

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

Section 1 – Demographics and Questionnaire – ASU Sponsor of Applicant to Complete

- Q1 – Provide Applicant’s ASU job title and job description.
Q2 – Indicate if Applicant will be working in one of the listed areas.
Q3 - Indicate if the Applicant will participate in any research activity (sponsored or internally funded). If not, skip to Q9.
Q4 – Select any elements that apply to Applicant’s research projects.
Q5 – Provide details on Applicant’s research projects.
Q6 – Select correct description of the nature of Applicant’s research.
Q7 - If applicable, provide copy of independent funding agreement.
Q8 – Select any that apply and provide description. Detailed information is necessary to allow the reviewer to screen for export control concerns.
Q9 – If Applicant has signed an independent Non-Disclosure Agreement, describe agreement.
Q10 – Foreign Talent Programs are defined here [FTP Definition](#) If Applicant has been involved in a Foreign Talent program, describe same.
Q11 – Please identify and describe proprietary, confidential, or sensitive information, technology or software that Applicant will access.
Q12 – Describe any known export-controlled issues not previously disclosed.
Q13 – Provide any additional information as appropriate.

ASU Supervisor and Department Chair or Unit Director must both sign the Petition.

Attach copy of Applicant’s valid Government ID with Photo (valid Passport preferred).
Attach Applicant’s current Resume or CV.

Section 2 – Institutional Review

KE’s Research Compliance Export Control team provides a review for export control determination and the required Institutional Certification. The Export Control team reviews the Questionnaire and any supporting information and provides a determination based on a thorough review. The Export Control team will contact the ASU Applicant Sponsor if additional information is needed to complete the review. If an export control license is required, the Export Control team will work with the ASU Applicant Sponsor on obtaining the license and preparing any necessary Technology Control Plans. The Export Control team will retain the necessary records to support the export control determination.

The Export Control team will distribute the signed Institutional Certification to the ASU Applicant Sponsor and/or the Applicant Sponsor’s Unit representative who submitted the I-129 petition export compliance questionnaire. It is the responsibility of the ASU Applicant Sponsor and/or the Applicant Sponsor’s Unit representative who submitted the I-129 petition export compliance questionnaire to submit the signed Institutional Certification to ASU International Students and Scholars Center (ISSC).

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

Attach **Resume/CV** of Applicant. Attach copy of valid **Government ID with Photo** (Passport preferred).

Applicant's Name (as it appears on ID): _____

Aliases/Former Names: _____

Country of Citizenship: _____

Visa Type Requested: ☐ H-1B ☐ O-1 Date of birth: _____

Department: _____

Supervisor's Name: _____

Supervisor's Title: _____

Supervisor's Phone: _____

Current ASU employee: No ☐ Yes ☐ Date of hire: _____

Type of Request: New ☐ [If New, skip to Section 1 below] Renewal ☐

a. Date of original request: _____

b. Date of last approval: _____

c. Has any information changed since the last request? No ☐ Yes ☐

Section 1: (see instructions for completion, page 1)

Answer each question completely. Incomplete applications will delay review.

1. Applicant's job title and a brief description of Applicant's job duties and responsibilities.

Job Title: _____

Duties: _____

2. Will the Applicant's work involve any items listed below? No ☐ Yes ☐

If yes, select all that apply:

- ☐ Computer Sciences
☐ Biomedical Sciences
☐ Space or Space Launch Sciences
☐ Engineering
☐ Other Scientific Discipline

Engineering and Scientific Disciplines include, but are not limited to: Chemical, Electrical, Semiconductor, Materials Science, Physics, Mechanical, Geophysical, Marine, Astronomy, Nuclear, Artificial Intelligence or Robotics.

3. Will the Applicant participate in *research? No ☐ Yes ☐

*Includes sponsored and internally funded research.

