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Policy Information

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Policy Number:
UHAP 2.13
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Policy

2.13.01 General

Research proposals should be routed: (a) through department heads and deans, who are informed on University policies regarding such proposals and who may allocate space and workloads in accordance with research projects; and (b) through Sponsored Projects Services, which must approve proposal budgets. Sponsored Projects Services also must approve all research proposals on behalf of the Senior Vice President for Research.

Applications for special grants for summer and academic-year institutes and for other instructional and facility grants also should be made through the Office for Research & Discovery.

The following procedures apply in all research involving outside funding.

1. The Senior Vice President for Research has delegated approval authority to Sponsored Projects Services for all proposals for outside funding.
2. Any communication with a granting or contracting agency concerning a change in existing research support, such as a request for additional funds or an extension of support time (with or without additional funds), must bear the approval of Sponsored Projects Services.
3. A request for a change in category (use) of existing support funds, such as using "supplies" money for additional "personnel," can often be handled within the University. The principal

investigator should contact Sponsored Projects Services to learn if the current policy of the granting or contracting agency requires that the agency approve the change, or merely be notified. Whatever the sponsoring agency's requirement, Sponsored Projects Services must be apprised of such changes in category.

2.13.02 Research Involving Human Subjects

The University is required to safeguard the rights and welfare of human subjects involved in research. Any project originated by the University of Arizona and Banner–University Medical Group which uses human subjects must be submitted for review and approval by the University's Human Subjects Protection Program (HSPP) and the Institutional Review Board (IRB).

In compliance with federal regulations, the review shall ensure (a) that the rights and welfare of the subjects involved are adequately protected; (b) that the risks to an individual (whether physical, psychological, or social) in any activity which goes beyond the application of accepted procedures are outweighed by potential benefits; (c) that subject selection is fair; and (d) that legal, informed consent of participants is obtained by methods that are appropriate and adequate. Approval of the IRB or HSPP must be obtained before the project is initiated.

Forms and instructions for securing approval for research involving human subjects and information about the Human Subjects Protection Program are available online as follows:

- Human Subjects Protection Program: http://rgw.arizona.edu/compliance/human-subjects-protection-program [2]

2.13.03 Research Involving Animal Subjects

All research, both sponsored and non-sponsored, involving animal subjects must be reviewed by the Institutional Animal Care and Use Committee (IACUC) to ensure that it conforms to University policies governing animal welfare and meets the requirements of the federal Animal Welfare Act and the Public Health Service Policy on Humane Care and Use of Laboratory Animals.

Principal investigators who plan to use animal subjects as part of their research should contact a member of IACUC or a University laboratory animal veterinarian early in the project design stage to determine the appropriateness of specific species as models for the research and appropriate procedures to be used on the animals in the course of the research.

2.13.04 Research Involving Questionnaires and Surveys

All questionnaires and surveys involving possible risk to respondents must be reviewed and approved by the Human Subjects Committee (see Section 2.13.02).

University researchers should notify their department heads and deans of questionnaires and surveys being distributed off-campus. Not infrequently the University, usually the President's Office, receives inquiries concerning the legitimacy and appropriateness of such material, and will be in a better position to explain the research and its legitimacy if information is provided by the researcher in advance.

2.13.05 Secret (Classified) Research

Recognizing that the values of openness in research and of academic freedom sometimes conflict, the Faculty Senate has established the following policy on secret or classified research.

1. All accepted projects will conform to Arizona and federal statutes.
2. No secret thesis or dissertation shall be accepted as the basis for any degree, and no academic credit shall be awarded for secret research.
3. No secret research or materials shall be considered in connection with appointments, reappointments, tenure, promotions, or merit pay raises.
4. Information will be made publicly available about all research awards, including the amount of funding, the time period, the title, the nature of the project, and the sponsor.
5. In rare instances, the goals and objectives of the University may best be served by waiving parts of this policy. In such instances, and with due consideration to the fact that they must be exceptional, parts of provision 4 may be waived by the Senior Vice President for Research, after consultation with the Faculty Senate Research Policy Committee.

For purposes of this policy, secret material is defined as any material (a) which is restricted from public access, or (b) which cannot be submitted for publication in the open literature.

2.13.06 Ownership Of Scientific Collections and Research Materials

Investigators who use their own funds and their own time to develop collections retain the rights to those collections. All specimens and related research materials collected or acquired by students, staff, and appointed personnel with the use of University funds or services automatically become the property of the University, but the University reserves the right to reject such materials. By accepting a collection, the University assumes responsibility for its curatorial care and storage. Exceptions to these policies are best agreed to in writing between the investigator and the appropriate University officer, usually the Senior Vice President for Research, before work is begun.

Investigators who leave the University may request permission to remove all or part of a University collection they have developed. Such requests should be made to the appropriate department head, dean, and the Senior Vice President for Research.

2.13.07 Patents

University's rights and procedures regarding patented and patentable discoveries are delineated online as follows:

- Arizona Board of Regents' Intellectual Property Policy 6-908 [3]
- University of Arizona Intellectual Property Policy [4]

2.13.08 Right to Income from Publications

The University of Arizona encourages and aids appointed personnel members in publishing textbooks and other professional works. The University does not claim any portion of the royalties accruing from these publications when the publisher is a publishing house of recognized standing and has secured copyright.

Related Information*

Animal Welfare Act [5]

Revision History*

Minor updates March 8, 2016

Section 2.13.02 revised 5/2006

Section 2.13.07 revised 9/2002

Source URL: http://policy.web.arizona.edu/employmenthuman-resources/research-related-policies

Links
[1] mailto:hradmin@email.arizona.edu
[2] http://rgw.arizona.edu/compliance/human-subjects-protection-program
[3] https://public.azregents.edu/Policy%20Manual/6-908-Intellectual%20Property%20Policy.pdf
[4] http://policy.web.arizona.edu/research/intellectual-property-policy
[5] http://awic.nal.usda.gov/government-and-professional-resources/federal-laws/animal-welfare-act