

**UCLA**

***UC Ethics and  
Compliance Briefing  
for Researchers***

# 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
  - ❖ Conflicts of Commitment
  - ❖ Export Controls
  - ❖ Foreign Collaborations
  - ❖ Intellectual Property
  - ❖ Policy
  - ❖ Sponsored Programs
  - ❖ **Training**
  - ❖ 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.

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## Ethics and Compliance Briefing for Researchers

Resources



# 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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