

## RESEARCH ADVISORY BOARD (RAB)

September 1, 2015

8:30-10:00am

Medical Sciences Building, Chancellors Conference Room S-30

**Attendees:** Jane Czech, Clarice Estrada, John Ellis, MC Gaisbauer, Jim Kiriakis, Larisa Kure, Kathryn Lee, Georgina Lopez, Irene McGlynn, Synthia Mellon, Teresa Moeller, Suzanne Murphy, Michael Nordberg, Marge O'Halloran, Terri O'Loneran, Christine Razler, Bill Seaman, Brian Smith, Matt Springer

**On Phone:** Christine Miaskowski

**Not here:** Chip Chambers, Mounira Kenaani, Gretchen Kiser, Wallace Marshall, Nirao Shah

**Guests:** Larry Carbone, Charles Green, Jenny Grandis, Sausan Fahmy, Ellyn McCaffrey

---

### PRESENTATION: Medical Center Mandatory Training Committee, Sausan Fahmy & Charles (Chuck) Green

- Sausan Fahmy & Charles (Chuck) Green presented on the Medical Center Mandatory Training Committee (see PowerPoint Presentation)
- This is the 3<sup>rd</sup> iteration of looking at mandatory training. Several years ago a committee was formed to discuss the trainings and the concluded that there should be a committee in place to review all mandated trainings within the UCSF Medical Center (i.e. trainings that go beyond the scope of one of more departments)
- A number of things are considered for each training, including: scope, mandated or not, effectiveness and efficiency, audience requirements
- It is difficult to remove courses
  - But some have been consolidated over the years
- Committee does not meet regularly, generally just when new training are introduced or trainings are modified

### Questions/Comments:

- Do we work with SFGH?
  - Yes, in areas of overlap
  - Similar for the VA, which has different Federal regulatory policies, so have double regulatory burden
    - Allow for some op-outs of trainings, i.e. if you were trained at VA can skip trainings at UCSF
- Would advocate having as many trainings as possible to have the op-out test at the end of the training
  - i.e. the user has a choice
    - 1) user can decide to take the course with test OR
    - 2) Opt-out of taking the course and take the test only. Many users prefer to bypass the course and jump right to the test since they are already familiar with the content
- Trainings also should be more efficient, in that the tester can take it at their own speed. The current set up of trainings may be a hindrance at times, the main goal should just be learning the material
  - For the setup of trainings, the focus of the setup is to make sure that you are absorbing all the information
- The most effective trainings have a progress chart, so you know how long the training is and how much further you have to go
- Would be helpful to also have considerations not only on scope of trainings, but timing of trainings, i.e. allow people to take trainings before they actually start
  - Can be an HR issue, i.e. asking people to do work before they actually get paid
  - Should be an option
- Are there evaluations for all trainings?
  - Not consistently or evenly distributed across all trainings. Some do have them and the results are discussed with the relevant client
- Would be great to have a way to have all trainings that an individual needs to take in a customized module. This refers to the training assessment application which would provide staff a listing of required trainings. Suggest changing customized module to training assessment application or training assessment tool.
  - Went through an external quote to setup a system that could do this, this lost momentum, now focused on looking internally to see if we can set it up internally
  - Was originally quoted at 17K
  - If we have a clearinghouse, then we can reference what trainings a person has actually done, when something goes wrong

### Next Steps:

- Brian Smith and Jennifer Grandis will bring recommendations for a similar committee/revamp of trainings to RAB (needs to be integrated with HR, i.e. clearing house for all trainings).

PRESENTATION: Updated Contracts and Grants Accounting Policies, MC Gaisbauer & Ellyn McCaffrey

MC Gaisbauer & Ellyn McCaffrey gave an update on the CGA Accounting Policies (see PowerPoint Presentation)

- Reviewed 10 policies, which required a different level of understanding for each
- Made a number of changes to each policy
- Moving through approval process in the next few week, so please provide any feedback

Questions/Comments:

- None

Next Steps:

- Committee members to provide feedback, finalized updated will be sent out

Research Administrator Appreciation Day update, MC Gaisbauer

MC Gaisbauer gave an update on the Research Administrator Appreciation Day.

- National Research Administrator Day has been designated as September 25<sup>th</sup>, which didn't give much time for us to plan any events. Given that, the following is being planned:
  - 2015: special token
  - 2016: PI Showcases, Keynote Speaker, Food and Prizes
    - Need PI's for this
      - Talk to MSO's to identify, along with other members of RAB

Questions/Comments:

- Possibly coordinate with Post-doc appreciation week for 2016, (9.21.15-9.26.15), there are things being planned by Graduate Division

Next Steps:

- None noted

Clinical Research Committee, Jenny Grandis

- This committee has being formed, second meeting is today, will be meeting monthly
- Goal is to streamline various processes within clinic research
- Could this committee report to RAB?
  - Yes, please

Next Steps:

- None noted

**MANDATORY TRAINING  
PRESENTATION TO RESEARCH ADVISORY  
BOARD MEETING**

**Based on August 17, 2013  
Recommendations by Gatekeeping  
Subcommittee**

# OUTLINE

- Gatekeeping Sub-Committee Charter
- Approval Process Related to Scope of Mandatory Training
- Mandatory Training Approval Committee and other roles
- Criteria for approving new mandatory training or courses
- Guidelines for training

# GATEKEEPING SUB-COMMITTEE CHARTER

- Develop a process to be used by a standing committee that will approve all new or recurring mandatory training.
- Develop the standards and processes that this standing body would use to evaluate requests to make training mandatory beyond the requester's own department.
- Develop tools and training criteria to ensure the content experts/stakeholders who originate the training are informed prior to submitting the request and/or developing the content.

