**Ontario Research Fund — Research Excellence Stream 2**

**Round 12 Application – Security Review**

Use this form to complete the relevant sections for security review by the Research Services Office (due August 14). Please type your answers directly into the boxes provided; boxes will expand to accommodate your text.

When submitting your *final* version of the application (due September 18 to RSO), you must use the Ministry’s [official PDF form](https://forms.mgcs.gov.on.ca/dataset/0012). All attachments must follow the formatting instructions found on page 20 of the ORF-RE program guidelines.

**1. GENERAL INFORMATION**

**Principal Investigator**

Last Name First Name Title

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Host Institution/Organization

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Department

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Unit Number Street Number Street Name PO Box

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City/Town Province Postal Code

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Telephone Number Fax Number Email Address Number of Co-investigators

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**Co-Principal Investigator (if applicable). A maximum of two lead Co-PIs Investigators are allowed.**

Last Name First Name Title

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Host Institution/Organization

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Department

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Unit Number Street Number Street Name PO Box

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City/town Province Postal Code

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Telephone Number Fax Number Email Address

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**Collaborating Institution(s)**

List other institution(s) collaborating on the project. Please identify any non-Canadian institutions.

*Add as needed*

Institution #1

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| Name: |
| Organization Location Within Canada (Province): | Organization Location Outside Canada (Country): |
| Collaborating Researcher/Individual Name: | Role: |
| Cash Contribution Amount $CAD (if applicable): | In Kind Contribution Amount $CAD (if applicable): |

Institution #2

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| --- |
| Name: |
| Organization Location Within Canada (Province): | Organization Location Outside Canada (Country): |
| Collaborating Researcher/Individual Name: | Role: |
| Cash Contribution Amount $CAD (if applicable): | In Kind Contribution Amount $CAD (if applicable): |

Institution #3

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| Name: |
| Organization Location Within Canada (Province): | Organization Location Outside Canada (Country): |
| Collaborating Researcher/Individual Name: | Role: |
| Cash Contribution Amount $CAD (if applicable): | In Kind Contribution Amount $CAD (if applicable): |

Institution #4

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| Name: |
| Organization Location Within Canada (Province): | Organization Location Outside Canada (Country): |
| Collaborating Researcher/Individual Name: | Role: |
| Cash Contribution Amount $CAD (if applicable): | In Kind Contribution Amount $CAD (if applicable): |

**Private Sector Partner(s)**

Provide a list of private sector partner(s) (PSP) involved in the project. Letters of Support are required for each, as part of Section 10 (Attachments).

Organization #1

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| Name: |
| Organization Location Within Canada (Province): | Organization Location Outside Canada (Country): |
| Collaborating Researcher/Individual Name: | Role: |
| Cash Contribution Amount $CAD (if applicable): | In Kind Contribution Amount $CAD (if applicable): |

Organization #2

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| --- |
| Name: |
| Organization Location Within Canada (Province): | Organization Location Outside Canada (Country): |
| Collaborating Researcher/Individual Name: | Role: |
| Cash Contribution Amount $CAD (if applicable): | In Kind Contribution Amount $CAD (if applicable): |

Organization #3

|  |
| --- |
| Name: |
| Organization Location Within Canada (Province): | Organization Location Outside Canada (Country): |
| Collaborating Researcher/Individual Name: | Role: |
| Cash Contribution Amount $CAD (if applicable): | In Kind Contribution Amount $CAD (if applicable): |

Organization #4

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| --- |
| Name: |
| Organization Location Within Canada (Province): | Organization Location Outside Canada (Country): |
| Collaborating Researcher/Individual Name: | Role: |
| Cash Contribution Amount $CAD (if applicable): | In Kind Contribution Amount $CAD (if applicable): |

**PI and Co-PIs’ Interests in Private Sector Partners**

Indicate any interest by the researcher in any of the private sector partners named in the proposal.

[ ]  No [ ]  Yes

If yes, describe the relationship between the PI and/or Co-PIs and the company

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**PI and Co-PI’s Involvement in Foreign Entities**

Do the PI, Co-PI(s) and/or other individual(s) listed in the application currently hold any position or role, whether paid or voluntary at any foreign government, foreign academic or research institutions, Canadian military/defense entity, foreign military/defense entity, any foreign private enterprise and/or foreign community organizations?

[ ]  No [ ]  Yes, provide details in the table below

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| PI/Co-PI Name | Entity | Position | Country | Details |
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Do the PI, Co-PI(s) and/or other individual(s) listed in the application currently hold any position or role, whether paid or voluntary at any foreign government, foreign academic or research institutions, Canadian military/defense entity, foreign military/defense entity, any foreign private enterprise and/or foreign community organizations?

[ ]  No [ ]  Yes, provide details in the table below

|  |  |  |  |
| --- | --- | --- | --- |
| PI and Co-PI Name | Funding Source | Funding Amount | Details |
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**2. RESEARCH EXCELLENCE**

Sections 2 – 9 should add to no more than 30 pages in total (excluding References and Figures sections). There are no character limits for each of these sections. Applicants should use the space as appropriate. Only the sections relevant to security are below:

**Research Collaboration**

Describe the nature and level of inter-institutional and/or international research collaborations

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**Principal Investigators and Co-Investigators**

Include relevant qualifications, time spent on the project, and expected contributions. Maximum of half (0.5) a page per investigator.

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**3. COMMERCIALIZATION POTENTIAL**

**PI and Co-Investigators**

Include relevant qualifications, time spent on the project, and expected contributions. Maximum of half (0.5) a page per investigator.

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**10. CV**

Note: All attachments including letters of support and CVs must add to no more than 20 pages in total.

