



## ANIMAL RESOURCE CENTER

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### *Business Associate List*

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## Introduction

In the context of the iRIS™ system, a business associate is an institution or business which interacts with the institution where iRIS™ is in use.

Business associate entities can be added as a study sponsor, vendor or subrecipient, or as a third party in a conflict of interest.

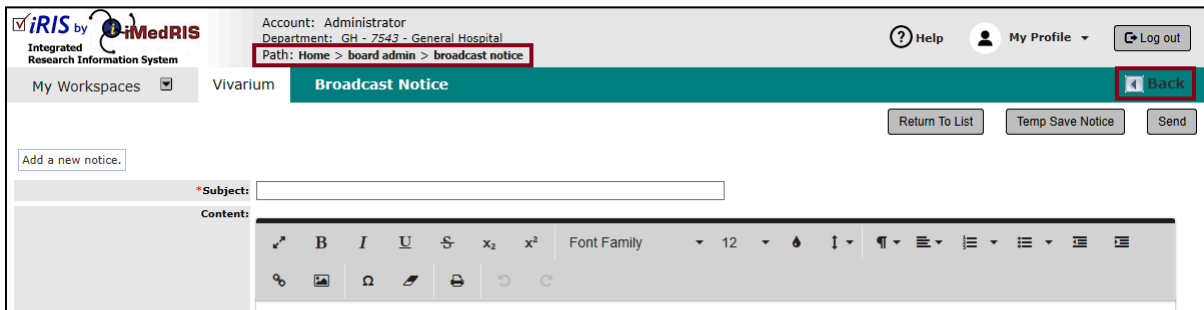
## Navigation in iRIS™

iRIS™ includes two standard navigation tools on all pages nested one or more levels beneath the primary Workspace page of the module currently in use (e.g., Study Assistant, Conflict of Interest Assistant, Animal Resource Center, etc.): a Path directory tree, and Back buttons.

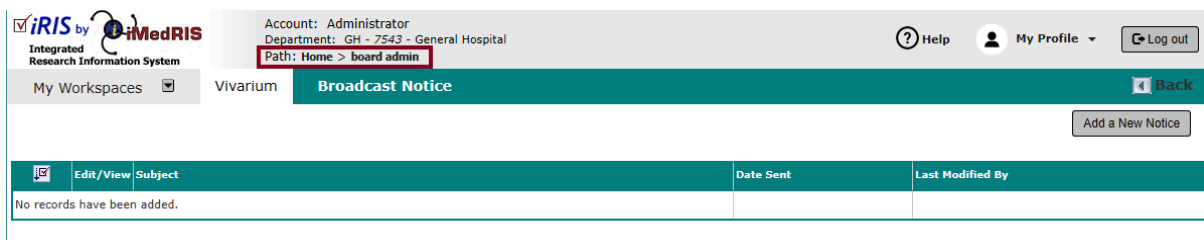
## Path Directory Tree

The **Path** item at the upper left of iRIS™ pages provides a hyperlinked menu directory tree, allowing the user to quickly navigate back through the path they followed to get to their current location. **Path** appears on all pages nested at least one level beneath the main workspace

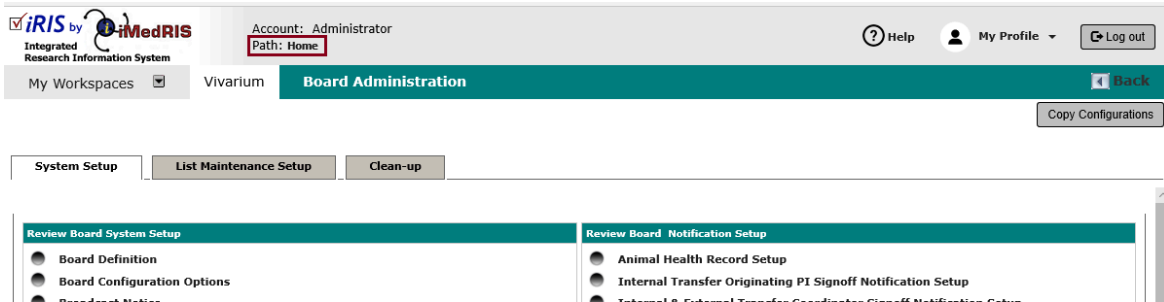
In the example shown the user is viewing the **Broadcast Notice Add a new notice** page. This page is nested three levels beneath the main workspace page, as indicated by the three links available in the **Path** directory tree: **Home**, **board admin** and **broadcast notice**.



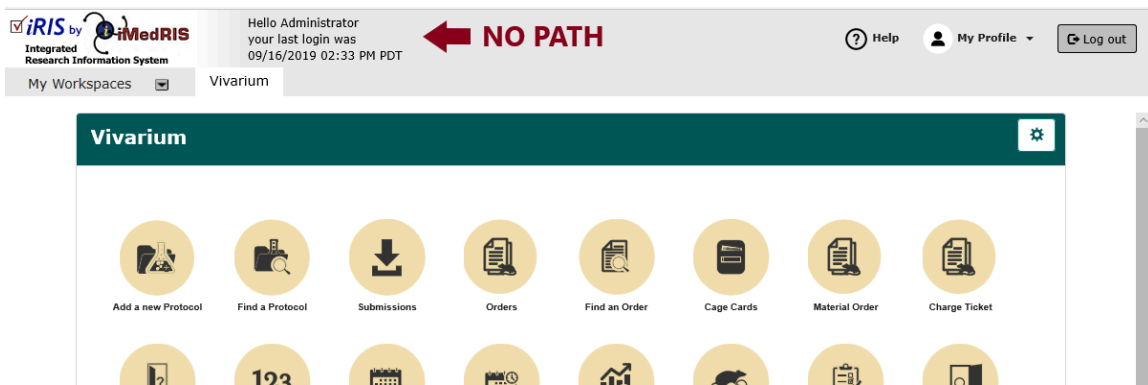
Click on **broadcast notice** in the **Path** to navigate up one level in the directory tree, to the main **Broadcast Notice** page. There are now two levels in the **Path** directory tree: **board admin** and **Home**.



Click on **board admin** in the **Path** to navigate up one level in the directory tree, to the **Board Administration** page. There is now one level in the **Path**: **Home**.

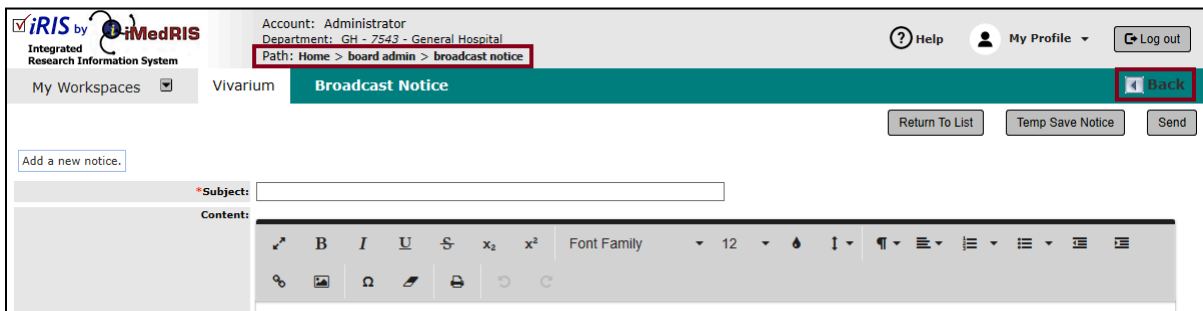


Click on **Home** in the **Path** to navigate up one level in the directory tree, to the main Workspace page. No Path item is displayed here because the user is now at the top-most level of the directory tree.

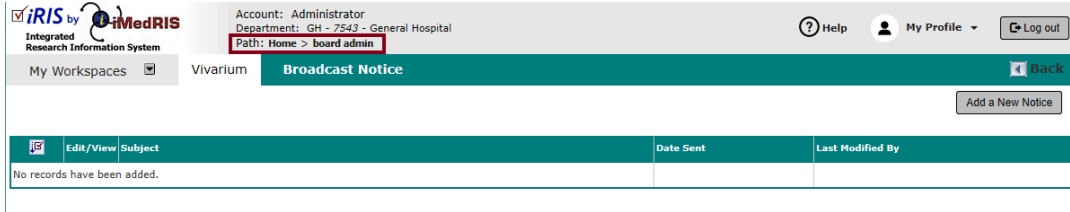


## Back Button

The second navigation tool is the **Back** button, which appears on all pages nested at least one level beneath the main workspace. The **Back** button takes the user to the same location as the last link shown in the **Path**.



In the example shown above, both the **Back** button and the **broadcast notice** link in the **Path** return the user to the **Broadcast Notice** page:

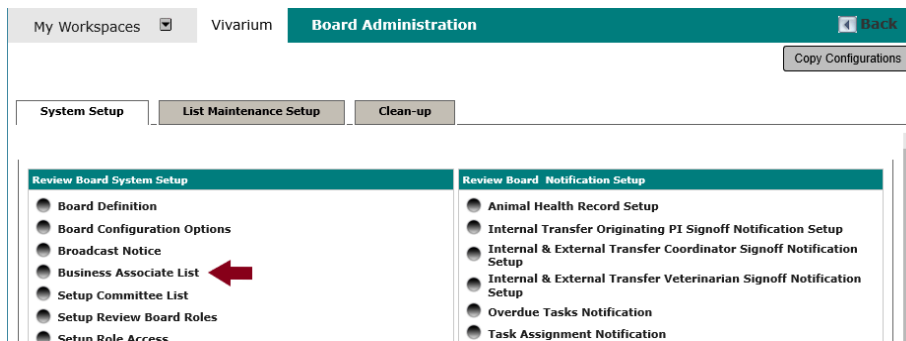


Clicking the **Back** button on the **Broadcast Notice** page returns the user to the Board Administration page, as indicated by the last link in the **Path** directory tree shown in the screenshot above.

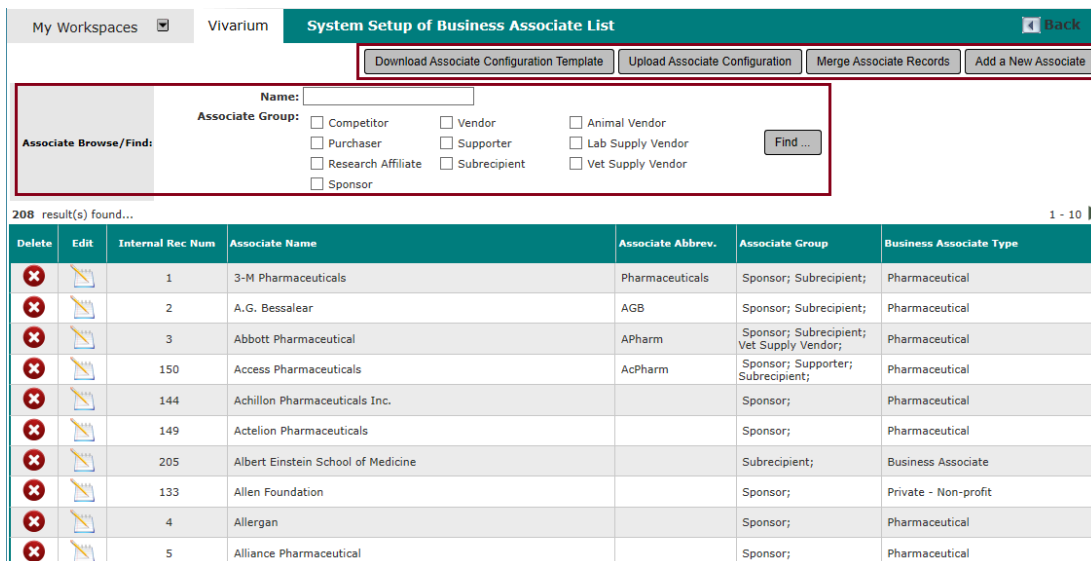
*Note that where the **Back** button appears on a page with editable fields or document upload controls, clicking the button before saving changes returns the user to the same location as the last link shown in the **Path** without saving changes.*

## System Setup of Business Associate List

Navigate to ARC > Review Board Administration and click the **Business Associate List** link on the **System Setup** tab.



The **System Setup of Business Associate List** page opens.

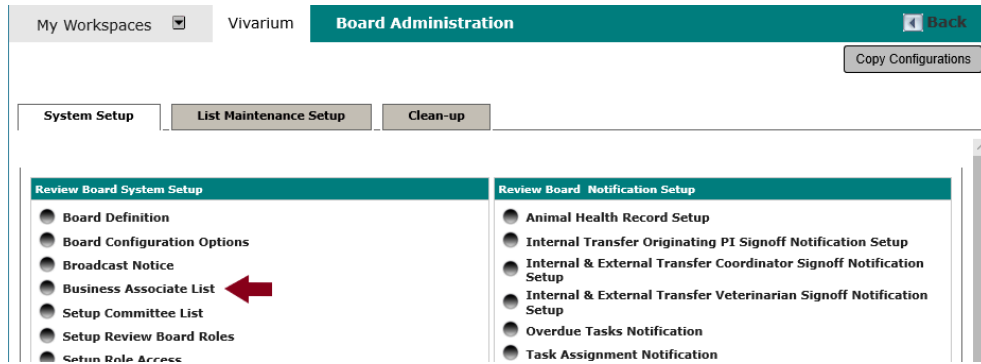


A search form is provided at the top of the page to enable quick location of a specific record in the list. It can be used to search by **Name**, **Associate Group**, or a combination of both.

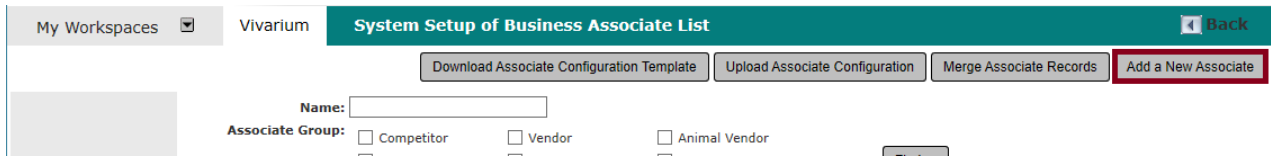
Buttons at the upper right provide the ability to **Download Associate Configuration Template**, **Upload Associate Configuration**, **Merge Associate Records** or **Add a New Associate**.

## Add a New Business Associate

Navigate to ARC > Review Board Administration and click the **Business Associate List** link on the **System Setup** tab.

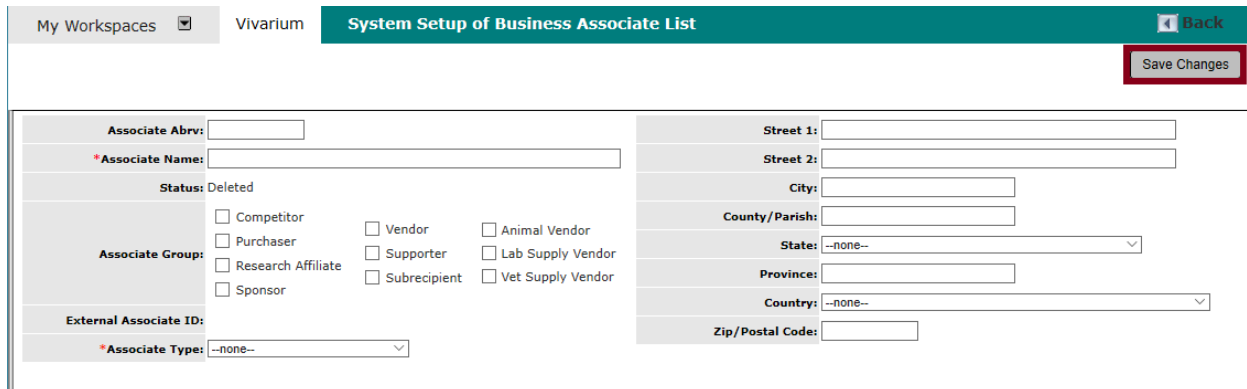


The **System Setup of Business Associate List** page opens.



Click the **Add a New Associate** button.

An add panel opens, with data entry fields for the new business associate entity record. Enter applicable data in the text fields provided.



**Associate Abrv** — abbreviation for the business associate entity (e.g., APharm for Abbott Pharmaceuticals), if any

**Associate Name** — business associate entity name

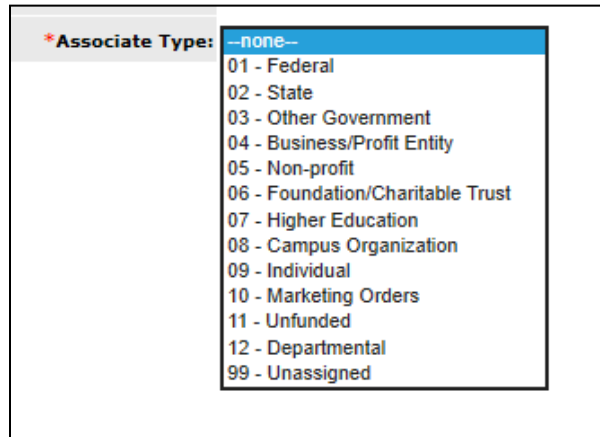
**Status** — internal status of the record; “Deleted” is the default value, status changes to “Active” when the record is saved

**Associate Group** — designated group to which the business associate is assigned; depending on the selection here, additional data entry fields may populate in the page for addition of optional details

*Note: Associate Group is a configurable list.*

**Associate Type / Sponsor Type** — designated **Associate Type / Sponsor Type** to which the business associate is assigned; note that the label for this field dynamically updates depending on the **Associate Group(s)** selected

*Note: Associate Type and Sponsor Type are configurable lists.*

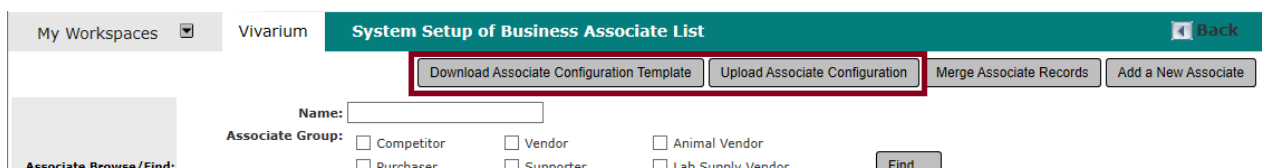


**Street 1 & 2, City, County/Parish, State, Province, Country, Zip/Postal Code** —address details for the business associate entity

Click the **Save Changes** button in the add panel to add the new business associate record to the master list.

### Download / Upload Business Associates

The **Download Associate Configuration Template** and **Upload Associate Configuration** buttons are used for adding multiple business associate entity records simultaneously, as a batch. Note that this method cannot fully populate each business associate entity record, as the template used for batch processing includes only three data fields.



Click the **Download Associate Configuration Template** button to download an Excel spreadsheet template containing a column for each of the three required business associate record data fields. A download dialog popup window appears.

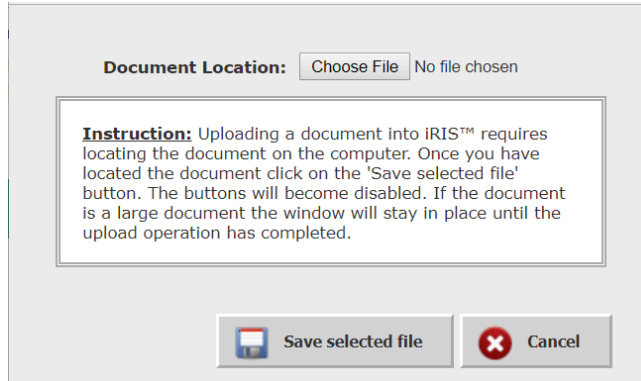
The screenshot shows the 'System Setup of Business Associate List' page. At the top, there are buttons for 'Download Associate Configuration Template', 'Upload Associate Configuration', 'Merge Associate Records', and 'Add a New Associate'. Below these is a search area with a 'Name:' field and an 'Associate Group' section with checkboxes for Competitor, Vendor, Animal Vendor, Purchaser, Supporter, Lab Supply Vendor, Research Affiliate, Subrecipient, Vet Supply Vendor, and Sponsor. A 'Find...' button is also present. A table below shows 208 results found, with columns for 'Delete', 'Edit', 'Internal Rec Num', 'Associate Name', 'Associate Abbrev.', 'Associate Group', and 'Business Associate Type'. The table lists several pharmaceutical companies. At the bottom, a download dialog box is open, asking 'What do you want to do with ZXB0ATK.xls?' with 'Open', 'Save', and 'Cancel' buttons.

Click the **Save** button and save the template to a known location on the computer or network. Open the downloaded spreadsheet template and populate it for all business associate records to be uploaded.

The screenshot shows an Excel spreadsheet template. The spreadsheet has columns AB, AC, AD, AE, and AF. Column AB is labeled 'A 133 NA' and contains 'No more than 3 characters'. Column AC is labeled 'Risk Assigned(Only if the Vendor or Subrecipient is Yes)' and contains 'No more than 32 characters'. Column AD is labeled 'Vendor Number(Only if the Vendor or Subrecipient is Yes)' and contains 'No more than 32 characters'. Column AE contains the number '1'. The spreadsheet is titled 'ZYTI8RBT - Compatibility Mode - Excel'.

Content requirements are provided at the top of each column. When changes are complete, save and close the spreadsheet template.

Back on the **System Setup of Business Associate List** page, click the **Upload Associate Configuration** button to upload the completed spreadsheet template. An upload dialog popup window appears.



