



UCLA

Office of Research Administration

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*



UCLA

Office of Research Data Management

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

Fiscal Year Period	Requested Dollars	Proposal Record Counts
FY18 to Q3	\$2,832,555,199	4,165
FY17 to Q3	\$3,039,810,755	4,385
FY16 to Q3	\$2,981,918,762	4,127

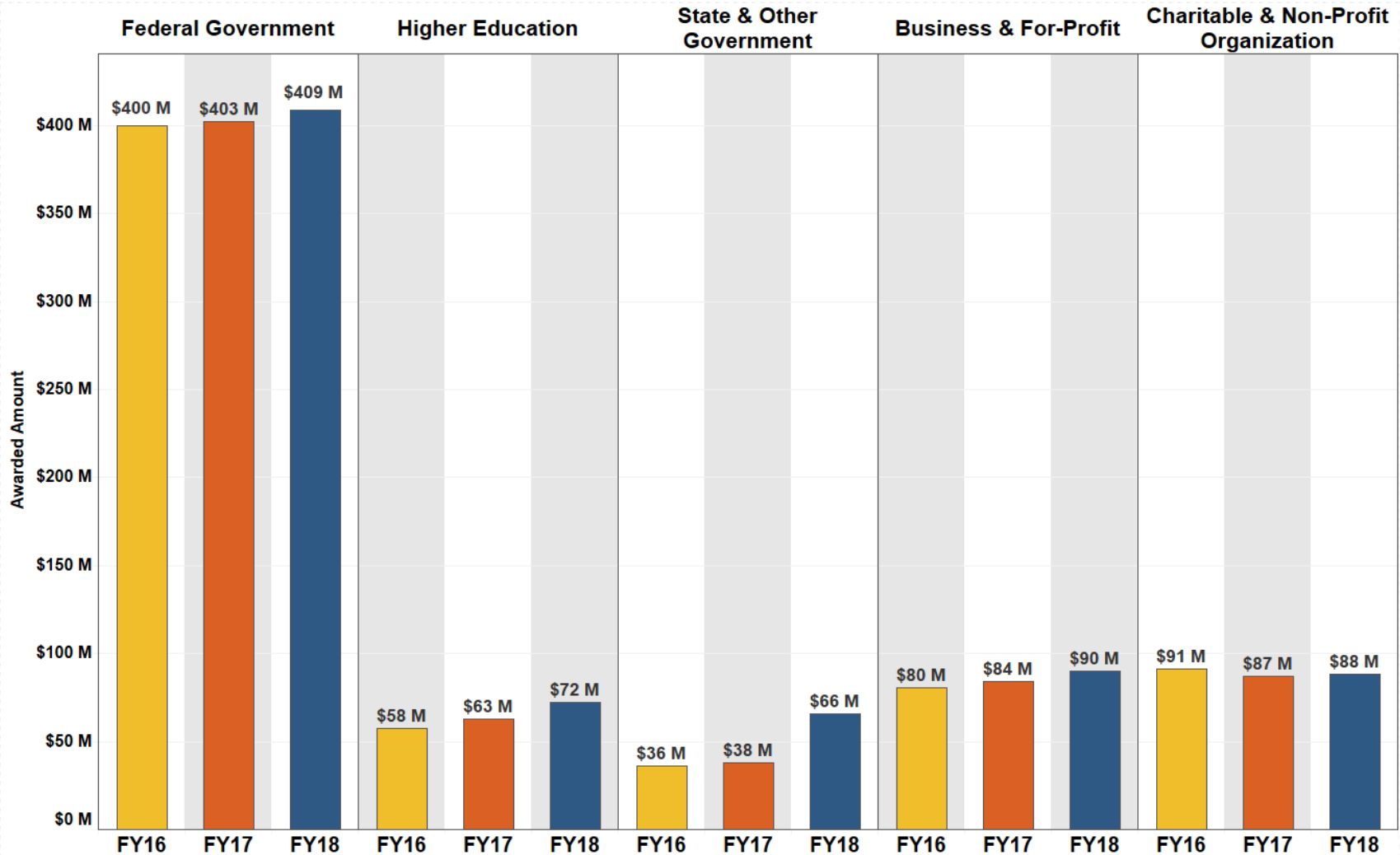
Fiscal Year 2018 through Q3

Comparison to FY 2017 & FY 2016

Awarded Dollars & Counts

Fiscal Year Period	Awarded Dollars	Award (Transaction) Counts
FY18 to Q3	\$725,430,055	4,288
FY17 to Q3	\$673,985,547	3,809
FY16 to Q3	\$664,950,221	3,806

