

INSTRUCTIONS

University Export Control review is required prior to acceptance of agreements with any of the following:

CRITERIA REQUIRING EXPORT CONTROL CHECKLIST

[Restricted Party Screening \(RPS\)](#) of any non-UA personnel/entities involved yields an exact match.

Activities/Sponsor/Collaborators located in:

- Cuba
- Iran
- North Korea
- Syria

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	Computer Sciences	Optical Sciences
Geosciences	Physics	MIS	Space Sciences	Instrumentation Design

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, flow downs, 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 “YES” responses: (unless only #4 is “Yes”)** forward Checklist, agreement, and documents (awards, SOWs and flow downs, etc.) to Export Control.
- ☐ **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.

Please complete electronically.

UA Account / NLID:		Sponsor:	
PI (Principal Investigator):		Prime Sponsor:	
College / Dept.			

PART A: College/Dept. Completed by: _____ Date: _____	YES	NO
1. Were there any matches on the required RPS screenings (UA and non-UA personnel)?		
2. Activity occurs in a foreign country . IF YES: Country(s):		
3. Involves persons or companies located outside of the U.S. (includes sponsors) IF YES: Country(s):		
4. Involves Non-U.S. citizens including the PI (in the U.S.). List the country(s) of citizenship, and note if U.S. PR status - green card holder.		
5. Technical data / technology expected to receive/exchange (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 & 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 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, 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. 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 and/or Q2: Fundamental Research written confirmation received from the Contracting Officer (CO). For the 7000 clause the waiver must come from the Government Agency CO.		
4. Non-standard export language , beyond adhering to regulations.		
5. Prohibits involvement of non-U.S. persons, or persons from certain countries, and/or require UA to identify or seek Sponsor prior approval for foreign national participation.		
PART C: Export 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:		