THE UNIVERSITY OF ALABAMA AT BIRMINGHAM

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

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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

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OSP Teams

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

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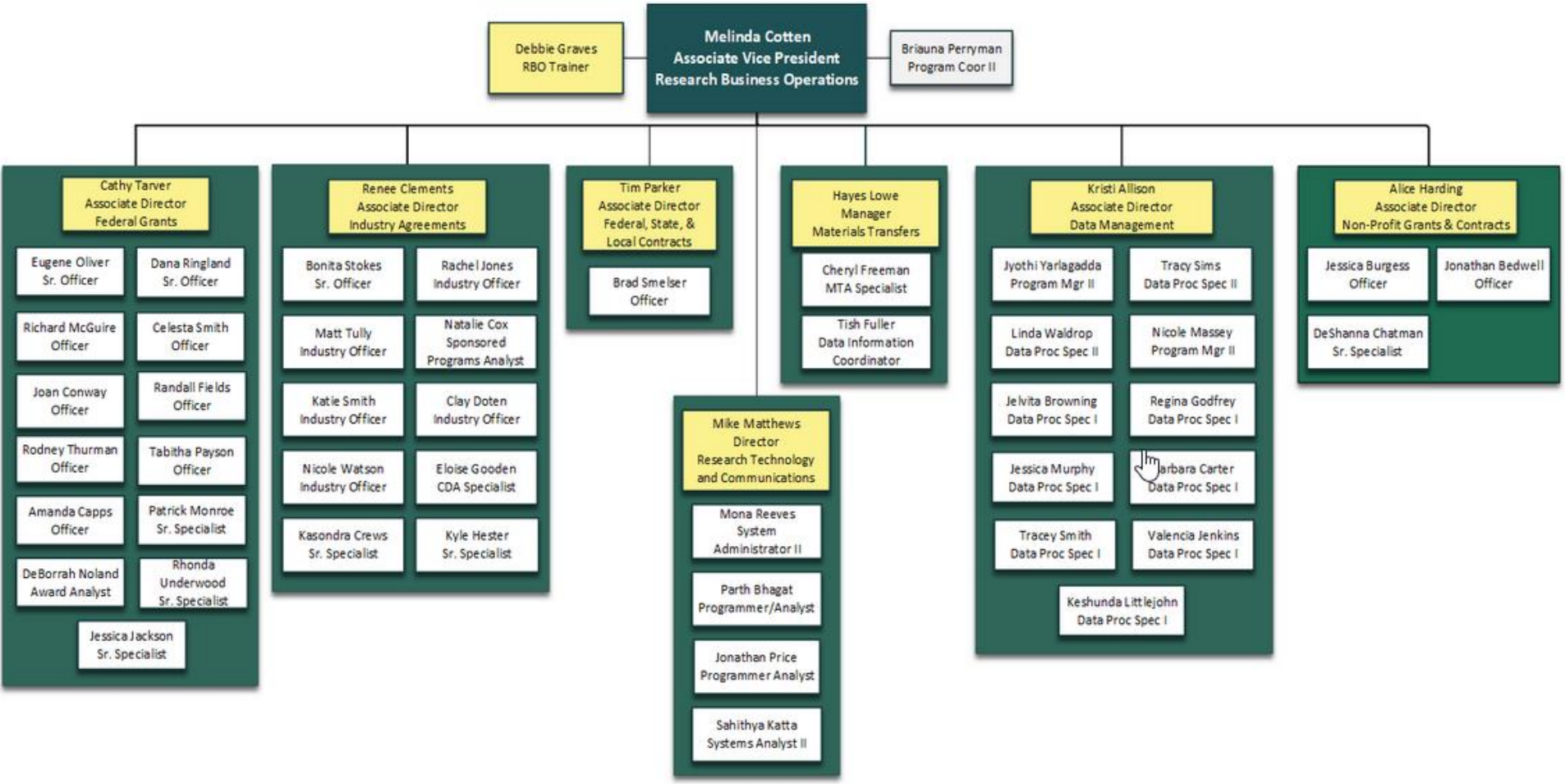

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Some interesting facts about FY 2018

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

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OSP Website

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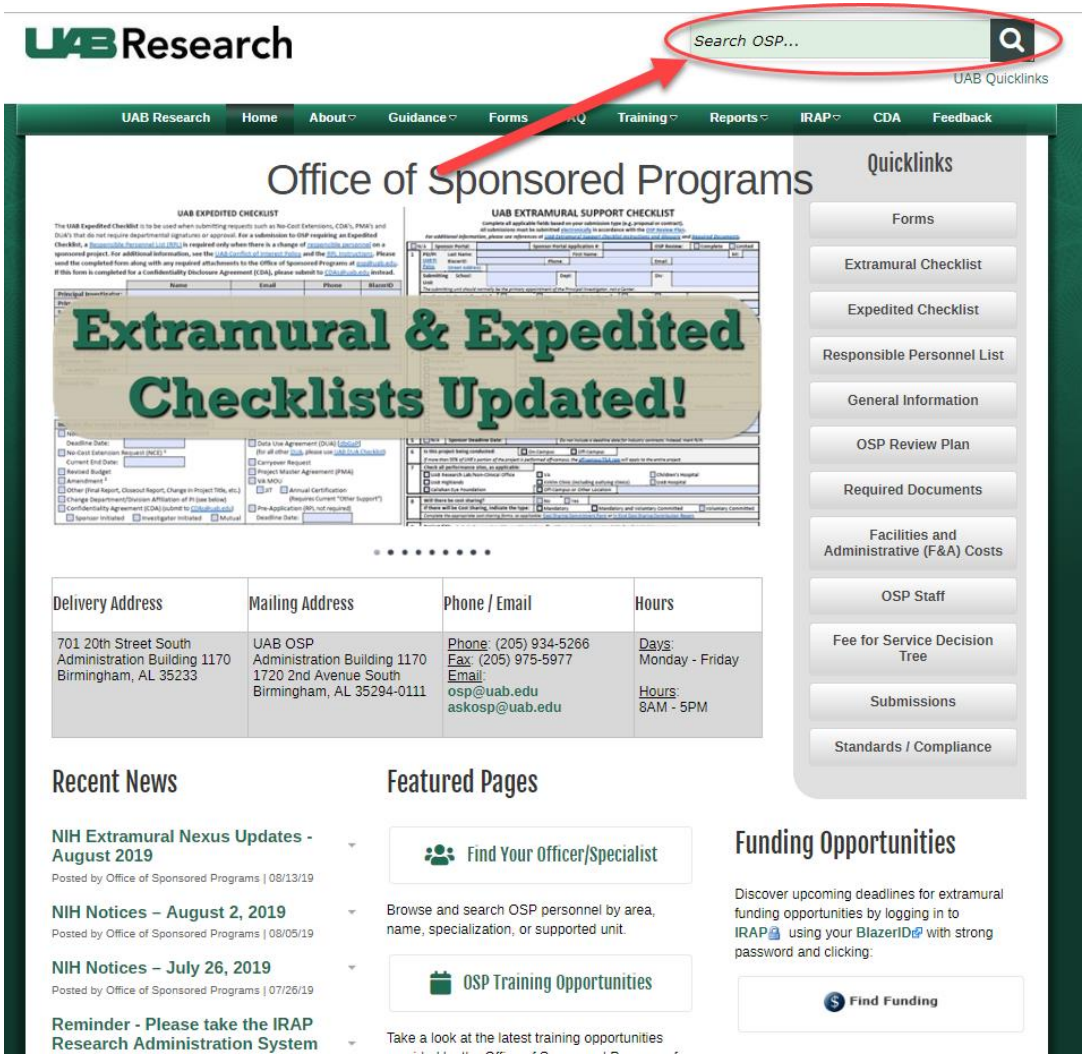
First, try Search OSP