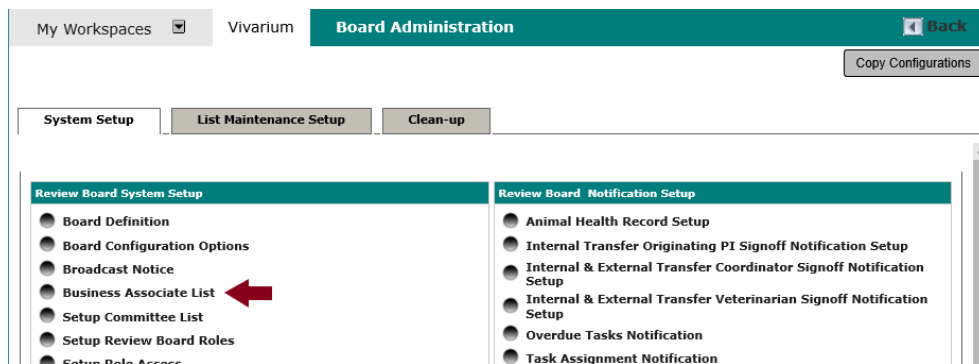
Click the **Choose File** button and navigate to the location of the spreadsheet template, then click the **Save Selected file** button in the popup window to complete the upload.

The business associate records from the spreadsheet template are added to the master list.

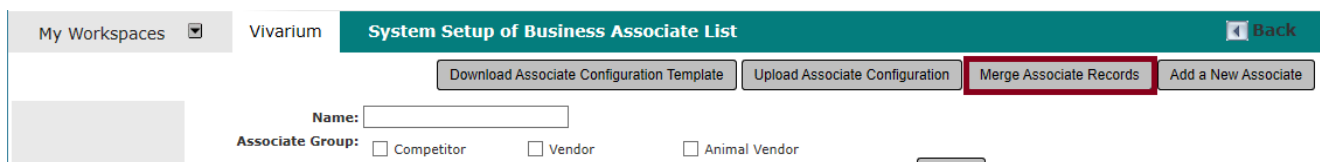
## Merge Business Associate Records

The **Merge Associate Records** function is used to eliminate duplicate business associate entity records from iRIS™.

Navigate to ARC > Review Board Administration and click the **Business Associate List** link on the **System Setup** tab.



The **System Setup of Business Associate List** page opens. Click the **Merge Associate Records** button to begin.



A list of existing business associate entity records is displayed, with select checkboxes in a column at left. To merge records, two or more checkboxes must be selected.

My Workspaces ▼ Vivarium **Merge Business Associate List** ⏪ Back

**Merge Selected Records**

Select two or more records to merge.

<input type="checkbox"/>	Internal Rec Num	Sponsor Abbrev.	Sponsor Name	Sponsor Type
<input checked="" type="checkbox"/>	7		American Heart	Private - Non-profit
<input checked="" type="checkbox"/>	142		American Heart Association (AHA)	Private - Non-profit
<input type="checkbox"/>	204	Animals R Us	Animals R Us	Business Associate

In the example shown above two business associate entity records have been added for the American Heart Association, but only the second record is valid. The checkboxes to the left of both records are selected.

Click the **Merge Selected Records** button to continue to the next step. A panel containing all the records selected to merge appears.

My Workspaces ▼ Vivarium **Merge Business Associate List** ⏪ Back

**Merge**

Select the record you want to keep after merging.

<input type="radio"/>	Internal Rec Num	Sponsor Abbrev.	Sponsor Name	Sponsor Type
<input type="radio"/>	7		American Heart	Private - Non-profit
<input checked="" type="radio"/>	142		American Heart Association (AHA)	Private - Non-profit

Select the record that will be *kept* by clicking its radio button in the far-left column.

Continuing with the example case, the second radio button is clicked to indicate the second record is the valid one and should be kept. Only one record can be selected in the panel, and all records whose radio buttons are left blank will be deleted.

Click the **Merge** button to complete the merge. A confirmation dialog popup window appears.

iris-qa2 says

The following operation will remove all records on this list except for the record selected.

Do you want to continue with the merge operation?

Click the **Cancel** button to cancel the merge.

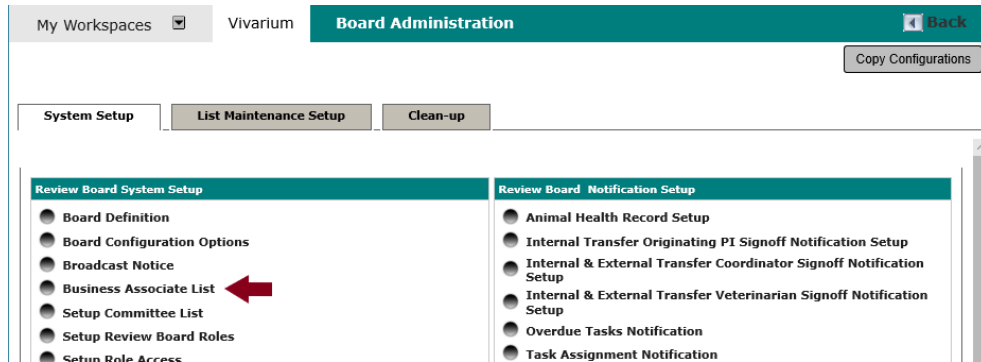
Click the **OK** button to confirm the merge.

*Note: Where a record that is deleted via a merge operation has previously been assigned to one or more studies, the merged (saved) record is assigned in place of the deleted record.*

## Edit Business Associate

After a business associate record is created it can be edited, and numerous other data items that were not available at the time the associate record was created can be added to the record.

To edit a business associate entity record, navigate to ARC > Review Board Administration and click the **Business Associate List** link on the **System Setup** tab.



The **System Setup of Business Associate List** page opens. Click the icon in the **Edit** column for the applicable record.

Delete	Edit	Internal Rec Num	Associate Name	Associate Abbrev.	Associate Group	Business Associate Type
		1	3-M Pharmaceuticals	Pharmaceuticals	Sponsor; Subrecipient;	Pharmaceutical
		2	A.G. Bessalear	AGB	Sponsor; Subrecipient;	Pharmaceutical
		3	Abbott Pharmaceutical	APharm	Sponsor; Subrecipient; Vet Supply Vendor;	Pharmaceutical
		150	Access Pharmaceuticals	AcPharm	Sponsor; Supporter; Subrecipient;	Pharmaceutical
		144	Achillon Pharmaceuticals Inc.		Sponsor;	Pharmaceutical
		149	Actelion Pharmaceuticals		Sponsor;	Pharmaceutical
		205	Albert Einstein School of Medicine		Subrecipient;	Business Associate

A panel opens, providing editable data fields for the business associate entity record.

<p><b>Associate Abbrv:</b> Pharmaceuticals</p> <p><b>*Associate Name:</b> 3-M Pharmaceuticals</p> <p><b>Short Name:</b> 3M Pharmaceuticals</p> <p><b>Status:</b> Active</p> <p><b>Associate Group:</b></p> <p><input type="checkbox"/> Competitor    <input type="checkbox"/> Vendor    <input type="checkbox"/> Animal Vendor</p> <p><input type="checkbox"/> Purchaser    <input type="checkbox"/> Supporter    <input type="checkbox"/> Lab Supply Vendor</p> <p><input type="checkbox"/> Research Affiliate    <input checked="" type="checkbox"/> Subrecipient    <input type="checkbox"/> Vet Supply Vendor</p> <p><input checked="" type="checkbox"/> Sponsor</p> <p><b>Sponsor ID:</b></p> <p><b>*Associate Type Code:</b> Pharmaceutical</p> <p><b>Associate Type Description:</b></p> <p><b>UCOP Sponsor Code:</b> 12859</p> <p><b>Principal Business of Entity:</b> Research Funding</p> <p><b>Familiar Name:</b> 3M</p> <p><b>Legal Name:</b> 3-M Pharmaceuticals</p> <p><b>Organization Name:</b> 3-M Pharmaceuticals</p> <p><b>NIH Employer Identification Number (NIH EIN):</b></p> <p><b>EIN:</b> 12-25896</p> <p><b>DUNS:</b> 85469528</p> <p><b>Congressional District:</b></p> <p><b>Cognizant Federal Agency Name:</b></p> <p><b>POC Name:</b></p> <p><b>POC Phone Number:</b></p> <p><b>Risk Assigned:</b></p> <p><input checked="" type="radio"/> Low   <input type="radio"/> Medium</p> <p><input type="radio"/> High   <input type="radio"/> Being Reviewed</p> <p><b>Sponsor Exempt from CA's 700U Financial Disclosure Indicator:</b> <input type="radio"/> Yes   <input checked="" type="radio"/> No</p>	<p><b>Street 1:</b> 1234 Beasty Avenue</p> <p><b>Street 2:</b></p> <p><b>City:</b> Redlands</p> <p><b>County/Parish:</b> San Bernardino</p> <p><b>State:</b> CA, California</p> <p><b>Province:</b> N/A</p> <p><b>Country:</b> USA, UNITED STATES</p> <p><b>Zip/Postal Code:</b> 92373</p> <p><b>Website Address:</b> www.3m.org</p> <p><b>Foreign Entity:</b> <input type="radio"/> Yes   <input checked="" type="radio"/> No</p> <p><b>Level Code:</b> 45852</p> <p><b>Level Description:</b></p> <p><b>Reports to Sponsor Number:</b> 102</p> <p><b>Reports to Sponsor Name:</b> Jim Broward</p> <p><b>A133:</b></p> <p><input type="checkbox"/> A133 Greater Than 500K    <input type="checkbox"/> A133 Non Profit</p> <p><input checked="" type="checkbox"/> A133 Less Than 500K    <input type="checkbox"/> A133 Unknown</p> <p><input type="checkbox"/> A133 For Profit    <input type="checkbox"/> A133 N/A</p> <p><input type="checkbox"/> A133 Foreign</p> <p><b>Notes:</b></p>
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**Business Associate Contacts** Add a New Business Associate Contact

Delete	Edit	Contact Name	Division
		Escalante, Moira	Oncology - Pharmaceuticals
		Chiang, Xi	R&D QA

**Business Associate Risk Assessment** Add A133 History

Delete	Edit	Year	Risk Assessment	Notes
		2017	Level 1	Risk mitigated through implementation of HIPAA protocols

**Business Associate F&A Rate History** Add F&A History

Delete	Edit	Year	Notes
No F&A History has been defined for this Associate.			

Three additional sections that are not available when adding a new record are now accessible in the edit panel: **Business Associate Contacts**, **Business Associate Risk Management** and **Business Associate F&A Rate History**.

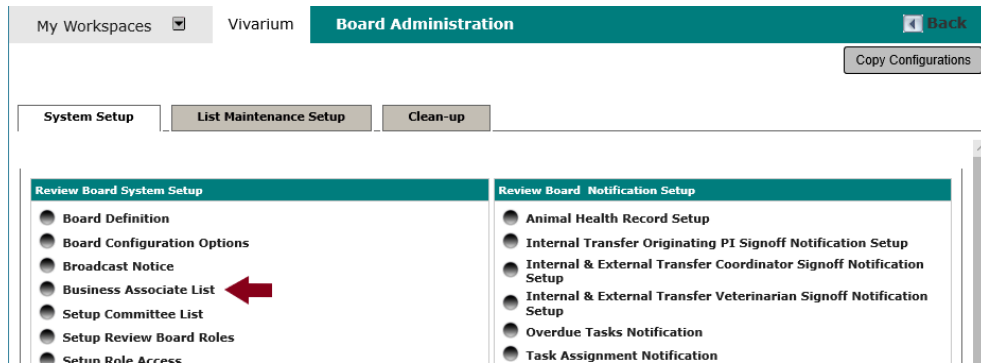
## Business Associate Contacts

Recall that in the context of the iRIS™ system, a business associate is an institution or other entity involved in research being tracked within iRIS™.

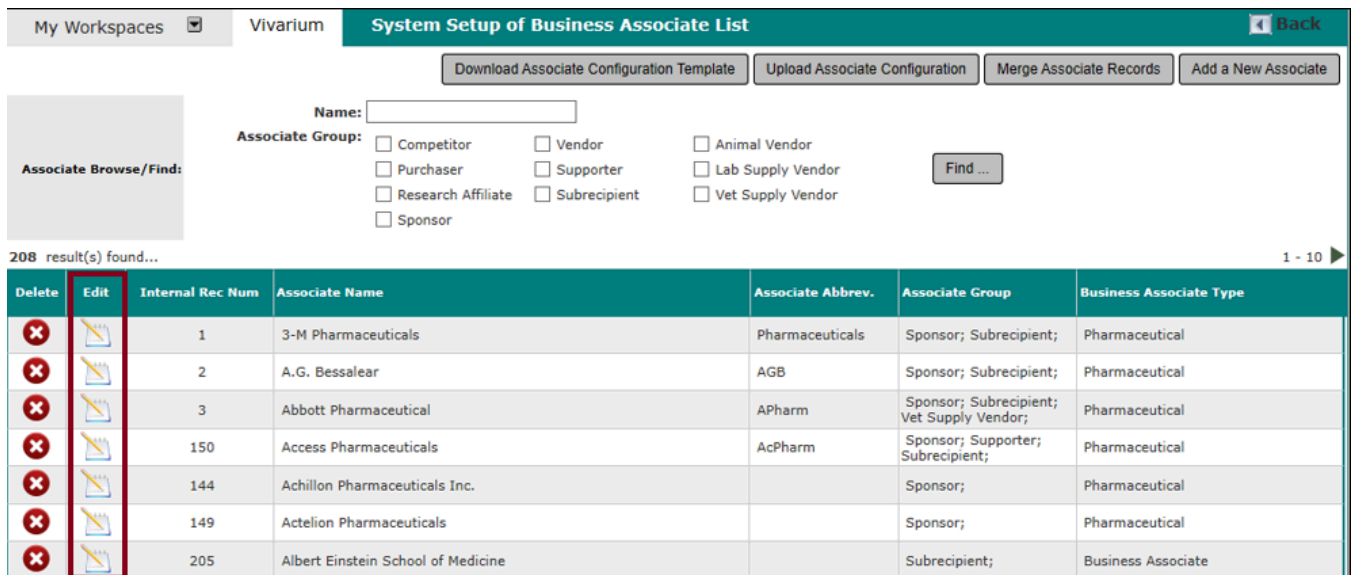
A business associate contact is a person who is designated as a point of contact for the entity.

## Add Business Associate Contact

Navigate to ARC > Review Board Administration and click the **Business Associate List** link on the **System Setup** tab.



The **System Setup of Business Associate List** page is opened.



Open the applicable business associate entity record by clicking the icon in the **Edit** column for the corresponding record.

The **System Setup of Business Associate List** page opens, with sections for **Business Associate Contacts**, **Business Associate Risk Assessment** and **Business Associate F&A Rate History**.

<p><b>Associate Abbrv:</b> Pharmaceuticals</p> <p><b>*Associate Name:</b> 3-M Pharmaceuticals</p> <p><b>Short Name:</b> 3M Pharmaceuticals</p> <p><b>Status:</b> Active</p> <p><b>Associate Group:</b></p> <p><input type="checkbox"/> Competitor    <input type="checkbox"/> Vendor    <input type="checkbox"/> Animal Vendor  <input type="checkbox"/> Purchaser    <input type="checkbox"/> Supporter    <input type="checkbox"/> Lab Supply Vendor  <input type="checkbox"/> Research Affiliate    <input checked="" type="checkbox"/> Subrecipient    <input type="checkbox"/> Vet Supply Vendor  <input checked="" type="checkbox"/> Sponsor</p> <p><b>Sponsor ID:</b></p> <p><b>*Associate Type Code:</b> Pharmaceutical</p> <p><b>Associate Type Description:</b></p> <p><b>UCOP Sponsor Code:</b> 12859</p> <p><b>Principal Business of Entity:</b> Research Funding</p> <p><b>Familiar Name:</b> 3M</p> <p><b>Legal Name:</b> 3-M Pharmaceuticals</p> <p><b>Organization Name:</b> 3-M Pharmaceuticals</p> <p><b>NIH Employer Identification Number(NIH EIN):</b></p> <p><b>EIN:</b> 12-25896</p> <p><b>DUNS:</b> 85469528</p> <p><b>Congressional District:</b></p> <p><b>Cognizant Federal Agency Name:</b></p> <p><b>POC Name:</b></p> <p><b>POC Phone Number:</b></p> <p><b>Risk Assigned:</b> <input checked="" type="radio"/> Low <input type="radio"/> Medium  <input type="radio"/> High <input type="radio"/> Being Reviewed</p> <p><b>Sponsor Exempt from CA's 700U Financial Disclosure Indicator:</b> <input type="radio"/> Yes <input checked="" type="radio"/> No</p>	<p><b>Street 1:</b> 1234 Beasty Avenue</p> <p><b>Street 2:</b></p> <p><b>City:</b> Redlands</p> <p><b>County/Parish:</b> San Bernardino</p> <p><b>State:</b> CA, California</p> <p><b>Province:</b> N/A</p> <p><b>Country:</b> USA, UNITED STATES</p> <p><b>Zip/Postal Code:</b> 92373</p> <p><b>Website Address:</b> www.3m.org</p> <p><b>Foreign Entity:</b> <input type="radio"/> Yes <input checked="" type="radio"/> No</p> <p><b>Level Code:</b> 45852</p> <p><b>Level Description:</b></p> <p><b>Reports to Sponsor Number:</b> 102</p> <p><b>Reports to Sponsor Name:</b> Jim Broward</p> <p><b>A133:</b> <input type="checkbox"/> A133 Greater Than 500K    <input type="checkbox"/> A133 Non Profit  <input checked="" type="checkbox"/> A133 Less Than 500K    <input type="checkbox"/> A133 Unknown  <input type="checkbox"/> A133 For Profit    <input type="checkbox"/> A133 N/A  <input type="checkbox"/> A133 Foreign</p> <p><b>Notes:</b></p>
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**Business Associate Contacts** Add a New Business Associate Contact

Delete	Edit	Contact Name	Division
✖	✎	Escalante, Moira	Oncology - Pharmaceuticals
✖	✎	Chiang, Xi	R&D QA

**Business Associate Risk Assessment** Add A133 History

Delete	Edit	Year	Risk Assessment	Notes
✖	✎	2017	Level 1	Risk mitigated through implementation of HIPAA protocols

**Business Associate F&A Rate History** Add F&A History

Delete	Edit	Year	Notes
No F&A History has been defined for this Associate.			

Scroll down to the **Business Associate Contacts** section and click the **Add a New Business Associate Contact** button.

**Business Associate Contacts** Add a New Business Associate Contact

Delete	Edit	Contact Name	Division
✖	✎	Escalante, Moira	Oncology - Pharmaceuticals
✖	✎	Chiang, Xi	R&D QA

A panel opens with data entry fields for creation of a contact profile.

My Workspaces ▼ Vivarium **Business Associate Contact** Back

**Save Changes**

**Contact Category:** --none-- ▼

**\*Last Name:**

**Prefix:**

**First Name:**

**Middle Initial:**

**Suffix:**

**Title:**

**Division:**

**Phone:**

**Secondary Phone:**

**Fax:**

**E-mail:**

**Primary Address:**

**Secondary Address:**

**Street 1:**

**Street 2:**

**City:**

**County/Parish:**

**State:** --none-- ▼

**Province:**

**Country:** --none-- ▼

**Zip/Postal Code:**

Enter a **Last Name** and complete other fields as desired, then click the **Save Changes** button to save the contact record and close the page.

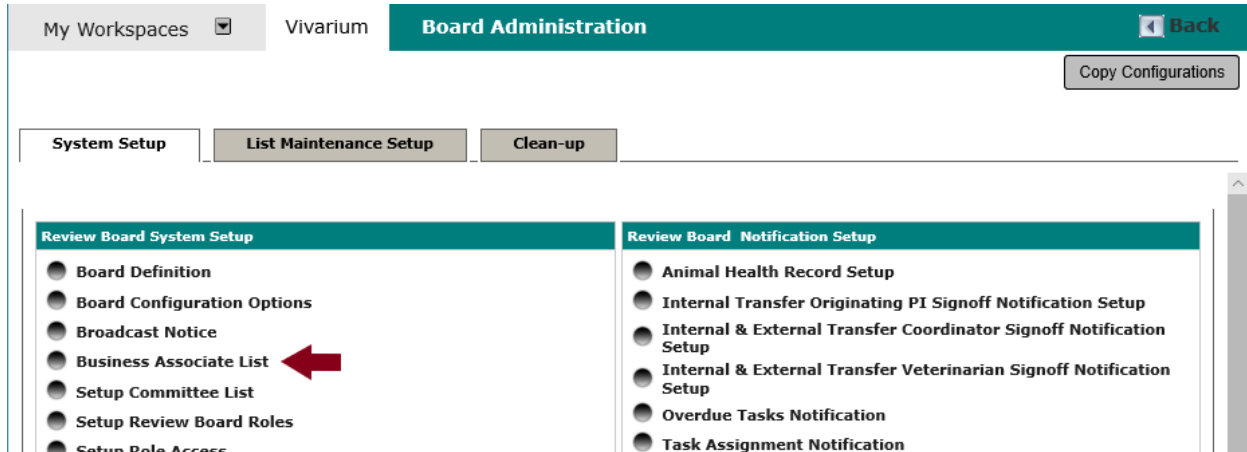
The new contact is added to the **Business Associate Contacts** section.

