FOREIGN INFLUENCE AND THE FUTURE OF RESTRICTED RESEARCH
What is CUI?

- CUI stands for **Controlled Unclassified Information**

- CUI is government created or owned information that requires safeguarding or dissemination controls consistent with applicable laws, regulations and government wide policies.
  - Executive Order 13556
  - 32 CFR Part 2002
  - NIST Publications

- CUI is *not* classified information. It is not corporate intellectual property unless created for or included in requirements related to a government contract.

- The National Archives and Records Administration (NARA) is the executive agent tasked with the implementation of CUI and has delegated these responsibilities to the Information Security Oversight Office (ISOO).
CUI Categories

- Ammonium Nitrate
- Chemical-terrorism Vulnerability Information
- Critical Energy Infrastructure Information
- Emergency Management
- General Critical Infrastructure Information
- Information Systems Vulnerability Information
- Physical Security
- Protected Critical Infrastructure Information
- SAFETY Act Information
- Toxic Substances
- Water Assessments
- Controlled Technical Information
- DoD Critical Infrastructure Security Information
- Naval Nuclear Propulsion Information
- Unclassified Controlled Nuclear Information – Defense
- Export Controlled
- Export Controlled Research
- Agriculture
- General Intelligence
- Geodetic Product Information
- Operations Security
- Budget
- Electronic Funds Transfer
- Federal Housing Finance Non-Public Information
- Financial Supervision Information
- General Financial Information
- Retirement
- Permanent Resident Status
- Status Adjustment
- Visas
- Accident Investigation
- DNA
- Contract Use
- Death Records
- General Privacy
- Genetic Information
- Health Information
- Inspector General Protected
- Military Personnel Records
- Personnel Records
- Student Records
- General Procurement and Acquisition
- Small Business Research and Technology
- Source Selection
- General Law Enforcement
- NATO Restricted
- NATO Unclassified
- General Nuclear
- Nuclear Security-Related Information
- Safeguards Information
- Unclassified Controlled Nuclear Information – Energy
- Homeland Security Agreement Information
- Homeland Security Enforcement Information
- Information Systems Vulnerability Information - Homeland
- International Agreement Information - Homeland
- Operations Security Information
- Personnel Security Information
- Physical Security - Homeland
- Privacy Information
- Sensitive Personally Identifiable Information

https://www.archives.gov/cui/registry/category-list
Why Is CUI Important?

- **Foreign Influence**
  - Federal agencies and policymakers have expressed concern that foreign entities may be using the academic research enterprise in an attempt to compromise the United States’ economic competitiveness and national security.

- NIH Statement: “Unfortunately, threats to the integrity of U.S. biomedical research exist. NIH is aware that some foreign entities have mounted systematic programs to influence NIH researchers and peer reviewers and to take advantage of the long tradition of trust, fairness, and excellence of NIH supported research activities. This kind of inappropriate influence is not limited to biomedical research; it has been a significant issue for defense and energy research for some time.”

- NSF Statement: “As partners in the scientific enterprise, U.S. universities and colleges must help promote scientific openness and integrity and safeguard information that impacts national security and economic competitiveness. The NSB recommends that all institutions conducting fundamental research supported by the National Science Foundation embrace transparency and rigorously adhere to conflict of interest and conflict of commitment policies. The Board also encourages those institutions to educate their communities about how to protect the integrity of research.”
Foreign Influence Examples

- “University Researcher Sentenced to Prison for Lying on Grant Applications to Develop Scientific Expertise for China”
- “Ph.D. Chemist Convicted of Conspiracy to Steal Trade Secrets, Economic Espionage, Theft of Trade Secrets and Wire Fraud”
- “Hospital Researcher Sentenced to Prison for Conspiring to Steal Trade Secrets and Sell to China”
- “Man Who Worked At Local Research Institute For 10 Years Pleads Guilty To Conspiring To Steal Trade Secrets, Sell Them In China”
- “NASA Researcher Arrested for False Statements and Wire Fraud in Relation to China’s Talents Program: Texas A&M University Professor Working on U.S. Space Projects Allegedly Hid Affiliations with Chinese State Owned Academic and Commercial Institutions”
- “Researchers Charged with Visa Fraud After Lying About Their Work for China’s People’s Liberation Army”
- Intellectual theft cost: $225 billion to $600 billion annually
Security is everyone’s responsibility

PI’s agree to protect controlled information

Technology Control Plan (TCP)

Physical Security
- Bldgs, locks, storage, safes, labs, equipment, barriers, etc

Personnel Security
- Who needs access?
- Who can’t have access?

Cybersecurity
- The Cybersecurity Maturity Model Certification (CMMC) is a unifying standard for the implementation of cybersecurity.

Training
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QUESTIONS?