

Part III - Section J
Appendix G
List of Applicable Directives and NNSA Policy Letters

In addition to the list of applicable directives referenced below, the contractor shall also comply with supplementary directives (e.g., manuals), which are invoked by a Contractor Requirements Document (CRD) attached to a directive referenced below. This List excludes directives that have been granted an exemption from the CRD in whole or in part. For those Directives whereby the Contractor has been granted an exemption from the CRD, the Contractor shall comply only with the Operating Requirements identified in Appendix G-1. Directives identified in Appendix G-1 are for reference purposes only.

DIRECTIVE NUMBER	DATE	DOE DIRECTIVE TITLE
APPH Chapter X Revision 10	9/08/98	Accounting Practices & Procedures Handbook (APPH) Chapter X - Product Cost Accounting
DOE O 130.1	9/29/95	Budget Formulations Process
DOE M 140.1-1B	3/30/01	Interface with the Defense Nuclear Facilities Safety Board
DOE O 142.2A, Admin Chg 1 dated 6/27/13	12/15/06	Voluntary Offer Safeguards Agreement and Additional Protocol with the International Atomic Energy Agency
DOE M 142.2-1, Admin Chg 1 dated 6/27/13	9/04/08	Manual for the Implementation of the Voluntary Offer Safeguards Agreement and Additional Protocol with the International Atomic Energy Agency
DOE O 142.3A	10/14/10	Unclassified Foreign Visits and Assignments Program
DOE O 144.1, Chg 1 dated 11/6/09	1/16/09	Department of Energy American Indian Tribal Government Interactions and Policy
DOE O 150.1A	3/31/14	Continuity Programs
DOE O 151.1C	11/02/05	Comprehensive Emergency Management System
DOE O 153.1	6/27/07	Departmental Radiological Emergency Response Assets
DOE O 205.1B, Admin Chg 3 dated 4/29/14	5/16/11	Department of Energy Cyber Security Program ¹
DOE M 205.1-3, Admin Chg 1 dated 12/20/12	4/17/06	Telecommunications Security Manual ²
DOE O 206.1	1/16/09	Department of Energy Privacy Program
DOE O 206.2	2/19/13	Identify, Credential, and Access Management (ICAM)
DOE O 210.2A	4/08/11	DOE Corporate Operating Experience Program
DOE O 221.1A	4/19/08	Reporting Fraud, Waste, and Abuse to the Office of Inspector General
DOE O 221.2A	2/25/08	Cooperation With The Office of Inspector General
DOE O 225.1B	3/04/11	Accident Investigations
DOE O 226.1B	4/25/11	Implementation of Department of Energy Oversight Policy
NNSA SD 226.1B	8/12/16	NNSA Site Governance
DOE O 227.1A	8/30/11	Independent Oversight Program
DOE O 231.1B, Admin Chg 1 dated 11/28/12	6/27/11	Environment, Safety and Health Reporting
DOE O 232.2, Admin Chg 1 dated 3/12/14	8/30/11	Occurrence Reporting and Processing of Operations Information

¹ Sandia will evaluate NNSA RMIP releases to ensure that the requirements of CNSSP-300 are adequately implemented.

² Refer to memorandum from NNSA/HQ/NA-IM-10, Subject: *Cable-confined Testing and Transmitter Review Forms (TRF)*, dated 4/25/12, for clarification to TRF completion requirements.

