



Projects with Publication and/or Personnel Restrictions



Proposal Submission



Award and Account Establishment



After Research Commences



Closeout



How is research with restrictions on personnel and/or publication different from basic research?

Export control laws do not apply to “fundamental research” projects, defined as basic and applied research, the result of which are ordinarily published and disseminated broadly without restrictions. However, research is subject to the export control regulations if there are restrictions on publication and/or personnel and may require implementing various measures to adhere to sponsor requirements.



Does USC accept restricted research projects?

USC generally does not accept research projects that have restrictions on publication and/or personnel. However, USC will consider requests from investigators to accept such restrictions on an exception basis.



How do I obtain approval to conduct a restricted research project?

Researchers wishing to conduct restricted research must submit a proposal exception request (<https://oec.usc.edu/compliance-programs/international-activity/research/>) to the Office of Ethics and Compliance (OEC). Exception requests are reviewed by USC’s International Collaborations and Export Controls Committee. Highlights of the process include:

- The Department of Contracts and Grants (DCG) identifies restriction(s) in the solicitation.
- The proposal exception request memo is reviewed by the International Collaborations and Export Control Committee.
- If the request is approved, a management plan will be put in place outlining the measures that must be implemented to comply with applicable restrictions.
- OEC periodically monitors the project to ensure compliance with plan and sponsor requirements.



I’d like to learn more about restricted research and export controls. Where can I find additional information?

More information is available on the OEC website, <https://oec.usc.edu/compliance-programs/international-activity/research/>, and in USC’s [International Collaborations and Export Controls policy](#). If you have additional questions, please contact Emily Pender, Assistant Director of Export Control Compliance, at epender@usc.edu.

