

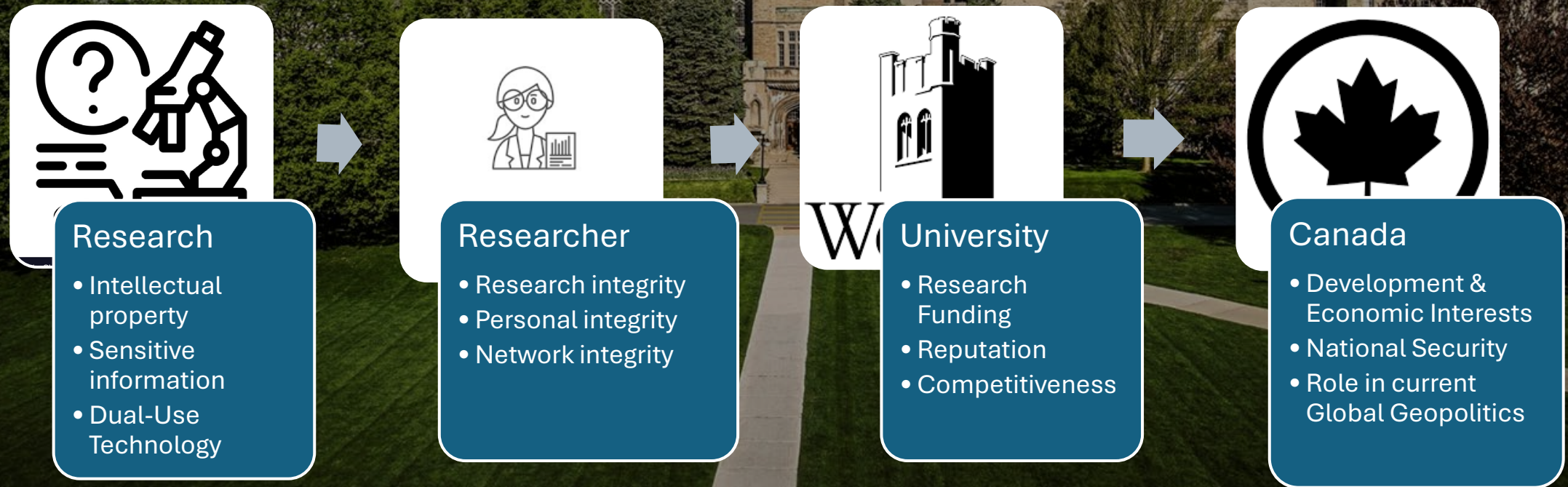
A wide-angle photograph of the University of Western Ontario campus. In the center, a tall, historic stone tower with a Canadian flag on top stands prominently. To its right is a modern, multi-story building. The foreground is a large, green lawn with a light-colored stone path leading towards the tower. Lush green trees are scattered throughout the scene, and the sky is blue with some clouds.

RS Essentials for Grant Success

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Importance of RS



RS Purpose

Safeguard Research and Researchers

Goal

Socialize best practices to identify sensitive technology research areas, through the discussion of the STRAC and NSGRP policies.



Policy Framework



STRAC: Policy



- **Objective:** Mitigate the risk of misappropriation of research advancements in sensitive areas.
- **Key Components:**
 - **List of Sensitive Technology Research Areas (STRAs):** Defines research areas deemed critical to Canada's national security.
 - **List of Named Research Organizations (NROs):** Identifies institutions considered to pose a potential risk to Canada's security interests.
- **Date of Implementation:** Early 2024

STRAC: STRA List

Criteria:

Only projects in listed sub-categories of STRAs are considered sensitive

Execution:

- PI reflects whether the project:
 - - aims to advance one(+) STRA(s) [Federal], or
 - - is done within the scope of one(+) STRA(s) [Provincial].

STRAC: STRA List-Classifying project

7. Artificial Intelligence and Big Data Technology

Artificial intelligence (AI) is a broad field encompassing the science of making computers behave in a manner that simulates human behaviour/intelligence using data and algorithms. Big data refers to information and data that is large and complex in volume, velocity and variety, and as such, requires specialized tools, techniques and technologies to process, analyze and visualize it. AI and big data technology may be considered cross-cutting given how important they are in enabling developments in other technology areas, including biotechnology, advanced materials and manufacturing, robotics and autonomous systems and others.

STRAC: STRA List-Classifying project

Data science and big data technology

Enables the autonomous or semi-autonomous analysis of data, namely large and/or complex sets of data when it comes to big data technology. It also includes the extraction or generation of deeper insights, predictions or recommendations to inform decision-making. Examples include: AI-enabled data analytics, big data technology (i.e. data warehouse, data mining, data correlation) and predictive analytics.