Through Q3, FY 2016 to FY 2018 Awarded Dollars by Sponsor

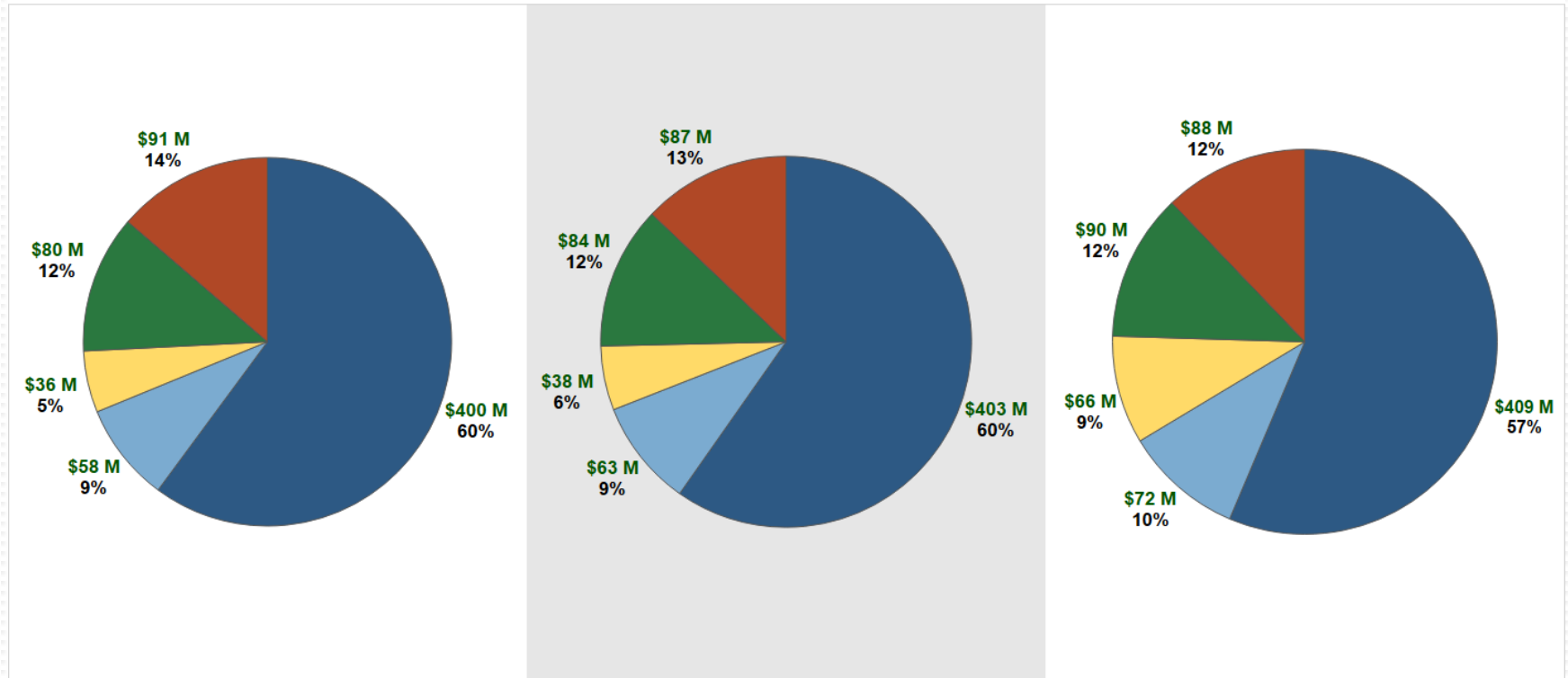


Through Q3, FY 2016 to FY 2018 Awarded Dollars by Sponsor

FY16 to Q3: \$664,950,221

FY17 to Q3: \$673,985,547

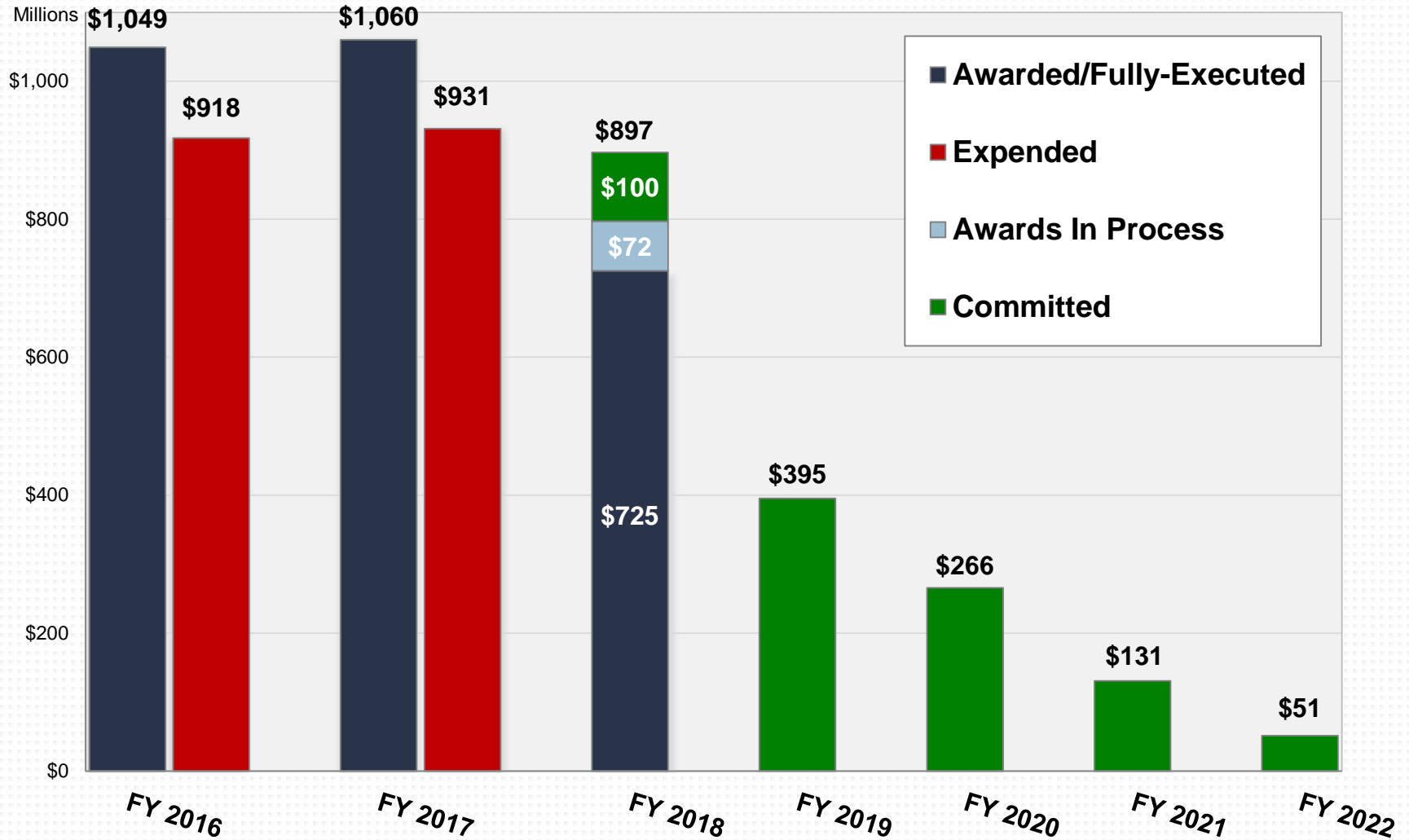
FY18 to Q3: \$725,430,055



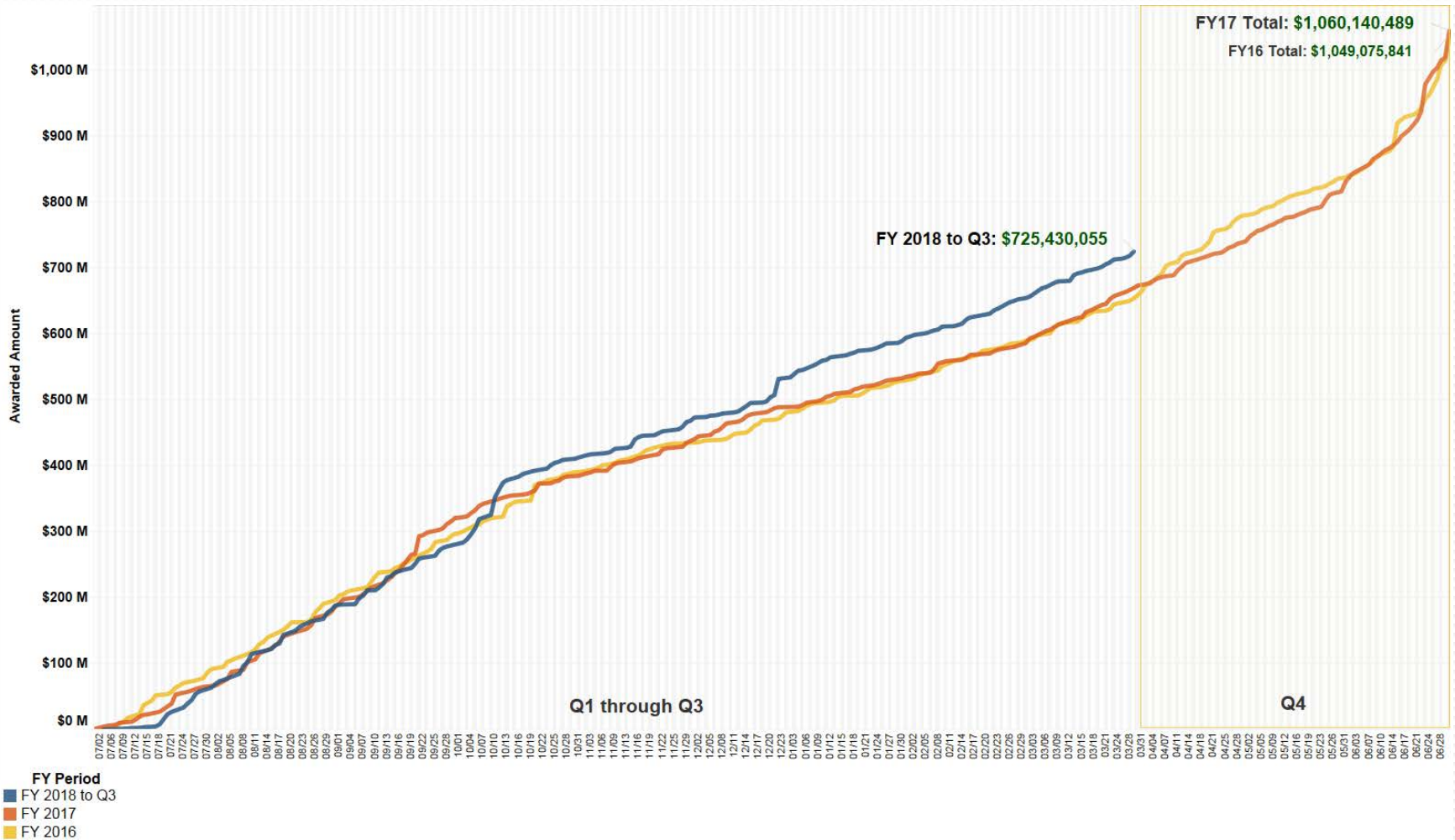
Sponsor Category

- Federal Government
- Higher Education
- State & Other Government
- Business & For-Profit
- Charitable & Non-Profit Organization

Past, Present, & Future Research Activity Awarded, Expended, and Committed Dollars



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



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.

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
- 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

*Clinical Research Education Collaboration Committee



Clinical Research Coordinator Certificate

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/>





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

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



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



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

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

SAMPLES - The level of risk: low, medium, or high [200.207 (b)-(c); 200.338]:

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

UCLA's award
 received and set-up

Subaward agreement
 established and
 Subaward set-up

