

UAB THE UNIVERSITY OF
ALABAMA AT BIRMINGHAM.

Research Administration Forum

December 1, 2021

Agenda

- 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)
- HIIIE 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**

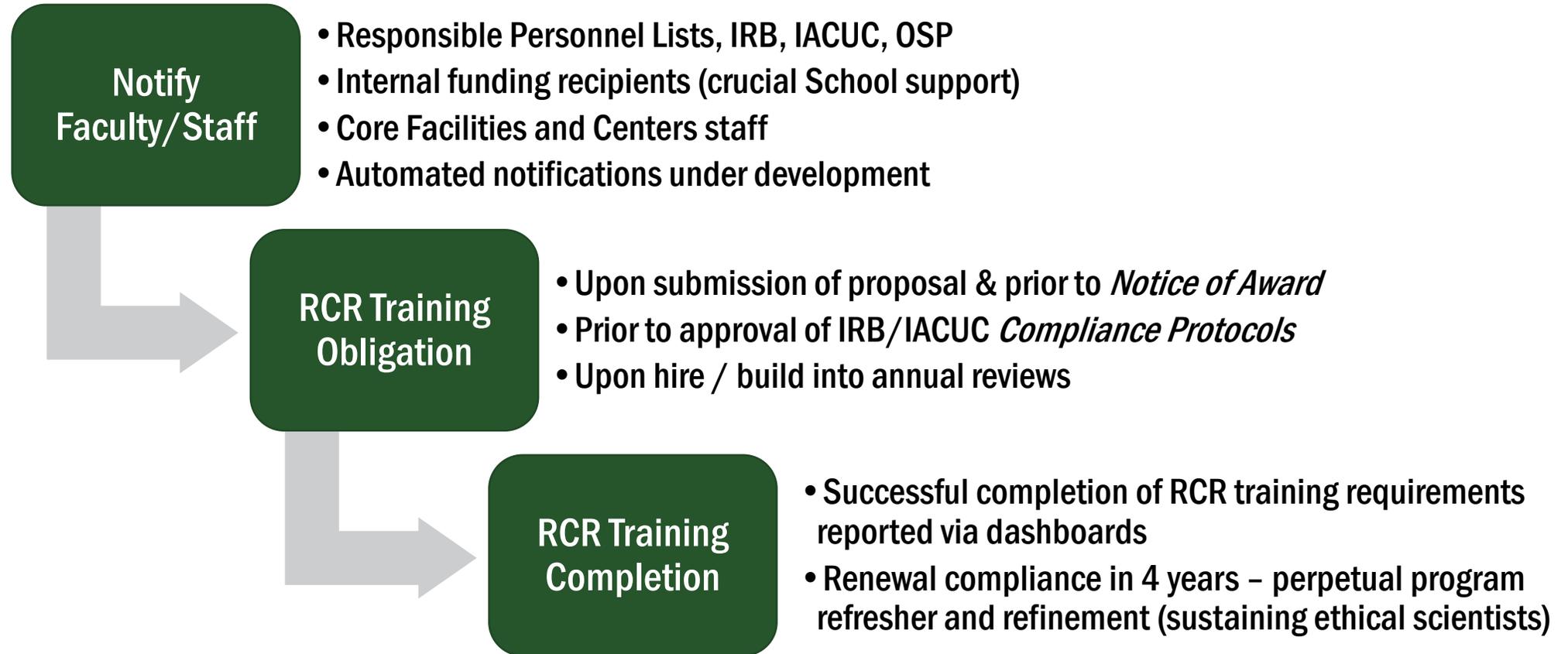


RCR Training Components

- **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



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/>



1 LOG IN LOG IN THROUGH MY ORGANIZATION REGISTER

2

Learner Tools for University of Alabama, Birmingham

- Add a Course
- [Remove a Course](#)
- [View Previously Completed Coursework](#)

Question 3

Responsible Conduct of Research

Please make your selection below to receive the course in the Responsible Conduct of Research.

