# Comparing Internal Structures Guide

**How Universities are Structured to Work with Industry**

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**University Industry**
Demonstration Partnership

**ABOUT THE UIDP**

*At the UIDP, we have different perspectives and one focus: improving University-Industry (U-I) partnerships. The UIDP is a unique project-oriented forum where representatives from academia and industry seek opportunities to develop new approaches to working together. Our membership comprises some of the finest innovation companies and best research universities in the world: organizations committed to active participation in pursuit of excellence in U-I collaboration and partnership. At the UIDP, we don't just talk about problems, we solve them.*

University Industry Demonstration Partnership
www.uidp.org · info@uidp.net

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# Comparing Internal Structures to Promote U-I Collaboration: How Universities Are Structured to Work With Industry

The University Industry Demonstration Partnership (UIDP) undertakes projects to help its academic and corporate members advance their interests through greater collaboration and partnerships between sectors. This guide was developed in an effort to enhance the understanding of the various roles and responsibilities within universities. It is important for both university and industry partners to have a baseline knowledge of how their organizations operate in order to execute efficient and effective collaborations.

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## INTRODUCTION

Most universities are large, complex organizations that possess a multitude of offices that have some clearly defined responsibilities for industry engagement. For a company with a limited history of university relations, partnering with a university can be confusing and frustrating. Although both types of institutions have a defined organizational structure, it is not always clear at a university which office sets the university's strategic direction and priorities, who bears ultimate responsibility for a particular transaction, and which other offices need to be involved. Communications among various offices can affect the ability to initiate new activities and, for sponsored research, extend the timeline for negotiations and negatively affect future efforts with a company.

For corporate representatives possessing various levels of sophistication in understanding the academic structure and terminology common to research universities, the challenge of university engagement can be daunting. At the majority of academic research institutions, there are dedicated offices whose chief goal is to aid corporate officials in navigating the complex research ecosystem at a world-class university.

This guide is designed to educate company representatives on how universities are structured, how they operate, and how dealing with a university in the context of establishing a sponsored research contract or interaction may differ from dealing with a commercial subcontractor.

## ACADEMIC OFFICES AND GENERAL RESPONSIBILITIES

Each academic institution has a unique organizational structure that is subject to constant review, evaluation, and change. The office that handles particular subject matter, and the name of that office, will vary from university to university. However, most institutions, and most corporate-sponsored research engagements, share a common set of roles and responsibilities that must be satisfied regardless of organizational structure. Clarifying the primary office or contact person for each responsibility will lead to more efficient project engagements, shared expectations, and improved business relationships with partners.

| Function | | Primary Responsibilities | Desired Outcomes (How Success Is Measured) | Sample Titles of Offices |
|---|---|---|---|---|
| Faculty/ Researcher/ Principal Investigator (PI) | Researcher Role | • Identify areas of research and proposals that will attract corporate funding and deliver on promises in Statement of Work | • Increase and diversify research funding sources<br>• Develop and commercialize new technology (including patents) | N/A |
| | Consulting Role | • Perform consulting services for company that may or may not be overseen by university<br>• Advise faculty on potential financial and business conflicts of interest | • Increase consulting revenue from companies<br>• Ensure no conflicts of interest with university | • Faculty Consulting Office<br>• General Counsel<br>• Legal Affairs<br>• May have no formal office |
| Corporate Relations and Development | Corporate Relations (may be separate from development office; may be housed elsewhere at university, and/ or in individual schools) | • Identify, engage, and maintain relationships, including research and non-research funding opportunities | • Provide total customer satisfaction for industry across full range of engagement (including research, fellowships, services, student employment)<br>• Increase overall revenues from company, including sponsored research<br>• Increase portfolio of key industry partners | • Corporate Relations<br>• Corporate Engagement<br>• Corporate Partnerships<br>• Industry Relations<br>• Industry Partnerships |
| | Development | • Alumni relations/fundraising<br>• Process corporate gifts and other incoming unrestricted funds (if money is tied to a particular project, program, or PI or spending is otherwise restricted, it will be set up as a grant outside of the development office)<br>• Determine and/or apply guidelines to differentiate between gifts and grants | • Increase overall revenues from industry, including sponsored research and strategic philanthropy<br>• Increase engagement with donors, corporate partners, and nonprofit foundations | • University Development<br>• Alumni Relations and Development<br>• University Relations |
| Agreement Negotiations | | • Negotiate sponsored research agreements<br>• Negotiate related agreements (Master Agreement, Non-Disclosure Agreement, Data Use Agreement, Specialized Services/Testing Agreements, IP Agreement, Memorandum of Understanding, etc.) | • Reduce time to contract execution<br>• Increase number of industry-sponsored research agreements and associated revenues<br>• Ensure compliance with university policies | • Research Administration<br>• Sponsored Research<br>• Sponsored Projects<br>• Sponsored Programs |
| Career Services/Talent Acquisition | | • Work with corporate partners and university students on recruiting opportunities, fellowships, internships, etc. | • Maximize placement opportunities for students | • Career Services<br>• Career Advancement<br>• Career Management<br>• Career Development |
| Financial Administration | | • Oversee financial aspects of research agreement and other revenues/expenditures<br>• Set up accounts for project spending<br>• Issue invoices and receive payments from companies | • Maximize revenues<br>• Minimize waste<br>• Ensure compliance with accounting standards and policies<br>• Prevent audit findings | • Finance and Administration<br>• Financial and Operations<br>• Accounting Services |

