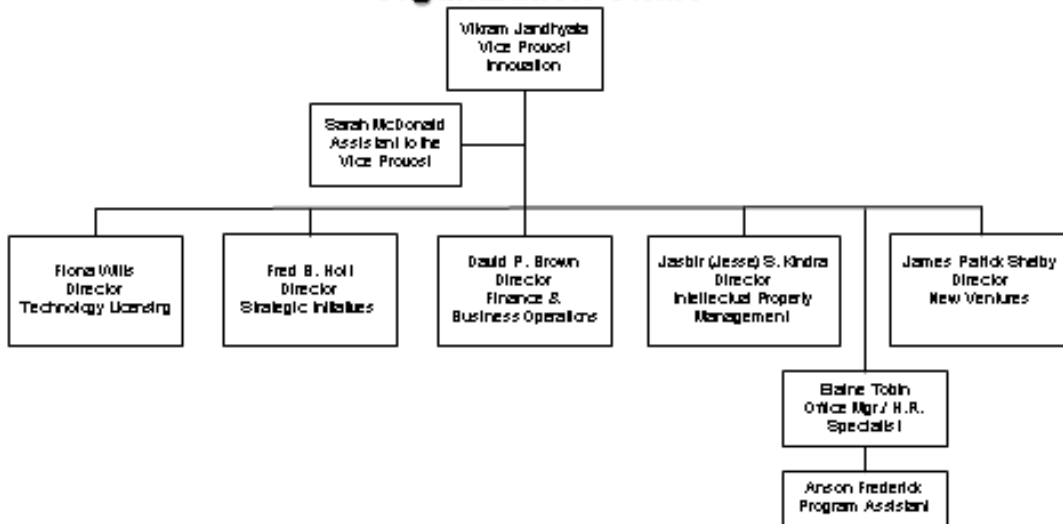


**Administrative Unit Name: Center for Commercialization**

- One goal of the budget development process for administrative units this year is to provide greater understanding of the connection between resource use and the primary, or core function by each part of the administrative structure. To begin, please paste a copy of your organization chart here. Please provide a chart that reflects the diversity of the organization and will serve as a sensible platform to complete the next question.

Because administrative units have a month and a half to complete this work, unit leadership should use their discretion in providing a level of detail that prompts a rich conversation, but is not overly burdensome.

**Center for Commercialization  
 Organization Chart**



0522 #2

2. In order to provide a snapshot of current activities, the distribution of resources across various functions and how much these activities contribute to the University's mission, please provide information about the functional areas, or departments, of your organization.

At a level of granularity that reflects your organization's chart or if no chart exists, the functional areas of your organization, **please provide the following information for each functional area via the "FY15 Expenditures Worksheet" tab of the "Worksheets and Reference Materials – Administrative" Excel workbook**, available here: [https://opb.washington.edu/sites/default/files/opb/Budget/Worksheets and Reference Materials Administrative.xlsx](https://opb.washington.edu/sites/default/files/opb/Budget/Worksheets%20and%20Reference%20Materials%20Administrative.xlsx).

- a) A description *not to exceed 200 words* of how each functional area contributes to the University's research, service and teaching missions and what risks the University would face if this work were no longer funded<sup>1</sup>;
- b)** And Planned expenditures, by functional area, showing how your unit intends to spend *permanent ABB funds*, as well as (if applicable to your unit) funds derived from self-sustaining efforts, grants and contracts, and philanthropy, and other funds during FY15. **Please see the attached Excel Worksheet.**
- 

*Please describe any assumptions you are making in your response, such as those related to the availability of state or federal funding or projections based on the first complete month of expenditures in FY15, etc.*

*Please see the example "Admin Template - Planning & Budgeting Draft" posted at the FY16 Budget Development web page: <http://opb.washington.edu/content/fy16-budget-development>.*

3. In less than 200 words, please describe how you envision adapting your unit and its organization to meet changing institutional needs in the coming fiscal year. Please integrate self-sustaining, grant & contract, and philanthropic sources of funding (if applicable to your unit) and describe how these sources are marshalled to subsidize your activities.
- 

C4C had a leadership change at the beginning of FY15 with a mandate to add new functions to our mission. Because of this, C4C will be adding more programs to engage students in the innovation mission of UW. To develop the innovation mindset and entrepreneurial thinking experience at the UW, C4C will be working to fully integrate innovation across disciplines. C4C will partner with the Buerk Center and several departments and units across campus to grow successful programs that bring entrepreneurs into residence to interact with faculty and students, to create and incubate successful startups, and to grow resources and learning tools for the critical bridge between academic research and curricula and real-world impact.

