

Dual Appointment or Non UCI Personnel Performing Research at UCI (version 11-2019)

The purpose of this document is to provide IRB Teams guidance for when the following situations apply. This guidance may also be shared with researchers for educational purposes:

1. A dual appointment researcher is performing research at UCI *or*
2. A non UCI researcher is performing research at UCI

As part of the UCI IRB review process, determine what documentation is needed. First, consider:

1. Engagement: **Is the researcher engaged* in research?** (if no, no further items are needed)
2. Funding: **Is the research federally funded?**

(If no, generally no further items are needed. Note that there may be exceptions based on the procedures, subject matter, request of other site, etc. Please discuss with IRB team manager as necessary. In all cases, regardless of funding type, the researcher should be advised to contact Grace Park to execute a data transfer and use agreement (DTUA). The DTUA is in parallel to the IRB process and will not hold up the IRB approval.)

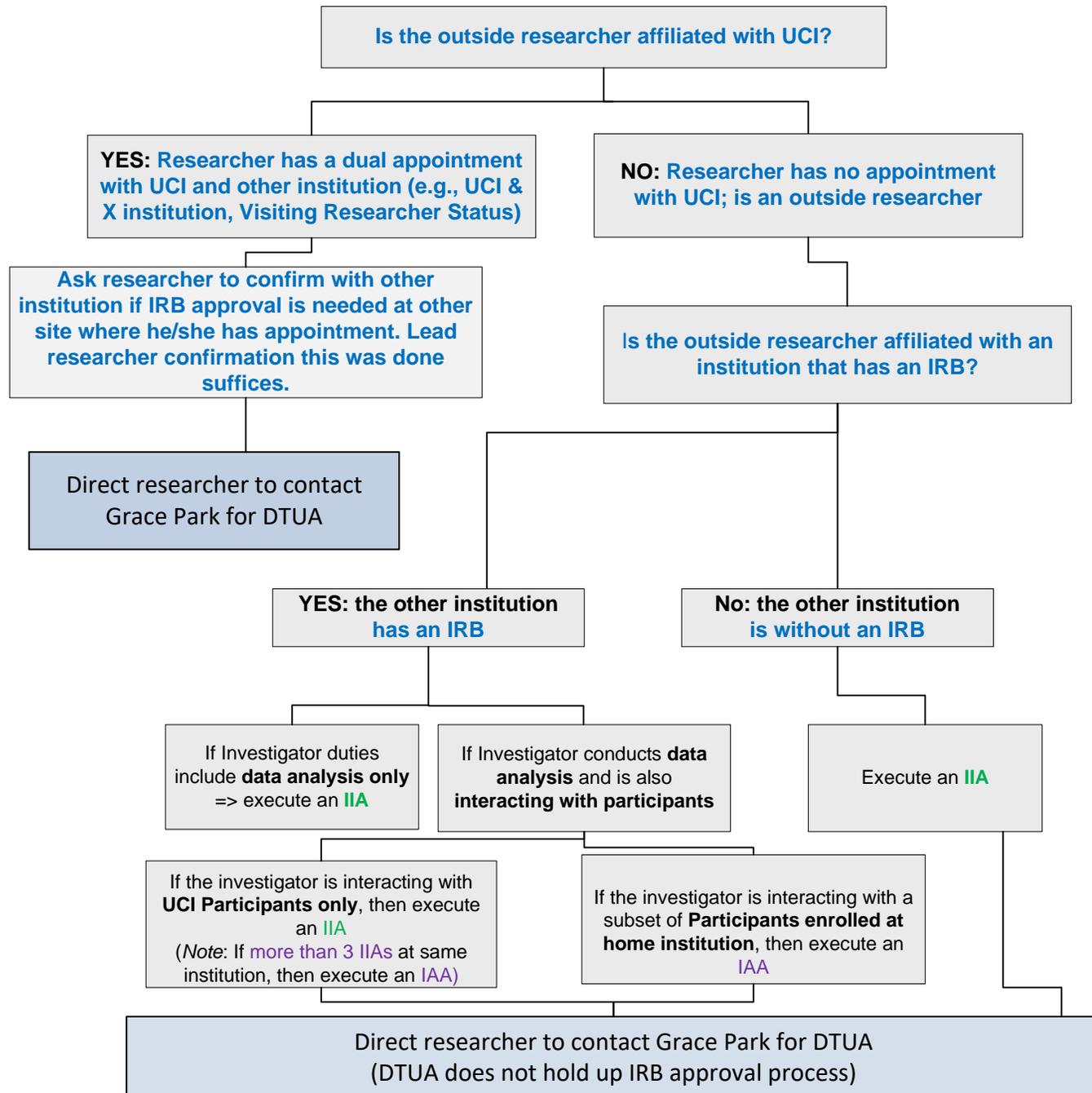
(if yes, proceed below)

Key Terms:

Individual Investigator Agreement (IIA): Agreement between UCI and an Individual engaged in research

Institutional Authorization Agreement (IAA): Agreement between UCI IRB and another Institution's IRB

(Forms can be found under 'Human Research Protections', 'Other Forms': <https://research.uci.edu/forms/index.html>)



Criteria used to determine which institution's IRB has oversight over the research performed at UCI by researchers with dual appointment:

If all of the following conditions are met, the UCI IRB has oversight and no other documentation is needed:

1. **UCI is the prime awardee** of a grant
2. The majority of the research procedures are **conducted at UCI**
3. it is conducted by or **under the direction of UCI personnel** in connection with his or her UCI responsibilities;
4. it uses **UCI property, facilities, or resources** to support or carry out the research;
5. the name of the University of California, Irvine is used in explanations and/or **representations to subjects**;
6. If applicable: the investigator plans to **use his/her University of California, Irvine** association in any dissemination, **publication** or public presentation resulting from the research.

If any of the above conditions are not met, the dual appointment researcher is considered an outside collaborator using their other institutional affiliation – in this case, please follow the Decision Tree for Outside researchers

IAA = IRB Authorization Agreement

- Research is under HHS oversight (i.e. federally funded)
- Individual is engaged in the research by interacting with participants
 - is not affiliated with UCI, or
 - has a dual appointment
- Individual is affiliated with another institution that has an IRB who will cede IRB review to UCI

IIA = Individual Investigator Agreement

- Research is under HHS oversight (i.e. federally funded)
- Individual is not affiliated with UCI and not affiliated with another institution that has an IRB
- The IIA must be signed by the UCI Institutional Official or its designee
- For questions, contact IRBReliance@uci.edu