October 23, 2023

To: Research Security Committee Members

- Brian DeMarco, Chair, GCOE/Physics; Director, IQUIST - *Chair*
- Nizam Arain, OVCDEI
- Robin Beach, Sponsored Programs Administration
- Jennifer Bernhard, GCOE/ECE; Director, Applied Research Institute
- Andrew Collum, Illinois International; Director, International Safety and Security
- Jerry Davila, LAS/History; Executive Director, Illinois Global Institute
- Christy Devocelle, University of Illinois Foundation
- Melissa Edwards, OVCRI, Assistant Vice Chancellor for Research and Innovation
- Josh Erenberg, Technology Services
- Kathy Gentry, SPA, Export Compliance Officer
- Harley Johnson, GCOE/MechSE, Associate Dean for Research
- Bill Kramer, NCSA; Executive Director, New Frontiers Initiative
- Praveen Kumar, GCOE/CEE; Executive Director, PRI
- Robert Lawless, College of Law
- Kim Milford, Technology Services; Chief Information Security Officer
- Svetlana Sowers, Office of Technology Management
- Mikel Storm, Security Management Office, Senior Facility Security Officer
- Alexis Thompson, Graduate College
- Shaowen Wang, LAS/GGIS; Associate Dean (Life & Physical Sciences)
- Paul Weinberger, Office of Government Relations
- Lori Willoughby, GCOE; Human Resources
- Alex Winter-Nelson, ACES/ACE; Associate Dean for Research
- Patty Jones, OVCRI, Assistant Vice Chancellor for Research Compliance, *ex officio*
- Chris Lehmann, OVCRI, Research Integrity Officer, *ex officio*

Re: Campuswide Guidance, Communication and Training for Implementation of Federal Research Security Regulations

Dear Colleagues,

Over the last several years, the federal government has issued a series of guidance and communications, such as NSPM-33, related to emerging regulations that are intended to strengthen the nation's research security.

This is a critical and time-sensitive issue for the Illinois research community, with high expectations from our stakeholders, elected officials, corporate partners, and federal sponsors. To comply with federal regulations, Illinois law, university policies and procedures, and ethical guidelines, we request your perspective and input to review and update current administrative workflows and related HR, IT, and research administration processes and systems.

Because these laws and regulations touch many areas of our university, we are writing to invite you to serve on an *ad hoc* committee that will develop recommendations to address the implementation of federal research security requirements; assess related System and campus policies; document capabilities and gaps in workflows, processes, and systems; and identify related training needs.

AREAS OF FOCUS
This issue is far-reaching, and we ask that you think broadly about the landscape of research security. This committee is expected to meet approximately bi-weekly. Please consider the following areas as part of your work:
- Administration, oversight, and auditing
- Workforce recruitment and hiring, including students, postdocs, faculty, and staff (including international student recruitment)
- Physical security and access
- Regulatory and legislative affairs
- Procurement and shipping of materials, including export control
- Training
- Communications
- Licensing of university intellectual property
- Incident reporting and investigative procedures
- Information security and data sharing
- International engagements and business partnerships
- International gifts
- International travel
- International research activities
- International visitors to campus

Additional areas of relevance may arise during the committee's work.

DELIVERABLES
Ultimately, your work should produce a report that includes your observations and recommendations related to:
- Existing policies and procedures and proposed modifications, including:
  - University Statutes and General Rules
  - Campus Administrative Manual
  - Other communications, policies, and guidance for students, faculty, and staff
- Gaps in research security policies and related guidance
- Recommendations for resources (e.g., tools, staffing, organizational structures)
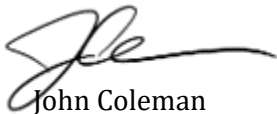
STAKEHOLDERS
The committee should consult with stakeholders from across the university, including the College Associate Deans for Research, Institute Directors, Council of Deans, Provost's Office, Graduate College, International Student and Scholar Services, and related business, HR, IT, and other campus offices.

Professor Brian DeMarco in the Department of Physics has generously agreed to chair this effort. We have asked Dr. Patty Jones and Dr. Christopher Lehmann from the OVCRI to assist you in your work. We anticipate that the activities of the committee will begin in early November. It would be beneficial to have a briefing of your progress by February 15, 2024, with a final report due April 1, 2024.

We appreciate your insights and experience as together we take on this challenge to maintain Illinois's leadership in research excellence with integrity.

Sincerely,

John Coleman
Vice Chancellor for Academic Affairs and Provost

Susan A. Martinis
Vice Chancellor for Research and Innovation

c: Robert Jones, Chancellor

*Relevant Resources
- National Security Presidential Memorandum (NSPM) – 33, (January 14, 2021), https://trumpwhitehouse.archives.gov/presidential-actions/presidential-memorandum-united-states-government-supported-research-development-national-security-policy/
- Guidance for Implementing [NSPM-33] on National Security Strategy for United States Government-Supported Research and Development (January 4, 2022), https://www.whitehouse.gov/wp-content/uploads/2022/01/010422-NSPM-33-Implementation-Guidance.pdf
- H.R.4346 - Creating Helpful Incentives to Produce Semiconductors (CHIPS), "Chips and Science Act" (August 9, 2022), https://www.congress.gov/bill/117th-congress/house-bill/4346
- DRAFT Research Security Programs Standard Requirement, Subcommittee on Research Security, National Science and Technology Council, Office of Science and Technology Policy (February 2023), https://www.whitehouse.gov/wp-content/uploads/2023/02/RS_Programs_Guidance_public_comment.pdf
- Guidance from the National Science Foundation (NSF), https://beta.nsf.gov/chips#what; see also https://new.nsf.gov/research-security
- Guidance from the National Institutes of Health (NIH), https://grants.nih.gov/policy/foreign-interference.htm.