



**STANFORD UNIVERSITY**  
**SLAC National Accelerator Laboratory**  
 Operated by Stanford University for the U.S. Department of Energy



**DOE Order 142.3B, Chg 1 (LtdChg) Unclassified Foreign National Access Program (03/02/2022)**  
**Site Compliance Plan (05/09/2023)**

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**Introduction**

This Site Compliance Plan (SCP):

- a) corresponds with the version of the DOE Order on Unclassified Foreign National Access Program listed in the Prime Contract,
- b) states how the Laboratory complies with applicable requirements as tailored to the risks at the Laboratory, and
- c) documents DOE-approved methods of compliance for applicable requirements and that there are no recurring deliverables\*.

Impact on the Contract:

Under the SCP, sections of the CRD are incorporated into the Contract as-is, unless the SCP indicates that a section or portion thereof is inapplicable, or the section has been changed. Thus, for example, if “in compliance” is listed next to a CRD section, that section is incorporated into the Contract as-is. However, where an SCP indicates that a section or portion thereof is inapplicable, the section or portion thereof is excluded from the Contract. In addition, where a section or portion thereof is applicable, but changes to the section have been agreed by the Parties, the section, as modified by the Parties, shall be incorporated into the Contract.

The SCP also clarifies SLAC’s interpretation of the requirements, memorializes the Parties’ agreement on how SLAC will comply with sections of the CRD (whether or not modified) and identifies the multiple Laboratory programs and processes established to fulfill the respective requirements.

*\*Deliverables: Data delivered to DOE or other external agency (e.g., recurring reporting, external database entries)*



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**Attachment 1 – Contractor Requirements Document**

This Contractor Requirements Document (CRD) and Attachment 2 (Definitions) establish requirements and provide information for Department of Energy (DOE) and National Nuclear Security Administration (NNSA) contractors, whose contracts involve foreign national access to DOE/NNSA- owned or leased sites, information, or technologies.

Regardless of the performer of the work, the contractor is responsible for complying with the requirements of this CRD. The contractor is responsible for flowing down the requirements of this CRD to subcontractors at any tier to the extent necessary to ensure the contractor’s compliance with the requirements.

| §   | Requirements from Attachment 1 – CRD   | Compliance Status | Method of Compliance  | Deliverables* (managed through <a href="#">SLACTrak</a> ) |           |             |                       |
|-----|--|-------------------|---|---|-----------|-------------|-----------------------|
|     |  |                   |   | Item  | Frequency | Due Date(s) | Recipient (e.g., SSO) |
| 1   | PURPOSE<br>The DOE/NNSA unclassified mission focuses on the critical challenges of our time, for both the country and the world. Much of this work is performed in collaboration with the international community. At the same time, the federal government has a responsibility to protect its assets and ensure that unauthorized access to sites, information, or technologies is denied. With this in mind, this program defines the requirements for unclassified foreign national access to DOE/NNSA sites, information, or technologies by establishing requirements for the following: | Not applicable    | No requirements; purpose noted.   | n/a   | n/a       | n/a         | n/a                   |
| 1.a | A risk-based review and approval process for foreign national access consistent with United States (U.S.) law; export control regulations; national and economic security;   | In compliance     | This process requirement will be documented in the SLAC Site Security Plan (SSP) to be completed by 09/30/2023. | n/a   | n/a       | n/a         | n/a                   |

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|     | and DOE program-specific policies, requirements, and objectives.   |                   |   |   |           |             |                       |
| 1.b | A process for documenting and tracking access by foreign nationals to DOE sites or involving access to DOE information, or technologies.   | In compliance     | This process requirement will be documented in the SSP to be completed by 09/30/2023.   | n/a   | n/a       | n/a         | n/a                   |
| 2   | EXEMPTIONS   |                   |   |   |           |             |                       |
| 2.a | Unclassified events and activities outside the U.S. or its territories.  | In compliance     | Per Order exemption.  | n/a   | n/a       | n/a         | n/a                   |
| 2.b | Dual citizens, only if one citizenship is U.S.   | In compliance     | Per Order exemption.  | n/a   | n/a       | n/a         | n/a                   |
| 2.c | Requests for access to information that is not a sensitive subject as defined by this Order, and in accordance with applicable procedures (i) is already available to the public or (ii) has been documented to be published and shared broadly within the scientific community. | In compliance     | Per Order exemption and associated FAQ, SLAC complies with Stanford’s <a href="#">Openness in Research Policy</a> . Under this documented policy, SLAC generally undertakes research that is intended to be published broadly within the scientific community, and such research is within the definition of “fundamental research” under NSDD-189 (see Clause H.1.0 in M&O contract). Thus, this exemption applies to nearly all requests for access to information that is not a sensitive subject that is generated by SLAC so long as SLAC has complied with Stanford’s Openness in Research Policy. Any exceptions, such as access to pre-published S&T matrix risk information, will be addressed in SLAC’s Site Security Plan by | n/a   | n/a       | n/a         | n/a                   |

