

INTERNATIONAL COLLABORATION AND ACTIVITIES

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May - June 2020



HARVARD
UNIVERSITY

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The New York Times

Universities Face Federal Crackdown Over Foreign Financial Influence



Prospective students at Georgetown University in Washington in March. The Education Department is investigating whether Georgetown and three other universities fully complied with a federal law about gifts and contracts from foreign countries. Jim Lo Scalzo/EPA, via Shutterstock

By [Erica L. Green](#)

Aug. 30, 2019



[Associated Press](#)

AP NEWS

Top Stories

US researchers on front line of battle against Chinese theft

By ERIC TUCKER October 7, 2019 GMT

[Associated Press](#)

Van Andel Institute to pay \$5.5 million for not disclosing Chinese grants

Eric Tucker
Associated Press

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*Civil case part of broader crackdown by Justice Department and other agencies
Grand Rapids-based institute does not admit wrongdoing, defends research*


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SHARE U.S. academics, make sure you know the rules about foreign funding and affiliations

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By [Beryl Lief Benderly](#) | Sep. 11, 2019, 10:40 AM

[Science](#)

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SHARE **IN DEPTH** SCIENCE & SECURITY

 NIH reveals its formula for tracking foreign influences





Jeffrey Mervis
+ See all authors and affiliations

Science 04 Oct 2019:
Vol. 366, Issue 6461, pp. 19-20
DOI: 10.1126/science.366.6461.19

[Science](#)

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SHARE **IN DEPTH** SCIENCE & SECURITY

 U.S. takes aim at foreign influence





Jeffrey Mervis, David Malakoff
+ See all authors and affiliations

Science 20 Dec 2019:
Vol. 366, Issue 6472, pp. 1428-1429
DOI: 10.1126/science.366.6472.1428

[Chicago Tribune](#)

Chicago Tribune

INVESTIGATIONS

How a Chicago college student ended up in the middle of an FBI investigation into Chinese spying

[Inside Higher Ed](#)

INSIDE HIGHER ED Published on *Inside Higher Ed* (<https://www.insidehighered.com>)

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Balancing National Security and Scientific Collaboration

Submitted by Elin Johnson on September 5, 2019 - 3:00am

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Federal officials document international threats to U.S. science security

Submitted by Doug Lederman on November 13, 2019 - 3:00am

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THE UNITED STATES
DEPARTMENT of JUSTICE

Department of Justice
Office of Public Affairs

FOR IMMEDIATE RELEASE Monday, May 11, 2020

**Former Emory University Professor and Chinese “Thousand Talents” Participant
Convicted and Sentenced for Filing a False Tax Return**

[U.S. Department of Justice](#)



United States Department of Justice

THE UNITED STATES ATTORNEY'S OFFICE
WESTERN DISTRICT of ARKANSAS

Department of Justice [SHARE](#) 

U.S. Attorney's Office
Western District of Arkansas

FOR IMMEDIATE RELEASE Monday, May 11, 2020

University Of Arkansas Professor Arrested For Wire Fraud

[New York Times](#)

The New York Times

U.S. Accuses Harvard Scientist of Concealing Chinese Funding

Prosecutors say Charles M. Lieber, the chair of Harvard's chemistry department, lied about contacts with a Chinese state-run initiative that seeks to draw foreign-educated talent.



TIMELINE

2018

2019

2020



August 20, 2018

Francis S. Collins, M.D., Ph.D.
Director of NIH Issues
“Statement on Protecting the Integrity of U.S. Biomedical Research”



June 2019

Convened University-wide Committee



July 11, 2019

“Dear Colleague Letter: Research Protection”



January 28, 2020

U.S. Accuses Harvard Scientist of Concealing Chinese Funds



Delayed Until October 1, 2020

~~June 1, 2020~~

New PAPPG Requirements



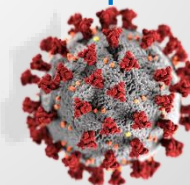
June 2020

GMAS Release: International Collaboration and Activities



July 10, 2019

NIH Issues Reminder on Other Support, FCOI, and Foreign Components
(NIH Notice: [NOT-OD-19-114](#))



March 13, 2020

U.S. Declares State of Emergency for COVID-19

UNIVERSITY INITIATIVES

- Developed enhanced guidance and FAQs for Faculty Disclosures
- *University-wide Research Compliance Policy Review Committee* convened to review policy and processes with an eye towards Harvard's policies, systems, and administrative infrastructure as needed to improve foreign disclosure compliance
- Systems enhancements (e.g., GMAS and FCOI/Outside activity) are an integral component on the administrative side to parallel the work of faculty committees



