

Export Control

Original Implementation: July 24, 2018

Last Revision: April 20, 2021

Federal regulations govern how certain information, technologies, and commodities can be transmitted overseas or to a foreign national on U.S. soil. The scope of the regulations is broad: they cover exports in virtually all fields of science, engineering, and technology and apply to research activities regardless of the source of funding. Failure to comply with these laws can have serious consequences, both for the university and the individual researcher. The potential penalties include fines and imprisonment. These laws are collectively referred to as export control laws.

Stephen F. Austin State University (SFA) is committed to compliance with federal export control laws and regulations, including those implemented by the U.S. Department of Commerce through its Export Administration Regulations (EAR), the U.S. Department of State through its International Traffic in Arms Regulations (ITAR), as well as embargo regulations imposed by the U.S. Treasury Department through its Office of Foreign Assets Control (OFAC).

SFA encourages and supports open research and the free exchange of ideas. Although most university activities and research are exempt from export control laws, SFA engages in activities, research, and the development of new technologies that are subject to these export restrictions. SFA has established the procedures necessary to ensure the university and its employees remain in full compliance.

The Office of Research and Graduate Studies is charged with compliance oversight of the U.S. export control requirements for the university. Other university departments, including Human Resources, Controller, Environmental Health, Safety and Risk Management, Information Technology Services, Procurement and Property Services, and International Programs have administrative oversight of compliance activities in their respective areas. The compliance coordinating committee reviews export control compliance activities as it may affect the broader university community.

Individuals acting on behalf of the university, including faculty, staff, and students, are responsible for the proper handling, transfer, access, storage, control, and dissemination of export controlled hardware, software, information, technology, and technical data to destinations and persons outside of the United States and to foreign nationals at the university engaging in instruction, conducting research, or providing service activities.

The civil and criminal penalties associated with violating export control regulations can be severe, ranging from administrative sanctions including loss of research funding, to monetary penalties, and imprisonment. Anyone found to have engaged in conduct contrary to this policy is subject to disciplinary action by the university up to and including dismissal or expulsion and civil or criminal prosecution.

Cross Reference: Export Administration Regulations, 15 CFR 730-774; International Traffic in Arms Regulations, 22 CFR 120-130; 31 CFR 501-598; Office of Foreign Assets Control Sanctions List

Responsible for Implementation: Provost and Vice President for Academic Affairs

Contact for Revision: Compliance Coordinator, Office of Research and Graduate Studies

Forms: See respective departments

Board Committee Assignment: Academic and Student Affairs Committee

Revision History: None