



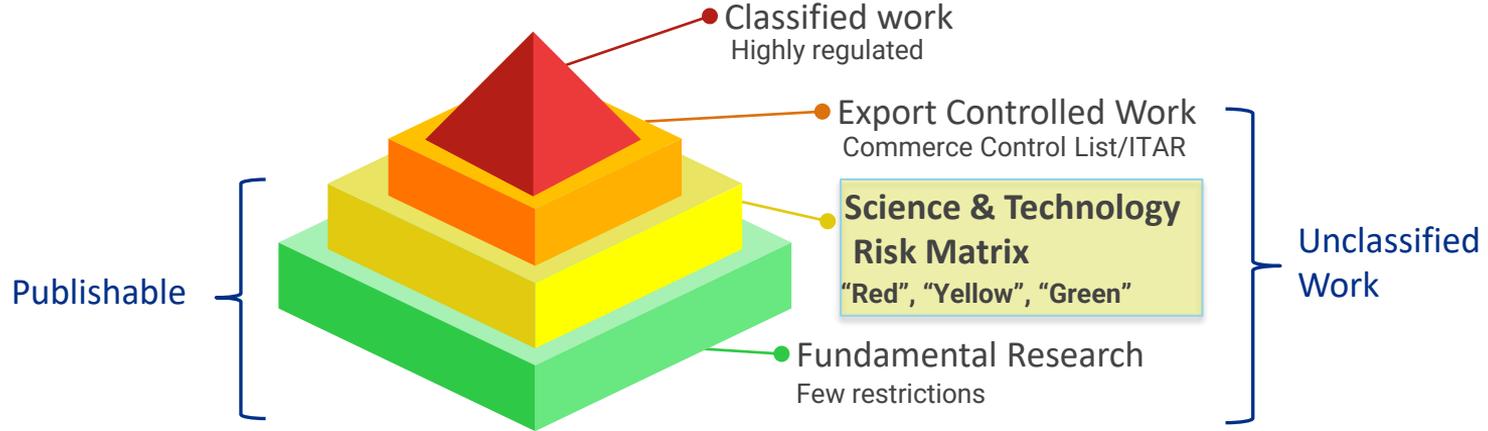
Research Security at Department of Energy Labs

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DOE Research Security Control Hierarchy



Science & Technology (S&T) Risk Matrix (2019, 2023)

- Identify and protect critical emerging research and technologies that do not otherwise have control mechanisms (e.g., classified information, International Traffic in Arms Regulations, Export Administration Regulations, or Special Nuclear Materials).
- Protection of economic and/or international competitiveness and not to overlap or supersede existing controls associated with national security or export controls.
- Developed by the scientific community in coordination with DOE

S&T Topical Areas of Research

- Quantum Information Science & Technology
- High Performance Computing
- Machine Learning/Artificial Intelligence
- Battery Science & Technology
- Bioscience & Biotechnology
- Accelerator Science & Technology

S&T Categorization

- Restricted (**Red**)
 - Sensitivities associated with economic and/or international competitiveness that could cause significant harm to critical national interests of the U.S. if shared with a country of risk without appropriate vetting and approval
 - Access management plan required, under the control of the laboratory, including IP protection and ultimate dissemination/publication
- Potential to become restricted (**Yellow**)
 - Enhanced vigilance; monitor progression toward “red” thresholds; awareness by research staff
- No sensitivities (**Green**)
 - Normal lab research and access requirements

**There is recognition of differences in the research portfolio across the labs;
Process of evaluating the work, development of access management plans, and
final publication process developed at the lab level in consultation with their DOE Site Offices**

Review & Approval Process for Foreign National Access

1. Unrestricted fundamental research
 - Unclassified Foreign National Access Program (UFNAP) governs access approval process
 - Foreign national access requests are entered into a database along with CVs
 - Graded approach based on country, type of work and the area/lab where work will be performed
 - Vast majority of requests do not require pre-approvals by the Department
2. Science & Technology Risk Matrix work: Labs identify work that is categorized as restricted or the potential to become restricted
 - Nationals from Countries of Risk who will work on S&T Matrix restricted subjects require an enhanced review process
 1. Lab proposes to DOE local office for initial approval
 2. Access request submitted to appropriate research program office
 3. DOE Counterintelligence review
 4. Final approval by Undersecretary or their designee

Note: work at DOE User Facilities is exempt from the S&T Risk Matrix review; other access requirements are still required

Foreign Engagement & Government Sponsorship

1. Foreign engagement (Policy 485.1A)
 1. Proposed work aligns with US strategic interests and foreign policy, and complies with US regulations; considers risks associated with sharing technologies taking into account counterintelligence considerations
 2. Covers MOUs, SPPs, CRADAs, ACTs, and similar binding agreements
 3. DOE HQ review and approval (program, international affairs, GC, Counterintel, Defense Nuclear Nonproliferation)
 4. Evaluate against S&T Risk Matrix: CoR + restricted requires exemption from Undersecretary
2. Foreign Government Sponsored or Affiliated Activities (Order 486.1A)
 1. Ensure protection of US competitive and national security interests; protect conflicts of interest; limiting unauthorized transfer of scientific and technical information
 2. Prohibits Contractor personnel participation in any Foreign Government-Sponsored Talent Recruitment Program of a Foreign Country of Risk, as well as positions and appointments (whether or not remunerated)
 3. Self disclosure by individuals, utilization of due diligence by the lab, and quarterly reporting.