Agenda

- **SBIR/STTR Subcontracts and Related COI Issues**
  - Radha Radhakrishnan, Contract Manager, Sponsored Projects & Contracting Services;
  - Taren Ellis-Langford, Conflict of Interest Officer;
  - Scott Parkinson, Contracts Manager, University of Arizona Health Sciences Research Administration

- **Insider’s Guide to ORCID and SciENcv**
  - Ellen Dubinsky, Scholarly Communication Librarian, UA Libraries
Zoom etiquette reminders

• Please keep yourself muted when you’re not speaking

• Thank you for joining!
Contracting, SBIR/STTRs & COIs

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Director
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October 21, 2020
Small Business Innovation Research (SBIR)

Small Business Technology Transfer Research (STTR)
More about SBIR-STTR

- **Largest source** of early stage/high risk funding for start-ups and small business. --

- **Phased approach**

- Small business retains **rights to IP**

- Can become vendor for **Federal Government** as a part of Sourcing/procurement – *if technology is feasible* (**Phase III**)

- Other benefits to small business includes showing feasibility of the innovation to other possible investors supported by the SBIR/STTR awards
SBIR-STTR Agencies and Budget

- **11 federal agencies** participate in **SBIR** and **5** participate in **STTR**

SBIR: for agencies with extramural research budget
>$100M/yr (3.2%)

STTR: for agencies with extramural research budget
>$1B/yr (0.45%)
FY2019 SBIR/STTR Budgets by Agency

SBIR: $3.28 Billion
STTR: $453 Million

* Budgeted Amount; other Agencies Obligated Amount
** Provides grants and contracts
<table>
<thead>
<tr>
<th>SBIR</th>
<th>STTR</th>
</tr>
</thead>
<tbody>
<tr>
<td>IP agreement is <em>Not required for submission</em></td>
<td>IP allocation agreement <em>Required</em></td>
</tr>
<tr>
<td><em>Consult institutional requirement for University partnership</em></td>
<td><em>Consult institutional requirement for University partnership</em></td>
</tr>
<tr>
<td>Non-profit Research Institution/FFRDC – <em>Not required</em></td>
<td>Non-profit Research Institution/FFRDC <em>Required</em></td>
</tr>
<tr>
<td><strong>PI needs to be employed with SB; Applicant is SB</strong></td>
<td><strong>PI can be employed with RI or SB; Applicant is SB</strong></td>
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**Efforts**

- 33% Subcontract
- 66% Small Business
- 30% Research Institution
- 40% Small Business
- 30% Discretionary
Identify Opportunity and UA PI

PI develops UA SOW and Budget

SOW and Budget Review
3 day min

Negotiate Allocation of IP Rights
5 day min

Contracting Services

SUBMIT PROPOSAL

Award!

Negotiate and Sign Subcontract

START PROJECT!

Proposition Services

College/Dept. Research Administration

Contracting Services

Proposal Services
Proposal Review and Approval

Agreement on IP Terms

• UA developed template
• Bayh-Dole flow-down (37 C.F.R. 401)
• UA owns patentable IP solely invented by UA employees
• Company gets first right to negotiate for a royalty-bearing license to UA IP
• UA owns data and results generated by UA employees
• Company has right to use any non-patentable results for any purpose

Allocation of IP Rights may be needed prior to approval of proposal and submission of grant
Subaward Negotiation

• Initiated by company when grant/contract is in place
• Review of Prime Award flowdown provisions
• Publication – UA maintains right for its investigators to publish the results of their research (after review by company)
• Confidentiality provisions
• Deliverables
• Payment Schedule
Issues in Negotiation

Indemnification

UA is prevented from indemnifying the sponsor or other third parties in most cases.

Intellectual Property

University Intellectual Property, regardless of the source of funding, is generally the property of the University. Options to license are available in the agreement.

Data Ownership

UA should retain ownership of all original/raw data. The sponsor may use the UA’s deliverables or reports.
Publication

UA must be able to freely disseminate/publish results without restrictions. UA will acknowledge an sponsor’s financial or material contribution.

Governing Law

As a body corporate of the State of Arizona, the University cannot agree to be governed by the laws of another state or country.
What is taking so long?

Various aspects of the agreement require multiple parties at the University to review and comment.

