Export Control Reference Guide

UAB

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Quick Links

Navigation and Basic Tasks

Process	Description
Find Key Items	Find key items on your dashboard
Identify Action Needed	Identify the action needed to be performed on a submission
Open a Submission	How to open a submission
View History	How to view the actions performed on a submission
Find Previous Submissions	How to locate previously submitted submissions
Filter Data	How to use filters to show specific data

Request Workspace

Process	Description
Request Workspace	Overview of the request workspace
Export Control States	Overview of the different states that an export control request may go through
Workspace Tabs	Overview of the resource tabs on the request workspace
Submissions	How to view all the created submissions
Reports	How to view all the available reports
System Roles	Overview of all the user roles and the activities they can perform

Export Control Tasks

Process	Description
Create and Submit a Request	How to create and submit an export control request
Request Types	Overview of the different types of requests including required and optional information to be provided

Prepare for Review

Process	Description
Assign a Reviewer	How to assign a reviewer to a request
Manage Ancillary Reviews	How to assign an ancillary review to a request, you can do this if additional review is needed

Edit the Submission – Respond to a Clarification Request	How to make edits to the submission if a reviewer requests clarifications
Submit a Pre-Review	How to submit a pre-review, this is done when a submission has been created and is ready to proceed to the next level of review

Reviewer Activities

Process	Description
Review a Request	How a reviewer would review a request
Request Clarification	How to Export Control Coordinator would request clarification or changes to the submission, this is done during the pre-review
Submit an Ancillary Review	How an ancillary reviewer would record their review, the EC Review cannot be submitted if an assigned ancillary reviewer has not submitted their review
Submit an Export Control Review	How to submit an export control review using the **Submit EC Review** activity
Record AF, TCP, or License Determination	How to record the Acknowledgement Form (AF), Technology Control Plan (TCP), or License Determination, this is done after the review is complete and if there is a need to upload further documentation
Manage Related Submissions	If there are any export control submissions that you want to related to another submission, you can do this through the **Manage Related Submissions** task
Manage Guest List	How to edit the submissions guest list through the **Manage Guest List** activity, those on the guest list can view the information in the submission but cannot edit the submission
Create Technology Control Plan (TCP) Documents	How to create TCP documents, a TCP is implemented when items listed on the United States Munitions List regulated by the International Traffic in Arms Regulations are used by UAB personnel
Close Project	How to close out a project, if the export control is fully completed and you want to close it out, you can do so with the **Close Project** activity

Facility Management Tasks

Process	Description
Overview of Facility Management	Overview of what you can do in facility management
Create Facility	How to create a facility
Manage Access List	How to manage access to the facility
Deactivate a Facility	How to deactivate a facility

Activate the Facility	How to reactivate a deactivated facility

Reporting

Process	Description
Standard Reports	Overview of the different standards reports available and what they do
Advanced Reports	Overview of the advanced reports available and what they do

Terms and Definitions

Process	Description
Export Control Specific Terms	Overview of terms that are specific to export control and their definitions
Acronyms	Overview of common acronyms within export control and what they mean

Introduction

This is a comprehensive guide for all export control activities that can take place within the Export Control module of MyUABResearch.

Important features covered in this guide include:

- **Navigation and basic tasks**
- **The Export Control Workspace**
- **Creating an Export Control request**
- **Review activities**
- **Facility Management tasks**
- **Notifications and Reporting**
- **Checklists**
- **Terms and Definitions**

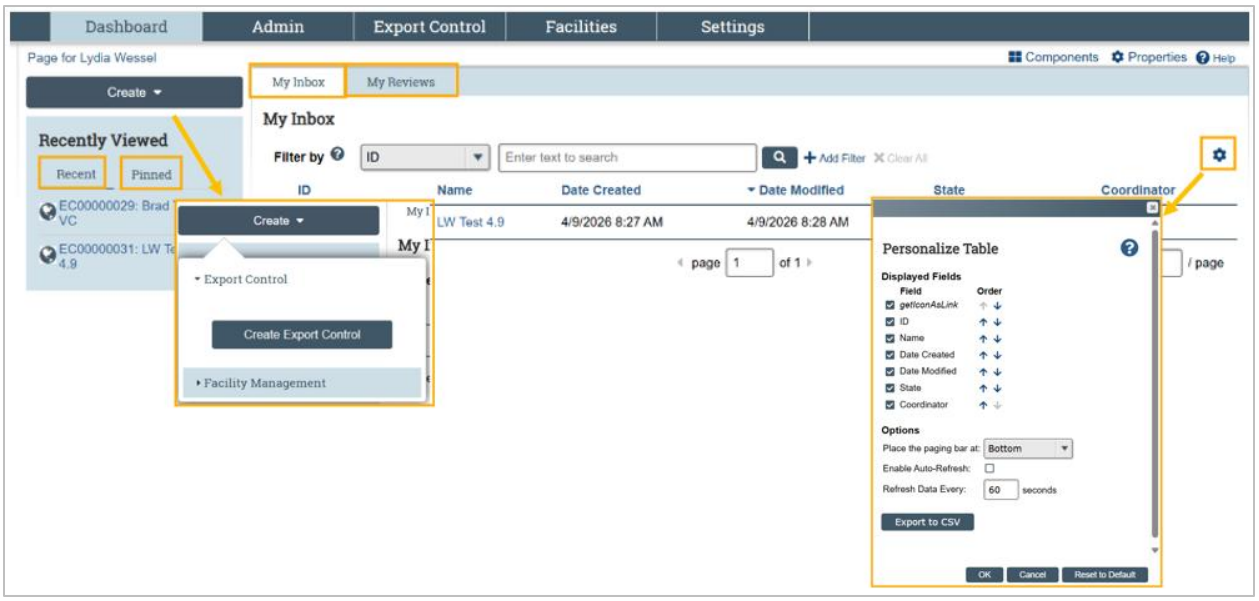
Navigation and Basic Tasks

When you first log in, you will be on your Dashboard, which is the starting point for finding items and performing many basic tasks.

To find key items

From your Dashboard, you can view:

- **My Inbox:** Items that require you to take action.
- **My Reviews:** Items assigned to you to review if you are a reviewer. These are a subset of the items in My Inbox.
    - **Note:** you will not be able to see Export Control (EC) Requests that you are a reviewer for; however, you will be able to view other items that you are a reviewer for (for example, IRB reviews).
- **Recently Viewed:**
    - **Recent**: You will see the last several items you viewed. Scroll through this list to find an item you worked on recently.
    - **Pinned:** You can pin the items in the Recently Viewed section for quick and easy access. This is where those pinned items are listed.
- **Personalize Table:** You can alter the tables displayed on the dashboard by using the Personalize Table gear icon.

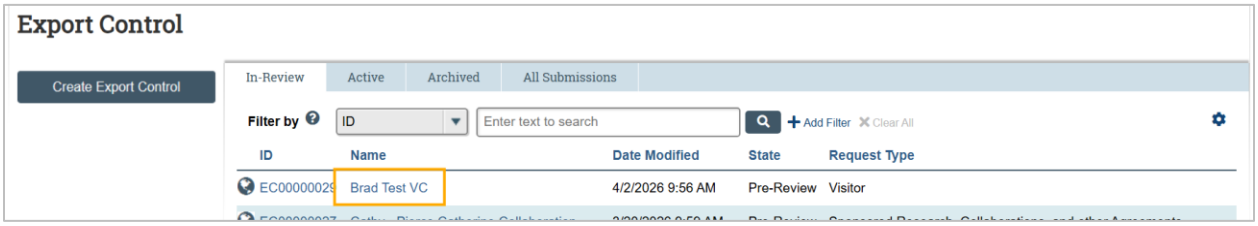


To identify what action is needed

- Review the state of the project in My Inbox. The state gives a clue as to what to do next.

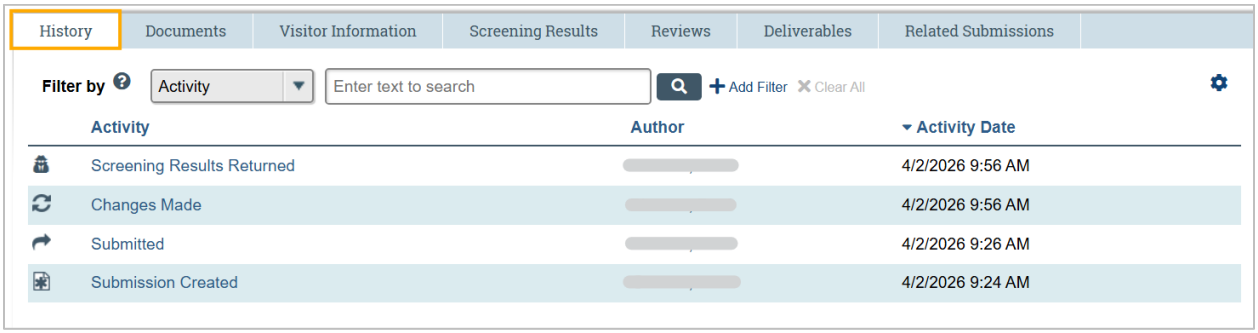
To open a submission

1. From My Inbox, or from the Export Control > Submissions page, click the submission name.
2. The submission workspace opens.



To view history

1. From the submission workspace, click the History tab.
2. The history tab lists the activity taken on a submission including any comments, attachments, or correspondence added.



To find previous submissions

1. In the Top Navigator, click Export Control and then Submissions.

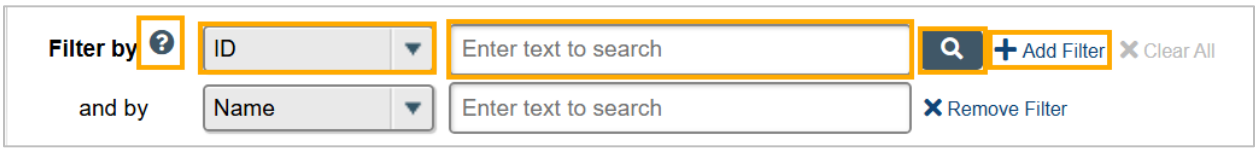
2. Click the tab to see submissions you can access:
    - **In-Review**: Submissions undergoing review.
    - **Active**: All approved submissions.
    - **Archived**: All completed and discarded submissions.

    - **All Submissions**: All submissions, in any state.

To filter data

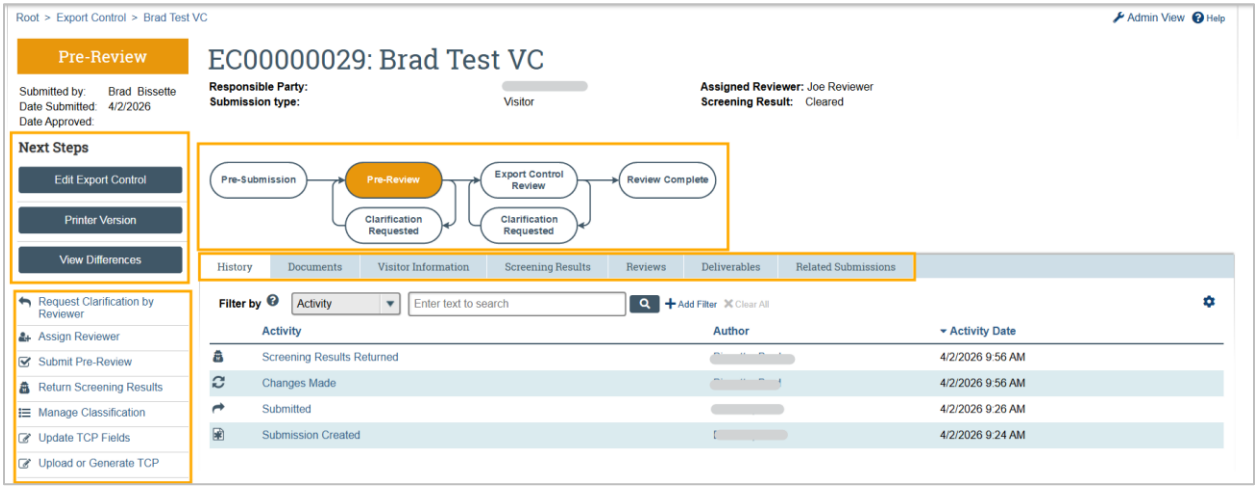
Many pages contain tables that you can filter to show specific data.

1. Select the column to filter by.
2. Type the beginning characters for the items you want to find. You can also type a % symbol as a wildcard before the characters. Examples:
    - 71 shows all items beginning with 71
    - %71 shows all items containing 71
3. Click ? for more information about operators you can type in the text box.
4. Click **the magnifying glass** to apply the filter
5. To combine multiple filter criteria, click **Add Filter**.



Request Workspace

The Request Workspace allows you to edit your export control request, submit forms, assign ancillary reviewers, and view the history of your request.



Export Control States

Pre-Submission	The request has not been submitted for review; it still sits with the responsible party (typically the person who created the request)
Pre-Review	The submission is with the Office of Research Safety and Security for review.
Clarification Requested	Clarification is requested, and the submission is open to the responsible party for edits.
Export Control Review	The request has been assigned for review.
Approved	The request has been reviewed and approved/cleared.
Review Complete	Export Control (EC) review is complete, but there is pending documentation required: Technology Control Plan (TCP), Export License, etc.
Completed	All actions are complete – the request has been disapproved or otherwise closed.

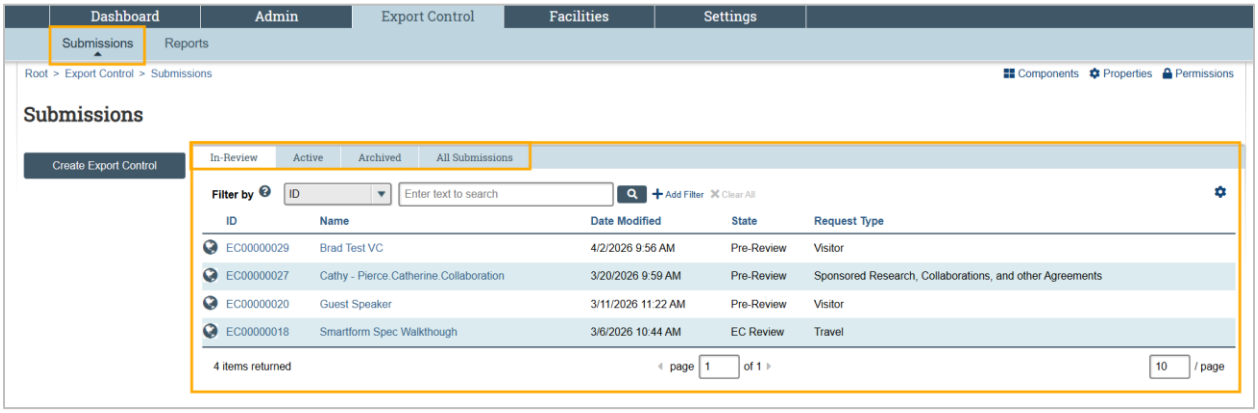
Workspace Tabs

- **History** – view submission history.
- **Documents** – view all supporting documents associated with the submission.

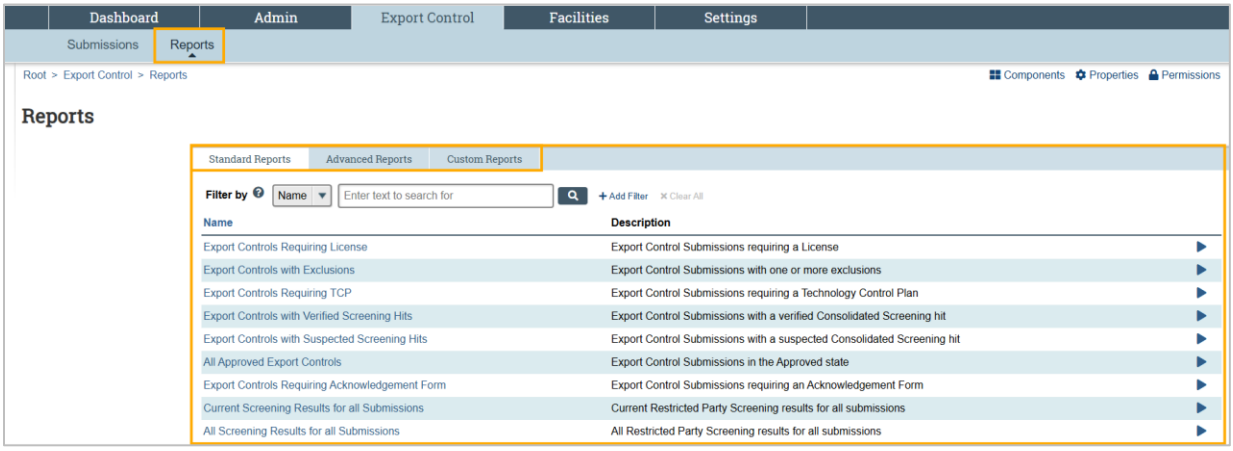
- **Visitor Information** – Applicable to Visitor requests only. View information about visitors associated with the study including country of citizenship, type of visit, dates of visit, etc.
- **Visa Applicant Information** – Applicable to Visa request only. View applicant information.
- **Screening Results** – Applicable to Visitor, Shipment, Visa and TCP requests only. View information about current and past screening results.
- **Reviews** – view the reviewer and all Export Control review information.
- **Deliverables** – view all deliverables associated with the submission.
- **Reviewer Notes** – view only if, as a reviewer, you add one or more reviewer notes to the Smartform.
- **Related Submissions** – view all related submissions.

