

AMENDMENT OF SOLICITATION/MODIFICATION OF CONTRACT		1. CONTRACT ID CODE	PAGE OF PAGES 1 2
2. AMENDMENT/MODIFICATION NO. 230	3. EFFECTIVE DATE 04/12/2011	4. REQUISITION/PURCHASE REQ. NO.	5. PROJECT NO. (If applicable)
6. ISSUED BY NNSA/Oakridge Site Office U.S. Department of Energy NNSA/Y-12 Site Office P.O. Box 2050 Building 9704-2 Oak Ridge TN 37831	CODE 05008	7. ADMINISTERED BY (If other than Item 6) NNSA/Oakridge Site Office U.S. Department of Energy NNSA/Y-12 Site Office P.O. Box 2050 Building 9704-2 Oak Ridge TN 37831	CODE 05008
8. NAME AND ADDRESS OF CONTRACTOR (No., street, county, State and ZIP Code) BABCOCK & WILCOX TECHNICAL SERVICES Y-12, LLC Attn: WILLIE J. WILSON PO BOX 2009 602 SCARBORO RD., N1.149/MS 8004 OAK RIDGE TN 378318004		(x) 9A. AMENDMENT OF SOLICITATION NO.	
CODE 141952312 FACILITY CODE		9B. DATED (SEE ITEM 11)	
		x 10A. MODIFICATION OF CONTRACT/ORDER NO. DE-AC05-000R22800	
		10B. DATED (SEE ITEM 13) 08/31/2000	

11. THIS ITEM ONLY APPLIES TO AMENDMENTS OF SOLICITATIONS

The above numbered solicitation is amended as set forth in Item 14. The hour and date specified for receipt of Offers is extended, is not extended. Offers must acknowledge receipt of this amendment prior to the hour and date specified in the solicitation or as amended, by one of the following methods: (a) By completing Items 8 and 15, and returning _____ copies of the amendment; (b) By acknowledging receipt of this amendment on each copy of the offer submitted; or (c) By separate letter or telegram which includes a reference to the solicitation and amendment numbers. FAILURE OF YOUR ACKNOWLEDGEMENT TO BE RECEIVED AT THE PLACE DESIGNATED FOR THE RECEIPT OF OFFERS PRIOR TO THE HOUR AND DATE SPECIFIED MAY RESULT IN REJECTION OF YOUR OFFER. If by virtue of this amendment you desire to change an offer already submitted, such change may be made by telegram or letter, provided each telegram or letter makes reference to the solicitation and this amendment, and is received prior to the opening hour and date specified.

12. ACCOUNTING AND APPROPRIATION DATA (If required)

See Schedule

13. THIS ITEM ONLY APPLIES TO MODIFICATION OF CONTRACTS/ORDERS. IT MODIFIES THE CONTRACT/ORDER NO. AS DESCRIBED IN ITEM 14.

CHECK ONE	A. THIS CHANGE ORDER IS ISSUED PURSUANT TO: (Specify authority) THE CHANGES SET FORTH IN ITEM 14 ARE MADE IN THE CONTRACT ORDER NO. IN ITEM 10A.
	B. THE ABOVE NUMBERED CONTRACT/ORDER IS MODIFIED TO REFLECT THE ADMINISTRATIVE CHANGES (such as changes in paying office, appropriation date, etc.) SET FORTH IN ITEM 14, PURSUANT TO THE AUTHORITY OF FAR 43.103(b).
	C. THIS SUPPLEMENTAL AGREEMENT IS ENTERED INTO PURSUANT TO AUTHORITY OF:
X	D. OTHER (Specify type of modification and authority) P.L. 95-91, DEAR 970.5204-2

E. IMPORTANT: Contractor is not, is required to sign this document and return _____ 0 _____ copies to the issuing office.

14. DESCRIPTION OF AMENDMENT/MODIFICATION (Organized by UCF section headings, including solicitation/contract subject matter where feasible.)

The purpose of this modification is to incorporate updated Attachments C and E to Section J of the contract. An administrative change to modification 229 will also be included in this modification.

The enclosed Requirements Change Notice NNSA-41 supersedes RCN Number NNSA-40. NNSA-41 is incorporated into the contract at Part III, List of Documents, Exhibits and Other Attachments, Section J Attachments, Attachment E, Baseline List of Required Compliance Documents.

The enclosed Requirements Change Notice NNSA-42 supersedes RCN Number NNSA-41. NNSA-42 is incorporated into the contract at Part III, List of Documents, Exhibits and Other
Continued ...

Except as provided herein, all terms and conditions of the document referenced in Item 9A or 10A, as heretofore changed, remains unchanged and in full force and effect.

15A. NAME AND TITLE OF SIGNER (Type or print)		16A. NAME AND TITLE OF CONTRACTING OFFICER (Type or print)	
		Jill Y. Albaugh	
15B. CONTRACTOR/OFFEROR	15C. DATE SIGNED	16B. UNITED STATES OF AMERICA	16C. DATE SIGNED
_____ (Signature of person authorized to sign)		Signature on File	04/14/2011
		_____ (Signature of Contracting Officer)	

CONTINUATION SHEET

REFERENCE NO. OF DOCUMENT BEING CONTINUED
DE-AC05-00OR22800/230

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NAME OF OFFEROR OR CONTRACTOR
BABCOCK & WILCOX TECHNICAL SERVICES Y-12, LLC

ITEM NO. (A)	SUPPLIES/SERVICES (B)	QUANTITY (C)	UNIT (D)	UNIT PRICE (E)	AMOUNT (F)
	<p>Attachments, Section J Attachments, Attachment E, Baseline List of Required Compliance Documents.</p> <p>The enclosed Small Business Subcontracting Plan for 2011 supersedes the one for 2010. The Subcontracting Plan for 2011 is incorporated into contract as Part III-List of Documents, Exhibits and Other Attachments, Attachment C -- Small Business Subcontracting Plan.</p> <p>Funding Modification 229 is amended to reflect the correct funding programs on page 2 of the modification. The Approved Funding Programs applicable to Modification 229 are Program Numbers 18 and 19 and not 15, 16, 17.</p> <p>End Modification</p>				

OUTLINE OF CHANGES

REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	AUTHORIZATION
<u>RD-1025</u> ----- DOE HQ Memorandum	03/04/2010	Project Management Principles		DOE ltrs dtd 09/21/2010 and 06/25/2010 B&W Y-12 ltrs dtd 08/17/2010 and 06/15/2010
<i>Modification of Compliance Line: Compliance will be in accordance with the revised Y-12 National Security Complex PARSII Deployment Cost and Schedule Breakdown approved by DOE on 09/21/2010.</i>				
<u>RD-1026</u> ----- S/RID 7.0 Rev. 38	09/22/2010	ENGINEERING		NNSA/YSO Comment/Concurrence Form, S/RID Change Pkg #2010-08-EG, dtd 09/22/2010 B&W Y-12 ltr dtd 08/24/2010
<i>Type 2 change to update requirements taken from DOE O 420.1B, "Facility Safety," dated 12/22/2005 to reflect DOE O 420.1B, "Facility Safety," Change 1, dated 04/19/2010. Additionally, a requirement taken from DOE O 440.1A, "Worker Protection Management for DOE Federal and Contractor Employees, that addresses Suspect/Counterfeit Items, was deleted since it is not included in its successor document, DOE O 440.1B, Worker Protection Program for DOE (Including the National Nuclear Security Administration). Additionally, that requirement is covered by DOE O 414.1C, "Quality Assurance," which is included in the Quality Assurance Functional Area of the S/RID.</i>				
<u>RD-1027</u> ----- NAP 14.1-C	05/02/2008	NNSA Baseline Cyber Security Program		B&W Y-12 ltr dtd 09/23/2010
<i>Modification of Compliance Line: Compliance is contingent upon approval of a revised implementation plan submitted to DOE on 09/23/2010.</i>				
<u>RD-1028</u> ----- NAP 14.2-C	05/02/2008	NNSA Certification and Accreditation (C&A) Process for Information Systems		B&W Y-12 ltr dtd 09/23/2010
<i>Modification of Compliance Line: Compliance is contingent upon approval of a revised implementation plan submitted to DOE on 09/23/2010.</i>				

OUTLINE OF CHANGES

REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	AUTHORIZATION
<u>RD-1029</u> S/RID 1.0 Rev. 24	09/28/2010	MANAGEMENT SYSTEMS		NNSA/YSO Comment/Concurrence Form, S/RID Change Pkg #2010-11-MS, dtd 09/28/2010 B&W Y-12 ltr dtd 09/22/2010
<p><i>Type 2 change to replace requirements taken from DOE O 425.1C, "Startup and Restart of Nuclear Facilities," dated 03/13/2003, with requirements taken from DOE O 425.1D, "Verification of Readiness to Start Up or Restart Nuclear Facilities," dated 04/16/2010. Additionally, requirements taken from YSO-CRD-03-01, "Startup and Restart of Operations, Activities & Facilities at Y-12, Including Safety Basis Document Implementation," Revision 5, were replaced with requirements taken from YSO-CRD-03-01, Revision 6, which was developed to compliment the changes contained in DOE O 425.1D.</i></p>				
<u>RD-1030</u> C019	06/16/2010	Control Product Definition	Issue A	DOE e-mail message dtd 09/17/2010 B&W Y-12 ltr dtd 10/05/2010
<p><i>Addition</i></p>				
<u>RD-1031</u> S/RID 4.0 Rev. 17	10/12/2010	TRAINING AND QUALIFICATION		NNSA/YSO Comment/Concurrence Form, S/RID Change Pkg #2010-09-TQ, dtd 10/12/2010 B&W Y-12 ltr dtd 09/16/2010
<p><i>Type 2 change to replace requirements taken from DOE O 5480.20A, "Personnel Selection, Qualification, and Training Requirements for DOE Nuclear Facilities," dated 11/15/1994, with requirements taken from DOE O 426.2, "Personnel Selection, Training, Qualification, and Certification Requirements for DOE Nuclear Facilities," dated 04/21/2010.</i></p>				

OUTLINE OF CHANGES

REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	AUTHORIZATION
RD-1032 S/RID 13.0 Rev. 18	10/12/2010	PACKAGING AND TRANSPORTATION		DOE-NNSA/YSO Comment/Concurrence Form, S/RID Change Pkg #2010-10-TR dtd 10/12/2010 B&W Y-12 ltr dtd 09/16/2010
<i>Type 2 change to replace requirements taken from DOE O 460.1B, "Packaging and Transportation Safety," dated 04/04/2003, with requirements taken from DOE O 460.1C, "Packaging and Transportation Safety," dated 05/14/2010.</i>				
RD-1033 S/RID 21.0 Rev. 5	10/12/2010	NUCLEAR CRITICALITY SAFETY		YSO-CRD-06-01, Rev. 3, "Standards/ Requirements Identification Document" section, paragraph 5.b.(1) B&W Y-12 e-mail message dtd 10/12/2010
<i>Type 1 change to update Source Document DOE O 420.1B, "Facility Safety," dated 12/22/2005, to reflect DOE O 420.1B, "Facility Safety," Change 1, dated 04/19/2010.</i>				
RD-1034 S/RID 8.0 Rev. 34	10/12/2010	CONSTRUCTION PROGRAM		YSO-CRD-06-01, Rev. 3, "Standards/ Requirements Identification Document" section, paragraph 5.b.(1) B&W Y-12 e-mail message dtd 10/12/2010
<i>Type 1 change to update Source Document DOE O 420.1B, "Facility Safety," dated 12/22/2005 to reflect DOE O 420.1B, "Facility Safety," Change 1, dated 04/19/2010.</i>				

OUTLINE OF CHANGES

REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	AUTHORIZATION
<u>RD-1035</u> S/RID 7.0 Rev. 40	10/12/2010	ENGINEERING		YSO-CRD-06-01, Rev. 3, "Standards/ Requirements Identification Document" section, paragraph 5.b.(1) B&W Y-12 e-mail message dtd 10/12/2010
<i>Type 1 change to update Source Document DOE O 420.1B, "Facility Safety," dated 12/22/2005 to reflect DOE O 420.1B, "Facility Safety," Change 1, dated 04/19/2010; and incorporate an editorial change to the implementation assumption for RUID 11178.</i>				
<u>RD-1036</u> S/RID 5.0 Rev. 22	10/12/2010	EMERGENCY MANAGEMENT		YSO-CRD-06-01, Rev. 3, "Standards/ Requirements Identification Document" section, paragraph 5.b.(1) B&W Y-12 e-mail message dtd 10/12/2010
<i>Type 1 change to update Source Document DOE O 420.1B, "Facility Safety," dated 12/22/2005 to reflect DOE O 420.1B, "Facility Safety," Change 1, dated 04/19/2010.</i>				
<u>RD-1037</u> DOE N 203.1	10/02/2000	Software Quality Assurance		DOE e-mail message dtd 10/13/2010 B&W Y-12 ltr dtd 09/08/2010
<i>Deletion: This document was extended by DOE N 251.40, "Extension of DOE Directives on Security," until 12/31/2010, at which time it expired. Based on a review of DOE N 203.1, it was determined that the requirements it levies are covered in DOE O 414.1C, "Quality Assurance," QC-1, "DOE/NNSA Weapon Quality Policy," Revision 10; and 10 CFR 830.122, "Quality Assurance Criteria," which are source documents in the approved S/RID.</i>				

OUTLINE OF CHANGES

REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	AUTHORIZATION
<u>RD-1038</u> ----- NAP 14.1-C	05/02/2008	NNSA Baseline Cyber Security Program		NNSA/YSO Comment/ Concurrence Form, Implementation Plan (Revised) Approval dtd 10/15/2010 and DOE e-mail message dtd 10/01/2010 B&W Y-12 ltrs dtd 10/07/2010 and 09/23/2010
<i>Modification of Compliance Line: Compliance will be in accordance with a revised implementation plan approved by DOE on 10/15/2010.</i>				
<u>RD-1039</u> ----- NAP 14.2-C	05/02/2008	NNSA Certification and Accreditation (C&A) Process for Information Systems		NNSA/YSO Comment/ Concurrence Form, Implementation Plan (Revised) Approval dtd 10/15/2010 and DOE e-mail message dtd 10/01/2010 B&W Y-12 ltrs dtd 10/07/2010 and 09/23/2010
<i>Modification of Compliance Line: Compliance will be in accordance with a revised implementation plan approved by DOE on 10/15/2010.</i>				

OUTLINE OF CHANGES

REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	AUTHORIZATION
<p>RD-1040 ----- S/RID 3.0 Rev. 9</p>	<p>10/20/2010</p>	<p>CONFIGURATION MANAGEMENT</p>		<p>YSO-CRD-06-01, Rev. 3, "Standards/ Requirements Identification Document" section, paragraph 5.b.(1) NNSA/YSO Comment/Concurrence Form, S/RID Change Pkg #2010-09-TQ, dtd 10/12/2010 B&W Y-12 e-mail message dtd 10/20/2010</p>
<p><i>Type 1 change to add a requirement taken from DOE O 426.2, "Personnel Selection, Training, Qualification, and Certification Requirements for DOE Nuclear Facilities," dated 04/21/2010, to include the Configuration Management Functional Area as a "key interface" with the Lead Functional Area.</i></p>				
<p>RD-1041 ----- S/RID 8.0 Rev. 35</p>	<p>10/20/2010</p>	<p>CONSTRUCTION PROGRAM</p>		<p>YSO-CRD-06-01, Rev. 3, "Standards/ Requirements Identification Document" section, paragraph 5.b.(1) NNSA/YSO Comment/Concurrence Form, S/RID Change Pkg #2010-09-TQ, dtd 10/12/2010 B&W Y-12 e-mail message dtd 10/20/2010</p>
<p><i>Type 1 change to replace requirements taken from DOE O 5480.20A, "Personnel Selection, Qualification, and Training Requirements for DOE Nuclear Facilities," dated 11/15/1994, with requirements taken from DOE O 426.2, "Personnel Selection, Training, Qualification, and Certification Requirements for DOE Nuclear Facilities," dated 04/21/2010, to align with the Lead Functional Area.</i></p>				

