

**GUIDELINES ON CONDUCTING  
INTERNATIONAL RESEARCH  
Handouts**

- Conflict of Interest and Conflict of Commitment Guidance on Foreign Engagements for Researchers
- Conflict of Interest Five Important Reminders for PHS-Funded Researchers
- Export Control: 3 Steps to Export Compliance at UC San Diego
- What You Need to Know Before You Travel Outside the U.S.
- International Postdocs and Research Scholars: Guidelines on Conducting International Research
- Office of Contract and Grant Administration (OCGA), SIO OCGA, Health Support Systems Program Office (HSSPPO): Guidelines for Conducting International Research
- Office of Innovation and Commercialization: Guidelines for Conducting International Research
- Graduate Division: Guidelines for Conducting International Research
- Office of International Affairs: Guidelines for Conducting International Research

**CONFLICT OF INTEREST AND CONFLICT OF COMMITMENT GUIDANCE  
 ON FOREIGN ENGAGEMENTS FOR RESEARCHERS**

It is essential for UC San Diego researchers to be transparent and fully disclose engagements with foreign entities to UC San Diego on their Conflict of Interest and Conflict of Commitment forms (as required).

**Conflict of Interest:**

Conflict of Interest (COI) policies require all university employees who are conducting research or other related activities to disclose certain financial interests, whether domestic or foreign. For more information about COI policies, see the COI Office website at <http://blink.ucsd.edu/sponsor/coi/policies.html>.

- **Public Health Services (PHS) funded research:** There are foreign influence concerns for Public Health Services (PHS) funded research, i.e., NIH and those agencies who have adopted PHS regulations. PHS funded investigators or researchers that receive income, travel expenses or any type of reimbursement over \$5,000 from a foreign entity (includes companies, foreign institutions/ universities and foreign governments) in the prior twelve-month time period, must disclose the financial interest on the conflict of interest PHS disclosure form.

**Conflict of Commitment:**

The University of California requires faculty to submit an annual Conflict of Commitment (COC) disclosure indicating whether or not Investigators/Researchers have engaged in outside activities during the fiscal year. Certain activities will require prior approval. It is the faculty member's professional responsibility to completely and accurately disclose all external financial interests and support, affiliations, activities and relationships with any foreign entities. For more information about COC requirements, see the Academic Affairs website at <https://academicaffairs.ucsd.edu/aps/reports/apm/index.html> and the Health Sciences Academic Affairs website at <https://medschool.ucsd.edu/vchs/faculty-academics/academic-affairs/policy-and-resources/Pages/conflict-comm.aspx>.

The table below provides a high-level summary of COC and COI policies, forms, timing and the responsible office:

	<b>Conflict of Commitment</b>	<b>Conflict of Interest</b>
<b>Policies</b>	APM 025 / APM 671	UCSD PPM 200-13, APM 028, UC PHS and NSF
<b>Disclosure Forms</b>	Category I (prior approval) and II	Dependent on outside funding entity
<b>Timing</b>	Category I: Prior to Engagement Category II: Annually	Proposal and/or award stages and then dependent on funding
<b>Responsible Offices</b>	Department Academic Affairs Advisors / Academic Affairs (see the websites noted above)  Also see the Academic Affairs Analyst Assignment at <a href="http://aps.ucsd.edu/about/analysts.html">http://aps.ucsd.edu/about/analysts.html</a>	Conflict of Interest Office <a href="http://coi.ucsd.edu">http://coi.ucsd.edu</a> <a href="mailto:info-coi@ucsd.edu">info-coi@ucsd.edu</a> (858) 534-6465

This situation is fluid so there may be additional guidance in the future. If you have any questions or concerns regarding COC or COI, please contact the responsible offices.

**Research Compliance and Integrity, Conflict of Interest**  
 Tel: 858-534-6465 / Email: [info-coi@ucsd.edu](mailto:info-coi@ucsd.edu)  
[coi.ucsd.edu](http://coi.ucsd.edu)

**CONFLICT OF INTEREST  
FIVE IMPORTANT REMINDERS FOR  
PHS-FUNDED RESEARCHERS**

The Public Health Service (PHS) regulations on Objectivity in Research provide a reasonable expectation that the design, conduct, and reporting of PHS research activities will be free from bias resulting from Investigators' financial conflicts of interest. The objectivity of research is important for obtaining and maintaining public trust. **As a public institution we have to be mindful of the actual and the appearance of a conflict of interest.** Below are five important reminders for researchers conducting PHS-funded projects.

1. **Disclose all outside financial interests** that meet the threshold for disclosure regardless if related to the PHS-funded research, including interests with foreign Universities and foreign governments.
2. **The Institution determines which financial interests are related** or have the appearance of being related to the PHS-funded research.
3. **Disclose any equity with a privately held entity regardless of the value**, i.e.,  $\geq$  \$0. This includes stock options that have yet to be exercised.
4. **Disclose both domestic and foreign travel** paid for on the researcher's behalf or reimbursed to the researcher by one entity **exceeding \$5,000** in the past 12 months.
5. Submit an **updated disclosure within 30 days of acquiring a new financial interest**, e.g., consulting income, co-founder equity, royalties from non-UC inventions, travel reimbursement for attending a conference, etc.

**Resources:**

- [What interests must be disclosed and disclosing thresholds for PHS-funded research](#)
- [UC San Diego Conflict of Interest Office FAQs](#)
- [Frequently Asked Questions - Responsibility of Applicants for Promoting Objectivity in Research for which PHS Funding is Sought \(42 CFR Part 50 Subpart F\) \(2011 Revised Regulations\)](#)

**Questions:**

UC San Diego Conflict of Interest Office  
<http://coi.ucsd.edu>  
[info-coi@ucsd.edu](mailto:info-coi@ucsd.edu)  
(858) 534-6465

## EXPORT CONTROL

### 3 STEPS TO EXPORT COMPLIANCE AT UC SAN DIEGO

Export Control Office

export@ucsd.edu

# 1 Ask



## Is an Export taking place?

- How to recognize the different types of exports:
- Physical shipment or hand carry outside the U.S. (includes Canada and Mexico)
- Deemed (Access granted or “know how” transferred to a foreign national within the U.S.)
- Information transfer abroad (Conversation, Email, Phone, Cloud)

Note: recognize when an export is taking place, but know that not all exports require a license. The Export Control Office will determine what is needed.



## Are there any Red Flags? (see reverse)

# 2 Screen

Run Restricted Party Screening (RPS) when applicable for all international visitors, vendors, travel reimbursements, agreements, collaborators, etc.

# 3 Escalate

All Red Flags or RPS hits/alerts need to be escalated to Export Control for review by emailing:

**EXPORT@UCSD.EDU**

## Export Control Office

Brittany Whiting, Export Control Officer

Garrett Eaton, Senior Export Analyst

Ryan Jordan, Export Analyst





## WHAT YOU NEED TO KNOW BEFORE YOU TRAVEL OUTSIDE THE U.S.

Export Control Office

[export.ucsd.edu](http://export.ucsd.edu)

When you travel abroad for UCSD business or with UCSD property, safety and security must be a primary consideration. The [U.S. State Department](#) provides valuable country-specific information for travelers, and should be consulted before your trip.

In addition to your personal safety, it is your responsibility as a UCSD employee to safeguard items and sensitive data under your control while on travel. **The U.S. Government controls the export of physical items, or proprietary data, outside of the U.S., or access to these items or data by foreign nationals, no matter the location.**

It is the traveler's responsibility to abide by export control requirements to avoid potential loss of proprietary information or technology. Penalties for export violations **range from thousands to millions of dollars per violation.**

Contact the UCSD Export Control Office for guidance on export license requirements for items you may be hand carrying or shipping abroad.

[export@ucsd.edu](mailto:export@ucsd.edu)



### **BE AWARE OF ANY IMPORT RESTRICTIONS**

*Many countries restrict importation of **biological, pathogenic or infectious materials and encrypted software or devices**, among others. You may also be responsible for duties or taxes if you don't have proper documentation when entering customs.*

Travel to **CUBA, IRAN, SYRIA, SUDAN and NORTH KOREA** is **highly regulated and may require a license**. Contact the [Export Control Office](#) if you plan to travel to one of these countries.



### What is an Export?

- Physical items, whether shipped, packed in luggage, or carried on, including proprietary technical data
- All physical or hand carried items are exports that may require a license or a license exception
- Contact UCSD Export Control for assistance: <http://export.ucsd.edu>

# INTERNATIONAL POSTDOCS AND RESEARCH SCHOLARS

## Guidelines on Conducting International Research

### **BACKGROUND**

Postdoctoral Scholars at the University of California are represented by the United Autoworkers (UAW) and terms and condition of employment are governed by a collective bargaining agreement (CBA). The CBA applies to all postdocs, even those who bring their own international fellowship funding.

