



Office of Sponsored Programs

Office of Sponsored Programs (OSP)

Debbie Graves – OSP Training Coordinator
dggraves@osp.edu

What do we do at OSP?

- Perform preliminary review and approval of proposal submissions
- Submit proposals through Grants.gov and most awarding agency portals
- Serve as representative of UAB business office with official signing authority
- Negotiate and execute contracts and agreements
- Process awards for distribution and account setup



What do we do at OSP?

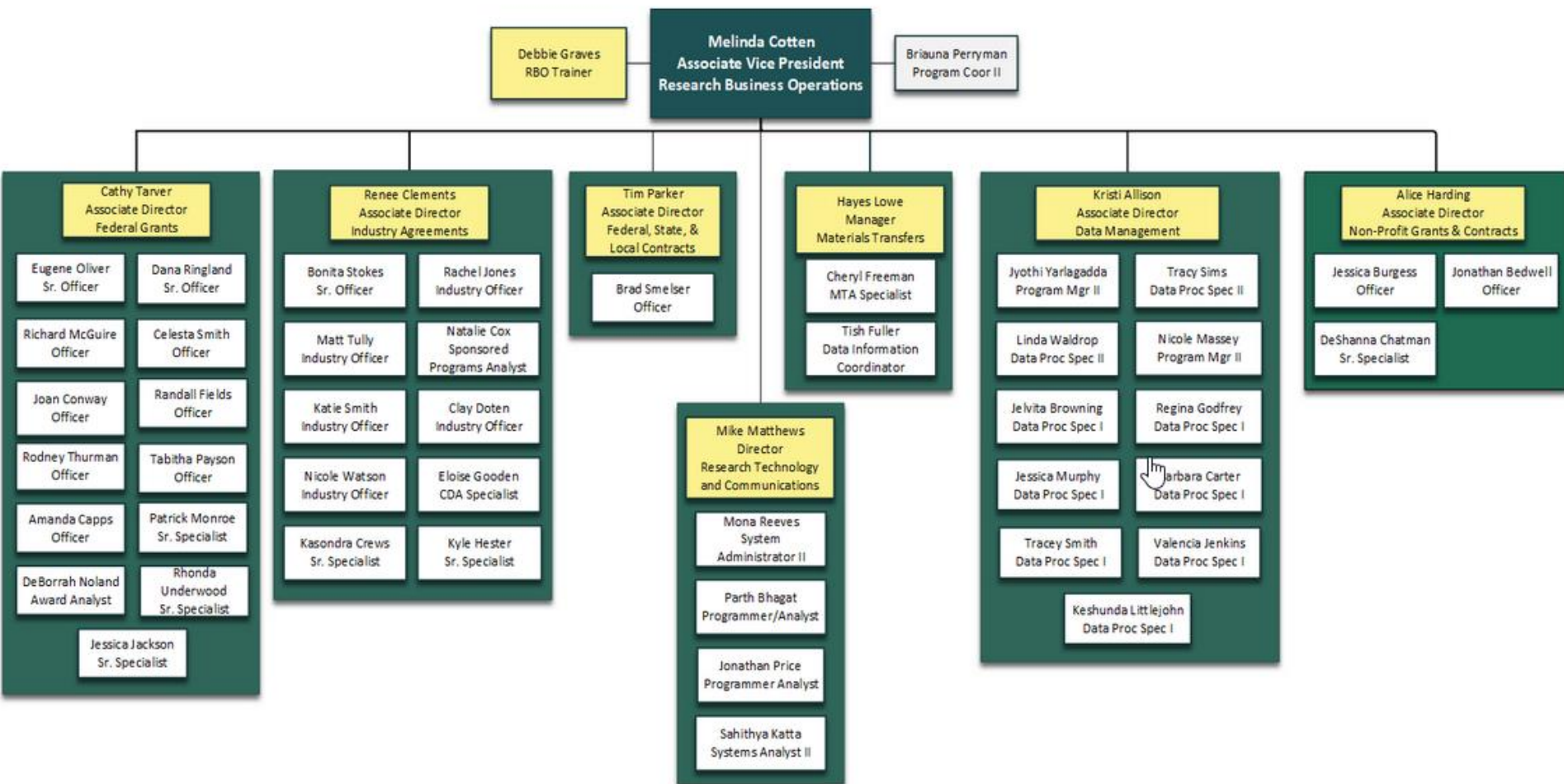
- Provide non-financial post-award administrative support
- Provide means for ad-hoc report requests
- Provide ongoing training for the campus
- Distribute latest updates, news, and information through the Research Digest (sign up under “About” on OSP website)
- Answer questions and provide information to sponsors and UAB personnel

Goal: Facilitate research at UAB



OSP Teams

- Federal Grants
- Federal/State/Local Contracts
- Non-Profit
- Industry
- Data Management



Some interesting facts about FY 2018

- 5403 submissions
- 4499 awards
- 1176 principal investigators (PIs)
- 2527 Key personnel

OSP Website

UAB Research

Search OSP...



UAB Quicklinks

UAB Research

Home

About ▾

Guidance ▾

Forms

FAQ

Training ▾

Reports ▾

IRAP ▾

CDA

Feedback

Office of Sponsored Programs

**Find your Officers
and Specialists**

New quick lookup by department



.....

Delivery Address	Mailing Address	Phone / Email	Hours
701 20th Street South Administration Building 1170 Birmingham, AL 35233	UAB OSP Administration Building 1170 1720 2nd Avenue South Birmingham, AL 35294-0111	Phone: (205) 934-5266 Fax: (205) 975-5977 Email: osp@uab.edu askosp@uab.edu	Days: Monday - Friday Hours: 8AM - 5PM

Recent News

Featured Pages

Quicklinks

Forms

Extramural Checklist

Expedited Checklist

Responsible Personnel List

General Information

OSP Review Plan

Required Documents

Facilities and
Administrative (F&A) Costs

OSP Staff

Fee for Service Decision
Tree

Submissions

Standards / Compliance

First, try Search OSP

UAB Research

Search OSP...

