OMB Control No. 0690-0030
Expiration Date: 07/31/2023

Please tell us about yourself:

1) Are you employed as an Export Control Officer (ECO) or equivalent by your employer?
- o Yes
- o No

If no, does your employer retain an ECO or equivalent on staff?
- o Yes
- o No

2) How many years of experience do you have working in export controls?
- o Less than a year
- o 1-5 years
- o 5-10 years
- o More than ten years

3) Please check the box or boxes below that describe how you developed your knowledge of U.S. export controls (ITAR, EAR) (Check all that apply):
- o I'm self-taught
- o I was trained by colleagues at my institution
- o I was trained by professional association peers
- o I have attended BIS or other USG-sponsored/organized training
- o I have attended training organized by private organizations

Please tell us about the structure of export compliance at your academic institution:

4) How many others in your institution have *direct* export control responsibilities?
- o Just me
- o 1 other person
- o 2 other people
- o Between 3 and five other people
- o 6 or more people

5) Does the academic institution at which you are employed have an export compliance program (ECP)?
- o Yes
- o No
- o I don't know.

6) Does the academic institution at which you are employed have one or more technology control plans (TCPs) in place?
- o Yes
- o No
- o I don't know.

Please tell us about your employer:

7) How many students (undergraduate and graduate) attend the academic institution at which you are employed?

- Less than 1,000
- Between 1,000 and 10,000
- Between 10,000 and 30,000
- More than 30,000

8) Approximately how many professors/researchers are employed by the university institution at which you are employed?

- Less than 100
- Between 100 and 500
- Between 500 and 2,000
- More than 2,000

9) What is the highest academic degree granted/the highest level of study offered by the academic institution at which you are employed?

- Bachelor's degree
- Master's degree
- Doctorate
- Post-doctoral studies

Please tell us about the students at your institution:

10) What is the approximate percentage of international students at the academic institution at which you are employed?

- 0%
- 1-3%
- 3-5%
- 5-10%
- More than 10%
- I don't know.

If your answer to this question is "0%," please go to question 13 below.

11) Does the institution at which you are employed conduct restricted party screening (RPS) of international graduate students to assist with compliance with U.S. export controls?

- Yes, all international graduate students have RPS conducted against them.
- Yes, a sub-section of international graduate students have RPS done.
- No.
- I don't know.

If the answer to this question is "no" or "I don't know," please skip to question 13 below.

If yes, how is RPS completed?

- My institution uses a commercially-purchased software database.
- My institution uses the proscribed parties list on Export.gov.
- My institution employs an outside vendor to do RPS.
- I don't know.

Who does this screening?

- It's one of my job responsibilities.
- My ECO colleagues are responsible.
- Other parties within my university are responsible.
- An outside vendor is responsible.
- I don't know.

12) Please indicate if any of the international graduate students at your university are citizens of a Country Group E country as listed in the EAR Supp, 2 to Part 740 (i.e., Iran, Sudan, Syria, Cuba or North Korea) or from Russia, China or Venezuela? (Check any that apply below)

- Country Group E (i.e., Iran, Sudan, Syria, Cuba, North Korea)
- Russia, China, or Venezuela
- No
- I don't know.

<u>Please tell us about your professors and researchers</u>:

13) What is the approximate number of academic professors/researchers at your academic institution at which you are employed that are not U.S. citizens or green card holders?

- _____

If the answer to this question is 0, please go to question 16 below.

14) Does your academic institution conduct RPS of international professors/researchers to identify and respond to issues related to compliance with U.S. export control requirements?

- Yes
- No
- I don't know.

If the answer to this question is "no" or "I don't know," please skip to question 16 below.

If yes, how is this RPS done?

- My institution uses a commercially-purchased software database.
- My institution uses the proscribed parties list on Export.gov.
- My institution employs an outside vendor to do the screening.
- I don't know.

Who does this RPS?

- It's one of my job responsibilities.
- My ECO colleagues are responsible.
- My colleagues in another office of my academic institution are responsible.
- An outside vendor is responsible.
- A mix of offices within the university is responsible
- I don't know.

Under what circumstances is RPS completed? (check all that apply)

- My institution does RPS on all international professors/researchers.
- My institution does RPS on international professors/researchers on the basis of the subject that they teach and/or the level thereof (i.e., undergraduate vs. graduate).
- My institution does RPS on international professors/researchers on the basis of the research that they do.
- My institution does RPS on international professors/researchers based on their country of citizenship.
- I don't know.

15) Are any of the international professors/researchers at your institution citizens of a Country Group E country as listed in the EAR Supp, 2 to Part 740 (i.e., Iran, Sudan, Syria, Cuba, or North Korea) or from Russia, China or Venezuela? (Check any that apply)

- Country Group E (i.e., Iran, Sudan, Syria, Cuba, North Korea)
- Russia, China, or Venezuela
- No
- I don't know.

<u>Please tell us about the research done at the academic institution at which you are employed:</u>

16) Does the academic institution at which you are employed have a policy of conducting only "fundamental research"?

- Yes.
- No.
- I don't know.

If your answer to this question was either "yes" or "I don't know," please skip to question 20 below.

