

# Technology Transfer

## Annual Report Fiscal Year 2007

(July 1, 2006 -  
June 30, 2007)





CONTENTS



Letter from the Directors	3
The Year's Highlights	4
Technology Commercialization Process	5
Sponsored Research	5
Technology Transfer Data	9
Economic Impact & Outreach	13

## LETTER FROM THE DIRECTORS

Dear Colleagues:

The Office of Technology Transfer and the Office of Research and Project Administration take our collective role as the caretakers of the University's intellectual property assets very seriously. To ensure we are living up to the motto of the University - Meliora - Always Better, we have opened our office processes to review and feedback. In 2006, a steering committee was convened comprised of members of the University's senior leadership. Its charge was to review the University's technology transfer structure, operations, and policies with a view to recommending ways we could improve. The committee met over the course of ten months and, during its tenure, benchmarked us against our peers, spoke with representatives from the venture capital and business community and interviewed and surveyed our own faculty. The major recommendations included:

1. **A renewed focus on core technology transfer services.** The Office of Technology Transfer must continually ensure that the core services of mining and reviewing invention disclosures, patenting commercially interesting inventions and licensing technologies are performed as efficiently, effectively and economically as possible. These core services are the foundation of the technology commercialization process at the University. We need to ensure that these core services are not diluted by other, sometimes competing, tasks and objectives. Related services such as negotiating material transfer agreements and industry sponsored research agreements, building corporate alliances and nurturing start-ups should be resourced and managed so that the core services are not compromised.
2. **A focus on the appropriate reporting data, performance measurements and metrics.** Until recently, most technology transfer offices at research universities used the Association of University Technology Managers (AUTM) Annual Survey as the primary source of quantitative data to report. This survey collects yearly information on the number of patents filed and issued, the number of licenses executed, patent expenses and royalty revenue. While this data is helpful for benchmarking purposes, it is not necessarily an indication of the performance of a technology transfer office. We continue to work to find effective ways to measure how we optimize the number of technologies that are transferred outside the University for commercial use.
3. **Continued work with the business community to find ways to encourage more companies to champion our promising, yet nascent, technologies.** The critical step in the technology transfer process is finding ways to encourage the business community to take our unproven but promising innovations for development into products that will benefit society. This encouragement can take the form of creative licensing terms, internal investment in technologies to mature them a bit more, partnering with other universities to bundle related technologies for marketing and showcasing our promising technologies to potential industry partners. We must keep looking for new ways to foster and encourage industry.

This report shows the results achieved in Fiscal Year 2007 of instituting the recommendations set forth above. Our Offices are proud of our commitment to commercializing the University of Rochester's research and in the resulting contributions that help build a stronger university and community.

Sincerely,

Gail M. Norris  
Director  
River Campus

Marjorie D. Hunter  
Associate Vice President  
URMC

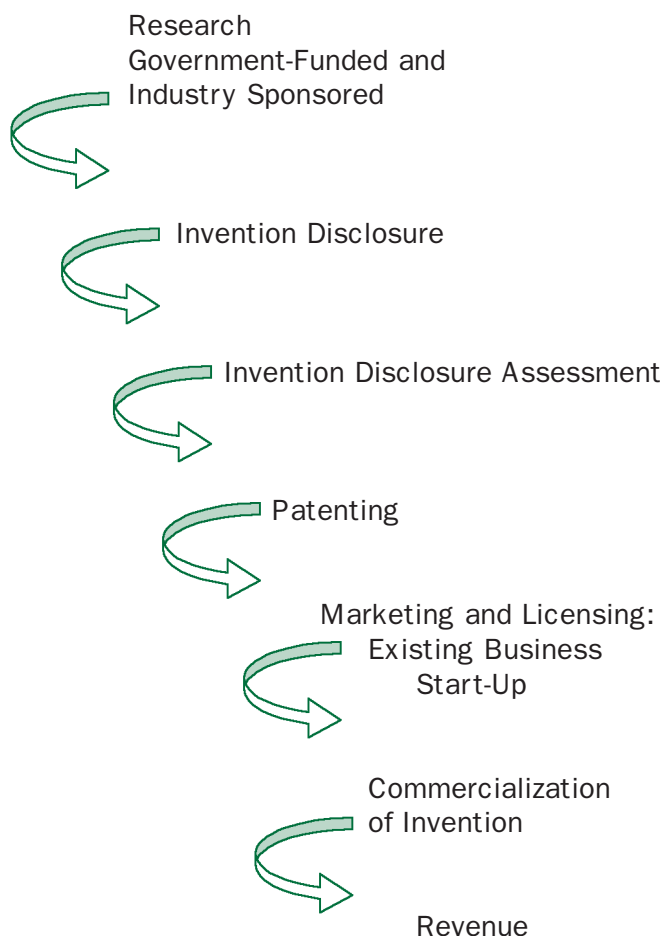
Gunta Lidars  
Associate Vice President for  
Research Administration

# THE YEAR'S HIGHLIGHTS

- **In Research Funding.** Federal funding for our research increased for Fiscal Year 2007. In a year in which most government funding agencies had flat budgets, we are pleased with this increase and see it as positive news that our pipeline of technologies will continue to be productive. Our continued success in research funding reflects the cumulative impact of the investment the University has been making in research for over a decade.
- **In Development of Nascent Technologies.** On the heels of the University of Rochester Medical Center's Clinical and Translational Science Award, research support has been given to over a dozen promising proof-of-concept studies that focus on moving laboratory findings to clinical application.
- **In New Inventions.** New and promising inventions were disclosed in diverse scientific areas. For instance, we received invention disclosures in the areas of optical imaging, stent technology, cancer diagnostics, lymphoma treatment, orthopedic implants and therapies for the treatment for lung injuries.
- **In Finding Partners for our Promising Technologies.** At the end of Fiscal Year 2007, the University held 445 US and foreign patents and over half are under license to commercial entities, and of the University's 251 US patents, 34% are licensed. The University has over 90 active licenses for our technologies.
- **In Generating Revenue for Continued Research.** Royalty revenues exceeded \$50 million for FY 2007, again placing the University in the top ten Universities in the nation in royalty revenue generation.
- **In Economic Development.** The University's technologies were the catalyst for the creation of two new start-up companies for FY 2007. In addition, we continued to work on building the necessary resources and infrastructure in the community to allow the technologies created at the University to be launched into new commercial entities. The University will continue to work with regional and national venture capitalists, angels and entrepreneurs to optimize the transfer of our technologies for public benefit.

