Export Control Worksheet:

International Collaboration

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| **NOTE:** Any item (i.e., any commodity, software, technology, or equipment) or information developed by WMU researchers in collaboration with a foreign person(s) will be either an export or a ‘deemed export’ and must be reviewed prior to starting the project/research. |

1. WMU Researcher’s Identity:

a. Full Name:

b. College:       / Department:

c. eMail:       / Cell:       / Office:

2. Collaborator’s Identity: **(for additional collaborators complete Export Control Worksheet: International Collaboration Additional Collaborators 17-3a)**:

a. Full Name:

1. Any other name(s) to be known by:

2. Home Address: Street:       City:       Country:

3. email:       / Cell:       / Office:

b. University/Employer/Organization:

1. Full Name:

2. Address: Street:       City:       Country:

3. Position and Responsibilities/Activities:

3. Areas of WMU in which the collaborator(s) will have access:

a. Yes  No  Have the colleges/departments to which the collaborator(s) will have access have been notified? If No, describe the plan to inform them.      .

b. Yes  No  Is an Export/Technology Control Plan required? If Yes, please attach your plan. If it has not been developed, please describe your process in getting one completed and reviewed prior to the visitor’s arrival.      .

4. Export (Project/Research) Identity:

a. Project/Research title or equipment name:

b. Dates of proposed project/research: From       To

c. Funding source:

d. Funding status:

e. Scope of project/research:

1. The primary aim of the research:

2. In language understandable to a layperson, please provide an in-depth, but concise description of your project.

3. Describe all potential uses of the developed item or information. Please think ‘outside the box’ and include potential ‘law of unintended consequences’ of the item or information.

4. Yes  No  Is this research considered basic and applied of which you will be publishing and sharing broadly within scientific community? If, yes, which journals are you planning on submitting the paper(s) from this research project?

f. Provide a key words to classify your project/research, technology, item, or information:

g. Clarifying questions:

Yes  No  Does this involve receipt or generation of classified information or technology?

Yes  No  Will you share, ship, transmit, or travel outside the U.S. with **non-commercial encryption software** in source code or object code form, either stand alone or embedded in other code?

Yes  No  Do you know or have reason to believe that the results will support the design, development, production, stockpiling, detection, or use of a **nuclear explosive device, a chemical or biological weapon, or a missile**?

Yes  No  Will this involve or potentially involve commerce with, travel to, shipment to, or payment to or from **Cuba, Iran, North Korea, Sudan, or Syria**?

Yes  No  Will this use global positioning system (**GPS**) technology outside of the U.S., either for personal travel or as project/research equipment?

**Describe any Yes answer to 4.g.:**

5. Export determination questions:

a. Publication

Yes  No  Will your project/research results be **restricted** from publication in the public domain, i.e., open research literature or manufactured and sold to the general public?

Yes  No  Will you be signing a **non-disclosure agreement** (**NDA**) or any other confidentiality agreement?

Yes  No  Will you deliver a prototype or research sample to the sponsor or another non-WMU party?

**Describe any Yes answer to 5.a.:**

b. Involvement of foreign persons

Yes  No  Did funding for the project/research originate or flow through a foreign government or foreign government agent/agency? This would include any payments or reimbursement for work by your collaborators that were directly due to their work on the project/research, i.e., their government funding their travel to the U.S. specifically to work the project/research.

Yes  No  Will any part of the project/research be performed at a site other than at an U.S. academic site within U.S. borders?

**Describe any Yes answer to 5.b.:**

c. Federal regulations

Yes  No  Will any item or information be received, used, or developed in your project a **defense article** or **technical data** on the International Trafficking in Arms Regulations (ITAR) **U.S. Munitions List**? (See 22 CFR 121.1)

Yes  No  Did you, in your project/research proposal, explicitly discuss military applications of the results?

Yes  No  Could the item or information have a **Dual Use** application? Even though the item or information was developed/created primarily for commercial or public use it has a potential military or terrorism application. (See Research Export Control Policy, 3.6)

Yes  No  Are you receiving, shipping, or transferring items or information on the Export Administration Regulation’s (EAR) Commercial Control List (CCL)?

(0) Nuclear Materials, Facilities and Equipment, and Miscellaneous;

(1) Materials, Chemicals, Microorganisms, and Toxins;

(2) Materials Processing;

(3) Electronics Design, Development and Production;

(4) Computers;

(5) Telecommunications and Information Security;

(6) Sensors and Lasers;

(7) Navigation and Avionics;

(8) Marine;

(9) Propulsion Systems, Space Vehicles, and Related Equipment.

**Describe any Yes answer to 5.c.:**

6. Certification:

a. I declare the information contained in this document is accurate to the best of my knowledge. I recognize my responsibilities in complying with federal regulations and WMU policies governing export control.

b. I declare that all activities in which the foreign person(s) will participate in will be under my supervision and conducted in accordance with federal regulations and WMU policies governing export control.

* Prior to deviating from the original scope of this project/research into any activity, I will complete and submit for review another **Export Control Worksheet: International Collaboration 17-3.**
* If during the course of this project/research, unanticipated events in terms of export control occur or may occur, I will cease further conduct on the project/research and report the issue to WMU’s Export Control Officer immediately.

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| --- | --- | --- | --- |
| Researcher |  |  |  |
| Signature: |  | Date: |  |
| Chair, Director, Dean, or Associate Dean | | | |
| Signature: |  | Date: |  |
| Print: |  |  |  |

**Scan the completed form, then email to ovpr-export-control@wmich.edu.**