

# Export Control Review Checklist for Negotiators

# This form should be completed and kept on file even if all answers are “No.”

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| **Sponsor:** |  |
|  |
| **A.** | **Does the statement of work, FAR clause(s), or ANY language in the agreement:** |
| **1.** | Give the sponsor the right to approve/disapprove publication (excluding reasonable reviews for possible patents and/or sponsor proprietary information)? | [ ]  **YES** [ ]  **NO** |
| **2.** | Reference U.S. export regulations or security restrictions (beyond a mere statement to comply with the law)? | [ ]  **YES** [ ]  **NO** |
| **3.** | Prohibit the involvement of non-U.S. persons or persons from certain countries or require prior approval from the sponsor? | [ ]  **YES** [ ]  **NO** |
| **4.** | Require us to identify foreign nationals, including their citizenship? | [ ]  **YES** [ ]  **NO** |
| **5.** | Prohibit access to project materials/data/information by non-U.S. citizens? | [ ]  **YES** [ ]  **NO** |
| **6.** | Allow the Sponsor to claim resulting information as proprietary or trade secret? | [ ]  **YES** [ ]  **NO** |
| **7.** | Restrict the dissemination of research results? | [ ]  **YES** [ ]  **NO** |
| **8.** | Indicate the project has an obvious military nature? | [ ]  **YES** [ ]  **NO** |
| **If “YES” to ANY of the above, the fundamental research exclusion may be lost, and an export control issue may exist. Finalize export control review with the Export Controls Officer (ECO). Write export control review comments in the box below, and/or attach any pertinent emails to this checklist.** |
| **B.** | **Does the project involve travel outside the U.S.?** | [ ]  **YES** [ ]  **NO** |
| **1.** | If yes, is travel to Cuba, Iran, Syria, North Korea, or Sudan? | [ ]  **YES** [ ]  **NO**[ ]  **N/A** |
| **If “YES” TO B.1, contact the Export Control Officer. A license may be required.** |
| **C.** | **Does the P.I. plan to ship or take project equipment/technology outside the U.S.?** | [ ]  **YES** [ ]  **NO** |
| **If “YES,” contact the Export Control Officer. A license may be required.** |
| **D.** | **If this award includes a SUBCONTRACT, please answer the following questions:** | [ ]  **N/A (No Sub)** |
| **1.** | Did you screen the subcontract PI, named participants, andentity using Visual Compliance? | [ ]  **YES** [ ]  **NO** |
| **a.** | If yes, did you receive any negative results on the subcontract PI/participants/entity? | [ ]  **YES** [ ]  **NO** |
| **If “YES” TO D.1.a, please contact the Export Control Officer.** |
| **2.** | Does the prime award have any export control or foreign national restrictions that must be flowed down? | [ ]  **YES** [ ]  **NO** |
| **3.** | If the project has been determined to be export controlled, will any export controlled technologies or information be given to the subcontractor? | [ ]  **YES** [ ]  **NO** |
| **a.** | If yes, is the person receiving the technologies/info a U.S. citizen? | [ ]  **YES** [ ]  **NO** |
| **If “NO” to D.3.a (not a U.S. citizen), contact the Export Control Officer. A license may be required.** |
| **4.** | Will any funds be given to an entity in Cuba, Iran, North Korea, Sudan, or Syria? | [ ]  **YES** [ ]  **NO** |
| **If “YES,” contact the Export Control Officer. Payments to these countries may require a license or may be prohibited.** |

Please note comments below and/or attach any email correspondence to this form:

|  |  |  |  |  |  |
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| **Negotiator:** |  | **Date:** |  | **OSP No.:** |  |

**Use this form for**: **(1)** New awards, **(2)** Amendments with change in SOW or new task order, **(3)** Teaming agreements & MOU’s with foreign entity, & (**4)** Actions on awards *without* existing Checklist.

**Form not needed for**: **(1)** Actions on awards *with* existing Checklist, & **(2)** VSA’s / MTA’s / NDA’s – *however, an export control review is still required for these 3 agreements!*