

EXPORT CONTROL SCREENING FORM

Principal Investigator (PI): Please review the NMC Export Control guidelines and provide information on your project below. Return the completed form to NMC Research Administration at research@newmexicoconsortium.org. Use additional page(s) as needed. Note: Licenses are not easily obtained and require careful preparation and a significant amount of lead-time. Noncompliance with export control regulations subjects both individuals and the NMC to penalties, which may include monetary and criminal punishment. Thank you for your cooperation and please let us know if there are any questions: 505-412-4200, research@newmexicoconsortium.org.

Project Title: _____
 PI: _____ Funding Organization: _____
 Funding Agreement # _____ Start Date: _____ End Date: _____

I. FUNDAMENTAL RESEARCH EXCLUSION (FRE) SCREENING

1. Does the funding agreement state any of the phrases: Export Controlled, EAR Controlled, ITAR Controlled, Export Control Classification Number (ECCN), or USML Category? Yes No
2. Does the funding agreement include restrictions on participation of non-U.S. citizens or other categories of persons in the research? *(If yes, explain below)* Yes No

3. Are there any restrictions on making the scientific and technical information resulting from this research publicly available (e.g., publish in peer-reviewed journal or presenting at open conference)? Yes No
4. Does the funding agreement include requirements for prepublication review by the Government, with right to withhold permission for publication? Yes No
5. Are there any proprietary or U.S. government publication or dissemination restrictions in the funding agreement? *(If yes, explain below)* Yes No

6. Does the funding agreement include any restrictions on dissemination of the research results to non-U.S. citizens or other categories of persons? *(If yes, explain below)* Yes No

7. Have you or another party at NMC been asked to sign a non-disclosure agreement (NDA) *(If yes, explain below and attach a copy to this form)?* Yes No

II. OTHER TERMS MENTIONED OR DISCUSSED WITHIN THE PROJECT DOCUMENTATION OR ANTICIPATED TO BE INVOLVED IN THE PROJECT WORKEXPORT CONTROL TRIGGERS *(*If "yes" is indicated, please include a brief description, use additional pages as needed.)*

1. Is any of the input technical data to be provided by the sponsor known to be export controlled, proprietary, or confidential? Yes No
2. Have you signed or been asked to sign a DoD Form 2345 Militarily Critical Technical Data Agreement related to this project? Yes No
3. Do you anticipate that executing the project may involve:
 - i) Travel outside the U.S. and/or sending/transporting/transmitting/carrying any material, information or equipment related to this project outside the US (examples include: GPS, laptops, other equipment, biologicals, diagnostic kits, reagents)? If yes, make sure to review and comply with the NMC international travel/shipping/hand-carrying guidelines Yes No
 - ii) Transmitting monetary funds (including stipends and travel expense reimbursement) or tangible goods, technology, or software to a U.S. sanctioned country (Examples include: Cuba and Iran. For current list, see <https://www.treasury.gov/resource-center/sanctions/Programs/Pages/Programs.aspx>)? Yes No
 - iii) Foreign nationals and/or persons holding multiple citizenships or countries of permanent residency? *If Yes, advise individuals to contact NMC HR at hr@newmexicoconsortium.org and share the citizenships and countries of permanent residency. This information is needed for NMC to determine what U.S. government export control regulations apply.* Yes No

- iv) Collaborating with anyone located in foreign countries? *If Yes, provide the names, institution/company affiliation, and counties if known or when this information will become available.* Yes No
- v) Training foreign nationals in using equipment? *If Yes, briefly describe the nature of the training and provide the name and nationality of each individual if known or when this information will become available, and a list of the equipment.* Yes No
- vi) Will the research involve any encryption software? *If Yes, provide the name and nationality of each individual if known or when available and a list of the equipment.* Yes No
- vii) Will the research involve any select agents? *If Yes, list the specific select agents.* Yes No
- viii) Will the research involve any NMC trade secrets? Yes No
- ix) Will the research involve any non-disclosure or confidentiality agreements? Yes No
- x) Is any of the planned project equipment or materials export controlled? Yes No
- xi) Tangible items, technical data, software ,or defense services that are on the ITAR Munitions List. *If "Yes," provide the classification number (USML Category).* Yes No
- xii) EAR Controlled Tangible Items, Technology, or Software? *If "Yes," provide the export control classification number (ECCN)* Yes No

III. ADDITIONAL INFORMATION

Other information on the US Export Control laws and regulations can be found on the [NMC website](#). Please review and contact [Office of Research Administration](#) if you have any questions or concerns.

IV. CERTIFICATION

I hereby certify that I have read and understand the information provided regarding compliance with U.S. export laws and regulations. I understand that I could be personally liable if I knowingly transfer export-controlled items to foreign nationals without prior U.S. government approval. I have provided complete information in responding to the questions listed above.

If the NMC Research Administration staff, upon reviewing this form, identifies any export control issues, I will fully cooperate to comply with export control regulations related to my research. I must adhere strictly to any applicable restrictions and fully cooperate with the NMC's efforts to monitor compliance.

After work on the project has begun, I will notify the Research Administration office at research@newmexicoconsortium.org prior to implementing any changes that may result in the application of the export controls regulations, such as a change in the statement of work or the addition of new staff to the project.

Full Name: _____

Title: _____ Signature: _____ Date: _____

NMC Office Use Only. EC Verification Checklist	
<input type="checkbox"/> EC Project	<input type="checkbox"/> FRE
<input type="checkbox"/> EC Item(s)	<input type="checkbox"/> USML
<input type="checkbox"/> EC Software	<input type="checkbox"/> EAR Classification
<input type="checkbox"/> EC Data/Technology	<input type="checkbox"/> Antiboycott Issues
<input type="checkbox"/> Iran, Cuba, China, Russia, Venezuela, military-end use/user	<input type="checkbox"/> ITAR