

# UC DAVIS COMPLIANCE OVERVIEW

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New Faculty Orientation  
September 29, 2014



Wendi Delmendo  
Chief Compliance Officer

# University Regulatory Environment

- Universities are subject to an alphabet soup of regulations
- Impacts nearly all operations at UC Davis
- Direct effect on faculty teaching and research

# Teaching

- Working with students with disabilities
  - SDC, Jeanne Wilson, [jxwilson@ucdavis.edu](mailto:jxwilson@ucdavis.edu), 2-3184
- Reporting sexual harassment and discrimination
  - HDAPP, Lisa Brodkey, [labrodkey@ucdavis.edu](mailto:labrodkey@ucdavis.edu), 2-9255
  - See [sahelp.ucdavis.edu](http://sahelp.ucdavis.edu); [reporthatandbias.ucdavis.edu](http://reporthatandbias.ucdavis.edu)
- Working with pregnant students
  - Wendi Delmendo, [wjdelmendo@ucdavis.edu](mailto:wjdelmendo@ucdavis.edu), 2-9466
- Maintaining student records/information
  - SJA, Don Dudley, [djdudley@ucdavis.edu](mailto:djdudley@ucdavis.edu), 2-1128
- Dealing with violations of the Student Code of Conduct
  - SJA, Don Dudley, [djdudley@ucdavis.edu](mailto:djdudley@ucdavis.edu), 2-1128

# General Research Issues

- Financial disclosures
  - Research Compliance, Craig Allison, [ccallison@ucdavis.edu](mailto:ccallison@ucdavis.edu), 4-7754
- Export control
  - Research Compliance, Craig Allison, [ccallison@ucdavis.edu](mailto:ccallison@ucdavis.edu), 4-7754
- Effort reporting
  - Extramural Acct'g, James Ringo, [jaringo@ucdavis.edu](mailto:jaringo@ucdavis.edu), 2-8140
- Lab safety
  - Safety Services, Debbie Decker, [researchsafety@ucdavis.edu](mailto:researchsafety@ucdavis.edu)  
4-7964
- Responsible Conduct of Research training
  - Research Compliance, Craig Allison, [ccallison@ucdavis.edu](mailto:ccallison@ucdavis.edu), 4-7754

# Specific Research Issues

- Human subjects
  - IRB, Dan Redline, [dredline@ucdavis.edu](mailto:dredline@ucdavis.edu), (916) 703-9151
- Human anatomical specimens
  - Research Compliance, Craig Allison, [ccallison@ucdavis.edu](mailto:ccallison@ucdavis.edu), 4-7754
- Stem cell
  - Research Compliance, Craig Allison, [ccallison@ucdavis.edu](mailto:ccallison@ucdavis.edu), 4-7754
- Boating/Diving
  - Research Compliance, Craig Allison, [ccallison@ucdavis.edu](mailto:ccallison@ucdavis.edu), 4-7754

# Specific Research Issues

- Animal Subjects
  - Safety Services, [iacucstaff@ucdavis.edu](mailto:iacucstaff@ucdavis.edu), 2-2364
- Biosafety
  - Safety Services, Philip Barruel, [biosafety@ucdavis.edu](mailto:biosafety@ucdavis.edu), 2-1777
- Controlled Substances
  - Safety Services, Sue Littlefield, [researchsafety@ucdavis.edu](mailto:researchsafety@ucdavis.edu), 2-9147
- Select Agents
  - Safety Services, Philip Barruel, [biosafety@ucdavis.edu](mailto:biosafety@ucdavis.edu), 2-1777
- Radioactive materials
  - Safety Services, Claire Denham, [researchsafety@ucdavis.edu](mailto:researchsafety@ucdavis.edu), 2-3520
- Laser Safety
  - Safety Services, Felipe Penilla, [researchsafety@ucdavis.edu](mailto:researchsafety@ucdavis.edu), 2-3579

# Whistleblower Policy

- UC policy based on state law that governs reporting and investigation of suspected improper governmental activities
- IGA = any activity by an employee that:
  - Violates the law
  - Is “economically wasteful, or involves gross misconduct, incompetency, or inefficiency”
  - Generally, misuse of University resources
- Options for filing a report
  - Campus LDO, Wendi Delmendo, [wjdelmendo@ucdavis.edu](mailto:wjdelmendo@ucdavis.edu), 2-9466
  - Other University official
  - On-line through [Ethics Point](#)
  - UC Hotline: (800) 403-4744

# Mandatory Training

- Sexual Harassment Prevention
  - Within first 90 days of hire
  - Every 2 years based on anniversary date
- General Ethics
  - Salary support all from general funds
  - Every 2 years
- Conflict of Interest for Researchers
  - Any salary support from external funds
  - Every 2 years
- Specific topics based on research interests



# Helpful Web Resources

- University policy: <http://manuals.ucdavis.edu>
- Office of Research: <http://research.ucdavis.edu>
  - Guide to Research Compliance: <http://research.ucdavis.edu/rcg>
- Safety Services: <http://safety-services.ucdavis.edu>
- Accounting: <http://accounting.ucdavis.edu/ers>
- UC Davis Ethics program: <http://ethics.ucdavis.edu>
- UCDHS: <http://www.ucdmc.ucdavis.edu/compliance/>