

ACD Working Group on Foreign Influences on Research Integrity Update

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Building 1, Wilson Hall, NIH Main Campus, Bethesda, MD



ACD Working Group for Foreign Influences on Research Integrity



Sam Stanley, MD
President, Stony Brook University



Jeff Balser, MD, PhD
President & CEO, Vanderbilt
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Michael Drake, MD
President, Ohio State University



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Principal Deputy Director,
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Vice President for Research, MIT



Ana Mari Cauce, PhD
President, Washington
University



Wallace Loh, PhD, JD
President, Maryland University



M. Roy Wilson, MD, MS
President, Wayne State
University (Co-chair)



DEPARTMENT OF HEALTH & HUMAN SERVICES

Public Health Service

National Institutes of Health
Bethesda, Maryland 20892

August 20, 2018

Dear Colleagues:

For many decades, the
participated in producti
universities and academi
discoveries that have le
NIH is proud to help su
diverse perspectives an

The NIH-funded biome
successful, must be fai

NIH Advisory Committee to the Director (ACD)

ACD Working Group for Foreign Influences on Research Integrity

December 2018 Report



- U.S. scientists routinely collaborate productively with investigators in foreign countries ... We must rely on productive research collaborations with foreign entities.
- Individuals violating laws/policies represent a small proportion of scientists working in and with U.S. institutions. We must not reject brilliant minds working honestly and collaboratively to provide hope and healing.

- Failure to disclose substantial foreign resources
 - Foreign employment arrangements
 - Foreign grant support: overlap, duplication, over-commitment
 - In many cases, American institutions unaware
- Failure to disclose significant foreign FCOI, patents
- Peer review violations

Implementation of ACD Recommendations

- Broad awareness campaign, work with outside groups
 - OSTP Joint Committee on Research Environments (JCORE)
 - Coordination: ONS, OIG, DNI, FBI, DOE, DoD, NSF, State
 - JASON study: Collaboration with national / economic security
 - Interactions with AAMC, AAU, APLU, COGR, NAS, FDP, AAAS
- Other support clarifications and work with NSF
- Peer review training, systems controls
- Contact and work with recipient institutions – 70+





EXECUTIVE OFFICE OF THE PRESIDENT
OFFICE OF SCIENCE AND TECHNOLOGY POLICY
WASHINGTON, D.C. 20502

September 16, 2019

Letter to the United States Research Community

Dear Colleagues,

As a fellow researcher and former un-
dersecretary of the OSTP, I know how critical
to our success in research, an-
d security. Indeed, the values we

During the next few months, OSTP will be holding meetings at academic institutions across the Nation to converse with researchers and students on matters of research security and other topics within JCORE. I hope you will join in these discussions. Working together, we will ensure that our research environments are safe and inclusive; operate with maximum integrity; protect our research assets in a manner balanced with the openness and international collaboration that have been so critical to our success; and do not encumber researchers, agencies, or institutions with unnecessary administrative work. In doing so, we will ensure America continues to lead the world in science and technology. I look forward to working with you on these important issues!

Sincerely,

A handwritten signature in blue ink, appearing to read "Kelvin K. Droegemeier".

Kelvin K. Droegemeier
Director



“Some nations have exhibited increasingly sophisticated efforts to exploit, influence, and undermine our research activities and environments ... Breaches of research ethics ... include the failure to disclose required information such as foreign funding, unapproved parallel foreign laboratories (so-called shadow labs), affiliations and appointments, and conflicting financial interests ... conducting undisclosed research for foreign governments or companies on US agency time or with US agency funding, diversion of intellectual property or other legal rights, and breaches of contract and confidentiality in or surreptitious gaming of the peer-review process.”

From OSTP letter September 16, 2019



- Coordinating outreach and engagement
 - “Array of examples [where we were] exploited or compromised”
- Establishing and disclosure requirements
 - “Disclosure is a central tenet of research integrity ...”
- Developing best practices for research institutions
- Developing methods for identification, assessment, and management of risk

From OSTP letter September 16, 2019



Senate Investigation, Array of Examples

United States Senate
PERMANENT SUBCOMMITTEE ON INVESTIGATIONS
Committee on Homeland Security and Governmental Affairs

Rob Portman, Chairman
Tom Carper, Ranking Member

Threats to the U.S. Research Enterprise: China's Talent Recruitment Plans

STAFF REPORT

PERMANENT SUBCOMMITTEE ON
INVESTIGATIONS

UNITED STATES SENATE



“Thousand Talent Plan members sign legally binding contracts with Chinese institutions, like universities and research institutions. The contracts can incentivize members to lie on [US] grant applications, set up ‘shadow labs’ in China ... and, in some cases, transfer U.S. scientists’ hard-earned intellectual capital. Some of the contracts also contain nondisclosure provisions and require the Chinese government’s permission to terminate the agreement These provisions are in stark contrast to the U.S. research community’s basic norms, values, and principles.”

Key Point: Encourage but be Transparent

- “Most international collaborations are acceptable and encouraged, we urge researchers to err on the side of transparency.”
- “It protects everyone’s interests – the Federal government, Penn State, individual researchers, and their international collaborators – to have international relationships disclosed and vetted to determine if there are any potential conflict of commitments, duplications of research, and/or diversion of intellectual property in the performance of federally funded research.”



- For NIH, a new type of threat
- Implementing ACD recommendations
- Extensive institutional outreach has yielded results
- Working closely with other agencies and stakeholders
- We reiterate the importance of the contribution of foreign scientists to biomedical research; we must not create a climate that is unwelcoming to them

Incomplete Thank You

- NIH
 - Larry Tabak, Carrie Wolinetz, Jodi Black, Patricia Valdez, Sally Amero, Michelle Bulls, Julie Muroff, Kate Tapley, Mike Shannon, Bill Cullen, Ron Maples, Liza Bundesen, Megan Columbus, Renate Myles, Katrina Pearson, Rick Ikeda, Jess Mazerik, Nicole Garbarini, Minna Liang, Francesca Bosetti, Tara Schwetz, others
- FBI, DOJ, DNI
 - John Brown, Don Lichay, Tam Dao, Melody Hounsell, Jeff Stoff, others
- Non-federal organizations
 - Wendy Streitz, Lisa Nichols, Sarah Rovito, Toby Smith, Lizbet Boroughs, Ross McKinney, Marcia McNutt, others
- DHHS
 - Michael Schmoyer, Les Hollie, Francis Montoya, Justin Bidwell, Jason Scalzo, Adam Layton, Michael Oberlin, Alisa Hudgens, others
- State
 - Andrew Hebbeler, Megan Frisk, Staci Rijal, others
- OSTP and other research agencies
 - Rebecca Keiser, Jeremy Ison, Bindu Nair, Helena Fu, Aaron Miles, others
- Dozens of VPRs and institutional compliance / integrity leaders