THE IMPORTANCE OF IDENTIFYING INTERNATIONAL COLLABORATIONS AND ACTIVITIES



Respond to increased focus by federal agencies and sponsors

- Identify the impact and potential influence of international connections
- Ensure sponsored programs are compliant with existing agency requirements

Consolidate the University's collection of information

- New GMAS functionality to capture details already imbedded in the proposal and awards

Support requests by agencies and Harvard leadership

- Fulfill reporting requirements, enhance monitoring capabilities
- Substantiate University's compliance obligations

INTERNATIONAL COLLABORATION PROJECT

- University-wide effort with school, central, and OVPR representatives
- Created standard definitions related to international collaboration and activities
- Collaborated with HUIT to develop new functionality in GMAS
 - Held end-user testing workshops



WORKING GROUP MEMBERS

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FAS Research Administration Services

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HUIT Research Administration and Compliance
Systems

TYPES OF INTERNATIONAL COLLABORATION AND ACTIVITIES



International Collaboration (other than subaward recipients)



International Travel



International Shipment/Transfer/Exchange of Research Materials, Data, and/or Equipment



International Human Subjects and/or Animal Research



International Sponsors



International Subawards



Use of Int'l Facilities/Instrumentation at an International Site



Establishment of a New International Site



US Foreign Policy

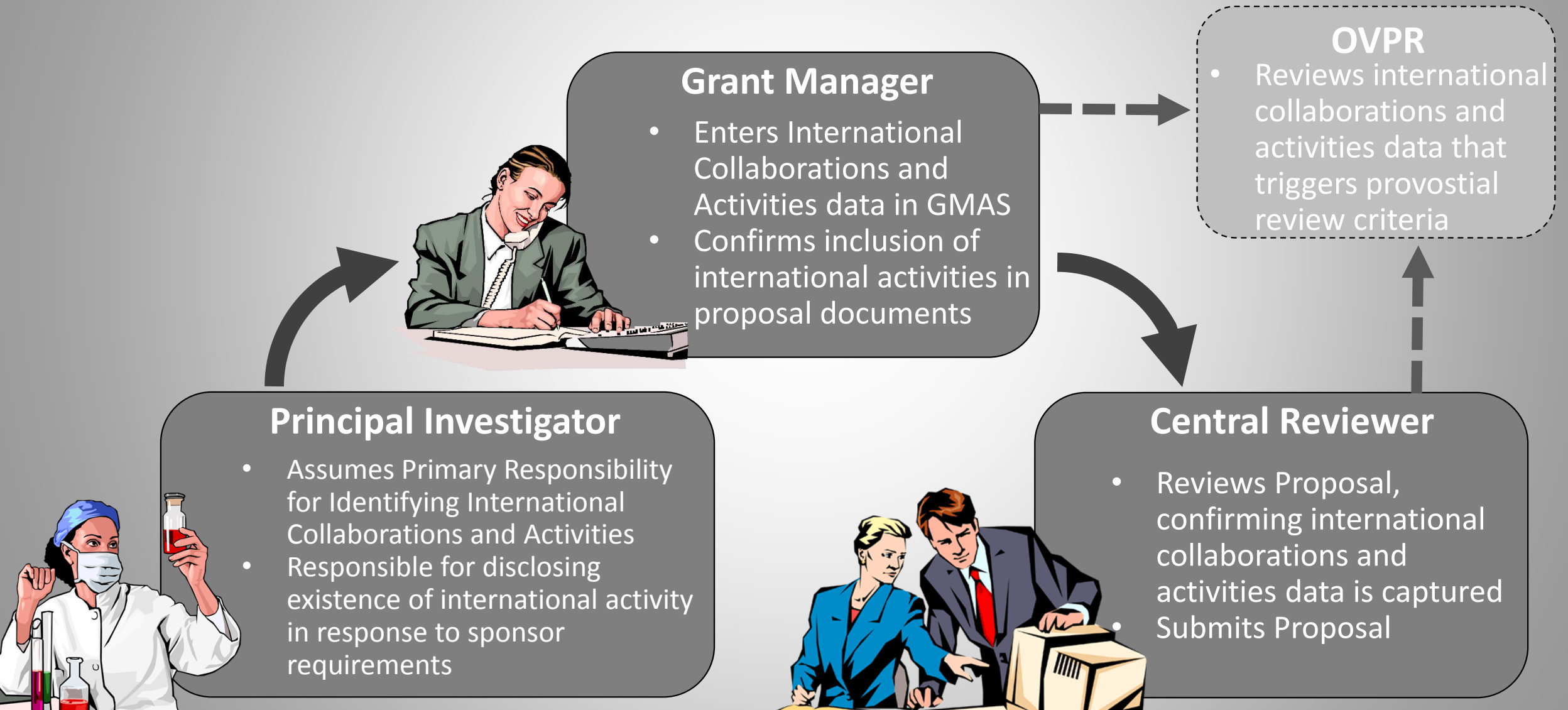
Specific to NIH



Foreign National

Specific to NASA, DoD, Dept. of Energy

IDENTIFYING INTERNATIONAL COLLABORATION AND ACTIVITIES



INTERNATIONAL COLLABORATION AND ACTIVITIES: *WHAT HAPPENS AT PROPOSAL STAGE?*

- Replaces the current "Foreign component" yes/no question
- New initial proposals and competing renewals will include the new international collaboration and activities checklist

International collaboration and activities

Generated by Initial request 9876543210

International sponsor	China Southern Power Grid Co., Ltd.	Country	China
International subagreement(s)	Banco de la Republica	Country	Colombia
	Thailand Development Research Institute Foundation	Country	Thailand

- International Travel [show info ▶](#)
- International Collaboration (other than Subaward Recipients) [show info ▶](#)
- Establishment of New International Site [show info ▶](#)
- Use of International Facilities/Instrumentation at an International Site [show info ▶](#)
- International shipment/transfer/exchange of research materials, data and/or equipment [show info ▶](#)
- International Human Subjects and/or Animal Research [show info ▶](#)
- Other Foreign Involvement [show info ▶](#)

— OR —

- There will be no foreign collaboration or activities on this project.

[Cancel](#) [Save](#)

INTERNATIONAL COLLABORATION AND ACTIVITIES: *WHAT HAPPENS AT PROPOSAL STAGE?*

- Each checklist item will include:
 - Detailed sub-questions (where applicable)