Export Control Sub-Pages

- **Submissions** – under the submissions tab, you can view all submissions in the In-Review, Active, Archived states.



- **Reports** - under the Reports tab you can view all Standard, Advanced, and Custom Reports. For more information on the different types of reports, see the Reports section. **Note**: only site managers and users with the “Office of Export Controls Reviewer” role will be able to view the Advanced Reports tab.



System Roles

The following table describes the different types of roles within the Export Control system and the activities that each role can perform:

User Role	Description	Activities
Registered User	Any person with a user account in the system	• Create an export control submission • Be selected as a “responsible party” on an export control submission • Be added to an export control submission's guest list • Be assigned as an ancillary reviewer to an export control submission
Office of Export Controls Reviewer	Central Office user responsible for review of export control submission	• Create an export control submission (+ review types exposed to EC reviewers) • Review export control submissions • Assign a reviewer EC submissions & be assigned to review EC submissions • Request clarifications on submission from responsible submitting party • Submits pre-review of the submission • Manually run screening on submission • Make final determination on status of the submission • Add comments to a submission • Edit a submission's smartform in certain states (if configured in settings)
Responsible Party	A contact responsible for the Export Control request	• Edit/submit/discard EC submission • Submit EC submission for Export Control Office Review & Submit Clarification Responses • Manage guests (readers) • Manage ad-hoc reviews by designating which users are ancillary reviewers to a submission • Manage related EC submissions (where the logged-on user has view/edit permission) • Add comments to a submission
Guests	Contacts assigned to view the Export Control submission	• Once assigned, guests can view EC SmartForm and Workspaces • Add comments to a submission
Ancillary Reviewers	Contacts assigned to complete an Ancillary Review of the Export Control submission	• Once assigned, ancillary reviewer can view EC SmartForm and Workspaces • Submit ancillary review response

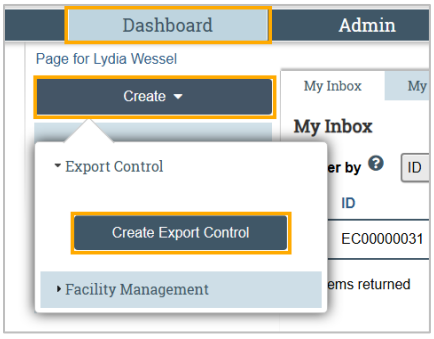
Export Control Tasks

Overview of Export Control

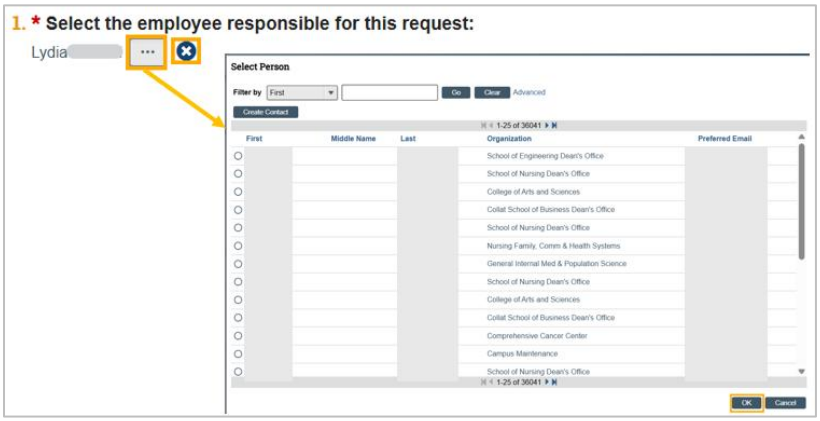
Export control compliance ensures that restricted technologies, data, software, and activities are identified, evaluated, and managed in accordance with applicable regulatory requirements. The Export Control module supports structured intake, review, and documentation of export-controlled activities through standardized forms, activities, notifications, and reports.

Create and Submit an Export Control Request

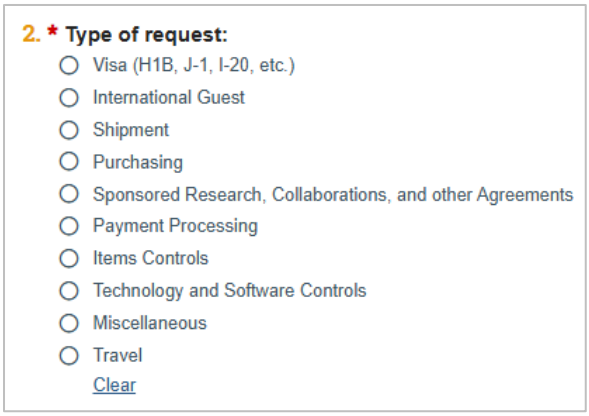
1. From your dashboard, click **Create**, then **Create Export Control**.



2. Select the employee responsible for the request. This will default to your own name. To change this, click the three dots next to your name, and select the name of the employee responsible for the request. Click **OK**. To remove the name of someone, click the X next to their name.



3. Select the type of request. Different pages will appear based on the type of request you select. For example, selecting Visitor will cause the visitor smartforms to appear.

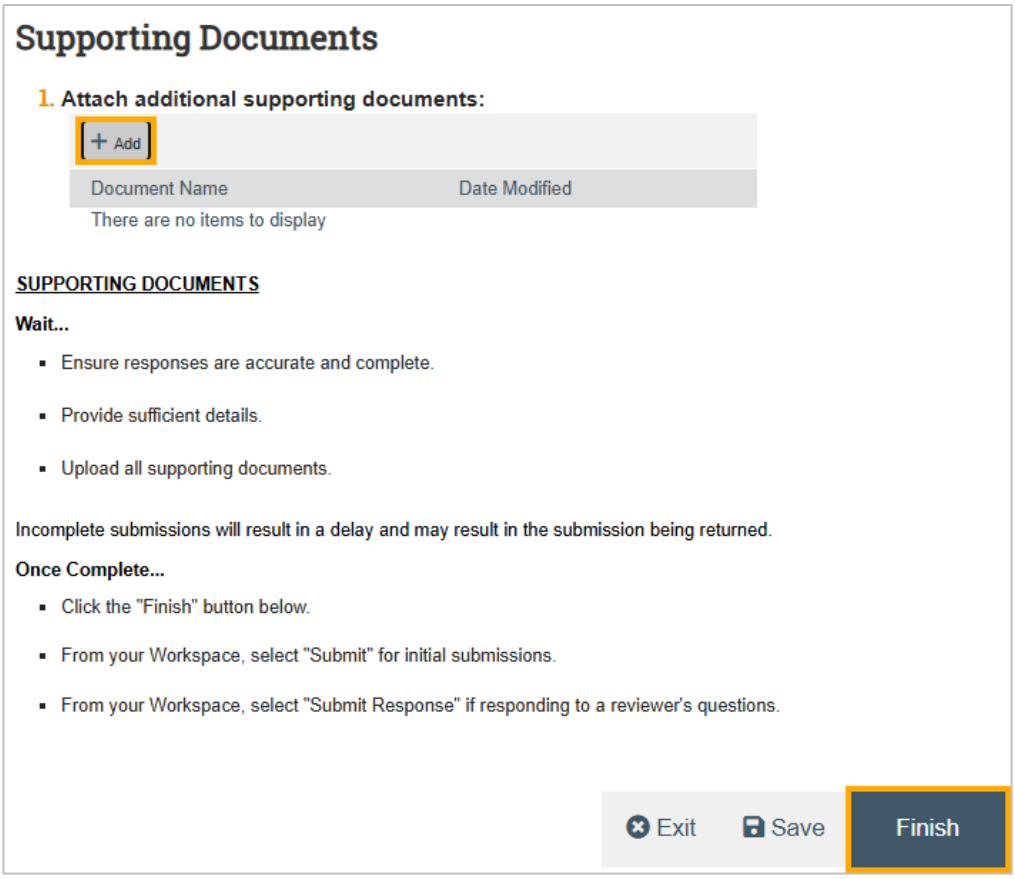


4. Enter the Name of the request. For information on naming conventions, see the help text.

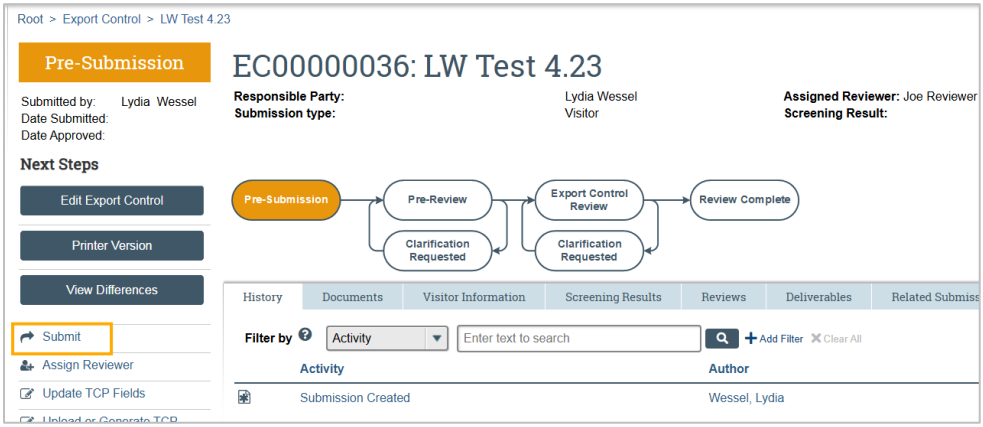


5. Complete the following pages (smartforms). **Note**: the smartforms will be different depending on the type of request you chose in question 2. Click **Continue** to move to the next page.

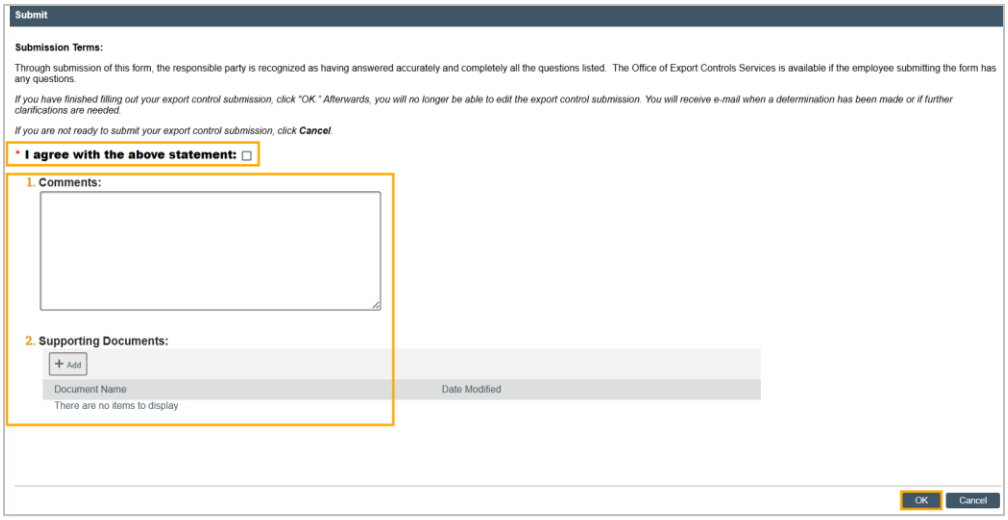
6. Add any supporting documents by clicking **Add**. At this time, review all information to make sure you have included all required information and supporting documents. When you're satisfied, click **Finish**.



7. Your Export Control request form has been completed, and the submission is in the Pre-Submission state. The next step is to Submit your request. From the submission workspace, click **Submit**.



8. Check the box stating that you agree with the statement/submission terms. Add any necessary comments or supporting documents, and when you're ready to submit, click **OK**.



If you have followed all the steps correctly, you have successfully completed the process of creating an Export Control request. The submission is now in the Pre-Review state and is ready to be reviewed. During the Pre-Review process, the reviewer will review the submission for completeness and accuracy, ensuring it includes the necessary information and documentation. At any point during the Pre-Review state, the reviewer may request clarification or changes to your request.

Request Types

Based on the type of request you submit, there will be different fields and information required. The chart below depicts the types of requests that can be submitted and the information that is required for each.

Request Type	Required Information	Optional Information

Visa H1B, J-1, I-20, etc.)	• Basic Information • Position Information • Foreign Candidate Information • Supporting Documents	Research Description page only appears if you select Yes on the Position Information page, Question 9: Foreign candidate participates in research
International Guest	• Basic information • Visit information • Visitor information • Supporting documents	The Visitor with Research Information page will only appear if Visit Information page question 7 is STEM. Question 7 will only appear if you select Research Visit or Activities involving Laboratory Use for question 6 on Visit Information page.
Shipment	• Basic Information • Shipments Company and Product Information • Supporting Documents	None
Purchasing	• Basic Information • Purchasing Company and Product Information • Supporting Documents	None
Sponsored Research, Collaborations, and Other Agreements	• Basic Information • Sponsored Research, Collaborations, and Other Agreements • Supporting Documents	The Sponsored Programs page only appears if you select Grant as the Agreement Category for Question 2 on the Sponsored Research, Collaborations and Other Agreements page
Payment Processing	• Basic Information • Request Description • Supporting Documents	None
Items Controls	• Basic Information • Request Description • Supporting Documents	None
Technology and Software Controls	• Basic Information • Technology and Software Controls • Supporting Documents	None
Miscellaneous	• Basic Information • Request Description • Supporting Documents	None
Travel	• Basic Information • Traveler Information • Purpose of Travel • Supporting Documents	None

Prepare for Export Control Review

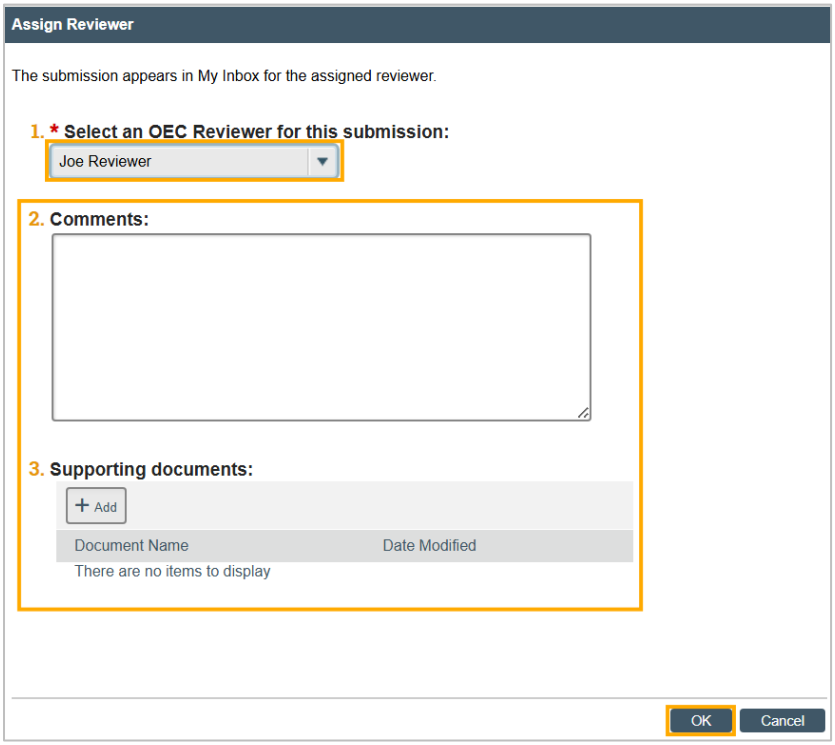
When a new request is first submitted, it will be automatically assigned to the default reviewer configured in Export Control settings. To prepare for Export Control review, the export control reviewer can assign a different reviewer to the submission. This can be done through the **Assign Reviewer** activity.

