

**PART III - LIST OF DOCUMENTS, EXHIBITS AND OTHER ATTACHMENTS**

**SECTION J - LIST OF ATTACHMENTS**

**APPENDIX E**

**LAWS, REGULATIONS, AND DOE DIRECTIVES**

DOE Form  
(04/1991)

RCN No. OR-69

**U.S. Department of Energy  
REQUIREMENTS CHANGE NOTICE**

Page 1 of 9

PROJECT: Contract Baseline Documentation

LOCATION: Oak Ridge, Tennessee

CONTRACTOR: UT-Battelle, LLC

CONTRACT NO.: DE-AC05-00OR22725, Clause I-124, Laws,  
Regulations, and DOE Directives (DEC  
2000), DEAR 970.5204-2

DATE OF CONTRACT: April 1, 2015

This Requirements Change Notice (RCN) No. OR-69 incorporates into Appendix E, Contract No. DE-AC05-00OR22725, the attached list of applicable documents, which have been assessed against the terms and conditions of the subject contract in accordance with the above-referenced clause. This is a complete numbered list of administrative requirements and a representation of environment, safety, and health (ES&H) requirements. Information regarding ES&H-related directives and their applicability can only be obtained from specific WSS sets. ES&H-related directives in WSS sets have an ES&H footnote. Changes to Appendix E are indicated by bold type. Below is a list of the directives incorporated herein:

**EXECUTIVE SUMMARY OF DIRECTIVE CHANGES**

**ADDITIONS:**

DOE O 142.3A, Change 1  
DOE O 411.2  
DOE O 470.3C  
DOE P 485.1

DOE O 200.1A, Change 1  
DOE O 442.2, Change 1  
DOE O 470.4B, Change 2

DOE O 232.2A  
DOE 460.1D  
DOE O 483.1B

**DELETIONS:**

DOE O 142.3A  
DOE O 442.2  
DOE O 470.4B, Adm. Chg. 1

DOE O 200.1A  
DOE O 460.1C  
DOE O 483.1A

DOE O 232.2 Adm. Chg. 1  
DOE O 470.3B

**EXTENSIONS:**

**UPDATES:**

WSS Set 1, for DOE O 460.1D to be approved 7/2017

**IMPLEMENTATION PLANS (REVISED COMPLIANCE STATUS):**

DOE O 470.6, Revised Implementation Plan, Action Item 1 submitted to DOE on 03/31/2017, Approved 04/24/2017

**ADMINISTRATIVE CORRECTION:**

DOE AUTHORIZING SIGNATURE:

DATE:

Johnny O. Moore, Contracting Officer's Representative

Summary of Changes for RCN-69  
Baseline List of Required Compliance Documents

<b>Directive</b>	<b>Title</b>	<b>Action</b>	<b>Authority</b>
DOE O 142.3A, Change 1	Unclassified Foreign Visits and Assignments Program	Addition	OSO Letter 02/21/2017 ORNL Letter 03/15/2017
DOE O 142.3A	Unclassified Foreign Visits and Assignments Program	Deleted	OSO Letter 02/21/2017 ORNL Letter 03/15/2017
DOE O 200.1A, Change 1	Information Technology Management	Addition	OSO Letter 02/21/2017 ORNL Letter 03/16/2017
DOE O 200.1A	Information Technology Management	Deleted	OSO Letter 02/21/2017 ORNL Letter 03/16/2017
DOE O 232.2A	Occurrence Reporting and Processing of Operations Information	Addition Assumption - Implementation will be 90 days after database certification	OSO Letter 02/21/2017 ORNL Letter 03/22/2017
DOE O 232.2, Administrative Change 1	Occurrence Reporting and Processing of Operations Information	Deleted	OSO Letter 02/21/2017 ORNL Letter 03/22/2017
DOE O 411.2	Scientific Integrity	Addition	OSO Letter 02/21/2017 ORNL Letter 03/16/2017
DOE O 442.2, Change 1	Differing Professional Opinions for Technical Issues Involving Environment, Safety and Health	Addition	OSO Letter 02/21/2017 ORNL Letter 03/15/2017
DOE O 442.2	Differing Professional Opinions for Technical Issues Involving Environment, Safety and Health	Deleted	OSO Letter 02/21/2017 ORNL Letter 03/15/2017
DOE O 460.1D	Hazardous Materials Packing and Transportation Safety	Addition WSS Set 1, will be approved by 7 2017	OSO Letter 02/21/2017 ORNL Letter 03/15/2017
DOE O 460.1C	Hazardous Materials Packing and Transportation Safety	Deleted	OSO Letter 02/21/2017 ORNL Letter 03/15/2017
DOE O 470.3C	Design Basis Threat	Addition Assumptions - IP to be submitted November 11, 2017.	OSO Letter 02/16/2017 ORNL Letter 03/16/2017
DOE O 470.3B	Graded Security Protection Policy (U)	Deleted	OSO Letter 02/16/2017 ORNL Letter 03/16/2017
DOE O 470.4B, Change 2	Safeguards and Security Program	Addition	OSO Letter 02/21/2017 ORNL Letter 03/15/2017
DOE O 470.4B, Change 1	Safeguards and Security Program	Deleted	OSO Letter 02/21/2017 ORNL Letter 03/15/2017
DOE O 470.6	Technical Security Program	Revision Submitted 03/31/2017 Action Item 1, Rev. 4, Extended to 11/10/2017  Revision 4 Approved 04/24/2017	ORNL Letter 03/31/2017 OSO Letter 04/24/2017
DOE O 483.1B	DOE Cooperative Research and Development Agreement	Addition	OSO Letter 02/21/2017 ORNL Letter 3/22/2017