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<sup>1</sup> Please refer to the FY16 Budget Development web page at <http://opb.washington.edu/content/fy16-budget-development> for more information about the University's Sustainable Academic Business Plan goals and top institutional risks.

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4. In one paragraph or less, please assess the functional and financial health of your unit since FY09 (e.g. deficits, workforce capacity, declining grants or gifts).
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Since FY09, C4C instigated very large functional changes in our unit to add resources to support the needs of entrepreneurial researchers. These resources included adding staff with backgrounds in intellectual property law to advise UW faculty and researchers with expertise on patents, copyright and trademarks. We also added staff with expertise to match outside business executives and entrepreneurs with UW researchers to advise them on how outcomes from their research could have commercial applications. We also added new funding mechanisms to support the researchers to develop advanced applications of their work to make it more attractive for a company to license. The results have been very positive in several ways. One example is that the satisfaction of working with our office increased dramatically since FY09 from both UW researchers and private industry. This has resulted in more license agreements executed (264 in FY14) and many more start-up companies being formed (18 in FY14). In 2013 UW was #1 nationally compared to our peer universities for executing license agreements and in the top 5 for start-up creation. But most importantly, more outcomes from UW research have been made available to impact peoples' lives. The financial health of our unit has been strong, but much of this has been dependent on royalty revenue from the Hall patents that expired in 2014. The revenue from licensing non-Hall technologies has been increasing. In addition there are reserves from revenue generated by the Hall patents and support from the Provost office that will provide adequate funds for the next few years.

5. In the event that neither state funds nor additional Provost Reinvestment is available for compensation increases, how might your unit cover salary increases for positions budgeted in GOF and DOF budgets? Please refer to the FY16 Budget Development web page at <http://opb.washington.edu/content/fy16-budget-development>.
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We believe there are adequate funds available from our 0557 budgets for this.

6. This summer, the UW has been the sole subject of a state-required audit of net operating fee (tuition) and local fund accounts. This audit has revealed the importance of monitoring expenditures against budgets on a biennial basis, ensuring that colleges, schools and administrative units have plans to spend fund balance in a reasonable and mission-driven manner and that these plans are acted upon. As such, we are piloting a new administrative carryover policy for the FY16 budget process, though we will employ draft carryover data in executing this pilot.

In completing this work, please do the following, using the **“Carryover Worksheet – Detail”** tab of the **“Worksheets and Reference Materials – Administrative” Excel workbook**, which is provided at the following web page:

[https://opb.washington.edu/sites/default/files/opb/Budget/Worksheets\\_and\\_Reference\\_Materials\\_Administrative.xlsx](https://opb.washington.edu/sites/default/files/opb/Budget/Worksheets_and_Reference_Materials_Administrative.xlsx).

1. **Units may reserve up to 10 percent of their permanent ABB base (GOF and DOF ONLY).** Units may hold up to 10 percent of their permanent base as an emergency reserve. This reserve will be calculated annually and derived from the previous June/July’s ABB base budget information to units. These figures are provided on the last two tabs of the **“Worksheets and Reference Materials – Administrative” Excel workbook**.
  2. **Set-aside “central” commitments from the reserve.** For this purpose, central commitments are defined as those allocated or approved by President, Provost, and/or OPB on behalf of the Provost which have not been fully expended. A list of these commitments is available from OPB in the event your unit should need assistance. The list would come from OPB’s commitments database. If additional commitments are not reflected in OPB’s database please send the information to Amy Floit in OPB.
  3. **Explain any remaining temporary carryover balance by providing a list of intended use(s)/purpose(s) (i.e. a spending plan).** These would be differentiated according to intended use along the following lines:
    - a. Permanent expenditures funded with temporary funds;
    - b. Possible multi-year commitments; and,
    - c. Immediate, current year use.
- 

Our unit will use all the DOF funding that we have and we do not believe we will have any Carryover.

7. Though we believe that few, if any, state funds will be available and that any new Provost Funds may be dispatched for mitigating cuts or providing salary increases, please indicate what **Provost Reinvestment Funds are being requested**. Requests for funds should be identified by a unique title, accompanied by the amount requested, the year funding is requested, whether the request is for permanent or temporary funds, the number of years funding is needed in the case of a temporary request and a brief description, not to exceed 500 words. **Successful requests will make meaningful contributions to institutional strategic plans, drive student support and student service missions, and correlate directly to the long-term financial health of the University or its efforts to mitigate institutional risk.**<sup>2</sup>

**Importantly, requests for new funding will be considered alongside carryover spending plans.** Administrative units with growing temporary fund balances will be asked to explain why new funding is needed to support mission-critical program enhancements.

