# ROC Meeting Notes
## Wednesday, June 8, 2022
## 9:00 – 10:00 AM

**Gina Hedberg, Sponsored Projects Administration**

- Introduction of New People – Bryant Smilie, A&S pre-award grants administrator; Maddy Anderson, A&S post-award grants specialist; Elizabeth Lopez – College of Nursing accountant; Julie Flowers – Health Systems Grant Administration, Assistant Director; Ann Griffin – HSGA Grant & Contract Analyst: Kaitlyn Falks – Academic Affairs Grants & Contracts Manager – post award; Elizabeth Howell – Grant Accountant; Ben Kearns – Assistant Director, Sponsored Projects Administration; Katie Kitsos – Internal Audit; Terri Lefeaux – working with four big A&S projects. Arnedra Wilson – ORED.

**Dusty Layton, Office of Research Compliance and Assurance**

- New IRB Administrator – Caroline Gratton

- REDCap: International Shipping Request – helps capture and evaluate international shipments needed due to recent incidences in university settings – for example, Princeton University was fined because there were 37 separate incidences where potential biological products and animal pathogens with specific countries of destination that were different countries of destination. These products were considered to be controlled on the EC list. When certain items are considered controlled or have a specific destination they can have restrictions placed upon them; and if they do, in some instances, we are required to obtain a license prior to shipping to certain items to certain individuals and certain places. Another similar incidence where an institution was fined happened at the University of Massachusetts at Lowell where they were shipping atmospheric sensing equipment to Pakistan and the place they were shipping, not controlled equipment, but the entity they were shipping to was put on the debarred list by the Federal government. Angela W: Currently working with the University's REDCap team on creating a form that will be required to complete with any international shipping. The Compliance office will review this and do a restrictive party screening to see if any of the shipments need a license. You will then receive a letter that would either say you can move forward with the shipment or to hold off, we might have to request a license prior to shipment; or, shipment may not be able to take place. Also, there will be resources available on the application as well such as restricted chemical list, restricted biological agents list. Of course, if you have any questions or are unsure about the shipment, you can contact either Angela or Dusty. We are also working on a University announcement so that we can disseminate this broadly throughout the University system and will provide a link to the website that will go straight to the Redcap platform and open up what will be called an "International Shipping Survey Questionnaire" form which will be very accessible and easily attainable. The program is user-friendly, but there will be a user guide available. Also, if need be, we can come out to the departments or administrative offices to go into a bit more detail as to the why's and how to utilize the platform. It will take a little bit of education to get people to understand that this is something that has to be done each time with the help of the departmental offices to make sure faculty are complying with the request for screening international shipments.

**Deborah Musgrove, Sponsored Projects Administration**

- NSF Biosketches: Since NSF has changed the required format for the biosketches and current and pending support documents, Cayuse does not catch that it is not in the correct format, we typically catch this but, lately we have received some late submissions and have not been able to review before submitting the proposal, so the portal system kicks the proposal back. We had a last minute proposal last week and it kept kicking the proposal back with UEI issues and current and pending issues, unfortunately, did not make the deadline. But, since we were able to show that we were using the correct UEI for the subcontractor, we reached out to NSF and they graciously granted us an extension, which typically does not happen. If you will, help us keep an eye on that because they have to be in that format. Also, we believe that NSF is changing it to where it has to be in the SciENcv format within the next couple of months. Also, in January 2023, NSF is moving to research.gov submissions only and will not allow anything through FastLane anymore. It was originally thought that, because we cannot submit to research.gov now via 424 that we would not be allowed do that. But we recently found out that research.gov will accept grants.gov submissions.

- Gina: sciENcv – this is a repository that investigators can put their information in and can control their information that is held under the NIH via NILM. It can be kept by them and can be purposed into these different formats for NSF and NIH biosketch and current & pending support so that you and/or the investigators do not have to keep doing these forms. sciENcv allows investigators to use this repository of information and will generate these forms for them. The data is controlled by the investigator only.

**Karmen Holmes, Heather Wainwright, Sponsored Projects Administration**

- Revised Agreement Checklist/Modification Form: SPA has updated the Agreement Checklist by combining the Agreement Checklist and Modification form into one to make it more efficient. This has been posted on the SPA's forms page. The top part of the form is the agreement checklist for new agreements (Sections I, IIa &b). If you mark "yes" on question 5 in Section I, please move down to Section III and complete both A and B.

**David Furman, Information Security & Risk Compliance**

- Updates – National Security Presidential Memorandum (NSPM 33): Referring to the research security requirement on Federal funding agencies and on any institution that receives more than $50 million in Federal research funds on an annual basis. The requirement for Federal agencies is that they are required to harmonize their notification requirements and disclosures so that once it goes into effect there will be identical disclosure requirements for NSF, NIH, DOD, etc.; it will hopefully standardize across the Federal government. The second requirement is on the research institutions, and it mandates the creation of a Research Security Program for all institutions that receive more than $50 million in Federal research funding on an annual basis. USA is not yet at that level, but we hope to be sometime within the next couple of years. The comment period for NSPM 33 is closed and there is still no specific requirements and guidelines from the Federal government but b/c the comment period is closed, we are hoping to have something w/in the next month or so and hopefully by the next ROC meeting we will have some specific standards that the government will be requiring.

- CMMC is the cyber standards that the government is imposing which stands for Cybersecurity Maturity Model Certification. These standards are mainly being put on DOD projects for right now that have CUI – information that is unclassified but because it is sensitive and usually DOD, it has some access controls on it that institutions that are handling it are required to have in place. So there have been some updates to the CMMC program, the most recent one is that we can still self-attest our compliance, but in July of next year, we can no longer self-attest, we will have to bring in a third-party assessor to certify us. If you have a project coming in that has a CUI requirement – triggers that you'll see in the RFP will be either a reference to CUI or the NIST 800.171 standards. If you see this language in a proposal, please notify either David Furman or Gina Hedberg as soon as possible because we will need as much lead time as possible, at least three months, to get a secure Enclave up and running. Presently, the impacted areas are Computing and Engineering, but this doesn't mean that some other areas won't be impacted as well. This is not an overnight process and not a cheap process either so, if you see this language in an RFP or guidance associated w/external funds being solicited, please touch base with us. When this CMMC takes effect, it will be announced in the guidance put out for solicitation, it will not be a surprise at the end. It may say we need a level 1, 2 or 3 which, we will probably land somewhere in the middle, but the paperwork will tell you. If it gives you a high level, the University cannot handle classified projects, CUI we can. The sooner we know about it, the better for both planning and compliance purposes. There is an expense involved with personnel and equipment and this will need to be factored into the budget.

**Bubba Sheffield, Grants & Contracts Accounting**
- Updates: Dr. Reichert subs some of his work out to other co-PIs and, currently he is having an issue with, since he is responsible for the overall grant, he is not receiving the PAs from the co-PIs that have graduate/undergraduate students, et al. He wants to see all of these forms because, technically, he is responsible for all of the money. Please remember that the lead PI needs to see these prior to being signed off on. Not every PI will want to see them, but Dr. Reichert is an exception.

# Upcoming Scheduled ROC Meetings:

# Wednesday, August 17, 2022
# Wednesday, September 28, 2022
# Wednesday, November 9, 2022