

**Export Control Checklist (ECC)  
used at  
Award Acceptance Stage**

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**First Inspection completed by Award Acceptance Officer (AAO)**

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For sponsored projects funded by DoD, NASA, Energy, Defense Contractors, international sponsors, either directly or as flow thru, the AAO shall complete this Export Control Review.

For all other projects, the AAO is NOT required to complete this Export Control checklist unless the AAO identifies export control issues during the review process. If there are export control concerns, follow this process and complete the checklist.

Enter UVMClick AWD#: \_\_\_\_\_

Enter UVMClick FP#: \_\_\_\_\_

Award Acceptance Officer: \_\_\_\_\_

Date Completed: \_\_\_\_\_

**Check all applicable boxes:**

Does the project activity involve any of the following areas: nuclear technology, weaponry, missiles, unmanned vehicles, encryption technology, lasers, sensors, radars, optics, surveillance, astronomical instruments?

Does the award or associated documents and correspondence contain any indication from the Sponsor or any other party that the project is restricted under Export Control?

Does the award or associated documents contain a publication prior approval requirement or any other restriction on publication?

Does the award or associated documents contain any restrictions on who may work on the project (e.g., no foreign nationals may work on the grant)?

Does the project activity refer to using "restricted" equipment?

Does the project activity involve a foreign component (shipment overseas, foreign collaboration or participants, activity overseas)?

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**If any box has been checked, the AAO prepares the next section: Secondary Inspection.**

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If there are No applicable boxes checked above, check here to indicate there are no substantial concerns. You may STOP here and save the document under S:\osp\03-RECORDS in the Award File. In addition, add this document to UVMClick as a Log Comment (indicating No Export Control Concerns) and attach this file as a Supporting Document (SD). Then the AAO can proceed with the award process.

Secondary Inspection

<b>Principal Investigator:</b>	
<b>Department:</b>	
<b>College:</b>	
<b>Direct Sponsor:</b>	
<b>Prime Sponsor:</b>	
<b>Title of Project:</b>	
<b>Scope of Work</b> (paste or attach FP):	
<b>Equipment Being Used:</b>	
<b>Countries / Foreign component:</b>	
<b>Project Performance Period:</b>	

Award Document / Solicitation		
<p><b>Publication Restriction:</b> None</p> <p><b>Describe:</b></p> <p>Document, page number, reference, quote, other relevant information</p>	<p><b>Person Access Restriction :</b> None</p> <p><b>Describe:</b></p> <p>Document, page number, reference, quote, other relevant information</p>	<p><b>If DoD, Distribution Statement<sup>1</sup> other than "A"</b></p> <p><b>Distribution Constraint Letter:</b></p> <p>Document, page number, reference, quote, other relevant information</p>
<p><b>If DoD, Contract Security Classification Specification, Form DD254:</b> None</p> <p><b>Classification:</b> Confidential, Secret or Top Secret</p>	<p><b>Specific Contractual Clauses:</b></p> <p><input type="checkbox"/> NASA FAR 1852.204-76</p> <p><input type="checkbox"/> FAR 52.227-17</p> <p><input type="checkbox"/> DFARS 252.204-7000</p> <p><input type="checkbox"/> DFARS 252.204-9001</p> <p><input type="checkbox"/> DFARS 252.204-7008</p> <p><input type="checkbox"/> DFARS 252.204-7012</p> <p><input type="checkbox"/> DFARS 252.227-7020</p> <p><input type="checkbox"/> DOE FAR 952.204-71</p> <p><input type="checkbox"/> ARL 52.004-4400</p> <p><input type="checkbox"/> AFMC 5352.227-9000</p>	<p>If DoD, what budget activity?</p> <p><input type="checkbox"/> 6.1- Basic Research</p> <p><input type="checkbox"/> 6.2- Applied Research</p> <p><input type="checkbox"/> 6.3- Advance Technology Development</p> <p><input type="checkbox"/> 6.4- Advanced Component Development and Prototypes</p> <p><input type="checkbox"/> 6.5- System Development and Demonstration</p> <p><input type="checkbox"/> 6.6- RDT&amp;E Management Support</p> <p><input type="checkbox"/> 6.7- Operational System Development</p>
<p><b>Development?</b> None</p> <p><b>Describe:</b></p>		

