

APPENDIX E

BASELINE LIST OF REQUIRED COMPLIANCE DOCUMENTS



APPENDIX E
BASELINE OF
REQUIRED COMPLIANCE DOCUMENTS
DOE DIRECTIVES

DOE Directives can be found at the following Internet address:

<http://www.explorer.doe.gov:1776/htmls/directives.html>

| REQUIRED COMPLIANCE | THROUGH CHANGE | TITLE | DATE | NOTE |
|-----------------------------------|-----------------|--|------------|------|
| DOE O 137.1A | | Plan for Operating in the Event of a Lapse in Appropriations | 08/30/1999 | |
| DOE M 140.1-1A | | Interface with the Defense Nuclear Facilities Safety Board | 01/26/1999 | |
| DOE O 200.1 | | Information Management Program | 09/30/1996 | |
| DOE M 200.1-1 Except Chapter 7 | | Telecommunications Security Manual | 03/1997 | |
| DOE N 205.1 | | Unclassified Cyber Security Program Compliance: Implementation is to be in accordance with an implementation plan due at DOE not later than 01/17/2000. | 07/16/1990 | |
| DOE O 224.1 | | Contractor Performance Based Business Management Process | 12/08/1997 | |
| DOE O 241.1 | | Scientific and Technical Information Management | 08/17/1998 | |
| DOE O 251.1A | | Directives System | 01/30/1998 | |
| DOE M 251.1-1A | | Directives System Manual | 01/30/1998 | |
| DOE O 311.1A | | Equal Employment Opportunity and Diversity Program | 12/30/1996 | |
| DOE O 350.1 | 1 05/08/1998 | Contractor Human Resource Management Program | 09/30/1996 | |
| DOE N 350.5 | | Use of Facility Contractor Employees for Services to DOE in the Washington, D.C. Area | 04/15/1999 | |
| DOE O 412.1 | | Work Authorization System | 04/20/1999 | |
| DOE O 413.1 | | Management Control Program Compliance: Implementation is in accordance with DOE (Cumesty) letter dated 07/08/1997, and LMER (Rhude) letter dated 09/26/1997. | 12/06/1995 | |
| DOE O 413.2 | | Laboratory Directed Research and Development | 03/05/1997 | |
| DOE O 430.1A | | Life Cycle Asset Management Compliance: Implementation is in accordance with an implementation plan approved by DOE on 09/09/1999. | 10/14/1998 | |
| DOE O 430.2 | | In-House Energy Management Compliance: Implementation is in accordance with an implementation plan approved by DOE on 07/28/1997. | 06/13/1996 | |

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|----------------------|------------------------------------|---|-------------------|------|
| DOE M 450.3-1 | | The DOE Closure Process for Necessary and Sufficient Sets of Standards | 01/25/1996 | |
| DOE O 470.1 | 1 06/21/1996 | Safeguards and Security Program | 09/28/1995 | |
| DOE N 470.1 | | Extension of DOE O 470.1, Safeguards and Security Program | 09/23/1999 | |
| DOE O 470.2 | | Safeguards and Security Independent Oversight Program | 12/23/1998 | |
| DOE O 471.1 | | Identification and Protection of Unclassified Controlled Nuclear Information | 09/25/1995 | |
| DOE O 471.2A | | Information Security Program Compliance: Implementation is in accordance with an implementation plan approved by DOE on 10/08/1997. | 03/27/1997 | |
| DOE N 471.2 | | Extension of DOE O 471.2A, Information Security Program | 09/23/1999 | |
| DOE M 471.2-1B | | Classified Matter Protection and Control Manual | 01/06/1999 | |
| DOE M 471.2-2 | | Classified Information Systems Security Manual | 08/03/1999 | |
| DOE O 472.1B | | Personnel Security Activities | 03/24/1997 | |
| DOE M 472.1-1 | | Personnel Security Program Manual | 05/22/1998 | |
| DOE M 473.2-1 | 1 08/21/1997 | Firearms Qualification Courses Manual | 07/08/1997 | |
| DOE O 474.1 | | Control and Accountability of Nuclear Materials | 08/11/1999 | |
| DOE M 474.1-1 | | Manual for Control and Accountability of Nuclear Materials | 08/11/1999 | |
| DOE M 474.1-2 | 1 04/27/1998 2 11/16/1998 | Nuclear Materials Management and Safeguards System Reporting and Data Submission | 02/10/1998 | |
| DOE M 475.1-1 | | Identifying Classified Information | 05/08/1998 | |
| DOE O 481.1 | | Work for Others (Non-Department of Energy Funded Work) | 09/30/1996 | |
| DOE M 481.1-1 | | Reimbursable Work for Non-Federal Sponsors Process Manual | 09/30/1996 | |
| DOE O 534.1 | | Accounting | 09/29/1995 | |

