

# OFFICE OF RESEARCH SERVICES

## Policy and Procedures Date: October 31, 2013

### Management of Sponsored Research Projects

#### 1. Purpose

To establish procedures to be followed by the Office of Research Services (ORS) in connection with sponsored research subject to International Traffic in Arms Regulations (ITAR), Export Administration Regulations (EAR), Foreign Assets Control Regulations (FACR), Nuclear Regulatory Commission (NRC), and any other applicable export and sanctions regulations.

#### 2. Policy

The ORS shall comply with all University procedures and applicable export control regulations governing sponsored research. The Principal Investigator (PI) of an export- or sanctions- controlled sponsored research project is responsible for complying with applicable export or sanctions regulations, and is also responsible for working with the Office of Export Controls in the preparation and execution of a governing Technology Control Plan (TCP) for the project.

Each ORS Sponsored Programs Coordinator (SPC) is responsible for coordinating with the Principal Investigator and the Office of Export Controls so that the OEC can determine if a proposed sponsored research project is subject to export control regulation. The SPC will assist the OEC in gathering the necessary information for this determination. If the OEC determines that a sponsored research project is subject to export control regulation, this determination will be communicated to the PI and the SPC handling the project.

For any project subject to export control regulation, the Office of Export Controls is responsible for providing required training to the PI, determining regulatory jurisdiction, pursuing commodity classifications if needed, screening for license requirements, applying for licenses if they are necessary, and developing a Technology Control Plan that will articulate the security measures needed to prevent unlawful export of export controlled items (including software, technology, or technical data) to foreign nationals, and otherwise ensuring compliance with the applicable regulations.

The Vice President of Research for Norman Campus, Associate Vice President for Research and Executive Director of Office of Research Services, along with the Executive Director of Secure Research Operations and General Counsel are responsible for implementation of the following procedures.

#### 3. Procedures

A. All proposals for sponsored research shall be screened electronically for export control issues by implementing an electronic system for vetting Infosheets that are submitted to ORS. The OEC is responsible for providing a series of questions that indicate a possibility of sponsored research activity that may be subject to export control regulation.

These questions will be answered by the PI and are mandatory fields for the submission of any Infosheet. If any question is answered such that export control issues are indicated, an electronic communication articulating the possibility of export controls, license requirements, and limitations on foreign national involvement shall be sent to the PI, the SPC, and the OEC.

The OEC is responsible for archiving these electronic communications for recordkeeping purposes.

B. Upon award, the SPC shall review the award documentation for any of the following:

1. References to U.S. export control regulations or sanctions
2. References to a non-U.S. boycott (for example, a certification that goods are not of Israeli origin)
3. Restrictions on participation of any person or organization based upon citizenship or geographic location, for example:

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- a. Notification requirements or prohibitions on the hiring of non-U.S. citizens
- b. Other restrictions on non-U.S. citizens accessing project related information
4. Proprietary information, intellectual property, or trade secret information, for example:
  - a. Provisions for the signing of a confidentiality agreement, non-disclosure agreement, or proprietary information exchange agreement, which are typically routed by ORS to OTD, and then forwarded to the OEC.
5. Publication restrictions
6. References to “defense articles”, or any indication of military or intelligence specific applications
7. Required deliverables (shipment of physical goods) going to another country
8. Requests for the boycotting of any other (non-U.S.) country or organizations within a particular country
9. Requirements for travel to Cuba, Iran, North Korea, Sudan, or Syria
10. DoD or NASA funding (If DoD, determine the source of funding, i.e. 6.1, 6.2 etc.)
11. References to security clearances, national security classification, NISPOM, or Confidential, Secret or Top Secret items or information

If any of these elements are present in the award, the SPC will notify the OEC and provide the reason for the referral (i.e. a publication restriction is on page 12 of the award). The OEC is responsible for reviewing the award, determining if it is subject to export control regulation, and communicating the appropriate course of action to the SPC and the PI.

The SPC shall not set up the award unless and until all requirements for export controls compliance (completed training, executed TCP, deemed export licenses, etc.) are met. The OEC is responsible for communicating to the SPC that all requirements have been met.

C. The OEC and the PI are responsible for preparing and executing a project-specific TCP for any Sponsored Project subject to export controls. The PI shall comply with the security measures in the TCP. The OEC will periodically send electronic communications reminding the PI of his/her compliance responsibilities.

