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Table 1: Decision Matrix to Inform Fundamental Research Proposal Mitigation Decisions
Factors for Assessing a Covered Individual’s Associations, Affiliations, Collaborations, Funding, and the Policies of the Proposing Institution that Employs the Covered Individual

	Factor 1: Foreign Talent Recruitment Programs	Factor 2: Funding Sources	Factor 3: Patents	Factor 4: Entity Lists
Prohibited factors	<p>For the Period after 9 Aug 2024</p> <p>Indicators of participation in a malign foreign talent recruitment program (MFTRP) meeting any of the criteria in Sec. 10638(4)(A)(i)-(ix) of the CHIPS and Science Act of 2022.</p> <p>Policy of Proposing Institution employing the covered individual does not prohibit participation in a MFTRP.</p>			
Factors discouraged by DoD policy, mitigation measures required, rejection of proposal required if no mitigation possible	<p>For the period after 9 Aug 2022¹:</p> <p>Indicator(s)² of participation³ in a foreign talent recruitment program (FTRP) meeting any of the criteria in Sec. 10638(4)(A)(i)-(ix) of the CHIPS and Science Act of 2022.</p>	<p>Indicator(s) that the covered individual is currently receiving funding from a Foreign Country of Concern (FCOC) or a FCOC-connected entity.</p>	<p>Patent application(s) or patent(s) not disclosed in proposal, that resulted from research funded by the U.S. Government (USG), that were filed in an FCOC prior to filing in the U.S. or filed on behalf of an FCOC-connected entity.</p>	<p>For the period after 9 Aug 2022:</p> <p>Indicator(s) of association with an entity on: the U.S. Bureau of Industry and Security (BIS) Entity List,⁴ the Annex of Executive Order (EO) 14032⁵ or superseding EOs, Sec. 1260H of the National Defense Authorization Act (NDAA) for FY 2021,⁶ or Sec. 1286 of the NDAA for FY 2019, as amended.⁷</p> <p>For the period after 10 Oct 2019:⁶:</p> <p>Indicator(s) of affiliation with an entity on: the U.S. BIS Entity List, the Annex of EO 14032 or superseding EOs, Sec. 1260H of the NDAA for FY 2021, or Sec. 1286 of the NDAA for FY 2019, as amended.</p>
Mitigation measures recommended	<p>For the period between 10 Oct 2019⁸ and 9 Aug 2022:</p> <p>Indicator(s) of participation in an FTRP meeting any of the criteria in Sec. 10638(4)(A)(i)-(ix) of the CHIPS and Science Act of 2022.</p> <p>For the period after 9 Aug 2022:</p>	<p>For the period between 10 Oct 2019 and 9 Aug 2022:</p> <p>Indicator(s) that the covered individual received funding from a FCOC or an FCOC-connected entity.</p>	<p>Patent application(s) or patent(s) disclosed in proposal, resulting from research funded by the USG, that were filed in an FCOC prior to filing in the U.S. or on behalf of an FCOC-connected entity.</p>	<p>For the period between 10 Oct 2019 and 9 Aug 2022:</p> <p>Indicator(s) of association with an entity on: the U.S. BIS Entity List, the Annex of EO 14032 or superseding EOs, Sec. 1260H of the NDAA for FY 2021, or Sec. 1286 of the NDAA for FY 2019, as amended.</p> <p>For the period prior to 10 Oct 2019:</p>

