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Office of  
Science  
U.S. DEPARTMENT OF ENERGY

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# Tools of an Export Control Program

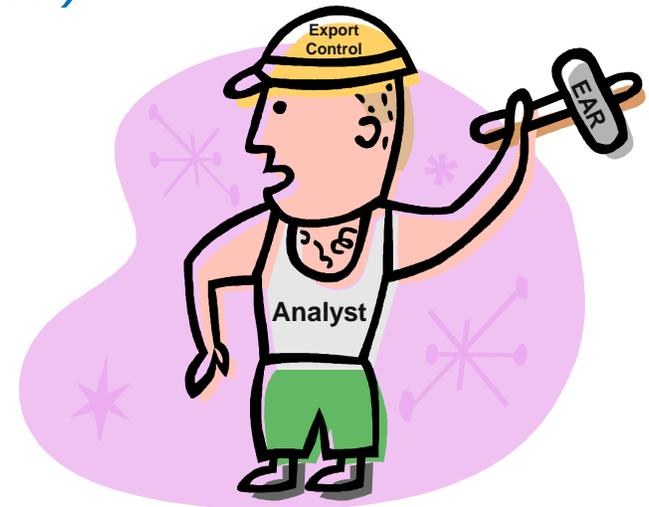
(Argonne Publications No. 61998 )

*Chad W. Mund*

*Lead Export Control Analyst*

*Argonne National Laboratory*

*ECCO 2008*



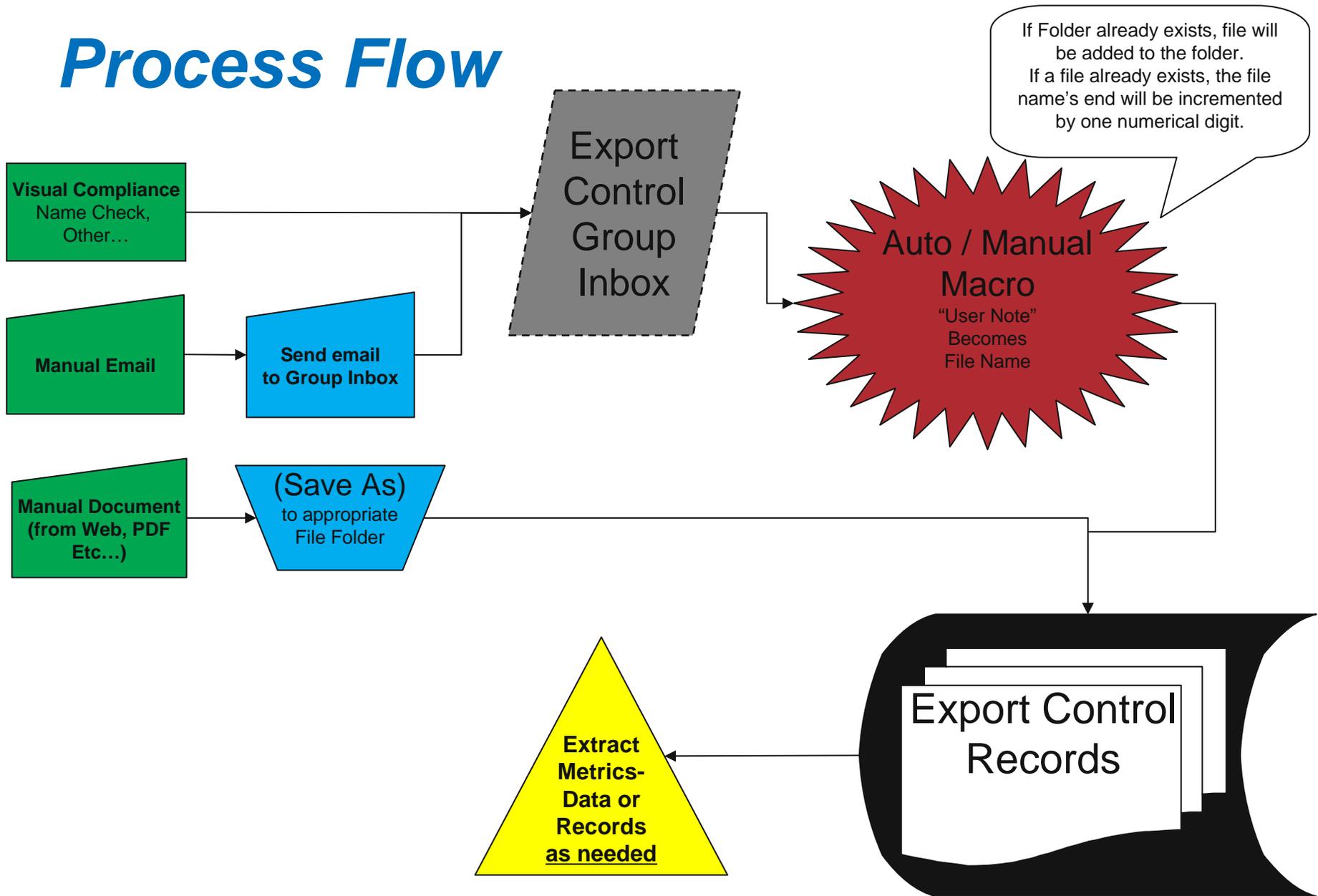
# Outline

- Automated Records Retention & Retrieval Program
- The Technology Tracking Map

# *Automated Records Retention & Retrieval Program*

- Records to be kept in original form (15CFR Part 762)
- Many Tools, Documents, & Resources are electronic, computerized, and on-line
  - Incoming Shippers, Contracts, Visit Requests
  - ECustoms Visual Compliance
  - Publications, Product Data Sheets, etc...
- Many records to be kept are routine
  - Denied Party Screening
  - ECCN & License Checks
  - Original Received Documents
- Much of this can be Automated!

