



TEXAS TECH UNIVERSITY HEALTH SCIENCES CENTER

Operating Policy and Procedure

HSC OP: 73.13, Approval Process for External Funding Requests

PURPOSE: The purpose of this Health Sciences Center Operating Policy and Procedure (HSC OP) is to set forth the process by which proposals requesting financial support from external sources (referred to as sponsored projects) are reviewed and approved prior to submission.

REVIEW: This HSC OP will be reviewed on June 1 of each odd-numbered year (ONY) by the Associate Vice President for Sponsored Programs with recommendations for revisions forwarded to the Executive Vice President for Research and Innovation.

POLICY/PROCEDURE:

1. Definitions

- a. Sponsored projects shall be defined as externally-funded activities in which a formal written agreement, i.e., a grant, contract, or cooperative agreement, is entered into by TTUHSC and the sponsor. A sponsored project may be thought of as a transaction in which there is a specified statement of work with a related, reciprocal transfer of funding. The statement of work is usually supported by both a project schedule and a line-item budget, both of which are essential to financial accountability. Sponsored projects may be for activities related to research, instruction, academic support, or public service.
- b. Sponsored projects include consortium and subaward agreements in which another entity is the lead applicant. TTUHSC faculty and staff participating in such projects must provide 1) [completed Cayuse](#) Internal Processing Form (IPF) 2) a Statement of Work that describes the TTUHSC portion of the project; and 3) the proposed TTUHSC portion of the budget including the budget justification.
- c. For the purpose of these operating policies and procedures, gifts and donations are not considered sponsored projects and are defined as follows: charitable contributions of any kind of property, real or personal, including pledges, which are given for restricted or unrestricted purposes by donors from the private sector (e.g., individuals, foundations and corporations). A gift is bestowed by the donor voluntarily and without expectation of any tangible return (for more information on gifts see TTUHSC OP 02.02 Solicitation of Gifts and Grants from Private Philanthropic Sources.)
- d. Any funding request to a government agency, at the federal, state, or local level, in support of TTUHSC activities is considered a sponsored project.

2. Submission Process

- a. The Office of Sponsored Programs (OSP) is the central administrative office responsible for submitting proposals and accepting awards on behalf of TTUHSC.
- b. *Routing proposals through OSP.* Proposals to external agencies requesting funds and/or committing TTUHSC resources must be reviewed, approved, and signed by an authorized institutional official prior to submission. Cayuse is the system used to obtain this approval and ensures concurrence by the project director's department, school, or unit administration. Cayuse IPFs are required in accordance with the Cayuse SP Handbook located on the OSP webpage.

- c. *Submission Deadline.* Adequate lead time is needed for review by OSP staff and to obtain institutional approval prior to submission to the sponsor. OSP requires five (5) working days to review proposals and secure appropriate signatures.
- d. *Routing Electronic Proposals.* Electronic proposals are subject to the same requirements as paper proposals and must receive institutional review and approval prior to submission. This includes electronic submission through agency portals, or via email.
- e. *Responsibilities of the Executive Vice President for Research and Innovation.* The Executive Vice President for Research and Innovation shall be responsible for the implementation of this policy through the establishment of appropriate policies and procedures, and is delegated, by the President of the TTUHSC, the authority to establish and oversee such policies and procedures.