UAB Quicklinks

UAB Research Home About Guidance Forms Training Reports IRAP CDA Feedback

Office of Sponsored Programs

UAB EXPEDITED CHECKLIST

The UAB Expedited Checklist is to be used when submitting requests such as No-Cost Extensions, CDA's, FRAP's and DCA's that do not require departmental signatures or approval. For a submission to IRAP requiring an Expedited Checklist, a [Responsible Personnel List](#) is required only when there is a change of [Responsible Personnel](#) on a sponsored project. For additional information, see the [UAB website of responsible](#) and the [OSP website](#). Please send the completed form along with any required attachments to the Office of Sponsored Programs at [osp@uab.edu](#). If this form is completed for a Confidentiality Disclosure Agreement (CDA), please submit to [askosp@uab.edu](#) instead.

UAB EXTRAMURAL SUPPORT CHECKLIST

Department of Academic Affairs based on your submission type (e.g., proposal or contract). All submissions must be submitted [electronically](#) in accordance with the [OSP system file](#). For additional information, please see [submission of grant applications](#) and [proposal submission](#).

Extramural & Expedited Checklists Updated!

Quicklinks

Forms

- Extramural Checklist
- Expedited Checklist
- Responsible Personnel List
- General Information
- OSP Review Plan
- Required Documents
- Facilities and Administrative (F&A) Costs
- OSP Staff
- Fee for Service Decision Tree
- Submissions
- Standards / Compliance

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Recent News

- NIH Extramural Nexus Updates - August 2019**
Posted by Office of Sponsored Programs | 08/13/19
- NIH Notices – August 2, 2019**
Posted by Office of Sponsored Programs | 08/05/19
- NIH Notices – July 26, 2019**
Posted by Office of Sponsored Programs | 07/26/19
- Reminder - Please take the IRAP Research Administration System**

Featured Pages

- [Find Your Officer/Specialist](#)
Browse and search OSP personnel by area, name, specialization, or supported unit.
- [OSP Training Opportunities](#)
Take a look at the latest training opportunities

Funding Opportunities

Discover upcoming deadlines for extramural funding opportunities by logging in to IRAP using your BlazerID with strong password and clicking:

[Find Funding](#)

Required Documents Tool

UABResearch

Search OSP...



UAB Quicklinks

UAB Research

Home

About ▾

Guidance ▾

Forms

FAQ

Training ▾

Reports ▾

IRAP ▾

CDA

Feedback

Office of Sponsored Programs

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Quicklinks

Forms

Extramural Checklist

Expedited Checklist

Responsible Personnel List

General Information

OSP Review Plan

Required Documents

Facilities and
Administrative (F&A) Costs

OSP Staff

Fee for Service Decision
Tree

Submissions

Standards / Compliance

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Recent News

Featured Pages

Required Documents Tool



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[UAB Research](#) [Home](#) [About](#) [Guidance](#) [Forms](#) [FAQ](#) [Training](#) [Reports](#) [IRAP](#)

Research Administration > Office of Sponsored Programs > Guidance > Submissions

Required Documents

Find Required Documents

Criteria	Options
Area	Industry ▼
Mechanism	Industry and Investigator Initiated Clinical Trials ▼
Type	Original/New ▼
<input type="button" value="Find"/> <input type="button" value="Reset"/>	


Required Documents

- **UAB Extramural Support Checklist** - Sponsor information required.
- **Responsible Personnel List (RPL)**
- Agreement (editable Word version)
- Budget (draft or final)
- Protocol / HSP
- Informed Consent (draft or final)
- If Applicable:
 - Approval Letter from CRU - Clinical Research Unit
 - Investigator Agreement
 - Letter of Indemnification
- Device Trials Only:
 - Hospital Letter of Agreement

For more information regarding submitting to OSP, please review our **Federal** and **Industry** submission pages.

Find your officer/specialist

UAB Research

Search OSP...

UAB Quicklink

UAB ResearchHomeAboutGuidanceFormsFAQTrainingReportsIRAPCDABack

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Quicklinks

Forms

Extramural Checklist

Expedited Checklist

Responsible Personnel List

General Information

OSP Review Plan

Required Documents

Facilities and Administrative (F&A) Costs

OSP Staff

Fee for Service Decision Tree

Submissions

Standards / Compliance

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Complete all applicable fields based on your submission type (e.g., proposal or contract). Information must be submitted prior to the submission deadline. For more information, see the [UAB Office of Sponsored Programs](#) and the [OSP Website](#). Please use this checklist form along with any required attachments to the Office of Sponsored Programs of [UAB](#). If this form is completed for a Confidentiality Exclusion Agreement (CEA), please submit to [osp@uab.edu](#).

Extramural & Expedited Checklists Updated!

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NIH Notices – August 2, 2019


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NIH Notices – July 26, 2019


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Reminder - Please take the IRAP Research Administration System Survey

Featured Pages

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 OSP Training Opportunities

Take a look at the latest training opportunities provided by the Office of Sponsored Programs for UAB's research community.

Funding Opportunities

Discover upcoming deadlines for extramural funding opportunities by logging in to IRAP using your BlazerID with strong password and clicking:

 Find Funding

UAB THE UNIVERSITY OF ALABAMA AT BIRMINGHAM.

Office of Sponsored Programs

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Find your officer/specialist



Contact Us

OSP staff responsibilities are aligned based on sponsor types as well as UAB Departments and Divisions. This will help you identify the appropriate contact(s) when you need assistance in proposal preparation or help with post award issues and questions. **Use the tool below to find your officer or specialist, or search by officer name, supported org, or specialization in the search box at the top right of the page. Clicking on person names will redirect to individual person pages.**

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Teams

Management

Federal

Industry

Non-Profit & Foundation

State & Local

Data Management

All OSP Staff

Find Your OSP Officer or Specialist

Select a unit / department to see assigned OSP officers and specialists.

Ophthalmology

Federal Grant Officer (RPPR Routing)	Federal, State & Local Contract Officer	Not-for-Profit / Foundation Officer	Industry Officer	Federal Grant Specialist	Not-for-Profit / Foundation Specialist	Industry Specialist
Joan Conway	Brad Smelser	Jessica Burgess	Nicole Watson	Jessica Jackson	Bobby Walsh	Kasondra Crews

Management Staff

Associate Vice President

Associate Directors

Last Modified: 08/09/2019

OSP Submissions

- Our goal: assist faculty in submitting successful proposals
- Every proposal is submitted during regular business hours no matter when it comes in
- Review may be different depending on timing of submission (particularly for deadline-driven proposals)
 - Currently for full review, OSP requires full proposal submitted 7 days before sponsor deadline (return final 2 days before deadline for submission)
 - Will change in January - check OSP website for updates

What happens if my submission is incomplete?

- Returned to you
- Not put in the queue (not considered “on time”)
- Risk not being able to submit to sponsor on time if deadline driven

How does OSP prioritize submissions?

- First in, first out in order to be fair to all PIs
- Late submissions to OSP will affect review of proposals and submission to the funding agency

Registrations and roles for Federal Agencies

- UAB already registered as applicant organization in Grants.gov, eRA Commons, Fastlane, etc.
- OSP grants and contracts officers have Authorized Organization Representative (AOR) role and the Signing Official (SO) role
- OSP officers represent Melinda Cotten, Associate VP of Research Business Operations, Authorized University Official
- Principal Investigators (PIs) (mentors), postdocs, chairpersons, deans not considered authorized university officials
- OSP officers assign roles for PD/PI, Assistant (ASST), postdocs, trainees, grad students, undergrad students as required by sponsors

Where to find eRA Commons account form


UAB Research

eRA Commons

UAB Quicklinks

[UAB Research](#) [Home](#) [About](#) [Guidance](#) [Forms](#) [FAQ](#) [Training](#) [Reports](#) [IRAP](#) [CDA](#) [Feedback](#)

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Now Available!
Metrics | Charts
Graphs

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Quicklinks

- Forms
- Extramural Checklist
- Expedited Checklist
- Responsible Personnel List
- General Information
- OSP Review Plan
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- Facilities and Administrative (F&A) Costs
- OSP Staff
- Fee for Service Decision Tree
- Submissions
- Standards / Compliance

Recent News

Featured Pages

eRA Commons account request form

ERA COMMONS ACCOUNT REQUEST

Grants Only

I AM REQUESTING TO:

- ☐ Obtain a new eRA Commons account.
- ☐ Add a role to my existing eRA Commons ID. My eRA Commons ID is:
- ☐ Affiliate my eRA Commons ID with UAB. My eRA Commons ID is:
- ☐ Un-affiliate my eRA Commons ID with UAB. My eRA Commons ID is:
- ☐ Verify if I have an eRA Commons ID.
- ☐ Reset my password. My eRA Commons ID is:

SELECT THE ERA COMMONS USER ROLE TO BE ADDED:

eRA Commons User Role Description

- ☐ Principal Investigator (PI)
- ☐ Assistant (ASST)
- ☐ Post-Doctoral (Post-Doc)
- ☐ Trainee
- ☐ Graduate Student
- ☐ Undergraduate Student
- ☐ Project Personnel
- ☐ Scientist
- ☐ Sponsor

FOR NEW ACCOUNTS, COMPLETE THE INFORMATION BELOW:

First Name		MI	
Last Name		UAB BlazerID	
Department		UAB Email	
UAB Job Title		UAB Phone #	

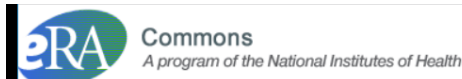
COMPLETE THE STEPS BELOW:

1. Email your eRA Commons Account Setup Request to osp@uab.edu or fax it to 975-5977.

Complete steps 2 – 5 within 72 hours of account initiation or the account will expire!

2. **eRA Commons** will send an initial email containing your username once OSP has created your Commons ID.
3. **eRA Commons** will send a second email containing a system generated password.
4. Click on the link. Enter your username and the system generated password.
5. You will be required to enter a new password. Enter a password that meets the system requirements and your account will be active.

eRA Commons



Commons Login ?

*Required field(s)

*Username

uabmscott

*Password

••••••••••

Login Reset

(For External Users Only)
[Forgot Password/Unlock Account?](#)

[Submit Service Desk Ticket](#)

Federated Institutions/Organizations ?

Select.. Sign in

Federal User Login [Here](#)

eRA Service Desk

Hours: Mon-Fri, 7AM-8PM EDT/EST

Web: <http://grants.nih.gov/support>

Toll-free: 866-504-9552

Phone: 301-402-7469

Contact initiated outside of business hours via Web or voice mail will be returned the next business day.

Welcome to the Commons

System Notification Message

All systems are currently available

Note: Effective March 22, 2018: If you are registering a new entity in SAM.gov, you must provide an original, signed [notarized letter](#) stating that you are the authorized Entity Administrator before your registration will be activated. Read [FAQs](#) to learn more about this process change.

Scheduled Commons Maintenance: For maintenance information, see the [eRA Scheduled Maintenance Calendar](#).

Support Related Resources

- **Electronic Submission:** Learn about the most frequent application errors at [Avoiding Common Errors](#).
- **Electronic Application Submission:** To learn about completing and submitting an electronic application and access helpful resources, visit the [Applying Electronically website](#).
- **eRA Home Page:** To find Commons [FAQs](#), [User Guides](#), training materials, and step-by-step instructions for performing tasks in Commons, visit the [eRA website](#).

Commons Related Resources

- **Reference Letters:** To submit a reference letter when requested by an applicant, please follow this link: [Submit Reference Letter](#).
- **Demo Facility:** [Demo Facility](#) allows you to try most of the capabilities of the NIH eRA Commons in a sample environment.

Privacy Act Statement

You are accessing a U.S. Government information system, which includes (1) this computer, (2) this computer network, (3) all computers connected to this network, and (4) all devices and storage media attached to this network or to a computer on this network. This information system is provided for U.S. Government-authorized use only.

Unauthorized or improper use of this system may result in disciplinary action, as well as civil and criminal penalties.

By using this information system, you understand and consent to the following:

1. You have no reasonable expectation of privacy regarding any communication or data transiting or stored on this information system. At any time, and for any lawful Government purpose, the government may monitor, intercept, and search and seize any communication or data transiting or stored on this information system.

2. Any communication or data transiting or stored on this information system may be disclosed or used for any lawful Government purpose.

Register Grantee Organization

About the Commons

- [Frequently Asked Questions](#)
- [Archived Release Notes](#)

Additional Links

- [RePORT](#)
- [Grants.gov](#)
- [iEdison](#)
- [National Institutes of Health](#)
- [Public Access Policy Page](#)
- [Loan Repayment Program](#)
- [Commons Quick Queries](#)

Follow instructions in FOA

announcement will not consider applications for funding. Consultation with NIH staff before submitting an application is strongly encouraged.

