Process Action Teams	STCU Goals			
	More Successful Grant Proposals/Valuable S&T Research (Attractive to Research Customers, Competitive)	**Increased Private-Sector Partner Funding)**	**Successful, Sustainable Institutes**	**Effective Program Stewardship (Efficient Processing of Information, Accurate Records, Modern Office Tools, Measurable Progress)**
S&T Quality Improvement *Lead: L. Henry, E. Manninen*	Make effective use Workshops and Targeted R&D Initiatives to focus effort on high-value S&T research areas. Create clear paths for scientists to transition from reliance on STCU projects to self-sustainability	Improve or create new ways for advertising proposals to private-sector audience (to promote partner funding of unfunded regular project proposals)	Improve abilities of STCU and scientists to identify targeted S&T project work that emphasizes institute strengths, creates centers of excellence, and increases institute capabilities and reputation	Make effective use of Targeted Training and other supplemental activities in promoting S&T funding opportunities, grant-writing skills, presentational skills, etc. Improve access to research tools and information sources for grants competition, S&T market interests. Measure STCU effectiveness in improving S&T project quality & success.
Patent/Licensing *Lead: J. Zimmerman*	Improve the awareness and effective planning for IP protection/patent/licensing in proposals and project work plans. Integrate STCU with Party patent systems to take advantage of those systems.	Create "fair compensation" IPR/patent policies and clear guidelines for private-sector companies. Modify MPA articles to capture these policies, esp. non-license compensation	Improve awareness and abilities of STCU and institute leaders to develop institute-managed patent/licensing strategies and technology transfer capabilities.	Improve timeliness and comprehensive benefit of project-related invention disclosures and patent applications. Integrate into Party systems for invention review and patent application support. Effectively monitor invention disclosures, patent applications, and licensing exploitation. Make effective use of Targeted Training and other activities to promote understanding of basic IPR, patent, and licensing issues.
Institute Sustainability *Lead: J. Zimmerman, E. Manninen*	Improve ability of institute labs to develop effective strategies for attracting external funding and to compete effectively for such funding.	Improve institute awareness, strategies, and in-house capability to conduct beneficial technology transfer.	Improve institute awareness and abilities to develop their own strategies and plans for diversifying research income sources and managing future institute development	Reliably measure institute's "sustainability factor" and progress toward improving institute self-sustainability. Make effective use of Targeted Training and other activities to develop understanding of basic tech. transfer issues, strategic planning, and business management practices.

Public Outreach *Lead: B. Atamanenko, (support D. Cleave)*	Improve STCU and project team ability to promote proposals publicly, to attract interested customers and aid Parties in their partner outreach efforts (e.g., ISTC Promising Abstracts Database).	Effectively publicize STCU and project team capabilities, successes, and advantages for private sector so as to attract new partners.	Effectively publicize, in a positive manner, the successes and R&D capabilities of institutes.	Improve quality, timeliness, attractiveness, and effectiveness of mass media coverage of STCU events, promotional material, annual reports. Make effective use of electronic tools such as STCU Web site, email system, web sites of cooperative partner organizations (e.g., Party program websites, ISTC Website, CRDF, other NGO websites)
STCU Process Improvement *Lead: E. Manninen, B. Atamanenko*	Streamline and improve Proposal processing system, (e.g., elimination of SF, HGC tracking, reducing # of signatures for CS release) w/o losing the benefits of these steps.	Improve STCU "customer service" to private sector Partners (e.g., new web site design, project processing reform, central customer service point).	Improve STCU ability to gather standard, meaningful data on institute sustainability on a regular schedule.	Improve efficiency, speed, and accuracy of financial/procurement systems and practices. Integrate improved financial/procurement systems with supplemental activities that require financial/vendor support (e.g., Conferences/Workshop support, Targeted Training, Performance Measurements.

Process Action Teams will be made up of a representative cross-section of the STCU organization, and will be responsible for reviewing and evaluating the effectiveness of existing STCU practices, procedures, tools, and activities/programs. Each Team will offer consensus recommendations for changes, improvements, or creation of new procedures/processes/activities that will increase the effectiveness of the STCU in achieving its overall goals and objectives in 2005.

