

UC SANTA BARBARA Office of Research



Research Integrity Newsletter - May 2023

Export Control

Introducing our next Export Control Officer

Chyverne Gibson has been hired as UCSB's Export Control Officer, after the completion of a national search. Chyverne most recently served as the Export Control Manager at the University of Nebraska, Lincoln. She brings extensive experience in higher education export compliance programs, along with experience in supporting international scholars. She is an active member of the Association of University Export Control Officers (AUECO). Her first day will be May 17th, and the

best way to contact her will be via exportcontrol@ucsb.edu.

Our export compliance program is responsible for providing guidance and oversight to the entire campus community, including our researchers. We support researchers by helping them identify situations that are subject to export controls and assist with the development of compliance plans and other approvals.

Please join us in warmly welcoming her to UCSB!

Entity List Additions - BGI Research and BGI Tech Solutions

As of March 6th, the genomics company BGI Research and BGI Tech Solutions Co., Ltd. were added to the Department of Commerce's Entity List ([link to Federal Register](#)). The Department of Commerce states, "the addition of these entities is based upon information that indicates their collection and analysis of genetic data poses a significant risk of contributing to monitoring and surveillance by the government of China, which has been utilized in the repression of ethnic minorities in China. Information also indicates that the actions of these entities concerning the collection and analysis of genetic data present a significant risk of diversion to China's military programs." Please contact exportcontrol@research.ucsb.edu before engaging in any transactions with BGI Research or its subsidiaries.



Human Subjects Research

What is a NIH Certificate of Confidentiality (CoC) ?

A NIH Certificate of Confidentiality (CoC) is a “certificate” that is issued to investigators engaged in biomedical, behavioral, clinical, or other research in which identifiable, sensitive information is collected, to protect the privacy of individuals who are participants of such research, if the research is funded wholly or in part by the Federal Government. Since 2017, CoCs have been automatically issued for any NIH-funded research that collects or uses identifiable, sensitive information that was on-going on or after December 13, 2016. For these projects, the CoC is issued as a term and condition of the award and NIH does not issue a physical certificate.

For non-NIH funded studies collecting identifiable, sensitive information, researchers may request a CoC from NIH, so long as the research fits within NIH’s mission to seek fundamental knowledge about the nature and behavior of living systems and the application of that knowledge to enhance health, lengthen life, and reduce illness and disability.

Investigators wishing to request a CoC for their non-NIH funded research, must first contact the IRB Office so the IRB can assist in determining whether it is necessary and appropriate to request a CoC.

It is important for investigators to inform research participants who are protected by the CoC about the CoC protections and disclosure restrictions, which is typically conducted through the informed consent process.

Conflict of Interest

NASA Proposes a Conflict of Interest & Conflict of Commitment Policy

In late January, NASA proposed “a new policy that requires financial assistance award recipients to (1) maintain written and enforced policies that require covered individuals to disclose COI and COC to the recipient entity; (2) eliminate or, where appropriate, manage or reduce the disclosed conflict; and (3) disclose to NASA any conflict that cannot be eliminated, managed, or reduced.”

The text of the proposed policy can be found [in this section of the Federal Register](#).

NASA's proposed policy differs considerably from long established Conflict of Interest policies by the National Science Foundation (NSF) and the Public Health Services (e.g., NIH). The University of California submitted a comment letter on the proposed policy and requested significant changes to the policy, including:

- Modeling the policy on an existing COI policy, such as NSF's
- Removing the Conflict of Commitment component, which duplicates activities already reported on Current & Pending or Other Support disclosures
- Eliminating requirements to review disclosures prior to an award decision by NASA

UC's suggestions closely follow comments submitted by other institutions, including major organizations that represent higher education and the research university community, such as AAU, APLU, and COGR ([see their comment letter](#)).

Minor Revision to the UC Conflict of Interest Policy for NSF

On March 15th, a technical revision was made to the [UC National Science Foundation Conflict of Interest Policy](#). The policy was updated to reflect a clarification of the definition of a Significant Financial Interest published by NSF. As mentioned in our Winter newsletter, NSF updated the definition of a Significant Financial Interest to include the following examples: private equity; venture or other capital financing.

NSF released the following [FAQ](#) on the updated SFI definition:

“What are NSF’s expectations for disclosure of a significant financial interest in instances where investigators may have an equity stake in a company, but do not know who the investors in the company are?”

Investigators must disclose their equity stake. If a venture capital firm does not provide investment information, investigators must obtain a letter from the venture capital firm stating that the firm does not disclose who or what they have invested in, or who the other investors are.”

Our office's interpretation of NSF's FAQ is that you are required to report on any equity stake that meets the reporting thresholds. If your investments are made through an intermediary, who does not tell you which companies they have invested in, you will need to provide documentation of that fact. This process is not required for typical mutual fund or retirement accounts where you do not directly control investment decisions.



Animal Subjects Research

USDA-APHIS Has Published Final Rule to Amend the Animal Welfare Act to Include Birds Not Bred for Use in Research

USDA's Animal and Plant Health Inspection Service (APHIS) has published, as part of the Animal Welfare Act (AWA), new regulations and standards governing the humane handling, care, treatment, and transportation of birds used for research purposes. While the Institutional Animal Care and Use Committee (IACUC) has always reviewed and provided oversight of research involving wild birds at UCSB, this final rule provides specific guidance on the use of birds, particularly when kept in captivity.

NIH Recommends That PIs Receiving Funds for Animal Research Use the ARRIVE Guidelines

NIH recently released a Notice ([NOT-OD-23-057](#)) that recommends PIs use the ARRIVE ([Animal Research: Reporting of In Vivo Experiments](#)) guidelines when conducting NIH-funded animal research. The ARRIVE guidelines are designed to help "improve reporting results for vertebrate animal and cephalopod experiments".

We would like to encourage the use of the guidelines for all vertebrate animal research, regardless of funding source.

Stay in Touch!

Questions? Contact us at:

Animal Subjects @ iacuc@lifesci.ucsb.edu

Human Subjects @ hsc@research.ucsb.edu

Conflict of Interest @ coi@research.ucsb.edu

Export Control @ exportcontrol@research.ucsb.edu

Stem Cell and Responsible Conduct of Research @ blakemore@research.ucsb.edu

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