**Business Associate Contacts** Add a New Business Associate Contact

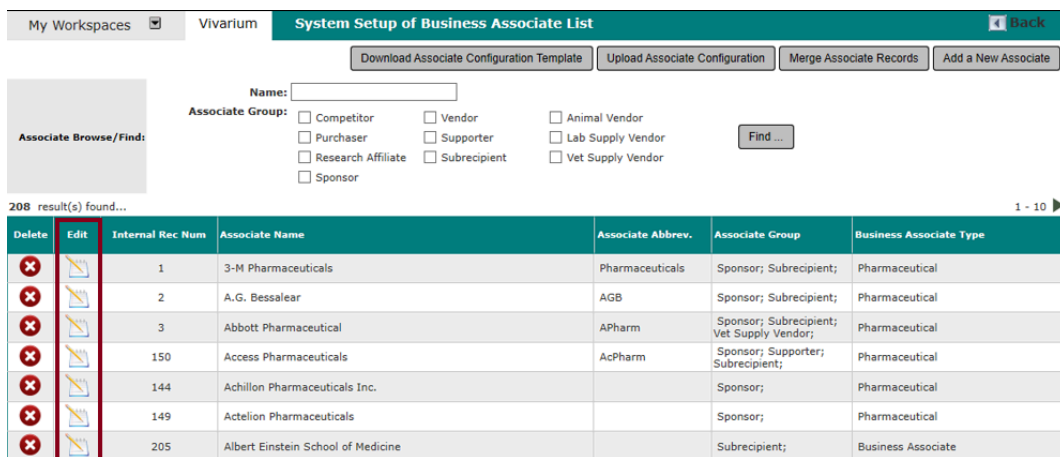
Delete	Edit	Contact Name	Division
		Escalante, Moira	Oncology - Pharmaceuticals
		Chiang, Xi	R&D QA
		Grady, James	Administrative

### Edit Business Associate Contact

Navigate to Animal Resource Center > Review Board Administration and click the **Business Associate List** link.



The **System Setup of Business Associate List** page is opened.



Open the applicable business associate entity record by clicking the icon in the **Edit** column for the corresponding record.

A panel with editable business associate entity fields opens, with sections for **Business Associate Contacts**, **Business Associate Risk Assessment** and **Business Associate F&A Rate History**.

<p><b>Associate Abrv:</b> Pharmaceuticals</p> <p><b>* Associate Name:</b> 3-M Pharmaceuticals</p> <p><b>Short Name:</b> 3M Pharmaceuticals</p> <p><b>Status:</b> Active</p> <p><b>Associate Group:</b></p> <table style="width: 100%;"> <tr> <td><input type="checkbox"/> Competitor</td> <td><input type="checkbox"/> Vendor</td> <td><input type="checkbox"/> Animal Vendor</td> </tr> <tr> <td><input type="checkbox"/> Purchaser</td> <td><input type="checkbox"/> Supporter</td> <td><input type="checkbox"/> Lab Supply Vendor</td> </tr> <tr> <td><input type="checkbox"/> Research Affiliate</td> <td><input checked="" type="checkbox"/> Subrecipient</td> <td><input type="checkbox"/> Vet Supply Vendor</td> </tr> <tr> <td colspan="3"><input checked="" type="checkbox"/> Sponsor</td> </tr> </table> <p><b>Sponsor ID:</b></p> <p><b>* Associate Type Code:</b> Pharmaceutical</p> <p><b>Associate Type Description:</b></p> <p><b>UCOP Sponsor Code:</b> 12859</p> <p><b>Principal Business of Entity:</b> Research Funding</p> <p><b>Familiar Name:</b> 3M</p> <p><b>Legal Name:</b> 3-M Pharmaceuticals</p> <p><b>Organization Name:</b> 3-M Pharmaceuticals</p> <p><b>NIH Employer Identification Number (NIH EIN):</b></p> <p><b>EIN:</b> 12-25896</p> <p><b>DUNS:</b> 85469528</p> <p><b>Congressional District:</b></p> <p><b>Cognizant Federal Agency Name:</b></p> <p><b>POC Name:</b></p> <p><b>POC Phone Number:</b></p> <p><b>Risk Assigned:</b> <input checked="" type="radio"/> Low <input type="radio"/> Medium  <input type="radio"/> High <input type="radio"/> Being Reviewed</p> <p><b>Sponsor Exempt from CA's 700U Financial Disclosure Indicator:</b> <input type="radio"/> Yes <input checked="" type="radio"/> No</p>	<input type="checkbox"/> Competitor	<input type="checkbox"/> Vendor	<input type="checkbox"/> Animal Vendor	<input type="checkbox"/> Purchaser	<input type="checkbox"/> Supporter	<input type="checkbox"/> Lab Supply Vendor	<input type="checkbox"/> Research Affiliate	<input checked="" type="checkbox"/> Subrecipient	<input type="checkbox"/> Vet Supply Vendor	<input checked="" type="checkbox"/> Sponsor			<p><b>Street 1:</b> 1234 Beasley Avenue</p> <p><b>Street 2:</b></p> <p><b>City:</b> Redlands</p> <p><b>County/Parish:</b> San Bernardino</p> <p><b>State:</b> CA: California</p> <p><b>Province:</b> N/A</p> <p><b>Country:</b> USA: UNITED STATES</p> <p><b>Zip/Postal Code:</b> 92373</p> <p><b>Website Address:</b> www.3m.org</p> <p><b>Foreign Entity:</b> <input type="radio"/> Yes <input checked="" type="radio"/> No</p> <p><b>Level Code:</b> 45852</p> <p><b>Level Description:</b></p> <p><b>Reports to Sponsor Number:</b> 102</p> <p><b>Reports to Sponsor Name:</b> Jim Broward</p> <p><b>A133:</b></p> <table style="width: 100%;"> <tr> <td><input type="checkbox"/> A133 Greater Than 500K</td> <td><input type="checkbox"/> A133 Non Profit</td> </tr> <tr> <td><input checked="" type="checkbox"/> A133 Less Than 500K</td> <td><input type="checkbox"/> A133 Unknown</td> </tr> <tr> <td><input type="checkbox"/> A133 For Profit</td> <td><input type="checkbox"/> A133 N/A</td> </tr> <tr> <td colspan="2"><input type="checkbox"/> A133 Foreign</td> </tr> </table> <p><b>Notes:</b></p>	<input type="checkbox"/> A133 Greater Than 500K	<input type="checkbox"/> A133 Non Profit	<input checked="" type="checkbox"/> A133 Less Than 500K	<input type="checkbox"/> A133 Unknown	<input type="checkbox"/> A133 For Profit	<input type="checkbox"/> A133 N/A	<input type="checkbox"/> A133 Foreign	
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<input type="checkbox"/> A133 Foreign																					

**Business Associate Contacts** Add a New Business Associate Contact

Delete	Edit	Contact Name	Division
		Escalante, Moira	Oncology - Pharmaceuticals
		Chiang, Xi	R&D QA

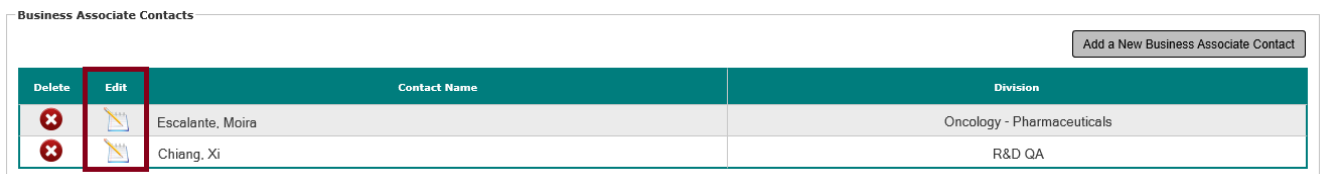
**Business Associate Risk Assessment** Add A133 History

Delete	Edit	Year	Risk Assessment	Notes
		2017	Level 1	Risk mitigated through implementation of HIPAA protocols

**Business Associate F&A Rate History** Add F&A History

Delete	Edit	Year	Notes
No F&A History has been defined for this Associate.			

Click the icon in the **Edit** column for the applicable contact in the **Business Associate Contacts** section of the page.



The same profile panel as shown for creating a new business associate contact opens, containing all profile information for the contact.

My Workspaces ▾ Vivarium **Business Associate Contact** [Back](#)

[Save Changes](#)

Contact Category:	Other ▾
*Last Name:	Escalante
Prefix:	N/A
First Name:	Moira
Middle Initial:	
Suffix:	N/A
Title:	
Division:	Oncology - Pharmaceuticals
Phone:	800-555-5555
Secondary Phone:	N/A
Fax:	
E-mail:	m.escob@3m.com
Primary Address:	2263 Pine Street Somerset, NJ 08873
Secondary Address:	
Street 1:	2263 Pine Street
Street 2:	
City:	Somerset
County/Parish:	
State:	NJ ▾
Province:	
Country:	USA: UNITED STATES ▾
Zip/Postal Code:	08873

Edit data entry fields as desired, then click the **Save Changes** button to save changes and return to the main business associate (institution or site) record.


## Delete Business Associate Contact

Navigate to Animal Resource Center > Review Board Administration and click the **Business Associate List** link.

My Workspaces ▾ Vivarium **Board Administration** [Back](#)

[Copy Configurations](#)

System Setup | **List Maintenance Setup** | Clean-up

Review Board System Setup	Review Board Notification Setup
<ul style="list-style-type: none"> <li>● Board Definition</li> <li>● Board Configuration Options</li> <li>● Broadcast Notice</li> <li>● <b>Business Associate List</b> </li> <li>● Setup Committee List</li> <li>● Setup Review Board Roles</li> <li>● Setup Role Access</li> </ul>	<ul style="list-style-type: none"> <li>● Animal Health Record Setup</li> <li>● Internal Transfer Originating PI Signoff Notification Setup</li> <li>● Internal &amp; External Transfer Coordinator Signoff Notification Setup</li> <li>● Internal &amp; External Transfer Veterinarian Signoff Notification Setup</li> <li>● Overdue Tasks Notification</li> <li>● Task Assignment Notification</li> </ul>

The **System Setup of Business Associate List** page is opened.

My Workspaces Vivarium **System Setup of Business Associate List** Back

Download Associate Configuration Template Upload Associate Configuration Merge Associate Records Add a New Associate

Name:

Associate Group:  Competitor  Vendor  Animal Vendor  
 Purchaser  Supporter  Lab Supply Vendor  
 Research Affiliate  Subrecipient  Vet Supply Vendor  
 Sponsor

Associate Browse/Find:

208 result(s) found... 1 - 10

Delete	Edit	Internal Rec Num	Associate Name	Associate Abbrev.	Associate Group	Business Associate Type
		1	3-M Pharmaceuticals	Pharmaceuticals	Sponsor; Subrecipient;	Pharmaceutical
		2	A.G. Bessalear	AGB	Sponsor; Subrecipient;	Pharmaceutical
		3	Abbott Pharmaceutical	APharm	Sponsor; Subrecipient; Vet Supply Vendor;	Pharmaceutical
		150	Access Pharmaceuticals	AcPharm	Sponsor; Supporter; Subrecipient;	Pharmaceutical
		144	Achillon Pharmaceuticals Inc.		Sponsor;	Pharmaceutical
		149	Actelion Pharmaceuticals		Sponsor;	Pharmaceutical
		205	Albert Einstein School of Medicine		Subrecipient;	Business Associate

Open the applicable business associate entity record by clicking the icon in the **Edit** column for the corresponding record.

A panel with editable business associate fields opens, with sections for **Business Associate Contacts**, **Business Associate Risk Assessment** and **Business Associate F&A Rate History**.

<p><b>Associate Abbr:</b> Pharmaceuticals</p> <p><b>* Associate Name:</b> 3-M Pharmaceuticals</p> <p><b>Short Name:</b> 3M Pharmaceuticals</p> <p><b>Status:</b> Active</p> <p><b>Associate Group:</b></p> <table style="width: 100%;"> <tr> <td><input type="checkbox"/> Competitor</td> <td><input type="checkbox"/> Vendor</td> <td><input type="checkbox"/> Animal Vendor</td> </tr> <tr> <td><input type="checkbox"/> Purchaser</td> <td><input type="checkbox"/> Supporter</td> <td><input type="checkbox"/> Lab Supply Vendor</td> </tr> <tr> <td><input type="checkbox"/> Research Affiliate</td> <td><input checked="" type="checkbox"/> Subrecipient</td> <td><input type="checkbox"/> Vet Supply Vendor</td> </tr> <tr> <td colspan="3"><input checked="" type="checkbox"/> Sponsor</td> </tr> </table> <p><b>Sponsor ID:</b></p> <p><b>* Associate Type Code:</b> Pharmaceutical</p> <p><b>Associate Type Description:</b></p> <p><b>UCOP Sponsor Code:</b> 12859</p> <p><b>Principal Business of Entity:</b> Research Funding</p> <p><b>Familiar Name:</b> 3M</p> <p><b>Legal Name:</b> 3-M Pharmaceuticals</p> <p><b>Organization Name:</b> 3-M Pharmaceuticals</p> <p><b>NIH Employer Identification Number (NIH EIN):</b></p> <p><b>EIN:</b> 12-25896</p> <p><b>DUNS:</b> 85469528</p> <p><b>Congressional District:</b></p> <p><b>Cognizant Federal Agency Name:</b></p> <p><b>POC Name:</b></p> <p><b>POC Phone Number:</b></p> <p><b>Risk Assigned:</b> <input checked="" type="radio"/> Low <input type="radio"/> Medium <input type="radio"/> High <input type="radio"/> Being Reviewed</p> <p><b>Sponsor Exempt from CA's 700U Financial Disclosure Indicator:</b> <input type="radio"/> Yes <input checked="" type="radio"/> No</p>	<input type="checkbox"/> Competitor	<input type="checkbox"/> Vendor	<input type="checkbox"/> Animal Vendor	<input type="checkbox"/> Purchaser	<input type="checkbox"/> Supporter	<input type="checkbox"/> Lab Supply Vendor	<input type="checkbox"/> Research Affiliate	<input checked="" type="checkbox"/> Subrecipient	<input type="checkbox"/> Vet Supply Vendor	<input checked="" type="checkbox"/> Sponsor			<p><b>Street 1:</b> 1234 Beasley Avenue</p> <p><b>Street 2:</b></p> <p><b>City:</b> Redlands</p> <p><b>County/Parish:</b> San Bernardino</p> <p><b>State:</b> CA: California</p> <p><b>Province:</b> N/A</p> <p><b>Country:</b> USA: UNITED STATES</p> <p><b>Zip/Postal Code:</b> 92373</p> <p><b>Website Address:</b> www.3m.org</p> <p><b>Foreign Entity:</b> <input type="radio"/> Yes <input checked="" type="radio"/> No</p> <p><b>Level Code:</b> 45852</p> <p><b>Level Description:</b></p> <p><b>Reports to Sponsor Number:</b> 102</p> <p><b>Reports to Sponsor Name:</b> Jim Broward</p> <p><b>A133:</b></p> <table style="width: 100%;"> <tr> <td><input type="checkbox"/> A133 Greater Than 500K</td> <td><input type="checkbox"/> A133 Non Profit</td> </tr> <tr> <td><input checked="" type="checkbox"/> A133 Less Than 500K</td> <td><input type="checkbox"/> A133 Unknown</td> </tr> <tr> <td><input type="checkbox"/> A133 For Profit</td> <td><input type="checkbox"/> A133 N/A</td> </tr> <tr> <td><input type="checkbox"/> A133 Foreign</td> <td></td> </tr> </table> <p><b>Notes:</b></p>	<input type="checkbox"/> A133 Greater Than 500K	<input type="checkbox"/> A133 Non Profit	<input checked="" type="checkbox"/> A133 Less Than 500K	<input type="checkbox"/> A133 Unknown	<input type="checkbox"/> A133 For Profit	<input type="checkbox"/> A133 N/A	<input type="checkbox"/> A133 Foreign	
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**Business Associate Contacts** Add a New Business Associate Contact

Delete	Edit	Contact Name	Division
		Escalante, Moira	Oncology - Pharmaceuticals
		Chiang, Xi	R&D QA

**Business Associate Risk Assessment** Add A133 History

Delete	Edit	Year	Risk Assessment	Notes
		2017	Level 1	Risk mitigated through implementation of HIPAA protocols

**Business Associate F&A Rate History** Add F&A History

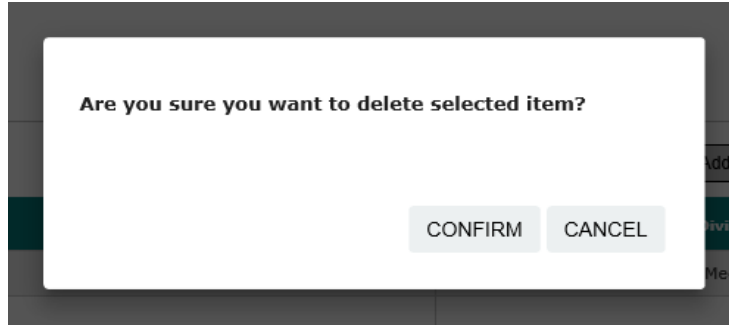
Delete	Edit	Year	Notes
No F&A History has been defined for this Associate.			

Scroll down to the **Business Associate Contacts** section of the page and click the icon in the **Delete** column for the applicable contact.

**Business Associate Contacts** Add a New Business Associate Contact

Delete	Edit	Contact Name	Division
		Escalante, Moira	Oncology - Pharmaceuticals
		Chiang, Xi	R&D QA

A confirmation popup window appears.



Click the **CONFIRM** button to save changes and close the page.

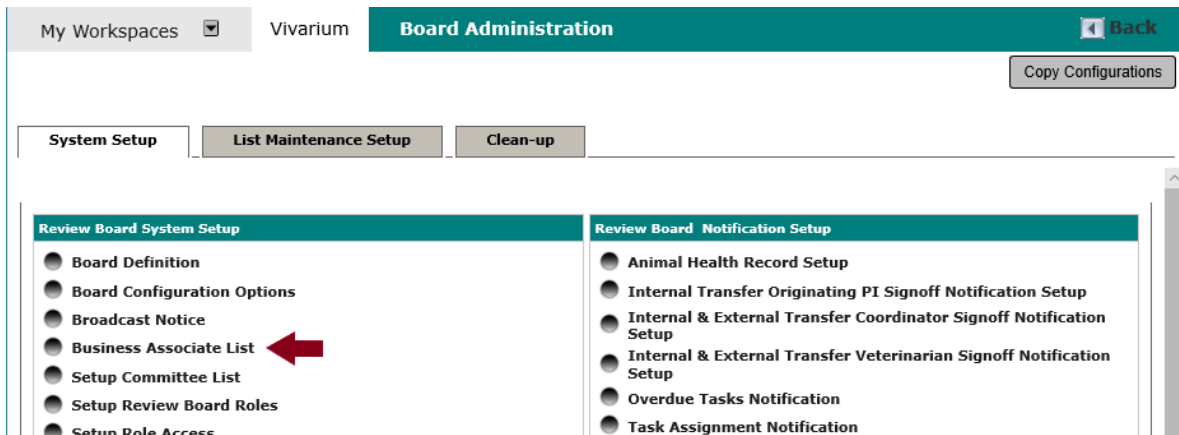
Click the **CANCEL** button to close the page without deleting the contact record.

## Business Associate Risk Assessment

Most business associate entities have A-133 risk assessment documents on file. These documents demonstrate the entity has conducted an audit to identify areas of risk in conducting research and has taken specific actions or put specific management plans in place to address any identified risk.

## Add Business Associate Risk Assessment

Navigate to Animal Resource Center > Review Board Administration and click the **Business Associate List** link.



The **System Setup** of **Business Associate List** page is opened.

My Workspaces ▾ Vivarium **System Setup of Business Associate List** ◀ Back

Download Associate Configuration Template
Upload Associate Configuration
Merge Associate Records
Add a New Associate

Name:   
 Associate Group:
  Competitor
  Vendor
  Animal Vendor  
 Purchaser
  Supporter
  Lab Supply Vendor  
 Research Affiliate
  Subrecipient
  Vet Supply Vendor  
 Sponsor
 Find ...

Associate Browse/Find:

208 result(s) found... 1 - 10 ▶

Delete	Edit	Internal Rec Num	Associate Name	Associate Abbrev.	Associate Group	Business Associate Type
		1	3-M Pharmaceuticals	Pharmaceuticals	Sponsor; Subrecipient;	Pharmaceutical
		2	A.G. Bessalear	AGB	Sponsor; Subrecipient;	Pharmaceutical
		3	Abbott Pharmaceutical	APharm	Sponsor; Subrecipient; Vet Supply Vendor;	Pharmaceutical
		150	Access Pharmaceuticals	AcPharm	Sponsor; Supporter; Subrecipient;	Pharmaceutical
		144	Achillon Pharmaceuticals Inc.		Sponsor;	Pharmaceutical
		149	Actelion Pharmaceuticals		Sponsor;	Pharmaceutical
		205	Albert Einstein School of Medicine		Subrecipient;	Business Associate

Open the applicable business associate entity record by clicking the icon in the **Edit** column for the corresponding record.

A panel with editable business associate fields opens, with sections for **Business Associate Contacts**, **Business Associate Risk Assessment** and **Business Associate F&A Rate History**.

