



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



**DOE Order 413.2C, Laboratory Directed Research and Development Chg. 1 (MinChg)(08/02/2018)**  
**Site Compliance Plan, (final rev. 1/11/2021)**

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**Introduction:**

This Site Compliance Plan (SCP):

- a) corresponds with the version of the DOE Order on Laboratory Directed Research and Development 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 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 memorializes the Parties’ agreement on how SLAC will comply with sections of the CRD (whether or not modified).

**Attachment 1 - Contractor Requirements Document (CRD)**

CRD §	Requirements from CRD, Attachment 1	Compliance Status	Method of Compliance	Deliverables*			
				Item	Frequency	Due Date(s)	Recipient (e.g., BASO)
1.	Establish and maintain a management system to ensure that the laboratory directed research and development (LDRD) program meets the following requirements.	Outlined in sections below					
1.a	LDRD projects must be in the forefront areas of science and technology relevant to Department of Energy (DOE)/National Nuclear Security Administration (NNSA) missions. Normally LDRD projects will be	In compliance	Once a year, SLAC conducts a 3-phase review process of the proposals submitted to the LDRD program to ensure that these are at the forefront of their field and that the impact of the deliverables is significant and relevant to the missions of the Laboratory and DOE. The stages of this review process are: a) an external peer-review b) an internal panel	n/a	n/a	n/a	n/a

\*Deliverables: Data delivered to DOE or other external agency as required by the text of the CRD (e.g., recurring reporting, external database entries)



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	relatively small and will also include one or more of the following characteristics— (1) advanced study of hypotheses, concepts, or innovative approaches to scientific or technical problems; (2) experiments and analyses directed towards “proof of principle” or early determination of the utility of new scientific ideas, technical concepts, or devices; and (3) conception and preliminary technical analyses of experimental facilities or devices.		(SLAC/Stanford U. members) review where lead investigators present and answer questions and c) a strategic alignment review conducted by the Laboratory’s senior leadership on the top 40% of the ranked proposals following stages a), b).				
<b>1.b.</b>	Normally LDRD projects will be limited to a maximum period of performance of 36 months. Exceptions may be granted by the cognizant Secretarial Officer (CSO)/Deputy Administrator, NNSA, or his/her authorized designee.	In compliance	LDRD funds are awarded at SLAC typically for a 2-year project period to allow for a rapid throughput of scientific results and new ideas. This award period also ensures that the work performed does not exceed 36 months. For exceptional cases, 3-year awards have been allowed, and for these as well as all other projects, costs are tracked to ensure that work is performed as planned and in compliance with the 36-month limit.	n/a	n/a	n/a	n/a
<b>1.c.</b>	DOE/NNSA must concur on each laboratory LDRD project before the project is started and annually for continuations each fiscal year.	In compliance	The SLAC Laboratory Director submits an annual concurrence letter of the selected LDRD awards (new and continuing projects) to the Bay Area Site Office (BASO) Manager for approval prior to the start of the fiscal year. In cases where additional LDRD project are authorized after the start of the fiscal year, a revised concurrence letter is prepared and re-submitted to the BASO for approval.	Concurrence letter from Laboratory Director	Annual and as needed for revisions	9/15 and as needed for revisions	BASO
<b>1.d</b>	The funding level established for LDRD must be within the congressionally	In compliance	The concurrence letter that the SLAC Laboratory Director submits to the BASO Manager includes a ceiling amount that is calculated to be below the congressionally mandated limit.	n/a	n/a	n/a	n/a

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	mandated limits <sup>1</sup> of a laboratory's total operating and capital equipment budgets for the year. For the purposes of this policy, the operating and capital equipment budget includes non-DOE funded work but excludes line-item construction activities and LDRD.						
1.e.	Establish a cost accounting system that ensures that no individual program, project, or activity is charged more than the statutory maximum limit authorized for LDRD. Attachment 1 DOE O 413.2C (1) DOE laboratories shall allocate LDRD costs by applying a uniform rate to the same base that is used to calculate the LDRD budget for the year (See 1.d. above). (2) This methodology shall be described in the Cost Accounting Standards disclosure statement and approved by DOE/NNSA.	In compliance	Rate plans are programmed into the cost accounting system to apply LDRD appropriately.	LDRD Certification	Annual	11/15	BASO
1.f.	General and Administrative (G&A) costs must not be allocated to LDRD costs, however other indirect charges should be allocated to LDRD in accordance with the contactor's approved cost accounting practices. <sup>2</sup>	In compliance	An attribute resides in the accounting system that identifies all projects (charge numbers) that are created for LDRD activities.	n/a	n/a	n/a	n/a

<sup>1</sup> The Consolidated Appropriations Act, 2014, P.L. 113-076 sets the maximum LDRD funding level to 6% of the total operating and capital equipment budget of a laboratory and the National Defense Authorization Act, 2016, P.L. 114-92, Division C, Section 3115 required national security laboratories to use 5-7% of funds provided for national security purposes to be collected for LDRD.

<sup>2</sup> Senate Report 114-236, as adopted by the explanatory statement for the Consolidated Appropriations Act, of 2017, which directs DOE to ensure that laboratory operating contractors do not allocate G&A onto LDRD.

