

Department of Veterans Affairs
Office of Research and Development
Office of Technology Transfer

Response to Presidential Memorandum: Accelerating Technology Transfer and
Commercialization of Federal Research in Support of High-Growth Businesses

1. Executive Summary.

Every year, the Department of Veterans Affairs (VA) researchers develop dozens of new health care-related technologies and other inventions that benefit VA's patients, other Veterans, and all Americans. VA's Technology Transfer Program (TTP) translates the results of VA employees' discoveries into practice. The program educates VA inventors on their rights and obligations; evaluates inventions; obtains patents; and helps commercialize new products.

VA's program is different from other Federal technology transfer programs, because it is highly decentralized. More than 100 VA medical centers (VAMC) conduct research, and all are Federal Laboratories. In addition, 124 VAMCs have formal affiliations with academic institutions and hospitals, and many full- and part-time VA employees also have academic appointments or are employed at an affiliated academic institution or hospital.

Because of these arrangements, most VA inventions are jointly owned by VA and its academic affiliates, making technology transfer a collaborative effort. In order to fulfill the goals of the President's Memorandum dated October 28, 2011, requiring all Federal departments and agencies to accelerate technology transfer and support private sector commercialization, VA has developed a series of new initiatives.

Among these initiatives are: increasing the number and quality of Invention Disclosures (ID) VA receives; streamlining the process of determining whether the Federal Government is the owner of any invention; improving VA's current mechanisms for working with its affiliates; establishing a more systematic internal patent policy for VA; and improving VA's commercial licensing processes. This report identifies activities VA will take to accomplish each of these goals.

VA believes its TTP is an important link in the process of ensuring Veterans receive access to the latest technologies developed by VA researchers. The program also helps VA and the American public to receive their fair share of royalties from patents and joint ventures with non-governmental agencies and private companies. VA is proud to support the President's goal of using technology transfer as a driver of successful innovation in the United States.

2. Introduction:

Background: Research within the Department of Veterans Affairs.

Unlike other Federal agencies, VA has no laboratories whose predominant function is research. VA includes research as part of the mission of each Veterans Administration Medical Center (VAMC), although the primary mission of a VAMC is patient care for veterans. Because each VAMC has research activities, under the law, each is a Federal laboratory. This means, as a practical matter, research is a relatively small, but important part of the mission of each laboratory. Based on appropriations, less than 2 percent of VAMCs budgets are exclusively for research.

At the same time, the dual mission of a VAMC means that the research at a VAMC is intimately connected to veteran patient care activities. In fact, the majority of VA researchers are active clinicians. This leads to a focus on research areas most likely to benefit veterans.

VA's research mission is entirely intramural. VA does not have authority to award grants to parties outside VA. Its only mechanism for funding the private sector is through contracts under FAR, through which VA acquires goods and services not available within VA in order to meet VA program goals. Consequently, VA does not have a SBIR or STTR program.

Technology Transfer within VA.

VA's TTP facilitates the commercialization of inventions by VA inventors to benefit Veterans and the American public. TTP's mission is an important aspect of VA's historic mission to fulfill President Abraham Lincoln's promise, "to care for him who shall have borne the battle, and for his widow, and his orphan," by serving and honoring the men and women who have defended our Nation's freedom while in uniform.

TTP achieves its mission by educating VA inventors on their rights and obligations by evaluating IDs; by applying for Intellectual Property (IP) protections; and by facilitating the commercialization of inventions to introduce new products to market that benefit Veterans, their families, and the American people.

VA's program is different from other Federal technology transfer programs, because its components are highly decentralized. The more than 100 VAMCs that conduct research have been given the authority of Federal Laboratories under the authority of 15 U.S.C. § 3710a(a). In addition, 124 VAMCs have formal affiliations with academic institutions and hospitals. At these VAMCs, many VA researchers, whether they are full-or part-time VA employees, also have academic appointments or are otherwise employed at an affiliated academic institution or hospital.

