

# RESEARCH2020

The Research Strategic Plan of The  
UNM Office of The Vice President For Research

Last Updated On April 12, 2017

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## PREFACE

Over the past decade, the Office of the Vice President for Research (OVPR) at UNM has seen considerable flux in its leadership and has been primarily reactive to budgetary and operational exigencies. My immediate predecessors did laudable jobs of establishing a sustainable operations and management structure for the Office. With my commencement of job duties as Vice President for Research in January 2016, the UNM leadership saw an opportunity for the OVPR to develop a plan that would allow the Office to enhance our stature as a research institution through deliberate implementation and proactive strategic initiatives. The OVPR is pleased to take on this strategic planning process, and with a diverse group of the campus research community, develop a roadmap to further strengthen UNM's research excellence.

This document describes the process and outcome of this effort. I am very grateful to the many faculty members, staff members, students, external partners and stake-holders who engaged in this process by participating in the surveys, interviews and forums necessary to gather data for, and hone, the plan. Special thanks to the Research Strategic Planning Committee, our Working Groups, the staff of the Office of the Vice President for Research and to our partners in academic, support and administrative units across campus whose collaboration will be necessary to implement this plan.

The plan presents many concrete means by which to achieve its stated mission over the next four years, with additional overarching themes of achieving more interdisciplinary synergies and enhanced awareness as well as cultivation of the broad diversity of our research activities and strengths. Importantly, these means and ends can be accomplished without disruption of the important research and scholarly efforts that are already recognized as world class on campus. I look forward to working with the campus community over the next few years to make our collective vision a reality.

*¡Adelante!*

Gabriel P. López, Ph.D.  
Vice President for Research, UNM  
Professor of Chemical and Biological Engineering

## EXECUTIVE SUMMARY

### VISION

UNM will dramatically enhance its research excellence such that its culture of scholarly creativity, discovery and innovation is recognized internationally, is an integral part of education, and is a source of inspiration for all New Mexicans.

### MISSION

To significantly enhance capacity, competitiveness and impact in world class research and creative activity by tenure track, tenured and research faculty, graduate students and postdoctoral fellows, research staff and undergraduates.

### THE STRATEGIC PLANNING PROCESS

At the beginning of fiscal year 2017, the Office of the Vice President for Research (OVPR) assembled a diverse Research Strategic Planning (RSP) Committee of faculty and staff members from colleges across UNM's main campus to oversee the process of developing a strategic plan to realize and execute the vision and mission presented above. The goal was to complete the plan by March 2017, so that implementation could coincide with the annual budgeting cycle. OVPR personnel comprised the RSP Leadership Team and each faculty member on the committee was assigned to help lead a Working Group in an area that the RSP Committee deemed to be critical to achieving its mission. The six formal Working Groups (WGs) were *Environmental Scan*, *Research Excellence*, *Human Capital*, *Research Infrastructure*, *State and Federal Relations* and *Corporate Relations*. Each WG was led by members of the RSP Committee and included additional faculty and staff members considered to be expert in the WG focus. In turn, each WG gathered data through interviews of key internal and external experts and surveys of relevant UNM personnel. In sum, the draft reports produced by the WGs by January 1, 2017 included input from hundreds of internal stakeholders and many external experts. The RSP Committee, each WG and their sources mobilized quickly and worked efficiently and effectively to assemble their reports; *this considerable, determined and concerted effort is a testament to the dedication of our community to improving UNM as a research institution*. Following collection of the reports, the RSP Leadership team worked with each WG to develop a logical and impactful set of recommendations, and then worked with units and organizations across campus to obtain feedback and buy-in on the plan assembled. The resulting final set of objectives, tasks, metrics and timelines are presented herein. This strategic plan focuses on the UNM main campus research enterprise, which serves our four branch campuses as well.