STRAC: NRO List



Named organization explicitly listed as NRO by name or alias

- Chinese Academy of Engineering Physics (PRC) (CAEP)
- CAEP's Alias: Beijing Computational Science Research Center

Unlisted Alias of an NRO:

- Beijing Computational Science Research Center is also known as:
 - Beijing Computing Science Research Center (BCSRC)
 - Computing Science Research Center (CSRC)

Entities not listed but are associated to an NRO

- Yanshan University (Not NRO)
 - Harbin institute of Technology (is an NRO)

STRAC: Tri-Agency Process

- Two Step Process:

1. Step one: Determine if your research will **advance** a sensitive technology research area (STRA).

- If the project **does not** fall within an STRA then the STRAC policy does not apply. If the project **does** fall within an STRA then move to step two.

2. Step two: Each researcher with a named role in the project is required to provide an attestation stating that they have **no affiliation** with and **are not in receipt** of funding or in-kind contributions from an NRO-listed entity.

STRAC: Tri-Agency Process

Possible scenarios: (Step 1)

- 1- Project considered Sensitive under STRAC by the PI.
- 2- Project considered Not sensitive under STRAC by the PI. [\[Recommendation\]](#)

Possible Scenarios: (Step 2)

- 1- Named Role researchers affiliated with NROs.
- 2- Named Role researcher not affiliated with NROs. {*****}

The project includes a private sector partner (RAF form is required)

NSGRP: Policy



- **Objective:** Mitigate the risk of misappropriation of research advancements in sensitive areas, & breach of export control laws.
- **Key Components:**
 - **List of Sensitive Technology Research Areas (STRAs).**
 - **List of Critical Minerals**
 - **List of Critical infrastructure**
 - **List of export controls and controlled goods.**
 - **Special economic measures**
 - **Personal Data/Large Datasets**
 - **Dual use technologies**

NSGRP: RAF sections

Section 1 Know Your Research

- Item 1.4: Large dataset (identifiable info; patterns, trends & associations (Humans))
- Item 1.6: Regarding the sensitivity of the research or its possible support of dual-use

Section 2 Know Your Partner Organization

- Item 2.1: Regarding foreign government influence, interference or control?
- Item 2.2: Regarding lack of transparency or unethical behavior of partner organization
- Item 2.3: Regarding conflicts of interest or affiliations from partners

Section 3 & 4 Risk Identification & Risk Mitigation Plan

- Do not state that there are no risks associated with the project
- Do not leave the section blank

Post application and Post award

- Applications are not rejected on the first round because of RS concerns {^{*}}
- The federal government will randomly review funded projects' compliance with the STRAC policy

Risk management strategies

Avoid

- Severing ties with Institutions of Concern

Transfer

- Follow plans and protocols of a partner more experienced and suited to manage risks

Mitigate

- NDAs
- Waivers

RS Team Capabilities

Fac

- Low volume – Medium/Low Urgency
- Proactive approach
- Flexible deadline



Univ

- High volume – Medium-High Urgency
- Proactive approach
- 2 – 3 weeks before submission



ORF/NSERC

- Low volume – High Urgency
- Reactive approach
- 2-3 weeks for resubmission



Final Remarks

- RS promotes a balanced approach:
 - Focused on sensitivity of research rather than on Individuals or countries.
 - Maintaining openness and international collaboration in non-sensitive areas
 - Safeguarding sensitive research by promoting awareness before engaging in relationships with entities of concern.
 - It can also be used to foster healthy partnerships, with entities that share our same values, and respect for intellectual property, specially when researching in sensitive areas.
- RS Team mimics the Tri-agencies and provincial grant review process, relevant to RS, so PIs make informed decisions.
- RS Team provide guidance and recommendations. The PI holds the ownership of the decision.

Resources

Internal		
Need	Resource	Location
Guidance and Information	Faculty's Research Officers and Associate Deans (RS File)	Western Research Directory
Procedures and forms -RS related for Grant Apps -Due Diligence -Risk Management Plan	Dpt. Research Contracts & Partnership Agreements Dpt. Institutional research Programs Dpt. Research Grant Management & Services	researchcontracts@uwo.ca irp@uwo.ca researchoffice@uwo.ca intgrant@uwo.ca
Cybersecurity and Data Governance	Western's Cybersmart Initiative	https://cybersmart.uwo.ca/



Resources



External		
Topic	Resource	Location
Travel Resources	• Far From Home - A Travel Security Guide • U15 travel security guide for university researchers and staff	
Federal Guidelines	• CSIS guidance document: “Protect Your Research – Ontario” • CSIS guidance document: “Safeguarding Your Research” • CSIS guidance document: “Smart Cities and National Security” • CSIS primer: "Foreign Interference and You" • ISED guidance pamphlet: “Conducting Open-Source Due Diligence for Safeguarding Research Partnerships” • National Security Guidelines for Research Partnerships and Risk Assessment Form • Research Security Information Update • Safeguarding Science	
University guidelines	Human Rights Watch Australia: "They Don't Understand The Fear We Have" U15 Safeguarding Research in Canada: A Guide for University Policies and Practices U15 Travel Security Guide For University Researchers and Staff	

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RS Info Session
March 2024.