Checklist for Export Control
The University of Texas at Dallas

This form assists the Office of Research Compliance in determining if any aspect of a sponsored research project will be subject to export control regulations. ORC review is required prior to the acceptance of any research agreement, the involvement of any foreign nationals in your research, and the transfer of any information or items out of the U.S.

PI: _____ OSP ID#: _____

Sponsor: _____

	YES	NO
Does your research involve encryption software?	☐	☐
Does your research involve activities related to the proliferation of nuclear, chemical, or biological weapons or missile technology?	☐	☐
Does your research involve any sanctioned countries, or travel to any sanctioned countries[1]?	☐	☐

If you have answered **"yes" to any of the above**, please stop and contact the Office of Research Compliance at x4570 to discuss your research and whether a technology control plan is needed.

Does your research involve the export outside the US of any articles or related software, technology or services listed on the EAR/Commerce Control List or the ITAR/U.S. Munitions List (see the end of this form for general categories on each list)?	☐	☐
Does your research involve specific access and dissemination control, e.g., restrictions on the participation of foreign nationals, restrictions on publication (including reporting of the research results) or presentations at conferences?	☐	☐

If you have answered "**no" to all questions**, please sign the form on this page and return it to OSP.

If you have answered "**yes" to <u>any</u> of the above four questions**, please continue to page 2.

By signing below, I represent to the best of my knowledge that these answers are accurate for this research proposal.

PI:_____ **Date:**_____

[1] Current sanctioned countries include Afghanistan, Belarus, Burma (Myanmar), China, Cuba, Cyprus, Haiti, Indonesia, Iran, Iraq, Ivory Coast, Liberia, Libya, N. Korea, Rwanda, Somalia, Sudan, Syria, Venezuela, Vietnam, Yemen, Zaire (Demoncratic Republic of Congo), Zimbabwe

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You will need to complete the next questions based on your prior answers. Please note that the questions below apply only to information and, in some cases, software associated with the research. They do not apply to equipment, articles, services or encryption software.

PUBLIC DOMAIN EXCLUSION

Is **ALL** the information or software involved in your research published and generally accessible to the public through one or more of the following?

- publication in periodicals, books, print, electronic, or any other media available for general distribution to any member of the public;
- subscriptions that are available without restriction to any individual who desires to obtain or purchase the published information;
- websites available to the public free of charge or at a cost which does not exceed the cost of reproduction and distribution;
- libraries open to the public, including most university libraries;
- patents and open (published) patent applications;
- instruction in general science, math and engineering principles commonly taught at schools, colleges and universities, and conveying information through courses listed in course catalogues and in associated teaching laboratories of academic institutions; or
- release at an "open" conference, meeting, seminar, trade show or other open gathering in the U.S., which is generally accessible by the public for a fee reasonably related to the cost and where attendees may take notes and leave with notes. **Note:** If the release occurs outside the U.S., please indicate here: ☐

YES ☐ NO ☐

FUNDAMENTAL RESEARCH EXCLUSION

Does the information and software involved in your research meet **ALL** of the following criteria?

- results from basic and applied research in science and engineering conducted at an accredited institution of higher education located in the U.S.;
- is ordinarily published and shared broadly within the scientific community; and
- is not restricted (either by written agreement or by informal understanding) for proprietary reasons or specific national security controls, or subject to specific U.S. Government access and dissemination controls.

YES ☐ NO ☐

By signing below, I represent to the best of my knowledge that these answers are accurate for this research proposal.

PI: _____ **Date:_____**

(rev. 1/11/10)

ITAR AND EAR CONTROL LISTS BY MAJOR CATEGORIES COMMERCE CONTROL LIST (CCL)

Export Administration Regulations (EAR)

http://w3.access.gpo.gov/bis/index.html

Category 0	Nuclear Materials, Facilities & Equipment (and Miscellaneous Items)
Category 1	Materials, Chemicals, Microorganisms, and Toxins
Category 2	Materials Processing
Category 3	Electronics Design, Development and Production
Category 4	Computers*
Category 5	(Part 1) – Telecommunications
	(Part 2) - Information Security*
Category 6	Sensors and Lasers
Category 7	Navigation and Avionics
Category 8	Marine
Category 9	Propulsion Systems, Space Vehicles and Related Equipment

* Controls generally apply to high performance computers with an Adjusted Peak Performance (APP) of .75 WT (Weighted TeraFLOPS) and encryption software.

U.S. MUNITIONS LIST (USML) International Traffic in Arms Regulations (ITAR) http://www.pmdtc.org/reference.htm

Category I	Firearms, Close Assault Weapons and Combat Shotguns
Category II	Guns and Armament
Category III	Ammunition/Ordnance
Category IV	Launch Vehicles, Guided Missiles, Ballistic Missiles, Rockets, Torpedoes, Bombs and Mines
Category V	Explosives and Energetic Materials, Propellants, Incendiary Agents and Their Constituents
Category VI	Vessels of War and Special Naval Equipment
Category VII	Tanks and Military Vehicles
Category VIII	Aircraft and Associated Equipment
Category IX	Military Training Equipment
Category X	Protective Personnel Equipment
Category XI	Military Electronics
Category XII	Fire Control, Range Finder, Optical and Guidance and Control Equipment
Category XII	Auxiliary Military Equipment
Category XIV	Toxicological Agents, Including Chemical Agents, Biological Agents, and Associated Equipment
Category XV	Spacecraft Systems and Associated Equipment Category XVI Nuclear Weapons, Design and Testing Related Items
Category XVII	Classified Articles, Technical Data and Defense Services Not Otherwise Enumerated
Category XVIII	Directed Energy Weapons
Category XX	Submersible Vessels, Oceanographic and Associated Equipment

(rev. 1/11/10)