

Research Security at the University of California

Alternate Format

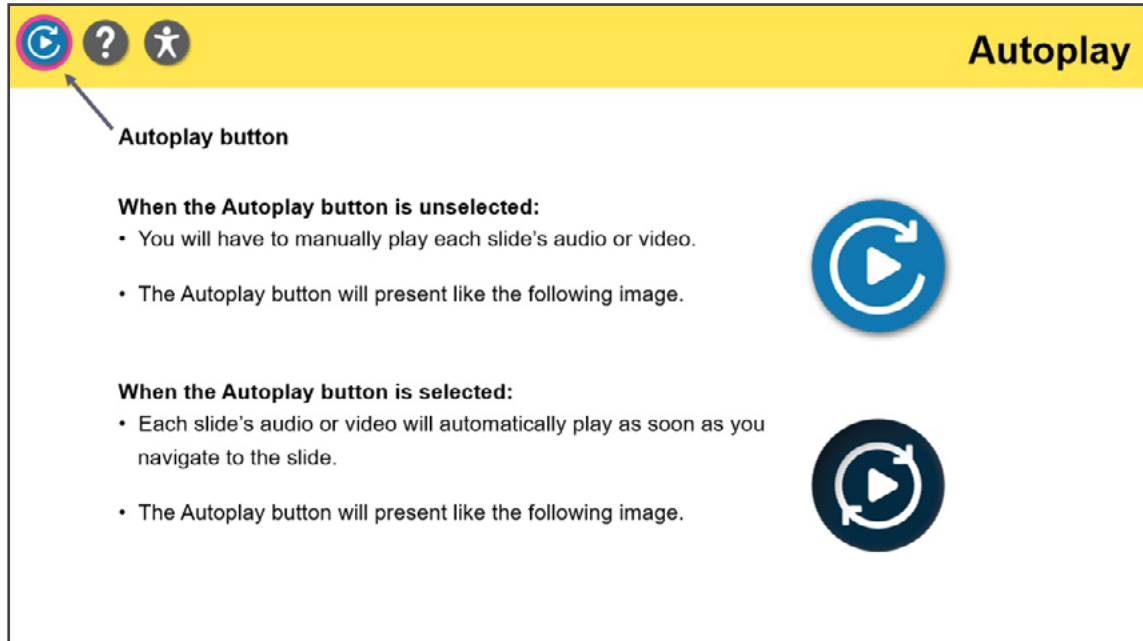
[Note: This document is intended to provide an alternate, text-based version of the eLearning course called Research Security at the University of California. The original course is available through the [UC Learning Center](#).]

1. Research Security at the University of California



Welcome to Research Security at the University of California.

2. Autoplay




The slide has a yellow header bar. On the left, there are three circular icons: a blue circle with a white play button and a circular arrow (highlighted with a red circle and an arrow pointing to the text 'Autoplay button'), a grey circle with a white question mark, and a grey circle with a white person icon. The word 'Autoplay' is written in bold black text on the right side of the header.

Autoplay button


When the Autoplay button is unselected:

- You will have to manually play each slide's audio or video.
- The Autoplay button will present like the following image.



When the Autoplay button is selected:

- Each slide's audio or video will automatically play as soon as you navigate to the slide.
- The Autoplay button will present like the following image.



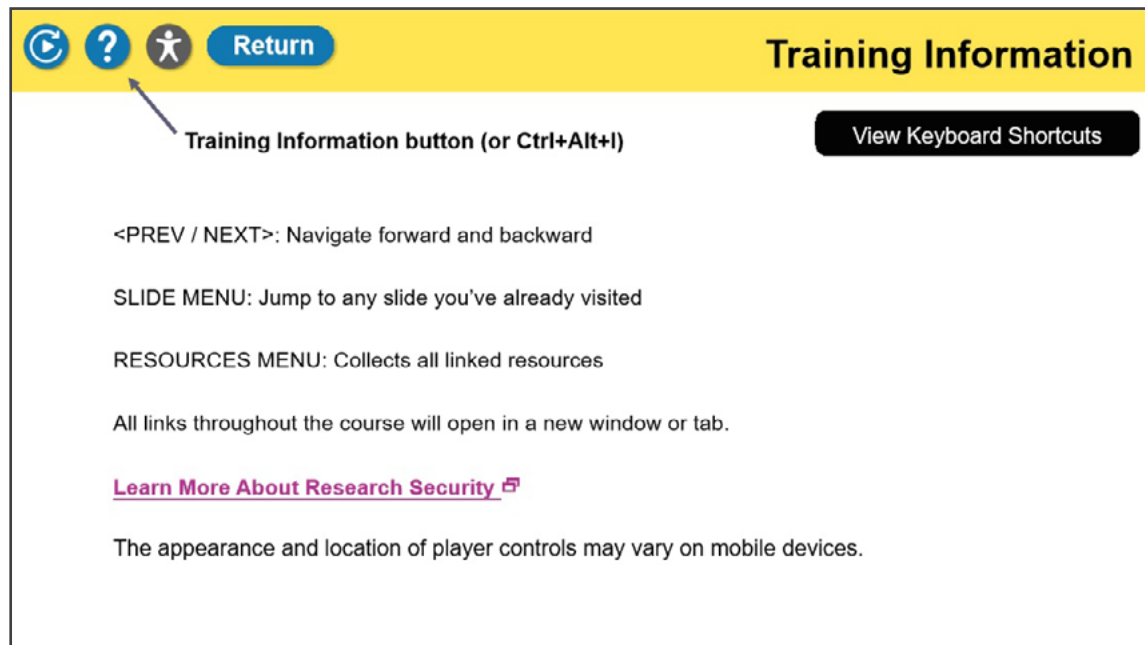
This training's instruction is primarily delivered through audio narration and video, with in-slide or in-video text serving to highlight key points.

In consideration of users of assistive technologies, by default each slide's audio or video will require you to manually play it by clicking one of the two available play buttons or by using the keyboard shortcut Control + Alt + P.

If you'd like the slide media to automatically play as soon as you navigate to a slide, select the Autoplay button, available in all slides.

To return to the default manual play setting, toggle the Autoplay button off.

3. Training Information



This slide can easily be revisited from anywhere in the training by clicking the Training Information button or by using the keyboard shortcut Control + Alt + I.

When revisiting this slide, you may use the Return button to jump back to the previous slide.

Use the Next and Previous buttons to navigate forward and backward through the training.

Use the Slide Menu to return directly to any slide you have already visited.

Throughout this course we'll be mentioning several resources and contacts. To view a list of the resources and contacts, select the [Resources Menu](#).

All links in the training will open in a new browser window or tab.

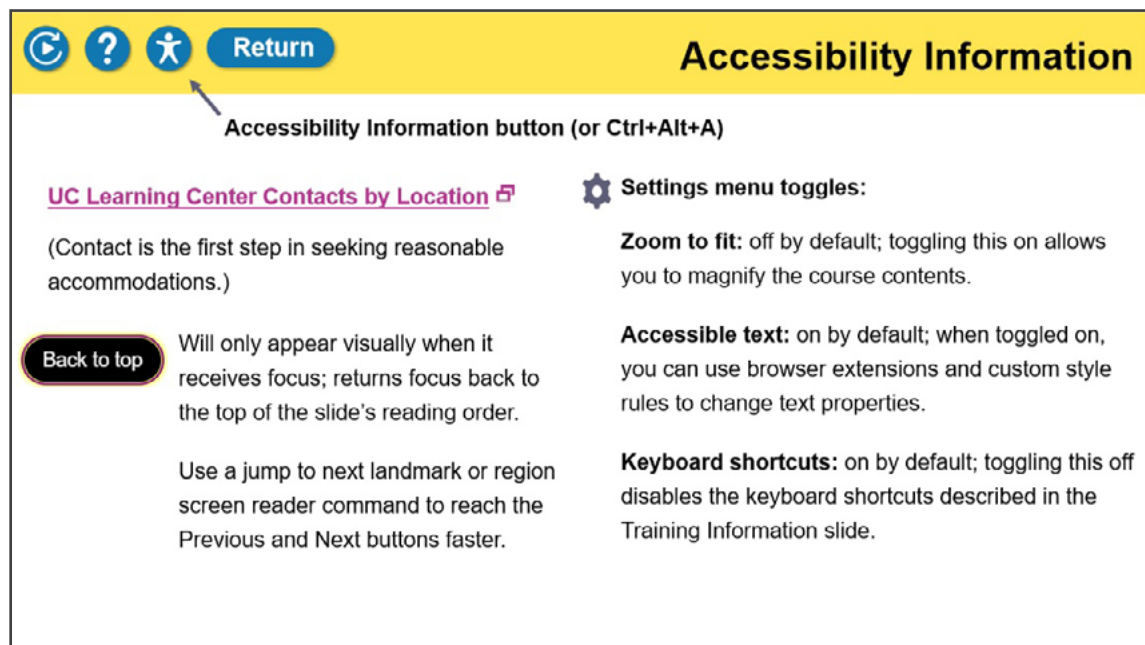
The keyboard shortcuts detailed in this slide can help you interact with the training more easily. Select the button to learn more.

