

24th Asian Export Control Seminar

Security Export Control at Nagoya University

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Introduction to Nagoya University and its internationalization

- 1 . Historical background and outline
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The profile of Nagoya University

○ Students (as of May 1, 2016)

Undergraduate: 10,114

Postgraduate: 6,269

○ Foreign students/researchers (2015)

Students : 2,137

Researchers : 1,247

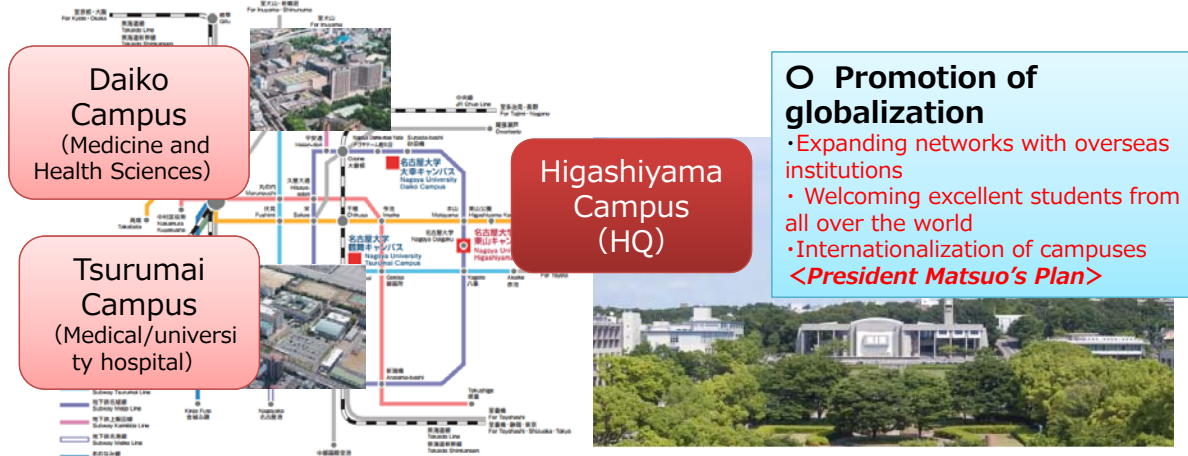
○ Staff (as of May 1, 2016)

Teaching staff: 2,498

Other staff: 2,370

(※)Including fixed-term contracts

○ 9 Faculties/14 Graduate Schools/3 Research Institutes



Nagoya University Proprietary Information

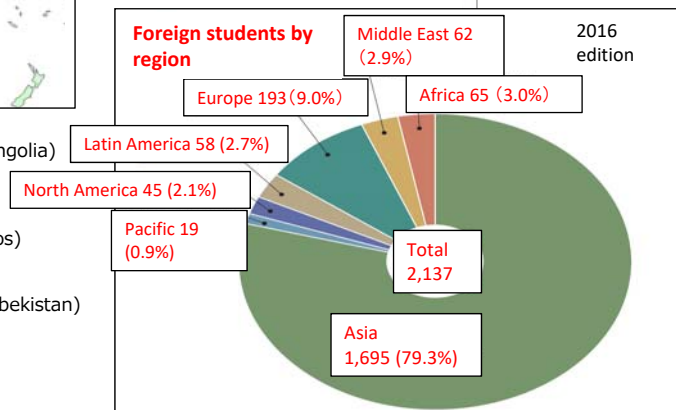
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Internationalization of Nagoya University



- A) Center for Research and Education in the field of Law (Indonesia)
- B) Center for Research and Education in the field of Law (Cambodia)
- B) Satellite Campus (Cambodia)
- B) Cambodia Office (Cambodia)
- C) Bangkok Office (Thailand)
- D) China Center for International Exchange (China)
- E) Philippine Office (the Philippines)
- E) Satellite Campus (the Philippines)
- F) Center for Research and Education in the field of Law (Hanoi, Vietnam)
- F) Satellite Campus (Hanoi, Vietnam)
- F) Vietnam Office (Hanoi, Vietnam)
- F) Endoscopy Training Center (Hanoi, Vietnam)
- G) Endoscopy Training Center (Hue, Vietnam)
- H) Center for Research and Education in the field of Law (Ho Chi Minh City, Vietnam)
- I) Center for Research and Education in the field of Law (Myanmar)

- I) Endoscopy Training Center (Myanmar)
- J) Center for Research and Education in the field of Law (Mongolia)
- J) Field Research Center (Mongolia)
- J) Satellite Campus (Mongolia)
- J) Mongolia Office (Mongolia)
- K) Center for Research and Education in the field of Law (Laos)
- K) Laos Office (Laos)
- K) Satellite Campus (Laos)
- M) Center for Research and Education in the field of Law (Uzbekistan)
- M) Uzbekistan Office (Uzbekistan)
- M) Satellite Campus (Uzbekistan)
- N) European Centre (Germany)



