URIC Administrative Meeting
December 8th 2022
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<th>TOPIC</th>
<th>PRESENTER</th>
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<td>Research news and reminders</td>
<td>Natalia Glubisz, Morgan Meredith and Amy Merino</td>
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<td>Amy Weber</td>
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CERES Change Agents: URICA team

Goals

- INCREASE organization readiness, flexibility, and adaptability
- INCREASE stakeholder engagement, morale, and preparedness for the new way
- MINIMIZE performance or productivity decline during change
- ACCELERATE and maximize performance during and following the change

What will the Change Network do?

- The Change Network serves as a liaison between the project team and end users. Their department-specific knowledge allows them to influence change locally and relay stakeholder feedback to the project team.

Communications
- Cascade & adapt messages to school leadership, research administrators, faculty, and other locally-impacted users
- Share feedback with the project team to tailor change management activities as needed

Team Readiness / Stakeholder Engagement
- Complete readiness assessments in a timely manner to help the change management team gauge progress and identify mitigation tactics
- Support their department with completing organization-specific readiness checklist items
- Participate in end-to-end system testing

Training
- Assist the project team in confirming training audiences/participants
- Preview/provide feedback on training materials
- Facilitate instructor-led training and encourage end users to attend
- Guide stakeholders to training content including the project website, job aids, videos, etc.

Average of 1-2 hours a week, increasing right before and after go-live.

Readiness survey coming soon! This will help us identify number of users
Research News and Updates

- **Post award link** is live

- **FY23 Awards (thru 12/1/22)**

<table>
<thead>
<tr>
<th>Source</th>
<th>Amount</th>
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<tbody>
<tr>
<td>Educational Institutions</td>
<td>$2,696,174.93</td>
</tr>
<tr>
<td>Federal Agencies</td>
<td>$20,075,480.82</td>
</tr>
<tr>
<td>Foundations</td>
<td>$967,667.00</td>
</tr>
<tr>
<td>Hospitals and Medical Centers</td>
<td>$350,088.00</td>
</tr>
<tr>
<td>Industry and Trade Organizations</td>
<td>-$533.00</td>
</tr>
<tr>
<td>Voluntary Health and Medical Organizations</td>
<td>$262,254.48</td>
</tr>
<tr>
<td><strong>Grand Total</strong></td>
<td><strong>$24,351,132.23</strong></td>
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</tbody>
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*compared to $9.8M in FY22

- **Communicating with sponsors regarding fiscal matters**
  - Must share with ASRSP so that that they can contact the sponsor/partner with you on the response

- **PILOT project: URICA open hours**

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**REMINDER REGARDING WINTER RECESS**

- SR office is closed Friday December 23 – Monday January 2
- All transactions that require Sponsored Research action before Winter Recess must be submitted to SR by **Friday, December 16, 2022**. This includes endorsements required by December 31, 2022.
- Transactions received after this deadline may not be processed until January 3, 2023.
NSF Fastlane Decommissioning

• Important dates:
  • Jan 27, 2023: Cutoff for new proposals and supplements in Fastlane
  • Jan 30, 2023: FastLane will be removed as a submission option from all funding opportunities
    • Excludes supplemental funding requests
  • Sep 29, 2023: FastLane will be fully decommissioned
    • Proposals submitted via FastLane will no longer be viewable

• Status page: https://www.research.gov/research-web/content/fldecomm
• PAPPG updates effective **Jan 30, 2023**

• Important updates:
  • **Concept Outline** submissions will be used for the following proposal types as of **Jan 30, 2023:**
    • Planning
    • RAPID
    • EAGER
    • RAISE
  
  • **SciENcv** will be required for personnel documents as of **Oct 23, 2023**
    • Biosketches
    • Current & Pending

HR Update
Beth Abbott (Associate Director, Administrative Services)

Beth.abbott@northwestern.edu
HR Updates

COVID-19 Update:
On Friday, December 2, an email was sent to faculty and staff from Luke Figora, Vice President for Operations, regarding updated COVID-19 guidelines that will take affect after the Winter break. The following pertain to Faculty and Staff:

• Northwestern no longer requires COVID-19 vaccinations for faculty and staff, both current staff as well as new hires.
• Vaccines and Boosters are still strongly recommended for those individuals who can obtain them as a way to minimize severe illness.
• Northwestern is discontinuing asymptomatic COVID testing in Evanston and Chicago.
• Symptomatic testing will continue in Evanston at the Jacobs Center from 10:00am to 1:00pm Monday through Friday.
• Faculty and Staff are no longer required to report when they have tested positive for COVID. Rather this should be treated as you would any other illness that requires the use of sick days by staying home and contacting your medical provider and your supervisor.
• Research Visitors were not addressed in Luke’s communication on Friday so more to come regarding Research Visitors.

Winter Recess/University Holidays:
This year since the Christmas Eve and New Year’s Day holidays fall on Saturday and Sunday respectively, we are afforded an extra couple of days of time off. The winter holiday break begins on Friday, December 23, 2022, and we return to work on Tuesday, January 3, 2023. These days should already be assigned in WorkForce Timekeeping. If you do have staff who are required to work over the Winter holiday break and have questions about how your staff should update their timecards, please reach out.
CERES Update
Nick Angeloni (Director, Research Analytics)
n-angeloni@northwestern.edu
Where are we?

CERES System

Reporting

We are here
Next Steps

Go live is in **130** days - April 23, 2023

Your participation is essential in ensuring the success of the program!

