Successful Institutional-Industry Collaborations: Resources and Information for Researchers, Coordinators and Administrators

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Learning objective
University-Industry Demonstration Partnership

The UIDP is an organization of universities and companies convened by the National Academies to enhance the environment for university-industry partnerships in the U.S.

Northwestern University is a member institution.
“For both industry and university collaborators, it’s useful to understand what the other party is going to expect and how it is going to perform.”

- Jilda Garton, Vice-president and general manager
  Georgia Tech Research Corporation
For the Institution

Managing Expectations
Benefits/Challenges of working with industry
Establishing Contacts
Preparing proposals
Budgeting
Compliance Issues
Confidential/Proprietary information (publications)
Consulting and outside activities
Intellectual property concerns
Long-term relationships
Managing Expectations

Preparation – who and when

Sponsor-initiated or PI-initiated?

- Research administrator and/or study staff
- Corporate Relations (D Spiegler, FSM)
- Innovation and New Ventures Office
  http://invo.northwestern.edu/
- Office for Sponsored Research (Contracts Officer)
Managing Expectations

PI - corporate scientist engagement
Discuss a specific project, focus on the research
Determine the corporate administrative contact

Key points for Northwestern University
- Engage internal experts for advice and direction
- Seek external support for your idea
- After conceptual agreement, proceed with a formal proposal and budget
Benefits and Challenges

• Types of engagement
  – Parallel/Complementary
  – Extension of Existing Research
  – Fee for Service

• Opportunities and challenges

• Caution: Fee for Service and Consulting
Benefits and Challenges

• Key points for Northwestern University
  – Know what NU offers (CORE facilities, research in other departments, etc.)
  – Most companies are goal-oriented, with tight timelines
  – Confidentiality
  – Keep appropriate NU offices “in the loop”
Establishing Contacts with Industry

• Multiple ways:
  – NU initiates contact
  – Company initiates contact
  – Meet at conferences and symposia

• NU Office of Corporate Relations, work with Sacha Patera

• NU FSM Development, contact Dave Spiegler
Preparing Proposals

• Identifying and approaching funding sources
• Proposal elements
• Statement of work and deliverables
• Preparing for industry reviews
• Key points for Northwestern University
  – Know the corporation’s strategic objectives and tailor proposal to fit within those objectives
  – Under promise / Over deliver
  – Maintain good communication (ask the same of corporate partner)
Budgeting

• Industry budgets differ greatly from federal
  – Restrictions
  – Budgetary system
  – Total cost focus

» Key points for Northwestern University
  • Apply the proper indirect (F&A) rates
  • Departments are responsible for negotiating budgets
Compliance Requirements

• Standards (e.g. – GMP, GCP, etc.)
• Human or animal subjects
• Export control
• Key points for Northwestern University
  – Caution: GMP and GLP
  – Don’t just assume industry sponsor knows the university compliance/administrative environment (COI, Biosafety, and other possible reviews, for example)
  – Export Controls
Confidential / Proprietary Information (Publication Issues)

• Differing missions
• Institutional need to disseminate information
• Protecting confidential information
• Key points for Northwestern University
  – Publication/Data use rights are necessary
  – All CDAs (NDAs) must be reviewed by OSR
  – Know if you have confidential information that will require protection
Consulting/outside Activity

- Consulting for outside entities
- Planning
- Consulting for an employee-owned company
- Responsibility for professional services
- Intellectual property
- Conflicts of interest

Key points for Northwestern University

- COI disclosure and management
- Usually on a PI’s own time; be aware of effort reporting and potential intellectual property issues.
### Intellectual Property Concerns

- Existing related (background) IP
- New (foreground) IP
- License agreements

- Key points for Northwestern University
  - Contact INVO if Background IP
  - NU usually grants an option to negotiate a license (license negotiations handled by INVO)
Long Term Relationships

• Strategic, long-term arrangement
• Key factors
  – Longevity of the collaboration
  – Selecting the right partners
  – Planning and structuring collaborative arrangements
• Key points for Northwestern University
  – Is the company financially stable?
  – Has NU worked with the company before?
For the Corporate Partner

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Get Involved:

- NCURA
- SRA
- NURAP
- ACCR
- MAGI
Resources

UIDP: The Researcher Guidebook
UIDP: Guiding Principles
http://sites.nationalacademies.org/PGA/uidp/PGA_055253

*Difficult Conversations: How to Discuss What Matters Most* (Stone, Patten, and Heen)
Thank you!