

To: Stanford Faculty and Staff
From: Ann Arvin, Vice Provost and Dean of Research
Date: June 10, 2013
Re: Export Controls Compliance

Dear Colleagues,

A recent Settlement Agreement for \$100,000 between the University of Massachusetts and the U.S. Department of Commerce's Office of Export Enforcement (<http://efoia.bis.doc.gov/exportcontrolviolations/E2306.PDF>) underscores the importance of export controls compliance in a university setting. The violations involved the export of basic research equipment to a foreign party known to be involved in nuclear and missile proliferation activities.

Stanford University expects its faculty, staff and students to comply with all applicable export controls laws and regulations. Each international shipment is subject to export regulation, even in the conduct of fundamental research, and may require an export license. Stanford research policy at RPH 8.0 requires all Stanford exports, including items hand carried abroad, to be documented with the appropriate Stanford export certification. Most items that are hand carried abroad temporarily, such as laptops, research equipment and materials, will fall under a "No License Required (NLR)" or "Temporary Export (TMP)" certification. DoR's [Temporary Exports](#) page provides useful background and procedural information.

The Dean of Research Office has developed two essential tools to assist Stanford employees to comply with these export control policies and regulations:

- An Export Controls Decision Tree at <http://export.stanford.edu/tree> and
- A Restricted Party Screen at <http://export.stanford.edu/rps>

Stanford's Director of Export Compliance and University Export Control Officer (steve.eisner@stanford.edu, 4-7072) is available to assist in any export determination. You are encouraged to contact him if you have questions.

Sincerely,

Ann Arvin, M.D.
Vice Provost and Dean of Research