Title: Research Financial Compliance Monitoring Program  
Relates to Policy/Procedures: 2006-12  
SOP#: 800-09  
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**Purpose and Applicability:** The purpose of the Research Financial Compliance Monitoring Program is to provide for continuous monitoring of financial compliance with all clinical research and clinical trials involving human subjects conducted within the UConn Health, and to institute an audit plan that identifies and collects information necessary to support UConn Health research compliance monitoring and audit activities.

**Background and Significance:** UConn Health must assess financial compliance with Federal, State and institutional policies pursuant to billing activities and clinical research.

**Scope:** The Research Financial Compliance Monitoring Program provides UConn Health investigators with:
- an internal mechanism for quality assurance, quality improvement and education pursuant to research financial / billing compliance and clinical research / clinical trails with human subjects
- practical support in the process of designing clinical trials budgets, assigning Protocol Induced Costs (PIC) and Routine Clinical Services (RC), identifying and complying with institutional policies as well as State and Federal regulations and laws.

**Responsibilities:** The Office of Clinical and Translational Research (OCTR) is responsible for implementing procedures that ensure that subject billing adheres to the regulations set forth in the Medicare National Coverage Decision for Institutional Review Board approved clinical protocols.

**Procedural Steps:** SOP 801-09 covers procedural steps involved in the monitoring / auditing process.

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<th>Revision date: 8/24/16</th>
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