This form should be completed and signed by the Principal Investigator of a research or development project that may be subject to export control regulations. Provide the requested information and submit this form to theorrc@howard.edu. Visit the ORRC website for more information on export controls policy and procedures.

# I. Project Information

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
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|  | 1. | Discloser: | | | Click or tap here to enter text. | | | | | | | | | | | |  |
|  | 2. | Email Address: | | | | | Click or tap here to enter text. | | | | | | | | | |  |
|  | 3. | Role on the Project: | | | | | | | | Click or tap here to enter text. | | | | | | |  |
|  | | | | | | | | | | | | | | | | | |
|  | 4. | Project Title: | | | | Click or tap here to enter text. | | | | | | | | | | |  |
|  | | | | | | | | | | | | | | | | | |
|  | 5. | HU Principal Investigator (If other than the Discloser): | | | | | | | | | | | Click or tap here to enter text. | | | |  |
|  | 6. | PI Email Address: | | | | | | Click or tap here to enter text. | | | | | | | | |  |
|  | 7. | PI Phone Number: | | | | | | | Click or tap here to enter text. | | | | | | | |  |
|  | 8. | School/College/Unit credited with this project: | | | | | | | | | | Click or tap here to enter text. | | | | |  |
|  | 9. | Department credited with this project: | | | | | | | | | Click or tap here to enter text. | | | | | |  |
|  | 10. | Is this project funded? | | | | | | | | | | | | |  |  |  |
|  |  | a. | If Yes, indicate the direct sponsor/funding source: | | | | | | | | | | | | | |  |
|  |  |  | Click or tap here to enter text. | | | | | | | | | | | | | |  |
|  |  | b. | Did the direct sponsor/funding source receive funds from another source to fund this project? | | | | | | | | | | | |  |  |  |
|  |  |  | i. | If Yes, indicate the original source of funding: | | | | | | | | | | | | |  |
|  |  |  |  | Click or tap here to enter text. | | | | | | | | | | | | |  |
|  |  | c. | Provide the project number (i.e., Workday Project #): | | | | | | | | | | | Click or tap here to enter text. | | |  |
|  | 11. | Does the project involve “Research” as defined by [2 CFR § 200.1](https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200/subpart-A/subject-group-ECFR2a6a0087862fd2c/section-200.1)? | | | | | | | | | | | | |  |  |  |
|  |  | a. | If Yes, is the research considered “Fundamental Research” as defined by [EAR 15 CFR § 734.8(c)](https://www.ecfr.gov/current/title-15/subtitle-B/chapter-VII/subchapter-C/part-734/section-734.8)? | | | | | | | | | | | |  |  |  |
|  |  |  |  | If Yes, this project is excluded from export control regulations. Skip to Section VIII of this form. | | | | | | | | | | |  |  |  |
|  |  | b. | If No, please explain why the activity is not “Fundamental Research.” | | | | | | | | | | | |  |  |  |
|  |  |  | Click or tap here to enter text. | | | | | | | | | | | |  |  |  |
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# II. Deemed ExportS

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|  | 12. | Is it known or is there reason to believe that technology, software source code, or regulated information will be shared with, released or transmitted to a non-U.S. foreign national, a foreign government entity, a foreign company, a foreign military, or anyone who is not legally considered a U.S. person virtually or in-person? This includes discussions with a foreign researcher or student. | |  |  |  |
|  |  | a. | If Yes, please explain the [Deemed Export](https://www.bis.doc.gov/index.php/policy-guidance/deemed-exports), who will have access to it, and how they will access it. |  |  |  |
|  |  |  | Click or tap here to enter text. |  |  |  |
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# III. International Travel

|  |  |  |  |  |  |  |  |
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|  | 13. | Does the project activity include travel to a destination outside of the United States and its territories? | | |  |  |  |
|  |  | a. | Does this travel include a destination in a country on the [Office of Foreign Assets (OFAC) sanctioned programs and countries list](https://ofac.treasury.gov/sanctions-programs-and-country-information)? | |  |  |  |
|  |  |  | i. | If Yes, list the countries. |  |  |  |
|  |  |  |  | Click or tap here to enter text. |  |  |  |
|  |  | b. | Will any laptop computers, web-enabled cell phones, and other electronics containing encryption hardware or software and/or proprietary software accompany any of the individuals travelling internationally? | |  |  |  |
|  |  |  | i. | If Yes, list and describe these items. |  |  |  |
|  |  |  |  | Click or tap here to enter text. |  |  |  |
|  |  | c. | Will any High-tech equipment, confidential, unpublished, or proprietary information or data accompany any of the individuals travelling internationally? | |  |  |  |
|  |  |  | i. | If Yes, list and describe these items. |  |  |  |
|  |  |  |  | Click or tap here to enter text. |  |  |  |
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# IV. Confidential/Proprietary Information

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | | | | | | | | |
|  | 14. | Will non-commercial encryption software developed by Howard University, in source code or object code be shared, shipped, transmitted, carried, or transferred within or outside of the U.S.? | | | |  |  |  |
|  |  | a. | If Yes, please describe the software and explain how it will be used. | | |  |  |  |
|  |  |  | Click or tap here to enter text. | | |  |  |  |
|  | 15. | Does the project involve items, information, or software that will be shared, shipped, transmitted, carried, or transferred under a Non-Disclosure Agreement or a Confidentiality Agreement by an external sponsor, vendor, collaborator, or other third party? | | | |  |  |  |
|  |  | a. | If Yes, please explain. | | |  |  |  |
|  |  |  | Click or tap here to enter text. | | |  |  |  |
|  |  |  | i. | Was the item, information, or software that will be shared, shipped, transmitted, carried, or transferred developed under a sponsored agreement imposing publication restrictions beyond a brief review (up to 90 days) for patent protection and/or inadvertent release of confidential/proprietary information? | |  |  |  |
|  |  |  |  | 1) | If Yes, please explain. |  |  |  |
|  |  |  |  |  | Click or tap here to enter text. |  |  |  |
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# V. International Traffic in Arms Regulations (ITAR)

