RESEARCH ADVISORY BOARD
June 5, 2018
8:30-10:00 a.m.
Medical Sciences Building- S118

AGENDA

1. New Laser Safety Committee, James Cook (8:30 – 8:50 a.m.)

2. Update on Sub-Awards, Winona Ward   (8:50 – 9:10 a.m.)

3. Sub to Bear Buy project, Winona Ward & MC Gaisbauer (9:10 – 9:30 a.m.)

Upcoming Meetings/Agenda Items in 2018:
July 3 - CANCELLED

3rd Tuesday of every month in 2018 in S-30:
August 21
September 18
October 16
November 20
December 18

Attendees: Lindsey Criswell, Jane Czech, John Ellis*, David Erle*, Clarice Estrada, MC Gaisbauer, Julene Johnson, Mounira Kenaani, Jim Kiriakis, Gretchen Kiser*, Marguerita Lightfoot, Georgina Lopez*, Stephanie Louie, Wallace Marshall, Synthia Mellon, Teresa Moeller, Suzanne Murphy, Michael Nordberg, Christine Razler, Elizabeth Sinclair, Brian Smith, Eunice Stephens*, Paul Volberding, Winona Ward;. Irene Broderick: Staff. *= *on phone*
Absent: Chip Chambers, Jennifer Grandis, Diane Havlir, Vanessa Jacoby, Steve Lazarus, Irene McGlynn, Thomas Neylan, Feroz Papa, James Sorensen,
Guests: Gideon Aung. James Cook, , Jean Jones

UCSF Laser Safety Program: James Cook

James Cook, UCSF Radiation Safety Officer discussed the different types of radiation (lasers) in use at UCSF, describing their number, hazards, complexity and diversity. In order to help keep track of laser inventories, users, training, audits, and more, commencing September 2018, UCSF will convene a new Laser Safety Committee (LSC) and require laser users to obtain a Laser Use Authorization (LUA).   CalOSHA bases risk criteria on ANSI to guide risk mitigation; out of the hundreds of lasers in use at UCSF, approximately 170 require strict precautions (class 3B or 4). Of this 170, approximately 60 are in medical applications and the remaining 110 in campus applications.

The new LSC will follow the existing safety committees (biological, chemical) model; membership will include 10-15 voting members representing each type of laser use. The new LUA will launch in August 2018 and be managed in the existing Research Information Online (RIO) database. RIO will house laser inventories, training records, incidents, etc. EH&S Department Safety Advisors will conduct campus audits; the Laser Safety Office will conduct medical center audits. In the event there is an incident, the Laser Safety Office and Officer will handle the appropriate risk mitigation activities.

James Cook sought the group's input regarding frequency of risk based training for those on an LUA and using class 3 or 4 lasers; the training has already been vetted with the UCSF Medical Center. Understanding the number of people affected and end user input on how to proceed is very important. James will solicit the input of affected faculty as gathering end user input on how to proceed, and understanding the number of people affected, is crucial.

- Member suggestions: offer test out (unless prohibited); mandate training completion prior to addition to LUA, require quarterly training (unless protocol review is impacted), let end users preview the training prior to rollout, and have an SOP & require the PI sign that he & his staff will follow it.

Next steps:

- James will research what other campuses do (e.g., every other year plus self audit). Once a training frequency is determined, a process for approving authorizations outside the quarterly safety committee meeting will be developed and documented in order to ensure other review processes are not impacted.
- Core directors and managers are responsible to ensure users are trained; James will work with Elizabeth Sinclair to understand Core(s) processes and the best method for training rollout.
- James will complete the RAB mandatory training use form and share the list of laser-using faculty with RAB.
- Elizabeth will present the searchable database to the RAB

UCSF Sub-Award Business Process Improvement (BPI)   **Winona Ward**

- 2015-16 BPI recommendations:
  - include an assessment of sub-award systems and roles/responsibilities; hire temporary workers to cure the greater than 400 transaction backlog; delegate signature authority for qualified staff, and maintain an ongoing process review and streamlining efforts.

