

ATTACHMENT J.9

APPENDIX I

DOE DIRECTIVES/LIST B

Applicable to the Operation of
Ernest Orlando Lawrence Berkeley National Laboratory

Contract No DE-AC02-05CH11231

Number	Title	CRD Applicability	Effective Date	Implementation Plan
DOE O 130.1A	Budget Planning, Formulation, Execution and Departmental Performance Management	While there's no CRD, the DOE Order applies	5/19/2021	No
DOE O 142.2A, Admin Chg 1	Voluntary Offer Safeguards Agreement and Additional Protocol with the International Atomic Energy Agency	Sections 2.a., 2.m-o	9/12/2023	Yes Full implementation by 11/1/2023
DOE M 142.2-1, Admin Chg 1	Manual for Implementation of the Voluntary Offer Safeguards Agreement and Additional Protocol with the International Atomic Energy Agency	Sections 3d-f	9/12/2023	Yes Full implementation by 11/30/2023
DOE O 142.3B Chg 1 (LtdChg)	Unclassified Foreign National Access Program	All CRD implementation in accordance with the DOE-approved LBNL Site Security Plan, Chapter 9 "Unclassified Foreign National Access Program	9/12/2023	Yes Full implementation by 9/30/2024
DOE O 144.1A	Department of Energy (DOE) Requirements for Consultation and Engagement with Federally Recognized Indian Tribes and Alaska Native Claims Settlement Act Corporations Pursuant to DOE Policy 144.1	All	x/xx/xxxx	Yes Full implementation by 2/1/2026
DOE O 150.1B	Continuity Programs	All	5/17/2022	Yes Full implementation by 9/30/2024
DOE O 151.1D Chg 1 (MinChg)	Comprehensive Emergency Management System	All	12/16/2019	No
DOE O 200.1A Chg 2 (LtdChg)	Information Technology Management	All	2/1/2024	No
DOE O 205.1D	Department of Energy Cybersecurity Program	All	x/xx/xxxx	No
DOE O 206.1A	Department of Energy Privacy Program	All	6/12/2024	No
DOE O 206.2 Chg 2 (LtdChg)	Identity, Credential, and Access Management (ICAM)	All CRD implementation in accordance with the Office of Science HSPD-12 Implementation Plan Guidance	x/xx/xxxx	Yes Full implementation by 9/30/2032
DOE O 210.2A	DOE Corporate Operating Experience Program	All	12/2/2011	No
DOE O 221.1B	Reporting Fraud, Waste, and Abuse To The Office of Inspector General	All	3/16 /2017	No
DOE O 221.2A	Cooperation With The Office of Inspector General	All	3/7/2011	No
DOE O 225.1B	Accident Investigations	All (Cooperation with DOE investigation only)	12/2/2011	No
DOE O 227.1A, Chg 1 (AdminChg)	Independent Oversight Program	All	10/19/2020	No
DOE O 231.1B Admin Chg 1	Environment, Safety and Health Reporting	All	7/3/2014	No

DOE O 232.2A Chg 1 (MinChg)	Occurrence Reporting and Processing of Operations Information	All	12/16/2019	No
DOE O 241.1C	Scientific and Technical Information Management	All	x/xx/xxxx	No
DOE O 243.1C	Records Management Program	All Section 24.f. will only apply to Federal Records as defined by 44 USC § 3301 and 36 CFR 1220.18.	8/31/22	Yes Full implementation by 6/30/2025
DOE O 252.1A Chg2 (AdminChg)	Technical Standards Program	All	x/xx/xxxx	No
DOE O 410.2 Admin Chg 1	Management of Nuclear Materials	All	10/2/2016	Yes Full implementation by 9/30/2019
DOE O 413.2C Chg 1 (MinChg)	Laboratory Directed Research and Development	All	3/28/2019	No
DOE O 413.3B Chg 7 (LtdChg)	Program and Project Management for the Acquisition of Capital Assets	All	2/1/2024	No
DOE O 414.1D Chg 2 (LtdChg)	Quality Assurance	All	5/19/2021	No
DOE O 415.1	Information Technology Project Management	All	6/29/2017	No
DOE O 420.1C Chg 3 (LtdChg)	Facility Safety	Chapter II (Fire Protection) and Chapter IV (Natural Phenomena Hazards Mitigation)	4/8/2020	No
DOE O 420.2D	Safety of Accelerators	All	01/19/2023	Yes Full implementation by 1/30/2024
DOE O 435.1 Chg2 (AdminChg)	Radioactive Waste Management	All	5/19/2021	No
DOE O 437.1	Bridge and Tunnel Management	All	5/19/2021	No
DOE O 440.2C Chg 3 (LtdChg)	Aviation Management and Safety	All	9/12/2023	Yes Full implementation by 12/30/2023
DOE O 442.1B	Department of Energy Employee Concerns Program	All	6/20/2019	Yes Full implementation by 10/1/2019
DOE O 442.2 Chg 1 (PgChg)	Differing Professional Opinions for Technical Issues involving Environment, Safety, and Health Technical Concerns	All	3/16/2017	No
DOE O 443. 1C	Protection of Human Research Subjects	All	4/8/2020	No
DOE O 456.1A	The Safe Handling of Unbound Engineered Nanoparticles	All	3/16/2017	No
DOE O 458.1 Chg 4 (LtdChg)	Radiation Protection of the Public and Environment	All	5/19/2021	No
DOE O 460.1D Chg1 (LtdChg)	Hazardous Materials Packaging and Transportation Safety	All	8/31/22	No