For the interactive slides scattered throughout the training, follow the in-slide instructions.

Use the player controls located below the slide area to move forward or backward through the slides, replay a slide or pop-up from its beginning, control the volume, toggle captions off or on, control the playback speed, or access the accessibility settings described in the next slide.

The appearance and location of these player controls may vary on mobile devices.

4. Accessibility Information



This slide can be revisited from anywhere in the training by clicking the Accessibility Information button or the keyboard shortcut Control + Alt + A.

When revisiting this slide, you may use the Return button to jump back to the previous slide.

If you have difficulty engaging with or completing this training and would like to request reasonable accommodations, contact your location's UC Learning Center administrator, whose email address can be found in the UC Learning Center Contacts web page [linked here](#).

At the end of each slide is a button labeled Back to Top that will only appear when it receives focus. Clicking this button will return focus back to the top of the slide's reading order.

Screen reader users can use a "jump to next landmark or region" command to reach the Previous and Next buttons faster; both buttons are in the navigation landmark region. All users can use the keyboard shortcuts detailed in the Training Information slide to navigate backward and forward through the training more easily.

The Settings menu near the end of the player controls, between the Playback Speed button and Previous button, contains three accessibility-related toggles.

The first, zoom to fit, will be toggled off by default. Toggling it on allows you to magnify the training's contents.

The next, accessible text, will be toggled on by default. When toggled on, you can use browser extensions and custom style rules to change text properties such as font and font size, as well as line and paragraph spacing. Accessible text must also be toggled on for you to use high contrast modes and certain other assistive technologies.

The final toggle, keyboard shortcuts, will be toggled on by default. Toggling it off will disable the keyboard shortcuts described in the Training Information slide.

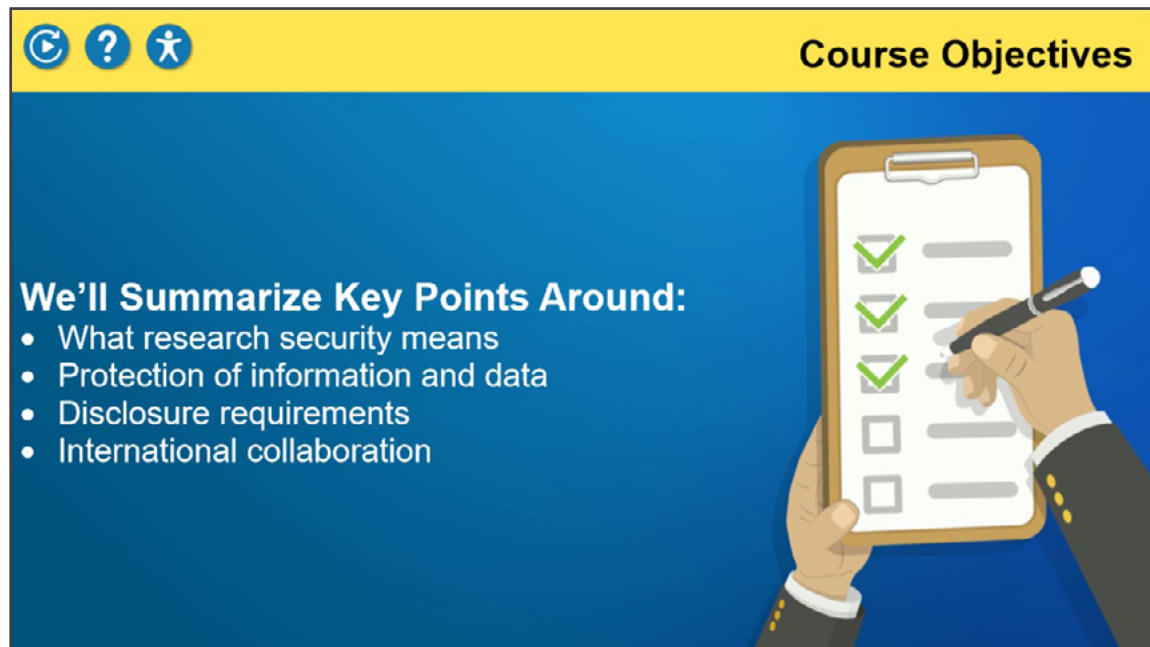
5. Course Introduction



University of California, or UC, researchers are global leaders in their fields.

UC research impacts many leading industries, including agriculture, health sciences, clean energy, artificial intelligence and computing, and genomics. To ensure the continued success of UC research and its impact around the world, we all have a responsibility for research security.

6. Course Objectives

A graphic representing a presentation slide titled "Course Objectives". The slide has a yellow header bar with three circular icons (a refresh icon, a question mark, and a person) on the left and the title "Course Objectives" on the right. The main body of the slide is blue. On the left, the text "We'll Summarize Key Points Around:" is followed by a bulleted list. On the right, there is an illustration of a hand holding a clipboard with a checklist. The first three items on the clipboard are checked with green checkmarks, and the last two are unchecked. A pen is shown writing on the clipboard.

Course Objectives

We'll Summarize Key Points Around:

- What research security means
- Protection of information and data
- Disclosure requirements
- International collaboration

In this course, we'll summarize key points around:

- What research security means
- Protection of information and data
- Disclosure requirements, and
- International collaboration

7. What Is Research Security?



What Is Research Security? (1 of 2)

Keeping Research Information and Data Safe



Acting with Integrity





What Is Research Security? (2 of 2)



When we protect our research, we help to:

- Maintain trust
- Protect economic and national security
- Continue to nurture the innovations that UC is known for

Research security means keeping research information and data safe from theft, misuse, misappropriation, and unauthorized access. It also means acting with integrity, such as properly disclosing any conflicts of commitment or conflicts of interest.

When we protect our research, we help to:

- Maintain trust with federal funding agencies, the public, and other researchers and institutions
- Protect economic and national security from foreign government interference, and
- Continue to nurture the innovations that UC is known for


8. Everyone's Responsibility



Everyone's Responsibility (1 of 3)



**Research security
applies to you!**



Everyone's Responsibility (2 of 3)

**Violations of research
security can lead to
serious consequences.**





Everyone's Responsibility (3 of 3)



Use the information provided in this training to conduct due diligence.