 - Selection of multiple sub-questions and multiple countries

International Travel [show info ▶](#)

Country

Check all that apply

- Fieldwork, including data collection, surveying, collecting samples, and/or conducting experiments
- Use equipment or facilities or acquire materials or other resources
- Human or animal subjects research
- Meeting with a subrecipient
- Meeting with a collaborator
- Meeting with consultant or vendor
- Attend and/or present research results at a conference
- Learning scientific or experimental techniques
- Students (graduate or undergraduate) travel in support of the project aims
- Other

[Add](#)

INTERNATIONAL COLLABORATION AND ACTIVITIES: *WHAT HAPPENS AT PROPOSAL STAGE?*

- Enhanced on-screen help and links

International Travel [◀ hide info](#)

Does the project involve travel outside of the U.S. for any purpose in support of the project aims? Please indicate the anticipated activities while traveling abroad.

International Collaboration (other than Subaward Recipients) [◀ hide info](#)

Does the project involve collaboration with an individual who is employed by or otherwise engaged outside of the United States, in support of the project aims, regardless of whether such individual is receiving any funding under the project? Please indicate the anticipated activities to be performed abroad by the collaborator.

Establishment of New International Site [show info ▶](#)

Use of International Facilities/Instrumentation at an International Site [show info ▶](#)

International shipment/transfer/exchange of research materials, data and/or equipment [show info ▶](#)

International Human Subjects and/or Animal Research [show info ▶](#)

Other Foreign Involvement [show info ▶](#)

– OR –

There will be no foreign collaboration or activities on this project.

[Cancel](#) [Save](#)

Other features:

- Checklist to aid in information gathering with the PI
- Templates for central reviewers
- PI Attestation/signature language

INTERNATIONAL COLLABORATION AND ACTIVITIES: *WHAT HAPPENS AT AWARD STAGE?*

- The checklist can be reviewed and updated at award setup, similar to the “confirm research team” process
- All awards will require entry of the checklist before award set-up
 - There will be a “no changes” option



INTERNATIONAL COLLABORATION AND ACTIVITIES: *WHAT HAPPENS DURING THE AWARD?*

- International collaboration and activities can be *added or updated* to any award via a new request type
- All revisions to the checklist will be stored and viewable
- Monitoring reports will be available



TRAINING AND RESOURCES

Online Zoom Trainings

- Mid-June (3)
 - Central Offices: OSP, HSPH ORA, HMS ORA
- Mid/Late June (3)
 - Schools/Depts
- Recorded Training

Online Resources

- GMAS Website:
 - Release Info
 - Job Aids
- Business Process Documentation
- Data Gathering Tool
- Central Review Checklist

Additional Support

- Central Reviewers (Pre-Award Officer or GCO)
- Working Group Representatives

QUESTIONS?



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