



UMass

Dartmouth

ORA RECORD of EXPORT CONTROL REVIEW

Note: If any questions in Section A are 'yes', ORA personnel should document their actions before forwarding to the PI to complete Section B.

Project Title:
Name of Principal Investigator:
Department and School/College Affiliation:
Sponsor Name:

A. Agreement Review (For completion by ORA):

Does the agreement contain any clause that:

- 1.References U.S. export regulations? Yes No
2.Restricts participation based on citizenship or country of origin? Yes No
3.Prohibits access by non-U.S. citizens to project information? Yes No
4.Prohibits the hiring of non-U.S. persons? Yes No
5.Restricts publication of research results? Yes No
6.Grants sponsor a publication approval right? Yes No
7.Grants sponsor a right to prepublication review that is more than just a right to review for sponsor proprietary information or for patent protection? Yes No
8.Allows sponsor to claim research results as proprietary or trade secret? Yes No

Actions taken by ORA as a result of Agreement Review:

- 1. Contacted sponsor to negotiate out export control language or clauses Yes No
Outcome:
2. Contacted sponsor to specify reason for control, jurisdiction and ECCN or USML Yes No
Outcome:
3. Contacted Assistant Vice Chancellor for Research for authorization to accept this research that will invoke export controls. Yes No
Outcome:

Completed by: Date:

If "Yes" is indicated on any of the questions above, the PI must complete part B, Technical Review.

B. Technical Review by PI- PI should check complete and return this form to Joanne Zanella-Litke jzanella@umassd.edu

It has been determined that the sponsored agreement for the project identified above contains provisions that may require University compliance with export control laws and regulations that are issued by the Department of Commerce and/or State. A final determination of the application of those regulations to this particular project depends on whether the research falls within a category of technology that raises particular issues of national security or economic interest. As the PI for the project, you are the person most qualified to decide if your research falls within covered areas.

For more information, contact Joanne Zanella-Litke at jzanella@umassd.edu

**Procedure:** Please review descriptions of technologies that are controlled by the International Traffic in Arms Regulations (ITAR), 22 CFR Sec 121.1, and the Export Administration Regulations (EAR), 15 CFR Sec 774 Supp. 1 (categories 0-9), and determine if the technology involved in this particular project falls within one or more of those categories. Links to the regulations as well as information on export control laws and how they may affect University research can be found under Export Controls at [http://www.umassd.edu/grants\\_contracts/compliance/main.cfm](http://www.umassd.edu/grants_contracts/compliance/main.cfm) . Please check both the Commerce Control List (EAR) at <http://www.access.gpo.gov/bis/ear/pdf/738.pdf> and the U.S. Munitions List (ITAR) at <http://www.fas.org/spp/starwars/offdocs/itar/p121.htm>.

After your review of the relevant EAR and ITAR regulations, check one of the following boxes and return to the Office of Institutional Compliance. I (the PI) have concluded that this project:

Does not involve technologies that are covered by either the EAR or the ITAR, is designated “EAR 99”, or the Fundamental Research Exemption applies. (If checked, sign below and return to ORA);

PI Signature: \_\_\_\_\_ Date: \_\_\_\_\_

OR

Does involve materials or technologies that are covered by either the EAR or ITAR. If checked, read the *Briefing on the Handling of Export-Controlled Information*, and sign below to indicate you read and understand the briefing. (If checked, return to Office of Institutional Compliance and you will be contacted to develop a TCP.)

PI Signature: \_\_\_\_\_ Date: \_\_\_\_\_

**D. Technology Control Plan (TCP):** Based on a positive answer to “C” above, a TCP may be required. The Office of Research Compliance will help make this determination. If one is required, it must be in place before any work may begin on the project. The PI is responsible for ensuring that all project personnel read the *Briefing on the Handling of Export-Controlled Information* and sign to verify they have read and understand the briefing. If a license is required, the ORC will also assist in the application process. Foreign nationals may not begin work on the project’s controlled technology until the license is in place.

*Note:* To add any Foreign National to a restricted project that has an approved TCP, the appropriate section of the TCP must be revised and re-submitted for review and approval by the Office of Institutional Compliance before the person may begin any work on the project.

(For completion by OIC)     TCP not required     TCP required

Office of Research Compliance Signature: \_\_\_\_\_ Date: \_\_\_\_\_