

University of California – Policy
Export Controls

Appendix 1: Sample Responsible Offices Chart – sample activities that may involve export issues

	Sponsored Projects (Inc. Fed/State/Priv Sponsors)	Technology & Industry Alliances	BFS - Business Contracts	BFS - Procurement	Departmental Administrators	Shipping/ Mail Rooms	OISS, Travel & Entertainment, etc.	Legal Counsel	Research Integrity	Faculty	Material Managers	Human Resources	Cooperative Extensions
Maintaining Openness in Research, Avoiding Deemed Exports and Defense Services	Sponsored Research Agmts; RFPs; NDAs; Design Kits; Records	MTAs, Software Licensing; Patents; Records	Sales & Service Agmts; Outside User Recharge Activities & PO's	Purchase Orders; Subcontracts; Money transfers; Records	Sponsored Research Agmts; RFPs; NDAs; Design Kits; Purchases; Recruiting; Reporting; Records		Recruiting; visas; I-129s; Records	Advise; help resolve issues; disclosures; investigations	Licensing; classification; I-129s; Foreign Nat'l Screening; Tech Control Plan; Investigations; IRB-res abroad; Records	Research; Recruiting; teaching; training; ID issues; help identify/classify controlled items	Safeguarding on-site-controlled equipment; Records	Recruiting, Screening, Hiring	Research; Recruiting; teaching; training; ID issues; help identify/classify controlled items;
Shipping, Physical exports by any means		Export of tangible goods, e.g., research samples, equipment, internat'l collaborations; Records		Export of tangible goods, e.g., research samples, equipment; international collaborations; Records	Export of tangible goods, e.g., research samples, equipment; international collaborations; Records	Export of tangible goods, e.g., research samples, equipment; Records Determining export classification		Advise; help resolve issues; disclosures; investigations	Export Licensing; Determining export classification or Assist in determining complex export classification; Records	Export of tangible goods (e.g. research samples, equipment); international collaborations	Equipment disposition or sale to foreign or restricted parties; on-site safeguard controlled equipment; Records		
Restricted party screening	Sponsored Res Agmts, Subcontracts; RFPs; NDAs; Design Kits; Records	MTAs, Software Licensing; Patents; Records	Sales & Service Agmts; Outside User Recharge Activities & PO's	Purchase Orders; Subcontracts; Payments (transfer of funds); Records	Purchase Orders; Exports; Records	Export of tangible goods, e.g., research samples, equipment; Records	Recruiting, visas, I-129s; Records	Advise; help resolve issues; disclosures; investigations	Export Licensing; I-129s; determining export classification; Records	Identify researchers and access points if not conducting FRE research		Recruiting, Screening, Hiring	
Travel					Know regulations; assist in obtaining OFAC licenses; Records		Know regulations; assist in obtaining OFAC licenses; Records	Advise; help resolve issues; disclosures; investigations	Assist in determining license reqts, and obtaining approp licenses; IRB-research abroad; Records	Know regulations; assist in obtaining OFAC licenses			
Sanctioned countries (services, travel, exports/ imports)	Sponsored Research Agmts & Subagmts; NDAs; Records	MTAs; Software Licensing; Patents; Records	Sales & Service Agmts; Outside User Recharge Activities & PO's	Subagmts and other misc outgoing agmts; Records	Sponsored Res Agmts/Subagmts; NDAs; POs; Payments; Exports; Records	Export of tangible goods, e.g., research samples, equipment; Records	Know regulations; help identify activities involving sanctioned countries	Advise; help resolve issues; disclosures; investigations	Assist in interpreting regulations	Know regulations	Equipment disposition /sale to foreign/ restricted parties; Records		