

URIC

Administrative Meeting

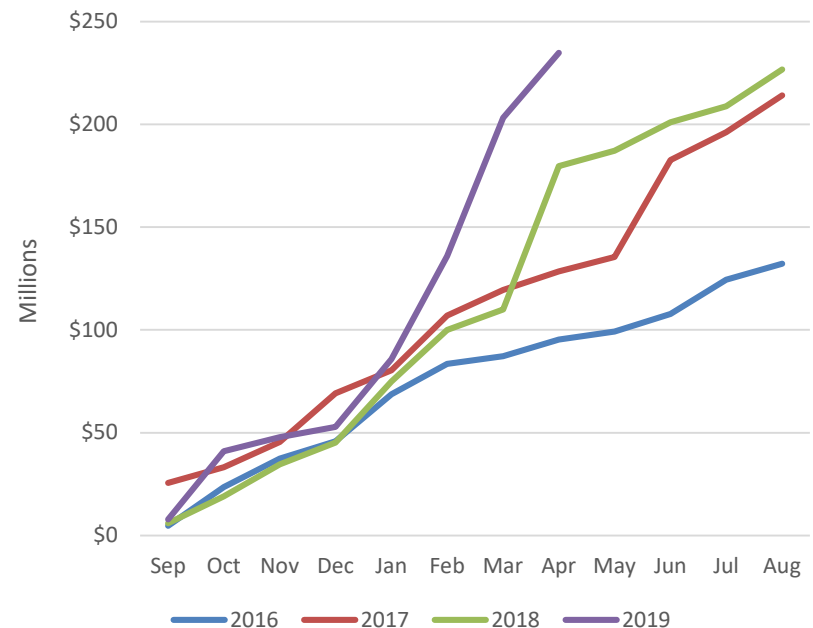
May 8, 2019

Agenda

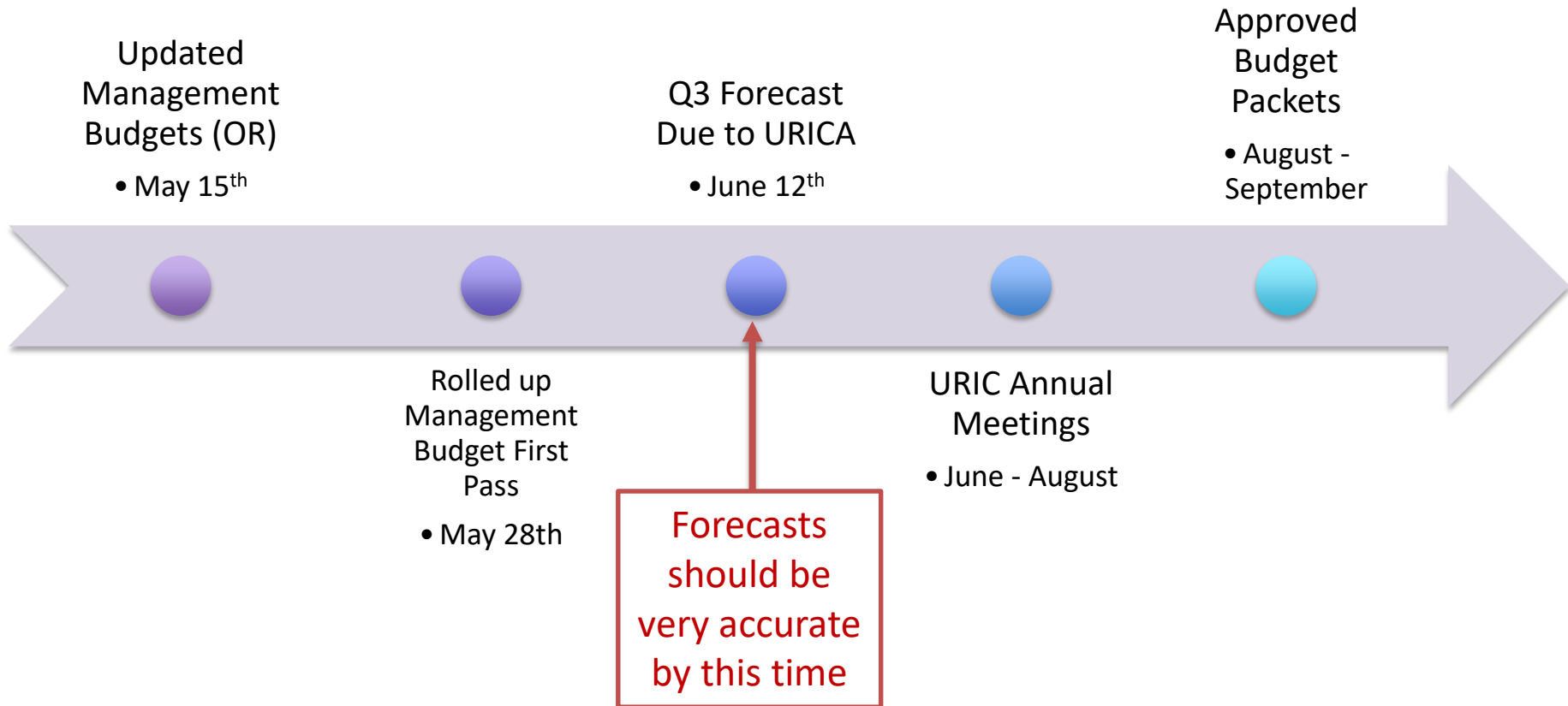
TIME	TOPIC	PRESENTER
8:30 – 8:50	Introduction & Updates	Joe Boes
8:50 – 9:20	Corporate Engagement	Jim Bray & Team
9:20 – 9:50	Foreign Influence	Lane Campbell
9:50-10:00	Closing & Questions	Joe Boes

