

OSPA Export Controls

Purpose.

U.S. export control laws and regulations exist to maintain national security and protect U.S. economic vitality. These regulations control the shipment of both tangible items and technical data outside the United States, and prohibit access to export-controlled technical data, materials, or equipment to non-U.S. persons within the United States, known as a deemed export. The Office of Foreign Assets Control (OFAC) regulations impose sanctions and embargoes on transactions or exchanges with designated countries, entities and individuals. A link to their website and “sanctions lists” is here:

<https://ofac.treasury.gov/>

The Export Control Compliance role within the Office of Sponsored Projects Administration (OSPA) at the University of Kentucky was created to provide best practices advice and hands-on assistance to the University research community for compliance with U.S. export control regulations. OSPA houses the Export Controls Compliance Officer who is responsible for assisting the University researchers that are affected by the export controls regulations and working with them to develop systems and procedures that comply with the regulations.

Actions.

Some activities that UK employees regularly engage in – including educational, research, and service, and other interactions – may be export controlled. The OSPA Export Control Office (ospa@uky.edu) can help you:

- Determine whether your activity requires a license under the regulations;
- Assess whether a license exception or available general license can be applied to the situation;
- Work with investigators to understand the difference between Fundamental Research and export-controlled research;
- Export control training;
- Complete and submit license applications to the relevant U.S. Government agency;
- Assist with completion and submission of additional documentation required under a license application or other University of Kentucky research-related business items;
- Advise on recordkeeping requirements;
- Provide interpretation and application of the export controls regulations for grant and contract reviews;
- Provide Restricted Party Screenings (RPS) tools and assistance;
- Inform and guide on transactions involving embargoed and sanctioned countries;
- Work collaboratively with other University offices, faculty, and staff to construct appropriate procedures and safeguards related to export-controlled items, data, and software

Resources.

OSPA Export Control

- <https://www.research.uky.edu/office-sponsored-projects-administration/export-control-and-sponsored-research>

Office of Foreign Assets Control (OFAC) Regulations

- Administered by the OFAC under the U.S. Department of Treasury
- Embargoed and sanctioned countries
- Restricted individuals and entities
- <https://www.treasury.gov/resource-center/sanctions/Pages/default.aspx>

International Traffic in Arms Regulations (ITAR)

- Administered by the Directorate of Defense Trade Controls (DDTC) under the U.S. Department of State
- Controls all items on the United States Munitions List (USML)
- https://www.pmdrtc.state.gov/ddtc_public

Export Administration Regulations (EAR)

- Administered by the Bureau of Industry and Security under the U.S. Department of Commerce
- Controls commercial/dual-use items (not on another export control list, i.e. USML)
- Controls items listed on the Commerce Control List (CCL)
- <https://www.bis.doc.gov>