

December 22, 2008

To: The Caltech Community
From: Jean-Lou Chameau
Subject: Compliance with Export Laws and Regulations

Federal laws and regulations concerning export, import and financial transactions involving sanctioned or embargoed countries have existed for many years. The events of September 11, 2001, and subsequent events around the world have pushed national security concerns to the forefront. The government has responded by tightening the export control regulations that govern the transfer of strategic technology for national security and foreign policy reasons.

Export control laws are intended to control the transfer of sensitive information or goods to individuals, entities, or countries of concern and, under certain conditions, to foreign persons. The regulations contain a fundamental research exclusion and specific university exemptions that allow most of the research activities being performed at Caltech and at other U.S. universities to be carried out without the need for government licenses or other restrictions. There are certain activities and information that are not covered by the fundamental research exclusion, however, and remain subject to the export control laws and regulations.

It is essential for all members of the Caltech Community to be aware of them. Toward that end, we have adopted a new policy, "Compliance with Export Laws and Regulations." While the policy applies to all members of the Caltech community, there are many who will not be directly affected by the requirements of this policy.

The Caltech Export Compliance Office will continue to offer export compliance awareness classes for faculty and staff on these requirements. The schedule of training programs for 2009 will be announced in January. However, if you need immediate assistance or have any questions regarding this policy, please contact Caltech's Director of Export Compliance, Adilia F. Koch, at extension 4469 or email: adilia.koch@caltech.edu.

The policy can be accessed at:
http://cit.hr.caltech.edu/policies/Policies/CITPolicy_ExportLaw.pdf