

SUBJECT: LIMITED CHANGE TO DOE O 481.1E, *STRATEGIC PARTNERSHIP PROJECTS [FORMERLY KNOWN AS WORK FOR OTHERS (NON-DEPARTMENT OF ENERGY FUNDED WORK)]*

1. EXPLANATION OF CHANGES. This Order was updated to address the use of the DOE Science and Technology Risk Matrix.
2. LOCATIONS OF CHANGES:

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	Throughout	Paragraph references.	Updated to align with added requirements and responsibilities.
5	4.g.	Before SPP construction that exceeds the DOE-approved GPP limit at a DOE site can begin, approval must be granted by the DOE Cognizant Secretarial Officer (CSO) 5.j.(3) and the DOE Chief Financial Officer 5.b.(4). The CFO must be notified seven days in advance of approval of a construction project funded through an SPP agreement that exceeds \$1 million but is less than the DOE-approved GPP limit. For a NNSA site, approval for SPP construction that exceeds the DOE-approved GPP limit must be granted by the Associate Administrator for Acquisition and Project Management 6.c., Associate Administrator for Management and Budget 6.a.(3) and notification provided to the NNSA Director, Office of Deputy Associate Administrator for Budget 6.b.(4), before work can begin. Projects must meet the following requirements.	Before SPP construction that exceeds the DOE-approved minor construction threshold, as referenced in the DOE Accounting Handbook, Chapter 24, Minor Construction, at a DOE site can begin, approval must be granted by the DOE Cognizant Secretarial Officer (CSO), 5.k.(3), and the DOE Chief Financial Officer, 5.c.(4). The CFO must be notified seven days in advance of approval of a construction project funded through an SPP agreement that exceeds \$1 million but is less than the DOE-approved minor construction limit. For a NNSA site, approval for SPP construction that exceeds the DOE-approved minor construction limit must be granted by the Associate Administrator for Acquisition and Project Management, 6.d.; the Associate Administrator for Management and Budget, 6.b.(3); and the cognizant NNSA Deputy Administrator, 6.g.; and notification provided to the NNSA Director, Office of

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			Deputy Associate Administrator for Budget, 6.c.(4), before work can begin. Projects must meet the following requirements:
5	4.g.(3)	Construction funded through SPP agreements must not supplement DOE-funded construction activities unless the SPP-funded portion of the construction effort is explicitly approved by the CFO.	Construction funded through SPP agreements must not supplement DOE-funded construction activities unless the SPP-funded portion of the construction effort is explicitly approved by the CFO. DOE's minor construction authority does not apply to other agencies' funding.
6	4.1.	Work directly funded by a foreign sponsor and performed at a DOE (non-NNSA facility) shall be reviewed and approved consistent with DOE P 485.1, which requires the review and concurrence of the Office of International Affairs; CSO [5.j.(4)(c)]; Cognizant PSO or designee; Cognizant General Counsel Office; Office of Intelligence and Counterintelligence; and Office of Nonproliferation and Arms Control.	Work directly funded by a foreign sponsor and performed at a DOE (non-NNSA facility) shall be reviewed and approved consistent with DOE P 485.1, <i>Foreign Engagements with DOE National Laboratories</i> , current version, which requires the review and concurrence of the Office of International Affairs; CSO [5.k.(4)(c)]; Cognizant PSO or designee; Cognizant General Counsel Office; Office of Intelligence and Counterintelligence; and Office of Nonproliferation and Arms Control.
8	4.s.	Added.	The current Science and Technology (S&T) Risk Matrix, maintained by the DOE Federal Oversight and Advisory Body (FOAB), must be reviewed for each proposed engagement with a foreign entity, as defined in DOE P 485.1, from a Country of Risk to determine if the engagement is in an area identified as restricted.
8	4.t.	Added.	Project exemption requests for foreign-sponsored work with entities from Countries of Risk in areas identified as restricted in the current S&T Risk Matrix must be submitted through the FOAB for approval by the

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			cognizant Under Secretary or his/her designee. Exemptions must be approved by the cognizant Under Secretary or his/her designee prior to initiating a review of foreign-sponsored work under DOE P 485.1 (see 4.l. and 4.m.).
8	5.a.	Added.	<u>Under Secretary of Energy, Under Secretary for Science, Under Secretary for Nuclear Security (as appropriate), or their designees.</u> Approve/disapprove exemption requests based on the current S&T Risk Matrix and FOAB recommendations.
8-14	5.a.-5.k.	Renumbered.	5.b.-5.l.
9	5.c.(4)	Concurs on construction projects funded by a SPP agreement that exceed the DOE-approved GPP limits.	Concurs on construction projects funded by a SPP agreement that exceed the DOE-approved minor construction limits.
10	5.h.	<u>NNSA Assistant Deputy Administrator for Nonproliferation Research and Development.</u> Reviews and provides comments on nuclear proliferation and detonation detection technology-related SPP.	<u>NNSA Assistant Deputy Administrator for Defense Nuclear Nonproliferation Research and Development.</u> Reviews and provides comments on nuclear proliferation and detonation detection technology-related SPP.
10	5.j.(5)	Added.	Reviews and concurs on exemption requests for foreign-sponsored SPP projects with entities from Countries of Risk which are in areas identified as restricted in the current S&T Risk Matrix, prior to FOAB review of the exemption request.
11	5.k.(3)	After obtaining concurrence from the Office of the Chief Financial Officer, approve facility construction that exceeds the DOE-approved GPP limit.	After obtaining concurrence from the Office of the Chief Financial Officer, approve facility construction that exceeds the DOE-approved minor construction limit.
11	5.k.(4)(e)	Added.	Reviews and concurs on exemption requests for

