Welcome & Announcements

• Ascend Update

• Requirement to submit proposals through OCGA, TDG or CTC&SR

• Importance of reporting complete and accurate Other Support information
  – UCOP/Internal Audit Compliance Audit
Welcome and Announcements – Marcia Smith

Research Safety and Animal Welfare Administration
  Updates – Jennifer Perkins

Office of the Human Research Protection Program
  Updates – Moore Rhys

Extramural Fund Management
  Modification to invoicing, revisions, and closeout procedures – Will Murdoch

Office of Contract and Grant Administration
  Intellectual Property – Jim Fong
• RSAWA Systems
  ◦ ARC: New RATS
  ◦ IBC: SafetyNet continuing review
  ◦ RSC: SafetyNet RUA soft launch

• RSAWA Staff Changes
  ◦ Peter Kim for RSC and CPSC

• AAALAC
  ◦ Due in Summer 2020
• ARC Staff: arc@research.ucla.edu or 310-206-6308
• IBC Staff: ibc@research.ucla.edu or 310-794-0262
• RSC Staff: rsc@research.ucla.edu or 310-206-5601
• RSAWA Director: jperkins@research.ucla.edu or 310-794-9645
OHRPP Updates

Single IRB Mandate

Consent Templates Update

Learn at Lunch

OHRPP Training & HRN
Common Rule single IRB mandate

- In addition to the **NIH single IRB mandate** (in effect since January 25, 2018)
- Goes into effect January 20, 2020
- Applies to all federally-funded multi-site grant recipients
Exceptions:

- When more than single IRB review is required by law (including tribal law)
- When the federal dept./agency supporting or conducting the research determines it is not appropriate
- Research initially approved (by IRBs) before 1/20/2020
- At the discretion of the Federal dept./agency (expected to be infrequent – don’t count on it)
Common Rule single IRB mandate

Operationalizing:

- Primary grant awardee is responsible for identifying a single IRB
- You may use (IRB willing) a UCLA IRB, IRB at other institutions, or commercial IRBs
- Contact OHRPP at the earliest time you might consider using a UCLA IRB as the single IRB
- We may or may not have the capacity to act in that role, depending on the nature of the research
- Contact OCGA for questions about paying for sIRB review
Common Rule single IRB mandate

Help:

- February 2020 “Learn at Lunch” will be on the single IRB mandate
- OHRPP reliance team
Revised consent templates are available now:

- Please use these as starting points for new research submissions
- **Updated documents:**
  - Minimal Risk Consent Template
  - Minimal Risk Consent Template for Federally Funded Research
  - Research Information Sheet
  - Biomedical Research Consent Template
  - Social, Behavioral & Education (“SBER”) Research Consent Form
  - Standards and Template Language
  - Biomedical Research Consent Form Standards and Template Language
Consent Template Updates

Highlights:

- Guidance for “Key information”
- Sample verbiage for:
  - Future use of data/specimens
  - Return of results
  - Genomic studies
January 14, 2020, Noon-1pm

“Human Pluripotent Stem Cell Research”

Presenter: Steve Peckman, Deputy Director
UCLA Broad Stem Cell Research Center

Location: CHS 17-323
Upcoming presentations:

**February:** Single IRB mandate

**March:** Expanded Access, Emergency Use, and Right To Try
OHRPP Training Opportunities

✓ OHRPP Quality Improvement Unit will come to your division/department for IRB-related training, customized to your needs.

✓ Please suggest Learn at Lunch series topics

➢ To request a custom training or suggest a Learn at Lunch topic, please contact: OHRPP Assistant Director, Education & Quality Improvement Moore Rhys (310) 794-6339
Reminder - Subscribe to Human Research News

To be the first to know when OHRPP releases guidance and other updates, please subscribe to our listserv

To subscribe, send an email (blank subject and body) to: investigators-l+subscribe@lists.ucla.edu
Any Questions?

