

## Iowa State University Export Control Worksheet Worksheet

This form is required for H-1B Temporary Workers, J-1 Exchange Visitors, and for all other international visitors to determine whether or not a license is required with respect to the technology or technical data to which the prospective employee/visitor will have access. If a license is required, the employee or visitor cannot have access to controlled technology or technical data until the necessary license is obtained.

This form applies to all university activities except for activities funded through Ames Lab. Ames Lab has separate policies and procedures for export control compliance and additional Department of Energy requirements for foreign nationals, sensitive subjects, international shipments and foreign travel. Joint projects among faculty and staff conducting work funded through Ames Lab and those who are individually funded through Ames Lab will be governed by Ames Lab policies and procedures.

### Instructions

Please answer the questions in Parts I and II, collect the required signatures in Part III, and email the completed worksheet to the Office of Research Integrity (ORI) at [export@iastate.edu](mailto:export@iastate.edu). If you are unable to email the worksheet, you may send it via Campus Mail to 202 Kingland.

**Do not upload this form to CyStart;** ORI will upload the worksheet once it is approved. **Applicants MAY NOT fill out this worksheet. It MUST be filled in by the supervising party. Be sure to answer each question as worksheets with missing information will be delayed until the information is obtained.**

If you do not understand a question, please contact Matt House at 4-0269 or Brooke Langlitz at 4-7793.

### Part I

**Answer ALL questions below (REQUIRED):**

Visa Type:      H-1B                      J-1                      OPT                      Other/ISU not sponsoring Visa (please explain)

Application Type:      New Application                      Extension

(For new J-1 visas only), Applicant status:

Post-Doc      New ISU/Exchange Student                      Visiting Scholar  
Other (please explain)

Applicant Legal Name:

Applicant Country of Citizenship:

Applicant Country of Legal Permanent Residence (if different than Citizenship):

(For J-1 visas only), Applicant's Home Institution:

Applicant's UID or TEMP #:

Applicant's Date of Birth (mm/dd/year):

ISU College and Department/Center:

Applicant Supervisor: Name & Email:

Department/Center Administrative Contact: Name & Email:

Office/Labs that Applicant will have access to (building name & room numbers):

## Part II

1. Provide a technical description of the research or work the applicant will conduct. Please provide enough information to perform an export control review:
2. Is any project on which the applicant will work or any portion of the applicant's salary funded directly or indirectly by a military department, branch, or office (domestic or foreign) or the Department of Energy?  
Yes                      No

If you answered Yes to question #2, answer the following questions:

- a. What is the name of the project title, as indicated on the project agreement?
  - b. What is the GoldSheet or account number associated with the project?
3. Will the applicant be working with military-related technologies or weapons?  
Yes                      No
  4. Will the applicant be working with technologies relating to spacecraft, satellites, or space-qualified systems?  
Yes                      No
  5. Will the applicant be working with encryption software or source code?  
Yes                      No
  6. Will the applicant be working with any viruses, rickettsiae, bacteria, toxins or fungi?  
Yes                      No

If you answered Yes to question #6, answer the following questions:

- a. What is the name of the item(s) with which the applicant will be working? **Please indicate whether the item(s) is pathogenic.**
  - b. Will the applicant be developing or producing the item?  
Yes                      No
- If you answered Yes to question b, answer the following questions:
- i. Is information about the methodology the applicant will use to develop or produce the item publicly available?  
Yes                      No
  - ii. Does the applicant intend to publish information regarding the methodology used to develop or produce the item?  
Yes                      No
7. Will the applicant receive or have access to information that is necessary to develop or produce any equipment or software other than standard office equipment and software?  
Yes                      No

If you answered Yes to question #7, answer the following questions:

- a. What is the name of the equipment or software for which the applicant will have such information?
  - b. Is the information **free of charge** or available at cost and **publicly available**?  
Yes                      No
  - c. Does the applicant intend to publish the information?  
Yes                      No
8. Will the applicant receive or have access to information that is necessary to perform ALL of the following on any equipment or software other than standard office equipment and software: operate, install, maintain, repair, overhaul and refurbish?  
Yes                      No

If you answered Yes to question #8, answer the following questions:

- a. What is the name of the equipment or software for which the applicant will have such information?
  - b. Is the information **free of charge** or available at cost and **publicly available**?  
Yes                      No
  - c. Is it anticipated that the applicant will publish the information?  
Yes                      No
9. Is any project on which the applicant will work or any portion of the applicant's salary funded directly or indirectly through a grant or contract that contains a restriction on publication (other than delay to remove confidential information or protect intellectual property) or on the involvement of foreign citizens?  
Yes                      No
10. Will the applicant be provided access to any unpublished, proprietary, or otherwise confidential information, materials, or software provided by a Sponsor?  
Yes                      No

If you answered Yes to question #10, answer the following questions:

- a. Name and describe the proprietary materials for which the applicant will have such information.
- b. Provide the sponsor's name and GoldSheet/Account/NDA/MTA numbers as applicable.

**Part III**

If the circumstances of the employment or visit change such that a Yes answer would be required for any of the foregoing questions, I agree to notify the Office of Research Integrity immediately.

**Applicant Supervisor** \_\_\_\_\_ **Date:** \_\_\_\_\_  
Signature

**Name:** \_\_\_\_\_ **Title:** \_\_\_\_\_

**Department Chair/** \_\_\_\_\_ **Date:** \_\_\_\_\_  
**Director** Signature

**Name:** \_\_\_\_\_ **Title:** \_\_\_\_\_

ORI Office Use Only:

With respect to the technology or technical data the petitioner will release or otherwise provide access to the beneficiary, the petitioner certifies that it has reviewed the Export Administration Regulations (EAR) and the International Traffic in Arms Regulations (ITAR) and has determined that:

1. A license is not required from either the U.S. Department of Commerce or the U.S. Department of State to release such technology data to the foreign Person; or
2. A license is required from the U.S. Department of Commerce and/or the U.S. Department of State to release such technology or technical data to the beneficiary, and the petitioner will prevent access to the control technology or technical data by the beneficiary until and unless the petitioner has received the required license or other authorization to release it to the beneficiary.

Reviewed by: \_\_\_\_\_ **Date:** \_\_\_\_\_  
ORI