



Animal Resource Center

Business Associate List

Software Version: 11.02.01

Manual Version: P2

Manual Published: 2/24/2020

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.

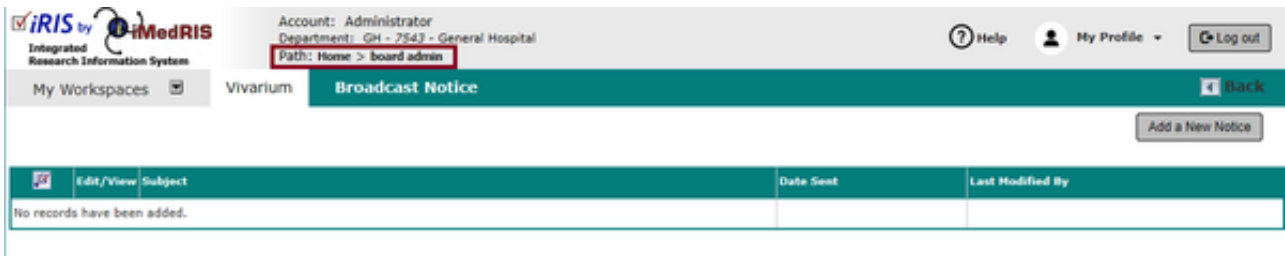
Path Directory Tree

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

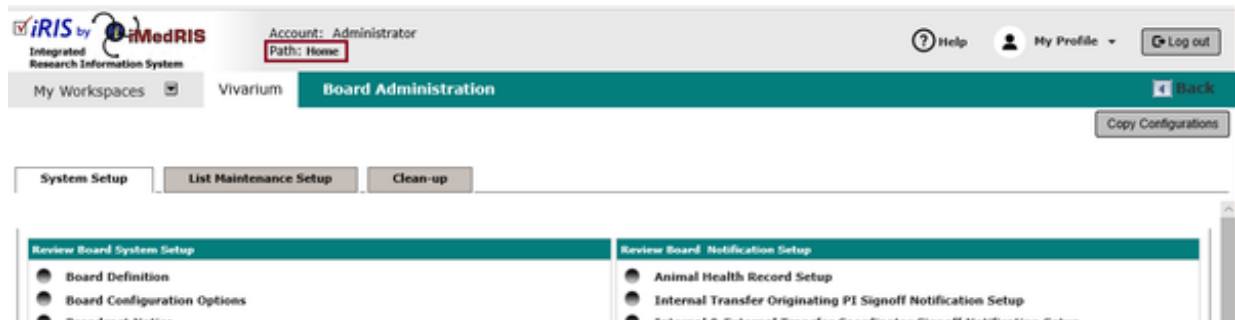
In the example shown the user is viewing the **Broadcast Notice Add a new notice** page. This page is nested three levels beneath the main workspace page, as indicated by the three links available in the **Path** directory tree: **Home**, **board admin** and **broadcast notice**.



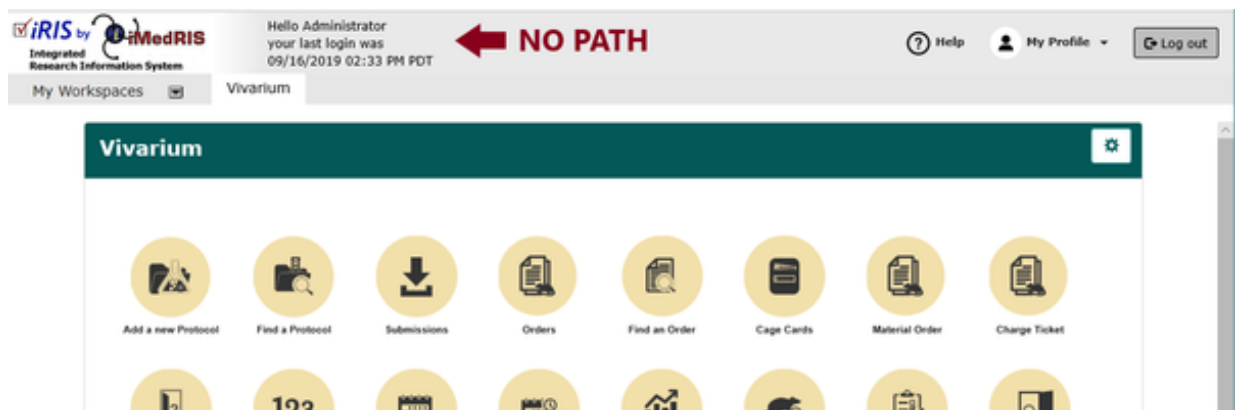
Click on **broadcast notice** in the **Path** to navigate up one level in the directory tree, to the main **Broadcast Notice** page. There are now two levels in the **Path** directory tree: **board admin** and **Home**.



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**.

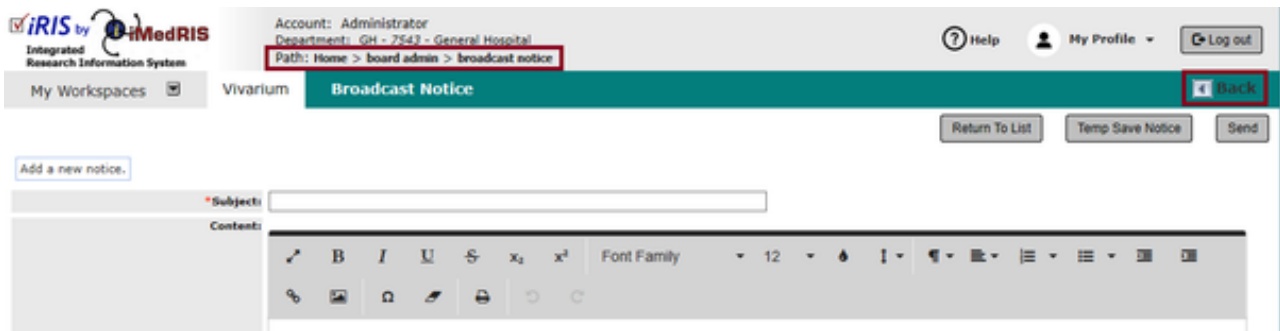


Click on **Home** in the **Path** to navigate up one level in the directory tree, to the main Workspace page. No Path item is displayed here because the user is now at the top-most level of the directory tree.

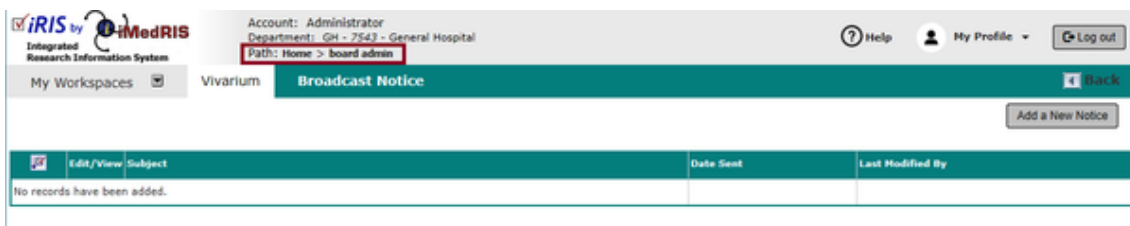


Back Button

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:

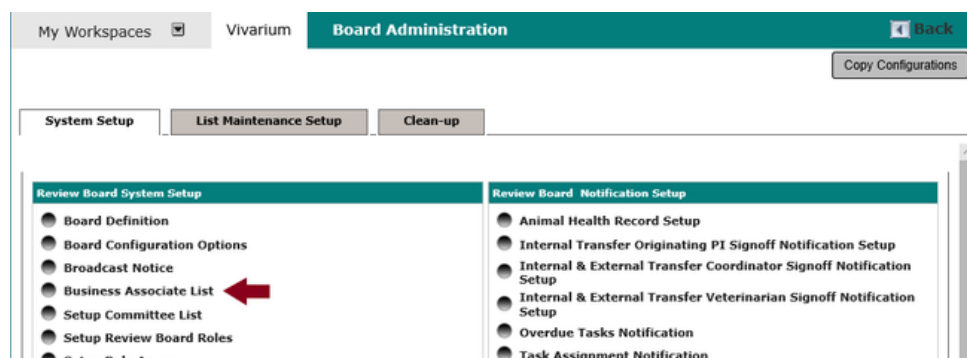


Clicking the **Back** button on the **Broadcast Notice** page returns the user to the Board Administration page, as indicated by the last link in the **Path** directory tree shown in the screenshot above.

*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.

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

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

Associate Browse/Find: 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
		1	3-M Pharmaceuticals	Pharmaceuticals	Sponsor; Subrecipient;	Pharmaceutical
		2	A.G. Bessafear	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	Actellon Pharmaceuticals		Sponsor;	Pharmaceutical
		205	Albert Einstein School of Medicine		Subrecipient;	Business Associate
		133	Allen Foundation		Sponsor;	Private - Non-profit
		4	Allergan		Sponsor;	Pharmaceutical
		5	Alliance Pharmaceutical		Sponsor;	Pharmaceutical

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.

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 opens.

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

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.

The screenshot shows a web-based form titled "System Setup of Business Associate List" within the "Vivarium" system. The form is organized into several sections. On the left, there are fields for "Associate Abrv", "Associate Name" (marked with a red asterisk), "Status" (set to "Deleted"), "Associate Groups" (a grid of checkboxes for various roles like Competitor, Vendor, Animal Vendor, etc.), "External Associate ID", and "Associate Type" (set to "--none--"). On the right, there are address-related fields: "Street 1", "Street 2", "City", "County/Parish", "State", "Province", "Country", and "Zip/Postal Code". A "Save Changes" button is located in the top right corner of the form area.

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.

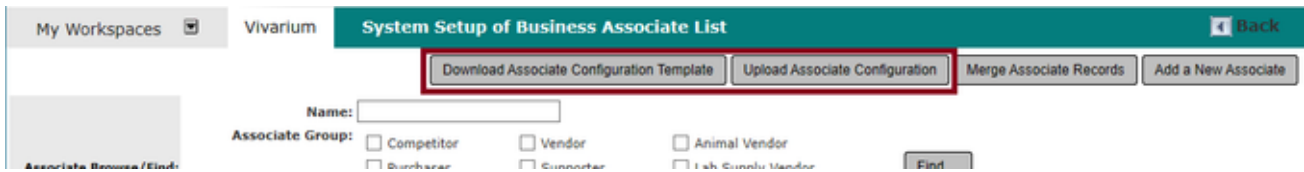
A close-up of the "Associate Type" dropdown menu. The menu is open, showing a list of options: "--none--", "01 - Federal", "02 - State", "03 - Other Government", "04 - Business/Profit Entity", "05 - Non-profit", "06 - Foundation/Charitable Trust", "07 - Higher Education", "08 - Campus Organization", "09 - Individual", "10 - Marketing Orders", "11 - Unfunded", "12 - Departmental", and "99 - Unassigned".

