INSTRUCTIONS

<table>
<tr><td colspan="2" style="background:#8B0000;color:white">**Export Control review is required *prior* to acceptance of agreements if any of the following criteria are met:**</td></tr>
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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.

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.	☐	☐
2. Activity occurs in a **foreign country**. ➢ **IF YES:** Country(s):	☐	☐
3. Involves **persons or companies located outside of the U.S. (including sponsors).** ➢ **IF YES:** Name(s) and country(s):	☐	☐
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):	☐	☐
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):	☐	☐
6. **Equipment** from the sponsor or a third party to be received. ➢ **IF YES**: Request export control classification and provide description:	☐	☐
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):	☐	☐
8. **Defense agency**, **defense contractor**, or **military-related materials** involved (*i.e.,* missiles, explosives, military training, military vehicles, vessels, equipment).	☐	☐
9. **Transfer** of goods, services, information, or technology abroad expected. ➢ **IF YES:** Describe:	☐	☐
10. Involves **nuclear**, **chemical**, or **biological weapons, missile** or **space technology** (*excludes astronomical obs.*). ➢ **IF YES:** Describe:	☐	☐
11. **Encryption source code** or **source code incorporating encryption functionality** is involved.	☐	☐

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).	☐	☐
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.	☐	☐
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. ☐ N/A	☐	☐
4. Includes **non-standard export language**, beyond adhering to regulations.	☐	☐
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.	☐	☐

PART C: Export Control Reviewed by: _____ Date: _____	YES	NO
• **A Technology Control Plan** (TCP) is required prior to signing agreement.	☐	☐
• **Controlled Unclassified Information** (CUI) is applicable.	☐	☐
• **A license** or other government authorization is required.	☐	☐

NOTES: