AGENDA

- Welcome and Introductions
- Vice President’s Office
- Export Controls Update
- Research Development
- Pre Award Update
- Post Award Update
- Budget & Cost Analysis Update
- Research Systems Update
- Research Integrity Update
- Welcoming Remarks

- Introduction of Office of Research and Economic Development Team

- Introduction of New Attendees

- Future Quarterly Research Administrators Meeting for 2016
  - October 25, 2016
    - All meetings are from 10:00 am – 12:00 pm in the MARC Pavilion

- Slides will be posted on the Office of Research and Economic Development website after meeting
Office of Research and Economic Development

Export Controls Update

- FIU Centralized Export Controls Compliance Program
  - Nelson Perez
  - Compliance Specialist & Export Control Administrator
FIU Centralized Export Controls Compliance Program
[Export Control Administrator / Liaisons]

**Operational**
- Sponsored Research
- Tech Transfer
- IT
- Human Resources
- Property Management
- Procurement
- Finance
- Legal
- International Student Services
- Environmental Health & Safety
- Shipping/Receiving

**Academic**
- Teaching-in U.S.
- Teaching-abroad
- Online curriculum
- Conferences

**Research**
- Research (Sponsored or faculty-initiated)
  - FRE
    - FRE-covered projects
    - Controlled instruments
    - Proprietary Data
  - Non-FRE
    - Restricted projects
- International Collaborations
- Outside Activity

**Business**
- Work for Others/Service Contracts
- Landlord/Tenant relationships
- Outside Activity
- Spinoffs
- Tech Transfer
THE KEY QUESTION

- Do you work with “Controlled Technology?”
  - If so, what Home Countries require an export license?
  - Until an export license is obtained, do not export, transfer or release Controlled Technology to a foreign country or national that requires an export license

- Involves Review of EAR and ITAR
  - EAR: Commerce Control List, countries controlled at various levels depending on nature of technology
  - ITAR: U.S. Munitions List, a license is required prior to release of ITAR technical data to any foreign national
**EAR**

- “Dual Use”/Commercial
- Controlled items appear on Commerce Control List
- A number of exceptions available - Examples of EAR Controlled Items:
  - semiconductors
  - telecommunications
  - high speed computers
  - manufacturing equipment
  - encryption
  - many others

**ITAR**

- Military/Space
- Very few exceptions available; license typically required
- ITAR controlled items:
  - Specifically
    - designed
    - modified
    - adapted
    - configured
  - ...for military/space application
Typical “home countries” with Export Control Issues under EAR

- “Terrorist Supporting States”
  - Iran, Sudan and Syria

- “Countries of Concern”
  - Former Soviet Republics (Russia, Ukraine), China, Vietnam, others

- “Friendly Countries”
  - All others (EU Member States, Canada, Mexico, etc.)
How can a “Deemed Export” Occur?

- Providing drawings to a Foreign National employee
- Technical conversations/collaboration with Foreign Nationals
- Telephone conversations
- Technical training
- Working with Foreign National interns or consultants
- Collaborations w/ U.S. customers’ Foreign National employees
- Access to database that contains controlled technology
The following units and departments should be aware of the purchase of research equipment or software that may be export controlled:

- College of Engineering and Computing
- The School of Computing and Information Sciences
- College of Arts and Sciences Departments:
  - Physics
  - Biology
  - Chemistry
Publicly Available/Public Domain Information

- Published Information
- Open Conference/Meeting
- Educational Information
- Patents
- Fundamental Research:

“Basic and applied research in science and engineering, where the resulting information is ordinarily published and shared broadly within the scientific community. Such research can be distinguished from proprietary research and from industrial development, design, production, and product utilization, the results of which ordinarily are restricted for proprietary reasons . . .”
Requirements for Faculty Hires

The following units and departments will continue preparing the Export Control Questionnaire:

College of Engineering and Computing, including the School of Computing and Information Sciences

The following three College of Public Health and Social Work Departments:
- Environmental and Occupational Health
- Epidemiology
- Biostatistics

The following three College of Arts, Sciences and Education Departments:
- Physics
- Biology
- Chemistry
**FIU**

**FLORIDA INTERNATIONAL UNIVERSITY**

**Visa Applicant Deemed Export Questionnaire**

**FOR SPONSORED & NON-SPONSORED ACTIVITIES**

**Instructions:** The questionnaire must be answered by the sponsoring faculty member and not by someone acting on behalf of the sponsor for all H-1B, H-1B1, J-1, L-1, O-1 non-immigrant worker visa applicants. Please answer the following questions to the best of your ability.

**Faculty/Sponsor:**
- **Name:**
- **Title:**
- **Department:**
- **Phone:**
- **Email:**

**Beneficiary:**
- **Name:**
- **Country of Citizenship:**
- **Current Visa Type:**
- **Requested Visa Type:**
- **Position to be Held:**

1) Will the beneficiary be working in one of the following areas: biomedical sciences, computer sciences, space or space launch sciences, or any engineering or scientific discipline? Engineering or scientific disciplines may include, but are not limited to, the following: Chemical, Electrical, Semiconductor, Material Science, Physics, Mechanical, Geophysical, Marine, Astronomy, Nuclear, Artificial Intelligence or Robotics.
   - [ ] Yes
   - [ ] No
   - [ ] Unknown/Unsure

   If you marked “Yes” or “Unknown,” please provide brief explanation of work assignment:

   __________________________________________________________

   __________________________________________________________

2) Will the beneficiary be provided access to any **controlled** FIU-owned technical data or technology (hardware or software) that is considered proprietary or confidential to FIU or any third party? (see information below concerning “controlled technologies”)
   - [ ] Yes
   - [ ] No
   - [ ] Unknown/Unsure

3) Will the beneficiary be provided access to any **controlled** technical data or technology (hardware or software) furnished to FIU that is proprietary or confidential to a sponsor or third party? This includes U.S. government furnished technical data with access, publication, participation or dissemination restrictions or other restrictive markings, as well as ITAR-controlled information, articles and software. It may also include confidential information, materials, or software that is the subject of a Non-Disclosure Agreement (NDA) or equivalent confidentiality agreement.
   - [ ] Yes
   - [ ] No
   - [ ] Unknown/Unsure

4) Will the beneficiary be provided access to proprietary (to sponsor or a third-party) technology for the development of cryptography, or proprietary source code containing cryptographic functionality?
   - [ ] Yes
   - [ ] No
   - [ ] Unknown/Unsure

5) Will the beneficiary be provided access to Information pertaining to the “use” of laboratory equipment (that is not in itself the subject or result of self-invented fundamental research); for purposes of this definition, “use” may include operation, installation, maintenance, repair, overhaul and refurbishing.
   - [ ] Yes
   - [ ] No
   - [ ] Unknown/Unsure
6) Will the beneficiary be provided access to any government furnished equipment, information, or software specifically designed or developed for military or space applications?
   - Yes
   - No
   - Unknown/Unsure

7) Will the beneficiary participate in sponsored research?
   - Yes
   - No
   - Unknown/Unsure

   If yes, please answer the following:
   a. Is the sponsored research funded in whole or part by DoD, NASA, or defense industry sponsor(s)?
      - Yes
      - No
      - Unknown/Unsure

      If yes, indicate the Sponsor(s):

   b. Provide the FIU Account Number or Research Identification Number of the project(s):

   c. Are these sponsored research projects export controlled or subject to foreign national access/participation restrictions, or publication dissemination restrictions?
      - Yes
      - No
      - Unknown/Unsure

   d. Will the beneficiary be provided access to any ongoing DoD, NASA, or defense industry research or research results?
      - Yes
      - No
      - Unknown/Unsure

   e. Please specify the research type:
      - Basic
      - Applied
      - Advanced
      - Development
      - Testing
      - Service Oriented

   f. Will the research results be published or taught in an official FIU course or otherwise shared with the interested public?
      - Yes
      - No
      - Unknown/Unsure

8) Additional comments or questions:

   Faculty/Sponsor Name: ____________________________
   Faculty/Sponsor Signature: ________________________
   Date: ____________________________

The person signing this form is attesting that they have full knowledge of the scope of research work of the beneficiary.

This "I-129 Visa Export Control Compliance Questionnaire" has been modified from the University of Central Florida I-129 form with their consent.
International Travel

- What is the purpose of your trip? (i.e., Research)
- Who will you be meeting or working with?
- What entities will you be visiting or working with?
- Will you be recruiting students or faculty?
- What personal devices will you be bringing with you? (i.e., Cellphone, Laptop, iPad, etc.)
- Will you be transporting any equipment, materials, software, or technical data that is restricted from distribution or considered to be proprietary?
Contact Information

▪ Nelson Perez

Compliance Specialist & Export Control Administrator

Email: perezne@fiu.edu

Office: 305-348-4726
Limited Submissions Process Update

- Effective March 1\textsuperscript{st}, 2016, all faculty interested in applying to a Limited Submission Program are required to complete a one-page Notice of Intent to Apply by 5 PM on the date listed as the internal deadline.

