AGENDA

- Subledger Set-up
- Monthly Financial Monitoring
- Awardees’ Fiscal Responsibility
- Reporting Requirements
- Questions and Answers
SUBLEDGER SETUP

- Subledger is set-up under the Center for Translational Medicine (CTM).
- Subledger number is provided to pilot awardee.
- Pilot Awardee facilitates administrative and financial transactions.

IMPORTANT TO NOTE

- All financial transactions **WILL** be approved through the CTM to ensure that expenditures align with the approved budget.
- **Pilot Awardee Administrative and Financial staff** are responsible for entering purchase orders, check requests, and Buy Card purchases and obtaining supporting documents such as quotations and invoices for purchases.
MONTHLY FINANCIAL MONITORING

HELPFUL TIPS

- Ensure expenses are allowable, allocable, and reasonable
- For open encumbrances complete the following:
  - If item has not been received- Contact UTSW buyer or vendor to follow-up on status
  - If item has been received- Ensure that it is marked received in PeopleSoft
  - If item has been received and marked as received in PeopleSoft- Obtain invoice from vendor (reference PO Number)
  - If item no longer will be received (order cancelled)- Request to have item disencumbered via UTSWPurchasing@UTSouthwestern.edu
- Request for award balances by email at: CTMTranslationalPilotProgram.UTSouthwestern.edu
Expenditures MUST be directly related to the research project.

Non-typical expenses (gift cards, office supplies, computer supplies, software, books) may require completion of the SPA Direct Cost justification form.

Rebudget may be allowed with prior approval through CTMTranslationalPilotProgram@UTSouthwestern.edu.

Transactions should be entered through HCM.

Enter correct sourcing end date for the budget period:
- First 8 months 9/1/16 - 4/30/17,
- Remaining 4 months 5/1/17 - 8/31/17 for TBD subledger.

Work on project = amount of salary sourcing.

Purchase Order, Check Request, IDR, and Buy Card.

Entered through PeopleSoft.

MUST comply with all UTSW procurement procedures.

Expenses = Approved Budget

Salary Sourcing

Submitting Expenditures
• Obtain all receipts and invoices immediately after purchase
• Submit invoices to Accounts Payable at AccountsPayable@UTSouthwestern.edu and to CTM at CTMTranslationalPilotProgram@utsouthwestern.edu

• Immediately address any and all outstanding financial issues reported to the awardee by the Translational Pilot Program within 10 business days

• Funds MUST be spent throughout the period of the award
• Unencumbered funds MUST be justified in the quarterly reports
• Failure to show progress (including spending funds timely) may result in awards being revoked

Receipts and Invoices
Addressing Financial Deficiencies
Spending within Award Period
**GOAL:** To provide open, community-based opportunity for early career clinical investigators to improve skills in clinical research design and analysis and in the presentation of research plans and data.

- One presentation at the Translational Science Forum (*held Wednesdays from 12-1 PM during academic year*)
- Expert panel members ask specific questions about project
- Participation promotes the following:
  - Builds organizational and presentation skills
  - Elicits critique from campus stakeholders
  - Exposes attendees to wide variety of clinical research on campus
REPORTING REQUIREMENTS

Quarterly Report
- Due within 30 days after the end of each quarter
- Use format shown in Attachment A included in your Notice of Award
- Failure to submit timely reports may result in funds being temporarily frozen until report is submitted

Final Report
- Due within 60 days after the end of the project period
- Use format shown in Attachment B included in your Notice of Award
- Indicates detail results of project and lists of plans to include:
  - Publications
  - Presentations
  - Extramural funding submission

Final Report
- Due within 60 days after the end of the project period
- Use format shown in Attachment B included in your Notice of Award
- Indicates detail results of project and lists of plans to include:
  - Publications
  - Presentations
  - Extramural funding submission
FINAL INVENTION STATEMENT AND CERTIFICATION

- Form HHS
- Instructions/Form available at: https://grants.nih.gov/node/829
- Due within 30 days following the expiration of award
- Statement must include:
  - All inventions conceived and/or first practiced during the course of award (from original effective date of support through the date of completion or termination).
PUBLIC ACCESS POLICY REQUIREMENT

- National Center for Advancing Translational Science (NCATS) – National Institutes of Health (NIH)

- Requires the following:
  - Submission to PubMed Central (PMC)
  - Electronic version of final peer-reviewed manuscript of which direct costs of project is supported from NIH
  - Final version of peer-reviewed manuscript accepted for journal publication (includes modifications from publishing peer review process)

- PubMed Central (PMC) Requirements:
  - All publications must be registered with PubMed Central at www.ncbi.nlm.nih.gov/pmc.
  - TPP recipients must acknowledge the support of the Center for Translational Medicine.
  - Indicate the following statement:
    - “Research reported in this publication was supported by the National Center for Advancing Translational Sciences of the National Institutes of Health under the Center for Translational Medicine’s award number UL1TR001105. The content is solely the responsibility of the authors and does not necessarily represent the official view of the NIH.”

Additional information can be obtained at:  http://publicaccess.nih.gov
ANNUAL TRACKING

- Completed after expiration of award and filing of annual report
- Provide annual updates on publications and extramural funding resulting from grant
- Submitted to the Translational Pilot Program by January 31st of each year for 10 years following award date
- Agree to participate in future tracking and evaluation surveys as requested
- Reports submitted by email to: CTMTranslationalPilotProgram@UTSouthwestern.edu
Clinical Trials

- Clinical trials MUST be registered in [clinicaltrials.gov](http://clinicaltrials.gov)
- Promptly notify CTM of all adverse events that are:
  - Serious
  - Unexpected
  - Related to participation in research
- Guidance information is available at [www.hhs.gov/ohrp/policy/advevntguid.html](http://www.hhs.gov/ohrp/policy/advevntguid.html)
- Additional information can also be found at [http://www.utsouthwestern.edu/research/translational-medicine/doing-research/regulatory-sciences/register-clinicaltrialsgov.html](http://www.utsouthwestern.edu/research/translational-medicine/doing-research/regulatory-sciences/register-clinicaltrialsgov.html)