



FEDERAL DEMONSTRATION PARTNERSHIP

Redefining the Government & University Research Partnership

Plenary

- Foreign Influence Management –
*Advancing Understanding While
Reducing Burden*

Bridget Turaga & Jean Feldman – NSF

Michelle Bulls – NIH

Jeremy Ison - Department of Energy

Bindu Nair – DOD

Pamela Webb (Minnesota) and Jim Luther (Duke) - Moderators

September 24, 2019



Foreign Influence Implementation Discussion - *Research Institution Perspective*

- **Topic:** The panel will share information on any aspects that have changed related to foreign influence requirements since the May FDP meeting as well as any actions being taken or are planned for on harmonizing requirements, definitions, processes or expectations among federal agencies. Current plans for FDP goals and actions in this area will also be discussed.



Agenda

- Welcome and introduction of the issue
- Overview of the new FDP Working group and objectives
- Agency / Sponsor Presentations
- Discussion and Q&A



Welcome and Introduction of the Issue



Welcome and Introduction of the Issue and Objective of the Session

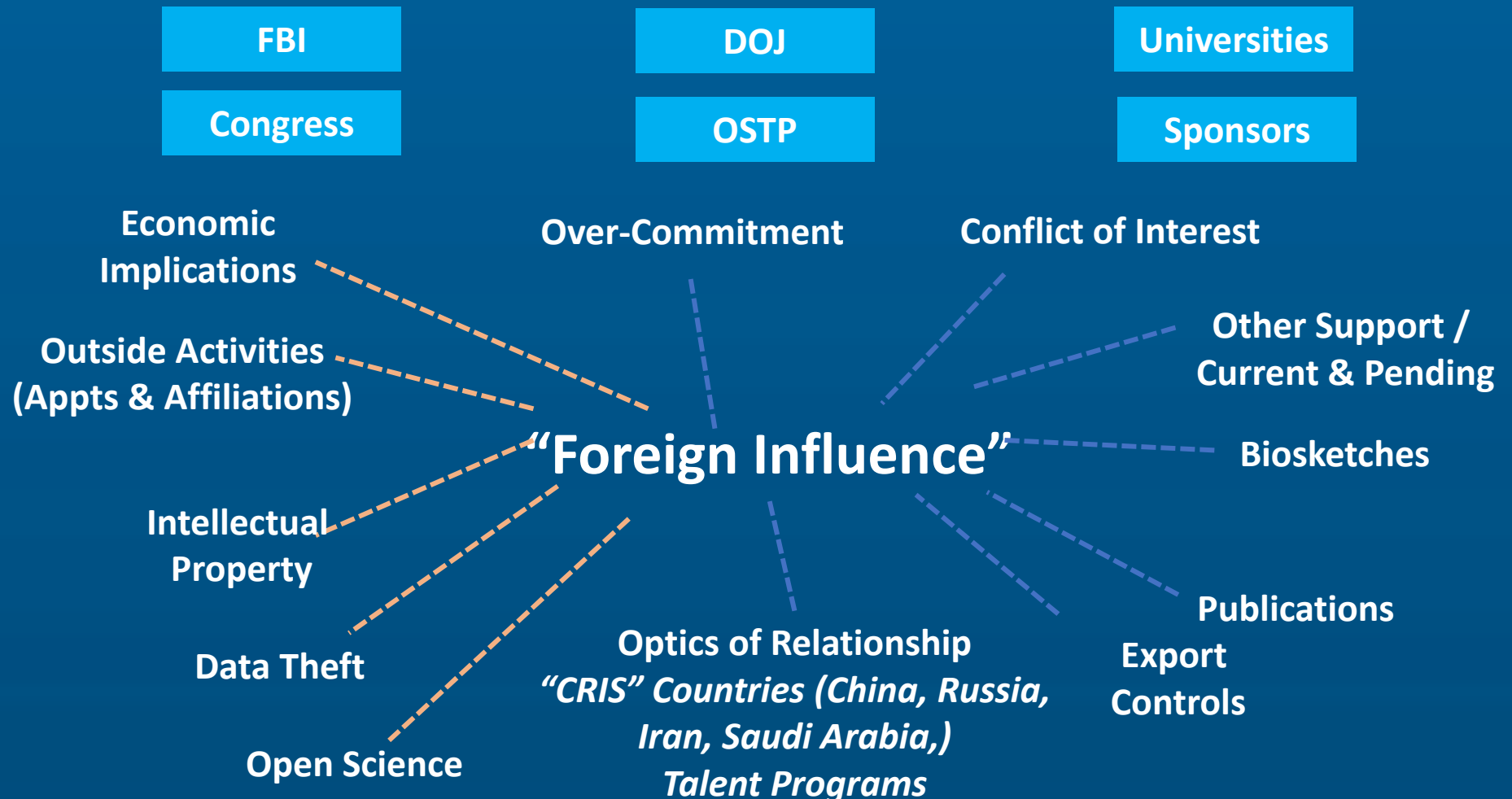
- Key Environmental Factors
 - Complexity, Breadth and Depth of Topics
 - Pace of Change → Uncertainty



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So What's the Real Issue?





“Foreign Influence”

August 2018

October 2018 - Present

July/August 2019

**NIH
Letter**

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



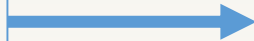
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Component /
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- “Significant”
- Outside of United States

- NIH: Letters to Universities & ACD

- Congress: Sen. Grassley / Rubio, etc.

- NDAA, DoD, DOE, FBI



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July/August 2019

**Disclosure
(NIH / NSF)**

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



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New FDP Foreign Influence Working Group

- **Overview and objectives**

- **Inter-FDP committee to promote coordinated response**
- **Foreign influence requirements identification**
- **Confirmation of the accuracy/clarity of definitions (other support, appointments, etc.)**
- **Plus understanding agency expectations (beyond simple requirements, what is needed)**
- **Institutional responsibilities versus investigator responsibilities**
- **Address issues that require input/dialogue**
 - **Restricted NOAs**
- **Documentation of burden and suggestions for burden reduction**
- **Promotion of harmonization across agencies where possible**
- **Coordination with COGR and other interested parties**



Membership

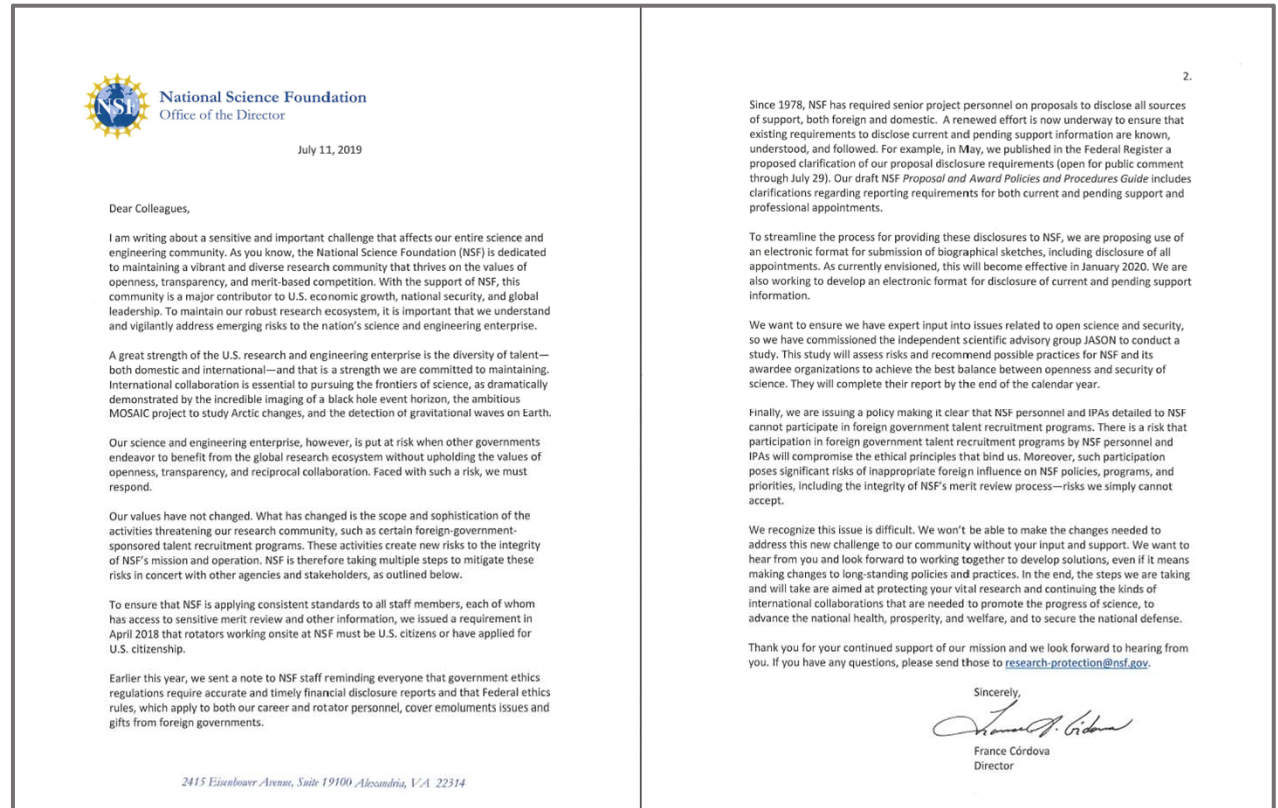
- Michelle Masucci (Faculty)
- Robert Nobles (Faculty)
- Lori Schultz (ERA)
- Susan Anderson (ERI)
- Pamela Webb (Research Administration)
- Jim Luther (Finance/Audit/Costing)
- Doug Blackman (Export Controls/Research Compliance)
- Mary Lee (COI/Research Compliance)
- Robin Cyr (At-Large)
- Pamela Caudill (At-Large)
- Kim Moreland (At Large)

Interested? Please email Pamela (pwebb@umn.edu) and Jim Luther (james.luther@duke.edu) so we can email you when the group needs additional input or help.



Dr. Córdoba's Dear Colleague Letter

on Research Protection



Dr. Córdoba's Dear Colleague Letter



*“NSF is dedicated to maintaining a **vibrant and diverse** research community...”*



