



# Research Administration Forum

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Marcia L. Smith

January 9, 2020

# Welcome & Announcements

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- **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

# Agenda

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- **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 Updates

Research Safety & Animal Welfare Administration

- **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

# RSAWA Updates

Research Safety & Animal Welfare Administration

- ARC Staff: [arc@research.ucla.edu](mailto:arc@research.ucla.edu) or 310-206-6308
- IBC Staff: [ibc@research.ucla.edu](mailto:ibc@research.ucla.edu) or 310-794-0262
- RSC Staff: [rsc@research.ucla.edu](mailto:rsc@research.ucla.edu) or 310-206-5601
- RSAWA Director: [jperkins@research.ucla.edu](mailto:jperkins@research.ucla.edu)  
or 310-794-9645





# OHRPP Updates

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January 9, 2020

# OHRPP Updates

Single IRB Mandate



Consent Templates Update



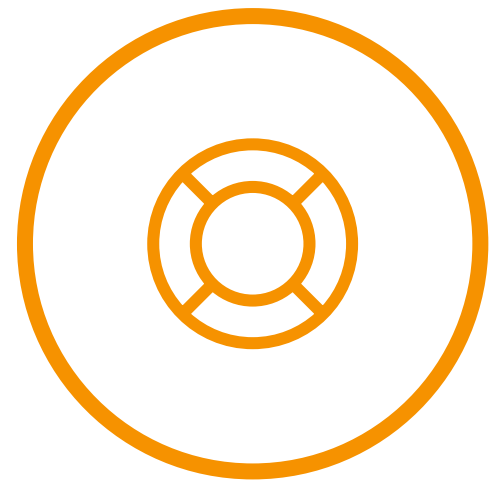
Learn at Lunch



OHRPP Training & HRN



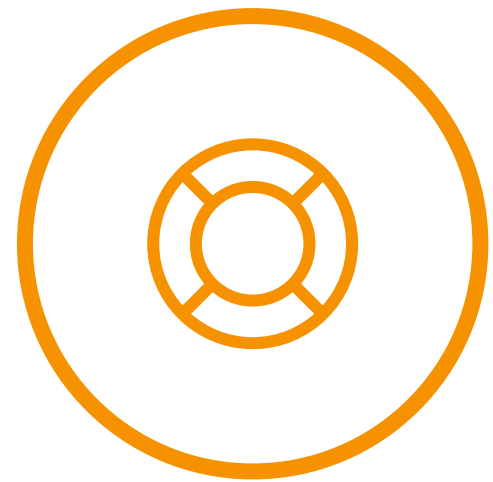
# Common Rule single IRB mandate



- 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



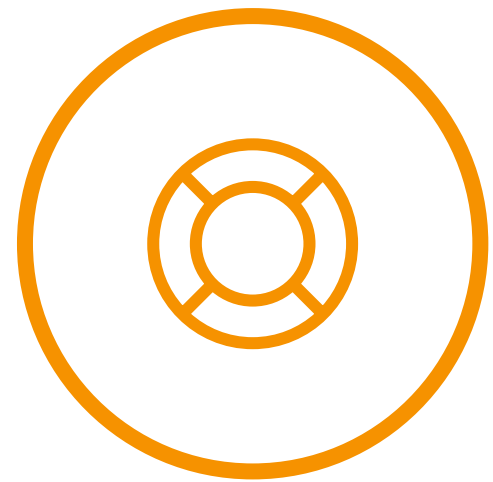
# Common Rule single IRB mandate



## 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

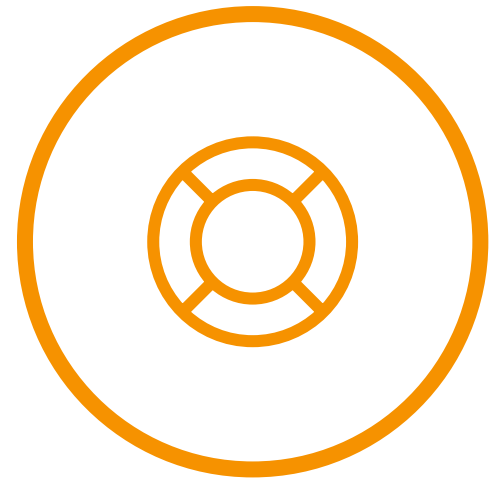


## Operationalizing:

- 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

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## Help:

- February 2020 “Learn at Lunch” will be on the single IRB mandate
- [OHRPP reliance team](#)

# Consent Template Updates



## 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

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## Highlights:

- **Guidance for “Key information”**
- **Sample verbiage for:**
  - Future use of data/specimens
  - Return of results
  - Genomic studies

## “Learn at Lunch” Series

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**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](#)**

## “Learn at Lunch” Series

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### **Upcoming presentations:**

*February: Single IRB mandate*

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



# OHRPP Training Opportunities



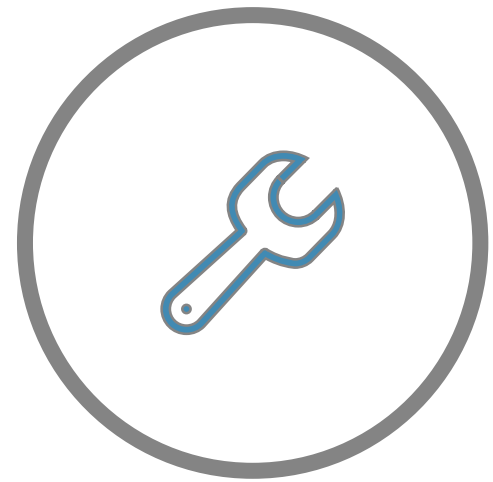
- ✓ OHRPP Quality Improvement Unit *will come to your division/department for IRB-related training, customized to your needs.*
- ✓ Please suggest Learn at Lunch series topics

➤ *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

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**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](mailto:investigators-l+subscribe@lists.ucla.edu)***

# Any Questions?

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## Contact Information

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# Changes to EFM Processes

## Will Murdoch

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January 9, 2020

# Proposed Changes

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- **In order to reduce the risk of denied sponsor payment, EFM's 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

Current State	Future State
<p>EFM reports expenses including all adjustments from the department with appropriate supporting documentation.</p>	<p>EFM will report based on the g/l, with the exception of <b>adjustments for only subawards</b>.</p> <p>Other adjustments are expected to be made by departments before the submission of COP, prompted by current automated reminders.</p>

# EFM Initiated COP – Response Time

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

*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

Current State	Future State
<p>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.</p>	<p>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 <b>\$5,000</b> or more.</p> <p>If the COP was not received on time, was incomplete or incorrect, increases in expenses must be in excess of <b>\$10,000</b> for revision requests to be considered.</p>



# Revision Requests - Repeating

Current State	Future State
<p>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.</p> <p>There currently is no limit to the number of revisions a department may request.</p>	<p>Up to a total of <b>2 revision requests</b> will be considered by EFM, <b>within 120 days</b> of the original due date.</p>



# Any Questions?

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## Contact Information

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### Wallace Murdoch

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# ERS Updates

## Will Murdoch

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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

Academic Year	Fall			Winter			Spring			Summer		
	Cert Rate	Cert #	Open #	Cert Rate	Cert #	Open #	Cert Rate	Cert #	Open #	Cert Rate	Cert #	Open #
2005-2006	N/A	N/A	N/A	N/A	N/A	N/A	100%	6683	0	100%	6983	0
2006-2007	100%	6111	0	100%	6049	0	100%	6195	0	100%	6574	0
2007-2008	100%	5827	0	100%	5872	0	100%	5997	0	100%	6497	0
2008-2009	100%	5829	0	100%	5876	0	100%	6127	0	100%	7393	0
2009-2010	100%	6433	0	100%	6680	0	100%	6898	0	100%	7797	0
2010-2011	99%	6573	3	100%	6621	0	99%	6772	1	99%	7080	2
2011-2012	100%	6212	0	100%	6283	0	100%	6276	0	100%	6607	0
2012-2013	99%	5773	2	99%	5843	2	99%	5814	1	99%	6116	4
2013-2014	99%	5371	2	99%	5335	2	99%	5503	1	99%	5898	3
2014-2015	99%	5266	1	99%	5341	2	99%	5347	3	99%	5860	4
2015-2016	99%	5225	2	99%	5267	2	99%	5387	4	99%	5700	3
2016-2017	99%	5121	7	99%	5177	8	99%	5299	37	99%	5740	56
2017-2018	98%	5123	66	98%	5048	81	91%	5753	511			

**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?

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## Contact Information

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**ERS Help Desk**

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