Electronic Export Controls Recordkeeping Process for Academic Visitors (for STEM-Discipline-Based Visitors)

Office of Export Controls Services

March 2018

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Visitor Information Data Entry Procedures

STEM-Related Visits

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STEM-Related Visits

STEM (Science, Technology, Engineering or Mathematics) disciplines include, but are not limited to:

physics, chemistry, biology, mathematics, statistics, computer science, computational science, psychology, biochemistry, robotics, electrical engineering, mechanical engineering, industrial engineering, information science, information technology, civil engineering, aerospace engineering, chemical engineering, nanotechnology, mathematical biology, operations research, neurobiology, bioinformatics, geographic information systems, atmospheric sciences, educational/instructional technology, software engineering, and educational research.

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STEM-Related Visits

Almost all Health Sciences fields are also considered to be STEM-related disciplines and will fall, if not directly under the "STEM" category, then under the "Health Sciences – Clinical Activities and STEM" category (discussed in the Visit Information section below).

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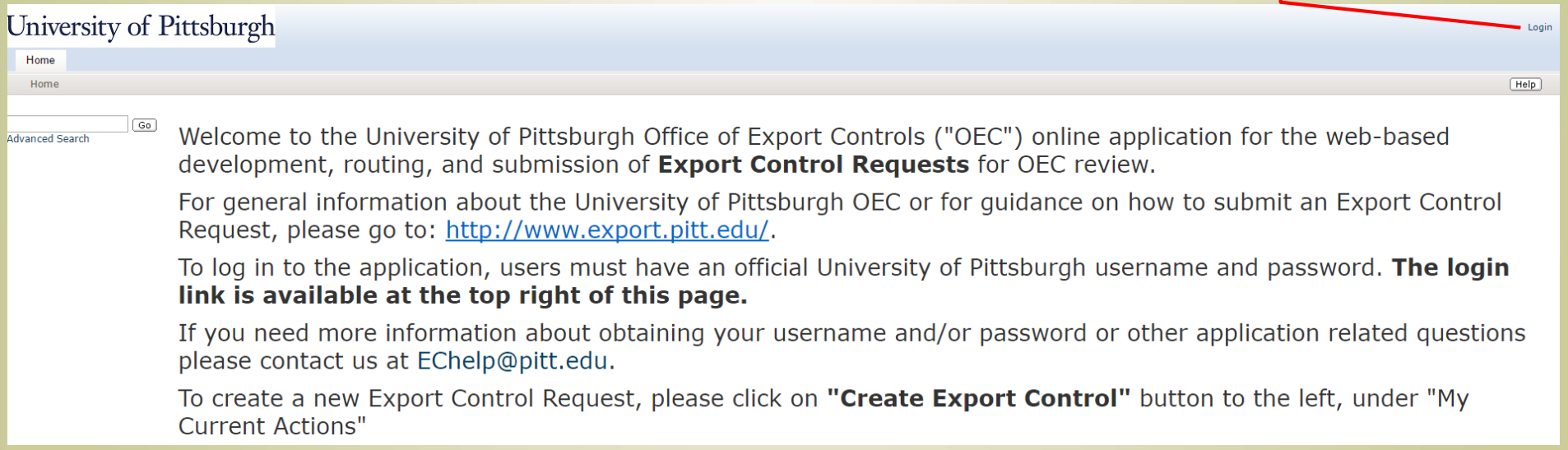
Visitor Information Data Entry Procedures

Accessing the MyEC System

Accessing the MyEC System

The MyEC System is accessed at https://myec.pitt.edu/MyEC

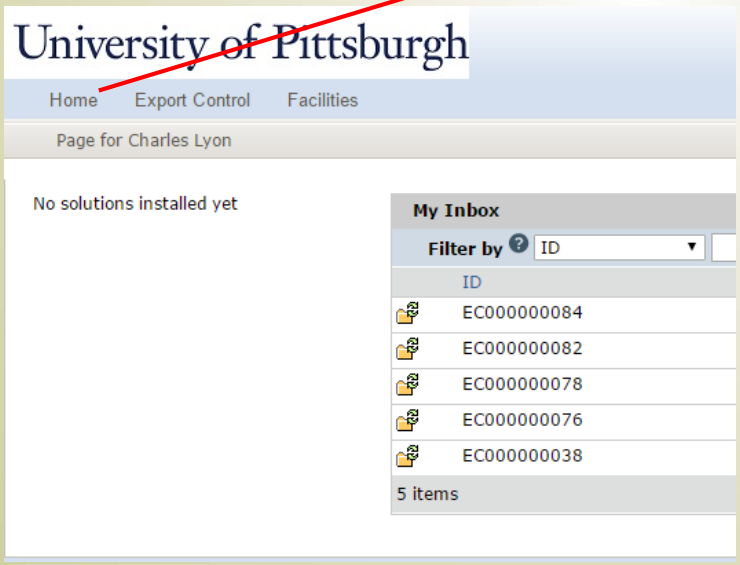
Click on the "Login" button to proceed from the home page.



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Accessing the MyEC System

You will then navigate through the University of Pittsburgh's single-sign-on process. Your MyEC home page will then appear.



Next, click on "Home" in the upper left-hand corner.

Accessing the MyEC System

Finally, click “Create Export Control” in order to initiate the data entry process.



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Visitor Information Data Entry Procedures

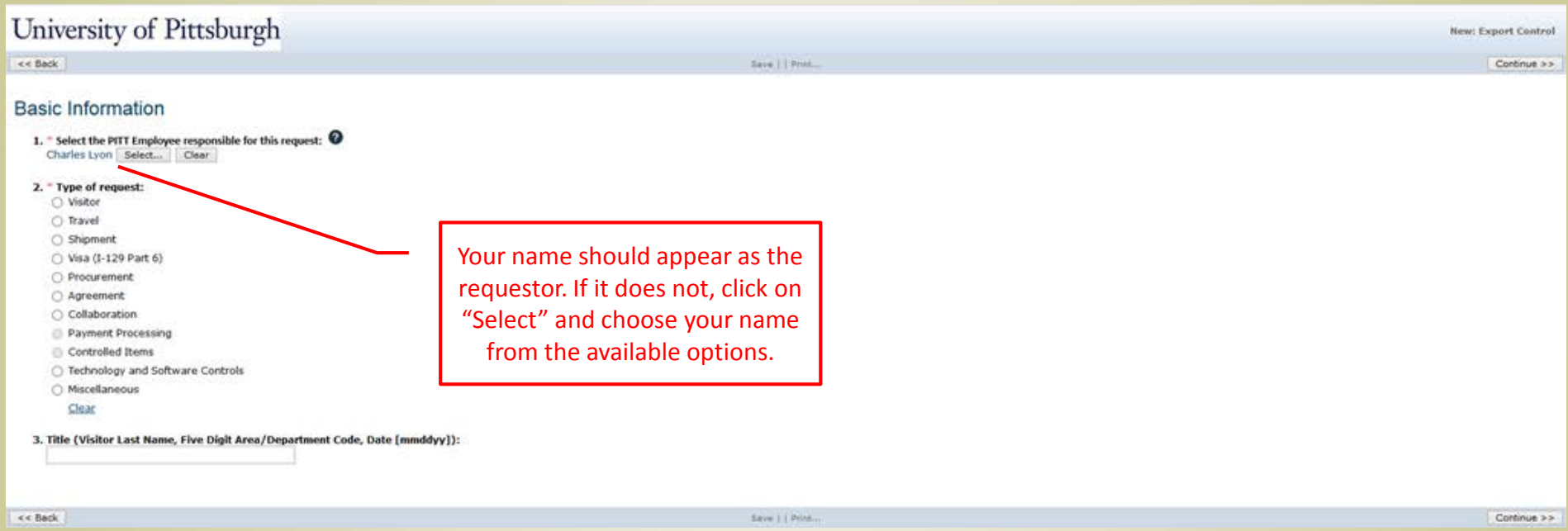
Basic Information

Basic Information

Basic information includes…

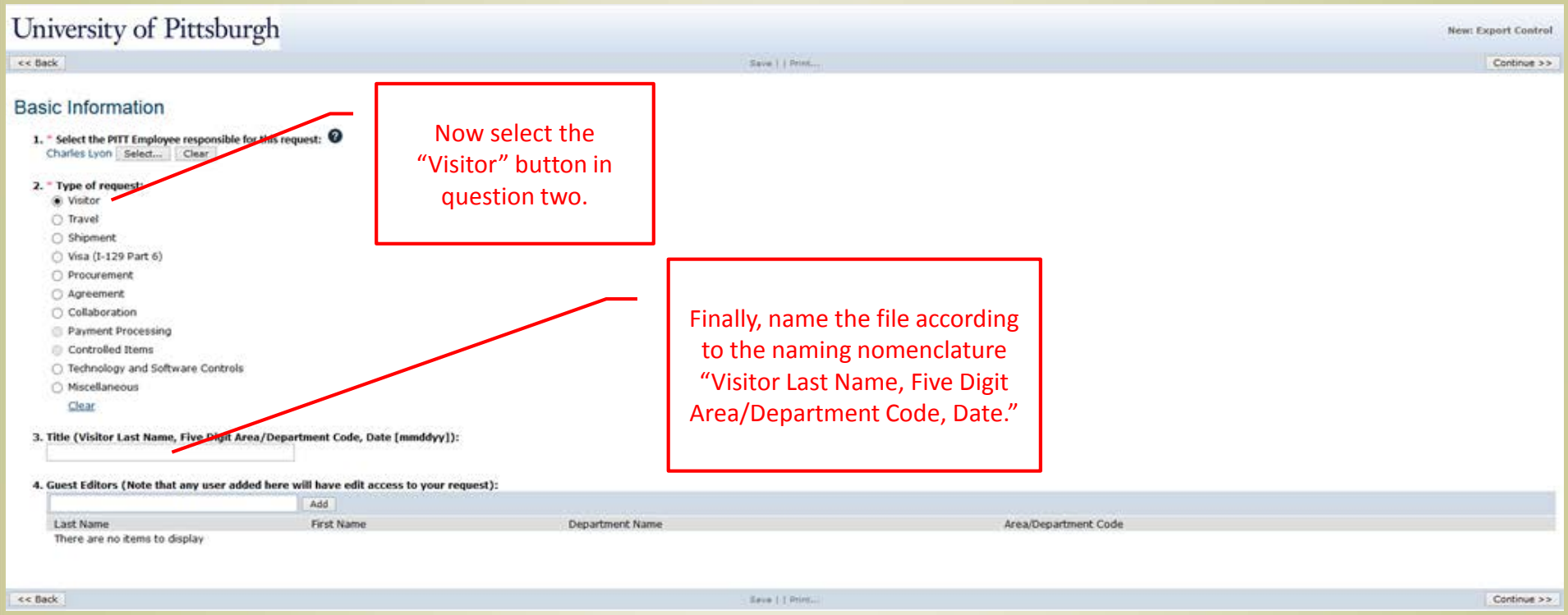
- The name of the individual completing the form;
- The type of request;
- The name of the file;
- And, if necessary, the name of a guest editor who will help complete the form.

Basic Information

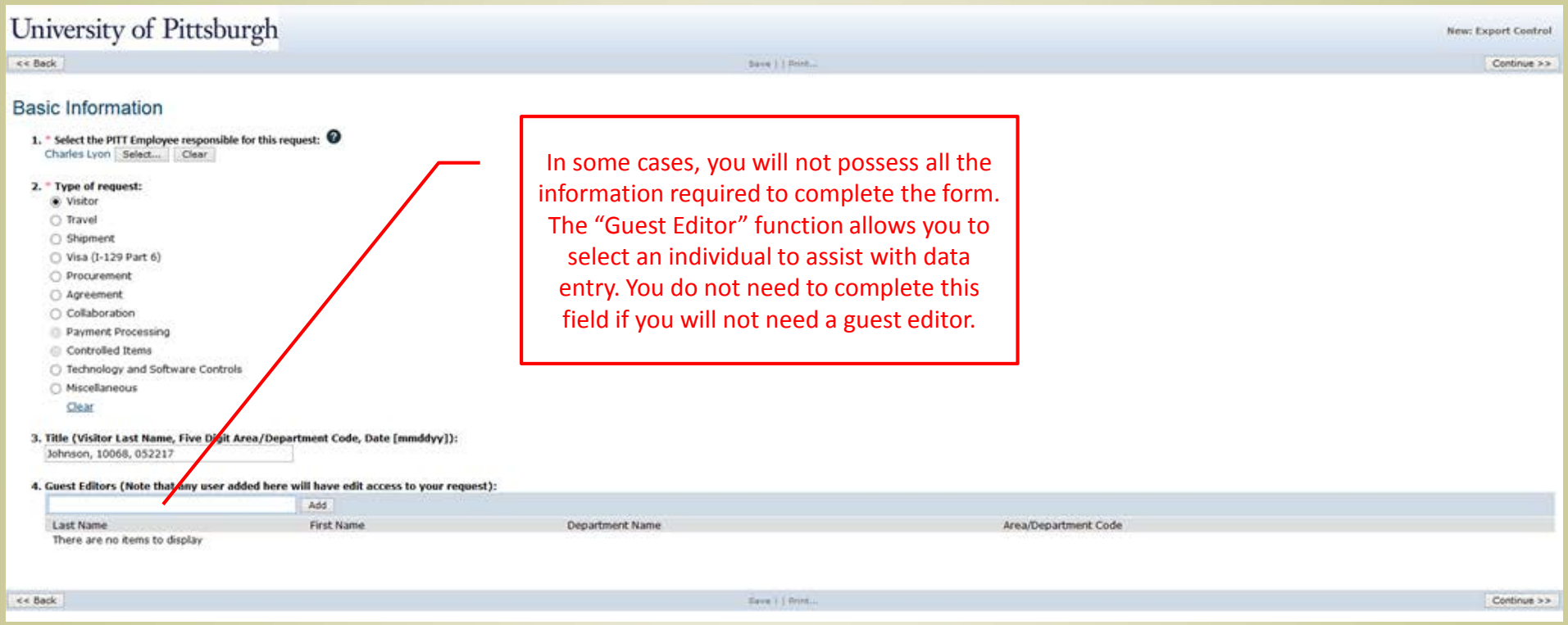


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Basic Information

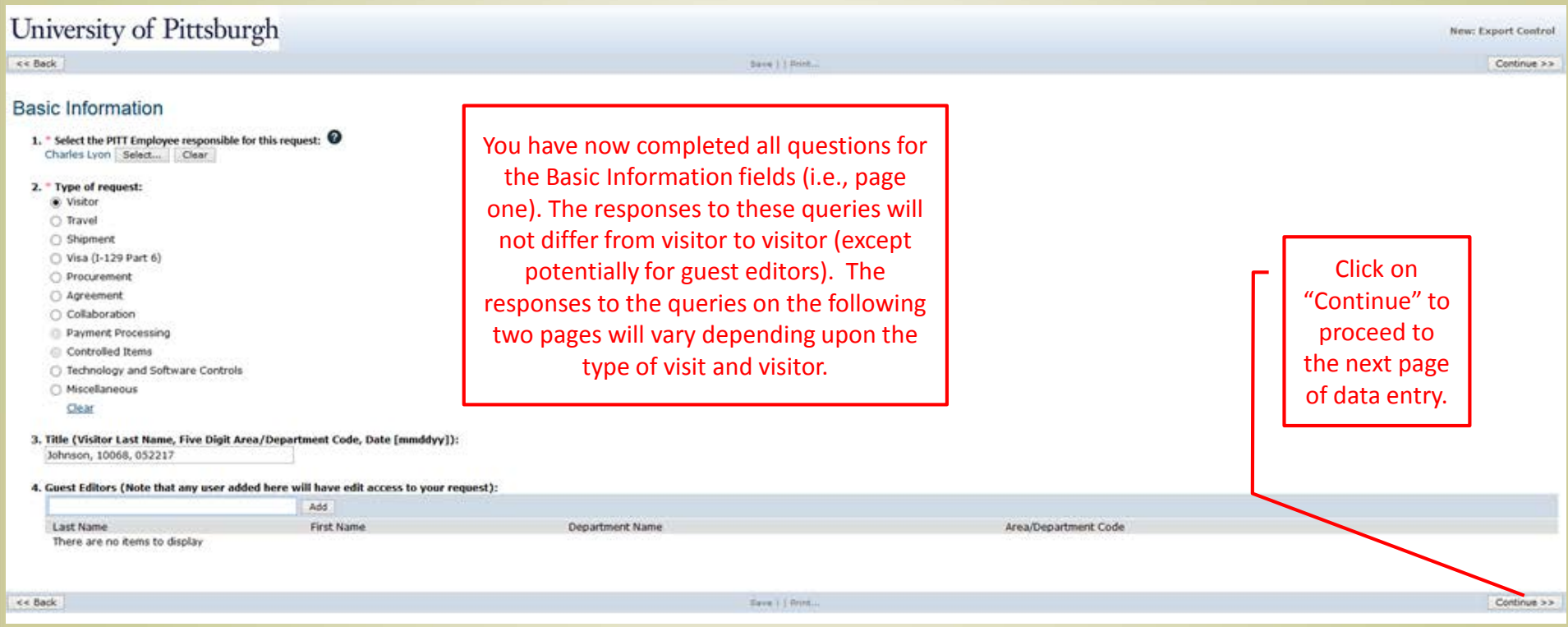


Basic Information



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Basic Information



You have now completed all questions for the Basic Information fields (i.e., page one). The responses to these queries will not differ from visitor to visitor (except potentially for guest editors). The responses to the queries on the following two pages will vary depending upon the type of visit and visitor.

Click on "Continue" to proceed to the next page of data entry.

