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August 2023: Status Report on the Recommendations of the UC Regents Working Group on Innovation Transfer and Entrepreneurship				
Rec. #	**Recommendation**	**Status**	**What's been done to date**	**Planned Deliverables**
	Governance			
1	Refresh UCOP's **roles, responsibilities, and business processes**	**In Process**	Council of Chancellors (COC) discussions took place in February 2022, April 2022, and December 2022 with information on actual services provided and estimates of the current costs and staffing. A final decision was reached at the December 2022 COC; nine out of 10 chancellors decided on a hybrid model. That is, they would like for UCOP to continue providing some level of services for patent prosecution, accounting, legal services, and reporting. UCSD has developed infrastructure to support 100% of the services locally.	The final state of roles and responsibilities (R&Rs) for each campus depends on the new IP Management System (IPMS) that is procured by UCOP (Recommendation #4). Each campus will finalize the degree of hybrid services provided by UCOP, primarily based on costs and staffing. A service-level agreement will be prepared and executed for each campus, documenting the services to be provided by UCOP, once the new IPMS is ready to be used.
2	Realign **equity management** from UC investments to the campuses	**In Process**	Regents Bylaw 23.5(d), Authority and Duties of Principal Officers – Chief Investment Officer, was amended to provide authority for equity management to the President and Chief Investment Officer (July 2021). President Drake issued the Delegation-of-Authority 2650 memo to the chancellors and LBNL Director on Aug. 9,	UC Investments continues to manage innovation equity on behalf of the remaining eight UC campuses. The Equity policy and related guidelines currently apply to the eight campuses who have not accepted the Delegation of Authority 2650, although these campuses may transition to local

			2022, to manage their own innovation equity. Enclosed in DA 2650 are the following documents: • Updated Equity policy • Business & Finance Bulletin G-44: Guidelines on Accepting Equity When Licensing University Technology • AFS: Guidelines on Accepting & Managing Equity in Return for Access to University Facilities and/or Services Campuses who wish to assume this responsibility may do so by taking action to accept the Delegation of Authority 2650. Currently, only UC Berkeley and UC San Diego have accepted the delegation and now manage innovation equity locally. Academic Affairs' Research Policy Analysis and Coordination (RPAC) unit, in partnership with UC Legal and UC Investments, is helping UC Berkeley operationalize its equity management program.	management at some time in the future. UC Legal, in partnership with R&I, has provided, and will continue to develop, resources to help campuses better understand innovation equity management.

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3	Realign **legal and policy compliance** from the Office of General Counsel (OGC) to the campuses	**Done**	UC Legal engaged in an extensive process to balance 1) increased campus flexibility and authority to retain outside counsel and use other legal resources, while 2) still retaining centralized legal reporting/accounting through UC Legal. UC Legal remains available to provide support from campuses on request and has compiled a compendium of UC Legal guidance documents for UC campuses' use in facilitating decentralization of legal review and increasing flexibility to the campuses.[1] Additional UC Legal attorneys have been hired over the past year – one with expertise in patent licensing and the other with expertise on equity transactions – to assist campuses with their increased authority and management of legal review of commercialization agreements.	As the Operating Model is being developed, UC Legal will continue to adjust the level of centralized support and guidance for the campuses. Updates of the legal compendium will continue as additional guidance is developed.
Patent Tracking System				
4	**Replace the Patent Tracking System (PTS)** (also referred to as the Intellectual Property Management System or IPMS)	**In Process**	In early 2023, requirements for a new IP Management System (IPMS) were developed and validated. System architecture for the current PTS system has been documented to inform its functionality and security as well as the detailed requirements for the new IPMS.	A contract with the new IPMS provider is in the last stages of review and will be finalized after careful evaluation and negotiation. Next steps will include finalization of the expense allocation model, following initial conversations that have informed

[1] The compendium brings together a range of UC policies and guidelines, reports, and relevant resources plus a calendar of roundtable and training sessions. Select policies and guidelines include: Business and Finance Bulletin G-44; Business and Finance Bulletin G-40; Equity Policy; University Licensing Guidelines; Copyright Ownership Policy, February 2021; and other resources. Documents can be made available to Regents if requested.

			A comprehensive, detailed RFP for a new IPMS was completed in July 2023. Contract negotiations are expected to be completed by the end of Oct. 2023. The multi-year IPMS implementation phase will follow shortly thereafter, pending the acquisition of additional resources needed beyond the primary IPMS vendor. A cloud services agreement was developed through the RFP process, with contract negotiations ongoing.	negotiations and provided useful direction. Final contract terms will enable UC to create an allocation model for campus leaders to review. In addition, a cloud services agreement with the new IPMS provider will be executed.
Funding				
5	Create a **proof-of-concept fund**	**In Process**	Background information was collected from every campus that summarizes the total annual funding that has been identified for Proof of Concept programs. This data was presented to the Regents Special Committee at the February 2023 meeting. Conversations continue about how – and at what level – POC funds should be administered. Looking ahead, the President's Entrepreneurship Council will continue to evaluate opportunities to expand funding opportunities.	Each chancellor has the discretion to expand funding. In addition, the President's Entrepreneurship Network Council is undertaking additional conversations around POC funding. Updates will be provided as these discussions continue.

