



## Research Security Program Framework

### Rationale

This policy framework identifies the elements, and responsible persons involved in the Research Security Program for The University of Texas at Tyler (UT Tyler) and is intended to enable UT Tyler to promote secure research while mitigating the risk of foreign influence and intellectual property theft. The provisions of the Research Security Program are established to promote organizational culture of compliance with State of Texas and US Government such as the National Security Presidential Memorandum 33 guidelines. The overarching goal is to strengthen and protect institutional research while fostering an active and international collaborative environment.

### Objectives

UT Tyler will continue maintaining a secure environment for the conduct of research and the management of research assets, including protection of intellectual property and research data. UT Tyler provides the necessary infrastructure and personnel to uphold compliance with all applicable ethical, legal, regulatory, contractual and system requirements in securing research, and to promote an organizational culture of compliance.

The research security program presents a framework designed to protect UT Tyler's research from undue foreign threats by striking a balance between openness and security. The research security program has three primary objectives that comprise: 1. fostering a philosophy that focuses on safeguarding the integrity of research and intellectual property while promoting and maintaining an inclusive culture that stimulates international engagement and collaborative endeavors; 2. compliance with U.S., state, and System standards for research security, as well as other ethical, legal, regulatory, contractual, and system standards; and 3. ensuring that the University community is well-informed and able to provide ongoing input to the research security program by implementing strategic education and outreach.

## **Program Scope**

The research security risk areas include, but are not limited to research data security, foreign travel security, foreign relationship oversight, and management of foreign visitors and scholars.

The research security program implements a risk-based approach to ensuring research data security within the scope of the University's research enterprise. Core components of the program include:

1. Conflict of Interest and Conflict of Commitment
2. Export Control (includes international research collaborations, international travel, vendor assessments, international shipments, and international visiting scholars)
3. International Travel Oversight (includes travel security)
4. Disclosures to Federal Funding Agencies
5. Intellectual Property Disclosure and Safeguards
6. Cybersecurity
7. Research Data Maintenance

## **Program Oversight**

A Research Security Advisory Committee (RSAC) will be established by the Research Security Officer to provide guidance regarding areas of risk, facilitate inter-campus collaboration, ensure that program components operate effectively, and help facilitate outreach across the institution. Membership includes representatives from Information Security, Sponsored Programs Administration, Institutional Compliance, Human Research Protections Program, and Research Integrity.

The RSAC will be responsible for:

- Advising the RSO on matters related to research security.

- Environmental scanning of ongoing federal funding agency research security requirements and guidance.
- Reviewing current and ongoing efforts for effectiveness.
- Conducting risk assessments.
- Reviewing and recommending training opportunities.
- Coordinating internal monitoring and reporting incidents to the RSO, who will in turn report relevant incidents to the UT System Chief Research Security Officer (CRSO).

### **Research Security Officer**

The UT Tyler appointed a research security officer (RSO) as part of the new Texas Legislation who will be responsible for ensuring the research security program continues to meet all required federal, state, and System standards and is implemented effectively. The RSO will:

- a) Facilitate the implementation of the federal and state requirements related to research security,
- b) Work closely with the RSAC to ensure that investigators have the relevant information regarding the rapidly changing landscape for international activities and research security,
- c) Conduct early risk assessments and take action to mitigate institutional risks,
- d) Develop, implement, and provide oversight of policies, procedures, and associated research security training, and,
- e) Attend the annual academic security and counter exploitation program educational events, including the annual conference at Texas A&M University.

### **University Faculty and Researchers**

All researchers at the University are expected to adhere to research security related policies and procedures of funding agencies and the University to mitigate risks to critical research data and intellectual property. Researchers must ensure that all information provided to the University and funding agencies is thorough and accurate.