



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



**DOE Order 551.1D – Official Foreign Travel (4/2/2012)**  
**Site Compliance Plan** (final rev., 07/07/2016)

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**Introduction**

This Site Compliance Plan (SCP):

- a) corresponds with the version of the DOE Order on Official Foreign Travel listed in the Prime Contract,
- b) states how the Laboratory complies with applicable requirements as tailored to the risks at the Laboratory,
- c) identifies CRD sections that do not apply, and
- d) 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 memorializes the Parties’ agreement on how SLAC will comply with sections of the CRD (whether or not modified).

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

CRD §	Requirements from CRD, Attachment 1	Compliance Status	Method of Compliance	Deliverables* (managed through <a href="#">SLACTrak</a> )			
				Item	Frequency	Due Date(s)	Recipient (e.g., SSO)
<b>1.</b>	In preparing for or performing official foreign travel, contractors must comply with the following requirements.	Outlined in sections below					
<b>1.a.</b>	Review, approve, and oversee all foreign travel under their purview.	In compliance	SLAC Travel Policy and Procedures state that all foreign travel must be approved on SLAC’s Foreign Travel Authorization (FTA) by the traveler’s supervisor	n/a	n/a	n/a	n/a

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				Item	Frequency	Due Date(s)	Recipient (e.g., SSO)
			and business manager. The SLAC Travel Office audits for proper approval on the FTA.				
<b>1.b.</b>	Establish appropriate internal controls to ensure accountability within their organizations.	In compliance	See 1.a.	n/a	n/a	n/a	n/a
<b>1.c.</b>	Laboratory and other facility site contractors are delegated the authority to approve foreign travel at the site/facility. This authority will enable the site/facility to purchase airline tickets in a more timely manner with potential cost savings to the site/facility. The Responsible Program Secretarial Officer or Deputy Administrator, NNSA, will have five (5) business days from the date of the site/facility approval to review the travel and disapprove, if necessary. In addition, the Responsible Program Secretarial Officer or Deputy Administrator, NNSA, may request clarification or justification of costs at any point in the process as part of financial due diligence of appropriated funds. If a Contractor fails to meet the requirements set forth in the CRD, including specifically that of securing granted country clearance prior to departure, the corresponding laboratory/site may have its delegation of authority revoked.	In compliance	The SLAC Travel Office staff enters trip requests into FTMS with delegated authority from DOE.	n/a	n/a	n/a	n/a

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				Item	Frequency	Due Date(s)	Recipient (e.g., SSO)
1.d.	Ensure that official or diplomatic passport requests are submitted to the Responsible Program Secretarial Officer or Deputy Administrator, NNSA for review, approval, and submission to the Department of State. The Department of State does not require contractors to obtain an official passport when conducting USG business, but the Program Office may decide that based on the contractor's mission that it would be beneficial for the contractor to have an official passport and request the Department of State to issue an official passport. The Department of State will determine whether an official or diplomatic passport is warranted. If an official or diplomatic passport has been issued to the contractor, then the contractor must only travel on the official or diplomatic passport (except in cases where the USG does not have diplomatic relations with another country).	Does not apply to SLAC; No official or diplomatic passports used at SLAC.					
1.e.	Coordinate the review of official foreign travel as necessary with DOE officials responsible for export control and technology concerns and with DOE officials responsible for intelligence, counterintelligence and security when the traveler has an SCI	In compliance	SLAC conducts fundamental research that is generally accorded exempt status under U.S. export control regulations. For more information, please visit <a href="http://www-group.slac.stanford.edu/hr/fva/export.htm">http://www-group.slac.stanford.edu/hr/fva/export.htm</a>	n/a	n/a	n/a	n/a