## RESEARCH AT UNM

At UNM, students, faculty and staff excel in a wide range of research, creative and innovation activities (herein, for simplicity, referred to collectively as research) and contribute substantially to our society’s intellectual, artistic and economic well-being. Excellent research across a diversity of disciplines is a signature of a world-class research university. Areas of cross-cutting research and scholarly excellence that have been previously identified are listed on the OVPR website. UNM is a comprehensive, Carnegie-designated Research 1 university, and is the nation’s only flagship state university that is also a Hispanic Serving Institution (HSI). The OVPR serves eleven colleges and four branch campuses by providing infrastructure for proposal development and submission, as well as award execution and promotional activities to recognize research excellence. The OVPR also implements initiatives to stimulate growth of UNM’s research enterprise including facilitating both strategic and grass-roots collaborations with other research institutions in New Mexico including Sandia and Los Alamos National Laboratories, the Air Force Research Laboratory, the Mind Research Network, New Mexico State University and New Mexico Tech, as well as with industry. The significant effective decrease of financial support from the State for higher education in recent years has placed a serious stress on the research mission of the university, leading to a decrease in the rate of replacement of research-active faculty and elimination of salary enhancements to reward excellence in research. These effects on research have a direct and negative impact on the university’s budget and its core mission of educating students. To get a full view of the landscape in which UNM engages in research, please see the RSP’s Environmental Scan. To characterize the current breadth and diversity of UNM’s research excellence and identify emerging areas, the Research Excellence Working Group surveyed chairs and directors of research active units on main campus, and interviewed administrators who have a view of our research mission. A picture of enormous diversity and distinctiveness of research emerged, which may be visualized by looking at a “word cloud” representing the frequency of terms used in response to the chairs and directors survey.

### UNM RESEARCH FY16 (Main and Branch Campuses)

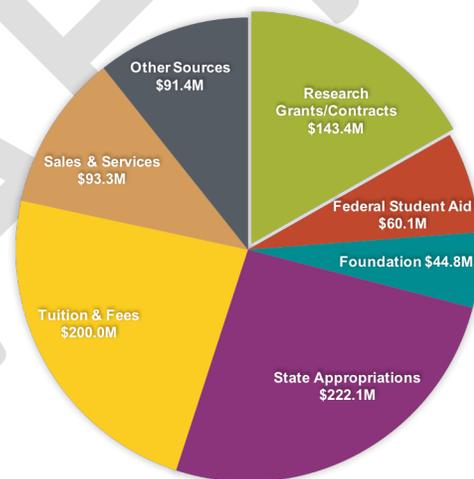
**Principal Investigators: 365**

**Doctoral Degree Programs: 37**

**Doctoral Degrees Awarded: 200**

**Research Expenditures: \$122.4M**

(Source: UNM Office of Institutional Analytics, Office of Sponsored Projects)



### UNM REVENUES FY16 (Main and Branch Campuses)

(<http://budgetoffice.unm.edu/assets/documents/budget/consolidatedbudget2016.pdf>)



## NEXT STEPS

Pending endorsement of this strategic plan by the campus community and the Board of Regents, the OVPR will develop a concrete implementation plan that includes formation of an Evaluation Committee. The Evaluation Committee will meet at least biannually and will be charged with monitoring progress of the plan and suggesting modifications to the plan as necessary to contend with changes in the research environment or fiscal circumstances at UNM.

## FURTHER RECOMMENDATIONS

Income from research contracts and grants is the third largest contributor to UNM's operating budget, and, unlike the other two large contributions (tuition and fees, state appropriations), it represents a revenue source that can, in principle, grow substantially without significantly taxing New Mexicans. At the same time, increasing research revenue would have an overall positive effect on several measures of success for our university, including increase in enrollment, student opportunity and success, and compensation and retention of highly qualified faculty and staff. While the approved mission of this RSP process was not specifically focused on generation of revenue, research expenditures represent a primary metric by which research universities are ranked. As noted above, this strategic plan can be executed within the constraints of the current OVPR funding model. Moreover, it provides excellent examples of strategies and tactics that could be implemented to enhance dramatically UNM's stature as a research institution if additional resources to support the growth are provided. *The OVPR thus recommends that the incoming UNM administration and the Board of Regents identify funds to serve as a stimulus to enhance UNM's research capacity.* By providing a new source of funds to implement the types of strategic and tactical stimuli identified herein (e.g., strategic hiring, seed funding, performance incentives, investment in research infrastructure), a modest investment (e.g., \$10M over the next five years) could yield more than an order of magnitude return in research revenue. If the administration and the Regents agree, in principle, to seriously consider such an approach to grow the university, the OVPR is committed to work with relevant experts and stakeholders to provide a quantitative study of the likely financial return-on-investment of such a stimulus.

