

PROPOSAL REGULATORY INFORMATION

Primary Location of Research: Building Name: _____ Room Number: _____ Floor Number: _____

Animal and Human Subjects (learn more [online](#))

Yes	No	Are Vertebrate Animals Used?	Yes	No	Are Human Subjects Involved?
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Enter one line for each combination of Animal/Human Subjects work being conducted by Yale and one line for each combination being conducted by a subrecipient.

Will this Project involve Animals and/or Human Subjects? (if exempt, please indicate)	Is the Animals and/or Human Subjects Research being conducted by Yale (faculty, students, staff or any others identified in the proposal) and/or a subrecipient(s)	If the research is being conducted by a subrecipient – What is the name of the subrecipient?	In what country is this work being conducted?	Protocol # (If protocol not approved, enter pending)	Protocol Approval Date	Exemption # (if known)

Export Controls¹ (learn more [online](#) and see below for further guidance)

1. Does the proposed sponsored project, discussions with the sponsor or the proposed award document refer to or require any of the following:

Yes	No	1a. Export Controls in general or receipt of Export Controlled materials / software / information, such as through a <i>non-disclosure agreement</i> ²
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Yes	No	1b. <i>Publication Restrictions</i> ³
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Yes	No	1c. Restrictions on foreign national from participating in the proposed sponsored project
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2. Does the proposed sponsored project involve any interaction in a foreign country, or with a foreign entity or foreign national (at Yale or outside the U.S.)?

Yes	No	2a. Collaboration (for example, via subaward, consultant/vendor contract, or research/service interaction, etc.) with a foreign entity or foreign national.
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If Yes, **list countries:** _____

Yes	No	2b. Conduct of any part of the proposed sponsored project outside the U.S.
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If Yes, **list countries:** _____

Yes	No	2c. Any foreign travel, especially foreign travel with a laptop or other electronic device? For guidance on taking laptops and electronic devices abroad please visit this site .
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If Yes, **list countries:** _____

3. Will the proposed sponsored project involve the transfer or shipment of equipment, materials, software, or data, or the provision of services, outside the U.S.?

Yes	No	If Yes, list countries where items and/or data will be transferred or shipped, or services will be provided and provide a brief description of what you are shipping or transferring, or what services you are providing, outside of the U.S.
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Details/Countries: _____

4. Does the proposed sponsored project involve any of the following?

Yes	No	Any technology or software which involves encryption, possible military applications or the possibility to use such technology in development of weapons? If Yes, describe the technology and software involved.
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Description: _____5. Does the proposed sponsored project involve the use of any *Controlled Un-Classified Information*?⁴

Yes	No
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EHS Materials

Yes	No	Are EHS materials used in the proposed research? If Yes, provide specifics below.
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Yes	No	Recombinant DNA	Yes	No	Radiation Generating Equipment
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Yes	No	Hazardous Chemicals	Yes	No	Biohazards
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Yes	No	Radioactive Materials/Sources	Yes	No	Class 3b or 4 Lasers
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Yes	No	Select Agents	Yes	No	Human Pathogens
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Yes	No	Human Gene Transfer	Yes	No	Human Embryonic Stem Cells
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Yes	No	Controlled Substances			
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Other

Yes	No	Is proprietary/privileged information included in the application?
Yes	No	Does this project have an actual or potential impact on the environment?
For Federal proposals ONLY, will this proposal be submitted to any other agency?		
Yes	No	If Yes, list other agencies: _____
For NIH proposals ONLY, does the research project involve the collection of large-scale genomic data?		
Yes	No	If Yes, is there a plan for the submission and subsequent sharing of such data? Yes No

¹ *Export Controls*: A positive answer to one of these questions could destroy the Fundamental Research Exclusion (FRE), which is an exception to Export Control restrictions. The FRE generally applies to basic and applied research in science and engineering when the resulting information is shared broadly within the scientific community. The FRE applies only to the dissemination of research *data and information*, **not** to the transmission or shipment of *material goods or equipment*, which remain subject to Export Controls regardless of the applicability of the FRE. If you accept confidential or proprietary information subject to a Confidentiality or Non-Disclosure Agreement (NDA), and the disclosure restrictions affect your ability to publish research results, the research itself will lose its characterization as "fundamental research" for Export Control purposes. To preserve the applicability of the FRE to otherwise fundamental research, NDAs and similar confidentiality agreements must be entirely peripheral to the research program (i.e., sufficiently remote from the intellectually significant portions of the research), and the disclosure restriction must not affect the ability to publish the research results.

NOTE: Transactions / activities involving individuals or entities in / from the following countries and territories are comprehensively embargoed by OFAC and are generally PROHIBITED, absent prior review and approval from Yale's Office of Export Controls - **Cuba, Iran, North Korea, Crimea Region (Russia-Ukraine), or Syria**. Please contact Donald Deyo, Director, Export Controls, Senior Advisor Contracts prior to submitting any proposed sponsored project that involves individuals or entities in / from these countries: donald.deyo@yale.edu.

Other countries, while of lesser concern, may be subject to targeted sanctions which could impact your project. Country List: **Balkans (Albania, Bosnia, Croatia, Macedonia including Kosovo, Serbia), Belarus, Burundi, Central African Republic, Congo, Iraq, Lebanon, Libya, Nicaragua, Somalia, South Sudan, Russia-Ukraine, Venezuela, Yemen and Zimbabwe**.

² *non-disclosure agreement*: A non-disclosure agreement (sometimes called a confidential disclosure agreement) is an agreement between two or more parties which governs the sharing of information one or both of them desires the other to maintain in confidence by imposing specific obligations to prevent the sharing of such information with outside parties.

³ *Publication Restrictions*: A publication restriction occurs when a third party can exercise control over whether Yale or its researchers can publish the results of a project. Prior review by a third party for the limited purposes of protecting that party's confidential information or to allow the obtaining of patent protections is allowed; however, other than these two limited purposes, a third party's prior approval of a Yale publication constitutes a publication restriction.

⁴ *Controlled Unclassified Information (CUI)*: CUI is information that requires safeguarding or dissemination controls pursuant to and consistent with applicable law, regulations, and government-wide policies but is not classified under Executive Order 13526 or the Atomic Energy Act, as amended. If your proposal seeks funding from a federal agency and you are unsure if CUI will be received or generated in the performance of the proposed research, please consult this link to determine if CUI is involved: <https://www.archives.gov/cui/registry/category-list>.