Funding Opportunity Title

Mentored Patient-Oriented Research Career Development Award (Parent K23 – Independent Clinical Trial Not Allowed)

Activity Code

K23 Mentored Patient-Oriented Research Career Development Award

Announcement Type

Reissue of [PA-18-375](#)

Related Notices

- **August 23, 2019** - Clarifying Competing Application Instructions and Notice of Publication of Frequently Asked Questions (FAQs) Regarding Proposed Human Fetal Tissue Research. See Notice [NOT-OD-19-137](#).
- **July 26, 2019** - Changes to NIH Requirements Regarding Proposed Human Fetal Tissue Research. See Notice [NOT-OD-19-128](#).
- **July 31, 2019** - Notice of NIAAA Data-Sharing Policy for Human Subjects Grants Research Funded by the National Institute on Alcohol Abuse and Alcoholism (NIAAA) [2nd Revision]. See Notice [NOT-AA-19-020](#).
- **July 22, 2019** - Requirement for ORCID IDs for Individuals Supported by Research Training, Fellowship, Research Education, and Career Development Awards Beginning in FY 2020. See Notice [NOT-OD-19-109](#).
- **May 13, 2019** - NIGMS-Managed HIV/AIDS Research Portfolio Transitioning to NIAID. See Notice [NOT-GM-19-039](#).
- **April 25, 2019** - Notice of Change in the NEI K23 Eligibility Requirements. See Notice [NOT-EY-19-027](#).
- **January 14, 2019** - Notice of Change in the NEI K23 Eligibility Requirements. See Notice [NOT-EY-19-009](#).
- **January 4, 2019** - Notice of NIMHD Participation in PA-19-119. See Notice [NOT-MD-19-011](#).

Funding Opportunity Announcement (FOA) Number

PA-19-119

Companion Funding Opportunity

[PA-19-118](#)

Number of Applications

See [Section III. 3. Additional Information on Eligibility](#).

Catalog of Federal Domestic Assistance (CFDA) Number(s)

93.213, 93.867, 93.233, 93.837, 93.838, 93.839, 93.840, 93.866, 93.273, 93.855, 93.846, 93.286, 93.865, 93.279, 93.173, 93.121, 93.847, 93.113, 93.859, 93.242, 93.853, 93.361, 93.307

Funding Opportunity Purpose

The purpose of the NIH Mentored Patient-Oriented Research Career Development Award (K23) is to support the career development of individuals with a clinical doctoral degree who have made a commitment to focus their research endeavors on patient-oriented research.

Pay close attention to application and submission instructions in Section IV

Section IV. Application and Submission Information

1. Requesting an Application Package

The application forms package specific to this opportunity must be accessed through ASSIST, Grants.gov Workspace or an institutional system-to-system solution. Links to apply using ASSIST or Grants.gov Workspace are available in [Part 1](#) of this FOA. See your administrative office for instructions if you plan to use an institutional system-to-system solution.

2. Content and Form of Application Submission

It is critical that applicants follow the Career Development (K) Instructions in the [SF424 \(R&R\) Application Guide](#), except where instructed in this funding opportunity announcement to do otherwise. Conformance to the requirements in the Application Guide is required and strictly enforced. Applications that are out of compliance with these instructions may be delayed or not accepted for review.

Page Limitations

All page limitations described in the SF424 (R&R) Application Guide and the [Table of Page Limits](#) must be followed.

Instructions for Application Submission

The following section supplements the instructions found in the SF 424 (R&R) Application Guide and should be used for preparing an application to this FOA.

SF424(R&R) Cover

All instructions in the SF424 (R&R) Application Guide must be followed.

SF424(R&R) Project/Performance Site Locations

All instructions in the SF424 (R&R) Application Guide must be followed.

Other Project Information

All instructions in the SF424 (R&R) Application Guide must be followed.

SF424(R&R) Senior/Key Person Profile Expanded

All instructions in the SF424 (R&R) Application Guide must be followed.

R&R Budget

All instructions in the SF424 (R&R) Application Guide must be followed.

PHS 398 Cover Page Supplement

All instructions in the SF424 (R&R) Application Guide must be followed.

PHS 398 Career Development Award Supplemental Form

The PHS 398 Career Development Award Supplemental Form is comprised of the following sections:

Candidate

Research Plan

Other Candidate Information

Mentor, Co-Mentor, Consultant, Collaborators

Environment & Institutional Commitment to the Candidate

Other Research Plan Sections

Appendix

NIH Instruction Guides

FORMS VERSION E SERIES

Released: September 25, 2017

Revised: December 7, 2018



CAREER DEVELOPMENT INSTRUCTIONS FOR NIH AND OTHER PHS AGENCIES

SF424 (R&R) APPLICATION PACKAGES

Guidance developed and maintained by NIH for preparing and submitting applications via Grants.gov to NIH and other PHS agencies using the SF424 (R&R)



Additional Instructions for Career Development:

General Reminders about K Awards

- Mentored K award recipients must devote minimum of 75% effort toward research and career development activities
- NOT-OD-17-094 - Recipient institution may supplement NIH or AHRQ salary contribution on K awards up to level consistent with institution's salary scale
 - *For effort directly committed to the K award*, salary supplementation is allowable, but must be from non-federal sources (including institutional sources). Non-federal or institutional supplementation of salary must not require extra duties or responsibilities that would interfere with the goals of K award.
 - *For effort not directly committed to K award*, K award recipients may devote effort, with compensation, on federal or non-federal sources as Program Director/Principal Investigator (PD/PI) or in another role (e.g., co-Investigator), as long as specific aims of other supporting grant(s) differ from those of K award.
- Facilities and Administrative (F&A) Cost Rate (indirect cost rate) – 8%

General Reminders about K Awards

- Letters of Support (submitted in application) versus Reference Letters (submitted through eRA Commons)

Delayed Onset Study

Note: **Delayed onset** does NOT apply to a study that can be described but will not start immediately (i.e., delayed start).

All instructions in the SF424 (R&R) Application Guide must be followed.

PHS Assignment Request Form

All instructions in the SF424 (R&R) Application Guide must be followed.

