

* The Japanese version is the authoritative version, and this English translation is intended for reference purposes only. Should any discrepancies or doubts arise between the two versions, the Japanese version will prevail.

Regulations on Security Export Control of Tokyo University of Foreign Studies

[September 24, 2019
Regulation No. 95]

Amended: March 22, 2022 Regulation No.17

Article 1 Purposes

The purpose of these Regulations is to properly implement Export Control Operations by establishing the basic policy for security export control (hereinafter referred to as "Export Control") at the Tokyo University of Foreign Studies (hereinafter referred to as the "University") and establishing an export control system.

Article 2 Scope of application

These Regulations shall apply to any Provision of Technology and Export of Goods to be conducted by the Employees, etc. and Students, etc. of the University in the course of their educational, research or other activities in the University.

Article 3 Definition

In these Regulations, the following terms shall be defined as follows:

- (1) "Foreign Exchange Act, etc." means Foreign Exchange and Foreign Trade Act (Law No. 228 of 1949; hereinafter referred to as the "Foreign Exchange Act") and Cabinet Orders, Ministerial Ordinances, Notifications, etc. concerning Export Control under said Act.
- (2) "Export Control Operations" means the control operations for conducting safe Transaction in compliance with the export regulation under the Foreign Exchange Act, etc. as trade control efforts from the viewpoint of international security.
- (3) "Provision of Technologies" means to provide technologies to a foreign country, the term "provision of technology" shall mean the provision of technology to a foreign state, the provision of technology to a non-resident or a person falling under the specified type, or the provision of technology to a resident who is clearly likely to be re-provided to a non-resident or a person falling under the specified type.
- (4) "Export of Goods" means the act of sending goods to a foreign country as the destination (including the act of sending goods within Japan where such goods will obviously be sent to a foreign country as the destination) or act of carrying goods to a foreign country.
- (5) "Transaction" means Provision of Technologies or Export of Goods.
- (6) "List Control Technologies" means the technologies specified in rows 1 through 15 of the Appended Table of the Foreign Exchange Order (Cabinet Order No. 260 of 1980).

- (7) "List Control Goods" means the goods specified in rows 1 row 15 of the Appended Table 1 of the Export Trade Control Order (Cabinet Order No. 378 of 1949; hereinafter referred to as "Export Order").
- (8) "Classification" means to determine whether the technologies to be provided or the goods to be exported fall under the category of List Control Technologies or List Control Goods (hereinafter referred to as "List Control Technologies, etc.>").
- (9) "Transaction Screening" means the judgement as to whether the University conducts a Transaction based on the content of the Classification, the identity of the counterparty to the Transaction, or the use intended by the counterparty to the Transaction.
- (10) "Weapons of Mass Destruction, etc." means nuclear weapons, military chemical or bacterial agents, or any apparatus for spraying the same, or, rockets or unmanned aerial vehicles capable of transporting the same.
- (11) "Conventional Weapons" means the goods listed in the middle column of row 1 of the Appended Table 1 of the Export Order (excluding those falling under the Weapons of Mass Destruction, etc.).
- (12) "Development, etc." means development, manufacturing, use, or storage.
- (13) Residents Interpretation and Operation of Foreign Exchange Laws and Regulations (Zokoku No. 4672, 11 29, 55) 6-1-5, Natural and legal persons to be treated as residents in accordance with Criteria for Residency
- (14) Nonresident: Nature and juridical persons other than residents.
- (15) A person who falls under the specified category A person who falls under Article 25 (1) of the Foreign Exchange and Foreign Trade Act and Article 17 (2) of the Foreign Exchange Order
With regard to transactions or acts of providing technology that requires permission based on the provisions (International Trade Bureau No. 492) 1 (3)
- (f) The term (Limited to a resident who is a natural person.) means the persons listed in (1) to (3) above.
- (16) The term "faculty member, etc." means an officer or faculty member including part-time, belonging to the University.(17) Students, etc. Students of our university (including special audit students, course subjects and Researcher, etc., who conducts research at the University.

Article 4 Basic policy

The basic policy for Export Control at the University shall be as follows:

- (1) To comply with the Foreign Exchange Act, etc. in relation to Provision of Technologies and Export of Goods so as not to interfere with the maintenance of international peace and security; and
- (2) To appropriately develop and enhance the system for securely implementing Export Control.

Article 5 Chief Export Control Officer

- 1 The University shall have a chief officer for Export Control (hereinafter referred to as the "Chief Export Control Officer") in order to properly and smoothly implement Export Control Operations, and the President of the University shall serve in this capacity.
- 2 The Chief Export Control Officer shall perform the duties of the General Manager prescribed in the Ministerial Ordinance Specifying the Compliance Standards for Exporters, etc. (Ordinance of the Ministry of Economy, Trade and Industry No. 60 of 2009) and shall make final decisions on important

matters in Export Control.

