

## 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 **Countries of Concern** (click for current list of countries)

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, or scientific fields:**

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

\*Agreements with international collaborators/sponsors or activities occurring in a foreign country

### COLLEGE/DEPARTMENT/UNIT

- ☐ If the agreement meets the criteria above, complete **Part A** and submit checklist with the confidentiality agreement to the appropriate Contracting Office (ORCA or CRA). **To ensure timely review, departments should initiate and submit the checklist; if needed and not submitted, CRA or ORCA will request its completion.**

- ☐ **Question 7** - All departments on the **Main Campus** must answer Question 7.  
**AZ Health Sciences** must answer Question 7 *only if you answered "Yes" to any of questions 1-6.*

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

### CONTRACTING OFFICE (ORCA or CRA)

- ☐ Add the **UA Negotiation Log Identification (NLID)**.
- ☐ Complete **Part B** (question 8 not applicable if using UA template).
- ☐ If any **"YES"** responses: forward Checklist, agreement, and any relevant information to Export Control.
- ☐ 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 Contracting Office (ORCA or CRA).
- ☐ If a **Technology Control Plan (TCP)** is required, notify Contracting Office when the TCP is finalized.

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

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

PART A: Unit/Department		Completed by: _____	Date: _____	YES	NO	
1.	There was a <b>match</b> (alert) on a <b>required RPS</b> 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 <b>persons or companies located outside of the U.S.</b> ➤ <i>If YES list name(s) and country(s):</i>			<input type="checkbox"/>	<input type="checkbox"/>	
3.	Meetings and discussions that pertain to <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"/>	
4.	<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):</i>			<input type="checkbox"/>	<input type="checkbox"/>	
5.	<b>Transfer abroad of any</b> technical data/technology. ➤ <i>If YES describe:</i>			<input type="checkbox"/>	<input type="checkbox"/>	
6.	<b>Encryption source code</b> or <b>source code incorporating encryption functionality</b> is involved.			<input type="checkbox"/>	<input type="checkbox"/>	
All departments on the <b>Main Campus</b> must answer Question 7. <b>AZ Health Sciences</b> must answer Question 7 <i>only if you answered "Yes" to any of questions 1-6 above</i>						
7.	Meetings and discussions involve <b>non-U.S. citizens located in the U.S.</b> (including PI/UA Responsible Party). ➤ <i>If YES list name/role/country(s) of citizenship and if status is LPR (green card holder, or if multiple persons contact Export Control):</i>			<input type="checkbox"/>	<input type="checkbox"/>	
PART B: Contracting Office		Reviewed by: _____	Date: _____	N/A	YES	NO
8.	Includes <b>non-standard export language</b> , beyond adhering to regulations ( <i>not applicable if using UA template</i> ).			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9.	<b>Prohibits</b> involvement of non-U.S. citizens, 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.	<b>A Technology Control Plan (TCP)</b> is required prior to signing the confidentiality agreement.			<input type="checkbox"/>	<input type="checkbox"/>	
11.	<b>Controlled Unclassified Information (CUI)</b> is applicable.			<input type="checkbox"/>	<input type="checkbox"/>	
12.	<b>A license</b> or other government authorization is required.			<input type="checkbox"/>	<input type="checkbox"/>	
<b>NOTES/COMMENTS (for all reviewers)</b>						