



UNIVERSITY OF WISCONSIN – MADISON

EXPORT CONTROL ASSESSMENT FORM

PROJECT IDENTIFICATION

MSN / Project #:

PI / PM:

Sponsor:

Project Title:

****** This form shall be completed and signed (see p. 2) by the Principal Investigator ******

EXPORT CONTROL ASSESSMENT

TOPIC

RESPONSE

Export Controlled Technology

Q1) Public Domain – Will this project use or create information that is not or will not be shared publicly? Answer “No” for patient-related information or data (i.e., HIPAA).

- Yes
 No

Q2) Publication Restriction – Does the award documentation include a publication restriction that could limit your ability to publish your research?

- Yes
 No

Q3) Personnel Restriction – Does the award documentation include a personnel restriction that limits your ability to hire foreign nationals to work on the project?

- Yes
 No

Q4) NDA – Does this project require a non-disclosure agreement to share items, software, information or data that could limit your ability to publish some or all of your research?

- Yes
 No

Q5) Encryption Software – Do you plan to share or use UW developed or non-commercial encryption software (including travel abroad with it)?

- Yes
 No

Q6) WMDs – Does the project involve the design, production or use of nuclear, chemical or biological weapons (WMDs)?

- Yes
 No

Q7) ITAR – Does this project include items, software, information or data controlled under the International Traffic in Arms Regulations (ITAR) that are military- weapon-, spacecraft-, satellite or rocket-related?

- Yes
 List the USML Category: _____
 No

Q8) EAR – Does this project include items, software, information or data on the Commerce Control List (CCL) of the Export Administration Regulations (EAR)?

- Yes
 List the CCL Classification: _____
 No

Export / Deemed Export

Q9) Foreign Participation – Will foreign persons or students participate in this research as sponsors, collaborators or staff?

- Yes
 No

Q10) Travel – Does this project require you or your staff to travel internationally?

- Yes; Name of Country: _____
 No

Q11) Shipping – Are you planning on shipping any items, software, information or data out-of-the-country as part of this project?

- Yes; Name of Country: _____
 No

Restricted Party Screening

The U.S. government generates lists of persons and organizations with which we are not to have transactions (restricted parties). Please answer the following questions to determine whether a restricted party screening needs to be completed for your project.

Q12) Sponsor – Is the project sponsored by a foreign organization?
If Yes, please note the name of Organization: _____

- Yes
 No

Q13) Subawards – Does this project include subawards to foreign organizations or persons?
If Yes, note name of Organization/Person: _____

- Yes
 No

Q14) Purchasing – Do you plan to purchase, acquire or control movement of any equipment, materials or software from a foreign source for this project?
If Yes, note: Name of Organization/Person: _____
Name of Country: _____

- Yes
 No

For HELP see: [Export Control Assessment Form Tutorial @ https://kb.wisc.edu/gsadminkb/page.php?id=35038](https://kb.wisc.edu/gsadminkb/page.php?id=35038)



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SIGNATURES

Assessment Authorization:

The above assessment is complete and correct to the best of my knowledge. If an export license is required, I will ensure that no export or deemed export of the controlled item or technology shall occur prior to receiving that export license.

Signature – Principal Investigator

Date: _____

**** Send signed form to: exportcontrol@grad.wisc.edu (scan the signed copy), or Tom Demke, AOSS Bldg, 1225 W. Dayton St, Rm 525 ****

<Completed by the Export Control Office>
EXPORT LICENSE DETERMINATION

An Export License is required for this project? Yes No

Comments / Rationale:**Assessment Review:**

The above assessment and restricted party screening (if applicable) are complete.

Signature – Export Control Office

Date: _____