

# Export Control in a Nutshell – Avoiding Severe Federal Penalties

## Short Briefing for Academic and Staff Personnel

### PROPERTY/TANGIBLE ITEMS

- Do not ship any equipment, material or technologies outside of the U.S. without first conferring with your campus export office 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. 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 had success in obtaining them as needed. Simply check first with your campus office by emailing [export@ucsc.edu](mailto:export@ucsc.edu).

### 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.

- 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”. Refer companies to your campus Office of Sponsored Projects so they can work out acceptable terms for a non-disclosure agreement. Contact your campus Office of Sponsored Projects if any program officer asks that you limit or restrict disclosure of results or participation of foreign persons.

### RESEARCH IN CERTAIN COUNTRIES

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

Note: Restrictions change frequently- Contact [export@ucsc.edu](mailto:export@ucsc.edu) to check current restrictions before starting work in a foreign location

## TAKING YOUR LAPTOP ABROAD – THE TEMPORARY/TOOLS OF TRADE LICENSE EXCEPTION\*

Academic and scientific staff may take their laptops or other internet connected electronic devices with them overseas without needing a license as long as all of the following conditions are met:

- Laptop is used for activities related to your university work of teaching and research
- Laptop must remain in your physical possession and may not be lent to or used by foreign persons
- Encryption commodities and software must be pre-loaded on the laptop (however, not all encryption software may be temporarily exported, so if you have some high-powered or unusual encryption software that you use in your work, contact [export@ucsc.edu](mailto:export@ucsc.edu) to make sure that such encryption software is eligible for the temporary/tools of trade exception
- The laptop may accompany you or be shipped no more than one month in advance of your departure and must be returned as soon as possible but no later than one year after export
- This exception to a license requirement may not be used for travel to Cuba or Sudan

\* This exception can also cover other types of equipment used to support university sponsored research or educational activities conducted abroad and is not limited to laptops. If you are traveling abroad to conduct research and need equipment shipped from the U.S. to the foreign country, consult with your campus office responsible for export compliance because the exception may extend to all the equipment and supplies that will be used in the research.

### UCSC CAMPUS CONTACTS

For general export control questions, contact [export@ucsc.edu](mailto:export@ucsc.edu).

For shipping items out of the country and related questions, contact EH&S: [ehs@ucsc.edu](mailto:ehs@ucsc.edu)

For sponsored research agreement related questions, contact the Office of Sponsored Research: <https://officeofresearch.ucsc.edu/osp/dept-div-assignment.html>

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