Updates

- Office for Research Town Hall
 - May 15th, 10:00-12:00
 - Evanston: Norris
 - Chicago: Rubloff 140
- Proposals
 - High volume is great, but is challenging
 - Dollars up more than number of proposals
 - \$235M YTD through April (FY19 total year was \$227M)



Budget Processes Timeline



Corporate Engagement

Jim Bray– Director

Kate Rice– Senior Associate Director

Maggie Waldron– Senior Associate Director

Sheila Kessler– Associate Director

URIC Administration Meeting

May 8th, 2019

Northwestern

Corporate Engagement | What We Do

Find & Meet Industry Contacts

- Help faculty and staff find and meet industry contacts in R&D, tech scouting, corporate foundations, university relations and more

Background Information

- Provide background information on current relationships between companies and the entire university

Proposals

- Review proposals and supporting correspondence to formal and informal corporate grant-makers

Campus Visits

- Administer scheduling, space and provisions for campus visits by corporations

Corporate Engagement | Who We Are

Jim
Bray



Director

Tim
Angell



Sr Assoc Director

Kate
Rice



Sr Assoc Director

Maggie
Waldron



Sr Assoc Director

Sheila
Kessler



Assoc Director

Evangeline
Semark



Comms Lead

Annalise
Robinson



Prog Asst

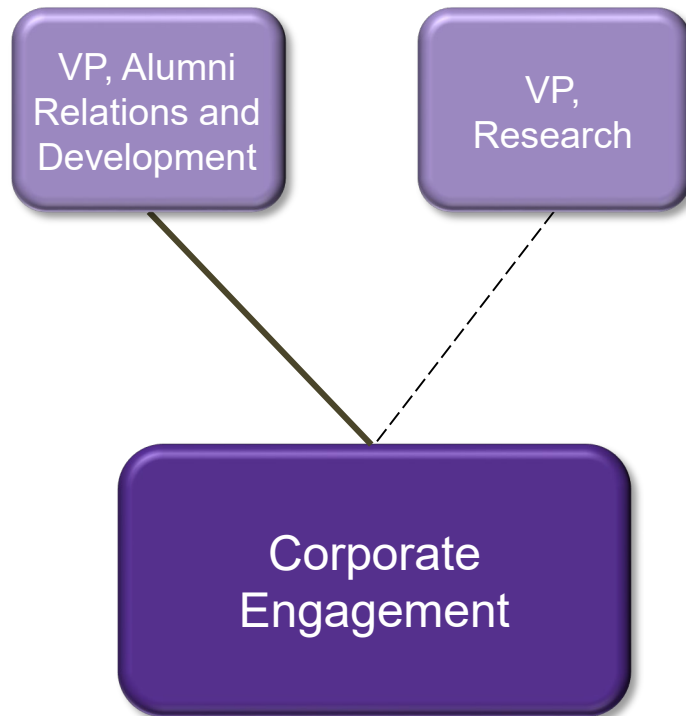
Vacant



Researcher

Corporate Engagement Structure

Reporting

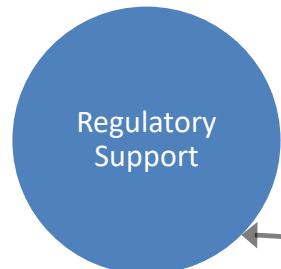


Independent from:

- Feinberg Corporate Relations
- Kellogg Corporate Partnerships
- Pritzker External Partnerships

Managing relationships: on campus

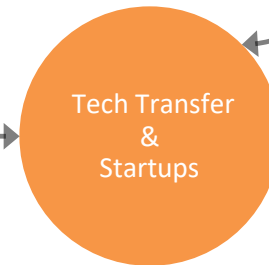
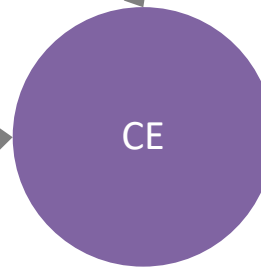
Office of Sponsored Research,
Gift and Record Services,
Export Control



Campus
Engagement is
NEVER
linear



Northwestern Career
Advancement, McCormick
Career Development,
Medill Career Services,
Student Groups



INVO, Faculty,
The Garage



Faculty, Depts,
Research Centers

Corporate Visits

Tracking Activity

2016

67

2017

112

2018

125

0 20 40 60 80 100 120 130

Source: CATracks

Data available for CE priority companies

❑ Northwestern data for recent campus activity/stats

- Giving
- Relationship Managers
- Recent Activity
- Key Contacts
- Senior Leaders
- Board Activity

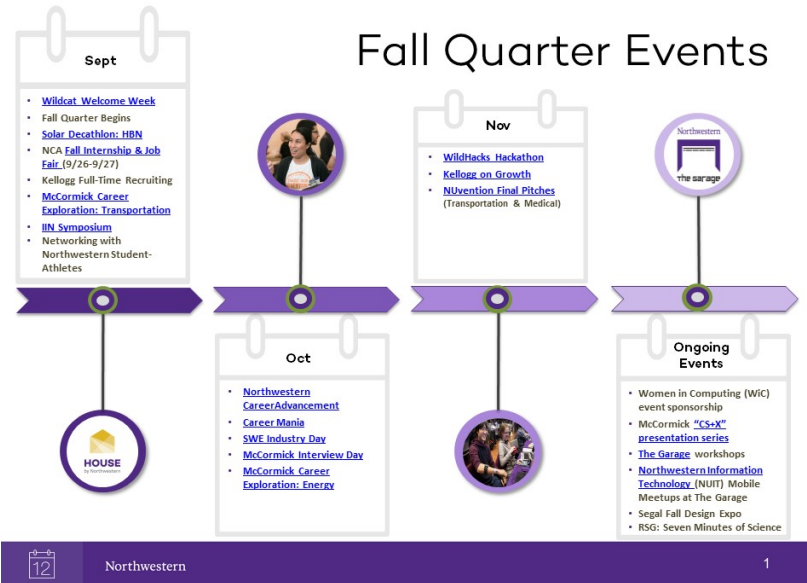
❑ External data

- Information on new strategy/initiatives
- Recent press releases
- News on other school engagements

