



EXPORT CONTROL PROGRAM

EXPORT CONTROL ASSESSMENT FORM TUTORIAL

University of Wisconsin - Madison



EXPORT CONTROL ASSESSMENT FORM TUTORIAL



Purpose

- *Assist the PI in answering the questions in the Export Control Assessment Form (ECAAF) as found in the UW-Madison Export Control Plan*
- *The content of this ppt may be included as on-line help, if the ECAAF is placed on-line*



EXPORT CONTROL ASSESSMENT FORM TUTORIAL



Export Control Assessment Form

- Page 1
- Project Identification
- Export Control Assessment
- Restricted Party Screening Assessment

UNIVERSITY OF WISCONSIN – MADISON	
EXPORT CONTROL ASSESSMENT FORM	
PROJECT IDENTIFICATION	
MSN / Project #:	PI / PM: Sponsor:
Project Title:	
**** This form shall be completed and signed (see p. 2) by the Principal Investigator ****	
EXPORT CONTROL ASSESSMENT	
TOPIC	RESPONSE
Export Controlled Technology	
Q1) Public Domain – Will this project use or create information that is not or will not be shared publicly? Answer "No" for patient-related information or data (i.e., HIPAA).	<input type="checkbox"/> Yes <input type="checkbox"/> No
Q2) Publication Restriction – Does the award documentation include a publication restriction that could limit your ability to publish your research?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Q3) Personnel Restriction – Does the award documentation include a personnel restriction that limits your ability to hire foreign nationals to work on the project?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Q4) NDA – Does this project require a non-disclosure agreement to share items, software, information or data that could limit your ability to publish some or all of your research?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Q5) Encryption Software – Do you plan to share or use UW developed or non-commercial encryption software (including travel abroad with it)?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Q6) WMDs – Does the project involve the design, production or use of nuclear, chemical or biological weapons (WMDs)?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Q7) ITAR – Does this project include items, software, information or data controlled under the International Traffic in Arms Regulations (ITAR) that are military- weapon-, spacecraft-, satellite or rocket-related?	<input type="checkbox"/> Yes List the USML Category: _____ <input type="checkbox"/> No
Q8) EAR – Does this project include items, software, information or data on the Commerce Control List (CCL) of the Export Administration Regulations (EAR)?	<input type="checkbox"/> Yes List the CCL Classification: _____ <input type="checkbox"/> No
Export / Deemed Export	
Q9) Foreign Participation – Will foreign persons or students participate in this research as sponsors, collaborators or staff?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Q10) Travel – Does this project require you or your staff to travel internationally?	<input type="checkbox"/> Yes; Name of Country: _____ <input type="checkbox"/> No
Q11) Shipping – Are you planning on shipping any items, software, information or data out-of-the-country as part of this project?	<input type="checkbox"/> Yes; Name of Country: _____ <input type="checkbox"/> No
Restricted Party Screening	
<i>The U.S. government generates lists of persons and organizations with which we are not to have transactions (restricted parties). Please answer the following questions to determine whether a restricted party screening needs to be completed for your project.</i>	
Q12) Sponsor – Is the project sponsored by a foreign organization? If Yes, please note the name of Organization: _____	<input type="checkbox"/> Yes <input type="checkbox"/> No
Q13) Subawards – Does this project include subawards to foreign organizations or persons? If Yes, note name of Organization/Person: _____	<input type="checkbox"/> Yes <input type="checkbox"/> No
Q14) Purchasing – Do you plan to purchase, acquire or control movement of any equipment, materials or software from a foreign source for this project? If Yes, note: Name of Organization/Person: _____ Name of Country: _____	<input type="checkbox"/> Yes <input type="checkbox"/> No

For HELP see: [Export Control Assessment Form Tutorial @ https://kb.wisc.edu/gsdminkb/page.php?id=35038](https://kb.wisc.edu/gsdminkb/page.php?id=35038)



EXPORT CONTROL ASSESSMENT FORM TUTORIAL



Export Control Assessment Form

- Page 2
 - PI Signature
- License Determination / Export Control Office Signature
 - Export Control Office completes the license determination