Save Changes

<p><b>Associate Abbr:</b> Pharmaceuticals</p> <p><b>* Associate Name:</b> 3-M Pharmaceuticals</p> <p><b>Short Name:</b> 3M Pharmaceuticals</p> <p><b>Status:</b> Active</p> <p><b>Associate Group:</b></p> <table style="width: 100%;"> <tr> <td><input type="checkbox"/> Competitor</td> <td><input type="checkbox"/> Vendor</td> <td><input type="checkbox"/> Animal Vendor</td> </tr> <tr> <td><input type="checkbox"/> Purchaser</td> <td><input type="checkbox"/> Supporter</td> <td><input type="checkbox"/> Lab Supply Vendor</td> </tr> <tr> <td><input type="checkbox"/> Research Affiliate</td> <td><input checked="" type="checkbox"/> Subrecipient</td> <td><input type="checkbox"/> Vet Supply Vendor</td> </tr> <tr> <td colspan="3"><input checked="" type="checkbox"/> Sponsor</td> </tr> </table> <p><b>Sponsor ID:</b></p> <p><b>* Associate Type Code:</b> Pharmaceutical</p> <p><b>Associate Type Description:</b></p> <p><b>UCOP Sponsor Code:</b> 12859</p> <p><b>Principal Business of Entity:</b> Research Funding</p> <p><b>Familiar Name:</b> 3M</p> <p><b>Legal Name:</b> 3-M Pharmaceuticals</p> <p><b>Organization Name:</b> 3-M Pharmaceuticals</p> <p><b>NIH Employer Identification Number (NIH EIN):</b></p> <p><b>EIN:</b> 12-25896</p> <p><b>DUNS:</b> 85469528</p> <p><b>Congressional District:</b></p> <p><b>Cognizant Federal Agency Name:</b></p> <p><b>POC Name:</b></p> <p><b>POC Phone Number:</b></p> <p><b>Risk Assigned:</b> <input checked="" type="radio"/> Low <input type="radio"/> Medium <input type="radio"/> High <input type="radio"/> Being Reviewed</p> <p><b>Sponsor Exempt from CA's 7000 Financial Disclosure Indicator:</b> <input type="radio"/> Yes <input checked="" type="radio"/> No</p>	<input type="checkbox"/> Competitor	<input type="checkbox"/> Vendor	<input type="checkbox"/> Animal Vendor	<input type="checkbox"/> Purchaser	<input type="checkbox"/> Supporter	<input type="checkbox"/> Lab Supply Vendor	<input type="checkbox"/> Research Affiliate	<input checked="" type="checkbox"/> Subrecipient	<input type="checkbox"/> Vet Supply Vendor	<input checked="" type="checkbox"/> Sponsor			<p><b>Street 1:</b> 1234 Beasley Avenue</p> <p><b>Street 2:</b></p> <p><b>City:</b> Redlands</p> <p><b>County/Parish:</b> San Bernardino</p> <p><b>State:</b> CA: California</p> <p><b>Province:</b> N/A</p> <p><b>Country:</b> USA: UNITED STATES</p> <p><b>Zip/Postal Code:</b> 92373</p> <p><b>Website Address:</b> www.3m.org</p> <p><b>Foreign Entity:</b> <input type="radio"/> Yes <input checked="" type="radio"/> No</p> <p><b>Level Code:</b> 45852</p> <p><b>Level Description:</b></p> <p><b>Reports to Sponsor Number:</b> 102</p> <p><b>Reports to Sponsor Name:</b> Jim Broward</p> <p><b>A133:</b></p> <table style="width: 100%;"> <tr> <td><input type="checkbox"/> A133 Greater Than 500K</td> <td><input type="checkbox"/> A133 Non Profit</td> </tr> <tr> <td><input checked="" type="checkbox"/> A133 Less Than 500K</td> <td><input type="checkbox"/> A133 Unknown</td> </tr> <tr> <td><input type="checkbox"/> A133 For Profit</td> <td><input type="checkbox"/> A133 N/A</td> </tr> <tr> <td><input type="checkbox"/> A133 Foreign</td> <td></td> </tr> </table> <p><b>Notes:</b></p>	<input type="checkbox"/> A133 Greater Than 500K	<input type="checkbox"/> A133 Non Profit	<input checked="" type="checkbox"/> A133 Less Than 500K	<input type="checkbox"/> A133 Unknown	<input type="checkbox"/> A133 For Profit	<input type="checkbox"/> A133 N/A	<input type="checkbox"/> A133 Foreign	
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**Business Associate Contacts** Add a New Business Associate Contact

Delete	Edit	Contact Name	Division
		Escalante, Moira	Oncology - Pharmaceuticals
		Chiang, Xi	R&D QA

**Business Associate Risk Assessment** Add A133 History

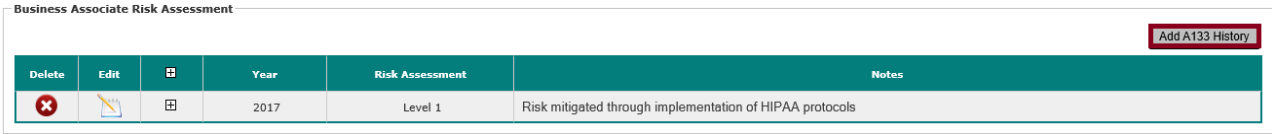
Delete	Edit	Year	Risk Assessment	Notes
		2017	Level 1	Risk mitigated through implementation of HIPAA protocols

**Business Associate F&A Rate History** Add F&A History



Delete	Edit	Year	Notes
No F&A History has been defined for this Associate.			

Scroll down to the **Business Associate Risk Assessment** section. This is where an A133 risk assessment can be designated for the business associate entity, and any supporting documents can be attached.

To add a risk mitigation history record, click the **Add A133 History** button.



An add panel opens.

My Workspaces  Vivarium **System Setup of Business Associate List**  Back

**Cancel And Return** **Save Changes**

**\*Year:**

**Risk Assessment:**

**Notes:**



Enter a **Year** for the entry and complete the rest of the form as desired.

**Risk Assessment** — risk assessment title or type

**Notes** — summary information or comments about the risk assessment

Click the **Cancel And Return** button to return to close the add panel without saving changes.

Click the **Save Changes** button to save the new record and close the panel. The **Business Associate add A133 Audit Document** panel opens for attachment of supporting documentation.

My Workspaces  Vivarium **Business Associate add A133 Audit Document**  Back

**Save Changes**



**\*Title:**  **View the document**

**\*Version Number:**  .0

**Description:**

**Load the document into iRIS:**

Enter the document **Title**, **Version Number** and **Description**, then click the **Upload** button.

My Workspaces  Vivarium **Business Associate add A133 Audit Document**  Back

**Save Changes**

**\*Title:** HIPAA Protocols **View the document**

**\*Version Number:** 1 .0

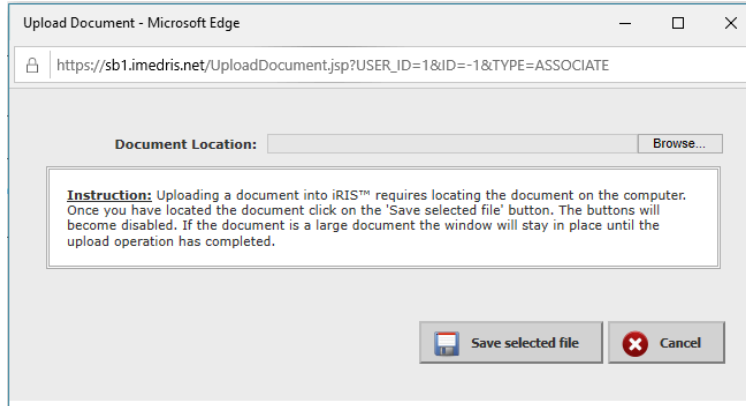
**Description:** Details applicable HIPAA protocols implemented for use in studies involving 3-M Pharmaceuticals.

**Load the document into iRIS:**

An **Upload Document** popup window appears.

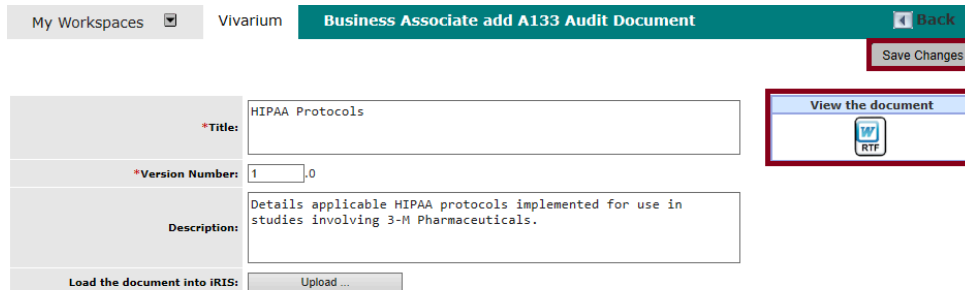
Click the **Cancel** button to close the popup without uploading the document.

Click the **Browse** button to navigate to the desired document file. When the location of the desired attachment appears in the **Document Location** field, click the **Save selected file** button to complete the upload.



The document is uploaded and attached to the history record.

Click the icon in the **View the document** panel to view the attached document. Click the **Save Changes** button to save the history record with attachment.



The **Business Associate add A133 Audit Document** panel closes and the audit document is added for the applicable business associate entity.

Business Associate Risk Assessment Add A133 History

Delete	Edit		Year	Risk Assessment	Notes
			2017	Level 1	Risk mitigated through implementation of HIPAA protocols.

Document List Add Document Delete Selected Document(s)

Delete	Edit	Title	File	Version
<input type="checkbox"/>		HIPAA Protocols	 41.82 KB	1.0

### Risk Assessment Document List

The Risk Assessment Document List is where all supporting documents for a given Risk Assessment record are shown. Supporting documents can be edited, added or deleted.

## Edit Risk Assessment Document

Navigate to Animal Resource Center > Review Board Administration and click the **Business Associate List** link.

My Workspaces  Vivarium **Board Administration** [Back](#)

[Copy Configurations](#)

**System Setup** | **List Maintenance Setup** | **Clean-up**

**Review Board System Setup**

- Board Definition
- Board Configuration Options
- Broadcast Notice
- **Business Associate List**
- Setup Committee List
- Setup Review Board Roles
- Setup Role Access

**Review Board Notification Setup**

- Animal Health Record Setup
- Internal Transfer Originating PI Signoff Notification Setup
- Internal & External Transfer Coordinator Signoff Notification Setup
- Internal & External Transfer Veterinarian Signoff Notification Setup
- Overdue Tasks Notification
- Task Assignment Notification

The **System Setup of Business Associate List** page is opened.

My Workspaces  Vivarium **System Setup of Business Associate List** [Back](#)

[Download Associate Configuration Template](#) [Upload Associate Configuration](#) [Merge Associate Records](#) [Add a New Associate](#)

Name:

**Associate Group:**

- Competitor
- Vendor
- Animal Vendor
- Purchaser
- Supporter
- Lab Supply Vendor
- Research Affiliate
- Subrecipient
- Vet Supply Vendor
- Sponsor

[Find ...](#)

208 result(s) found... 1 - 10

Delete	Edit	Internal Rec Num	Associate Name	Associate Abbrev.	Associate Group	Business Associate Type
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		205	Albert Einstein School of Medicine		Subrecipient;	Business Associate

Open the applicable business associate entity record by clicking the icon in the **Edit** column for the corresponding record.

A panel with editable business associate fields opens, with sections for **Business Associate Contacts**, **Business Associate Risk Assessment** and **Business Associate F&A Rate History**.

Save Changes

<p><b>Associate Abru:</b> Pharmaceuticals</p> <p><b>* Associate Name:</b> 3-M Pharmaceuticals</p> <p><b>Short Name:</b> 3M Pharmaceuticals</p> <p><b>Status:</b> Active</p> <p><b>Associate Group:</b></p> <table style="width: 100%;"> <tr> <td><input type="checkbox"/> Competitor</td> <td><input type="checkbox"/> Vendor</td> <td><input type="checkbox"/> Animal Vendor</td> </tr> <tr> <td><input type="checkbox"/> Purchaser</td> <td><input type="checkbox"/> Supporter</td> <td><input type="checkbox"/> Lab Supply Vendor</td> </tr> <tr> <td><input type="checkbox"/> Research Affiliate</td> <td><input checked="" type="checkbox"/> Subrecipient</td> <td><input type="checkbox"/> Vet Supply Vendor</td> </tr> <tr> <td colspan="3"><input checked="" type="checkbox"/> Sponsor</td> </tr> </table> <p><b>Sponsor ID:</b></p> <p><b>* Associate Type Code:</b> Pharmaceutical</p> <p><b>Associate Type Description:</b></p> <p><b>UCOP Sponsor Code:</b> 12859</p> <p><b>Principal Business of Entity:</b> Research Funding</p> <p><b>Familiar Name:</b> 3M</p> <p><b>Legal Name:</b> 3-M Pharmaceuticals</p> <p><b>Organization Name:</b> 3-M Pharmaceuticals</p> <p><b>NIH Employer Identification Number (NIH EIN):</b></p> <p><b>EIN:</b> 12-25896</p> <p><b>DUNS:</b> 85469528</p> <p><b>Congressional District:</b></p> <p><b>Cognizant Federal Agency Name:</b></p> <p><b>POC Name:</b></p> <p><b>POC Phone Number:</b></p> <p><b>Risk Assigned:</b> <input checked="" type="radio"/> Low <input type="radio"/> Medium <input type="radio"/> High <input type="radio"/> Being Reviewed</p> <p><b>Sponsor Exempt from CA's 7000 Financial Disclosure Indicator:</b> <input type="radio"/> Yes <input checked="" type="radio"/> No</p>	<input type="checkbox"/> Competitor	<input type="checkbox"/> Vendor	<input type="checkbox"/> Animal Vendor	<input type="checkbox"/> Purchaser	<input type="checkbox"/> Supporter	<input type="checkbox"/> Lab Supply Vendor	<input type="checkbox"/> Research Affiliate	<input checked="" type="checkbox"/> Subrecipient	<input type="checkbox"/> Vet Supply Vendor	<input checked="" type="checkbox"/> Sponsor			<p><b>Street 1:</b> 1234 Beasley Avenue</p> <p><b>Street 2:</b></p> <p><b>City:</b> Redlands</p> <p><b>County/Parish:</b> San Bernardino</p> <p><b>State:</b> CA: California</p> <p><b>Province:</b> N/A</p> <p><b>Country:</b> USA: UNITED STATES</p> <p><b>Zip/Postal Code:</b> 92373</p> <p><b>Website Address:</b> www.3m.org</p> <p><b>Foreign Entity:</b> <input type="radio"/> Yes <input checked="" type="radio"/> No</p> <p><b>Level Code:</b> 45852</p> <p><b>Level Description:</b></p> <p><b>Reports to Sponsor Number:</b> 102</p> <p><b>Reports to Sponsor Name:</b> Jim Broward</p> <p><b>A133:</b></p> <table style="width: 100%;"> <tr> <td><input type="checkbox"/> A133 Greater Than 500K</td> <td><input type="checkbox"/> A133 Non Profit</td> </tr> <tr> <td><input checked="" type="checkbox"/> A133 Less Than 500K</td> <td><input type="checkbox"/> A133 Unknown</td> </tr> <tr> <td><input type="checkbox"/> A133 For Profit</td> <td><input type="checkbox"/> A133 N/A</td> </tr> <tr> <td><input type="checkbox"/> A133 Foreign</td> <td></td> </tr> </table> <p><b>Notes:</b></p>	<input type="checkbox"/> A133 Greater Than 500K	<input type="checkbox"/> A133 Non Profit	<input checked="" type="checkbox"/> A133 Less Than 500K	<input type="checkbox"/> A133 Unknown	<input type="checkbox"/> A133 For Profit	<input type="checkbox"/> A133 N/A	<input type="checkbox"/> A133 Foreign	
<input type="checkbox"/> Competitor	<input type="checkbox"/> Vendor	<input type="checkbox"/> Animal Vendor																			
<input type="checkbox"/> Purchaser	<input type="checkbox"/> Supporter	<input type="checkbox"/> Lab Supply Vendor																			
<input type="checkbox"/> Research Affiliate	<input checked="" type="checkbox"/> Subrecipient	<input type="checkbox"/> Vet Supply Vendor																			
<input checked="" type="checkbox"/> Sponsor																					
<input type="checkbox"/> A133 Greater Than 500K	<input type="checkbox"/> A133 Non Profit																				
<input checked="" type="checkbox"/> A133 Less Than 500K	<input type="checkbox"/> A133 Unknown																				
<input type="checkbox"/> A133 For Profit	<input type="checkbox"/> A133 N/A																				
<input type="checkbox"/> A133 Foreign																					

Add a New Business Associate Contact

Delete	Edit	Contact Name	Division
		Escalante, Moira	Oncology - Pharmaceuticals
		Chiang, Xi	R&D QA

**Business Associate Risk Assessment** Add A133 History

Delete	Edit		Year	Risk Assessment	Notes
			2017	Level 1	Risk mitigated through implementation of HIPAA protocols

**Business Associate F&A Rate History** Add F&A History

Delete	Edit		Year	Notes
No F&A History has been defined for this Associate.				

Scroll down to the **Business Associate Risk Assessment** section and click the plus sign for the applicable record to open its **Document List**.

**Business Associate Risk Assessment** Add A133 History

Delete	Edit		Year	Risk Assessment	Notes
			2017	Level 1	Risk mitigated through implementation of HIPAA protocols.

The **Document List** is expanded, with options to view, add, edit or delete attachments.

Business Associate Risk Assessment Add A133 History

Delete	Edit		Year	Risk Assessment	Notes
			2017	Level 1	Risk mitigated through implementation of HIPAA protocols.

Document List Add Document    Delete Selected Document(s)

Delete	Edit	Title	File	Version
<input type="checkbox"/>		HIPAA Protocols	 41.82 KB	1.0

Click the document icon in the **File** column to download a copy of the attachment.

Click the icon in the **Edit** column to the left of an attachment to view or edit attachment details.

The **Business Associate add A133 Audit Document** panel for the attachment opens, with editable fields.

My Workspaces ▼    Vivarium    **Business Associate add A133 Audit Document** Back

**Save Changes**

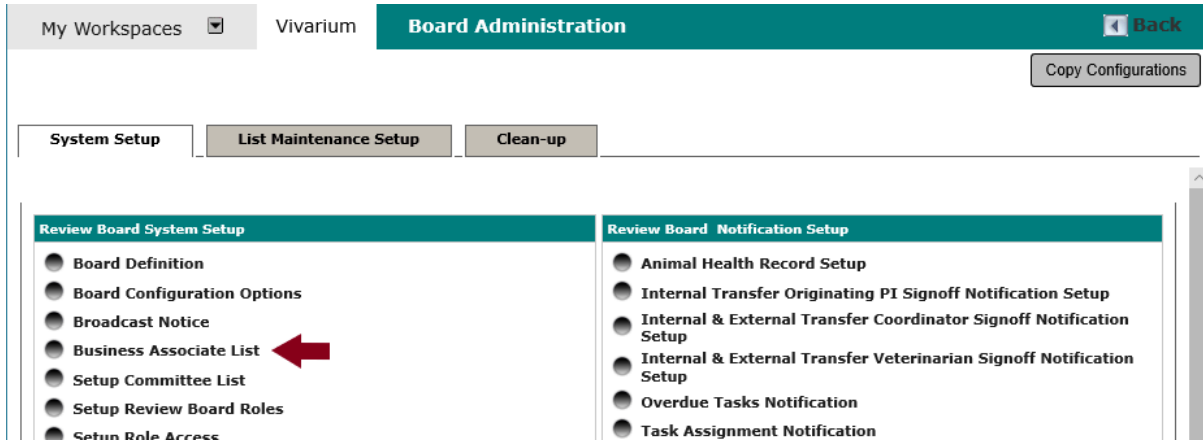
<b>*Title:</b>	HIPAA Protocols	<b>View the document</b>  RTF
<b>*Version Number:</b>	1,0	
<b>Description:</b>	Details applicable HIPAA protocols implemented for use in studies involving 3-M Pharmaceuticals.	
<b>Load the document into iRIS:</b>	<input type="button" value="Upload ..."/>	

**Title**, **Version Number** and **Description** fields can be edited in this panel and the **Upload...** button is enabled. Any file uploaded here will replace any existing file already attached to the risk assessment record.

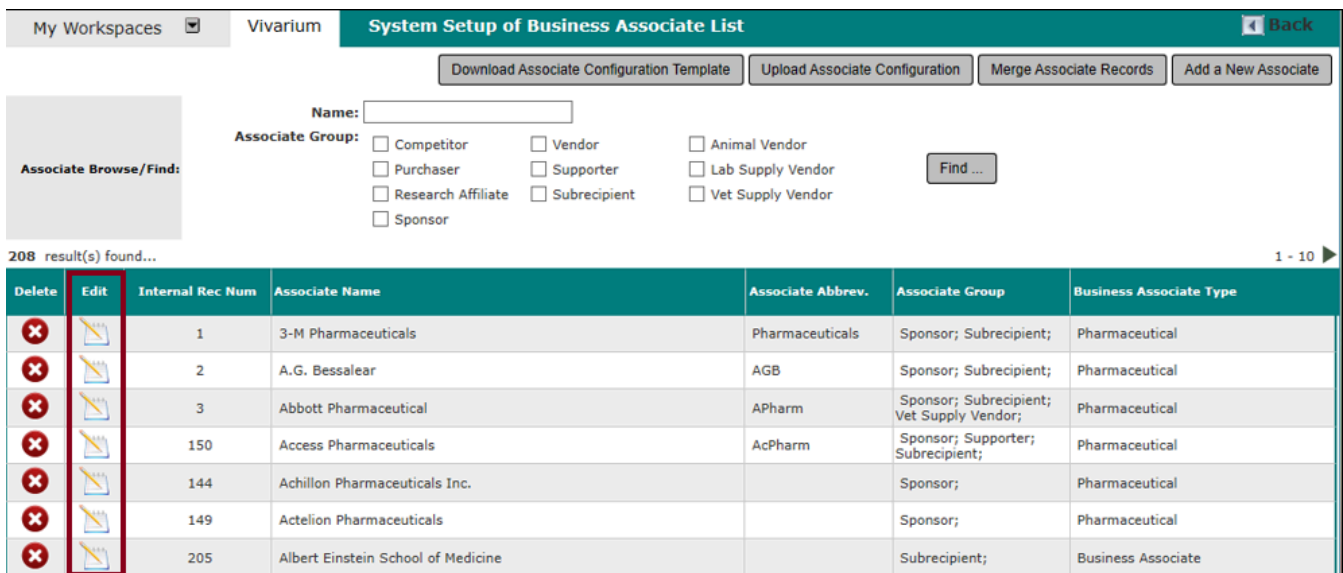
Click the **Save Changes** button to save changes and close the panel.

