

INSTRUCTIONS

Export Control review is required *prior* to acceptance of agreements if any of the following criteria are met:

1. **Restricted Party Screening (RPS)*** of any UA or non-UA personnel, companies, institutions, etc., results in a potential match. Contact Export Control if you are unsure who your departmental screener is.

**To remain compliant with federal regulations, the University of Arizona conducts Restricted Party Screenings (RPS) to help prevent illegal transactions with restricted foreign and domestic parties.*

2. **Activities/Sponsor/Collaborators are located in:**

- Cuba
- Iran
- North Korea
- Russia
- Syria

3. **Proposed activity involves:**

- Research with potential military end-use.
- Services or transfer of technology, software, material, equipment, or information in applied/technical/scientific fields including:

Engineering	Chemistry	Electronics	Optical Sciences	Computer Sciences
Geosciences	Physics	MIS	Space Sciences	Instrumentation Design

4. **Proposed agreement involves:**

- non-standard export control language
- publication restrictions (e.g. sponsor approval prior to publishing)
- information security requirements
- foreign national restrictions and/or approval for foreign nationals
- the transfer of items, technology, or software to a non-U.S. person/entity (abroad OR within the U.S.)

DEPARTMENT/COLLEGE

- Complete Part A** and route with the agreement, awards, SOW, flowdowns, etc. to Contracting.
Checklists must be on file and export control issues addressed prior to grant award or agreement signing.

CONTRACTING SERVICES

- Complete Part B** and add the **UA Account number/UA Negotiation Log Identification (NLID)**.
- If any "YES" responses:** forward Checklist, agreement, and all relevant documents (awards, SOWs and flowdowns, etc.) to Export Control. **If the *only* "Yes" answer is Part A Q4, a review by Export Control is not required.**
- Notify the Awards team** if a TCP is required.
- Retain** completed Checklists with the account file.

EXPORT CONTROL

- Review** the Checklist, agreement, and documentation and complete Part C.
- Return** completed Checklist to the appropriate College/Department Administrator and Contracting.
- Notify** College/Department and Contracting upon completion when additional steps required for TCP or CUI.

Thank you for your assistance!

Please contact Export Control export@arizona.edu with questions.

Please complete electronically

UA Account / NLID:		Sponsor:	
PI (Principal Investigator):		Prime Sponsor:	
College / Dept:			

PART A: College/Dept. Completed by: _____ Date: _____	YES	NO
1. There was a match (alert) on a required RPS screening of UA or non-UA personnel or entities.	<input type="checkbox"/>	<input type="checkbox"/>
2. Activity occurs in a foreign country . ➤ IF YES: Country(s):	<input type="checkbox"/>	<input type="checkbox"/>
3. Involves persons or companies located outside of the U.S. (including sponsors) . ➤ IF YES: Name(s) and country(s):	<input type="checkbox"/>	<input type="checkbox"/>
4. Involves non-U.S. citizens located in the U.S. (including the PI). List name/role/country(s) of citizenship and note if status is LPR (green card holder):	<input type="checkbox"/>	<input type="checkbox"/>
5. Technical data / technology expected to be received/exchanged (e.g., blueprints, diagrams, models, formulae, designs or specifications, configuration or integration design, manuals, instructions). ➤ IF YES: Provide details (research topic, type of data/technology, and/or export classification from Sponsor):	<input type="checkbox"/>	<input type="checkbox"/>
6. Equipment from the sponsor or a third party to be received. ➤ IF YES: Request export control classification and provide description:	<input type="checkbox"/>	<input type="checkbox"/>
7. Substances/chemical compounds involved, such as explosive materials (e.g., DNAN, NTO) or propellants and constituent chemicals for propellants. ➤ IF YES: List (include CAS as possible):	<input type="checkbox"/>	<input type="checkbox"/>
8. Defense agency, defense contractor, or military-related materials involved (i.e., missiles, explosives, military training, military vehicles, vessels, equipment).	<input type="checkbox"/>	<input type="checkbox"/>
9. Transfer of goods, services, information, or technology abroad expected. ➤ IF YES: Describe:	<input type="checkbox"/>	<input type="checkbox"/>
10. Involves nuclear, chemical, or biological weapons, missile or space technology (excludes astronomical obs.). ➤ IF YES: Describe:	<input type="checkbox"/>	<input type="checkbox"/>
11. Encryption source code or source code incorporating encryption functionality is involved.	<input type="checkbox"/>	<input type="checkbox"/>
PART B: Contracting Reviewed by: _____ Date: _____	YES	NO
1. Sponsor must approve/disapprove publication (excluding reasonable reviews for patents or proprietary information) or restrict the dissemination of research (e.g., DFARS 252.204.7000 or FAR 52.227-17 clauses).	<input type="checkbox"/>	<input type="checkbox"/>
2. Incorporates DFARS 252.204-7008, 252.204-7012, 252.204-7019, 252.204-7020, 252.204-7021 or clause from NASA (1852.204-76) or other agency requiring an IT security plan.	<input type="checkbox"/>	<input type="checkbox"/>
3. IF YES to Q1 or Q2: Written confirmation has been received from the Government Contracting Officer (CO) that the UA component is Fundamental Research.	<input type="checkbox"/> N/A	<input type="checkbox"/>
4. Includes non-standard export language , beyond adhering to regulations.	<input type="checkbox"/>	<input type="checkbox"/>
5. Prohibits involvement of non-U.S. persons, or persons from certain countries, and/or requires UA to identify or seek prior approval from Sponsor for foreign national participation.	<input type="checkbox"/>	<input type="checkbox"/>
PART C: Export Control Reviewed by: _____ Date: _____	YES	NO
• A Technology Control Plan (TCP) is required prior to signing agreement.	<input type="checkbox"/>	<input type="checkbox"/>
• Controlled Unclassified Information (CUI) is applicable.	<input type="checkbox"/>	<input type="checkbox"/>
• A license or other government authorization is required.	<input type="checkbox"/>	<input type="checkbox"/>
NOTES:		