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Required Documents Tool

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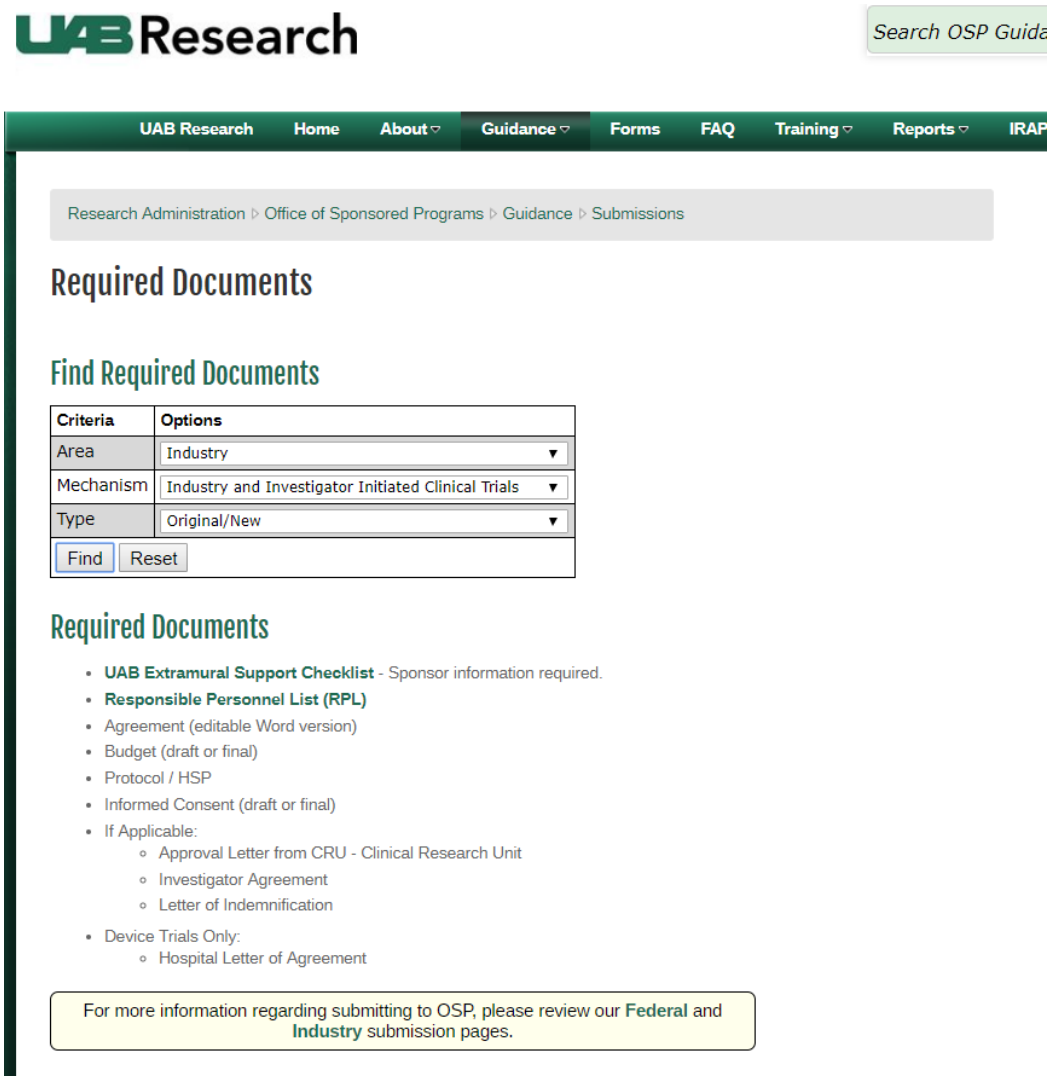
Required Documents Tool