There are 3 primary postdoc titles: Postdoctoral Scholar-Employee, Postdoctoral Scholar-Fellow and Postdoctoral Scholar-Paid Direct. Appointment is based on type of funding, and multiple types of funding may require more than one appointment.

### **APPOINTMENT PROCESS**

All Postdoctoral and Visiting Scholars must have an official appointment. One benefit of the official appointment process is Export Control office checks all foreign Postdoctoral and Visiting Scholars through the Restricted Party Screening system (Visual Compliance).

### **DO'S AND DON'T'S**

- Do communicate/educate your research team on foreign entity issues, export control policies and regulations, and data ownership policy to protect intellectual property and to mitigate risk.
- Do safeguard research data by requiring original material remain in the lab and/or on secure, shared servers, and back up frequently.
- Do consider location of work assignment as some federal contracts and grants may restrict use of funds for work performed in foreign countries.
- Don't pass along IFSO visa processing fee to foreign postdocs as CBA requires department/PI to cover this cost.
- Don't charge visa processing fees to grants when expenses are not associated with initial recruitment as it is an unallowable charge.

### **CONTACT INFORMATION FOR OFFICE OF POSTDOCTORAL AND RESEARCH SCHOLAR AFFAIRS**

Jennifer (Oh) Bourque, Director, Postdoctoral and Research Scholars  
(858) 534-6632  
[jbouque@ucsd.edu](mailto:jbouque@ucsd.edu)

Merritt Bradford, Analyst, Postdoctoral and Visiting Scholar Analyst  
(858) 534-3553  
[merritt@ucsd.edu](mailto:merritt@ucsd.edu)

Collective Bargaining Agreement: <https://ucnet.universityofcalifornia.edu/labor/bargaining-units/px/contract.html>

Link to Export Control Office: <https://blink.ucsd.edu/sponsor/exportcontrol/>

**Office of Contract and Grant Administration (OCGA), SIO OCGA, Health Sciences Sponsored Project  
Pre-Award Office (HSSPPO)  
Guidelines for Conducting International Research**

**APPLICATIONS FOR FEDERAL GRANTS:**

- List all foreign components present in your proposal  
Consult with your C&G Officer prior to adding a foreign component to a federally funded project
- Identify foreign components in each annual progress report
- For DOD proposals, disclose key personnel information as outlined in [their memo dated March 20, 2019](#)

**FOREIGN COMPONENT INCLUDES:**

- Collaborations with investigators at a foreign site anticipated to result in co-authorship;
- Use of facilities or instrumentation at a foreign site; or
- Receipt of financial support, or other funded or un-funded resources from a foreign entity (includes materials)
- At the time of proposal, NSF requires disclosure of a foreign organization's involvement in a project via a check box and justification as to why that organization's participation is essential ([Chapter I.E.6 of NSF's Proposal Guidelines](#)).

**NIH Requirements: Other Project Info Tab, Question 6 asks if there is foreign involvement, what the country(s) is(are), then under Item 12 you provide a Foreign Justification.**

**FOREIGN "TALENT PROGRAMS":**

- Exercise caution and disclose participation
- Additionally, the RPPR has 3 questions on this topic. If you decide to add a foreign component to your active award, you need prior approval from NIH.**

**OTHER NOTES**

- Carefully read all proposal guidelines to ensure understanding of any changes to federal policies
- DOE grantees may be prohibited from participating in foreign talent programs
- Export Control review must be flagged in the internal proposal record (ePD) to ensure review by UCSD's Export Control Office
- Any materials or information shared with a foreign entity must be covered under a formal agreement (sponsored research, material transfer, data use, confidentiality, collaboration, etc.)
- Disclose any foreign visitors to your departmental leadership *prior* to the visit, as additional on-boarding steps must be taken to ensure compliance

**FREQUENTLY ASKED QUESTIONS:**

***Q: Where on my federal application should I disclose my foreign affiliations and support?***

A: Biosketch, Other Support / Current & Pending (Post award: Progress reports and closeout summaries)

***Q: For what types of agreements do the disclosure of foreign engagements apply?***

A: All types, including research contracts and grants, cooperative agreements and organizational awards, including any from foreign governments or entities. See here for the NIH policy: <https://bit.ly/2CLVYVu>  
Unfunded and service agreements are included.