Summary of Changes for RCN-69  
Baseline List of Required Compliance Documents

<b>Directive</b>	<b>Title</b>	<b>Action</b>	<b>Authority</b>
DOE O 483.1A	DOE Cooperative Research and Development Agreement	Deleted	OSO Letter 02/21/2017 ORNL Letter 03/22/2017
DOE P 485.1	Foreign Engagements with DOE National Laboratories	Addition	OSO Letter 04/27/2017 ORNL Letter 05/24/2017

Appendix E  
Baseline List of  
Required Compliance Documents  
List B - List of Applicable Directives

DOE Directives may be found at the following address: <a href="http://www.directives.doe.gov/">http://www.directives.doe.gov/</a>				
Required Compliance Document	Document Date	Title	Through Change	Notes and Comments
DOE O 130.1	09/29/1995	Budget Formulation		
DOE M 142.2-1, Administrative Change 1	06/27/2013	Manual for Implementation of Voluntary Offer Safeguards Agreement and Additional Protocol with the International Atomic Energy Agency		
DOE O 142.2A, Administrative Change 1	06/27/2013	Voluntary Offer Safeguards Agreement and Additional Protocol with the International Atomic Energy Agency		
<b>DOE O 142.3A, Change 1</b>	<b>01/18/2017</b>	<b>Unclassified Foreign Visits and Assignments Program</b>		
DOE O 150.1A	03/31/2014	Continuity Programs		
Compliance Line: Implementation Plan, approved by DOE on 08/07/2015.				
DOE O 151.1D, Attachment 2	08/11/2016	Comprehensive Emergency Management System		ES&H-related Directive included in WSS. See Footnote (1).
Compliance line: Implementation Assumptions and Implementation Plan approved by DOE on 02/24/2017.				
DOE O 153.1	06/27/2007	Departmental Radiological Emergency Response Assets		ES&H-related Directive included in WSS. See Footnote (1).
<b>DOE O 200.1A, Change 1</b>	<b>01/13/2017</b>	<b>Information Technology Management</b>		
DOE O 205.1B, Change 3	04/29/2014	Department of Energy Cyber Security Program		
Implementation Plan to be submitted to DOE upon issuance of Senior DOE Management Risk Management Approach Implementation Plan.				
DOE O 206.1	06/11/2009	Department of Energy Privacy Program		
DOE O 206.2	02/19/2013	Identity, Credential, and Access Management (ICAM)		
Compliance Line: Implementation Plan, approved by DOE on 08/06/2013.				
DOE O 210.2A	04/08/2011	DOE Corporate Operating Experience Program		
DOE O 221.1B	09/27/2016	Reporting Fraud, Waste and Abuse to the Office of Inspector General		
DOE O 221.2A	02/25/2008	Cooperation with the Office of Inspector General		
DOE O 225.1B	03/04/2011	Accident Investigations		
DOE O 227.1A	12/21/2015	Independent Oversight Program		
DOE O 231.1B, Administrative Change 1	11/28/2012	Environment, Safety and Health Reporting		ES&H-related Directive included in WSS. See Footnote (1).
<b>DOE O 232.2A</b>	<b>01/17/2017</b>	<b>Occurrence Reporting and Processing of Operations Information</b>		<b>ES&amp;H-related Directive included in WSS. See Footnote (1).</b> <b>DOE Order 232.2,</b>

