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**MEMORANDUM**

**To:** Faculty and Staff  
**From:** Karen Royal, Director of Compliance  
**Date:** December 7, 2018  
**Subject:** Export Controls Compliance Program—Phase Implementation  
**Phase 9 – Possible Violations and Disciplinary Actions**

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**Summary:** All Texas A&M University—Kingsville (TAMUK) employees are responsible for reporting possible export control violations.

**Detail:** As previously indicated, implementation of the TAMUK Export Controls Compliance Program will be completed in phases. Phase 9, Possible Violations and Disciplinary Actions, is outlined in sections 17.0 and 18.0 of the TAMUK Export Controls Compliance Program Manual.

**Possible Violations:** Each TAMUK employee has the responsibility to report possible violations of U.S. export control laws or regulations. Suspected violations should be reported by one of the following methods:

1. Empowered Official or the Office of Compliance:
  - Karen Royal, Director of Compliance
  - [ExportControls@tamuk.edu](mailto:ExportControls@tamuk.edu)
2. EthicsPoint:
  - <https://secure.ethicspoint.com/domain/media/en/gui/20501/index.html>

Possible violations of U.S. export control laws or regulations will be investigated by the empowered official, to the extent deemed necessary. The empowered official is authorized by the university president to suspend or terminate a research, teaching, testing, or other activity if the empowered official, or designee, determines that the activity is not in compliance or will lead to noncompliance with export control laws and regulations. The empowered official may determine whether notification to an appropriate government agency is required.

**Disciplinary Actions:** There are severe institutional and individual sanctions for violations of export controls laws including civil and criminal penalties up to and including imprisonment. In the event of suspected non-compliance with processes set forth in this manual, or corresponding A&M System policies and regulations, and/or university rules and procedures, the Non-Compliant Explanation form will be completed and submitted to the corresponding department/college head and empowered official for review. Additionally, employees may be subject to disciplinary action based on the severity of the infraction. This could include (but is not limited to) a letter of reprimand, or loss or suspension of any of the following: research funding, export privileges, international travel privileges, procurement privileges, international visitor hosting opportunities, conference attendance opportunities, university inventory access or termination in accordance with the university rules and A&M System policies and regulations.

**References:**

- *Export Controls Compliance Program Manual*  
[http://www.tamuk.edu/compliance/TAMUK-Export\\_Controls\\_Manual.pdf](http://www.tamuk.edu/compliance/TAMUK-Export_Controls_Manual.pdf)

For further Export Controls assistance, please direct questions to the Office of Compliance at [ExportControls@tamuk.edu](mailto:ExportControls@tamuk.edu).

Thank you,

**Karen B. Royal, J.D., CCEP**  
*Director of Compliance*  
Texas A&M University-Kingsville



### Non-Compliant Explanation

**Responsible Employee Information:**

\_\_\_\_\_

*Name*

\_\_\_\_\_

*Date (MM/DD/YYYY)*

\_\_\_\_\_

*Department/College*

\_\_\_\_\_

*Position Title*

\_\_\_\_\_

*Email*

**Description of non-compliance incident (include violated policies, regulations, rules and/or procedures):**

**Explanation for the unauthorized action:**



**Explanation of steps taken to avoid recurrences:**

**Employee Responsible for Unauthorized Action:**

<i>Name</i>	<i>Signature</i>	<i>Date (MM/DD/YYYY)</i>

**Chair/Department Head:**

<i>Name</i>	<i>Signature</i>	<i>Date (MM/DD/YYYY)</i>

**College Dean/Division Supervisor:**

<i>Name</i>	<i>Signature</i>	<i>Date (MM/DD/YYYY)</i>

**Export Controls Empowered Official:**

<i>Name</i>	<i>Signature</i>	<i>Date (MM/DD/YYYY)</i>