



## Submit Certification Request Forms to IACUC

For Principal Investigators – a “How To” Guide

Course Number: eSR5262

---



## Human Subject and Animal Certifications Overview

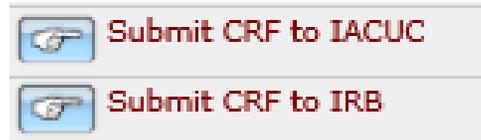
---

- You may find it helpful to review the slides from course #eSR5260 (Human and Animal Certifications for Resource Analysts and Principal Investigators). These slides include the following:
  - an overview of the relationship between eSRA and the HARP system
  - a reminder notification that can be sent to the PI by the Resource Analyst or OSPIP Contracts Officer when a CRF is needed
  - an understanding of the workflow surrounding the entire process
- The slides are posted on the eSRA website:  
[eSRA.lbl.gov/training](http://eSRA.lbl.gov/training)

## How & When to Initiate CRF Request

---

- If animals or human subjects are identified in the eSRA proposal:
  - The following activities are available to the PI:



- Note: IRB and IACUC CRFs are separate activities, and must be submitted separately.
- A CRF may be submitted through eSRA at any time after the proposal has been submitted to the sponsor.
- A CRF may be submitted through eSRA during the award period when new certification is required because of changes to the research plan or the protocol(s).

## PI might receive an email notification from eSRA system



Proposal System

Proposal Number : **FP00000192** Title McMurray Chem Fingerprint (Rn) requires completion of the Certification Request Form (CRF) for animal work and submission to HARC.

Please submit your request at least 3 weeks prior to the date you need the Certification to provide HARC adequate time to complete their review and issue the Certification. Detailed instructions can be found at: [http://www.lbl.gov/Workplace/CFO/assets/docs/ospip/training/eSRA/HARC/IACUC\\_CRF.pdf](http://www.lbl.gov/Workplace/CFO/assets/docs/ospip/training/eSRA/HARC/IACUC_CRF.pdf)

The eSRA system will create the actual form for you and submit it electronically to HARC. You will need to specify the protocols that will cover your research. The eSRA drop-down list of protocols links with the HARP system and you can select from that list. We recommend that you confirm with the Protocol Lead Investigator that the protocols you plan to use haven't changed recently and that they are still active protocols. You will not be able to submit a CRF with an expired protocol.

If any of the animal protocols that you will be relying on are not yet in the HARP electronic system, you will need to prepare and submit a paper CRF.

The CRF must be submitted by the PI on the research proposal/award. You are not able to delegate this activity and your submission will serve as your electronic signature on the form.

The activity to submit your CRF to HARC will be on 11/13/2013

If you have questions about this process, or need assistance, please contact the Resource Analyst or OSPIP Contracts Officer to assist.

**Comments:**

Don't forget to request the CRF

**Attachments:**

There are no items to display

- You will receive this email if the Resource Analyst or OSPIP Contracts Officer sends a reminder that a CRF is needed.
- You can submit the CRF without receiving an email reminder.

## PI might receive an email notification from eSRA system



Proposal System

Proposal Number : **FP00000192** Title McMurray Chem Fingerprint (Rn) requires completion of the Certification Request Form (CRF) for animal work and submission to HARC.

Please submit your request at least 3 weeks prior to the date you need the Certification to provide HARC adequate time to complete their review and issue the Certification. Detailed instructions can be found at: [http://www.lbl.gov/Workplace/CFO/assets/docs/ospip/training/eSRA/HARC/IACUC\\_CRF.pdf](http://www.lbl.gov/Workplace/CFO/assets/docs/ospip/training/eSRA/HARC/IACUC_CRF.pdf)

The eSRA system will create the actual form for you and submit it electronically to HARC. You will need to specify the protocols that will cover your research. The eSRA drop-down list of protocols links with the HARP system and you can select from that list. We recommend that you confirm with the Protocol Lead Investigator that the protocols you plan to use haven't changed recently and that they are still active protocols. You will not be able to submit a CRF with an expired protocol.

If any of the animal protocols that you will be relying on are not yet in the HARP electronic system, you will need to prepare and submit a paper CRF.

