

Research Administration Brown Bag Series

March 12, 2024



**Northeastern
University**

Agenda

- NU-RES Admin Updates
- Data/Systems Updates
- NU-RES Finance Updates
- NU-RES Compliance Updates
- Upcoming Events
- Brad Wing from OIS presenting on CUI

NU-RES Admin Updates

NIH Update

- [NOT-OD-24-061](#): NIH Guidance on Marking Changes in Resubmission Applications
 - Use of markups such as bracketing, indenting, highlighting, bolding, italicizing, underlining, margin lines, change in typography, font, or font color, or any other type of markup should not be used to identify changes in Resubmission applications.
 - Resubmission changes should only be outlined in the Introduction attachment.
 - include summary of substantial additions, deletions, and changes.
 - include response to weaknesses raised in the Summary Statement.
 - Unless indicated in the [Table of Page Limits](#), Introduction may not exceed one page.
 - Effective May 25, 2024

NU-RES Admin Updates

- Contract Checklists available for reference in eCLAWs
- NU-RES' research templates differ from OGCs and are available at: <https://nu-res.research.northeastern.edu/all-resources/>

CONTRACT REVIEW CHECKLIST			TRACKING No.:	RECEIPT DATE:	REVIEWER:
Previous Contract with Company?			<input type="checkbox"/> Yes <input type="checkbox"/> No	Statement of Work Attached?	<input type="checkbox"/> Yes <input type="checkbox"/> No
			Proposal No.	<input type="checkbox"/> N/A	
FEE FOR SERVICE VS. RESEARCH INTAKE QUESTIONS					
YES	NO	N/A			
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Are the results of the research (IP, data, etc.) made available to the public on a non-discriminatory basis?		
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Is the research performed for the US or State or Municipal entity?		
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Is the research directed toward benefiting the public (e.g. results are not just to benefit a for-profit entity)?		
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Was the research project in response to an Industry RFP/Bid?		
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Does the contract provide NU goods or services?		
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Is the provision of goods or services related to a University exempt purpose?		
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Are NU students involved in the project?		
TERMS & CONDITIONS - IF NU TEMPLATE NOT USED/ IS MODIFIED					
DATA/OTHER PARTY INFORMATION					
YES	NO	N/A			
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Does NU own the data and results of the study?		
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Will the data and/or results be jointly-owned by NU and the Other Party?		
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Does the Study Require the Use of the Other Party's Confidential Information, Data or Materials?		
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Do students have access to the Other Party's Confidential Information, Data or Materials?		
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	If students have access to the Other Party's Confidential Information, will that information be needed to fulfill the student's academic requirements?		
CONFIDENTIALITY:					
YES	NO	N/A			
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Information clearly marked at time of disclosure		
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Excludes Trade Secrets		

Data/Systems Updates

COMING SOON!

- ePAWs: Grant Officer ability to lock/unlock documents from deletion
 - *Allows GO to prevent an already reviewed document from deletion, preserving review notes*

Attachments			Last Updated By	Version
<input type="checkbox"/> * Budget:	Budget Description	Choose File		
<input checked="" type="checkbox"/> * Budget Justification:	Budget Justification Des	Choose File	APPROVED AS TO FORM2.pdf	1
<input type="checkbox"/> * Abstract:	Abstract Description	Choose File	abandon.XLS	1
<input type="checkbox"/> Full Application:	Full Application Descripti	Choose File	3. FRAXA Budget Justification ...	1

Data/Systems Updates

COMING SOON!

- eCLAWs: New Compliance Review function
 - *Allows GO/CO to indicate any compliance related issues to the contract once it's completed in workflow*

Home / eCLAWs / My Contracts & Agreements / 24-C-00075 Cyr Boeing 20240223

24-C-00075 Cyr Boeing 20240223 \$ 10,000.00 RESEARCH & INNOVATION SUBAWARD OUT - NU-RES-INITIATED

REVIEW COMPLETE

Contract / Agreement Data

Route Log

Compliance

Summary

Checklist

File Cabinet

Related Records

Informational Requests

Compliance: Summary

Compliance Issues

IACUC : Animals

Review Compliance Checklist

EDIT the risk level for the record, not the External Party

EDIT

Risk Index

No Low Middle High

Last Comment

Cyr, Joan M. confirmed Risk Index with comment at 03/11/2024 03:10 PM "Animal testing"