Subaward proposal
 prepared and
 incorporated into
 UCLA's proposal

The
 Life Cycle of a
 Subaward

Subrecipient
 performs work and
 submits invoices to
 UCLA

UCLA obtains close-
 out reports from
 Subrecipient

UCLA monitors
 Subrecipient progress,
 reviews and approves
 invoices

Accounts Payable
 processes
 invoices

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: http://sites.nationalacademies.org/cs/groups/pgasite/documents/webpage/pga_173303.pdf.

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).



FDP EXPANDED CLEARINGHOUSE PILOT SUBRECIPIENT LETTER OF INTENT

This can ONLY be used in lieu of the UCLA OCGA Subrecipient Commitment Form by institutions who are listed as part of the FDP Expanded Clearinghouse Pilot at: http://sites.nationalacademies.org/cs/groups/pgasite/documents/webpage/pga_173303.pdf

Subrecipient (Sub) Legal Name:		Pass-Through Entity (PTE) Legal Name:	The Regents of the University of California, Los Angeles	
Sub DUNS:		PTE DUNS:	092530369	

Information above must match FDP Expanded Clearinghouse Pilot Entity Profile

Sub Principal Investigator:		PTE Principal Investigator:	
Sub Internal Project Identifier (optional):		PTE Internal Project Identifier (ex. PATS #):	

Project Title:				
Prime Awarding Agency:		Complete Project Period:	Start:	End:
Total Proposed Amount for Complete Project Period:	\$	Cost Sharing Amount for Complete Project Period:	\$	

