U.S. Export Control Regulations (ECR) govern what research instruments, materials, software and technology that we, as a U.S. institution, can export (i.e. transfer) out of the country by any means; and what sensitive items and technology we can share with foreign national individuals (visa holders) studying, researching, working in, or visiting our facilities. These regulations also inform what research and business partners we engage with to the extent that we must avoid U.S. government-restricted or prohibited entities (entities of concern from a national security, export control or embargoed-country perspective). The federal agencies and departments with primary jurisdiction are listed in the table below:

<table>
<thead>
<tr>
<th>Regulations</th>
<th>Federal Agency with Oversight</th>
<th>Area of Oversight</th>
</tr>
</thead>
<tbody>
<tr>
<td>ITAR - International Traffic in Arms Regulations</td>
<td>Department of State, Directorate of Defense Trade Controls (DDTC)</td>
<td>Technologies with inherently military properties</td>
</tr>
<tr>
<td>EAR - Export Administration Regulations</td>
<td>Department of Commerce, Bureau of Industry &amp; Security (BIS)</td>
<td>Technologies with both commercial and military applications, most commercial items, and certain military items not controlled under the ITAR</td>
</tr>
<tr>
<td>OFAC - Office of Foreign Assets Control</td>
<td>Department of the Treasury, OFAC</td>
<td>Prohibits transactions of value with certain countries and individuals</td>
</tr>
</tbody>
</table>

What University activities may raise export control issues?
- International shipping
- International travel/fieldwork
- Technology sharing
- Hosting visa holders within export-sensitive science research environments
- Hosting international visitors/scholars
- Collaborating with foreign colleagues in the U.S. or abroad
- Sponsored research containing contractual restrictions on publications or dissemination
- Providing financial support/International financial transactions
- Engagement with sanctioned countries (or individuals in, or ordinarily resident in, a sanctioned country such as Cuba, Iran, Syria or Venezuela)

Why comply?
Individuals as well as the University/UMS can be prosecuted for violating export controls. The penalties for violating export control regulations can include:
- High fines (up to $1,000,000 per violation)
- Loss of import/export privileges
- Debarment or suspension from government contracting
- Seizure of items being shipped
- Imprisonment up to 10 years

What are my responsibilities with regard to export compliance?
At a minimum, all members in our community must be able to recognize that an export control issue might exist and know who to contact for assistance with export compliance. More information about export controls, including access to training can be found at: https://umaine.edu/research-compliance/export-control/

Questions may be directed to Amanda Ashe, Senior Research Compliance Officer, Office of Research Compliance at amanda.lashe@maine.edu or 581-1480.