View Risk Index History

Home / eCLAWs / My Contracts & Agreements / 24-C-00075 Cyr Boeing 20240223

24-C-00075 Cyr Boeing 20240223 \$ 10,000.00

Contract / Agreement Data

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Informational Requests

Compliance : Checklist

IACUC : Animals

Animal Stem Cells

Animals

BIO : BioSafety

Equipment : Equipment

Data/Systems Updates

- eCD annual disclosure cycle closes Friday 3/15...Don't forget to disclose any potential conflicts....and remind your Faculty to do the same!
- We're Hiring!
 - **Data Quality and Research Administration Analytics Manager**
 - Received 37 resumes!
 - First round interviews complete; 2nd round scheduling this week...
 - We are looking for a data hound... some who knows Research Admin & is a geek about Data Analysis



NU-RES Finance Updates

Welcome, Amy Gill!

Contact

Amy Gill

Research Finance Analyst

Am.Gill@Northeastern.edu

617-373-4143 (VoIP)

Portfolio

- Bouvé College of Health Sciences
- Center for Drug Discovery
- College of Social Sciences & Humanities
- Education Innovation
- Library
- Mills College at Northeastern

****Note for all NU portfolios:** Please route all non-K2 expense reimbursements, international DPAYs, residual balance transfer requests, and SSB REQ backup to Research_Finance@northeastern.edu .

NU-RES Finance Updates

- February financial close completed on Friday 3/8/24, but we are seeing some variances with IDC.
 - Possibly due to PDC feed that did not get picked up in overnight IDC allocations. RF team working with ITS to resolve.

NU-RES Compliance Updates

- NU-RES Summer 2024 Boston Research Administration Conference
 - Wednesday and Thursday, June 12 and 13
 - Daily 9:15 AM – 4:30 PM
 - Post-conference networking 4:30 PM – 5:30 PM
 - In-person on the Boston Main Campus, ISEC Building
- Conference Session Topics:
 - Contracts best practices/Gatekeeper
 - Other Support Documents (SciENCv, ORCID, Biosketch, C&P, COA, etc.)
 - Building effective proposal budgets
 - Data analytics
 - IRB for administrators to effectively help faculty
 - NU's growing global campus network
 - Capital asset management
 - Data management and associated costs
 - Subrecipient monitoring best practices and audits

- Conference Session Topics (continued):
 - Uniform Guidance revisions
 - Cost transfers and audit impacts
 - Award reconciliation and closeout best practices
 - Billing and cash management audit risks: systems and reporting
 - The interplay between research administration offices, departments, and business processes
 - Effective faculty management (PI transfers in and out, roles in the process)
 - Research security (insider threats, foreign influence, international collaboration, cybersecurity)
 - Conflict of interest panel (HRPP, Research Compliance, University Compliance)
 - Trust and Verification in research compliance
 - F&A proposals, space surveys, and audits

NU-RES Compliance Updates

- Reminder to utilize the Incoming Faculty – Proposal & Award Transfer Checklist
 - Feedback can be emailed to researchcompliance@northeastern.edu
 - The feedback provided will help in the development of a session for the 2024 Summer Research Administration conference

NU-RES Compliance Updates

- NSF Research Security Training Modules

- The U.S. National Science Foundation, in partnership with the National Institutes of Health, the Department of Energy and the Department of Defense, is sharing online research security training for the research community.
- This training provides recipients of federal research funding with information on risks and threats to the global research ecosystem — and the knowledge and tools necessary to protect against these risks.
- [Research Security Training Page](#)

Upcoming Events

- [Virtual Satellite Office Hours](#), Thursdays 1:30 - 2:30 PM EST
- [NYU's Research Administration Demonstration series \(RAD\) registration](#)
 - [NYU RAD Website](#)
- [RCR Workshop Calendar and Registration](#)
- RCR Workshop: Intellectual Property, Commercialization, and Technology
 - Wednesday, March 13 at 12:00 PM EST
 - Presenters: CRI, Mark Saulich, Associate Director – Commercialization; Myron Kassaraba, Director of Commercialization; Katie Hemphill, Director – Technology Venture and Talent Network; Lin Qin, Senior Director – University Compliance
- RCR Workshop: Human Subject Research Protections and IRB
 - Wednesday, April 3 at 12:00 PM EST
 - Presenters: Anita Balgopal, Executive Director – HRPP; Erik Williams, Senior Coordinator – HRPP
- Updates to the NSF Proposal and Award Policies and Procedures Guide (PAPPG) (NSF 24-1) Webinar
 - Tuesday, March 12 from 2:00 PM EST – 3:00 PM EST
 - Free registration: <https://nsfpolicyoutreach.com/2024-pappg-webinar/>
- NCURA Live Webinar: "NSF Fundamentals Virtual Workshop"
 - Wednesday, March 20 at 2:15 PM EST
 - Extra Login Registration Link: <https://onlinelearning.ncura.edu/p/240320NSFWSXL>

CMMC TEAM

CUI TRAINING





AGENDA

WHAT IS CUI?