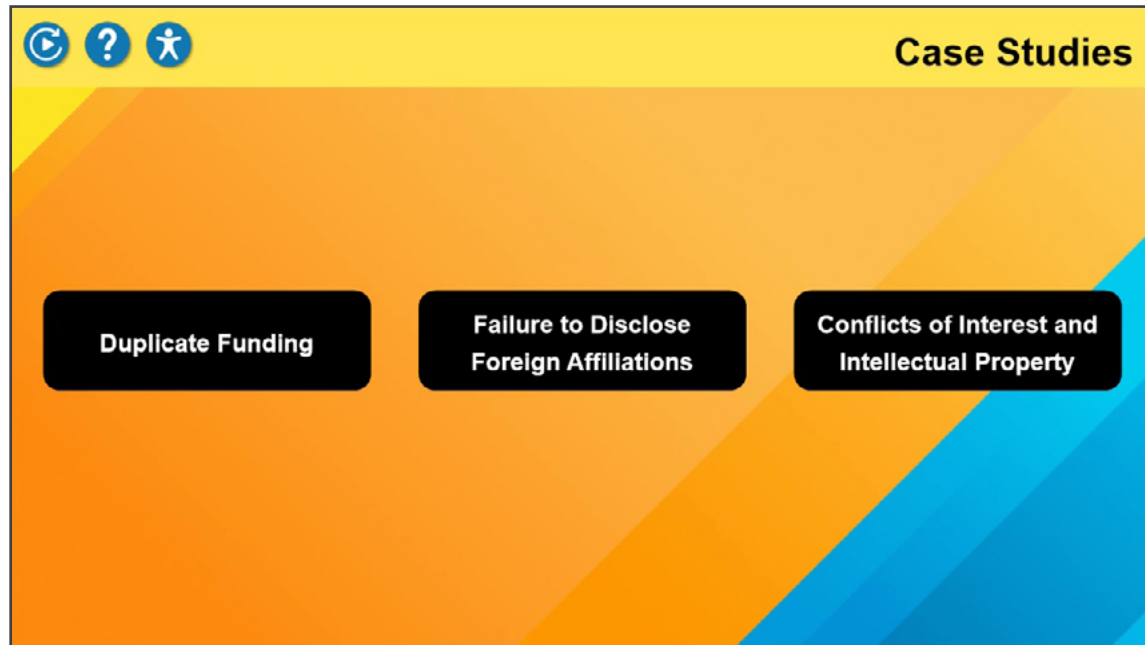
Make sure anyone you work with is trustworthy and opportunities are legal and ethical.

Seek guidance from campus offices!

No matter what area of research you work in, research security applies to you—even if you don't think your work is the type of research someone might want to steal.

Violations of research security can lead to serious consequences. You should be aware of federal research security concerns and the evolving requirements, and take appropriate steps to protect your research and work. Use the information provided in this training to conduct due diligence. Make sure anyone you work with is trustworthy and opportunities are legal and ethical, and seek guidance from campus offices when considering new international activities or collaborations or affiliations or when you have questions.

9. Case Studies



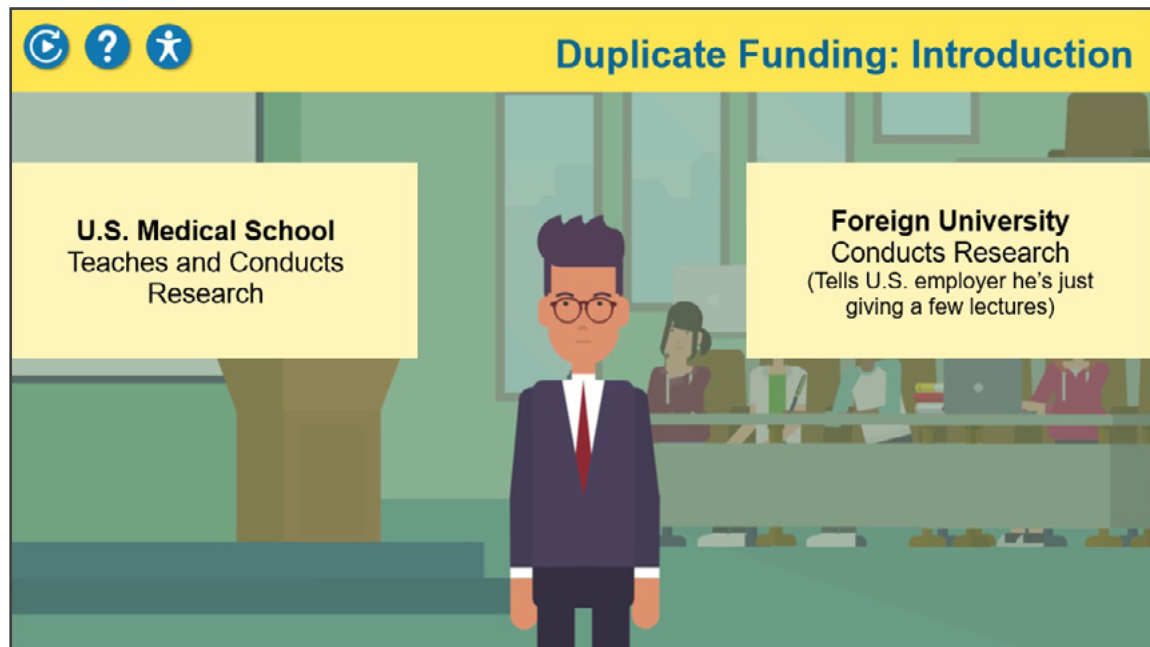
Let's look at some case studies involving research security. In all of these case studies, the integrity of the U.S. institution and researcher is at stake, and foreign governments or institutions may unfairly benefit from U.S. funded research.

You must completely view each case study in order to receive credit and be marked as complete.

Select each button to learn more.

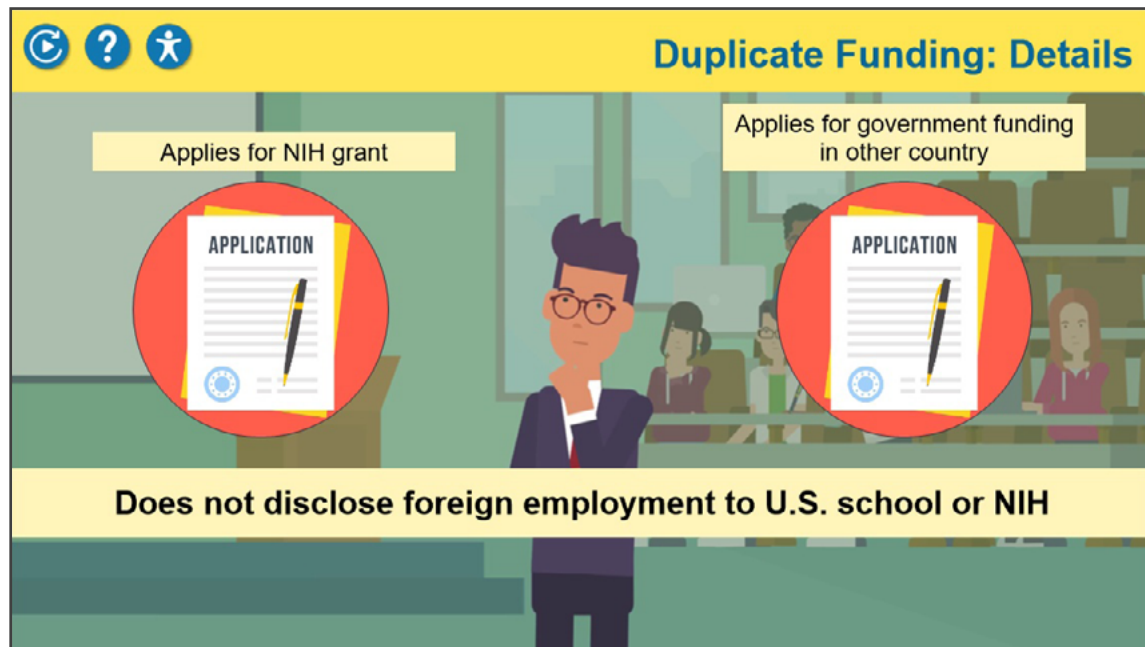
[Note : In the eLearning course, the learner must click four different buttons to view four different case studies in any order. In this alternate version, we will go through each case study one at a time. The case studies are about these topics: Duplicate funding, failure to disclose foreign affiliations, grant fraud and false statements, and conflicts of interest.]

