

TEXAS A&M AGRILIFE

**ETHICS & COMPLIANCE IN RESEARCH:
*THE LATEST IN EXPORT CONTROLS AND
RESEARCH IN AGRILIFE***

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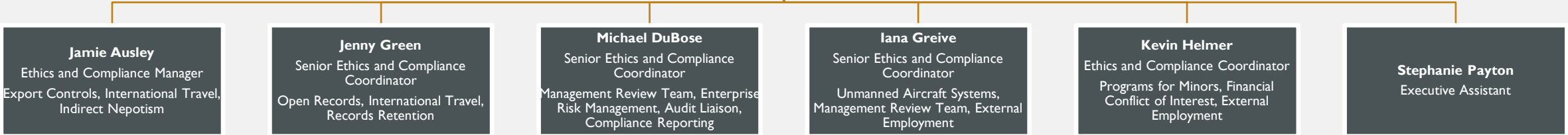
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EXPORT CONTROLS

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A photograph of two men standing in a cornfield. The man on the left is wearing glasses and a blue jacket, holding a cob of corn. The man on the right is wearing glasses and a plaid shirt, holding a camera. The background is a field of tall corn stalks.

WHAT DOES EXPORT CONTROLS CONSIST OF?

- Restricted Party Screenings
- Financials (Accounts Receivables, Payment Cards, Procurement, Vendor Screening, Wire Transfers)
- Alternative Work Location Requests
- Licenses and Commodity Classifications
- Screening Conferences
- International Employees
- External Employment
- IBC & IRB Permits Export Control Review
- Non-sponsored Contracts (MOUs, MTAs, MOAs, Independent Contractors)
- International Travel
- Invention Disclosures
- International Visitors
- Sponsored Research
- Technology Control Plans
- International Shipments
- Aggiebuy Purchases



INTERNATIONAL EMPLOYEES & VISITORS



AG-713 needed for Visitors that will be here long term or anyone being added to payroll



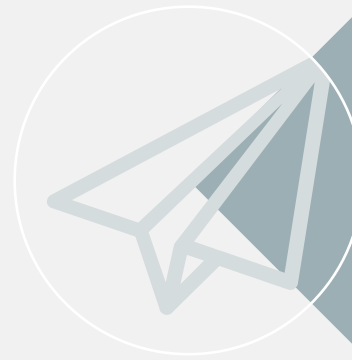
Faculty and staff will inform us of any international “pop-up” visitors



Review that visitors or employees will not be accessing export-controlled information or equipment.



INTERNATIONAL SHIPPING LICENSES



We ask that PIs inform us when they intend to ship something international. We review shipments are not going to denied parties. We ensure that the items are not export controlled.



We work with our Contracts Office in order to create an MTA for all shipments that have been created/modified by AgriLife employees. Ensuring that we keep ownership of the item.



If the entity/person is denied or the item is export controlled, we will apply for a license.



IBC & IRB PERMIT
REVIEWS

INVENTIONS

AGGIEBUY

TECHNOLOGY
CONTROL PLAN



Review for export control concerns such as running RPS, checking if items are export controlled, if applicable



If items are export-controlled, we will create a Technology Control Plan (TCP).



The Technology Control Plan ensures that there is no unauthorized access & confirm with the PI that these items are export controlled and they have a higher responsibility of these items.

A photograph of two men standing in a cornfield. The man on the left is wearing glasses and a blue jacket, holding a cob of corn. The man on the right is wearing glasses and a plaid shirt, holding a camera. The background is filled with tall corn stalks.

EXPORT CONTROL UPDATES

- Visiting Scholars unable to start visit until January 1, 2021
- No international travel until further notice
- Notifying us of International Virtual Conferences
- COVID-19 Training for Visiting Scholars
- New Compliance Item in Maestro: Prohibition on Contracting for Certain Telecommunications and Video Surveillance Services or Equipment



COVID-19 TRAINING FOR VISITING SCHOLARS

- Visiting scholars must be able to follow all Federal, State and University regulations, policies, and/or guidance related to COVID-19 while at Texas A&M.
- Visiting Scholars should complete training **2114136: Safe Practices for Returning and/or Coming to the Workplace during the COVID-19 Pandemic**. This training is available through the external gateway.

