

EXTERNAL FUNDING

Effective May 4, 1993

Revised: January 1996

The University of Tennessee Health Science Center encourages and wishes to assist its faculty and staff in obtaining and administering external support to maintain the excellence of its programs in health professional education, biomedical research, public service, and patient care.

Definitions

External funding received by the University falls into three categories: 1. Charitable Gifts from Private Sources - charitable gifts from individuals, corporations, foundations, or other private sources. 2. Grants and Contracts for Research, Training and other Sponsored Activity - grant applications, contract proposals, and contracts for research, training or other sponsored activity involving support from federal, state or local agencies, private corporations, or foundations. This category of external support generally incurs an obligation on the part of the University to conduct specific research of interest to the sponsor; to follow a specified protocol designed by the University or the sponsor; or to use funds, materials, equipment, or information in accordance with specific criteria set forth in an agreement. 3. Other Contracts and Agreements - affiliation agreements, leases or contracts for services.

Applications Submitted through the University

To maximize the opportunity for success, to protect the interests of the individual faculty or staff member, and to ensure that the institutional priorities, policies, and procedures are properly represented in all external arrangements using the University's name, facilities or other resources, prospective institutional approval and coordination are necessary. External agency funding described herein, whether made payable to the University or to the employee as an individual, must be administered by the University and cannot be considered by the employee as a charitable contribution to the University. A University employee (full or part time paid faculty and staff) may not be involved in a separate organization such as a foundation that accepts and administers funds for health-related research, education, or training that is to be performed by the individual or other UT Health Science Center faculty or staff in his/her capacity as a UT employee. (See Fiscal Policy #05-015 Conflict of Interest and the related campus procedure.)

Administrative Offices Responsible for Reviewing/Processing Applications

1. Charitable Gifts from Private Sources - Consultation and coordination with the Office of Development and Alumni Affairs must occur prior to solicitation of charitable gifts from individuals, corporations, foundations, or other private sources. The UT Health Science Center policy on Charitable Fundraising (#2.050) sets forth specific policy and procedures related to charitable fundraising.

2. Grants and Contracts for Research, Training, and Other Sponsored Activity - This category of external support are the responsibility of Research Administration. Documents involving the work of paid faculty or staff that must be processed through Research Administration include:

- * applications for sponsored research grants
- * applications for research training grants
- * fellowship applications
- * research contracts and proposals for research contracts
- * clinical study agreements with pharmaceutical companies
- * confidentiality agreements related to University work
- * materials-use agreements * equipment transfer agreements
- * subcontract proposals under federal and non-federal grants and contracts.

Specific procedures related to coordination and processing of these documents are set forth in the Research Procedures Manual that is available in each departmental office. The Office of Research Administration will determine if grants from private sources (foundations, corporations, organizations) should be coordinated with the Office of Development and Alumni Affairs.

3. Other Contracts and Agreements - These documents are submitted through the Office of Business and Finance. Fiscal Policy Statement #5, Sections 120, 130, 140 and the related procedures set forth University policy and campus procedures for processing these documents. The Office of Research Administration should be contacted to assist in clarifying the process to be followed in a given situation. Any deviation from the requirements set forth herein must have prior approval of the appropriate dean and of the vice chancellor for business and finance.

Use of Funds, Materials and Equipment

Use of funds, materials, and equipment obtained from external sources is subject to applicable University fiscal, administrative, and/or research policies; applicable sponsor policies and/or regulations; and specific grant or contract language. It is the responsibility of the investigator and department head to ensure compliance with applicable policies, regulations, and/or agreements. Assistance in determining such obligations will be available in the respective administrative offices identified above.