Source: Profile 2016

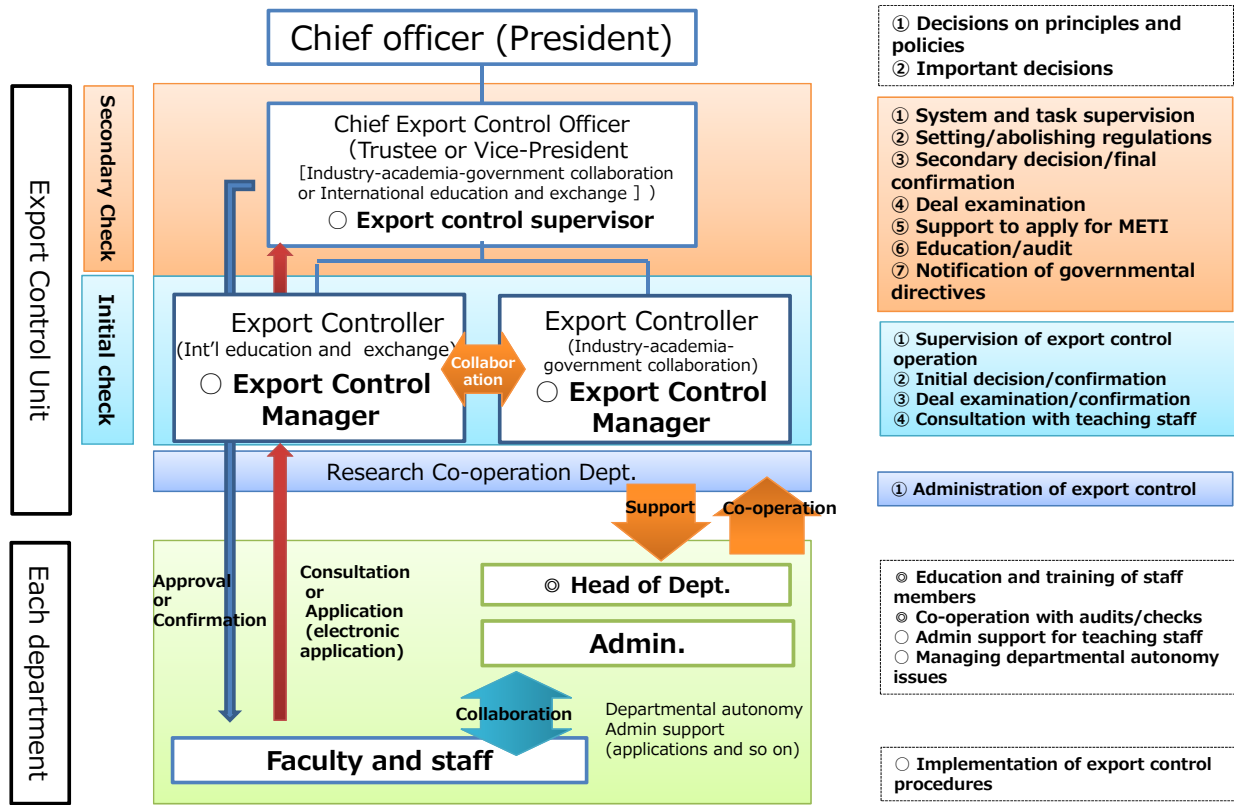
The outline of the security export control management regime at Nagoya University is presented.

1. HISTORICAL BACKGROUND AND OUTLINE

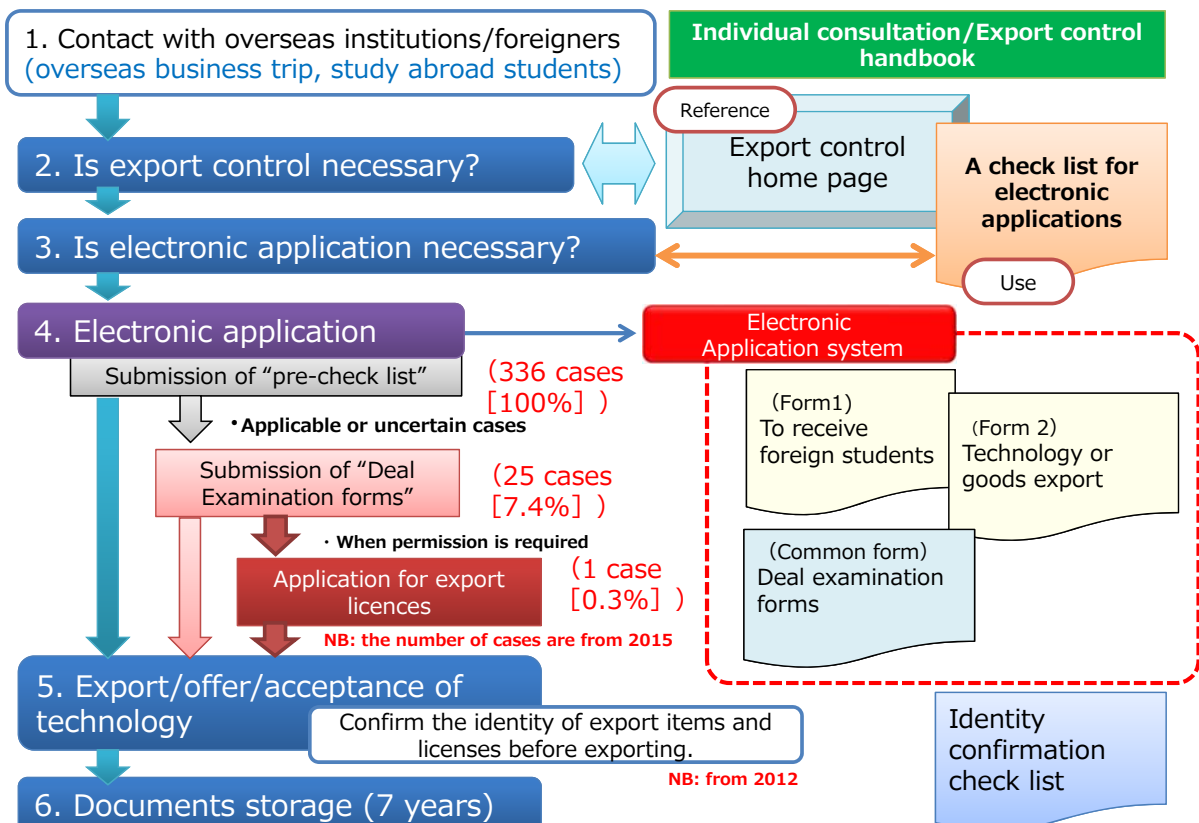
1-1 The history of export control at Nagoya University

