

THE UNIVERSITY OF ALABAMA OFFICE OF RESEARCH EXPORT CONTROL CHECKLIST FOR FACULTY

It is the policy of the University of Alabama that, absent extraordinary circumstances, teaching, research, and service will be accomplished openly and without prohibitions or restrictions on the publication and dissemination of the results of academic and research activities. Certain federal regulations, however, may require the University to obtain permission from the Department of State, the Department of Commerce, or the Office of Foreign Assets Control before allowing foreign nationals to participate in research involving specific technologies or before sharing research information with persons who are not citizens of the United States or permanent resident aliens.

These export control regulations have the potential to limit the research opportunities of University researchers and their students, affect publication rights, and prevent international collaboration in certain research areas. In addition, violations of these export control regulations can result in the loss of research contracts, monetary fines, or incarceration in the penitentiary. *The regulations do not apply, however, to information that is in the public domain or to information that is the result of fundamental research activities.*

As a faculty member, there are several important items that must be considered related to export control prior to becoming the Principal Investigator for an extramurally funded project. You are the person most qualified to decide if your research falls within covered areas. **Please note that your project should be reviewed periodically as the applicability of export control regulations could change based on the direction of the research, changes in the status of controlled information and technology or changes in the law and regulations.**

Any research activity may be subject to export controls if it involves the actual export or “deemed” export of any goods, technology, or related technical data that is either 1) “dual use” (commercial in nature with possible military application) or 2) inherently military in nature.

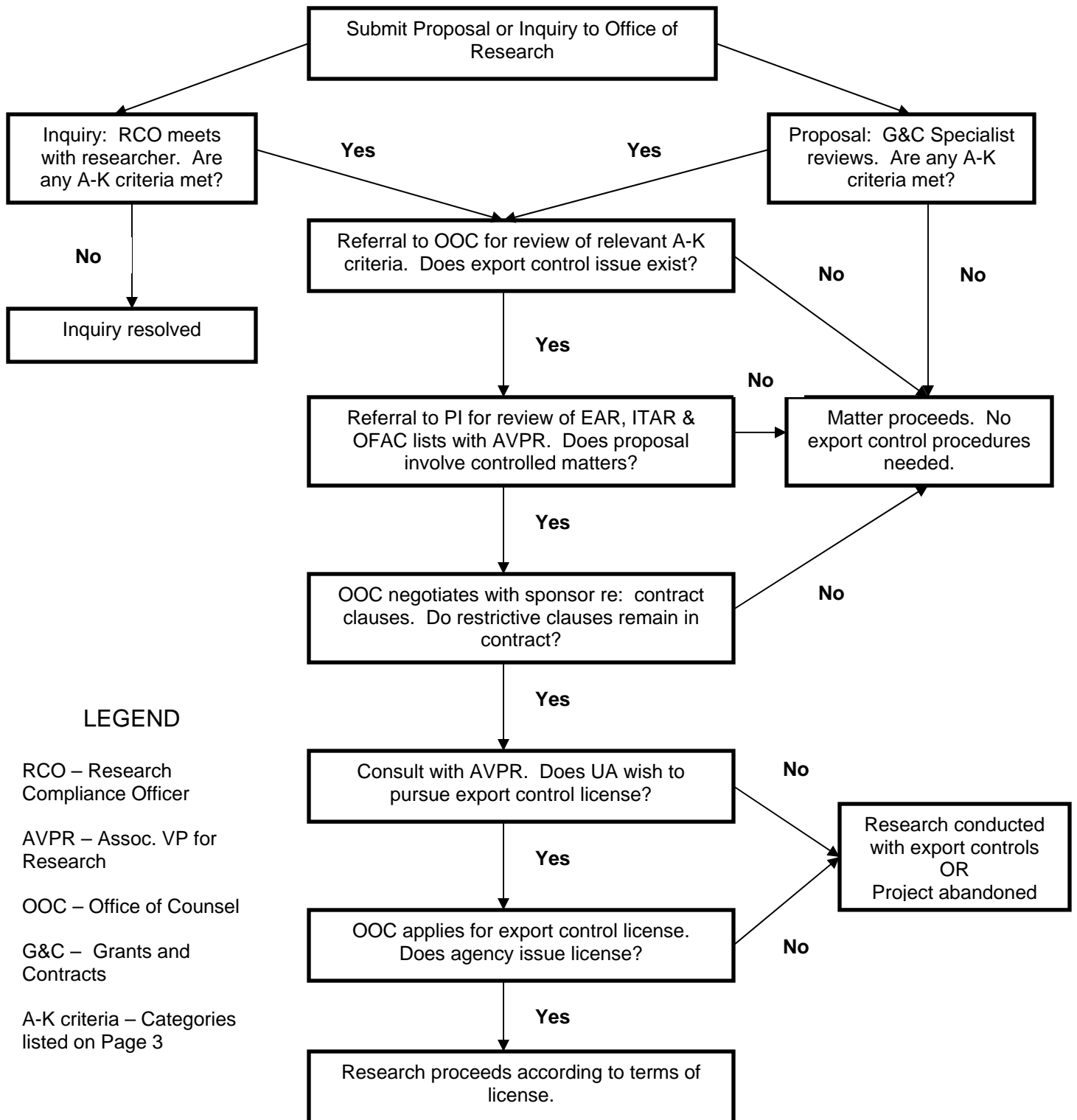
Work in the following areas is considered high risk:

- Engineering
- Space sciences
- Computer Science
- Biomedical research with lasers
- Research with encrypted software
- Research with controlled chemicals, biological agents, and toxins

In addition, any of the following raise export control questions for your project:

- Sponsor restrictions on the participation of foreign nationals in the research
- Sponsor restrictions on the publication or disclosure of the research results
- Indications from the sponsor or others that export-controlled information or technology will be furnished for use in the research
- The physical export of controlled goods or technology is expected

FLOWCHART FOR RESOLVING EXPORT CONTROL ISSUES



LEGEND

RCO – Research Compliance Officer

AVPR – Assoc. VP for Research

OOC – Office of Counsel

G&C – Grants and Contracts

A-K criteria – Categories listed on Page 3