COMPACT FOR THE OFFICE OF THE VICE PRESIDENT FOR RESEARCH
FY 2005-2006

Introduction
The compact between the Senior Vice President for Academic Affairs and Provost and the Vice President for Research for 2005-06 includes the following:

A. Unit Mission

The Office of the Vice President for Research (OVPR) functions to advocate for research and scholarly works of the faculty, to coordinate institutional policies affecting the conduct of research and to serve as a resource in support of research and scholarly works within the University of Minnesota system. The office is dedicated to serving University faculty and staff as they seek support for research, as they conduct their investigations, and when they transfer newly discovered information to the public domain. In conjunction with other campus units, the office of the Vice President for Research supports and fosters new research initiatives across the University and encourages interdisciplinary approaches to scholarly activity. The Vice President for Research also serves as the research ambassador to internal and external constituencies and is responsible for enriching the University’s relationships with corporate and civic partners. All activities in the Office are intended to support the strategic plan to elevate the University of Minnesota into the ranks of the top three public research universities in the country.

The Office is responsible for overseeing all aspects of the University’s research portfolio, which in this past year topped $500 million in externally sponsored awards, resulted in the issuance of 101 new licenses or options and generated over $47 million in gross licensing revenue. These impressive statistics serve as impeachable testimony to the creativity and entrepreneurial efforts of the outstanding faculty of the University and as a tangible measure of the return on Minnesota’s investment in its only public research university. The Office of the Vice President for Research seeks at every opportunity to create a research environment that will improve on that already impressive record of accomplishment.

In support of the University’s research mission, the vice-presidential unit currently manages a group of service organizations with a variety of collaborative missions that protect, enhance, and broaden the University’s research activities. The following major units are included:

- Sponsored Projects Administration (SPA)
- Patents and Technology Marketing (PTM)
- Office of Business Development
- Office of Oversight, Analysis, and Reporting (OAR)
- Research Subjects Protection Program (RSPP)
- Office of Regulatory Affairs (ORA)
- Research Education and Funding Development
- eResearch Systems support (EGMS or eResearch Central)
B. Performance Scorecard

One of the primary objectives of the OVPR in this compact year will be the revitalization of the Office with a goal of strengthening its role in the academic aspects of research on all System campuses.

The first step in the revitalization process involves organizational changes that will, ideally, establish the OVPR as the focal point for all research-related activities at the University, thereby reducing ambiguity about research roles and responsibilities commonplace among faculty and academic units. Early measures of success in this effort will be the establishment and communication of redefined roles and responsibilities, completion of organizational restructuring to support the revised roles and, subsequently, by recognition among faculty and campus leaders of the OVPR as a strong advocate for research and scholarly works of the faculty.

C. Update – Strategic Goals from 2004-05

This document acknowledges the significant accomplishments of the OVPR during the last compact year, but will refrain from providing a detailed summary in order to focus on the new Vice President’s vision for the Office and detailed plans for the upcoming compact year.

D. New Strategic Goals

1. STRATEGIC GOAL: REVITALIZING OVPR – Strong Advocacy for Research and Scholarly Works

Impact of the Goal – The OVPR will assume a leadership role in identifying research opportunities, fostering interdisciplinary efforts and leveraging resources to support the University’s highest research priorities. In the interest of this high-impact objective the OVPR will:

- Engage in a dialog with relevant campus units to reassess and reassign, as appropriate, research roles and responsibilities to the OVPR in the interest of clarifying, coordinating and strengthening campus research efforts. The Senior Vice President for Academic Affairs and Provost and the Senior Vice President for Health Sciences recently developed a set of guidelines to help delineate the functions of the Vice President for Research and the Dean of the Graduate School. Faculty research functions have been defined as being the purview of the Vice President for Research, while student support functions will be managed by the Dean of the Graduate School.
- Work with the Dean of the Graduate School to foster interdisciplinary academic initiatives. For FY06 the Provost has provided a one-time allocation of $250,000 to be managed jointly by the Vice President for Research and the Dean of the Graduate School in support of interdisciplinary initiatives. The Vice President and Dean will confer on any investment from this strategic fund.
- Increase academic input into critical research decisions by: exploring appointment of a part-time academic Assistant VP; forging a close working relationship with faculty committees, such as the Senate Research Committee; appointing a senior faculty research
advisory committee; and, refocusing the Council of Research Associate Deans (CRAD) on providing critical advice to the VPR on research-related issues of significance to the campus.