10. Duplicate Funding: Intro



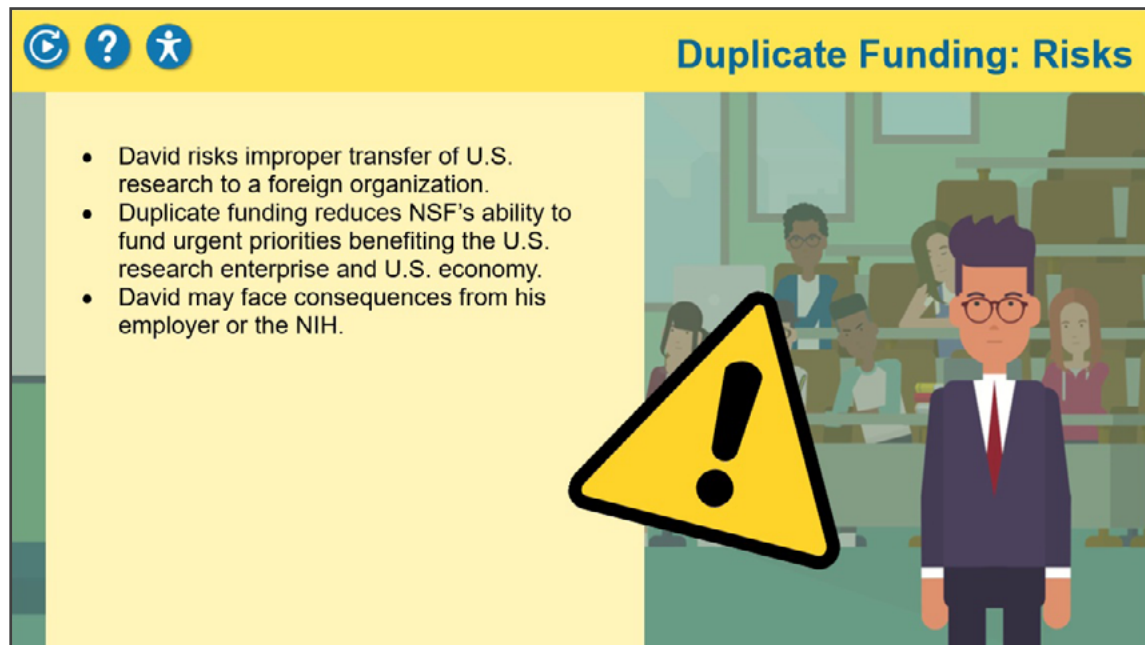
David works at a U.S. medical school, where he teaches and conducts research. At the same time, he has a six-month appointment at a foreign university where he also conducts research, although he tells his U.S. employer that he's just giving a few lectures there.

11. Duplicate Funding: Details



He applies for a National Institutes of Health, or NIH, grant, translates his proposal into the language spoken in the other country, using the newly translated proposal he then also applies for that foreign government's funding there too—for the same research. He does not disclose his application, or the extent of his foreign employment to his U.S. school or the NIH.

12. Duplicate Funding: Risks



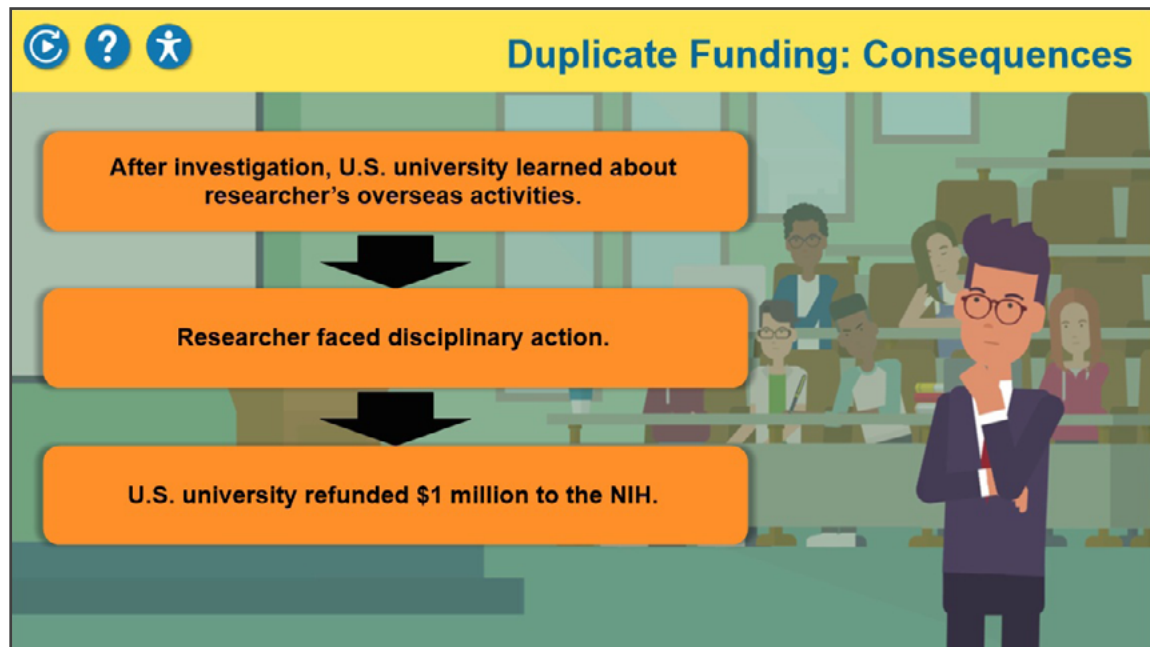
The slide features a yellow header with the title "Duplicate Funding: Risks" in blue. To the left of the title are three circular icons: a refresh symbol, a question mark, and a person. The main content area is split into two parts. On the left, a yellow background contains a bulleted list of risks. On the right, a green background shows an illustration of a man in a suit and glasses standing in front of a group of people in a classroom or office setting. A large yellow warning triangle with a black exclamation mark is overlaid on the right side of the slide.

- David risks improper transfer of U.S. research to a foreign organization.
- Duplicate funding reduces NSF's ability to fund urgent priorities benefiting the U.S. research enterprise and U.S. economy.
- David may face consequences from his employer or the NIH.

What are the risks?

- David risks improper transfer of U.S. research to a foreign organization
- Duplicate funding reduces NSF's ability to fund urgent priorities benefiting the U.S. research enterprise and U.S. economy, and
- David may face consequences from his employer or the NIH. He hasn't properly disclosed the foreign activity to his U.S. institution or the NIH, which could be viewed by the U.S. government as grant fraud and could be a violation of the policies of the U.S. institution

