



15.05.04.C1

High-Risk Global Engagements and International Collaborations

Approved: February 10, 2023

Next Scheduled Review: February 10, 2028

Rule Summary

This rule establishes Texas A&M University-Corpus Christi (TAMU-CC) processes to accompany Texas A&M University System (system) regulation *15.05.04, High Risk Global Engagements and High Risk International Collaborations*.

TAMU-CC implements this rule in the spirit of academic excellence and strengthening academic opportunities from international relationships for education, research, cultural, and other university business. Such international endeavors have safeguard measures under export control laws and regulations. This rule promotes further preservation of TAMU-CC employees, students, work, proprietary information, intellectual property, integrity, and reputation by managing and mitigating high risks or conflicts surrounding such international endeavors.

Definitions

See System Regulation *15.05.04, High Risk Global Engagements and High Risk International Collaborations* for applicable definitions.

Rule

1. GENERAL

All TAMU-CC faculty, staff, and employees must comply with this rule when engaging in any High Risk Global Engagement or High Risk International Collaboration.

2. RESPONSIBILITY AND AUTHORITY

- 2.1. TAMU-CC's Export Control Empowered Official (EO) is the designated authority responsible for ensuring compliance to this rule regarding research-related matters.
 - 2.2. TAMU-CC's Chief Ethics & Compliance Officer (CECO) is the designated authority responsible for ensuring compliance with this rule regarding non-research matters.
 - 2.3. Both the EO and CECO designate TAMU-CC's Financial Conflict of Interest and Export Control Officer (FCOI/ECO) as the primary contact to ensure compliance with applicable laws and regulations and review all associated high-risk global engagements, high-risk international collaborations, and other related matters.
3. PERMISSION FOR HIGH RISK GLOBAL ENGAGEMENT AND/OR HIGH RISK INTERNATIONAL COLLABORATION
- 3.1. High Risk Global Engagements and High Risk International Collaborations must be reviewed in compliance with this rule before execution or binding the university to any agreement, or before any engagement or collaboration begins.
 - 3.2. On a quarterly basis, the EO receives the list of Countries of Concern from the System Research Security Office (RSO). The EO will distribute this quarterly list to the CECO and FCOI/ECO for use in compliance reviews and oversight.
 - 3.3. The FCOI/ECO will conduct an initial review of the proposed activity and determine if it should be considered a High Risk Global Engagement or High Risk International Collaboration and thus be reviewed in accordance with this rule. Unfunded passive relationships with Foreign Persons in a Country of Concern such as co-editing for a public journal or co-presenting at a public conference may be approved as normal scholarly work upon the required review. For further guidance about whether or not a situation or partnership requires review, please contact TAMU-CC's FCOI/ECO.
 - 3.4. High Risk Global Engagements and High Risk International Collaborations require review and consideration of potential management and mitigation options prior to approval.
 - 3.5. Prior to any execution of High Risk Global Engagements or establishment of High Risk International Collaborations, the requesting TAMU-CC employee/department must submit the agreement to the FCOI/ECO for review and routing for approval.

- 3.5.1. Details of the proposed engagement or collaboration activity with Foreign Persons located in a Country of Concern must be submitted in advance to the FCOI/ECO. The submission is to specify, but is not limited to, all involved parties, locations, purpose, scope, duration, applicable travel, and any applicable transporting or shipping of items.
 - 3.5.2. The FCOI/ECO is responsible for the review of the submission, including screenings of involved Foreign Persons and countries for possible government-issued restricted party lists and export control restrictions.
 - 3.5.3. The FCOI/ECO's review will provide applicable guidance, recommendations, any potential mitigation measures for identified risks associated with the requested engagement/collaboration activity.
 - 3.5.4. If the requestor's High Risk Global Engagement or High Risk International Collaboration requires a special license for export control purposes, the employee/department will provide a copy of their license application to the FCOI/ECO before submitting their license application to the applicable Federal agency. The Federal decision document(s) should be filed with the FCOI/ECO department under applicable retention requirements.
- 3.6. TAMU-CC's review of the proposed High Risk Global Engagement or High Risk International Collaboration will be submitted to the System Office of General Counsel (OGC) through the RSO.
- 3.7. OGC will then conduct a legal compliance review of the High Risk Global Engagement or High Risk International Collaboration. The combined risk and legal compliance review will be forwarded to the system Vice Chancellor for Research for final review and approval.
- 3.8. After RSO and OGC reviews, the Vice Chancellor for Research will determine whether to approve the TAMU-CC requested High Risk Global Engagement or High Risk International Collaboration. The System RSO will inform the FCOI/ECO of the final decision. TAMU-CC will then notify the applicable employee/department of the decision.
 - 3.8.1. Approvals for High Risk Global Engagements or High Risk International Collaborations are valid for the duration of the contract or collaboration. Any amendments require a new review process prior to execution.