| Function | Primary Responsibilities | Desired Outcomes (How Success Is Measured) | Sample Titles of Offices |
|---|---|---|---|
| Technology Commercialization/ Intellectual Property (IP) | · Identify key technologies with commercial potential and connect faculty, students, small businesses, and potential licensees to move through Technology Readiness Levels<br>· Cultivate faculty, student, and third-party startup companies<br>· Analyze invention disclosures and file applications to secure patent and/or IP protection<br>· Manage copyright generated from sponsored research (in some institutions)<br>· License future and existing IP rights<br>· Manage existing IP and anticipated IP arising from research (may be handled by different offices) | · Increase number of issued patents, applications, and invention disclosures<br>· Generate licensing royalty revenues<br>· Improve success rate of faculty and student startups<br>· Increase likelihood of successful technology commercialization<br>· Ensure compliance with university IP policies and retain some level of involvement with industry-licensed IP | · Technology Transfer<br>· Technology Management<br>· Technology Licensing<br>· Technology Commercialization<br>· Technology Development |
| College/Departmental Administration | · Approve and oversee use of departmental resources on the project (faculty time, postdoc assignment, lab space, and overhead)<br>· Ensure compliance with Non-Disclosure Agreements and Confidential Disclosure Agreements<br>· Identify and help to resolve faculty issues | · Increase research funding for department<br>· Anticipate any compliance issues with research<br>· Improve faculty satisfaction | · Research Administration<br>· Research and Project Administration |
| Upper Administration | · Make decisions on strategic partner engagements, direction of university research programs, etc. | · Improve upon many direct metrics, such as reputation, revenue, and enrollment | · Provost<br>· Chancellor<br>· President |
| Export Controls | · Ensure compliance with export control laws<br>· Impose technology control plans to restrict disclosure of sensitive information<br>· Ensure overall research program is consistent with fundamental research | · Maintain fundamental research as a large proportion of research portfolio<br>· Tightly control small portion of classified or restricted research (if applicable)<br>· Prevent export control violations<br>· Prevent discrimination against foreign nationals | · Export Controls<br>· Export Control Compliance |
| Student Projects | · Engage students in designing, constructing, executing, and marketing projects recognizable to industry representatives | · Increase financial support from companies<br>· Increase number of industry representatives providing mentorship<br>· Generate IP and transfer technology<br>· Increase exposure to industry | · Student Affairs<br>· Individual University Academic Departments |

