ANNUAL ASSESSMENT REPORT  
AND  
STRATEGIC PLANNING UPDATE  
Year: 2004

Area or Unit Name: OFFICE OF RESEARCH AND TECHNOLOGY TRANSFER  
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Section 1. Goals and Accomplishments

Goal 1: National Research Prominence: Attain national recognition as a top public research university.

- Processed 579 new awards totaling $45.8 million
- Submitted 798 proposals, a 12.6% increase over the record year FY2003
- Maintained oversight of 66 university centers and institutes
- Conducted performance reviews of 7 research centers and institutes
- Worked with the National Group to get $9.9 million in Congressional awards
- Sponsored an 8-hour grant writing workshop (97 attendees)
- Working with the Research Council, shortened the internal routing process for proposals
- Distributed two times the amount of Research Incentive Awards compared to the previous fiscal year
- Assigned space for interdisciplinary research groups in the new Experimental Sciences Building
- Established 4 new university research centers
- The Office of Technology Transfer and Intellectual Property (TTIP) executed five license agreements and an additional option agreement for intellectual property developed at TTU and TTUHSC
- Increased the number of invention disclosures submitted to the OTTIP by 10%
- Experienced a significant increase in material transfer agreements and confidentiality agreements resulting from increased collaboration and interaction with various institutions and private sector organizations

Goal 2: Engagement: Support service and economic development programs of benefit to the community and region.

- The Small Business Development Center (SBDC) counseled 3,026 clients for 17,946 hours in FY2004
- The SBDC helped open 385 new businesses in the Northwest Texas region in FY2004
- The SBDC helped create 1,401 new jobs in the region in FY2004
- The SBDC presented 308 seminars with 5,783 attendees to small businesses in the region in FY2004
- The SBDC assisted 13 clients in exporting $11 million to several foreign countries in FY2004
- The SBDC completed 23 projects and had 27 projects in process for manufacturers in the region in FY2004
- The Office of Economic Development (OED) helped 8 rural communities gain access to broadband internet via a wireless backbone
- Held several internal awareness seminars regarding patent law, entrepreneurship, and operating policies
- Continued to work with WesTexas, I, LP, to develop a total of four portfolio companies, all having some tie to the institution

Goal 3: Technology: Maximize the use of advanced technology throughout the research enterprise.

- Redesigned and published a new website for the Office of Research
• Designed and implemented a new university database of all research centers and institutes with contact information and links to home pages up-to-date
• Continued to use on-line PAFs and purchase orders
• Continued to provide on-line proposal and award reports and email distribution of ad hoc reports
• Implemented a Collaborator Bulletin Board
• Implemented electronic routing of exempt and expedited human subjects proposals, which reduced time required for approval from 10 days to 5 or less
• Continued practice of imaging proposals and award documents
• Migrated to a new web-deployed data base system, InSIORS, in March 2004. Implementation and refinement continue. When fully implemented, anyone with e-Raider access will be able to generate reports on proposals and awards
• Continue to use Community of Science to identity grant opportunities that match faculty capabilities

Goal 4: Partnerships: Build and support strategic partnerships that expand research.
• Collaborated with several universities to obtain congressionally directed funding
• Established a major Memorandum of Understanding with Sandia National Laboratories to cooperate in the areas of Pulsed Power, Nanotechnologies, Wind Energy, Water Desalination, Polymer Materials, and Micro Electromechanical Systems

Goal 5: Human Resources and Infrastructure: Improve facilities, infrastructure, and administrative support for research.
• Hosted an appreciation party for all Principal Investigators
• Worked with Human Resources and the Provost's Office to revise OP32.17, Faculty Appointments and Titles
• Hosted 4 teleconferences for TTU and TTUHSC staff conducted by the National Council of University Research Administrators (49 attendees total) and made tapes of the conferences available for loan
• Staff members participated in numerous professional development courses
• Worked with The National Group and the congressional delegation to get federal funds to equip the new Experimental Sciences Building

• Distributed $1.4 million in Research Incentive Awards, about twice the amount that was distributed last year

Goal 7: Accountability: Strengthen the performance, assessment, and accountability.
• All university research Operating Procedures were reviewed as scheduled
• No compliance issues were identified in audits
• The university continued active participation in Phase IV of the Federal Demonstration Partnership
• Provided administrative support to the TTU Committee for Protection of Human Subjects (527 active protocols); updated forms to correspond with revised committee procedures
• Added information on export control to the ORS website and established procedure for identifying projects subject to export control
• OTTIP increased th level of scrutiny on filing patent applications to result in a 24% reduction in patent expenses despite a 10% increase in disclosers
• OTTIP identified crucial success factors to be measured and addressed, including the addition of key business development personnel
• OTTIP extended the visibility within certain colleges by recruiting Associate Deans for Research to help identity key intellectual property opportunities
Section 2. Universal Quantitative Data

There are no Universal Quantitative Data for this area/unit.
OFFICE OF RESEARCH AND TECHNOLOGY TRANSFER

Area/Unit Specific Information

Section 3a. Quantitative Information

There is No Area Specific Data in Calendar Year Section.
There is No Area Specific Data in Fall Section.
### Research

