Email completed memos and proposal-related documents (e.g., RFP, proposal, SOW, etc.) to Emily Pender, Assistant Director of Export Control Compliance (epender@usc.edu). *NOTE*: DO NOT send via standard USC email any materials that may/do contain Controlled Unclassified Information (CUI) or other sensitive data types.

Please allow a minimum of 30 days for review for all locations other than ICT or ISI. Proposals originating at ISI or ICT are expedited but should be requested at least one week in advance of the deadline.

**MEMORANDUM**

**To:** Ishwar Puri, Senior Vice President for Research and Innovation

**From:** [Insert Principal Investigator (PI) Name]

**Date:** [Insert Date]

**Re:** Restricted ResearchException to Policy for Proposal:[Insert Publication Restriction, Foreign National Restriction, and/or Data Security Requirements]

**Proposal Information:** [Insert all items below]

PI(s):

Co-PI and Other Key Personnel (including non-USC collaborators):

Sponsor:
Solicitation Number:

Cayuse Project Number:

Project Title:

Period of Performance:
Proposed Total Costs:

**Exceptional Clause(s) (as identified in the solicitation):**

[Insert Clause(s)]

**Summary of the Work:** [Brief overview of the project, including a description of all known sensitive data and materials that will be provided/generated, and how they will be delivered]

**Location of the Work:** [Identify the building or remote location where the proposed work will be performed, including locations housing any specialized equipment]]

**Rationale for why the research should take place at USC:**

[Insert rationale for accepting the clauses identified in the solicitation and why research is critical to the University mission (e.g., the nature of the research, current phase of research and intentions for subsequent phases; USC’s reputational risk relative to the potential benefit of the research; societal impact of successful research outcome; magnitude of risks to students participating in research, etc.)]

**Identify the steps that will be taken to ensure that USC will comply with applicable personnel and/or publication restrictions:**

[Insert the compliance plan for current and future personnel; include reference to a technology control plan (TCP), if applicable]

**Does this project entail delivering software and/or hardware, including the creation of a prototype? Yes or No**

**[NOTE: For this purpose, a “prototype” means hardware or software that has not been produced in the same configuration and is not in production, whose purpose is to evaluate design, performance, or capability.]**

[If yes, please describe.]

**What, if any, research equipment or instrumentation (e.g., semiconductor fabrication tools, high-performance computing systems, advanced imaging instruments) will be used in this project, and how will these items support the proposed research objectives?**

[Insert a description including details on ownership, location, and any applicable restrictions or controls on the equipment/instrumentation.]

**Do you intend to allow students to participate in the project? Yes or No**

[If yes, identify whether the students are undergraduate or graduate, and the proposed steps to ensure that students participating in the project would retain their rights to openly publish their own work.]

**Do you intend to allow foreign persons to participate in the project? Yes or No**

[If yes, identify the countries of citizenship, the role the foreign person(s) will play on the project, and the types of information/data/items to which they will have access (e.g., non-restricted data sets or fundamental research tasks only). If foreign persons will be using research equipment, describe how they will use that equipment.]

**Please summarize all current or contemplated foreign research activity on the part of any member of the research team with any Foreign Country of Concern (FCOC), which includes China, Iran, Russia, and North Korea, or any entity or person in a FCOC.**

[Foreign research activity includes: research collaborations, appointments (paid and unpaid), research funding (including in-kind support), and co-authorship on research publications. For each foreign research activity, please include the name of the individual and/or institution, type of activity, relevant dates of the activity, and a brief description of the activity. Please also describe any planned travel to FCOCs].

**Provide an assurance that all project personnel (including faculty, staff, and students) have or will agree in writing to the anticipated conditions of the award, as identified in the solicitation, and identify the plan for documenting and maintaining such assurances for current/future project personnel. If written assurances have been obtained, please include them with this application.**

**PLEASE ATTACH A COPY OF THE PROPOSAL**