

UCI ADMINISTRATIVE POLICIES & PROCEDURES

RESEARCH AND SPONSORED ACTIVITIES

Office of Research Administration

Section 480-2.2: Responsibilities for Conduct & Administration of Research for Faculty Sponsors

Responsible Office: Office of Research Administration

Issued: January 31, 1998

Revised: December 1, 2004

References

- ORA Research Policy, Lead Researcher Eligibility
- ORA Research Policy, Eligibility to Serve as Principal Investigator

Summary

This policy defines what a Faculty Sponsor is and describes the responsibilities associated with being a Faculty Sponsor. Lead Researchers who do not meet the criteria to serve as Principal Investigators, as defined by the UCI policy, must have a Faculty Sponsor to gain access to UCI regulatory committees, e.g., Institutional Review Board (IRB), Institutional Animal Care and Use Committee (IACUC), and Institutional Biosafety Committee (IBC). A Faculty Sponsor may also be required to assume responsibilities as a Principal Investigator when a student or trainee applies for extramural support through UC Irvine.

Definitions

Faculty Sponsor (FS) is a title signifying eligibility under University policy to submit proposals for extramural support of a research, training, or public service project; and to perform research involving human and animal subjects and use of recombinant DNA (rDNA).

Lead Researcher (LR) is a title signifying eligibility to perform research involving human and animal subjects and use of recombinant DNA (rDNA). Individuals serving as LR on IRB, IACUC and IBC protocols must have a formal affiliation (i.e., a faculty or staff appointment or enrolled student) with UCI. The type of appointment an individual has determines whether they may serve as a Lead Researcher on their own or whether a Faculty Sponsor is required.

Policy

For human, animal and rDNA protocols, the Faculty Sponsor's responsibilities are separate and distinct from the Lead Researcher's responsibilities. Faculty Sponsors must recognize and accept their responsibilities and demonstrate their recognition and acceptance by signing a document so stating and attaching it to a protocol or proposal when submitted to the appropriate regulatory committee.

Generally, students, postdoctoral fellows, and postdoctoral trainees may not act as a Principal Investigator on grants and contracts. Exceptions may be approved for postdoctoral trainees when the application for, and administration of, a small extramural grant is an approved activity of the training program; however, under no circumstances may the

duration of the proposed grant exceed the traineeship period. In all other cases, the student's or post doc's faculty advisor shall be designated principal investigator.

In assuming their sponsoring responsibilities, Faculty Sponsors should be recognized on campus for this community service.

If Faculty Sponsors do not assume their responsibilities, the appropriate regulatory committee, in consultation with the Vice Chancellor for Research (or the VCR's designee) has the right to terminate or limit a faculty member's active or future sponsorships.

Authority and Responsibility

Faculty Sponsors are responsible for:

- understanding the LR's research hypotheses, goals and methodology;
- assisting the LR with protocol preparation and research descriptions for regulatory committee review;
- ensuring the LR is provided with, or has access to, information on University policies relating to the administration of their protocol or award;
- staying apprised of the status of each protocol or award under their sponsorship;
- assuring that the LR understands the underlying ethical principles for conducting research with human and animal subjects, and applicable research regulations and University and campus policies pertaining to activities that involve human or animal subjects and the use of recombinant DNA;
- assuring that the LR follows the protocol approved by the IRB, the IACUC, and/or the IBC,
- assuring that the LR seeks regulatory approval of all proposed changes and implements such changes only after regulatory approval is granted;
- assisting UCI's applicable regulatory committee(s) (IRB, IACUC, IBC) in obtaining information from a protocol's Lead Researcher;
- notifying the applicable regulatory committee(s) and Sponsored Projects staff of withdrawal of their sponsorship for any reason;
- notifying the applicable regulatory committee(s) and the Lead Researcher of the following changes in their appointment: reduction of salaried effort to less than 50% or separation from the University;
- participating in any reviews or audits of the research activity as conducted by the extramural sponsor, the University, or state or federal regulators; and
- serving as a respondent for any inquiries into regulatory non-compliance or scientific misconduct.