New York University
A private university in the public service

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TO: NYU Faculty
FROM: David McLaughlin, Provost

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As part of the University’s efforts to keep you apprised of significant developments in the federal arena which may affect you as researchers and teachers, and to ensure compliance with federal regulations, we wish to inform you about the recent developments in the area of export controls. Although laws restricting exports of goods and technology have existed since the 1940s, the post-9/11 emphasis on the prevention of terrorism has resulted in increased scrutiny of practices at universities. In the Fall of 2003, the Inspectors General (IGs) for the Departments of Commerce, Defense, Energy and State conducted site visits at more than a dozen major academic research institutions around the country specifically to examine compliance with export control laws. The IGs found a general lack of “awareness and understanding” as well as specific violations of the export control laws at the institutions they visited. Violations of these laws can result in significant civil and criminal penalties, both institutional and individual, as well as administrative sanctions.

It is not yet clear whether the IG reports will result in any revisions to the current export control regulations. However, the Association of American Universities is sufficiently concerned about suggestions contained in the reports that it has formed a task force of university leaders to monitor any proposed changes to the regulations and to ensure that university faculty remain free to undertake research without restrictions and collaborate with and teach foreign nationals both here and abroad.

We will keep you updated on any changes that might occur in the federal regulations and particularly in their applicability to university research. In the meantime, please review the attached materials which are provided as an introduction to the current regulatory requirements. If you believe your research and/or scholarly activities may be affected by export control regulations, please contact Pierre Hohenberg, Senior Vice Provost for Research, pierre.hohenberg@nyu.edu.