



Who Should Read

Chief Research Officers
(CROs) and Their Teams

Unpacking the Effects of International Tensions

Presenter's Guide for Chief Research Officers on Research
Security and Foreign Interference

University Research Forum

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About the University Research Forum

With declining federal and internal subsidies, it has become more challenging to grow the research enterprise. The University Research Forum provides best practices and implementation support to help chief research officers prioritize strategic growth areas, communicate needs and values to campus stakeholders, and better align long-term planning with research funding realities.

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Internal Presentation Template

Goal

Use this tool to create your own foreign interference briefing presentation(s) for internal audiences (e.g., faculty, research office staff, cabinet, Board of Trustees).

Intended User

Chief research officers and their teams

Overview

This tool provides users with critical messages to communicate to internal audiences and includes a plug-and-play deck for an executive audience to reduce the burden of creating an internal presentation from scratch. Further speaking points are included in the Notes section of the accompanying PowerPoint slides.

Internal Presentation on Research Security and Foreign Interference

Key Presenter Points

Recent federal actions on research security are directly and indirectly impacting university leaders, faculty, students, and staff. With widespread confusion and uncertainty abound, CROs play a crucial role in keeping their institutions informed of the latest federal developments and protecting the research mission. This has empowered the CRO to communicate the core implications and catalyze university conversations around institutional strategy and policy.

Presentations allow CROs to provide more context and strategic considerations than other mediums, such as a one-pager or infographic. CROs can leverage these presentations in one-on-one conversations or university cabinet meetings, monthly or quarterly research meetings, or any other meetings with institutional leaders.

Key Messages for University Leaders and Stakeholders



Amplified Attention on Research Security

Widespread scrutiny from elected officials, federal agencies, university governance, and media related to protecting the research enterprise from foreign interference and economic espionage.

Rationale: Faculty, institutional leaders, and other stakeholders may not be aware of what is driving the focus on research security and the primary concerns raised by officials.



Uncertainty Over Existing and Future Federal Compliance Requirements

Sense that federal research security policy fluctuates with significant speed and consequence, limiting the university's ability to respond to new requirements and make longer term plans.

Rationale: Internal stakeholders benefit from understanding the fluid and opaque nature of federal communications and policies on research security and foreign interference.



Protecting Due Process in Research Investigations

Acknowledge concerns that federal research investigations unfold haphazardly without a clear articulation of formal procedures, defined scope of inquiry, or appropriate respect for university and faculty rights.

Rationale: CROs need to assure stakeholders that they are protecting due process while balancing compliance. Most importantly, they need to articulate how they are working to ensure all security measures will remain equitable.



Unease Over Negative Impacts on Chinese Students and Researchers

Recognition that both the rhetoric and actions of federal officials alienates and targets Chinese nationals on campus.

Rationale: The impacts of federal actions have been disproportionately felt by the ethnic Chinese community at universities. CROs should articulate awareness and dedicated efforts to prevent marginalization and provide support.



Preservation of an Open Research University

Emerging tensions at universities between research security initiatives and longstanding institutional values, such as academic freedom, free movement, and open collaboration.

Rationale: CROs should communicate what principles and operations may be most at risk and listen to the concerns raised by other stakeholders, providing a foundation for ongoing institutional dialogue around these issues.



Pan-University Potential Implications and Coordination Requirements

Awareness that federal actions will effect multiple university units, leaders, and stakeholders, requiring effective institutional coordination.

Rationale: Many stakeholders are unaware of how this issue relates to their purview and what coordinating activities they need to take. CROs can illuminate the scope of the problem and facilitate institutional strategic planning.

Internal Presentation on Research Security and Foreign Interference

Key Presenter Points (cont.)

Tips for Effective Internal Presentations

Tip	Implementation Guidance
Emphasize federal policy uncertainty and volatility	As formal federal policy continues to be developed, it is important to recognize the confusion that currently exists across the research community and the potential for fluctuations in scope, implication, and urgency of federal actions.
Don't overwhelm the audience with too much information	When giving internal presentations, CROs and their teams often try to cover too much ground in a short period of time. This can frustrate the audience and reduce the amount of information they retain. Instead, start with the most critical information for your audience and dedicate time to helping them truly learn the content. Then provide other opportunities and resources for them to broaden and/or deepen their understanding (e.g., follow-up session, online resources, emails).
Organize presentations around common questions, concerns, and misconceptions	Consider building your presentation around common questions, concerns, or misperceptions about current research security policy and recent federal developments, especially those that you hear on your campus. This provides you with a simple structure and framework for your presentation and way to prioritize the topics to cover.
Match your level of specificity and detail to the intended audience	Tailor the depth and specificity of your presentation based on the needs and priorities of your audience. For example, research office staff members need to be informed about administrative policy changes, such as conflict of interest (COI) policies and how it will impact their workload; in contrast, if you are presenting to the Board of Trustees or executive cabinet, include a high-level overview of the broader issue related to foreign interference and what strategic questions need to be answered for the university.
Keep your slide count low, but include hidden slides with additional details	Even if you don't plan on talking about institution specific actions and policies, it can be helpful to include hidden slides on these topics in your presentation. These are useful if your audience has specific questions or wants more info on the topic than you originally anticipated.
Leave plenty of time for Q&A	Attendees derive the most value from asking questions about research security at internal presentations. This also can help you identify additional strategic considerations and misconceptions.

