Tuesday, May 16, 2017

8:15 a.m. Plenary Session

Counterintelligence and Export Control Outreach Program
David Laufman, U.S. Department of Justice

10:15 a.m. Concurrent Sessions

Drone Regulation Updates and their Relation to Export Controls
Adam Grant, University of Maryland
Mark Peters, Oregon State University
Justine Kasznicac, Baer Crossey McDemus, LLC

The regulations related to operation and export of Unmanned Aircraft, a.k.a. “drones” are rapidly changing as the FAA continues to rollout new regulations required by the FAA Modernization and Reform Act of 2012. The 2017 AUECO drone presentation will focus on the most recent changes to airspace and export regulations affecting drone use in university research. In addition to the updates, we will look at real-life case studies on drone research and discuss best practices for institutional policies, safety concerns, operational considerations, risk management, etc.
OFAC, Iran and Cuba Updates
Jeanette Miller, U.S. Department of Treasury

12:00 p.m. Catered Lunch with Speaker

U.S. Department of State, International Traffic in Arms Regulation (ITAR)
C. Edward Peartree, U.S. Department of State

1:30 p.m. Concurrent Sessions

Controlled Unclassified Information-Definitions, Regulations, and Negotiations
Elizabeth Peloso, University of Pennsylvania
Jessica Buchanan, University of Pennsylvania
David Brady, Virginia Polytechnic Institute and State University

Since the passing of Executive Order 13556 in November 2010, Federal agencies have been working towards full implementation of the requirements to safeguard Controlled Unclassified Information (CUI). This has included the issuance of NIST Special Publication 800-171 as well as codification of the categories of CUI. The requirements of recipients of Federal contracts to protect CUI have been included in the DFARs, and will soon be a FAR requirement. This session will focus on the basics of CUI, the corresponding NIST security requirements, and the contractual implementation involved, with special attention to the impact on university research, particularly as applied to export compliance.
**Creative Training Programs**
Bethany Nelson, University of Wisconsin-Madison
Thomas Demke, University of Wisconsin-Madison

Do you have trouble deciding how to train people when your institution does not have a mandatory training requirement? Do you not have specific training budget and have to make all trainings “from scratch”? Then this is the session for you.

Learn strategies, tools, and resources for engaging with your university to maximize training opportunities and ensure that people around campus understand export control.

We’ll go over how to build a basic training outline that can be modified and revised for specialty areas, and look at creative ways you can use to approach training besides the usual PowerPoint presentation style. We will also talk about who and how to target your trainings to ensure you get the most impact from your time.

**Full Campus Implementation of Export Control Programs**
Garret Eaton, University of California, San Diego
Brittany Whiting, University of California, San Diego

Export Control compliance intersects a myriad of research, business and teaching activities on campus, but many EC leads may not have visibility or bandwidth to identify and mitigate these potential risk areas effectively. This session will explore how to best uncover potential risks on your campus, leverage available partnerships and systems, and advocate for necessary resources to build a robust Export compliance program.
3:30 Concurrent Sessions

Chemicals and Biological Export Controls Applicable to University Research
Jodi Kouts, U.S. Department of Commerce
Betty Lee, U.S. Department of Commerce

How can export control officers work with risk managers to use risk assessment techniques and improve compliance on your campus? In this workshop, the presenters share their experience working together in assessing export control risk. Participants will have the opportunity to apply a systematic risk assessment model to these risks.

Risk Assessment for Export Compliance Programs
Scot Alen, Colorado State University
Wayne Mowery, Jr., Pennsylvania State University
Sally Alexander, Colorado State University
Thomas Demke, University of Wisconsin-Madison

How can export control officers work with risk managers to use risk assessment techniques and improve compliance on your campus? In this workshop, the presenters share their experience working together in assessing export control risk. Participants will have the opportunity to apply a systematic risk assessment model to these risks.

Export control staff will gain an understanding of how to partner with risk managers through the process and consider the potential financial and reputational impacts of non-compliance in building a strategic plan or prioritizing what to tackle next. To give you insight into a partnership with risk management, the
Director of Risk Management from Colorado State will share her perspective on risk and working with Export Control to implement a risk assessment for the campus.