Article 6 General Export Control Manager

- 1 The University shall have the General Export Control Manager who supervises export control under the Chief Export Control Officer, and the Director in charge of the Research or Vice President for Research shall serve in this capacity.
- 2 The General Export Control Manager shall perform the following duties:
 - (1) Duties related to establishment, revision, or abolishment of the regulations, etc. on Export Control;
 - (2) Duties related to development, revision, and abolishment of operations, procedures, etc. based on the regulations, etc. on Export Control;
 - (3) Identification of persons who fall under specified types, Duties related to approval of the Classification and Transaction Screening and preservation of records therefor;
 - (4) Duties related to supervision of the University-wide Export Control Operations and provision of instructions, communication, and requests, etc. of the matters to be thoroughly informed to the entire University;
 - (5) Duties related to auditing of Export Control Operations;
 - (6) Duties related to Export Control education;
 - (7) Duties related to requests for reports, etc. and orders for implementation of investigations and improvement measures, etc. regarding the Export Control Operations to the relevant deans, etc. of the University;
 - (8) Duties related to consultation and application for permission concerning Export Control Operations to the Ministry of Economy, Trade and Industry;
 - (9) Duties to supervise the Export Control Committee; and
 - (10) Duties of the person responsible for confirming Classification as specified in the Ministerial Ordinance Specifying the Compliance Standards for Exporters, etc.

Article 7 Export Control Manager, etc.

- 1 The University shall have the Export Control Manager under the General Export Control Manager for the proper implementation of the Export Control Operations, and the General Affairs and Planning Director shall serve in this capacity.
- 2 The Export Control Manager shall perform the following duties concerning export control under the instructions of the General Export Control Manager.
 - (1) Duties related to thoroughly familiarizing the instructions, communications, requests, etc. given by the General Export Control Manager;
 - (2) Duties related to approval of the Classification and Transaction Screening and preservation of records therefor;
 - (3) Business related to promotion of Export Control procedure operations;
 - (4) Duties related to Export Control education; and
 - (5) Duties related to consultation from Employees, etc. of the University in connection with Export Control procedure operations.
- 3 In order to assist the Export Control Manager and to smoothly carry out the duties in each item of the

preceding paragraph, the University shall have the Export Control Personnel under the Export Control Manager and a person appointed as necessary by the Division Chief of Personnel Division, the Division Chief of Research Promotion Division, the Office Chief of Office for International Affairs, the Division Chief of Student Exchange Division, the Division Chief of the Institute of Global Studies Administrative Division, and the Export Control Manager shall serve in this capacity.

4 An export control advisor may be established to obtain guidance and advice on Export Control.

Article 8 Export Control Committee

1. The University shall have the Export Control Committee (hereinafter referred to as the “Committee”) to discuss important matters relating to Export Control.
2. The Committee shall discuss the following matters:
 - (1) Matters relating to establishment, revision, and abolishment of regulations, etc. on Export Control;
 - (2) Matters relating to implementation of education and training, etc. on Export Control;
 - (3) Matters relating to auditing of Export Control;
 - (4) Matters relating to investigation, etc. on the matters consulted by the Chief Export Control Officer;
and
 - (5) Any other important matters related to Export Control.
3. The Committee shall consist of the following members:
 - (1) General Export Control Manager
 - (2) Export Control Manager
 - (3) Faculty member of the Institute of Global Studies who is appointed by the President 2 persons
 - (4) Faculty member of the Institute of Japan Studies and the Research Institute for Languages and Cultures of Asia and Africa who is appointed by the President 1 person each
 - (5) Other persons who are deemed necessary by the President several persons
4. The term of office of the Committee members listed in items (3) to (5) shall be two (2) years, and they may be reappointed. However, any member appointed to fill in a vacancy shall serve only the unexpired term of his/her predecessor.
5. The Committee shall have a Chairperson and the member prescribed in item 1 of paragraph 3 shall serve in this capacity.
6. The Chairperson shall convene a Committee meeting and serve as the chairperson of the meeting.
7. If the Committee deems it necessary, the Committee may ask persons other than the Committee members to attend a meeting.
8. Any matters not set forth in the preceding paragraphs concerning the Committee shall be prescribed by the Committee separately.

Article 9 Duties of Employees, etc.

- 1 Any of Employees, etc. who intends to engage in a Transaction shall perform the Classification in relation to the List Control Technologies, etc. for the technologies to be provided or goods to be exported.
- 2 Any of Employees, etc. who intends to engage in a Transaction shall verify the nature of business, nature of education and research, and intended use of such technologies or goods by the counterparty

and confirm whether or not they are likely to be used for the Development, etc. of the Weapons of Mass Destruction, etc. or Conventional Weapons.

- 3 Any of Employees, etc. who intends to make a Transaction shall perform a self-classification in accordance with the Self-Check Sheet prescribed separately and shall submit the Pre-Check Sheet (Form 1) to the Export Control Manager as necessary.

Article 10 Classification and Transaction Screening

- 1 Any of Employees, etc. who intends to engage in a Transaction shall submit the Application for Transaction Screening (Form 2) to the Export Control Manager and obtain approval of the General Export Control Manager if the Transaction is subject to list control, or, if the Transaction is not subject to list control but the technologies to be provided or goods to be exported are likely to be used for the Development, etc. of Weapons of Mass Destruction, etc. or Conventional Weapons in light of end-users or intended use or it is informed by the Minister of Economy, Trade and Industry that an application for permission is required for the Transaction as such technologies or goods are likely to be used for the Development, etc. of Weapons of Mass Destruction, etc. or Conventional Weapons.
- 2 Upon receipt of the Application for Transaction Screening prescribed in the preceding paragraph from any of the Employee, etc., the Export Control Manager shall promptly report such application to the General Export Control Manager and perform a screening as to whether or not such Transaction is appropriate (hereinafter referred to as the "Primary Screening").
- 3 The Export Control Manager shall submit to the General Export Control Manager the Classification and the result of Primary Screening, together with the documents, etc. necessary for deliberation on the license application to the Minister of Economy, Trade and Industry under the Foreign Exchange Act and obtain approval of the General Export Control Manager (hereinafter referred to as the "Secondary Screening").
- 4 In the event of any change in the specifications of the technologies to be provided or goods to be exported or any addition to the technologies to be provided or goods to be exported in any Transaction for which approval has been obtained through the screening under the preceding paragraph, Employees, etc. shall file again an Application for Transaction Screening as prescribed in paragraph 1.

