

University of Florida Clinical and Translational Research Building

Tax-Exempt Bond Certification Report

UF Fiscal Year 13-14

July 1, 2013 – June 30, 2014

Date: July 11, 2014
To: Laura Huntley, Michael Ford, Alan West
From: Teresa d'Angelo, Ralph Horky, Edward Neu, Alicia Turner
Re: FY13-14 CTRB Bond Certification

Attached for your review is a final report that includes:

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- CTRB Compliance Report Preface
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 - Definitional Issues
 - CTRB Occupants and Users
 - Space as Related to Program Activity
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Transmittal Document CTRB Bond Compliance

July 11, 2014

Executive Summary

Attached please find the report required by the March 31, 2011 Tax Exempt Bond financing agreement for the Clinical Trials Research Building (CTRB). This is the initial report in a cumulative 20 year series of reports to demonstrate that the vast preponderance (90%) of the activity of the CTRB is dedicated to public benefit.

This report is the product of a nearly yearlong process to define and categorize “research revenues” accumulated through the use of the CTRB and classify the benefits derived as “good” (public benefit) or “bad” (private benefit). The lengthy duration of this effort was due to the CTRB compliance process being unique among universities. There is the expectation that the first year will be used as a template for a more streamlined and routinized process going forward.

In this initial year, several University of Florida organizational components were fully involved in the process design and were contemporaneously apprised during data compilation. Executives from the University Health Science Center, Legal Affairs and Bond Compliance were involved as well as senior scientists and department and institute managers with activities in the building.

By the method described in the report, it is currently calculated that the ratio of good (public) benefit to total “research revenue” is 89.5%. Since this ratio fell below the 90% threshold, adjustments to building activity may be required to reach the 90% compliance ratio over the next 19 year life of the bond.

Qualified Research Revenue					
	Total Research Revenue	Amount in CTRB	Good Use	Bad Use	% Good Use
Red Zone	\$88,573,624	\$38,648,373	\$34,807,270	\$3,841,103	90.1%
Blue Zone 1	\$4,822,880	\$3,192,551	\$2,769,644	\$422,908	86.8%
Blue Zone 2	\$2,161,203	\$423,320	\$379,386	\$43,934	89.6%
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Total	\$95,846,304	\$42,606,828	\$38,065,175	\$4,541,652	89.3%
June Estimates	Total Research Revenue	Amount in CTRB	Good Use	Bad Use	% Good Use
Not Surveyed	\$2,058,369	OMMITTED	\$2,014,704	\$43,665	OMMITTED
Identified by PI	\$818,740	\$798,155	\$784,417	\$13,738	98.3%
	Total Research Revenue	Amount in CTRB	Good Use	Bad Use	% Good Use
Revised Total	\$96,719,030	\$43,404,983	\$38,849,592	\$4,555,391	89.5%

Should a gap arise, there are numerous actions that might be taken to close the gap. Since this is the initial year of compliance review some methodological considerations may be further evaluated and subsequent methodological improvements may modestly change results. This is especially true in regard to practically defining the term “research revenue” as used in the agreement and in determining practical boundaries for what is considered CTRB activity. In this initial report, broad (and therefore conservative) working definitions have been applied consistently. These might be modified after further

consideration and discussion. It should not be expected that these methodological differences will alter the recommendation underlined above. Practical operational changes should be considered, such as managing the complement of building occupants and/or proactively considering the types of work that occupants are pursuing.

Initial Year Notes

The initial year process had a number of collateral benefits that may have greater interest to university management than to the bondholders or bonding agencies. For example, all CTRB involved business managers and research scientists are now fully aware of bond requirements and have been individually involved in data gathering. Each has been asked to characterize the public and private nature of their work. Of special note is the cooperative direct participation of research scientists and their immediate staff, many of whom are not administratively managed by building occupants.

A general methodological approach has been developed to respond to covenant issues. Important working definitions of “research revenue” and “CTRB activity” have been established as have working definitions for building “occupants” and “users”. While there is no singular administrative control over building occupants and users, a great deal of practical knowledge has been gained in patterns of building use that can be applied managerially.

A coordinated relationship has been established between the Space Inventory and Allocation System and the CTRB Bond Compliance process. This interaction creates some efficiencies of process, but more importantly, improves the quality of both data collection processes.

Individual principle investigators of complex grants who operate at “parent grant” level have become more aware of the role of the CTRB in the research at the level of specific projects and subsets of activity within their grants. This is an important “marketing tool” for the CTRB.

Issues Going Forward

Effective leadership for the data collection and compilation process has been provided by the Clinical and Translational Science Institute (CTSI). Given the experience gained by this group, as well as their access to the research scientists, the CTSI senior staff should continue to provide this leadership for preparing reports for future cycles. It is expected that in future years the compliance activity should be initiated five months prior to the certification deadline, with an intense data collection period of approximately six weeks.

The calendar for data collection and reporting should be better coordinated with the space survey. Timing issues result in a one month reporting gap that must currently be bolstered by some estimates based on linear projections. Since the current methodology combines eleven months of well-established actual data with only one requiring partial estimates it is not expected to produce material differences with a refine calculation to be included in subsequent year reports.

The data collection methodology and process should be more formally documented and “continuously improved”. A team should be convened to review the process and methodology and a best practice or procedure manual should be compiled and distributed prior to the next reporting cycle.

CTRB Compliance Report Preface

June 25, 2014

General Background

The University of Florida Clinical and Translational Research Building (CTRB) serves as the *headquarters* for clinical and translational science at UF. It is home to the Clinical and Translational Science Institute (CTSI) which conducts on-site research and is also the hub of a statewide network that aims to bring “the benefits of research to more than 9 million patients in all of Florida’s 67 counties” (see [CTSI website](#)).

The north wing of the CTRB was funded with tax-exempt bonds. The bonds have specific covenants requiring that the vast preponderance of “research revenue” generated through the use of the building over the 20-year life of the bonds be in the clear public benefit. More precisely the ratio of “qualified research revenue” (that is clearly in the public benefit) to total research revenue must exceed 90%. In addition to this qualified research condition, there are restrictions on other purely commercial activities such as bookstores or kiosks.

Note: Though the north wing of the CTRB physically adjoins with the south wing, home to the UF Institute on Aging headquarters, the south wing was constructed with an NIH grant and is specifically excluded from any CTRB covenants in the north wing.

Definitional Issues

Research revenue is defined as revenue from “research arrangements” (“contracts, grants, etc. with a state or local governmental unit, a Federal Sponsor or any other third party”). The term “research revenue” is not widely used within academic medicine. Interpreted broadly, it was construed to subsume several more common concepts such as research funding, research awards and research support. It may also subsume all or part of traditional categories, such as cost recoveries and gifts.

Note: The broadest (most conservative) definition of research revenue has been used in the report, which specifically includes grants and contracts that are routed through the Office of Research, and general support for other research activities that are not funded through an “official” contract or grant.

Basic Research The compliance definition of “basic research” includes any original investigation for the advancement of scientific knowledge not having a specific commercial objective. This very broad definition was construed to include clinical research and other research activities that do not have a specific commercial objective.

Note: The broadest (most conservative) definition of basic research has been used in the report to include all research activities – translational, clinical and health services.

Laboratories The term “laboratories” which is frequently used in the compliance agreement is difficult to precisely apply to research involving human subjects where a relatively small proportion of the research activity is conducted in “wet labs” and much work requires both clinical and research venues.

Translational research is frequently conducted in multiple venues in multiple buildings and even at multiple universities. The rate limiting factor in clinical research is often access to appropriate subjects rather than access to highly capitalized laboratory facilities.

Note: The broadest (most conservative) definition of laboratories has been used in the report and includes the Clinical Research Center, an “auxiliary” that may be considered analogous to a core laboratory in a wet lab setting and certain support units such as Biostatistics.

CTR Building Occupants and Users

Four general levels of occupants and users have been included in the report.

Major Building Tenants: Research institutes and university departments that are headquartered in the CTRB and have substantial programmatic presence in the building. These are the Clinical and Translational Science Institute (14,730 square feet), the Departments of Biostatistics (4,791 square feet) and Department of Epidemiology (5,811 square feet). These occupants are specifically referenced in the compliance agreement.

Minor Building Tenants: These include the research groups specifically referenced in the compliance agreement. Research groups are not in themselves organizational units of the university, but they are: 1-members of university departments that are not headquartered in the CTRB, 2-have significant translational research activities in the CTRB, and 3-collaborate with other CTRB occupants. The Department of Health Outcomes and Policy, which is headquartered outside the CTRB, is the largest of this group, and the Department of Medicine also has several of these research groups or “colonies”.

Occasional and infrequent users: These are individual investigators and research associates who are not included as members of major or minor tenants but who may use services of the Clinical Research Center (CRC) or other building occupants. In nearly all cases these are university faculty and staff.

Clinical Research Center (CRC): This special category was created to consider the CRC located on the first floor which is a CTSI service auxiliary that recovers the preponderance of its direct costs through transfer payments and fees charged to facility users.

Note: Each level of occupant or user has been evaluated against the same compliance standards but data collection methods were adapted to their unique circumstances.

Space as Related to Program Activity

Grants and projects are frequently not confined to individual spaces or buildings. In order to meet the research needs, the actual conduct of the research studies may be distributed across a wide number of institutions or venues over which the Principle Investigator of the PeopleSoft contract or “parent grant” may have scientific control but minimal operational control. Many projects and programs have substantial activities which reach far beyond the CTRB and even the campus. In some instances, CTRB occupants and users may be at the “project level” so only a small portion of the overall activity related to its parent grant or contract occurs in the CTRB. In other instances, the large majority of the grant or contract is conducted in the CTRB.

Note: The university's annual space survey interviews building occupants and users of individual spaces within the building and details the projects, grants and other forms of support that are associated with each space. The CTRB report accumulates activity from grants and projects that were identified in the space survey as having activity in the CTRB.

Grant and Research Project Activity Types

Financial accounting structures may be different depending on the formality of the research project and the external reporting requirements. The compliance review considered four general categories of grants and research activity.

Extramural Grants and Contracts

All major externally funded grants and contracts are identified in the Sponsored Research Master (SRM) database and include contact information for the contract and project Principle Investigators (PI). PeopleSoft contracts ("parent level") can include one or more projects.

Note: Each contract PI (n=93) was surveyed about the contracts (n=238) that were identified in the space survey. The contract PI was asked to apportion the activity of each contract between the CTRB and other venues. This ratio was applied to the overall award to determine the amount of research revenue appropriately associated with the CTRB. Each PI was asked a subsequent series of questions regarding intellectual property rights and private benefit.

Other Defined Research Projects

These may be sponsored by foundation, individuals, businesses associations or others.

Note: Depending on the financial structure, these activities could be treated as major grants (above) or as projects that were accounted through a grouping of associated "fund codes" that identify streams of support that could be characterized as revenue. Deliberate attention was paid to avoid any double counting of revenue or support.

Departmentally Sponsored Research

These may be startup funding for new investigators, seed funding during grant development or other activities deemed to foster research or the growth of research capability that is directly associated with an individual researcher or research group.

Note: These activities are not well compartmentalized in the formal accounting and needed to be accumulated and assembled as groupings of fund codes.

General Research Support Activities and Services

These activities may provide necessary professional skills, facilities, software or a wide range of general support for researchers, research grants and the "research environment". In most cases "fund codes" were used to characterize support.

Note: These activities were reported from departmental records and may include all direct support for programs completely housed in the CTRB.

The Compliance Review Process

The compliance review process involved three distinct phases: identification, apportionment and disclosure.

1) Identification of CTRB activities

Building use was identified in concert with the university's annual space survey.

Note: All projects and grants with any CTRB involvement were individually identified during the space survey. Activities that could be directly identified with a principle investigator were treated as major grants and subject to the Principle Investigator survey. Research activities that are not counted as "sponsored research" in the university's space survey were included in the department review process. These two methods were thoroughly checked to avoid duplication of accounting and the results were combined in the final compliance accounting.

2) Apportionment of Activity

Apportionment is the basis by which research activity is divided into the CTRB and non CTRB portions. Three basic approaches to apportionment were needed to complete the compliance review process: grant activity apportionment (PI), programmatic apportionment (Major Tenants and CRC) and individual effort apportionment (Minor Tenants and infrequent users).

Note: Since apportionment requires judgment calls, the responsible individual with "the best view" of the distribution of activity in each situation was interviewed. For major grants the PI was surveyed directly though in some cases the grant administrator or project PI was allowed to submit a proxy response. Department heads or administrators were required to complete budget worksheets for revenue identified as general support. In a few instances of minor occupants and infrequent users, non-sponsored research categories, such as "department research" and "other support activities", from the space survey were examined to determine the best basis for CTRB use.

3) Disclosure and Safe Harbors

The safe harbor rules as applied in the Stanford University model were used to review and classify UF intellectual property right agreements. If the IP agreement fell within one of the three safe harbors, the revenue was considered "good revenue". For sponsored research projects, the PIs and the Office of Research assisted with reviewing and classifying the IP agreement as "good" or "bad". Fund codes were used to classify the non-sponsored research activities as "good" or "bad" use.

Note: Grants, contracts and activities identified as "good revenue" were monetized (where need be), accounted and accumulated. Where appropriate, good revenue was apportioned into CTRB and non CTRB, and this figure was then compared with the total CTRB revenue.

CERTIFICATE OF UNIVERSITY COMPLIANCE

WHEREAS, the Division of Bond Finance (the "Division") has issued \$29,838,000 State of Florida, Board of Governors, University of Florida Clinical Translational Research Building Revenue Bonds, Series 2011 (the "2011 Bonds") to finance a portion of the costs of constructing and equipping a 120,000 gross square foot facility with space to house the University's Clinical Translational Science Institute headquarters, the University's Institute on Aging, a general clinical research center, and two new academic departments of the College of Medicine (the "Project") and to pay the costs of issuing the 2011 Bonds.

WHEREAS, this Certificate of University Compliance ("Certificate") has been executed by the University of Florida (the "University") and the University of Florida, College of Medicine (the "COM") to ensure compliance with certain provisions of the Internal Revenue Code of 1986, as amended (the "Code"), and the regulations promulgated thereunder related to private business use of facilities financed with tax exempt bonds.

WHEREAS, to ensure that interest on the 2011 Bonds will be and remain excludable from gross income under the Code, the restrictions contained in this Certificate, as well as the Non-Arbitrage Certificate executed in connection with the issuance of the 2011 Bonds, must be satisfied.

NOW THEREFORE, the University and the COM certify as follows:

1. For purposes of this Certificate, the following words and phrases shall have the following meanings.

"Basic Research" means any original investigation for the advancement of scientific knowledge not having a specific commercial objective. For example, product testing supporting the trade or business of a specific Nongovernmental Person is not treated as Basic Research.

"Federal Sponsor" means the United States Government or any agency or instrumentality thereof.

Denominator
"Gross Research Revenue" means the sum of the Qualified Research Revenue and the Non-Qualified Research Revenue. >

"Nongovernmental Person" means any person or entity other than a state or any local governmental unit of a state, or any instrumentality or agency thereof.

"Non-Qualified Research Arrangement" means any research arrangement (contract, grant, etc.) with a third party, other than a Qualified Research Arrangement, pursuant to which research activities will take place in the Project.

"Non-Qualified Research Revenue" means research revenue from Non-Qualified Research Arrangements, net of royalty and license fees, derived by the University from research activities taking place in the Project.

