ACD Working Group on Foreign Influences on Research Integrity Update

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Friday, December 13, 2019
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 University Medical Center

Michael Drake, MD
President, Ohio State University

Larry Tabak, DDS, PhD
Principal Deputy Director, NIH (Co-chair)

Maria Zuber, PhD
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)
August 20, 2018

Dear Colleagues:

For many decades, the NIH has supported biomedical discoveries that have led to the development of new medications, treatments, and technologies. The NIH-funded biomedical research, while competitive and successful, must be fair and transparent.

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.
Reminder of Key Concerns

• 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 university president, I am writing to affirm the importance of open and internationally collaborative research that is critical to our success in research, academia, and security. Indeed, the values we hold dear are the foundation of our progress and prosperity.

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,

[Signature]
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
JCORE NSTC Goals

- 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
“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.”
• “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.”

https://www.research.psu.edu/international_affiliations
• 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
• 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