- Leverage existing resources for research investments in pursuit of system-wide research priorities through a process of improved communication and collaboration with the President, the Senior Vice President for Academic Affairs and Provost, the Senior Vice President for Health Sciences and other campus leaders.
- Leverage funding by providing grant matches in support of key research opportunities.
- Encourage the evolution of new interdisciplinary research projects by sponsoring an annual research competition awarding 4-5 major awards ($200,000 - $250,000) for early project development.
- Develop and coordinate a research service to assist faculty in the preparation and administration of large, complex interdisciplinary or intercollegiate research grants.

**Initiatives to Achieve the Goal** – Approximately $500,000 of existing funds will be repositioned in the OVPR’s 2006 fiscal year from on-going efforts to begin addressing these new, high priority action items. These internal funds will be augmented by $300,000 of recurring discretionary funding and $200,000 of non-recurring funding provided through the FY06 compact.

2. **STRATEGIC GOAL: ENTREPRENEURSHIP IN RESEARCH – Commercialization of University technology**

**Impact of the Goal** – During this compact period the OVPR is committed to a comprehensive effort to enhance commercialization of University intellectual property and to forge effective partnerships with external partners. Specific objectives include:

- Appointment of a permanent director of PTM, ending a seven year interval of interim leadership.
- Completion of analyses of the business practices of the Office of Patents and Technology Marketing (PTM) and development of a strategic plan to address any deficiencies, improve efficiencies and capitalize on new opportunities. The plan will also involve development of performance standards that will be used to monitor progress in each phase of the technology commercialization cycle.
- The Office of Business Development (OBD) will continue to expand its role as the primary service unit supporting development of new businesses based on faculty-generated technologies. This will include efforts to: inform faculty about business development opportunities related to their technologies, assist start-ups with business development and planning, create of a gap fund pool and develop a network of angel and venture investors.
- The Vice President for Research will assume leadership for the University’s involvement in the major initiatives identified by the Itasca group and will serve as the University liaison to groups such as the Minnesota High Tech Association and the Minnesota BioBusiness Alliance.
- The Vice President for Research will serve as the University’s point person in the continuing dialog concerning a potential Research Park, working with representatives
from Minneapolis, St. Paul, Hennepin and Ramsey counties, the state of Minnesota, and other interested parties.

- The OVPR will develop a stewardship plan for the Glaxo royalty stream. Objectives will include: optimization of investment potential for key research priorities; sponsorship of new research initiatives; continued student support; and, partnership opportunities with other campus units.

3. STRATEGIC GOAL: ENHANCED RESEARCH SERVICES – Charting a Course of Continual Improvement

**Impact of the Goal** – The University of Minnesota has developed a national reputation of excellence for its effective and ethical oversight of the sponsored research enterprise. The outstanding grants management and compliance infrastructure developed and maintained by the OVPR represents the critical framework on which the entire research operation is dependent.

The following critical research support functions will be enhanced by support provided in the FY06 compact allocation:

- $200,000 of recurring support provided in this year’s compact allocation will provide for 2.75 additional FTEs in the Office of Regulatory Affairs and the Research Subjects Protection Program.
- $150,000 of recurring support will be used to provide 2 new FTEs to help cope with the increased grants workload managed by SPA. $188,229 will also be provided through ICR compensation adjustment.
- The Vice President will continue discussions with the Vice President for University Services targeted toward devising a cooperative administrative arrangement that will insure full coordination of the Institutional Biosafety Committee’s regulatory and administrative functions. The OVPR will continue to work with the Vice President for University Services and the Office of Regulatory Affairs to assess critical funding issues, staff support needs and to fine tune the joint governance arrangement.
- At the request of President Bruininks, the Vice President for Research, the Vice President for University Services and the Vice President for Human Resources will collaborate to develop and implement a comprehensive occupational health and safety program.

