

Phase II Entity Plan

Overall Description:

These instructions are for entities, which on the basis of their white-paper being approved, have been invited to create a formal entity plan. If your entity has not yet gone through the process of developing a white-paper and having it evaluated that is where you need to begin.

For those invited parties the guidelines for developing the Phase II **entity plan** are listed below and they include strategic, operational and business components. Required plan elements vary depending upon Entity Level (III, II, I) and this is noted after the topic/element. The questions listed under each topic are provided to stimulate your thinking and may or may not fit a particular situation. Certainly creative ideas you have for each topic should be included. Some of the topics are ones which were addressed in the white-paper and the intent is to encourage further refinement of them in the entity plan. Optional elements also have been listed, which some may find useful and wish to include. Because this is a new process it also is important to allow proposers to include additional elements which they feel are useful in presenting their case and criteria for performance excellence.

Entity plans are limited in size to 25 pages (8.5 X 11 pages, double-spaced, 12 point type, .5 inch margins). This includes graphics, references, and appendices. The plan is due approximately 30 working days (approximately 6 weeks) after the proposers have been notified by the Vice President for Research that their white-paper concept has been approved to move to the next level of development. Normally, a letter will be sent which identifies the exact date and the other target dates associated with the remaining process culminating in a final approval of the entity for a five year period.

Topics to Be Addressed:

The entity plan's strategic, operational and business components are as follows:

Strategic Oriented Topics (*Focused on an entity thinking about and preparing for its future*):

- **Past performance** (*if relevant, required of all levels of entities*) – When was organization initially created? What products and services or outputs were produced? Who/whom used or uses them? What have been the major impacts or outcomes?

- **Compelling Five Year Vision** *(required of all levels of entities)*
 - What is your stated purpose, vision, values? – Other ways to think about this is in terms of what is your core focus, what products and services will be offered, and what are the projected long-term impacts or outcomes?
 - What are your 3-5 major goals?
 - Articulate these in a format that can serve as the basis for an annual review and what are associated measures of success you would regularly assess?
 - Are there different short, mid- and long-term metrics and what data would need to be collected to measure success during these time periods? *(Think about this at this stage because you will be asked to include actual indicators and proposed measures in the Monitoring Plan element detailed later in this document.)*
 - Relevance to University of Idaho (Why is it the right venture for the University of Idaho?)
 - How does it align with the University’s Mission?
 - Alignment with strategic plan of the university and colleges?
<http://www.uidaho.edu/provost/sap>
 - What are the linkages to signature research areas?
<http://www.uidaho.edu/research/featuredresearch/strategicareas>
 - What are other linkages to important state, regional and national initiatives?
 - What is the potential impact— local, regional, national and international
 - What will make us stand out or be distinctive from others?
 - What intellectual property opportunities are there?
 - What scholarship impact opportunities are there?
 - What economic development impact opportunities are there?

- **Competitive Environment** *(required of level III and II entities)*
 - What is your competitive position – unique, in an emerging area, etc. or how are you different from other similar entities in the region and nation?
 - What are your competitive advantages (e.g., existing group of human resources, existing set of grants, location, core competencies) and disadvantages (e.g., lack of technology, poorly designed space)?
 - Is their data you can use to benchmark your entity against others?

- **Organizational Profile and Context** *(required of all levels of entities)*
 - Who are your core human resource assets that you see as being insiders?
 - What are your facility, technology and equipment assets?
 - What are your organizational structure and governance systems going to look like? – What are the working relationships? How and who makes policies and decisions? Who is responsible for innovation, fund raising, external communication, etc.? How will you facilitate communication?
 - Who are the audiences, constituents or market segments that you will be servicing and which of your products and services is linked to each (a table might be useful)?
 - Who are your key potential collaborators outside of your core human resource assets and to which of your products and services are they linked (a table might be useful)?
 - What are the potential barriers to success and how do you propose to reduce or remove them?

Operational Oriented Topics *(Focused on how an entity will function and move from its strategy to taking action):*

- **Leadership Approach** *(required of all levels of entities)*
 - Who are the proposed leader(s); what key roles are envisioned both day-to-day (e.g., approval of purchasing, health and safety practices, getting projects done) and strategic (e.g., fiscal accountability, legal compliance, ethical behavior, protection of collaborator interests); and why do you believe they are qualified to be the leader(s)?
 - How does leadership encourage high performance both in terms of outputs and outcomes?
 - How will leadership be included in position descriptions to ensure those in positions of leadership have adequate time?
 - How will performance evaluation of leaders occur and what mechanisms would be used to encourage adjustment and improvement?
- **Building Academic Program and Student Engagement Cultures** *(required of all levels of entities)*
 - What graduate, undergraduate and certificate academic program(s) could be associated with the entity and what activities would provide the basis of the linkage?