	UNIVERSITY OF WISCONSIN – MADISON	
	EXPORT CONTROL ASSESSMENT FORM	
SIGNATURES		
Assessment Authorization: The above assessment is complete and correct to the best of my knowledge. If an export license is required, I will ensure that no export or deemed export of the controlled item or technology shall occur prior to receiving that export license.		
Signature – Principal Investigator _____		Date: _____
**** Send signed form to: exportcontrol@grad.wisc.edu (scan the signed copy), or Tom Demke, AOSS Bldg, 1225 W. Dayton St, Rm 525 ****		
<i><Completed by the Export Control Office></i> EXPORT LICENSE DETERMINATION		
An Export License is required for this project?		<input type="checkbox"/> Yes <input type="checkbox"/> No
Comments / Rationale:		
Assessment Review: The above assessment and restricted party screening (if applicable) are complete.		
Signature – Export Control Office _____		Date: _____



EXPORT CONTROL ASSESSMENT FORM TUTORIAL



Project Identification

	UNIVERSITY OF WISCONSIN – MADISON	
	EXPORT CONTROL ASSESSMENT FORM	
PROJECT IDENTIFICATION		
MSN / Project #:	PI / PM:	Sponsor:
Project Title:		
**** This form shall be completed and signed (see p. 2) by the Principal Investigator ****		

- **MSN / Project #:** *Insert the MSN #, ID or any discrete project identifier used by the organization*
 - *Please use the MSN # to identify the project unless an MSN # is not available for the project*
- **PI / PM:** *Insert the name of the person responsible for the project*
- **Sponsor:** *Insert the name of the sponsor*
- **Project Title:** *Insert the name or title of the project*

****** Note: The assessment is to be completed and signed by the PI ******



EXPORT CONTROL ASSESSMENT FORM TUTORIAL



Export Control Assessment (cont.)

Q1) Public Domain – Will this project use or create information that is not or will not be shared publicly? Answer “No” for patient-related information or data (i.e., HIPAA).

Items To Consider:

- Is this project based upon research that is not published?
- This question can be answered “No” if non-technical information is provided under a NDA, such as health, personal or educational information.
- One of the main characteristics of fundamental research is that it be widely shared with the scientific community. Projects which are not to be shared publicly due to publication restrictions or other reasons may not be fundamental research.
 - Fundamental research is basic or applied research conducted in science or engineering at an institute of higher learning the results of which are ordinarily published and shared broadly with the scientific community

Applicable Regulations:

- ND

Potential License Exceptions:

- Fundamental Research Exemption - National Security Directive 189; 15CFR 734.8



EXPORT CONTROL ASSESSMENT FORM TUTORIAL



Export Control Assessment (cont.)

Q2) Publication Restriction – Does the award documentation include a publication restriction that could limit your ability to publish your research?

Items To Consider:

- Typically, RSP will not approve an agreement that contains a publication restriction because it violates the UW' s fundamental research policy (openness in research).
- If the agreement places restrictions on what information can be published or requires that the sponsor approves articles before they are published, then the answer is Yes.
- Some sponsors request pre-submittal copies of articles for reference purposes or to review the submission for potential patent applications. The purpose of these requests is not to restrict publication; therefore, the answer to Q2 would be No.

Applicable Regulations:

- ND

Potential License Exceptions:

- Fundamental Research Exemption - National Security Directive 189; 15CFR 734.8



EXPORT CONTROL ASSESSMENT FORM TUTORIAL



Export Control Assessment (cont.)

Q3) Personnel Restriction – Does the award documentation include a personnel restriction that limits your ability to hire foreign nationals to work on the project?

Items To Consider:

- Typically, RSP will not approve an agreement that contains a personnel restriction because it violates the UW' s fundamental research policy (openness in research).
- Personnel restrictions are usually imposed for security reasons, indicating that the project may be export controlled and is not fundamental research.

Applicable Regulations:

- ND

Potential License Exceptions:

- ND



EXPORT CONTROL ASSESSMENT FORM TUTORIAL



Export Control Assessment (cont.)

