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Dear Investigator,

Congratulations and welcome to Auburn University! The Office of Sponsored Programs wants you to know that we are dedicated to helping make your scholarly endeavors as successful as possible here on the Plains. We have created this guide to help you efficiently navigate through the process and our staff is always available to assist whenever you need us. Again, welcome to the Auburn Family and War Eagle!

Martha M. Taylor
Assistant Vice President
Office of Sponsored Programs

The following questions are common amongst new investigators. Each question is linked to the site with the appropriate information to assist you. If you have a question that is not addressed here or just need more information, feel free to contact us!

Does Auburn have an intramural grants program?

I have an idea in mind so where do I go to find funding or collaborators for it?

AU Funding Website & Newsletters / COS Pivot database / Research Development & Grant Writing Newsletter

The grant I have chosen is limited in number of proposals that can be submitted, what do I need to do?

Where can I find the Financial Conflict of Interest (FCOI) requirements for submission to the PHS or NSF?

I’m not ready to submit a proposal but have general questions, who should I contact?

How do I go about preparing a proposal?

Auburn University Proposal Preparation Guide

Is there a handbook available with information & resources for Investigators?

Where can I find institutional information for a proposal?

What internal document is needed to route my proposal for approval?

Where do I find guidance regarding subcontracts?

How do I prepare my project budget?

What do I do when my project gets funded?

What do I do if my project involves: Animal Subjects / Human Subjects / Biological Hazards or recombinant DNA

Where do I find information on how I may spend my project funds? Federal Guidelines / Auburn University Policies

Are there special requirements regarding equipment purchases under contracts and grants?

If I have to travel for my project, how will I pay for the cost?

I think my project may involve issues of National Security, what should I do?

I think I have invented something new. Who should I contact?
Dear Investigator,

War Eagle! Welcome to Auburn University! We want you to know that the Office of Research Compliance is available to assist you as you complete your conflict of interest (COI) and responsible conduct of research requirements. Please contact our office at any time by phone, e-mail or personal visit.

Always use the most current forms and instructions available on our website. Only complete disclosures will be reviewed.

For information about conflict of interest and responsible conduct of research, please access the following links:

**Conflict of Interest (COI)**

- National Science Foundation (COI) Requirements
- Public Health Services (COI) Requirements

**Responsible Conduct of Research (RCR)**

CONTACTS:

**RESEARCH COMPLIANCE**

Niki Johnson, JD, MBA, CIM
Director of Compliance

Robert Holm, Ph.D
Assistant Director,
Sponsored Programs Education

Click here for more contact information
Dear Investigator,

War Eagle! Welcome to Auburn University! We want you to know that the Office of Research Compliance is available to assist you as you submit your animal subjects protocols for IACUC review. Please contact our office at any time by phone, e-mail or personal visit.

Always use the most current forms and instructions available on our website. Only complete protocols will be reviewed, including all signatures, permits and permissions.

For information about the IACUC and protocol submission, please access the following links:

Animal Resources (main site)

Training (required for all key personnel), including frequently asked questions

Submission process

Forms

IACUC meeting schedule for full Committee review: 2013

CONTACTS:

IACUC CHAIRPERSON:
Dr. James Bannon
bannojs@auburn.edu
844-5611

RESEARCH COMPLIANCE:
Niki Johnson, JD, MBA, CIM
Director, Research Compliance

IACUC Staff:
Lisa Boshell
IACUC Administrator

Roger Bridgman
Assistant Director,
Research Compliance

Valerie Morns-Riggins
IACUC Administrator/
Facilities

Click here for more contact information
Dear Investigator,

War Eagle! Welcome to Auburn University! We want you to know that the Office of Research Compliance is available to assist you as you submit your human subjects protocols for IRB review. Please contact our office at any time by phone, e-mail or personal visit.

Always use the most current forms and instructions available on our website. Only complete protocols will be reviewed, including all consents, permissions and attachments.