**SYNOPSSES OF WORKING GROUP RECOMMENDATIONS**

DRAFT

## RESEARCH EXCELLENCE

Melanie Moses (Chair), Caroline Smith (Co-Chair), Vince Calhoun, Julie Coonrod, Kathryn McKnight, Mary Anne Newhall, Christine Sims, Tom Turner

The broad goals of the Research Excellence Working Group (REWG) were to characterize the breadth and depth of excellent research on the UNM main campus and to make recommendations to ensure that UNM continues to be one of the world's great research universities. The REWG attempted to identify the breadth of excellent research across large and small departments and centers at UNM, particularly those areas that are recognized as having significant national and/or local impact but have not been broadly recognized at UNM. The REWG sought to highlight excellent UNM research that is distinctive, particularly research related to the environment, diverse communities, and natural and technological resources of New Mexico. The REWG also aimed to highlight interdisciplinary research, particularly research that draws from multiple schools to answer questions of national, global and regional importance.

### OBJECTIVES, TASKS & METRICS

#### **RE-1 Develop a mechanism to assess and communicate research excellence across the diversity of research programs on campus.**

RE-1A: The OVPR will provide input to the Provost's Office in their efforts to develop and implement a campus-wide Faculty Annual Activity Report (FAAR) system. Specifically, OVPR will provide input on collection of data on research, creative and related activities (herein simply referred to as "research") on main campus.

*Metric: A campus wide mechanism will be in place for annual collection of data on faculty research activity that acknowledges the diversity of such activities across campus.*

RE-1B: The OVPR will also work with the Associate Deans for Research (ADRs) to analyze the data with respect to the diversity of excellence in research and will distribute a report (i.e., the OVPR's Annual Report) to university leadership, faculty listservs and will post the report to the OVPR website. A part of this analysis will be the identification of cross-cutting areas of research strength.

*Metric: An annual report of research related activities will be disseminated in which cross-cutting areas of research strength are identified.*

RE-1C: The OVPR will collaborate with the Provost's Office to create and publish a searchable database with the data acquired through the FAAR.

*Metric: A searchable database that is updated annually will be in place to inform administrative policy and budgetary decisions and to inform efforts at increasing collaboration across campus.*

RE-1D: To help inform resource allocations, the OVPR will communicate identified cross-cutting areas of research strength and areas of existing and growing research excellence to the Provost, Deans, Chairs and campus community.

*Metric: Resource allocation including start-up funding for new faculty hires will be directed toward areas of research excellence and those representing cross-cutting areas of research strength.*

**RE-2 Develop a plan for investments into new research areas.**

RE-2A: As an immediate priority for FY17 and FY18, the OVPR will augment efforts within the three most promising emerging areas as identified in Research Excellence report (i.e., social and cultural place-based research relating to the southwest, renewable energy and "water in the west") by supporting efforts to develop externally funded proposals in each of these areas.

*Metric: Increase in research proposals and awards in the emerging areas. Performance of the identified areas will be evaluated by June 30, 2018.*

RE-2B: In subsequent fiscal years, the OVPR will utilize the data acquired from the FAAR to determine possible new areas for investment through limited seed funding. Resources (financial and otherwise) will be made available to areas identified as emerging cross-cutting priorities.

*Metric: Increase in research activity in the areas provided with additional investment. Performance of the identified areas will be evaluated annually.*

RE-2C: The OVPR will proactively communicate a UNM vision for research (e.g., on the OVPR website, the OVPR Annual Report and through presentations) that includes areas of cross-cutting strength and planned investments into priority research areas.

*Metric: Enhanced awareness of research activities and investments in new research areas, as evaluated through annual Research Strategic Plan Survey*

**RE-3 Improve and encourage excellent interdisciplinary research.**

RE-3A: The OVPR will work with the Provost's Office to address items identified in the 2013 Provost's Report on Interdisciplinary Research and Education. In addition, the OVPR will stress the importance of research in any efforts being undertaken toward new interdisciplinary programs by the Provost's Office.

*Metric: Interdisciplinary Research will be prominent in the strategic plans of newly developed Provost's initiatives.*

RE-3B: The OVPR will initiate a closer working relationship with the Office of Community Engaged Learning and Research.