Office of General Counsel

Export Control

Risk Management

Vice President of Research

Conflict of Interest

Tech Transfer

HIPAA

HSPP
How Long Does it Take?

Median time to execution: **14 days**

74% of agreements are executed within 1 month of receipt

88% of agreements are executed within 2 months of receipt

Contracts received in FY 2020
3 Types of Conflicts

1. **Financial**: An Investigator’s financial or personal interest can be perceived to be Related to their Institutional Responsibilities.

2. **Institutional**: The University’s or an Administrator’s financial interest may reasonably appear to influence research or business or administrative decisions.

3. **Commitment**: Distribution of time and effort between University responsibilities and Outside Employment or Professional Commitments.
Faculty Members are normally prohibited from serving as Principal Investigator at the University on sponsored projects that are funded by an organization in which the Faculty Member has an Outside Employment or Outside Professional Commitment arrangement.

Exceptions may be approved by the Senior Vice President for Research in special circumstances such as (but not limited to) an SBIR/STTR arrangement or for ongoing research of a Faculty Member newly arriving at the University from another research institution.
If a Principal Investigator has an interest in an outside entity, the Principal Investigator should not subcontract University research to that company.

If a Principal Investigator subcontracts University research to a company in which a co-Investigator has an interest, the co-Investigator should not participate in the budget and/or contract negotiations associated with the subcontract.
Managing Competing Interests

SBIRs

- The Principal Investigator for the SBIR grant must be employed greater than 50% by the outside entity, so UA employees with a .50 FTE or greater at the University cannot serve as the Principal Investigator of a SBIR Phase I or II grant.

- For SBIR Phase I, at least two-thirds of the research should be performed by the outside entity receiving the grant, and for SBIR Phase II, at least half of the research should be performed by the outside entity. The remaining amount may be performed by either the outside entity or through a subcontract to a research institution.
STTRs

- The Principal Investigator may be principally employed by either the outside entity or the research institution.

- In both Phase I and II grants, the outside entity should perform at least 40% of the research, should subcontract at least 30% of the research to a research institution, and the remaining 30% can either be done by the outside entity or through a subcontract.
University Employees cannot participate as a University representative in any University decision related to outside entities in which they have an interest.
Managing Competing Interests

Questions?

COI Email: coi@email.arizona.edu

COI Office: (520) 626-6406

To confidentially report suspected unethical or illegal conduct:
866-364-1908
Why I’m Here

- What is ORCID / importance
- What is SciENcv / importance
- Creating a Biosketch using SciENcv
ORCID

https://orcid.org/0000-0002-2874-0284
Biographical Information

Mariana Amorim Fraga

**ORCID ID**
https://orcid.org/0000-0001-4976-8550

**Also known as**
M. A. Fraga, M. Fraga, M. Amorim Fraga, Marilena Fraga

**Websites**
Publons profile
Curriculum (in Portuguese)

**Keywords**

**Other IDs**
Scopus Author ID: 259331918800
ResearcherID: E-9750-2011
RIM profile: 291905

**Email**
mofraga@ieee.org

**Biography**
Mariana Amorim Fraga obtained her PhD in Aeronautics and Mechanical Engineering (with concentration on materials science) from the Technological Institute of Aeronautics and Master degree in Electrical Engineering (with concentration in Microelectronics) from the University of São Paulo, Brazil. She has been actively working in the materials science and engineering areas, mainly in the synthesis and characterization of nanomaterials for the development of sensors, electronic devices and energy technologies. She is the co-editor of the book Emerging Materials for Energy Conversion and Storage (Elsevier). She also serves as associate editor for the journal IEEE Latin America Transactions, the assistant editor of the Journal of Aerospace Technology Management, and Member of Editorial Advisory Board of 5 International journals. She was a guest editor of the Special Topical Issue on Wide-Bandgap Semiconductor Materials of the Journal Materials Science in Semiconductor Processing (Elsevier), guest editor of the Focus Issue on (Nano)-materials for Biomedical Applications of the Journal of Materials Research (JMR, Materials Research Society), guest editor of the Special Issue of the NanoBio Symposium–XVII B-MMS of the Journal Materials Today: Proceedings (Elsevier), guest editor of the Special Issue SIC based Miniaturized Devices of the Journal Microachines (MDPI) and guest editor of the Topical Collection - Mechanical Properties of Advanced Materials of the Journal SN Applied Sciences (Springer Nature).

