Managing the Planning Grant

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http://bioenergynow.org
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Background

Center for Bioenergy Research and Development

- South Dakota School of Mines and Technology
- South Dakota State University
- Kansas State University
- State University of New York Stony Brook
- University of Hawaii
- North Carolina University

Universities Interested in Participating:
- University of Minnesota
- University of Illinois
- University of Kansas
- University of Tennessee
- University of Arizona
- Houston University
A Lighthouse in a Storm

Managing the Industry/University Cooperative Research Center

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Management Studies, Rutgers University, NJ


http://www.ncsu.edu/iucrc/PurpleBook.htm
“... creating a center tends to be action-oriented. It involves much more than writing a successful grant proposal... ...the process is closer to planning and implementing a new business start-up. As a consequence, creating a new center is best understood as a process which is articulated over time, involves a series of steps, feedback loops, and periodic follow through.”

-p 22, Walters and Gray
Essential Steps

- Initial Concept
- Multi-university Engagement
- Industry Recruitment
- Success with the Planning Grant
- Industry Buy-In
- Stumbling Blocks
- Main Proposal/Award
- Implementation
Successful Components of the Planning Grant Phase

- Constant Communication (meetings, visits, teleconference calls) with site directors
- Create Camaraderie, Excitement
- Recruitment and Communication with Member and Potential Member Industries
- Planning Grant Meeting
- Website Development
- Communication with University Administrations
Initial Website Development

- Use ‘user-friendly’ software (e.g. MS FrontPage or Oracle Dreamweaver).
- Place all pertinent information including purpose, structure, research focus areas, contact information, membership agreement, bylaws, etc., on the website.
- Constantly update the website.
- Take minutes of all meetings and place them on the website.
initially.... www.sdsmt.bioenergy.edu

later changed to .... www.bioenergynow.org
Communication with Administration(s)

“Be sure that all university and industry participants understand the I/UCRC model.”

“Obtain university administration support. (Make the Office of the President of the university aware of the undertaking.)”

-Walters and Gray, p42
Find Waldo

Waldo = the most unpredictable component.

Walters and Gray, Figure 3-1, p62
University Administration(s)

- Will university administrators support a cross-disciplinary research center?
- Will university administrators support a multi-university research center?
- Will university administrators buy in to the Intellectual Property agreement of an I/UCRC?
- Is university administration undergoing change?
- Who are the university administrators?
Who Are the University Administrators?

- President
- Provost
- Vice President of Research
- Dean(s)

- Are there differences in philosophy between administrators? **YES**
- Is administration undergoing leadership change? **YES**
- Are there any egos involved? **YES**

X 6 sites = chaos
Key Stumbling Blocks

- Knowledge of the IUCRC concept
- The Membership Agreement

from Walters and Gray, Figure 2-2, p26
Elements of the Membership Agreement

**Figure 3-5** Elements of typical center membership agreement.

- **Parties:** Specifies legal entities signing the agreement.
- **Purpose:** Simple statement of the purpose of constituting the center.
- **Participants:** Identification of other parties, like the National Science Foundation, involved in the center.
- **Membership Requirements:** Criteria organizations must meet to be considered for membership.
- **Membership Fees:** Description of the cost of membership, manner of payment and schedule of payment (full or associate membership).
- **Length and Terms of Commitment:** Number of years agreement will be in force and conditions for terminating agreement.
- **Organization and Operation:** Usually references bylaws for these details.
- **IAB Role:** General statement of the role, responsibilities and rights of IAB members (with additional details covered in bylaws).
- **Publication Policy:** Description of the procedures for reviewing publications and the circumstances and length of permissible publication delays.
- **Intellectual Property Policy:** Description of the ownership and rights to all intellectual property discovered through center research.
- **Indemnification:** Each party holds the other harmless.
- **Official Signature:** Signatures of designated representatives.

*Walters and Gray, p75*
Sample I/UCRC Membership Agreement.

Industry/University Cooperative Research Center for ________
This agreement is made this _____ day of ________, 19__
by and between
The University of __________ (hereinafter
called “UNIVERSITY”) and ____________________ (hereinafter called
“COMPANY”).
WHEREAS, the parties to this Agreement intend to join together
in a cooperative effort to support a Industry/University
Cooperative Research Center for _______________ (hereinafter
called “CENTER”) at the UNIVERSITY to maintain a mechanism
whereby the UNIVERSITY environment can be used to perform
research to ______________ _____________________.
The parties hereby agree to the following terms and conditions:
A. CENTER will be operated by certain faculty, staff and students
at the UNIVERSITY. For the first four years the CENTER
will be supported jointly by industrial firms, federal laboratories,
the National Science Foundation (NSF), the state and the
UNIVERSITY.
B. Any COMPANY, Federal Research and Development
organization,
or any Government-owned Contractor Operated laboratory
may become a sponsor of the CENTER, consistent with applicable
state and federal laws and statutes. Federal Research and.....
Our Process

- Our Agreement was copied from an existing center at SDSMT
- The Agreement was submitted to NSF in both the Planning Grant proposal and the main proposal.

Question: Do research administrators read the proposal during the sign-off process?

Answer: No.
Our (temporary) Failure

- All were clearly aware of its purpose, however we did not anticipate the level of rigor demanded by some administrators.
- A workable and sellable Agreement is not necessarily a good thing to administrators.

Intellectual property rights can be a bright red beacon in a dark night. Interestingly in our case, legal phraseology, appearance, (and egos) proved to be extremely important.
The Negotiation Process

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<th>Documents</th>
<th>Notes</th>
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<td>versions 2, 3, 4</td>
<td>minor corrections</td>
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<td>Sep ’08</td>
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<td>Oct ’08</td>
<td>versions 6, 7, 8</td>
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<td>version 11-24-08</td>
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<td>frustrating re-submittal by directors</td>
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<td>version 12-18-08</td>
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Recommended Approach

- try to work out the membership agreement before the main proposal
- expect many misunderstandings
- prepare for intense negotiation
- anticipate time element
- lightly imbibe in alcoholic beverages
- keep calm and cool
- don’t do what we did
On Our Way

- Our IAB is scheduled for January 28th, 2008 rescheduled from Dec 5th.
- We have a ‘workable’ agreement.
- We are now ‘selling’ our agreement to membership industries.

Thank you. Questions? Comments?