The CRF must be submitted by the PI on the research proposal/award. You are not able to delegate this activity and your submission will serve as your electronic signature on the form.

The activity to submit your CRF to HARC will be on the left of your screen

If you have questions about this process, or need assistance, please contact the support team to assist.

**Comments:**

Don't forget to request the CRF

**Attachments:**

There are no items to display

### This email includes:

- a link to the proposal
- a link to this training documentation
- some information about the process

In your Home Workspace, select the proposal

**STAGING**  
**eSRA Proposal System**  
LAWRENCE BERKELEY NATIONAL LABORATORY

U.S. DEPARTMENT OF ENERGY  
Cynthia McMurray | My Home | Projects | Logoff

Awards Proposals Researcher Profile Company Profiles

Page for Cynthia T McMurray Layout

**Principal Investigator**

**My Roles**  
**Principal Investigator**  
Registered User

My Inbox **Proposals** Awards in Preparation Awards Award Mods Sponsor Requests

Proposals you are working on for submission

Filter by

Name	SmartForm	Date Modified	State	ID	Primary Sponsor	Submission Type	Due Date	PI
McMurray_Mismatch_Renewal	[Edit]	5/7/2014 3:32 PM	Awaiting Response from Sponsor	FP00000219	NIH NEUROLOGICAL DISORDERS & STROKE, NAT	Resubmission	7/19/2013	McMurray
McMurray Chem Fingerprint (Rn)	[Edit]	4/30/2014 3:08 PM	Awaiting Response from Sponsor	FP00000192	NIH NEUROLOGICAL DISORDERS & STROKE, NAT	Renewal / Competing Continuation	3/19/2013	McMurray
12-062(02) McMurray Fingerprinting	[Edit]	5/6/2014 3:41 PM	OSPIP Proposal Review	FP00000191	NIH NEUROLOGICAL DISORDERS & STROKE, NAT	Renewal / Competing Continuation	3/19/2013	McMurray
McMurray Metabolic (Supplement)	[Edit]	5/1/2014 1:44 PM	Awaiting Response from Sponsor	FP00000179	NIH ENVIRONMENTAL HEALTH SCIENCES, NATL	Revision	2/22/2013	McMurray
McMurray_Fingerprinting	[Edit]	4/4/2013 1:17 AM	Award Pending	FP00000106	NIH NEUROLOGICAL DISORDERS & STROKE, NAT	New	6/15/2012	McMurray

1 to 5 of 5 / page 10

In the Proposal Workspace, select the "Submit CRF to IACUC" activity

The screenshot displays the eSRA Proposal System interface for the 'McMurray Chem Fingerprint (Rn)' proposal. The current state is 'Awaiting Response from Sponsor'. The 'Submit CRF to IACUC' activity is highlighted in a green box in the 'My Activities' sidebar. A green arrow points from the text above to this activity. The main content area shows proposal details, budget totals, and submission information.

**STAGING**  
**eSRA Proposal System**  
LAWRENCE BERKELEY NATIONAL LABORATORY

U.S. DEPARTMENT OF ENERGY  
Cynthia McMurray | My Home | Projects | Logoff

Awards | Proposals | Researcher Profile | Company Profiles

Proposals > McMurray Chem Fingerprint (Rn)

**McMurray Chem Fingerprint (Rn)** **FP00000192** **Renewal / Competing Continuation**

**CURRENT STATE**  
Awaiting Response from Sponsor

View Submission  
Printer Version  
View Differences  
Print PIF View

**My Activities**

- Edit Post Award RAs
- Edit Proposal RAs
- Email Proposal Team
- Log General Comment
- Submit CRF to IACUC**
- Upload NIH OS As Requested
- Copy Proposal
- Request New Sponsor

(Proposal - Proposed)

Proposal Information | NEPA-CEQA | DOE | Approvals | Comments | Attachments | Contacts | New Sponsor Requests | Change Log

