



EXPORT CONTROLS PROCEDURES

Title: SIUC Sponsored Projects Coordination		
Procedure #:	Effective Date:	Author:
EC008.C1	12/10/2021	Todd Wakeland
<p>Purpose/Definitions: As part of its due diligence for sponsored projects, the Export Controls Office shall review proposals and awards that may be subject to export control laws and regulations. Additionally, to ensure that the campus does not collaborate on research projects with any restricted parties, the OSPA staff will perform restricted party screenings for any foreign entities listed in an award.</p> <p>Procedure:</p> <p>1. <u>Grant Proposals</u> OSPA staff shall provide the Export Controls Office with a monthly report of grant proposals. Export Controls Office staff shall review the proposals in the listing identify those that contain:</p> <ul style="list-style-type: none"> • “Yes” marked by the PI for “Travel to, Research in, a foreign country; a foreign collaborator; or export of any equipment or material to a foreign location?” and/or “Are you aware of any Export control issues with this proposal?” • Any of the red flag words in the Appendix to these procedures <p>For any proposals that meet any of this criteria and it is deemed that export controls may apply if awarded, Export Controls Office staff shall notify OSPA staff to flag the proposal file so that the Export Controls Office will be notified if the proposal is awarded.</p> <p>2. <u>Grant Awards</u> When a grant is awarded, OSPA staff shall notify the Export Controls Office if:</p> <ul style="list-style-type: none"> • The proposal was flagged as requested by the Export Controls Office • The award meets any of the red flag criteria listed in the Appendix to these procedures 		

When NASA contracts are awarded:

- OSPA staff shall send NASA contracts that include the “Restrictions on Funding Activities with China” clause to Export Controls Office staff.
- Export Controls Office staff shall contact the PI and obtain a signature on the “Restrictions on Funding Activities with China Acknowledgement Form.”
- When subawards are issued, OSPA staff shall be responsible for obtaining the completed forms from the subrecipients and providing copies to the Export Controls Office.
- The Export Controls Office shall be the office of record for these forms but will also send completed copies to OSPA staff.

When U.S. Department of Energy (DOE) contracts subject to Order 142.3B are awarded:

- OSPA staff shall send the DOE contracts to Export Controls Office staff.
- Export Controls Office staff shall contact the PI and obtain signed “Foreign Government Talent Recruitment Program Agreement Forms” for all project personnel.
- When subawards are issued, OSPA staff shall be responsible for obtaining the completed forms from the subrecipients and providing copies to the Export Controls Office.
- The Export Controls Office shall be the office of record for these forms but will also send completed copies to OSPA staff.

If any modifications to the award involve any of the red flag criteria listed in the Appendix, OSPA staff shall notify the Export Controls Office.

Unless notified otherwise for a specific circumstance, OSPA staff shall proceed forward with their process while the Export Controls staff is concurrently performing their duties. The Export Controls process should not provide a delay in the OSPA processes.

3. Foreign Collaborators

The OSPA Director shall perform restricted party screening for any foreign collaborators listed in an award, including individuals, universities, or companies.

If any matches are found when performing the restricted party screening, the OSPA Director shall send the information to Export Controls staff, who shall make a determination on whether or not the foreign collaborator shall be allowed.

Appendix A: Red Flag Words and Clauses

If these words or phrases are found in a proposal or award, it is an indication that export control laws and regulations may be applicable and the Export Controls Office shall review the related documentation to make a determination of any necessary action.

1. National Aeronautics and Space Administration (NASA)
2. U.S. Department of Defense (DOD)
3. U.S. Department of Energy (DOE)
4. International Traffic in Arms Regulations (ITAR)
5. United States Munitions List (USML)
6. Export Administration Regulations (EAR)
7. Commerce Control List (CCL)
8. Export Control Classification Number (ECCN)
9. Publication restriction
10. Military equipment or military use
11. Foreign citizenship restriction (restricting foreign nationals/certain countries)

DOD Contract Clauses:

1. DFARS 252.204-7000 (DEC 1991)
2. DFARS 252.204-7000 (AUG 2013)
3. DFARS 242-204-7000 (Revised Oct 2016)
4. DFARS 252.204-7004 (SEPT 1998)
5. DFARS 252.204-7008 (JUL 2008)
6. DFARS 252.204-7008 (April 2010) (Oct 2016)
7. DFARS 252.204-7012 (NOV 2013)
8. DFARS 252.225-7048 (June 2013)
9. FAR 52.204-2
10. FAR 52.227.14 (May 2014)
11. FAR 52.227-17
12. ARL 52.004-4400
13. ARL 52.005-4401 (July 2002)
14. AFMC 5352.227-9000
15. DEAR 952.204-71