For information about the IRB and protocol submission, please access the following links:

**Office of Human Subjects Research (main site)**

**Training (required for all key personnel), including frequently asked questions**

**Submission process**

**Forms**

**Samples of protocol attachments and appendices**

**IRB meeting schedule for Full Board review**

**CONTACTS:**

**IRB #1 CHAIRPERSON:**
(Health Science Emphasis)
Dr. Kathy Jo Ellison, RN, DSN, CIP
elliskj@auburn.edu, 844-6761

**IRB #2 CHAIRPERSON:**
(Social / Behavioral Emphasis)
Dr. Christopher Correia
correj@auburn.edu, 844-6480

**RESEARCH COMPLIANCE:**
Niki Johnson, JD, MBA, CIM
Director, Research Compliance
Roger Bridgman
Assistant Director, Research Compliance

**IRB STAFF:**
Susan Anderson, MS, CIM
IRB Administrator
Gail Butcher
Compliance Coordinator
Dear Investigator,

War Eagle! Welcome to Auburn University! We want you to know that the Office of Research Compliance is available to assist you as you submit your Biological Use Authorization proposals for Institutional Biosafety Committee review and approval. Please contact our office at any time by phone, e-mail or personal visit.

Always use the most current forms and instructions available on our website. Only complete, signed BUA proposals will be reviewed.

For information about the IBC and proposal submission, please access the following links:

**Biological Safety (main site)**

**Required Biosafety Training (required for all key personnel)**

**Institutional Biosafety Committee (IBC)**

**Submission Forms**

**Institutional Biosafety Committee (IBC) meeting schedule**

**CONTACTS:**

IBC CHAIRPERSON:  
Dr. Frederik Van Ginkel  
vangifw@auburn.edu, 844-0132

Abbie Beaty  
Lab Safety Specialist  
Biological Safety Officer  
Risk Management & Safety  
butleaj@auburn.edu, 750-8040

RESEARCH COMPLIANCE:  
Niki Johnson, JD, MBA, CIM  
Director, Research Compliance

IBC Staff:  
Valerie Morns-Riggins  
IBC Administrator

Roger Bridgman  
Assistant Director,  
Research Compliance

Office of Research Compliance / IBC  
115 Ramsay Hall • Auburn, AL 36849 • Phone: (334) 844-5966 • Fax: (334) 844-4391 • Email: biosafety@auburn.edu  
auburn.edu/compliance

Click here for more contact information
Dear New Faculty:

War Eagle and welcome to Auburn University! Surely, during your time at Auburn our paths will cross at one time or another. Therefore; we’d like to describe the duties of our office and how they might include you.

The Research Security Office, under the Office of Vice President for Research, has two primary responsibilities; the safekeeping of government sensitive information and the enforcement of export control regulations.

1. **Safekeeping government sensitive information**

   As the connection between AU and the US Government, it is our responsibility to enforce the security measures set forth in the National Industrial Security Program Operating Manual (NISPOM) and related federal requirements for classified information; while at the same time, ensuring that AU and its personnel is always in compliance. We administer the program on behalf of the U.S. Government to ensure the protection of the classified and “sensitive but unclassified” research in which our researchers and students work. Even if you are not the Principal Investigator (PI) on a classified contract, you may be asked by a colleague to assist on a classified contract. If you were to accept, you would need to contact our office to ensure that you meet all the requirements to handle classified information.

2. **Enforcing Export Control Laws**

   Generally, research that deals with defense articles or defense services is controlled by the International Traffic in Arms Regulations (ITAR). These defense articles and services are defined on the U.S. Munitions List and the Military Critical Technologies List. Research activities and technologies that generally cover National Security or Foreign Policy issues of interest to the United States are subject to the EAR (Export Administration Regulations) and are found on the Commerce Control List (CCL) issued by the Department of Commerce.

   Please contact us if you need a specific export license from the Department of State, Office of Defense Trade Controls or the Department of Commerce.