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

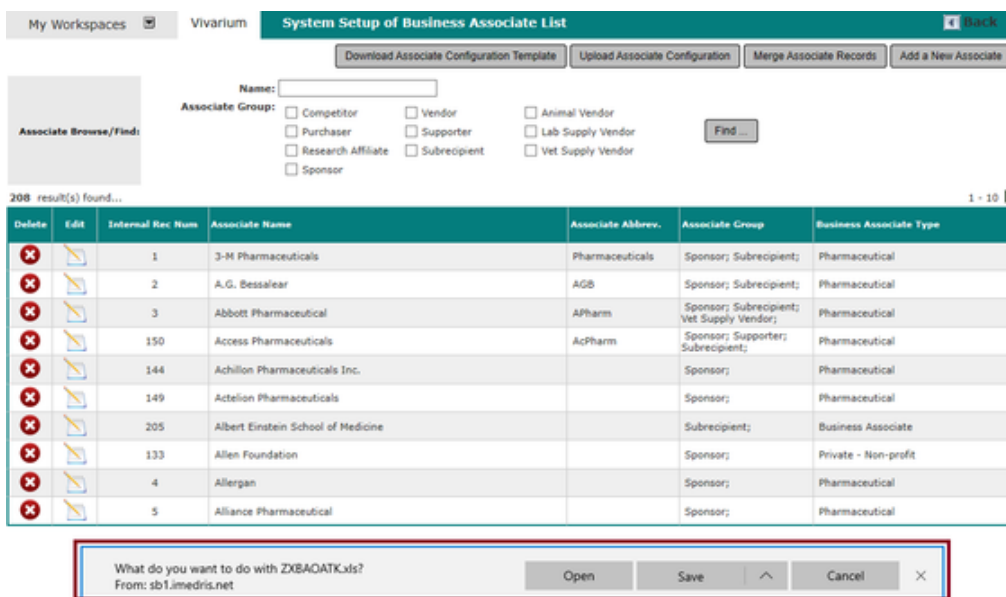
Click the **Save Changes** button in the add panel to add the new business associate record to the master list.

[Download / Upload Business Associates](#)

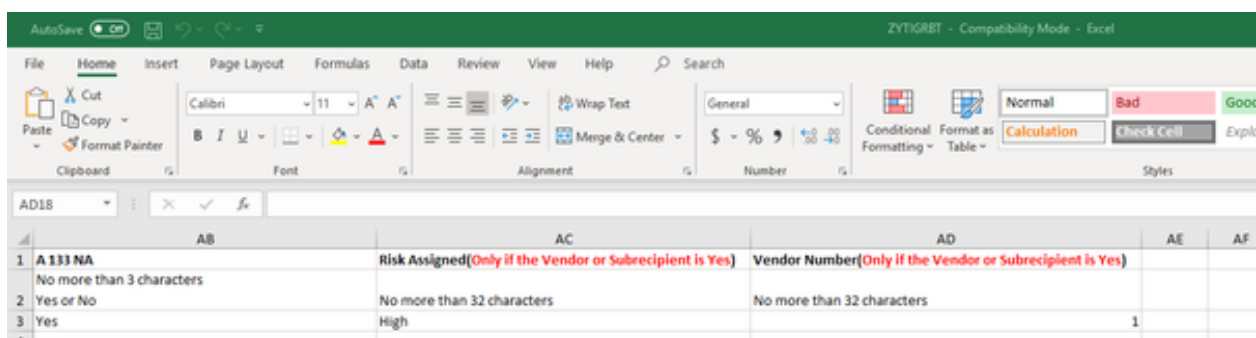
The **Download Associate Configuration Template** and **Upload Associate Configuration** buttons are used for adding multiple business associate entity records simultaneously, as a batch. Note that this method cannot fully populate each business associate entity record, as the template used for batch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

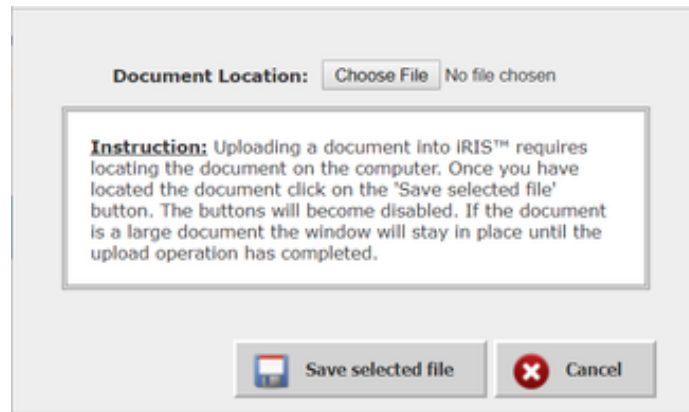


Click the **Save** button and save the template to a known location on the computer or network. Open the downloaded spreadsheet template and populate it for all business associate records to be uploaded.



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.



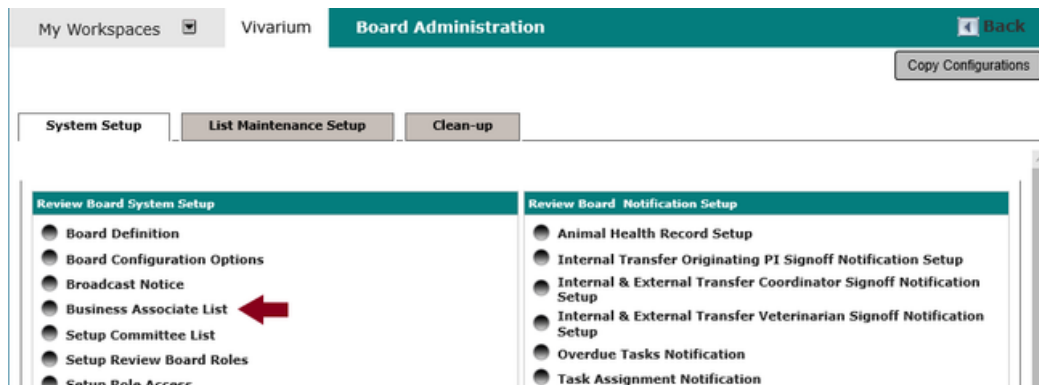
Click the **Choose File** button and navigate to the location of the spreadsheet template, then click the **Save Selected file** button in the popup window to complete the upload.

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

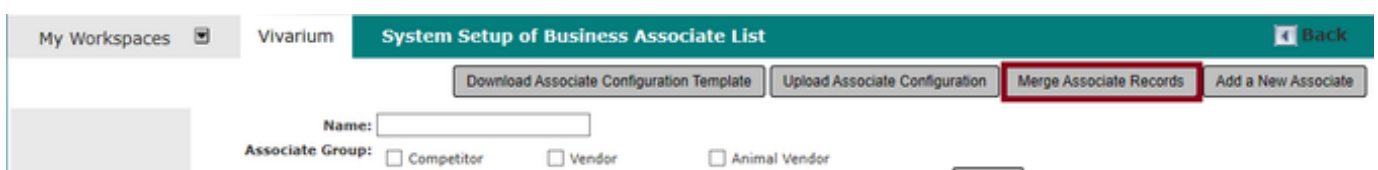
Merge Business Associate Records

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

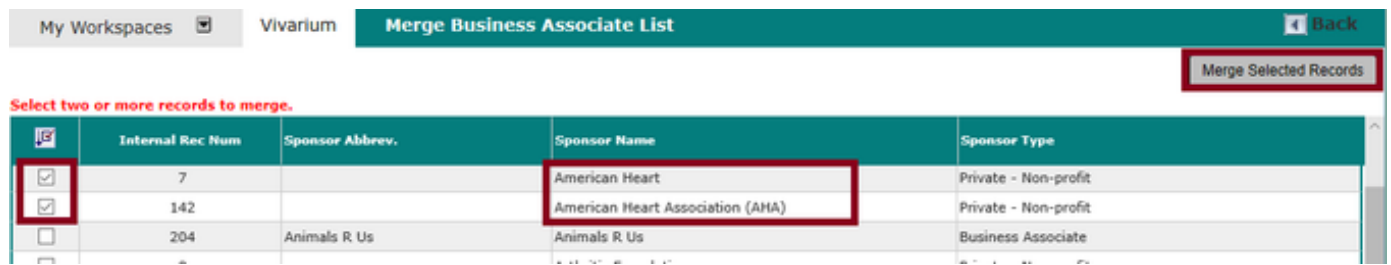
Navigate to ARC > Review Board Administration and click the **Business Associate List** link on the **System Setup** tab.



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

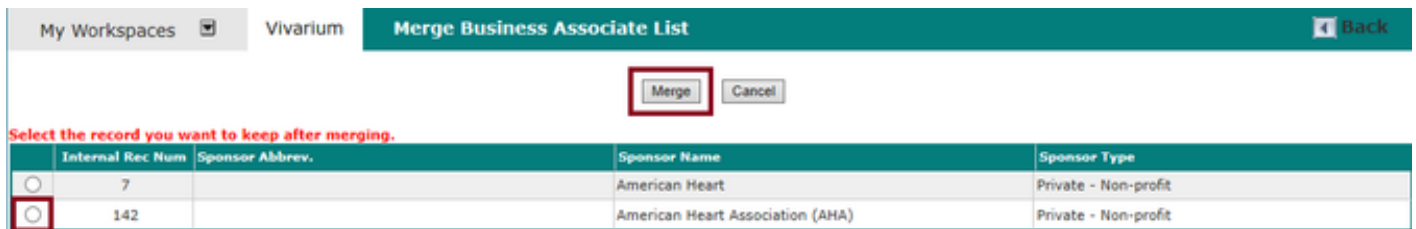


A list of existing business associate entity records is displayed, with select checkboxes in a column at left. To merge records, two or more checkboxes must be selected.



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.

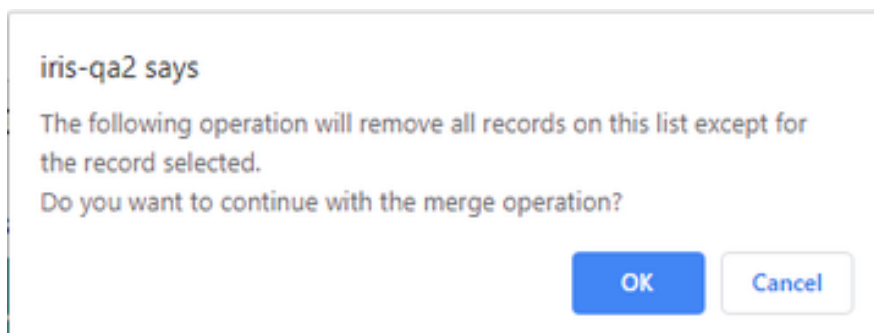
Click the **Merge Selected Records** button to continue to the next step. A panel containing all the records selected to merge appears.



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.



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

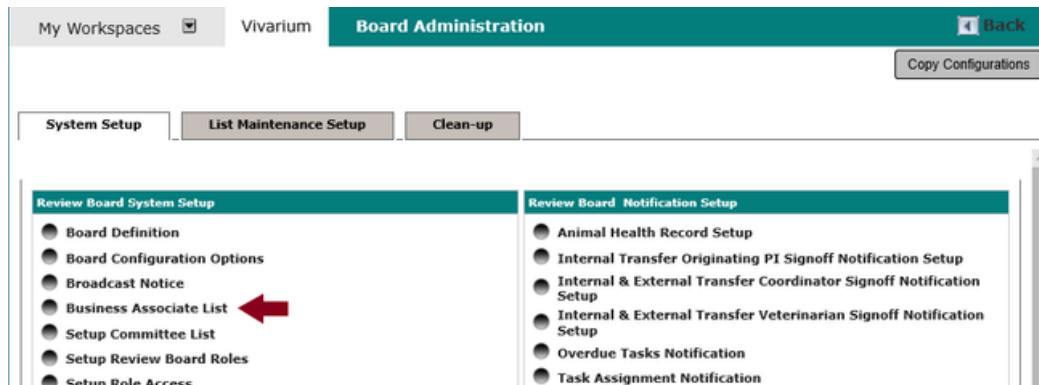
Click the **OK** button to confirm the merge.

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.

