

“NON SPONSOR FUNDED” RESEARCH PROJECTS

The term “Non Sponsor Funded” Research is most often used to describe a research project in which a UAB researcher is collaborating with an external entity who is providing product, equipment or materials in lieu of financial support (see criteria set forth below). Often the external entity is directing or requesting that a research agreement be used, rather than a material transfer agreement (“MTA”), because of the level of anticipated collaboration or scope of the project. Non sponsor funded research agreements necessitate negotiation of terms and conditions and are required to be handled by the Office of Sponsored Programs (OSP). The criteria of “Non Sponsor Funded” Research Projects are set forth below along with submission requirements. Please note that a cost sharing commitment form is required if and only if any individual will have 5% or more effort committed to the project. Please note further for these activities supported by an unrestricted source not meeting the 5% effort commitment requiring a cost sharing form and budget, you and your department are responsible for maintaining sufficient documentation to demonstrate that expenses, such as salary and supplies, are not charged to a sponsored project account. The alternative is to go ahead and submit this paperwork so that Grants and Contracts Accounting can establish a research grant account.

“Non Sponsor Funded” Research Project Criteria: *

- You are receiving a product, equipment or research material (cell lines, compounds, etc) from an external entity.
- The external entity supplying the product, equipment, material is NOT providing you with any financial support to conduct the work.
- Any financial support used to conduct the work is provided from another unrestricted source. If the product, equipment or materials provided by the external entity will be used in a project funded by another award, please see below.
- The data you supply to the external entity is more than just a listing of the raw data, but includes analysis of the results.
- There is some level of collaboration on the research project, where you are not the sole determiner of how the donated item is used in the project but the external entity providing the item has some input into how the project is conducted.

* Some of the criteria alone or a combination of the criteria will eliminate the use of a material transfer agreement (MTA) or a data use agreement (DUA).

Submission Requirements:

Please ensure that you provide the following documents/information when submitting a “Non Sponsor Funded” Research Project to OSP:

- An Extramural Checklist
- A contract with the external entity providing the product/equipment/materials
- A detailed scope of work
- As applicable, a cost sharing form and budget

Federal and Other Awards involving “Non Sponsor Funded” Research:

If you intend to use the product, equipment or material provided by an external entity in a research project which is funded by a federal award, the federal funding agency’s approval is required. Approval will be deemed to have been given by the federal funding agency if the use of the product, equipment or material is identified and commitment is provided in the proposal resulting in the award. Alternatively, approval may be given under separate cover (email or letter) by the funding agency Grants Management Specialist (GMS) or equivalent grants or contracts officer. Please note: approval from a Program Official is not sufficient. Please do not hesitate to contact your OSP Officer for assistance with obtaining needed approvals.

You should also notify the external entity providing the product, equipment or material that it will be used in a project that will be funded by the federal government. Some for profit companies do not want and will not agree to the use of their developmental materials in federally funded projects because of the march in rights the federal government may exercise and which are granted to it by virtue of the Bayh-Dole Act. Please contact your OSP officer, the UABRF or the Office of Counsel if you need information or assistance on this issue.

If you intend to use the product, equipment or material provided by an external entity in conjunction with a research project for which any other party is providing external funding, then all entities should be made aware of the involvement of the other parties and each party should consent in writing (email is acceptable) that they are willing for the research to proceed. As with federal awards, if the involvement of all of the parties is referenced in the scope of work then additional approvals may not be required.

On notice of approval, the product, equipment or material provided by the external entity is considered in-kind cost sharing. UAB’s in-kind cost sharing commitment form is required only if the award terms and conditions or funding agency determines or requires reporting of the in-kind cost sharing.