Q4) NDA – Does this project require a non-disclosure agreement to share items, software, information or data that could limit your ability to publish some or all of your research?

Items To Consider:

- If technical items, information, software or data are provided through a NDA, then answer Yes.
- Controlled information supplied through a NDA that restricts the ability to publish results may violate the fundamental research exemption and could result in the need for an export license.

Applicable Regulations:

- ND

Potential License Exceptions:

- Fundamental Research Exemption - National Security Directive 189; 15CFR 734.8



EXPORT CONTROL ASSESSMENT FORM TUTORIAL



Export Control Assessment

Q5) Encryption Software – Do you plan to share or use UW developed or non-commercial encryption software (including travel abroad with it)?

Items To Consider:

- Transfer or sharing the source or object code of almost all encryption software to a foreign person or organization is subject to US export regulations.
- US persons are prohibited without prior authorization from providing technical assistance to a foreign person with the intent to assist in the overseas development or manufacture of encryption software that is subject to US export controls.

Applicable Regulations:

- ITAR: 22CFR 121 Category XI(b), XIII(b), XV(b), c)
- EAR: 15CFR 774, Supp. 1 ECCN 5D002, 5D992

Potential License Exceptions:

- Educational Exemption 15CFR 734.9



EXPORT CONTROL ASSESSMENT FORM TUTORIAL



Export Control Assessment (cont.)

Q6) WMDs – Does the project involve the design, production or use of nuclear, chemical or biological weapons (WMDs)?

Items To Consider:

- Could the project be used directly or indirectly in the design, transport, support, manufacture or use of weapons of mass destruction (WMDs)?
- Does the project use or create precursors or materials that could be used in a chemical, biological or nuclear weapon?

Applicable Regulations:

- ITAR: 22CFR 121 Category XIV
- EAR: 15CFR 774, Supp. 1 ECCN 1C350 to 1C360

Potential License Exceptions:

- ND



EXPORT CONTROL ASSESSMENT FORM TUTORIAL



Export Control Assessment (cont.)

Q7) ITAR – Does this project include items, software, information or data controlled under the International Traffic in Arms Regulations (ITAR) that are military- weapon-, spacecraft-, satellite or rocket-related?

Items To Consider:

- Does the item have a military application, no predominant civil application and no performance equivalent in civil applications? If so, answer Yes to Q7.
- Is the item itself, or any of its components or assemblies listed on the United States Munitions List (USML)?
- The manufacturer of a purchased item should be able to provide the USML category. Ask the manufacturer to provide the USML category if they state the item is ITAR.
 - In those cases where the manufacturer does not provide the category, contact the Export Control Office for assistance in determining if your item is in the list.
- Applicable Regulations:
- 22CFR 121 (US Munitions List)

Potential License Exceptions:

- ND



ITAR Determination Process

- **Need for an export license depends upon whether the item is:**
 - **Listed in the USML**
 - **An article (item) or technical data**
 - **In the public domain (software or data)**
 - **Being transferred to a foreign person or country**



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Export Control Assessment (cont.)

Q8) EAR – Does this project include items, software, information or data on the Commerce Control List (CCL) of the Export Administration Regulations (EAR)?

Items To Consider:

- Is the item you are transferring a dual-use item (designed for commercial purposes, but with potential military, missile, terrorism or criminal applications)?
- Is the item itself, or any of its components or assemblies listed on the CCL?
 - Contact the Export Control Office for assistance in determining if your item is listed in the CCL.
- Does the research involve a select agent?
 - All select agents are export controlled under Categories 1C351, 1C353 or 1C354 of the CCL.
- See Appendix for list of CCL categories.

Applicable Regulations:

- 15CFR 774, Supplement 1 - Commerce Control List

Potential License Exceptions:

- Contained in 15CFR 774, Supplement 1 - Commerce Control List



EAR Determination Process

- **Need for an export license depends upon:**
 - **If the item is listed in the CCL**
 - **If the item is an article or technical data**
 - **The destination country**
 - **If it is in the public domain (software or data)**
 - **The Reason for Control listed in the CCL**
 - **Whether an exemption for an export license is available in the CCL**



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EAR Determination Process (example)

Electronics: Altera FPGA Chip

- What is its ECCN?