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|     |   |                   | 09/30/2023.   |   |           |             |                       |
| 2.d | Requests for access to information (e.g., technical specifications, project data, research results) by foreign nationals from countries that are formally part of a specific DOE program-sponsored international collaboration project under a DOE or U.S. Government-level bilateral or multilateral international agreement (e.g., Deep Underground Neutrino Experiment at Long-Baseline Neutrino Facility, Proton Improvement Plan-II, Vera Rubin (Large Synoptic Survey Telescope) Dark Energy Search Collaboration). This applies only to information generated under these projects and agreed to be shared among the participants. [NOTE: Physical access to a site that would otherwise be within this exemption will follow normal site security procedures, including the applicable requirements of this Order.] | In compliance     | Per Order exemption<br><br>At SLAC for example, this includes:<br>(a) Work under approved agreements involving CERN<br>(b) Vera Rubin telescope (LSST), Dark Energy Search Collaboration<br>(c) Super CDMS/SNOLAB<br>(d) DESY CRADA<br>(e) LasernetUS partnerships as approved by DOE FES | n/a   | n/a       | n/a         | n/a                   |
| 2.e | Information exchanges conducted remotely by HQ program offices and supporting laboratory and contractor personnel, in direct support of DOE/NNSA nonproliferation, counterproliferation, and counterterrorism activities. [NOTE: Physical access to a site that would otherwise be within this exemption will follow normal site security   | Not Applicable    | SLAC does not perform any weapons research.   | n/a   | n/a       | n/a         | n/a                   |

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|     | procedures, including the applicable requirements of this Order.] |                   |   |   |           |             |                       |
| 2.f | Public events held on or off DOE sites.                           | In compliance     | <p>All public events on SLAC/Stanford campus (off the DOE leasehold) are public events. SLAC has a documented process to evaluate each event on site and determine if Unclassified Foreign National Access Program (UFNAP) requirements will apply.</p> <p>Public events are those that include only information that is not protected by statute, regulation, or DOE policy, and is determined to be releasable to the general public and are available for attendance by the general public. Examples included, but are not limited to:</p> <ul style="list-style-type: none"> <li>(a) Public lectures and events in Auditoriums or conference rooms designated as General Access Areas, or held remotely through videoconferences and webinars available for attendance by the public</li> <li>(b) Public Tours compliant with SLACs tour</li> <li>(c) Policy</li> </ul> | n/a   | n/a       | n/a         | n/a                   |
| 2.g | Certain activities within General Access Areas (GAA):             | In compliance     | In addition, the following activities at SLAC within a GAA are subject to this  | n/a   | n/a       | n/a         | n/a                   |

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|     |  |                   |   | Item  | Frequency | Due Date(s) | Recipient (e.g., SSO) |
|     | (1) Personal visits.<br>(2) Third-party events (i.e., not related to the DOE mission) hosted at the site.<br>(3) Access by foreign national delivery, service, and vendor personnel (Note: Also exempt in other areas outside of GAA if fully escorted and compliant with other relevant security requirements.).<br>(4) Foreign nationals performing construction activities. |                   | exemption:<br>(a) Recreational events at Arrillaga Recreation Center<br>(b) Guests staying at the Stanford Guest House.<br>(c) Meeting/dining at the SLAC Cafeteria or at Verve Café<br>(d) SAGE summer camp participants (open to applicants from public); high school students attending educational events or activities, overseen by SLAC staff.<br>(e) Receptions held in the lobby of Building 53 |   |           |             |                       |
| 2.h | Foreign national emergency response and medical personnel who require access for emergencies.  | In compliance     | SLAC has a documented Emergency program. All outside emergency responders will be allowed access to the site with no delays. They will always be escorted by SLAC Security/EMT Services that are on site 24/7.  | n/a   | n/a       | n/a         | n/a                   |
| 2.i | Access by foreign nationals 17 years of age or younger who are involved in nonwork-related activities.   | In compliance     | Foreign Nationals 17 years of age and under will be processed as visitors on site since they will not perform any work.   |   |           |             |                       |
| 2.j | International Atomic Energy Agency (IAEA) inspections, as defined in the “Agreement between the United States and  | Not applicable    | SLAC does not perform this activity. SLAC does not possess any classified material and does not possess CAT I, II,  | n/a   | n/a       | n/a         | n/a                   |

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|     |  |                                    |  | Item  | Frequency | Due Date(s) | Recipient (e.g., SSO) |
|     | the IAEA for the Application of Safeguards in the United States.”  |                                    | III material and is only approved for limited quantity of CAT IV material.   |   |           |             |                       |
| 3   | <p><b>REQUIREMENTS</b></p> <p>Foreign national access requests to DOE sites, information, or technologies will be reviewed based on all the information provided and any potential impacts on site or program operations. A determination of access approval is required before each access request is granted and must ensure that any identified risk to the Government associated with the access granted has been appropriately evaluated and mitigated, including a review against the Science and Technology (S&amp;T) Risk Matrix (see paragraph 3.g.). All access approvals must be made by U.S. citizens, are valid for the duration of access request, and must be documented in the Foreign Access Central Tracking System (FACTS) no later than the first day of access.</p> | In compliance with approved change | <p>This process requirement will be documented in the SSP to be completed by 09/30/2023.</p> <p>SLAC is developing a S&amp;T Matrix Implementation Plan. SLAC has conducted significant assessments using the S&amp;T matrix</p> | n/a   | n/a       | n/a         | n/a                   |
| 3.a | The Curriculum Vitae (CV). A CV must be provided for each foreign national conducting research at laboratories and entered into the FACTS database. CVs must include all employment activities, since the age of 18 years, and provide all of the foreign national’s science and technology specialties. CVs must also include the current/accurate name of all academic   | In compliance                      | SLAC is collecting CVs/resumes from all FNAs conducting research.  | n/a   | n/a       | n/a         | n/a                   |