Article 11 Application for License under Foreign Exchange Act, etc.

- 1 If, as a result of the Secondary Screening, the General Export Control Manager determines that the Transaction requires a license from the Minister of Economy, Trade and Industry under the Foreign Exchange Act, etc., the General Export Control Manager shall prepare the prescribed application form and attached documents in the name of the President and file the license application to the Minister of Economy, Trade and Industry.
- 2 Employees, etc. shall cooperate in preparing the documents necessary for the Secondary Screening in paragraph 2 of the preceding article and the documents for license application in the preceding paragraph.
- 3 Employees, etc. shall not perform any Transaction that requires a license from the Minister of Economy, Trade and Industry under the Foreign Exchange Act, etc. unless such license is obtained for the Transaction from the Minister of Economy, Trade and Industry.

Article 12 Control of Provision of Technologies

- 1 When performing the Provision of Technologies, Employees, etc. shall confirm that the procedures for Classification and Transaction Screening have been completed and that there are no changes in the contents of said technologies.
- 2 In addition to the matters prescribed in the preceding paragraph, if the Provision of Technologies requires license issued by the Minister of Economy, Trade and Industry under the Foreign Exchange Act, etc., Employees, etc. shall confirm that such license has been obtained.
- 3 If matters under the preceding two (2) paragraphs cannot be confirmed, Employees, etc. shall not perform such Provision of Technologies.

Article 13 Control of Export of Goods

- 1 When performing the Export of Goods, Employees, etc. shall confirm that the procedures for Classification and Transaction Screening have been completed and that there are no changes in the contents of said goods.
- 2 In addition to the matters prescribed in the preceding paragraph, if the Export of Goods requires license issued by the Minister of Economy, Trade and Industry under the Foreign Exchange Act, etc., Employees, etc. shall confirm that such license has been obtained.
- 3 If matters under the preceding two (2) paragraphs cannot be confirmed, Employees, etc. shall not perform such Export of Goods.
- 4 When any incident occurs at the time of customs clearance in performing Export of Goods, Employees, etc. shall immediately suspend such export procedures and report to the Export Control Manager to that effect.
- 5 Upon receipt of the report in the preceding paragraph, the Export Control Manager shall take appropriate measures after consultation with the General Export Control Manager.

Article 14 Handling of Transactions by Students, etc.

Any Employees, etc. shall undertake the procedures prescribed in these Regulations if a Student, etc. to whom he/she mainly provides education or research guidance intends to perform a Transaction.

Article 15 Audit

The General Export Control Manager shall periodically audit the Export Control Operations in order to confirm that the Export Control at the University is properly performed in accordance with the Foreign Exchange Act, etc., these Regulations, and the provisions based on these Regulations.

Article 16 Education

- 1 The General Export Control Manager and the Export Control Manager shall provide Employees, etc. with education on Export Control in a planned manner in order for them to gain an understanding about compliance with the Foreign Exchange Act, etc., these Regulations, and provisions based on these Regulations and to ensure the implementation thereof.
- 2 Employees, etc. shall endeavor to provide Students, etc. who use any office that keeps or uses the List Control Technologies, etc. the necessary education and training in order to deepen their understanding of compliance with the Foreign Exchange Act, etc. and these Regulations.

Article 17 Documents Control and Storage of Recording Media

- 1 Documents necessary for Export Control procedures shall be filled out accurately based on facts.

- 2 Documents for Export Control and their electronic recording media shall be retained for a period of seven (7) years commencing on the date of the Provision of Technologies or the date of the Export of Goods.

Article 18 Report

- 1 If any of Employees, etc. comes to know any breach or possibility of breach of the Foreign Exchange Act, etc., these Regulations, or any provision based on these Regulations, he/she shall promptly report to the General Export Control Manager to that effect.
- 2 Upon receipt of the report under the preceding paragraph, the General Export Control Manager shall investigate the details of such report and shall report to the Chief Export Control Manager without undue delay upon discovery of any breach of the Foreign Exchange Act, etc., these Regulations, or any provision based on these Regulations.
- 3 Upon receipt of the report under the preceding paragraph, the Chief Export Control Officer shall direct the departments concerned of the University to take measures and shall report the same to the relevant administrative agency without undue delay.

Article 19 Clerical Work

Clerical work relating to Export Control shall be handled by the Research Promotion Division of the General Affairs and Planning Department with the cooperation of the relevant departments and divisions.

Article 20 Miscellaneous Provisions

Any matters not set forth in these Regulations concerning Export Control shall be prescribed separately.

Pre-Check Sheet (Export of Goods/Provision of Technologies)

Date of Application:

Applicant	Affiliation, Title, Name: Contact Info.: Phone E-mail:
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*This sheet must be prepared and submitted in advance when considering the Provision of Technologies or Export of Goods.

