



# Managing the Planning Grant

---

Duane Abata, Coordinator

<http://bioenergynow.org>

January, 2009



# Background

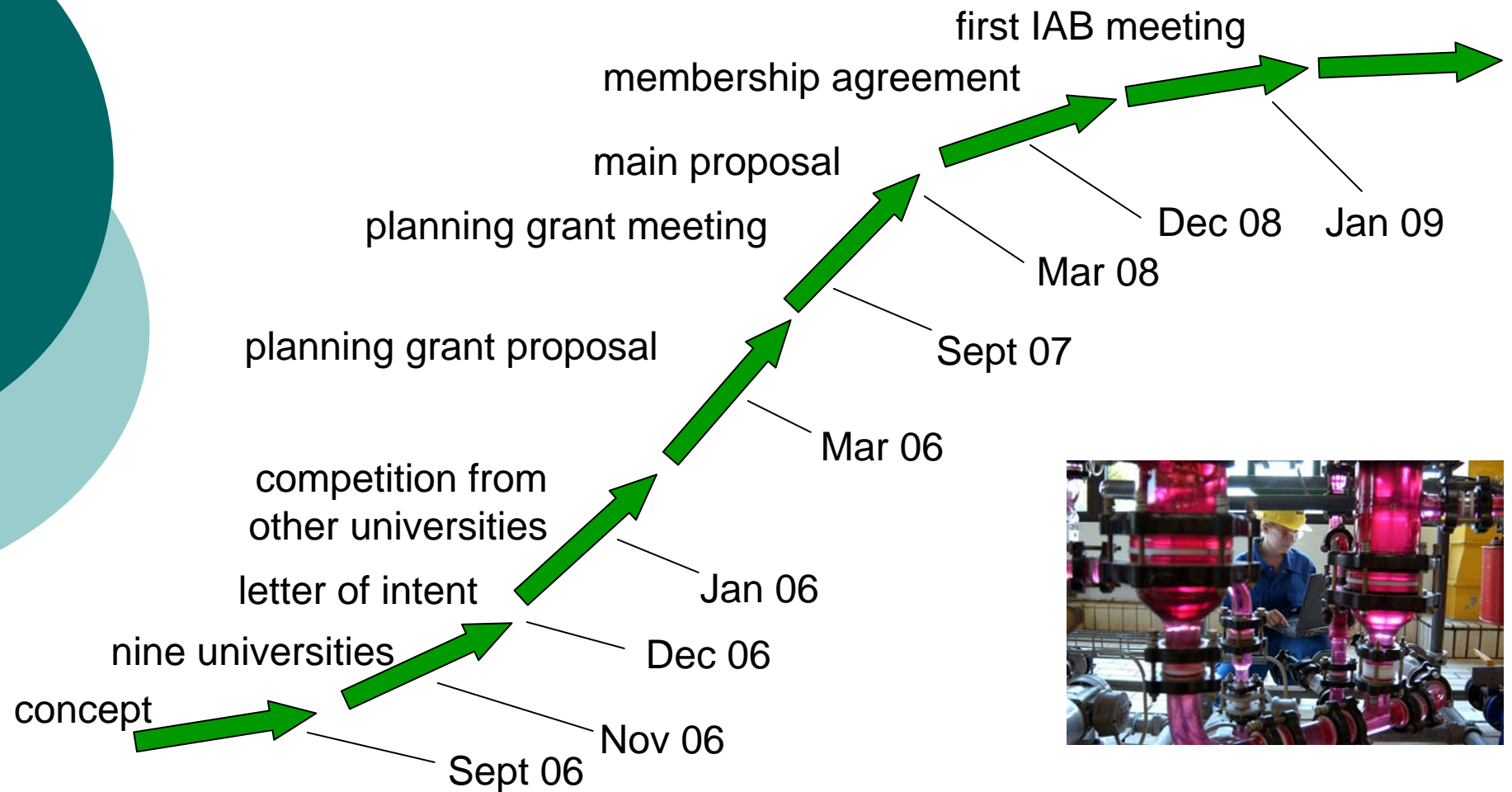
## Center for Bioenergy Research and Development