A photograph of two men standing in a cornfield. The man on the left is wearing glasses and a dark jacket, holding a piece of corn. The man on the right is wearing a plaid shirt and glasses. The background is filled with tall corn stalks.

**NEW COMPLIANCE ITEM
IN MAESTRO:
PROHIBITION ON
CONTRACTING FOR
CERTAIN
TELECOMMUNICATIONS
AND VIDEO SURVEILLANCE
SERVICES OR EQUIPMENT**

- For this new requirement, we will need an email confirmation stating you will not be purchasing or obtaining any telecommunication or video surveillance equipment made by Huawei Technologies, ZTE Corporation and their affiliates.
- If there is a piece of equipment that you are unsure about, or are wanting to purchase or acquire, we can take a look at it and help make the determination.

RESEARCH COMPLIANCE

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AGRILIFE LIAISON

TEXAS A&M
AGRILIFE

The position of AgriLife Liaison for Research Compliance entails that we support the faculty in areas related to Research Compliance. We assist the Research Compliance groups whenever needed for AgriLife.

RESEARCH COMPLIANCE
AREAS

TEXAS A&M
AGRILIFE

Biohazards

IBC

Animals

**IACUC/
AACUC**

Human
Subjects

IRB

A scientist in a white lab coat is working in a laboratory. The background shows shelves with various bottles and equipment. The text is overlaid on a dark, semi-transparent box.

INSTITUTIONAL BIOSAFETY COMMITTEE (IBC)

- The IBC is a committee created under the NIH Guidelines to review all research involving Recombinant DNA and biohazard risks.
- The committee is required to comply with regulations and receive funding from the National Institute of Health (NIH). Biosafety does not just apply to NIH funded projects but to all projects involving biohazards.
- Researchers must submit an application in iRIS if they intend to work with biohazards. The committee will review and once the application is approved, the researcher is permitted to work with the biohazards listed in the application.
- A biohazardous agent is an infectious (pathogenic) substance produced from living organisms that has potential for causing disease in other living organisms, including animals and plants.

The background image shows a farm setting with several people and animals. In the foreground, a person in a maroon shirt is interacting with a white cow. Another person in a maroon shirt is visible in the background. The scene is set in a barn or farm building with wooden structures and equipment.

INSTITUTIONAL ANIMAL CARE & USE COMMITTEE (IACUC)

The TAMU IACUC is responsible for oversight, evaluation, and assurance of compliance for any on campus research, use, teaching and training of animals. We work with IACUC for all of our researchers on campus.

AGRICULTURE ANIMAL CARE & USE COMMITTEE (AACUC)

The AACUC is responsible for oversight, evaluation, and assurance of compliance for any off- campus research, use, teaching and training of animals at locations outside of Brazos & Burleson Counties. We work with AACUC for all of our researchers at our AgriLife Centers.

IACUC/AACUC

Texas A&M has adopted the “U.S. Government Principles for the Utilization and Care of Vertebrate Animals Used in Testing, Research and Training,” and complies with all applicable federal, state, and local laws which impact the care and use of animals.

- **When is an AUP necessary?**

All Texas A&M AgriLife individuals, faculty, staff, or agents who are conducting research, teaching, or testing using animals must have review and approval by the TAMU IACUC or AACUC prior to initiating research.

WHAT IS HUMAN SUBJECT RESEARCH?

- A **Human Subject** is defined by DHHS as “a living individual about whom an investigator (whether professional or student) conducting research obtains (1) Data through intervention or interaction with the individual, or (2) Identifiable private information
- **Research** is defined by DHHS as "a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge. Activities which meet this definition constitute research for purposes of this policy, whether or not they are conducted or supported under a program which is considered research for other purposes. For example, some demonstration and service programs may include research activities”

TAMU IRB REQUIREMENTS

- Institutions that “engage” in human subject research conducted or supported by DHHS funding must sign a written assurance committing them to compliance with DHHS regulations
- All Texas A&M AgriLife individuals, faculty, staff, or agents who are conducting research with human subjects must have review and approval by the TAMU IRB **prior to initiating** research
- Use of TAMU/AgriLife property or facilities for human subjects research

