
Position Description

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Position Number:	02014220
UC Path Position #	40262830
Dept:	RESEARCH COMPLIANCE & INTEGRITY(RCI) - 061797
Position:	RESEARCH COMPLIANCE & INVESTIGATIONS ANALYST
Approved Payroll Title Code:	6231
Approved Payroll Title:	RSCH CMLNC ANL 4
Approved MSP Salary Grade:	
Approved PSS Salary Grade:	PSS23

POSITION DETAILS

Job Summary: Under general direction, reporting to the Research Compliance & Integrity (RCI) Director, the RCI Analyst has responsibility for the oversight, administration, and implementation of policies and procedures in an array of research compliance programs, which include in the areas of Conflict of Interest (COI), Export Control, Stem Cell Research Oversight (SCRO), Responsible Conduct in Research (RCR), and Research Misconduct. Through knowledge of and expertise in state and federal policies and regulations, ensure program accountability with state and federally required research review committees and maintain compliance with federal regulations and state laws applicable to research activities associated with the aforementioned compliance programs. Work collaboratively in a cross-functional approach on compliance issues, including those related to government sponsors of research (e.g., federal and state), private research sponsors/collaborators (e.g., industry, non-profit), development of research policy and procedures (e.g., RCR and export control), intellectual property and material transfers, and clinical trials. Serve as subject matter expert for and manager of research compliance activities spanning broad areas of responsibility including: policy review, interpretation, guidance, and implementation assistance; for campus wide research compliance issues; campus wide coordination and promoting best practices; convening campus wide committees and work groups; development of training materials and resource documents for campus use; and providing campus wide training on various issues related to research compliance. Collaborate with the Director in developing and updating campus policies and procedures and implementing changes in federal, State, and University policies and regulations. Provide complex analyses and administrative support for the Conflict of Interest (COI) committee, the Stem Cell Research Oversight Committee (SCRO), and the Human Anatomical Specimen and Tissue Oversight Committee (HASTOC). Independently conduct research misconduct investigations involving confidential, sensitive, and complex situations and disputed matters. Oversee the research misconduct process and ensure compliance of all parties with policy in the conduct of inquiries and investigations of misconduct in science and other scholarly research.

Submit required reports and serve as a primary contact with state and federal agencies such as, National Institutes of Health (NIH), Office of Research Integrity (ORI), California Public Health (CDPH), U.S. Dept. of Commerce, U.S. Dept. of State, and U.S. Dept. of Treasury. Initiate, develop and implementation of educational outreach, this includes campus wide training pursuant to the federally mandated Responsible Conduct of Research (RCR) program.

Campus Job Scope:

The Research Compliance and Integrity (RCI) unit in the Office of Research (OR) has the responsibility to promote the University's research mission. This includes services and resources that enhance research and other creative endeavors, relationships with government and industry, compliance with University and system-wide policy, and oversight of an organized research infrastructure. OR oversees over 25 research units, special research programs, and central facilities with 1,090 employees (470 academic, 620 staff). RCI provides oversight and expertise for faculty engaged in research with over \$90 million in combined external funds annually. The RCI Analyst provides expertise on many major and heavily regulated research compliance areas throughout the campus, medical center, and even system-wide.

Department Specific Job Scope:

Positions Supervised:

NA

Essential Responsibilities:

30% FINANCIAL CONFLICT OF INTEREST (FCOI)

Manage & develop the FCOI reporting process in adherence with all applicable policies & regulations. Analyze FCOI disclosures according to various regulatory frameworks (PHS/NSF/State/DHHS/etc) & determine appropriate level of review. Research & collect additional information from many sources necessary to analyze FCOIs. Collaborate with other stakeholders regarding FCOIs. Present analyses to the COI Committee & act as their liaison to Investigators. Advise Director of noncompliance & recommend resolutions. Manage & enhance databases. Create & monitor COI management plans & report them to federal agencies.

10% EXPORT CONTROL (EC)

Manage the research EC program for compliance with campus, UC System, state, & federal policies & regulations. Analyze, interpret, & apply federal EC regulations (EAR/ITAR/OFAC/etc.). Perform analyses on all EC matters related to research on campus & outside the US. Evaluate US Citizenship & Immigration Services petitions for nonimmigrant workers. Write & submit EC license applications. Design & institute technology control plans. Investigate noncompliance, advise Director & recommend resolutions.

15% STEM CELL RESEARCH OVERSIGHT (SCRO)

Manage human stem cell (SC) research compliance program in accordance with UC System, state & federal policies, regulations & ethical standards. Develop & implement campus guidelines, policies & procedures. Liaison from Committee to Investigators. Independently review & determine SCRO Committee review level for newly submitted protocol applications, renewals & amendments. Manage & improve SCRO database & recordkeeping. Complete & submit annual mandated reports (CDPH/CIRM).

15% RESEARCH MISCONDUCT (RM)

Manage, develop & implement policies & procedures for detecting & investigating RM in compliance with all applicable policies & regulations. Evaluate allegations of RM, determine whether allegations rise to the level of RM. Conduct inquiries, investigations & interviews per RM policies. Apply investigative techniques & use forensic tools to gather evidence. Write comprehensive reports, document investigative actions & maintain records

of proceedings & findings. Notify & report findings to all relevant parties as required by laws & policies. Complete & submit mandated Annual Report to ORI.