**FINAL THOUGHTS:** When in doubt, reach out!

Lisa Meredith, Associate Director, OCGA [lmmeredith@ucsd.edu](mailto:lmmeredith@ucsd.edu) Tel: 858-822-0749

Frank Truong, Grant Manager, SIO [fruong@ucsd.edu](mailto:fruong@ucsd.edu) Tel: 858-534-7962

Erika Wilson, Senior Director, HSSPPO [eswilson@ucsd.edu](mailto:eswilson@ucsd.edu) Tel: 858-822-4980



## OFFICE OF INNOVATION AND COMMERCIALIZATION

### Guidelines for Conducting International Research

The Office of Innovation and Commercialization (OIC) recognizes that advances in science, academics, and innovation are enhanced through collaborations between United States and foreign institutions and that international researchers are valuable assets that significantly improve the quality and speed of scientific discovery. OIC strongly supports and encourages international partnerships around the world, which facilitate the sharing of diverse knowledge and expertise and provide unique opportunities for commercialization and economic development. However, collaborations with foreign entities may require additional disclosure and review to ensure that the University is abiding by the guidelines of federal funding agencies and United States export control laws, as well as adequately protecting, marketing, and licensing its intellectual property.

These guidelines provide researchers with basic information when considering a collaboration with a foreign researcher and institution.

1. Prior to the collaboration, consider communicating with the Office of Contracts and Grants (OCGA) to facilitate an agreement between UCSD and the foreign entity that describes the exchange of information, data, funding, if any, and intellectual property.<sup>1</sup>
2. Communicate with Export Control to determine if an export license is required and to confirm that the researcher or institution is not a federally restricted entity. Consult with Export Control before travelling abroad to the foreign institution.<sup>2</sup> OIC will also request review of the technology, the institution, and the researcher before commercialization begins.
3. If the collaboration will result in a visit from international scholars, communicate with the Office of Postdoctoral and Visiting Scholar Affairs (OPVSA) and OIC to have the appointment or affiliation appropriately managed.<sup>3,4</sup>
4. If the foreign collaboration results in a new invention, discovery or tangible research material, submit a disclosure to OIC, so that OIC can begin the process of patentability and commercialization.<sup>5</sup>
5. If the foreign collaboration results in an invention, prior to commercialization, the institution and UCSD will enter into an inter-institutional agreement stating the rights and obligations of the parties (e.g. sharing of income, revenue and expenses). If the foreign institution is the lead, prior to commercialization, the institution must agree to abide by all US export control laws, to first file any patents in the US, and may not license to restricted entities.
6. If a patent is filed on the invention, at the 30-month anniversary of the first filing, individual patent applications must be filed within each country where rights are to be sought. Be aware that foreign filings are significantly more expensive than US Patents and that, due to the excessive fees, OIC typically only engages in foreign filings when a licensee will offset the cost.

**Bill Decker, OIC Dir. Business Affairs and Commercialization:** [wjdecker@ucsd.edu](mailto:wjdecker@ucsd.edu) Tel: 858-822-5128

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<sup>1</sup> <https://blink.ucsd.edu/sponsor/ocga/index.html>

<sup>2</sup> <https://blink.ucsd.edu/sponsor/exportcontrol/>

<sup>3</sup> <http://postdoc.ucsd.edu/visiting-scholars/index.html>

<sup>4</sup> <https://innovation.ucsd.edu/>

<sup>5</sup> <https://blink.ucsd.edu/research/conducting-research/edisclosure/index.html>

## GRADUATE DIVISION

### Guidelines for Conducting International Research

#### **General FAQs for all lab researchers:**

1. Have your students gone through the safety trainings and certifications required for working in the lab? <https://blink.ucsd.edu/safety/resources/training/general-lab.html>
2. Are the students aware of the procedure and policy for material transfer between the campus and the outside labs? <https://blink.ucsd.edu/research/conducting-research/mta/about.html>
3. Are the students aware of the availability of training on responsible conduct of research? <https://blink.ucsd.edu/research/policies-compliance-ethics/responsible-conduct.html>
4. Have you informed the students about the handling of intellectual property in their research project as well as others' projects? In particular, do they understand the implications of nondisclosure agreement signed between the University and the outside entities? <https://blink.ucsd.edu/research/preparing-proposals/sponsors/industry/agreements.html>
5. Are the students aware of the policy of conflict of interest? <https://blink.ucsd.edu/sponsor/coi/researchers/graduate.html>