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|     |   |                                    |  | Item  | Frequency | Due Date(s) | Recipient (e.g., SSO) |
|     | institutions attended, and all degree/diplomas earned. There should be no lapses in time over the past 10 years.  |                                    |  |   |           |             |                       |
| 3.b | <p>Site Security Plan (SSP). The SSP must include the requirements and procedures used to process foreign national access requests at the site. The SSP, as approved by the Officially Designated Federal Security Authority (ODFSA), must include requirements to ensure:</p> <p>(1) appropriate documentation describing the process for application of the exemptions listed in this Order;</p> <p>(2) appropriate delegation of approval authority to the site management official or laboratory director, and any related procedures;</p> <p>(3) that appropriate export control and technology transfer reviews, and determinations of export license requirements, are conducted;</p> <p>(4) that nationals of state sponsors of terrorism (SSTs) do not host other foreign nationals;</p> <p>(5) coordination with designated counterintelligence (CI) and intelligence (IN) elements; and</p> <p>(6) site-specific subject matter expert (SME) reviews, escort, and host requirements.</p> | In compliance with approved change | <p>This requirement will be documented in the SSP to be completed by 09/30/2023.</p> <p>SLAC is developing a S&amp;T Matrix Implementation Plan. SLAC has conducted significant assessments using the S&amp;T matrix</p> | n/a   | n/a       | n/a         | n/a                   |
| 3.c | Access Request. Each foreign national access  | In compliance                      | SLAC completes a FACTs entry which   | n/a   | n/a       | n/a         | n/a                   |

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|     |   |                      |   | Item  | Frequency | Due Date(s) | Recipient (e.g., SSO) |
|     | request must include, at a minimum, the following items:<br>(1) Country(ies) of affiliation. If multiple affiliations exist, the requirements are applied based on the country presenting the greatest risk.<br>(2) Identification of the information or technology(ies) to be accessed, and whether considered a sensitive subject as defined by this Order.<br>(3) Identification of areas (e.g. GAA, PPA) to be accessed for all physical access requests.<br>(4) Justification for the requested access, including specific activities or involvement.<br>(5) Identification of the DOE/NNSA program or sub-element and its mission advanced by the access.<br>(6) Proposed start and end date of access request which cannot exceed four years (NOTE: Access requests can only be valid for the duration of the lawful immigration status of the foreign national regardless of the length of the access request). | with approved change | covers items 1, 2, 3, 4, 5, 6.<br><br>SLAC will update the process by which it complies with item 2 in the SSP by 09/30/2023.<br><br>SLAC is developing a S&T Matrix Implementation Plan. SLAC has conducted significant assessments using the S&T matrix |   |           |             |                       |
| 3.d | Lawful Immigration Status, Citizenship, and Identity. Sufficient documentation of immigrant or nonimmigrant status, citizenship, and identity is required for all foreign nationals at DOE sites, facilities and laboratories to verify identity and authority  | In compliance        | SLAC has an established UFNAP program and is documented in our SSP. This includes all sections in 3.d and 3.e.  | n/a   | n/a       | n/a         | n/a                   |

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|     |  |                   |  | Item  | Frequency | Due Date(s) | Recipient (e.g., SSO) |
|     | to work (when applicable for the activities involved) and to ensure that the foreign national is eligible (in lawful immigration status including those who have received Delayed Action for Childhood Arrivals (DACA) status) to be in the U.S. The lawful immigration status of foreign nationals must be valid for the duration of the access request. There is an exception for intermittent periods by foreign nationals entering the U.S. under the State Department Visa Waiver Program, temporarily for business or pleasure, or for Canadian citizens who do not require entrance visas.  |                   |  |   |           |             |                       |
| 3.e | Assignment of Approval Authority. Approvals for foreign national access must be consistent with line management accountability requirements.<br>Field Sites. Approval authority and accountability for foreign national access to a Departmental site and associated information or technology is the head of the cognizant field element for that site. The Head of the cognizant field element may make final approval determinations for access requests involving sensitive country nationals, non-sensitive country nationals, and nationals of SSTs that are lawful permanent residents (LPRs). The head of the cognizant field element may delegate approval authority to | In compliance     | The SLAC Director’s Office has delegated the approval authority to the Security Manager for all FNs who are entered into FACTS. See 1.b for approved change on definition of FN. | n/a   | n/a       | n/a         | n/a                   |

