New, Innovative Approaches to Successfully Managing Foreign Influence



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Getting Started

- All viewers will be muted for the duration of the webinar
- If you have questions, please use the Q&A function
- This session is being recorded and you will receive the link

Today's Conversation

- Foreign influence background and magnitude
- Approaches for minimizing risk in this area
- Look at the tech that can help drive best practices
- Q&A

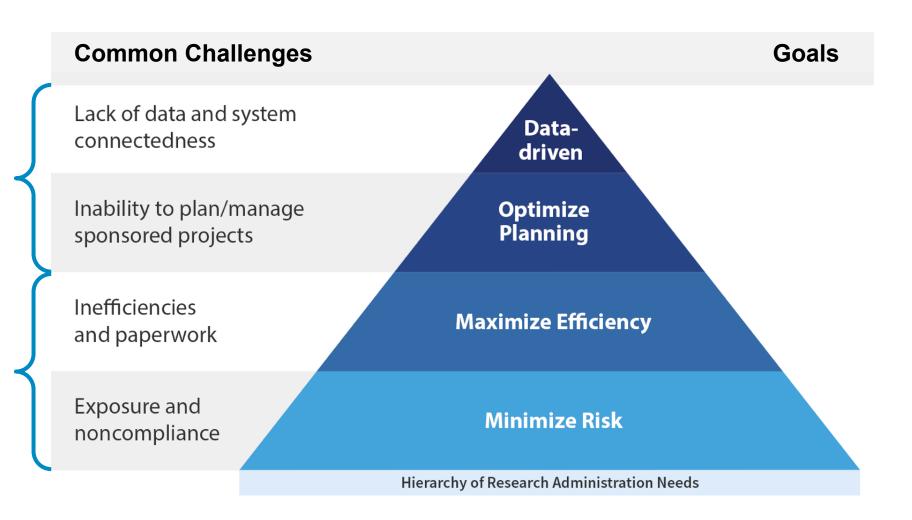
The pyramid of research management challenges



For many research leaders:

No time or tools to focus on the top half of the pyramid

Stuck fighting fires at the bottom half of the pyramid



The Cayuse platform supports a connected full suite of apps driving impact across the entire hierarchy of



challenges Find Funding **Develop Proposal Submit Proposal AWARD Set Up Project Manage Project Close Out Project** √ Minimize risk √ Maximize efficiency ✓ Optimize planning ✓ Enable a world-class, data-driven research organization Post-Award Pre-Award Fund Manager • Project Effort Fund Finder • Competitions • Proposals Sponsored Projects Resource Management **M** Risk Management Human Ethics • Animal Oversight • Hazard Safety Vivarium Operations • Schedules • Vet Care Outside Interests • Training Records cayuse Central administration Single Sign-On (SSO) All data in one place Cross-app workflows APIs for simplifying integrations User-centric dashboards and analytics

Our focus on research has resulted in leading the industry



The most customers. 60% of the top 100 institutions.

Fastest Time to Value

Guaranteed on-time, on-budget implementation

Customer-Centric Philosophy

96%+ customer satisfaction rate

End-to-End Cloud Platform Built to Connect & Scale

2.5x industry avg. R&D spend, SOC-2 compliant

Some of our 360+ customers





































































Poll Question

Are conflicts of interest and conflicts of commitment handled through the same office at your institution?

- Yes
- o No



- Awareness
- People
- Approach
- Enforcement
- Technology



Genesis of the Topic

Congressional Testimony by FBI Director Christopher Wray called China "the broadest, most significant" threat to the nation and said its espionage is active in all 50 states.

Feb. 2018

National Defense Authorization Act FY 2019

2019

20 Aug. 2018

Francis Collins' Dear Colleague Letter dated August 20, 2018

- NIH Advisory Committee to the Director (ACD) Working Group on Foreign Influences on Research Integrity
- NIH targeted letters to institutions



DEPARTMENT OF HEALTH & HUMAN SERVICES

Public Health Service

National Institutes of Health Bethesda, Maryland 20892

August 20, 2018

Dear Colleagues:

For many decades, the National Institutes of Health (NIH) and institutions like yours have participated in productive partnerships that greatly advance biomedical science. Scientists at universities and academic medical centers, supported by NIH, have made seminal biomedical discoveries that have led to dramatic improvements in human health. The scientists whose work NIH is proud to help support come from all over this country and the world, bringing rich, diverse perspectives and backgrounds to the biomedical research enterprise.