#### **General FAQs for graduate student teacher-scholars:**

1. Have the students met the English Language Proficiency requirement to qualify them as a Teaching Assistant? Have they taken advantage of the resources to support their efforts in communication in the English language? <https://commons.ucsd.edu/educators/grad-student-programs/elpii/index.html>
2. Are the students aware of the policy of academic integrity for undergraduate and graduate students? <https://academicintegrity.ucsd.edu/process/policy.html>
3. Are the students aware of the definitions and processes associated with academic standing and probation? <https://grad.ucsd.edu/academics/policies-procedures/academic-standing-probation.html>
4. If the students are non-UC visiting graduate students, are they aware of the policies and expectations? <https://grad.ucsd.edu/financial/non-uc-visiting-grads/index.html>

#### **General FAQs for graduate student life and support:**

1. Are the students aware of the mental health and other resources to support them in their physical and mental health? <https://gradlife.ucsd.edu/health-wellbeing/physical-mental-health/index.html>
2. Have the students visited the International Students & Programs Office for questions regarding visas, taxes, and other topics related to immigration serves? <http://ispo.ucsd.edu/>
3. Have the students taken advantage of the programs and events that build community and a network for international students? <https://ispo.ucsd.edu/programs-events/index.html>
4. Are the students aware of the employment and career resources? <http://ispo.ucsd.edu/employment.html>

## OFFICE OF INTERNATIONAL AFFAIRS

### Guidelines for Conducting International Research

UC San Diego is a vital member of the community of global universities. In Fall 2018, we hosted 5,456 international undergraduate students, 3,234 graduate students, and 2,700 international faculty, researchers and visiting scholars on our campus. Our faculty are actively engaged in research collaborations with counterparts in peer institutions throughout the world. These relationships are a vital part of our academic mission and have, by design, been increasing in scope over the years. An ongoing expansion of these programs is a vital component of UC San Diego's strategic vision. The university provides several resources in support of our international missions.

**Office of Research Affairs (ORA).** ORA (<https://research.ucsd.edu>) and its Office of Contracts and Grants Administration (<https://blink.ucsd.edu/sponsor/ocga/index.html>) is responsible for negotiating and managing both outgoing and incoming research grants and contracts with international partners. This negotiation includes the establishment of subcontracts and assurance of compliance with conflicts of interest, conflicts of commitment and export control (<https://blink.ucsd.edu/sponsor/exportcontrol/index.html>). Export control issues are particularly important in terms of both intellectual property and transfers of material.

**Global Education (GE).** Working in close collaboration with ORA, the Office of Student Affairs and the Graduate Division, GE (<https://global.ucsd.edu>) are responsible for the support of international educational collaboration. This includes both incoming and outgoing students as well as the formalization of international educational exchanges. GE is particularly interested in facilitating the establishment of programs under UC San Diego's recently established Strategic Academic Program Development, SAPD (<https://evc.ucsd.edu/initiatives/sapd/index.html>) initiative.

**Office of International Affairs (OIA).** The Office of International Affairs (<https://ia.ucsd.edu>) seeks to facilitate UC San Diego's strategic international development plan, serves as a clearing house for faculty and staff seeking information about international collaborations, and as a strategic liaison between the ORA and GE. OIA negotiates and formalized Memoranda of Understanding (MOUs) between UC San Diego academic units and our international collaborators. In this role, OIA assists faculty with adherence to UC San Diego and Federal regulations related to Export Control, and liability concerns related to UCOP and UC San Diego rules and regulations. OIA also serves as the convening Unit for the Standing Committee on Global Affairs. This faculty committee seeks to provide faculty with a forum for shaping UC San Diego's approach to international collaboration.

The **Connexus Travel Program** (<https://blink.ucsd.edu/travel/booking/connexus/>) is a UCOP-supported travel portal through which faculty, staff and students can arrange international travel. All University business-associated travel that is booked through Connexus is backed by a no-cost international health and evacuation policy. Travel organized by other entities can be covered by international health and evacuation policies if it is registered through the UC Traveler Insurance Program: <https://www.ucop.edu/risk-services/loss-prevention-control/travel-assistance/>

**CONTACT: Chimchambo Uk, International Affairs Specialist** [chuk@ucsd.edu](mailto:chuk@ucsd.edu) Tel: 858-246-2687