

## Export Control Questionnaire

### What is the Purpose of this Questionnaire?

The United States government regulates the release of technologies, materials, and information to foreign countries (“exports”) and to foreign nationals within the U.S. (“deemed exports”). In some cases, a deemed export requires a license from the U.S. government. Washington University is committed to compliance with export control laws. Both the University and the individual PI can face criminal and civil penalties if export control violations occur.

For H-1B and O-1 visa categories the university is *required by law* to certify on form I-129 whether or not it anticipates the need for a deemed export license. Occasionally export reviews are also needed for other classes of visas due to country sanctions or other restrictions. This questionnaire is part of that review.

**The process** is as follows:

1. This questionnaire must be completed and signed by the Principal Investigator (PI) or Supervisor who is responsible for employing the foreign national. Other lab personnel may be consulted when filling out the questionnaire. Return the questionnaire to the Office of International Students and Scholars (OISS).
2. The Export Control Manager will review the completed questionnaire. Additional follow up may be necessary.
3. Based on the information received, a recommendation is made as to whether an export risk exists. If a risk exists and/or a deemed export license may be required, the PI will be contacted by the Export Control Manager.

**PLEASE RETURN THIS FORM TO THE OFFICE FOR INTERNATIONAL STUDENT AND SCHOLARS.**

**For export control questions contact the Export Control Manager at [ovcreportcompliance@wustl.edu](mailto:ovcreportcompliance@wustl.edu) or 314-747-1378.**

## Export Control Questionnaire

Name of Foreign National (FN): \_\_\_\_\_

Is this a renewal of a current H-1B Visa for employment at Washington University in  
the same position and job title?    Yes    No

**IF YES, ANSWER QUESTIONS IN SECTION A ONLY. IF NO, PLEASE BEGIN AT SECTION B.**

### **A. Renewal of Current Visa**

A.1. Has there been any change in role or duties of the foreign national (FN) since the last  
Visa approval?

Yes    No

If yes, please describe what has changed.

A.2. Are there any new or alternate funding sponsors for the work this FN will be doing since the  
last Visa approval? If yes, please list (e.g. NIH, NSF, Foundation...)

Yes    No

A.3. Are there any changes in foreign collaborations since the last Visa approval? If yes, please  
describe and list the countries involved.

Yes    No

A.4. Will the FN have access to any significant new equipment, materials, software, or  
technology since the last Visa approval? If yes, please describe.

Yes    No

A.5. Are there any new publication restrictions on the work the FN will be doing?

Yes    No

A.6. Are there any new citizenship requirements or restrictions on participation by foreign  
nationals for the work this FN will participate in since the last Visa approval?

Yes    No

**\*\*IF YOU HAVE ANSWERED SECTION A, YOU MAY SKIP SECTIONS B, C, and D and PROCEED TO THE SIGNATURE SECTION ON THE LAST PAGE.\*\***

**B. General Information – Please answer to the best of your ability based on your current knowledge of the anticipated activities of the foreign national.**

B.1 The Foreign National’s work will include (**mark all that apply**):

- Clinical Research
- Patient Care
- Basic Research
- Technician/Technical Support
- Teaching/Educational Activities
- Other (please describe)

B.2 Who is the funding sponsor for the project/employment of the foreign national (FN)?  
Please identify specific sponsors (e.g. NIH, NSF, foundation, industry).

B.3 Will the FN participate in activities which involve the receipt of proprietary information from a sponsor?

Yes      No

If yes, what type? (e.g. drug information from a pharmaceutical company)

To your knowledge is this proprietary information export controlled?

Yes      No

B.4 Does the FN’s work involve the design or development of encryption?

Yes      No

B.5 Will the FN participate in any projects known to be export controlled?

Yes      No

B.6 Will the FN participate in any projects involving Controlled Unclassified Information (CUI)?

Yes      No

If yes please give a project identifier (e.g. grant or contract number).

