

Research Security

February 2024

UNIVERSITY
of GUELPH

IMPROVE LIFE.



How we got here



Sensitive Technology Research and Affiliations of Concern (STRAC)



Policy

If advancing a sensitive research area, attestations related to the absence of affiliation to an NRO for all researchers named on the project.
Must be true at the time of application and throughout the project.
Policy applies to HQP.
Eligibility requirement



Named Research Organizations (NRO)

Includes universities, research institutes, and laboratories connected to military, national defense or state security entities.
Subsidiaries of NROs are included
Entity based, not country-based.



Sensitive Technology Research Areas

List of 11 areas.
Concern is the *advancement* of a technology during the course of the research rather than *use*

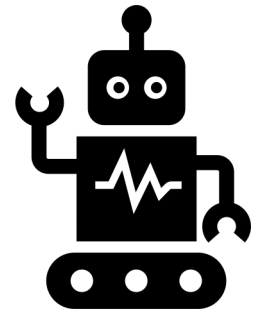


Affiliation

Employed at, appointed at or conducting research at an NRO
Receiving funding or in-kind support.

Sensitive Technology Research and Affiliations of Concern

1. Advanced Digital Infrastructure Technology
2. Advanced Energy Technology
3. Advanced Materials and Manufacturing
 - Advanced Materials
 - Advanced Manufacturing
4. Advanced Sensing and Surveillance
5. Advanced Weapons
6. Aerospace, Space and Satellite Technology
7. Artificial Intelligence and Big Data Technology
8. Human-Machine Integration
9. Life Science Technology
 - Biotechnology
 - Medical and Healthcare Technology
10. Quantum Science and Technology
11. Robotics and Autonomous Systems



Sensitive Technology Research and Affiliations of Concern



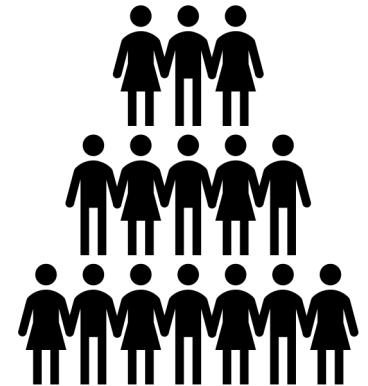
Biotechnology

- Biomanufacturing
- Genomic sequencing and genetic engineering
- Proteomics
- Synthetic biology

Affiliation (STRAC)

•**Affiliation:** Individuals are considered affiliated to any organization at which they are employed, appointed, or conduct research. In cases where individuals hold multiple affiliations, all must be identified and considered when ensuring compliance to this policy.

•**Funding and in-kind support:** Monetary or non-monetary contributions, that include but are not limited to goods, equipment, materials and supplies, professional services, use of facilities (office space, lab access), software, technologies and databases.



Attestation

- Standard form used by Triagencies, CFI and TIPS
- All those named in an application will be required to submit attestation
- Not yet available. Expected in March.
- Verifications will normally be done after funding decisions



National Security Guidelines for Research Partnerships

- Will continue to be used as security assessment tool with STRAC
- Has begun applying new STRAC definitions for sensitive research areas and considering affiliations with Named Research Organizations



STRAC to apply to funding opportunities,
open May 1, 2024 and beyond



Ontario



Mitigating Economic and Geopolitical Risk form

If advancing a sensitive research area, attestations related to the absence of affiliation to an NRO for all researchers named on the project.
Must be true at the time of application and throughout the project.
Policy applies to HQP.



Affiliation

Includes universities, research institutes, and laboratories connected to military, national defense or state security entities.



Attestation process

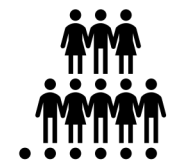
If the Province determines a project to be high risk, there is now an opportunity to further describe risk reduction strategies to mitigate risk
Attestations will be required.



Reporting

Institutional reporting on active research agreements with foreign entities – March 15.

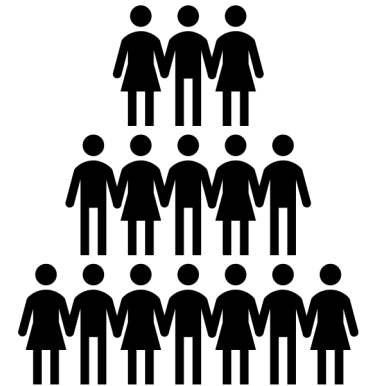
Comparison



| Term | STRAC (Federal) | Provincial |
|---------------|---|---|
| Affiliation | Employed, appointed, or conduct research. In cases where individuals hold multiple affiliations, all must be identified and considered when ensuring compliance to this policy. Receiving funding or in-kind support | |
| Collaboration | | Scientific collaboration including but not exclusive to <i>co-author, co-publication, joint research, joint funding recipients</i> |
| Relationship | | Formal MOU, partnership, joint funding, <i>joint degree/exchange program, graduate student supervision, visiting scholar</i> |
| Active | From the time of application forward | material collaboration <i>in most cases within 2 years from submission</i> |
| Attestation | For sensitive research areas, required by all named researchers at the time of application to attest that there is no affiliation to an NRO | Currently required for high-risk projects that require further clarification of risks and/or risk mitigation to attest that the risk mitigation measures will be implemented. |

Key terms (ORF)

•**High Risk:** A relationship/collaboration may be assessed as high-risk when the collaborating researchers and their affiliated institutions are linked to hostile state actors' military, intelligences and national security apparatus, state-owned or influenced national research organizations, state laboratories and state-owned enterprises. An entity and /or individual may also be assessed as high risk when they are sanctioned by the Canadian government and/or identified as end users of concern by like-minded jurisdictions



Contact Us

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