DIRECTIVE NUMBER	DATE	DOE DIRECTIVE TITLE
DOE O 241.1C, dated 4/26/16	12/13/10	Scientific and Technical Information Management
DOE O 243.1B, Admin Chg 1 dated 7/8/13	3/11/13	Records Management Program
DOE O 252.1A, Admin Chg 1 dated 3/12/13	2/23/11	Technical Standards Program
DOE O 313.1	11/19/09	Management and Funding of the Department's Overseas Presence
DOE O 350.1, Chg 3 dated 2/23/10	9/30/96	Contractor Human Resource Management Programs ³
NA SD 350.2 Rev. 1, dated 10/18/2012	11/16/11	Use of Management and Operating Contractor Employees for Services to NNSA in the Washington, D.C., Area
DOE O 350.2B	05/31/11	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, Admin Chg 1 dated 4/10/14	8/17/09	Management of Nuclear Materials
DOE O 412.1A, Admin Chg 1 dated 5/21/14	4/21/05	Work Authorization System
DOE O 413.1B	10/28/08	Internal Control Program
DOE O 413.2B, Admin Chg 1 dated 1/31/11	4/19/06	Laboratory Directed Research & Development
DOE O 413.3B	11/29/10	Program and Project Management for the Acquisition of Capital Assets ⁴
DOE O 414.1D, Admin Chg 1 dated 5/8/13	4/25/11	Quality Assurance
DOE O 415.1, Admin Chg 1 dated 1/16/13	12/3/12	Information Technology Project Management
NA SD 415.1	9/3/2014	Project Oversight for Information Technology
DOE O 420.1C, Chg 1 dated 2/27/15	12/22/05	Facility Safety ⁵
DOE O 420.2C	7/21/11	Safety of Accelerator Facilities
DOE O 422.1, Admin Chg 2 dated 12/03/14	6/29/10	Conduct of Operations
DOE O 425.1D, Admin Chg 1 dated 4/2/13	4/16/10	Verification of Readiness to Start Up or Restart Nuclear Facilities
DOE O 426.2, Admin Chg 1 dated 7/29/13	4/21/10	Personnel Selection, Training, Qualification, and Certification Requirements for DOE Nuclear Facilities

³ (a) For purposes of Chapter VI-5, paragraph 1, Basic Requirements, subparagraph (d), effective January 22, 2013, the Contractor shall perform an annual limited scope-audit of the Contractor pension plan except that a full-scope audit shall be performed once every three years.
 (b) Excludes Chapters VIII Contractor Workplace Substance Abuse Programs and IX Employee Assistance Programs due to exemption granted on December 9, 2010, by the NNSA Administrator.
 (c) For purposes of Attachment 1 (Page V-8), Employee Benefits, Benefit Program Approval b. (2) (d), total benefit payments from all sources shall not exceed 80% of the employee's gross pay for the period such compensation is payable.

⁴ The annual Value Engineering accomplishment progress report required by paragraph c.9 of the CRD shall be submitted to OECM through the SFO.

⁵ Implementation will be conducted in phases. Implementation recommendations will be presented to the JORRB if revisions are necessary.

DIRECTIVE NUMBER	DATE	DOE DIRECTIVE TITLE
DOE O 430.1B, Chg. 2 dated 04/25/11	9/24/03	Real Property and Asset Management
DOE O 433.1B, Admin Chg 1 dated 3/12/13	4/21/10	Maintenance Management Program for DOE Nuclear Facilities
DOE N 435.1	8/09/11	Contact-Handled and Remote-Handled Transuranic Waste Packaging
DOE O 435.1, Chg. 1 dated 8/28/01	7/09/99	Radioactive Waste Management
DOE O 440.2C, Chg. 1 dated 6/15/11	11/27/02	Aviation Management and Safety
DOE M 441.1-1 Chg 1, dated 2/24/16	3/07/08	Nuclear Material Packaging Manual ⁶
DOE O 442.2	7/29/11	Differing Professional Opinions for Technical Issues Involving Environment, Safety, and Health
DOE O 443.1B Chg 1 (Page Change), dated 4/21/16	3/17/11	Protection of Human Research Subjects
DOE N 443.1	1/21/2016	Protection of Human Research Subjects in Classified Research
DOE O 452.1E	1/26/15	Nuclear Explosive and Weapon Surety Program ⁷
DOE O 452.2E	1/26/15	Nuclear Explosive Safety
NA SD 452.2	11/17/14	Nuclear Explosive Safety Evaluation Process
DOE O 452.3	6/08/05	Management of the Department of Energy Nuclear Weapons Complex
NNSA SD 452.3-1A	2/25/16	Defense Programs Business Process System ⁸
DOE O 452.4C, dated 8/28/15	1/22/10	Security and Use Control of Nuclear Explosives and Nuclear Weapons ⁹
DOE O 452.6A	4/14/09	Nuclear Weapon Surety Interface with the Department of Defense
DOE O 452.7	5/14/10	Protection of Use Control Vulnerabilities and Designs
DOE O 452.8	7/21/11	Control of Nuclear Weapons Data
DOE O 456.1A, dated 7/15/16	5/31/11	The Safe Handling of Unbound Engineered Nanoparticles
DOE O 457.1A	8/26/13	Nuclear Counterterrorism
DOE O 458.1, Admin Chg 3 dated 1/15/13	2/11/11	Radiation Protection of the Public and the Environment
DOE O 460.1C	5/14/10	Packaging and Transportation Safety
DOE O 460.2A	12/22/04	Departmental Materials Transportation & Packaging Management
DOE M 460.2-1A	6/04/08	Radioactive Material Transportation Practices
DOE O 461.1C, dated 7/20/16	12/16/10	Packaging and Transportation for Offsite Shipment of Materials of National Security Interest
DOE O 461.2	11/01/10	Onsite Packaging and Transfer of Materials of National Security Interest