*Metric: The Associate Dean of the Office of Community Engaged Learning and Research is added as a member of the Associate Deans for Research / Center Directors group and included in meetings and discussions.*

## HUMAN CAPITAL

Jeremy Edwards (Chair), Rebecca Blum-Martinez (Assoc. Chair), April Davidson, Virginia Scharff, Tim Lowrey, Paul Schwoebel, Julia Fulghum, Kateryna Artyushkova, Kiyoko Simmons

The goal of the Human Capital Working Group was to examine relevant data on faculty and staff to develop a comprehensive plan to create and sustain a dynamic, diverse, and effective research work force. They were also charged with considering and identifying possible incentives to encourage maximal productivity from UNM researchers with the ultimate goal of increasing sponsored research.

### OBJECTIVES, TASKS & METRICS

#### HC-1 Recognize and Publicize Research Contributions and Research Excellence.

HC-1A: The OVPR will (i) work with the Research Policy Committee (RPC) to enhance the Annual Research Excellence Awards program to include additional categories (for example: interdisciplinary research, non-senior award categories). The OVPR will (ii) host an award ceremony to recognize the awardees. A reception for Principal Investigators (PIs) will be held following the ceremony. The OVPR will review with RPC the possibility of adding a monetary component to the awards.

*Metric: Increased awareness of research award program as ascertained through trajectory in number of nominations. Enhanced recognition for outstanding research achievements as assessed on an annual basis through RSP survey.*

HC-1B: The OVPR will engage the UNM Alumni Association to explore the possibility of creating a research related award.

*Metric: Enhanced recognition for outstanding research achievements as assessed on an annual basis through RSP survey.*

HC-1C: The OVPR will highlight researcher activities on the OVPR website (a minimum of once/month) and through increased PR work (monthly and on ad hoc basis). Researchers for whom a press release is submitted will be invited to a hosted lunch with their ADR and the VPR/AVPR.

*Metric: Enhanced awareness of researcher activities as assessed on an annual basis through RSP survey*

#### HC-2 Identify and Assist in Providing More Time for Investigators to Conduct Their Research.

HC-2A: The OVPR will allocate funds (initially up to \$30K/year) for course release (for Main Campus researchers).

*Metric: Increased numbers of research proposals and awards received as a result of course release. This will be reviewed annually by the OVPR and fund may be increased or decreased based upon success of the program.*

HC-2B: The OVPR will allocate seed funds (initially \$20K/year) to support fields with limited external funding and will work with the RAC to set up equitable means for awarding these funds.

*Metric: Increased number of research projects enabled as a result of these funds. This will be reviewed annually by the OVPR and fund may be increased or decreased based upon success of the program.*

HC-2C: The OVPR will coordinate with Graduate Studies and University Libraries Subject-Area Librarians to develop a Pilot Program where graduate students provide support for proposal preparation for departmental research involving graduate student researchers.

*Metric: Effectiveness of pilot program to be assessed by graduate student researchers, PIs, FRDO, OSP, Subject-Area Librarians and Graduate Studies. Administrative burden for research is reduced as ascertained by survey of PIs participating in pilot program.*

HC-2D: The OVPR will convene a task force to study how research administrative support is allocated throughout the campus. The task force will identify opportunities for enhanced administrative support for researchers. The task force will provide recommendations to the VPR for evaluation and resource allocation.

*Metric: Reduced administrative burden to researchers to allow for more time conducting research as ascertained through annual RSP survey.*

### **HC-3 Foster an Environment of Support and Mentorship within the Research Community.**

HC-3A: The OVPR will coordinate with the ADVANCE program to develop a mentorship/support program for junior faculty and underrepresented faculty members that includes how to develop effective relationships with funding agency program managers. Volunteer expert, senior level faculty, and national laboratory retirees will be recruited to support this program. The new program will sponsor events to gain awareness and support mentorship activities.

*Metric: Participating junior and underrepresented faculty will be surveyed to determine the effectiveness of the program.*

HC-3B: The OVPR will explore opportunities to leverage expertise from National Laboratory retirees (both researchers and senior managers).

*Metric: Increased engagement with local human resources outside of UNM.*

### **HC-4 Create a Task Force for the Establishment of Incentives for Research Excellence.**

HC-4A: The Provost's Office will (i) convene a task force to establish and (ii) implement a policy for salary incentives for research active faculty.