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	clearance or the trip is for official DOE business.						
1.f.	Ensure travelers are on DOE-accepted airline carriers. The site/facility will have responsibility to establish procedures and policy involving the traveler for reviewing and making a determination as to the necessity to travel and the method of travel when an airline carrier is not on the DOE-accepted airline carrier list. The Office of Aviation Management will be available for consultation on airlines that are not on the DOE-accepted airline carriers.	In compliance	SLAC complies with the Fly America Act, 49 U.S.C. 40118 that requires the use of U.S. flag carriers to destinations they serve. These airlines and their code share partners are common carriers on the DOE-accepted list.  The Prime Contract for the operation of SLAC (DE-AC02-76-SF00515), Clause I.76, FAR 52.247-63 Preference for U.S.-Flag Carriers (Jun 2003), prescribes further regulation on airline usage. SLAC Travel complies with the terms of this Contract Clause.	n/a	n/a	n/a	n/a
1.g.	Consult with export licensing officials at the Department of Commerce, State, Energy and Treasury, and the Nuclear Regulatory Commission, as appropriate, to ensure compliance with U.S. export laws and regulations applying to specific foreign travel requests.	Does not apply to SLAC; SLAC does not conduct nuclear nor classified research.					
1.h.	Comply with the following requirements for obtaining country clearance. (1) Provide sufficient information for the Responsible Program Secretarial Officer or Deputy Administrator, NNSA, to provide notification to the U.S. Embassy in the country to be visited.	In compliance	The relevant information as required in the FTMS is provided by the SLAC Travel Office.  The SLAC Travel Office obtains country clearance for non-sensitive countries and non-major conferences. Otherwise, DOE holds that responsibility (i.e. for sensitive countries and major conference travel). The SLAC Travel Office ensures that country clearance is granted prior to the start of travel and will follow up with DOE or the appropriate U.S. Embassy if country	n/a	n/a	n/a	n/a

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	(2) Receive country clearance from the U.S. Embassy in the country to be visited before the start of the travel.		clearance is not received by approximately 5-7 business days before the departure date.				
<b>1.i.</b>	Comply with pre-briefings, as appropriate, prior to the start of official foreign travel and provide debriefings, as appropriate, upon return by and at the discretion of the Office of Intelligence and Counterintelligence when travel is to a sensitive country, and/or interacting with sensitive country foreign nationals regardless of destination country, regardless of whether the traveler holds a security clearance.	In compliance	DOE Office of Intelligence and Counterintelligence officers contact travelers directly to meet for briefings or debriefings. These are carried out at the discretion of the officers.	n/a	n/a	n/a	n/a
<b>1.j.</b>	Coordinate with emergency response personnel to provide briefings to appropriate offices/officials as requested upon return from travel.	In compliance	If necessary, SLAC’s emergency management team calls for a meeting with the traveler.	n/a	n/a	n/a	n/a
<b>1.k.</b>	Consider the travel risk and employee safety regarding travel including airline carriers and short-term medical and evacuation coverage to all countries.	In compliance	SLAC employee travelers are covered under Stanford University’s insurance policy with SOS International.	n/a	n/a	n/a	n/a
<b>1.l.</b>	Check with Medical Health Support Services to ensure awareness of safety and health issues of the country to be visited.	In compliance	The SLAC Travel Office instructs travelers to contact SLAC Medical Health Support.	n/a	n/a	n/a	n/a
<b>1.m.</b>	Ensure that visas, when required, are obtained for official travel.	In compliance	If required, travelers apply for a visa directly from the appropriate Consulate’s Office, or through a third party CIBT linked on the SLAC Travel Office website.	n/a	n/a	n/a	n/a

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1.n.	Comply with Department of State requirements that personnel embarking on foreign travel for 30 consecutive days or more must take the Serving Abroad for Families & Employees (S.A.F.E.) training. The S.A.F.E. training includes two courses, namely, “Security Overseas Seminar” and “Introduction to Working in an Embassy.” S.A.F.E. training is available at no cost at <a href="https://ftms.doe.gov/SAFE_login.cfm">https://ftms.doe.gov/SAFE_login.cfm</a> .	In compliance	Travelers are required to complete the S.A.F.E. training and to submit a printed certificate of completion to the Travel Office.	n/a	n/a	n/a	n/a
1.o.	Comply with the Department of State requirement for those traveling to Iraq, Afghanistan, Pakistan, Yemen, and parts of Mexico (Tijuana, Nogales, Ciudad Juarez, Nuevo Laredo, Matamoros, and Monterrey) for more than 30 days or Sudan for more than 60 days as such travelers are required to take the Foreign Affairs Counter-Threat (FACT) Course through the Department of State on-site at the Department of State Foreign Service Institute, Washington, D.C. Due to political climates, the current list of countries may be adjusted by the Department of State. More information can be found at <a href="https://crs.state.gov/Pages/OT-610.aspx">https://crs.state.gov/Pages/OT-610.aspx</a>	In compliance	The SLAC Travel Office actively monitors for travel requests to these locations. No SLAC travel to the locations has occurred.	n/a	n/a	n/a	n/a
1.p.	Ensure that when traveling for an organization other than DOE or the	In compliance	The SLAC Travel Office uploads the appropriate country clearance and letters of invitation to FTMS.	n/a	n/a	n/a	n/a