17) Does the academic institution at which you are employed engage in proprietary research funded by private sector/corporate entities (i.e., research the results of which is not intended to be publicly released)?

- Yes
- No
- I don't know.

If your answer to this question was "no" or "I don't know," please skip to question 20 below.

If yes, are any of these foreign entities?

- Yes

- No
- I don't know.

If yes, are they from (check all that apply):
- Russia, China, or Venezuela
- Countries listed in Country Group E:1 or E:2
- Other

18) Is any of the proprietary research at your academic institution funded by U.S. (or other) Government agencies?
- Yes
- No
- I don't know.

19) If the academic institution at which you are employed engages in funded research that is not fundamental research, which entity is responsible for determining if the results of that research is subject to U.S. export control laws?
- The entity providing the funding is responsible.
- My academic institution is responsible.
- Both entities decide together.
- I don't know.

20) Do your professors/researchers collaborate with other researchers or organizations overseas?
- Yes.
- No
- I don't know.

If the answer to this question is "no," or "I don't know," please skip to question 22 below.

If yes, how do you ensure their compliance with U.S. export controls?
- They let me/my colleagues know directly of their plans to collaborate and I/my colleagues give them the necessary guidance.
- I am informed of faculty plans to collaborate, through a formalized process other than direct contact by a faculty member, and I reach out to the faculty member to give them the necessary guidance.
- I find out about their plans to collaborate on an ad-hoc basis and I reach out to give the necessary guidance.
- I don't know.

21) If/when your professors/researchers travel overseas in their professional capacity, where can they go to/how can they get guidance on U.S. export controls for the items they take or for the discussions they hold?

- o They let me/my colleagues know of their travel plans and I/my colleagues give them the necessary guidance.
- o I am informed of faculty travel plans, through a formalized process other than direct contact by a faculty member, and I reach out to the faculty member to give them the necessary guidance.
- o I find out about their travel plans on an ad-hoc basis and I reach out to give the necessary guidance.
- o I don't know.

Please tell us about the export control training provided at your institution:

22) Does your academic institution offer export control training to staff and/or faculty members? (Check all that apply)

- o Yes, export control training is offered to both staff and faculty members.
- o Yes, export control training is offered to staff.
- o Yes, export control training is offered to faculty members.
- o No
- o I don't know.

If the answer to this question is "no" or "I don't know," please skip to question 26 below.

23) How are the relevant staff and/or faculty members identified to participate in the training? (Check all that apply)

- o All staff and faculty members are required to participate in the training.
- o The training is voluntary; staff and faculty members can choose to participate or not.
- o Faculty members attending the training are selected on the basis of the subject that they teach and/or research.
- o Staff attending the training are selected on the basis of their work responsibilities.
- o Training is provided to new staff and faculty members only.
- o I don't know.

24) How often is export control training provided? (Check all that apply)

- o Training is provided annually.
- o Training is provided on an ad-hoc basis, as necessary.
- o Training is provided to new faculty members only.
- o I don't know.

25) Who is responsible for providing this training? (Check all that apply)

- o I am (with or without colleagues).
- o My colleagues with export control responsibilities provide the training.
- o My institution works with an outside vendor to provide the training.
- o I don't know.

<u>Please explain in what ways BIS could enhance its outreach and education efforts to assist you and your academic institution:</u>

26) What are your biggest challenges to understanding and implementing export controls at your academic institution? (**SELECT ONLY YOUR TOP TWO**)

- o Export controls (e.g., Export Administration Regulations, International Traffic in Arms Regulations) are too complicated.
- o Professors/researchers at my institution don't think export controls are important.
- o I'm unable to convey the importance of export controls to professors/researchers at my institution because there isn't enough case law to make a compelling point.
- o Professors/researchers at my institution think that export controls are contrary to the collaborative nature of academia.
- o My institution's activities impacted by export controls are many and/or varied (e.g., international students, international faculty, international travel by U.S. citizens, funded research, non-fundamental research) and it's difficult to keep track of - much less come up with compliance programs for - everything and to convey the necessary information to the right people.
- o My institution doesn't provide the resources necessary for export compliance.
- o My institution's leadership doesn't provide sufficient commitment to export compliance.
- o The U.S. government doesn't do a good job informing the academic community about export controls.
- o Not enough staff members to handle all export control issues.
- o I don't know.

27) From your perspective, how should BIS provide additional guidance, or revise existing guidance and educational materials to address university specific export control issues? (**SELECT ONLY YOUR TOP TWO**)

- o Provide seminars on how the EAR applies to academic institutions.
- o Provide brochures or video how the EAR applies to academic institutions.
- o Provide a detailed brochure or video on "fundamental research."
- o Provide a seminar on "fundamental research."
- o Provide a seminar on the elements of an effective export compliance program.
- o Conduct outreach at academic institutions and provide guidance to each of the institutions visited.
- o Review individual academic institution's export control and/or technology control plans and provide feedback.
- o Create a webinar, seminar, or virtual training for educating researchers on the classification process.

28) May BIS follow up with you to clarify any of your answers, if necessary?

- o Yes
- o No

If yes, please provide your name and contact information below: