

A decorative graphic featuring autumn-themed elements. At the top, a cluster of yellow and red maple leaves is arranged in a semi-circle. Below this is a thick black horizontal bar. Underneath the bar is a bright yellow rectangular area with a textured, brush-stroke-like appearance. The text "October 21, 2020" and "Research Administration Forum" is centered within this yellow area in a bold, black, sans-serif font. Below the yellow area is another thick black horizontal bar. At the bottom, a jack-o'-lantern with a carved face is positioned on the left, and a larger cluster of yellow and red maple leaves is arranged in a semi-circle on the right.

**October 21, 2020**  
**Research Administration Forum**

# 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

**Radha Radhakrishnan**  
Contract Manager  
Sponsored Projects and  
Contracting Services  
rradhak@arizona.edu

**Scott Parkinson**  
Contracts Manager  
UAHS Research  
Administration  
sparkinson@arizona.edu

**Taren Ellis Langford**  
Director  
Conflict of Interest  
tmellis@arizona.edu

October 21, 2020



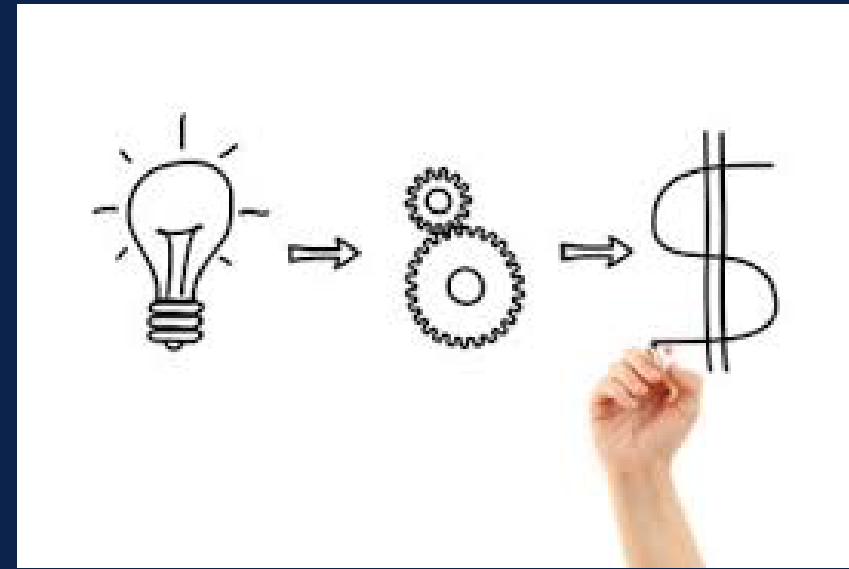
THE UNIVERSITY OF ARIZONA  
**Research**  
Office for Research & Discovery

