

Short Briefing for Academic and Research Personnel

Export Compliance in a Nutshell

PROPERTY/TANGIBLE ITEMS

- Do Not Ship or Transport Any Equipment Out of the U.S. without first consulting the Export Control Administrator (email m.copeland@uci.edu) to determine if a license is required.

Export regulations govern any transfer of physical objects (be it equipment, compounds, materials, prototypes, specimens, or components) outside the United States. Taking equipment on a ship to use in an experiment is considered an export, even though the equipment is never transferred to a foreign party. There are many exports that do not require a license (depending on what and where the item is being sent), as well as many exceptions. When a license is required, UC has always been able to obtain one. Simply check first with the Office of Research Administration to assure that you do not violate export laws.

- Researchers frequently need to take university equipment temporarily outside of the United States for use in university research. Often, but not always, the “tools-of-trade license exception” applies.¹ Some equipment (e.g., global positioning systems (GPS), thermal imaging cameras, inertial measurement units, and specialty software) is highly restricted and may require an export license for you to take it, even if you hand carry it. If you are taking university equipment other than your laptop computer, PDA, cell phone, and data storage devices, contact the Export Control Administrator to determine if an export license or other government approval is required prior to your taking the equipment out of the country.

WRITTEN MATERIALS

- Publish regularly and share openly all technical data (blue prints, designs, drawings, scientific results).

Export regulations control transfers to foreign persons inside the U.S., in addition to sending the technical data overseas via email or oral disclosure. However, there is an exception for educational activities and any results of research that is intended to be broadly shared in the scientific community. Maintaining open sharing of research with your foreign students and colleagues, both within the U.S. and abroad is an essential ingredient to avoid violating the export regulations.

¹ *Tools of Trade Definition: Usual and reasonable kinds and quantities of commodities and software for use by the exporter or employees of the exporter in a lawful enterprise or undertaking of the exporter.*

- Do not enter into secrecy agreements or otherwise agree to withhold or delay publication and dissemination of research results. Do not accept proprietary data that is marked “export controlled”. Contact the Office of Research Administration if any program officer asks that you limit or restrict disclosure of results or participation of foreign persons.

RESEARCH IN CERTAIN COUNTRIES

- Contact the Office of Research Administration if research is to be conducted in Cuba, Iran, North Korea, Sudan and Syria for a license from the Office of Foreign Assets Control.

PENALTIES FOR EXPORT-CONTROL VIOLATIONS

- Violations of export control laws are subject to both criminal and administrative penalties. The penalties vary depending on the circumstances (including, whether it was a “willful” violation), and the penalties for violations can include jail time and/or fines. Please note that export control violations and penalties can apply to the individual, the university, or both. If you violate export control laws, you, as an individual, could face fines and/or jail time.