



Export Controls In a Nutshell Series (January 2023)



The *Export Controls In a Nutshell Series* is designed to provide a comprehensive overview of key Export Control information in the form of iterative *Research Matters* articles

In This Issue

- 2022 - Export Control Year in Review
- Export Control and International Shipping
- Export Control and International Travel

2022: U.S. Export Controls Year in Review

Russia and Belarus

New Export Controls and Sanctions

- Policy of Denial for Russia/Belarus Export Licenses, generally
- ITAR: Expanded Military End User/End Use Rule (License required if you know that export, reexport, or transfer is intended for Russia/Belarus military end use/user, wherever located)
- EAR: Specific Industry Sector Restrictions -
 - General purpose electronic equipment
 - Specific processing equipment
 - Telecommunications equipment
 - Navigation direction finding equipment, etc.
 - Aircraft, gas, turbine engines, parts
 - Diesel engines, tractors, parts

International Traffic in Arms Regulations (ITAR)

- Department of Defense Trade Controls- State Department, expanded Compliance Program Guidelines (12/5/2022). UAB Export Control Compliance Program Plan currently under review to incorporate any needed revisions.
- U.S. Munitions List was unchanged in 2022.
- Department of State 2022 Monetary Penalties increased due to Inflationary Adjustment

Export Administration Regulations (EAR)

- Semiconductor and Advanced Computing Rule: Bureau of Industry and Security (BIS) imposed major new controls directed towards China's semiconductor and computer industries
- EAR specific new and amended items controlled under this rule include:
 - Advanced Integrated Circuits (ICs)
 - Specified semiconductor manufacturing equipment
 - Computers, electronic assemblies, and components that contain ICs
 - Software for development or production of these items
 - Certain high-performance ICs and computers, electronic assemblies, and components

Export Control and International Shipping

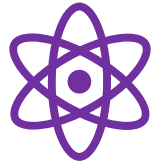
When items leave the United States, they are exports, whether the item is leaving permanently or temporarily. This includes both tangible items (samples, equipment, computer laptops, cell devices, paper documents, etc.) and intangible work products (data transmissions, training and education, expertise or know-how, etc.). A variety of shipping methods may be used, including the U.S. Postal Service, freight forwarders (UPS, FedEx, etc.) or even be hand-carried.

Export Control and International Shipping

Before you ship your item, ask yourself the following questions...



Who am I exporting this item, technology, service or software to?



What item, technology, service, or software I am exporting?



Where is this item, technology, service, or software being exported to?



Why am I exporting this item, technology, service or software?



How is this item, technology, service or software being exported?
(physical, electronic, oral, or visual)

UAB International Shipments - Export Control Review Form

Before You Ship Items Internationally...

Although UAB utilizes a decentralized departmental, or unit processing model for international and domestic shipments, there remain export control regulatory requirements for international shipments. All physical items, equipment, materials, commodities (including food and medicines), software and biologics (collectively “things”) are subject to export control regulations and require some form of shipping review and documentation prior to shipping abroad, even if it will be used for research.

UAB International Shipments - Export Control Review Form

Before shipping anything internationally, please submit the *UAB International Shipments – Export Control Review Form*. A review will be performed in consideration of the item being shipped; its destination; its recipient; and its use abroad. We will also make referrals to the appropriate UAB office (MTA, Biosafety, etc.) as needed. You may access this form at [International Shipping - Export Control | UAB](#)

Export Control and International Travel

Before You Travel



Consider a few key questions while planning your international travel, including:

WHERE are you are going? (each destination)

WHY are you traveling? (UAB business purpose)

WHAT are you carrying with you? UAB equipment? Unpublished research?

WHO will you communicate with? Who will be in your audience?

International Travel To Cuba



U.S. Federal restrictions on travel to Cuba require that all travelers to Cuba from U.S. institutions travel under specific regulatory categories. Most UAB travel to Cuba falls under two categories: Educational tours or Professional research or conferences. Export control review and preparation requires a bit more time. Please plan well in advance to help ensure your successful travel to Cuba.



UAB International Travel Laptop Program

UAB Export Controls is partnering with UAB IT to pilot a secure and comprehensive Loaner Laptop Program. You can expect to experience Easy Setup; Personal Virtual Desktop; Taking your software with you; Virtual meeting capability; Internet connectivity services. Further detail of the Loaner Laptop Program can be found at [International Travel Laptop Program - IT | UAB](#)



Foreign Corrupt Practice Act (FCPA) - Travel Awareness

"The FCPA makes it unlawful for a U.S. person or company to offer, pay, or promise to pay, money to any foreign official for the purpose of obtaining or retaining business"

WWW.TRADE.GOV/US-FOREIGN-CORRUPT-PRACTICES-ACT



International Travel Resources

UAB offers multiple resources to assist with international travel operations, including online registration platform; loaner laptops; Export Control personnel; departmental administrators; Financial Affairs personnel for travel accounting; Office of Sponsored Programs for costing reviews of sponsored international travel budgets.



