

**Research
Security**

Essential Terminology Guide



Research
Security

Essential Terminology Guide

An easy-access glossary/
dictionary for the research
security community.

Disclaimer

The purpose of this resource is to provide easy access to terminology and is not intended as official policy or guidance, nor as a resource for compliance or implementation. The research security community should refer to their institution's processes and policies when utilizing this resource. This resource is the property of NSF SECURE Center.

How Definitions are Structured

1 Term or Phrase

2 *Definition 1*

Some terms used throughout research security hold multiple meanings. These meanings are generated either by the policies from which they originate or the various disciplines that have historically interpreted and employed them.

3 Definition 2, etc.

Multiple definitions are included for some terms or phrases.

4 Source Documentation

Each term or phrase is accompanied by its source documentation and a link to that document

Index

Click on a letter or number range to navigate directly to terms within that range.

Click on the home icon on any page to return to this index.



1 - 0

A - E

F - J

K - O

P - T

U - Z

1-0





1260H

Definition

Entities Identified as Chinese Military Companies Operating in the United States in Accordance with Section 1260H of the William M. (“Mac”) Thornberry National Defense Authorization Act for Fiscal Year 2021.*

Source Documentation

<https://media.defense.gov/2025/Jan/07/2003625471/-1/-1/1/ENTITIES-IDENTIFIED-AS-CHINESE-MILITARY-COMPANIES-OPERATING-IN-THE-UNITED-STATES.PDF>

*This list is updated periodically by the Department of Defense.

1286

Definition

The list of foreign institutions engaging in problematic activity as described in Section 1286, as amended, of the National Defense Authorization Act for Fiscal Year 2019.*

Source Documentation

https://basicresearch.defense.gov/Portals/61/Documents/Academic%20Research%20Security%20Page/FY24%20Section%201286%20List%20for%20public%20release_V2.pdf?ver=KqtK4tL1wLD0Uwe2yxWHSw%3d%3d

*This list is updated periodically by the Department of Defense.

A-E





Affiliation

Definition 1

Academic (not including undergraduate or graduate students), professional, or institutional appointments or positions with a foreign government or a foreign government-connected entity, whether full- time, part-time, or voluntary (including adjunct, visiting, post-doctoral appointment, or honorary).

Source Documentation

<https://basicresearch.defense.gov/Portals/61/Documents/Academic%20Research%20Security%20Page/2025%20DoD%20Decision%20Matrix%20to%20Inform%20Fundamental%20Research%20Risk%20Decisions.pdf?ver=hctETzFX-Om9ZgmYEVQGwQ%3D%3D>

Definition 2

The university or institution to which an author belongs or where authors have conducted a major part of the research that is discussed in their paper.

Source Documentation

<https://researcher.life/blog/article/author-affiliations-in-research-papers/#::-text=In%20academic%20publishing%2C%20an%20affiliation,may%20have%20no%20such%20restrictions>

Applied Research

Definition 1

Original scientific investigation undertaken in order to acquire new knowledge and directed primarily towards a specific practical aim or objective.

Source Documentation

<https://basicresearch.defense.gov/Portals/61/Documents/Academic%20Research%20Security%20Page/2025%20DoD%20Decision%20Matrix%20to%20Inform%20Fundamental%20Research%20Risk%20Decisions.pdf?ver=hctETzFX-Om9ZgmYEVQGwQ%3D%3D>

Definition 2

Applied research is original investigation undertaken in order to acquire new knowledge. It is directed primarily towards a specific, practical aim or objective.

Source Documentation

<https://nces.nsf.gov/surveys/higher-education-research-development/2023/questionnaires>



Appropriation

Definition

A law of Congress that provides an agency with budget authority. An appropriation allows the agency to incur obligations and to make payments from the U.S. Treasury for specified purposes. Appropriations are definite (a specific sum of money) or indefinite (an amount for “such sums as may be necessary”).

Source Documentation

[https://www.house.gov/the-house-explained/open-government/statement-of-disbursements/glossary-of-terms#:~:text=Appropriation%3A%20A%20law%20of%20Congress.as%20may%20be%20necessary%22\),](https://www.house.gov/the-house-explained/open-government/statement-of-disbursements/glossary-of-terms#:~:text=Appropriation%3A%20A%20law%20of%20Congress.as%20may%20be%20necessary%22),)

Basic Research

Definition 1

Experimental or theoretical work undertaken primarily to acquire new knowledge of the underlying foundations of phenomena and observable facts.

Source Documentation

<https://basicresearch.defense.gov/Portals/61/Documents/Academic%20Research%20Security%20Page/2025%20DoD%20Decision%20Matrix%20to%20Inform%20Fundamental%20Research%20Risk%20Decisions.pdf?ver=hctFTzFX-Om9ZgmYEVQGwQ%3D%3D>

Definition 2

Basic research is experimental or theoretical work undertaken primarily to acquire new knowledge of the underlying foundations of phenomena and observable facts, without any particular application or use in view.

Source Documentation

<https://nces.nsf.gov/surveys/higher-education-research-development/2023#questionnaires>



Carnegie Classification

Definition

The Carnegie Classification® is the leading framework for recognizing and describing institutional diversity in U.S. higher education. In 1970, the Carnegie Commission on Higher Education began developing a classification of colleges and universities to support its program of research and policy analysis. The framework was first published in 1973 and is now updated every 3 years to reflect changes among colleges and universities.

Source Documentation

<https://carnegieclassifications.acenet.edu/>

CHIPS and Science Act

Definition

[A] legislative act that provides funds to support the domestic production of semiconductors and authorizes various programs and activities of the federal science agencies.

Source Documentation

<https://www.congress.gov/117/plaws/publ167/PLAW-117publ167.pdf>



CHIPS and Science Act Research Security Provisions

Definition

A list of provisions detailing funding agency and research organization expectations for handling research security.

Source Documentation

<https://www.congress.gov/117/plaws/publ167/PLAW-117publ167.pdf>

Code of Federal Regulations (CFR)

Definition

The Code of Federal Regulations (CFR) is the official legal print publication containing the codification of the general and permanent rules published in the Federal Register by the departments and agencies of the Federal Government.

Source Documentation

<https://www.ecfr.gov/>



Compliance

Definition

The act of obeying a law or rule, especially one that controls a particular industry or type of work.

Source Documentation

<https://dictionary.cambridge.org/us/dictionary/english/compliance>

Conflict of Commitment

Definition

A situation in which an individual accepts or incurs conflicting obligations between or among multiple employers or other entities. Many organizational policies define conflicts of commitment as conflicting commitments of time and effort, including obligations to dedicate time in excess of organizational or research agency policies or commitments. Other types of conflicting obligations, including obligations to improperly share information with, or to withhold information from, an employer or research agency, can also threaten research security and integrity, and are an element of a broader concept of conflicts of commitment used in this document.

Source Documentation

<https://bidenwhitehouse.archives.gov/wp-content/uploads/2022/01/010422-NSPM-33-Implementation-Guidance.pdf>



Conflict of Interest (COI)

Definition 1

A situation in which an individual, or the individual's spouse or dependent children, has a significant financial interest, or financial relationship that could directly and significantly affect the design, conduct, reporting, or funding of research.