If Cost Sharing, a separate cost share budget and justification should be attached

Project Facilities & Administrative Rates (check one):

Federally negotiated F&A rate that matches our FDP Expanded Clearinghouse Pilot Entity Profile
 A reduced F&A rate dictated by the prime awarding agency. Rate: _____ Base Type: _____
 Not applicable (no indirect costs are requested by Sub)

Project Use Information:

Human Subjects	Yes	No	Animal Subjects	Yes	No	Stem Cells	Yes	No	Genomic Data Sharing	Yes	No
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If Yes, please forward approval(s) to PTE PI as soon as available as approval(s) must be provided before any subaward can be issued

Institutional Authorized Official Information:

Sub Name/Title:		PTE Name/Title:	
Sub Phone:		PTE Phone:	
Sub Email:		PTE Email:	
Sub Email for Awards (if different from above):			
Sub Place of Performance the same as FDP Expanded Clearinghouse Pilot Entity Profile's:	Yes	No	(for FFATA reporting purposes)

This proposal has been reviewed and approved by the appropriate official(s) of Subrecipient, and certified to its accuracy and completeness. The appropriate programmatic and administrative personnel of Subrecipient involved in this application are aware of the prime awarding agency's policies, agree to accept the obligation to comply with award terms, conditions and certifications, and are prepared to establish the necessary inter-institutional agreement consistent with that policy.