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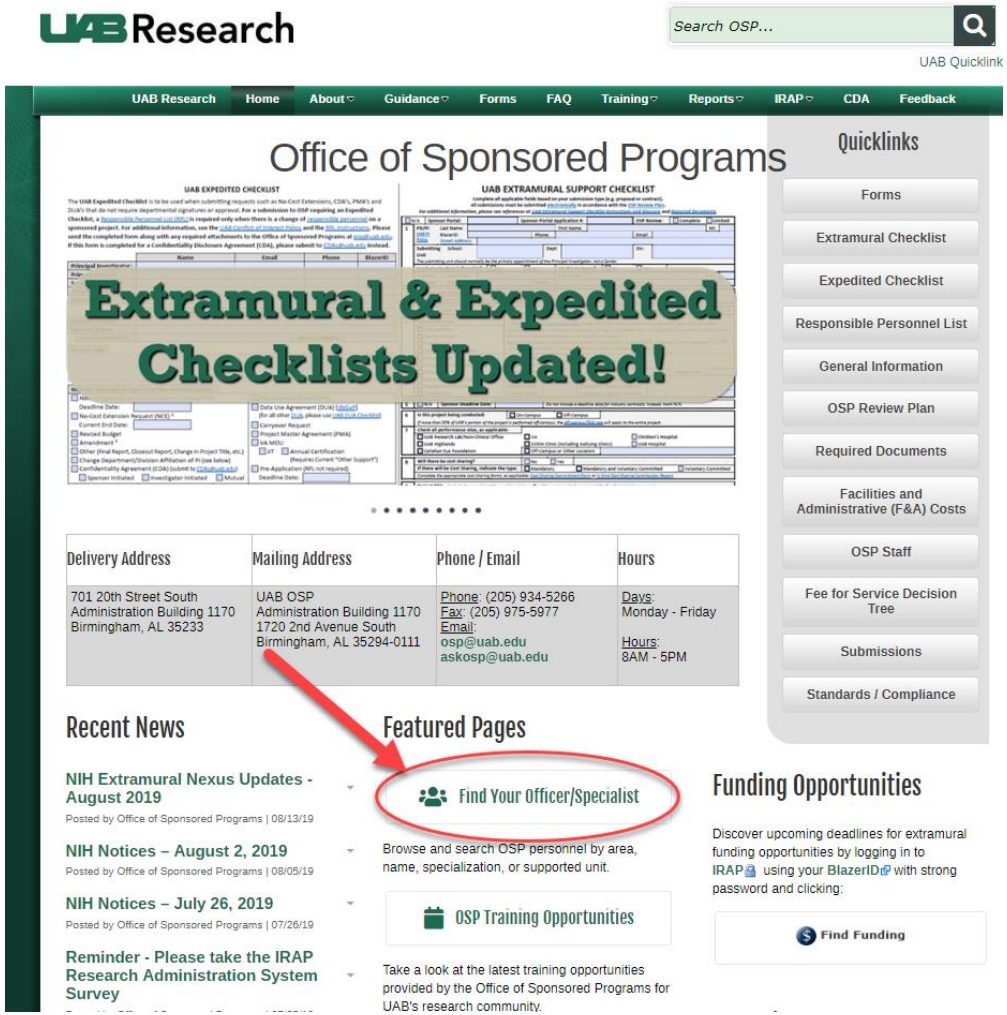
Find your officer/specialist



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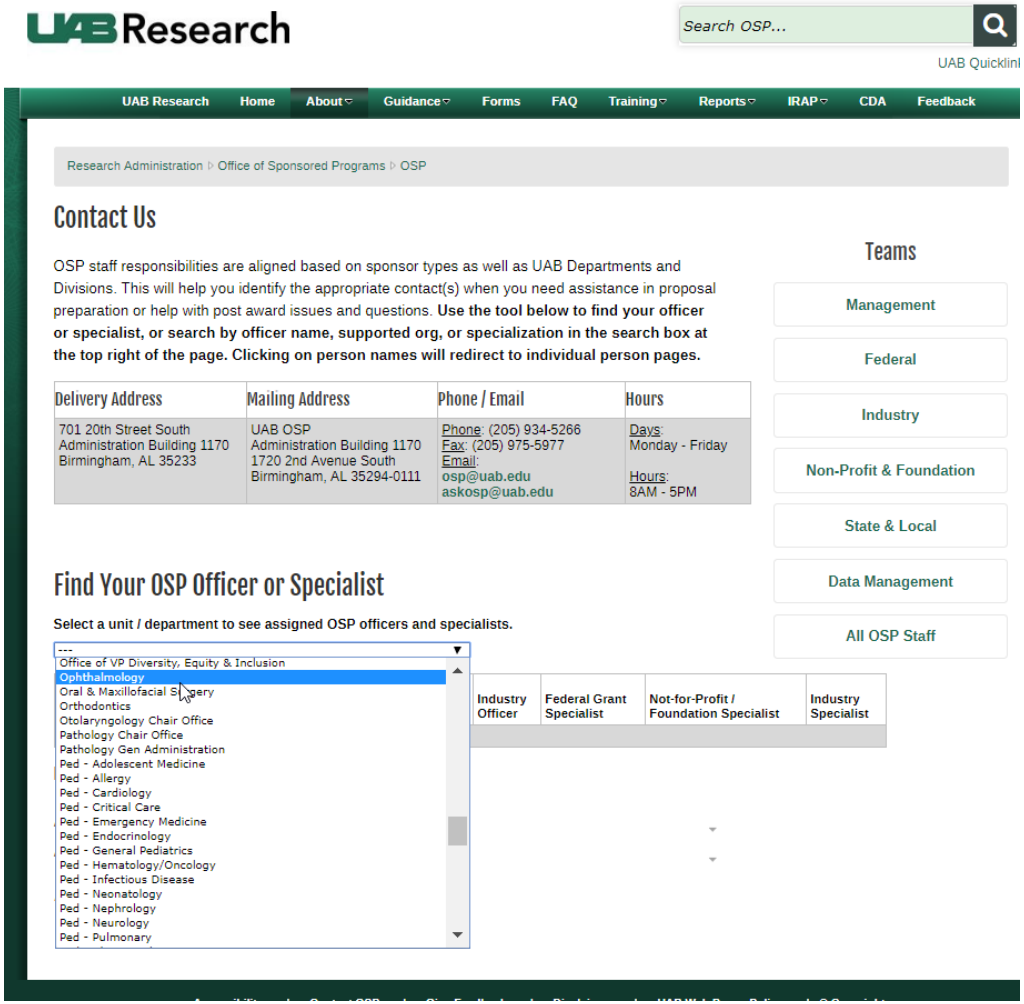
Find your officer/specialist