"Qualified Federal Research Contract" means any research agreement between the University and a Federal Sponsor or any Federal pass-through research agreement between the University and a non-Federal Sponsor, if (i) the agreement is for Basic Research; (ii) title to any patent or other product incidentally resulting from the research lies exclusively with the University, subject to the provisions of 35 U.S.C. 200 et. seq.; (iii) the Federal Sponsor is entitled to no more than a nonexclusive, royalty-free license to use the product or technology resulting from the research; and (iv) in the case of a Federal pass-through research agreement, the non-Federal Sponsor is not entitled to use the product or technology resulting from the research.

"Qualified Research Arrangement" means any research arrangement with (i) a state or local governmental unit; (ii) a Federal Sponsor, if the arrangement is a Qualified Federal Research Contract; or (iii) any

third party, if the arrangement meets the safe harbor guidelines contained in IRS Revenue Procedure 2007-47 (a copy of which is attached as Exhibit A to this Certificate).

"Qualified Research Revenue" means research revenue from Qualified Research Arrangements, net of royalty and license fees, derived by the University from research activities taking place in the Project.

2. The Project consists of approximately 120,000 total gross square feet. The 2011 Bonds will be used to finance 80,000 square feet of the Project (the "Translational Research Wing"), and the space will be used to house the University of Florida's Clinical Translational Science Institute headquarters, a general clinical research center, two departments and several funded clinical research projects. At times, the Translational Research Wing may be used to conduct research under Non-Qualified Research Arrangements. Other than permissible research performed under Non-Qualified Research Arrangements, space in the Translational Research Wing will not be used for any other private business use, including but not limited to space for a private food service facility, convenience store, gift shop, etc., unless prior written notification of the proposed private business use is provided to and approved by the Division. Approval by the Division of the proposed private business use may require, in the Division's sole discretion, the University, at its own cost, to obtain an opinion of nationally recognized bond/tax counsel stating that the proposed private use will not adversely impact the exclusion of interest on the 2011 Bonds from gross income for purposes of federal income taxation.

Financing for the remaining 40,000 square feet of the Project, which will house the University of Florida Institute on Aging (the "IOA"), will come from a \$14.7 million stimulus grant from the National Institutes of Health. This Certificate does not restrict the research use or any other private business use with respect to the IOA portion of the Project.

3. Based upon the University's projections with respect to the future utilization of the Project and its prior experience with its existing research facilities, the University makes the following representations with respect to the Translational Research Wing:

a. The research to be performed pursuant to Non-Qualified Research Arrangements and Qualified Research Arrangements will take place simultaneously in the laboratories within the Translational Research Wing;

b. All laboratory equipment in the Translational Research Wing will be available continuously for use by workers who perform research under Non-Qualified Research Arrangements and Qualified Research Arrangements;

c. A researcher may use a single laboratory in the Translational Research Wing to perform similar research that may be funded either by a Non-Qualified Research Arrangement or a Qualified Research Arrangement;

d. The procedures conducted by researchers in the Translational Research Wing may relate to any number of research projects, some of which may be Non-Qualified Research Arrangements and some of which may be Qualified Research Arrangements; and


e. From March 31, 2011 to the earlier of July 1, 2030 or the payment in full of the 2011 Bonds, the accumulated present value of Qualified Research Revenue will constitute not less than 90 percent of the accumulated present value of the Gross Research Revenue. For this purpose, present value is always determined and calculated as of March 31, 2011 using 4.4337% as the discount rate. The present value of Qualified Research Revenue and Gross Research Revenue will be determined on an annual basis using the Qualified Research Revenue and Gross Research Revenue accrued for each fiscal year of the University. If as of the end of any fiscal year, the University determines that the accumulated present value of the Qualified Research Revenue will constitute less than 90 percent of the accumulated present value of the Gross Research Revenue as aforesaid, then the University will take such actions as

may be required to assure that by the earlier of July 1, 2030 or the payment in full of the 2011 Bonds, the aforesaid ratio is met.

4. The University agrees to maintain copies of all leases, management contracts, service contracts, research arrangements and other preferential use arrangements with Nongovernmental Persons with respect to the use of the Project throughout the term of the 2011 Bonds and for a period of six years thereafter.


5. No later than 30 days after each fiscal year end for the duration of the life of the 2011 Bonds, the University agrees to provide the Division with a certificate signed by the University's Vice President and Chief Financial Officer and the University's Associate Vice President of Health Affairs attesting to compliance with the requirements set forth in this Certificate. A form copy of the Annual Certificate of University Compliance is attached hereto as Exhibit B.

6. The University agrees to comply with all requirements of the Internal Revenue Code and all applicable IRS rules and regulations related to the 2011 Bonds and to take any actions necessary to maintain the tax-exempt status of the 2011 Bonds.


Matthew Tajack
Vice President & Chief Financial Officer

3/31/2011

Date


David S. Guzik, MD, PhD
Senior Vice President for Health Affairs

3/31/2011

Date

CTRB Bond Certification Data Process

July 11, 2014

Sponsored Research

(See Diagram 1: "Red Zone")

Data Collection Overview

- Obtain list of PeopleSoft (PS) project numbers and corresponding CTRB room numbers reported in CTRB space survey
- Merge PS project numbers with Sponsored Research (SR) Master database to obtain 22 additional data fields (see table 2)
- Merge Contract PI UFID to UF Directory to obtain Contract PI email
- Roll-up PS projects to the contract (aka "parent") level and load contract information to Qualtrics survey (see table 3)
- Field Qualtrics survey to collect 4 additional data elements
- Apply "% activity in CTRB" to total award amount (less sub-contracts) to calculate qualified research revenue for sponsored activities in CTRB (i.e. grants or contracts with a PS project number reported in space survey)

Algorithm

Total Award: Amount in Dollars Awarded for Fiscal Year 2013-14

Source: UF Office of Research – Sponsored Research Data

SubAward: Amount in Dollars Awarded outside of UF

Source: UF Contracts and Grants

Adjusted Award: Amount in Dollars remaining at UF

Calculated: Total Award – SubAward

PctCTRB: Percentage of Award Activity in the CTRB

Source: Principal Investigator Qualtrics Survey

CTRB_Activity_Amount: Amount in Dollars of Activity in CTRB

Calculated: Adjusted Award * PctCTRB

Safe_Harbor_Use: 1=meets requirements for "Good Use", 0=Otherwise

Source: Contract Review by Office of Research

CTRB_Good_Use: Amount in Dollars of "Good Use" Activity in CTRB

Calculated: CTRB_Activity_Amount * Safe_Harbor_Use

Good Use Proportion: Percentage of CTRB activity assigned to "Good Use"

Calculated: CTRB_Good_Use / CTRB_Activity_Amount

Good_Use Proportion: (Total_Award – SubAward) * PctCTRB * Safe_Harbor_Use

(Total_Award – SubAward) * PctCTRB

Other Support

(See Diagram 1: “Blue Zone”)

Data Collection Overview

- Purpose: identify additional support that should count as “qualified research revenue” but is not assigned a PeopleSoft project number from the Office of Research (i.e. 171 funds)
- Data process divided into two groups based on square footage (see table 1):
 - **Blue Zone 1:** Departments that occupy >14% of the north wing will review department operating budget for the reporting year and submit the following in an excel file:
 - Identify support for research activity that is not funded by grants or contracts
 - Apportion the % of activity in the building
 - Apply % activity to budgeted amount (this is amount that counts as QRR)
 - Classify good vs. bad using fund code definitions (see table 4)
 - **Blue Zone 2:** Departments that occupy <9% of the north wing will use “department research” and “OSA” categories in the space survey to:
 - Use DR and OSA % as proxy for % activity in the building
 - Use primary room occupant earnings as proxy for qualified research revenue
 - Classify good vs. bad using fund code definitions (see table 4)

Blue Zone 2 Algorithm

Salary Paid: Amount paid in Salary for time period

Fringe Paid: Amount of Fringe Benefits paid in time period

Fund_Mask: 1 if Fund Code is “Good” Use, 0 otherwise

Date_Mask: 1 if Pay record occurred while person was an occupant of CTRB

Omit_Rec: 1 if record is to be Omitted (O Otherwise) Added to remove funds counted in RedZone.

DR_11_1: Proportion of Payment attributable to department research
Source: UF Payroll File

OSA_17_1: Proportion of Payment attributable to other sponsored activities
Source: UF Payroll File

Qualified Total Paid: Amount of Salary and Fringe Paid classified as Qualified Revenue
Calculated $(\text{Salary_Paid} + \text{Fringe_Paid}) \times (\text{DR_11_1} + \text{OSA_17_1})$

Qualified Good: Total Salary & Fringe Paid where Fund_Mask=1 (Good Use Funds)
Calculated: $\text{Qualified Total Paid} \times \text{Fund_Mask}$

Proportion of Good Use: Percentage of Activity in CTRB Attributed to “Good” Use
Calculated: $\text{Qualified Good} / \text{Qualified Total Paid}$

Using only records where **Omit_Rec=0 AND Date_Mask=1** and then calculate:

$$\frac{(\text{Salary_Paid} + \text{Fringe_Paid}) \times (\text{DR_11_1} + \text{OSA_17_1}) \times \text{Fund_Mask}}{(\text{Salary_Paid} + \text{Fringe_Paid}) \times (\text{DR_11_1} + \text{OSA_17_1})}$$

Clinical Research Center & Shands Pharmacy

(See Diagram 1: “Black Zone” and “Olive Zone”)

Revenues generated from CRC and Shands Pharmacy services that are not identified in the “grants and contracts” or “other support” data collection efforts are also monetized and classified as private/public.

Diagram 1: Zones for CTRB Bond Certification

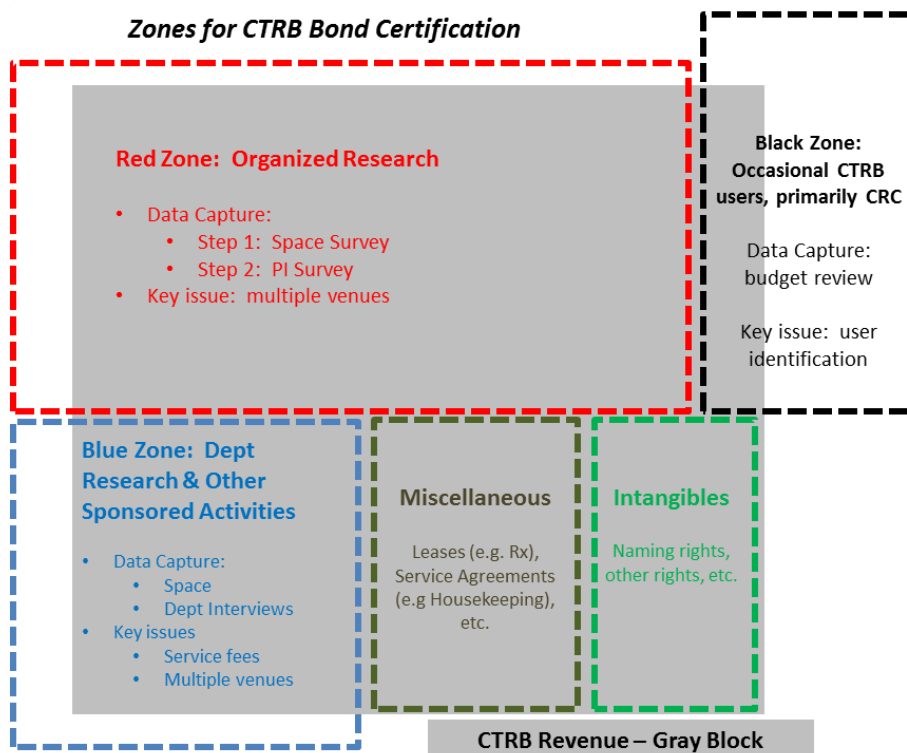


Table 1: summary data “all zones”

	Qualified Research Revenue				
	Total Research Revenue	Amount in CTRB	Good Use	Bad Use	% Good Use
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June Estimates (Red Zone)	Total Research Revenue	Amount in CTRB	Good Use	Bad Use	% Good Use
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Revised Total w/ June Est.	\$96,719,030	\$43,404,983	\$38,849,592	\$4,555,391	89.5%

Table 2: square footage by building occupant

Occupant	Total Sq Ft	% of Total	Occupant Type
CTSI (includes CRC)	14730	42	Major
Epidemiology	5811	16	Major
Biostatistics	4791	14	Major
HOP	3241	9	Minor
Physical Therapy	2335	7	Minor
Dept of Medicine	2147	6	Minor
Pediatrics	924	3	Minor
Dentistry	894	3	Minor
Biochemistry	368	1	Minor
COM Dean	114	0	Minor
Pharmacy	103	0	Minor

Table 3: data field source and relation to Qualtrics survey

Data Field	Data Source	Qualtrics Import	Qualtrics Export
CTRB Room Number	Space Survey		
PS Project	Space Survey		
Fiscal Year	SR Master		
PS_Contract	SR Master	Yes	Yes
Contract PI	SR Master	Yes	Yes
Contract PI UFID	SR Master	Yes	Yes
Contract PI Email	UF Directory	Yes	Yes
Project PI	SR Master		
Project PI_UFID	SR Master		
Award Date	SR Master		
Total Direct	SR Master		
Total Indirect	SR Master		
Total Awarded	SR Master		
Prime Sponsor Type	SR Master		
Prime Sponsor	SR Master		
Title	SR Master	Yes	Yes
Proj Funding to Date	SR Master		
Prime Agency	SR Master	Yes	Yes
Prime Agency Flag	SR Master		
Agency Category	SR Master		
Sponsoring Agency	SR Master		
Agency Number	SR Master	Yes	Yes
Subcontract Type	SR Master		
SubAgency Category	SR Master		
Subcontract Agency	SR Master		
% activity in CTRB (0-100)	Qualtrics		Yes
Federally funded (yes/no)	Qualtrics		Yes
Waive IP (yes/no)	Qualtrics		Yes
Non-monetary contributions (yes/no)	Qualtrics		Yes

Table 4: CTRB Bond Survey Respondents (96% response rate)

	PI	# of Contracts/Grants	Status
1	Nelson,David R	32	Complete
2	Byrne,Barry John	16	Complete
3	Cottler,Linda B	8	Complete
4	Morelli,Giuseppe	7	Complete
5	Shenkman,Elizabeth Ann	7	Complete
6	Herndon,Jill Heather Boylston	6	Complete
7	Walter,Glenn A	6	Complete
8	Wu,Samuel	6	Complete
9	Cook,Robert	4	Complete
10	Mai,Volker	4	Complete
11	Schatz,Desmond A	4	Complete
12	Vandenborne,Krista H Elvire	4	Complete
13	Atkinson,Mark A	3	Complete
14	Dahl,Wendy J	3	Complete
15	Fillingim,Roger Benton	3	Complete
16	Henken,Robin J	3	Complete
17	Knapp,Caprice Anganette	3	Incomplete
18	Longini,Ira	3	Complete
19	Pahor,Marco	3	Complete
20	Sibille,Kimberly T	3	Complete
21	Cabrera,Roniel	2	Complete
22	Catalanotto,Frank Alfred	2	Complete
23	Chen,Xinguang	2	Complete
24	Cusi,Kenneth	2	Complete
25	Duncan,R	2	Complete
26	Edison,Arthur	2	Complete
27	Firpi-Morell,Roberto J	2	Complete
28	George,Steven	2	Complete
29	Harrison,Jeffrey	2	Complete
30	Janicke,David	2	Complete
31	Khan,Maria	2	Complete
32	King,Christopher D	2	Complete
33	Latimer,William W	2	Complete
34	Manini,Todd	2	Complete
35	Morris,John Glenn	2	Complete
36	Nixon,Sara Jo	2	Complete
37	Okunieff,Paul Gerson	2	Complete
38	Qiu,Peihua	2	Complete
39	Staras,Stephanie Ann Stolfus	2	Complete

