



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

<b>DOE Directives may be found at the following address:</b>				
<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 110.3A	01/25/2007	Conference Management		
DOE O 130.1	09/29/1995	Budget Formulation		
DOE M 140.1-1B	03/30/2001	Interface with the Defense Nuclear Facilities Safety Board		
DOE O 142.1	01/13/2004	Classified Visits Involving Foreign Nationals		
DOE O 142.2A	12/15/2006	Voluntary Offer Safeguards Agreement and Additional Protocol with the International Atomic Energy Agency		
DOE O 142.3	06/18/2004	Unclassified Foreign Visits and Assignments Program		
DOE O 151.1C, Attachment 2	11/02/2005	Comprehensive Emergency Management System		ES&H-related Directive included in S/RID. See Footnote (2).
DOE O 153.1, Attachment 2 (with the exception of Sections 3, 4, 5, 7, 11, and 13 which are not applicable)	06/27/2007	Departmental Radiological Emergency Response Assets		ES&H-related Directive included in S/RID. See Footnote (2).
DOE N 153.2	08/11/2003	Connectivity to National Atmospheric Release Advisory Center (NARAC)		ES&H-related Directive included in S/RID. See Footnote (2).
DOE M 200.1-1, Chapter 9	02/15/2000	Telecommunications Security Manual		
DOE O 200.1	09/30/1996	Information Management Program		
DOE N 203.1	10/02/2000	Software Quality Assurance		Expiration date extended to 12/31/2001 by DOE N 251.40.
DOE M 205.1-3	04/17/2006	Telecommunications Security Manual		
DOE M 205.1-4	03/08/2007	National Security System Manual		
Compliance Line: Implementation Plan submitted to DOE on 11/15/2007.				
DOE N 205.10	02/19/2004	Cyber Security Requirements for Risk Management		Expiration date extended to 03/18/2006 by DOE N 205.15.

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Required Compliance Document	Document Date	Title	Through Change	Notes and Comments
DOE O 205.1A	12/04/2006	Department of Energy Cyber Security Management		
<b>Compliance Line: Implementation Plan approved by DOE on 03/27/2008.</b>				
DOE N 205.11	02/19/2004	Security Requirements for Remote Access to DOE and Applicable Contractor Information Technology Systems		Expiration date extended to 03/18/2006 by DOE N 205.15.
<b>Compliance Line: Implementation Plan (Revision 1) approved by DOE on 08/28/2006.</b>				
DOE N 205.2	11/01/1999	Foreign National Access to DOE Cyber Systems		Expiration date extended to 09/30/2006 by DOE N 205.16.
DOE N 205.3	11/23/1999	Password Generation, Protection, and Use		Expiration date extended to 09/30/2006 by DOE N 205.16.
DOE N 205.8	02/11/2004	Cyber Security Requirements for Wireless Devices and Information Systems		Expiration date extended to 03/18/2006 by DOE N 205.15.
DOE N 205.9	02/19/2004	Certification and Accreditation Process for Information Systems Including National Security Systems		Expiration date extended to 03/18/2006 by DOE N 205.15.
DOE N 206.4	06/29/2007	Personal Identity Verification		
DOE O 210.2	06/12/2006	DOE Corporate Operating Experience Program		
DOE O 221.1	03/22/2001	Reporting Fraud, Waste, and Abuse To The Office of Inspector General		
<b>DOE O 221.2A</b>	<b>02/25/2008</b>	<b>Cooperation with the Office of Inspector General</b>		
DOE O 225.1A, Attachment 1	11/26/1997	Accident Investigation		
DOE O 226.1A	07/31/2007	Implementation of Department of Energy Oversight Policy		
DOE M 231.1-2	08/19/2003	Occurrence Reporting and Processing of Operations Information		ES&H-related Directive included in S/RID. See Footnote (2).
DOE O 241.1A	04/09/2001	Scientific and Technical Information Management	1 10/14/2003	