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Visitor Information Data Entry Procedures

Visit Information

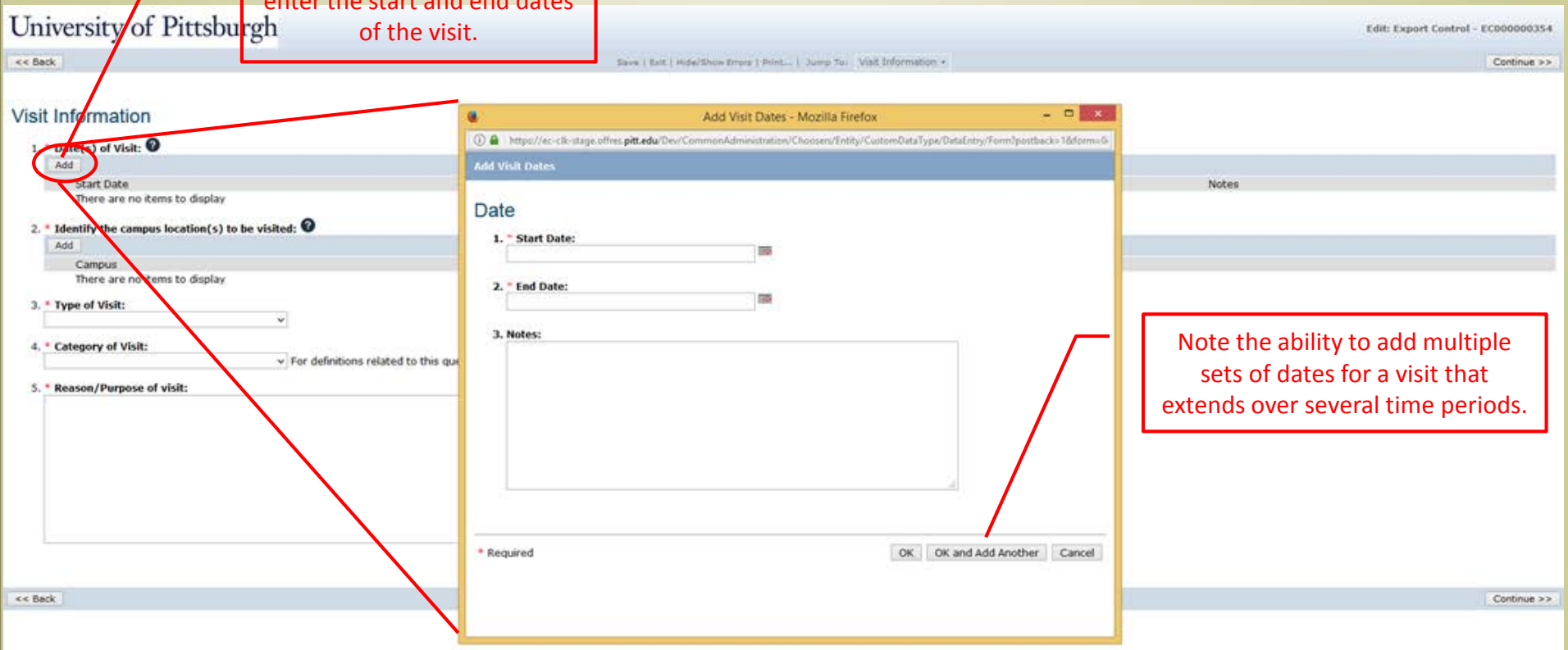
Visit Information

Visit information includes…

- The start and end date of the visit;
- The locations visited;
- The type and category of visit.

Visit Information

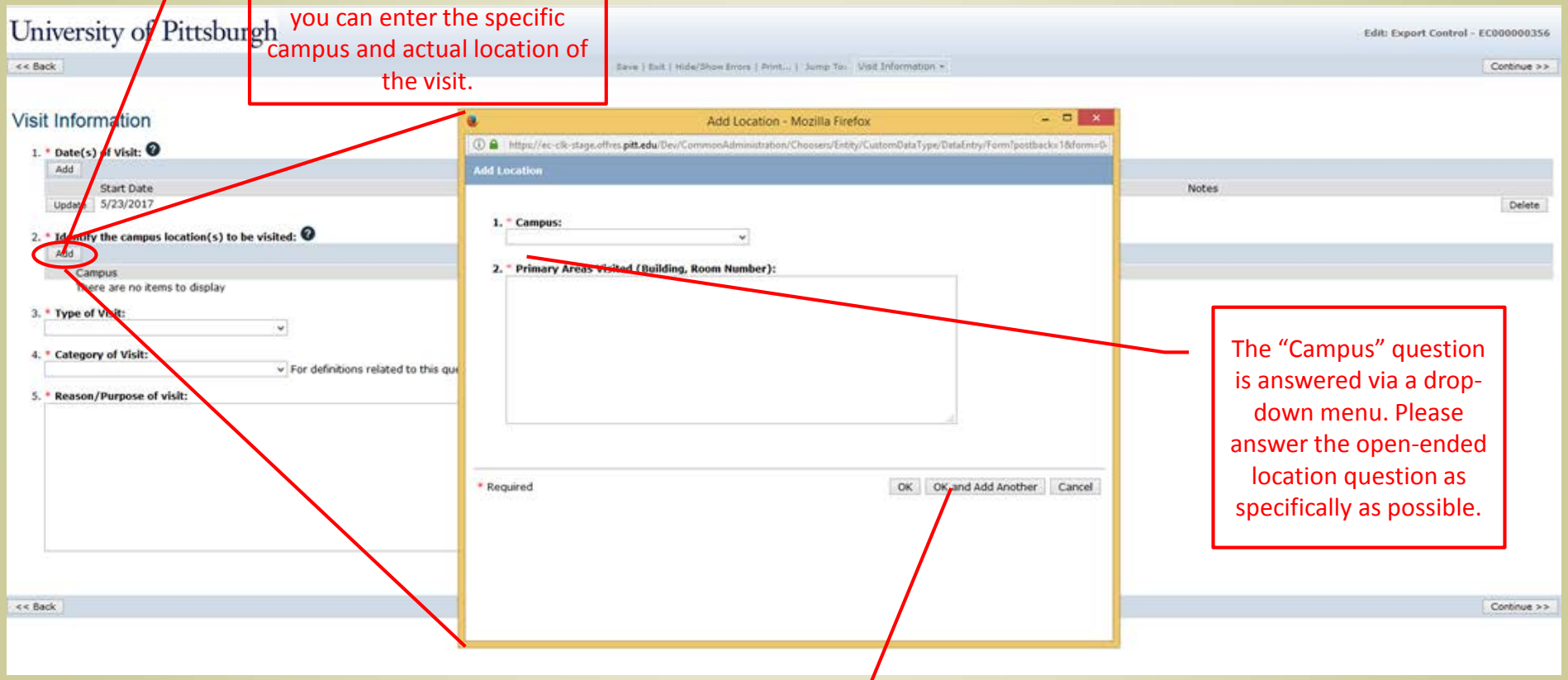
Click on “Add” in question one and a pop-up window will appear, in which you can enter the start and end dates of the visit.



Note the ability to add multiple sets of dates for a visit that extends over several time periods.

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Visit Information



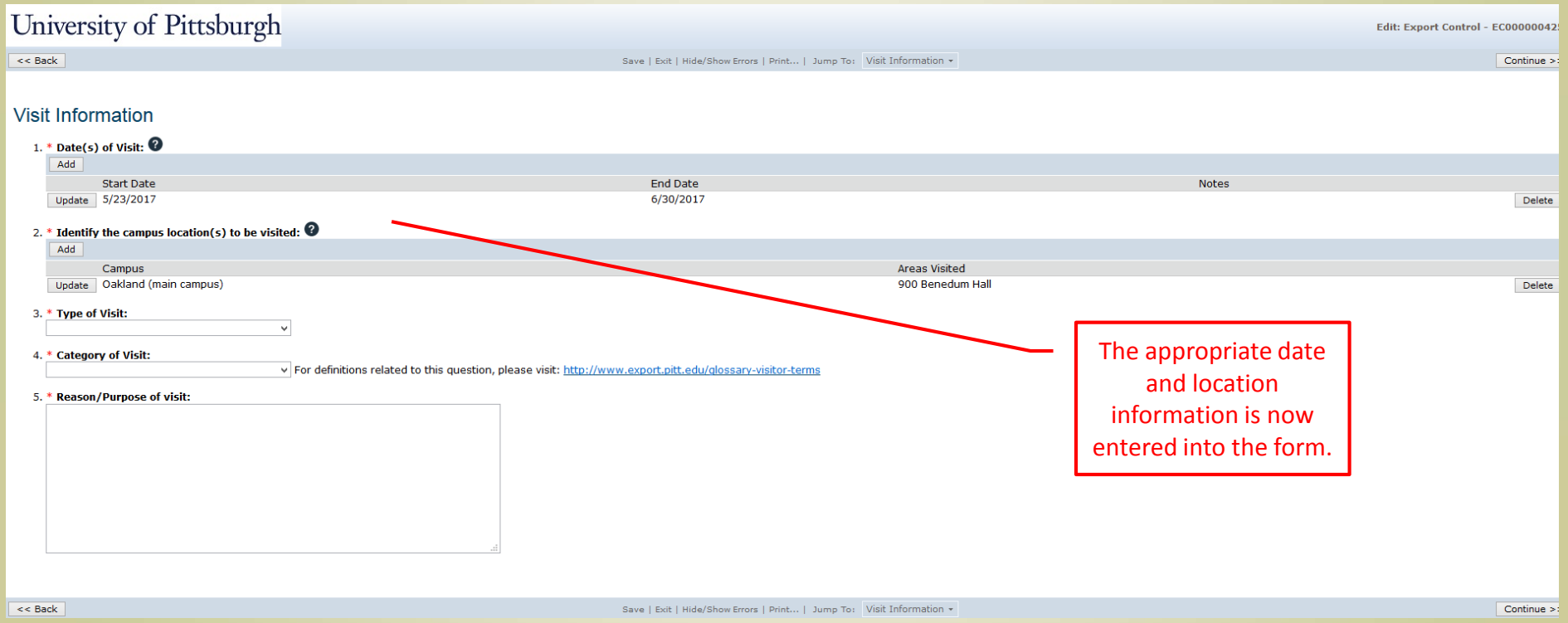
Click on "Add" in question two and another pop-up window will appear, in which you can enter the specific campus and actual location of the visit.

