

Appendix I  
Modification No. M342  
Supplemental Agreement to  
Contract No. DE-AC02-98CH10886

**U.S. Department of Energy**  
**and**  
**Brookhaven Science Associates, LLC**

**ATTACHMENT J.9**

**APPENDIX I**

**DOE DIRECTIVES/LIST B**

**Applicable to the Operation of  
The Brookhaven National Laboratory**

**Contract No. DE-AC02-98CH10886  
Modification No. M342**

## **APPENDIX I**

### **DOE DIRECTIVES**

There is no List A to this Appendix.

List B to this Appendix contains two parts as follows:

Part I: "Directives List"

This section contains a list of Directives that are considered by DOE as applicable to the BNL contract.

Part II: "Partial Deletions of Directives"

This section contains a list of Directives that are applicable, but have subsequently been revised by DOE to remove certain sections.

**Appendix I - Part I**

**DOE DIRECTIVES LIST**

DOE Directives may be found at the following address: <http://www.directives.doe.gov>

DATE	TYPE	NUMBER	THROUGH CHANGE	SUBJECT TITLE Contractor Requirements Document (CRD) Includes Compliance Notes as Necessary
1/25/07	Order	110.3A		CRD - Conference Management
9/29/95	Order	130.1		CRD - Budget Formulation Process
5/2/01	Policy	141.1		Department of Energy Management of Cultural Resources
1/13/04	Order	142.1		CRD – Classified Visits Involving Foreign Nationals
9/4/08	Manual	142.2-1		CRD – Manual for Implementation of the Voluntary Offer Safeguards Agreement and Additional Protocol with the International Atomic Energy Agency
12/15/06	Order	142.2A		CRD – Voluntary Offer Safeguards Agreement and Additional Protocol with the International Atomic Energy Agency
6/18/04	Order	142.3	1 2/28/08	CRD – Unclassified Foreign Visits and Assignments Program
5/8/08	Order	150.1		CRD – Continuity Programs
11/2/05	Order	151.1C		CRD - Comprehensive Emergency Management System
2/26/01	Notice	153.1		Connectivity to Atmospheric Release Advisory Capability
6/27/07	Order	153.1		CRD - Departmental Radiological Emergency Response Assets
12/23/08	Order	200.1A		CRD – Information Technology Management
1/7/05	Order	203.1		Limited Personal Use of Government Office Equipment Including Information Technology
5/8/01	Policy	205.1		Departmental Cyber Security Management Policy
12/4/06	Order	205.1A		CRD – Department of Energy Cyber Security Management
4/17/06	Manual	205.1-3		Telecommunications Security Manual
3/8/07	Manual	205.1-4		CRD – National Security System Manual
9/1/09	Manual	205.1-5	2 12/22/09	CRD – Cyber Security Process Requirements Manual
9/1/09	Manual	205.1-6	2 12/22/09	CRD – Media Sanitization Manual
9/1/09	Manual	205.1-7	2 12/22/09	CRD – Security Controls for Unclassified Information Systems Manual
9/1/09	Manual	205.1-8	2 12/22/09	CRD – Cyber Security Incident Management Manual
1/16/09	Order	206.1		CRD - Department of Energy Privacy Program
6/29/07	Notice	206.4		CRD - Personal Identity Verification
6/12/06	Order	210.2		CRD – DOE Corporate Operating Experience Program
4/19/08	Order	221.1A		CRD - Reporting Fraud, Waste, and Abuse to the Office of Inspector General
2/25/08	Order	221.2A		CRD - Cooperation with the Office of Inspector General
11/26/97	Order	225.1A		CRD - Type A and B Accident Investigations
7/31/07	Order	226.1A		CRD – Implementation of Department of Energy Oversight Policy

