**THE UNIVERSITY OF ARIZONA.**

# 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, scope of work, and other applicable documentation to SPCS.

*Checklists must be on file and export control issues addressed prior to grant award or agreement signing.*

## CONTRACTING SERVICES (SPCS)

☐ **Complete Part B** and add the **UA Account number/**UA Negotiation Log Identification (**NLID**).

☐ **When "YES" responses,** (unless only #3 is "Yes"), forward Checklist, agreement, and documentation such as the prime award and scope of work to Export Control.

☐ **Notify Award Services** if a TCP is required on a given funded agreement.

☐ **Retain** completed checklists with the account file.

## EXPORT CONTROL (UECP)

☐ **Review** the Checklist, agreement, and documentation and complete Part C.

☐ **Return** completed checklist to the appropriate College/Department Administrator and SPCS.

☐ **Notify** College/Department and SPCS 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. **RPS** conducted on non-UA personnel. "**YES**" for exact matches or "**NO**" if not exact match or 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)** <br> **IF YES:**  Country(s): | | |
| 4. **Non-U.S. citizen/permanent resident** (located in the U.S.) involved/participating. <br> **IF YES:**  Country(s) of citizenship: | | |
| 5. **Technical data / technology** expected to receive/exchange (e.g., blueprints, diagrams, models, formulae, designs or specifications, configuration or integration design, manuals, instructions). <br> **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. <br><br> **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. <br> **IF YES:**  Describe: | | |
| 10. Involves **nuclear**, **chemical**, **biological weapons**, **missile,** or **space technology** (*excludes astronomical obs.*) <br> **IF YES:**  Describe: | | |
| 11. **Encryption source code** or **source code incorporating encryption functionality** is involved. | | |

| PART B: SPCS          Reviewed by: _____  Date: _____ | YES | NO |
|---|---|---|
| 1. Sponsor can **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 or other agency requiring an IT security plan. | | |
| 3. **IF YES to Q1 and/or Q:  Fundamental Research** written confirmation received from Prime Contracting Officer. | | |
| 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: UECP          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: | | |