Research Administration Forum
April 12th, 2018

Welcome!

Rory Constancio
Director, Office of Business & Financial Services
Director, Office of Research Data Management
Agenda

- Welcome and Announcements – *Rory Constancio*
- **ORDM** – *Rory Constancio*
  - Q3 Proposal/Award Update
  - Announce published ORA FY17 Research Proposals and Awards Report

- **CTSI Office of Clinical Research** – *Sarahmay Sanchez, Maggie Lindenbaum*
  - Clinical Research Coordinator Certificate Course (CRECC)

- **OCGA** – *Patti Manheim*
  - Grant Updates – *Kathy Kawamura*
  - OCGA Master Training: Subaward Basics – *Mary Haskins*

- **OHRPP**
  - Walk-through of OHRPP Website and webIRB CITI Training Log – *Jon Orlin*

- **RSAWA**
  - General Updates – *Jennifer Perkins*

- **EFM** – *Yoon Lee*
  - ERS Reports in RAPID
  - Fund Deletion Process
  - PAMS New Financial Deliverable Pages – *Jennifer Iglesias*
Highlights of ORA FY18 through Q3
Research Proposals & Awards

http://portal.research.ucla.edu/

Rory Constancio
Director, Office of Research Data Management
# Fiscal Year 2018 through Q3
## Comparison to FY 2017 & FY 2016
### Requested Dollars & Proposal Counts

<table>
<thead>
<tr>
<th>Fiscal Year Period</th>
<th>Requested Dollars</th>
<th>Proposal Record Counts</th>
</tr>
</thead>
<tbody>
<tr>
<td>FY18 to Q3</td>
<td>$2,832,555,199</td>
<td>4,165</td>
</tr>
<tr>
<td>FY17 to Q3</td>
<td>$3,039,810,755</td>
<td>4,385</td>
</tr>
<tr>
<td>FY16 to Q3</td>
<td>$2,981,918,762</td>
<td>4,127</td>
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</table>
### Fiscal Year 2018 through Q3 Comparison to FY 2017 & FY 2016

**Awarded Dollars & Counts**

<table>
<thead>
<tr>
<th>Fiscal Year Period</th>
<th>Awarded Dollars</th>
<th>Award (Transaction) Counts</th>
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<tbody>
<tr>
<td>FY18 to Q3</td>
<td>$725,430,055</td>
<td>4,288</td>
</tr>
<tr>
<td>FY17 to Q3</td>
<td>$673,985,547</td>
<td>3,809</td>
</tr>
<tr>
<td>FY16 to Q3</td>
<td>$664,950,221</td>
<td>3,806</td>
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</table>
Through Q3, FY 2016 to FY 2018
Awarded Dollars by Sponsor

<table>
<thead>
<tr>
<th>Sponsor</th>
<th>FY16</th>
<th>FY17</th>
<th>FY18</th>
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<tr>
<td>Federal Government</td>
<td>$400M</td>
<td>$403M</td>
<td>$409M</td>
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<tr>
<td>Higher Education</td>
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<tr>
<td>State &amp; Other Government</td>
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<td></td>
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</tr>
<tr>
<td>Business &amp; For-Profit</td>
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<td></td>
<td></td>
</tr>
<tr>
<td>Charitable &amp; Non-Profit</td>
<td></td>
<td></td>
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</tr>
</tbody>
</table>

Awarded Amount

- Federal Government:
  - FY16: $400M
  - FY17: $403M
  - FY18: $409M

- Higher Education:
  - FY16: $58M
  - FY17: $63M
  - FY18: $72M

- State & Other Government:
  - FY16: $36M
  - FY17: $38M
  - FY18: $66M

- Business & For-Profit:
  - FY16: $80M
  - FY17: $84M
  - FY18: $90M

- Charitable & Non-Profit:
  - FY16: $87M
  - FY17: $88M
  - FY18: $88M
Through Q3, FY 2016 to FY 2018
Awarded Dollars by Sponsor

FY16 to Q3: $664,950,221

Sponsor Category:
- Federal Government: $91 M (14%)
- Higher Education: $80 M (12%)
- State & Other Government: $36 M (5%)
- Business & For-Profit: $400 M (60%)
- Charitable & Non-Profit Organization: $58 M (9%)