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				<b>Administrative Change 1, Occurrence Reporting and Processing of Operations Information, dated March 12, 2014, will continue to be used for reporting occurrences until DOE-AU certifies that the ORPS database meets the DOE O 232.2A reporting criteria.</b>
DOE O 241.1B, Change 1 (Admin Chg)	04/26/2016	Scientific and Technical Information Management		
DOE O 243.1B, Administrative Change 1	07/08/2013	Records Management Program		
DOE O 252.1A, Administrative Change 1	03/12/2013	Technical Standards Program		
DOE O 313.1	11/19/2009	Management and Funding of the Department's Overseas Presence		See Footnote (2)
DOE O 341.1A	10/18/2007	Federal Employee Health Services		See Footnote (2)
DOE O 350.1, Change 5	09/13/2014	Contractor Human Resource Management Programs		
DOE O 410.2, Administrative Change 1	04/10/2014	Management of Nuclear Materials		
<b>DOE O 411.2</b>	<b>01/04/2017</b>	<b>Scientific Integrity</b>		
DOE O 413.1B	10/28/2008	Internal Control Program		
DOE O 413.2C	10/18/2015	Laboratory Directed Research and Development		
DOE O 413.3B, Administrative Change 3	12/20/2016	Program and Project Management for the Acquisition of Capital Assets		DOE O 413.3B, Chg. 2, implemented under the Office of Science approved exemption by Daniel B. Poneman, dated 01/19/2011, and specified in W. F. Brinkman Memorandum dated 02/02/2011. To the extent specified in the SC Project Decision Matrix, including any future modification.
DOE O 414.1D, Administrative Change 1	05/08/2013	Quality Assurance		ES&H-related Directive included in WSS. See Footnote (1).

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DOE O 420.1C, Change 1	02/27/2015	Facility Safety		ES&H-related Directive included in WSS. See Footnote (1).
DOE O 420.2C	07/21/2011	Safety of Accelerator Facilities		ES&H-related Directive included in WSS. See Footnote (1).
DOE O 422.1, Administrative Change 2	12/03/2014	Conduct of Operations		ES&H-related Directive included in WSS. See Footnote (1).
DOE O 425.1D, Administrative Change 1	04/02/2013	Verification of Readiness to Start Up or Restart Nuclear Facilities		ES&H-related Directive included in WSS. See Footnote (1).
DOE O 426.2, Administrative Change 1	07/29/2013	Personnel Selection, Training, Qualification, and Certification Requirements for DOE Nuclear Facilities		ES&H-related Directive included in WSS. See Footnote (1).
DOE O 430.1B, Change 2	04/25/2011	Real Property Asset Management		
DOE O 433.1B, Administrative Change 1	03/12/2013	Maintenance Management Program for DOE Nuclear Facilities		ES&H-related Directive included in WSS. See Footnote (1).
DOE M 435.1-1, Administrative Change 2	06/08/2011	Radioactive Waste Management Manual		ES&H-related Directive included in WSS. See Footnote (1).
DOE O 435.1, Change 1	07/09/1999	Radioactive Waste Management	1 08/28/2001	
DOE O 436.1	05/02/2011	Departmental Sustainability		
DOE O 440.2C, Administrative Change 1	06/22/2011	Aviation Management and Safety		ES&H-related Directive included in WSS. See Footnote (1).
DOE O 442.1A	06/06/2001	Department of Energy Employee Concerns Program		
<b>DOE O 442.2, Change 1</b>	<b>10/04/2016</b>	<b>Differing Professional Opinions for Technical Issues Involving Environmental, Safety and Health</b>		
DOE O 443.1B Administrative Change 1	04/21/2016	Protection of Human Subjects		
DOE M 450.3-1	01/25/1996	The Department of Energy Closure Process for Necessary and Sufficient Sets of Standards		See Footnote (3)
DOE O 456.1A,	07/15/2016	The Safe Handling of Unbound Engineered Nanoparticles		ES&H-related Directive included in WSS. See Footnote (1).
DOE O 458.1, Administrative Change 3	01/15/2013	Radiation Protection of the Public and the Environment		ES&H-related Directive included in WSS. See Footnote (1).
<b>DOE O 460.1D</b>	<b>12/20/2016</b>	<b>Packaging and Transportation Safety</b>		<b>ES&amp;H-related Directive included in WSS. See</b>