- How could you involve undergraduate and graduate students and perhaps academic program post-docs and technicians?
 - How do you envision building relationships with faculty, students and professional staff in these academic programs (e.g., measure their satisfaction, offer stipends, fund student projects, serve as a scientist mentor)?
 - What aspects of the entity organizational culture will ensure students obtain a positive experience?
 - Is there educational programming the entity could offer that would increase student capacities and/or provide opportunities for hands on learning?
 - What communication mechanisms will the entity use to regularly interact with academic program leaders and their faculty, students and professional staff?
 - What opportunities are there to utilize existing facilities and equipment managed by academic programs and how might the entity reimburse them for access?
- **Building an External Collaborator Engagement Culture** (*required of level III and II entities*)
- Who are your entity's potential external collaborators and what complementary capacities do they each bring??
 - How does the entity envision building relationships with external collaborators?
 - What kind of mechanisms (e.g., MOU, sub-contract) does the entity propose to use to formalize relationships, to minimize risk and to adequately management projects?
 - What communication mechanisms will the entity use to regularly interact with collaborators and who will be responsible for ensuring this takes place?
 - How might your governance system include external collaborators and empower them at an appropriate level?
 - What opportunities are there to utilize existing facilities and equipment managed by collaborators and how might the entity reimburse them for access?

- **Work and Project Process Management** *(required of level III and II entities)*
 - How will funded projects be managed and tracked?
 - What are the minimum work processes (e.g., equipment maintenance, sample data recording & management, local purchasing) the entity will need to have in place to efficiently function?
 - How do you rapidly share best practices that emerge?
 - How is security, safety and other university risk aspects enforced?
 - In event of emergency, how will the entity ensure hardware and software availability?
 - How will space, access to equipment, etc. be managed?
 - How do you manage and organize the workforce to capitalize on core human resource competencies and staffing levels?
 - How do you ensure the workforce has the needed capacities for the entity to be successful?

- **Funding Source(s) Strategy** *(required of all levels of entities)*
 - What is the array of possible funding sources you have identified and with which of your goals, products, and/or services are they matched?
 - What do you envision the timing of funding sources to be over the 5 year period of the entity (Consider using a table or chart)?
 - What funding sources could your collaborators bring to the entity?
 - Are there funding streams that the entity can develop based on products or services (e.g., sample preparation, analysis of samples, data processing and analysis, data collection, etc.) it has the potential to market to customers?
 - What amounts of cash does the entity project it can attract from sponsored projects or by charging for services by a particular source and for a defined time during the five year lifecycle of the entity?

- **Monitoring Plan with Benchmarks against which to Measure Performance** *(required of all levels of entities)*
 - What indicators will you monitor and measure to demonstrate on an annual basis that you are: (1) making progress toward your stated goals, (2) improving day-to-day operational performance, (3) meeting the budgeted financial performance, and (4) creating the organizational culture the entity set out to create? *(The expectation is that you will at least have indicators for these four criteria categories.)*
 - How will you get data from your academic program collaborators as well as your external collaborators to make sure you are building the type of

learning and organizational working environments the entity set out to create?

- Who has the responsibility to develop, collect evidence, benchmark and annually report performance?
- What processes will be used to feedback findings from the performance evaluation cycle and introduce improvements into the functioning of the entity? How often will this occur?
- How do you propose to create a culture that fosters assessment, continuous improvement and relating assessments to success?

○ **Outreach and Engagement** *(if relevant, then required of all levels of entities)*

- What are the potential outreach program themes that could be developed and who are the target audiences?
- Are there ways to collaborate with Extension or other existing outreach programs offered by the University of Idaho or one of the external collaborators?
- How can the achievements of your entity be integrated into the activities underway as a result of the University of Idaho Integrated Brand Marketing & Communications Plan, university and college websites, college communication plans, etc.?
- Are there opportunities to offer outreach programs (e.g., workshops for professionals, online webinars, capacity building programs) for other scientists, practicing professionals, on and off campus students, etc. that might create another revenue stream for the entity?

○ **Economic Development** *(if relevant, then required of level III and II entities)*

- What opportunities do you have to develop intellectual property and could any of these provide another revenue stream?
- Have you explored ways in which you might engage industry?
- Are there ways that the entity might be able to impact workforce development (e.g., certificate program, technical certification)?
- Are there any start-up companies or other projected outcomes to begin considering that might have the potential to enhance local community development or improve quality of life?