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|     |   |                                    |   | Item  | Frequency | Due Date(s) | Recipient (e.g., SSO) |
|     | <p>the site management official or laboratory director after demonstration of adequate procedures to handle these access requests. When the site management official or laboratory official is not a U.S. citizen, the head of the cognizant DOE field element may delegate approval authority and accountability to a suitable individual. All site or facility approval authorities must be defined in the SSP.</p> <p>A site management official or laboratory director may reassign approval authority to other U.S. citizen employees within their organization. Further reassignment or delegation of approval authority is not allowed. A site management official or laboratory director must reassign or delegate approval authority in writing and document this action in the SSP. Site management officials and laboratory directors are accountable for all access approval decisions made by themselves or by those to whom they have delegated or reassigned approval authority.</p> |                                    |   |   |           |             |                       |
| 3.f | Country of Risk foreign nationals access to certain restricted technology or information as identified in the S&T Risk Matrix must undergo an enhanced review process as described below in paragraphs f.(1)-(3). All proposed access requests in   | In compliance with approved change | This process requirement will be documented in the SSP to be completed by 09/30/2023. | n/a   | n/a       | n/a         | n/a                   |

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|         |  |                                    |   | Item  | Frequency | Due Date(s) | Recipient (e.g., SSO) |
|         | areas that are not identified as restricted in the current S&T Risk Matrix can proceed with the access request review and approval process as required by this Order. Requests for access to conduct research under a User Agreement at an Office of Science, Energy Efficiency Renewable Energy, or Nuclear Energy User Facility at a non-NNSA DOE laboratory are exempt from the review requirements related to the S&T Risk Matrix discussed below. All other requirements of this Order apply to these access requests.  |                                    | SLAC is developing a S&T Matrix Implementation Plan. Projects Assessments to categorize the color of the work was completed.  |   |           |             |                       |
| 3.f.(1) | A request for access is reviewed by the site, in coordination with the Head of the cognizant DOE Field Element, to determine if the access request is in an area identified as restricted in the current S&T Risk Matrix before submitting the proposed access request through the standard access request review and approval process promulgated by this Order When an access request is from a Country of Risk foreign national and in an area identified as restricted in the current S&T Risk Matrix, the cognizant DOE Field Element must agree to proceed with the enhanced review process. Absent this agreement, the proposed access request is not | In compliance with approved change | This process requirement will be documented in the SSP to be completed by 09/30/2023.<br><br>SLAC is developing a S&T Matrix Implementation Plan. SLAC has conducted significant assessments using the S&T matrix | n/a   | n/a       | n/a         | n/a                   |

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|         |  |                                    |   | Item  | Frequency | Due Date(s) | Recipient (e.g., SSO) |
|         | pursued any further.   |                                    |   |   |           |             |                       |
| 3.f.(2) | When the Head of the cognizant DOE Field Element agrees to proceed with the enhanced review process, a justification and clear description of why the access request benefits the U.S. must be prepared. The access request must then be submitted through the appropriate PSO and CSO, with a copy provided to DOE’s Federal Oversight Advisory Body (FOAB), with final approval/disapproval being provided by the cognizant Under Secretary or their designee  | In compliance with approved change | This process requirement will be documented in the SSP to be completed by 09/30/2023.<br><br>SLAC is developing a S&T Matrix Implementation Plan. Projects Assessments to categorize the color of the work was completed. | n/a   | n/a       | n/a         | n/a                   |
| 3.f.(3) | Completion of specialized enhanced vetting conducted by the DOE Office of Intelligence and Counterintelligence (IN) is required prior to final approval of the access request. A copy of the request, along with the required additional information, must be submitted to the cognizant local CI office to support the review. Indices checks will be conducted as part of the specialized enhanced vetting process, therefore, it is recommended the request be submitted 45 days prior to the start date of the access request. | In compliance with approved change | This process requirement will be documented in the SSP to be completed by 09/30/2023.<br><br>SLAC is developing a S&T Matrix Implementation Plan. SLAC has conducted significant assessments using the S&T matrix         | n/a   | n/a       | n/a         | n/a                   |
| 3.f.(4) | DOE may consider broad approvals for specific categories of these types of access requests, such as those supported under government-to government agreements and in line with National Security Council policy guidance, to ensure existing priorities are not  | In compliance with approved change | This process requirement will be documented in the SSP to be completed by 09/30/2023.<br><br>SLAC is developing a S&T Matrix Implementation Plan.   | n/a   | n/a       | n/a         | n/a                   |

