



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



DOE Order 241.1B – Scientific and Technical Information Management, Admin Chg. 1 (4/26/2016)

Site Compliance Plan (final rev., 07/07/2016)

Contents

Introduction 1
 Attachment 1 – Contractor Requirements Document (CRD)..... 1
 Attachment 2 – Definitions 5
 Attachment 3 – STI Products Made Available Through DOE STI Program 6
 Attachment 4 – DOE Announcement Notices and STI Metadata Elements 7
 Approvals 8

Introduction

This Site Compliance Plan (SCP):

- a) corresponds with the version of the DOE Order on Scientific and Technical Information Management 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).

Attachment 1 – Contractor Requirements Document (CRD)

CRD §	Requirements from CRD, Attachment 1	Compliance Status	Method of Compliance	Deliverables* (managed through SLACTrak)			
				Item	Frequency	Due Date(s)	Recipient (e.g., SSO)
1.	Appoint and officially inform the DOE Office of Scientific and Technical Information (OSTI) of the STI point of contact who will represent their organization in the Department’s STI Program (STIP) and serve as the STI Releasing Official or designate Releasing Official(s) responsible for ensuring that all STI and Announcement Notices (ANs) are appropriately reviewed and marked	In compliance	SLAC’s STI Services, Office of CIO, serves as SLAC’s Scientific and Technical Information (STI) Releasing Official ensuring compliance as detailed in this Implementation Plan.	n/a	n/a	n/a	n/a

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



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				Item	Frequency	Due Date(s)	Recipient (e.g., SSO)
	accordingly prior to announcement and/or submission to OSTI.						
2.	Implement a site program to identify, prioritize, and make available to DOE OSTI those STI products that the originating site deems useful beyond its boundaries (e.g., STI products that are project deliverables and are intended for publication or dissemination), whether the STI is publicly releasable, controlled unclassified information, or classified, after those products have undergone appropriate institutional review in accordance with statutory, regulatory, Executive order, and/or Departmental requirements. Attachment 3 provides a list of STI products for which submission and/or announcement procedures have been defined by OSTI and the STI Program. Specifically:	In compliance	SLAC's STI products are collected and processed through SciDoc , SLAC's scientific document repository that provides web tools for SLAC authors to register and submit their STI documents. SciDoc facilitates tracking, categorization, review, public dissemination, and reporting to OSTI.	n/a	n/a	n/a	n/a
2.a.	Provide OSTI an electronic AN for each STI product. Attachment 4 provides a list of available ANs for use and the metadata elements required for each AN.	In compliance	Announcement Notices (AN) for SLAC STI document products deemed useful by SLAC are provided via OSTI-to-Site TAP Records (formerly called "Harvest Records"). As appropriate, other STI products are reported using OSTI's AN forms on the eLink website (http://www.osti.gov/mlink).	n/a	n/a	n/a	n/a
2.b.	Ensure that each STI product is in an electronic format suitable for automated indexing systems. Refer to www.osti.gov/stip for electronic format options.	In compliance	DOCUMENTS: SLAC aligns all STI products with those mandated by the DOE. All STI products submitted electronically to SciDoc are reviewed to ensure they meet both SLAC and DOE criteria. When STI products are identified they are assigned metadata and submitted to OSTI.	n/a	n/a	n/a	n/a

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CRD §	Requirements from CRD, Attachment 1	Compliance Status	Method of Compliance	Deliverables* (managed through SLACTrak)			
				Item	Frequency	Due Date(s)	Recipient (e.g., SSO)
			NEW PRODUCTS: In collaboration with OSTI, SLAC defines STI products, processes, both manual and system supported.				
2.c.	Ensure that each STI product is either submitted to OSTI or, if publicly releasable and posted at a website, that the AN provides the unique persistent identifier for the corresponding STI item or provides other availability information.	In compliance	SLAC provides OSTI with appropriate STI metadata, including links to publicly releasable, full-text documents posted to SciDoc, as well as metadata from journal, conference, and arXiv.org servers where these documents may also appear. All unique persistent identifiers are included such as report numbers, citation information, and the Digital Object Identifier (DOI), where available.	n/a	n/a	n/a	n/a
3.	Review STI generated under the contract to determine appropriate release and handling and apply any necessary statutory or program-driven announcement and/or availability restrictions, including those related to nonproliferation, national security, export control, intellectual property, protected Personally Identifiable Information and privacy. In addition, apply to the STI product any restrictive markings required, include any required legal disclaimers, and, for STI products resulting from DOE-funded work, identify the sponsor as follows: U.S. Department of Energy, [name of DOE program office], [name of DOE subprogram].	In compliance	INTELLECTUAL PROPERTY/PII: As an integral part of its STI program, SLAC reviews all STI for intellectual property and personally identifiable information (PII) to prevent public distribution and use. EXPORT CONTROL: SLAC does not generate classified, Unclassified Controlled Nuclear Information (UCNI), or Controlled Unclassified Information (CUI) as part of its research activity; for these purposes (see Section 4.c of the Order) is not applicable. SPONSORING ORGANIZATION: SLAC currently reports its sponsor as US DOE under an agreement with DOE's Office of Scientific and Technical Information (OSTI) Program Management. SLAC will update its processes to include specific Sponsoring Organization metadata in the OSTI-to-Site TAP Records. SLAC implemented this functionality into SciDoc in FY12.	n/a	n/a	n/a	n/a
4.	Inform OSTI when STI previously announced or submitted to OSTI has been modified, such as	In compliance	As part of the STI program, SLAC notifies OSTI of updates to previously submitted STI	n/a	n/a	n/a	n/a

