• Welcome – Chris Brown, PhD, Vice President for Research
• Introductions - Melinda Cotten
• Announcements
  • Master Contracts (Melinda Cotten)
  • Faculty Websites (Melinda Cotten)
• Basic Instruction in RCR for Faculty & Staff (Matt Ronning)
• Research Administration Roles & Responsibilities
  • Principal Investigators (Pariya Wheeler)
  • Department/Centers/Unit Research Administrators (Doug Bentley)
  • Deans, Department Chairs, Units/Division Leaders (Marie Bakitas)
  • Office of Sponsored Programs (Alice Harding)
• myUABresearch (Mike Matthews)
• HIIE Entrepreneurship (Karthik Gopalakrishnan)
Announcements

• **Master Contracts**
  • UAB OSP Home Page > Project Management > Industry Projects > Project Masters Agreements *
  • UAB has about 70 master contracts with industry for a variety of project types
  • Contact your assigned OSP Officer for assistance

• **Faculty Websites**
  • Web Communications & Digital Strategy provide website resources to faculty
  • Wordpress shell: https://www.uab.edu/toolkit/web/wordpress

*You must log in with your BlazerID email because this uses MS365 firewall*
Responsible Conduct of Research (RCR) Training for Faculty & Staff

Matt Ronning
Assistant Vice President for Responsible Research Practices
Research Integrity Officer

Lisa Schwiebert, PhD
Interim Dean
Graduate School
RCR Training Coordinator
### Executive Summary of RCR Training at UAB

#### Introduction
- In 2015, the President’s Risk Cabinet identified a **need for required RCR training** across the UAB Research Enterprise.
- To date, RCR training requirements have been implemented for all UAB trainees engaged in research, **but not for faculty and staff**.

#### Objectives
- Define **RCR training requirements for faculty and staff** engaged in research.
- Describe oversight process to ensure **training compliance**.
- Announce **initial soft launch** for these RCR training requirements.
- Outline future **oversight and facilitation** needs from units.
Definition of Faculty and Staff Engaged in Research

• Listed as **key personnel** on an active, sponsored research project, IRB or IACUC protocol

• Supported via **internal** start up, pilot or bridge funding mechanism

• **Staff working in UAB Core Facilities**
RCR Training Components

- **CITI RCR Modules**
  - Set of 6 online modules; can complete in approximately 90 minutes
  - Each module has a quiz; must achieve 80% accuracy
  - Renew every 4 years

- **Faculty & Staff Course**
  - Authorship
  - Data management
  - Export control
  - Peer review
  - Plagiarism
  - Reproducibility
Oversight Plan: Support for Faculty & Staff RCR Training Engagement – Effective 10.01.2021

**Notify Faculty/Staff**
- Responsible Personnel Lists, IRB, IACUC, OSP
- Internal funding recipients (crucial School support)
- Core Facilities and Centers staff
- Automated notifications under development

**RCR Training Obligation**
- Upon submission of proposal & prior to Notice of Award
- Prior to approval of IRB/IACUC Compliance Protocols
- Upon hire / build into annual reviews

**RCR Training Completion**
- Successful completion of RCR training requirements reported via dashboards
- Renewal compliance in 4 years – perpetual program refresher and refinement (sustaining ethical scientists)
FAQs: Responding to Concerns...

• “Why do I need to do this?”

• “Do I have to pay for this?”

• “I can’t register with CITI”

• “I’ve already completed IRB training – isn’t that the same?”

• “I’ve already completed this training at a previous institution - do I have to do this again?”
How to Enroll

1. Login in using your BlazerID and Password
2. Follow the prompts to “Add a Course”
3. Find and select the “RCR – Basic Course for Faculty and Staff,” and complete the course at your convenience

https://citiprogram.org/

Trouble? Contact uabrcr@uab.edu for assistance
Questions?

uabrcr@uab.edu
Principal Investigators
Roles and Responsibilities

Pariya Wheeler, PhD
Associate Professor
School of Nursing
Intro

- PI responsible for oversight of scientific, technical, budgetary/financial, and staffing/supervisory roles of project, with appropriate resources and support
  - Translation: *PI is responsible for everything!*
  - Jack of all trades, master of ONE, hint: *science*
  - It takes a village
STEP 1: Identify funding opportunities