- If the number of Notices of Intent to Apply received by ORED exceeds the maximum number of applications permitted by the sponsoring agency, potential applicants will be alerted that they must complete the Limited Submission Internal Proposal Application.

- Internal Proposal Application is now briefer, consisting of a signed cover page, biosketches, budget, and responses to three, rather than the prior seven, questions.

- When advised of the need to prepare an Internal Proposal Application, PI’s will be informed that they have five business days to submit the requested information to ORED.

- Additional details about the changes are available at http://research.fiu.edu/announcements/documents/03012016-limited-submissions.pdf
Fringe Benefits

The University has revised the fringe benefit rates for the 2016-2017 fiscal year, therefore the fringe benefit rates used at proposal stage have been revised as follows:

<table>
<thead>
<tr>
<th>Employee Group</th>
<th>Pooled Fringe Benefit Rate</th>
</tr>
</thead>
<tbody>
<tr>
<td>COM Faculty</td>
<td>22.70%</td>
</tr>
<tr>
<td>Admin/Faculty excluding COM Faculty</td>
<td>32.72%</td>
</tr>
<tr>
<td>Staff</td>
<td>45.82%</td>
</tr>
<tr>
<td>Non Student OPS (except students)</td>
<td>4.25%</td>
</tr>
<tr>
<td>Graduate Student Assistants</td>
<td>7.18%</td>
</tr>
<tr>
<td>Student OPS (excluding Graduate Students Assistants)</td>
<td>0.39%</td>
</tr>
</tbody>
</table>

The internal budget sheet used at proposal stage has been revised to reflect these changes in the fringe benefit rates.

The revised rates will become effective for all active awards as of July 1st, 2016.
Subcontracts and Consulting Agreements

- Timeframe for Execution
  - Agreements needs to be executed *prior* to any work commencing
  - Period of performance needs to be commensurate with the work proposed in the proposal and awarded by the sponsor
  - Agreements cannot be done retroactively

- Foreign Entities / Tax Compliance
  - All subcontracts with foreign entities and consulting agreements with foreign consultants are reviewed by the Tax Compliance office prior to execution to ensure that any tax liabilities are addressed
Proposal Submission Deadlines Reminder

Please note that all electronic submissions (i.e. grants.gov, NSF Fastlane, NASA NSPIRES and other sponsor specific systems) will need to be submitted by ORED no later than Noon on the date that the application is due to the sponsor in order to have sufficient time to address any errors or warnings related to the electronic submission process.
Petty Cash and Participant Payment Fund Custodians

- Custodians will be required to complete background and fingerprinting checks per FIU Policy 1710.257

- To expedite the processing of a fund request, it is recommended that a custodian contact Recruitment Services at (305) 348-2500 to verify if the requirements have been met and/or to schedule a background/fingerprinting check appointment.

- The Background Record Check Authorization form should be completed and taken to the appointment. This form can be obtained from Recruitment Services.
Fiscal Year End Deadlines

Payroll Transfers
- Any payroll transfers subject to approval from the Office of Research & Economic Development (ORED) must be entered into the Payroll on-line system by 5:00 p.m. on June 3, 2016, in order to complete the approval process by June 17, 2016.

eProcurement Requisition page will shutdown from June 11, 2016 to July 1, 2016 and will become available again on July 5, 2016.
- These deadlines are for ALL funds
- Requests for exceptions will be considered on a case-by-case basis based on the criterion that there was a reasonably unforeseeable need
Fiscal Year End Deadlines (continued)

- eProcurement
  - All requests must be approved by Kelly Loll, Director of Purchasing Services via email
  - The email must contain specific information which is included in the fiscal year end memo from the Controller and can be found in the PantherPost Newsletter for April, 2016
Fiscal Year End Deadlines (continued)

- **E&G Cost Share**
  - Reminders are being sent for you to review the balance on CC_DEP funded by E&G
  - The process for any available balance remaining at the end of 6/30/2016 will be the same as last year.
  - Details are included in the email reminder
**Center & Institute Reports**

- Soon we will be forwarding a list of IDs pertaining to each Center/Institute Org Dept. and will ask for your cooperation in confirming them as well as identifying any that may reside outside the assigned Center/Institute Org.