WHY CAN'T OUR NU EMAIL HANDLE CUI?

WHERE CAN I RECEIVE CUI?

HOW DO I GET A GCC ACCOUNT?

WHAT DO I DO IF SOMEONE SENDS CUI
TO MY NU ACCOUNT?

HOW CAN I REDUCE CUI SPILLAGE?

WHAT IS CUI?



CONTROLLED
UNCLASSIFIED
INFORMATION



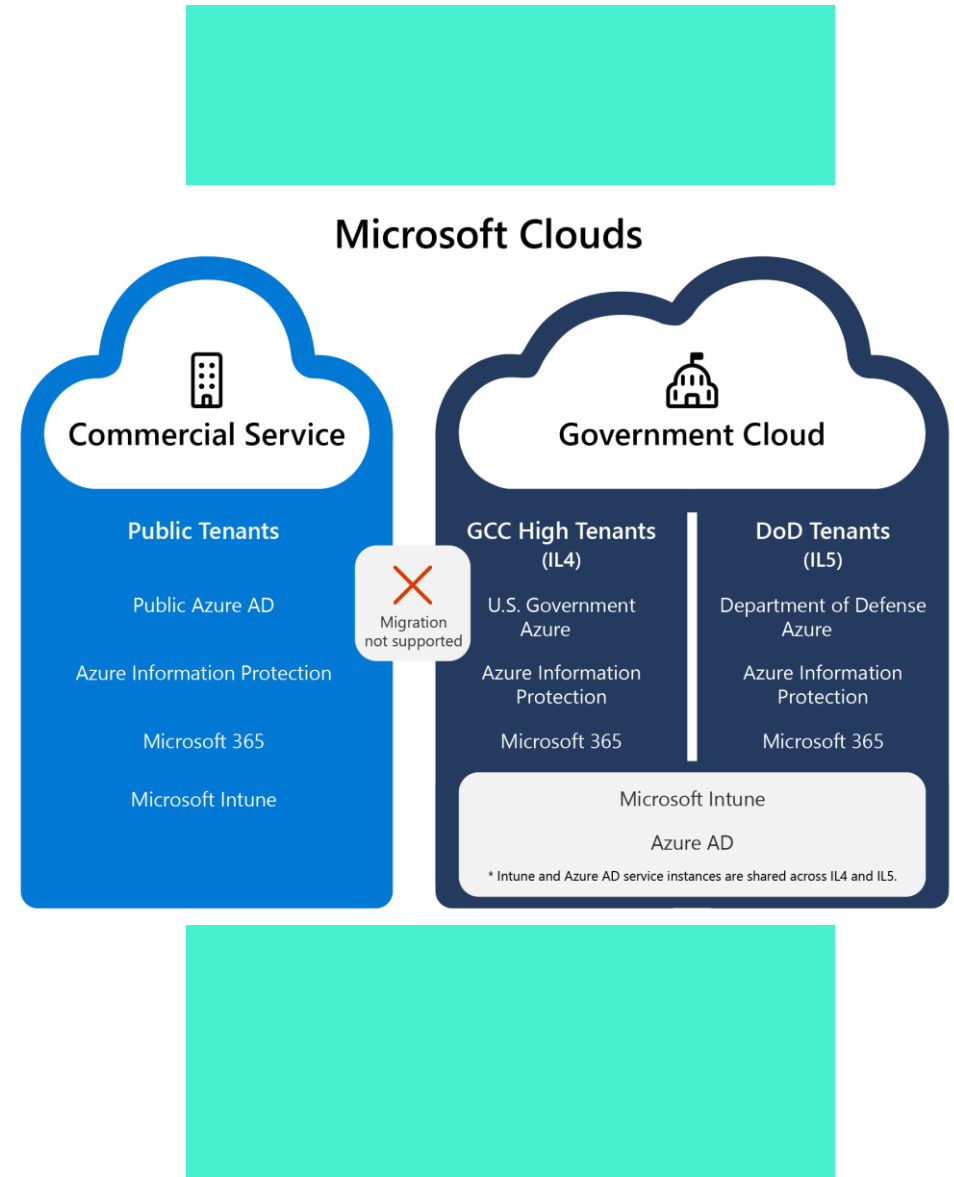
Controlled Unclassified Information (CUI) is information about the US government that requires safeguarding. We want to keep national secrets safe from those who could do harm to the US.