### *Add Risk Assessment Document*

Navigate to Animal Resource Center > Review Board Administration and click the **Business Associate List** link.



The **System Setup of Business Associate List** page is opened.



Open the applicable business associate entity record by clicking the icon in the **Edit** column for the corresponding record.

A panel with editable business associate fields opens, with sections for **Business Associate Contacts**, **Business Associate Risk Assessment** and **Business Associate F&A Rate History**.

My Workspaces ▾ Vivarium **System Setup of Business Associate List** Back

[Save Changes](#)

---

Associate Abbr: Pharmaceuticals

\* Associate Name: 3-M Pharmaceuticals

Short Name: 3M Pharmaceuticals

Status: Active

Associate Group:

Competitor     Vendor     Animal Vendor

Purchaser     Supporter     Lab Supply Vendor

Research Affiliate     Subrecipient     Vet Supply Vendor

Sponsor

Sponsor ID:

\* Associate Type Code: Pharmaceutical

Associate Type Description:

UCOP Sponsor Code: 12859

Principal Business of Entity: Research Funding

Familiar Name: 3M

Legal Name: 3-M Pharmaceuticals

Organization Name: 3-M Pharmaceuticals

NIH Employer Identification Number(NIH EIN):

EIN: 12-25896

DUNS: 85469528

Congressional District:

Cognizant Federal Agency Name:

POC Name:

POC Phone Number:

Risk Assigned:  Low  Medium  High  Being Reviewed

Sponsor Exempt from CA's 700U Financial Disclosure Indicator:  Yes  No

Street 1: 1234 Beasty Avenue

Street 2:

City: Redlands

County/Parish: San Bernardino

State: CA California

Province: N/A

Country: USA: UNITED STATES

Zip/Postal Code: 92373

Website Address: www.3m.org

Foreign Entity:  Yes  No

Level Code: 45852

Level Description:

Reports to Sponsor Number: 102

Reports to Sponsor Name: Jim Broward

A133:

A133 Greater Than 500K     A133 Non Profit

A133 Less Than 500K     A133 Unknown

A133 For Profit     A133 N/A

A133 Foreign

Notes:

---

Business Associate Contacts [Add a New Business Associate Contact](#)

Delete	Edit	Contact Name	Division
		Escalante, Moira	Oncology - Pharmaceuticals
		Chiang, Xi	R&D QA

---

Business Associate Risk Assessment [Add A133 History](#)

Delete	Edit	+	Year	Risk Assessment	Notes
			2017	Level 1	Risk mitigated through implementation of HIPAA protocols

---

Business Associate F&A Rate History [Add F&A History](#)

Delete	Edit	+	Year	Notes
No F&A History has been defined for this Associate.				

Scroll down to the **Business Associate Risk Assessment** section and click the plus sign for the applicable record to open its **Document List**.

Business Associate Risk Assessment [Add A133 History](#)

Delete	Edit	+	Year	Risk Assessment	Notes
			2017	Level 1	Risk mitigated through implementation of HIPAA protocols.

The **Document List** is expanded, with options to view, add, edit or delete attachments.

Business Associate Risk Assessment Add A133 History

Delete	Edit		Year	Risk Assessment	Notes
			2017	Level 1	Risk mitigated through implementation of HIPAA protocols.

Document List Add Document

Delete	Edit	Title	File	Version
<input type="checkbox"/>		HIPAA Protocols	 41.82 KB	1.0

Click the **Add Document** button. The **Business Associate add A133 Audit Document** panel opens for attachment of supporting documentation. Enter the document **Title**, **Version Number** and **Description**, then click the **Upload** button.

My Workspaces Vivarium Business Associate add A133 Audit Document

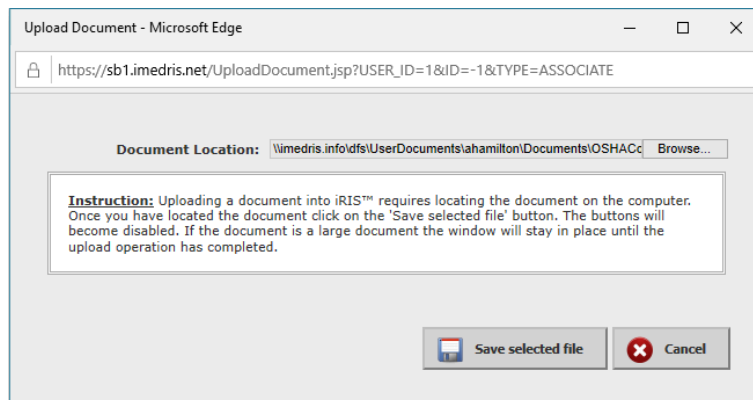
**\*Title:**

**\*Version Number:** .

**Description:**

**Load the document into iRIS:**

An **Upload Document** popup window appears.



Click the **Cancel** button to close the popup without uploading a document.

Click the **Browse** button to navigate to the desired document file.

When the location of the desired attachment appears in the **Document Location** field, click the **Save selected file** button to complete the upload. The document is uploaded and attached to the risk assessment record.

My Workspaces ▾ Vivarium **Business Associate add A133 Audit Document** [Back](#)

[Save Changes](#)

**\*Title:** OSHA Compliance Audit Signoff Letter

**\*Version Number:** 1 .0

**Description:** Verification letter from OSHA auditor.

**Load the document into iRIS:** [Upload ...](#)

[View the document](#)

Click the icon in the **View the document** panel to view the attached document. Click the **Save Changes** button to save the history record with attachment. The document is added to the applicable **Document List**.

Click the icon in the **File** column to view the attached document.

Business Associate Risk Assessment [Add A133 History](#)

Delete	Edit	Year	Risk Assessment	Notes
		2017	Level 1	Risk mitigated through implementation of HIPAA protocols.

**Document List** [Add Document](#) [Delete Selected Document\(s\)](#)

Delete	Edit	Title	File	Version
<input type="checkbox"/>		HIPAA Protocols	41.82 KB	1.0
<input type="checkbox"/>		OSHA Compliance Audit Signoff Letter	980.33 KB	1.0

### Delete Risk Assessment Document

Navigate to Animal Resource Center > Review Board Administration and click the **Business Associate List** link.

My Workspaces ▾ Vivarium **Board Administration** [Back](#)

[Copy Configurations](#)

**System Setup** **List Maintenance Setup** **Clean-up**

Review Board System Setup	Review Board Notification Setup
<ul style="list-style-type: none"> <li>● Board Definition</li> <li>● Board Configuration Options</li> <li>● Broadcast Notice</li> <li>● <b>Business Associate List</b> </li> <li>● Setup Committee List</li> <li>● Setup Review Board Roles</li> <li>● Setup Role Access</li> </ul>	<ul style="list-style-type: none"> <li>● Animal Health Record Setup</li> <li>● Internal Transfer Originating PI Signoff Notification Setup</li> <li>● Internal &amp; External Transfer Coordinator Signoff Notification Setup</li> <li>● Internal &amp; External Transfer Veterinarian Signoff Notification Setup</li> <li>● Overdue Tasks Notification</li> <li>● Task Assignment Notification</li> </ul>

The **System Setup of Business Associate List** page is opened.

My Workspaces Vivarium **System Setup of Business Associate List** [Back](#)

[Download Associate Configuration Template](#)
[Upload Associate Configuration](#)
[Merge Associate Records](#)
[Add a New Associate](#)

Name:

Associate Group:
  Competitor
  Vendor
  Animal Vendor
  Purchaser
  Supporter
  Lab Supply Vendor
  Research Affiliate
  Subrecipient
  Vet Supply Vendor
  Sponsor
 [Find ...](#)

Associate Browse/Find:

208 result(s) found... 1 - 10

Delete	Edit	Internal Rec Num	Associate Name	Associate Abbrev.	Associate Group	Business Associate Type
		1	3-M Pharmaceuticals	Pharmaceuticals	Sponsor; Subrecipient;	Pharmaceutical
		2	A.G. Bessalear	AGB	Sponsor; Subrecipient;	Pharmaceutical
		3	Abbott Pharmaceutical	APharm	Sponsor; Subrecipient; Vet Supply Vendor;	Pharmaceutical
		150	Access Pharmaceuticals	AcPharm	Sponsor; Supporter; Subrecipient;	Pharmaceutical
		144	Achillon Pharmaceuticals Inc.		Sponsor;	Pharmaceutical
		149	Actelion Pharmaceuticals		Sponsor;	Pharmaceutical
		205	Albert Einstein School of Medicine		Subrecipient;	Business Associate

Open the applicable business associate entity record by clicking the icon in the **Edit** column for the corresponding record.

A panel with editable business associate fields opens, with sections for **Business Associate Contacts**, **Business Associate Risk Assessment** and **Business Associate F&A Rate History**.

My Workspaces ▼ Vivarium **System Setup of Business Associate List** Back

[Save Changes](#)

---

**Associate Abbr:** Pharmaceuticals

**\* Associate Name:** 3-M Pharmaceuticals

**Short Name:** 3M Pharmaceuticals

**Status:** Active

**Associate Group:**

Competitor     Vendor     Animal Vendor

Purchaser     Supporter     Lab Supply Vendor

Research Affiliate     Subrecipient     Vet Supply Vendor

Sponsor

**Sponsor ID:**

**\* Associate Type Code:** Pharmaceutical

**Associate Type Description:**

**UCOP Sponsor Code:** 12859

**Principal Business of Entity:** Research Funding

**Familiar Name:** 3M

**Legal Name:** 3-M Pharmaceuticals

**Organization Name:** 3-M Pharmaceuticals

**NIH Employer Identification Number (NIH EIN):**

**EIN:** 12-25896

**DUNS:** 85469528

**Congressional District:**

**Cognizant Federal Agency Name:**

**POC Name:**

**POC Phone Number:**

**Risk Assigned:**  Low  Medium  High  Being Reviewed

**Sponsor Exempt from CA's 700U Financial Disclosure Indicator:**  Yes  No

**Street 1:** 1234 Beasley Avenue

**Street 2:**

**City:** Redlands

**County/Parish:** San Bernardino

**State:** CA: California

**Province:** N/A

**Country:** USA: UNITED STATES

**Zip/Postal Code:** 92373

**Website Address:** www.3m.org

**Foreign Entity:**  Yes  No

**Level Code:** 45852

**Level Description:**

**Reports to Sponsor Number:** 102

**Reports to Sponsor Name:** Jim Broward

**A133:**

A133 Greater Than 500K     A133 Non Profit

A133 Less Than 500K     A133 Unknown

A133 For Profit     A133 N/A

A133 Foreign

**Notes:**

---

[Add a New Business Associate Contact](#)

Delete	Edit	Contact Name	Division
		Escalante, Moira	Oncology - Pharmaceuticals
		Chiang, Xi	R&D QA

---

**Business Associate Risk Assessment** [Add A133 History](#)

Delete	Edit	+	Year	Risk Assessment	Notes
			2017	Level 1	Risk mitigated through implementation of HIPAA protocols

---

**Business Associate F&A Rate History** [Add F&A History](#)

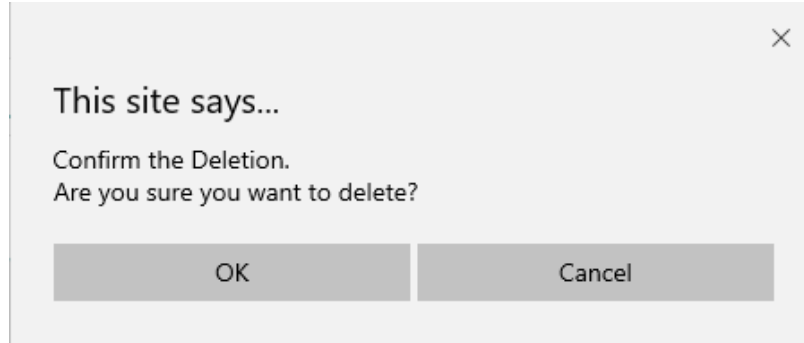
Delete	Edit	+	Year	Notes
No F&A History has been defined for this Associate.				

Scroll down to the **Business Associate Risk Assessment** section and click the plus sign for the applicable record to open its **Document List** section. Select the checkbox for the document to be deleted and click the **Delete Selected Document** button.

**Business Associate Risk Assessment** [Add A133 History](#)

Delete	Edit	+	Year	Risk Assessment	Notes										
			2017	Level 1	Risk mitigated through implementation of HIPAA protocols.										
<div style="display: flex; justify-content: space-between; align-items: center;"> <div> <p><b>Document List</b></p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr style="background-color: #e0f0e0;"> <th style="width: 5%;">Delete</th> <th style="width: 5%;">Edit</th> <th style="width: 80%;">Title</th> <th style="width: 5%;">File</th> <th style="width: 5%;">Version</th> </tr> </thead> <tbody> <tr> <td style="text-align: center;"><input checked="" type="checkbox"/></td> <td style="text-align: center;"></td> <td>HIPAA Protocols</td> <td style="text-align: center;"> 41.82 KB</td> <td style="text-align: center;">1.0</td> </tr> </tbody> </table> </div> <div style="text-align: right;"> <p><a href="#">Add Document</a>    <span style="border: 2px solid red; padding: 2px;"><a href="#">Delete Selected Document(s)</a></span></p> </div> </div>						Delete	Edit	Title	File	Version	<input checked="" type="checkbox"/>		HIPAA Protocols	 41.82 KB	1.0
Delete	Edit	Title	File	Version											
<input checked="" type="checkbox"/>		HIPAA Protocols	 41.82 KB	1.0											

A confirmation popup displays.

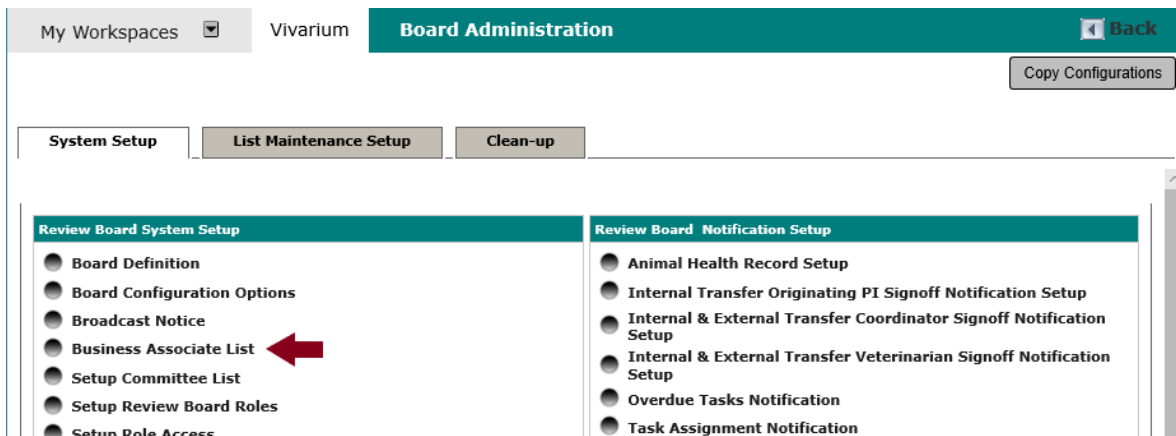


Click the **OK** button to confirm deletion and return to the **System Setup of Business Associate List** page.

Click the **CANCEL** button to return to the **System Setup of Business Associate List** page without deleting the document.

## Edit Business Associate Risk Assessment

Navigate to Animal Resource Center > Review Board Administration and click the **Business Associate List** link.



Click the icon for the applicable business associate in the **Edit** column.

Delete	Edit	Internal Rec Num	Associate Name	Associate Abbrev.	Associate Group	Business Associate Type
		1	3-M Pharmaceuticals	Pharmaceuticals	Sponsor; Subrecipient;	Pharmaceutical
		2	A.G. Besslear	AGB	Sponsor; Subrecipient;	Pharmaceutical
		3	Abbott Pharmaceutical	APharm	Sponsor; Subrecipient; Vet Supply Vendor;	Pharmaceutical
		150	Access Pharmaceuticals	AcPharm	Sponsor; Supporter; Subrecipient;	Pharmaceutical
		144	Achillon Pharmaceuticals Inc.		Sponsor;	Pharmaceutical
		149	Actelion Pharmaceuticals		Sponsor;	Pharmaceutical
		205	Albert Einstein School of Medicine		Subrecipient;	Business Associate

The **System Setup of Business Associate List** page is opened.

<p><b>Associate Abbrv:</b> Pharmaceuticals</p> <p><b>*Associate Name:</b> 3-M Pharmaceuticals</p> <p><b>Short Name:</b> 3M Pharmaceuticals</p> <p><b>Status:</b> Active</p> <p><b>Associate Group:</b></p> <p><input type="checkbox"/> Competitor    <input type="checkbox"/> Vendor    <input type="checkbox"/> Animal Vendor</p> <p><input type="checkbox"/> Purchaser    <input type="checkbox"/> Supporter    <input type="checkbox"/> Lab Supply Vendor</p> <p><input type="checkbox"/> Research Affiliate    <input checked="" type="checkbox"/> Subrecipient    <input type="checkbox"/> Vet Supply Vendor</p> <p><input checked="" type="checkbox"/> Sponsor</p> <p><b>Sponsor ID:</b></p> <p><b>*Associate Type Code:</b> Pharmaceutical</p> <p><b>Associate Type Description:</b></p> <p><b>UCOP Sponsor Code:</b> 12859</p> <p><b>Principal Business of Entity:</b> Research Funding</p> <p><b>Familiar Name:</b> 3M</p> <p><b>Legal Name:</b> 3-M Pharmaceuticals</p> <p><b>Organization Name:</b> 3-M Pharmaceuticals</p> <p><b>NIH Employer Identification Number(NIH EIN):</b></p> <p><b>EIN:</b> 12-25896</p> <p><b>DUNS:</b> 85469528</p> <p><b>Congressional District:</b></p> <p><b>Cognizant Federal Agency Name:</b></p> <p><b>POC Name:</b></p> <p><b>POC Phone Number:</b></p> <p><b>Risk Assigned:</b></p> <p><input checked="" type="radio"/> Low   <input type="radio"/> Medium</p> <p><input type="radio"/> High   <input type="radio"/> Being Reviewed</p> <p><b>Sponsor Exempt from CA's 700U Financial Disclosure Indicator:</b> <input type="radio"/> Yes   <input checked="" type="radio"/> No</p>	<p><b>Street 1:</b> 1234 Beasty Avenue</p> <p><b>Street 2:</b></p> <p><b>City:</b> Redlands</p> <p><b>County/Parish:</b> San Bernardino</p> <p><b>State:</b> CA, California</p> <p><b>Province:</b> N/A</p> <p><b>Country:</b> USA, UNITED STATES</p> <p><b>Zip/Postal Code:</b> 92373</p> <p><b>Website Address:</b> www.3m.org</p> <p><b>Foreign Entity:</b> <input type="radio"/> Yes   <input checked="" type="radio"/> No</p> <p><b>Level Code:</b> 45852</p> <p><b>Level Description:</b></p> <p><b>Reports to Sponsor Number:</b> 102</p> <p><b>Reports to Sponsor Name:</b> Jim Broward</p> <p><b>A133:</b></p> <p><input type="checkbox"/> A133 Greater Than 500K    <input type="checkbox"/> A133 Non Profit</p> <p><input checked="" type="checkbox"/> A133 Less Than 500K    <input type="checkbox"/> A133 Unknown</p> <p><input type="checkbox"/> A133 For Profit    <input type="checkbox"/> A133 N/A</p> <p><input type="checkbox"/> A133 Foreign</p> <p><b>Notes:</b></p>
--	---

**Business Associate Contacts** Add a New Business Associate Contact

Delete	Edit	Contact Name	Division
		Escalante, Moira	Oncology - Pharmaceuticals
		Chiang, Xi	R&D QA

**Business Associate Risk Assessment** Add A133 History

Delete	Edit		Year	Risk Assessment	Notes
			2017	Level 1	Risk mitigated through implementation of HIPAA protocols

**Business Associate F&A Rate History** Add F&A History

Delete	Edit		Year	Notes
No F&A History has been defined for this Associate.				

Click the icon in the **Edit** column for the applicable record in the **Business Associate Risk Assessment** section.

**Business Associate Risk Assessment** Add A133 History

Delete	Edit		Year	Risk Assessment	Notes
			2017	Level 1	Risk mitigated through implementation of HIPAA protocols.

The record is opened in a panel with editable fields.

My Workspaces ▾ Vivarium **System Setup of Business Associate List** Back

Cancel And Return Save Changes

\*Year: 2017

Risk Assessment: Level 1

Notes: Risk mitigated through implementation of HIPAA protocols.

Click the **Cancel and Return** button to close the panel without saving changes.

Make desired edits in the fields and click the **Save Changes** button to save changes to the record. The **Business Associate add A133 Audit Document** panel opens for attachment of supporting documentation.

My Workspaces ▾ Vivarium **Business Associate add A133 Audit Document** Back

Save Changes

\*Title:

\*Version Number: .0

Description:

Load the document into iRIS:

View the document

*Any document added here will be appended to the risk assessment record, it will not replace any documents previously uploaded for the same record.*

Enter the document **Title**, **Version Number** and **Description**, then click the **Upload** button.