Source: EAB interviews and analysis.

Internal Presentation on Research Security and Foreign Interference

Slide Key Features and Optional Customizations

Template Presentation (Core Slides)

The following pages showcase eight downloadable template slides for an introductory presentation on research security and foreign interference targeted at an executive-level audience. The boxes on the right highlight key elements and customization recommendations for CROs and their teams to consider before utilizing these slides. A brief script of talking points is included within the Notes section of each slide to aid in facilitating the presentation.

1

An Increasing Eye Toward National Security
As Tensions with China Increase, So Too Do Compliance Expectations

China's Scientific Rise Capturing Headlines...

- China Declared World's Largest Producer of Scientific Articles** (Nature)
- China is Overtaking the US in Scientific Research** (Bloomberg)
- 1 in 5 corporations say China has stolen their IP within the last year** (CNBC)

...and the Attention of Lawmakers and Regulators

- Chinese National Suspicion**
From graduate students to tenured faculty, lawmakers and regulators grow increasingly distrustful of Chinese scholars at domestic universities.
- Foreign Connection Suspicion**
All forms of foreign investment in research are under scrutiny, including gifts, equipment, and industry money.
- National Priority Suspicion**
China's explicitly stated national priorities have yielded a defensive reaction from the US, so far focused on protection and retaliation.

Source: Nature, China Declared World's Largest Producer of Scientific Articles; Bloomberg, China is Overtaking the US in Scientific Research; CNBC, 1 in 5 corporations say China has stolen their IP within the last year; CNBC, China's Scientific Rise Capturing Headlines. EAB interviews and analysis.

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Key Features

- Provides context on the factors driving the emphasized federal focus on Chinese research and development as well as the scope of the issue
- Identifies the three areas where federal decisionmakers have focused their attention from a rhetorical and policy perspective

2

International Tensions, Local Implications
How Global Political Strife Trickles (or Falls) Down to Universities

Immigration and Talent
Chinese Immigration and Visitor Visa Applications to US and Canada Plunge

Trade/Economic Competitiveness
In Worsening Trade Battle, Business Investment Feels the Fallout

National Security and Defense
Rising Tensions Between the West and China Go Beyond Trade Dispute

Global Partnerships
Science Suffers Collateral Damage as Trade Tensions Rise

University Impact

- Immigration and Talent:**
 - Negative environment for international students
 - Suspicion of non-citizen faculty
 - Declining international enrollment
 - Loss of current talent and shrinking new talent pipelines
- Trade/Economic Competitiveness:**
 - National priorities shift toward protectionism, away from open sharing
 - Local communities feel the impact, decreasing university investments
 - Greater expectations that universities pick up the slack of lagging innovation support
- National Security and Defense:**
 - Removing non-citizens from sensitive research
 - Stronger security measures around access and information
 - Restrictions on funding and research activities for non-citizens
 - More aggressive pursuit and stronger penalties for malfeasances
- Global Partnerships:**
 - Increasing "us versus them" mentality leads to divisions
 - Countries and regions taking cues from US and China, focusing resources internally
 - Diminishes international collaborations over time

Source: ICEPAP, Chinese Immigration and Visitor Visa Applications to US and Canada Plunge; Princeton Post, US, Canada and China lock trade battle; Bloomberg, China's Scientific Rise Capturing Headlines; Reuters, Science Suffers Collateral Damage as Trade Tensions Rise; EAB interviews and analysis.

