

So – you're the Vice President for Research...

....A world of sometimes minimal power and even less cash but amazing opportunity to make a difference

Mark R. McLellan,

Vice President for Research & Graduate Studies

Me

- ▶ Cornell University – 18 years
 - ▶ Department Chair (4 years)
 - ▶ NE Food Venture Center
- ▶ Texas A&M – 6 years
 - ▶ Research Institute Director
 - ▶ Built \$10M Natl Center for E-Beam Research
- ▶ University of Florida – 6 years
 - ▶ Dean for Research (IFAS)
 - ▶ Move \$ from 50M to 115M in 5 years
- ▶ Utah State University – 7 years
 - ▶ VPR & Dean of Graduate Studies
 - ▶ Landed state funding (\$2.5M recurring for graduate students)
 - ▶ Faculty Fellows
 - ▶ TEDxUSU and USU Ignite
- ▶ Portland State University
 - ▶ Urban focused public
 - ▶ Integrating Res Admin, Grad and Strategic Partnerships
 - ▶ New president, New Provost, New VPR, New Engineering Dean – ALL outside hires
 - ▶ President want to double research
- ▶ Possible Findings:
 - ▶ **McLellan has a 6-7 year itch**
 - ▶ **McLellan can't keep a job**
 - ▶ **McLellan likes different bosses 😊**
 - ▶ **McLellan likely has seen a few things...**
 - ▶ **Many are far better than me and likely better than each of us so let's use each other to build our success.**

Sponsored Programs/Projects

- ▶ Customers
 - ▶ Faculty (How are we doing?)
 - ▶ Chairs (Dept Heads)
 - ▶ Deans
 - ▶ Sponsors
- ▶ Research Council/Council of PIs
- ▶ Pre-Award (proposal submission)
 - ▶ Deadlines
 - ▶ Limited submission (processes)
- ▶ Post-Award
 - ▶ Reports
 - ▶ Closeout
 - ▶ Financial Compliance (allowability of expenditures, adherence to sponsor spending restrictions)
- ▶ billing and accounts receivable
- ▶ Contracts vs. Grants
 - ▶ Contract negotiation
 - ▶ Need Faculty relationship
 - ▶ SPA Representing the faculty
- ▶ Subcontracts &
- ▶ F&A (true vs effective)
- ▶ Your system for tracking – Kualii, etc.
- ▶ Training Systems
- ▶ Public Access to Data?
 - ▶ Have a policy? Follow Policy Procedures?
- ▶ Story: **What happens when the DOJ comes knocking...**



Research Development

- ▶ How?
- ▶ Strategic Plan?
 - ▶ Goals, Strategies, Programs
 - ▶ (See next slide)
- ▶ Funding Opportunities
- ▶ Centers & Institutes
- ▶ Proposal Development
- ▶ Contract Grant specialist for big proposals
- ▶ Grant editors vs PD specialists
- ▶ Grantsmanship Training – Faculty
- ▶ Grantsmanship Training - Grads
- ▶ Grant Polishing Institutes/boot-camps
- ▶ Washington DC – Agency immersion
- ▶ Carnegie Mellon Story Board
 - ▶ Concept of Grant Manager
- ▶ Story: **Texas A&M Grantsmanship Training – a true test**

Have a plan!

