

Research Security For Funding Applications

NOVEMBER 7, 2024





Introduction

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Research Security Assessment

Funding Applications

- Research Security check required

Research Contract

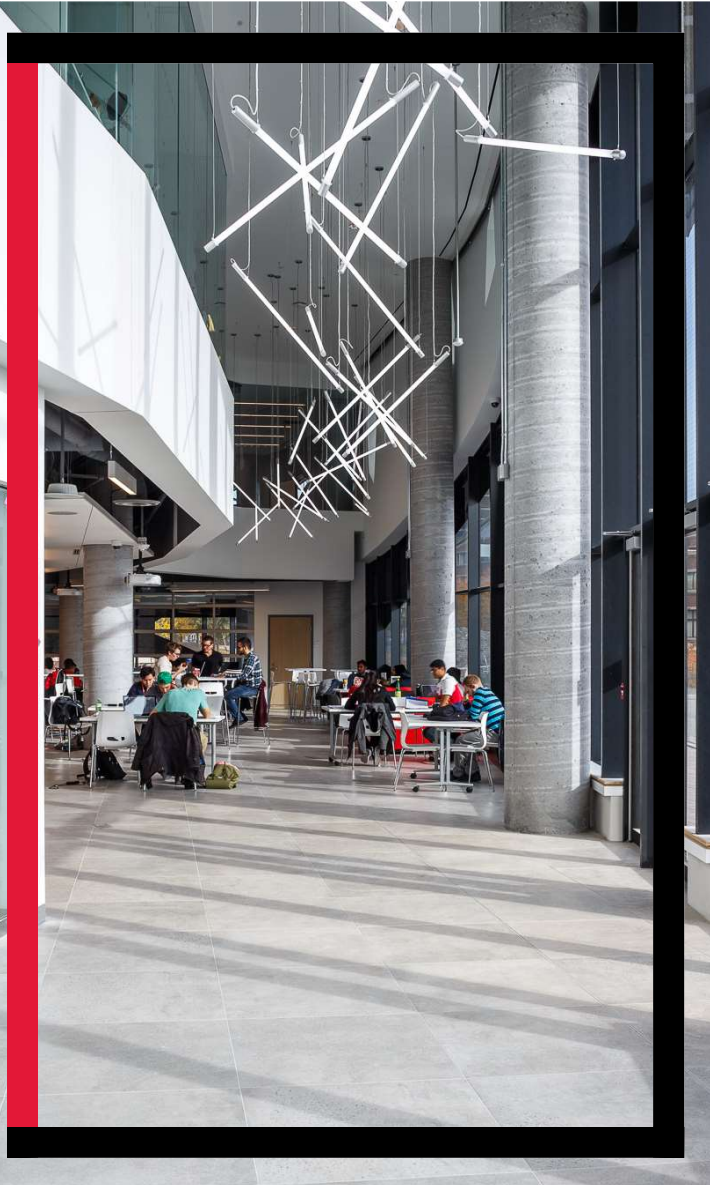
- No formal requirement of Research Security check
- Due Diligence is advised

International Visitors/Research Trainee

- Research Security Check required
- No visitors from institutes listed within [Named Research Organizations](#)(NROs), [US Department of Defense list](#), and [ASPI tracker](#).