*Metric: Participation of faculty in incentive program(s). Department Chairs and Center Directors will be surveyed to determine if the faculty are aware and taking advantage of the available incentives.*

HC-4B: The task force will consider means to normalize flexible appointments across colleges as a way to incentivize research.

*Metric: Promulgation of normalized, flexible appointment policy. Department Chairs and Center Directors will be surveyed to determine if the faculty are aware and taking advantage of the available incentives.*

HC-4C: The task force will develop a plan for future cross-department appointments (joint/secondary appointments; cluster hires) that includes promotion and tenure considerations.

*Metric: Enhanced number of cross-department appointments. Department Chairs and Center Directors will be surveyed to determine if the faculty are aware and taking advantage of the available incentives.*

HC-4D: The task force will explore the possibility of providing options in the honorific titles given to distinguished professors.

*Metric: Guidelines are developed and provided for distinguished professors to be bestowed honorific titles.*

## INFRASTRUCTURE

Christopher C. Witt (Chair), Theodore Jojola (Co-Chair), Karl Benedict, Katie Witkiewitz, Joel Straquadine, Steve Cabaniss, Abhaya Datye, Kathryn Jacobson, Linda Petree, Jennifer Kavka, Mary Jo Daniel, Emily Ballo

The goal of this working group was to assess the research infrastructure on UNM Main Campus, and to make recommendations on the basis of that assessment. Research infrastructure comprises facilities, service centers, major equipment, instruments, technologies, and administrative support units that provide or enhance research capability or capacity.

### OBJECTIVES, TASKS & METRICS

#### **I-1 Improve efficiency of research administrative services provided by the Office of Sponsored Projects (OSP) and improve coordination between OVPR Faculty Research Development Office (FRDO) and OSP.**

I-1A: OVPR leadership will provide input into the goals and annual performance review of the OSP Director to ensure a consistent focus on a PI/customer service approach and will meet at least monthly with financial services leadership to review processes and collaborations between OSP and FRDO.

*Metric: Improved customer service in OSP as ascertained through annual RSP Survey.*

I-1B: The OVPR will engage with the Controller to establish a visiting committee to conduct an external evaluation of OSP procedures and processes to suggest improved approaches.

*Metric: External evaluation completed and report of findings and recommendations submitted.*

I-1C: The OVPR and OSP will implement and evaluate a pilot project in which one or two Contract & Grant Administrators (CGAs) from OSP (Pre-Award) are voluntarily assigned to a College Dean's office (or equivalent) to work as part of a research team that includes an ADR (or equivalent) and a Faculty Research Support Officer (FRSO).

*Metric: Evaluation of pilot is completed by CGA(s), OSP Director, ADR, Director of FRDO and AVPR.*

I-1D: The OVPR and the Director of FRDO will work with OSP to evaluate and improve (if necessary) the quality of data and data reporting in Cayuse. The OVPR website will link to the new OSP dashboard.

*Metric: Data in Cayuse is accurate and reliable. Researchers, leadership and administrators can access research award data reports in a timely, efficient manner.*

#### **I-2 More efficiently manage research equipment and facilities and plan strategically for future needs.**

I-2A: OVPR will create a standing Large Equipment Advisory Group (LEAG) comprised of representatives of College of Arts and Sciences (A&S), School of Engineering (SOE), Category 3 Centers, and Plant Physical Department (PPD) (i) to identify significant gaps in research equipment, (ii) to serve as the limited competitions review committee for major instrumentation programs and (iii) to serve as the review committee for the internal equipment fund (see I-2C)

*Metric: Equipment gaps identified are filled, enabling submission of proposals in new areas; success in MRI proposals.*

I-2B: OVPR and LEAG will coordinate the development and annual update of a main campus Research Equipment Inventory of shared-use equipment.

*Metric: Inventory completed and use of shared equipment increases.*

I-2C: OVPR and LEAG will reinstate the internal equipment fund (if funds are available) to repair/update key research equipment through a competitive process.

*Metric: Funds allocated through competitive process.*

I-2D: The OVPR will invite the FAMIS Data Manager to make a presentation to ADRs and Center Directors (CDs) each year to communicate the importance of keeping the FAMIS database updated with accurate information. In addition, the OVPR will invite representatives from PPD & Planning, Design and Construction (PDC) to make a presentation to ADRs and CDs regarding how to access architectural, engineering and maintenance services.

