

International Travel Across the Research Lifecycle

Research Lifecycle



Why are we talking about this?

Financial
Requirements

- Fly America Act
- NSF/OIG audits

Research Security
Requirements

- NSPM-33

NSPM-33 Foreign Travel Security Requirements

- Agencies should require that research organizations maintain international travel policies for faculty and staff traveling for organization business, teaching, conference attendance, research purposes, or any offers of sponsored travel that would put a person at risk.
- Such policies should include an organizational record of covered international travel by faculty and staff and, as appropriate, a disclosure and authorization requirement in advance of international travel, security briefings, assistance with electronic device security (smartphones, laptops, etc.), and preregistration requirements.

Export Controls & Research Security

Export Controls

• Export controls are laws and regulations that regulate the movement of goods, technology, and funds between countries. Their purpose is to protect the security of the United States, sensitive technologies, and prevent the spread of information or goods that could threaten the country or its allies.

- ITAR (military/defense)
- EAR (commercial/dual-use)
- OFAC (trade sanctions/embargoes)

- NSPM-33
- CHIPS & Science Act

Research Security

• Safeguarding the research enterprise against the misappropriation of research and development to the detriment of national or economic security, related violations of research integrity and foreign government interference.

Risks of International Travel

IP

- Bad actors want to steal research IP – especially that which is related to military/defense
- Some types of data and/or tangible items require export control licenses to travel outside of the US
- At border crossings, agents have the authority to seize your device and any IP that may be on there

Cybersecurity

- Use NU VPN
- Avoid using public wifi
- Don't let people plug external devices into your device
- Some countries have restrictions on the import and use of encryption tools
- If unable to secure a loaner laptop, make sure to remove everything from the hard-drive of device and store in NU approved cloud environment

Collaboration

- Don't enter any verbal or written agreements without first consulting with NU-RES
- Be wary of what types of questions people ask, especially if you work in the sensitive/controlled research realm
- Restricted party screening (RPS) should be conducted at the individual, entity and project level prior to entering any international collaborations

Federal Funding

- Some federal funding agencies have funding restrictions for collaborating with certain countries
- Faculty should not enter any agreements (verbal or written) without first consulting with NU-RES (RPS, due diligence, etc.)

Controlled/Sensitive Research

- Faculty who partake in federally funded controlled/sensitive research should take extra precautions when traveling internationally
- GCC High laptops are NOT to be taken abroad
- Loaner laptops are required
- Do not download any sensitive or research related information to the loaner laptop
- Sensitive research should not be accessed when traveling abroad

Proposal Stage

- Travel is a direct cost typically associated with research projects
- Domestic and foreign travel associated with the proposed project should be specified
- Some agencies define Mexico and/or Canada as domestic travel
- Travel costs must benefit the proposed project and are typically associated with fieldwork and attendance at scientific meetings for the purpose of presenting project findings and/or results
- Airfare costs should be benchmarked with US Fly Carriers per the Fly America Act

Project Set Up

- Participant Support Costs
- Uniform Guidance definition “Direct costs for items such as stipends or subsistence allowance, travel allowance, and registration fees paid to or on behalf of participants or trainees (but not employees) in connection with the conference, or training projects.”
- Familiarize yourself with Fly America Policy and NU Travel Policies, including
 - The requirement to register travel with the Travel Registry per the [Policy on Requiring Registration of University Travel](#); and
 - The [Policy on Travel to High-Risk or Sanctioned Destinations](#)