Reference Letters

Candidates must carefully follow the SF424 (R&R) Application Guide, **including the time period for when reference letters will be accepted**. Applications lacking the appropriate required reference letters will not be reviewed. This is a separate process from submitting an application electronically. Reference letters are submitted directly through the [eRA Commons Submit Reference Information link](#) and not through Grants.gov.

3. Unique Entity Identifier and System for Award Management (SAM)

See Part 1, Section III.1 for information regarding the requirement for obtaining a unique entity identifier and for completing and maintaining active registrations in System for Award Management (SAM), NATO Commercial and Government Entity (NCAGE) Code (if applicable), eRA Commons, and Grants.gov.

4. Submission Dates and Times

Part I. Overview Information contains information about Key Dates and Times. Applicants are encouraged to submit applications before the due date to ensure they have time to make any application corrections that might be necessary for successful submission. When a submission date falls on a weekend or **Federal holiday**, the application deadline is automatically extended to the next business day.

Organizations must submit applications to [Grants.gov](#) (the online portal to find and apply for grants across all Federal agencies) using ASSIST or other electronic submission systems. Applicants must then complete the submission process by tracking the status of the application in the [eRA Commons](#), NIH's electronic system for grants administration. NIH and Grants.gov systems check the application against many of the application instructions upon submission. Errors must be corrected and a changed/corrected application must be submitted to Grants.gov on or before the application due date, and time. If a Changed/Corrected application is submitted after the deadline, the application will be considered late. Applications that miss the due date and time are subjected to the NIH Policy on Late Application Submission.

Applicants are responsible for viewing their application before the due date in the eRA Commons to ensure accurate and successful submission.

Information on the submission process and a definition of on-time submission are provided in the SF424 (R&R) Application Guide.

5. Intergovernmental Review (E.O. 12372)


This initiative is not subject to [intergovernmental review](#).


6. Funding Restrictions

All NIH awards are subject to the terms and conditions, cost principles, and other considerations described in the [NIH Grants Policy Statement](#).

Pre-award costs are allowable only as described in the [NIH Grants Policy Statement](#).

NIH ASSIST submission portal

**ASSIST**
Sponsored by the National Institutes of Health



Login

User Name

Password

[Forgot Password/Unlock Account?](#)

Federated Institutions/ Organizations

Select Login Here

Alert: If you are experiencing an issue with logging into the system, please reset your password through "Forgot Password" and delete the temporary internet files and cookies in your web browser. Close all web browser windows and open a new browser window. If you continue to experience problems, please contact the eRA Service desk at Toll-free: 866-504-9552.

Submit applications electronically to NIH and other Public Health Service Agencies...

The Application Submission System & Interface for Submission Tracking (ASSIST) system is used to prepare and submit applications electronically to NIH and other Public Health Service agencies. Prior to using ASSIST, applicants should identify a Funding Opportunity Announcement (FOA) to which they'd like to apply. FOAs are posted in the NIH Guide for Grants & Contracts and/or in Grants.gov each of which has robust search capabilities. The FOA text will indicate whether ASSIST can be used to apply to that opportunity. You will need the FOA number (e.g., PA-XX-XXX or LTC-ABCD-XX-000) to initiate an application.

Active Grants.gov and eRA Commons credentials are required to prepare and submit applications using ASSIST.



WARNING NOTICE:

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Unauthorized or improper use of this system may result in disciplinary action, as well as civil and criminal

Need Help?

Resources

-  [APPLICATION GUIDE](#)
-  [ASSIST USER GUIDE](#)

Submission Process for Federal Grant Proposals

Step 1

UAB Extramural Support Checklist

Responsible Personnel List



osp@uab.edu

Submission Process for Federal Grant Proposals

Step 2



**Refer to the sponsor's instructions for completing the application in the sponsor portal

OSP Process

- Required Documents to osp@uab.edu



OSP Creates Proposal Record
in Integrated Research
Administration Portal (IRAP)



Action Items Sent to Officer in
OSP
(example: Ready for Review)

Officer reviews
application in
sponsor portal

Where to find UAB Extramural Support Checklist and Responsible Personnel List (RPL)

University of Alabama at Birmingham [US] | <https://www.uab.edu/research/administration/offices/OSP/Pages/default.aspx>

UAB Research

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UAB Quicklink

UAB Research

Home

About ▾

Guidance ▾

Forms

FAQ

Training ▾

Reports ▾

IRAP ▾

CDA

Feedback

Office of Sponsored Programs

Find Required Documents

Criteria	Options
Area	Federal ▾
Mechanism	Federal Grant ▾
Type	Original/New ▾
<input type="button" value="Find"/> <input type="button" value="Reset"/>	

Use our new Document Finder
to discover your
required documents...

Required Documents

- UAB Extramural Support Checklist
- Responsible Personnel List (RPL)
- Completed Application via OSP Dropbox or sponsor portal (e.g. ASSIST, Fastlane)
- RFA or PAI (provided on checklist)
- Institutional Commitment Letters (if applicable)

FAST!

.....

Delivery Address	Mailing Address	Phone / Email	Hours
701 20th Street South Administration Building 1170	UAB OSP Administration Building 1170	Phone: (205) 934-5266 Fax: (205) 975-5977	Days: Monday - Friday

Quicklinks

Forms

Extramural Checklist

Expedited Checklist

Responsible Personnel List

General Information

OSP Review Plan

Required Documents

Facilities and
Administrative (F&A) Costs

OSP Staff

Fee for Service Decision
Tree

Purpose of UAB Extramural Support Checklist

- Provides basic information regarding project for review
- Ensures all compliance obligations have been identified, considered and met (or pending)
- Provides approvals necessary for submitting applications for external funding
- Provides information for reporting purposes (institutional databases used for reporting on institutional, school, department, and faculty metrics)

Reminders about Extramural Support Checklist

- Always access forms on OSP website (updated periodically) before downloading to desktop – avoid recycling downloads
- Submit all required attachments with your submission
- Review instructions as you are completing the checklist
- If incomplete, submission will be returned and not considered “on time”

Sponsor Portal

OSP Review

(1) PD/PI; Submitting Unit; Graduate Student Fellowship; VA-IPA Assignee; Trainee/Assignee

UAB EXTRAMURAL SUPPORT CHECKLIST

Complete all applicable fields based on your submission type (e.g. proposal or contract).