OUTLINE OF CHANGES

REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	AUTHORIZATION
<u>RD-1042</u> ----- S/RID 7.0 Rev. 41	10/20/2010	ENGINEERING		YSO-CRD-06-01, Rev. 3, "Standards/ Requirements Identification Document" section, paragraph 5.b.(1) NNSA/YSO Comment/Concurrence Form, S/RID Change Pkg #2010-09-TQ, dtd 10/12/2010 B&W Y-12 e-mail message dtd 10/20/2010
<i>Type 1 change to replace requirements taken from DOE O 5480.20A, "Personnel Selection, Qualification, and Training Requirements for DOE Nuclear Facilities," dated 11/15/1994, with requirements taken from DOE O 426.2, "Personnel Selection, Training, Qualification, and Certification Requirements for DOE Nuclear Facilities," dated 04/21/2010, to align with the Lead Functional Area.</i>				
<u>RD-1043</u> ----- S/RID 9.0 Rev. 7	11/17/2010	OPERATIONS		DOE-NNSA/YSO Comment/Concurrence Form, S/RID Change Pkg #2011-01-OP dtd 11/17/2010 B&W Y-12 ltr dtd 10/28/2010
<i>Type 2 change to replace requirements taken from DOE O 5480.19, "Conduct of Operations Requirements for DOE Facilities," dated 07/09/1990, with requirements taken from DOE O 422.1, "Conduct of Operations," dated 06/29/2010.</i>				

OUTLINE OF CHANGES

REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	AUTHORIZATION
<p>RD-1044 ----- S/RID 4.0 Rev. 18</p>	<p>11/17/2010</p>	<p>TRAINING AND QUALIFICATION</p>		<p>YSO-CRD-06-01, Rev. 3, "Standards/ Requirements Identification Document" section, paragraph 5.b.(1) DOE-NNSA/YSO Comment/Concurrence Form, S/RID Change Pkg #2011-01-OP dtd 11/17/2010 B&W Y-12 e-mail message dtd 11/22/2010</p>
<p><i>Type 1 change to add three requirements taken from DOE O 422.1, "Conduct of Operations," dated 06/29/2010 to include the Training and Qualification Functional Area as a "key interface" with the Operations (Lead) Functional Area.</i></p>				
<p>RD-1045 ----- S/RID 7.0 Rev. 42</p>	<p>11/17/2010</p>	<p>ENGINEERING</p>		<p>YSO-CRD-06-01, Rev. 3, "Standards/ Requirements Identification Document" section, paragraph 5.b.(1) DOE-NNSA/YSO Comment/Concurrence Form, S/RID Change Pkg #2011-01-OP dtd 11/17/2010 B&W Y-12 e-mail message dtd 11/22/2010</p>
<p><i>Type 1 change to delete a "key interface" requirement taken from DOE O 5480.19, "Conduct of Operations Requirements for DOE Facilities," dated 07/09/1990, since that requirement is no longer applicable based on DOE O 422.1, "Conduct of Operations," dated 06/29/2010, which is now an approved source document in the Operations (Lead) Functional Area.</i></p>				

OUTLINE OF CHANGES

REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	AUTHORIZATION
<p>RD-1046 ----- S/RID 8.0 Rev. 36</p>	<p>11/17/2010</p>	<p>CONSTRUCTION PROGRAM</p>		<p>YSO-CRD-06-01, Rev. 3, "Standards/ Requirements Identification Document" section, paragraph 5.b.(1) DOE-NNSA/YSO Comment/Concurrence Form, S/RID Change Pkg #2011-01-OP dtd 11/17/2010 B&W Y-12 e-mail message dtd 11/22/2010</p>
<p><i>Type 1 change to delete a "key interface" requirement taken from DOE O 5480.19, "Conduct of Operations Requirements for DOE Facilities," dated 07/09/1990, since that requirement is no longer applicable based on DOE O 422.1, "Conduct of Operations," dated 06/29/2010, which is now an approved source document in the Operations (Lead) Functional Area.</i></p>				
<p>RD-1047 ----- S/RID 3.0 Rev. 10</p>	<p>11/17/2010</p>	<p>CONFIGURATION MANAGEMENT</p>		<p>YSO-CRD-06-01, Rev. 3, "Standards/ Requirements Identification Document" section, paragraph 5.b.(1) DOE-NNSA/YSO Comment/Concurrence Form, S/RID Change Pkg #2011-01-OP dtd 11/17/2010 B&W Y-12 e-mail message dtd 11/22/2010</p>
<p><i>Type 1 change to add one requirement taken from DOE O 422.1, "Conduct of Operations," dated 06/29/2010, to include the Construction Program Functional Area as a "key interface" with the Operations (Lead) Functional Area.</i></p>				

OUTLINE OF CHANGES

REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	AUTHORIZATION
<u>RD-1048</u> DOE O 1340.1B	01/17/1993	Management of Public Communications Publications and Scientific, Technical and Engineering Publications		DOE ltr dtd 11/04/2010 B&W Y-12 ltr dtd 11/22/2010
<i>Deletion: This document was cancelled by DOE N 251.88, "Cancellation of DOE O 1340.1B," dated 08/27/2010.</i>				
<u>RD-1049</u> DOE O 142.3A	10/14/2010	Unclassified Foreign Visits and Assignments Program		DOE ltr dtd 11/04/2010 B&W Y-12 ltr dtd 12/01/2010
<i>Addition</i>				
<u>RD-1050</u> DOE O 142.3	06/18/2004	Unclassified Foreign Visits and Assignments Program	1 02/28/2008	DOE ltr dtd 11/04/2010 B&W Y-12 ltr dtd 12/01/2010
<i>Deletion: This document was cancelled and replaced by DOE O 142.3A.</i>				
<u>RD-1051</u> S/RID 11.0 Rev. 10	12/01/2010	RADIATION PROTECTION		DOE-NNSA/YSO Comment/Concurrence Form, S/RID Change Pkg #2011-02-RP dtd 12/01/2010 B&W Y-12 ltr dtd 10/28/2010
<i>Type 2 change to add a requirement taken from DOE N 234.1, "Reporting of Radioactive Sealed Sources," dated 02/27/2008.</i>				

OUTLINE OF CHANGES

REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	AUTHORIZATION
<u>RD-1052</u> ----- S/RID 4.0 Rev. 19	12/14/2010	TRAINING AND QUALIFICATION		B&W Y-12 e-mail msg dtd 12/14/2010 DOE e-mail msg dtd 10/14/2010 DOE-NNSA/YSO Comment/Concurrence Form, S/RID Change Pkg #2010-09-TQ dtd 10/12/2010 B&W Y-12 ltr dtd 09/16/2010
<p><i>Type 1 change to replace a requirement (RUID 9749) taken from DOE O 5480.20A, "Personnel Selection, Qualification, and Training Requirements for DOE Nuclear Facilities," dated 11/15/1994, that is covered by two approved requirements (RUIDs 11893 and 11901) taken from DOE O 426.2, "Personnel Selection, Training, Qualification, and Certification Requirements for DOE Nuclear Facilities," dated 04/21/2010.</i></p>				
<u>RD-1053</u> ----- S/RID 7.0 Rev. 43	12/14/2010	ENGINEERING		YSO-CRD-06-01, Rev. 3, "Standards/ Requirements Identification Document" section, paragraph 5.b.(1) B&W Y-12 e-mail msg dtd 12/14/2010 DOE e-mail msg dtd 10/14/2010 DOE-NNSA/YSO Comment/Concurrence Form, S/RID Change Pkg #2010-09-TQ dtd 10/12/2010 B&W Y-12 ltr dtd 09/16/2010
<p><i>Type 1 change to replace a requirement (RUID 9749) taken from DOE O 5480.20A, "Personnel Selection, Qualification, and Training Requirements for DOE Nuclear Facilities," dated 11/15/1994, that is covered by two approved requirements (RUIDs 11893 and 11901) taken from DOE O 426.2, "Personnel Selection, Training, Qualification, and Certification Requirements for DOE Nuclear Facilities," dated 04/21/2010; to align with the Lead Functional Area.</i></p>				

OUTLINE OF CHANGES

REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	AUTHORIZATION
<p>RD-1054 ----- S/RID 8.0 Rev. 37</p>	<p>12/14/2010</p>	<p>CONSTRUCTION PROGRAM</p>		<p>YSO-CRD-06-01, Rev. 3, "Standards/ Requirements Identification Document" section, paragraph 5.b.(1) B&W Y-12 e-mail msg dtd 12/14/2010 DOE e-mail msg dtd 10/14/2010 DOE-NNSA/YSO Comment/Concurrence Form, S/RID Change Pkg #2010-09-TQ dtd 10/12/2010 B&W Y-12 ltr dtd 09/16/2010</p>
<p><i>Type 1 change to replace a requirement (RUID 9749) taken from DOE O 5480.20A, "Personnel Selection, Qualification, and Training Requirements for DOE Nuclear Facilities," dated 11/15/1994, that is covered by two approved requirements (RUIDs 11893 and 11901) taken from DOE O 426.2, "Personnel Selection, Training, Qualification, and Certification Requirements for DOE Nuclear Facilities," dated 04/21/2010; to align with the Lead Functional Area.</i></p>				

**BASELINE LIST OF
REQUIRED COMPLIANCE DOCUMENTS**

List B – List of Applicable Directives

DOE DIRECTIVES				
DOE Directives can be found at the following Internet address: https://www.directives.doe.gov/				
REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	NOTES AND COMMENTS
DOE O 110.3A	01/25/2007	CONFERENCE MANAGEMENT		
<i>Compliance: Compliance will be in accordance with an Implementation Plan approved by DOE on 09/20/2007.</i>				
DOE O 130.1	09/29/1995	BUDGET FORMULATION		Extended until 05/01/2003 by DOE N 251.45.
DOE O 137.1A	08/30/1999	PLAN FOR OPERATING IN THE EVENT OF A LAPSE IN APPROPRIATIONS		
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		Cancels portions of Chapter VIII of DOE O 470.1 pertaining to foreign nationals who visit DOE sites/facilities and require access to classified information.
DOE M 142.2-1	09/04/2008	MANUAL FOR IMPLEMENTATION OF THE VOLUNTARY OFFER SAFEGUARDS AGREEMENT AND ADDITIONAL PROTOCOL WITH THE INTERNATIONAL ATOMIC ENERGY AGENCY		

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REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	NOTES AND COMMENTS
DOE O 142.2A	12/15/2006	VOLUNTARY OFFER SAFEGUARDS AGREEMENT AND ADDITIONAL PROTOCOL WITH THE INTERNATIONAL ATOMIC ENERGY AGENCY		
DOE O 142.3A	10/14/2010	UNCLASSIFIED FOREIGN VISITS AND ASSIGNMENTS PROGRAM		
DOE O 200.1A	12/23/2008	INFORMATION TECHNOLOGY MANAGEMENT		
DOE O 205.1A	12/04/2006	DEPARTMENT OF ENERGY CYBER SECURITY MANAGEMENT		
<i>Compliance: Compliance will be in accordance with the NAP Implementation Plan. In the interim, Y-12 will continue its unclassified system accreditations under the Cyber Security Program Plan (CSPP).</i>				
DOE M 205.1-3	04/17/2006	TELECOMMUNICATIONS SECURITY MANUAL (OFFICIAL USE ONLY)		
DOE M 205.1-4	03/08/2007	NATIONAL SECURITY SYSTEM MANUAL		
<i>Compliance: Based on this directive, compliance will be contingent upon an impact assessment of the revised Program Cyber Security Plan (PCSP) to be developed by NNSA. Pending that impact assessment, classified information system certification and accreditation will continue to be governed by DOE M 471.2-2, "Classified Information Systems Security Manual."</i>				
DOE M 205.1-5	08/12/2008	CYBER SECURITY PROCESS REQUIREMENTS MANUAL	1 09/01/2009	
<i>Compliance: Compliance is contingent upon an impact assessment to be based on receipt of further guidance with respect to NNSA's Program Cyber Security Plan.</i>				

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REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	NOTES AND COMMENTS
DOE M 205.1-6	12/23/2008	MEDIA SANITIZATION MANUAL	1 09/01/2009	
<i>Compliance: Compliance is contingent upon an impact assessment to be based on receipt of further guidance with respect to NNSA's Program Cyber Security Plan.</i>				
DOE M 205.1-7	01/05/2009	SECURITY CONTROLS FOR UNCLASSIFIED INFORMATION SYSTEMS MANUAL	1 09/01/2009	
<i>Compliance: Compliance is contingent upon an impact assessment to be based on receipt of further guidance with respect to NNSA's Program Cyber Security Plan.</i>				
DOE M 205.1-8	01/08/2009	CYBER SECURITY INCIDENT MANAGEMENT MANUAL	1 09/01/2009	
<i>Compliance: Compliance is contingent upon an impact assessment to be based on receipt of further guidance with respect to NNSA's Program Cyber Security Plan.</i>				
DOE O 206.1	01/16/2009	DEPARTMENT OF ENERGY PRIVACY PROGRAM		
<i>Compliance: Compliance will be in accordance with a revised implementation plan approved by DOE on 03/31/2010.</i>				
DOE N 206.4	06/29/2007	PERSONAL IDENTITY VERIFICATION		Extended by DOE N 251.74 until 06/09/2009 or until superseded.
DOE O 210.2	06/12/2006	DOE CORPORATE OPERATING EXPERIENCE PROGRAM		
DOE O 221.1A	04/19/2008	REPORTING FRAUD, WASTE AND ABUSE TO THE OFFICE OF INSPECTOR GENERAL		

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List B – List of Applicable Directives

DOE DIRECTIVES				
DOE Directives can be found at the following Internet address: https://www.directives.doe.gov/				
REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	NOTES AND COMMENTS
DOE O 221.2A	02/25/2008	COOPERATION WITH THE OFFICE OF INSPECTOR GENERAL		
----- <i>Compliance: Compliance with this Order is not intended to abrogate the constitutional rights of B&W Y-12's employees, subcontractors, or other support personnel.</i>				
DOE O 221.3A	04/19/2008	ESTABLISHMENT OF MANAGEMENT DECISIONS ON OFFICE OF INSPECTOR GENERAL REPORTS		See Footnote (1)
DOE O 224.3	01/24/2005	AUDIT RESOLUTION AND FOLLOW-UP PROGRAM		See Footnote (4)
DOE O 241.1A	04/09/2001	SCIENTIFIC AND TECHNICAL INFORMATION MANAGEMENT	1 10/14/2003	
DOE M 251.1-1B	08/16/2006	DEPARTMENTAL DIRECTIVES PROGRAM MANUAL		
DOE N 251.40	05/03/2001	EXTENSION OF DOE DIRECTIVES ON SECURITY		Extends DOE N 142.1, DOE N 203.1, DOE N 205.1, DOE N 205.2, DOE N 205.3, DOE O 470.1, DOE N 470.2, DOE O 471.2A, DOE O 472.1B, DOE M 473.2-1, DOE N 473.3, DOE N 473.4, DOE N 473.5, DOE N 473.6, and DOE N 473.7 until 12/31/2001.

