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 including university-wide projects consistent with institutional priorities 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 address enhancement of the capacity and **infrastructure** of the Medical Center to support research, education, and clinical care. Applications will be reviewed that request funding for:
   1. Initiation of patient-oriented and laboratory research programs, clinical care initiatives, and medical education initiatives
   2. New instrumentation, equipment, and shared facilities
   3. Salary support for ancillary personnel, supplies, and expense for consultants
2. **Exclusions From Consideration.** Applications will not be considered that request funding for:
   1. Salary support for faculty
   2. 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
   3. 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*.
   4. Faculty recruitment (the HSF-GEF Scholars program is noted above).
3. **Applications of low priority.** Although accepted and reviewed, successful applications for funding are unlikely to be, or to include,:
   1. Single investigator projects or initiatives.
   2. “R01-like” applications even if multi-PI in structure
   3. Pilot projects
4. **Who May Apply?** Any faculty member in the University who obtains sponsorship and approval of one of the Departmental Chairs 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 Chair must indicate his or her sponsorship and approval of the application.
5. **Application Forms.** The GEF application, guidelines and instructions are available at the following web address: <https://apps.medicine.uab.edu/funding/HSFGEFInfo.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** 
   1. May 1, 2025 Application web site open for submissions
   2. June 27, 2025 Application submission deadline (4:00 pm)
   3. August 12, 2025 GEF Review Group recommendations completed
   4. September 5, 2025 GEF Annual Committee meeting
   5. September 30, 2025 UAHSF Board decision released
   6. November 1, 2025 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 review groups (Patient-Oriented, Clinical Care Initiative, Laboratory Research, Medical Education) selected by the applicant on the cover page of the grant application form. Applications directed by the applicant to the wrong review group are likely to receive lower priority scores.

After each group’s review of applications and the meeting of the group chairs to discuss all reviews, each review group provides the HSF-GEF Committee a list of the proposals ranked by the score, which was determined in the review meeting. Each proposal is accompanied by a short paragraph describing the evaluation of the importance of the proposal to UAB and the UAB Health System along with any budget recommendations. When the review group chairs report their rating to each Principal Investigator, the discussion will reflect the committees’ assessment based on the comments in the meetings and the individual reviewers’ evaluations.

# The HSF-GEF Committee will review the review groups’ 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.

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# Selection of Review Group Categories and Priority Guidelines

**Each applicant should designate the category for review from among the following:**

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

Priority will be given to applications that:

* 1. Provide / promote core facilities / infrastructure to support priority research efforts
  2. Involve the faculty in multiple departments and disciplines
  3. Demonstrate high potential to generate future, ongoing, substantive external funding
  4. Bring new science or capability to the Academic Health Center.

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

1. **Laboratory Research:** 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:

* 1. Provide / promote core facilities / infrastructure to support priority research efforts
  2. Demonstrate high potential to generate future, ongoing, substantive external funding
  3. Involve the faculty in multiple departments and disciplines
  4. Bring new science or capability to the Academic Health Center.

1. **Clinical Care Initiatives:** 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:

* 1. Broaden and enhance clinical services
  2. Improve patient care delivery including the efficiency of healthcare delivery without compromise of the quality of patient care
  3. Involve the faculty in multiple departments and disciplines.

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

Priority will be given to applications that propose to:

* 1. Rejuvenate existing and/or develop new programs
  2. Reduce passive learning and establish novel methods of active learning
  3. Increase problem-solving skills
  4. Develop new integrated interdisciplinary programs in basic and clinical science.
  5. Impact educational efforts in multiple departments
  6. Encourage life-long learning

# Fiscal and Budget Guidelines

1. Budgets may include costs for equipment, support personnel, supplies, and consultants.
2. Budgets may not include indirect costs, travel, or faculty salary support.
3. Individual University accounts will be established for HSF-GEF awards for the duration of the award period.
4. Under special circumstances, the Principal Investigator may request a 12-month no cost extension to the initial award period by providing a rationale, a revised scope of work and a revised budget. The Department Chair providing the initial sponsorship and approval of the application to the GEF must review and approve any NCE request. NCE requests will be reviewed by the Chair of the initial review group, the Chair of the Chairs’ Committee with advice from the full review group as necessary. At the end of the no-cost extension, unexpended funds will revert to the GEF.

