

CERES Export Control Ancillary Review Checklist

Please submit CERES ancillary review requests to Export Controls under the “Organization Reviewer” or if that is not available submit to Amy Weber and Mary Kate Clifford as “Individual Reviewers”

Submit the CERES ancillary review request if it meets any of the following criteria:

Export Control Check List	
1. Publication restriction: Is there a publication restriction or dissemination restriction? (i.e., Sponsor must approve/disapprove publication, excluding reasonable reviews for patents or proprietary information)	<ul style="list-style-type: none"> • DFARS 252.204.7000 or FAR 52.227-17
2. Foreign person restriction: Does the agreement prohibit the involvement of non-U.S. persons or persons from certain countries or require Northwestern to identify or seek Sponsor prior approval for foreign national participation?	
3. Restricted data or IT management plan: Does the agreement indicate there is Controlled Unclassified Information or classified data or require and IT management plan?	<ul style="list-style-type: none"> • DFARS 252.204-7008 DFARS 252.204-7012 • DFARS 252.204-7019 DFARS 252.204-7020 • DFARS 252.204-7021 NASA 1852.204-76
4. Non-standard export control language: Does the agreement or project anticipate that export-controlled information or items will be exchanged (i.e., beyond the standard language that everyone must follow the export control laws)?	
5. Project involves foreign sponsor or sub-contractor: Does the project involve foreign collaborators (sponsors, sub-contractors, or others)? IF YES: Were Restricted Party Screenings run?	
6. Comprehensively sanctioned countries: Does the research involve countries that are heavily sanctioned (Cuba, Iran, Syria, or Crimea, Donetsk, Luhansk, Sevastopol Regions of Ukraine).	
7. Military end use countries: These countries change over time (currently Belarus, Burma, Cambodia, China, Russia, and Venezuela).	
8. International shipment: Does the project involve an international shipment of tangible items (e.g., equipment, components, materials, substances, etc.)?	