



UTEP RSEC (Research Security and Export Controls) Training

Cohort 2: Department Chairs & Administrative Leadership

Huron Consulting Group
October 2026

Agenda

Subject	Time (MT)
Opening Remarks	9:00 – 9:15
What is Research Security	9:15 – 9:20
Export Controls and Regulatory Background	9:20 – 9:40
Impacted Offices	9:40 – 9:50
Roles and Responsibilities	9:50 – 10:00
Question / Answer	10:00 – 10:15
Break	10:15 – 10:30
Tabletop Exercise	10:30 – 11:30
Closing Remarks / UTEP Networking	11:30 – 12:00

What is Research Security?

Research Security refers to the measures taken to protect a country's research enterprise from foreign government interference, misappropriation of research and development, and violations of research integrity. The purpose of research security is to safeguard research from unauthorized access, theft, or misuse.

Research security threats include:



Undue foreign influence or interference in research activities.



Misappropriation or theft of research findings, intellectual property, or ideas.



Espionage or exploitation by foreign states, militaries, proxies, or criminal organizations.



Activities that undermine trust, integrity, or the strategic value of research.

Defining Research Security

Threats vary but typically involve attempts to access valuable information. Often, individuals act on behalf of an outside interest (e.g., competitors, foreign governments, crime groups).



- People **outside** your research team/institution could seek to partner with researchers for their own benefits, including visiting students/faculty, private sector collaborators, foreign governments, and/or non-for profits.
- There should be concerns when the motivations of partners are unclear or deliberately concealed.



- People **within** your research team/institution who have direct or indirect access to knowledge, data, and facilities, including faculty, students, research personnel, employees, and / or contractors.
- These actors can be self-motivated or encouraged by others to divert research or intellectual property (IP) for the gain of themselves or others.

Research Security Risks

Consequences of breaches in research security impact researchers, institutions, and governments.

Researchers & Research Institutions

-  Loss of exclusive control over intellectual property, patent opportunities, and potential revenue.
-  Diminished trust and confidence in research data and results.
-  Violation of responsible and ethical conduct in research.
-  Actions may undermine peer review and grant award process.



Misuse of research and technology.



Loss of future partnerships.



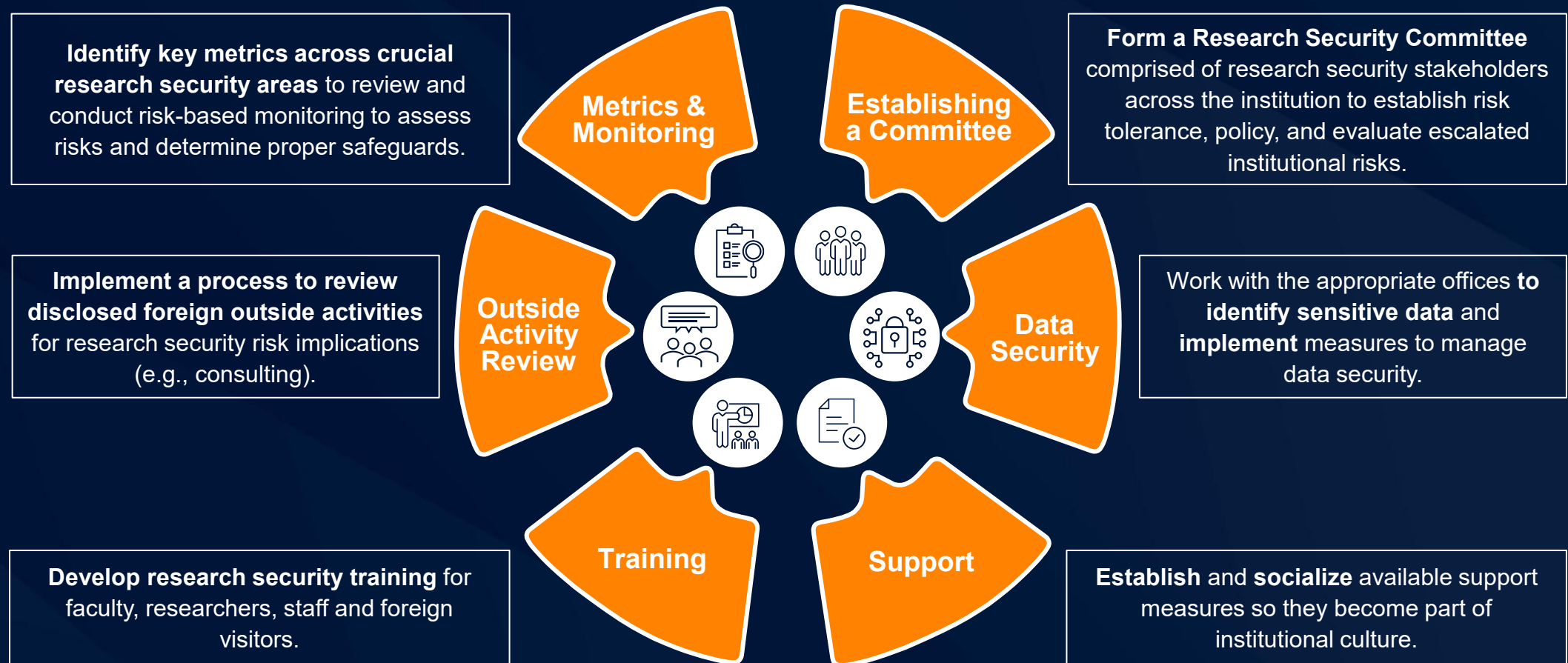
Tarnished reputation.