Step 1: Identify the Research Security Requirement of Funding Agency





Step 2: Status of the Applicant

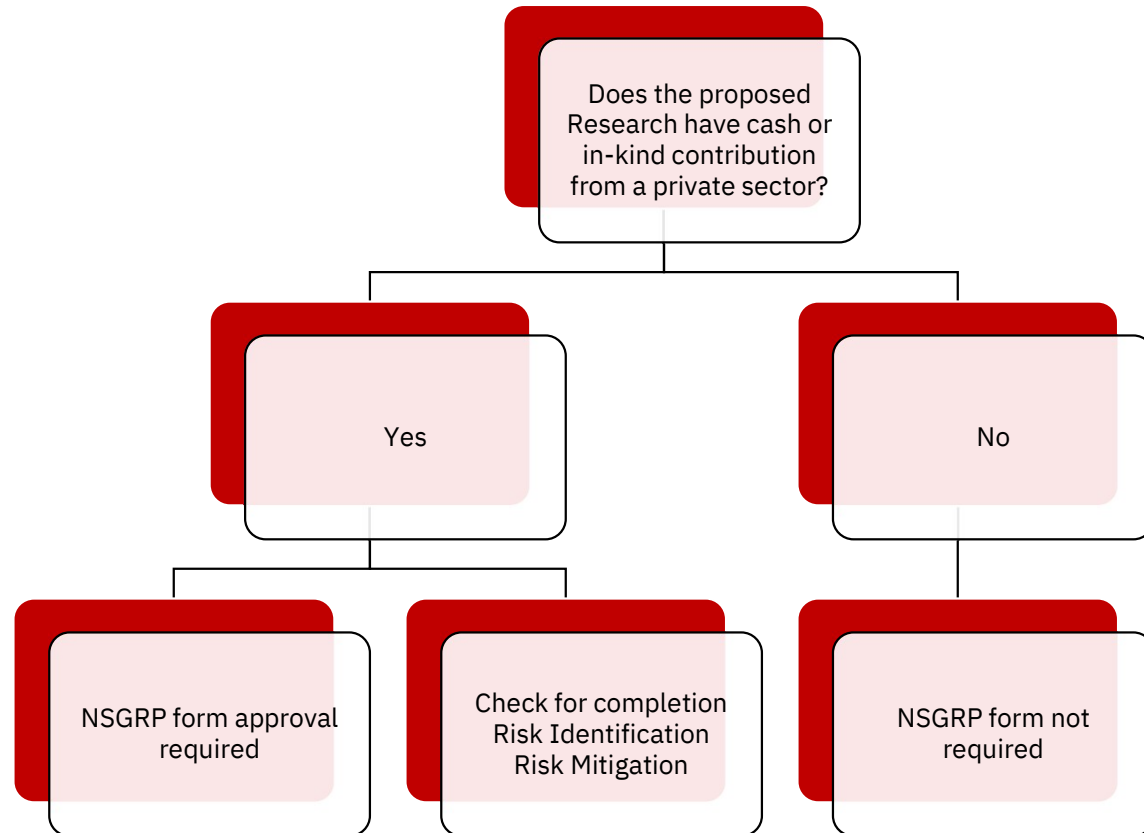
PI

- All Research Security Check Apply

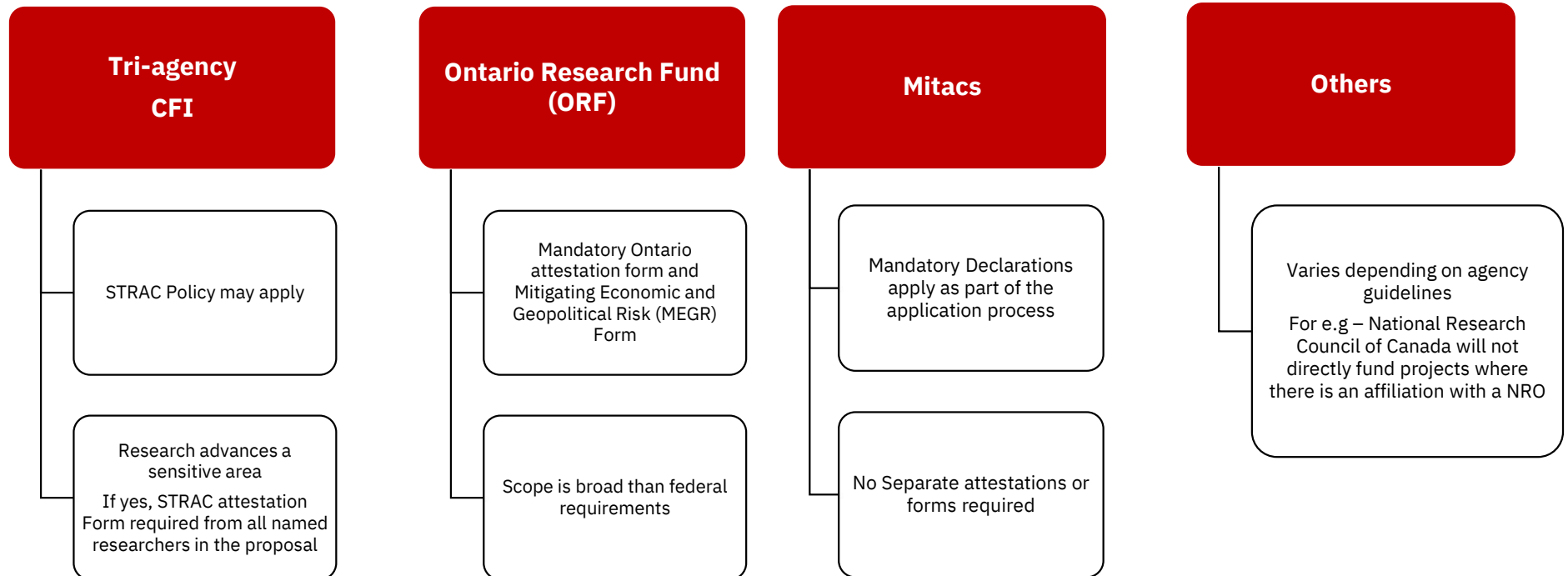
Co-PI

- Selective Research Security Check Apply

Step 3: Involvement of Private Sector Partner



Step 4: Attestations/Declarations for affiliations with NRO



Resources for Faculty

Safeguarding Research Considerations
QUESTIONS TO CONSIDER FOR FUNDING APPLICATIONS

When applying for Tri-Agency, Canada Foundation for Innovation (CFI), Ontario Research Fund (ORF) or international funding opportunities, you may encounter research security requirements. Consult the most up-to-date instructions for each process to confirm requirements. One or more of these policies may apply.

For assistance, please visit [York University's Safeguarding Research Site](#) or contact [York's Safeguarding Research Office](#).

Research Security Consideration	Resources
<p>Are you applying for Tri-Agency / CFI funding for research that aims to advance a Sensitive Technology Research Area?</p> <p>YES: Each named researcher may need to complete a Sensitive Technology Research and Affiliations of Concern (STRAC) attestation form confirming there are no affiliations with / receipt of support from institutions on the Named Research Organizations (NRO) list.</p> <p>NO: No further action</p> <p>UNSURE: Consult the STRAC Affiliations Questionnaire on Safeguarding Research - Research & Innovation (yorku.ca)</p>	<p>Tri-Agency Guidance Tri-Agency Attestation Form</p> <p>CFI STRAC Attestation CFI Guidance STRAC Policy & Definitions / FAQs</p>
