

## RESEARCH ADVISORY BOARD (RAB)

February 11, 2020 8:30-10:00 a.m.

Medical Sciences Building: Conference Room S-118

Zoom: 1 669 900 6833 Meeting ID: 358 478 8114 <https://ucsf.zoom.us/j/3584788114>

### AGENDA

Topic	Presenter	Time
1. Human Research Protection Program - End of Year Update	Sherry Felchlin Interim Director, Human Research Protection Program	8:30 – 9:15 a.m.
2. Composite Benefit Rates and Their Impact	Michael Clune Senior Associate Vice Chancellor and Chief Financial Officer	9:15 – 10:00 a.m.

Meetings are on the 2<sup>nd</sup> Tuesday of each month.

#### 2020 Meetings:

- January 14
- February 11
- March 10
- April 14
- May 12
- June 9
- July 14
- August 11
- September 8
- October 13
- November 10
- December 8

**RESEARCH ADVISORY BOARD (RAB)**  
**February 11, 2020 8:30-10:00 a.m.**  
**Medical Sciences Building: Conference Room S-118 & Zoom**  
**Meeting Notes**

**Attending:** Hal Collard\*, Lindsey Criswell, Jane Czech, David Erle\*, Clarice Estrada\*, Julene Johnson, Mounira, Kenaani, Jim Kiriakis, Georgina Lopez\*, Wallace Marshall, Ellen McCaffrey\*, Teresa Moeller, Suzanne Murphy, Michael Nordberg, Jon Rueter\*, James Sorensen, Matthew Springer, Shannon Turner\*, Paul Volberding, Winona Ward

**Guests/Other Attendees:** Wenhan Chang, Mike Clune\*, Parya Saberi, Sherry Felchlin, Stuart Gansky\*, Kirsten Kolodzie, Kenneth Laslavic, Peter Rechmann\*, Irene Broderick (staff)

\*: on phone

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**1. Human Research Protection Program - End of Year Update\*\***

**Sherry Felchlin**

The HRPP has in excess of 7,500 active studies, and processes approximately 1,200 submissions monthly. The HRPP is working to address the protocol review backlog and long times to approval. A number of efforts are in process to help address the backlog:

- **Staffing:** fill open positions. There are currently 34 total authorized positions in the HRPP:
  - **Filled positions:** 32 Current full time employees, 9 current contract positions (they will stay until the backlog is gone)
  - **Approved Positions still to be filled:** 4: HRPP Director, Associate Director, IRB Manager (new position), IRB Reliance Coordinator (new position)
  - The HRPP will not know, until the exempt backlog is cleared, and contractors are released in approximately six months, whether staffing levels for the increased workload will be adequate.

The HRPP's ultimate goal is to reduce the timeline of the oldest submissions in the queue to six weeks from receipt; the expectation is that it will take approximately six months to achieve this goal.

- **Backlog** (Backlog is defined as submissions in the queue longer than 90 days)
  - Current backlog (January 2020):
    - 155 Exempt / No Subject Contact (43% reduction, down from 274 in Nov. 2019)
    - 81 Expedited (36% reduction in backlog, down from 127 in Nov. 2019)
  - 41% in overall total reduction and 95% reduction in submissions in queue received 90+ days
  - Since November, the new Minimal Risk backlog has been reduced by 94.7%

**Contributing factors to the backlog:**

- Problematic branching logic in the online database (iRIS) contributed to the delays and backlog; automated workflow 'buckets' are now in place to address the problem.
- Only one person screens expedited and exempt studies, and the volume of approved expedited and exempt studies increased by 70% over the average monthly approved for Q3/Q4 2019 .
- The HRPP staff also conduct protocol violation reviews, audits, and provide services besides protocol review.
- There is significant growth in sIRB volume.
- Regardless of whether a protocol was reviewed at another institution (Benioff Children's Hospital Oakland, for example), it must be reviewed at UCSF.