▲▲▲  
SBIR-STTR  
▼▼▼

**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

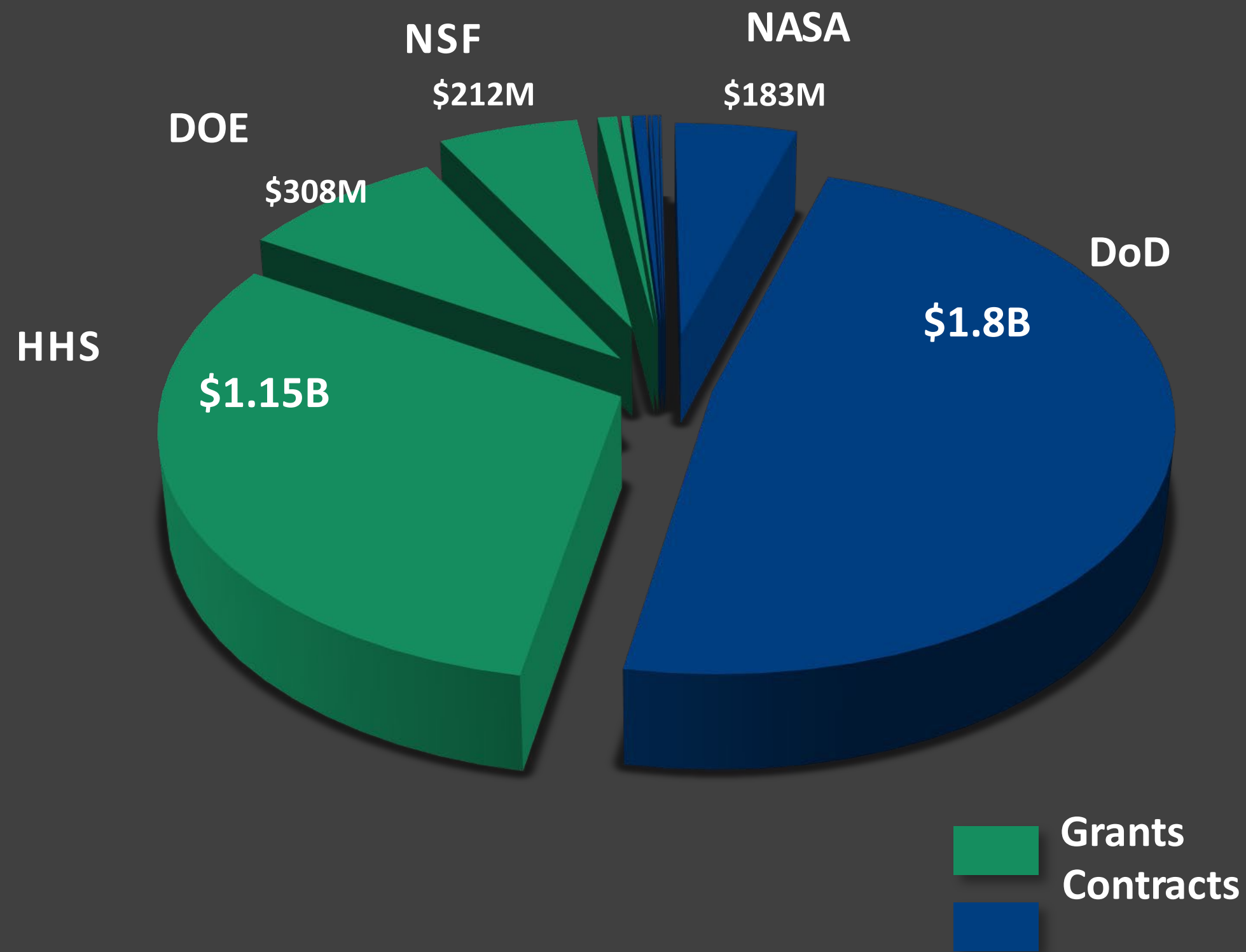


**SBIR: for agencies with extramural research budget >\$100M/yr (3.2%)**

**STTR: for agencies with extramural research budget >\$1B/yr (0.45%)**



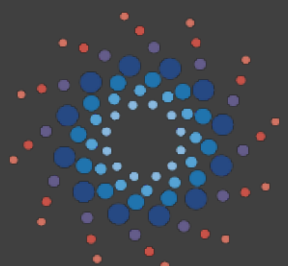
# FY2019 SBIR/STTR Budgets by Agency



**SBIR: \$3.28 Billion**  
**STTR: \$453 Million**

\* Budgeted Amount; other Agencies Obligated Amount

\*\* Provides grants and contracts





