

# OSU REVIEW FOR EXPORT CONTROLS

Title of Sponsored Project: \_\_\_\_\_  
Routing # & Award/Contract #: \_\_\_\_\_  
Sponsor (*prime & sub if applicable*): \_\_\_\_\_  
Principal Investigator: \_\_\_\_\_  
Department & College: \_\_\_\_\_

## PART I: AGREEMENT REVIEW (To be completed by the Sponsored Project Administrator in college research office.)

Does the agreement contain any clause that:

- |  |                             |                              |
|--|-----------------------------|------------------------------|
| a. references U.S. export regulations?   | <input type="checkbox"/> No | <input type="checkbox"/> Yes |
| b. restricts non-U.S. entity participation based on country of origin?   | <input type="checkbox"/> No | <input type="checkbox"/> Yes |
| c. prohibits access by non-U.S. citizens to project information?   | <input type="checkbox"/> No | <input type="checkbox"/> Yes |
| d. prohibits the hiring of non-U.S. persons?   | <input type="checkbox"/> No | <input type="checkbox"/> Yes |
| e. restricts the use of proprietary/confidential information?  | <input type="checkbox"/> No | <input type="checkbox"/> Yes |
| f. grants the Sponsor a right to prepublication review AND approval for matters other than the inclusion of patent and/or proprietary sponsor information? | <input type="checkbox"/> No | <input type="checkbox"/> Yes |
| g. allows the Sponsor to claim resulting information as proprietary or trade secret?   | <input type="checkbox"/> No | <input type="checkbox"/> Yes |

Completed by: \_\_\_\_\_ Date: \_\_\_\_\_

**IF YOU ANSWERED "YES" TO ANY OF THE QUESTIONS ABOVE, THE PI MUST COMPLETE PART II: TECHNICAL REVIEW.**

## PART II: TECHNICAL REVIEW (To be completed by PI and returned to Sponsored Project Administrator.)

**To Principal Investigator:** 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. A final determination of the application of those regulations to this particular project depend on whether the research falls within a category of technology the government has determined raises particular issues of national security or economic interest. As PI for the project, you are the person most qualified to decide if your research falls within covered areas (i.e., controlled technology).

**Procedures:** As PI, you need to review descriptions of technologies that are controlled by the Export Administration Regulations (EAR), 15 CFR Section 774, Supp. 1 (categories 0-9) for most controlled technology. For projects specifically done for the military and/or inherently military in nature review the International Traffic in Arms Regulations (ITAR), 22 CFR Section 121.1. Links to the regulations as well as information on export control laws and how they may affect your research can be found at: <https://research.okstate.edu/urs/earregulations.html>.

*If you have questions, contact Jada Bruner Gailey, Director, Sponsored Programs and Export Compliance, University Research Services, 206 Whitehurst, 405.744.9995, jada.gailey@okstate.edu.*

A. I have reviewed the relevant EAR and ITAR regulations and determined that:

*Select the appropriate response:*

**This project does NOT involve controlled technologies covered by either the EAR or the ITAR and can be considered "EAR 99" or not applicable.**  
If this option is applicable, sign below and return the form to the Sponsored Project Administrator in your college research office.

**May involve technologies that are controlled and covered by either EAR or ITAR or may be subject to OFAC sanctions.**  
If this option applies, read the "Briefing on the Handling of Export Controlled Information" found under "Export Control Forms" on the Forms & Resources page for University Research Services. (<https://research.okstate.edu/urs/forms.html>).  
Sign below indicating you have read and understand the Briefing and return this form to the Sponsored Project Administrator in your college research office so it may be included in the routing package.

B. If it is verified during the routing process that a TCP is required, Ms. Gailey will contact you. A TCP is required to be in place **PRIOR** to the start of any controlled research and/or sharing any controlled technology with a non-U.S. person. All personnel involved with the project must be aware of the restrictions and as PI it is your responsibility to ensure all have read the Briefing.

*NOTE: TCPs are required to be updated annually. If this is being used with an extension of time routing, an updated TCP may need to be in place. When any personnel are added or removed from the project a new Certification should be signed and forwarded to Ms. Gailey.*

\_\_\_\_\_  
PI's Signature Date

TCP is not required  TCP REQUIRED

\_\_\_\_\_  
Jada Bruner Gailey Date