The following documents are attached to this Statement of Intent:

Sub Statement of Work (required)	Sub Budget Justification (required)
Sub Detailed Line Item Budget (required)	Other: _____

Signature of Subrecipient's Authorized Official _____ Date _____

Name and Title of Authorized Official _____

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

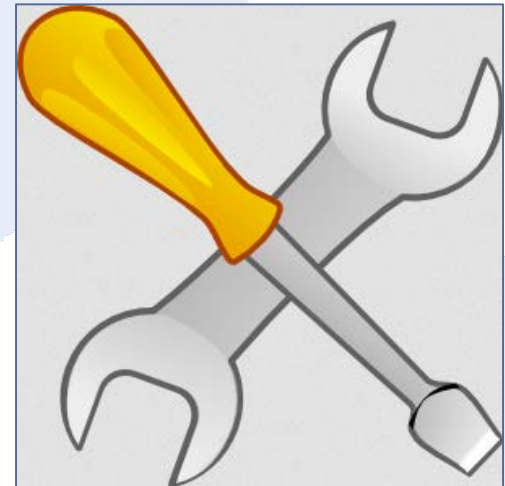
Jon Orlin

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**

webIRB CITI Training Log

The Training Log tab will now be available in the same location across all study workspaces:

The screenshot displays the webIRB interface for a study named 'TEST'. The top navigation bar includes 'webIRB Home', 'IRB Protocols', 'Researcher Profiles', 'Account Management', and 'Meetings'. The current page is 'IRB Protocols > TEST'. The 'Current State' section shows 'Pre Submission' as the active state, with buttons for 'Edit Study', 'Printer Version', 'View Differences', and 'View SmartForm Progress'. The 'My Activities' section lists various actions such as 'Send Notification to FS for FS Assurances', 'SUBMIT', 'Send Training Reminder', 'Withdraw', 'Edit PI Proxy', 'Edit OHRPP Comment', 'Edit CM COI', 'Log Private Comment', 'Study Team - Log Private Comment', 'Needs Attention', 'OHRPP document upload', and 'MRSC Ownership'. The 'Study: TEST' section provides details: 'Full Title of Study: TEST', 'Protocol ID: PRE# 17-008665', 'Principal Investigator: JON ORLIN', and 'Faculty Advisor:'. Below this, there are sections for 'PI Proxy', 'PI Assurances: Pending...', 'FS Assurances: Pending...', 'OHRPP Comment:', and 'Committee Member Conflict of Interest:'. At the bottom, a navigation bar contains tabs for 'History', 'Attachments', 'IRB Requests', 'Other Regulatory Documents', 'Training Log', and 'Change Log'. A large red arrow points to the 'Training Log' tab, which is circled in red.

- ❖ 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

CITI					
Name	Role On Study	Group	Stage	Date Completed	Expiration Date
RESEARCHER 1	PI	Good Clinical Practice (OPTIONAL)	GCP	4/3/2016	4/3/2019
		Human Research- Biomedical Researchers & Staff	Basic Course	8/6/2015	8/5/2018
		UCLA HIPAA	Stage 1	12/28/2013	
RESEARCHER 2	Study Contact Study Coordinator	Good Clinical Practice (OPTIONAL)	GCP	8/28/2009	8/27/2012
		Human Research- Biomedical Researchers & Staff	Refresher Course	1/4/2016	1/3/2019
		UCLA HIPAA	Stage 1	10/16/2013	
RESEARCHER 3	Co-Principal Investigator	Good Clinical Practice (OPTIONAL)	GCP	12/14/2017	12/13/2020
		Human Research- Biomedical Researchers & Staff	Basic Course	6/26/2015	6/25/2018
		UCLA HIPAA	Stage 1	3/4/2011	
RESEARCHER 4	Co-Investigator	No CITI data available			

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

Principal Investigator

Changes to your Account Profile can be made below.

Researcher webIRB Profile > 00010453

Account Profile

Select View: Edit Account Profile
Training

- ❖ Confirm that your current trainings are listed

Account Profile

Select View: Training ▼

Group	Stage	Date Completed	Expiration Date
Human Research- Biomedical Researchers & Staff	Refresher Course	11/10/2017	11/9/2020
UCLA HIPAA	Stage 1	11/19/2014	N/A

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:

The screenshot shows the UCLA OHRPP website. The header includes the UCLA OHRPP logo and the text "Office of the Human Research Protection Program". Below the header is a navigation menu with items like Home, Contact OHRPP, For Researchers, Consent Templates, Relying on Other IRBs, Policies and Guidance, Education and Training, and Post Approval Reporting. The main content area is titled "Human Subjects Protection Certification via CITI" and contains a list of questions such as "What is CITI Training?", "Am I required to complete Human Subjects Protection training?", etc. To the right, there is a "Resources" section with two items: "NEW: Create a New CITI Program Account via UCLA SSO" and "NEW: Link an Existing CITI Program Account via UCLA SSO". The "NEW" items are highlighted with a red box.