Save Changes

Associate ABrv: Pharmaceuticals	Street 1: 1234 Beasley Avenue
*Associate Name: 3M Pharmaceuticals	Street 2:
Short Name: 3M Pharmaceuticals	City: Redlands
Status: Active	County/Parish: San Bernardino
<input type="checkbox"/> Competitor <input type="checkbox"/> Purchaser <input type="checkbox"/> Research Affiliate <input checked="" type="checkbox"/> Sponsor	<input type="checkbox"/> Vendor <input type="checkbox"/> Supporter <input checked="" type="checkbox"/> Subrecipient <input type="checkbox"/> Vet Supply Vendor
Sponsor ID:	State: CA, California
*Associate Type Code: Pharmaceutical	Province: N/A
Associate Type Description:	Country: USA, UNITED STATES
UCDP Sponsor Code: 12859	Zip/Postal Code: 92373
Principal Business of Entity: Research Funding	Website Address: www.3m.org
Familiar Name: 3M	Foreign Entity: <input type="radio"/> Yes <input checked="" type="radio"/> No
Legal Name: 3M Pharmaceuticals	Level Code: 45852
Organization Name: 3M Pharmaceuticals	Level Description:
NEH Employer Identification Number(NEH EIN):	Reports to Sponsor Number: 192
EIN: 12-25896	Reports to Sponsor Name: Jim Broward
DUNS: 85469528	<input type="checkbox"/> A133 Greater Than 500K <input checked="" type="checkbox"/> A133 Less Than 500K <input type="checkbox"/> A133 For Profit <input type="checkbox"/> A133 Foreign
Congressional District:	<input type="checkbox"/> A133 Non Profit <input type="checkbox"/> A133 Unknown <input type="checkbox"/> A133 N/A
Cognizant Federal Agency Name:	Notes:
POC Name:	
POC Phone Number:	
Risk Assigned: <input checked="" type="radio"/> Low <input type="radio"/> Medium	
<input type="radio"/> High <input type="radio"/> Being Reviewed	
Sponsor Exempt from CA's 700U Financial Disclosure Indicator: <input type="radio"/> Yes <input checked="" type="radio"/> No	

Add a New Business Associate Contact

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

Add A133 History

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

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**.

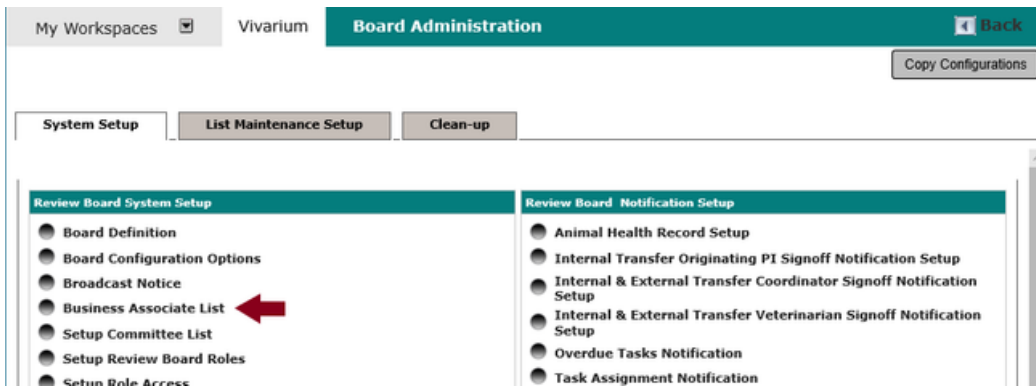
Business Associate Contacts

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™.

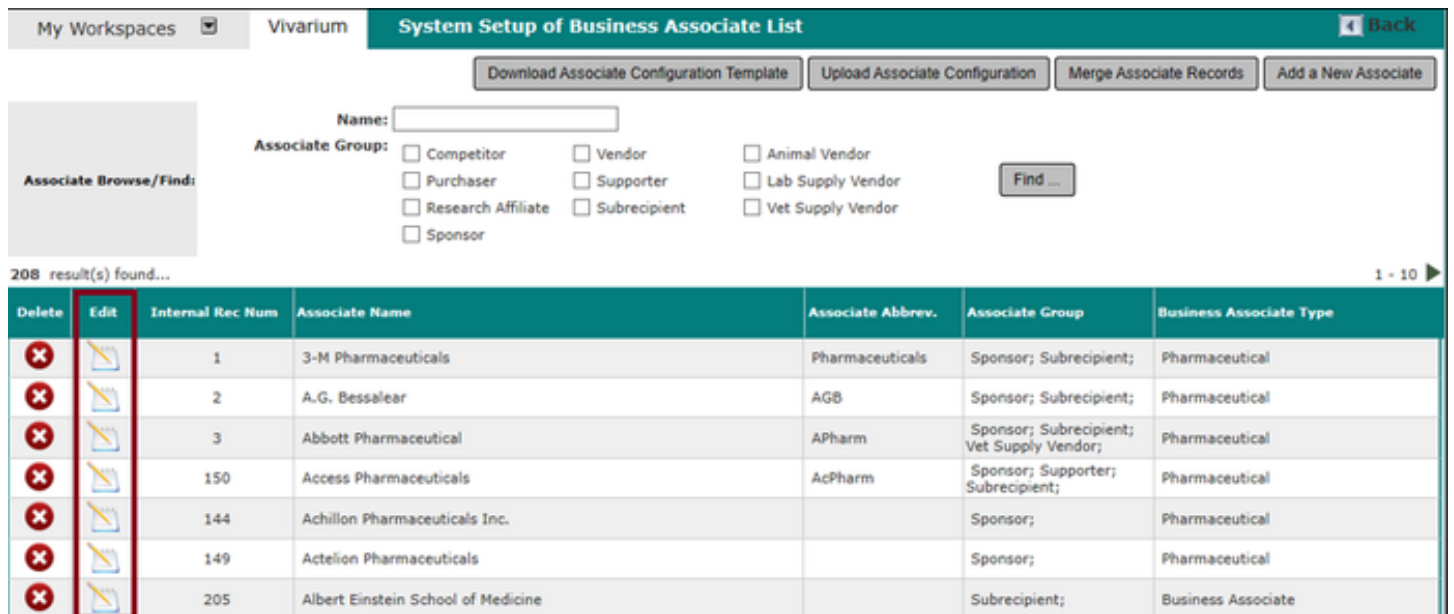
A business associate contact is a person who is designated as a point of contact for the entity.

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**.

Save Changes

Associate ABBV: Pharmaceuticals	Street 1: 1234 Beasley Avenue
*Associate Name: 3M Pharmaceuticals	Street 2:
Short Name: 3M Pharmaceuticals	City: Redlands
Status: Active	County/Parish: San Bernardino
Associate Group: <input type="checkbox"/> Competitor <input type="checkbox"/> Purchaser <input type="checkbox"/> Research Affiliate <input checked="" type="checkbox"/> Sponsor <input type="checkbox"/> Vendor <input type="checkbox"/> Supporter <input checked="" type="checkbox"/> Subrecipient <input type="checkbox"/> Animal Vendor <input type="checkbox"/> Lab Supply Vendor <input type="checkbox"/> Vet Supply Vendor	State: CA, California
Sponsor ID:	Province: N/A
*Associate Type Code: Pharmaceutical	Country: USA, UNITED STATES
Associate Type Description:	Zip/Postal Code: 92373
UCDP Sponsor Code: 12859	Website Address: www.3m.org
Principal Business of Entity: Research Funding	Foreign Entity: <input type="radio"/> Yes <input checked="" type="radio"/> No
Familiar Name: 3M	Level Code: 45852
Legal Name: 3M Pharmaceuticals	Level Description:
Organization Name: 3M Pharmaceuticals	Reports to Sponsor Number: 192
NEH Employer Identification Number(NEH EIN):	Reports to Sponsor Name: Jim Broward
EIN: 12-25096	<input type="checkbox"/> A133 Greater Than 500K <input checked="" type="checkbox"/> A133 Less Than 500K <input type="checkbox"/> A133 For Profit <input type="checkbox"/> A133 Foreign <input type="checkbox"/> A133 Non Profit <input type="checkbox"/> A133 Unknown <input type="checkbox"/> A133 N/A
DUNS: 85469528	Notes:
Congressional District:	
Cognizant Federal Agency Name:	
POC Name:	
POC Phone Number:	
Risk Assigned: <input checked="" type="radio"/> Low <input type="radio"/> Medium <input type="radio"/> High <input type="radio"/> Being Reviewed	
Sponsor Exempt from CA's 700U Financial Disclosure Indicator: <input type="radio"/> Yes <input checked="" type="radio"/> No	

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** 4 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.

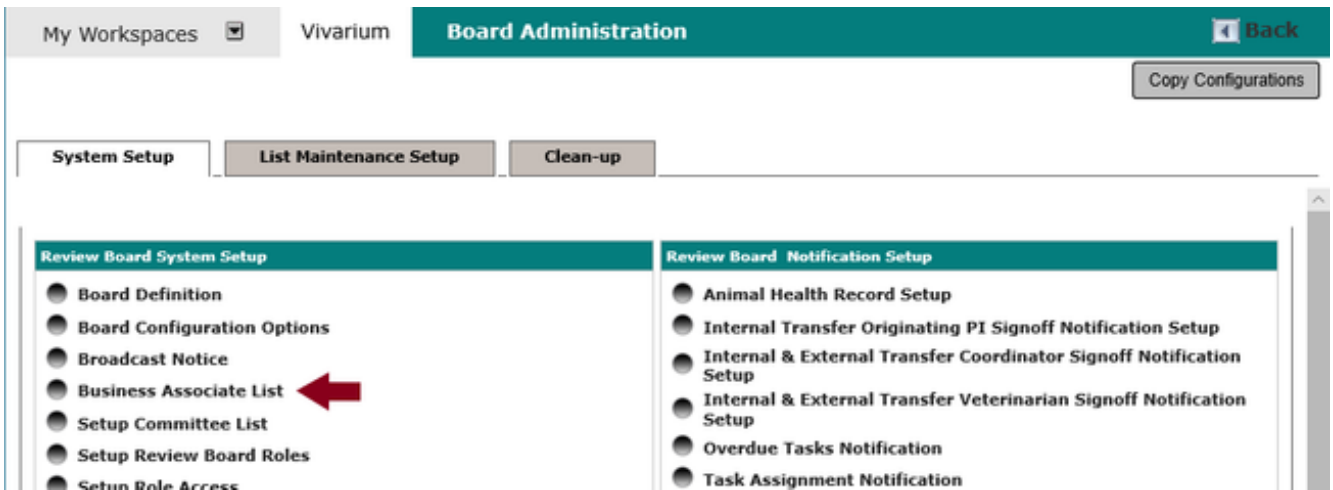
The new contact is added to the **Business Associate Contacts** section.

