

# Office of Research Overview

## Presenters:

Sobha Jaishankar, Assistant Vice President and Director, Research Program Development

Stephanie Gray, Assistant Vice President and Director, Sponsored Programs

Irene Cooke, Assistant Vice President and Director, Research Compliance

Michael Mahoney, Director, Research Operations and Services

David Day, Assistant Vice President and Director, Technology Licensing



# Overview

- About research at UF
- About Office of Research (OR)
  - Organization
  - Role/responsibility of each Division



# Research Accomplishments

## ➤ Faculty recognition:

- 10 Members of the American Academy of Arts and Sciences
- 4 Members of the Institute of Medicine of the National Academies
- 3 Members of the National Academy of Engineering
- 9 Members of the National Academy of Sciences

## ➤ Research productivity (Sponsored Research):

- Funding received for Sponsored Research:  
\$701,697,045
- Sponsors: 1,045
- Active Projects: 9,164

# Research Accomplishments

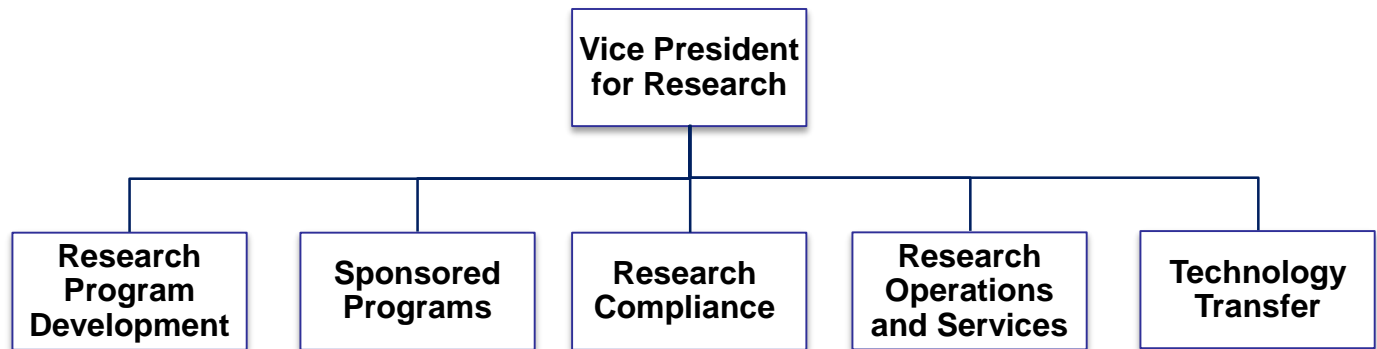
- Technology licensed FY 14-15: 87
- Start-ups launched FY 14-15: 15
- Campus-wide Interdisciplinary Centers and Institutes
  - Informatics Institute
  - McKnight Brain Institute
  - Emerging Pathogens Institute
  - Clinical and Translational Science Institute
  - UF Genetics Institute
  - Water Institute
  - Nanoscience Institute for Medical and Engineering Technology (NIMET)
  - Florida Energy Systems Consortium
  - Florida Climate Institute

# Vice President for Research



- David P. Norton, Ph.D., became Vice President for Research at the University of Florida in January 2012. He had served as Associate Dean for Research in the UF College of Engineering since 2009. He is also a Professor in the Department of Materials Science and Engineering

# Office of Research



# Division of Research Program Development

**Presenter:**

Sobha Jaishankar, Assistant Vice President &  
Director, Division of Research Program  
Development

# Finding Funding

- Funding opportunities: Sign up for weekly digests
  - Go to: <http://research.ufl.edu/funding>
  - Log in with your UFID and password (in the top right corner)
  - Click on the Subscription tab
  - Select categories of funding opportunities and frequency of delivery
  - Click Save



# Finding Funding

- Other links

<http://research.ufl.edu/faculty-and-staff/finding-funding/external-funding-opportunity-resources.html>

- COS Pivot

<http://pivot.cos.com>

- Faculty funding searches

<http://research.ufl.edu/faculty-and-staff/finding-funding/request-a-funding-search.html>