# THE TECHNOLOGY COMMERCIALIZATION PROCESS

Results for FY 2007 are organized in the order they appear in the technology commercialization process.

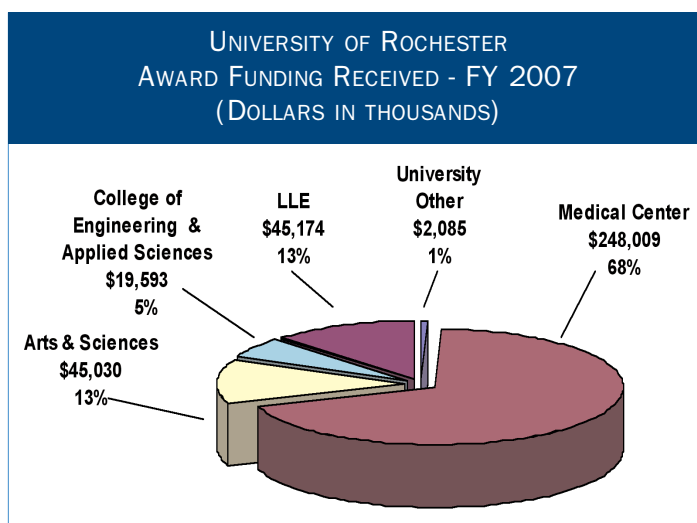


## SPONSORED RESEARCH

The principles and practices of research extend beyond the sciences and engineering to every academic undertaking of the University, including the humanities, social sciences, arts, education, and business. All of these research endeavors, relying on various internal and external sources of sponsorship, contribute significantly to Rochester's standing as a national research university.

In 2006-2007, the University received almost \$360 million in grants and contracts to advance its mission in research and other sponsored activities. At 158 years of age, the University is both more focused and more diversified in its research than ever before, and shows every promise of delivering the next generation of science and scientists.

This strong foundation of research funding has fueled the steady growth in invention disclosures and a pool of intellectual property that can be tapped for commercialization purposes.



- For the University as a whole, the dollar value of awards totaled almost \$360 million, up \$8.8 million over FY 2006. Given the decrease in federal appropriations to fund basic research, increased award receipt continues to reflect positively on the University.

- Award dollars in the Medical Center were up by over \$11 million. This increase is significant, considering the flattening of the NIH and other agency budgets in recent years. NIH is the largest single source of funds for university research and for the Medical Center. Three departments within the Medical Center especially contributed to this notable rise in funding. Funding for the Department of Obstetrics and Gynecology increased substantially, fueled by a \$5.8 million NIH grant to establish the Clinical and Translational Science Institute, one of only 12 such grants awarded nationwide in FY 2007. The Department of Neurosurgery and the Department of Immunology and Rheumatology also experienced large increases.

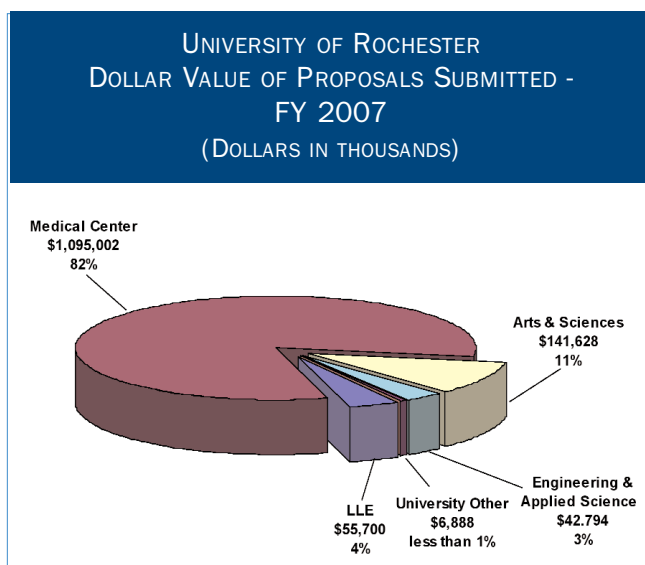
- The College of Arts and Sciences experienced a \$13.4 million increase in award funding, driven by a \$1.8 million NASA equipment grant for optics research as part of a \$2.6 million increase in the College Dean's Office and a \$6 million U.S. Department of Education grant to the Department of Clinical and Social Psychology.

- Elsewhere within the College, the School of Engineering and Applied Sciences (excluding LLE) had an increase in award dollars of \$3.7 million. The majority of this increase was generated by two large New York State awards in the area of electronic imaging.