Governments & Funding Agencies

-  Risk to national and regional security.
-  Hidden diversion of resources and IP theft threatens country's ability to emerge as a leading player in science and technology.
-  Weakens innovation base, hindering potential economic growth.
-  Misappropriation of funds, potential of financial losses and undermining the intended impact of research investments.

Example Research Security Controls

Research security controls are essential for maintaining compliance with regulations while continuing to provide a secure environment for innovation and collaboration.



Balancing Freedom vs Safeguards

Research security efforts must be balanced with the academic freedom that drives scientific innovation.

Institutional Safeguards

The research security guidelines and regulations implemented as institutional safeguards mitigate risk when collaborating with foreign entities on research, but controls should not impede academic freedom.



Academic Freedom

Collaboration between researchers, universities, and countries has always been a driving force behind scientific innovation. These partnerships provide the open communication necessary to produce research with the most impact.

While research security controls are top of mind and increasingly discussed, institutions and research administrators should consider how to approach the implementation of these controls while balancing academic freedom.

What is Export Control?

Export Control, existing alongside research security, is broader than research and consists of federal laws and three sets of regulations that govern the transfer, disclosure, or shipment of goods, software, technology, and services to foreign entities.

	Export Administration Regulations (EAR)	International Traffic in Arms Regulations (ITAR)	Office of Foreign Assets Control (OFAC)
Governing agency	Department of Commerce	Department of State	Department of Treasury
Established through	Commerce Control List (CCL)	U.S. Munitions List	Economic and trade sanctions list
Covers	• Dual use items • Deemed exports (releasing technology to a foreign national)	• Military items • Defense articles	• Sanctioned countries and their nationals • Specified entities and individuals
Representative Examples	• Materials and chemicals • Electronics design • Computers • Telecom • Sensors and lasers	• Toxic agents • Spacecraft systems • Explosives and energetic materials • Classified articles	• Balkans • Ukraine / Russia • Venezuela • Foreign interference in U.S. elections

Direct and Deemed Exports

Export control risks at universities present in two major ways:

Direct Exports



A **direct export** generally refers to materials, information, or technology that will leave the country. In contrast, something can be a deemed export without leaving the country.

Discrete research projects and certain equipment and materials are subject to export controls and cannot be shipped or taken out of the U.S. without a license or a license exception.

Illustrative examples of direct exports include:



Computers



Toxic Agents



Sensors &
Lasers



Classified
Articles

Deemed Exports



A **deemed export** refers to the “release” or transmission of controlled information or technology to any foreign national in the U.S., including students, post-docs, faculty, visiting scientists, or training fellows. A deemed export is treated as an export to that person’s home country.

