RESEARCH

REVIEW 8

PROJECT INFORMATION:

PROJECT TYPE
- Instruction
- Research
- Scholarship/Fellowship
- Service
- Other

PROPOSAL TYPE
- New
- Continuation
- Renewal
- Resubmission
- Supplement
- Transfer

AWARD TYPE
- Contract
- Coop
- Grant
- Subcontract

Basic
Clinical Research
Clinical Trial
N/A

Clinical Trial

UTHEALTH INFORMATION:

PI Name/Degree

Academic Position

Email

Phone Number

UTHealth salaried appointment for PI?  
Yes  No  (If not, attach a memo from Chair/Dean/Director authorizing submission.)

Other Covered Individuals:

*List of individuals (as defined above) responsible for the design, conduct or reporting of the research. All persons listed below must complete and submit a copy of the UNIHI conflict of interest (COI) certification form (page 4 of this card). Additional forms can be found [here].

Do you have personnel from other UT Health schools or departments?  
Yes  No  (If you, obtain other school/departamental signature on The RAA Form Signature Addendum.)

Name: ____________________________  Role: ____________________________  % Effort: ____________________________

Department: ____________________________  Faculty: ____________________________

Department Administrative and Financial Contacts:

Contact Person: ____________________________  Phone: ____________________________

Alternate Person: ____________________________  Phone: ____________________________

SPONSOR INFORMATION:

Sponsor/Agency: ____________________________  Prime (Funding Agency)  [If subcontracting]

Address: ____________________________

Contact Name: ____________________________  Phone: ____________________________

Due Date: ____________________________  Receipt: ____________________________  Postmark: ____________________________  Sub Due Date: ____________________________

Funding Opportunity Number (FOA/Announcement): ____________________________

Link to Guidelines: ____________________________

Electronic Submission Required?  
Yes  No

Has this proposal been awarded?  
Yes  No

If Yes, attach Notice of Grant Award.

After the fact proposal?  
Yes  No

Has this proposal already been submitted to the agency?  
Yes  No

FOA Limited Submission?  
Yes  No

If YES, then include permission to submit from FOA.

Continuous Submission?  
Yes  No

UTHealth | Sponsored Projects Administration
What is a Clinical Trial?

A research study in which one or more human subjects are prospectively assigned to one or more interventions (which may include placebo or other control) to evaluate the effects of those interventions on health-related biomedical or behavioral outcomes.

1 See Common Rule definition of “research” at 45 CFR 46.102(d).

2 See Common Rule definition of “human subject” at 45 CFR 46.102(f).

3 The term “prospectively assigned” refers to a pre-defined process (e.g., randomization) specified in an approved protocol that stipulates the assignment of research subjects (individually or in clusters) to one or more arms (e.g., intervention, placebo, or other control) of a clinical trial.

4 An “intervention” is defined as a manipulation of the subject or subject’s environment for the purpose of modifying one or more health-related biomedical or behavioral processes and/or endpoints. Examples include: drugs/small molecules/compounds; biologics; devices; procedures (e.g., surgical techniques); delivery systems (e.g., telemedicine, face-to-face interviews); strategies to change health-related behavior (e.g., diet, cognitive therapy, exercise, development of new habits); treatment strategies; prevention strategies; and, diagnostic strategies.

5 A “health-related biomedical or behavioral outcome” is defined as the pre-specified goal(s) or condition(s) that reflect the effect of one or more interventions on human subjects’ biomedical or behavioral status or quality of life. Examples include: positive or negative changes to physiological or biological parameters (e.g., improvement of lung capacity, gene expression); positive or negative changes to psychological or neurodevelopmental parameters (e.g., mood management intervention for smokers; reading comprehension and/or information retention); positive or negative changes to disease processes; positive or negative changes to health-related behaviors; and, positive or negative changes to quality of life.

From: Notice of Revised NIH Definition of “Clinical Trial”, NOT-OD-15-015, October 23, 2014
What is a Budget?

- Telling the research story with dollars
- Monetary amount of committed research activates

Diagram:
- Study close-out
- Study set-up
- Screening
- Recruitment
- Other study activities
- Regulatory management
- Data Management
- Patient visits

STUDY
What are the Objectives of a Budget?