3

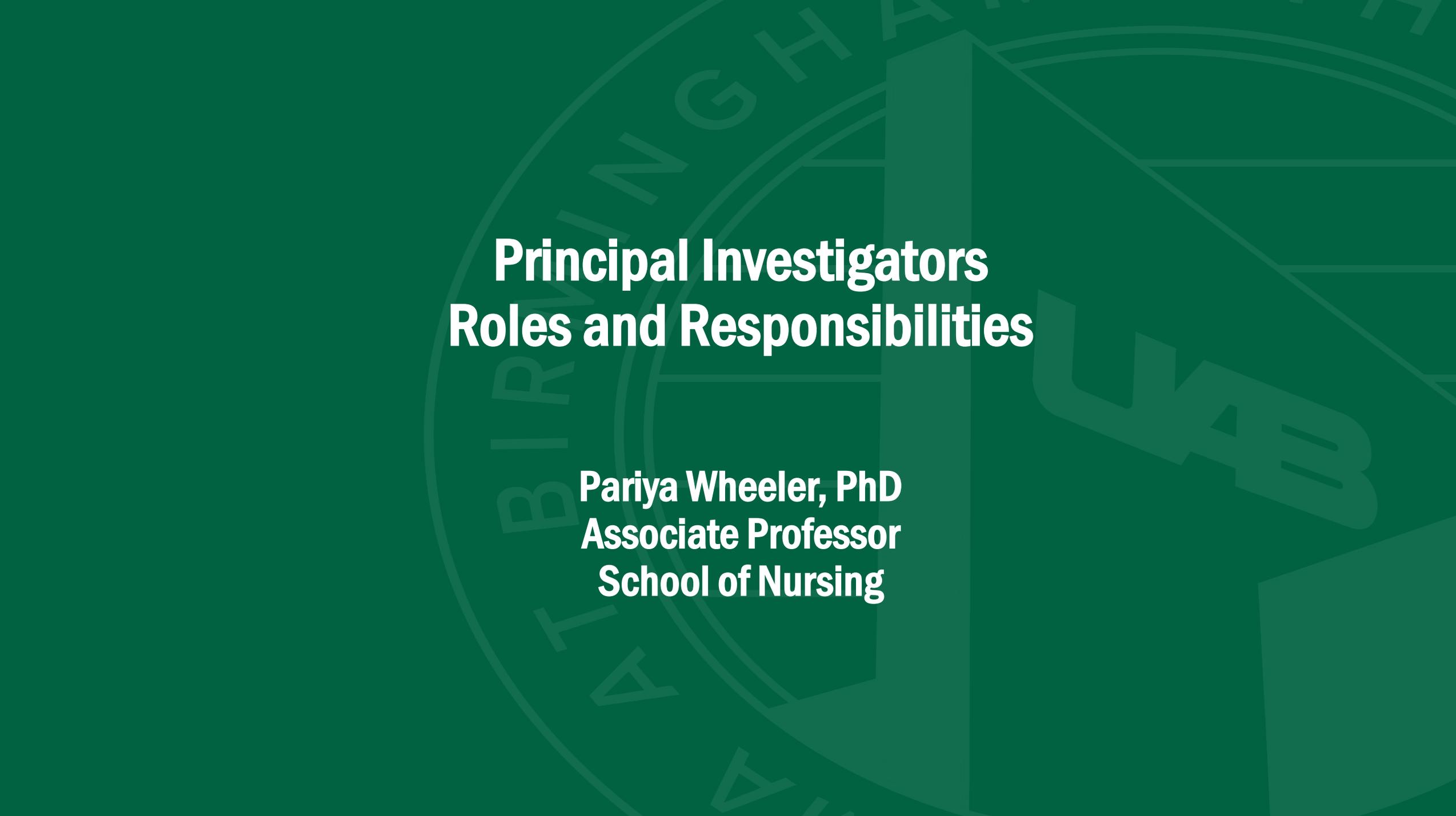
- RCR Basic Course
- RCR - Basic Course for Faculty and Staff
- RCR Abbreviated Course for Undergraduate Students
- Not at this time.