- Join funding agency listservs
- **Pivot-RP** for Funding Opportunities
- UAB Provides **SPIN**
- Keep eye out for emails from colleagues and departmental/center funding announcements
- Good old fashioned GOOGLE
- This isn’t just about finding funding opportunities, it’s about understanding the state of the science to know if your topic is fundable
STEP 2: Initiating/Completing grant submission process within unit

- This assumes you have a solid idea and team, have identified funding source, and spoken to PO
- Follow OSP and unit timing guidelines, as well as institutional and sponsor instructions and terms and conditions
- PI focuses on SCIENCE
- Develop budget with unit/department admin
  - Consider any needs for IDC splits
  - Identify COIs
  - Ensure Biosketches are up to date
STEP 3: Executing the Study

• Obtaining/maintaining approvals from research regulatory oversight boards
• Hiring and training staff, including human subjects training
  • This includes students and postdocs
• Ensuring proper recording/storage of data
• Reviewing monthly grant statements
• Submitting annual and final reports required by sponsoring agencies
• Identifying and addressing issues regarding research ethics and scientific misconduct

There is no music without the full symphony
Department/Centers/Unit Research Administrators

Doug Bentley
Director, SOM Pre-award Support Service,
Dean’s Office, Mamix E. Heersink School of Medicine
Let's start with some common misconceptions of our roles

**SCIENTISTS**
- What my mom thinks I do
- What my friends think I do
- What society thinks I do
- What my boss thinks I do
- What I think I do
- What I really do

**Research Administrators**
- What our families think we do
- What PIs think we do
- What deans/directors think we do
- What we think we do
- What our bosses think we do
- What we actually do
Examples of overarching roles and responsibilities

Department administrators and unit research administrators are responsible for:

A. Supporting PIs to ensure that research proposals are prepared completely and processed in a timely manner

B. Ensuring that grant awards are administered in compliance with University policies and procedures

C. Ensuring grant awards are administered in compliance with federal/state laws and other regulations
Supporting PIs to ensure research proposals are prepared completely and processed in a timely manner

Examples of roles related to the pre-award phase

- **Identifying** funding opportunities with the PI
- **Working with PIs** by reviewing program guidelines in order to help/assist with proposal submission and award upkeep/compliance
- **Assisting** with ensuring compliance with existing University and departmental policies
- **Assisting PI** by verifying and/or compiling business documents for proposals such as Other Support and Biosketches (according to dept./unit/center practices, applicable sponsor requirements, and confirming the accuracy of the information with the faculty member)
Common examples of roles related to the post-award phase

- **Reviewing** accounting statements to ensure that expenses are charged appropriately, making these available to the PI and bringing any questions/concerns to their attention
- **Initiating** any requests from PI for amendments to funds (e.g., carryforward, NCE) via OSP
- **Assisting** the PI in planning grant expenditures to ensure timely closeout
- **Assisting** the PI on effort reporting and other reporting requirements
- **Ensuring** all vendors/subawardees are registered with UAB iSupplier System
- **Assisting** PI and department with identifying funds to cover project cost overruns
- **Processing** subcontract invoices upon PI approval

Disclaimer: this is a fictional depiction; not a real administrator managing actual grant money.
An important aspect of NIH awards to further understand the “why” of our roles

Wait...It’s Not MY Grant?

By Mike Lauer
Posted May 29, 2018

“For the most part, NIH makes awards to institutions, not people. This may seem counterintuitive since the idea for the research may have come from the investigator.

Why do we do it this way?

The rules for all Federal awards - including uniform administrative requirements, cost principles, and audit requirements anticipate that an institution/organization carries out a Federal award as the “recipient” of the award.

The institution designates individuals, including an “authorized organization representative” (AOR) the program director/principal investigator (PD/PI), to assume the responsibilities described below, in fulfilling the terms and conditions of their award.”