My Workspaces ▾ Vivarium **Business Associate add A133 Audit Document** Back

Save Changes

\*Title: Corporate COI Profile

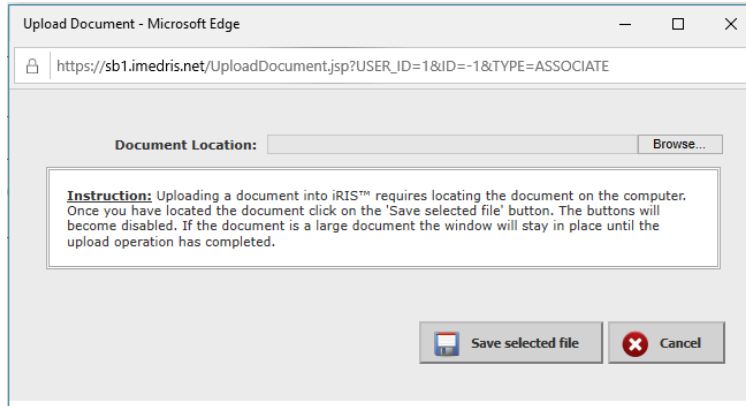
\*Version Number: 1.0

Description: COI Profile details for the business entity.

Load the document into iRIS:

View the document

An **Upload Document** popup window appears.



Click the **Cancel** button to close the popup without uploading the document.

Click the **Browse** button to navigate to the desired document file. When the location of the desired attachment appears in the **Document Location** field, click the **Save selected file** button to complete the upload.

The document is uploaded and attached to the history record. Click the icon in the **View the document** panel to view the attached document. Click the **Save Changes** button to save the history record with attachment.

My Workspaces ▾ Vivarium **Business Associate add A133 Audit Document** Back

Save Changes

**\*Title:** Corporate COI Profile

**\*Version Number:** 1 .0

**Description:** COI Profile details for the business entity.

Load the document into iRIS: Upload ...

View the document

RTF

The **Business Associate add A133 Audit Document** panel closes and the audit document is added for the applicable business associate contact. Click the document icon in the **File** column to download a copy of the attachment.

Business Associate Risk Assessment Add A133 History

Delete	Edit		Year	Risk Assessment	Notes
			2017	Level 1	Risk mitigated through implementation of HIPAA protocols.

Document List Add Document    Delete Selected Document(s)

Delete	Edit	Title	File	Version
<input type="checkbox"/>		HIPAA Protocols	 41.82 KB	1.0
<input type="checkbox"/>		OSHA Compliance Audit Signoff Letter	 980.33 KB	1.0
<input type="checkbox"/>		Corporate COI Profile	 41.82 KB	1.0

## Delete Business Associate Risk Assessment

To delete a business associate risk assessment record, navigate to Animal Resource Center > Review Board Administration and click the **Business Associate List** link.

My Workspaces ▼    Vivarium    **Board Administration** Back

Copy Configurations

System Setup    List Maintenance Setup    Clean-up

Review Board System Setup	Review Board Notification Setup
<ul style="list-style-type: none"> <li><input type="radio"/> Board Definition</li> <li><input type="radio"/> Board Configuration Options</li> <li><input type="radio"/> Broadcast Notice</li> <li><input type="radio"/> <b>Business Associate List</b> <span style="color: red; font-size: 2em;">←</span></li> <li><input type="radio"/> Setup Committee List</li> <li><input type="radio"/> Setup Review Board Roles</li> <li><input type="radio"/> Setup Role Access</li> </ul>	<ul style="list-style-type: none"> <li><input type="radio"/> Animal Health Record Setup</li> <li><input type="radio"/> Internal Transfer Originating PI Signoff Notification Setup</li> <li><input type="radio"/> Internal &amp; External Transfer Coordinator Signoff Notification Setup</li> <li><input type="radio"/> Internal &amp; External Transfer Veterinarian Signoff Notification Setup</li> <li><input type="radio"/> Overdue Tasks Notification</li> <li><input type="radio"/> Task Assignment Notification</li> </ul>

The **System Setup of Business Associate List** page is opened.

My Workspaces ▾ Vivarium **System Setup of Business Associate List** [Back](#)

[Download Associate Configuration Template](#)
[Upload Associate Configuration](#)
[Merge Associate Records](#)
[Add a New Associate](#)

Name:

Associate Group:

Competitor     Vendor     Animal Vendor  
 Purchaser     Supporter     Lab Supply Vendor  
 Research Affiliate     Subrecipient     Vet Supply Vendor  
 Sponsor

[Find ...](#)

Associate Browse/Find:

208 result(s) found... 1 - 10 ▶

Delete	Edit	Internal Rec Num	Associate Name	Associate Abbrev.	Associate Group	Business Associate Type
		1	3-M Pharmaceuticals	Pharmaceuticals	Sponsor; Subrecipient;	Pharmaceutical
		2	A.G. Bessalear	AGB	Sponsor; Subrecipient;	Pharmaceutical
		3	Abbott Pharmaceutical	APharm	Sponsor; Subrecipient; Vet Supply Vendor;	Pharmaceutical
		150	Access Pharmaceuticals	AcPharm	Sponsor; Supporter; Subrecipient;	Pharmaceutical
		144	Achillon Pharmaceuticals Inc.		Sponsor;	Pharmaceutical
		149	Actelion Pharmaceuticals		Sponsor;	Pharmaceutical
		205	Albert Einstein School of Medicine		Subrecipient;	Business Associate

Open the applicable business associate record by clicking the icon in the **Edit** column for the corresponding record.

A panel with editable business associate fields opens, with sections for **Business Associate Contacts**, **Business Associate Risk Assessment** and **Business Associate F&A Rate History**.

Save Changes

<p><b>Associate Abbr:</b> Pharmaceuticals</p> <p><b>* Associate Name:</b> 3-M Pharmaceuticals</p> <p><b>Short Name:</b> 3M Pharmaceuticals</p> <p><b>Status:</b> Active</p> <p><b>Associate Group:</b></p> <table style="width: 100%;"> <tr> <td><input type="checkbox"/> Competitor</td> <td><input type="checkbox"/> Vendor</td> <td><input type="checkbox"/> Animal Vendor</td> </tr> <tr> <td><input type="checkbox"/> Purchaser</td> <td><input type="checkbox"/> Supporter</td> <td><input type="checkbox"/> Lab Supply Vendor</td> </tr> <tr> <td><input type="checkbox"/> Research Affiliate</td> <td><input checked="" type="checkbox"/> Subrecipient</td> <td><input type="checkbox"/> Vet Supply Vendor</td> </tr> <tr> <td colspan="3"><input checked="" type="checkbox"/> Sponsor</td> </tr> </table> <p><b>Sponsor ID:</b></p> <p><b>* Associate Type Code:</b> Pharmaceutical</p> <p><b>Associate Type Description:</b></p> <p><b>UCOP Sponsor Code:</b> 12859</p> <p><b>Principal Business of Entity:</b> Research Funding</p> <p><b>Familiar Name:</b> 3M</p> <p><b>Legal Name:</b> 3-M Pharmaceuticals</p> <p><b>Organization Name:</b> 3-M Pharmaceuticals</p> <p><b>NIH Employer Identification Number (NIH EIN):</b></p> <p><b>EIN:</b> 12-25896</p> <p><b>DUNS:</b> 85469528</p> <p><b>Congressional District:</b></p> <p><b>Cognizant Federal Agency Name:</b></p> <p><b>POC Name:</b></p> <p><b>POC Phone Number:</b></p> <p><b>Risk Assigned:</b> <input checked="" type="radio"/> Low <input type="radio"/> Medium <input type="radio"/> High <input type="radio"/> Being Reviewed</p> <p><b>Sponsor Exempt from CA's 7000 Financial Disclosure Indicator:</b> <input type="radio"/> Yes <input checked="" type="radio"/> No</p>	<input type="checkbox"/> Competitor	<input type="checkbox"/> Vendor	<input type="checkbox"/> Animal Vendor	<input type="checkbox"/> Purchaser	<input type="checkbox"/> Supporter	<input type="checkbox"/> Lab Supply Vendor	<input type="checkbox"/> Research Affiliate	<input checked="" type="checkbox"/> Subrecipient	<input type="checkbox"/> Vet Supply Vendor	<input checked="" type="checkbox"/> Sponsor			<p><b>Street 1:</b> 1234 Beasley Avenue</p> <p><b>Street 2:</b></p> <p><b>City:</b> Redlands</p> <p><b>County/Parish:</b> San Bernardino</p> <p><b>State:</b> CA: California</p> <p><b>Province:</b> N/A</p> <p><b>Country:</b> USA: UNITED STATES</p> <p><b>Zip/Postal Code:</b> 92373</p> <p><b>Website Address:</b> www.3m.org</p> <p><b>Foreign Entity:</b> <input type="radio"/> Yes <input checked="" type="radio"/> No</p> <p><b>Level Code:</b> 45852</p> <p><b>Level Description:</b></p> <p><b>Reports to Sponsor Number:</b> 102</p> <p><b>Reports to Sponsor Name:</b> Jim Broward</p> <p><b>A133:</b></p> <table style="width: 100%;"> <tr> <td><input type="checkbox"/> A133 Greater Than 500K</td> <td><input type="checkbox"/> A133 Non Profit</td> </tr> <tr> <td><input checked="" type="checkbox"/> A133 Less Than 500K</td> <td><input type="checkbox"/> A133 Unknown</td> </tr> <tr> <td><input type="checkbox"/> A133 For Profit</td> <td><input type="checkbox"/> A133 N/A</td> </tr> <tr> <td><input type="checkbox"/> A133 Foreign</td> <td></td> </tr> </table> <p><b>Notes:</b></p>	<input type="checkbox"/> A133 Greater Than 500K	<input type="checkbox"/> A133 Non Profit	<input checked="" type="checkbox"/> A133 Less Than 500K	<input type="checkbox"/> A133 Unknown	<input type="checkbox"/> A133 For Profit	<input type="checkbox"/> A133 N/A	<input type="checkbox"/> A133 Foreign	
<input type="checkbox"/> Competitor	<input type="checkbox"/> Vendor	<input type="checkbox"/> Animal Vendor																			
<input type="checkbox"/> Purchaser	<input type="checkbox"/> Supporter	<input type="checkbox"/> Lab Supply Vendor																			
<input type="checkbox"/> Research Affiliate	<input checked="" type="checkbox"/> Subrecipient	<input type="checkbox"/> Vet Supply Vendor																			
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<input checked="" type="checkbox"/> A133 Less Than 500K	<input type="checkbox"/> A133 Unknown																				
<input type="checkbox"/> A133 For Profit	<input type="checkbox"/> A133 N/A																				
<input type="checkbox"/> A133 Foreign																					

Add a New Business Associate Contact

Delete	Edit	Contact Name	Division
		Escalante, Moira	Oncology - Pharmaceuticals
		Chiang, Xi	R&D QA

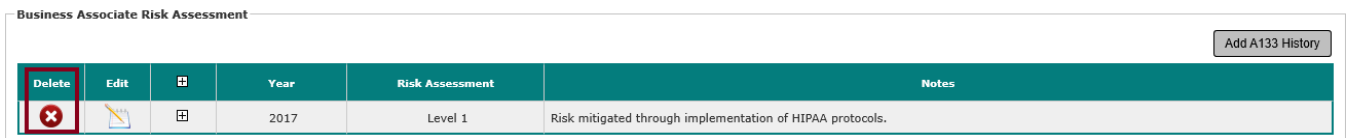
**Business Associate Risk Assessment** Add A133 History

Delete	Edit	Year	Risk Assessment	Notes
		2017	Level 1	Risk mitigated through implementation of HIPAA protocols

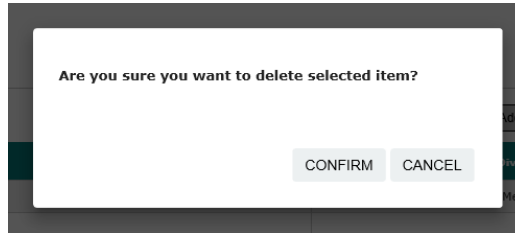
**Business Associate F&A Rate History** Add F&A History

Delete	Edit	Year	Notes
No F&A History has been defined for this Associate.			

The second panel in the lower section of the **System Setup of Business Associate List** page is **Business Associate Risk Assessment**. Click the icon in the **Delete** column for the corresponding record.



A confirmation popup window displays.



Click the **CANCEL** button to cancel deletion.

Click the **CONFIRM** button to confirm deletion.

*Note that deleting a business associate risk assessment record also deletes any attachments saved to the record.*

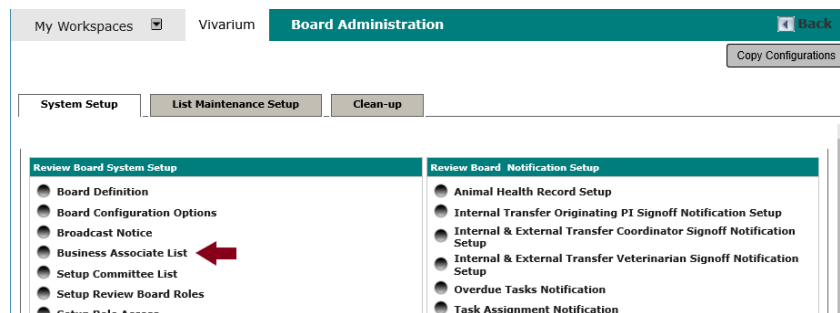
## Business Associate F&A Rate History

Business associate entities involved in research activities typically have a standard rate for charging fees to reimburse the entity's F&A (Facilities and Administration) expenses.

In the iRIS™ system these fees can be tracked for each business associate entity.

## Add Business Associate F&A Rate History

To add F&A rate history to a business associate record, navigate to Animal Resource Center > Review Board Administration and click the **Business Associate List** link.



The **System Setup of Business Associate List** page is opened.

My Workspaces Vivarium **System Setup of Business Associate List** Back

Name:

**Associate Group:**
 Competitor
  Vendor
  Animal Vendor  
 Purchaser
  Supporter
  Lab Supply Vendor  
 Research Affiliate
  Subrecipient
  Vet Supply Vendor  
 Sponsor

208 result(s) found... 1 - 10

Delete	Edit	Internal Rec Num	Associate Name	Associate Abbrev.	Associate Group	Business Associate Type
		1	3-M Pharmaceuticals	Pharmaceuticals	Sponsor; Subrecipient;	Pharmaceutical
		2	A.G. Besselaar	AGB	Sponsor; Subrecipient;	Pharmaceutical
		3	Abbott Pharmaceutical	APharm	Sponsor; Subrecipient; Vet Supply Vendor;	Pharmaceutical
		150	Access Pharmaceuticals	AcPharm	Sponsor; Supporter; Subrecipient;	Pharmaceutical
		144	Achillon Pharmaceuticals Inc.		Sponsor;	Pharmaceutical
		149	Actelion Pharmaceuticals		Sponsor;	Pharmaceutical
		205	Albert Einstein School of Medicine		Subrecipient;	Business Associate

Open the applicable business associate record by clicking the icon in the **Edit** column for the corresponding record.

A panel with editable business associate fields opens, with sections for **Business Associate Contacts**, **Business Associate Risk Assessment** and **Business Associate F&A Rate History**.

Save Changes

<p><b>Associate Abbrv:</b> Pharmaceuticals</p> <p><b>*Associate Name:</b> 3-M Pharmaceuticals</p> <p><b>Short Name:</b> 3M Pharmaceuticals</p> <p><b>Status:</b> Active</p> <p><b>Associate Group:</b></p> <p><input type="checkbox"/> Competitor    <input type="checkbox"/> Vendor    <input type="checkbox"/> Animal Vendor</p> <p><input type="checkbox"/> Purchaser    <input type="checkbox"/> Supporter    <input type="checkbox"/> Lab Supply Vendor</p> <p><input type="checkbox"/> Research Affiliate    <input checked="" type="checkbox"/> Subrecipient    <input type="checkbox"/> Vet Supply Vendor</p> <p><input checked="" type="checkbox"/> Sponsor</p> <p><b>Sponsor ID:</b></p> <p><b>*Associate Type Code:</b> Pharmaceutical</p> <p><b>Associate Type Description:</b></p> <p><b>UCOP Sponsor Code:</b> 12859</p> <p><b>Principal Business of Entity:</b> Research Funding</p> <p><b>Familiar Name:</b> 3M</p> <p><b>Legal Name:</b> 3-M Pharmaceuticals</p> <p><b>Organization Name:</b> 3-M Pharmaceuticals</p> <p><b>NIH Employer Identification Number (NIH EIN):</b></p> <p><b>EIN:</b> 12-25896</p> <p><b>DUNS:</b> 85469528</p> <p><b>Congressional District:</b></p> <p><b>Cognizant Federal Agency Name:</b></p> <p><b>POC Name:</b></p> <p><b>POC Phone Number:</b></p> <p><b>Risk Assigned:</b></p> <p><input checked="" type="radio"/> Low    <input type="radio"/> Medium</p> <p><input type="radio"/> High    <input type="radio"/> Being Reviewed</p> <p><b>Sponsor Exempt from CA's 700U Financial Disclosure Indicator:</b> <input type="radio"/> Yes    <input checked="" type="radio"/> No</p>	<p><b>Street 1:</b> 1234 Beasty Avenue</p> <p><b>Street 2:</b></p> <p><b>City:</b> Redlands</p> <p><b>County/Parish:</b> San Bernardino</p> <p><b>State:</b> CA, California</p> <p><b>Province:</b> N/A</p> <p><b>Country:</b> USA, UNITED STATES</p> <p><b>Zip/Postal Code:</b> 92373</p> <p><b>Website Address:</b> www.3m.org</p> <p><b>Foreign Entity:</b> <input type="radio"/> Yes    <input checked="" type="radio"/> No</p> <p><b>Level Code:</b> 45852</p> <p><b>Level Description:</b></p> <p><b>Reports to Sponsor Number:</b> 102</p> <p><b>Reports to Sponsor Name:</b> Jim Broward</p> <p><b>A133:</b></p> <p><input type="checkbox"/> A133 Greater Than 500K    <input type="checkbox"/> A133 Non Profit</p> <p><input checked="" type="checkbox"/> A133 Less Than 500K    <input type="checkbox"/> A133 Unknown</p> <p><input type="checkbox"/> A133 For Profit    <input type="checkbox"/> A133 N/A</p> <p><input type="checkbox"/> A133 Foreign</p> <p><b>Notes:</b></p>
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**Business Associate Contacts** Add a New Business Associate Contact

Delete	Edit	Contact Name	Division
		Escalante, Moira	Oncology - Pharmaceuticals
		Chiang, Xi	R&D QA

**Business Associate Risk Assessment** Add A133 History

Delete	Edit	Year	Risk Assessment	Notes
		2017	Level 1	Risk mitigated through implementation of HIPAA protocols

**Business Associate F&A Rate History** Add F&A History

Delete	Edit	Year	Notes
No F&A History has been defined for this Associate.			

The bottom panel in the lower section of the **System Setup of Business Associate List** page is **Business Associate F&A Rate History**.

Click the **Add F&A History** button to begin.

**Business Associate F&A Rate History** Add F&A History

Delete	Edit	Year	Notes
No F&A History has been defined for this Associate.			

A panel opens for entry of F&A information.

My Workspaces ▾ Vivarium System Setup of Business Associate List Back

Cancel And Return Save Changes

\*Year:

Notes:

Enter the **Year** for the applicable F&A rate.

Use the **Notes** field to enter F&A rate details for that year for the currently active business associate.

Click the **Cancel And Return** button to close the panel without saving changes.

Click the **Save Changes** button to save changes and close the panel. The **Business Associate add Document** panel opens for upload of a supporting document.

My Workspaces ▾ Vivarium Business Associate add Document Back

Save Changes View the document

\*Title:

\*Version Number: .0

Description:

Load the document into iRIS: Upload ...

Enter a **Title**, **Version Number** and **Description** for the document to be uploaded, then click the **Upload...** button.

My Workspaces ▾ Vivarium Business Associate add Document Back

Save Changes View the document

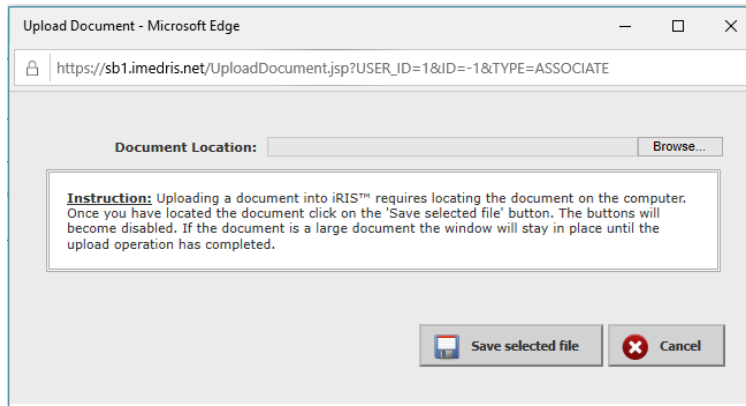
\*Title: F&A Rate Chart, 2018-19

\*Version Number: 1.0

Description: F&A rate chart for facilities used during 2018-19 fiscal year.

Load the document into iRIS: Upload ...

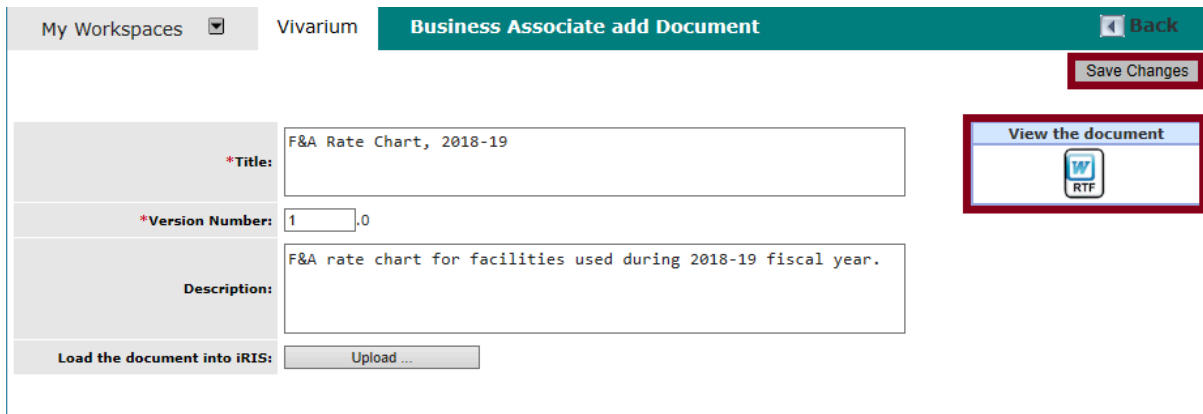
An **Upload Document** popup window appears.