- Identify and document all research and routine care costs
- Identify and document the financial responsibility for all costs
- *Recover all costs*: pre-study, project management, post-study

**Coverage Analysis**

A systematic review of all study procedures to determine which ones are billable and who should be billed, i.e., Medicare/insurance or the sponsor.
What are Routine Costs?

- Items or services that are typically provided absent a clinical trial
- Items or services required solely for the provision of the investigational item or service, the clinically appropriate monitoring of the effects of the item or service, or the prevention of complications
- Items or services needed for reasonable and necessary care arising from the provision of an investigational item or service – NCD310.1
What are Not Routine Costs?

The investigational item or service itself, unless otherwise covered outside of the clinical trial.

Items or services provided solely to satisfy data collection and analysis needs that are not used in the direct clinical management of the patient (e.g., monthly CT scans for a condition usually requiring only a single scan).

Items and services customarily provided by the research sponsors free of charge for any enrollee in the trial.
What is the Budget Process?

- Obtain study documents: protocol, schedule of events, sponsor budget, consent form, anything else
- Read
- Identify and list all study activities
- Ask questions: PI, Research Nurse/Coordinator, Sponsor
- Re-read
- Document
- Ask more questions
WHAT ARE YOU LOOKING FOR?

Blood draw  X-ray

Physical exam  Whatchamacallit

Biopsy  Patient screening

Follow-up  Surgery

Medical history  Monitoring

CT scan  Endoscopy

Nurse  Blah, blah, blah

CBC  Consen

So on and so on  Coordinator

IRB submission  Meds review

Upper GI series  6-minute walk

This and that  Whositwhatsits

And the other  Physician

Physician  Pain management
Start-Up Costs

- Up-front costs needed to get the study started
- Incurred whether or not a patient is enrolled
- Paid upon execution of clinical trial agreement
- Non-refundable
- No monetary limit
- Include F&A – **30% non-negotiable!**

- IRB fee
- Stipends for initial enrollees
- Protocol submission preparation
- Consent development/translation
- Regulatory binder set-up (time!)

- Site initiation visit
- Site training (time!)
- Recruitment activities
- Administrative fee (time!)
- Anything else to get started
Invoiceable Costs

- Discrete items/events not assigned to each patient
- May or may not be incurred
- Frequency/quantity may vary
- Invoiced and paid after they are incurred
- Include F&A – *30% non-negotiable*

✓ IRB annual review fees
✓ IRB amendments
✓ Other IRB submissions: SAEs, safety reports, patient materials
✓ Patient stipends/travel
✓ Consent changes/translation
✓ Freezer storage fees/dry ice
✓ Monitoring visits (time!)
✓ Screen failures
✓ Unscheduled visits
✓ Study close-out costs
✓ Record retention costs
✓ Anything else that may happen
Expense-Based Costs

- Research and routine care costs
- UTP professional fees
- Match the protocol/schedule of events
- Account for price increases
- Include F&A – 30% non-negotiable!

- CBC
- X-ray
- Angiogram
- Upper GI series
- Biopsy
- Surgery
- Ultrasound
- CT scan
- PFT
- 6-minute walk test
Effort-Based Costs

- Time!
- PI, Nurse, Coordinator, Regulatory Specialist
- How much does it really cost to do the study?
  - Recruitment
  - Chart set-up
  - Patient screening
  - Informed consent
  - Medical history/meds review
  - Lab shipping/handling
  - Patient communication
  - Stipend/travel paperwork
  - CRF completion
  - Query resolution
  - Anything else that takes time

- Include as % effort or built into per patient costs
- Account for salary increases over course of study
- Include F&A – 30% non-negotiable!
Final Considerations

- Know your bottom line
- It’s a negotiation
- Sponsors want sites that can produce…know what your site has to offer
- You should drive the budget process, not the sponsor
- Sponsors should pay for all work related to their study
- Sponsors will pay fair market value in your region…know and justify your costs
- Communication is key
- Own the process
- Review the contract
- Reconcile, reconcile, reconcile
Questions?

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