The print-and-take-home slide: An overview of the role of Department/Centers/Unit Research Administrators

Department/Centers/Unit Research Administrators are responsible for:

A. Supporting the PIs to ensure that research proposals are prepared completely and processed in a timely manner
B. Ensuring that grant awards are administered in compliance with University policies & procedures, federal and/or state laws and regulations, and other applicable regulations

Common duties include, but are not limited to:

• Identifying funding opportunities in collaboration with PI
• Reviewing program guidelines in order to assist PIs with proposal submission and award upkeep/compliance
• Reviewing accounting statements to ensure that expenses are charged appropriately, making these available to the PI and bring any questions/concerns to their attention
• Initiating any requests from PI for amendments to funds (e.g., carryforward, NCE) via OSP
• Assisting the PI in planning grant expenditures to ensure timely closeout
• Assisting the PI on effort reporting and other reporting requirements
• Ensuring all vendors/subawardees are registered with UAB iSupplier System
• Assisting PI and department with identifying funds to cover project cost overruns
• Processing subcontract invoices upon PI approval
• Assisting with ensuring compliance with existing University and departmental policies
• Verifying and/or compiling business documents for proposals such as Other Support and Biosketches, according to department/unit/center practices and applicable sponsor requirements and confirm with the faculty member that the information is correct
Ending with good news: this is no longer an example of a “timely” grant submission

Getting the grants to FedEx by 9:35 AM

Flying grants to Bethesda by Friday 5:00 PM
Questions?

dbent@uab.edu
What is the Dean, Dept. Chair, Unit Director Role in Moving Your Scholarship Forward?

Marie Bakitas, DNSc
Associate Dean for Research & Scholarship
School of Nursing
Leader’s signature on Extramural Checklist indicates that:

PI will have access to adequate facilities and will provide the scientific, technical, administrative, and financial leadership required for the proper conduct of the project or program including submission of all required reports.
Senior leaders ensure that there are School, Dept, Division resources in 3 areas to carry out the project

- PI
- Dept time & Infrastructure
- Fiscal & Administrative Support
The leader acknowledges that the PI

• Is **competent** in the area of research

• Will follow applicable **safety standards and regulations** and has plans for appropriate action to comply with them

• Can successfully manage the **financial/budgetary and scientific** aspects of the proposed research project

• Will comply with **University and departmental policies**

• Has resources for **review of scholarly merit** of the project
Dept Time & Infrastructure

• Availability of University and department space, facilities, and equipment including information technology resources to fulfill project needs

• Departmental infrastructure to provide necessary administrative support (personnel and supplies), monthly analysis of statements, burn rate calculations, biosketch, and Other Support assistance

• Provide necessary Departmental infrastructure to verify and/or compile business documents for proposals such as Other Support and Biosketches
Fiscal & Administrative Management

• Adequate review of financial commitments (e.g., grants budget, determination of the department to prevent cost overruns, external activities)

• Assurance that the project will be conducted with appropriate management and oversight

• Provide necessary resources for Dept. Research Admin/delegate to provide timely information on expenditures and “burn rate”
In summary...
Questions?

mbakitas@uab.edu
Office of Sponsored Programs Roles & Responsibilities

Alice Harding JD, Assoc Director
Office of Sponsored Programs Nonprofit Team
Reviews

Reviews, negotiates, approves, and provides institutional signature for externally sponsored research and projects:

- Proposals
- Awards
- Contracts
Monitoring Compliance:

- Federal regulations
- UAB policies and SOPs
- Sponsoring agency policies and procedures (non-financial)
Training

OSP takes responsibility for training of researchers and staff in preparation of grant/contract applications and in the non-financial management of sponsored programs
OSP Responsibilities

• Creates, and consistently implements well-documented procedures that facilitate the conduct of sponsored activities while ensuring compliance with sponsor and university requirements

• Ensures seamless research administration from proposal review/submission through timely award closeout

• Provides effective stewardship of sponsor policies and promotes positive sponsor interactions
OSP Responsibilities

- Partners with other university entities to develop a shared agreement on practices and procedures
- Provides college and department support staff with the necessary tools, resources and training so they can also enable investigators to successfully engage in scholarly activities
- Creates valid metrics that measure performance and progress toward OSP goals
OSP Responsibilities

• Streamlines administrative processes and minimizes the administrative burden for investigators conducting sponsored programs by providing easily accessible and intuitive administrative information systems

• Populates and updates sponsored research database, including regular status updates for all awards

• Works with PI or Unit staff on developing a compliant submission and signs/submits proposals to sponsor
OSP Responsibilities

• Reviews and provides feedback of annual reports, Other Support, Biosketches, Budgets, and other award materials

• Coordinates with other Central offices on study start-up compliance approvals (IRB, CIRB, etc.)

