

## UCI ADMINISTRATIVE POLICIES & PROCEDURES

### RESEARCH AND SPONSORED ACTIVITIES

#### Office of Research Administration

#### Section 480-2.3: Responsibilities for Conduct & Administration of Research for Deans, Directors, Department Chairs, Division Chiefs and Sections Heads

Responsible Office: Office of Research Administration

Issued: January 31, 1998

Revised: December 1, 2004; May 1, 2005

#### References

- UC Academic Personnel Manual (APM)
- UC Contract and Grant Manual
- UC Policy on Integrity in Research
- UC Research Policies and Guidelines
- UCI Research Policies and Guidelines

#### Summary

This policy describes the research-related academic responsibilities, regulatory committee responsibilities, and fiscal and institutional responsibilities of Deans, Directors, and Chairs.

#### Policy Statement

College/school deans, department chairs, and program or Organized Research Unit directors are accountable for the performance of investigators under their supervision and the scientific and financial managements of sponsored projects. Specific responsibilities related to this accountability vary in accordance with various academic organizational arrangements. No distinction is made between these roles unless specified.

#### Authority and Responsibility

**Deans, Chairs, and Directors** are responsible for:

- reporting to the Vice Chancellor for Research (VCR) any failure of a faculty or staff member to carry out (research) responsibilities and recommend appropriate disciplinary action;
- reporting research requiring regulatory committee approval;
- pre-reviewing research protocols prior to submission to the applicable regulatory committee(s) to:

- assure the research is appropriate in design (i.e., the research uses procedures consistent with sound research design, the study design can be reasonably expected to answer the proposed question, and the importance of the knowledge expected to result from the research is known);
  - assure that adequate resources for human research studies are in place to ensure that research participants are protected; and
  - determine investigator eligibility and competency to perform the research or supervise it.
- Maintaining a current inventory of department's human, animal and recombinant DNA research, including protocol number, and submitting this information to the Research Protections office and other University officials, as requested;
  - requiring that the Principal Investigator or Lead Researcher provide a written disclosure of any personal financial interest they have in a research proposal or human subjects protocol before signing the application form; and
  - advising the Research Protections office within five working days of the reduction to less than 50% appointment or termination of any appointment of a Lead Researcher.

**Deans or Chairs** are additionally responsible for recommending and encouraging faculty members from the department, unit, school or college to serve on the UCI regulatory committees.

**Deans** are additionally responsible for:

- requiring reporting from department chairs and division chiefs on research requiring regulatory committee approval;
- ensuring Chairs assume their responsibilities; and
- administration of their school, departments, divisions, or other units, including the fiscal responsibility for insuring systemwide and local policies are observed.
- Sponsored projects administration, which includes:
  - determining eligibility for Principal Investigator and Lead Researcher status and requesting approval for exceptions to policy from the VCR, when appropriate;
  - determining consistency of proposed projects and subsequent awards with the educational, research, and/or public service objectives of the unit;
  - determining the appropriateness and acceptability of proposed faculty time, space, equipment, and University financial commitments (i.e., released teaching time, cost sharing or, equipment screening);
  - reviewing project costs to ensure allowability, realistic projections, and that the source of funding is identified; and

- consulting with a PI to quickly resolve a deficit or disallowance incurred under a grant or contract.
- Internally-funded research administration, which includes determining an investigator's competency to perform research or supervise it.

**Chairs** are additionally responsible for:

- overseeing all research conducted within their academic unit;
- departmental observance of proper health and safety regulations;
- maintaining records and preparing reports in accord with University procedures;
- reviewing annual disclosures of outside activities of academic appointees as required by the University Academic Personnel policy;

**Directors** are additionally responsible for overseeing all research conducted within their research unit.

**UCI Medical Director** is responsible for:

- ensuring clinical research costs incurred by the Medical Center are appropriately projected and covered by available resources;
- managing patient and subject medical records in accordance with federal, state, and University requirements.