### Progress Reports from Funded Investigators

For the period that the funded research is ongoing (typically 1-2 years), the Principal Investigator of each funded award shall submit a progress report every 6-months to Charmian Pate [cpate@uabmc.edu](mailto:cpate@uabmc.edu) and her/his applicable Review Group Chair. This report should include specific accomplishments of objectives, oral and poster papers presented, abstracts, manuscripts. For patient-oriented and laboratory research, the impact of HSF-GEF funding on the acquisition of additional extramural support should be included. For clinical care initiatives, the impact of HSF-GEF funding on the quality, efficiency and finances of clinical care surrounding the initiative should be outlined. For educational initiatives, the impact on trainee skills and faculty development, recruitment and retention should be outlined. Continuation of funding from Year 1 to Year 2 is contingent on progress as reflected in the appropriate 6-month progress reports.

### Review and Modification of the HSF-GEF Guidelines

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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**

Announcement and Guidelines Release

# Submission of Applications

# Patient-Oriented

# Research Review Group

# Laboratory Research Review Group

Clinical Care Initiatives Review Group

# Medical Education Initiatives Review Group

# Review Group Chairs Committee

# HSF-GEF Committee

# HSF Board of Directors

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 27, 2025 – 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>.
   1. 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 appropriate sponsorship (See b below).
   2. Section 6 –Specify the application sponsors. Required sponsors include a) the sponsoring Chairperson in the Academic Health Center (AHC) with a faculty member as Principal Investigator or as co-investigator, b) the Principal Investigator’s Departmental Chairperson if different from (a), and c) a faculty member from an AHC school as a co-investigator if not the Principal Investigator is not from an AHC school. Letters of support from the sponsors are required. Letters of support from center directors and other chairs are encouraged as additional attachments.
   3. Section 7 – Complete the budget for the proposed award using the sample budget provided as a guide.
   4. Section 8 -- Provide budget justifications for each category requested. Budget considerations are explained in the *Guidelines for the HSF General Endowment Fund Application.*
   5. Attachments may include biographical sketches, other support, and letters of support only. When applicable, quotes for proposed equipment purchases should be included in the attachments.

If you have questions, please contact Charmian (Charm) Pate at the University of Alabama Health Services Foundation Executive Office/JNWB Suite 502, at (205) 934-9296 or via e-mail at: [cpate@uabmc.edu](mailto:cpate@uabmc.edu)

**HEALTH SERVICES FOUNDATION GENERAL ENDOWMENT FUND**

**GRANT APPLICATION FORM**

# Check One Category: Patient-Oriented Research Clinical Care

# Laboratory Research Medical Education

**(1)** **Title of Project:**

(Limit to 75 characters)

**(2)** **Date of Application:**

**(3)** **Budget Request: $\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Budget Recommendation: $\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

(To be completed by Review Group Chair)

**(4) Abstract**

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| --- |
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1. **Applicants Rank Department/Center**

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| --- | --- | --- |
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**(6)** **Sponsoring Department Chairman**

(Name)

Signature \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

(Department)

# (7) Sample GEF Award Budget

(Following this basic format, insert your own 1-2-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 2024-25 was $1.5 million. Matching funds should be outlined when applicable.**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | **Budget Category** |  | **Year 1** | **Year 2** |  |
|  |  |  |  |  |  |
|  | Annual Operating Expenses |  |  |  |  |
|  |  |  |  |  |  |
|  | Salary Expenses |  | $25,000 | $25,000 |  |
|  | Supplies |  | 15,000 | 10,000 |  |
|  | Patient Care Costs |  | 5,000 | 5,000 |  |
|  | Alterations and Renovations |  | 0 | 0 |  |
|  | Consortium Contractual Costs |  | 0 | 0 |  |
|  |  |  |  |  |  |
|  | Total Annual Operating Expenses |  | $45,000 | $40,000 |  |
|  |  |  |  |  |  |
|  | Other Expenses |  | $2,000 | $2,000 |  |
|  |  |  |  |  |  |
|  | Capital Items / Equipment |  |  |  |  |
|  |  |  |  |  |  |
|  | Item 1 |  | $25,000 | $0 |  |
|  | Item 2 |  | 15,000 | 0 |  |
|  |  |  |  |  |  |
|  | Total Capital Items |  | $40,000 | $0 |  |
|  |  |  |  |  |  |
|  | **Total Costs** |  | **$87,000** | **$42,000** |  |
|  |  |  |  |  |  |

**(7)** **GEF Award 1-2-Year Budget:**

2

**(8)** **Budget Justification:**

3

**(9) Specific Aims, Benchmarks and Benefits:**

4

1. **Description of project:**

5

**(11)**

1. **Rationale for request of these funds from HSF endowment.**
2. **Plan for management of these funds and mechanisms to be pursued for long-term funding of the proposed project with timetable.**
3. **List of other developmental funds provided by UAB and/or HSF to the P.I. and sponsor over the last three years (amount, date, source, and purpose).**
4. **List other source of funds that may be used to support the proposed initiative.**

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