All submissions must be submitted [electronically](#) in accordance with the [OSP Review Plan](#).

For additional information, please see references at [UAB Extramural Support Checklist Instructions and Glossary](#) and [Required Documents](#).

<input type="checkbox"/> N/A	Sponsor Portal:		Sponsor Portal Application #:		OSP Review:		<input type="checkbox"/> Complete	<input type="checkbox"/> Limited	
1	PD/PI UAB PI Policy	Last Name:	First Name:		MI:				
		BlazerID:	Phone:	Email:					
	Street Address:								
	Submitting Unit	School:	Dept:		Div:				
	<i>The submitting unit should normally be the primary appointment of the Principal Investigator, not a Center.</i>								
Graduate Student Fellowship?		<input type="checkbox"/> No	<input type="checkbox"/> Yes	VA-IPA Assignee?		<input type="checkbox"/> No	<input type="checkbox"/> Yes		
Trainee / Assignee	Last Name:	First Name:		MI:					
	BlazerID:	Phone:	Email:						

(2) Funding Source/Sponsor

(3) CFDA #; Single IRB

(4) Submission Type

2	Funding Source/Sponsor:			
	<input type="checkbox"/> N/A	If pass through award, indicate Originating Sponsor:		
3	<input type="checkbox"/> N/A	CFDA # (if applicable):		
				Will this project utilize Single IRB ? <input type="checkbox"/> No <input type="checkbox"/> Yes
4	Submission Type:		<p>* The Responsible Personnel List (RPL) is required (1) for all new applications (submission types of Original/New; Competing Continuation/Renewal; Transfer In; Change in PI; Resubmission; or Fee for Service) and (2) at any time there is a change in Responsible personnel on a sponsored project.</p> <p>Note that for program projects/center grants (P series grants), a separate RPL is required for each subproject. The RPL should not be submitted for the parent or overall project of a program project.</p>	
	<input type="checkbox"/> Original/New * <input type="checkbox"/> Fee for Service * <input type="checkbox"/> Transfer In * <input type="checkbox"/> Study Startup Agreement <input type="checkbox"/> Resubmission * <input type="checkbox"/> Competing Continuation/Renewal * <input type="checkbox"/> Change in PI * <input type="checkbox"/> Amendment/Modification <input type="checkbox"/> Supplement/Revision <input type="checkbox"/> Transfer Out	Previous OSP#: <input type="text"/> Original OSP#: <input type="text"/> Current OSP#: <input type="text"/> Current OSP#: <input type="text"/> Current OSP#: <input type="text"/> Current OSP#: <input type="text"/>	Start Date: <input type="text"/> Previous PI: <input type="text"/> Change Date: <input type="text"/> If awarded, Sponsor Award #: <input type="text"/> If awarded, Sponsor Award #: <input type="text"/> If awarded, Sponsor Award #: <input type="text"/>	

(5) Sponsor Deadline Date

(6) On Campus/Off Campus

(7) Performance Sites

(8) Cost Sharing

|

5	<input type="checkbox"/> N/A	Sponsor Deadline Date:		Do not include a deadline date for industry contracts. Instead, mark N/A.
6	Is this project being conducted: <input type="checkbox"/> On-Campus <input type="checkbox"/> Off-Campus If more than 50% of UAB's portion of the project is performed off-campus, the off-campus F&A rate will apply to the entire project.			
7	Check all performance sites, as applicable: <div> <input type="checkbox"/> UAB Research Lab/Non-Clinical Office <input type="checkbox"/> VA <input type="checkbox"/> Children's Hospital </div> <div> <input type="checkbox"/> UAB Highlands <input type="checkbox"/> Kirklin Clinic (including outlying clinics) <input type="checkbox"/> UAB Hospital </div> <div> <input type="checkbox"/> Callahan Eye Foundation <input type="checkbox"/> Off-Campus or Other Location: </div>			
8	Will there be cost sharing? <input type="checkbox"/> No <input type="checkbox"/> Yes If there will be Cost Sharing, indicate the type: <input type="checkbox"/> Mandatory <input type="checkbox"/> Mandatory and Voluntary Committed <input type="checkbox"/> Voluntary Committed Complete the appropriate cost sharing forms, as applicable: Cost Sharing Commitment Form or In Kind Cost Sharing Contribution Report .			

(9) Project Title

(10) Contacts: Award Manager, Primary/Secondary

(11) Renovation

9	Project Title – Include the complete title, no abbreviations. The title must match the protocol title for clinical trial agreements.						
10	Award Manager	Last Name:		First Name:		MI:	
		BlazerID:		Phone:		Email:	
	Primary Contact	Last Name:		First Name:		MI:	
		BlazerID:		Phone:		Email:	
	Secondary Contact	Last Name:		First Name:		MI:	
		BlazerID:		Phone:		Email:	
11	Does this project involve any renovation as part of a sponsored project? <input type="checkbox"/> No <input type="checkbox"/> Yes		If you selected “yes”, Facilities Planning (4-1219) must sign this checklist.				

(12) International involvement

(13) Project Keywords

12	<input type="checkbox"/> N/A If this project has international involvement, check all that apply and list the country(ies) below.			
	<input type="checkbox"/> International Sponsor		<input type="checkbox"/> International Subcontractor	
	<input type="checkbox"/> Activities in foreign country/countries			
	Indicate foreign country(ies):			

13	Project Keywords			
	A:	B:	C:	D:

(14) Grants Accounting

(15) Billing/Collection Responsibility

(16) Funds leaving UAB

14	Grants Accounting Financial Management Affiliation. Department and Organization # are <i>required</i> .				
	Dept:	<input type="checkbox"/> N/A	Div:	ORG#:	
15	Billing/Collection Responsibility Designation, if applicable:		<input type="checkbox"/> Department (PI/Award Manager) <input type="checkbox"/> Grants and Contracts Accounting (GCA)		
	<input type="checkbox"/> N/A	Address to Receive Payment:			
16	Will funds be leaving UAB?	<input type="checkbox"/> Yes <input type="checkbox"/> No	If yes, will the funds be for a:	<input type="checkbox"/> Subaward/Subcontract? <input type="checkbox"/> Consultant?	How many subawards/subcontracts? <input type="text"/>

