



OFFICE of the VICE PRESIDENT for RESEARCH

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Research Office Annual Report

Fiscal Year 2011

July 1, 2010 through June 30, 2011

Submitted:

Introduction:

The Research Office is a central administrative unit with the mission to advance the success of the OSU research enterprise, and the success of OSU faculty and students, by facilitating the rigorous pursuit of discovery, scholarship, and innovation while maintaining the highest professional and ethical standards. The office has leadership, service, support, assistance and oversight functions; and the goals of our unit have been to enhance the competitive stance of faculty, staff and students in major research ventures that bear on significant national issues.

FY2011 PROGRAMMATIC ACHIEVEMENTS

FY2011 was an active year. A summary organizational chart, showing our current organization, is appended to the end of this document. Similarly, activity reports are appended. Key activities and events include:

- Dr. Spinrad joined the university on July 1, 2010 as Vice President for Research.
- OSU faculty members were awarded in excess of \$208 million in sponsored program awards. Total research revenues brought into the university exceeded \$261.7 million.
- Steps were taken to expand centrally supported research centers, institutes and facilities. The Center for Latino/Latina Studies and Education (CL@SE), a jointly managed center between the Research Office and Extension, was submitted to the Provost for final approval this year and a proposal for a Materials Synthesis and Characterization Facility is currently under final revision.
- The Office of Technology Transfer was restructured and renamed the Office for Commercialization and Corporate Development and with a few key strategic hires, is structured to address growth in commercial sectors.
- The Office of Research Integrity (ORI) hired coordinators for both the IRB and IACUC programs. The Research Office successfully concluded a search for a Diving Safety Officer, but unfortunately, the incumbent departed for California at the end of the academic year. The Research Office initiated a search for an ORI Director. It is anticipated that this search will be completed within the next several months.
- The Research Office sponsored an "NSF Day" on campus in April. The event attracted faculty not only from Oregon Universities but also from institutions as far away as Massachusetts and Pennsylvania.
- With the generous support of the Provost, the Research Office helped manage the roll-out of "URISC: Start", a program aimed at engaging students in the earliest stages of their academic careers in the scholarly pursuits of their faculty advisors/mentors.
- The Research Office completed the final draft of the first ever OSU Research Agenda. This will serve as a foundation for building on even more robust research portfolio, consonant with the University Strategic Plan.

Student engagement and success:

The Office for Commercialization and Corporate Development (OCCD) provided \$30,000 to the College of Business Integrated Business Projects, a cornerstone of the MBA Program to evaluate select-OSU inventions. This initiative provides real-world learning opportunities for students, by having them evaluate promising near-

term markets and create business / commercialization plans, which, in turn, helps accelerate commercialization of OSU innovations. Additionally, student lectures and discussions were presented within multiple colleges and extension on intellectual property issues, licensing, confidentiality agreements, and impact.

The Office of Research Integrity (ORI) provides multiple faculty and student services. The staff offers an open weekly advising session for students preparing to draft IRB protocols. As part of her duties, the IRB Administrator attends graduate and undergraduate classes, leading discussions on research ethics and providing practical instruction for protocol submissions. Research Office staff also helped plan and execute a graduate course IST520X, Responsible Conduct of Research. Student interns continue to help staff ORI units. These experiences provide unique educational experiences for the students.

The Research Office provides funds for the Undergraduate Research, Innovation, Scholarship and Creativity (URISC) program. During FY 2011 the program received a total of 88 requests for \$293,520 for this program. Of these, the Research Office was able to support 37 proposals in the amount of \$62,505. The "URISC: Start" program received 42 requests for funding totaling \$34,435. Virtually all of these requests were honored as part of an effort to get freshmen engaged in research and scholarship activities.