- 2016-17 Progress:
  - successes are being realized: while incoming requests increased by 130% the average time to completion decreased by 45%; transactions open greater than 90 days have been reduced from 30% down to 7%; and time to draft sub-awards is down from 40 to 15 days due, in part, to improved better information collection at intake.
- 2017-18 Improvements:
  - OSR is now completely paperless; an interim manager is implementing new efficiencies; OSR now uses top-down review process and no longer pursues IRB & IRB approvals from subs; and time to draft sub-awards is down to 5 days (simple subs) to 30 days (complex subs) - 80% were done within 0-15 days this year.
- Future / Challenges:
  - Interim Manager is covering for the sub-award manager; we are now able to hire permanent staff to take up from the two lost temporary staff.

Subs to BearBuy Project: **Winona Ward & MC Gaisbauer**

- Goal: develop and implement a technology-based business process to manage the issuance, modification, usage and monitoring of sub-awards in BearBuy. BearBuy will manage the sub-award workflow as a Purchase Order.
- Objective: streamline workflows and let people know how much they have spent & how many funds remain.
- Scope: avoid adding new roles or delegations; monitor turnaround times, see spend on liens, and retire the RAS sub-award customization.

Full implementation of the Subs to BearBuy project is targeted for December 2018; departments will review/test in the fall.   Procurement is helping with implementation; however, post-implementation is out of the workflow and CGA staff will handle processing. This new process will leverage our current systems, mirror the purchase order process, and result in more transparent reporting. Training will highlight what has/has not changed (e.g., there will now be two lines for the sub-award). MC & Winona will next look at Clinical Trials: how to process close-out when funds are not fully spent.   Project sponsors will have oversight of processes.

Updates from Vice Chancellor Criswell

- Vice Chancellor Criswell expressed her gratitude to the 15 people are participating in the Industry-Sponsored Clinical Trials Process Improvement Workshops. In the workshops, participants are looking intensely at Industry-Sponsored Clinical Trials in order to map out the details and processes involved and look for ways to achieve efficiencies. Two of three workshops are complete and great progress is being made in terms of where we are today & where we want to go. VC Criswell will send an update in roughly one week. A task force (Executive Vice Chancellor, faculty, staff) is convening to shepherd the process this year & beyond: where we succeed/fail, how we can implement changes.
- The Office of Research will launch a new template-based newsletter in mid-July; RAB will have a presence and may consider drafting RAB history, focus, successes, differences with other committees (i.e., COR) for future issues.
- Parnassus renovation project: A new research working group developed a survey to help understand UCSF research & *programmatic scientific areas* (not program areas). The survey asks faculty to say who they affiliate with strongly. We are trying to engage faculty better at other sites, such as LHts, SFGH. As of yesterday there 1091 completed surveys; the survey will close in approximately one week to allow data analysis & forward movement. The work group is advisory to the Steering Committee overseeing the Parnassus re-vamp.
  - Suggestion: Send to the control points so they can alert their departments.

Next steps: Lindsey will present results at a future meeting.

Executive Summary

- The number, hazards, complexity and diversity of lasers at UCSF requires a formal Laser Safety Committee

- The Laser Safety Committee (LSC) to include representation from each type of use to help provide guidance and oversight, review laser concerns and approve new applications

- A Laser Use Authorization (LUA) would be similar to other use authorizations currently used for biological or radioactive materials to help keep track of laser inventory, users, training, SOPs and audits

- Plan to implement both LSC and LUA by September 2018

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Overview of UCSF Lasers

Number, Hazards, Complexity and Diversity

- CalOSHA uses these ANSI criteria to guide risk mitigation

- Of the hundreds of lasers at UCSF, about 170 are dangerous enough to require strict precautions (class 3B or 4 lasers)

- Class 3B and 4 lasers can cause skin injury, fire hazards, or permanent retinal injury before one's reflex to look away

- Around 60 of these are in medical applications (skin, eye, cauterization, photodynamic therapy) and 110 are in campus applications (animal behavioral, microscopy, supercontinuum, photofluors, photogenetics) and human research studies

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Other UC Laser Safety Programs

- These UC schools have an LSC and LUA
  - Berkeley, Davis, Los Angeles, Santa Cruz, San Diego
  - Irvine is in the process of adopting an LSC and LUA

- These UC schools only have a Laser Safety Officer (LSO) with a spreadsheet of laser inventory
  - Merced, Riverside, Santa Barbara, San Francisco

- Since 2000, CalOSHA has investigated laser injuries at
  - Davis, Irvine, San Diego

Laser Safety Committee

Committee Membership

- Set up similarly to other EH&S technical committees, such as the Radiation Safety Committee or Institutional Biosafety Committee, and including medical and campus stakeholders

- Committee Membership to include 10-15 voting members representing each type of use. (Other interested users can observe or call in to participate.)