10% RESPONSIBLE CONDUCT OF RESEARCH (RCR)

Manage & coordinate the RCR program in compliance with federal agencies (NIH/NSF/USDA) & laws (COMPETES Act). Develop & present as instructor course content to improve awareness & teach ethical principles. Oversee faculty & student participation & monitor attendance using an online interactive database.

10% POLICY DEVELOPMENT & REVIEW

Analyze & develop policies across a broad research compliance spectrum. Independently review, interpret & monitor policy & regulatory requirements, including staying informed of changes in compliance regulations. Evaluate & review existing policy & advise Director & campus leadership of required changes to policy.

10% PROGRAM DEVELOPMENT & OTHER SUPPORT

Formulate strategies for implementing programs & incorporate compliance regulations campus-wide. Provide expertise to campus on research compliance. Improve best practices, create training materials & resource documents (web content/written materials/publications) for campus use & provide education to campus on research compliance. Develop & recommend improvements & solutions to processes in all areas of responsibility. Provide metrics or faculty noncompliance issues to campus leadership upon request. Liaise with federal, state & campus officials on internal & campus-wide audits. Participate in campus or system-wide meetings or workgroups. Provide executive support to campus compliance committees & RCI Director as needed.

Physical Demands:

-Maneuver or lift paper materials with the use of hand cart/dolly weighing up to 25 lbs.

-View display monitor for extended periods of time.

-Works at computer station for extended periods of time.

-Work in an office environment with frequent interruptions and competing priorities.

-Work occasional evenings/nights, varied lunch hours, weekends and holidays.

-Restricted vacation during peak periods.

Work Environment:

-Must be able to travel to various UCD offices located on campus, at times on short notice.

-A valid CA driver's license, or ability to obtain one, for travel to off-campus.

- UC Davis is a smoke and tobacco free campus effective January 1, 2014. Smoking, the use of smokeless tobacco products, and the use of unregulated nicotine products (e-cigarettes) will be strictly prohibited on any UC Davis owned or leased property, indoors and outdoors, including parking lots and residential space.

Background Check:

Yes

QUALIFICATIONS

Minimum Qualifications:

-Bachelor's degree and a minimum of 2 yrs experience (or equivalent education and experience).

-Experience researching, interpreting, and implementing regulations, policies, and guidelines related to research compliance, specifically in the areas of financial conflicts of interests in research, research misconduct, export controls, stem cell research oversight, responsible conduct of research, human subject research.

- Analytical skills to extract, interpret, and evaluate data from a variety of sources and to independently summarize such information to clearly and cohesively explain compliance status with federal and state regulations and all applicable university policies and procedures.
- Experience in conducting assessments, evaluations and investigations to achieve necessary corrective action in a timely manner.
- Experience interpreting, implementing, and monitoring federal and state rules and administrative policies in a research compliance program to address compliance inquiries.
- Critical thinking skills to make decisions and develop recommendations and formulate corrective actions based on understanding of regulations and policies, analysis of information, and awareness of current issues.
- Exercise independent judgment and make effective decisions based on knowledge of campus and University priorities, resources and policies.
- Knowledge of U.S. trade controls, with focus on International Traffic in Arms Regulations (ITAR), Export Administration Regulations (EAR), and/or Office of Foreign Asset Control (OFAC) regulations to provide analytical support and ensure compliance with campus policies and state and federal regulations.
- Experience with campus, UC System, state and federal policies regulatory requirements related to financial conflicts of interests in research, research misconduct, export controls, responsible conduct of research and/or stem cell research oversight.
- Skilled in handling sensitive information and maintain strictest confidentiality of different stakeholders and matters.
- Skills to interpret new and existing regulations and determine their applicability to campus operations and devise strategies and procedures for compliance.
- Organization skills to establish and manage multiple priorities and adjust them as circumstances dictate.
- Work independently, but also work effectively with others in a cooperative, team-oriented environment.
- Experience writing and proofreading to create clear, concise, and logical reports based on analysis and present findings in various formats including technical information in non-technical terms.
- Business acumen and interpersonal communication skills to create and maintain collaborative working relationships with senior administrators and a diverse range of constituents.
- Experience collaborating and communicating with various stakeholders, e.g. Sponsored Programs (SPO), InnovationAccess (IA), Clinical Trials, IRB, Campus Counsel, Health System Compliance, Office of the Provost Compliance and Policy, EH&S, Academic Affairs, etc.
- Experience working with word processing, spreadsheet, email, presentation, and database application programs, automated personnel systems, and forensic detection software and programs. Experience researching information via the internet.
- Experience developing, implementing, and monitoring training programs and training documents for target audience using appropriate grammar and language.
- Experience organizing and presenting (public speaking) large and small training seminars, conferences, presentations, and workshops, including all required logistical details.
- Skill to take initiative to undertake unfamiliar projects/assignments.

Preferred Qualifications for Selection:

- Advance degree (e.g., MS, MPH, MBA, JD).
- Education or experience in life sciences.
- Knowledge of campus organizational structure.
- Experience in the operations of a major research university, preferably a public university.
- Knowledge of UC policies, procedures and guidelines in the area of

- research compliance and integrity.
- Experience working with diverse populations at all levels of a higher education organization, including faculty, senior administrators, legal representatives, corporate headquarters personnel, and external governmental agency representatives.
 - Experience supervising, training, and monitoring student(s) assistants.

SIGNATURES

Employee

I have read this position description and understand its contents.

Date

Supervisor

This position description accurately describes the essential responsibilities assigned to this position..

Date

Department Head

This position description accurately describes the essential responsibilities assigned to this position..

Date