

COMPLIANCE OVERVIEW

New Faculty Orientation
September 21, 2015

Wendi Delmendo
Chief Compliance Officer



One UC DAVIS

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, Michelle Famula (interim), msfamula@ucdavis.edu, 752-3333
- **Sexual violence, sexual harassment and discrimination**
 - HDAPP, Lisa Brodkey, labrodkey@ucdavis.edu, 752-9255
- **Working with pregnant students**
 - Wendi Delmendo, wjdelmendo@ucdavis.edu, 752-9466
- **Maintaining student records/information**
 - SJA, Don Dudley, djdudley@ucdavis.edu, 752-1128
- **Dealing with violations of the Student Code of Conduct**
 - SJA, Don Dudley, djdudley@ucdavis.edu, 752-1128

GENERAL RESEARCH ISSUES

- **Financial Disclosures**
 - Research Compliance, Craig Allison, ccallison@ucdavis.edu, 754-7754
- **Export Control**
 - Research Compliance, Craig Allison, ccallison@ucdavis.edu, 754-7754
- **Effort Reporting**
 - Extramural Accounting, James Ringo, jaringo@ucdavis.edu, 752-8140
- **Lab Safety**
 - Safety Services, Debbie Decker, researchsafety@ucdavis.edu, 754-7964
- **Responsible Conduct of Research training**
 - Research Compliance, Craig Allison, ccallison@ucdavis.edu, 754-7754

SPECIFIC RESEARCH ISSUES

- **Human Subjects**
 - IRB, Cindy Gates, cmgates@ucdavis.edu, (916) 703-9154
- **Human Anatomical Specimens**
 - Research Compliance, Craig Allison, ccallison@ucdavis.edu, 754-7754
- **Stem Cell**
 - Research Compliance, Craig Allison, ccallison@ucdavis.edu, 754-7754
- **Boating/Diving**
 - Research Compliance, Craig Allison, ccallison@ucdavis.edu, 754-7754

SPECIFIC RESEARCH ISSUES

- **Animal Subjects**
 - IACUC, Alan Ekstrand, abekstrand@ucdavis.edu, 752-2130
- **Biosafety**
 - Safety Services, Philip Barruel, biosafety@ucdavis.edu, 752-1777
- **Controlled Substances**
 - Safety Services, Sue Littlefield, researchsafety@ucdavis.edu
- **Select Agents**
 - Safety Services, Philip Barruel, biosafety@ucdavis.edu, 752-1777
- **Radioactive Materials**
 - Safety Services, Claire Denham, researchsafety@ucdavis.edu, 752-3520
- **Laser Safety**
 - Safety Services, Felipe Penilla, researchsafety@ucdavis.edu, 752-3579

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, misuses University resources
- Options for filing a report:
 - LDO, Wendi Delmendo, wjdelmendo@ucdavis.edu, 752-9466
 - Other University official
 - Online through Ethics Point,
<https://secure.ethicspoint.com/domain/media/en/gui/23531/index.html>
 - UC Hotline: (800) 403-4744

MANDATORY TRAINING

- Sexual Harassment Prevention
- General Ethics
- Conflict of Interest for Researchers
- 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/wp-content/uploads/UCDavis_Guide_to_Research_Compliance_-20132.pdf
- **Safety Services:** <http://safetyservices.ucdavis.edu>
- **Accounting:** <http://accounting.ucdavis.edu/ers>
- **UC Davis Ethics:** <http://ethics.ucdavis.edu>
- **UCDHS:** <http://ucdmc.ucdavis.edu/compliance>

THANK YOU

Questions?



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