Source Documentation

<https://bidenwhitehouse.archives.gov/wp-content/uploads/2022/01/010422-NSPM-33-Implementation-Guidance.pdf>

Definition 2

A conflict of interest is a clash between an official's concern for the public interest and his or her private interests or allegiances.

Source Documentation

<https://nsf.gov-resources.nsf.gov/pubs/manuals/manual15.pdf>



Controlled Unclassified Information (CUI)

Definition 1

Information that requires safeguarding or dissemination controls consistent with applicable laws, regulations, and Government-wide policies, but is not classified.

Source Documentation

<https://bidenwhitehouse.archives.gov/wp-content/uploads/2022/01/010422-NSPM-33-Implementation-Guidance.pdf>

Definition 2

Controlled Unclassified Information (CUI) is information that requires safeguarding or dissemination controls pursuant to and consistent with applicable law, regulations, and government-wide policies but is not classified.

Source Documentation

<https://www.ftc.gov/policy-notice/controlled-unclassified-information>



Covered Individual

Definition 1

An individual who **(a)** contributes in a substantive, meaningful way to the scientific development or execution of a research and development project proposed to be carried out with a research and development award from a Federal research agency; and **(b)** is designated as a covered individual by the Federal research agency concerned. Consistent with NSPM-33, this means principal investigators (PIs) and other senior/key person seeking or receiving Federal research and development funding (i.e., extramural funding) and researchers at Federal agency laboratories and facilities (i.e., intramural researchers, whether or not federally employed), including Government-owned, contractor-operated laboratories and facilities.

Source Documentation

<https://bidenwhitehouse.archives.gov/wp-content/uploads/2022/01/010422-NSPM-33-Implementation-Guidance.pdf>

Definition 2

An individual at an extramural research institution who, as designated by the extramural research institution, contributes significantly to the design or execution of a research and development project that is funded, in whole or in part, by the DoD, and who is considered essential to the successful performance of the research and development project. Covered individuals include those listed as key personnel in fundamental research project proposals (e.g., the principal investigator or co-principal investigator).

Source Documentation - Definition 2

<https://basicresearch.defense.gov/Portals/61/Documents/Academic%20Research%20Security%20Page/2025%20DoD%20Decision%20Matrix%20to%20Inform%20Fundamental%20Research%20Risk%20Decisions.pdf?ver=hctFTzFX-Om9ZgmYEVQGwQ%3D%3D>

Definition 3

An individual who **(a)** contributes in a substantive, meaningful way to the development or execution of the scope of work of a project funded by DOE or proposed for funding by DOE, and **(b)** is designated as a covered individual by DOE.

Source Documentation - Definition 3

https://www.energy.gov/sites/default/files/2024-10/FAL25-02%20Research%20Security%20Training%20Requirements%20%28CHIPS%29_0.pdf



Covered Institution

Definition

NSPM-33 directs federal research agencies to require that participants in the U.S. R&D enterprise receiving federal science and engineering support “in excess of \$50 million per year” certify* to the funding agency that the institution has established and operates a research security program. For purposes of this guidance, a participant in the U.S. R&D enterprise is a “covered institution” if and only if **(A)** it is an institution of higher education, a federally funded research and development center (FFRDC), or a nonprofit research institution; and **(B)** it receives in excess of \$50 million per year, under **(1)** the three-year average of federal R&D obligations provided to participants in the U.S. R&D enterprise as reported in the most recent version of the Survey of Federal Science and Engineering Support to Universities, Colleges, and Nonprofit Institutions; or **(2)** the three-year average of federal R&D obligations to FFRDCs as provided in the most recent versions of the Survey of Federal Funds for Research and Development.

Source Documentation

[OSTP-RSP Guidelines Memo](#)

* <https://bidenwhitehouse.archives.gov/wp-content/uploads/2024/07/OSTP-RSP-Guidelines-Memo.pdf>



Current and Pending (other) Support

Definition

(a) All resources made available, or expected to be made available, to an individual in support of the individual's research and development efforts, regardless of **(i)** whether the source is foreign or domestic; **(ii)** whether the resource is made available through the entity applying for a research and development award or directly to the individual; or **(iii)** whether the resource has monetary value; and **(b)** includes in-kind contributions requiring a commitment of time and directly supporting the individual's research and development efforts, such as the provision of office or laboratory space, equipment, supplies, employees, or students. This term has the same meaning as the term Other Support as applied to researchers in NSPM-33.

For researchers, Other Support includes all resources made available to a researcher in support of and/or related to all of their professional R&D efforts, including resources provided directly to the individual rather than through the research organization, and regardless of whether or not they have monetary value (e.g., even if the support received is only in-kind, such as office/laboratory space, equipment, supplies, or employees). This includes resource and/or financial support from all foreign and domestic entities, including but not limited to, financial support for laboratory personnel, and participation of student and visiting researchers supported by other sources of funding.

Source Documentation

<https://bidenwhitehouse.archives.gov/wp-content/uploads/2022/01/010422-NSPM-33-Implementation-Guidance.pdf>



Deemed Export

Definition

Releasing or otherwise transferring “technology” or source code (but not object code) to a foreign person in the United States (a “deemed export”)

Source Documentation

<https://www.ecfr.gov/current/title-15/subtitle-B/chapter-VII/subchapter-C/part-734/section-734.13>

Denied Persons List

Definition

The Denied Persons List (DPL) provides the names of parties that have been denied export privileges in accordance with the Export Administration Regulations (EAR), parts 764 and 766. It includes information about for how long any portion of the denial of export privileges is suspended for individuals, companies, and organizations that are prohibited from participating in specified activity subject to the EAR, such as exporting, reexporting, or receiving exports of items from the United States.

Source Documentation

<https://www.bis.gov/licensing/end-user-guidance/denied-persons-list-dpl>



Digital Persistent Identifier (DPID)

Definition

See "PID"

Source Documentation

<https://bidenwhitehouse.archives.gov/wp-content/uploads/2022/01/010422-NSPM-33-Implementation-Guidance.pdf>

Disclosure

Definition

The act of making something known or the fact that is made known.

Source Documentation

<https://dictionary.cambridge.org/us/dictionary/english/compliance>



Dual Use Research of Concern (DURC)

Definition

Life sciences research that, based on current understanding, can be reasonably anticipated to provide knowledge, information, products, or technologies that could be directly misapplied to pose a significant threat with broad potential consequences to public health and safety, agricultural crops and other plants, animals, the environment, materiel, or national security.

Source Documentation

<https://aspr.hhs.gov/53/Documents/durc-policy.pdf>



Electronic Code of Federal Regulations (eCFR)

Definition

The Electronic Code of Federal Regulations (eCFR) is a continuously updated online version of the CFR. It is not an official legal edition of the CFR.

Source Documentation

<https://www.ecfr.gov/>

Emerging Research Institution (ERI)

Definition

An Emerging Research Institution is an institution of higher education with an established undergraduate or graduate program that has less than \$50M* in Federal research expenditures.