40	Tisher,Charles	2	Complete
41	Wagenaar,Alexander C	2	Complete
42	Anton,Stephen	1	Complete
43	Ashizawa,Tetsuo	1	Complete
44	Baron Lee,Jacqueline M	1	Complete
45	Buford,Thomas	1	Complete
46	Campbell Thompson,Martha	1	Complete
47	Clark,Virginia C	1	Complete
48	Conlon,Michael	1	Complete
49	Conrad,Kirk Peter	1	Complete
50	Frye,Reginald F	1	Complete
51	Goodenow,Maureen M	1	Complete
52	Gopalan,Priya	1	Complete
53	Greene,Lisa Merlo	1	Complete
54	Gregory III,Jesse F	1	Complete
55	Hastie,Barbara	1	Incomplete
56	Huang,I-Chan	1	Complete
57	Hurley,Robert W	1	Complete
58	Johnson,Julie A	1	Complete
59	Kairalla,John	1	Complete
60	Komro,Kelli Ann	1	Complete
61	Limacher,Marian	1	Complete
62	Maldonado Molina,Mildred Merisa	1	Complete
63	Mann,William C	1	Complete
64	Martin,Daniel	1	Complete
65	Mccrae,Christina Smith	1	Complete
66	McKune,Sarah	1	Complete
67	Muller Delp,Judy Marie	1	Complete
68	Muller,Keith E	1	Complete
69	Muzyczka,Nicholas	1	Complete
70	Neu,Josef	1	Complete
71	Parker,Leslie Ann	1	Complete
72	Peoples-Sheps,Mary D	1	Complete
73	Pepine,Carl J	1	Complete
74	Price,Catherine Elizabeth	1	Complete
75	Prins,Cindy	1	Complete
76	Riley,Joseph Leo	1	Complete
77	Roth,Jeffrey	1	Incomplete
78	Russo,Sandra	1	Complete
79	Sawyer,Wallace Gregory	1	Incomplete
80	Shorr,Ronald I	1	Complete

81	Shuster,Jonathan	1	Complete
82	Smith,Barbara k	1	Complete
83	Tucker,Carolyn	1	Complete
84	Wheeler,Timothy	1	Complete
85	Winterstein,Almut	1	Complete
86	Xia,Guangbin	1	Complete
87	Xu,Xiaohui	1	Complete
88	Yeziarski,Robert P	1	Complete

Table 5: Blue Zones 1 & 2 Fund Code Classification

Fund_Codes	Fund Code Description	Good/Bad?
201	C&G – FEDERAL RESTRICTED Direct Costs of Sponsored Projects are associated with Fund Codes 201 (federal) and 209 (non-federal)	REMOVED
211	C&G - RETURNED OVERHEAD When Indirect Costs are returned, they are associated with Fund Code 211	GOOD
212	C&G - RESIDUAL FUNDS “Residual Funds,” on the other hand, are unused funds that were not needed to fully execute the requirements of the Sponsored Project	GOOD
171	TFRS FR COMPONENTS Fund Code 171 is used for all transfers from Component Units (DSO) except when the circumstances require a different Fund Code	GOOD
102	E&G-GEN REV – HSC State Appropriations	GOOD
214	C&G NON FED CLINICAL TRIALS Non-Federal Clinical Trials	BAD
209	C&G – OTHER RESTRICTED Direct Costs of Sponsored Projects are associated with Fund Codes 201 (federal) and 209 (non-federal)	REMOVED
213	UFRF ALLOCATIONS A not-for-profit organization, UFRF provides a means by which discoveries, inventions, processes, and work products of UF faculty, staff, and students can be transferred from the laboratory to the public	GOOD
149	AUX - OTHER FUNDS Auxiliary funds are generally governed by the same guidelines as funds from state appropriations—however, not always	BAD
101	E&G-GEN REV - MAIN CAMPUS State Appropriations	GOOD
186	HSC OPERATIONS & MAINT TF Used for revenues generated by Vet Med Teaching Hospital	BAD

Table 6: Safe Harbor Designation from DSP

Prime Sponsor Type	Bad Use	Good Use	Total
ALL OTHER SOURCES		6	6
CORPORATIONS & COMPANIES	44	28	72
FEDERAL AGENCIES		106	106
FLORIDA STATE AGENCIES		5	5
FOUNDATIONS & SOCIETIES	4	27	31
LOCAL & REGIONAL GOVERNMENT		1	1
Total Number of Awards	48	173	221

Table 7: Sponsors in “All Other Sources” Category

Sponsor Name	Number of Awards	Total Award Amount
CENTRO INTL DE AGRIC TROPICAL	1	\$242,599.00
INTERNATIONAL VACCINE INSTITUTE	1	\$52,410.00
MISCELLANEOUS DONORS	1	\$335,000.00
UF FOU	3	\$996,465.14
Total	6	\$1,626,474.14

Table 8: DSP Classification x PI Classification

	PI: Bad Use (Give Up IP)	PI: Good Use (Retain IP)	Total
DSP: Bad Use	34 (85%)	13 (22%)	47
DSP: Good Use	6 (15%)	46 (78%)	52
Total	40 (100%)	59 (100%)	99

Table 9: Non-Monetary Contributions

AWARD_ID	PI	SponsorName	SponsorType	span
00087338	Ashizawa,Tetsuo	MUSCULAR DYSTROPHY ASSO	FOUNDATIONS & SOCIETIES	1
00092605	Byrne,Barry John	BIOMARIN PHARM.	CORPORATIONS & COMPANIES	1
00091845	Byrne,Barry John	AMICUS THERAPEUTICS	CORPORATIONS & COMPANIES	2
00090786	Byrne,Barry John	SANOFI US SERVICES	CORPORATIONS & COMPANIES	4
00086377	Byrne,Barry John	GENZYME CORP	CORPORATIONS & COMPANIES	8
00085550	Byrne,Barry John	SAREPTA THERAPEUTICS	CORPORATIONS & COMPANIES	9
00085112	Byrne,Barry John	GENZYME CORP	CORPORATIONS & COMPANIES	10
00083203	Byrne,Barry John	AMICUS THERAPEUTICS	CORPORATIONS & COMPANIES	11
00082684	Byrne,Barry John	BIOMARIN PHARM.	CORPORATIONS & COMPANIES	12
00081871	Byrne,Barry John	GENZYME CORP	CORPORATIONS & COMPANIES	14
00081305	Byrne,Barry John	GENZYME CORP	CORPORATIONS & COMPANIES	15
00090915	Mai,Volker	SCHWABE NORTH AMERICA	CORPORATIONS & COMPANIES	1
00089853	Mai,Volker	SCHWABE NORTH AMERICA	CORPORATIONS & COMPANIES	2
00090969	Wheeler,Timothy	ORTHOACCEL TECH.	CORPORATIONS & COMPANIES	1

Table 10: Overview Questions vs. Award Questions

PI	Have CTRB Office	Use Other CTRB	Pct CRTB Overall	AWARD_ID	PctCTRB (Survey)
Anton,Stephen	Yes	No	100	00087786	10
Ashizawa,Tetsuo	No	Yes	15	00087338	5
Atkinson,Mark A	No	Yes	51	00087274	46
Atkinson,Mark A	No	Yes	51	00086337	0
Atkinson,Mark A	No	Yes	51	00076393	15
Baron Lee,Jacqueline M	No	Yes	10	00076344	10
Buford,Thomas	Yes	No	60	00089402	5
Byrne,Barry John	Yes	Yes	75	00092605	85
Byrne,Barry John	Yes	Yes	75	00091845	85
Byrne,Barry John	Yes	Yes	75	00091186	85
Byrne,Barry John	Yes	Yes	75	00090786	85
Byrne,Barry John	Yes	Yes	75	00087378	95
Byrne,Barry John	Yes	Yes	75	00087377	95
Byrne,Barry John	Yes	Yes	75	00087004	75
Byrne,Barry John	Yes	Yes	75	00086377	85
Byrne,Barry John	Yes	Yes	75	00085550	85
Byrne,Barry John	Yes	Yes	75	00085112	85
Byrne,Barry John	Yes	Yes	75	00083203	85
Byrne,Barry John	Yes	Yes	75	00082684	85
Byrne,Barry John	Yes	Yes	75	00082306	100
Byrne,Barry John	Yes	Yes	75	00081871	85
Byrne,Barry John	Yes	Yes	75	00081305	85
Byrne,Barry John	Yes	Yes	75	00074385	100
Cabrera,Roniel	No	Yes	90	00088152	90
Cabrera,Roniel	No	Yes	90	00087595	90
Campbell Thompson,Martha	No	No	2	00089232	2
Catalanotto,Frank Alfred	No	No	0	00081257	1
Catalanotto,Frank Alfred	No	No	0	00067237	1
Chen,Xinguang	Yes	Yes	100	00093312	100
Chen,Xinguang	Yes	Yes	100	00092978	100
Clark,Virginia C	No	Yes	100	00087226	100
Conlon,Michael	Yes	No	90	00081168	5
Conrad,Kirk Peter	No	Yes	50	00079447	25
Cook,Robert	Yes	Yes	95	00085400	95
Cook,Robert	Yes	Yes	95	00084949	100
Cook,Robert	Yes	Yes	95	00084143	100
Cook,Robert	Yes	Yes	95	00083621	95
Cottler,Linda B	Yes	Yes	100	00098476	100
Cottler,Linda B	Yes	Yes	100	00093270	100

Cottler,Linda B	Yes	Yes	100	00088777	100
Cottler,Linda B	Yes	Yes	100	00086708	100
Cottler,Linda B	Yes	Yes	100	00084016	100
Cottler,Linda B	Yes	Yes	100	00083558	100
Cottler,Linda B	Yes	Yes	100	00083204	70
Cottler,Linda B	Yes	Yes	100	00082717	100
Cusi,Kenneth	No	Yes	50	00089648	90
Cusi,Kenneth	No	Yes	50	00088434	80
Dahl,Wendy J	No	No	0	00087813	0
Dahl,Wendy J	No	No	0	00087106	0
Dahl,Wendy J	No	No	0	00084967	3
Devidas,Meenakshi	No	No	2	00092713	2
Devidas,Meenakshi	No	No	2	00084086	0
Duncan,R	No	No	0	00089536	5
Duncan,R	No	No	0	00084826	5
Edison,Arthur	No	Yes	75	00091930	0
Edison,Arthur	No	Yes	75	00091726	20
Fillingim,Roger Benton	Yes	Yes	70	00083887	35
Fillingim,Roger Benton	Yes	Yes	70	00070024	100
Fillingim,Roger Benton	Yes	Yes	70	00069563	90
Firpi-Morell,Roberto J	No	Yes	90	00085687	90
Firpi-Morell,Roberto J	No	Yes	90	00077546	100
Frye,Reginald F	No	Yes	20	00075984	50
George,Steven	No	No	0	00086601	10
George,Steven	No	No	0	00067127	15
Goodenow,Maureen M				00077642	
Gopalan,Priya	No	No	10	00076865	0
Greene,Lisa Merlo	No	No	0	00089475	1
Gregory III,Jesse F	No	Yes	30	00077894	30
Harrison,Jeffrey				00091362	
Harrison,Jeffrey				00090747	
Hastie,Barbara				00077434	
Henken,Robin J	No	No	3	00089701	0
Henken,Robin J	No	No	3	00087102	0
Henken,Robin J	No	No	3	00085311	0
Herndon,Jill Heather Boylston	Yes	No	95	00091933	90
Herndon,Jill Heather Boylston	Yes	No	95	00091497	50
Herndon,Jill Heather Boylston	Yes	No	95	00090761	50
Herndon,Jill Heather Boylston	Yes	No	95	00087030	1
Herndon,Jill Heather Boylston	Yes	No	95	00083075	15
Herndon,Jill Heather Boylston	Yes	No	95	00078233	2
Huang,Emina H				00082279	
Huang,Emina H				00075627	

Huang,I-Chan	Yes	No	5	00072225	30
Hurley,Robert W	No	Yes	10	00089684	10
Janicke,David	No	No	0	00083850	1
Janicke,David	No	No	0	00070581	1
Johnson,Julie A	No	No	15	00086629	20
Kairalla,John	Yes	No	45	00088065	100
Khan,Maria	Yes	No	100	00090984	100
Khan,Maria	Yes	No	100	00086376	100
King,Christopher D	No	Yes	75	00088757	25
King,Christopher D	No	Yes	75	00082601	75
Knapp,Caprice Anganette				00088217	
Knapp,Caprice Anganette				00082119	
Knapp,Caprice Anganette				00082045	
Komro,Kelli Ann	No	No	5	00080210	5
Latimer,William W	No	No	0	00085641	0
Latimer,William W	No	No	0	00084439	0
Limacher,Marian	No	Yes	20	00077054	20
Longini,Ira	No	No	5	00093157	20
Longini,Ira	No	No	5	00091677	20
Longini,Ira	No	No	5	00089894	20
Mai,Volker	Yes	No	50	00090915	50
Mai,Volker	Yes	No	50	00089853	20
Mai,Volker	Yes	No	50	00087561	80
Mai,Volker	Yes	No	50	00084290	30
Maldonado Molina,Mildred Merisa	Yes	Yes	100	00068501	100
Manini,Todd	Yes	No	2	00088619	1
Manini,Todd	Yes	No	2	00086394	1
Mann,William C	Yes	Yes	30	00080263	80
Martin,Daniel	No	No	2	00087302	2
Mccrae,Christina Smith	No	No	0	00084408	0
McKune,Sarah	Yes	Yes	100	00091976	50
Morelli,Giuseppe	No	No	100	00091337	100
Morelli,Giuseppe	No	No	100	00090274	100
Morelli,Giuseppe	No	No	100	00089322	100
Morelli,Giuseppe	No	No	100	00089059	100
Morelli,Giuseppe	No	No	100	00088008	100
Morelli,Giuseppe	No	No	100	00084978	100
Morelli,Giuseppe	No	No	100	00080560	100
Morris,John Glenn	No	No	0	00082870	10
Morris,John Glenn	No	No	0	00077674	0
Muller Delp,Judy Marie	No	No	5	00089149	5
Muller,Keith E	Yes	Yes	100	00077095	100
Muzyczka,Nicholas	No	No	0	00070876	20

Nelson,David R	Yes	Yes	100	00092173	100
Nelson,David R	Yes	Yes	100	00091743	100
Nelson,David R	Yes	Yes	100	00091733	75
Nelson,David R	Yes	Yes	100	00091654	100
Nelson,David R	Yes	Yes	100	00091630	100
Nelson,David R	Yes	Yes	100	00091180	100
Nelson,David R	Yes	Yes	100	00090423	100
Nelson,David R	Yes	Yes	100	00089391	100
Nelson,David R	Yes	Yes	100	00088681	100
Nelson,David R	Yes	Yes	100	00087878	100
Nelson,David R	Yes	Yes	100	00087776	85
Nelson,David R	Yes	Yes	100	00087626	100
Nelson,David R	Yes	Yes	100	00087354	100
Nelson,David R	Yes	Yes	100	00087130	100
Nelson,David R	Yes	Yes	100	00086831	100
Nelson,David R	Yes	Yes	100	00086661	100
Nelson,David R	Yes	Yes	100	00086351	100
Nelson,David R	Yes	Yes	100	00085428	100
Nelson,David R	Yes	Yes	100	00085217	100
Nelson,David R	Yes	Yes	100	00084020	100
Nelson,David R	Yes	Yes	100	00083940	100
Nelson,David R	Yes	Yes	100	00083737	100
Nelson,David R	Yes	Yes	100	00083379	100
Nelson,David R	Yes	Yes	100	00082974	100
Nelson,David R	Yes	Yes	100	00082648	100
Nelson,David R	Yes	Yes	100	00082001	100
Nelson,David R	Yes	Yes	100	00081951	100
Nelson,David R	Yes	Yes	100	00081561	100
Nelson,David R	Yes	Yes	100	00081202	100
Nelson,David R	Yes	Yes	100	00080044	100
Nelson,David R	Yes	Yes	100	00075215	100
Nelson,David R	Yes	Yes	100	00074690	100
Neu,Josef	No	No	10	00067047	2
Nixon,Sara Jo	No	No	10	00087455	5
Nixon,Sara Jo	No	No	10	00075314	5
Okunieff,Paul Gerson	No	No	1	00081544	10
Okunieff,Paul Gerson	No	No	1	00060299	0
Pahor,Marco	Yes	No	95	00089675	100
Pahor,Marco	Yes	No	95	00085737	100
Pahor,Marco	Yes	No	95	00084736	50
Parker,Leslie Ann	No	No	5	00086699	7.5
Peoples-Sheps,Mary D	No	No	0	00081979	10
Pepine,Carl J	No	No	10	00067491	1