Research and its impact:

The OSU Venture Development Fund (OSUVDF) and the OCCD have been able to provide leverage in the development of high risk / high potential OSU technologies. The OSUVDF has aligned its efforts with the state's Signature Research Centers, leveraging approximately \$375k in investments into \$775k from the SRC's. Several of these investments continue moving forward. For example, a novel organo-catalyst entered the market this year and Home Dialysis Plus is anticipating having a product on the market within the next twelve months. Prior licensing activities are beginning to have an impact – Formaldehyde-free adhesives licensed to Hercules (now Ashland) continue to gain market share and the transparent transistor technology has now been sublicensed to 3 out of the 4 largest flat screen display manufacturers in the world. OCCD supports institutional efforts to expand industrial outreach and contract execution, working collaboratively with the Office of Sponsored Programs and contributing to the industry awards this year.

OSP processed 1838 proposals (down 8% from 2010) in 2011. The university was awarded \$208,023,997 in sponsored programs (down 2% from 2010). The office handled 1914 (1926 in FY10) incoming awards and transactions, and wrote 351 outgoing transactions (up 5%). Also, in spite of some high profile challenges, OSP has been able to execute 63% of transactions (contracts, or similar vehicles) in one month or less which is down from FY10 previous performance measures.

OSU's competitive award totals are impressive, given the bulk of ARRA (stimulus) funds that were awarded in FY10. It is a testament to our faculty that federal awards only saw a \$1M decrease in Federal funding. The increase in outgoing subaward action demonstrates increased collaboration with outside organizations.

Over the past year, the Research Office has completed a search for a University Attending Veterinarian and we are in the process of completing a search for a Director for the Laboratory Animal Resource Center. Also, working with the Attending Veterinarian and key university faculty members, the Research Office is supporting the process to attain accreditation from the Association for Assessment and Accreditation of Laboratory Animal Care, International (AAALAC) for all of our animal-based programs.

The Conflict of Interest committee has initiated efforts to develop a policy concerning institutional conflicts of interest. It is anticipated that this policy will be developed over the next 12 to 18 months.

Finally, the Research Office continues to support nascent research efforts, especially for newer members of our faculty through the General Research fund, Faculty Release Time and Research Equipment grants, and, during faculty recruiting, the Research Office provided start-up funds in the form of capital equipment funds. As part of an ongoing effort to increase OSU's competitiveness, the Research Office contributed significantly to supporting proposal writing specialists to pursue large, multi-college and multi-institutional grants.

Outreach and engagement:

Each of the units within the Research Office has been working to present a unified and collaborative front to OSU faculty when issues that cut across OCCD, OSP and ORI are presented. This is initiated every fall when the Research Office conducts a New Faculty Orientation for entering faculty. In FY2011, the Research Office

hosted about 50 new faculty members. In addition, the Research Office hosted “National Science Foundation Day” on April 13, 2011. This one-day event brought representatives from the National Science Foundation (NSF) to campus. NSF was represented by staff from their Legislative Affairs as well as all of the Program Directorates. This was an opportunity for graduate students, postdoctoral researchers and faculty to hear from NSF Program Officers. Other colleges and universities in Oregon were also invited to attend. The session was attended by approximately 200 registered, on-site students, faculty and staff and on-line by an additional 53 individuals.

Offices have been working with other administrative units for Training Days, an Extension function this year. All units provide individual and group workshops and training sessions to faculty to increase the compliance, understanding, and communication levels with faculty and unit leaders.

Sponsored Programs participated in both Finance & Administration’s and Extension’s Training Days again this year. Sponsored Programs continued its informational meetings for departmental and college staff involved in research administration; these meetings are held every 6 weeks and offered guest speakers in addition to updates from national research administration meetings. Although these meetings are hosted by Sponsored Programs, information is provided jointly with the Office of Post Award Administration. Sponsored Programs also hosted meetings with Business Center Managers and Post-Award Administration staff. Two other outreach activities of note were participation in a College of Liberal Arts Grant Writing seminar and leadership of a workgroup convened to improve performance on international agreements and subcontracts. This workgroup was comprised of staff from Sponsored Programs, Post Award Administration, International Programs and faculty representatives from both the College of Forestry and Agricultural Sciences.

Sponsored Programs continued its leadership role in the Oregon Research University Network, an offshoot of the OUS Research Council. The Sponsored Programs and Post Award Administration of all three major research universities—Oregon State University, University of Oregon and Portland State University—meet quarterly to discuss common issues and create solutions for use by all. Sponsored Programs continued collaboration with Research Integrity and Commercialization and Corporate Development in dealing with proposals and agreements that cross over into these areas so that faculty will see the Research Office more as one unit.

