FACILITATING RESEARCH, INNOVATION AND EDUCATION, RESPONSIBLY FOR GLOBAL EXCELLENCE

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HOT TOPICS
RESEARCH COMPLIANCE AND INTEGRITY

The Office of Research Compliance and Integrity (RCI) provides timely notices to the research community on important information, policies updates and regulatory initiatives and changes. See the RCI website at http://blink.ucsd.edu/sponsor/rci/index.html.

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REPORTING ANIMAL WELFARE CONCERNS

The UC San Diego Institutional Animal Care and Use Committee (IACUC) oversees the University's animal care and use program and is responsible for reviewing all animal use protocols, ensuring compliance with federal regulations, inspecting animal facilities and laboratories, overseeing training and educational programs, and investigating animal welfare concerns. UC San Diego is committed to the humane treatment of all animals used in research and teaching. The privilege to use live animals for the advancement of science and medicine carries with it the responsibility to follow all applicable laws, policies and procedures concerning animal welfare.

Anyone who is aware of potential violations to existing animal care and use regulations or observes misuse or mistreatment of animals, is strongly encouraged to report their concerns. Members of the University community are encouraged to report their concerns using any one of the following methods:

- Report the issue or concern to your direct supervisor.
- If discussing the issue or concern with your supervisor is not possible or successful, contact the IACUC Office at iacuc@ucsd.edu, (858) 534-6069 or mail code 0071.
- Contact the UC San Diego Hotline at (877) 319-0265. Reports can made be made anonymously and should include a factual description with as many of the following as possible: Date, time, location, animal species, numbers, identification of animals, personnel involved, and any other relevant details.

For additional information, please see the following:

- UC San Diego Institutional Animal Care and Use Committee (IACUC) Policy on Reporting Animal Concerns
- Reporting Animal Care and Use Concerns
- UC San Diego Hotline Information

For questions, please contact the IACUC Office at iacuc@ucsd.edu or (858) 534-6069.

NEW UC SYSTEMWIDE EXPORT CONTROL POLICY

On June 21, 2018, the Office of the President issued a new Presidential Policy on Export Control that addresses University of California's compliance with U.S. export control laws and regulations by all members of the University community. This new Export Control Policy underscores the University of California's commitment to compliance with U.S. export control laws and regulations, which define the conditions under which certain information, technologies and commodities can be exported overseas to anyone, including U.S. citizens, or shared with a foreign national within the U.S. for the purposes of national security and foreign policy.

What does the New Policy mean for you?
Export control is a shared responsibility and the Policy applies to all UC faculty, academic appointees, staff, students (including student employees), non-employee participants in University programs (e.g., visiting scholars, vendors and contractors) and to all University activities. Export control reviews are required for certain transactions (even in the case of performing fundamental research) to ensure there are no unlicensed exports abroad or to foreign persons in the U.S. Transactions, items or activities may require export licenses, control plans or other approaches to ensure compliance with the export control regulations. If you are involved in export transactions, you are responsible for ensuring export reviews are escalated to the UC San Diego Export Control Office (ECO), providing information required to complete the reviews or export licenses and complying with the terms of a technology control plan or export license conditions issued by the government.

How does UC San Diego comply with the New Policy and Federal Export Regulations?
The ECO serves as a resource to the campus by providing guidance on license requirements, obtaining the required licenses, providing assistance with technology control plan requirements, regulatory guidance, education and training. The ECO also has initiated a UC San Diego Export Control Workgroup (Workgroup) which is comprised of faculty and staff across Health Sciences, general campus and SIO. The Workgroup is advisory to the ECO and is responsible to provide guidance and recommendations to assist the ECO with the implementation of new or revised processes as well as serves as an advocate for technology and business process improvements to enhance export control compliance.