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CRD §	Requirements from CRD, Attachment 1	Compliance Status	Method of Compliance	Deliverables* (managed through SLACTrak)			
				Item	Frequency	Due Date(s)	Recipient (e.g., SSO)
	changes to access limitations or content corrections. Also, when permanently removing STI from a website for which a persistent link was provided to OSTI, inform OSTI in order to ensure continued appropriate availability and preservation by DOE.		documents automatically using its harvesting scripts, and manually for cancellations or file removal using OSTI's AN forms and tools provided on the eLink website (http://www.osti.gov/mlink)				
5.	In implementing a site STI program, refer to best practices and National Archives and Records Administration (NARA)-approved DOE programmatic records schedules, such as Department of Energy Research and Development Records Schedule, N1-434-96-9, N1-434-07-01, and N1-434-08-02, Revision 2, June 2008. This schedule includes Appendix A, R&D Technical Reports or Other Forms of STI Submitted to the Office of Scientific and Technical Information (OSTI). (http://www.cio.energy.gov/documents/rd_revised.pdf).	In compliance	SLAC works with OSTI to ensure that NARA's best practices are applied in the administration of its STI product management. STI Program at SLAC (e.g., procedures, process workflows, and requirements, have been established and are maintained on the STI Program website (https://portal.slac.stanford.edu/teams/websolutions/sti/SitePages/Home.aspx).	n/a	n/a	n/a	n/a

NOTE: The DOE STI Program website (www.osti.gov/stip) provides information to assist in implementing the requirements of this Contractor Requirements Document. The website includes instructions and examples based on best practices that are developed in coordination with the DOE and contractor STI community.

(end CRD)

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Attachment 2 – Definitions

This Attachment provides definitions associated with DOE O 241.1B and applicable to contracts in which the associated CRD (Attachment 1 to DOE O 241.1B) is inserted.

1. Announcement Notice (AN). A set of metadata defined for a specific type of STI for use in describing an STI product for announcement and availability. (See Attachment 4, DOE Announcement Notices and STI Metadata Elements.) The AN is transmitted electronically to OSTI for STI products and includes review and release information, enabling announcement and searchable online access as appropriate.
2. Controlled Unclassified Information (CUI). Certain unclassified information requiring safeguarding and dissemination controls mandated by statute or policy. Examples of such information within DOE include Official Use Only (OUO), Export Controlled Information (ECI), Unclassified Controlled Nuclear Information (UCNI), unclassified Naval Nuclear Propulsion Information (U-NNPI), and protected Personally Identifiable Information (PII). Within DOE other terms have been used, such as Unclassified Controlled Information (UCI) and Sensitive Unclassified Information (SUI), to refer to information that warrants protection as CUI. (Note: Current Government-wide efforts are under way to standardize CUI markings. Refer to www.osti.gov/stip, which will be updated for most current information.)
3. Departmental Element. A first-tier organization at Headquarters and in the field. First-tier at Headquarters encompasses heads of the major Headquarters line programs, e.g., Program Secretarial Officers. First-level field element refers to first-level organizations located outside the Washington Metropolitan area and encompasses Operations Offices, Site Offices, Field Offices, and Regional Offices. Additional information is noted in the Correspondence Style Guide as directed by the Office of the Executive Secretariat, http://www.management.energy.gov/documents/ES_Style_Guide_2007.pdf.
4. Metadata. Data that describe the attributes of a document or other type of STI product, used for announcement and retrieval. In addition to basic descriptive bibliographic information such as title, author, publication date, research performer or originating site, a minimum set of metadata fields is required to facilitate identification and ensure appropriate announcement, such as access restrictions or release authorization. Additional optional metadata fields are used to optimize retrieval via web-based products.
5. Releasing Official. An individual designated with responsibility for ensuring that STI has undergone appropriate reviews, that subsequent recommendation to OSTI is made via established systems regarding release of STI in the public domain (i.e., unlimited announcement) or restricted access, and that DOE-approved access limitations, availability restrictions and legal disclaimers have been applied as appropriate, as well as ensuring compliance with other statutory, regulatory, Executive order, and/or other Departmental requirements. The Releasing Official is either a Federal employee responsible for Federally produced or assistance awardees' STI or is a major facility contractor responsible for their STI.
6. Scientific and Technical Information. Information products deemed by the originator to be useful beyond the originating site (i.e., intended to be published or disseminated), in any format or medium, which contain findings and technological innovations resulting from research and development (R&D) efforts and scientific and technological work of scientists, researchers, and engineers, whether Federal employee, contractor, or financial assistance recipient. STI also conveys the results of demonstration and commercial application activities as well as experiments, observations, simulations, studies, and analyses. Scientific findings are communicated through various media – e.g., textual, multimedia, audiovisual, and digital - and are produced in a range of products such as technical reports, scientific/technical conference papers and presentations, theses and dissertations, scientific and technical computer software, journal articles, workshop reports, program documents, patents, publicly available scientific research datasets, or other forms of STI. (See Attachment 3, STI Product Types Made Available Through DOE STI Program.) STI may be classified, Unclassified Controlled Nuclear Information (UCNI), controlled unclassified information (CUI), or unclassified with no access restrictions. DOE-funded STI originates primarily from research and other activities performed by site/facility management contractors, direct DOE-executed prime procurements, DOE-operated research activities, and financial assistance recipients, in addition to DOE employees.