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Required Compliance Document	Document Date	Title	Through Change	Notes and Comments
DOE O 243.1	02/03/2006	Records Management Program		
Compliance Line: Implementation Plan, Revision 1, approved by DOE on 04/18/2007.				
DOE O 243.2	02/02/2006	Vital Records		
DOE M 251.1-1B	08/16/2006	Departmental Directives Program Manual		
DOE O 251.1B	08/16/2006	Departmental Directives Program		
DOE O 252.1	11/19/1999	Technical Standards Program		
<b>DOE O 341.1A, Att. 1, Sect. 1.a., 1.b., 2.a.(1), 2.a.(4)(a), 2.a.(4)(c) and 2.a.(4)(g) and Sect. 2.a.(4)(d) (see implementation assumption)</b>	<b>10/18/2007</b>	<b>Federal Employee Health Services</b>		<b>Administrative Directive (with implementation assumptions) added to the Appendix E Baseline List B. See Footnote (3)</b>
DOE O 350.1	09/30/1996	Contractor Human Resource Management Programs	1 05/08/1998	
DOE O 350.2A	10/29/2003	Use of Management and Operating or Other Facility Management Contractor Employees for Services to DOE in the Washington, D.C., Area		
DOE O 413.1A	04/18/2002	Management Control Program		
DOE O 413.2B	04/19/2006	Laboratory Directed Research and Development		
DOE M 413.3-1, except Chapters 1 through 3	03/28/2003	Project Management for the Acquisition of Capital Assets		
DOE O 413.3A	07/28/2006	Program and Project Management for the Acquisition of Capital Assets		
DOE O 414.1C	06/17/2005	Quality Assurance		ES&H-related Directive included in WSS. See Footnote (2).
<b>Compliance Line: Implementation Plan, Revision 2, submitted to DOE 05/22/2008.</b>				

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Required Compliance Document	Document Date	Title	Through Change	Notes and Comments
DOE O 420.1B, Attachment 2, Chapter II	12/22/2005	Facility Safety		Administrative Directive (with implementation assumptions) added to the Appendix E Baseline List B. See Footnote (3)
DOE O 420.1B	12/22/2005	Facility Safety		ES&H-related Directive included in WSS. See Footnote (2).
Compliance Line 1: Implementation Plan, Revision 1, submitted to DOE on 09/20/2007 for DOE O 420.1B, Attachment 2, Chapter III.				
Compliance Line 2: Implementation Plan approved by DOE on 01/22/2007 for DOE O 420.1B, Attachment 2, Chapter IV.				
Compliance Line 3: Implementation Plan approved by DOE on 11/30/2006 for DOE O 420.1B, Attachment 2, Chapter V.				
DOE O 420.2B	07/23/2004	Safety of Accelerator Facilities		ES&H-related Directive included in WSS. See Footnote (2).
DOE O 425.1C	03/13/2003	Startup and Restart of Nuclear Facilities		ES&H-related Directive included in WSS. See Footnote (2).
DOE O 430.1B	09/24/2003	Real Property Asset Management		
<b>DOE O 430.2B</b>	<b>02/27/2008</b>	<b>Departmental Energy, Renewable Energy and Transportation Management</b>		
<b>Compliance Line: Implementation Plan to be submitted to DOE by 07/15/2008.</b>				
DOE O 433.1A	02/13/2007	Maintenance Management Program for DOE Nuclear Facilities		ES&H-related Directive included in WSS. See Footnote (2).
Compliance Line: Implementation is in accordance with a Maintenance Implementation Plan required by the Order.				
DOE M 435.1-1	07/09/1999	Radioactive Waste Management Manual		ES&H-related Directive included in WSS. See Footnote (2).
DOE O 435.1	07/09/1999	Radioactive Waste Management		ES&H-related Directive included in WSS. See Footnote (2).
DOE O 440.2B	11/27/2002	Aviation Management and Safety	1 11/19/2006	ES&H-related Directive included in WSS. See Footnote (2).

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Required Compliance Document	Document Date	Title	Through Change	Notes and Comments
DOE M 442.1-1	11/16/2006	Differing Professional Opinions Manual for Technical		
DOE O 442.1A	06/06/2001	Department of Energy Employee Concerns Program		
<b>DOE O 443.1A</b>	<b>12/20/2007</b>	<b>Protection of Human Subjects</b>		
DOE O 450.1	01/15/2003	Environmental Protection Program	1 01/03/2007	ES&H-related Directive included in WSS. See Footnote (2). This DOE Order is Administrative Change 1.
DOE M 450.3-1	01/25/1996	The Department of Energy Closure Process for Necessary and Sufficient Sets of Standards		
DOE M 450.4-1	11/01/2006	Integrated Safety Management System Manual		
DOE O 460.1B	04/04/2003	Packaging and Transportation Safety		ES&H-related Directive included in WSS. See Footnote (2).
DOE O 470.2B	10/31/2002	Independent Oversight and Performance Assurance Program		
DOE O 470.3A	11/29/2005	Design Basis Threat Policy		
Compliance Line: Implementation Plan approved on 05/05/2006.				
DOE M 470.4-1	08/26/2005	Safeguards and Security Program Planning and Management	1 03/07/2006	
Compliance Line: Implementation Plan approved by DOE on 08/28/2006.				
DOE M 470.4-2	08/26/2005	Physical Protection	1 03/07/2006	
Compliance Line: Implementation Plan approved by DOE on 04/10/2007.				
DOE M 470.4-3	08/26/2005	Protective Force	1 03/07/2006	
Compliance Line: Implementation Plan approved by DOE on 08/28/2006.				
DOE M 470.4-4	08/26/2005	Information Security	1 06/29/2007	
DOE M 470.4-5	08/26/2005	Personnel Security		

