



EXPORT CONTROL EXCLUSION SCREENING (ECES) FORM

HSC Principal Investigator (PI): Answer the following questions and return to the HSC Sponsored Projects Office administrator working on your proposal, grant, contract, agreement or MTA. Questions regarding the completion of this form or export control questions should be directed to HSC Export Control:
 Tim Muller, RHFH.B83 or (272-5993 / HSCExport@salud.unm.edu)

Please complete this form electronically, sign & date and return a hard or an electronic copy to the HSC Sponsored Projects Office. Updates to questions 1-16 need to be communicated to the HSC Sponsored Projects Office and HSC Export Control by completing / submitting an updated ECES form.

Tracking Number:	Previous Tracking Number:	Estimated Start Date:
Proposal Title:		
Principal Investigator:	PI phone number:	
Funding Agency / Institution:		

Fundamental Research Exclusion	Yes	No	Unsure																																				
1. Will the information be published and shared broadly in the scientific community?																																							
2. Are there any proprietary or U.S. government publication or access dissemination restrictions in the contract?																																							
3. Are there any restrictions on foreign national participation or requirements for U.S. citizens only in the contract?																																							
4. Will there be any foreign nationals and/or persons holding dual citizenship involved with the project? Provide the name and nationality of each individual.																																							
<table border="1"> <thead> <tr> <th>Name (First, Last, Middle)</th> <th>Country or Countries of Citizenship</th> <th>US Permanent Resident (Green Card holder)</th> </tr> </thead> <tbody> <tr><td> </td><td> </td><td> </td></tr> </tbody> </table>	Name (First, Last, Middle)	Country or Countries of Citizenship	US Permanent Resident (Green Card holder)																																				
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5. Is any portion of the project being conducted at a site other than UNM? (SubAwardees, Collaborators, Consultants, Other). If "Yes," where?																																							
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			Yes	No	Unsure
6. Will items, materials, software or technical data be shipped or transferred outside the United States?					
What will be shipped / transferred?					
Where will it be shipped / transferred?					
What institution, company or organization will receive the shipment / transfer?					
Who is the intended recipient?					
7. Is travel outside the US anticipated? Link to "Employee Equipment Check out Form" http://inventory.unm.edu/Forms/index.html					
Name(s) of Traveler(s)	Destination(s)	Will UNM items accompany the traveler? If yes, please complete and attach an "Employee Equipment Check out Form".			
		Yes No			
		Yes No			
		Yes No			
		Yes No			
		Yes No			
		Yes No			
		Yes No			
		Yes No			
Educational Information Exclusion					
8. Is the information commonly taught at schools and universities?					
9. Are courses about this information listed in published course catalogs?					
Other Terms Mentioned or Discussed Within the Project Documentation If "Yes" is indicated, please include a brief description.					
10. Encryption Software ?					
11. Select Agents and/or Toxins ?					
12. Trade Secrets ?					
13. Sanctioned or Embargoed countries ?					
14. ITAR (International Traffic in Arms Regulation) or United States Munitions List (USML)?					

	Yes	No	Unsure
15. EAR (Export Administration Regulations), Commerce Control List (CCL) or Export Control?			
16. Provide an overview of the project or attach the proposal, grant or contract.			
<p>Failure to comply with US export control laws can result in severe penalties to the individual that can include the following: Civil penalties up to \$500,000 for each violation; Criminal penalties can be applied up to \$1,000,000 for each violation; and/or Imprisonment for up to 10 years.</p> <p>I have answered the following questions to best of my knowledge and I will promptly communicate any changes related to these responses to HSC Export Control (272-5993 or HSCExport@salud.unm.edu).</p> <p>PI Signature: _____ Date: _____</p>			