Include CVs (2 pages each) of investigators and key project staff. Publications included in the CV should be restricted to the last five years only.

**MITIGATING ECONOMIC AND GEOPOLITICAL RISK CHECKLIST**

For the final proposal submission, the checklist must be completed on the Ministry’s [official PDF form](https://forms.mgcs.gov.on.ca/en/dataset/on00352). Please see Ministry form for some materials and resources developed by the federal government in research security.

For your proposed project, please indicate if you have undertaken the activities listed below.

**Building a Strong Project Team**

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| --- | --- | --- | --- |
| Verified all team members’ professional history and assessed alignment with theresearch priorities for this project. | [ ]  Yes | [ ]  No | [ ]  Not Applicable |
| Assessed existing or potential conflicts of interest or affiliation that wouldimpede collaboration with any team member. | [ ]  Yes | [ ]  No | [ ]  Not Applicable |
| Discussed and agreed on clear goals and measures of success for the project. | [ ]  Yes | [ ]  No | [ ]  Not Applicable |
| Discussed project risks internally and made a plan for their mitigation, involvingexternal team members as appropriate. | [ ]  Yes | [ ]  No | [ ]  Not Applicable |
| Assessed whether the practices of your collaborator(s) and/or collaboratinginstitution(s) are consistent with your institutions’ standards on ethics andresearch conduct. | [ ]  Yes | [ ]  No | [ ]  Not Applicable |

**Assess Non-Academic Partners**

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| --- | --- | --- | --- |
| Ensured the motivations of all partners are clear and aligned with the goals ofthe research team, including any expectations about intellectual property. | [ ]  Yes | [ ]  No | [ ]  Not Applicable |
| Assessed if the partner’s governance structure is transparent and whether theultimate beneficiary of their collaboration on your project is clear. | [ ]  Yes | [ ]  No | [ ]  Not Applicable |
| Assessed the reputational risk associated with involving the partner. | [ ]  Yes | [ ]  No | [ ]  Not Applicable |
| Explored if other academics have had positive experiences collaborating withthis partner. | [ ]  Yes | [ ]  No | [ ]  Not Applicable |
| Assessed whether the practices and contributions of your partner(s) areconsistent with the standards on ethics and research conduct at your owninstitution. | [ ]  Yes | [ ]  No | [ ]  Not Applicable |

**Cybersecurity and Data Management**

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| --- | --- | --- | --- |
| Verified all team members have completed cyber hygiene and datamanagement training. | [ ]  Yes | [ ]  No | [ ]  Not Applicable |
| Assessed if data management and cybersecurity measures needed toadequately protect research integrity are in place across all partners | [ ]  Yes | [ ]  No | [ ]  Not Applicable |
| Focused on addressing divergent cybersecurity and data management practicesand decided on a mutually acceptable approach to securing your researchproject. | [ ]  Yes | [ ]  No | [ ]  Not Applicable |
| If professional or personal international travel is expected during the project,agreed to a protocol for device management. | [ ]  Yes | [ ]  No | [ ]  Not Applicable |

**Review Use of Research Findings**

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| --- | --- | --- | --- |
| Agreed to a plan regarding how and when project details will be sharedincluding through publications, conferences, teaching, mass media, social mediaand personal communications. | [ ]  Yes | [ ]  No | [ ]  Not Applicable |
| Assessed the potential value of any project-related IP and how to protect it. | [ ]  Yes | [ ]  No | [ ]  Not Applicable |
| Ensured all collaborators and partners have agreed on how to handle IP. | [ ]  Yes | [ ]  No | [ ]  Not Applicable |
| Discussed how restrictions on academic freedom or commercial interests mayimpact the research project and the communication of research results. | [ ]  Yes | [ ]  No | [ ]  Not Applicable |
| Ensured all collaborators and partners are comfortable with the likely uses ofany research results. | [ ]  Yes | [ ]  No | [ ]  Not Applicable |
| Ensured all mechanisms exist that guarantee that any graduate studentsinvolved in the project are able to use the results to complete their studies. | [ ]  Yes | [ ]  No | [ ]  Not Applicable |

**International Travel**

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| --- | --- | --- | --- |
| Reviewed government travel advisories and register travel to any countriesassociated with the research project. | [ ]  Yes | [ ]  No | [ ]  Not Applicable |
| Assessed any potential risks to team members in regard to human rights,particularly minority rights, in any country where travel is required for the project. | [ ]  Yes | [ ]  No | [ ]  Not Applicable |
| Reviewed your cyber hygiene before travel. | [ ]  Yes | [ ]  No | [ ]  Not Applicable |
| Reviewed the Travel security guide for university researchers and staff. | [ ]  Yes | [ ]  No | [ ]  Not Applicable |

**Potential Risk Identified & Risk Mitigation Plan**

Provide information regarding any risks which you identified above. Explain what steps you have taken to identify, evaluate and measure these risks.

For each potential risk identified, outline the approach you are taking with your institution to develop a risk mitigation plan. In that plan, outline any specific actions that will be taken to reduce or remove the risk entirely, timelines for implementation, and how you plan to monitor effectiveness (maximum 10,000 characters).

Examples of Risk Mitigation Measures include, but are not limited to:

* Training (research security, cyber security, and intellectual property training)
* Guidance and best practices from Government of Canada departments and Ontario
* Partnership agreements that include intellectual property and technology transfer clauses that address national security risks
* Data management plan
* Cyber security plan
* Establishing access restrictions for partners and personnel to an “as needed” basis
* Regular reporting to your institution on the implementation and effectiveness of the proposed risk mitigation measures

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