

Research “Prizes” and Competitions Guidelines
University of Florida

1. Purpose:

The University recognizes the importance of faculty members successfully competing in highly visible national research and development competitions. These competitions can result in substantial recognition to the faculty involved and to the University, as well as funding to support research. These “Guidelines” provide information on the appropriate management of such R&D prizes.

2. Definitions:

Some sponsors, such as the Department of Defense, Defense Advanced Research Projects Agency (DARPA) and Galvmed, offer financial incentives in the form of “prizes” for participation in research and development competitions. These prizes are different from grants in some ways because they are designed to reward R&D efforts that are not directly tied to future performance of work but rather for some achievement or accomplishment already achieved. However, they are not personal “prizes” such as the Pulitzer or Nobel in that they are designed to reward accomplishments or incentivize development of a product rather than recognize individual scholarly stature.

3. Ownership of Prizes:

Monetary awards identified as prizes or obtained through a prize competition are the property of the University if faculty member(s) or their team utilize University time or resources in obtaining or competing for the prize. Any prize funds awarded will be deposited into the appropriate sponsored project funds (201 (federal) or 209 (nonfederal)). Federal funds may be subsequently transferred to a 212 (residual fund) project for expenditures. The Office of Research processes for proposal routing, award setup and award management will be used in managing the prize. Appropriate F&A or indirect costs per University policy will apply to the expenditure of these funds (see:

<http://generalcounsel.ufl.edu/media/generalcounselufledu/documents/F&A-Cost-Directives.pdf> .

If a prize is successfully obtained, the University may agree to recognize the special achievement of faculty members and their teams by allocating a portion of the prize funding to those individuals who participated in obtaining the prize. Any allocation of prize funds to these individuals must be used for support of the research mission of the University, including but not limited to summer salary, equipment purchases, travel, graduate student support, or other general research activities.

4. **Procedures:**

Regardless of whether University time and resources will be utilized, Faculty interested in competing for R&D prizes must report their proposed activity to the University. If University time and resources are not used, such activity must be reported and approved as an outside activity. If University time and resource will be used, Faculty must contact the Associate Dean for Research (or equivalent) in their college to develop a prize management plan outlining expectations and preliminary prize allocations prior to submitting their proposal to the awarding agency.

The college should work with the Office of Research, Division of Sponsored Programs (DSP) to formalize a prize management plan. The college and DSP may consult with the General Counsel's Office regarding potential legal issues related to a proposed management plan before it is finalized. In order to develop the plan, at least two weeks prior to the entry deadline, the competition team should provide to the college:

- a. The details of the competition and the purpose of the initial work, expected deliverables and possible prize award.
- b. The names of all University individuals (faculty, staff, and students) who will be involved in the development of the competition entry. Preliminary prize allocations for each of these individuals to be included in the prize management plan will be based on their estimated efforts and contributions to the competition work.
- c. An estimate of the time needed by each individual to develop the competition product.
- d. An estimate of the types of University resources needed to develop the competition product.
- e. Approval of the departmental chair(s), indicating they are aware of and have approved the proposed effort and use of resources.
- f. Approval by the Dean for participation in the project.

Note that all applicable college and DSP deadlines for submission of proposal documents apply. The completed application and prize management plan will be entered into UFIRST as a proposal to ensure compliance with relevant regulations and federal requirements, and to assure the appropriate approvals are obtained.

If a prize is obtained, the College, in consultation with DSP, will work with the faculty member(s) to review the actual work, individual contributions, deliverables, resources and time used and prize obtained and compare it to the estimates in the prize management plan to determine whether any preliminary prize allocations should be modified before making a final allocation. Because prize allocations are discretionary at the determination of the College, no allocations are final until this post-award review is completed, the College makes appropriate modifications, and finalizes the allocations.

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Acceptance of prize funds may obligate the team members to prepare for and compete in additional follow-up events. If the team elects to stop preparing or not compete for subsequent events, they must immediately notify the Department Chair(s) and Associate Dean for Research. If stoppage occurs, the University may restrict further allocation of resources to the team for such efforts.