Dashboards



Fall Quarter Events



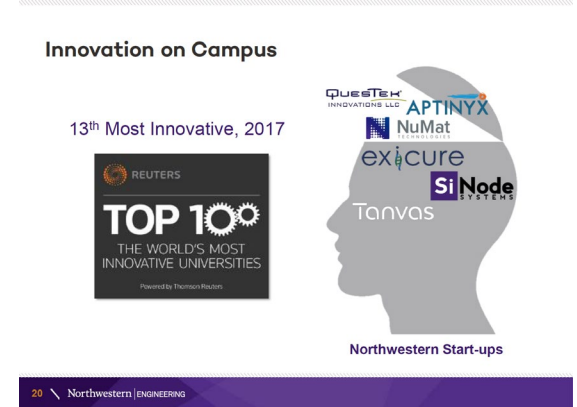
Spring Quarter Events



Notational Timeline

- Shared with portfolio companies
- Developed, Summer Quarter
- Inclusive of all Schools, Programs, Centers, & Institutes

Who's on deck?



CE prepares company specific decks to highlight Northwestern to plan or follow up on campus meetings

CORPORATE ENGAGEMENT

Search this site



About ▾

Highlighted Partnerships

Engagement Opportunities ▾

Contact ▾

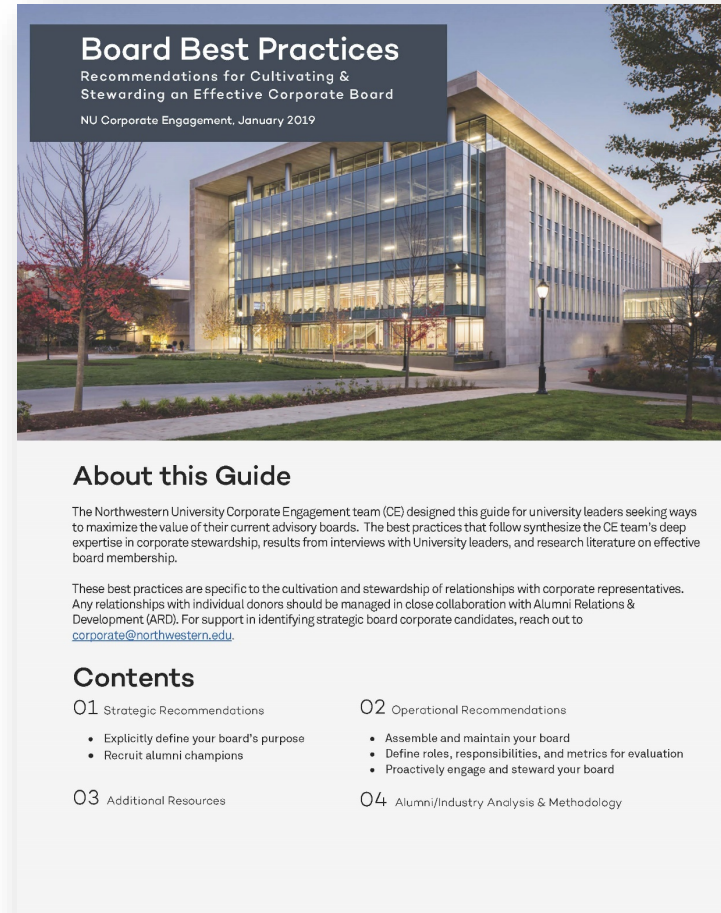
Corporate Engagement

Partnering industry with Northwestern talent

LEARN ABOUT WHAT WE DO

Board Best Practices

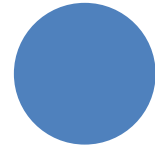
- Developed Board Best Practices document to provide guidance to board leaders
 - Incorporates info from other sources and interviews
 - Rolled out first to McC department boards
 - Multiple success stories of new recruits and activity



The Boeing Company



FRAMING THE RELATIONSHIP



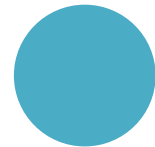
Board Involvement

- NUTC BAC
- CHiMaD



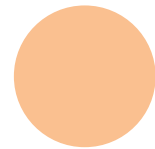
Student Group & Curriculum

- McCormick Student Groups
 - Car teams, Rocketry, Robotics
 - EXCEL, WiC, NSBE, SWE
- NUvention Transportation