Business Associate Contacts Add a New Business Associate Contact

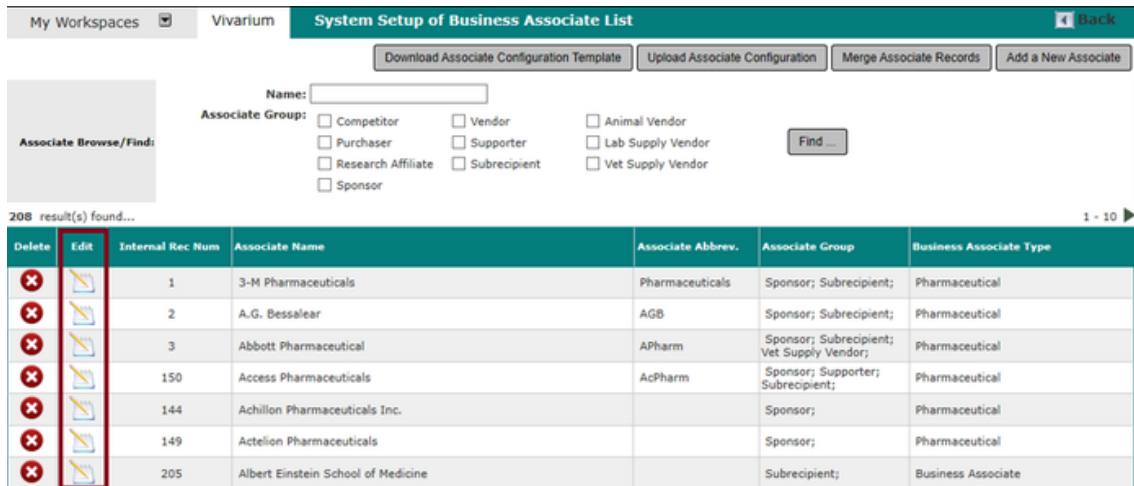
Delete	Edit	Contact Name	Division
		Escalante, Moira	Oncology - Pharmaceuticals
		Chiang, Xi	R&D QA
		Grady, James	Administrative

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**.

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

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

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.

Business Associate Contacts Add a New Business Associate Contact

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

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"> ● Board Definition ● Board Configuration Options ● Broadcast Notice ● Business Associate List ← ● Setup Committee List ● Setup Review Board Roles ● Setup Role Access 	<ul style="list-style-type: none"> ● 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

Associate Browse/Find:

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
		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** [Save Changes](#)

Associate Abbr: Pharmaceuticals	Street 1: 1234 Beasley Avenue
*Associate Name: 3-M Pharmaceuticals	Street 2:
Short Name: 3M Pharmaceuticals	City: Redlands
Status: Active	County/Parish: San Bernardino
Associate Group: <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	State: CA, California
Sponsor ID:	Province: N/A
*Associate Type Code: Pharmaceutical	Country: USA, UNITED STATES
Associate Type Description:	Zip/Postal Code: 92373
UCOP Sponsor Code: 12859	Website Address: www.3m.org
Principal Business of Entity: Research Funding	Foreign Entity: <input type="radio"/> Yes <input checked="" type="radio"/> No
Familiar Name: 3M	Level Code: 45852
Legal Name: 3-M Pharmaceuticals	Level Description:
Organization Name: 3-M Pharmaceuticals	Reports to Sponsor Number: 102
NEH Employer Identification Number(NEH EIN):	Reports to Sponsor Name: Jim Broward
EIN: 12-25896	<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
DUNS: 85469523	<input type="checkbox"/> A133 For Profit <input type="checkbox"/> A133 N/A <input type="checkbox"/> A133 Foreign
Congressional District:	Notes:
Cognizant Federal Agency Name:	
POC Name:	
POC Phone Number:	
Risk Assigned: <input checked="" type="radio"/> Low <input type="radio"/> Medium <input type="radio"/> High <input type="radio"/> Being Reviewed	
Sponsor Exempt from CA's 700U Financial Disclosure Indicators: <input type="radio"/> Yes <input checked="" type="radio"/> No	

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](#)

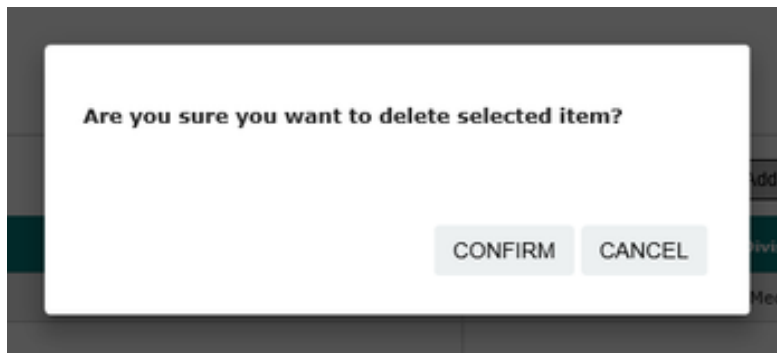
Delete	Edit	Year	Notes
No F&A History has been defined for this Associate.			

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.

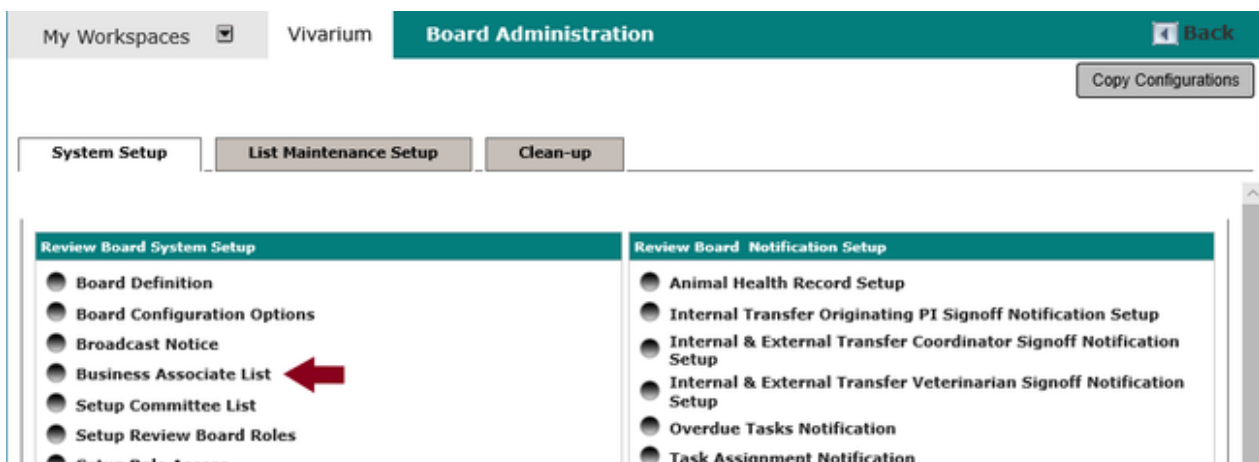
Click the **CANCEL** button to close the page without deleting the contact record.

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

Associate Browse/Find:

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. 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 Abbrev: Pharmaceuticals

*Associate Name: 3M 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: 3M Pharmaceuticals

Organization Name: 3M Pharmaceuticals

NIH Employer Identification Number (NEH 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 Beady 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 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.

Business Associate Risk Assessment Add A133 History

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

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:**

***Version Number:** .0

Description:

Load the document into iRIS:

[View the document](#)

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

***Version Number:** 1.0

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

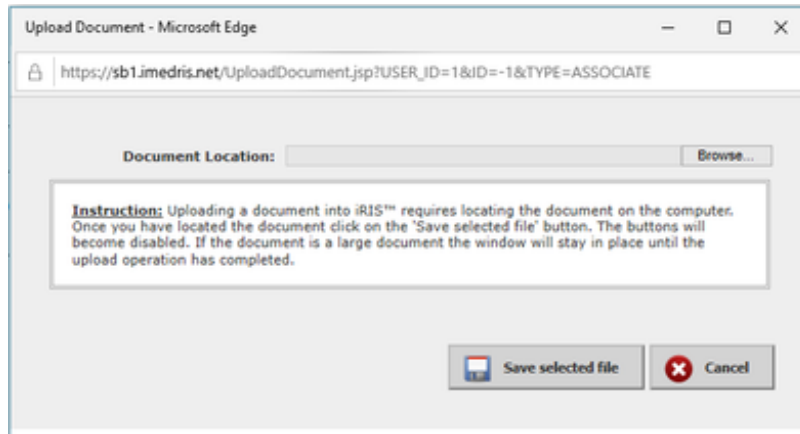
Load the document into iRIS:

[View the document](#)

An **Upload Document** popup window appears.

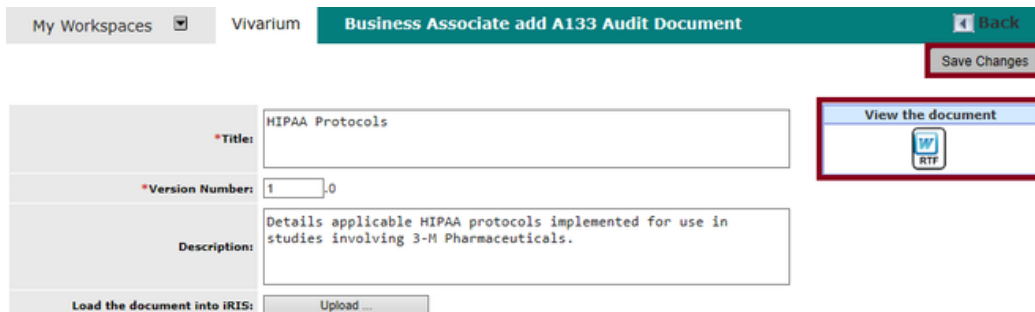
Click the **Cancel** button to close the popup without uploading the document.

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.



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

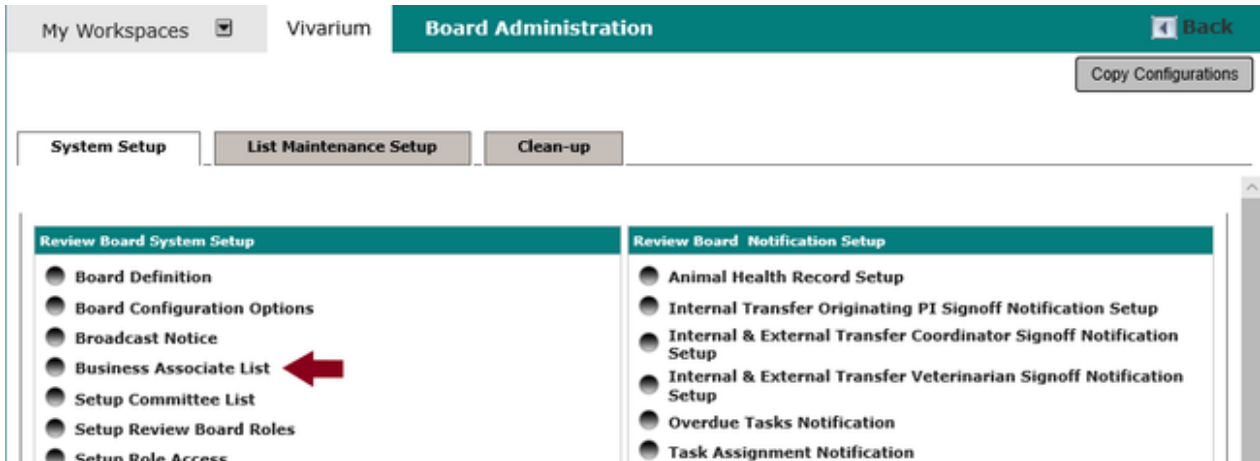


Risk Assessment Document List

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.



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 buttons for 'Download Associate Configuration Template', 'Upload Associate Configuration', 'Merge Associate Records', and 'Add a New Associate'. Below these, there is a search form 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. Below the search form, 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 'Delete' and 'Edit' columns are highlighted with a red box. The table contains the following data:

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** 1 Back Save Changes

Associate Abbrev: Pharmaceuticals

*Associate Name: 3M 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: 3M Pharmaceuticals

Organization Name: 3M Pharmaceuticals

NIH Employer Identification Number (NEH 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 7000 Financial Disclosure Indicator: Yes No

Street 1: 1234 Beady 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.

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

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

***Title:**

***Version Number:** _0

Description:

Load the document into iRIS:

View the document

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.