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3/19/04	Manual	231.1-1A	<sup>2</sup> 6/12/07	CRD - Environment, Safety, and Health Reporting Manual
8/19/03	Manual	231.1-2		CRD - Occurrence Reporting and Processing of Operations Information
2/27/08	Notice	234.1		CRD – Reporting of Radioactive Sealed Sources (Extended to 05/06/11 or until superseded)
4/9/01	Order	241.1A	<sup>1</sup> 10/14/03	CRD - Scientific and Technical Information Management
2/3/06	Order	243.1		CRD - Records Management Program
2/2/06	Order	243.2		CRD - Vital Records
4/19/10	Notice	251.79		Extension of DOE N 456.1, The Safe Handling of Unbound Engineered Nanoparticles, Until 4-19-11.
6/23/10	Notice	251.86		Extension of DOE N 234.1, Reporting of Radioactive Sealed Sources, until 5-6-11
11/19/99	Order	252.1		CRD - Technical Standards Program
11/19/09	Order	313.1		CRD – Management and Funding of the Departments Overseas Presence
10/18/07	Order	341.1A Parts: 1.a., 1.b., 2.a., 2.a.(1), 2.a.(2), 2.a.(3), 2.a.(4)(a), 2.a.(4)(b), 2.a.(4)(d), 2.a.(4)(f), 2.a.(4)(g) and 2.a.(4)(h)		CRD - Federal Employee Health Services
2/23/10	Order	350.1	<sup>3</sup> 2-23-10	CRD - Contractor Human Resource Management Programs
10/29/03	Order	350.2A		CRD - Use of Management and Operating or Other Facility Management Contractor Employees for Services to DOE in the Washington, D.C., Area
8/17/09	Order	410.2		CRD – Management of Nuclear Materials
4/21/05	Order	412.1A		Work Authorization System
6/10/00	Policy	413.1		Program and Project Management Policy for the Planning, Programming, Budgeting, and Acquisition of Capital Assets
10/28/08	Order	413.1B		CRD – Internal Control Program
4/19/06	Order	413.2B		CRD - Laboratory Directed Research and Development
7/28/06	Order	413.3A	<sup>1</sup> 11/17/08	CRD - Program and Project Management for the Acquisition of Capital Assets

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6/17/05	Order	414.1C		CRD – Quality Assurance
2/22/05	Order	420.1B	1 4/19/10	CRD – Facility Safety  <b>Compliance Note:</b> The Strategic Fire Safety Plan addresses a non-compliance to this Order, which was provided to and acknowledged by DOE. It is expected to take a number of years and additional staff effort to complete.
7/23/04	Order	420.2B		CRD - Safety of Accelerator Facilities
6/29/10	Order	422.1		CRD- Conduct of Operations  <b>Compliance Note:</b> Applicable to Hazardous Category 1, 2, or 3 nuclear facilities and other facilities as defined by BSA in a Program Plan, to be approved by BHSO, for incorporating Conduct of Operations principles into BSA operations.
4/16/10	Order	425.1D		CRD – Verification of Readiness to Start Up or Restart Nuclear Facilities  <b>Compliance Note:</b> Only applicable to BNL facilities categorized as Hazardous Category 1, 2 or 3 nuclear facilities
4/21/10	Order	426.2		CRD - Personnel Selection, Training, Qualification, and Certification Requirements for DOE Nuclear Facilities
09/24/03	Order	430.1B	1 2/8/08	CRD – Real Property Asset Management
2/27/08	Order	430.2B		CRD - Departmental Energy, Renewable Energy, and Transportation Management
4/21/10	Order	433.1B		CRD - Maintenance Management Program for DOE Nuclear Facilities  <b>Compliance Note:</b> Only applicable to BNL facilities categorized as Hazardous Category 1, 2 or 3 nuclear facilities
6/5/09	Policy	434.1		Conduct and Approval of Select Agent and Toxin Work at Department of Energy Sites
7/9/99	Order	435.1	1 8/28/01	CRD - Radioactive Waste Management
7/9/99	Manual	435.1-1	1 6/19/01	Radioactive Waste Management Manual
11/27/02	Order	440.2B	1 11/19/06	CRD - Aviation Management and Safety
3/7/08	Manual	441.1-1		CRD - Nuclear Material Packaging Manual
6/6/01	Order	442.1A		CRD - Department of Energy Employee Concerns Program
11/16/06	Manual	442.1-1		CRD - Differing Professional Opinions Manual for Technical Issues Involving Environment, Safety, and Health
12/20/07	Order	443.1A		CRD – Protection of Human Subjects
6/4/08	Order	450.1A		CRD – Environmental Protection Program
11/1/06	Manual	450.4-1		Integrated Safety Management System Manual