PROPOSAL INFORMATION		BUDGET TOTALS		SUBMISSION INFORMATION	
Direct Sponsor:	NIH NEUROLOGICAL DISORDERS & STROKE, NAT	Starting Date:	9/1/2013	SF424 Tracking#:	GRANT11358412
Prime Sponsor:		Number of Periods:	5	SF424 Received Date/Time:	3/19/2013 4:53 PM PDT
Foreign Location:		Total Direct:	\$1,840,880	SF424 Status Updated:	3/20/2013 12:30 AM PDT
PI:	Cynthia McMurray	Total LDRD:	\$0.00	SF424 Current State:	Federal Funding Agency Tracking Number Assigned
Fellow or Mentor:	There are no items to display	Total FAC:	\$92,113.80	PDF Version	View
OSPIP CO:	David Garcia	Total Other Indirect Costs:	\$1,229,580	Date Submitted to Sponsor	
RA:	Karen Dickinson-Mazzei Erin Reiche Elma Serrano	Total LBNL Costs (including FAC):	\$3,162,574		
Status of Science:	Finalized	Sponsor Costs:	\$3,070,460		
Submission Deadline:	3/19/2013	Awarded Total:	\$0.00		
Application #:	2R01NS060115-07				
UCOP Transmission Date:					

History | Funding Awards

# Activity: Submit CRF to IACUC



Submit CRF to IACUC

The screenshot shows a web browser window with the URL <https://grantbit.gov/grantbit/ResourceAdministration/Activity/Form/ActivityType=com.webbridge.entity.Entity/ID/999288C33D27984899F7E1A0583780;/ActivityMacid=...> and the title "Submit CRF to IACUC". The form contains the following sections:

- Option 1: Use if all protocols you rely on are in the HARP system:** This process will create a complete Certification Request Form (CRF) and submit it to the IACUC/HARC for review and certification. A table of IACUC Studies is provided below.
- Option 2: Use if any of the protocols you rely on are not in the HARP system:** This process will attach a complete Certification Request Form (CRF) and route it to the IACUC at HARC for review and certification. A checkbox is present for "Check here to indicate you are uploading a complete CRF that you prepared offline." and a text area for "Expedited Review".
- IACUC Date Required By:** A date field with the value "4/29/2014".
- General Comments:** A large text area for providing justification for expedited review.
- Attachments:** An "Add" button and a table for listing attachments.

Protocol ID	Protocol Title	Protocol File Number	Expiration Date
IS00000149	For Renewal Test Case 3	994005	
IS00000228	3D Structure of Inner Ear Hair	235004	11/30/2014

- Click “Add” to select protocol(s).
- If all protocols are not in HARP, select option #2 to attach a manually prepared CRF, then use the eSRA routing and approval process.
- Review date is automatically 3 weeks from date of the request.
- If you require expedited review, provide the justification for expedited review to HARC.
- Comments and other attachments are optional.

## When should you select Option #2?

---

- The eSRA automated CRF can only be used with protocols in the HARP system.
- With Option #2, you prepare the paper CRF form and attach it using the "Submit CRF to IACUC" activity. This allows you to take advantage of the electronic routing and notifications available in eSRA.
- Because IACUC protocols are approved for 3 years, not all current IACUC protocols are in the HARP system.
- Option #2 will be available until all animal protocols are in HARP.

---

There is no need to attach your proposal.  
Members of the IACUC Committee have the  
ability to view your proposal within eSRA.

---

# This is what the Protocol selection list looks like:

**Submit CRF to IACUC**

You will use this process to submit your CRF to the IACUC for review and certification. You need to know which active protocols you will be relying upon for your research. Because the HARP system does not yet contain all active animal protocols, we have two processes. Option 1 is completely automated and integrated with the HARP system. Option 2 routes the CRF you prepare offline to IACUC. Both options record the certification in the eSRA system.

A full set of instructions for both options can be found at: [IACUC CRF](#). If you still have questions or need assistance, you do not need to submit it separately.

**Option 1: Use if all protocols you rely on are in the HARP system:**  
 This process will create a complete Certification Request Form (CRF) and submit it to the IACUC at HARC for review and certification.

