

**SPONSORED PROGRAMS, CONTRACTS & GRANTS (SPGC)  
 EXPORT CONTROLS CHECKLIST**

PI: \_\_\_\_\_ School/Dept. \_\_\_\_\_  
Print name  
 Project Title: \_\_\_\_\_ Agency Sponsor: \_\_\_\_\_

Your answers to the questions below will help ECSU determine whether any aspect of your sponsored research project will be subject to export control regulations. This completed form must be submitted to SPCG for review at the time of application (new, renewal, continuation, and supplemental) for a sponsored research project, prior to the acceptance of any sponsored agreement, the involvement of any foreign nationals in your research and the transfer of any information or materials out of the U.S.

- Yes  No  1. Does the research involve encryption software?
- Yes  No  2. Does your research involve activities related to the proliferation of nuclear, chemical, or biological weapons or Missile technology?
- Yes  No  3. Does your research involve any sanctioned countries, or travel to sanctioned countries?  
 See lists on [Dept. of Treasury Sanctioned Countries](#) or [Dept. Commerce Lists to Check](#) and [Department of State Country Policies and Embargoes List](#)
- Yes  No  4. Does your research involve any materials, technology, or services listed on the [EAR/Commerce Control List](#) or the [ITAR/U.S. Munitions List](#) or otherwise specifically designed, developed, configured, modified or adapted for military or space-based applications?
- Yes  No  5. Does your research involve specific access and dissemination restrictions (e.g., restrictions of participation by foreign nationals, or restrictions of publication-including reporting of the research results) or presentation at conferences?
- Yes  No  6. Will your research involve participation of foreign nationals in the U.S (“deemed export”)?
- Yes  No  7. Are any of the entities or individuals with whom you will be working identified on any of the Lists to Check (see links above)?

***If you have answered ‘Yes’ to any of the questions above, your responses to the next questions regarding information and software only will assist ECSU in determining if an exclusion applies.***

- Yes  No  8. Is all the information and software involved in your research published and generally accessible to the Public through at least one of the following:
- Publication for distribution;
  - Subscriptions available without restrictions;
  - Website available free of charge;
  - Libraries open to the public;
  - Patents and published patent applications;
  - Instruction in commonly taught courses; or
  - Presentation at an open conference or seminar? If presentation occurs outside U.S., please indicate here: \_\_\_\_\_
- Yes  No  9. Does the information and software involved in your research meet all the following criteria?
- Results are from research conducted at an accredited institution of higher Education in the U.S.;
  - Is ordinarily published and shared broadly within the scientific community;
  - Is not restricted (either through written or oral agreement) for Proprietary reasons or National Security Controls; and
  - Is not subject to specific U.S. Government access and dissemination controls.

***I certify that I understand and will comply with all applicable export controls laws and regulations.***

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

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**ITAR AND EAR CONTROL LIST BY MAJOR CATEGORIES**  
**COMMERCE CONTROL LIST (CCL)**  
**Export Administration Regulation (EAR)**

[http://www.access.gpo.gov/bis/ear/ear\\_data.html](http://www.access.gpo.gov/bis/ear/ear_data.html)

Category	0	Nuclear materials, Facilities & Equipment (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 (Weight Teraflops) and encryption software.*

**International Traffic in Arms Regulations (ITAR)**  
**U.S. MUNITIONS LIST (USML)**

<http://www.fas.org/spp/starwars/offdocs/itar/p121.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/Mines
Category V		Explosives and Energetic Materials, Propellants, Incendiary Agents/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	XIII	Auxiliary Military Equipment
Category	XIV	Toxicological Agents, Including Chemical & Biological Agents & 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	[Reserved]
Category	XIX	[Reserved]
Category	XX	Submersible Vessels, Oceanographic and Associated Equipment
Category	XXI	Miscellaneous Articles