(Financial years)	2005-6	2007-8	2009	2010	2011	2012	2013	2014	2015
Revision in legislation, directives, etc.	◆ Nov. 09: Foreign Exchange Act Revision ◆ July 12: Comprehensive Licenses ◆ Apr. 10: Exporters' Compliance Standards								
Nagoya University's action	◇ Apr. 05 ◇ March 06 "Strengthening of export control at the University" ◇ Jan. 08 <i>Sensible Nuclear Technology Guidance (for Universities/research institutes)</i> In-house communication /proposal to the management Education ○ Dec. 06 In-house briefing ○ May 09 In-house briefing ◎ Dec. 09 Training on export control (by METEX and Meiji University)								
① Person in charge	In-house procedure/management		◎ Apr. 09 Regulations drawn up → Related manuals drafted						
② System	Strengthening of management		◎ Sept. 10 Experts ◎ Apr. 11 URA export control managers						
③④ Procedures	Phase management		○ Decision according to each deal ○ Pre-acceptance checking system						
⑤ Shipment management	Electronic application system		◎ Introduction		○ Improvement				
⑧ Document management	Introduction of comprehensive application/NACCS				◇ Nov. 12 Obtaining comprehensive Licenses			◇ Update	
<Application>	Regular audit				△ Survey	○ 1	○ 2	○ 3	○ 4
⑥ Audit (⑨ report)	Home page		◎ Setup			○ Improvement			
⑦ Training/ education	Information (training, professorial meetings)		○ 16 times	○ 9 times	○ 9 times	○ 16 times	○ 7 times	○ 11 times	○ 2 times
	Handbook		○ 1 st ed.	○ 2 nd ed.	○ 3 rd ed.	○ 4 th ed.			
	Posters/leaflets		◎ Posters					◎ Leaflets	
	Training by e-mail/e-learning						Training by e-mail	Oct. Start of e-learning	
Other topics	◆ June 12 Post-export check by Nagoya Customs								