| Function | Primary Responsibilities | Desired Outcomes (How Success Is Measured) | Sample Titles of Offices |
|---|---|---|---|
| Talent Development | · Work with corporate partners and university faculty and students on creating or improving skill sets of students for eventual hire | · Increase student full-time hires<br>· Increase student internships<br>· Increase corporate–faculty collaboration designed to create or hone student skills (e.g., sabbaticals spent in a company, co-locating) | · Career Services<br>· Talent Development |
| Economic Development | · Assist faculty and students in business creation and development<br>· Act as resource for public for business creation and development<br>· Partner with governmental agencies on business creation and development | · Interact with public in business creation and development<br>· Increase businesses created with faculty and/or student involvement<br>· Increase businesses retained in the state or community via involvement with governmental agencies | · Economic Development<br>· Business Development<br>· Tech Transfer<br>· New Ventures |
| Public Relations | · Coordinate press releases and publicity concerning project, research, and relationship between company and university | · Protect and promote university's reputation (however measured by institution) | · Public Affairs<br>· Public Relations<br>· Public Affairs and Communications |
| Clinical Trials | · Review, approve, and monitor the conduct and reporting of clinical trials, thereby ensuring the scientific validity and reproducibility of study results | · Prove safety and efficacy of a study drug, device, or procedure<br>· Ensure efficient, rapid, and full subject enrollment. | · Office of Research<br>· Institutional Review Board (IRB)<br>· Sponsored Research<br>· Accounting Services for Research and Sponsored Programs<br>· Research Integrity<br>· Center for Clinical Research |
| Governmental Affairs | · Analyze and negotiate governmental issues and policies that may affect sponsor relations<br>· Process grants and sponsored agreements with federal flow-through<br>· Lobby as appropriate | · Prevent violations of governmental regulations | · Government Relations<br>· Governmental Affairs |
| Legal | · Provide formal legal advice on behalf of university<br>· Ensure compliance with policy on legal issues in agreement (venue, jurisdiction, dispute resolution)<br>· May counsel university personnel on consulting engagements with companies | · Mitigate legal risk and liability across university, including industry engagements | · General Counsel<br>· Legal Affairs |

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|---|---|---|---|---|
| Policy and Compliance | Conflict of Interest | · Identify and manage financial conflicts for faculty or participants with financial stake in the sponsor organization or a related startup company or related patented technologies<br>· Manage organizational conflicts between university, company, and third parties | · Prevent violations of governmental regulations or university policies | · Conflict of Interest Office<br>· Research Compliance |
| | Research Safety | · Ensure that university personnel maintain safe facilities and environment for research<br>· Ensure that company researchers or collaborators adhere to university safety policies when visiting or using university facilities<br>· May impose standards or procedures for university personnel doing research at company or off-site facilities | · Reduce risk, exposure, and financial liability<br>· Minimize safety incidents | · Research Safety<br>· Research Compliance<br>· Environmental Health and Safety |
| | Risk Management | · Review insurance requirements in agreement and provide certificate of insurance<br>· Review and determine acceptability of liability and warranty terms as necessary | · Reduce risk, exposure, and financial liability | · Risk Management<br>· Risk Management and Insurance |
| | Humans and Animals | · If project involves human or animal subjects, determination needed from Institutional Review Board (IRB) or Institutional Animal Care and Use Committee (IACUC).<br>· IRB/IACUC involvement typically has a long time frame. | · Reduce risk, exposure, and financial liability | · Institutional Review Board (IRB)<br>· Institutional Animal Care and Use Committee (IACUC) |
| | Tax Issues | · Evaluate tax implications of gifts<br>· Evaluate tax-exempt bond issues with private business use if sponsor is doing work on campus or if IP is exclusively licensed to sponsor | · Reduce risk, exposure, and financial liability | · Financial Management Services<br>· Financial Operations<br>· Tax Management<br>· Legal Affairs |

## DIRECT AND INDIRECT CONTACTS AT THE UNIVERSITY

In most research engagements between a university and a company, there will be either one primary contact point from each side or a small number of key individuals, each of whom will serve as the primary contact point at various stages and on various issues in the engagement. Within each organization, there are levels or tiers of offices that will have increasingly less direct contact with the partner, though all of these offices are integral to the engagement. From a corporate sponsor's perspective, communicating directly with all offices would be inefficient and frustrating. Thus, the higher-tier offices communicate internally with lower-tier offices in order to streamline the process as it appears to the company.