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DOE DIRECTIVES				
DOE Directives can be found at the following Internet address: https://www.directives.doe.gov/				
REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	NOTES AND COMMENTS
DOE N 251.45	05/29/2002	Extension of DOE O 130.1 and DOE O 135.1		Extends DOE O 130.1 until 05/01/2003
DOE N 251.74	11/24/2008	EXTENSION OF DOE N 206.4		Extends DOE N 206.4 until 06/29/2009 or until superseded.
DOE N 251.86	06/23/2010	EXTENSION OF DOE N 234.1, REPORTING OF RADIOACTIVE SEALED SOURCES		Extends DOE N 234.1 until 05/06/2011 or until superseded.
DOE O 252.1	11/19/1999	TECHNICAL STANDARDS PROGRAM		
DOE O 313.1	11/19/2009	MANAGEMENT AND FUNDING OF THE DEPARTMENT'S OVERSEAS PRESENCE		
DOE O 323.1	08/01/2004	GARNISHMENT OF FEDERAL EMPLOYEES' PAY	1 06/04/2008	
DOE O 350.1	09/30/1996	CONTRACTOR HUMAN RESOURCE MANAGEMENT PROGRAMS	3 02/23/2010	
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		

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DOE DIRECTIVES				
DOE Directives can be found at the following Internet address: https://www.directives.doe.gov/				
REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	NOTES AND COMMENTS
DOE O 410.1	08/27/2007	CENTRAL TECHNICAL AUTHORITY RESPONSIBILITIES REGARDING NUCLEAR SAFETY REQUIREMENTS		
DOE O 410.2	08/17/2009	MANAGEMENT OF NUCLEAR MATERIALS		
DOE O 412.1A	04/21/2005	WORK AUTHORIZATION SYSTEM		
DOE O 413.1B	10/28/2008	INTERNAL CONTROL PROGRAM		
DOE O 413.3A	07/28/2006	PROGRAM AND PROJECT MANAGEMENT FOR THE ACQUISITION OF CAPITAL ASSETS	1 11/17/2008	This Order cancels Chapters 1 through 3 of DOE M 413.3-1.
DOE O 430.1B	09/24/2003	REAL PROPERTY ASSET MANAGEMENT	1 02/08/2008	
DOE O 430.2B	02/27/2008	DEPARTMENTAL ENERGY, RENEWABLE ENERGY AND TRANSPORTATION MANAGEMENT		
<p><i>Compliance: This Order implements parts of the total program directed at strengthening federal environmental, energy and transportation management. It combines with Executive Order 13423, "Strengthening Federal, Environmental, Energy, and Transportation Management," and DOE O 450.1A, "Environmental Protection Program," to form the total program. B&W Y-12 currently is not in full compliance with the total program. Thus, compliance will be in accordance with a revised implementation plan approved by DOE on 01/04/2010 that addresses the total program.</i></p>				

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DOE DIRECTIVES				
DOE Directives can be found at the following Internet address: https://www.directives.doe.gov/				
REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	NOTES AND COMMENTS
DOE P 442.1	11/16/2006	DIFFERING PROFESSIONAL OPINIONS ON TECHNICAL ISSUES RELATED TO ENVIRONMENT, SAFETY, AND HEALTH		
DOE O 442.1A	06/06/2001	DEPARTMENT OF ENERGY EMPLOYEE CONCERNS PROGRAM		
DOE O 443.1A	12/20/2007	PROTECTION OF HUMAN SUBJECTS		
DOE P 443.1A	12/20/2007	PROTECTION OF HUMAN SUBJECTS		
DOE P 450.7	08/02/2004	DEPARTMENT OF ENERGY ENVIRONMENT, SAFETY AND HEALTH (ES&H) GOALS		
DOE O 452.3	06/08/2005	MANAGEMENT OF THE DEPARTMENT OF ENERGY NUCLEAR WEAPONS COMPLEX		
DOE O 452.7	05/14/2010	PROTECTION OF USE CONTROL VULNERABILITIES AND DESIGNS		
DOE O 457.1	02/07/2006	NUCLEAR COUNTERTERRORISM		
DOE M 457.1-1	08/10/2006	CONTROL OF IMPROVISED NUCLEAR DEVICE INFORMATION (OFFICIAL USE ONLY)		
DOE P 470.1	05/08/2001	INTEGRATED SAFEGUARDS AND SECURITY MANAGEMENT (ISSM) POLICY		

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DOE Directives can be found at the following Internet address: https://www.directives.doe.gov/				
REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	NOTES AND COMMENTS
DOE N 470.2	12/15/2000	REPORTING UNOFFICIAL FOREIGN TRAVEL		Extended until 12/31/2001 by DOE N 251.40.
DOE O 470.2B	10/31/2002	INDEPENDENT OVERSIGHT AND PERFORMANCE ASSURANCE PROGRAM		Cancels and replaces DOE O 470.2A and Attachment 2, "Safety Issue Corrective Action Process," of DOE O 414.1A, dated 09/29/1999, as amended by Change 1, dated 07/12/2001.
DOE O 470.3B	08/12/2008	GRADED SECURITY PROTECTION (GSP) POLICY		
<i>Compliance: Compliance will be contingent upon approval of a revised implementation plan submitted to DOE on 05/18/2009.</i>				
DOE M 470.4-1	08/26/2005	SAFEGUARDS AND SECURITY PROGRAM PLANNING AND MANAGEMENT	1 03/07/2006	
<i>Compliance: Compliance will be in accordance with the requirements in the CRD and the approved deviations as documented in the NNSA HQ's classified Safeguards and Security Information Management System (SSIMS).</i>				
DOE M 470.4-3A	11/05/2008	CONTRACTOR PROTECTIVE FORCE		
<i>Compliance: Compliance will be in accordance with the requirements limited to Chapter I, page I-3, paragraph 2.c, Chapter I, page I-11, paragraphs 6.a.(1) through (4); Chapter III, page III-3, paragraphs 4.a.(1) through (6); and Chapter V, page V-7, paragraph 3.b.(9)(b)1, first sentence in part as it relates to providing telephone service at fixed protective force posts; and with an approved deviation as documented in the NNSA HQ's classified Safeguards and Security Information Management System (SSIMS).</i>				

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DOE DIRECTIVES				
DOE Directives can be found at the following Internet address: https://www.directives.doe.gov/				
REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	NOTES AND COMMENTS
DOE M 470.4-5	08/26/2005	PERSONNEL SECURITY		
DOE M 470.4-6	08/26/2005	NUCLEAR MATERIAL CONTROL AND ACCOUNTABILITY	1 08/14/2006	
<i>Compliance: Compliance will be in accordance with the requirements in the CRD and the approved deviations as documented in the NNSA HQ's classified Safeguards and Security Information Management System (SSIMS).</i>				
DOE O 471.1B	03/01/2010	IDENTIFICATION AND PROTECTION OF UNCLASSIFIED CONTROLLED NUCLEAR INFORMATION		
DOE M 471.2-2	08/03/1999	CLASSIFIED INFORMATION SYSTEMS SECURITY MANUAL		Chapter VI, paragraphs 4j(2) and 4j(6), and Chapter VII, paragraph 12a(2)(a) are cancelled by DOE N 205.3. Chapter III, Section 8, "Incident Reporting," is cancelled by DOE N 205.4.
DOE M 471.2-3B	10/29/2007	SPECIAL ACCESS PROGRAM POLICIES, RESPONSIBILITIES, AND PROCEDURES (OFFICIAL USE ONLY)		
DOE M 471.2-4	02/06/2004	TECHNICAL SURVEILLANCE COUNTERMEASURES (OFFICIAL USE ONLY)		Cancelled by DOE M 470.4-4 except for the classified annex.

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DOE DIRECTIVES				
DOE Directives can be found at the following Internet address: https://www.directives.doe.gov/				
REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	NOTES AND COMMENTS
DOE O 471.3	04/09/2003	IDENTIFYING AND PROTECTING OFFICIAL USE ONLY INFORMATION		
DOE M 471.3-1	04/09/2003	MANUAL FOR IDENTIFYING AND PROTECTING OFFICIAL USE ONLY INFORMATION		
DOE O 475.1	12/10/2004	COUNTERINTELLIGENCE PROGRAM		
DOE M 475.1-1B	08/28/2007	MANUAL FOR IDENTIFYING CLASSIFIED INFORMATION		
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 O 483.1	01/12/2001	DOE COOPERATIVE RESEARCH AND DEVELOPMENT AGREEMENTS		
DOE M 483.1-1	01/12/2001	DOE COOPERATIVE RESEARCH AND DEVELOPMENT AGREEMENTS MANUAL		
DOE O 484.1	08/17/2006	REIMBURSABLE WORK FOR THE DEPARTMENT OF HOMELAND SECURITY		

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DOE DIRECTIVES				
<p>DOE Directives can be found at the following Internet address: https://www.directives.doe.gov/</p>				
REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	NOTES AND COMMENTS
DOE O 522.1	11/03/2004	PRICING OF DEPARTMENTAL MATERIALS AND SERVICES		
<p><i>Compliance: B&W Y-12 is in compliance with the applicable requirements of this document with the exception of specifically approved exemptions on pass-through costs. These exemptions are reflected in the latest approved B&W Y-12 Cost Accounting Standards Board Disclosure Statement.</i></p>				
DOE O 534.1B	01/06/2003	ACCOUNTING		
<p><i>Compliance: Compliance with this Order includes compliance with Chapters 4, 5, 6, 7, 8, 9, 10, 11, 12, 13, 15, 17, and 21 of the "DOE Accounting Handbook," with the exception that production support costs will be handled as direct costs rather than indirect costs based on the FY 2006 Congressional Budget Funding Schedule for Directed Stockpile Work.</i></p>				
DOE O 551.1C	06/24/2008	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		
<p><i>Compliance: Compliance will be in accordance with B&W Y-12 letter dated 11/18/2009.</i></p>				
DOE 1450.4	11/12/1992	CONSENSUAL LISTENING-IN TO OR RECORDING TELEPHONE/RADIO CONVERSATIONS		
DOE 2340.1C	06/08/1992	COORDINATION OF GENERAL ACCOUNTING OFFICE ACTIVITIES		See Footnote (1)
DOE 5610.2	08/01/1980	CONTROL OF WEAPONS DATA	1 09/02/1986	

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DOE DIRECTIVES				
DOE Directives can be found at the following Internet address: https://www.directives.doe.gov/				
REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	NOTES AND COMMENTS
DOE 5639.8A	07/23/1993	SECURITY OF FOREIGN INTELLIGENCE INFORMATION AND SENSITIVE COMPARTMENTED INFORMATION FACILITIES		
DOE 5670.1A	01/15/1992	MANAGEMENT AND CONTROL OF FOREIGN INTELLIGENCE		
<i>Compliance: Implementation is in accordance with MMES letter No. AE92-044 dated 06/10/1992.</i>				

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ALBUQUERQUE DIRECTIVES (ALs)				
ALs can be found at the following Internet address: http://prp.sandia.gov/				
REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	NOTES AND COMMENTS
AL-SD 56XB, Revision 2	03/31/2004	DEVELOPMENT AND PRODUCTION MANUAL	10 08/22/2007	Chapter 2.3 is superseded by R003, Issue A. Chapter 2.4 is superseded by R006, Issue A. Chapter 3.2 (excluding Phases 6.1 and 6.6) is superseded by R001, Issue A and R006, Issue A. Chapters 8.1 and 8.5 are superseded by R005, Issue A.
IBP-202	09/18/2006	RECORD OF ASSEMBLY AND DISASSEMBLY	Issue B	
IBP-401	11/30/2006	PRODUCT DEFINITION EXCHANGE PROCESS	Issue A	
IBP-404	12/17/2003	ENGINEERING AUTHORIZATION SYSTEM	Issue B	
NA-10 WQAPM	03/30/2009	NA-10 WEAPON QUALITY ASSURANCE PROCEDURES MANUAL		
<i>Compliance: Compliance will be in accordance with an implementation plan approved by DOE on 12/07/2009.</i>				
NA SD M 452.3-1	12/10/2009	DEFENSE PROGRAMS BUSINESS REQUIREMENTS AND PROCESSES MANUAL		
<i>Compliance: Full implementation of this directive is contingent upon an impact assessment of all of the documents associated with RMI.</i>				

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ALBUQUERQUE DIRECTIVES (ALs)				
ALs can be found at the following Internet address: http://prp.sandia.gov/				
REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	NOTES AND COMMENTS
PSLM	02/16/2006	PRIMARY STANDARDS LABORATORY MEMORANDUM		
C019	06/16/2010	CONTROL PRODUCT DEFINITION	ISSUE A	
R001	01/17/2010	PRODUCT REALIZATION	Issue A	Supersedes Chapter 3.2 (excluding Phases 6.1 and 6.6) of AL-SD 56XB, Revision 2.
R003	03/24/2010	PRODUCT DEFINITION CONTROL	Issues A	Supersedes Chapter 2.3 of AL-SD 56XB, Revision 2.
R005	03/12/2010	NEW MATERIAL AND STOCKPILE EVALUATION	Issue A	Supersedes Chapters 8.1 and 8.5 of AL-SD 56XB, Revision 2.
R006	01/15/2010	6.X PROCESS	Issue A	Supersedes Chapters 2.4 and 3.2 (excluding Phases 6.1 and 6.6) of AL-SD 56XB, Revision 2.
R007	03/29/2010	DIRECTED STOCKPILE WORK PROGRAM FUNDING WITHIN PLANNING, PROGRAMMING, BUDGETING, EVALUATION AND PROCESS	Issue A	
R009	03/29/2010	RISK AND OPPORTUNITY MANAGEMNET	Issue A	Supersedes Chapter 12.3 of AL-SD 56XB, Revision 2.