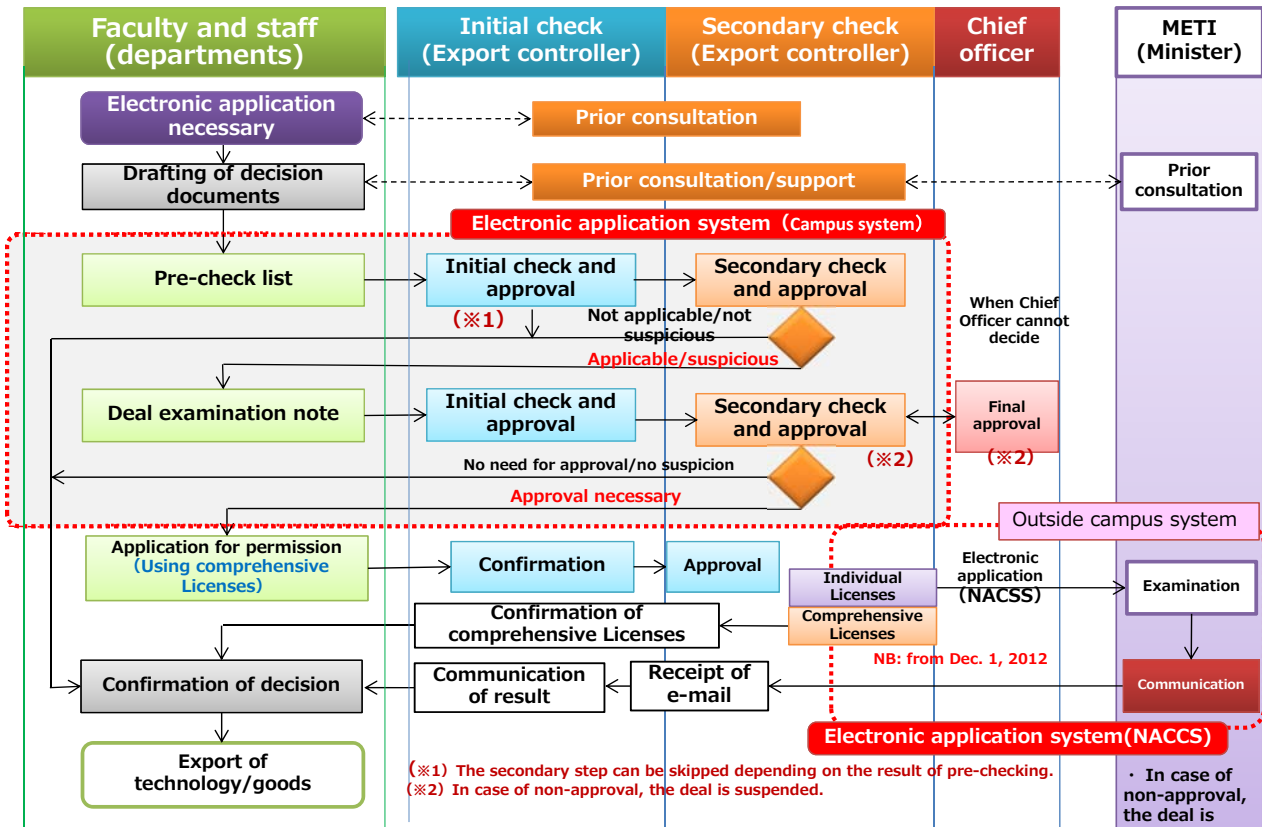
1-2 Security export control regime / system and tasks



1-3(1) In-house export control procedures (overall)



1-3 (2) Export control procedures (After electronic application)



Nagoya University Proprietary Information

1-4(1) Outline of the electronic application system ①

<Outline>

- Added the university's original "Examination forms" to the commercial workflow system
- Examination forms:
 - (1) "Pre-check list" (2 types)
 - (2) "Deal examination form" (1 type)

<Features>

- Applications can be made from **teaching staff's PC: No restriction on OS or browser**
- Notification by e-mail: Results are communicated by e-mail
- Attachment: Documents can be attached to application
- Document management: Post-application **centralized management of electronic documents**
- Can capture the performance of similar past applications
- Progress management: Applicants can **check the progress**
- Can revise documents
- **Adequate security** for servers

<"Examination forms">

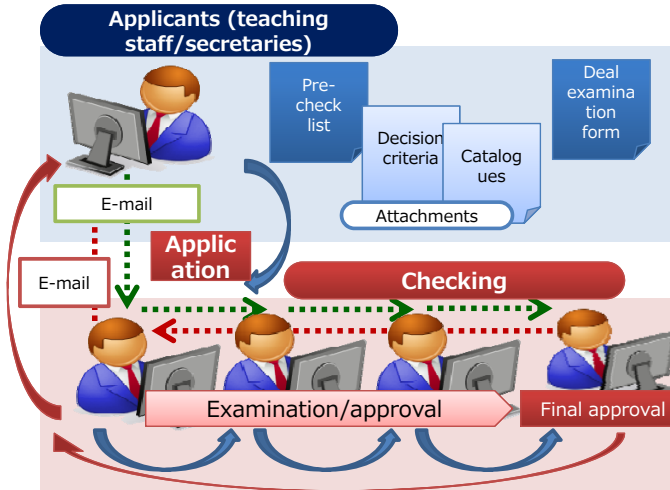
- : Designed by Nagoya Uni.
- ① **Reducing rejection by adopting the flow chart format**
- ② **Information is verified** before each stage of flow
- ③ **The help button** provides explanations

The image shows two screenshots of the application system. The first is the 'Pre-check list' form, annotated with '①-1 For technology and goods' and '①-2 For Acceptance of foreigners'. The second is the 'Deal examination form', annotated with 'Repopulated with data in the pre-check list' and 'Pull-down menu'. A 'Help button' is also highlighted with the note 'Flow chart is used to check legislation'.