**Discussion and suggestions:**

- Incorporate standard procedures for the protocols, this will streamline the review process. Sherry will investigate whether standardized procedures could be implemented. .
- The Expedited form is 15 pages; is there an effort to put the right sized form with the right sized project?
- The member recruitment process has not been formalized and it is a challenge to recruit new members.
- Sherry will look at per person metrics: how many questions are being asked of each panel member?

**2. Composite Benefit Rates and Their Impact\*\***

**Michael Clune**

Departments should be aware that composite benefit rates (CBRs) will be implemented June 1<sup>st</sup>, to coincide with the UCPath launch on June 1st. The impact of CBRs will be cost shifts across units and funds. Benefits will no longer be calculated individually rather an average will be used. Costs will be socialized across the institution, which is more efficient; a composite benefits rate is the cost of employee benefits as an **average** percentage of gross salary cost applicable to an employee group. There is no change to how employees pay into their benefits; the CBR impact is on the employer.

This change has been studied for 5 years: A simple single rate model would result in dramatic cost shifts across funds so it will not be used. UCSF's proposed model uses six categories, which is based on title code and benefits availability. Departments will need to examine the impact on their costs, particularly for contracts and grants and recharges. The campus must develop a plan for addressing cost shifts across control points.

The Regents approved an increase in UCRP contributions. Impacts will vary across control points and funds. Plans to mitigate cost shifts (or not) are still being developed and will be based on 2018-19 data. For administrative units, 2020-21 recurring allocations will be adjusted to offset costs increases and decreases. The UCRP Loan Repayment charge (1.5%) will continue to be charged separately, since this cannot be charged to federal funds; vacation leave will also be handled separately. For other academic activities, mitigation plans are still being developed in consultation with dean's offices and UCSF Health. Recharge rates may need to be adjusted up or down. For contracts and grants, most awards will experience a cost savings or an impact of less than \$5,000.

At this time, there is not a lot to be done; when changes occur, individuals may need to re-budget their grant as they may see savings or cost increase(s). The important point is to be aware this is coming and be ready to react to it in June.

**Action Item:** Winona and Ellen McCaffrey will look at the impact on vacation leave and child-bearing, and bring information back to the RAB.

### 3. Other discussions:

- Ellyn McCaffrey advised the NIH Salary Cap has been updated to \$197,300.

\*\*Contains excerpts from PowerPoint; See PowerPoint for details



University of California  
San Francisco

# HRPP Institutional Review Board

Initiatives, Impact, Metrics and More

Sherry Felchlin  
Interim Director, HRPP

02/09/2020

# HRPP Staff Update

Total authorized positions in HRPP: 34

Filled positions in HRPP : 32

- Current full time employees: 23
- Current total contract positions: 9
  - Interim HRPP Director
  - Interim Associate Director
  - IRB Analyst
  - Expedited / Exempt Coordinators (6) with majority at 20 hour per week or less

Approved Positions still to be filled: 4

- HRPP Director
- Associate Director
- IRB Manager (new position)
- IRB Reliance Coordinator (new position)

# Review Capabilities Augmentation

- Modifications to the application form to correct branching logic and create automated workflow “buckets” have been completed
  
- Additional 4 external contract employees have been engaged
  - All four have significant IRB experience and expertise
  - Three are actively engaged with the fourth anticipated to start by end of February
  - Onsite training later this month
  
- Chair / Vice Chair review support initiative initiated mid-November
  - Staff continues providing administrative support to minimize the system training that would be needed for documentation
  - Feedback has been received from the Chairs and collaboration continues with staff to identify areas of potential challenges in application, documentation and training
  - Staff is working to compile deficiency trends as part of a “root cause” assessment
  - The consistent allocation of Chair reviews has been impactful to the reduction of the backlog.

