



## AAU-APLU Science and Security Effective Practices Survey

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AAU and APLU are working to collect and share current practices that universities are employing to ensure the security of research, protect against the theft of intellectual property and academic espionage, and prevent any actions or activities by foreign governments and/or other entities that may infringe on core academic values (e.g. free speech, scientific integrity, etc.). To accomplish this, we have prepared the following on-line survey form. The form is intended to provide a means for university representatives across our campuses to provide **examples of policies, practices, tools, and other resources** they think are effective and which other campuses might benefit from learning about as our universities collectively work to address these ongoing and emerging foreign threats. Please complete this form for each specific effective practice at your institution that you would like to share – that is, one form per example. A PDF version of the survey form is available [here](#) for you to reference and share with appropriate people on campus.

Name:

Title:

Institution:

Phone:

Email:

### Example/Practice

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In the box provided below, please describe the example in 100 words or less:

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Associated URL/link to additional information:

1. Upload/attach associated document(s) to your example that would be useful and which you would be willing to share.

Browse...

Please check the box(es) that best describe(s) the category for this specific **example** (*please check all that apply*):

- Classified research**
- Export controlled research** - screening, compliance and/or awareness
- Commercial or security related IP** - protection of university-owned intellectual property with potential commercial value from theft by U.S. and/or foreign scholars or students before or after a patent is filed or obtained
- Fundamental research information/data** - protection of fundamental research results from theft or improper transfer of information regarding research proposals and/or the peer review process (e.g. protections to prevent theft of faculty-owned basic/fundamental research results and other IP such as grant proposals and pre-publication research)
- Controlled unclassified information (CUI)** - compliance with controlled unclassified information (CUI) security requirements specifically those required under NIST SP 800—171 for controlled unclassified information
- Cybersecurity** - steps taken to protect against major cyber breaches
- Protecting academic freedom and/or free speech**
- Technology transfer** - e.g. licensing agreements, investments in start-ups, etc.
- Other** (Please describe in 10 words or less)

Please check the box(es) that best describe(s) the activity/activities for this specific **example** (*check all that apply*):

- Personnel training/awareness** - training provided to students, faculty, and/or other university staff on foreign security threats (e.g. “see something, say something” procedures, who to contact about suspicious behaviors, etc.)
- Academic integrity training** - training which includes specific information aimed at reducing unethical, inappropriate, or illegal sharing of IP and/or other scientific research, data and confidential peer review information with foreign entities
- Researcher reporting of foreign funding sources and/or affiliations** - ensuring reporting by researchers (faculty and students) of foreign research funding, gifts, awards and affiliations with foreign entities (e.g. talent programs, foreign universities, companies, government organizations) as required by law and agency policy
- Screening and review of MOUs, contracts, grants and gifts** - specific policies and practices for the review of contracts, gifts and grants when entities from sensitive foreign countries are involved
- Institutional tracking of and reporting of foreign contracts, grants and gifts** – knowing exactly the nature of all major foreign contracts, grants and gifts and appropriately meeting Department of Education and other federal reporting requirements
- Foreign visitors to campus**- processes for vetting and/or monitoring foreign guests when touring and visiting campuses and/or research labs to ensure that no malicious activity (e.g. theft of IP or other sensitive information) occurs
- Vetting of foreign scholars/students** - innovative methods for screening or vetting prospective foreign faculty, postdocs, and students (beyond the State Department’s screening prior to issuing visas)
- Other** (Please describe in 10 words or less)

Does this **example** relate to the following? *(please check all that apply):*

- Confucius Institutes (CIs)** - practices relating to Confucius Institute MOUs and vetting faculty and scholars engaged in these institutes, etc.
- Foreign talent recruitment programs** - identifying researchers (e.g. faculty, students, post-docs) engaged in foreign talent recruitment programs
- Working with federal law enforcement and security agencies** - e.g. FBI, Defense Security Services, NSA, Dept. of Homeland Security, etc.
- Inserting specific contractual terms and conditions in foreign contracts/agreements** - specific conditions your institution requires in contractual relationships with a foreign country, entity (e.g. university and/or company)
- Other** (Please describe in 10 words or less)

## Sharing Preferences

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AAU and APLU intend to share this practice to the degree that you and your institution are comfortable with us doing so. Please denote the degree to which you would be willing to allow AAU and APLU to share it:

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- Share, including my contact information/institution name, with appropriate institutional representatives on a **request only** basis when they are seeking information to help address a specific security concern/issue.
- Only share, including my contact information/institution name, with other institutional security and export control officers via a controlled, but unclassified, DHS Academic Security and Counter Exploitation web portal.
- Distribute, including my contact information/institution name, to other institutions and institutional officials/representatives, but not more broadly.

AAU and APLU have been asked by federal agency officials and Congress for examples of what universities are doing to combat foreign security threats. Please indicate your willingness to allow us to share this example and your contact information and institution's name with these audiences. \*

- Share this example, including my contact information/institution name, with government officials and Congress.
- Share this example with government officials and Congress but **without** my contact information/institution name.
- I do not want my example or my contact information/institution name shared with government officials or Congress.

(untitled)

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Please add the best contact person for more information about this example if different than the submitter:

Name:

Title:

Institution:

Phone:

Email:

**Thank You!**

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Thank you for taking our survey. Your response is very important to us.