# SBIR Vs STTR: PI and IP

## SBIR

IP agreement is **Not required for submission**

**Consult institutional requirement for University partnership**

Non-profit Research Institution/FFRDC – **Not required**

**PI needs to be employed with SB; Applicant is SB**

## STTR

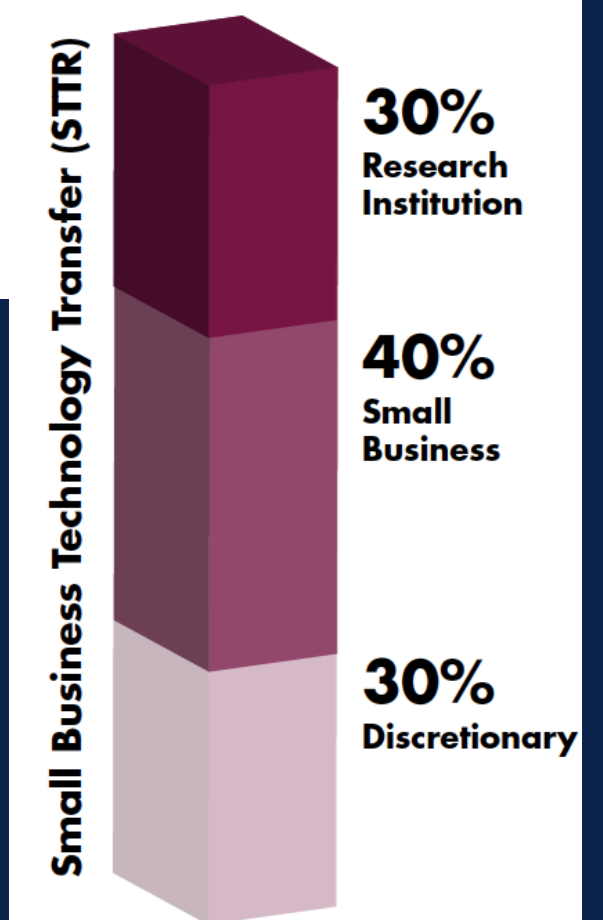
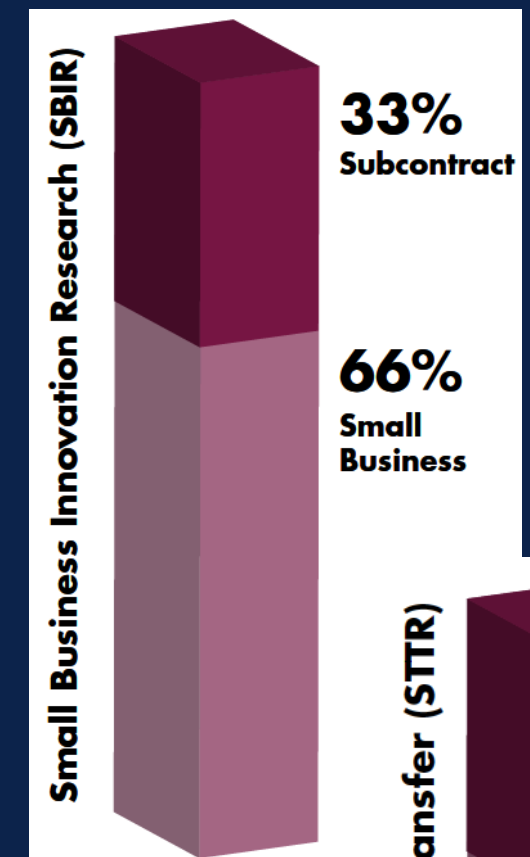
IP allocation agreement **Required**

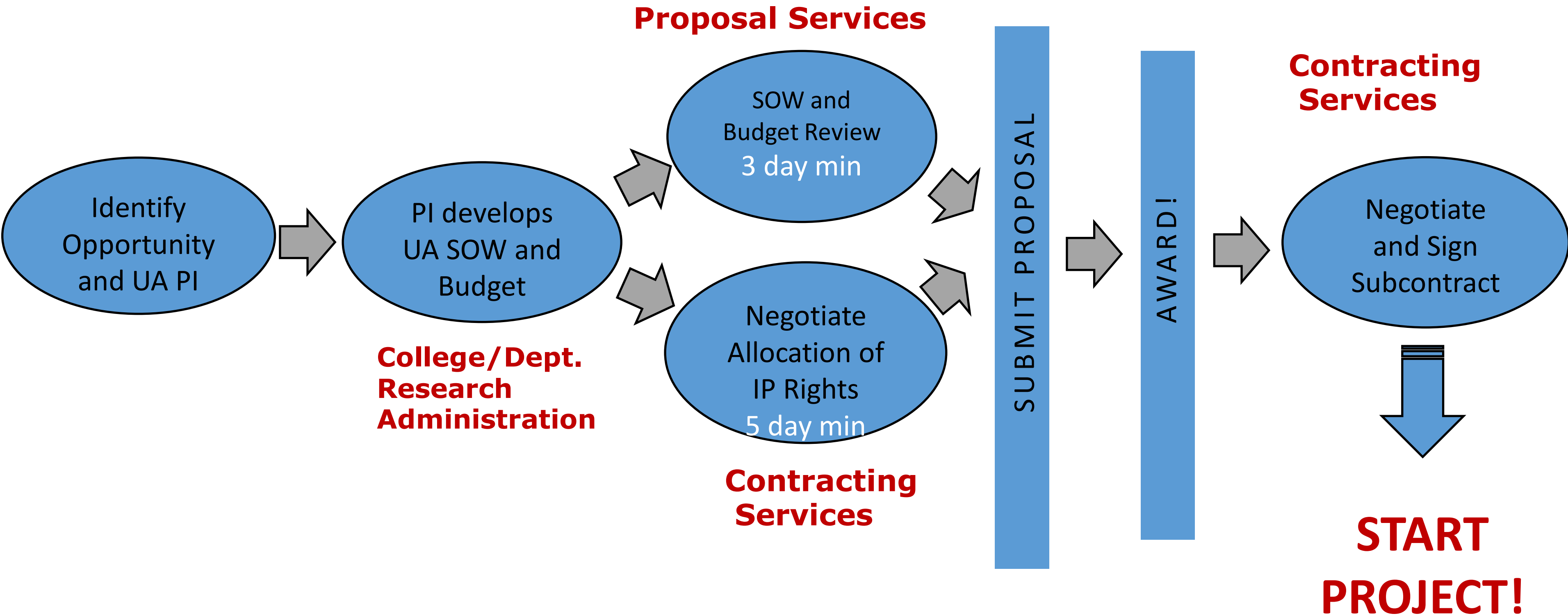
**Consult institutional requirement for University partnership**