# Review Capabilities Goal & Results to Date

- The initial goal is to reduce the timeline of oldest submission in queue to 6 weeks from receipt.
  - Projects are expected to remain in place until that timeline is achieved with identified turnaround time milestones planned.
- Anticipated time needed to achieve 6 weeks goal is 6 months assuming intake volume to remain steady (2.5 months completed)
- Since November, the new Minimal Risk backlog has been reduced by 94.7%
  - 134 down to 7 > 90 days post-receipt) (data through January)
  - Backlog defined as items in house longer than 90 days
  - Not goal timeline but indicates a significant reduction in aged items
- In January, the volume of approved expedited and exempt studies increased by 70% (n=158 approved) over the average monthly approved for Q3/Q4 2019 (average 93.5 approved/month)

# Minimal Risk Backlog Reduction

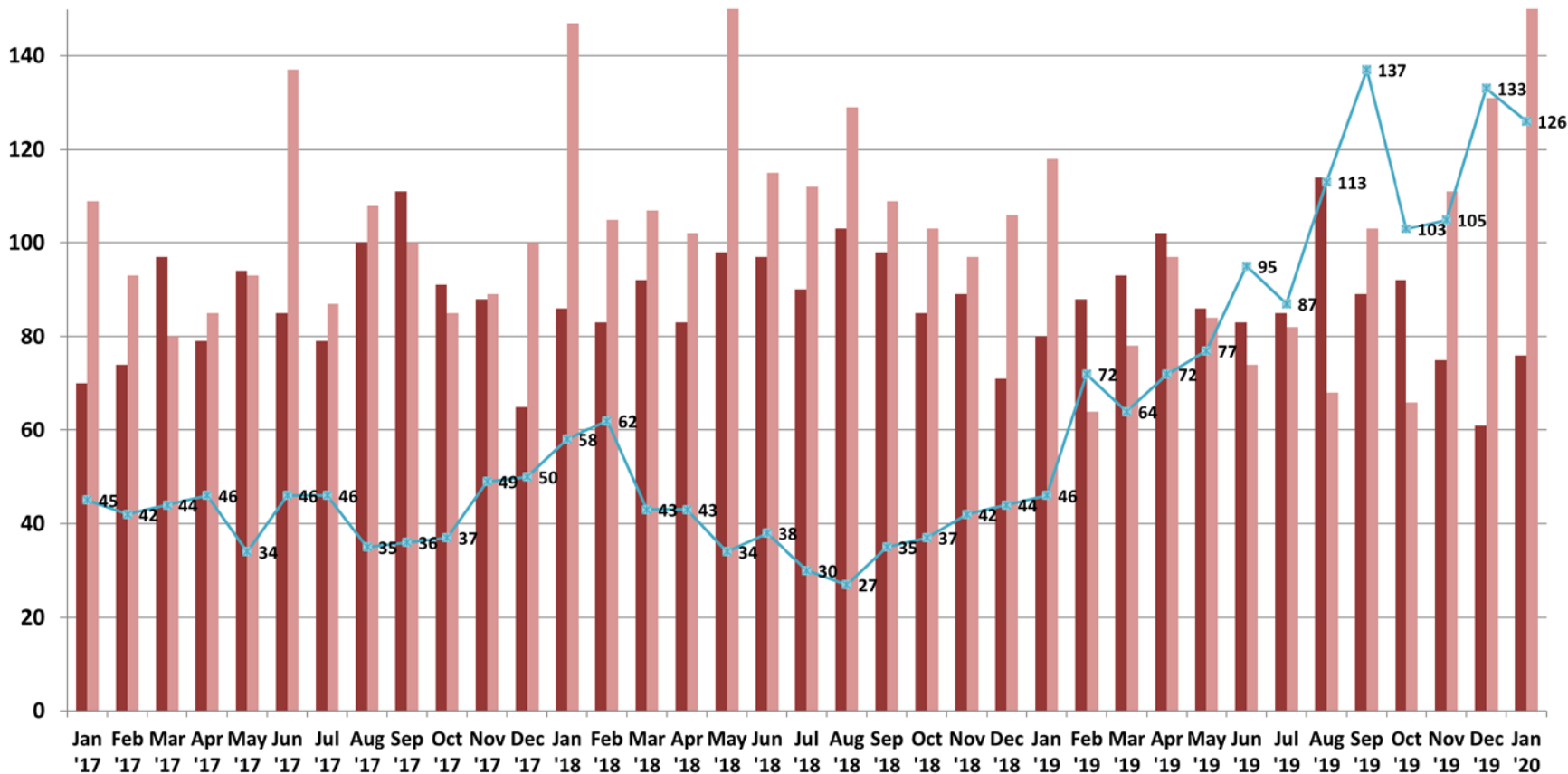
- Current backlog (January 2020):
  - 155 Exempt / No Subject Contact (43% reduction)
    - 3 > 90 days post-receipt
  - 81 Expedited (36% reduction in backlog)
    - 4 > 90 days post-receipt
- Initial backlog (November 2019)
  - 274 Exempt / No Subject Contact
    - ~ 100 > 90 days post-receipt
  - 127 Expedited
    - 34 > 90 days post-receipt
- 41% overall total reduction
- 95% reduction in submissions in queue received 90+ days