- Our intent now and going forward is for all Center/Institutes to have a unique Org ID enabling us to report by this unique number.
Research Administrators Certificate Course (RACC)

This is an online course that was designed to assist the University research community in better understanding the administration and compliance requirements of sponsored research at FIU. The course is comprised of 12 modules from proposal preparation through project close-out and research compliance obligations. You may take each module at your convenience & will receive FIU professional development credit for each module completed as well as a certificate of completion when you finish all modules.

- We encourage everyone to take this course.
- Visit our website for the details at: http://research.fiu.edu/training
Budget & Cost Analysis Update

WebSpace System Space Survey

- Website is https://highereducation.maximus.com/WebSpace-FIU/welcome.jsp
- Deadline is May 31, 2016
- Contact is Stephanie Mitjans at smitjans@fiu.edu
Proposal & Award Activity Dashboards

- Initial dashboards launched for Proposal & Award Activity on Accountability.fiu.edu. Additional dashboards are currently being designed to be loaded on Accountability.fiu.edu as well as FIU Research website.
- Please send feedback to research@fiu.edu
Institutional Review Board (IRB) Reciprocity Agreement

- All Florida State University System (SUS) institutions, except Florida Polytechnic University, have signed the IRB Reciprocity Agreement.
- Allows one SUS institution’s IRB to voluntarily serve as the IRB of record, and other SUS institutions can voluntarily choose to accept the IRB approval (in lieu of having that institution’s own IRB review the study).
- The use of this agreement is managed by FIU on a per project basis.
- Anyone wishing to utilize this agreement for a collaborative SUS study will need to contact Chris Grayson at 305-348-8379 or graysonc@fiu.edu.
Institutional Animal Care and Use Committee (IACUC)

Friendly Reminder:
- IACUC Authorization Agreements need to be in place prior to commencing animal work (done on case-by-case basis)
- Semi Annual Inspections in June 2016
- AAALAC Re-Accreditation Visit in August 2016
- Occupational Health and Safety Program Renewal Process - Annual Health Status Form

New IACUC Exemption Form:
- Replaces the IACUC Tissue/Carcass Use Form
- Required for Using Carcasses and/or Biospecimens
- Required for Non-intrusive Observational Field Studies
- **Institutional Biosafety Committee (IBC)**
  - Friendly Reminder:
    - Animal research activities with transgenic and targeted mutants require IBC review
  - IACUC Form Update:
    - Form was recently updated to include a question regarding working with transgenic/targeted mutants
- **Conflict of Interest (COI) Monitoring Plan**
  - Friendly Reminder:
    - Only the Microsoft Word versions of the Monitoring Plan and Request for Exemption/Disclosure Form will be accepted
    - Forms need to be emailed to ori@fiu.edu
  - Latest Version of Forms:
    - Go to the Forms Library (Conflict of Interest Section)
    - Link: http://research.fiu.edu/forms/index.html
Reminder on Responsible Conduct of Research (RCR)

- NSF, NIH and NIFA Certification Forms and CITI training certificates are sent to molinae@fiu.edu
- NIH Training Grants Continuing Education Requirement
  - Ensure 8 hours of continuing education
  - Should recur throughout a scientist’s career: at the undergraduate, graduate, predoctoral, postdoctoral, and faculty levels
- Minimum of 2 workshops are offered each semester
- Workshops can be found at the following link:
  - http://research.fiu.edu/rcr/pages/workshops.html
Project Organizational Chart

Office of Research and Economic Development
Research Integrity Update

- **New CITI Program Training Modules**
  - Advanced Issues in Informed Consent
    - Part of Human Research Courses Curriculum
  - Introduction to Responsible Conduct of Research (RCR)
    - Part of RCR Courses Curriculum

- **Newly Developed Training Workshops**
  - Ethics in Human Subjects Research
  - Informed Consent in Human Subjects Research
  - Animal Research and the Institutional Animal Care and Use Committee (IACUC)
  - Preparing for IACUC Site Visits

- **Upcoming Training Workshops**
  - May 5, 2016: Preparing for IACUC Site Visits
  - May 17, 2016: IRB Part 2 - Managing your Approval
  - Link: [http://research.fiu.edu/dor/pages/ori.html](http://research.fiu.edu/dor/pages/ori.html)
Closing Remarks
  - Questions
  - Adjournment