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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**

	<b>Factor 1: Foreign Talent Recruitment Programs</b>	<b>Factor 2: Funding Sources</b>	<b>Factor 3: Patents</b>	<b>Factor 4: Entity Lists</b>
<b>Prohibited factors</b>	<p><b>For the Period after 9 Aug 2024</b></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>			
<b>Factors discouraged by DoD policy, mitigation measures required, rejection of proposal required if no mitigation possible</b>	<p><b>For the period after 9 Aug 2022<sup>1</sup>:</b></p> <p>Indicator(s)<sup>2</sup> of participation<sup>3</sup> 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><b>For the period after 9 Aug 2022:</b></p> <p>Indicator(s) of association with an entity on: the U.S. Bureau of Industry and Security (BIS) Entity List,<sup>4</sup> the Annex of Executive Order (EO) 14032<sup>5</sup> or superseding EOs, Sec. 1260H of the National Defense Authorization Act (NDAA) for FY 2021,<sup>6</sup> or Sec. 1286 of the NDAA for FY 2019, as amended.<sup>7</sup></p> <p><b>For the period after 10 Oct 2019:<sup>6</sup></b></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>
<b>Mitigation measures recommended</b>	<p><b>For the period between 10 Oct 2019<sup>8</sup> and 9 Aug 2022:</b></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><b>For the period after 9 Aug 2022:</b></p>	<p><b>For the period between 10 Oct 2019 and 9 Aug 2022:</b></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><b>For the period between 10 Oct 2019 and 9 Aug 2022:</b></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><b>For the period prior to 10 Oct 2019:</b></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.
<b>Mitigation measures suggested</b>	<p><b>For the period after 10 Oct 2019:</b></p> <p>Covered individual's co-author(s)<sup>9</sup> on publications in scientific and engineering (S&amp;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><b>For the period prior to 10 Oct 2019:</b></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><b>For the period prior to 10 Oct 2019:</b></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.<sup>10</sup></p>	<p><b>For the period after 10 Oct 2019:</b></p> <p>Covered individual's co-author(s) on publications in S&amp;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&amp;E journal with a person on the U.S. BIS Denied Persons List.</p> <p><b>For the period prior to 10 Oct 2019:</b></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>
<b>No mitigation needed</b>	<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&amp;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.