

UNIT REPORT

**Research - Reviewer's Report –
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Research

Office of Research Mission

Mission Statement:

UF Research provides the institutional leadership and infrastructure necessary for the research enterprise to achieve excellence in creating new fundamental knowledge and technological breakthroughs, in translating research to relevance, and in contributing to the educational mission of the institution.

Start: 07/01/2021**End:** 06/30/2022**Progress:****Unit/College:** Research**Responsible Roles:** Stephanie Gray (slgray@ufl.edu)

Goal 1 Increase total award funding for sponsored programs

Goal: Increase total award funding for sponsored programs**Action Items:**

1. Prepare an annual report listing the funding received for research by type of sponsor (federal, state, foundations, for-profit corporations) and by academic unit (colleges, departments, centers, and institutes).
2. Create expense models allowing for deeper analysis of the Higher Education Research and Development Survey.
3. Provide technical assistance for the writing of complex proposals to increase competitiveness of team science and infrastructure proposals.

Measures of Action Items:

1. Delivery of activity reports to the Vice President for Research
2. Delivery of expense reports to the Vice President for Research
3. Number of opportunities distributed to targeted faculty leveraging new information. Number and success ratios of proposals submitted to limited submission programs. Number and success ratios of complex proposals supported by the Division of Research Program Development.

Time Period of Action Items:

7/1/2020-6/30/2021

Resources of Action Items:

1. Designated staff within Division of Sponsored Programs
2. Designated staff within Division of Sponsored Programs
3. Designated staff within Division of Research Development

Results and Evaluation:

1. The annual report is compiled by the Associate Director of Research and reviewed by Assistant Vice President and Vice President for Research. For the first time in UF history, FY 2022 research expenditures were greater than \$1B. The results met expectations of growth for the research enterprise.
2. The HERD Expense report was created in real time allowing for tracking of expense accruals and reporting of the \$1 Billion milestone within days of reaching the mark.
3. Reviewed by Research Development. A total of 4,425 opportunities were distributed to the faculty using the Friday Funding Digest. Of these, 300 opportunities - comprising larger, multi-investigator proposals were targeted to specific research groups. In FY 2022, 223 proposals were submitted to limited submission programs, and a total of 5 awards were received. Across campus, a total of 8 complex proposals were supported by the division, with one award being received. These processes are ongoing. In addition, with an increased focus on Early Stage Investigators, 220 funding opportunities were distributed that were significant for ESIs.

ATTACHMENTS:

UNIT GOALS CONNECTED TO UNIVERSITY GOALS -----

RELATED ITEM LEVEL 1

Goal 3 Faculty recognized as preeminent by their students and peers.**Goal:**

Faculty recognized as preeminent by their students and peers.

Objective:

Five objectives are associated with this goal.

- Objective 1. An increased number of faculty recognized by distinguished awards, fellowships, and memberships.
- Objective 2. An increased number of high-impact scholarly publications and creative works.
- Objective 3. An increased professional and public visibility of UF faculty.
- Objective 4. An increased faculty participation in professional service and leadership.
- Objective 5. A nurturing and invigorating academic and professional environment for all faculty across the research, teaching, and service missions of the university.

RELATED ITEM LEVEL 1

Goal 4 Growth in research and scholarship that enhances fundamental knowledge and improves the lives of the world's citizens.

Goal:

Growth in research and scholarship that enhances fundamental knowledge and improves the lives of the world's citizens.

Objective:

Four objectives are associated with this goal.

- Objective 1. Documented advances in productivity and recognition of UF research programs.
- Objective 2. Exceptional graduate and postdoctoral scholars who will contribute to influential research and scholarship.
- Objective 3. Increased extramural and intramural funding that enhance both basic and translational research.
- Objective 4. Processes and systems that facilitate excellence in research and scholarship.

Goal 2 Customer Service

Goal: Increase efficiency, effectiveness and integration of administrative services and programs

Action Items:

1. Work with offices across campus to ensure clear and timely disclosure of research conflicts of interests. Update processes and procedures and explore leveraging a system-based solution.
2. Improve office workflows that support the activation of health-related human subjects research. Expanding the Key Performance Indicators and metrics related to protocol activation and tracking performance for study teams, PIs, departments, institutes, as well as Office of Clinical Research (OCR) as a service provider. This will be accomplished by the launch of the CTMS-based tableau reporting system for Key Performance Indicator tracking and protocol activation timelines.
3. Update procedures to reflect a future state for letter of credit draws, accounts receivable, invoicing and financial reporting as result of new functionality identified and implemented during our Grants Optimization project to improve efficiency and reduce human error.

Measures of Action Items:

1. Perform international risk assessment process for international agreements and faculty international outside activities.
2. Updated and improved processes, flowcharts and procedures for research conflict of interest disclosures, management plans and annual monitoring. Updated procedures, flow charts, and processes for health-related human subjects research and research billing compliance. Integration status of multiple interfaces between the OnCore CTMS platform and the Epic EHR will be completed. Implement Gainesville-based services and technology to the JAX clinical research community.
3. Updated and improved processes, flowcharts and procedures for letter of credit draws, accounts receivable, invoicing and financial reporting.

