Channels for Reporting Concerns

UAB is committed to sustaining a culture of trust, ethics, and compliance in which individuals are comfortable raising concerns through appropriate channels. Individuals who have a good faith belief that actions of an individual or entity are not consistent with laws, regulations, policies or standards should report suspected compliance violations through standard management channels, beginning with one’s immediate supervisor, instructor, or advisor or, if not appropriate because of that individual’s involvement, to a higher level of management. Individuals wishing to report concerns may speak directly with an Office of Compliance & Risk Assurance representative. See “Meet the Team” on page 2 for more information.

**UAB Ethics Hotline**

If you see or suspect unethical or illegal behavior, you may report your concerns anonymously by contacting the UAB Ethics Hotline, operated by third-party Navex. Call 1-866-362-9476 or file a report online. After processing the report, Navex will provide the information to designated university officials for appropriate action. Reports submitted to Navex will be handled promptly and discreetly. Retaliation of any kind for reporting concerns in good faith will not be tolerated.

**Human Resources Employee Relations**

Employees may report concerns and complaints that require outside departmental intervention to UAB Employee Relations.

**Office of Diversity, Equity & Inclusion**

If you believe you have been subjected to discrimination, discriminatory harassment or retaliation based on a protected class status covered by law or UAB policy, you may file a report with the Office of the Vice President for Diversity, Equity and Inclusion.

**School of Medicine Office for Diversity and Inclusion (SOM ODI)**

School Of Medicine faculty, staff, trainees, and medical students may file a report with SOM ODI regarding any issues of harassment, bias, discrimination, microaggressions, misconduct, or mistreatment. This is an informal process and may include methods to resolve the complaint through means such as mediation and dialogue. Privacy Information is maintained privately to the degree that it does not interfere with the University’s obligation to investigate allegations of misconduct.

Continued on page 3
Meet the Office of Compliance & Risk Assurance Team

Katie Crenshaw serves as Chief Risk & Compliance Officer. In her role, she leads assessment, prioritization, mitigation, and monitoring of risks in conjunction with the President’s Risk Cabinet, college/school Executive Risk Oversight committees, and other stakeholders while providing assurance to leadership that the elements of an effective compliance program are maintained. She also coordinates University efforts with UAB Medicine Compliance and the University of Alabama System Office of Risk & Compliance.

Jereme Logan serves as Associate Risk & Compliance Officer. In his role, he works closely with partners in both academic and administrative units to identify, assess, prioritize and address risks associated with their specific areas, with particular expertise in the areas of research and grant management. He also supports implementation of UAB’s compliance program elements, consistent with federal guidance, which includes policy and procedure development, education and training, auditing, monitoring and accountability.

Dana Ringland serves as a University Compliance Specialist and assists with compliance reviews and research of compliance standards and issues. She provides data analysis and assists in the drafting of communications and reports. She is also involved with the development and implementation of educational programs for the University.

Audrey Fortier serves as Associate Risk & Compliance Officer. In her role, she works closely with academic and administrative units to identify, assess, prioritize, and address risk in their specific areas. She assists UAB leaders with the development and delivery of compliance education and training for their units. She guides leadership on ways to best address and mitigate potential risks or compliance concerns. She also collaborates with stakeholders across UAB to enhance the University’s Privacy program.

Jim Pockstaller serves as University Compliance Specialist and supports the Office of Compliance & Risk Assurance through gathering information, running reports, and analyzing data. Currently, his projects include reviewing Other Support pages and External Activity forms.

Courtney Champion, in her role as University Compliance Coordinator, oversees UAB’s policy development process including the administration of UAB’s Policy and Procedures Library. Additionally, she supports the office’s communication and outreach efforts to the University Community and participates in compliance related reviews, inquiries, and investigations.