# Process Flow



# Visual Compliance Name Check

- User Note:
  - “RN-12345-0”
- Click “Mail”
  - Document is sent to EC Group Inbox
- Once the Visual Compliance email enters the Group Inbox, the Macro recognizes it and automatically places it in the main Records Folder

Visual Compliance - RPS Search Results - Windows Internet Explorer  
https://www.visualcompliance.com/vce/rps\_listing.cfm

NO MATCHING RECORDS FOUND [NEW SEARCH]

Your search of the MSR Visual Compliance Restricted Party Screening database failed to return any records.

**Search criteria:**

Name:	Wiley Coyote
Company:	Road Runner Exterminators
Address:	Desert
City:	n/a
State:	n/a
Country:	USA

**Search type:** Fuzzy [2] [Export and Munitions datagroups (see below).]

**Date of search:** Thursday, June 5, 2008

**Time of search:** 12:35 PM EST

**Authorities:**

- Denied Persons List [BIS]
- Entity List [BIS]
- "Unverified" List [BIS]
- Specially Designated Nationals and Blocked Persons [OFAC]
- Designated Terrorist Organizations [State]
- Terrorist Exclusion List [State]
- Palestinian Legislative Council (PLC) List [OFAC]
- Federal Register Orders
- Arms Export Control Act Debarred Parties [ITAR]
- Munitions Export Controls Order [ITAR]
- Munitions Export Nonproliferation Order [State]
- WMD Trade Control Regulations Designation [OFAC]

[NEW SEARCH]

[RETURN THESE SEARCH VALUES TO SCREENING]

*E-mail these results*

Send to me.

Send to this address:

Please type carefully. Email addresses with errors cannot be delivered.

Send to addresses on my list: There are no email addresses in your personal distribution list.

Notations to this results email:

Include entity searched in subject line.

Include your name (the user who made the search) in subject line.

[MAIL]

# Auto Macro – Part 1

- Macro found the text in “User Notes”, changed the “Subject” line, and saved the email (.msg file) to the Main Records Folder.

**RN-12345-0 - Message (HTML)**

File Edit View Insert Format Tools Actions Help

Reply Reply to All Forward

From: EXPORTCONTROL@ANL.GOV Sent: Thu 6/5/2008 11:44 AM  
To: Export Control Department - SCD  
Cc:  
Subject: RN-12345-0

**VISUAL COMPLIANCE RESTRICTED PARTY SCREENING**

---

**NO MATCHING RECORDS FOUND**

This search of the Visual Compliance Restricted Party Screening database failed to return any records.