   Our staff is here to help you perform your research within compliance and successfully. We are located in the Advanced Engineering Research Laboratory (AERL) building on 344 War Eagle Way, and our contact information is:

   - **Georgia White**
     Director of Research Security
     Office: 3528
     Phone: 844-5962
     E-mail: gaw0004@auburn.edu

   - **Selena Denton**
     Security Administrator
     Office: 2534
     Phone: 844-5058
     E-mail: sld0030@auburn.edu

   - **José Collazo**
     Export Control Coordinator
     Office: 2534
     Phone: 844-5041
     E-mail: jrc0052@auburn.edu
Export Control ~ Quick Reference Guide

Export control violations can result in civil and criminal personal liability of up to $100,000 per violation, imprisonment, or fines and imprisonment. If the violation is determined to be knowingly or willfully committed the personal liability is up to $250,000 per violation, imprisonment, or fines and imprisonment. Additionally, the violation could result in multi-million dollar fines and the lost of export privileges for the university.

Auburn University engages in projects concerned with leading edge technologies, including defense, electronics, information management, and materials projects which may be neither Fundamental Research nor Education Information as defined in Export Administration Regulations (EAR). This information is being provided to assist employees in ensuring that technical information and/or technical data which is not specifically exempted as Fundamental Research and/or Educational Information by the EAR are not transferred to Foreign Persons who are employees, visitors, or students unless approved for license or Agreement by the Department of State, Office of Defense Trade Controls (ODTC) or Department of Commerce as applicable.

The International Traffic in Arms Regulation (ITAR) authorizes control over export and import of defense articles and defense services. These articles and services are defined in the U.S. Munitions List. Further, in accordance with the provisions of the ITAR, the Department of Defense (DOD) maintains the Military Critical Technologies List which defines and describes critical technologies in three distinct classes: 1) Weapons Systems Technologies, 2) Weapons of Mass Destruction Technologies, and 3) Developing Critical Technologies.

The Export Administration Act of 1979 is implemented by the EAR. These regulations are issued by the U.S. Department of Commerce, Bureau of Industry and Security (BIS), to control certain export, re-export, and other activities. The export control provisions of the EAR are intended to serve the national security, foreign policy, non-proliferation, and short supply interests of the United States and, in some cases, to carry out its international obligations. Some of the controls of EAR are designed to restrict access to what are termed “dual-use” items, i.e., items which when used in a military/strategic application would be subject to export control and when used in a commercial application may not be subject to export control. The activities/technology subject to EAR can be found on the Commerce Control List that is maintained by the BIS.

Fundamental Research in ITAR is defined as basic and applied research in science and engineering where the resulting information is ordinarily published and shared broadly within the scientific community, as distinguished from research the results of which are restricted for proprietary reasons or specific U.S. Government access and dissemination controls. University research will not be considered fundamental research if:

a) The University or its researchers accept other restrictions on publication of scientific and technical information resulting from the project or activity, or
b) The research is funded by the U.S. Government and specific access and dissemination controls protecting information resulting from the research are applicable.

Fundamental Research in EAR is defined as basic and applied research in science and engineering where the resulting information is ordinarily and shared broadly within the scientific community.

Foreign Persons are not authorized access to any export technology materials or information under U.S. government contracts or to any export technology material on the Commerce Control List and/or the U.S. Munitions List not under U.S. Government contract unless approved under a specific export license. Once the license has been obtained, Foreign Persons may access data that is subject to export controls in accordance with EAR and/or ITAR only to the extent necessary to fulfill their designated duties in accordance with the job description submitted with the Department of State License Application Form DSP-5 for the individual.
**International Traffic in Arms Regulations (ITAR)**