ECCN 3A001a.7

- What are the Reasons for Control?

NS Column 2

AT Column 1

- What exemptions are available?

LVS

GBS

CIV

Commerce Control List	Supplement No. 1 to Part 774	Category 3—page 1	No. 1 to Part 774	Category 3—page 3				
CATEGORY 3 - ELECTRONICS		below -54°C to above +125°C.	Technical Notes:					
A. SYSTEMS, EQUIPMENT AND COMPONENTS		NP applies to pulse discharge capacitors in 3A001.e.2 and superconducting solenoidal electromagnets in 3A001.e.3 that meet or exceed the technical parameters in 3A201.a and 3A201.b, respectively	NP Column 1	<p>1. A resolution of n bit corresponds to a quantization of 2ⁿ levels.</p> <p>2. The number of bits in the output word is equal to the resolution of the analogue-to-digital converter.</p> <p>3. The output rate is the maximum output rate of the converter, regardless of architecture or oversampling. Vendors may also refer to the output rate as sampling rate, conversion rate or throughput rate. It is often specified in megahertz (MHz) or mega samples per second (MSPS).</p> <p>4. For the purpose of measuring output rate, one output word per second is equivalent to one Hertz or one sample per second.</p> <p>a.6. Electro-optical and "optical integrated circuits", designed for "signal processing" and having all of the following:</p> <p>a.6.a. One or more than one internal "laser" diode;</p> <p>a.6.b. One or more than one internal light detecting element; and</p> <p>a.6.c. Optical waveguides;</p> <p>a.7. 'Field programmable logic devices' having any of the following:</p> <p>a.7.a. A maximum number of digital input/outputs greater than 200; or</p> <p>a.7.b. A system gate count of greater than 230,000;</p> <p>Note: 3A001.a.7 includes:</p> <p>- Simple Programmable Logic Devices (SPLDs)</p>				
<p>Note 1: The control status of equipment and components described in 3A001 or 3A002, other than those described in 3A001.a.3 to 3A001.a.10 or 3A001.a.12, which are specially designed for or which have the same functional characteristics as other equipment is determined by the control status of the other equipment.</p> <p>Note 2: The control status of integrated circuits described in 3A001.a.3 to 3A001.a.9 or 3A001.a.12 that are unalterably programmed or designed for a specific function for other equipment is determined by the control status of the other equipment.</p> <p>N.B.: When the manufacturer or applicant cannot determine the control status of the other equipment, the control status of the integrated circuits is determined in 3A001.a.3 to 3A001.a.9 and 3A001.a.12.</p>		AT applies to entire entry	AT Column 1					
<p>3A001 Electronic components and specially designed components therefor, as follows (see List of Items Controlled).</p>		<p>License Exceptions</p> <p>LVS: N/A for MT or NP Yes for: \$1500: 3A001.c \$3000: 3A001.b.1, b.2, b.3, b.9, .d., e., .f. and .g \$5000: 3A001.a (except a.1.a and a.5.a when controlled for MT), and .b.4 to b.7 GBS: Yes for 3A001.a.1.b, a.2 to a.12 (except .a.5.a when controlled for MT), b.2, b.8 (except for TWTAs exceeding 18 GHz), b.9., b.10, .g, and .h. CIV: Yes for 3A001.a.3, a.4, a.7, and a.11.</p>						
<p>License Requirements</p> <p>Reason for Control: NS, MT, NP, AT</p> <table border="1"> <thead> <tr> <th>Control(s)</th> <th>Country Chart</th> </tr> </thead> <tbody> <tr> <td>NS applies to entire entry</td> <td>NS Column 2</td> </tr> </tbody> </table> <p>MT applies to 3A001.a.1.a when usable in "missiles"; and to 3A001.a.5.a when "designed or modified" for military use, hermetically sealed and rated for operation in the temperature range from</p>		Control(s)	Country Chart	NS applies to entire entry	NS Column 2	<p>List of Items Controlled</p> <p>Unit: Number. Related Controls: 1.) The following commodities are under the export licensing authority of the Department of State, Directorate of Defense Trade Controls (22 CFR part 121) when "space qualified" and operating at frequencies higher than 31.8 GHz: helix tubes (traveling wave tubes (TWT)) defined in 3A001.b.1.a.4.c; microwave solid state amplifiers defined in 3A001.b.4.b traveling wave tube amplifiers (TWTAs) defined in 3A001.b.8; and derivatives thereof; 2.) The following commodities are also under the export</p>		
Control(s)	Country Chart							
NS applies to entire entry	NS Column 2							
Export Administration Regulations		September 7, 2010		September 7, 2010				