Philanthropy

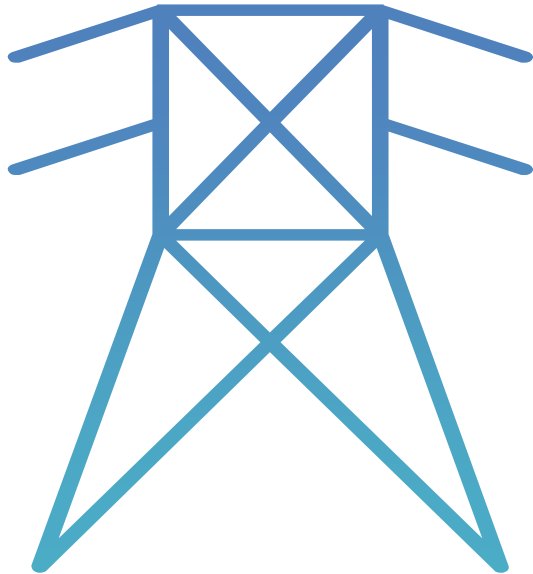
- FUSE Studios at CPS



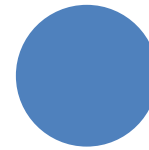
Talent: Recruitment

- EAHI: Fall Quarter
- NU a preferred school for Engineering & Data Science

Exelon



FRAMING THE RELATIONSHIP



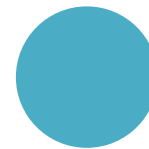
Board Involvement

- ISEN Executive Council



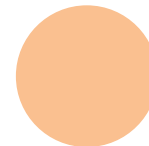
Student & Entrepreneurship

- VentureCat
- Intra-preneurship
internships



Research

- Master Research Agreement



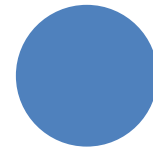
Philanthropy

- Endowed Sustainable
Speaker Series at
Kellogg

Baxter



FRAMING THE RELATIONSHIP



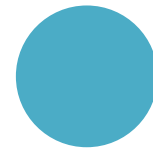
Board Involvement

- Biomedical Engineering
- MEM



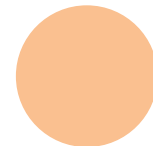
Student & Entrepreneurship

- KSM Student Clubs
- NUvention Medical



Research

- Master Research Agreement
- Master Services Agreement



Philanthropy

- Baxter Center for Science Education

Corporate Engagement | Pre-Award

- Identify Industry Funding Opportunities
 - If Research Funding – we work with ORD
 - If Program Funding – we send to all relevant parties
 - Ensure limited submissions coordination
- Help with Proposal Development
 - Help with common (and uncommon) deliverables
 - Indirect costs
 - Collaborate with OSR and ORD

Corporate Engagement | Post-Award

- Appropriate accounting for grants, awards, gifts
 - Checks, Wire Transfers, In-kind
 - Gift vs Grant
 - Coordination with OSR, OGC, ASRSP
- Relationship Management
 - Share appropriate information
 - Find new corporate connections for PIs and Administrators

Master Research Agreements

Highlighted MRA



MRA Alliance members

- Corporate Engagement (alliance manager) INVO, OSR, Department staff – RA's and PI's

Meeting frequency

- Kick-off then quarterly check-ins with a variety of attendees

Topics covered:

- Introductions (roles and responsibilities), research overview, relationship importance, getting ahead of challenges

Corporate Engagement | Next Steps

- Reach out to us with company research questions
- Let us know about corporate activity and how we can help
- Sign up for the Foundation Relations & Corporate Engagement RFP newsletter

Corporate Funding Opportunities

Funding Opportunities and Gifts

Below are tables with current funding opportunities for students, faculty and staff. These opportunities include gifts, grants and in-kind goods and services. **Please reach out to our team with questions.**

Faculty and Staff

Campus-Wide

Gifts-in-Kind

Fellowships/Awards

Search:

Name	Amount	Deadline	Focus Area
> Pfizer: Addressing Attitudes, Beliefs, and Cultural Barriers in Women's Health Decision-Making	Up to \$200k	7/26/17	Women's Health
> Pfizer: Vaccine Preventable Diseases in the IBD Patient	Up to \$250k	7/28/17	IBD
> Amag: Research Grants in Prematurity	Up to \$75k	7/31/17	prematurity
> GlaxoSmithKline: Asthma2017B	Up to \$300k	7/31/17	Asthma
> GlaxoSmithKline: Chronic Obstructive Pulmonary Disease	Up to \$300k	7/31/17	Pulmonary
> GlaxoSmithKline: Systemic Lupus Erythematosus	Up to \$200k	7/31/17	Lupus
> Gilead: Research Scholars Pulmonary Arterial Hyertension Program	Up to \$60k	8/4/2017	Hypertension
> Volkswagon & BASF: Science Award Electrochemistry	Up to 100,000 Euros	8/18/17	battery value chain
> Toyota: 2017 TMHNA UNIVERSITY RESEARCH PROGRAM		8/31/17	material handling
> DHL Robotics Challenge 2017	\$15,968	9/17/2017	Innovation, Robotics
> American Chemical Society: Grants for	Up to	10/20/17	petroleum



Thank You
&
Questions

Connect with us

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Foreign Influence and Its Impact on University Research

**Lane Campbell, Director
Office for Export Controls Compliance
May 8th, 2019**

Northwestern | RESEARCH

What are the concerns about “foreign influence”

- **The federal government has long expressed concerns about foreign influence on the U.S. research enterprise, driven by national & economic security**
- **While these concerns have been ramped up in recent times (particularly over the last year), they’re hardly new**
- **In FBI guidance, “foreign influence” is defined as “covert actions by foreign governments to influence U.S. political sentiment or public discourse” with the goal “to spread disinformation, sow discord, and, ultimately, undermine confidence in U.S. democratic institutions and values”**

What are the concerns about “foreign influence”

- **An April 2011 report issued by the FBI entitled: “Higher Education and National Security: The Targeting of Sensitive, Proprietary, and Classified Information on Campuses of Higher Education,” highlighted concerns, including:**
 - **Theft of technical information or products**
 - **The bypassing of expensive R&D**
 - **Recruitment of individuals for espionage**
 - **Exploitation of the student visa program**
 - **Spreading of false information for political or other reasons**