Affiliated academic institutions ask their employees and academic appointees to enter into agreements that give ownership of inventions to the academic affiliate. Because of this requirement, most VA inventions are jointly-owned by VA and its academic affiliates. Accordingly, the transfer of technology is a collaborative effort between the two parties. To facilitate efficient technology transfer, TTP has executed Cooperative Technology Administration Agreements (CTAA) on VA's behalf with many academic affiliates, allowing the affiliate to take the lead in the management of the co-owned inventions. At the same time, TTP manages the patent prosecution and marketing of inventions solely owned by VA, or inventions in which the academic affiliate declines to take the lead.

Partnerships Engagement and Public Access

A unique aspect of VA's research is the historically close relationship VAMCs have with local communities. This results partly from VA's formal affiliations with nearby academic institutions ("affiliates"), most commonly medical schools or teaching hospitals, and partly from VA's extensive employment of clinicians that are also faculty at affiliates. VAMCs also serve as training sites for many medical residents, and offer relatively easy access to VA resources for research purposes through straightforward credentialing and access policies ("Without Compensation Employees" or WOCs). Many clinician/researchers have laboratory access at both VA and the affiliate.

The benefits from this are many:

- This research model encourages interaction with professionals outside Government, especially at affiliates.
- Affiliates are often Partnership Intermediaries themselves, and have links to other Partnership Intermediaries.
- VA often allows its affiliates to take the lead in commercializing jointly owned inventions. VA gains flexibility through this partnership since affiliates generally are more flexible with licensing terms, for example their ability to accept equity.
- Most inventions by VA researchers are jointly owned with the local affiliate.
- Through its relationship with affiliates, VA accesses various private sector innovative approaches to technology development such as local economic development activities.
- VAMCs and the local community frequently share resources. For example, some VAMC use affiliated medical school Institutional Review Boards; several locations have one central animal facility hosted at the VAMC.

3. Current technology transfer goals, objectives and metrics. VA's TTP is in the process of:

- **Improving Reporting Compliance by Academic Affiliates.** VA has CTAA's with more than 60 of its academic affiliates. These agreements delineate how

jointly-owned IP is to be handled. In every agreement, there are provisions requiring affiliates to report annually on their activities for jointly-owned IP, and to provide detailed information on IDs and royalties for jointly-owned IP. While reporting compliance in this area has historically been poor, in the past year VA has made a strong effort to enforce compliance with this reporting requirement, resulting in a compliance rate of over 90 percent. The reports have helped to identify and correct deficiencies in IDs and royalty payments owed to VA.

- **Site Visits to VAMCs and Academic Affiliates.** One of TTP's most significant challenges is to ensure that VA inventors themselves disclose their inventions to VA. While inventors invariably disclose their inventions to VA academic affiliates, they are often not aware of their duty to also disclose their inventions to VA. Academic affiliates should make VA investigators aware of this requirement, but there is no consistency in the affiliates' actions in this area. As a result, TTP has begun to make site visits to VAMCs and academic affiliates to raise awareness of TTP itself, and of the procedures and regulations inventors are required to follow regarding disclosing inventions to VA. This outreach has resulted in significant increases in both our ID rate and royalty revenues.
- **Metrics:** To quantify the results of the above activities, TTP will:
 - Measure the rates of disclosure of inventions.
 - Measure the rates of disclosure of royalties.

4. New technology transfer program goals and initiatives.

Goals. TTP's goals are to increase the number and quality of IDs by 10 percent per year, as measured by a 3-year moving average of the number of disclosures received; and to increase the number of active licenses by 10 percent per year, with a special focus on licenses of high value to Veterans. Below are the objectives, strategies, and tactics we will use to accomplish these goals:

New Initiatives:

A. Strengths, Weaknesses, Opportunities, and Threats (SWOT) Analysis.

The first step in accomplishing the above goals will be to conduct a thorough analysis to identify areas requiring improvements. TTP will conduct this analysis by identifying and analyzing the SWOTs involved in the ID and licensing process. The SWOT will allow TTP to draft a successful strategy to meet its goals for the current and foreseeable future, while meeting VA's mission requirements.