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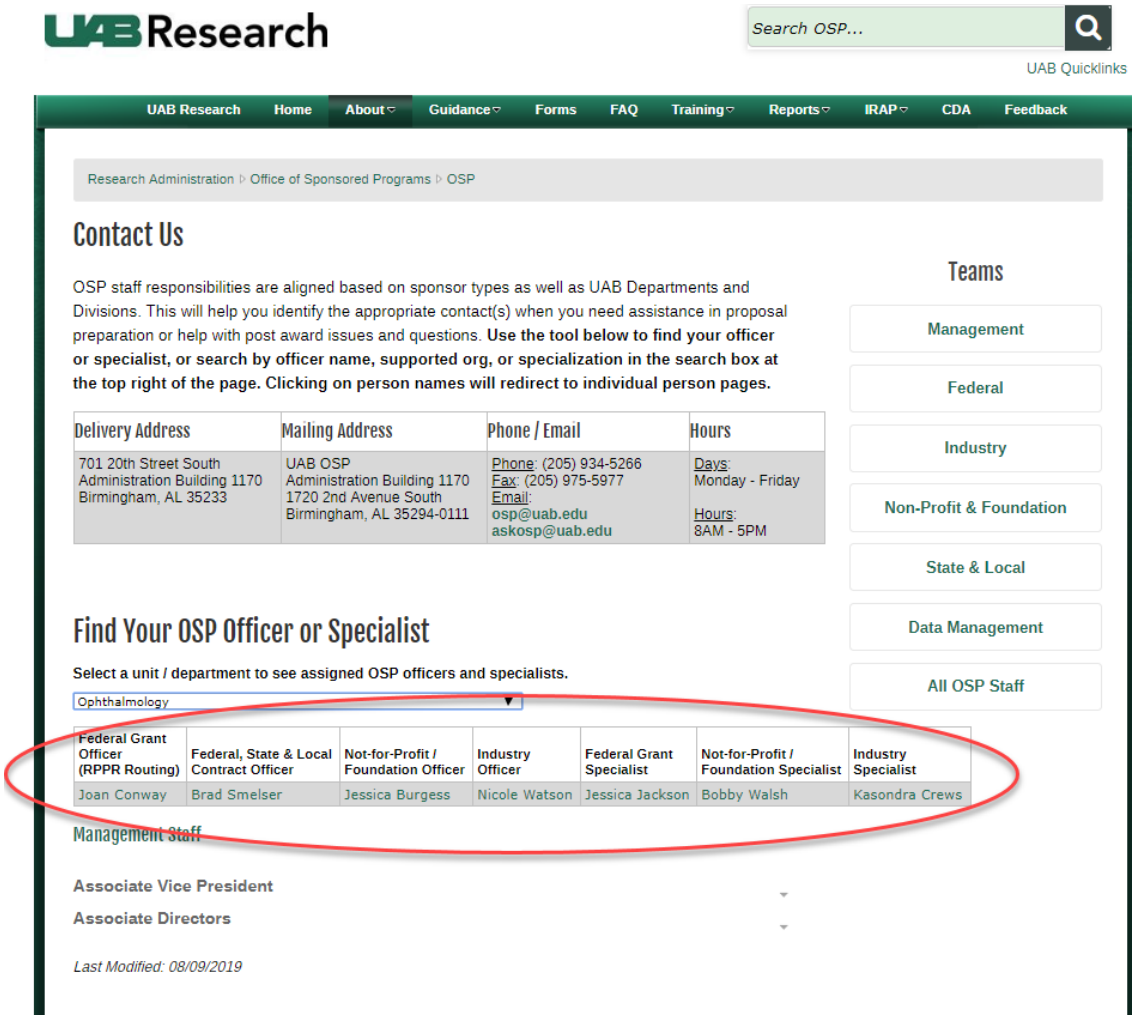
Find your officer/specialist



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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

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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

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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

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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

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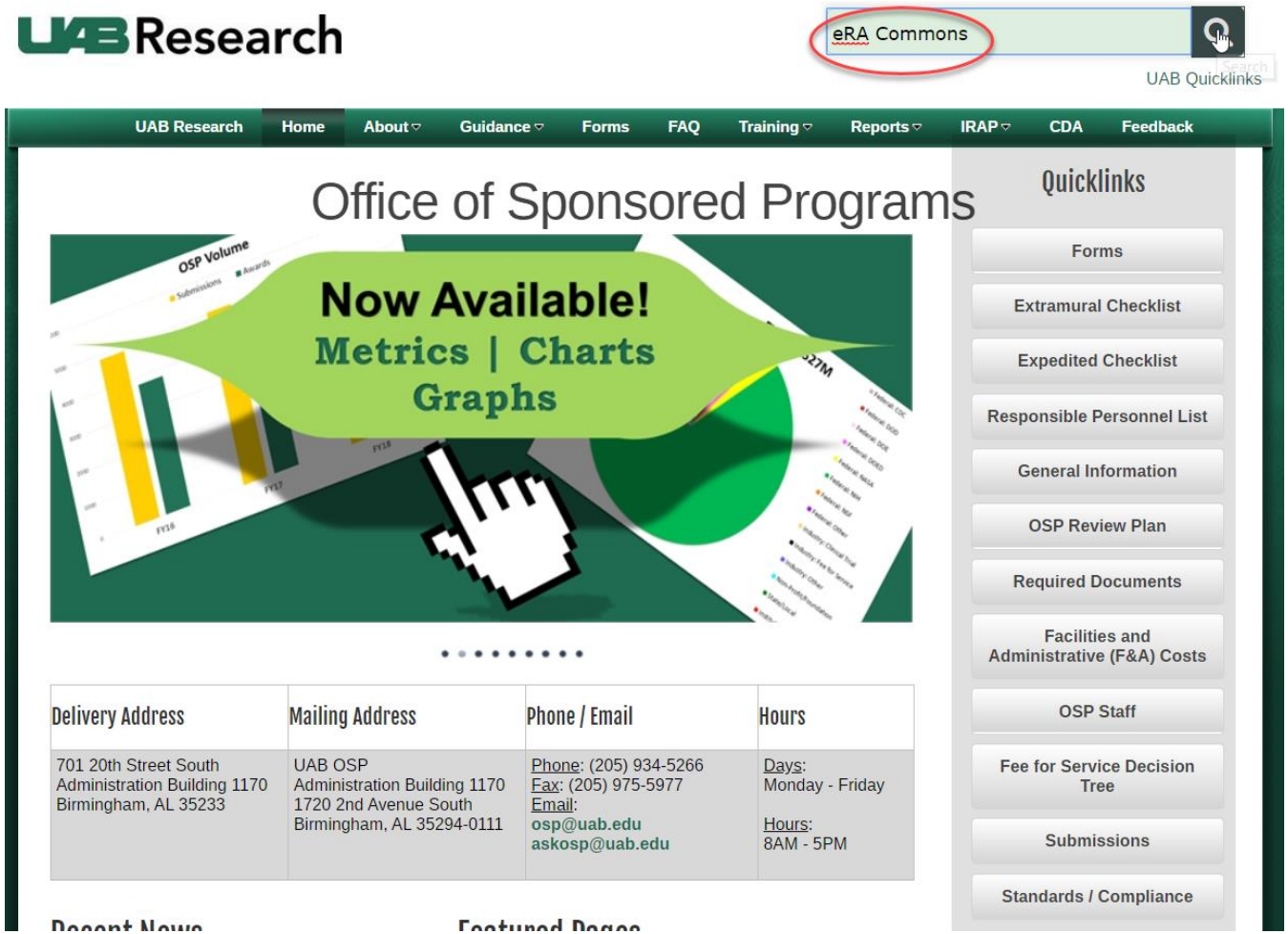
Where to find eRA Commons account form