**Employment**

- **Universidade Federal de São Paulo: São Paulo, SP, BR**
  - 2016-05-28 to present | Visiting Professor
  - **Source:** Mariana Amorim Fraga
  - **Preferred source**

- **Universidade Brasil: São Paulo, BR**
  - 2017-02-10 to 2018-10-31 | Professor (Biomedical Engineering and Bioengineering)
  - **Source:** Mariana Amorim Fraga
  - **Preferred source**

- **Instituto Nacional de Pesquisas Espaciais: São José dos Campos, SP, BR**
  - 2014-11-01 to 2017-02-10 | Bolsista de Pós-Doutorado
  - **Source:** Mariana Amorim Fraga
  - **Preferred source**
Employment Information

Ellen Dubinsky

ORCID iD
https://orcid.org/0000-0002-2874-0284

Also known as
Ellen K. Dubinsky

Country
United States

Other IDs
Scopus Author ID: 35361684300

Email
edubinsky@arizona.edu

Biography
As Scholarly Communications Librarian I advocate for the broadest possible dissemination of the University of Arizona community’s scholarly output. Partnering with colleagues within the Libraries and throughout the campus, I work to promote a culture of open scholarship and support sustainable approaches to scholarly content creation and stewardship.

Employment (3)

University of Arizona Libraries: Tucson, AZ, US
2018-08-27 to present | Scholarly Communication Librarian
Employment

Source: Ellen Dubinsky ★ Preferred source

Bridgewater State University: Bridgewater, MA, US
2009-09 to 2018-08 | Digital Services Librarian
Employment

Source: Ellen Dubinsky ★ Preferred source

Washington University in St. Louis School of Medicine: St Louis, Missouri, US
2003 to 2009-07 | Digital Initiatives Librarian
Employment

Source: Ellen Dubinsky ★ Preferred source
Education & Qualifications

Ellen Dubinsky

ORCID iD
https://orcid.org/0000-0002-2874-0284

Print view

Also known as
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Employment (3)

Education and qualifications (3)

Bridgewater State University: Bridgewater, MA, US
2011 to 2014 | MEd, Instructional Technology
Education

Source: Ellen Dubinsky ★ Preferred source

University of Missouri Columbia: Columbia, MO, US
2001 to 2003 | MLIS
Education

Source: Ellen Dubinsky ★ Preferred source

Northwestern University: Evanston, Illinois, US
1977 to 1981 | BS (Speech)
Education

Source: Ellen Dubinsky ★ Preferred source
Invited Positions & Distinctions

Before joining LYRASIS as the ORCID US Community Specialist, Sheila worked extensively within the field of academic digital libraries. She previously served as the Digital Project Manager and Interim Director of the University of Oregon Libraries’ Digital Scholarship Center, overseeing all aspects of the Libraries’ digital collections, including digital production and metadata, institutional repository management, platform development and digital scholarship project collaborations. More recently, she was the Community and Communications Officer for the International Image Interoperability Framework (IIIF) Consortium, managing all projects, events and activities for museums, libraries, software firms and cultural heritage institutions around the globe. Sheila holds a BA in Communication from St. Edward’s University in Austin, Texas, an MA in Folklife from the University of Oregon and an MLIS from the University of Washington Information School.

**Invited positions and distinctions (2)**

- ORCID: Bethesda, Maryland, US
  - 2019-05-21 | Elastigirl Superhero Award for Excellence in Motivating Communications
  - Distinction
  - Source: Sheila Rabun

  - 2018-04-15 to present | Contributing Writer
  - Invited position
  - Source: Sheila Rabun

**Membership and service (1)**

- Council on Library and Information Resources: DC, DC, US
  - 2019-02-01 to present | (Digital Library Federation (DLF) Committee on Diversity, Equity, and Inclusion)
  - Membership
Ellen Dubinsky

ORCID ID
https://orcid.org/0000-0002-2874-0284

Also known as
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Country
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Membership and service (1)
American Library Association: Chicago, IL, US
2009-09 to present | Membership