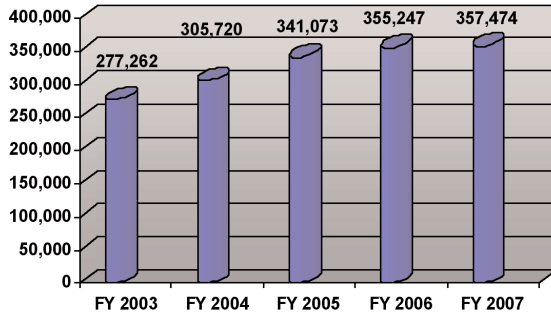
- Within the Other Schools and Divisions category, both the Memorial Art Gallery and the Eastman School of Music experienced a slight increase in funding, while the Simon School of Business and the Warner School of Education and Human Development experienced a slight decrease.

- Overall, 1,900 total awards received funding during FY 2007, representing 828 Principal Investigators.

Additional information is available at [www.rochester.edu/ORPA/AnnualReport/index.html](http://www.rochester.edu/ORPA/AnnualReport/index.html).



**SPONSORED PROGRAM EXPENDITURES  
BY FISCAL YEAR  
TOTAL UNIVERSITY  
(DOLLARS IN THOUSANDS)**



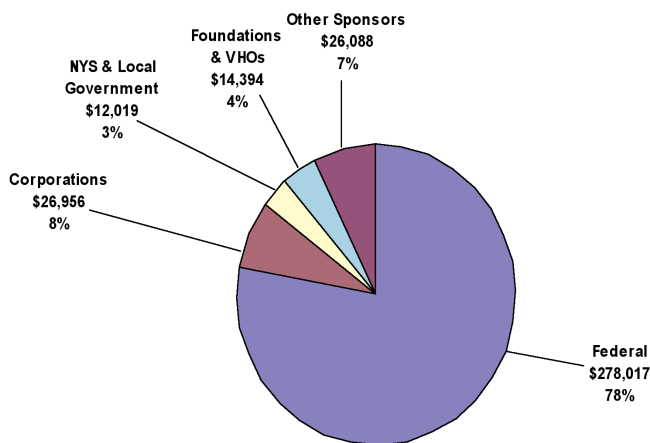
**SPONSORED PROGRAM EXPENDITURES  
BY AGENCY TYPE  
(DOLLARS IN THOUSANDS)**

Agency Type	FY 2007
Federal	\$278,017
Corporations	26,956
NYS & Local Government	12,019
Foundations & Voluntary Health Organizations	14,394
Other Sponsors	26,088
<b>TOTAL</b>	<b>\$357,474</b>

- As shown by the chart above, expenditures rose by 1 percent from FY 2006. In FY 2007, expenditures exceeded \$357 million. The flattening of the federal research budget in recent years has affected and will continue to affect future expenditure figures.

- Corporate funded expenditures decreased by \$2.5 million.
- New York State and Local Government expenditures remained the same as FY 2006.
- Expenditures in the “Other Sponsors” category also remained the same as FY 2006. This category includes expenditures from research sub awards or sub contracts received from other collaborating institutions, primarily other schools and colleges.

**EXPENDITURES BY AGENCY TYPE – FY 2007  
TOTAL UNIVERSITY  
(DOLLARS IN THOUSANDS)**



**TOTAL FEDERAL EXPENDITURES  
BY AGENCY - FY 2007  
(DOLLARS IN THOUSANDS)**

Federal Agency	FY 2007
Public Health Service (includes NIH)	\$171,736
Department of Energy	73,277
National Science Foundation	10,224
Department of Defense	10,024
Department of Education	7,793
National Aeronautics and Space Admin.	2,152
National Endowment for the Arts/Humanities	61
Other Sponsors	2,750
<b>TOTAL</b>	<b>\$278,017</b>



- Award expenditures under Public Health Service grants and contracts, which include the National Institutes of Health, increased by \$3.2 million. When compared to the almost flat NIH budget for FY 2007 this increase is notable. NIH is the University's largest source of sponsored research support.
- Expenditures for National Science Foundation grants remained flat.
- Department of Defense award expenditures also remained flat.
- Department of Energy award expenditures decreased by \$7 million, primarily due to the fact that the major capital acquisitions for the DOE-funded Omega-EP fusion laser housed at the Laboratory for Laser Energetics occurred in previous fiscal years.
- Sponsored program expenditures from National Aeronautics and Space Administration awards saw an increase of \$1.6 million.

Sponsored research is only part of the picture. The University invests 25 cents for every dollar sponsors invest in research. The University's investment comes from its own operating funds and, on top of that, spends gifts and endowment on research as well.

## OVERVIEW OF MATERIAL TRANSFER AGREEMENTS ACTIVITY

During Fiscal Year 2007, the administration of Material Transfer Agreements (MTAs) was moved from the Office of Technology Transfer to the Office of Research and Project Administration.

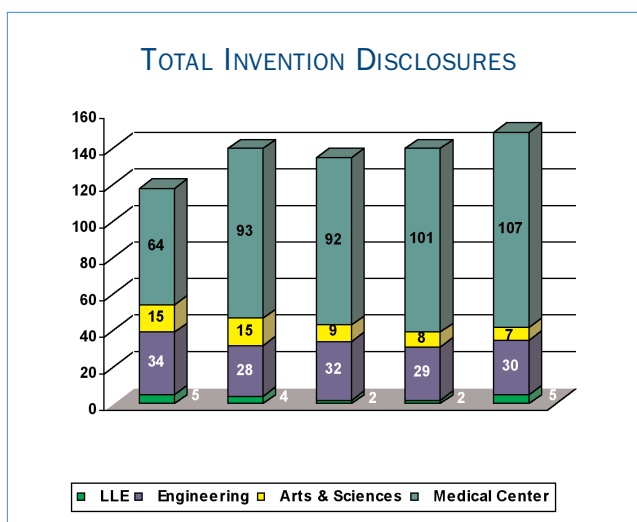
As a general definition, a Material Transfer Agreement (hereinafter MTA) is a contract executed between two entities which outlines the rights and responsibilities of each party that arise due to the transfer of materials for research purposes from one party to the other. The MTA will dictate how the materials and the results from using the materials can be used, along with other significant terms, conditions and obligations. Typically, there is a minimal to no fee associated with such a transfer. In April 2007, pursuant to a recommendations of the technology transfer steering committee as noted on page 3, the responsibility of MTA review and negotiation transferred from the Offices of Technology Transfer (both Medical Center and River Campus) to the Office of Research and Project Administration. Two new MTA administrators were also hired pursuant to the report generated by the committee.