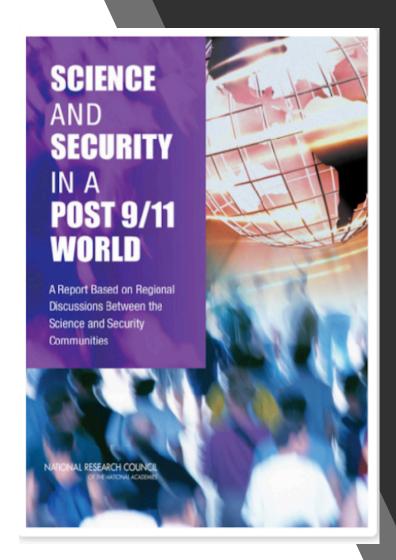
The NIH-funded biomedical enterprise depends on a competitive system, which, to be successful, must be fair, transparent, and trustworthy.

Unfortunately, threats to the integrity of U.S. biomedical research exist. NIH is aware that some foreign entities have mounted systematic programs to influence NIH researchers and peer reviewers and to take advantage of the long tradition of trust, fairness, and excellence of NIH-supported research activities. This kind of inappropriate influence is not limited to biomedical research; it has been a significant issue for defense and energy research for some time. Three areas of concern have emerged:

- Diversion of intellectual property (IP) in grant applications or produced by NIHsupported biomedical research to other entities, including other countries;
- Sharing of confidential information on grant applications by NIH peer reviewers with others, including foreign entities, or otherwise attempting to influence funding decisions; and
- Failure by some researchers working at NIH-funded institutions in the U.S. to disclose substantial resources from other organizations, including foreign governments, which threatens to distort decisions about the appropriate use of NIH funds.

NIH Director Collins' Letter – Aug. 20, 2018

- Identified three major concerns:
 - 1) Diversion of intellectual property (IP) in grant applications or produced by NIH supported biomedical research to other entities, including other countries;
 - Sharing of confidential information on grant applications by NIH peer reviewers with others, including foreign entities, or otherwise attempting to influence funding decisions; and
 - 3) Failure by some researchers working at NIH-funded institutions in the U.S. to disclose substantial resources from other organizations, including foreign governments, which threatens to distort decisions about the appropriate use of NIH funds.
- Warned of targeted letters and additional NIH efforts



National Security Advisory Board On Biosecurity

- 2004 National Academies Publication, Science and Security in a Post 9/11 World: A Report Based on Regional Discussions Between the Science and Security Communities
- Dual-Use Research in Life Sciences
- Subsequently
 - Dual Use Research of Concern
 - Gain-of-Function (GOF) Research

NIH Targeted Letters to US Institutions

- Main Concern: Undisclosed Financial Conflicts of Interest and Conflicts of Commitments
- Specifically identified faculty
- Institutions were given 60 days to investigate and respond



Agency Specific Information



NIH

 Reporting of Other Support NOT-OD-19-114

NSF

 Jason Report on Fundamental Research Security

https://www.nsf.gov/news/ special_reports/jasonsecurity/ JSR-19-2IFundamentalResearchS ecurity_12062019FINAL.pdf

DoE

 https://www.directives.doe.gov/ directives-documents/400-series/ 0486.1-BOrder/@@images/file

DoEd

Section 117 Reporting

Examples of Reportable Foreign Components

- All external research support from any source and regardless of whether the support is administered through the University of Minnesota or elsewhere, or by the investigator him/herself;
- Institutional research grants that include measurable effort;
- Investigator participation in foreign talent programs;
- External financial support for laboratory personnel;
- Provision of high-value materials that are not freely available;
- Paid or unpaid teaching or other summer appointments that are "in support of and/or related to research efforts."
- Source: University of Minnesota Guidance



APLU/AAU Effective Practices Summary



ASSOCIATION OF

- Awareness Building and Communication
- Coordination
- Training
- Review of Foreign Gifts, Grants, Contracts and Collaborations
- Review of Faculty Foreign Financial Interests and Affiliations
- Protection of Data and Cybersecurity
- Protection of Intellectual Property and Use of Technology Control Plans
- Regular Interactions with Federal Security and Intelligence Agencies
- Foreign Travel Safeguards and Protections
- International Visitors to Campus
- Export Control Compliance







Poll Question

On a scale of 1 to 5, how do you feel about the tools you have to support managing foreign influence?