The ORS shall implement internal marking procedures for any sponsored research project subject to export controls. Proper marking shall ensure that a Notice of Award (NOA) or modification/ amendment that warrant additional export control review are flagged and referred to the OEC for screening.

D. The ORS SPC and Post-Award Financial Coordinator shall:

1. Monitor any sponsored research project subject to a TCP for additions or modifications to project personnel. Any such changes should be referred to the OEC by the SPC for approval.
2. Notify the OEC of any changes to the Scope of Work for a research project under a TCP. Any such changes should be referred to the OEC by the SPC for approval.
3. Notify the OEC as soon as possible which may be after the fact of any post-award activity that involves:
  - a. Travel to Cuba, Iran, North Korea, Sudan, or Syria
  - b. Military units or forces, regular or irregular in any other country
  - c. Physical exports to another country
4. Such notification shall be referred to the OEC by the SPC. The OEC shall contact the SPC for any information requests related to a TCP.

## 5. References

[Export Administration Regulations \(EAR\) 15 CFR §§734-774](#)  
[International Traffic in Arms Regulations \(ITAR\) 22 CFR §§120-130](#)  
[Foreign Assets Control Regulations \(FACR\) 31 CFR §§500-599](#)  
[Nuclear Regulatory Commission 10 CFR §110](#)  
[Bureau of Alcohol, Tobacco, and Firearms 27 CFR §444-555](#)  
[National Security Decision Directive 189](#)  
[Virginia Tech Technology Control Plan](#)  
[National Industrial Security Program Operating Manual \(NISPOM\)](#)

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DDTC Compliance Program Guidelines  
BIS Export Management System Guidelines  
University of Oklahoma's Infosheet

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# OFFICE OF RESEARCH SERVICES

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### Screening Procedures for Research Sponsors

#### 1. Purpose

To establish procedures to be followed by the Office of Research Services (ORS) in connection with all research sponsors.

#### 2. Policy

The ORS shall take steps to ensure that all research sponsors are screened by the OEC against the export and sanctions restricted parties lists.

#### 3. Procedures

The ORS shall notify the OEC of any new research sponsors and include the name of the sponsor as well as the full street address of the sponsor. The OEC will screen this information against all lists of restricted parties for export control purposes.

The OEC shall communicate the results of this screening to ORS. The OEC is responsible for monitoring all re-screening alerts that may be provided to the University by virtue of the OEC's Visual Compliance subscription to ensure that new entries to the restricted lists do not include previously screened parties. In the event that a re-screening alert involves a previously-screened research sponsor, the OEC will notify ORS.

#### 4. References

The Denied Persons List (<http://www.bis.doc.gov/dpl/default.shtm>)

The Unverified List ([http://www.bis.doc.gov/enforcement/unverifiedlist/unverified\\_parties.html](http://www.bis.doc.gov/enforcement/unverifiedlist/unverified_parties.html))

The Entity List (<http://www.bis.doc.gov/entities/default.htm>)

The Specially Designated Nationals List (<http://www.treas.gov/offices/enforcement/ofac/sdn/>)

The Debarred List (<http://www.pmddtc.state.gov/compliance/debar.html>)

Nonproliferation Sanctions (<http://www.state.gov/t/isn/c15231.htm>)

**OFFICE OF RESEARCH SERVICES**  
**Policy and Procedures Date: October 31, 2013**  
**Screening Procedures for Research Sponsors**

**1. Purpose**

To establish procedures to be followed by the Office of Research Services (ORS) in connection with all DoD and NASA-funded awards.

**2. Policy**

The ORS shall take steps to ensure that all DoD and NASA-funded research awards are routed to the Office of Export Controls (OEC) for review, even if the award is deemed to be 'fundamental research'.

**3. Procedures**

The ORS shall notify the OEC of any DoD or NASA-funded research awards. The OEC is responsible for any follow-up communications to the Principal Investigator(s).

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**Required Training Procedures for the Office of Research Services**

**1. Purpose**

To establish procedures for training employees within the University of Oklahoma's Office of Research Services.

**2. Policy**

The Office of Export Controls shall provide training to employees within the ORS at least annually.

**3. Procedures**

The OEC shall contact the ORS to schedule training on an annual basis, or, if needed, on a more frequent basis. This should include:

- Training for new Sponsored Programs Coordinators (SPC's)
- Remedial or repetitive training for existing employees as needed