INTERNATIONAL RESEARCH
FACULTY RIGHTS AND RESPONSIBILITIES

Sandra A. Brown, Vice Chancellor for Research
Margaret Leinen, Vice Chancellor for Marine Sciences
Elizabeth H. Simmons, Exec. Vice Chancellor for Academic Affairs
David Brenner, Vice Chancellor for Health Sciences
Overview

1. UC San Diego Faculty Research
2. The Changing Federal Landscape
3. NIH Inquiries
4. Faculty Rights
5. Faculty Responsibilities
6. Guidelines/Best Practices
7. Q&A
FY18 Research Funding: $1.2 Billion

Federal: 681.7M
DHHS: 422.2M
DOD: 98.5M
NSF: 86.6M
NOAA: 30.4M
DOE: 21.6M
NASA: 8.7M
Misc Fed: 13.6M
The Changing Federal Landscape

National Institutes of Health

The NIH issued a notice reminding the research community of their obligation to disclose Financial Conflict of Interest (FCOI). They specifically called out foreign financial interests as a concern. (March 30, 2018)

Department of Defense

The National Defense Authorization Act requires the DOD to develop procedures limiting foreign access to technologies through grants, contracts, cooperative agreements or other transactions based on national security interest and to work with academic institutions to limit undue influence, including through foreign talent programs, by countries to exploit United States technology within the DOD research, science and technology, and innovation enterprise. (August 13, 2018)
The Changing Federal Landscape

National Science Foundation

The National Science Board (NSB), which governs the NSF, issued a statement on national security and science. In it NSB Chair Diane Souvaine affirmed the board’s commitment to the free exchange of ideas and information, while also acknowledging the need to create new policies to protect national interests. (October 23, 2018)

Department of Energy

The DOE issued memos stating:

1) Researchers in unspecified “emerging research areas and technologies” would no longer be allowed to collaborate with colleagues from unnamed “sensitive” countries. (December 14, 2018)

2) Restrictions on funded researchers from participating in any foreign talent-recruitment programs, whether that researcher is a U.S. citizen or not. (January 31, 2019)
NIH Inquiries

- Over 55 academic and research institutions
- Publications listing foreign collaborations with support

Contracts/Grants & COI
- Affiliations with or without support
- Comprehensive listing of other support (salary or non-salary)
- Research conducted outside U.S.
- Foreign talents programs
Faculty Rights

● Academic Freedom
  ● “…protect freedom of inquiry and research, freedom of teaching, and freedom of expression and publication. These freedoms enable the University to advance knowledge and to transmit it effectively to its students and to the public…” [APM-0101]

● UC San Diego unequivocally supports academic freedom and faculty rights.

● Academic Senate and Administration work together to ensure fairness and equity.
Faculty Rights

● Ability to collaborate with international partners
  ● “The University of California's fundamental mission is teaching, research, and public service. Protecting research integrity and maintaining the University of California's open research and learning environment are foundational values for our institution…” [Janet Napolitano, February 7, 2019]

● Federal, UC and UC San Diego regulations and guidelines apply to all members of UC San Diego
Matters to consider:

- Conflict of Commitment MUST be filed annually
- Conflict of Interest MUST be filed when needed
- “Other Support” reporting MUST be thorough and complete
- Funding agencies MUST be updated on new foreign engagements
- MUST seek consistency across campus
- MUST increase awareness
Why Does It Matter?

- Heightened concern at federal level that certain foreign entities may seek to influence U.S. research at all levels including:
  - peer review
  - diversion of intellectual property
  - sharing of confidential information and the use of resources originating outside the U.S.

- Inconsistency in reporting drives federal concern
Supports for International Research and Teaching

- Department notifications and approvals
- Annual Conflict of Commitment
- Accurate Conflict of Interest
- Grant proposals accurately list affiliations and other support
Guidelines/Best Practices

● A Good Rule of Thumb
  ● Any external support (whether financial or not) or engagement that you would acknowledge in public presentations or publications is something that you should also disclose in grant applications, annual reports and closeout summaries and in university-related COI and COC disclosure forms (as required).

● Resources
  ● Online: https://blink.ucsd.edu/research/foreign-engagements.html
  ● Handouts: International Affairs, Innovation and Commercialization, Contract and Grant Administration, Graduate Division, Export Control, Postdocs and Research Scholars, COI and COC, International Travel

● “Transparency and compliance with UC and federal requirements are mechanisms to support all investigators and faculty.”
Questions?

Concerns?

Recommendations?