**Report creation:** CHAD MUND, UCHICAGO ARGONNE, LLC  
[[EXPORTCONTROL@ANL.GOV](mailto:EXPORTCONTROL@ANL.GOV)]

**User notes:** RN-12345-0

**Search criteria:**

**Name:** Wiley Coyote

**Company:** Road Runner Exterminators

**Address:** Desert

**City:** n/a

**State:** n/a

**Country:** USA

**Search type:** Fuzzy [Export and Munitions datagroups selected.]

**Date of search:** Thursday, June 5, 2008

**Time of search:** 12:44 PM EST

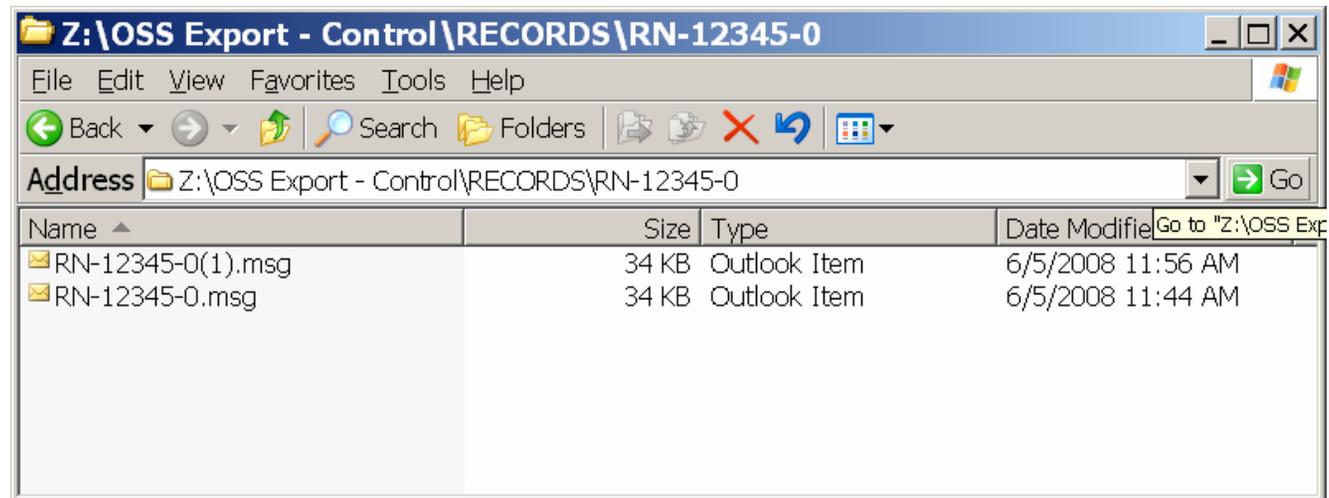
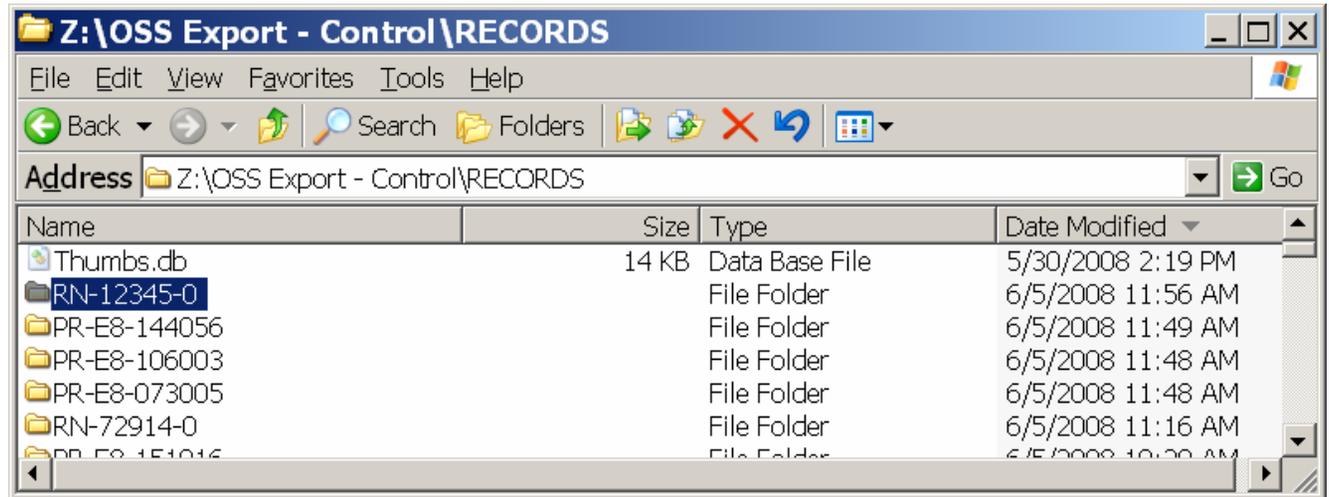
**Country Notes:** No Risk Country alerts.

40877

CONFIDENTIALITY NOTE: This electronic transmission is directed in confidence solely to the person(s) to whom it is addressed, or an authorized recipient, and may not otherwise be distributed, copied or disclosed. The contents of the transmission may also be subject to intellectual property rights and all such rights are expressly claimed and are not waived. If you have received this transmission in error, please notify the sender immediately by return electronic transmission and then immediately delete this transmission, including all attachments, without copying, distributing or disclosing same.

