

GUIDELINES FOR THE HEALTH SERVICES FOUNDATION GENERAL ENDOWMENT FUND APPLICATION

Statement of Purpose: The HSF-GEF grants are intended to enhance the **infrastructure** of Academic Health Center's Patient-Oriented and Laboratory Research efforts, Clinical Care Program Development, and Medical Education Initiatives and for university-wide projects by providing funding from the Health Services Foundation's General Endowment Fund.

Intent of the HSF Source of Funds: "The net spendable income from the HSF-GEF is intended generally for the benefit of the HSF and the UAB School of Medicine; however, the HSF Board of Directors may allocate net spendable income for other UAB purposes. In general, funds from the HSF-GEF should be directed towards research, educational, and clinical programs which are deemed in the best interest of the UAB Medical Center and for UAB university-wide projects which are consistent with institutional priorities and with the Articles of Incorporation of the HSF." (Source: *HSF Board Executive Report in Distribution of Revenues upon sale of United Healthcare Corporation Stock.*) HSF-GEF Scholar Awards were created in 2002 to serve as the appropriate mechanism for funding requests pertaining to the recruitment of new faculty. The Scholar Awards are administered through a separate process and therefore, the HSF-GEF Awards referenced above will not be allocated for recruitment purposes.

The Application Process

- 1) **What Applications will be considered?** Applications should be directed at enhancement of the **infrastructure** of the Medical Center to support research, education, and clinical care. Applications will be reviewed that request funding for:
 - a) Initiation of patient-oriented and laboratory research programs, clinical care initiatives, and medical education initiatives
 - b) New instrumentation, equipment, and shared facilities
 - c) Salary support for ancillary personnel, supplies, and expense for consultants

- 2) **Exclusions From Consideration.** Applications that will not be considered for funding include:
 - a) Salary support for faculty
 - b) Projects substantially funded by extramural sources unless financial support from HSF-GEF would enable the investigators to obtain substantial matching funding from the outside source
 - c) Projects linked to private industry via partial funding or license ownership will not be considered unless the license originated with a UAB faculty member, the license transfer was effected through the UAB Research Foundation, and the UABRF royalty stream is intact as specified in the *UAB Faculty Handbook*.
 - d) Funds will not be used for faculty recruitment

- 3) **Applications of low priority.** Although applications may be reviewed, recommended funding is unlikely. These include:
 - a) Single investigator applications.
 - b) Individual projects classified as "R01-like" applications
 - c) Pilot projects

- 4) **Who May Apply?** Any faculty member in the University who obtains sponsorship and approval of one of the Departmental Chairmen in the Academic Health Center (AHC) may apply. If the Principal Investigator does not hold a primary appointment in a department in the AHC, a co-investigator who is a member of a department in the AHC must be included in the proposal. In addition, the co-investigator's Department Chairman must indicate his or her approval of the proposal on the application.
- 5) **Application Forms.** The GEF application, guidelines and instructions are available at the following web address: <https://apps.medicine.uab.edu/funding/HSFGGEFInfo.asp>. The same form is used for each of the four categories: Patient-Oriented Research, Laboratory Research, Clinical Care Initiatives, and Medical Education Initiatives.
- 6) **Schedule of Deadlines**
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|-----------------------|--|
| a) May 1, 2018 | Application web site open for submissions |
| b) June 30, 2018 | Application submission deadline (4:00 pm) |
| c) August 14, 2018 | GEF Review Group recommendations completed |
| d) September 10, 2018 | GEF Committee meeting |
| e) October 22, 2018 | UAHSF Board decision released |
| f) November 1, 2018 | Funding available for use by awardees |

The Review Process

The review process is outlined in the accompanying figure. Applications will be reviewed by one of the four committees (Patient-Oriented, Clinical Care Initiative, Laboratory Research, Medical Education) selected by the applicant on the cover page of the grant application form.*

Each review group provides the HSF-GEF Committee a list of the proposals ranked by the score, which was determined in the committee meeting. Each proposal is accompanied by a short paragraph describing the evaluations of the committees, the importance of the proposal to the UAB Health System, and any budget recommendations. When the review group reports their rating to each principal investigator, the priority score will reflect the committee's assessment based on the discussion at the meeting and the individual reviewers' assessments.

The HSF-GEF Committee will review the committees' recommendations, establish proposed cutoffs for funding, and synthesize their own recommendations for funding based on program relevance and the priority scores of the individual review groups. These recommendations will be forwarded to the HSF-Board of Directors for final consideration.

* Applications directed by the applicant to the wrong review committees are likely to receive low priority.

Selection of Review Committee Categories and Priority Guidelines

Each applicant will need to select the committee category for review among the following:

- 1) **Patient-Oriented Research Committee:** For review of applications that address infrastructure and / or programmatic development to support patient-oriented research.