Non-profit Research Institution/FFRDC **Required**

**PI can be employed with RI or SB; Applicant is SB**

## Efforts







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

- 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

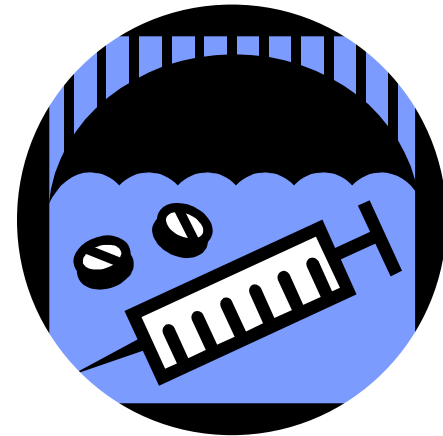


## Subaward Negotiation

- 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



## Indemnification



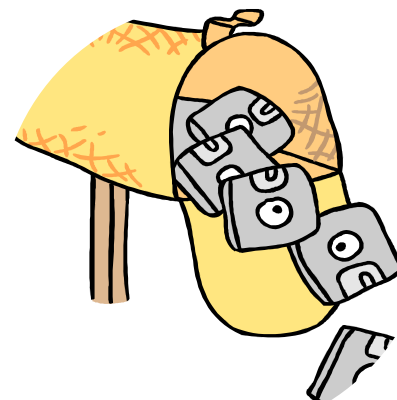
UA is prevented from indemnifying the sponsor or other third parties in most cases.

## 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.

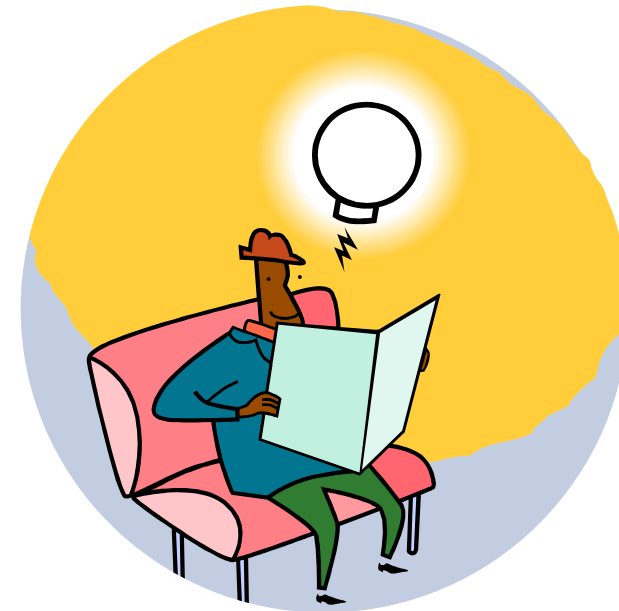
## Data Ownership



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.



## 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**



## 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.



## 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.



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# Managing Competing Interests

University Employees cannot participate as a University representative in any University decision related to outside entities in which they have an interest.







