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.)


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

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

Is the outside researcher affiliated with UCI?

YES: Researcher has a dual appointment with UCI and other institution (e.g., UCI & X institution, Visiting Researcher Status)

NO: Researcher has no appointment with UCI; is an outside researcher

Ask researcher to confirm with other institution if IRB approval is needed at other site where he/she has appointment. Lead researcher confirmation this was done suffices.

Direct researcher to contact Grace Park for DTUA

Direct researcher to contact Grace Park for DTUA (DTUA does not hold up IRB approval process)

Is the outside researcher affiliated with an institution that has an IRB?

YES: the other institution has an IRB

If Investigator duties include data analysis only => execute an IIA

If the investigator is interacting with UCI Participants only, then execute an IIA
(Note: If more than 3 IIAs at same institution, then execute an IAA)

No: the other institution is without an IRB

If Investigator conducts data analysis and is also interacting with participants

If the investigator is interacting with a subset of Participants enrolled at home institution, then execute an IAA

Execute an IIA

Guidance developed by M. Nistor and V. Sanchez at UCI Human Research Protections
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.


- 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