**Iowa State University Export Control Worksheet**

This form is required for H-1B and J1 Paid Employees and certain other visas 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. For Visiting Scholars, please use the truncated [version of this form](https://www.research.iastate.edu/wp-content/uploads/2021/05/Visiting-Scholar-EC-Worksheet.docx).

This form does not apply 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 Ethics (ORE) at export@iastate.edu.

**Do not upload this form to CyStart**; ORE will upload the worksheet once it is approved. **Applicants MAY NOT fill out this worksheet. Be sure to answer each question as worksheets with missing information in Part I may be delayed until the information is obtained. Any missing information in Part II or III WILL require a worksheet resubmission.**

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 [ ]  New Employee [ ]  Other (please explain)

Applicant Legal Name:

Applicant Country of Citizenship:

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

(**Required** for New J-1 visas only), Applicant’s Home Institution:

ISU College and Department/Center:

Applicant Supervisor: Name & Email:

Department/Center Administrative Contact: Name & Email:

**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. Will the applicant have keyed access to any offices or labs?

 [ ] Yes [ ] No

 If you answered *Yes* to question #2, please list the building name & room numbers:

1. Is any project on which the applicant will work or any portion of the applicant’s salary funded directly or indirectly by a federal or state government agency?

 [ ] Yes [ ] No

 If you answered *Yes* to question #3, answer the following questions:

1. What is the name of the project title, as indicated on the project agreement?

1. What is the Goldsheet or Worktag number associated with the project?

1. Will the applicant be working with defense or national security technologies or weapons?

 [ ] Yes [ ] No

1. Will the applicant be working with technologies relating to spacecraft, satellites, or space-qualified systems?

 [ ] Yes [ ] No

1. Will the applicant be working with encryption software or source code?

 [ ] Yes [ ] No

1. Will the applicant be working with any pathogens or toxins (viruses, rickettsiae, bacteria, toxins or fungi)?

 [ ] Yes [ ] No

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

1. What is the name of the item(s) with which the applicant will be working?

1. Will the applicant be developing or producing the item?

 [ ] Yes [ ] No

 If you answered *Yes* to question b, answer the following questions:

1. Is information about the methodology the applicant will use to develop or produce the item publicly available?

 [ ] Yes [ ] No

1. Does the applicant intend to publish information regarding the methodology used to develop or produce the item?

 [ ] Yes [ ] No

1. 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 (e.g. copier/scanner or COTS computer) and software?

 [ ] Yes [ ] No

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

* 1. What is the name of the equipment or software for which the applicant will have such information?
	2. Is the information **free of charge** or available at cost and **publicly available** without signing a nondisclosure agreement?

 [ ] Yes [ ] No

* 1. Does the applicant intend to publish the information?

 [ ] Yes [ ] No

1. 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 (e.g. copier/scanner or COTS computer) and software: operate, install, maintain, repair, overhaul and refurbish?

 [ ] Yes [ ] No

 If you answered *Yes* to question #9, answer the following questions:

* 1. What is the name of the equipment or software for which the applicant will have such information?
	2. Is the information **free** **of charge** or available at cost and **publicly available** without signing a nondisclosure agreement?

 [ ] Yes [ ] No

* 1. Is it anticipated that the applicant will publish the information?

 [ ] Yes [ ] No

1. 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 a delay to remove confidential information or protect intellectual property)?

 [ ] Yes [ ] No

1. 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 foreign national restriction?

 [ ] Yes [ ] No

1. Will the applicant be provided access to any Sponsor-provided proprietary or confidential information or ISURF materials/technical information?

[ ] Yes [ ] No

 If you answered *Yes* to question #12, answer the following questions:

* 1. Name and describe the proprietary materials for which the applicant will have such information.
	2. Provide the sponsor’s name and Goldsheet or Worktag number as applicable.

**Part III:**

**By signing this form, I accept and understand that failure to provide accurate information regarding the applicant may result in violations of Iowa State University policy and/or U.S. federal law.**

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 Ethics immediately.

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

 Signature

**Name:**       **Title:**

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

**Director** Signature

**Name:**       **Title:**

ORE 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 a license is not required from either the U.S. Department of Commerce or the U.S. Department of State to release such technology or technical data to the foreign Person.

Reviewed by: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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Reviewed by: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

 ORR/Ames Lab EC Office