

## EXPORT CONTROL REVIEW CHECKLIST FOR AGREEMENTS

### INSTRUCTIONS FOR COMPLETING THE CHECKLIST

Review by the University Export Control Program (UECP) is required *prior* to the acceptance of any agreement that contains non-standard export control language; publication restrictions (includes sponsor approval prior to publishing); certain information security requirements; foreign national restrictions and approval; includes the transfer of items, technology, or software outside the U.S.; or indicates the project has a military end-use. Review also includes confidentiality, data transfer, and material transfer agreements if an exchange of proprietary technology/technical data will occur.

Your answers to the questions below will help the UECP determine whether any aspect of the activity will be subject to export control regulations. If UECP determines a TCP and/or export license is needed, the agreement cannot be signed until all personnel involved in the activity have taken the online export control training, signed the TCP, and license is received (if applicable). UECP will notify the Sponsored Projects & Contracting Services (SPCS) and the Department when required actions are completed.

#### Procedures for College Administrator: Determine if you need to complete and submit the Export Control Checklist prior to submitting an agreement for signing as follows:

1.	If the research or sponsor is located in the sanctioned countries of Cuba, Iran, North Korea, Sudan or Syria, the College Department Administrator must complete Part A of the Checklist and submit to UECP immediately.
2.	If the proposed activity is related to human subjects research, the Checklist does not need to be submitted unless the research or sponsor is located in the sanctioned countries mentioned above.
3.	If the proposed activity involves research (other than stated above), provision of services, or transfer of technology, software, material, equipment or information in a scientific, engineering, or high technology field, the Checklist must be submitted. This includes space sciences, chemistry, physics, materials science, geosciences, engineering, electronics, computer science, management information systems, instrumentation design and use, and related fields.
4.	The Checklist (Part A completed) should be sent with the agreement to Contracting Services. SPCS will continue to work on your proposal or agreement, but the checklist will need to be on file and any export control issues addressed by UECP prior to grant award or agreement signing.

#### Procedures for SPCS:

1.	Contracting Services will complete Part B of the Checklist. <b>The UECP does not need to review if</b> all questions in Parts A and B are answered “NO”; <b>or</b> only Part A number 3 is “YES”. Otherwise, forward completed Checklist, agreement, and any pertinent documentation such as the agreement, prime award, and scope of work to UECP for review. All completed checklists shall remain with the account file.
2.	Contracting Services will notify Award Services if a TCP is required on a given funded agreement.
3.	SPCS will notify UECP of all unilateral awards from foreign sponsors. UECP will provide a determination on how to proceed with processing the award document.

#### UECP Review Process:

1.	Upon receipt of the Checklist, agreement, and other documentation, UECP will make an export control determination and answer Part C.
2.	The completed checklist will be forwarded to the appropriate College/Department Administrator and SPCS.
3.	If a TCP is required, UECP will notify College/Department and SPCS upon completion.

**EXPORT CONTROL REVIEW CHECKLIST FOR AGREEMENTS**

Contact **UECP** ([export@email.arizona.edu](mailto:export@email.arizona.edu)) if you have questions regarding the checklist, the instructions, or other inquiry related to the project/activity that may not be covered by the checklist.

<b>Administrator:</b>		<b>Date:</b>	
<b>Award/Acct Number:</b>		<b>College / Dept.:</b>	
<b>PI:</b>		<b>Sponsor:</b>	

**This form should be completed electronically. Please do not submit handwritten forms.**

<b>PART A: Department Questions</b>	<b>YES</b>	<b>NO</b>
1. Complete <a href="#">Visual Compliance Restricted Party Screening</a> for non-UA personnel as listed in the agreement, supporting documents, or activity.	<input type="checkbox"/>	<input type="checkbox"/>
<i>If response to screening result is an <b>exact match</b> ("hit") check "YES" and <b>stop the export control review and forward project information and screening result to UECP for verification and advisement.</b> If no matching record found, check "NO".  <b><u>If there are no non-UA personnel listed, check this box:</u></b> <input type="checkbox"/></i>		
2. Will the activity be conducted in a foreign country other than the sanctioned countries listed in the Procedures section?	<input type="checkbox"/>	<input type="checkbox"/>
3. Does the activity include participation of non-U.S. persons on-campus or within the U.S.? <i>Note: A non-U.S. person is an individual who is not a U.S. citizen or a U.S. Permanent Resident. This includes any activity/project collaborators located within the U.S who are non-U.S. persons.</i>	<input type="checkbox"/>	<input type="checkbox"/>
4. Will the UA recipient(s) be receiving any equipment or <b>technical data / technology</b> ; e.g., blueprints, diagrams, models, formulae, engineering designs and specifications, other design data, configuration design, integration design, manuals, instructions, etc.?	<input type="checkbox"/>	<input type="checkbox"/>
5. Is the prime sponsor or other party a defense agency, defense contractor, or is military-related (missiles, explosives, military training, military vehicles, vessels, equipment)?	<input type="checkbox"/>	<input type="checkbox"/>
6. Does the activity include participation of persons or companies located outside the U.S., or is the sponsor or other party located outside the U.S. (a foreign entity)?	<input type="checkbox"/>	<input type="checkbox"/>
7. Does the activity involve the transfer of goods, services, information or technology abroad?	<input type="checkbox"/>	<input type="checkbox"/>
8. Is this activity related to space/space technology (with the exception of astronomical observation) or nuclear, chemical, or biological weapons or missile technology?	<input type="checkbox"/>	<input type="checkbox"/>
9. Will the UA recipient(s) be receiving any encryption source code, or source code incorporating any encryption functionality?	<input type="checkbox"/>	<input type="checkbox"/>
<b>PART B: Contracting Services Questions Reviewer: _____</b>	<b>YES</b>	<b>NO</b>
1. Does the agreement give the Sponsor the right to approve/disapprove publication (excluding reasonable reviews for possible patents and/or sponsor proprietary information) or restrict the dissemination of research results; i.e., agreements containing clauses such as DFARS 252.204.7000 clause?	<input type="checkbox"/>	<input type="checkbox"/>
2. Does the agreement contain DFARS clause 252.204-7008 (Compliance with Safeguarding Covered Defense Information Controls, DFARS clause 252.204-7012 (Safeguarding of Unclassified Controlled Technical Information) or a clause from a government agency such as NASA or DHS that require an IT Security Plan?	<input type="checkbox"/>	<input type="checkbox"/>
3. Does the agreement have export language beyond a mere adherence to abide by the U.S. export regulations? <b><i>Export control language may be found in multiple sections of an agreement, such as: Compliance, Export/Import Controls, Miscellaneous, or Confidentiality.</i></b>	<input type="checkbox"/>	<input type="checkbox"/>
4. Does the agreement prohibit the involvement of non-U.S. persons, or persons from certain countries, and/or require UA to identify foreign nationals, and/or seek prior approval from the sponsor for foreign national participation?	<input type="checkbox"/>	<input type="checkbox"/>
<b>PART C: UECP will complete if a "YES" is checked in PART A or PART B.</b>	<b>YES</b>	<b>NO</b>
A TCP is required prior to signing agreement. <b>UECP Analyst:</b> _____ <b>Date:</b> _____	<input type="checkbox"/>	<input type="checkbox"/>