Administrative Regulation — Administration of Research Activities

I. Scope

As set out in *Governing Regulation I — Declaration of Principles*, research is a core component of the University of Kentucky's mission and commitment to advance the Commonwealth.

This *Administrative Regulation* establishes a broad definition of research, delineates the authority and responsibilities of the Vice President for Research (VPR), authorizes the VPR to utilize an affiliated corporation in support of the University's research efforts and establishes mechanisms for enforcement.

For additional information and policies, see Office of the Vice President for Research.

II. Definitions

A. Researcher

A researcher is any University employee, retiree, authorized volunteer or student contributing to research (not as a study participant), as well as any participating partner engaged by or with the University in research (e.g., any individual or entity who, though not a University employee or student or study participant, engages in activities or provides services that contribute to or have bearing on University research activities).

B. Research and Creative Activity

"Research" means a systematic investigation, study or experiment designed to develop or contribute to generalizable knowledge. The term encompasses basic and applied research such as bench work, human subjects research, community research, other work and product development and creative work in the humanities and fine arts. The term also includes collaborative work with a manufacturer, a distributor or a sponsor of the research and includes work which may lead to tangible or intangible inventions, discoveries, patents or ideas necessary for development, utilization or processes associated with the activity. The term includes any such research or creative activity conducted by University personnel under the auspices of the University or conducted in situations in which University positions or titles are utilized in resultant publications, presentations, performances or other forms of intellectual property, irrespective of whether such research is funded by grant, contract, cooperative agreement, gift or general funds of the Commonwealth.

III. Authority and Funding of Research Activities

The VPR is responsible for the administration of research, to include the establishments of policies and procedures for the conduct of research and creative activities, support services, administrative processing and meeting the obligations of legal, regulatory and contractual compliance. On behalf of the University, the VPR is responsible for the submission of all proposals for grants, contracts and other awards for sponsored projects, as well as the negotiation, acceptance and fulfillment of obligations of same. The VPR is also responsible for the oversight of research centers and institutes.

Researchers, bear the primary responsibility for the scientific, scholarly, technical and administrative conduct of a project under their direction.

A. University of Kentucky Research Foundation

As determined appropriate by the VPR, the University of Kentucky Research Foundation (UKRF), an affiliated corporation of the University, is designated as the entity through which funds may be received, invested or expended in the interests of the University on research. When deemed appropriate by the VPR, UKRF may act as an agent of the University.

IV. Compliance and Regulatory Activities

The VPR has responsibility to ensure the University's compliance with all applicable legal, regulatory and contractual obligations related to research and sponsored research projects. The VPR has the obligation of creating policies and rules protecting research subjects, researchers, members of the University community, the community of scholars and the state and national interests.

A. Appointment and Oversight

The VPR is responsible for the appointment of persons to oversight boards and committees that are required for legal and regulatory compliance related to research, sponsored research projects, human and animal subjects, environmental safety and security of research data and materials.

B. Export Control and Foreign Influence

The VPR is the University official responsible for ensuring compliance with laws related to the security of research pertaining to export controls and foreign influence and is authorized to establish policies to protect the University. In conjunction with the Enterprise Chief Information Officer, the VPR may establish policies related to research data, research data sharing and controls.

C. Conflicts of Interest

Everyone engaged in the performance of research must comply with applicable laws, national standards of research conduct and University regulations, policies and procedures on those issues.[1] The VPR shall be the primary officer for managing the conflict of interest regulations and policies as they relate to research and creative activity.

D. Training

The VPR is authorized to require training and/or certifications for positions requiring technical proficiency related to laboratory or studio safety, handling of dangerous materials and control of University technology resources used for research.

V. Records Retention

The VPR is authorized to adopt policies on the retention of research records and research data, unless the VPR approves exceptions as part of a contract or agreement with external parties.

VI. Misconduct and Enforcement

The VPR is empowered to ensure all research and creative activities comply with legal, contractual, ethical or otherwise established standards. In conjunction with any policies and procedures related to misconduct in research, as set out in *Administrative Regulation — Due Process,* alleged misconduct in research will be reviewed through due process proceedings.

The VPR shall be the respondent to any audits citing issues related to research and creative activity at the University or UKRF.

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[1] University Regulations; Office of the Vice President for Research - Resources