SPONSORED PROGRAM ADMINISTRATION MEETING
March 2017

WELCOME
Agenda

- OVPR/SPS News and Information
  - Technology Commercialization Services – Andrew Zehner
  - 2017 Individual Financial Disclosure in Research
  - Internal Routing – Required Signatures
  - Reminder

- NIH News and Information
  - Appendix Materials
  - Resubmissions Revisited
  - eRA Enhancements
  - Reminder

- Grants.gov
  - Reminder

- American Heart Association
  - Reminder
OVPR/SPS
NEWS AND INFORMATION
Technology Commercialization Services
UConn Research & Innovation

Andrew Zehner
Associate Vice President
Technology Commercialization Services
March 2017
University Initiated Pipeline for an Innovation Economy
UConn generates new discoveries that move through translational stages towards commercialization, investment, new companies, and new jobs for Connecticut.
Turning discoveries into products, companies and jobs.

- Identify, protect, license and fund the development of new discoveries and Intellectual Property (IP)
- Support company startup creation with investment services, mentoring and entrepreneurial education
- Incubate company startups at 3 state-of-the-art facilities through the Technology Incubation Program (TIP), provide access to University R&D resources to TIP companies, plus business support, mentoring, educational and networking events

Research & Innovation success leads to technology commercialization, creates new companies, new jobs and positions Connecticut for economic growth.
FY16 Technology Commercialization Activity

- 69 invention disclosures received
- 91 U.S. patent applications filed
- 31 patents issued
- 11 licenses & options executed
- $960K licensing revenue
- 2 startup companies formed (FY15)
Technology Incubation Program (TIP)

Recent Data

- **35** companies currently being incubated
- **76%** of incubator space is currently occupied
- **$1.2M** raised in revenue from sales and grants
- **$19.1M** raised in debt & equity funding
- **66** full-time & **38** part-time jobs created

Moving technology from the lab to the market at UConn and UConn Health
Types of University-Industry Partnerships:

• Industry Contracts
• Joint Research Grants
• Student Internships
• Scientific/Engineering Support
• Clinical Trials
• Technology Development
• Shared Equipment
• Proof of Concept Space
• Partner and Startup Co-location (e.g. Industry Partnership Building)

When UConn’s world-class researchers collaborate with industry, economic growth and competitiveness of CT is increased.
Innovation Partnership Building (IPB) at the UConn Tech Park

- Targets Manufacturers
- Attracts Large Corporations
- Supports Small and Medium-Sized Enterprises in Supply Chain

The Innovation Partnership Building (IPB) connects industry partners and faculty experts in state-of-the-art labs to fuel scientific breakthroughs, advance new products and create high-paying jobs.

Aligning Industry needs with UConn innovation and expertise

UCONN RESEARCH & INNOVATION: Economic Driver for CT

UCONN HEALTH

OFFICE OF THE VICE PRESIDENT FOR RESEARCH
Accelerating the success of new ventures and new products

Andrew Zehner
Associate Vice President
Technology Commercialization Services
WHAT IS TIP?

• UConn’s Technology Business Incubator
• Technology focus, startups, spin-offs of existing firms
• Seasoned operation, operates on national best practices
• 32K sq. ft. (expanded in 2016)
• Offers wet and dry labs, offices in various sizes, flexible leasing arrangements
• Shared labs, offices, co-working space available
WHERE ARE THE TIP LOCATIONS?

Storrs  Farmington  Avery Point

ip.uconn.edu
WHERE DOES TIP FIT AT UCONN?

TIP

- Technology Commercialization Services
- UConn Expert faculty, students
- NSF I Corps, Accelerate UConn
- EHS, Research Compliance

ip.uconn.edu
HOW DOES TIP HELP COMPANIES INCREASE THEIR “FUND-ABILITY”?

Access to faculty & research experts expedites research, patents and intensifies competitive advantage

Access to UConn Core Research Facilities e.g. Stem Cell Core, Animal Care, and others reduces equipment costs, accelerates product development

Access to University library, computer network and student intern program facilitates qualified hires, improves management team and strengthens market strategy

Business development services provided to companies at low/no cost

Business education

- Business seminars
- CEO peer roundtable
- Networking sessions
- Meetings with potential state and private investors
- Office hours with top CT legal, financial service providers

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ONE COMPANY ATTRACTED $22.6M IN EQUITY BETWEEN 2014 & 2015

17 NATIONAL, STATE GRANTS

2 COMPANIES AWARDED, “MOST PROMISING…” IN CT
- Avitus Orthopaedics
  Most Promising Medical Device Company
- Diameter Health
  Most Promising Software Company

10 BUSINESS SEMINARS

26 ANNUAL COMPANY REVIEWS

3 MASS CHALLENGE WINNERS

9 HI-POTENTIAL VENTURES MOVED INTO TIP BETWEEN 3RD & 4TH Q 2015, INCLUDING FROM JOHNS HOPKINS AND MIT

3 MONTHLY COMMUNITY GATHERINGS

ip.uconn.edu
The Annual Financial Disclosure for 2017 is available through the UConn Health COI-SMART electronic system.

