**SMITHSONIAN ASTROPHYSICAL OBSERVATORY**

DETERMINATION OF EXPORT CONTROL APPLICABILITY

DATE:

|  |  |  |
| --- | --- | --- |
| NAME OF CONTRACT/PROPOSAL |  |  |
| DESCRIPTION |  |  |
| PROJECT MANAGER/PRINCIPAL INVESTIGATORWITH EMAIL AND PHONE | PI | PM |
| Technical Data (TD) Assessment | RESPOND TO QUESTIONS BELOW | Y OR N |
| 1 | Does the contract restrict publication or presentation of results?  |  |
| 2 | Will information disclosure require NDA? |  |
| 3 | Is there controlled encryption software and hardware bundled with encryption? (over 64 bits not for password protection or authentication) |  |
| 4 | Is TD contracted by a known research arm to the military? |  |
| 5 | Are there any FAR or other clauses that identify ITAR or export-restrictions? |  |
| 6 | Is it for NASA and they have foreign national restrictions? |  |
| 7 | Is it classified? |  |
| 8 | Does multi country ITAR NASA exemption apply? |  |
| 9 | If ITAR, and a deemed export, does higher learning exemption apply to the partner with the foreign national? |  |
| 10 | Is there controlled equipment, like IR cameras needed? |  |
| Assessment of Fundamental ResearchSignature | YES, Qualifies as Fundamental Research | NO, It does not qualify –ITAR or EAR (circle) |
| If controlled, provide the following: |  |  |
| SAO personnel who will have access to export controlled information |  | DATE OF TRAINING |
| Name | 1. |  |
|  | 2. |  |
|  | 3. |  |
|  | 4. |  |
| Other US persons who will have access – name, title, institute |  |  |
|  | 1. |  |
|  | 2. |  |
|  | 3. |  |
|  | 4. |  |
| Foreign parties with approved access |  | SIGNED NDA’S AND TRAINING |
| Name (in US) or organization (not in US) | 1. |  |
|  | 2. |  |
|  | 3. |  |
|  | 4. |  |
| Sub licenseesorganization (not in US) | 1. |  |
|  | 2. |  |
|  | 3. |  |
|  | 4. |  |
|  | 5 |  |
| PERSONNEL SCREENING OF ALL PARTIES AGAINST DPL AND SDN |  |  |
| DPL report on file? |  |  |
| HARDWARE EXPORTS AND DESCRIPTION (Temporary or permanent, controlled under ITAR or EAR.) If yes, complete hardware questionnaireProposed date |  |  |
|  |  |  |
| TECHNOLOGY AND HW RELEASE ROAD MAP |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
| MARKING OF DOCUMENTS AND RECORDS OF MEETINGS AND TELECONS |  |  |
| IT security plan |  |  |
| Marking convention |  |  |
| Responsible for records of meetings and telecons (participants) |  |  |

**SMITHSONIAN ASTROPHYSICAL OBSERVATORY**

EXPORT OF HARDWARE

|  |  |  |
| --- | --- | --- |
| HARDWARE EXPORTS AND DESCRIPTION  | RESPONSE | COMMENTS |
| 1. Name of Program
 |  |  |
| 1. Date of Planned Export
2. Date it needs to be there
 |  |  |
| 1. Location of equipment now
2. Temporary or permanent, if temporary, when is it coming back?
3. Has property transfer form been completed?
 |  |  |
| 1. Controlled under ITAR or EAR?
2. What is ECCN/ITAR Category?
3. Does it need a license? (ECO)
4. If yes, has license been obtained? (ECO)
 |  |  |
| 1. Hazardous Material/FCC concerns?

Is there an MSDS\*1 for the equipment? Is anything hazardous – corrosive, radioactive, etc. See DOT\*2 list \*Try not to ship and procure locally\* |  |  |
| 1. What is value?
2. Origin? Do you have Manufacturer Affidavit?
3. Schedule B or HTSUS no.?
4. Serial numbers
 |  |  |
| 1. How will it be exported – shipped or hand carried?
2. What is weight?
 |  |  |
| 1. Will it be sold (transfer title?)
 |  |  |
| 1. Do you have a broker for VAT, duty?
 |  |  |
| 1. Who is arranging the crating, shipping?
2. Insurance?
3. Export Filing in AES?
4. It is exempted? Tools of the trade, going to Canada, under $2500
 |  |  |
| 1. Any Technology release?
 |  |  |
| 1. Parties involved and their role
2. Conduct Denied Party Screening (ECO)
 |  |  |
| Sign off |  |  |

\*1 MSDS – Material Safety Data Sheet \*2 DOT – Dept of Transportation list of Hazardous Materials and Transportation Guide

IMPORT OF HARDWARE

DATE:

COMPLETED BY:

|  |  |  |
| --- | --- | --- |
| HARDWARE IMPORTS AND DESCRIPTION  | RESPONSE | COMMENTS |
| 1. Name of Program
 |  |  |
| 1. Date of Planned Import
 |  |  |
| 1. Location of eqt now
2. Temporary or permanent, if temporary, when is it going back and to where?
3. Has property transfer form been completed?
 |  |  |
| 1. Controlled under ITAR or EAR?
2. If yes, is a license needed to import?
3. Was the equipment procured from a foreign country? Do drawings have to be sent to the vendor? Do the export of drawings need a license?
 |  |  |
| 1. What is value? Was it enhanced in the foreign country in value or capability/
2. Origin?
3. If returning US goods, are there markings or documentation that it is US origin?
4. HTSUS no.
5. Is anything hazardous?
 |  |  |
| 1. How will it be imported –
2. Shipped or hand carried?
3. Ocean/Air
4. What is weight?
 |  |  |
| 1. Will it be sold (transfer title?)
 |  |  |
| 1. Do you have a broker for VAT, duty, Material Processing Fee?
 |  |  |
| 1. Who is arranging the crating, shipping?
2. Does SAO have a Power of Attorney with the freight forwarder and broker?
3. Insurance?
4. Who is doing import Filing?
 |  |  |
| 1. Forward Customs docs to ECO/Accountable Property Officer
 |  |  |
| Sign off |  |  |