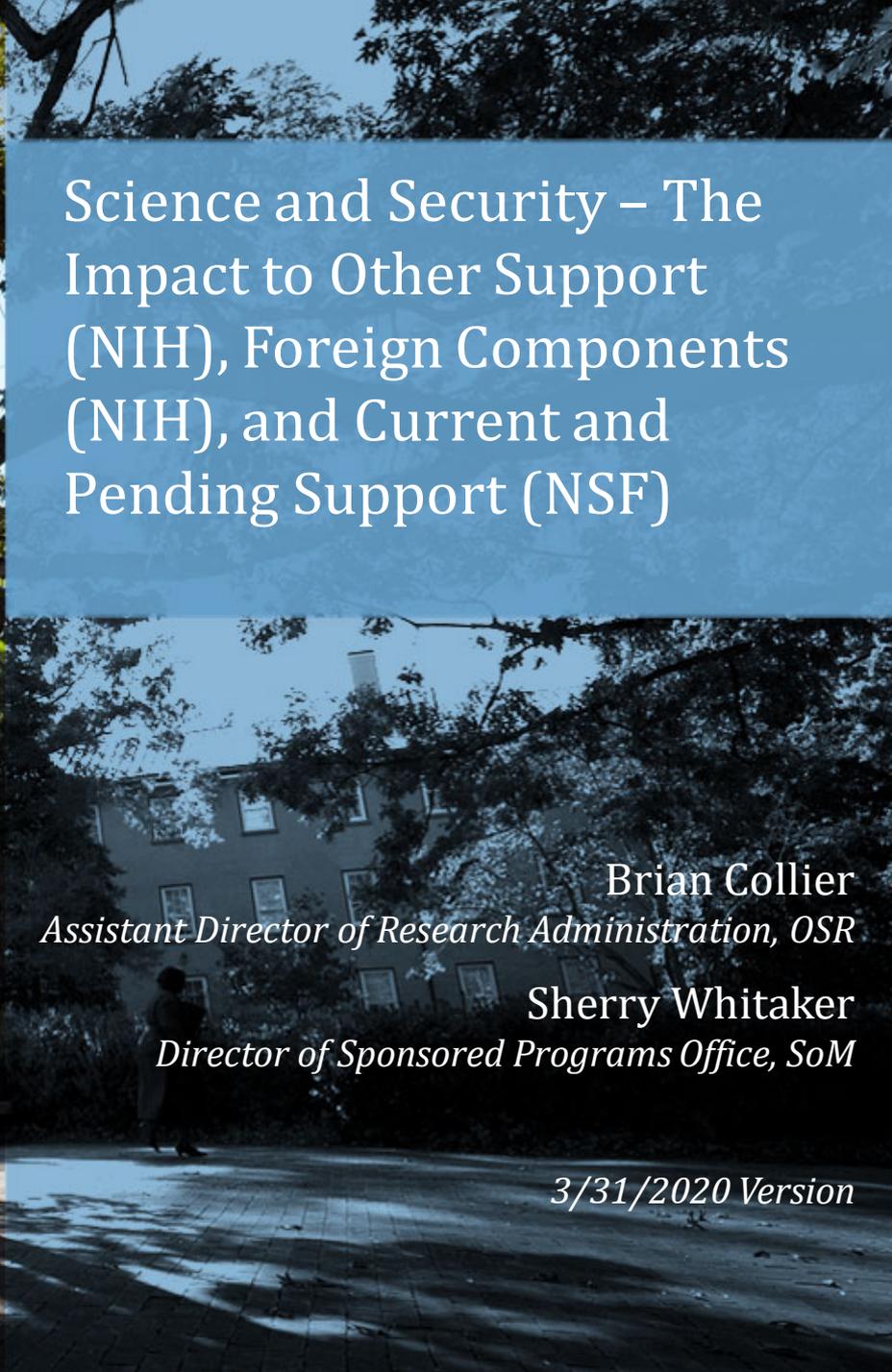




Science and Security – The  
Impact to Other Support  
(NIH), Foreign Components  
(NIH), and Current and  
Pending Support (NSF)



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# Summary

Recently, concerns have been raised by the Federal Government that the integrity of the U.S. research enterprise is being threatened and they are taking steps to ensure more transparency and better security of confidential information and scientific data. This broad reaching issue is commonly referred to as “**Science and Security**” or “**Foreign Influence**”.

The impact to the University covers many areas, **however this presentation will only provide some light background and then focus solely on new Federal guidelines for the research areas of Other Support (NIH), Foreign Components (NIH), and Current and Pending Support (NSF)**. As other Federal agencies come out with guidance, this presentation will be updated.