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|---------------------|-----------------|---|----------------------------|------|
| DOE N 534.1 | | Extension of DOE O 534.1, Accounting | 09/29/1999 | |
| DOE 1240.2B | 1 09/03/1992 | Unclassified Visits & Assignments by Foreign Nationals | 08/21/1992 | |
| DOE 1270.2B | | Safeguards Agreement with the International Atomic Energy Agency (IAEA) | 06/23/1992 | 1 |
| DOE 1300.3 | | Policy on the Protection of Human Subjects | 08/23/1990 | |
| DOE 1340.1B | | Management of Public Communications and Scientific, Technical, and Engineering Publications | 01/07/1993 | |
| DOE 1350.1 | 1 03/26/1984 | Audio Visual and Exhibits Management | 10/28/1981 | |
| DOE 1450.4 | | Consensual Listening-in To or Recording Telephone-Radio Conversations | 11/12/1992 | |
| DOE 1500.3 | 7 07/06/1994 | Foreign Travel Authorization Compliance: Implementation is in accordance with DOE letter for Martha Krebs, Director, Office of Energy Research, dated 05/24/1994. | 11/10/1986 | |
| DOE 2030.4B | | Reporting Fraud, Waste, and Abuse | 05/18/1992 | |
| DOE 2100.8A | | Cost Accounting, Cost Recovery, and Interagency Sharing of Information Technology Facilities | 01/27/1993 | |

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|---------------------|-----------------|---|------------|------|
| DOE 2110.1A | 2 05/18/1992 | <p>Pricing of Departmental Materials and Services.</p> <p>Compliance: Change 2 of the Order failed to incorporate interim guidance, "Policy on Waiver of DOE's Added Factor and Depreciation." Subsequent clarification from ORO confirmed the need to continue following this interim guidance.</p> <p>Compliance: Implementation will be in accordance with DOE-ORO letter from J. R. Martin, Director, Finance Division, dated 08/03/1994, regarding the application of the departmental added factor (DAF) based on the source of funds. Effective 08/03/1994, the DAF rate will be applied to any work performed for a non-Federal entity (as opposed to full cost factor and depreciation normally applied to private work) if the work is financed from another Federal entity. Written documentation should be provided from the non-Federal entity or the other Federal agency. This change in policy applies only to new work.</p> <p>Compliance: Implementation will be in accordance with DOE memorandum from Elizabeth E. Smedley, Controller, dated 08/25/1994, regarding the waiver of the added factor and depreciation for small businesses and nonprofit organizations participating in funds-in agreement, effective 10/01/1994. This waiver is valid for one year, through 09/30/1995.</p> | 07/14/1988 | |
| DOE 2300.1B | | Audit Resolution and Follow-up | 06/08/1992 | |
| DOE 2320.1C | | Cooperation with the Office of Inspector General | 05/18/1992 | |
| DOE 2320.2B | | Establishment of Department Position on Inspector General Reports | 05/18/1992 | 1 |
| DOE 2321.1B | | Auditing of Programs and Operations | 05/14/1992 | 1 |
| DOE 2340.1C | | Coordination of General Accounting Office Activities | 06/08/1992 | 1 |
| DOE 5480.29 | | Employee Concerns Management System | 01/15/1993 | |
| DOE 5560.1A | | Priorities and Allocations Program | 05/08/1985 | |
| DOE 5632.1C | | Protection and Control of Safeguards and Security Interests | 07/15/1994 | |

