WELCOME TO THE OFFICE OF FACULTY AFFAIRS FORUM

7/10/2019

COLUMBIA | COLUMBIA UNIVERSITY IRVING MEDICAL CENTER

- **Science and Security**– *Naomi Schrag*

- **Academic Personnel Search Guidelines and RAPS** - *Sheanine Allen, Ed.D.*

- **TRAC – Helpful Tips –** *April Armstrong-Studivant*

- **Genetic Counselors Appointment Process/Status** – *D. Ryce*

- **Short Term Visitor Process Reminders** – *D. Ryce*

- **How are we doing? Service Level Agreement Review** – *Azeez Karim*

- **Important Notices/Reminders** – *D. Ryce*

Science and Security

NAOMI SCHRAG, VP FOR RESEARCH COMPLIANCE, TRAINING & POLICY

JULY 2019

Columbia University Mission Statement

"Columbia University … seeks to attract a diverse and international faculty and student body, to support research and teaching on global issues, and to create academic relationships with many countries and regions. It expects all areas of the University to advance knowledge and learning at the highest level and to convey the products of its efforts to the world."

https://www.columbia.edu/content/about-columbia

Science and Security: Congressional Actions

June 2018: Bipartisan group of 26 lawmakers' letter to Department of Education regarding Huawei funding to universities.

August 2018: National Defense Authorization Act (NDAA)

- Interagency group to address **future controls** on emerging or foundational technologies, including artificial intelligence, autonomous vehicles, advanced battery technology, "big data", biotechnology, integrated circuits/ semiconductors/microelectronics, nanotechnology, robotics.

- Prohibition on purchasing certain telecommunications equipment under certain circumstances from 5 Chinese companies and their subsidiaries/affiliates (effective August 2020 for contractors)

Funding Agency Actions

Summer 2018: National Science Foundation Inspector General Investigations

Sept. 2018: NIH Letter from Director regarding "Foreign Influence" - 3 primary concerns

- Sharing of confidential information by peer reviewers with foreign entities
- Diversion of intellectual property in grant applications or produced by NIH-sponsored research, including to other countries
- Failure to disclose Other Support fully; omission of substantial resources including from foreign governments; failure to disclose foreign talent programs.

Department of Justice and Commerce

Nov. 1, 2018: Department of Justice China Initiative.   Includes provisions specific to universities.

Jan. 28, 2019: Criminal indictment of Huawei for violation of Iran sanctions and theft of IP

May 15, 2019: Commerce Department restrictions. Huawei and its affiliates listed on "entity list." License required for sales to Huawei, with "presumption of denial."

Other Federal Agency Activity

Department of Defense Pilot Program: "Research Protection Initiative" (ongoing)

- Purpose is to understand challenges associated with gathering information on individuals working on DoD-funded research
- 6 schools are participating

Department of Energy Directive (Jan. 2019):

- Mandates that DOE federal and contractor personnel fully disclose and, as necessary, terminate affiliations with foreign government-supported talent recruitment programs. Order issued June 2019.

NSF Proposed "Clarification" of Other Support Requirements (May 29, 2019)

- Disclosure required for support provided to an individual in addition to the institution
- Disclosure required of in-kind support

Existing Regulation: Sanctions against Restricted Entities including Universities

U.S. Sanctions Programs

- Administered by Treasury Dept.'s Office of Foreign Assets Control (OFAC)
- Two types of sanctions:
  - **<u>Comprehensive</u>: rule of thumb = everything is prohibited**
  - **<u>Limited (or Targeted)</u>: transactions with certain "specially designated nationals" (SDNs) prohibited**
    - SDNs: individuals or entities

Other federal agencies also maintain "Restricted Party Lists"

- Be aware of "restricted universities"
  - *e.g.*, Certain universities in China, comprehensively sanctioned countries
  - "Restricted Universities" List on RCT Website
    - https://research.columbia.edu/content/economic-sanctions

Restricted Universities - EXAMPLES

IRAN

Amir Kabir University
Baghyatollah Medical Sciences University
Emam Hoseyn Comprehensive University
Imam Hossein University
Iran University of Science & Technology
Isfahan University of Technology
Islamic Azad University
Malek Ashtar University
Shahid Beheshti University
Shahid Sattari Air Force University
Sharif University of Technology
Shiraz University
Tarbiat Modares University
University of Tehran

