

**THE UNIVERSITY OF ALABAMA OFFICE OF RESEARCH
AWARD REVIEW RECORD -- EXPORT CONTROL**

Title of Sponsored Research _____
Proposal/Award Number: _____
Principal Investigator: _____
Department _____ College: _____
Sponsor: _____

PART 1: PROPOSAL/AGREEMENT REVIEW (To be completed by Grant and Contract Specialist)

Does the contract contain any clause that:			Clause reference
a. reference U.S. export regulations? University Counsel Comments: _____	Yes	No	_____
b. restricts non-U.S. entity participation based on country of origin University Counsel Comments: _____	Yes	No	_____
c. Prohibits access by non-U.S. citizens to project information? University Counsel Comments: _____	Yes	No	_____
d. prohibits the hiring of non-U.S. persons? University Counsel Comments: _____	Yes	No	_____
e. addresses the use of proprietary information? University Counsel Comments: _____	Yes	No	_____
f. grants the Sponsor a pre-approval right over research publications? University Counsel Comments: _____	Yes	No	_____
g. grants the Sponsor a right to prepublication review for matters other than the inclusion of patent and/or proprietary Sponsor information? University Counsel Comments: _____	Yes	No	_____
h. allows the Sponsor to claim resulting research information as proprietary or trade secret? University Counsel Comments: _____	Yes	No	_____
i. requires the deliver of an object, article, or thing (does not mean a final report)? University Counsel Comments: _____	Yes	No	_____
j. will work be performed at a location other than "accredited institution of higher learning in the U.S."? University Counsel Comments: _____	Yes	No	_____
k. provides a thing of value to any embargoed country? University Counsel Comments: _____	Yes	No	_____

Completed by: _____ Sent to University Counsel: _____
Grant and Contract Specialist Date Date

Reviewed by University Counsel: _____
Date

If you answered Yes to any of the questions above, you should consult with the UA Office of Counsel. After such consultation, it may be determined that an Export Control issue exists. In such event, the Principal Investigator Must Complete Technical Review Part II.

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

To All Principal Investigators: The Office of Research 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, State and/or Treasury. 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 has 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.**

Procedures: In collaboration with the Associate Vice President for Research (AVPR), you will have to review descriptions of technologies that are controlled by the International Traffic in Arms (ITAR) or Export Administration Regulations (EAR), and review the regulations issued by the Office of Foreign Assets control (OFAC) and decide if the subject matter involved in this falls within the scope of any of these regulations. These regulations are available through links provided on the Office of Research website or in hard copy format in the Office of Research. If you have any questions, contact Carpantato Myles, Research Compliance Officer, at 348-5746 or cmyles@research.ua.edu.

CERTIFICATION

(Please complete and return to Grant and Contract Specialist assigned to this Project.)

I have reviewed the relevant EAR, ITAR, and OFAC regulations with the AVPR. I hereby certify that the information provided by me to the AVPR is true and correct. I understand that the AVPR has relied on the information provided by me in assessing the applicability of EAR, ITAR, AND OFAC regulations. Based on my representations, we have determined that Proposal/Award 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. Provides a thing of value to an embargoed country under OFAC regulations.

I understand that if boxes 2, 3, 4, 5, or 6 have been checked, this matter will be referred to the AVPR for further action.

Printed Name, PI	PI's Signature	Date
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Cindy Hope	AVPR Signature	Date
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