⁶ Sandia has repackaged all nuclear materials that were previously subject to DOE M 441.1-1 as agreed with SFO. If new nuclear materials are acquired in the future that require packaging in accordance with DOE M 441.1-1, Sandia will select packaging designs approved by SFO and reviewed by the NNSA/Albuquerque Complex Packaging Certification Division prior to use.

⁷ Clarification to CRD, Item 7c: Concepts for features are to be developed for consideration.

⁸ Changes will be processed as described in contract clause H-33(e). CRD Item 6 is achieved through the M&O Contractor Working Group.

⁹ Full implementation in accordance with Implementation Plan for NAP-24A/NEA, dated 8/25/16.

DIRECTIVE NUMBER	DATE	DOE DIRECTIVE TITLE
DOE O 462.1, Admin Chg 1 dated 7/10/13	11/10/08	Import and Export of Category 1 and 2 Radioactive Sources and Aggregated Quantities
DOE O 470.3B	8/12/08	Graded Security Protection (GSP) Policy
DOE O 470.4B, Admin Chg 1 dated 2/15/13	7/21/11	Safeguards and Security Program ¹⁰
DOE M 470.4-4A	1/16/09	Information Security Manual ¹¹
DOE O 471.1B	3/01/10	Identification and Protection of Unclassified Controlled Nuclear Information
DOE O 471.3, Admin Chg 1 dated 1/13/11	4/09/03	Identifying and Protecting Official Use Only Information
DOE M 471.3-1, Admin Chg 1 dated 1/13/11	4/09/03	Manual for Identifying and Protecting Official Use Only Information
DOE O 471.5	3/29/11	Special Access Program
DOE O 471.6, Admin Chg 2 dated 5/15/15	6/20/11	Information Security ¹²
DOE O 472.2, Chg 1 dated 7/9/14	7/21/11	Personnel Security
DOE O 473.3A	3/23/2016	Protection Program Operations ¹³
NNSA SD 473.3	9/10/2014	Enterprise Mission Essential Task List-Based Protective Force Training Program
DOE O 474.2, Chg 4 (Pg Chg) dated 9/13/16	6/27/11	Nuclear Material Control and Accountability
DOE O 475.1	12/10/04	Counterintelligence Program
DOE O 475.2B	10/3/14	Identifying Classified Information ¹⁴
DOE O 483.1A	11/06/13	DOE Cooperative Research and Development Agreements
DOE O 534.1B	1/06/03	Accounting
DOE O 551.1D, Chg 2 dated 8/9/16	4/02/12	Official Foreign Travel
DOE O 580.1, Chg 1 dated 5/08/08	12/07/05	Department of Energy Personal Property Management Program
DOE 5480.30, Chg 1 dated 3/14/01	1/19/93	Nuclear Reactor Safety Design Criteria
DOE O 5639.8A	7/23/93	Security of Foreign Intelligence Information and Sensitive Compartmented Information Facilities

¹⁰ Sandia shall provide SFO with the required documentation (DD254 or DOE F 470.1) for *new* classified SPP activity and shall provide notification as required to update the form through the lifecycle of the activity. This does not include those SPP activities excluded by policy.