The "Campus" question is answered via a drop-down menu. Please answer the open-ended location question as specifically as possible.

Note the ability to add more than one location.

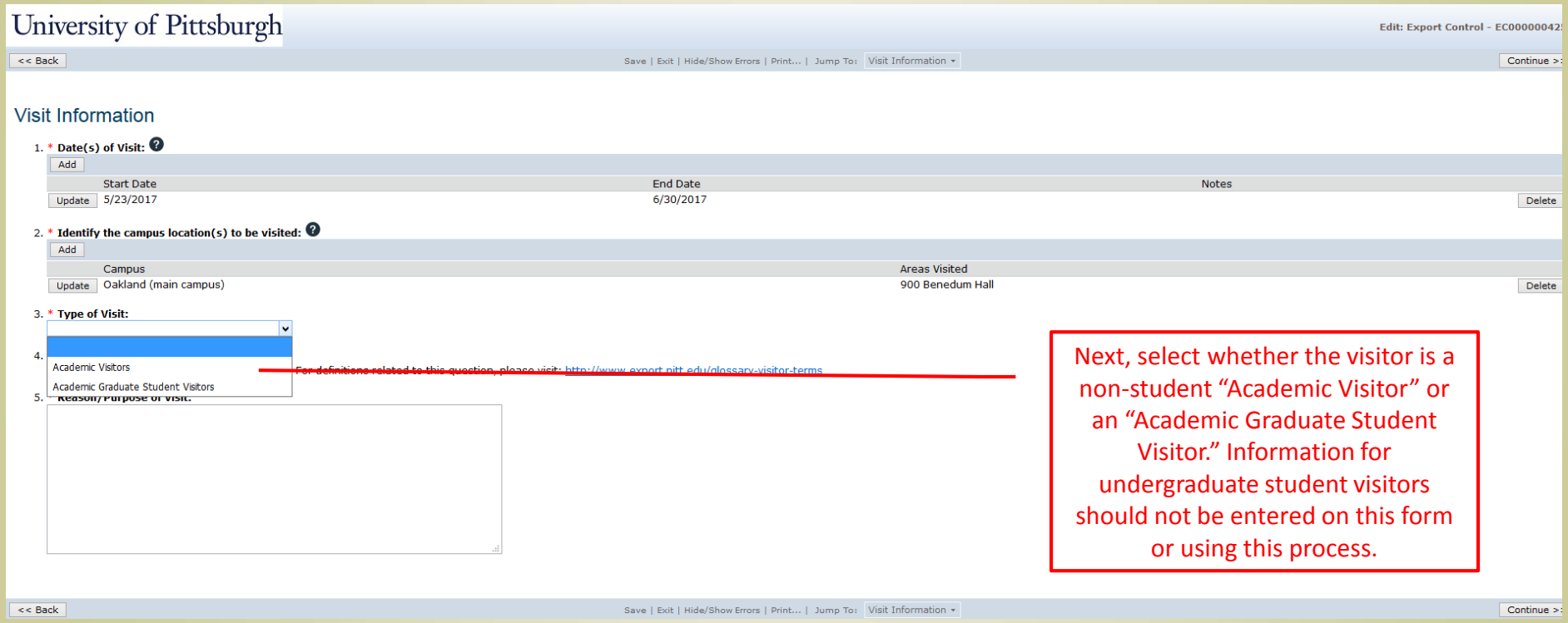
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Visit Information



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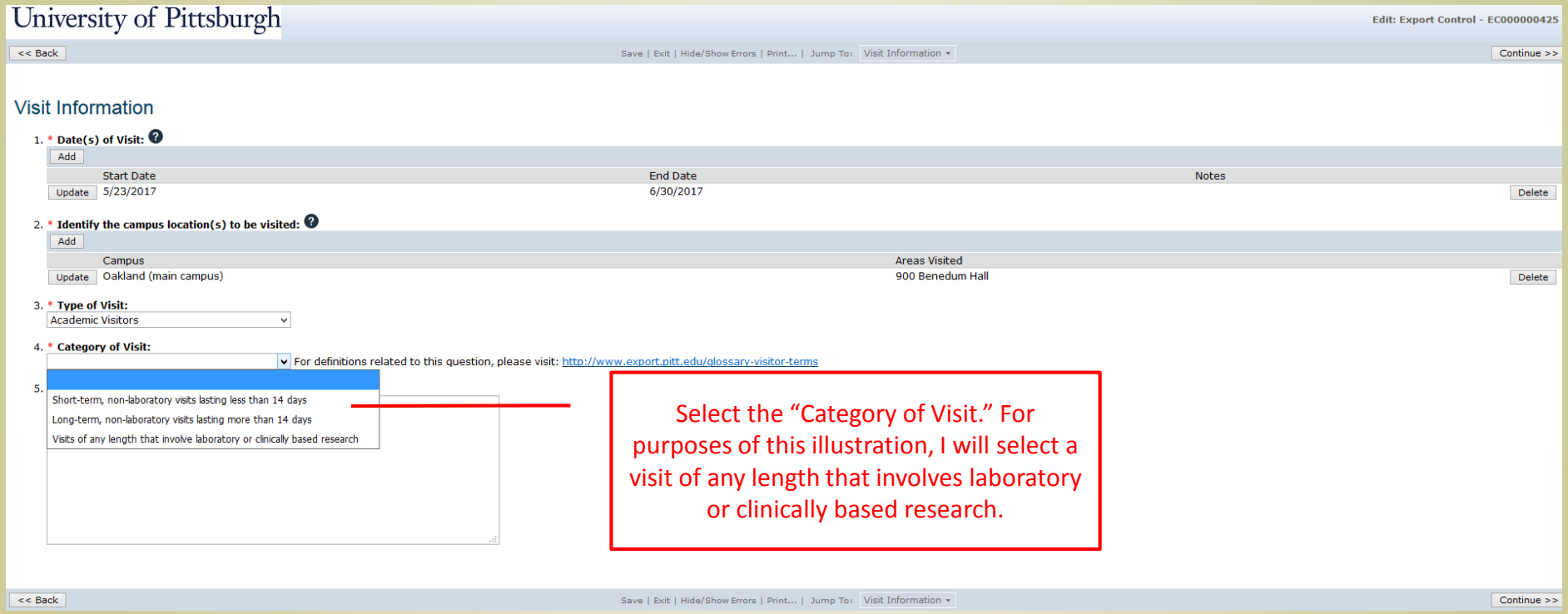
Visit Information



Next, select whether the visitor is a non-student "Academic Visitor" or an "Academic Graduate Student Visitor." Information for undergraduate student visitors should not be entered on this form or using this process.

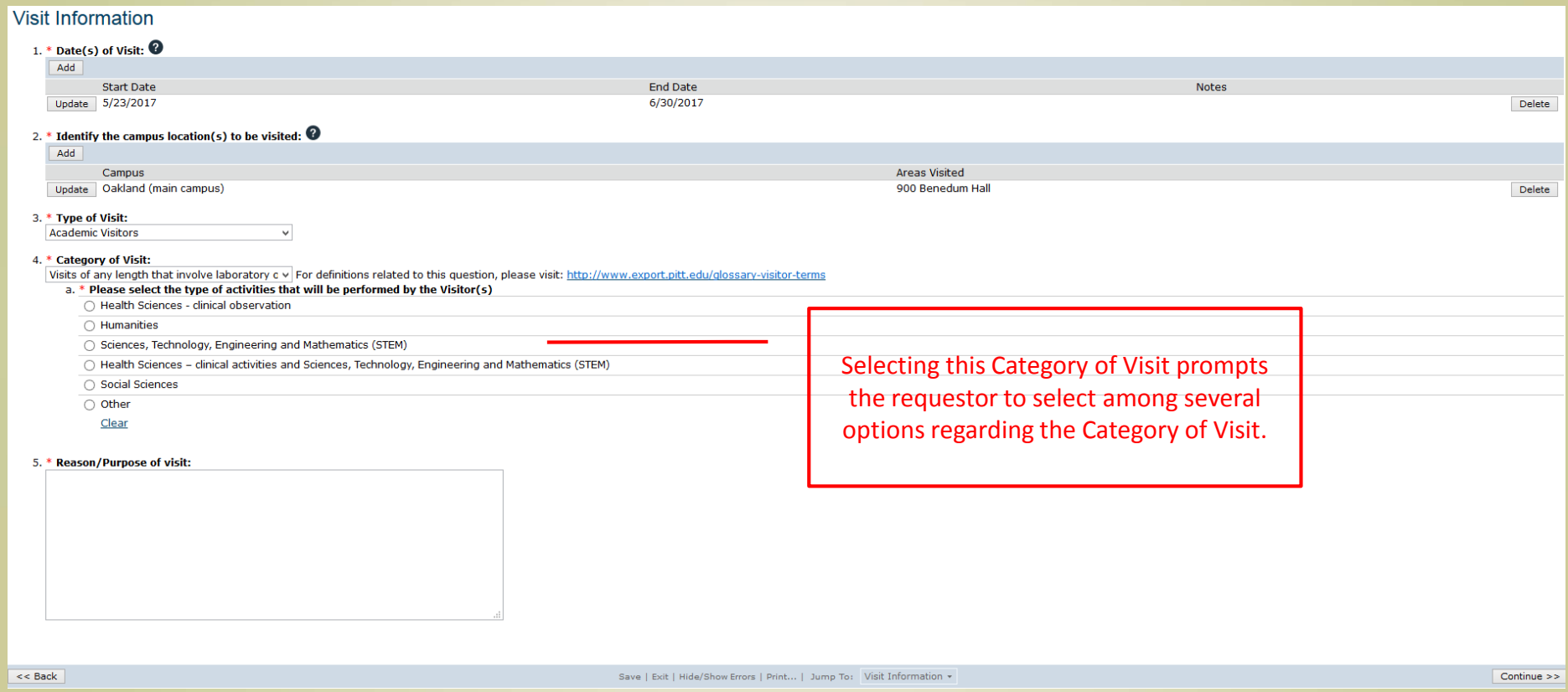
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Visit Information