# Assistance with Grant Writing

- Large Center type proposals
- Interdisciplinary/multidisciplinary – multiple colleges/multiple institutions
- Obtaining and writing administrative sections – resources, management plans
- Grant coordination, graphic arts, editing
- Grantsmanship Resources and Boilerplate Text page  
<http://research.ufl.edu/faculty-and-staff/proposal-development-submission/grantsmanship-resources.html>
- Contact : Sobha Jaishankar  
[sjaishan@ufl.edu](mailto:sjaishan@ufl.edu)

# Internal Seed Grants

- Research Opportunity Fund Seed Grant
  - Annual competition
  - Multi/interdisciplinary research
  - Two-year awards – maximum request \$100,000
- UFRF Research Professorship awards
- Fine Arts and Humanities Scholarship Enhancement Fund

# Florida High Tech Corridor Council Matching Grants

- Matching funds for industry-sponsored projects
- Company has to be located in the 23 county Florida High Tech Corridor
- General solicitation - \$20-250K request, company match 1:1 cash, and 1:1 in kind
- SBIR Phase II matching grants - \$20K-150K
- Proposals are reviewed for scientific merit and potential market impact. Student involvement is strongly encouraged

# Limited Submission Programs

- Sponsors are restricting the number of applications that UF can submit in response to an RFP
- RPD process for selection:
  1. LOI
  2. Preproposal
  3. Selection by faculty peer review
  4. Approval by Vice President for Research

[http://research.ufl.edu/research-program-development/research\\_program\\_development\\_docs/UF\\_Guidelines\\_for\\_Limited\\_Application\\_Programs\\_Final.pdf](http://research.ufl.edu/research-program-development/research_program_development_docs/UF_Guidelines_for_Limited_Application_Programs_Final.pdf)

# Research Program Development Website

- <http://research.ufl.edu/research-program-development.html>

# Overview of UF Sponsored Projects Administration

**Presenter:**

Stephanie Gray, Assistant Vice President and Director,  
Division of Sponsored Programs

# Team Effort

- Compliance and Sponsored Program management is a team effort
- Everyone has a role and responsibility
- Get help; engage early
  - PI and lab team
  - Deans, Directors & Department Heads
  - College and Department administrators
  - University Offices
    - OR, C&G, General Counsel, EH&S, etc.
    - Purchasing, HR, etc.



# DSP Services

- Assist with proposal preparation, routing, submission and agreement negotiations
  - Contact us early – even if you don't know what to ask
  - Follow agency guidelines when filling out applications
  - All proposals must be approved by Chair, Dean & DSP before submitting. Give us time to review and help!
  - DSP is the only official signatory for University sponsored programs proposals and agreements.  
----DON'T SIGN ANYTHING!!!!----

# DSP Services

- Review each award for
  - Compliance approvals (human subjects, animal use, conflict of interest, and export controls)
  - Budget restrictions
  - Specific management requirements
- Generate & distribute the Notice of Award
- Manage subcontracting
- Help with changes to the award – Key Personnel, no cost extensions, supplements

# Contracts & Grants Accounting

- Establish spending ability in the PeopleSoft Accounting System
- Oversee and assist with compliance with sponsor's financial guidelines
  - Review expenditures to ensure costs are allowable, allocable, reasonable and consistent with funding agency regulations
- Prepare and submit financial reports and invoices
- Manage close-out activity

# Tools & Initiatives

- UFIRST – program to streamline and improve services
  - UFIRST Proposal Routing - March 2015
  - UFIRST replaces Cayuse - September 2015
  - UFIRST replaces your NOA – July 2016
  - Improved data & reporting – providing you information for T&P, Other Support

<http://research.ufl.edu/faculty-and-staff/initiatives.html>

# Tools & Initiatives

- myinvestiGator <https://myinvestiGator.erp.ufl.edu/>
  - Online banking for grants
- Helpful forms & procedures
  - <http://research.ufl.edu>
    - Pages designed “FOR FACULTY & STAFF”
    - Useful INDEX OF TOPICS

