

# Research Administration Brown Bag Series

December 12, 2023



**Northeastern  
University**

# Agenda

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- NU-RES Admin Updates
- Data/Systems Updates
- NU-RES Finance Updates
- NU-RES Compliance Updates
- Upcoming Events

# NU-RES Admin Updates

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## NIH Updates:

- [NOT-OD-24-029](#): Clarification of Implementation of the NIH SBIR and STTR Foreign Disclosure Pre-award and Post-Award Requirements.
  - Revises guidance to outline the fact that generally, for competing applications submitted for funding under the NIH, CDC, and FDA SBIR and STTR programs for due dates on or after September 5, 2023, NIH, CDC, and FDA will not mitigate security risks identified as part of the due diligence program.
  - Sections regarding risk mitigation have been modified (see following slides for bold and highlighted changes).

# NU-RES Admin Updates

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## Denial of Awards

Applicants and recipients are encouraged to consider whether their entity's relationships with foreign countries of concern will pose a security risk. Prior to issuing an award, NIH, CDC, and FDA will determine whether the SBC submitting the application:

- has an owner or covered individual that is party to a malign foreign talent recruitment program;
- has a business entity, parent company, or subsidiary located in the People's Republic of China or another foreign country of concern; or
- has an owner or covered individual that has a foreign affiliation with a research institution located in the People's Republic of China or another foreign country of concern.

A finding of foreign involvement with countries of concern will not necessarily disqualify an applicant. Final award determinations will be based on **the above finding of foreign involvement and** whether the applicant's involvement falls within any of the following risk criteria, per the Act:

- interfere with the capacity for activities supported by NIH, CDC, or FDA to be carried out;
- create duplication with activities supported by NIH, CDC, or FDA;
- present concerns about conflicts of interest;
- were not appropriately disclosed to NIH, CDC, or FDA;
- violate Federal law or terms and conditions of NIH, CDC, or FDA; or
- pose a risk to national security.

**Generally, NIH, CDC, and FDA will not provide SBC applicants the opportunity to address any identified security risks prior to award.**

NIH, CDC, and FDA will not issue an award under the SBIR/STTR program if the covered relationship with a foreign country of concern identified in this guidance is determined to fall under any of the above criteria provided.

# NU-RES Admin Updates

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## Post-Award Reporting Requirements

Recipients are responsible for monitoring their relationships with foreign countries of concern post-award, for any changes that may impact previous disclosures. SBCs receiving an award under the SBIR/STTR program are required to submit an updated disclosure form to report any of the following changes to NIH, CDC, and FDA throughout the duration of the award:

- any change to a disclosure on the disclosure form;
- any material misstatement that poses a risk to national security; and
- any change of ownership, change to entity structure, or other substantial change in circumstances of the SBC that NIH, CDC, and FDA determine poses a risk to national security.

***Regular, annual updates are required at the time of all SBIR/STTR annual, interim, and final Research Performance***

***Progress Reports (RPPRs). For changes that occur between RPPR submissions,*** updated disclosure forms are required within 30 days of any change in ownership, entity structure, covered individual, or other substantive changes in circumstance, as described above. Recipients will be required to upload these updated disclosures using the Additional Materials (AM) tool in eRA Commons. System enhancements to facilitate these uploads are underway, with an anticipated deployment in calendar year 2024. The RPPR Instruction Guide will be updated to reflect this process.

If the recipient reports a covered foreign relationship that meets any of the risk criteria prohibiting funding described in this guidance, NIH, CDC, and FDA may deem it necessary to terminate the award for material failure to comply with the federal statutes, regulations, or terms and conditions of the federal award. [Refer to Section 8.5.2 Remedies for Noncompliance or Enforcement Actions: Suspension, Termination, and Withholding of Support](#) for more information. Recipients are encouraged to monitor their covered foreign relationships post-award and avoid entering into relationships, both funded and unfunded, that may pose a security risk and jeopardize their ability to retain their award.

# NU-RES Admin Updates

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## NIH Updates:

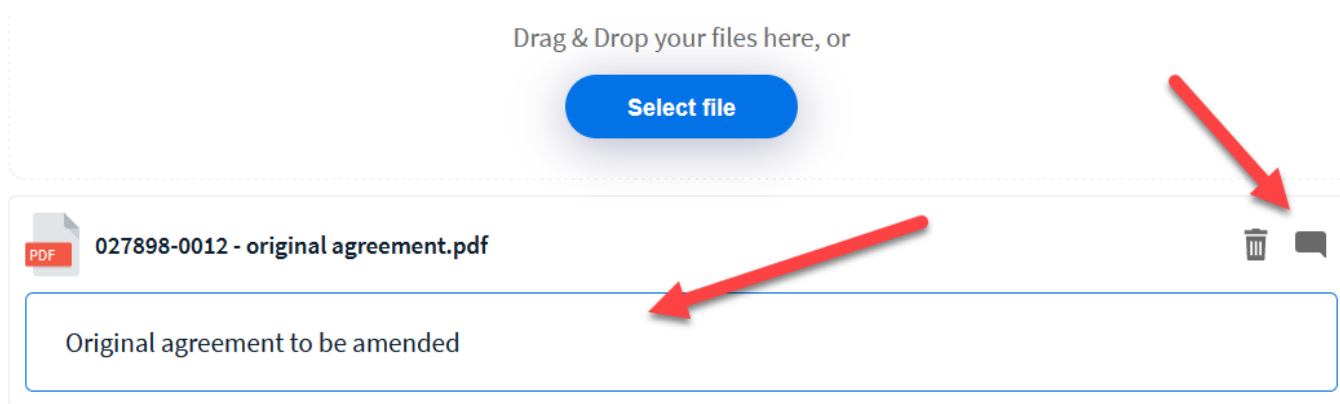
- NIH Data Management and Sharing Town Hall
  - Thurs, Dec 14, 1:00-2:30 pm ET.
  - [Register here.](#)

# NU-RES Admin Updates

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## Contracts tip of the month:

Using the Comment feature when uploading files allows you to provide useful information and context regard what a file is and why it's been uploaded.



# Data/Systems Updates

- *Coming soon....* **Research Theme will be multi-select**; selecting 'Other' will present another dropdown to **select additional multi-select sub-theme(s)**
- *Coming soon...* **New Golden reports that tally ePAWs attribution by affiliation**
  - Dollars requested (proposals) and Dollars received (awards)
- *Coming soon...* **Website refresh**: team of NU-RES + College admins working to improve usability over the next several months
  - First up: **List of college admins** currently a PDF on the Resources and Tools page; **working to make it a searchable interactive dropdown** by:
    - PI
    - College Administrator
    - Pre Award Support
    - Post Award Support
    - College
  - Updates to the list will be submitted via a wufoo form to the Help Center





# NU-RES Finance Updates

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- Rebudget Process
  - All requests through Banner\_Setups inbox
  - Process begins with RFA review & Data team completes in Banner
- FFR and Final invoices due at the end of this month must be finalized by next week (12/18-12/22)

# NU-RES Compliance Updates

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- NU-RES Summer 2024 Boston Research Administration Conference
- Date is set for Wednesday and Thursday, June 12 and 13
- 18 concurrent sessions
  - 3 tracks (pre-award, post-award, other)
- 2 professional development sessions
- 2 - 3 faculty/guest speakers
- 1 - 2 group activities
- Post-conference networking

- Conference Planning Committee Members:
  - **Morgan Fielding**, NU-RES Compliance
  - **Tessa Dinnie**, Bouve
  - **Heidi Copeland**, NU-RES Finance
  - **Whitney Schorr**, NU-RES Hub
  - **Paula Robinson**, NU-RES Compliance
  - **Anita Balgopal**, HRPP
  - **Juan Carlos Hincapie**, COE
  - **Meg Connolly**, NU-RES Finance
  - **Erik Williams**, HRPP
  - **Dana Chyung**, NU-RES Admin
  - **Chris Tiller**, NU-RES Finance
  - **Joan Cyr**, NU-RES Systems & Ops
  - **Wilson Mazile**, NU-RES Compliance
  - **Amanda Humphrey**, NU-RES Compliance
  - **Joe Croscup**, NU-RES Admin
  - **Kalina Mathurin**, NU-RES Finance
  - **Dziyana Aydin**, NU-RES Systems & Ops

# NU-RES Compliance Updates

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- Pilot: "Incoming Faculty – Proposal & Award Transfer Checklist"
  - Distributed via listserv after the September Brown Bag
  - Goal: simplifying part of the PI intake process
  - If you used the transfer checklist please provide feedback before winter break
    - Email [researchcompliance@northeastern.edu](mailto:researchcompliance@northeastern.edu)
  - A working group will be reviewing the feedback for improvements after winter break

# NU-RES Compliance Updates

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- The Northeastern Research Allowability Advisory Panel members:
  - Morgan Fielding, Associate Director of Training and Learning, NU-RES Compliance
  - Heidi Copeland, Associate Director – Research Finance, NU-RES Finance
  - Christa Gonsalves, Associate Director – Sponsored Accounts, NU-RES Finance
  - Virginia Davis, Assistant Director, Center for Cognitive & Brain Health
  - Evgeniia Kagramanova, Associate Director – Finance & Administration, Institute for the Wireless Internet of Things (WIoT)
  - Wajma Yusufzai, Senior Grant Administrator, CSSH
  - Tina Mazuzan, Senior Post-Award Administrator, NU-RES Hub
- Inquiries can be submitted [here](#)

# Upcoming Events

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- [Virtual Satellite Office Hours](#), Thursdays 1:30 - 2:30 PM EST
- Winter break starting at the end of next week through Monday, January 1, 2024!

NU-RES and You!

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Thank You!

See you in January!