The OCCD organized, presented, and led multiple outreach and engagement efforts. Highlights include: organizing and leading a trip to USC Stevens Institute for Innovation; Meeting with Treasurer Wheeler and showcasing a new OSU startup; and working with a signature research center, OBEST, on the development and presentation of a new industrial program. The full list is included in Attachment 1. OCCD has similarly been engaged in multiple conferences, meetings, briefings and forums, a summary of which can be found in the appendices.

Community and diversity:

The Research Office completed its Diversity Action Plan in the fall of 2009 through a combined effort of staff from all units (the VPR’s Office, OSP, ORI and OCCD) within the Office. The Research Office continued its community and diversity activities through more informal activities in FY11. Examples of such informal activities are pot luck lunches, trivia quizzes, and office-wide “art show” and participation in the University “Try-athlon” fitness event.

Other initiatives:

The Research Office has acquired a proposal management and electronic submission system, Cayuse 424, and proposals have been submitted successfully. FY2012 will see a complete roll-out of this system to all units at OSU and we will be adding capabilities and modules to this system as we, and the faculty, gain additional familiarity and comfort with the system. FY2011 saw the second full year of operation of the web-based Conflict of Interest declaration system. Compliance with the institutional policy continues to be high, although the office intends to begin implementing the consequences stated with the policy for failure to comply. The system will undergo an upgrade in FY2012 in response to changing federal regulations promulgated by DHHS/PHS/NIH.

Assessment of Efforts:

OSU affiliated startup companies are receiving significant investments and making progress towards commercialization and creating jobs within the state of Oregon. OCCD is gaining ground on outreach activities, receiving numerous invitations to give presentations and be on panels specifically to highlight and discuss OSU's research impact through commercialization and corporate development. This is generating interest from investors, entrepreneurs and companies who are interested in learning more about working with OSU, and is increasing our commercialization efforts in the long term.

Existing barriers have begun to decrease as we transition from a reactive to a proactive office. FY11 and FY12 will be transition years as our new licensing hires become trained and develop relationships with faculty and as industry agreements transition from the Office of Sponsored Programs to the OCCD.

While the number of industry agreements did slightly decrease, more than 46% of the industry-sponsored agreements were executed in 1 month or less. Increased industry collaborations, and associated time commitments to coordinate reviews and IP terms between ASP and OCCD can delay some of the decision making processes. Moving responsibility for negotiation and acceptance of industry-funded agreements to OCCD should alleviate some of the barriers to executing industry agreements.

Sponsored Programs saw the number of agreements with execution times of one month or less drop from a total drop in rate of 1,467 to 1,199. While some drop in the execution rate can be attributed to instituting a new process with Agricultural Research Foundation awards, implementation of the Cayuse system will be equivalent to adding one staff member thus alleviating some workload. Nonetheless, staffing levels may still need to be examined in FY2012.

FY11 did see a slight increase in unexecuted agreements from 17 to 22. Three of these unexecuted agreements were memoranda of understanding and two were agreements that were received in error and immediately re-issued and successfully negotiated.

The Office of Research Integrity has recently assessed its capabilities through a structured vulnerability survey. Using this information, the Office will conduct a formal risk assessment to help identify those areas that require our highest priority attention. On an operational basis, the IRB group continues to build visibility and credibility across campus. The unit lead attends and makes presentations at departmental level meetings on about a monthly frequency, and the weekly "open access" policy for students to come to the office and obtain advice and guidance on the development of IRB protocols has been very successful. Currently, protocols submitted for exempt review are now forwarded to a consultant for formal review and action (consistent with our Federal Assurance) and the program would benefit from additional resources for training and post approval monitoring; we believe that this will be one area in which additional staff resources would be appropriate. In concert with this, we have an open position, for which a search is being conducted. The IACUC unit, with the increased staffing obtained last year, has reduced turn-around time for processing of animal care and use protocols, and is providing improved service to OSU faculty. The staff in this unit has also gained regional and national visibility as we hosted the annual Oregon AALAS last year, and will host it once again this year. Our IACUC Administrator is also a member of the board for National AALAS. Another area within the Office that we believe poses significant risk for the university is with our diving safety program. We are currently recruiting for a diving safety officer, and this individual, when hired, will need to develop productive and trusting relations with the OSU scientific diving community. Overall, the units within ORI have gained trust and respect across campus over the last several years, and we continue to see these relationships grow in a positive manner.