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ALBUQUERQUE DIRECTIVES (ALs)				
ALs can be found at the following Internet address: http://prp.sandia.gov/				
REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	NOTES AND COMMENTS
R012	06/16/2010	REQUIREMENTS ENGINEERING	Issue A	
TBP-CM	02/14/2005	CONFIGURATION MANAGEMENT	Issue A	
TBP-PRP	05/04/2001	PRODUCT REALIZATION PROCESS	Issue E	
TBP-SYS	10/20/2004	NWC TECHNICAL BUSINESS PRACTICE SYSTEM	Issue H	
TBP-000	05/04/2001	PROGRAM MANAGEMENT	Issue E	
TBP-001	10/02/2000	MAJOR ASSEMBLY RELEASE SYSTEM	Issue C	
TBP-100	09/16/2005	CONCURRENT QUALIFICATION	Issue G	
TBP-101	01/22/2007	ENGINEERING EVALUATION PROCESS	Issue H	
TBP-200	09/18/2006	PRODUCT IDENTIFICATION AND TRACEABILITY	Issue E	
TBP-201	09/18/2006	WEAPON IDENTIFICATION SYSTEMS AND MARKING CRITERIA	Issue D	
TBP-202	09/18/2006	RECORD OF ASSEMBLY AND DISASSEMBLY	Issue E	
TBP-203	02/20/2004	WEAPON RECORD CARDS	Issue E	
TBP-300	02/15/2005	PRODUCT DEFINITION	Issue E	
TBP-301	10/02/2006	METHODS OF DEFINITION	Issue J	
TBP-302	09/18/2006	PRODUCT AND EQUIPMENT DESIGNATIONS	Issue D	
TBP-303	01/24/2007	SEVEN-DIGIT MATERIAL AND PROCESS SPECIFICATIONS	Issue D	

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ALs can be found at the following Internet address: http://prp.sandia.gov/				
REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	NOTES AND COMMENTS
TBP-304	03/11/2003	DEFINING COMMERCIAL PRODUCT IN THE ENGINEERING DRAWING SYSTEM	Issue E	
TBP-305	09/18/2006	CONFIGURATION OF TYPE WEAPONS	Issue D	
TBP-306	05/02/2003	SOFTWARE PRODUCT PROCESSES	Issue E	
TBP-307	05/02/2003	USE OF MECHANICAL MODELS IN THE PRODUCT REALIZATION PROCESS	Issue D	
TBP-308	02/06/2006	COMPUTER-AIDED DESIGN PROCESS FOR ELECTRICAL PRODUCTS	Issue A	
TBP-400	10/02/2000	DESIGN CONTROL	Issue D	
TBP-401	11/30/2006	DEFINITION CONTROL	Issue E	
TBP-402	09/22/2004	PRODUCT CONTROL	Issue F	
TBP-403	02/13/2006	REVIEWS	Issue E	
TBP-404	05/04/2005	ENGINEERING AUTHORIZATION SYSTEM	Issue F	
TBP-502	01/21/2002	DISTRIBUTION OF NON-ELECTRONIC PRODUCT DEFINITION USING ELECTRONIC TRANSMITTAL METHODS	Issue A	
TBP-600	10/02/2000	PROCUREMENT	Issue D	
TBP-601	10/02/2000	PROCUREMENT CLASSES OF WEAPON PRODUCT	Issue C	

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ALs can be found at the following Internet address: http://prp.sandia.gov/				
REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	NOTES AND COMMENTS
TBP-602	03/11/2003	INTERPRETATION OF PROCUREMENT INDEX	Issue D	
TBP-700	03/11/2003	PRODUCT ACCEPTANCE AND CONTROL OF NONCONFORMANCE	Issue E	
TBP-701	04/19/2007	ACCEPTANCE EQUIPMENT INTERFACES	Issue D	
TBP-702	05/29/2007	NONCONFORMING MATERIAL	Issue F	
TBP-703	06/01/2001	PRODUCT REPROCESSING AND REWORKING	Issue D	
TBP-704	10/02/2000	EVALUATION AND DISPOSITION OF DISCREPANT WEAPON MATERIAL	Issue D	
TBP-800	07/30/2001	STOCKPILE MANAGEMENT	Issue F	
TBP-801	10/02/2000	LABORATORY AND FLIGHT TEST MATERIAL	Issue D	
TBP-802	10/02/2000	TELEMETRY PROCEDURES	Issue D	
TBP-803	12/06/2006	NON-NUCLEAR ASSURANCE PROGRAM	Issue F	
TBP-804	12/06/2006	STOCKPILE SUPPORT MATERIAL	Issue F	
TBP-805	12/06/2006	REPAIR AND RETROFIT OF WEAPONS AND ANCILLARY EQUIPMENT	Issue F	
TBP-901	10/02/2000	INTEGRATED SAFETY PROCESS FOR NUCLEAR WEAPONS OPERATIONS AND FACILITIES	Issue B	

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ORO DIRECTIVES				
ORO Directives can be found at the following Internet address: http://www.ornl.gov/doe/doe_oro_dmg/oro_chklst.htm				
REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	NOTES AND COMMENTS
ORO O 350 Chapter III	05/31/1996	CONTRACTOR HUMAN RESOURCE PROGRAMS FEDERAL LABOR STANDARDS	3 01/26/2004	

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REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	NOTES AND COMMENTS
41 CFR 102-192	08/25/2008	MAIL MANAGEMENT		
<i>Compliance: Compliance will be in accordance with an implementation plan approved by DOE on 03/26/2009.</i>				
42 U.S.C.A. 1395y	07/15/2008	THE PUBLIC HEALTH AND WELFARE		
BOP-003.08	05/30/2008	MANAGEMENT AND OPERATING CONTRACTOR BUSINESS MEALS AND LIGHT REFRESHMENT		
<i>Compliance: Compliance will be in accordance with the Advance Agreement, Controlled Business Expense (CBE), approved by DOE on 05/07/2009.</i>				
BOP-50.002	09/19/2006	ESTABLISHMENT OF A NATIONAL NUCLEAR SECURITY ADMINISTRATION (NNSA) VALUE MANAGEMENT (VM) POLICY		
BOP-50.003	06/06/2007	ESTABLISHMENT OF A NATIONAL NUCLEAR SECURITY ADMINISTRATION (NNSA) INDEPENDENT PROJECT REVIEW (IPR) POLICY		
<i>Compliance: Compliance with respect to Operation Expense and Work for Others projects will be addressed upon receipt of Y-12 Site Office implementation guidance.</i>				
DOE-HQ Memorandum	11/08/2006	IMPROVED CYBER SECURITY PROTECTION FOR CLASSIFIED COMPUTER SYSTEMS		
DOE-HQ Memorandum	01/27/2009	COMPUTER LOSS/THEFT REPORTING REQUIREMENTS		
DOE HQ Memorandum	12/09/2009	MILITARY OR INTELLIGENCE-RELATED HUMAN SUBJECTS RESEARCH		

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REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	NOTES AND COMMENTS
DOE HQ Memorandum	03/04/2010	PROJECT MANAGEMENT PRINCIPLES		
<i>Compliance: Compliance will be in accordance with the revised Y-12 National Security Complex PARS II Deployment Cost and Schedule Breakdown approved by DOE on 09/21/2010.</i>				
EO 13502	02/06/2009	USE OF PROJECT LABOR AGREEMENTS FOR FEDERAL CONSTRUCTION PROJECTS		
MANUAL	04/01/2007	BASELINE SECURITY MANUAL (OFFICIAL USE ONLY)		
NAP 14.1-C	05/02/2008	NNSA BASELINE CYBER SECURITY PROGRAM		See Footnote (2)
<i>Compliance: Compliance will be in accordance with a revised implementation plan approved by DOE on 10/15/2010.</i>				
NAP 14.2-C	05/02/2008	NNSA CERTIFICATION AND ACCREDITATION (C&A) PROCESS FOR INFORMATION SYSTEMS		See Footnote (2)
<i>Compliance: Compliance will be in accordance with a revised implementation plan approved by DOE on 10/15/2010.</i>				
NAP 14.3-B	05/02/2008	TRANSMISSION OF RESTRICTED DATA OVER SECRET INTERNET PROTOCOL ROUTER NETWORK (SIPRNet)		See Footnote (2)
NAP 70.2	07/02/2010	PHYSICAL PROTECTION		
NAP 70.4	07/02/2010	INFORMATION SECURITY		
OMB-Circular A-123	12/21/2004	MANAGEMENT'S RESPONSIBILITY FOR INTERNAL CONTROL		

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REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	NOTES AND COMMENTS
OPS-323	10/21/2004	DATA INTERFACE AGREEMENT: INTEGRATED CONTRACTOR INTERFACE FOR DEPARTMENT OF ENERGY I-MANAGE PROGRAM – STARS PROJECT		
YSO-CRD-06-01 Revision 3	04/05/2010	DIRECTIVES SYSTEM PROCESS		
YSO CRD-09-01	09/25/2009	PROJECTS CONTRACTOR REQUIREMENTS DOCUMENT (CRD)	Admin. Chg. 11/24/2009	

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STANDARDS/REQUIREMENTS IDENTIFICATION DOCUMENTS (S/RIDs)				
FUNCTIONAL AREA (FA)	TITLE	REVISION NUMBER	DOE/YSO APPROVAL DATE	NOTES AND COMMENTS
1.0	MS - Management Systems	24	09/28/2010	
2.0	QA - Quality Assurance	14	11/24/2008	
3.0	CM - Configuration Management	10	11/17/2010	Type 1 Change
4.0	TQ - Training and Qualification	19	12/14/2010	Type 1 Change
5.0	EM - Emergency Management	22	10/12/2010	Type 1 Change
7.0	EG - Engineering Program	43	12/14/2010	Type 1 Change
8.0	CP - Construction Program	37	12/14/2010	Type 1 Change
9.0	OP - Operations	7	11/17/2010	
10.0	MA - Maintenance	17	08/23/2010	
11.0	RP - Radiation Protection	10	12/01/2010	
12.0	FP - Fire Protection	16	08/24/2010	Type 1 Change
13.0	TR - Packaging and Transportation	18	10/12/2010	
18.0	FS - Facility (Nuclear) Safety	22	08/26/2010	
19.0	SH - Occupational Safety and Health	31	04/24/2008	
20.0	EP - Environmental Protection	22	02/25/2010	
21.0	CS - Nuclear Criticality Safety	5	10/12/2010	Type 1 Change

**BASELINE LIST OF
REQUIRED COMPLIANCE DOCUMENTS**

List B – List of Applicable Directives

APPROVED S/RID SOURCE DOCUMENTS³				
REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	FUNCTIONAL AREA(S)
10 CFR	01/24/1997	ENERGY		MS, QA, TQ, EM, EG, CP, RP, FP, FS, SH, EP
28 CFR	07/01/1997	JUDICIAL ADMINISTRATION		FP
29 CFR	04/23/1998	LABOR		CM, TQ, EM, EG, CP, FP, FS
33 CFR		NAVIGATION AND NAVIGABLE WATERS		CP, EP
36 CFR		PARKS, FORESTS, AND PUBLIC PROPERTY		MS, EM, EG, CP, FP, EP
40 CFR		PROTECTION OF THE ENVIRONMENT		EM, EG, CP, TR, FS, SH, EP
40 CFR 144		SAFE DRINKING WATER ACT		EP
43 CFR		PUBLIC LANDS: INTERIOR		EP
48 CFR		FEDERAL ACQUISITION REGULATIONS SYSTEM		MS
49 CFR	10/01/2000	TRANSPORTATION		TQ, EM, TR
50 CFR		WILDLIFE AND FISHERIES		EP
5400.5	02/08/1990	RADIATION PROTECTION OF THE PUBLIC AND THE ENVIRONMENT	2	EG, CP, EP
5480.19	07/09/1990	CONDUCT OF OPERATIONS REQUIREMENTS FOR DOE FACILITIES	2 10/23/2001	CM, TQ, EG, CP
5480.21	12/24/1991	UNREVIEWED SAFETY QUESTIONS		TQ
DE-AC05-00OR22800	08/31/2000	BWXT Y-12, L.L.C. CONTRACT WITH DOE/NNSA		MS, EG, CP
DOE O 150.1	05/08/2008	CONTINUITY PROGRAMS		EM

**BASELINE LIST OF
REQUIRED COMPLIANCE DOCUMENTS**

List B – List of Applicable Directives

APPROVED S/RID SOURCE DOCUMENTS³				
REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	FUNCTIONAL AREA(S)
DOE O 151.1C	11/02/2005	COMPREHENSIVE EMERGENCY MANAGEMENT SYSTEM		TQ, EM, EG, CP
DOE O 153.1	06/27/2007	DEPARTMENTAL RADIOLOGICAL EMERGENCY RESPONSE ASSETS		EM
DOE O 225.1A	11/26/1997	ACCIDENT INVESTIGATIONS		EG, CP, SH
DOE O 226.1A	07/31/2007	IMPLEMENTATION OF DEPARTMENT OF ENERGY OVERSIGHT POLICY		QA, TQ
DOE M 231.1-1A	03/19/2004	ENVIRONMENT, SAFETY AND HEALTH REPORTING MANUAL	2 06/12/2007	EG, CP, RP, FP, SH, EP
DOE M 231.1-2	08/19/2003	OCCURRENCE REPORTING AND PROCESSING OF OPERATIONS INFORMATION		MS
DOE N 234.1	02/27/2008	REPORTING OF RADIOACTIVE SEALED SOURCES		RP
DOE O 341.1A	10/18/2007	FEDERAL EMPLOYEE HEALTH SERVICES		SH
DOE O 414.1C	06/17/2005	QUALITY ASSURANCE		QA, TQ
DOE O 420.1B	12/22/2005	FACILITY SAFETY		EG, CP, CS
DOE O 420.1B	12/22/2005	FACILITY SAFETY	1 04/192010	EM, EG, CP, OP, FP, CS
DOE G 420.1-3	09/27/2007	IMPLEMENTATION GUIDE FOR DOE FIRE PROTECTION AND EMERGENCY SERVICES PROGRAMS FOR USE WITH DOE O 420.1B, FACILITY SAFETY		EG, FP
DOE G 421.1-2	10/24/2001	IMPLEMENTATION GUIDE FOR USE IN DEVELOPING DOCUMENTED SAFETY ANALYSES TO MEET SUBPART B OF 10 CFR 830		FS

**BASELINE LIST OF
REQUIRED COMPLIANCE DOCUMENTS**

List B – List of Applicable Directives

APPROVED S/RID SOURCE DOCUMENTS³				
REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	FUNCTIONAL AREA(S)
DOE O 422.1	06/29/2010	CONDUCT OF OPERATIONS		CM, TQ, OP
DOE O 425.1D	04/16/2010	VERIFICATION OF READINESS TO START UP OR RESTART NUCLEAR FACILITIES		MS
DOE O 426.2	04/21/2010	PERSONNEL SELECTION, TRAINING, QUALIFICATION, AND CERTIFICATION REQUIREMENTS FOR DOE NUCLEAR FACILITIES		CM, EG, CP,TQ
DOE O 430.1B	09/24/2003	REAL PROPERTY ASSET MANAGEMENT		EG, MA
DOE O 433.1	06/01/2001	MAINTENANCE MANAGEMENT PROGRAM FOR DOE NUCLEAR FACILITIES		CM, EG
DOE O 433.1B	04/21/2010	MAINTENANCE MANAGEMENT PROGRAM FOR DOE NUCLEAR FACILITIES		CM, TQ, EG, CP, MA
DOE M 435.1-1	07/09/1999	RADIOACTIVE WASTE MANAGEMENT MANUAL		TQ, EG, CP, EP
DOE O 435.1	07/09/1999	RADIOACTIVE WASTE MANAGEMENT	1 08/28/2001	EP
DOE O 440.2B	11/27/2002	AVIATION MANAGEMENT AND SAFETY	1 11/19/2006	TR
DOE M 441.1-1	03/07/2008	NUCLEAR MATERIAL PACKAGING MANUAL		EG
DOE M 442.1-1	11/16/2006	DIFFERING PROFESSIONAL OPINIONS MANUAL FOR TECHNICAL ISSUES INVOLVING ENVIRONMENT, SAFETY AND HEALTH		SH