*Metric: FAMIS data is deemed reliable by FSM and other users.*

I-2E: The OVPR will engage with PPD and the PDC to provide input into the facilities master plan to identify future research facility needs and funding sources.

*Metric: Research facility needs included in Capital Request to Legislature (based on master plan).*

### **I-3 Improve OVPR visibility and effectiveness in supporting research.**

I-3A: OVPR will develop a mission statement and incorporate a stronger customer service based approach.

*Metric: Mission statement along with Research Strategic Plan will be posted on OVPR website. Perceptions of faculty will be assessed in annual RSP survey and survey results will be made available on the OVPR website.*

I-3B: VPR and/or AVPR (with the appropriate ADR) will regularly attend department faculty meetings to hear and address research concerns and promote OVPR mission and services.

*Metric: # of meetings attended each semester.*

I-3C: The OVPR will create an easily accessible "road map" of the UNM research process and resources to be posted on the OVPR website.

*Metric: Ease of access and one-stop-shop for process/resource information for researchers/research staff.*

I-3D: The OVPR will serve as an advocate for the research community and will continue, on a case-by-case basis, to assist and facilitate interactions with support offices to ensure that important research needs are met in a timely and satisfactory manner.

*Metric: Increased satisfaction of research community with OVPR advocacy as ascertained through annual RSP Survey.*

#### **I-4 Improve research IT capacity and services.**

I-4A: OVPR will provide input into Central IT restructuring process to ensure research computing needs are addressed.

*Metric: Faculty satisfaction with Central IT support of research increases in annual RSP survey.*

I-4B: The Center for Advanced Research Computing (CARC) will develop a strategic plan to better meet the needs of their users and expand services to future users. In the strategic plan, they will develop a funding model to enable the expansion of CARC's research support that does not solely rely on OVPR funding.

*Metric: Number of CARC users increases.*

## FEDERAL & STATE GOVERNMENTAL RELATIONS

Karl Benedict (Chair), Ivan Deutsch (Co-Chair), Gabriel Sanchez, Anne Jakle, Melissa Binder, Shirley Baros, Meriah E. Heredia-Griego.

The goal of the Working Group on Federal and State Governmental Relations (FSGR) was to examine UNM's current practices as they relate to (i) the development and execution of the institutional legislative priorities and initiatives; (ii) activities and alliances with federal laboratories (including national laboratories and other federally funded labs); and (iii) building and maintaining linkages with funding agencies at the regional, state and federal levels. From the results of this background work, the FSGR developed recommendations for ways in which UNM can (i) improve its performance in the areas of developing and achieving its legislative priorities, (ii) more effectively build and maintain productive relationships with federal laboratories, and (iii) enhance the competitiveness of UNM's researchers through expanding and improving relations with sponsoring agencies.

### OBJECTIVES, TASKS & METRICS

#### **FSG-1 Improve the Process of Developing UNM's Federal and Legislative Priorities as it Relates to UNM's Research Focus Areas.**

FSG-1A: The OVPR will coordinate with the Office of Government and Community Relations to organize forums to consult annually with ADRs, CDs and other key campus stakeholders on recommendations that will be developed into UNM's legislative priorities.

*Metric: Enhanced awareness and participation in recommendations for legislative priorities as ascertained through annual RSP survey.*

FSG-1B: The OVPR will work with the Office of Government and Community Relations to seek NM legislative appropriation for cost share on grants that contribute significantly to institutional infrastructure.

*Metric: Legislative appropriation designated for cost share of major federal grants.*

#### **FSG-2 Improve and Grow the Relationships with the National Laboratories.**

FSG-2A: The OVPR will work with the Assoc. Provost for National Laboratory Relations to monitor the National Laboratories for new research and collaborative opportunities.

*Metric: Yearly progress report of potentially new research and collaborative opportunities to ADRs/CDs.*

FSG-2B: The OVPR will work with the Assoc. Provost for National Laboratory Relations to seek new opportunities for joint ventures between UNM and the national laboratory partners.

*Metric: Submission of proposed new joint ventures between SNL/UNM and LANL/UNM.*

FSG-2C: The OVPR Staff will review mechanisms for graduate students to perform Ph.D. dissertation research at the laboratories using the Advanced Materials Laboratory (AML) and Center for Quantum Information and Control (CQuIC) as case studies.