B. Operations Improvements.

- **Process mapping TTP activities.** TTP will review existing workflows in each phase of the technology transfer process. Our focus will be on

process streamlining and improvements, while eliminating redundant tasks. TTP will incorporate pre-execution checklists to ensure that quality goals are met in each phase of the technology transfer process.

- **Implementing an improved TTP database.** A functional intuitive database is critical to managing the various phases of the technology transfer lifecycle. The existing software imposes unacceptable operational difficulties on TTP forcing difficult work-arounds. TTP has recently conducted a thorough search for a new database to meet its needs, and has identified a suitable software solution. As part of the program's fiscal year (FY)12 budget, TTP received funding for this software. When fully operational, this software will enhance the program's capabilities in portfolio management; improve our ability to track metrics and provide deliverables to academic affiliates; increase accountability and the ability to manage data; and, reduce the current costs of maintaining and upgrading software.
- **Developing Standard Operating Procedures (SOP) for handling data and document flow.** Current SOP for VA's TTP are tailored around TTP's previous organizational structure, when the program maintained two office locations with staff at each location. These two offices were consolidated in FY11. To reflect this consolidation, TTP will review and update existing SOPs, and will include data obtained from the SWOT analysis and process mapping activities referenced above. Eventually, TTP expects to revise its SOPs in all areas of technology transfer. By writing careful and thorough SOPs reflecting best practices in the field, TTP will establish policies and documents that will allow VA's research portfolio to be successfully managed in all of its aspects, including IDs, patent prosecution actions, and licensee management. An example of improved document flow is streamlining the current ID form to lessen the burden on investigators with dual appointments at an academic affiliate and VA.
- **Automating and Web-enabling activities.** New software will enable TTP to automate many current processes and allow for on-line submission of IDs. Many of TTP's academic affiliates already utilize such on-line submissions. This will replace the current process of submissions through mail, UPS, or e-mail. On-line submissions will improve workflow by decreasing the time it takes to scan and upload documents to TTP's database. Such submissions will also enhance security by preventing the loss of paper documents and will allow TTP to reduce its usage of paper. When paired with TTP's new software, on-line submissions will allow TTP staff and VA's external partners to be notified of the status of technologies as they proceed through the technology transfer lifecycle. TTP is also creating a collaborative environment with VA's Office of General Counsel (OGC) that will use SharePoint or other document sharing software. TTP

and OGC work together to assert Government rights to IP. Through document sharing, TTP and OGC will be able to address each other's concerns and process documents more quickly. These activities will also allow VA to issue Determinations of Rights (DOR) to inventors and partners in a timelier manner.

- **Better identifying VA's Dually-Appointed Personnel (DAP) and Without Compensation employees (WOC) to affiliates.** A challenging aspect of managing VA technologies is knowing the current employment status of VA's more than 3,000 investigators. The majority of VA investigators have appointments with academic affiliates which are located in close proximity to a VAMC. If an affiliate receives an invention disclosure from an investigator of which VA is unaware, significant technology transfer issues can result. Non-VA parties, for example, may invalidate a patent or license agreement when patent ownership is unresolved, and VA may not be able to capitalize on the technology that is developed by its own investigators. Currently, TTP relies on the Associate Chief of Staff for Research at each VAMC to maintain a current list of investigators who are either DAP or WOC. WOCs do not receive compensation from VA, but receive VA appointments and may use VA resources when conducting VA research. It is very difficult to maintain these lists, as investigators move quite frequently throughout their careers. Updating the lists is time consuming and cumbersome for local staff. A new database, under development by ORD, will facilitate the tracking of DAPs and WOCs and their approved VA research projects. Such a database will allow VA to better capture technologies that are jointly owned with our affiliates.
- **Metrics:**
 - SWOT completed by November 1, 2012.
 - Workflow processes mapped within 30 working days of completed SWOT.
 - New database implemented by February 2013.
 - Internal policies reviewed and in place by June 2013.
 - National principal investigator database implemented by September 2015.
 - First review of ID received for completeness and accuracy within two working days.
 - Forwarded complete ID to technology specialists for recommendation on asserting rights within one working day.

