INSTRUCTIONS

University Export Control Program (UECP) 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 UECP.

☐ **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 UECP export@arizona.edu with questions.

THE UNIVERSITY OF ARIZONA

Export Control Review Checklist for Agreements

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)** **IF YES:** Country(s):	☐	☐
4. **Non-U.S. citizen/permanent resident** (located in the U.S.) involved/participating. **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). **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: 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**, **DFARS 252.204-7012**, or a clause from a government agency such as NASA or DHS that requires an **IT Security Plan** is included.	☐	☐
3. **IF YES to Q1 and/or Q2: 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:		