Office of Research Integrity Assurance

Export Control Module in eRouting

User Guide
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Introduction

The Export Control module in eRouting manages export reviews for research activities conducted by the Office of Research Integrity Assurance (ORIA). It keeps a history of actions and maintains the records required for a complete review. The primary users of this system are ORIA staff, contracting officers in Office of Sponsored Programs (OSP) and Industry Engagement (IE), as well as faculty and staff involved in research administration activities.

This user guide provides an overview of the Export Control module user interface and explains how to create and search export reviews.

Accessing the Application

Open a web browser and go to https://erouting.gatech.edu/erouting.

Export Control module will be on the right.
Overview of the User Interface

Home Page Components

1. **Proposals** – used to create a proposal for a new sponsored and route for the required approvals

2. **Export Control** – used to create a New Sponsored Export Review, a New Non-Sponsored Export Review and Search Export Reviews.

3. **My Actions** – provides quick access to tasks that require your action for the process to move forward in Proposals and Export Control

4. **My Requests** – provides quick access to requests by the user in Proposals and Export Control

NOTE: GTRI Users will also see Opportunity Module on the left
Navigation
This Navigation is on the left in an export review.

Export Data – information on a proposal from eRouting or award from Contract Information System (CIS) (PD/PI, Title, Additional Contacts, Sponsor, Keywords, Reason for Export Review). A user is also able to add administrative contacts that may need access to the export review.

Overview – access to the PD/PI Certification if required for a review

Disposition – summary of determinations made by ORIA

Attachments – ability to upload and access attachments necessary for the export review

Questions – ability for user to ask a question of another user related to the review

History – summary of actions taken with date and time

Related Items – links to related eRouting Proposals, CIS files, and other related export reviews

Take Actions – user may add comments regarding the review for the file

Disposition

Summary of determinations made by ORIA reviewers is available under Disposition.

Flags for publication and foreign national restrictions are identified.
Attachments
Attachments are added to the review if they are not available in eRouting or CIS at the time of review (e.g., updated SOW, draft agreements, additional terms and conditions, NDA)

1. Click or drop files to upload
2. Type in a description
3. Select the most appropriate category
4. Multiple files may be added, then click

Completed uploads will be listed under Active Attachments.

Questions – Asking and Answering
This action is used by a user to ask a question of another user for more information or clarification.

Asking a Question:

Email sent to Recipient of question
New Question Added on Export Review
Request is also added to “My Actions”

Notes:
- New window will provide opportunity to ask the question and select the recipient. Multiple recipients may be selected.
- Note: Recipients will appear with typing, but you must click on the appropriate name.
**Answering a Question:**

Access the question through the email or in “My Actions.”
“Submit Response” to return the question.

*Email sent to user who asked the question*

New Response has been added to a Question on an Export Review
Request is also added to “My Actions”

**Resolving the question:**

Once the question is answered, the individual who asked the question may close and mark it as resolved.

*Email sent to any recipients who did not answer the question*

A Question on an Export Review has been closed
Request is also removed from “My Actions”
History

History is available for all users with access to the review and provides a summary of all actions including times and individuals.

Related Items

Related items provide quick access to related export reviews, the proposal in eRouting, and the file in CIS.
Adding Comments – Take Actions

Comments are used to add information to the file that does not require a response. (Any questions requiring a response should use the Questions action.) Comments may be directed to a particular user, but will be visible to all users with access to the review.
Export Control Reviews

Create a New Export Control Review

Most export reviews are related to a sponsored award. Contracting Officer will initiate these export reviews.

Other export reviews may be initiated as a “New Non-Sponsored Export Review. (e.g. Exchange Agreements, Non-Sponsored research, Software Usage Agreements)

Create Sponsored Export Review

A New Sponsored Award Export Review may be based on either an existing Award/Fund # (information in CIS) or An existing Proposal (information in eRouting). If a file cannot be found using the P# as an existing Proposal, search under existing Award/Fund#.
To find the appropriate award/proposal, enter information in any field, then:

Find Award/Fund # OR Find Proposal

Once the award/proposal has been identified, create an Export Review.
1. Review information, PD/PI, Co-PD/PI, Administrative POC, Sponsor, etc. Correct as necessary. Grey fields will need to be corrected in eRouting proposal or CIS.
2. Add administrative contacts if needed – begin typing name, click once individual is listed
3. Most Important - Check appropriate box for reason for review. Answers will be added from the routing form. If none apply, leave unchecked.

Next steps: ORIA team assigns the file to a team member. Reviewer will review and ask questions in the system as necessary. Once the review has been completed, ORIA will enter a disposition.

Any user with access to the file (CO, PD/PI, reviewer, Administrative Contact) may check information about the status of the review in History or Disposition.
Create a Non-Sponsored Review

Non-sponsored research that requires an export review is submitted as a Non-Sponsored Review. Information is added manually, but the remaining steps are the same as creating a Sponsored Review. Remember to add any attachments necessary.