Non-U.S. persons are restricted from accessing certain data, equipment, and materials.

Illustrative examples of deemed exports include:



Emails



Schematics



Manuals



Oral
Exchanges

Export Control vs Research Security

Export control regulates the transfer of sensitive items (e.g., technologies and equipment) across borders, while research security protects the integrity and independence of research from theft, interference, and foreign influence.

	Export Control	Research Security
Purpose	Regulates the transfer, shipment, or sharing of sensitive items to foreign countries, entities, or individuals	Protects research from theft, interference, and foreign influence to safeguard the integrity, confidentiality, and independence of research
Requirements	- Subject to national laws (e.g., EU Common Position, UK Export Control Order Act 2002) - Requires licenses, training, and documentation	- Subject to institutional risk tolerance, policies, and infrastructure - Often guided by national strategies and regulations
Scope	- Physical, verbal, and digital shipment / export of sensitive items - Providing foreign nationals (deemed exports) access to sensitive items without a license	Cybersecurity, physical security, insider threats, foreign interference, information / data protection, personnel security, intellectual property (IP)
Who it Affects	Individuals with access to items subject to EAR or ITAR	- All researchers, institutions, and administrators involved in research - International students and scholars

A Look Back and Forward

Early Federal Agency Responses

National Institutes of Health (NIH), National Science Foundation (NSF), and Department of Energy (DOE) release various Dear Colleague Letters and Memos to provide guidance and reminders to research community.

NSPM-33 Released by OSTP

NSPM-33 provided a **directive to US Gov't R&D funders to strengthen protections for U.S. Gov't R&D** and discourage 'research misappropriation.'

Draft RSP Standards Released

Established **initial requirements** and thresholds across topics such as **training, cybersecurity, and travel** during prolonged public comment period.

RSP Requirements Finalized

July 2024 memo directed federal agencies to uniformly implement standard requirements for certain (\$>50M) institutions and **explicitly called out People's Republic of China.**

Deadlines Published & Training Requirements Enforced

Major agencies like the DOE, NIH, and the NSF **set research security training deadlines tied to proposal submission dates**, effectively enforcing RSP regulations for institutions to proceed with research.

FY27 NSF Certification Requirements

July 2026 memo announced eff. FY2027, NSF will bar use of NSF funds for research collaboration with entities on U.S. restricted-party lists. NSF requires senior/key personnel to certify compliance at **proposal stage**.

2019

2021

2023

November 2024

2025

2026

2018

2020

2022

July 2024

DOJ launches "China Initiative"

Strategic initiative to counter Chinese national security threats specifically; citing that China was involved in 60% of all trade theft cases.

Arrest of Researchers & Initial FCA Activity

Researchers at **Emory, WVU, Arkansas, Cleveland Clinic, Texas A&M, and Harvard** arrested and charged with grant fraud and first of U.S. research institutions settle False Claims Act allegations for \$ millions.

DOJ Ends "China Initiative"

OSTP re-affirmed NSPM-33 and CHIPS & Science Act of 2022 signed into law, which included research security requirements.

Texas Education § 51.956 Signed

New code that requires all state of Texas public higher education institutions to establish a policy framework for research security, achieve the highest level of compliance, promote a culture of compliance, and designate a research security officer.

Texas House Bill 127

Effective 9/1/25, Texas HB127:

- Establishes the Higher Education Research Security Council.
- Strengthens research security oversight.
- Increases oversight of foreign collaborations.
- Enhances cybersecurity and IP protection.

Agency Requirement Updates

- **NIH:** Eff. 01/25/26, applications require Biographical Sketch Common Form & Current and Pending Support Common Form
- **NIH and NSF:** Eff. 05/01/26, senior/key personnel complete Research Security Training within 12 months of application submission.
- **DOW:** Verify participants listed on Research Performance Progress Reports are not participating in MFTRPs.

RSEC Federal Regulations

NSPM-33 (2022)¹

Applicable to federal agencies and institutions receiving
>\$50M in federal research funding per year.



Research Security Programs



Disclosure Requirements and Standardization



Digital Persistent Identifiers (DPI)



Federal Agency Information Sharing



Consequences for Violation of Disclosure Requirements

Chips and Science Act (2022)²

Applicable to institutions **receiving or applying to federal funding**
through NSF, DOE, and NIST.



Restriction in Participation in Malign Foreign Talent Recruitment Programs



Updated Annual Training Requirements



Risk Assessment Requirements

1. [NSPM-33](#)
2. [Chips and Science Act](#)

RSEC Federal Regulations

NSPM-33 (2022)¹

Applicable to federal agencies and institutions receiving >\$50M in federal research funding per year.



Research Security Programs

- Requires institutions to establish research security programs, in cybersecurity, foreign travel security, research security training, and export control training.



Disclosure Requirements and Standardization

- Specification and standardization of who is required to disclose and for which activities.
- Requires standardized forms and formats across agencies.
- Requires more transparency from agencies on disclosure correction and review processes.



Digital Persistent Identifiers (DPIs)

- Advises agencies to permit the usage of DPIs (via a DPI service) to track disclosures and reduce faculty burden.
- Full implementation of DPI usage across all federal agencies is still pending.



Federal Agency Information Sharing

- Requires federal agencies to have singular disclosure space and to share disclosure information across agencies.



Consequences for Violation of Disclosure Requirements

- Requires faculty to understand they have personal liability and responsibilities.
- Requires agencies to pursue appropriate and effective consequences for violation of disclosure requirements, such as funding termination or suspension, re-training requirements, and/or civil and criminal penalties.

CHIPS and Science Act (2022)²

Applicable to institutions receiving or applying to federal funding through NSF, DOE, and NIST.



Restriction in Participation in Malign Foreign Talent Recruitment Programs

- Requires federal agencies to establish policies for institutions to certify no individuals are part of a Malign Foreign Talent Recruitment Program (MFTRP).



Updated Annual Training Requirements

- Applicants for federal R&D awards must annually certify that all covered personnel have completed compliant Research Security Training.
- Amends Responsible Conduct of Research (RCR) training to cover risks like foreign interference, IP theft, and conflict of commitment (COC).



Risk Assessment Requirements

- Authorizes NSF Office of Research Security and Policy to conduct risk assessments on R&D award applications.

1. [NSPM-33](#)
2. [Chips and Science Act](#)

RSEC State and UT Regulations

In addition to federal regulations, there are specific Texas and UT System regulations:

State of Texas RSEC Policies



Texas Executive Order No. GA-48¹

All University employees must:

- **Complete a Personal Foreign travel notification** prior to travelling to a foreign-adversary nation.
- **Submit a Post Foreign Travel Questionnaire** upon return.



Texas Genomic Act of 2025 – HB 130³

Texas-based medical facilities, research institutions, companies, and nonprofits are **prohibited** from using:

- **Genome sequencing devices** or
- **Related software produced** by or **associated with "foreign adversaries"** as defined by federal law.



Texas Education Code - EDUC § 51.956 : Policy Framework for Research Security²

The governing board of a University system must:

- **Establish a separate research security policy framework** under their management and control.
- Promote secure academic research while mitigating the risk of foreign espionage and interference.



Texas State Bill 127 - Higher Education Research Security Council⁴

Texas Higher Education Research Security Council will make a quarterly convening council of RSOs to:

- **Develop state-wide research security protocols.**
- **Establish accreditation** for security excellence.
- **Create an annual training program** for tier-one universities.
- **Submit an annual report** to the relevant committees and the attorney general of Texas.

UT System RSEC Policies



Rule 10902: Research Security Policies⁶

Each UT institution must:

- **Follow the highest standards of compliance and security** and
- Only pursue international collaborations with researchers and institutions similarly committed to **research integrity, transparency, and reciprocity.**



UTS 173 Export Controls⁵

Each UT institution is **required** to:

- **Adopt an exports control** policy within their **Handbook of Operating Procedures.**

Impact on UTEP

In FY2025, UTEP reported¹

\$73M

in federally funded
research expenditures



\$30M

in NSF and DOE funded
research expenditures



Additional requirements to train for research security and export control.