Continued on page 3
As the grantee and formal owner of research data, UAB is obligated to manage, store, and publish federally-funded data as required by its agreements. In accordance with UAB’s Records Retention Schedule, research data should be maintained for the longest applicable period as required by federal and state regulations, contractual agreements, and/or publisher requirements. Regardless of retention period, the research data must be appropriately maintained and archived to ensure its integrity and must be accessible in the event of a records request or inquiry.

In order to meet their obligations, all researchers should use LabArchives, an electronic lab notebook software, to organize, store, and manage laboratory data. The software mitigates compliance, data security, and laboratory safety risks associated with data creation, management, security, storage, and publication, including HIPAA, FERPA, FISMA, export control, and scientific misconduct. The software preserves all data entries and retains revision histories for all entries and pages.

For more information on using LabArchives in your lab, visit UAB’s LabArchives website, or contact support@labarchives.com, or Dr. Kent Keyser at ktkeyser@uab.edu.

Research Data Retention

Meet the Team, cont. from page 2

Kristi Justice, in her role as University Compliance Administrator, manages planning and logistics for meetings and education events hosted by the Office of Compliance & Risk Assurance. Additionally, she serves as the initial contact for general calls and correspondence to the office.

Tom Jackson serves as Facility Security Officer and supports facility clearance at UAB. He ensures that all personnel associated with the facility are properly trained and briefed to perform their work. Additionally, he is involved with the functional aspects of export control and how it may affect UAB personnel.

Ulysses Gonzalez serves as Assistant Facility Security Officer and supports UAB’s Facility Security Officer with the management and oversight of all security related requirements that are nested under the Defense Counterintelligence Security Agency (DCSA) control. His field of expertise is government-related contracts in support of classified projects.

Contact us:
compliance@uab.edu | 205-996-6540

Reporting Channels, cont. from page 1

The University Ombudsperson Office

UAB faculty, staff, mentored graduate students, and postdoctoral fellows may schedule an appointment with the Ombudsperson to discuss different options for conflict management, reduction, or resolution. The University Ombudsperson provides confidential, neutral, impartial, and independent conflict resolution assistance.
Compliance

A New Blueprint for Commercialization

Every Innovation Starts with an Idea
⇒ But, what’s the next step?
⇒ What campus and community resources are available to support employee entrepreneurs as they navigate the startup process?
⇒ What policies apply to SBIR/SBIR funded projects?

The UAB Startup Guide details the commercialization process step by step.

The guide was recently updated to incorporate the 2021 UAB Enterprise policies on conflict of interest & conflict of commitment, and expanded to include a section dedicated to pursuing SBIR and STTR funding as a UAB employee or faculty member. It is now easier than ever for UAB researchers to turn campus discoveries into groundbreaking products and services to benefit society.

Download the guide and explore online commercialization resources or contact innovation@uab.edu for more information.

NIH Biosketch and Other Support Form

Use of the new Biosketch & Other Support format pages is preferred immediately and required for due dates and submissions on or after January 25, 2022 (NOT-OD-21-110).

Biosketch Updates: Biosketch Format Pages, Instructions and Samples | grants.nih.gov
The biosketch format page has been updated for application due dates and RPPR submissions on/after January 25, 2022 (See NOT-OD-21-073 / NOT-OD-21-110 for specific changes and details). Use the tabs to access the correct format page for your due date.

Other Support Updates: Other Support | grants.nih.gov
The other support format page has been updated for application due dates and RPPR submissions on/after January 25, 2022 (See NOT-OD-21-073 / NOT-OD-21-110 for specific changes and details). Use the tabs to access the correct format page for your due date. Other Support SAMPLE.

For those who wish to get started immediately, visit the Office of Research’s Transparency in Research page to access additional information and training materials.
Policy Updates

Academic Integrity Code

The Academic Integrity Code has been approved by the UA System Office and will be effective August 23, 2021. Training is currently underway for Academic Integrity Coordinators who were designated by the dean of their school or college and will facilitate the academic misconduct resolution process for their unit. Additional training will be made available for all faculty and students. The Code will support UAB’s academic mission to promote and maintain academic integrity while setting forth requirements for adhering to its provisions, processes, and sanctions. Salient new features of the revised policy include use of the Maxient student conduct reporting system and a process for formal conferences and hearings involving newly-created Academic Integrity Boards.