Process Action Teams:

- Led by a Deputy Executive Director, possible supported by another DED or a Chief Officer.
- In addition to Team Leaders, teams will consist of approximately sic (6) people, with at least one (1) member from each STCU Department, Finance Office, and Administrative Office (the same STCU staff member can sit on more than one Team, but each Team should represent the interests across the STCU organization).
- Meet as often as needed to complete tasks before deadlines, ideally 3-4 hours per work week.
- Deadline: Preliminary recommendations, including steps that require further study, to be presented to Management Committee by 2 February. Team Recommendations/Comments will be provided to Advisory Committee members at the 8 February meeting.
- Teams will continue to meet during the year to (1) continue discussions on recommendations that require further study and evaluation, and (2) to evaluate the implementation of their recommendations and the impact on STCU operations and results.

Tasks:

- Each Team will work on the tasks that are generally described in the above Team/Goals matrix. These tasks connect the STCU existing group of processes, procedures, and activities with the goals to be pursued during the next year.
- Each Team is free to identify other tasks if it feels accomplishing such tasks are necessary for improving STCU effectiveness in each of the Goal categories.
- Each Team will evaluate existing STCU processes, practices, procedures, and tools against the effectiveness of STCU staff to achieve STCU goals and objectives.
- Each Team will produce a set of recommendations for improving the STCU processes, making the STCU more effective in progressing toward its Goals. These recommendations could be include modifying exiting STCU processes/procedures/activities, or could include proposals for the creation of new processes.

Final Recommendations from 2005 Process Action Teams

15 March 2005

Improved Success/S&T Value of Grant Proposals

S&T Quality Improvement
- Accelerate Time Required for Proposal Approval (HGC, Party review); Allow for Quality Improvement of Proposal after Full Form Release
- More Frequent Contact and Proposal Review Feedback from Western experts/customers
- Publish summaries of other grant applications to aid in identifying collaborators and collaborations opportunities
- More Regularly Scheduled Training on Grant Writing, Sustainability Planning,
- Improve Recipient Ability to Keep "Up to Date" on Science Advances and Interests

Patents & Licensing
- Input from successful Tech. Transfer managers at recipient institutes for "lessons learned" and incorporation into training modules
- Publish Patents/Licensing section in Sustainability Planning Guide

Institute Sustainability
- Determine Partner technology needs and factor these needs into future projects and project proposals
- Revise some web page references to "weapons"

Public Outreach
- Create a "promising technologies" database on web site to advertise proposal opportunities

STCU Internal Processes
- Dramatically improve Ukrainian HGC to allow for 2-week decision on Partner Project proposals
- Replace Ukrainian HGC for partner project extensions with "old system" of 3 DED concurrence
- Eliminate Short Form; Reduce # of DED signatures on Cover Sheet; Create an e-system for STCU approval of proposal processing (at different levels)
- Modify STCU proposal system to allow for improvements to proposals as offered by collaborators
- Share results of Funding Party reviews and rationale behind funding decisions, as a feedback to recipient scientists

Increased Private-Sector Partner Funding

S&T Quality Improvement
- Improve Effectiveness of "Targeting" Roadshows, Conferences, etc., using Party-based experts/advisors to help gather information on private sector interests
- Create web-based portal to promote proposals, advertise technology/business opportunities, enable partners to search capabilities of institutes
- Increase Availability of Information on Recipient R&D Strengths, and Proposed Research
    - Promising Proposals Database, accessible through website
    - Institute Profiles, accessible through website
    - Train and Advise Institutes on Effective Outreach (e.g., effective use of descriptions and "keywords" in Institute website)
- Encourage recipients to understand private sector perspectives on IP, encourage institutes to take the lead in negotiating with private sector partners on licensing/purchasing IP rights

Patent & Licensing
- Modify MPPA to Strengthen "fair and reasonable compensation" to Recipients for IP developed under Partner Projects
    - Train STCU staff to recognize "unfair" or "unreasonable" compensation during project agreement negotiation and during project monitoring.