Building on an excellent foundation laid by David Brady (Virginia Tech), Missy Peloso (Penn), Gretta Rowold (Oklahoma), and others, the presenters developed a recent AUECO Guidance Paper on risk assessment.

**Enforcement, Investigations, Disclosures**
James Bartlett, Full Circle Compliance
Tara Wood, University of Cincinnati

**8:15 a.m. Plenary Session**

**U.S. Department of Commerce, Export Administration Regulation (EAR) Updates**
Karen Nies-Vogel, U.S. Department of Commerce

**10:15 Concurrent Sessions**

**NIST 800-171, University Implementation Example**
Mary Millsaps, Purdue University

Session will cover one approach to addressing the NIST 800-171 Compliance. We will discuss how we analyzed the potential impact of not having a compliant solution, how we identified the key players within the university who needed to participate in the process, and how we addressed the short and long-term funding issues. We will also discuss the model we arrived at, which leverages
government approved cloud services and has a sustainable and scalable funding model.

**International Shipping Requirements and Compliance**
Brandon Barnhill, Portland State University
Jen McCaw, Oregon Health and Science University

This session will review the basics of the international shipping process, from origination of the shipment to delivery, as well as shipments returning to the US. This session will be designed to help participants answer common shipping questions and assist shippers at their universities in selecting transportation providers. Our objective is to present a broad but accurate explanation of the shipping process and how it intersects with export controls. Topics to be discussed include completing and reviewing documents, freight forwarders and courier services, navigating foreign and domestic customs processes and regulations, lodging export declarations, working with customs brokers (including the duty refund process), and Incoterms. Although this presentation will focus on issues in shipping that are primarily external to university operations, it will be presented with the unique challenges universities face when shipping internationally in mind.

**12:00 p.m. Catered Lunch with Speaker**

**FBI and Department of Homeland Security**
Jacquelyn Metzger, U.S. Department of Homeland Security
Fred Pflueger, FBI
1:30 Concurrent Sessions

**NIST 800-171, Understanding the Specific Requirements**
Elizabeth Peloso, University of Pennsylvania
Jessica Buchanan, University of Pennsylvania
David Brady, Virginia Polytechnic Institute and State University

The security measures required by NIST 800-171 to safeguard CUI are extremely challenging to implement in an academic setting, and because CUI crosses multiple academic domains and is not the exclusive purview of export controls compliance, institutions search for cost-efficient compliant solutions with appropriate governance structures. You know what it is and have heard how one institution implemented a solution, but what solution is right for yours? Join us for discussion and brainstorming on how institutions are solving CUI and NIST 800-171 compliance issues, including possible complications, barriers, solutions, and implementation.

**Anticipating Risk with Evolving Regulations**
Ianthe Bryant-Gawthrop, Purdue University
Ryan Fayhee, Baker & McKenzie

Expectations for a university export compliance program are constantly evolving. Often, the best practices related to a new rule or technology is difficult to implement swiftly across university daily operations. Learn the skills that a university export compliance program needs to stay ahead of its risks.

This session will focus on trends in recent cases and identify new technologies of concern and priority. The presenters will provide interactive scenarios involving examples of emerging technologies and impact to a university.
Learn how to predict impact and keep up with current risks to provide practical every day solutions.

3:30 Concurrent Sessions

License Exceptions under the EAR
Patrick Briscoe, University of Minnesota

Part 740 of the Export Administration Regulations contains a number of license exceptions that can save exporters time, effort, and worry. We’ll focus on the exceptions most likely to benefit universities, such as TMP (for temporary exports), BAG (for personally-owned items), GOV (for exports to certain government consignees), and LVS (for cheap stuff), among others. We’ll discuss when to invoke an exception, what specific criteria must be met, documenting usage for the record as appropriate, and implementation and follow-up. The presentation will explore both specific regulatory details and practical applications in hypothetical situations.

Hidden Risks: Tech Transfer and Export Controls
Lisa Goble, University of North Carolina at Greensboro
Dava Casoni, University of South California
Donald Fischer, Fischer & Associates

Export control regulations impact areas across campus. In this session, we will drill down on the technology transfer office (“TTO”). We’ll provide a basic introduction into the types of functions most TTOs perform, discuss related export control risks and provide guidance on how you can mitigate these risks and train your TTO to look for export control red flags.