Greater disclosure of outside activities including in-kind support, gifted materials, travel, participation in Malign Foreign Talent Recruitment Programs, etc.



Updated standardized federal agency disclosure requirements and submission portal.



Federally mandated consequences for violation of disclosure requirements.

1. [UTEP FY25 Research Expenditures](#)

Enforcement Landscape



GERMANY¹ April 2024

- Three German citizens were arrested for allegedly transferring information on technology with military applications to China and violating export laws by exporting a restricted laser.
- At the time of their arrest, the suspects were negotiating additional research projects with an unnamed German university, funded by the Chinese state, aimed at enhancing China's naval combat capabilities.



TEXAS A&M² November 2025

- A Texas A&M chemistry leader resigned and took a position at a Chinese government-funded lab, raising concerns after reportedly maintaining extensive ties to China while working on federally funded U.S. research.
- The oversight and lack of monitoring of this conflict of interest resulted in heightened national security concerns due to the opportunity for spreading sensitive information.



NATIONAL INSTITUTES OF HEALTH³ June 2026

- Two NIH researchers entered the United States through Detroit were accused of bringing in undeclared biological samples without required authorization.
- They claimed the materials were routine testing equipment, but the case contained 113 vials, including samples of deactivated monkeypox.
- Charged with federal crimes for smuggling and making false statements and they will face a maximum sentence of five years in prison.



OHIO STATE⁴ August 2026

- Ohio State agreed to pay \$2.1 million due to failing to disclose employees' affiliations with and support from the People's Republic of China in connection with federal research funding.
- Since 2014, annual Faculty Activity Reports submitted internally identified affiliations with PRC universities and state-run research organizations, but the University did not disclose that information to NASA or NSF.
- OSU learned in 2019 that a PI on NASA grants participated in a Thousand Talents Program but did not notify the agencies until 2023; the University did not admit wrongdoing.

Impacted UTEP Offices

Office of International Programs

- Screens international visiting scholars and researchers.

Disbursement Services and Purchasing

- Processing payments to international collaborators or entities.

Travel Office

- Serves as the first point of contact for international travel questions.

Information Security Office

- International travel export control requirements.
- Consulted with TCPs in collaboration with RCRS.

Office of Legal Affairs

- Provides legal counsel on research security issues.

Office of Technology Commercialization

- Manages commercialization agreements with foreign collaborations.

Office of Institutional & Property Management

- International travel export control requirements.

Office of Sponsored Projects

- Reviews proposals / awards and escalates issues to Export Control Officer.
- Reviews research contract terms and negotiates problematic RSEC terms with sponsors.
- Reviews transfers involving biological agents, chemicals, and hazardous materials.
- Provides guidance and approvals for international shipping.

Research & Innovation

Research Compliance & Regulatory Services

- Conducts review of escalated proposals to assess export control applicability.
- Reviews signed agreement for export control compliance prior to project set up.
- Applies for export licenses.
- Implements, monitors, and audits TCPs
- Screens foreign visitors and foreign travel for RSEC concerns.

Research Protections

- Receives and reviews Foreign Travel Forms:
 - Notification Form
 - Questionnaire Form
- Policy and process development.
- Management of RSEC exceptions and re-instatement of privileges.

Department Chair / Admin Leadership Oversight Responsibilities

Responsibility	Department Chairs and Leadership	Departments, Centers, and Colleges	RCRS
Know what's required and offices/processes involved in these policies.	X		
Reinforce importance to faculty and staff.	X		
Oversight of dissemination of policies and trainings.	X		
Ensure there is escalation pathway for non-compliance.	X		
Escalate necessary cases to executive leadership.	X		
Oversees export compliance within their areas of administrative responsibility.		X	
Identifies export control requirements related to the activities and follows procedures outlined in UTEP Export Control		X	
Assists RCRS in all export control matters		X	
Discloses any violation or potential violation of regulations as soon as knowledge is obtained.		X	
Responsible for helping the UTEP community understand and comply with the export control laws.			X
Applies for an export license when necessary.			X

Tabletop Exercise

Exercise #1:

You are sitting in your office at UTEP.

