

U.S. Department of Defense Research Security Requirements

What you need to know



Research Security Division
Research Services

UNIVERSITY OF
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What information am I required to disclose?

- On June 29, 2023, the United States Department of Defense (DoD) released the [Policy for Risk-Based Security Review of Fundamental Research](#).
- To remain eligible for DoD funding, individuals named on the grant application must disclose the following:
 - All positions and affiliations;
 - Financial supports;
 - Non-financial resources;
 - Consulting relationships;
 - Work or travel for other academic institutions, foreign governments, non-profits, industry and trade groups, and companies.

How should I disclose the required information?

- Disclosure of the required information should occur in the biographical sketch section of your application.
- Please note that the biographical sketch should include any pending forms of research support (e.g. grant applications that have been submitted but are awaiting decision).
- You do not need to explicitly state that you do not have affiliations of concern.
- If your grant is awarded, the Research Security Division will work with you to ensure that you remain in compliance with DoD funding requirements.

Canadian Research Security Requirements

- The [Policy on Sensitive Technology Research & Affiliations of Concern](#) (STRAC) requires the disclosure of affiliations with [Named Research Organizations](#) (NRO) should the project aim to advance a [Sensitive Technology Research Area](#).
- There are currently no prohibitions on participating in a FTRP in Canada. However, participating in a FTRP would cause potential problems under the STRAC policy.
- Under STRAC, if you are participating in a FTRP offered by an NRO, this could create an affiliation under the policy and make you ineligible for federal funding.

Am I eligible for DoD grant funding?

The DoD will not fund research in the following circumstances:

- *If a covered individual is participating in a [malign foreign talent recruitment program](#) (MFTRP) or if a proposing institution does not have a policy addressing MFTRP's*
- *If the proposing U.S. institution hosts a Confucius Institute, unless the institution has been issued a waiver by the Secretary of Defense*

Note - "covered individuals" includes principal investigators, senior/key personnel, and individuals who contribute to the scientific development or execution of a research project.

What makes an FTRP malign?

A malign FTRP includes any attempts by a foreign state to unethically or unlawfully acquire research being conducted in Canada. A malign FTRP usually request one or more of the following:

- You are asked to transfer your knowledge, IP and/or expertise to a foreign government or entity;
- You are offered incentives to spend a significant amount of time in a foreign country;
- You are asked to sign a contract that creates a conflict of interest and/or commitment;
- You are asked to establish a lab or company or accept a position/appointment in a foreign country;
- You are asked to recruit others to the talent program;
- You are asked to not disclose your participation in the talent program;
- You are unable to terminate the FTRP contract, except under extraordinary circumstances.

Additional DoD Requirements

- The U.S. DoD has also published a [list of foreign institutions](#) which are viewed as particularly problematic. Past affiliations do not necessarily impact your ability to receive U.S. funding.
- Under the McCain Act, if your grant is awarded, you must ensure that you do not use equipment or services provided by any of the following companies or their subsidiaries:
 - Huawei;
 - ZTE Corporation;
 - Hytera;
 - Hangzhou Hikvision;
 - Dahua.