Institute Sustainability
- Allow Partners access to "Short Forms" (after signing NDA)
- Establish new "Sustainability Support Program for a Targeted Institute" (Supplemental activity, 3.5 years/$250K) involving seminars, training which would bring a specific technology to market

Public Outreach
- Posters on project team achievements after completion of project

STCU Internal Processes
- Create Partner Information Center on Web site for central information portal on all relevant needs for Partners
- Revise/modify document location on Web site (clients often have hard time finding things)
- Financial Officer/Senior Specialist assignment for partner's benefit

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Successful, Sustainable Institutes

S&T Quality Improvement
- Assist Institutes to take more active role in protecting/commercializing innovations; assist in developing Institute policies on technology ownership between Institute and scientists
- Until institutes establish their own tech. transfer office, STCU should be willing to broker between institutes and external organizations
- STCU should explore establishing an equipment "technopark" for common use by institutes
- Assist Institutes in developing marketing team within the Institute, capable of screening technologies, conducting market research, developing business plans

Patents/Licensing
- Make Marketing and Licensing Strategies a Required Submission for Patent Support Applications and Proposal Submissions (requires development of new forms/modifying current Full Form sections)

Institute Sustainability
- Create a new "promising technologies" section on the web site to include present S&T abstracts by PMs or derived from project agreement/proposal materials
- Create a new section on the web site with links to the 180 research groups that have worked with the STCU
- Create a "Business Plan Development" fund to support expert consults work with Institutes (similar in function to the Patent Support Fund)

Public Outreach
- Create Institute General Profile Tool with short, descriptive information on each institute and its capabilities (along with line to institute's web site)
- Conduct seminars for STCU recipients on customs and procurement issues, procedures

STCU Internal Processes
- Continue Institute Sustainability survey process but with modifications based on past experience, expert advice, and other similar surveys (like those conducted by the EU). Consider grouping the survey according to technology area, or responsible governmental ministry, etc.

Effective Program Stewardship

S&T Quality Improvement
- Observation: Present level of grant funding (15-20%) insufficient for maintaining technology distinctiveness…need to raise project funding by 20-30% by enhancing quality of proposals and identify additional sources of grant funds
- Senior Specialists should work in their areas of expertise (both with projects in their technical area of expertise and through professional development)
- Targeted training to STCU staff on sustainability planning and tech. transfer
- Establish depository for STCU Powerpoint and other presentations, with a designated person to keep these current
- Make maximum use of workshop materials: deliver live training sessions once a year, improve access of materials to those not able to attend, establish method for assessing training effectiveness

Patents & Licensing
- Advanced training sessions on IPR exploitation during the pre-proposal stages for select PMs and institute officials

Institute Sustainability
- Establish entrepreneurial training program for specially selected young scientists and marketing executives at institutes
- Establish a 'pre-seed" fund to support promising projects based on Technical Audit and monitoring reports

Public Outreach
- Prepare booklet (perhaps online as well) on main cooperative parnter grant organizations for recipient scientists (e.g., TACIS, CRDF, etc.)

STCU Internal Processes
- Improved Inter-team communications
- General STCU Manual and Procedures Training for PMs (including restart of "Happy Faces" meetings; also include training in the field)
- Hire Customs Officer for UZ and Georgia
- Create "Conferences Team" for handling cross-department issues in conference org.
- Revised VAT exemption process
- STCU's own lawyer (?)
- Revise "tender thresholds" by twice in "Awarding of Contracts"

Common Themes

- Streamline Approval Process

  1. Eliminate steps/signatures in STCU proposal/project processing
     - Elimination of Short Forms
     - Reduction in Required Signatures for Internal Concurrence of Project Agreements

  2. Clarify/Improve Host Government Concurrence Procedures
     - Agree on Criteria for Proposal Improvements that do not require HGC
     - Allow STCU-directed approvals of Partner Project extensions without returning to HGC

- Increase Direct Contact with Western Experts
  - Feedback on Proposal Quality
  - Inclusion of more Western Expert participation in Training

- Improve Advance Targeting/Info Gathering for International Roadshows

- Create Information Portals and other Modifications to Web Site
  - Abstracts on Proposals
  - Summaries of Projects
  - Institute Profiles

