Export Control Tools for Buyers
Welcome and Training Objectives

- How U.S. export control regulations operate and impact higher education
- Overview of Key Compliance Role of Purchasing
- The actions necessary to purchase controlled items in a compliant manner
- UCR's team approach to Compliance
Export Control Compliance has Many Roles

- Travel
- Purchasing
- Accounts Payable
- Equipment
- Human Resources
- Visa Services
- Research
- Sales & Service
- International Shipments

Export Controls
Why Do We Have Export Regulations?
What ARE Export Controls for?

- **EAR**
  - Commerce
  - Dual Use Items

- **ITAR**
  - State
  - Military Items

- **OFAC**
  - Treasury
  - Sanctioned Countries

*** Contact UCR Export Control for questions concerning other agencies such as Energy, Nuclear Regulatory, AFAEA
Export Controls: What are they and what do they do?

U.S. Laws and Regulations which restrict:

- Distribution of technologies, equipment, hardware and software; and
- Technical assistance to foreign nationals, foreign countries and listed individuals & entities; and
- Payments and services to listed individuals, entities, and comprehensively sanctioned countries for reasons of foreign policy and national security.
Commodity Classification

- ITAR vs EAR?
- EAR 99?
Items have an Export Control Classification Number (ECCN) containing
5 alpha-numeric characters
Example ECCN: 0A981

('Equipment designed for the execution of human beings...')
ITAR – military use

XII (c)
Notifications which identify controlled items?

Check the fine print!

“Buyer is responsible for compliance...with U.S. export control laws and regulations....”
The UC’s New 3 Step Approach

1. Look for RED FLAGS
   - MILITARY
   - NAVIGATION
   - AVIONICS
   - RADAR
   - NIGHT VISION

   See page 2 for additional red flags.

2. Send the VENDOR these QUESTIONS
   - Is the item a defense article or considered strategic goods? If yes, please provide the ITAR category.
   - Is the item a dual use article controlled under the EAR? If yes, please provide the Export Control Classification Number (ECCN).

3. Follow the DECISION TREE
   - ITAR? International Traffic in Arms Regulations
     - NO: Export Administration Regulations
       - EAR? Export Control Classification Number
         - EAR99: BUY IT!
         - ECCN: EXPORT CONTROL OFFICER
       - NO: CONTACT EXPORT CONTROL OFFICER
     - YES: BUY IT!
     - NO: NOTIFY EXPORT CONTROL OFFICER
   - STOP!
Step 1

Follow the Red Flags
What are Red Flags?

<table>
<thead>
<tr>
<th>RED FLAGS</th>
</tr>
</thead>
</table>
| - Night vision or infrared cameras  
- Sonobuoys and submersible vessels  
- Navigation, defense equipment or avionics equipment  
- Military communications systems or high frequency radio apparatus  
- Military electronics or items with ruggedized components  
- Radar equipment  
- Unmanned aerial vehicles (UAVs)  |

| - Satellite components or accessories  
- Radiation-hardened equipment or components  
- Lasers  |

| - Gas monitoring or filtration devices  
- Optical lens or photonic instruments or components  
- Oscilloscopes or spectrometers  
- Granimeters  
- Fiber optic cables and filaments  |

| - Biological agents  
- Vaccines  
- Food testing kits  |

| - Nuclear or radioactive devices  
- Semiconductors  |

| - Any of the following terms in correspondence with the vendor:  
  - “No foreign nationals”  
  - “ITAR”  
  - “USML Category”  
  - “ECN”  
  - “Export restricted”  
  - “U.S. only”  |

| - You are asked to complete an “end use” statement  |

| - The item will be shipped to a destination outside the U.S.  |

This list is not exhaustive. Consult your Export Control Officer listed at the bottom of this page 1 for further information.
Step 2

Ask the right questions

- Defense Article?
- Dual Use? Controlled Under the EAR?
- ECCN?
- Military or Restrictive Non-Civilian Purpose?
Step 3
Follow the Decision Tree
Scenarios:

- Vendor won’t provide control status
- ITAR Items are accepted into Inventory
- End-User wishes to return item to foreign source
How do institutions get in trouble?

- Ignore Export Control Terms & Conditions
- Fail to escalate concerns and Red Flags
- Receive Controlled Technology without solutions such as Technology Control Plans
- Fail to apply for licenses for licensable Activities
Questions?

Contact
Charles Greer
Associate Vice Chancellor for Research
951-827-3093
charles.greer@ucr.edu