Click the **Cancel** button to close the popup without uploading a document.

To upload a document, click the **Browse** button to navigate to the desired document file. When the location of the desired attachment appears in the **Document Location** field, click the **Save selected file** button to complete the upload.

The document is uploaded and attached to the F&A record.



Click the icon in the **View the document** panel to view the attached document. Click the **Save Changes** button to save the F&A record with attachment.

The **Business Associate add Document** page closes and the F&A rate history record is added to the business associate record.

Business Associate F&A Rate History					Add F&A History
Delete	Edit		Year	Notes	
			2019	Standard, fixed F&A rate of 55% applies per 2018-19 budget.	

Click the plus sign icon for the record to expand its associated **Document List** section.

The screenshot shows the 'Business Associate F&A Rate History' interface. At the top right is a button labeled 'Add F&A History'. Below this is a table with columns: 'Delete', 'Edit', a plus sign icon, 'Year', and 'Notes'. A single record is shown for the year '2019' with the note 'Standard, fixed F&A rate of 55% applies per 2018-19 budget.' Below the table is a 'Document List' section. It includes buttons for 'Add Document' and 'Delete Selected Document(s)'. A table below these buttons has columns: 'Edit', 'Title', 'File', and 'Versions'. One document is listed: 'F&A Rate Chart, 2018-19' with a file icon, '41.82 KB', and '1.0' version.

### F&A Rate History Document List

The F&A Rate History Document List is where all supporting documents for a given F&A Rate History record are shown. Supporting documents can be edited, added or deleted.

### Edit F&A Rate History Document

Navigate to Animal Resource Center > Review Board Administration and click the **Business Associate List** link.

The screenshot shows the 'Board Administration' page. At the top, there are tabs for 'System Setup', 'List Maintenance Setup', and 'Clean-up'. The 'System Setup' tab is active. Below the tabs are two columns of links. The left column is titled 'Review Board System Setup' and includes: 'Board Definition', 'Board Configuration Options', 'Broadcast Notice', 'Business Associate List' (highlighted with a red arrow), 'Setup Committee List', 'Setup Review Board Roles', and 'Setup Role Access'. The right column is titled 'Review Board Notification Setup' and includes: 'Animal Health Record Setup', 'Internal Transfer Originating PI Signoff Notification Setup', 'Internal & External Transfer Coordinator Signoff Notification Setup', 'Internal & External Transfer Veterinarian Signoff Notification Setup', 'Overdue Tasks Notification', and 'Task Assignment Notification'. At the top right of the page are buttons for 'My Workspaces', 'Vivarium', 'Board Administration', 'Back', and 'Copy Configurations'.

The **System Setup of Business Associate List** page is opened.

My Workspaces Vivarium System Setup of Business Associate List Back

Download Associate Configuration Template Upload Associate Configuration Merge Associate Records Add a New Associate

Name:

Associate Group:
  Competitor  Vendor  Animal Vendor  
 Purchaser  Supporter  Lab Supply Vendor  
 Research Affiliate  Subrecipient  Vet Supply Vendor  
 Sponsor

Associate Browse/Find:

208 result(s) found... 1 - 10

Delete	Edit	Internal Rec Num	Associate Name	Associate Abbrev.	Associate Group	Business Associate Type
		1	3-M Pharmaceuticals	Pharmaceuticals	Sponsor; Subrecipient;	Pharmaceutical
		2	A.G. Bessalear	AGB	Sponsor; Subrecipient;	Pharmaceutical
		3	Abbott Pharmaceutical	APharm	Sponsor; Subrecipient; Vet Supply Vendor;	Pharmaceutical
		150	Access Pharmaceuticals	AcPharm	Sponsor; Supporter; Subrecipient;	Pharmaceutical
		144	Achillon Pharmaceuticals Inc.		Sponsor;	Pharmaceutical
		149	Actelion Pharmaceuticals		Sponsor;	Pharmaceutical
		205	Albert Einstein School of Medicine		Subrecipient;	Business Associate

Open the applicable business associate record by clicking the icon in the **Edit** column for the corresponding record.

A panel with editable business associate fields opens, with sections for **Business Associate Contacts**, **Business Associate Risk Assessment** and **Business Associate F&A Rate History**.

My Workspaces Vivarium System Setup of Business Associate List Back Save Changes

Status: Active

Associate Group:
  Competitor  Vendor  Animal Vendor  
 Purchaser  Supporter  Lab Supply Vendor  
 Research Affiliate  Subrecipient  Vet Supply Vendor  
 Sponsor

Sponsor ID:

\*Associate Type Code:

Associate Type Description:

UCOP Sponsor Code:

Principal Business of Entity:

Familiar Name:

Legal Name:

Organization Name:

NIH Employer Identification Number (NIH EIN):

EIN:

DUNS:

Congressional District:

Cognizant Federal Agency Name:

POC Name:

POC Phone Number:

Risk Assigned:
  Low  Medium  
 High  Being Reviewed

Sponsor Exempt from CA's 700U Financial Disclosure Indicator:
  Yes  No

County/Parish:

State:

Province:

Country:

Zip/Postal Code:

Website Address:

Foreign Entity:  Yes  No

Level Code:

Level Description:

Reports to Sponsor Number:

Reports to Sponsor Name:

A133:
  A133 Greater Than 500K  A133 Non Profit  
 A133 Less Than 500K  A133 Unknown  
 A133 For Profit  A133 N/A  
 A133 Foreign

Notes:

Business Associate Contacts

Delete	Edit	Contact Name	Division
		Escalante, Moira	Oncology - Pharmaceuticals
		Chiang, Xi	R&D QA

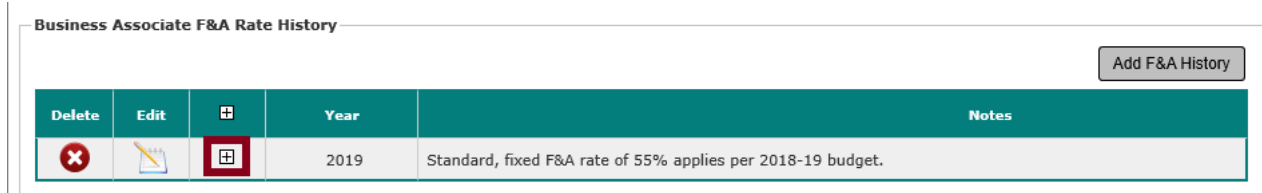
Business Associate Risk Assessment

Delete	Edit	Year	Risk Assessment	Notes
		2017	Level 1	Risk mitigated through implementation of HIPAA protocols.

Business Associate F&A Rate History

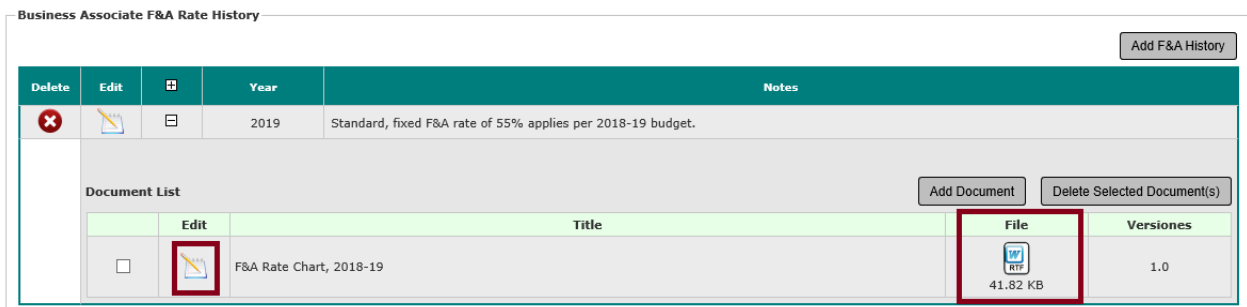
Delete	Edit	Year	Notes
		2019	Standard, fixed F&A rate of 55% applies per 2018-19 budget.

The bottom panel in the lower section of the **System Setup of Business Associate List** page is **Business Associate F&A Rate History**.



Click the plus sign to the left of a history entry to view details of documents attached to the history record.

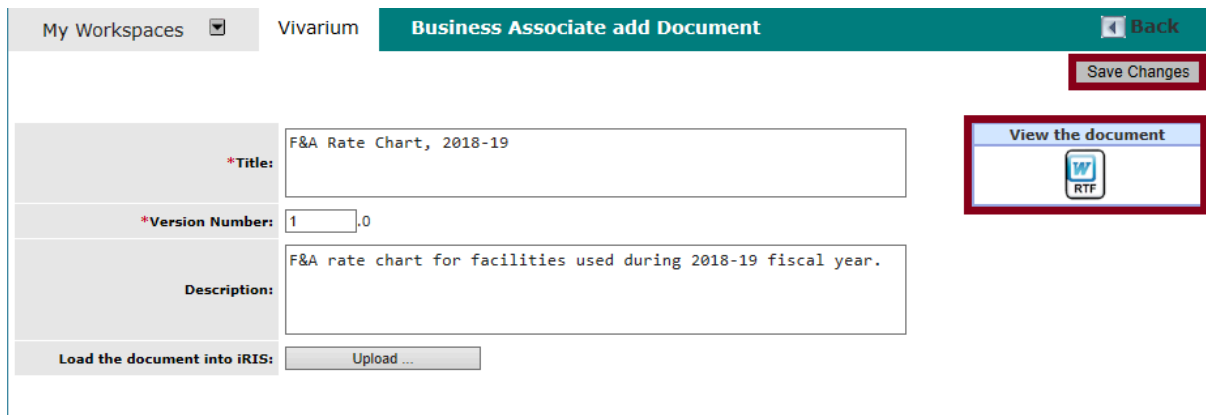
The **Document List** area is expanded, with options to view, add, edit or delete attachments.



Click the document icon in the **File** column to download a copy of the attachment.

Click the icon in the **Edit** column to the left of an attachment to view or edit attachment details.

The **Business Associate add Document** panel for the attachment opens, with editable fields.



**Title**, **Version Number** and **Description** fields can be edited in this panel and the **Upload...** button is enabled. Any file uploaded here will replace any existing file already attached to the selected document record.

Click the **Save Changes** button to save changes and close the panel.

## Add F&A Rate History Document

Navigate to Animal Resource Center > Review Board Administration and click the **Business Associate List** link.

The screenshot shows the 'Board Administration' interface. At the top, there are tabs for 'System Setup', 'List Maintenance Setup', and 'Clean-up'. The 'System Setup' tab is active. Below the tabs, there are two columns of options. The left column is titled 'Review Board System Setup' and includes options like 'Board Definition', 'Board Configuration Options', 'Broadcast Notice', 'Business Associate List' (highlighted with a red arrow), 'Setup Committee List', 'Setup Review Board Roles', and 'Setup Role Access'. The right column is titled 'Review Board Notification Setup' and includes options like 'Animal Health Record Setup', 'Internal Transfer Originating PI Signoff Notification Setup', 'Internal & External Transfer Coordinator Signoff Notification Setup', 'Internal & External Transfer Veterinarian Signoff Notification Setup', 'Overdue Tasks Notification', and 'Task Assignment Notification'.

The **System Setup of Business Associate List** page is opened.

The screenshot shows the 'System Setup of Business Associate List' page. At the top, there are tabs for 'My Workspaces' and 'Vivarium'. The 'System Setup of Business Associate List' tab is active. Below the tabs, there are buttons for 'Download Associate Configuration Template', 'Upload Associate Configuration', 'Merge Associate Records', and 'Add a New Associate'. There is a search area with a 'Name' field and an 'Associate Group' section with checkboxes for various roles: Competitor, Vendor, Animal Vendor, Purchaser, Supporter, Lab Supply Vendor, Research Affiliate, Subrecipient, Vet Supply Vendor, and Sponsor. A 'Find ...' button is also present. Below the search area, it says '208 result(s) found...'. At the bottom, there is a table with the following columns: Delete, Edit, Internal Rec Num, Associate Name, Associate Abbrev., Associate Group, and Business Associate Type. The 'Edit' column is highlighted with a red box.

Delete	Edit	Internal Rec Num	Associate Name	Associate Abbrev.	Associate Group	Business Associate Type
		1	3-M Pharmaceuticals	Pharmaceuticals	Sponsor; Subrecipient;	Pharmaceutical
		2	A.G. Bessalear	AGB	Sponsor; Subrecipient;	Pharmaceutical
		3	Abbott Pharmaceutical	APharm	Sponsor; Subrecipient; Vet Supply Vendor;	Pharmaceutical
		150	Access Pharmaceuticals	AcPharm	Sponsor; Supporter; Subrecipient;	Pharmaceutical
		144	Achillon Pharmaceuticals Inc.		Sponsor;	Pharmaceutical
		149	Actelion Pharmaceuticals		Sponsor;	Pharmaceutical
		205	Albert Einstein School of Medicine		Subrecipient;	Business Associate

Open the applicable business associate record by clicking the icon in the **Edit** column for the corresponding record.

A panel with editable business associate fields opens, with sections for **Business Associate Contacts**, **Business Associate Risk Assessment** and **Business Associate F&A Rate History**.

My Workspaces | Vivanium | System Setup of Business Associate List | Back

Save Changes

Status: Active

Associate Group:
 Competitor
 Purchaser
 Research Affiliate
 Sponsor
 Vendor
 Supporter
 Subrecipient
 Animal Vendor
 Lab Supply Vendor
 Vet Supply Vendor

Sponsor ID: \_\_\_\_\_

\*Associate Type Code: Pharmaceutical

Associate Type Description: \_\_\_\_\_

UCOP Sponsor Code: 12859

Principal Business of Entity: Research Funding

Familiar Name: 3M

Legal Name: 3-M Pharmaceuticals

Organization Name: 3-M Pharmaceuticals

NIH Employer Identification Number (NIH EIN): \_\_\_\_\_

EIN: 12-25896

DUNS: 8546628

Congressional District: \_\_\_\_\_

Cognizant Federal Agency Name: \_\_\_\_\_

POC Name: \_\_\_\_\_

POC Phone Number: \_\_\_\_\_

Risk Assigned:
 Low
 Medium
 High
 Being Reviewed

Sponsor Exempt from CA's 700L Financial Disclosure Indicator:
 Yes
 No

County/Parish: San Bernardino

State: CA: California

Province: N/A

Country: USA-UNITED STATES

Zip/Postal Code: 92373

Website Address: www.3m.org

Foreign Entity:
 Yes
 No

Level Code: 45852

Level Description: \_\_\_\_\_

Reports to Sponsor Number: 102

Reports to Sponsor Name: Jim

A133:
 A133 Greater Than 500K
 A133 Non Profit
 A133 Less Than 500K
 A133 Unknown
 A133 For Profit
 A133 N/A
 A133 Foreign

Notes: \_\_\_\_\_

Business Associate Contacts

Add a New Business Associate Contact

Delete	Edit	Contact Name	Division
		Escalante, Moira	Oncology - Pharmaceuticals
		Chiang, Xi	R&D QA

Business Associate Risk Assessment

Add A133 History

Delete	Edit	Year	Risk Assessment	Notes
		2017	Level 1	Risk mitigated through implementation of HIPAA protocols.

Business Associate F&A Rate History

Add F&A History

Delete	Edit	Year	Notes
		2019	Standard, fixed F&A rate of 55% applies per 2018-19 budget.

The bottom panel in the lower section of the **System Setup of Business Associate List** page is **Business Associate F&A Rate History**.

Business Associate F&A Rate History

Add F&A History

Delete	Edit	+	Year	Notes
			2019	Standard, fixed F&A rate of 55% applies per 2018-19 budget.

Click the plus sign to the left of a history entry to view details of documents attached to the history record.

The **Document List** area is expanded, with options to view, add, edit or delete attachments.

Business Associate F&A Rate History Add F&A History

Delete	Edit	+	Year	Notes
			2019	Standard, fixed F&A rate of 55% applies per 2018-19 budget.

Document List Add Document

	Edit	Title	File	Versions
<input type="checkbox"/>		F&A Rate Chart, 2018-19	 41.82 KB	1.0

Click the **Add Document** button. The **Business Associate add Document** panel opens for upload of a supporting document.

My Workspaces Vivarium Business Associate add Document Back

**\*Title:**

**\*Version Number:** .0

**Description:**

**Load the document into iRIS:**

Enter a **Title**, **Version Number** and **Description** for the document to be uploaded, then click the **Upload...** button.

My Workspaces Vivarium Business Associate add Document Back

**\*Title:**

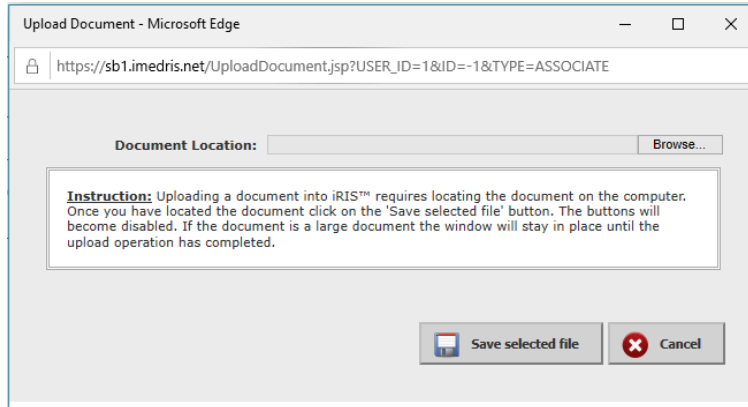
**\*Version Number:** .0

**Description:**

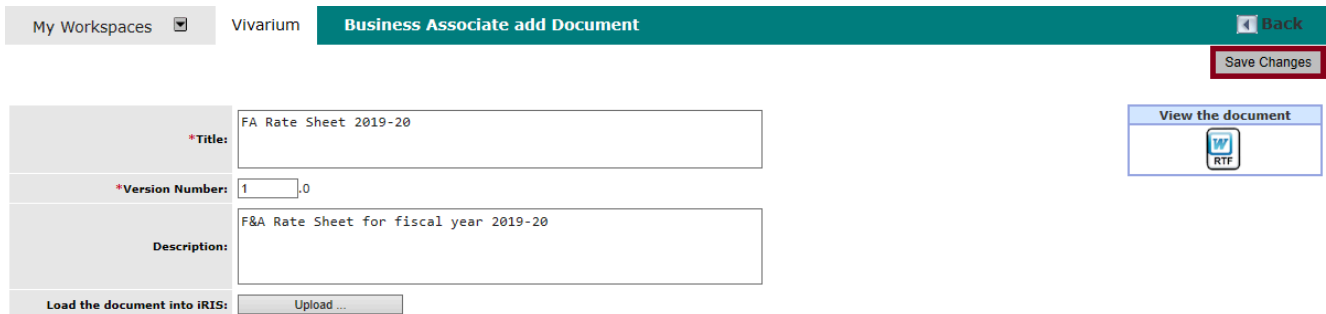
**Load the document into iRIS:**

An **Upload Document** popup window appears. Click the **Browse** button to navigate to the desired document file. Any file uploaded here will be added to the F&A history. Any previously uploaded document for the selected F&A Rate History record remains in place and is not replaced by this upload.

When the location of the desired attachment appears in the **Document Location** field, click the **Save selected file** button to complete the upload. Click the **Cancel** button to close the popup without uploading the document.



The document is uploaded and attached to the F&A record.



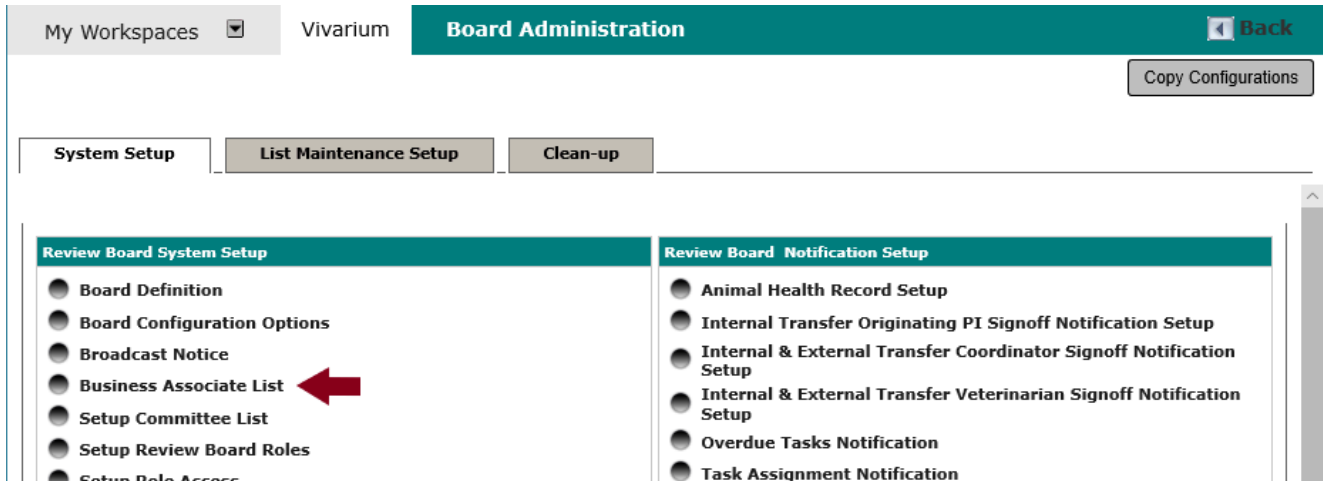
Click the icon in the **View the document** panel to view the attached document. Click the **Save Changes** button to close the add panel and save the document to the F&A Rate History record. As shown below, the new document is added to the **Document List**.

