

THE UNIVERSITY OF ALABAMA IN HUNTSVILLE/OFFICE OF SPONSORED PROGRAMS
AWARD REVIEW RECORD -- EXPORT CONTROL

Title of Sponsored Research: _____
Award Number: _____ Sponsor: _____
Principal Investigator: _____ Fiscally Responsible Unit: _____
Contract Administrator: _____ E-Mail: _____ Phone: _____

PART I: CONTRACT REVIEW (To be completed by the Contract Administrator)

- Does the contract contain any clause that: Clause reference
- a. references U.S. export regulations? YES NO _____
 - b. restricts non-U.S. entity participation based on country of origin? YES NO _____
 - c. prohibits access by non-U.S. citizens to project information? YES NO _____
 - d. grants the Sponsor a pre-approval right over research publications? YES NO _____
 - e. allows the Sponsor to claim resulting research information as proprietary or trade secret? YES NO _____
 - f. requires the delivery of an object, article, or thing (does not mean a final report)? YES NO _____
 - g. will be performed at a location other than “accredited institution of higher learning in the U.S.”? YES NO _____
 - *h. Fundamental Research Exemption: YES NO _____

Completed by: _____ Sent to Export Control Compliance Officer: _____
Contract Administrator Date Date

* IF YOU ANSWERED YES TO ANY OF THE QUESTIONS ABOVE, THE PRINCIPAL INVESTIGATOR MUST COMPLETE TECHNICAL REVIEW PART II. IF THERE ARE NO EXPORT CONTROL CLAUSES (a.k.a. FUNDAMENTAL RESEARCH EXEMPTION), SIGN AND FILE THIS FORM IN THE AWARD FOLDER.

PART II: TECHNICAL REVIEW (To be completed by Principal Investigator)

To All Principal Investigators: Based on the answers in Part I, it has been determined that you will need to review descriptions of technologies that are controlled by the International Traffic in Arms Regulations (ITAR), 22 CFR Section 121.1) (https://www.pmdotc.state.gov/regulations_laws?id=ddtc_public_portal_compliance_landing) or Export Administration Regulations (EAR), 15 CFR Section 774, Supp.1(categories 0-9) (<https://www.ecfr.gov/cgi-bin/text-idx?rgn=div5&node=15:2.1.3.4.45>) or (<https://www.bis.doc.gov/index.php/regulations/export-administration-regulations-ear>) and decide if the technology involved in this particular project falls within one or more of those categories. Principal Investigators reviewing NASA-funded projects are encouraged to use the “NASA Export Processing Template” (which is also used by your NASA technical counterpart) which can be located at <https://oiir.hq.nasa.gov/nasaecp/eptannx.html> If you would like additional information on export control laws and how they may affect University research, you may wish to read the material available online in the Export Control section of the RSA website at: <https://www.uah.edu/ors/export-control/basics-of-export-control/export-control-laws-in-the-university-setting>.

CERTIFICATION:

I have reviewed the relevant EAR and ITAR regulations and determined that Sponsored Research Contract

Number _____: (select the appropriate response)

- 1. Does not involve technologies that are covered by either the EAR or the ITAR:
- 2. May involve technologies that are covered by either EAR or ITAR:
- 3. Is dominated by EAR or ITAR-governed technology, specifically
(Identify category by name and section)

- 4. Includes discrete, easily identifiable and separable research components that are within the scope of
an ITAR-governed technology, specifically (identify category by name and section)

- 5. Includes discrete, easily identifiable and separable research components that are within the scope of
an EAR-governed technology, specifically (identify category by name and section)

- 6. Includes classified and/or top secret information

I understand that if boxes 2, 3, 4 or 5 are selected by me, this matter will be referred to the Vice President for Research and my Department Chair/Dean or Research Center Director for further review.

Printed Name, PI	PI's Signature	Date
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If you have any questions, please contact Denise Spiller, Director, Office of Research Security at 824-6444 or denise.spiller@uah.edu. Upon completion, please return the form to the Contract Administrator.

PART III: COMPLIANCE REVIEW (To be completed by Office of Research Security)

EXPORT CONTROL COMPLIANCE OFFICER COMMENTS:

The Office of Sponsored Programs (OSP) has determined that the sponsored research 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 the government had determined raises particular issues of national security or economic interest. As the Principal Investigator for the project, you are the person most qualified to decide if your research falls within covered areas. Please note that your project should be reviewed periodically as the applicability of export control regulations could change based on the direction of the research, changes in the status of controlled information and technology or changes in the law and regulations.

Reviewed by: _____ Date: _____

Upon completion, please return to the Contract Administrator.