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"> ● Board Definition ● Board Configuration Options ● Broadcast Notice ● Business Associate List ● Setup Committee List ● Setup Review Board Roles ● Setup Role Access 	<ul style="list-style-type: none"> ● 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
		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 Abrv: 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: 12-25096

DUNS: 85469520

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 Beady 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: 45652

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**

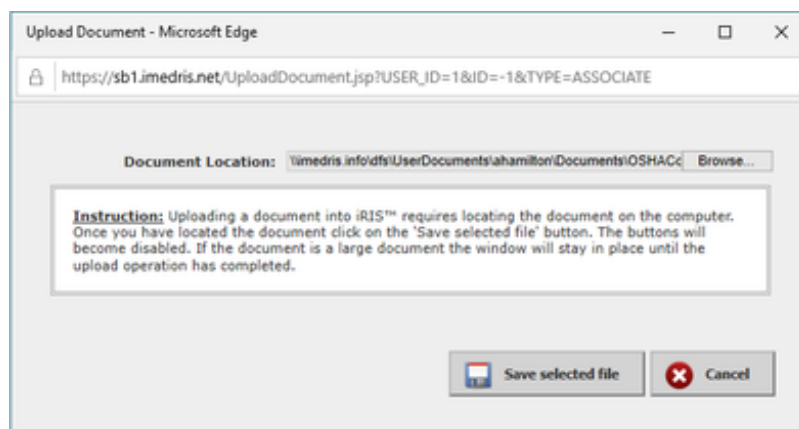
***Title:**

***Version Number:** _0

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"> <input type="radio"/> Board Definition <input type="radio"/> Board Configuration Options <input type="radio"/> Broadcast Notice <input type="radio"/> Business Associate List <input type="radio"/> Setup Committee List <input type="radio"/> Setup Review Board Roles <input type="radio"/> Setup Role Access 	<ul style="list-style-type: none"> <input type="radio"/> Animal Health Record Setup <input type="radio"/> Internal Transfer Originating PI Signoff Notification Setup <input type="radio"/> Internal & External Transfer Coordinator Signoff Notification Setup <input type="radio"/> Internal & External Transfer Veterinarian Signoff Notification Setup <input type="radio"/> Overdue Tasks Notification <input type="radio"/> 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](#)

Associate Browse/Find:

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
		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 Abbrev: Pharmaceuticals

*Associate Name: 3M Pharmaceuticals

Short Name: 3M Pharmaceuticals

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: 3M Pharmaceuticals

Organization Name: 3M Pharmaceuticals

NIH Employer Identification Number (NEH 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 Beady 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 Less Than 500K
 A133 For Profit
 A133 Foreign
 A133 Non Profit
 A133 Unknown
 A133 N/A

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

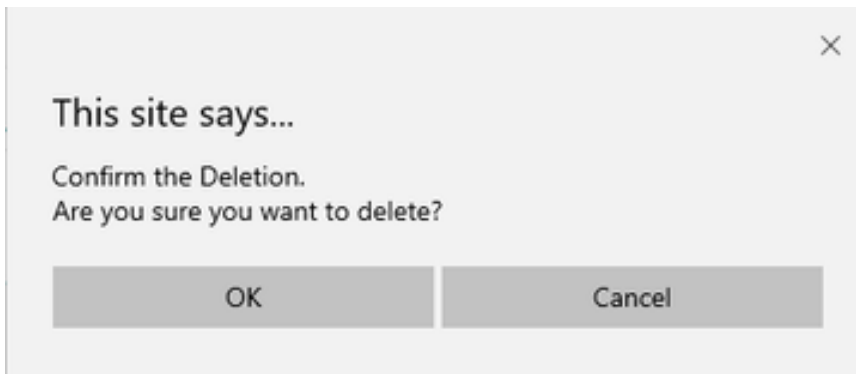
Business Associate Risk Assessment Add A133 History

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 checked="" type="checkbox"/>		HIPAA Protocols	 41.82 KB	1.0

A confirmation popup displays.

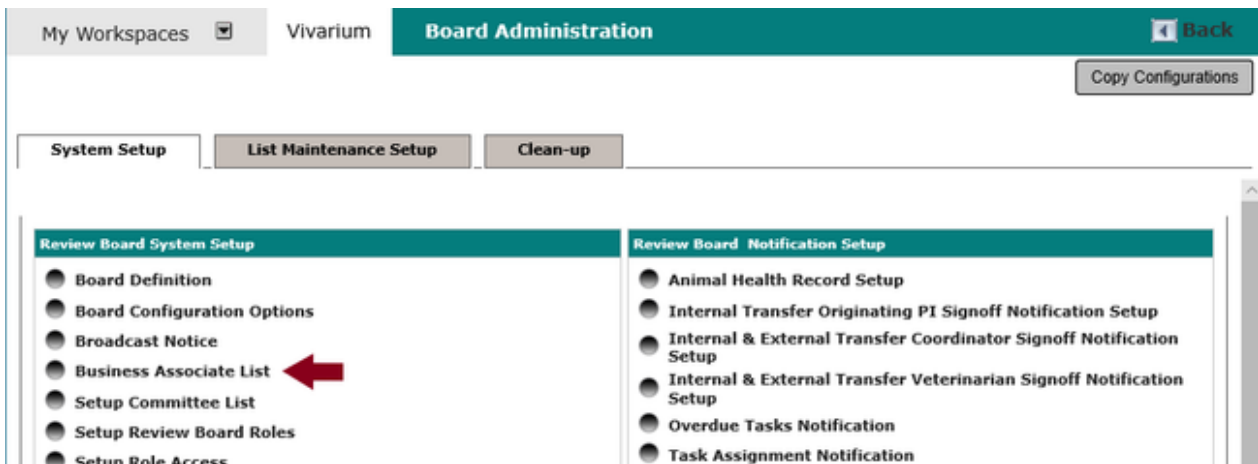


Click the **OK** button to confirm deletion and return to the **System Setup of Business Associate List** page.

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. 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.

Save Changes

Associate ABrv: Pharmaceuticals	Street 1: 1234 Beasley Avenue
* Associate Name: 3M Pharmaceuticals	Street 2:
Short Name: 3M Pharmaceuticals	City: Redlands
Status: Active	County/Parish: San Bernardino
<input type="checkbox"/> Competitor <input type="checkbox"/> Purchaser <input type="checkbox"/> Research Affiliate <input checked="" type="checkbox"/> Sponsor	<input type="checkbox"/> Vendor <input type="checkbox"/> Supporter <input checked="" type="checkbox"/> Subrecipient <input type="checkbox"/> Vet Supply Vendor
Sponsor ID:	State: CA, California
* Associate Type Code: Pharmaceutical	Province: N/A
Associate Type Description:	Country: USA, UNITED STATES
UCDP Sponsor Code: 12859	Zip/Postal Code: 92373
Principal Business of Entity: Research Funding	Website Address: www.3m.org
Familiar Name: 3M	Foreign Entity: <input type="radio"/> Yes <input checked="" type="radio"/> No
Legal Name: 3M Pharmaceuticals	Level Code: 45852
Organization Name: 3M Pharmaceuticals	Level Description:
NEH Employer Identification Number(NEH EIN):	Reports to Sponsor Number: 192
EIN: 12-25096	Reports to Sponsor Name: Jim Broward
DUNS: 85469528	<input type="checkbox"/> A133 Greater Than 500K <input checked="" type="checkbox"/> A133 Less Than 500K <input type="checkbox"/> A133 For Profit <input type="checkbox"/> A133 Foreign
Congressional District:	<input type="checkbox"/> A133 Non Profit <input type="checkbox"/> A133 Unknown <input type="checkbox"/> A133 N/A
Cognizant Federal Agency Name:	Notes:
POC Name:	
POC Phone Number:	
Risk Assigned: <input checked="" type="radio"/> Low <input type="radio"/> Medium	
<input type="radio"/> High <input type="radio"/> Being Reviewed	
Sponsor Exempt from CA's 700U Financial Disclosure Indicator: <input type="radio"/> Yes <input checked="" type="radio"/> No	

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:**

Risk Assessment:

Notes:

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: [Upload ...](#)

[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:**

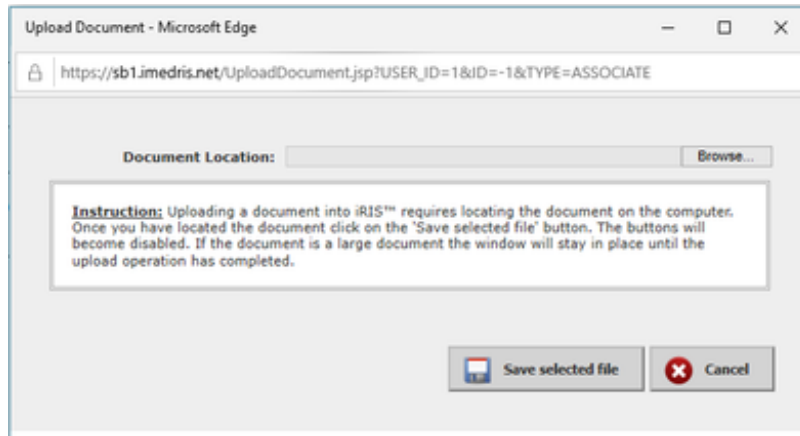
***Version Number:** .0

Description:

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

[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.

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"> ● Board Definition ● Board Configuration Options ● Broadcast Notice ● Business Associate List ● Setup Committee List ● Setup Review Board Roles ● Setup Role Access 	<ul style="list-style-type: none"> ● 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

Associate Browse/Find:

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. 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

Associate Abbrev: Pharmaceuticals

*Associate Name: 3M 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: 3M Pharmaceuticals

Organization Name: 3M Pharmaceuticals

NIH Employer Identification Number (NEH 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 700U Financial Disclosure Indicator: Yes No

Street 1: 1234 Beady 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 New Business Associate Contact

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

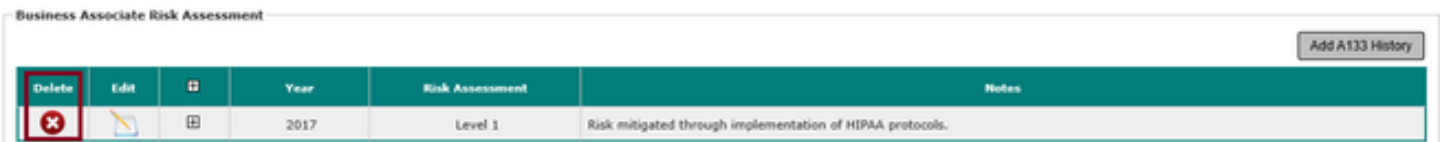
Business Associate Risk Assessment Add A133 History

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

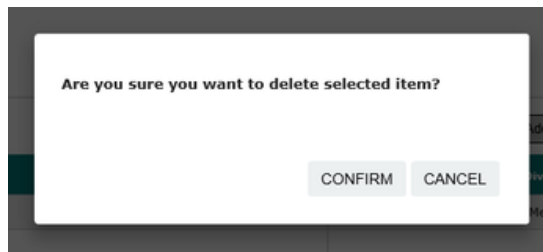
Business Associate F&A Rate History Add F&A History

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.

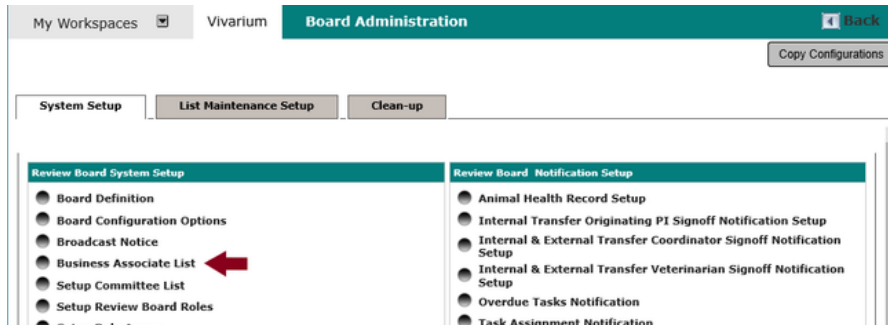
Business Associate F&A Rate History

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.