Priority will be given to applications that:

- a) Provide / promote core facilities / infrastructure
- b) Involve the faculty in multiple departments and disciplines
- c) Demonstrate high potential to generate future, ongoing, substantive external funding
- d) Bring new science or capability to the Academic Health Center.

The Review Group will **not** review clinical trial proposals in this application process.

- 2) **Laboratory Research Committee (Research Advisory Group):** For review of applications that address laboratory, animal or human model systems. Translational patient research initiatives that emphasize novel laboratory characterization should be classified as "Laboratory Research".

Priority will be given to applications that:

- a) Demonstrate high potential to generate ongoing substantive external funding
- b) Involve the faculty in multiple departments and disciplines
- c) Have the potential to support priority research efforts
- d) Bring new science or capability to the Academic Health Center.

- 3) **Clinical Care Initiatives Committee:** For review of applications that address patient care issues and associated outcomes. These objectives may be accomplished by the development and/or refinement of clinical pathways, practice protocols, practice parameters, and changes in patient care to improve compliance with guidelines and standards.

Priority will be given to applications that propose to:

- a) Improve patient care
- b) Enhance clinical services
- c) Have high potential to generate substantive income or reduce expense and improve the efficiency of healthcare delivery without compromise of the quality of patient care
- d) Involve the faculty in multiple departments and disciplines.

- 4) **Medical Education Initiatives Committee:** For review of applications that propose to improve medical education in the Academic Health Center.

Priority will be given to applications that propose to:

- a) Renovate existing and/or develop new programs
- b) Encourage life-long learning
- c) Reduce passive learning
- d) Increase problem-solving skills
- e) Establish novel methods of active learning
- f) Integrate basic and clinical science education
- g) Impact on educational efforts in multiple departments
- h) Develop new integrated interdisciplinary programs in basic and clinical science.

Fiscal and Budget Guidelines

- 1) Applications awarded funding by the HSF-GEF will be established under individual University accounts and may distribute the budget outlay over no more than a 3-year period.
- 2) Budgets may include costs for equipment, personnel, supplies, and consultants.
- 3) Budgets may not include indirect costs, travel, or simple replacement of existing faculty salary support.

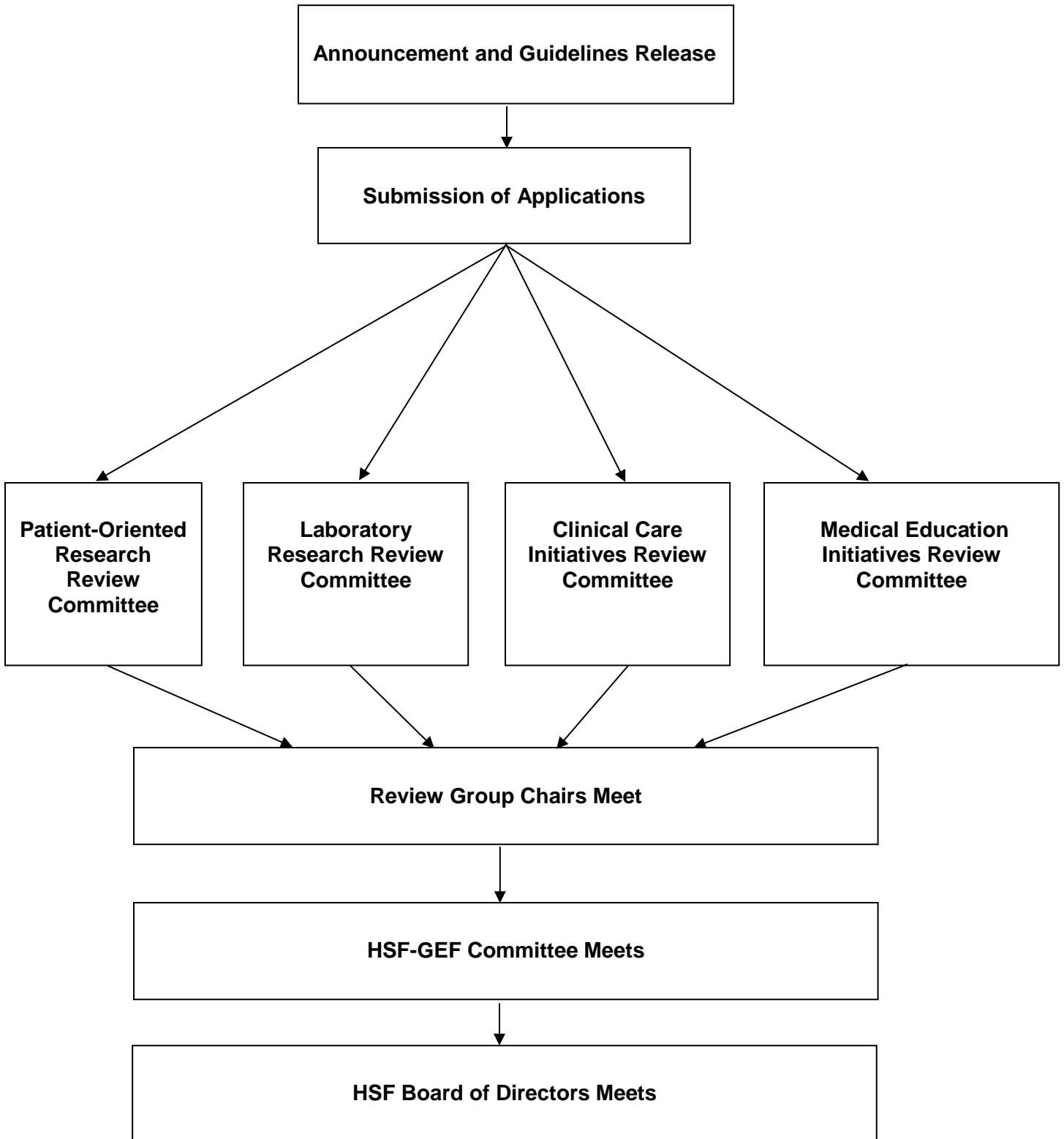
Progress Reports from Funded Investigators