In FY 2007, roughly 25 percent of all requests for material transfers were with industry; the remaining 75 percent were with various non-profit entities. A total of 328 requests for transfers were received and 262 agreements were executed during this time period.



## TECHNOLOGY TRANSFER DATA

**DISCLOSURES** The Office of Technology Transfer continues to receive a steady stream of invention disclosures from throughout the University. The trend shows steady growth at an increase of about 5% each year. This is a good reflection of the entrepreneurial culture of the research scientists and the effectiveness of the Technology Transfer Office's outreach programs.

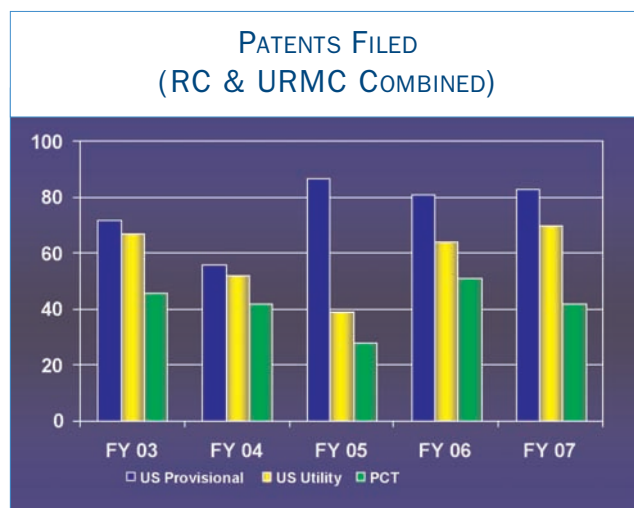


The Office of Technology Transfer's faculty and researcher outreach and education programs will continue to foster invention disclosures and involve researchers in the technology commercialization process.

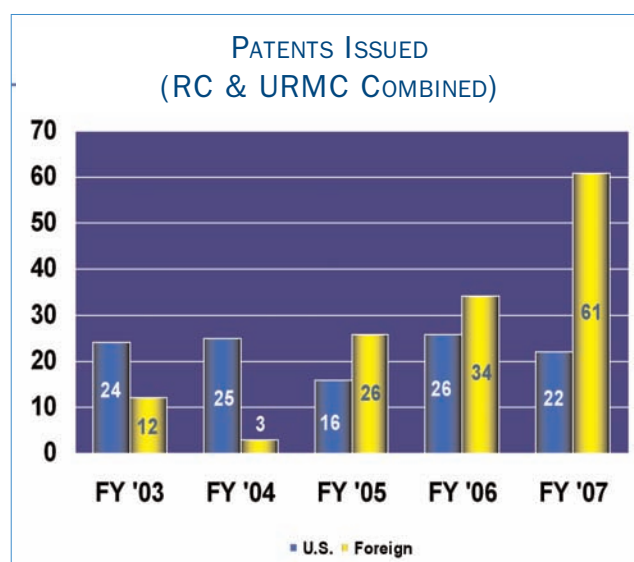
## PATENTS AND PATENT EXPENSES

Despite the growth of new invention disclosures, total U.S. provisional, U.S. utility, and PCT patent applications have remained steady for the past five years. This trend is the result of two overlapping factors. First, the Office of Technology Transfer has adopted a more disciplined approach to technology and commercialization assessment to ensure that the patents we obtain can be marketed or otherwise made available for licensing in a responsible fashion. Secondly, costs are rising. Both legal fees for the outside lawyers who assist in the preparation and prosecution of patent applications, and the filing fees at the government patent offices around the

world, are increasing. As a result, we continue to challenge ourselves to make better patenting decisions and prosecute patents more efficiently so that we can stay within reasonable expense budgets.

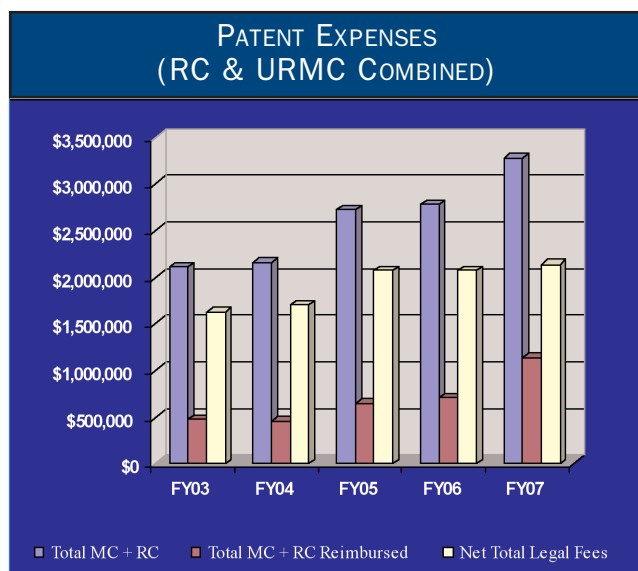


We continue to file patents on between 50 and 60 percent of invention disclosures, maintaining a healthy pipeline.



