

Memorandum

To: University Research Community

From: Kenneth G. Furton, Ph.D.
Provost and Executive Vice President

Andres G. Gil, Ph.D.
Vice President for Research and Dean of the University Graduate School

Date: March 3, 2020

Subj.: Foreign Influence in Research

As a 21st century university focused on groundbreaking collaborative research with research projects throughout the world, FIU fully supports federally funded research and international collaborations. As a steward of Federal funds, we are committed to protecting U.S. research and innovation and recognize the need to comply with Federal directives and disclosure regulations.

The Federal Government has reiterated its commitment to promoting and protecting U.S. research and innovation from the risk of illicit appropriation, influence and theft by foreign governments. Various federal funding agencies – including the National Institutes of Health (NIH), the National Science Foundation (NSF), the Department of Energy (DOE), the Department of Defense (DoD), the National Aeronautical and Space Agency (NASA) – have issued notices and directives stating their commitment to safeguarding U.S. knowledge and intellectual property and reminding the U.S. research community of their disclosure obligations in regards to foreign entities and federally funded activities, including sponsored research.

Key information for the University Research Community regarding foreign influence and research is summarized below, however we invite you to visit our foreign influence and research website at <http://research.fiu.edu/guidance-regarding-foreign-influence-and-research/> for further details.

Disclose Current and Pending Support

We remind University researchers that they must disclose all current and pending support and affiliations, whether paid, unpaid, domestic or foreign, in their sponsored research proposals. As further discussed below, this reporting obligation includes disclosure of any

funding received from any foreign government or entity. Additionally, they must report any courtesy or honorary appointments and any participation in any foreign talent recruitment programs whether such appointments or talent recruitment program participation is paid or unpaid. Any affiliations listed on publications for research faculty (see Publications and Presentations section below) should also be reported. The above items should be reported on their Outside Activity Report (see below). Additionally, all personnel on a research project must disclose all the above activities-foreign or domestic-on their Biosketch.

Disclose Outside Activities

University researchers are reminded of their obligation to complete the University Outside Activities Report at least annually as set forth in the Conflict of Interest in Research policy # 2370.005. Employees must disclose and receive institutional approval for all professional Outside Activities prior to engaging in said activities. This includes appointments at other entities, whether paid or unpaid and including courtesy appointments, and remuneration received from foreign sources, including honorariums and travel sponsored or reimbursed by foreign academic institutions and governments. Disclosures need to be made electronically via the Report of Outside Activities/Conflict of Interest System at https://hrapps.fiu.edu/conflict_of_interest/Default.aspx.

Foreign Talent Recruitment Programs

A question has been added to the electronic proposal routing approval form (ePRAF) to inquire whether there has been, or will be, any participation in a foreign sponsored "talent program." Researchers are reminded that participation in a foreign government sponsored talent program, even if unpaid, may jeopardize their ability to receive future federal funding for research or the ability to collaborate with U.S. government agencies as US Government agencies may not fund researchers who engage in such programs. Additionally, any such participation must be disclosed via the institution's Report of Outside Activities/Conflict of Interest System and such participation must be approved institutionally prior to engaging in such activity.

Report Inventions and Intellectual Property

Researchers are reminded to promptly report inventions and intellectual property (IP) disclosures to the Office of Technology Management and Commercialization in accordance with sponsor requirements and institutional policies and procedures. See <http://research.fiu.edu/ored/otmc/> for further guidance.

Publications and Presentations

Researchers should be cognizant to accurately disclose author institutional affiliations, conflicts of interest and research support per journal guidelines for publications and presentations. Submitting accurate information with manuscripts limits discrepancies between Other Support disclosed in proposal applications and research support, affiliations and conflicts of interest printed in a publication journal.

Export Control Compliance

Researchers are reminded of their continued responsibility to adhere to export control requirements as detailed in the University's export control policies and procedures as well as any project specific Technology Control Plans (TCPs) which may be implemented for their specific projects.

The Office of Research and Economic Development will continue to meet with researchers to further discuss the impacts of foreign influence in research and our united commitment to follow established disclosure policies and procedures. If a researcher is contacted by outside law enforcement regarding matters related to their employment, they should contact the Office of the General Counsel for guidance.

If a researcher has any questions regarding the contents of this memorandum or needs to disclose any previously undisclosed foreign support then they should contact Robert Gutierrez, Assistant Vice President for Research at gutierr@fiu.edu for further guidance.