

# Guidance on Completing the Mitigating Economic and Geopolitical Risk Checklist and Attestation Forms

The Government of Ontario is taking active steps to ensure that the outputs of research carried out by Ontario institutions under the Ministry of Colleges and Universities (MCU) research funding programs are safeguarded to protect the province's long-term economic security and interests.

**Note:** This tool is intended for your use only. **Do not submit this** as part of your grant application package.

The [Mitigating Economic and Geopolitical Risk Checklist](#) assists applicants in conducting a risk assessment of their project to identify and address potential economic and geopolitical risks. One checklist is required per application, regardless of the number of participants and your answer selections in the Application Attestation form.

## Part 1: Mitigating Economic and Geopolitical Risk Checklist

For each checklist question if you select “no” or “not applicable” please address the reasoning in the text-based “Potential Risk Identified and Risk Mitigation Proposal” section.

## Part 2: Potential Risk Identified and Risk Mitigation Proposal

This text-based section allows the PI to contextualize any identified risks and establish mitigation strategies.

## Potential Risk Identified

**What to consider:** If any Named Researchers, including the PI, has indicated they maintain a collaboration or are in receipt of funding or in-kind support from a foreign entity, the PI must address the related risks and set out mitigation measures.

Particularly focus on providing information about collaborations (including co-publications/co-authorships) with entities that could pose an elevated security risk. This includes but is not limited to:

- Institutions on the Government of Canada's (GoC's) [Named Research Organizations](#) list
- Entities on the United States Department of Defense's [List of Foreign Institutions Engaging in Problematic Activities to Counter Unauthorized Technology Transfer](#)
- Entities rated as “High Risk” or “Very High Risk” on the [Australian Strategic Policy Institute \(ASPI\) Defense Tracker](#)
- Corporations that have been sanctioned by NATO countries. (e.g. the [Canadian sanctions list](#), the [EU sanctions tracker](#), the [US Office of Foreign Assets Control List](#) and the [US Bureau of Industry and Security Entity List](#))
- Foreign government research institutions or labs

In addition, the PI and/or Named Researchers should disclose any current or past participation in talent programs administered or funded by a foreign government or entity, regardless of when the participation occurred.

Report an international research collaboration or industrial partnership if you are in doubt as to whether it could be considered an elevated risk.

MCU's review process prioritizes risks to research via collaborations. Applicants must disclose collaborations with entities that could be considered to pose an elevated security risk.

Collaborations include:

- Currently holding any position or role, whether paid or voluntary
- Receiving funding or in-kind support
- Co-publishing
- Industry partnerships and collaborations
- Graduate student supervision
- Participation as or research with a visiting scholar

### Developing a Risk Mitigation Proposal

MCU expects the risk mitigation proposal to contain an explanation of all identified collaborations as well as mitigation strategies to ensure the safety of the proposed research.

Discuss the following in your response, as applicable:

- Explanations of the collaboration should address items such as was it:
  - Via a former student/post doc who is no longer with U of T?
  - Via a 3<sup>rd</sup> party researcher?
  - A public lecture or conference?
  - A deep partnership? If so, what is the nature of the partnership?
- When did the collaboration start?
- Was foreign funding involved?
- Are there yet-to-be published papers from this collaboration?
- Were patents or intellectual properties created?

- Is the collaboration ongoing or finished?

Examples of risk mitigation categories under which the PI may consider proposing specific tactics include:

- Training (I.e. Research security, cyber security and intellectual property training)
- Guidance and best practices
  - [Government of Ontario's Research Security Guidelines for Ontario Research Funding Programs](#)
  - [GoC's Guidelines and Tools to Implement Research Security](#)
- Partnership agreements that include intellectual property and technology transfer clauses that address national security risks
  - [U of T Innovations & Partnerships Office's Protect Intellectual Property | Inventions & Commercialization](#)
- Data management and Information Security
  - [U of T's Security Awareness and Training](#)
- Establishing access restrictions for partners and personnel to an "as needed" basis
- Reporting mechanisms to your institution on the implementation and effectiveness of the proposed risk mitigation measures

### Assistance

For assistance completing the forms referenced in this document, please contact U of T's [Research Security Team](#).

For general assistance in navigating the Ontario funding process please visit U of T's [Apply for Funding](#) webpage.