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	contractor, a copy of the appropriate paperwork is provided to his/her Responsible Program Secretarial Officer, i.e. granted country clearance, letter of invitation.						
1.q.	Personal leave in conjunction with official and work for others (WFO) travel may be granted on a two business day to one personal day ratio (2:1), travel days to and from business location will be considered business days.	In compliance	SLAC’s Travel Policy and Procedures state: “Personal leave in conjunction with SLAC and work for others (WFO) foreign travel may not exceed a one personal day to two business days ratio (1:2). Travel days to and from a business location will be considered business days.”	n/a	n/a	n/a	n/a
2.	In controlling official foreign travel, contractors must comply with the following requirements.	Outlined in sections below					
2.a.	Utilize FTMS as the official Departmental system for tracking, monitoring, reporting, and securing approval of all foreign travel conducted by contractor employees. Trip information and approvals shall be entered into FTMS by contractors with appropriate authorities.	In compliance	The SLAC Travel Office fulfills this responsibility by entering trip information on approved FTA trips in the FTMS.	n/a	n/a	n/a	n/a

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2.b.	All official foreign travel requests shall be entered in the FTMS. This documentation should be added at least 30 calendar days before the proposed departure date, unless exigent circumstances exist. The FTMS request must be approved prior to departure.	In compliance	SLAC Travel Procedures require 35 days submission of the FTA. All late submissions require written explanation.	n/a	n/a	n/a	n/a
2.c.	Ensure that foreign travel does not begin unless all required approvals have been finalized.	In compliance	SLAC Travel Policy and Procedures state that foreign travel must be preapproved. Violations are not reimbursed with allowable funds.	n/a	n/a	n/a	n/a
2.d.	Substantial changes listed below will require reapproval: (1) addition of one or more countries in the trip request, and (2) change in trip sensitivity from nonsensitive to sensitive.	In compliance	The SLAC Travel Office reroutes requests for re-approval via the FTMS.	n/a	n/a	n/a	n/a
2.e.	Ensure for those attending conferences that conference agendas and presentations, where applicable, are uploaded into FTMS.	In compliance	The SLAC Travel Office uploads conference agendas and presentations into FTMS, when applicable.	n/a	n/a	n/a	n/a
2.f.	Perform periodic self-assessment of implementation of requirements contained in this CRD.	In compliance	The SLAC Travel Office Manager reviews the requirements bi-annually.	n/a	n/a	n/a	n/a
3.	Contractors must comply with the following trip closeout requirements.	Outlined in sections below.					
3.a.	For each trip, contractors must submit required documentation to complete close out in FTMS within 60 calendar days after return to their duty station	In compliance	The SLAC Travel Office desk procedures include: pulling the pending closeout report from the FTMS; following up with travelers to submit expense reports; and closing out submitted expenses in the FTMS.	n/a	n/a	n/a	n/a

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3.b.	For each trip, contractors must provide all travel costs by leg of the trip, including but not limited to lodging and meal costs, for entry into FTMS.	In compliance	The SLAC Travel Office enters actual travel cost into the FTMS.	n/a	n/a	n/a	n/a
3.c.	Classified information is NOT to be included in trip reports. If the trip concerns a classified subject area, a review of the report by a derivative classifier is required to ensure it contains no classified information.	Does not apply to SLAC; SLAC does not have classified information.					