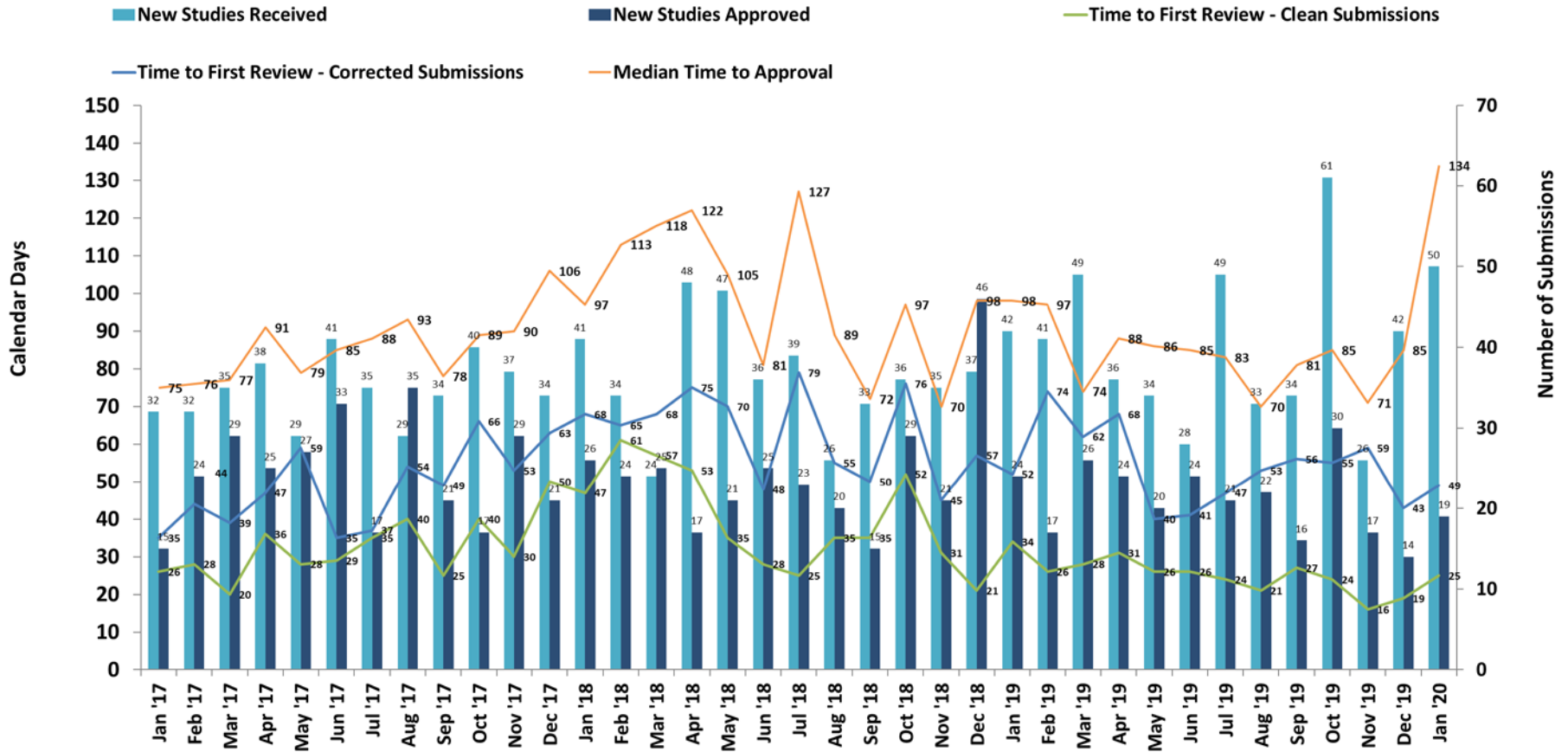
# Metrics

## New Expedited Median Time to Approval vs. Number of Submissions

■ New Expedited Received    
 ■ New Expedited Approved    
 —◆— Time to Approval (Calendar Days)



# New Full Committee Time to Review and Approval in Calendar Days vs. Number of Submissions



# IRB Metrics: Volume and Workforce

>7,500 active studies

~1,200 submissions monthly

~15 IRB Analysts (including recent consultants)

# Volume & Workload Impact Activities

- BCHO Integration and Transfer
  - Maximum Volume – 474 studies
- Fresno
  - Bilateral MOU in development
- sIRB
  - Reviewing 34
  - Relying 85
- Additional new affiliations



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# Composite Benefits Rates

Mike Clune,  
Senior Associate Vice Chancellor / Chief Financial Officer

Research Advisory Board  
February 2020

# Summary

- UCSF will implement Composite Benefits Rates (CBRs) when we implement UCPath, scheduled for June 1
- Implementing CBRs will result in cost shifts across units and funds
- Cost shifts are due to variation in several areas:

Salary levels	Higher pay typically means a lower benefits rate
Funding sources and benefit eligibility for different types of pay	Z payments have little or no benefits cost; Y payments are not covered by UCRP
Employee benefit selections	Some employees have more dependents

- Departments will need to examine the impact on their costs, particularly for contracts and grants and recharges
- The campus needs to develop a plan for addressing cost shifts across control points

# Composite Benefit Rates (CBRs) support UC Path integration and simplify accounting processes

A composite benefits rate is the cost of employee benefits as an average percentage of gross salary cost applicable to an employee group.