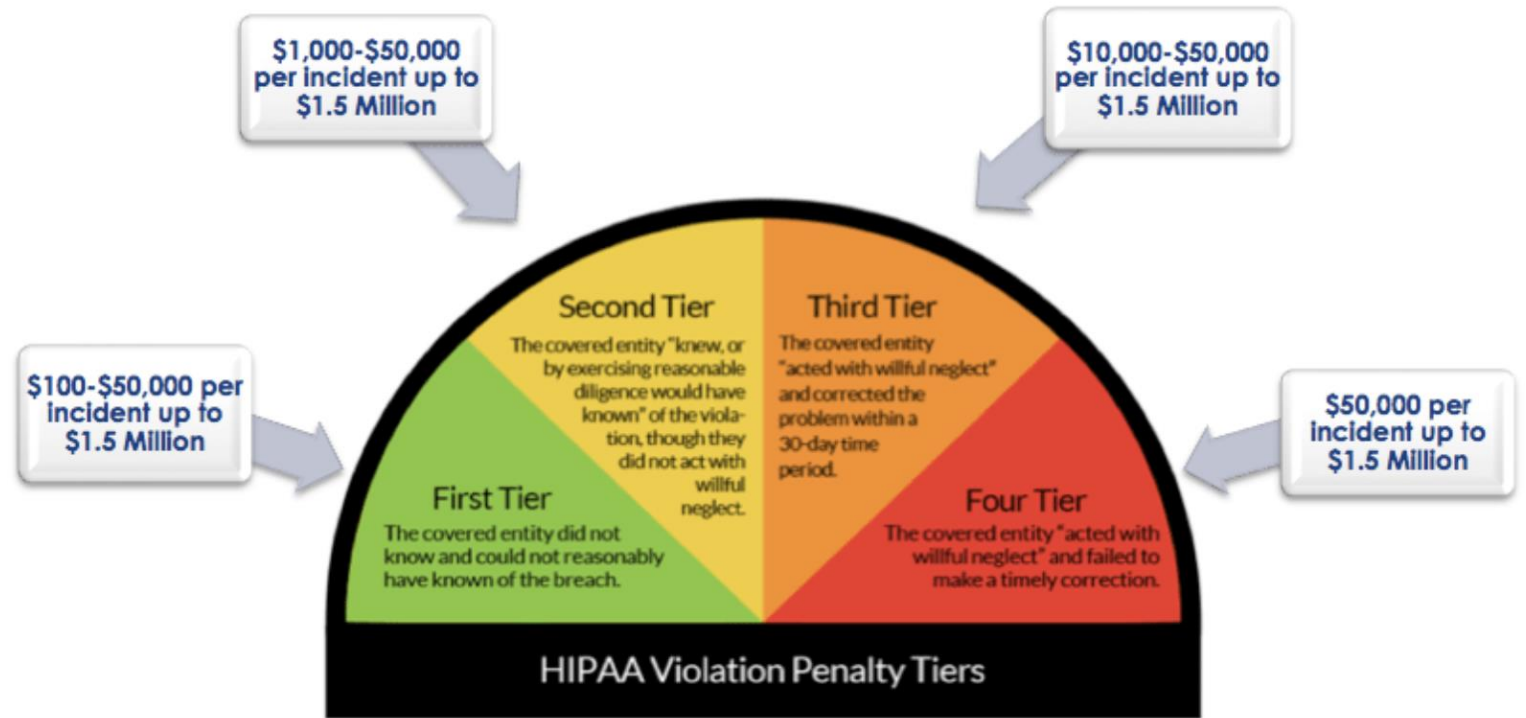
Goal: Grow and strengthen USU's research portfolio.

Strategies	Before 2013	2013-14	2014-15	2015-16
Increase proposal quality.	Central and embedded proposal development specialists			
	Agriculture, Education	Engineering		Extension
	Proposal Writing Institute			
	Grant-writing workshops			
	IGERT workshop	Arts/Humanities WS		
	Funding Finder email newsletter			
	Online limited submission process			
	New Faculty Research Orientation			
	New Faculty Research Training Series			
		Faculty trip to visit DC agencies		
		DMP Data Management Tool		
		Training for Research Faculty (TRF X5)		
Strategically fund research initiatives.	30% F&A returned to generating units + \$378K in dean's strategic funding			
	Startup funds for new faculty			
	Biannual seed grants program			
	Annual Equipment matching fund			

