

PART III - LIST OF DOCUMENTS, EXHIBITS AND OTHER ATTACHMENTS

SECTION J - LIST OF ATTACHMENTS

APPENDIX E

LAWS, REGULATIONS, AND DOE DIRECTIVES

**Summary of Changes for RCN-49
Baseline List of Required Compliance Documents**

| Directive | Title | Action | Authority |
|----------------------------|--|--|---|
| DOE O 243.1 | Records Management Program | Deletion Implementation Plan approved for closure by DOE on 02/22/012 | ORNL Letter 02/16/2012 ORO Approval 02/22/2012 |
| DOE O 243.1A | Records Management Program | Implementation Plan submitted to DOE on 05/16/2012 | ORNL Letter 02/17/2012 ORNL Letter 05/16/2012 |
| DOE O 420.2C | Safety of Accelerator Facilities | Implementation Plan, Revision 1, approved by DOE on 03/13/2012 | ORO Rejection 01/13/2012 ORNL Letter 02/15/2012 ORO Approval 03/13/2012 |
| DOE O 422.1 | Conduct of Operations | Implementation Plan approved for closure by DOE on 04/17/2012 | ORNL Letter 04/10/2012 ORO Approval 04/17/2012 |
| DOE O 426.2 | Personnel Selection, Training, Qualification, and Certification Requirements for DOE Nuclear Facilities | Implementation Plan approved for closure by DOE on 04/30/2012 | ORNL Letter 04/24/2012 ORO Approval 04/30/2012 |
| DOE M 470.4-6, Change 1 | Nuclear Material Control and Accountability | Deletion | ORNL Letter 05/11/2012 |
| DOE O 474.2, Adm. Change 1 | Nuclear Material Control and Accountability | Addition | ORNL Letter 05/11/2012 |
| DOE O 482.1 | DOE Facilities Technology Partnering Programs | Deletion | ORO Letter 04/17/2012 |
| DOE STD-1090-2011 | Hoisting and Rigging | WSS Identification Team Report to be submitted to DOE by 06/28/2012 | ORO Letter 03/29/2012 ORNL Letter 04/27/2012 |
| 40 CFR 50-99 | CAA Implementing Regulations | WSS Administrative Change WSS Set 1 Change 85 | ORNL Letter 03/21/2012 ORO Approval 04/23/2012 |
| 40 CFR 225 | Corps of Engineers Dredged Material Permits | WSS Administrative Change WSS Set 1, Change 84 | ORNL Letter 04/10/2012 ORO Approval 04/23/2012 |
| Tenn. R. & Reg. 0400-18-01 | Underground Storage Tank Program | Administrative Change WSS Set 1, Change 83 | ORNL Letter 05/16/2012 |

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

| DOE Directives may be found at the following address: http://www.directives.doe.gov/ | | | | |
|--|---------------|---|----------------|---|
| 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 | 09/04/2008 | Manual for Implementation of Voluntary Offer Safeguards Agreement and Additional Protocol with the International Atomic Energy Agency | | |
| DOE O 142.2A | 12/15/2006 | Voluntary Offer Safeguards Agreement and Additional Protocol with the International Atomic Energy Agency | | |
| DOE O 142.3A | 10/14/2010 | Unclassified Foreign Visits and Assignments Program | | |
| Compliance Line: Implementation Plan, Modified, approved by DOE on 08/29/2011. | | | | |
| DOE O 150.1 | 05/08/2008 | Continuity Programs | | |
| DOE O 151.1C, Attachment 2 | 11/02/2005 | Comprehensive Emergency Management System | | ES&H-related Directive included in WSS. See Footnote (1). |
| 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 | 12/23/2008 | Information Technology Management | | |
| DOE M 205.1-3 | 04/17/2006 | Telecommunications Security Manual | | |
| DOE O 205.1B | 05/16/2011 | Department of Energy Cyber Security Program | | |
| Compliance Line: 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 N 206.4 | 06/29/2007 | Personal Identity Verification | | |
| DOE O 210.2A | 04/08/2011 | DOE Corporate Operating Experience Program | | |
| DOE O 221.1A | 04/19/2008 | 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 227.1 | 08/30/2011 | Independent Oversight Program | | |
| DOE O 231.1B | 06/27/2011 | Environment, Safety and Health Reporting | | ES&H-related Directive included in WSS. See Footnote (1). |
| DOE O 232.2 | 08/30/2011 | Occurrence Reporting and Processing of Operations Information | | ES&H-related Directive included in WSS. See Footnote (1). |

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

| DOE Directives may be found at the following address: http://www.directives.doe.gov/ | | | | |
|--|------------|---|--|---|
| DOE O 241.1B | 12/13/2010 | Scientific and Technical Information Management | | |
| DOE O 243.1A | 11/07/2011 | Records Management Program | | |
| Compliance Line: Implementation Plan, to be submitted to DOE on 05/16/2012. | | | | |
| DOE O 243.2 | 02/02/2006 | Vital Records | | |
| DOE O 252.1A | 02/23/2011 | 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 3 | 02/23/2010 | Contractor Human Resource Management Programs | | |
| DOE O 350.2B | 05/31/2011 | Use of Management and Operating or Other Facility Management Contractor Employees for Services to DOE in the Washington, D.C., Area | | |
| DOE O 410.2 | 08/17/2009 | Management of Nuclear Materials | | |
| DOE O 413.1B | 10/28/2008 | Internal Control Program | | |
| DOE O 413.2B, Administrative Change 1 | 01/31/2011 | Laboratory Directed Research and Development | | |
| DOE O 413.3B | 11/29/2010 | Program and Project Management for the Acquisition of Capital Assets | | |
| Compliance Line: Implementation Plan, approved by DOE on 08/12/2011. | | | | |
| DOE O 414.1D | 05/23/2011 | Quality Assurance | | ES&H-related Directive included in WSS. See Footnote (1). |
| DOE O 420.1B | 12/22/2005 | 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). |
| Compliance Line: Implementation Plan, Revision 1, approved by DOE on 03/13/2012. | | | | |
| DOE O 422.1 | 06/29/2010 | Conduct of Operations | | ES&H-related Directive included in WSS. See Footnote (1). |
| DOE O 425.1D | 04/16/2010 | Verification of Readiness to Start Up or Restart Nuclear Facilities | | ES&H-related Directive included in WSS. See Footnote (1). |
| DOE O 426.2 | 04/21/2010 | Personnel Selection, Training, Qualification, and Certification Requirements for DOE Nuclear Facilities | | ES&H-related Directive included in WSS. See Footnote (1). |