Price,Catherine Elizabeth	No	No	10	00088992	5
Prins,Cindy	Yes	Yes	100	00088257	70
Qiu,Peihua	Yes	No	100	00091303	100
Qiu,Peihua	Yes	No	100	00090863	100
Riley,Joseph Leo	Yes	Yes	10	00081059	10
Roth,Jeffrey				00081407	
Russo,Sandra	No	No	0	00086119	25
Sawyer,Wallace Gregory				00092523	
Schatz,Desmond A	Yes	Yes	99	00086504	98
Schatz,Desmond A	Yes	Yes	99	00083500	15
Schatz,Desmond A	Yes	Yes	99	00078948	20
Schatz,Desmond A	Yes	Yes	99	00072180	85
Shenkman,Elizabeth Ann	Yes	Yes	100	00090979	10
Shenkman,Elizabeth Ann	Yes	Yes	100	00090799	10
Shenkman,Elizabeth Ann	Yes	Yes	100	00090293	40
Shenkman,Elizabeth Ann	Yes	Yes	100	00088537	1
Shenkman,Elizabeth Ann	Yes	Yes	100	00086773	20
Shenkman,Elizabeth Ann	Yes	Yes	100	00085124	15
Shenkman,Elizabeth Ann	Yes	Yes	100	00065460	30
Shorr,Ronald I	Yes	Yes	20	00079526	2
Shuster,Jonathan	Yes	Yes	90	00089546	2
Sibille,Kimberly T	No	Yes	25	00086528	75
Sibille,Kimberly T	No	Yes	25	00086484	5
Sibille,Kimberly T	No	Yes	25	00079940	10
Smith,Barbara k	Yes	Yes	80	00090866	50
Staras,Stephanie Ann Stolfus	No	No	5	00083932	10
Staras,Stephanie Ann Stolfus	No	No	5	00073428	5
Tisher,Charles	Yes	No	10	00089905	50
Tisher,Charles	Yes	No	10	00088547	50
Tucker,Carolyn	No	No	50	00087603	10
Vandenborne,Krista H Elvire	Yes	Yes	90	00092147	98
Vandenborne,Krista H Elvire	Yes	Yes	90	00091552	20
Vandenborne,Krista H Elvire	Yes	Yes	90	00091195	98
Vandenborne,Krista H Elvire	Yes	Yes	90	00072348	90
Wagenaar,Alexander C	No	Yes	10	00087093	1
Wagenaar,Alexander C	No	Yes	10	00081772	2
Walter,Glenn A	Yes	Yes	75	00092247	75
Walter,Glenn A	Yes	Yes	75	00089349	85
Walter,Glenn A	Yes	Yes	75	00086957	75
Walter,Glenn A	Yes	Yes	75	00084356	70
Walter,Glenn A	Yes	Yes	75	00082545	60
Walter,Glenn A	Yes	Yes	75	00077539	20
Wheeler,Timothy	No	No	50	00090969	10

Winterstein,Almut	Yes	Yes	90	00087907	6
Wu,Samuel	Yes	No	70	00092015	5
Wu,Samuel	Yes	No	70	00091955	5
Wu,Samuel	Yes	No	70	00090911	100
Wu,Samuel	Yes	No	70	00089465	100
Wu,Samuel	Yes	No	70	00088550	5
Wu,Samuel	Yes	No	70	00086210	100
Xia,Guangbin	No	No	1	00085066	1
Xu,Xiaohui	Yes	Yes	80	00075471	80
Yeziarski,Robert P	No	No	0	00073600	60

CTRB Bond Project Information

July 10, 2014

Stakeholders & Key Players

- Executive Sponsors:
 - Dr. David Guzik, Senior Vice President for Health Affairs
 - Mr. Michael McKee, Interim Vice President and CFO
- Advisory Committee:
 - Mike Ford, Senior University Council
 - Laura Huntley, Associate Vice President for HSC Administration
 - Kim Simpson, Interim Associate Vice President & University Controller
 - Alan West, Senior Associate Controller
- Project Team:
 - Teresa d'Angelo, CTSI Director of Research Services
 - Ralph Horky, Consultant
 - Edward Neu, CTSI Director of Information Management
 - Alicia Turner, CTSI Director of Operations
- Department contacts and role in each zone:

Department/College	Red Zone	Blue Zone 1	Blue Zone 2	Black Zone	Olive Zone
Epidemiology: James Mazzulla, Andrea Burne	Enter space data	Provide Budget data	Enter space data		
Biostatistics: Deanna Nance, Corinne Flowers, Andrea Burne	Enter space data	Provide Budget data	Enter space data		
Health Outcomes & Policy: Jamie Sims	Enter space data		Enter space data		
Pediatrics: Randall Autrey, Stuart Clarry	Enter space data		Enter space data		
Dentistry: Kathy Galloway	Enter space data		Enter space data		
Department of Medicine: Alicia Wood, Robin Vaughan	Enter space data		Enter space data		
Endocrinology: Joe Lightfoot	Enter space data		Enter space data		
Pharmacy: Liz Moore, Susan Griffith	Enter space data		Enter space data		
Physical Therapy: Melanie Blackburn	Enter space data		Enter space data		
Office of Research: Nick Dunham, Stephanie Gray, Anthe Hoffman	SRM Liaison & IP Safe Harbors				
Contracts & Grants: Cathy Thompson	Subcontracts				
COM Research Affairs: Karen Pastos	Advisory Role	Advisory Role	Advisory Role		
Cost Analysis: Brenda Harrell	Space Liaison		Space Liaison		
Facilities, Planning & Construction: Jodi Chase, Frank Phillips	Space Reports		Space Reports		
Shands Pharmacy: Susan Beltz					Provide Budget data
Biochemistry: Regina Corns	Enter space data		Enter space data		
Rheumatology: Charl Mattheus	Enter space data		Enter space data		
CTSI/CRC: Jill Sandersen, Elda Quijano				Provide Budget data	
CTSI/Non CRC: Denise Caswell	Enter space data	Provide Budget data	Enter space data		
Enterprise Systems: Bryan Cooke			Payroll data		

Hours Per Zone

Estimated Hours to Complete Each Zone	Hours
Bond/Space Meetings	
Kick-off	8
Biostats	5
Epidemiology	5
Clinical Research Center	3
Project Team	24
Sponsored Research (Red Zone)	
Survey prep (sample, test survey, comm.)	16
Field survey	4
Daily survey management	60 (over 10 business days)
Analysis (once IP is complete)	8
Other Support (Blue Zone 1)	
Biostats	7
Epidemiology	8
CTSI	4
Other Support (Blue Zone 2)	
Obtain data (space, payroll)	8
Analysis	4
Clinical Research Center (Black Zone)	
Identify projects (not in red zone)	3
Analysis	8
Lab and Pharmacy (Olive Zone)	8
Space reports	7
IP Safe Harbors	9.5 (time will be reduced in future years once IP data elements are added to SR database)
Preliminary Numbers	12
Final Report	16
Total Hours	227.5

Project Timeline (see next page for June/July details)

- March:
 - Assemble project team & create project plan/timeline
 - Schedule kick-off meeting with CTRB departments
- April: Department meetings (as needed) for space and/or blue zone budget worksheets
- May: Prep Qualtrics survey and other documents
- June:
 - Field red zone survey
 - Finish data collection and analysis for all zones
 - Check IP safe harbors
- July: Assemble final report and executive debrief/signature

CTRB Bond: Data Collection Timeline 2014

SUNDAY	MONDAY	TUESDAY	WEDNESDAY	THURSDAY	FRIDAY	SATURDAY
25 MAY	26 HOLIDAY	27	28 <i>Space Reports</i> Start SRM Prep	29	30 <i>Space Reports</i> SPACE due COB Blue Zone 1: Biostats	31 Test Survey
1 JUNE Test Survey	2 <i>Space Reports</i> Finish SRM Prep	3 <i>Team Mtg</i> Blue Zone 2 process Finalize Srv&Comm.	4 Field Survey	5 Daily survey tasks	6 <i>Team Mtg</i> Host Survey Q&A Review Survey data Daily survey tasks	7
8	9 <i>Space Reports</i> Daily survey tasks	10 <i>Space Reports</i> Start Blue Zone 2 Daily survey tasks	11 <i>Master; Team Mtg</i> Survey Reminder/Q&A Start subcontracts Prelim # Start IP	12 <i>Master data file</i> Daily survey tasks	13 <i>Team Mtg</i> Daily survey tasks Payroll for BZ2 Start CRC	14
15	16 Daily survey tasks Finish Blue Zone 2	17 <i>Space Reports</i> Daily survey tasks Finish subcontracts	18 SURVEY due COB (disclosure in survey)	19 Blue Zone 1: CTSI Finish IP Prelim #	20 <i>Master; Team Mtg</i>	21
22	23 Finish CRC Start Pharmacy	24 <i>Team Mtg</i>	25	26 <i>Master data file</i> Start Extra Spans Finish Pharmacy Draft Report	27 <i>Master data file</i> Review Mtg w/ Tigert & HSC Admin	28
29 Ed, Teresa, Alicia out	30 <i>Space Reports</i>	1 JULY; <i>Team Mtg</i>	2	3	4 HOLIDAY	5
6	7 Start FINAL report	8 Blue Zone 1: Epi More IP June estimates	9 <i>Master data file</i> Final data work	10 <i>Master data file</i> Finish Extra Spans Final data work	11 <i>Team Mtg</i> Final report to Laura	12
13	14 Exec debrief & sign (McKee/Guzick)	15	16	17	18	19



Office of the Senior Vice President, Health Affairs

PO Box 100014
Gainesville, FL 32610-0014
352-273-5420 Phone
352-392-9395 Fax

August 21, 2014

Mr. J. Ben Watkins III
Florida Division of Bond Finance
1801 Hermitage Centre, Suite 200
Tallahassee, Florida 32308
(via email)

Dear Mr. Watkins:

Pursuant to the Certificate of University Compliance dated March 31, 2011 related to the State of Florida, Board of Governors, University of Florida Clinical Translational Research Building Bonds, Series 2011 (the "Series 2011 Bonds"), the University of Florida provides the attached Certificate.

As you can see in the Attachment, from March 31, 2011 to June 30, 2014, the accumulated present value of Qualified Research Revenue was 89.50% of the accumulated present value of the Gross Research Revenue using 4.4337% as the discount rate.

The University recognizes that the accumulated present value of the Qualified Research Revenue is slightly less than 90% and will take such actions as necessary to assure that by the earlier of July 1, 2030 or the payment in full of the 2011 Bonds, the required ratio will be met.

Thank you for your continuing assistance in this matter and please let us know if you have any questions.

Sincerely,

A handwritten signature in blue ink, appearing to read "D. Guzick".

David Guzick, MD, PhD
Senior Vice President, Health Affairs

A handwritten signature in blue ink, appearing to read "Michael V. McKee".

Michael McKee
Interim Vice President and Chief Financial Officer

cc: Laura Huntley
Kim Nichols
Ray Petty
Kim Simpson
Alan West

The Foundation for The Gator Nation

An Equal Opportunity Institution

UF Clinical Translational Research Building Revenue Bonds, Series 2011
Annual Calculation of Qualified Revenues to Gross Revenues

As of June 30, 2014

Actual Revenues Received To-Date															
Date Revenues Received	Qualified Revenues Received	Non-Qualified Revenues Received	Gross Revenues Received	PV Qualified Revenues Received ¹	PV Non-Qualified Revenues Received ¹	PV Gross Revenues Received ¹									
FY14	\$38,849,592	\$ 4,555,391	\$43,404,983	\$33,740,717	\$3,956,339	\$37,697,056									
Total															
				<table><tr><td>PV of Qualified Revenues Received</td><td>\$33,740,717</td><td>-</td></tr><tr><td>PV of Gross Revenues Received</td><td>\$37,697,056</td><td>-</td></tr><tr><td>PV Qualified Revs as % of PV Gross Revs</td><td></td><td>89.5%</td></tr></table>			PV of Qualified Revenues Received	\$33,740,717	-	PV of Gross Revenues Received	\$37,697,056	-	PV Qualified Revs as % of PV Gross Revs		89.5%
PV of Qualified Revenues Received	\$33,740,717	-													
PV of Gross Revenues Received	\$37,697,056	-													
PV Qualified Revs as % of PV Gross Revs		89.5%													

¹ PV calculated as of March 31, 2011 using 4.4337 % as the discount rate.

University of Florida Clinical and Translational Research Building

Tax-Exempt Bond Certification Report

UF Fiscal Year 13-14

July 1, 2013 – June 30, 2014

Date: July 11, 2014
To: Laura Huntley, Michael Ford, Alan West
From: Teresa d'Angelo, Ralph Horky, Edward Neu, Alicia Turner
Re: FY13-14 CTRB Bond Certification

Attached for your review is a final report that includes:

- Executive Summary
- CTRB Compliance Report Preface
 - General Background
 - Definitional Issues
 - CTRB Occupants and Users
 - Space as Related to Program Activity
 - Grant and Research Project Activity Types
 - The Compliance Review Process
- Certificate of University Compliance
- CTRB Bond Certification Data Process
 - Sponsored Research
 - Data Collection Overview
 - Algorithm
 - Other Support
 - Data Collection Overview
 - Algorithm
 - Clinical Research Center & Shands Pharmacy
- Diagrams and Tables
 - In Support of the Bond Certification Data Process:
 - Diagram 1: Zones for CTRB Bond Certification
 - Table 1: summary data “all zones”
 - Table 2: square footage by building occupant
 - Table 3: data field source and relation to Qualtrics survey
 - Table 4: CTRB Bond Survey Respondents (96% response rate)
 - Table 5: Blue Zones 1 & 2 Fund Code Classification
 - Data validation and consistency checks:
 - Table 6: Safe Harbor Designation from DSP
 - Table 7: Sponsors in “All Other Sources” Category
 - Table 8: DSP Classification x PI Classification
 - Table 9: Non-Monetary Contributions
 - Table 10: Overview Questions vs. Award Questions
- CTRB Bond Project Information
 - Stakeholders & Key Players
 - Estimated Hours to Complete Each Zone
 - Project Timeline: 5 month overview
 - Project Timeline: 6-week data collection/analysis details

Transmittal Document CTRB Bond Compliance

July 11, 2014

Executive Summary

Attached please find the report required by the March 31, 2011 Tax Exempt Bond financing agreement for the Clinical Trials Research Building (CTRB). This is the initial report in a cumulative 20 year series of reports to demonstrate that the vast preponderance (90%) of the activity of the CTRB is dedicated to public benefit.