¹¹ DOE O 471.6, Admin Chg 1, dated 06/20/2011, replaced DOE M 470.4-4A, except Section D and the classified Technical Surveillance Countermeasures Annex.

¹² Implementation of the “*marking of documents in electronic environment requirements*” listed in the CRD will be achieved in accordance with an approved implementation plan.

¹³ Full implementation in accordance with the approved Implementation Plan, dated 10/3/16.

¹⁴ Based on the February 4, 2015, JORRB, implementation of the requirements in the CRD will be achieved in accordance with an approved implementation plan. In accordance with NNSA guidance, Sandia will implement classified email “marking” by 9/30/2016. The broader issue of marking all documents in the electronic environment will be implemented upon approval of the implementation plan for DOE O 471.6 Admin Chg 2.

DIRECTIVE NUMBER	DATE	DOE DIRECTIVE TITLE
SD 56XB, Rev. 2	5/10/04 (Release Date)	Nuclear Weapon Development and Production ¹⁵
NAP 14.1-D	12/14/12	Baseline Cyber Security Program ¹⁶
NAP 14.3-B	5/02/08	Transmission of Restricted Data Over Secret Internet Protocol Router Network (SIPRNet)
NAP 23, Admin Chg 1 dated 2/9/15	12/13/12	Atomic Energy Act Control of Import and Export Activities
NAP 24A, dated 11/24/15	6/20/13	Weapon Quality Policy ¹⁷
QP 100-1	3/1/13	Quality Requirements to UK and US Procurement Contracts and Loan Authorizations for Research, Design, and Development

¹⁵ Changes will be processed as described in contract clause H-33(e).

¹⁶ Sandia Cyber Security Program Execution Guidance and Annual Operating Plan will be used in lieu of NAP 21 to define performance expectations for the cyber security program.

¹⁷ Full implementation in accordance with Implementation Plan for NAP-24A/NEA, dated 8/25/16. The term "prevented" in Attachment 2 Section 3.6.e, 3.6.3a, and Attachment 4 Section 1.0 is commensurate with DOE O 452.1E, Section 4.b.1.

Part III - Section J

Appendix G-1

Operating Requirements

The Contractor shall comply with the Operating Requirements listed herein. **The identified directives are listed for reference purposes only, i.e., only those provisions set forth herein constitute binding Operating Requirements.** The NNSA Administrator has granted exemptions from some of the directives referenced herein while other directives have an alternative applicable authority for exemption. The applicable authority for exemption for each directive is cited in their respective endnotes.

The contractor is responsible for flowing down requirements in Appendix G-1 and other contract requirements, when applicable, to ensure compliance with the terms and conditions of the prime contract.

The paragraph numbering under each heading below corresponds to the Contractor Requirements Document (CRD) in the referenced directive for ease of traceability.

DOE O 200.1A, Information Technology Management, Effective Date: 12/23/2008¹

1. INFORMATION TECHNOLOGY STRATEGIC PLANNING. Maintain a strategic plan that coordinates IT planning and investment decisions and links to the Departmental strategic plan.
2. CAPITAL PLANNING AND INVESTMENT CONTROL. Develop, implement, and maintain a Capital Planning and Investment Control (CPIC) process that supports Department-wide CPIC efforts.
3. ENTERPRISE ARCHITECTURE. Maintain an Enterprise Architecture for the life-cycle management of information resources and related IT investments funded by or operated for DOE.
4. HARDWARE AND SOFTWARE ACQUISITION
 - b. Implement a Software Quality Assurance (SQA) program.
5. IT OPERATIONS AND USE. Ensure that information published to Federal service-to-citizens public websites are accessible to the public and individuals with disabilities.