***This sheet must be submitted to the Research Promotion Division at least one (1) month prior to the Provision of Technologies or Export of Goods.**

1. Purpose and type of transaction

Purpose of transaction	<input type="checkbox"/> Joint research <input type="checkbox"/> Contracted research <input type="checkbox"/> Provision of research results <input type="checkbox"/> Academic exchange agreement [Confidentiality Agreement (<input type="checkbox"/> Yes <input type="checkbox"/> No)] <input type="checkbox"/> Meetings, discussions, etc. <input type="checkbox"/> Participation in academic meetings <input type="checkbox"/> Research activities (sampling, collection of information, etc.) <input type="checkbox"/> Other ()
Type of transaction	<input type="checkbox"/> Provision of Technologies *Check all of the applicable method of provision below. <input type="checkbox"/> Telephone <input type="checkbox"/> E-mail <input type="checkbox"/> File sharing via Internet <input type="checkbox"/> Provision of recording media <input type="checkbox"/> Provision of printed materials such as documents and drawings <input type="checkbox"/> Provision of Technologies and programs in connection with provision of equipment, etc. <input type="checkbox"/> Other () <input type="checkbox"/> Export of Goods *Check the applicable shipment. <input type="checkbox"/> Shipment/checkout of specimens and samples <input type="checkbox"/> Shipment/checkout of equipment, etc. [<input type="checkbox"/> Self-made/modified product <input type="checkbox"/> Purchased product] <input type="checkbox"/> Other ()
Checkout of PC to abroad	To be filled in only when PC is taken out abroad. PC (Manufacturer: Model No. :) Data in the PC is provided: <input type="checkbox"/> Yes (*Check the corresponding box in the "Type of Transaction" above) <input type="checkbox"/> No (only for use by yourself) Describe security measures. ()

Form 1 (Related to Article 9)

2. Information on recipient

Counterparty of contract	Name (name of organization):		
	Address:		
	End-user/User:		
Destination (country)			
Channel of transaction	--> -->		
Scheduled contract date		Scheduled transaction period	From to
Judgement on residency [In case of Provision of Technologies]	Whether or not the recipient of the technologies is a resident in Japan: <input type="checkbox"/> Non-resident <input type="checkbox"/> Resident (suspected of providing information again to a non-resident) <input type="checkbox"/> Resident *Even if the recipient is Japanese, he/she may be a non-resident. For details, refer to the supplementary explanation on the Self-Check Sheet.		

3. Information on suppliers of technologies and goods and outline of technologies and goods

Affiliation, name, and title of the supplier	
Name and specification of technologies to be provided or goods to be exported	
Purpose of use by the counterparty	

*If there are multiple persons who provide technologies or export goods, list them in the "Affiliation, name, and title" field.

*Please fill in the "Name and specification of technologies to be provided or goods to be exported" and "Purpose of use by the counterparty" fields in as much detail and as specifically as possible. If the space is not sufficient, a separate sheet may be used and attached.

4. Information requiring verification about the counterparty

The counterparty is listed on the End User List (* 1).	<input type="checkbox"/> Yes <input type="checkbox"/> No
The destination is one of the countries/regions listed in the Appended Table 4 or Appended Table 3-2 of the Export Order (*2).	<input type="checkbox"/> Yes <input type="checkbox"/> No
Considering the information published on the website, etc. or information obtained, the counterparty is involved in or is suspected of having been involved in the Development, etc. (i.e., development, manufacture, use, or storage; hereinafter the same shall apply) of Weapons of Mass Destruction, etc. (nuclear weapons, chemical weapons, biological weapon, rockets, unmanned aerial vehicles), Conventional Weapons, or technologically advanced materials, parts, or products used therefor.	<input type="checkbox"/> Yes <input type="checkbox"/> No
Considering the information published on the website, etc. or information obtained, the technologies to be provided or goods to be exported are suspected of being used for the Development, etc. of Weapons of Mass Destruction, Conventional Weapons, or technologically advanced materials, parts, or products used therefor.	<input type="checkbox"/> Yes <input type="checkbox"/> No
Considering the information published on the website, etc. or information obtained, the technologies to be provided or goods to be exported are suspected of being used for the research on nuclear fusion or the Development, etc. of nuclear fuel materials or nuclear reactors, etc.	<input type="checkbox"/> Yes <input type="checkbox"/> No
Considering the information published on the website, etc. or information obtained, the technologies to be provided or goods to be exported are suspected of being used for the Development, etc. of chemical substances, microorganisms, toxins, etc. or space research by the military force or police of a foreign country or a person contracted by such military force or police.	<input type="checkbox"/> Yes <input type="checkbox"/> No
You have other information on the counterparty or intended use requiring verification for security export control.	<input type="checkbox"/> Yes <input type="checkbox"/> No
----- If "Yes" is selected for other information requiring verification in the field above, please describe the reason therefor in this field.	

*1 End User List on the Ministry of Economy, Trade and Industry's website. Please make sure to check the latest information.
<http://www.meti.go.jp/policy/anpo/law05.html#user-list>

*2 Appended Table 4 and Appended Table 3-2 of the Export Trade Control Order. Please make sure to check the latest information.
Refer to the Export Trade Control Ordinance at: <https://www.meti.go.jp/policy/anpo/law02.html>

*** If "Yes" is selected in any of the items above in this Section, a careful screening is required, in principle. Therefore, please consult the Research Promotion Division regarding details on the information requiring verification.**

5. <Provision of Technologies> Judgment on applicability of exemptions under the Foreign Exchange Act (public domain/basic science)

The transaction is the Provision of Technologies in the public domain.	<input type="checkbox"/> Yes <input type="checkbox"/> No
The transaction is the Provision of Technologies in the research activities on basic science fields.	<input type="checkbox"/> Yes <input type="checkbox"/> No

If “Yes” is selected in any of the items above, please enter the reason in this field, referring to the explanation below.

