

To all prospective graduate students,

About a Self-Declaration on Specific Categories form and a Pledge (enrollment / employment) form for Security Export Control

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1. What is security export control ?

Security Export Control (SEC) is an **international effort** to protect international peace and security by ensuring that **advanced equipment, materials and technologies** do not cross into terrorists or countries which manufacture weapons of mass destruction.



Goods and technologies
(excluding food or paper
etc.)



Use for weapons,
Weapons of mass
destruction or
military research

1. What is security export control ?

International

Nuclear Non-proliferation Treaty, Biological Weapons Convention, Chemical Weapons Convention, International Export Control Regime, etc.

Japan



FEFTA (Foreign Exchange and Foreign Trade Act)

If you export or transfer regulated goods or technologies to abroad without **the permission of the Minister of Economy, Trade and Industry (METI)**, you and your organization may be charged with violation of FEFTA and **be punished subject to the law.**

University of Tsukuba



University of Tsukuba Security Export Control Regulations

Before exporting or transferring regulated goods or technologies, university staff members etc. shall complete prior check procedure using a **Prior Check Sheet** of a prescribed format and shall require **the approval from the Export Control Director of Department (Prior Check rule).**

Those who have violated this regulation shall be subjected to disciplinary actions etc.

2. Two forms for you all to fill out

Self-Declaration on Specific Categories form

Form 5
dd/mm/yyyy

Self-Declaration on Specific Categories¹⁾

To the President of the University of Tsukuba.

(Address) Department of University of Tsukuba _____

Name in block letters _____

Signature _____

I understand that when the University of Tsukuba transfers technologies to a resident who falls under category (1) or (2) described below, the University may be required to obtain a license from the Minister of Economy, Trade and Industry, and hereby take a pledge on whether I fall under category (1) or (2) for the sake of the University's compliance with laws and regulations as follows:

I¹⁾

fall under category (1) below.

Category (1) is the category of those who have entered into an employment contract or any other contract with a foreign government, corporation, etc. (including foreign universities and research institutes).

Specifically, this category includes

- 1) a person who belongs to the University of Tsukuba and is engaged in research, and also maintains employment in a foreign company²⁾,
- 2) a person who has the status of student and is involved in the management of a foreign venture company²⁾, and
- 3) a person who concurrently works at a foreign university, etc. (including the case where he/she works under the cross-appointment system).

¹⁾ Japanese subsidies of foreign companies are not included.

fall under category (2) below.

Category (2) is the category of those who are provided with large²⁾ economic benefits by a foreign government, etc.

Specifically, this category includes

- 1) a person who is provided with large²⁾ funds for studying abroad by a foreign government, etc. and
- 2) a person who participates in a science and engineering personnel recruiting program sponsored by a foreign government, etc. and is provided with large²⁾ funds for research and/or living expenses as an individual.

²⁾ Refers to money and other benefits that account for 25% or more of the person's annual income.

do not fall under either of these categories.

If I come to fall under category (1) or (2) in the future, I will notify the University to that effect by submitting the self-declaration on specific categories again.

Note 1: Check all that apply.

Note 2: When your status is changed regarding these categories, please notify the University to that effect by submitting the self-declaration on specific categories again.

Note 3: The contents of this self-declaration form may be shared with those concerned if necessary for export control in the University of Tsukuba.

(Reference: For details about the laws and regulations on which this form is based, refer to the back of the form.)

Pledge (enrollment / employment) form

Form 6
Date: Year/ Month/ Day

Pledge (enrollment / employment)¹⁾

To: the President of the University of Tsukuba.

Affiliated department _____

Student ID Number / Personal Number (8 digits) _____

Full name: _____

Signature _____

I hereby pledge to comply with the following items regarding my enrollment to or employed or any as such by University of Tsukuba.

1. During enrollment or employment or any as such at University of Tsukuba, I will neither provide nor carry out any property belonging to the University without a permission. In any of the following cases, I will consult my supervisor (i.e., the academic staff accepting me as a student or a researcher) and, if necessary, take the prescribed procedures based on the Foreign Exchange and Foreign Trade Act, related laws and regulations, and the internal regulations of the University.
 - (1) In the case that I intend to provide technical information related to a research to a foreign country or to a non-resident or a resident under the significant influence of a non-resident (i.e., a person falling under the "Specific Categories") during this period, or in the case that it becomes clear during this period that I will provide such information after leaving the University.
 - (2) In the case that I intend to export (send, take abroad, etc.) research equipment, materials used in research, or tangible objects by a research during this period, or in the case that it becomes clear during this period that I will export these items after leaving the University.
2. I will not use the technical information obtained by a research in the University for the development, production, use, or storage of weapons of mass destruction (WMD) (nuclear weapons, chemical weapons, biological weapons, WMD delivery systems such as missiles, and unmanned aerial vehicles), conventional weapons, or materials, components, or products used in these weapons. I will use such technical information only for civil purposes.