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8/2/04	Policy	450.7		DOE Environment, Safety and Health Goals
7/15/03	Policy	455.1		Use of Risk-Based End States
1/5/09	Notice	456.1		CRD – Safe Handling of Unbound Engineered Nanoparticles; Extended by N 251.79 until 4-19-11
9/15/05	Policy	456.1		Secretarial Policy Statement on Nanoscale Safety
5/14/10	Order	460.1C		CRD - Packaging and Transportation Safety
12/22/04	Order	460.2A		CRD - Departmental Materials Transportation and Packaging Management
6/4/08	Manual	460.2-1A		Radioactive Material Transportation Practices Manual
5/08/01	Policy	470.1		Integrated Safeguards and Security Management Policy
10/31/02	Order	470.2B		CRD - Independent Oversight and Performance Assurance Program
8/12/08	Order	470.3B		Graded Security Protection (GPS) Policy
8/26/05	Manual	470.4-1	1 3/7/06	CRD – Safeguards and Security Program Planning & Management
7/23/09	Manual	470.4-2A		CRD – Physical Protection
11/5/08	Manual	470.4-3A		CRD – Contractor Protective Force Manual
1/16/09	Manual	470.4-4A		CRD – Information Security Manual  <b>Compliance Note:</b> This Directive cancels DOE M 470.4-4, Change 1, <i>Information Security</i> , dated 06-29-07, except for Section E – Technical Surveillance Countermeasures, which will be retained in its entirety as Section D of this Manual
8/26/05	Manual	470.4-6	1 8/14/06	CRD – Nuclear Material Control and Accountability
3/1/10	Order	471.1B		CRD - Identification and Protection of Unclassified Controlled Nuclear Information
4/9/03	Order	471.3		CRD - Identifying and Protecting Official Use Only Information
4/9/03	Manual	471.3-1		CRD - Manual for Identifying and Protecting Official Use Only Information
8/28/07	Manual	475.1-1B		CRD – Manual for Identifying Classified Information
12/10/04	Order	475.1		Counterintelligence Program
8/28/07	Order	475.2		CRD – Identifying Classified Information
1/03/01	Manual	481.1-1A	1 9/28/01	Reimbursable Work for Non-Federal Sponsored Process Manual

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1/12/01	Order	482.1		CRD - DOE Facilities Technology Partnering Programs
1/12/01	Order	483.1		CRD - DOE Cooperative Research and Development Agreements
1/12/01	Manual	483.1-1		DOE Cooperative Research and Development Agreements
8/17/06	Order	484.1		CRD - Reimbursable Work for the Department of Homeland Security
11/3/04	Order	522.1		CRD - Pricing of Departmental Materials and Services
1/6/03	Order	534.1B		CRD – Accounting
6/24/08	Order	551.1C		CRD - Official Foreign Travel
12/7/05	Order	580.1	<sup>1</sup> 5/8/08	CRD – Department of Energy Property Management Program
5/20/02	Policy	580.1		Management Policy for Planning, Programming, Budgeting, Operation, Maintenance and Disposal of Real Property
11/12/92	Order	1450.4		Consensual Listening-In to or Recording Telephone/Radio Conversations
2/8/90	Order	5400.5*	<sup>2</sup> 1/7/93	Radiation Protection of the Public and the Environment

**Appendix I - Part II**

**PARTIAL DELETIONS OF DIRECTIVES**

DATE	DOE DIRECTIVE NUMBER	SUBJECT TITLE	DELETION DIRECTIVE DATE	SECTIONS DELETED
2/8/90 6/5/90 1/7/93	5400.5 Change 1 Change 2	Radiation Protection of the Public and the Environment	O 231.1 9/30/95 Change 1 10/26/95	Chapter II: Para 1a(3) (a)