There are government mandated rules and regulations around the kinds of systems and processes that must be in place to safely handle CUI.

WHY CAN'T OUR NU EMAIL HANDLE CUI?

DIFFERENT SYSTEMS FOR DIFFERENT NEEDS

- Northeastern University has made the explicit decision to separate our email systems.
- GCC High is the Microsoft platform we use to handle CUI. It is leveraged by multiple labs and departments across NU.
- The Commercial Service is Microsoft's platform for everyday users who do not have specific regulatory requirements. (@northeastern.edu)



WHERE CAN I RECEIVE CUI?

We have a CUI compliant information system called GCC High. This is a Microsoft 365 account where users can use all the same Office apps you use with your standard NU account, but in a system that is highly regulated and maintained for government compliance.

CUI Emails:

@gcc.northeastern.edu and @kri.northeastern.edu



HOW DO I GET A GCC ACCOUNT?



1. You must handle, or expect to handle CUI, on a semi-regular basis.
2. If you have a need for an account, you can reach out to the ISSO of the KRI, ECUAS, or SDE lab, the CMMC Program Manager, or Nu-Res to request one.
3. You must purchase a CUI compliant laptop or be assigned a VDI license. (We are in the process of testing and deploying the VDI licenses.)
4. We require US citizenship for all GCC accounts because of the possibility of NOFORN markings in the environment.

WHAT DO I DO IF SOMEONE SENDS CUI TO MY NU ACCOUNT?

DO NOT FORWARD

Do **not** reply to the message or forward to anyone else.

Let everyone know in a separate email or Teams message to do the same.

Do **not** save it to any location (desktop, documents, OneDrive, or SharePoint)

NOTIFY

Email the CMMC team at the **CMMC Program mailbox at cmmc_program_office@northeastern.edu**.

Include the senders name, contact info, date and time sent, subject of email, and their company or government agency they work for.

CONFIRM

Confirm with the sender or the originator of the document that the information is truly CUI and not mismarked.

Mismarking is common so it is vital to check first.

The CMMC PM will assist with this if needed.

REPORT

Once the information is confirmed as CUI, the CMMC PM kicks off the incident response plan.

There is a 72 hours reporting requirement to let the government know we have had a spillage on a noncompliant system.

ANALYSIS AND RECOVERY

OIS will make sure to purge the information from our environment and confirm only authorized users accessed the file.

The user who originally discovered the spillage is usually leveraged throughout this process for information.

HOW CAN I REDUCE CUI SPILLAGE?

Proactively let our external partners and government agencies know they cannot send CUI to any @northeastern.edu email address. The more of them that know, the fewer incidents we will have.

An official notice meant to be shared with those partners and agencies is making its way through a comms consult right now. More to come on that later.

Be on the lookout for data classification markings with emails and attachments you receive from external senders.



CMMC AND CUI REFERENCES

- Report CUI Spillage SOP
 - https://northeastern.service-now.com/tech?id=kb_article_view&sysparm_article=KB000021896
- CUI Incident Response Plan
 - https://northeastern.service-now.com/tech?id=kb_article_view&sysparm_article=KB000021595
- CUI Onboarding SOP
 - https://northeastern.service-now.com/tech?id=kb_article_view&sysparm_article=KB000021582
- CMMC User Agreement
 - https://northeastern.service-now.com/tech?id=kb_article_view&sysparm_article=KB000021594
- CUI Handling and Management SOP
 - https://northeastern.service-now.com/tech?id=kb_article_view&sysparm_article=KB000021587
- CUI Incident Response Policy
 - https://northeastern.service-now.com/tech?id=kb_article_view&sysparm_article=KB000021828
- [CUI Categories | National Archives](#)

THANK YOU

Brad Wing

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NU-RES and You!

Thank You!

See you in April!

