

# Visitor E.C. Review

University of Pittsburgh  
Export Controls Services  
EChelp@pitt.edu

This form should be completed by the PITT employee hosting/supervising the Visitor. Upon completion, please email this form to the Export Controls team ([EChelp@pitt.edu](mailto:EChelp@pitt.edu)) along with copies of the [Restricted Parties Screening](#) results for all the Visitors named in this form.

## **PITT EMPLOYEE SUBMITTING THE FORM**

<b>Name(s)</b>	
<b>Email and phone number</b>	
<b>Department</b>	

## **PITT EMPLOYEE HOSTING/SUPERVISING THE VISIT**

<b>Name(s)</b>	
<b>Email and phone number</b>	
<b>Department</b>	

## **VISIT**

<b>Date(s)</b>	
<b>Campus location(s) visited</b>	
<b>Reason/Purpose of the Visit</b>	<u>Brief Description:</u>

## **SUBMISSION TERMS:**

Through submission of this form, the Pitt employee hosting/supervising the requested visit is recognized as having answered accurately and completely all the questions listed. The Office of Export Controls Services is available if the host or the employee submitting the form has any questions. Clearance by the Export Controls Official is required for all Visitors coming onto campus to participate or collaborate in Pitt research. Both the employee and the host need be familiar with the important information listed on the last page of this form before submitting.

For Use by the Office of Export Controls Services		
Restricted Parties Screenings (RPS) completed on:	No Red Flags	Red Flags
Comments:		
Final Decision:	NLR	License may be required
Made on:	by: Allen DiPalma	Chuck Lyon

## **NEXT STEPS:**

Once the Visit has been reviewed and cleared by the Office of Export Control Services, please follow the current policies and procedures in place for hosting Visitors. In cases where a Visitor Agreement is necessary, Visitor Agreement templates can be found on the Provost's Office website at: <http://www.provost.pitt.edu/faculty-affairs/index.html>.

**A. VISIT – RESEARCH BASED ACTIVITIES**

1. Is the prospective Visit:

Initiated by Pitt?

Initiated by the Visitor(s)?

Please describe how this Visitor was selected (i.e. *direct solicitation* - you received an email from the Visitor and you didn't know him/her before; *recommendation* - by one of your colleagues or collaborators; *collaboration* - MoU with Visitor's Institution, etc.).

2. Please describe in detail the research the Visitors will conduct on the Pitt campus - *technical scope; major technologies involved; whether the results will be taught, published or shared with the interested public; confidentiality restriction if any; etc.:*

3. If this is externally sponsored research, please provide all the project identification number(s) (i.e. research cost accounting or InfoEd numbers) currently known:

4. Is any technology or technical data that will be released to the Visitors unpublished, subject to publication/dissemination restrictions, or subject to other access restrictions (such as off-limits to foreign nationals) at the time of its release?

YES

NO

If yes, please describe.

5. Will any software source code be released to the Visitors?

YES

NO

If yes, please describe.

6. Will the Visitors be provided access to technical data or technology from a third party for which a confidentiality agreement is in place?

YES

NO

If yes, please describe.

7. Will the Visitors be provided access to equipment specifically/specially designed or developed for military or space applications?

YES

NO

If yes, please describe.

9. Will the Visitors conduct any other type of activities on the Pitt campus that were not disclosed on the first page?

YES

NO

If yes, please describe.

**ADDITIONAL INFORMATION**

Please provide as much details as you can or any additional information you feel is helpful:

**B. VISITORS**

Departments/Schools hosting Visitors are responsible for performing Restricted Parties Screening (RPS). Please conduct **RPS for both the individuals and their current employers/institutions**. For more information on how to access and perform a RPS, please visit our website: <http://www.export.pitt.edu/restricted-parties>

When sending the E.C. review packet to the E.C. team, please attach to your email copies of the RPS results (PDF version) along with this *Visitor – E.C. review form*.