Dr. Córdova's Dear Colleague Letter



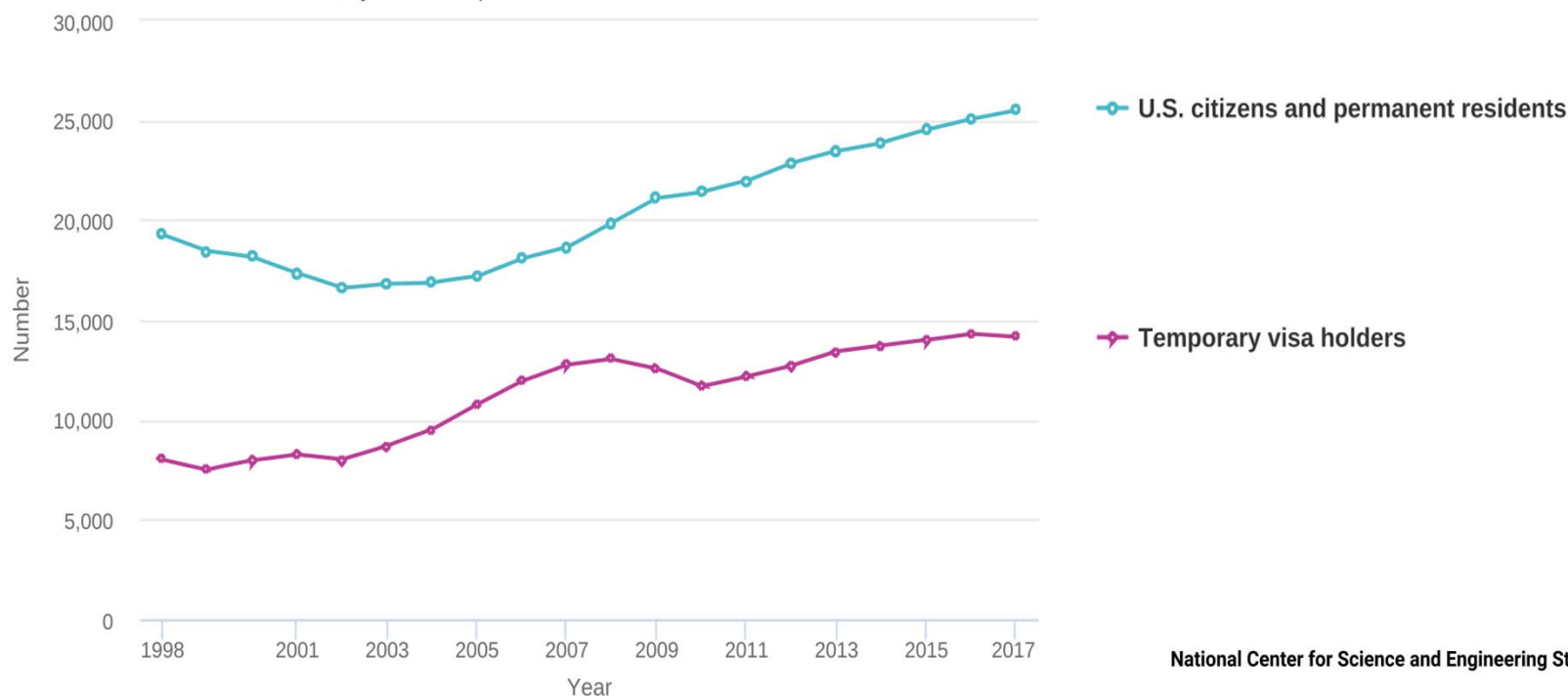
“NSF is dedicated to maintaining a vibrant and diverse research community...”

*“A great strength of the U.S. research and engineering