



## TEXAS TECH UNIVERSITY HEALTH SCIENCES CENTER EL PASO

### Operating Policy and Procedure

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

**PURPOSE:** The purpose of this Texas Tech University Health Sciences Center EP Operating Policy and Procedure (HSCEP 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 El Paso (TTUHSCEP).

**REVIEW:** This HSCEP OP will be reviewed on July 1 of each even-numbered year (ENY) by the Director of Sponsored Programs or designee, with recommendations for revision submitted to the Vice President for Research (AVPR) by July 15.

#### **POLICY/PROCEDURE:**

1. TTUHSCEP follows Public Health Service guidelines for the transfer of grant funds and equipment.

Externally funded grants and contracts (including drug studies) are awarded to TTUHSCEP, and not to the Principal Investigator/Project Director (PI/PD). TTUHSCEP 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 TTUHSCEP, balances "earned" in any accounts from any such agreements may not be transferred with the PI/PD. If a study is incomplete, the work may be transferred to another institution if the sponsoring agency, the "new" institution, and TTUHSCEP 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 Sponsored Programs or equivalent at the "new" institution, and the Office of Sponsored Programs at TTUHSCEP. 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 TTUHSCEP 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 TTUHSCEP. TTUHSCEP has the right of access to supporting records for all research carried out by TTUHSCEP 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 PI/PD leaves TTUHSCEP, the original research records must be retained by the faculty member's academic department. The PI/PD's department and collaborators on the project should designate the location where the original research records will be kept. The records are to be retained as required by HSC OP 10.09. The departing PI/PD may keep copies of necessary research records.

4. Requests to transfer external funding should be addressed to the Office of Sponsored Programs.