<table>
<thead>
<tr>
<th>Public Domain</th>
<th>Subject to ITAR</th>
<th><em>Definition and Website(s)</em></th>
</tr>
</thead>
<tbody>
<tr>
<td>Information in the public domain is not subject to ITAR. The public domain is defined as information that is published and is generally accessible or available to the public through:</td>
<td>ITAR applies when university research is not fundamental. Research is not fundamental if:</td>
<td>Fundamental research in ITAR is defined as <em>basic</em> and **applied research in science and engineering where the resulting information is ordinarily published and shared broadly within the scientific community as distinguished from research the results of which are restricted for proprietary reasons or specific U.S. Government access and dissemination controls. Contact with foreign nations is subject to export control when the information to be shared is not in the public domain and the information concerns items on the U.S. Munitions List and the Military Critical Technologies List.</td>
</tr>
<tr>
<td>➢ sales at newsstands and bookstores</td>
<td>➢ the University or its researchers accept other restrictions on publication of scientific and technical information resulting from the project or activity</td>
<td><strong>Basic Research</strong> means a systemic study directed toward greater knowledge or understanding of the fundamental aspects of phenomena and observable facts without specific applications towards processes or products in mind.</td>
</tr>
<tr>
<td>➢ subscriptions that are available without restrictions</td>
<td>➢ the research is funded by the U.S. Government and specific access and dissemination controls protecting information are applicable.</td>
<td><strong>Applied Research</strong> is a systemic study to gain knowledge or understanding necessary to determine the means by which a recognized and specific need may be met. It is a systematic application of knowledge toward the production of useful materials, devices, and systems or methods, including design, development, and improvement of prototypes and new processes to meet specific requirements.</td>
</tr>
<tr>
<td>➢ libraries open to the public or from which the public can obtain documents</td>
<td>ITAR regulations apply when information and research involving defense articles and services are not in the public domain. ITAR specifies the requirement for export/re-export licenses for both unclassified technical data and classified technical data.</td>
<td></td>
</tr>
<tr>
<td>➢ second class mailings privileges</td>
<td>University exemptions for foreign persons who are bona fide and full time regular employees DO NOT apply to foreign persons from Afghanistan, Belarus, Cuba, Iran, Iraq, Libya, North Korea, Syria, and Vietnam or from countries where the United States maintains an arms embargo such as Burma, China, Haiti, Iran, Iraq, Liberia, Pakistan, Rwanda, Somalia, Sudan and Democratic Republic of the Congo (formerly Zaire).</td>
<td></td>
</tr>
<tr>
<td>➢ patents available at any patent office</td>
<td>U.S. Department of State – Office of Defense Trade Controls -Embargo List</td>
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<tr>
<td>➢ unlimited distribution at a conference, meeting, seminar, trade show or exhibition, which is generally accessible to the public</td>
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<tr>
<td>➢ public release with unlimited distribution after approval from the cognizant U.S. Government department or agency</td>
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</tr>
<tr>
<td>➢ fundamental research* in science and engineering at accredited institutions of higher learning in the U.S. where the resulting information is ordinarily published and shared broadly in the scientific community.</td>
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**Export Administration Regulations (EAR)**

<table>
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<tr>
<th>Public Domain</th>
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<th><strong>Definition &amp; Website(s)</strong></th>
</tr>
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<tbody>
<tr>
<td>The same concept of public domain as defined by ITAR applies to the Export Administration Regulations (EAR) which is issued by the U.S. Department of Commerce. Basically, any information that is in the open literature or is to be published in the open literature and presented at open meetings without restrictions and which is generally accessible to the public is in the public domain and not subject to EAR. Fundamental research** whose results are published in the open literature is excluded from EAR. The EAR specifically states that educational information is not subject to EAR if it is released by institutions in catalog courses and associated teaching laboratories of academic institutions.</td>
<td>Information exchange with foreign nationals either as visitors, students or employees may be subject to export control if the information is not in the public domain and is on the U.S. Commerce List. Visits of faculty to laboratories in foreign countries and sabbaticals in those laboratories may be subject to export controls if the information to be shared and the research to be performed is not in the public domain and is on the U.S. Commerce List.</td>
<td>Fundamental research in EAR is defined as basic and applied research in science and engineering where the resulting information is ordinarily published and shared broadly within the scientific community.</td>
</tr>
</tbody>
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**Note:**
- **Basic Research** means a systemic study directed toward greater knowledge or understanding of the fundamental aspects of phenomena and observable facts without specific applications towards processes or products in mind.
- **Applied Research** is a systemic study to gain knowledge or understanding necessary to determine the means by which a recognized and specific need may be met. It is a systematic application of knowledge toward the production of useful materials, devices, and systems or methods, including design, development, and improvement of prototypes and new processes to meet specific requirements.

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**U.S. Department of State**

**U.S. Department of Commerce – Office of Defense Trade Controls -Embargo List**

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**U.S. Department of Commerce – Bureau of Industry and Security**

**U.S. Department of Commerce – National Technical Information Service**

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www.auburn.edu

9/10/2013