INTRODUCTION

- There are Laws, Policies, Rules, and Regulations Everywhere and for Everything.
- They ensure Peace, Good Order, Fairness and Equality for Everyone.
- They Supplement each other and share Jurisdiction
AGENDA

• International Trade in Arms (ITAR)
  US State Department

• Export Administration Regulation (EAR)
  US Department of Commerce

• Office of Foreign Assets Control (OFAC)
  US Treasury Department

• Auburn University Policies
  Security and Export Control

• Departmental Policies
International Trade in Arms Regulation (ITAR)

- State Department
- Aimed at preserving military superiority of US
- Items that are inherently military in character

The U.S. Munitions List (USML) includes all items (and related information/data) with obvious military application.

Examples – explosives, rocket systems, military training equipment, spacecraft and satellite equipment (even if not for military use), toxicological agents and equipment, biological agents, radiological equipment including nuclear radiation detection and measurement devices, defense services.
Export Administration Regulation (EAR)

- Department of Commerce

- Concerned with maintaining the US as an economic and financial leader, and protect our global socio-political status
Export Administration Regulation (EAR)

The **Commodity Control List (CCL)** contains all EAR controlled technologies and materials. Items in the CCL are assigned and identified by the Export Control Classification Number (ECCN).

Examples – batteries and fuel cells, cameras and optics equipment, artificial intelligence software, certain computer equipment, items using laser technology, certain chemicals, microorganisms and toxins

Export Licenses can be obtained depending on the type of item, reason for export, and destination country.
Export Administration Regulation (EAR)

- **“DUAL-USE”** refer to items or merchandise with both civilian and military applicability.

- **“RE-EXPORT”** applies when a controlled item is exported under a license, then the same item is exported to a third party. Additional licensing is required.
Office of Foreign Assets Control (OFAC)

• US Treasury Department

• Administers and enforces economic and trade sanctions based on US foreign policy and national security goals against targeted foreign countries.

• Foreign Assets Control Regulations (FACR)
  • Specially Designated Nationals and Blocked Persons List
Auburn University Policies

1. AU is required to comply with US Government policies.

2. RSO Policies can be found on: https://fp.auburn.edu/vpr/compliance/exports/?Policies

3. The policies & guidance implemented by the Research Security Office are tailored to meet AU requirements, while enforcing and supplementing US Regulations.
Auburn University Policies

- **RSO Highest Concerns:**
  
  1. **Education/Training**
     - Help personnel understand (not memorize) policies (US and AU)
     - Situational Readiness (know what's right and wrong and react accordingly)

  2. **Overall Compliance with US Government Requirements**
     - Program Compliance (documentation, equipment, records, etc.)
     - Facilities Compliance (implementation of security measures)
     - Personnel Compliance (vetting, training, positive attitude)
Departmental Policies

• Anything necessary within your department to supplement all other policies.

  • Ensure awareness and clear understanding of all concerned personnel.
  • Create a checklist.
  • Maintain comprehensive records and functional filing system.
  • Get personally involved
Conclusion

• There numerous Policies and Regulations which are just as necessary as they are tedious to follow

• They are created to protect:
  1. You
  2. Auburn University
  3. The United States of America