Ethics and Compliance Briefing for Researchers

• Mandatory training course for all extramurally funded UC researchers, including faculty, staff, and postdoctoral scholars.

• Intended to raise awareness of the University of California Statement of Ethical Values & Standards of Ethical Conduct and communicate essential information when accepting extramural research funds.

• Recently updated in response to recommendations following a systemwide foreign influence review and assessment.
Foreign Influence Review and Assessment

• The overall objective was to evaluate the internal controls in place to manage foreign influence risks identified by the federal government.

• Areas of review included the following:

  ❖ Conflicts of Interest  ❖ Foreign Collaborations  ❖ Sponsored Programs
  ❖ Conflicts of Commitment  ❖ Intellectual Property  ❖ Training
  ❖ Export Controls  ❖ Policy  ❖ Visas
Systemwide Training Assessment and Recommendation

Finding: UC lacks consistent and formal training to ensure researchers are aware of foreign influence-related regulations and procedures.

Recommendation: UC Training should be enhanced to clarify and reinforce awareness of foreign influence risk and researchers’ financial disclosure requirements.
UNIVERSITY OF CALIFORNIA

Ethics and Compliance Briefing for Researchers

Topics:
- Ethical standards and values
- Whistleblower policies and procedures
- Research compliance
- Financial conflict of interest and related disclosure requirements
Ethical Standards

• Ethical, honest conduct, with integrity in all dealings
• Accountable to UC community and stakeholders (sponsors and public)
• Be familiar with and comply with applicable laws and regulations
• Adhere to policies regarding COI and COC; seek official guidance; disclose potential conflicts and other affiliations as required to maintain full transparency
• Use University resources only for activities on behalf of the University
• Financial reporting must be accurate, clear, complete and compliant with all applicable standards
• Report known or suspected improper governmental activities
UC Whistleblower Policies

Whistleblower Policy

Whistleblower Protection Policy
University Resources

• University resources may be used only for activities on behalf of the University
• University resources may not be used for personal, commercial, political or religious purposes.

Examples of Misuse of University Resources

• Mismanagement of grants
• Using University lab space for private company’s research
Export Control

Contact the Export Control Office if your research involves

• International travel
• Shipping or hand carrying items internationally
• Citizenship restrictions
• Purchasing equipment that is, or may be, controlled under export control laws
• Collaborating with foreign colleagues in foreign countries
• Working with foreign military
• Undertaking activities in sanctioned countries
Disclosure Requirements

• COI (PHS/NIH, NSF, 700-U, etc)
• COC (Category I, II, III activities)
• Other Support
• Affiliations
• Collaborations
• Foreign components

Err on the side of disclosure
UCLA Resources and Contacts

Links to useful information

Foreign Engagement - RPC
UCLA Research Related Policies and Procedures

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