Assign Reviewer

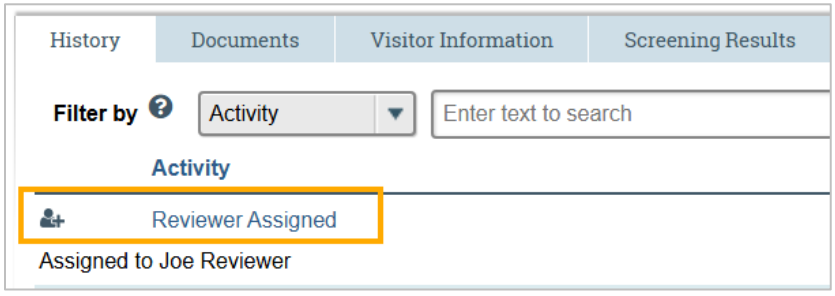
1. To assign a reviewer, click on the **Assign Reviewer** activity on the submission workspace.



2. Click on the drop-down menu to select a reviewer for the submission. You can select any person whose account includes the *Office of Research Safety and Security Reviewer* role.
3. Add any comments or supporting documents and click **OK**.



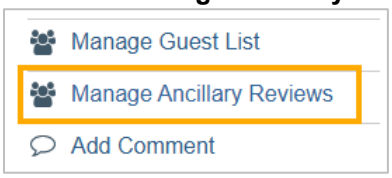
The History section will update with the Reviewer Assign activity, and the reviewer will receive a notification. The submission will now appear in their inbox.



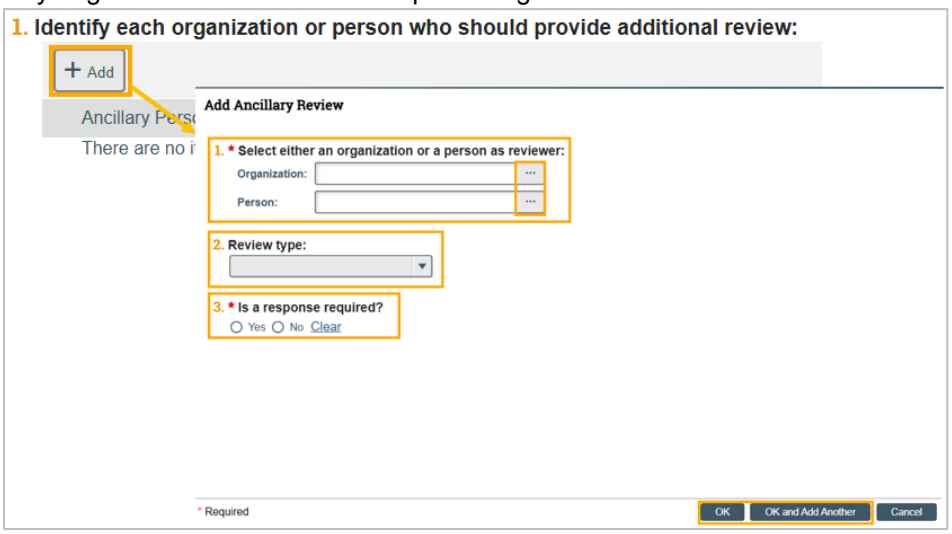
Manage Ancillary Reviews

If an additional review is needed, you can do this by assigning an ancillary reviewer. Ancillary reviews allow individuals, departments, and other organizations to give feedback on the submission in parallel with the Export Control review. **Note**: if there are outstanding ancillary reviews, the Export Control Review cannot be submitted.

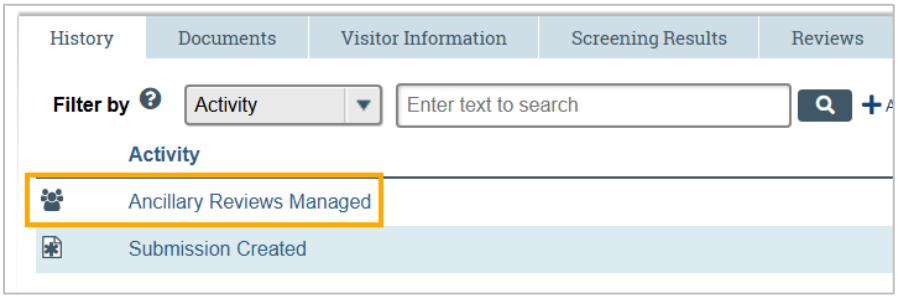
1. Select the **Manage Ancillary Reviews** activity from the submission workspace.



2. Click **Add** to identify the organization or person who should provide an additional review.
3. Select either an organization or a person as a reviewer by clicking on the three dots, selecting the review type (optional), and clicking **Yes** or **No** for "Is a response required?" When you're done, click **OK**, or **OK and Add Another**. Then click **OK** to finish adding your ancillary reviewer. **Note**: only Organizations that have been pre-configured with one or more reviewers can be selected.



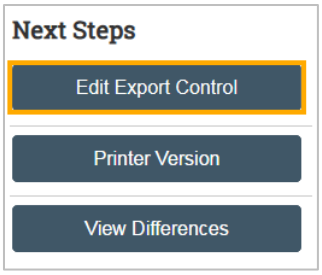
4. The History section on the submission workspace will update, and the assigned ancillary reviewer will be notified.



Edit the Submission – Respond to a Clarification Request

During the review process, if the reviewer requests clarifications, you can make those clarifications by editing the submission.

1. Start on the submissions workspace and click **Edit Export Control**.

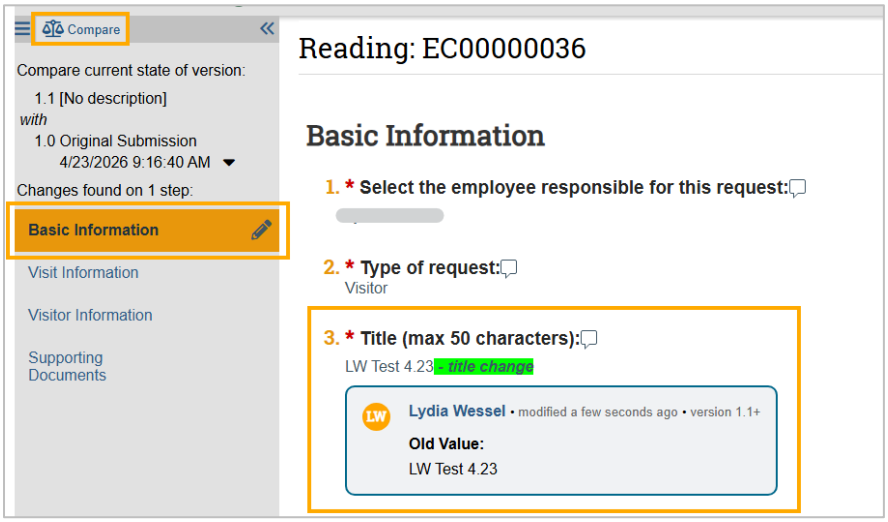


2. Navigate to the section that needs review. To view the reviewer's comments, click on the speech bubble next to the question.

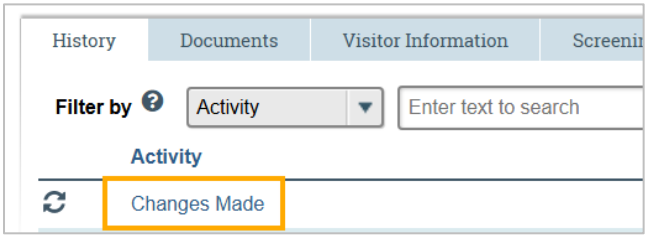


3. Make the required changes.

4. To view the changes you have made, click the **Compare** button. A pencil icon will appear next to the page you made changes to.



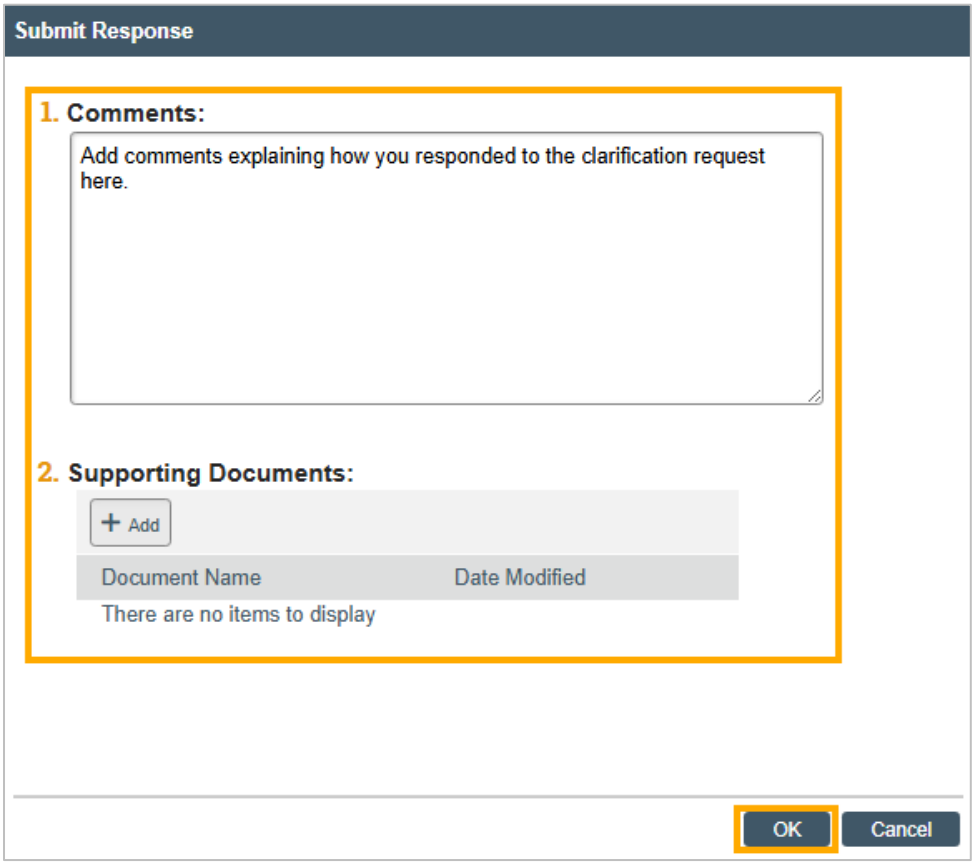
5. When you're finished, click **Exit**. The changes will be recorded in the **History** section.



6. Next, you must officially submit your response. From the submission workspace, click on the **Submit Response** activity.



7. Add any comments or supporting documents to explain how you responded to the clarification request and click **OK**.



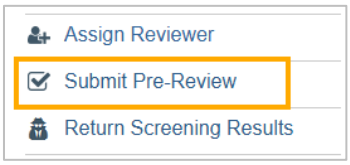
Your response has been submitted to the reviewer, and the study has now returned to the state it was in before clarifications were requested.



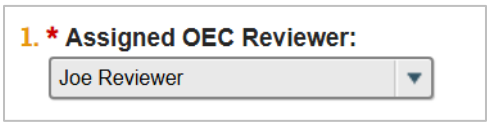
Submit a Pre-Review

When the submission has been created and is ready to proceed to the next level of review, you will submit the pre-review.

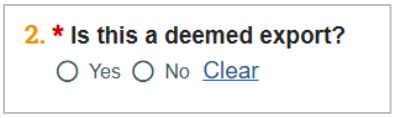
1. From the submission workspace, click **Submit Pre-Review**.



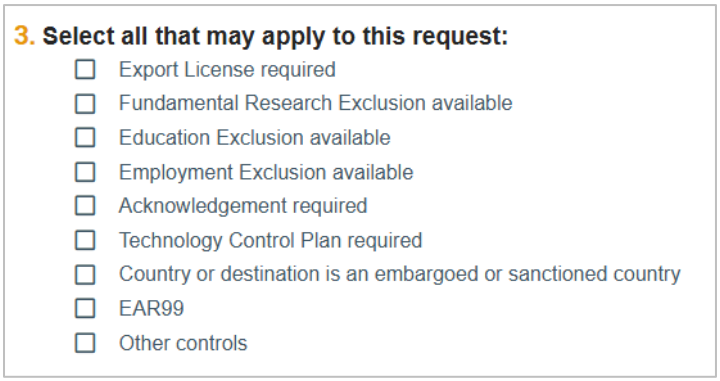
2. Select the assigned Office of Export Control (OEC) Reviewer from the drop-down list.



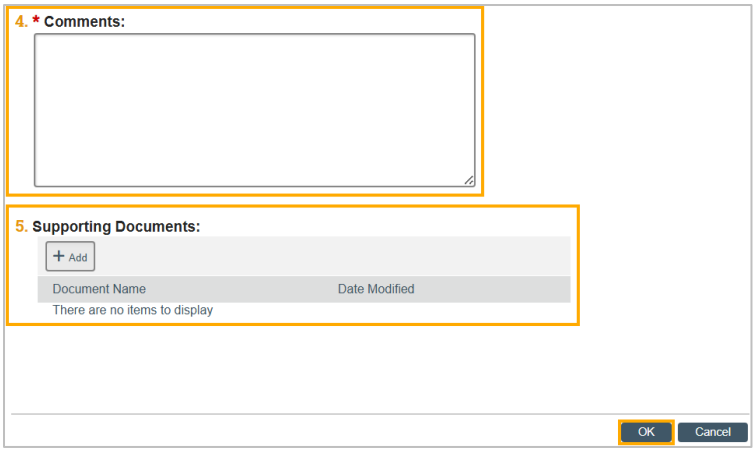
3. Select **Yes** or **No** for the question, “Is this a deemed export?”



4. Select any controls that may apply to this request.



5. Add any comments and/or supporting documents and click **OK**.



The Pre-Review has been submitted, and the submission moves to the Export Control Review state.

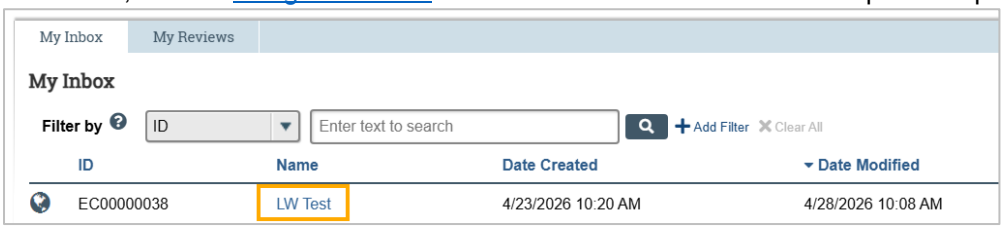
Reviewer Activities

This section covers different activities that reviewers will complete including reviewing a request, requesting clarification, submitting determinations, and creating Technology Control Plan (TCP) documents.

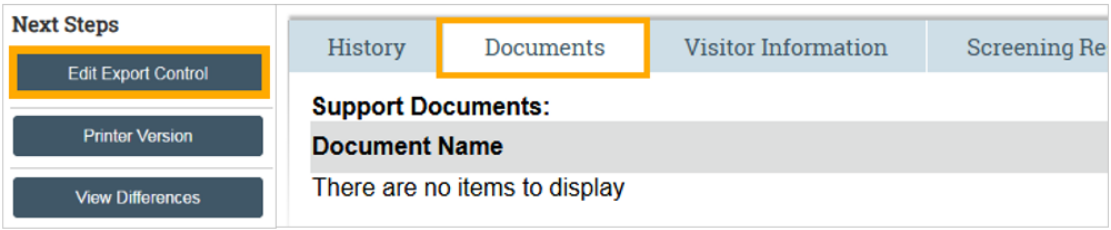
Review a Request

When a reviewer has been assigned to review a request, it will appear in their Dashboard inbox.