Source Documentation

<https://uscode.house.gov/view.xhtml?req=granuleid:USC-prelim-title42-section18901&num=0&edition=prelim>

* NSPM-33 requires a certification from research organizations awarded in excess of \$50 million per year in total Federal research funding that they have implemented a research security program" from NSPM 33: <https://bidenwhitehouse.archives.gov/wp-content/uploads/2022/01/010422-NSPM-33-Implementation-Guidance.pdf>



Entity

Definition 1

The term “entity” means an entity that has applied for or received a research and development award from a Federal research agency.

Source Documentation - Definition 2

<https://www.congress.gov/116/bills/hr6395/BILLS-116hr6395enr.pdf>

Definition 2

An organization, including government organizations, non-governmental organizations, and private corporations, whether foreign or domestic.

Source Documentation

<https://basicresearch.defense.gov/Portals/61/Documents/Academic%20Research%20Security%20Page/2025%20DoD%20Decision%20Matrix%20to%20Inform%20Fundamental%20Research%20Risk%20Decisions.pdf?ver=hctFTzFX-Om9ZgmYEVQGwQ%3D%3D>

Entity in a Non-Foreign Country of Concern

Definition

An organization, including government organizations, non-government organizations, and private corporations, incorporated in a non-foreign country of concern or physically located in a non-foreign country of concern.

Source Documentation

<https://basicresearch.defense.gov/Portals/61/Documents/Academic%20Research%20Security%20Page/2025%20DoD%20Decision%20Matrix%20to%20Inform%20Fundamental%20Research%20Risk%20Decisions.pdf?ver=hctFTzFX-Om9ZgmYEVQGwQ%3D%3D>



Entity of Concern/Foreign Entity of Concern

Definition

As defined in section 10638(3) of the CHIPS and Science Act of 2022 (Public Law 117-167), a foreign entity that is:

Designated as a foreign terrorist organization by the Secretary of State under section 219(a) of the Immigration and Nationality Act (8 United States Code (U.S.C.) 1189(a));

Included on the list* of specially designated nationals and blocked persons maintained by the Office of Foreign Assets Control of the Department of the Treasury (commonly known as the SDN List);

Owned by, controlled by, or subject to the jurisdiction or direction of a government of a foreign country that is a covered nation (as such term is defined in section 4872 of Title 10, United States Code);

Alleged by the Attorney General to have been involved in activities for which a conviction was obtained under:

- Chapter 37 of title 18, U.S.C. (commonly known as the Espionage Act
- Section 951 or 1030 of title 18, U.S.C.;
- Chapter 90 of Title 18, U.S.C. (commonly known as the Economic Espionage Act of 1996);
- The Arms Export Control Act (22 U.S.C. 2751 et seq.);
- Section 224, 225, 226, 227, or 236 of the Atomic Energy Act of 1954 (42 U.S.C. 2274, 2275, 2276, 2277, and 2284);
- The Export Control Reform Act of 2018 (50 U.S.C. 4801 et seq.); or
- The International Emergency Economic Powers Act (50 U.S.C. 1701 et seq.); or

Determined by the Secretary of Commerce, in consultation with the Secretary of Defense and the Director of National Intelligence, to be engaged in unauthorized conduct that is detrimental to the national security or foreign policy of the United States.

Source Documentation

<https://basicresearch.defense.gov/Portals/61/Documents/Academic%20Research%20Security%20Page/2025%20DoD%20Decision%20Matrix%20to%20Inform%20Fundamental%20Research%20Risk%20Decisions.pdf?ver=hctF1zFX-Om9ZgmYEVQGwQ%3D%3D>

<https://www.nsf.gov/research-security/person-or-entity-concern-prohibition>

<https://uscode.house.gov/view.xhtml?req=granuleid:USC-prelim-title42-section19235&num=0&edition=prelim>



Entity List

Definition

The Entity List (supplement no. 4 to this part) identifies persons or addresses of persons reasonably believed to be involved, or to pose a significant risk of being or becoming involved, in activities contrary to the national security or foreign policy interests of the United States. The entries are added to the Entity List pursuant to sections of part 744 (Control Policy: End-User and End-Use Based) and part 746 (Embargoes and Other Special Controls) of the EAR.

Source Documentation

<https://www.bis.gov/entity-list>

Established Program to Stimulate Competitive Research (EPSCOR)

Definition

The U.S. National Science Foundation EPSCoR program pursues a mission to enhance the research competitiveness of targeted jurisdictions (state, territory or commonwealth) by strengthening science, technology, engineering and mathematics (STEM) capacity and capability through a diverse portfolio of investments from talent development to local infrastructure. The EPSCoR program envisions its jurisdictions as recognized contributors to the national and global STEM research enterprise.

Source Documentation

<https://www.nsf.gov/funding/initiatives/epscor>



Export Control (EC)

Definition

[Export controls are] through the Arms Export Control Act (AECA), the International Emergency Economic Powers Act (IEEPA), the Export Controls Act of 2018 (ECA), and other authorities, the United States [restrictions upon] the export of defense articles; dual-use goods and technology; certain nuclear materials and technology; and items that would assist in the proliferation of nuclear, chemical, and biological weapons or the missile technology used to deliver them.

U.S. export controls are also used to restrict exports to certain countries on which the United States imposes economic sanctions. The ECA legislates dual-use controls. The U.S. export control system is diffused among several different licensing and enforcement agencies. Exports of dual-use goods and technologies—as well as some military items—are licensed by the Department of Commerce, munitions are licensed by the Department of State, and restrictions on exports based on U.S. sanctions are administered by the U.S. Department of the Treasury. Administrative enforcement of export controls is conducted by these agencies, while criminal penalties are issued by units of the Department of Homeland Security and the Department of Justice.

Source Documentation

<https://sgp.fas.org/crs/natsec/R41916.pdf>



Experimental Development

Definition

Experimental development is systematic work, drawing on knowledge gained from research and practical experience and producing additional knowledge, which is directed to producing new products or processes or to improving existing products or processes.

Source Documentation

<https://nces.nsf.gov/surveys/higher-education-research-development/2023#questionnaires>

Extramural Research Institution

Definition

Any institution of higher education, independent research institution, Federally Funded Research and Development Center, or any other entity where DoD-funded research and development is conducted. Extramural research institutions do not include DoD laboratories or other laboratories that are owned and operated by the Federal Government.

Source Documentation

<https://basicresearch.defense.gov/Portals/61/Documents/Academic%20Research%20Security%20Page/2025%20DoD%20Decision%20Matrix%20to%20Inform%20Fundamental%20Research%20Risk%20Decisions.pdf?ver=hctFTzFX-Om9ZgmYEVQGwQ%3D%3D>

F-J





F-1 Visa (F1)

Definition

Visas for international students in an academic program, often with a core academic curriculum.

Source Documentation

https://studyinthestates.dhs.gov/sites/default/files/SEVP_F%20vs%20M%20Infographic_Oct2015.pdf

Federal Research Agency

*Definition**

Any Federal department or agency with an annual extramural research expenditure of over \$100,000,000.