Trouble? Contact uabrccr@uab.edu for assistance



Questions?

uabrcr@uab.edu

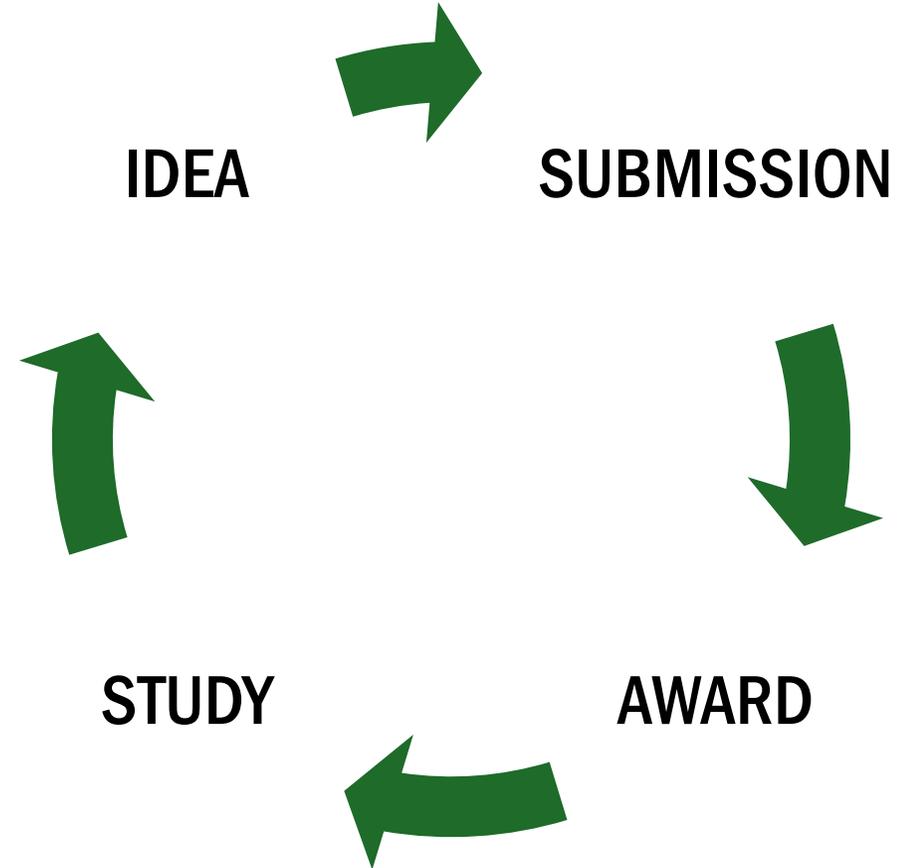


Principal Investigators Roles and Responsibilities

**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*

Funding

NIH offers funding for many types of grants, contracts, and even programs that help repay loans for researchers. Learn about these programs, as well as about NIH's budget process, grant funding strategies, and policies, and more.



Find Grant Funding

(NIH Guide to Grants and Contracts)

The NIH Guide for Grants and Contracts is our official publication for NIH grant policies, guidelines and funding opportunities. We publish daily, and issue a table of contents weekly. [Learn more](#) about the NIH Guide and [subscribe today!](#)

[View all Parent Announcements](#)

(for unsolicited applications)

Search for funding opportunities and notices:

Office of Research

tunities ▾ Research Development Tools ▾ Faculty Develo

[Current Covid Health and Safety Guidelines](#)

Funding Opportunities

University of Alabama at Birmingham [Sign In](#)

Pivot-RP
funding opportunities

UAB SPIN World's Largest Database of Sponsored Funding Opportunities

Search ▾ Preferences ▾ Saved Searches ▾

Help ▾

Clear

Locate Funding

Exclude US Federal Opportunities

You have no additional filters active. [Click here to edit them.](#)

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

The background of the slide is a solid dark green color. A large, faint watermark of the University of Alabama at Birmingham (UAB) logo is visible, centered behind the text. The logo consists of a circular seal with the text "UNIVERSITY OF ALABAMA AT BIRMINGHAM" around the perimeter and a central emblem featuring a stylized figure. The text "QUESTIONS?" and the email address "plfazeli@uab.edu" are overlaid on this background in a bold, white, sans-serif font.