Business Associate F&A Rate History Add F&A History

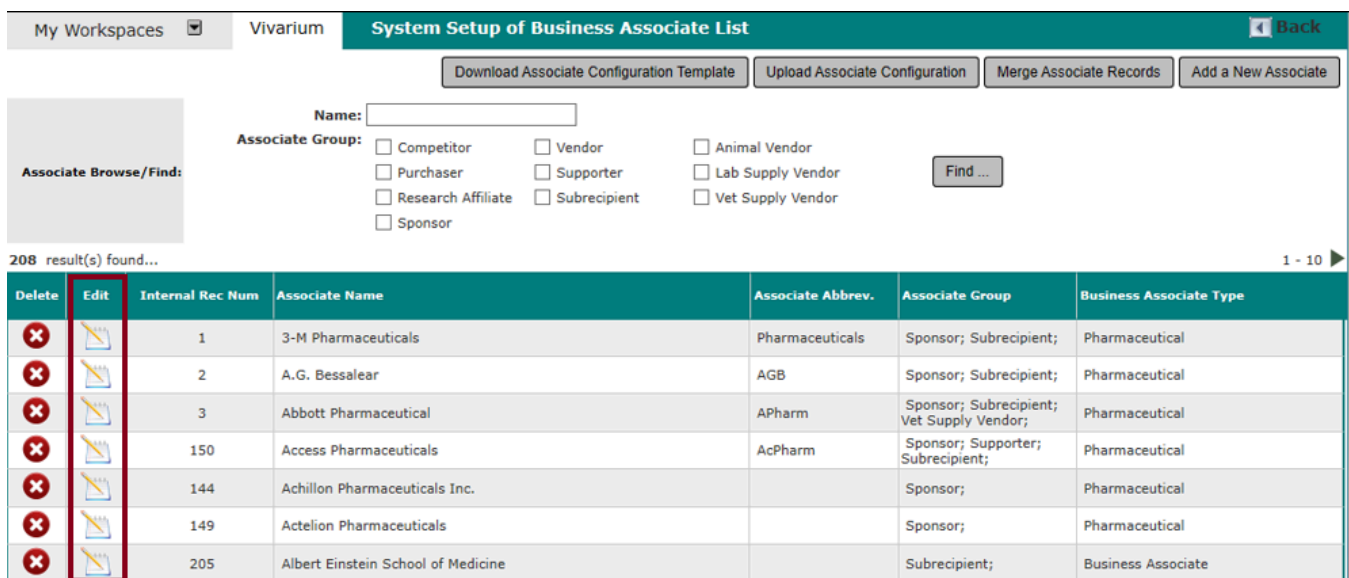
Delete	Edit		Year	Notes															
			2019	Standard, fixed F&A rate of 55% applies per 2018-19 budget.															
<div style="display: flex; justify-content: space-between; align-items: center;"> <div> <p>Document List</p> <table border="1"> <thead> <tr> <th></th> <th>Edit</th> <th>Title</th> <th>File</th> <th>Versiones</th> </tr> </thead> <tbody> <tr> <td><input type="checkbox"/></td> <td></td> <td>F&amp;A Rate Chart, 2018-19</td> <td> 41.82 KB</td> <td>1.0</td> </tr> <tr> <td><input type="checkbox"/></td> <td></td> <td>FA Rate Sheet 2019-20</td> <td> 41.82 KB</td> <td>1.0</td> </tr> </tbody> </table> </div> <div> <p>Add Document <span style="margin-left: 20px;">Delete Selected Document(s)</span></p> </div> </div>						Edit	Title	File	Versiones	<input type="checkbox"/>		F&A Rate Chart, 2018-19	41.82 KB	1.0	<input type="checkbox"/>		FA Rate Sheet 2019-20	41.82 KB	1.0
	Edit	Title	File	Versiones															
<input type="checkbox"/>		F&A Rate Chart, 2018-19	41.82 KB	1.0															
<input type="checkbox"/>		FA Rate Sheet 2019-20	41.82 KB	1.0															

### Delete F&A Rate History Document

Navigate to Animal Resource Center > Review Board Administration and click the **Business Associate List** link.



The **System Setup of Business Associate List** page is opened.



Open the applicable business associate record by clicking the icon in the **Edit** column for the corresponding record.

A panel with editable business associate fields opens, with sections for **Business Associate Contacts**, **Business Associate Risk Assessment** and **Business Associate F&A Rate History**.

My Workspaces | Vivanium | System Setup of Business Associate List | Back

Save Changes

Status: Active

Associate Group:
 Competitor
 Purchaser
 Research Affiliate
 Sponsor
 Vendor
 Supporter
 Subrecipient
 Animal Vendor
 Lab Supply Vendor
 Vet Supply Vendor

Sponsor ID: \_\_\_\_\_

\*Associate Type Code: Pharmaceutical

Associate Type Description: \_\_\_\_\_

UCOP Sponsor Code: 12859

Principal Business of Entity: Research Funding

Familiar Name: 3M

Legal Name: 3-M Pharmaceuticals

Organization Name: 3-M Pharmaceuticals

NIH Employer Identification Number (NIH EIN): \_\_\_\_\_

EIN: 12-25896

DUNS: 8546628

Congressional District: \_\_\_\_\_

Cognizant Federal Agency Name: \_\_\_\_\_

POC Name: \_\_\_\_\_

POC Phone Number: \_\_\_\_\_

Risk Assigned:
 Low
 Medium
 High
 Being Reviewed

Sponsor Exempt from CA's 700L Financial Disclosure Indicator:
 Yes
 No

County/Parish: San Bernardino

State: CA: California

Province: N/A

Country: USA-UNITED STATES

Zip/Postal Code: 92373

Website Address: www.3m.org

Foreign Entity:
 Yes
 No

Level Code: 45852

Level Description: \_\_\_\_\_

Reports to Sponsor Number: 102

Reports to Sponsor Name: Jim

A133:
 A133 Greater Than 500K
 A133 Non Profit
 A133 Less Than 500K
 A133 Unknown
 A133 For Profit
 A133 Foreign
 A133 N/A

Notes: \_\_\_\_\_

Business Associate Contacts

Add a New Business Associate Contact

Delete	Edit	Contact Name	Division
		Escolante, Moira	Oncology - Pharmaceuticals
		Chiang, Xi	R&D QA

Business Associate Risk Assessment

Add A133 History

Delete	Edit	Year	Risk Assessment	Notes
		2017	Level 1	Risk mitigated through implementation of HIPAA protocols.

Business Associate F&A Rate History

Add F&A History

Delete	Edit	Year	Notes
		2019	Standard, fixed F&A rate of 55% applies per 2018-19 budget.

The bottom panel in the lower section of the **System Setup of Business Associate List** page is **Business Associate F&A Rate History**.

Business Associate F&A Rate History

Add F&A History

Delete	Edit	+	Year	Notes
			2019	Standard, fixed F&A rate of 55% applies per 2018-19 budget.

Click the plus sign to the left of a history entry to view details of documents attached to the history record.

The **Document List** area is expanded, with options to view, add, edit or delete attachments.

Business Associate F&A Rate History

Add F&A History

Delete	Edit	+	Year	Notes
			2019	Standard, fixed F&A rate of 55% applies per 2018-19 budget.

Document List

Add Document Delete Selected Document(s)

Edit	Title	File	Versions
	F&A Rate Chart, 2018-19	41.82 KB	1.0
	FA Rate Sheet 2019-20	41.82 KB	1.0

Select the checkbox(es) for the document(s) to be deleted and click the **Delete Selected Document(s)** button.

The screenshot shows the 'Business Associate F&A Rate History' page. At the top right is an 'Add F&A History' button. Below it is a table with columns: Delete (with a red X icon), Edit (with a pencil icon), a plus icon, Year (2019), and Notes (Standard, fixed F&A rate of 55% applies per 2018-19 budget.). Below this is a 'Document List' section. It contains a table with columns: Edit (with a pencil icon), Title (F&A Rate Chart, 2018-19), File (with a Word icon, 41.82 KB), and Versions (1.0). A red box highlights the checkbox in the 'Edit' column of the first row. To the right of the table are two buttons: 'Add Document' and 'Delete Selected Document(s)', with the latter highlighted in red.

A confirmation popup displays.

The confirmation popup is a light gray dialog box with a close button (X) in the top right corner. The text inside reads: 'This site says...' followed by 'Confirm the Deletion. Are you sure you want to delete?'. At the bottom, there are two buttons: 'OK' and 'Cancel'.

Click the **CANCEL** button to return to the **System Setup of Business Associate List** page without deleting the document.

Click the **OK** button to confirm deletion and return to the **System Setup of Business Associate List** page. The document is deleted from the **Document List** section.

This screenshot is identical to the previous one, but the 'Delete Selected Document(s)' button is no longer highlighted. The 'Document List' table still shows the 'F&A Rate Chart, 2018-19' document.

## Edit Business Associate F&A Rate History

Navigate to Animal Resource Center > Review Board Administration and click the **Business Associate List** link.

My Workspaces Vivarium **Board Administration** Back

**System Setup** | **List Maintenance Setup** | **Clean-up**

**Review Board System Setup**

- Board Definition
- Board Configuration Options
- Broadcast Notice
- Business Associate List
- Setup Committee List
- Setup Review Board Roles
- Setup Role Access

**Review Board Notification Setup**

- Animal Health Record Setup
- Internal Transfer Originating PI Signoff Notification Setup
- Internal & External Transfer Coordinator Signoff Notification Setup
- Internal & External Transfer Veterinarian Signoff Notification Setup
- Overdue Tasks Notification
- Task Assignment Notification

Click the icon for the applicable business associate in the **Edit** column.

Delete	Edit	Internal Rec Num	Associate Name	Associate Abbrev.	Associate Group	Business Associate Type
		1	3-M Pharmaceuticals	Pharmaceuticals	Sponsor; Subrecipient;	Pharmaceutical
		2	A.G. Bessalear	AGB	Sponsor; Subrecipient;	Pharmaceutical
		3	Abbott Pharmaceutical	APharm	Sponsor; Subrecipient; Vet Supply Vendor;	Pharmaceutical
		150	Access Pharmaceuticals	AcPharm	Sponsor; Supporter; Subrecipient;	Pharmaceutical
		144	Achillon Pharmaceuticals Inc.		Sponsor;	Pharmaceutical
		149	Actelion Pharmaceuticals		Sponsor;	Pharmaceutical
		205	Albert Einstein School of Medicine		Subrecipient;	Business Associate

The **System Setup of Business Associate List** page is opened.

**Status:** Active

**Associate Group:**

Competitor     Vendor     Animal Vendor

Purchaser     Supporter     Lab Supply Vendor

Research Affiliate     Subrecipient     Vet Supply Vendor

Sponsor

**Sponsor ID:** \_\_\_\_\_

**\*Associate Type Code:** Pharmaceutical

**Associate Type Description:** \_\_\_\_\_

**UCOP Sponsor Code:** 12859

**Principal Business of Entity:** Research Funding

**Familiar Name:** 3M

**Legal Name:** 3M Pharmaceuticals

**Organization Name:** 3M Pharmaceuticals

**NIH Employer Identification Number (NIH EIN):** \_\_\_\_\_

**EIN:** 12-25896

**DUNS:** 85489528

**Congressional District:** \_\_\_\_\_

**Cognizant Federal Agency Name:** \_\_\_\_\_

**POC Name:** \_\_\_\_\_

**POC Phone Number:** \_\_\_\_\_

**Risk Assigned:**  Low  Medium  High  Being Reviewed

**Sponsor Exempt from CA's 7000 Financial Disclosure Indicators:**  Yes  No

**County/Parish:** San Bernardino

**State:** CA: California

**Province:** N/A

**Country:** USA: UNITED STATES

**Zip/Postal Code:** 92373

**Website Address:** www.3m.org

**Foreign Entity:**  Yes  No

**Level Code:** 45852

**Level Description:** \_\_\_\_\_

**Reports to Sponsor Number:** 102

**Reports to Sponsor Name:** Jim

**A133:**

A133 Greater Than 500K     A133 Non Profit

A133 Less Than 500K     A133 Unknown

A133 For Profit     A133 N/A

A133 Foreign

**Notes:** \_\_\_\_\_

**Business Associate Contacts** Add a New Business Associate Contact

Delete	Edit	Contact Name	Division
		Escalante, Moira	Oncology - Pharmaceuticals
		Chiang, Xi	R&D QA

**Business Associate Risk Assessment** Add A133 History

Delete	Edit	Year	Risk Assessment	Notes
		2017	Level 1	Risk mitigated through implementation of HIPAA protocols.

**Business Associate F&A Rate History** Add F&A History

Delete	Edit	Year	Notes
		2019	Standard, fixed F&A rate of 55% applies per 2018-19 budget.

Click the icon in the **Edit** column for the applicable record in the **Business Associate F&A Rate History** section.

**Business Associate F&A Rate History** Add F&A History

Delete	Edit	Year	Notes
		2019	Standard, fixed F&A rate of 55% applies per 2018-19 budget.

The record is opened in a panel with editable fields. Make desired edits in the fields.

My Workspaces ▼ Vivarium **System Setup of Business Associate List** Back

Cancel And Return Save Changes

**\*Year:**

**Notes:**

Click the **Cancel and Return** button to close the panel without saving changes.

Click the **Save Changes** button to save changes and close the panel. The **Business Associate add Document** panel opens for upload of a supporting document.

My Workspaces ▾ Vivarium **Business Associate add Document** Back

Save Changes

\*Title:

\*Version Number: .0

Description:

Load the document into iRIS:

View the document

Enter a **Title**, **Version Number** and **Description** for the document to be uploaded, then click the **Upload...** button.

My Workspaces ▾ Vivarium **Business Associate add Document** Back

Save Changes

\*Title: F&A Rate Chart, 2018-19

\*Version Number: 1.0

Description: F&A rate chart for facilities used during 2018-19 fiscal year.

Load the document into iRIS:

View the document

An **Upload Document** popup window appears.

Upload Document - Microsoft Edge

https://sb1.imedris.net/UploadDocument.jsp?USER\_ID=1&iD=-1&TYPE=ASSOCIATE

Document Location:  Browse...

**Instruction:** Uploading a document into iRIS™ requires locating the document on the computer. Once you have located the document click on the 'Save selected file' button. The buttons will become disabled. If the document is a large document the window will stay in place until the upload operation has completed.

Save selected file Cancel

Click the **Cancel** button to close the popup without uploading the document.

Click the **Browse** button to navigate to the desired document file. Any file uploaded here will be added to the F&A history. Any previously uploaded document for the selected F&A Rate History record remains in place and is *not* replaced by this upload.

When the location of the desired attachment appears in the **Document Location** field, click the **Save selected file** button to complete the upload.

The document is uploaded and attached to the F&A record.

The screenshot shows a web interface for adding a document to a Business Associate record. The page title is "Business Associate add Document". There are navigation elements: "My Workspaces" (dropdown), "Vivarium", and a "Back" button. A "Save Changes" button is highlighted with a red box. The form contains the following fields:

- \*Title:** F&A Rate Chart, 2018-19
- \*Version Number:** 1 .0
- Description:** F&A rate chart for facilities used during 2018-19 fiscal year.

At the bottom, there is a "Load the document into iRIS:" section with an "Upload ..." button. To the right, a "View the document" panel is highlighted with a red box, containing a document icon with "W" and "RTF" labels.

Click the icon in the **View the document** panel to view the attached document. Click the **Save Changes** button to close the page and save changes to the Business Associate F&A Rate History record.

## Delete Business Associate F&A Rate History

To delete a business associate F&A history record, navigate to Animal Resource Center > Review Board Administration and click the **Business Associate List** link.

The screenshot shows the "Board Administration" page. The page title is "Board Administration". There are navigation elements: "My Workspaces" (dropdown), "Vivarium", and a "Back" button. A "Copy Configurations" button is visible. The page is divided into three tabs: "System Setup", "List Maintenance Setup", and "Clean-up". Under "List Maintenance Setup", there are two columns of links:

- Review Board System Setup**
  - Board Definition
  - Board Configuration Options
  - Broadcast Notice
  - Business Associate List** (highlighted with a red arrow)
  - Setup Committee List
  - Setup Review Board Roles
  - Setup Role Access
- Review Board Notification Setup**
  - Animal Health Record Setup
  - Internal Transfer Originating PI Signoff Notification Setup
  - Internal & External Transfer Coordinator Signoff Notification Setup
  - Internal & External Transfer Veterinarian Signoff Notification Setup
  - Overdue Tasks Notification
  - Task Assignment Notification

Click the icon for the applicable business associate in the **Edit** column.

Delete	Edit	Internal Rec Num	Associate Name	Associate Abbrev.	Associate Group	Business Associate Type
		1	3-M Pharmaceuticals	Pharmaceuticals	Sponsor; Subrecipient;	Pharmaceutical
		2	A.G. Bessalear	AGB	Sponsor; Subrecipient;	Pharmaceutical
		3	Abbott Pharmaceutical	APharm	Sponsor; Subrecipient; Vet Supply Vendor;	Pharmaceutical
		150	Access Pharmaceuticals	AcPharm	Sponsor; Supporter; Subrecipient;	Pharmaceutical
		144	Achillon Pharmaceuticals Inc.		Sponsor;	Pharmaceutical
		149	Actelion Pharmaceuticals		Sponsor;	Pharmaceutical
		205	Albert Einstein School of Medicine		Subrecipient;	Business Associate

The System Setup of Business Associate List page is opened.

My Workspaces ▾ Vivarium **System Setup of Business Associate List** Back

[Save Changes](#)

---

**Status:** Active

**Associate Group:**

Competitor     Vendor     Animal Vendor  
 Purchaser     Supporter     Lab Supply Vendor  
 Research Affiliate     Subrecipient     Vet Supply Vendor  
 Sponsor

**Sponsor ID:** \_\_\_\_\_

**\*Associate Type Code:** Pharmaceutical

**Associate Type Description:** \_\_\_\_\_

**UCOP Sponsor Code:** 12859

**Principal Business of Entity:** Research Funding

**Familiar Name:** 3M

**Legal Name:** 3-M Pharmaceuticals

**Organization Name:** 3-M Pharmaceuticals

**NIH Employer Identification Number (NEI EIN):** \_\_\_\_\_

**EIN:** 12-25896

**DUNS:** 85469528

**Congressional District:** \_\_\_\_\_

**Cognizant Federal Agency Name:** \_\_\_\_\_

**POC Name:** \_\_\_\_\_

**POC Phone Number:** \_\_\_\_\_

**Risk Assigned:**  Low  Medium  
 High  Being Reviewed

**Sponsor Exempt from CA's 700U Financial Disclosure Indicator:**  Yes  No

**County/Parish:** San Bernardino

**State:** CA: California

**Province:** N/A

**Country:** USA: UNITED STATES

**Zip/Postal Code:** 92373

**Website Address:** www.3m.org

**Foreign Entity:**  Yes  No

**Level Code:** 45852

**Level Description:** \_\_\_\_\_

**Reports to Sponsor Number:** 102

**Reports to Sponsor Name:** Jim

**A133:**

A133 Greater Than 500K     A133 Non Profit  
 A133 Less Than 500K     A133 Unknown  
 A133 For Profit     A133 N/A  
 A133 Foreign

**Notes:** \_\_\_\_\_

---

**Business Associate Contacts** [Add a New Business Associate Contact](#)

Delete	Edit	Contact Name	Division
		Escolante, Moira	Oncology - Pharmaceuticals
		Chiang, Xi	R&D QA

---

**Business Associate Risk Assessment** [Add A133 History](#)

Delete	Edit	Year	Risk Assessment	Notes
		2017	Level 1	Risk mitigated through implementation of HIPAA protocols.

---

**Business Associate F&A Rate History** [Add F&A History](#)

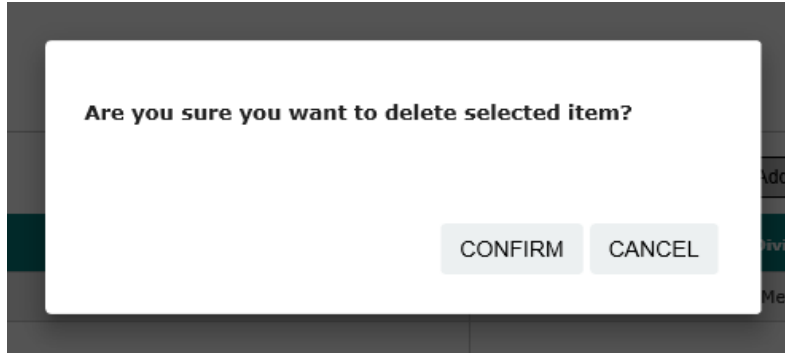
Delete	Edit	Year	Notes
		2019	Standard, fixed F&A rate of 55% applies per 2018-19 budget.

Click the icon in the **Delete** column for the applicable record in the **Business Associate F&A Rate History** section.

**Business Associate F&A Rate History** [Add F&A History](#)

Delete	Edit	Year	Notes
		2019	Standard, fixed F&A rate of 55% applies per 2018-19 budget.

A confirmation popup window displays.



Click the **CANCEL** button to cancel deletion.

Click the **CONFIRM** button to confirm deletion.

*Note that deleting an F&A history record also deletes any attachments saved to the record.*