This questionnaire is for the investigator who requires a Technical Assistance Agreement (TAA) in order to work with and participate in technical discussions with a foreign party. A TAA is required when you will be having continuing interaction with a foreign party, including but not limited to, technical interchange meetings (i.e., PDR, CDR, etc.), joint design work, training, or providing other assistance for projects or equipment that is controlled under the International Traffic in Arms Regulations (ITAR). In order for the Export Control Officer (ECO) to apply for a TAA, all of the following information must be provided to the ECO:

Contact your departmental export compliance administrator or the ECO if you have any questions. Remember that the ultimate end user may be the government of the foreign company you are working with.

1. Provide the complete current legal name of the foreign individuals or party and the ultimate end-user.

2. Provide complete and accurate business addresses for all the foreign parties and the countries where they reside. In determining participants, consider whether the sponsor has a customer or subsidiary that may participate in discussions, meetings, receive technical data, etc. (If the addresses are not correct, we will have to apply for an amendment to make the correction. In addition, you can only export documents to, and work with the employees of the foreign parties in the location approved in the TAA.)

3. Provide complete and accurate names and business addresses for all US parties associated with the TAA.

4. What is the project name? Provide a brief background description on the purpose of the project and how it will be executed by the parties involved. This should be no longer than a page, preferably in bullet format for easier review and reference. Include such things as:
   - A short description of the project, technology involved or item to be manufactured or physically exported
   - General scope of the effort including defense articles and defense services being provided as well as the duration of the activity. See definitions of defense articles and services on VPR export control web
   - Information regarding the type of technology or data that will be transferred and how it will be transferred
   - Any previous agreement(s) or license(s) of export that may pertain to this agreement
   - Any history that may better explain why this agreement is required

5. Do the foreign parties have employees who are Dual or Third Country nationals? The agreement template is currently worded such that, if approved, transfer will be limited to Dual National (someone who is a citizen of two countries) and Third
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Country National (someone who works for the foreign company in one country but is actually a citizen of another country) employees of the foreign parties who are nationals exclusively of countries that are members of NATO, the EU, Australia, Japan, New Zealand and Switzerland. If the foreign parties have employees with Dual or Third Country Nationals who have nationalities from other countries, we will need to specify them and provide detailed information.

6. Is this TAA application in furtherance of to a U.S. Government contract? If yes, what is the contract number(s)?

7. List the name, agency and telephone number of the sponsoring agency’s Program Officer or U.S. Government personnel familiar with the product or program.

8. What is the security classification of this program, i.e., Unclassified, Secret, etc?

9. Are there any subcontractors who will need to have direct contact with foreign parties? This situation is known as sub-licensing by DTC and they will need to be included in the TAA. Please provide the name and address of all sub-licensed sub-contractors and the activities they will be performing.

10. Duration of the agreement. (How many years is the TAA to be effective – timeframe should be based upon life of project and warranty period, if we are producing a product.)

11. a) Who is the source of the technical data?

   b) Who is the source of the hardware, if applicable?

12. If hardware is to be manufactured or procured for this project, please specify what the hardware is, the specific quantity of the hardware, how it is to be used, and whether or not the hardware is to be (a) exported permanently from the U.S. to the foreign party, (b) exported temporarily from the U.S. to the foreign party, (c) temporarily imported from the foreign party to the University, or (d) permanently imported from the foreign party to University.

13. What technical data will be transferred to the foreign party by the University?

14. Provide a very well defined description of how the University intends to work with the foreign party and what types of technical data will be exchanged. This can be in the form of the program Statement of Work. (You also may want to list the information or data the University will specifically not disclose to the foreign party(ies).)
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15. What is the value of this TAA? An estimated value of the agreement is required for the TAA.

Of the total value we need to determine:

(a) what is the value of the defense service/assistance being provided to the foreign party (i.e., University labor);
(b) what is the value of the technical data to be provided to the foreign party; and
(c) what is the value of the hardware to be permanently exported:
the value of the hardware to be temporarily exported:
and the value of the hardware to be temporarily imported into the U.S.:

An example of the cost information breakdown associated with the TAA is provided as follows:

<table>
<thead>
<tr>
<th>Description</th>
<th>Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>Technical Data</td>
<td>$100</td>
</tr>
<tr>
<td>Defense Services</td>
<td>$500</td>
</tr>
<tr>
<td>Hardware</td>
<td></td>
</tr>
<tr>
<td>Permanent Export by DSP-5 or by 123.16(b)(1)</td>
<td>$500</td>
</tr>
<tr>
<td>Exemption</td>
<td>$1000</td>
</tr>
<tr>
<td>Temporary Export by DSP-73</td>
<td>$100</td>
</tr>
<tr>
<td>Temporary Import by DSP-61</td>
<td></td>
</tr>
<tr>
<td>Total Licensed Hardware</td>
<td>$6600</td>
</tr>
<tr>
<td>Hardware Manufactured Abroad (MLA only)</td>
<td>$0</td>
</tr>
<tr>
<td>AGREEMENT TOTAL VALUE</td>
<td>$7200</td>
</tr>
</tbody>
</table>

The total estimated value of your TAA should be at or slightly higher than your contracted value. The ITAR rule is the actual value of goods sold cannot exceed the value of a license or TAA by more than 10%. There is no penalty for being too low. **If you are having difficulty coming to a final TAA value, contact your departmental export compliance administrator or the ECO for additional guidelines.**

**IMPORTANT:** There are additional statements and signatures required if the value of the TAA paid to a foreign company exceeds $500,000 or congressional notification\(^1\) is required. Contact the ECO if that is the case.

\(^1\) The State Department is required to notify Congress of sales of Significant Military Equipment or those that exceed designated monetary thresholds. The notification process can add several weeks to TAA processing.
16. If available and appropriate, provide any supporting brochures, pamphlets, descriptions, data, etc. that may help DTC understand what is going to occur in association with the TAA. They do not need the drawing and specs of the screws but more system level information or a more detailed description of what is going to occur. Again, this information is helpful but not required.

17. Will any information related to manufacturing be associated with this agreement? If so, then additional statements and information will need to be included and the TAA will change to a Manufacturing License Agreement (MLA).

18. Are there any U.S. patents on file in association with the agreement? If so, list the patent numbers.

19. Are Foreign Military Credits being used in association with this agreement? Typically no, but if yes, then contact the ECO.

20. Send the information to the ECO with a copy to your departmental export compliance administrator. They will generate the TAA for your review, then the transmittal letter.

Note: The TAA package must be submitted to the Department of State by the Empowered Official of the University. Please factor in an additional three weeks for that review and approval time.