Questions?

plfazeli@uab.edu

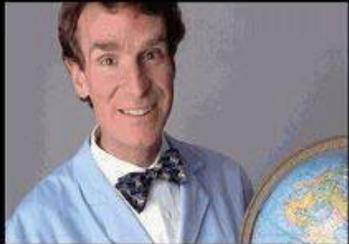
Department/Centers/Unit Research Administrators

Doug Bentley

**Director, SOM Pre-award Support Service,
Dean's Office, Marnix E. Heersink School of Medicine**

Let's start with some common misconceptions of our roles

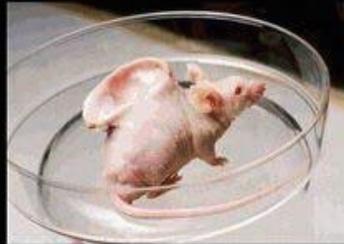
SCIENTISTS



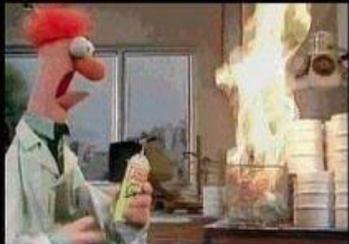
what my mom thinks I do



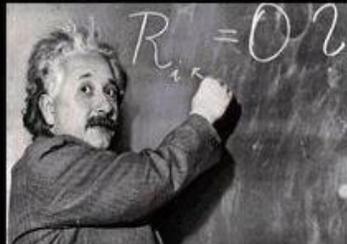
what my friends think I do



what society thinks I do



what my boss thinks I do



what I think I do



What I really do

Research Administrators



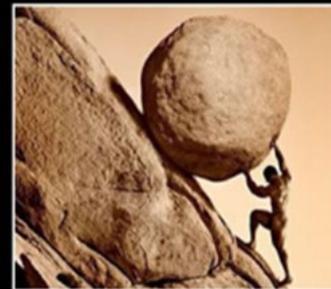
What our families think we do



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.”¹

1: Accessed from: <https://nexus.od.nih.gov/all/2018/05/29/waitits-not-my-grant/>

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

The background features a large, semi-transparent watermark of the University of Alabama at Birmingham logo. The logo is circular and contains the text "UNIVERSITY OF ALABAMA AT BIRMINGHAM" around the perimeter. In the center of the logo is a shield with a book and a torch. The entire image has a dark green color scheme.