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			foreign-sponsored SPP projects with entities from Countries of Risk that are in areas identified as restricted in the current S&T Risk Matrix, prior to FOAB review of the exemption request.
13-14	5.1.(17)	Added.	In coordination with the cognizant contractor, determines if a proposed foreign-sponsored SPP project with a foreign entity from a Country of Risk is in an area identified as restricted in the current S&T Risk Matrix and, as appropriate, prepares exemption requests through the CSO, PSO, and FOAB for cognizant Under Secretarial approval.
14	5.m.	Added.	<p><u>DOE Federal Oversight Advisory Body (FOAB).</u></p> <p>(1) Establishes and maintains procedural requirements for cognizant Under Secretary or designee approval of exemption requests for foreign-sponsored SPP projects with entities from Countries of Risk that are in areas identified as restricted in the current S&T Risk Matrix.</p> <p>(2) Provides recommendations for all exemption requests for foreign-sponsored SPP projects with entities from Countries of Risk that are in areas identified as restricted in the current S&T Risk Matrix to the cognizant Under Secretary.</p> <p>(3) Reviews and maintains the S&T Risk Matrix.</p>
14	6.a.	Added.	<p><u>NNSA Administrator.</u></p> <p>Approve/disapprove exemption requests based on the current S&T Risk Matrix and FOAB recommendations.</p>

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14-15	6.a.-6.b.	Renumbered.	6.b.-6.c.
14	6.b.(3)	After notifying the Deputy Associate Administrator for Budget, approves facility construction that exceeds the DOE-approved GPP limit.	After notifying the Deputy Associate Administrator for Budget, approves facility construction that exceeds the minor construction threshold.
15	6.c.(4)	Provides notification to the Cognizant Deputy Administrator on construction projects that exceed the DOE-approved GPP limit.	Provides notification to the Cognizant NNSA Deputy Administrator on construction projects that exceed the DOE-approved minor construction limit.
15	6.d.	Added.	<u>Associate Administrator for Acquisition and Project Management</u> . After notifying the Deputy Associate Administrator for Budget, approves facility construction that exceeds the DOE-approved minor construction limit.
15-18	6.c.-6.h.	Renumbered.	6.d.-6.j.
16	6.h.(6)	After obtaining notification from the Director, Office of Field Financial Management, approve facility construction that exceeds the DOE-approved GPP limit.	Removed.
16	6.h.(7)	Renumbered.	6.h.(6)
18	6.j.(9)	Added.	Reviews and concurs on exemption requests for foreign-sponsored SPP projects with entities from Countries of Risk that are in areas identified as restricted in the current S&T Risk Matrix, prior to FOAB review.
18	6.k.	Added.	<u>Cognizant NNSA Deputy Administrator</u> . After obtaining notification from the Deputy Associate Administrator for Budget, approve facility construction that exceeds the minor construction threshold.
18	6.h.	Renumbered.	6.l.

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20	6.1.(18)	Added.	In coordination with the cognizant contractor, determines if a proposed foreign-sponsored SPP project with a foreign entity from a Country of Risk is in an area identified as restricted in the current S&T Risk Matrix and, as appropriate, prepares exemption requests for the cognizant Under Secretary through the Office of Strategic Partnership Programs and the FOAB.
23	8.f.	Added.	<u>DOE Federal Oversight Advisory Body (FOAB)</u> . A DOE group established to identify and implement policy changes to address the risk associated with international research collaboration and foreign national access to the DOE scientific enterprise. The FOAB is responsible for reviewing and maintaining the Science and Technology Risk Matrix, processing exemption requests for instances where research collaboration is restricted, and providing feedback on Departmental science and technology engagement policies.
24	8.f.	Renumbered.	8.g.
24	8.i.	Added.	<u>Foreign Country of Risk</u> . Any foreign country determined to be of risk by the Office of Science in consultation with the Under Secretary for Science; the Under Secretary of Energy; the Under Secretary for Nuclear Security; and the Office of Intelligence and Counterintelligence. Referred to as Country or Countries of Risk throughout this Order.
24	8.g.-8.s.	Renumbered.	8.i.-8.u.
		<u>Program Secretarial Officers (PSO) and Deputy NNSA Administrators</u> . Headquarters Assistant Secretaries, Deputy	<u>Program Secretarial Officers (PSO) and Deputy NNSA Administrators</u> . Headquarters Assistant Secretaries, Deputy

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		Administrators, and Directors who have management responsibility for program planning, budgeting, and execution, of DOE/NNSA mission program activities. In this capacity, these individuals have funded program related technology development proposed for use in the SPP work and must concur on its use on all foreign-sponsored SPP agreements.	Administrators, and Directors who have management responsibility for program planning, budgeting, and execution, of DOE/NNSA mission program activities. In this capacity, for purposes of this Order, these individuals have funded program related technology development proposed for use in the SPP work and must concur on its use on all foreign-sponsored SPP agreements.