DOE Perspective and Update on Research Security

National Science, Technology, and Security Roundtable

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DOE Mission Space

- DOE mission is broad: ranging from "quarks to quagmires and from weapons to windmills"
  - Types of Research: Discovery science to applied research to demonstration to deployment
  - Topics: Particle physics to the power grid

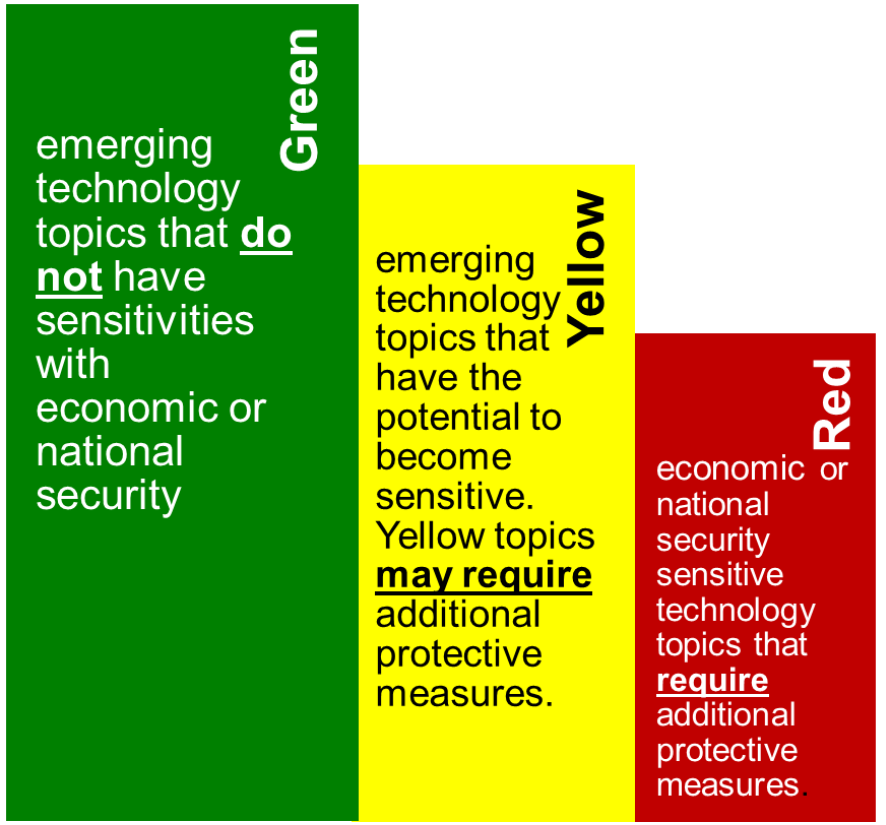
- As a result, agency policies must span from low-risk basic research to demonstration projects with national security implications.

- To maintain U.S. S&T competitiveness and leadership capabilities, DOE and the National Labs must **BOTH**:
  - Balance protection of research results and IP in key research areas to bolster economic and national security interests…
  - … while promoting international collaboration and attracting/retaining the best and the brightest in our programs.

Update: DOE Laboratory Policy

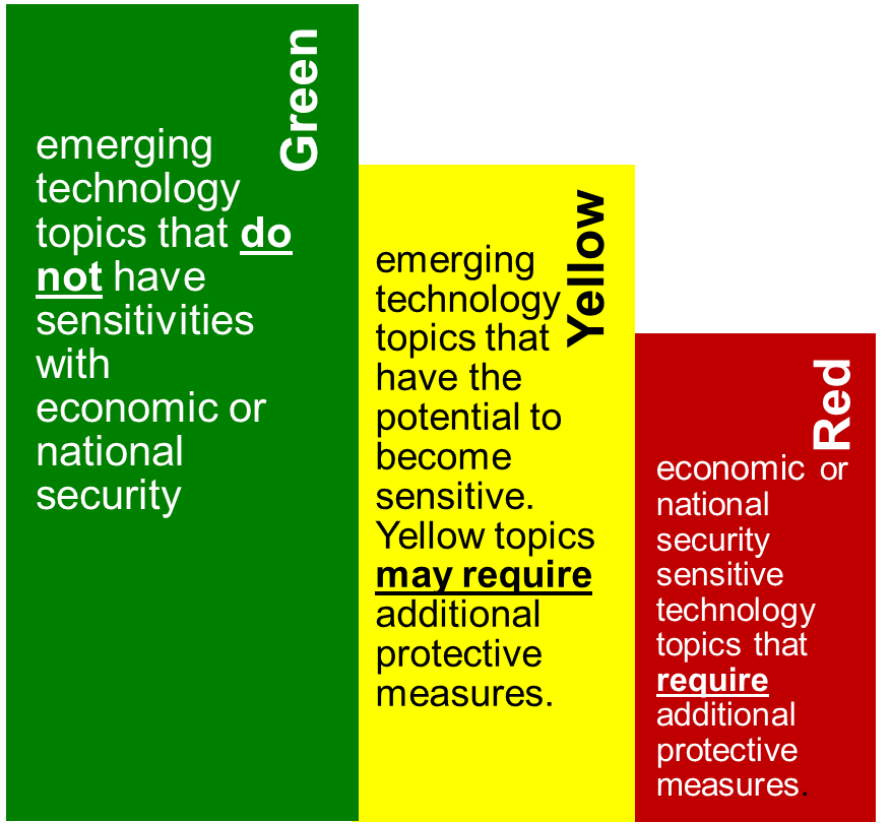
- DOE uses its Science and Technology Risk Matrix to manage risks at the National Laboratories associated with critical and emerging technologies that do not otherwise have control mechanisms.