6	Provide **budget augmentations** to help campuses develop innovation transfer programs	**Campus Implement**	Conversations have focused on how budgeting for resource needs may be administered locally and built into the annual budget process.	Each chancellor has the discretion to expand funding for additional resources. In addition, the President's Entrepreneurship Network Council will be working on augmenting innovation transfer through mentoring networks, training programs, and other strategies.
Policy				
7	**Update policies** to reflect current business needs and establish a process for ongoing periodic review and, if warranted, revision	**In Process**	Policies related to innovation transfer include the following: • Patent policy • Equity policy • Conflict of Interest policy • Conflict of Commitment policy Conflict of Commitment (CoC) ~~COC~~ and Equity (see Recommendation #2) policies and conflict of interest (COI) in licensing guidance have been revised and finalized according to Regents Recommendation.	The process of revising the current Presidential Policy on Patents and associated FAQs is ongoing. In accordance with the Policy on Establishing and Maintaining Presidential Policies, UC completed the 90-day systemwide policy review period on May 31, 2023. All comments have been collated and addressed, and an FAQ document has been created. The Research & Innovation RPAC office will now request the UCOP Policy Advisory Committee to approve an additional 60-day systemwide review period for the revisions and FAQs. This second systemwide review is expected to begin in September with the anticipated final approval of this policy by January 2024. At the Regents' request, UC Legal, RPAC, Academic Personnel & Programs, and ECAS are reassessing the UC COI/COC policies and practices. The goal is to explore developing a simplified and unified COI/COC policy that includes both clinical and non-clinical activities, as benchmarked

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				with other peer institutions.
Culture / Reputation				
8	**Revise promotion and tenure guidelines** to include consideration of innovation and entrepreneurship	**Done**	Completed over a year ago with former Provost Michael Brown issuing a letter encouraging support of innovation and entrepreneurship (I&E) contributions by faculty and other researchers, and emphasizing that I&E contributions are already taken into consideration in the review process outlined in the Academic Personnel Manual. The letter offered many examples of allowable I&E activities.	Campuses will continue to monitor implementation and ensure all departments are embracing I&E activities.
9	Revise academic personnel policy regarding **leaves of absence** to include pursuit of innovation and entrepreneurship activities	**Campus Implement**	Leaves of Absence Policies were finalized.	Campuses will monitor implementation.
10	Create a program to **recognize innovation and entrepreneurship**	**In Process**	Special Committee Chair Park has proposed the establishment of a UC Regents Innovation Award program to recognize exceptionalism in UC innovation and entrepreneurship, as discussed at the June 2023 meeting of the Special Committee. The winners of the Regents innovation awards could be showcased in the annual UC technology commercialization report, as well as through other platforms (e.g., social media, press releases, marketing materials, etc.).	The Board of Regents, in consultation with the Office of the President, the President's Entrepreneurship Council, and the Chancellors will develop: 1) Minimum eligibility criteria and general rules to be observed during the nomination process. These criteria and rules will give great deference to the chancellors and national laboratory directors in selecting their respective best innovators who deserve systemwide recognition. The rules will encourage local recognition events; 2) a selection protocol, rubric, and timetable to

				be publicly available and used by the Board of Regents in the review of nominations and the ultimate selection of winners.
11	Create a **re-branding campaign** showcasing UC innovation	**Not Started**		This recommendation will be taken up by the President's Entrepreneurship Network Council in year two of its work, in close partnership with UC leadership and the Regents (including the Academic and Student Affairs and Public Engagement and Development committees).
Enforcement				
12	Probe the strengths and weaknesses of UC's existing efforts to protect its **intellectual property rights**	**Done**	An external assessment of UC's enforcement of IP rights was conducted and delivered to the Special Committee in September 2022. UC Legal has worked with ECAS and relevant campus stakeholders to implement these recommendations, which include revisions to IP licensing template agreements, revisions to audit processes, and establishment of procedures for initiating affirmative litigation to enforce UC's IP rights.	UC Legal and ECAS continue to support campuses in the protection and enforcement of UC's IP rights (including providing audit services as to licensees' compliance with IP agreements) and assisting on the implementation of other recommendations provided by the external consultant.
Performance Metrics				

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13	Propose **new ways to measure the public impact** of UC innovation and the effectiveness of its innovation transfer enterprise	**In Process**	Input from campuses, benchmark institutions, and UCOP was gathered via survey. These inputs have been combined to develop a new conceptual framework for defining and measuring the value and performance of UC's innovation transfer & entrepreneurship enterprise, to be introduced at the August 28 Special Committee meeting. The proposed framework expands how UC measures the value of its I&E enterprise from exclusively counting transactional activities (e.g., number of invention disclosures, patents, and startups) to also assessing (a) economic benefit; (b) public impact; and (c) diversity, equity, and inclusion outcomes.	The performance metrics framework recommends both quantitative and qualitative elements to be assessed both annually and every 5 years.
Working Group Successor Entity				
14	Establish a Regents special committee on innovation transfer and entrepreneurship to provide implementation oversight	**Done**	The Regents Special Committee on Innovation (RSC) was established in August 2021. The Committee will hold its final meeting in August 2023 and make a final update to the full Board of Regents in September 2023.	The President's Entrepreneurship Network Council, a body of external and internal I&E experts and business leaders, will begin meeting in late summer 2023. The Council will work in alignment with the goals and recommendations of both the Regents Working Group on ITE and the Regents Special Committee on ITE.