# Training & Fiscal Compliance

- Increased scrutiny on cost transfer, effort reporting, and overall internal controls
- Audit Findings
  - Florida State July 2012 \$3.0M fine
  - University of South Florida April 2014 \$6.5M
  - Virginia Tech July 2014 \$1.6M
  - UCLA August 2014 \$2.4M

# Effort & Commitments

- One of two biggest financial risks in sponsored projects
  - Largest portion of research expenditures is salary
- Commitments made in proposal (budget or narrative) survive the life of the award unless change is explicitly approved
- Manage using tools like myinvestiGator
- Certification is mandated by federal government
- Faculty Effort Toolkit:  
<http://www.fa.ufl.edu/departments/cost-analysis/effort-certification/faculty-toolkit/>
- Mandatory Training RSH220

# Cost Principles

- One of two biggest financial risks in sponsored projects
- Costs must be
  - Allocable
  - Necessary
  - Reasonable
  - Consistently Charged
- Quick reference guide: [http://www.fa.ufl.edu/wp-content/uploads/cost/A21\\_QuickReferenceGuide.pdf](http://www.fa.ufl.edu/wp-content/uploads/cost/A21_QuickReferenceGuide.pdf)
- Mandatory Training RSH260

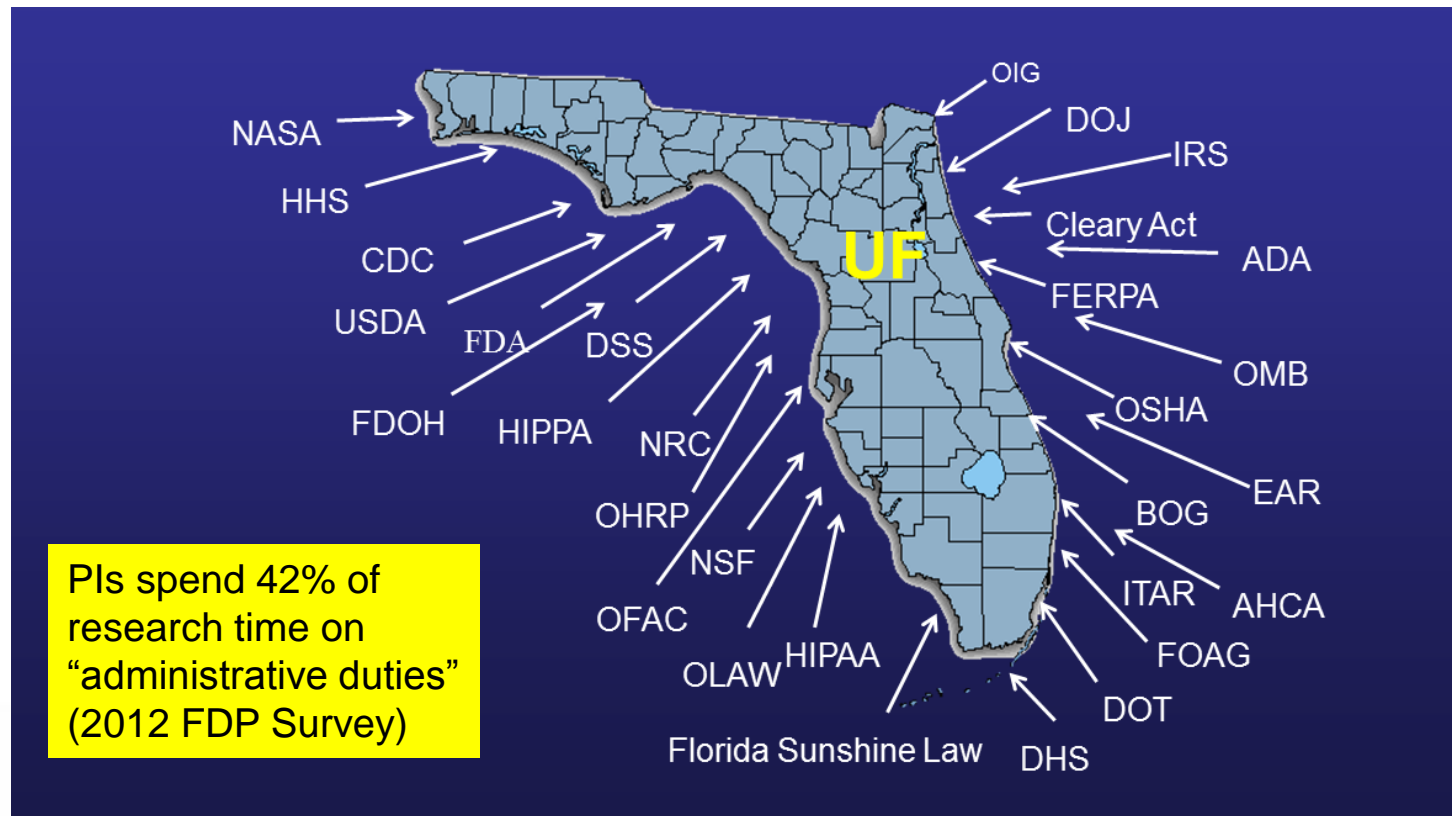


# Division of Research Compliance

**Presenter:**

Irene Cooke, Assistant Vice President and Director,  
Division of Research Compliance

