



Research Partnership Security Checklist For International Partnerships

The University of Toronto pursues partnerships leading to cooperation in the areas of education, research, knowledge transfer and related activities. Both the nature of the partnership and the need for formal agreements will vary.

It is requested that the following internal checklist be completed before any institutional partnership agreement with a research component (e.g., MOU), and specific research project(s) are initiated. **The checklist is meant as a tool to assist PIs and approvers assess the suitability and potential risks of engaging with an international partner, before proceeding with a specific project.** This process is to help ensure that all research partnerships are entered into with awareness of potential risks.

For the purposes of this checklist, an *International Partner* is defined as an entity (e.g., academic, corporate, government or not-for-profit) that is engaged with the University of Toronto in a research collaboration (which may also include graduate training and/or entrepreneurial opportunities) and that is located outside of Canada. In the case of corporate entities, this checklist is to be completed if their headquarters is located outside of Canada, even if they have a subsidiary or office located in Canada. Note: Due diligence on risk assessment for non-research focussed learning abroad agreements is done through a separate process.

The Principal Investigator is to submit this completed form to international@utoronto.ca within two weeks of submitting a research proposal/agreement for university endorsement via the MRA system, or before initiating any international research partnership and project which was not submitted via MRA.

Information provided will be reviewed centrally. We will get back to you within two weeks to confirm your information has been reviewed. If necessary, someone from the Office of the Vice President, International; the Division of the Vice President, Research and Innovation; and/or from within your Division will be in contact with you to discuss your proposed partnership.

1. Name of proposed partner organization:

2. Title of research project:

3. Project keywords (please provide 5):

4. Name of U of T principal investigator(s):

5. Have you had any previous agreements, sponsored or otherwise, with this partner?

Yes: No:



6. Please indicate all types of activities that may be included in this partnership/project:

Faculty, graduate student, trainee, or staff exchanges*	<input type="checkbox"/>
Development of joint doctoral placements or other exchanges*	<input type="checkbox"/>
Joint research collaborations and/or joint publication of scientific papers and educational materials	<input type="checkbox"/>
Joint seed funding programs between U of T & partner*	<input type="checkbox"/>
Participation in and co-hosting of lectures, meetings, seminars, symposia and conferences (or similar)	<input type="checkbox"/>
Exchange of tangible research materials, including data, biological, chemical compounds, software, unpublished information or otherwise confidential or restricted materials	<input type="checkbox"/>
Controlled Exports under Canada's Export Controls **	<input type="checkbox"/>
Controlled Goods under Canada's Controlled Goods (i.e., components and technical data that have military or national security significance as defined in the Defence Production Act).**	<input type="checkbox"/>
Intellectual property developed during the partnership*	<input type="checkbox"/>
Sharing of proprietary intellectual property that is unprotected (e.g., not published or patented yet)*	<input type="checkbox"/>
Other (specify):	<input type="checkbox"/>

*: Requires or may require a separate agreement

** : Please contact ehs.importexport@utoronto.ca for guidance



7. How will this partnership contribute to the proposed project? Why is this partnership important to the project?



8. What are the potential risks of this partnership as related to the specific project (e.g., geo-political, conflicts of interest, unprotected IP etc.), and how are they being mitigated? If you require any assistance in completing this information please refer to the **Additional Resources** section of this document.

Potential Risk (check all that apply)		Mitigation Strategy (please describe)
Intellectual Property theft (protected or otherwise)	<input type="checkbox"/>	
Geo-political tensions with the partner's country or unrest within the country	<input type="checkbox"/>	
Safety of team members in cases of travel (Note: please have team members talk with Travel Abroad when planning the travel)	<input type="checkbox"/>	
Potential complications with student thesis/research (e.g., unable to publish, limited freedom of expression, etc.)	<input type="checkbox"/>	
Potential issues related to publication of results	<input type="checkbox"/>	
Partnership contravenes rules of other grants and/or contracts held	<input type="checkbox"/>	
Partner country has national security issues, as identified by the Federal Government, related to research topics, such as "Dual use" of research outcomes	<input type="checkbox"/>	
You are working with sensitive personal data or large amounts of data that could be sensitive in the aggregate	<input type="checkbox"/>	
Other (specify):	<input type="checkbox"/>	



- 9. The Federal and Provincial governments have released their own **mandatory** checklists that will have to be submitted with some grant applications (e.g., NSERC Alliance, Ontario Research Fund) and it is expected more government agencies will follow. Please indicate:

I am submitting a grant application that requires the completion of the *CSIS – Safeguarding your Research Checklist* (https://science.gc.ca/eic/site/063.nsf/eng/h_98257.html), and/or any other mandatory processes:

Yes*: No:

If yes, specify granting program:

***Note: You are still required to submit this internal checklist even if you are completing other mandatory checklists and processes.**

10. Attestations

I have read the *Engaging International Partnerships: Principles and Approaches* Document **and I have had my questions answered as related to my partnership and project. Any issues raised are being addressed/mitigation strategies are being developed.**

Yes:

11. Signatures and Acknowledgements

Name of Principal Investigator _____	Date: _____
Signature: _____	
For central administration use:	
Name of Reviewer: _____	Date: _____
Signature: _____	



Additional Resources

If you are uncertain about the risks of a certain partnership specific to your project, we encourage you to reach out to one or more of the below offices.

Office / Contact	Resources
Office of the Vice-President, International	<p>Research Partnership Security</p> <ul style="list-style-type: none"> • Safeguarding your Research <p>International Office Information</p> <ul style="list-style-type: none"> • International Agreement Contacts • International Strategic Plan
Division of the Vice-President, Research & Innovation	<p>Research Agreements and Partnerships</p> <ul style="list-style-type: none"> • Before Engaging in Research • Research & Innovation Agreements • Sponsored Research & Collaboration Agreements • Partnerships • Establish a Partnership With Industry • Partner with the Community / Industry for a Funding Application <p>Intellectual Property</p> <ul style="list-style-type: none"> • Confidential Information & Intellectual Property Obligations • Protect Intellectual Property • Inventor’s Guide to Technology Transfer <p>Controlled Exports and Controlled Goods</p> <ul style="list-style-type: none"> • Export Control & Controlled Goods Program • Importation, Use and Distribution of Biological Materials • Other Trade/Transport Links • For other inquiries related to controlled exports and controlled goods, contact scottd.wilson@utoronto.ca <p>International Travel and Safety</p> <ul style="list-style-type: none"> • Review Of Face-To-Face and Off-Campus Research • Travel Outside Canada • Field (including all Off-Campus) Research Safety • Safety Abroad



	<p>Research Integrity</p> <ul style="list-style-type: none">• Research Integrity• For other inquiries related to research integrity (e.g., complications with publication or student thesis/research), contact research.integrity@utoronto.ca <p>Other</p> <ul style="list-style-type: none">• Data Security Standards for Personally Identifiable & Other Confidential Data in Research• Financial Conflict of Interest Procedures: US Public Health Service & National Science Foundation
Division of the Vice-President & Provost	<p>Research Partnerships</p> <ul style="list-style-type: none">• Guidelines for External Researchers Conducting Research at U of T• Data Governance Program Report