

Research

Sponsored Projects

Sec. 483-40: UCI Implementation of Regents Policy 2309: Policy Requiring Special Review/Approval Procedures Prior to University Submission of Research Proposals to Tobacco Industry Funders

Responsible Administrator:

Issued: June 10 2098

Revised: February 4, 2025

References / Resources:

- UC Policies
 - [Regents Policy 2309](#)
- UC Resources
 - [Propoals to the Tobacco Industry](#)
 - [List of Entities Identified with the Tobacco Industry](#)
- UCI Resources
 - [Review for Tobacco Industry Sponsors](#)

Contact: Sponsored Projects Administration at spa@rgs.uci.edu.

Contents

A. Purpose and Scope

B. Definitions

C. Responsibilities / Authority

D. Policy

E. Exceptions

F. Procedures

G. Noncompliance

H. Reporting

A. Purpose and Scope

This policy:

- Implements [Regent Policy 2309: Policy Requiring Special Review/Approval Procedures Prior to University Submission of Research Proposals to Tobacco Industry Funders](#) at UCI.
- Applies to all research proposals to Tobacco Industry Sponsors for research activities and any activities reasonably construed as research (for example, testing or services that may be provided under a research services agreement) submitted through UCI, and regardless of the expected funding mechanism (that is, grant, contract, gift, research services agreement, or other mechanism), and any funding UCI receives from a Tobacco Industry Sponsor in the absence of a proposal (for example, but not limited to, gifts).
- Establishes a review process that must occur prior to the proposal being submitted to the sponsor.

B. Definitions

1. **Tobacco Industry Sponsor:** An entity whose principal business is the manufacture and sale of tobacco products, and agencies that are substantially controlled by or acting on behalf of such entities. Tobacco Industry Sponsors include, but are not limited to, the entities on the [List of Entities Identified with the Tobacco Industry](#).

C. Responsibilities / Authority

1. **Principal Investigators:**
 - a. Consider carefully about applying to, and accepting research funding from, the tobacco industry, including whether the research might be better served by seeking funding from alternate sources.

- b. Uphold the highest scientific and ethical standards in designing, conducting, and reporting UCI research. This includes not allowing extramural sponsors to direct or control how UCI conducts its research, including analyzing research data, and/or how it disseminates research results.
- c. Contact the [Office of Research](#) for guidance regarding the required review and approval process well in advance of any proposal submission deadline.

2. Office of Research:

- a. Coordinate the review and approval process.
- b. Coordinate the reporting of review determinations.

3. Vice Chancellor for Research:

- a. Advise the Chancellor regarding the formation of scientific review committees, and make recommendations regarding committee membership.
- b. If the Chancellor so designates, act as the Chancellor's designee to form a scientific review committee.
- c. Advise the Chancellor regarding a scientific review committee's recommendation and any recommendation received from the Conflict of Interest Oversight Committee.

4. Scientific Review Committee:

- a. Conduct a scientific review of the proposed research or research activity, including whether sound methodology and study/project design will allow the Principal Investigator and research team to reach objective and scientifically valid conclusions.
- b. Write a report that includes:
 - i. The committee's recommendation whether the research proposal or research activity should be approved.
 - ii. The rationale for the recommendation.
 - iii. Whether the committee recommends any changes to the research project, including its design, prior to the Chancellor's review and determination.

5. Conflict of Interest Oversight Committee:

- a. As required by applicable UCI policy, review the financial disclosures of the Principal Investigator and any other research personnel involved in the proposed research or research activity.

- b. Advise the Vice Chancellor for Research regarding recommendations for addressing and mitigating or eliminating any real or perceived conflicts of interest.
- 6. Chancellor:**
- a. Consider the scientific review committee's written report and any advice provided by Vice Chancellor for Research, including any recommendations from the Conflict of Interest Oversight Committee.
 - b. Determine whether the proposed research or received research funding should be approved.

D. Policy

1. General

- a. Any proposed research or research activity must undergo a scientific review and be approved by the Chancellor before a proposal may be submitted to a Tobacco Industry Sponsor. In the absence of a proposal, if UCI receives funding from a Tobacco Industry Sponsor and it is designated for research or a research activity, then such funding may not be accepted without a scientific review and the Chancellor's approval.
- b. Principal Investigators who intend to seek Tobacco Industry Sponsor funding or who have received such funding in the absence of a proposal must contact the [Office of Research](#) for guidance and to request a review.

2. Scientific Review

- a. A review must be conducted by a scientific review committee consisting of at least three (3) faculty members with expertise in the science relevant to the planned research or research activity.

3. Final Approval

- a. The Chancellor's determination is final. Proposals may not be submitted and funding for unsolicited research or research activities from Tobacco Industry Sponsors may not be accepted if the Chancellor does not provide approval.

E. Exceptions

There are no exceptions to this policy.

F. Procedures

Procedures supporting this policy are available on the [Review for Tobacco Industry Sponsors web page](#) on the Office of Research website.

G. Noncompliance

In the absence of a scientific review and the Chancellor's approval as required by this policy, funding received from Tobacco Industry Sponsors for research or research activities will not be accepted and will be returned.

H. Reporting

For each research project or research activity reviewed in accordance with this policy, a written determination, which includes the rationale for the determination, will be provided to the Principal Investigator, the Vice Chancellor for Research, the President, and The Regents.