

Research Administration Platform for *Innovation* and *Discussion*

R.A.P.I.D.



Foreign Influence on Research Integrity

presented by R.A.P.I.D.



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Agenda

- Overview & Event Timeline
- General Findings
- Foreign Influence (what and how?)
- Cases
- Q&A – *Guest Panel*
- Fund to WBS
- Salute

Foreign Influence Overview

August 2018

- "Dear Colleagues" Letter

Aug

- Director's Statement on Protecting the Integrity of US Biomedical Research

Aug

- Advisory Committee to the Director (ACD) formed a topical work group

December 2018

- ACD publishes findings & recommendations*

February 2019

- NIH communicates PI specific concerns to institutions
- (approx. 180 letters)

Feb

- Institutions research, review and respond to inquiries

Foreign Influence Overview

Feb

- PI's awards are placed on hold or terminated, funds are reimbursed to NIH, and in some cases more serious charges are brought

June 2019

- CU publishes a message to Research Faculty on Academic Integrity and Undue Foreign Influence

March 2019

- CU President Martha Pollack publishes an opinion piece on Undue Foreign Influence

June

- Council on Government Relations (COGR) publishes summary of the history of Foreign Influence

Mar

- Dozens of News Articles Published

June

- NIH publishes FAQs on Other Support and Foreign Components Revised July 23, 2019

Foreign Influence Overview

July 2019

- Association of American Medical Colleges (AAMC) publishes memo on Undue Foreign Influence

July 2019

- NIH publishes revisions to FAQs on Other Support and Foreign Components

July

- NOT-OD-19-114 “Reminders of NIH Policies on Other Support and on Policies related to Financial Conflicts of Interest and Foreign Components”

July

- Forum on Conflict of Interest (FOCI) publishes a statement in response to "Open Mike" and inclusions in Other Support saying concerns will be reviewed

July

- Michael Lauer, Deputy Director for Extramural Research, posts NIH “Open Mike” Clarifying Long-Standing NIH Policies on Disclosing Other Support

July

- Bringing us to today

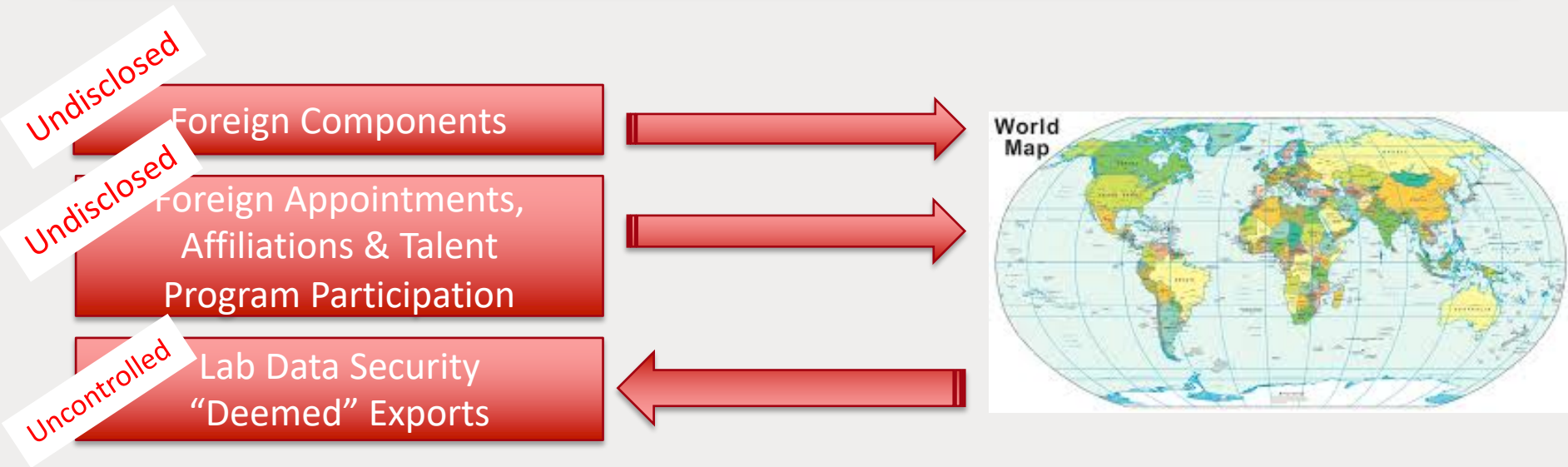
Undue Foreign Influence

Federal Findings

1. Diversion of intellectual property (IP) in grant applications or produced by NIH supported biomedical research to other entities, including other countries;
2. 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

Undue Foreign Influence (“what?”)

