Create Export Control Agreement

If an Export Control Officer determines that an Export Control Agreement (ECA) is needed, he/she can create the Unfunded Agreement (UFA) by clicking Create New UFA in the Export Control Officer’s home workspace. Once the UFA has been created, additional activities are available in the UFA workspace to facilitate negotiation and activation of the agreement. Changes can also be made after the agreement has been activated.

Create ECA | Post-Active Changes | Additional Post-Active Changes | Workspace Tabs

Create Export Control Agreement

Home Workspace

1. Click the Export Control role, or verify it is selected.
2. Click Create New UFA.

UFA Worksheet – Introduction

3. Enter a Project Title.
4. Select Export Control Agreement from the Agreement Category drop-down menu.
5. Select the applicable Agreement Type from the drop-down menu.
6. Click Continue.

UFA Worksheet – Personnel

7. Review the personnel listed and if needed:
   • Click Add to enter additional personnel.
   • Click Update to edit an individual’s contact information, role, and/or UFA edit rights.
8. Click Continue.

Role Information:
   • You must have at least one PI or Responsible Faculty Member and one Administrative Contact.
   • The Primary Research Administrator is automatically granted edit rights on the UFA.
   • In order to delete a Contact PI or a Primary Research Administrator, you must first add a new person with that role and click Save. Only then will a Delete button display allowing you to remove the original person.
UFA Worksheet – Export Control Agreement Details

9. Complete all required questions/fields (indicated by a red asterisk) on the Export Control Agreement Details page. Complete optional fields as needed.

Note: Agreement Start and End Dates are not required and the Agreement Description field does not display for ECA-type Documentation.

10. Click Continue.

Note: The End of UFA Worksheet section displays (not shown).

11. Click Finish to return to the UFA workspace (not shown).

UFA Workspace

12. Click Complete ECA Entry from the Activities menu.

13. Verify the correct Project Representative (PR) displays, or select the PR from the drop-down menu.

14. Click OK.

The state of the UFA changes to Negotiation In Progress.
15. Click Log Fully Executed ECA from the Activities menu.

16. Complete all required fields.

**Note:** You must upload the Final Documentation under the Documents section by clicking Add (or Upload Revision, if applicable).

17. Click OK.

The state of the UFA changes to Active.

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### Changes to Active Export Control Agreements (Post-Active Changes)

Export Control Officers can make changes to the agreement after it has been activated. You must complete the follow procedure if the changes involve altering the contract (e.g., agreement dates) in order to notify the project team. If the changes do not involve altering the contract, see the Additional Post-Active Changes section.

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1. From the **Active** tab in the Export Control Officer workspace, click the name of the project you wish to make changes to (not shown).

2. Click **ECA Changes In Progress** from the Activities menu.

3. Enter optional **Comments**, and then click **OK**.

**Note:** The state of the UFA changes to Post-Active Negotiation In Progress.
Once all changes to the contract have been made, continue with the following steps.

If changes to the Agreement Start or End Dates are needed, they can also be changed in the following steps.

4. Click Log Fully Executed ECA from the Activities menu.

5. If desired, change any of the dates listed and ensure that the final (or most current) version of the agreement displays in the Documents section. If not, click Add or Upload Revision to upload it.

6. Click OK.

The state of the UFA changes to Active.

Additional Post-Active Changes (not requiring changes to contract or needing to notify project team)

Several post-active changes can be made to the UFA using the Manage Data menu in the UFA workspace.

**Manage Factors:** Update information concerning Related Projects (UFAs and PAFs). Additional project-related information can also be updated using Manage Factors.

**Manage Sponsors:** Update information concerning External Entities and External Entity Contacts.
Manage Factors

1. After clicking Manage Factors, locate the sections listing any other UFAs or PAFs referencing this UFA.

2. If an UFA referencing this UFA is listed, click the project ID to navigate to the project workspace and determine if the agreement should be related to this proposal.

3. If you determine the agreement should be related to this proposal, click Yes and then enter the applicable project ID in the field that displays. If you determine the agreements should not be related to this proposal, verify that No is selected.

Note: The project will only display in the UFA Summary if they have been related.

4. Repeat step 2-3 in the section listing PAFs referencing this UFA.

5. Click OK.
### Export Control Workspace Tabs

Several factors determine on which tabs projects display in the Export Control Officer workspace.

<table>
<thead>
<tr>
<th>Tab</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>EC Review Inbox</td>
<td>PAFs and UFAs flagged for Export Control review.</td>
</tr>
<tr>
<td>EC Reviewed Records</td>
<td>PAFs and UFAs that have had Export Control review completed.</td>
</tr>
<tr>
<td>UFA Inbox</td>
<td>Export Control Agreements created by an Export Control Officer in the state of “Create UFA Record”.</td>
</tr>
<tr>
<td>In Progress</td>
<td>Export Control Agreements that have had the <strong>Complete ECA Entry</strong> activity executed and are in the state of “Negotiation In Progress.”</td>
</tr>
<tr>
<td>Active</td>
<td>Export Control Agreements that have had the <strong>Log Fully Executed ECA</strong> activity executed and are in the state of “Active.”</td>
</tr>
<tr>
<td>Post-Active In Progress</td>
<td>Previously activated Export Control Agreements that are in that state of “Post-Active Negotiation In Progress” as changes are being made.</td>
</tr>
<tr>
<td>End Date Passed</td>
<td>Export Control Agreements for which the End Date has passed.</td>
</tr>
<tr>
<td>Closed</td>
<td>Export Control Agreements that have been closed.</td>
</tr>
</tbody>
</table>