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

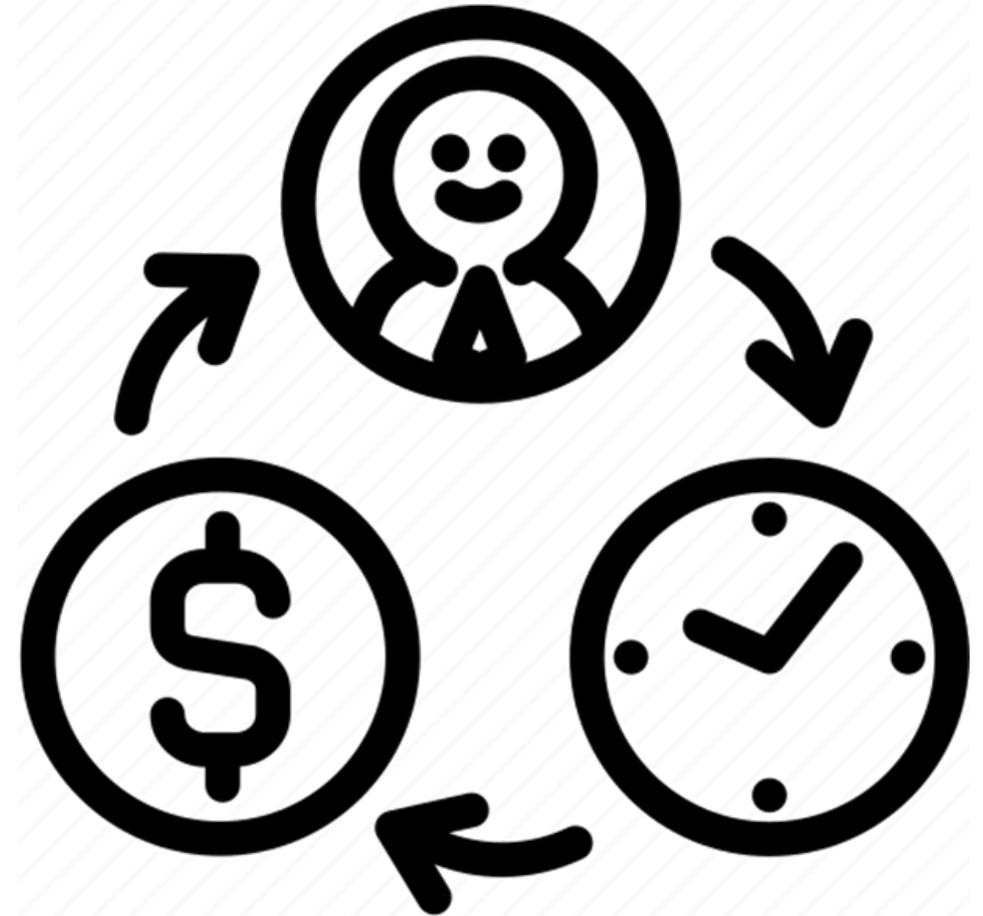
Leader's signature on Extramural Checklist indicates that:

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...



The background features a large, semi-transparent watermark of the University of Alabama seal. The seal is circular and contains the text "UNIVERSITY OF ALABAMA" around the perimeter. In the center, there is a shield with a cross, and above the shield, the word "ALABAMA" is written in a stylized font. The entire seal is rendered in a light green color that blends with the dark green background.

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

The background features a large, semi-transparent watermark of the University of Alabama at Birmingham (UAB) logo. The logo is circular and contains the text "UNIVERSITY OF ALABAMA AT BIRMINGHAM" around the perimeter. In the center, there is a stylized "UAB" monogram. The watermark is rendered in a light green color, matching the overall dark green background.

Questions?