Time Period of Action Items:

7/1/2020-6/30/2021

Resources of Action Items:

1. Designated staff within UF Research Integrity and Compliance
2. Designated staff within Office of Clinical Research
3. Designated staff within Contracts & Grants Accounting

Results and Evaluation:

1. UF RISC has implemented a comprehensive research security framework that includes the review of international engagements, collaborations and awards. The office reviews all new hires and visitors in research and research support positions, all international awards and provides support to the research community prior to and during international engagements.
2. The Medicare Coverage Analysis (MCA) buildout is completed and reviewed by UF's Office of Internal Audit who determined that the compliance checkpoints implemented are sufficient and appropriate. Implementation of OnCore at Jacksonville has been initiated and is ongoing.
3. Contracts and Grants in coordination with UFIT finalized implementation of new functionality identified through the Grants Optimization Project. Updates to processes and procedures for letter of credit draws, accounts receivable, invoicing, and financial reporting have occurred. These updates have shifted invoicing and reporting from laborious manual processes focused on data entry to automated processes focused on data quality. In addition, workflows have been streamlined by moving to WorkCentre's which provide Grant Accountants with targeted worklists of action items.

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RELATED ITEM LEVEL 1

Goal 7 A physical infrastructure and efficient administration and support structure that enable preeminence.

Goal:

A physical infrastructure and efficient administration and support structure that enable preeminence.

Objective:

Three objectives are associate with this goal.

- Objective 1. A campus with updated facilities, including modern research laboratories, classrooms to support state-of-the-art teaching and learning, contemporary residence halls, and high-quality technology infrastructure.
- Objective 2. An efficient and effective administration that provides superior business services to the campus community, proactively streamlines processes to minimize burden and redundancy, incentivizes excellence through budget appropriations, and attracts and retains talented staff through ongoing professional development opportunities and competitive compensation.
- Objective 3. An attractive, sustainable and safe, campus that offers a high quality of life to faculty, staff, students, alumni and the community, making UF a desirable place to visit, live, work and play.

Goal 3 Education and Training

Goal:

Provide education and training in research administration and compliance, with a focus on the responsible conduct of research.

Action Items:

1. Develop and launch new compliance training opportunities, including targeted outreach to graduate students, junior faculty and new administrators.

Measures of Action Items:

1. Develop training and outreach materials, including case studies, handouts and interactive websites. Develop departmental training materials.

Time Period of Action Items:

7/1/2020-6/30/2021

Resources of Action Items:

1. Development of new Export Control modules: 1) Basics, 2) Research Administrators, and 3) Faculty. This new series will launch in Fall 2022.

To support the federal regulations outlined in NSPM-33, specifically for persistent identifiers, and common forms, UF launched a new initiative: ORCID@UF. Now, UF is a trusted organization and the UF community can push grant information, including effort reporting, to their ORCID record. In support of this initiative, UF Research developed an ORCID@UF website, designed an email campaign, established an email support service, provided educational outreach to departments, colleges and symposiums, and created instructional videos <https://research.ufl.edu/orcid.html>, <https://research.ufl.edu/orcid.html#ORCIDvideo>

To foster the culture of research integrity on the UF campus, training and outreach materials on the ethics of authorship, rigors of peer review, recognizing predatory publishing, avoiding plagiarism have been developed. Other training materials include a video "The Role of the RIO", a video on RCR@UF, The Research Roundtable Podcast, and RCR posters have been distributed to college and

departments on campus. A new website promoting responsible conduct of research will be launched in the fall of 2022.
<https://research.ufl.edu/rcr/2022-summer-seminar-series/>, <https://research.ufl.edu/research-roundtable-podcast.html>,
<https://research.ufl.edu/compliance/research-integrity.html#RIOvideo>

Results and Evaluation:

ORCID@UF: The UF campus community (n=231) received educational awareness for ORCID at various events, including department meetings, research symposiums, and campus events.

Since the launch of ORCID@UF in February 2022, 3077 UF faculty, staff and students have connected their ORCID to UF.

RCR @ UF: Presentations to undergraduates and graduate students (n=167) received research integrity/responsible conduct of research training at various events including the classroom, and those who work on federally funded grants.

RCR CITI Training: There were 1283 faculty, staff, and students who completed the CITI training for RCR certification.

RCR Summer Seminar Series: This series is developed annually by UF RISC and UF Research Education and Training Programs. This series exceeds the NIH, NSF, and USDA RCR Training requirements and is an alternative to the CITI training module. In 2021, 30 participants completed the 15-hour series. In 2022, 45 participants completed the 14 hour series. These participants earned the UF RCR Certificate. Overall, for the 2021 and 2022 seminar series, ~170 participants attended 5 or more seminars.

Export Compliance: 51 participants completed all three required courses. [Note: These statistics do not demonstrate UF participants who completed less than the 3 required courses nor the electives.]