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Required Compliance Document	Document Date	Title	Through Change	Notes and Comments
DOE M 470.4-6	08/26/2005	Nuclear Material Control and Accountability	1 08/14/2006	
DOE M 471.1-1	06/30/2000	Identification and Protection of Unclassified Controlled Nuclear Information Manual	1 10/23/2001	Expiration date extended to 07/07/2006 by DOE N 251.64.
DOE O 471.1A	06/30/2000	Identification and Protection of Unclassified Controlled Nuclear Information		Expiration date extended to 07/07/2006 by DOE N 251.64.
DOE M 471.3-1	04/09/2003	Manual for Identifying and Protecting Official Use Only Information		
DOE O 471.3	04/09/2003	Identifying and Protecting Official Use Only Information		
DOE M 475.1-1B	08/28/2007	Manual for Identifying Classified Information		
DOE O 475.1	12/10/2004	Counterintelligence Program		
DOE O 475.2	08/28/2007	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 482.1	01/12/2001	DOE Facilities Technology Partnering Programs		
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	08/17/2006	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 551.1B	08/19/2003	Official Foreign Travel		
DOE M 573.1-1	07/12/2000	Mail Services User's Manual		
DOE O 580.1	12/07/2005	Department of Energy Personal Property Management Program		

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Required Compliance Document	Document Date	Title	Through Change	Notes and Comments
DOE Technical Direction CIAC 628, 632	07/27/2006	System Searches for Cyber Incident Advisory Capability (CIAC) Number 628 and 632 Files		
DOE-STD-1090-2004	06/01/2004	Hoisting and Rigging Standard (Formerly Hoisting and Rigging Manual)		ES&H-related Directive included in WSS. See Footnote (2).
DOE-STD-1186-2004	08/01/2004	Specific Administrative Controls		ES&H-related Directive included in WSS. See Footnote (2).
Compliance Line: Implementation Plan, Revision 1, approved by DOE on 11/30/2006.				
DOE O 1340.1B	01/07/1993	Management of Public Communications Publications and Scientific, Technical, and Engineering Publications		
DOE O 1450.4	11/12/1992	Consensual Listening-In To Or Recording Telephone/Radio Conversations		
DOE O 2340.1C	06/08/1992	Coordination of General Accounting Office Activities		See Footnote (1).
DOE O 5400.5	02/08/1990	Radiation Protection of the Public and the Environment		ES&H-related Directive included in WSS. See Footnote (2).
DOE O 5480.19	07/09/1990	Conduct of Operations Requirements for DOE Facilities	2 10/23/2001	ES&H-related Directive included in WSS. See Footnote (2).
Compliance Line: Implementation Plan approved 06/12/2002 for Change 1.				
DOE O 5480.20A	11/15/1994	Personnel Selection, Qualification, and Training Requirements for DOE Nuclear Facilities	1 07/12/2001	ES&H-related Directive included in WSS. See Footnote (2).
DOE O 5560.1A	05/08/1985	Priorities and Allocations Program		
DOE O 5639.8A	07/23/1993	Security of Foreign Intelligence Information and Sensitive Compartmented Information Facilities		
DOE O 5660.1B	05/26/1994	Management of Nuclear Materials		

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**ORO Directives may be found at the following address:**

[http://www.ornl.gov/doe\\_oro\\_dmg/orchklst.htm](http://www.ornl.gov/doe_oro_dmg/orchklst.htm)

Required Compliance Document	Document Date	Title	Through Change	Notes and Comments
ORO O 130, Chapter II	05/15/1996	Shutdown of Departmental Operations Upon Failure by Congress to Enact Appropriations	5 06/24/2007	
ORO O 150, Chapter I	09/30/1996	Comprehensive Emergency Management System	6 04/22/2004	ES&H-related Directive included in S/RID. See Footnote (2).
ORO O 150, Chapter IV	05/31/1996	Radiological Assistance Program, (RAP)	3 02/08/2001	ES&H-related Directive included in S/RID. See Footnote (2).
ORO O 220, Chapter II	09/30/1996	Cooperation with the Office of Inspector General	4 09/06/2005	
ORO O 220, Chapter III	05/31/1996	Establishment of Management Decisions on Office of Inspector General Reports	5 05/02/2006	
ORO O 220, Chapter IV	05/31/1996	Coordination of General Accounting Office Activities	4 04/29/2005	
ORO O 220, Chapter VII	05/31/1996	Audit Resolution and Follow-up	5 05/08/2007	
ORO O 250, Chapter I	08/13/1996	ORO Standards Management Program Overview	5 04/18/2006	
ORO O 250, Chapter II	08/13/1996	ORO Directives System	6 04/18/2006	
ORO O 250, Chapter IV	08/13/1996	Impact Assessments	4 04/18/2006	
ORO O 250, Chapter V	08/13/1996	Development, Approval, and Maintenance of Work Smart Standards Sets	6 04/18/2006	
ORO O 250, Chapter VI	09/30/1996	Implementation Plans and Exemption Requests	5 04/18/2006	
ORO O 250, Chapter VII	08/13/1996	Maintenance of Standards/Requirements Identification Documents	4 04/18/2006	
ORO O 250, Chapter VIII	04/27/2001	Requirements Change Notices	2 04/18/2006	
ORO O 250, Chapter X	10/31/2003	DOE Directives System	1 04/18/2006	
ORO O 350, Chapter III	05/09/2006	Federal Labor Standards	4 05/09/2006	
ORO O 410, Chapter I	09/24/1996	Work Authorization	3 01/12/2004	
ORO O 410, Chapter II	05/31/1996	Management of Nuclear Materials	4	

