

**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-72

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

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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-72 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 470.6, Change.1

DOE O 473.3A, Change 1

**DELETIONS:**

DOE O 470.6

DOE O 473.3A

**EXTENSIONS:**

**UPDATES:**

WSS Set 1, Change 105

WSS Set 9, Revision Submitted 01/22/2018 (Revised I Codes from 2009 – 2012), Revision 0 (Update) Submitted 02/26/2018.

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

DOE 151.1D Implementation Plan, Closure, submitted 01/05/2018, Approved on 01/16/2018

DOE O 460.2A, Implementation Plan, submitted on 11/15/2017, Clarification Revision 0 (Update) resubmitted 01/25/2018, Approved on 03/02/2018

DOE O 470.6 Implementation Plan, Closure Submitted on 11/22/2017, Approved on 01/21/2018

**ADMINISTRATIVE CORRECTION:**

DOE AUTHORIZING SIGNATURE:

DATE:

Johnny O. Moore, Contracting Officer's Representative

Summary of Changes for RCN-72  
Baseline List of Required Compliance Documents

<b>Directive</b>	<b>Title</b>	<b>Action</b>	<b>Authority</b>
DOE O 151.1D	Comprehensive Management System	Implementation Plan Closure Submitted to DOE on 01/05/2018 Approved by DOE on 01/16/2018	ORNL Letter 11/10/2016 ORNL Letter 01/05/2018 OSO Approval 01/16/2018
DOE O 232.2A	Occurrence Reporting and Processing of Operations Information	Work Smart Standards submitted to DOE on 01/04/2018 Approved on 01/16/2018 WSS Set 1, Change 105	OSO Letter 02/21/2017 ORNL Letter 01/04/2018 OSO Approval 01/16/2018
DOE O 460.2A	Departmental Materials Transportation and Packaging Management	Work Smart Standards and Implementation Plan submitted to DOE on 11/15/2017 Revision. 0 (Update) resubmitted on 01/25/2018 Approved on 03/02/2018	OSO Letter 08/17/2017 ORNL Letter 09/14/2017 ORNL Letter 11/15/2017 ORNL Letter 01/25/2018 OSO Approval 03/02/2018
DOE O 470.6, Change 1	Technical Security Program	Addition	OSO Letter 01/29/2018 ORNL Letter 02/23/2018
DOE O 470.6	Technical Security Program	Deletion Implementation Plan Closure submitted to DOE on 11/22/2017 Approved by DOE on 01/21/2018	OSO Letter 01/29/2018 ORNL Letter 02/23/2018  Implementation Plan Closure OSO Letter 06/03/2016 ORNL Letter 11/22/2017 OSO Approval 01/21/2018
DOE O 473.3A, Change 1	Protection Program Operations	Addition	OSO Letter 01/29/2018 ORNL Letter 02/23/2018
DOE O 473.3A	Protection Program Operations	Deletion	OSO Letter 01/29/2018 ORNL Letter 02/23/2018

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

<b>DOE Directives</b> 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		
DOE O 142.3A, Change 1	01/18/2017	Unclassified Foreign Visits and Assignments Program		
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 1	08/11/2016	Comprehensive Emergency Management System		ES&H-related Directive included in WSS. See Footnote (1).
<b>Compliance line: DOE O 151.1D, Implementation Assumptions and Implementation Plan Closure Submitted on 01/05/2018, Approved by DOE on 01/16/2018.</b>				
DOE O 153.1	06/27/2007	Departmental Radiological Emergency Response Assets		ES&H-related Directive included in WSS. See Footnote (1).
DOE O 200.1A, Change 1	01/13/2017	Information Technology Management		
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).
DOE O 232.2A	01/17/2017	Occurrence Reporting and Processing of Operations Information		ES&H-related Directive included in WSS. See Footnote (1).

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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		
DOE O 411.2	01/04/2017	Scientific Integrity		
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 4	10/13/2017	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).
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	07/29/2013	Personnel Selection, Training, Qualification,		ES&H-related Directive

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Required Compliance Document	Document Date	Title	Through Change	Notes and Comments
Change 1		and Certification Requirements for DOE Nuclear Facilities		included in WSS. See Footnote (1).
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	ES&H-related Directive included in WSS. See Footnote (1).
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		
DOE O 442.2, Change 1	10/04/2016	Differing Professional Opinions for Technical Issues Involving Environmental, Safety and Health		
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).
DOE O 460.1D	12/20/2016	Packaging and Transportation Safety		ES&H-related Directive included in WSS. See Footnote (1).
DOE O 460.2A	12/24/2004	Departmental Materials Transportation and Packaging Management		ES&H-related Directive included in WSS. See Footnote (1).
<b>Compliance Line: DOE O 460.2A, Implementation Plan submitted to DOE on 11/15/2017, Clarification Revision 0 (Update) Resubmitted on 01/25/2018, Approved on 03/02/2018.</b>				
DOE O 470.3C	11/23/2016	Design Basis Threat		
DOE O 470.4B, Change 2	01/17/2017	Safeguards and Security Program		
DOE O 470.5	06/02/2014	Insider Threat Program		
<b>DOE O 470.6, Change 1</b>	<b>01/11/2017</b>	<b>Technical Security Program</b>		
<b>Compliance Line: DOE O 470.6, Implementation Plan Closure Submitted on 11/22/2017, Approved on 01/21/2018.</b>				
DOE O 471.1B	03/01/2010	Identification and Protection of Unclassified		

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		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		
<b>DOE O 473.3A, Change 1</b>	<b>01/02/2018</b>	<b>Protection Program Operations</b>		
Compliance Line: Revision #1, Implementation Plan for extension of Action Items 8, 11, 12, 13, 16 & 17 Submitted to DOE 09/15/2017, DOE Approved 10/06/2017				
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	
DOE O 483.1B	12/20/2016	DOE Cooperative Research and Development Agreements		
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)
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).

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<b>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></b>				
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	<b>105</b> <b>01/16/2018</b>	
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	9 08/25/2017	
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	
WSS Set 13	04/18/2003	Spallation Neutron Source	7 04/30/2015	

**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.