This report is the product of a nearly yearlong process to define and categorize “research revenues” accumulated through the use of the CTRB and classify the benefits derived as “good” (public benefit) or “bad” (private benefit). The lengthy duration of this effort was due to the CTRB compliance process being unique among universities. There is the expectation that the first year will be used as a template for a more streamlined and routinized process going forward.

In this initial year, several University of Florida organizational components were fully involved in the process design and were contemporaneously apprised during data compilation. Executives from the University Health Science Center, Legal Affairs and Bond Compliance were involved as well as senior scientists and department and institute managers with activities in the building.

By the method described in the report, it is currently calculated that the ratio of good (public) benefit to total “research revenue” is 89.5%. Since this ratio fell below the 90% threshold, adjustments to building activity may be required to reach the 90% compliance ratio over the next 19 year life of the bond.

	Qualified Research Revenue				
	Total Research Revenue	Amount in CTRB	Good Use	Bad Use	% Good Use
Red Zone	\$88,573,624	\$38,648,373	\$34,807,270	\$3,841,103	90.1%
Blue Zone 1	\$4,822,880	\$3,192,551	\$2,769,644	\$422,908	86.8%
Blue Zone 2	\$2,161,203	\$423,320	\$379,386	\$43,934	89.6%
Black Zone	\$288,598	\$288,598	\$107,611	\$180,987	37.3%
Olive Zone	\$53,985	\$53,985	\$1,265	\$52,720	2.3%
Total	\$95,846,304	\$42,606,828	\$38,065,175	\$4,541,652	89.3%
June Estimates	Total Research Revenue	Amount in CTRB	Good Use	Bad Use	% Good Use
Not Surveyed	\$2,058,369	OMMITTED	\$2,014,704	\$43,665	OMMITTED
Identified by PI	\$818,740	\$798,155	\$784,417	\$13,738	98.3%
	Total Research Revenue	Amount in CTRB	Good Use	Bad Use	% Good Use
Revised Total	\$96,719,030	\$43,404,983	\$38,849,592	\$4,555,391	89.5%

Should a gap arise, there are numerous actions that might be taken to close the gap. Since this is the initial year of compliance review some methodological considerations may be further evaluated and subsequent methodological improvements may modestly change results. This is especially true in regard to practically defining the term “research revenue” as used in the agreement and in determining practical boundaries for what is considered CTRB activity. In this initial report, broad (and therefore conservative) working definitions have been applied consistently. These might be modified after further

consideration and discussion. It should not be expected that these methodological differences will alter the recommendation underlined above. Practical operational changes should be considered, such as managing the complement of building occupants and/or proactively considering the types of work that occupants are pursuing.

Initial Year Notes

The initial year process had a number of collateral benefits that may have greater interest to university management than to the bondholders or bonding agencies. For example, all CTRB involved business managers and research scientists are now fully aware of bond requirements and have been individually involved in data gathering. Each has been asked to characterize the public and private nature of their work. Of special note is the cooperative direct participation of research scientists and their immediate staff, many of whom are not administratively managed by building occupants.

A general methodological approach has been developed to respond to covenant issues. Important working definitions of “research revenue” and “CTRB activity” have been established as have working definitions for building “occupants” and “users”. While there is no singular administrative control over building occupants and users, a great deal of practical knowledge has been gained in patterns of building use that can be applied managerially.

A coordinated relationship has been established between the Space Inventory and Allocation System and the CTRB Bond Compliance process. This interaction creates some efficiencies of process, but more importantly, improves the quality of both data collection processes.

Individual principle investigators of complex grants who operate at “parent grant” level have become more aware of the role of the CTRB in the research at the level of specific projects and subsets of activity within their grants. This is an important “marketing tool” for the CTRB.

Issues Going Forward

Effective leadership for the data collection and compilation process has been provided by the Clinical and Translational Science Institute (CTSI). Given the experience gained by this group, as well as their access to the research scientists, the CTSI senior staff should continue to provide this leadership for preparing reports for future cycles. It is expected that in future years the compliance activity should be initiated five months prior to the certification deadline, with an intense data collection period of approximately six weeks.

The calendar for data collection and reporting should be better coordinated with the space survey. Timing issues result in a one month reporting gap that must currently be bolstered by some estimates based on linear projections. Since the current methodology combines eleven months of well-established actual data with only one requiring partial estimates it is not expected to produce material differences with a refine calculation to be included in subsequent year reports.

The data collection methodology and process should be more formally documented and “continuously improved”. A team should be convened to review the process and methodology and a best practice or procedure manual should be compiled and distributed prior to the next reporting cycle.

CTRB Compliance Report Preface

June 25, 2014

General Background

The University of Florida Clinical and Translational Research Building (CTRB) serves as the *headquarters* for clinical and translational science at UF. It is home to the Clinical and Translational Science Institute (CTSI) which conducts on-site research and is also the hub of a statewide network that aims to bring “the benefits of research to more than 9 million patients in all of Florida’s 67 counties” (see [CTSI website](#)).

The north wing of the CTRB was funded with tax-exempt bonds. The bonds have specific covenants requiring that the vast preponderance of “research revenue” generated through the use of the building over the 20-year life of the bonds be in the clear public benefit. More precisely the ratio of “qualified research revenue” (that is clearly in the public benefit) to total research revenue must exceed 90%. In addition to this qualified research condition, there are restrictions on other purely commercial activities such as bookstores or kiosks.

Note: Though the north wing of the CTRB physically adjoins with the south wing, home to the UF Institute on Aging headquarters, the south wing was constructed with an NIH grant and is specifically excluded from any CTRB covenants in the north wing.

Definitional Issues

Research revenue is defined as revenue from “research arrangements” (“contracts, grants, etc. with a state or local governmental unit, a Federal Sponsor or any other third party”). The term “research revenue” is not widely used within academic medicine. Interpreted broadly, it was construed to subsume several more common concepts such as research funding, research awards and research support. It may also subsume all or part of traditional categories, such as cost recoveries and gifts.

Note: The broadest (most conservative) definition of research revenue has been used in the report, which specifically includes grants and contracts that are routed through the Office of Research, and general support for other research activities that are not funded through an “official” contract or grant.

Basic Research The compliance definition of “basic research” includes any original investigation for the advancement of scientific knowledge not having a specific commercial objective. This very broad definition was construed to include clinical research and other research activities that do not have a specific commercial objective.

Note: The broadest (most conservative) definition of basic research has been used in the report to include all research activities – translational, clinical and health services.

Laboratories The term “laboratories” which is frequently used in the compliance agreement is difficult to precisely apply to research involving human subjects where a relatively small proportion of the research activity is conducted in “wet labs” and much work requires both clinical and research venues.

Translational research is frequently conducted in multiple venues in multiple buildings and even at multiple universities. The rate limiting factor in clinical research is often access to appropriate subjects rather than access to highly capitalized laboratory facilities.

Note: The broadest (most conservative) definition of laboratories has been used in the report and includes the Clinical Research Center, an “auxiliary” that may be considered analogous to a core laboratory in a wet lab setting and certain support units such as Biostatistics.

CTR Building Occupants and Users

Four general levels of occupants and users have been included in the report.

Major Building Tenants: Research institutes and university departments that are headquartered in the CTRB and have substantial programmatic presence in the building. These are the Clinical and Translational Science Institute (14,730 square feet), the Departments of Biostatistics (4,791 square feet) and Department of Epidemiology (5,811 square feet). These occupants are specifically referenced in the compliance agreement.

Minor Building Tenants: These include the research groups specifically referenced in the compliance agreement. Research groups are not in themselves organizational units of the university, but they are: 1-members of university departments that are not headquartered in the CTRB, 2-have significant translational research activities in the CTRB, and 3-collaborate with other CTRB occupants. The Department of Health Outcomes and Policy, which is headquartered outside the CTRB, is the largest of this group, and the Department of Medicine also has several of these research groups or “colonies”.

Occasional and infrequent users: These are individual investigators and research associates who are not included as members of major or minor tenants but who may use services of the Clinical Research Center (CRC) or other building occupants. In nearly all cases these are university faculty and staff.

Clinical Research Center (CRC): This special category was created to consider the CRC located on the first floor which is a CTSI service auxiliary that recovers the preponderance of its direct costs through transfer payments and fees charged to facility users.

Note: Each level of occupant or user has been evaluated against the same compliance standards but data collection methods were adapted to their unique circumstances.

Space as Related to Program Activity

Grants and projects are frequently not confined to individual spaces or buildings. In order to meet the research needs, the actual conduct of the research studies may be distributed across a wide number of institutions or venues over which the Principle Investigator of the PeopleSoft contract or “parent grant” may have scientific control but minimal operational control. Many projects and programs have substantial activities which reach far beyond the CTRB and even the campus. In some instances, CTRB occupants and users may be at the “project level” so only a small portion of the overall activity related to its parent grant or contract occurs in the CTRB. In other instances, the large majority of the grant or contract is conducted in the CTRB.

Note: The university's annual space survey interviews building occupants and users of individual spaces within the building and details the projects, grants and other forms of support that are associated with each space. The CTRB report accumulates activity from grants and projects that were identified in the space survey as having activity in the CTRB.

Grant and Research Project Activity Types

Financial accounting structures may be different depending on the formality of the research project and the external reporting requirements. The compliance review considered four general categories of grants and research activity.

Extramural Grants and Contracts

All major externally funded grants and contracts are identified in the Sponsored Research Master (SRM) database and include contact information for the contract and project Principle Investigators (PI). PeopleSoft contracts ("parent level") can include one or more projects.

Note: Each contract PI (n=93) was surveyed about the contracts (n=238) that were identified in the space survey. The contract PI was asked to apportion the activity of each contract between the CTRB and other venues. This ratio was applied to the overall award to determine the amount of research revenue appropriately associated with the CTRB. Each PI was asked a subsequent series of questions regarding intellectual property rights and private benefit.

Other Defined Research Projects

These may be sponsored by foundation, individuals, businesses associations or others.

Note: Depending on the financial structure, these activities could be treated as major grants (above) or as projects that were accounted through a grouping of associated "fund codes" that identify streams of support that could be characterized as revenue. Deliberate attention was paid to avoid any double counting of revenue or support.

Departmentally Sponsored Research

These may be startup funding for new investigators, seed funding during grant development or other activities deemed to foster research or the growth of research capability that is directly associated with an individual researcher or research group.

Note: These activities are not well compartmentalized in the formal accounting and needed to be accumulated and assembled as groupings of fund codes.

General Research Support Activities and Services

These activities may provide necessary professional skills, facilities, software or a wide range of general support for researchers, research grants and the "research environment". In most cases "fund codes" were used to characterize support.

Note: These activities were reported from departmental records and may include all direct support for programs completely housed in the CTRB.

The Compliance Review Process

The compliance review process involved three distinct phases: identification, apportionment and disclosure.

1) Identification of CTRB activities

Building use was identified in concert with the university's annual space survey.

Note: All projects and grants with any CTRB involvement were individually identified during the space survey. Activities that could be directly identified with a principle investigator were treated as major grants and subject to the Principle Investigator survey. Research activities that are not counted as "sponsored research" in the university's space survey were included in the department review process. These two methods were thoroughly checked to avoid duplication of accounting and the results were combined in the final compliance accounting.

2) Apportionment of Activity

Apportionment is the basis by which research activity is divided into the CTRB and non CTRB portions. Three basic approaches to apportionment were needed to complete the compliance review process: grant activity apportionment (PI), programmatic apportionment (Major Tenants and CRC) and individual effort apportionment (Minor Tenants and infrequent users).

Note: Since apportionment requires judgment calls, the responsible individual with "the best view" of the distribution of activity in each situation was interviewed. For major grants the PI was surveyed directly though in some cases the grant administrator or project PI was allowed to submit a proxy response. Department heads or administrators were required to complete budget worksheets for revenue identified as general support. In a few instances of minor occupants and infrequent users, non-sponsored research categories, such as "department research" and "other support activities", from the space survey were examined to determine the best basis for CTRB use.

3) Disclosure and Safe Harbors

The safe harbor rules as applied in the Stanford University model were used to review and classify UF intellectual property right agreements. If the IP agreement fell within one of the three safe harbors, the revenue was considered "good revenue". For sponsored research projects, the PIs and the Office of Research assisted with reviewing and classifying the IP agreement as "good" or "bad". Fund codes were used to classify the non-sponsored research activities as "good" or "bad" use.

Note: Grants, contracts and activities identified as "good revenue" were monetized (where need be), accounted and accumulated. Where appropriate, good revenue was apportioned into CTRB and non CTRB, and this figure was then compared with the total CTRB revenue.

CERTIFICATE OF UNIVERSITY COMPLIANCE

WHEREAS, the Division of Bond Finance (the "Division") has issued \$29,838,000 State of Florida, Board of Governors, University of Florida Clinical Translational Research Building Revenue Bonds, Series 2011 (the "2011 Bonds") to finance a portion of the costs of constructing and equipping a 120,000 gross square foot facility with space to house the University's Clinical Translational Science Institute headquarters, the University's Institute on Aging, a general clinical research center, and two new academic departments of the College of Medicine (the "Project") and to pay the costs of issuing the 2011 Bonds.

WHEREAS, this Certificate of University Compliance ("Certificate") has been executed by the University of Florida (the "University") and the University of Florida, College of Medicine (the "COM") to ensure compliance with certain provisions of the Internal Revenue Code of 1986, as amended (the "Code"), and the regulations promulgated thereunder related to private business use of facilities financed with tax exempt bonds.

WHEREAS, to ensure that interest on the 2011 Bonds will be and remain excludable from gross income under the Code, the restrictions contained in this Certificate, as well as the Non-Arbitrage Certificate executed in connection with the issuance of the 2011 Bonds, must be satisfied.

NOW THEREFORE, the University and the COM certify as follows:

1. For purposes of this Certificate, the following words and phrases shall have the following meanings.

"Basic Research" means any original investigation for the advancement of scientific knowledge not having a specific commercial objective. For example, product testing supporting the trade or business of a specific Nongovernmental Person is not treated as Basic Research.

"Federal Sponsor" means the United States Government or any agency or instrumentality thereof.

Denominator
"Gross Research Revenue" means the sum of the Qualified Research Revenue and the Non-Qualified Research Revenue. >

"Nongovernmental Person" means any person or entity other than a state or any local governmental unit of a state, or any instrumentality or agency thereof.

"Non-Qualified Research Arrangement" means any research arrangement (contract, grant, etc.) with a third party, other than a Qualified Research Arrangement, pursuant to which research activities will take place in the Project.

"Non-Qualified Research Revenue" means research revenue from Non-Qualified Research Arrangements, net of royalty and license fees, derived by the University from research activities taking place in the Project.

"Qualified Federal Research Contract" means any research agreement between the University and a Federal Sponsor or any Federal pass-through research agreement between the University and a non-Federal Sponsor, if (i) the agreement is for Basic Research; (ii) title to any patent or other product incidentally resulting from the research lies exclusively with the University, subject to the provisions of 35 U.S.C. 200 et. seq.; (iii) the Federal Sponsor is entitled to no more than a nonexclusive, royalty-free license to use the product or technology resulting from the research; and (iv) in the case of a Federal pass-through research agreement, the non-Federal Sponsor is not entitled to use the product or technology resulting from the research.

"Qualified Research Arrangement" means any research arrangement with (i) a state or local governmental unit; (ii) a Federal Sponsor, if the arrangement is a Qualified Federal Research Contract; or (iii) any

third party, if the arrangement meets the safe harbor guidelines contained in IRS Revenue Procedure 2007-47 (a copy of which is attached as Exhibit A to this Certificate).