* Federal Research Agencies are also known as funding agencies. "Funding agency" is a generalized term for organizations, either public or private, that provide financial support for research projects.

Source Documentation

<https://bidenwhitehouse.archives.gov/wp-content/uploads/2022/01/010422-NSPM-33-Implementation-Guidance.pdf>



Foreign Country of Concern (FCOC)

Definition 1

(A) a country that is a covered nation (as defined in section 4872(d) of title 10 United States Code); and **(B)** any country that the Secretary, in consultation with the Secretary of Defense, the Secretary of State, and the Director of National Intelligence, determines to be engaged in conduct that is detrimental to the national security or foreign policy of the United States.

Source Documentation

<https://www.congress.gov/bill/117th-congress/house-bill/4346/text>

<https://www.federalregister.gov/d/2023-20471/p-202>

Definition 2

The People's Republic of China, the Democratic People's Republic of Korea, the Russian Federation, and the Islamic Republic of Iran.

Source Documentation

<https://basicresearch.defense.gov/Portals/61/Documents/Academic%20Research%20Security%20Page/2025%20DoD%20Decision%20Matrix%20to%20Inform%20Fundamental%20Research%20Risk%20Decisions.pdf?ver=hctFTzFX-Om9ZgmYEVQGwQ%3D%3D>

Foreign Government-Connected Entity

Definition

An organization, including government organizations, non-governmental organizations, and private corporations, owned or operated directly or indirectly by a foreign government.

Source Documentation

<https://basicresearch.defense.gov/Portals/61/Documents/Academic%20Research%20Security%20Page/2025%20DoD%20Decision%20Matrix%20to%20Inform%20Fundamental%20Research%20Risk%20Decisions.pdf?ver=hctFTzFX-Om9ZgmYEVQGwQ%3D%3D>



Foreign Government-Sponsored Talent Recruitment Program (aka FTRP)

Definition 1

Effort organized, managed, or funded by a foreign government, or a foreign government instrumentality or entity, to recruit science and technology professionals or students (regardless of citizenship or national origin, or whether having a full-time or part-time position). Some foreign government-sponsored talent recruitment programs operate with the intent to import or otherwise acquire from abroad, sometimes through illicit means, proprietary technology or software, unpublished data and methods, and intellectual property to further the military modernization goals and/or economic goals of a foreign government. Many, but not all, programs aim to incentivize the targeted individual to relocate physically to the foreign state for the above purpose. Some programs allow for or encourage continued employment at United States research facilities or receipt of Federal research funds while concurrently working at and/or receiving compensation from a foreign institution, and some direct participants not to disclose their participation to United States entities. Compensation could take many forms including cash, research funding, complimentary foreign travel, honorific titles, career advancement opportunities, promised future compensation, or other types of remuneration or consideration, including in-kind compensation.

Source Documentation

<https://bidenwhitehouse.archives.gov/wp-content/uploads/2022/01/010422-NSPM-33-Implementation-Guidance.pdf>

Definition 2

A foreign talent recruitment program is any program, position, or activity that includes compensation in the form of cash, in-kind compensation, including research funding, promised future compensation, complimentary foreign travel, things of non de minimis value, honorific titles, career advancement opportunities, or other types of remuneration or consideration directly provided by a foreign country at any level (national, provincial, or local) or their designee, or an entity based in, funded by, or affiliated with a foreign country, whether or not directly sponsored by the foreign country, to an individual, whether directly or indirectly stated in the arrangement, contract, or other documentation at issue.

Source Documentation

<https://bidenwhitehouse.archives.gov/wp-content/uploads/2024/02/OSTP-Foreign-Talent-Recruitment-Program-Guidelines.pdf>



Foreign Malign Influence (FMI)

Definition

The term “foreign malign influence” means any hostile effort undertaken by, at the direction of, or on behalf of or with the substantial support of, the government of a covered foreign country with the objective of influencing, through overt or covert means:

(A) the political, military, economic, or other policies or activities of the United States Government or State or local governments, including any election within the United States; or

(B) the public opinion within the United States.

Source Documentation

[https://uscode.house.gov/view.xhtml?req=\(title:50%20section:3059%20edition:prelim\)](https://uscode.house.gov/view.xhtml?req=(title:50%20section:3059%20edition:prelim))

Foreign Person

Definition

Any natural person who is not a lawful permanent resident as defined by 8 U.S.C. 1101(a)(20) or who is not a protected individual as defined by 8 U.S.C. 1324b(a)(3). It also means any foreign corporation, business association, partnership, trust, society, or any other entity or group that is not incorporated or organized to do business in the United States, as well as international organizations, foreign governments, and any agency or subdivision of foreign governments (e.g., diplomatic missions).

Source Documentation

<https://www.ecfr.gov/current/title-22/chapter-I/subchapter-M/part-120/subpart-C/section-120.63>



Foreign Talent Recruitment Program (FTRP)*

Definition

Any program, position, or activity that includes compensation in the form of cash, in-kind compensation, including research funding, promised future compensation, complimentary foreign travel, things of non de minimis value, honorific titles, career advancement opportunities, or other types of remuneration or consideration directly provided by a foreign country at any level (national, provincial, or local) or their designee, or an entity based in, funded by, or affiliated with a foreign country, whether or not directly sponsored by the foreign country, to an individual, whether directly or indirectly stated in the arrangement, contract, or other documentation at issue.

Source Documentation

<https://bidenwhitehouse.archives.gov/wp-content/uploads/2024/02/OSTP-Foreign-Talent-Recruitment-Program-Guidelines.pdf>

* View "International Collaboration Activities" for federal guidance on non-prohibited activities according to the CHIPS and Science Act of 2022.



Fundamental Research*

Definition 1

Fundamental research means research in science, engineering, or mathematics, the results of which ordinarily are published and shared broadly within the research community, and for which the researchers have not accepted restrictions for proprietary or national security reasons.

Source Documentation

<https://www.aau.edu/key-issues/nsdd-189-white-house-1985-directive-fundamental-research-exemption>

Definition 2

Basic and applied research in science and engineering, the results of which ordinarily are published and shared broadly within the scientific community, as distinguished from proprietary research and from industrial development, design, production, and product utilization, the results of which ordinarily are restricted for proprietary or national security reasons.

Source Documentation

<https://bidenwhitehouse.archives.gov/wp-content/uploads/2022/01/010422-NSPM-33-Implementation-Guidance.pdf>

*From NSPM-33: "Agencies should not require that research organizations apply the more stringent security protocols appropriate to classified information or CUI to the conduct of fundamental research."

Gift

Definition

Any gratuity, favor, discount, entertainment, hospitality, loan, forbearance, license, special access, equipment time, samples, research data, or other item having monetary value. A gift also includes services as well as gifts of training, transportation, local travel, lodging, meals, research hours, whether provided in-kind, by purchase of a ticket, payment in advance, or reimbursement after the expense has occurred. A gift by definition is given without expectation of anything in return.