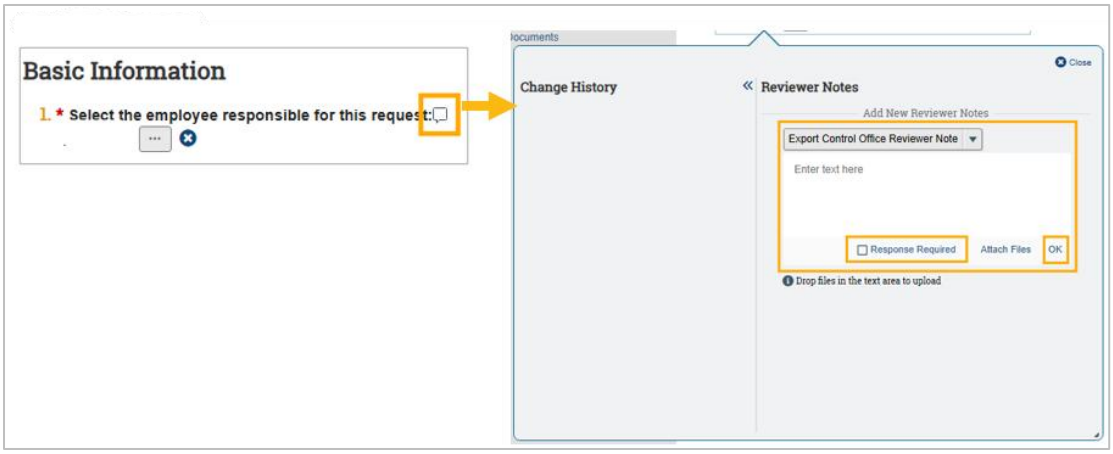
1. Newly submitted requests will appear in the inbox of the default reviewer (configured in Export Control Settings) and can be reassigned to a specific reviewer. For information on how to assign a reviewer, see the Assign Reviewer section. Click on the name of the request to open it.

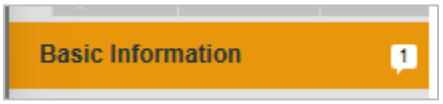


2. To review the request content, click Edit Export Control to view the smartform and any associated documents. You can also access all study documents from the Documents tab on the study workspace.



3. Carefully review each page of the smartform. To add a comment, click on the speech bubble next to the question. Write your note, and check the Response Required box if a response is needed. Add any necessary file and click OK. A note icon will appear beside the page you left a comment on.

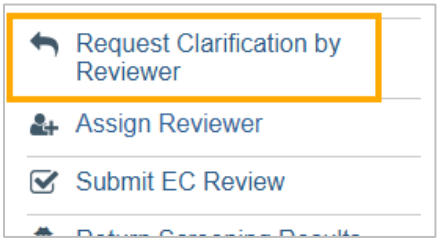




4. When you are finished reviewing the smartform, click Save and Exit.



5. If you need to request clarifications, use the Request Clarification by Reviewer button on the study workspace.



6. To conduct a Visual Compliance screening, click the Return Screening Results activity, take note of the results and click OK.

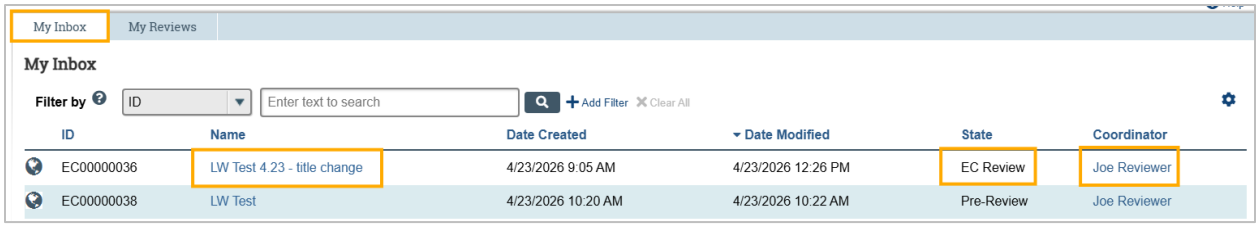


7. When you are ready, submit the Export Control review. If there are changes that need to be made, request clarifications.

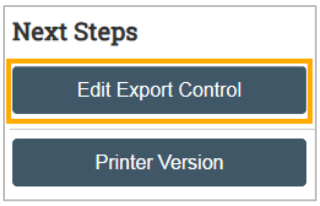
Request Clarification

At any point during the pre-review, the Export Control Coordinator can request clarification or changes to the submission.

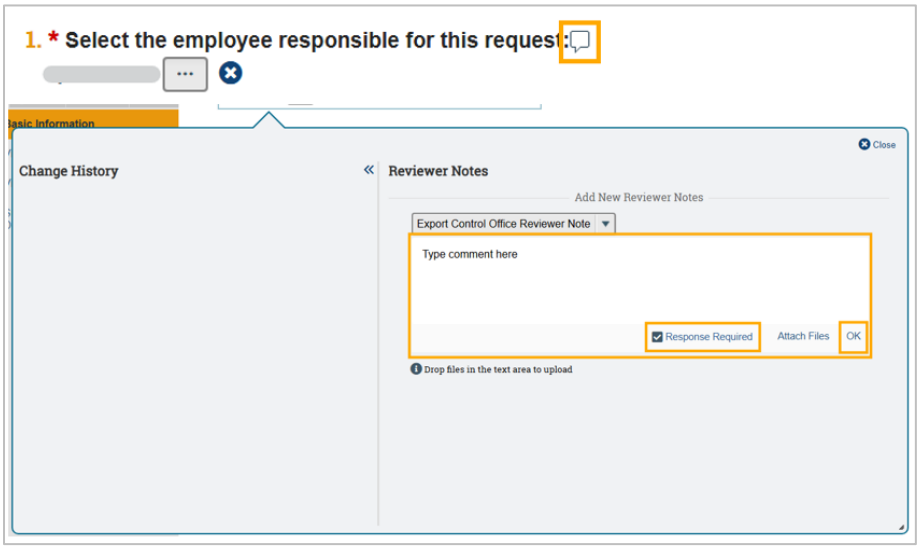
1. Click on the name of the request to open it.



2. Click **Edit Export Control** to review the request.



3. To add a note/comment for the responsible party, click on the speech bubble icon next to the question you'd like to leave a comment on, and type your note. If a response is required, click the **Response Required** check box. When you're done, click **OK**.



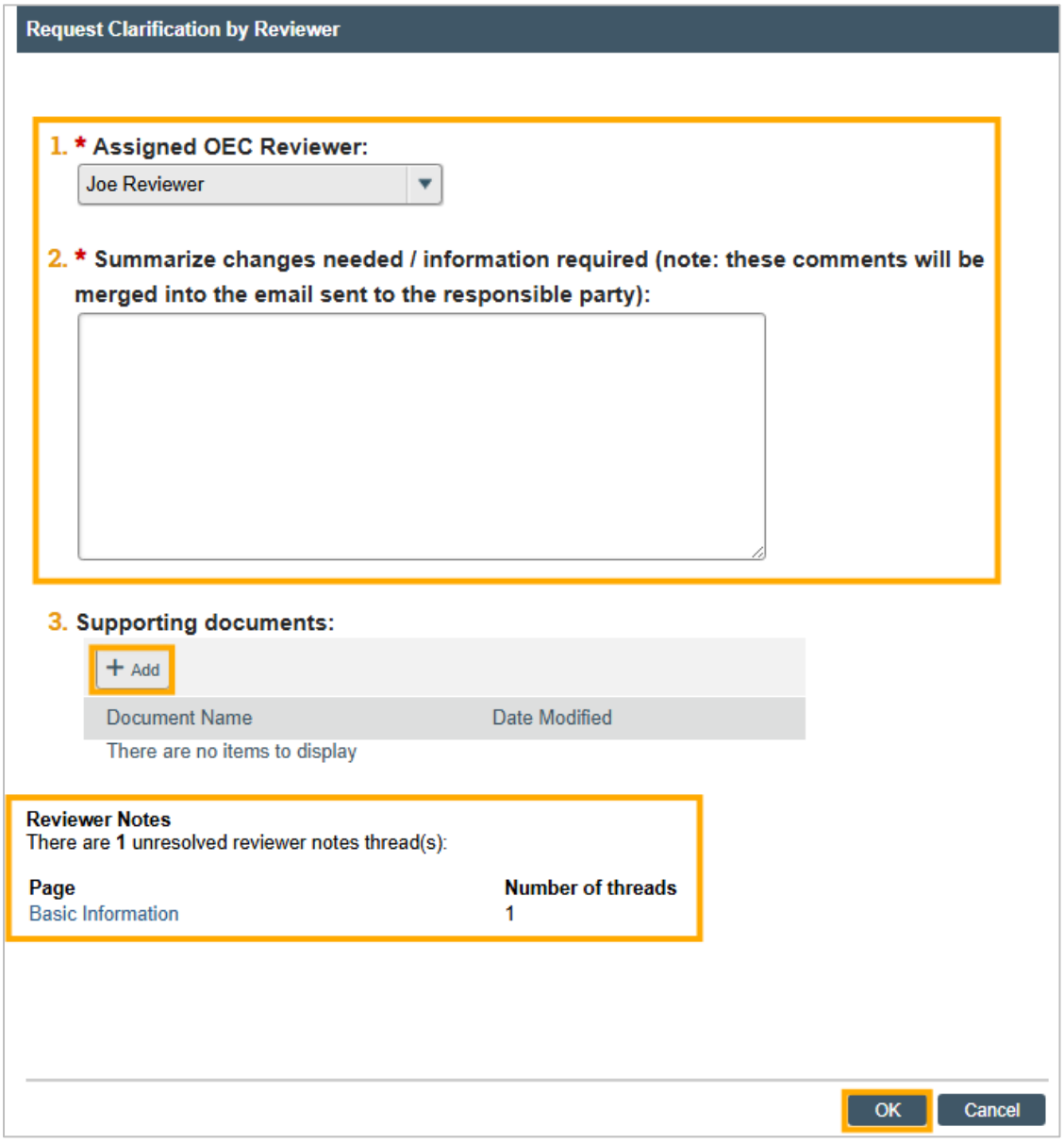
4. Click **Continue** to move to the next page, and when you are finished with your review, click **Save** and **Exit**.



5. Click the **Request Clarification** button to return the submission to the responsible party for response.



6. Fill out the **Request Clarification** form, summarizing the changes needed/information required. Add any necessary supporting documents. **Note**: the comment you previously entered will appear on the form. When complete, click **OK**.



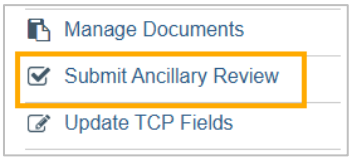
The request has now moved into the Clarification Requested state.

Submit an Ancillary Review

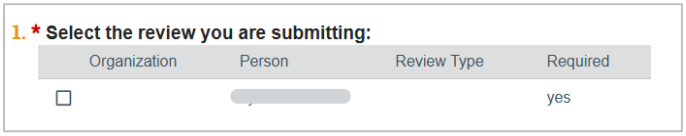
You may be assigned to review a submission as an ancillary reviewer. You will receive an email notification. The submission will also appear in your inbox if the ancillary review is required. After reviewing the submission, you must record your decision in the Export Control system. This step completes the ancillary review, but it does not change the state of a submission. The system will not allow the EC Review to be submitted if an assigned ancillary reviewer has not submitted their review.

To submit an ancillary review, start by navigating to the submission workspace:

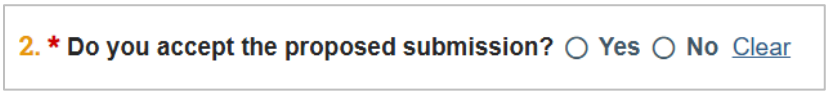
1. From the submission workspace, click **Submit Ancillary Review**.



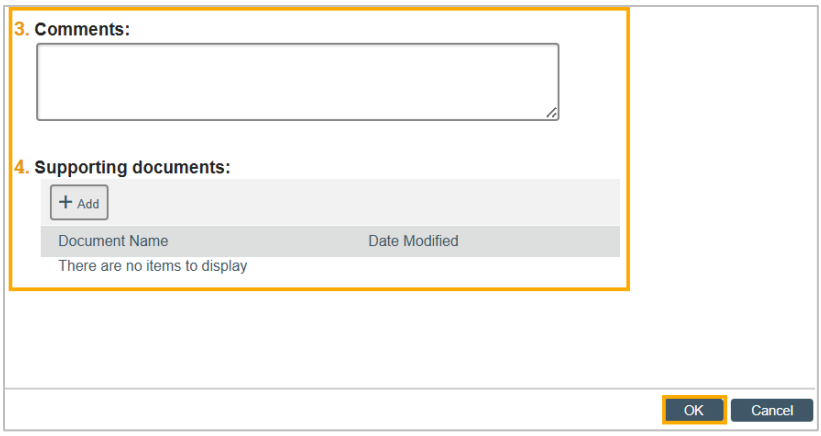
2. Select the review you are submitting.



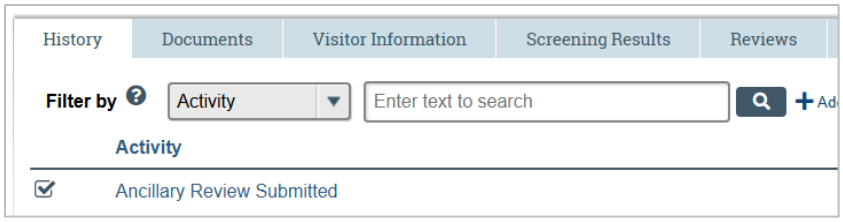
3. Select **Yes** or **No** for "Do you accept the proposed submission?"



4. Enter any necessary comments or supporting documents and click **OK** to submit the ancillary review.



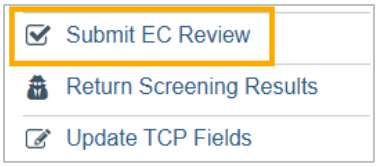
The **History** section of the submission workspace will reflect that the Ancillary Review was submitted.



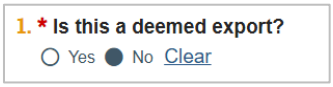
Submit an Export Control Review

1. When you have completed your review and your review is ready to be submitted, click **Submit EC Review**.

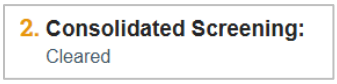
   Note: When submitting the EC review form, you will record the final determination for the request. If there are outstanding ancillary reviews, you will not be able to submit the EC Review form.



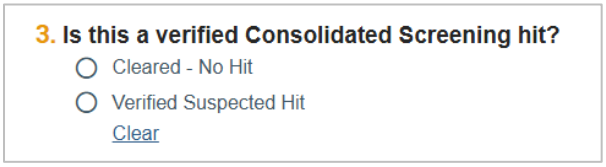
2. Select **Yes** or **No** for the question, "Is this a deemed export?" **Note**: the selection will be carried over from pre-review.



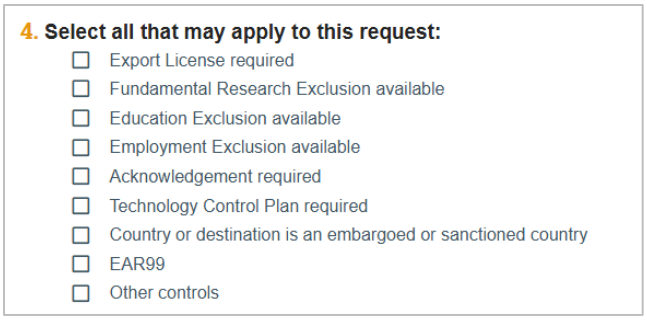
3. For question two, it will state the consolidated screening result. *Cleared* indicates that all required restricted party screening checks have been completed and no confirmed matches to the U.S. government's Consolidated Screening List remain for the parties involved.



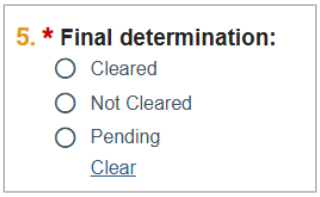
4. In question 3, select if this is a verified Consolidated Screening hit. **Note**: If a verified Consolidated Screening hit is identified, the export control request cannot be approved or allowed to proceed normally. Additional export control action is required before the activity may continue.