- 1) Very manual and/or disconnected
- 2)
- 3)
- 4)
- 5) Seamless disclosure process, easy to track and ensure all proper controls in place



Dy

3

4

Dynamic Investigator Profiles

Tech Spotlight

Foreign Influence Tools **Effective Disclosure Process**

Multi-Admin Tracking

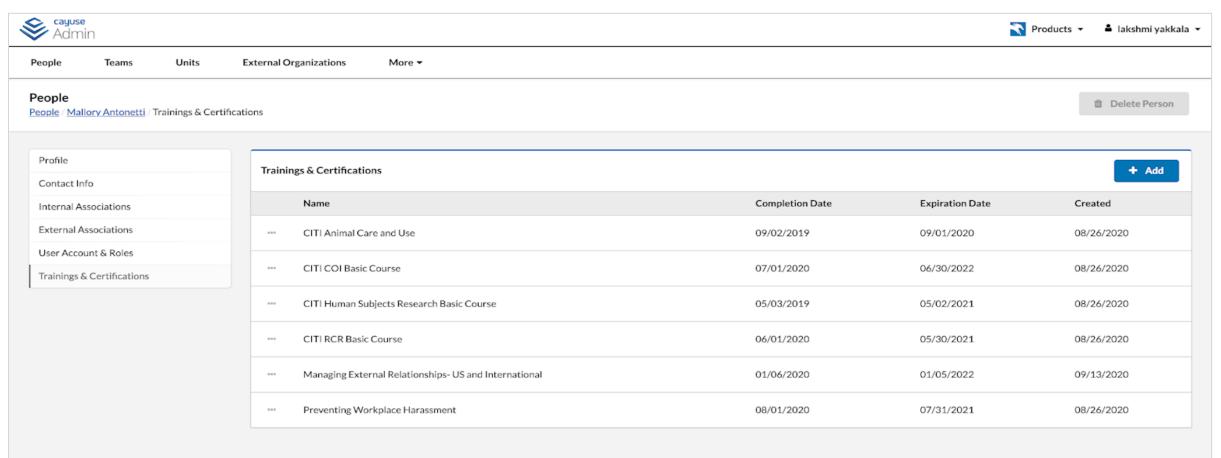
Dynamic Investigator Profiles



Service Admin							
People	Teams Units	External Organizations More ▼					
Q Clic	ck to search						
	Name \$	Internal Associations	External Associations				
	Hamil Alchin	Pre-Award Administration Research Administrator					
•••	Lindsay Andrews	Animal Oversight Animal Oversight Program Director					
•••	Mallory Antonetti	Educational Psychology Assistant Professor Neurology Professor	Bill & Melinda Gates Foundation Board Member Abbott Laboratories, Inc. Consultant Eli Lily Company				
***	Hiram Bakrushkin	Psychology Department Chair	Foreign National				