DOE O 436.1, Departmental Sustainability, Effective Date: 05/02/2011³

1. Submit an annual Site Sustainability Plan (SSP) that is integrated with Environmental Management System (EMS) and site operations.

DOE O 484.1, Reimbursable Work for the Department of Homeland Security, Administrative Change 2, Effective Date: 06/30/2014^{1,4}

Establish, maintain and implement, through the contractor's management system, the assurance that all requirements applicable to reimbursable work for DHS are satisfied to include ensuring:

- DHS-funded work at a DOE national laboratory or site will be performed on an equal basis to other missions at the laboratory or site and not on a non-interference basis with other missions of such laboratory or site; and
- No added administrative or personnel charges in excess of those paid by DOE will be charged for DHS work

DOE O 522.1, Pricing of Departmental Materials and Services, Effective Date: 11/03/2004¹

1. When the site/facility management contractor conducts activities of providing non-DOE entities materials or services, which the Department is authorized by law to provide, the site/facility management contractor must charge the non-DOE entity the full cost of providing the materials or services. Full cost includes all site/facility management contractor direct costs incurred in performing work, all allocable costs incurred by the site/facility management contractor at any DOE/NNSA facility, and a Federal administrative charge of 3 percent of these costs. In no case will any depreciation or imputed interest charges be imposed on the non-DOE entity requesting the materials or services.
2. For cosponsored work, Cooperative Research and Development Agreements (CRADAs), and other technology transfer mechanisms, the site/facilities management contractor will assess a Federal administrative charge of 3 percent on all funds contributed by the sponsor, regardless of the level of Departmental participation in funding the work effort. In-kind contributions will not be subject to the Federal administrative charge.
3. The site/facility management contractor may provide an exception to the requirement to assess the 3 percent Federal administrative charge for reimbursable work performed for non-DOE entities as follows:
 - a. Funds-in agreements with domestic entities: small business concerns, institutions of higher education, nonprofit entities, and State and local governments.
 - b. Based on the current listing of blanket pricing exceptions provided by DOE to the contractor for work covering research, development, testing, evaluation, training, and exercises directly related to specified activities listed. If any of the blanket exceptions are canceled, DOE will provide the contractor with appropriate notification.
5. The following activities may become part of the contractor's responsibilities. These activities require special pricing consideration and, as applicable, DOE will provide the contractor with additional information for pricing the activity.
 - a. Information Dissemination Materials. DOE must comply with Office of Management and Budget (OMB) Circular A-130, Management of Federal Information Resources. The contractor will assist DOE in complying with Circular A-130. Circular A-130 requires DOE to set charges at a level sufficient to recover the cost of dissemination but no higher. Charges must exclude the cost of the original collection and processing of the information. Should an exception to this policy be warranted, DOE will provide additional guidance.
 - b. Byproduct Material. The contractor shall establish prices and charges for byproduct material sold, pursuant to Title 42 United States Code (U.S.C.) 2111 and 2112, at either the full cost recovery price or the commercial price, whichever is higher. Lower prices may be established if it is determined that such prices and charges will provide reasonable compensation to the Government, will not discourage the use of or the development of sources of supply independent of DOE, and will encourage research and development. Before establishing lower prices, the contractor shall obtain the approval of DOE.