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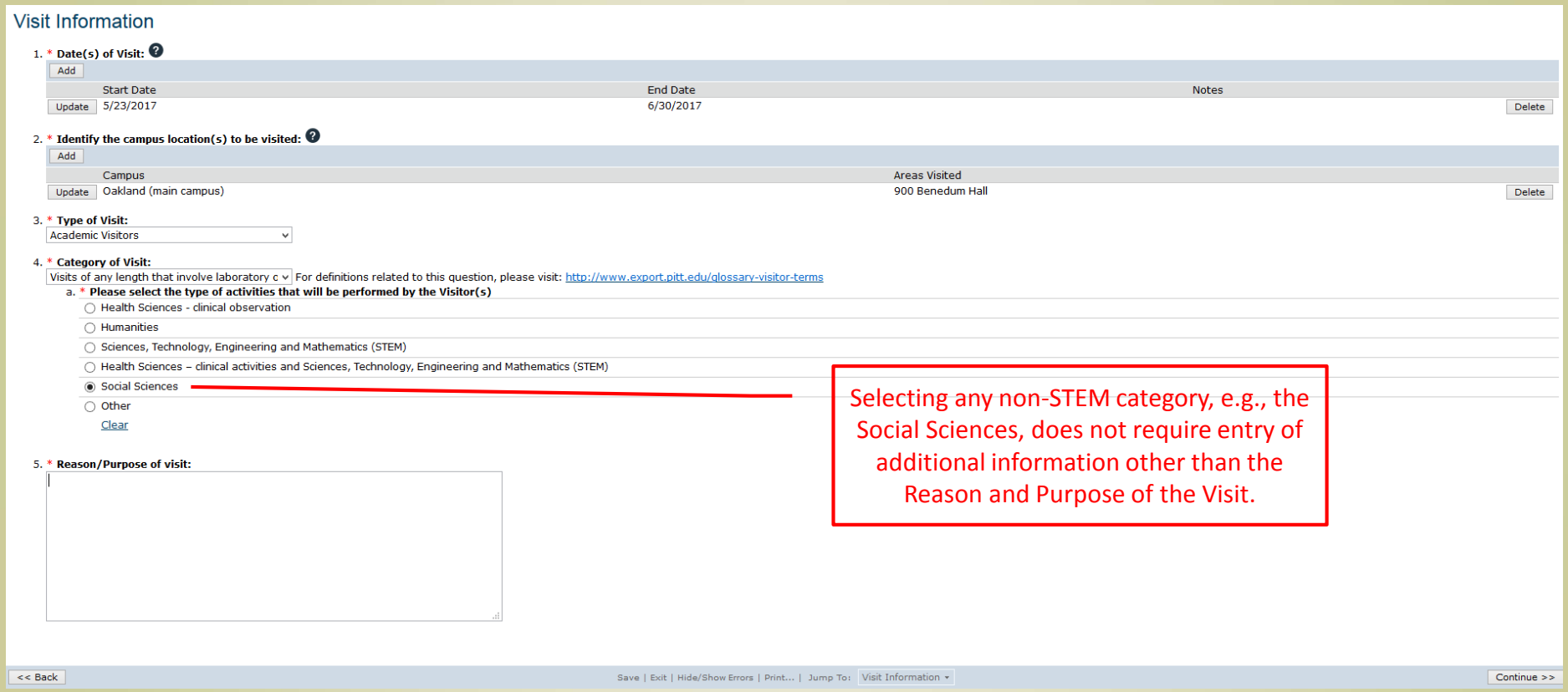
Visit Information



Selecting this Category of Visit prompts the requestor to select among several options regarding the Category of Visit.

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Visit Information



Selecting any non-STEM category, e.g., the Social Sciences, does not require entry of additional information other than the Reason and Purpose of the Visit.

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Visit Information

4. * **Category of Visit:**
Visits of any length that involve laboratory c For definitions related to this question, please visit: http://www.export.pitt.edu/glossary-visitor-terms

a. * **Please select the type of activities that will be performed by the Visitor(s)**

- ○ Health Sciences - clinical observation
- ○ Humanities
- ◉ Sciences, Technology, Engineering and Mathematics (STEM)
- ○ Health Sciences – clinical activities and Sciences, Technology, Engineering and Mathematics (STEM)
- ○ Social Sciences
- ○ Other

Clear

Selecting a STEM category, as I have done here, requires entry of additional information in addition to the Reason and Purpose of the Visit.

b. 1. * **Please describe in detail the research (technical scope; major technologies involved; etc.) the visitors will conduct on the Pitt campus. If the Visitor is going to work on externally sponsored research, please also provide all the project identification number(s) (i.e. research cost accounting or InfoEd numbers) currently known.**

In particular, you must complete questions b.1. through b.8 when your visitor represents one of the STEM or Health Sciences fields. These questions are also the ones that that you, as the requestor, are most likely to need assistance from a guest editor.

2. * **Are all projects the Visitors will collaborate on considered "Fundamental Research"?** ○ Yes ○ No Clear

3. * **Will the results of the Research be taught, published or shared with the interested public?** ○ Yes ○ No Clear

4. * **Are there any restrictions on the Research projects the Visitor will participate/collaborate?** ○ Yes ○ No Clear

5. * **Is any information 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 Clear

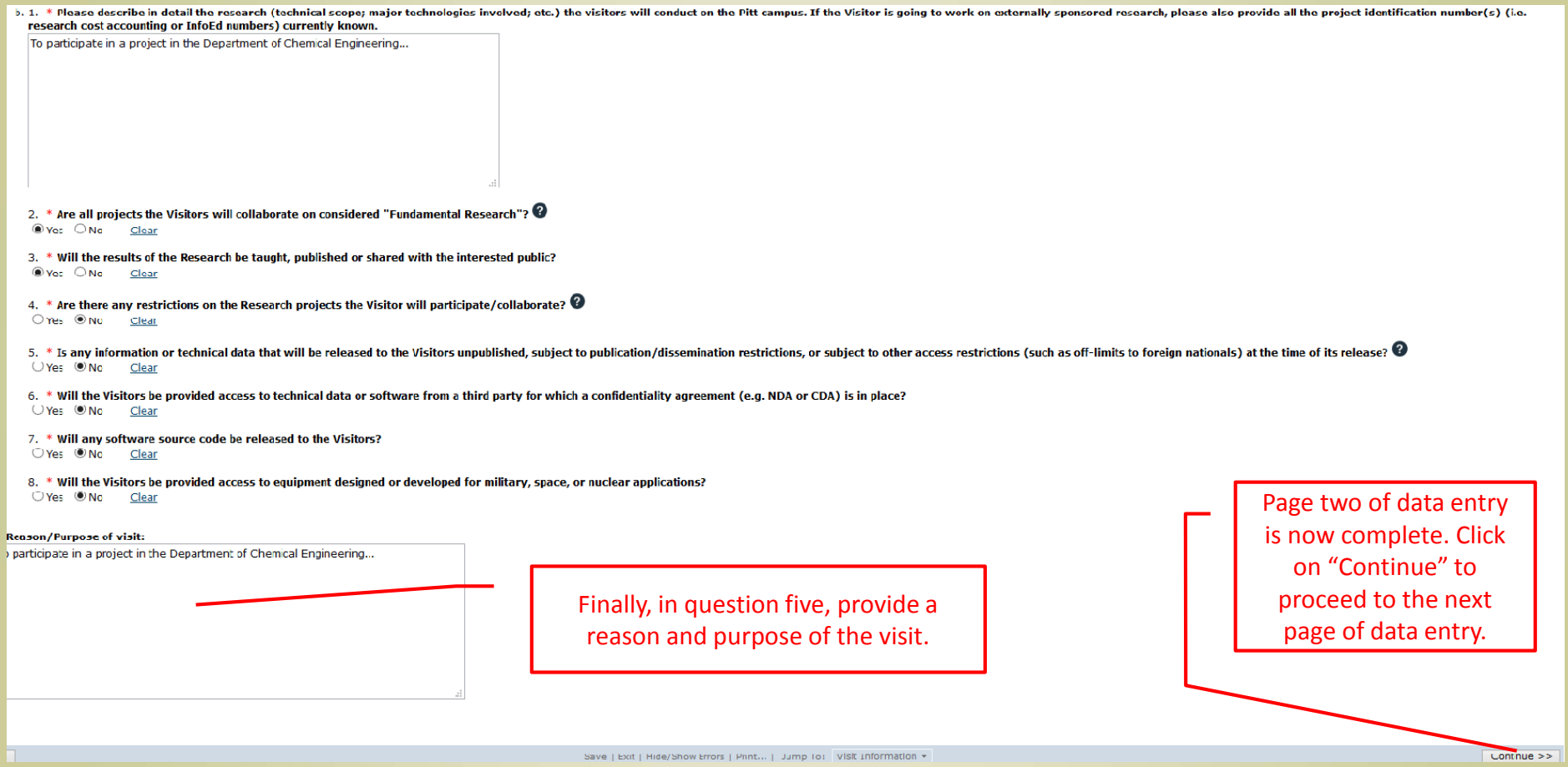
6. * **Will the Visitors be provided access to technical data or software from a third party for which a confidentiality agreement (e.g. NDA or CDA) is in place?** ○ Yes ○ No Clear

7. * **Will any software source code be released to the Visitors?** ○ Yes ○ No Clear

8. * **Will the Visitors be provided access to equipment designed or developed for military, space, or nuclear applications?** ○ Yes ○ No Clear

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Visit Information



Finally, in question five, provide a reason and purpose of the visit.