THE UNIVERSITY OF ARIZONA

Research, Discovery  
& Innovation

# Managing Competing Interests



## Questions?

**COI Email:** [coi@email.arizona.edu](mailto:coi@email.arizona.edu)

**COI Office:** (520) 626-6406

To confidentially report suspected unethical  
or illegal conduct:

866-364-1908

# Insider's Guide to ORCID and SciENcv

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October 2020

Ellen Dubinsky

Scholarly Communication Librarian

[edubinsky@arizona.edu](mailto:edubinsky@arizona.edu)



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October 2020



## Why I'm Here

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



# ORCID

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<https://orcid.org/0000-0002-2874-0284>




<https://orcid.org/0000-0002-2874-0284>

## Ellen Dubinsky

### ORCID iD

 <https://orcid.org/0000-0002-2874-0284>

 Print view 

### Also known as

Ellen K. Dubinsky

### Country

United States

### Other IDs

Scopus Author ID: 35361684300

### Email

edubinsky@arizona.edu

### ▼ Employment (3)

↑↓ Sort

University of Arizona Libraries: Tucson, AZ, US

2018-08-27 to present | Scholarly Communication Librarian

Employment

Source: Ellen Dubinsky

★ Preferred source

### ▼ Education and qualifications (2)

↑↓ Sort

Bridgewater State University: Bridgewater, MA, US

2011 to 2014 | MEd, Instructional Technology

Education

Source: Ellen Dubinsky

★ Preferred source

### ▼ Works (5 of 5)

↑↓ Sort

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](https://doi.org/10.5860/crln.80.5.281)

Source: Ellen Dubinsky

★ Preferred source

# Biographical Information

## Mariana Amorim Fraga

**ORCID iD**  
<https://orcid.org/0000-0001-6976-8550>

[Print view](#)

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

**Websites**  
[Publons profile](#)  
[Curriculum \(in Portuguese\)](#)

**Keywords**  
Microelectronics, MEMS, Materials Science, Thin Films, Silicon Carbide and Related Materials, Diamond, Wide Bandgap Semiconductor Materials, High Performance Coatings for Technological Applications, Materials for Solar Energy Conversion, Engineering, Aerospace Materials, Sensors and Transducers, Biomedical Materials

**Other IDs**  
Scopus Author ID: 25931918800  
ResearcherID: E-9750-2011  
Loop profile: 291905

**Email**  
mafraga@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-MRS of the journal Materials Today: Proceedings (Elsevier), guest editor of the Special Issue SiC based Miniaturized Devices of the journal Micromachines (MDPI) and guest editor of the Topical Collection - Mechanical Properties of Advanced Materials of the journal SN Applied Sciences (Springer Nature).

## Employment (7)

Sort

Universidade Federal de São Paulo: Sao Paulo, SP, BR	2019-05-28 to present   Visiting Professor	Employment	Source: Mariana Amorim Fraga	★ Preferred source
Universidade Brasil: São Paulo, BR	2017-02-10 to 2018-10-31   Professor (Biomedical Engineering and Bioengineering)	Employment	Source: Mariana Amorim Fraga	★ Preferred source
Instituto Nacional de Pesquisas Espaciais: Sao Jose dos Campos, SP, BR	2014-11-01 to 2017-02-10   Bolsista de Pós-Doutorado	Employment	Source: Mariana Amorim Fraga	★ Preferred source



# Employment Information

## Ellen Dubinsky

### ORCID iD

 <https://orcid.org/0000-0002-2874-0284>

 Print view 

### 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) <span>Sort</span>	
<input type="checkbox"/>	<b>University of Arizona Libraries: Tucson, AZ, US</b> 2018-08-27 to present   Scholarly Communication Librarian Employment <b>Source:</b> Ellen Dubinsky <span>★ Preferred source</span>
<input type="checkbox"/>	<b>Bridgewater State University: Bridgewater, MA, US</b> 2009-09 to 2018-08   Digital Services Librarian Employment <b>Source:</b> Ellen Dubinsky <span>★ Preferred source</span>
<input type="checkbox"/>	<b>Washington University in St. Louis School of Medicine: St Louis, Missouri, US</b> 2003 to 2009-07   Digital Initiatives Librarian Employment <b>Source:</b> Ellen Dubinsky <span>★ Preferred source</span>



# Education & Qualifications

## Ellen Dubinsky

### ORCID iD

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 **Employment (3)**

 **Education and qualifications (3)** Sort 

 **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

 **Sheila Rabun**

## ORCID iD

 <https://orcid.org/0000-0002-1196-6279>

[View public version](#)

 [Display your iD on other sites](#) 

 [Public record print view](#) 


 [Get a QR Code for your iD](#) 

 **Also known as**

S.J. Rabun

 **Country**

United States

 **Keywords**

 **Websites**

 **Other IDs**

 **Emails**

sheila.rabun@lyrasis.org

sheilajene@gmail.com

## Biography

Before joining LYRASILS 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 (IIF) 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 Folklore from the University of Oregon, and an MLIS from the University of Washington Information School.