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|---------------------|----------------|--|------------|--|
| DOE M 5632.1C | | Manual for Protection and Control of Safeguards and Security Interests | 07/15/1994 | DOE M 5632.1C-1, Chapter XI, canceled by DOE O 470.1. DOE M 5632.1C-1, Chapter III, paragraphs 1, 2, and 4 thru 9, canceled by DOE O 471.2 |
| DOE 5632.7A | | Protective Force Program | 04/13/1994 | |
| DOE 5639.8A | | Security of Foreign Intelligence Information and Sensitive Compartmented Information Facilities | 07/23/1993 | |
| DOE 5660.1B | | Management of Nuclear Materials. | 05/26/1994 | |
| DOE 5670.1A | | Management and Control of Foreign Intelligence Compliance: Implementation is in accordance with MMES letter No. AE92-044 dated 06/10/1992. | 01/15/1992 | |
| SEN-34-91 | 1 | Implementation of the Chief Financial Officers Act of 1990 | 08/15/1991 | |
| NOTICE 1240.2 | | Unclassified Foreign National (DOE) Visits and Assignments This Notice expires on 11/29/1994 unless otherwise directed. | 11/29/1993 | |
| NOTICE 1240.3 | | Extension of DOE N 1240.2. This Notice expires on 05/29/1995 unless otherwise directed. | 11/29/1994 | |

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ORO DIRECTIVES

ORO Directives can be found at the following Internet address:
http://www.ornl.gov/doe_oro_dmg/orchklst.htm

| REQUIRED COMPLIANCE | THROUGH CHANGE | TITLE | DATE | NOTE |
|-------------------------|-----------------|--|------------|------|
| ORO O 130 Chapter II | 2 07/28/1999 | BUDGET Shutdown of Department Operations upon Failure of Congress to Enact Appropriations | 05/15/1996 | |
| ORO O 140 Chapter II | 1 05/15/1998 | EXTERNAL RELATIONSHIPS Safeguards Agreement with the International Atomic Energy Agency (IAEA) | 05/15/1996 | |
| ORO O 220 Chapter I | 1 07/28/1998 | ASSESSMENTS Reporting Fraud, Waste, and Abuse to the Office of Inspector General | 05/31/1996 | |
| Chapter II | 1 01/07/1999 | Cooperation with the Office of Inspector General | 09/30/1996 | |
| Chapter III | 1 07/28/1998 | Establishment of Department Position on Inspector General Reports | 05/31/1996 | |
| Chapter IV | 1 07/28/1998 | Coordination of General Accounting Office Activities | 05/31/1996 | |
| Chapter VII | 1 07/28/1998 | Audit Resolution and Follow-Up | 05/31/1996 | |
| Chapter IX | | Auditing of Programs and Operations | 09/30/1996 | |
| ORO O 250 Chapter I | | STANDARDS MANAGEMENT Oak Ridge Operations Standards Management Program Overview | 03/27/1998 | 2 |
| Chapter II | 1 06/03/1998 | Oak Ridge Directives Standards System | 03/27/1998 | |
| Chapter III | | Oak Ridge Operations Technical Standards Program | 03/27/1998 | 2 |
| Chapter IV | | Contractor Directives Appendix | 03/27/1998 | |
| Chapter V | | Development, Approval, and Maintenance of Smart Standards | 03/27/1998 | |
| Chapter VI | | Implementation and Corrective Action Plans | 03/27/1998 | |
| Chapter VII | | Maintenance of Standards/Requirements Identification Documents | 03/27/1998 | |

