Evolution of DOE Responses

National Science, Technology, and Security Roundtable Capstone Workshop

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U.S. DEPARTMENT OF ENERGY

An Expansive Mission

Ensuring America's security and prosperity by addressing its energy, environmental and nuclear challenges through transformative science and technology solutions.

A Broad S&T Portfolio

Supporting research that spans discovery science to demonstration & deployment.

Addressing questions that range from the building blocks of matter to environmental and national security concerns.

Supporting Research across the US

Providing financial assistance to the academic community, non-profits, and small businesses.

Stewarding the 17 National Laboratories and world-leading user facilities.

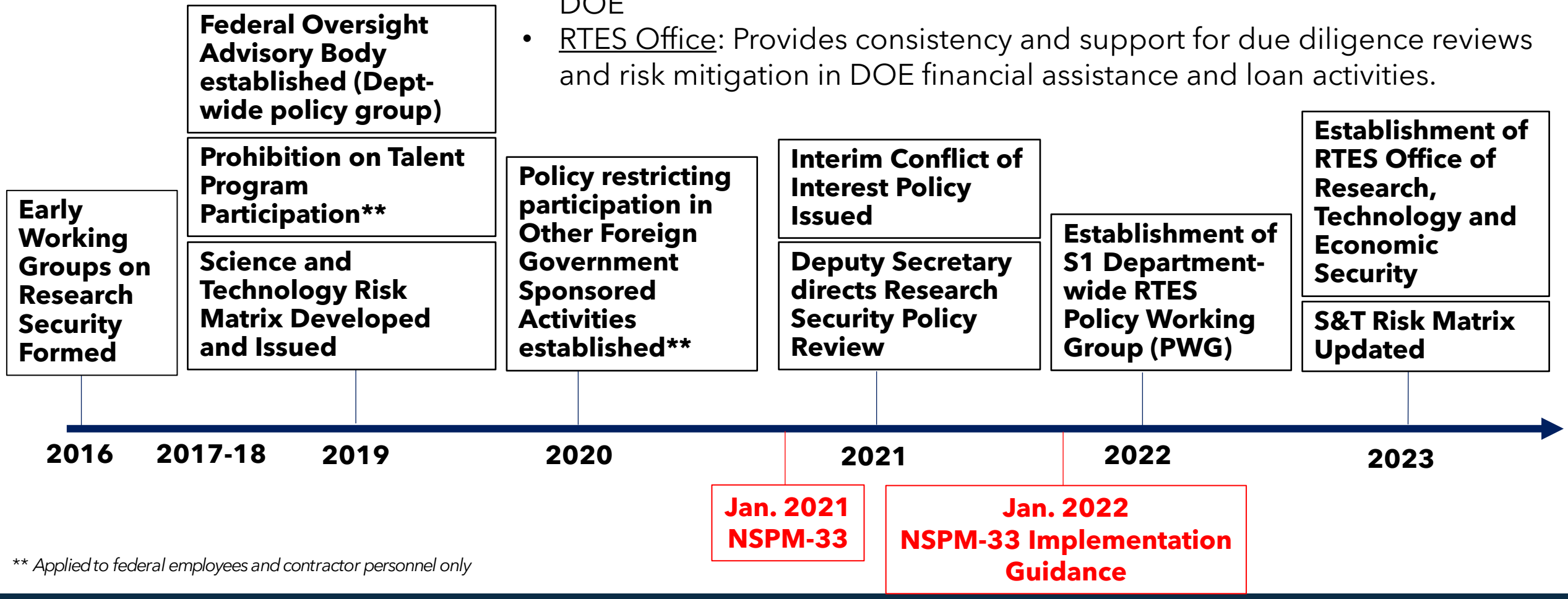
DOE Mission Space

- The last four years have presented an evolving research security landscape that has challenged DOE to balance the protection of our broad enterprise with promoting principled international collaboration and attracting/retaining the best and brightest in our programs.

- Today, I would like to reflect on discussions at DOE, the interagency, and this Roundtable to address:
  - From where have we come?
    - Evolution of research security policy at DOE
  - What lessons have we learned along the way?
  - Where are we going?
    - Key questions for the future

Evolution of Research, Technology, and Economic Security (RTES) at DOE

- RTES Policy Working Group: Coordinates RTES policy development across DOE
- RTES Office: Provides consistency and support for due diligence reviews and risk mitigation in DOE financial assistance and loan activities.



** *Applied to federal employees and contractor personnel only*

Office of Science Financial Assistance and Lab Policy

- Financial Assistance (FA)
  - Office of Science (SC) works closely with the RTES Office to ensure that its due diligence reviews maintain transparency, do not create undue burden on the research community, and are risk-informed by our subject-matter experts.
  - DOE is working to adopt the NSF-stewarded common forms and updating key FA policies (e.g. COI/COC, PIDs)

- Laboratory Policy
  - SC supports the annual update of the S&T Risk Matrix to ensure consistency with major scientific and technological developments.
    - Unlimited distribution S&T Risk Matrix has been developed and disseminated to the Natl. Laboratories, universities, science funding agencies, and like-minded allies and partners.
  - DOE will update our implementing Orders to meet WH and statutory requirements while addressing gaps identified by the Department.

Lessons Learned

Policy Development

- **<u>Engaging with leaders in our research communities builds trust, creates buy-in, and results in more effective policies</u>**
  - At the National Laboratories, the Chief Research Officers were essential ambassadors to the laboratory community in developing the S&T Risk Matrix.
  - Discussions with scientific societies and the AANHPI community have been helpful.

- **<u>Close working relationships with interagency partners are critical</u>**
  - Coordinating bodies like the NSTC Subcommittee on RS have been essential for sharing best practices and developing effective, harmonized policies.

Policy Implementation

- **<u>Effective implementation depends on strong, trusted relationships between the research security experts and the technical experts</u>**
  - Technical expertise is critical for assessing risks and developing appropriate mitigations associated with any research security concern.

- **<u>Flexibility and transparency are key</u>**
  - Due diligence reviews and mitigations should be risk-based and flexible with the unique circumstances of the research
  - Agencies should transparently communicate risk review criteria and corresponding levels of mitigations

Key Questions for the Future

How do we strategically balance international engagement and research security?
- Where our security policies differ with like-minded allies and partners, how can we best coordinate to ensure the success of our partnerships?
- How do we ensure that our policies do not undermine our ability to attract the best and brightest to study and innovate in the U.S.?

As due diligence risk reviews for fundamental research are implemented, how can we:
- Streamline reviews to not impact timelines to award?
- Develop nuanced criteria for assessing research risks that recognize the (sometimes blurry) boundaries between basic, applied, and more mature stages of R&D?

How can we transition from a compliance culture to one of partnership with the research community?
- Will require a continued, proactive campaign of awareness-raising and education on the risks and policies, and a demonstrated commitment to equity. PIs and researchers must understand why research security is important to us all.
- Scientific societies and advocacy organizations will continue to be important partners.

How can the interagency continue to support program managers, PIs, and administrative professionals in navigating the research security landscape?
- Research Security Training Modules were a great start!
- DOE is highly supportive of the NSF SECURE Center and forthcoming Research on Research Security funding efforts.