Contact Information

Website URL
http://ora.research.ucla.edu/ohrpp

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Email: kristin.craun@research.ucla.edu

Moore Rhys, OHRPP Asst. Director, Education & QI
Phone: x46339
Email: moore.rhys@research.ucla.edu
Changes to EFM Processes
Will Murdoch

January 9, 2020
Proposed Changes

• In order to reduce the risk of denied sponsor payment, EFMs procedures allow for fund close out to be initiated centrally if the department is unable to submit a complete and correct Close Out Package timely

• This procedure was not intended as a substitute for departmental responsibility for close out
  ◦ This approach may help with a timely submission to sponsor, but risks exclusion of allowable expenses, which often results in revised submissions to sponsors
  ◦ Final invoices and Financial Reports are still submitted late, despite this EFM-initiated closeout

• Changes will increase on-time submissions and reduce audit risk

• Responsibilities within the procedure have not changed

• Changes to Financial Closeout of Sponsored Projects process have been approved by AVC Research Administration

• Exceptions to these provisions (still) require approval, by EFM Director or VC Research

• These changes are effective beginning Thursday, January 9, 2020
## Final For Budget

<table>
<thead>
<tr>
<th>Current State</th>
<th>Future State</th>
</tr>
</thead>
<tbody>
<tr>
<td>EFM reports expenses including all adjustments from the department with appropriate supporting documentation.</td>
<td>EFM will report based on the g/l, with the exception of <strong>adjustments for only subawards</strong>. Other adjustments are expected to be made by departments before the submission of COP, prompted by current automated reminders.</td>
</tr>
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</table>
# EFM Initiated COP – Response Time

<table>
<thead>
<tr>
<th>Current State</th>
<th>Future State</th>
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</thead>
<tbody>
<tr>
<td>When EFM does not receive a complete and accurate COP on time, EFM initiates</td>
<td>Response time from departments for all items in question will be reduced to <strong>3 business days</strong> from the date the department receives EFM’s</td>
</tr>
<tr>
<td>their own analysis within 15 calendar days, then provide 7 calendar days for</td>
<td>close out analysis. All items must be sufficiently addressed within that timeframe.</td>
</tr>
<tr>
<td>the department to respond with justifications for excluded items.</td>
<td></td>
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</tbody>
</table>

*Note: administrative salaries, which are oftentimes material, are excluded by default. EFM will note this to the department when they initiate the close out, as a reminder to provide justification for inclusion within the 3 business days.*

*Note: COPs received on time and accurate will retain the current procedural timelines (7 calendar days for department’s response to EFM’s inquiries).*
Revision Requests - Thresholds

<table>
<thead>
<tr>
<th>Current State</th>
<th>Future State</th>
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<tr>
<td>When a department identifies a need to revise a COP or Financial Report greater than $100 in increased expenses (or any decrease that would require a refund to the sponsor), EFM reviews the revised COP, corrects the deliverables, and submits to Sponsor.</td>
<td>If the Close Out procedure was followed (with a completed and accurate COP received by EFM on time), revision requests will be considered by EFM for increases to expenses of $5,000 or more.</td>
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<tr>
<td></td>
<td>If the COP was not received on time, was incomplete or incorrect, increases in expenses must be in excess of $10,000 for revision requests to be considered.</td>
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Revision Requests - Repeating

<table>
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<td>When a department identifies a subsequent need to again revise a COP or Financial Report, EFM reviews the revised COP, corrects the deliverables, and submits to Sponsor.</td>
<td>Up to a total of 2 revision requests will be considered by EFM, within 120 days of the original due date.</td>
</tr>
<tr>
<td>There currently is no limit to the number of revisions a department may request.</td>
<td></td>
</tr>
</tbody>
</table>
Any Questions?

Contact Information

Website URL
http://ora.research.ucla.edu/efm/

Wallace Murdoch
Phone: x65121
Email: wallace.murdoch@research.ucla.edu
ERS Updates
Will Murdoch

January 6, 2020
Current Certification Rate

- Current campus certification rate is 91% as of 1/8/2020
- All outstanding reports are now significantly past due and need to be certified ASAP

<table>
<thead>
<tr>
<th>Academic Year</th>
<th>Fall</th>
<th>Winter</th>
<th>Spring</th>
<th>Summer</th>
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<tr>
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<tr>
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<tr>
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<td>2016-2017</td>
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<tr>
<td>2017-2018</td>
<td>98%</td>
<td>5123</td>
<td>66</td>
<td>98%</td>
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</tbody>
</table>

Note: Academic Year 2017 - 2018 Spring effort reports include a modified effort reporting period of: April to July 2018 for 11/12 Academics, April to July 2018 for Non-Academics, and March to July 2018 for 9/12 Academics.
Any Questions?

Contact Information

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