C. Managing Inventions disclosures.

- **Streamlining the DOR process.** Because the decision to take ownership of an invention made by a Federal employee is a legal determination, TTP works with OGC, which formally makes a DOR decision and issues a legal

determination. In addition, because many researchers work at both VA and an academic affiliate, making ownership determinations is a more complicated process than at other Federal agencies. This has led to a cumbersome fact finding process involving multiple parties, including the affiliate, the VAMC, the inventor, TTP and OGC, with a complex, often redundant flow of information going back and forth among parties. We will improve this process by:

- **Developing a process map.** TTP will work with all parties involved in the disclosure process to identify opportunities for streamlining and improving VA's disclosure process. They will analyze the sources and flows of information and create a workflow diagram, or process map, with the goal of pinpointing redundant or unnecessary data; streamlining and automating the process; and identifying ways to increase the quality of disclosures. For example, many current disclosures do not have a satisfactory description of the invention and are missing additional information, such as manuscripts, that would be useful in patent filing.
- **Increasing educational activities within VA.** Educating VA investigators who conceive inventions, and those who assist them in disclosing inventions, is a critical aspect of expanding TTP's commercialization efforts. Towards this end, TTP will undertake a number of activities, including:
 - *Expanding VAMC outreach.* TTP will continue to expand an aggressive outreach program to inform investigators and others about their rights and responsibilities. TTP will reach out to the field through site visits and participation in VAMC "town hall" meetings. TTP will give particular emphasis to VAMCs with higher research budgets.
 - *Using Web resources such as Web conferences, (Webinars).* Webinars are a cost effective way of communicating and training dispersed personnel. TTP will produce a series of Webinars on technology transfer issues. These Webinars will include:
 - an introduction to technology transfer for all personnel, explaining the duty to disclose, aspects of quality disclosures, and the technology transfer process;
 - a discussion of technology transfer operations, targeting those involved in the preparation and processing of disclosures; and
 - the basics of patenting, allowing interested researchers to gain a deeper understanding of the patenting process.

Webinars will place special emphasis on educating VA personnel on the importance of "high quality" disclosures—disclosures that are

sufficiently detailed and complete so that TTP and OGC can promptly process rights determinations.

- *Proposing that IP training be required as a condition of VA funding.* TTP intends to propose that VA researchers receiving funding from VA resources be required to undergo Web-based annual training, during which they are made aware of their obligation to disclose inventions directly to VA, the disclosure process is reviewed, and they are briefed on the optimal content of disclosure forms.
- **Increasing the number and quality of IDs.** The number and the quality of the disclosures a technology transfer office receives drive that office's commercialization and licensing efforts. Quality of disclosures is measured by both the completeness of the disclosure and the likelihood of successfully patenting and licensing the technology.
 - TTP will work closely with ORD's Scientific Program Managers (SPM) to identify highly productive researchers for targeted outreach. SPMs have specific knowledge of researchers or projects with unusually high commercial prospects. TTP will work closely with SPMs to identify these opportunities through activities such as participation in site visits to Centers of Excellence, participation in staff meetings, and observation of scientific review sessions.
 - In addition, TTP will focus on high activity VA researchers with significant research budgets from VA or agencies and organizations. The scientific productivity of a research group often correlates well with the inventive productivity of the group. These groups will be targeted for individual outreach during site visits, and additional outreach opportunities will be developed.
- **Improving our relationships with our affiliates.** Academic affiliates are a key part of VA's ability to provide world class health care to Veterans, and the relationship between VA and its affiliates has a significant impact on VA's management of inventions. TTP will support this relationship by:
 - *Improving current mechanisms for working with affiliates to allow VA to better identify jointly owned inventions.* As noted earlier, most VA inventions are accomplished by investigators with dual appointments at local academic affiliates DAP. As a result, DAPs have an obligation to disclose inventions to both VA and the academic center with which they are affiliated. In practice, many DAPs disclose solely to the academic center, failing to meet their duty to disclose to VA as well. Therefore, TTP relies heavily on cooperation with affiliates to become aware of disclosures made by DAPs. One solution several affiliates have suggested is for VA to regularly provide them with a list of current

VA researchers at their affiliated VAMC. This would include VA-salaried WOC employees, who are also obligated to disclose to VA. TTP will work with VAMCs to develop a process by which academic affiliates will regularly receive updated lists of DAPs.

