COMPLIANCE OVERVIEW

New Faculty Orientation
September 21, 2015

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, 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
  - 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
- 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?