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				<b>Footnote (1).</b>
<b>DOE O 470.3C</b>	<b>11/23/2016</b>	<b>Design Basis Threat</b>		
<b>DOE O 470.4B, Change 2</b>	<b>01/17/2017</b>	<b>Safeguards and Security Program</b>		
DOE O 470.5	06/02/2014	Insider Threat Program		
DOE O 470.6	09/02/2015	Technical Security Program		DOE O 470.6 was incorporated with the following assumptions: UT-Battelle will consider Attachment 2 as reference only with the exception of the requirements currently contained in our contract.
<b>Compliance Line: Revised Implementation Plan Action Table for IP Action Item #1 &amp; # 5 Submitted to DOE on 03/31/2017, Approved by DOE on 04/24/2017</b>				
DOE O 471.1B	03/01/2010	Identification and Protection of Unclassified Controlled Nuclear Information		
DOE M 471.3-1, Administrative Change 1	01/13/2011	Manual for Identifying and Protecting Official Use Only Information		
DOE O 471.3, Administrative Change 1	01/13/2011	Identifying and Protecting Official Use Only Information		
DOE O 471.5	03/29/2011	Special Access Programs (Official Use Only)		
DOE O 471.6, Administrative Change 2	05/15/2015	Information Security		
DOE O 472.2, Change 1	07/09/2014	Personnel Security		
DOE O 473.3A	03/23/2016	Protection Program Operations		
Compliance Line: Implementation Plan, approved by DOE on 12/21/2016				
DOE O 474.2, Administrative Change 4	09/13/2016	Nuclear Material Control and Accountability		
DOE O 475.1	12/10/2004	Counterintelligence Program		
DOE O 475.2B	10/03/2014	Identifying Classified Information		
DOE M 481.1-1A	01/03/2001	Reimbursable Work For Non-Federal Sponsors Process Manual	1 09/28/2001	
<b>DOE O 483.1B</b>	<b>12/20/2016</b>	<b>DOE Cooperative Research and Development Agreements</b>		
DOE O 484.1, Administrative Change 2	6/30/2014	Reimbursable Work for the Department of Homeland Security		
DOE O 522.1	11/03/2004	Pricing of Departmental Materials and Services		
DOE O 534.1B	01/06/2003	Accounting		
DOE O 551.1D, Change 2	08/09/2016	Official Foreign Travel		
DOE O 580.1A, Administrative Change 1	03/30/2013	Department of Energy Personal Property Management Program		See Footnote (2)



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DOE P 485.1	01/19/2017	Foreign Engagements with DOE National Laboratories		
DOE O 5639.8A	07/23/1993	Security of Foreign Intelligence Information and Sensitive Compartmented Information Facilities		
DOE-STD-1090-2007 with exceptions	06/01/2007	Hoisting and Rigging Standard (Formerly Hoisting and Rigging Manual)		ES&H-related Directive included in WSS. See Footnote (1).
DOE-STD-1186-2004	08/01/2004	Specific Administrative Controls		ES&H-related Directive included in WSS. See Footnote (1).

Work Smart Standards (WSS) Sets may be found at the following address: <a href="https://sbms.ornl.gov/sbms/wsshome/wss.html">https://sbms.ornl.gov/sbms/wsshome/wss.html</a>				
Required Compliance Document	Approval Date	Title	Change # Approval Date	Notes and Comments
WSS Set 1	09/13/1996	Other Industrial, Radiological, and Non-Radiological Hazard Facilities	102 02/24/2017	
WSS Set 2	09/30/1996	Radiochemical Material Analytical Laboratory (RMAL), Building 2026	31 08/24/2015	
WSS Set 3	09/30/1996	Accelerator Facilities	8 04/30/2015	
WSS Set 4	12/17/1996	Radioisotope Development Laboratory (Building 3047)	30 08/24/2015	
WSS Set 5	12/17/1996	Radiochemical Engineering Development Center (Buildings 7920, 7930, and Support Areas)	29 08/24/2015	
WSS Set 7	05/07/1997	Irradiated Materials Examination and Testing Facility and Irradiated Fuels Examination Laboratory (Buildings 3025E, 3525, and Support Areas)	30 08/24/2015	
WSS Set 8	05/07/1997	Construction and Construction-like Activities	12 08/24/2015	
WSS Set 9	04/14/1998	Engineering Design of Standard Industrial, Radiological, Non-Reactor Category 2 and 3 Nuclear, and Accelerator Facilities	14 08/24/2015	
WSS Set 10	09/10/1998	High Flux Isotope Reactor and its associated facilities	33 08/24/2015	

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WSS Set 13	04/18/2003	Spallation Neutron Source	7 04/30/2015	
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**FOOTNOTES:**

- (1) This document is ES&H-related and appears in one or more of the current Work Standards (WSS) Sets. In a WSS Set, the document may be referenced in its entirety or only certain chapters, paragraphs, or sections. Additional information regarding directives and their applicability may be obtained from specific WSS sets.
- (2) This Directive is incorporated with implementation assumptions. The implementation assumptions may be viewed at: <https://sbms.ornl.gov/SBMS/WSSHome/listbias.htm>
- (3) DOE M 450.3-1 was cancelled by DOE N 251.103. In accordance with the letter dated July 29, 2011 subject, *Contract DE-AC05-00OR22725, Impact Assessment for DOE N 251.103, Cancellation of Directive, Dated May 31, 2011*, UT-Battelle agrees to continue the Work Smart Standard (WSS) Sets and the associated development/maintenance processes that were included in DOE M 450.3-1 and referenced in Appendix D.