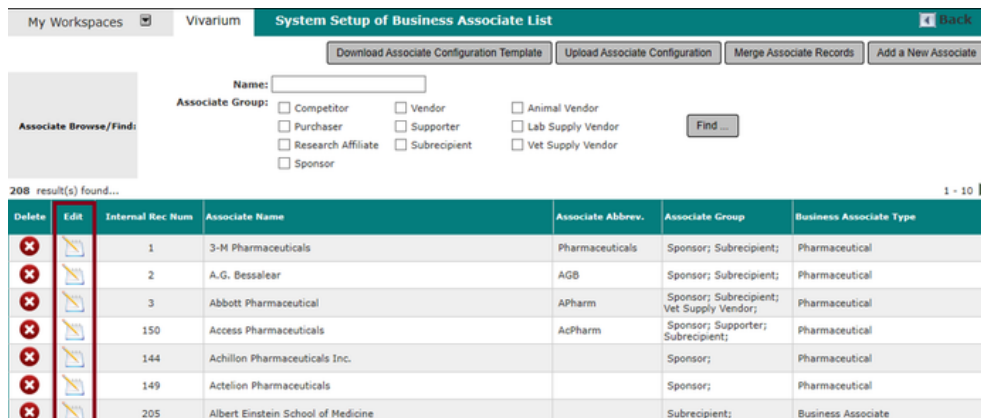
In the iRIS™ system these fees can be tracked for each business associate entity.

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.



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

Associate Abbv: 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

NEH Employer Identification Number(NEH 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 290U Financial Disclosure Indicators: 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:

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](#)

*Title: [View the document](#)

*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

***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 ...

View the document

An **Upload Document** popup window appears.

Upload Document - Microsoft Edge

https://sb1imedris.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 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.

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.

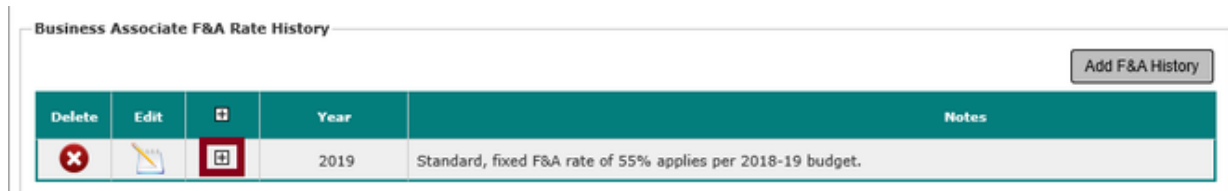
Load the document into iRIS: Upload ...

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 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.

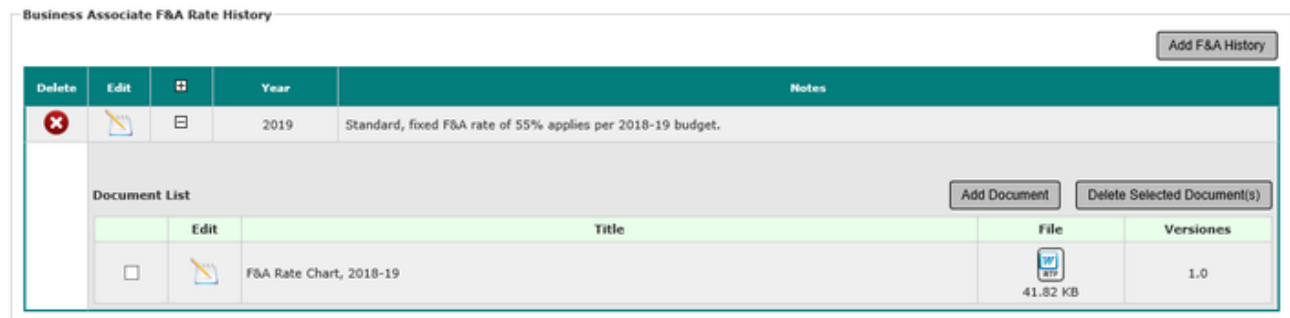


Business Associate F&A Rate History

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

Add F&A History

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



Business Associate F&A Rate History

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

Document List

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

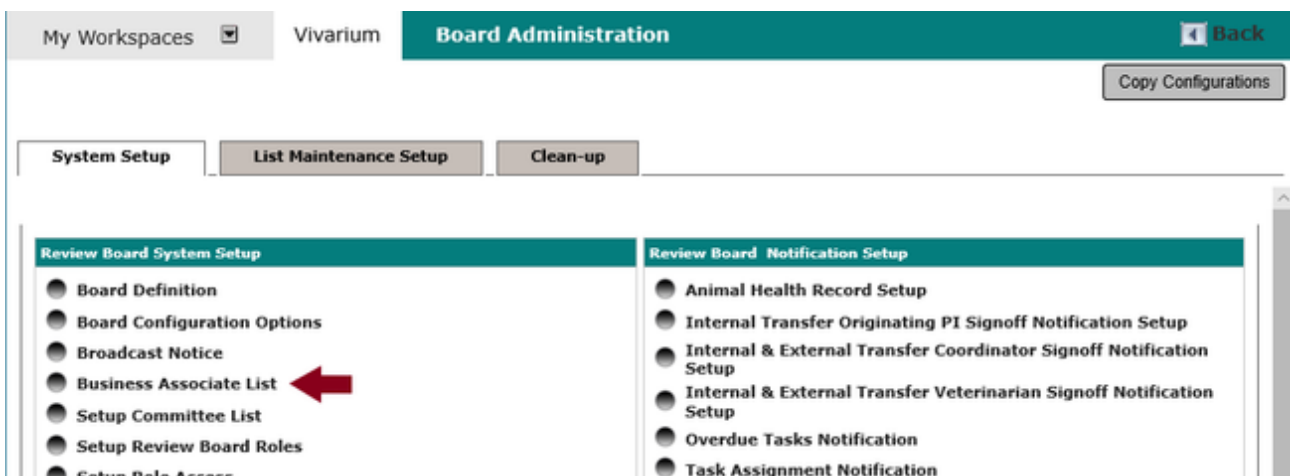
Add Document Delete Selected Document(s)

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.



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">Board DefinitionBoard Configuration OptionsBroadcast NoticeBusiness Associate List Setup Committee ListSetup Review Board RolesSetup Role Access	<ul style="list-style-type: none">Animal Health Record SetupInternal Transfer Originating PI Signoff Notification SetupInternal & External Transfer Coordinator Signoff Notification SetupInternal & External Transfer Veterinarian Signoff Notification SetupOverdue Tasks NotificationTask Assignment Notification

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

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

Delete	Edit	Internal Rec Num	Associate Name	Associate Abbrev.	Associate Group	Business Associate Type
<input checked="" type="checkbox"/>	<input type="checkbox"/>	1	3-M Pharmaceuticals	Pharmaceuticals	Sponsor; Subrecipient;	Pharmaceutical
<input checked="" type="checkbox"/>	<input type="checkbox"/>	2	A.G. Bessalear	AGB	Sponsor; Subrecipient;	Pharmaceutical
<input checked="" type="checkbox"/>	<input type="checkbox"/>	3	Abbott Pharmaceutical	APharm	Sponsor; Subrecipient; Vet Supply Vendor;	Pharmaceutical
<input checked="" type="checkbox"/>	<input type="checkbox"/>	150	Access Pharmaceuticals	AcPharm	Sponsor; Supporter; Subrecipient;	Pharmaceutical
<input checked="" type="checkbox"/>	<input type="checkbox"/>	144	Achillon Pharmaceuticals Inc.		Sponsor;	Pharmaceutical
<input checked="" type="checkbox"/>	<input type="checkbox"/>	149	Actelion Pharmaceuticals		Sponsor;	Pharmaceutical
<input checked="" type="checkbox"/>	<input type="checkbox"/>	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

Status: Active

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

Sponsor ID:

Associate Type Code:

Associate Type Description:

UCOP Sponsor Code:

Principal Business of Entity:

Familiar Name:

Legal Name:

Organization Name:

NSH Employer Identification Number (NSH EIN):

EIN:

DUNS:

Congressional District:

Captizant Federal Agency Name:

POC Name:

POC Phone Number:

Risk Assigned:
 Low
 Medium
 High
 Being Reviewed

Sponsor Exempt from CA's 7000 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
Notes:

Business Associate Contacts

Delete	Edit	Contact Name	Division
<input checked="" type="checkbox"/>	<input type="checkbox"/>	Escalante, Moins	Oncology - Pharmaceuticals
<input checked="" type="checkbox"/>	<input type="checkbox"/>	Chiang, Xi	R&D GA

Business Associate Risk Assessment

Delete	Edit	Year	Risk Assessment	Notes
<input checked="" type="checkbox"/>	<input type="checkbox"/>	2017	Level 1	Risk mitigated through implementation of nOPAA protocols.

Business Associate F&A Rate History

Delete	Edit	Year	Notes
<input checked="" type="checkbox"/>	<input type="checkbox"/>	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.										
<p>Document List</p> <p style="text-align: right;">Add Document Delete Selected Document(s)</p> <table border="1"> <thead> <tr> <th></th> <th>Edit</th> <th>Title</th> <th>File</th> <th>Version(s)</th> </tr> </thead> <tbody> <tr> <td><input type="checkbox"/></td> <td></td> <td>F&A Rate Chart, 2018-19</td> <td> 41.82 KB</td> <td>1.0</td> </tr> </tbody> </table>						Edit	Title	File	Version(s)	<input type="checkbox"/>		F&A Rate Chart, 2018-19	 41.82 KB	1.0
	Edit	Title	File	Version(s)										
<input type="checkbox"/>		F&A Rate Chart, 2018-19	 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 Document** panel for the attachment opens, with editable fields.

My Workspaces ▼ Vivarium **Business Associate add Document** ← Back

Save Changes

View the document

***Title:**

***Version Number:** ,

Description:

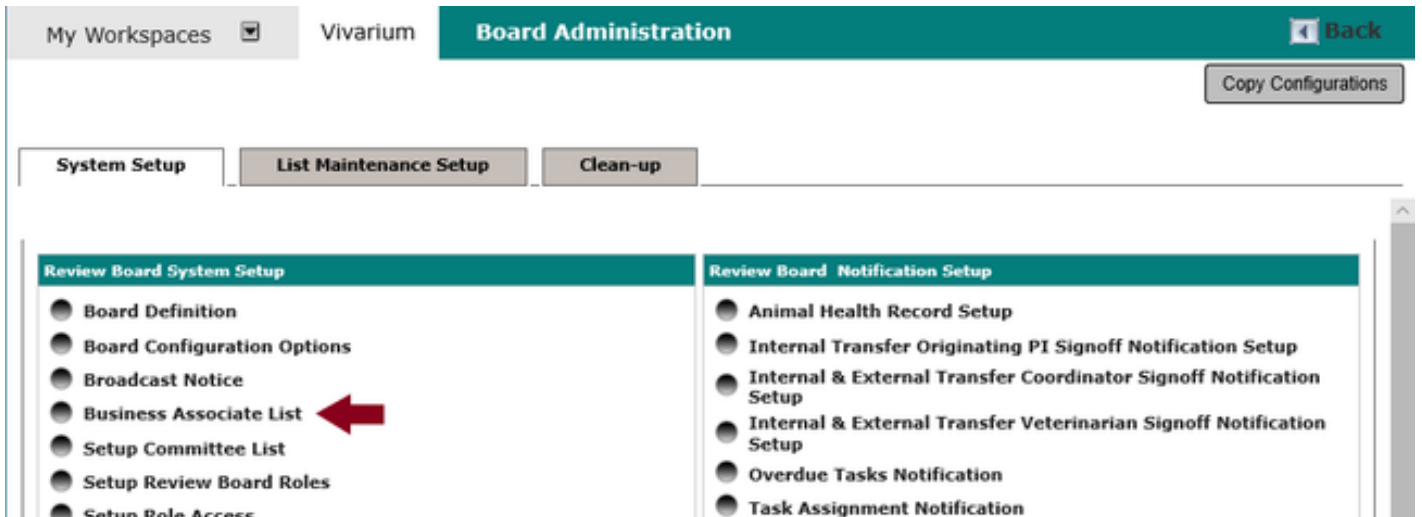
Load the document into iRIS:

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.

