



Revised November 11, 2025

Next Scheduled Review: November 11, 2030

Rule Summary

East Texas A&M University (University) is committed to upholding the highest standards of ethical conduct and compliance with its legal obligations, including federal statutes and regulations that implement U.S. export control policies, as well as applicable policies and regulations of The Texas A&M University System (System). All employees and visiting scholars at the University are expected to comply with United States (U.S.) export control laws and regulations, including, but not limited to, those implemented by the Department of Commerce through the Export Administration Regulations (EAR) and the Department of State through its International Traffic in Arms Regulations (ITAR), as well as those imposed by the Department of Treasury through the Office of Foreign Assets Control (OFAC).

PROCEDURES AND RESPONSIBILITIES

1 GENERAL

Encouraging research and intellectual inquiry is crucial to the accomplishment of the University's research mission. The University supports open research and the free exchange of information among scholars. The University also recognizes that the U.S. has enacted laws and regulations restricting the transmission of export controlled information and export controlled physical items for the purpose of protecting national, economic, and foreign policy interests. These federal export control laws and regulations establish the conditions under which export controlled information and items can be transmitted to anyone outside the U.S. and to foreign persons in the U.S. In addition, export control laws and regulations restrict or prohibit the transaction of business with certain countries, persons, and entities that federal agencies have sanctioned as a threat to vital U.S. interests.

2 EXPORT CONTROL COMPLIANCE PROGRAM

- 2.1 In accordance with System Policy 15.02, *Export Control Program Management*, the University has an obligation to develop and implement an export control compliance program to reduce the risk of export control violations.
- 2.2 The East Texas A&M University Export Control Compliance Program Manual provides processes, procedures, and guidelines for the required compliance program elements, which are specified in System Policy 15.02. The Division of Research and Economic Development has the authority and responsibility to work with other University offices to implement the procedures outlined in the Export Control Compliance Program Manual.

- 2.3 Annually, the Division of Research and Economic Development will conduct an export controls-specific risk assessment. The University's risk assessment will be submitted with the University's annual Ethics and Compliance Plan.
- 2.4 Applications and all associated documents regarding visiting scholars and employment of foreign persons from countries of concern as defined in System Regulation 15.05.04, *High Risk Global Engagements and High Risk International Collaborations* will be sent to the System Research Security Office (RSO).

3 GENERAL RESPONSIBILITIES

- 3.1 University employees, students, visiting scholars, researchers, postdoctoral fellows, and other persons retained by or working at or for the University must conduct their affairs in accordance with U.S. export control laws and regulations.
- 3.2 While complying with all applicable legal requirements, it is equally essential to maintain an open research environment that welcomes the participation of researchers from around the world. When these activities include the use of export controlled information or export controlled physical items, the University requires that each individual comply with the applicable requirements of U.S. export control laws and regulations. University personnel must be familiar with the U.S. export control laws and regulations, including essential exclusions and exemptions, as they relate to their responsibilities.
- 3.3 Depending upon the nature of their activities and/or job functions, University personnel may be required to participate in formal training as determined by the University's Empowered Official (EO) and/or the employee's supervisors.
- 3.4 University employees and students will comply with the provisions of any export license, governmental approval requirements, required certifications, technology control plans, and procedures adopted by or granted to the University.

4 MANAGERS AND SUPERVISORS

- 4.1 University employees with managerial or supervisory authority over foreign persons or projects involving export controlled information or export controlled physical items have a legal obligation to oversee export control compliance.
- 4.2 Vice presidents, deans, directors, and department heads have responsibility for overseeing export control compliance in their respective colleges, departments, units, centers, or institutes and supporting the implementation procedures for export control compliance, including high risk global engagements and high risk international collaborations.

5 PRINCIPAL INVESTIGATORS

- 5.1 Principal investigators (PI) and co-principal investigators (Co-PI), with the assistance of the Division of Research and Economic Development, are responsible for:
 - 5.1.1 Understanding their export control obligations and participating in training to be able to identify export control issues;

- 5.1.2 Be aware of the export control red flags and note such information on any internal compliance or assurance forms;
- 5.1.3 Determining, prior to initiation of research, whether any information or technology involved in the research is subject to export control laws or regulations;
- 5.1.4 Reviewing their research periodically to ensure continuing compliance with export control laws and regulations;
- 5.1.5 For export-controlled projects, briefing the students and researchers involved in the project on their export control obligations;
- 5.1.6 Understanding that any informal agreements or understandings entered into with a sponsor may negate key exclusions and impose export control obligations on the PI; and
- 5.1.7 Understanding that any communication of technical data or controlled physical items with a foreign person in the U.S. or to anyone outside the U.S. could be considered a deemed export or an export and therefore subject to the associated export regulations.

6 EXPORT CONTROL COMMITTEE

6.1 The EO chairs the University Export Control Committee. The membership consists of representatives from offices across campus who are responsible for administering components of the export control compliance program. Offices/Units represented include, but are not limited to:

- Financial Services
- Procurement and Contract Administration
- Shipping, Receiving, and Logistics
- Sponsored Programs
- Risk Management
- Environmental Health and Safety
- Human Resources
- Academic Affairs
- Travel
- Information Technology
- Auxiliary Services (Door Access Management)
- Office of International Programs
- University Police Department
- Accounts Payable and Property Management

6.2 The Export Control Committee considers matters related to export control compliance at the University. Responsibilities include, but are not limited to, regular reviews of the Export Control Compliance Manual, oversight of the export control program, performing routine monitoring of export control procedures and practices, assisting in the

development of export control processes and guidelines, and disseminating export control information to the University community.

6.3 The Export Control Committee meets on a bi-annual basis or more frequently if needed.

7 EMPOWERED OFFICIAL (EO)

7.1 The Vice President for Research and Economic Development is the University's EO for purposes relating to applicable federal export control laws and regulations.

7.2 The EO will have direct and regular access to the President, System Chief Research Security Officer, and the System Research Security Office (RSO).

7.3 The EO is responsible for license applications and other approvals required for compliance with export control laws and regulations and serves as the University's representative and point of contact for export control matters involving the University. The EO is the University official authorized to sign license applications and other authorizations required by export control laws and regulations on behalf of the University.

8 POSSIBLE VIOLATIONS

8.1 Each University employee has the responsibility to report possible violations of U.S. export control laws or regulations. Suspected violations should be reported to the EO, together with the details of the suspected violation. Suspected violations may also be reported to Research Compliance via EthicsPoint or researchcompliance@etamu.edu. Possible violations of U.S. export control laws or regulations will be investigated by the EO or designee to the extent deemed necessary.

8.2 In accordance with system policies and regulations, and University rules and procedures, the EO is authorized to suspend or terminate a research, teaching, testing, or other activity if the EO or designee determines that the activity is not in compliance or will lead to noncompliance with export control laws and regulations. The EO may determine whether notification to an appropriate government agency is required.

8.3 The EO must report known or suspected violations to the System RSO as soon as possible. The System RSO will promptly notify appropriate system officials, including the Vice Chancellor for Research, Office of General Counsel (OGC), and the System Ethics and Compliance Officer. All activities associated with voluntary disclosures must be coordinated with the System RSO. This includes, but is not limited to, initial voluntary self-disclosure notifications, internal reviews, final voluntary self-disclosure notifications, and coordination with federal regulatory bodies during the disclosure and review process.

9 DISCIPLINARY ACTIONS

9.1 There are severe institutional and individual sanctions for violations of export control laws, including the loss of research funding, loss of export privileges, as well as civil and criminal penalties, including imprisonment. Additionally, employees and students may be subject to disciplinary action up to and including termination per University rules and procedures, and system policies and regulations.

9.2 Loaner computers obtained from the University's Information Technology department are exempt. They may be taken out of the U.S., except for any country on the U.S. Department of Commerce's foreign adversaries list under 15 C.F.R. § 791.4 Minimum penalties for taking unauthorized computers, University equipment, and/or technology out of the U.S.:

9.2.1 First Offense

9.2.1.1 Employee must retake the following trainings:

2111212: Export Controls & Embargo Training – Basic Course

3001: Information Security Awareness

9.2.1.2 Employee receives a formal reprimand letter from their supervisor, which is filed with human resources. Depending upon the severity of the violation, additional penalties could be imposed up to and including termination.

9.2.1.3 Employee is not eligible for merit during the current merit cycle.

9.2.1.4 Depending upon the severity of the violation, that could be imposed up to and including termination.

9.2.2 Any further violations will result in termination.

Related Statutes, Policies, or Requirements

[Risk, Fraud & Misconduct Hotline \(EthicsPoint\)](#)

U.S. Department of State [International Traffic in Arms Regulations \(ITAR\)](#)

U.S. Department of Commerce [Export Administration Regulations \(EAR\)](#)

U.S. Department of the Treasury [Office of Foreign Assets Control \(OFAC\)](#)

[National Security Decision Directive 189](#)

[Atomic Energy Act of 1954 and Nuclear Regulatory Commission Regulations to 10 CFR Part 110](#)

System Regulation [15.02, Export Control Program Management](#)

[System Regulation 15.05.04, High Risk Global Engagements and High Risk International Collaborations](#)

[University Rule 15.05.04.R1, High Risk Global Engagements and High Risk International Collaborations](#)

[East Texas A&M University Export Control Compliance Program Manual](#)

Revision History

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