- *Re-negotiating CTAAAs.* TTP will renegotiate CTAAAs to provide greater flexibility in managing jointly owned technologies. More than 10 years ago, when VA began its technology transfer activities, TTP negotiated CTAAAs with the majority of its high volume academic affiliates. The CTAAAs describe a mechanism for handling jointly-owned inventions, including a formula for sharing revenue and expenses from patenting and licensing activities. Over time, several significant limitations to the CTAA have become apparent, including:
 - A requirement in CTAAAs that the academic affiliate report to VA any activity taking place with jointly-owned technologies. These agreements do not, however, describe data elements or a report format. As a result, the nature, format, and quality of the data TTP receives are highly variable.
 - Under the CTAA, the affiliate always has the right to take the lead in developing an invention, except for inventions made pursuant to a VA Cooperative Research and Development Activity (CRADA), which are rare. TTP has found many inventions where all work was done at VA (often the case with inventions made under Center of Excellence funding), but since one of the VA researchers also has an affiliate appointment, the affiliate can, and usually does, take the lead. This leads to fragmentation of the IP estate and worse, a loss of control over IP that could complicate the successful commercialization of VA's research. Often a commercial product is an effective way for Veterans and the public to see direct benefit from research.
 - CTAAAs currently contain a mechanism by which VA's share of patent expenses are offset against income generated by a license. Unfortunately, CTAAAs give VA no voice in patenting decisions. As a result, some affiliates have undertaken expensive international patent filing campaigns to which VA would not have agreed had VA held some control over the decision.

TTP will develop and implement a revised CTAA model to address these and other issues.

- **Analyzing alternative staffing models.** Other Federal agencies, such as United States Department of Agriculture's Agricultural Research Service (ARS), and DoD, who also have decentralized research activities, manage

technology transfer in a decentralized manner. For instance, ARS has seven regional Technology Transfer Coordinators (TTC) strategically stationed across the United States, who are responsible for facilitating the development and transfer of USDA technologies. TTP will explore the feasibility of a decentralized model for improving VA's technology transfer services. This might involve TTP staff based in high activity locations such as California. TTP will also explore the feasibility of placing staff at high-volume VAMCs with direct (or perhaps shared) accountability to TTP. This would facilitate communication and accountability at key locations.

- **Metrics:**
 - 3-year moving average of number of disclosures.
 - Number of jointly-owned inventions with VA lead.
 - Number of sole VA inventions.

D. VA Patent Policy. Another new initiative the TTP will implement is the establishment of a more systematic internal patent policy for VA. This patent policy will include guidelines for filing patent applications, evaluating technologies prior to filing applications, and managing patent finances. TTP will accomplish this by:

- **Developing guidelines for patent activities.** TTP's first step in implementing this initiative will be to develop guidelines for patent activities to ensure internal consistency within the program. These guidelines will include determining what type of patent application will be filed, such as a provisional or utility patent application, for a newly submitted technology. For already pending applications, such as provisional or utility applications, TTP will establish guidelines for filing internationally, including national stage applications. The guidelines will also include information on how to determine when, and in which countries, VA will pursue international filings. Another important guideline that will be included is TTP's patent policy with respect to managing patent filings with academic affiliates.
- **Forming a Patent Committee.** To ensure consistent and judicious patent filings, TTP will consider forming a Patent Committee that will periodically meet to assist in analyzing technologies and determine whether TTP should file particular patent applications. The Committee will likely be a small group of two to six people, and may contain representatives from within TTP, especially Technology Transfer Specialists, and outside TTP, especially SPMs from other ORD programs. It is also possible that the Patent Committee may include only representatives from TTP, who will review selected technologies and come to a consensus with regard to patent filing decisions. TTP can use the Patent Committee to make decisions on technologies that are exceptions to the TTP's patent policy.