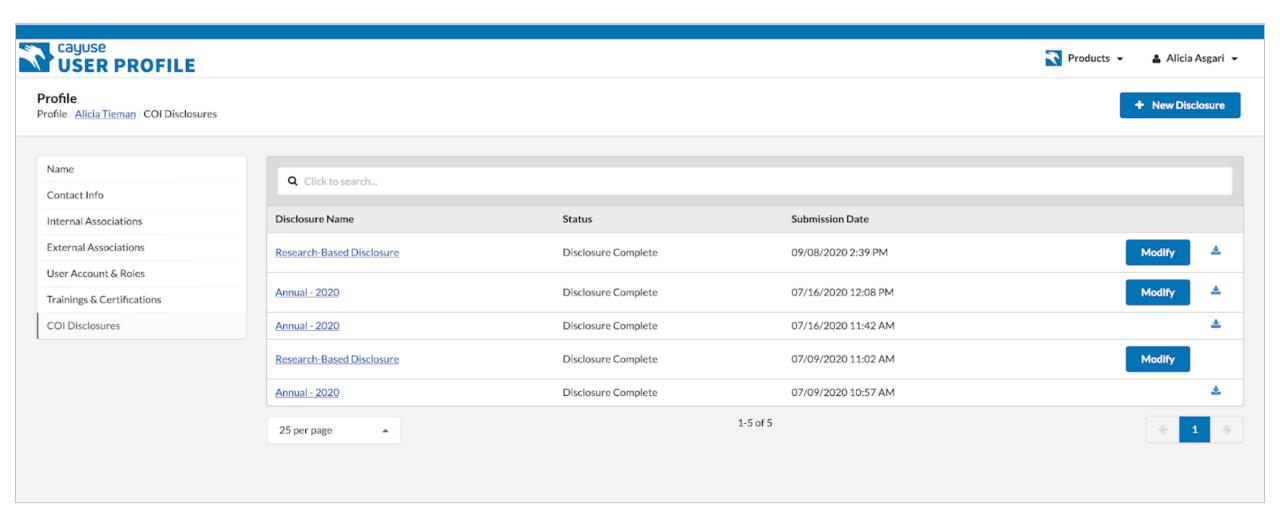
Dynamic Investigator Profiles





Dynamic Investigator Profiles





Effective Disclosure Process



Dashboard	Disclosures	More ▼		
Sections			Annual Screening Questionnaire	
Annual Screen	ing Questionnaire	6		
			Federal regulations and University policies require that researchers' external interests/relationships be assessed relative to each body of research in which they are engaged. This requires ongoing disclosure of external interests/relationships by researchers, and ongoing review by The University with respect to research activities. External interests/relationships that exist do not automatically present COI concerns. A COI determination for a particular research project is made when an external interest/relationship relates to and could directly and significant or bias the research (or present the perception thereof). COIs must be eliminated, reduced or managed.	gnificantly
Do you have any outside relationships or commitments that impact your institutional teaching, research, and service responsibilities, or from which you decision making? * Yes No		○ Yes	in institutional	
			Do you, or do you plan to, serve as a Key Investigator? * Yes No	
			Do you currently receive funding from or plan to apply for funding from a U.S. federal government sponsoring agency (e.g., PHS/NIH, PHS/CDC, NSF, DoD, DoE * Yes No	?

Effective Disclosure Process



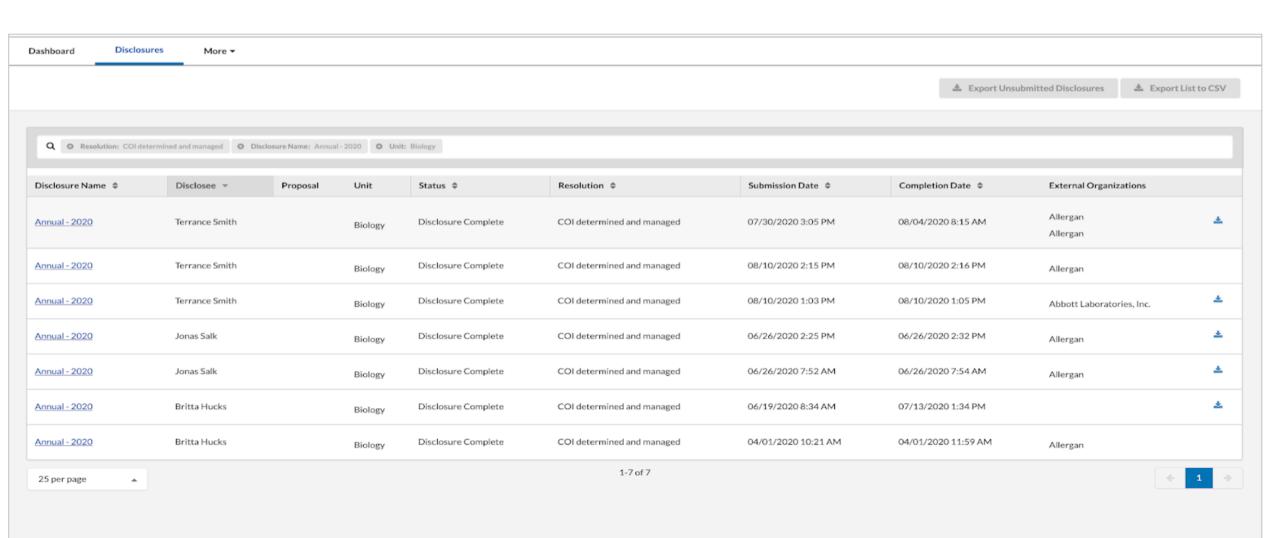
Dashboard	Disclosures	More ▼		
			Do you or any immediate family members have any compensated financial relationship or fiduciary relationships with a business entity or organization outside the U.S? * Yes No Potentially	
			Do you have any formal interactions (collaborations, participation in a foreign talent recruitment program, research funding, other engagement) with a university or other entity outside the United States * This includes: All foreign research support, whether paid or in-kind, from any source and regardless of whether the support is administered through CSU or elsewhere, or by the investigator him/herself Research grants from foreign entities that include measurable effort Investigator participation in foreign talent recruitment programs; External financial support for laboratory personnel either inside or outside the United States Provision of high-value materials or data to a foreign entity that are not freely available Paid or unpaid teaching or other summer appointments that are in support or and/or related to research efforts associated with a foreign entity Yes No	
			Have you been the recipient of any gifts or other support from an external organizations or university? * Yes No	
			Is this organization or university located outside of the U.S? * Yes No	?