FY17 to Q3: $673,985,547

- Federal Government: $87 M (13%)
- Higher Education: $84 M (12%)
- State & Other Government: $38 M (6%)
- Business & For-Profit: $403 M (60%)
- Charitable & Non-Profit Organization: $63 M (9%)

FY18 to Q3: $725,430,055

- Federal Government: $88 M (12%)
- Higher Education: $90 M (12%)
- State & Other Government: $66 M (9%)
- Business & For-Profit: $409 M (57%)
- Charitable & Non-Profit Organization: $72 M (10%)
Past, Present, & Future Research Activity
Awarded, Expended, and Committed Dollars

<table>
<thead>
<tr>
<th>Fiscal Year</th>
<th>Awarded/Fully-Executed</th>
<th>Expended</th>
<th>Awards In Process</th>
<th>Committed</th>
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<tr>
<td>FY 2016</td>
<td>$1,049</td>
<td>$918</td>
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<td>FY 2017</td>
<td>$1,060</td>
<td>$931</td>
<td></td>
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<tr>
<td>FY 2018</td>
<td>$897</td>
<td>$100</td>
<td>$72</td>
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<tr>
<td>FY 2019</td>
<td></td>
<td></td>
<td>$395</td>
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<td>FY 2020</td>
<td></td>
<td></td>
<td>$266</td>
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<td>FY 2021</td>
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<td>$51</td>
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<td>FY 2022</td>
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</table>
FY 2016 to FY 2018 through Q3
Awarded Dollars by Date
Clinical Research Coordinator (CRC) Certificate Course

Research Administrators Forum (RAF)
April 12, 2018

Maggie Lindenbaum, CCRP
Director, Coordination Services & Education
UCLA CTSI Office of Clinical Research
Clinical Research Coordinator Certificate Course

The Challenge and The Opportunity

Setting up and conducting clinical research is easy.

It’s complex and requires:

• detail-oriented abilities
• high-level of organization
• vast knowledge base
• orientation to resources, regs, policies, best practices

Equipped with knowledge and skills, highly-trained clinical research professionals are empowered to provide sustained high-quality support on clinical research projects.

April 2018

UCLA CTSI Office of Clinical Research
Clinical Research Coordinator Certificate Course

Collaborators

• Clinical and Translational Science Institute*
• Office of Contract and Grant Administration*
• Office of Compliance, Privacy*
• Office of Compliance, Clinical Research Services*
• Coordination Services & Education*
• Centralized Research Business Partners*
• Office of Clinical Research*
• Research Policy and Compliance
• Extramural Fund Management
• Office of the Human Research Protection Program
• Clinical Research Information Systems

*Clinical Research Education Collaboration Committee

• Office of Regulatory Affairs
• FDA Affairs & Navigation
• CTSI Informatics Program
• CTSI Biostatistics Program
• Information Services & Solutions, CareConnect
• Pharmaceutical Services, Investigational Drug Section
• Center for Pathology Research Services
• Financial Coverage & Activation
• Clinical Trial Contracts & Strategic Relations
• Research Quality
• Associate Dean for Ethics, DGSOM
• Technology Development Group

April 2018

UCLA CTSI Office of Clinical Research
The Joint Task Force for Clinical Trial Competency aims to:

- Identify the skills required for safe, ethical, and high-quality clinical research.
- Facilitate the success and development of current and aspiring clinical research professionals.

https://www.clinicaltrialcompetency.org/
Clinical Research Coordinator Certificate Course

Course Design

12 Units, 47 Modules, 36 Contact Hours, 6 or 12 weeks

- Online pre-requisites covers fundamentals
- Classroom instruction with UCLA subject matter experts covers essentials of clinical research and active discussion around practical applications
- Interactive exercises and tools
- Celebration of learning pre and post classroom sessions
Clinical Research Coordinator Certificate Course

What’s in it for you?

• Strengthen your knowledge, comprehension and application of CRC areas of responsibility, essentials of clinical research and UCLA specific requirements
• Participate in trainer lead exercises to strengthen skills
• Network with Subject Matter Experts
• Complete hands on practicums and receive tailored feedback
Clinical Research Coordinator Certificate Course

What’s in it for you?