Page two of data entry is now complete. Click on “Continue” to proceed to the next page of data entry.

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Visitor Information Data Entry Procedures

Visitor Information

Visitor Information

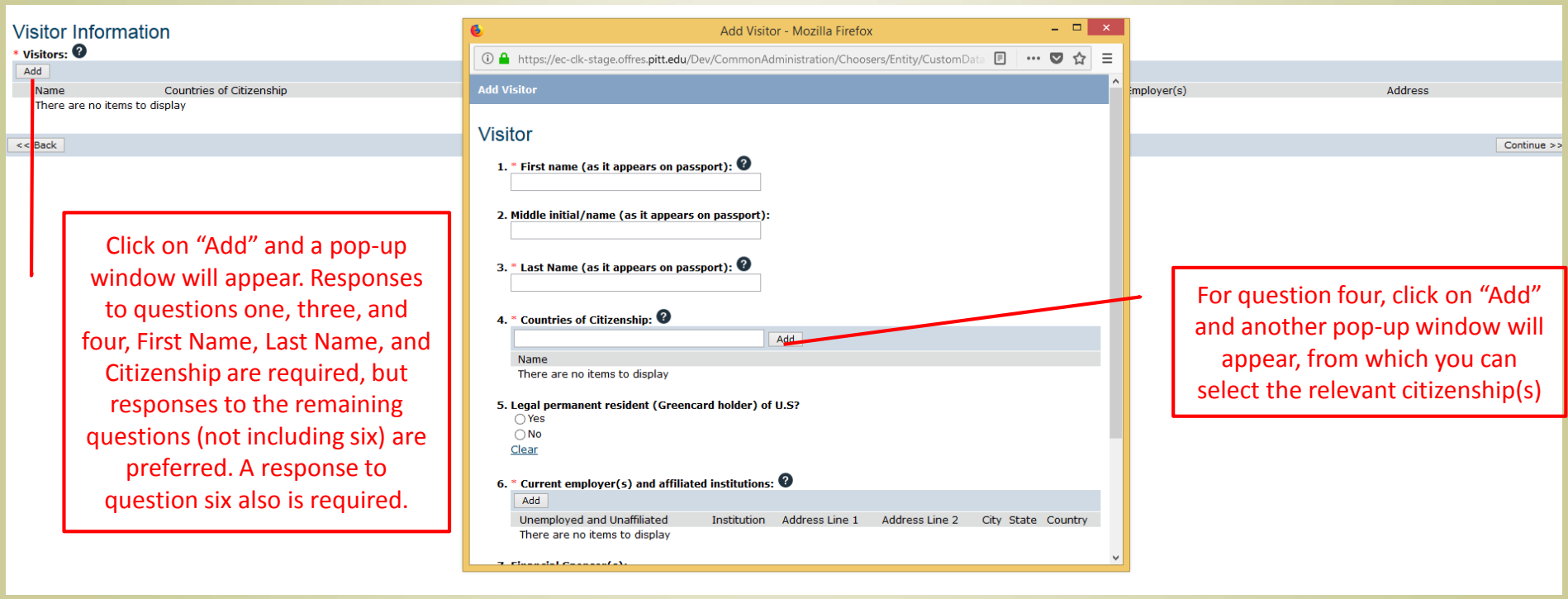
Visitor information includes…

- The visitor's name;
- The visitor's country or countries of citizenship;
- The visitor's employer(s), significant affiliation(s), and/or funding sources.

Please note that all relevant citizenships, employers, affiliations, and funding sources for the visitor should be provided on the form.

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Visitor Information

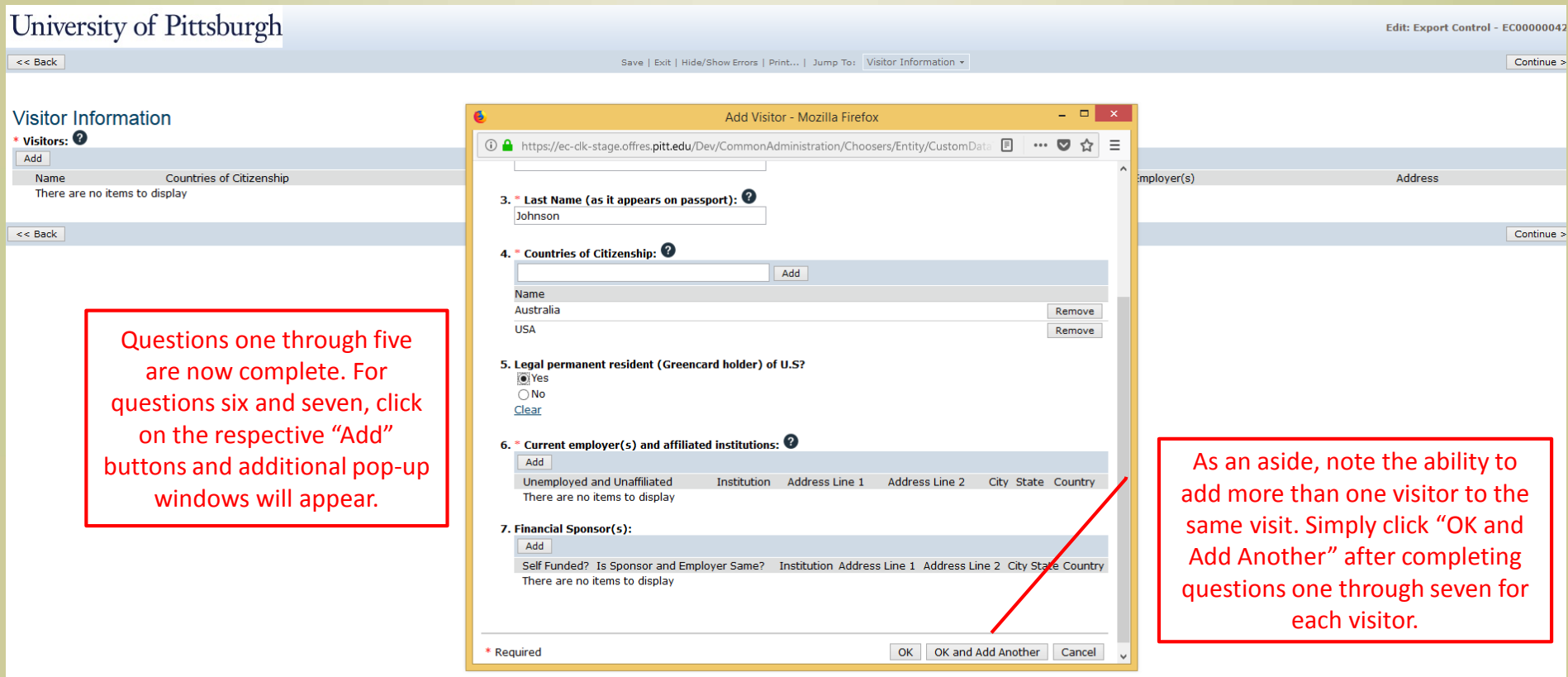


Click on “Add” and a pop-up window will appear. Responses to questions one, three, and four, First Name, Last Name, and Citizenship are required, but responses to the remaining questions (not including six) are preferred. A response to question six also is required.