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Key Features

- Shows how broader geopolitical issues and governmental actions directly impact the educational and research enterprise

Optional Customization

- Add other examples of impacts that have been felt on your campus or by close peers

3

From Trade War to Faculty Research Scrutiny
Unpacking the Headline-Grabbing Timeline of Trade Tension

Timeline of Trade Tension:

- January 2018:** President Trump orders probe into Chinese IP theft and trade deficit
- April 2018:** US imposes first tariffs on solar panels, washing machines, steel, and aluminum
- June 2018:** China responds with retaliatory tariffs on US products
- December 2018:** Canada detains Huawei CFO Meng Wanzhou at request of US, leading to Chinese retaliation against Canada
- May 2019:** Trade negotiations collapse and both US and China announce new and larger tariffs
- August 2019:** President Trump orders via a tweet that US companies leave China and officially declares China as a currency manipulator

Major Events Tied to University Research:

- August 20, 2018:** NIH sends letters to institutions warning of threats from China
- First dismissal of researchers over China result from NIH letters (MD Anderson)**
- May 25, 2019:** First firing of tenured professors (Emory University)
- July 5, 2019:** First Canadian researchers removed from lab (National Microbiology Lab)
- August 21, 2019:** First federal charges against a tenured professor for ties to China (University of Kansas)

Source: Reuters, Timeline: Key dates in the U.S.-China trade war; WSJ, Science: Chinese Scholar Study; Reuters, National Trade Policy; WSJ, University of Kansas; EAB interviews and analysis.

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Key Features

- Outlines the major events in the trade war between the US and China in parallel with federal research security developments

Optional Customization

- Add any other major events that you think have impacted your institution

Source: EAB interviews and analysis.

Internal Presentation on Research Security and Foreign Interference

Slide Key Features and Optional Customizations (cont.)

4



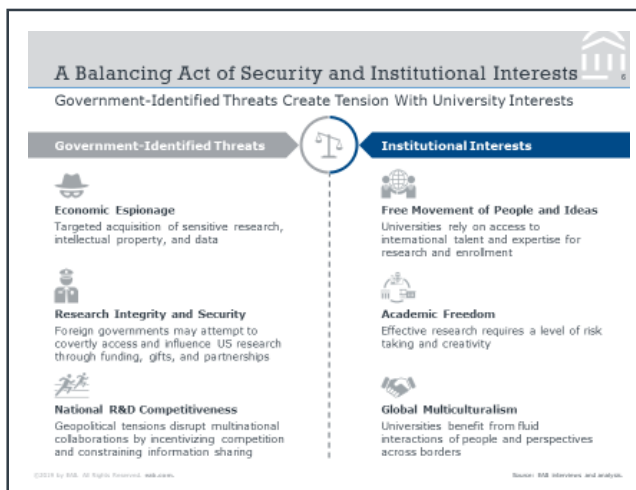
Key Features

- Presents the main threats from foreign interference, mostly by China, identified by politicians and government officials

Optional Customization

- Add specific threats your institution has been warned of or experienced

5



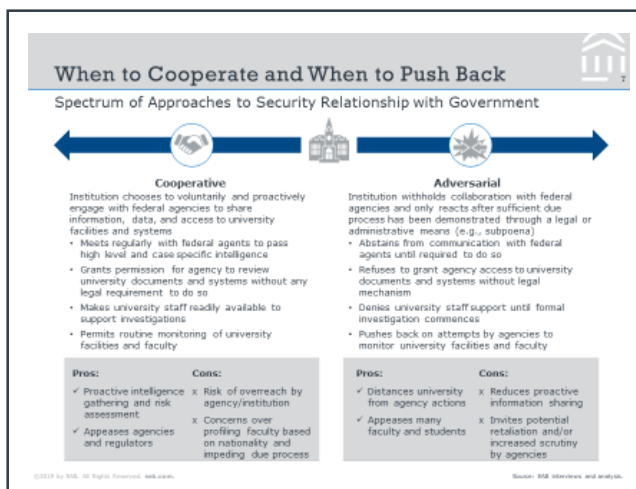
Key Features

- Explains the tension that can arise between addressing government-identified threats and preserving institutional values
- Facilitates conversations around what institutional interests may be at risk and how best to balance compliance with goals

Optional Customization

- Customize institutional interests and/or call out other values

6



Key Features

- Outlines an archetypical spectrum of institutional approaches towards collaboration with government agencies on research security matters and investigations
- Presents pros and cons associated with each extreme archetype

Optional Customization

- Modify pros and cons to match institution specific assessment

Internal Presentation on Research Security and Foreign Interference

Slide Key Features and Optional Customizations (cont.)

7

Charting Our Institution's Course

Open Strategic Questions for Government and Ourselves

	Government	Institution
Policy	What will future compliance requirements look like?	What level of compliance and proactive actions should we take?
Advocacy	What groups are working to shape agency policy approaches and offer university input?	How can we advocate for our faculty and students?
Ownership	What security burdens will universities be expected to own and what will the government own?	Who and/or what unit will coordinate our response and policy?
Communication	When will additional guidance and clarification be communicated?	Who will spearhead communication with faculty, students, and staff?

