

INSTRUCTIONS

EXPORT CONTROL CHECKLIST REVIEW IS REQUIRED *PRIOR TO ACCEPTANCE OF ALL CONFIDENTIALITY AGREEMENTS* IF ANY OF THE CRITERIA IN THE INSTRUCTIONS OR CHECKLIST ARE MET:

1. If **Restricted Party Screening (RPS)*** of non-UA key contacts, companies, institutions, etc., results in a potential match. Use Descartes Visual Compliance to screen. Contact Export Control if you have questions, or you are unsure who conducts screenings in your unit.

*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. **If collaborators/non-UA party(ies) are located in:**

♦ Cuba ♦ Iran ♦ North Korea ♦ Russia ♦ Syria

3. **If the confidentiality agreement involves:**

- The transfer of information for potential military end-use.
- Transfer of technology, software code, or information in applied/technical/scientific fields including:

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

UNIVERSITY OF ARIZONA UNIT

Complete Part A and **route** with the confidentiality agreement to the Office of Research Contracts (ORC).

Checklist(s) must be on file and export control issues addressed prior to signing the confidentiality agreement.

OFFICE OF RESEARCH CONTRACTS (ORC)

Add the UA Negotiation Log Identification (NLID).

Complete Part B (*question 8 not applicable if using UA template*)

Retain completed Checklist with the negotiation file.

EXPORT CONTROL

Review the Checklist, agreement, and any other documentation and complete Part C.

Return completed Checklist to the appropriate Unit and ORC.

If a Technology Control Plan (TCP) is required, notify Unit and ORC when the TCP is finalized.

Thank you for your assistance!

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

Please complete electronically

UA Account/NLID:		Unit/Department:	
PI/UA Responsible Party:			
Non-UA Party:			

PART A: Unit/Department	Completed by: _____	Date: _____	YES	NO	
1. There was a match (alert) on a required RPS screening on non-UA key contacts, companies, institutions, etc.			<input type="checkbox"/>	<input type="checkbox"/>	
2. Meetings and discussions covered by this confidentiality agreement involve persons or companies located outside of the U.S. ➤ <i>If YES list name(s) and country(s):</i>			<input type="checkbox"/>	<input type="checkbox"/>	
3. Meetings and discussions involve non-U.S. citizens located in the U.S. (including the PI/UA Responsible Party). ➤ <i>If YES list name/role/country(s) of citizenship:</i>			<input type="checkbox"/>	<input type="checkbox"/>	
4. Meetings and discussions with a defense agency or other contractor/institution that pertain to military-related items , such as missiles, explosives, military training, military vehicles, vessels, or equipment; nuclear, chemical, or biological weapons ; or space technology (excludes astronomical observations). ➤ <i>If YES describe:</i>			<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). ➤ <i>If YES provide details (research topic, type of data/technology, and/or export classification):</i>			<input type="checkbox"/>	<input type="checkbox"/>	
6. Transfer abroad of any technical data/technology. ➤ <i>If YES describe:</i>			<input type="checkbox"/>	<input type="checkbox"/>	
7. Encryption source code or source code incorporating encryption functionality is involved.			<input type="checkbox"/>	<input type="checkbox"/>	
PART B: ORC	Reviewed by: _____	Date: _____	N/A	YES	NO
8. Includes non-standard export language , beyond adhering to regulations (<i>not applicable if using UA template</i>).			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9. Prohibits involvement of non-U.S. persons, or persons from certain countries, and/or requires UA to identify or seek prior approval from non-UA Party for foreign national participation.			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
PART C: Export Control	Reviewed by: _____	Date: _____	YES	NO	
10. A Technology Control Plan (TCP) is required prior to signing the confidentiality agreement.			<input type="checkbox"/>	<input type="checkbox"/>	
11. Controlled Unclassified Information (CUI) is applicable.			<input type="checkbox"/>	<input type="checkbox"/>	
12. A license or other government authorization is required.			<input type="checkbox"/>	<input type="checkbox"/>	

NOTES/COMMENTS (for all reviewers)