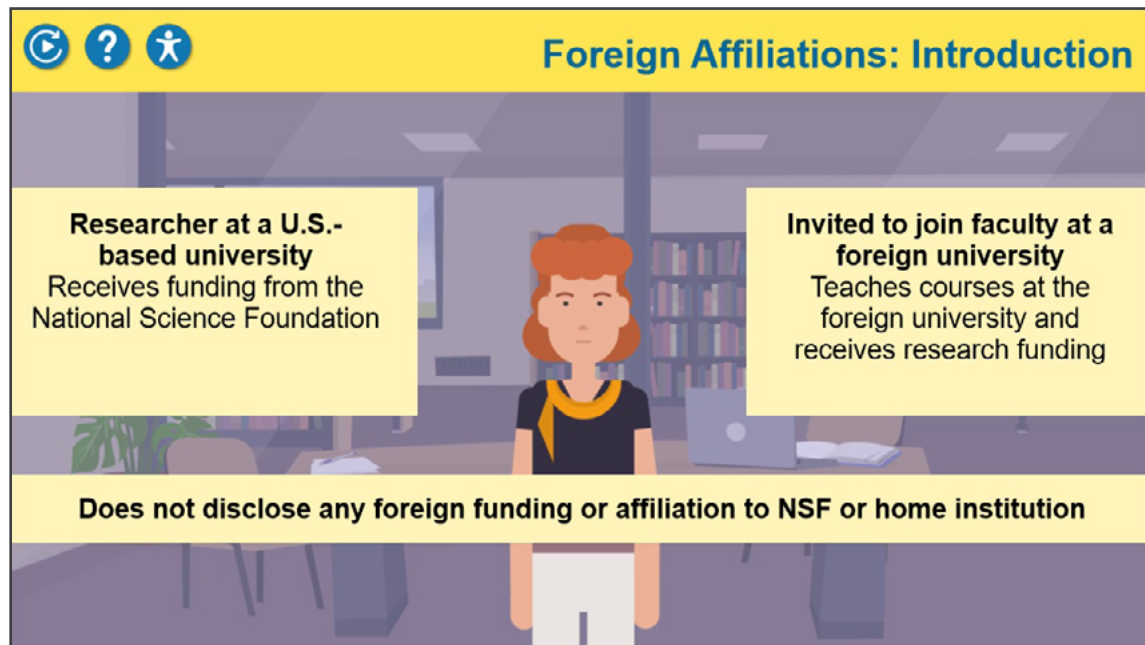
13. Duplicate Funding: Consequences



What were the consequences?

In a real case similar to this one, after an investigation, the U.S. university learned about the researcher's overseas activities. The researcher faced disciplinary action, and the U.S. university had to refund \$1 million to the NIH.

14. Foreign Affiliations: Intro



Irina, a researcher at a U.S.-based university receives funding from the National Science Foundation, or NSF. She is invited to become a faculty member at a foreign university for part of the year. It looks like a great opportunity, so she agrees. She teaches courses at that foreign university and receives research funding, but she does not disclose any foreign funding or affiliation to the NSF or her home institution. She may have thought it was not important or related to her NSF research.

15. Foreign Affiliations: Risks



Foreign Affiliations: Risks

- Irina has violated NSF and her institutional policies requiring disclosures.
- Her university and the NSF are not able to properly vet the risks and make informed decisions.
- She risks sharing NSF-funded research information with unauthorized individuals or providing it in advance of publication, giving the unauthorized individuals, their institution, and the foreign government a strategic advantage.

What are the risks?

- Irina has violated NSF and her institutional policies requiring disclosures
- Her university and the NSF are not able to properly vet the risks and make informed decisions, and
- She risks sharing NSF-funded research information with unauthorized individuals or providing it in advance of publication, giving the unauthorized individuals, their institution, and the foreign government a strategic advantage

16. Foreign Affiliations: Consequences

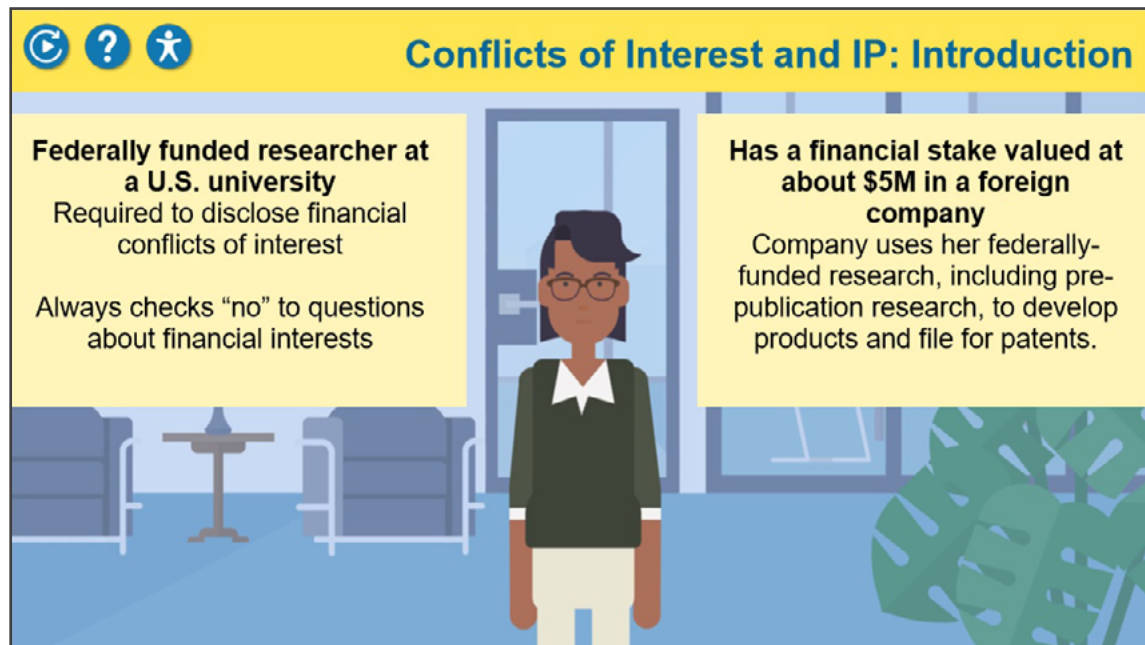


What were the consequences?

A case similar to this scenario occurred. When the NSF found out about the undisclosed affiliation, they sent the researcher a subpoena requiring documentation of their activities. After reviewing the information provided in the response the NSF:

- Suspended the grant awards to the U.S. organization
- Barred the researcher from any government-funded research activities, and
- Could have initiated legal proceedings against the researcher

17. Conflicts of Interest and Intellectual Property: Intro



Olivia is a federally funded researcher at a U.S. university. Her university requires her to disclose financial conflicts of interest. Olivia always checks “No” to questions about significant financial interests, so her university doesn’t know that she has a financial stake valued at about \$5 million in a foreign company. That foreign company uses her federally-funded research, including pre-publication research, to develop products and file for patents.

18. Conflicts of Interest and Intellectual Property: Risk



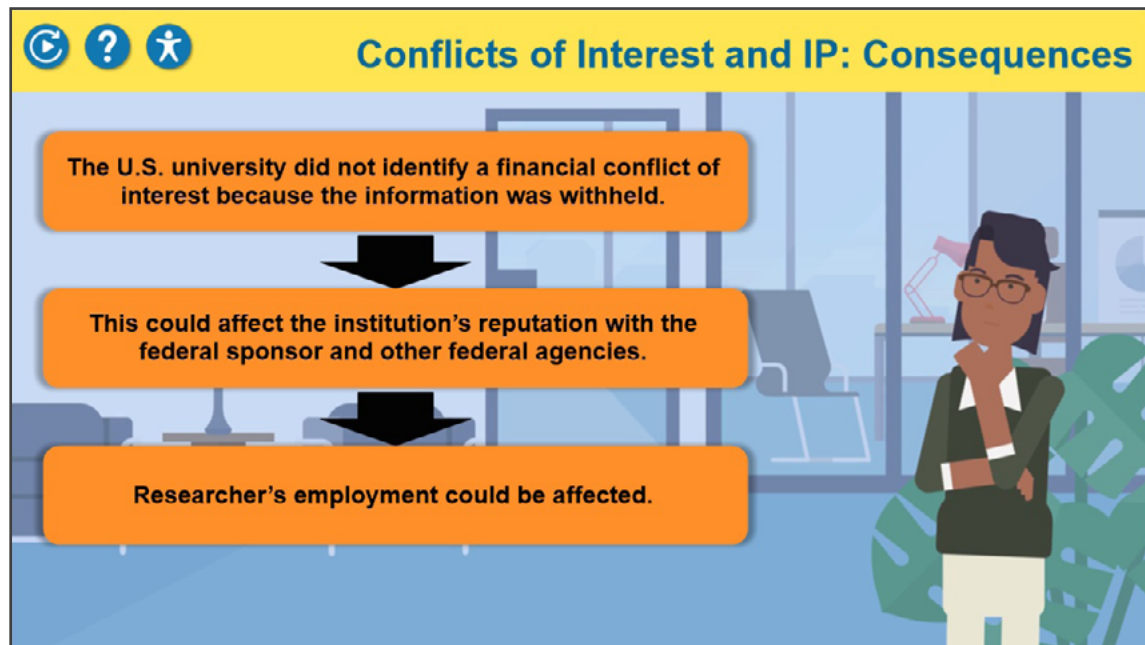
Conflicts of Interest and IP: Risks

- Olivia has a financial interest in a company that benefits from her research.
- The financial interest may directly and significantly affect the research.
- The results of federally-funded research, including intellectual property such as patentable inventions, are misappropriated to a foreign company and may be used to counter U.S. national or economic security and interests.