• Complementary ACRP interactive eLearning and webinar access – continuing education units ($150 value)
• Access to role-specific, high-impact training that is engaging and encourages comprehension and retention
• Ask questions in a supportive environment
• Familiarity with CRC responsibilities so that you are informed and empowered to perform study activities with confidence
Clinical Research Coordinator Certificate Course

Course Highlights

- Orientation to UCLA Policies and Best Practices
- Define Clinical Research Coordinator Scope
- Perform Feasibility Assessments
- Understand IRB, Privacy & HIPAA Considerations
- Create Comprehensive Clinical Study Budgets
- Learn Successful Budget Negotiation Skills
- Assess the Financial Health of a Study
- Practice OnCore and CareConnect Functionality
Clinical Research Coordinator Certificate Course

General Inquiries:
OCREducation@mednet.ucla.edu

Website:
http://www.researchgo.ucla.edu/coordination-services-education

Mailing List:
https://goo.gl/forms/UYfuwESP9T6m4TcE2
Outgoing Subaward Basics - Subawards Issued by UCLA under Extramurally Funded Grants/Cooperative Agreements

PREVIEW: Master Training (Mary Haskins, OCGA Subaward Officer)
When: Wednesday, April 18, 2018 from 9:30 am-11:00 am
Where: UCLA Wilshire Glendon, 10889 Wilshire Blvd., Conf. Room 820-20
Who: OCGA Outgoing Subaward Team
http://ora.research.ucla.edu/OCGA/Pages/Training-Resources/training-calendar.aspx
Description

The Master Training session will discuss the OCGA Outgoing Subaward process:

- Key concepts and terminology, such as:
  - Distinguishing between different types of third parties
  - Uniform Guidance (UG) determination, evaluation and monitoring
- The life cycle of a Subaward
- Review of applicable forms

This session is appropriate for anyone with responsibility for proposing/requesting outgoing subawards, especially those new to the process.
Types of Third Party Agreements

- **Subaward** [aka Subgrant/Consortium Agreement] *(Subrecipient)*
  - Terms used when Sponsor’s award is a *grant or cooperative agreement* (Intent of funding is to **ASSIST** in project)

- **Subcontract Agreement** *(Subcontractor)*
  - Usually terms used when Sponsor’s award is a *prime contract* (Intent of funding is to **PROCURE** goods, services, or outcome)

- **Contract Agreement** *(Contractor, previously Vendor)*
- **Consultant Agreement** *(Consultant)*
- **Professional Services Agreement** *(Independent Contractor)*

* UC Multi-Campus Award (MCA): at proposal stage treated similar to third party agreement (except UCLA IDC); however, technically not a “third party” since all UC campuses part of the same legal system (UC Participating Campus).
Uniform Guidance (UG)

• Required by the §200.330

UNIFORM GUIDANCE (UG)

• Why is it important to document how the correct “Type” of third party was determined?

• Under the Uniform Guidance, we are required to document whether a third party receiving federal (assistance) funds from UCLA qualifies as a: “Subrecipient” via a Subaward (carrying out an intellectually significant portion of the federal award) OR “contractor” (previously vendor) via a contract (obtaining goods and services, creating a procurement relationship).

• UCLA must make a case by case determination whether each agreement it makes for the disbursement of funds casts the third party in the role of a Subrecipient or a contractor.

• Subrecipient vs Contractor “Determination” Form
Additional Uniform Guidance (UG)

- Required by the §200.331 (b) UNIFORM GUIDANCE (UG)

- “Evaluate each subrecipient’s risk of noncompliance with Federal statutes, regulations, and the terms and conditions of the subaward for purposes of determining the appropriate Subrecipient monitoring."
Additional Uniform Guidance (UG) con’t

• Required by the §200.331 (b)
UNIFORM GUIDANCE (UG)

• The OCGA Subaward Team “Evaluate[s] each subrecipient’s risk of noncompliance …” prior to Subaward issuance:
  ▫ If risk is identified, “addition requirements” (ex. reporting, prior approvals, monitoring, etc.) are noted in the Subaward.
  ▫ Ex. Foreign Subrecipients often present risk, therefore, the Subaward often requires monthly invoices