**BASELINE LIST OF
REQUIRED COMPLIANCE DOCUMENTS**

List B – List of Applicable Directives

APPROVED S/RID SOURCE DOCUMENTS³				
REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	FUNCTIONAL AREA(S)
DOE O 450.1A	06/04/2008	ENVIRONMENTAL PROTECTION PROGRAM		EP
DOE M 450.4-1	11/01/2006	INTEGRATED SAFETY MANAGEMENT SYSTEM MANUAL		SH
DOE P 456.1	09/15/2005	SECRETARIAL POLICY STATEMENT ON NANOSCALE SAFETY		SH
DOE O 460.1C	05/14/2010	PACKAGING AND TRANSPORTATION SAFETY		TR
DOE O 460.2A	12/22/2004	DEPARTMENTAL MATERIALS TRANSPORTATION AND PACKAGING MANAGEMENT		TR
DOE M 461.1-1	09/29/2000	PACKAGING AND TRANSFER OF MATERIALS OF NATIONAL SECURITY INTEREST MANUAL	1 07/26/2005	TR
DOE O 461.1A	04/26/2004	PACKAGING AND TRANSFER OR TRANSPORTATION OF MATERIALS OF NATIONAL SECURITY INTEREST		TQ, TR
DOE M 470.4-1	08/26/2005	SAFEGUARDS AND SECURITY PROGRAM PLANNING AND MANAGEMENT	1 03/07/2006	EM
DOE M 470.4-2	08/26/2005	PHYSICAL PROTECTION	1 03/07/2006	TQ, TR
DOE-SNL-TYPEBARG	02/29/2008	TIEDOWN PROCEDURES FOR TYPE A, TYPE B, ARG, AND MISCELLANEOUS CONTAINERS		TR
DOE-STD-1066-99	07/31/1999	DOE STANDARD - FIRE PROTECTION DESIGN CRITERIA		EG

**BASELINE LIST OF
REQUIRED COMPLIANCE DOCUMENTS**

List B – List of Applicable Directives

APPROVED S/RID SOURCE DOCUMENTS³				
REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	FUNCTIONAL AREA(S)
DOE-STD-1073-2003	10/2003	CONFIGURATION MANAGEMENT		MS, CM, EG, CP
DOE-STD-1083-2009	06/2009	PROCESSING EXEMPTIONS TO NUCLEAR SAFETY RULES AND APPROVAL OF ALTERNATIVE METHODS FOR DOCUMENTED SAFETY ANALYSES		MS, FS
DOE-STD-1090-2007	08/2007	HOISTING AND RIGGING		SH
DOE-STD-1189-2008	03/01/2008	INTEGRATION OF SAFETY INTO THE DESIGN PROCESS		EG
DOE-STD-3003-2000	01/31/2000	DOE STANDARD - BACKUP POWER SOURCES FOR DOE FACILITIES		EG
DOE-STD-3024-98	10/31/1998	DOE STANDARD - CONTENT OF SYSTEM DESIGN DESCRIPTIONS		EG
EO 12898		ENVIRONMENTAL JUSTICE		EP
FFCA		FEDERAL FACILITIES COMPLIANCE ACT		EP
NFPA CODES AND STANDARDS	04/23/1998	CODES AND STANDARDS		EG, CP, FP
ORR PCB FFCA		OAK RIDGE RESERVATION POLYCHLORINATED BIPHENYL FEDERAL FACILITIES COMPLIANCE AGREEMENT		EP
PUBLIC LAW 104-113		NATIONAL TECHNOLOGY TRANSFER AND ADVANCEMENT ACT OF 1995		EG, CP
QC-1, Rev. 10	02/10/2004	DOE/NNSA WEAPON QUALITY POLICY (QC-1)		MS, QA, EG

**BASELINE LIST OF
REQUIRED COMPLIANCE DOCUMENTS**

List B – List of Applicable Directives

APPROVED S/RID SOURCE DOCUMENTS³				
REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	FUNCTIONAL AREA(S)
SEN-35-91	09/09/1991	NUCLEAR SAFETY POLICY		TQ
STANDARD BUILDING CODE (SBC)		SOUTHERN BUILDING CODE CONGRESS INTERNATIONAL (SBCCI)		CP
TITLE 55 AND 65		TENNESSEE MOTOR VEHICLE LAWS ANNOTATED		TR
TENNESSEE CODE, TITLE 68	04/23/1998	HEALTH, SAFETY AND ENVIRONMENTAL PROTECTION		FP
TCA TITLE 69		WATERS, WATERWAYS, DRAINS AND LEVEES		EP
THWRA		TENNESSEE HAZARDOUS WASTE REDUCTION ACT (THWRA)		EP
TN CODE ANNOTATED		TENNESSEE CODE ANNOTATED		EM, EG
TN 1200		RULES OF THE TENNESSEE DEPARTMENT OF ENVIRONMENT AND CONSERVATION		CP, EP
TN 1200-1-13		TENNESSEE INACTIVE HAZARDOUS SUBSTANCE SITE REMEDIAL ACTION PROGRAM	1	EP
TN 1200-1-7		TENNESSEE SOLID WASTE RULES		EP
TN 1200-1-7.02		TENNESSEE SOLID WASTE DISPOSAL ACT		EP
TN 1200-3-10		TENNESSEE AIR QUALITY ACT		EP
TN 1200-3-20		TENNESSEE AIR QUALITY ACT		EP
TN 1200-3-27		TENNESSEE AIR QUALITY ACT		EP

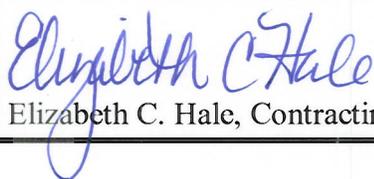
**BASELINE LIST OF
REQUIRED COMPLIANCE DOCUMENTS**

List B – List of Applicable Directives

APPROVED S/RID SOURCE DOCUMENTS³				
REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	FUNCTIONAL AREA(S)
TN 1200-4-5		TENNESSEE WATER QUALITY CONTROL ACT		EP
TN 1200-5-8	10/19/2003	WATER REGISTRATION REQUIREMENTS		EP
TN OVERSIGHT AGREEMENT	06/06/2006	TENNESSEE OVERSIGHT AGREEMENT (TOA)		EM, EP
TWRA		TENNESSEE WILDLIFE RESOURCES AGENCY (TWRA) BOATING REGULATIONS		TR
YSO-CRD-02-01, Rev. 2	02/15/2008	IDENTIFICATION, EVALUATION, AND CONTROL OF NON-NUCLEAR CHEMICAL HAZARDS		EG, FS
YSO-CRD-03-01, Rev. 6	09/03/2010	START-UP AND RESTART OF OPERATIONS, ACTIVITIES & FACILITIES AT Y-12, INCLUDING SAFETY BASIS DOCUMENT IMPLEMENTATION		MS
YSO-CRD-07-01 Rev. 1	02/15/2008	AUTHORIZATION AGREEMENTS		EG, CP, FS

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 comprises a component of the Program Cyber Security Plan that is directed by DOE O 205.1A, DEPARTMENT OF ENERGY CYBER SECURITY MANAGEMENT, dated 12/04/2006.
- (3) These documents are ES&H related and appear in one or more of the current Standards/ Requirements Identification Document (S/RID) Functional Areas. In an S/RID, the document may be referenced in its entirety or by certain chapters, paragraphs, or sections taken from the document. In addition, information regarding document applicability may be obtained from the specific S/RID.
- (4) Although this document is not directly applicable to the Contractor, it is included in the list of applicable documents to establish requirements for audit resolution and follow-up systems.

DOE Form (04/1991) <p style="text-align: center;">U.S. Department of Energy Requirements Change Notice</p>	No.: NNSA-42 Page 1 of 37 Pages
PROJECT: Baseline List of Required Compliance Documents	LOCATION: Oak Ridge, Tennessee
CONTRACTOR: Babcock & Wilcox Technical Services Y-12, LLC	
CONTRACT NO.: DE-AC05-00OR22800, I.85, Laws, Regulations, and DOE Directives (December 2000), DEAR 970.5204-2	DATE OF CONTRACT: August 31, 2000
<p>This Requirements Change Notice (RCN) No. NNSA-42 incorporates into Section J, Attachment E, Contract No. DE-AC05-00OR22800, the attached list of applicable documents that have been assessed against the terms and conditions of the subject contract in accordance with the above-referenced clause. Changes to Section J, Attachment E, are indicated by bold type.</p> <p>Below is a list of the directives incorporated herein:</p> <p>ADDITIONS:</p> <p>DOE O 241.1B DOE O 413.3B DOE M 470.4-1, Chg. 2 DOE O 471.3, Chg. 1 DOE M 471.3-1, Chg. 1 RMI R008, Issue A</p> <p>DELETIONS:</p> <p>DOE O 241.1A DOE O 413.3A DOE M 573.1-1</p> <p>COMPLIANCE LINE UPDATES:</p> <p>DOE O 110.3A, deleted compliance line</p> <p>UPDATES:</p> <p>S/RID 3.0 - Revised Configuration Management Functional Area requirements S/RID 7.0 - Revised Engineering Functional Area requirements S/RID 8.0 - Revised Construction Program Functional Area requirements S/RID 12.0 - Revised Fire Protection Functional Area requirements S/RID 21.0 - Revised Nuclear Criticality Safety Functional Area requirements</p>	
DOE AUTHORIZING SIGNATURE:  Elizabeth C. Hale, Contracting Officer's Representative for Directives	DATE: 3/30/11

OUTLINE OF CHANGES

REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	AUTHORIZATION
<u>RD-1055</u> ----- DOE M 573.1-1	07/12/2000	Mail Services User's Manual		DOE ltr dtd 11/10/2010 B&W Y-12 ltr dtd 12/08/2010
<i>Deletion: This directive was cancelled by DOE G 573.1-1, "Mail Services User's Guide," dated 10/03/2005, which in turn was cancelled by DOE N 251.89, "Cancellation of DOE G 573.1-1," dated 09/30/2010.</i>				
<u>RD-1056</u> ----- S/RID 12.0 Rev. 17	12/10/2010	FIRE PROTECTION		NNSA/YSO Comment/Concurrence Form, S/RID Change Pkg #2011-03-FP, dtd 12/10/2010 B&W Y-12 ltr dtd 11/17/2010
<i>Type 2 change to clarify implementation assumptions for requirements taken from DOE O 420.1B, "Facility Safety," Change 1; 10 CFR 851, "Worker Safety and Health Program;" and NFPA Codes and Standards.</i>				
<u>RD-1057</u> ----- S/RID 21.0 Rev. 6	12/10/2010	NUCLEAR CRITICALITY SAFETY		NNSA/YSO Comment/Concurrence Form, S/RID Change Pkg #2011-04-NCS, dtd 12/10/2010 B&W Y-12 ltr dtd 11/18/2010
<i>Type 2 change to clarify the implementation assumption text for a requirement taken from DOE O 420.1B, "Facility Safety," Change 1, that addresses DOE-STD-3007-2007, "Guidelines for Preparing Criticality Safety Evaluations at Department of Energy Non-Reactor Nuclear Facilities."</i>				

OUTLINE OF CHANGES

REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	AUTHORIZATION
<p>RD-1058 <hr style="border-top: 1px dashed black;"/> S/RID 7.0 Rev. 44</p>	<p>12/10/2010</p>	<p>ENGINEERING PROGRAM</p>		<p>YSO-CRD-06-01, Rev. 3, “Standards/ Requirements Identification Document” section, paragraph 5.b.(1)</p> <p>NNSA/YSO Comment/Concurrence Form, S/RID Change Pkg #2011-03-FP, dtd 12/10/2010</p> <p>Comment/Concurrence Form, S/RID Change Pkg #2011-04-NCS, dtd 12/10/2010</p> <p>B&W Y-12 ltr dtd 11/17/2010</p> <p>B&W Y-12 ltr dtd 11/18/2010</p>
<p><i>Type 1 change to clarify the implementation assumption text for requirements taken from DOE O 420.1B, “Facility Safety,” Change 1; 10 CFR 851, “Worker Safety and Health Program;” NFPA Codes and Standards,” to align with the approved Type 2 change to the Fire Protection Functional Area of the S/RID. This change also clarifies the implementation assumption text for a requirement taken from DOE O 420.1B, “Facility Safety,” Change 1; that addresses DOE-STD-3007-2007, “Guidelines for Preparing Criticality Safety Evaluations at Department of Energy Non-Reactor Nuclear Facilities,” to align with the approved Type 2 change to the Nuclear Criticality Safety Lead Functional Area.</i></p>				

OUTLINE OF CHANGES

REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	AUTHORIZATION
<p>RD-1059 ----- S/RID 8.0 Rev. 38</p>	<p>12/10/2010</p>	<p>CONSTRUCTION PROGRAM</p>		<p>YSO-CRD-06-01, Rev. 3, "Standards/ Requirements Identification Document" section, paragraph 5.b.(1)</p> <p>NNSA/YSO Comment/Concurrence Form, S/RID Change Pkg #2011-03-FP, dtd 12/10/2010</p> <p>Comment/Concurrence Form, S/RID Change Pkg #2011-04-NCS, dtd 12/10/2010</p> <p>B&W Y-12 ltr dtd 11/17/2010</p> <p>B&W Y-12 ltr dtd 11/18/2010</p>
<p><i>Type 1 change to clarify the implementation assumption text for requirements taken from DOE O 420.1B, "Facility Safety," Change 1; 10 CFR 851, "Worker Safety and Health Program;" NFPA Codes and Standards," to align with the approved Type 2 change to the Fire Protection Functional Area of the S/RID. This change also clarifies the implementation assumption text for a requirement taken from DOE O 420.1B, "Facility Safety," Change 1; that addresses DOE-STD-3007-2007, "Guidelines for Preparing Criticality Safety Evaluations at Department of Energy Non-Reactor Nuclear Facilities," to align with the approved Type 2 change to the Nuclear Criticality Safety Lead Functional Area.</i></p>				

OUTLINE OF CHANGES

REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	AUTHORIZATION
<u>RD-1060</u> DOE M 470.4-1	08/26/2005	Safeguards and Security Program Planning and Management	2 10/20/2010	DOE ltr dtd 11/23/2010 B&W Y-12 ltr dtd 12/20/2010
<i>Modification to incorporate Change 2.</i>				
<u>RD-1061</u> R008	11/09/2010	Portfolio-Program-Project Management	Issue A	DOE ltr dtd 11/24/2010 B&W Y-12 ltr dtd 12/21/2010
<i>Addition with the following compliance line: Compliance will be addressed upon receipt of request for contractor support to the Federal Program Manager (FPM).</i>				
<u>RD-1062</u> DOE O 110.3A	01/25/2007	Conference Management		NNSA/YSO Comment/ Concurrence Form – Implementation Plan Closure dtd 01/04/2011 B&W Y-12 ltrd dtd 12/15/2010
<i>Deletion of compliance line.</i>				
<u>RD-1063</u> DOE O 413.3B	11/29/2010	Program and Project Management for the Acquisition of Capital Assets		DOE ltr dtd 12/15/2010 B&W Y-12 ltr dtd 01/11/2011
<i>Addition with the following compliance line: Compliance will be contingent upon YSO acceptance of the UPF implementation plan to be submitted by 04/14/2011.</i>				
<u>RD-1064</u> DOE O 413.3A	07/28/2006	Program and Project Management for the Acquisition of Capital Assets	1 11/17/2008	DOE ltr dtd 12/15/2010 B&W Y-12 ltr dtd 01/11/2011
<i>Deletion: This Order was cancelled by DOE O 413.3B.</i>				
<u>RD-1065</u> DOE O 241.1B	12/13/2010	Scientific and Technical Information Management		DOE ltr dtd 01/11/2011 B&W Y-12 ltr dtd 02/07/2011
<i>Addition</i>				

