



Compliance Complaint Form

SECTION 1 – DESCRIPTION OF ISSUE

DATE OF DISCOVERY: _____

TYPE OF COMPLAINT (preliminary): Export Control Other Regulatory

DESCRIPTION:

Other Contributing Circumstances:

Applicable Regulation:

Has Anything Been Done to Remedy This Issue: Yes No

SECTION 2 – STAFF / FACILITY INFORMATION

PROJECT: _____

DEVICE: _____

LOCATION OF ISSUE: _____

REPORTER'S NAME: _____

REPORTER'S TEL: _____

Complete First 2 Sections & Submit To: Export Control Organizational Point Of Contact

SECTION 3 – INVESTIGATION

Date Of Investigation: _____

Investigator's Name: _____

Investigator's Tel: _____

INVESTIGATION RESULTS / ROOT CAUSE:

TYPE OF COMPLAINT: ITAR EAR FACR Other Regulatory

SECTION 4 – ACTION PLAN

ACTION PLAN

TASKS COMPLETE

ACTIONS VERIFIED

Include Corrective & Preventive Actions:

REPORTABLE: Yes No; see attached rationale

SECTION 5 – APPROVALS

The above action plan is acceptable.

This complaint has been resolved appropriately, all associated tasks are complete and the actions have been verified.

EC POC: _____ DATE: _____

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