Select the protocol(s) from a list provided by the HARP system when you click "Add." If you find a protocol is not in "Active" state in the HARP system, you will not be able to save and submit the CRF.

When you click "OK" at the bottom of this view, you are electronically signing the CRF and sending it to the IACUC.

**IACUC Studies:**

Protocol ID	Protocol Title
There are no items to display	

**Option 2: Use if any of the protocols you rely on are not in the HARP system:**  
 This process will attach a complete Certification Request Form (CRF) and route it to the IACUC at HARC for review and certification.

Check here to indicate you are uploading a complete CRF that you prepared offline. (Remember to attach your CRF to this submission.)

IACUC will be notified that the certification is needed within the standard 3 week review and certification period. If you need to expedite the review, please check the box below.

**IACUC Date Required By:**

**Expedited Review:**

**General Comments:**

**Attachments:**

Document	Description
There are no items to display	

**Select One or More IACUCStubs**

**Filter by** Protocol Title   Advanced

1-25 of 80

Protocol Title	Protocol File Number	Expiration Date
<input type="checkbox"/> _IACUC Study - Thu Dec 12 12:25:21	296002	2/17/2013
<input type="checkbox"/> 3D Structure of Inner Ear Outer Hai	235004	11/30/2014
<input type="checkbox"/> A collaborative work with Dr. Ichir	125016	1/31/2016
<input type="checkbox"/> Analysis of a protease involved in	314005	7/31/2014
<input type="checkbox"/> Analysis of bone marrow in MBNL1 kn	066024	12/31/2013
<input type="checkbox"/> Analysis of heparanase in mammary g	314009	12/31/2016
<input type="checkbox"/> Anatomic Detection of Metastatic-pr	262001	10/31/2014
<input type="checkbox"/> arms deletion test	996002	10/3/2013
<input type="checkbox"/> Assessing the role of heparanase in	314003	7/31/2015
<input type="checkbox"/> Bernie Rabin Collaboration on 25002	250002	10/31/2013
<input type="checkbox"/> Biological Evaluation of New Actini	017013	12/31/2014
<input type="checkbox"/> Biomechanical testing of human bone	148001	8/31/2013
<input type="checkbox"/> Biomechanical testing of human bone	148003	9/30/2014

1-25 of 80

Select the specific protocol(s) by checking the boxes

**Select One or More IACUCStubs**

Filter by Protocol Title  Go Clear Advance

Deselect All

1-25 of 80

<input type="checkbox"/>	Protocol Title	Protocol File	
<input type="checkbox"/>	_IACUC Study - Thu Dec 12 12:25:21	296002	
<input type="checkbox"/>	3D Structure of Inner Ear Outer Hai	235004	
<input type="checkbox"/>	A collaborative work with Dr. Ichir	125016	5/31/2016
<input type="checkbox"/>	Analysis of a protease involved in	314005	7/31/2014
<input type="checkbox"/>	Analysis of bone marrow in MBNL1 kn	066024	12/31/2013
<input type="checkbox"/>	Analysis of heparanase in mammary g	314009	12/31/2016
<input type="checkbox"/>		01	10/31/2014
<input type="checkbox"/>		02	10/3/2013
<input type="checkbox"/>		03	7/31/2015
<input type="checkbox"/>		02	10/31/2013
<input type="checkbox"/>		13	12/31/2014
<input type="checkbox"/>	Biomechanical testing of human bone	148001	8/31/2013
<input type="checkbox"/>	Biomechanical testing of human bone	148003	9/30/2014

1-25 of 80

OK Cancel

**Protocol Lead Investigator names are not listed for security reasons.**

- You can search and sort your protocols.
- All protocols ever approved in HARP are listed.

## You cannot select an Expired Protocol

---

- If the protocol you need has expired, you should contact the Protocol Lead Investigator to determine the status and whether the protocol is being renewed.
- If you accidentally select a protocol that is expired, you will receive an error message when you click “OK”:

Could not execute the Submit CRF to IACUC activity due to one or more errors:  
You have selected a protocol 'Biomechanical testing of human bone' that has expired and cannot be used for your research at this time. Please contact the Protocol Lead Investigator directly to determine if and when this protocol can be renewed. If you have questions about this process in the eSRA system, contact [eSRAHelp@lbl.gov](mailto:eSRAHelp@lbl.gov) and one of our support staff will contact you to assist. Do not contact the HARC office directly. They cannot assist you with this issue.