*Metric: Development of a draft for a policy for graduate students to conduct dissertation research at the national laboratories.*

FSG-2D: The OVPR will work with the Assoc. Provost for National Laboratory Relations and the Senior Vice Provost for Academic Affairs to review and disseminate the eligibility, roles, and responsibilities for laboratory faculty designations (letters of academic title, National Laboratory Professors, joint hires).

*Metric: Review is completed and dissemination to department chairs has occurred.*

FSG-2E: The OVPR will work with the Provost's Office (Faculty Affairs) to develop the jointly crafted and well-communicated processes for effectively and efficiently supporting joint hires with the national laboratories.

*Metric: The jointly crafted process for joint hires has been disseminated to department chairs and center directors.*

### **FSG-3 Strengthen Institutional Linkages and Enhance Relationships with Funding Agencies.**

FSG-3A: The OVPR Staff will develop a strategy for systematically identifying and promoting opportunities for senior UNM researchers to serve in funding agency rotator positions.

*Metric: OVPR will liaise with funding agencies and help identify senior faculty to apply for rotator positions.*

## CORPORATE RELATIONS

Gabriel Lopez (VPR, Chair), Steve Brueck, Jeremy Edwards, Michele Huff, Lisa Kuuttila, Edl Schamiloglu, Wendy Stires, Richard Larson, Jeffrey Norenberg, Eric Prossnitz, Angela Wandinger-Ness

The broad goal of this group was to examine the current range of industrial interactions at UNM and propose new ways in which UNM can dramatically increase corporate-sponsored research. The group focused specifically on enhancing sponsored research agreements and gifts directly from corporate partners. It did not focus on enhancing SBIR/STTR funding, IP licensing and start-up formation, industrial service agreements, nor clinical trial agreements. Means to achieve the broad goal included: (i) reviewing academic corporate relations initiatives nationally and at selected exemplar institutions; (ii) identifying and assessing current mechanisms by which UNM is successful in securing industrially funded research, as well as barriers to such success; and (iii) reviewing institutional infrastructure at UNM (specifically OVPR, STC.UNM, UNM Foundation, OSP and OUC) for effectively engaging with corporate sponsors of research and identify best practices for approaching corporations, intellectual property agreements, publication agreements and contracting.

### OBJECTIVES, TASKS & METRICS

#### C-1 Establish an Office for Corporate-Sponsored Research.

C-1A: Convene a round-table (i) to optimize current campus infrastructure to maximize effectiveness of corporate relations and corporate-sponsored research, and (ii) to provide a regular forum for informational exchange regarding corporate relations.

*Metric: For continuation, establishment of the Roundtable should increase corporate-sponsored research 10%/year, on average, over the next 4 years.*

C-1B: Transition Roundtable into a formal Internal Advisory Committee (IAC) for a virtual Office of Corporate-Sponsored Research.

*Metric: Traffic to the virtual office will be monitored and analyzed for potential correlations to increase in corporate-sponsored research. Specific functions and components of the virtual office that are particularly effective will be bolstered.*

C-1C: Secure Funding for dedicated personnel for the Office of Corporate-Sponsored Research. The Roundtable/IAC of the Office of Corporate-Sponsored Research will seek funding (internal and external) to provide staff support for the Office's functions.

*Metric: Proposals and grants for internal and external funding to support the mission of the Roundtable/IAC will be monitored and fostered. These proposals can be from any of the units supporting the Roundtable/IAC.*

#### C-2 Establish a Comprehensive UNM Web Portal for Corporate-Sponsored Research.

C-2A: The Roundtable/IAC will construct a user-friendly, easily searchable, web portal that will form the basis of a virtual UNM Office of Corporate-Sponsored Research.

*Metric: Traffic to the UNM Web Portal will be monitored and analyzed for potential correlations to increases in corporate-sponsored research.*

C-2B: Add to the Web Portal easy access to UNM policies (e.g., IP policies, indemnification policies, F&A policies) so that industrial sponsors can have easy access to the basic terms and conditions by which UNM can engage in sponsored research and clear explanations of the reasons for these policies.

*Metric: Traffic and downloads to these parts of the UNM Web Portal will be monitored and analyzed for potential correlations to increases in corporate-sponsored research. Specific functions and components of the virtual office that are particularly effective will be made more prominent on the Portal's homepage.*

C-2C: Add to the Web Portal an Experts Registry that will allow prospective industry sponsors to easily gain knowledge about the capabilities of UNM investigators and infrastructure facilities that are of potential benefit to their business mission.

