



# FEDERAL DEMONSTRATION PARTNERSHIP

Redefining the Government & University Research Partnership

## Foreign Influence Implementation Discussion *Concurrent Session 5*

Kim Moreland, Wisconsin

Pam Caudill, Yale

Michele Masucci, Temple

Jim Luther, Duke

**January 10, 2020**



# Foreign Influence Implementation Discussion

- **Topic:** The focus of this session will be on how research institutions are approaching this **evolving** area to date in such areas as communication, awareness, policies, procedures, etc. Particular focus will be on the recently released JASON report, communication from NSF, as well as the revised NIH GPS. Information will be shared from several institutions in order to **spark discussion** around examples and current practices as well as what role FDP might play or activities that FDP could undertake to best support its members and the research community.



# Agenda

- **Welcome and Introduction**
- **Context and Overview**
- **Topical Discussion**

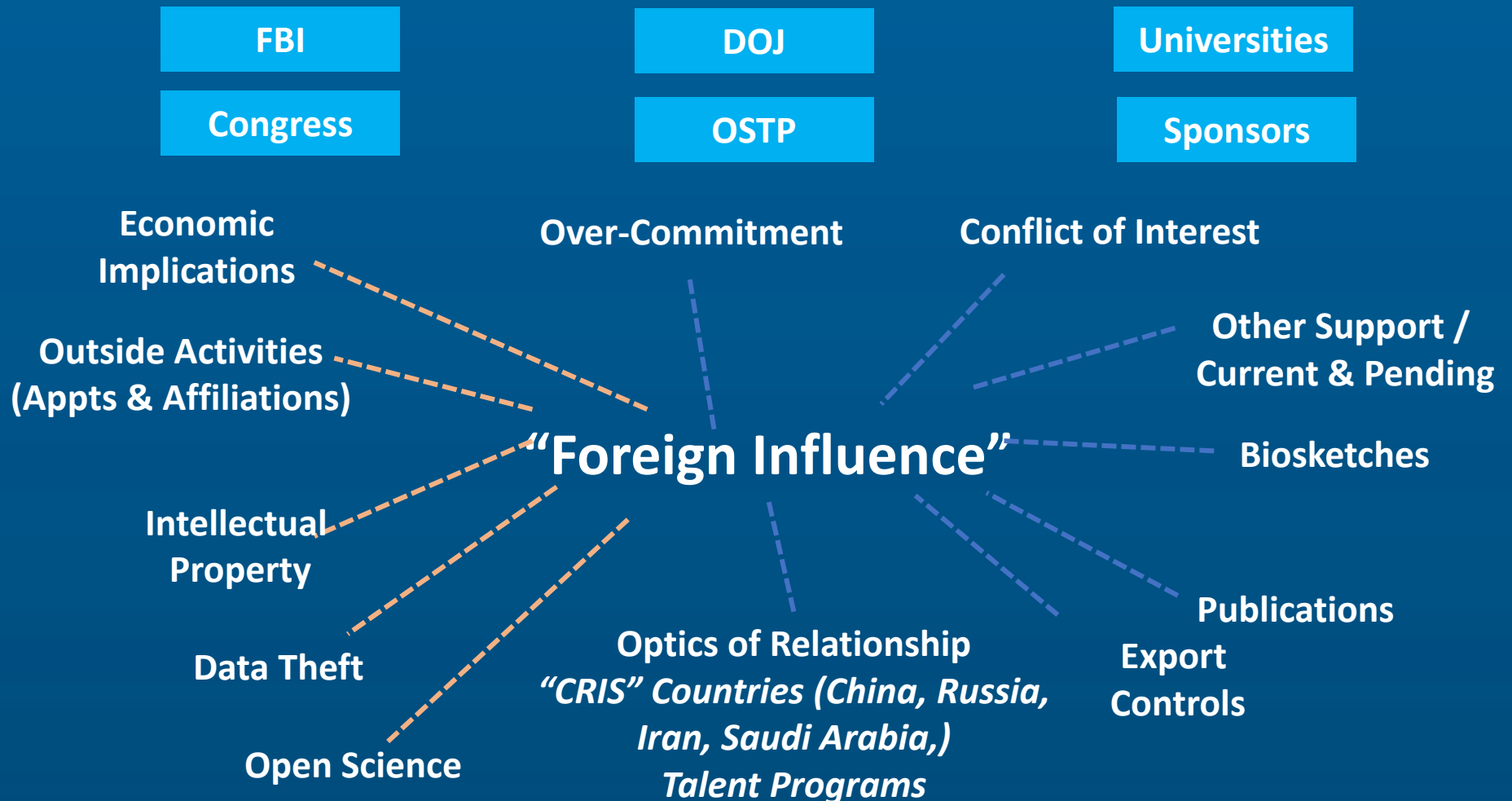


# FEDERAL DEMONSTRATION PARTNERSHIP

Redefining the Government & University Research

September 2019

## So What's the Real Issue?





# “Foreign Influence”

September 2019

August 2018

October 2018 - Present

July/August 2019

NIH  
Letter

Foreign  
Component /  
Foreign Influence

Disclosure  
(NIH / NSF)

- Diversion of intellectual property (IP) in grant applications
- Sharing of confidential information during peer review
- Failure to disclose substantial resources

- “Significant”
- Outside of United States

- NIH: Letters to Universities & ACD

- Significant Congressional Interest

- NDAA, DoD, DOE, FBI

- Affiliations & appointments
- Include non-financial support
- Talent Programs
- Other Inclusions?