FY2011 RESULTS AND OUTCOMES

Metrics and Outcomes are presented on an office by office basis.

Sponsored Programs

- Procurement of a 3 year license to Cayuse, a web-based proposal development and submission system. The procurement process began in January 2011 and culminated with the selection of Cayuse in April; the contract was finalized in May. The system was implemented and OSU submitted its first proposal electronically to a Federal agency on June 23, 2011;

- Continued on-the-job training and professional development for Grant and Contract Officers as well as reclassification and hiring of a second Assistant Grant and Contract Officer. Excluding the Director, this now provides 6 individuals that are trained to review and approve proposals and 4 individuals that are trained to review, negotiate and sign grant and contract documents.

Commercialization

- New Invention Disclosures: 77
- License Agreements: Exclusive 7 and Nonexclusive 29
- Option Agreements: 3
- Confidentiality Agreements: 105
- Material Transfer Agreements: 88
- Total License Revenue: \$4,011,475

Other

- Increased visibility of OSU research impact through a variety of channels including commercialization of non-patented innovations
- Trained new faculty and interested faculty on the specifics of commercialization and collaboration with industry
- Began building an electronic invention disclosure system, populating with outside expert reviewers for a more efficient, better quality invention analysis and better ties to existing OSU-friendly companies and alumni
- Formed a Commercial Steering Committee that includes OSU and OSU Foundation members engaged in commercialization and/or corporate development for collaboration and alignment

Research Integrity

Institutional Review Board (IRB)	IRB	IRB	IRB	Change from '09 - '10	Change from '10 - '11
	7/1/08-6/30/09	7/1/09-6/30/10	07/1/10-06/30/11		
Received: New Protocols*	371	308	329	-63	21
Received: Amendments/Revisions	175	220	287	45	67
Received: Annual Reviews	308	325	299	17	-26
Received: Close-outs	193	196	169	3	-27
Total Submissions	1047	1049	1084	2	35
Average # of Actions Per Month	87.25	87.41	90.33	0.16	2.92
Days Processed: New	25.05	21.39	18.66	-3.66	-2.73
Certificates of Education	720	1433	873	713	-560
Full/Executive Committee Meetings	14	27	19	13	-8
Presentations/Outreach	8	13	16	4	3
E-mail Communications	11500	20,061	22034	8,561	1973

*Does not include research determinations "not HSR".

Conflict of Interest (COI)	FY09 (Mar-Jun 09)	FY10	FY11
Submitted Declarations	129	973	976
Implemented Management Plans	0	3	9
Active Case Reviews (at fiscal year end)	8	11	2
Closed Case Reviews	28*	35*	14
Full/Executive/Sub Committee Meetings	7	30	27
Presentations/Outreach to OSU	8	8	6
Email Communications	1,580	5,693	4,182

*Includes older files that were resolved or updated (28 in FY09; 21 in FY10)

Institutional Animal Care and Use Committee (IACUC)	FY 2011	FY 2010	Change from FY 2010-2011
Received New	140	133	7
Received Amendments	192	174	18
Received Annual Renewals	182	194	<12>
Received Close-outs	111	153	<42>
Days processed	N/A	39	N/A
Certificates of Education	336	340	<4>
Full/Executive Committee Meeting	42	39	3
Animal Areas Inspected	600	600	NC
Presentations/Outreach to OSU	86	25	61
E-mail Communications	16000	15300	700

Diving Safety	FY2011 Record of Activity
Number of Active Divers	23
Total number of Dive Plans filed	5
Total number of Open Water Dives	1,338

