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ADVANCING RESEARCH AND INNOVATION

MARCH 2018

# HOT TOPICS

OFFICE OF RESEARCH AFFAIRS

The Office of Research Affairs provides timely notices to the research community on important information, policies updates and regulatory initiatives and changes. See the Office of Research Affairs website at <http://blink.ucsd.edu/sponsor/ora/>.

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### NEW ELECTRONIC SYSTEM FOR DESIGNATED OFFICIALS

The California Political Reform Act requires government employees (which includes University employees) in certain positions to publicly disclose their personal assets and economic interests on the Form 700, Statement of Economic Interests (Form 700). These individuals are called Designated Officials. Designated Officials are individuals who are in positions, which make decisions or participate in the making of decisions, which may have a material effect on their personal financial interests and are required to disqualify themselves from participating in a University decision when a financial conflict of interest is present. Designated Officials are required to file a Form 700 within 30 days of assuming the Designated Official position, annually (no later than April 1st of each year) and within 30 days after leaving the Designated Official position.

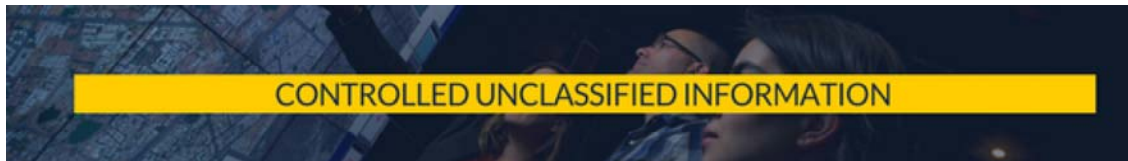
For the calendar year 2018, Designated Officials must submit their Form 700 through an electronic system. This new electronic system replaces the paper form that previously had to be submitted directly to the UC Office of the President. The electronic system is designed to allow users to enter all

transactions needed to complete the Form 700 and retain entries so there will not be a need to re-enter any information that has not changed in the subsequent years. Users have the ability to print an exact duplicate of an e-filed document.

By now, active Designated Officials should have received an email directly from the electronic system. If you are in a Designated Official position and did not receive an email, please log into the electronic system at [Form 700](#), to reset your password using your UCSD email address. The electronic system provides onscreen help and an array of video tutorials to assist the discloser complete their Form 700.

Please note for funding to the University from for-profit or non-profit sponsors (i.e., grants, contracts, gifts, service agreements, etc.), please continue to send the 700U form to [coiforms@ucsd.edu](mailto:coiforms@ucsd.edu).

If you have questions, please contact the Conflict of Interest Office at (858) 534-6465 or [info-coi@ucsd.edu](mailto:info-coi@ucsd.edu). For additional information on the electronic system, please see [How to Submit Form 700](#) on the Conflict of Interest Office website.



The U.S. Government is reforming the markings and cybersecurity requirements for information that requires safeguarding or dissemination controls. Researchers need to be aware of the implications of how the receipt or generation of Controlled Unclassified Information (CUI) may impact their research. IT security requirements in agreements are increasing in frequency and scope with requirements for cybersecurity for data integrity and availability, standardization in data management, protecting privacy, national security, and protecting against economic espionage.

### **What is Controlled Unclassified Information (CUI)?**

The President's Executive Order 13556, established a system for classifying, safeguarding, and declassifying national security information. [CUI](#) is information that is unclassified but requires safeguarding or dissemination controls consistent with applicable law, regulations and Government-wide policies. The Government provides the [CUI Registry](#) which is an online repository for Federal-level guidance regarding CUI policies and practice.

### **How does CUI impact research?**

Both sponsored research and unfunded agreements like CRADAs, Data Use Agreements or Non Disclosure Agreements (NDAs) may require the exchange or creation of CUI and cybersecurity measures to protect CUI. The National Institute of Standards and Technology (NIST) [NIST Special Publication 800-171](#) "Protecting Controlled Unclassified Information in Nonfederal Systems and Organizations" provides the requirements for protecting the confidentiality of CUI. The requirements apply to non-federal information systems and organizations that process, store, or transmit CUI, or provide security protection for such components. Additionally, if there is Controlled Technical Information or Covered Defense Information to be provided or created, an export license may be required for foreign person participation or exports abroad. Additionally, if there is Controlled Technical Information or Covered Defense Information to be provided or created export licensing may be required for foreign person participation or exports to abroad. The [Export Control Office](#) is here to assist the research community and will advise on the export licensing requirements. For questions, please contact [exports@ucsd.edu](mailto:exports@ucsd.edu).