Effective Disclosure Process

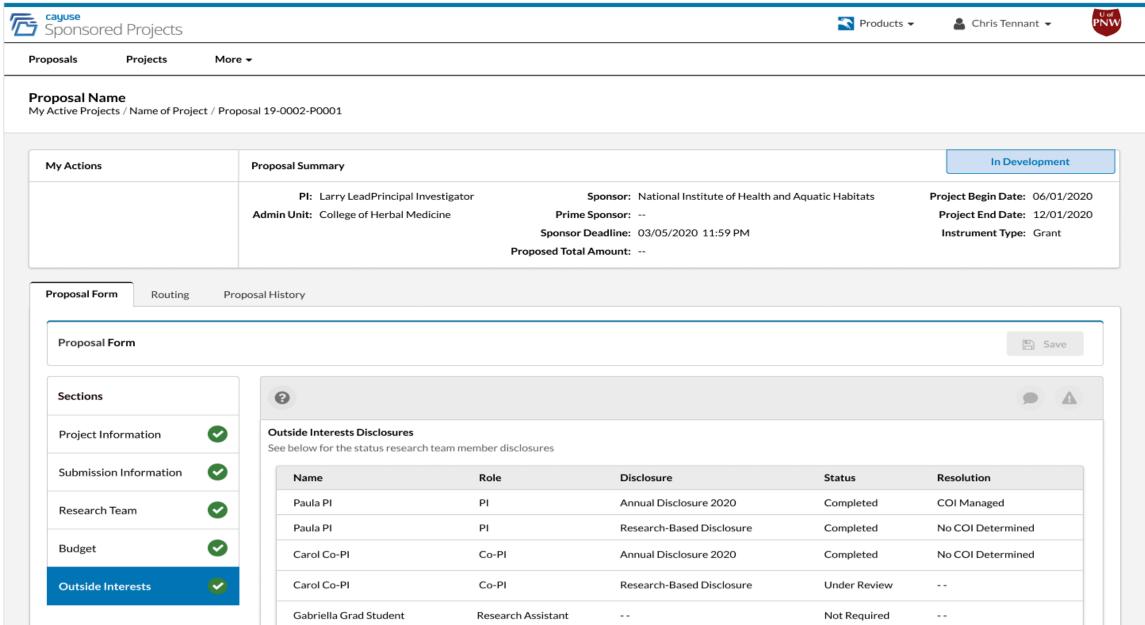


Dashboard Disclosures More ▼		
Sections	Disclosure Details (Non US)	
Annual Screening Questionnaire	0	
Disclosure Details (Non US)	Please click the +Add New Relationship button complete this section	
Sponsored Travel (PHS) Outside Commitments	Select Organization * No external organization selected. Find external organization. Type of Organization Select a value	Delete Relationship
	What is the principal business of this organization? Please provide details regarding the disclosable relationship you have with this organization:	
	Is the relationship described above related to your Institutional Responsibilities at This Institution? Yes No Potentially Does your relationship involve recruitment for any talent program or specialized training? Yes No Potentially	
		+ Add New Relationship
	Please provide any supportive documentation related to this disclosure: Drop files here to upload or	?