• It is up to the UCLA PI/department to ensure they are “monitoring “ as laid out in the Subaward agreement:
  ▫ “Financial and programmatic reports [as identified in the Subaward] are being reviewed.” [200.331 (d)(1)]
  ▫ Subrecipient is adhering to “any additional requirements” as identified in the Subaward that UCLA imposes due to evaluation of identified risk [200.331 (a)(3)]
### Additional Uniform Guidance (UG) con’t

**Low Risk Subrecipient Monitoring Requirements:** When OCGA has categorized a Subrecipient as “low-risk” the subawards are monitored through standard requirements to review technical performance and financial reports (i.e. the Subaward follows prime deliverable requirements as applicable. No additional terms are added to the Subaward.

**Medium Risk Subrecipient Monitoring Requirements:** When OCGA has categorized a Subrecipient as “medium-risk,” in addition to standard monitoring requirements identified above for “low-risk” Subrecipients, OCGA may modify the subaward agreement to include additional terms and conditions or conduct heightened reviews and approvals. Such measures may include:

1. Requiring financial reports/invoices more frequently [200.207 (b)(3)];
2. Reiterate authority to require expenditure details as supporting documentation for all invoices and evaluating documentation received for sufficiency [200.207 (b)(3)];
3. Smaller increments of funding [200.207 (b)(2)];
4. Heightened/additional prior approvals (ex. carry forward; rebudgeting; restricted line items such as equipment, subawards, etc.; effort; etc. [200.207(b)(6)];
5. Initiating more frequent communication with the Subrecipient to verify progress [200.207 (b)(2) and 200.207(4)];
6. Heightened termination [200.207 (b)(6)]; and/or
7. Adding terms that are specific to deficiency [200.207 (b)].

**High Risk Subrecipient Monitoring Requirements:** When OCGA has categorized a Subrecipient as “high-risk,” in addition to standard monitoring requirements identified for “low-risk” & "medium risk" Subrecipients, OCGA may contact the PI to ascertain whether or not a subaward should be issued to the Subrecipient. If it is determined it should, OCGA may modify the subaward agreement to include additional terms and conditions or conduct heightened reviews and approvals. Such measures may include:

1. Requiring monthly invoices with expenditure detail as supporting documentation [200.207 (b)(3)]
2. Ensuring regular communication between UCLA and the Subrecipient and documenting communications [200.207 (b)(2) and 200.207(4)]
3. Maintaining regular contact with PI to ensure the Subrecipient is meeting programmatic expectations [200.207 (b)(2) and 200.207(4)]
4. Exercising the option to audit; consider performing a desk review or site visit [200.207 (b)(4)-(5)]
5. Withholding future funding and/or payments to Subrecipient if deemed necessary [200.207 (b)(2)]
6. Issuing cost reimbursement only; no advanced payments [200.207 (b)(1)]
7. Taking prompt action if an instance of non-compliance is identified [200.207 (b)(4)-(5)]
Subaward Cycle

Subaward proposal prepared and incorporated into UCLA’s proposal

UCLA’s award received and set-up

Subaward agreement established and Subaward set-up

Subrecipient performs work and submits invoices to UCLA

UCLA monitors Subrecipient progress, reviews and approves invoices

UCLA obtains close-out reports from Subrecipient

Accounts Payable processes invoices

The Life Cycle of a Subaward
Required Forms (Handouts)

Proposal (Pre-Award) Stage
- Subrecipient vs. Contractor Determination Checklist (UCLA)
- UCLA Letter of Intent for FDP Expanded Clearinghouse members (Sub) [or]
  MCA Commitment (Site) [or]
  Subrecipient Commitment Form (Sub). Commitment may trigger:
  - PHS Financial Disclosure Form (Sub)
  - Fair and Reasonable Cost Analysis Form (UCLA)
  - Certificate of Compliance - Audit (Sub)
  - Financial Audit Management Questionnaire, formerly A133 Mini Audit (Sub)

Award
- OCGA Subaward Checklist (UCLA) [or] MCA Checklist (UCLA)
- Subaward Invoice Certification (UCLA)
- UCLA OCGA Subaward Final Close-Out Certification (UCLA)
Proposal Development: UCLA PI/Department – Letter of Intent

- When working with an FDP **Expanded Clearinghouse** Participant Institution, request the short **UCLA Letter of Intent** instead of a full **Subrecipient Commitment Form**.