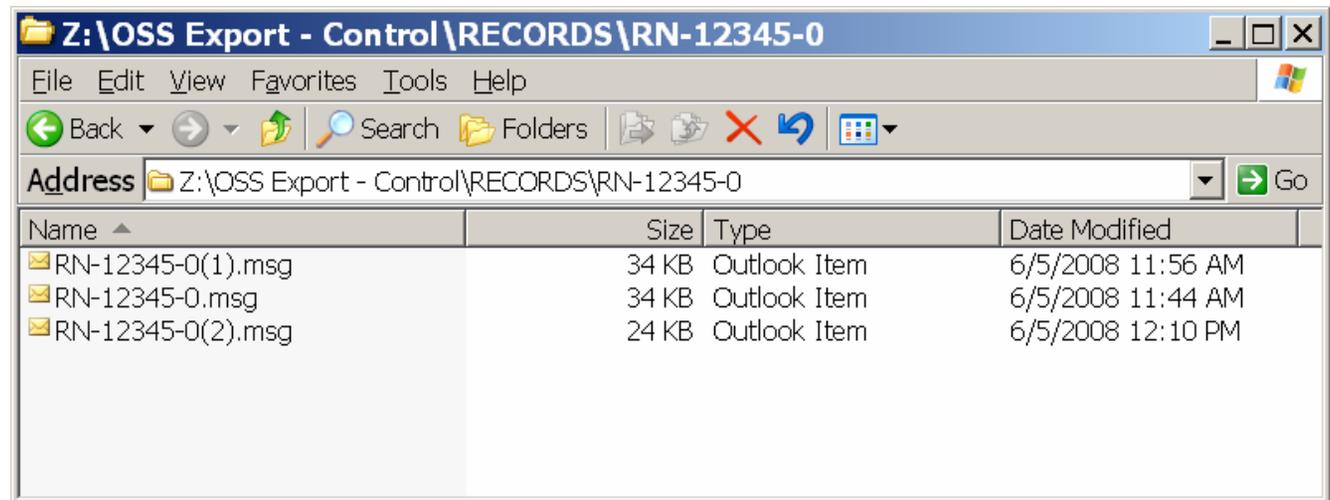
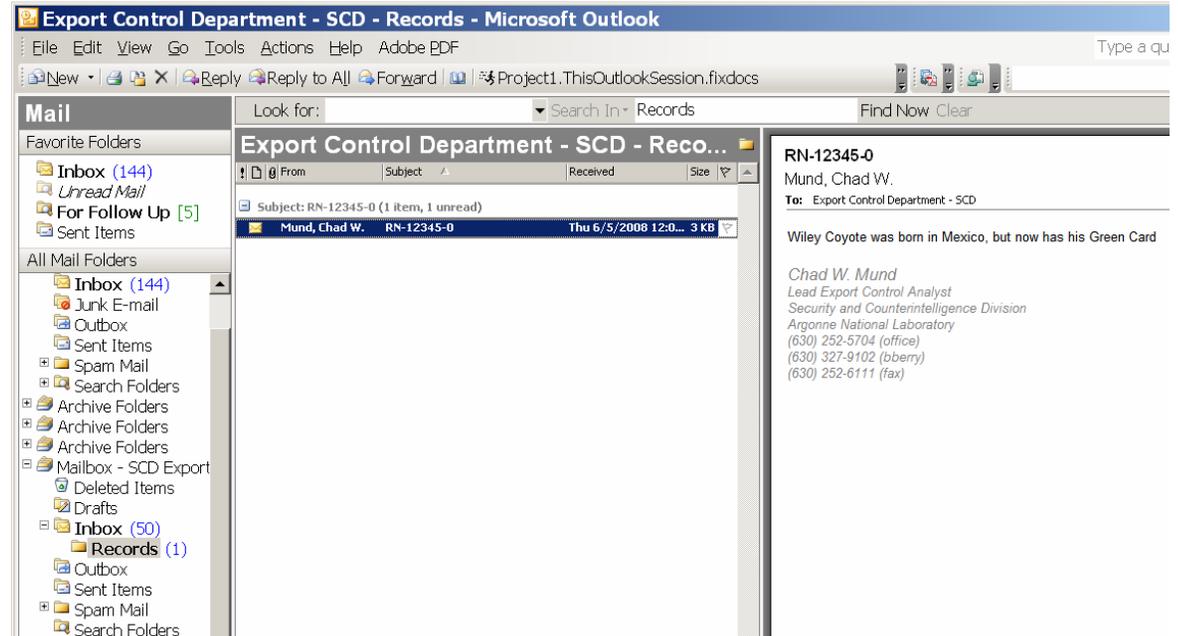
## Auto Macro – Part 2

- Macro created new folder, and saved the file into that folder.
- Any new files the macro tries to put in this folder, will have the same file name, but be incremented by one numeral



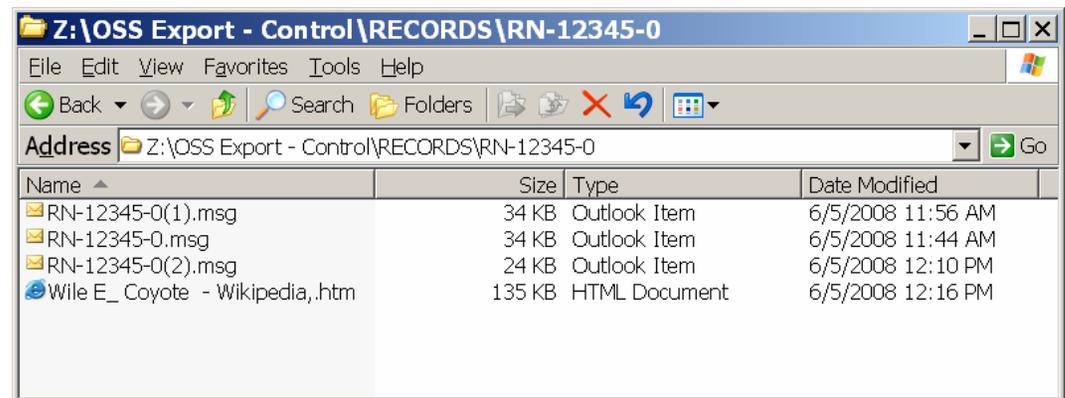
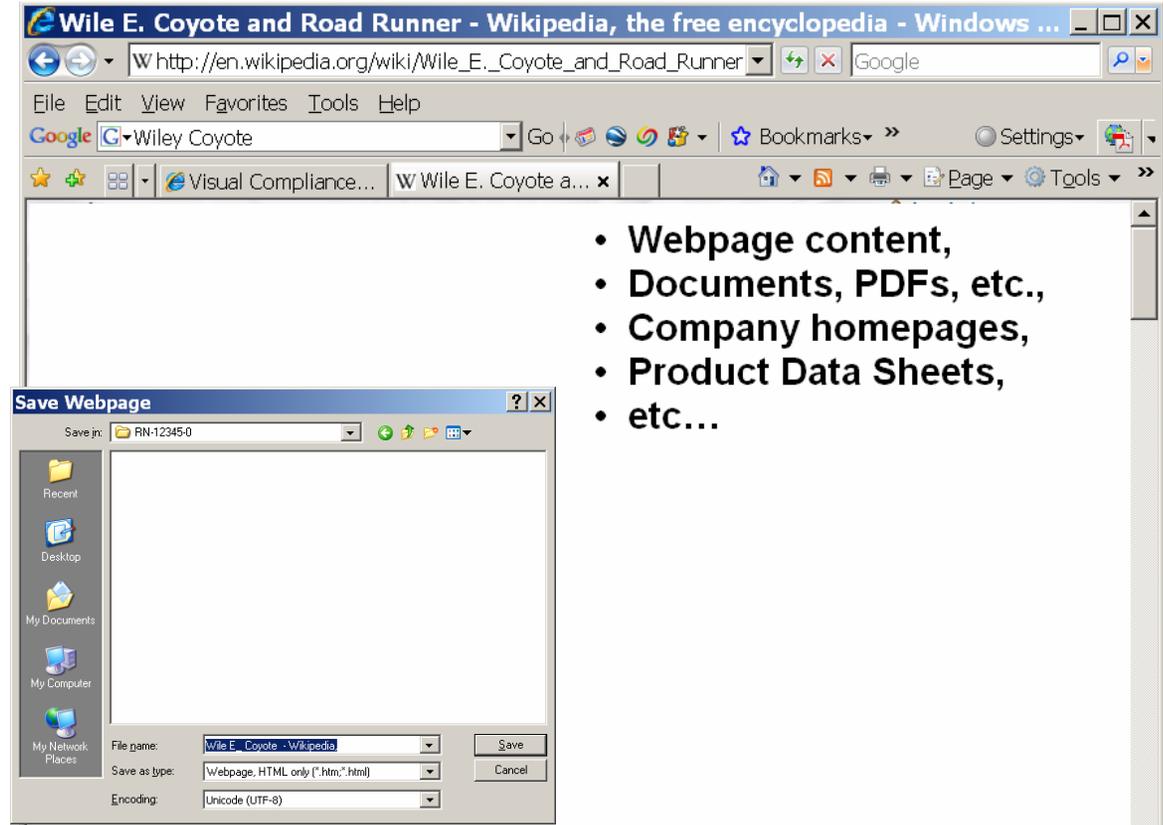
## Manual Macro