# APPROVAL PROCESS RELATED TO SCOPE OF MANDATORY TRAINING

- If mandated by manager for own department and complies with effective delivery method and content. if posted on the UC Learning Center, no additional approval is needed
- If mandated by manager for other departments than her/his own, requester must obtain approval of the manager(s) and Senior Leader(s) of the impacted department(s)
- If mandated for all UCSF Medical Center or Campus audiences, must obtain approval of Mandatory Training Committee. Requester must provide justification and demonstrate that the training meets UCSF mandatory training requirements

# ROLES AND RESPONSIBILITIES – MANDATORY TRAINING APPROVAL COMMITTEES

- Two Mandatory Training Approval Committees to be formed representing Campus and Medical Center respectively
- Committees are responsible for approving or declining introduction of new mandatory training or updates to current mandatory training that extends beyond the scope of one or more departments
- Committees to include Senior/ Executive Leaders who provide oversight and representation from Learning and Development
- Ongoing communication between the two Committees regarding mutual interests and overlapping training

## ROLES AND RESPONSIBILITIES – MANDATORY TRAINING APPROVAL COMMITTEES – *CONT'D.*

When reviewing requests for mandating training, committees focus on:

- **Mandate or not** - Should the training be mandated (necessary for regulatory compliance, safety or quality of care or research) or can it be offered as a highly encouraged practice
- **Scope of the training:** Necessary compliance information to include, length of training, appropriate launch date, reasonable period for audience to complete the training, frequency of updates

# ROLES AND RESPONSIBILITIES – MANDATORY TRAINING APPROVAL COMMITTEES – *CONT'D.*

- **Effectiveness and efficiency of the training:** Content and its proposed method(s) of delivery
- **Audience requirements** – Which audience(s) is covered by the requirement, whether the training needs to be customized to more than one audience (e.g. Infection Control or Safety training for providers and for non-providers)
- **Scope of the training:** Necessary compliance information to include, length of training, appropriate launch date, reasonable period for audience to complete the training, frequency of updates

## ROLES AND RESPONSIBILITIES – MANDATORY TRAINING APPROVAL COMMITTEES – *CONT'D.*

- **Frequency** - Whether the training is a one-time occurrence or to be repeated. If latter, frequency of updates and reasonable deadlines for completion of the training
- **Removal/reduction of overlap** between training programs required of the same audience
- **Monitoring Compliance** - Method of ensuring compliance and expected measures for non-compliant audience

## ROLES AND RESPONSIBILITIES – MANDATORY TRAINING APPROVAL COMMITTEES – *CONT'D.*

- **Periodic Reviews** - Review annually all existing mandatory training and apply the above criteria across all courses
- **Determine whether to explore reciprocity** with other medical center facilities and hospitals and if yes, assign to the department making the request to follow-up
- **Assignment Strategies** – Review assignment options to determine the best way to bring attention, focus, and completion compliance to the course (traditional assignment using LMS; soft assignment using LMS; no assignment using LMS, etc.)

# ROLES AND RESPONSIBILITIES – DEPARTMENT GENERATING TRAINING OR RESPONSIBLE FOR REGULATORY COMPLIANCE

The department which generates the mandatory requirement and/or is responsible for ensuring compliance, has the following responsibilities:

- Defines the specific mandatory requirements and associated documentation for the Approval Committee
- Works with course developers to provide concise, effective and clear content, as well as all other information to enter into the UC Learning Center
- Identifies the specific target audience(s)
- Communicates to audiences the necessity of completing the training, and addresses questions regarding the need for compliance and/or content

## **ROLES AND RESPONSIBILITIES – DEPARTMENT GENERATING TRAINING OR RESPONSIBLE FOR REGULATORY COMPLIANCE – *CONT'D.***

- Ensures that regulatory requirements are met
- Defines the reporting requirements within the parameters/capabilities of the UC Learning Center
- Schedules any instructor-led sessions. Ensures the appropriate information is provided to set up registration in the UC Learning Center.
- If the training is delivered in an instructor-led format, delivers the training, documents and enters attendance into the UC Learning Center

## ROLES AND RESPONSIBILITIES – LEARNING & DEVELOPMENT TEAM

- Provides updates and recommendations to the Approval Committees
- May approve requests that readily meet the mandatory training criteria (updating existing course)
- Interfaces across Medical Center and Campus to ensure alignment, areas of needed collaboration and selection of appropriate audience(s) for each course/topic
- Ensures training development request disposition (approved, denied, or tentative) in the online tool