EXPORT CONTROL ASSESSMENT FORM TUTORIAL



EAR Determination Process (example)

Electronics: Altera FPGA Chip

- Destination Country?

Cambodia

- Do the Reasons for Control apply?

NS Column 2 - Yes

AT Column 1 - No

- Can an exemption be applied?

LVS, GBS, CIV - Yes
(see previous page)

Commerce Control List Overview and the Country Chart

Supplement No. 1 to Part 738—page 3

Commerce Country Chart

Reason for Control

Countries	Chemical & Biological Weapons			Nuclear Nonproliferation		National Security		Missile Tech	Regional Stability		Firearms Convention			Crime Control			Anti-Terrorism	
	CB 1	CB 2	CB 3	NP 1	NP 2	NS 1	NS 2	MT 1	RS 1	RS 2	FC 1	CC 1	CC 2	CC 3	AT 1	AT 2		
Burma	X	X	X	X		X	X	X	X	X		X		X				
Burundi	X	X		X		X	X	X	X	X		X		X				
Cambodia	X	X		X		X	X	X	X	X		X	X					
Cameroon	X	X		X		X	X	X	X	X		X		X				
Canada	X										X							
Cape Verde	X	X		X		X	X	X	X	X		X		X				
Central African Republic	X	X		X		X	X	X	X	X		X		X				
Chad	X	X		X		X	X	X	X	X		X		X				
Chile	X	X		X		X	X	X	X	X	X	X		X				
China	X	X	X	X		X	X	X	X	X		X		X				
Colombia	X	X		X		X	X	X	X	X	X	X		X				
Comoros	X	X		X		X	X	X	X	X		X		X				
Congo (Democratic Republic of the)	X	X		X		X	X	X	X	X		X		X				
Congo (Republic of the)	X	X		X		X	X	X	X	X		X		X				

Export Administration Regulations June 28, 2010

No License Required



Export Control Assessment (cont.)

Q9) Foreign Participation – Will foreign persons or students participate in this research as sponsors, collaborators or staff?

Items To Consider:

- No export license is required if the information or software is only to be disclosed to US Persons.
 - Persons who are lawful permanent residents of the US (have their green card) are considered US Persons.
- No license is required to conduct fundamental research with foreign collaborators.
- ITAR – USML-listed information may be disclosed to bona fide, full-time employees of the UW who maintain their only domicile in the US and are not a national of a restricted country as deemed by the US government (see Q11).
 - This exemption does not typically apply to undergrad students, postgrad students, postdoctoral scholars or visiting fellows. An export license would be required to transfer controlled information to these individuals.

Applicable Regulations:

- 22CFR 120.15
- 22CFR 120.16

Potential License Exceptions:

- Employment Exemption



EXPORT CONTROL ASSESSMENT FORM TUTORIAL



Export Control Assessment (cont.)

Q10) Travel – Does this project require you or your staff to travel internationally?

Items To Consider:

- Is international travel budgeted as part of your project?
- Will project staff travel to embargoed or restricted countries (see Q11)?
- What are you doing on your international travel, presenting research findings, conducting research, visiting a vendor or other?
- Are you taking any equipment, software or technical information with you? Hand-carrying equipment, software or technical information is considered the same as shipping it (see Q11) and may require an export license.