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	Policy of proposing institution employing each covered individual does not prohibit participation in a MFTRP.			Indicator(s) of an affiliation with an entity on: the U.S. BIS Entity List, the Annex of EO 14032 or superseding EOs, Sec. 1260H of the NDAA for FY 2021, or Sec. 1286 of the NDAA for FY 2019, as amended.
Mitigation measures suggested	<p>For the period after 10 Oct 2019:</p> <p>Covered individual's co-author(s)⁹ on publications in scientific and engineering (S&E) journals are participants in an MFTRP or an FTRP meeting any of the criteria in Sec. 10638(4)(A)(i)-(ix) of the CHIPS and Science Act of 2022.</p> <p>For the period prior to 10 Oct 2019:</p> <p>Indicator(s) of participation in a FTRP meeting any of the criteria in Sec. 10638(4)(A)(i)-(ix) of the CHIPS and Science Act of 2022.</p>	<p>For the period prior to 10 Oct 2019:</p> <p>Indicator(s) that the covered individual received limited or partial funding from a FCOC or an FCOC-connected entity.</p>	<p>Patent application(s) or patent(s) not disclosed in fundamental research project proposal, that resulted from research funded by the USG, that were filed in a non-FCOC prior to filing in the U.S. or on behalf of an entity in a non-FCOC.</p> <p>Co-patent applicant with a person on the U.S. BIS Denied Persons List.¹⁰</p>	<p>For the period after 10 Oct 2019:</p> <p>Covered individual's co-author(s) on publications in S&E journals are affiliated with an entity on: the U.S. BIS Entity List, the Annex of EO 14032 or superseding EOs, Sec. 1260H of the NDAA for FY 2021, or Sec. 1286 of the NDAA for FY 2019, as amended.</p> <p>Covered individual is a co-author on a publication in an S&E journal with a person on the U.S. BIS Denied Persons List.</p> <p>For the period prior to 10 Oct 2019:</p> <p>Indicator(s) of association with an entity on: the U.S. BIS Entity List, the Annex of EO 14032 or superseding EOs, Sec. 1260H of the NDAA for FY 2021, or Sec. 1286 of the NDAA for FY 2019, as amended.</p>
No mitigation needed	<p>No indicator(s) of participation in an MFTRP; or</p> <p>No indicator(s) of participation in an FTRP meeting any of the criteria in Sec. 10638(4)(A)(i)-(ix) of the CHIPS and Science Act of 2022.</p>	<p>No indicator(s) that the covered individual is receiving or has received funding from an FCOC or an FCOC-connected entity.</p>	<p>All patent application(s) or patent(s), resulting from research funded by the USG, have been filed in the U.S. prior to filing in any other country.</p>	<p>No indicator(s) of any association or affiliation with an entity on: the U.S. BIS Entity List, the Annex of EO 14032, or superseding EOs, Sec. 1260H of the NDAA for FY 2021, Sec. 1286 of the NDAA for FY 2019, as amended, and no indicator(s) of publication in S&E journals co-authored with an individual on the U.S. BIS Denied Persons List.</p>

Note 1: The level of mitigation needed is elevated if any of the disclosed or identified indicators occurred after the signing of the CHIPS and Science Act of 2022.

Note 2: An indicator may reveal or acknowledge undue foreign influence. Examples include foreign funding or foreign affiliations revealed in proposal disclosures, publications, curriculum vitae (CV), institution website announcements, or social media posts.

Note 3: Participation may be identified by a contract between the covered individual and an FTRP, reported by the covered individual in the fundamental research project proposal or on a CV or resume, or identification in an acknowledgement in a publication listing the covered individual and an FTRP.

Note 4: An addition to the U.S. BIS Entity List is active on or after the Federal Register citation date provided on the U.S. BIS Entity List.

Note 5: EO 14032, "Addressing the Threat from Securities Investments That Finance Certain Companies of the People's Republic of China," dated June 3, 2021 (superseding EO 13959) bans new U.S. investment in of certain communist military companies (CCMCs). The DoD maintains and updates lists of CCMCs for the purposes of compliance with EO 14032.

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FY22 Lists Published in Response to Section 1286 of the John S. McCain National Defense Authorization Act for Fiscal Year 2019 (Public Law 115-232), as amended

Table 1: List of Institutions of the People's Republic of China, Russian Federation, and other Countries with Specified Characteristics

Academy of Military Medical Sciences (AMMS)
Academy of Military Medical Sciences, Field Blood Transfusion Institution
Academy of Military Medical Sciences, Institute of Basic Medicine
Academy of Military Medical Sciences, Institute of Bioengineering
Academy of Military Medical Sciences, Institute of Disease Control and Prevention a.k.a. <ul style="list-style-type: none"> • Disease Control and Prevention Institute
Academy of Military Medical Sciences, Institute of Health Service and Medical Information
Academy of Military Medical Sciences, Institute of Hygiene and Environmental Medicine
Academy of Military Medical Sciences, Institute of Medical Equipment
Academy of Military Medical Sciences, Institute of Microbiology and Epidemiology a.k.a. <ul style="list-style-type: none"> • Institute of Microbial Epidemiology
Academy of Military Medical Sciences, Institute of Radiation and Radiation Medicine a.k.a. <ul style="list-style-type: none"> • Institute of Radiation and Radiation Medicine • Institute of Electromagnetic and Particle Radiation Medicine
Academy of Military Medical Sciences, Institute of Toxicology and Pharmacology a.k.a. <ul style="list-style-type: none"> • Institute of Toxicology and Drugs
Academy of Military Medical Sciences, Military Veterinary Research Institute
Beijing Aeronautical Manufacturing Technology Research Institute (BAMTRI) a.k.a. <ul style="list-style-type: none"> • Aviation Industry Corporation of China's (AVIC) Institute 625
Beijing Computational Science Research Center (BCSRC) a.k.a. <ul style="list-style-type: none"> • Beijing Computing Science Research Center • CSRC
Beijing Institute of Technology
Beijing University of Aeronautics and Astronautics (BUAA) a.k.a. <ul style="list-style-type: none"> • Beihang University
Beijing University of Posts and Telecommunications (BUPT)
Center for High Pressure Science and Technology Advanced Research (HPSTAR) a.k.a. <ul style="list-style-type: none"> • Beijing High Voltage Research Center