Source Documentation

<https://bidenwhitehouse.archives.gov/wp-content/uploads/2022/01/010422-NSPM-33-Implementation-Guidance.pdf>

Government Accountability Office (GAO)



Definition

GAO, often called the “congressional watchdog,” is an independent, non-partisan agency that works for Congress. GAO examines how taxpayer dollars are spent and provides Congress and federal agencies with objective, non-partisan, fact-based information to help the government save money and work more efficiently.

Source Documentation

<https://www.gao.gov/about>

H-1B Visa (H1B)

Definition

This nonimmigrant classification applies to people who wish to perform services in a specialty occupation, services of exceptional merit and ability relating to a Department of Defense (DOD) cooperative research and development project, or services as a fashion model of distinguished merit or ability.

Source Documentation

<https://www.uscis.gov/working-in-the-united-states/h-1b-specialty-occupations>



Historically Black Colleges and Universities (HBCU)

Definition

Institutions that were established prior to 1964 with the principal mission of educating Black Americans. These institutions were founded and developed in an environment of legal segregation and, by providing access to higher education, they contributed substantially to the progress Black Americans made in improving their status.

Source Documentation

<https://nces.ed.gov/fastfacts/display.asp?id=667>

Honorarium

Definition

A payment of money or anything of value for an appearance, speech, article, or other form of compensation or award.

Source Documentation

<https://bidenwhitehouse.archives.gov/wp-content/uploads/2022/01/010422-NSPM-33-Implementation-Guidance.pdf>



In-Kind Contribution

Definition

[Are] contributions with an estimated dollar value of \$5000 or more and that require a commitment of the individual's time. An in-kind contribution is a non-cash contribution provided by an external entity that directly supports the individuals' research and development efforts. An in-kind contribution may include but is not limited to: real property; laboratory space; equipment; data or data sets; supplies; other expendable property; goods and services; employee or student resources. In-kind contributions with an estimated value of less than \$5000 need not be reported.

Source Documentation - Definition 1

https://nsf.gov/resources/nsf.gov/files/draftpappg_dec2024.pdf

Insider Threat

Definition

The potential for an insider to use their authorized access or understanding of an organization to harm that organization. This harm can include malicious, complacent, or unintentional acts that negatively affect the integrity, confidentiality, and availability of the organization, its data, personnel, or facilities.

Source Documentation

<https://bidenwhitehouse.archives.gov/wp-content/uploads/2022/01/010422-NSPM-33-Implementation-Guidance.pdf>

<https://www.ecfr.gov/current/title-32/subtitle-A/chapter-I/subchapter-D/part-117/section-117.8>



Insider Threat/Insider Risk

Definition 1

The potential for an insider to use their authorized access or understanding of an organization to harm that organization. This harm can include malicious, complacent, or unintentional acts that negatively affect the integrity, confidentiality, and availability of the organization, its data, personnel, or facilities.

Source Documentation

<https://bidenwhitehouse.archives.gov/wp-content/uploads/2022/01/010422-NSPM-33-Implementation-Guidance.pdf>

<https://www.ecfr.gov/current/title-32/subtitle-A/chapter-I/subchapter-D/part-117/section-117.8>

Definition 2

Insider threat means the likelihood, risk, or potential that an insider will use his or her authorized access, wittingly or unwittingly, to do harm to the national security of the United States. Insider threats may include harm to contractor or program information, to the extent that the information impacts the contractor or agency's obligations to protect classified NSI.

Source Documentation

<https://www.federalregister.gov/documents/2020/12/21/2020-27698/national-industrial-security-program-operating-manual-nispom>



Institution of Higher Education (IHE)

Definition

An educational institution in any State that:

- (1) admits as regular students only persons having a certificate of graduation from a school providing secondary education, or the recognized equivalent of such a certificate;
- (2) is legally authorized within such State to provide a program of education beyond secondary education;
- (3) provides an educational program for which the institution awards a bachelor's degree or provides not less than a 2-year program that is acceptable for full credit toward such a degree;
- (4) is a public or other nonprofit institution; and
- (5) is accredited by a nationally recognized accrediting agency or association, or if not so accredited, is an institution that has been granted preaccreditation status by such an agency or association that has been recognized by the Secretary for the granting of preaccreditation status, and the Secretary has determined that there is satisfactory assurance that the institution will meet the accreditation standards of such an agency or association within a reasonable time.

Source Documentation

<https://uscode.house.gov/view.xhtml?req=granuleid:USC-1999-title20-section1001&num=0&edition=1999>



International Collaboration Activities

Definition

Consistent with Section 10632(d) of the CHIPS and Science Act of 2022, International Collaboration Activities [are not prohibited] , so long as the activity is not funded, organized, or managed by an academic institution or a foreign talent recruitment program on the lists developed under paragraphs (8) and (9) of Section 1286(c) of the John S. McCain National Defense Authorization Act for Fiscal Year 2019 (10 U.S.C. 4001 note; Public Law 115-232) [and are defined as:]

1. Making scholarly presentations and publishing written materials regarding scientific information not otherwise controlled under current law;
2. Participating in international conferences or other international exchanges, research projects or programs that involve open and reciprocal exchange of scientific information, and which are aimed at advancing international scientific understanding and not otherwise controlled under current law;
3. Advising a foreign student enrolled at an institution of higher education or writing a recommendation for such a student, at such student's request; and
4. Engaging in the following international activities:
 - a. Activities that are partly sponsored or otherwise supported by the United States such as serving as a government appointee to the board of a joint scientific fund (e.g., the U.S.- Israel Binational Industrial Research and Development Foundation); providing advice to or otherwise participating in international technical organizations, multilateral scientific organizations, and standards setting bodies (e.g., the International Telecommunications Union, Intergovernmental Panel on Climate Change, etc.); participating in a Fulbright Commission program funded in whole or in part by a host country government; or other routine international scientific exchanges and interactions such as providing invited lectures or participating in international peer review panels.



- b. Involvement in national or international academies or professional societies that produce publications in the open scientific literature that are not in conflict with the interests of the federal research agency (e.g., membership in the Pontifical Academy of Sciences or The Royal Society).
- c. Taking a sabbatical, serving as a visiting scholar, or engaging in continuing education activities such as receiving a doctorate or professional certification at an institution of higher education (e.g., the University of Oxford, McGill University) that are not in conflict with the interests of the federal research agency.
- d. Receiving awards for research and development which serve to enhance the prestige of the federal research agency (e.g., the Nobel Prize).
- e. Other international activities determined appropriate by the federal research agency head or designee.

Source Documentation

<https://www.congress.gov/bill/117th-congress/house-bill/4346>

<https://bidenwhitehouse.archives.gov/wp-content/uploads/2024/02/OSTP-Foreign-Talent-Recruitment-Program-Guidelines.pdf>



International Traffic in Arms Regulations (ITAR)

Definition

The International Traffic in Arms Regulations (ITAR) is a set of United States Government regulations on the export and import of defense-related articles and services. In a global marketplace, many U.S. prime contractors are requiring their suppliers to be “ITAR compliant.” In order to be ITAR compliant, you must register with the Directorate of Defense Trade Controls (DDTC).