*Metric: Traffic and downloads to this part of the UNM Web Portal will be monitored and analyzed for potential correlations to increases in corporate-sponsored research. Participating investigators and infrastructure facilities will be surveyed to obtain their views of the effectiveness of the Experts Registry.*

### **C-3 Establish New Model for OSP to Facilitate Corporate-Sponsored Research.**

C-3A: The Roundtable/IAC will work with OSP (Pre-Award) to identify CGAs that are (or will be trained to become) expert in engaging with industry and negotiating corporate funded research contracts. Depending on increase in demand, 1 or 2 CGAs will be given explicit job duties that allow them to facilitate corporate-funded research across the main campus. These duties will include interfacing with the Office of University Council (OUC) as necessary on complex contract negotiations.

*Metric: Turnaround time for completion of negotiations with corporate research funders will be monitored and correlations with increases in corporate funding rates will be sought. A set of PIs who routinely secure corporate-funded research contracts will be chosen as a "focus group" and will be surveyed as to their satisfaction in new processes implemented and their recommendations for further improvements.*

C-3B: The Roundtable/IAC will work with OSP's to identify contract Fiscal Monitors (FMs) in Post-Award that are (or will be trained to become) expert in regulations regarding corporate-sponsored research including fixed price contracts. Depending on increase in demand, 1 or 2 FMs will be given explicit job duties that allow them to facilitate corporate-funded research across the main campus. These duties will include interfacing with Purchasing, HR and other UNM departments as necessary to implement nonstandard contracts.

*Metric: A set of PIs who routinely secure corporate-funded research contracts will be chosen as a "focus group" and will be surveyed as to their satisfaction in new processes implemented and their recommendations for further improvements.*

C-3C: The Roundtable/IAC will work with OSP (Pre-Award) and Contract and Grant Accounting (Post-Award) to minimize and mitigate instances when companies default on payments for services in subcontracts (e.g., in SBIR and STTR Programs). In Pre-Award, such subcontracts can be negotiated to be either fixed price, or so that a minimum amount of the subcontract is provided up-front (e.g., 50%) to minimize the threat of default on the subcontract. In Post-Award, billing for services rendered can be expedited on a monthly basis and, if payment is not made within a specified number of days (e.g., 15 days), performance of the contract can be stopped.

*Metric: A set of PIs who routinely secure corporate-funded research contracts will be chosen as a "focus group" and will be surveyed as to their satisfaction in new processes implemented and their recommendations for further improvements.*

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# TENTATIVE TIMELINE

Tasks	Spring FY17	Fall FY2018	Spring FY18	Fall FY19	Spring FY19	Fall FY20	Spring FY20
C-1A							
C-3B							
HC-1A							
HC-1C							
HC-2C							
HC-4D							
I-1A							
I-1D							
I-2D							
I-3A							
I-3B							
I-3C							
I-3D							
I-4A							
I-4B							
RE-2A							
RE-2C							
RE-3B							
FSG-1A							
FSG-2A							
FSG-2B							
FSG-2D							
HC-1B							
I-1C							
I-2A							
I-2B							
I-2C							
C-1B							
C-2A							
C-2B							
C-2C							
C-3A							
C-3C							
HC-2A							
HC-2B							
HC-2D							
HC-4A							
HC-4B							
HC-4C							
I-1B							
RE-1A							
RE-1B							
RE-1C							
RE-1D							
RE-2B							
FSG-1B							
FSG-2C							
FSG-2E							
HC-3A							
HC-3B							
I-2E							
FSG-3A							
C-1C							
RE-3A							

Corporate = C  
 Research Excellence = RE  
 Human Capital = HC  
 Fed/State Government Relations = FSG  
 Infrastructure = I

Spring FY17 = 01/01/2017-06/30/2017  
 Fall FY18 = 07/01/2017-12/31/2017  
 Spring FY18 = 01/01/2018-06/30/2018  
 Fall FY19 = 07/01/2018-12/31/2018  
 Spring FY19 = 01/01/2019-06/30/2019  
 Fall FY20 = 07/01/2019-12/31/2019  
 Spring FY20 = 01/01/2020-06/30/2020