• Provides guidance and answers to PI/unit on questions about sponsor polices and submission requirements
Questions?
osp@uab.edu
myUABresearch Update

Michael A. Matthews
Director, Research Technology & Communications
Project eRA Timeline

28 of 30 processes completed

Strategy, Priority, Timeline

- eRA needs assessment - completed-
- eRA solution identification - completed-
- Business processes re-engineering - in progress-
- eRA solution implementation planning - in progress-
- eRA solution configuration & deployment
Project eRA Updates

• The name of the system will be myUABresearch. Monthly updates available at https://www.uab.edu/research/home/project-era

• A working group has been established to address current system issues such as system timeout errors

• Research Technology and Communications (RTC) and UAB IT are finalizing plans to update current system code which will provide 251 separate enhancements to improve system performance

• A database audit is being planned which should improve current system responsiveness

• OCIRB and OSP have participated in numerous demonstrations to finalize base configurations for the new COI and S2S submission processes
Project eRA Success Factors

Reliability
Responsiveness
Ease of Use
Integration
Dashboards
Communications/Alerts
Reporting/Business Intelligence
Executive Steering Committee
Small executive co-sponsor strategic group to ensure the project progresses through the IT governance process appropriately

Project eRA Core Team
Tactical group whose members will include the Office of Research staff assigned to work on the project along with their leadership

Project eRA Advisory Group
Broad representational group from campus to advise the project on both specific and broad issues

Implementation Task Force
Members from core team and advisory group along with additional campus staff who will assist implementation and linkages with other systems as well as testing and piloting for roll out on campus
myUABresearch – Revitalization/New Functionality

Revitalized Modules
- Proposal Tracking (OSP)
- Human Subjects (OIRB)
- Material Transfers (MTO)
- Lab Animals (IACUC)

New Modules
- Proposal Development (S2S)
- Conflict of Interest (New)
- Agreements Module
- Subaward/Subrecipient/Entity Mgmt.
- Award and Financial Tracking (PAM)
- Export Control
- Animal Facilities Mgmt.
myUABresearch – Proposed Implementation Plan

Phase I
- Conflicts of Interest (FCOI)

Phase II
- Proposal Development (S2S)
- Proposal Tracking
- Agreements Module (MTO/Clinical Trials)
- Subawards/Subrecipients/Entity Mgmt
- Post Award Management (PAM)

Phase III
- OIRB
- IACUC
- Export Control

Phase IV
- Animal Facilities Mgmt. (Pilot)
myUABresearch Implementation Expected Timeline

**Fall 2022**
Phase I
- COI Module

**Winter 2023**
Phase II
- Proposal Development (S2S)
- Proposal Tracking
- Agreements Module (MTO/Clinical Trials)
- Subawards
- Post Award Management

**Spring 2023**
Phase III
- OIRB
- IACUC
- Export Control
Questions?

mimatt@uab.edu
HIIE Entrepreneurship
Research Commercialization Resources

Karthik Gopalakrishnan, Ph.D.
Director of Licensing and New Ventures
THE ROADMAP FOR COMMERCIALIZATION

1. HAVE AN IDEA?
   commercialization starts with innovation

2. DISCLOSE NEW IP
   licensing experts will explore IP protection & commercial viability

3. HARNESS THE ECOSYSTEM
   tap into entrepreneurial training, mentorship and funding opportunities

4. BUILD A BUSINESS PLAN
   outline a strategy for growing the new venture

5. OBTAIN EOC APPROVAL
   key university leadership will review the development plan

6. CREATE A BUSINESS ENTITY
   obtain legal counsel to determine ideal business structure

7. BUILD A TEAM
   assemble an experienced, dynamic management team

8. PURSUE FUNDING
   accelerate growth through investments and grant funding
Entrepreneurial Ecosystem

Office of Compliance and Risk Assurance
Conflict of Interest Review Board
Office of Sponsored Projects
Harbert Institute
UAB I-CORPS
CCTS I-Panels
Collat School of Business
ALABAMA Launchpad
Bham BizHub
Bronze Valley Accelerator
ScaleUp
Techstars Alabama
Velocity Accelerator
The New Innovator Toolkit