### ▶ Employment (6)

### ▶ Education and qualifications (4)

### ▼ Invited positions and distinctions (2)

[+ Add invited position](#)

[+ Add distinction](#)

[⇅ Sort](#)

ORCID: Bethesda, Maryland, US

2019-05-21 | Elastigirl Superhero Award for Excellence in Motivating Communications

Distinction

Source: Sheila Rabun

★ Preferred source

Hack Library School Blog: Online, US

2018-04-15 to present | Contributing Writer

Invited position

Source: Sheila Rabun

★ Preferred source

### ▼ Membership and service (1)

[+ Add service](#)

[+ Add membership](#)

[⇅ Sort](#)

Council on Library and Information Resources: DC, DC, US

2019-02-01 to present | (Digital Library Federation (DLF) Committee on Diversity, Equity, and Inclusion)

Memberchin

# Memberships & Service

## Ellen Dubinsky

### ORCID iD

 <https://orcid.org/0000-0002-2874-0284>

 [Print view](#) 

### Also known as

Ellen K. Dubinsky

### Country

United States

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Scopus Author ID: 35361684300

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- ▶ Employment (3)**
- ▶ Education and qualifications (3)**
- ▼ Membership and service (1)** ↕ Sort
  - American Library Association: Chicago, IL, US 

2009-09 to present | Membership  
Membership

**Source:** Ellen Dubinsky ★ Preferred source
- ▼ Works (5 of 5)** ↕ Sort



# Funding

## Mariana Amorim Fraga

### ORCID iD

<https://orcid.org/0000-0001-6976-8550>

[Print view](#)

### Also known as

M. A. Fraga, M. Fraga, M. Amorim Fraga, Mariana Fraga

### Websites

[Publons profile](#)  
[Curriculum \(in Portuguese\)](#)

### Keywords

Microelectronics, MEMS, Materials Science, Thin Films, Silicon Carbide and Related Materials, Diamond, Wide Bandgap Semiconductor Materials, High Performance Coatings for Technological Applications, Materials for Solar Energy Conversion, Engineering, Aerospace Materials, Sensors and Transducers, Biomedical Materials

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- 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-MRS of the journal Materials Today: Proceedings (Elsevier), guest editor of the Special Issue SiC based Miniaturized Devices of the journal Micromachines (MDPI) and guest editor of the Topical Collection - Mechanical Properties of Advanced Materials of the journal SN Applied Sciences (Springer Nature).

### Employment (7)

### Education and qualifications (2)

### Invited positions and distinctions (13)

### Membership and service (12)

### Funding (5)

Sort

Produção e Caracterização de filmes de SiC para aplicação nas áreas aeroespacial, microeletrônica e biomedicina

Conselho Nacional de Desenvolvimento Científico e Tecnológico (Brasília)

2019-02 to 2022-01 | Contract

GRANT\_NUMBER: 421317/2018-3

Source: Mariana Amorim Fraga

★ Preferred source

Aplicação de Filmes de Carbetto de Silício em Sensores MEMS de Uso Aeroespacial

Conselho Nacional de Desenvolvimento Científico e Tecnológico (Brasília)

