

International Collaborations: Export Controls Script

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Introduction

- The University of California values and encourages **international collaborations**.
- Did you know that there are guidelines you should follow related to international collaborations?
- They influence the sharing of certain items or information with people, institutions, and destinations.
- These guidelines can impact how, when, and with whom you can share certain types of items, information, and interactions when collaborating internationally.
- Knowing who and when to ask for assistance will help you to avoid compromising your research and penalties.
- Let's learn more about **collaboration guidelines, when they apply**, and the **risks** you may encounter.

Collaboration Guidelines

- There are various applicable regulations or other requirements to consider when collaborating internationally.
- You have a shared responsibility with the University to ensure that activities in your university role **comply with U.S. regulations for international collaborations**.
- An example of those regulations is export controls, which control the sharing of certain types of items, information, services, and software between persons inside and outside the U.S.
- When an item or interaction is controlled, that means you **may need a license**.
- If you are not sure if an item or international interaction requires a license, or to request help, **contact your Export Control Office**.
- While the license is issued by the government, your Export Control Office will help you identify when a license or other documentation is needed.

How does this apply?

- Let's look at some specific examples of situations where international collaboration guidelines might apply: **tangible exports, proprietary information, and restricted parties**.

Interactions involving tangible exports

- A license may be required for the export or import of research samples, materials, or equipment.

Research utilizing proprietary information

- Sharing proprietary information may require a license, even if done while conducting fundamental research projects.

Restricted parties

- U.S. government agencies maintain "restricted party" lists. These lists identify individuals, organizations, and countries to whom restrictions apply.
- Restricted parties are identified through Restricted Party Screening (RPS). This allows UC to identify restricted parties, prevent unauthorized interactions with them, and comply with U.S. export control laws.
- As a standard practice, RPS should be performed for all parties involved in **international activities** to determine whether an export license may be needed.
- **Consult your Export Control Office** for help in understanding if and when these international regulations apply.

Risks & Considerations

- There are many situations where **international collaboration risks** are present.
- It is important to **recognize the risks** related to your work with the university, which include:

- a. **Shipping** or hand carrying research samples, equipment, or other items abroad
 - b. **Sharing proprietary information** within the U.S. or abroad
 - c. And any of the activities previously mentioned
- Maintaining healthy international relations is a shared responsibility, and you have a valuable resource you can go to with questions.
- The UC supports its researchers in their academic endeavors.
- Therefore, it aims to provide the best regulatory guidance and information to ensure UC is an engaged global citizen while following U.S. export control regulations.
- Violations of those regulations can result in loss of federal research funding and other penalties.
- When in doubt, **contact your Export Control Office**. They can help you determine the risk of your situation and how to proceed.

Conclusion

- Following U.S. international regulations helps to protect you and the university, while allowing us to continue to engage in collaborative partnerships safely.
- For more information, refer to the UC systemwide [Export Controls](#) training.
- You may also **contact the Export Control or Research Compliance Offices** at your campus or location.
- This message has been brought to you by the University of California Ethics, Compliance & Audit Services and Risk & Safety Training.

Resources:

- [Foreign Influence](#) (UCOP, Ethics, Compliance and Audit Services)
- [Export Control Policies & Guidance](#) (UCOP, Research Policy Analysis and Coordination)
- [Campus Contacts](#) (Export Controls)