E. Diversity Assessment and Planning

The Vice President and senior administrators of this unit are committed to the University’s goals of equal opportunity and affirmative action in hiring and procurement. Searches for senior leadership positions within SPA and PTM are underway. We will be seeking highly qualified candidates from diverse pools to fill these important positions.

F. Outreach and Civic Engagement

On behalf of the University, the OVPR will continue to participation in numerous national associations or organizations related to grants management and research issues, including the Federal Demonstration Project (FDP), the Council on Governmental Relations (COGR), the
National Council of University Research Administrator (NCURA) and the Committee on Institutional Cooperation (CIC). We are recognized as a national leader in research compliance, sponsored project management and electronic research administration. In addition to benefits that accrue to the University, our participation provides tangible benefits to our colleagues around the country and recognition for the University.

G. Facilities Issues

Any future growth of the office will be limited by the lack of additional space within Johnston Hall and the McNamara Alumni Center. Space for the Office of Business Development within the University Enterprise Laboratories has been secured, a lease agreement has been signed, and operations have begun. Space issues related to the RSPP office are under continual review as the program is required to expand to meet the University’s research growth, most notably the increase in clinical trials activity targeted by the AHC.

H. Other Financial Issues

1. Tuition - The VPR collects no tuition income.

2. ICR – The VPR does not currently oversee research centers that generate ICR (F&A) income.

3. Fees – There is no recommendation to change any existing fees for FY06.

I. Faculty and Staff Consultation This compact was developed by the Vice President for Research in consultation with the administrative team of the office. In addition, a faculty perspective from the Senate Research Committee was of great assistance.

J. Report Summary and Allocation Summary

Historical Allocation Summary

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>RSPP accreditation</td>
<td></td>
<td>$38,000</td>
<td></td>
<td></td>
</tr>
<tr>
<td>E Research Administration</td>
<td></td>
<td></td>
<td>$100,000</td>
<td></td>
</tr>
<tr>
<td>F&amp;A rate analysis</td>
<td></td>
<td></td>
<td>$162,000 R</td>
<td></td>
</tr>
<tr>
<td>ICR Rate Consultants</td>
<td></td>
<td></td>
<td>$250,000</td>
<td></td>
</tr>
<tr>
<td>Grants Management</td>
<td>$443,086 R</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Grant Match Pool (in Sr. VPAA&amp;P)</td>
<td></td>
<td></td>
<td>$200,000 R</td>
<td></td>
</tr>
<tr>
<td>Total</td>
<td>$0</td>
<td>$443,086 R</td>
<td>$200,000 R</td>
<td>$550,000</td>
</tr>
</tbody>
</table>
# Allocation Summary
## FY2006 Compact Investments

<table>
<thead>
<tr>
<th>Item</th>
<th>2006 Recurring</th>
<th>2006 Non-recurring</th>
<th>2006 Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Compliance costs in ORA and RSPP</td>
<td>$200,000</td>
<td></td>
<td>$200,000</td>
</tr>
<tr>
<td>Additional funding for SPA</td>
<td>$150,000</td>
<td></td>
<td>$150,000</td>
</tr>
<tr>
<td>Grant match pool (transferred from Sr. VPAA&amp;P)</td>
<td></td>
<td>$200,000</td>
<td>$200,000</td>
</tr>
<tr>
<td>Interdisciplinary academic initiatives (joint with Dean of Graduate School)</td>
<td></td>
<td>$250,000</td>
<td>$250,000</td>
</tr>
<tr>
<td>ICR compensation adjustment</td>
<td>$188,229</td>
<td></td>
<td>$188,229</td>
</tr>
<tr>
<td>Discretionary funds</td>
<td>$300,000</td>
<td></td>
<td>$300,000</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$838,229</strong></td>
<td><strong>$450,000</strong></td>
<td><strong>$1,288,229</strong></td>
</tr>
</tbody>
</table>