

# Strategic Planning for Research Program Development

QEM NSF LDI Program Workshop

# Research Business 101

- Where do I go from here?
- What are the internal sources of information?
- What are the external sources of information?
- How can I use this information?
- How can I evaluate my performance?
- How can I best present my research efforts?

# Research Business 101

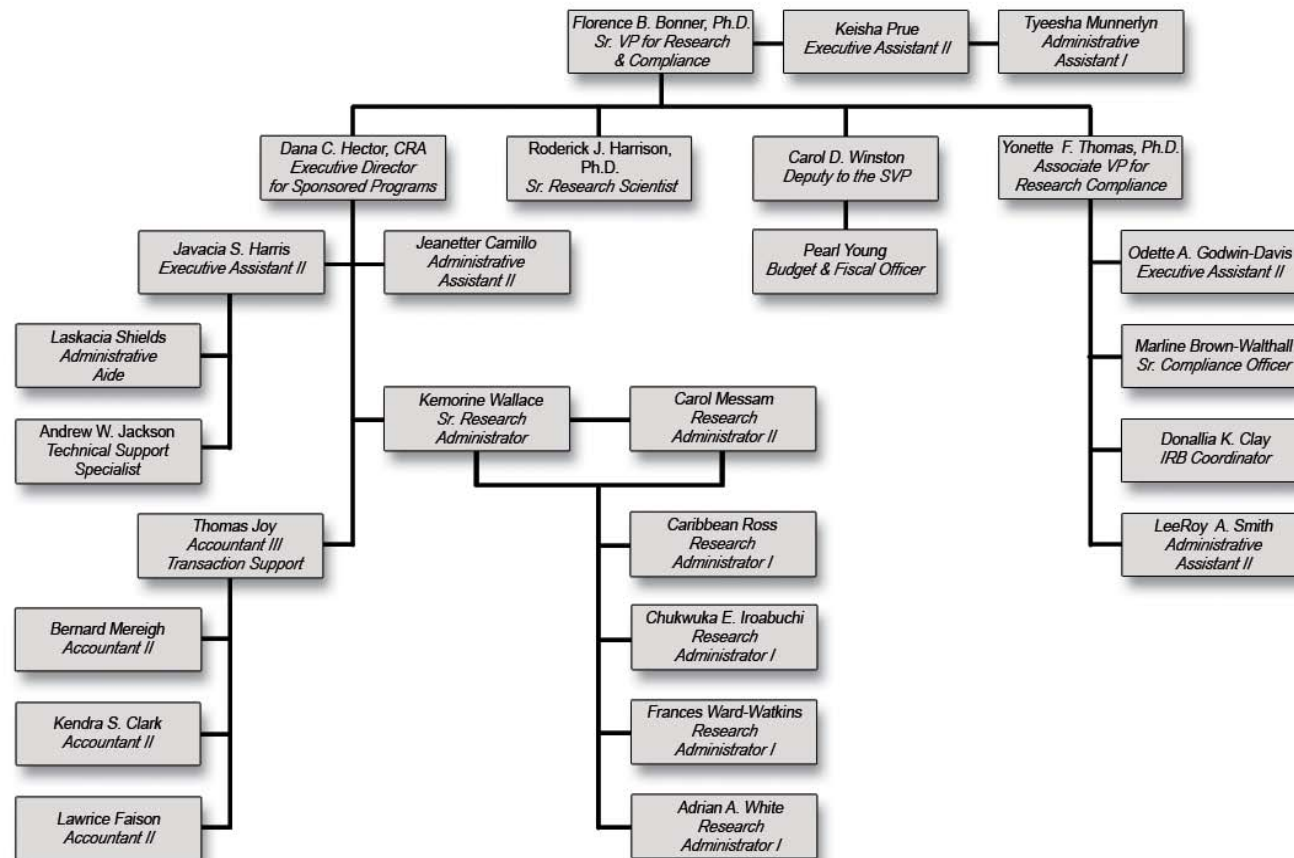
- Accounting
  - How does your university work?
    - Who are the “go to” people, the advocates for research and advanced studies?
      - Provost’s office?
      - Vice President for Research and Compliance?
      - Dean’s office?
    - What is the infrastructure?
      - Check your university web site for an administrative chart

# Research Business 101



# Research Business 101

## Office of the Senior Vice President for Research and Compliance Current Organizational Structure as of January 1, 2010



# Research Business 101

- What services does your Office of Sponsored Programs offer?
  - Pre-Award
    - Get on the internal mailing list for specific funding agencies
    - Give the Office of Sponsored Programs your “key words” for program searches
    - Find an individual to shepherd your grant through the internal process
    - Community of Science subscription
      - » <http://fundingopps.cos.com/>
    - SSTI Weekly Digest subscription (free)
      - » <http://www.ssti.org/Digest/latest.htm>

# Research Business 101

- What services does your Office of Sponsored Programs offer?
  - Know Pre-award Policies
    - What proposal assistance services are there?
      - » Budget Preparation
      - » Proposal Writing
    - What is your indirect cost rate?
    - What is the indirect cost distribution policy at your institution?
    - What is the released time policy at your institution?
    - What is the royalty policy at your institution?
    - What is the fixed price contract policy at your institution?

