

D. SU College of Law – Technology Commercialization Clinic Network (W252)

August 18, 2011

- Grantee:** Syracuse University (“SU”)
- ESD Investment:** A grant of up to \$125,000 to be used for costs associated with the Technology Commercialization Clinic Network (“TCCN”) at SU’s College of Law (the “College”).
- Project Location:** 407 MacNaughton Hall, Syracuse, Onondaga County
- Project Completion:** June 30, 2013
- Grantee Contact:** Caroline McMullin, Research Administrator
Office of Sponsored Programs
113 Bowne Hall
Syracuse, NY 13244
Phone: (315) 443-9358 Fax: (315) 443-9361
- Project Team:** Project Management Jessica Hughes
Affirmative Action Helen Daniels
Environmental Soo Kang
- Regional Council:** The Central New York Regional Council has been made aware of this item.

Project Description:

Background

Syracuse University is a private research university founded in 1870, which offers undergraduate degrees in over 200 majors in 10 undergraduate schools and programs, and also offers master’s and doctoral degrees from the Graduate School and from specialized programs from the Maxwell School of Citizenship and Public Affairs and the College of Law, among others. Since its founding in 1990, the College has provided over 250 law, engineering and business students the opportunity to study the technology commercialization process through specialized coursework and clinical research projects.

In March 2004, the College was designated as the New York State Science & Technology Law Center (“NYS STLC”) by the former New York State Office of Science, Technology and Innovation (“NYSTAR”). This designation recognizes the College's extensive experience in the field of technology commercialization law and practice. The mission of the NYS STLC is to provide legal education, research, information, and support services to the more than 30 universities and research centers in New York State supported by NYSTAR.

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The Syracuse University New Technology Law Center (“SUNTEC”) is the umbrella organization responsible for the operation of the NYS STLC, the Technology Commercialization Law Program (“TCLP”), a Technology Commercialization Research Center (the “Center”) and a Technology Commercialization Clinic Network. The Center utilizes the professional diversity and expertise of the faculty management team to prepare two types of research projects: commercial development of new technologies and intellectual property management practices. In both types of research, legal information is always provided within the context of specific technologies, markets and management structures. In addition, the legal information provided is always directed to the specific needs and interests of client organizations. Students are actively involved in organizing statewide conferences, developing education materials, preparing technology assessment reports, performing legal research, and providing consulting services to research center directors and technology entrepreneurs.

The ESD Directors approved a \$125,000 grant in January 2008 (Project #V866) for the formation of a TCCN in New York State. The TCCN is headquartered at SU’s College of Law, and is open to any New York State university which has an advanced research program. The research performed in the TCCN is customized to client organizations’ needs and interests in developing early-stage technologies and is performed by student teams under the supervision of teaching assistants and faculty. The research results are delivered in the form of written reports ranging between 100-150 pages in length with extensive footnote references, tables and appendices.

Since its approval in 2008, three universities were allocated seed funding to establish Technology Commercialization Clinics (“TCC”). These include: Stony Brook University, through its Center for Advanced Biotechnology; Niagara University, through its Masters of Business Administration Program; and the Rochester Institute of Technology, through its Center for Entrepreneurship. All three TCC’s are now operational and the grant funds have been fully disbursed. The ESD Directors also approved an additional \$125,000 grant (Project #W688) in September 2010 to continue support for the three existing TCCs, as well as to help fund operational costs at SU, which includes the cost of the creation of a Web site and to seek out prospective TCCN members. This grant has been extended through December 31, 2012 to coincide with the 2011-2012 academic year, with no funds disbursed to date.

The Project

Project funding from this grant will be used to recruit two new TCCs into the Technology Commercialization Clinic Network and the administration costs specifically associated with the creation of the new TCCs on research campuses in New York State, which have yet to be identified. These costs will include SU salaries, travel and lodging expenses, and conference and meeting expenses. Theodore Hagelin, Professor of Law at SU, will continue to administer the program. The services provided by the TCCN are a key catalyst in

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converting research inventions into commercial innovations and helps New York State in its ongoing commitment to being a world leader in technology research and commercialization. A successful TCCN in New York State will establish a TCC on virtually every research campus in the State.

Upon completion of the project, the Grantee will furnish a final report, describing the impact and effectiveness of the project.

Financing Uses	Amount	Financing Sources	Amount	Percent
SU Salaries	\$35,000	ESD Grant	\$125,000	100%
Travel & Lodging	4,000			
Conference/Meeting Expenses	10,000			
Supplies	2,000			
Outreach*	74,000			
Total Project Costs	\$125,000	Total Project Financing	\$125,000	100%

*Funds to support Technology Commercialization Clinics at other NYS universities.

Statutory Basis – Community Projects Fund:

The project was authorized in the 2008-2009 New York State budget and reappropriated in the 2011-2012 New York State budget. No residential relocation is required as there are no families or individuals residing on the site.

Disclosure and Accountability Certifications:

The Grantee has provided ESD with the required Disclosure and Accountability Certifications, which disclosed the following information under Good Standing:

- SU is sued from time to time for normal business practices. SU has been subject to several judgments during the past five years involving negligence cases brought by independent contractors and resulted in pay outs paid primarily by insurers, and thus have had no real financial impact to SU;
- On October 26th 2006, the Onondaga County Health Department issued a monetary penalty of \$250 to SU Food Services. The penalty was for bare hand contact with a ready-to-eat food product. The monetary penalty was paid in full and no further enforcement is needed;
- On January 8, 2007, the Onondaga County Department of Water Environment Protection (“OCDWEP”) issued a Notice of Violation and Compliance Order to SU’s Chilled Water Plant for its failure to conduct semi-annual self-monitoring sampling required under the Chilled Water Plant’s OCDWEP issued Industrial Wastewater Discharge Permit. SU immediately completed the required sampling. No fines and no penalties were issued;
- On January 20, 2007, OCDWEP issued a Notice of Violation and Compliance Order to SU’s Steam Station for two pH excursions in its wastewater discharge which violated the terms and conditions for discharges contained in the “Onondaga County Rules and

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Regulations Relating to the Use of the Public Sewer System” and the facility’s Industrial Wastewater Discharge Permit. The pH excursions were a result of a defective caustic feed pump in the facility which was repaired prior to issuance of the Notice of Violation. No fines and no penalties were issued; and

- SU has received two OSHA citations in the last seven years, but neither was a serious or willful violation.

The Disclosure and Accountability Certifications, while disclosing the above, do not indicate that the Grantee has any current conflict of interest or good standing violations, and therefore, staff recommends that the Corporation authorize the grant to the Grantee as described in these materials.