ISRAEL

Ben Gurion University

CHINA

Beijing University of Aeronautics & Astronautics (aka Beihang University)
National University of Defense Technology
Northwestern Polytechnical University
Sichuan University
University of Electronic Science & Technology of China

NORTH KOREA

Kanggye Defense College
Kim Chaek University of Technology
Kim Il Sung University
Pyongyang Technical University
University of Chemical Industry

SYRIA

Damascus University
Higher Institute for Applied Science Technology
University of Aleppo

13 New Chinese Universities Just Added to the "Unverified List"

Anhui Institute of Metrology

Beijing Institute of Nanoenergy and Technology

Center for High Pressure Science and Technology Advanced Research

Changchun Institute of Applied Chemistry, Chinese Academy of Sciences

Guangdong University of Technology

Hefei Institutes of Physical Science, Chinese Academy of Sciences

Renmin University

Shanghai Institute of Applied Physics, Chinese Academy of Sciences

Shanghai Institute of Technical Physics, Chinese Academy of Sciences

Tongji University

Xi'an Jiaotong University, School of Electrical Engineering

Xi'an Jiaotong University

Yunnan Observatories, Chinese Academy of Sciences (CAS)

Restricted Universities

Case-by-case review of restrictions required

Restrictions may limit Columbia's ability to engage with faculty/ students affiliated with a "restricted" university, regardless of location

- Research collaborations
- Conference attendance/ collaboration
- Professional trainings/ workshops
- Visiting scholars/ students

Restrictions may also include inability to give or send physical items (including thumb drives) and proprietary or confidential information

Risks may be manageable with proper planning

Higher level approval may be required (e.g., Dean, EVPR)

Visitor Screening – Restricted Entities

Where Columbia is sponsoring a J1 visa for a visitor, ISSO is screening to determine whether the visitors or their home institutions are restricted entities.

In some situations, this screening occurs at the school level.

Columbia has licensed a software system, Visual Compliance, that makes screening easy to conduct and document.

We have developed a Standard Operating Procedure to guide individuals conducting the screening.

Possible issues are escalated to Michelle Avallone, Director of Export Controls, and resolved case by case.

Best Practices for Lab Visits

Perform restricted party screening on visitors prior to providing the tour.

Maintain a log of visitors to the lab.

Ensure that no confidential or proprietary information is visible at the time of the tour.

Prohibit the taking of photographs/video of lab equipment or lab set-up.

Do not permit visitors to insert thumb drives or other media into Columbia computers during the tour.

Ensure that visitors are escorted throughout the tour.

Key Takeaways

No new regulations yet at the federal level, but new export control regulations will be promulgated.

New funding agency policies may be published – NIH, others

Universities are under scrutiny; important to reinforce values of academic freedom, dissemination of new knowledge and cross-border collaboration

Be aware of restricted universities; consult with Research Compliance as early as possible regarding potential visitors and collaborations involving these entities

Make sure Other Support information is accurate and complete

Make sure biosketches are accurate and complete

Make sure to disclose all outside activity payments from non-U.S. entities, including universities

Columbia, Higher Ed. Associations are Monitoring Closely

Columbia Offices: Government Relations, Research, Provost (including ISSO), OGC

Associations: American Association of Universities; American Council on Education; Ivy-Plus groups

AAU ongoing activities include:

- Cataloguing effective policies and best practices at research universities around the country;

- Regular engagement with congressional committees, federal law enforcement and national security entities, and science agencies with expertise in this area;

- Classified briefings through the Senate Select Committee on Intelligence for university presidents;

- Collecting existing resources in an "AAU Science and Security Resources" document (link available on request).