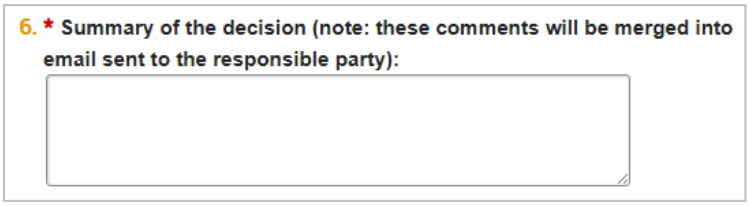
5. Select any controls that may apply to this request. **Note**: the selection will be carried over from the pre-review.



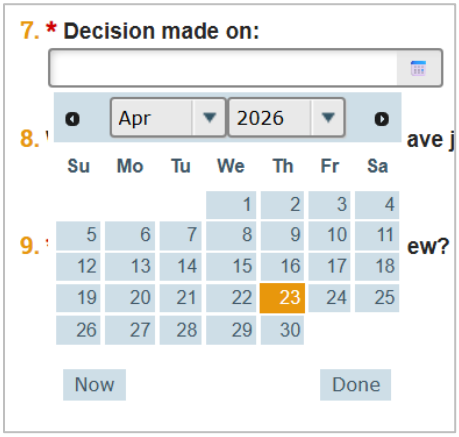
6. Select your final determination.



7. Add any necessary comments.



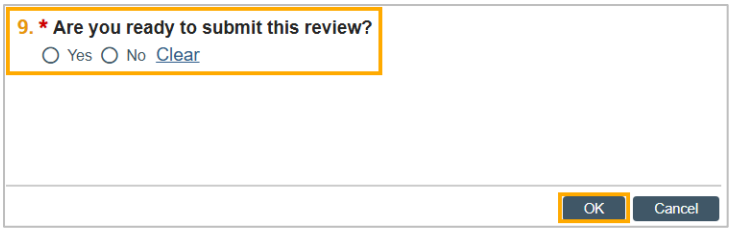
8. Select the date the decision was made.



9. Click the dropdown arrow to select the governmental agency that will have jurisdiction over this activity (if any).

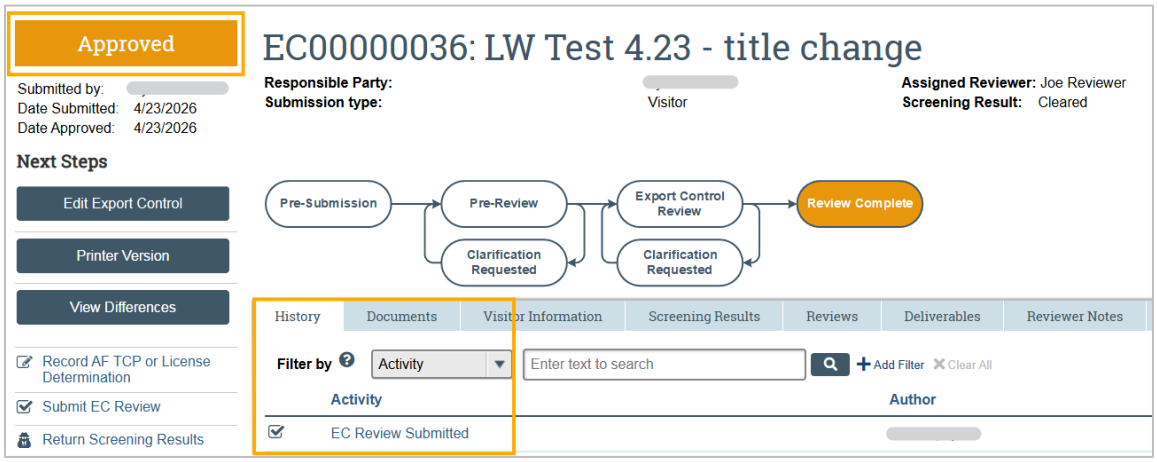


10. When you are ready to submit your review, select **Yes**. Select **No** if edits still need to be made. Click **Ok**.



After submitting your review, the status will change depending on the final determination you chose:

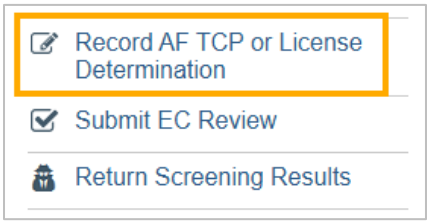
- *Cleared* – the submission transitions to **Approved**.
- *Not Cleared* – the submission transitions to **Complete**.
- *Pending* – the submission transitions to **Review Complete...**



Record AF, TCP or License Determination

After the review is complete, if there is a need to upload further documentation such as an Acknowledgement Form (AF), Technology Control Plan (TCP), etc.:

1. On the request workspace, select **Record AF TCP or License Determination**.

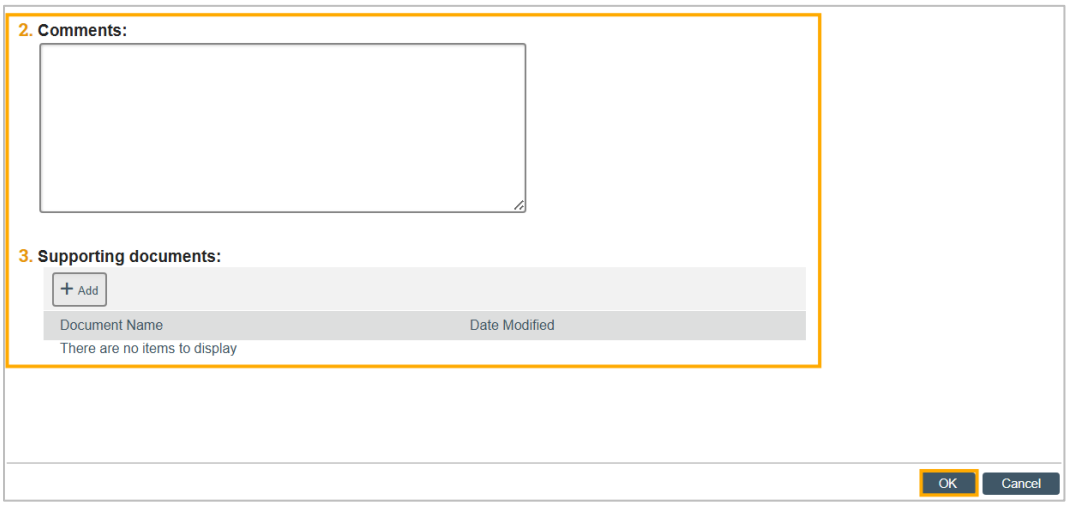


2. The *Record AF TCP or License Determination* form appears. Through submission of this form, the Office of Research Safety and Security is recognized as having recorded the determination as related to the AF, TCP, or License Application associated with the request. Select the determination from the list below:



If you select…	This will happen…
AF, TCP, or License Received	The request will proceed as usual
AF, TCP, or License Denied	The request will be unable to proceed and will be archived
Further Information Requested	The request will move to the Review Complete: Document Quality Check state
License Withdrawn or Returned Without Action (RWA)	The request will be sent back to the EC review state

3. Add any comments and/or supporting documents and click **OK** to submit.

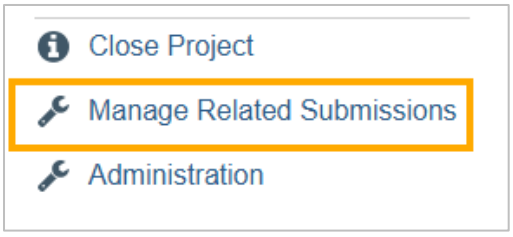


4. You have completed the process or recording the AF TCP or License Determination.

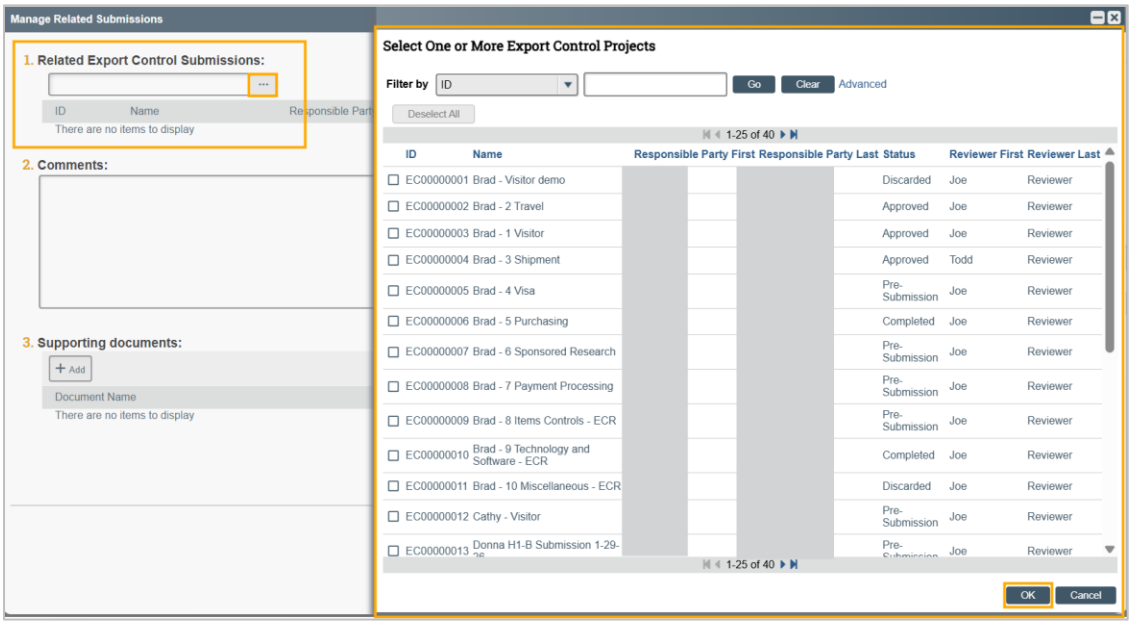
Manage Related Submissions

If there are any Export Control submissions that you want to relate to another submission, you can do this through the Manage Related Submissions task.

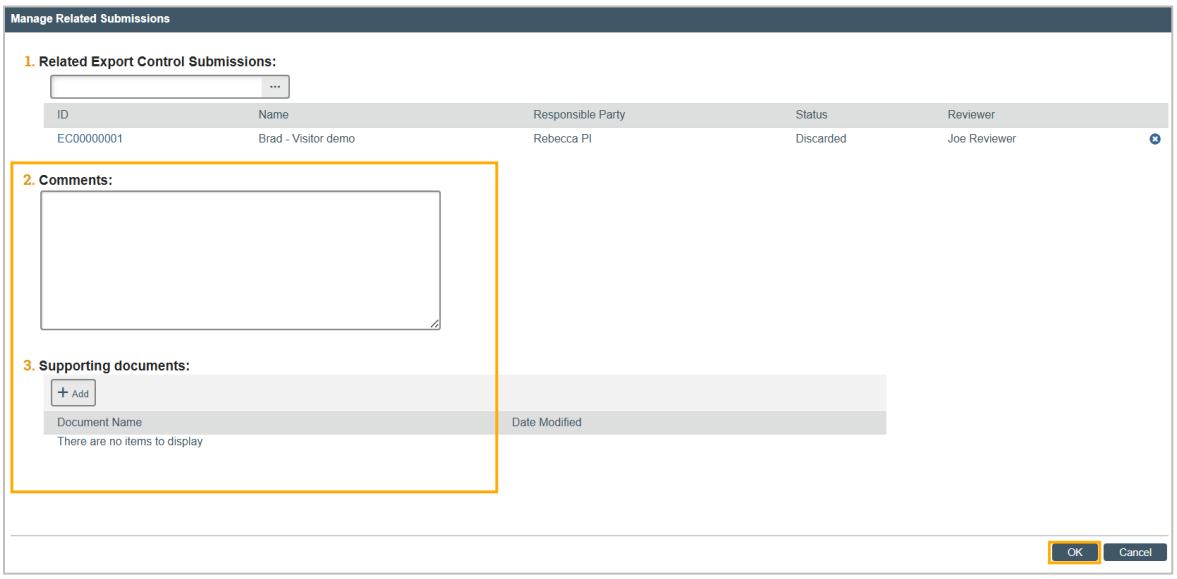
1. From the submission workspace, click **Manage Related Submissions**.



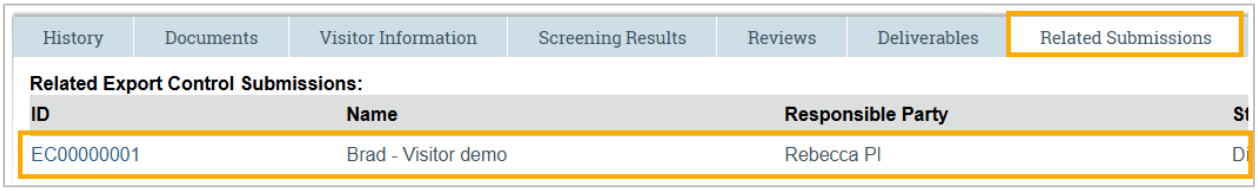
2. This opens the Manage Related Submissions form. Click on the three dots under the *Related Export Control Submissions* question to open the list of submissions to choose from. Select the submission(s) that you want to add as a related submission. Then click **OK**.



3. Add any comments and/or supporting documents and click **OK** to submit.



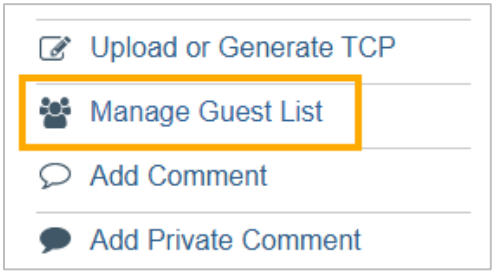
4. The related submission that you selected will now appear under the Related Submissions tab on the workspace,



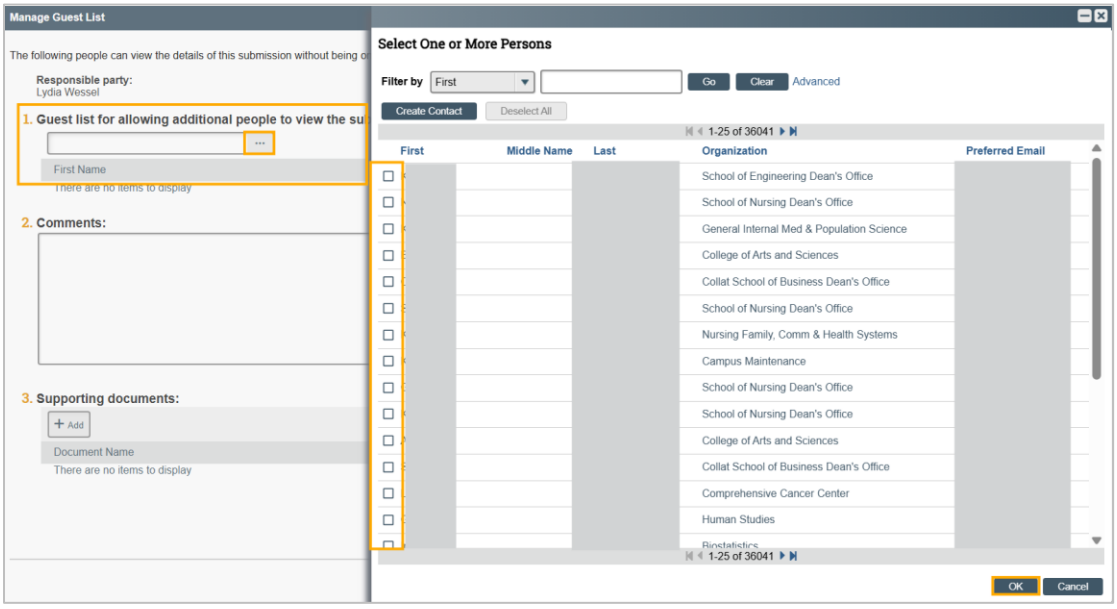
Manage Guest List

To edit the submission's guest list, use the Manage Guest List activity button on the submission workspace. Those on the guest list can view the information in the submission but cannot edit the submission.