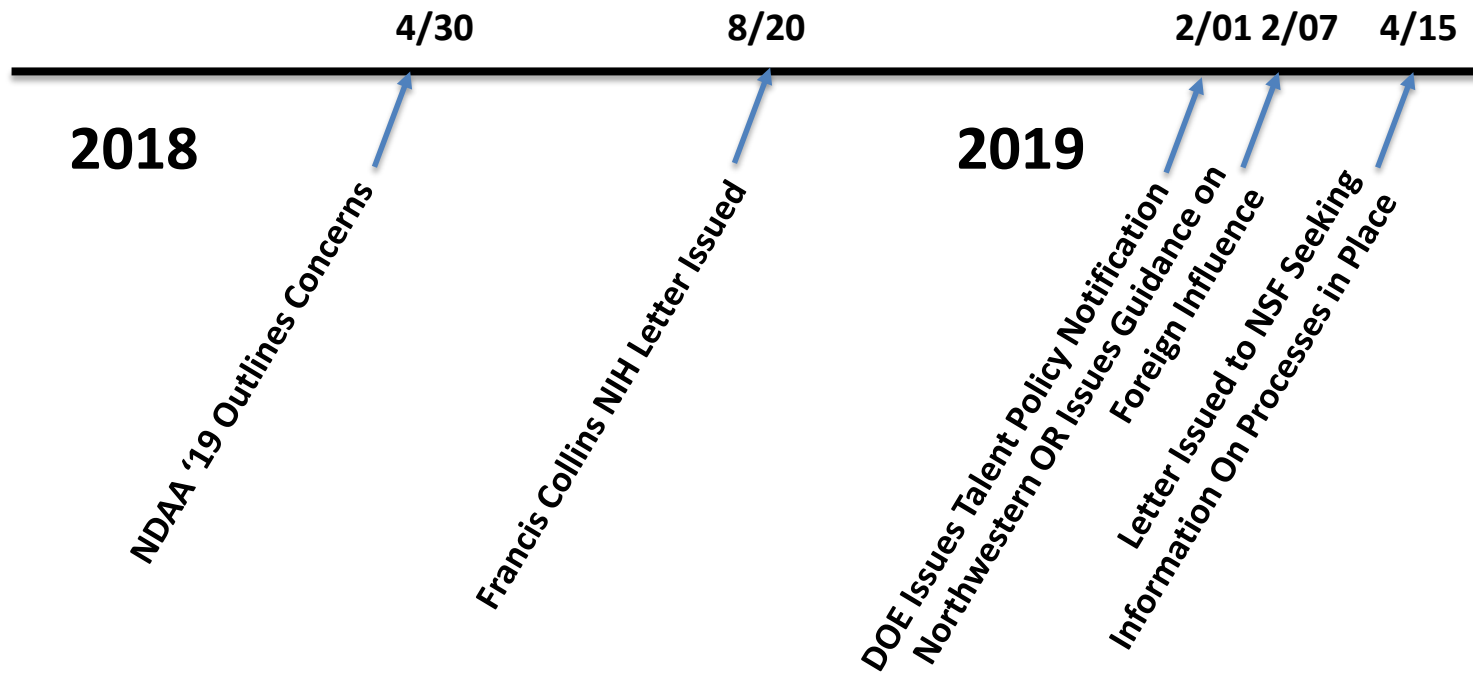
What are the concerns about “foreign influence”

- **The report identified a number of methods used to achieve these goals:**
 - **Conducting computer intrusions**
 - **Collection of sensitive research**
 - **Utilizing students or visiting professors to collect information**
 - **Spotting and recruiting students or professors**
 - **Unsolicited emails or invitations**
 - **Sending spies for language and cultural training and to establish credentials**
 - **Funding programs at universities**

What are the concerns about “foreign influence”

- **The FBI has characterized the recent increase in scrutiny as follows:**
 - **The interconnectedness of the modern world**
 - **The anonymity of the Internet**
 - **These factors combined have changed the nature of the threat and how it must be addressed**

A Timeline on Foreign Influence



What have we been told?

- **DOD (NDAA)**
- **Francis Collins Letter**
- **DOE**
- **NSF**
- **FBI Meeting**

What have we been told?

- **National Defense Authorization Act for Fiscal Year 2019 outlined specific concerns about foreign influence**
- **Section 1286 specifically identifies concerns: “Initiative to Support Protection of National Security Academic Researchers from Undue Influence and Other Security Threats”**

What have we been told?

- **Tasks DOD with establishing an initiative to work with academic institutions who perform defense research and engineering activities**
 - **Support protection of intellectual property, controlled information**
 - **Limit undue influence, including through foreign talent programs, by countries to exploit U.S. technology within DOD research, science and technology, and innovation enterprise**
 - **Support efforts toward development of domestic talent in relevant scientific and engineering fields**

What have we been told?

- **Requires development of the following:**
 - **Information exchange forum and information repositories to enable awareness of security threats and influence operations being executed against U.S.**
 - **Training and other support for academic institutions to promote security and limit undue influence**
 - **Capacity of government and academia to assess whether individuals have participated in talent recruitment programs**
 - **Opportunities to collaborate in secure facilities to promote protection of critical information and strengthen defense against foreign intelligence**
 - **Develop regulations, policies and procedures, and other initiatives to support these efforts, including the prohibition of funding provided by DOD**

What have we been told?

- **NIH Director Francis Collins issues letter outlining concerns with threats to NIH-funded research enterprise**
 - **Diversion of intellectual property in grant applications or produced by NIH-supported research to other entities**
 - **Sharing of confidential information on grant applications by NIH peer reviewers with others, or otherwise attempting to influence funding decisions**
 - **Failure by some researchers working at NIH-funded institutions in the U.S. to disclose substantial resources from other organizations, which threatens to distort decisions about the appropriate use of NIH funds (*Note: the NIH issued letters regarding these specific concerns to a number of academic institutions*)**

What have we been told?