Source Documentation

<https://www.bis.doc.gov/index.php/documents/technology-evaluation/781-export-licensing/file>

J-1 Visa (J1)

Definition

The J-1 exchange visitor visa is for foreign nationals who have been approved to take part in work-and-study-based exchange programs. Examples include visiting scholars, camp counselors, au pairs, and research assistants.

Source Documentation

<https://www.usa.gov/student-visa>

<https://travel.state.gov/content/travel/en/us-visas/study/exchange.html>



K-0





M-1 Visa (M1)

Definition

Are in a vocational program, typically without a core academic curriculum.

Source Documentation

https://studyinthestates.dhs.gov/sites/default/files/SEVP_F%20vs%20M%20Infographic_Oct2015.pdf



Malign Foreign Talent Recruitment Program (MFTRP)*

Definition

As defined in section 10638(4) of the CHIPS and Science Act of 2022 (Public Law 117-167), the term “malign foreign talent recruitment program” means:

(A) Any program, position, or activity that includes compensation in the form of cash, in-kind compensation, including research funding, promised future compensation, complimentary foreign travel, things of non de minimis value, honorific titles, career advancement opportunities, or other types of remuneration or consideration directly provided by a foreign country at any level (national, provincial, or local) or their designee, or an entity based in, funded by, or affiliated with a foreign country, whether or not directly sponsored by the foreign country, to the targeted individual, whether directly or indirectly stated in the arrangement, contract, or other documentation at issue, in exchange for the individual:

- i. Engaging in the unauthorized transfer of intellectual property, materials, data products, or other nonpublic information owned by a United States entity or developed with a Federal research and development award to the government of a foreign country or an entity based in, funded by, or affiliated with a foreign country regardless of whether that government or entity provided support for the development of the intellectual property, materials, or data products;
- ii. Being required to recruit trainees or researchers to enroll in such program, position, or activity;
- iii. Establishing a laboratory or company, accepting a faculty position, or undertaking any other employment or appointment in a foreign country or with an entity based in, funded by, or affiliated with a foreign country if such activities are in violation of the standard terms and conditions of a Federal research and development award;
- iv. Being unable to terminate the foreign talent recruitment program contract or agreement except in extraordinary circumstances;



- v. Through funding or effort related to the foreign talent recruitment program, being limited in the capacity to carry out a research and development award or required to engage in work that would result in substantial overlap or duplication with a Federal research and development award;
- vi. Being required to apply for and successfully receive funding from the sponsoring foreign government's funding agencies with the sponsoring foreign organization as the recipient;
- vii. Being required to omit acknowledgment of the recipient institution with which the individual is affiliated, or the Federal research agency sponsoring the research and development award, contrary to the institutional policies or standard terms and conditions of the Federal research and development award;
- viii. Being required to not disclose to the Federal research agency or employing institution the participation of such individual in such program, position, or activity; or
- ix. Having a conflict of interest or conflict of commitment contrary to the standard terms and conditions of the Federal research and development award; and

(B) A program that is sponsored by:

- i. A foreign country of concern or an entity based in a foreign country of concern, whether or not directly sponsored by the foreign country of concern;
- ii. An academic institution on the list developed under section 1286(c)(8) of the John S. McCain NDAA for FY 2019 (10 U.S.C. 2358 note; Public Law 115-232); or
- iii. A foreign talent recruitment program on the list developed under section 1286(c)(9) of the John McCain NDAA for FY 2019 (10 U.S.C. 2358 note; Public Law 115-232).

Source Documentation

<https://www.congress.gov/bill/117th-congress/house-bill/4346>

<https://basicresearch.defense.gov/Portals/61/Documents/Academic%20Research%20Security%20Page/2025%20DoD%20Decision%20Matrix%20to%20Inform%20Fundamental%20Research%20Risk%20Decisions.pdf?ver=hctFtZFX-Om9ZgmYEVQGwQ%3D%3D>

* View "International Collaboration Activities" for federal guidance on non-prohibited activities according to the CHIPS and Science Act of 2022.



Minority-Serving Institution (MSI)

Definition

Universities and colleges that enroll a significant percentage of students from minority groups.

Source Documentation

<https://nces.ed.gov/pubs2008/2008156.pdf>

Mitigation of Research Security Risk

Definition

The action of reducing the severity or the effects of research security risks identified in a fundamental research project proposal. What mitigation is required is a fact-based determination to be made at the program level on a case-by-case basis.

Source Documentation

<https://basicresearch.defense.gov/Portals/61/Documents/Academic%20Research%20Security%20Page/2025%20DoD%20Decision%20Matrix%20to%20Inform%20Fundamental%20Research%20Risk%20Decisions.pdf?ver=hctF7zFX-Om9ZgmYEVQGwQ%3D%3D>



National Defense Authorization Act (NDAA)

Definition 1

[A legislative act that] authorizes appropriations for the acquisition or modification of various military items (such as aircraft, ships, tracked combat vehicles, missiles, and ammunition) and sets policy for certain procurement programs of the Department of Defense (DOD).

Source Documentation

<https://www.congress.gov/bill/118th-congress/house-bill/2670>

Definition 2

[An act of Congress], the National Defense Authorization Act (NDAA) provides authorization of appropriations for the Department of Defense (DOD), nuclear weapons programs of the Department of Energy, and other defense-related activities. In addition to serving as an authorization of appropriations, the NDAA establishes defense policies and restrictions, and addresses organizational administrative matters related to the DOD. Unlike an appropriations bill, the NDAA does not provide budget authority for government activities."

Source Documentation

<https://www.congress.gov/crs-product/IF10515>



National Security Presidential Memorandum (NSPM)

Definition 1

Executive Memoranda are very similar to Executive Orders, except:

- they are not required by law to be printed in the Federal Register; they are not required to cite the President's legal authority (see 1 C.F.R. § 19.1); and the Office of Management and Budget is not required to issue a "Budgetary Impact Statement" on Executive Memoranda.

Source Documentation

<https://guides.loc.gov/executive-orders/order-proclamation-memorandum>

Definition 2

[A "National Security Presidential Memorandum" is a] Presidential directive signed or authorized by the President, but issued through the National Security Council. Presidents have given them different names such as policy directive, homeland security directive, and national security directive. Directives are not required to be published in the Federal Register or the Code of Federal Regulations, and many remain classified.

Source Documentation

[University of Washington Gallagher Law Library](#)



National Security Presidential Memorandum 33 (NSPM-33)

Definition

National Security Presidential Memorandum 33 (NSPM-33) is a directive from the executive branch intended to safeguard the security and integrity of federally funded research. NSPM-33 mandates the establishment of research security programs to protect against foreign government interference and exploitation at research institutions receiving federal funds in excess of \$50 million per year.*

Source Documentation

<https://trumpwhitehouse.archives.gov/presidential-actions/presidential-memorandum-united-states-government-supported-research-development-national-security-policy/>

*NSPM-33 interim implementation guidance was released January 2022, and final implementation guidance was released July 2024.

Non-compliance

Definition

The fact of not obeying a rule or law, especially one that controls a particular industry, or type of work or activity.