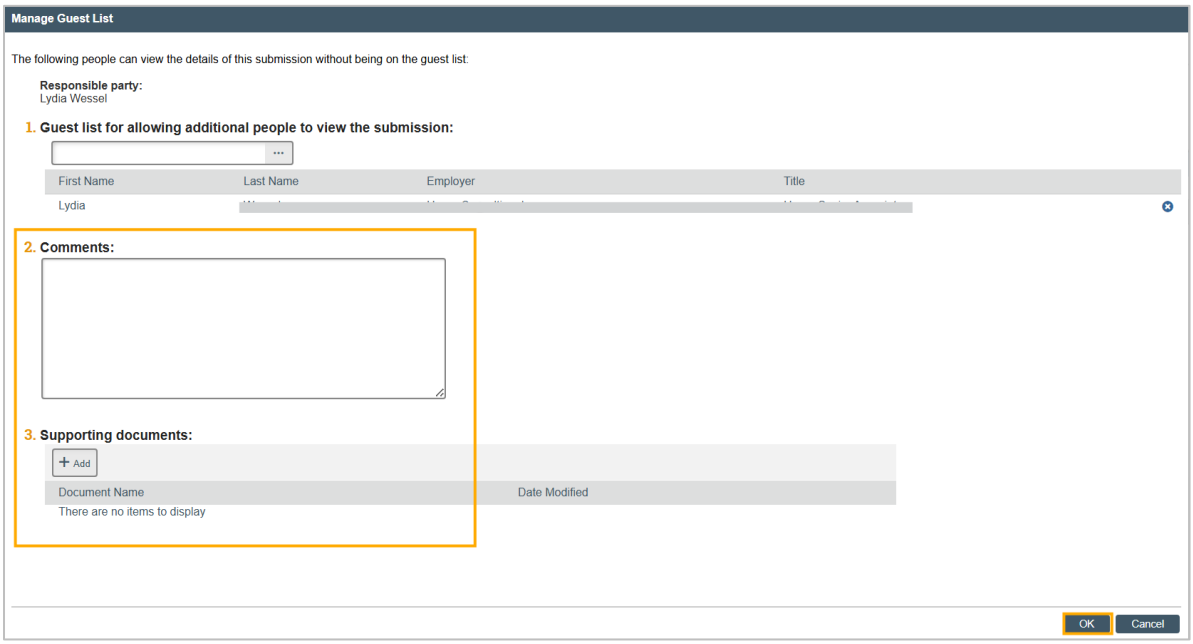
1. From the submission workspace, click **Manage Guest List**. This will open the Manage Guest List form.



2. Click the three dots next to the question, *Guest list for allowing additional people to view the submission,* to select guests. Select the name(s) of the guest(s) you would like to add and click **OK**.



3. Add any comments or supporting documents. Then click **OK**.



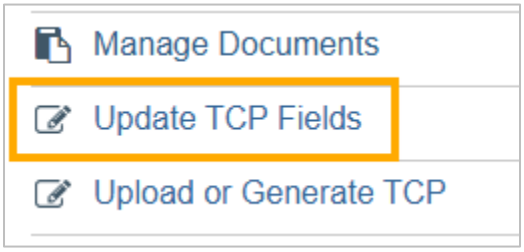
The person(s) you selected will now be able to view the submission.

Create Technology Control Plan (TCP) Documents

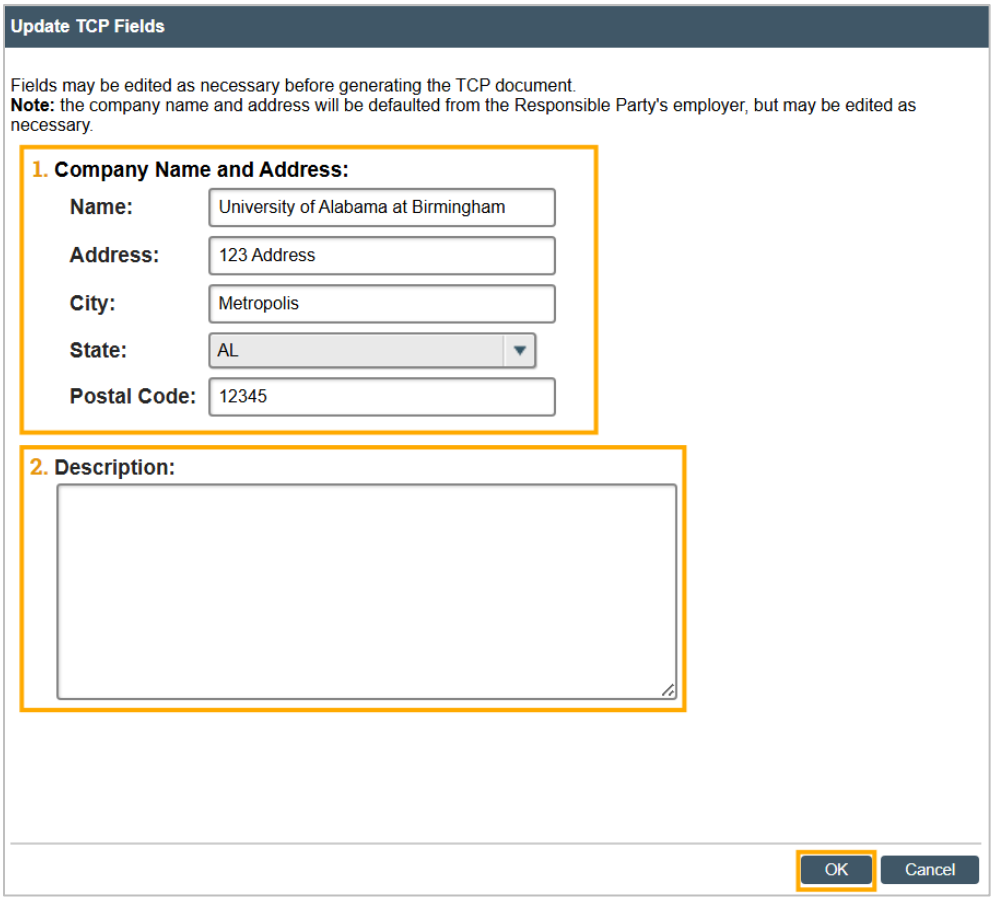
A TCP is implemented when items listed on the United States Munitions List (USML) regulated by the International Traffic in Arms Regulations (ITAR) are used by UAB personnel. The purpose of a TCP is to control the access and dissemination of export-controlled information, materials, technology, and data in accordance with federal export regulations. A TCP ensures that everyone working on the project understands their obligations under the export control laws and regulations.

Upload or Generate TCP

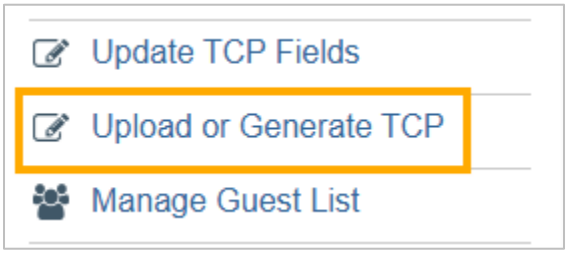
1. Before generating the TCP document, update the TCP fields by using the **Update TCP Fields** activity. The information you update here will be used by the system to populate fields in the TCP.



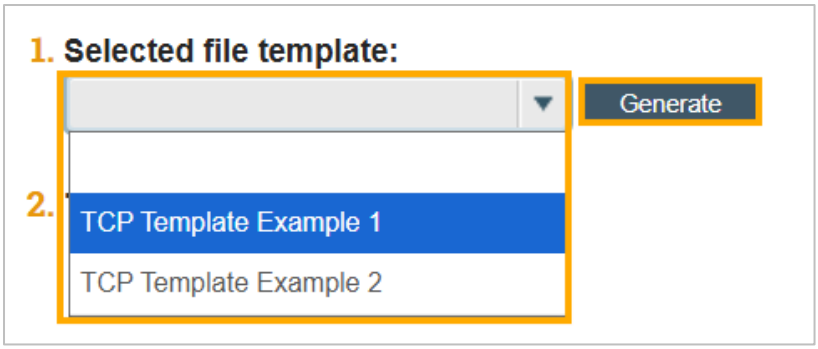
2. Update the fields and add a description if needed. Then click **OK**.



3. Now that the fields have been updated, it's time to add the TCP. To upload or generate TCP, select the **Update or Generate TCP** activity from the submission workspace.



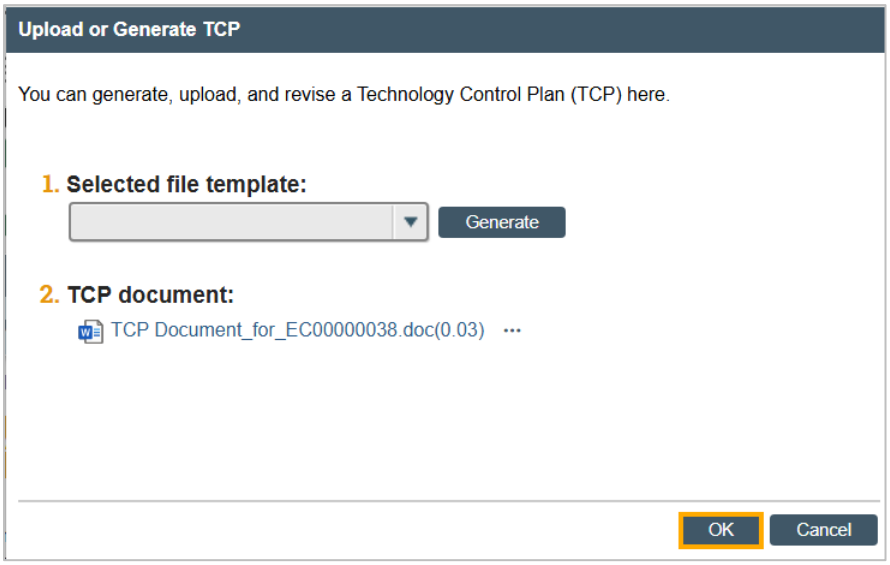
4. The Upload or Generate TCP form will open. From this page you can either generate a TCP from a template or upload a TCP document. To generate your form from a template, click on the dropdown arrow and select the template you would like to use, and then click **Generate**.



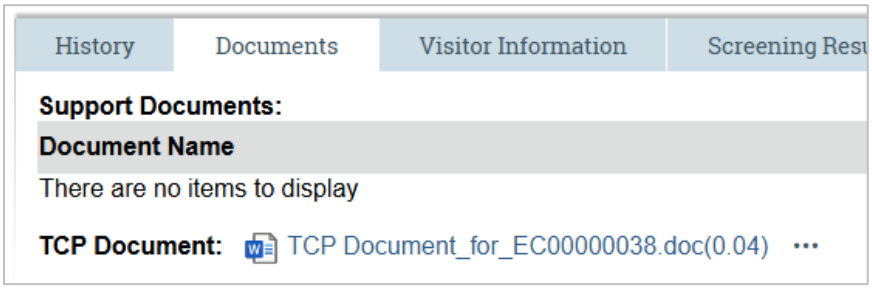
5. A TCP document will be created based on the information in your submission.



6. When you're done, click **OK**.



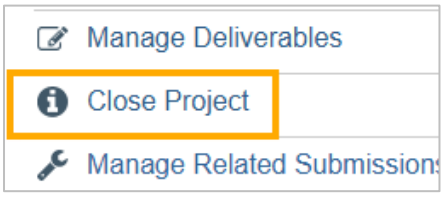
7. The TCP document will appear in the **Documents** tab of the submission workspace.



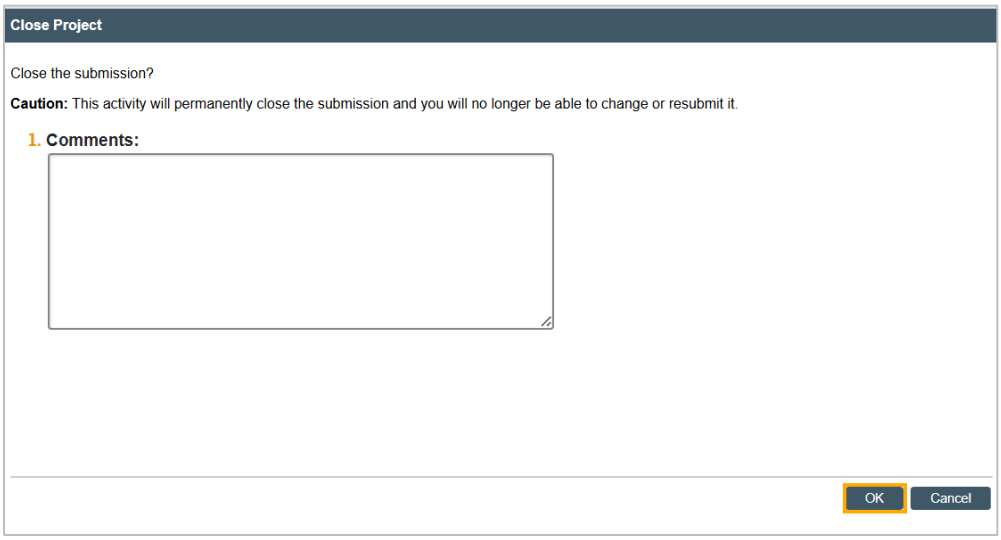
Close Project

If the Export Control is fully completed and you want to close it out, use the Close Project activity.

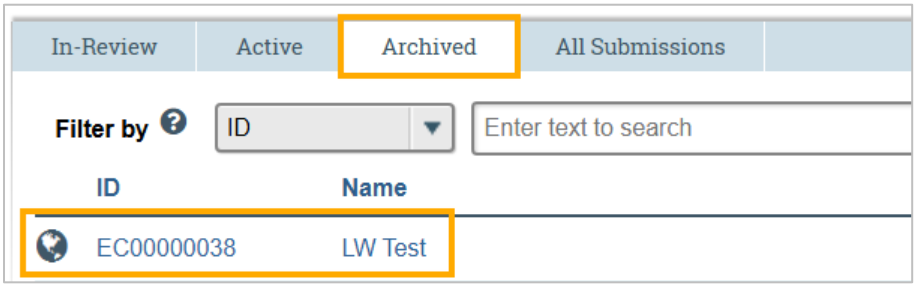
1. From the submission workspace, click **Close Project**.



2. Add any comments and click **OK**.



3. The submission has now been closed out and has been moved to the Archived tab.



Facility Management Tasks

Overview of Facility Management

Facility Management is a feature in the Export Control module that allows UAB to manage and maintain a structured catalog of physical locations and then reference those locations throughout export control submissions. Only users with the facility management role will be able to create and manage facilities.

Facilities are a type of data entry that represents a physical location and are organized in a hierarchy.



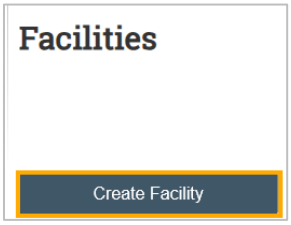
From the Facilities section you can view all facilities and create facilities for the following types:

- Campus
- Building
- Room (Non-Animal)

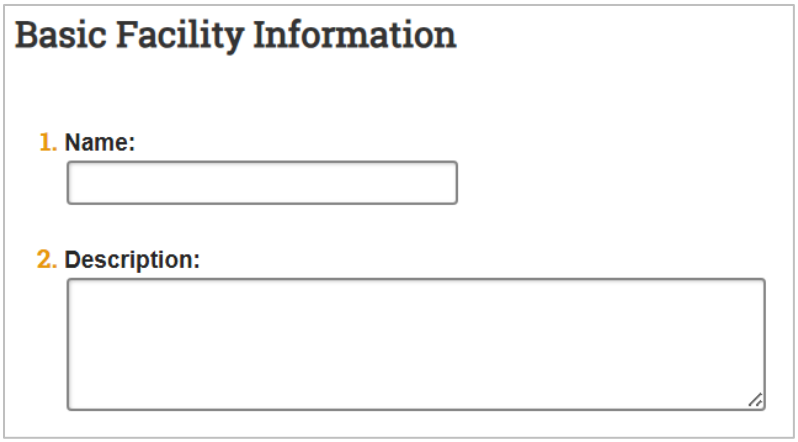
Create Facility

1. To create a Facility, click on the **Facilities** tab in the top menu. Then click the **Create Facility** activity. This will open the Creating New: Facility form.