- 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

---

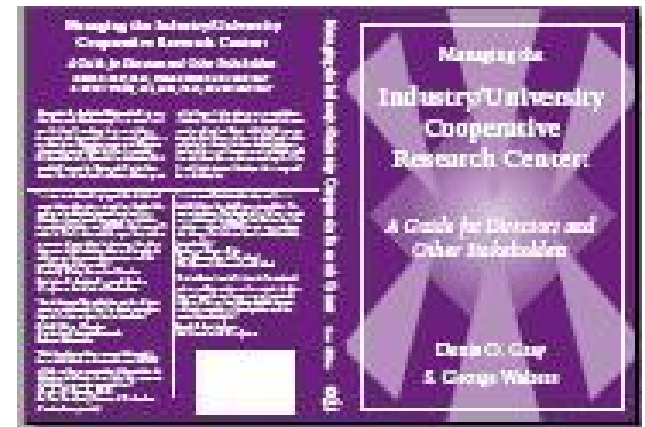
## Managing the Industry/University Cooperative Research Center

Denis O. Gray, Ph.D.  
Department of Psychology, North Carolina  
State University, NC

S. George Walters, M.S., M.B.A., Ph.D.  
Management Studies, Rutgers University, NJ

ISBN 1-57477-053-5, Battelle Press, 1998

<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.

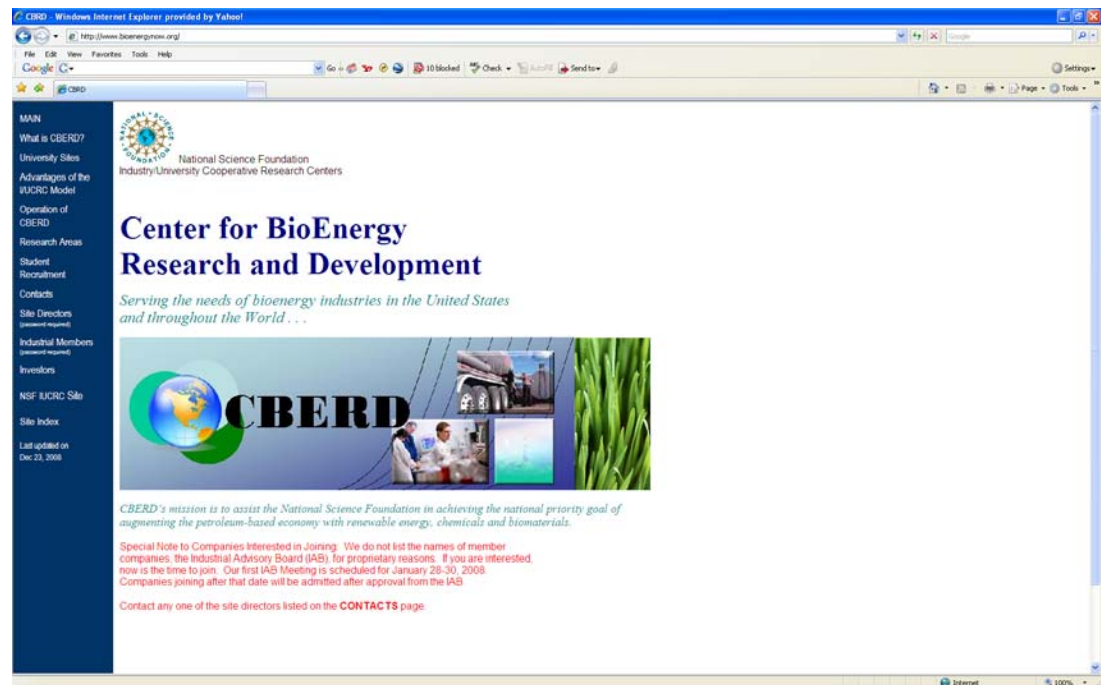




MAIN
What is CBERD?
University Sites
Advantages of the IUCRC Model
Operation of CBERD
Research Areas
Student Recruitment
Contacts
Site Directors (password required)
Industrial Members (password required)
Investors
NSF IUCRC Site
Site Index
Last updated on Dec 23, 2008

initially.... [www.sdsmt.bioenergy.edu](http://www.sdsmt.bioenergy.edu)

later changed to .... [www.bioenergynow.org](http://www.bioenergynow.org)



