

Chg 2 (LtdChg): 12-13-2019

**SUBJECT:** LIMITED CHANGE TO DOE O 483.1B, *DOE COOPERATIVE RESEARCH AND DEVELOPMENT AGREEMENTS*

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

Page	Paragraph	Changed	To
5.	4.i.	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 in the S&T Matrix.
5.	4.j.	Added.	Project exemption requests for CRADAs with foreign 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 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 these foreign-sponsored CRADAs under DOE P 485.1 (see paragraph 4.h. of this Order).
5.	5.a.	<u>Under Secretary for Science and Under Secretary of Energy, in Consultation with the Under Secretary for Nuclear Security, as appropriate.</u>	<u>Under Secretary of Energy, Under Secretary for Science, or their designees, in consultation with the Under Secretary for</u>

Page	Paragraph	Changed	To
			<u>Nuclear Security, or his/her designee, as appropriate.</u>
5.	5.a.(3)	Added.	Approve/disapprove exemption requests based on the current S&T Risk Matrix and FOAB recommendations.
6.	5.c.(5)	Added.	Reviews and concurs on exemption requests for CRADA projects with foreign 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.
6.	5.d.(3)	Added.	Reviews and concurs on exemption requests for CRADA projects with foreign 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.
8.	5.f.	Added.	In coordination with the cognizant contractor, determines if a proposed CRADA 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.
8.	5.g.	Added.	<u>DOE Federal Oversight Advisory Body (FOAB).</u> (1) Establishes and maintains procedural requirements for cognizant Under Secretary or designee approval of exemption requests for CRADA projects with foreign entities from Countries of Risk that are in areas identified as restricted in the current S&T Risk Matrix.

Page	Paragraph	Changed	To
			<p>(2) Provide recommendations on all exemption requests for CRADA projects with foreign entities from Countries of Risk that are in areas identified as restricted in the current S&amp;T Risk Matrix to the cognizant Under Secretary.</p> <p>(3) Reviews and maintains the S&amp;T Risk Matrix.</p>
12	7.b.	<u>Cognizant Secretarial Officer.</u> The Assistant Secretary/Director responsible for a bounded set of facilities or laboratories.	<u>Cognizant Secretarial Officer.</u> Headquarters Assistant Secretaries, Deputy Administrators, and Directors responsible for oversight or institutional management of DOE/NNSA facilities.
12.	7.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.
12.	7.g.	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

Page	Paragraph	Changed	To
			as Country or Countries of Risk throughout this Order.
12.	7.f.-7.n.	Renumbered	7.h.-7.p.
13.	7.n.	<u>Program Secretarial Officer</u> . An Assistant Secretary/Director who funds work at a particular site or laboratory via a “customer” relationship with the field element.	<u>Program Secretarial Officer (PSO)</u> . Headquarters Assistant Secretaries, Deputy Administrators, and Directors who have management responsibility for program planning, budgeting, and execution of DOE/NNSA mission program activities. For purposes of this Order, the PSO funds work at a particular site or laboratory via a “customer” relationship with the field element.
Att. 1 Page 3	16.	Added.	Review, in coordination with the Head of the Field Element, the current Science and Technology (S&T) Risk Matrix for each proposed foreign CRADA project with a foreign entity from a Country of Risk, to determine if that project is in an area identified as restricted, and, as appropriate, prepare exemption requests through the CSO, PSO, and FOAB for cognizant Under Secretarial approval.
Att. 6 Page 4	B.1.	Added.	If the proposed CRADA is with a foreign entity from a Country of Risk, is that CRADA in an area identified as restricted in the current Science and Technology (S&T) Risk Matrix? [ ] Yes [ ] No. If yes, answer question 2.
Att. 6 Page 4	B.2.	Added.	Did the cognizant Under Secretary approve an exemption request for the proposed CRADA? [ ] Yes [ ] No. If no, the proposed CRADA shall not proceed.

Page	Paragraph	Changed	To
Att. 6 Pages 4-5	1.-11.	Renumbered.	3.-13.
Att. 7 Page 9	B.	Added.	<b><u>Science and Technology (S&amp;T) Risk Matrix:</u></b> [If the proposed CRADA is with a foreign entity from a Country of Risk, confirm that the current S&T Risk Matrix was reviewed to determine if the proposed CRADA is in an area identified as restricted. If restricted, confirm that the cognizant Under Secretary approved an exemption request for the proposed CRADA.]