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1.g.	Costs must be incurred for LDRD projects in the same fiscal year in which the LDRD funds are collected.	In compliance	There is no carry-over of LDRD funds.	n/a	n/a	n/a	n/a
1.h.	LDRD funds must not be used to— (1) substitute for or increase funding for any tasks for which a specific limitation has been established by Congress or the Department or for any specific tasks that are funded by DOE/NNSA or other users of the laboratory; (2) fund projects that will require the addition of non-LDRD funds to accomplish the technical goals of the LDRD project, except as provided by legislation; (3) fund construction design beyond the preliminary phase (e.g., conceptual design, Title I design work, or any similar or more advanced design effort) or fund line-item construction projects, in whole or in part; or (4) fund general purpose capital expenditures with the exception of acquisition of general-purpose equipment that is clearly required for the project and is not otherwise readily available from the laboratory inventory.	In compliance	The scope of work and budget allocation of the LDRD projects is reviewed against these requirements prior to the award decision. The LDRD program also holds a kickoff meeting at the start of the fiscal year to communicate these requirements. Compliance is further ensured via mid-year progress reports and discussion with the Office of Strategic Planning.	n/a	n/a	n/a	n/a
1.i.	The LDRD program must— (1) include all discretionary research and development activities other	In compliance	Discretionary R&D is funded by the LDRD program in a manner consistent with our Prime Contract and excludes	n/a	n/a	n/a	n/a

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	than those provided for in a DOE/NNSA program or by specific designation in a DOE contract and (2) be consistent with all other applicable requirements for similar research and development activities at the laboratory.		activities funded by other DOE programs. Our proposal review process ensures compliance with this requirement.				
2.	Establish criteria that emphasize innovative scientific and technological excellence for selection of projects using internal peer and/or technical management review. A significant number of the projects selected should be those independently proposed by individual researchers or small multidisciplinary teams.	In compliance	See 1.a. Technical review criteria asks for assessment on impact to the field, degree of innovation, proposed research methods and feasibility. SLAC LDRD proposals originate from individual researchers or small multidisciplinary teams.	n/a	n/a	n/a	n/a
3.	Submit an annual LDRD program plan for approval to the CSO/Deputy Administrator, NNSA, and the responsible DOE/NNSA site/field office manager at least 45 days before the start of the fiscal year. The plan must provide a requested funding level, general description, and justification of the LDRD program; the plan must also explain how this program will meet laboratory needs, support the laboratory's mission, and benefit DOE/NNSA and the nation.	In compliance	SLAC submits an annual LDRD program plan through Appendix 3 of the Annual Lab Plan per guidance of the Office of Laboratory Policy in the Office of Science. The Annual Lab Plan briefing also includes a required set of LDRD program slides. The content is reviewed by the Office of Science leadership team and BASO.	Appendix 3- Annual Lab Plan document and Annual Lab Plan briefing slides	Annual	8/15	CSO/Deputy Administrator and BASO
4.	Provide a report on completed projects to the Office of Scientific and Technical Information (OSTI).	In compliance	SLAC collects at the end of each fiscal year reports from all LDRD projects (ongoing and completed). The reports of completed projects are made available to OSTI if requested.	Annual Completed LDRD Projects Report	Annual	n/a	OSTI

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5.	Maintain short and long-term performance indicators for the LDRD program at the laboratory, including the shared set of program performance measures developed by the Cognizant Secretarial Officers and coordinated by the Director, Office of Science.	In compliance	Data is collected annually on the following: postdoctoral researchers supported by LDRD, peer-reviewed publications, and intellectual property. Data is sourced from lead investigator reports reflecting activities from the recently concluded FY. Long-term performance is tracked over a 5-year horizon after the project is active by collecting the same data post-completion, including accomplishments directly resulting from LDRD-funded effort. This additional data is collected through a survey issued annually for up to 5 years after project completion. Both the current and long-term performance indicators are archived in an LDRD program metrics database updated annually.	n/a	n/a	n/a	n/a
6.	Collect and provide other data on the LDRD program as negotiated with the CSO/Deputy Administrator, NNSA, including data necessary to complete the annual LDRD Report to Congress.	In compliance	In response to the data call for the annual DOE LDRD report to Congress, SLAC collects standard program performance measures as requested by the CSO/Deputy Administrator within 45 days after the closeout of the fiscal year.	Datasheet for Congress	Annual	11/15	OSC- LP
7.	Lead or participate in LDRD program reviews of the business and technical aspects of the program.	In compliance	SLAC participates in the Annual DOE/NNSA LDRD program review.	n/a	n/a	n/a	n/a
8.	Submit to the CSO/Deputy Administrator, NNSA or his/her designee requests for exceptions to the LDRD maximum 36-month performance period.	In compliance	In the event that a project exceeds 36 months performance period, the Office of Strategic Planning will submit a letter to the BASO to request an exemption.	n/a	n/a	n/a	n/a
9.	Evaluate the quality of science and technology of the LDRD projects.	In compliance	See 1.a. The progress of ongoing LDRD projects is evaluated annually with senior management and authorization to continue is contingent upon the quality of accomplishments or expected results.	n/a	n/a	n/a	n/a
10.	Annually submit a project data sheet to the responsible DOE/NNSA site/field office manager for each LDRD project.	In compliance	SLAC collects at the end of each fiscal year reports from all LDRD projects (ongoing and completed). The report/data sheet for each LDRD project consists of a brief summary of the project and its accomplishments, as well as the standard LDRD performance metrics (e.g. # of publications, # of postdocs hired, follow-on funding, # of patents). Data sheets are made available to BASO if requested.	Annual LDRD Project Data Sheet	Annual	n/a	BASO

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**Approvals**

Name	Title	Signature	Date
Despina Milathianaki	Director of Strategic Planning, SLAC		1/11/2021
Norbert Holtkamp	Deputy Director, SLAC		01/11/2021
Hanley Lee	Deputy Site Manager, BASO	<b>Hanley Lee</b> Digitally signed by Hanley Lee Date: 2021.01.12 07:56:31 -08'00'	
Paul Golan	Head of Field Element, Manager, BASO		1/12/21

Please return signed document to Contract Management

**Revision History**

Revision	Revision Date	Summary of Change(s)
R0	1/11/2021	Original Release