- Applies only to:
  - Countries of Concern (China, Russia, Iran, North Korea)
  - Guidance and management of certain activities at the national laboratories (e.g. foreign engagements, CRADAs/SPPs, official travel, foreign national access)



Update: DOE Laboratory Policy

- Recent Developments:
  - DOE updated the Matrix in 2023 and will continue to do so annually to ensure consistency with major scientific and technological developments.
  - An unclassified S&T Risk Matrix has been developed and disseminated to the national laboratories, university partners, and sister science funding agencies.



Update: DOE Financial Assistance

- In 2023, DOE established (*i*) an office and (*ii*) a Department-wide working group focused on research, technology, and economic security (RTES) issues across the DOE enterprise:
  - RTES Policy Working Group
    - Address RTES policy development and consistency with interagency processes (e.g. related to NSPM-33 implementation)
  - Office of Research, Technology and Economic Security (RTES Office)
    - Provide consistency and support for due diligence reviews and risk mitigation in DOE financial assistance and loan activities.

- Office of Science is working closely with the RTES Office to ensure that its due diligence reviews:
  - Maintain transparency
  - Do **NOT** create undue burden on the research community while balancing the openness and security of the DOE enterprise

Primary RTES Office Functions

Due Diligence, Liaison & Assessment

- Conduct or facilitate due diligence reviews, in coordination with other internal reviews
- Develop comprehensive risk assessment frameworks
- Review FOAs and awards to ensure the appropriate RTES measures are in place

Information Sharing (Internal)

- Resource to program offices on RTES
- Foster cross-office information sharing through program RTES POCs
- Train offices on how to identify, communicate, and mitigate security risks

Communications & Outreach (External)

Conduct outreach with the broader scientific community on RTES topics

Update: Office of Science Financial Assistance

- The Office of Science (SC):
  - Continues to recommend universal disclosure (sources of support, positions and appointments)
  - Continues to recommend the use of SciENcv to reduce administrative burden by allowing the use of digital persistent identifiers
  - Has already announced the acceptance of interagency common formats for current and pending support and bio-sketches

- SC strongly supports recent actions emerging from its interagency partners:
  - DoD Decision Matrix and Policy for Risk-based Reviews of Fundamental Research
  - Continued development of the NSF SECURE Center and the forthcoming research security training modules

- DOE and SC will look to these achievements and related policies as we continue to consider our approach to financial assistance.

Update: Interagency and Community Engagement

- It is essential that DOE coordinates its research security policy with the interagency, and in my role, I am making it a priority to increase engagement with the research community.
  - Continuing to participate as co-chair on the National Science and Technology Council (NSTC) Subcommittee on Research Security.
  - Continuing to engage with allies and partners through State Department-led efforts.
  - Increasing public-facing engagements with leaders and membership of organizations such as FDP, COGR, AAU, and APLU, as well as with the AANHPI research community.

Today's Roundtable

- As the Office of Science continues to evaluate its financial assistance policy, I am here today to listen and learn from your experiences, perspectives, and recommended best practices.

- In particular, the Office of Science is interested in hearing your thoughts and experiences:
  - For DOE: How would you describe your community's experiences with DOE in the context of research security? How could those interactions be improved, and how do they compare with other funding agency interactions?
  - For SC: As SC continues to consider its financial assistance policy, what approaches and best practices would you recommend? How can we continue to attract and retain the best and the brightest people and ideas into our portfolio?