Business Oriented Topics (Focused on the key business aspects of being a financially successful entity):

- **Financial and Human Resource Management Services** (required of all levels of entities)
 - Who or what unit (e.g., a new hire, existing college service, existing university service, would like to use Office of Research and Economic Development services) do you envision providing the kinds of financial services (e.g., travel, budgeting, processing purchase orders, monitoring sub-contracts) your entity will need, and what level of funding will the entity have to pay for these services?
 - Who or what unit (e.g., a new hire, existing college service, would like to use Office of Research and Economic Development services) do you envision providing the kinds of human resource services (e.g., ensuring diversity, hiring, retention issues, workman's compensation) your entity will need and what level of funding will the entity have to pay for these services?
 - What kind of capacity does the entity have among its core human resources to adequately address these types of issues?

- **Financial Projections** (required of all levels of entities). These are the needed capital, for equipment, human resource costs, etc. or what some call an operational budget. It is needed for a 5 year period and the identification of revenue flows (e.g., sponsored project funding, revenues from sales of services or products, revenues from outreach programs, online education) and likely funding sources along with expenditures by major category is essential.
 - Will the arrays of funding sources and expenditures differ over the five year period? If so, how?
 - Of the revenue sources you have identified, which ones are most likely to be awarded, somewhat likely, and least likely (perhaps a table is a useful way to display this information)?
 - How do the revenue sources match with the type of expenditures the entity needs to make to be successful?
 - Does your mix of funding include a diverse range of sources such as government grant programs, foundations, private sector collaborators, etc.?
 - What are the funding sources that will commit for the entire five year period?
 - What level of F & A does the entity project to generate for each of the 5 years?

- Have you reviewed the NOI forms which request very specific financial data (expenditures and revenue) to see what they require?
(<http://www.uidaho.edu/provost/policyguidelines/planning> under Forms: see SBOE NOI forms)
 - **Formation of Advisory Committees (Mostly Internal to the university *minimum requirement of Level II entities and Mostly External to the university minimum requirement of Level III entities*)**
 - What size of a group makes sense for your situation?
 - Do you envision your advisory group working as a single group or sub-groups? (*If as sub-groups a larger number becomes more manageable*)
 - Which **deans** need to be active participants in your entity's advisory committees? Are there key department heads or directors that also make sense to include?
 - What are the key voices to include on your advisory committee? (*Think about the need to be inclusive, capture a diversity of perspectives, having an ability to impact revenue, bringing credibility to the entity, having voices who can help you steer, etc.*)
 - Who are the best people to represent the voice? (*Identify people who will invest the needed time, who are in multiple networks that can assist the entity in achieving its goals, who are politically connected, who are willing to work on teams, who are action oriented, etc.*)
 - **Sunset Provisions (*required of all levels of entities*)**
 - If you had to close the approved entity, what would be the step –by-step process you would use and in how short of a time period could the entity cease operations?
 - What liabilities would the university likely incur? (simple bulleted list)
 - What data and information would the university need to store and manage?

Timeline for Process and Initial Target Dates for the First Round

A normal timeline is listed below and will serve as a guide this ongoing process. It may be necessary to modify depending upon the time of the year an entity is proposed

- Entity plan for Level III, II, and I approved white-paper entity concepts completed and electronically transmitted to the Office of Research and Economic Development, approximately 30 working days (February 15, 2011)

- Review of plan (strategic, operational and business components) by relevant deans (level II and III), or deans and department heads/directors (level I), approximately 10 -15 working days (March 7, 2011)
- Review by vice president for research and economic development, provost and executive vice president, and perhaps other faculty committees as appropriate (level II and III), approximately 15 working days (tentative date March 25)
- Possible review of external panel of external experts (level III) – 20 working day period occurring simultaneous with internal review of Dean’s and VP’s (tentatively the month of March)
- Final approval within University of Idaho, approximately 10 working days (April 4, 2011)
 - Review and approval of president upon recommendation of vice president for research and economic development and provost and executive vice president (Level III)
 - Review and approval by relevant dean(s) and vice president for research and economic development and provost and executive vice president (Level II)
 - Review and approval by relevant dean(s) and department heads/directors (level I)
- Formation of advisory committees (internal and external when required) (Late April)
 - Appointment of relevant deans and department heads/directors for level II entities by provost and executive vice president, and vice president for research and economic development
 - Appointment of relevant deans and department heads/directors, and approval external consultative board members for level III entities by provost and executive vice president, and vice president for research and economic development
- Preparation and Submission of Notices of Intent (NOI’s) to State Board of Regents of the University of Idaho, as appropriate (Early summer meeting)
- Implementation of first round decisions start of FY 12 – July 1, 2011