

Foreign Influences, What you should look for



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Complexity of Foreign Influences

- Feds often have info you do not.
- Your institutional info is scattered throughout different office, limited sharing.
- Self Disclosure is often not sufficient, nor complete and accurate.
- Institution wide processes/coordination is needed to see risk and identify problems.



The Feds are looking at

- Travel – who is leaving and entering the country
 - Researchers/Foreign Students/Visiting Scientists/Employees of foreign businesses
- Communications between researchers and Foreign entities, individuals.
- Bank Records and Financial transactions
- Info from Human Sources.



Info within your Institution

- Travel Records
- COI Disclosure Statements
- Sponsored Programs records
 - Current and Pending Support Statements
- International Programs
 - J-1 Visa Program, Foreign Students, Visiting Scientists, Foreign Exchange Programs
- Export Controls and Intellectual Property records
- Expenditures/Sponsored/Gift/Departmental



Red Flags within your Institution

- Excessive Foreign Travel. Especially when expenses are paid by other sources/no costs travel.
- Repeated travel to the same location.
- Disclosures of relationships with Foreign entities/institutions/Research labs.
- Joint appointments, sometimes mentioned on researchers home pages.
- Repeated absences from the institution, especially when receiving summer salary from Sponsored programs.



Additional Red Flags

- Inconsistent Current and Pending Support Statements
- IP records that acknowledge foreign involvement (businesses) in research discoveries.
- Export Control Records, frequent shipping to foreign locations without clear reason
- J-1 Visa and Visiting Scientists Records, Majority from the same foreign location, university
- Foreign Exchange Programs that focuses on recruitment from one country
- Compare Sponsored/Gifts/Departmental Expenses



Use Info to assess potential problems

- Develop a process to gather internal info
 - Where is the Info located & maintained
 - Who is your best points of contact
- Start with the easy – Travel – COI disclosures – OSP records, then build upon the info
- Look for patterns and inconsistencies
- Add info from People – Internet – Publication searches



Measure Risk and Communicate

- Develop a matrix to Measure potential Risk
 - Develop a team approach to Assess
 - Determine who needs to know and when
- Develop a briefing document
- Consider Possible Actions
- Communicate your findings



Questions?

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