For question four, click on “Add” and another pop-up window will appear, from which you can select the relevant citizenship(s)

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Visitor Information

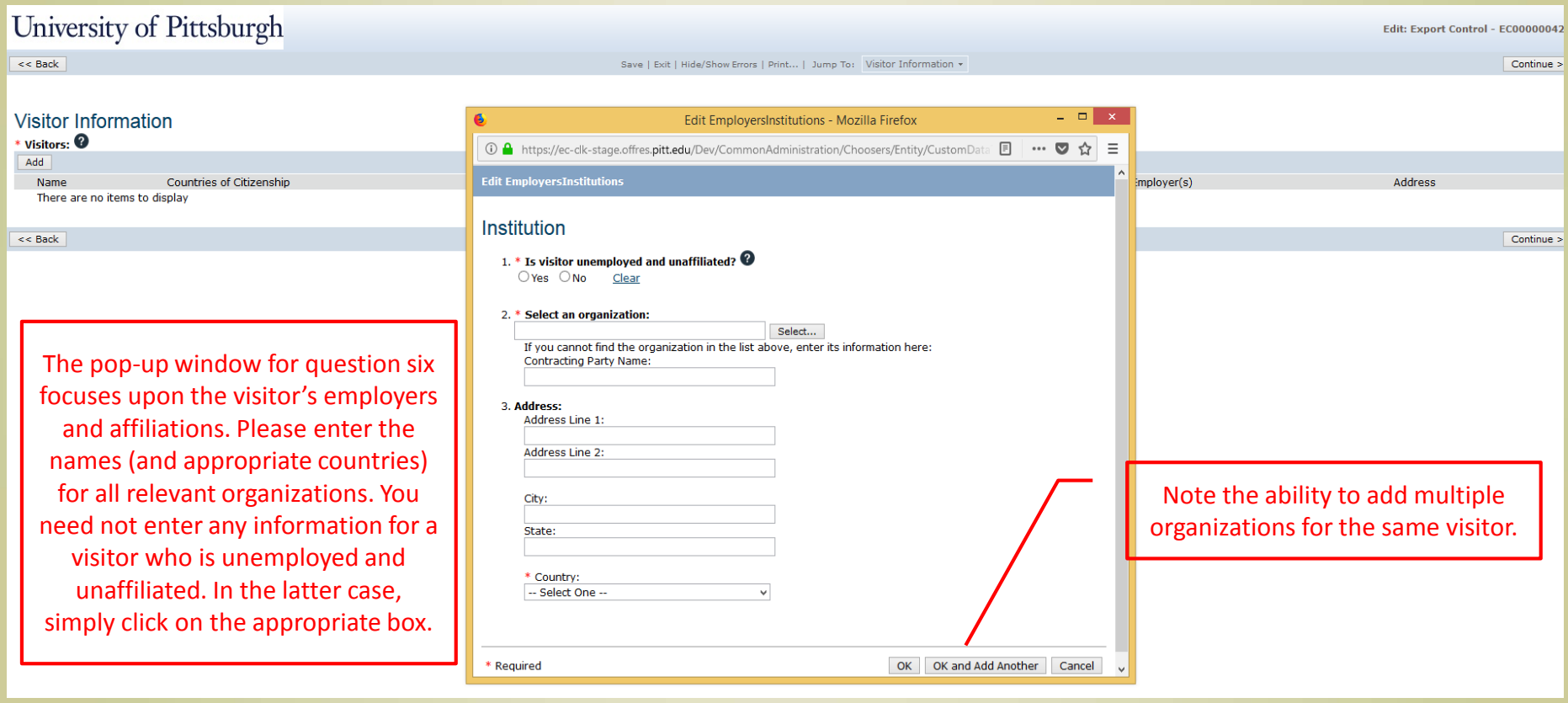


Questions one through five are now complete. For questions six and seven, click on the respective "Add" buttons and additional pop-up windows will appear.

As an aside, note the ability to add more than one visitor to the same visit. Simply click "OK and Add Another" after completing questions one through seven for each visitor.

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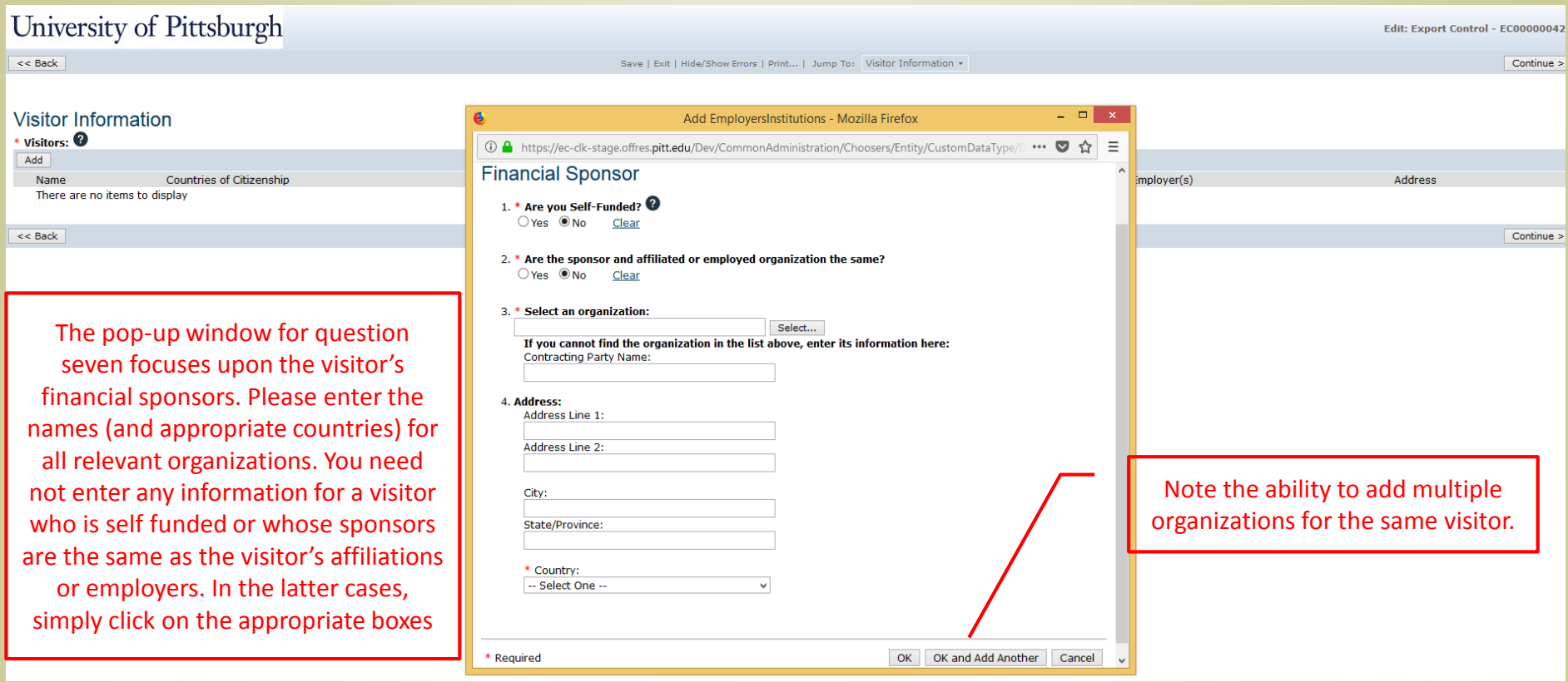
Visitor Information



The pop-up window for question six focuses upon the visitor's employers and affiliations. Please enter the names (and appropriate countries) for all relevant organizations. You need not enter any information for a visitor who is unemployed and unaffiliated. In the latter case, simply click on the appropriate box.

Note the ability to add multiple organizations for the same visitor.

Visitor Information

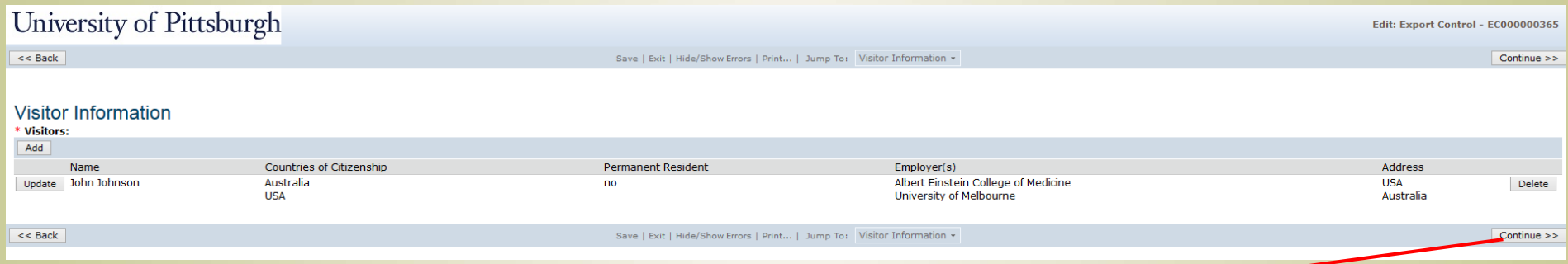


The pop-up window for question seven focuses upon the visitor's financial sponsors. Please enter the names (and appropriate countries) for all relevant organizations. You need not enter any information for a visitor who is self funded or whose sponsors are the same as the visitor's affiliations or employers. In the latter cases, simply click on the appropriate boxes

Note the ability to add multiple organizations for the same visitor.

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Visitor Information



Page three of data entry is now complete. Click on “Continue” to proceed to the final page of data entry.