For example, if gross salary for faculty is \$750 million and benefits costs for this group is \$150 million, the composite benefits rate is 20%

<b>Current State:</b>	<b>Future State:</b>
Departments/funds pay actual costs for individual benefits by employee	Departments/funds pay composite benefits based on the average by type of employee
Departmental costs vary due to employees' personal circumstances	Eliminates variation in department costs related to employee benefit selections
Planning is more complex and less accurate	Simplifies and improves planning processes
Payroll transfers require adjustments for individual benefit lines	Reduces workload when transferring compensation among fund sources



# Our CBR model development is based on certain key assumptions and constraints

- Most individuals who share a title code will be assigned the same benefits rate
  - Individuals with less than full benefits will be assigned a Partial/Minimum/Students rate (except Post Docs)
- Some compensation components will not be charged benefits in the new model (e.g., Z incentive payments, housing allowances)
- Salary components for an individual that are charged (e.g., the X and Y components of faculty salaries) will be assigned the same benefits rate
- CBRs will cover retirement contributions, payroll taxes and assessments, and health and welfare benefits; exclusions include include GAEL, tuition remission, and faculty childbearing/childrearing
- The vacation leave assessment will be handled separately
- UCSF Health will charge its own rate(s); the rate applied to jointly-funded faculty and staff will be based on the business unit making the salary payment rather than the home department of the employee