- **NIH Director Francis Collins issues letter outlining concerns with threats to NIH-funded research enterprise**
 - **Identified steps to combat these concerns through:**
 - **Improving accurate reporting of all sources of research support, financial interests, and relevant affiliations**
 - **Mitigating the risk to IP security while continuing NIH's long tradition of collaborations with foreign scientists and institutions**
 - **Exploring additional steps to protect the integrity of peer review**

What have we been told?

- **Department of Energy issued a memorandum on 2/1/19 outlining concerns about foreign influence**
 - **Specifically identified foreign talent recruitment programs**
 - **Defined such programs as “any foreign state-sponsored attempt to acquire U.S.-funded research through recruitment programs that target scientists, engineers, academics, researchers, and entrepreneurs of all nationalities working or educated in the U.S.**
 - **These programs target individuals who are leaders in their respective fields and have top-level access to and research capabilities in technological fields of interest to the foreign government**
 - **These recruits are offered lucrative and prestigious incentives**

What have we been told?

- **Department of Energy issued a memorandum on 2/1/19 outlining concerns about foreign influence**
 - **These programs threaten the U.S. economic base by facilitating the unauthorized transfer of technology and intellectual property to foreign governments**
 - **DOE recognizes the inherent conflict between open scientific collaboration and the potential exploitation of this openness**

What have we been told?

- **Department of Energy issued a memorandum on 2/1/19 outlining concerns about foreign influence**
 - **In response, the DOE has outlined a plan to protect U.S. national security interests**
 - **DOE funding recipients will be subject to limitations, including prohibitions on their ability currently or in the future to participate in foreign talent recruitment programs of countries deemed sensitive by DOE**
 - **Includes a mandate to implement this plan and to provide additional guidance through DOE directives**

What have we been told?

- **The National Science Foundation has been instructed to provide information that will address concerns regarding foreign influence**
 - **Background check to vet grant recipients**
 - **Rules/procedures to prevent potential theft**
 - **Funding allocated to identify/investigate potential violations**
 - **Reviews/audits**
 - **Enforcement mechanisms**
 - **Coordination of efforts across agencies**

What have we been told?

- **FBI Meeting**
 - **Northwestern recently met with the FBI and were provided with five key areas of concern:**
 1. **Thousand Talents**
 2. **Chinese Scholarship Council recipients**
 3. **Huawei gifts/grants**
 4. **Visitors from Entity List institutions**
 5. **Targeting/recruitment risks to overseas student programs**

Northwestern's Response

- On 2/7/19, Northwestern's Vice President for Research issued Guidance Regarding Foreign Influence and Involvement in University Research, reminding researchers of its obligations in several key areas:
 - Transparency in disclosure
 - Export compliance
 - Policies for engaging visiting collaborators
 - Proper security of materials, data, and confidential information
 - Protection of intellectual property
 - Peer review

Targeted Companies

- In the most recent National Defense Authorization Act (NDAA) for fiscal year 2019, two specific companies were identified as posing risks to U.S. interests
 - Huawei Technologies
 - ZTE Corporation
- With respect to these two companies, the NDAA expresses a prohibition on certain telecommunications and video surveillance services or equipment
- Per the NDAA: *“The head of an executive agency may not ... enter into a contract with an entity that uses any equipment, system, or service that uses covered telecommunications equipment or services as a substantial or essential component of any system, or as a critical technology as part of any system.”*

Take-Home Messages

- **While concerns about foreign influence are hardly new, and disclosure requirements have always existed, it is rare to see such unified messaging coming from a wide range of federal agencies, both enforcement-based and funding-oriented**
- **The clear message we are receiving is that the federal government demands strict adherence to disclosure requirements, transparency in foreign engagements, and vigilance in addressing potential threats by foreign governments**

Follow-up Questions/Concerns

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Director

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Closing & Questions

THANK YOU!!!