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Visitor Information Data Entry Procedures

Additional Information

Additional Information

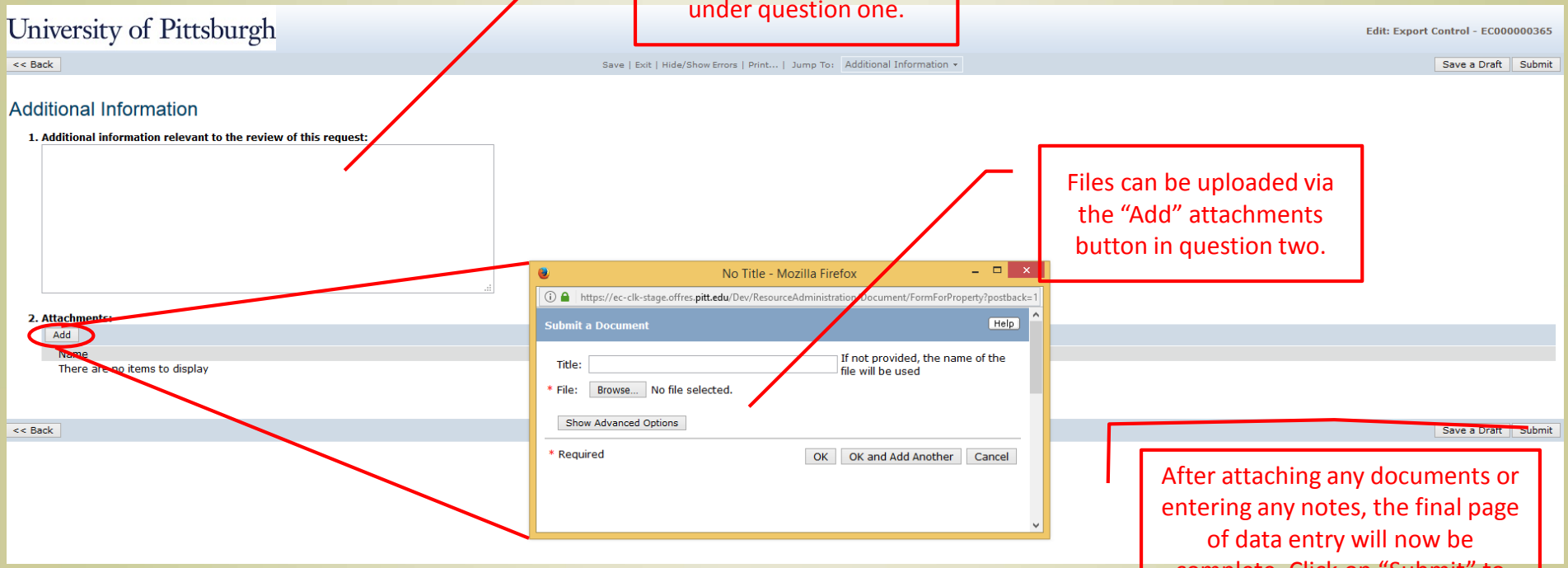
Additional information includes any relevant information that will help the Office of Export Controls make a determination in the case, particularly if the Restricted Party Screening produces a “hit.” Of particular interest are…

- The visitor’s CV;
- The visitor’s passport and/or green card.

This section can also serve as a central repository for staff members to use in the future to refer to important visitor-related documents.

Additional Information

Text notes can be provided in the space allocated under question one.



Files can be uploaded via the “Add” attachments button in question two.

After attaching any documents or entering any notes, the final page of data entry will now be complete. Click on “Submit” to proceed to the next steps.

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Visitor Information Data Entry Procedures

Data Review

Data Review

Clicking “Submit” initiates a restricted party screening (RPS)…

- U.S. Government agencies maintain lists of individuals and entities barred or restricted from entering into certain types of transactions with U.S. persons. Conducting an RPS checks the status of a visitor against these lists.
- The process of conducting RPS is required for laboratory-based visits and should be conducted on the individuals and organizations participating in them.

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Data Review

Clicking “Submit” on the final data-entry page of a STEM- or Health Sciences-based visitor also initiates the process of export control review…

- Export Controls include U.S. laws and regulations that involve the shipment, transfer or disclosure of controlled items, technical data and software to foreign countries or to foreign persons and entities within the U.S.
- These laws aim at protecting the national security, economic interests and foreign policy of the United States.

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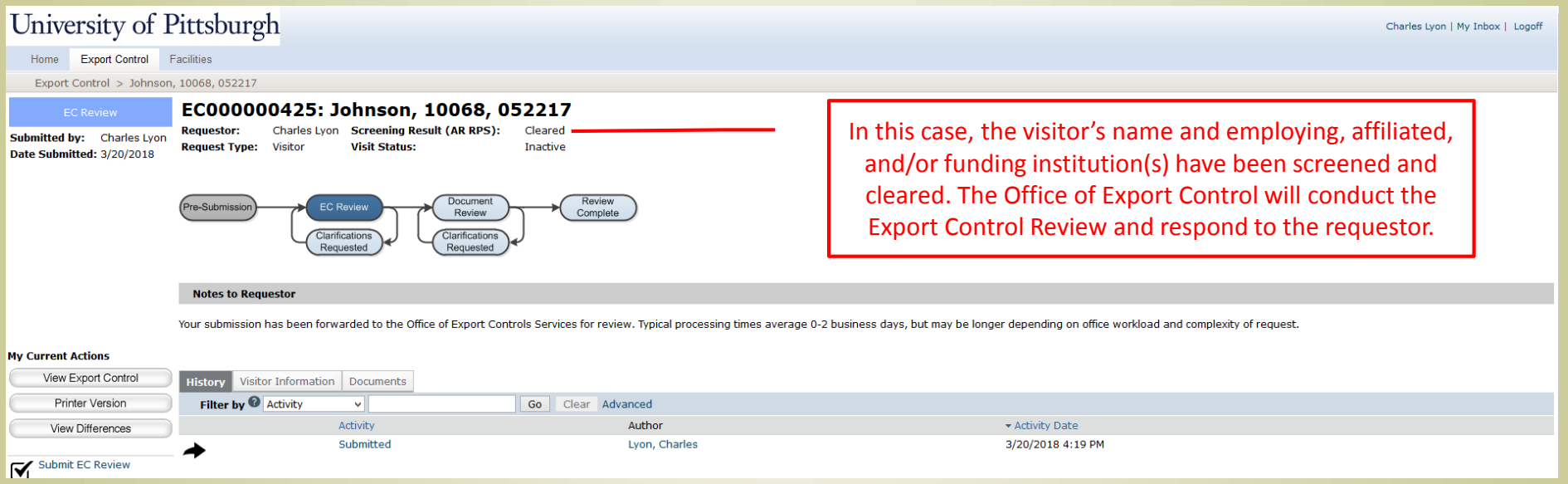
Data Review

Clicking “Submit” on the final data-entry page of a STEM- or Health Sciences-based visitor also initiates the process of export control review (continued)…

- An Export Controls Review is necessary whenever research or other visitor activities involve the use of STEM-based laboratories.
- The information requested in the Export Controls Review (questions b.1. through b.8.) is reviewed by the Office of Export Controls Services in order to determine if any government licenses or other internal controls are needed for the proposed activities.

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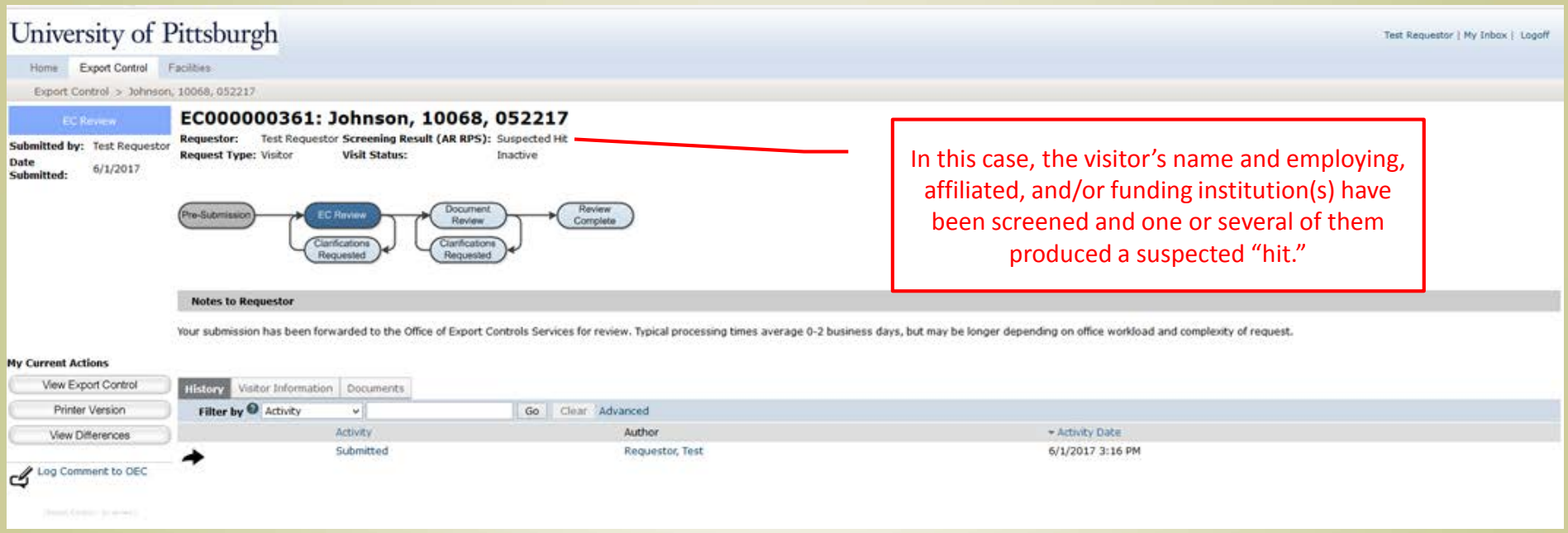
Data Review



In this case, the visitor's name and employing, affiliated, and/or funding institution(s) have been screened and cleared. The Office of Export Control will conduct the Export Control Review and respond to the requestor.

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Data Review



In this case, the visitor's name and employing, affiliated, and/or funding institution(s) have been screened and one or several of them produced a suspected "hit."

In addition to the Export Control Review, further action is required by the Office of Export Controls in order to determine the source of the "hit." The staff member may not invite the visitor until the Office of Export Controls researches the relevancy of the suspected "hit."

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End



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