

## Questions Export Controls

1. Which of the following statements apply to Export Controls (EC) laws?
  - a. They have been in place for decades
  - b. Criminal sanctions apply for violations
  - c. Universities are covered by the regulations
  - d. All of the above
  
2. Which of the following is not an export under the EAR and / or ITAR?
  - a. Shipment of covered goods or articles out of the country
  - b. Verbal or visual disclosure of covered technology/software/data to a foreign national anywhere
  - c. Shipment of covered goods or articles to a U.S. citizen at a destination in the U.S.
  - d. Electronic or digital transmission of covered goods or articles to a foreign national or destination
  
3. What statement below describes a “dual-use” item?
  - a. An item that has been used by more than one person
  - b. An item that has both commercial and military applications
  - c. An item that takes more than one distinct manufacturing step in production
  - d. An item that has more than one specific function for use
  
4. What is a “deemed export?”
  - a. Shipment of covered goods or articles to a foreign destination
  - b. Traveling out of the U.S. carrying a laptop with covered information on it
  - c. Release of covered technology or source code to a foreign national in the U.S.
  - d. Attending a scientific conference in a foreign country
  
5. Fundamental research is “exempted” from the export controls regulations, and is broadly defined as:
  - a. Preliminary research that is used as a basis for future projects or products
  - b. All research activities that are performed in academic settings
  - c. Research that is performed by a small and exclusive team of scientists
  - d. basic or applied research where the resulting information is ordinarily published and shared broadly in the scientific community

6. Which of the following actions will negate the fundamental research exemption?
  - a. university or researcher accepts any restrictions on publication of information
  - b. university or researcher has accepted a transfer of information from another sponsor or provider and have agreed that the sponsor or provider may restrict university publication
  - c. Research is federally funded and specific access and dissemination controls have been accepted by the university or the researcher
  - d. All of the above
  
7. Which of the following is false about taking some covered items when you travel out of the country?
  - a. usual and reasonable kinds and quantities of tools (commodities and /or software) for use by the exporter (faculty) or employees of the exporter while out of the country are called “tools of the trade”
  - b. Laptop computers are not considered controlled commodities so there are no restrictions to their transport or use overseas.
  - c. You may not sell or discard a covered item while traveling out of the country
  - d. The “tools of the trade” must remain under effective control of the exporter i.e. retain physical possession of the item, locked in the hotel safe, or otherwise guarded
  
8. Which of the following statements about the Bona Fide Employee Exemption (ITAR 125.4(10)) is false:
  - a. It is a specialized benefits package for non-US citizens working on ITAR covered technologies
  - b. It allows “Disclosures of unclassified technical data in the U.S. by U.S. colleges to foreign persons who are their bona fide and full time regular employees.”
  - c. Employees must be in permanent residence in the U.S. during the period of the activity to be eligible for the exemption.
  - d. The recipient of the exemption is not a student or a national of a prohibited country
  
9. What is the purpose of a written Technology / Export Control Plan (T/ECP) for export controlled materials
  - a. Define the long-term goals of your covered activity
  - b. Use it in the body of your extramural funding application
  - c. Keep all of your multi-national research team informed about specifics of your laboratory security
  - d. Prevent exportation of covered items, products information or technologies to unauthorized persons.

10. Which of the following is true about bringing or shipping equipment and/or supplies to research sites?
- a. Traveling outside the U.S. with your field equipment and/or shipping your field equipment to your research site may require an export license.
  - b. A license will ALWAYS be required if the item/technical information is subject to ITAR regardless of destination.
  - c. A license MAY be required if the item/technology is subject to EAR. The details of the export need to be reviewed to determine if there is an applicable license exception or if a license is required.
  - d. All of the above..
11. Which best describes when a foreign national may be able to access export controlled items within the US?
- a. Conflict of Interest
  - b. Deemed Export
  - c. Recognized Export
  - d. Research Export
12. International Traffic in Arms Regulations (ITAR) are controlled by the:
- a. United Nations
  - b. U.S. Department of State
  - c. U.S. Department of Homeland Security
  - d. Bureau of Alcohol, Tobacco, and Firearms
13. Examples of University activities where an Export Control review is required:
- a. Traveling overseas on University business (e.g., conferences, conducting field work, international symposia)
  - b. Shipping (or “hand carrying”) anything to a location outside the United States
  - c. Visits or tours of research facilities by foreign persons
  - d. All of the above
14. Regulates the transfer of items/services of value to embargoed nations and implements economic sanctions focus on end-user or country
- a. Directorate of Defense Trade Controls (DDTC)
  - b. Bureau of Industry and Security (BIS)
  - c. Office of Foreign Assets Control (OFAC)
  - d. None of the above.

15. A foreign person is anyone who:
- a. Is not a U.S. citizen; or
  - b. Is not a U.S. permanent resident (or “green card” holder); or
  - c. is not a “protected immigrant” (that is, someone who has been granted refugee or asylum status).
  - d. All of the above.
16. Under U.S. export control laws, which of the following is an export? Select all that apply.
- a. Emailing technical documents to a collaborator in France.
  - b. Hand-carrying your university laptop on an international flight.
  - c. Discussing project (not classroom)-related information with a student who is not a U.S. person.
  - d. All of the above.

Answers

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| 1. D | 8. a  |
| 2. C | 9. d  |
| 3. B | 10. a |
| 4. C | 11. b |
| 5. D | 12. b |
| 6. d | 13. d |
| 7. b | 14. c |
|      | 15. d |
|      | 16. d |