What is the risk?

- Olivia has a financial interest in a company that benefits from her research.
- The financial interest may directly and significantly affect the research.
- The results of federally-funded research, including intellectual property such as patentable inventions are misappropriated to a foreign company and may be used to counter U.S. national or economic security and interests.


19. Conflicts of Interest and Intellectual Property: Consequences



What were the consequences?


A situation similar to this actually occurred. The U.S. university did not identify a financial conflict of interest because the researcher purposefully withheld the information. This could affect the institution's reputation with the federal sponsor and other federal agencies and the researcher's employment.

20. Based on Real Cases



Based on Real Cases

These are based on real federal funding agency cases.



These are based on real federal funding agency cases. Click on the “Learn More About Research Security” link at the end of the course for additional information on the case studies.

Next, let’s learn more about how to uphold research security standards.

21. Videos



Select each button on screen to watch a video. After you watch all four videos, you may continue to the course conclusion. You must completely view each video in order to receive credit and be marked as complete.

[Note: In the original eLearning, the learner must click four different buttons to view four different videos in any order. In this alternate version, we will go through the content for each video one at a time. The topics are: Information and Data Protection, Disclosures and Conflicts of Commitment, International Collaborations, and Talent Recruitment Programs.]

22. Data Protection



[Note: This is the start of the first video.]

Do you share materials, ideas, or information related to UC research?

Do you travel internationally?

While such activities are key components to global and collaborative research, they also present information and data protection risks.

Fortunately, there are steps you can take to maintain the integrity of your data and protect your information.

Let's talk more about safeguards related to data security, international travel, and elicitation.

Let's start with data security.

Researchers must make sure they understand how their data is protected.

Often, the researcher must make specific decisions, like using campus offered services, to ensure that their data is adequately protected.

Unsecured data can be stolen or compromised and manipulated, making it unusable.

To manage the safety, security, and integrity of your research, you should:

- Identify sensitive research data, and
- Back up your data in a secure manner

Make sure your data and research computing resources are recorded in the Location inventory.

Contact your unit or division IT Administrator for assistance with this.

Transfers and sharing intangible research materials

When disseminating materials, ideas, or information, you should remember that U.S. export controls also apply to *intangible items* as well as physical commodities.

You may need to obtain an export license before you share software, algorithms, encryption code, unpublished data, information not in the public domain, patented information, or third-party intellectual property.

For assistance, consult your local export control office.

Note that there are also limitations to publicly sharing research data depending on copyright ownership and certain contracts and policies. This can be a source of confusion. For assistance, consult your local campus Research Compliance Office.

International travel can present unique cybersecurity challenges.

For example, connecting your device to networks in any unfamiliar place can expose your data or devices to malicious people, entities, or software.

As a higher education traveler, you may be specifically targeted by cybercriminals and nation-state actors who wish to steal your intellectual property.

If you are traveling with electronic devices, consider the following steps to protect your information before, during, and after your trip.

Before your trip:

- Leave your data and/or device at home or use a loaner that does not contain UC research data. Many UC locations have loaner device programs. Contact your local IT Administrator for assistance.
- Back up your data. And

- Make sure you know how to connect to your location's Virtual Private Network, or VPN, and use Multi-factor Authentication, or MFA. Contact your IT administrator for help with this.

During your trip:

- Do not leave your device unattended
- Only use trusted accessories
- Do not enter your credentials on public access computers, and
- Connect only to known Wi-Fi networks

After your trip:

- Reset passwords used; do this from a trusted device
- Wipe temporary devices
- Delete unneeded applications, and
- Run anti-malware scans—contact your IT administrator for help with this

Another way an information or data security breach can happen is through elicitation.

Elicitation is when someone attempts to gather confidential or sensitive information from you in ways that feel like normal, friendly interactions.

It can happen during common academic activities, such as:

- Being invited to give a talk
- Receiving a request to share data or materials
- Hosting a visitor
- Traveling, or
- Receiving a request for collaboration

Most people you work with likely have good intentions. Because a trained elicitor understands human and cultural predispositions and takes advantage of those, elicitation can be difficult to recognize.

Here are some best practices.

Never share confidential, proprietary, or sensitive information with any unauthorized person, even in a casual conversation.

When asked to collaborate, consider the other person's intentions and motivation. From the onset:

- Set expectations with collaborators, and
- Follow academic norms in your field that support research security

Ask yourself, "What do I know about this person and their associated institution?" Seek to learn more if the person and institution are unknown or not well known.

Contact your Research Security point of contacts for help.

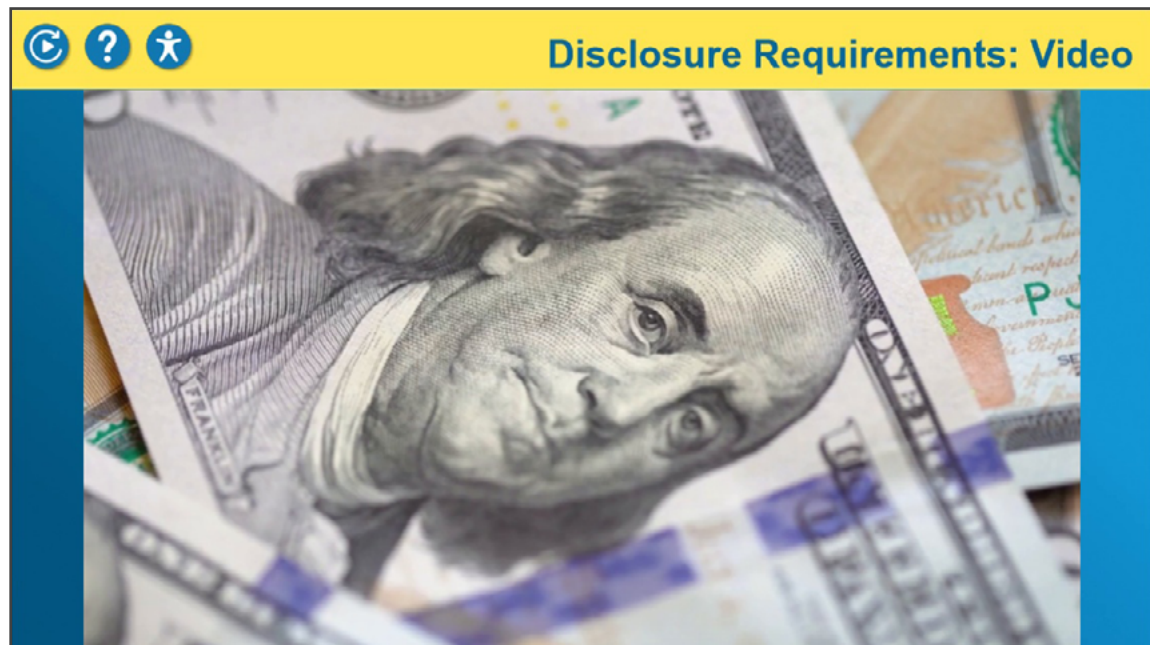
International scientific collaboration is critical to global progress. It increases scientific productivity and knowledge creation, strengthens the research enterprise, and promotes economic growth. Being aware of and mindful of elicitation can help you safeguard research.