The UCLA Letter of Intent (LOI) provides *project specific information* and eliminates *institutional information*, including “trigger” documents  
Ex: UCLA Commitment = 5 pages vs. UCLA LOI = 1 page →

**Who:**

A list of the 180+ **Clearinghouse Participants** is at:  

**NOTE:** If an institution is **not** listed as a Clearinghouse participant institution, there is no change to our current process (i.e. requiring the full Subrecipient Commitment Form, plus “triggers” as applicable).
Contact: outgoing Subaward questions

• **For pre-award questions:**
  For questions related to the proposal stage, contact the Department DRA or OCGA Grant Representative who will be handling submission of the UCLA Proposal.

• **For post-award questions:**
  For questions regarding specific subawards, contact the OCGA Subaward Team member named in the agreement.

Or send an email to ocgasubawards@research.ucla.edu (or if about an MCA: outgoingMCA@research.ucla.edu). It will be forwarded to the Subaward Team member assigned to that Subaward (or MCA).
Hope to see you at the Master Training:

Wednesday, April 18, 2018 from 9:30 am-11:00 am
UCLA Wilshire Glendon, 10889 Wilshire Blvd.,
ConfRoom 820-20
OCGA Outgoing Subaward Team

OCGA Subaward Team:

- Sharon Lam, Assistant Director of Subawards
  - Mary Haskins, Subaward Officer
  - Katy Sonnenleiter, Subaward Analyst
  - Patrick Busto, Subaward Specialist
- New! Veronika Barsegyan, Senior Subaward Analyst

http://ora.research.ucla.edu/OCGA/Pages/Outgoing-Subawards/outgoing-subawards-home.aspx
webIRB CITI Training Log and Walkthrough of OHRPP Website

Jon Orlin
OHRPP Special Projects Coordinator
April 12, 2018
You may have heard...

Earlier this year, OHRPP announced CITI and UCLA Single Sign-On integration which would enable new tools in webIRB...and the final version of these tools will be available starting tomorrow!
As a refresher...

- UCLA uses The Collaborative Institutional Training Initiative (CITI) Program for several online research training requirements

- Single Sign-On (SSO) is a way to log into multiple related software systems utilizing a single ID and password
The Training Log tab will now be available in the same location across all study workspaces:
This training log will only display people that are listed in section 1.1 of the study.

If you see “No CITI data available” listed, that person likely either has not:
- linked their CITI account to their UCLA SSO or
- does not have any relevant trainings completed.
Checking your training is simple…

- Log into webIRB
- Click your name in the top right-hand corner
- Use the Select View menu to choose Training

Confirm that your current trainings are listed

<table>
<thead>
<tr>
<th>Group</th>
<th>Stage</th>
<th>Date Completed</th>
<th>Expiration Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Human Research- Biomedical</td>
<td>Refresher Course</td>
<td>11/10/2017</td>
<td>11/9/2020</td>
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<tr>
<td>Researchers &amp; Staff</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>UCLA HIPAA</td>
<td>Stage 1</td>
<td>11/19/2014</td>
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</tr>
</tbody>
</table>
If you have current CITI training at UCLA but it is not appearing in the webIRB CITI Training Log...

make sure to link your CITI account to your UCLA SSO. Guidance for linking accounts is available on our website and in the guidance text of the Training Log:
Training Log Visual Shortcut

- Red text indicates that a previously completed training is expired or there is no CITI data connected to that account.

<table>
<thead>
<tr>
<th>Group</th>
<th>Stage</th>
<th>Date Completed</th>
<th>Expiration Date</th>
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<tbody>
<tr>
<td>Human Research - Social &amp; Behavioral Researchers &amp; Staff</td>
<td>Basic Course</td>
<td>6/2/2009</td>
<td>6/1/2012</td>
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</tbody>
</table>
Items that were previously added by researchers to their webIRB Profile (such as their resume or CV) will continue to be located in the Training Log in the lower section titled “Study Team Training Information”.