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Key Features

- Depicts the core strategic questions university leaders have related to research security broken down by topic and the internal or external nature of the question
- Designed to facilitate conversations around university strategy and planning

Optional Customization

- Change questions to reflect your institution's priorities and concerns

8

Aspire to Balance Security and Academic Freedom

“We can safeguard ourselves from foreign threats without damaging the very open elements that have made our university-based research enterprise the best in the world. And it doesn't require ending international research collaborations, which are foundational to scientific research advances...It can be done, and we must accomplish both goals effectively for the U.S. scientific enterprise to continue to thrive.”

Peter McPherson, President, APLU
Mary Sue Coleman, President, AAU

Steps for Protecting our Campus Communities

- Proactive communication about the limited scope of investigations and rarity of wrongdoing
- Campus climate surveys for students and faculty to identify and support vulnerable populations
- Participation in professional association working groups, both on security and faculty support
- Collaboration with international research entities to maintain and grow global efforts

©2019 by EAB. All Rights Reserved. eab.com. Source: McPherson, Peter and Coleman, Mary Sue, "Do They Have Both," Inside Higher Ed (10/15/2019). Source: EAB interviews and analysis.

Key Features

- Reiterates goal of protecting both research and institutional values
- Lists potential steps to take to support university community

Optional Customization

- Customize with any other proposed or ongoing steps at your institution

Internal Presentation on Research Security and Foreign Interference

Optional Slides to Customize for Your Audience and Campus

Template Presentation (Optional Slides)

This page showcases two downloadable template slides that can be added to the previous eight slides for an internal presentation. The boxes on the right highlight when CROs might want to include each slide as well as customization recommendations.

A

Where You Stand Has Much To Do With Where You Sit		
Mapping Impact of Government Research Security Actions Across Cabinet		
President <i>Impact:</i> Pressure from institutional governance to reduce risks and ensure compliance <i>Imperative:</i> Maintaining university strategy and mission despite geopolitical tensions	Provost <i>Impact:</i> Faculty suspicion, activism, and anxiety <i>Imperative:</i> Retaining and recruiting top faculty and achieving maximum program enrollment	Chief Business Officer <i>Impact:</i> Risks to tuition revenue and added compliance costs <i>Imperative:</i> Sustaining institutional financial health through volatile international student enrollment
Chief Research Officer <i>Impact:</i> Compliance administrative burden, government agency investigations, and institutional response coordination <i>Imperative:</i> Managing internal and external communication while guarding research enterprise	Chief Enrollment Officer <i>Impact:</i> Challenges recruiting international students and top talent <i>Imperative:</i> Hitting enrollment targets with diminished Chinese matriculation	Chief Information Officer <i>Impact:</i> Cybersecurity threats and controlled access to sensitive information <i>Imperative:</i> Ensuring IT security and protocols
General Counsel <i>Impact:</i> Realtime need to assess university compliance and update policies <i>Imperative:</i> Balancing compliance with due process	Chief Advancement Officer <i>Impact:</i> Questions from donors and review of Chinese gifts and grants <i>Imperative:</i> Conserving pool of large individual and corporate donors	Chief Student Affairs Officer <i>Impact:</i> Suspensions and hostilities towards Chinese and international students <i>Imperative:</i> Preserving an inclusive campus and support for all students

When to Include

- This slide is useful if your institution's leadership wants more detail on how international tensions impact their role

Optional Customization

- Change titles and add/remove leaders and units as needed to match institutional specific organizational structure

B

Navigating Research Security as a Team		
How Foreign Interference Could Impact Research Office Leaders		
 Tech Transfer and Industry Relations <ul style="list-style-type: none"> • Vet corporate partners to identify nefarious actors and potential security risks • Protect IP portfolio from economic espionage and cyberattacks 	 Compliance and Integrity <ul style="list-style-type: none"> • Review grant proposals and conflicts of interest forms for foreign relationships • Educate faculty on reporting requirements and compliance consequences 	 Research Development <ul style="list-style-type: none"> • Monitor funding agencies for shifts in their strategic priorities and expectations • Examine agency formal and informal restrictions on who can collaborate on opportunities
 Facilities and Infrastructure <ul style="list-style-type: none"> • Evaluate existing infrastructure to determine who has access and what areas are most sensitive • Consider adopting stricter access protocols for certain systems and spaces 	 Sponsored Programs and Administration <ul style="list-style-type: none"> • Manage any added security restrictions industry and agencies make to their research agreements • Ensure travel and procurement policies reflect agency guidelines 	 Communications <ul style="list-style-type: none"> • Keep university community informed on research security and compliance resources • Handle press and community inquiries on university security actions

When to Include

- This slide is useful for more research-centric audiences to understand how international tensions impact their role

Optional Customization

- Change names of units to reflect your offices structure

Source: EAB interviews and analysis.



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