UAB International Travel Registration (ITR)

Website [Access it here.](#)

- For Your Awareness - International Travel and Avoiding Foreign Corruption

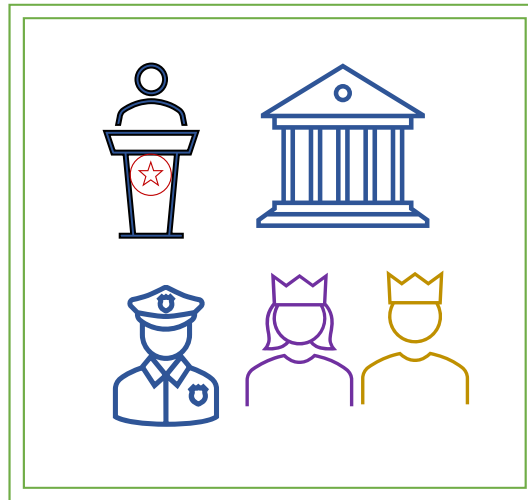
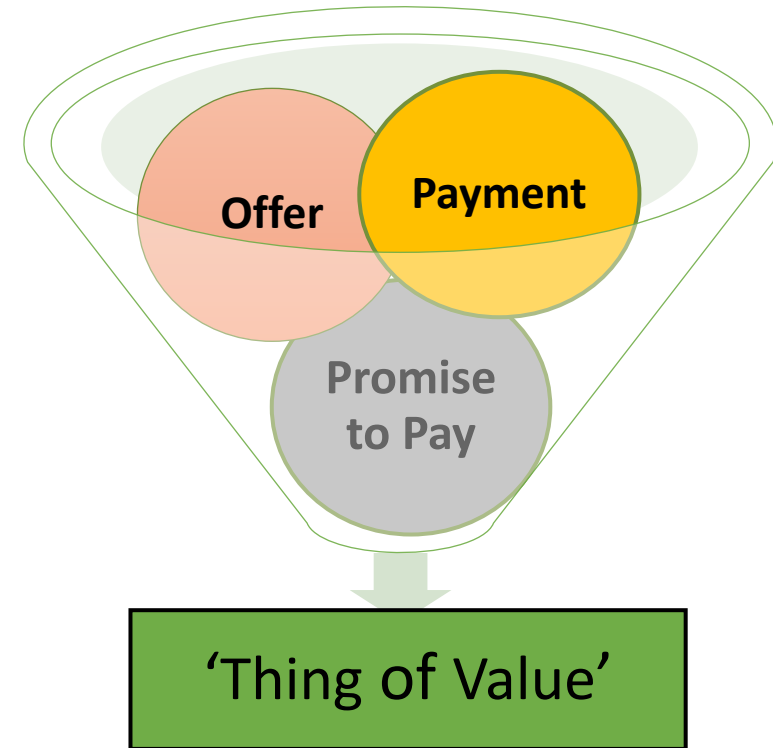
“Perception is all-important. When an institution is perceived to be corrupt, the damage is already done, regardless of whether guilt is manifest.”

TRANSPARENCY INTERNATIONAL GLOBAL CORRUPTION REPORT: EDUCATION 2013

-For Your Awareness – U. S. Foreign Corrupt Practices Act (FCPA)

“The FCPA makes it unlawful for a U.S. person or company to offer, pay, or promise to pay, money to any foreign official for the purpose of obtaining or retaining business”

(WWW.TRADE.GOV/US-FOREIGN-CORRUPT-PRACTICES-ACT)



To any Foreign Official with intent
to corrupt the foreign official



Either within the U.S. or Abroad



Coming up in our next issue of *Export Controls In a Nutshell Series*:



Special Edition

*Conducting Restricted Party Screenings
at UAB*

UAB Export Control Resources



UAB Export Control Website:

<https://www.uab.edu/exportcontrol/>

For Specific Export Control Questions Contact:



Marilyn Thomas, Director
Export Control & International Compliance
Office of Research Regulatory Oversight
(205)996-2735
exportcontrol@uab.edu



Export Controls

In a Nutshell Series

Thank
You!