**Note:** If you have completed CITI training and it is not appearing in the table below, please ensure that your CITI account has been linked to your UCLA Single Sign-On ID. Instructions can be found at the following website: How do I access CITI training?

It may take up to two days for your CITI training to appear in this training log once your CITI account has been linked to your UCLA Single Sign-On ID. Please send an email to mirb@research.ucla.edu if your training does not appear after two days.

Legacy data, previously added by study personnel, may appear below in the “Study Team Training Information” section.

### CITI

<table>
<thead>
<tr>
<th>Name</th>
<th>Role On Study</th>
<th>Group</th>
<th>Stage</th>
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<td>PI Study Contact</td>
<td>Human Research- Biomedical Researchers &amp; Staff</td>
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<td>UCLA HIPAA</td>
<td>Stage 1</td>
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**Study Team Training Information:**

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<thead>
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<th>Human Subjects Training Expiration Date</th>
<th>Human Subjects Protection Documentation</th>
<th>HIPAA Training Completion Date</th>
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Walkthrough of OHRPP Website

http://ora.research.ucla.edu/ohrpp
Greatest Hits (since October 2017)

- Certification (CITI Training)
- Consent, Assent, and Screening Templates
- Policies and Guidance
- HIPAA Research Guidelines and Information
- IRB Meeting Calendars
- For and About the IRB
- Contact Us
- Getting Started with an IRB Application
- Relying on Other IRBs
- Staff Directory
Home

- Letter for Sponsors
  - Details such as Federalwide Assurance (FWA) number and description of our electronic IRB system

- Human Research News and Other Announcements and Newsfeed

  Posted On 3/21/2013
  **OHRPP Verification of CITI Program Training**
  On January 11, 2018, the Office of Research Administration (ORA) announced Single Sign-On (SSO) integration for CITI Program Training...
  Read more

  Posted On 2/18/2018
  **NIH Policy on Certificates of Confidentiality**
  The National Institutes of Health (NIH) has significantly expanded the use of Certificates of Confidentiality (CoCs)... Read more
For Researchers

- **Getting Started with an IRB Application**
  - List of suggestions on how to get started, resources needed, and an overview of the submission process

- **HIPAA Research Guidelines and Information**
  - Overview of HIPAA and link to University of California Permission to Use PHI for Research Forms
Consent Templates

- Consent, Assent, and Screening Templates
  - Wide range of templates and standard consent form language
  - Includes subject comprehension tools and other resources to be used during the informed consent process
Policies and Guidance

- Frequently referenced in correspondence from the IRB
- Several tip sheets to guide investigators
- Good reference point when crafting a new study
Education and Training

❖ Certification (CITI Training)
  • Recently updated section that includes an FAQ and guidance for checking that your study team has completed training
## IRB Meeting Calendars

<table>
<thead>
<tr>
<th>Review Board</th>
<th>Monthly View</th>
<th>Year at a Glance</th>
<th>Key Information</th>
</tr>
</thead>
</table>
| **Medical Institutional Review Board 1 (MIRB1)**                 |              | 2018             | Chair: Daniel L. Clemens, MD, PhD  
IRB Administrator: Anthony Saldaña (310) 825-5351  
Member Roster                                                     |
| Reviews general and internal medicine, infectious diseases, and dental and ophthalmologic research. |              |                  |                                                     |
| **Medical Institutional Review Board 2 (MIRB2)**                 |              | 2018             | Chair: Allan Pantuck, MD  
IRB Administrator: Greg Ellis (310) 825-5406  
Member Roster                                                     |
| Reviews oncology and hematology research.                         |              |                  |                                                     |
| **Medical Institutional Review Board 3 (MIRB3)**                 |              | 2018             | Chair: James McCough, MD  
IRB Administrator: Mark Minnaugh (310) 825-4804  
Member Roster                                                     |
| Reviews neuroscience, neurology, psychiatric, drug abuse, and related behavioral science research. |              |                  |                                                     |
| **North General Institutional Review Board (NGIRB)**             |              | 2018             | Chair: Todd Franke, PhD  
IRB Administrator: Paul Lillig (310) 206-2091  
Member Roster                                                     |
| Reviews research from the College of Letters & Science and the Professional Schools. |              |                  |                                                     |
| **South General Institutional Review Board (SGIRB)**             |              | 2018             | Chair: Thomas J. Coates, PhD  
IRB Administrator: Gloria Varghese (310) 825-3969  
Member Roster                                                     |
| Reviews social-behavioral research from the Schools of Public Health, Nursing, and Medicine. |              |                  |                                                     |

