

# Export Control Management



## INCREASE COMPLIANCE AND DECREASE COMPLEXITY

Export control practices can be difficult to manage, so Kuali developed software to help Institutions of Higher Education capture, track, monitor, and analyze all their export control activities in one secure location. By using Kuali Export Control Management, colleges and universities can reduce the stress, labor, and uncertainty of ensuring compliance.



## WHAT ARE EXPORT CONTROLS?

US export control laws regulate the release of critical technologies, information, and services to foreign countries and foreign nationals, within and outside of the United States. The scope of export control laws includes items such as equipment, software code, chemical and biological materials, and technical data, as well as international sanctions and restrictions for certain countries, institutions, entities, and individuals. For more information about export control regulations, see the Bureau of Industry and Security.

## WHY DO EXPORT CONTROLS MATTER IN HIGHER EDUCATION?

Because export control regulations apply to all activities - not just controlled items or sponsored research - all institutions can be impacted, even if they focus on Fundamental Research. Violations of export control regulations can result in administrative and criminal penalties for both the institution and its employees. Depending on the violation, penalties can reach up to 20 years imprisonment and \$1,000,000 USD per violation, not to mention the damage to an institution's research projects and reputation.



## WHAT IS SO DIFFICULT ABOUT MANAGING EXPORT CONTROL ACTIVITIES?

Although export control regulations are not new, many schools still struggle to track data associated with export control review in a way that allows that data to be easily analyzed and reported. Schools often rely on homegrown tools and manual processes for tracking and capturing export control data and associating it with particular sponsored programs or researchers. Key information is stored in disparate places, stored on unsecured drives, or is not accessible when staff members leave without appropriate knowledge transfer. This exposes schools to risk of non-compliance.

## REPLACE UNRELIABLE METHODS



## HOW DOES KUALI HELP?

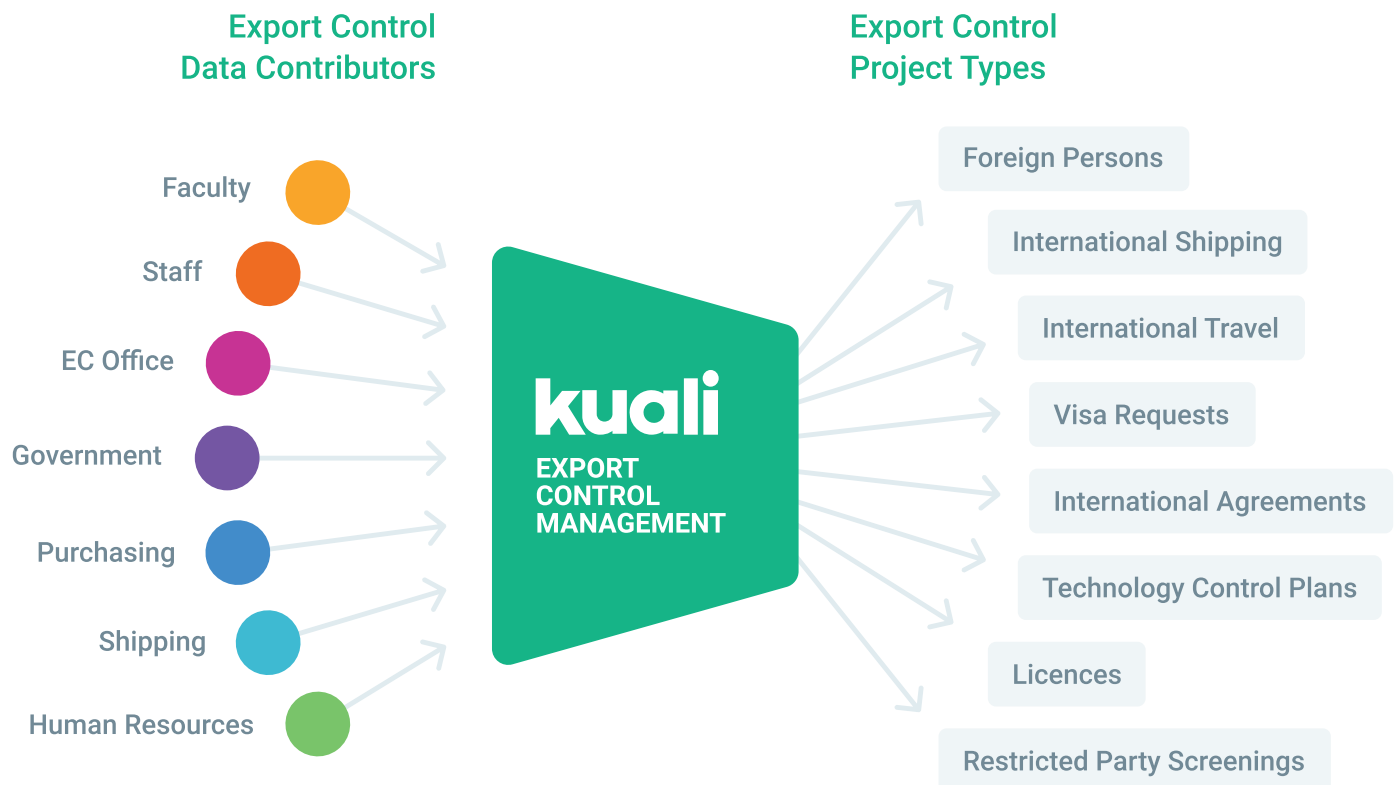
Building on the code contributed by Colorado State University, Kuali developed the Export Control Management software to help institutions capture, track, monitor, and analyze all their export control activities in one secure location. As part of the Kuali Research suite, Export Control Management integrates with other related systems, such as sponsored programs, compliance, human resources, and training. It can even streamline restricted party screenings through an easy integration with Kuali's strategic partner - Descartes Visual Compliance. The pieces all come together through intuitive dashboards and reports that support data-driven decisions and transparency into compliance. Institutions can finally replace their problematic processes of managing export control through a cobbled combination of emails, spreadsheets, papers, and other files stored in diverse locations.

