

Checklist for Proposal Development and Award Management

Form required for: (1) new proposals / competitive renewals, (2) supplements with a change in scope of work (SOW), and (3) supplements / non-competing continuations **without** existing Checklists in file.

Form is not required for: (1) supplements / non-competing continuations (with no change in SOW) **with** existing Checklists in the award file.

Date:		Reviewing Project Officer:	
Cayuse Proposal Number:		Submission Deadline Date:	
Principal Investigator:			

1.0 GENERAL		
1.1	Is there anything associated with this proposal or award that has a military application?	<input type="checkbox"/> YES <input type="checkbox"/> NO
1.2	Do the guidelines reference export regulations or security restrictions (beyond mere adherence to the law)?	<input type="checkbox"/> YES <input type="checkbox"/> NO
1.3	Are the project results not intended for publication for some reason?	<input type="checkbox"/> YES <input type="checkbox"/> NO
1.4	Do the guidelines reference Sponsor's right to approve/disapprove publication? (Sponsor's review for particular reasons and for a limited period of time is negotiable; approval is not.)	<input type="checkbox"/> YES <input type="checkbox"/> NO

2.0 FOREIGN PARTICIPANTS		
2.1	Do the guidelines state that Sponsor prohibits the involvement of non-U.S. persons or persons from certain countries?	<input type="checkbox"/> YES <input type="checkbox"/> NO
2.2	Do the guidelines state that Sponsor's approval is required if the project is to include foreign persons?	<input type="checkbox"/> YES <input type="checkbox"/> NO
2.3	Do the guidelines require additional information on foreign persons?	<input type="checkbox"/> YES <input type="checkbox"/> NO
2.4	Does the project involve a foreign sponsor, foreign collaborator, or staff who is not a U.S. citizen or U.S. permanent resident?	<input type="checkbox"/> YES <input type="checkbox"/> NO
2.4.1	Is such foreign person ordinarily resident in Cuba, Iran, North Korea, Syria, or the Crimea Region of Ukraine?	<input type="checkbox"/> YES <input type="checkbox"/> NO
2.4.2	Is such foreign entity incorporated or located in Cuba, Iran, North Korea, Syria, or the Crimea Region of Ukraine?	<input type="checkbox"/> YES <input type="checkbox"/> NO

3.0 TRAVEL		
3.1	Does the project anticipate the Principal Investigator (PI) or any of the assigned project staff to travel outside of the U.S.? (If Yes, please click to review the International Travel - Export & Import Controls guidelines.)	<input type="checkbox"/> YES <input type="checkbox"/> NO
3.1.1	If yes, is there travel to Cuba, Iran, North Korea, Syria, or the Crimea Region of Ukraine?	<input type="checkbox"/> YES <input type="checkbox"/> NO

4.0 EQUIPMENT, SOFTWARE, AND TECHNICAL DATA		
4.1	Will any high-technology equipment (e.g. lasers, sensors, acoustics, GPS, mass spectrometers), physical prototypes or samples, software (e.g. encryption software), or related technical data be used or developed in this project?	<input type="checkbox"/> YES <input type="checkbox"/> NO
4.1.1	If yes, will any of such items be obtained from Sponsor or any other 3rd party?	<input type="checkbox"/> YES <input type="checkbox"/> NO
4.2	Will the project involve Sponsor's or any other 3rd party's proprietary or confidential information?	<input type="checkbox"/> YES <input type="checkbox"/> NO
4.3	Will items, software, or data be taken/shipped/transmitted out of or into the U.S., or between foreign countries?	<input type="checkbox"/> YES <input type="checkbox"/> NO

5.0 ADDITIONAL COMMENTS / INFORMATION (Please explain all "Yes" answers; attach additional pages if needed.)	

If "YES" was checked to any of the questions above, please forward this form to Tatiana Shapiro, NYU's Export Compliance Officer, at tatiana.shapiro@nyu.edu, for further review. Please be sure all supporting information is loaded into CAYUSE.

Please anticipate **a minimum** of 2 full business days to complete, provided no additional information is needed or further investigation is warranted. Last minute, "need today" requests cannot be guaranteed.