There are steps you can take to manage the safety and security of your research.

Whether at your home, campus, or abroad, protecting your data is integral to the integrity of your research.

[Note: This is the end of the first video.]

23. Disclosures and Conflicts of Commitment



[Note: This is the beginning of the second video.]

Do you have outside financial interests related to the research you do for the University of California?

Do you engage in professional activities outside of the research you do for UC?

UC encourages such pursuits, as they facilitate opportunities for innovation and collaboration.

However, they may also bias (or appear to bias) your use of time and research.

Situations like this may present potential conflicts of interest or conflicts of commitment.

Let's talk more about these situations, disclosure requirements, and resources available to you.

In sponsored research settings, conflicts of interest focus on situations where personal financial interests may influence, or appear to influence, research decisions.

While common in research universities, they must be disclosed and carefully managed.

You must disclose certain financial interests, whether domestic or foreign.

Why? Because it's the law, it's UC policy, and it's the right thing to do.

This helps ensure that the design, conduct, and reporting of your research is free from bias.

Disclosure requirements and processes vary by type of research funding.

In general, you must disclose economic interests if they relate to your UC professional responsibilities, including:

- Investments, like stocks and bonds
- Income or payments for salaries
- Loans and intellectual property interests
- Gifts and honorariums, and
- Travel funds or reimbursements

You must also follow UC and campus intellectual property policies to disclose certain outcomes of research, such as patentable inventions or copyrightable software.

Follow your campus process for submitting the required disclosure forms.

When your research is funded by certain private entities, you are required to report any personal economic interests in that entity on the Statement of Economic Interests for Principal Investigators, known as the Form 700-U.

Locate the form on your campus Contracts & Grants or Conflict of Interest website.

Remember, there are specific disclosure requirements for awards funded by federal agencies, like the National Institutes of Health and the National Science Foundation

Your campus may also have separate disclosure processes for financial interests related to human subjects research.

Visit your campus and UCOP Conflict of Interest websites to learn more about disclosure forms, timing, and the process of disclosures.

Per UC policy, faculty in certain roles must disclose, or report, outside professional activities because they could be conflicts of commitment.

This is to protect your time, and ensure that you maintain your obligations to UC, your students, and your colleagues.

A conflict of commitment may occur when a faculty member's outside professional activities interfere with their professional obligations to UC.

Such activities can be paid or unpaid.

They are separated into three categories, based on their likeliness to create a conflict of commitment.

Some require approval before engaging in the activity.

Types of outside activities you must disclose include, but are not limited, to Category I activities, which need to be reported and approved in advance, such as:

- Employment
- Holding executive or managerial positions, and
- Founding a company

Examples include teaching, research, administration of a grant at another institution, or participating in a foreign talent recruitment program.

Category II activities need to be reported but do not require prior approval. These include:

- Consulting
- Testifying as an expert, and
- Serving on a board of directors

Category III activities do not need to be approved or reported. This includes:

- Serving on government panels,
- Reviewing manuscripts, and
- Attending and presenting at outside academic conferences

To disclose your outside professional activities, submit an annual Conflict of Commitment report through UC'S Outside Activity Tracking System, known as OATS.

Substantial penalties can result from failure to disclose conflicts.

All of these items may also need to be disclosed as part of your grant application forms. Carefully review all agency requirements or talk with your sponsored projects contracts and grants office.

Confused about what to disclose?

When in doubt, err on the side of disclosure.

Seek advice from university experts, who will help you maintain compliance and avoid penalty.

For more information, contact your local campus Research Compliance Office or Conflict of Interest Expert.

[Note: This is the end of the second video.]

24. International Collaboration



[Note: This is the beginning of the third video.]

The University of California values and encourages international collaborations.

Did you know that there are guidelines you should follow related to international collaborations? They influence the sharing of certain items or information with people, institutions, and destinations. These guidelines can impact how, when, and with whom you can share certain types of items, information, and interactions when collaborating internationally. Knowing who and when to ask for assistance will help you to avoid compromising your research and penalties.

Let's learn more about collaboration guidelines, when they apply, and the risks you may encounter.

Let's start with collaboration guidelines.

There are various applicable regulations or other requirements to consider when collaborating internationally. You have a shared responsibility with the University to ensure that activities in your university role comply with U.S. regulations for international collaborations.

An example of those regulations is export controls, which control the sharing of certain types of items, information, services, and software between persons inside and outside the U.S.

When an item or interaction is controlled, that means you may need a license. If you are not sure if an item or international interaction requires a license, or to request help, contact your Export Control Office. While the license is issued by the government, your Export Control Office will help you identify when a license or other documentation is needed.

How does all this apply to situations you may encounter? Let's look at some examples.

Interactions involving tangible exports:

- A license may be required for the export or import of research samples, materials, or equipment.

Research utilizing proprietary information:

- Sharing proprietary information may require a license, even if done while conducting fundamental research projects.

Restricted parties:

- The U.S. government agencies maintain "restricted party" lists. These lists identify individuals, organizations, and countries to whom restrictions apply.
- Restricted parties are identified through restricted party screening. This allows the UC to identify restricted parties, prevent unauthorized interactions with them, and comply with U.S. export control laws.
- As a standard practice, restricted party screening should be performed for all parties involved in international activities to determine whether an export license may be needed.

Consult your Export Control Office for help in understanding if and when these international regulations apply.

There are many situations where international collaboration risks are present.

It is important to recognize the risks related to your work with the university, which include:

- Shipping or hand carrying research samples, equipment, or other items abroad
- Sharing proprietary information within the U.S. or abroad, and
- Any of the activities previously mentioned

Maintaining healthy international relations is a shared responsibility, and you have a valuable resource you can go to with questions.

The UC supports its researchers in their academic endeavors. Therefore, it aims to provide the best regulatory guidance and information to ensure the UC is an engaged global citizen while following U.S. export control regulations. Violations of those regulations can result in loss of federal research funding and other penalties.

When in doubt, contact your Export Control Office. They can help you to determine the risk of your situation and how to proceed.

Following U.S. international regulations helps to protect you and the university, while allowing us to continue to engage in collaborative partnerships safely. For more information, refer to the UC systemwide Export Controls training. You may also contact the Export Control or Research Compliance Offices at your campus or location.

[Note: This is the end of the third video.]

25. Talent Recruitment Programs



[Note: This is the beginning of the last video.]

Are you familiar with talent recruitment programs?

Do you know how to participate in them appropriately?

The University of California values and encourages international partnerships and global research. However, this collaborative approach may involve malign foreign influence and risk exploitation.

You can help the UC adhere to government guidelines and support research integrity.

Let's talk more about how to recognize talent recruitment programs, risks of participation, and reporting requirements.

A talent recruitment program is any foreign government-run or -funded program meant to attract individuals who are working or educated in the U.S.

Talent recruitment programs may aim to acquire U.S.-funded research and technology in exchange for financial support and other resources.

These programs recruit individuals of all nationalities and often target scientists, engineers, academics, and researchers.

It is important to note that not all talent recruitment programs look alike.

They have varying names, depending on the country of initiation, and can be associated with *any* country's government.

Let's talk about the risks of participation.

Many countries sponsor recruitment programs to attract researchers for legitimate purposes.

However, be aware of programs that pose risks to U.S. national security or that require or encourage criminal and unethical behaviors.

This may look like:

- Creating undisclosed conflicts of commitment and conflicts of interest with your obligations to UC or funding agencies
- Misattributing awards, patents, publications, and projects to the foreign institution, and
- Replicating or transferring U.C.- or agency-funded work to another country

You are not prohibited from participating in talent recruitment programs altogether. But conditions of such programs may conflict with federal agencies or UC policies and sponsor requirements.

For example, the federal government prohibits participation in a *malign* foreign talent recruitment program by certain individuals who receive federal funding. You can find more information about this on our website under talent recruitment programs.