# In 2017-18, total benefits were 34.4% of salary; UCRP and health plan contributions are the largest components

Benefit Component	Total Spend (millions)	Percentage of Total Salary	Factors
UC Retirement Plan	\$148.7	9.6%	<ul style="list-style-type: none"> <li>~15.7% of covered salary, up to \$265,000</li> <li>Applied differentially by DOS earnings code</li> <li>Certain employees and types of pay ineligible</li> </ul>
Health Plans	139.3	9.0%	<ul style="list-style-type: none"> <li>UC contribution declines as salary rises</li> <li>Cost also varies due to employee elections (family size)</li> <li>Certain employees ineligible</li> </ul>
Social Security/Medicare	82.3	5.3%	<ul style="list-style-type: none"> <li>Social Security: ~6.2% of covered salary, up to \$132,900 (2019)</li> <li>Medicare: ~1.45% of salary</li> </ul>
UC Retiree Health Assessment	28.3	1.8%	<ul style="list-style-type: none"> <li>~\$2.82 per \$100 of retirement eligible salary</li> </ul>
Workers' Compensation	11.7	0.8%	<ul style="list-style-type: none"> <li>~\$0.69 per \$100 of salary</li> </ul>
Other	15.5	1.0%	<ul style="list-style-type: none"> <li>Includes disability, life and unemployment insurance, as well as employee support (rate additive) and other benefits</li> <li>Salary caps apply to life insurance and disability insurance</li> </ul>
Accrued Leave (will be spread)	108.7	7.0%	<ul style="list-style-type: none"> <li>Vacation related benefits will be in CBR's in UCPath</li> </ul>
<b>Total</b>	<b>\$364.3</b>	<b>34.4%</b>	
Excluded from Benefit Rates: These costs are identified via account, department, project or pay type and are covered directly through ledger transactions			<ul style="list-style-type: none"> <li>General, auto, and employment liability (GAEL) identified by project or department</li> <li>Vacation accruals will cover only Salary within UCPath, benefits will all be supported by CBR's</li> <li>By agreement/incentive (Z) salaries, accruals, housing and automobile allowances, honoraria, bonuses, relocation benefits, extended sick leave, involuntary severance and other special supplemental pay not eligible for standard benefits identified by pay type</li> </ul>

A simple single rate model would result in dramatic cost shifts across funds – we will not implement a single rate

- Sales and Service–Professional funds, including Medical Compensation Plan, would experience a major increase in benefits costs
- Sales and Service–Other funds, would experience a significant reduction in costs

<b>Fund Group</b>	<b>Cost Shift</b>
Federal Contracts and Grants	(\$2,095)
Private Contracts and Grants	(2,095)
State and Local Contracts and Grants	636
Gifts & Endowment Earnings	(137)
Sales and Service – Professional	31,199
Sales and Service – Other	(14,610)
State and Tuition	(3,151)
Campus Core Fund	<u>(8,851)</u>
<b>Total</b>	<b>\$ -</b>

Dollars in thousands. Positive values indicate additional benefit costs; negative values indicate reduced benefit costs. S&S – Professional includes Medical Compensation Plan, Dental Compensation Plan, Dental Clinic, and Neuropsychiatric Hospital funds; S&S – Other includes auxiliaries, investment income, patent income, recharges, affiliation revenue, and other sales and service