At time of routing, SPS is required to confirm that Investigators associated with the project have completed their annual disclosure.

Definition of Investigator:

“The project director or principal investigator and any other person, regardless of title of position, who is responsible for the design, conduct, or reporting of research funded by DHHS, or proposed for such funding”.
Routing of project applications that include UConn Health Faculty identified as **Other Significant Contributors (OSC)** will now require the signatures of OSC and their Department Chair/Center Director.
REMINDER:

INFORMATION AND COMPLIANCE FORM FOR SUBRECIPIENTS

For your new proposal applications, please be sure to provide subrecipients with the Information and Compliance Form for Subrecipients Form.

Available on our SPS website: http://research.uchc.edu/sps-proposals/forms/

Note: please be sure to include all of the required documents with the routing package:
Internal Routing Deadlines

Streamlined Route
Due 3 days prior to Sponsor’s deadline

- Permitted when SPS is submitting the final application
  (applies to New/Renewal applications only)

- Streamlined Route to include:
  - routing form
  - budget
  - budget justification
  - abstract/scope of work
  - consortium documents
  - documents requiring institutional signature

FINAL APPLICATIONS: Due by NOON the day prior to Sponsor’s deadline
As of January 25, 2017, NIH is enforcing the application Appendix materials policy. Notice Number: NOT-OD-16-129.

Your application will be withdrawn and not reviewed if you include Appendix materials that are not specifically listed as allowed or required in either the Guide notice above or the funding opportunity announcement.

**Allowable Appendix Materials:**

For applications proposing clinical trials:
- Clinical trial protocols
- Investigator’s brochure from Investigational New Drug (IND), as appropriate

For all applications:
- Blank informed consent/assent forms
- Blank surveys, questionnaires, data collection instruments
- FOA-specified items
Resubmissions Revisited: Funded Resubmission Applications and Their Initial Peer Review Scores.

Blog provides descriptive data on resubmission and award rates according to the overall impact score on the AO submission.
TWO MORE PRIOR APPROVAL REQUESTS GO ELECTRONIC:

- Prior Approval Request for No Cost Extension (NCE)
  - When an NCE under expanded authority has already been used and the grant is within 90 days of the project end date
  - When the grantee is not under expanded authority and the grant is within 90 days of the project end date.
  - When the project end date has expired and has not been closed or has not entered unilateral closeout, whichever comes first.

- Prior Approval Request for Change of PD/PI
  - Who is being replaced, moved or added to the grant?
  - What will their level of effort be?
  - What is the effective start date for the requested change?
    - Biosketch of new PD/PI
    - Other Support for new PD/PI
    - Justification Documentation

- This is currently an optional submission method. Contact your Project Officer first; your PO will reach out to the NIH Grants Management Specialist to inquire about their preferred submission method.

- Prior approval requests go to SPS via IPAS request with associated back up.
- After SPS review, SPS submits the prior approval request via eRA Commons.
Electronic Prior Approval Request for No Cost Extension (NCE)

- When an NCE under expanded authority has already been used and the grant is within 90 days of the project end date.
- When the grantee is not under expanded authority and the grant is within 90 days of the project end date.
- When the project end date has expired and has not been closed or has not entered unilateral closeout, whichever comes first.

Requested Information:
- Number of Months
- Amount of Unobligated Balance
- Does PI Maintain Measurable Effort (Yes/No)

*Note: NIH does not require prior approval for the reduction in effort for senior/key personnel named in the NoA during a NCE. However, consistent with the NIH Grants Policy Statement, recipients are reminded that for active NIH awards, the PD/PI and other senior/key personnel named in the NoA must devote a measurable level of effort.*

PDF Uploads:
- Progress Report
- Budget Document
- Justification Document
Options available to submit your application through Grants.gov:

- **NIH and DHHS Partners:**
  - [NIH ASSIST](#)
  - [Grants.gov Workspace](#)

- **Other Agencies That Use The Legacy PDF Application Package (ex: DOD):**
  - [Grants.gov Workspace](#)

Additional Information:
- [ASSIST User Guide](#)
- [DHHS Submission Options](#)
- [Grants.gov Workspace](#)
- [YouTube Videos](#) Grants.gov Workspace
The American Heart Association now requires that all awardees obtain an Open Researcher and Contributor Identification (ORCID). ORCID is a universal identifier for researchers. Registration may be done through the ORCID website.

Awardees will be prompted for this identifier in their upcoming scientific reports.
Department Administrators
News and Information
See you at the next SPONSORED PROGRAM ADMINISTRATION MEETING

APRIL 19, 2017
11:00 am
Onyiuke Dining Room