(17) Announcement ID

(18) Program Name

(19) Purpose (Program Type)

(20) Instrument Type

(21) Activity Description

17	<input type="checkbox"/> N/A	Announcement ID No. (e.g. RFA/PA, RFP, BAA, etc. or other solicitation number assigned by the sponsor):		
18	<input type="checkbox"/> N/A	Program – Include the specific program name to which proposal is being submitted. Include URL address if applicable.		
19	Purpose (Program Type):	<input type="checkbox"/> Sponsored Research	<input type="checkbox"/> Sponsored Instruction	<input type="checkbox"/> Other Sponsored Activities
20	Instrument Type:	<input type="checkbox"/> Grant	<input type="checkbox"/> Contract	
21	Activity Description:	<input type="checkbox"/> Non-Sponsor Funded Research – Entity Providing Product/Material/Equipment <input type="checkbox"/> Individual <input type="checkbox"/> Individual Training <input type="checkbox"/> Cooperative Agreement <input type="checkbox"/> Compassionate Use Agreement <input type="checkbox"/> Program/Center <input type="checkbox"/> Institutional Training <input type="checkbox"/> Equipment <input type="checkbox"/> Research Collaboration <input type="checkbox"/> STTR <input type="checkbox"/> SBIR <input type="checkbox"/> Educational Activity (e.g. CPE)		

(22) CCTS Research Type

(23) Sponsor/Contract Research Organization (CRO)

Source of Protocol

Clinical Trial information

IND #/ IDE

22	CCTS Research Type:	<input type="checkbox"/> Clinical Research		<input type="checkbox"/> Translational Research		<input type="checkbox"/> Not Applicable				
23	Complete all applicable questions below regardless of sponsor type or activity description:									
<i>Sponsor / Contract Research Organization (CRO)</i>		<input type="checkbox"/> N/A	CRO Name:							
		<input type="checkbox"/> N/A	Sponsor/CRO Contact Info		Full Name:		Email:			
		<input type="checkbox"/> N/A	Sponsor/CRO Reference # for project:							
Source of Protocol/SOW/Research Plan:										
<input type="checkbox"/> Sponsor Provided/Written Protocol		<input type="checkbox"/> UAB Investigator Initiated		<input type="checkbox"/> Non-UAB Investigator Initiated		<input type="checkbox"/> N/A				
Is this project a clinical trial?		<input type="checkbox"/> No	<input type="checkbox"/> Yes	Funding Source's Protocol #:						
<input type="checkbox"/> N/A	Phase:	<input type="checkbox"/> I	<input type="checkbox"/> I/II	<input type="checkbox"/> II	<input type="checkbox"/> II/III	<input type="checkbox"/> III	<input type="checkbox"/> III/IV	<input type="checkbox"/> IV	<input type="checkbox"/> Post IV	<input type="checkbox"/> No Phase
<input type="checkbox"/> N/A	IND #:				<input type="checkbox"/> N/A	IDE #:				

(24) Requested Project Period Dates

(25) Requested Funding

(26) F&A Information

(27) Related Agreements

(28) Export Control Decision Tree

24	Requested Project Period Dates		From:		To:	
25	Requested Funding	Direct: F&A: Total: F&A Rate: %	F&A Rate Basis <input type="checkbox"/> MTDC <input type="checkbox"/> TDC <input type="checkbox"/> Clinical <input type="checkbox"/> Fee for Service			
F&A rates must be in accordance with the applicable rate agreement: F&A Rate (Indirect Cost) or Clinical Trials Indirect Cost Rate .						
26	Will F&A costs be allocated to or shared with a unit other than the unit of the PI/PD's primary appointment? <input type="checkbox"/> No <input type="checkbox"/> Yes If yes, complete and attach the UAB Facilities and Administrative Cost (IDC) Revenue Redistribution Agreement .					
27	<input type="checkbox"/> N/A Related Agreements – If this project is related to any of the agreement types below, please check applicable boxes and provide the proposal number.					
	<input type="checkbox"/> Project Master Agreement <input type="checkbox"/> Study Startup Agreement <input type="checkbox"/> Other OSP#	PMA# SSA#	<input type="checkbox"/> Confidentiality Disclosure Agreement <input type="checkbox"/> Pre-Application <input type="checkbox"/> Other # (e.g., MTA #, etc.)	CDA# OSP#	#	
28	I have reviewed the Export Control Decision Tree on the University Compliance Office Export Control website and answered: <input type="checkbox"/> No to every question <input type="checkbox"/> Yes to at least one question					
If you answered yes above, an export license may be required before you ship, transmit or transfer the item or information. Please contact University Compliance Office Export Control for further determination.						