# Regulatory Landscape

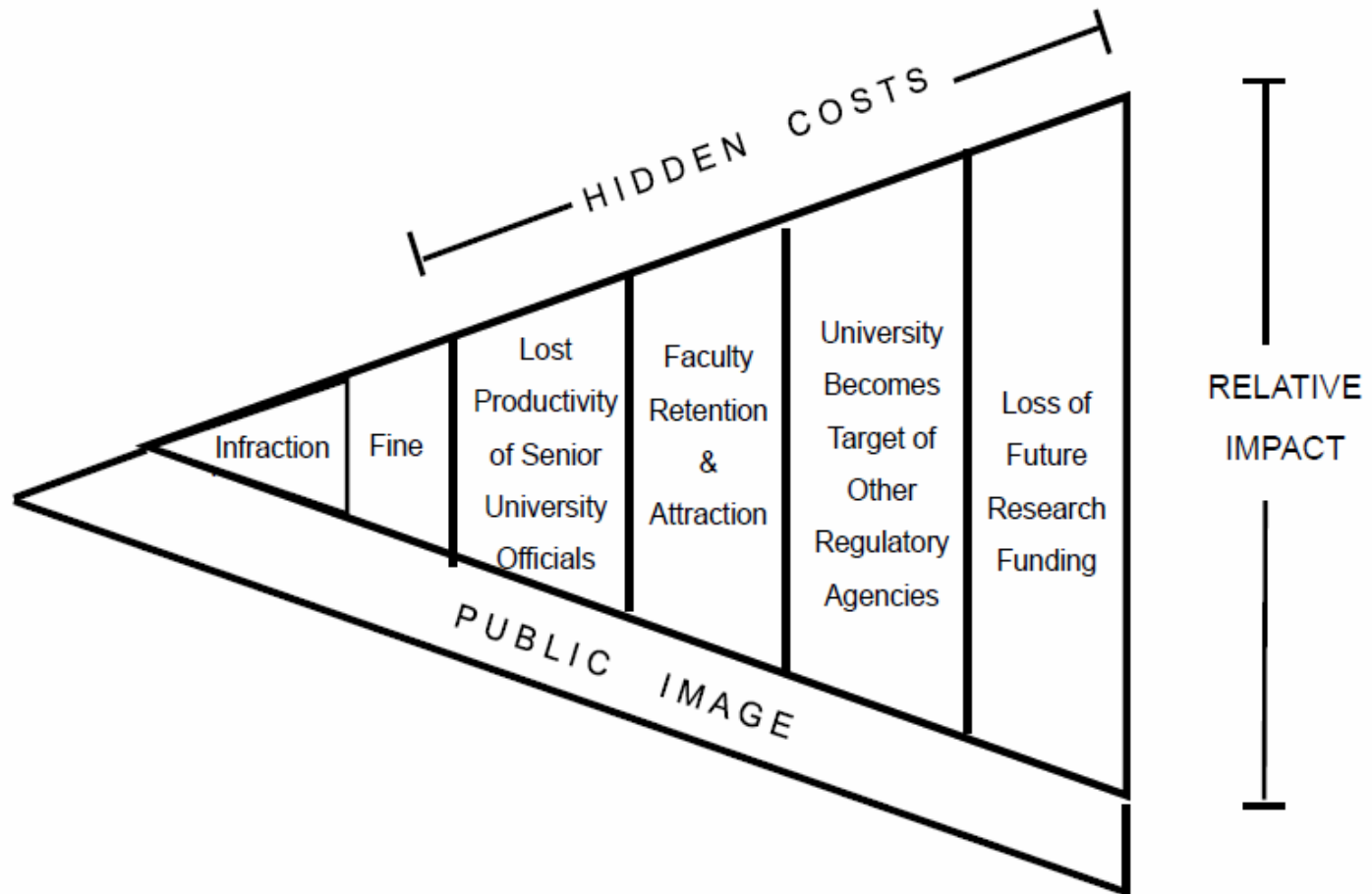


Regulations are complex, changing, increasing  
Stricter vigilance on non-compliance

