



IU Research

Research Security Office Overview

Research Security Office

What is Research Security?

Research Security - Defined

NSPM-33: “[S]afeguarding the research enterprise against the misappropriation of research and development to the detriment of national or economic security, related violations of research integrity, and foreign government interference.”

[Register for our NSPM-33 Webinar, Thursday, February 29 @ 12p.m. EST.](#)



Research Security

Why should I care?

Research Security – Bona Fide Threats

- Malign Influence/Malign Foreign Government Talent Recruitment Programs (MFGTRPs)
- Loss of Research Data
- Theft of Intellectual Property
- Transnational Repression



Research Security – Federal Focus

“ Research security is a critical matter. It is important that the research community, government agencies and our international partners have frequent dialogue to share perspectives and help shape our research security policies and programs. Collaboration is critical to a vibrant science and engineering community, which includes domestic and international collaboration. ”

- **Sethuraman Panchanathan**
Director, National Science Foundation



Research Security – Federal Focus

- **Jan. 2018** - NIH Director Francis Collins [“Dear Colleagues” letter](#)
- **Aug. 2018** - [§1286, John S. McCain National Defense Authorization Act for Fiscal Year 2019](#)
- **Jan. 2021** – [National Security Presidential Memorandum 33 \(NSPM-33\)](#)
- **Aug. 2022** – [CHIPS and Science Act of 2022](#)
- **June 2023** – [DoD Policy for Risk-Based Security Reviews of Fundamental Research](#)
- **Dec. 2023** – [Cybersecurity Maturity Model Certification \(CMMC\) 2.0](#)
- **Coming Soon?** – [Defending Education Transparency and Ending Rogue Regimes Engaging in Nefarious Transactions \(DETERRENT\) Act](#)

[COGR Quick Reference Table of Current & Upcoming Federal Research Security Requirements](#)



NSPM-33

- RSO is responsible for implementation and operation of IU's research security program ("RSP") [as required by NSPM-33](#). Final guidelines out Q1 2024 with one (1) year to comply.
- **Four (4) main requirements of an RSP:**
 1. Cybersecurity
 2. Foreign Travel
 3. Research Security Training
 4. Export Control Training



Case Studies

University of Arkansas Professor Pleads Guilty to Lying to Federal Agents About Patents in China (Jan 21, 2022)

- Failed to make required invention disclosures to University. Lied about it to FBI.
- Received numerous awards from PRC MFGTRPs and did not disclose to University.

University researcher sentenced to prison for lying on grant applications to develop scientific expertise for China (May 14, 2021)

- Lied on NIH grant applications in order to use approximately \$4.1 million in NIH grants to develop China's expertise in the areas of rheumatology and immunology.
- Failed to disclose participation in MFGTRP and affiliations with at least five (5) PRC institutions



Case Studies

[DOJ: Stanford FCA Case Involved Failures to Disclose Foreign Support From Seven Countries \(October 26, 2023\)](#)

- **“It wasn’t just China.”**
- Stanford returned \$1.9 Million in awards to NSF for failure to disclose investigator affiliations, not only with the PRC, but also Germany, Japan, Israel, Korea, Australia and India.
- “The federal funding community remains committed to making sure that all institutions, obviously including Stanford, meet the requirements to disclose all required information. Accurate disclosures really do matter. Disclosure failures cannot be minimized as paperwork errors or misses,” Assistant U.S. Attorney Thomas Corcoran



Our Mission

What is RSO?

Dual Mission of RSO

1. **Research Security**: In an effort to **protect** the IU research environment and **comply** with federal regulations and sponsor requirements, the **RSO will work with faculty, staff, and students to safeguard the IU Research enterprise against the misappropriation of research and development** to the detriment of national or economic security, related violations of research integrity, and foreign government interference. RSO will implement its research security program **consistent with IU's longstanding commitment to global engagement and academic freedom**, as well as its IU 2030 pledge to make IU a welcoming environment of mutual respect where **students, faculty, and staff from every corner of the world are embraced as Hoosiers.**



Dual Mission of RSO

- Classified Research**: As part of the National Industrial Security Program, IU conducts classified research critical to national security. The RSO will maintain a program of compliance in accordance with the National Industrial Security Program Operating Manual.



Serve faculty, grow research

- RSO is a research administration unit whose **primary mission is serving faculty and staff researchers.**
- RSO will foster a secure research environment at IU that **facilitates growth of research activities.**



RSO Functions

- **Research Security Assurance**
 - Review and advise on adverse affiliations/associations
 - Advise on visiting scholar visa applications
 - Insider Risk program
 - NSPM-33 Research Security Program Requirements Implementation
- **Research Information Security**
 - Develop, protect, and ensure compliance for technology systems used by IU Researchers
- **Education & Outreach**
 - Train and raise awareness
- **Industrial Security**
 - Operate National Industrial Security Program, pursuant to 32 CFR Part 117.



Contact Us

For research security questions or concerns, contact rsohelp@iu.edu or reach out to me directly at collinr@iu.edu.

Visit our website at <https://rso.iu.edu>