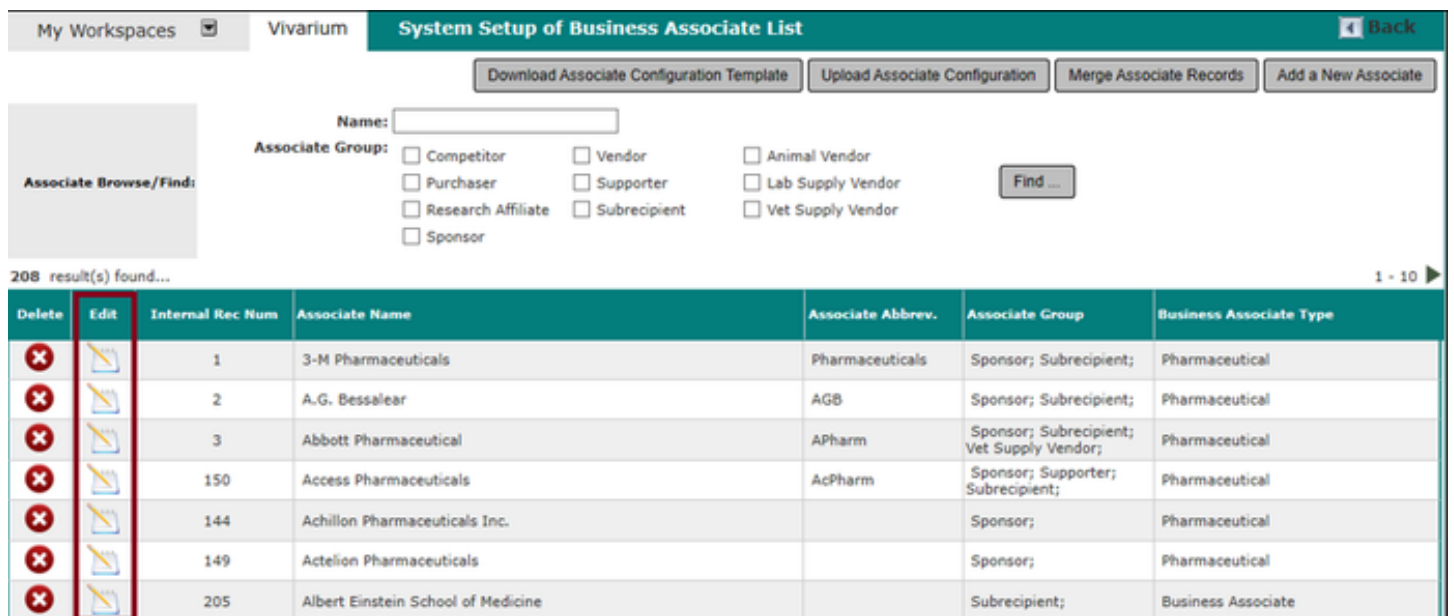
Click the **Save Changes** button to save changes and close the panel.

Add F&A Rate History Document

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



The **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 Vivarium System Setup of Business Associate List Back

[Save Changes](#)

Status: Active

Associate Group:

Competitor Vendor Animal Vendor

Purchaser Supplier Lab Supply Vendor

Research Affiliate Subrecipient Vet Supply Vendor

Sponsor

Sponsor ID: _____

Associate Type Code: Pharmaceutical

Associate Type Description: _____

UCOP Sponsor Code: 12853

Principal Business of Entity: Research Funding

Familiar Name: JM

Legal Name: J. M. Pharmaceuticals

Organization Name: J. M. Pharmaceuticals

NDE Employer Identification Number (NDE EIN): _____

EIN: 12-25886

DUNS: 554810218

Congressional District: _____

Cognizant Federal Agency Name: _____

POC Name: _____

POC Phone Number: _____

Risk Assigned: Low Medium High Being Reviewed

Sponsor Exempt from CA's 7090 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.jm.org

Foreign Entity: Yes No

Level Code: 01652

Level Description: _____

Reports to Sponsor Number: 002

Reports to Sponsor Name: JM

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 GA

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

Delete	Edit	Year	Risk Assessment	Notes
		2017	Level 1	Risk mitigated through implementation of SOPAA 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	Version(s)
<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

Save Changes

[View the document](#)

***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

Save Changes

[View the document](#)

***Title:**

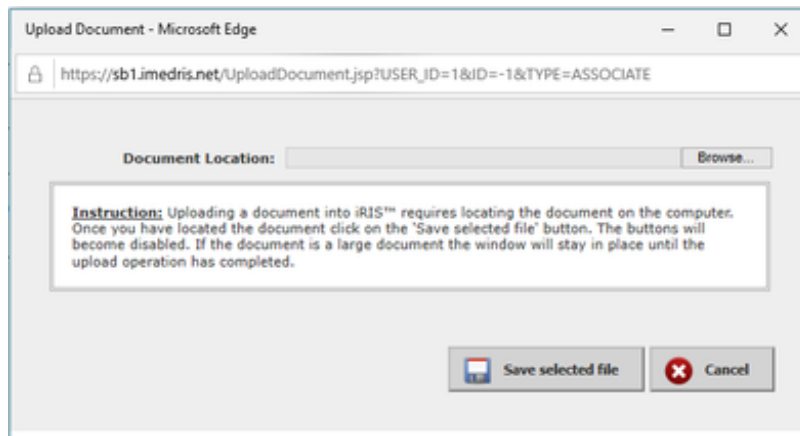
***Version Number:** .0

Description:

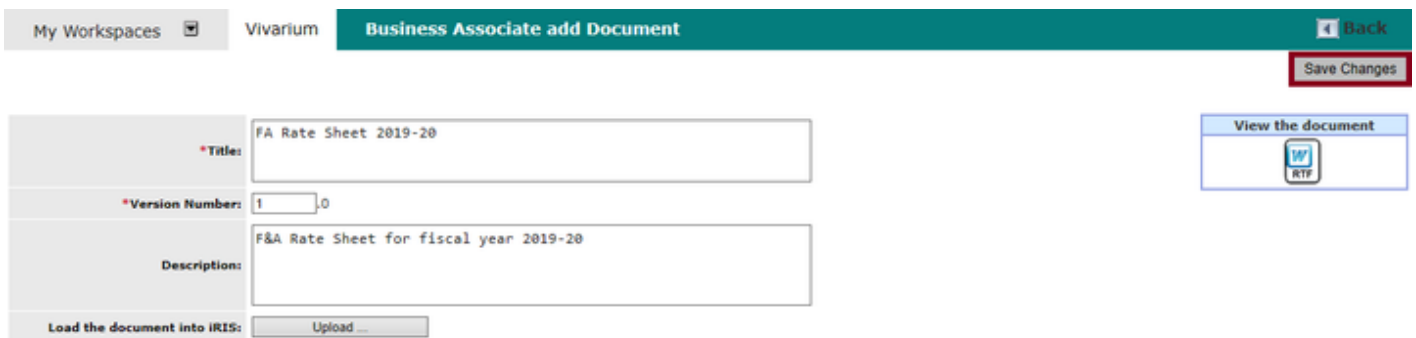
Load the document into iRIS:

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.

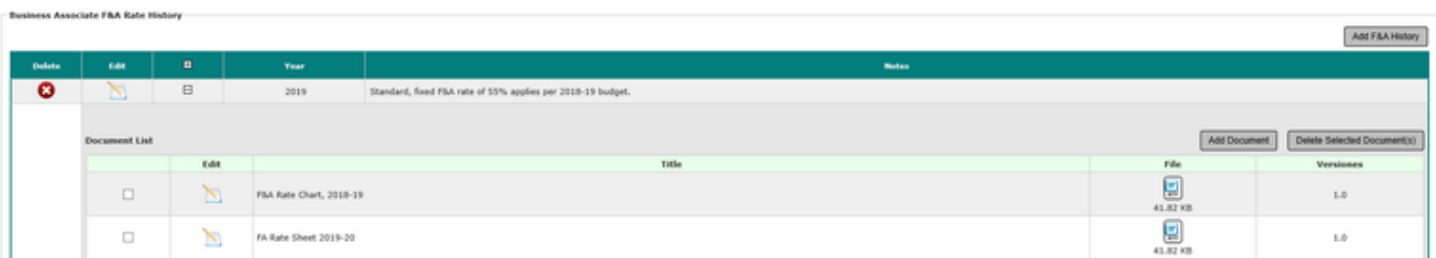
When the location of the desired attachment appears in the **Document Location** field, click the **Save selected file** button to complete the upload. Click the **Cancel** button to close the popup without uploading the document.



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

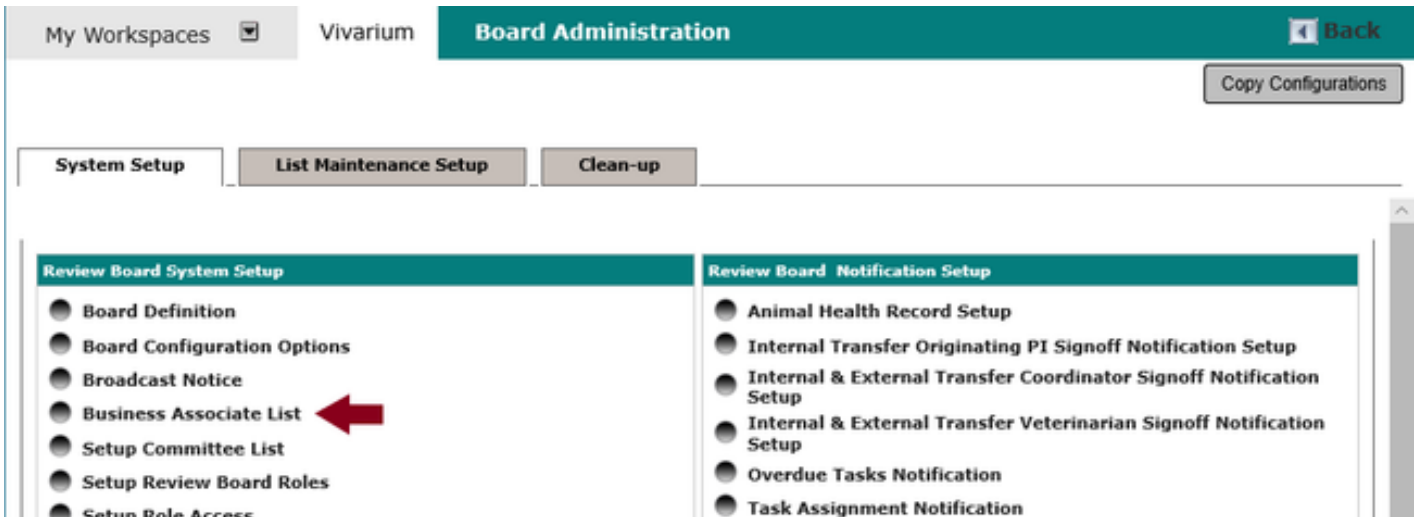


Click the icon in the **View the document** panel to view the attached document. Click the **Save Changes** button to close the add panel and save the document to the F&A Rate History record. As shown below, the new document is added to the **Document List**.