IRB: There were 1316 participants who completed the mandatory IRB-Biomed training via CITI program.

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Research IE Detail

Providing Department: Research

Administrative Support Services:

The Business Office will prepare and track the budget of the Office of Research and will be fully compliant with the standards established by the Chief Financial Officer and Controller. It will also maintain the accounting for the UF Innovate and provide error free collection and disbursement of the licensing funds as evidenced by a clean annual audit from an external audit firm. Operating budget reports are monitored monthly and Licensing income and disbursements are reconciled twice per year.

The Directors of Sponsored Programs and Contracts & Grants Accounting Services work to assure compliance with Federal Standards for cost transfers, effort management, cost principles, and other fiscal matters. Any trends indicating a need for training or opportunities to modify procedures to increase compliance will be acted.

Contracts and Grants Accounting Services and the Office of Clinical Research will assure all revenue owed from sponsors is tracked to Accounts Receivable and uncollectable debt is kept at negligible amounts.

Research Integrity and the Division of Sponsored Programs will implement procedures to efficiently assess project level risk and ensure controls are in place to facilitate technical research compliance.

The Division of Sponsored Programs and the Office of Clinical Research will implement procedures to efficiently identify agreements and awards involving human subjects research that require AAHRPP accreditation language, and route them to OCR.

UF Research decided to initiate processes for the improvement of IT infrastructure and customer service. Current avenues being explored are the adoption of Sales Force as the CRM across all UF Research units.

In addition, efforts are being initiated to consolidate analytics of operational and performance standards onto a common platform, as well as for increasing support for preparation of large proposals.

Academic and Student Support Services:

UF Research provides support for graduate students in the form of travel awards. Highest priority being given to doctoral level students and students in other terminal degree programs who are invited to give major talks, are in their final year of their programs and are presenting work at a national meeting, or have a unique research or collaborative opportunity at an off-site location. These one-time awards are limited to \$400 per trip and require a dollar for dollar match from the college and/or department.

Go to https://research.ufl.edu/research-program-development/research_program_development_docs/travel.pdf to access the guidelines and forms. Requests should be submitted a minimum of one month in advance of the desired travel date.

Research:

The mission of UF Research is to provide the institutional leadership and infrastructure necessary for the research enterprise to achieve excellence in creating new fundamental knowledge and technological breakthroughs, in translating research to relevance, and in contributing to the educational mission of the institution. All goals provide the enabling conditions and processes for faculty research with the aim to increase productivity. Additional direct research support is provided by various technical support areas as outlined below.

Animal Care Services continues to support animal research through explanation of its services provided.

The Institutional Review Board (IRB) provides a website, policies and procedures, position papers, educational events, a monthly newsletter, one-on-one training, group training, meeting with researchers, email listserv announcements, a new web based system for processing submissions, benchmarking with other institutions, partnering with other institutions (including a co-operative IRB with Florida State University) and/or agreeing to IRB Authorization Agreements with other institutions to reduce number of IRBs that must review research. In addition, the IRB facilitates web access to training records, web access to research status, quality assurance audits to help facilitate compliance, and automatic weekly assessment of research status to insure items are reviewed in a timely fashion.

To monitor its programs relative to research and productivity, the IRB performs random and for cause quality assurance audits, continuing review of research (at least annually) including compliance reports in every review, detailing compliance history and frequency of study, and expirations and other metrics. Using these pieces of information, all activities are periodically assessed and modified as needed. Regulatory requirements and guidance are constantly evolving, necessitating frequent gap analysis, benchmarking, and adaptation of processes.

Community and Public Service:

Community and Public Service activities are included in the evaluation of interdisciplinary and institution-wide institutes and centers that are under the direction of the Office of Research. These units are asked to provide guidance and support in their respective areas of expertise (i.e. the Emerging Pathogens Institute on communicable diseases to public health departments and health care providers, including the school based influenza immunization program for Alachua County).

The Center of Excellence for Regenerative Health Biotechnology conducts training and outreach activities for the community through collaboration with local high schools. Training Materials and Standard Test Evaluations have been created for high school students, high school teachers and industrial professionals in Industrial Biotechnology.

Effectiveness Oversight:

Name	Department affiliation	Email	Phone
David Norton	Vice President for Research Assistant VP, Sponsored Programs	dpnorton@ufl.edu	352-392-9271
Stephanie Gray	Interim Director, Office of Clinical Research	slgray@ufl.edu	352-273-4062
Sobha Jaishankar	Assistant VP, Program Development	sjaishan@ufl.edu	352-392-8247
Tiffany Schmidt	Assistant VP, Contracts & Grants	tcasi@ufl.edu	352-273-3101
Cassandra Farley	Associate Director, Research Integrity	cfarley@ufl.edu	352-273-3052

Institutional Effectiveness Report Complete: true

XResponsible Roles:

UF Research - Actions for Improvement

Unit/College Actions for Improvement :

Based on our review of our results for this cycle, the actions are within our timeframe and still relevant and there are no change in actions at the moment.

XResponsible Roles:

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