ENTREPRENEURSHIP RESOURCES
Tap into training, mentorship and funding opportunities on campus and locally

FUNDING OPPORTUNITIES
Accelerate growth through funding dedicated to research and development

UAB POLICIES
Understand the policies for launching a startup and using university resources

KEY UNIVERSITY PARTNERS
Harness the interdisciplinary network driving UAB research commercialization

PROCESS & TIMELINE
Navigate campus requirements for starting or growing a new venture
## SBIR/STTR Timeline

<table>
<thead>
<tr>
<th>Step</th>
<th>Faculty</th>
<th>SBC</th>
<th>CCTS</th>
<th>HIIE</th>
<th>OSP</th>
<th>UAB DEPT</th>
<th>CIRB</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Early Stage</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Submits Financial Disclosure as necessary (within 30 days of acquiring the Financial Interest)</td>
<td>• Identifies funding mechanism</td>
<td>• Facilitates discussion of scientific optimization &amp; value proposition</td>
<td>• Refers PI and UAB Start-Up Entity to commercialization ecosystem (e.g., I-Panels, TIES, I-Corps, OIE consultation)</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Discusses idea with Dean or Dept. Chair</td>
<td>• Identifies university/faculty partner</td>
<td>• Works with PI to explore market &amp; business opportunity</td>
<td>• Creates Company Development Plan if company is a UAB Start Up Entity</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>60-90 Days Before Due Date</strong></td>
<td>• Submits External Activity Request if appropriate</td>
<td>• Obtains external IRB and other approvals</td>
<td>• Reviews proposals and written strategy prior to submission</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Submits UAB scope of work and budget</td>
<td>• Works with HIIE to create company development plan</td>
<td>• Further refinement of extramural applications</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>30-60 Days Before Due Date</strong></td>
<td>• Identifies UAB scope of work and budget</td>
<td>• Provides working copy of application to UAB PI at least 5 days before submission</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Submits 30-Day Notice of Intent to Submit a SBIR/STTR Proposal to OSP</td>
<td>• Submits application to agency on or before due date</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>0-30 Days Before Due Date</strong></td>
<td>• Submits all Required Documents to OSP 5 days before SBC’s submission</td>
<td></td>
<td>• Provides working copy of application to UAB PI at least 5 days before submission</td>
<td>• Negotiates option or license with HIIE for background IP</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• If award is not made, notifies OSP with intent to resubmit or abandon Project.</td>
<td></td>
<td>• Provides working copy of application to UAB PI at least 5 days before submission</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Post-Due Date</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Pre-Award</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Performs work within the scope of budget and UAB G&amp;A procedures including closeout</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**60-90 Days Before Due Date**
- **Post-award begins here.**

**30-60 Days Before Due Date**
- **Key deadlines:**
  - Submit 30-Day Notice of Intent to Submit a proposal.

**0-30 Days Before Due Date**
- **Key deadlines:**
  - Submit all required documents.

**Post-Due Date**
- **Key activities:**
  - If award is not made, notify OSP with intent to resubmit or abandon Project.

**Pre-Award**
- **Key activities:**
  - Perform work within the scope of budget and UAB G&A procedures including closeout.
FACULTY SBIR/STTR CHECKLIST

BEFORE SUBMISSION

EARLY STAGE
- Submits Financial Disclosure as necessary (within 30 days of acquiring the Financial Interest)
- Discusses idea with Dean or Dept. Chair

60-90 DAYS OUT
- Submits External Activity Request if appropriate

30-60 DAYS OUT
- Identifies UAB scope of work and budget
- Submits 30-Day Notice of Intent to Submit a SBIR/STTR Proposal to OSP

0-30 DAYS OUT
- Submits all Required Documents to OSP 5 days before SBC’s submission

AFTER SUBMISSION

PRE-AWARD
- If award is not made, notifies OSP with intent to resubmit or abandon Project.

POST-AWARD
- Performs work within the scope of budget and UAB G&A procedures including closeout

KEY
- FACULTY
- SBC
- CCTS
- HIE
- OSP
- DEPT
- CIRB
Questions?

karthikg@uab.edu
Thank you for attending!