



Office of Research & Sponsored Programs

Sam Houston University Guidance Regarding Foreign Influence in University Research

Sam Houston University (SHSU) recognizes the value of international collaboration in research. However, it is also important to be aware of and mitigate potential risks associated with foreign influence in federally funded research. The U.S. Government has expressed growing concerns regarding inappropriate influence by foreign entities, including:

- Failure to disclose resources from foreign governments or organizations.
- Diversion of intellectual property to foreign entities.
- Inappropriate sharing of confidential information, including by peer reviewers.
- Influence on funding decisions

To address these concerns and ensure compliance with federal regulations, SHSU investigators should adhere to the following guidelines:

1. Specificity of Disclosure Requirements

- Disclose all forms of research support thoroughly and completely in all sponsor-required documentation. This includes, but is not limited to, funding, resources, and collaborations from foreign sources, as required by sponsors such as the National Institutes of Health (NIH) in their Other Support documentation and the National Science Foundation (NSF) in their Current and Pending Support documentation. Researchers should familiarize themselves with the specific disclosure requirements of each funding agency.
- Understand and disclose foreign components of research projects. Consistent with the NIH definition, a foreign component includes any significant scientific element or segment of a project occurring outside the U.S., whether by the recipient or a researcher employed by a foreign organization. This includes, but is not limited to, collaborations anticipated to result in co-authorship; use of facilities or instrumentation at a foreign site; or receipt of financial support or resources from a foreign entity. Refer to specific sponsor guidelines for their definitions and disclosure expectations.
- Foreign components should be disclosed through various means, including:
 - Identifying the foreign component explicitly in the grant application.
 - Clearly listing any non-U.S. performance sites.
 - Providing comprehensive details of foreign relationships and activities within the biosketch.
 - Answering 'yes' truthfully on Conflict of Interest (FCOI) disclosures if you receive anything of value, including financial support, resources, or in-kind contributions, from a foreign entity or collaborator that relates to your institutional research responsibilities.



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- Financial resources from foreign entities must be disclosed even if they relate to work conducted outside of the regular academic appointment period. For example, if a researcher with a 9-month appointment conducts research at a foreign university during the summer funded by a foreign award, this activity and funding must be disclosed.
- Participation in foreign talent programs, such as China's Thousand Talents Programs, must be disclosed to all federal sponsors. Principal Investigators (PIs) should carefully review all pending proposals and active awards to ensure such affiliations are fully disclosed.
- Review all pending proposals and active awards to ensure all foreign components and financial interests have been disclosed. If any omissions or errors are identified, contact the designated SHSU research compliance office for assistance.
- Disclose outside professional activities and financial relationships, whether compensated or uncompensated, including support from foreign governments and academic institutions, foreign consulting relationships, and visiting positions at foreign institutions. Discuss any invitation for an academic appointment at another domestic or international institution with your department chair prior to accepting.
- Disclose any involvement in foreign recruitment or "talent" programs to the designated SHSU research compliance office. These programs are of particular concern to the federal government due to potential risks to U.S. interests.
- Disclose financial interests related to your research in all public sharing of research results, such as presentations and publications, adhering to the specific disclosure standards of journals and professional organizations.

2. Guidance on Agreements and Intellectual Property

- Establish Material Transfer Agreements (MTAs), Data Use Agreements (DUAs), or Non-Disclosure Agreements (NDAs) with both foreign and domestic institutions when sharing materials or data. These agreements are crucial for outlining the terms of use, protecting intellectual property, and ensuring SHSU can complete all required internal reviews and compliance checks. Contact the designated SHSU technology transfer office for assistance in establishing these agreements.
- Promptly disclose any potential inventions or other intellectual property developed through your research to the designated SHSU technology transfer office (TTO) to ensure appropriate protection and reporting to sponsors.. If you are involved in a startup company based on technology licensed from SHSU, the company must disclose to TTO any investments, partnerships, or sublicenses made with foreign entities.
- All agreements on behalf of the University must be reviewed by the TTO, and only authorized SHSU personnel, specifically the [Insert Specific Title/Office with Signature Authority at SHSU,



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e.g., Associate Vice President for Research or their designee], possess the appropriate signature authority to enter SHSU into such agreements.

Engaging with Foreign Visitors

- Exercise diligence in evaluating visiting collaborators. Scrutinize visitors with extended stays or those lacking the appropriate background for the research. Report any suspicious activity to the designated SHSU research compliance office.
- Follow proper SHSU appointment processes for visiting scholars and postdoctoral researchers to ensure proper vetting and appropriate access to university resources.

Export Controls

- Be aware that collaborations with international partners, international shipments, the transfer of technology or technical data to foreign nationals (which may include foreign nationals within the U.S., a concept known as a deemed export), and travel abroad may be subject to U.S. export control laws.
- While most university research is considered fundamental research exempt from export controls, certain items, equipment, technologies, and technical data are considered 'controlled' and may have restrictions on their transfer or access by foreign nationals, as well as restrictions on international shipment or publication [link to the complete CCL controlled items list]. Sponsored research may also impose specific export restrictions.
- Travel to countries under federal embargo will require advance review [link to 15 CFR 746 site].
- International shipments should be reviewed prior to sending to ensure no export license is needed and that items are not going to restricted entities. Contact the designated SHSU office for guidance on export control regulations, including those related to deemed exports and controlled items.

Foreign Travel

- Check the requirements of your funding agencies regarding advance approval and/or disclosure of foreign travel or domestic travel sponsored by foreign entities.
- All international travel by faculty and staff must receive approval from [Specify the SHSU Office/Individual requiring approval, e.g., the Provost's Office or a designated delegate]. Please initiate the foreign travel request process through the Office of Research and Sponsored Programs (ORSP). ORSP will review the compliance status of each individual prior to approval. As part of this process, individuals traveling internationally will be required to complete Export Compliance CITI training.. Consult SHSU's travel policies for specific procedures and required documentation.



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Cybersecurity

- Accepting sensitive or controlled information under a research contract may necessitate heightened cybersecurity requirements. Contact the SHSU Information Security Office to confirm these requirements can be managed before proposal submission.

Research Security Training

- All individuals receiving support from the Office of Research and Sponsored Programs (ORSP) or from federal, state, and local sponsors will be required to complete *Research Security* CITI training. This training addresses critical aspects of research security, including foreign influence, data protection, and intellectual property considerations.

Reporting Concerns

- If you have any concerns or questions regarding foreign influence in research, disclosure requirements, or potential risks, please contact the designated SHSU research compliance office for guidance.

Resources and Contact Information

- For assistance with disclosure requirements, export control regulations, or any questions regarding foreign influence in research, please contact Sharla Miles, Research Compliance Specialist with the Office of Research and Sponsored Programs by email at sharla_miles@shsu.edu or by phone at (936) 294-4875.

By adhering to these guidelines, Sam Houston University can foster international research collaborations while safeguarding the integrity and security of its research enterprise.