- **Developing guidelines to manage patent finances.** The TTP patent policy will include detailed guidelines on management of patent finances with respect to the contract law firms with which TTP works. Currently, TTP is reviewing internal procedures for managing patent costs. TTP is considering creating budgets and price caps for various patent filings such as provisional applications, utility applications, office action responses, ID statements, appeals, and other findings. After communicating information about budgets to the contract law firms, TTP will implement formal procedures to request estimates from the contract firms for each task TTP requests. The estimates would have to be within TTP's cap for the particular task and would be binding. Another aspect of patent finance management includes creating procedures to capture the financial details in the database. The financial management includes capturing the initial estimates and the final bill sent from the contract law firms.
- **Metrics:** The metrics that TTP will use to manage the patent policy are cost per patent and the percentage filed compared to the IDs received. Efficiency can be recognized as a reduction in the cost per patent and possibly also as a reduction in the percent of the applications filed compared to IDs. Metrics to be used include:
 - Cost per patent.
 - Percentages of patents filed compared to IDs received (by affiliates and by TTP).

E. Licensing Activities. VA will improve its licensing activities by:

- **Scheduling regular reviews and updates of the TTP Web site.** TTP will update its Web site on a regular basis to ensure that all information is current and correct. With respect to licensing activities, it is important that TTP's most current boilerplate agreements are available for facilities to adapt. Further, it is important to make sure that all technologies listed as "available technologies" are actually still available, and that all such technologies are listed and properly categorized.
- **Reviewing existing licenses for ineffective use of VA IP.** Existing license agreements need to be reviewed regularly to ensure that licensees are in compliance with the terms of their agreement. In reviewing these agreements, we will pay particular attention to:
 - Reports;
 - Payments;
 - Adequate development progress; and
 - Availability of product.

If a license is not in compliance with the licensing agreement, TTP will make every effort to remedy the situation. If no remedy is found, the license should be terminated and the technology re-marketed.

- **Developing and initiating an audit program.** It is important to occasionally audit licensees to ensure that they are in compliance with the royalty agreement. We believe that licensees do not intentionally underpay royalties, but our typical audits continue to identify issues in this area.
- **Streamlining and speeding up the concurrence process for Federal Register (FR) notices.** TTP needs to accelerate the FR notice process for exclusive licenses. The process currently requires more than nine separate signatures and takes anywhere from 2 to 6 months. The potential for losing a deal in this time span is great. VA TTP will propose that the TTP Director be delegated the authority to approve FR notices. This is analogous to how the National Institutes of Health proceeds, but the Secretary of Veterans Affairs will need to approve such a delegation before it can take place.
- **Streamlining the licensing process.** The length of VA's licensing process is often discouraging to potential licensees and deals are lost as a result. The following are among the key items that need to be addressed:
 - Revised templates;
 - Develop license negotiating objectives and guidelines; and
 - Develop SOP with OGC to govern license review and approval process.
- **Metric:**
 - Number of licenses.

5. Department of Veterans Affairs Accelerating Technology Transfer and Commercialization Summary of Performance Goals, Objectives, Tasks and Metrics.

Performance Goal 1: Improve Technology Transfer Program Business Operations

| No. | Objective | Task | Metric | Timeline |
|-----|--|--|--|---|
| 1 | Better understand existing operations | <ul style="list-style-type: none"> • Conduct an analysis of Strengths, Weaknesses, Opportunities and Threats (SWOT) | Completion | November 2012 |
| 2 | Improve operational effectiveness | <ul style="list-style-type: none"> • Process Map workflow • Improved database • Revised SOPs • Task automation; using WWW • Improved information interchange with VA Academic Affiliates. | Completion Implementation Completion National PI database implemented Implement PI database | December, 2012 February 2013 June 2013. September 2015 September 2015 |
| 3 | Decrease time to process invention disclosures | <ul style="list-style-type: none"> • Process map DOR process • Streamline DOR process | Completion Time to completion of DOR | November 2012 December 2012 |
| 4 | Increase educational activities within VA | <ul style="list-style-type: none"> • Increase Outreach to PI • Develop, implement Webinar series • Distribute promotional/marketing materials | Number of PI contacted Number site visits conducted Number of webinars (attendance measured under outreach) Number of materials distributed | Ongoing Initiate November 2012 Ongoing |