<p>Are you applying for federal Tri-Agency / CFI funding with one or more industry partners?</p> <p>YES: You may need to complete a Risk Assessment Form (RAF) under the National Security Guidelines for Research Partnerships (NSGRP). You may need to complete a Partner ID form for CFI.</p> <p>NO: You are not required to complete the NSGRP RAF.</p> <p>UNSURE: Consult the definition of Partner Organization</p>	<p>NSGRP Form Tri-agency guidance CFI Guidance CFI Partner ID form Developing risk mitigation plans ORF Guidelines, Definitions and FAQs Developing risk mitigation plans</p>
<p>Are you applying for an Ontario Research Fund (ORF) Opportunity?</p> <p>YES: Each named researcher must complete the Ontario attestation form confirming there are no affiliations with institutions on the NRO list. For each application, one Mitigating Economic and Geopolitical Risk (MEGR) checklist must also be completed.</p> <p><i>Disclosure requirements and definitions of risk and affiliation are unique to the Province. All applicants should review the Guidelines.</i></p> <p>NO: You are not required to complete the Ontario attestation form or MERG checklist.</p>	<p>Developing risk mitigation plans ORF Guidelines, Definitions and FAQs Developing risk mitigation plans</p>
<p>International Funding Opportunities</p> <p>International funding bodies have various research security requirements in place. Please contact the Safeguarding Research Team for guidance.</p>	

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Safeguarding Research...

STRAC Affiliation Questionnaire

Research Security-Flow-Chart

Zoom Recording - Lasonde Info...

Lasonde Info Session Slides - ...

