



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/terms 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 any reason?	<input type="checkbox"/> YES <input type="checkbox"/> NO
1.4	Do the guidelines/terms reference Sponsor's right to approve/disapprove publication, or explicitly prohibit publication? (Sponsor's review for particular reasons and for a limited time may be acceptable; approval is not.)	<input type="checkbox"/> YES <input type="checkbox"/> NO

2.0 FOREIGN PARTICIPANTS		
2.1	Do the guidelines/terms 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/terms 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/terms require additional information on foreign persons?	<input type="checkbox"/> YES <input type="checkbox"/> NO
2.4	Does the project involve any foreign parties (sponsor, collaborator, or staff who is not a U.S. citizen, a U.S. permanent resident, or an organization not incorporated or located in the U.S.)?	<input type="checkbox"/> YES <input type="checkbox"/> NO
2.4.1	Is such foreign person ordinarily resident in Cuba, Iran, North Korea, Syria, Russia, Belarus, or Ukraine?	<input type="checkbox"/> YES <input type="checkbox"/> NO
2.4.2	Is such foreign organization incorporated or located in Cuba, Iran, North Korea, Syria, Russia, Belarus, or Ukraine?	<input type="checkbox"/> YES <input type="checkbox"/> NO

3.0 TRAVEL		
3.1	Does the project anticipate the Principal Investigator or any of the project staff to travel internationally? 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, will there be travel to Cuba, Iran, North Korea, Syria, Russia, Belarus, or Ukraine?	<input type="checkbox"/> YES <input type="checkbox"/> NO

4.0 EQUIPMENT, SOFTWARE, AND TECHNICAL DATA		
4.1	Will high-technology items (e.g. lasers, sensors, electronics, UAVs, acoustics, GPS), physical prototypes or samples (biological, chemical etc.), software (e.g. encryption software), or related technical data be used or developed?	<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 exchange of proprietary or confidential information (Sponsor's, NYU's, or any other party's)?	<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.