"Qualified Research Revenue" means research revenue from Qualified Research Arrangements, net of royalty and license fees, derived by the University from research activities taking place in the Project.

2. The Project consists of approximately 120,000 total gross square feet. The 2011 Bonds will be used to finance 80,000 square feet of the Project (the "Translational Research Wing"), and the space will be used to house the University of Florida's Clinical Translational Science Institute headquarters, a general clinical research center, two departments and several funded clinical research projects. At times, the Translational Research Wing may be used to conduct research under Non-Qualified Research Arrangements. Other than permissible research performed under Non-Qualified Research Arrangements, space in the Translational Research Wing will not be used for any other private business use, including but not limited to space for a private food service facility, convenience store, gift shop, etc., unless prior written notification of the proposed private business use is provided to and approved by the Division. Approval by the Division of the proposed private business use may require, in the Division's sole discretion, the University, at its own cost, to obtain an opinion of nationally recognized bond/tax counsel stating that the proposed private use will not adversely impact the exclusion of interest on the 2011 Bonds from gross income for purposes of federal income taxation.

Financing for the remaining 40,000 square feet of the Project, which will house the University of Florida Institute on Aging (the "IOA"), will come from a \$14.7 million stimulus grant from the National Institutes of Health. This Certificate does not restrict the research use or any other private business use with respect to the IOA portion of the Project.

3. Based upon the University's projections with respect to the future utilization of the Project and its prior experience with its existing research facilities, the University makes the following representations with respect to the Translational Research Wing:

a. The research to be performed pursuant to Non-Qualified Research Arrangements and Qualified Research Arrangements will take place simultaneously in the laboratories within the Translational Research Wing;

b. All laboratory equipment in the Translational Research Wing will be available continuously for use by workers who perform research under Non-Qualified Research Arrangements and Qualified Research Arrangements;

c. A researcher may use a single laboratory in the Translational Research Wing to perform similar research that may be funded either by a Non-Qualified Research Arrangement or a Qualified Research Arrangement;

d. The procedures conducted by researchers in the Translational Research Wing may relate to any number of research projects, some of which may be Non-Qualified Research Arrangements and some of which may be Qualified Research Arrangements; and


e. From March 31, 2011 to the earlier of July 1, 2030 or the payment in full of the 2011 Bonds, the accumulated present value of Qualified Research Revenue will constitute not less than 90 percent of the accumulated present value of the Gross Research Revenue. For this purpose, present value is always determined and calculated as of March 31, 2011 using 4.4337% as the discount rate. The present value of Qualified Research Revenue and Gross Research Revenue will be determined on an annual basis using the Qualified Research Revenue and Gross Research Revenue accrued for each fiscal year of the University. If as of the end of any fiscal year, the University determines that the accumulated present value of the Qualified Research Revenue will constitute less than 90 percent of the accumulated present value of the Gross Research Revenue as aforesaid, then the University will take such actions as

may be required to assure that by the earlier of July 1, 2030 or the payment in full of the 2011 Bonds, the aforesaid ratio is met.

4. The University agrees to maintain copies of all leases, management contracts, service contracts, research arrangements and other preferential use arrangements with Nongovernmental Persons with respect to the use of the Project throughout the term of the 2011 Bonds and for a period of six years thereafter.


5. No later than 30 days after each fiscal year end for the duration of the life of the 2011 Bonds, the University agrees to provide the Division with a certificate signed by the University's Vice President and Chief Financial Officer and the University's Associate Vice President of Health Affairs attesting to compliance with the requirements set forth in this Certificate. A form copy of the Annual Certificate of University Compliance is attached hereto as Exhibit B.

6. The University agrees to comply with all requirements of the Internal Revenue Code and all applicable IRS rules and regulations related to the 2011 Bonds and to take any actions necessary to maintain the tax-exempt status of the 2011 Bonds.


Matthew Tajack
Vice President & Chief Financial Officer

3/31/2011

Date


David S. Guzik, MD, PhD
Senior Vice President for Health Affairs

3/31/2011

Date

CTRB Bond Certification Data Process

July 11, 2014

Sponsored Research

(See Diagram 1: "Red Zone")

Data Collection Overview

- Obtain list of PeopleSoft (PS) project numbers and corresponding CTRB room numbers reported in CTRB space survey
- Merge PS project numbers with Sponsored Research (SR) Master database to obtain 22 additional data fields (see table 2)
- Merge Contract PI UFID to UF Directory to obtain Contract PI email
- Roll-up PS projects to the contract (aka "parent") level and load contract information to Qualtrics survey (see table 3)
- Field Qualtrics survey to collect 4 additional data elements
- Apply "% activity in CTRB" to total award amount (less sub-contracts) to calculate qualified research revenue for sponsored activities in CTRB (i.e. grants or contracts with a PS project number reported in space survey)

Algorithm

Total Award: Amount in Dollars Awarded for Fiscal Year 2013-14

Source: UF Office of Research – Sponsored Research Data

SubAward: Amount in Dollars Awarded outside of UF

Source: UF Contracts and Grants

Adjusted Award: Amount in Dollars remaining at UF

Calculated: Total Award – SubAward

PctCTRB: Percentage of Award Activity in the CTRB

Source: Principal Investigator Qualtrics Survey

CTRB_Activity_Amount: Amount in Dollars of Activity in CTRB

Calculated: Adjusted Award * PctCTRB

Safe_Harbor_Use: 1=meets requirements for "Good Use", 0=Otherwise

Source: Contract Review by Office of Research

CTRB_Good_Use: Amount in Dollars of "Good Use" Activity in CTRB

Calculated: CTRB_Activity_Amount * Safe_Harbor_Use

Good Use Proportion: Percentage of CTRB activity assigned to "Good Use"

Calculated: CTRB_Good_Use / CTRB_Activity_Amount

Good_Use Proportion: (Total_Award – SubAward) * PctCTRB * Safe_Harbor_Use

(Total_Award – SubAward) * PctCTRB

Other Support

(See Diagram 1: “Blue Zone”)

Data Collection Overview

- Purpose: identify additional support that should count as “qualified research revenue” but is not assigned a PeopleSoft project number from the Office of Research (i.e. 171 funds)
- Data process divided into two groups based on square footage (see table 1):
 - **Blue Zone 1:** Departments that occupy >14% of the north wing will review department operating budget for the reporting year and submit the following in an excel file:
 - Identify support for research activity that is not funded by grants or contracts
 - Apportion the % of activity in the building
 - Apply % activity to budgeted amount (this is amount that counts as QRR)
 - Classify good vs. bad using fund code definitions (see table 4)
 - **Blue Zone 2:** Departments that occupy <9% of the north wing will use “department research” and “OSA” categories in the space survey to:
 - Use DR and OSA % as proxy for % activity in the building
 - Use primary room occupant earnings as proxy for qualified research revenue
 - Classify good vs. bad using fund code definitions (see table 4)

Blue Zone 2 Algorithm

Salary Paid: Amount paid in Salary for time period

Fringe Paid: Amount of Fringe Benefits paid in time period

Fund_Mask: 1 if Fund Code is “Good” Use, 0 otherwise

Date_Mask: 1 if Pay record occurred while person was an occupant of CTRB

Omit_Rec: 1 if record is to be Omitted (O Otherwise) Added to remove funds counted in RedZone.

DR_11_1: Proportion of Payment attributable to department research
Source: UF Payroll File

OSA_17_1: Proportion of Payment attributable to other sponsored activities
Source: UF Payroll File

Qualified Total Paid: Amount of Salary and Fringe Paid classified as Qualified Revenue
Calculated $(\text{Salary_Paid} + \text{Fringe_Paid}) \times (\text{DR_11_1} + \text{OSA_17_1})$

Qualified Good: Total Salary & Fringe Paid where Fund_Mask=1 (Good Use Funds)
Calculated: $\text{Qualified Total Paid} \times \text{Fund_Mask}$

Proportion of Good Use: Percentage of Activity in CTRB Attributed to “Good” Use
Calculated: $\text{Qualified Good} / \text{Qualified Total Paid}$

Using only records where **Omit_Rec=0 AND Date_Mask=1** and then calculate:

$$\frac{(\text{Salary_Paid} + \text{Fringe_Paid}) \times (\text{DR_11_1} + \text{OSA_17_1}) \times \text{Fund_Mask}}{(\text{Salary_Paid} + \text{Fringe_Paid}) \times (\text{DR_11_1} + \text{OSA_17_1})}$$

Clinical Research Center & Shands Pharmacy

(See Diagram 1: “Black Zone” and “Olive Zone”)

Revenues generated from CRC and Shands Pharmacy services that are not identified in the “grants and contracts” or “other support” data collection efforts are also monetized and classified as private/public.

Diagram 1: Zones for CTRB Bond Certification

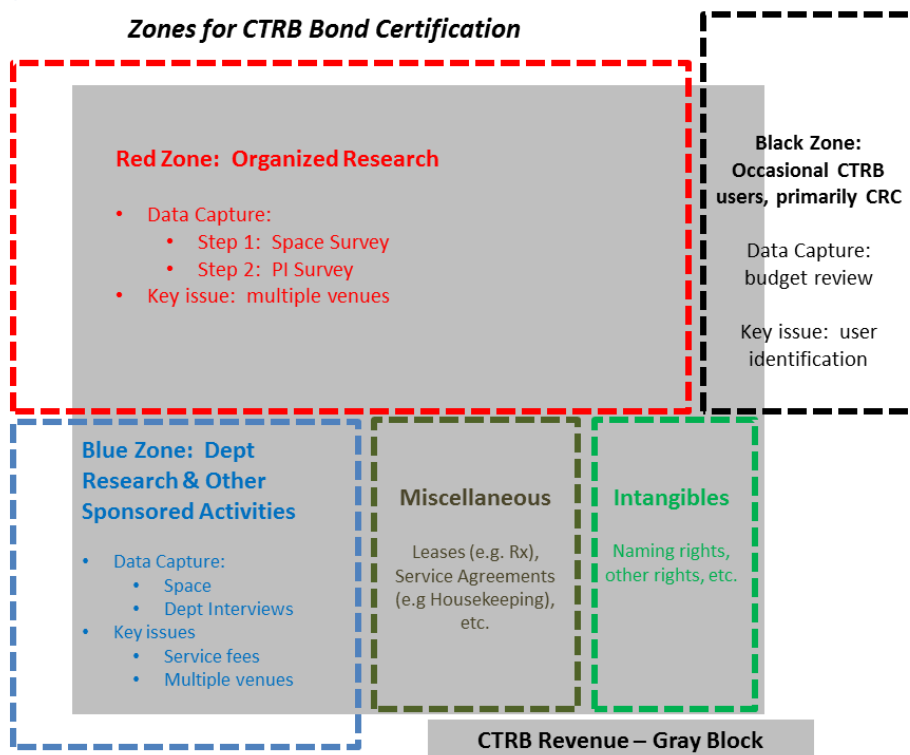


Table 1: summary data “all zones”

	Qualified Research Revenue				
	Total Research Revenue	Amount in CTRB	Good Use	Bad Use	% Good Use
Red Zone	\$88,573,624	\$38,648,373	\$34,807,270	\$3,841,103	90.1%
Blue Zone 1	\$4,822,880	\$3,192,551	\$2,769,644	\$422,908	86.8%
Blue Zone 2	\$2,161,203	\$423,320	\$379,386	\$43,934	89.6%
Black Zone	\$288,598	\$288,598	\$107,611	\$180,987	37.3%
Olive Zone	\$53,985	\$53,985	\$1,265	\$52,720	2.3%
Total	\$95,846,304	\$42,606,828	\$38,065,175	\$4,541,652	89.3%

June Estimates (Red Zone)	Total Research Revenue	Amount in CTRB	Good Use	Bad Use	% Good Use
Not Surveyed	\$2,058,369	OMMITTED	\$2,014,704	\$43,665	OMMITTED
Identified by PI on Survey	\$818,740	\$798,155	\$784,417	\$13,738	98.3%

	Total Research Revenue	Amount in CTRB	Good Use	Bad Use	% Good Use
Revised Total w/ June Est.	\$96,719,030	\$43,404,983	\$38,849,592	\$4,555,391	89.5%

Table 2: square footage by building occupant

Occupant	Total Sq Ft	% of Total	Occupant Type
CTSI (includes CRC)	14730	42	Major
Epidemiology	5811	16	Major
Biostatistics	4791	14	Major
HOP	3241	9	Minor
Physical Therapy	2335	7	Minor
Dept of Medicine	2147	6	Minor
Pediatrics	924	3	Minor
Dentistry	894	3	Minor
Biochemistry	368	1	Minor
COM Dean	114	0	Minor
Pharmacy	103	0	Minor

Table 3: data field source and relation to Qualtrics survey

Data Field	Data Source	Qualtrics Import	Qualtrics Export
CTRB Room Number	Space Survey		
PS Project	Space Survey		
Fiscal Year	SR Master		
PS_Contract	SR Master	Yes	Yes
Contract PI	SR Master	Yes	Yes
Contract PI UFID	SR Master	Yes	Yes
Contract PI Email	UF Directory	Yes	Yes
Project PI	SR Master		
Project PI_UFID	SR Master		
Award Date	SR Master		
Total Direct	SR Master		
Total Indirect	SR Master		
Total Awarded	SR Master		
Prime Sponsor Type	SR Master		
Prime Sponsor	SR Master		
Title	SR Master	Yes	Yes
Proj Funding to Date	SR Master		
Prime Agency	SR Master	Yes	Yes
Prime Agency Flag	SR Master		
Agency Category	SR Master		
Sponsoring Agency	SR Master		
Agency Number	SR Master	Yes	Yes
Subcontract Type	SR Master		
SubAgency Category	SR Master		
Subcontract Agency	SR Master		
% activity in CTRB (0-100)	Qualtrics		Yes
Federally funded (yes/no)	Qualtrics		Yes
Waive IP (yes/no)	Qualtrics		Yes
Non-monetary contributions (yes/no)	Qualtrics		Yes

Table 4: CTRB Bond Survey Respondents (96% response rate)

	PI	# of Contracts/Grants	Status
1	Nelson,David R	32	Complete
2	Byrne,Barry John	16	Complete
3	Cottler,Linda B	8	Complete
4	Morelli,Giuseppe	7	Complete
5	Shenkman,Elizabeth Ann	7	Complete
6	Herndon,Jill Heather Boylston	6	Complete
7	Walter,Glenn A	6	Complete
8	Wu,Samuel	6	Complete
9	Cook,Robert	4	Complete
10	Mai,Volker	4	Complete
11	Schatz,Desmond A	4	Complete
12	Vandenborne,Krista H Elvire	4	Complete
13	Atkinson,Mark A	3	Complete
14	Dahl,Wendy J	3	Complete
15	Fillingim,Roger Benton	3	Complete
16	Henken,Robin J	3	Complete
17	Knapp,Caprice Anganette	3	Incomplete
18	Longini,Ira	3	Complete
19	Pahor,Marco	3	Complete
20	Sibille,Kimberly T	3	Complete
21	Cabrera,Roniel	2	Complete
22	Catalanotto,Frank Alfred	2	Complete
23	Chen,Xinguang	2	Complete
24	Cusi,Kenneth	2	Complete
25	Duncan,R	2	Complete
26	Edison,Arthur	2	Complete
27	Firpi-Morell,Roberto J	2	Complete
28	George,Steven	2	Complete
29	Harrison,Jeffrey	2	Complete
30	Janicke,David	2	Complete
31	Khan,Maria	2	Complete
32	King,Christopher D	2	Complete
33	Latimer,William W	2	Complete
34	Manini,Todd	2	Complete
35	Morris,John Glenn	2	Complete
36	Nixon,Sara Jo	2	Complete
37	Okunieff,Paul Gerson	2	Complete
38	Qiu,Peihua	2	Complete
39	Staras,Stephanie Ann Stolfus	2	Complete