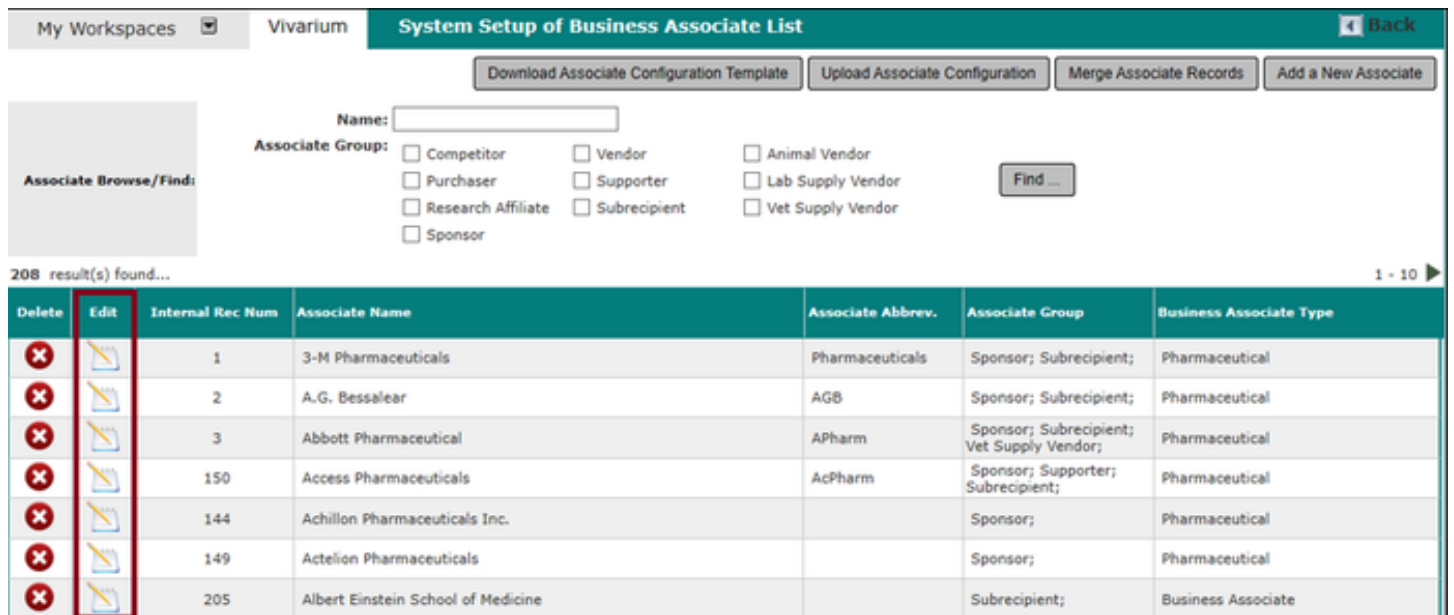


Delete F&A Rate History Document

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 **Vivarium** System Setup of Business Associate List Back Save Changes

Status: Active

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

Sponsor ID: _____

Associate Type Code: Pharmaceutical

Associate Type Description: _____

UCOP Sponsor Code: 12853

Principal Business of Entity: Research Funding

Familiar Name: JM

Legal Name: J M Pharmaceuticals

Organization Name: J M Pharmaceuticals

NDE Employer Identification Number (NDE EIN): _____

EIN: 12-25886

DUNS: 05480228

Congressional District: _____

Cognizant Federal Agency Name: _____

POC Name: _____

POC Phone Number: _____

Risk Assigned: Low Medium
 High Being Reviewed

Sponsor Exempt from CA's 7090 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.jm.org

Foreign Entity: Yes No

Level Code: 01612

Level Description: _____

Reports to Sponsor Number: 002

Reports to Sponsor Name: JM

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 SOPAA 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	Version(s)
	F&A Rate Chart, 2018-19	43.82 KB	1.0
	FA Rate Sheet 2019-20	43.82 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' interface. At the top right is an 'Add F&A History' button. Below is a table with columns: Delete (with a red 'X' icon), Edit (with a pencil icon), a grid icon, Year (2019), and Notes (Standard, fixed F&A rate of 55% applies per 2018-19 budget.). Below this is a 'Document List' section with 'Add Document' and 'Delete Selected Document(s)' buttons. The 'Delete Selected Document(s)' button is highlighted with a red border. The document list table has columns: Edit (with a pencil icon), Title (F&A Rate Chart, 2018-19), File (with a Word document icon and 41.82 KB), and Versions (1.0). A checkbox in the first column of the document list is highlighted with a red border.

A confirmation popup displays.

The confirmation popup is a light gray dialog box with a close 'X' button 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 one above, but the 'Delete Selected Document(s)' button is no longer highlighted. The document list table now shows an empty checkbox in the first column, indicating the document has been removed from the list.

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

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

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: 2803

Principal Business of Entity: Research Funding

Familiar Name: JM

Legal Name: J.M. Pharmaceuticals

Organization Name: J.M. Pharmaceuticals

NSH Employer Identification Number (NSH EIN): _____

EIN: 13-25808

DUNS: 05401028

Congressional District: _____

Cognizant Federal Agency Name: _____

POC Name: _____

POC Phone Number: _____

Risk Assigned: Low Medium High Being Reviewed

Sponsor Exempt from CA's 7090 Financial Disclosure Indicator: Yes No

Country/Parish: San Bernardino

State: CA, California

Province: N/A

Country: USA, UNITED STATES

Zip/Postal Code: 92373

Website Address: www.jm.org

Foreign Entity: Yes No

Level Code: 0502

Level Description: _____

Reports to Sponsor Number: 002

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:** 2019

Notes: Standard, fixed F&A rate of 55% applies per 2018-19 budget.

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:

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:

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.

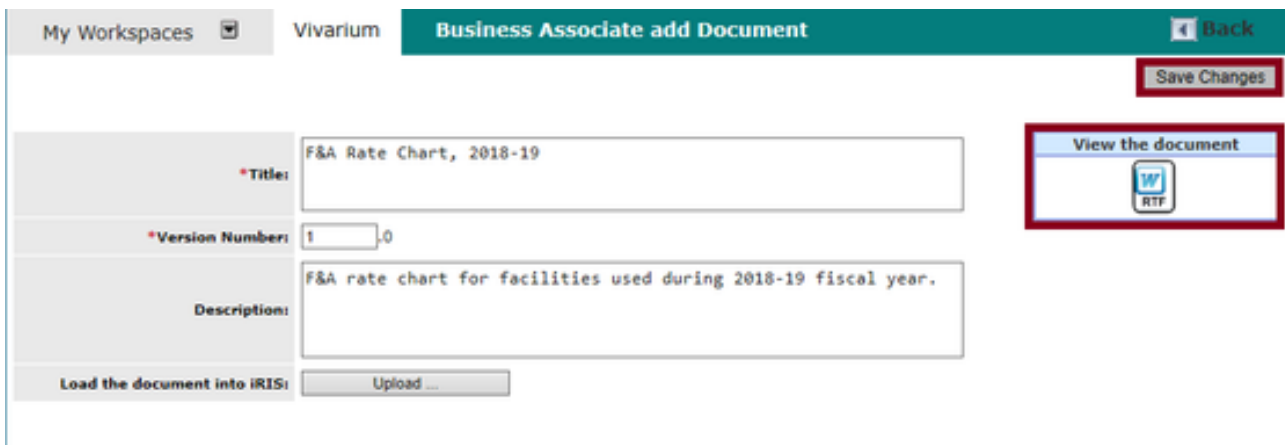
Save selected file Cancel

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.

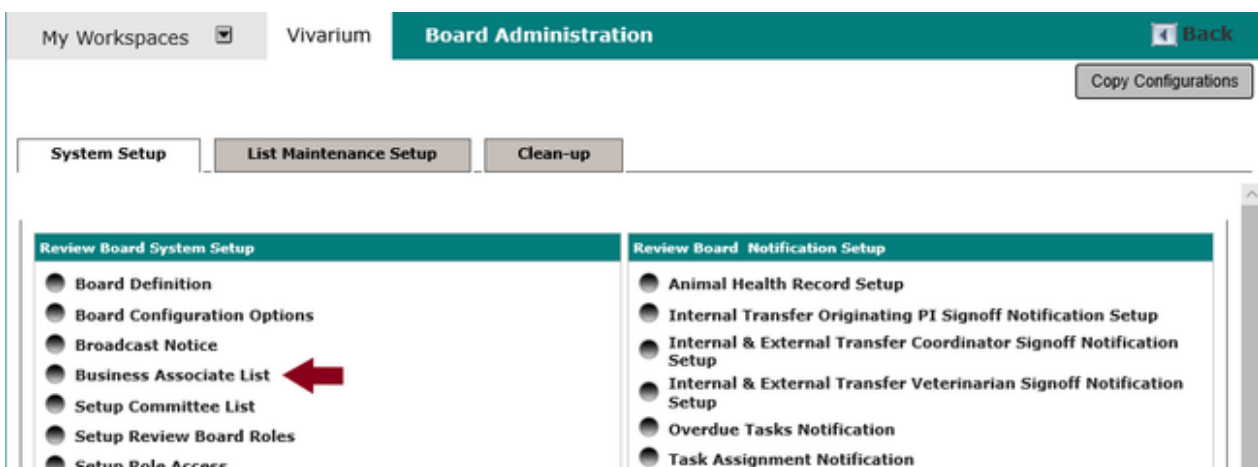
The document is uploaded and attached to the F&A record.



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.



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. 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

The System Setup of Business Associate List page is opened.

My Workspaces | Vivarium | System Setup of Business Associate List

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:

Associate Type Description:

UCOP Sponsor Code:

Principal Business of Entity:

Familiar Name:

Legal Name:

Organization Name:

NDH Employer Identification Number (NDH EIN):

EIN:

DUNS:

Congressional District:

Cognizant Federal Agency Name:

PDC Name:

PDC Phone Number:

Risk Assigned: Low Medium High Being Reviewed

Sponsor Exempt from CA's 7090 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

Add a New Business Associate Contact

Delete	Edit	Contact Name	Division
		Escalante, Moins	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.

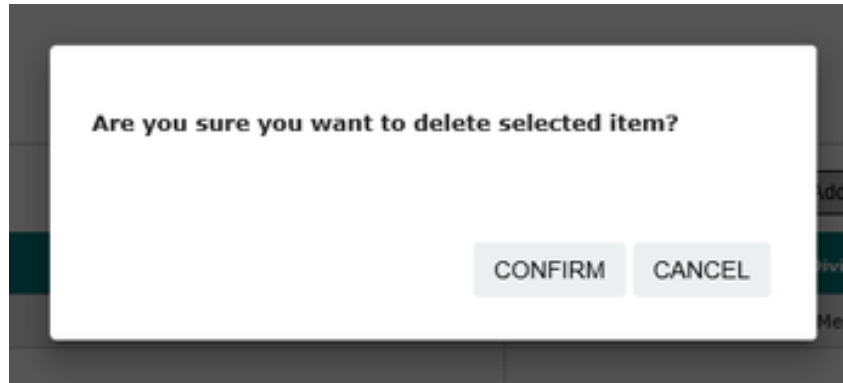
Click the icon in the **Delete** column for the applicable record in the **Business Associate F&A Rate History** section.

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.