



Export Controls Compliance Management Software

G-Cloud 15 Service Definition Document

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Introduction

At Infonetica, we empower the world's leading researchers with an ecosystem of software products that make their lives easier, so they can focus on delivering the groundbreaking research of tomorrow.

Supporting over 2 million research projects across 14 countries, Infonetica's products support the end-to-end lifecycle of a research project including: research grant and funding applications (Pre-Award), research governance, research ethics review, data protection impact assessments, export controls management, research project due diligence, research contracts management, clinical trial management and compliance training for researchers.

Infonetica's "Export Controls" module is a dedicated cloud-based solution for classifying and managing trusted research processes where the project is subject to Export Control licencing and legislation. It is used by research-intensive universities, research hospitals, Institutional Review Boards, government bodies and others to track and maintain compliance where research relates to software or technologies linked to strategic military and/or dual-use items.

"Export Controls" enables its users to:

- Identify where an existing or proposed research project might be subject to Export Controls or sanctions
- Identify the type of licence required (e.g. OGEL, SIEL)
- Reduce potential reputational risk of non-compliance with export control licencing and legislative requirements
- Provide significant time savings for Principal Investigators, Research Managers, Reviewers, Administrators and key stakeholders involved in export control compliance such as Export Controls Managers and Officers (ECO), Export Controls Joint Unit members (ECJU)
- Eliminate paper and email correspondence with automated creation of online Export Controls forms
- Reduce workflow complexity
- Improve data quality by reducing manual data entry and data duplication
- Reduce missed deadlines and information gaps
- Have easy access to all records, documentation and updates
- Easily generate reports and track status & performance

Summary of Functionalities

Export Controls

- Initiate Export Control workflows from multiple research project milestones
- Create workflows to automatically route high risk research applications for Export Controls review
- Configurable workflows to automate Export Controls approvals for low-risk research applications
- Automated routing of high-risk research applications to Legal & Compliance, Head of Research in case of any WMD, military or dual-use concerns
- ECJU guideline compliance
- Contextual guidance and clear instructions on Export Control processes and required actions
- Guided assessment to help researchers understand what type of licence is required
- Automated submission, review and approval for export control teams
- Enable correspondence between the PI and Export controls team so that the team can advise, share best practice, provide MI all in one place
- Complete data records for all exports to meet compliance requirements
- Track licence data, dates and status
- Full audit trail of end-to-end research lifecycle

Workflow

- Create workflows with very little training and no programming knowledge
- Create multiple workflows within the same environment
- Create and configure interactive forms and workflows
- Update workflow and forms at any time
- Use logical branching to simplify research proposal completion

Project Types

The Export Controls module can be configured to manage **any** type of research project applications. Some of the project areas which are typically subject to export controls include:

- aeronautical and space technology
- applied chemistry, biochemistry and chemical engineering
- applied physics
- biotechnology and bio-safety studies
- electrical and mechanical engineering
- instrumentation and sensors

- materials technology
- nuclear technologies
- production and process technology
- telecommunications and information technology
- economics research
- defense studies

Collaboration

- Set access levels for collaborators on a project (internal and external)
- Researchers can collaborate on licencing applications and management
- Supervisors can comment or review before submission to Principal Investigator (PI), Export Control Office (ECO) or Export Control Joint Unit (ECJU)
- Legal, compliance teams can access and provide input

Automation

- Automated classification of application / project type
- Automated routing to appropriate Export Controls reviewers for that classification of application / project
- Automated notifications and emails when key milestones are met
- Automated alerts when deadlines are approaching or missed
- Automated version control with storage of previous application versions
- Automated collation of reviewer comments into template letters

Communication

- Standard communication templates
- Automated communication
- Editable letter and email templates
- Correspondence feature to allow applicants and reviewers to communicate within the system

Documentation

- Central repository of all applications and associated documents including:
 - Licence application versions
 - Amendment forms
 - Adverse event forms
 - Annual reports
 - Study closure forms
- Version control

Forms

- Configurable forms with a range of question types
- Filter questions and dependencies
- Dynamic forms
- Completeness checker
- Help, FAQ and user guide functionality

Review Process

- Reviewers can be assigned to (or removed from) Export Control projects, committees and applications
- Review process can be configured to get sign off from Export Controls Office / Trusted Research / Research Integrity / Research Governance stakeholders
- Rule-based automatic application assignment to reviewers or ECJU can be configured
- Reviewers can be assigned based on workload
- Multiple reviewers could simultaneously work on the same project
- Reviewers can quickly and easily track changes between versions of documentation
- Applications can be annotated by reviewers
- Reviewer annotation can be set as only visible to other reviewers
- Virtual review meetings can be held
- Applications can be escalated to a higher-level reviewer
- Reviewer comments can be moderated

Admin Process

- Applications and Licences can be reviewed / validated / approved
- Comments can be added
- Changes can be requested and reviewed
- Reviewers can be assigned
- Conflicts of interest can be registered
- Export Controls projects and licenses can be assigned to meetings
- Project types can be changed
- Export Controls projects and licenses may be re-routed to different committees/reviewers/offices (escalate/de-escalate)
- Comments can be registered “closed”
- Comments may be moderated prior to feeding back to Applicant
- Decisions can be registered
- Forms and workflows can be created and configured
- The system can be personalised with custom role-related desktop views

Dashboard

- Dashboards for applicants, research administrators and reviewers
- Separate dashboards for export control licenses
- Timeline tracker
- Reporting dashboards with data and trends on KPIs
- Personalised content, showing only applications the user is involved with

Reporting

- Reporting on any data within the system
- Reporting on actions, status, licence applications
- Output in several formats such as pdf, html, csv, word as well as via API
- Set and share standard reports
- Schedule recurring reports

Audit

- Audit trail of all activity on applications, including:
 - Applicant changes
 - Reviewer activity
 - Timestamp
 - Identity of user
 - Emails sent
 - Alerts sent
 - API calls made
 - Documents accessed by users
 - Reports run
- Page visits by user, time and date visited

Alerts & Reminders

- Automatic alerts and reminders
- Timeline recording
- Alerts for annual reports
- Alerts for overdue reviews
- Alerts for overdue resubmissions

Interfaces

- Integration with other existing systems
- Consume and output information from/to other software through APIs

System

- Choice of an open or closed system
- Web-based, accessible from any device with a browser
- Supports single sign-on

Data Protection

- GDPR compliant

Support

Training

- Training for administrators
- Train-the-trainer sessions
- Introduction training to reporting
- Provision of training environment

Helpdesk

- Support via email, telephone and Jira online ticketing system
- 9 am – 5 pm Monday to Friday excluding bank holidays
- Defined escalation and response routes
- Appointed point of contact

Data Migration

- Facility for easy data migration of research database from other systems

Infrastructure

Service

- Hosting in the cloud to comply with data protection and sovereignty
- Redundancy and overprovisioning for a reliable and uninterrupted service
- SLA (Service Level Agreement) with 99.9% uptime
- 24x7 monitoring and alerting

Integration

- Transactional and batch REST APIs
- Bulk import service for efficient data migrations
- Single Sign-On: ADFS, Azure AD and Native SAML2 iDPs such as Shibboleth

Security

- ISO 27001 certification
- Cyber Essentials Plus accreditation
- Regular independent penetration tests and audits
- Data encryption at rest and in transit

Platform

- An integrated product suite
- Fully configurable workflow engine to support the most demanding scenarios
- Comprehensive forms authoring solution
- Extensible reporting

Updates

- Regular updates driven by feedback from the Infonetica global customer community
- Optional release preview environment
- Empowered product engineering team approach going beyond agile