2016-03 to 2019-02 | Grant

GRANT\_NUMBER: 305153/2015-3

Source: Mariana Amorim Fraga

★ Preferred source

# Works

## Ellen Dubinsky

### ORCID iD

 <https://orcid.org/0000-0002-2874-0284>

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**› Employment (3)**

**› Education and qualifications (3)**

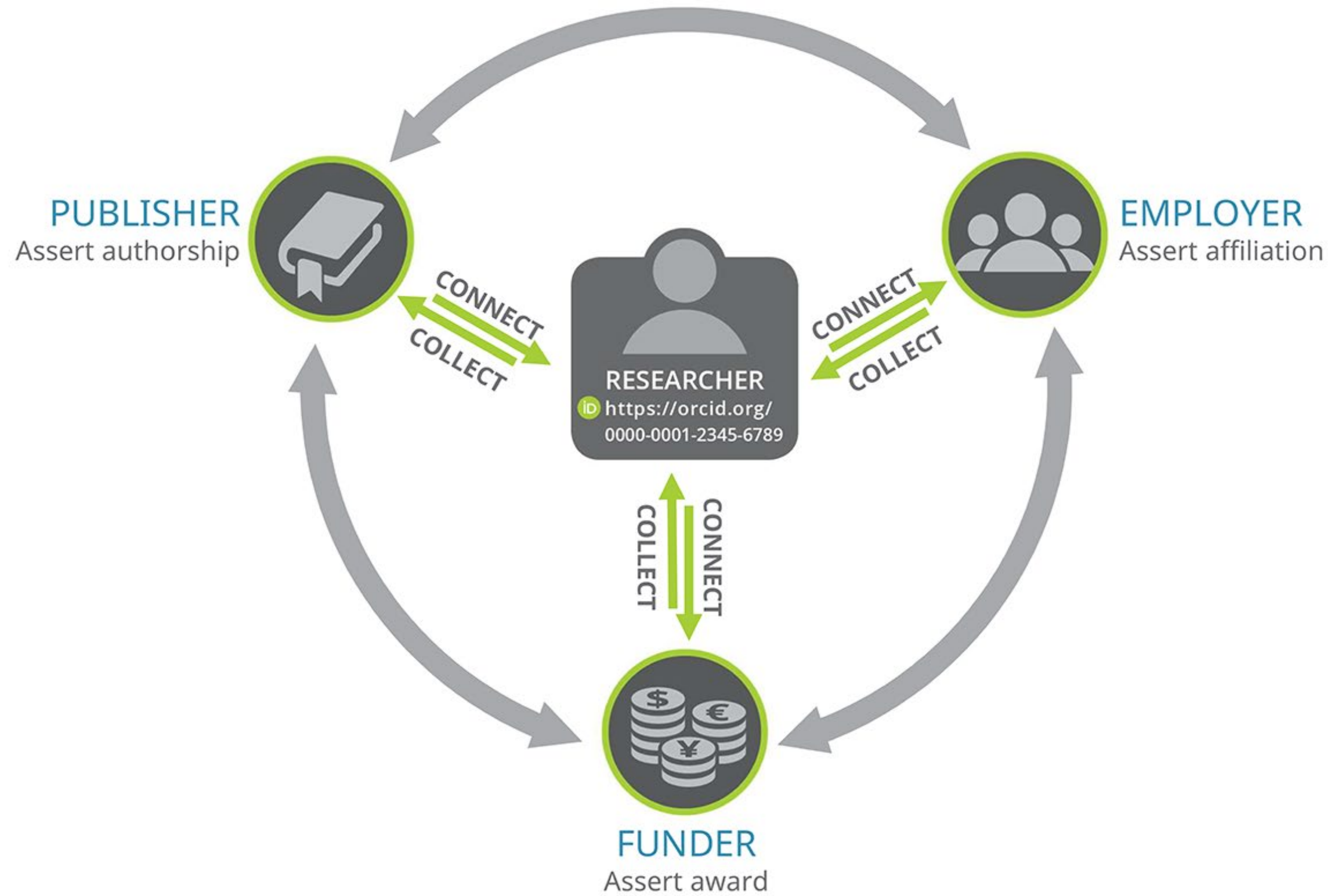
**› Membership and service (1)**

**▼ Works (5 of 5)** Sort

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](https://doi.org/10.5860/crln.80.5.281)  
**Source:** Ellen Dubinsky ★ Preferred source

Piloting a Homegrown Streaming Service with IaaS ▼  
Code4Lib  
2018-11 | journal-article  
**Source:** Ellen Dubinsky ★ Preferred source

# INTEROPERABILITY ENTER ONCE REUSE OFTEN



# ORCID

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- 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:

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- 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

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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

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- **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

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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

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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?

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## ORCID access:

- <https://orcid.arizona.edu/>
- <https://orcid.org>

## SciENcv access:

- <https://www.ncbi.nlm.nih.gov/sciencv/>
- <https://www.ncbi.nlm.nih.gov/account/>
- <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](mailto:edubinsky@arizona.edu)

<https://orcid.org/0000-0002-2874-0284>

## Future Forum Topics?

- Suggest Future forum topics  
[sponsor@email.arizona.edu](mailto:sponsor@email.arizona.edu)
- Present a topic
  - Share research administration tools (reports, agents, etc.), lessons learned
  - Tips & tricks, coming changes, conferences