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1-4(2) Outline of electronic application system ②

<The decision making process>



<screen shot>

Manager's screen

No.	立書状態	発行状態	WF状態	該非受付番号	判定	提供技術又は輸出品物の名称
1	新規	発行メール送信なし後	完了	A00000000	-	LED
2	新規	発行メール送信なし後	完了	A00000001	-	紫外線LED
3	新規	発行メール送信なし後	完了	A00000001	-	LED LD の試作
4	新規	発行メール送信なし後	完了	A00000002	-	血流解析ソフトウェア
5	新規	発行メール送信なし後	完了	D00000000	-	ICボード、付属コネクタ、ケーブル
6	新規	発行メール送信なし後	完了	E00000000	-	USB接続ポータブルハードディスクドライブ
7	新規	発行メール送信なし後	完了	E00000000	-	デスクトップパソコンの電源ユニット
8	新規	発行メール送信なし後	完了	E00000000	-	イヤホン・講演マイク
9	新規	発行メール送信なし後	完了	E00000000	-	マブネットボード
10	新規	発行メール送信なし後	完了	E00000000	-	レーザー距離計
11	新規	発行メール送信なし後	完了	E00000000	-	音響光学素子およびコントローラ
12	新規	発行メール送信なし後	完了	E00000001	-	ネットワークカメラおよびイーサネット通信アダプタ
13	新規	発行メール送信なし後	完了	E00000002	-	レーザー光計測機器
14	新規	発行メール送信なし後	完了	E00000003	-	GPS受信機
15	新規	発行メール送信なし後	完了	E00000004	-	無停電電源装置
16	新規	発行メール送信なし後	完了	E00000005	-	光学素子(レンズ、フィルタ)(ソーラ搭載)
17	新規	発行メール送信なし後	完了	E00000006	-	光学素子(ミラー、レンズ)
18	新規	発行メール送信なし後	完了	E00000007	-	虹彩膜
19	新規	発行メール送信なし後	完了	E00000009	-	旋回装置
20	新規	発行メール送信なし後	完了	E00000000	-	オムロンマイコン

No. Doc. status Notification status Workflow status decision Ref. no. Technology and good to be exported

<Benefits>

- ◆ **Reduction in processing time (on average, from 11.9 to 2.4 days)**
- ◆ **Access to past data, thanks to electronic document management (use of past applications and decisions)**
- ◆ **Reduction in teaching staff's burden (taking from 15 to 30 minutes to apply)**

Nagoya University Security Export Control Data

※ <Reference>

Number of electronic applications and applicable goods

● Number of electronic applications (year by year)

Year	2009	2010	2014	2015
Pre-check list	198	171	353	336
Not applicable	195	89	143	134
Applicable	3	6	8	4
Deal examination	148	25	31	25
Acceptance of foreigners	0	4	20	21
Technology/goods	148	21	11	4
Licence(individual/comprehensive)	2/-	4/-	1/2	1/0
No. of decisions	270	259	584	688
Consultation	*	*68	196	159

● Examples

Applicant	Destination	Goods	Applicable legislation
Science	Chile	Frequency analyzer	Export order Section 7 (13)
KMI	USA	Star camera	Section 11 (4)
STEL	Canada	EM_CCD camera	Section 10 (2) and (4)
STEL	New Zealand	Freezer for cooling down	Section 10 (2)
Museum	Mongolia	Plasma mass analyzer	Section 2 (32)
ICCAE	Kenya	Infrared thermograph camera	Section 10 (2) and (4)
ISEE	Germany, Korea, China	Supercomputer manual kits	Foreign exchange order, Sec. 8 (1)
Engineering	USA, Germany	Semiconductor substrate	Sec. 7 (18) (small amount exemption)

[2015]

1. **336** pre-check lists were submitted
2. **25** deal examinations, **2** small amount exemptions, and **1** public knowledge exemption
3. **1** individual licence

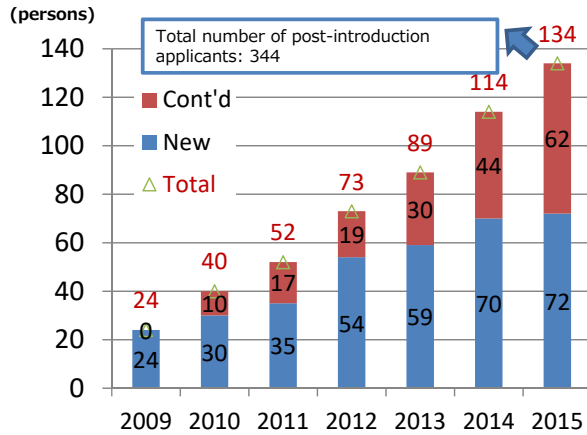
2015: Number of new applicants and days required for examination

※ <Reference> How the electronic system is used

- The total number of applicants after introduction of export control was 344. The number of new applicants has increased.
- In 2015, the number of days to make a decision was within 3 days of application, which was the target.