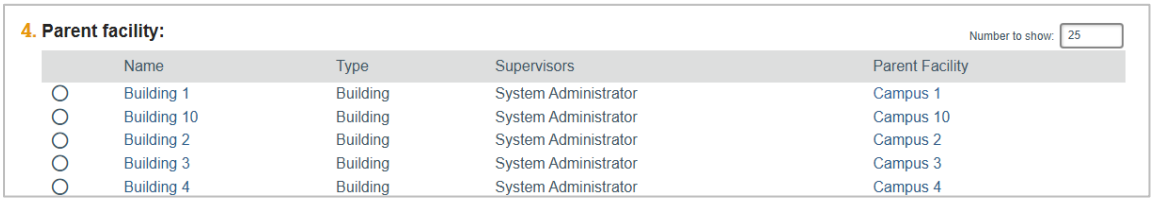
2. Enter the name and description.



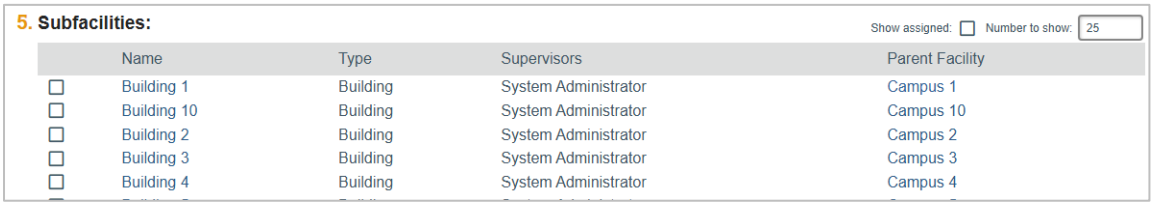
3. Select the Facility type from the dropdown menu. The facility you choose will determine the following page that appears.



4. Select the Parent facility.



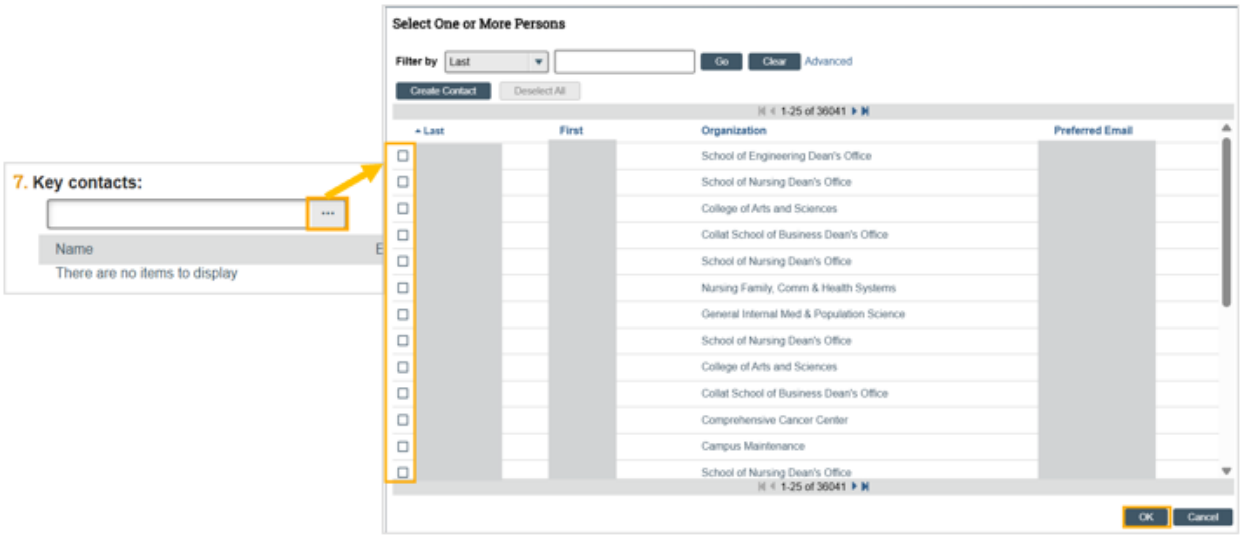
5. Select the subfacilities.



6. Select Yes or No to indicate if the facility should be made available for reservation.



7. Add key contacts by clicking on the three dots and choosing one or more persons from the list.

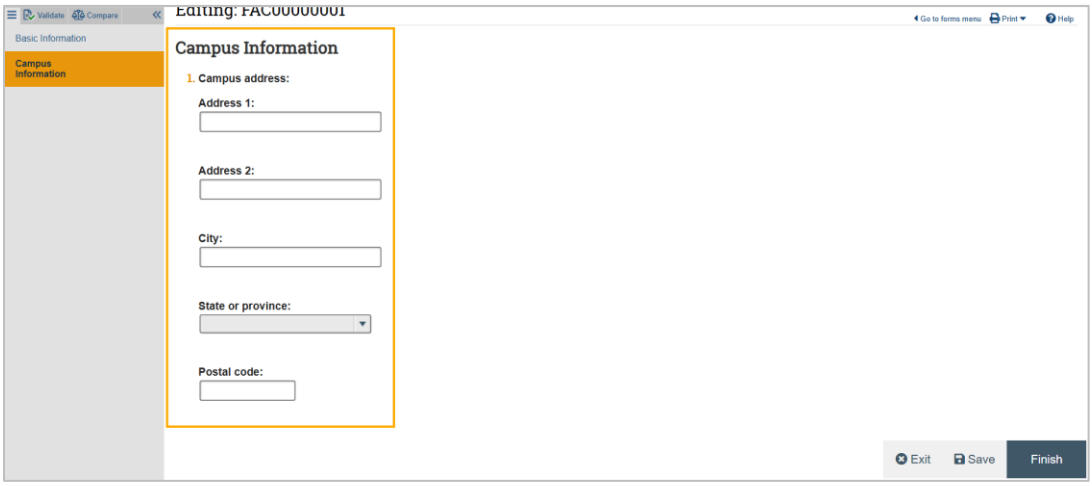


8. Add any supporting documents and click **Continue**.

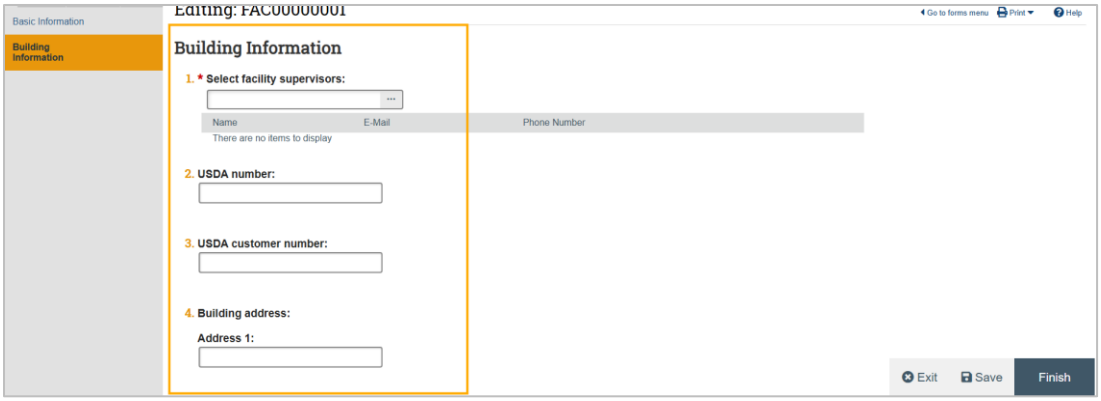


9. The next page will appear depending on the Facility type you chose on the Basic Information page.

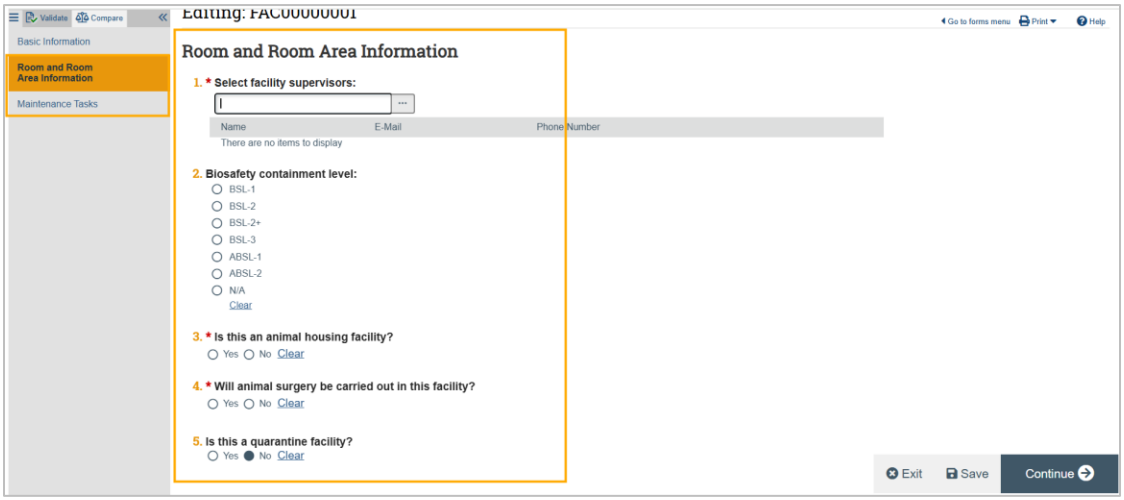
    a. If you choose Campus, the Campus Information page will appear.

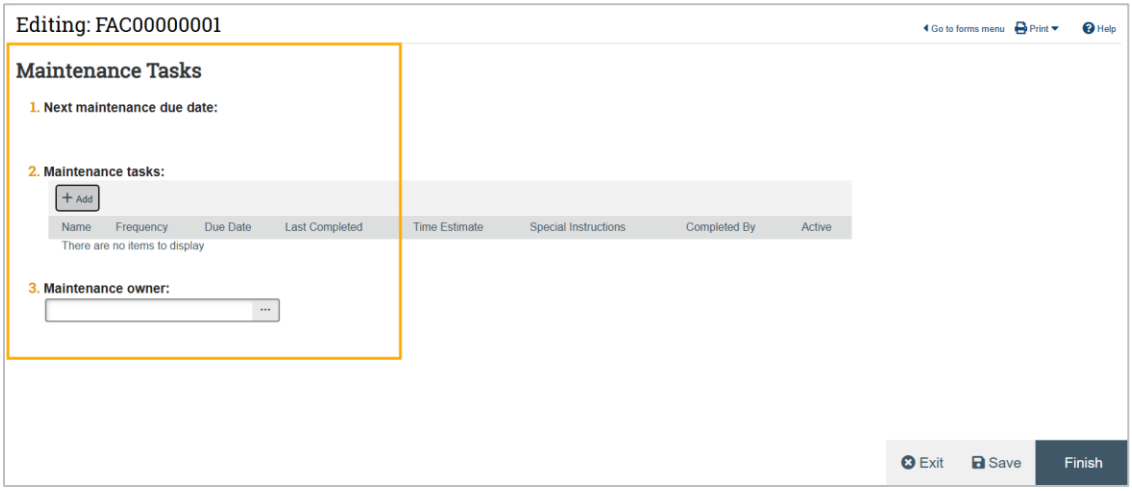


    b. If you choose Building, the Building Information page will appear.

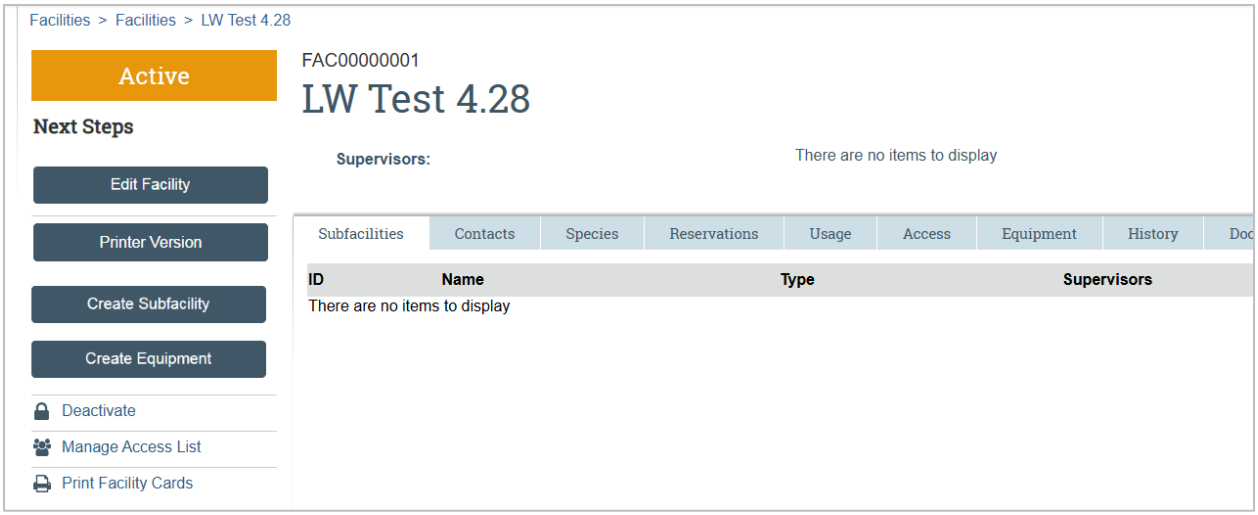


c. If you choose Room, the Room Information and Maintenance Tasks pages will appear.



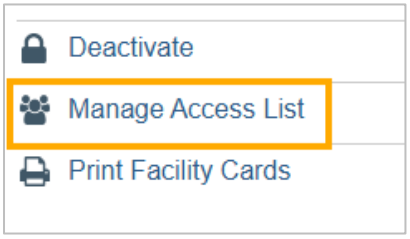


10. When complete, click **Finish**. You'll now be taken to the Facilities Workspace.

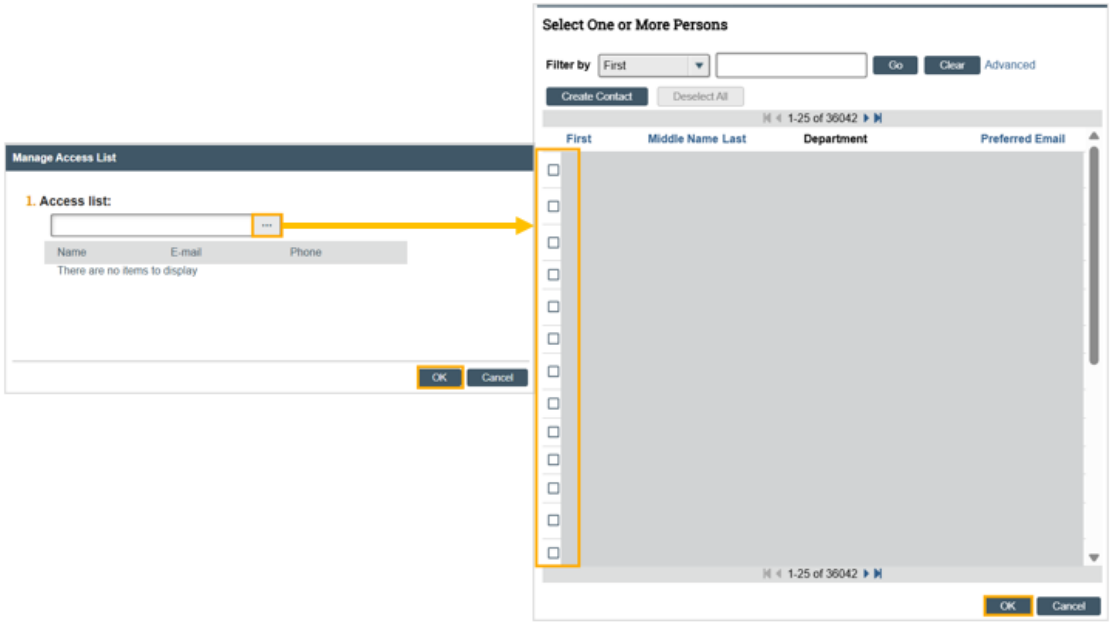


Manage Access List

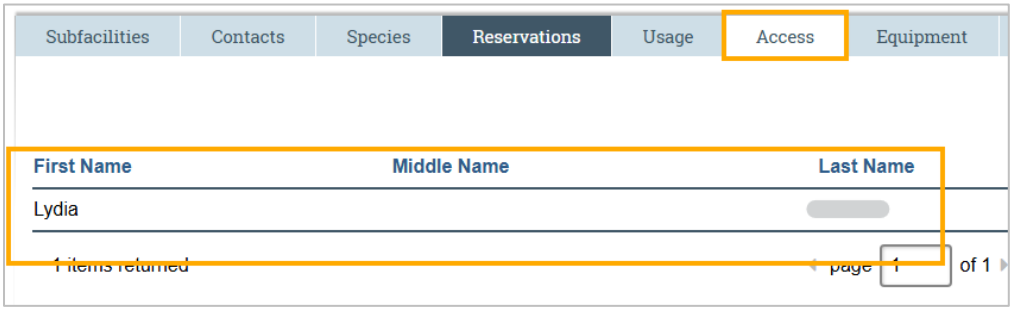
1. To manage access to the facility, use the **Manage Access List** activity on the Facility workspace. This will open up the Manage Access List form.