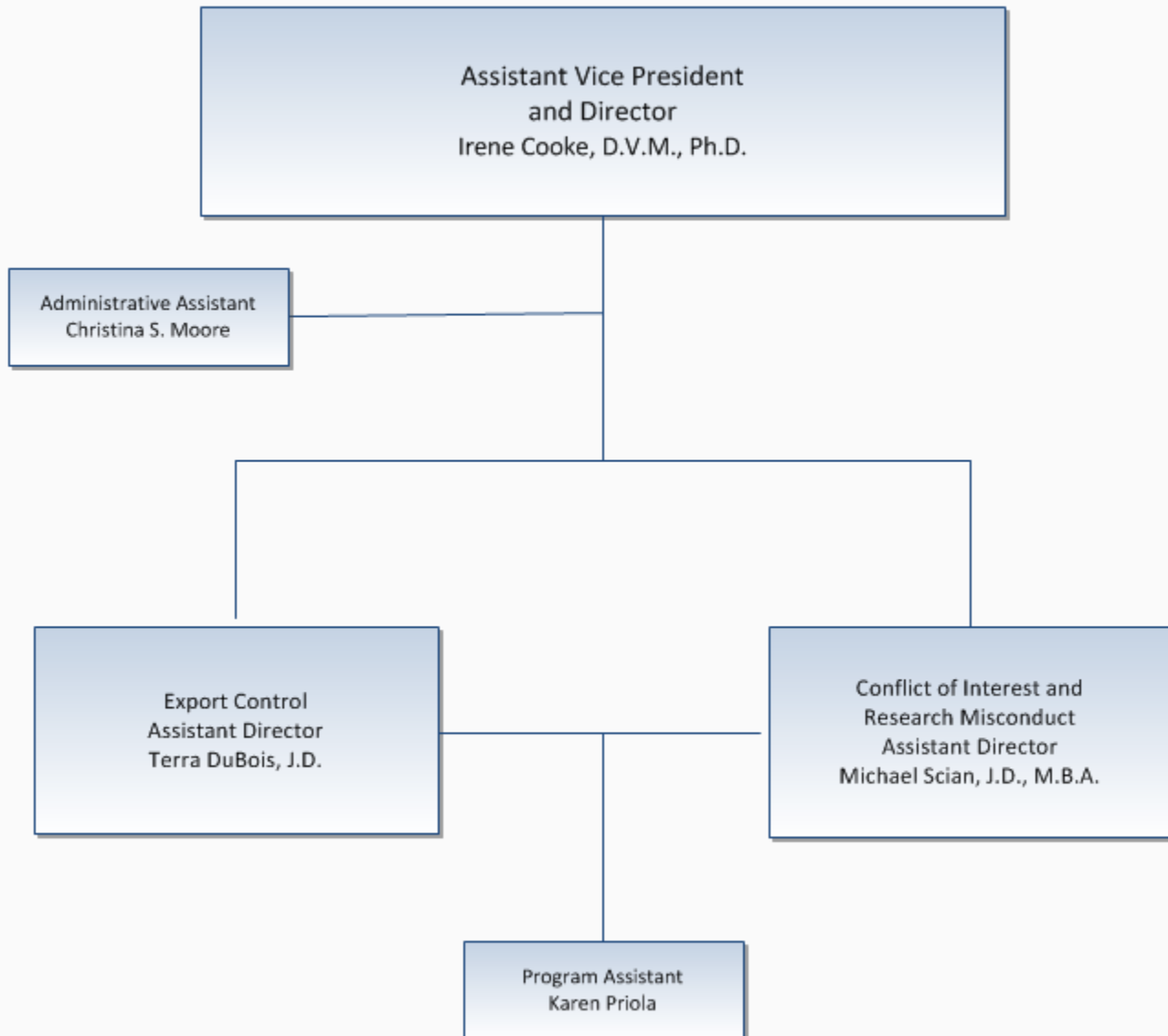
# Differing Perspectives

Risk Tolerance	Low for PI	High for Admin
Regulations	PIs think extreme	Regulators think minimal
Roles	PIs think compliance units are service units	Regulators think compliance units are oversight units

# Different Perspective of Violation



# DRC Organization



# DRC Goals

- Coordinate across various compliance units/committees (training, life-cycle)
- Optimize compliance procedures, forms etc.
- Centralize information (1-stop shop)
- Consistency (e.g. definition of PI)
- Increase awareness (front-end work to decrease back-end non-compliance)
  - Feedback from SCORS
- Be aware of and evaluate new/changing regulations that impact campus
  - Feedback from SCORS

# Specific DRC Programs

- Research misconduct
- Conflict of interest
- Export control
- Violation reporting to Feds
- Project-protocol extensions/exemptions
- Other Misc.
  - Public access policies
  - FAA drones

# Research Misconduct

Fabrication, falsification, plagiarism in proposing, performing or reviewing research or in reporting research results



- Receive allegation
- Conduct initial assessment, inquiry, investigation (faculty committee)
- Always given highest priority for review and follow-up
- Complex, difficult, long, lose-lose situation
- Generally lots of “other” issues in allegation



# Conflict of Interest

Person serving 2 masters and having to choose between conflicting interests or loyalties



- Federal (PHS, NSF) COI requirements
- FL Ethics statute – state COI requirements
- Additional COI requirements for human subject research, COM
- Need to eliminate or manage COI appropriately with UF approval