A faculty member in your department emails you to let you know she is bringing on a new postdoctoral researcher next month who is a foreign national. The postdoc will be working in a lab that uses equipment and project data subject to export control restrictions. The faculty member asks whether there is anything she needs to do before the postdoc starts.

What are questions you would ask?
Who is responsible to spearhead this situation?
What offices / individuals need to be notified?
What next steps would you take?

Tabletop Exercise

Exercise #2:

You are sitting in your office at UTEP.

Suddenly the phone rings and you've been notified that a professor has been arrested and held in custody at IAH. They were on their way abroad to their home country during their summer sabbatical but got flagged and arrested at the airport. Upon arrest, TSA agents found vials of specimens in their luggage.

What are questions you would ask?
Who is responsible to spearhead this situation?
What offices / individuals need to be notified?
What next steps would you take?

Tabletop Exercise

Exercise #3:

You are sitting in your office at UTEP.

Suddenly someone runs into your office to tell you that an FBI raid is occurring at a lab on campus. Everything in the vicinity of the lab has been blocked off. News crews and reporters are starting to line up outside of the lab and ask students walking by for commentary. The PI in charge of the lab cannot be reached via phone.

What are questions you would ask?
Who is responsible to spearhead this situation?
What offices / individuals need to be notified?
What next steps would you take?



Thank you!

Questions?

Appendix A: UTEP Helpful Links

UTEP

- [UTEP Export Control Website](#)
- [UTEP Export Control Memorandum](#)
- [Visiting Scholars/Researcher Guidelines](#)
- Forms
 - [Sponsored Research Export Control Checklist](#)
 - [Export Control Related Activity Assessment Request Form](#)
 - [Certification of Temporary Export of UTEP Property and Review of U.S. Export Control Regulations Form](#)
 - [Authorization to Remove Equipment Off Campus Form](#)
 - [Visiting Scholar/Researcher Approval Screening](#)
 - Foreign Travel Notification
 - [Pre-Travel](#)
 - [Post-Travel](#)
- Policies
 - [Chapter 6: Travel Policy](#)
 - [Chapter 9: Compliance with U.S. Export Control Regulations](#)
 - [Chapter 12: Visiting Scholars and Researchers](#)
 - [Chapter 29: Conflicts of Interest, Conflicts of Commitment, and Outside Activities](#)
- Procedures
 - [UTEP Export Control Compliance SOP Manual](#)

Other

- [COGR Matrix](#)
- [FAQ FDP Research Security Subcommittee Co-authorship and Foreign Components: A Discussion with NIH Extramural Leadership](#)

Federal Guidelines

- [National Science Foundation \(NSF\) Proposal and Award Policies & Procedures Guide \(PAPPG\) dated January 30, 2023 \(23-1\)](#)
- [Higher Education Act](#)
- [National Institutes of Health \(NIH\) Pre-award and Post-award Disclosures Relating to the Biographical Sketch and Other Support Table](#)
- [Creating Helpful Incentives to Produce Semiconductors \(CHIPS\) and Science Act](#)
- [National Defense Authorization Act \(NDAA\) for Fiscal Year 2018](#)
- [National Defense Authorization Act \(NDAA\) for Fiscal Year 2023](#)
- [Department of Energy Financial Assistance Letters \(FAL 2022-02\)](#)
- [National Science Foundation \(NSF\) Proposal and Award Policies & Procedures Guide \(PAPPG\) 23 Frequently Asked Questions \(FAQ\)](#)
- [NASA Grant Information Circular \(23-07\)](#)
- [False Claims Act](#)
- [National Security Presidential Memorandum-33 \(NSPM-33\)](#)
- [National Security Presidential Memorandum-33 \(NSPM-33\) Implementation Guidance](#)
- [Joint Committee on the Research Environment \(JCORE\) Report](#)
- [JASON Report: Research Program on Research Security by The MITRE Corporation](#)
- [National Security Presidential Memorandum-33 \(NSPM-33\) Request for Information \(RFI\)](#)