Source Documentation

<https://dictionary.cambridge.org/us/dictionary/english/non-compliance?q=noncompliance>



Nonprofit Research Organization

Definition

An organization that is exempt from federal income tax under section 501 (a)* of the Internal Revenue Code and whose mission is to engage in research.

Source Documentation

<https://www.lawinsider.com/dictionary/nonprofit-research-organization>

* [https://uscode.house.gov/view](https://uscode.house.gov/view.xhtml?req=%28%22cross+reference%22%29+AND+%28%28title%3A%2826%29%29%29+AND+body%3A%28)

[xhtml?req=%28%22cross+reference%22%29+AND+%28%28title%3A%2826%29%29%29+AND+body%3A%28](https://uscode.house.gov/view.xhtml?req=%28%22cross+reference%22%29+AND+%28%28title%3A%2826%29%29%29+AND+body%3A%28)

Nondiscrimination

Definition

[Per] Sec. 10637. *Nondiscrimination*. of the CHIPS and Science Act, 2022: Directs Federal research agencies to ensure that research security policies and processes do not lead to the discrimination, targeting, or stigmatization of researchers based on their race, ethnicity, or national origin, consistent with the Civil Rights Act of 1964.*

Source Documentation

<https://www.congress.gov/117/plaws/publ167/PLAW-117publ167.pdf>

*<https://www.eeoc.gov/statutes/title-vii-civil-rights-act-1964>



Other Support (aka Current and Pending Support)

Definition

Other Support includes all resources made available to a researcher in support of and/or related to all of their professional R&D efforts, including resources provided directly to the individual rather than through the research organization, and regardless of whether or not they have monetary value (e.g., even if the support received is only in-kind, such as office/laboratory space, equipment, supplies, or employees). This includes resource and/or financial support from all foreign and domestic entities, including but not limited to, financial support for laboratory personnel, and participation of student and visiting researchers supported by other sources of funding.

Source Documentation

<https://bidenwhitehouse.archives.gov/wp-content/uploads/2022/01/010422-NSPM-33-Implementation-Guidance.pdf>

P-T





Participation in a Malign Foreign Talent Recruitment Program

Definition

Affiliation with or membership in a malign foreign talent recruitment program, including a contractual or other binding agreement between an individual and a malign foreign talent recruitment program; an individual reporting participation in a malign foreign talent program in a research proposal, curriculum vitae, or resume; or an individual's identification in a publication listing the individual and a malign foreign talent recruitment program.

Source Documentation

<https://basicresearch.defense.gov/Portals/61/Documents/Academic%20Research%20Security%20Page/2025%20DoD%20Decision%20Matrix%20to%20Inform%20Fundamental%20Research%20Risk%20Decisions.pdf?ver=hctFTzFX-Om9ZgmYEVQGwQ%3D%3D>

Persistent Identifier (PID)

Definition

A digital identifier that is globally unique, persistent, machine resolvable and processable, and has an associated metadata schema. Consistent with NSPM-33, digital persistent identifiers for individuals are used to disambiguate and identify an individual person.

Source Documentation

<https://bidenwhitehouse.archives.gov/wp-content/uploads/2022/01/010422-NSPM-33-Implementation-Guidance.pdf>



Principal Investigator (PI)

Definition 1

(co) Principal Investigator (PI) -- the individuals designated by the proposing/recipient organization and approved by the Federal research funding agency who contribute in a substantive, meaningful way to the scientific development or execution of a research and development project proposed to be carried out with a research and development award. NSF does not infer any distinction in scientific stature among multiple PIs, whether referred to as PI or co-PI.

Source Documentation

[https://www.nsf.gov/policies/pappg/23-1/ch-2-exhibit-3#:~:text=\(co\)%20Principal%20Investigator%20\(PI,as%20PI%20or%20co%20PI](https://www.nsf.gov/policies/pappg/23-1/ch-2-exhibit-3#:~:text=(co)%20Principal%20Investigator%20(PI,as%20PI%20or%20co%20PI)

Definition 2

The individual(s) designated by the applicant organization/recipient to have the appropriate level of authority and responsibility to direct the project or program to be supported by the award. The applicant organization may designate multiple individuals as program directors/principal investigators (PD/PIs) who share the authority and responsibility for leading and directing the project, intellectually and logistically. When multiple PD/PIs are named, each is responsible and accountable to the official(s) at the applicant organization/recipient, or as appropriate, to a collaborating organization for the proper conduct of the project, program, or activity including the submission of all required reports. The presence of more than one PD/PI on an application or award diminishes neither the responsibility nor the accountability of any individual PD/PI.

Source Documentation

https://grants.nih.gov/grants/policy/nihgps/HTML5/section_1/1.2_definition_of_terms.htm

Definition 3

Principal investigator (PI) refers to the person(s) in charge of a clinical trial or a scientific research grant. The principal investigator prepares and carries out the clinical trial protocol (plan for the study) or research paid for by the grant. The principal investigator also analyzes the data and reports the results of the trial or grant research.

Source Documentation

<https://toolkit.ncats.nih.gov/glossary/principal-investigator/>



Proposing Institution

Definition

An institution of higher education, independent research institution, Federally Funded Research and Development Center, or any other entity that submits a fundamental research project proposal for DoD funding, in whole or in part.

Source Documentation

<https://basicresearch.defense.gov/Portals/61/Documents/Academic%20Research%20Security%20Page/2025%20DoD%20Decision%20Matrix%20to%20Inform%20Fundamental%20Research%20Risk%20Decisions.pdf?ver=hctFTzFX-Om9ZgmYEVQGwQ%3D%3D>

Research 1: Very High Spending and Doctorate Production (R1)

Definition

[An institution of higher education that] on average in a single year, spends at least \$50 million on research & development and award at least 70 research doctorates.

Source Documentation

<https://carnegieclassifications.acenet.edu/carnegie-classification/classification-methodology/2025-research-activity-designations/>



Research 2: High Spending and Doctorate Production (R2)

Definition

[An institution of higher education that] on average in a single year, spends at least \$5 million on research & development and award at least 20 research doctorates.

Source Documentation

<https://carnegieclassifications.acenet.edu/carnegie-classification/classification-methodology/2025-research-activity-designations/>

Research Agency

Definition

See Federal Research Agency.

Source Documentation

<https://bidenwhitehouse.archives.gov/wp-content/uploads/2022/01/010422-NSPM-33-Implementation-Guidance.pdf>

Research and Development (R&D)



Definition 1

The creative and systematic work undertaken to increase the stock of knowledge and to devise new applications of available knowledge. This includes, but is not limited to, research in economics, education, linguistics, medicine, psychology, physical sciences, social sciences, statistics, and research involving human subjects or animals regardless of the funding appropriation used to support it.