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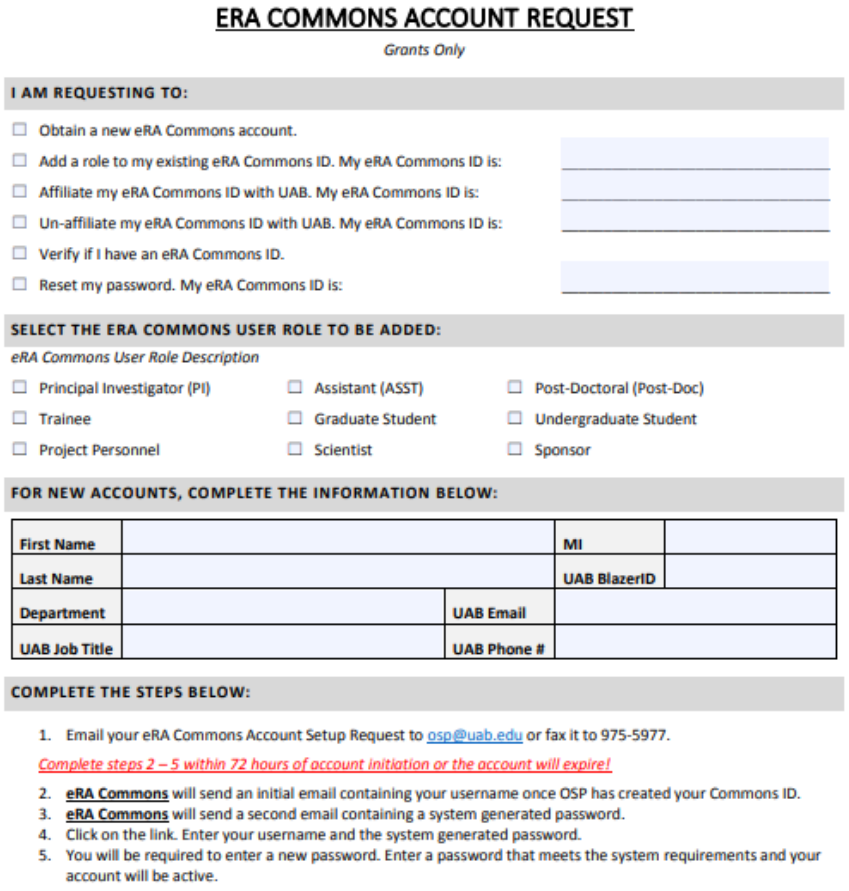
eRA Commons account request form



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.

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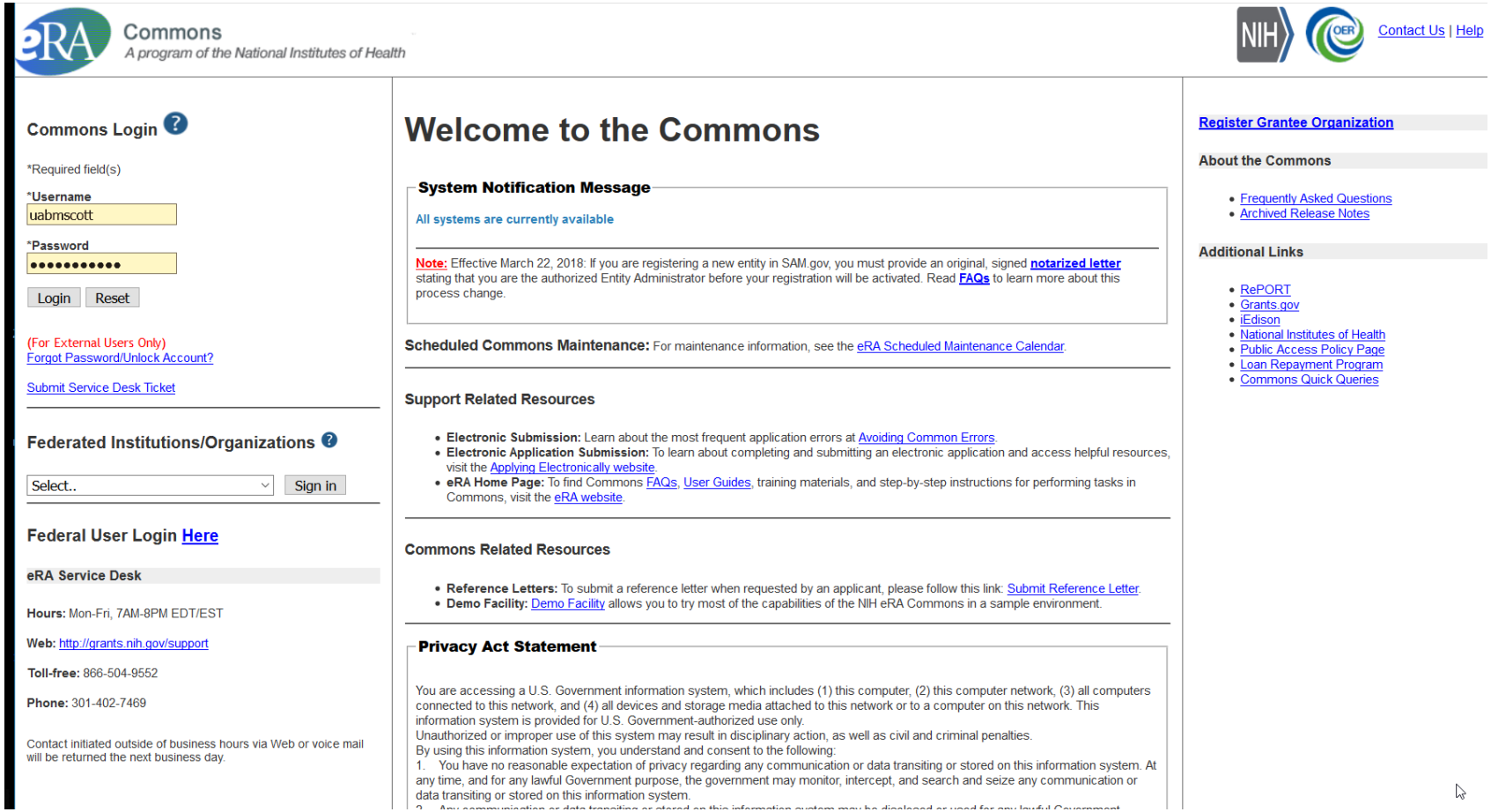
eRA Commons



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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.