*The term "Provision of Technologies in the public domain" means:

- Provision of **Technologies that are already open to the general public** via newspapers, books, magazines, brochures, files in a telecommunication network, etc.;
- Provision of **Technologies that are available to the general public**, such as academic journals, public patent information, or minutes of open symposiums;
- Provision of **technologies that are available or audible to the general public** at factory tour courses, lectures, exhibitions, etc.; and
- Provision of **open source programs**.

If the technologies to be provided include any technologies other than “public domain technologies,” you may not check “Yes.”

*"Provision of Technologies in the public domain" refers to the cases where said technologies are available to the general public.

Please note that the Provision of Technologies in any symposiums or meetings, etc. in which general public cannot participate but only limited persons can does not fall under the category of "Provision of Technologies in the public domain."

*The term “technologies on basic science fields” means the research activities that:

- **mainly aim at investigating the principles on phenomena in the field of natural science**;
- which are **performed by way of theoretical or experimental methods**; and
- **do not aim at designing or manufacturing specific products**.

However, even if the research activities mainly aim at investigating the principles on phenomena in the field of natural science, such as the research on universe formation process, but the technologies to be provided include the technologies, etc. used in the research activities aiming at designing or manufacturing specific products (such as experimental or observation apparatus), you may not check “Yes.”

6. Self-check

<Provision of Technologies> “Yes” is selected in either or both of the items in "5. Judgement on applicability of exemptions under the Foreign Exchange Act (public domain/basic science)." Judgement on applicability of exemptions under the Foreign Exchange Act (public domain/basic science)." "	<input type="checkbox"/> Yes <input type="checkbox"/> No
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● **If "Yes" is selected, you are not required to make entries in the fields below.**

However, in some cases it may not be easy to judge whether the information is in the “public domain/basic sciences,” so please **submit this completed sheet to the Research Promotion Division to have it checked.** This field may be changed to "No" in response to an inquiry or a request for more detailed information by a person in charge.

● **Please note that even if “Yes” is selected in this field (falls under “public domain/basic science”) but "Yes" is selected in section 4 (there is information requiring verification), you may be required to submit the Application for Transaction as a result of careful screening including inquiry by the person in charge.**

The technologies or goods described in 3. are clearly not subject to the list control. (*)	<input type="checkbox"/> Yes <input type="checkbox"/> No
“Yes” is not selected in any items in “4. Information requiring verification about the counterparty.”	<input type="checkbox"/> Yes <input type="checkbox"/> No

*For items subject to list control, please refer to "Matrix Table of Goods and Technologies” on the Ministry of Economy, Trade and Industry's website (http://www.meti.go.jp/policy/anpo/matrix_intro.html).

- **If “Yes” is selected for all items in the self-check field, please submit this completed sheet to the Research Promotion Division.**
- **If there is at least one "No" in the self-check field, the Application for Transaction Screening must be submitted.**

(After checking the documents, the person in charge may make an inquiry, request for more detailed information, etc. to the applicant. As a result of inquiries, etc., you may be required to submit the Application for Transaction Screening.)

For use by the person in charge Upon review of the pre-check above, the judgment is given as follows: <input type="checkbox"/> Transaction permitted <input type="checkbox"/> Application for Transaction must be submitted. Date: Reference number: Person in charge	General Export Control Manager	Export Control Manager	Research Promotion Division

Pre-Check Sheet (Acceptance of Foreigners (International Students, Researchers, etc.))

Date of Application:

Applicant	Affiliation, Title, Name:	
	Contact Info.: Phone	E-mail:

- * This sheet must be prepared and submitted in advance when considering the Provision of Technologies, etc. to international students, researchers, visitors, etc.
- * **Please submit this sheet to the Research Promotion Division at least one (1) month before you accept a foreigner.**

1. Person to be accepted

Acceptance category (check the applicable box)	<input type="checkbox"/> International student <input type="checkbox"/> Graduate student <input type="checkbox"/> Undergraduate student <input type="checkbox"/> Research student <input type="checkbox"/> non-degree student <input type="checkbox"/> Other ()
	<input type="checkbox"/> Researcher/faculty member <input type="checkbox"/> Employed by the University (title:) <input type="checkbox"/> Other ()
	<input type="checkbox"/> Temporary Visitor <input type="checkbox"/> Meeting for research <input type="checkbox"/> Observation of facilities, equipment, etc. <input type="checkbox"/> Other ()
Name	
Country of origin (nationality)	
Organization of origin	
Scheduled acceptance period	From to

*If multiple persons from the same department of the same organization are planned to be accepted, please list the names of all such persons in the “Name” field.

*In the “Organization of origin” field, please enter all organizations to which the person to be accepted has belonged so far.

2. Prospective host office, etc. and outline of technologies to be provided

Prospective host undergraduate school, department, etc.	
Name and title of academic supervisor and person who provides technologies	
Area of research	

Form 1 (Related to Article 9)

Research plan for the person to be accepted	
Outline of technologies to be provided	

- * If multiple academic supervisors or persons who provides technologies are anticipated, please list the names and titles of all such persons in the "Name and title of academic supervisor and person who provide technologies" field.
- * Please fill in the "Research plan for the person to be accepted" and "Outline of technologies to be provided" fields in as much detail and as specifically as possible. If the space is not sufficient, a separate sheet may be used and attached.

