



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, (505-272-5993 / HSCExport@salud.unm.edu)

Please complete this form electronically, sign & date and return a 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: Click or tap here to enter text.	Previous Tracking Number(s): Click or tap here to enter text.	Estimated Start Date: Click or tap to enter a date.
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Proposal Title: Click or tap here to enter text.

Principal Investigator: Click or tap here to enter text. | PI phone number: Click or tap here to enter text.

Funding Agency, Institution or Sponsor: Click or tap here to enter text.

Where is the Funding Agency, Institution or Sponsor located? Click or tap here to enter text.

Fundamental Research Exclusion	Required Response
Q1. Will the information be published and shared broadly in the scientific community?	Choose an item.
Q2. Are there any proprietary or U.S. government publication or access dissemination restrictions in the contract?	Choose an item.
Q3. Are there any restrictions on foreign national participation or requirements for U.S. citizens only in the contract?	Choose an item.
Q4. Will there be any foreign nationals and/or persons holding dual citizenship involved with the project? Provide the name and nationality of each individual.	Choose an item.

Q4(a).		
Name (First, Middle, Last)	Country or Countries of Citizenship	US Permanent Resident (Green Card Holder)
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Q5. Is any portion of the project being conducted at a site other than UNM? (SubAwardees, Collaborators, Consultants, Other). If "Yes," where?	Choose an item.
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Q5(a).		
Institution(s), Company/Companies or Organization(s)	City	Country
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Q6. Will items, materials, research samples, software, research data, technical data be shipped or transferred outside the United States?	Choose an item.
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Q6(a). What will be shipped / transferred?	Click or tap here to enter text.
Q6(b). Where will it be shipped / transferred?	Click or tap here to enter text.
Q6(b)(1). Who will be packaging and shipping physical items? Note: biological shippers will need to maintain their IATA shipping training certifications through the biosafety office (tmuller@salud.unm.edu or vseverns@salud.unm.edu). Other items may require additional IATA shipping training.	Click or tap here to enter text.
Q6(c). What institution, company or organization will receive the shipment / transfer?	Click or tap here to enter text.
Q6(d). Who is the intended recipient?	Click or tap here to enter text.
Q6(e). What is the intended end use?	Click or tap here to enter text.

Q7. Is travel outside the US anticipated? Personnel will also be required to submit an International Travel Application at least 6 weeks prior to traveling. International Travel	Choose an item.
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Q7(a).		
Name(s) of Traveler(s) or Potential Traveler(s)	Destination(s) or Potential Destinations	Document equipment and research related items to accompany the traveler (e.g., laptop computer make / model, smart phone make / model).
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Educational Information Exclusion	
Q8. Is the information commonly taught at schools and universities?	Choose an item.
Q9. Are courses about this information listed in published course catalogs?	Choose an item.
Other Terms Mentioned or Discussed Within the Project Documentation If "Yes" is indicated, please include a brief description.	
Q10. Encryption Software ? Click or tap here to enter text.	Choose an item.
Q11. Select Agents and/or Toxins ? Click or tap here to enter text.	Choose an item.
Q12. Trade Secrets ? Click or tap here to enter text.	Choose an item.
Q13. Sanctioned or Embargoed countries ? Click or tap here to enter text.	Choose an item.
Q14. ITAR (International Traffic in Arms Regulation) or United States Munitions List (USML)? Click or tap here to enter text.	Choose an item.
Q15. EAR (Export Administration Regulations), Commerce Control List (CCL) or Export Controlled? Click or tap here to enter text.	Choose an item.
Q16. Is any of the project equipment export controlled? Click or tap here to enter text.	Choose an item.
17. Provide an overview of the project or attach the proposal, grant or contract. Click or tap here to enter text.	

18. Failure to comply with US export control laws can result in severe penalties to the individual that can include the following: criminal penalties can include up to 20 years of imprisonment and up to \$1 million in fines per violation, or both. Administrative monetary penalties can reach up to \$300,000 per violation or twice the value of the transaction, whichever is greater.

I have answered the following questions to the best of my knowledge and I will promptly communicate any changes related to these responses to HSC Export Control (505-272-5993 or HSCExport@salud.unm.edu).

PI Signature:

Date: Click or tap to enter a date.

After completing form insert image of signature in text box or convert to PDF & sign within Adobe Acrobat or print / wet ink sign and scan to PDF.

Version 2.1 – April 8, 2026