- More Training
  - Advanced IPR, Technology Transfer, Entrepreneurship, Marketing/Business Techniques for Scientists
  - Procurement/Project Procedures Training (especially in-the-field training)
  - Public Outreach/Presentation training at the Institute level

New Ideas

- Creating of New STCU Activities

    1. Sustainability Support Program (for targeted institutes)
    – Business Development Plan fund
    – Pre-Seed Fund for Promising Technologies

    2. Equipment "**technopark**" **?**

- Require Patents/Licensing Plans in Patent Support Application

- Modify Model Project Agreement
    – "Fair Compensation"
    – Patent/Licensing Plans
    – Financial Table Modifications?

- STCU Direct Assistance to Institutes
    – To develop and train tech. transfer offices and staff
    – To act as broker when technical units are not capable of interacting with external customers

Final Recommendations

FOCUS OUR EFFORT (FROM "CASTING NET WIDE" TO "PRECISION TARGETING")

– **Prioritize Towards Creating Sustainable In Research Groupings (Technical Units – 'TUs', Institutes, Consortiums)**
  • Develop Internal Evaluation Process to Prioritize Institutes/TUs for further Sustainability Focus
  • Agree with Institutes/TUs on Cooperative Efforts to Develop Tech Transfer Capability

– **Shift Program Approach Toward "Capacity Building" in Selected Institutes/Technical Units**
  • Target Training, Internships for Selected Institute/TU Leaders to Develop Tech Transfer Capability within Research Groupings
  • Create Targeted "Seed" Programs to Nurture Promising Technologies to Market, (Business Planning/Development Funds, "Pre-Seed" Technology Development Funds)

    – *New Funding or Funds from Projects at a Institute/TU…i.e., Project-Specific "Seeding"?*

– **Monitor Efforts to Exploit Results of Projects after Project Completion**
  • Enter into Tech. Transfer Relationships with Local Organizations that have a Mandate to Transfer Technology (NAUKA in Ukraine, AITT in Moldova, etc.)
  • Require Patent Support Applications to include Specific Plans (to include Monitoring by STCU) for Exploiting the Invention

– **Develop S&T Strengths of Recipient Countries within Specific Research/Technology Areas**
  • Shift Regular Project Funding Towards R&D Market Interests (Expressed by Partners, Marketing Studies, Other Info. Sources)
  • Seek More "Jointly Funded" Targeted Research Initiatives with National-level S&T Agencies to Promote R&D "critical masses"

Final Recommendations

COMMUNICATE MORE EFFECTIVELY

– **Reorganize STCU Web Site to Improve "Customer Friendliness" and for New Information on S&T Opportunities in Recipient Countries**
  - Promising Proposals/Project Abstracts
  - Institute Competency Profiles
  - Research Grant Opportunities for Recipient Scientists
  - Grouping Documents Together More Effectively (Particularly for Partner Program Documents)

– **Increase Interaction with Western Experts, Collaborators, Partner Organizations**
  - Proposal Quality Feedback from Western Peer Reviews
  - Input from Western experts on S&T "state of the art" and Technology Market Needs
  - Selected Use of Specific Western Trainers for Specialized Training Events (and Record these Trainers for use in Standard Training Modules)

Final Recommendations

IMPROVE OUR PRODUCTIVITY

- **Streamline Internal Approval Processes (Eliminate Short Form Proposals, Reduce Number of Signatures on Internal Documents)**

- **Clarify Guidelines and Criteria for post-Host Government Concurrence Improvements to Proposals or Project Modifications**

- **Modify Model Project Agreement to Reflect New Requirements for Following-Up on Results Exploitation, Financial Auditor Recommendations**

- **Make Better Use of Regional Offices and Project Monitoring Trips to Conduct Standard Training of Project Managers and Institute Personnel (STCU Procurement Procedures, STCU Project Implementation Procedures, Base Module Training in Grant-Writing, IPR, etc.)**

- **More Advance Planning/Preparation for Travel/Training Grant Recipients, and More Effective Feedback from Them (esp. Groups We Target for Tradeshows, Partner Promotion Roadshows, and Matchmaking Opportunities)**