- Quarterly meetings to review new laser use applications, human research studies, and incidents/near-misses

- Plan to invite members in June, and have first meeting in July

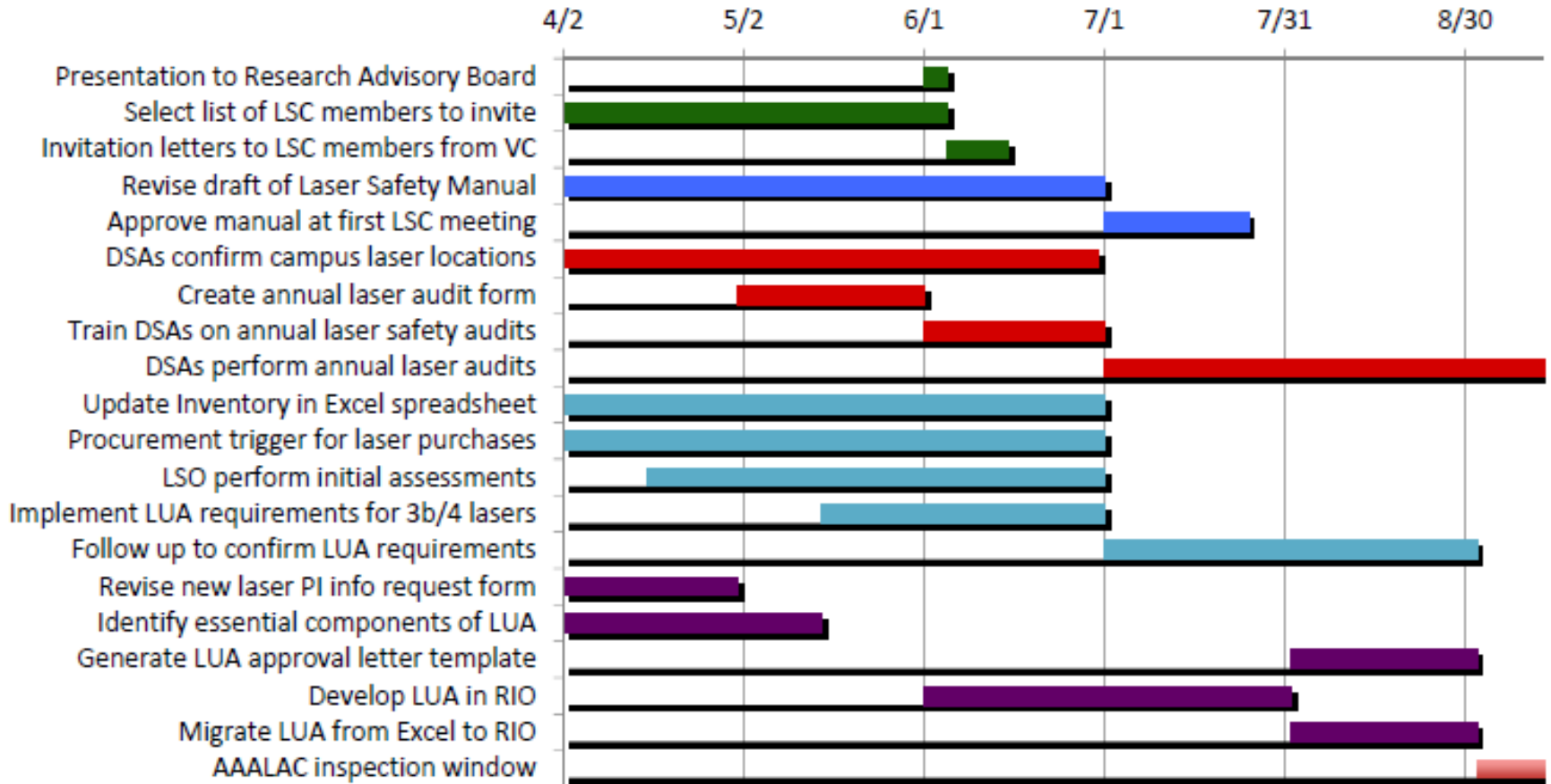UCSF

Laser Use Authorization

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Laser Use Authorization

- Using Research Information Online (RIO), the existing EH&S database application

- RIO will function as repository for records of laser inventory, standard operating procedures, administrative/engineering controls, users, trainings, audits, inspections, incidents, etc.