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|     |   |                   |  | Item  | Frequency | Due Date(s) | Recipient (e.g., SSO) |
|     | unduly impeded. These broad approvals will be determined by the cognizant Under Secretary or their designee in consultation with the FOAB and the cognizant DOE Program Office.   |                   |  |   |           |             |                       |
| 3.g | Nationals of State Sponsors of Terrorism. Access requests for nationals of SSTs who are not LPRs require approval by the site approval authority before final approval determination. Final approval authority is held by the Secretary of Energy and can only be assigned to the Deputy Secretary, Under Secretary for Nuclear Security/Administrator of the National Nuclear Security Administration, Under Secretary of Energy, or Under Secretary for Science. The Deputy Secretary or appropriate Under Secretary, in consultation with the Office of Intelligence and Counterintelligence, will make the final approval determination for these access requests. Subsequent access requests extending currently approved and on-going access to a contractor site or laboratory may be approved by the contractor site or laboratory approval authority. For nationals of SSTs that are LPRs, final approval determination is at the site approval authority level. | In compliance     | SLAC has protocols on processing all SST's which are covered in the SSP. | n/a   | n/a       | n/a         | n/a                   |
| 3.h | Indices Checks. Indices checks are  | In compliance     | SLAC completes FACTs entries for all                                     | n/a   | n/a       | n/a         | n/a                   |

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**Site Compliance Plan (05/09/2023)**

| §       | Requirements from Attachment 1 – CRD   | Compliance Status | Method of Compliance  | Deliverables* (managed through <a href="#">SLACTrak</a> ) |           |             |                       |
|---------|--|-------------------|---|---|-----------|-------------|-----------------------|
|         |  |                   |   | Item  | Frequency | Due Date(s) | Recipient (e.g., SSO) |
|         | coordinated by the Office of Intelligence and Counterintelligence, and must be requested through the process of documenting access requests in FACTS. Indices checks are valid for a period of two years from the completion date, as documented in FACTS by the Office of Intelligence and Counterintelligence. If the approved access request exceeds this two-year period, updated indices checks are automatically requested through FACTS prior to the current expiration date.   |                   | FNs not exempted in this Order and coordinates indices check with DOE Counterintelligence.                                      |   |           |             |                       |
| 3.h.(1) | The following access requests require completed indices checks prior to the start of the foreign national access:<br>(a) All access requests by nationals of SSTs.<br>(b) All access requests to a physical security area more restrictive than a Property Protection Area (PPA).<br>(c) All access requests by all sensitive country nationals to the NNSA national laboratories sites, information, or technologies <sup>1</sup><br>(d) All access requests for sensitive subjects.<br>[NOTE: The indices check for access | In compliance     | SLAC completes FACTs entries for all FNs not exempted in this Order and coordinates indices check with DOE Counterintelligence. | n/a   | n/a       | n/a         | n/a                   |

<sup>1</sup> 50 U.S.C. 2652(a), as amended by Public Law 112-239 – January 2, 2013, National Defense Authorization Act for Fiscal Year 2012, states that a background review (indices check) must be completed prior to access to any facility of a national security laboratory by an individual who is a citizen or agent of a nation on the sensitive countries list. This provision does not preclude access to areas accessible to the general public, at Lawrence Livermore National Laboratory; Los Alamos National Laboratory; and Sandia National Laboratories in Albuquerque, New Mexico, and Livermore, California.

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|---------------------|--|------------------------------------|--|---|-----------|-------------|-----------------------|
|                     |  |                                    |  | Item  | Frequency | Due Date(s) | Recipient (e.g., SSO) |
|                     | requests by non-sensitive nationals for sensitive subjects at sites with no classified work can be completed after access is granted.]   |                                    |  |   |           |             |                       |
| 3.h.(2)             | Access requests for sensitive country nationals to non-sensitive subjects require indices checks, but they do not have to be completed prior to the start of the foreign national’s access.  | In compliance                      | SLAC completes FACTs entries for all FNs not exempted in this Order and coordinates indices check with DOE Counterintelligence.  | n/a   | n/a       | n/a         | n/a                   |
| 3.h.(3)             | Indices checks are not required for non-sensitive country national’s access to non-sensitive subjects in a PPA or less restrictive areas.  | In compliance                      | SLAC completes FACTs entries for all FNs not exempted in this Order and coordinates indices check with DOE Counterintelligence.  | n/a   | n/a       | n/a         | n/a                   |
| 3.h Conclusion Text | For access requests that require indices checks prior to the start of foreign national access, the request for indices checks must be documented in FACTS in sufficient time to complete the indices checks. It is recommended that the request be entered into FACTS 45 days prior to the start date of the request to ensure adequate time for completion of indices checks. For access requests that require indices checks to be completed before access is granted and there is insufficient time to complete indices checks before the first day of access, the approval authority may request a CI consultation in lieu of completion of the indices checks For requests involving nationals of SSTs or Country of Risk foreign | In compliance with approved change | SLAC completes FACTs entries for all FNs not exempted in this Order and coordinates indices check with DOE Counterintelligence.<br><br>SLAC is developing a S&T Matrix Implementation Plan. SLAC has conducted significant assessments using the S&T matrix. This process requirement will be documented in the SSP to be completed by 09/30/2023. | n/a   | n/a       | n/a         | n/a                   |