# Background Information

**The Federal Government has 3 main areas of concern regarding the security of the U.S. research enterprise:**

1. They believe that researchers may not be fully disclosing all the resources available to them for supporting their research endeavors.
2. They believe that both government employees and scientific reviewers may be sharing confidential information from the research application peer review process.
3. They believe that the higher education institutions may not have strong enough infrastructures and policies/procedures in place to properly secure research data and intellectual property generated from government-funded research projects.



# How Does This Affect Your Research?

1. Your research portfolio, as well as the University's overall research program, is getting more scrutiny by Federal agencies. The same is being done to other schools across the country. This is resulting in more questions and inquiries from the agencies (e.g. at JIT stage) and more reporting requirements once an award is received (e.g. more compliance disclosures, greater information required on annual progress reports, etc.) slowing down the research process.
2. Numerous Federal agencies are creating their own guidelines for better securing the U.S. research enterprise and those guidelines are currently both vague and cumbersome. This is increasing administrative burden for you and the research administrators who support you.



# What Changes Affect your NIH Other Support Document?

- **Your** NIH Other Support document now needs to include **ALL resources** made available to **you** in support of and/or related to **ALL your research efforts**. This includes:
  - **Financial resources** provided to **you** by non-UNC Chapel Hill entities and provided by UNC Chapel Hill. This includes service agreements. Do **NOT** include UNC startup funds.
  - **IN-KIND resources** provided to **you** by non-UNC Chapel Hill entities.
  - Resources provided to another party in support of a researcher or research project.

**NOTE:** The responsibility for the accuracy of **your** Other Support lies with **YOU and you alone**.



# Recap of Types of NIH Other Support

## Financial Resources:

- **Your** externally funded active and pending awards, including those made direct to UNC Chapel Hill by a Federal agency or made by another entity using Federal funds (e.g. active and pending direct awards, incoming subcontracts, pilot project funding provided by NC TraCS Institute, etc). Be sure to include both domestic and foreign awards and use **TOTAL** budget.
- Funded service agreements to the University that involve **you**, because the funding organization must report these to the federal government through Open Payment disclosures.
- **Your** funded external activities that directly impact your research or are research-related. Federal guidance in this area continues to change so we recommend including research-related funding, even if the funds aren't used to directly support your research, to be fully transparent.
- Financial resources provided to another party in support of **your** research or research project (e.g. a grant to another University who donates some of the funds to **you** for specific use in your project).
- **Your** startup funds provided by an entity other than UNC-Chapel Hill.

**NOTE:** NIH no longer requires gifts to be reported but you MAY report them if you want, especially if the gift directly subsidizes your research in some way. NIH also no longer requires you to report training grants or prizes.



# Recap of Types of NIH Other Support

## In-Kind Resources:

- Lab or office space that **you** use outside of UNC-Chapel Hill to conduct research (e.g. a lab at a pharmaceutical company or other University). UNC-Chapel Hill resources should be placed in the Facilities and Other Resources section of your application.
- High value scientific materials that are not publicly available and are given to **you or your project** for use in your research (e.g. drugs, mouse lines, assays, etc.). NIH has not defined “high value” so err on the side of caution. This includes materials provided to another party in support of **your** research or research project (e.g. free drugs provided to one of **your** collaborator who then provides them to **you**).
- Collaborators whose efforts support **your** research in some way. If you have many collaborators, you may use a summary statement to describe them. See the example in the FAQ section on the OSR Science and Security webpage noted in the links section of this presentation.
- Visiting Faculty/Scholars/Scientists/Post-Docs whose efforts support **your** research, regardless of funding sources, and undergraduate and graduate students whose efforts directly support **your** research but whose salary isn't paid by your projects or who aren't paid at all.
- **NOTE:** Any domestic or international position **you** hold, including honorary, adjunct, or others should be placed in your biosketch, including those related to external activities.



# NSF Current & Pending Support - Changes Effective 6/1/20

**Your** NSF Current and Pending Support document now needs to include **ALL resources** made available to **you** in support of and/or related to **ALL your research efforts**. Responsibility for the accuracy of your Current and Pending Support lies with **you and you alone**.

## Financial Resources:

- **Your** externally funded active and pending awards, including those made direct to UNC Chapel Hill by a Federal agency or made by another entity using Federal funds (e.g. incoming subcontracts). Be sure to include both domestic and foreign awards and use **TOTAL** budget.
- Funded service agreements to the University that involve **you**, because the funding organization must report these to the federal government through Open Payment disclosures.
- **Your** funded external activities that directly impact your research or are research-related. Federal guidance in this area continues to change so we recommend including research-related funding, even if the funds aren't used to directly support your research, to be fully transparent.
- **Your** startup funds provided by an entity other than UNC-Chapel Hill.
- Gifts given to **you or UNC Chapel Hill that are used to support your research and require specific obligations and staff time commitments**.