B.7 Will the FN be working in or near a space where there is a Technology Control Plan in place?

Yes No

B.8 Will the FN's work involve collaborations outside the US?

Yes No

If yes, with what countries?

B.9 Will the FN participate in projects funded by the U.S. Military (e.g DOD) or which have direct military applications?

Yes No

If yes please give a project identifier (e.g. grant or contract number) and attach documentation that briefly describes the aims of the project, for example the abstract or scope of work.

B.10 To your knowledge is the FN a member of or connected to a foreign military?

Yes No

B.11 Does the FN still maintain an official connection to a foreign institution (e.g. has an official position, is enrolled as a student, or receives funding support from)

Yes No

If yes, please name the institution and country and describe the connection.

### **C. Access to Possible Controlled Items**

C.1. Are you aware of any equipment, materials, software, technical data, or encrypted software or hardware that would be export licensable under the **International Traffic in Arms (ITAR) Regulations** or the **Export Administration Regulations (EAR)** that the FN would have access to (including in an open/shared lab or office environment)?

Yes No

If yes, please indicate the type(s) of item that is (are) export controlled.

C.2. Will the FN have access to any equipment, material, software, or technical data (directly or through unrelated projects occurring in an open lab or office environment) which have been or are currently being specifically designed, developed, configured, adapted, or modified for a military, satellite, or space application?

Yes      No

If yes, please explain:

C.3. Please indicate the types of significant equipment the FN will be utilizing or developing in connection with his/her/their position. (e.g., examples include high speed, underwater or infra-red cameras, high-technology electronic sensors, unmanned aerial vehicles (UAVs) spectrographic instruments, chromatography instruments).

C.4. For any of the items described in question C.3., will the FN have access to technical information which would enable them to do ***all six*** of the following tasks: installation; operation; maintenance; repair; refurbishing; overhaul. (**Note: if they are only operating and maintaining the instrument, the answer is "No"**).

Yes      No

If yes, for which instruments will they have access to this information?

**D. Determination of Fundamental Research Status \*\*If you checked ONLY Clinical Research Patient Care, and/or Teaching/Educational Activities, you may skip section D and proceed to signature.\*\***

D.1. Please read the U.S. Government's definition of Fundamental Research: *"Fundamental Research means basic and applied research in science and engineering the results of which ordinarily are published and shared broadly within the scientific community as distinguished from proprietary research and industrial development, design, production and product utilization, the results of which ordinarily are restricted for proprietary or national security reasons"*

Do you consider the work this FN will be doing to be "Fundamental Research?"

Yes      No

D.2. Will the FN participate in any activities or projects that contain restrictions (formal or informal) on publication or presentation of results in any way beyond a brief review by an industry sponsor for elimination of proprietary information?

Yes      No

If yes, please give a project identifier (e.g. grant or contract number).

D.3. Will the FN participate in any projects or activities that require approval or security clearance for foreign nationals, or that stipulate limitations on participation based on citizenship?

Yes      No

If yes, please give a project identifier (e.g. grant or contract number).

D.4. Will the FN participate in activities that involve non-disclosure agreements or confidentiality agreements with an external sponsor (i.e. the U.S government or an industry sponsor), collaborator, or third party?

Yes      No

If yes, please give the nature of the confidential subject matter (e.g. proprietary drug information from a pharmaceutical company).

**Certification by Principal Investigator (PI) or Supervisor**

I certify that the answers provided are based on knowledge of the foreign national's anticipated activities while at Washington University. The responses on this questionnaire are accurate and complete to the best of my knowledge.

\_\_\_\_\_  
*Signature*

\_\_\_\_\_  
*Date*

\_\_\_\_\_  
*Name (Please Print)*

\_\_\_\_\_  
*Title*

**THANK YOU FOR COMPLETING THIS QUESTIONNAIRE  
PLEASE RETURN TO THE OFFICE OF INTERNATIONAL STUDENTS AND SCHOLARS**