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*f* high risk areas  
*f* critical laws  
*f* scope of controls  
*f* export control lists  
*f* resources



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U.S. laws that regulate:

- f* the distribution of strategic items
- f* to foreign nationals and foreign countries.
- f* implement sanctions.

For reasons of:

- f* National security
- f* National competitiveness
- f* Human rights

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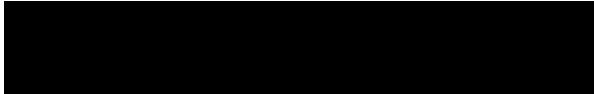
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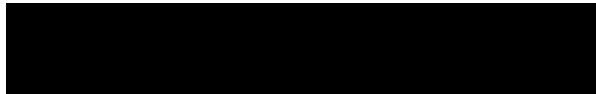


Laws apply to activities of every US citizen and company when –

*f* Sending or sharing controlled items to a restricted country.

*f* Transmitting controlled items to foreign nationals from restricted countries within the U.S.

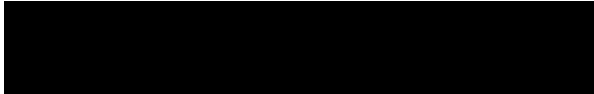
“Deemed Exports”



f High risk areas:

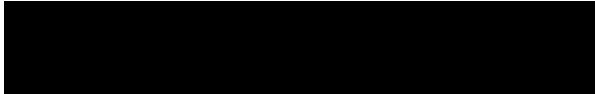
- engineering
- computer sciences
- crypted software
- biological agents
- space sciences
- biomedical research (lasers)
- controlled chemicals
- toxins

f Research or "defense services" in certain foreign



Dept of State, Dir. of Defense Trade Controls  
f International Traffic in Arms Regulations (ITAR)  
f Military items or defense articles or technical data; space





This is the good news!



9FundamentalResearch

9PublicDomain

9EducationalInstitution activities

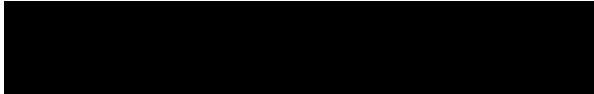


*Applies to much of PUI's activity*



APPLIES TO INFORMATION

Already published and found in  
f Libraries open to the public  
f Unrestricted



*CONSIDER HIGH RISK AREAS/DISCIPLINES*

Presentations/discussions of previously unpublished research at conferences where foreign national scholars may be in attendance.

Research collaborations with foreign nationals from controlled countries and technical exchange programs involving controlled items/country.

Shipping controlled research equipment abroad (almost always).

Visits to your lab by foreign scholars (if equipment/country controlled, depends on level of access).





*What list? What controls?*

f State (USML) or Commerce (CCL)?

f Rule: its State until its Commerce.

f Commodity Jurisdiction or self-classify

f State:

military items, defense services, space, satellites,  
classified, government labs...

f Commerce:

research equipment, use technology...

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*What is the item?*

Alpha index<sup>1</sup> / potential ECCNs

Look up ECCNs on CCL<sup>1</sup>

f if specs match, classify item and continue.

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*Where is it going?*

- Check "list based exceptions": identified by "country group"
- Check transaction based exceptions, e.g. Baggage
- Conclude License Exceptions available and No License Required OR prepare to apply for a license
- Document use of any License Exception

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*Where is it going/End use/End user.... more*

- Is the country embargoed? (Treasury)
- Check Restricted Entities list, Specially Designated Nationals (Treasury)
- Use Export.gov consolidated list.

*Can do this first!*

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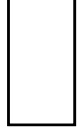
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Smartphone

*f*



Is it fundamental research?

Is it educational activity?

Is it publicly available info?

All are EXCLUSIONS from  
Export Control Laws

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What is my item?

*f* On a list? Why?

Where is it going?

*f* A controlled or embargoed country?

What will be the end use?

*f* Why are you taking the item?

Who will receive it?

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**fUniversitySites:**  
 Vanderbilt  
 Stanford– decisiontree  
 U. Texasat Austin  
 WorcesterPolytechnidnstitute  
 Councilon GovernmentRelations(COGR)

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**CommerceBISonlinetraining:**  
 f <http://www.bis.doc.gov/seminarsandtraining/seminar/training.htm>  
**Consolidatedists to check**  
 f [http://export.gov/ecr/eg\\_main\\_023148.asp](http://export.gov/ecr/eg_main_023148.asp)  
**TreasuryEmbargoesFAQ**  
 f <http://www.treasury.gov/resourcecenter/faqs/Sanctions/Pages/answer.aspx>

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