- Supporting email messages were sent to the Group Inbox, then the Macro was run manually (click a button), and the message was sent to the Main Records Folder just like all the others.
- Message is now with all related documents in the Main Records Folder



# Manual "Save As"

- Supporting Documents can be saved directly to the appropriate folder. (PDF's, Wrd, HTML, etc.)



# *Records Magic*

## ■ Records

- Protected by IT Security and backed up.
- Can be accessed, printed, tallied, and searched (by keyword or document number)
- Can be copied annually to DVD or Solid State storage and kept in a secure place, i.e. the Export Manager's desk.

## *Metrics – (example numbers only)*

**EXPORT  
CONTROL**

**Fiscal Year 2008**

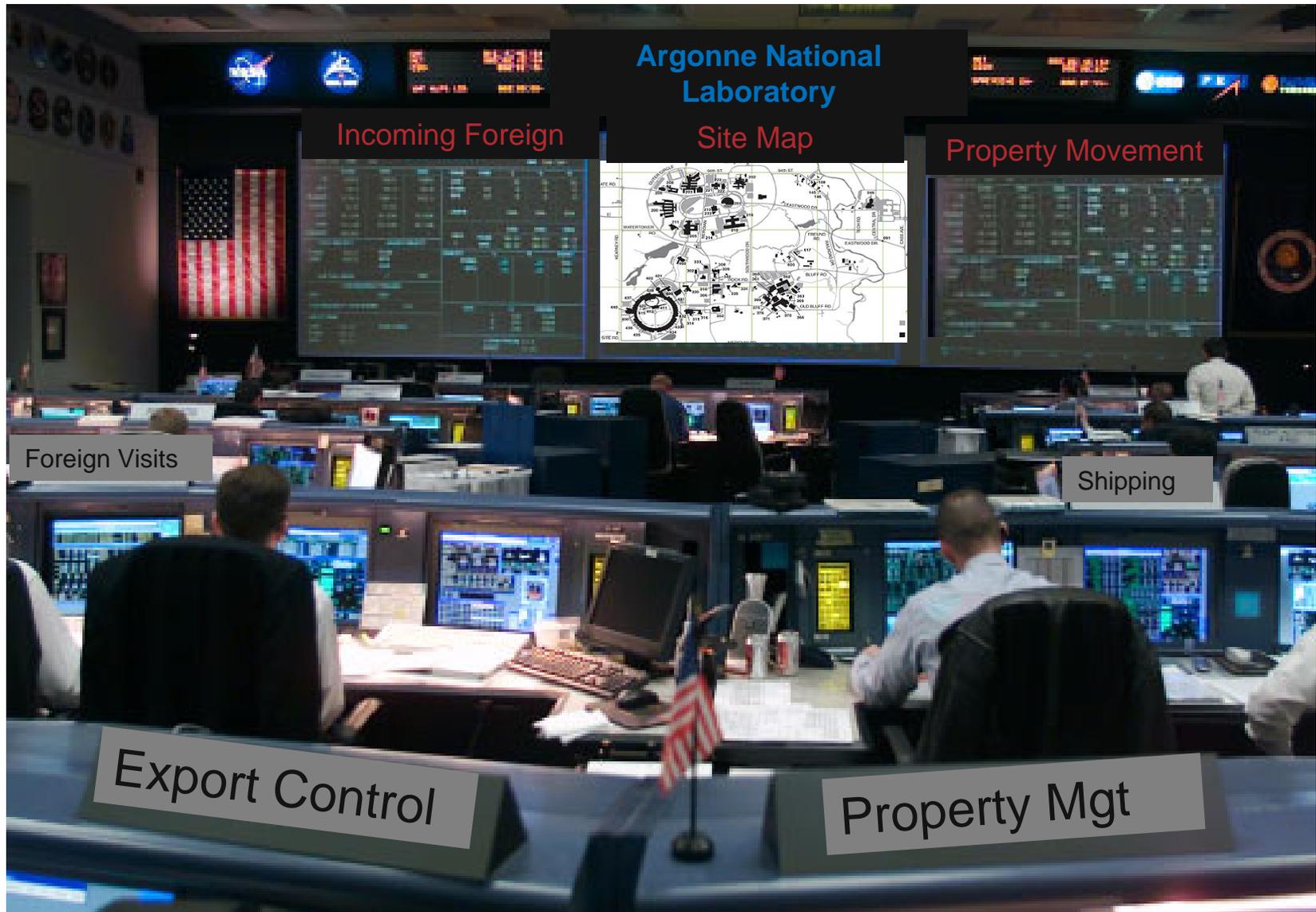
Export TYPE	OCT'07	NOV'07	DEC'07	JAN'08	FEB'08	MAR'08	APR'08	MAY'08	JUN'08	JUL'08	AUG'08	SEP'08	Fiscal Y T D T o t a l
Export Type	29	21	11	9	19	16	15						120
Export Type	68	57	38	54	46	54	56						373
Export Type	681	481	256	435	488	592	442						3375
Export Type	3	2	0	0	0	3	3						11
Export Type	126	118	92	123	96	86	102						743
Export Type	24	0	0	2	21	0	7						54
Export Type	1	6	2	2	1	0	0						12
<b>Totals</b>	<b>932</b>	<b>685</b>	<b>399</b>	<b>625</b>	<b>671</b>	<b>751</b>	<b>625</b>						<b>4688</b>