| No. | Objective | Task | Metric | Timeline |
|-----|---------------------------------------|--|--|---|
| 5 | Increase number of ID by 10% per year | <ul style="list-style-type: none"> Increase number of ID by 10% per year Develop plan to work closely with ORD SPM Identify, focus on high activity researchers | Number of disclosures (3 year moving average) Number of meetings with SPM Number identified, contacted Number of sole VA inventions Number, percent of jointly owned inventions with VA lead | Ongoing Initiate October 2012 Initiate September 2012 |

SOP = Standard Operating Procedure; DOR = Determination of Rights; ORD = VHA Office of Research and Development; PI = Principle Investigator; WWW = World Wide Web aka internet; SPM = Scientific Program Managers

Performance Goal 2: Improve partnering with academic affiliates and public sector engagement

| No. | Objective | Task | Metric | Timeline |
|-----|--|---|---|--|
| 1 | Improve current mechanisms for working with affiliates | <ul style="list-style-type: none"> Form an internal working group to examine current interaction with affiliates and identify areas needing improvement Implement the identified improvements Increase reporting compliance under CTAA | Number of improvements identified Number of improvements implemented Number complying with disclosure requirements Number reporting royalties Value of royalty payments | July 2013 April 2014 Ongoing |
| 2 | Improve agreements governing jointly owned inventions | <ul style="list-style-type: none"> Renegotiate CTAA to provide VA with more control over outcomes. | Number of CTAA renegotiated | January 2014 |

| No. | Objective | Task | Metric | Timeline |
|-----|--------------------------------------|--|------------|--------------|
| 3 | Evaluate alternative staffing models | <ul style="list-style-type: none"> Form team to explore value of a decentralized staffing model such as that used by USDA ARS | Completion | January 2014 |

CTAA = Cooperative Technology Administration Agreement; USDA ARS = United States Department of Agriculture Agricultural Research Service

Performance Goal 3: Revise VA Patent Policy for more cost effective licensing

| No. | Objective | Task | Metric | Timeline |
|-----|--|---|--|--------------|
| 1 | Improve patent management for better public access | <ul style="list-style-type: none"> Develop guidelines for patent activities | Completion | October 2012 |
| 2 | Broaden information base for making better informed patent decisions | <ul style="list-style-type: none"> Form a patent committee | Percentage of IDs with patent filings by VA and affiliates | July 2013 |
| 3 | More effectively manage patent finances | <ul style="list-style-type: none"> Develop patent financial policies and metrics | Cost per patent | October 2012 |

ID = Invention Disclosure

Performance Goal 4: Improve and streamline licensing activities to improve public sector access

| No. | Objective | Task | Metric | Timeline |
|-----|--|---|--|------------------------|
| 1 | Provide up to date information to the public | <ul style="list-style-type: none"> Schedule regular review of TTP website content for completeness and to be up to date. | Number of page hits Number of requests for more information | Ongoing |
| 2 | Ensure effective use of licensed IP | <ul style="list-style-type: none"> Review efforts of existing licensees for compliance with license terms Selectively audit licensees | Number of licenses reviewed Number of audits | July 2014 July 2014 |

| No. | Objective | Task | Metric | Timeline |
|-----|--|---|---|--|
| 3 | Increase number of active licenses by 10% per year, through improved access to inventions and improved licensing processes | <ul style="list-style-type: none"> • Shorten time for publication of FR notices • Improved licensing process: <ul style="list-style-type: none"> ○ Revise templates ○ Develop negotiating objectives and guidelines ○ SOP for OGC interaction | <p>Number of days from initiation to publication</p> <p>Number of licenses</p> <p>Length of time from initiation to execution</p> | <p>January 2013</p> <p>March, 2013</p> |

FR = Federal Register; SOP = Standard Operating Procedure; OGC = Office of General Counsel

6. Department of Veterans Affairs Accelerating Technology Transfer and Commercialization Timelines and Milestones.

