

Compliance Issues in Regard to Project Set Up

The Recap is to show the compliance issues that do not require completion of approvals from the appropriate Compliance Official prior to releasing funds for sponsored projects. This process does not eliminate the required approvals but accommodates other forms of mitigation of risks other than delaying the release of funding. Many of the remaining items of compliance still require pre-approval of the Member Compliance Office before the project can be setup.

| Compliance Item | Requires Pre-Approval of the Appropriate Compliance Office | Does Not Require Pre-Approval of the Appropriate Compliance Office |
|-----------------|---|---|
| 1 | Human Subjects | X |
| 2 | Protected Health Information | X |
| 3 | Human Embryonic Stem Cells | X |
| 4 | Animals (Vertebrates) | X |
| 5 | Recombinant DNA and Transgenic Organisms | X |
| 6 | Biohazards | X |
| 7 | Select Agents | X |
| 8 | Involves use of Biosafety Level 3 (BSL-3) Facility and BSL3 non-select agent/ABSL3 | X |
| 9 | Renovations to Facility | X |
| 10 | Planned Environmental Release of Infectious, Hazardous or Genetically Modified Organism | X |
| 11 | Radioactive Materials/Radiation Producing Devices | X |
| 12 | DEA Controlled Substances | X |
| 13 | Regulated Hazardous Materials | X |
| 14 | Explosives | X |
| 15 | Scientific Diving | X |
| 16 | Good Laboratory Practices (GLP)/Good Manufacturing Practices (GMP)/Good Clinical Practices (GCP) | X |
| 17 | Nepotism | X |
| 18 | Firearms | X |
| 19 | Intellectual Property Anticipated to be Developed | X |
| 20 | Pre-publication Approved by Sponsor | X |
| 21 | Export Control-Sponsor Restriction on Participation of non-US Persons | X |
| 22 | Export Control-International Collaboration | X |
| 23 | Export Control-Project Performed at Non-US Location | X |
| 24 | Export Control-Items to be Shipped to a Non-US Destination | X |
| 25 | Export Control-Equipment, Software, or Technology used in the project is designed (or could be modified) for military use or use in outer space | X |
| 26 | Export Control-The proposed research could be used in the development of weapons of mass destruction including the proliferation of nuclear explosive devices, chemical or biological weapons or missile technology | X |
| 27 | Export Control-The proposed research contains source code for 128-bit encryption software or mass-market encryption products | X |
| 28 | Controlled Unclassified Information (CUI) | X |
| 29 | Unmanned Aircraft Systems (UAS) | X |