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**Site Compliance Plan (05/09/2023)**

| §       | Requirements from Attachment 1 – CRD   | Compliance Status | Method of Compliance   | Deliverables* (managed through <a href="#">SLACTrak</a> ) |           |             |                       |
|---------|--|-------------------|--|---|-----------|-------------|-----------------------|
|         |  |                   |  | Item  | Frequency | Due Date(s) | Recipient (e.g., SSO) |
|         | national access to restricted technology or information as identified in the S&T Risk Matrix, counterintelligence consultations may not be utilized until 60 days after requests are documented in FACTS. Counterintelligence consultations may not be employed as a standard alternative to indices checks.<br>If there are valid indices checks for the foreign national documented in FACTS, the indices checks will be considered completed upon documentation of the request in FACTS using the existing FACTS biographical record for that foreign national. |                   |  |   |           |             |                       |
| 3.i     | Documentation. FACTS is the Department’s official national database on unclassified foreign national access requests. Access to FACTS is limited to U.S. citizens. All required information regarding access requests that require documentation, as detailed in this Order, must be entered in FACTS.   | In compliance     | Access to FACTS is limited to US Citizens.                             | n/a   | n/a       | n/a         | n/a                   |
| 3.i.(1) | Closeout Information. Information documenting the final status of access requests must be entered into FACTS within 15 days after the last day of access. This information includes the closeout status, closeout comments, and actual start and end dates for access that has taken place. Closeout statuses include: Completed,  | In compliance     | SLAC has established protocols for UFNAP which are covered in the SSP. | n/a   | n/a       | n/a         | n/a                   |

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|---------|--|------------------------------------|--|---|-----------|-------------|-----------------------|
|         |  |                                    |  | Item  | Frequency | Due Date(s) | Recipient (e.g., SSO) |
|         | Canceled Before or After Approval, Denied, or No Show.   |                                    |  |   |           |             |                       |
| 3.i.(2) | SME reviews, when conducted in compliance with SSP requirements, must be documented in FACTS.  | In compliance                      | SLAC has established protocols for UFNAP and it is covered in the SSP.   | n/a   | n/a       | n/a         | n/a                   |
| 4       | <b>RESPONSIBILITIES</b>  |                                    |  |   |           |             |                       |
| 4.a     | <p>Heads of Hosting Sites. Hosting sites may include contractor operated field sites and national laboratories.</p> <p>(1) Consistent with an authorized assignment of authority, serve as the approval authority for foreign national access requests within their organizations.</p> <p>(2) Implement the foreign national access activities consistent with guidance and direction from the head of the DOE field element with direct responsibility for program performance.</p> <p>(3) Designate points of contact (POCs) for foreign national access activities, and provide contact information to the cognizant DOE field element and Cognizant Secretarial Officer (CSO), and to the Office of Health, Safety and Security.</p> <p>(4) Ensure that guidance is issued and followed, corrective actions are implemented as appropriate, and responsibilities associated with the presence of foreign nationals are met.</p> <p>(5) Ensure a systematic, effective process to</p> | In compliance with approved change | <p>The Laboratory Director has delegated the implementation of this program and approval authority to the Security Manager. Items 1-4 are implemented.</p> <p>SLAC will update the process for items 5-6 in the SSP by 09/30/2023.</p> <p>SLAC is developing a S&amp;T Matrix Implementation Plan. SLAC has conducted significant assessments using the S&amp;T matrix</p> | n/a   | n/a       | n/a         | n/a                   |

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|-----|---|------------------------------------|---|---|-----------|-------------|-----------------------|
|     |   |                                    |   | Item  | Frequency | Due Date(s) | Recipient (e.g., SSO) |
|     | provide managers, planners and hosts with appropriate guidance and insight regarding all technologies and information that could lead into sensitive or export controlled areas, and to ensure that sensitive or export controlled technologies and information are identified.<br><br>(6) In coordination with the cognizant field element, determine if proposed foreign national access requests require an exemption based on the current S&T Risk Matrix and, where appropriate, request such exemptions.  |                                    |   |   |           |             |                       |
| 4.b | Hosts of Foreign Nationals. The contractor hosting a foreign national is responsible for the activities associated with the successful accomplishment of the activity.<br><br>(1) The contractor must ensure that foreign nationals hosting other foreign nationals are DOE contractor employees.<br><br>(2) The contractor must ensure that nationals of SSTs do not host other foreign nationals.<br><br>(3) The contractor is responsible for the conduct and activities of the foreign nationals for whom they are identified as the host.<br><br>(4) The contractor must ensure that the host is identified to the foreign national as his/her POC, and that the following requirements are met: | In compliance with approved change | This process requirement will be documented in the SSP to be completed by 09/30/2023.<br><br>SLAC is working with User Office to eliminate ghost hosting. (Admins hosting scientist). | n/a   | n/a       | n/a         | n/a                   |

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|---|---|-------------------|----------------------|---|-----------|-------------|-----------------------|
|   |   |                   |                      | Item  | Frequency | Due Date(s) | Recipient (e.g., SSO) |
|   | <p>(5) The contractor must ensure compliance with all requirements for access approval and conduct, including timely, complete, and accurate information for FACTS, compliance with SSP requirements, program sponsorship, and notification to workers regarding requirements as appropriate.</p> <p>(6) The contractor must ensure that suspicious activities are reported in accordance with local reporting requirements.</p> <p>(7) The contractor must provide the following information to the foreign nationals the contractor is responsible for hosting:</p> <p>(a) The terms and conditions of access approval, including restrictions and requirements to notify the host of changes in name, immigrant/ nonimmigrant status, and other information as required.</p> <p>(b) The requirement to notify the responsible host of any civil or criminal problems that could affect their status and association with DOE.</p> <p>(c) That the failure to provide appropriate documentation when required, or providing fraudulent documentation will result in suspension of access approval, removal from the site, and possible cancellation of future access.</p> |                   |                      |   |           |             |                       |

