

## INSTRUCTIONS

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

A. If **Restricted Party Screening (RPS)**\* of DCCs or non-UA personnel, 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 department.

\*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.

B. **If activities/sponsor/collaborators are located in:**

◆ Cuba                  ◆ Iran                  ◆ North Korea                  ◆ Russia                  ◆ Syria

C. **If proposed activity/scope of work 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

D. **If proposed agreement includes:**

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

### COLLEGE/DEPARTMENT

**Complete Part A** and route with the agreement, awards, SOW, flowdowns, etc. to the Office of Research Contracts (ORC).  
*Checklists must be on file and export control issues addressed prior to grant award or agreement signing.*

### OFFICE OF RESEARCH CONTRACTS

- 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 Checklist with the negotiation file.

### EXPORT CONTROL

- Review** the Checklist, agreement, and documentation and complete Part C.
- Return** completed Checklist to the appropriate College/Department Administrator and ORC.
- If a Technology Control Plan (TCP) is required, notify** College/Department and ORC when the TCP is finalized.

**Thank you for your assistance!**

Please contact Export Control [export@arizona.edu](mailto:export@arizona.edu) with questions.

Please complete electronically

<b>UA Account/NLID:</b>		<b>Sponsor:</b>	
<b>PI:</b>		<b>Prime Sponsor:</b>	
<b>College/Dept.:</b>			

PART A: College/Dept.	Completed by: _____	Date: _____	YES	NO
1.	There was a <b>match</b> (alert) on a <b>required RPS</b> screening of DCCs or non-UA personnel, companies, institutions, etc.		<input type="checkbox"/>	<input type="checkbox"/>
2.	Activity occurs in a <b>foreign country</b> . > <i>If YES list country(s):</i>		<input type="checkbox"/>	<input type="checkbox"/>
3.	Activity involves <b>persons or companies located outside the U.S. (including sponsors)</b> . > <i>If YES list name(s) and country(s):</i>		<input type="checkbox"/>	<input type="checkbox"/>
4.	Activity involves <b>non-U.S. citizens located in the U.S.</b> (incl. PI). > <i>If YES list name/role/country(s) of citizenship and if status is LPR (green card holder):</i>		<input type="checkbox"/>	<input type="checkbox"/>
5.	<b>Technical data/technology</b> 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 from Sponsor):</i>		<input type="checkbox"/>	<input type="checkbox"/>
6.	<b>Equipment</b> from the sponsor or a third party to be received. > <i>If YES request export control classification and provide description:</i>		<input type="checkbox"/>	<input type="checkbox"/>
7.	<b>Substances/chemical compounds</b> involved, such as explosive materials (e.g., DNAN, NTO) or propellants and constituent chemicals for propellants. > <i>If YES list substances (include CAS if known):</i>		<input type="checkbox"/>	<input type="checkbox"/>
8.	Activity with a <b>defense agency</b> or other <b>contractor/institution</b> that involves <b>military-related items</b> such as missiles, explosives, military training, military vehicles, vessels, or equipment; <b>nuclear, chemical, or biological weapons</b> ; or <b>space technology</b> (excludes astronomical observations). > <i>If YES describe:</i>		<input type="checkbox"/>	<input type="checkbox"/>
9.	<b>Transfer</b> of goods, services, information, or technology abroad expected. > <i>If YES describe:</i>		<input type="checkbox"/>	<input type="checkbox"/>
10.	<b>Encryption source code</b> or <b>source code incorporating encryption functionality</b> is involved.		<input type="checkbox"/>	<input type="checkbox"/>

PART B: ORC	Reviewed by: _____	Date: _____	YES	NO
11.	Sponsor must <b>approve/disapprove publication</b> (excluding reasonable reviews for patents or proprietary information) or <b>restrict the dissemination</b> of research (e.g., <b>DFARS 252.204.7000</b> or <b>FAR 52.227-17</b> clauses).		<input type="checkbox"/>	<input type="checkbox"/>
12.	Incorporates <b>DFARS 252.204-7008, 252.204-7012, 252.204-7019, 252.204-7020, 252.204-7021</b> or clause from <b>NASA (1852.204-76)</b> or other agency requiring an IT security plan.		<input type="checkbox"/>	<input type="checkbox"/>
13.	IF YES to Q11 or Q12: Written confirmation has been received from the Government Contracting Officer (CO) that the UA component is Fundamental Research.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
14.	Includes <b>non-standard export language</b> , beyond adhering to regulations.		<input type="checkbox"/>	<input type="checkbox"/>
15.	<b>Prohibits</b> 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
16.	<b>A Technology Control Plan (TCP)</b> is required prior to signing agreement.		<input type="checkbox"/>	<input type="checkbox"/>
17.	<b>Controlled Unclassified Information (CUI)</b> is applicable.		<input type="checkbox"/>	<input type="checkbox"/>
18.	<b>A license</b> or other government authorization is required.		<input type="checkbox"/>	<input type="checkbox"/>

<b>NOTES/COMMENTS (for all reviewers)</b>