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<tr>
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<tbody>
<tr>
<td>RESEARCH</td>
<td></td>
<td></td>
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<tr>
<td>Research Awards</td>
<td></td>
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<tr>
<td>Proposals Submitted</td>
<td>739</td>
<td>586</td>
<td>759</td>
<td>661</td>
<td>706</td>
<td>798</td>
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<td>Total Res. Awards (in $M)</td>
<td>40.4</td>
<td>36.9</td>
<td>44.3</td>
<td>53.6</td>
<td>54.9</td>
<td>45.8</td>
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<tr>
<td>Federal Res. Awards (in $M)</td>
<td>25.9</td>
<td>18.5</td>
<td>26.6</td>
<td>32.5</td>
<td>36.5</td>
<td>32.0</td>
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<td>IPA Assignments</td>
<td>5</td>
<td>4</td>
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### Business Development

#### Performance Results

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<thead>
<tr>
<th>SBDC</th>
<th>349</th>
<th>453</th>
<th>346</th>
<th>328</th>
<th>358</th>
<th>385</th>
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<tbody>
<tr>
<td>Jobs Created</td>
<td>1,272</td>
<td>1,1452</td>
<td>1,177</td>
<td>1,150</td>
<td>1,463</td>
<td>1,401</td>
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<tr>
<td>Cost to Create New Job ($)</td>
<td>602</td>
<td>540</td>
<td>843</td>
<td>826</td>
<td>710</td>
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#### ITC

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<tr>
<th>Transactions</th>
<th>157</th>
<th>120</th>
<th>156</th>
<th>186</th>
<th>29</th>
<th>13</th>
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<tr>
<td>Dollar Value ($M)</td>
<td>37.1</td>
<td>41.9</td>
<td>49.7</td>
<td>91.4</td>
<td>41.0</td>
<td>11.1</td>
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#### PAC

| Contract Awarded ($M) | 4.9 | 9.3 | 6.0 | 11.0 | 4.3 | 8.4 |
| Jobs Created/Retained | 115 | 218 | 141 | 258 | 90 | 174 |

#### TMAC

| Projects Completed | 38 | 21 | 23 |
| Projects in Process | 15 | 20 | 27 |

### Business Development Activity

#### Results

<table>
<thead>
<tr>
<th>SBDC</th>
<th>3,533</th>
<th>3,367</th>
<th>2,906</th>
<th>3,197</th>
<th>3,303</th>
<th>3,026</th>
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<td>Clients Counseled</td>
<td>15,527</td>
<td>16,371</td>
<td>13,173</td>
<td>16,250</td>
<td>18,471</td>
<td>17,946</td>
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<tr>
<td>Counseling Hours</td>
<td>4.39</td>
<td>4.86</td>
<td>4.53</td>
<td>5.08</td>
<td>5.59</td>
<td>5.93</td>
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<tr>
<td>Seminars Presented</td>
<td>343</td>
<td>245</td>
<td>184</td>
<td>215</td>
<td>251</td>
<td>308</td>
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<tr>
<td>Seminar Attendees</td>
<td>7,586</td>
<td>4,700</td>
<td>3,218</td>
<td>4,037</td>
<td>4,658</td>
<td>5,783</td>
</tr>
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</table>

### Technology Transfer

#### TTIP

| Invention Disclosures | 33 | 50 | 48 | 59 | 38 | 43 |
| Patent Applications Filed | 18 | 34 | 40 | 32 | 23 | 10 |
| Patents Issued | 3 | 0 | 6 | 19 | 6 | 3 |
| Licenses Signed | 4 | 4 | 4 | 6 | 6 | 5 |
| Patent Expenditures ($) | 75,817 | 140,918 | 316,442 | 205,448 | 266,875 | 199,936 |

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Section 3b. Qualitative Information.

There is no qualitative information for the current year.
Section 4. Strategic Planning Update.

Goal: The University is in the process of hiring a new Vice President for Research. The Office of Research made the decision to let the new Vice President for Research revise the Strategic Plan during the next academic year.

Commentary:
The Office of Research and Technology Transfer is responsible for the research enterprise at Texas Tech. It has four functional entities that report to it: the Office of Research Services, the Office of Technology Transfer and Intellectual Property, the Office of Economic Development, and the Northwest Texas Small Business Development Center. The quantitative and qualitative information in this Assessment Report indicate that the Office of Research and the entities that report to it made significant progress in monitoring and facilitating university research. However, in relation to other universities of similar size and scope, the research enterprise at Texas Tech is comparatively small. This is the result of historically under-investing in the research enterprise. Furthermore, the sponsored research awards for FY2004 decreased compared to FY2003 by 16.6% to $45.8 million. The decrease can be attributed to four things: (1) a number of research active faculty moved to other institutions, (2) a reduction of special line item funding and elimination of 65% of the state funded ATP and ARP programs, (3) a substantial decrease in congressionally directed funding ($15.5M in FY2003 compared to $10.6M in FY2004), and (4) the university did not receive any Texas Excellence Funds in FY2004 ($5.7M in FY2003).

Implementation Plan:
The University is in the middle of a search for a new Vice President for Research. Currently, four candidates are under consideration and soon the Search Committee will down-select 3 names to be forwarded to the President for a second visit to the campus. The President will have to be able to negotiate an appropriate package with the next Vice President for Research so that he/she will be able to be successful at growing the research enterprise. It is expected that an increased investment by the University in the research enterprise will be necessary to attract any of these candidates. Furthermore, Tech has just hired a new University Veterinarian to ensure animal health and regulatory compliance in animal research and a new Director of Research Communications to disseminate research news to our constituents. Both of these areas will have to have an increased budget in the future.