### What do I need to do?

The San Diego Super Computer Center's (SDSC) [Sherlock](#) Cloud provides secure information technology and data services that meet the NIST 800-171 requirements. If your research includes CUI, to ensure your proposal includes the necessary costs for the set up and maintenance required to implement the NIST 800-171 requirements, please email [sherlock@sdsc.edu](mailto:sherlock@sdsc.edu) and copy Michael Corn, Chief Information Security Officer, [mcorn@ucsd.edu](mailto:mcorn@ucsd.edu). For Health Sciences, please also copy Kenneth Wottge, Director, Information Security, [kwottge@ucsd.edu](mailto:kwottge@ucsd.edu). For any Controlled Technical Information or Export Restricted CUI, please copy the Export Control Office, [export@ucsd.edu](mailto:export@ucsd.edu) in your request.

For additional information, please see the [CUI webpage](#) on Blink.



### ANIMAL SPECIES REQUIRING IACUC APPROVAL

The Public Health Service (PHS) Policy on Humane Care and Use of Laboratory Animals defines an animal as “any live, vertebrate animal used or intended for use in research, research training, experimentation, or biological testing, or for related purposes.” The Animal Welfare Act Regulations (AWAR) define an animal as “Any live or dead dog, cat, monkey (nonhuman primate mammal), guinea pig, hamster, rabbit, or such other warm-blooded animal, as the Secretary may determine is being used, or is intended for use, for research, testing, experimentation, or exhibition purposes, or as a pet; but such term excludes birds, rats of the genus *Rattus*, and mice of the genus *Mus*, bred for use in research.”

#### Vertebrate Animals

The Institutional Animal Care and Use Committee (IACUC) at the University of California San Diego ensures the campus is in compliance with all regulations by applying the AWAR and PHS Policy to all vertebrate animal use on campus for research, training and teaching. If you will be performing research using live vertebrate animals, you are required to submit an animal use protocol to the [IACUC](#).

#### Custom Antibodies

If you require the production of custom antibodies from an off-site vendor, a tissue transfer application must be submitted and approved by the IACUC before contracting with the vendor. All custom antibodies and bio-products must be obtained only from vendors or institutions that are AAALAC-accredited, comply with the PHS-policy, and are registered with the USDA (if they house USDA-covered species).

If you have a question about your current or future animal research, please contact the IACUC Office at [iacuc@ucsd.edu](mailto:iacuc@ucsd.edu) or (858) 534-6069 for assistance.



### UNANNOUNCED VISITS BY FEDERAL AND STATE AGENCIES

The University's research activities take place in a heavily regulated environment and are subject to oversight by a wide range of federal and state agencies. As a result, UC San Diego can expect occasional site visits by outside agencies as part of routine oversight activities and when there are specific ongoing investigations.

It is the University policy to cooperate with outside investigating agencies to the fullest extent required by law, while fully protecting the rights and privacy of our students, faculty, staff members, and research subjects. To accomplish this, the Office of Research Affairs recommends all researchers and research staff members be generally aware of the possibility of site visits by oversight agencies and be prepared to respond appropriately.

### **Your Responsibilities**

In many cases, the most important action taken by the person who is the first point of contact (whether a principal investigator, a graduate student working in a lab or a staff member) is to promptly contact the [Office of Research Compliance and Integrity](#) so that someone who is familiar with state and federal law and the University's obligations can provide assistance and ensure the appropriate University offices are notified.

If an outside investigating agency presents a subpoena, search warrant, court order, national security letter or other document compelling the University or an individual to produce documents or otherwise provide information immediately notify the [Office of Research Compliance and Integrity](#) and campus counsel. Also see the [University PPM 470](#), Guidelines for Serving, Accepting and Responding to Subpoenas.

For additional information and frequently asked questions, please see the [Research Compliance and Integrity website](#).

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