# Communication with Administration(s)

---



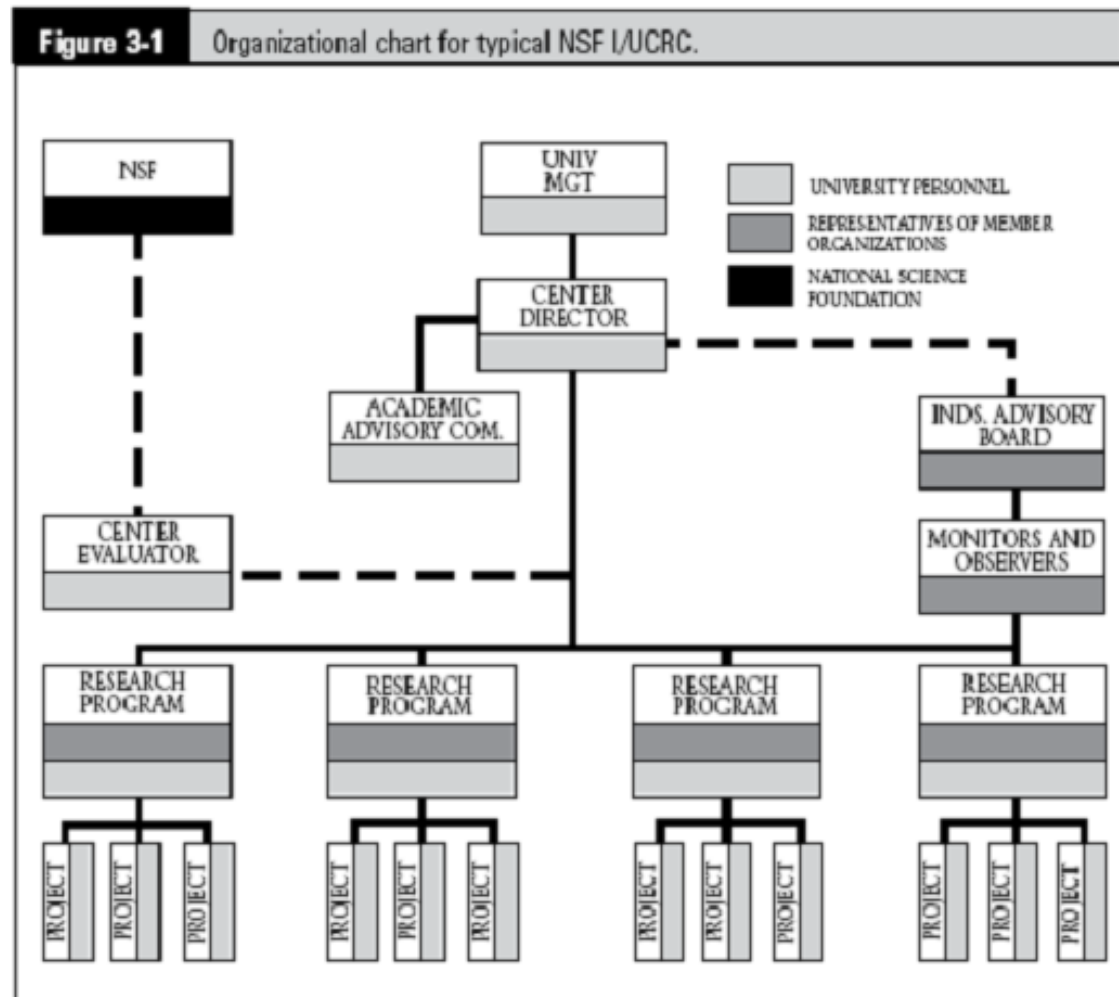
“Be sure that all university and industry participants understand the I/UCRC model.”

“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.