The Academic Integrity Code has been under development over the last two years and will replace the existing Academic Honor Code. Questions about the Academic Integrity Code should be directed to Dr. Bradley Barnes, Vice Provost, Enrollment Management, at bbarnes1@uab.edu.

Biosafety Policy

UAB’s Biosafety Policy, effective July 1, 2021, establishes a framework for the UAB Biosafety Program, which is intended to protect students, employees, volunteers, visitors, and the environment from the hazards associated with recombinant, biological, or potentially infectious agent or materials stored on campus. UAB’s Biosafety Program is based on federal, state, and local regulatory codes. The Biosafety Policy is implemented through UAB’s Biosafety Manual.

Continued on page 6

Compliance CHALLENGE

Read the hypothetical scenario below. Click on the link to answer by September 30, 2021. You will automatically be entered into a drawing for one of two $10.00 gift certificates. Only those with addresses ending in uab.edu or uabmc.edu qualify.

Recognizing its importance in data management, Dr. Smith used the Electronic Lab Notebook (“ELN”) software, LabArchives, to store data for a federally-funded research project on which she served as PI. Dr. Smith continues to cite her original work contained in the ELN.

How long is Dr. Smith required to retain the data from that project?

A. Dr. Smith may delete the data when her project has concluded.
B. Dr. Smith must retain the data as long as she continues to cite, use, or reference those original works.
C. Dr. Smith must retain the data for the applicable retention period as dictated by federal regulations, state regulations, contractual agreement, and/or publisher requirements.
D. Both B and C, whichever time period is longest.

Click here to answer the question.

THE UNIVERSITY OF ALABAMA AT BIRMINGHAM
Knowledge that will change your world
Congratulations, Compliance Challenge Winner!

Congratulations to Freda Lewis, winner of the April 2021 Compliance 411 challenge! Lewis is a Clinical Research Regulatory Coordinator in the O’Neal Comprehensive Cancer Center at UAB – Clinical Trials Office.

Freda says, “The 411 is a publication that I look forward to reading. It provides important information to the UAB community that is both timely and important. The ‘challenge’ is just that- a challenge to me to gauge what I learned from the information provided so that I can apply and/or refer to that information when necessary.”

Freda Lewis, April 2021 Compliance 411 Challenge Winner

Domestic Travel Update: Effective immediately, most domestic travel must be approved via the Travel Pre-Approval Form. For more information, please visit the Financial Affairs Traveling webpage.

COVID-19 Health and Safety Plan for Fall

UAB leadership, in conjunction with the UA System COVID-19 Task Force, continues to monitor data on campus and in the community. Due to the recent surge of COVID-19 and updated CDC guidance, UAB is requiring face coverings indoors on campus regardless of vaccine status. Employees and students who have not been vaccinated may easily schedule an appointment through UAB Medicine to receive the safe and effective COVID-19 vaccine.

Vaccines are also available to students through UAB Student Health Services and at walk-up and pop-up clinics. Students who receive a vaccine on campus will receive a T-shirt or hat. Additionally, students who get vaccinated or have been fully vaccinated and share their immunization information with Student Health Services will receive $20 in Blazer Bucks. Registered student organizations that have at least 70% of their members vaccinated by Aug. 23 will receive money for catering, allowed purchases and/or travel.

Policy Updates, cont. from page 5

Student Conduct Code

The Student Conduct Code has been revised to reflect a name change from the Office of Student Conduct & Outreach to the Office of Community Standards & Student Accountability. Additional revisions include the addition of the responding party’s right to have access to a Student Conduct Counselor and a new definition for minor violations. For additional information, contact studentconduct@uab.edu.