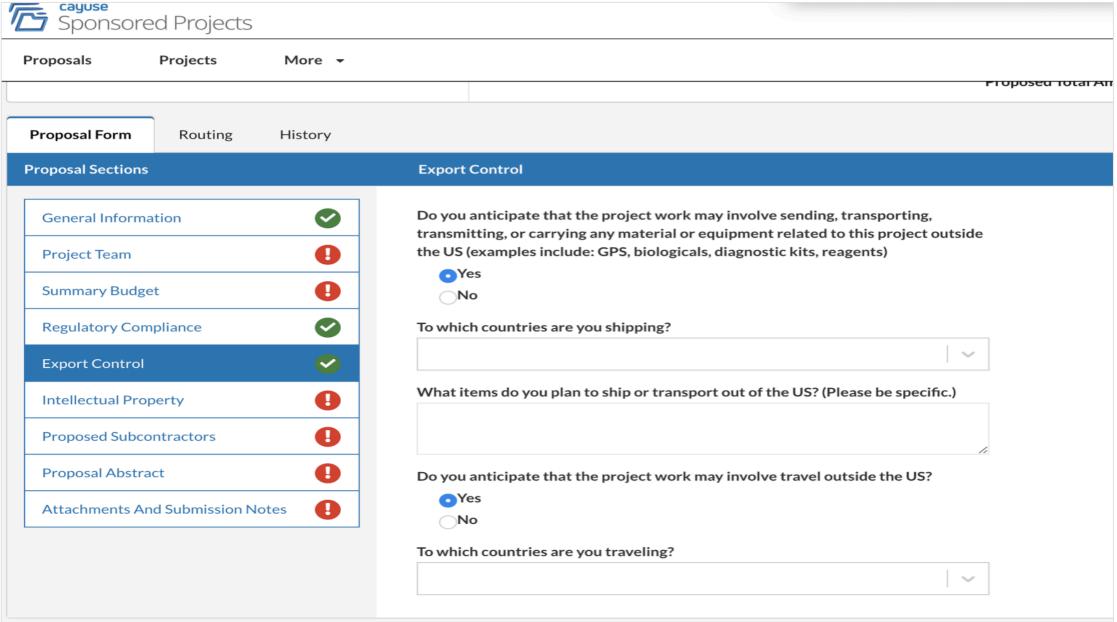




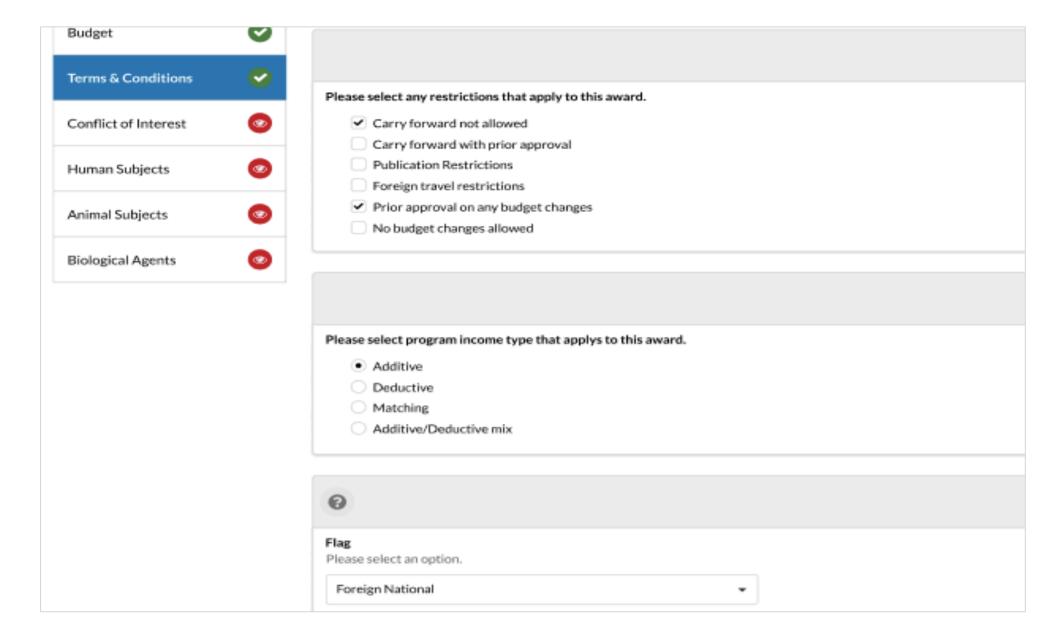




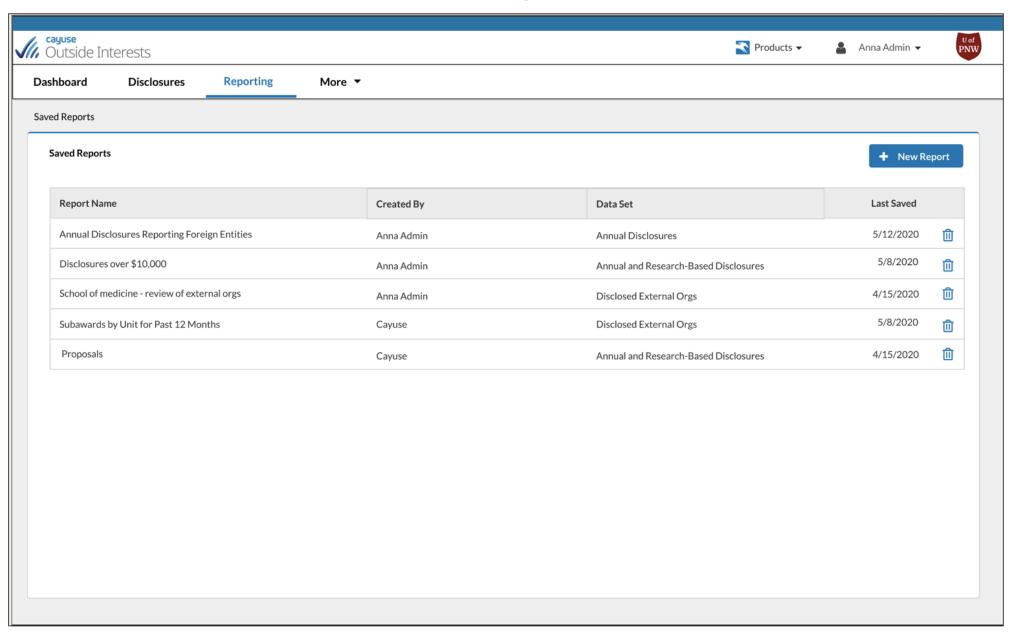




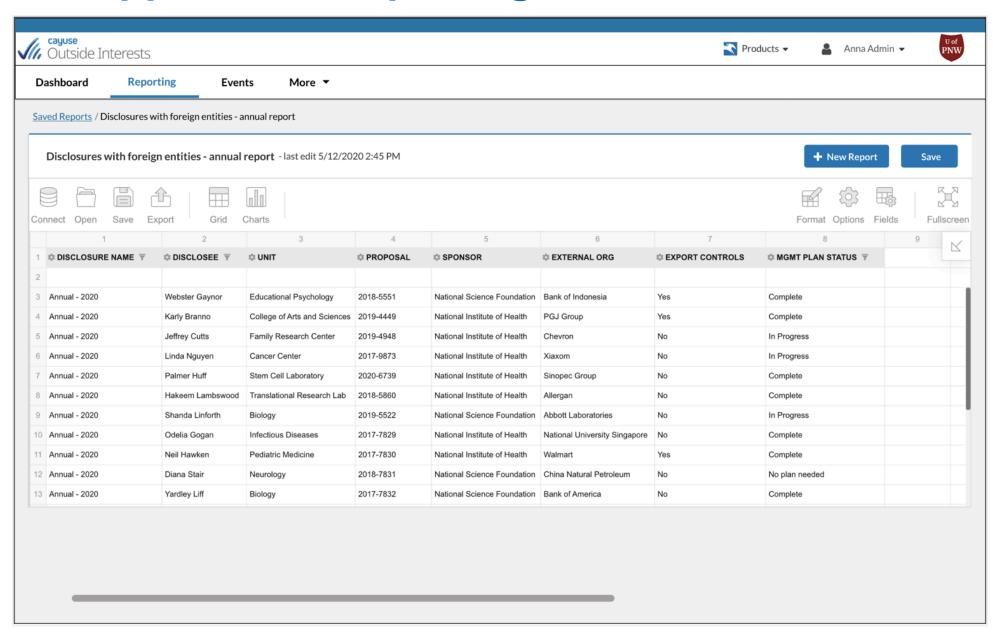




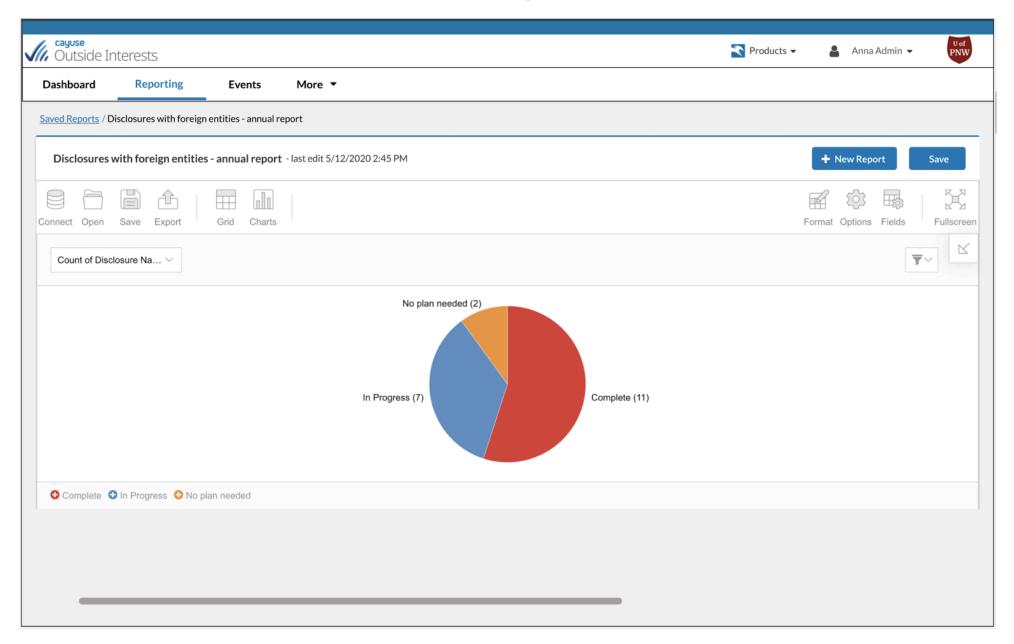












Collecting Information on Conflicts of Interest and Commitment

- Ask the questions in a straightforward manner
- Use the same systems to collect information
- Coordinate with corporate and foundation relations
- Equipment and data use
- Visiting Scientists
- Travel
- Minimizing administrative burden/maximizing compliance





Foreign government talent recruitment programs

Research and academic appointments

Access to laboratories, data, office and equipment

Consulting

Collaborations

Invited speaker engagements

Travel support

Sample screening questions



Do you have any formal interactions (collaborations, participation in a foreign talent recruitment program, research funding, other engagement) with a university or other entity outside the United States? This includes:

