

Appendix D: Export Requirements Questionnaire

FOR ILLUSTRATION PURPOSES ONLY

A. Questionnaire to Identify Immediate License Requirements

Background

The purpose of this questionnaire is to identify immediate export licensing requirements.

Questions

1. Do you intend to ship or otherwise transport (including by courier or hand-carried) any laboratory equipment, materials, samples, or prototypes as part of your research? If so, please identify the following:

- Type of item
- Research program and funding sponsor
- Destination of export (country, city, address)
- Purpose for export/end use
- Name of end user/interim or permanent consignee of item (including yourself if you require the item for work being conducted outside the U.S.)
- Intended date of export
- Ultimate disposition of item
 - Remain abroad:
 - Same end user
 - Different end user
 - To be returned back to SIUE

1.1 If more than one item is being exported, please complete bullet-pointed inquires for each item.

2. Do you intend to ship or electronically transmit technical data consisting of the following:

- Data received pursuant to a Non Disclosure Agreement signed with a sponsor
- Software procured or received that has been designated as export controlled by the vendor or issuing party
- Source code or software for the development of cryptographic code/programs
- Data that, for any reason, is not the result of fundamental research i.e. it is not connected to research the results of which you intend to publish

2.1 If so, please identify the following:

- Type of item
- Research program and funding sponsor
- Destination of export (country, city, address)
- Purpose for export/end use
- Name of end user/interim or permanent consignee of item (including yourself if you require the item for work being conducted outside the U.S.)
- Intended date of export
- Ultimate disposition of item
 - Remain abroad:
 - Same end user
 - Different end user
 - To be returned back to SIUE

2.2 If more than one item is being exported, please complete bullet-pointed inquires for each item.

3. Does your research involve international collaboration with one of the following:

- Research or educational institution
- Government agency or representative thereof
- Independent researcher

3.1 If so, please identify:

- Name of individual/entity
- Nature of research or activity, including providing equipment, samples, materials or technical data
- How will collaboration be conducted?
 - Remotely
 - Travel abroad
 - Hosting foreign visitor at SIUE
- When will activity occur?
- Will it occur more than once?

4. Do you plan to engage in any transaction or activity involving the following countries:

- Cuba
- Iran
- Syria
- N. Korea
- Sudan

4.1 If so, please identify type of transaction or activity and when it will occur:

- Travel to these countries
- Research being conducted with institutions based in these countries, that involves sharing research results
- Shipments to or communication with individuals or entities based in these countries
- Imports of research materials from these countries
- Authorizing payments to individuals residing in these countries, or foreign nationals from these countries based in countries outside the U.S.
- Peer review or providing editorial advice as part of an academic or research journal

B. Questionnaire to Identify Immediate ITAR Access Issues

Background

This questionnaire is intended to be used by the Export Controls Administrator. The purpose is to identify immediate ITAR access issues requiring export control review.

Questions

1. Have you procured or received ITAR-classified equipment, models, materials or technical data which you use during the course of your research?

1.1 If so, has the vendor indicated ITAR classification? If not, how do you know the item is ITAR-classified?

1.2 Please identify:

- Type of product/technical data
- How it is being used and purpose

- Will the item be incorporated into any other assembly or item used during research
- Will item remain permanently in your laboratory
- Where located: SIUE laboratory location

2. Have you signed a Non Disclosure Agreement (NDA) or Technology Control Plan (TCP) with a Sponsor or collaborating research institution?

2.1 If so, please provide the following information:

- Name of party with whom document has been signed
- Whether NDA or TCP requires the protection of any data received, either through citizenship or publication restrictions
- Whether NDA or TCP access restriction by you or laboratory personnel with regard to any commodity received through the document

2.2 Please provide copy of NDA or TCP to ORP for review

3. Do you intend to host visitors to your laboratory who fall under the following categories:

- Visitors conducting proprietary (non fundamental) research and to whom SIUE will rent use of its facilities
- Visitors conducting proprietary (non fundamental) research at SIUE facilities without any compensation required
- Guests visiting the laboratory from a foreign research institution, but not for research purposes
- Other

3.1 If the answer to any of the above questions is yes, please indicate the following:

- Name of guest and professional affiliation (corporation, research organization, etc.)
- Explain purpose and anticipated duration of visit
- Indicate whether visit is part of a SIUE-sponsored exchange program or an independent arrangement
- Will the person have access to any of SIUE's data files (soft or hard copy)?