Chinese Academy of Engineering Physics (CAEP) a.k.a. <ul style="list-style-type: none">• Ninth Academy• Southwest Computing Center• Southwest Institute of Applied Electronics• Southwest Institute of Chemical Materials• Southwest Institute of Electronic Engineering• Southwest Institute of Environmental Testing• Southwest Institute of Explosives and Chemical Engineering• Southwest Institute of Fluid Physics• Southwest Institute of General Designing and Assembly• Southwest Institute of Machining Technology• Southwest Institute of Materials• Southwest Institute of Nuclear Physics and Chemistry (a.k.a., China Academy of Engineering Physics (CAEP) 902 Institute)• Southwest Institute of Research and Applications of Special Materials Factory• Southwest Institute of Structural Mechanics• The High Power Laser Laboratory, Shanghai• The Institute of Applied Physics and Computational Mathematics, Beijing• 901 Institute
Chinese Academy of Sciences - Shenyang Institute of Automation
Federal Research Center Boreskov Institute of Catalysis
Federal State Budgetary Institution of Science P.I.K.A. Valiev RAS of the Ministry of Science and Higher Education of Russia a.k.a. <ul style="list-style-type: none">• FTIAN IM K.A.Valiev RAS• FTI RAS• FTIAN
Harbin Engineering University
Harbin Institute of Technology
Hefei National Laboratory for Physical Sciences at the Microscale
Institute of High Energy Physics (IHEP) a.k.a. <ul style="list-style-type: none">• Kurchatovskiy Institute ITEF
Institute of Solid-State Physics of the Russian Academy of Sciences (ISSP) a.k.a. <ul style="list-style-type: none">• Institute of Solid-State Physics of the Academy of Sciences SSSR• Federal State Budgetary Institution of Science Institute of Solid-State Physics N.A. Yu. A. Osipyanof the Russian Academy of Sciences
Mabna Institute
Moscow Institute of Physics and Technology (MIPT) a.k.a. <ul style="list-style-type: none">• MFTI

<p>Moscow Order of the Red Banner of Labor Research Radio Engineering Institute JSC a.k.a.</p> <ul style="list-style-type: none"> • MNIRTI JSC
<p>Nanjing University of Aeronautics and Astronautics</p>
<p>Nanjing University of Science and Technology</p>
<p>National University of Defense Technology (NUDT) a.k.a.</p> <ul style="list-style-type: none"> • Central South CAD Center • CSCC • Hunan Guofang Keji University
<p>Northwestern Polytechnical University a.k.a.</p> <ul style="list-style-type: none"> • Northwestern Polytechnic University • Northwest Polytechnic University • Northwest Polytechnical University
<p>Ocean University of China</p>
<p>Rzhanov Institute of Semiconductor Physics, Siberian Branch of Russian Academy of Sciences a.k.a.</p> <ul style="list-style-type: none"> • IPP SB RAS • Institute of Semiconductor Physics IM A.V. Rzhanov
<p>Sichuan University</p>
<p>Sun Yat-Sen University</p>
<p>Tactical Missile Corporation, Concern “MPO—Gidropribor” a.k.a.</p> <ul style="list-style-type: none"> • Joint Stock Company Concern Sea Underwater Weapons Gidropribor • Research Institute “Gidpropridor”
<p>Tactical Missile Corporation, Joint Stock Company GosNIIMash a.k.a.</p> <ul style="list-style-type: none"> • PPORosprofprom V “GOSNIIMASH” • State Research Institute of Mechanical Engineering • Pervichnaya Profsoyuznaya Organizatsiya Rossiskogo Profsoyuza Rabotnikov Promyshlennosti V • “GOSNIIMASH” • Joint Stock Company “State Research Institute of Mechanical Engineering” named after “V.V.Bakhirev” • SKB DNIKhTI
<p>Tianjin University</p>
<p>University of Electronic Science and Technology of China</p>

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Table 2: Foreign Talent Programs that Pose a Threat to National Security Interests of the United States

Changjiang Scholar Distinguished Professorship
Hundred Talents Plan
Pearl River Talent Program
Project 5-100
River Talents Plan
Thousand Talents Plan
Any program that meets one of the criteria contained in Section 10638 (4)(A) and either Section 10638 (4)(B)(i) or (ii) in the CHIPS and Science Act