## UIDP Rings of Engagement



UNIVERSITY                                                    INDUSTRY
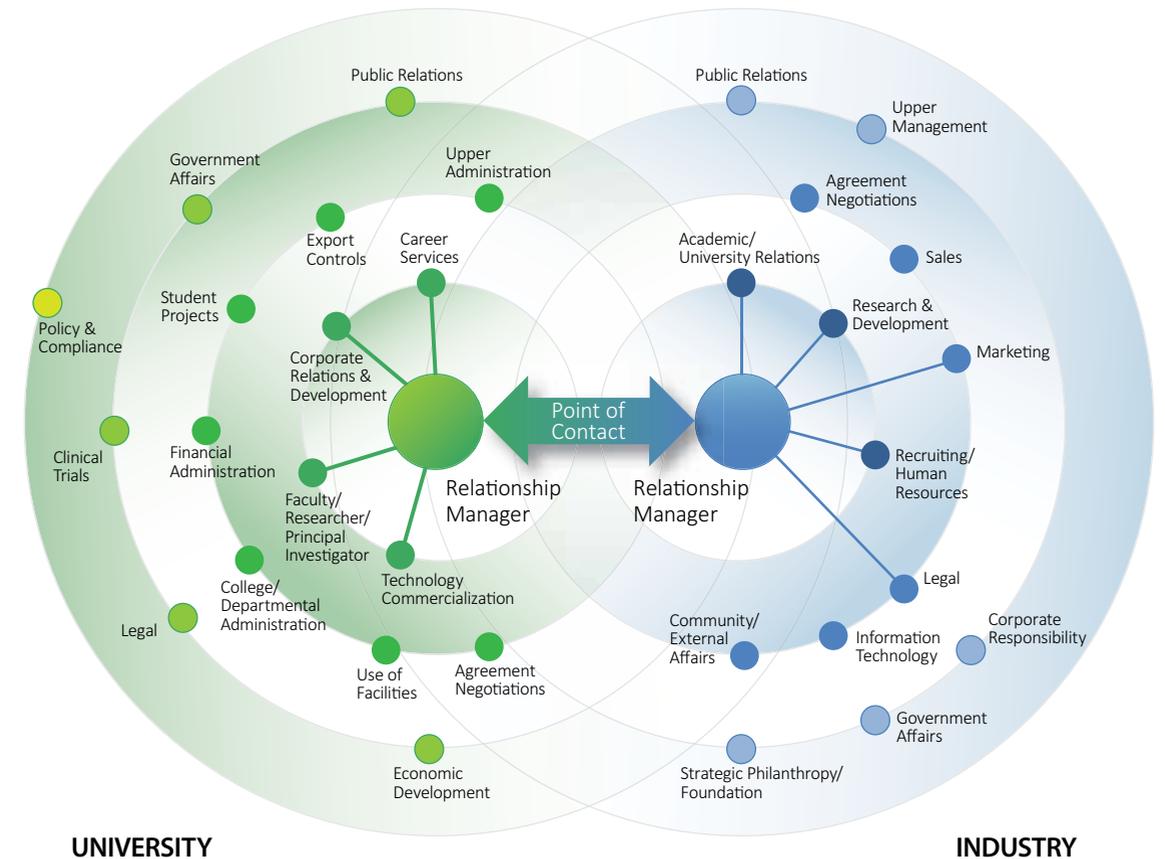
**OBTAINING UNIVERSITY SIGNATURE**

Although many offices and individuals at a university will need to "sign off" on various issues related to a sponsored research engagement, the ultimate decision-making authority will vary depending on the degree of centralization and integration among units. Generally, the individuals who will make decisions and approve sponsored research agreements or other collaboration forms will include one or more of the following:

· Corporate Relations Executive Director
· Sponsored Programs/Research Executive Director
· Senior Vice President of Office of Research
· Dean/Research Dean of Principal Investigator's Department
· Senior Vice President of Office of General Counsel
· Senior Vice President of Finance and Administration
· Career Services Executive Director
· Senior Vice President of Governmental Relations
· President/Chancellor of University
· Board of Trustees of University

**SELF-ASSESSMENT CHECKLISTS FOR ENGAGEMENT**

Before engaging with a partner, the university and the company should each perform an internal evaluation to determine their true interests in funding or accepting private funding for sponsored research and to ensure that their expectations match their partner's.

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