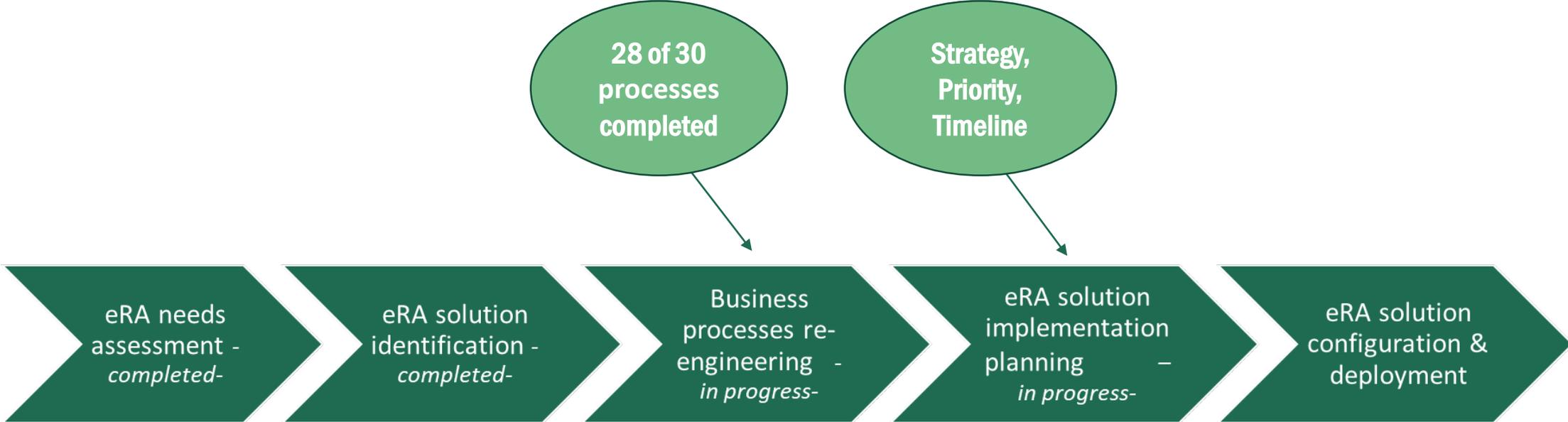
osp@uab.edu

myUABresearch Update

Michael A. Matthews

Director, Research Technology & Communications

Project eRA Timeline



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

myUABresearch - Engagement

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

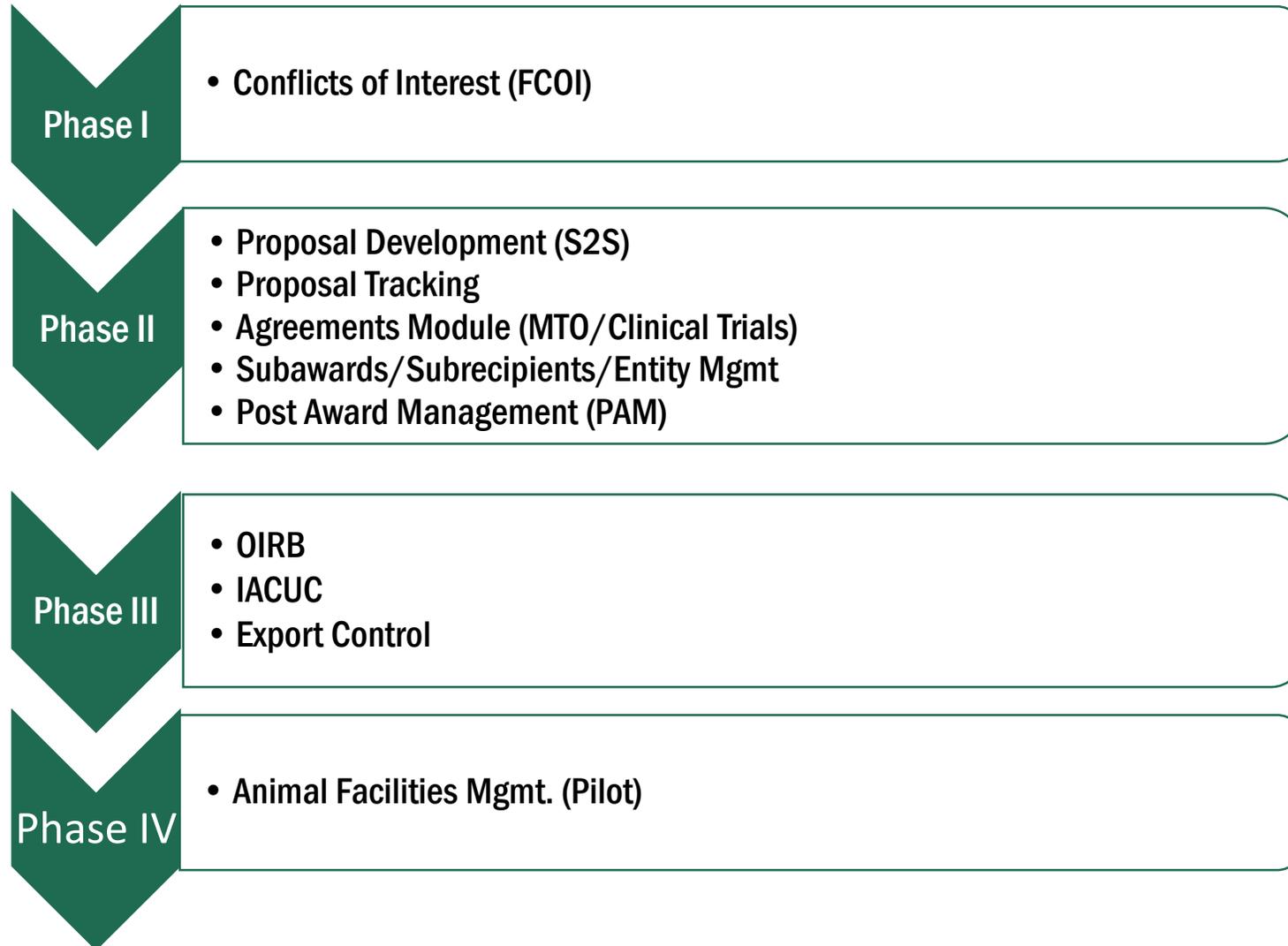
Revitalized Modules

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

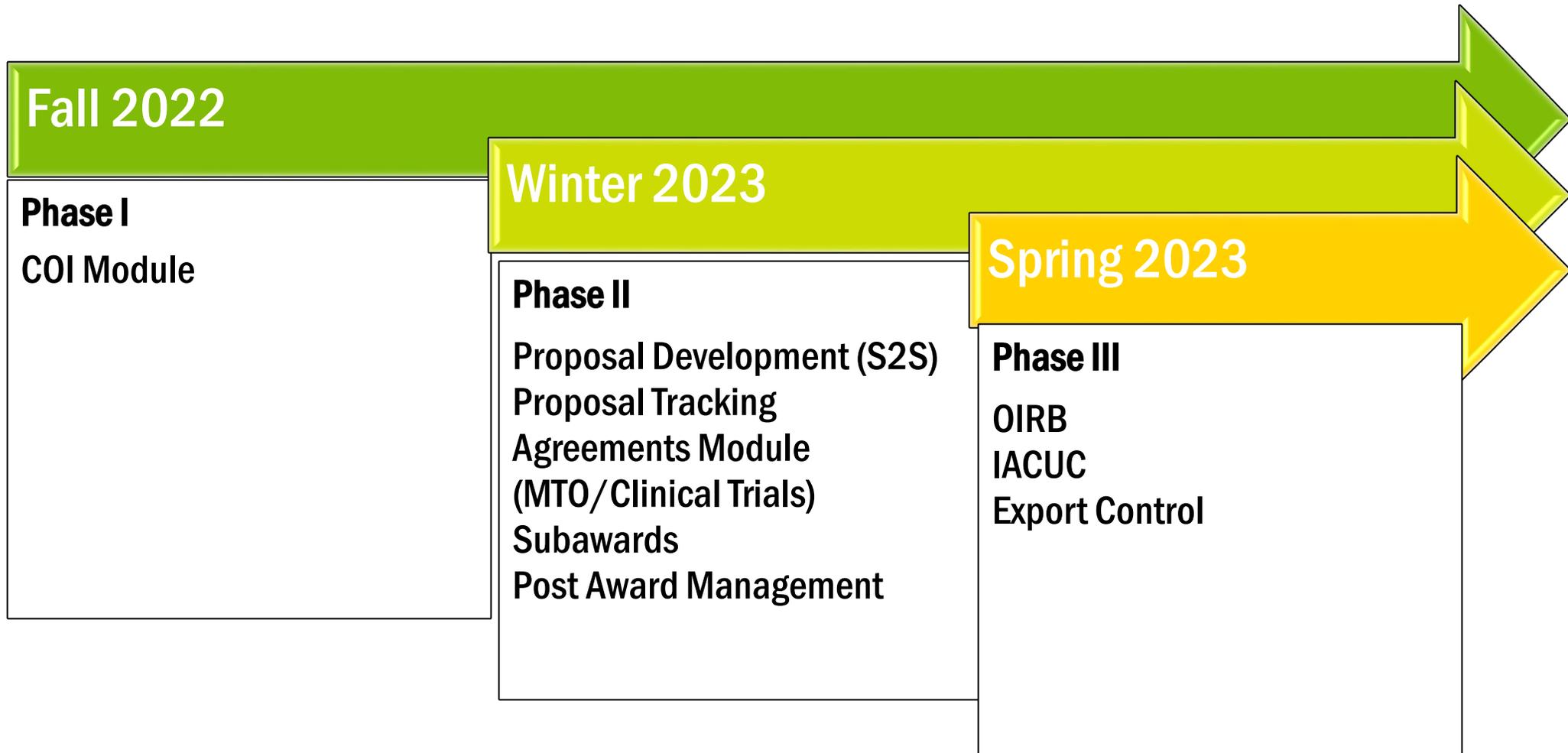
New Modules

- 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



myUABresearch Implementation Expected Timeline





Questions?

mimatt@uab.edu



**HIE 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

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

2 DISCLOSE NEW IP

licensing experts will explore IP protection & commercial viability

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 inter-
disciplinary network
driving UAB research
commercialization



PROCESS & TIMELINE

Navigate campus
requirements for starting
or growing a new venture

SBIR/STTR TIMELINE

EARLY STAGE

60-90 DAYS
BEFORE DUE DATE

30-60 DAYS
BEFORE DUE DATE

0-30 DAYS
BEFORE DUE DATE

POST-DUE DATE
PRE-AWARD

POST- AWARD



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

- Submits External Activity Request if appropriate