Contact Information
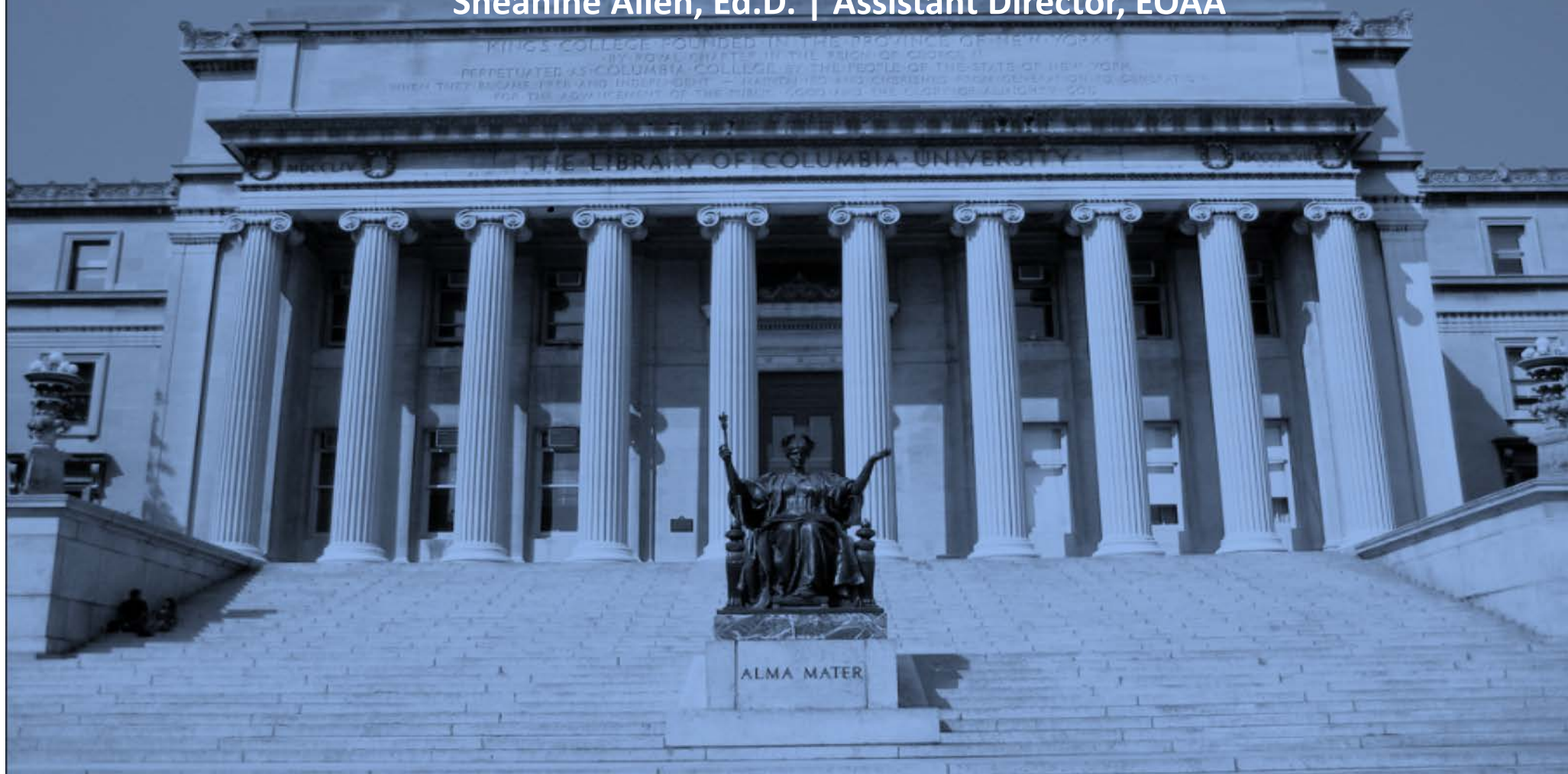
Office of Research Compliance and Training

- Michelle Avallone: mla25@columbia.edu, 212-851-9822
- Naomi Schrag: ns2333@columbia.edu, 212-854-8123

Academic Personnel Search Guidelines and RAPS

Sheanine Allen, Ed.D. | Assistant Director, EOAA

Academic Personnel Standard Search Guidelines

All academic employment opportunities should be listed in RAPS

- Officers of Instruction, Officers of Research, the Libraries, Athletics, and the K-8 School

Job posts must:

- Be based on your approved Standard Search & Evaluation Procedures (SSEP)
- Be posted a minimum of 30 days and a maximum of 365 days
- Be posted to at least three external hiring sites (*two for some departments)
- List all search committee members
- Have at least three applicants (CUIMC only)
- Indicate the skills a candidate needs to be successful in the role

Job posts should clearly state:

- What is required for an application to be considered complete
- If you only want letters of recommendation from short-listed applicants
- If you want a list of references as a single uploaded document or if you want references to be contacted by the system

EOAA offers Search Committee Training by request. Please email me, Sheanine Allen, at sa3361@columbia.edu if you are interested in scheduling a training for your department.