Note: The contents of this pledge may be shared with those concerned if necessary for export control in the University of Tsukuba.

【部局事務取扱担当者記入欄】Official Use Only

担当部局名 _____ 担当者名 _____ 印 _____

3. Self-Declaration on Specific Categories form

- **This is a form that confirms whether you fall under specific category (1) or (2). You all have already checked the boxes and signed and submitted it.**

Category (1) is the category of those who have entered into an employment contract or any other contract with a foreign government, corporation, etc. (including foreign universities and research institutes).

Specifically, this category includes

- 1) a person who belongs to the University of Tsukuba and is engaged in research, and also maintains employment in a foreign company ^{*1},
- 2) a person who has the status of student and is involved in the management of a foreign venture company^{*1}, and
- 3) a person who concurrently works at a foreign university, etc. (including the case where he/she works under the cross-appointment system).

*1: Japanese subsidiaries of foreign companies are not included.

3. Self-Declaration on Specific Categories form

Category (2) is the category of those who are provided with large*² economic benefits by a foreign government, etc.

Specifically, this category includes

- 1) a person who is provided with large*² funds for studying abroad by a foreign government, etc. and
- 2) a person who participates in a science and engineering personnel recruiting program sponsored by a foreign government, etc. and is provided with large*² funds for research and/or living expenses as an individual.

*²: Refers to money and other benefits that account for 25% or more of the person's annual income.

“Foreign” in this form means any country other than Japan.

➤ If you fall under Types (1) or (2), the university (your supervisor) must follow the procedures for security export control.

4. Pledge (enrollment / employment) form

You pledged to comply with the following items regarding your enrollment to by University of Tsukuba.

1. During enrollment or employment or any as such at University of Tsukuba, I will neither provide nor carry out any property belonging to the University without a permission. In any of the following cases, I will consult my supervisor (i.e., the academic staff accepting me as a student or a researcher) and, if necessary, take the prescribed procedures based on the Foreign Exchange and Foreign Trade Act, related laws and regulations, and the internal regulations of the University.
 - (1) In the case that I intend to provide technical information related to a research to a foreign country or to a non-resident or a resident under the significant influence of a non-resident (i.e., a person falling under the “Specific Categories”.) during this period, or in the case that it becomes clear during this period that I will provide such information after leaving the University.
 - (2) In the case that I intend to export (send, take abroad, etc.) research equipment, materials used in research, or tangible objects by a research during this period, or in the case that it becomes clear during this period that I will export these items after leaving the University.
2. I will not use the technical information obtained by a research in the University for the development, production, use, or storage of weapons of mass destruction (WMD) (nuclear weapons, chemical weapons, biological weapons, WMD delivery systems such as missiles, and unmanned aerial vehicles), conventional weapons, or materials, components, or products used in these weapons. I will use such technical information only for civil purposes.

(In addition, you all must also fill out a pledge for graduation when you graduate.)

5. Why is it necessary to fill out these forms?

- The purpose is to comply with the FEFTA, based on notifications from the government in accordance with security export control
(If you fall into specific categories, or if you take goods or technologies abroad while at the university, the university must implement procedures in accordance with the FEFTA.)
- If the university does not follow proper procedures, the university or your supervisor will be considered to be in violation of the law . You may also be prevented from conducting your desired research activities.
- The purpose is to properly manage goods or technologies. It does not mean that a person who falls under specific categories = a person with security concerns.
- These forms are not obtained with the intention of discriminating against or unreasonably denying acceptance to persons who falls specific categories.
- The information obtained from these forms will be properly managed within the university as personal information and will not be used for any purpose other than those related to security export control.

Thank you for watching!



If you have any questions, please feel free to contact us at the

Office of Conflict of Interest and Security Export Control

TEL : 029-853-2877

E-mail : anzenhosyo@un.tsukuba.ac.jp



To learn more: The QR code below will take you to the METI explanation!