Applicable Regulations:

- 22CFR 120.15
- 15CFR 774, Supplement 1 - Commerce Control List
- See State, Commerce and Treasury Dept. websites (DDTC, BIS and OFAC)

Potential License Exceptions:

- Contained in 15CFR 774, Supplement 1 - Commerce Control List



EXPORT CONTROL ASSESSMENT FORM TUTORIAL



Export Control Assessment (cont.)

Q11) Shipping – Are you planning on shipping any items, software, information or data out-of-the-country as part of this project?

Items To Consider:

- **ITAR** – An export license is required to ship all items on the United States Munitions List abroad, regardless of destination.
- **EAR** – The need for an export license when shipping to a foreign country depends upon the commodity, destination country, reason for control and available license exceptions.
- **E:1 Countries: Iran, North Korea, Sudan, Syria.**
- **OFAC & US Embargo List:** *Belarus, Burundi, Central African Republic, Cuba, Congo, Iran, Iraq, Lebanon, Libya, N. Korea, Somalia, South Sudan-related, Sudan, Syria, Ukraine-related (Russia), Venezuela, Yemen-related, Zimbabwe*
- **ITAR Prohibited Countries (22CFR 126.1):** *Afghanistan, Belarus, Burma, Central African Republic, China, Congo, Cuba, Cyprus, Eritrea, Haiti, Iran, Iraq, Lebanon, Libya, N. Korea, Somalia, Sudan, Syria, Venezuela, Zimbabwe*
- **Restricted Party Lists.**



Export Control Assessment (cont.)

Q11) Shipping – Are you planning on shipping any items, software, information or data out-of-the-country as part of this project?

Applicable Regulations:

- 22CFR 120.15
- 15CFR 774, Supplement 1 - Commerce Control List
- See State, Commerce and Treasury Dept. websites (DDTC, BIS and OFAC)

Potential License Exceptions:

- Contained in 15CFR 774, Supplement 1 - Commerce Control List



Export Control Assessment (cont.)

Q12) Sponsor – Is the project Sponsored by a foreign organization?

Q13) Subawards – Does your project include subawards to foreign organizations or persons?

Q14) Purchasing – Do you plan to purchase, acquire or control movement of any equipment, materials or software from a foreign source for this project?

Items To Consider:

- **The U.S. government restricts business and transactions with persons and organizations worldwide.**
- A restricted party screening should be completed on sponsors, subawardees and vendors to determine whether the federal government has placed restrictions on any of these parties.
- The federal government has placed restrictions on some universities, research institutes and companies. Not all of these restrictions are the same. Some of these restrictions may not impact the tasks/research you plan to complete. Others may require an export license and others may not allow transactions at all.



EXPORT CONTROL ASSESSMENT FORM TUTORIAL



Export Control Assessment (cont.)

Q12) Sponsor – Is the project Sponsored by a foreign organization?

Q13) Subawards – Does your project include subawards to foreign organizations or persons?

Q14) Purchasing – Do you plan to purchase, acquire or control movement of any equipment, materials or software from a foreign source for this project?

Items To Consider (cont.):

- If any of these three questions are answered Yes:
 - Note the name(s) of the party(ies) and country (for Q14).
 - The Export Control Office will complete a Restricted Party Screening of the foreign parties included in the project.

Applicable Regulations:

- See State, Commerce and Treasury Dept. websites (DDTC, BIS and OFAC)

Potential License Exceptions:

- ND



EXPORT CONTROL ASSESSMENT FORM TUTORIAL



Export Control Assessment (cont.)

- PI signs form to indicate:
 - Information is correct and complete.
 - Controlled items/technology will not be transferred to a foreign party until a license is received.
- Export Control Office:
 - Determines whether an export license is needed (in consult with the PI).
 - Signs the assessment indicating it is complete.