- All foreign research support, whether paid or in-kind, from any source and regardless of whether the support is administered through [university] or elsewhere, or by the investigator him/herself
- Research grants from foreign entities that include measurable effort
- Investigator participation in foreign talent recruitment programs
- External financial support for laboratory personnel either inside or outside the United States
- Provision of high-value materials or data to a foreign entity that are not freely available
- Paid or unpaid teaching or other summer appointments that are in support or and/or related to research efforts associated with a foreign entity

Sample screening questions



- Do you have any compensated financial relationship or fiduciary relationship with a business entity or organization external to [university] either within or outside the U.S.?
- Does any immediate family member have a compensated financial relationship or fiduciary relationship with a business entity or organization that does business or significantly interacts with [university]?
- Do you have any other outside relationship or commitment that impacts your institutional teaching, research, and service responsibilities, or from which you could have personal financial gain as a result of your involvement in institutional decision making?
- Are you employed by another state institution, organization or agency?
- Are you the author of a textbook or other academic material that is being sold as a required course material at [university]?
- Do you have any paid external activities that do not fit into the above options?

About Attain and Cayuse



- Both Attain and Cayuse have strong experience in grant and research administration
- Cayuse offers a research cloud platform meant to address the challenges across the research lifecycle
- Attain brings deep consulting experience in complex data environments, largescale integration and program management services.

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Questions