2. Click on the three dots to select the people who will receive access to the facility. Then click **OK**.

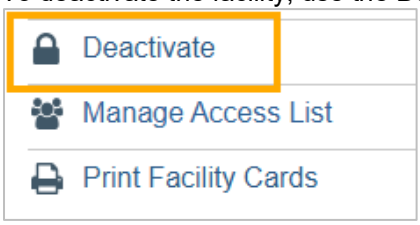


3. The names of the people who have been granted access to the facility will appear under the Access tab.

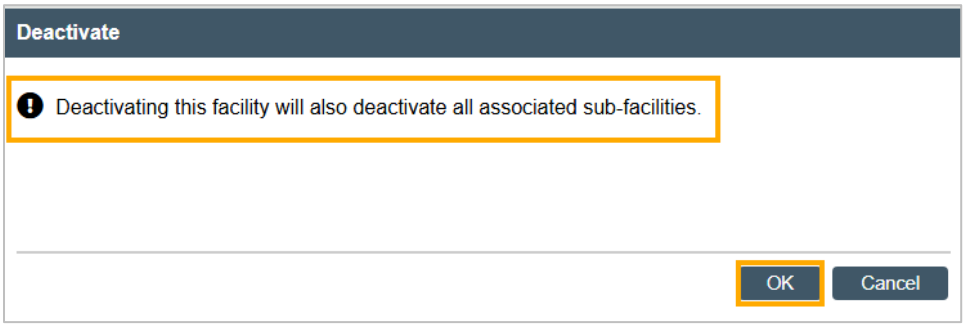


Deactivate Facility

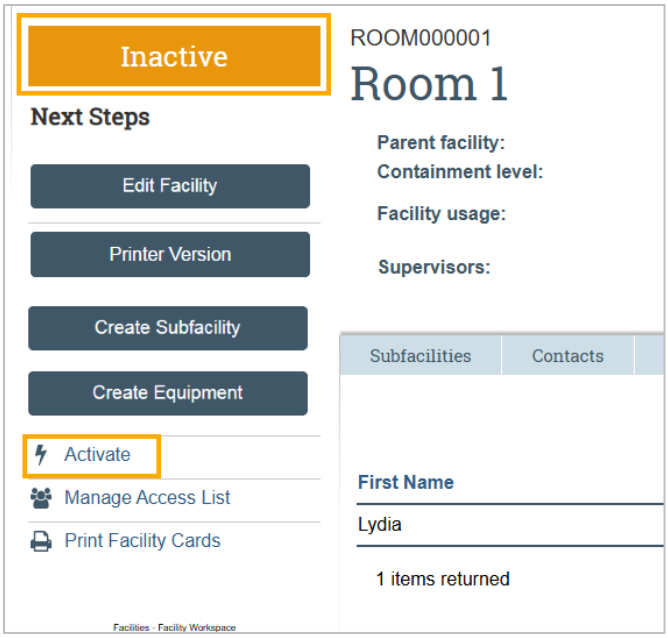
1. To deactivate the facility, use the **Deactivate** activity on the Facility workspace.



2. Read the warning and click **OK** to deactivate the facility.

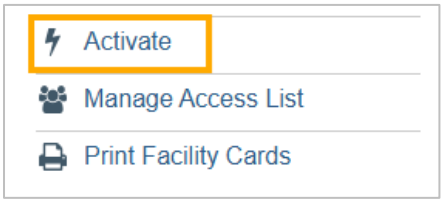


3. The facility has now moved to the Inactive state. If needed, you can click on the Activate activity to reactivate the facility.

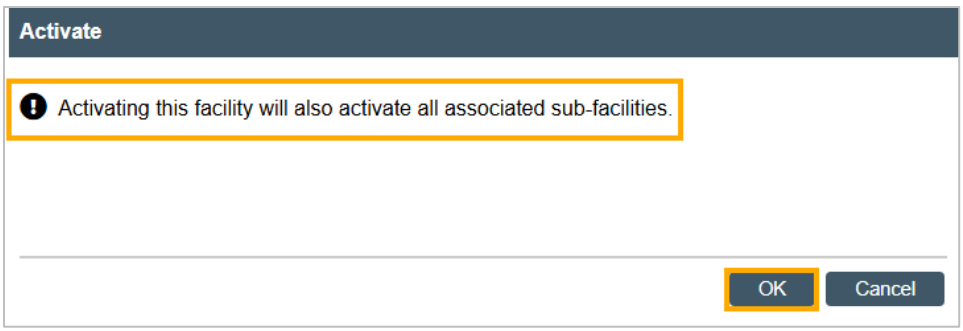


Activate the Facility

1. To reactivate a deactivated facility, click on the **Activate** activity on the facility workspace.



2. Read the warning and click **OK** to activate the facility.



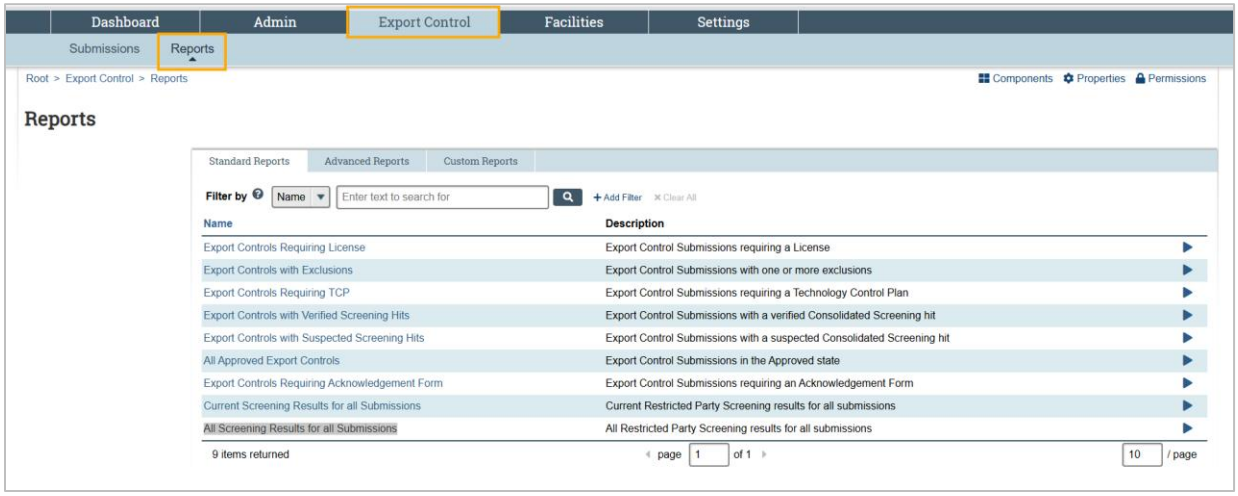
3. The facility has moved back to the Active state.



Reporting

Reporting serves as a centralized compliance and oversight tool to help stay on top of regulatory obligations.

To access the reporting section, click the **Export Control** tab and then the **Reports** tab.



Standard Reports

Export Control includes nine ready-to-use reports to provide insights into various aspects of export control submissions.

Report	Description
Export Controls Requiring License	Identifies submissions that require a government license for export.
Export Controls with Exclusions	Surfaces submissions that have applicable exclusions.
Export Controls Requiring TCP	Shows submissions that need a Technology Control Plan.
Export Controls with Verified Screening Hits	Highlights submissions with verified Consolidated Screening hits (confirmed restricted party matches).
Export Controls with Suspected Screening Hits	Flags submissions with suspected (but not yet verified) screening hits.
All Approved Export Controls	Tracks submissions currently in the approved state.

Export Controls Requiring Acknowledgement Form	Lists submissions that still need an Acknowledgement Form.
Current Screening Results for all Submissions	Provides the most recent Restricted Party Screening results across all submissions.
All Screening Results for all Submissions	Provides a full historical view of all screening results.

Advanced Reports

Export Control includes two advanced reports to help you monitor the performance and effectiveness of your operations.

Report	Description
Days in State	The total and average number of days that requests were in a particular state for a specified date range.
Days in State by Year	The total and average number of days that requests were in a particular state for a certain year.

Terms and Definitions

Export Control Specific Terms

Term	Definition
Export	The actual shipment or transmission of a controlled item out of the United States in any manner, including physical shipments, electronic transfers, and oral disclosures.
Deemed Export	The release or transfer of controlled technology, source code, or technical data to a foreign person (non-U.S. person) *within* the United States. This is treated as an export to that person's home country.
Re-Export	The transfer of a controlled item from one foreign country to another foreign country.
EAR (Export Administration Regulations)	U.S. regulations that control the export of **dual-use items** — goods, software, and technology with both commercial and military applications. Administered by the Bureau of Industry and Security (BIS) under the Department of Commerce.
ITAR (International Traffic in Arms Regulations)	U.S. regulations that govern the export of **defense-related articles, services, and technical data**. Administered by the Directorate of Defense Trade Controls (DDTC) under the Department of State.

OFAC (Office of Foreign Assets Control)	A U.S. Treasury agency that administers **sanctions programs** prohibiting transactions with designated foreign countries, entities, and individuals involved in terrorism, drug trafficking, and other threats.
BIS (Bureau of Industry and Security)	The branch of the U.S. Department of Commerce responsible for administering and enforcing the EAR.
CCL (Commerce Control List)	A list of dual-use items under the export control jurisdiction of BIS. Found in Supplement 1 to Part 774 of the EAR.
USML (United States Munitions List)	A list of defense articles, services, and related technical data controlled under ITAR.
EAR99	A classification for items subject to the EAR but **not listed on the CCL**. These are generally low-risk commercial items, though they still cannot be shipped to certain countries or entities.
Defense Article	Any item or technical data designated on the USML, including models, mockups, or items that reveal technical data relating to defense items.
Defense Service	Furnishing assistance (including training) to foreign persons in the design, development, engineering, manufacture, testing, repair, or use of defense articles.
Dual-Use Items	Items, technology, and software that are primarily commercial but have potential military applications. These appear on the CCL.
Embargo / Sanctions	An **embargo** is a total ban on trade with a country without a license; a **sanction** is a prohibition on certain exports or activities without a license.
Restricted Party	Individuals or organizations considered threats to U.S. national security, foreign policy, or economy, included on government screening lists (e.g., Denied Persons List, Entity List, SDN List).
Sanctioned Country	A country with limited or comprehensive trade sanctions imposed by the U.S. for nonproliferation, narcotics trafficking, or other reasons.
End Use	What the exported item, technical data, technology, or software is being used for.
End User	The person or entity abroad that ultimately receives and uses the exported or reexported item.
Fundamental Research Exclusion	An exclusion that applies to basic and applied research at accredited U.S. institutions of higher learning where results are ordinarily published and shared broadly in the scientific community.
Technology Control Plan (TCP)	A written plan that outlines safeguards to ensure that controlled technology, data, or items are not improperly disclosed to unauthorized persons.
Export License	A government-issued authorization required before certain items, data, or services can be exported.
Consolidated Screening List	A combined list of restricted parties maintained by multiple U.S. government agencies, used to screen individuals and entities before engaging in transactions.

Acronyms

Acronym	Full Name	Description
AECA	Arms Export Control Act	U.S. federal law providing the legal framework for exporting and importing defense articles and services.
ATF	Bureau of Alcohol, Tobacco, Firearms and Explosives	Has jurisdiction over certain firearms and explosives exports.
BIS	Bureau of Industry and Security	Branch of the U.S. Department of Commerce responsible for administering and enforcing the EAR.
CACR	Cuban Assets Control Regulations	OFAC regulations specifically governing trade and transactions with Cuba.
CBP	Customs and Border Protection	Enforces export and import regulations at U.S. borders.
CCL	Commerce Control List	A list of dual-use items under the export control jurisdiction of BIS, found in Supplement 1 to Part 774 of the EAR.
CFR	Code of Federal Regulations	The codification of all general and permanent rules published by U.S. federal agencies; the EAR and ITAR are found within the CFR.
CJ	Commodity Jurisdiction	A formal request to determine whether an item falls under the EAR or ITAR.
CPIP	Click Portal Integration Platform	Huron's underlying integration layer for syncing data across HRS sites (e.g., COI, IRB, Export Control).
DCS	Destination Control Statement	A statement placed on export documents indicating the destination and restrictions on re-export (EAR).
DDTC	Directorate of Defense Trade Controls	Branch of the U.S. Department of State that oversees and enforces the ITAR.
DHS	Department of Homeland Security	Oversees CBP and other border security operations.

DOC	Department of Commerce	Houses BIS; responsible for commercial and dual-use export controls.
DoD / DND	Department of Defense / Department of National Defense	U.S. military department with jurisdiction over certain export-controlled items and research.
DoE	Department of Energy	Has jurisdiction over nuclear-related export controls.
DOS	Department of State	Houses DDTC; responsible for defense trade controls.
DoT	Department of the Treasury	Houses OFAC; responsible for economic sanctions.
DURC	Dual Use Research of Concern	Research involving certain agents or technologies with potential for both beneficial and harmful uses.
EAA	Export Administration Act of 1979	The original statutory authority for the EAR (largely superseded by ECRA).
EAR	Export Administration Regulations	U.S. regulations controlling the export of commercial and dual-use goods and technology (15 CFR Parts 730–774).
EAR99	EAR99 (not an acronym)	Classification for items subject to the EAR but not specifically listed on the CCL; generally lower-risk commercial items.
EC	Export Control (module)	The Export Control module within HRS for managing submissions and reviews.
ECCP	Export Control Compliance Plan	An organization's formal written plan for ensuring compliance with export control regulations.
ECCN	Export Control Classification Number	A five-character alphanumeric code identifying items on the CCL for export control purposes.
ECMP	Export Compliance Management Program	A comprehensive management program for export compliance (EAR term).
ECO	Export Compliance / Control Officer	The designated individual responsible for overseeing an organization's export compliance program.

ECRA	Export Control Reform Act	Current statutory authority for the EAR, enacted in 2018.
EO	Empowered Official	A designated person authorized to sign export licenses and ensure ITAR compliance.
FACR	Foreign Assets Control Regulations	Regulations administered by OFAC governing economic sanctions.
FDA	Food and Drug Administration	Has jurisdiction over certain pharmaceutical and medical device exports.
FRE	Fundamental Research Exclusion	An exclusion applying to basic/applied research at U.S. universities where results are ordinarily published and shared broadly.
HRS	Huron Research Suite	The software platform used for managing export control submissions, IRB, and other research compliance workflows.
IEEPA	International Emergency Economic Powers Act	Establishes criminal and administrative penalties for export control violations.
ITAR	International Traffic in Arms Regulations	U.S. regulations governing the export of defense articles, services, and technical data (22 CFR Parts 120–130).
ML	Military List	A list of items controlled for military end-use under various international regimes.
MTCP	Master Technology Control Plan	A broader TCP covering multiple projects or activities.
NRC	Nuclear Regulatory Commission	Regulates nuclear materials and equipment exports.
OFAC	Office of Foreign Assets Control	Branch of the U.S. Department of the Treasury that administers economic sanctions and embargoes.
RPS	Restricted Party Screening	The process of screening individuals and entities against government watchlists before engaging in transactions.

SDN List	Specially Designated Nationals and Blocked Persons List	OFAC's list of individuals and entities whose assets are blocked and with whom U.S. persons are generally prohibited from dealing.
SSO	Single Sign-On	Authentication integration that allows users to access all HRS sites with a single login.
TAA	Technical Assistance Agreement	An ITAR agreement authorizing the exchange of technical data and defense services with foreign persons.
TCP	Technology Control Plan	A written plan outlining safeguards to prevent improper disclosure of controlled technology to unauthorized persons.
USML	United States Munitions List	21 categories of defense articles, services, and related technical data controlled under the ITAR.