# Export Control

- Export: shipment of items or data to a foreign country
  - Includes electronic or verbal transmission of controlled information to person in foreign country
- Deemed export – disclosure of controlled information, technology, software or item to foreign national in U.S.
- Federal regulations that govern export
  - ITAR, EAR, OFAC, DOE, NRC
- Red flags

# Contact

- Division of Research Compliance
  - 294-1632
  - [compliance@research.ufl.edu](mailto:compliance@research.ufl.edu)
  - <http://research.ufl.edu/faculty-and-staff/research-compliance.html>

# Division of Research Operations and Services

**Presenter:**

Michael Mahoney, Director of Research  
Operations and Services

# Human Subjects - IRB

- Research with human subjects requires
  - Review and approval by IRB prior to initiation of any work
    - Surveys
    - Tissue / blood
    - Any human data
  - IRB training
  - Other approvals depending on research

# UF - 5 IRBs

<b>IRB Name</b>	<b>Location</b>	<b>Type of Research Reviewed</b>
IRB-01	Gainesville Health Science Center	All types, including biomedical
IRB-02	Gainesville Campus	Behavioral/Social/Educational
IRB-03	Jacksonville Health Science Center	All types, including biomedical
IRB-04	WIRB	Industry sponsored clinical trials
NCI CIRB	Central IRB	Cancer Cooperative Group Trials

# Challenges

- Multisite research – “CIRB”?
  - Coordination with other UF offices
  - Privacy Board, differences in state law, local review required?
- International research
  - Assessing different regulations
  - Privacy, data security, export control
- INDs for approved, OTC, or off label