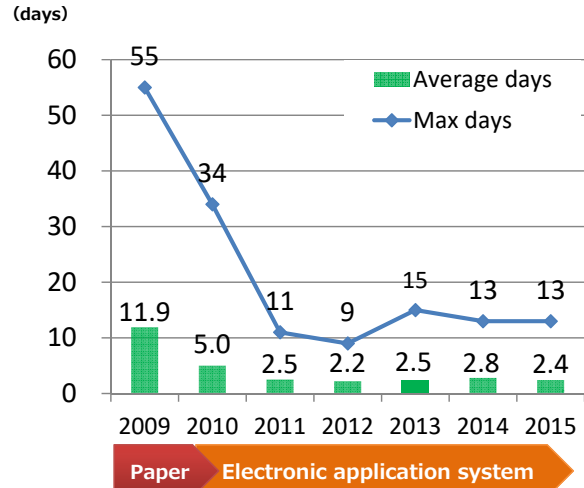
<Changes in number of teaching staff>

※ Number of staff who submitted pre-check lists



<Changes in number of days to make a decision>

※ Number of days since the submission of pre-check lists to receive a decision



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How is the electronic application system run?

2. THE ELECTRONIC APPLICATION SYSTEM

2-1 Electronic application/log in and examination form selection

Nagoya University's security export control HP

安全保障輸出管理

Electronic application

電子申請

以下の説明を読み、準備が完了しましたら、ログインしてください。

ログイン

Log in

Workflow

業務を選択してください

申請する

承認する

検索

Doc. list

① In the screen shown upon logging in select "export of technology/goods" from the menu on the left

② Select "new application"

Export control system

- Pre-check lists
- Receiving visitors/students
- Export of technology/goods
- Deal examination form

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2-2 Electronic application/Pre-check lists

【NO.1】 To accept foreign students

【No.2】 For exporting technology/goods

① Name of goods

② Specification of goods

③ Evidence for decision

④ Destination

⑤ Export to

⑥ Recipient

⑦ Recipient's address

⑧ Use (purpose)

Contents of the deal to be filled in - common

Flow chart check with legislation - different

2-3 Electronic application/filling in details of the deal

This pre-check list is for "Export of technology/goods." Before filling in refer to "Guidance."

Guidance

- Applicant's name
- Exporter's name
- ① Name of goods
- ② Specification of goods
- ③ Evidence for decision
- ④ Country of export destination
- ⑤ Location of export destination
- ⑥ Recipient (user of goods/technology)
- ⑦ Recipient's address
- ⑧ Use (purpose)

⑧ Use(purpose)
In the "use" section, make it clear that it will not be used for military purpose.

Xx equipment
xx Electronics: NU001
Evidence, catalogues
Chile
XX institute, Chile
XX institute, Chile-Dr .XX
To be used as power supply for space observation equipment in XX Plateau in Chile.

2-4 Electronic application/Responding to questions in the flow chart

Click to open guidance notes

Linked to METI's list restriction matrix

When the chart is filled in, the "decision" is displayed.

Technology or goods?
Is technology for oneself only?
Basic science or public knowledge technology?
List restriction applicable?
Subject to catch-all restriction?
Is the destination without concern?
Require consultation?
In general, no permission to export

< 1 > Questions about technology

Initial/secondary examinations
Initial examination only

< 2 > Questions about either technology or goods or both

判定 一次二次審査実施

2-5 Electronic application/Attachment and submission

① Attaching reference docs such as decision criteria

Attachments to the electronic application

- Goods/technology: commodity classification form, catalogues
- Accepting students: CVs, research plans

Decision (result) Examiners to fill in

② Select "Save"


③ Check the form and select "Submit"

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Foreign Exchange Act is not applicable to accepting students and researchers, but export control risks are examined and the decision is made.

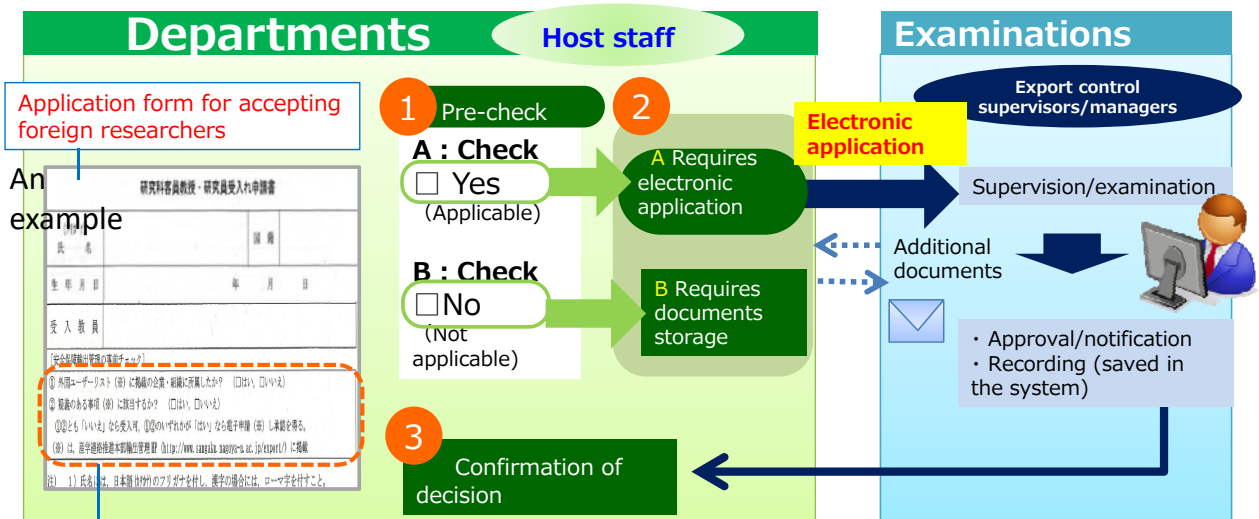
3. PROCEDURES TO ACCEPT STUDENTS AND RESEARCHERS FROM ABROAD

3-1 Foreign students and security export control

	Immigration	Intermediate control		Emigration
Students Timeline	On arrival	While at the Uni.		Upon leaving
		Shorter than six months since arrival ※1	Longer than six months since arrival	
Foreign Exchange Act Restriction on "technology providing"	✗ No providing of technology has occurred	○ Foreign Exchange Act Art. 25, Sec. 1 Non-resident	✗ Resident	△ ※2 Foreign Exchange Act Art. 25, Sec. 1 (3) Resident (→ non-resident)
Other points to note		※1 Residents if employed		※2 To guard against removal of technology
Example providing of technology		<ul style="list-style-type: none"> Research supervision Experiment data Collaborative research Visits to research facilities 		<ul style="list-style-type: none"> Removal of experiment data and research material

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3-2 Nagoya University's Management about acceptance of international students <features>



■ "Pre-check" concerning export control Checking for suspicious items (aiming to develop weapons, belonging to military/weapon developers? etc.)

Features of export control

Control according to risk

- "Pre-check" section in the application to allow departments to manage those with low risk.
- If applicable, the examiners will check through electronic application.

The most important aspect of spreading/establishing export control

4. EDUCATION AND AWARENESS RAISING

4-1 Major educational activities

- To raise teaching staff's awareness to induce application/consultation
- No shortcut in awareness raising – continuous, low-key efforts

Types	Contents	Timings	Notes
Briefings and training sessions	Training session of newly appointed	April	Part of the training session
	Briefings at professorial meetings	Around October-January	7 times in 2016
	Training sessions for staff	Irregular	2 times in 2016
Written materials	Handbook (4 th ed.)	Revised every two/three years	Circulated to all teaching staff
	★ Pamphlet about hosting foreign students	Produced in Dec. 2013, Revised in March 2016	English version for foreign students
	METI's leaflets	Circulated to all staff	Used in briefings
Online materials	Export control home page	Renewed in April 2014	Used in individual consultation
	Training by e-mail	Latter half of 2013 only	6 units, mail magazine format
	★ E-learning	Started in Oct. 2014	English version available
Others	① Detailed support by individual consultation and visits ② Awareness raising of the heads of departments and admin staff through audit (latest information and exchange of views)		

4-2 (1) E-Learning/Outline

<Outline>

- Produced by the Export Control section following request from departments
- from 2014
- In addition to teaching staff, students can enroll

<Content>

- Using NUCT to enroll (note)
- Consisting of "Material ① and ②" and "Check test ① and ②"
- ① "Outline of security export control"
- ② "In-house procedures"

- Designed for beginners; acquisition of basic knowledge

Note: NUCT: Nagoya University's E-learning creating system. Classes and training can be offered through the networked environment.

<Feedback> From the questionnaires

- Learned the basics of export control
- Effective learning with clear textbooks
- Good that training can be repeated

Security export control HP

Logging in from export control page

e-Learning

To NUCT

Nagoya University Proprietary Information

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4-2 (2) E-learning/contents (Japanese edition)

Training textbooks

Explanations with graphics

Text about the regulation of the Technology providing

②輸出管理が必要な場合は、もう一つあります。

②輸出管理が必要な場合「技術の提供」について

「技術の提供」とは、設計書や仕様書、マニュアルや試作品などの技術情報を、紙や、メール又はUSBメモリなどの記憶媒体で提供すること、技術指導やセミナーでの技術支援なども含まれ、形態は様々です。

大学でよくみられる「技術の提供」の例は、

- (1) 外国で、未公開の技術を一般公開されない学会やイベントで発表する。
- (2) 外国で、海外の共同研究先の相手と技術打合せをする。
- (3) 国内で、居住者でない留学生や外国人研究者に研究指導する。
- (4) 海外の大学や研究機関等から一時的に来日する相手と技術打合せをする。
- (5) 海外からの訪問者に、一般公開していない研究設備を見せる。
- (6) 海外の研究者、知人等にメールや電話等で未公開の技術情報を交換する。等があります。

教職員、学生、外国人研究者、留学生がこのアクションをとる場合は、②輸出管理が必要な場合となります。

Explanations in words

Check tests

Questions 1/10

Feedback(Explanation)

○ A フィードバック:

○ B 外国為替及び外国貿易法(以下「外為法」という。)49条により「貨物の輸出」、同法25条により「技術の提供」を規制することで、軍事転用可能な貨物や技術が大量破壊兵器の開発等に利用されないようになっています。

○ B.
 X

Check tests

- 10 questions on legislation and 10 on in-house procedures
- Truth or false questions
- Correct answers and explanation can be seen

