Export Control Review Checklist: Research Grants and Contracts

Office of Sponsored Projects

Principal Investigator	
OSP Project ID	
Sponsor	

Instructions

This form assists the Office of Research in determining whether any aspect of a sponsored research project or other agreement will require UTD to control access to a device or technology used as part of the research project.

Research Grants: Export control review is required at the time of application for new sponsored research funding, and for renewal, continuation or supplemental funding that involves a change in the scope of work.

Research Contracts: Export control review required prior to the acceptance of any new sponsored research or task order agreement, of amendment agreements that involve a change in the scope of work, and prior to the execution of agreements that involve the transfer of devices, technology, select agents, or other items (i.e., nondisclosure agreements, material transfer agreements, license agreements).

Technical Review

Does the proposed research project involve equipment or articles related to:

1. Space (satellites, ground control, missiles, rockets, etc.) Yes ☐ ☐ No
2. Military items or missile technology Yes ☐ ☐ No
3. Nuclear energy Yes ☐ ☐ No
4. Biological Select Agents Yes ☐ ☐ No
5. Funding from the Department of Defense Yes ☐ ☐ No
6. High-level encryption software Yes ☐ ☐ No

Is the **information or software** involved in your research project published and generally accessible to the public? Click here to view the criteria that allow information to be considered in the "public domain". Yes ☐ ☐ No

Please continue to the "Contract Review" on page 2.

Contract Review

Does the solicitation, agreement, or contract contain any clause that:

7. References U.S. export regulations or security restrictions (beyond a mere statement to comply with the law)? Yes ☐ ☐ No
8. Restricts non-U.S. entity participation based on country of origin? Yes ☐ ☐ No
9. Prohibits access by non-U.S. citizens to project information? Yes ☐ ☐ No
10. Prohibits the hiring of non-U.S. persons? Yes ☐ ☐ No
11. Restricts the use of proprietary or confidential information? Yes ☐ ☐ No
12. Grants the Sponsor a right to prepublication review and approval for matters other than the inclusions of patent and/or proprietary sponsor information? Yes ☐ ☐ No
13. Allows the Sponsor to claim resulting information as proprietary or trade secret? Yes ☐ ☐ No
14. Restricts the dissemination of research results? Yes ☐ ☐ No

Will this research project qualify for the **Fundamental Research Exclusion (FRE)**?

To meet the FRE, the information and software involved in the research must:

- *result from basic and applied research in science and engineering conducted at an accredited institution of higher education located in the U.S.; and,*
- *be ordinarily published and shared broadly throughout the scientific community.*

Yes ☐ ☐ No

If you **answer "Yes" to any of questions #1-14 in the Technical Review or the Contract Review**, please alert your Grants and Contracts Specialist when submitting your form. Contract or technical restrictions may disqualify your project from claiming the Fundamental Research Exclusion.

After you have completed the form, please sign below and return the form to your Grants and Contracts Specialist in the Office of Sponsored Projects.

Completed by:

_____ _____

Principal Investigator Date

_____ _____

Grants and Contracts Specialist Date

If you have questions, contact the Office of Research Compliance at 883-4579 or 883-4718.