

## Export Controls “Top Ten” List

### *Considerations for All University Employees*

1. Export Control laws and regulations apply to all employees and students, not just those working on sponsored projects.
2. Three federal agencies have main cognizance over various aspects of export controls:
  - a. Department of Commerce for civilian and “dual-use” technologies.
  - b. Department of State for military technologies.
  - c. Department of the Treasury for economic and political sanctions.
3. There are two kinds of exports:
  - a. Physical shipments of technology and equipment to a foreign location.
  - b. Deemed exports, that is the disclosing of technical data to a foreign national or the training of a foreign national in the U.S. in the use of certain equipment.
4. Most of what universities do is covered by one or more exclusions from the federal regulations --- BUT:
  - a. Any restrictions on publications destroy the fundamental research exclusion.
  - b. Any restrictions on foreign nationals destroy the fundamental research exclusion.
  - c. Side agreements can destroy the fundamental research exclusion.
5. If an export license is required, it can take several months to obtain, depending on the agency and the complexity of the situation.
6. Foreign travel can be a problem depending on which country is visited and what one takes on the trip.
7. Visits by foreign colleagues to Marquette University need to be screened. These are usually individual screens, but screening of equipment/technology may also have to be performed to which the individuals will have access.
8. Foreign visitors, consultants, collaborators, and students must be screened. These are usually individual screens, but screening of equipment/technology may also have to be performed to which the individuals will have access.
9. Violations of export control laws and regulations carry *very stiff* criminal and civil penalties.
10. As a general rule, care must be taken to contact the Office of Research and Sponsored Programs with any questions you may have about whether export control regulations apply to your activities and research.