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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

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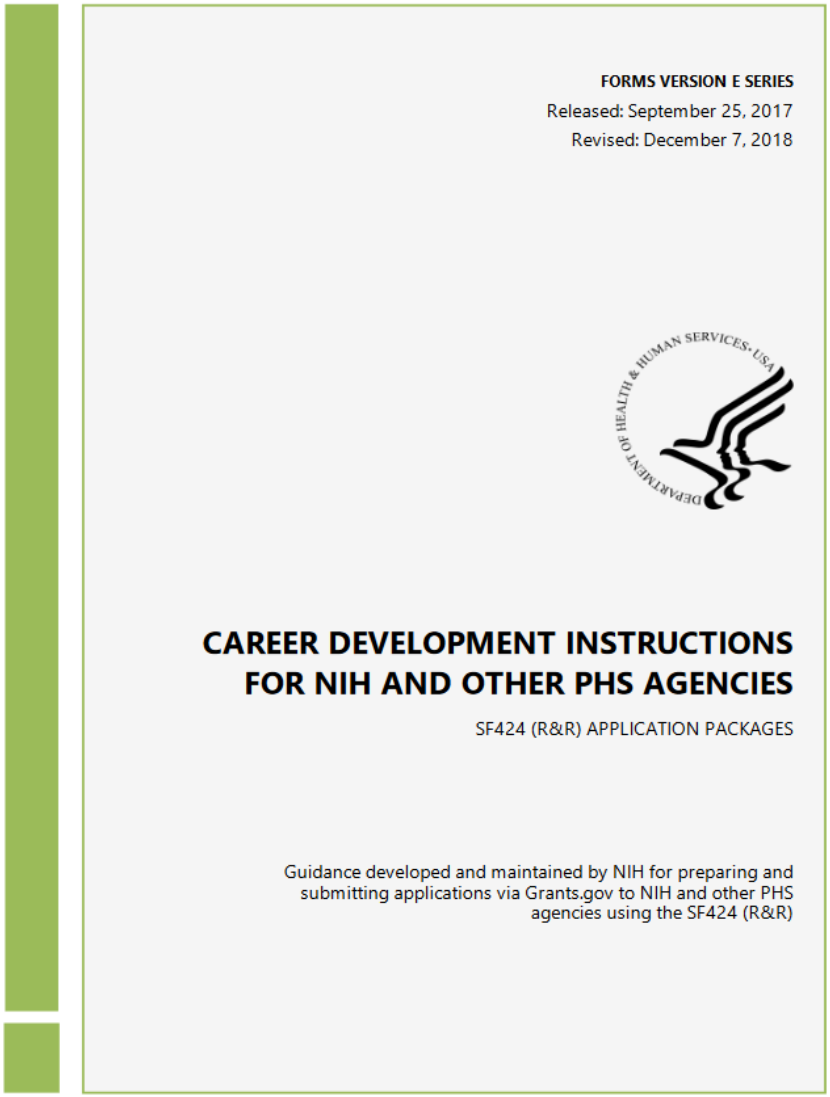
NIH Instruction Guides



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:

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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%

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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 Referee 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*.

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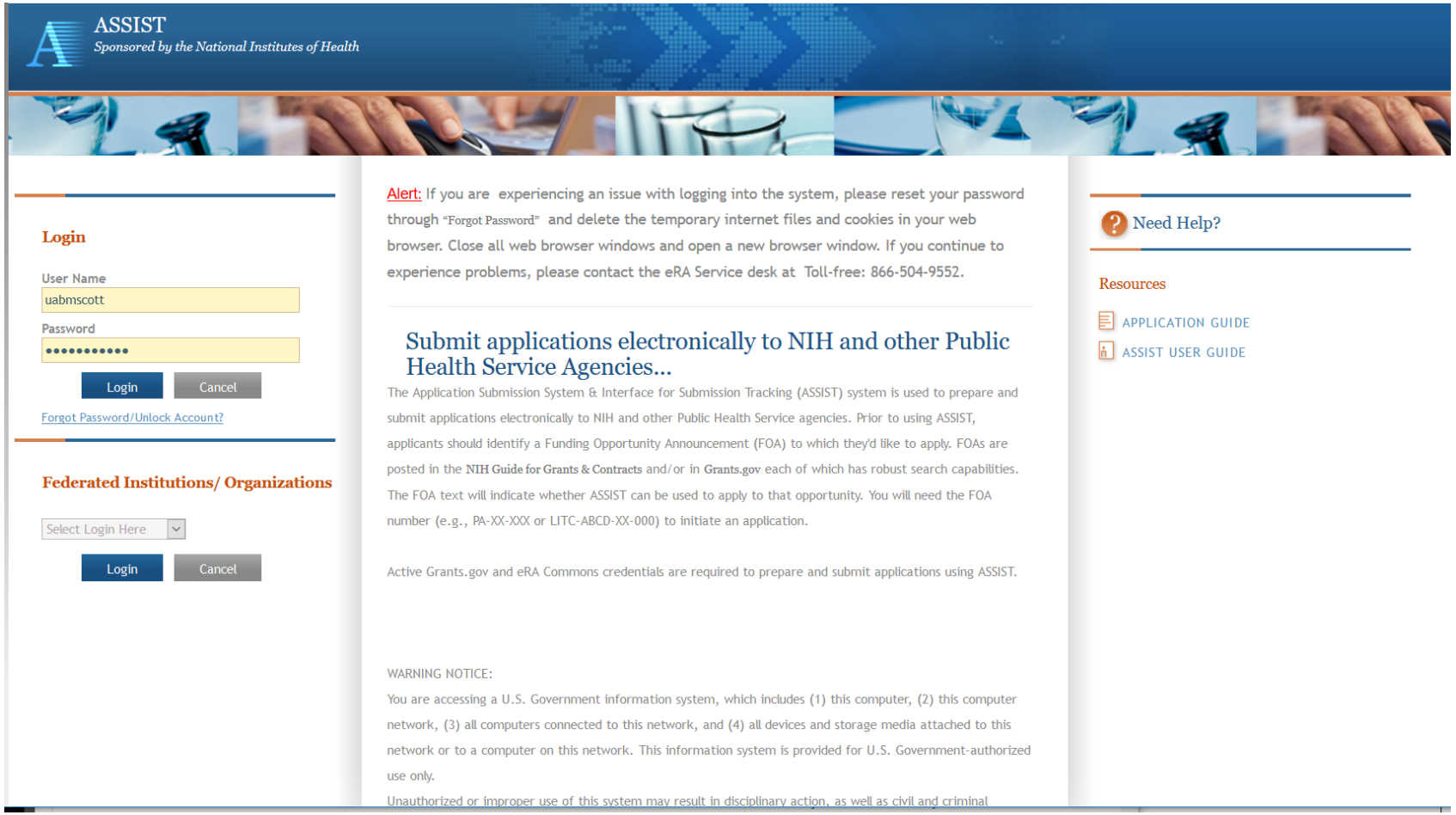
NIH ASSIST submission portal



