College of Business  
Accelerator to lead Student Competition | Student teams deployed to start-up companies  
Student team competitions result in 6 funded Accelerator projects  
Student Ambassador Program for liaison between Accelerator and Faculty/Research Programs |
### Goal 3: Establish Economic Engagement Strategic Communications Plan that becomes part of UC’s Brand

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<td><strong>Objective 3.1</strong></td>
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<tr>
<td><strong>Infrastructure</strong></td>
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<td>Create vehicle</td>
<td>1) Establish a Communications Board of PR representatives from each college to develop unified concept to coordinate messaging across colleges and to develop strategies for increasing visibility of engagement and impact</td>
<td>July 2014</td>
<td>No costs associated with Board members as already on salary</td>
<td>Consistent messaging that contributes to the UC brand of major engagement</td>
</tr>
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<td></td>
<td>2) Board to continue as the vehicle for promoting engagement</td>
<td>Ongoing</td>
<td>$50,000 Funding for staff person to facilitate Board activities</td>
<td>Increased internal and external visibility of UC’s resources, activities and impact</td>
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<td>Resulting new connections and opportunities</td>
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<td><strong>Objective 3.2</strong></td>
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<tr>
<td><strong>Strategies</strong></td>
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<tr>
<td>Fully utilize social media outlets</td>
<td>1. Increase marketing efforts re: engagement</td>
<td>July 2014</td>
<td>$25,000 Costs for development of community impact e-newsletter/newsletter/events</td>
<td>Increased Internal and external visibility of UC’s engagement and impact leading to new opportunities and partnerships</td>
</tr>
<tr>
<td></td>
<td>2. Expand social medial initiatives</td>
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