



TEXAS TECH UNIVERSITY HEALTH SCIENCES CENTER

Operating Policy and Procedure

HSC OP: 73.02, **Ownership and Transfer of Externally Sponsored Projects and Research Records**

PURPOSE: The purpose of this Health Sciences Center Operating Policy and Procedure (HSC OP) is to state the policy to be used for the transfer of grant funds, equipment, and research records to another institution upon the Project Director leaving Texas Tech University Health Sciences Center (TTUHSC).

REVIEW: This HSC OP will be reviewed on July 1 of each even-numbered year (ENY) by the Executive Vice President for Research (EVPR), with recommendations for revision forwarded to the President by July 15.

POLICY/PROCEDURE:

1. TTUHSC follows Public Health Service guidelines for the transfer of grant funds and equipment. Externally funded grants and contracts (including drug studies) are awarded to TTUHSC, not the Principal Investigator/Project Director (PI/PD). TTUHSC personnel, equipment, facilities, patients, etc., are then utilized to meet the conditions of the agreement with the granting agency.
2. The legal and administrative responsibility for administering a grant-supported project or activity may be transferred from one legal entity to another before the expiration date of the approved project period for the grant being transferred. Upon a PI/PD leaving the employ of TTUHSC, balances "earned" in any accounts from any such agreements may not be transferred with the Project Director. If a study is incomplete, the work may be transferred to another institution if the sponsoring agency, the "new" institution, and TTUHSC so desire, and the proper documentation is completed for the transfer. Equipment (as defined in OP 63.10) that was purchased with extramural funded projects can be transferred only if the grant is active at the time of the proposed transfer with documented agreement from the funding agency, the Office of Research at the "new" institution, and the Office of Research at TTUHSC. If the grant is not active, items of equipment obtained with the grant funds may be purchased at fair market value and subsequently transferred from TTUHSC in accordance with OP 63.10.
3. Original research records (including, but not limited to data, research notes, laboratory notebooks, computer files and regulatory documents) are owned primarily by TTUHSC. TTUHSC has the right of access to supporting records for all research carried out by TTUHSC faculty or employees and this right shall continue regardless of the location of the PI/PD. Original records may be required to answer questions regarding research management and conduct or to comply with requirements of extramural funding agencies. When a Project Director leaves TTUHSC, the original research records must be retained by TTUHSC. The PI/PD's department and collaborators on the project should be aware of the location of the original research records. The records are to be retained as required by HSC OP 10.09. The departing Project Director may keep copies of necessary research records.
4. Requests to transfer external funding should be addressed to the Office of Sponsored Programs.