



# University Export Control Guide for Vice President of Research and Innovation, Senior University Management, and Senior School Administration

## 1. Introduction to Export Controls

Export controls are U.S. laws and regulations that restrict the release of certain items, technologies, software, or technical data to foreign nationals, countries, or entities for reasons of national security, foreign policy, or Economic protection. At UNT, this is managed by the Research Security and Export Control Officer (RSECO) to ensure all activities align with federal requirements. This guide is intended to identify situations when the RSECO should involve the Vice President of Research and Innovation (VPRI), Senior University Management, and Senior School Administration.. All university export control questions, determinations, issues must be directed to the UNT RSECO or the Office of Research Integrity and Compliance (ORIC.)

### Key concepts:

- **Deemed Exports:** The release or sharing of technical data to a foreign person within the United States or abroad is considered a deemed export to that person's country of citizenship.
- **Fundamental Research Exclusion (FRE):** Basic research intended for public dissemination may be exempt, but this must be evaluated by the RSECO.
- **Restricted Parties:** Screening for denied persons, entities, or embargoed countries is required.
- **CUI-** Controlled Unclassified Information that requires some measure of safeguarding.

The VPRI, Senior University Management, and Senior School Administration may be involved in international collaborations, travel, advancement activities, and other activities where export control issues arise. It is important for these leadership positions to understand how export control functions at UNT, and where to direct questions when asked.

Senior leadership is responsible for setting the tone and ensuring institutional compliance with export control regulations by endorsing policies, allocating resources, and designating an empowered official. Their role includes providing oversight of high-risk activities, supporting training and awareness programs, and fostering a culture of compliance across all units.

Leadership must engage proactively in compliance matters and uphold accountability to safeguard the university against regulatory, financial, and reputational risks.

Importantly, the UNT Research Security Committee (RSC) will discuss, formulate compliance recommendations, advise on various research security and international compliance related issues, and elevate recommendations to the VPRI and the Vice President, Chief Integrity Officer, as appropriate; and the committee will monitor laws and regulations related to research security and international compliance, both non-research and research activities, domestic and international, and report significant impacts to UNT senior leadership.

## **2. VPRI Responsibilities as the University Empowered Official**

Everyone plays a critical role in maintaining compliance at a university. The VPRI as the empowered official for UNT has the final say in all export control and research security issues if escalated.

***Empowered official*** means a U.S. person who:

- (1) Is directly employed by the applicant or a subsidiary in a position having authority for policy or management within the applicant organization; and
- (2) Is legally empowered in writing by the applicant to sign license applications or other requests for approval on behalf of the applicant; and
- (3) Understands the provisions and requirements of the various export control statutes and regulations, and the criminal liability, civil liability, and administrative penalties for violating the Arms Export Control Act and the International Traffic in Arms Regulations in this subchapter; and
- (4) Has the independent authority to:
  - (i) Inquire into any aspect of a proposed export, temporary import, or brokering activity by the applicant;
  - (ii) Verify the legality of the transaction and the accuracy of the information to be submitted; and
  - (iii) Refuse to sign any license application or other request for approval without prejudice or other adverse recourse.

<https://www.ecfr.gov/current/title-22/chapter-I/subchapter-M/part-120/subpart-C/section-120.67>

**Below are some key points about export control at UNT:**

**Research Security and Export Control Officer:** This is a full-time position in the Office of Research Integrity and Compliance. This person reports to The Director of Ethics and International Compliance who reports to the VPRI.

**Restricted parties screening-** UNT uses a software tool called Visual Compliance to conduct restricted party screenings on all international collaborators.

**TCP-Technology Control Plans-**The RSECO works closely with PI's who are involved in controlled work to put together detailed plans that outline how they will remain compliant with export controls during their project. Regular compliance check-ins occur.

**Device checklists-** Prior to all registered university related travel, the RSECO sends out international travel device checklists to all faculty and staff travelers having them confirm they are not traveling with controlled research and having them list the devices that are traveling with.

**Training-** Export control training is required on a yearly basis for anyone on a sponsored project. Additionally, semesterly RCR training is offered, as well as a CITI course and live on-demand training.

#### **Recent legislation:**

- **GA-48-** Texas Executive order directing institutions of higher education to implement safeguards against foreign adversaries as outlined in the bill, including the prohibition of university-related travel to the countries named. <https://www.untsystem.edu/offices/compliance/alerts-and-headlines.php>
- **HB127-** Texas Bill establishing a Higher Education Research Security Council <https://capitol.texas.gov/tlodocs/89R/billtext/html/HB00127H.htm>
- **SB 1565-** Mandating Texas institutions of higher education to establish policy frameworks for research security and have a designated person to serve as Research Security Officer. <https://capitol.texas.gov/tlodocs/88R/billtext/html/SB01565S.htm>
- **NSPM-33-** directive requiring federally funded research institutions to establish research security programs to protect against foreign interference and intellectual property theft. <https://research.unt.edu/support-units/research-integrity-and-compliance/research-security/index.html>

### **3. Interacting with the University Export Control Office (RSECO)**

The RSECO is UNT's primary resource for export control. Here's how to encourage others to engage effectively:

- **When to Contact the RSECO:**

- Before initiating international collaborations, shipping items abroad, or hosting foreign visitors.
- If you suspect an activity involves controlled items, data or information, CUI or classified information.
- For annual compliance certifications or audits.
- If you have any questions regarding export control.
- If those seeking assistance from you require an additional export control training session with targeted material.
- If you are made aware of ANY possible export control violations (inadvertent or intentional) you are required to report these to the RSECO as soon as possible so they can offer support and guidance and investigate if further action needs to be taken.

#### **4. Failure to Comply**

Failure to comply with UNT Export Control Policy 13.010 and applicable export control regulations may result in severe civil and criminal penalties for the University and individuals. Any individual who does not comply with this policy and applicable export control regulations may also be subject to disciplinary action up to and including termination, dismissal, or expulsion.

#### **5. Resources and Contacts**

**Margaret “Meg” Cochran, UNT Research Security and Export Control Officer**

- Email: [Margaret.cochran@unt.edu](mailto:Margaret.cochran@unt.edu) | [oric@unt.edu](mailto:oric@unt.edu)
- Website: <https://research.unt.edu/support-units/research-integrity-and-compliance/export-control.html>
- **Additional Resources:**
  - University Export Control Policy: <https://policy.unt.edu/policy/13-010>
  - Bureau of Industry and Security (BIS) information: <https://www.bis.gov/regulations>
  - Department of State ITAR information: <https://www.pmddtc.state.gov/>
  - Training: available in CITI: <https://about.citiprogram.org/>

For any questions or to request a personalized consultation or training, contact the RSECO.