Source: Ellen Dubinsky

Preferred source

Works (5 of 5)
**Funding**

- **Produção e Caracterização de filmes de SIC para aplicação nas áreas aeroespacial, microeletrônica e biomedicina**
  - **Source:** Mariana Amorim Fraga
  - **Grant:** CNPq (Brazil), Grant Number: 421317/2018-3

- **Aplicação de Filmes de Carbeto de Silício em Sensores MEMS de Uso Aeroespacial**
  - **Source:** Mariana Amorim Fraga
  - **Grant:** CNPq (Brazil), Grant Number: 305153/2015-3
Works

Biography
As Scholarly Communications Librarian I advocate for the broadest possible dissemination of the University of Arizona community's scholarly output. Partnering with colleagues within the Libraries and throughout the campus, I work to promote a culture of open scholarship and support sustainable approaches to scholarly content creation and stewardship.

Employment (3)
Education and qualifications (3)
Membership and service (1)

Works (5 of 5)
Does open access make cents? Return on investment in the institutional repository
College & Research Libraries News
2019-05 | journal-article
DOI: 10.5860/crln.80.5.281

Source: Ellen Dubinsky

Piloting a Homegrown Streaming Service with IaaS
Code4Lib
2018-11 | Journal-article

Source: Ellen Dubinsky
INTEROPERABILITY

ENTER ONCE
REUSE OFTEN

PUBLISHER
Assert authorship

CONNECT
COLLECT

RESEARCHER
https://orcid.org/
0000-0001-2345-6789

CONNECT
COLLECT

EMPLOYER
Assert affiliation

CONNECT
COLLECT

FUNDER
Assert award

CONNECT
COLLECT
ORCID

- Free to register. Free to use.
- Name disambiguation
- ORCID is used around the world by
  - Publishers
  - Research organizations
  - Funders
- Researchers control their ORCID records
U.S. federal government ORCID adoption:

- Department of Energy (DOE)
- National Institutes of Health (NIH)
- Centers for Disease Control and Prevention (CDC)
- Agency for Healthcare Research and Quality (AHRQ)
- Environmental Protection Agency (EPA)
- Food and Drug Administration (FDA)
- National Aeronautics and Space Administration (NASA)
- Smithsonian Institution
- United States Department of Agriculture (USDA)
ORCID & SciENcv

As long as data is populated in ORCID, data can be transferred directly from ORCID to SciENcv and other platforms by clicking a button.
SciENcv

- **Science Experts Network Curriculum Vitae**
- Created and managed by NCBI (NIH)
- Electronic system that helps researchers to streamline the preparation and management of their Biosketches
- Provides standardized Biosketch template in approved format for NIH, NSF, and Dept. of Education grant applications
ORCID & SciENcv Integration

Main data points in ORCID → Fields in SciENcv:

**NIH Biosketch:**

- **Biography** → “Personal Statement”
- **Employment** → “Positions and Honors”
- **Education** → “Education/Training”
- **Works** → “Personal Statement - Citations”
- **Funding** → “Additional Information: Research Support and/or Scholastic Performance”
ORCID & SciENcv Integration

Main data points in ORCID → Fields in SciENcv:

**NSF Biosketch:**
- **Biography and Keywords** → “Synergistic Activities”
- **Employment** → “Appointments”
- **Education** → “Professional Preparation”
- **Works** → “Products”

- Note: SciENcv (NSF) does not import funding info from ORCID. NSF will be asking for “current and pending” grant awards in a separate document.
Questions?

ORCID access:
• https://orcid.arizona.edu/
• https://orcid.org

SciENcv access:
• https://www.ncbi.nlm.nih.gov/pubmed/

NSF:
• Proposal & Award Policies & Procedures Guide (PAPPG)
• NSF Policy Office website

Resource Guides (with step-by-step instructions):
• https://libguides.library.arizona.edu/orcid-ids
• https://libguides.library.arizona.edu/sciencv-biosketch

FAQs:
• Using SciENcv FAQs

Contact:
Ellen Dubinsky
Scholarly Communication Librarian
edubinsky@arizona.edu
https://orcid.org/0000-0002-2874-0284
Future Forum Topics?

• Suggest Future forum topics
  sponsor@email.arizona.edu

• Present a topic
  • Share research administration tools (reports, agents, etc.), lessons learned
  • Tips & tricks, coming changes, conferences