Look for communication from your Change Agents on the URICA team in the new year.
More Information

SR website:
https://sponsoredresearch.northwestern.edu/sra-transformation/index.html

Updates:
https://sponsoredresearch.northwestern.edu/sra-transformation/updates.html
Financial Update
Harshika Kanwar (Business Administrator URICA)

Harshika.kanwar@northwestern.edu
Quarterly Forecast Dates
Forecast to URICA Team

Q1: Monday December 12th 2023

Q2: Friday March 10th 2023

Q3: Wednesday June 14th 2023
Complete excel file is due December 12th!
Export Control Overview

Amy Weber
Senior Director, Export Controls and International Compliance
amy.weber@northwestern.edu
Export Controls & International Compliance (ECIC)

URIC | 8 December 2022

Protecting our values while meeting federal regulatory requirements
Discussion Topics

URIC and ECIC – partnering to help our research teams

• What are export control regulations?

• How do the regulations impact our university and research activities?

• What are the export control red flags, and when should you contact the ECIC?
Export controls are U.S. laws and regulations that regulate and restrict the release of critical technologies, information, and services to foreign nationals, within and outside of the United States, and foreign countries for reasons of foreign policy and national security.

- Restrict access to technology for U.S. national security
- Further U.S. foreign policy interests
- Prevent terrorism, weapons proliferation, narcotics trafficking, etc.
- Satisfy multilateral obligations
WHO
Regulations impacting people, organizations, universities with which you collaborate.

WHERE
Countries involved in traveling, shipping, or other activities.

WHAT
Regulated items, data, materials, equipment, and research.
U.S. persons or entities under the export control regulations:

- U.S. citizens
- U.S. permanent residents
- U.S. protected persons including asylees
- Business entities incorporated to do business in the U.S.

<table>
<thead>
<tr>
<th>U.S. Agency</th>
<th>Regulates</th>
<th>Regulation</th>
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<tbody>
<tr>
<td>State</td>
<td>Military and Space Critical Technologies</td>
<td>International Traffic in Arms Regulations (ITAR)</td>
</tr>
<tr>
<td>Commerce</td>
<td>Dual Use Technologies (Commercial and Military)</td>
<td>Export Administration Regulations (EAR)</td>
</tr>
<tr>
<td>Treasury</td>
<td>Sanctioned Countries &amp; Individuals</td>
<td>Office of Foreign Asset Controls (OFAC)</td>
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Activities with Export Control Implications

- Publication restrictions
- Foreign person restrictions
- IT security agreements
- Procurement of controlled items
- International shipping
- Imports controlled items
- International travel
- Research abroad
- Sanctioned country engagements
- Denied person/entity collaborations

Areas subject to Export Controls

- Technology
- Hardware
- Software
- Data
- Substances
What is a deemed export?

A deemed export is the release or transmission in any form of export-controlled technology or software code within the U.S. to anyone who is not a U.S. Person.
How do you know if something may be export controlled?

• Project agreement includes a:
  o publication restriction
  o foreign person restriction
  o information security restriction

• Research with potential military end-use

• Equipment has an export-control user agreement or warning statement

• Work involves an entity that is a Restricted Party  OR

• Work involves an OFAC sanctioned (Cuba, North Korea, Iran, Syria, Crimea) or heavily embargoed country
Fundamental research exclusion

Basic and applied research in science and engineering conducted at accredited U.S. institutions of higher education where the resulting information is ordinarily published and shared broadly within the scientific community.

University research will not qualify as fundamental if the university or researcher accepts publication restrictions, other than prepublication “reviews.”
Non-compliance can result in substantial monetary and criminal penalties against the institution and the individual.

- Civil penalties up to $500,000 per violation
- Criminal fines for willful violations of up to $1 million and/or up to 20 years imprisonment
- Reputational damage to the university and researcher
- Loss of federal funding
- Damage to national security
- Denial of export privileges
What is OFAC?

The Office of Foreign Asset Controls (OFAC) administers economic sanctions primarily against countries and groups of individuals to accomplish foreign policy and security goals.

Activities that need a license:

- Conferences (even virtual)
- Research
- Joint publications
- Payments
- Remote or online classwork
- Micro-campuses
- Software use

- Cuba
- Belarus
- Crimea
- Iran

- North Korea
- Syria
- Russia
What is NSPM-33?

Research Security Website link

NSPM-33 is a Presidential memo requiring all federal research funding agencies to strengthen and standardize disclosure policies. The memo also mandates research institutions to certify to the funding agency that it has an active research security program.
DISCLOSURE REQUIREMENTS: Mandatory and expanded disclosure requirements. The requirements will be standardized across federal funding agencies (to the greatest extent practicable).

UPDATE DISCLOSURES: Personnel must update their disclosures before an award of support, at least annually, and more frequently as agencies deem appropriate.

DIGITAL PERSISTENT IDENTIFIERS: Consistent use of digital persistent identifiers (DPI) across research agencies.
Export Controls & International Compliance
Core Services

- Export Clause Reviews
- Equipment Purchases
- International Shipping
- Restricted Party Screenings
- International Travel
- Sanctioned Countries Engagement
- License Applications
- Training
When should you contact the ECIC team?

- Shipping/exporting something outside the U.S.
- Working (virtually or abroad) with a sanctioned country
- Reviewing an agreement and you find a publication restriction
- Purchasing equipment that requires and export control certification
- Traveling abroad on university business with Northwestern equipment
- Performing work under an RFP/Agreement/Contract that is marked "Export Controlled"
- When you have a question related to improper foreign influence or research security
- You suspect a violation of export control laws or regulations has occurred
- Anytime you have a question!
It takes a village

Export controls and research security is a team sport!
Comments | Questions

Office for Research
Export Controls & International Compliance

Amy Weber, Senior Director
amy.weber@northwestern.edu
Research Security website

Protecting our values while meeting federal regulatory requirements
THANK YOU!!