

TTU EXPORT CONTROL REVIEW SHEET

OR use only

☐ ECP Required

☐ License required

☐ ECP Not Required

Title of Sponsored Project/Activity _____

Proposal/Award Number _____

Principal Investigator(s)/Dept and School/College _____

Sponsor _____

PART I: AGREEMENT REVIEW (To be completed by Office of Research (OR) Personnel)

Does the Agreement contain any clause that:

- | | | | |
|----|--|------------------------------|-----------------------------|
| 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. | prohibits the hiring of non-U.S. persons? | Yes ☐ | No ☐ |
| e. | restricts the disclosure of proprietary/confidential information? | Yes ☐ | No ☐ |
| f. | grants the Sponsor a right to prepublication review and approval for matters other than the inclusion of patent and/or proprietary sponsor information? | Yes ☐ | No ☐ |
| g. | allows the Sponsor to claim resulting information as proprietary or trade secret? | Yes ☐ | No ☐ |
| h. | addresses security concerns? (If yes, is educational alternative in place?) | Yes ☐ | No ☐ |
| i. | do any of the project personnel have Material Transfer Agreements or Non-Disclosure Agreements assigned to them that could involve technologies used in the conduct of this project? | Yes ☐ | No ☐ |

Completed by _____

OR Administrator

Date _____

PI MUST COMPLETE PART II: TECHNICAL REVIEW IF ANY BOX IN PART I IS MARKED YES

If you have any questions, contact the Office of Research at (931) 372-3673 or email: research@tntech.edu

PART II: TECHNICAL REVIEW (To be completed by Principal Investigator and returned to the TTU Office of Research, Box 5164, Cookeville, TN 38505, or Derryberry Hall, Room 129)

TO ALL PRINCIPAL INVESTIGATORS: It has been determined that the sponsored agreement for the project/activity identified above may contain provisions that require compliance with export control laws and regulations that are issued by the Department of Commerce and/or State. A final determination of the applicability of those regulations to this particular project/activity 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 PI for the project/activity, you are the person most qualified to decide if your research falls within covered areas.

PROCEDURES: You must review descriptions/definitions of technologies that are controlled by the International Traffic in Arms Regulations (ITAR), 22 CFR Section 121.I, and the Export Administration Regulations (EAR), 15 CFR Section 774, Supp. 1 (categories 0-9), and decide if the technology involved in this particular project/activity 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 activities can be found at the Office of Research website at www.tntech.edu/research.

A. I have reviewed the relevant EAR and ITAR regulations and determined that the contract/agreement for the above referenced project: (Select the appropriate response):

- ☐ 1. Does not involve technologies, including the use of equipment, encrypted software, listed-controlled chemicals and/or bioagent/toxins, that are controlled by either the EAR or the ITAR, and is "EAR 99" or the Fundamental Research Exemption applies;
- ☐ 2. Does involve technologies that are covered by either EAR or ITAR;
- ☐ 3. Export license requested

B. If box 1 is checked, sign below and return this form to TTU OR.

C. If box 2 is checked, read the TTU Export-Control information documents found on the Office of Research website (www.tntech.edu/research/research-compliance/export-control-and-trade-sanctions/#procedures), and sign below indicating you have read and understand the information. You must also determine if a **Technology/Export Control Plan (T/ECP)** or an export license is required for this activity. Check the appropriate box below and return this form with your signature to the TTU Office of Research (Foundation Hall 306) for routing. **NOTE:** If a license is required, no foreign nationals may begin work on the activity's controlled technology until the export license and Technology/Export Control Plan (T/ECP) is in place.

D. If it has been determined that a T/ECP is **required**, an ECP must be in place. In addition, the PI must ensure that all project personnel read the TTU Export-Control information documents, sign the **T/ECP Assurance**, and complete the training module found on the TTU Research Office website at: www.tntech.edu/research. Return the signed **T/ECP Assurance** to TTU OR, Box 5164, Foundation Hall, 242 E. 10th St., Cookeville, TN 38505. A copy of the signed T/ECP Assurance will be sent to the TTU Research Office, the PI and the PI's Department. **NOTE:** Personnel added during the course of the project/activity must read the Overview and sign the Assurance. Return procedures are same as above.

PI's Signature _____

Date _____