



Export Control Policy



Introduction to Export Control Regulations



What is subject to control?

The following items may be subject to control:

All items in the United States, including in a U.S. Foreign Trade Zone or moving in transit through the United States from one foreign country to another

All U.S. origin items wherever located

Foreign-made commodities that incorporate controlled U.S.-origin commodities

foreign-made commodities that are 'bundled' with controlled U.S.-origin software

foreign-made software that is commingled with controlled U.S.-origin software

foreign-made technology that is commingled with controlled U.S.-origin technology

Certain foreign-produced "direct products" of specified "technology" and "software,"

Certain foreign-produced products of a complete plant or any major component of a plant that is a "direct product" of specified "technology" or "software"

items listed on the Commerce Control List

Items on the US Munitions List



What is an Export?

An export is any oral, written, electronic or visual disclosure, shipment, transfer or transmission of commodities, technology, information, technical data, assistance or software codes to:

anyone outside the U.S.
including a U.S. citizen

a "foreign national" - wherever
they are (deemed export)

a foreign embassy or affiliate



How does an export occur?

An export may happen through:

A demonstration

Oral briefing, conversation (even if overheard)

Telephone call or message

Lab visit

Conference or meeting presentation

Email, fax or letter

Hand carried document, hardware or drawing

Design review

Posting of non-public data on inter-or intranet

Carrying laptop, flash drive, smart phone, etc. overseas

Collaborating with other universities on research projects

Who is a Foreign National?

A "Foreign National" is any person who is NOT a:

- U.S. Citizen or National
- U.S. Lawful Permanent Resident
- Person Granted Asylum
- Person Granted Refugee Status
- Temporary Resident

"Foreign Nationals" include:

- Persons in the U.S. in non-immigrant status (H-1B, H-3, L-1, J-1, F-1 Practical Training, L-1)
- Persons unlawfully in the U.S.

How does something become export controlled?

Controlled items or technologies

Subject to regulation and found on a control list
(CCL or USML)

Destination

Especially: Cuba, Iran, North Korea, Syria, China

End Use

Weapons proliferation, nuclear technology,
acting with knowledge of a violation

End User

Restricted parties, foreign military units or forces

Where can I find a list of export-controlled items?

The lists of controlled items and technology are extensive. The lists are dependent on the regulatory framework that describes them.

Regulation	List	Citation
Export Administration Regulations	Commerce Control List	15 C.F.R. § 774
International Traffic in Arms Regulations	U.S. Munitions List	22 C.F.R. § 121
Nuclear Regulatory Commission	Export and Import of Nuclear Equipment and Material	10 C.F.R. § 110.8-9a
Assistance to Foreign Atomic Energy Activities	Special Nuclear Materials	10 C.F.R. § 810



Export Control Policy

New formal policy

Previously have operated under only under a Compliance Manual

Need formal policy statement to establish compliance expectations and better position UofL to pursue expanded funding opportunities



Policy Feedback

A form has been created to collect feedback from constituency groups.
The link and QR code are available below.

<https://forms.office.com/r/rFB8pS1xmG>





Questions?

Direct further questions / issues to:

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References:

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