DOE O 460.2B	Departmental Materials Transportation Management	Only Sections: • 1(a) - Except the requirement to comply with 49 CFR Parts 190-193, 195 and 199 for transportation by pipeline; and 49 CFR Parts 200-268 for transportation by rail. • 2 • 3(d)(1), 3(d)(3), 3(f)(1), 3(f)(2)	01/19/2023	Yes Full implementation by 9/30/2023
		• 4(a), 4(b)(1) • 5(a), 5(b), 5(c) • 6(a), 6(c), 6(d), 6(e)		
DOE O 470.3C Chg 2 (LtdChg)	Design Basis Threat (DBT)	While there's no CRD, the following applies: Appendices A, F, G, H, I, and J.	6/12/2024	No
DOE O 470.4B Chg 3 (LtdChg)	Safeguards and Security Program	All	5/17/2022	Yes Full implementation by 8/15/2022
DOE O 470.5	Insider Threat Program	All	10/2/2016	Yes
DOE O 471.7	Controlled Unclassified Information	All CRD implementation in accordance with the guidance established in the Information Protection Approach subsection of the Office of Science Controlled Unclassified Information Program Plan	5/15/2022	Yes Full implementation by 5/15/2025
DOE O 472.2A Chg1 (LtdChg)	Personnel Security	All CRD implementation in accordance with the Office of Science HSPD-12 Implementation Plan Guidance	x/xx/xxxx	Yes Full implementation by 9/30/2032
DOE O 473.1A	Physical Protection Program	All	8/31/22	Yes Full implementation by 9/30/2032

DOE O 473.2A	Protective Force Operations	<u>Chapter I</u> – all except for: 2.d 3.a.(2) thru (4) 3.b thru d 4.b and d 5 8 thru 10 <u>Chapter II</u> – all except for: 10 and 11 13 15 Sections A and B <u>Chapter III</u> – all except for: 4 <u>Chapter V</u> – all except for: 2.d,g,h,i,k,l,m,n,o(2),p,q,r <u>Chapter VI</u> – all except for: 1.c 7 and 8	8/31/22	Yes Full implementation by 5/1/2025
DOE O 474.2A Chg 1 (AdminChg)	Nuclear Material Control and Accountability	All	6/12/2024	Yes Full implementation by 9/30/2026
DOE O 475.1	Counterintelligence Program	Sections 3a; 3b(1), (3), (7), (8), (17-21); 3d and 4	6/1/2005	No
DOE O 483.1B Chg3 (MinChg) (LtdChg)	DOE Cooperative Research and Development Agreements	All	x/xx/xxxx	No

DOE O 484.1 Chg4 (LtdChg)	Reimbursable Work for the Department of Homeland Security	All	x/xx/xxxx	No
DOE P 485.1A	Foreign Engagements with DOE National Laboratories	While there's no CRD, the DOE Policy applies	4/8/2020	No
DOE O 486.1A	Foreign Government Sponsored or Affiliated Activities	All	10/19/2020	Yes Full implementation by 12/15/2020
DOE O 520.1B Chg 1 (LtdChg)	Financial Management and Chief Financial Officer Responsibilities	All	01/19/2023	No
DOE O 522.1A Chg1 (LtdChg)	Pricing of Departmental Materials and Services	All In accordance with DOE Order 522.1A, (Contractor Requirements Document), Pricing of Departmental Materials and Services, the prohibition for depreciation and imputed interest charges to non-DOE entities is applicable to DOE owned assets and does not apply to University owned assets deployed for performance of work under this contract.	x/xx/xxxx	No
DOE O 550.1 Chg 1 (LtdChg)	Official Travel	All	4/8/2020	No

Environment, Safety and Health Standard Set for LBNL (reference only)
42 USC, Chapter 82, 6901 et seq., Resource Conservation and Recovery Act (RCRA), as amended
10 CFR 71, Subparts D,E,F, (71.31 - 71.77),Transportation of radioactive materials-package approval
10 CFR 20, Subpart K, Section 20, 2005, Disposal of Specific Wastes
10 CFR 20, Subpart K, Section 20, 2003, Disposal by Release into Sanitary Sewerage
10 CFR 708, DOE Contractor Employee Protection Program
10 CFR 745, DOE, Protection of Human Subjects
10 CFR 820, Procedural Rules for Department of Energy Nuclear Activities
10 CFR 830, Nuclear Safety Management
10 CFR 835, Occupational Radiation Protection
10 CFR 850, Chronic Beryllium Disease Prevention Program
10 CFR 851, Worker Safety and Health Program, including standards incorporated by reference in 10 CFR 851.23 and 10 CFR 851.27
10 CFR 1008, Records Maintained on Individuals (Privacy Act)
10 CFR 1021, National Environmental Policy Act Implementing Procedures
10 CFR 1022, Compliance with Floodplain / Wetlands Environmental Review Requirements
40 CFR 61, NESHAPs, applicable subparts
40 CFR 260 - 279, Hazardous Waste