



J-1 VISA/EXPORT CONTROL QUESTIONNAIRE

The questionnaire must be completed and signed by the **Supervisor/Principal Investigator** or other appropriate University authority with direct oversight of the foreign national exchange visitor's work. This is required for all Exchange Visitors (Research Scholars, Short Term Scholars, Professors, Students, and Student Interns)

SECTION I

Name of Exchange Visitor: _____

Title: _____

Countries of Citizenship (include dates): _____

Country of Birth: _____

Name and Title of person filling out the form: _____

1. Is the J-1 exchange visitor ("EV") (i) classified as a J-1 Student "Non-degree" or "Bachelor", and Yes No (ii) not currently applying for academic training, and (iii) not a Student Intern? (If "Yes," proceed to Section VI)

2. Will the EV be working in the **core sciences** (medical and non-medical), e.g., biomedical sciences, computer sciences, space or space launch sciences, engineering (chemical, electrical, mechanical, semiconductor, nuclear), material sciences, atmospheric sciences/astronomy, geophysics, physics, chemistry, medicine, nanotechnology, marine science, artificial intelligence, robotics, etc. and including IT services in these departments/fields.

Check one:

No, the EV's program will not involve, expose or potentially expose the applicant to any core scientific discipline, including but not limited to the ones listed above. Please sign and date this form in Section VI.

Yes, the EV's program will involve, expose or potentially expose the beneficiary to a core scientific discipline (including but not limited to one or more of those listed above). Proceed to Section II.

SECTION II

3. Will the EV engage in research? (If "No," proceed to Section III) Yes No

4. Is the research to be performed or funded, in whole or in part, by another university, nonacademic research institution, company, or the federal or state government? Yes No

If yes, please provide:

If the entity is located abroad, please identify name and location

If the EV is collaborating with an institution abroad as part of the research, in what capacity?

Please provide us with a copy of any contract governing the research collaboration or funding.

If there a Project ID#, please provide it: _____

Project Title _____

Name of the PI _____

SECTION II

- 5. Will the research results be taught, published or otherwise shared with the interested public? Yes No
- 6. Are there any restrictions on publication of your research results? (Examples include, but are not limited to an absolute publication restriction or time delay or opportunity for review and/or comment by third party or sponsor.) Yes No
 (If "Yes", please provide a copy of any agreement).
- 7. Are there any citizenship restrictions on who can access the technology or technical data being used in your research or research results? (If "Yes", please provide a copy of any agreement). Yes No
- 8. Is any aspect of your research subject to any Non-Disclosure Agreement (NDA) or other confidentiality agreement that permits access to confidential, not publicly available information, data or software from a sponsor/third-party? Yes No
- 9. If you answered "yes" to question 8, will the EV have access to confidential, not-publicly available information, data or software? (If "Yes", please provide a copy of any NDA or other confidentiality agreement). Yes No
- 10. Where the research results in software, will the software be commercialized and licensed? Yes No

SECTION III

- 11. Does the EV have citizenship from any of the following countries: Cuba, Iran, North Korea, Syria or Sudan? Yes No
- 12. Will the EV have access to proprietary technology for the development of cryptography or proprietary source code containing cryptographic functionality (whether or not actually required for the work assignment and whether through hard or soft copy)? Yes No

SECTION IV

- 13. Will the EV have access to technical data or information that has been stamped or otherwise designated by the sponsor/third party as "export controlled"? This includes U.S. government or sponsor/collaborator furnished technical data with dissemination controls or other restrictive markings, as well as ITAR-controlled software. Yes No
- 14. Will the EV have access to one or more laboratory instruments where the all 6 of the following activities occur (all 6 relative to one particular instrument): operation, installation, maintenance, repair, overhaul and refurbishing? Yes No



If yes, what is (are) the instrument(s)? Please include the name, manufacturer, model, university inventory number (if any), supplier (if available), serial number (if available), and a copy of the purchasing paperwork (if available).

And, will the EV be given specific information about the instrument that will support these activities (e.g., manual, schematics provided by the vendor, software code)?

Yes No

If yes, what will the EV be given?

SECTION V

15. Confirm that you have reviewed the link below to the U.S. Department of State’s (ITAR) Munitions List of “defense articles.” Defense articles include any item (equipment, instruments, materials, software, and/or technical data) specifically designed, developed, or modified for military or space applications. The term “defense articles” also includes any item that is built/compiled or designed/modified to military specifications as well as space launch applications, such as military-grade electronics and components. The fact that the item is commercially available does not remove it from this list.
http://www.pmdc.state.gov/regulations_laws/documents/official_itar/2013/ITAR_Part_121.pdf

Yes No

16. Based on the foregoing definitions per Question 15, will the EV be provided access to ITAR “defense articles”? “Access” means any visual or physical access to the item, regardless of whether such access required for the program.

Yes No

17. Will the EV have access to confidential, not-publicly available equipment, information, data or software that is ITAR controlled “technical data” related to a “defense article” that was commercially procured or received through intra-institutional collaboration? Please note that information or data can exist in any form (e.g., blue print, sketches, specifications, documented technology, vendor operational manual/instructions, data results) and can be conveyed through hard copy, soft copy, or spoken communication.

Yes No

SECTION VI: CERTIFICATION

I hereby certify that I am personally knowledgeable of the duties and other particulars of the J-1 program of the foreign national listed above, and hereby affirm that the contents of the foregoing certification questionnaire are true to the best of my knowledge, information and belief.

I further understand that failure to accurately complete this questionnaire can result in U.S. Government export control violations for which civil and criminal penalties can be assessed against (i) any individual (including a PI) found to have caused or facilitated a violation, and/or (ii) the University of Utah.

Supervisor/PI (printed name)

Signature

Title

Date MM/DD/YY