![Export Review: Data](image)

Email sent to PD/PI, CO, ORIA Team

New Non-Sponsored Export Review Created

PI/PD Export Certification

- The ORIA Team will request a **New Certification Form** on the **Export Review: Overview** if needed
  - Remember, this step is needed if “Proposal will be submitted to a foreign sponsor (Prime or Sponsoring Organization)” is not selected in the **Reason** section of the **Export Data** tab

Request Help

Contact the Office of Research Integrity Assurance, export@gatech.edu if you need assistance or encounter errors.
# Appendix A: Email Notifications

<table>
<thead>
<tr>
<th>Message Name</th>
<th>Message Text</th>
<th>Target audience</th>
</tr>
</thead>
<tbody>
<tr>
<td>New Non-Sponsored Export Review Created</td>
<td>A New Non-Sponsored Export Review (Insert E file number) has been created. To access the Export Review, please click on the following link: (URL) Status: Export Review Title: PD/PI:</td>
<td>PD/PI, CO, ORIA Rep, ORIA Admin</td>
</tr>
<tr>
<td>Export Review - Further Action Reminder</td>
<td>Reminder: A Export Review (Insert E file number) requires further action. To access the Export Review, please click on the following link: (URL) Status: Export Review Title: PD/PI:</td>
<td>ORIA Rep</td>
</tr>
<tr>
<td>Non-Sponsored Export Review Modified</td>
<td>One or more of the following fields have been updated on an Export Review PD/PI Co-PD/PI Sponsor Title Contract Officer Country Reason To view the request, please access the link below (URL) Status: Project Title: PD/PI: Sponsor:</td>
<td>PD/PI, CO, ORIA Rep, ORIA Admin</td>
</tr>
<tr>
<td>New Sponsored Export Review Created</td>
<td>A New Sponsored Export Review (Insert E file number) has been created. To access the Export Review, please click on the following link: (URL) Status: Project Title: PD/PI:</td>
<td>PD/PI, CO, ORIA Rep, ORIA Admin</td>
</tr>
<tr>
<td>Sponsored Export Review - Further Action Reminder</td>
<td>Reminder: A Export Review (Insert E file number) requires further action. To access the Export Review, please click on the following link: (URL) Status: Export Review Title: PD/PI:</td>
<td>ORIA Rep</td>
</tr>
<tr>
<td>Sponsored Export Review Modified</td>
<td>One or more of the following fields have been updated on an Export Review PD/PI Co-PD/PI Sponsor Title Contract Officer Country Reason To view the request, please access the link below (URL) Status: Project Title: PD/PI: Sponsor:</td>
<td>PD/PI, CO, ORIA Rep, ORIA Admin</td>
</tr>
<tr>
<td>Sponsored</td>
<td>A New Certification Request (Insert E unique ID and Cert Req Unique ID) has been created. To access the Export Review, please click on the following link:</td>
<td>ORIA Rep, ORIA Admin</td>
</tr>
<tr>
<td>Event</td>
<td>Description</td>
<td>Responsible Party</td>
</tr>
<tr>
<td>--------------------------------------------</td>
<td>-----------------------------------------------------------------------------</td>
<td>-------------------</td>
</tr>
<tr>
<td>New Certification Request Created</td>
<td>A New Certification Request (Insert E unique ID and Cert Req Unique ID) has been created. To access the Export Review, please click on the following link:</td>
<td>PD/PI,</td>
</tr>
<tr>
<td>Non-Sponsored New Certification Request Created</td>
<td>(URL) Request Status: Export Review Title: PD/PI:</td>
<td>ORIA Team</td>
</tr>
<tr>
<td>Certification Submitted</td>
<td>A Certification Request (Insert E unique ID and Cert Req Unique ID) has been submitted. To access the Export Review, please click on the following link:</td>
<td>ORIA Team</td>
</tr>
<tr>
<td>Certification PD/PI Updated</td>
<td>A PD/PI has been updated on a Certification Request (Insert E unique ID and Cert Req Unique ID). To access the Export Review, please click on the following link:</td>
<td>PD/PI</td>
</tr>
<tr>
<td>Certification New PD/PI</td>
<td>You have been assigned as the new PD/PI on a Certification Request (Insert E unique ID and Cert Req Unique ID). To access the Export Review, please click on the following link:</td>
<td>PD/PI</td>
</tr>
<tr>
<td>ORIA Rep Assignment</td>
<td>You have been assigned as the owner of (Export Control Request ID #) To view the request, please access the link below</td>
<td>ORIA Rep</td>
</tr>
<tr>
<td>Fields Updated on an Existing ER</td>
<td>One or more of the following fields have been updated on an Export Review PD/PI Co-PD/PI Sponsor Title Contract Officer Country Reason To view the request, please access the link below</td>
<td>ORIA Group</td>
</tr>
<tr>
<td>New Question Added on Export Review</td>
<td>A new question has been added on an Export Review which requires your response. (Question asked here) To view the request, please access the link below</td>
<td>Persons Selected for response</td>
</tr>
</tbody>
</table>

Thank you.
<table>
<thead>
<tr>
<th>Event Description</th>
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<th>Event Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>A response has been received on an Export Review question.</td>
<td>New Response has been added to a Question on an Export Review</td>
<td>Person who asked the question</td>
</tr>
<tr>
<td>(Response to question here)</td>
<td>To view the request, please access the link below (URL)</td>
<td></td>
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<tr>
<td>Status: Project Title: PI/PD: Sponsor:</td>
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<td></td>
<td>Thank you.</td>
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<tr>
<td>A new question has been added on a Certification which requires your response.</td>
<td>New Question Added on Certification</td>
<td>Persons Selected for response</td>
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<tr>
<td>(Question asked here)</td>
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<td>To view the request, please access the link below (URL)</td>
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<td>Thank you.</td>
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<tr>
<td>A Question on an Export Review has been closed.</td>
<td></td>
<td>Responders who have not yet answered</td>
</tr>
<tr>
<td>(Question here)</td>
<td></td>
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