

# Research Institutions' Experiences with DoD Policy for Risk-Based Security Reviews of Fundamental Research (FR)

## Survey Overview & Logistics

### ****Overview:****The Department of Defense (DoD) agencies are beginning to more regularly conduct risk reviews on fundamental research (FR) applications.  Agencies are requiring specific risk mitigation steps prior to issuing an award, and COGR member institutions have reported that agencies are requesting a variety of risk mitigation measures that may require substantial time to complete.COGR is conducting this survey to gather more information about these DoD risk mitigation plans and how they are being handled by institutions and DoD agencies.  Individual responses will remain anonymous, and the results of the survey will be reported in aggregate and made available to COGR members and to the DoD Basic Science Office.****For institutions that have received a DoD risk mitigation letter, this survey is estimated to take 15-20 minutes to complete.  For institutions that have not received a DoD risk mitigation letter, this survey is estimated to take 2-3 minutes to complete.********Please complete this survey by Friday, April 5, 2024.****For additional information, see: [COGR's Overview of Department of Defense Statement on Countering Unwanted Foreign Influence in Department-Funded Research institutions of Higher Education](https://www.cogr.edu/sites/default/files/Overview%20of%20Department%20of%20Defense%20Statement%20on%20Countering%20Unwanted%20Foreign%20Influence%20in%20Department%20July%208%2020223.pdf) (July 2023)[Countering Unwanted Foreign Influence at Department Funded Research at Institutions of Higher Education](https://media.defense.gov/2023/Jun/29/2003251160/-1/-1/1/COUNTERING-UNWANTED-INFLUENCE-IN-DEPARTMENT-FUNDED-RESEARCH-AT-INSTITUTIONS-OF-HIGHER-EDUCATION.PDF) (June 2023)****Survey Logistics:****Please coordinate internally and submit only one response per institution.  If you are unsure if your institution has already submitted a response, contact memberservices@cogr.edu.Do not use your browser's back button or your survey data may be lost.  To navigate pages within the survey, use the survey buttons towards the bottom of your screen.This survey has a 'save and continue' feature. To save your progress and return to the survey later, click the button in the upper right corner and enter your email address. You will be emailed your unique link directly from Alchemer to access the survey later.  This button will appear once you click to the second page of the survey.At the end of the survey, you will be able to review your answers and download a copy of your survey prior to submission. We encourage you to do so.If you have any questions or need assistance, please contact memberservices@cogr.edu.

## Demographics & Contact Information

**Page exit logic:** Skip / Disqualify Logic**IF:** #11 Question "Has your institution received a DoD fundamental research (FR) security risk mitigation letter? (Responding "No" will end the survey)." is one of the following answers ("No") **THEN:** Jump to [page 7 - Thank You!](#Page2)

ID: 2

### 1) First Name

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ID: 3

### 2) Last Name

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ID: 31

### 3) Title

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ID: 32

### 4) Institution

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ID: 33

### 5) Email

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ID: 4

#### 6) Is your institution public or private?

( ) Public

( ) Private

ID: 5

#### 7) Is your institution a(n):

( ) University with an associated Academic Medical Center (AMC)

( ) University without an associated AMC

( ) Academic Medical Center

( ) Independent Research Institution

ID: 6

#### 8) What is your institution's annual federal research expenditures as reported on the most recently published NSF HERD survey (or equivalent)?NSF HERD Table 24:  <https://ncses.nsf.gov/surveys/higher-education-research-development/2022#data>

( ) <$50M

( ) $50M-$99M

( ) $100M-$249M

( ) $250M-$499M

( ) $500M and above

ID: 7

#### 9) How much of your institution's research funding was received from DoD, as reported on the most recently published NSF HERD survey (or equivalent)?NSF HERD Table 26: <https://ncses.nsf.gov/surveys/higher-education-research-development/2022#data>

( ) $0-$5M

( ) $5,000,001-$25M

( ) $25,000,001-$50M

( ) $50,000,001-$100M

( ) >$100M

ID: 8

#### 10) Does your institution conduct:  Select all that apply.

[ ] Fundamental Research (FR)

[ ] Export Controlled Research (research award terms that include restrictions on publications, foreign national participation, etc.)

[ ] Classified research

ID: 9

#### 11) Has your institution received a DoD fundamental research (FR) security risk mitigation letter? (Responding "No" will end the survey).

( ) Yes

( ) No

## Part II: Questions Regarding FR Risk Mitigation Letters & Plans

ID: 11

#### 12) Approximately how many DoD FR security risk mitigation letters has your institution received (whether as a prime or subawardee)?

( ) 1-3

( ) 4-10

( ) 11+

( ) Unsure

ID: 12

#### 13) From which DoD component(s) has your institution received FR security risk mitigation letters?  Select all that apply.

[ ] Air Force/ARL

[ ] Army/ARL

[ ] DARPA

[ ] ONR

[ ] Other - Write In (Required): \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\*

ID: 13

#### 14) To whom at your institution has DoD sent FR security risk mitigation letters?  Select all that apply.

[ ] Sponsored Projects/Programs

[ ] Principal Investigator

[ ] Vice President/Provost for Research or equivalent

[ ] Research Security, Export Controls, or other Compliance Office

[ ] Other - Write In (Required): \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\*

ID: 14

#### 15) Has DoD furnished a draft/template risk mitigation plan, or has your institution had to create one from scratch?Use comment box below to add any additional detail that may be helpful for COGR to know.

( ) Create one from scratch, using DoD mitigation letter as framework

( ) Work from draft/template risk mitigation plan issued by DoD

( ) Both

#### Comments:

ID: 15

#### 16) Approximately how frequently has DoD specified a clear reason (or reasons) why a risk mitigation plan was warranted?

( ) 0% of the time

( ) Less than 25% of the time

( ) 26%-50% of the time

( ) More than 50% of the time

ID: 16

#### 17) On average, how many total work hours does it take your institution to ****draft**** one proposed risk mitigation plan?

( ) 1-5 hours

( ) 6-10 hours

( ) 11-15 hours

( ) 16-20 hours

( ) 21+ hours

ID: 17

#### 18) On average, how many total work hours does it take your institution to ****negotiate and finalize**** one risk mitigation plan after initial submission of the draft to DoD?

( ) 1-5 hours

( ) 6-10 hours

( ) 11-15 hours

( ) 16-20 hours

( ) 21+ hours

## (untitled)

ID: 18

#### 19) On average, how many weeks pass between the initial submission of a proposed risk mitigation plan and final DoD approval or rejection?

( ) 1-3 weeks

( ) 4-6 weeks

( ) 7-9 weeks

( ) 10+ weeks

ID: 19

#### 20) Did DoD propose or require the following measures as part of your risk mitigation plan?  Check all that apply, and submit any relevant details in the comment box below.

[ ] DoD restriction (e.g., prior approval) on research dissemination or publication)

[ ] DoD approval to co-author with peers in any foreign country of concern

[ ] DoD approval to collaborate with peers in any foreign country of concern, even on work not funded by DoD

[ ] DoD approval to travel to any foreign country of concern

[ ] Other - Write In (Required): \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\*

#### Comments:

### Please submit excerpts of DoD proposed required mitigation measures with identifying information.You may submit excerpts via free text field or file upload.  If submitting multiple documents, please combine them into one PDF for upload.

ID: 20

### 21) Excerpts:  Free text option.

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ID: 24

#### 22) Excerpts - File Upload Option.If submitting multiple documents, please combine them into one PDF for upload.

\_\_\_\_\_\_\_\_1

## (untitled)

**Logic: Show/hide trigger exists.**

ID: 25

#### 23) Approximately how many awards were not finalized because your institution and DoD were unable to agree on a risk mitigation plan?

( ) 0

( ) 1-3

( ) 4-10

( ) 11+

**Logic: Hidden unless: #23 Question "Approximately how many awards were not finalized because your institution and DoD were unable to agree on a risk mitigation plan?" is one of the following answers ("1-3","4-10","11+")**

ID: 26

#### 24) If DoD ultimately declined to finalize one or more awards following risk mitigation plan discussions, how frequently did your institution receive a clear, specific explanation for DoD's decision?

( ) 0% of the time

( ) Less than 25% of the time

( ) 26%-50% of the time

( ) More than 50% of the time

**Logic: Show/hide trigger exists. Hidden unless: #23 Question "Approximately how many awards were not finalized because your institution and DoD were unable to agree on a risk mitigation plan?" is one of the following answers ("1-3","4-10","11+")**

ID: 27

#### 25) Did your institution receive a formal rejection letter?

( ) Yes, we have received formal rejection letters in most or all cases.

( ) We have received at least one, but not in every case.

( ) We have never received a formal rejection letter to my knowledge.

( ) Unsure

**Logic: Hidden unless: #25 Question "Did your institution receive a formal rejection letter?" is one of the following answers ("Yes, we have received formal rejection letters in most or all cases.","We have received at least one, but not in every case.")**

ID: 28

#### 26) In cases where your institution has received a formal rejection letter, did you ever formally submit a challenge to this determination?

( ) Yes

( ) No

( ) Unsure

ID: 29

#### 27) May COGR contact you directly for additional information?

( ) Yes

( ) No

ID: 30

### 28) Please share anything else about your institution's experience with DoD's FR security risk mitigation policy you think COGR should know.

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## Thank You!

ID: 1

### Thank you for taking our survey. Your response is very important to us.Survey responses will be de-identified and reported in aggregate.  If you have any questions on the survey or need assistance, please contact memberservices@cogr.edu.