- c. Other Materials and Services. The contractor shall establish prices and charges for materials and services sold, pursuant to 42 U.S.C. 2201(m), at either the full cost recovery price or the commercial price, whichever is higher. Lower prices and charges may be established if it is determined that such prices and charges would still provide reasonable compensation to the Government and would not discourage the development of supply sources independent of DOE. Before establishing lower prices, the contractor shall obtain the approval of DOE.
- d. Foreign Research Reactor Spent Nuclear Fuel Program. DOE will provide the contractor guidance on charging for this activity.
- e. Access Permits. The contractor shall not charge for access permits issued with the exception of those access permits which are charged in accordance with Title 10 Code of Federal Regulations (CFR) 725.
- f. Access Authorizations. The contractor shall not assess charges for access authorizations when authorization-
 - (1) is transferred from a study agreement to an access permit held by the same organization;
 - (2) is for an employee or staff member of an accredited, nonprofit educational institution having, at a minimum, a 2-year program of college level studies, and the work is related to the civilian application of nuclear energy;
 - (3) will not be considered one for which DOE has been paid, when the individual transfers to another organization; and
 - (4) is granted to obtain full and free competition.
- g. Use Permits. The contractor shall not assess a charge for preparing a permit which authorizes the use of DOE facilities or services. Charges for use of the facilities or services will be calculated separately.
- h. Assistance for the Protection of Health and Safety in the Event of Radiological Incidents. The contractor shall request guidance from DOE on charging for this activity.
- i. Museums and Exhibits. Unless there is specific authority to collect admission fees, the contractor will not charge visitors to DOE museums and exhibits for admission.
- j. Commercial Property Rental. DOE will provide the contractor guidance on charging for this activity.
- k. Use of Facilities. DOE will provide the contractor guidance on charging for this activity.
- l. Office of Science User Facilities. The contractor may make the Office of Science User Facilities available for research by a broad community of qualified users on the basis of programmatic interest, feasibility, capability of the experimental group, and availability of the resources required. The contractor shall adhere to the following regarding charging users for use of the facilities.

- (1) Use of user facilities will be authorized at no charge for research which is of DOE programmatic interest and which is approved by laboratory management, usually with the advice of program advisory committees. Use free of charge will apply to experiments approved for conduct during periods in which the facility operates in normal mode for its primary purpose. The facility manager will determine which requests meet those criteria and report periodically to the appropriate DOE program manager.
 - (2) When facilities are made available for proprietary research, the user will be charged a fee that realizes full cost recovery.
 - (3) When facilities are operated for special circumstances, such as running the facility outside the normal operating mode or schedule, the user will be charged the incremental costs.
- m. Hazardous Materials Spill Center. The contractor will charge users of the facility only for direct and indirect costs for their experiments.
- (1) Invoices for materials and services will be prepared and issued promptly in accordance with the terms of the reimbursable work contracts or agreements.
 - (2) Work for others issues are covered in the work for others clause of this contract.
 - (3) Collections are covered under the payments and advances clause of this contract.

- *End of Appendix* -

Endnotes:

- ¹ Thomas P. D'Agostino (Administrator, NNSA) December 9, 2010 Memorandum for Patty Wagner (Manager, Sandia Site Office) and Stephen Mellington, (Manager, Nevada Site Office); Subject: Strengthening Oversight Through Improving Contractor Requirements Documents in National Nuclear Security Administration Management and Operating Contracts; Attachment: Contractor Requirements Document (CRD) Crosswalk Form
- ² Thomas P. D'Agostino (Administrator, NNSA) August 16, 2010 Memorandum for Patty Wagner (Manager, Sandia Site Office) and Stephen Mellington, (Manager, Nevada Site Office); Subject: Strengthening Oversight Through Improving Contractor Requirements Documents in National Nuclear Security Administration Management and Operating Contracts; Attachment: Contractor Requirements Document (CRD) Crosswalk Form
- ³ Per the CRD for DOE O 436.1, *Departmental Sustainability*, dated 05/02/2011, "When deemed appropriate by the Contracting Officer, a contractor having an EMS that is certified to ISO 14001:2004 standard in accordance with the accredited registrar provisions of the International Standard may allow the CRD not to be included in their contracts. In such cases, sustainability goals will flow down to contractors via established contractor performance management processes or other contract mechanisms."
- ⁴ DOE O 484.1 was updated to DOE O 481.1, Administrative Change 2 dated 6/30/2014, pursuant to the parameters in Endnote 1.