Definitions for other STI management terms and acronyms used in this Order can be found on the STI Program website, www.osti.gov/stip.



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Attachment 3 – STI Products Made Available Through DOE STI Program

This Attachment provides information and/or requirements associated with DOE O 241.1B as well as information and/or requirements applicable to contracts in which the associated CRD (Attachment 1 to DOE O 241.1B) is inserted.

Scientific and technical information (STI) is produced and published in various media and formats. STI submitted to OSTI requires an accompanying Announcement Notice (AN) with the product or, in certain cases, an AN only. This table lists STI products for which procedures have been defined for use when submitting and/or announcing STI to DOE OSTI.

OSTI and the STI Program recognize the changing environment, with new forms of STI emerging. As new types of STI are created and disseminated by the DOE community, procedures and the associated announcement methods for each will continue to evolve in step with advances in information technology and innovation within the Department. Therefore, for the most up-to-date instructions, formats, and examples of STI product types, refer to the STI Program website (www.osti.gov/stip/stitypes).

STI PRODUCTS		Product to OSTI? Yes (Y) or No (N)
Books/monographs		Y
Conference, symposium, lecture, or similar event papers, presentations, or proceedings	Copyrighted	N, AN only
	Not copyrighted	Y
Journal articles	Copyrighted (reprint)	N, AN only
	Accepted manuscript	Y
Patents		N, AN only
Program documents having STI content (e.g., published by HQ)		Y
Publicly available scientific research datasets ¹ /collections		N, AN only
Scientific and technical computer software ² (including software manuals or user guides where provided)		Y (or AN only if certain criteria met ²)
Technical reports, workshop reports, and topical reports		Y
Theses/dissertations		Y
e-prints		N

¹Does not include raw data nor datasets with restricted use, e.g., by members of scientific collaborations. Collections may be comprised of numeric datasets, scientific images, etc.

²See www.osti.gov/stip/softwareannounce for additional information.



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Attachment 4 – DOE Announcement Notices and STI Metadata Elements

Announcement Notices (ANs) are required for submitting or announcing STI to OSTI in order to ensure proper handling, announcement and dissemination, in accordance with DOE statutory responsibilities. Several ANs are available for use, depending on the type of STI as well as type of originator:

- AN 241.1 – For DOE Labs, Major DOE Facilities and Program Offices
- AN 241.3 – For Financial Assistance Recipients or Grantees (e.g., at universities)
- AN 241.4 – For S&T Software
- AN 241.5 – For UCNI and Classified STI
- AN 241.6 – For Publicly Available Scientific Research Datasets

Transmission options and instructions for ANs are provided on the STIP website at www.osti.gov/stip/announcementnotices.

Several metadata elements are common to all ANs, while others are specific to the type of STI. The basic required metadata fields are listed below. For complete metadata field descriptions, options, information about use of the DOE Energy Link (e-link) system, and best practices for various types and formats of STI, please reference the STI Program website, <http://www.osti.gov/stip/>.

Required Metadata Elements	
<ul style="list-style-type: none"> • Report/Product Number • Title • Author(s) • STI Product Type • DOE Contract/Award Number(s) • Originating Research Organization • Sponsoring DOE Program Office* • Issue Date/Date of Publication • Intellectual Property/Distribution Limitations (i.e., Access Limitations) • Medium (e.g., format and related technical requirements) • Releasing Official Information 	<p>Additional metadata unique to S&T software or datasets:</p> <ul style="list-style-type: none"> • Description • Legal Notices and Disclaimers • Hardware Requirements (e.g., operating system, compiler/version) • Related Resource (e.g., relation to a specific journal article or technical report, when applicable) • Contributing Organizations <p>Additional metadata unique to classified STI</p> <ul style="list-style-type: none"> • Accountable STI Product (Y/N)

* For DOE-funded work, identify sponsor at the subprogram level to ensure proper attribution. If funded by work for others (other agencies), agency-level identification is adequate.



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Approvals

Name:	Title:	Signature:	Date:
James Williams	Chief Information Officer, SLAC	(on file)	
Katherine Woo	Contracting Officer, DOE SSO (in capacity of SSO SME for DOE O 241.1B)	(on file)	

Please return signed document to: Contract Management, MS 75