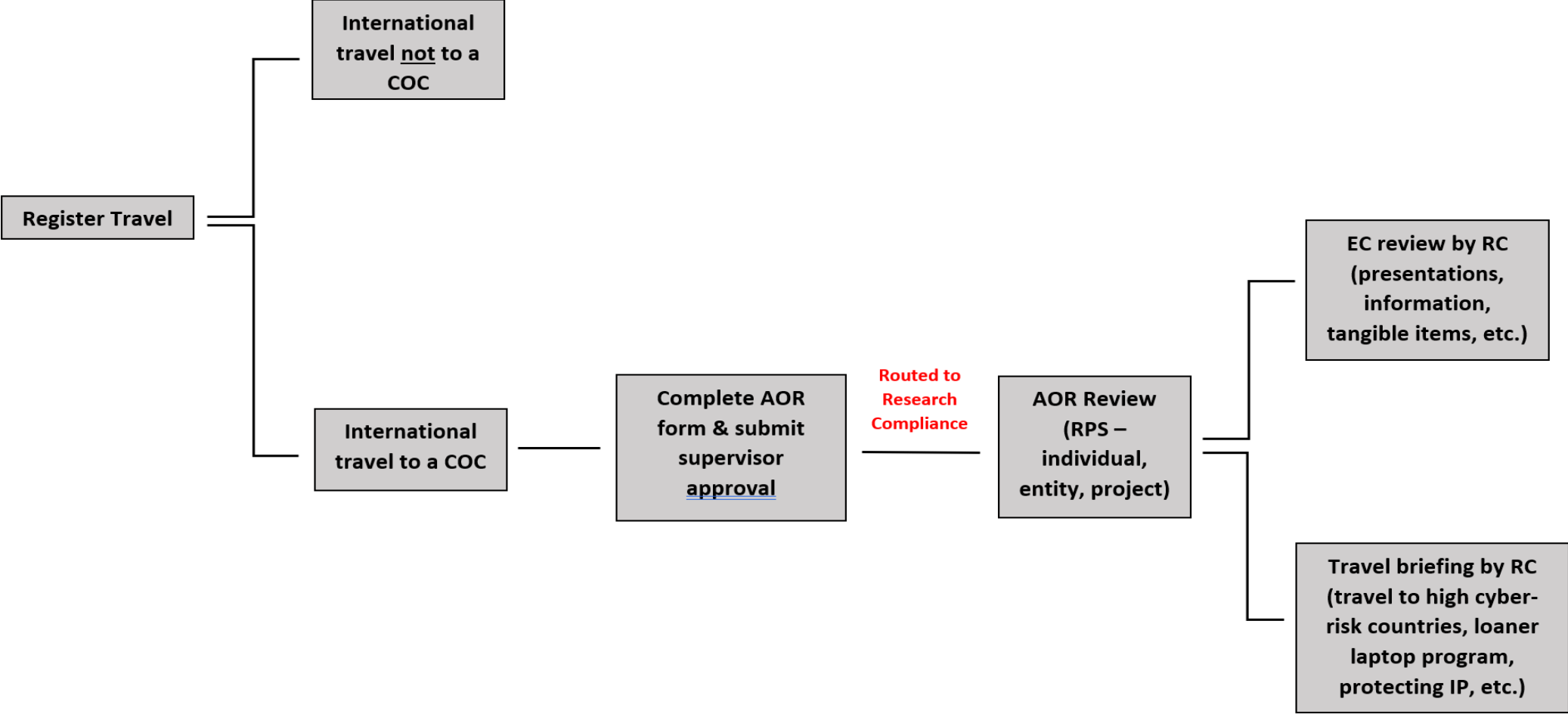
Project Management

- Need supervisor approval for foreign countries of concern (COC)
- If faculty are traveling to a COC, any materials/presentations they take with them will need to be reviewed for export controls
- Complete the Acknowledgement of Risk (AOR)
 - Where they are going
 - Why they are going
 - Who they will be seeing/working with (institution, conference, research, international faculty)
- If traveling to a COC, AOR form will be routed to RC for restricted party screening and a travel briefing scheduled (must be completed prior to travel)

Intersection with Research Compliance

- Faculty and staff traveling to certain countries will be routed to Research Compliance for a review on Export Controls and Research Security. Countries include but are not limited to:
 - Cuba
 - Syria
 - Crimean, Donetsk, and Luhansk Regions of Ukraine
 - Sudan
 - North Korea (NSF Country of Concern)
 - Russia (NSF Country of Concern)
 - China (NSF Country of Concern)
 - Iran (NSF Country of Concern)

Travel Approval Workflow to Research Compliance



Case Studies

#1: Export Control Concerns

Concerns	Actions Taken	Outcome
<ul style="list-style-type: none">• PI conducts battery research• Presenting at a university flagged on the uni tracker as high risk• Traveling to China (COC)• Needs loaner laptop (clean device)	<ul style="list-style-type: none">• Asked the PI to register his travel• Reviewed submitted AOR form• Met with Research Compliance to for export controls review of presentation and travel briefing	<ul style="list-style-type: none">• Faculty member purchased a brand-new laptop for the trip; travel briefing discussed not loading anything sensitive/not published onto the device• Presentation was modified slightly to comply with export control concerns• Faculty member successfully registered his travel

#2: Research Concerns

Concerns	Actions Taken	Outcome
<ul style="list-style-type: none">• PI conducts wind energy research (emerging technology area)• Traveling to COC• Needs loaner laptop (clean device)• Currently on sabbatical outside of the US	<ul style="list-style-type: none">• Asked the PI to register his travel• Reviewed submitted AOR form• Met with Research Compliance for travel briefing• Informed about loaner laptop program for future travel	<ul style="list-style-type: none">• Faculty member successfully registered his travel• Advised the faculty member to work with OIS to store any research data on university approved cloud environment• Aware that his research may be of interest to other gov'ts and that he should take precautions on what he discusses about current research not in the public domain

#3: Register Travel or Not?

Concerns

- Traveling to a COC
- Did not know they needed to register their travel – what is considered University Travel?
- Needs loaner laptop (clean device)
- Requested faculty member register travel and complete AOR form
- Does not work on any controlled/sensitive research or on any emerging technology fields

Actions Taken

- Reviewed submitted AOR form
- Met with Research Compliance for travel briefing
- Informed about loaner laptop program

Outcome

- Due to time constraints, faculty member was informed of IP concerns and ensured they would remove any of their research data from their computer
- Informed faculty member that although they were not being reimbursed by the university for the trip, they still need to register their travel per the definition of “University Travel”



Questions?

Contact Information

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