Sections 29 & 30

Intellectual Property

29	Existing Intellectual and/or Tangible Property		
a.) Will you use any existing intellectual property ¹ in the conduct of the proposed project? <input type="checkbox"/> No <input type="checkbox"/> Yes If yes, please briefly describe the existing intellectual property being used (including UABRF IPD number, if applicable):			
<table border="1" style="width: 100%;"> <tr> <td style="width: 15%; text-align: center;">Existing Property:</td> <td></td> </tr> </table>		Existing Property:	
Existing Property:			
Please also indicate if the existing intellectual property was developed by... <input type="checkbox"/> only UAB employee(s) (including UAB employee(s) other than you) <input type="checkbox"/> UAB employee(s) jointly with employee(s) of an outside entity <input type="checkbox"/> only by employee(s) of an outside entity If applicable, please identify the relevant outside entity(ies):			
<table border="1" style="width: 100%;"> <tr> <td style="width: 15%; text-align: center;">Outside Entity:</td> <td></td> </tr> </table>		Outside Entity:	
Outside Entity:			
b.) Will you use any existing tangible property ² in the conduct of the proposed project? <input type="checkbox"/> No <input type="checkbox"/> Yes If yes, please briefly describe the existing tangible property being used (including UABRF IPD number, if applicable):			
<table border="1" style="width: 100%;"> <tr> <td style="width: 15%; text-align: center;">Existing Property:</td> <td></td> </tr> </table>		Existing Property:	
Existing Property:			
Please also mark all of the following statements that apply. The existing tangible property to be used... <input type="checkbox"/> was (or will be) obtained from an outside entity <input type="checkbox"/> was developed by UAB employee(s) jointly with employee(s) of an outside entity <input type="checkbox"/> was developed by UAB employee(s) ... <input type="checkbox"/> with the use of tangible property obtained from an outside entity <input type="checkbox"/> with funding from an outside entity <input type="checkbox"/> without funding or use of tangible property obtained from an outside entity If applicable, please identify the relevant outside entity(ies):			
<table border="1" style="width: 100%;"> <tr> <td style="width: 15%; text-align: center;">Outside Entity:</td> <td></td> </tr> </table>		Outside Entity:	
Outside Entity:			
<p>¹ "Existing intellectual property" can include existing datasets, as well as any other intangible property potentially protectable by patent (e.g., novel compositions, devices, methods, etc.) or copyright (e.g., written works, images, etc.). Please note that you <u>do not</u> need to list (i) the sponsor's intellectual property rights in its own products or methods, or (ii) the research plan or protocol.</p> <p>² "Existing tangible property" can include research tools (such as antibodies, vectors, plasmids, cell lines, and animal models), other biological materials (such as clinical samples), and equipment. Please note that you <u>do not</u> need to list (i) general lab or clinical supplies that have been purchased commercially (unless associated with a "limited use license" or other such restriction on use), or (ii) any tangible property to be obtained from the sponsor of the project.</p>			
30	Intellectual Property Declaration – Check the appropriate box.		
<input type="checkbox"/> I plan to participate in this project regardless of the intellectual property terms in the agreement. I understand and agree that if the sponsor requires ownership of, or a royalty-free license to, inventions developed by me and/or other UAB employees during this project, (i) UAB will not receive any financial consideration arising from the sponsor's commercial exploitation of the UAB-developed invention(s), and (ii) as a result, neither I nor any other UAB employee who has made an inventive contribution to the invention(s) will be entitled to receive any of the financial consideration that might otherwise be allocated to us in accordance with the UAB patent policy. <input type="checkbox"/> I will not participate in this project if UAB is unable to ensure that ownership rights to all inventions developed by me and/or all other UAB employees during this project remain with UAB/UABRF, or if UAB is unable to retain its right to receive financial consideration arising from commercial exploitation of such inventions.			

Certifications and Signatures

Program Director/Principal Investigator (PD/PI) Certifications and Signatures

I certify as PD/PI, by completing this form:

- I am aware of the [University's Patent Policy](#) and agree to comply with its terms;
- I am aware of the [UAB Enterprise Conflict of Interest and Conflict of Commitment Policy](#) and the [Responsible Personnel list and Instructions](#) and agree to comply with the terms and requirements respectively.
- All appropriate individuals and units of UAB or other institutions have been informed of any involvement or changed involvement they have in this project;
- All sub recipients are able to perform the work assigned to them;
- I have ensured that information submitted within the application is true, complete and accurate to the best of my knowledge;
- I have not been debarred, am not aware of any investigation that could lead to my disbarment and hereby consent to a background check;
- I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties; and
- As PD/PI, I agree to accept responsibility for the scientific conduct of the project and to provide the required progress reports if a project is awarded as a result of this submission.

NOTE: Projects involving Centers must have the signature of the Department Chair and Dean of the Principal Investigator's primary faculty appointment. The submitting unit, in accordance with number 1 on page 1, should normally be the primary appointment of the Principal Investigator, not a Center.

<p>X _____ Program Director/Principal Investigator PI's signature is required. No "per" signatures allowed.</p> <p>_____ Printed Name</p>	<p>_____ Date</p>	<p>For NIH projects with Multiple Principal Investigators, this should be the Contact PI.</p>
<p>X _____ Program Director/Principal Investigator</p> <p>_____ Printed Name</p>	<p>_____ Date</p>	<p>For NIH projects with Multiple PD/PI's, NIH requires signature from all individuals serving in this role (PD/PI). This is not required of Co-Investigators.</p>
<p>X _____ Program Director/Principal Investigator</p> <p>_____ Printed Name</p>	<p>_____ Date</p>	<p>If required by Department.</p>
<p>X _____ Division Director</p> <p>_____ Printed Name</p>	<p>_____ Date</p>	<p>Facilities & Planning (as applicable per #11)</p>
<p>X _____ Facilities & Planning</p> <p>_____ Printed Name</p>	<p>_____ Date</p>	<p>The Department Chair of the primary faculty appointment of the principal investigator approves submissions of the project, including new space or renovation and new personnel, and certifies that new equipment requested does not unnecessarily duplicate existing resources.</p>

This section below is applicable if the project involves any of the following (please check all that apply):

- ☐ Cost Sharing (attach the cost sharing commitment form)
 ☐ CME / CPE
 ☐ New Faculty Positions
 ☐ Additional Space
 ☐ Transfer Out

<p>X _____ Dean</p> <p>_____ Printed Name</p>	<p>_____ Date</p>	<p>The Dean approves submissions of the project including new programs, space, and renovation and assures that: a) new programs requiring approval of Provost, the President or the Chancellor have been submitted for appropriate review and approval; b) new space requirements have received approval of the Provost; and c) agreement between or among the appropriate deans has been reached if collaboration among schools requiring sharing of indirect cost reimbursement is involved.</p>
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Principal Investigator (PI) guidelines

- Training/fellowship grants
 - Externally – Applicant considered PI (when required by sponsor)
 - Internally – UAB mentor is considered PI

Where do I submit non-federal projects for review?

- Submit to: osp@uab.edu
- If there is a portal (example: non-profit portal), provide access information to OSP officer

Where to go for assistance

- Get to know your departmental administrator(s)
- Get to know your OSP officer

Remember

- Do not sign anything
- OSP office has signature authority for UAB
- Departmental & divisional approval required
- Must submit through OSP

Contact us

Delivery Address	Mailing Address	Phone / Email	Hours
701 20th Street South Administration Building 1170 Birmingham, AL 35233	UAB OSP Administration Building 1170 1720 2nd Avenue South Birmingham, AL 35294-0111	<u>Phone:</u> (205) 934-5266 <u>Fax:</u> (205) 975-5977 <u>Email:</u> osp@uab.edu askosp@uab.edu	<u>Days:</u> Monday - Friday <u>Hours:</u> 8AM - 5PM