3. Information requiring verification about the person to be accepted

The organization of origin of the person to be accepted is listed on the End User List (*1).	<input type="checkbox"/> Yes <input type="checkbox"/> No
The country of origin of the person to be accepted is one of the countries/regions listed in the Appended Table 4 or Appended Table 3-2 of the Export Order. (* 2)	<input type="checkbox"/> Yes <input type="checkbox"/> No
Considering the past research topic, etc. of the person to be accepted, the person is suspected of being involving in the Development, etc. (i.e., development, manufacture, use, or storage) of Weapons of Mass Destruction, etc. (nuclear weapons, chemical weapons, biological weapons, rockets, unmanned aerial vehicles), Conventional Weapons, or technologically advanced materials, parts, or products used therefor.	<input type="checkbox"/> Yes <input type="checkbox"/> No
You have other information on the counterparty or intended use requiring verification for security export control.	<input type="checkbox"/> Yes <input type="checkbox"/> No
If "Yes" is selected for other information requiring verification in the field above, please describe the reason therefor in this field.	

Form 1 (Related to Article 9)

*1 Please refer to the End User List on the Ministry of Economy, Trade and Industry's website (<http://www.meti.go.jp/policy/ampo/law05.html#user-list>).

*2 Appended Table 4 and Appended Table 3-2 of the Export Trade Control Order. Please make sure to check the latest information.

Refer to the Export Trade Control Ordinance at: <https://www.meti.go.jp/policy/ampo/law02.html>

* **If “Yes” is selected in any of the items above in this Section, a careful screening is required, in principle. Therefore, please consult the Research Promotion Division regarding details on the information requiring verification.**

4. <Provision of Technologies> Judgment on applicability of exemptions under the Foreign Exchange Act (public domain/basic science)

The transaction is the Provision of Technologies in the public domain.	<input type="checkbox"/> Yes <input type="checkbox"/> No
The transaction is the Provision of Technologies in the research activities on basic science fields.	<input type="checkbox"/> Yes <input type="checkbox"/> No

If “Yes” is selected in any of the items above, please enter the reason in this field, referring to the explanation below.

*The term "Provision of Technologies in the public domain" means:

- Provision of **Technologies that are already open to the general public** via newspapers, books, magazines, brochures, files in a telecommunication network, etc.;
- Provision of **Technologies that are available to the general public**, such as academic journals, public patent information, or minutes of open symposiums;
- Provision of **technologies that are available or audible to the general public** at factory tour courses, lectures, exhibitions, etc.; and
- Provision of **open source programs**.

If the technologies to be provided include any technologies other than “public domain technologies,” you may not check “Yes.”

*"Provision of Technologies in the public domain” refers to the cases where said technologies are available to the general public.

Please note that the Provision of Technologies in any symposiums or meetings, etc. in which general public cannot participate but only limited persons can does not fall under the category of "Provision of Technologies in the public domain."

*The term “technologies on basic science fields” means the research activities that:

- **mainly aim at investigating the principles on phenomena in the field of natural science;**
- which are **performed by way of theoretical or experimental methods;** and
- **do not aim at designing or manufacturing specific products.**

For example, even if the research activities mainly aim at investigating the principles on phenomena in the field of natural science, such as the research on universe formation process, but the technologies to be provided include the technologies, etc. used in the research activities aiming at designing or manufacturing specific products (such as experimental or observation apparatus), you may not check “Yes.”

5. Self-check

“Yes” is selected in either or both of the items in "4. Judgement on applicability of exemptions under the Foreign Exchange Act (public domain/basic science)."	<input type="checkbox"/> Yes <input type="checkbox"/> No
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- **If "Yes" is selected, you are not required to make entries in the fields below.**

However, in some cases it may not be easy to judge whether the information is in the “public domain/basic sciences,” so please **submit this completed sheet to the Research Promotion Division to have it checked.** This field may be changed to "No" in response to an inquiry or a request for more detailed information by a person in charge.

- **Please note that even if “Yes” is selected in this field (falls under “public domain/basic science”) but "Yes" is selected in section 4 (there is information requiring verification), you may be required to submit the Application for Transaction as a result of careful screening including inquiry by the person in charge.**

Goods subject to list control are not included in "Outline of technologies to be provided" of 2. (*).	<input type="checkbox"/> Yes <input type="checkbox"/> No
“Yes” is not selected in any items in “3. Information requiring verification about the person to be accepted.”	<input type="checkbox"/> Yes <input type="checkbox"/> No

*For items subject to list control, please refer to "Matrix Table of Goods and Technologies” on the Ministry of Economy, Trade and Industry's website (http://www.meti.go.jp/policy/anpo/matrix_intro.html).

- **If “Yes” is selected for all items in the self-check field, please submit this completed sheet to the Research Promotion Division.**
- **If there is at least one "No" in the self-check field, the Application for Transaction Screening must be submitted.**

(After checking the documents, the person in charge may make an inquiry, request for more detailed information, etc. to the applicant.)

As a result of inquiries, etc., you may be required to submit the Application for Transaction Screening.) For use by the person in charge

General Export Control Manager	Export Control Manager	Research Promotion Division

Upon review of the pre-check above, the judgment is given as follows:

- Transaction permitted
- Application for Transaction must be submitted.