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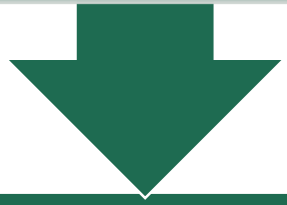
Submission Process for Federal Grant Proposals

Step 1

UAB Extramural Support Checklist

Responsible Personnel List



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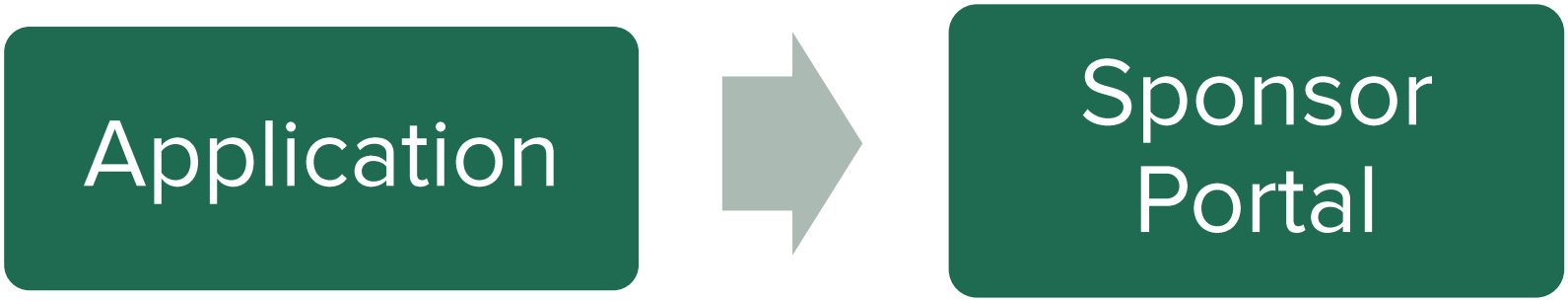
Submission Process for Federal Grant Proposals
Step 2



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

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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

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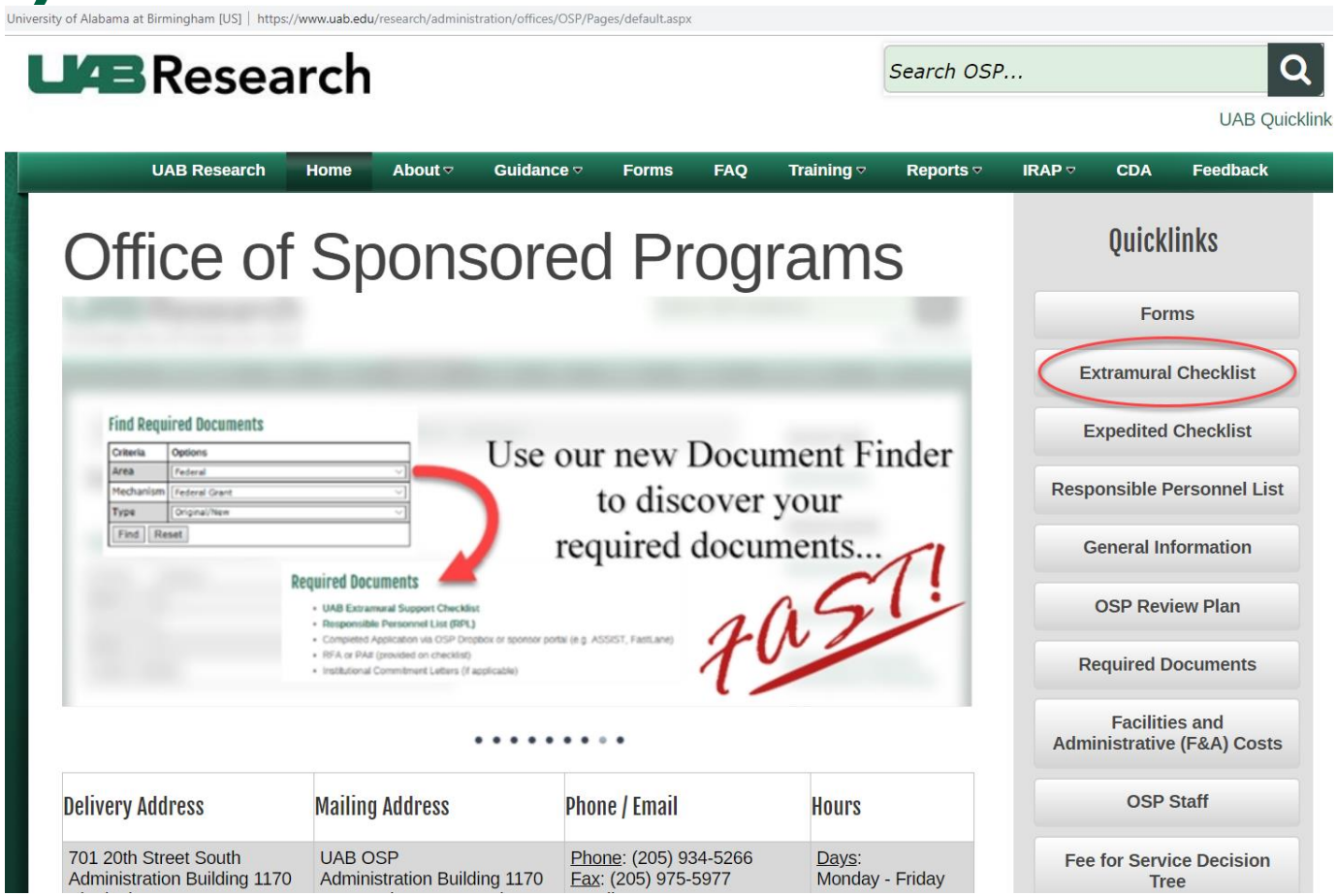
Where to find UAB Extramural Support Checklist and Responsible Personnel List (RPL)



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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)

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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”

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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.