OUTLINE OF CHANGES

REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	AUTHORIZATION
RD-1066 DOE O 241.1A	04/09/2001	Scientific and Technical Information Management	1 10/14/2003	DOE ltr dtd 01/11/2011 B&W Y-12 ltr dtd 02/07/2011
<i>Deletion: This Order was cancelled by DOE O 241.1B.</i>				
RD-1067 DOE M 471.3-1	04/09/2003	Manual for Identifying and Protecting Official Use Only Information	1 01/13/2011	DOE ltr dtd 01/27/2011 B&W Y-12 ltr dtd 02/09/2011
<i>Modification to incorporate Change 1.</i>				
RD-1068 DOE O 471.3	04/09/2003	Identifying and Protecting Official Use Only Information	1 01/13/2011	DOE ltr dtd 01/27/2011 B&W Y-12 ltr dtd 02/09/2011
<i>Modification to incorporate Change 1.</i>				
RD-1069 S/RID 7.0 Rev. 45	02/15/2011	ENGINEERING PROGRAM		YSO-CRD-06-01, Rev. 3, "Standards/ Requirements Identification Document" section, paragraph 5.b.(1) NNSA/YSO Comment/Concurrence Form, S/RID Change Pkg #2010-07-MA, dtd 08/23/2010 B&W Y-12 e-mail msg dtd 02/15/2011 and B&W Y-12 ltr dtd 08/09/2010
<i>Type 1 change to replace a requirement taken from DOE O 433.1A, "Maintenance Management Program for DOE Nuclear Facilities," dated 02/13/2007, with a requirement taken from DOE O 433.1B, "Maintenance Management Program for DOE Nuclear Facilities," dated 04/21/2010, to align with the approved Type 2 change in the Maintenance Lead Functional Area.</i>				

OUTLINE OF CHANGES

REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	AUTHORIZATION
<u>RD-1070</u> S/RID 3.0 Rev. 11	02/15/2011	CONFIGURATION MANAGEMENT		YSO-CRD-06-01, Rev. 3, "Standards/ Requirements Identification Document" section, paragraph 5.b.(1) NNSA/YSO Comment/Concurrence Form, S/RID Change Pkg #2010-07-MA, dtd 08/23/2010 B&W Y-12 e-mail msg dtd 02/15/2011 and B&W Y-12 ltr dtd 08/09/2010
<i>Type 1 change to replace a requirement taken from DOE O 433.1A, "Maintenance Management Program for DOE Nuclear Facilities," dated 02/13/2007, with a requirement taken from DOE O 433.1B, "Maintenance Management Program for DOE Nuclear Facilities," dated 04/21/2010, to align with the approved Type 2 change in the Maintenance Lead Functional Area.</i>				
<u>RD-1071</u> S/RID 7.0 Rev. 46	02/16/2011	ENGINEERING PROGRAM		YSO-CRD-06-01, Rev. 3, "Standards/ Requirements Identification Document" section, paragraph 5.b.(1) NNSA/YSO Comment/Concurrence Form, S/RID Change Pkg #2011-01-OP, dtd 11/17/2010 B&W Y-12 e-mail msg dtd 02/16/2011 and B&W Y-12 ltr dtd 10/28/2010
<i>Type 1 change to replace a requirement taken from DOE O 5480.19, "Conduction of Operations Requirements for DOE Facilities," dated 07/09/1990, with requirements taken from DOE O 422.1, "Conduct of Operations," dated 06/29/2010, to align with the approved Type 2 changes in the Operations Lead Functional Area.</i>				

OUTLINE OF CHANGES

REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	AUTHORIZATION
RD-1072 <hr/> S/RID 8.0 Rev. 39	02/16/2011	CONSTRUCTION PROGRAM		YSO-CRD-06-01, Rev. 3, "Standards/ Requirements Identification Document" section, paragraph 5.b.(1) NNSA/YSO Comment/Concurrence Form, S/RID Change Pkg #2011-01-OP, dtd 11/17/2010 B&W Y-12 e-mail msg dtd 02/16/2011 and B&W Y-12 ltr dtd 10/28/2010
<hr/> <i>Type 1 change to replace a requirement taken from DOE O 5480.19, "Conduction of Operations Requirements for DOE Facilities," dated 07/09/1990, with requirements taken from DOE O 422.1, "Conduct of Operations," dated 06/29/2010, to align with the approved Type 2 changes in the Operations Lead Functional Area.</i>				

**BASELINE LIST OF
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List B – List of Applicable Directives

DOE DIRECTIVES				
DOE Directives can be found at the following Internet address: https://www.directives.doe.gov/				
REQUIRED COMPLIANCE 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		Extended until 05/01/2003 by DOE N 251.45.
DOE O 137.1A	08/30/1999	PLAN FOR OPERATING IN THE EVENT OF A LAPSE IN APPROPRIATIONS		
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		Cancels portions of Chapter VIII of DOE O 470.1 pertaining to foreign nationals who visit DOE sites/facilities and require access to classified information.
DOE M 142.2-1	09/04/2008	MANUAL FOR IMPLEMENTATION OF THE VOLUNTARY OFFER SAFEGUARDS AGREEMENT AND ADDITIONAL PROTOCOL WITH THE INTERNATIONAL ATOMIC ENERGY AGENCY		

**BASELINE LIST OF
REQUIRED COMPLIANCE DOCUMENTS**

List B – List of Applicable Directives

DOE DIRECTIVES				
DOE Directives can be found at the following Internet address: https://www.directives.doe.gov/				
REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	NOTES AND COMMENTS
DOE O 142.2A	12/15/2006	VOLUNTARY OFFER SAFEGUARDS AGREEMENT AND ADDITIONAL PROTOCOL WITH THE INTERNATIONAL ATOMIC ENERGY AGENCY		
DOE O 142.3A	10/14/2010	UNCLASSIFIED FOREIGN VISITS AND ASSIGNMENTS PROGRAM		
DOE O 200.1A	12/23/2008	INFORMATION TECHNOLOGY MANAGEMENT		
DOE O 205.1A	12/04/2006	DEPARTMENT OF ENERGY CYBER SECURITY MANAGEMENT		
<i>Compliance: Compliance will be in accordance with the NAP Implementation Plan. In the interim, Y-12 will continue its unclassified system accreditations under the Cyber Security Program Plan (CSPP).</i>				
DOE M 205.1-3	04/17/2006	TELECOMMUNICATIONS SECURITY MANUAL (OFFICIAL USE ONLY)		
DOE M 205.1-4	03/08/2007	NATIONAL SECURITY SYSTEM MANUAL		
<i>Compliance: Based on this directive, compliance will be contingent upon an impact assessment of the revised Program Cyber Security Plan (PCSP) to be developed by NNSA. Pending that impact assessment, classified information system certification and accreditation will continue to be governed by DOE M 471.2-2, "Classified Information Systems Security Manual."</i>				
DOE M 205.1-5	08/12/2008	CYBER SECURITY PROCESS REQUIREMENTS MANUAL	1 09/01/2009	
<i>Compliance: Compliance is contingent upon an impact assessment to be based on receipt of further guidance with respect to NNSA's Program Cyber Security Plan.</i>				

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DOE DIRECTIVES				
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REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	NOTES AND COMMENTS
DOE M 205.1-6	12/23/2008	MEDIA SANITIZATION MANUAL	1 09/01/2009	
<i>Compliance: Compliance is contingent upon an impact assessment to be based on receipt of further guidance with respect to NNSA's Program Cyber Security Plan.</i>				
DOE M 205.1-7	01/05/2009	SECURITY CONTROLS FOR UNCLASSIFIED INFORMATION SYSTEMS MANUAL	1 09/01/2009	
<i>Compliance: Compliance is contingent upon an impact assessment to be based on receipt of further guidance with respect to NNSA's Program Cyber Security Plan.</i>				
DOE M 205.1-8	01/08/2009	CYBER SECURITY INCIDENT MANAGEMENT MANUAL	1 09/01/2009	
<i>Compliance: Compliance is contingent upon an impact assessment to be based on receipt of further guidance with respect to NNSA's Program Cyber Security Plan.</i>				
DOE O 206.1	01/16/2009	DEPARTMENT OF ENERGY PRIVACY PROGRAM		
<i>Compliance: Compliance will be in accordance with a revised implementation plan approved by DOE on 03/31/2010.</i>				
DOE N 206.4	06/29/2007	PERSONAL IDENTITY VERIFICATION		Extended by DOE N 251.74 until 06/09/2009 or until superseded.
DOE O 210.2	06/12/2006	DOE CORPORATE OPERATING EXPERIENCE PROGRAM		
DOE O 221.1A	04/19/2008	REPORTING FRAUD, WASTE AND ABUSE TO THE OFFICE OF INSPECTOR GENERAL		

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DOE Directives can be found at the following Internet address: https://www.directives.doe.gov/				
REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	NOTES AND COMMENTS
DOE O 221.2A	02/25/2008	COOPERATION WITH THE OFFICE OF INSPECTOR GENERAL		
----- <i>Compliance: Compliance with this Order is not intended to abrogate the constitutional rights of B&W Y-12's employees, subcontractors, or other support personnel.</i>				
DOE O 221.3A	04/19/2008	ESTABLISHMENT OF MANAGEMENT DECISIONS ON OFFICE OF INSPECTOR GENERAL REPORTS		See Footnote (1)
DOE O 224.3	01/24/2005	AUDIT RESOLUTION AND FOLLOW-UP PROGRAM		See Footnote (4)
DOE O 241.1B	12/13/2010	SCIENTIFIC AND TECHNICAL INFORMATION MANAGEMENT		
DOE M 251.1-1B	08/16/2006	DEPARTMENTAL DIRECTIVES PROGRAM MANUAL		
DOE N 251.40	05/03/2001	EXTENSION OF DOE DIRECTIVES ON SECURITY		Extends DOE N 142.1, DOE N 203.1, DOE N 205.1, DOE N 205.2, DOE N 205.3, DOE O 470.1, DOE N 470.2, DOE O 471.2A, DOE O 472.1B, DOE M 473.2-1, DOE N 473.3, DOE N 473.4, DOE N 473.5, DOE N 473.6, and DOE N 473.7 until 12/31/2001.

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DOE DIRECTIVES				
DOE Directives can be found at the following Internet address: https://www.directives.doe.gov/				
REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	NOTES AND COMMENTS
DOE N 251.45	05/29/2002	Extension of DOE O 130.1 and DOE O 135.1		Extends DOE O 130.1 until 05/01/2003
DOE N 251.74	11/24/2008	EXTENSION OF DOE N 206.4		Extends DOE N 206.4 until 06/29/2009 or until superseded.
DOE N 251.86	06/23/2010	EXTENSION OF DOE N 234.1, REPORTING OF RADIOACTIVE SEALED SOURCES		Extends DOE N 234.1 until 05/06/2011 or until superseded.
DOE O 252.1	11/19/1999	TECHNICAL STANDARDS PROGRAM		
DOE O 313.1	11/19/2009	MANAGEMENT AND FUNDING OF THE DEPARTMENT'S OVERSEAS PRESENCE		
DOE O 323.1	08/01/2004	GARNISHMENT OF FEDERAL EMPLOYEES' PAY	1 06/04/2008	
DOE O 350.1	09/30/1996	CONTRACTOR HUMAN RESOURCE MANAGEMENT PROGRAMS	3 02/23/2010	
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		

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DOE Directives can be found at the following Internet address: https://www.directives.doe.gov/				
REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	NOTES AND COMMENTS
DOE O 410.1	08/27/2007	CENTRAL TECHNICAL AUTHORITY RESPONSIBILITIES REGARDING NUCLEAR SAFETY REQUIREMENTS		
DOE O 410.2	08/17/2009	MANAGEMENT OF NUCLEAR MATERIALS		
DOE O 412.1A	04/21/2005	WORK AUTHORIZATION SYSTEM		
DOE O 413.1B	10/28/2008	INTERNAL CONTROL PROGRAM		
DOE O 413.3B	11/29/2010	PROGRAM AND PROJECT MANAGEMENT FOR THE ACQUISITION OF CAPITAL ASSETS		
<i>Compliance: Compliance will be contingent upon YSO acceptance of the UPF implementation plan to be submitted by 04/14/2011.</i>				
DOE O 430.1B	09/24/2003	REAL PROPERTY ASSET MANAGEMENT	1 02/08/2008	
DOE O 430.2B	02/27/2008	DEPARTMENTAL ENERGY, RENEWABLE ENERGY AND TRANSPORTATION MANAGEMENT		
<i>Compliance: This Order implements parts of the total program directed at strengthening federal environmental, energy and transportation management. It combines with Executive Order 13423, "Strengthening Federal, Environmental, Energy, and Transportation Management," and DOE O 450.1A, "Environmental Protection Program," to form the total program. B&W Y-12 currently is not in full compliance with the total program. Thus, compliance will be in accordance with a revised implementation plan approved by DOE on 01/04/2010 that addresses the total program.</i>				

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DOE DIRECTIVES				
DOE Directives can be found at the following Internet address: https://www.directives.doe.gov/				
REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	NOTES AND COMMENTS
DOE P 442.1	11/16/2006	DIFFERING PROFESSIONAL OPINIONS ON TECHNICAL ISSUES RELATED TO ENVIRONMENT, SAFETY, AND HEALTH		
DOE O 442.1A	06/06/2001	DEPARTMENT OF ENERGY EMPLOYEE CONCERNS PROGRAM		
DOE O 443.1A	12/20/2007	PROTECTION OF HUMAN SUBJECTS		
DOE P 443.1A	12/20/2007	PROTECTION OF HUMAN SUBJECTS		
DOE P 450.7	08/02/2004	DEPARTMENT OF ENERGY ENVIRONMENT, SAFETY AND HEALTH (ES&H) GOALS		
DOE O 452.3	06/08/2005	MANAGEMENT OF THE DEPARTMENT OF ENERGY NUCLEAR WEAPONS COMPLEX		
DOE O 452.7	05/14/2010	PROTECTION OF USE CONTROL VULNERABILITIES AND DESIGNS		
DOE O 457.1	02/07/2006	NUCLEAR COUNTERTERRORISM		
DOE M 457.1-1	08/10/2006	CONTROL OF IMPROVISED NUCLEAR DEVICE INFORMATION (OFFICIAL USE ONLY)		
DOE P 470.1	05/08/2001	INTEGRATED SAFEGUARDS AND SECURITY MANAGEMENT (ISSM) POLICY		