**IRB Staff Information**

- Medical IRB Staff
- General IRB Staff
Relying on Other IRBs

- Handy place to find information about entering into reliance agreements with other IRBs

For Research Participants

- Recently updated with input from IRB committee members and researchers. Resources for current or potential participants
Contact OHRPP

Contact Us
- Staff Directory
- Organizational Chart

North & South General Institutional Review Boards (GIRB)
Telephone: (310) 825-7122
Email: gcirb@research.ucla.edu

The Medical Institutional Review Boards 1, 2, & 3 (MIRB)
Telephone: (310) 825-5344
Email: mirb@research.ucla.edu

Reliance Arrangements
Email: irbreliance@research.ucla.edu

Quality Improvement & Education
Email: ohrppeqi@research.ucla.edu
Human Research News

If you would like to subscribe to announcements from the Human Research News mailing list, please send an e-mail to:
investigators-l+subscribe@lists.ucla.edu

The subject line and body of the e-mail can be blank.
Thank you!

For questions:

- North & South General IRBs
  - x57122
  - gcirb@research.ucla.edu

- Medical IRBs
  - x55344
  - mirb@research.ucla.edu
Research Safety & Animal Welfare Administration (RSAWA) Updates

Jennifer Perkins, MA, CPIA
Director – Research Safety & Animal Welfare
Institutional Contact for Dual Use Research
AAALAC

- Site visit: August 1-4, 2017
- Deferred accreditation
- Actions!
- Council meeting January 2018
- Full continuing accreditation!
Controlled Substances

January 2018 change to process for acquiring controlled substances

- Contact jgoodwin@mednet.ucla.edu for immediate needs
- Contact bruiz@ehs.ucla.edu for assistance with DEA registration
- Contact jperkins@research.ucla.edu with general questions
RSAWA Systems

SafetyNet to replace use of webIRB for MRSC and RDRC submissions

- Contact dboktor@research.ucla.edu to participate in testing

Huron IACUC to replace RATS for ARC submissions

- Contact jperkins@research.ucla.edu regarding development and testing
Questions?
Today’s Topics

- ERS Reports in the RAPID tool
- Fund Deletion Status
- PAMS New Financial Deliverable Pages
ERS Detail Report in the RAPID Tool

- February 2018: Announcement soliciting feedback on the usage of ERS Detail Reports in the RAPID tool (RAPID ERS reports) to campus.
  - Will the RAPID ERS reports be redundant?
    - Payroll details are available in the ERS and UCPath Distribution of Payroll Expense (DOPE) report
    - UCPath DOPE report provides more flexibility in searching and sorting payroll data (e.g. by individual) than PPS Payroll Distribution Report

- Per review of feedback, the RAPID ERS reports provide additional features not available in the current design of UCPath DOPE report.
  - Calculation of effort % in a calendar month for progress report
  - Review of effort % including adjustments prior to processing expense transfers
  - Projection of effort % including planned effort % in future

- The RAPID ERS reports will be included in scope for transition with UCPath.
Fund Deletion Status

Complete all financial deliverables
- All required Invoices and/or financial reports are submitted

Clean the general ledger
- Operating balance = $0

Confirm all payments are collected
- Accounts receivable = $0

Confirm all obligations are paid
- Accounts payable = $0

Close the fund (Y/N)
- Close the fund in the fund table in FS
  - Closed? “Y” + Re-appropriate? “N”

Purge the fund
- Closed funds can be purged after going through one fiscal closing cycle

From RAF on February 8, 2018
Fund Deletion Status

- **February 2018:**
  - Announced that EFM started purging funds that were closed in FY15-16 or prior: 3,600 + funds identified for purging

- **March 2018:**
  - 2,300+ funds successfully purged
  - 1,300+ funds were not purged