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|------|--|-------------------|---|---|-----------|-------------|-----------------------|
|      |  |                   |   | Item  | Frequency | Due Date(s) | Recipient (e.g., SSO) |
| 4.c. | Escorts of Foreign Nationals.<br>(1) The contractor is responsible for ensuring that foreign nationals working or traveling within a site are escorted, when required, as identified by the SSP, to ensure there is no unauthorized access.<br>(2) The contractor must also ensure compliance with all requirements for escorts identified in the SSP. | In compliance     | All access and escort requirements are enforced per the SLAC SSP. | n/a   | n/a       | n/a         | n/a                   |
| 5    | DEFINITIONS<br>Terms used for the purpose of the Order are defined in Attachment 2.  | In compliance     | SLAC will implement the definitions in the Order.                 | n/a   | n/a       | n/a         | n/a                   |

(end CRD)

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**Attachment 2 – Definitions – Federal Employees and Contractors**

1. Access Request. Seeking permission to enter a DOE site and/or use DOE information or technologies.
2. Approval Authority. The individual who has been assigned the responsibility and accountability to approve requests for access by foreign nationals to a DOE site, program, information, or technology.
3. Cognizant Secretarial Officer (CSO). Headquarters Assistant Secretaries, Deputy Administrator, and Directors responsible for oversight or institutional management of DOE/NNSA facilities.
4. Contractor. This term, for the purposes of this Order, means an entity that has a contract with DOE/NNSA that incorporates the CRD or its requirements.
5. Country of Risk. Any foreign country determined to be of risk, following consideration of, but not limited to, the Office of the Director of National Intelligence World Wide Threat Assessment and The National Counterintelligence Strategy of the United States of America, by the Under Secretary for Science in consultation with the Under Secretary of Energy; the Under Secretary for Nuclear Security; and the Office of Intelligence and Counterintelligence.
6. Curriculum Vitae (CV). CV is a detailed document highlighting professional and academic history. A CV must include any education/employment history. There should be no lapses in time. CVs include extensive information on academic background, including teaching experience, degrees, research, awards, publications, presentations, and other achievements. In the absence of a CV, a resume may be used.
7. Dual Citizen. An individual who is a citizen of more than one country.
8. Foreign National. A person without U.S. citizenship or nationality (may include a stateless person).
9. General Access Area. A type of security area established to allow access to certain areas with minimum security requirements as determined by the cognizant security authority. These designated areas are accessible to all personnel including the public.
10. Heads of Departmental Elements. Heads of Departmental Elements include DOE's Under Secretaries, Assistant Secretaries, the NNSA Administrator, Program Office Directors, Power Marketing Administrators, or equivalent DOE officials, or any other official(s) the Head of Departmental Element designates to carry out his or her responsibilities under this Order.



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11. Heads of Field Elements/Field Office Managers. Officials who direct activities of DOE/NNSA field or site offices and field organizations reporting directly to Headquarters and serve as line management, site-level mission integrators, and as the authorizing officials for activities at the site on behalf of the Administrator.
12. Host. The DOE or DOE contractor employee responsible for the activities associated with foreign national access.
13. Indices Checks. A procedure whereby a request is made to appropriate U.S. Government agencies to determine whether information exists on a particular foreign national. Indices checks are valid for a period of 2 years from the indices completion date, as documented in the Foreign Access Central Tracking System by the Office of Intelligence and Counterintelligence.
14. Information. DOE information of a programmatic, scientific or technical nature, regardless of format or medium on which it is recorded, created, or possessed by the Government or a Contractor.
15. Lawful Permanent Resident (LPR). One who has the right to reside permanently and work in the United States. Unlike a U.S. citizen, however, an LPR is not permitted by states to vote in national elections and can be deported if, for example, convicted of certain crimes. An LPR may also be known as a permanent resident alien or Green Card holder.
16. National of a Country of Risk. A foreign national who was born in, is a citizen of, is employed by, or represents a government, company institution or other organization based in a country identified as a Country of Risk.
17. National of a State Sponsor of Terrorism. A foreign national who was born in, is a citizen of, is employed by, or represents a government, company, institution, or other organization based in a country on the Department of State list of State Sponsors of Terrorism.
18. National Security. The national defense and foreign relations of the United States.
19. Non-Sensitive Country National. A foreign national who was born in, is a citizen of, is employed by, or represents a government, company, organization, or institution that is located in a country not on the sensitive country list and not a state sponsor of terrorism as identified by the Department of State.
20. Personal Visit. A Personal Visit does not include access to DOE or Contractor information or technology. Examples may include lunches with friends or relatives, retirement celebrations, or other social events.
21. Program Secretarial Officer (PSO). Headquarters Assistant Secretaries, Deputy
22. Administrator, and Directors who have management responsibility for program planning, budgeting, and execution of DOE/NNSA mission program activities.



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23. Public Event. Public events are those that include only information that is not protected by statute, regulation, or DOE policy, and is determined to be releasable to the general public, are held in locations that are accessible to the general public, and are available for attendance by the general public.
24. Property Protection Area. A type of security area having defined boundaries and access controls for the protection of Departmental property.
25. Research. Systematic investigation, including research, development, testing, and evaluation designed to develop, expand or contribute to general knowledge.
26. Science and Technology Risk Matrix (S&T Risk Matrix). Critical emerging research and technologies that require protection which do not otherwise have control mechanisms (i.e. classified information, International Traffic in Arms Regulations, export controls). The S&T Risk Matrix is intended to highlight areas of emerging and potential concern associated with economic and/or intellectual competitiveness and not to overlap or supersede existing controls associated with national security or commerce restrictions.
27. Sensitive Country List. A list of countries to which particular consideration is given for policy reasons during the DOE internal review and approval process for access by foreign nationals. Countries may appear on the list for national security, nuclear nonproliferation, or terrorism support reasons.
28. Sensitive Country National. A foreign national who was born in, is a citizen of, or is employed by a government, employer, institution or organization of a sensitive country.
29. Sensitive Subjects. Unclassified subjects and topics identified in existing Federal regulations governing export control as well as those identified by the Department as unique to its work, which involve information, activities, and/or technologies that are relevant to national and economic security. This includes items identified in the research areas determined to be restricted in the current S&T Risk Matrix and items identified as Controlled Unclassified Information (CUI) Specified.
30. Site. A geographical area where one or more facilities are located, or DOE-controlled land area including DOE-owned facilities (e.g., the Oak Ridge National Laboratory, the Nevada National Security Site, the Hanford Site, Idaho National laboratory, the Pantex Plant).
31. Specialized Enhanced Vetting. Vetting required to support S&T Risk Matrix exemption approval determination to be conducted by the Office of Intelligence and Counterintelligence based on the individual's background. The S&T Risk Matrix exemption request, including the completed supplemental questionnaire, is utilized to perform an enhanced background check with Intelligence Community partners.
32. State Sponsors of Terrorism. Countries that have been identified by the Department of State as sponsors of groups and/or activities which support terrorism or terrorist activities and are on the list of state sponsors of terrorism.





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33. Subject Matter Expert. An individual who is knowledgeable about the professional standards, requirements, and practices used within the discipline he/she represents (i.e., security, export control, technology transfer, counterintelligence, or intelligence).
34. Technology. Technology is derived from basic or applied research, development, engineering, technological demonstration, economic and social research, or scientific inquiry into phenomena or technology applications. It includes the use and application of scientific equipment, may be recorded or spoken, may be represented in a medium for storage of communication, and may be contained in computer software with scientific and technical applications.
35. Third-Party Events. Activities that a DOE site hosts that are not directly in support of the DOE mission; does not include information that is protected by statute, regulation, or DOE policy and is determined to be releasable to the general public.



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**SLAC Definition for Work and Visit/Assignee/Work**

**Assignee/Work:** The individual will be performing work at, or for, SLAC. This includes any of the following:

1. Persons being compensated through the prime or sub-contract,
2. Participation in reviews, meetings, workshops, and conferences involving access to non-public technical details about work performed under the DOE mission,
3. Performing experiments including but not limited to using DOE User Facilities or SLAC Labs, or
4. All individuals requiring access to DOE-owned/operated networks or information technology systems including remote access.

**Visitor (SLAC definition):** Visitors are those individuals accessing the site but not performing work, as defined above. Examples may include, but are not limited to the following:

1. Individuals coming to SLAC to attend a conference/seminar involving public information, or not related to the DOE mission
2. Anyone attending special events at SLAC that do not require any training.
3. All individuals staying at the Stanford guesthouse.
4. All delivery personal/vendors making deliveries to SLAC in General Access Areas.
5. Individuals participating in Job-walks or tours, not performing work on site.
6. Individuals coming on site to participate in Tours, Personal visits.



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**Approvals – Signature and Date**

|                |  |                       |                  |
|----------------|--|-----------------------|------------------|
| Simon Ovrachim | Security Program Manager,<br>SLAC          | <b>Simon Ovrachim</b> | <b>5-10-2023</b> |
| John Connolly  | Deputy Director for<br>Operations, SLAC    |                       | 5/12/2023        |
| Nancy Maté     | DOE Security<br>Specialist, DOE SSO        |                       |                  |
| Hanley Lee     | Head of Field Element,<br>Manager, DOE SSO |                       |                  |

Please return signed document to [Burnett@SLAC.Stanford.edu](mailto:Burnett@SLAC.Stanford.edu).

**Revision History**

| Revision | Revision Date | Summary of Change(s)  |
|----------|---------------|---|
| R1       | 5/09/2023     | Updated implementing and compliance methods for DOE S&T Matrix. |