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DOE Directives can be found at the following Internet address: https://www.directives.doe.gov/				
REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	NOTES AND COMMENTS
DOE N 470.2	12/15/2000	REPORTING UNOFFICIAL FOREIGN TRAVEL		Extended until 12/31/2001 by DOE N 251.40.
DOE O 470.2B	10/31/2002	INDEPENDENT OVERSIGHT AND PERFORMANCE ASSURANCE PROGRAM		Cancels and replaces DOE O 470.2A and Attachment 2, "Safety Issue Corrective Action Process," of DOE O 414.1A, dated 09/29/1999, as amended by Change 1, dated 07/12/2001.
DOE O 470.3B	08/12/2008	GRADED SECURITY PROTECTION (GSP) POLICY		
<i>Compliance: Compliance will be contingent upon approval of a revised implementation plan submitted to DOE on 05/18/2009.</i>				
DOE M 470.4-1	08/26/2005	SAFEGUARDS AND SECURITY PROGRAM PLANNING AND MANAGEMENT	2 10/20/2010	
<i>Compliance: Compliance will be in accordance with the requirements in the CRD and the approved deviations as documented in the NNSA HQ's classified Safeguards and Security Information Management System (SSIMS).</i>				
DOE M 470.4-3A	11/05/2008	CONTRACTOR PROTECTIVE FORCE		
<i>Compliance: Compliance will be in accordance with the requirements limited to Chapter I, page I-3, paragraph 2.c, Chapter I, page I-11, paragraphs 6.a.(1) through (4); Chapter III, page III-3, paragraphs 4.a.(1) through (6); and Chapter V, page V-7, paragraph 3.b.(9)(b)1, first sentence in part as it relates to providing telephone service at fixed protective force posts; and with an approved deviation as documented in the NNSA HQ's classified Safeguards and Security Information Management System (SSIMS).</i>				

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DOE DIRECTIVES				
DOE Directives can be found at the following Internet address: https://www.directives.doe.gov/				
REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	NOTES AND COMMENTS
DOE M 470.4-5	08/26/2005	PERSONNEL SECURITY		
DOE M 470.4-6	08/26/2005	NUCLEAR MATERIAL CONTROL AND ACCOUNTABILITY	1 08/14/2006	
<i>Compliance: Compliance will be in accordance with the requirements in the CRD and the approved deviations as documented in the NNSA HQ's classified Safeguards and Security Information Management System (SSIMS).</i>				
DOE O 471.1B	03/01/2010	IDENTIFICATION AND PROTECTION OF UNCLASSIFIED CONTROLLED NUCLEAR INFORMATION		
DOE M 471.2-2	08/03/1999	CLASSIFIED INFORMATION SYSTEMS SECURITY MANUAL		Chapter VI, paragraphs 4j(2) and 4j(6), and Chapter VII, paragraph 12a(2)(a) are cancelled by DOE N 205.3. Chapter III, Section 8, "Incident Reporting," is cancelled by DOE N 205.4.
DOE M 471.2-3B	10/29/2007	SPECIAL ACCESS PROGRAM POLICIES, RESPONSIBILITIES, AND PROCEDURES (OFFICIAL USE ONLY)		
DOE M 471.2-4	02/06/2004	TECHNICAL SURVEILLANCE COUNTERMEASURES (OFFICIAL USE ONLY)		Cancelled by DOE M 470.4-4 except for the classified annex.

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DOE DIRECTIVES				
DOE Directives can be found at the following Internet address: https://www.directives.doe.gov/				
REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	NOTES AND COMMENTS
DOE O 471.3	04/09/2003	IDENTIFYING AND PROTECTING OFFICIAL USE ONLY INFORMATION	1 01/13/2011	
DOE M 471.3-1	04/09/2003	MANUAL FOR IDENTIFYING AND PROTECTING OFFICIAL USE ONLY INFORMATION	1 01/13/2011	
DOE O 475.1	12/10/2004	COUNTERINTELLIGENCE PROGRAM		
DOE M 475.1-1B	08/28/2007	MANUAL FOR IDENTIFYING CLASSIFIED INFORMATION		
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 O 483.1	01/12/2001	DOE COOPERATIVE RESEARCH AND DEVELOPMENT AGREEMENTS		
DOE M 483.1-1	01/12/2001	DOE COOPERATIVE RESEARCH AND DEVELOPMENT AGREEMENTS MANUAL		
DOE O 484.1	08/17/2006	REIMBURSABLE WORK FOR THE DEPARTMENT OF HOMELAND SECURITY		

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DOE DIRECTIVES				
DOE Directives can be found at the following Internet address: https://www.directives.doe.gov/				
REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	NOTES AND COMMENTS
DOE O 522.1	11/03/2004	PRICING OF DEPARTMENTAL MATERIALS AND SERVICES		
<i>Compliance: B&W Y-12 is in compliance with the applicable requirements of this document with the exception of specifically approved exemptions on pass-through costs. These exemptions are reflected in the latest approved B&W Y-12 Cost Accounting Standards Board Disclosure Statement.</i>				
DOE O 534.1B	01/06/2003	ACCOUNTING		
<i>Compliance: Compliance with this Order includes compliance with Chapters 4, 5, 6, 7, 8, 9, 10, 11, 12, 13, 15, 17, and 21 of the "DOE Accounting Handbook," with the exception that production support costs will be handled as direct costs rather than indirect costs based on the FY 2006 Congressional Budget Funding Schedule for Directed Stockpile Work.</i>				
DOE O 551.1C	06/24/2008	OFFICIAL FOREIGN TRAVEL		
DOE O 580.1	12/07/2005	DEPARTMENT OF ENERGY PERSONAL PROPERTY MANAGEMENT PROGRAM		
<i>Compliance: Compliance will be in accordance with B&W Y-12 letter dated 11/18/2009.</i>				
DOE 1450.4	11/12/1992	CONSENSUAL LISTENING-IN TO OR RECORDING TELEPHONE/RADIO CONVERSATIONS		
DOE 2340.1C	06/08/1992	COORDINATION OF GENERAL ACCOUNTING OFFICE ACTIVITIES		See Footnote (1)
DOE 5610.2	08/01/1980	CONTROL OF WEAPONS DATA	1 09/02/1986	

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DOE DIRECTIVES				
DOE Directives can be found at the following Internet address: https://www.directives.doe.gov/				
REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	NOTES AND COMMENTS
DOE 5639.8A	07/23/1993	SECURITY OF FOREIGN INTELLIGENCE INFORMATION AND SENSITIVE COMPARTMENTED INFORMATION FACILITIES		
DOE 5670.1A	01/15/1992	MANAGEMENT AND CONTROL OF FOREIGN INTELLIGENCE		
<i>Compliance: Implementation is in accordance with MMES letter No. AE92-044 dated 06/10/1992.</i>				

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ALBUQUERQUE DIRECTIVES (ALs)				
ALs can be found at the following Internet address: http://prp.sandia.gov/				
REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	NOTES AND COMMENTS
AL-SD 56XB, Revision 2	03/31/2004	DEVELOPMENT AND PRODUCTION MANUAL	10 08/22/2007	Chapter 2.3 is superseded by R003, Issue A. Chapter 2.4 is superseded by R006, Issue A. Chapter 3.2 (excluding Phases 6.1 and 6.6) is superseded by R001, Issue A and R006, Issue A. Chapters 8.1 and 8.5 are superseded by R005, Issue A.
IBP-202	09/18/2006	RECORD OF ASSEMBLY AND DISASSEMBLY	Issue B	
IBP-401	11/30/2006	PRODUCT DEFINITION EXCHANGE PROCESS	Issue A	
IBP-404	12/17/2003	ENGINEERING AUTHORIZATION SYSTEM	Issue B	
NA-10 WQAPM	03/30/2009	NA-10 WEAPON QUALITY ASSURANCE PROCEDURES MANUAL		
<i>Compliance: Compliance will be in accordance with an implementation plan approved by DOE on 12/07/2009.</i>				
NA SD M 452.3-1	12/10/2009	DEFENSE PROGRAMS BUSINESS REQUIREMENTS AND PROCESSES MANUAL		
<i>Compliance: Full implementation of this directive is contingent upon an impact assessment of all of the documents associated with RMI.</i>				

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ALBUQUERQUE DIRECTIVES (ALs)				
ALs can be found at the following Internet address: http://prp.sandia.gov/				
REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	NOTES AND COMMENTS
PSLM	02/16/2006	PRIMARY STANDARDS LABORATORY MEMORANDUM		
C019	06/16/2010	CONTROL PRODUCT DEFINITION	ISSUE A	
R001	01/17/2010	PRODUCT REALIZATION	Issue A	Supersedes Chapter 3.2 (excluding Phases 6.1 and 6.6) of AL-SD 56XB, Revision 2.
R003	03/24/2010	PRODUCT DEFINITION CONTROL	Issues A	Supersedes Chapter 2.3 of AL-SD 56XB, Revision 2.
R005	03/12/2010	NEW MATERIAL AND STOCKPILE EVALUATION	Issue A	Supersedes Chapters 8.1 and 8.5 of AL-SD 56XB, Revision 2.
R006	01/15/2010	6.X PROCESS	Issue A	Supersedes Chapters 2.4 and 3.2 (excluding Phases 6.1 and 6.6) of AL-SD 56XB, Revision 2.
R007	03/29/2010	DIRECTED STOCKPILE WORK PROGRAM FUNDING WITHIN PLANNING, PROGRAMMING, BUDGETING, EVALUATION AND PROCESS	Issue A	
R008	11/09/2010	PORTFOLIO-PROGRAM-PROJECT MANAGEMENT	Issue A	
<p><i>Compliance: Compliance will be addressed upon receipt of request for contractor support to the Federal Program Manager (FPM).</i></p>				

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ALBUQUERQUE DIRECTIVES (ALs)				
ALs can be found at the following Internet address: http://prp.sandia.gov/				
REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	NOTES AND COMMENTS
R009	03/29/2010	RISK AND OPPORTUNITY MANAGEMNET	Issue A	Supersedes Chapter 12.3 of AL-SD 56XB, Revision 2.
R012	06/16/2010	REQUIREMENTS ENGINEERING	Issue A	
TBP-CM	02/14/2005	CONFIGURATION MANAGEMENT	Issue A	
TBP-PRP	05/04/2001	PRODUCT REALIZATION PROCESS	Issue E	
TBP-SYS	10/20/2004	NWC TECHNICAL BUSINESS PRACTICE SYSTEM	Issue H	
TBP-000	05/04/2001	PROGRAM MANAGEMENT	Issue E	
TBP-001	10/02/2000	MAJOR ASSEMBLY RELEASE SYSTEM	Issue C	
TBP-100	09/16/2005	CONCURRENT QUALIFICATION	Issue G	
TBP-101	01/22/2007	ENGINEERING EVALUATION PROCESS	Issue H	
TBP-200	09/18/2006	PRODUCT IDENTIFICATION AND TRACEABILITY	Issue E	
TBP-201	09/18/2006	WEAPON IDENTIFICATION SYSTEMS AND MARKING CRITERIA	Issue D	
TBP-202	09/18/2006	RECORD OF ASSEMBLY AND DISASSEMBLY	Issue E	
TBP-203	02/20/2004	WEAPON RECORD CARDS	Issue E	
TBP-300	02/15/2005	PRODUCT DEFINITION	Issue E	
TBP-301	10/02/2006	METHODS OF DEFINITION	Issue J	

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ALs can be found at the following Internet address: http://prp.sandia.gov/				
REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	NOTES AND COMMENTS
TBP-302	09/18/2006	PRODUCT AND EQUIPMENT DESIGNATIONS	Issue D	
TBP-303	01/24/2007	SEVEN-DIGIT MATERIAL AND PROCESS SPECIFICATIONS	Issue D	
TBP-304	03/11/2003	DEFINING COMMERCIAL PRODUCT IN THE ENGINEERING DRAWING SYSTEM	Issue E	
TBP-305	09/18/2006	CONFIGURATION OF TYPE WEAPONS	Issue D	
TBP-306	05/02/2003	SOFTWARE PRODUCT PROCESSES	Issue E	
TBP-307	05/02/2003	USE OF MECHANICAL MODELS IN THE PRODUCT REALIZATION PROCESS	Issue D	
TBP-308	02/06/2006	COMPUTER-AIDED DESIGN PROCESS FOR ELECTRICAL PRODUCTS	Issue A	
TBP-400	10/02/2000	DESIGN CONTROL	Issue D	
TBP-401	11/30/2006	DEFINITION CONTROL	Issue E	
TBP-402	09/22/2004	PRODUCT CONTROL	Issue F	
TBP-403	02/13/2006	REVIEWS	Issue E	
TBP-404	05/04/2005	ENGINEERING AUTHORIZATION SYSTEM	Issue F	
TBP-502	01/21/2002	DISTRIBUTION OF NON-ELECTRONIC PRODUCT DEFINITION USING ELECTRONIC TRANSMITTAL METHODS	Issue A	

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ALs can be found at the following Internet address: http://prp.sandia.gov/				
REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	NOTES AND COMMENTS
TBP-600	10/02/2000	PROCUREMENT	Issue D	
TBP-601	10/02/2000	PROCUREMENT CLASSES OF WEAPON PRODUCT	Issue C	
TBP-602	03/11/2003	INTERPRETATION OF PROCUREMENT INDEX	Issue D	
TBP-700	03/11/2003	PRODUCT ACCEPTANCE AND CONTROL OF NONCONFORMANCE	Issue E	
TBP-701	04/19/2007	ACCEPTANCE EQUIPMENT INTERFACES	Issue D	
TBP-702	05/29/2007	NONCONFORMING MATERIAL	Issue F	
TBP-703	06/01/2001	PRODUCT REPROCESSING AND REWORKING	Issue D	
TBP-704	10/02/2000	EVALUATION AND DISPOSITION OF DISCREPANT WEAPON MATERIAL	Issue D	
TBP-800	07/30/2001	STOCKPILE MANAGEMENT	Issue F	
TBP-801	10/02/2000	LABORATORY AND FLIGHT TEST MATERIAL	Issue D	
TBP-802	10/02/2000	TELEMETRY PROCEDURES	Issue D	
TBP-803	12/06/2006	NON-NUCLEAR ASSURANCE PROGRAM	Issue F	
TBP-804	12/06/2006	STOCKPILE SUPPORT MATERIAL	Issue F	
TBP-805	12/06/2006	REPAIR AND RETROFIT OF WEAPONS AND ANCILLARY EQUIPMENT	Issue F	
TBP-901	10/02/2000	INTEGRATED SAFETY PROCESS FOR NUCLEAR WEAPONS OPERATIONS AND FACILITIES	Issue B	

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ORO DIRECTIVES				
ORO Directives can be found at the following Internet address: http://www.ornl.gov/doe/doe_oro_dmg/oro_chklst.htm				
REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	NOTES AND COMMENTS
ORO O 350 Chapter III	05/31/1996	CONTRACTOR HUMAN RESOURCE PROGRAMS FEDERAL LABOR STANDARDS	3 01/26/2004	