# IRB - Contact Information

- Sherri Mizrahy – Asst. Director
  - Phone: 273-9600
  - E-mail: UFIRB-L@lists.ufl.edu
  - Web: <http://irb.ufl.edu>



# Animals - IACUC

- Research with animals requires
  - Review and approval by IACUC prior to research work
  - IACUC training and if applicable, ACS and/or EH&S training
- Oversight for care of animals provided by Animal Care Services
- UF is AAALAC-accredited

# IACUC - Contact Information

- Gary Russell – IACUC Coordinator
  - Phone: 273-9538
  - E-mail: [iacuc@research.ufl.edu](mailto:iacuc@research.ufl.edu)
  - Web: [www.iacuc.ufl.edu](http://www.iacuc.ufl.edu)

# IBC & DURC

- Research with rDNA, synthetic nucleic acids, BSL-3 pathogens and Select Agents requires
  - Registration, review and approval by IBC prior to research work
  - EH&S training
- Note: EH&S oversees other work with bio, chem, rad materials
- DURC: Research that could be misapplied to pose a threat to public health/safety, plants, animals, or the environment

# IBC & DURC - Contact Information

- Karen Gillis – Interim Assoc. Director/Biological Safety Officer
  - Phone: 392-1591
  - E-mail: [bs@ehs.ufl.edu](mailto:bs@ehs.ufl.edu)
  - Web: [www.ehs.ufl.edu/programs/bio/ibc](http://www.ehs.ufl.edu/programs/bio/ibc)

# Public Records

- Florida Statutes Chapters 119 and 286
- Exemptions:
  - 1004.22: certain research
  - 585.611: redact researcher names if animal research
- Requests can be specific or very broad

# Other Services

- Animal Care Services (ACS)
  - Housing, other services, and procedure space
  - Director: Karl Andruitis, DVM, MS, DACLAM
  - Web: [www.ehs.ufl.edu/programs/bio/ibc](http://www.ehs.ufl.edu/programs/bio/ibc)

# Other Services

- Interdisciplinary Center for Biotechnology Research (ICBR)
  - Bioinformatics, Cytometry, Electron Microscopy, Gene Expression & Genotyping, Monoclonal Antibody, DNA sequencing, Proteomics & Mass Spectrometry
  - Director: Rob Ferl, PhD
  - Web: <http://www.biotech.ufl.edu>

# University of Florida Office of Technology Licensing

*Where Science Meets Business*

**Presenter:**

David Day, Assistant Vice President and  
Director, Office of Technology Licensing