# Research Business 101

- What services does your Office of Sponsored Programs offer?
  - Post-Award
    - Institutional Review Board
    - Institutional Animal Care and Use Committee
    - Human Subjects Protection
    - Radiation Safety
    - Conflict of Interest
    - Equipment/Property Management
    - Research Misconduct
    - Intellectual Property

# Research Business 101

- Who pays your invoices?
  - College Business Office?
    - Who will make sure your invoices are paid on time?
    - Find an individual that you can check progress of payments to vendors.
  - Separate Research Foundation?
    - Find an individual that you can check progress of payments to vendors.

# Research Business 101

- Who maintains the safety and security of your laboratory?
  - Make sure YOU are up to date on OSHA requirements for your laboratory.
    - All necessary labels, certifications, and the like.
  - Make sure instruments, computers and the like are insured against:
    - Theft
    - Water damage from leaking roofs
    - Other perils

# Research Business 101

- Run a “shadow” budget
  - Keep track of ALL YOUR EXPENDITURES for each grant
    - Spreadsheet with similar categories to your institution
    - Keep for FIVE YEARS after termination of grant!!!
  - Expend or commit ALL FUNDS by 75% of your fiscal year!
- Keep a “Wish List” ready to go
  - Be ready to respond to a “panic call” from a research administrator or from your chair
  - Generally this means equipment or instrumentation
  - Update vendor’s quotes and delivery times on a regular basis

# Research Business 101

- Negotiate from Indirect Cost Recoveries
  - Hard Assets
    - Equipment
    - Instrumentation
  - Maintenance and Operation
    - Instrumentation
    - Equipment
  - Dissemination of Results
    - Podcasts, Blogs, Websites, Seminars, Symposia, Newsletters, Conference Proceedings
  - Travel
    - Beyond any grant required travel

# Research Business 101

- Networking
  - Establish a Prepublication List
    - Individuals with shared research interests
      - Potential letters of reference for tenure considerations
      - Potential speakers for seminar series
      - Potential sources of internships for your students
      - Potential sources of new academic opportunities for you
  - Establish and update your web site
    - Get a small, easy to use digital camera
    - Feature the success of your students
    - Feature the credibility of your department
  - Host seminars
    - Negotiate funding to do so
    - Serve on the FUNDED internal committee
  - Give external and internal seminars
    - Try to give two per year the first few years, more in later years

# Research Business 101

- Royalty Income and Licensing
  - Know the intellectual property policy
    - What is a “traditional scholarly work”?
  - Will your research lead to:
    - New products
      - Method of composition
      - Distribution methods
      - Improved technology
    - New textbooks, training manuals
  - Keep EXCELLENT LABORATORY NOTEBOOKS!!!
  - MAIL YOUR IDEA TO YOURSELF!!!

# Research Business 101

- Perform periodic evaluation
  - Evaluate individual performance within research group
    - Extent of activity
    - Training needs
    - Positive work environment
    - Have researchers and students submit a written record to you
  - Evaluate your performance
    - Internally, meet once per semester outside of your merit review
    - Externally, maintain a regular dialogue with your program officer

# Research Business 101

- Constantly update your file
  - Prepare for tenure or post-tenure review
  - Do it “inch by inch” rather than “yard by yard”
  - Give yourself one day a month to review your file and update as necessary.
  - Coordinate with your web master as necessary.

# Research Business 201

- Establishing a Research Institute or Center
  - In many ways this is similar to setting up a department
  - What is the university commitment?
    - Can it be found in the Strategic plan?
    - Can it be found in departmental commitments?
  - Is there a funding agency commitment?
    - Can it be found in their Strategic plan?
    - Can it be found in their funding activity?

# Research Business 201

- Assess Institutional Needs
  - Identify/Engage Principal Stakeholders
    - Administration
    - Students
    - Faculty
    - Alumni
    - Funding Agencies
    - Local and Regional Business
    - Regional Education Departments

# Research Business 201

- Insure Campus-wide Engagement
  - Relate to Strategic Plan
  - Engage Executive Administration
    - Long term stability (sustainability)
    - Leveraging of institutional resources
    - Letters of Support
    - Budget Issues
    - “Lone Ranger” Syndrome
      - Must reflect a committee effort

# Research Business 201

- Insure Student Engagement
  - Leveraging of existing grants and contracts
  - 75% rule for research training
  - Clear Academic pathway
    - Time line
  - Web site, symposia, travel

# Research Business 201

- Insure Funding Agency Engagement
  - Send “nuggets” periodically to Project Officer
  - Determine agency funding priorities
  - Maintain “Excellence” file and web site
  - Ascribe center activity to:
    - New resource allocations
    - Teaching productivity
    - Faculty recruitment and retention
    - Student recruitment and retention

# Research Business 201

- Start with personnel
  - New faculty hires
    - Tenure track
    - Research track
  - Postdoctoral associates
  - Graduate students
  - Undergraduate students
  - Visiting scholars

# Research Business 201

- Office Space
  - Minimum of 120 sq ft per professional
  - Minimum of 120 sq ft per 2 graduate students or 4 undergraduate students
- Laboratory Space
  - Varies by discipline
  - Be especially careful of OSHA regulations
- Computational Resources
  - Varies by discipline

# Research Business 201

- Funding
  - Seek RECURRING funding or non-recurring funding for up to 5 years
    - More if you can get it
  - Personnel
    - In most cases it is better to have two part-time administrative assistants than one full time.
      - Redundancy
      - Lower benefit and other associated costs
    - Reader
      - Person to read internal and external sources to keep you aware of anything remotely related to your center or institute