There are reporting requirements related to talent recruitment programs.

To protect everyone involved, you should disclose foreign relationships and activities in accordance with UC policy and sponsor requirements.

Carefully review all agreements and thoroughly vet all arrangements with foreign entities.

Make necessary disclosures related to conflicts of interest and conflicts of commitment, per UC policy.

- UC requires reporting of participation in a non-U.S. talent recruitment program through the UC Outside Activities Tracking System, also known as OATS.
- Your participation may also require disclosure of conflicts of interest. Follow your campus process for submitting the required disclosure forms.

- Report involvement with recruitment programs to federal sponsors through other support pages, such as NIH.
- Also, update biographical sketches to include foreign affiliations, even positions with no remuneration or which are voluntary.

Disclose obligations to a talent recruitment program to avoid violating UC or federal disclosure requirements, which could result in prohibition from participating in federally sponsored research, as well as financial implications to UC or your lab.

Disclose details such as patent ownership, required research visitors in the faculty members' lab, and required publications

If you are unsure about terms, conditions, or expectations related to your international engagements, consult your local Office of Research. Your department chair and other UC experts can review your situation and offer guidance.

You may also contact your department leadership, compliance offices, and office of general counsel if you are approached by representatives of a federal agency or law enforcement.

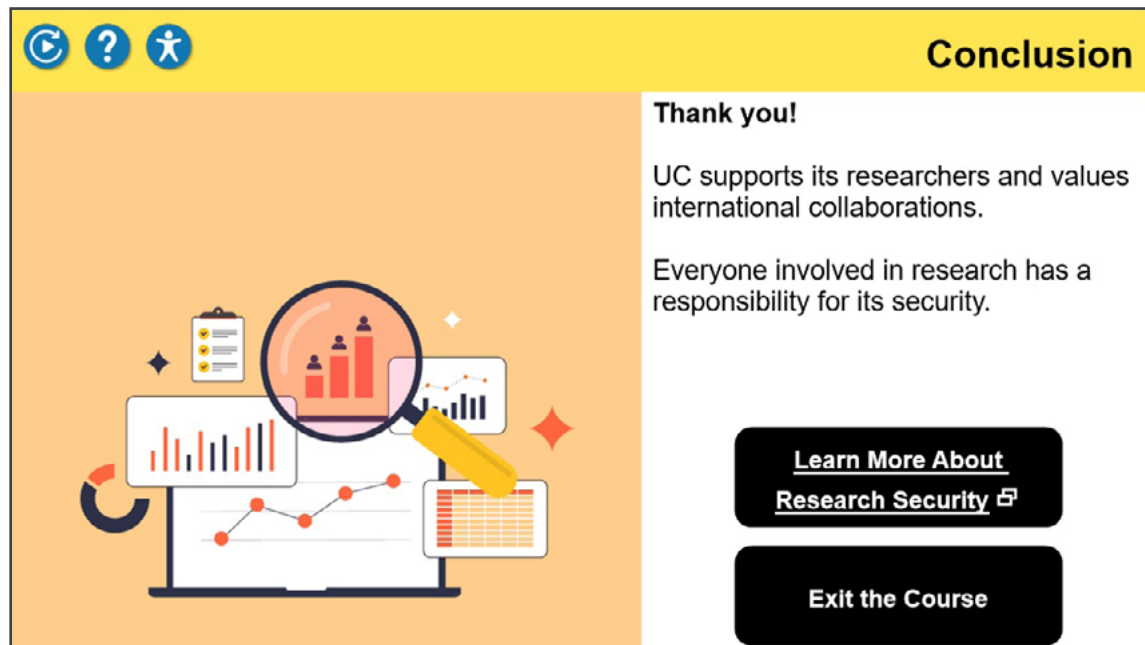
The UC believes research and academic scholarship work best with open collaboration.

Thank you for your careful consideration about decisions to pursue and disclose foreign engagements. Together, we can safely preserve UC's ability to engage internationally.

For questions, resources, and more information, contact your local campus Research Compliance Office or Conflict of Interest Expert.

[Note: This is the end of the fourth video]

26. Course Conclusion



Thank you for completing the Research Security Training at the University of California. UC supports its researchers and values international collaborations. Remember that everyone involved in research has a responsibility for its security—regardless of the area of your research.

For more information on research security, select the “Learn More About Research Security” button on screen.

It is now safe to close this course. Follow the on-screen instructions to do so now.

Visit the [Ethics, Compliance and Audit Services website](#) to learn more about research security.

27. Resources Menu

Research Security Resources

<https://www.ucop.edu/ethics-compliance-audit-services/compliance/research-security/research-security-resources.html>

Research Security Location Contacts

<https://www.ucop.edu/ethics-compliance-audit-services/compliance/research-security/research-security-location-contacts.html>

Conflict of Interest Coordinators

<https://www.ucop.edu/ethics-compliance-audit-services/compliance/research-compliance/research-coi-coordinators.html>

Academic Personnel Contacts

<https://www.ucop.edu/academic-personnel-programs/staff/campus-academic-personnel-offices/index.html>

UC Outside Activities Tracking (OATS)

<https://info.ucoats.org/pages/>

Export Control Location Contacts

<https://www.ucop.edu/ethics-compliance-audit-services/compliance/export-control/campus-contacts.html>

Chief Information Security Officers

<https://security.ucop.edu/resources/infosec-council.html>

Definitions for Talent Recruitment Programs

<https://www.ucop.edu/ethics-compliance-audit-services/compliance/research-security/talent-recruitment-programs.html>

How to Identify a Non-U.S. Talent Recruitment Program PDF

[View PDF](#)

28. How to Identity a Non – U.S. Talent Recruitment Program

WHAT IS A NON – U.S. TALENT RECRUITMENT PROGRAM?

An initiative aimed at recruiting experts in academia and other sectors to cultivate a non-U.S. nation's domestic talent pool in support of that nation's strategic civil and military goals. The arrangement will typically include a non-U.S. university and a UC researcher but will not ordinarily include UC.

Current or pending participation in, or application to, a non-U.S. talent recruitment program is a Category I activity that requires prior approval under [APM - 025 and APM - 671](#).

Participation in Malign Foreign Talent Recruitment Programs as defined by the federal government (see [here](#) for federal definition) may be prohibited by federal funding agencies (or soon will be as required by law).

INDICATORS OF A NON – U.S. TALENT RECRUITMENT PROGRAM

- A written or verbal agreement such as an employment agreement or memorandum of understanding.
- Promised compensation that might include such things as cash or in-kind compensation, research support, complimentary travel, and honorific titles.
- An arrangement that typically includes a non-U.S. university and UC researcher, but doesn't always include the UC researcher's institution.
- Support that might be from a non-U.S. government national, provincial, or local sector or include a private entity.
- Requirement that the researcher comply with the laws of the non-U.S. nation.
- Requirement that the researcher commit effort/time in the talent program resulting in conflict of commitment or interest in excess of the standard UC and/or U.S. federal agency requirements.

TYPICAL PARTICIPATION REQUIREMENTS

- Performance of major non-U.S. national major or key projects.
- Publication of high-level articles in important international academic journals, in the name of non-U.S. institutions.
- Declaration of any national or international invention patents.

- Introduction and cultivation of non-U.S. nation's domestic scholars or graduation students including assistance in publications, inclusion in exchanges and sponsorship or recruitment of such scholars or students to work or study at UC.
- Inclusion of the name of the UC researcher and primary affiliation with the non-U.S. institution in any publications, award applications, patent applications and research project applications.

TYPES OF SUPPORT OFFERED IN EXCHANGE

- Funding for scientific research including the establishment of a laboratory in the non-U.S. institution.
- Provision at no cost for academic team construction, such as payment, accommodation, and travel expense for team members.
- Living allowance for researcher including lodging, travel expenses, and bonuses.

Contacts for assistance:

[Campus Academic Personnel Offices](#); [Campus Research Compliance Offices](#)