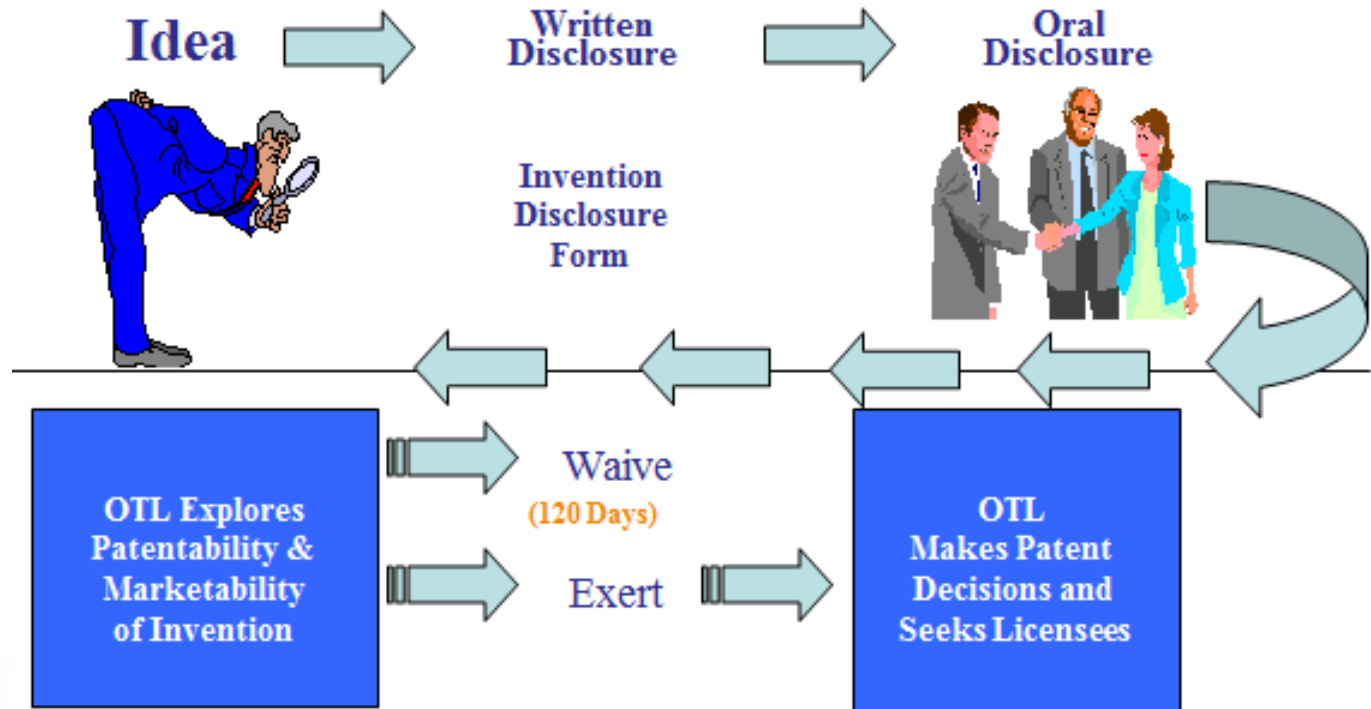


# Results and Reinvestment

- UF receives ~300 invention disclosures annually
- In 2015, UF executed 85 licenses and options, received 312 invention disclosures and helped start 15 new companies
- More than \$350 million in tech transfer revenue in the past decade—all reinvested in operation



# How Does It Work at UF?



# IP Protection and Marketing

- Closely work with our IP attorneys so that we can evaluate and protect the inventions
- Actively market the inventions using a variety of avenues to existing companies as well as form new start-ups

# IP Support for Corporate Research

- Standard Terms Include First Option to License for Sponsor
- Will do Non-Exclusive Royalty Free if Sponsor asks and PI consents
- Have several blanket deals in place with large corporations with highly customized and business friendly terms

# UF Start-ups Program Support

- Match researchers with potential management
- Assist in *business plan* creation and *market feasibility* studies
- Provide training and mentoring for “wanna be” entrepreneurs
- Introduce funding opportunities through VC & angel network introductions

# Critical Element - Facilities

## ➤ Florida Innovation Hub at UF

- Opened Fall 2011
- 48,000 square feet of labs and offices
- Blocks from campus, downtown
- Startups and service providers
- OTL offices, UF Tech Connect®



## ➤ Sid Martin Biotech Incubator

- 40,000 square feet of labs and offices
- Core equipment, vivariums, greenhouses
- Won three international awards
- Companies have attracted \$1.2 billion
- Located in Progress Park, Alachua



# Critical Element - Capital

- Funding follows opportunity appropriately matched with an experienced entrepreneur
- Venture capital
- Angel groups
- Sources of funding increasing
- Grants and matching funds

# Critical Element - Management

- Serial Entrepreneur Focus/Gator Alums
  - Work closely with foundation
- Tap Venture Capital and Angel contacts for referrals
- UF OTL funds Proof-of-Principle experiments to make technologies attractive
- Pay entrepreneurs to write business plans
- Host series of meetings
- UF Tech Showcase - March 8, 2016



# Align with University Mission

- Economic development added to our missions of teaching, research and service
- Innovation Academy launched in January, wedding innovation to UF education
- Innovation Square joins UF and downtown, embodying town-gown emphasis

# Office of Technology Licensing





# Working Together For A Better Tomorrow

David L. Day  
Assistant Vice President  
and Director  
Office of Technology  
Licensing  
Phone: 352-392-8929  
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[www.otl.ufl.edu](http://www.otl.ufl.edu)

Thank You!

**UF** | Office of Research  
UNIVERSITY of FLORIDA