

EXPORT LICENSE REVIEW WORKSHEET

PI Name: _____

Export control regulations prohibit the unlicensed export of specific technologies for reasons of national security or protection of trade. If University research involves such specified technologies, the University may be required to obtain prior approval from the U.S. Departments of State, Commerce, or Treasury before allowing a) foreign nationals to participate in the research, b) partnering with a foreign company, or c) sharing research information—verbally or in writing—with people who are not U.S. citizens or permanent residents.

However, if you are doing “fundamental research” and the results will be in the “public domain” (see the University Export Control Policy for definitions), you may not have any export control issues unless you have a foreign national working with controlled (found on the Commerce Control List [CCL] or the U.S. Munitions List) proprietary Technology in conjunction with your research project.

In order to determine if an export license, Technology Control Plan, or other formal agreement will be required for your activity, please provide the information requested below. The information will be used to classify your item and or activity to determine what restrictions may apply and to ensure that your collaborators, vendors, or end-users are not on any of the denied entities list maintained by the U.S. government.

1. Title of research project:
2. Funding source:
3. Statement of Work and attach a copy of the agreement (draft form is ok).
4. Are non-disclosure agreements necessary in furtherance of this research? If so, provide copies or sample copies. List items attached.
5. Provide names and affiliations of the parties involved in this activity (students, post docs, visiting scholars, collaborating organizations—list key principals from those organizations) and attach CVs for each person.
6. Research results. State what the item is, what it is a component of, what it does, how it works,

and any other information that explains the item that will be developed or tested in the course of the research project.

7. State what the item is originally designed for and why the item is being developed. State whether the item is being developed, designed, or modified specifically for military use, for commercial use, or both military and commercial use. Give examples of the uses for which it is being developed, designed, or modified. A brief product history is helpful.
8. Special Characteristics. State any military standards or military specification that the item is designed to meet. Describe any special characteristics of the item e.g., radiation-hardening, thermal or infrared signature reduction capability, and surveillance or intelligence gathering capability. If the item uses image intensification tubes, give the level of Technology (Gen II, Gen III, etc.).
9. Provide any other relevant information that would be helpful in making a commodity classification assessment. Include any brochure, specification sheet, marketing literature, Technical Data, IP disclosures, Patents or any other document that will assist in the determination.
10. In the course of the research activity, what are the item(s) (e.g., equipment, software, Technology, processes, commodities, etc.) that will be used or developed to conduct this research?
11. What are the processes involved?
 - Fabrication (i.e., briefly explain)?
 - What external facilities or vendors are involved?
 - What testing and/or simulation devices are you using?
 - What modeling software are you using? Is this proprietary software?

- What and whose proprietary designs will you have access to?
- Who on the project team will have access to this proprietary information?

12. What equipment will be used or purchased in support of the research?

13. If items are to be purchased, list what countries the items will be purchased from.

14. How will the items (e.g., equipment, software, Technology, processes, commodities, etc.) be used by the team?

15. Will any non-U.S. Person (1) do ALL SIX of the following activities (or have access to information that would allow them to perform all six of the activities) with respect to the items: operation, installation (including on-site), maintenance, repair, overhaul, *and* refurbishing; OR (2) will any non-U.S. Person have access to its underlying manuals, blueprints, or Technology?

16. Is the information to be used or generated in this research publicly available OR is it being released to University students enrolled in a catalog-listed course or teaching lab?

17. Are the results of the research expected to be published?

18. If applicable, provide a short bibliography of publications related to this Technology.

Please send this completed form to the Office of Research Integrity, ori@louisiana.edu, for review.