The screenshot shows a navigation bar with tabs: History, Attachments, IRB Requests, Notices, Other Regulatory Documents, Training Log, Change Log, and Agreements. The "Training Log" tab is selected. Below the navigation bar, there is a note: "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?](#)". The link is highlighted with a red box.

Training Log Visual Shortcut

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

Group	Stage	Date Completed	Expiration Date
Human Research - Social & Behavioral Researchers & Staff	Basic Course	6/2/2009	6/1/2012

webIRB Profile Information

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”.

History	Attachments	IRB Requests	Notices	Other Regulatory Documents	Training Log	Change Log	Agreements
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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					
Name	Role On Study	Group	Stage	Date Completed	Expiration Date
Principal Investigator	PI Study Contact	Human Research- Biomedical Researchers & Staff	Refresher Course	11/10/2017	11/9/2020
		UCLA HIPAA	Stage 1	11/19/2014	N/A

Study Team Training Information:

Name	Clinical Privileges Documents	Human Subjects Training Expiration Date	Human Subjects Protection Documentation	HIPAA Training Completion Date	HIPAA Training Documentation	CV/Biosketch/Resume	Other Documentation
Principal Investigator			Human Subjects Protection Training 0.01		HIPAA Training 0.01 ray_UCLA 0.01 HIPAA_11.20.14.pdf		

Walkthrough of OHRPP Website

<http://ora.research.ucla.edu/ohrpp>

ORA EFM RSAWA OCGA OHRPP ORIS OVCR UCLA

Office of the Human Research Protection Program

Research Administration > OHRPP

- Home
- Contact OHRPP ▶
- For Researchers ▶
- Consent Templates ▶
- Relying on Other IRBs ▶
- Policies and Guidance ▶
- Education and Training ▶
- Post Approval Reporting ▶
- Quality Improvement ▶
- For and About the IRB ▶
- For Research Participants ▶
- Other Resources ▶
- About the OHRPP ▶
- webIRB Home
- HIPAA FAQs

Welcome



The Office of the Human Research Protection Program (OHRPP) is the administrative arm of the UCLA Human Research Protection Program (HRPP). The OHRPP in partnership with the research community is responsible for ensuring the safety and welfare of participants in Human Research Projects conducted under the aegis of UCLA. The OHRPP, which is a Division within the Office of Research Administration, provides the campus and the five UCLA Institutional Review Boards (IRBs) with professional guidance and administrative support.

HUMAN RESEARCH NEWS

and Other Announcements

Click here for the IRB meeting deadline calendars: <http://ora.research.ucla.edu/OHRPP/Pages/MeetingCalendars.aspx>

Posted On 3/21/2018

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...

Resources

GO!

CITI

Full Accreditation

- Getting Started
- CITI Online Training
- IRB Statistics
- Letter for Sponsors

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



Letter for Sponsors

❖ Human Research News and Other Announcements and Newsfeed

HUMAN RESEARCH NEWS

and Other Announcements

Posted On 3/21/2018

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 2/16/2018

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

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

IRB Staff Information

- [Medical IRB Staff](#)
- [General IRB Staff](#)



[View Unified Calendar](#)

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?



RESEARCH ADMINISTRATION

Extramural Fund Management

April 12, 2018

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

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



My Funds Deliverables Reports Administration

Deliverables Search

Deliverable Search

Institution Number:

Fund:

Deliverable Search: PATS Institution

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

My Funds: Deliverables Reports Administration

Deliverable Search

Deliverable Search

Institution Number:

Fund:

Institution	Fund	Award Number	Budget Period	Project Period
20151111	33333	R01123ABC-03	07/01/17-06/30/18	07/01/15-06/30/20
	22222	R01123ABC-02	07/01/16-06/30/17	07/01/15-06/30/20
	11111	R01123ABC-01	07/01/15-06/30/16	07/01/15-06/30/20


Institution	Fund	Award Number	Budget Period	Project Period	Sponsor	PI	Department
20151111	33333	R01123ABC-03	07/01/17 - 06/30/18	07/01/15 - 06/30/20	NIH	Bruin, Joe	1000- Murphy Hall
	22222	R01123ABC-02	07/01/16 - 06/30/17	07/01/15 - 06/30/20	NIH	Bruin, Joe	1000- Murphy Hall
	11111	R01123ABC-01	07/01/15 - 06/30/16	07/01/15 - 06/30/20	NIH	Bruin, Joe	1000- Murphy Hall

Deliverable List: Award information


My Funds **Deliverables** Reports Administration




Deliverables List





Deliverables List





Institution Number: 20151111	PI: Bruin, Joe	MFNOA: Yes
Award Snapshot: 	Dept.: 1000-Murphy Hall	Payment Basis: Cost Reimb
Award Status: Awarded / Fully Executed	Sponsor: NIH	EFM Contact: EFM Accountant
Project Period: 07/01/15 - 06/30/20	Prime Sponsor: N/A	Dept Contact: Department Preparer
Program Type: Basic Org Research	Sponsor Award No.: RO1123ABC	

[← Back to Search](#)

 Expand All

Fund: 33333 Budget Period(s): 07/01/17 - 06/30/18 									
Category	Type	Frequency	Due Date	Assigned To	Status	Latest Update	Document	Comments	
Financial Report	Final	Once	09/30/18	EFM Accountant	Not Started	04/03/18			

Fund: 22222 Budget Period(s): 07/01/16 - 06/30/17 									
Category	Type	Frequency	Due Date	Assigned To	Status	Latest Update	Document	Comments	
Financial Report	Final	Once	09/30/17	EFM Accountant	Submitted	09/25/17			

Fund: 11111 Budget Period(s): 07/01/15 - 06/30/16 									
Category	Type	Frequency	Due Date	Assigned To	Status	Latest Update	Document	Comments	
Financial Report	Final	Once	09/30/16	EFM Accountant	Submitted	09/25/16			

Deliverable List

My Funds **Deliverables** Reports Administration

Deliverables List

Deliverables List

Institution Number: 20151111	PI: Bruin, Joe	MFNOA: Yes
Award Snapshot:	Dept.: 1000-Murphy Hall	Payment Basis: Cost Reimb
Award Status: Awarded / Fully Executed	Sponsor: NIH	EFM Contact: EFM Accountant
Project Period: 07/01/15 - 06/30/20	Prime Sponsor: N/A	Dept Contact: Department Preparer
Program Type: Basic Org Research	Sponsor Award No.: RO1123ABC	

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Expand All

Category	Type	Frequency	Due Date	Assigned To	Status	Latest Update	Document	Comments
Fund: 33333 Budget Period(s): 07/01/17 - 06/30/18								
Financial Report	Final	Once	09/30/18	EFM Accountant	Not Started	04/03/18		
Fund: 22222 Budget Period(s): 07/01/16 - 06/30/17								
Financial Report	Final	Once	09/30/17	EFM Accountant	Submitted	09/25/17		
Fund: 11111 Budget Period(s): 07/01/15 - 06/30/16								
Financial Report	Final	Once	09/30/16	EFM Accountant	Submitted	09/25/16		

Deliverable List

Deliverables List

Institution Number: 20151111	PI: Bruin, Joe	MFNOA: Yes
Award Snapshot:	Dept.: 1000- Murphy Hall	Payment Basis: Cost Reimb
Award Status: Awarded / Fully Executed	Sponsor: NIH- National Institute of Health	EFM Contact: EFM Accountant Email
Project Period: 07/01/15 - 06/30/20	Prime Sponsor: N/A	Dept Contact: Department Preparer Email
Program Type: Basic Org Research	Sponsor Award No.: R01123ABC	

[← Back to Search](#)

Expand All

<input checked="" type="checkbox"/> Fund: 33333	Budget Period(s): 07/01/17 - 06/30/18
Category	Type
Financial Report	Final
<input checked="" type="checkbox"/> Fund: 22222	Budget Period(s): 07/01/16 - 06/30/17
Category	Type
Financial Report	Final
<input checked="" type="checkbox"/> Fund: 11111	Budget Period(s): 07/01/15 - 06/30/16
Category	Type
Financial Report	Final

Fund: 33333		Budget Period(s): 07/01/17 - 06/30/18		
Category	Type	Frequency	Due Date	Assigned To
Financial Report	Final	Once	09/30/18	EFM Accountant
Fund: 22222		Budget Period(s): 07/01/16 - 06/30/17		
Category	Type	Frequency	Due Date	Assigned To
Financial Report	Final	Once	09/30/17	EFM Accountant
Fund: 11111		Budget Period(s): 07/01/15 - 06/30/16		
Category	Type	Frequency	Due Date	Assigned To
Financial Report	Final	Once	09/30/16	EFM Accountant

status

ents

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Deliverable Search

- Search financial deliverables by fund number

[My Funds](#)
[Deliverables](#)
[Reports](#)
[Administration](#)

Deliverables Search

Deliverable Search

Institution Number:

Fund:

Institution	Fund	Award Number	Budget Period	Project Period	Sponsor	PI	Department
20160001	77777	ABC-1ZA23	09/01/17-08/31/18	09/01/16-08/31/19	Sports Foundation	Smith, Josephine	1000-Murphy Hall