Date:

Reference number:

Person in charge

Application for Transaction Screening (Provision of Technologies/Export of Goods)

Date of Application:

Outline of Provision of Technologies/Export of Goods

Researchers providing technologies, etc.		Affiliation:	Title:	Name:
Subject (description)				
Name of technologies/goods		(Amount): _____		
Classification (rows 1-15)	<Technologies>	Appended Table of Foreign Exchange Order: row ()	<input type="checkbox"/> Controlled	<input type="checkbox"/> Not controlled
		(Ministerial Ordinance Specifying Goods: Article , paragraph , item)	<input type="checkbox"/> Unclear/Questionable	<input type="checkbox"/> Public domain <input type="checkbox"/> Basic science
	<Goods>	Appended Table of Foreign Exchange Order: row ()	<input type="checkbox"/> Controlled	<input type="checkbox"/> Not controlled
		(Ministerial Ordinance Specifying Goods: Article , paragraph , item)	<input type="checkbox"/> Unclear/Questionable	<input type="checkbox"/> Unregulated
	Appended Table 1 of Export Order: row ()		<input type="checkbox"/> Controlled	<input type="checkbox"/> Not controlled
(Ministerial Ordinance Specifying Goods: Article , paragraph , item)		<input type="checkbox"/> Unclear/Questionable	<input type="checkbox"/> Low value exemptions <input type="checkbox"/> Unregulated	
Appended Table 1 of Export Order: row ()		<input type="checkbox"/> Controlled	<input type="checkbox"/> Not controlled	
(Ministerial Ordinance Specifying Goods: Article , paragraph , item)		<input type="checkbox"/> Unclear/Questionable	<input type="checkbox"/> Low value exemptions <input type="checkbox"/> Unregulated	
Grounds for the above judgment * In particular, when checking any box other than "Controlled," please describe in as much detail and as specifically as possible in the context of specific details of the technologies/goods to be provided.				
Destination		Country:		
Counter party of contract	Name (organization)	Name of organization: <input type="checkbox"/> New <input type="checkbox"/> Renewal <input type="checkbox"/> Military-related *Enter website address () *Attach materials on the organization concerned.		
	Addresses			
	End-user or user	Name of end-user or user: *Enter website address () *Attach materials on the end-user or user.		
Residency requirements (Provision of Technologies)		Whether or not the recipient of the technologies is a resident in Japan: <input type="checkbox"/> Non-resident <input type="checkbox"/> Resident (suspected of providing information again to a non-resident) <input type="checkbox"/> Resident		
Intended use by the counterparty		Description () <input type="checkbox"/> Related to Weapons of Mass destruction, etc. <input type="checkbox"/> Related to Conventional Weapons <input type="checkbox"/> Related to military affairs <input type="checkbox"/> Unclear/Questionable <input type="checkbox"/> Other (Other than those related to military affairs)		
		Materials : <input type="checkbox"/> Yes (please attach) <input type="checkbox"/> No		

Objective condition *Please refer to the results of the Intended Use Check Sheet and End-User Check Sheet as appended.	I. Weapons of Mass Destruction Catch-all Control In the case of the provision/export to the countries/regions other than those listed in Appended Table 3 of the Export Order (including countries/regions under the United Nations Arms Embargo), please check the applicable box in relation to the Weapons of Mass Destruction Catch-all Control: (i) Is there at least one (1) "Yes" in the Intended Use Check Sheet? <input type="checkbox"/> Yes <input type="checkbox"/> No (ii) Is there at least one (1) "Yes" in the End-User Check Sheet? <input type="checkbox"/> Yes <input type="checkbox"/> No		
	II. Conventional Weapon Catch-all Control In the case of the provision/export to the countries/regions under the United Nations Arms Embargo, please check the applicable box in relation to the Conventional Weapon Catch-all Control: (i) Is there at least one (1) "Yes" in the Intended Use Check Sheet? <input type="checkbox"/> Yes <input type="checkbox"/> No (ii) (If "Yes" is selected in (i)) Is there at least one (1) "Yes" in the exclusion of the intended use requirement at the bottom of the Intended Use Check Sheet? <input type="checkbox"/> Yes <input type="checkbox"/> No		
	III. Are there any unclear points or doubts about the confirmation of objective requirements? <input type="checkbox"/> Yes <input type="checkbox"/> No		
Informed condition	Have you been informed by the Minister of Economy, Trade and Industry that you should file an application for license? <input type="checkbox"/> Yes <input type="checkbox"/> No		
Channel of transaction	-->		
Scheduled contract date		Scheduled transaction period	From to

*If there are so many items requiring Classification and one (1) sheet is not sufficient to show all items, please use two (2) or more sheets.

=====For use by the person in charge=====

Overall judgment result on Transaction (Date of judgment: _____)

General Export Control Manager	Export Control Manager	Export Control Personnel	Person in charge

Reference number				
Judgement on Transaction screening	<input type="checkbox"/> Approved	<input type="checkbox"/> Unregulated	<input type="checkbox"/> Not controlled	<input type="checkbox"/> Exemptions (low value and others)
	<input type="checkbox"/> Conditionally approved	<input type="checkbox"/> General license	<input type="checkbox"/> Specific license	<input type="checkbox"/> License exception
Conditions for transaction approval	<input type="checkbox"/> Report to/consult with the Ministry of Economy, Trade and Industry			
Reasons for judgment above	<input type="checkbox"/> Disapproved			

Application for Transaction Screening (Acceptance of Foreigners (International Students, Researchers, etc.))

