Module 2 Summary:

• National Science Foundation (NSF) awards represent 25% of Northeastern University’s total research

• As the grantee, Northeastern University certifies and assures our compliance with more than 100 laws and regulations

• Every grant and contract must adhere to several rules and regulations. These range from generic (Uniform Guidance) to more specific (Award Terms and Conditions).

• NSF requires that awards be managed in several areas:
  – Notifications and Prior Approvals
  – Progress and Technical Reports
  – Sharing Results
  – Fiscal Management

• NSF grantee standards to which Northeastern University must adhere include, but are not limited to:
  – Research Ethics
  – Reporting Misconduct
  – Conflict of Commitment and Conflict of Interest
  – Financial Conflict of Interest
  – Responsible Conduct of Research
  – Non-Discrimination
  – Human Subjects
  – Animal Care and Use
  – Data Security
  – Environmental Health & Safety
  – International Travel Considerations
  – Export Controls

• Throughout the project, ORAF will assist you in understanding your responsibilities and help you navigate the applicable regulations.

Resources:

1. NSF Policies and Regulations:
   • NSF Notifications and Prior Approval Request list
   • Reporting Requirements:
     ▪ NSF Technical Reporting Requirements
     ▪ Project Outcomes Report
     ▪ Submit reports to Research.gov
   • NSF Public Access Policy
   • NSF Financial Conflict of Interest regulations
II. **Other Government Policies and Regulations:**
   - Department of Health and Human Services (DHHS) Research Misconduct (defined)
   - Health Information Privacy and Accountability Act (HIPAA)
   - NIH Guidelines for Research Involving Recombinant DNA or Synthetic Nucleic Acid Molecules
   - Department of Commerce Bureau of Industry and Security Export Administration Regulations (EAR)
   - US State Department Export Control Regulations

III. **Northeastern University Institutional Policies**
   - University Patent Policy
   - Policy on Research Misconduct
   - Policy on Financial Conflict of Interest Related to Research
   - Policy on Conflict and Commitment and Interest (Faculty & Research Staff only - Faculty Handbook)
   - Policy on Conflict and Commitment and Interest (All Employees)
   - Policy on Equal Opportunity
   - Human Subjects Research Protection Policies
   - Animal Care Policy
   - NU Travel Policy
   - NU Export Control Policy

IV. **Other Northeastern University Resources:**
   - Northeastern University Certifications and Assurances
   - Responsible Conduct of Research
     - NU RCR Plan
     - NU RCR Policy
     - CITI Program
   - Northeastern University Human Subjects Research Protection website
     - Email: n.regina@neu.edu
     - Phone: (617) 373-4588
   - Northeastern University Animal Care and Use website
     - Email: dlam@neu.edu
     - Phone: (617) 373-3958
   - Northeastern University Biosafety Environmental Health and Safety
     - Institutional Biosafety Committee (IBC)
     - Biological Material Registration Form
Northeastern University Libraries

Northeastern University Information Technology Services SecureNU

NU Office of Environmental Health and Safety (EHS)

Northeastern University International Travel Registry

Compliance Office

Clean devices before travel

Export Control License Inquiry “decision tree”

V. Case Studies:

Research Integrity:

• Cigarette Company Paid for Lung Cancer Study
• USDA whistleblower claims censorship of pesticide research
• Plan B: When Politics Beat Science

Financial Conflict of Interest:

• Feds Freeze Millions In Grants To UConn After Conflict-Of-Interest Probe
• Study: Academic-Industry Conflict of Interest Growing

Harassment:

• UC Berkeley vice chancellor for research resigns after sexual harassment allegations arise
• NSF Tells Universities to Prevent Harassment

Lab Safety:

• Yale Student Killed as Hair Gets Caught in Lathe
• Risky Research Halted at Tulane

Export Control:

• 60 Minutes Report on Bungled Chinese-American Espionage Case Highlights Criminal Risk Faced by Individuals and Government Contractors
• Why the Professor Went to Prison

VI. Reporting a Research Concern:

• NSF Award Compliance Program webpage
• Whistleblower Policy
• Northeastern Compliance Hotline
• NSF Compliance Officer
• Senior Vice Provost for Research and Graduate Education

For more information, contact the Office of Research Administration and Finance

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