If “No” skip to Question #9

4. Will the Applicant be working on a project that includes any of the elements listed below?

No ☐ Yes ☐

If yes, select all that apply:

- ☐ Sponsor approval or restriction of foreign national participation
- ☐ Technology Control Plan
- ☐ Publication restrictions – *Sponsor approval, delay of more than 90 days, PI cannot publish*
- ☐ Research has specific military applications
- ☐ Project requires Applicant to access proprietary, confidential, or sensitive information, technology or software

5. Complete the table with the Applicant’s sponsored and/or internally funded research.

NOTE: If the applicant is a current ASU employee, Funding Source/Sponsor Name should always be completed (who funds the Applicant’s work?). If the Applicant is a new ASU employee, it may be sufficient to write TBD, however, always attempt to answer thoroughly to avoid potential setbacks.

ASU Award & Proposal No.	ASU Principal Investigator	Funding Source/ Sponsor Name	List any restrictions (See Question 4)	Brief Description of Research Project (include specific topics)

6. Will the research be fundamental in nature? No ☐ Yes ☐

Fundamental Research refers to basic or applied research in science and engineering performed or conducted at an accredited institution of higher learning in the United States where the resulting information is ordinarily published and shared broadly in the scientific community. The products of fundamental research are not subject to export license requirements or other government approval. Fundamental research is distinguished from research that results in information that is restricted for proprietary reasons or national security reasons (EAR) or pursuant to specific U.S. government access and dissemination controls (ITAR).

<https://researchcompliance.asu.edu/about-us/glossary/>

If research is not fundamental in nature, select appropriate description and explain.

- ☐ Advanced
- ☐ Development
- ☐ Testing
- ☐ Service Oriented

Explanation: _____

7. Does the applicant have any independent external funding for research activities?

No ☐

Yes ☐

If yes, attach a copy of the funding agreement.

8. Will the research focus on any of the following: No ☐ Yes ☐ (check all that apply below)

Critical and Emerging Technologies:

- ☐ Advanced Manufacturing
- ☐ Artificial Intelligence
- ☐ Highly Automated, Autonomous, and Uncrewed Systems (UxS), and Robotics
- ☐ Quantum Information and Enabling Technologies
- ☐ Semiconductors and Microelectronics

International Traffic in Arms Regulations, controlled items:

- ☐ Firearms, Close Assault Weapons and Combat Shotguns
- ☐ Guns and Armament
- ☐ Ammunition and Ordnance
- ☐ Launch Vehicles (guided missiles, ballistic missiles, rockets, torpedoes, bombs and mines)
- ☐ Explosives and Energetic Materials, Propellants, Incendiary Agents and their Constituents
- ☐ Surface Vessels of War (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
- ☐ Directed 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 Items)
- ☐ Special Materials, Chemicals, Microorganisms, and Toxins
- ☐ Materials 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, unsure, or not listed above, describe completely:

9. Has the Applicant signed any independent non-disclosure agreements?

No ☐ Yes ☐

If yes, describe completely:

10. Has the Applicant been involved in any past or current foreign talents programs ([FTP Definition](#))?

No ☐ Yes ☐

If yes, describe completely:

11. Will the Applicant be provided access to proprietary, confidential, or sensitive information, technology or software?

No ☐ Yes ☐

If yes, describe completely:

12. Additional comments, questions, or information:

By signing this form, I certify that I am personally knowledgeable of the job duties and research of the Applicant and that to the best of my knowledge, information and belief, the information provided in this Petition is true and correct. If a license is required, I will not give the Applicant any export controlled technical data/technology until the proper authorization is received.

ASU Employee Supervisor/Sponsor Name: _____

ASU Employee Supervisor/Sponsor Signature: _____

Date: _____

I have reviewed the information included on the Petition:

Chair/Unit Director Name: _____

Chair/Unit Director Signature: _____

Date: _____

Email to KE Research Compliance Export Control Team at: export.control@asu.edu

Mail to: Mail Code 6011
Export Control Review
Arizona State University
Tempe, AZ 85287-6011

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.

EXPORT CONTROL REVIEW:

Technology Control Plan (TCP) Control Number: _____

Applicant's Identification verified by: _____

Restricted Party Screening completion date: _____ Applicant cleared? No ☐ Yes ☐

Additional Comments: _____

KE Empowered Export Official Name/ Title: _____

Date: _____

Signature: _____

Distribution:

KE Research Compliance Export Control Team

ASU Employee Sponsor and/or Sponsor Human Resources representative