<sup>1</sup> DoD Distribution Statements:

Distribution Statement A: Approved for public release. Distribution is unlimited.  
 Distribution Statement B: Distribution is limited to US Government agencies only; other requests shall be referred to the controlling DOD office.  
 Distribution Statement C: Distribution is authorized to US Government agencies and their contractors.  
 Distribution Statement D: Distribution of technical documents is authorized to DoD components and their contractors.  
 Distribution Statement E: Distribution of technical documents is authorized to DoD components only.  
 Distribution Statement F: All distribution of technical document is to be determined by the controlling DOD office.  
 Distribution Statement X: Distribution is authorized to US government organizations and private individuals or enterprises eligible to obtain export-controlled technical data in accordance with DoD Directive 5230.25.

Project Performance Characteristics		
<p><b><u>Sponsor or any other party has indicated the Project is controlled:</u></b></p> <p style="text-align: center;"><b>None</b></p> <p><b>Describe:</b></p> <p>Document, page number, reference, quote, other relevant information</p> <p><b>Was this indicated as controlled under:</b></p> <p style="text-align: center;"><b>Export Administration Regulation (EAR)</b></p> <p style="text-align: center;"><b>International Traffic in Arms Regulation (ITAR)</b></p>	<p><b><u>Foreign Travel / Interaction :</u></b></p> <p style="text-align: center;"><b>None</b></p> <p><b>Describe:</b></p> <p>Document, page number, reference, quote, other relevant information</p>	<p><b><u>Items, data, materials, or equipment to be transferred outside of the US:</u></b></p> <p style="text-align: center;"><b>None</b></p> <p><b>Describe:</b></p> <p>Document, page number, reference, quote, other relevant information</p>
<p><b><u>Foreign Collaborators / Entities:</u></b>     <b>None</b></p> <p style="text-align: center;"><b>Name(s):</b> _____</p> <p style="text-align: center;"><b>Country or Countries of citizenship:</b> _____</p>		

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**AAO Instructions upon Completion**

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1. Upon completion of the Secondary Inspection, the AAO selects "Manage Ancillary Review" from the left hand menu of the UVMClick Award Workspace. The AAO selects "Grants Ancillary -Export Controls" from the #1 Organization field and then attaches the completed form and award document within the Manage Ancillary Review tab. These documents will automatically be sent to the Research Compliance Officer (RCO), Victoria Jones, [Victoria.Jones1@uvm.edu](mailto:Victoria.Jones1@uvm.edu) and [SPA@uvm.edu](mailto:SPA@uvm.edu) and Brian Prindle, [Brian.Prindle@uvm.edu](mailto:Brian.Prindle@uvm.edu). After the Ancillary Review has been submitted, the comments will be displayed in the History Tab and the responses to questions, and uploaded documents will be displayed within the Manage Ancillary Review Tab.
2. The AAO continues reviewing the award and proceeds to collect information needed to accept the award and if needed can begin preparing any required changes in coordination with the PI and department. However, the AAO may not proceed to award signature until the RCO completes the "Manage Ancillary Review" activity from #1 above.

3. The Ancillary Review may result in two outcomes:
  - A. No EC concerns: upon receiving the request for Ancillary Review, the RCO uploads the results of the Export Controls review or describes the reason for the determination of the low level of risk and submits the results of the Ancillary Review via the “Manage Ancillary Review” activity in UVMClick Awards module.
  - B. The project is deemed to be export controlled. Before submitting the Ancillary Review in UVMClick, the RCO:
    - a. Sets up the Technical Control Plan (TCP). The TCP is executed by the Principal Investigator, his/her supervisor, and the Executive Director for Research. The working documents related to the TCP are located under S:\osp\Export Controls\TCS. The resultant TCP is then uploaded to UVMClick Grants as a Supporting Document (e.g., “SD\_AWD00000xxx\_TCP”) and
    - b. Confirms that the related Export Control training is complete for all participants. The confirmation is also uploaded within the “Manage Ancillary Review” activity within UVMClick Award module.

The RCO then submits the results of the Ancillary Review via the “Manage Ancillary Review” activity in UVMClick Awards module and the AAO may continue with the Award acceptance process