# NSF Current & Pending Support- Changes Effective 6/1/20

## In-Kind Resources:

- The same types of in-kind resources listed in your NIH Other Support should also be used in your NSF Current and Pending Support though where they are placed in the NSF Current and Pending Support differs depending on how the resource is used. See below:
  - If the In-Kind contribution is **NOT** specifically related to the proposed project **AND** has associated staff time commitment, **you** must report it in the Current and Pending Support section.
  - If the In-Kind contribution **IS** specifically related to the proposed project, regardless of staff time commitment, **you** must report it in the Facilities, Equipment & Other Resources section.
- **NOTE:** Any domestic or international position **you** hold, including honorary, adjunct, or others should be placed in your biosketch.



# Templates and FAQ Links

**Sample NIH Other Support Template (focus on content instead of format)**

<https://research.unc.edu/sponsored-research/forms/#>

**NSF Current and Pending Support Template**

<https://www.nsf.gov/bfa/dias/policy/cps.jsp>

**NIH Biosketch Information**

<https://grants.nih.gov/grants/forms/biosketch.htm>

**NSF Biosketch Information**

<https://www.nsf.gov/bfa/dias/policy/biosketch.jsp>

**NIH and NSF FAQs**

<https://research.unc.edu/sponsored-research/resources/science-security/>

<https://grants.nih.gov/faqs#/other-support-and-foreign-components.htm>

(insert link for NSF FAQ document once uploaded to OSR site)



# What is a Foreign Component to NIH?

- NIH currently defines a foreign component as the existence of any **significant scientific element** or segment of your NIH-supported project performed outside the United States.
- In other words, it means:
  - The performance of work on **your** project by **you or a project team member** in a foreign location, whether NIH funds are expended or not expended; and/or
  - The performance of work on **your** project by a researcher who is not on your official project team in a foreign location employed or paid for by a foreign organization, whether NIH funds are expended or not expended (e.g. a foreign collaborator you're working with, etc.).



# What does Significant Scientific Element Mean?

NIH has not provided a hard definition because it differs project to project. Some examples of project-specific activities that might be considered significant:

- Collaborations with individuals at a foreign site anticipated to result in them being named co-authors on publications attributed to the project;
- Use of facilities or equipment at a foreign site;
- Receipt of financial support or resources from a foreign entity.

**NOTE:** The University, with your help, will make the initial determination of significance, but NIH will make the final determination



# What Could Happen if My Other Support, Foreign Component, or Current and Pending Support Information Isn't Accurate?

The Federal Government may remove you from the project, impose specific award conditions, disallow costs, withhold future awards to the university, or terminate your award. In extreme cases, it may also result in your arrest for violating the False Claims Act or penalizing the university financially for the same reason. Below are links to specific cases where that has happened:

- **Harvard Professor Arrested:** <https://www.nbcnews.com/news/us-news/harvard-s-chemistry-chair-charged-allegedly-lying-about-china-contract-n1124646>
- **University of Tennessee Professor Arrested:** <https://www.justice.gov/usao-edtn/pr/researcher-university-tennessee-arrested-wire-fraud-and-making-false-statements-about>
- **Former Emory Professor Charged with Fraud:** <https://www.sciencemag.org/news/2020/02/ex-emory-scientist-ties-china-charged-fraud>
- **Van Andel Research Institute Fined \$5.5M:** [https://www.justice.gov/usao-wdmi/pr/2019\\_1219\\_VARI](https://www.justice.gov/usao-wdmi/pr/2019_1219_VARI)



# Other Useful Information Links

- <https://research.unc.edu/compliance/foreign-influence/>
- <https://research.unc.edu/sponsored-research/resources/science-security/>
- <https://www.med.unc.edu/spo/spo-knows/>
- <https://grants.nih.gov/grants/guide/notice-files/NOT-OD-19-114.html>
- <https://grants.nih.gov/grants/faq-other-support-foreign-components.htm>
- <https://nexus.od.nih.gov/all/2019/07/11/clarifying-long-standing-nih-policies-on-disclosing-other-support/>
- <https://grants.nih.gov/grants/guide/notice-files/NOT-OD-18-115.html>
- <https://www.aspph.org/event/aspph-presents-webinar-managing-compliance-challenges-involving-global-collaborators/>