RAPS Overview

- The Recruitment of Academic Personnel System (RAPS) provides hiring professionals with the opportunity to manage the academic hiring process from post creation to filling a role via a web based system
  - We are currently running two versions of the system, 5.8 and 7.2
  - Both versions will continue to run until further notice
    - The last job postings will age out of 5.8 during the start of the Fall 2019 semester
    - The two versions are not linked

- There are two sides to the site: Admin and Hire

- There are five main user categories in RAPS: Applicant Reviewer, Department Admin, VP/Dean/Director, HR, and System Admin

- Users only have access to the job postings within their department

RAPS Waivers

Waiver posts:

- Should be used sparingly
- Should contain a full position description, minimum degree requirements and indicate if the appointment is for a limited/fixed term (list the proposed start and end dates)
- Should indicate if the appointment will be with tenure (only for applicable cases)

Waiver applicants:

- Should apply for the position using the link generated by the post [NEW policy]
- Must attach their CV to their application
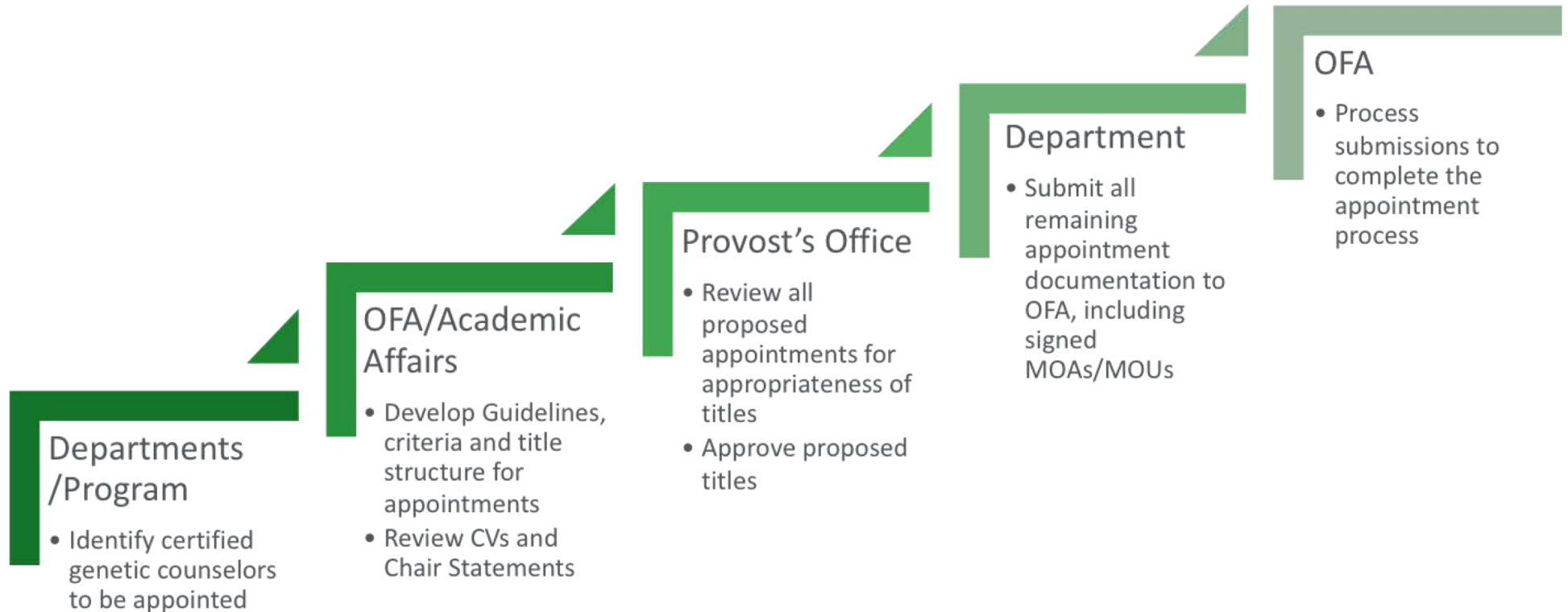
Waiver hiring proposals:

- Must include a waiver reason (choose from the drop-down menu)
- Must include a detailed explanation justifying the waiver request
  - This should be _at minimum_ 1-2 paragraphs
    - Provide context – How is this person uniquely qualified for the role? Was an open search conducted that did not produce a qualified candidate? Has this candidate served in this role before (or in a similar role)?
    - Identify if this person has been hired on prior waivers
    - Indicate if the department plans to conduct a standard search to fill the role in the next academic year

TRAC HELPFUL TIPS

➢ Document the Search Process in the Case Statement, including the name of those who made the shortlist.

➢ Know which are the top universities in the candidate's field and ensure that there are letter writers from these schools.

➢ When a candidate is not the first or last author, an annotation in the CV explaining her/his role on the publication is helpful.

Genetic Counselors Faculty Appointments
Academic Year 2019-2020

Departments/Program
- Identify certified genetic counselors to be appointed

OFA/Academic Affairs
- Develop Guidelines, criteria and title structure for appointments
- Review CVs and Chair Statements

Provost's Office
- Review all proposed appointments for appropriateness of titles
- Approve proposed titles

Department
- Submit all remaining appointment documentation to OFA, including signed MOAs/MOUs

OFA
- Process submissions to complete the appointment process

SHORT TERM VISITOR PROCESS
THE ESSENTIALS FOR A FASTER REVIEW

- Use of JIRA is strongly encouraged and guarantees a faster review process.

- The OFA SLA states that the turnaround time is 10 days. Submissions via JIRA average 3-4 days.

- All sections of the form must be completed (including printed names and signatures)

- If documents are handwritten, they must be legible. If they are illegible, they will be returned.

- We prefer for attachments to be uploaded as a single PDF, where possible.

- If the visitor will observe/train in a wet lab, there should always be a special indicator selected.

- If the visitor will be collaborating in research (as opposed to being trained), this will require an academic appointment.

- If the visitor needs RASCAL access, the reason should be justified in the description of activities.

- We cannot accommodate habitual rush requests in the summer months.

- If the form is incomplete/illegible and is recycled, the 10-day clock resets.

OFA Service Level Agreements
April 1, 2019-June 30, 2019

Transactions	Committed # business days for approval	Actual # business days for approval
New Hires	3	3
New Hires with NYP Appointment	6	6
LOA	12	12
LOA Extension	26	12
Postdoctoral Extension	13	11
Visitor Registration Form	10	5.5
Position Classification Form	5	3.8
Lateral Transfer (PAF)	2	1.5
Contract Renewal (PAF)	2	1.3
Rehire (PAFs)	2	1.9
Termination (PAFs)	2	1

Note: the above timeframes assume that transactions have been submitted with all required information and there is no need for corrections.

Important Reminders

- Pre-hire attestation – It's a requirement for **ALL** new academic personnel.

   Link to Pre-hire attestation form: https://www.ps.columbia.edu/file/20852/download?token=SWhlmWYx

- Background Checks for academic personnel have been approved at the senate level and will become a requirement in the fall. Stay tuned for more information….

- Regarding the *degree fields* in TBH and on the paper nominations: the highest degree field should always contain the **highest degree obtained** (i.e., MD, Ph.D.), **NOT** the the most recent degree obtained (i.e., MBA, MPH). This has been a source of reporting errors.

- The new hire paperwork of academic personnel who received their doctoral/terminal degree within two years of the appointment effective date must be accompanied by proof of the degree (i.e. copy of diploma with translation as applicable)

- Please continue to use the Offer Letter Templates

   Link to Offer Letter Templates: https://www.ps.columbia.edu/administration/academic-affairs/faculty-affairs/forms-and-additional-resources/forms-and-templates

- A reappointment letter or statements of compensation for FY20 should have been issued to all academic personnel

   Link to Reappointment Letter Templates:
   https://www.ps.columbia.edu/file/17391/download?token=T5q5KWo1

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QUESTIONS