Patents continue to issue on filed applications. Although not evident in the above graph, we note a slowing of the patent prosecution field, time to issuance is approaching an average of five years.

The graph below shows the increased total patenting expenses but also shows the portion of our patenting expenses that is being reimbursed by our licensees. Our reimbursements are increasing at a steeper rate than our patenting cost, resulting in a containment of our net patenting expenses.



## LICENSING

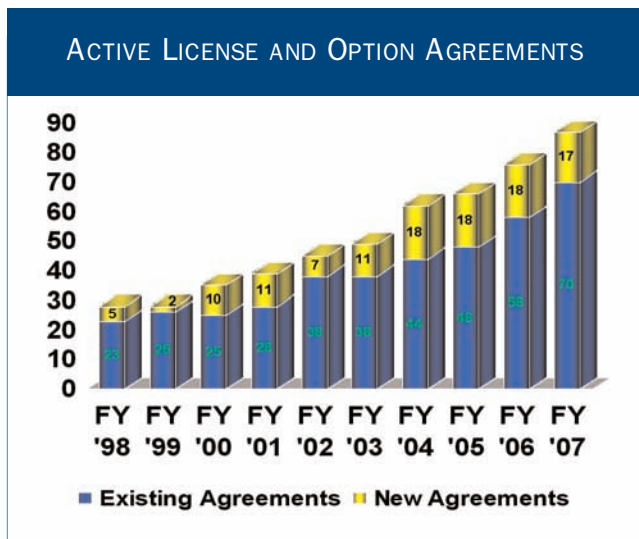
Licensing the patents that result from our research for commercial use is at the heart of technology transfer. Patents that do not have claims that indicate a clear path to a profit-making use may not have commercial value, even though the scientific discovery behind the patent may be important. A good scientific discovery and a good development opportunity for a commercial product can be two different things. Moreover, many inventions which appear to offer a commercial advantage to what is presently in the marketplace are still at such an early stage that we cannot find an industry partner who can afford to take the risk in the development of the invention.

For example, technology of potential significant value is being developed in the research laboratories of Dr. Chawnshang Chang, a Professor in the Department of Pathology and Laboratory Medicine. Dr. Chang's research is centered on the characteristics of the androgen receptor and its application in targeted treatment strategies for a broad range of cancers including prostate, liver and bladder. Licensing professionals in our Technology Transfer Office continue to look for corporate partners who can continue the research and development of this technology.

The research conducted by Dr. Stephanos Kyrkanides is another example of a novel scientific discovery with potentially valuable commercial applications. Dr. Kyrkanides and his colleagues have developed technologies that can be used in the treatment of bone disorders and other diseases that are exacerbated or otherwise affected by inflammation. The therapeutic application of these technologies can help patients with many forms of arthritis and those with peripheral pain disorders. We are continuing to market this suite of technologies and are also exploring licensing them into a possible start-up entity.

We also have connected with corporate partners who have the vision and foresight to take a risk on our early technologies. Some examples include the licensing of adaptive optics technologies that enable high resolution retinal imaging and significantly improved custom refractive surgery.

The University has almost 90 active license and option agreements in its portfolio. The Office of Technology Transfer continues to marshal its resources to ensure that these agreements are monitored for compliance and that appropriate royalties are collected and distributed in accordance with our royalty sharing policies.



Of the University's total portfolio of 251 US Utility patents, 34% are licensed. In addition to US patents, the University also holds 194 foreign patents on the strongest of our technologies. Of these foreign patents, 73% are licensed. The University holds a total of 445 US and foreign patents. Over half are licensed to commercial firms.

## THE UNIVERSITY'S PORTFOLIO

The total portfolio consists of 750 technologies at some stage of our overall process, from the newest inventions just being reviewed for commercial value to the older technologies already licensed.

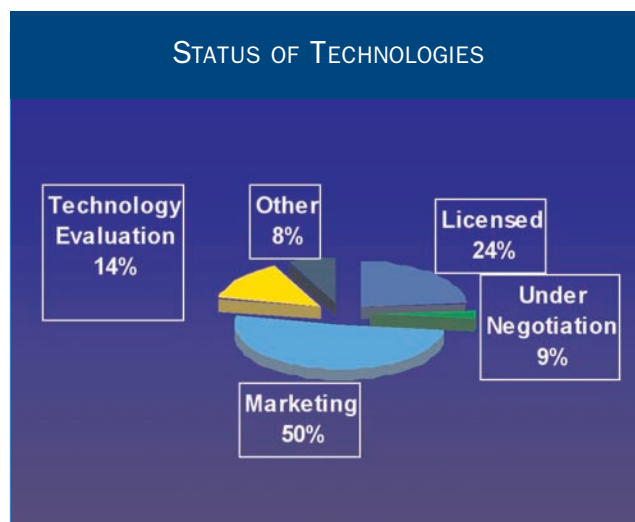
Technology transfer involves evaluation of a technology's commercial prospects, marketing and license negotiation.

The technology **evaluation** stage includes the work of business evaluation and also the time when the technology is being developed in the laboratory to a point of readiness for marketing. In the evaluation process, some invention disclosures are combined with other cases for patenting and marketing purposes, but we keep track of those cases in our portfolio in an "other" category.

The **marketing** process includes "push" marketing with active presentations of the technology to potential licensees, "pull" marketing through press releases and advertising on the web site, and inter-institutional collaborations in which our technology is marketed by another university, often in combination with an invention from the partner institution.

A **license negotiation** is often a protracted process in which the potential licensee does its due diligence on the technical concept; and the business and legal terms of the license are discussed. In some of these situations the potential licensee pays for an option to the technology to hold it during this period of assessment and while it is under negotiation.