Date of Application:

Outline of technologies to be taught/provided to foreigners

Person in charge of acceptance	Affiliation:	Title:	Name:
Person to be accepted	Name (alphabetic characters)	Name:	
	Country of origin (country)	Country:	
	Organization of origin	Organization: *Enter website address () *Attach materials on the organization.	
Classification of technologies to be taught/provided (rows 1–15)	Appended Table of Foreign Exchange Order: row () (Ministerial Ordinance Specifying Goods: Article , paragraph , item) *When there are multiple row numbers that may be applicable, list all of them. <input type="checkbox"/> Controlled <input type="checkbox"/> Not controlled <input type="checkbox"/> Unclear/Questionable <input type="checkbox"/> Public domain <input type="checkbox"/> Basic science <input type="checkbox"/> Otherwise unregulated		
	Appended Table of Foreign Exchange Order: row () (Ministerial Ordinance Specifying Goods: Article , paragraph , item) *When there are multiple row numbers that may be applicable, list all of them. <input type="checkbox"/> Controlled <input type="checkbox"/> Not controlled <input type="checkbox"/> Unclear/Questionable <input type="checkbox"/> Public domain <input type="checkbox"/> Basic science <input type="checkbox"/> Otherwise unregulated		
	Appended Table of Foreign Exchange Order: row () (Ministerial Ordinance Specifying Goods: Article , paragraph , item) *When there are multiple row numbers that may be applicable, list all of them. <input type="checkbox"/> Controlled <input type="checkbox"/> Not controlled <input type="checkbox"/> Unclear/Questionable <input type="checkbox"/> Public domain <input type="checkbox"/> Basic science <input type="checkbox"/> Otherwise unregulated		
	Grounds for the above judgment * In particular, when checking any box other than "Applicable," please describe in as much detail and as specifically as possible in the context of specific details of the technologies to be provided.		
Resident requirements	Whether or not the person to be accepted is a resident in Japan: <input type="checkbox"/> Resident <input type="checkbox"/> Resident (suspected of providing information again to a non-resident) <input type="checkbox"/> Non-resident		
Planned/desired place of employment of the person to be accepted after graduation (fill in to the extent of your knowledge)	Name (alphabetic character)	Name: *Enter website address () *Attach materials on the person to be accepted.	
	Address		

<p>Intended use of the technologies to be provided [In case of international students, etc., intended use at the planned/desired course after graduation] (fill in to the extent of your knowledge)</p>	<p>Description ()</p> <p><input type="checkbox"/> Related to Weapons of Mass Destruction, etc. <input type="checkbox"/> Related to Conventional Weapons <input type="checkbox"/> Related to military affairs <input type="checkbox"/> Unclear/Questionable <input type="checkbox"/> Other (Other than those related to military affairs)</p> <p>Materials: <input type="checkbox"/> Yes (please attach) <input type="checkbox"/> No</p>
<p>Objective condition</p> <p>*Please refer to the results of the Intended Use Check Sheet and End-User Check Sheet as appended.</p>	<p>I. Weapons of Mass Destruction Catch-all Control: If the country of origin, organization of origin, or planned or desired place of employment after graduation of the person to be accepted is any region other than those listed in Appended Table 3 of the Export Order (including countries/regions under the United Nations Arms Embargo), please check the applicable box in relation to the Weapons of Mass Destruction Catch-all Control:</p> <p>(i) Is there at least one (1) "Yes" in the Intended Use Check Sheet? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>(ii) Is there at least one (1) "Yes" in the End-User Check Sheet? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <hr/> <p>II. Conventional Weapon Catch-all Control: If the country of origin, region of origin, or planned or desired place of employment after graduation of the person to be accepted is any of the countries/regions under the United Nations Arms Embargo, please check the applicable box in relation to the Conventional Weapon Catch-all Control:</p> <p>(i) Is there at least one (1) "Yes" in the Intended Use Check Sheet? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>(ii) (If "Yes" is selected in (i)) Is there at least one (1) "Yes" in the exclusion of the intended use requirement at the bottom of the Intended Use Check Sheet? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <hr/> <p>III. Are there any unclear points or doubts about the confirmation of objective requirements? <input type="checkbox"/> Yes <input type="checkbox"/> No</p>
<p>Informed condition</p>	<p>Have you been informed by the Minister of Economy, Trade and Industry that you should file an application for license in relation to the organization of origin or the planned or desired place of employment after graduation of the person to be accepted? <input type="checkbox"/> Yes <input type="checkbox"/> No</p>
<p>Scheduled acceptance period</p>	<p>From _____ to _____</p>

*If there are so many items requiring Classification and one (1) sheet is not sufficient to show all items, please use two (2) or more sheets.

=====For use by the person in charge=====

Overall judgment result on Transaction (Date of judgment: _____)

General Export Control Manager	Export Control Manager	Export Control Personnel	Person in charge

Form 2 (Related to Article 10)

Reference number			
Judgement on Transaction screening	<input type="checkbox"/> Approved <input type="checkbox"/> Conditionally approved	<input type="checkbox"/> Unregulated	<input type="checkbox"/> Not controlled <input type="checkbox"/> Exemptions (public domain, basic science, and others)
	<input type="checkbox"/> Report to/consult with the Ministry of Economy, Trade and Industry		<input type="checkbox"/> Disapproved
Conditions for transaction approval			
Reasons for judgment above			