

2. Is the research to be performed basic in nature? Yes No If no, select all that apply:

- Basic
- Applied
- Advanced
- Development
- Testing
- Service Oriented

3. Does the applicant have any independent funding for research activities? No Yes Unsure
If yes, attach copy of funding agreement

4. Has the applicant signed any independent non-disclosure agreements? No Yes Unsure
If yes, briefly describe:

5. Has the applicant been involved in any past or current foreign talents programs? No Yes Unsure
If yes, briefly describe:

6. Will the research or activities to be performed involve any of the following:

No Yes (check all that apply below)

- Firearms, Close Assault Weapons and Combat Shotguns
 - Guns and Armament
 - Ammunition/Ordnance
 - Launch Vehicles (guided missiles, ballistic missiles, rockets, torpedoes, bombs and mines)
 - Explosives and Energetic Materials, Propellants, Incendiary Agents and their Constituents
 - Surface Vessels (ships, patrol vessels, landing craft) and Special Naval Equipment
 - Ground Vehicles (Tanks and Military Vehicles)
-

- Aircraft and Related Articles (planes, helicopters, balloons, drones)
- Military Training Equipment and Training
- Protective Personnel Equipment
- Military Electronics
- Fire Control, Lasers, Imaging, and Guidance Equipment
- Materials and Miscellaneous Articles
- Toxicological Agents, including Chemical Agents, Biological Agents, and Associated Equipment
- Spacecraft and Related Articles
- Nuclear Weapons Related Articles
- Distributed Energy Weapons
- Classified Articles, Technical Data and Defense Services
- Gas Turbine Engines and Associated Equipment
- Submersible Vessels and Related Articles
- Nuclear (materials, facilities, and equipment) & Miscellaneous
- Materials, Chemicals, Microorganisms, and Toxins
- Material Processing
- Electronics
- Computers (semi-conductor chips)
- Telecommunications and Information Security (encryption hardware, software or technology)
- Sensors and Lasers
- Navigation and Avionics
- Marine
- Aerospace and Propulsion

If yes, describe completely:

7. Will the applicant be provided access to proprietary, confidential or sensitive information, technology or software? No Yes Unsure

If yes, describe completely:

8. Are you aware of any export controls related to the work you are currently performing? No Yes Unsure

If yes, describe completely:

9. Additional Comments, Questions or Information:

ASU Employee Supervisor/Sponsor Name: _____

ASU Employee Supervisor/Sponsor Signature: _____

Date: _____

Chair/Unit Director Name: _____

Chair/Unit Director Signature: _____

Date: _____

By signing this form, I am attesting I have full knowledge of the scope of research work of the applicant.

Email to KE Pre Award Services at: export.control@asu.edu

Mail to: Mail Code 6011
Export Control Review

Arizona State University
Tempe, AZ 85287-6011

October 07, 2021

Section 2: Institutional Review

Certification Regarding Release of Controlled Technology or Technical Data to Foreign Persons in the United States:

With respect to the technology or technical data ASU will release or otherwise provide access to the applicant, ASU 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 U.S. Department of Commerce or the U.S. Department of State to release such technology or technical Data to the foreign person;

Or

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 applicant and ASU will prevent access to the controlled technology or technical data by the applicant until and unless ASU has received the required license or other authorization to release it to the applicant.

Technology Control Plan (TCP) Control Number: _____

Additional Comments:

KE Empowered Export Official Name/ Title: _____

Date: _____

Signature: _____

KE Pre Award Distribution:

ASU Employee Sponsor

ASU International Students and Scholars Center
Attn: Chung-Ning Gonzalez Chung-Ning.Gonzalez@asu.edu
P.O. Box 872812 (250 East Lemon St, Suite 172)
Tempe, AZ 85287-2812

Instructions for Completion
I-129 Petition for a Non-Immigrant Worker
Export Compliance Questionnaire

Section 1 – Demographics and Questionnaire – ASU Sponsor to Complete

Question 1 - If applicant will participate in any research activity list all proposal and/or award information and describe the research activity; **also include any non-sponsored research activity.**

Q2 – Select activity type from list.

Q3 – Identify sensitive activity and explain as appropriate.

Q4 – If activity is proprietary, confidential or sensitive identify and describe.

Q5 – Describe any export-controlled activity.

Q6 – Provide any additional information as appropriate.

ASU Sponsor and Department Chair or Unit Director both sign.

Attach copy of Applicant's Government ID with Photo.

Attach Applicant Resume or CV.

Section 2 – Institutional Review

KE's Pre-Award Services Office (KE Pre-Award) will provide a review for Export Control determination and provide the required institutional certification. KE Pre-Award will review the questionnaire and any supporting information and provide a determination based on a thorough review. If an Export Control license is required, a TCP will be identified. KE Pre-Award will work with the ASU Unit and applicant and will provide the Questionnaire and Institutional Certification to ISSC. KE Pre-Award will retain the necessary records to support the determination.