## **ROLES AND RESPONSIBILITIES – LEARNING & DEVELOPMENT TEAM – *CONT'D.***

- Provides expertise and guidance to the requestor when planning for or implementing the request
- Develops and implements e-Learning and sets up instructor-led course registration access on the UC Learning Center
- Generates compliance reporting per requested criteria and within the scope of the UC Learning System

# MANDATORY TRAINING REQUEST SUBMITTAL

- Request to be submitted to Learning and Development department through online request form, email or phone request
- Learning and Development representative to contact the requester to obtain relevant information
- LMS Manager and Department Director assess the request in terms of approved criteria and prepare recommendations to the Mandatory Training Approval Committee
- If the request is to update a currently mandated course, Learning & Development management would review the changes and determine whether they are within guidelines or if they need to be submitted to the Approval Committee

# GUIDELINES FOR TRAINING

- Customized or relevant to audience groups (e.g. Infection Control – Two versions: one for clinical audiences and another for non-clinical audiences)
- Streamlined, limited to necessary requirements, and up-to-date
- Effective content with focus on learning and retention. If questions are used in the training, they would be minimal, focused on key points and provide correct answers when needed

## GUIDELINES FOR TRAINING - *CONT'D.*

- Efficient delivery method (e-Learning, document review, or classroom), clarity and minimal duration
- Non-redundant with other training that is aimed at the same audience
- Clear and specific directions for completion



University of California  
San Francisco

# Research Advisory Board Meeting

*September 1, 2015*

Contracts & Grants Accounting  
MC Gaisbauer, Assistant Controller  
Ellyn McCaffrey, Manager



University of California  
San Francisco

# CGA Policy Review



# Topics

- Purpose of Review
- Policies Reviewed and Key Stakeholders
- Key Changes by Policy

# Purpose of Policy Review

- Comply with 2 CFR Part 200, Uniform Guidance
- Reflect current operating practice
- Incorporate newer general ledger terminology

# CGA Policy Review

Update all policies/procedures for changes due to Uniform Guidance

Policy	Changes other than Uniform Guidance
Cost Sharing Policy (400-17)	None
Cost Accounting Standards	Updated Appendix to align with UCSF policies and provide stronger examples
Expenditures of Sponsored Projects (300-19)	Change policy name from Extramural to Sponsored Projects
Deficit Monitoring and Resolution (250-12)	None
Deficit Procedures	Clearer distinction between sponsored vs. non sponsored
Program Income (400-18)	None
Cost Transfers (300-22)	None
Effort Reporting FAQs	Enhanced to align with UCSF policies and provide stronger examples
Effort Reporting (300-20)	None
Equipment Management (200-11)	Clarified definitions

# Cost Share

- Update for Uniform Guidance
- More robust definitions that tie to the Cost Sharing Summary Job Aid
- Career Development exception information
- Differentiation between federal and private

# Cost Accounting Standards

- Uniform Guidance Policy and Implementation Information
  - Administrative Salaries as Direct Costs
  - Effort Reporting
- Updated FAQs
  - Stronger examples, i.e., Cost sharing

# Expenditures of Sponsored Research

- Retitled from Expenditures of Extramural Funds
- Incorporated non-federal information
- Updated Key responsibilities related to
  - Prior approval monitoring
  - Indirect Cost reconciliations

# Deficit Monitoring and Resolution and Deficit Procedures

- Sponsored Project Related information only to incorporate
  - All types of funding that is received
  - Different billing mechanism impact on deficits
- Budget Office approved
- Deficit Transfer Journal Entry Example
  - New function code use for mission based reporting

# Program Income

- Removal of Combination Alternative method as no longer valid under Uniform Guidance
- Created a new job aid to facilitate accounting and reporting under all allowable methods
  - Streamlines process through accounting within award
  - Eliminates Program Income arising from Recharges

# Cost Transfers

- Minor updates
  - New general ledger terminology
  - Uniform Guidance references
- Incorporate policies for non-federal sources
- Responsibilities of Department Administration, PI and CGA all remain the same

# Effort Reporting and Effort Reporting FAQs

- Changed purpose from requirement of Circulars to component of Internal Control
- Clarified roles and responsibilities
- Added in escalation language
- Effort Report FAQs
  - More information on total allowable effort
  - Added pictures for system examples

# Equipment Management

- Clearer definitions
  - Custodial Department
  - Custody Code



University of California  
San Francisco

**UCSF** NATIONAL  
RESEARCH  
ADMINISTRATOR DAY

September 25, 2015

# RESEARCH ADMINISTRATOR DAY

- National Research Administrator Day is newly designated to be observed annually on September 25
- This is a day to recognize the contributions made by research administrators every day in supporting research

**UCSF desires to begin an annual tradition of celebrating and honoring our 2,000 research administrators**

# RESEARCH ADMINISTRATOR DAY

- 2015 Celebration
  - Be on the alert for a **special token of appreciation this year**
- 2016 Celebration
  - Planning and preparation has already commenced for 2016
  - Objective is to create a fair day with:
    - PI Showcases
    - Keynote speaker
    - Food and prizes

**UCSF**

University of California  
San Francisco