4-2 (3) E-Learning/ English version (for foreign students/researcher)

Training textbook (example)

Feature of Japanese Export Control System and important point in campus

1. Feature of Japanese Export Control system
 - (1) Japanese Export Control system
 - (2) List control
 - (3) catch-all control
2. Notes of Export Control at Nagoya University
 - (1) Notes for international students when living in Japan
 - (2) Notes for international students when leaving Japan
 - (3) How to get information and inquiry counter

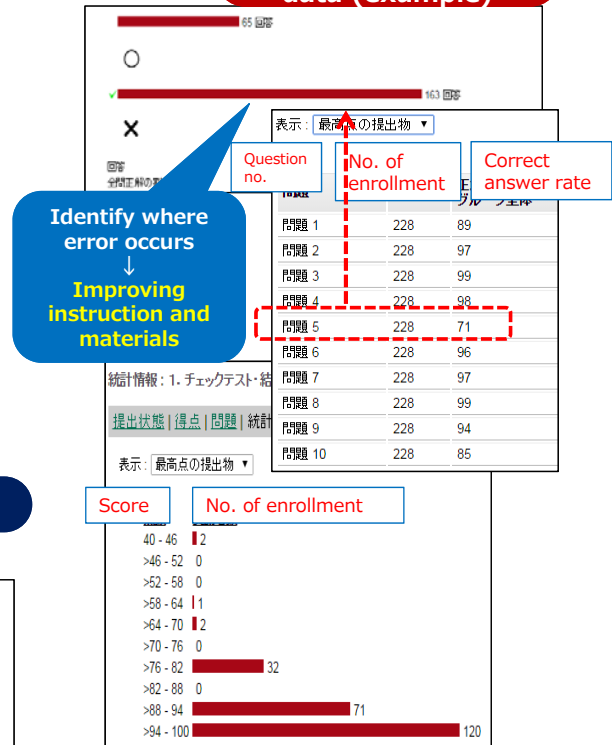
Export Control Administration at Nagoya University

Point2 If you are engaging in the "export of goods"

Example 1 *Smuggling and goods overseas*
Smuggling objects means unlawful business. For example, carrying samples, materials, research equipment connected with research to a researcher in your home country or another overseas country.

Example 2 *Taking goods overseas*
Taking objects means lawful business. For example, taking scientific equipment or samples connected with research with you when you leave Japan.

Analysis of module data (example)



Question

Check tests (example)

If you go to a laboratory of nuclear technology and want to discuss with staff, you may need a permission of academic advisor.

Be sure to get a permission of academic advisor if you enter another laboratory of nuclear technology and fields for which export control is particularly necessary" or interact with international students, etc. from that laboratory about research content.

Answer and explanation

4-3 Other educational activities for foreign students

"Leaflets on hosting foreign students"

<Outline> A simple and clear manual summarizing procedures for accepting foreign students etc. and procedures after accepting them
Japanese and English editions

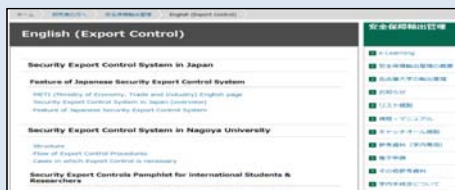
<Publication> Dec. 2013, Revised in March 2016

<Types> 5. A, B, D – for teaching staff;
C, E – for foreign students

- [Leaflet A] ...When applying for hosting
- [Leaflets B/C] ... When students are at the University
- [Leaflets D/E] ... When students leave Japan



Export Control Home Page (in English)

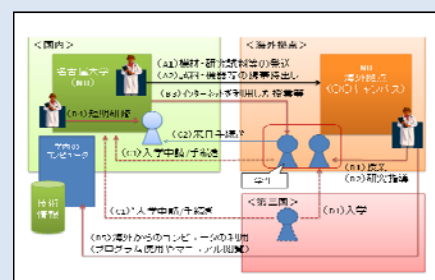


<Outline> The Japanese security export control system and the system of Nagoya University are published in English.

"Export control manual at overseas centers"

<Outline> Summarizes basics and procedures for teaching staff and foreign students at overseas centers

<Publication> Oct. 2014, currently under revision



5. Conclusion (challenges and future orientation)

- Nagoya University's security export control regime/system was built in 2009 and there has been no trouble so far (in eight years).
- Higher awareness due to continuous efforts to raise awareness and consultation, but there are many challenges left.

◎ Challenges

In particular, strengthening of export control of “providing of technology”

At a university, “providing of technology” occurs frequently and with a variety of partners unseen by the university. It is important to build a control method that is appropriate to the risk and cost.



■ Re-examining and implementing efficient/effective control focusing on “providing of technology”

- Preliminary investigation as to whether the research contents of the university's laboratory fall under the “list control”
- Rethinking on managing providing of technology after the arrival of foreign students
- Export control at overseas centers

Thank you !

Academic Research and Industry-
Academia-Government Collaboration
Center,
Nagoya University