

# URIC Administrative Meeting

## December 8th 2022

# Agenda

TOPIC	PRESENTER
Research news and reminders	Natalia Glubisz, Morgan Meredith and Amy Merino
HR Update	Beth Abbott
CERES update	Nick Angeloni
FY23 Forecast Dates and Projections	Harshika Kanwar
Guest Speaker: Export Control Overview	Amy Weber

# 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

Readiness survey coming soon!  
This will help us identify number of users

## 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.

# Research News and Updates

- [Post award link](#) is live

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

Educational Institutions	\$2,696,174.93
Federal Agencies	\$20,075,480.82
Foundations	\$967,667.00
Hospitals and Medical Centers	\$350,088.00
Industry and Trade Organizations	-\$533.00
Voluntary Health and Medical Organizations	\$262,254.48
<b>Grand Total</b>	<b>\$24,351,132.23</b>

*\*compared to \$9.8M in FY22*

- **Communicating with sponsors regarding fiscal matters**
  - Must share with ASRSP so that they can contact the sponsor/partner with you on the response
- **PILOT project: URICA open hours**

## 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
- Summary: <https://beta.nsf.gov/policies/pappg/23-1/summary-changes>

# HR Update

Beth Abbott (Associate Director, Administrative Services)



[Beth.abbott@northwestern.edu](mailto: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](mailto:n-angeloni@northwestern.edu)

# Where are we?

CERES  
System

Reporting

## PROGRAM SCHEDULE



# 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](mailto: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



# Example of Gift and Endowment Report Format Change

## Current GLo77 Format:

		Operating	Recharge	Cost Share	Grants	Total
		FY: 2023	FY: 2023	FY: 2023	FY: 2023	FY: 2023
		Budget	Budget	Budget	Budget	Budget
Revenues	<a href="#">Tuition &amp; Fees</a>	\$500,000.00	\$0.00	\$0.00	\$0.00	\$500,000.00
	<a href="#">Redistributed Tuition</a>	\$10,000,000.00	\$0.00	\$0.00	\$0.00	\$10,000,000.00
	<a href="#">Financial Aid</a>	(\$4,500,000.00)	\$0.00	\$0.00	\$0.00	(\$4,500,000.00)
	<b>Net Tuition &amp; Fees</b>	<b>\$6,000,000.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$6,000,000.00</b>
	<a href="#">Budget Appropriation-Calc</a>	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
	<a href="#">Budget Appropriation - Central</a>	\$5,000,000.00	\$0.00	\$0.00	\$0.00	\$5,000,000.00
	<a href="#">Grants &amp; Contracts - Direct</a>	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
	<a href="#">Endowment Distributions</a>	\$2,000,000.00	\$0.00	\$0.00	\$0.00	\$2,000,000.00
	<a href="#">Gifts</a>	\$1,000,000.00	\$0.00	\$0.00	\$0.00	\$1,000,000.00
	<a href="#">Sales, Services &amp; Other</a>	\$750,000.00	\$0.00	\$0.00	\$0.00	\$750,000.00
	<a href="#">Central Funding Transfer Reven</a>	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
<b>Revenues</b>		<b>\$14,750,000.00</b>	<b>\$0.00</b>	<b>\$0.00</b>		<b>\$14,750,000.00</b>

Complete excel file is due  
December 12th!

## Forecast Format:

		Operating	Gift and Endowment	Recharge	Cost Share	Grants	Total
		FY: 2023	FY: 2023	FY: 2023	FY: 2023	FY: 2023	FY: 2023
		Budget		Budget	Budget	Budget	Budget
Revenues	<a href="#">Tuition &amp; Fees</a>	\$500,000.00		\$0.00	\$0.00	\$0.00	\$500,000.00
	<a href="#">Redistributed Tuition</a>	\$10,000,000.00		\$0.00	\$0.00	\$0.00	\$10,000,000.00
	<a href="#">Financial Aid</a>	(\$4,500,000.00)		\$0.00	\$0.00	\$0.00	(\$4,500,000.00)
	<b>Net Tuition &amp; Fees</b>	<b>\$6,000,000.00</b>		<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$6,000,000.00</b>
	<a href="#">Budget Appropriation-Calc</a>	\$0.00		\$0.00	\$0.00	\$0.00	\$0.00
	<a href="#">Budget Appropriation - Central</a>	\$5,000,000.00		\$0.00	\$0.00	\$0.00	\$5,000,000.00
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	<a href="#">Gifts</a>		\$1,000,000.00	\$0.00	\$0.00	\$0.00	\$1,000,000.00
	<a href="#">Sales, Services &amp; Other</a>	\$750,000.00		\$0.00	\$0.00	\$0.00	\$750,000.00
	<a href="#">Central Funding Transfer Reven</a>	\$0.00		\$0.00	\$0.00	\$0.00	\$0.00
<b>Revenues</b>		<b>\$11,750,000.00</b>	<b>\$3,000,000.00</b>	<b>\$0.00</b>	<b>\$0.00</b>		<b>\$14,750,000.00</b>



CONFIDENTIAL



# Export Control Overview



**Amy Weber**

Senior Director, Export Controls and International Compliance  
[amy.weber@northwestern.edu](mailto: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**



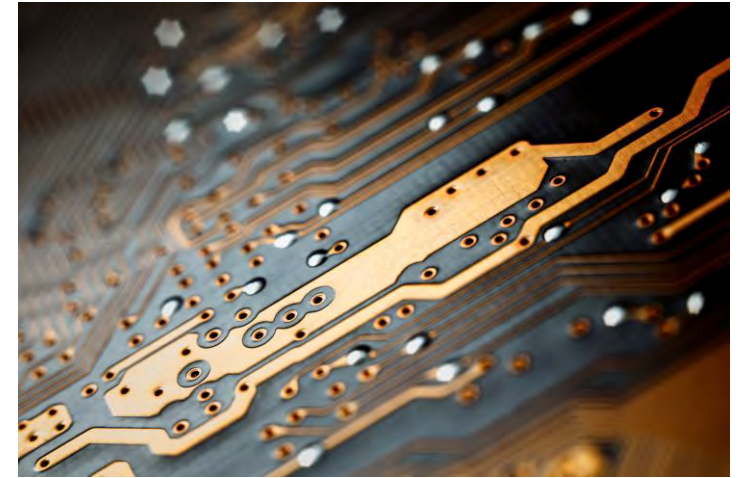
## **WHO**

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.



U.S. Agency	Regulates	Regulation
State	Military and Space Critical Technologies	International Traffic in Arms Regulations ( <b>ITAR</b> )
Commerce	Dual Use Technologies ( <b>Commercial and Military</b> )	Export Administration Regulations ( <b>EAR</b> )
Treasury	Sanctioned Countries & Individuals	Office of Foreign Asset Controls ( <b>OFAC</b> )



# 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:
  - publication restriction
  - foreign person restriction
  - 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





## 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



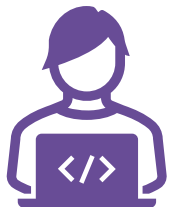
# Disclosures



**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

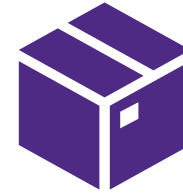
## Core Services



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 an 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](#)

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[Research Security website](#)

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THANK YOU!!