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
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|  | 16. | Does the project involve items, information, or software that are on the ITAR [U.S. Munitions List (USML)](https://www.federalregister.gov/documents/2020/01/23/2020-00574/international-traffic-in-arms-regulations-us-munitions-list-categories-i-ii-and-iii) or subject to ITAR? | |  |  |  |
|  |  | a. | If Yes, please list these items. |  |  |  |
|  |  |  | Click or tap here to enter text. |  |  |  |
|  | 17. | Does the project support the design, development, production, stockpiling, or use of a nuclear explosive device, chemical or biological weapons, maritime nuclear propulsion end use, or missiles? | |  |  |  |
|  |  | a. | If Yes, please explain. |  |  |  |
|  |  |  | Click or tap here to enter text. |  |  |  |
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# VI. Commerce Control List (CCL)

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|  | 19. | Does the project include items, information, or software that will be shared, shipped, transmitted, carried, or transferred that appears on the [Commerce Control List (CCL)](https://www.bis.doc.gov/index.php/regulations/commerce-control-list-ccl) of the Export Administration Regulations (EAR)? | |  |  |  |
|  |  | a. | If Yes, please list these items and explain how they will be exported. |  |  |  |
|  |  |  | Click or tap here to enter text. |  |  |  |
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# VII. CollaboratIONS

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | The ORRC will perform a restricted party screening check for all individuals and organizations related to this project. In the spaces below, please provide a list of the organizations or companies (including any subcontractors or independent contractors) as well as any individuals (internal or external to HU) with whom you will be collaborating or otherwise working on this research project. | | | | |  |
|  | 20. | Besides unrestricted/open fundamental research discussions, enter the name and address (if available) of all organizations that will be involved in this project. If necessary, click on the + to the right of the row to add a new line. | | | |  |
|  |  | **Organization/Company Name** | | **Address** | |  |
|  |  | Click or tap here to enter text. | | Click or tap here to enter text. | |  |
|  |  |  | | | |  |
|  | 21. | Besides unrestricted/open fundamental research discussions, Enter the name, citizenship, and role of all Howard University Personnel participating in this project. If necessary, click on the + to the right of the row to add a new line. | | | |  |
|  |  | **Personnel Name** | **Citizenship** | | **Role in the Project** |  |
|  |  | Click or tap here to enter text. | Click or tap here to enter text. | | Click or tap here to enter text. |  |
|  |  |  | | | |  |
|  | 22. | Besides unrestricted/open fundamental research discussions, enter the name and citizenship of all individuals participating in this project. If necessary, click on the + to the right of the row to add a new line. | | | |  |
|  |  | **Individual Name** | | **Citizenship** | |  |
|  |  | Click or tap here to enter text. | | Click or tap here to enter text. | |  |
|  | | | | | | |
|  | For your protection and that of the University, the ORRC will screen the entries listed against relevant U.S. Government lists that restrict or prohibit certain transactions with certain organizations and individuals. Some of these lists are provided below.   * [Department of Commerce Bureau of Industry and Security (BIS) Denied Persons List](https://www.bis.doc.gov/index.php/policy-guidance/lists-of-parties-of-concern/denied-persons-list) * [Department of Commerce BIS Entity List and Unverified List](https://www.bis.doc.gov/index.php/policy-guidance/lists-of-parties-of-concern/entity-list) * [Department of State Arms Export Control Act Debarred Parties](https://www.pmddtc.state.gov/ddtc_public/ddtc_public?id=ddtc_kb_article_page&sys_id=7188dac6db3cd30044f9ff621f961914) * [Department of State Designated Terrorist Organizations](https://www.state.gov/foreign-terrorist-organizations/) * [Department of State Nonproliferation Orders](https://www.state.gov/key-topics-bureau-of-international-security-and-nonproliferation/nonproliferation-sanctions/) * [Department of Treasury Specially Designated Nationals and Blocked Persons List](https://sanctionssearch.ofac.treas.gov/) * [Department of Treasury Office of Foreign Assets Control (OFAC) Sanctions List](https://sanctionssearch.ofac.treas.gov/) | | | | |  |
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# VIII. Certifications

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
|  | My signature certifies that: | | | | | |  |
|  | i. | The information provided in this disclosure form is accurate and true to the best of my knowledge. | | | | |  |
|  | ii. | I understand that project activities are consistent with University objectives. | | | | |  |
|  | iii. | I understand that the obligations and commitments described are acceptable and in accordance with University and Federal export controls policies. | | | | |  |
|  | iv. | I understand that the Principal Investigator and Department Chairperson will bear responsibility for monitoring compliance with agreement terms. | | | | |  |
|  |  |  | | | | |  |
|  |  |  |  |  |  |  |  |
|  |  | Discloser or PI |  | Signature |  | Date Signed |  |
|  |  |  |  |  |  |  |  |
|  |  | Department Chairperson |  | Signature |  | Date Signed |  |
|  |  |  |  |  |  |  |  |
|  |  | Dean/Associate Dean for Research |  | Signature |  | Date Signed |  |
|  |  |  |  | |  |  |  |