- You should contact [eSRAHelp@lbl.gov](mailto:eSRAHelp@lbl.gov) if you need assistance. The HARC office doesn't provide help with the eSRA system.

## What happens when the PI clicks OK?

---

- The Certification Request Form (CRF) is created.
- An email notification is sent to HARC staff, and the Resource Analyst receives copy.
- The “Submit CRF to IACUC” activity is stored in the eSRA proposal history, with a copy of the CRF attachment.
- The approvals tab in the Proposal Workspace is updated:
  - The status indicates that certification has been requested.
  - The protocol(s) identified in the CRF are listed.

# Let's look at the CRF

- eSRA auto-fills the top portion (#1-7).
- PI selected protocol(s) are listed (#8).
- The CRF is electronically signed in eSRA (#9) and routed as needed.

eSRA CONTRACT/GRANT/PROPOSAL CERTIFICATION REQUEST FORM (CRF)

- Principal Investigator on proposal/award: Cynthia McMurray
- Proposal/award Title: Chemical Fingerprinting
- Primary Funding Agency: NIH NEUROLOGICAL DISORDERS & STROKE, NAT
- Primary Agency Award or Tracking No. (if known): 2R01NS060115-07  
*(Ask your OSPIP Contracts Officer or departmental budget analyst for assistance if needed.)*
- LBNL receives: Primary award  Subcontract  (If subcontract, provide name of institution receiving primary award: \_\_\_\_\_)
- Certification requested for: New proposal  Competing Renewal  Continuation  Other \_\_\_\_\_ (such as a proposal revision, or a new certification request for an ongoing project, or a correction to an existing certification; please briefly describe the circumstances):  
\_\_\_\_\_
- If competing renewal/continuation, have there been changes to the research since last certification significant enough to require new protocols or protocol modification?  
A) Human: Yes  No  (check one)      B) Animal: Yes  No  (check one)  
*(If yes to (A) or (B), attach modified proposal; if no to both, submission of this form is sufficient.)*
- List animal and/or human use protocols applicable to this proposal (attach additional page if needed)

HARP System ID	Protocol File Number (PFN or HARC #)	Protocol Title	Reviewing campus (NOITRs)	Expiration Date
IS00000220	274005	Metabolic Markers for Mitochondrial		10/31/2014

*For new submissions, initial/revised certification requests, and competing renewal/continuations with changes, please send a copy of the proposal identified by agency tracking number (if available) and title to the HARC office. The certification letter will be sent to OSPIP (SPOHARC@lbl.gov) and copied to individuals listed in sections (1), (8) and (10). Note: OSPIP will send the certification to the granting agency as required.*

- Signature of PI from Item (1), assuring that the information presented above is complete and accurate:  
\_\_\_\_\_ Electronically signed in eSRA      Date: 5/14/2014 \_\_\_\_\_

---

**For HARC use only**

Current Status: Request received  Side-by-review  Clarification needed? Y  N  Certification approved  Certification letter sent to OSPIP, Others

By: \_\_\_\_\_

# Notification to PI, RA, and OSPIP CO

---

From DoNotReply-eSRA@lbl.gov★

Subject **Human Use Certification for Proposal# FP00000192; Cynthia McMurray; McMurray Chem Fingerprint (Rn)** 3:08 PM

To Parth Banker★, Cynthia L Sylvester★

Other Actions ▾

 Proposal System

Proposal Number: **FP00000192** Title McMurray Chem Fingerprint (Rn) has been certified by IRB at HARC .

Office of Sponsored Research and Industry Partnerships  
Lawrence Berkeley National Laboratory,  
1 Cyclotron Road  
Berkeley, CA 94720

---

This is the end of "Submit CRF to IACUC" slides.  
If you have questions, contact [eSRAHelp@lbl.gov](mailto:eSRAHelp@lbl.gov)

---