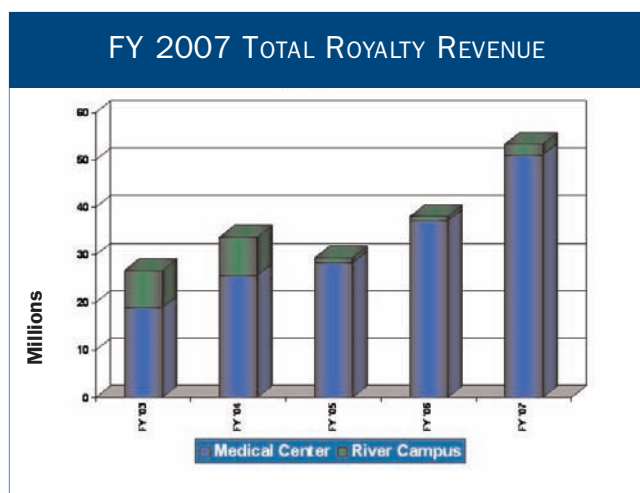
Of our entire portfolio of all actively considered inventions, at all stages of the process, 24% are licensed.



## ROYALTIES

Technologies developed at the University of Rochester are among the most productive in the nation. For the past six years, the University has been among the top ten institutions in the nation in terms of the amount of royalty revenue it receives from its licensed technologies, according to the Association of University Technology Managers (AUTM). Although we are highly successful in revenue generation, we view the royalties we receive as one indication of the public utility of our technologies. However, we do not believe that revenue generation should be a leading metric of the success of the technology transfer function at our University. For instance, the number of technologies disseminated for public use is an important indicator for a research university.

Royalty revenue exceeded \$50 million for FY 2007 which will keep the University of Rochester among the top 10 universities nationally for royalty income.



For FY 2006, the University ranked 9th among all universities in royalty income.

### 2006 AUTM SURVEY OF UNIVERSITY TECHNOLOGY TRANSFER

#### The Top Ten in Licensing Revenues (\$M)

- University of California system 195.5
- New York University 157.4
- Stanford 61.3
- Wake Forest University 60.6
- U of Minnesota 56.2
- MIT 43.5
- University of Florida 42.9
- U of Wisconsin, Madison 42.4
- **University of Rochester 38.0**
- University of Washington 36.2

\* Table represents the most recent data available (2006) from the annual AUTM database

The University is first in the nation in terms of royalties earned per dollar of research expenditures (excluding Emory University's one-time \$540 million royalty monetization).

### LICENSING REVENUE RELATIVE TO RESEARCH EXPENDITURES (FY '04 THROUGH FY '06)

University	FY 2004-2006 Research Exp.	FY 2004-2006 License Income	% Income of Research Dollars
Emory*	1,037,524,353	616,315,695	59.4%
U of R	1,002,086,433	102,223,507	10.2%
Case Western	807,802,751	30,178,340	3.7%
Harvard	1,837,899,100	56,576,028	3.1%
MIT	3,372,800,000	99,742,085	3.0%
Wash U.	1,440,849,000	32,819,861	2.3%
Carnegie Mellon	696,050,000	15,663,903	2.3%
U. Chicago	1,091,527,000	24,498,287	2.2%
Vanderbilt	1,090,184,842	17,545,386	1.6%
Penn	1,967,419,046	24,198,631	1.2%
Pitt	1,763,110,000	17,907,190	1.0%
Cornell	1,704,361,000	17,052,700	1.0%
Dartmouth	535,854,517	4,860,327	0.9%
Duke	1,592,049,606	11,503,760	0.7%
Johns Hopkins	5,026,220,923	32,011,966	0.6%
USC	1,283,862,000	7,728,420	0.6%

# Economic Impact and Outreach

## HARNESSING TECHNOLOGY COMMERCIALIZATION FOR ECONOMIC GROWTH

For the past several years, the bulk of the University of Rochester's revenue stream has been comprised of a handful of very successful technologies. These include technologies such as the vaccine against haemophilus influenza type b that has virtually wiped out a leading cause of meningitis in preschoolers and another vaccine that uses the same technology to prevent infection by pneumococcal bacteria, which causes meningitis, ear infections, pneumonia, and other maladies. It also includes the Blue Noise Mask technology that is used by virtually every printer manufacturer in the world.

While the patents - and license agreements - on many of these technologies have or will expire in the next few years, new University of Rochester-based technologies are coming to the market, and revenue streams from these agreements should keep the University among the nation's leaders for the next several years. Royalty revenue for FY 2007 exceeded \$50 million and is projected to surpass \$60 million for FY 2008.

One of the more prominent new technologies is the cervical cancer vaccine that was approved by the Food and Drug Administration in 2006 and is being marketed by Merck under the name Gardasil®. Another version of the same vaccine developed by GlaxoSmithKline is also entering the market. Other technologies include a new drug formulation for hot flashes that is in the final stages of development by Pfizer and the licensing of a portfolio of patents to major manufacturers for adaptive optics in laser refractive surgery.

The University of Rochester has a strong history in translating its research into new products and services. As has been noted, many of these technologies have a global reach. The University encourages the advancement of scientists' discoveries through programs designed to harness research for regional economic development. University-based consortia, such as the Center for Electronic Imaging Systems, the Center for Future Health, the Microelectronics Design Center, the Industrial Associates Program at the Institute of Optics and the Center for Institute Ventures are specifically designed to help bring University scientists and business leaders into collaboration.

Many University-based discoveries form the basis of new technology companies. The University of Rochester creates an average of 3-5 start-up companies per year, most of which remain in Rochester and contribute the region's growing high technology sectors. There are currently more than 30 companies located in the region that are based, in whole or in part, on University of Rochester technologies.

