**UNI Personnel Export Control Screening Form (ECF-1)**

University of Northern Iowa

Federal export control laws are a complex set of regulations that restrict the export or transfer of information, goods, equipment, technology, related technical data and certain services to foreign countries or foreign persons in order to protect national security and the domestic economy. Export Control laws define U.S. persons as U.S. nationals, permanent residents (green card holders) and persons with refugee or asylum status in the United States. Any other persons who do not fall under the previously listed categories are designated as foreign nationals. University personnel who are responsible for export-controlled items or knowledge may not share those with foreign nationals without a license.

The purpose of this form is gather information about the planned professional activities of foreign nationals at UNI. Based on this information, the UNI Export Controls Coordinator will make a determination whether further information and/or a federal license will be required. The form will also serve as the basis for the university’s certification to the federal government on H1-B and other visa applications that the individual will or will not be involved in the controlled activities.

This form should be completed by the individual who is sponsoring a foreign national to come to UNI as a new faculty or staff member, postdoctoral researcher, or visiting scholar. The form may be completed by the responsible department head. All forms *must* be signed by the department head, in any case. Questions may be directed to her at anita.gordon@uni.edu.

**INFORMATION ABOUT INCOMING FOREIGN NATIONAL**

1. **Name of sponsoring Department or Unit: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**
2. **Name of foreign national: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**
3. **Country of citizenship: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**
4. **U.S. visa status & type (if known): \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**
5. **Primary reason of visit to UNI: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**
6. **Status at UNI will be: Full time: \_\_\_\_\_\_\_\_\_\_\_\_\_ Part time: \_\_\_\_\_\_\_\_\_\_\_\_**

**Permanent: \_\_\_\_\_\_\_\_\_\_\_ Temporary: \_\_\_\_\_\_\_\_\_\_**

1. **Will the above named foreign national have access to any equipment, software, technology, data, knowledge, chemical, or biological agent that is listed on the Commercial Control List? (See Link) Check all that may apply. If none, mark None.**

**Commerce Control List (CCL) for the Export Administration Regulations (EAR)**

Website: <http://www.gpo.gov/bis/ear/ear_data.html>

\_\_\_\_\_Category 0 - Nuclear Materials, Facilities & Equipment (and Miscellaneous Items) [PDF](http://www.gpo.gov/bis/ear/pdf/ccl0.pdf) [ASCII](http://www.gpo.gov/bis/ear/txt/ccl0.txt) [WPD](http://www.gpo.gov/bis/ear/wpd/ccl0.wpd)

\_\_\_\_\_Category 1- Materials, Chemicals, Microorganisms, and Toxins [PDF](http://www.gpo.gov/bis/ear/pdf/ccl1.pdf) [ASCII](http://www.gpo.gov/bis/ear/txt/ccl1.txt) [WPD](http://www.gpo.gov/bis/ear/wpd/ccl1.wpd) 09-07-10

\_\_\_\_\_Category 2 - Materials Processing [PDF](http://www.gpo.gov/bis/ear/pdf/ccl2.pdf) [ASCII](http://www.gpo.gov/bis/ear/txt/ccl2.txt) [WPD](http://www.gpo.gov/bis/ear/wpd/ccl2.wpd) 09-07-10

\_\_\_\_\_Category 3 - Electronics [PDF](http://www.gpo.gov/bis/ear/pdf/ccl3.pdf) [ASCII](http://www.gpo.gov/bis/ear/txt/ccl3.txt) [WPD](http://www.gpo.gov/bis/ear/wpd/ccl3.wpd) 09-07-10

\_\_\_\_\_Category 4 - Computers [PDF](http://www.gpo.gov/bis/ear/pdf/ccl4.pdf) [ASCII](http://www.gpo.gov/bis/ear/txt/ccl4.txt) [WPD](http://www.gpo.gov/bis/ear/wpd/ccl4.wpd) 09-07-10

\_\_\_\_\_Category 5 (Part 1) - Telecommunications [PDF](http://www.gpo.gov/bis/ear/pdf/ccl5-pt1.pdf) [ASCII](http://www.gpo.gov/bis/ear/txt/ccl5-pt1.txt) [WPD](http://www.gpo.gov/bis/ear/wpd/ccl5-pt1.wpd) 09-07-10

\_\_\_\_\_Category 5 (Part 2) - Information Security [PDF](http://www.gpo.gov/bis/ear/pdf/ccl5-pt2.pdf) [ASCII](http://www.gpo.gov/bis/ear/txt/ccl5-pt2.txt) [WPD](http://www.gpo.gov/bis/ear/wpd/ccl5-pt2.wpd) 01-07-11

\_\_\_\_\_Category 6 - Sensors and Lasers [PDF](http://www.gpo.gov/bis/ear/pdf/ccl6.pdf) [ASCII](http://www.gpo.gov/bis/ear/txt/ccl6.txt) [WPD](http://www.gpo.gov/bis/ear/wpd/ccl6.wpd) 09-13-10

\_\_\_\_\_Category 7 - Navigation and Avionics [PDF](http://www.gpo.gov/bis/ear/pdf/ccl7.pdf) [ASCII](http://www.gpo.gov/bis/ear/txt/ccl7.txt) [WPD](http://www.gpo.gov/bis/ear/wpd/ccl7.wpd) 09-07-10

\_\_\_\_\_Category 8 - Marine [PDF](http://www.gpo.gov/bis/ear/pdf/ccl8.pdf) [ASCII](http://www.gpo.gov/bis/ear/txt/ccl8.txt) [WPD](http://www.gpo.gov/bis/ear/wpd/ccl8.wpd) 06-28-10

\_\_\_\_\_Category 9 - Propulsion Systems, Space Vehicles and Related Equipment [PDF](http://www.gpo.gov/bis/ear/pdf/ccl9.pdf) [ASCII](http://www.gpo.gov/bis/ear/txt/ccl9.txt) [WPD](http://www.gpo.gov/bis/ear/wpd/ccl9.wpd) 09-13-10

**\_\_\_\_\_None of the above**

1. **Will the above named foreign national have access to any equipment, software, technology, data, knowledge, chemical, or biological agent that is listed on the U.S. Munitions List (USML)? (See Link) Check all that may apply. If none, mark None.**

**U.S. Munitions List overseen by the International Traffic in Arms (ITAR) regulations**

Website: <http://www.fas.org/spp/starwars/offdocs/itar/p121.htm#ITAR>

\_\_\_\_\_ [Spacecraft Systems and Associated Equipment](http://www.fas.org/spp/starwars/offdocs/itar/p121.htm%22%20%5Cl%20%22C-XV)

\_\_\_\_\_ [Aircraft and Associated Equipment](http://www.fas.org/spp/starwars/offdocs/itar/p121.htm%22%20%5Cl%20%22C-VIII)

\_\_\_\_\_ [Toxicological Agents and Equipment and Radiological Equipment](http://www.fas.org/spp/starwars/offdocs/itar/p121.htm%22%20%5Cl%20%22C-XIV)

\_\_\_\_\_ [Artillery Projectors](http://www.fas.org/spp/starwars/offdocs/itar/p121.htm%22%20%5Cl%20%22C-II)

\_\_\_\_\_ [Military Electronics](http://www.fas.org/spp/starwars/offdocs/itar/p121.htm%22%20%5Cl%20%22C-XI)

\_\_\_\_\_ [Firearms](http://www.fas.org/spp/starwars/offdocs/itar/p121.htm%22%20%5Cl%20%22C-I)

\_\_\_\_\_ [Vessels of War and Special Naval Equipment](http://www.fas.org/spp/starwars/offdocs/itar/p121.htm%22%20%5Cl%20%22C-VI)

\_\_\_\_\_ [Protective Personnel Equipment](http://www.fas.org/spp/starwars/offdocs/itar/p121.htm%22%20%5Cl%20%22C-X)

\_\_\_\_\_ [Nuclear Weapons Design and Related Equipment](http://www.fas.org/spp/starwars/offdocs/itar/p121.htm%22%20%5Cl%20%22C-XVI)

\_\_\_\_\_ [Explosives, Propellants, Incendiary Agents and Their Constituents](http://www.fas.org/spp/starwars/offdocs/itar/p121.htm%22%20%5Cl%20%22C-V)

\_\_\_\_\_ [Military Training Equipment](http://www.fas.org/spp/starwars/offdocs/itar/p121.htm%22%20%5Cl%20%22C-IX)

\_\_\_\_\_ [Classified Articles, Technical Data and Defense Services Not Otherwise Enumerated](http://www.fas.org/spp/starwars/offdocs/itar/p121.htm%22%20%5Cl%20%22C-XVII)

\_\_\_\_\_ [Missiles, Ballistic Missiles, Rockets, Torpedoes, Bombs and Mines](http://www.fas.org/spp/starwars/offdocs/itar/p121.htm%22%20%5Cl%20%22C-IV)

\_\_\_\_\_ [Fire Control, Range Finder, Optical and Guidance and Control Equipment](http://www.fas.org/spp/starwars/offdocs/itar/p121.htm%22%20%5Cl%20%22C-XII)

\_\_\_\_\_ [Submersible Vessels, Oceanographic and Associated Equipment](http://www.fas.org/spp/starwars/offdocs/itar/p121.htm%22%20%5Cl%20%22C-XX)

\_\_\_\_\_ [Tanks and Military Vehicles](http://www.fas.org/spp/starwars/offdocs/itar/p121.htm%22%20%5Cl%20%22C-VII)

\_\_\_\_\_ [Auxiliary Military Equipment](http://www.fas.org/spp/starwars/offdocs/itar/p121.htm%22%20%5Cl%20%22C-XIII)

\_\_\_\_\_ [Ammunition](http://www.fas.org/spp/starwars/offdocs/itar/p121.htm%22%20%5Cl%20%22C-III)

**\_\_\_\_\_ None of the above**

1. **Will the above named foreign national have access to space technology or encrypted software?**

Yes \_\_\_\_\_\_\_\_\_ No \_\_\_\_\_\_\_\_\_ Possibly \_\_\_\_\_\_\_\_\_

*If Yes or Possibly, please describe:*

1. **Do any of the following apply to the foreign national’s work and/or professional engagement at UNI?**
2. All research results will be made public.

Yes \_\_\_\_\_\_\_\_\_ No \_\_\_\_\_\_\_\_\_

1. All access to Export Controlled material, if any, will occur only in a classroom or laboratory course setting.

Yes \_\_\_\_\_\_\_\_\_ No \_\_\_\_\_\_\_\_\_

1. **Will the above named foreign national be working on an externally sponsored project?**

Yes \_\_\_\_\_\_\_\_\_ (if yes, please continue)

No \_\_\_\_\_\_\_\_\_ (if no, please skip to signatures)

A. Name of project and PI: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

B. Is there any formal or informal agreement between the sponsor and the PI that restricts public dissemination of project results?

Yes \_\_\_\_\_\_\_\_\_ No \_\_\_\_\_\_\_\_\_

*If Yes, please describe:*

**SIGNATURES**

I understand that the information is correct to the best of my knowledge. I understand that it is my responsibility to immediately notify the UNI Export Controls Coordinator if any changes occur in the information provided above.

**Project Director or other sponsoring individual, if any:**

Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Responsible Department Head (required):**

Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_