- Annual audits will be performed by the EH&S Departmental Safety Advisors (DSAs) on the campus side, and by the LSO on the medical side.

- Plan to develop LUA in RIO through June and July, then start use in August

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Timeline Summary

Overview of implementation timeline

Laser Safety Program Timeline

Questions?

Thank you!

Office of Sponsored Research (OSR)
Subaward Business Process Improvement (BPI) Update
Winona Ward, Director

Contracts and Grants Accounting (CGA)
Subaward to BearBuy Project
MC Gaisbauer, Assistant Controller

BPI Recommendations (2015-16)

Assess subaward systems and roles/responsibilities.

Develop fast-track model for simple actions, and new intake process including RMS taking ownership of subaward request process and revised forms.

Hire 3 temp staff to cure backlog >400 transactions

Develop proposal for 2 permanent FTE

Delegated signature authority to qualified staff

Ongoing process review and streamlining

Progress (2016-17)

Incoming requests increased by 130%; average time to completion decreased by 45%

Transactions open >90 days reduced from 30% down to 7%

Time to draft subaward down from 40 to 15 days due in part to collecting better information at intake.

Streamlined risk assessment & compliance review processes.

Utilize subaward associates to fast-track NCEs and MCAs.

UCSF Subaward Business Process Improvement (BPI)

Improvements/Status (2017-18)

Implemented CACTAS for subs Oct 2017; improves process transparency, efficiency & metrics; OSR Triage (OSR funded)

OSR funding commitment for 2 FTE in FY18. (reserves)

Manager and BPI contract staff lost, interim manager in place, replacement staff hired Oct-Nov 2017 and being trained; Time to draft subaward at approx. 30 days.

Performing top-down process review, streamlining, e.g. no longer chasing IRB/IACUC approvals from subs.

Future/Challenges

Unable to retain temp staff; unable to sustain efficiencies without temp staff;

Funding ensured for in FY19 and EVCP is dedicated to future budget prioritization.

Compliance burden increases; Federal regulations, e.g., audit, export compliance

Complexity increasing: International collaborators; Multi-sponsor consortiums

Subaward Manager vacancy/recruitment

UCSF Subaward Process via BearBuy

Goal

Develop and implement a business process with a technical solution in BearBuy to manage the issuance, modification, usage and monitoring of subawards.

Specifically, manage subaward workflow in BearBuy as a PO and retire the RAS subaward customization.

Project Sponsors: OSR/Winona Ward, Jean Jones, CGA/MC Gaisbauer, AP/Ally Jalali, SCM/Vanessa Wong.

Objectives

Increase visibility into expense spend on subawards (liens reflected in MyReports).

Reduce the administrative burden felt by RSA and PI.

Increase the efficiency and effectiveness of the subaward management process for OSR and Accounts Payable.

Meet compliance and audit requirements of Uniform Guidance.

Cope

SRF replaced by requisition in Bearbuy, managed through existing Bearbuy roles and delegations.

CACTAS customization for OSR Subaward Team workload management; metrics and reporting; maintenance of subrecipient profiles, compliance and risk assessments.

Develop campus guidance for subaward management in Bearbuy/MyReports.

Comprehensive testing & piloting phase (to include representatives from department administration, OSR, CGA, Accounts Payable).

Implementation/Outliers

Subs to Bearbuy full implementation by Dec 2018; training of staff and department post-award.

Next steps: Finalize requirements and start technical implementations (e.g., BearBuy Forms and workflows).

Data Migration: Final decision and start preparation phase.

Outliers: intercampus subawards, data migration of open subawards; changes to existing OSR subaward systems and processes; roles and responsibilities.