# UCSF's proposed model uses six categories

Category	Category Members (examples)	Count	Salary (millions)	2019-20 Rates	2020-21 Rates
Faculty 1	<ul style="list-style-type: none"> <li>Ladder Rank – Associate and Full</li> <li>Health Science Clinical Professor</li> <li>Professor of Clinical _____</li> <li>Professor in Residence</li> </ul>	2,507	\$576.1	24.5%	25.1%
Faculty 2	<ul style="list-style-type: none"> <li>Non Ladder Rank – Assistant</li> <li>Adjunct Professor</li> <li>Visiting Professor</li> </ul>	516	56.3	34.7%	35.6%
Management and Professional Specialties	<ul style="list-style-type: none"> <li>Managers</li> <li>Pharmacists, Physicians, Dentists</li> <li>Nursing Services, Police Services</li> </ul>	5,409	135.8	36.4%	37.3%
Other Academics and Staff	<ul style="list-style-type: none"> <li>Specialists, Administrative, Budget, and Personnel Analysts, Computer Programmers</li> <li>Animal Care Technicians, Laboratory and Allied Services</li> <li>Custodial Services, Parking and Guard Services</li> </ul>	14,715	595.2	45.3%	46.5%
Postdoctoral Fellows	<ul style="list-style-type: none"> <li>Postdoctoral Fellows</li> </ul>	2,015	60.8	20.4%	21.0%
Partial/Minimum/Students	<ul style="list-style-type: none"> <li>Students and Residents</li> <li>All employees with appointments offering partial or minimum benefits</li> </ul>	9,706	180.6	5.2%	5.3%

# Impacts will vary across control points and funds; 2018-19 results are consistent with prior years

Control Point	Federal C&G	Private C&G	State and Local C&G	Gifts and Endowment	S&S Prof	S&S Other	State/Core /Tuition	Total
SOM	\$(1,341)	\$745	\$616	\$1,265	\$7,301	\$(459)	\$(2,070)	\$6,057
SOD	(95)	(29)	65	9	(873)	(14)	(985)	(1,921)
SOP	(119)	(47)	(17)	(8)	-	(168)	(859)	(1,217)
SON	(166)	(78)	(271)	(57)	(2)	(154)	(445)	(1,174)
IGHS	83	136	(324)	(12)	-	30	14	(73)
FAS	-	-	-	-	-	(2,818)	868	(1,951)
EVCP	39	168	(4)	50	-	(503)	418	167
UDAR	-	-	-	-	-	(12)	521	509
D&O	5	-	-	-	-	14	(18)	-
Communications	-	-	-	-	-	(7)	76	69
CGR	-	-	-	-	-	5	11	15
Legal Affairs	-	-	-	-	-	64	16	80
Chancellor	-	-	-	28	-	-	82	110
Campuswide	-	-	-	-	-	(715)	44	(671)
<b>Total</b>	<b>(1,595)</b>	<b>895</b>	<b>65</b>	<b>1,274</b>	<b>6,427</b>	<b>(4,739)</b>	<b>(2,328)</b>	<b>(0)</b>

Based on 2018-19 data. Dollars in thousands. Positive values indicate additional benefit costs; negative values indicate reduced benefit costs.

Plans to mitigate cost shifts (or not) are still being developed and will be based on 2018-19 data

- For administrative units, 2020-21 recurring allocations will be adjusted to offset costs increases and decreases
- For other academic activities, mitigation plans are still being developed in consultation with dean's offices and UCSF Health
  - SOM dean's office is working with UCSF Health to consult with the clinical chairs
- For recharges, rates may need to be adjusted up or down
- For contracts and grants:
  - Most awards will experience a cost savings or an impact of less than \$5,000
  - The deans elected not to create a formal program for mitigation of significant cost increases
  - PIs experiencing burdensome cost increases on existing grants should work with CGA and, if necessary, request assistance from their chair or dean

# Composite Benefits Rates – Communications

- OSR began using CBRs for proposal budgets last fall
- Website launched with broad communication on January 22:
  - <https://brm.ucsf.edu/cbr>
- BRM responding to queries to [cbrhelp@ucsf.edu](mailto:cbrhelp@ucsf.edu)
  - Lots of questions about specific departments/projects
  - These queries will inform further messaging, with a goal to enable self-help
- BRM planning monthly email blasts: “what you need to know”
- Campus webinar planned for April
- Coordinating with HR, Controller’s Office, and UCPath communications

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