## HOW DOES IT WORK?

Institutions need faculty to disclose situations which may be related to export control or deemed export control' activities. The intertwining concepts can be hard to untangle, so Kuali begins the process by asking faculty screening questions to assist them in identifying an export control situation. These answers trigger workflow to ensure that the appropriate institutional authority is aware and can initiate a review. If there is indeed a need to track something under export controls, the user can simply click to begin managing the export control activities immediately in a newly created export control project with customized fields according to the project type.

- Foreign Persons
- Restricted Party Screenings
- Visa Requests
- Licenses
- Technology Control Plans
- International Shipping
- International Agreements
- International Travel

Kuali Export Control Management facilitates efficient and effective communication between faculty, administrative staff, and the export control officer. Notifications can be enabled to send custom messages to let all relevant parties know that export controls will be applicable, and helpful status updates can be sent automatically as the project progresses. Additionally, when using Export Control Management with the Kuali Sponsored Programs software, an institution can associate export control projects with proposals and awards and then easily navigate between the sources of information. Robust reporting makes it easy to quickly confirm compliance or explore foreign relationships.







## WHY SHOULD MY INSTITUTION USE KUALI EXPORT CONTROL MANAGEMENT?

Institutions need faculty to disclose situations which may be related to export control or deemed export control' activities. The intertwining concepts can be hard to untangle, so Kuali begins the process by asking faculty screening questions to assist them in identifying an export control situation. These answers trigger workflow to ensure that the appropriate institutional authority is aware and can initiate a review. If there is indeed a need to track something under export controls, the user can simply click to begin managing the export control activities immediately in a newly created export control project with customized fields according to the project type.

- Transparent compliance
- Secure, organized data collection and review
- Reduced time, labor, and stress
- Increased collaboration and unity
- Reduced risk of fines, imprisonment, and jeopardized research

## ABOUT KUALI

Kuali's goal is to provide value to higher education while enabling institutions to keep more money in their mission of teaching and research. Our Kuali Research Suite, delivered through the cloud, provides full online research administration and compliance management to simplify processes and improve insights. To provide flexibility, the research suite is built with modules for Pre-Award and Post-Award management, Conflict of Interest/Commitment disclosures, Protocols for human and animal research, and Export Control. What began as a group of colleges and universities joining together to improve their tools and processes has evolved into a revolutionary software company used by campuses across North America. Kuali provides continuous SaaS delivery and an intuitive interface that can be configured to meet individual users' needs.