



THE RESEARCH FOUNDATION

The State University of New York

Office of Sponsored Programs Services

Export Management System

Information Needed for an Export Controls License Assessment

June 2009

Introduction

The purpose of this document is to provide a template with the information needed to make an assessment of an export controls situation, and determine if an export controls license must be requested.

The template contains the following sections:

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Section 1: Basic Information

Basic Information	
Date	
Principal Investigator (PI) Name	
PI Title and Department	
Award Number	
Award Period	
Title of Sponsored Project	
Brief Technical Description of Project/Activity	
Sponsor Name	

Section 2: Foreign Travel

Do you anticipate any foreign travel associated with this project?

YES _____ NO _____

If YES, provide the following information for each foreign country destination that is part of the research project, including trips involving travel from one foreign country to another foreign country.

Travel Information	
Country or Countries on the Travel Itinerary	
Purpose of Travel	
Dates of Travel	

Section 3: Research Team Foreign Nationals

Are any members of your research team a foreign national?

YES _____ NO _____

If YES, provide the following information for each foreign national on your research team.

Name	Employee Type	National Citizenship	Residency Status (if different from citizenship)

Section 4: Foreign Entities and Foreign Nationals/Persons

Will you collaborate in any way with a foreign entity or foreign national/person?
(e.g., non-U.S. citizen/green card holder?)

YES _____ NO _____

If YES, provide the following information for each foreign entity or [foreign national/person](#) who will have a role in the project or access to a controlled item (e.g., equipment, software, services, technology) both in the U.S. as well as abroad.

The campus research office will complete an analysis using the Visual Compliance/Research Edition, restricted party screening feature, for each entity and foreign national/person listed.

Foreign Entity Information	
Name of Entity	
Address (if available)	
Point of Contact	
Brief Description of Project Role or How the Entity Will Have Access	

Foreign National/Person Information	
Name of Person (First Name, Middle Initial, Last Name)	
U.S. Address	
National Citizenship	
Residency Status (if different from national citizenship)	
Brief Description of Project Role or How the Person Will Have Access	

Section 5: Sanctioned Countries

Does this project provide data, services, or conduct any transaction with a sanctioned country as defined by the U.S. Department of Treasury, Office of Foreign Assets Control (OFAC)?

YES _____ NO _____

If YES, provide the following information for each OFAC sanctioned country.

Sanctioned Country Information	
Name of Country	
Brief Description of the Data, Services, or Transactions to be Provided	

Section 6: Equipment, Software, Services or Technology

Does this project involve a controlled item (e.g., equipment, software, services, technology) that is on the U.S. Department of Commerce, Commerce Control List (CCL)?

YES _____ NO _____

Does this project involve a controlled item (e.g., equipment, software, services, technology) that is on the U.S. Department of State, Munitions List (USML)?

YES _____ NO _____

If YES, provide the following information for each controlled item (e.g., equipment, software, service, technology) that will be used for this project (e.g., taken or shipped to a foreign country and/or that a foreign national or entity will access). RW

CCL or USML	Export Control Designation (*)	Controlled Item Name/Description	Manufacturer/RW	Part and Model Numbers
For Example: CCL	3B001	Electron Beam Lithography Tool	ABC Scientific Products	EOL JBX-9300FS

* If known, provide the Export Control Designation. For the CCL (Commerce Control List) this is the Export Control Classification Number (ECCN). For the USML (U.S. Munitions List this is the Category and Subcategory Classification). If the Export Control Designation is not known:

- Ask the manufacturer
- Look it up on the CCL. More information on how to do this is included on the [Bureau of Industry and Security's ECCN Questions and Answers Web page](#).
- Look it up on the USML. More information on how to do this is included on the [Directorate of Defense Trade Controls](#), ITAR (International Traffic in Arms Regulations) Web page
- Contact the campus research office for an analysis using the Visual Compliance/Research Edition export controls compliance tool.

Section 7: Release of Technical Information/Instructions for Use of Controlled Items

Does this project involve technical information/instructions for the use of a controlled item (e.g., equipment, software, services, technology) that is on the U.S. Department of Commerce, Commerce Control List (CCL) or U.S. Department of State, Munitions List (USML)?

YES _____ NO _____

If YES, provide the following information for each controlled item (e.g., equipment, software, service, technology) that will require the release of technical information/instructions for the use of the item.

CCL or USML	Export Control Designation (*)	Controlled Item Name/Description
For Example: CCL	3B001	Electron Beam Lithography Tool

* If known, provide the Export Control Designation. For the CCL (Commerce Control List) this is the Export Control Classification Number (ECCN). For the USML (U.S. Munitions List this is the Category and Subcategory Classification). If the Export Control Designation is not known:

- Ask the manufacturer
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- Look it up on the USML. More information on how to do this is included on the [Directorate of Defense Trade Controls](#), ITAR (International Traffic in Arms Regulations) Web page
- Contact the campus research office for an analysis using the Visual Compliance/Research Edition export controls compliance tool.

Section 9: Encrypted Software

Does this project involve research containing source code for encrypted software - other than what is publically available software distributed at no charge?

YES _____ NO _____

If YES, please check all the applicable information security functions if your product (including its parts and/or components) performs cryptography.

Encrypted Software	
Encryption	
Decryption Only (no encryption)	
Key Management / Public Key Infrastructure	
Authentication (e.g., password protection, digital signatures)	
Copy Protection	
Anti-Virus Protection	
Non/Not Applicable	
Other (please explain	

Section 10: Additional Information

Are there any relevant additional information (e.g., scope of work, emails/communications, manufacturer specifications) regarding the situation that could facilitate the license assessment process?

YES _____ NO _____

If YES, please attach copies.