Institutional Biosafety Committee (IBC)	FY2011 Activity
Protocols - Active	110
Protocols Submitted	46
Protocols Approved/Pending	43 / 3
Protocols Closed Out	38
Protocol Amendments Received	21
Number of Unique Pis	63
BSL-2 Facilities	73
ABSL-2 Facilities	2
BSL-3 Facilities	2
ABSL-3 Facilities	2

Incentive funds

2009-10 Incentive Programs Funding Summary					
Program	Term	Total Proposals	Total Budget Request	Funded Proposal	Total Funded
Faculty Release Time	Fall (Winter)	6	\$38,919	5	\$27,304
	Winter (Spring)	3	\$25,300	3	\$15,300
	Spring (Fall)	3	\$17,500	1	\$5,500
	Totals	12	\$71,719	9	\$48,104
General Research Fund	Fall	24	\$232,787	6	\$59,710
	Spring	21	\$187,575	5	\$48,580
	Totals	45	\$396,533	11	\$108,290
Research Equipment Reserve Fund	Fall	23	\$979,744	12	\$464,809
	Spring	19	\$987,855	6	\$225,162
	Totals	42	\$1,967,599	18	\$689,971
Undergrad Research Innovation Scholarship & Creativity	Fall	12	\$19,307	8	\$12,707
	Winter / Spring	11	\$15,500	7	\$10,500
	Summer	65	\$258,713	22	\$39,298
	Totals	88	\$293,520	37	\$62,505
URISC Start		42	\$34,435	42	\$34,435
	Totals	229	\$2,787,635	117	\$943,305
Building Use Credits					
Colleges		9	\$871,281	8	\$746,920
Centers/Institutes		17	\$102,126	5	\$85,547
	Totals	26	\$973,407	13	\$832,467
GRAND TOTALS		255	\$ 3,761,042	130	\$ 1,775,772

Office of the Vice President

- An external advisory committee was formed to provide guidance and give insight into the development and implementation of the Research Agenda.
- Administrative duties were reviewed during FY10. As a result, a 1.0 FTE receptionist was hired to greet and direct traffic at the Office of the Vice President for Research. Other results of the review incorporated a change in assignment of duties to streamline and enhance the administrative functions for the office.
- The Executive Commercial Advisory Committee (ECAC) was formed to provide advice and guidance to the VPR, CEO and Foundation Board on the creation of a university-wide proactive model for new business creation and corporate development that moves at the speed of business, captures valuable IP across the university, funds high risk – high reward research and grows relationships with industry.
- The center review for Hatfield Marine Science Center (HMSC) resulted in the formation of a university task force for implementation of priorities at HMSC.
- A process for self assessment of the Research Office customer service levels was begun with plans to move forward with a customer service policy.
- Staffing levels will be reviewed for the remainder of the Research Office during this fiscal year.
- Impact reports were produced for Federal funding received from HHS, DOE, DOC, USDA, DOD and NSF.

Appendices and Attachments

Attachment 1: Major Goals for 2011-2012

Attachment 2: Outreach Efforts

Attachment 3: Research Office Organizational Chart

Attachment 1: Major Goals for 2011-2012

For the Research Office as a whole:

- Finalize a research agenda that clearly articulates the principles around which OSU research priorities are established. This agenda will be closely aligned with the institutional strategic plan.
- Expand efforts in commercialization and economic development to accelerate private research revenue, and increase licensing revenue
- Complete a comprehensive institutional compliance risk analysis.
- Establish sustained support for proposal development
- Become AAALAC accredited
- Review interdepartmental facility centers; assist the Materials Synthesis and Characterization facility center in becoming formally established.
- Continue working with the Faculty Senate Research Council on center and institute reviews, evaluations of incentive proposals, and institutional policy issues.
- Continued training and outreach on sponsored programs with the Business Centers. The Business Centers continue to offer a tremendous opportunity to partner with Sponsored Programs in providing better service to our faculty with the goal of creating alignment of Sponsored Programs staff with a specific Business Center(s);
- Continue to implement the Cayuse 424 system and Cayuse SP proposal development and submission system. Currently, two departments from the College of Agricultural Sciences, the Oregon Climate Change Research Institute, and the College of Veterinary Medicine will serve as the beta group for Cayuse implementation;
- Re-organize Sponsored Programs into two functional teams consisting of two Grant and Contract Officers and one Assistant Grant and Contract Officer. One team to serve the Division of Earth Sciences and the second team to serve all other units, and teams are designed to handle proposals, sponsored agreement, and outgoing subawards;
- Sponsored Programs and the Office for Commercialization and Corporate Development to transition negotiation and acceptance of industry-funded agreements. This transition is envisioned to become operational in January 2012;
- Update the web-based COI system.
- Develop draft institutional COI policy.
- Conduct critical review of staffing needs within the Research Office, including a review of PDs and anticipated staffing needs. Develop a staffing plan for the office.
- Create a customer service policy after completing the self assessment process and move forward to bring the best customer service to our clients.

Attachment 2: Outreach Efforts

Office of the Vice President for Research

- The Office of the Vice President for Research hosted “National Science Foundation Day” on April 13, 2011. 240 students, faculty and staff attended this one-day workshop.
- The Vice President for Research is serving on the Corvallis Economic Development Council (CECD).
- The Research Office is a sponsor for Willamette Innovator’s Night (WiN)
- The Vice President for Research serves on the Boards of Oregon Built Environment and Sustainable Technologies Center (BEST) and Oregon Translational Research and Drug Development Institute (OTRADI).
- The Vice President for Research participates in various high-level Federal committees and advisory groups.

Office for Commercialization and Corporate Development

The OCCD reaches out to the local community through memberships, sponsorships, and presentations:

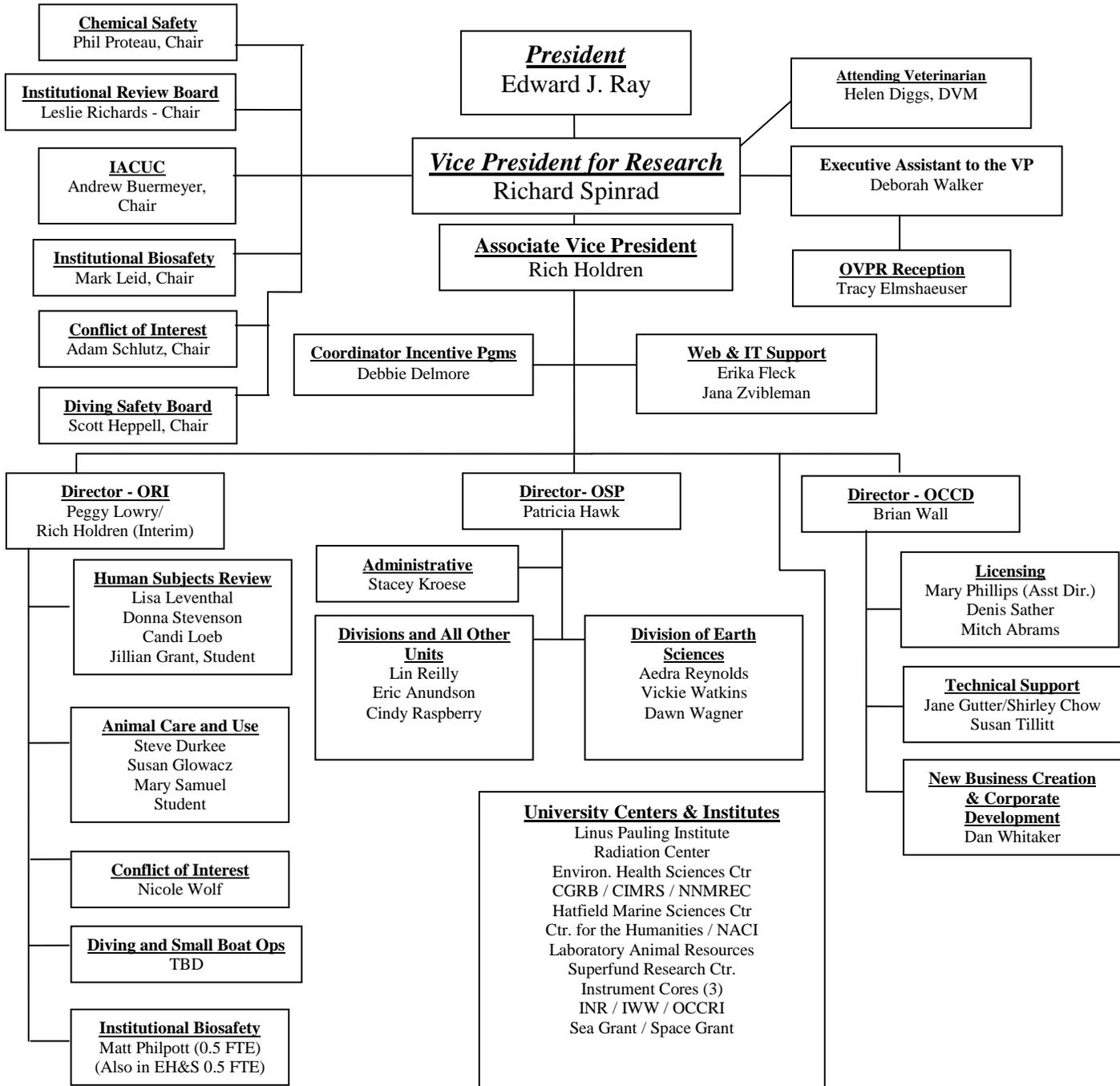
- Two booths at the Willamette Innovators Night in Corvallis – showcasing OSUVF and Technology Transfer – 50+ faculty, 500+ external
- Willamette Angel Conference sponsor 300+ external
- Presentation at the food business boot camp - 30 external
- Member, Corvallis Airport Commission
- Member, Airport Industrial Park’s 10 year planning subcommittee
- President of the Board, Business Enterprise Center
- UVDF forum in Portland to highlight the Venture Fund’s progress and generate leads for donations – 30 external
- Bend Venture Conference speaker: presented on the OSUVF and research impact - 300+ external
- Collaborated with UO,PSU, OHSU to put on our own conference through our brand: Innovate, Collaborate, Oregon – theme: Medical Devices – 15 faculty and students, 250+ external
- Attended multiple Oregon conferences, seminars and workshops to showcase OSU capabilities, meet investors and entrepreneurs
- Multiple trips to Bend to connect with entrepreneurs and investors
- Speaker at Bend’s EDCO – connecting to OSU research and commercialization – 75 external