RESPONSIBLE CONDUCT IN RESEARCH

- This training is assigned because of an involvement in National Science Foundation (NSF), United States Department of Agriculture – National Institute of Food and Agriculture (USDA-NIFA) or certain National Institutes of Health (NIH) funded projects.
- Training will be assigned through TrainTraq and completed in CITI (www.citiprogram.org)
- Modules to chose from:
 - Social and Behavioral Responsible Conduct of Research
 - Responsible Conduct of Research for Engineers
 - Physical Science Responsible Conduct of Research
 - Biomedical Responsible Conduct of Research
 - Responsible Conduct of Research for Administrators
 - Humanities Responsible Conduct of Research

HEMP IN RESEARCH

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A woman with long dark hair, wearing a red long-sleeved shirt and a watch, is kneeling in a field of young green plants. She is using a portable, white, three-tiered scale to weigh a plant. The background is a field of similar plants under natural light.

DEFINITION OF HEMP

- As in the 2018 Farm Bill Act: The term ‘hemp’ means the plant *Cannabis sativa* L. and any part of that plant, including the seeds thereof and all derivatives, extracts, cannabinoids, isomers, acids, salts, and salts of isomers, whether growing or not, with a delta-9 tetrahydrocannabinol concentration of not more than 0.3 percent on a dry weight basis.

A woman with dark hair, wearing a red long-sleeved shirt and a watch, is kneeling in a field of young green plants. She is using a portable, white, mechanical scale to weigh a small plant. The background is a field of similar plants under a bright sky.

WHAT GOVERNMENTAL AGENCIES ARE GOVERNING THIS?

- Texas Department of Agriculture (TDA)
 - United States Department of Agriculture (USDA)
 - Food & Drug Administration (FDA)
 - Drug Enforcement Agency (DEA)
 - Local Law Enforcement
-
- And of course AgriLife Ethics & Compliance

A woman with dark hair, wearing a red jacket and a watch, is kneeling in a field of young hemp plants. She is using a portable, white, three-tiered scale to weigh a plant. The background shows rows of similar plants in a field.

WHAT IS REQUIRED BEFORE HEMP RESEARCH CAN BEGIN?

- Researchers must contact the appropriate Research Associate Director/designee before starting hemp research
 - Must submit a research plan included lab/research space, personnel included on research and GPS coordinates while maintaining a chain of custody and transport manifest documents regarding any movement of hemp
- Must contact AgriLife Contracts if a contract or material transfer agreement is needed to purchase or receive hemp

A woman with long dark hair, wearing a red long-sleeved shirt and a watch, is kneeling in a field of young green plants. She is using a portable scale to weigh a plant. The background is a field of similar plants under a bright sky.

WHO WILL I NEED TO CONTACT BEFORE I BEGIN HEMP RESEARCH?

- Research Associate Director: Dr. Larry Redmon
 - 979.845.4808
 - l-redmon@tamu.edu
- AgriLife Ethics & Compliance
 - 979.845.4789
 - risk-compliance@ag.tamu.edu

PROCEDURE 15.99.02.A0.01: HEMP IN RESEARCH

Texas A&M AgriLife is providing guidance in accordance with the Texas Department of Agriculture (TDA), the United States Department of Agriculture (USDA), the Food & Drug Administration (FDA), and the Drug Enforcement Agency (DEA) implementation of research regarding hemp and any other relevant U.S. governmental administrations. Texas A&M AgriLife Research (AgriLife Research) is committed to the security of hemp seed used in research conducted by the agency, including either agricultural or academic research, regardless of the source of funding or whether or not the research is sponsored.

<https://agrilifeas.tamu.edu/documents/159902a001.pdf/>

**EXTERNAL EMPLOYMENT &
FACULTY CONSULTING**

SYSTEM REGULATION 31.05.01 AND 31.05.02

- Disclosure of consulting or employment with foreign entities to our office for Restricted Party Screening and other Export Controls
 - Information is shared with the Research Security Office
- Receives compensation, services, goods, or any other item of value.

[Faculty Consulting and/or External Employment](#)

[External Employment](#)

QUESTIONS?

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- Jamie Ausley 979.458.8214 jlausley@ag.tamu.edu
- Alex Cleghorn 979.845.4766 alexandra.cleghorn@ag.tamu.edu