MEMORANDUM

TO: Randolph G. Moore  
    Chairperson, Board of Regents

VIA: David Lassner  
     President

FROM: Vassilis L. Syrmos  
      Vice President for Research and Innovation

SUBJECT: RESEARCH AND INNOVATION PERFORMANCE METRICS – FY2016 FIRST QUARTER REPORT

Attached is a quarterly report on research and innovation metrics which includes an awards summary from the Office of Research Services (ORS), and a technology transfer summary from the Office of Technology Transfer and Economic Development (OTTED) for the period July 1, 2015 through September 30, 2015.

Attachments
Extramural Sponsor Awards
Quarterly Summary

<table>
<thead>
<tr>
<th>Program Type</th>
<th>Count</th>
<th>Amount</th>
<th>Count</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Research</td>
<td>357</td>
<td>$81,385,388</td>
<td>376</td>
<td>$108,425,763</td>
</tr>
<tr>
<td>Non-Research</td>
<td>243</td>
<td>$87,849,432</td>
<td>245</td>
<td>$83,233,939</td>
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<tr>
<td><strong>Total</strong></td>
<td><strong>600</strong></td>
<td><strong>$169,234,820</strong></td>
<td><strong>621</strong></td>
<td><strong>$191,659,702</strong></td>
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</tbody>
</table>

Note: The detailed award listing is available at:

http://www.ors.hawaii.edu/index.php/bor-reports

The FY 2015 year-to-date total was: $190,990,865
The unofficial FY 2016 year-to-date total is: $166,037,546
Contracts and Grants Awards
As of Quarter One – FY 2016

Contracts and Grants Awards
Amount Awarded by Quarter

Quarterly

Millions

Quarter 1  Quarter 2  Quarter 3  Quarter 4

FY 2015 Quarterly Awards  FY 2016 Quarterly Awards  FY 2015 Cumulative  FY 2016 Cumulative Awards
Contracts and Grants — Expenditures
As of Quarter One — FY 2016

Contracts and Grants Awards
Expenditures by Quarter

FY 2015 Quarterly Expenditures
FY 2016 Quarterly Expenditures
FY 2015 Cumulative Expenditures
FY 2016 Cumulative Expenditures
Contracts and Grants Awards – F&A Recovery
As of Quarter One – FY 2016

Contracts & Grants Awards
F&A Recovery by Quarter

- FY 2015 Quarterly FA
- FY 2016 Quarterly FA
- FY 2015 Cumulative FA
- FY 2016 Cumulative FA
# OTTED Research & Innovation Metrics

**FY 2016 – First Quarter Summary**

<table>
<thead>
<tr>
<th>Metric</th>
<th>FY 2016 7/1/15 – 9/30/15</th>
<th>FY 2015 7/1/14 – 9/30/14</th>
</tr>
</thead>
<tbody>
<tr>
<td>Invention Disclosures</td>
<td>13</td>
<td>13</td>
</tr>
<tr>
<td>Provisional Patents Filed</td>
<td>14</td>
<td>9</td>
</tr>
<tr>
<td>Non-Provisional Patents Filed</td>
<td>1</td>
<td>2</td>
</tr>
<tr>
<td>Non-Provisional Patents Issued</td>
<td>3</td>
<td>2</td>
</tr>
<tr>
<td>License Agreements</td>
<td>2</td>
<td>–</td>
</tr>
<tr>
<td>Royalty Revenue</td>
<td>$51,579</td>
<td>$76,314</td>
</tr>
</tbody>
</table>
Invention Disclosures
As of Quarter One – FY 2016

Inventions Disclosed

- FY 2016 Quarterly
- FY 2015 Quarterly
- FY 2016 Cumulative
- FY 2015 Cumulative
Provisional Patents Filed
As of Quarter One – FY 2016

U.S. Provisional Patents Filed

Quarterly

FY 2016 Quarterly  FY 2015 Quarterly  FY 2016 Cumulative  FY 2015 Cumulative
Non-Provisional Patents Filed
As of Quarter One – FY 2016

U.S. Non-Provisional Patents Filed

Quarterly

Cumulative

Q1 FY 2016 Quarterly
Q2 FY 2015 Quarterly
Q3 FY 2016 Cumulative
Q4 FY 2015 Cumulative

8
Non-Provisional Patents Issued
As of Quarter One – FY 2016

U.S. Non-Provisional Patents Issued

- FY 2016 Quarterly
- FY 2015 Quarterly
- FY 2016 Cumulative
- FY 2015 Cumulative
License Agreements
As of Quarter One – FY 2016

License/Option Agreements Executed

FY 2016 Quarterly  FY 2015 Quarterly
FY 2016 Cumulative  FY 2015 Cumulative
Royalty Revenue
As of Quarter One – FY 2016