In the last year, the University has made significant investments in assembling the infrastructure necessary so that once technology "leaves" a local university in the form of a license or a start-up company it can grow and thrive. In July, the University opened the door on the Rochester BioVenture Center, the region's first biotechnology incubator. The facility - which consists of a former Wyeth building on Ridgeland Road in Henrietta that was converted into 40,000 square feet of office and laboratory space - provides early stage companies access to cost-effective lab and office space, shared administrative resources, production and storage areas, and specialized equipment.



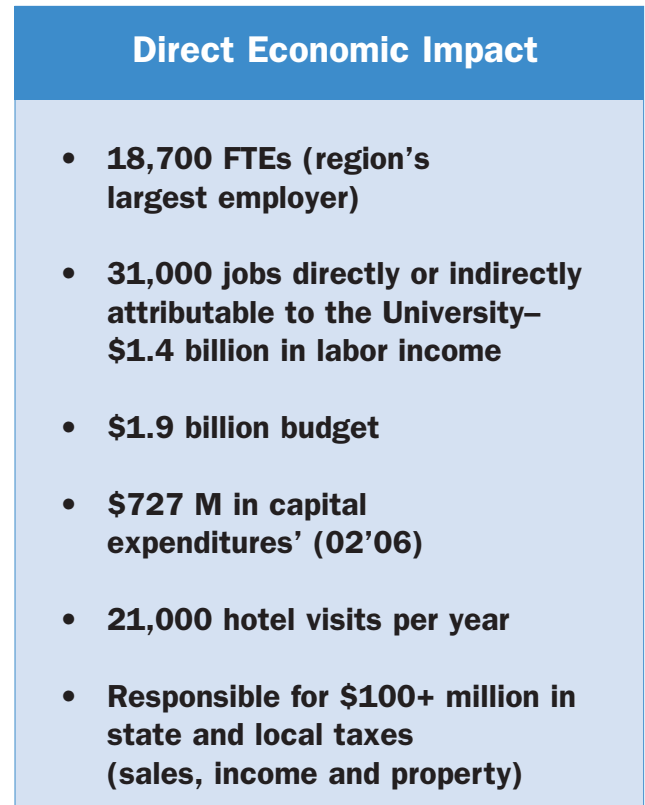
The Office of Technology Transfer works closely with High Technology Rochester, a community-based incubator, and with Excell Partners, a regional pre-seed and seed investment fund, in assisting new company formation. The collaborative relationship among these partners in regional development is a strong asset to the University.

The Office of Technology Transfer also works with the University's Kauffman Foundation-sponsored Center for Entrepreneurship, which encourages and fosters entrepreneurship skills in students at the university and with the Simon School of Business at the University in their courses on technology-based entrepreneurship.

This panoply of services places the University of Rochester in the vanguard of institutions nationwide in terms of our efforts to harness and accelerate the commercialization of university research. The University has essentially created a system for nurturing early stage technology companies that will benefit our researchers and the region's most innovative companies.

The University is also in the beginning stages of creating a Technology Development Fund that can be used to invest in further research on promising technologies to make them more attractive to a potential licensee. While we have many components for successful commercialization of many of our technologies, such as a wealth of promising technologies and capable technology transfer professionals, there is a shortage of funding needed to move technologies further down the "research" process and closer to the product "development process". The Technology Development Fund will be an exciting addition to our toolkit to commercialize technologies and we look forward to the launch of this fund in the near future.

The University's impact in the community is summarized in the following chart:



## START UP ACTIVITY

Two new companies were formed in FY 2007 based on University technologies.

### **SIMPORE, INC.**

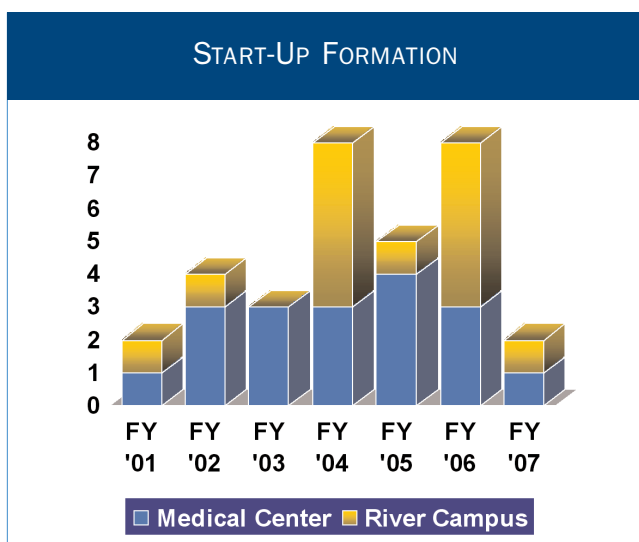
[www.simpore.com](http://www.simpore.com)

SimPore is commercializing silicon membrane technology developed by materials scientists in the University of Rochester's Electrical and Computer Engineering department in collaboration with biomedical engineers from the Biomedical Engineering department. The ultra-thin porous silicon membranes enable precise and efficient separation and purification of biomolecules and other nano-sized particles and have application in such areas as biomedical research, protein separation, biopharmaceutical processing, nanotechnology development and hemodialysis.

## THE VACCINES COMPANY

[www.thevaccinescompany.com](http://www.thevaccinescompany.com)

The Vaccines Company employs an amplicon technology platform that uses a virus to deliver amplicons containing genetic information to specific targets in order to generate an immune response or disease-modifying protein. The company, which is based in Vancouver, British Columbia, is developing the technology for conditions such as Alzheimer's disease, prostate cancer, and HIV.



