

## Vendor Certification for ITAR

The University of Arizona (U of A) requires the purchase of services or commodities that are subject to export control regulations. Before a Request for Quote (RFQ) and any technical data required to complete the bid process can be sent to a vendor, the following certification must be completed, signed, and returned to the University of Arizona.

**WARNING:** Any technical data provided to Vendor is regulated by the Export Control laws of the United States Government. Violations of these export laws are subject to severe civil or criminal penalties. This data is not to be placed in the public domain, exported from the United States or given to any non-U.S. person without prior, specific written authorization by the U of A.

Technical data such as drawings, specifications, blueprints, photographs, plans, or other similar data provided with this order are the property of the U of A and are to be used solely for bidding purposes as prescribed in the RFQ or any resulting Purchase Order. Vendor shall protect all drawings with the same due care and diligence with which it protects its own property. Copies shall only be made if crucial to performance. All original drawings and copies thereof shall be destroyed if Vendor submits a "no bid," fails to respond to the RFQ, or if award is not granted to Vendor. Further, Vendor is to destroy drawings, etc. at the completion of any resulting contract. If it is determined that there is a reasonable need to retain this material, then a request should be forwarded to UA in writing. If granted, UA will respond in writing. In some instances, UA may allow the retention of original drawings for the purpose of possible additional production.

Please answer Additional Question for CUI (if applicable), then sign and date this document to certify you have read and understand all provisions that apply. Return the entire signed document via email to the University of Arizona representative as soon as possible so you may receive the RFQ and/or any resulting Purchase Order award from The University of Arizona.

## Vendor Certification for ITAR

Vendor: _____ Address: _____ _____	Contact: _____ Email: _____ Phone: _____								
<p>Pursuant to the laws of the Arms Export Control Acts (22 U.S.C. § 2751, et seq.) or the Export Administration Act of 1979, as amended, (50 U.S.C., App. § 2401 et seq.), the University of Arizona (U of A) requires vendors to certify and affirm the following by their signature below:</p> <ul style="list-style-type: none"><li>Vendor is a "U.S. owned and operated" and registered with the Department of State prior to receiving any drawings or technical data.</li><li>Vendor will ensure that any third-party subcontractors are U.S. persons (U.S. Citizens, Lawful Permanent Residents of the United States, or protected individuals). Vendor is responsible for maintaining proof of subcontractor eligibility.</li><li>Vendor is an "entity that is incorporated to do business in the United States."</li><li>Technical data associated with this project will not be shared with any non-U.S. person (a person who is not a U.S. Citizen, Lawful Permanent Resident of the United States, or a protected individual) employed at Vendor's facility.</li><li>Vendor must immediately notify U of A in writing of any change in the status of ownership or operations.</li></ul>									
<p>This certification is being submitted for the following: <i>(U of A to identify items with "X", vendor to initial each section to certify):</i></p>									
<div style="text-align: right; font-weight: bold; margin-bottom: 10px;">Vendor Initials</div> <div style="display: flex; justify-content: space-between;"><div><input type="checkbox"/> The information provided to Vendor is designated Controlled Unclassified Information (CUI) and shall be transferred and secured <b>per the requirements in NIST SP 800-171 Rev 2</b>. <i>If this option is checked Vendor must answer the additional questions on the following page</i></div><div style="border-bottom: 1px solid black; width: 150px;"></div></div> <div style="display: flex; justify-content: space-between;"><div><input type="checkbox"/> The technical data is controlled by the International Traffic in Arms Regulations (ITAR)</div><div style="border-bottom: 1px solid black; width: 150px;"></div></div>									
<b>Vendor Authorized Signer</b>  <table style="width: 100%;"><tr><td style="width: 50%; border-bottom: 1px solid black; margin-bottom: 5px;">Name</td><td style="width: 50%; border-bottom: 1px solid black; margin-bottom: 5px;">Title</td></tr><tr><td style="border-bottom: 1px solid black; margin-bottom: 5px;">Signature</td><td style="border-bottom: 1px solid black; margin-bottom: 5px;">Date</td></tr></table> <b>University of Arizona Representative</b>  <table style="width: 100%;"><tr><td style="width: 50%; border-bottom: 1px solid black; margin-bottom: 5px;">Name</td><td style="width: 50%; border-bottom: 1px solid black; margin-bottom: 5px;">Title</td></tr><tr><td style="border-bottom: 1px solid black; margin-bottom: 5px;">Email</td><td style="border-bottom: 1px solid black; margin-bottom: 5px;">Phone</td></tr></table>		Name	Title	Signature	Date	Name	Title	Email	Phone
Name	Title								
Signature	Date								
Name	Title								
Email	Phone								

### Additional Questions for CUI

If the information provided to Vendor is designated <b>Controlled Unclassified Information (CUI)</b> , please answer the following questions:		
	Yes	No
1. Vendor and vendor's employees/contractors are trained to handle CUI:	<input type="checkbox"/>	<input type="checkbox"/>
2. Vendor has documented procedures and policies around CUI, cybersecurity, and export controls:	<input type="checkbox"/>	<input type="checkbox"/>
3. Vendor has conducted a recent self-assessment and/or submitted SPRS score: ➤ If yes, date of self-assessment: _____ Date of score submittal: _____	<input type="checkbox"/>	<input type="checkbox"/>
4. How will Vendor maintain encryption of shared technical specifications? _____ _____		
5. Vendor can support packaging parts in an internal box with appropriate markings (ITAR/EAR/CUI) with an external plain box addressed to the University of Arizona:	<input type="checkbox"/>	<input type="checkbox"/>
6. Vendor has marking requirements for parts once they are manufactured: ➤ If yes, explain requirements: _____ _____	<input type="checkbox"/>	<input type="checkbox"/>
7. Vendor plans to use subcontractors or lower-tier suppliers: ➤ If yes, are entities compliant with cybersecurity and CUI-handling requirements? ➤ How will CUI be handled by entities? _____ _____	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>
8. Vendor has an incident response plan for CUI in compliance with the 72-hour reporting requirement: ➤ Method for providing forensic data, if required: _____ _____ _____	<input type="checkbox"/>	<input type="checkbox"/>
9. Select the method(s) of data transfer to and from Vendor's organization that meet all NIST 800-171 requirements: ➤ Secure encrypted email ➤ Secure transfer portal provided by your organization ➤ Shipment of encrypted drive	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>