enterprise is the **diversity of talent** – both domestic and international – and that is a strength we are committed to maintaining...”*



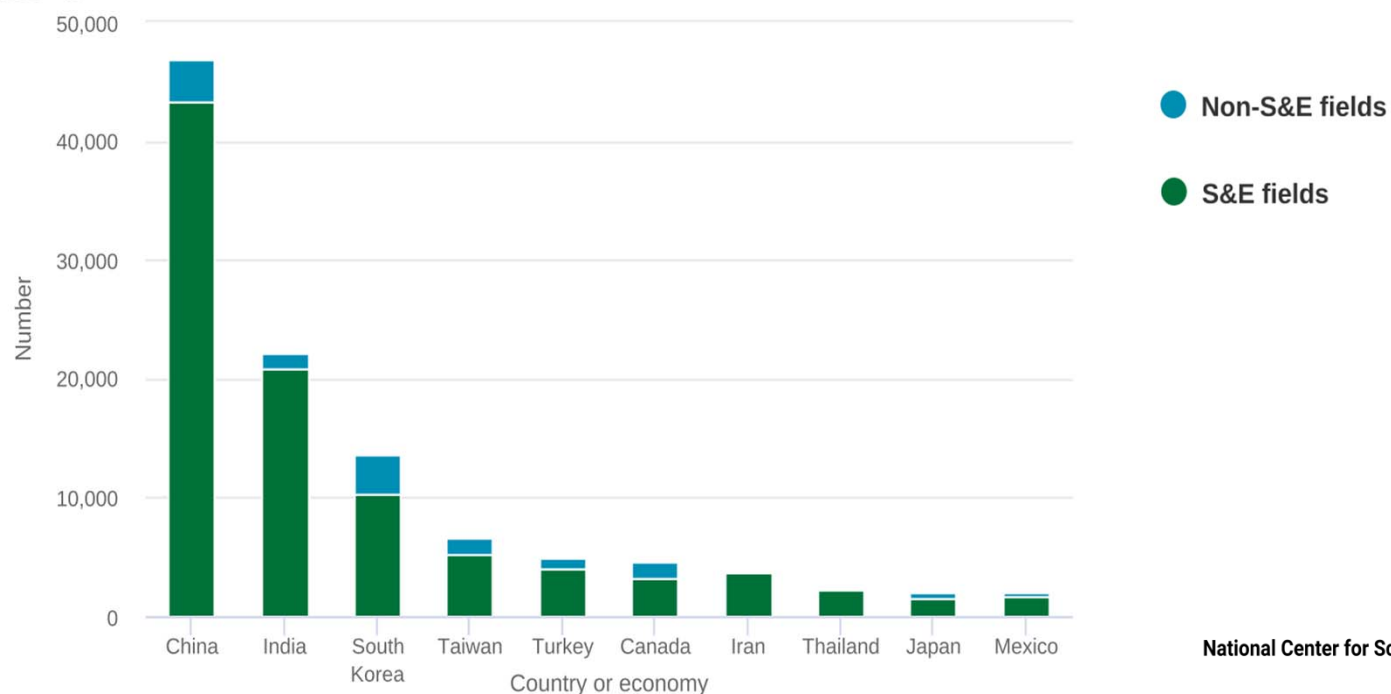
Foreign Talent in the U.S.