Name(s) (as it appears on passport)	List ALL Citizenships + Permanent Residency statuses	Name and address of current employer(s)/institution(s)

## Export Compliance

The University of Pittsburgh (“Pitt”) and its employees are required by U.S. federal laws to comply with the U.S. Export Controls Regulations. When welcoming foreign Visitors, it is the responsibility of the Pitt employee (whether faculty or staff) hosting the Visit, to ensure that sufficient controls and supervision are implemented so no export or deemed-export of controlled items, technology or software occurs. Sanctions for violating the Export Controls Regulations are severe and can result in both civil and criminal penalties for the University as well as its employees.

Below is a summary of some Export Controls requirements that you should be aware of\*:

- **Facilities:**

- Visitors who are on the campus for a “Speaking Engagement” or a “Brief Escorted Visit”: These visitors should be admitted only to University of Pittsburgh facilities and venues that are open to the Public. Visitor access to restricted or security-controlled areas (e.g. rooms equipped with a badge or key card access system) should not be permitted without first obtaining written approval from the Pitt department or area responsible for the controls.
- Visitors who are conducting “Research” on the University of Pittsburgh campus: The Office of Export Control Services needs to evaluate all situations involving prospective visitors who wish to conduct research on our campus. The attached form should be completed and submitted in advance of any Visit so a review can be performed and an official clearance can be issued.

- **Research:**

The University of Pittsburgh is currently a Fundamental Research only institution meaning all research results are free from publication restrictions. Visitors are permitted to access **data/information resulting from** Fundamental Research, under the supervision of the responsible Pitt faculty member. For more information about publicly available information and Fundamental Research, please visit our website: <http://www.export.pitt.edu/overview/education-and-research>

- **Confidential and proprietary information:**

Visitors should not be given any internal or third party information about activities, items, technical data or software covered by a Non-Disclosure Agreement (NDA) or a Confidentiality agreement (CDA). Please contact the Office of Export Control Services if you have questions.

- **Technical data and software:**

Only technical data and software that is “publicly available” or in the “public domain” should be discussed and shared with Visitors. This includes, for instance, “educational information” (i.e. *information released through catalog classes or labs at institutions of higher learning*) or “information resulting from Fundamental Research” (i.e. *research data/information arising from fundamental research that will be published or otherwise shared with the public*).

Access and release of technical data or information that is not in the public domain is strictly prohibited.

- **Hardware:**

- Visitors are permitted to operate equipment while on campus for its intended purpose as long as there are no vendor-restrictions placed on the item and the Visitor has passed all required training and clearances applicable for its operation. Proper oversight by the responsible Pitt faculty or staff member is required. Please contact the Office of Export Control Services if you plan to release specific and non-public information necessary for the “development”, “production” or “use” (“use” includes **ALL** of the following elements: operation, installation (including on-site installation), maintenance (checking), repair, overhaul and refurbishing) of an item or equipment, as a license may be necessary to provide such technical data or assistance.
- Visitors are not permitted to transfer or transmit (e.g. shall not take back to their home country) any fungible item without prior review and written approval from the Office of Export Control Services. Note that there is no “publicly available” or “public domain” status for hardware. Therefore, transfer, transmission or shipment of hardware is subject to the U.S. Export Regulations and may require a license prior to making it available to the foreign visitor.

- **Other security measures:**

- If during or following the Visit, a computing device (e.g. flash-drive, computer or hard-drive, etc.), which is not the property of the University, is found and unclaimed, please contact Computing Services and Systems Development (CSSD) without attempting to connect the device to University owned hardware or networks.
- The Office of Export Control Services is also available if questions arise related to questionable behavior/activities exhibited by an approved Visitor.

*\*Please note that this list is non-exhaustive. You must comply with all the requirements imposed by the U.S. Export Controls regulations.*

**Please contact the Office of Export Control Services immediately should any information about the Visit and/or the Visitors change. The Office of Export Controls Services will then assess and advise if a new review is necessary.**

**Learn more.** <http://www.export.pitt.edu/>

**Restricted Parties Screenings (RPS).** <http://www.export.pitt.edu/restricted-parties>

**Trainings.** Pitt employees hosting the Visit should complete the CITI Export Controls modules (<http://www.citi.pitt.edu/citi/> – *Overview* and *OFAC* modules) to allow a better understanding of these laws.

**Get help.** If you have any question, contact the Export Controls team at [EChelp@pitt.edu](mailto:EChelp@pitt.edu).