# *The Technology Tracking Map*

- Diverse Laboratory
  - Physical Facility
  - Research Divisions
  - Research Programs
- How do we get our Export Control Hands around all this, and keep track of it?
- Build a “Mission Control Center” for Property and Foreign National tracking?
- Build a low budget solution using existing resources?



# Wouldn't it be nice?



(Original Photo Courtesy National Aeronautics and Space Administration)

*Instead...reality:*



[http://www.cthreepo.com/blog/archives/2005\\_04\\_01\\_archive.html](http://www.cthreepo.com/blog/archives/2005_04_01_archive.html)

# Argonne Technology Tracking Map

## ■ Purpose:

- Identify and track the myriad of technologies at Argonne.

## ■ Use:

- Outreach; Internal Audit; Record notable interactions; Reference of Divisions/Programs; Capture Technology/Foreign Involvement of key areas

## ■ Elements:

- Lab Structure; Divisions and Locations; POCs; EC Jurisdiction; EC Analysis

## ■ Features:

- Hierarchical structure of Lab; Hyperlinked to Division/Program WebPages; Physical Location reference; EC Jurisdiction and Analysis

	1	2	3	4	5
1	<b>Basic Science</b>	<b>Energy Resources</b>	<b>Environmental Management</b>	<b>National Security</b>	<b>User Facilities</b>
2	<b>Biosciences &amp; Biodefense</b>	<b>Chemical Engineering</b>	<b>Environmental Science</b>	<a href="#">(National Security)</a> <a href="#">(Associated Argonne Divisions)</a>	<a href="#">(Overview)</a>
3	<a href="#">Structural Genomics</a>	<a href="#">Basic Sciences</a>	<a href="#">Advanced Tool Development</a>		<b>Advanced Photon Source (APS)</b>
4	<a href="#">Structural Biology</a>	<a href="#">Battery Technology</a>	<a href="#">Atmospheric and Climate Research</a>	<b>PROTECT Chemical Agent Detection and Response</b>	<b>APS Accelerator Systems Division Home (ASD)</b>
5	<a href="#">Functional Genomics</a>	<a href="#">Fuel Cell Technology</a>	<a href="#">Environmental Policy and Planning</a>		<a href="#">Accelerator Physics - Advanced Photon Source</a>
6	<a href="#">Biophysics</a>	<a href="#">Nuclear Technology</a>	<a href="#">Integrated Environmental Assessments</a>	<b>Sigec Matrix</b>	<a href="#">Diagnostics Group Home Page</a>
7	<a href="#">Terrestrial Research</a>	<a href="#">Process Chemistry</a>	<a href="#">Risk-Based Environmental Assessment and Management</a>	<b>Highly Enriched Uranium Transparency Program</b>	<a href="#">About the Magnetic Devices Group</a>
8	<a href="#">High-Throughput Biology</a>	<a href="#">Electrochemical Technology</a>	<a href="#">Site Environmental Restoration and Stewardship</a>	<b>Munitions Demilitarization, Maintenance, and Supply Sources</b>	<a href="#">Operations Analysis - Advanced Photon Source</a>
9	<b>Chemistry</b>	<b>Nuclear Engineering</b>			<a href="#">Power Systems Group</a>
10	<a href="#">Interfacial Processes</a>	<a href="#">(Major Programs)</a>			<a href="#">Radio Frequency Group</a>
11	<a href="#">Radiation and Photochemistry</a>	<a href="#">Advanced fuel cycle initiative</a>			<b>APS Engineering Support Division (AES)</b>
12	<a href="#">Photosynthesis</a>	<a href="#">Generation IV (Gen IV)</a>			<a href="#">Computer Systems</a>
13	<a href="#">Cluster Studies Group</a>	<a href="#">Hydrogen initiative</a>			<a href="#">Facilities, Resources and Safety</a>
14	<a href="#">Chemical Dynamics in the Gas Phase</a>	<a href="#">The Reduced Enrichment for Research and Test Reactors (RETR)</a>			<a href="#">Mechanical and Interlock Systems</a>
15	<a href="#">Nanophotonics</a>	<a href="#">The International Nuclear Safety Center (INSC)</a>			<b>X-Ray Science Division (XSD)</b>
16	<a href="#">Heavy Element and Separation Science</a>	<a href="#">Fissile materials disposition</a>			<b>X-Ray Operations and Research</b>
17	<a href="#">Heavy Elements Photophysics and Photochemistry</a>	<a href="#">Decontamination and decommissioning</a>			<a href="#">Chemistry, Environmental and Polymer Science</a>
18	<a href="#">Coordination Chemistry and Separation Science</a>	<a href="#">National security and nonproliferation</a>			<a href="#">Inelastic X-Ray and Nuclear Resonant Scattering</a>
19	<a href="#">I-Electron Interactions</a>	<a href="#">Nuclear criticality safety</a>			<a href="#">Magnetic Materials</a>
20	<a href="#">Actinide Facility</a>	<a href="#">Nuclear waste form modeling</a>			<a href="#">Materials Characterization</a>
21	<a href="#">Computational Materials and Electrochemical Processes</a>				<a href="#">Time-Resolved Research</a>
22	<b>High Energy Physics</b>	<b>Decision on Information Sciences</b>			<a href="#">Synchrotron-Related Theory</a>
23	<a href="#">Experimental Research</a>	<a href="#">Information Sciences</a>			<a href="#">X-ray Microscopy and Imaging</a>
24	<a href="#">CDF Experiment at Fermilab</a>	<a href="#">Modeling, Simulation, and Visualization</a>			<b>Support and Development</b>
25	<a href="#">ZEUS Experiment at HERA</a>	<a href="#">Emergency Preparedness</a>			<a href="#">Beamline Technical Support</a>
26	<a href="#">Linear Collider Detector R&amp;D</a>	<a href="#">National and Homeland Security</a>			<a href="#">Optics Fabrication and Metrology</a>
27	<a href="#">Soudan 2 Neutron Decay Experiment</a>	<a href="#">Energy, Environmental and Economic Systems Analysis</a>			<a href="#">User Administration and Support</a>
28	<a href="#">ATLAS Project for LHC</a>	<a href="#">Infrastructure Assurance</a>			<b>Argonne Tandem-Linac Accelerator System (ATLAS)</b>
29	<a href="#">MINDS Project</a>	<b>Energy Systems</b>			<a href="#">Low Energy Nuclear Physics Research</a>
30	<a href="#">Accelerator R&amp;D</a>	<a href="#">Transportation Technology</a>			<b>Atmospheric Radiation Measurement (ARM) Climate Research</b>
31	<a href="#">Argonne Wakefield Accelerator</a>	<a href="#">Distributed Energy Research</a>			<b>Center for Nanoscale Materials (CNM)</b>
32	<a href="#">High Gradient RF Studies</a>	<a href="#">Process Engineering and Analysis</a>			<a href="#">(Research)</a>
33	<a href="#">Theoretical Research</a>	<a href="#">Environmental and Security Science and Technology</a>			<a href="#">Electronic &amp; Magnetic Materials &amp; Devices</a>
34		<b>Transportation Technology R&amp;D Center</b>			<a href="#">NanoBio Interfaces</a>
35	<b>Materials Science</b>	<a href="#">Battery technology</a>			<a href="#">Manufacturing</a>
36	<a href="#">(Research Groups)</a>	<a href="#">Fuel cells</a>			<a href="#">Theory &amp; Modeling</a>
37	<a href="#">Alloy Oxidation Research</a>	<a href="#">Engines and emissions</a>			<a href="#">X-Ray Microscopy</a>
38	<a href="#">Condensed Matter Theory Research</a>	<a href="#">Hybrid vehicles</a>			<a href="#">Research Partners</a>
39	<a href="#">Electron Microscopy Center Research</a>	<a href="#">Materials and manufacturing</a>			<b>Electron Microscopy Center (EMC)</b>
40	<a href="#">Emerging Materials Research</a>	<a href="#">Modeling and computing</a>			<a href="#">Research</a>
41	<a href="#">Interfacial Materials Research</a>	<a href="#">Recycling</a>			<b>Intense Pulsed Neutron Source (IPNS)</b>
42	<a href="#">Magnetic Films Research</a>	<a href="#">Sensors</a>			<b>Ricketts Regional Biocontainment Laboratory</b>
43	<a href="#">Molecular Materials Research</a>	<a href="#">Technology analysis</a>			<a href="#">Research</a>
44	<a href="#">Neutron and X-Ray Scattering Research</a>	<a href="#">Systems assessments</a>			<b>Other Argonne facilities available to outside researchers</b>
45	<a href="#">Superconductivity and Magnetism Research</a>	<a href="#">Other research</a>			<a href="#">2-MeV Linac</a>
46	<a href="#">Surface Chemistry</a>	<a href="#">Student Competitions</a>			<a href="#">3-MeV Van de Graaff Accelerator</a>
47	<a href="#">Synchrotron Radiation Studies</a>				<a href="#">Actinide Facility</a>
48					<a href="#">Advanced Computing Testbed</a>
49	<b>Mathematics and Computer Science</b>				<a href="#">Advanced Powertrain Test Facility</a>
50	<a href="#">Algorithms, Software, and Applications</a>				<a href="#">Aerosol Laboratory</a>
51	<a href="#">Parallel Tools</a>				<a href="#">Analytical Chemistry Laboratory</a>
52	<a href="#">Distributed Systems Research</a>				<a href="#">Atmospheric Boundary Layer Experiments (ABLE)</a>
53	<a href="#">Collaborative and Virtual Environments</a>				<a href="#">Atmospheric Field Measurement Facility</a>
54	<a href="#">Computational Science</a>				<a href="#">Auto Shredder Residue Laboratory</a>
55	<a href="#">Climate Modeling</a>				<a href="#">Basic Energy Sciences Synchrotron Radiation Center</a>
56	<a href="#">DMCP - A Data Domain to Model Domain Conversion Package</a>				<a href="#">Battery Test Facility</a>
57	<a href="#">A Scalable and Extensible Earth System Model for Climate Change Science</a>				<a href="#">Cobalt-60 Source (20,000 curies)</a>
58	<a href="#">Performance Engineering for the Next Generation CCSM</a>				<a href="#">Diesel Engine Test Facility</a>
59	<a href="#">FOAM - The Fast Ocean Atmosphere Model</a>				
60	<a href="#">MCT - The Model Coupling Toolkit</a>				
61	<a href="#">Bioinformatics - Compbio</a>				
62	<a href="#">Dragonfly - A Web-based Multiple Sequence Partial Order Alignment Viewer</a>				
63	<a href="#">DOE Hanford Site - Metagenome Analysis</a>				
64	<a href="#">GADU - Genome Analysis and Database Update</a>				
65	<a href="#">GEMME - Genome Analysis Research Environment</a>				
66	<a href="#">PUMAS - High Throughput Comparative and Evolutionary Analysis of Genomes and Metaba</a>				
67	<a href="#">Pathos and PathoGene: Systems and Tools for Infectious Disease Research</a>				
68	<a href="#">PhyloBlocks</a>				

(Information published at [www.anl.gov](http://www.anl.gov))

1	2	3	4	5	6	7
	Building/Location	Export Compliance Jurisdiction (EAR, ITAR, DOE, NRC)	Reference	Additional information (White Paper, Cases, etc.)	Date Last Visited	
1						
2	<b>Energy Resources</b>					
3	<b>Chemical Engineering</b>					
4	<a href="#">Basic Sciences</a>					
5	<a href="#">Battery Technology</a>					
6	<a href="#">Fuel Cell Technology</a>					
7	<a href="#">Nuclear Technology</a>					
8	<a href="#">Process Chemistry</a>					
9	<a href="#">Electrochemical Technology</a>					
10						
11	<b>Nuclear Engineering</b>					
12	<a href="#">(Major Programs)</a>					
13	<a href="#">Advanced fuel cycle initiative</a>					
14	<a href="#">Generation IV (Gen IV)</a>					
15	<a href="#">Hydrogen initiative</a>					
16	<a href="#">The Reduced Enrichment for Research and Test Reactors (BERTR)</a>					
17	<a href="#">The International Nuclear Safety Center (INSC)</a>					
18	<a href="#">Fissile materials disposition</a>					
19	<a href="#">Decontamination and decommissioning</a>					
20	<a href="#">National security and nonproliferation</a>					
21	<a href="#">Nuclear criticality safety</a>					
22	<a href="#">Nuclear waste form modeling</a>					
23						
24	<b>Decision an Information Sciences</b>					
25	<a href="#">Information Sciences</a>					
26	<a href="#">Modeling, Simulation, and Visualization</a>					
27	<a href="#">Emergency Preparedness</a>					
28	<a href="#">National and Homeland Security</a>					
29	<a href="#">Energy, Environmental and Economic Systems Analysis</a>					
30	<a href="#">Infrastructure Assurance</a>					
31						
32	<b>Energy Systems</b>					
33	<a href="#">Transportation Technology</a>					
34	<a href="#">Distributed Energy Research</a>					
35	<a href="#">Process Engineering and Analysis</a>					
36	<a href="#">Environmental and Security Science and Technology</a>					
37						
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40	<a href="#">Fuel cells</a>					
41	<a href="#">Engines and emissions</a>					
42	<a href="#">Hybrid vehicles</a>					
43	<a href="#">Materials and manufacturing</a>					
44	<a href="#">Modeling and computing</a>					
45	<a href="#">Recycling</a>					
46	<a href="#">Sensors</a>					
47	<a href="#">Technology analysis</a>					
48	<a href="#">Systems assessments</a>					
<div style="display: flex; justify-content: space-between; align-items: center;"> <span>Ready</span> <div style="display: flex; align-items: center;"> <span>◀ ▶</span> <span style="margin: 0 5px;">Tech Map</span> <span style="margin: 0 5px;">Basic Science</span> <span style="margin: 0 5px;">Energy Resources</span> <span style="margin: 0 5px;">Environmental Management</span> <span style="margin: 0 5px;">National Security</span> <span style="margin-left: 20px;">▶</span> </div> <span>NUM</span> </div>						

# *Summary*

- Discussion