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## Guidance on Research Security for SCN Funding Applications

August 2024

All applications for SCN funding must comply with the federal government's [Policy on Sensitive Technology Research and Affiliations of Concern \(STRAC\)](#) and the [National Security Guidelines for Research Partnerships](#) (NSGRP).

In alignment with the STRAC Policy, funding applications submitted to SCN involving research that aims to advance a [Sensitive Technology Research Area](#) (STRA) will not be funded if any of the researchers involved in activities supported by the award are currently affiliated with, or in receipt of funding or in-kind support, from a [Named Research Organization](#) (NRO).

In general, SCN follows the [Tri-agency guidance on STRAC Policy](#). Regenerative medicine (including tissue engineering or gene therapy) is listed as a [Sensitive Technology Research Area](#), so **all applications to SCN must** include a check on researchers' affiliations and compliance with the attestation requirements.

The [National Security Guidelines for Research Partnerships](#) apply for research that is considered dual-use or sensitive (see the [STRA](#) list), including regenerative medicine, and involves private sector partner organizations (i.e., organizations that are not owned or operated by any order of government and includes all for-profit organizations).

In general, SCN follows the [Tri-agency guidance on the National Security Guidelines for Research Partnerships](#) (NSGRP). Applications that include private sector partners must submit a risk assessment form.

### **1. SCN'S RESEARCH SECURITY PROCESS FOR APPLICANTS: RESEARCHER RESPONSIBILITIES:**

- a. All researchers (lead-investigators, co-investigators, collaborators and HQP) involved in activities to be supported by an SCN funding application must review



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the list of [Named Research Organizations](#) and be aware of their individual responsibilities with regards to compliance with the STRAC Policy.

- b. At the application stage, all researchers with named roles (lead-investigators, co-investigators, and collaborators) must each complete an [attestation form](#) stating that they are not currently affiliated with or in receipt of funding or in-kind support from any of the listed institutions on the NRO. Please note: only currently held affiliations are of concern for this policy; past affiliations will not be considered. The lead-investigator is responsible for gathering these forms from all researchers into a single PDF and submitting with the funding application.
- c. For applications that include partnering with an organization from the private sector, the lead investigator must complete and upload a [risk assessment form](#) with their application that covers the proposed private sector partners for the project. Lead investigators should consult Government of Canada resources which provides practical [guidance](#) and [training](#) (including the “[Safeguarding Research Partnerships with Open Source Due Diligence](#)” course) to conduct open source due diligence testing for partners and help complete the risk assessment form. Only one risk assessment form is required to be uploaded per application.
- d. All researchers receiving SCN funds (lead and co-investigators) will need to complete the following training courses and obtained certificates prior to the release of SCN funds: [Introduction to Research Security](#), [Dual-Use in Life Science Research](#) and [Insider and Outsider Threats](#). Submission of these certificates is not required during the application phase.

## **2. POST AWARD REQUIREMENTS:**

If an application is funded by SCN, the following conditions and responsibilities will apply for the duration of the award:

- a. All research team members are required to comply with the STRAC Policy.



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- b. Award recipients must inform SCN and their institutional officials if the composition of the research team changes. SCN should be informed through the annual continual review reporting process.
- c. Award recipients should ensure that prospective team members are aware of their [individual responsibilities](#) with regards to compliance with the STRAC Policy.
- d. Prospective team members must review the list of [Named Research Organizations](#) and complete an attestation form confirming ; affiliation with an NRO must be terminated prior to joining the research team.
- e. All research team members involved in the activities funded by an SCN award are individually responsible for ensuring that they do not hold an active affiliation or receive funding or in-kind support from any of the listed [Named Research Organizations](#), following the versions of the lists that were publicly available on the date that the grant application was submitted. This requirement applies for the duration of their involvement in the activities supported by the grant, regardless of whether an attestation form was required from a research team member at the time of application.
- f. An updated [risk assessment form](#) should be submitted to SCN if a new partner from the private sector is brought onto the project after the Award start date.

If any researcher is found to be in contravention of the requirements laid out in SCN's Research Security Guidance, the measures outlined in the [Tri-agency guidance on STRAC Policy](#) will be enacted, and outcomes may extend to termination of the SCN funding award.