

SI Checklist for Export Control For Sponsored Projects and International Activities

Requestor

Division/Unit

Administrator

Project Title

Funding Source

Export/Sanction Information

Dates

Activity Description

Include a description of the activity, including the persons you will be interacting with, their affiliation, and a Statement of Work.

Please answer every question on the checklist. Upon completion, please follow the instructions at the end, if necessary.

Transportation of Items or Funds

Will you be importing or exporting items? No Yes

If yes, include a description or email a list of items and indicate if the items will be staying or returning:

Will you be paying for items or services? No Yes

If yes, provide names and amounts:

Will you be exporting cash with you? No Yes

Country Review

Refer to Comply with General Prohibitions Procedure (ECP-3.2)

- 1a) Does your project involve any sanctioned countries or involve financial transactions or travel to sanctioned countries?** (Currently Cuba, Iran, North Korea, Sudan, Syria, Ukraine, and Russia.) No Yes

See lists of the **Treasury Department's** Sanctioned Countries, the **Dept. of Commerce** Denied Persons Lists, the **Dept. of State** Country Policies and Embargoes List, and the **OFAC** list of Specially Designated Nationals.

If you are still not sure, enter the country into www.mkdenial.com; if the country is embargoed, contact the Export Compliance Officer at export@si.edu

- 1b) Are you dealing with countries where there are conflicts, State Dept. Alerts, or UN peacekeeping actions?** No Yes

Check State Dept. web site for travel advisories, or contact the ECO for any recent actions.

Compliance with Boycott Restrictions

Refer to Antiboycott Procedure SI No. (ECP--3.3)

- 2) Are you dealing with countries in the Middle East or Muslim countries in Asia?** No Yes

If yes, check for antiboycott language: Part 760 of EAR

Controlled Items

Refer to Classifying ITAR- and EAR-Controlled Items Procedure No. (ECP-3.1)

- 3a) Does the project involve the export of:** No Yes
instruments, computers, processors, chemicals, laboratory equipment, biological items, marine technology, aircraft, GPS, tracking, weapons, crime control (finger printing or space qualified)?

- 3b) Does the project involve any controlled materials, technology, or services listed on the ITAR/US Munitions List?** No Yes

www.pmdtc.state.gov/regulations_laws/itar_official.html

- 3c) Does the project involve items specifically designed, developed, configured, modified, or adapted for military or space-based applications?** No Yes

Controlled Items, continued

3d) Does the project involve items on the EAR/ Commerce Control List? No Yes

www.access.gpo.gov/bis/ear/ear_data.html

International Collaboration or Support

Refer to Procedure Denial List Screening - Work Instruction ECP-3.2 WI1

4) Does your project involve foreign parties? No Yes

All foreign parties with whom we collaborate or offer/receive financial support must be screened against US Denial Lists.

Fundamental Research Criteria for Scientific Subjects

5a) Is all the information or software involved in your research allowed to be 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
- Presentation at an open conference or seminar

If the "presentation at an open conference or seminar" occurs outside the US, please indicate here:

5b) Does the information or software involved in your research meet ALL of the following criteria:

- Is ordinarily published and shared broadly within the scientific community
- Is not restricted--either through written or oral agreement--by the sponsor for proprietary reasons or national security controls
- Is not subject to specific US Government access and dissemination controls

5c) Is the research related to instrumentation for NASA (not just using public observing data) and/or does the contract include foreign national restrictions? No Yes

If yes, refer to "Controlled Items List for SAO and SI" and the alphabetical index for the Commerce Control List, and contact the ECO.

Export Clearance

- 6) Will goods be exported that are valued at more than \$2,500, restricted by export license or are hazardous for shipping? No Yes

If yes, refer to Export procedure. Contact the ECO at export@si.edu

- 7) Will you be importing items from the country? No Yes

If there was a yes to any of these questions, refer to the ECO at export@si.edu

Sign and Date

Signature

Date

Do not write below dotted line – Export Compliance Officer use

Export Compliance Officer Notes/Assessment

Date: