



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



DOE Order 471.3, Chg. 1 – Identifying and Protecting Official Use Only Information (1/13/2011)
Site Compliance Plan (2/11/2021)

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Introduction

This Site Compliance Plan (SCP):

- a) corresponds with the version of the DOE Order on Identifying and Protecting Official Use Only Information listed in the Prime Contract,
- b) outlines the specific CRD sections that apply to SLAC and the respective method of compliance clarifies that the Lab “In compliance”. The applicable sections identified herein define SLAC’s Baseline Level of Protection (BLP) as it correlates with the CRD and the SLAC Site Security Plan (SSP), states how the Laboratory complies with applicable requirements as tailored to the risks at the Laboratory,
- c) correlates and compares SLAC’s Safeguards and Security Program and Site Security Plan with the CRD of this Order, and
- d) documents recurring deliverables* and DOE-approved methods of compliance for applicable requirements.

Impact on the Contract:

Under the SCP, sections of the Order 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 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 memorializes the Parties’ agreement on how SLAC will comply with sections of the Order (whether or not modified).

**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

§	Requirement from Attachment 1 – CRD	Compliance Status	Method of Compliance	Deliverables*			
				Item	Frequency	Due Date(s)	Recipient (e.g., BASO)
1	Determine whether unclassified documents created and/or handled in the performance of this contract contain Official Use Only (OUO) information. (See Chapter I, paragraphs 2a and 2b, of the CRD for DOE M 471.3-1, Manual for Identifying and Protecting Official Use Only Information, dated 4-9-03.)	6/30/2021	SLAC will develop protocols based on DOE M 471.3-1.	N/A	N/A	N/A	N/A
2	Ensure that documents determined to contain OUO information are marked appropriately. (See Chapter I, paragraph 4, of the CRD for DOE M 471.3-1.) Except for Unclassified Controlled Nuclear Information (UCNI) and Naval Nuclear Propulsion Information (NNPI), OUO markings are the only markings to be used to designate documents containing unclassified controlled information. Additional markings that are based on law, regulation, or other DOE CRD that convey additional advice on handling or access restrictions (e.g., “Protected CRADA Information,” “Export Controlled Information”) are allowed.	In progress 6/30/2021	SLAC will develop protocols based on DOE M 471.3-1.	N/A	N/A	N/A	N/A

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3	Ensure that documents determined to no longer warrant protection as OOU have their markings removed. [See Chapter I, paragraphs 4g(1) and 4g(2) of the CRD for DOE M 471.3-1.]	In progress 6/30/2021	SLAC will develop protocols based on DOE M 471.3-1.	N/A	N/A	N/A	N/A
4	Ensure that access to (a) documents marked as containing OOU information or (b) OOU information from such documents is only provided to those persons who need to know the information to perform their jobs or other DOE-authorized activities.	In progress 6/30/2021	SLAC will develop protocols/procedures and will follow the requirement.	N/A	N/A	N/A	N/A
5	Ensure that documents marked as containing OOU information and other-Agency documents with equivalent markings [e.g., “For Official Use Only” (FOUO) from the Department of Defense; “Sensitive But Unclassified” (SBU) from the Department of State; “Limited Official Use” (LOU) from the Department of Justice] are protected. (See Chapter II, paragraph 2, of the CRD for DOE M 471.3-1.)	In progress 6/30/2021	SLAC will develop protocols based on DOE M 471.3-1.	N/A	N/A	N/A	N/A
6	Ensure that a request for a variance (i.e., an alternate or equivalent means of meeting a requirement) or waiver from any requirements in the CRD for DOE O 471.3 or DOE M 471.3-1	In compliance	SLAC will develop protocols based on DOE M 471.3-1.	N/A	N/A	N/A	N/A

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				Item	Frequency	Due Date(s)	Recipient (e.g., BASO)
	are provided to the appropriate Secretarial Officer. Such request must (a) identify the requirement for which a variance or waiver is being requested; (b) explain why the variance or waiver is needed; and (c) if requesting a variance, describe the alternate or equivalent means for meeting the requirement.						
7	Impose an administrative penalty, as appropriate, if (a) OOU information from a document marked as containing OOU information is intentionally released to a person who does not need to know the information to perform his or her job or other DOE-authorized Activities, (b) a document marked as containing OOU information is intentionally or negligently released to a person who does not need to know the information to perform his or her job or other DOE-authorized activities, (c) a document that is known to contain OOU information is intentionally not marked , or (d) a document that is known to not contain OOU information is intentionally marked as containing such information.	In progress 5/1/2021	Security will work with HR to create protocols/policies for this requirement.	N/A	N/A	N/A	N/A

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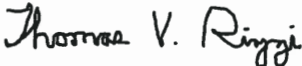

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(end CRD)

Approvals

Name	Title	Signature	Date
Brian Sherin	Deputy Director for Operations, SLAC		2/ 12/2021
Thomas V. Rizzi	Division Director of Operations, BASO		02/16/2021
Paul Golan	Head of Field Element, BASO		2/16/2021

Please return signed document to Contract Management.

Revision History

Revision	Revision Date	Summary of Change(s)
R0	2/11/2021	Original release.

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