



EXPORT CONTROL EXCLUSION SCREENING FORM

Principal Investigator (PI): Answer the following questions Yes or No and return to the Contract and Grant Administrator (CGA) working on your proposal/grant/contract/agreement. For more information, go to: <http://research.unm.edu/exportcontrol/> or the Export Control Exclusion Screening Tip Sheet: <http://research.unm.edu/exportcontrol/Tips.pdf>.

Proposal Title: _____

PI: _____ Funding Agency/Institution: _____

PreAward Tracking Number: _____ Est. Start Date: _____

Fundamental Research Exclusion	Yes	No	Unknown
Will the information be published and shared broadly in the scientific community?			
Are there any proprietary <i>or</i> U.S. government publication <i>or</i> access dissemination restrictions in the contract?			
Are there any restrictions on foreign national participation <i>or</i> requirements for U.S. citizens only in the contract?			
Will there be any foreign nationals and/or persons holding dual citizenship involved with the project? Provide the <i>name</i> and <i>nationality</i> of each individual if known or when available:			
Is any portion of the project being conducted at a site other than UNM? (SubAwardees, Collaborators, Consultants, Other [select one]). If yes, where?			
Will items and/or materials be shipped outside the United States <i>or</i> travel outside the US anticipated? If yes, what? and where?			
Educational Information Exclusion			
Is the information commonly taught at schools and universities? (Please see Export Control Exclusion Screening Tip Sheet for more information.)			
Are courses about this information listed in published course catalogs?			
Other Terms Mentioned or Discussed Within the Project Documentation If "Yes" is indicated, please include a brief description.			
Encryption Software ? (If yes, describe)			
Select Agents ? If yes, what is it?			
Trade Secrets ?			
Sanctioned or Embargoed countries ?			
ITAR (International Traffic in Arms Regulation) or Munitions List? #			
EAR (Export Administration Regulations) or export control? #			

*****IMPORTANT NOTICE TO PI*****

Consequence of Non-Compliance

Failure to comply with US export control laws can result in severe penalties *to the individual* that can include the following: Civil penalties up to \$500,000 for each violation; Criminal penalties can be applied up to \$1,000,000 each violation; and/or Imprisonment for up to 10 years.

PI Signature: _____ Date: _____

Print PI Name: _____ Phone/Email: _____

Received By (Pre Award CGA): _____ Date: _____

For Internal Office Use Only:

Date submitted to export@unm.edu: _____ Date Returned to CGA: _____

Determination: _____

Reviewer: _____