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

| DOE Directives may be found at the following address: http://www.directives.doe.gov/ | | | | |
|--|------------|--|-----------------|---|
| DOE O 430.1B, Change 2 | 04/25/2011 | Real Property Asset Management | | |
| DOE O 433.1B | 04/21/2010 | 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 | | |
| DOE O 442.2 | 07/29/2011 | Differing Professional Opinions for Technical Issues Involving Environmental, Safety and Health Technical Concerns | | |
| DOE O 443.1B | 03/17/2011 | 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 | | |
| DOE O 456.1 | 05/31/2011 | The Safe Handling of Unbound Engineered Nanoparticles | | ES&H-related Directive included in WSS. See Footnote (1). |
| DOE O 458.1, Administrative Change 2 | 06/06/2011 | Radiation Protection of the Public and the Environment | | ES&H-related Directive included in WSS. See Footnote (1). |
| Compliance Line: Implementation Plan, approved by DOE on 11/30/2011. | | | | |
| DOE O 460.1C | 05/14/2010 | Packaging and Transportation Safety | | ES&H-related Directive included in WSS. See Footnote (1). |
| DOE O 470.3B | 08/12/2008 | Graded Security Protection (GSP) Policy | | |
| DOE M 470.4-2A | 07/23/2009 | Physical Protection | | |
| Compliance Line: Implementation Plan, Revision 1, submitted to DOE for closure on 08/18/2011. | | | | |
| DOE O 470.4B | 07/21/2011 | Safeguards and Security Program | | |
| 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 | | |

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

| DOE Directives may be found at the following address: http://www.directives.doe.gov/ | | | | |
|--|-------------------|---|-----------------|---|
| 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 | 06/20/2011 | Information Security | | |
| DOE O 472.2 | 07/21/2011 | Personnel Security | | |
| DOE O 473.3 | 06/27/2011 | Protection Program Operations | | |
| Compliance Line: Implementation Plan, submitted to DOE on 11/15/2011. | | | | |
| DOE O 474.2, Administrative Change 1 | 05/11/2012 | Nuclear Material Control and Accountability | | |
| DOE O 475.1 | 12/10/2004 | Counterintelligence Program | | |
| DOE O 475.2A | 02/01/2011 | Identifying Classified Information | | |
| DOE M 481.1-1A | 01/03/2001 | Reimbursable Work For Non-Federal Sponsors Process Manual | 1 09/28/2001 | |
| DOE M 483.1-1 | 01/12/2001 | DOE Cooperative Research and Development Agreements Manual | | |
| DOE O 483.1 | 01/12/2001 | DOE Cooperative Research and Development Agreements | | |
| DOE O 484.1, Administrative Change 1 | 03/14/2011 | 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 551.1C | 06/24/2008 | Official Foreign Travel | | |
| DOE O 580.1 | 12/07/2005 | Department of Energy Personal Property Management Program | | |
| Policy Flash 2010-35 | 03/09/2010 | Unclassified Foreign National Visits and Assignments | | |
| 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). |

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

| Work Smart Standards (WSS) Sets may be found at the following address: http://sbms.ornl.gov/sbms/wsshome/wss.html | | | | |
|---|---------------|--|--|-----------------------|
| Required Compliance Document | Approval Date | Title | Change # Approval Date | Notes and Comments |
| WSS Set 1 | 07/25/1996 | Other Industrial, Radiological, and Non-Radiological Hazard Facilities | 83 05/16/2012 84 04/23/2012 85 04/23/2012 | |
| WSS Set 2 | 09/30/1996 | Radiochemical Material Analytical Laboratory (RMAL), Building 2026 | 24 08/08/2011 | |
| WSS Set 3 | 09/30/1996 | Accelerator Facilities | 5 09/09/2011 | |
| WSS Set 4 | 12/17/1996 | Radioisotope Development Laboratory (Building 3047) | 23 08/08/2011 | |
| WSS Set 5 | 12/17/1996 | Radiochemical Engineering Development Center (Buildings 7920, 7930, and Support Areas) | 22 08/08/2011 | |
| WSS Set 7 | 05/07/1997 | Irradiated Materials Examination and Testing Facility and Irradiated Fuels Examination Laboratory (Buildings 3025E, 3525, and Support Areas) | 23 08/08/2011 | |
| WSS Set 8 | 05/07/1997 | Construction and Construction-like Activities | 9 06/04/2010 | |
| WSS Set 9 | 04/14/1998 | Engineering Design of Standard Industrial, Radiological, Non-Reactor Category 2 and 3 Nuclear, and Accelerator Facilities | 11 01/21/2011 | |
| WSS Set 10 | 09/10/1998 | High Flux Isotope Reactor and its associated facilities | 26 08/08/2011 | |
| WSS Set 13 | 04/18/2003 | Spallation Neutron Source | 5 09/09/2011 | |

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: <http://sbms.ornl.gov/SBMS/WSSHome/listbias.htm>