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

- Submits all Required Documents to OSP 5 days before SBC's submission

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

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



- Identifies funding mechanism
- Identifies university/faculty partner

- Obtains external IRB and other approvals
- Works with HIIE to create company development plan

- Provides working copy of application to UAB PI at least 5 days before submission
- Submits application to agency on or before due date

- Negotiates option or license with HIIE for background IP

- Provides subaward to UAB OSP for processing



- Facilitates discussion of scientific optimization & value proposition
- Works with PI to explore market & business opportunity
- Navigates funding opportunities for proof of concept

- Reviews proposals and written strategy prior to submission

- Further refinement of extramural applications

- Scientific optimization and implementation strategy



- Refers PI and UAB Start-Up Entity to commercialization ecosystem (e.g., I-Panels, TIES, I-Corps, OIE consultation)

- Creates Company Development Plan if company is a UAB Start Up Entity

- Receives 30-Day Notice of Intent to Submit an SBIR/STTR and performs preliminary review

- Negotiates option or license with SBC for background IP

- Performs agreement compliance including for achievement of milestones via periodic reports



- Receives 30-Day Notice of Intent to Submit an SBIR/STTR and performs preliminary review
- Forwards Notice to HIIE and CIRB

- Provides pre-submission grant review
- Provides Letter of Support to SBC for proposal
- Coordinates Allocation of Rights for Project IP

- Processes subaward received from SBC



- Reviews External Activity Request if appropriate (approval required)

- Reviews scope of work and budget (approval required)
- Reviews Request for Use of UAB Resources (approval required)

- Reviews SBIR/STTR Extramural Checklist prior to submission to OSP (Dean or Dept. Chair signature required)

- Provides financial monitoring as appropriate



- Receives 30-Day Notice of Intent to Submit an SBIR/STTR from OSP and performs preliminary review

- Issues a management plan to the PI if a conflict of interest is identified (final review occurs upon receipt of award)

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



HIEE



OSP



DEPT



CIRB

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Questions?

karthikg@uab.edu



Thank you for attending!