- **April 2018 ~:**
  - 1,300 + funds in process
  - Balance in Accounts Payable must be cleared
  - EFM working with General Accounting and Accounts Payable

- Upon completion of purging funds closed in FY15-16, EFM will start purging funds closed during FY16-17
PAMS New Financial Deliverable
Pages

Jennifer Iglesias
PAMS: Financial Deliverables

- View schedule of invoices and financial reports
- Download copies of completed financial deliverables
- View the status of completion
  - Pending Department Action: appear on department’s worklist
New Features: Financial Deliverables

- Deliverable Search
  - Search award by PATS institution number or by fund number

- Deliverable List
  - Enhanced award information, access to award snapshot
  - Award specific department and EFM contacts

- Financial deliverable comments
  - Reflect updates as action is taken by user
Deliverable Search

- Search financial deliverables by PATS Institution Number

![Deliverable Search Form]

**Institution Number:** 20151111

**Fund:**

- Latest Institution Number
- All Institution Numbers

**Clear All**
Deliverable Search: PATS Institution

- Search financial deliverables by PATS Institution Number
  - All funds associated with that institution number appear

<table>
<thead>
<tr>
<th>Institution</th>
<th>Fund</th>
<th>Award Number</th>
<th>Budget Period</th>
<th>Project Period</th>
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## Deliverable List: Award Information

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## Deliverable List

**Institution Number:** 20151111  
**Award Snapshot:**  
**Award Status:** Awarded / Fully Executed  
**Project Period:** 07/01/15 - 06/30/20  
**Program Type:** Basic Org Research  
**PI:** Bruin, Joe  
**Dept.:** 1000-Murphy Hall  
**Sponsor:** NIH  
**Prime Sponsor:** N/A  
**Sponsor Award No.:** RO1123ABC  

**MFNOA:** Yes  
**Payment Basis:** Cost Reimb  
**EFM Contact:** EFM Accountant  
**Dept Contact:** Department Preparer

### Deliverables List

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**Project Period:** 07/01/15 - 06/30/20  
**Program Type:** Basic Org Research  

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Deliverable Search

- Search financial deliverables by fund number

Deliverable Search

- Institution Number:
- Fund: 77777
  - Latest Institution Number
  - All Institution Numbers

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<tr>
<th>Institution</th>
<th>Fund</th>
<th>Award Number</th>
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<th>Project Period</th>
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## Deliverable List: Documents

### Deliverables List

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### Budget Period(s): 09/01/17 - 08/31/18

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### Deliverables List: Pending Department Action

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<th>Assigned To</th>
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<tr>
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Deliverable List: Comments

Deliverable Comments

Institution Number: 20160001
Fund: 77777
Budget Period: 09/01/17-08/31/18

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<th>Date</th>
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<tr>
<td>04/03/18 2:00 PM</td>
<td>EFM Accountant</td>
<td>User</td>
<td>Reached out to Department Fund Manager, John Smith, and requested the sponsor specific invoice template to be completed and returned to EFM by 04/20/2018 for review and submission</td>
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<tr>
<td>04/03/18 2:00 PM</td>
<td>EFM Accountant</td>
<td>Workflow</td>
<td>Modified Status to Pending Department Action</td>
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<td>09/01/17 10:00 AM</td>
<td>EFM Accountant</td>
<td>System</td>
<td>Deliverable Created: Category: Invoice, Type: Interim, Frequency: Quarterly, Due Date: 04/30/18, Assigned To: Accountant Central Office Staff</td>
</tr>
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</table>
PAMS: New Financial Deliverable Pages

- New features will be available May 2018!

- PAMS Resources:
  - Training videos, FAQ’s: [http://ora.research.ucla.edu/EFM/Pages/PAMS/TrainingMaterials.aspx](http://ora.research.ucla.edu/EFM/Pages/PAMS/TrainingMaterials.aspx)
  - PAMS Help: [pamshelp@research.ucla.edu](mailto:pamshelp@research.ucla.edu) or x40008
Contact information

EFM Website
http://ora.research.ucla.edu/EFM/

Jennifer Iglesias
X42846
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X40375
yoon.lee@research.ucla.edu