UNM Export Control

PROTECTING UNM’S MOST VALUABLE ASSETS

• PEOPLE
• RESEARCH/PII
• TECHNOLOGY
• REPUTATION
Export Control: Why?

Why does the U.S. have Export Control laws?
- Prevent the theft of our technologies.

And….prevent the theft of U.S. information!
- If a person’s information is stolen they cannot publish; they cannot benefit from their own work.
Export Controlled Information: What?

What type of information is under export control restrictions by the U.S. government?

- The U.S. government regulates information, technology, and software that are **STRATEGICALLY IMPORTANT**.
Export Control: What?

The U.S. government also regulates the release of certain information to foreign nationals here in the U.S.

- This is called a “Deemed Export”
- This means a foreign national at UNM might not be able work on some contracts – even though they are here legally!
Controlled Technologies

Technologies that are often controlled:

- Semiconductors
- Lasers, Sensors, & Optics
- Robotics
- UAV’s (Unmanned Aerial Vehicles)
- Information Systems
- Navigation Systems
- Aeronautics
- Marine and Space Systems
- Cryptography/Encryption technology
- Nuclear
How does UNM handle Export Controlled information?

• The Industrial Security Department (ISD) works closely with the Office of Sponsored Projects (OSP) and Purchasing to ensure compliance.

• If a contract is identified that requires export control restrictions the Export Control Officer (ECO) will work with the PI to implement a Technology Control Plan (TCP).
  ◦ The policies and procedures in the TCP must be followed by the persons approved to work on the project.
What is in a TCP?

The TCP outlines:

• Who may work on the project
• What information is being protected
• Where they may work on the project
• Why the information is being protected
• How the project’s information will be handled and protected
Export Control: Terms to Watch For

- **Export Control** (generate/receive)
  - Export Control Warning Banner for technical documents
- **DoD Distribution Statements** (B, C, D, E, F) for technical documents
  - Distribution A = Public Release
- **Controlled Unclassified Information (CUI)**
- Safeguarding of Unclassified Controlled Technical Information-DFARS Clause 252.204-7012
- **DD Form 2345**: Military Critical Technical Data Agreement
- **Technology Control Plan (TCP)**
- **International Travel**
- **Participation Restrictions**
  - Publication “Approval”/Trade Secrets
  - Foreign nationals
  - NDAs

If you see any of these terms, notify the ECO:
Patrick Bourgoyne: 7-2968
Export Control: Violation Consequences

• The U.S. has several laws that govern the export of goods, and it can be complicated…

• If UNM violates any of these laws the punishments can be severe!
  - Up to $1 million per violation! 20 years in jail!
  - Maybe even more important:
    - Lose the ability to compete for Federal contracts over $25,000!
    - Or even have our Export Privileges removed!

UNM’s reputation can be severely damaged!
Contact Information

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Without the assistance of everyone at UNM the FSO and ECO cannot ensure UNM’s compliance with the complicated Export Control laws!