- Led APLU President, Peter McPherson on an OSU tour of the Radiation Center and fermentation science program
- Led Intellectual property discussion at the Microproducts Breakthrough Institute retreat – 20 internal attendees
- Developed strategic proposal for \$30M Innovation Fund to significantly increase commercial impact coming from OSU research
- Led visit to USC Stevens Institute for Innovation that included three alumni, VP for Research, VP in the foundation, and a Dean. The objective was to learn historical, current and future perspectives from one of the top innovation offices in the world
- Presentation at the annual crop improvement meeting in Washington targeted towards maintaining strong relationships with existing wheat growers / licensees – 250+ external attendees
- Presentation at the Oregon Best Industry Meeting – 100+ internal and external attendees
- Coordinated a meeting with OHSU, UO and PSU and Treasurer Wheeler to provide background information and discuss startup needs from the state.
- Led Treasurer Wheeler on a tour of MBI, showcasing an emerging new company, Applied Exergy

Office of Sponsored Programs

In addition to presentations to the OSU community, staff from the Office of Sponsored Programs reached out to provide outreach and education to other Oregon University System and national entities:

- OUS Controller's Office sub-group on research performance metrics
- National Council of University Research Administrators (NCURA) Professional Development Committee

Attachment 3: Research Office Organizational Chart



Current organizational chart for the Research Office.

“TBD” positions are those positions in which we have recently had staff depart and intend to refill or new positions for which we have received authorization to fill. “TBD - on hold” positions are those in which we have lost staff, but are currently holding open pending clarity on budgets. “Open – on hold” positions are positions that have been identified as significant needs within the office but are not being pursued at this time.