Research that Requires a License {Export Controls Decision Tree}

USC Office of Ethics and Compliance
Research Compliance

Are you sharing, shipping, transmitting, or transferring USC-developed, non-encryption software?

YES → YOU MAY NEED AN EXPORT LICENSE TO SHARE WITH FOREIGN NATIONALS AND/OR TO EXPORT TO A FOREIGN COUNTRY – CALL OEC!

NO ↓

Are you sharing, shipping, transmitting, or transferring items or technology that will support development or use of a nuclear explosive device, chemical/biological weapons, or missiles?

YES → YOU MAY NEED AN EXPORT LICENSE TO SHARE WITH FOREIGN NATIONALS AND/OR TO EXPORT TO A FOREIGN COUNTRY – CALL OEC!

NO ↓

Was the item or information to be shared, shipped, transmitted, or transferred developed under a sponsored agreement that: (1) Imposes publication restrictions beyond a brief review (90 days) for patent protection and/or inadvertent release of proprietary information; or (2) Imposes personnel restrictions on the basis of nationality?

YES → YOU MAY NEED AN EXPORT LICENSE TO SHARE WITH FOREIGN NATIONALS AND/OR TO EXPORT TO A FOREIGN COUNTRY – CALL OEC!

NO ↓

Was the item or information to be shared, shipped, transmitted, or transferred developed under an NDA or confidentiality agreement?

YES → Is the item or information central to the research program, and/or do the data disclosure restrictions affect the ability to publish research results?

YES → YOU MAY NEED AN EXPORT LICENSE TO SHARE WITH FOREIGN NATIONALS AND/OR TO EXPORT TO A FOREIGN COUNTRY – CALL OEC!

NO → Are you exporting any ***item***, such as equipment, hardware, or software?

YES → YOU MAY NEED AN EXPORT LICENSE TO SHARE WITH FOREIGN NATIONALS AND/OR TO EXPORT TO A FOREIGN COUNTRY – CALL OEC!

NO ↓

Are you exporting any ***information*** or ***technology***, such as software source code or technical data (e.g., blueprints, plans, designs, specifications) that would enable the development, production, or use of equipment or software?

YES → Is the information or technology to be exported either published, patented, or generally accessible and available to the public?

NO → YOU MAY NEED AN EXPORT LICENSE TO SHARE WITH FOREIGN NATIONALS AND/OR TO EXPORT TO A FOREIGN COUNTRY – CALL OEC!

YES → Are you sharing, shipping, transmitting, or transferring any item, information, or technology to an entity or person in a country subject to economic sanction by the U.S. State Department? https://ofac.treasury.gov/

YES → YOU MAY NEED AN EXPORT LICENSE TO SHARE WITH FOREIGN NATIONALS AND/OR TO EXPORT TO A FOREIGN COUNTRY – CALL OEC!

NO → NO EXPORT LICENSE NECESSARY