Doctorates awarded in S&E fields, by citizenship: 1998–2017



Foreign Talent in the U.S.

Top 10 countries or economies of foreign citizenship for U.S. doctorate recipients with temporary visas:
2008–17



National Center for Science and Engineering Statistics

Dr. Córdova's Dear Colleague Letter



“International collaboration is essential to pursuing the frontiers of science, as dramatically demonstrated by the incredible imaging of a black hole event horizon, the ambitious MOSAIC project to study Arctic changes, and the detection of gravitational waves on Earth.”

What Does International Engagement Look Like?

- International scientific research collaborations with transparent and reciprocal exchanges for mutual benefit
- Leveraging of complementary skills, facilities, sites, and resources
- Accepting an invitation by a foreign state to simply attend or present work at an international conference
- Receiving a fellowship or participating in a scholarship program sponsored by a foreign institution that is focused solely on education or training



Dr. Córdoba's Dear Colleague Letter



*“Our science and engineering enterprise, however, is put at **risk** when another government endeavors to benefit from the global research ecosystem **without upholding the values of openness, transparency, and reciprocal collaboration.**”*

Dr. Córdova's Dear Colleague Letter



*“To maintain our robust research ecosystem, it is important that we **understand and vigilantly address emerging risks to the nation's science and engineering enterprise.**”*

Risks to U.S. Science and Security in a Global Research Ecosystem

Research Integrity:

- Conflicts of interest / commitment
- Confidentiality of merit review process
- Protection of pre-publication data

Risks to U.S. Science and Security in a Global Research Ecosystem

**NSF's approach
emphasizes
disclosure and
risk
assessment.**

NSF Actions

to Ensure the Integrity of Federally-Funded Research

- Improved transparency/clarification for disclosure
- Streamlined processes for disclosure
- Additional review for overseas campuses
- NSF working group
- Risk assessment and analysis – internal and through JASON independent advisory group
- Standardization of U.S. citizenship requirements and foreign government talent recruitment program participation restrictions for the NSF workforce



NSF Actions

to Ensure the Integrity of Federally-Funded Research

- Coordination with USG interagency partners, including through the Joint Committee on the Research Environment (JCORE) subcommittees on research security and coordinating administrative requirements for research
- Raising awareness within the scientific community through talking and listening



Thank You

NSF Office of International Science and Engineering

Bridget Turaga, Bturaga@NSF.gov





Agencies / Sponsors

- NIH
- DOD
- DOE



Discussion and Questions