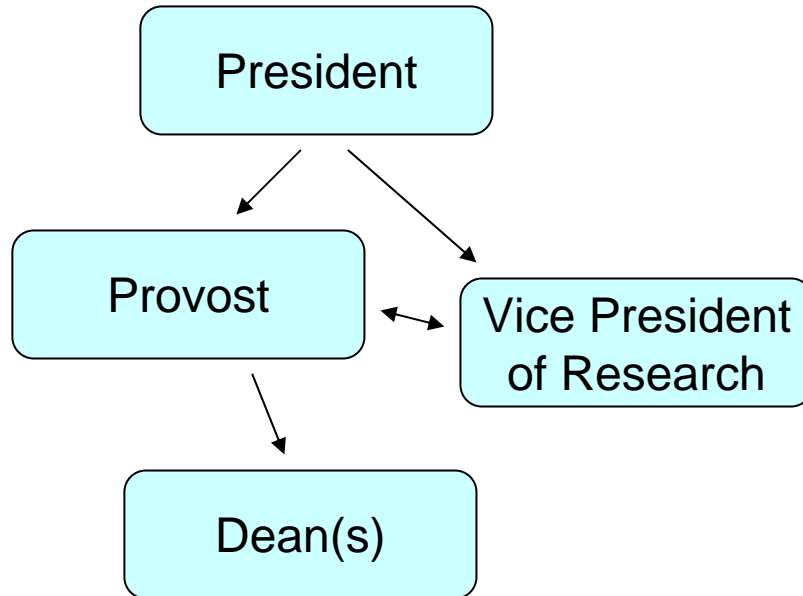


## University Administration(s)

---

- 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?

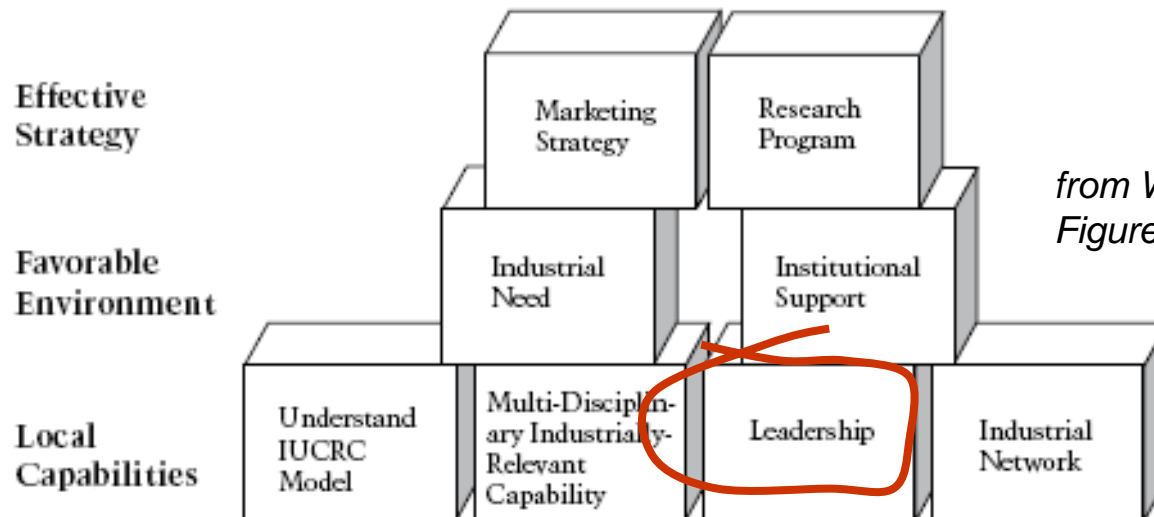


- Are there differences in philosophy between administrators? **YES**
- Is administration undergoing leadership change? **YES**
- Are there any egos involved? **YES**

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.

# A Place to Start

## 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.....



*Walters and Gray, p83*



## 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

submitted document (version 1) →

Nov '06	versions 2, 3, 4	minor corrections
Mar '07	versions 4, 4.1, 4.2, 4.3, 4.4	minor edit changes by directors
Sep '08	versions 5, 5.1, 5.2, 5.3, 5.4	changes by univ A and univ B
Oct '08	versions 6, 7, 8	changes by univ A and univ B
Nov '08	version 11-15-08	rewrite by univ C
	version 11-24-08	rewrite by univ A, B, and C
Dec '08	version 8	frustrating re-submittal by directors
	version 12-01-08	rewrite by univ A and B
	version 12-05-08	rewrite by univ A and B
	version 12-15-08	rewrite by univ B
	version 12-18-08	edit changes by univ A and B
	version 12-19-08	edit changes by univ A and B after consulting with all universities
	final version	accepted and posted on website



## 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 28<sup>th</sup>, 2008 rescheduled from Dec 5<sup>th</sup>.
- We have a 'workable' agreement.
- We are now 'selling' our agreement to membership industries.

Thank you. Questions? Comments?