December 2019

- JASON Report
- JCORE – Joint Comm. on Research Environments



# Activities Since September 2019

- OSTP JCORE Traveling Town-Halls
  - September 16, 2019 “Dear Colleague” memo
- White House Summit - Joint Committee on the Research Environment (JCORE) – November 5, 2019
- JASON Report “Fundamental Research Security” Release – December 11, 2019
- NSF Communication – December 12, 2019
- NIH Advisory Committee to the Director Update – December 13, 2019
- Increased Enforcement
  - 5+ Prominent Newsworthy Examples



# Discussion Topics



# Topical Discussion

- 1) **Visitor Policy:** Have you made or are you in the midst of making any changes to your (foreign) visitor policy, practice (building security, education efforts, other), or forms in the recent past?
- 2) **Infrastructure/Committee:** Do you have a committee on your campus related to foreign influence? Who is responsible for that committee? Does it have a published charge that you would be willing to share?
- 3) **New Staff:** Have you yet added any FTE to help manage foreign influence issues? If so, what are their main responsibilities and who do they report to?
- 4) **Foreign Talent Program Relationships:** Do you inquire of your PIs or other key personnel if they are a part of a Foreign Talent Program? How is that information gathered? (proposal routing form, COI form, or ?) If so, what do you do with "yes" answers?
- 5) **Technology Investment:** Have you yet made system changes at your campus (new data elements or new interfaces between systems). Briefly describe.





# Topical Discussion

- 6) **Regulatory Concerns:** What federal regulations or requirements concern you the most as being unclear/worrisome?
  - a) Department of Ed Section 117 reporting
  - b) Other support forms (unclear what should and should not be reported)
  - c) Potential theft of University data or IP by foreign visitors; U investigators
  - d) Inability to attract or retain foreign graduate students/postdocs; foreign investigators
  - e) Potential overlap in funding that the U doesn't know about (not reported to U)
  - f) Duplicate appointments at other institutions (foreign or domestic) (not reported to U)
  - g) Expectation to “connect the dots” of risky faculty (appointments, COI, COC,
- 7) **Outside Appointments:** Have you changed your process related to allowing/approving outside appointments & relationships? How do you differentiate “consulting” & what could be defined as a second employer?
- 8) **Other Support:** How are you dealing with the recent communications / clarifications related to inclusions in other support/current & pending?
- 9) **Unintended consequences?**
- 10) **Burden?**
- 11) **Other:** International Travel, etc.



# Discussion and Questions



Extra for Talking Points



# Activities Since September 2019

- OSTP JCORE Traveling Town-Halls
  - September 16, 2019 “Dear Colleague” memo
- Increased Enforcement
  - 5+ Prominent Newsworthy Examples
- White House Summit - Joint Committee on the Research Environment (JCORE) – November 5, 2019
  - Focus: integrative approach JCORE is taking to develop policy recommendations and best practices aimed at improving the collective safety, integrity, productivity, and security of our nation’s multi-sector research environment.
  - Themes: Transparency, Integrity, Workload, Coordination



# Activities Since September 2019

- JASON Report Release – December 11, 2019 - “Fundamental Research Security”
  - Four main themes emerged from the JASON study:
    - The value of, and need for, foreign scientific talent in the U.S.
    - The significant negative impacts of placing new restrictions on access to fundamental research.
    - The need to extend our notion of research integrity to include disclosures of commitments and potential conflicts of interest
    - The need for a common understanding between academia and U.S. government agencies about how to best protect U.S. interests in fundamental research while maintaining openness and successfully competing in the global marketplace for STEM talent.



# Activities Since September 2019

- NSF Communication – December 12, 2019
  - PAPPG to be released in 2020, effective 90 days after
  - NSF is partnering with the National Institutes of Health (NIH) to use [SciENCv](#) for use in preparation of both the Biographical Sketch and Current and Pending Support.
  - SciENCv allows proposers to integrate their ORCID to enable pre-population for the Biographical Sketch.
- NIH Advisory Committee to the Director Update – December 13, 2019
  - Transparency, Transparency, Transparency
  - Implementing ACD recommendations; Working closely with other agencies and stakeholders
  - “...reiterate the importance of the contribution of foreign scientists...”