40	Tisher,Charles	2	Complete
41	Wagenaar,Alexander C	2	Complete
42	Anton,Stephen	1	Complete
43	Ashizawa,Tetsuo	1	Complete
44	Baron Lee,Jacqueline M	1	Complete
45	Buford,Thomas	1	Complete
46	Campbell Thompson,Martha	1	Complete
47	Clark,Virginia C	1	Complete
48	Conlon,Michael	1	Complete
49	Conrad,Kirk Peter	1	Complete
50	Frye,Reginald F	1	Complete
51	Goodenow,Maureen M	1	Complete
52	Gopalan,Priya	1	Complete
53	Greene,Lisa Merlo	1	Complete
54	Gregory III,Jesse F	1	Complete
55	Hastie,Barbara	1	Incomplete
56	Huang,I-Chan	1	Complete
57	Hurley,Robert W	1	Complete
58	Johnson,Julie A	1	Complete
59	Kairalla,John	1	Complete
60	Komro,Kelli Ann	1	Complete
61	Limacher,Marian	1	Complete
62	Maldonado Molina,Mildred Merisa	1	Complete
63	Mann,William C	1	Complete
64	Martin,Daniel	1	Complete
65	Mccrae,Christina Smith	1	Complete
66	McKune,Sarah	1	Complete
67	Muller Delp,Judy Marie	1	Complete
68	Muller,Keith E	1	Complete
69	Muzyczka,Nicholas	1	Complete
70	Neu,Josef	1	Complete
71	Parker,Leslie Ann	1	Complete
72	Peoples-Sheps,Mary D	1	Complete
73	Pepine,Carl J	1	Complete
74	Price,Catherine Elizabeth	1	Complete
75	Prins,Cindy	1	Complete
76	Riley,Joseph Leo	1	Complete
77	Roth,Jeffrey	1	Incomplete
78	Russo,Sandra	1	Complete
79	Sawyer,Wallace Gregory	1	Incomplete
80	Shorr,Ronald I	1	Complete

81	Shuster,Jonathan	1	Complete
82	Smith,Barbara k	1	Complete
83	Tucker,Carolyn	1	Complete
84	Wheeler,Timothy	1	Complete
85	Winterstein,Almut	1	Complete
86	Xia,Guangbin	1	Complete
87	Xu,Xiaohui	1	Complete
88	Yeziarski,Robert P	1	Complete

Table 5: Blue Zones 1 & 2 Fund Code Classification

Fund_Codes	Fund Code Description	Good/Bad?
201	C&G – FEDERAL RESTRICTED Direct Costs of Sponsored Projects are associated with Fund Codes 201 (federal) and 209 (non-federal)	REMOVED
211	C&G - RETURNED OVERHEAD When Indirect Costs are returned, they are associated with Fund Code 211	GOOD
212	C&G - RESIDUAL FUNDS “Residual Funds,” on the other hand, are unused funds that were not needed to fully execute the requirements of the Sponsored Project	GOOD
171	TFRS FR COMPONENTS Fund Code 171 is used for all transfers from Component Units (DSO) except when the circumstances require a different Fund Code	GOOD
102	E&G-GEN REV – HSC State Appropriations	GOOD
214	C&G NON FED CLINICAL TRIALS Non-Federal Clinical Trials	BAD
209	C&G – OTHER RESTRICTED Direct Costs of Sponsored Projects are associated with Fund Codes 201 (federal) and 209 (non-federal)	REMOVED
213	UFRF ALLOCATIONS A not-for-profit organization, UFRF provides a means by which discoveries, inventions, processes, and work products of UF faculty, staff, and students can be transferred from the laboratory to the public	GOOD
149	AUX - OTHER FUNDS Auxiliary funds are generally governed by the same guidelines as funds from state appropriations—however, not always	BAD
101	E&G-GEN REV - MAIN CAMPUS State Appropriations	GOOD
186	HSC OPERATIONS & MAINT TF Used for revenues generated by Vet Med Teaching Hospital	BAD

Table 6: Safe Harbor Designation from DSP

Prime Sponsor Type	Bad Use	Good Use	Total
ALL OTHER SOURCES		6	6
CORPORATIONS & COMPANIES	44	28	72
FEDERAL AGENCIES		106	106
FLORIDA STATE AGENCIES		5	5
FOUNDATIONS & SOCIETIES	4	27	31
LOCAL & REGIONAL GOVERNMENT		1	1
Total Number of Awards	48	173	221

Table 7: Sponsors in “All Other Sources” Category

Sponsor Name	Number of Awards	Total Award Amount
CENTRO INTL DE AGRIC TROPICAL	1	\$242,599.00
INTERNATIONAL VACCINE INSTITUTE	1	\$52,410.00
MISCELLANEOUS DONORS	1	\$335,000.00
UF FOU	3	\$996,465.14
Total	6	\$1,626,474.14

Table 8: DSP Classification x PI Classification

	PI: Bad Use (Give Up IP)	PI: Good Use (Retain IP)	Total
DSP: Bad Use	34 (85%)	13 (22%)	47
DSP: Good Use	6 (15%)	46 (78%)	52
Total	40 (100%)	59 (100%)	99

Table 9: Non-Monetary Contributions

AWARD_ID	PI	SponsorName	SponsorType	span
00087338	Ashizawa,Tetsuo	MUSCULAR DYSTROPHY ASSO	FOUNDATIONS & SOCIETIES	1
00092605	Byrne,Barry John	BIOMARIN PHARM.	CORPORATIONS & COMPANIES	1
00091845	Byrne,Barry John	AMICUS THERAPEUTICS	CORPORATIONS & COMPANIES	2
00090786	Byrne,Barry John	SANOFI US SERVICES	CORPORATIONS & COMPANIES	4
00086377	Byrne,Barry John	GENZYME CORP	CORPORATIONS & COMPANIES	8
00085550	Byrne,Barry John	SAREPTA THERAPEUTICS	CORPORATIONS & COMPANIES	9
00085112	Byrne,Barry John	GENZYME CORP	CORPORATIONS & COMPANIES	10
00083203	Byrne,Barry John	AMICUS THERAPEUTICS	CORPORATIONS & COMPANIES	11
00082684	Byrne,Barry John	BIOMARIN PHARM.	CORPORATIONS & COMPANIES	12
00081871	Byrne,Barry John	GENZYME CORP	CORPORATIONS & COMPANIES	14
00081305	Byrne,Barry John	GENZYME CORP	CORPORATIONS & COMPANIES	15
00090915	Mai,Volker	SCHWABE NORTH AMERICA	CORPORATIONS & COMPANIES	1
00089853	Mai,Volker	SCHWABE NORTH AMERICA	CORPORATIONS & COMPANIES	2
00090969	Wheeler,Timothy	ORTHOACCEL TECH.	CORPORATIONS & COMPANIES	1

Table 10: Overview Questions vs. Award Questions

PI	Have CTRB Office	Use Other CTRB	Pct CRTB Overall	AWARD_ID	PctCTRB (Survey)
Anton,Stephen	Yes	No	100	00087786	10
Ashizawa,Tetsuo	No	Yes	15	00087338	5
Atkinson,Mark A	No	Yes	51	00087274	46
Atkinson,Mark A	No	Yes	51	00086337	0
Atkinson,Mark A	No	Yes	51	00076393	15
Baron Lee,Jacqueline M	No	Yes	10	00076344	10
Buford,Thomas	Yes	No	60	00089402	5
Byrne,Barry John	Yes	Yes	75	00092605	85
Byrne,Barry John	Yes	Yes	75	00091845	85
Byrne,Barry John	Yes	Yes	75	00091186	85
Byrne,Barry John	Yes	Yes	75	00090786	85
Byrne,Barry John	Yes	Yes	75	00087378	95
Byrne,Barry John	Yes	Yes	75	00087377	95
Byrne,Barry John	Yes	Yes	75	00087004	75
Byrne,Barry John	Yes	Yes	75	00086377	85
Byrne,Barry John	Yes	Yes	75	00085550	85
Byrne,Barry John	Yes	Yes	75	00085112	85
Byrne,Barry John	Yes	Yes	75	00083203	85
Byrne,Barry John	Yes	Yes	75	00082684	85
Byrne,Barry John	Yes	Yes	75	00082306	100
Byrne,Barry John	Yes	Yes	75	00081871	85
Byrne,Barry John	Yes	Yes	75	00081305	85
Byrne,Barry John	Yes	Yes	75	00074385	100
Cabrera,Roniel	No	Yes	90	00088152	90
Cabrera,Roniel	No	Yes	90	00087595	90
Campbell Thompson,Martha	No	No	2	00089232	2
Catalanotto,Frank Alfred	No	No	0	00081257	1
Catalanotto,Frank Alfred	No	No	0	00067237	1
Chen,Xinguang	Yes	Yes	100	00093312	100
Chen,Xinguang	Yes	Yes	100	00092978	100
Clark,Virginia C	No	Yes	100	00087226	100
Conlon,Michael	Yes	No	90	00081168	5
Conrad,Kirk Peter	No	Yes	50	00079447	25
Cook,Robert	Yes	Yes	95	00085400	95
Cook,Robert	Yes	Yes	95	00084949	100
Cook,Robert	Yes	Yes	95	00084143	100
Cook,Robert	Yes	Yes	95	00083621	95
Cottler,Linda B	Yes	Yes	100	00098476	100
Cottler,Linda B	Yes	Yes	100	00093270	100

Cottler,Linda B	Yes	Yes	100	00088777	100
Cottler,Linda B	Yes	Yes	100	00086708	100
Cottler,Linda B	Yes	Yes	100	00084016	100
Cottler,Linda B	Yes	Yes	100	00083558	100
Cottler,Linda B	Yes	Yes	100	00083204	70
Cottler,Linda B	Yes	Yes	100	00082717	100
Cusi,Kenneth	No	Yes	50	00089648	90
Cusi,Kenneth	No	Yes	50	00088434	80
Dahl,Wendy J	No	No	0	00087813	0
Dahl,Wendy J	No	No	0	00087106	0
Dahl,Wendy J	No	No	0	00084967	3
Devidas,Meenakshi	No	No	2	00092713	2
Devidas,Meenakshi	No	No	2	00084086	0
Duncan,R	No	No	0	00089536	5
Duncan,R	No	No	0	00084826	5
Edison,Arthur	No	Yes	75	00091930	0
Edison,Arthur	No	Yes	75	00091726	20
Fillingim,Roger Benton	Yes	Yes	70	00083887	35
Fillingim,Roger Benton	Yes	Yes	70	00070024	100
Fillingim,Roger Benton	Yes	Yes	70	00069563	90
Firpi-Morell,Roberto J	No	Yes	90	00085687	90
Firpi-Morell,Roberto J	No	Yes	90	00077546	100
Frye,Reginald F	No	Yes	20	00075984	50
George,Steven	No	No	0	00086601	10
George,Steven	No	No	0	00067127	15
Goodenow,Maureen M				00077642	
Gopalan,Priya	No	No	10	00076865	0
Greene,Lisa Merlo	No	No	0	00089475	1
Gregory III,Jesse F	No	Yes	30	00077894	30
Harrison,Jeffrey				00091362	
Harrison,Jeffrey				00090747	
Hastie,Barbara				00077434	
Henken,Robin J	No	No	3	00089701	0
Henken,Robin J	No	No	3	00087102	0
Henken,Robin J	No	No	3	00085311	0
Herndon,Jill Heather Boylston	Yes	No	95	00091933	90
Herndon,Jill Heather Boylston	Yes	No	95	00091497	50
Herndon,Jill Heather Boylston	Yes	No	95	00090761	50
Herndon,Jill Heather Boylston	Yes	No	95	00087030	1
Herndon,Jill Heather Boylston	Yes	No	95	00083075	15
Herndon,Jill Heather Boylston	Yes	No	95	00078233	2
Huang,Emina H				00082279	
Huang,Emina H				00075627	

Huang,I-Chan	Yes	No	5	00072225	30
Hurley,Robert W	No	Yes	10	00089684	10
Janicke,David	No	No	0	00083850	1
Janicke,David	No	No	0	00070581	1
Johnson,Julie A	No	No	15	00086629	20
Kairalla,John	Yes	No	45	00088065	100
Khan,Maria	Yes	No	100	00090984	100
Khan,Maria	Yes	No	100	00086376	100
King,Christopher D	No	Yes	75	00088757	25
King,Christopher D	No	Yes	75	00082601	75
Knapp,Caprice Anganette				00088217	
Knapp,Caprice Anganette				00082119	
Knapp,Caprice Anganette				00082045	
Komro,Kelli Ann	No	No	5	00080210	5
Latimer,William W	No	No	0	00085641	0
Latimer,William W	No	No	0	00084439	0
Limacher,Marian	No	Yes	20	00077054	20
Longini,Ira	No	No	5	00093157	20
Longini,Ira	No	No	5	00091677	20
Longini,Ira	No	No	5	00089894	20
Mai,Volker	Yes	No	50	00090915	50
Mai,Volker	Yes	No	50	00089853	20
Mai,Volker	Yes	No	50	00087561	80
Mai,Volker	Yes	No	50	00084290	30
Maldonado Molina,Mildred Merisa	Yes	Yes	100	00068501	100
Manini,Todd	Yes	No	2	00088619	1
Manini,Todd	Yes	No	2	00086394	1
Mann,William C	Yes	Yes	30	00080263	80
Martin,Daniel	No	No	2	00087302	2
Mccrae,Christina Smith	No	No	0	00084408	0
McKune,Sarah	Yes	Yes	100	00091976	50
Morelli,Giuseppe	No	No	100	00091337	100
Morelli,Giuseppe	No	No	100	00090274	100
Morelli,Giuseppe	No	No	100	00089322	100
Morelli,Giuseppe	No	No	100	00089059	100
Morelli,Giuseppe	No	No	100	00088008	100
Morelli,Giuseppe	No	No	100	00084978	100
Morelli,Giuseppe	No	No	100	00080560	100
Morris,John Glenn	No	No	0	00082870	10
Morris,John Glenn	No	No	0	00077674	0
Muller Delp,Judy Marie	No	No	5	00089149	5
Muller,Keith E	Yes	Yes	100	00077095	100
Muzyczka,Nicholas	No	No	0	00070876	20

Nelson,David R	Yes	Yes	100	00092173	100
Nelson,David R	Yes	Yes	100	00091743	100
Nelson,David R	Yes	Yes	100	00091733	75
Nelson,David R	Yes	Yes	100	00091654	100
Nelson,David R	Yes	Yes	100	00091630	100
Nelson,David R	Yes	Yes	100	00091180	100
Nelson,David R	Yes	Yes	100	00090423	100
Nelson,David R	Yes	Yes	100	00089391	100
Nelson,David R	Yes	Yes	100	00088681	100
Nelson,David R	Yes	Yes	100	00087878	100
Nelson,David R	Yes	Yes	100	00087776	85
Nelson,David R	Yes	Yes	100	00087626	100
Nelson,David R	Yes	Yes	100	00087354	100
Nelson,David R	Yes	Yes	100	00087130	100
Nelson,David R	Yes	Yes	100	00086831	100
Nelson,David R	Yes	Yes	100	00086661	100
Nelson,David R	Yes	Yes	100	00086351	100
Nelson,David R	Yes	Yes	100	00085428	100
Nelson,David R	Yes	Yes	100	00085217	100
Nelson,David R	Yes	Yes	100	00084020	100
Nelson,David R	Yes	Yes	100	00083940	100
Nelson,David R	Yes	Yes	100	00083737	100
Nelson,David R	Yes	Yes	100	00083379	100
Nelson,David R	Yes	Yes	100	00082974	100
Nelson,David R	Yes	Yes	100	00082648	100
Nelson,David R	Yes	Yes	100	00082001	100
Nelson,David R	Yes	Yes	100	00081951	100
Nelson,David R	Yes	Yes	100	00081561	100
Nelson,David R	Yes	Yes	100	00081202	100
Nelson,David R	Yes	Yes	100	00080044	100
Nelson,David R	Yes	Yes	100	00075215	100
Nelson,David R	Yes	Yes	100	00074690	100
Neu,Josef	No	No	10	00067047	2
Nixon,Sara Jo	No	No	10	00087455	5
Nixon,Sara Jo	No	No	10	00075314	5
Okunieff,Paul Gerson	No	No	1	00081544	10
Okunieff,Paul Gerson	No	No	1	00060299	0
Pahor,Marco	Yes	No	95	00089675	100
Pahor,Marco	Yes	No	95	00085737	100
Pahor,Marco	Yes	No	95	00084736	50
Parker,Leslie Ann	No	No	5	00086699	7.5
Peoples-Sheps,Mary D	No	No	0	00081979	10
Pepine,Carl J	No	No	10	00067491	1