It is anticipated that this trend will continue in 2008 with another 3-5 companies to be incubated and started from University intellectual property. Potential start-up technologies include: therapeutic vaccines for leukemia and Alzheimer's disease; compounds for the treatment of heart failure, hypertension, inflammation and pain; visual retraining software; and radiosurgery technology.

## Faculty Education and Marketing

The office continued its highly successful F.I.R.E. (For Inventors, Researchers, and Entrepreneurs) educational series, holding session on venture capital, consulting agreements, SBIR/STTR funding, material transfer agreements, and other topics.

In 2007, the office continues to play an active role in Simon Graduate School of Business entrepreneurship programs, and OTT staff teach courses in the Technology Transfer and the Technology Commercialization programs.

The Office of Technology Transfer also actively markets University technologies through its participation in trade shows such as the Biotech Industry Organization's international conference and other venues.

University technologists, entrepreneurs from High Technology Rochester and venture capital experts from Excell Partners and other local business professionals collaborate on annual events, including UNYTECH/SmartStart venture forum, the Rochester Pre-Seed Workshop and various business plan contests. Our involvement with these events helps us network in our community and educate and mentor budding entrepreneurs.

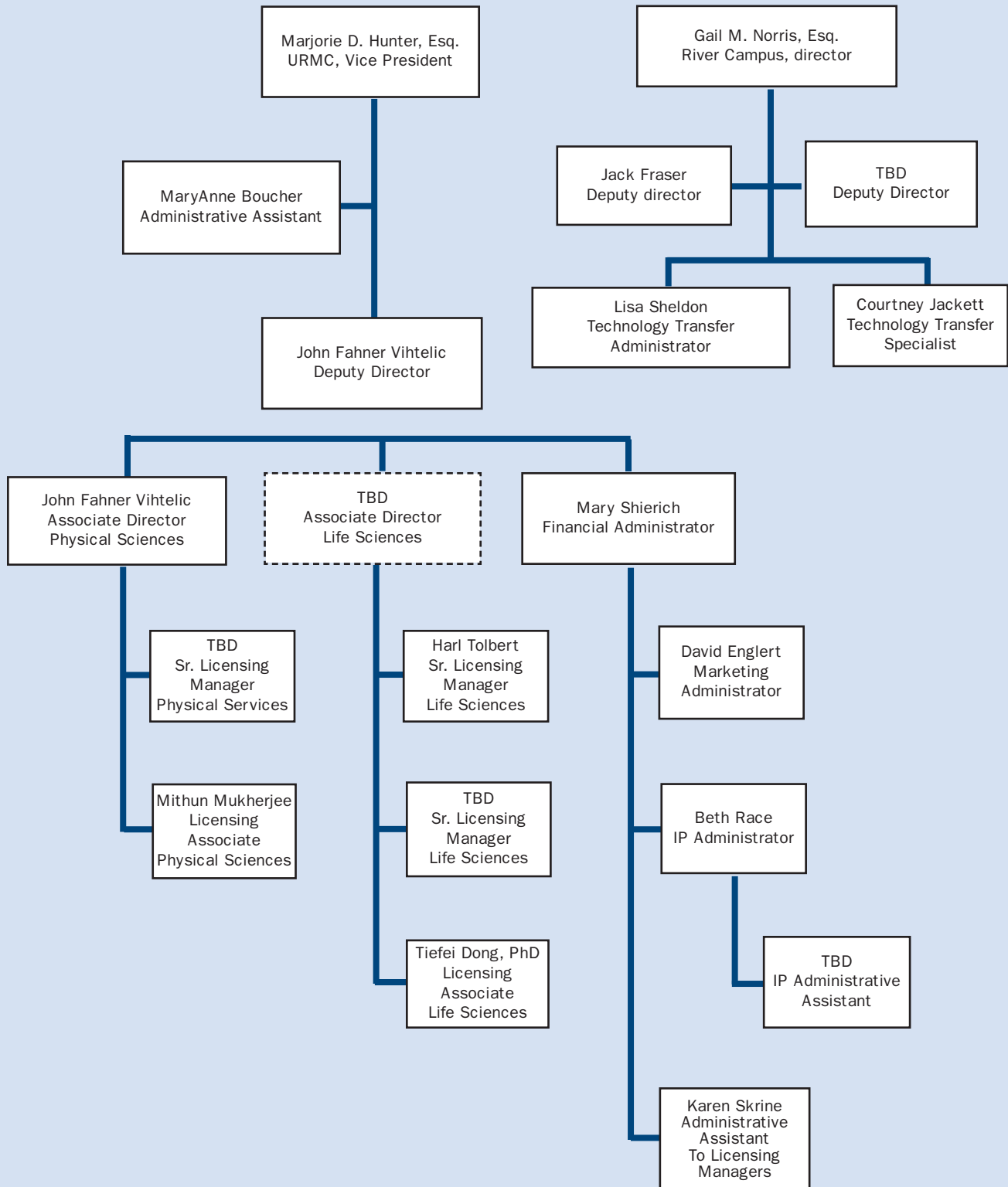
The University is working with other upstate New York universities through UNYTECH/SmartStart to obtain venture capital funding for university startup companies and to promote university technologies ready for company formation. The office has plans to be more active in Internet marketing and is preparing a joint database so that it can collectively list available technologies on the technology marketing web site iBridge, which is being organized by the Kauffman Foundation.

The offices have also been working with the newly-formed New York Loves Bio organization ([www.nylovesbio.net](http://www.nylovesbio.net)), an initiative coordinated by the New York State Economic Development Council that was created to promote the state's bioscience sector. These efforts included assisting the organization in the creation of resources that map and catalogue the State's biotech resources.



## APPENDIX

### Proposed Staffing FY 2008



#### RIVER CAMPUS

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