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**ORO Directives may be found at the following address:**

[http://www.ornl.gov/doe\\_oro\\_dmg/orchklst.htm](http://www.ornl.gov/doe_oro_dmg/orchklst.htm)

Required Compliance Document	Document Date	Title	Through Change	Notes and Comments
			11/16/2006	
ORO O 420, Chapter XI	04/04/2000	Authorization Agreements	2 04/13/2007	
ORO O 420, Chapter XVI	08/28/2006	Fire Protection		Administrative Directive (with implementation assumptions) added to the Appendix E Baseline List B. See Footnote (3)
ORO O 430, Chapter II	06/14/1996	Energy and Utilities Management	4 08/21/2006	
ORO O 440, Chapter V	09/30/1996	Employee Concerns Management System	5 04/24/2007	
ORO O 470, Chapter IX	05/15/1996	Control and Accountability of Nuclear Materials	5 05/18/2007	
ORO O 470, Chapter VII	05/15/1996	Protection and Control of Safeguards and Security Interests	5 03/08/2007	
ORO O 530, Chapter III	06/18/1996	Accounting	6 02/06/2007	
ORO O 550, Chapter II	09/26/2001	Foreign Travel Authorization,	2 01/22/2007	

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<b>Work Smart Standards (WSS) Sets and Standards/Requirements Identification Documents (S/RIDs) can be found at the following address:</b> <a href="http://sbms.ornl.gov/sbms/wsshome/wss.html">http://sbms.ornl.gov/sbms/wsshome/wss.html</a>				
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	57 09/20/2007	
WSS Set 2	09/30/1996	Radiochemical Material Analytical Laboratory (RMAL), Building 2026	19 12/20/2007	
WSS Set 3	09/30/1996	Accelerator Facilities	3 09/10/2004	
WSS Set 4	12/17/1996	Radioisotope Development Laboratory (Building 3047)	18 04/16/2007	
WSS Set 5	12/17/1996	Radiochemical Engineering Development Center (Buildings 7920, 7930, and Support Areas)	17 04/16/2007	
WSS Set 7	05/07/1997	Irradiated Materials Examination and Testing Facility and Irradiated Fuels Examination Laboratory (Buildings 3025E, 3525, and Support Areas)	18 02/29/2008	
WSS Set 8	05/07/1997	Construction and Construction-like Activities	8 02/20/2007	
WSS Set 9	04/14/1998	Engineering Design of Standard Industrial, Radiological, Non-Reactor Category 2 and 3 Nuclear, and Accelerator Facilities	8 06/21/2006	
WSS Set 10	09/10/1998	High Flux Isotope Reactor and its associated facilities	21 09/10/2007	
WSS Set 12	05/15/2000	Chem-Bio Facility (Building 5507A)	1 03/12/2002	
WSS Set 13	04/18/2003	Spallation Neutron Source	3 02/05/2007	
S/RID	11/20/1997	Occurrence Reporting	2 11/06/2003	
S/RID	11/05/1996	Emergency Management	10 12/11/2007	

**FOOTNOTES:**

- (1) This document is not directly applicable to the Contractor; it is included in the list of applicable documents because the Contractor must provide certain information or input to DOE in order for DOE to comply with requirements specified in the document.
- (2) This document is ES&H-related and appears in one or more of the current Work Standards (WSS) Sets or is incorporated in the Standards/Requirements Identification Document (S/RID). In an S/RID or 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.
- (3) This is an Administrative Directive (with implementation assumptions) added to the Appendix E Baseline List B; These implementation assumptions are located at: <http://sbms.ornl.gov/SBMS/WSSHome/listbias.htm>