**Application Scheme for establishing
cooperations/projects with third countries**(countries outside the European Union)

To ensure compliance with export control regulations, for early identification and protection against potential risks and damage to Heidelberg University and to ensure research security in international collaborations, this application scheme must be completed and submitted to the Export Control Staff Unit before the start of cooperations/projects if a contracting party is outside the EU and the EU001 states**1**.

It is mandatory to fill out the following application scheme completely and truthfully in order to prevent misuse of the items (goods, technologies, software) on which this contract is based.

This questionnaire must absolutely be completed, signed and sent to the Export Control Staff Unit (email) **BEFORE** the contract is signed. The contract conclusion process can only be continued after approval.

For assistance in completing the scheme and for any further questions on the subject, please contact the [Export Control Staff Unit](https://www.uni-heidelberg.de/de/einrichtungen/universitaetsverwaltung/dezernat-1-recht-und-gremien/exportkontrolle) (link).

***1*** *Australia, Great Britain, Iceland, Japan, Canada, New Zealand, Norway, Switzerland, Liechtenstein, USA*

1. **General data of the applicant**

|  |  |
| --- | --- |
| **Person responsible for the project** |  |
| **Institut/institution** |  |
| **Field of expertise** |  |
| **Address** |  |
| **Phone** |  | **E-mail** |  |

1. **Information on the project**

|  |  |
| --- | --- |
| **Project title and short description** |  |
| **Project/contract number (if applicable)** |  |
| **Technology Readiness Level (TRL)** **2** |  |
| **Start oft he project** |  | **End of the project** |  |
| **Vertragswert in Euro** |  |

|  |  |  |  |
| --- | --- | --- | --- |
| ***2 Basic Scientific Research*** | ***Development*** | ***Demonstration/Innovation*** | ***Successful Operation*** |
| ***TRL 1*** *– Basic principles observed and reported* | ***TRL 4*** *– Technology validated in laboratory environment* | ***TRL 6*** *– Technology demonstrated in relevant environment* | ***TRL 9*** *– Actual system proven in an operational environment* |
| ***TRL 2*** *– Technology concept formulated* | ***TRL 5*** *– Technology validated in relevant environment* | ***TRL 7*** *– System prototype demonstra-tion in an operational environment* |  |
| ***TRL 3*** *– Analytical and experimental critical functions and/or proof of concept* |  | ***TRL 8*** *– System completed and qualified through test and demonstration* |  |

1. **Contract partner in the project**

|  |  |
| --- | --- |
| **Country** |  |
| **Name** |  |
| **Institution** |  |
| **Field of expertice** |  |
| **Address** |  |
| **Phone** |  | **E-mail** |  |
| **Website** |  |

\* If there is more than one contract partner, please add/extend accordingly.

1. **Project funding**

|  |  |
| --- | --- |
| **Country** |  |
| **Name** |  |
| **Institution** |  |
| **Field of expertise** |  |
| **Address** |  |
| **Phone** |  | **E-mail** |  |
| **Website** |  |

1. **Developments and exchange within the project**

|  |  |
| --- | --- |
| **Will goods be developed?**  | [ ]  yes [ ]  no |
| **If yes, which ones?** |  |
| **Will technologies be developed?**  | [ ]  yes [ ]  no |
| **If yes, which ones?** |  |
| **Will software be developed?**  | [ ]  yes [ ]  no |
| **If yes, which ones?** |  |
| **Is an exchange of items (goods, technologies or software) planned in addition to the development?** | [ ]  yes [ ]  no |
| **If yes, please explain in more detail.** |  |
| **Are the items or parts of them US origin?** (no computers) | [ ]  yes [ ]  no |
| **If yes, which item?** |  |
| **If so, does the US part exceed 25% (10% for Iran, Cuba, North Korea, Syria) of the total?** | [ ]  yes [ ]  no |
| **Are US persons involved in the project/research activities?** | [ ]  yes [ ]  no |

1. **Utilization of the project results (Dual-Use)**

|  |
| --- |
| **To the best of your knowledge, can it be excluded in principle that the project or the project results are/can be used in direct connection*** **with the construction or the use of a nuclear facilities**
* **with a military or terrorist use**
* **with the development/construction of carrier technology, rockets, NBC weapons and/or missiles (including parts thereof) or**
* **whit human rights violations (e.g. surveillance technologies, psychological interrogation methods, etc.)?**

[ ]  yes, it's excluded [ ]  no, it cannot be excluded |
| **If no, please explain in more detail.** |  |

1. **Plausibility check**

|  |
| --- |
| **Are the price, procurement practices, payment terms or methods, project scope, packaging or delivery, etc. unusual for the specified project?**[ ]  yes [ ]  no |
| **If yes, please describe the deviation.** |  |

1. **Possibility of additional comments**

|  |
| --- |
|  |

I hereby confirm that I have completed the application scheme to the best of my knowledge and belief. Should there be any changes within the cooperation/ the project that have a significant impact on the information provided in this reporting scheme, I will proactively contact the Export Control Staff Unit to discuss the further procedure.

|  |  |
| --- | --- |
|  |  |
| **Place, Date** | **Signature of project leader/ person responsible for the project** |

**Contact:**

**Staff Unit Export Control**

**Devision1 - Law and Committees**

**University Administration**

**Phone: +49 6221 54-12150**