It is required that, for the period that the funded research is ongoing (1-2 years), the principal investigator submit in writing to her/his applicable Review Group an annual progress report. This should include accomplishment of objectives, oral and poster papers presented, abstracts, manuscripts, and the effect of said HSF funding on the acquisition of additional extramural support.

Review and Modification of the HSF-GEF Guidelines

A review of the application and review processes will be undertaken annually and, with the approval of the HSF-General Endowment Committee, policy modifications may be made.

**HEALTH SERVICES FOUNDATION GENERAL ENDOWMENT FUND
GRANT APPLICATION REVIEW PROCESS**



**Patient-Oriented Research Initiatives
Laboratory Research Initiatives
Clinical Care Initiatives
Medical Education Initiatives**

HSF-General Endowment Fund Application Instructions

This set of instructions applies to applications submitted for all four categories.

- 1) **Deadline for submission: June 30, 2018 – 4:00 p.m.**
- 2) Complete the attached application form in 12-point font with ½” margins. Do not alter page numbers or page layout. All pages should be numbered and the application should not exceed 6 pages (not including attachments), therefore limiting each section to 1 page.
- 3) **Upload application, biographical sketches and letters of support electronically in ONE pdf** online at: <https://apps.medicine.uab.edu/funding/HSFGEFInfo.asp>.
 - a) **Section 5** – List principal investigator and all co-investigators involved in the generation of the proposal. Include NIH format *Biographical Sketches* and *Other Support* on all individuals as attachments. Applications will be accepted from any faculty in the University subject to proper sponsorship (See b below).
 - b) **Section 6** –Required sponsors include, a) the faculty member’s Departmental Chairman, and/or b) a Chairman of a department in the Academic Health Center (AHC). A faculty member from an AHC school must be one of the investigators. Letters of support from center directors and chairs are encouraged as attachments.
 - c) **Section 7** – A sample budget has been provided. Please insert the budget for the proposed award on the page following the sample.
 - d) **Section 8** - Budget considerations are explained in the *Guidelines for the HSF General Endowment Fund Application*.
 - e) Do not include appendices. Attachments may include biographical sketches, other support, and letters of support only. When applicable, quotes for proposed equipment purchases may also be included in the attachment.

If you have questions, please contact Elyse Clay at the University of Alabama Health Services Foundation Executive Office/JNWB Suite 502, at 934-9296 or via e-mail at: eclay@uabmc.edu.

(7) Sample GEF Award Budget

(Following this basic format, insert your own 2-year budget on the following page. You do not need to include this sample page in your application.)

Please note: There is no minimum or maximum amount of funds that can be requested; however, the GEF award allocation for the total of all grants approved for 2018-19 is \$1.5 million.

Budget Category	Year 1	Year 2
Annual Operating Expenses		
Salary Expenses	\$30,000	\$30,000
Supplies	25,000	15,000
Patient Care Costs	5,000	5,000
Alterations and Renovations	0	0
Consortium Contractual Costs	0	0
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Total Annual Operating Expenses	\$60,000	\$50,000
Other Expenses	\$25,000	\$25,000
Capital Items / Equipment		
Item 1	\$25,000	\$0
Item 2	15,000	0
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Total Capital Items	\$40,000	\$0
Total Costs	\$125,000	\$75,000

(7) GEF Award 2-Year Budget:

(8) Budget Justification:

(9) Specific Aims, Benchmarks and Benefits:

(10) Description of project:

(11)

- A. Rationale for request of these funds from HSF endowment.**
- B. Plan for management of these funds and mechanisms to be pursued for long-term funding of the proposed project with timetable.**
- C. List of other developmental funds provided by UAB to the P.I. and supervisor over the last three years (amount, date, source, and purpose).**
- D. List any other source of funds that may be used to support the proposed research.**