(end CRD)

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### References - Attachment 2

1. Title 41 Code of Federal Regulations (CFR), Chapter 301, Federal Travel Regulations, Temporary Duty (TDY) Travel Allowances
2. 41 CFR, Chapter 304, Federal Travel Regulations, Payment from a Non-Federal Source for Travel Expenses
3. DOE O 552.1A, *Travel Policy and Procedures*, dated 2-17-06
4. DOE M 552.1-1A, *U.S. Department of Energy Travel Manual*, dated 2-17-06
5. Chapter 925 Per Diem Supplement to the Department of State's Standardized Regulation (Government Civilian Foreign Areas)
6. Presidential Decision Directive 12, Security Awareness and Reporting of Foreign Contacts, dated 8-5-93
7. DOE O 475.1, *Counterintelligence Program*, dated 12-10-04
8. Implementation regulations at 10 CFR 1060.101, *Persons who may be paid*
9. 5 U.S.C. 5703 "Per Diem Travel and Transportation Expenses" (see 10 CFR Part 1060, *Payment of Travel Expenses of Persons Who Are Not Government Employees.*)
10. *DOE Handbook on Overseas Assignments*, dated March 2011
11. Executive Order 13589 "Promoting Efficient Spending," effective 11-9-11
12. DOE O 475.2A, *Identifying Classified Information*, dated 2-1-11
13. DOE O 471.3, *Identification and Protecting Official Use Only Information*, dated 8-9-03
14. DOE M 471.3-1, *Manual for Identifying and Protecting Official Use Only Information*, dated 4-9-03
15. Title 10 Code of Federal Regulations Part 1017, Identification and Protection of Unclassified Controlled Nuclear Information
16. DOE O 471.1B, *Identification and Protection of Unclassified Controlled Nuclear Information*, dated 3-1-10
17. Open Skies Agreement, <http://www.gsa.gov/portal/content/103191>

### Definitions - Attachment 3

1. Budget and reporting (B&R) codes. Those used to reflect the Departmental source of funding for a trip.
2. Classified information. Restricted Data or Formerly Restricted Data as defined by the Atomic Energy Act or 10 CFR part 1045; TFNI Classified by the Atomic Energy Act; and NSI classified by E.O. 13526 or prior Executive orders.
3. Country clearance. Notification from the U.S. Embassy of the country to be visited that a request to travel to that country has been approved. Some U.S. Embassies from time to time will agree (with appropriate language in the cable) that clearance may be assumed.
4. Emergency response. The national technical capability to respond to radiological and nuclear incidents and accidents within the United States and abroad. This capability typically supports the Department of Energy, Department of Defense, Department of State, Federal Bureau of Investigation, and other Government agencies.
5. Foreign Travel Management System (FTMS). The official Departmental system for tracking, monitoring, reporting and securing approval of all foreign travel conducted by Federal and contractor employees. Trip information and approvals are entered into FTMS by users with appropriate authorities.
6. Head of Traveler's Organization. The top official for the organization in which the traveler is employed. For a Federal employee, the responsible Assistant Secretary or equivalent; for a contractor employee, the head of the contractor organization.
7. Official foreign travel. Approved travel (whether wholly or partly on official business) from the United States (including Alaska, Hawaii, the Commonwealths of Puerto Rico and the Northern Mariana Islands, and the territories and possessions of the United States) to a foreign country and return or travel between foreign countries by persons, including foreign nationals, whose salaries or travel expenses or both will ultimately be funded in whole or in part by DOE from its



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appropriations. Official foreign travel also includes travel funded by non-DOE (work for others) for which the traveler represents the Department or conducts business on behalf of the U.S. Government.

8. Personal leave. Leave that is considered non-workdays when travel expenses cannot be reimbursed.
9. Responsible Program Secretarial Officer (or Deputy Administrator, NNSA). Not necessarily a program officer, this is the senior DOE Headquarters official whose office will fund the requested travel or, if there is no DOE funding, the Federal official having responsibilities associated with the purpose of the requested travel. For Federal employees, this may be the same person as the head of the traveler’s organization.
10. Sensitive country. A country to which particular consideration is given for policy reasons. Countries may appear on the sensitive country list for reasons of national security, nuclear nonproliferation, regional instability, threat to national economic security, or terrorism support. The Office of Intelligence and Counterintelligence maintains the list.
11. Sensitive subjects. Unclassified subjects/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 security.

**Approvals**

<b>Name:</b>	<b>Title:</b>	<b>Signature:</b>	<b>Date:</b>
Suzanne Davidson	Chief Financial Officer, SLAC	(on file)	
Ernest Maune	Business Operations Manager, SSO	(on file)	