What types of Reviews are required?
The ECO works with the faculty, staff, students, institutional offices and Departments on a variety of export control related reviews:

► Agreements Reviews: Export control reviews are required for agreements with international collaborations, sanctioned country activities, exports of items, export restricted inputs or outputs including controlled unclassified information, and funding or collaborations with the Department of Defense, Department of Homeland Security or Intelligence Agencies. Agreements reviews include:

- Sponsored research: Export control issues are identified in sponsored research proposals through the ePD Export Control questionnaire and special review
- Ancillary research agreements: Examples include MOUs, MTAs, NDAs or proprietary information in design kits, Data Use, Subawards and service agreements. These types of agreements have similar export review requirements as sponsored research.
- Purchase agreements or express card purchases of export restricted items
- Gifts
- Technology transfer agreements

► Restricted party screening for international collaborators and visitors, exports and foreign financial transactions

► Export restricted technology reviews including foreign person license reviews for access to restricted technology including advising on Technology Control Plans

► Export shipments or hand carry of equipment or materials: Shipment reviews include determining jurisdiction, export classification and licensing or license exceptions and other paperwork requirements for export. The ECO works closely with IPPS outbound shipping on these reviews.

► Sanctioned country interactions (Cuba, Iran, North Korea, Syria and Sudan)

► Travel preauthorization flag for sanctioned country travel

For questions on the new Policy or an export control review, please contact export@ucsd.edu or call 858-246-3300. For additional information, please visit the Export Control website.

COMPENDIUM OF CONFLICT OF INTEREST AND
INTEGRITY POLICIES GUIDANCE

In May of 2018, the Office of the President published an updated "Compendium of Conflict of Interest and Integrity Policies – Guidance" (Compendium) document. This Compendium replaces Business and Finance Bulletin G-39. The Regents has adopted Standards of Ethical Conduct to express the University's commitment to the ethical conduct of all University activities and as a statement of the belief in ethical, legal and professional behavior in all dealings inside and outside the University. Employees of the University are expected to devote their primary professional allegiance to the University and to the mission of teaching, research and public service.

To carry out the intent of the Regents, the University has adopted a number of conflict of interest and related policies in the many areas of its mission. The Compendium is a collection and summary of University policies as they apply to Conflict of Interest and Integrity, specifically focusing on General Financial Conflicts, Conflict of Commitment, Procurement, Purchasing Goods and Services, Auditing, Use of University Property, Facilities and E-mail, Miscellaneous Academic Personnel Policies, Inventions, Patents and Licensing, and Research (not all the possible state or federal laws are included).

The Compendium document is available on the [Conflict of Interest website.](#) If you have questions or need additional information, please contact the Conflict of Interest Office at (858) 534-6465 or info-coi@ucsd.edu.

THE UNIVERSITY OF CALIFORNIA WHISTLEBLOWER HOTLINE

The University of California is committed to maintaining the highest standards of conduct in the fulfillment of its education, research, public service and patient care mission. The [University's Whistleblower Policy](#) provides multiple avenues for employees to bring forward concerns of potential employee misconduct. Faculty and staff are encouraged to bring forward concerns about possible improper governmental activity directly to their supervisor, department head, Locally Designated Official or other appropriate University offices or officials.

The University established a systemwide, independently-operated whistleblower hotline to receive calls or web-based reporting from faculty, staff, students or members of the public. The hotline allows for anonymous reporting. The hotline relays the reported concerns to appropriate University officials for processing. This hotline is staffed seven days a week, 24 hours per day and is capable of receiving reports in a number of different languages.

The toll-free number is (800) 403-4744. Web-based reports can be made by accessing http://universityofcalifornia.edu/hotline. For additional information, please see the [UC Whistleblower website](#).

UC San Diego also has an anonymous toll-free fraud hotline, (877) 319-0265, for reporting possible fraud such as misuse of assets, potential false billings, conflict of interest or other compliance issues. For additional information, please see the [UC San Diego Hotline website](#) or contact Audit & Management Advisory Services, (858) 534-3617.