Deliverable List: Documents

Deliverables List

Institution Number:	20160001	PI:	Smith, Josephine	MFNOA:	No
Award Snapshot:		Dept.:	1000- Murphy Hall	Payment Basis:	Cost Reimb
Award Status:	Awarded / Fully Executed	Sponsor:	Sports Foundation	EFM Contact:	EFM Accountant Email
Project Period:	09/01/16 - 08/31/19	Prime Sponsor:	N/A	Dept Contact:	Department Preparer Email
Program Type:	Basic Org Research	Sponsor Award No.:	ABC-1ZA23		

[← Back to Search](#)

[+ Add](#) [✎ Edit](#) [- Delete](#) [🔍 Award Sequence Status](#)

[☑ Expand All](#)

[☑ Fund: 77777](#) **Budget Period(s):** 09/01/17 - 08/31/18

Category	Type	Frequency	Due Date	Assigned To	Status	Latest Update	Document	Comments
Invoice	Final	Once	11/30/19	EFM Accountant	Not Started	04/03/18		
Invoice	Interim	Quarterly	07/31/19	EFM Accountant	Not Started	04/03/18		
Invoice	Interim	Quarterly	04/30/19	EFM Accountant	Not Started	04/03/18		
Invoice	Interim	Quarterly	01/31/19	EFM Accountant	Not Started	04/03/18		
Invoice	Interim	Quarterly	10/31/18	EFM Accountant	Not Started	04/03/18		
Invoice	Interim	Quarterly	07/31/18	EFM Accountant	Not Started	04/03/18		
Invoice	Interim	Quarterly	04/30/18	EFM Accountant	Pending Department Action	04/03/18		
Invoice	Interim	Quarterly	01/31/18	EFM Accountant	Submitted	01/21/18		
Invoice	Interim	Quarterly	10/31/18	EFM Accountant	Submitted	10/25/17		

Deliverable List: Pending Department Action

Deliverables List

Institution Number:	20160001	Pt:	Smith, Josephine	MFNOA:	No
Award Snapshot:		Dept.:	1000- Murphy Hall	Payment Basis:	Cost Reimb
Award Status:	Awarded / Fully Executed	Sponsor:	Sports Foundation	EFM Contact:	EFM Accountant Email
Project Period:	09/01/16 - 08/31/19	Prime Sponsor:	N/A	Dept Contact:	Department Preparer Email
Program Type:	Basic Org Research	Sponsor Award No.:	ABC-1ZA23		

[← Back to Search](#)

[+ Add](#) [🔄 Edit](#) [- Delete](#) [📌 Award](#) [📅 Sequence](#) [📊 Status](#)

Expand All

Fund: 77777 Budget Period(s): 09/01/17 - 08/31/18

Category	Type	Frequency	Due Date	Assigned To	Status	Latest Update	Document	Comments
Invoice	Final	Once	11/30/19	EFM Accountant	Not Started	04/03/18		
Invoice	Interim	Quarterly	07/31/19	EFM Accountant	Not Started	04/03/18		
Invoice	Interim	Quarterly	04/30/19	EFM Accountant	Not Started	04/03/18		
Invoice	Interim	Quarterly	01/31/19	EFM Accountant	Not Started	04/03/18		
Invoice	Interim	Quarterly	10/31/18	EFM Accountant	Not Started	04/03/18		
Invoice	Interim	Quarterly	07/31/18	EFM Accountant	Not Started	04/03/18		
Invoice	Interim	Quarterly	04/30/18	EFM Accountant	Pending Department Action	04/03/18		
Invoice	Interim	Quarterly	01/31/18	EFM Accountant	Submitted	01/21/18		
Invoice	Interim	Quarterly	10/31/18	EFM Accountant	Submitted	10/25/17		

Deliverable List: Comments

Deliverable List

Deliverable Comments ✕

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

Date	User Name	Comment Type <input type="text"/>	Comments
04/03/18 2:00 PM	EFM Accountant	User	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
04/03/18 2:00 PM	EFM Accountant	Workflow	Modified Status to Pending Department Action
09/01/17 10:00 AM	EFM Accountant	System	Deliverable Created: Category: Invoice, Type: Interim, Frequency: Quarterly, Due Date: 04/30/18, Assigned To: Accountant Central Office Staff

Cancel

Invoice	Interim	Quarterly	07/31/18	EFM Accountant	Not Started	04/03/18	
Invoice	Interim	Quarterly	04/30/18	EFM Accountant	Pending Department Action	04/03/18	
Invoice	Interim	Quarterly	01/31/18	EFM Accountant	Submitted	01/21/18	
Invoice	Interim	Quarterly	10/31/18	EFM Accountant	Submitted	10/25/17	

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>
 - PAMS Help: pamshelp@research.ucla.edu or x40008

Contact information

EFM Website

<http://ora.research.ucla.edu/EFM/>

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