

## Export Control Exclusion Screening

Principal Investigator (PI): Answer the following questions and submit to the Sponsored Projects Administrator (SPA) working on your proposal/grant/contract/agreement.

**\*\*\*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.

\* SECOND PAGE PROVIDED FOR REQUESTED OR ADDITIONAL INFORMATION

|   |          |            |           |                |
|---|----------|------------|-----------|----------------|
| Title:  | PI Name: |            |           |                |
| <b>Fundamental Research Exclusion</b>   |          | <b>Yes</b> | <b>No</b> | <b>Unknown</b> |
| Will the information be published and shared broadly in the scientific community?   |          |            |           |                |
| Are there any proprietary or U.S. government publication or access dissemination restrictions in the contract?  |          |            |           |                |
| Are there any restrictions on foreign national participation or 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?<br>Provide the name and nationality of each individual if known or when available (use page 2) |          |            |           |                |
| Is any of the project equipment export controlled? (If new, describe on page 2)   |          |            |           |                |
| Is any portion of the project being conducted at a site other than NMT? (Subawardees, Collaborators, Consultants, Other). * If "Yes," Where? (use page 2)   |          |            |           |                |
| Will items and/or materials be shipped outside the United States?<br>*If "Yes," What? Where? and To Whom? (use page 2)  |          |            |           |                |
| Is travel outside the US anticipated? * If "Yes," Where? (use page 2)   |          |            |           |                |
| <b>Educational Information Exclusion</b>  |          |            |           |                |
| Is the information commonly taught at schools and universities?<br>(Please see Export Control Exclusion Screening Tip Sheet for more information.)  |          |            |           |                |
| Are courses about this information listed in published course catalogs?   |          |            |           |                |
| <b>Other Terms Mentioned or Discussed Within the Project Documentation</b><br>If "Yes" is indicated, please include a brief description (use page 2)  |          |            |           |                |
| Encryption Software?<br>* If yes, contact the Office of Research - Research Compliance Officer - `export@npe.nmt.edu  |          |            |           |                |
| Select Agents? *If "Yes," What is it? (use page 2)  |          |            |           |                |
| Trade Secrets?  |          |            |           |                |
| Sanctioned or Embargoed countries? *If "Yes," Name? (use page 2)  |          |            |           |                |
| ITAR (International Traffic in Arms Regulation) or Munitions List?<br>*If yes describe on page 2  |          |            |           |                |
| EAR (Export Administration Regulations) or Export Control? *If "Yes,"#  |          |            |           |                |
| PI Signature:   |          | Date:      |           |                |
| SPA Signature:  |          | Date:      |           |                |
| Compliance Office Signature (if applicable):  |          | Date:      |           |                |

**Additional Information**