Core and/or Shared-Use Facilities

- ▶ Animals
- ▶ Labs
- ▶ Instruments
- ▶ Technologies
- ▶ Contract Services
- ▶ Expert consultation
- ▶ Scientific Development
- ▶ External Services (Rates?)
- ▶ Maintenance Costs?
- ▶ Consider a State-wide agreement
- ▶ F&A
- ▶ University Classes?
- ▶ Fee Structures?
- ▶ Recover costs?
- ▶ Encourage use?
- ▶ Clinics and Clinical Services (Health)
 - ▶ HIPPA Compliant?
 - ▶ Covered Entity: Electronically - furnish, bill, or receive payment - health care
 - ▶ HIPPA Privacy Rule: Use and disclosure of individuals' health information
 - ▶ HIPPA Security Rule: protecting certain health information that is held or transferred in electronic form
 - ▶ Business Associate: help carry out its health care activities and functions
 - ▶ Contract specific & Security Rule generally
 - ▶ Risk: Who Pays the Fine **when** a breach happens!
 - ▶ Cyber Liability Insurance limits
- ▶ Story: **How much is enough and who has it ...**

Penalties



855.85HIPAA
www.compliancygroup.com

Source: HHS, Federal Register.gov



Centers and Institutes

- ▶ Wow – big variation
 - ▶ Sometimes big and organized
 - ▶ Other times: – Prof Tom's favorite stuff...
- ▶ Step 1: Define what is a
 - ▶ University vs
 - ▶ College vs
 - ▶ Professorial-based center
- ▶ Step 2: Inventory
- ▶ Institutes generally have centers
- ▶ How will people play together?
 - ▶ Access...
- ▶ Leadership
 - ▶ Reporting to ...
- ▶ Story: ***Building clocks versus ... telling time***



Economic Development

- Partnerships, Partnerships, Partnerships
 - Access to the university
 - Private sector engagement
 - Single point of contact
 - Exposure & Opportunity
 - Public-Private Partnerships
 - Workforce Development
 - Technology Transfer
 - Technology Commercialization
 - Corporate Relations
 - Finding Solutions
- Metrics????
- Story: ***Backroom of Emril's Restaurant (New Orleans)***

Research Compliance (Yuck!)


(...keeping the boss & yourself out of jail)

- ▶ Hire dedicated experts!
- ▶ Individual Conflict of Interest
- ▶ Institutional Conflict of Interest
 - ▶ Human Subjects (AAHRPP)
- ▶ Human Research Participant Protection (IRB) - HHS
- ▶ Research Integrity (misconduct)
- ▶ Research Ethics
- ▶ Export Controls
 - ▶ Fundamental Research Exclusion?
- ▶ Controlled un-Classified Information
- ▶ Classified Information (501C3 ?)
- ▶ Data Security and Privacy
 - ▶ Clinical Research
 - ▶ Biosafety – keeping records
 - ▶ HR Story
- ▶ Hazardous Materials Management
- ▶ Radiation Safety
- ▶ Animal Care and Use (IACUC)
- ▶ Environmental Health and Safety
 - ▶ policy vs policing
- ▶ **HAVE A SOLID POLICY**
- ▶ **HAVE DETAILED PROCEDURES**
- ▶ **FOLLOW Both religiously!!!!**
- ▶ Story: ***Policies, procedures and hoaxes...***



China & the FBI

- ▶ Remember, first we are a university
- ▶ Second, appreciate the need to protect intellectual property
- ▶ Proactively establish an FBI relationship
- ▶ Have a good **Conflict of Interest Policy**
- ▶ Have a good procedure for COI disclosure.
- ▶ Require disclosure – require compliance
 - ▶ **STORY: June 13th – Dr. Xifeng Wu, resigns from MD Andersen Cancer Research Center (Bloomberg Business Week). --- Read my lips: Disclosure!**



Research Operations/Business Operations

- Staff
- HR
- budgets and finance
- research admin space
- Logistics & Events planning
 - Project Mngt Team
- Communications
- Your Executive Team
- Your Directors
- Your Staff
- Diversify your thinking !!!
 - Consider a Faculty Fellow
- Explore collaborative decision making
 - Empowers your folks
 - "It's ok to be wrong!"
- Story: **30 on Thursdays**
 - (<https://bit.ly/2tlglhA>)



Research Communications ... today (not yesterday ;-)

- ▶ Know your audience
- ▶ Communicate to your audience
- ▶ Segregate your channels
- ▶ Aim your message
- ▶ Use the tools
 - ▶ Print
 - ▶ Web
 - ▶ Facebook
 - ▶ Twitter
 - ▶ Instagram
 - ▶ SnapChat
- ▶ Test your Message (A or B)
- ▶ ***Story: It's 2011, you just started and "You want to do what???"***



Government Relations

- ▶ If you **do** own it – you definitely need to work with it !
- ▶ If you **don't** own it – you likely pay for it 😊 & you still must work with it!
- ▶ State Relations
 - ▶ Addressing research issues
 - ▶ Higher Ed Appropriations
 - ▶ I.e. Sub contracts to private entities
- ▶ Federal Relations
 - ▶ Addressing research issues
 - ▶ Appropriations language – program by program funding levels & language
 - ▶ APLU - COR
- ▶ DC Consultants (Lobbyist)
- ▶ Story: ***Funding but only for STEM thank you very much ...***



Undergraduate Research

- Resources to fund the undergrad hands-on experience
- Resources to fund Undergrad travel to technical meetings
- Connections!!! Bringing faculty and Undergrads together
- Research Week – Presentation experience with full review
- National: Council on Undergraduate Research (CUR)
- Create **FROSTING** experiences!!!!
- USU ignite --- amazing experience
- Story: ***The PSU Build EXITO story*** ...curriculum, mentoring, environment, and experience



School of Graduate Studies ...

- ▶ You can do it !
- ▶ You should do it !
 - ▶ (maybe 5 in the USA)
- ▶ A world-class research program
DEPENDS upon a strong graduate program
- ▶ A world-class graduate training program depends upon a strong research program
- ▶ Research Assistantships, Startups, Retention, Linking faculty Programs
- ▶ The four biggies ...
 - ▶ Mentoring
 - ▶ Recruitment
 - ▶ Management
 - ▶ Funding
- ▶ Story: ***Building graduate tuition into grants.***



Postdoctoral Fellow Training and Mentoring

- ▶ Individual faculty, research groups, and laboratories
- ▶ training, mentoring, and professional development
- ▶ postdoc office?
- ▶ tracking “postdoctoral appointees and other non-faculty research staff with doctorates” for the purposes of the Carnegie Classifications (<http://carnegieclassifications.iu.edu/methodology/basic.php>).
- ▶ National Postdoc Association
- ▶ Short term Employees
 - ▶ Retirement payments ?



Internal Funding

- ▶ Seed grants to fund initial funding
 - ▶ Equipment funding
 - ▶ Use Associate VPR decision body
 - ▶ Matching Funds
 - ▶ Bridging Funds
 - ▶ Special College Initiatives
 - ▶ Startups
 - ▶ Retention
 - ▶ Special Requests – PowWow
 - ▶ Faculty Incentives and Rewards
 - ▶ Faculty Awards
 - ▶ Bottom line – "there is never enough"
- ▶ Story: ***"I had far more money as a dean ..."***



Research Data and Analytics

- ▶ research performance – measure what matters
- ▶ annual research expenditures
- ▶ annual new awards
- ▶ Partner:
 - ▶ Institutional Research and Reporting
- ▶ Contract Services (maybe for the rich 😊)
- ▶ Bottomline – need to tell your story

- ▶ Story: ***Talk to the Faculty...before you jump***



Relationships ...

- ▶ We already talked about your staff
 - ▶ The president (Aspirations?)
 - ▶ Other Vice Presidents (B&F)
 - ▶ The provost (Goals?)
 - ▶ Deans
 - ▶ Faculty Hires
 - ▶ Dept Heads (Chairs)
 - ▶ Faculty
 - ▶ Represent them
 - ▶ Teach them
 - ▶ Hold them accountable
- ▶ Federal Delegation
 - ▶ What does that grant mean?
- ▶ Federal Lobbist
- ▶ Sponsors
- ▶ Community
 - ▶ Kiwanis Club etc.
- ▶ State Higher Ed Appropriations

- ▶ Story: ***Breakfast of Champions...***

Questions

Portland State University
Portland, Oregon