Mechanism (“how?”)



Deemed Export Controls: Releases of **controlled** technology to foreign persons in the U.S. are “**deemed**” to be an **export** to the person's country or countries of nationality.

Undue Foreign Influence (“what?”)

- How pervasive is this influence?
- How do we protect federal funding?
- How do we protect intellectual property?

Action steps

Disclosures

Sponsored Research
NIH/OSRA

Disclosures

Financial Conflict of
Interest (FCOI, COI)

Controls

Lab Data Integrity
Security Measures

Pathway to Discovery

How did the NIH discover undisclosed information and undue foreign influence?

1. Review of NIH supported publications meta-data included in annual reports (RPPRs)
2. Observation and reports of excessive foreign travel
3. Other forms of direct investigation by federal agencies

Pathway to Discovery

How did the NIH discover undisclosed information and foreign influence?

1. Crosscheck authors against grant application and subsequent reports
 1. Unreported authors
2. Review author information – i.e. institutional credit and compare to Biosketch & Other Support
 1. Unreported Affiliations and Appointments (with financial benefits)
3. Crosscheck grant support and find grants not listed on any Key Personnel “On-Going Support” or “JIT - Other Support”
 1. Unreported grants

Oncogenic KRAS Reduces Expression of FGF21 in Acinar Cells to Promote Pancreatic Tumorigenesis in Mice on a High-Fat Diet.



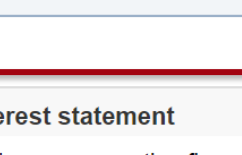
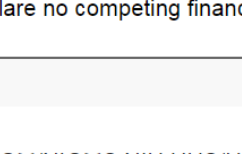
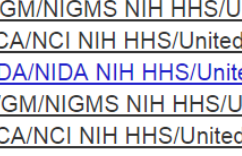
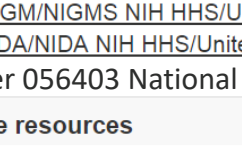
Luo Y¹, Yang Y², Liu M², Wang D³, Wang F⁴, Bi Y³, Ji J³, Li S³, Liu Y⁵, Chen R⁶, Huang H⁵, Wang X⁷, Swidnicka-Siergiejko AK⁵, Janowitz T⁸, Beyaz S⁸, Wang G³, Xu S³, Bialkowska AB³, Luo CK³, Pin CL⁹, Liang G⁷, Lu X¹⁰, Wu M¹¹, Shroyer KR¹¹, Wolff RA², Plunkett W⁶, Ji B¹², Li Z¹³, Li E³, Li X⁷, Yang VW³, Logsdon CD¹⁴, Abbruzzese JL¹⁵, Lu W¹⁶.

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Abstract

BACKGROUND & AIMS: Obesity is a risk factor for pancreatic cancer. In mice, a high-fat diet (HFD) and expression of oncogenic KRAS lead

Related information

References for this PMC Article

Free in PMC

Cited in PMC

Recent Activity

Conflict of interest statement

The authors declare no competing financial interest.

Grant support

Grant support

[R35 GM118173/GM/NIGMS NIH HHS/United States](#)

[T32 CA062948/CA/NCI NIH HHS/United States](#)

[R01 DA046487/DA/NIDA NIH HHS/United States](#)

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[P30 CA008748/CA/NCI NIH HHS/United States](#)

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[R21 DA045884/DA/NIDA NIH HHS/United States](#)

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LinkOut - more resources

Q&A – Case #1 – Independent R01

NIH Concerns

- PI has undisclosed international authors with credit to associated international affiliations
i.e. an undisclosed Foreign Component
- PI has undisclosed international affiliations and appointments of his or her own
- PI has multiple undisclosed international grants
- PI is/was participating in an undisclosed Talent Program

Consequences

**PI's grants placed on hold (indefinitely)
No determination timeline provided**

Q&A – Case #2 – R01 Multi PD/PI, Multi-Institution

NIH Concerns

- PI at another institution has undisclosed international authors and affiliations credited
i.e. an undisclosed Foreign Component

Consequences

- The NIH placed the award in a pending status while investigating the PI (no determination timeline)
- PI's at other institutions were not provided with any notification about the grant being placed on hold or the reasons why

Dean's Memorandum July 18, 2019

- Provides methods by which to disclose previously undisclosed information

Q&A Discussion

- Adam Garriga, Chief Administrative Officer, Research
- Thomas Blair, Chief Research Compliance Officer
- Jim Kahn, Deputy University Counsel (UC)
- Brian Tschinkel, Chief Information Security Officer (ITS)
- Michele Fuortes, Assistant Professor (ITS)