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

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(2) Funding Source/Sponsor
(3) CFDA #; Single IRB
(4) Submission Type

2	**Funding Source/Sponsor:**					
	☐ N/A	**If pass through award, indicate Originating Sponsor:**				
3	☐ N/A	**CFDA #** (if applicable):		**Will this project utilize Single IRB?**	☐ No	☐ Yes
4	**Submission Type:**	** 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.* **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.*				
	☐ Original/New *					
	☐ Fee for Service *					
	☐ Transfer In *					
	☐ Study Startup Agreement					
	☐ Resubmission *	Previous OSP#:				
	☐ Competing Continuation/Renewal *	Original OSP#:		Start Date:		
	☐ Change in PI *	Current OSP#:		Previous PI:	Change Date:	
	☐ Amendment/Modification	Current OSP#:		If awarded, Sponsor Award #:		
	☐ Supplement/Revision	Current OSP#:		If awarded, Sponsor Award #:		
	☐ Transfer Out	Current OSP#:		If awarded, Sponsor Award #:		

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(5) Sponsor Deadline Date
(6) On Campus/Off Campus
(7) Performance Sites
(8) Cost Sharing

5	☐ N/A	**Sponsor Deadline Date:**		*Do not include a deadline date for industry contracts. Instead, mark N/A.*

6	**Is this project being conducted:**	☐ On-Campus	☐ 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:**		
	☐ UAB Research Lab/Non-Clinical Office	☐ VA	☐ Children's Hospital
	☐ UAB Highlands	☐ Kirklin Clinic (including outlying clinics)	☐ UAB Hospital
	☐ Callahan Eye Foundation	☐ Off-Campus or Other Location:	

8	**Will there be cost sharing?**	☐ No	☐ Yes	
	If there will be Cost Sharing, indicate the type:	☐ Mandatory	☐ Mandatory and Voluntary Committed	☐ Voluntary Committed
	Complete the appropriate cost sharing forms, as applicable: Cost Sharing Commitment Form *or* In Kind Cost Sharing Contribution Report.			

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(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?** ☐ No ☐ Yes *If you selected "yes", Facilities Planning (4-1219) must sign this checklist.*						

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(12) International involvement
(13) Project Keywords

12	☐ N/A	**If this project has international involvement, check all that apply and list the country(ies) below.**	
	☐ International Sponsor	☐ International Subcontractor	☐ Activities in foreign country/countries
	Indicate foreign country(ies):		

13	**Project Keywords**						
	A:		B:		C:	D:	

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(14) Grants Accounting
(15) Billing/Collection Responsibility
(16) Funds leaving UAB

14	**Grants Accounting Financial Management Affiliation. Department and Organization # are *required*.**					
	Dept:		☐ N/A Div:		ORG#:	
15	**Billing/Collection Responsibility Designation, if applicable:**		☐ Department (PI/Award Manager)		☐ Grants and Contracts Accounting (GCA)	
	☐ N/A	**Address to Receive Payment:**				

16	**Will funds be leaving UAB?**	☐ Yes ☐ No	**If yes, will the funds be for a:**	☐ Subaward/Subcontract? ☐ Consultant?	**How many subawards/subcontracts?**	

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(17) Announcement ID
(18) Program Name
(19) Purpose (Program Type)
(20) Instrument Type
(21) Activity Description

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

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(22) CCTS Research Type
(23) Sponsor/Contract Research Organization (CRO)
Source of Protocol
Clinical Trial information
IND #/ IDE

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

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(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**: ☐ MTDC ☐ TDC ☐ Clinical ☐ 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?** ☐ No ☐ Yes		*If yes, complete and attach the* UAB Facilities and Administrative Cost (IDC) Revenue Redistribution Agreement.		

27	☐ 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.*			
	☐ Project Master Agreement	PMA#		☐ Confidentiality Disclosure Agreement	CDA#
	☐ Study Startup Agreement	SSA#		☐ Pre-Application	OSP#
	☐ Other OSP#	OSP#		☐ Other # *(e.g., MTA #, etc.)*	#

28	**I have reviewed the Export Control Decision Tree on the University Compliance Office Export Control website and answered:**	
	☐ No to every question ☐ 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.*

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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?

☐ No ☐ Yes

If yes, please briefly describe the existing intellectual property being used (including UABRF IPD number, if applicable):

Existing Property:	

Please also indicate if the existing intellectual property was developed by...

- ☐ only UAB employee(s) (including UAB employee(s) other than you)
- ☐ UAB employee(s) jointly with employee(s) of an outside entity
- ☐ only by employee(s) of an outside entity

If applicable, please identify the relevant outside entity(ies):

Outside Entity:	

b.) Will you use any existing tangible property [2] in the conduct of the proposed project?

☐ No ☐ Yes

If yes, please briefly describe the existing tangible property being used (including UABRF IPD number, if applicable):

Existing Property:	

Please also mark all of the following statements that apply. The existing tangible property to be used...

- ☐ was (or will be) obtained from an outside entity
- ☐ was developed by UAB employee(s) jointly with employee(s) of an outside entity
- ☐ was developed by UAB employee(s)...
  - ☐ with the use of tangible property obtained from an outside entity
  - ☐ with funding from an outside entity
  - ☐ without funding or use of tangible property obtained from an outside entity

If applicable, please identify the relevant outside entity(ies):

Outside Entity:	

[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 do not need to list (i) the sponsor's intellectual property rights in its own products or methods, or (ii) the research plan or protocol.

[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 do not 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.

30 Intellectual Property Declaration – Check the appropriate box.

☐ 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.

☐ 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.

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Certifications and Signatures

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

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

i. I am aware of the University's Patent Policy and agree to comply with its terms;
ii. 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.
iii. All appropriate individuals and units of UAB or other institutions have been informed of any involvement or changed involvement they have in this project;
iv. All sub recipients are able to perform the work assigned to them;
v. I have ensured that information submitted within the application is true, complete and accurate to the best of my knowledge;
vi. I have not been debarred, am not aware of any investigation that could lead to my disbarment and hereby consent to a background check;
vii. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties; and
viii. 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.

x _____ Date _____
Program Director/Principal Investigator
PI's signature is required. No "per" signatures allowed.
Printed Name
For NIH projects with Multiple Principal Investigators, this should be the **Contact PI**.

x _____ Date _____
Program Director/Principal Investigator

x _____ Date _____
Program Director/Principal Investigator
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.

x _____ Date _____
Division Director
If required by Department.

x _____ Date _____
Facilities & Planning
Facilities & Planning (as applicable per #11)

x _____ Date _____
Department Chair of Primary Faculty Appointment of PI/PD (or Dean if the School of Nursing)
Printed Name: Department Chair
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.

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

x _____ Date _____
Dean
Printed Name
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.

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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

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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

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Where to go for assistance

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

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Remember

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

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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	Phone: (205) 934-5266 Fax: (205) 975-5977 Email: **osp@uab.edu** **askosp@uab.edu**	Days: Monday - Friday Hours: 8AM - 5PM

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