

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 with questions.

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 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"/>			
4. 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"/>			
5. Transfer abroad of any technical data/technology. ➤ <i>If YES describe:</i>	<input type="checkbox"/> <input type="checkbox"/>			
6. Encryption source code or source code incorporating encryption functionality is involved.	<input type="checkbox"/> <input type="checkbox"/>			

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 above*

7. Meetings and discussions involve non-U.S. citizens located in the U.S. (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"/>
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PART B: Contracting Office	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"/>				
9. Prohibits 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"/>				

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)