	UNIVERSITY OF WISCONSIN – MADISON
	EXPORT CONTROL ASSESSMENT FORM
SIGNATURES	
Assessment Authorization: The above assessment is complete and correct to the best of my knowledge. If an export license is required, I will ensure that no export or deemed export of the controlled item or technology shall occur prior to receiving that export license.	
Signature – Principal Investigator	Date:
<small>**** Send signed form to: exportcontrol@grad.wisc.edu (scan the signed copy), or Tom Demke, AOSS Bldg, 1225 W. Dayton St, Rm 525 ****</small>	

<small><Completed by the Export Control Office></small>	
EXPORT LICENSE DETERMINATION	
An Export License is required for this project? <input type="checkbox"/> Yes <input type="checkbox"/> No	
Comments / Rationale:	
Assessment Review: The above assessment and restricted party screening (if applicable) are complete.	
Signature – Export Control Office	Date:



EXPORT CONTROL ASSESSMENT FORM TUTORIAL



Contacts

- ***If questions arise during the assessment process, please contact:***
 - ***Your College, School, Department or Center Point of Contact for Export Control***
 - ***Tom Demke: tom.demke@ssec.wisc.edu 262-8659***
 - ***Bethany Nelson: bcnelson2@grad.wisc.edu 261-1128***
 - ***Ben Griffiths: ben.griffiths@wisc.edu 263-7400***
 - ***Or e-mail: exportcontrol@grad.wisc.edu***



Appendix



EXPORT CONTROL ASSESSMENT FORM TUTORIAL



ITAR Categories (22 CFR121 - US Munitions List)

Category	Title	Examples
I	Firearms, Close Assault Weapons and Combat Shotguns	Fully automatic firearms to .50 caliber
II	Guns and Armament	Guns > .50 caliber
III	Ammunition/Ordnance	Ammunition for categories I & II
IV	Launch Vehicles, Guided Missiles, Ballistic Missiles, Rockets, Torpedoes, Bombs and Mines	StarTracker
V	Explosives and Energetic Materials, Propellants, Incendiary Agents and Their Constituents	Explosives
VI	Vessels of War and Special Naval Equipment	Battleships
VII	Tanks and Military Vehicles	Military tanks
VIII	Aircraft and Associated Equipment	Military aircraft engines
IX	Military Training Equipment and Training	Radar trainers
X	Protective Personnel Equipment and Shelters	Body armor
XI	Military Electronics	Imaging radar systems
XII	Fire Control, Range Finder, Optical and Guidance and Control Equipment	NIR detector; AERI cryocooler
XIII	Auxiliary Military Equipment	Cryptographic devices
XIV	Toxicological Agents, Including Chemical Agents, Biological Agents, and Associated Equipment	Weaponized biological agents
XV	Spacecraft Systems and Associated Equipment	GOES-R; satellites
XVI	Nuclear Weapons, Design and Testing Related Items	Devices used to fabricate nuclear weapons
XVII	Classified Articles, Technical Data and Defense Services Not Otherwise Enumerated	Classified articles
XVIII	Directed Energy Weapons	Particle beam systems
XIX	Reserved	NA
XX	Submersible Vessels, Oceanographic and Associated Equipment	Military submarines
XXI	Miscellaneous Articles	Not to be used w/o authorization

Red = examples of devices on UW-Madison campus



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EAR Categories (15 CFR774, Supplement 1 - Commerce Control List)

Category	Title	Examples
0	Nuclear Materials, Facilities & Equipment (and Miscellaneous Items)	Nuclear reactors & associated equipment
1	Materials, Chemicals, Microorganisms, and Toxins	Viruses & bacteria, such as those causing bird flu, botulism, dysentery, brucellosis
2	Materials Processing	Specific types of machining equipment
3	Electronics	Multimeter, multifunction instrument (digital I/O, D/A converter, totalizer)
4	Computers	Computers & related equipment
5	Telecommunications & Information Security	Ethernet switch, remote control power switch
6	Sensors and Lasers	Marine acoustic systems, optical sensors
7	Navigation and Avionics	Accelerometers, gyros
8	Marine	Submersible vehicles, marine boilers
9	Propulsion Systems, Space Vehicles and Related Equipment	Turbine engines