

INTERNATIONAL RESEARCH:

FACULTY RIGHTS AND RESPONSIBILITIES

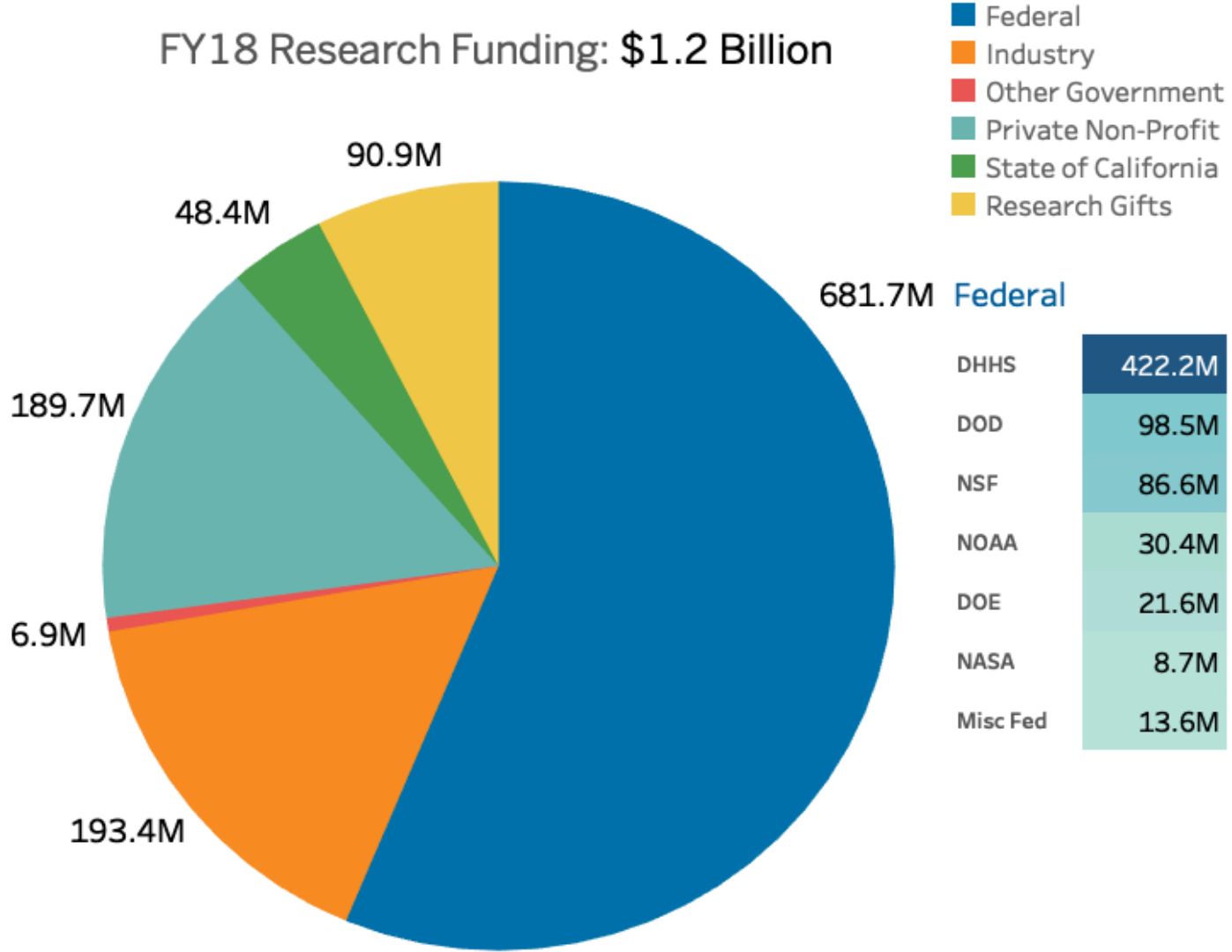


Sandra A. Brown, Vice Chancellor for Research
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Overview

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



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 for fiscal year 2019, Section 889 expressly prohibited the use of certain Chinese telecommunications and video surveillance services or equipment by any entity receiving funding from the DOD. (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-0 10 1]
- 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

Challenges we have identified:

- Conflict of Commitment not filed annually
- Conflict of Interest not filed when needed
- “Other Support” reporting is incomplete
- Funding agencies are not updated on new foreign engagements
- Inconsistencies across campus
- Lack of 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?

Research Compliance and Integrity (RCI)	Angie McMahon
Export Control	Brittany Whiting
Conflict of Interest (COI)	Angie McMahon
Office of Postdoctoral and Research Scholar Affairs (OPRSA)	Jennifer (Oh) Bourque
Office of Contract and Grant Administration (OCGA)	Linda Collins Erica Wilson
Office of Innovation and Commercialization (OIC)	Paul Roben
Graduate Division	Judy Kim
Academic Senate and Council on Research	Adam J. Engler Mary Corr Robert Horwitz
Government Research Relations (GRR)	Brittany Whiting
Office of International Affairs (OIA)	Chip Schooley