

<b>Subject:</b>  <b>CRADA Export Control</b>	<b>Effective Date:</b>  <b>Oct. 4, 2001</b>	<b>Initiated by:</b>  Head, Technology Transfer
	<b>NEW</b>	<b>Approved:</b>  Director

**Applicability**

This procedure applies to all PPPL projects and departments that transfer property (intellectual, software or hardware) to a foreign person or institution during Technology Transfer activities using Cooperative Research and Development Agreements.

**Introduction**

PPPL must perform export control reviews in support of its CRADA and other activities in accordance with contractual requirements and applicable DOE Orders.

**Reference Documents**

MC-005      Shipment of Equipment/Material to Off-Site Location  
Department of Commerce, Bureau of Export Administration

**Acronyms**

**CRADA**      Cooperative Research and Development Agreement  
**ORPA**      Princeton University Office of Research and Project Administration

**Procedure****PPPL PREPARATION AND EXPORT CONTROLS****Responsibility****Action**

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|---|--|
| PPPL Staff Members                            | 1. Contacts the Head of Technology Transfer to request an Export Control determination if there is a potential to transfer property (intellectual, software or hardware) to any foreign person or institution.   |
| Head, Technology Transfer                     | 2. Informs PPPL staff member or Principal Investigator when an Export Control Review is mandatory for property (intellectual, software or hardware) that will be transferred to any foreign country.   |
| Principal Investigator/<br>PPPL Staff Members | 3. Drafts a short summary of the proposed property to be transferred.<br><br>Supplies the following information if <u>software code</u> is to be transferred:<br><br>a. Identification of the Code<br>b. Source Code or Object Code<br>c. Name of Person receiving the Code<br>d. Institution Receiving the Code<br>e. Purpose of the Code<br>f. Intended use of the Code by the recipient |

Supplies the following information if hardware or hardware designs are to be transferred:

- g. Give complete technical description of the hardware
- h. Identify the drawings or the documents to be transferred
- i. Name of institution receiving the drawings or documents
- j. Name of person(s) receiving the drawings or documents
- k. Purpose of the drawings or documents
- l. Intended use of the drawings or documents by recipient.

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- 4. Performs an export control review when requested by PPPL staff member or as part of any collaborative agreement such as a Cooperative Research and Development Agreement (CRADA), a Work For Others Agreement, a Personnel Exchange or a Technology Maturation arrangement with any foreign partner
- 5. Informs the Princeton University Office of Research and Project Administration (ORPA) of the potential transfer of Intellectual Property to a foreign entity.
- 6. Forwards the information provided by the Principal Investigator to the Head of Materiel Control

Head, Materiel Control

- 7. Finds items in Export Control listing and makes determination of whether the item(s) to be transferred are restricted, based on the current Export Control list.
- 8. Sends a written determination (e-mail is acceptable) to the Head of Technology Transfer of the export control status of each item to be transferred.

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- 9. Informs the Principal Investigator and ORPA of the determination of the Head of Materiel Control.

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- 10. Notifies the Principal Investigator that the transfer is allowed upon receiving concurrence of ORPA and Head of Materiel Control.

Principal Investigator

- 11. Provide shipping order (see Lab Procedure MC-005) and the Intellectual Property to Materiel Control for transfer to the recipient.

Head, Materiel Control

- 12. Notifies the Head of Technology Transfer when the material is actually transferred.