Responsible Personnel List (RPL) - Instructions

Purpose: The Office of the CIRB (OCIRB) is required to review disclosures of financial interests from each person who is planning to participate in, or is participating in (1) a sponsored project and/ or (2) a protocol submitted to the Institutional Review Board (IRB) if that person is responsible for the design, conduct or reporting of the work. The investigator uses the Responsible Personnel list to communicate with both OSP and OCIRB. Original/New and Revised RPLs submitted with OSP submissions should be sent to osp@uab.edu with other required submission documentation. ***New*** Stand Alone RPLs should be sent to OCIRB at CIRB-PPL@mail.ad.uab.edu.

When is the RPL required? The RPL is required (1) for all <u>new</u> applications (submission types of **Original/New**; **Competing Continuation/Renewal**; **Transfer In**; **Change in PI**; or **Resubmission**) (*ORGINAL RPL*) **and** (2) at any time there is a change in **Responsible** personnel on a sponsored project (*REVISED RPL*). Note that for program projects/center grants (P series grants)*, a separate RPL is required for each subproject. This form should not be submitted for the parent or overall project of a program project. CAUTION: Please follow the instructions below when completing the form. OSP will assume no responsibility for correcting this form. Incomplete forms will stop processing of the proposal. Inaccurate data will delay processing.

 For additional guidance please review the FAQ's located here: http://www.uab.edu/research/administration/offices/CIRB/Pages/Responsible-Personnel-Lists-FAQ.aspx

*If you have questions about whether or not your project meets the definition of a program project/center grant, contact your OSP Officer for guidance.

Instructions for Completing a RPL

Original RPL – *Original RPL submissions are submitted for the following submission types: Original/New; Competing Continuation/Renewal; Transfer In; Change in PI; or Resubmission*

Section I: Check the box labeled "Original RPL". Include the date the form is submitted to OSP, PI/PD last name, first name, middle initial and BlazerID, and Project Title. If completing the form for a subproject of a program project, complete the subproject information section by including the title of the subproject and the subproject PI/PD last name, first name and BlazerID.

Section II: Check all compliance approvals (i.e. IRB, IACUC, OH&S) that will be required for the project.

Section III: List all **Responsible** personnel on the sponsored project and any other **Responsible** personnel who will be named on related protocols submitted to the Office of the Institutional Review Board (OIRB). For each individual, include the UAB BlazerID (for non-UAB personnel, list the affiliate organization), last name and first name (exactly as it is in Oracle) and project role. Select the project role that best matches each person's involvement on the project. If the list of project roles does not include the role you need, please select "other" as the project role and simply type over the word "other" to enter the desired role. The "Add/Remove from Project" column should not be completed for an original RPL. We strongly encourage you to utilize the information at the bottom of this page for assistance in identifying **Responsible** personnel.

Revised RPL - *Revised RPLs are submitted when you are adding/removing personnel from a project.*

Section I: Check the box labeled "Revised RPL" and include the date the revised form is submitted to OSP/OCIRB. Include the PI/PD last and first name along with middle initial, BlazerID, Project Title and OSP Assigned Number for the project. If submitting a revised RPL for a subproject of a program project, complete the subproject information section, including the OSP Assigned Number for the subproject. Revised RPLs submitted with OSP submissions should be sent to osp@uab.edu with other required submission documentation. ***New*** Stand Alone RPLs should be sent to OCIRB at CIRB-PPL@mail.ad.uab.edu.

Section II: Update this section **only** if additional compliance approvals are required.

Section III: Include only the names of those **Responsible** individuals being added to or removed from the project. For each individual, list the name, BlazerID, and project role and check the Add or Remove box, as applicable.

Definitions

A **Responsible** person is defined as the PD/PI and any other person who is responsible for controlling the design, conduct, or reporting of research. **Responsible** personnel must disclose financial interests including those of their spouse or dependents to the OCIRB. The role and degree of independence with which the individuals work should be considered in the determination of **Responsible** personnel. Please note that this does not necessarily include all project personnel or all personnel named in the budget. Please be aware that personnel listed on this form will appear in the IRAP proposal record as Key personnel. This is not intended to be a reflection of Key personnel as defined by the sponsor of the project.

- Design – The planning of the scientific strategy to test a research proposal.
- Conduct – The supervision or management of a study's execution. This is typically done by the principal investigator (PI), subinvestigators (as defined by FDA) and co-investigators, but also may be performed by postdoctoral fellows and graduate students who have significant supervisory roles for junior researchers or technicians who are part of the study.
  - *For studies involving human subjects, this includes anyone who is responsible for explaining the study, risk-benefit, and/or alternatives to potential participants, is listed on the 1572 or device agreement, and/or must complete a sponsor's conflict of interest form.*
- Reporting – The authorship of publications or reports related to the research. This includes anyone who will likely present the data at national/international meetings.
- Research – For the purposes of reporting financial conflicts of interest on this form, the term research includes any grant/contract application processed by the Office of Sponsored Programs (OSP) and all work involving human subjects regardless of funding source.

The UAB Enterprise Conflict of Interest and Conflict of Commitment Policy is available at this link: http://sppublic.ad.uab.edu/policies/content/Pages/UAB-AD-POL-0000695.aspx

All questions regarding the RPL or the definition of responsible personnel should be directed to the OCIRB at 205-975-9691.