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Brief description, not to exceed 500 words, highlighting the alignment of the request to strategic plans and/or the mitigation of institutional risk.

**C4C will not be submitting a request**

*Should your unit wish to resubmit for consideration a proposal from FY15 budget development process **that did not receive funding**, please contact Sarah Hall ([sahall@uw.edu](mailto:sahall@uw.edu)) or Becka Johnson Poppe ([jbecka@uw.edu](mailto:jbecka@uw.edu)) in OPB.*

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<sup>2</sup> Please refer to the FY16 Budget Development web page at <http://opb.washington.edu/content/fy16-budget-development> for more information about the University's Sustainable Academic Business Plan goals and top institutional risks.

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## FY15 Administrative Expenditures by Functional Area

At a level of granularity that reflects your organization’s chart or, if no chart exists, the functional areas of your organization, please provide the following information for each functional area using the template(s) below:

- a) A description not to exceed 200 words of how each functional area contributes to the University’s research, service and teaching missions and what risks the University would face if this work were no longer funded[1].
- b) Planned expenditures, by functional area, of how your unit intends to spend permanent ABB funds, as well as (if applicable to your unit) funds derived from self-sustaining efforts, grants and contracts, and philanthropy, and other funds during FY15.

Please describe any assumptions you are making in your response, such as those related to the availability of state or federal funding or projections based on the first complete month of expenditures in FY15, etc. Please see the example “Admin Template - Planning & Budgeting Draft,” which is provided at:

<http://opb.washington.edu/content/fy16-budget-development>

[1] Please refer to the webpage above for more information about the Sustainable Academic Business Plan goals and top institutional risks

<b>Name of area: UW Center for Commercialization</b>			
<i>C4C is responsible for managing innovations created by UW faculty, graduate students, and staff so that outcomes of UW research can be used broadly, and commercialization is often the best path for this. A primary function of our unit is to engage with UW researchers on mechanisms that meet their goals and level of involvement. C4C Technology Managers evaluate the innovations that were produced by UW researchers for novelty and commercial potential, they also identify companies that have interest in the technology and draft license agreements. C4C Patent Portfolio Managers manage the intellectual property produced from the research. C4C New Ventures staff help UW innovators identify opportunities that could result in creating a start-up company based around their research and C4C then provides a variety of services to them to help the start-up launch. C4C staff guides the researchers on the steps of forming a team, business planning, creating a company and securing gap funding. C4C has various programs which provide funds to the research teams to further develop the innovation(s) so that the technology can be licensed. Many graduate students work with our office to get training in all of the functions of our office which contributes to the education mission. This educational component of C4C’s mission will be significantly enhanced as C4C works more closely with faculty, researchers, and students on engagement and training to develop resources and learning tools for the critical bridge between academic research and curricula and real-world impact.</i>			
Fund Source	FY15 FTE	FY15 Planned Annual Expenditures (in \$)	
		Salaries/Benefits	Other
ABB Funds (GOF, DOF-ICR, DOF-LFA)	3.40	\$ 975,660	\$ 55,936
Self-Sustaining Funds (BT 10, 11)			
Grants & Contracts (BT 05)	53.90	\$ 5,293,665	\$ 7,030,855
Philanthropy, or Gifts & Discretionary (BT 06)	0.80	\$ 150,874	\$ 65,000
Total	58.10	\$ 6,420,199	\$ 7,151,791

BT = Budget Type

**Notes & Assumptions:**

Our non-DOF budgets are not typical grant budgets, the source is mainly licensng revenue; these are coded as BT 0557  
 The # of FTEs only include staff, it does not include students  
 Some of the expenditures shown above are reimbursed by 3rd parties, the amount shown is the Net Expenditures

## Administrative Unit Carryover Usage Plan SUMMARY

*This table will self-populate via the "Carryover Worksheet - Detail" tab*

**Administrative Unit Name:** Center for Commercialization  
**Estimate of Carryover Balance at "Close" of FY14:** -21,000

<b>Usage Category</b>	<b>Amount</b>	<b>%</b>
Unit's Reserve	0	n/a
Central Commitments	0	n/a
Permanent Costs & Other Projects	0	n/a
<b>Total</b>	<b>0</b>	<b>n/a</b>