

EXPORT CONTROL
I-129 DEEMED EXPORT QUESTIONNAIRE
REV. FEBRUARY 2019

OFFICE OF
RESEARCH INTEGRITY

The following information will be used to certify whether or not a deemed export license is required from either the US Departments of State or Commerce for the beneficiary named below during their period of employment at URI.

Visa beneficiary's name: PI/Department Chair:

Visa beneficiary's citizenship: PI/Dept. Chair Dept/College:

Beneficiary's Duties include (check all that apply): PI/Dept. Chair Phone Number:

Administrative Teaching Research Technician

Other (please list):

Funding sources for this work (*An officer in OSP will review these agreements for export control clauses*):

Please describe the type of technology or areas of research that the beneficiary will work on:

The following should be completed and signed by the individual who will be supervising the visa beneficiary or who is otherwise knowledgeable about the beneficiary's intended work. Contact Ross M. Levine, Export Control Officer (ross_levine@uri.edu) at the Office of Research Integrity for clarification of the questions below.

In performing the work under the visa, will the beneficiary be provided access to:

- | | | |
|--|---------------------------|--------------------------|
| Technology or Technical data marked "export controlled"? | <input type="radio"/> Yes | <input type="radio"/> No |
| Sponsor or third-party proprietary or confidential information, materials, software? | <input type="radio"/> Yes | <input type="radio"/> No |
| Encryption source code? | <input type="radio"/> Yes | <input type="radio"/> No |
| Equipment specifically designed or developed for military or space applications? | <input type="radio"/> Yes | <input type="radio"/> No |

I am familiar with the job duties and other particulars of employment of the beneficiary listed above and hereby affirm that the contents of this questionnaire are true, to the best of my knowledge, information, and belief. I further understand that failure to accurately complete this questionnaire can result in U.S. government export control violations for which civil and criminal penalties can be assessed against any individual found to have caused or facilitated a violation, and/or against the University of Rhode Island.

Signature: Date:

Send completed questionnaire and a copy of the individual's curriculum vitae (CV) to the Director of Research Integrity: researchintegrity@etal.uri.edu

For more information on Export Controls please go to the following website: <http://web.uri.edu/research-admin/office-of-research-integrity/export-controls/>

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Glossary of Terms

Deemed Export- Any release of technology or source code subject to the EAR to a foreign national. Such release is deemed to be an export to the home country or countries of the foreign national. This deemed export rule does not apply to persons lawfully admitted for permanent residence in the United States and does not apply to persons who are protected individuals under the Immigration and Naturalization Act (8 U.S.C. 1324b (a)(3)). Any release of any item to any party with knowledge a violation is about to occur is prohibited by Section 736.2(b)(10) of EAR.

Development - "Development" is related to all stages prior to serial production, such as: design, design research, design analyses, design concepts, assembly and testing of prototypes, pilot production schemes, design data, process of transforming design data into a product, configuration design, integration design, layouts.

Export control - The federal government's use of regulations and licensing requirements to manage exportation of commodities and information to countries outside the U.S.; to manage the sharing of commodities and information with foreign nationals who are residing in the U.S.; and to regulate travel to or activities involving sanctioned or embargoed countries.

Production - Means all production stages, such as: product engineering, manufacture, integration, assembly (mounting), inspection, testing, and quality assurance.

Technical Data - Information other than software which is required for the design, development, production, manufacture, assembly, operation, repair, testing, maintenance or modification of defense articles. This includes information in the form of blueprints, drawings, photographs, plans, documentation, instructions, models, formulae, tables, engineering designs and specifications, manuals and instructions written or recorded on other media or devices such as disk, tape, or read-only memories.

Technology - Specific information necessary for the "development", "production", or "use" of a commodity subject to the Export Administration Regulations. The information takes the form of "technical data" or "technical assistance".

Use - Operation, installation (including on-site installation), maintenance (checking), repair, overhaul and refurbishing.

Items that are subject to export regulations:

Commerce Controlled Items:

Category 0 - Nuclear Materials, Facilities and Equipment	Category 5 Part 1 - Telecommunications
Category 1- Materials, Chemicals, Microorganisms, and Toxins	Category 5 Part 2 - Information Security
Category 2 - Materials Processing	Category 6 - Sensors and Lasers
Category 3 - Electronics	Category 7 - Navigation and Avionics
Category 4 - Computers	Category 8 - Marine
	Category 9 - Aerospace and Propulsion

Defense Articles/ITAR Controlled Items:

Category I - Firearms	Category XI - Military Electronics
Category II - Guns and Armament	Category XII - Fire Control, Range Finder, Optical and Guidance and Control Equipment
Category III - Ammunition/Ordnance	Category XIII - Auxiliary Military Equipment
Category IV - Launch Vehicles, Guided Missiles, Ballistic Missiles, Rockets, Torpedoes, Bombs and Mines	Category XIV - Toxicological Agents, Including Chemical Agents, Biological Agents, and Associated Equipment
Category V - Explosives and Energetic Materials, Propellants, Incendiary Agents and Their Constituents	Category XV - Spacecraft Systems and Associated Equipment
Category VI - Vessels of War and Special Naval Equipment	Category XVI - Nuclear Weapons, Design and Testing Related Items
Category VII - Tanks and Military Vehicles	Category XVII - Classified Articles, Technical Data and Defense Services Not Otherwise Enumerated
Category VIII - Aircraft and Associated Equipment	Category XVIII - Directed Energy Weapons
Category IX - Military Training Equipment and Training	Category XX - Submersible Vessels, Oceanographic and Associated Equipment
Category X - Protective Personnel Equipment and Shelters	

For **Commerce Controlled Items**: <http://www.bis.doc.gov/index.php/regulations/commerce-control-list-ccl>

For **Defense Articles/ITAR Controlled Items**: http://www.pmdtc.state.gov/?id=ddtc_public_portal_itar_landing