STRAC Presentation May 2024

Named Research Organizations

Sensitive Technology Areas

ISED Form

Ontario Risk Checklist

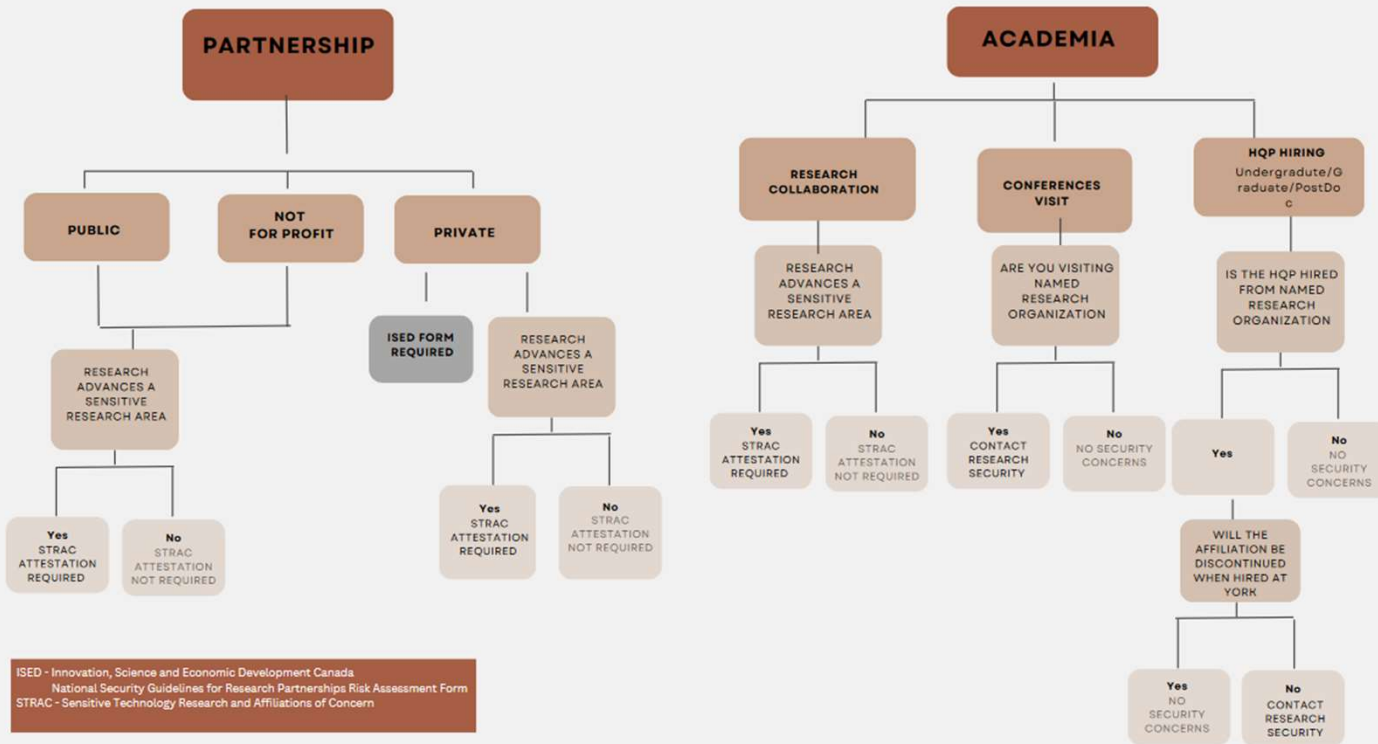
FAQ

Research Security @ York

There are some recent and upcoming changes to Research Security measures both at the provincial and federal levels. We are working with the VPRI office to update the processes for faculty members regarding external funding and partnerships with international partners.

- Contact the RSO team in advance of any partnership for more guidance and resources. As we receive more information, we will be updating our processes but for now, we require at least 2 weeks in advance of grant submission to assist with the security clearance process (e.g., [ISED form for NSERC Alliance](#)).
- Research security processes are changing and will be likely required in some form for all partnership funding and contracts. RSO will update you about any procedure changes as we become aware of them.
- **Institutions deemed "high risk":**
 - There are additional institutions that the provincial government would deem "high risk". Those are found on the following lists.
 - [Named Research Organization](#)
 - [US Department of Defence list](#)
 - Those rated as "high" / "very high" on [ASPI tracker](#).

RESEARCH SECURITY REQUIREMENT



ISED - Innovation, Science and Economic Development Canada
 National Security Guidelines for Research Partnerships Risk Assessment Form
 STRAC - Sensitive Technology Research and Affiliations of Concern