Price,Catherine Elizabeth	No	No	10	00088992	5
Prins,Cindy	Yes	Yes	100	00088257	70
Qiu,Peihua	Yes	No	100	00091303	100
Qiu,Peihua	Yes	No	100	00090863	100
Riley,Joseph Leo	Yes	Yes	10	00081059	10
Roth,Jeffrey				00081407	
Russo,Sandra	No	No	0	00086119	25
Sawyer,Wallace Gregory				00092523	
Schatz,Desmond A	Yes	Yes	99	00086504	98
Schatz,Desmond A	Yes	Yes	99	00083500	15
Schatz,Desmond A	Yes	Yes	99	00078948	20
Schatz,Desmond A	Yes	Yes	99	00072180	85
Shenkman,Elizabeth Ann	Yes	Yes	100	00090979	10
Shenkman,Elizabeth Ann	Yes	Yes	100	00090799	10
Shenkman,Elizabeth Ann	Yes	Yes	100	00090293	40
Shenkman,Elizabeth Ann	Yes	Yes	100	00088537	1
Shenkman,Elizabeth Ann	Yes	Yes	100	00086773	20
Shenkman,Elizabeth Ann	Yes	Yes	100	00085124	15
Shenkman,Elizabeth Ann	Yes	Yes	100	00065460	30
Shorr,Ronald I	Yes	Yes	20	00079526	2
Shuster,Jonathan	Yes	Yes	90	00089546	2
Sibille,Kimberly T	No	Yes	25	00086528	75
Sibille,Kimberly T	No	Yes	25	00086484	5
Sibille,Kimberly T	No	Yes	25	00079940	10
Smith,Barbara k	Yes	Yes	80	00090866	50
Staras,Stephanie Ann Stolfus	No	No	5	00083932	10
Staras,Stephanie Ann Stolfus	No	No	5	00073428	5
Tisher,Charles	Yes	No	10	00089905	50
Tisher,Charles	Yes	No	10	00088547	50
Tucker,Carolyn	No	No	50	00087603	10
Vandenborne,Krista H Elvire	Yes	Yes	90	00092147	98
Vandenborne,Krista H Elvire	Yes	Yes	90	00091552	20
Vandenborne,Krista H Elvire	Yes	Yes	90	00091195	98
Vandenborne,Krista H Elvire	Yes	Yes	90	00072348	90
Wagenaar,Alexander C	No	Yes	10	00087093	1
Wagenaar,Alexander C	No	Yes	10	00081772	2
Walter,Glenn A	Yes	Yes	75	00092247	75
Walter,Glenn A	Yes	Yes	75	00089349	85
Walter,Glenn A	Yes	Yes	75	00086957	75
Walter,Glenn A	Yes	Yes	75	00084356	70
Walter,Glenn A	Yes	Yes	75	00082545	60
Walter,Glenn A	Yes	Yes	75	00077539	20
Wheeler,Timothy	No	No	50	00090969	10

Winterstein,Almut	Yes	Yes	90	00087907	6
Wu,Samuel	Yes	No	70	00092015	5
Wu,Samuel	Yes	No	70	00091955	5
Wu,Samuel	Yes	No	70	00090911	100
Wu,Samuel	Yes	No	70	00089465	100
Wu,Samuel	Yes	No	70	00088550	5
Wu,Samuel	Yes	No	70	00086210	100
Xia,Guangbin	No	No	1	00085066	1
Xu,Xiaohui	Yes	Yes	80	00075471	80
Yeziarski,Robert P	No	No	0	00073600	60

CTRB Bond Project Information

July 10, 2014

Stakeholders & Key Players

- Executive Sponsors:
 - Dr. David Guzik, Senior Vice President for Health Affairs
 - Mr. Michael McKee, Interim Vice President and CFO
- Advisory Committee:
 - Mike Ford, Senior University Council
 - Laura Huntley, Associate Vice President for HSC Administration
 - Kim Simpson, Interim Associate Vice President & University Controller
 - Alan West, Senior Associate Controller
- Project Team:
 - Teresa d'Angelo, CTSI Director of Research Services
 - Ralph Horky, Consultant
 - Edward Neu, CTSI Director of Information Management
 - Alicia Turner, CTSI Director of Operations
- Department contacts and role in each zone:

Department/College	Red Zone	Blue Zone 1	Blue Zone 2	Black Zone	Olive Zone
Epidemiology: James Mazzulla, Andrea Burne	Enter space data	Provide Budget data	Enter space data		
Biostatistics: Deanna Nance, Corinne Flowers, Andrea Burne	Enter space data	Provide Budget data	Enter space data		
Health Outcomes & Policy: Jamie Sims	Enter space data		Enter space data		
Pediatrics: Randall Autrey, Stuart Clarry	Enter space data		Enter space data		
Dentistry: Kathy Galloway	Enter space data		Enter space data		
Department of Medicine: Alicia Wood, Robin Vaughan	Enter space data		Enter space data		
Endocrinology: Joe Lightfoot	Enter space data		Enter space data		
Pharmacy: Liz Moore, Susan Griffith	Enter space data		Enter space data		
Physical Therapy: Melanie Blackburn	Enter space data		Enter space data		
Office of Research: Nick Dunham, Stephanie Gray, Anthe Hoffman	SRM Liaison & IP Safe Harbors				
Contracts & Grants: Cathy Thompson	Subcontracts				
COM Research Affairs: Karen Pastos	Advisory Role	Advisory Role	Advisory Role		
Cost Analysis: Brenda Harrell	Space Liaison		Space Liaison		
Facilities, Planning & Construction: Jodi Chase, Frank Phillips	Space Reports		Space Reports		
Shands Pharmacy: Susan Beltz					Provide Budget data
Biochemistry: Regina Corns	Enter space data		Enter space data		
Rheumatology: Charl Mattheus	Enter space data		Enter space data		
CTSI/CRC: Jill Sandersen, Elda Quijano				Provide Budget data	
CTSI/Non CRC: Denise Caswell	Enter space data	Provide Budget data	Enter space data		
Enterprise Systems: Bryan Cooke			Payroll data		

Hours Per Zone

Estimated Hours to Complete Each Zone	Hours
Bond/Space Meetings	
Kick-off	8
Biostats	5
Epidemiology	5
Clinical Research Center	3
Project Team	24
Sponsored Research (Red Zone)	
Survey prep (sample, test survey, comm.)	16
Field survey	4
Daily survey management	60 (over 10 business days)
Analysis (once IP is complete)	8
Other Support (Blue Zone 1)	
Biostats	7
Epidemiology	8
CTSI	4
Other Support (Blue Zone 2)	
Obtain data (space, payroll)	8
Analysis	4
Clinical Research Center (Black Zone)	
Identify projects (not in red zone)	3
Analysis	8
Lab and Pharmacy (Olive Zone)	8
Space reports	7
IP Safe Harbors	9.5 (time will be reduced in future years once IP data elements are added to SR database)
Preliminary Numbers	12
Final Report	16
Total Hours	227.5

Project Timeline (see next page for June/July details)

- March:
 - Assemble project team & create project plan/timeline
 - Schedule kick-off meeting with CTRB departments
- April: Department meetings (as needed) for space and/or blue zone budget worksheets
- May: Prep Qualtrics survey and other documents
- June:
 - Field red zone survey
 - Finish data collection and analysis for all zones
 - Check IP safe harbors
- July: Assemble final report and executive debrief/signature

CTRB Bond: Data Collection Timeline 2014

SUNDAY	MONDAY	TUESDAY	WEDNESDAY	THURSDAY	FRIDAY	SATURDAY
25 MAY	26 HOLIDAY	27	28 <i>Space Reports</i> Start SRM Prep	29	30 <i>Space Reports</i> SPACE due COB Blue Zone 1: Biostats	31 Test Survey
1 JUNE Test Survey	2 <i>Space Reports</i> Finish SRM Prep	3 <i>Team Mtg</i> Blue Zone 2 process Finalize Srv&Comm.	4 Field Survey	5 Daily survey tasks	6 <i>Team Mtg</i> Host Survey Q&A Review Survey data Daily survey tasks	7
8	9 <i>Space Reports</i> Daily survey tasks	10 <i>Space Reports</i> Start Blue Zone 2 Daily survey tasks	11 <i>Master; Team Mtg</i> Survey Reminder/Q&A Start subcontracts Prelim # Start IP	12 <i>Master data file</i> Daily survey tasks	13 <i>Team Mtg</i> Daily survey tasks Payroll for BZ2 Start CRC	14
15	16 Daily survey tasks Finish Blue Zone 2	17 <i>Space Reports</i> Daily survey tasks Finish subcontracts	18 SURVEY due COB (disclosure in survey)	19 Blue Zone 1: CTSI Finish IP Prelim #	20 <i>Master; Team Mtg</i>	21
22	23 Finish CRC Start Pharmacy	24 <i>Team Mtg</i>	25	26 <i>Master data file</i> Start Extra Spans Finish Pharmacy Draft Report	27 <i>Master data file</i> Review Mtg w/ Tigert & HSC Admin	28
29 Ed, Teresa, Alicia out	30 <i>Space Reports</i>	1 JULY; <i>Team Mtg</i>	2	3	4 HOLIDAY	5
6	7 Start FINAL report	8 Blue Zone 1: Epi More IP June estimates	9 <i>Master data file</i> Final data work	10 <i>Master data file</i> Finish Extra Spans Final data work	11 <i>Team Mtg</i> Final report to Laura	12
13	14 Exec debrief & sign (McKee/Guzick)	15	16	17	18	19

Date: July 11, 2014
To: Laura Huntley, Michael Ford, Alan West
From: Teresa d'Angelo, Ralph Horky, Edward Neu, Alicia Turner
Re: FY13-14 CTRB Bond Certification

Executive Summary

Attached please find the report required by the March 31, 2011 Tax Exempt Bond financing agreement for the Clinical Trials Research Building (CTRB). This is the initial report in a cumulative 20 year series of reports to demonstrate that the vast preponderance (90%) of the activity of the CTRB is dedicated to public benefit.

This report is the product of a nearly yearlong process to define and categorize "research revenues" accumulated through the use of the CTRB and classify the benefits derived as "good" (public benefit) or "bad" (private benefit). The lengthy duration of this effort was due to the CTRB compliance process being unique among universities. There is the expectation that the first year will be used as a template for a more streamlined and routinized process going forward.

In this initial year, several University of Florida organizational components were fully involved in the process design and were contemporaneously apprised during data compilation. Executives from the University Health Science Center, Legal Affairs and Bond Compliance were involved as well as senior scientists and department and institute managers with activities in the building.

By the method described in the report, it is currently calculated that the ratio of good (public) benefit to total "research revenue" is 89.5%. Since this ratio fell below the 90% threshold, adjustments to building activity may be required to reach the 90% compliance ratio over the next 19 year life of the bond.

	Qualified Research Revenue				
	Total Research Revenue	Amount in CTRB	Good Use	Bad Use	% Good Use
Red Zone	\$88,573,624	\$38,648,373	\$34,807,270	\$3,841,103	90.1%
Blue Zone 1	\$4,822,880	\$3,192,551	\$2,769,644	\$422,908	86.8%
Blue Zone 2	\$2,161,203	\$423,320	\$379,386	\$43,934	89.6%
Black Zone	\$288,598	\$288,598	\$107,611	\$180,987	37.3%
Olive Zone	\$53,985	\$53,985	\$1,265	\$52,720	2.3%
Total	\$95,846,304	\$42,606,828	\$38,065,175	\$4,541,652	89.3%
June Estimates	Total Research Revenue	Amount in CTRB	Good Use	Bad Use	% Good Use
Not Surveyed	\$2,058,369	OMMITTED	\$2,014,704	\$43,665	OMMITTED
Identified by PI	\$818,740	\$798,155	\$784,417	\$13,738	98.3%
	Total Research Revenue	Amount in CTRB	Good Use	Bad Use	% Good Use
Revised Total	\$96,719,030	\$43,404,983	\$38,849,592	\$4,555,391	89.5%

Should a gap arise, there are numerous actions that might be taken to close the gap. Since this is the initial year of compliance review some methodological considerations may be further evaluated and subsequent methodological improvements may modestly change results. This is especially true in regard to practically defining the term “research revenue” as used in the agreement and in determining practical boundaries for what is considered CTRB activity. In this initial report, broad (and therefore conservative) working definitions have been applied consistently. These might be modified after further consideration and discussion. It should not be expected that these methodological differences will alter the recommendation underlined above. Practical operational changes should be considered, such as managing the complement of building occupants and/or proactively considering the types of work that occupants are pursuing.

Initial Year Notes

The initial year process had a number of collateral benefits that may have greater interest to university management than to the bondholders or bonding agencies. For example, all CTRB involved business managers and research scientists are now fully aware of bond requirements and have been individually involved in data gathering. Each has been asked to characterize the public and private nature of their work. Of special note is the cooperative direct participation of research scientists and their immediate staff, many of whom are not administratively managed by building occupants.

A general methodological approach has been developed to respond to covenant issues. Important working definitions of “research revenue” and “CTRB activity” have been established as have working definitions for building “occupants” and “users”. While there is no singular administrative control over building occupants and users, a great deal of practical knowledge has been gained in patterns of building use that can be applied managerially.

A coordinated relationship has been established between the Space Inventory and Allocation System and the CTRB Bond Compliance process. This interaction creates some efficiencies of process, but more importantly, improves the quality of both data collection processes.

Individual principle investigators of complex grants who operate at “parent grant” level have become more aware of the role of the CTRB in the research at the level of specific projects and subsets of activity within their grants. This is an important “marketing tool” for the CTRB.

Issues Going Forward

Effective leadership for the data collection and compilation process has been provided by the Clinical and Translational Science Institute (CTSI). Given the experience gained by this group, as well as their access to the research scientists, the CTSI senior staff should continue to provide this leadership for preparing reports for future cycles. It is expected that in future years the compliance activity should be initiated five months prior to the certification deadline, with an intense data collection period of approximately six weeks.

The calendar for data collection and reporting should be better coordinated with the space survey. Timing issues result in a one month reporting gap that must currently be bolstered by some estimates based on linear projections. Since the current methodology combines eleven months of well-established actual data with only one requiring partial estimates it is not expected to produce material differences with a refine calculation to be included in subsequent year reports.

The data collection methodology and process should be more formally documented and “continuously improved”. A team should be convened to review the process and methodology and a best practice or procedure manual should be compiled and distributed prior to the next reporting cycle.