Source Documentation

<https://bidenwhitehouse.archives.gov/wp-content/uploads/2022/01/010422-NSPM-33-Implementation-Guidance.pdf>

Definition 2

Includes basic research, applied research, and experimental development. Basic research is experimental or theoretical work undertaken primarily to acquire new knowledge of the underlying foundations of phenomena and observable facts. Applied research is original investigation undertaken in order to acquire new knowledge and directed primarily towards a specific practical aim or objective. Experimental development is creative and systematic work, drawing on knowledge gained from research and practical experience, which is directed at producing new products or processes or improving existing products or processes. Like research, experimental development will result in gaining additional knowledge. Experimental development includes the production of materials, devices, and systems or methods, including the design, construction, and testing of experimental prototypes. Experimental development also includes technology demonstrations in cases where a system or component is being demonstrated at scale for the first time, and it is realistic to expect additional refinements to the design (feedback R&D) following the demonstration.

Source Documentation

<https://basicresearch.defense.gov/Portals/61/Documents/Academic%20Research%20Security%20Page/2025%20DoD%20Decision%20Matrix%20to%20Inform%20Fundamental%20Research%20Risk%20Decisions.pdf?ver=hctFTzFX-Om9ZgmYEVQGwQ%3D%3D>

Definition 3

R&D activity is creative and systematic work undertaken to increase the stock of knowledge—including knowledge of humankind, culture, and society—and to devise new applications of available knowledge. R&D covers three activities: basic research, applied research, and experimental development. R&D does not include public service or outreach programs, curriculum development (unless included as part of an overall research project), or non-research training grants. R&D as measured on this survey does not include capital projects (i.e., construction or renovation of research facilities).

Source Documentation

<https://nces.nsf.gov/surveys/higher-education-research-development/2023#questionnaires>



Research and Development Award

Definition

Support provided to an individual or entity by a Federal research agency to carry out R&D activities, which may include support in the form of a grant, contract, cooperative agreement, or other such transaction. The term does not include a grant, award, contract, agreement, or other transaction for the procurement of goods or services to meet the administrative needs of a Federal research agency.

Source Documentation

[https://uscode.house.gov/view.xhtml?req=\(title:42%20section:18901%20edition:prelim\)%20OR%20\(granuleid:USC-prelim-title42-section18901\)&f=treesort&edition=prelim&num=0&jumpTo=true](https://uscode.house.gov/view.xhtml?req=(title:42%20section:18901%20edition:prelim)%20OR%20(granuleid:USC-prelim-title42-section18901)&f=treesort&edition=prelim&num=0&jumpTo=true)

Research Colleges and Universities

Definition

[Institutions of Higher Education that] on average in a single year, spend at least \$2.5 million on research & development. Institutions that are in the R1 or R2 categories are not included.

Source Documentation

<https://carnegieclassifications.acenet.edu/carnegie-classification/classification-methodology/2025-research-activity-designations/>



Research Integrity

Definition

The standards of research that promote objective research with collaborations that are open, transparent, merit-based, and reciprocal in nature. Research collaborations conducted with integrity are expected to disclose all financial and time obligations of the persons involved in the research, hire individuals or recruit students to participate in the research based on merit, and respect rules governing intellectual property.

Source Documentation

<https://basicresearch.defense.gov/Portals/61/Documents/Academic%20Research%20Security%20Page/2025%20DoD%20Decision%20Matrix%20to%20Inform%20Fundamental%20Research%20Risk%20Decisions.pdf?ver=hctFTzFX-Om9ZgmYEVQGwQ%63D%3D>

Research Organization (RO)

Definition

An entity that has applied for or received an R&D award from a Federal research agency. This term has the same meaning as “entity” as defined in Section 223 of the NDAA for 2021.

Source Documentation

<https://bidenwhitehouse.archives.gov/wp-content/uploads/2022/01/010422-NSPM-33-Implementation-Guidance.pdf>



Research Security

Definition

Safeguarding the research enterprise against the misappropriation of research and development to the detriment of national or economic security, related violations of research integrity, and foreign government interference.

Source Documentation

<https://bidenwhitehouse.archives.gov/wp-content/uploads/2022/01/010422-NSPM-33-Implementation-Guidance.pdf>

Research Security Risk

Definition

An increased likelihood that research and development efforts or results will be misappropriated to the detriment of national or economic security, as well as related violations of research integrity and foreign government interference.

Source Documentation

<https://basicresearch.defense.gov/Portals/61/Documents/Academic%20Research%20Security%20Page/2025%20DoD%20Decision%20Matrix%20to%20Inform%20Fundamental%20Research%20Risk%20Decisions.pdf?ver=hctFtZFX-Om9ZgmYEVQGwQ%3D%3D>



Risk

Definition

A measure of the extent to which an entity is threatened by a potential circumstance or event, and typically a function of: **(i)** the adverse impacts that would arise if the circumstance or event occurs; and **(ii)** the likelihood of occurrence. [Note: Information system-related security risks are those risks that arise from the loss of confidentiality, integrity, or availability of information or information systems and reflect the potential adverse impacts to organizational operations (including mission, functions, image, or reputation), organizational assets, individuals, other organizations, and the Nation. Adverse impacts to the Nation include, for example, compromises to information systems that support critical infrastructure applications or are paramount to government continuity of operations as defined by the Department of Homeland Security.]

Source Documentation

<https://csrc.nist.gov/glossary/term/risk>

Senior Key Personnel

Definition

See “Covered Individual”.

Source Documentation

<https://bidenwhitehouse.archives.gov/wp-content/uploads/2022/01/010422-NSPM-33-Implementation-Guidance.pdf>



Small Business

Definition 1

To be a small business, vendors must adhere to industry size standards established by the U.S. Small Business Administration (SBA)

The SBA, for most industries, defines a “small business” either in terms of the average number of employees over the past 12 months, or average annual receipts over time. In addition, as per 13 CFR § 121.105, SBA defines a U.S. small business as a concern that:

- Is organized for profit
- Has a place of business in the US
- Operates primarily within the U.S. or makes a significant contribution to the U.S. economy through payment of taxes or use of American products, materials or labor
- Is independently owned and operated and is not dominant in its field on a national basis

Source Documentation - Definition 1

<https://www.state.gov/2019/08/what-is-a-small-business>

Definition 2

SBA's size standards define whether a business entity is small and, thus, eligible for Government programs and preferences reserved for “small business” concerns. Size standards have been established for types of economic activity, or industry, generally under the North American Industry Classification System (NAICS).

Source Documentation - Definition 2

<https://www.ecfr.gov/current/title-13/chapter-I/part-121>



Student Records

Definition

As per 20 USC 1232g, the Family Educational Rights and Privacy Act of 1974, an education record which is comprised of those records which are directly related to a student.

Source Documentation

<https://www.archives.gov/cui/registry/category-detail/student-records>

Student Visa

Definition

A document required by the US for students who would like to study as a full-time student in the US, There are two nonimmigrant visa categories for persons wishing to study in the US. commonly known as the **F** and **M** visas.

Source Documentation

<https://www.uscis.gov/working-in-the-united-states/students-and-exchange-visitors/students-and-employment>

U-Z





Visas

Definition

Related to applications or permits to enter the United States.

Source Documentation

<https://www.archives.gov/cui/registry/category-detail/visas>

F1 **H-1B** **J1** **M1**



Notes





Notes



Research
Security

Essential Terminology Guide



We'd like your feedback. Visit,
secure-center.org