3.8.2. Any changes to points of contact, other parties involved, and/or payment information must be reported to the FCOI/ECO upon occurrence.

3.8.3. High Risk Global Engagement records will be maintained in a document management system approved by the RSO.

4. ASSESSMENT AND ASSISTANCE ON HIGH RISK GLOBAL ENGAGEMENT AND HIGH RISK INTERNATIONAL COLLABORATION CONCERNS

4.1. The FCOI/ECO will review and address any potential concerns arising from relationships with High Risk Global Engagements and High Risk International Collaborations, including but not limited to conflicts of commitment, conflicts of interest, export control, and/or undue foreign influence.

4.1.1. High Risk Global Engagements and High Risk International Collaborations require prior review by the FCOI/ECO before approval and/or implementation.

4.1.2. Written documentation is required for any identified risks that require management and mitigation regarding conflicts of commitment, conflicts of interest, export control, or undue foreign influence as identified by the FCOI/ECO.

4.2. The EO (for research-related matters) and the CECO (for non-research matters) designates the FCOI/ECO to review any potential concerns arising from employee/student relationships or involvement with High Risk Global Engagements and High Risk International Collaborations. The FCOI/ECO may discreetly engage applicable campus and/or system stakeholders in due diligence in determining and addressing the matter.

4.2.1. If the potential concern is validated upon review, the FCOI/ECO will ensure that the involved faculty, staff, or employee has the opportunity to address and mitigate the concern that arose from the High Risk Global Engagement or High Risk International Collaboration.

4.2.2. The involved faculty, staff, or employee must formalize their mitigation or risk reduction through a Management Plan and/or a Technology Control Plan approved by the FCOI/ECO for review before the plan is routed for approval as outlined below.

(a) The EO reviews for final approval and execution of a plan

- involving research-related concerns.
- (b) The CECO reviews for final approval and execution of a plan involving non-research concerns.
 - (c) The executed plan is filed with the FCOI/ECO for recordkeeping and monitoring.
 - (d) The plan is effective as long as the concern exists.
 - (e) If the employee/student would like to update or amend the plan, they must contact the FCOI/ECO for further review and assistance.

5. TRAINING AND RESOURCES

5.1. The university provides export control training and conflict of interest training to employees and students.

5.1.1. These trainings are required for newly hired/rehired employees within thirty (30) days of hire/rehire date.

5.1.2. These trainings are required annually and are assigned to employees whose job functions involve international activities including, but not limited to, High Risk Global Engagements, High Risk International Collaborations, research, contract administration, travel, hiring, procurement/shipping, and/or other international academic or research activities.

5.2. Employee and student access to this rule and other export control and conflict of interest information is available via the TAMU-CC website. Requests for an alternate format and other assistance should be directed to the FCOI/ECO.

Related Statutes, Policies, or Requirements

System Policy [15.02, Export Controls Program Management](#)

System Policy [15.05, System Research Security Office](#)

System Regulation [15.05.04, High Risk Global Engagements and High Risk International Collaborations](#)

System Policy [25.07, Contract Administration](#)

System Regulation [31.05.01, Faculty Consulting and/or External Professional Employment](#)

System Regulation [31.05.02, External Employment](#)

University Rule [15.02.99.C1, Export Control Compliance Program](#)

University Rule [25.07.99.C1, Contract Administration](#)

University Rule [31.05.01.C1, Faculty Consulting, External Professional Employment, and Conflicts of Interest](#)

University Procedure [31.05.02.C0.01, External Employment](#)

Contact Office

Contact for interpretation and clarification: Financial Conflict of Interest and Export Control Officer
(361) 825-5191