

RESEARCH SECURITY VIRTUAL SYMPOSIUM

HOSTED BY UNIVERSITY OF CALIFORNIA
ETHICS, COMPLIANCE AND AUDIT SERVICES

2021

UNIVERSITY
OF
CALIFORNIA



Protecting the Research Enterprise – Transparency, Integrity & Reciprocity

January 26, 2021 - 09:00 AM Pacific Time (via Zoom)

AGENDA

INTRODUCTION AND WELCOME REMARKS: (9:00 AM - 9:20 AM)

Dr. Michael V. Drake, President, University of California

Christopher A. Wray, Director, Federal Bureau of Investigation (FBI)

PANEL ONE: (9:20 AM - 10:20 AM)

Federal and Administration Efforts to Protect America's Research Enterprise

Federal agency officials from NIH, NSF, DoD, and DOJ will engage in a dialogue about the “whole of government” approach to protecting the American research enterprise. Agencies will discuss efforts over the past several years to harmonize disclosure requirements across funding agencies, recent clarifications of longstanding guidance, best practices, and expectations with the new administration. Audience Q&A.

Moderator: Dr. Theresa A. Maldonado, Vice President of Research and Innovation, University of California

Panelists:

- Adam S. Hickey, Deputy Assistant Attorney General, National Security Division, Department of Justice (DOJ)
- Dr. Rebecca Spyke Keiser, Head of the Office of International Science & Engineering and Chief of Research Security Strategy and Policy, National Science Foundation (NSF)
- Dr. Michael Lauer, Deputy Director for Extramural Research, National Institutes of Health (NIH)
- Dr. Bindu R. Nair, Director of Basic Research, Office of the Secretary of Defense, Department of Defense (DoD)

CONCURRENT SESSIONS: (10:30 AM - 11:30 AM)**Concurrent Session 1****The Present and Future of Research Cybersecurity**

U.S. research universities must secure their research environments from cyber intrusions while sustaining the academic principles that make them the most innovative and productive in the world. Achieving this balance requires collaboration across research institutions and between them and the federal agencies tasked with protecting the nation's cybersecurity. Join higher education and federal cybersecurity leaders as they discuss the current challenges facing academic research cybersecurity and the partnerships that will be necessary to advance it into the future.

Moderator: Dr. John O'Brien, President, EDUCAUSE

Panelists:

- Sol Bermann, Executive Director of Information Assurance and Chief Information Security Officer, University of Michigan
- Scott Hellman, Supervisory Special Agent, Federal Bureau of Investigation (FBI)
- Kim Milford, Executive Director, Research & Education Networks Information Sharing & Analysis Center (REN-ISAC)

Concurrent Session 2**Foreign Influence in the Next Congress: Discussion about the outlook on foreign influence issues in the next Congress and into the new administration**

Over the past several years, new laws and regulations have been implemented to increase security protocols at institutions of higher education. The academic community has adopted these new measures and ensured that the principles of academic freedom are maintained. While there is new leadership in the White House and a new Congress, foreign influence issues will continue to be a focus for policymakers. Please join this panel as they discuss the issues they believe the new Congress and the new administration may consider or should consider.

Moderator: Phillip Harman, Director of Research, Office of Federal Governmental Relations, University of California

Panelists:

- Carolyn Bartholomew, Chairman, Security & Foreign Affairs, U.S.-China Economic and Security Review Commission (USCC), U.S. Congress
- Dr. Melissa Flagg, Senior Fellow, Center for Security and Emerging Technology, Georgetown University; Former Deputy Assistant Secretary of Defense for Research, Department of Defense (DoD)
- Dr. Megan Frisk, Foreign Affairs Officer, Office of Science and Technology Cooperation, U.S. Department of State (DOS)
- Dr. Anne-Marie Mazza, Senior Director, Committee on Science, Technology, and Law, The National Academies of Sciences, Engineering, and Medicine

PANEL TWO: (11:35 AM - 12:35 PM)**The Ohio State University Case Study: High Profile Case from Varying Perspectives**

This panel discussion addresses a foreign influence investigation that took place at the Ohio State University in 2020 and presents the unique viewpoints of some of the key players in this matter including the institution's Senior Vice President for Research, the HHS/OIG Special Agent as well as the FBI Supervisory Special Agent and Special Agent who were assigned to the matter. The panelists will discuss the following: the principal investigator's foreign affiliations which were of particular concern including Talents programs, foreign government run institutions and foreign government grants; the risks involved in this case including double funding, parallel laboratories and research theft; the policies and laws that were implicated; challenges for the institution and law enforcement; and lessons learned.

Moderator: Hoyt Sze, Managing Counsel, Office of General Counsel, University of California

Panelists:

- Elizabeth Silliman, Supervisory Special Agent, Federal Bureau of Investigation (FBI)
- Dr. Morley O. Stone, Senior Vice President for Research, Office of Research, The Ohio State University
- Vince Traul, Special Agent, Federal Bureau of Investigation (FBI)
- Ben Unkefer, Special Agent, Department of Health and Human Services, Office of the Inspector General (HHS/OIG)

PANEL THREE: (12:40 PM - 1:40 PM)**The Path Forward: University Perspectives and Potentially Effective Practices**

So what is a university to do? Addressing the threats discussed in the prior sessions has implications across an institution, along with significant challenges ranging from culture to policy to process. This panel will close the program by exploring practical steps institutions can take. University leaders will discuss how they have approached the issues, challenges they have faced along the way, and the work remaining to be done.

Moderator: Wendy Streitz, President, Council on Governmental Relations

Panelists:

- Trey Atchley, Chief Inquiry Officer and Chief Research Security Officer, University of Texas
- Alexander A. Bustamante, Senior Vice President, Chief Compliance and Audit Officer, University of California
- Elizabeth Peloso, Associate Vice President & Associate Vice Provost, Office of Research Services, University of Pennsylvania
- Dr. Geeta K. Swamy, Associate Vice President for Research for Duke University and Vice Dean for Scientific Integrity for Duke University School of Medicine

CLOSING COMMENTS: (1:45 PM - 1:55 PM)

Dr. Rebecca Blank, Chancellor, University of Wisconsin - Madison