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| REQUIRED COMPLIANCE | THROUGH CHANGE | TITLE | DATE | NOTE |
|---|--|--|--|------|
| ORO O 350 Chapter III Chapter VI | 1 04/29/1999 1 09/30/1998 | CONTRACTOR HUMAN RESOURCE PROGRAMS Federal Labor Standards Workplace Substance Abuse Programs at Oak Ridge Sites | 05/31/1996 06/28/1996 | |
| ORO O 410 Chapter I Chapter II | 1 12/01/1998 1 09/21/1998 | MANAGEMENT Work Authorization System Management of Nuclear Materials | 09/24/1996 05/31/1996 | |
| ORO O 430 Chapter I Chapter II | 5 07/07/1999 | LIFE CYCLE FACILITY OPERATIONS Life Cycle Asset Management (LCAM) In-House Energy Management | 09/30/1996 06/14/1996 | |
| ORO O 450 Chapter III | 1 04/09/1999 | PROTECTION OF THE PUBLIC AND ENVIRONMENT Cultural Resources Management Program | 09/30/1996 | |
| ORO O 470 Chapter I Chapter V Chapter VII Chapter VIII Chapter IX Chapter XI Chapter XII | 1 04/16/1999 1 07/23/1998 1 09/28/1998 1 05/10/1999 1 04/23/1999 1 07/22/1998 | SAFEGUARDS AND SECURITY Safeguards and Security Program Identification of Classified Information Protection and Control of Safeguards and Security Interests Protective Force Program Control and Accountability of Nuclear Materials Security of Foreign Intelligence Information and Sensitive Compartmented Information Facilities Counterintelligence (CI) Program | 09/30/1996 09/30/1996 05/15/1996 05/15/1996 05/15/1996 09/30/1996 05/15/1996 | |

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| REQUIRED COMPLIANCE | THROUGH CHANGE | TITLE | DATE | NOTE |
|------------------------|-----------------|--|------------|------|
| ORO N 471.2 | 2 04/15/1999 | TECHNICAL SURVEILLANCE COUNTERMEASURES (TSCM) PROGRAM Technical Surveillance Countermeasures (TSCM) Program - Use of Telephone Lineman-type Handsets or Items Similar in Purpose, Use, or Effect on DOE-owned or Leased Property | 03/05/1996 | |
| ORO O 560 Chapter I | 1 08/27/1998 | TELECOMMUNICATIONS AND DATA SYSTEMS Unclassified Computer Security Program | 05/15/1996 | |
| ORIG 4300.2B | | Non-DOE Funded Work Compliance: Implementation will be in accordance with MMES letter dated 03/05/1993. | 12/23/1992 | |

* Notes

(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 not directly applicable to the Contractor; however, it is included in this list of applicable documents because an associated document in the same series is applicable (e.g., because a DOE order is applicable, the OR order or ORIG is made applicable) or because the policies listed in the order are part of the Contractor's good business practices.

APPENDIX E

REQUIRED COMPLIANCE DOCUMENTS

OTHER APPLICABLE DIRECTIVES

Work Smart Standards (WSS) and Standards/Requirements Identification Documents (S/RIDs)

can be found at the following Internet address:

<http://www-internal.ornl.gov/~dnh/WSS>

| REQUIRED COMPLIANCE | THROUGH CHANGE | TITLE | DATE | NOTE |
|---------------------|---------------------|---|------------|------|
| WSS | 1 & 2 08/02/1999 | Other Industrial, Radiological, and Non-Radiological Hazard Facilities | 07/25/1996 | |
| WSS | 1 06/23/1999 | Radiochemical Research Facilities, Bldgs 2026 and 5505 | 09/30/1996 | |
| WSS | | The Five Accelerator Facilities | 09/30/1996 | |
| WSS | 1 06/23/1999 | Radiochemical Technology Facilities, Bldgs 3027 and 3047 | 12/17/1996 | |
| WSS | 1 06/23/1999 | Radiochemical Engineering Development Center, Bldgs 7920, 7930, and Support Areas | 12/17/1996 | |
| WSS | 1 06/23/1999 | Radiochemical Development Facility, Bldg 3019 and its Ancillary Bldgs | 05/07/1997 | |
| WSS | 1 06/23/1999 | Irradiated Materials Examination and Testing Facility and Irradiated Fuels Examination Laboratory, Bldgs 3025E, 3525, and Support Areas | 05/07/1997 | |
| WSS | | Construction and Construction-Like Activities | 05/07/1997 | |
| WSS | | Engineering Design for Standard Industrial, Radiological, Non-Reactor Category 2 and 3 Nuclear and Accelerator Facilities | 04/14/1998 | |
| WSS | 1 06/23/1999 | HFIR | 09/10/1998 | |
| WSS | | Nuclear Hot Cell Facility, Bldg. 4501 | 07/01/1999 | |
| S/RID | 1 | Occurrence Reporting | 11/20/1997 | |
| S/RID | | Emergency Management | 11/05/1996 | |
| | | | | |