



EXPORT CONTROL CERTIFICATION

for

J-1 Visiting Scholar or B-1, B-2, or B-1/B-2 Combination Tourist Visa

TO BE COMPLETED BY THE SUPERVISOR OF PROSPECTIVE SCHOLAR/VISITOR OR THE DEPARTMENT CHAIR/DIRECTOR

Date of Submission: _____

Hosting Department: _____ Hosting Faculty/Staff: _____

Prospective Scholar or Visitor Name: _____ Dates of Visit: _____

Home Institution: _____

Home Institution Address: _____

Country of Birth: _____ Country of Citizenship: _____

If dual citizenship, other Citizenship: _____

It is now **mandatory** that you complete the training module at [CITI Program training module](#) and review the information available on the export control website before answering the below questions in advance of preparing the visa petition.

Certification must be made by the University's Export Control Officer as to whether or not a license is required from U.S. Department of Commerce or U.S. Department of State. Your answers to the questions on the following page will help determine whether or not an export license may be needed for the prospective scholar/visitor.

Foreign visitors who will be given access to buildings or laboratories containing controlled equipment must first be screened by the Office of Research Compliance and must have a plan of work or study approved *in advance* by the Vice Chancellor for Research and Economic Development. The work or study plan cannot involve the study or use of an item of controlled equipment or for training in the use of such equipment. As you complete this form, please keep the following in mind:

- **Technology** is defined by the Export Administration Regulation (EAR) as "specific information necessary for the development, production, or use of a product."
- **Use** is further defined as the "operation, installation (including on-site installation), maintenance (checking), repair, overhaul, and refurbishing of equipment."
- **Technical Data** is defined by the International Trafficking in Arms Regulation (ITAR) as "information required for the design, development, production, manufacture, assembly, operation, repair, testing, maintenance or modification of defense articles, including information in the form of blueprints, drawings, photographs, plans, instructions, or documentation."

More information about export controls is available on the Office of Research Compliance Export Controls website at <http://research.uncc.edu/compliance-ethics/export-control>.

EXPORT CONTROL CERTIFICATION QUESTIONS

Your answers to the following questions will be used to determine if your college/department will need to apply for an export license for the visiting scholar/visitor. There is NO cost in applying for an export license. However, it can take up to 6 months to receive a license from the Department of Commerce, Bureau of Industrial Security. Your timely response and forwarding this form to John Jacobs, Facility Security Officer (FSO), Cameron Hall 325, for review will help in the overall process of the export control matters related to the visiting scholar/visitor.

If providing additional information, please use separate piece of paper.

1.	Is the potential scholar/visitor from Iran, Cuba, North Korea, Syria, Iran, Libya or Sudan?	<input type="checkbox"/> YES <input type="checkbox"/> NO
2.	Please explain the purpose and nature of visit to UNCC.	
3.	If for research purposes, provide NORM number and sponsor name(s) associated with visit. NORM#: _____ Sponsor: _____	
4.	Will the potential scholar/visitor have access to any laboratory at UNCC? If YES, please provide location. _____	<input type="checkbox"/> YES <input type="checkbox"/> NO
5.	Are you allowing unaccompanied access to the laboratory or will the scholar/visitor be chaperoned?	<input type="checkbox"/> YES <input type="checkbox"/> NO
6.	Who and what is the potential Scholar's/Visitor's funding source? _____	
7.	Do you have any Export Controlled equipment in the laboratory assigned to the potential Scholar/Visitor?	<input type="checkbox"/> YES <input type="checkbox"/> NO
8.	Will the potential Scholar/Visitor have access to encryption source/object code?	<input type="checkbox"/> YES <input type="checkbox"/> NO
9.	Will the potential Scholar/Visitor be assigned a campus user name and password?	<input type="checkbox"/> YES <input type="checkbox"/> NO
10.	Will the potential Scholar/Visitor have access to UNCC computer network?	<input type="checkbox"/> YES <input type="checkbox"/> NO
11.	Has your Data Security Officer for the college/department been notified of this request? Please explain what network security arrangements will be made to limit the potential scholar/visitor use of the campus network.	<input type="checkbox"/> YES <input type="checkbox"/> NO
12.	Will the potential Scholar/Visitor be involved in a project that has a Technology Control Plan or Data Security Plan in place?	<input type="checkbox"/> YES <input type="checkbox"/> NO
13.	Will the Scholar/Visitor be involved in any project that is proprietary in nature?	<input type="checkbox"/> YES <input type="checkbox"/> NO
14.	Will the Scholar/Visitor be involved in any project that has a publication and/or dissemination restrictions?	<input type="checkbox"/> YES <input type="checkbox"/> NO
15.	Will the Scholar/Visitor be involved in any project that has an implied or applied specific military purpose?	<input type="checkbox"/> YES <input type="checkbox"/> NO
16.	Will the Scholar/Visitor be involved in any project that requires foreign national approval by sponsor (or stipulates that NO foreign nationals allowed)?	<input type="checkbox"/> YES <input type="checkbox"/> NO
17.	Will the potential Scholar/Visitor be working with high-tech or experimental equipment (examples would be high-speed computers, sensors, materials, electronics, lasers, telecommunication devices or other cutting edge equipment)? Please provide a list of the equipment being used.	<input type="checkbox"/> YES <input type="checkbox"/> NO
18.	Will the potential Scholar/Visitor be working on corporate sponsored research? If YES please provide award numbers: _____	<input type="checkbox"/> YES <input type="checkbox"/> NO
19.	Will the potential Scholar/Visitor be working on materials obtained under a Materials Transfer Agreement (other than the Uniform Biological Materials Transfer Agreement)? If YES please provide award numbers: _____	<input type="checkbox"/> YES <input type="checkbox"/> NO
20.	Will the potential Scholar/Visitor be working on other projects not administered as corporate sponsored project or Materials Transfer Agreement which involve data, knowhow, software or equipment of a technical nature? If YES please explain: _____ _____	<input type="checkbox"/> YES <input type="checkbox"/> NO

EXPORT CONTROL CERTIFICATION: SIGNATURES

“Pursuant to 28 USC § 1746, I declare under penalty of perjury under the laws of the United States of America that the foregoing is true and correct.” My signature below certifies that the information I provided above is true and correct, that I have completed the export control training module and that, if a license is required, I will not give the prospective scholar/visitor any export controlled technical data/technology until the proper authorization is received.

I also understand that failure to report completely and accurately may result in export control and/or sanctions violations punishable by criminal or civil penalties. If any of the responses to these questions change, I will contact John Jacobs in the Office of Research Compliance at fso@uncc.edu.

Submissions without the designated signatures cannot be processed and filed by the University.

Supervisor of Prospective Scholar/Visitor	
_____	_____
Print Name of Supervisor of Prospective Scholar/Visitor	Date

Signature of Supervisor of Prospective Scholar/Visitor	

I have reviewed the above information:

Department Chair/Director	
_____	_____
Print Name of Department Chair/Director	Date

Signature of Department Chair/Director	

INTERNAL USE ONLY:	
Restricted Party Screening completed and clear?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Is a License required to release technical data/technology to the prospective Scholar/Visitor?	<input type="checkbox"/> YES <input type="checkbox"/> NO
_____	_____
Print Name of Export Controls Officer	Date

Signature of Export Controls Officer	