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OTHER APPLICABLE DOCUMENTS				
REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	NOTES AND COMMENTS
41 CFR 102-192	08/25/2008	MAIL MANAGEMENT		
<i>Compliance: Compliance will be in accordance with an implementation plan approved by DOE on 03/26/2009.</i>				
42 U.S.C.A. 1395y	07/15/2008	THE PUBLIC HEALTH AND WELFARE		
BOP-003.08	05/30/2008	MANAGEMENT AND OPERATING CONTRACTOR BUSINESS MEALS AND LIGHT REFRESHMENT		
<i>Compliance: Compliance will be in accordance with the Advance Agreement, Controlled Business Expense (CBE), approved by DOE on 05/07/2009.</i>				
BOP-50.002	09/19/2006	ESTABLISHMENT OF A NATIONAL NUCLEAR SECURITY ADMINISTRATION (NNSA) VALUE MANAGEMENT (VM) POLICY		
BOP-50.003	06/06/2007	ESTABLISHMENT OF A NATIONAL NUCLEAR SECURITY ADMINISTRATION (NNSA) INDEPENDENT PROJECT REVIEW (IPR) POLICY		
<i>Compliance: Compliance with respect to Operation Expense and Work for Others projects will be addressed upon receipt of Y-12 Site Office implementation guidance.</i>				
DOE-HQ Memorandum	11/08/2006	IMPROVED CYBER SECURITY PROTECTION FOR CLASSIFIED COMPUTER SYSTEMS		
DOE-HQ Memorandum	01/27/2009	COMPUTER LOSS/THEFT REPORTING REQUIREMENTS		
DOE HQ Memorandum	12/09/2009	MILITARY OR INTELLIGENCE-RELATED HUMAN SUBJECTS RESEARCH		

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REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	NOTES AND COMMENTS
DOE HQ Memorandum	03/04/2010	PROJECT MANAGEMENT PRINCIPLES		
<i>Compliance: Compliance will be in accordance with the revised Y-12 National Security Complex PARS II Deployment Cost and Schedule Breakdown approved by DOE on 09/21/2010.</i>				
EO 13502	02/06/2009	USE OF PROJECT LABOR AGREEMENTS FOR FEDERAL CONSTRUCTION PROJECTS		
MANUAL	04/01/2007	BASELINE SECURITY MANUAL (OFFICIAL USE ONLY)		
NAP 14.1-C	05/02/2008	NNSA BASELINE CYBER SECURITY PROGRAM		See Footnote (2)
<i>Compliance: Compliance will be in accordance with a revised implementation plan approved by DOE on 10/15/2010.</i>				
NAP 14.2-C	05/02/2008	NNSA CERTIFICATION AND ACCREDITATION (C&A) PROCESS FOR INFORMATION SYSTEMS		See Footnote (2)
<i>Compliance: Compliance will be in accordance with a revised implementation plan approved by DOE on 10/15/2010.</i>				
NAP 14.3-B	05/02/2008	TRANSMISSION OF RESTRICTED DATA OVER SECRET INTERNET PROTOCOL ROUTER NETWORK (SIPRNet)		See Footnote (2)
NAP 70.2	07/02/2010	PHYSICAL PROTECTION		
NAP 70.4	07/02/2010	INFORMATION SECURITY		
OMB-Circular A-123	12/21/2004	MANAGEMENT'S RESPONSIBILITY FOR INTERNAL CONTROL		

**BASELINE LIST OF
REQUIRED COMPLIANCE DOCUMENTS****List B – List of Applicable Directives**

OTHER APPLICABLE DOCUMENTS				
REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	NOTES AND COMMENTS
OPS-323	10/21/2004	DATA INTERFACE AGREEMENT: INTEGRATED CONTRACTOR INTERFACE FOR DEPARTMENT OF ENERGY I-MANAGE PROGRAM – STARS PROJECT		
YSO-CRD-06-01 Revision 3	04/05/2010	DIRECTIVES SYSTEM PROCESS		
YSO CRD-09-01	09/25/2009	PROJECTS CONTRACTOR REQUIREMENTS DOCUMENT (CRD)	Admin. Chg. 11/24/2009	

**BASELINE LIST OF
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List B – List of Applicable Directives

STANDARDS/REQUIREMENTS IDENTIFICATION DOCUMENTS (S/RIDs)				
FUNCTIONAL AREA (FA)	TITLE	REVISION NUMBER	DOE/YSO APPROVAL DATE	NOTES AND COMMENTS
1.0	MS - Management Systems	24	09/28/2010	
2.0	QA - Quality Assurance	14	11/24/2008	
3.0	CM - Configuration Management	11	02/15/2011	Type 1 Change
4.0	TQ - Training and Qualification	19	12/14/2010	Type 1 Change
5.0	EM - Emergency Management	22	10/12/2010	Type 1 Change
7.0	EG - Engineering Program	46	02/16/2011	Type 1 Change
8.0	CP - Construction Program	39	02/16/2011	Type 1 Change
9.0	OP - Operations	7	11/17/2010	
10.0	MA - Maintenance	17	08/23/2010	
11.0	RP - Radiation Protection	10	12/01/2010	
12.0	FP - Fire Protection	17	12/10/2010	
13.0	TR - Packaging and Transportation	18	10/12/2010	
18.0	FS - Facility (Nuclear) Safety	22	08/26/2010	
19.0	SH - Occupational Safety and Health	31	04/24/2008	
20.0	EP - Environmental Protection	22	02/25/2010	
21.0	CS - Nuclear Criticality Safety	6	12/10/2010	

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APPROVED S/RID SOURCE DOCUMENTS³				
REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	FUNCTIONAL AREA(S)
10 CFR	01/24/1997	ENERGY		MS, QA, TQ, EM, EG, CP, RP, FP, FS, SH, EP
28 CFR	07/01/1997	JUDICIAL ADMINISTRATION		FP
29 CFR	04/23/1998	LABOR		CM, TQ, EM, EG, CP, FP, FS
33 CFR		NAVIGATION AND NAVIGABLE WATERS		CP, EP
36 CFR		PARKS, FORESTS, AND PUBLIC PROPERTY		MS, EM, EG, CP, FP, EP
40 CFR		PROTECTION OF THE ENVIRONMENT		EM, EG, CP, TR, FS, SH, EP
40 CFR 144		SAFE DRINKING WATER ACT		EP
43 CFR		PUBLIC LANDS: INTERIOR		EP
48 CFR		FEDERAL ACQUISITION REGULATIONS SYSTEM		MS
49 CFR	10/01/2000	TRANSPORTATION		TQ, EM, TR
50 CFR		WILDLIFE AND FISHERIES		EP
5400.5	02/08/1990	RADIATION PROTECTION OF THE PUBLIC AND THE ENVIRONMENT	2	EG, CP, EP
5480.19	07/09/1990	CONDUCT OF OPERATIONS REQUIREMENTS FOR DOE FACILITIES	2 10/23/2001	TQ
5480.21	12/24/1991	UNREVIEWED SAFETY QUESTIONS		TQ
DE-AC05-00OR22800	08/31/2000	BWXT Y-12, L.L.C. CONTRACT WITH DOE/NNSA		MS, EG, CP
DOE O 150.1	05/08/2008	CONTINUITY PROGRAMS		EM

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APPROVED S/RID SOURCE DOCUMENTS³				
REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	FUNCTIONAL AREA(S)
DOE O 151.1C	11/02/2005	COMPREHENSIVE EMERGENCY MANAGEMENT SYSTEM		TQ, EM, EG, CP
DOE O 153.1	06/27/2007	DEPARTMENTAL RADIOLOGICAL EMERGENCY RESPONSE ASSETS		EM
DOE O 225.1A	11/26/1997	ACCIDENT INVESTIGATIONS		EG, CP, SH
DOE O 226.1A	07/31/2007	IMPLEMENTATION OF DEPARTMENT OF ENERGY OVERSIGHT POLICY		QA, TQ
DOE M 231.1-1A	03/19/2004	ENVIRONMENT, SAFETY AND HEALTH REPORTING MANUAL	2 06/12/2007	EG, CP, RP, FP, SH, EP
DOE M 231.1-2	08/19/2003	OCCURRENCE REPORTING AND PROCESSING OF OPERATIONS INFORMATION		MS
DOE N 234.1	02/27/2008	REPORTING OF RADIOACTIVE SEALED SOURCES		RP
DOE O 341.1A	10/18/2007	FEDERAL EMPLOYEE HEALTH SERVICES		SH
DOE O 414.1C	06/17/2005	QUALITY ASSURANCE		QA, TQ
DOE O 420.1B	12/22/2005	FACILITY SAFETY	1 04/192010	EM, EG, CP, OP, FP, CS
DOE G 420.1-3	09/27/2007	IMPLEMENTATION GUIDE FOR DOE FIRE PROTECTION AND EMERGENCY SERVICES PROGRAMS FOR USE WITH DOE O 420.1B, FACILITY SAFETY		EG, FP
DOE G 421.1-2	10/24/2001	IMPLEMENTATION GUIDE FOR USE IN DEVELOPING DOCUMENTED SAFETY ANALYSES TO MEET SUBPART B OF 10 CFR 830		FS

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REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	FUNCTIONAL AREA(S)
DOE O 422.1	06/29/2010	CONDUCT OF OPERATIONS		CM, TQ, EG, CP, OP
DOE O 425.1D	04/16/2010	VERIFICATION OF READINESS TO START UP OR RESTART NUCLEAR FACILITIES		MS
DOE O 426.2	04/21/2010	PERSONNEL SELECTION, TRAINING, QUALIFICATION, AND CERTIFICATION REQUIREMENTS FOR DOE NUCLEAR FACILITIES		CM, EG, CP, TQ
DOE O 430.1B	09/24/2003	REAL PROPERTY ASSET MANAGEMENT		EG, MA
DOE O 433.1B	04/21/2010	MAINTENANCE MANAGEMENT PROGRAM FOR DOE NUCLEAR FACILITIES		CM, TQ, EG, CP, MA
DOE M 435.1-1	07/09/1999	RADIOACTIVE WASTE MANAGEMENT MANUAL		TQ, EG, CP, EP
DOE O 435.1	07/09/1999	RADIOACTIVE WASTE MANAGEMENT	1 08/28/2001	EP
DOE O 440.2B	11/27/2002	AVIATION MANAGEMENT AND SAFETY	1 11/19/2006	TR
DOE M 441.1-1	03/07/2008	NUCLEAR MATERIAL PACKAGING MANUAL		EG
DOE M 442.1-1	11/16/2006	DIFFERING PROFESSIONAL OPINIONS MANUAL FOR TECHNICAL ISSUES INVOLVING ENVIRONMENT, SAFETY AND HEALTH		SH

**BASELINE LIST OF
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APPROVED S/RID SOURCE DOCUMENTS³				
REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	FUNCTIONAL AREA(S)
DOE O 450.1A	06/04/2008	ENVIRONMENTAL PROTECTION PROGRAM		EP
DOE M 450.4-1	11/01/2006	INTEGRATED SAFETY MANAGEMENT SYSTEM MANUAL		SH
DOE P 456.1	09/15/2005	SECRETARIAL POLICY STATEMENT ON NANOSCALE SAFETY		SH
DOE O 460.1C	05/14/2010	PACKAGING AND TRANSPORTATION SAFETY		TR
DOE O 460.2A	12/22/2004	DEPARTMENTAL MATERIALS TRANSPORTATION AND PACKAGING MANAGEMENT		TR
DOE M 461.1-1	09/29/2000	PACKAGING AND TRANSFER OF MATERIALS OF NATIONAL SECURITY INTEREST MANUAL	1 07/26/2005	TR
DOE O 461.1A	04/26/2004	PACKAGING AND TRANSFER OR TRANSPORTATION OF MATERIALS OF NATIONAL SECURITY INTEREST		TQ, TR
DOE M 470.4-1	08/26/2005	SAFEGUARDS AND SECURITY PROGRAM PLANNING AND MANAGEMENT	1 03/07/2006	EM
DOE M 470.4-2	08/26/2005	PHYSICAL PROTECTION	1 03/07/2006	TQ, TR
DOE-SNL-TYPEBARG	02/29/2008	TIEDOWN PROCEDURES FOR TYPE A, TYPE B, ARG, AND MISCELLANEOUS CONTAINERS		TR
DOE-STD-1066-99	07/31/1999	DOE STANDARD - FIRE PROTECTION DESIGN CRITERIA		EG

**BASELINE LIST OF
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APPROVED S/RID SOURCE DOCUMENTS³				
REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	FUNCTIONAL AREA(S)
DOE-STD-1073-2003	10/2003	CONFIGURATION MANAGEMENT		MS, CM, EG, CP
DOE-STD-1083-2009	06/2009	PROCESSING EXEMPTIONS TO NUCLEAR SAFETY RULES AND APPROVAL OF ALTERNATIVE METHODS FOR DOCUMENTED SAFETY ANALYSES		MS
DOE-STD-1090-2007	08/2007	HOISTING AND RIGGING		SH
DOE-STD-1189-2008	03/01/2008	INTEGRATION OF SAFETY INTO THE DESIGN PROCESS		EG
DOE-STD-3003-2000	01/31/2000	DOE STANDARD - BACKUP POWER SOURCES FOR DOE FACILITIES		EG
DOE-STD-3024-98	10/31/1998	DOE STANDARD - CONTENT OF SYSTEM DESIGN DESCRIPTIONS		EG
EO 12898		ENVIRONMENTAL JUSTICE		EP
FFCA		FEDERAL FACILITIES COMPLIANCE ACT		EP
NFPA CODES AND STANDARDS	04/23/1998	CODES AND STANDARDS		EG, CP, FP
ORR PCB FFCA		OAK RIDGE RESERVATION POLYCHLORINATED BIPHENYL FEDERAL FACILITIES COMPLIANCE AGREEMENT		EP
PUBLIC LAW 104-113		NATIONAL TECHNOLOGY TRANSFER AND ADVANCEMENT ACT OF 1995		EG, CP
QC-1, Rev. 10	02/10/2004	DOE/NNSA WEAPON QUALITY POLICY (QC-1)		MS, QA, EG

**BASELINE LIST OF
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List B – List of Applicable Directives

APPROVED S/RID SOURCE DOCUMENTS³				
REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	FUNCTIONAL AREA(S)
SEN-35-91	09/09/1991	NUCLEAR SAFETY POLICY		TQ
STANDARD BUILDING CODE (SBC)		SOUTHERN BUILDING CODE CONGRESS INTERNATIONAL (SBCCI)		CP
TITLE 55 AND 65		TENNESSEE MOTOR VEHICLE LAWS ANNOTATED		TR
TENNESSEE CODE, TITLE 68	04/23/1998	HEALTH, SAFETY AND ENVIRONMENTAL PROTECTION		FP
TCA TITLE 69		WATERS, WATERWAYS, DRAINS AND LEVEES		EP
THWRA		TENNESSEE HAZARDOUS WASTE REDUCTION ACT (THWRA)		EP
TN CODE ANNOTATED		TENNESSEE CODE ANNOTATED		EM, EG
TN 1200		RULES OF THE TENNESSEE DEPARTMENT OF ENVIRONMENT AND CONSERVATION		CP, EP
TN 1200-1-13		TENNESSEE INACTIVE HAZARDOUS SUBSTANCE SITE REMEDIAL ACTION PROGRAM	1	EP
TN 1200-1-7		TENNESSEE SOLID WASTE RULES		EP
TN 1200-1-7.02		TENNESSEE SOLID WASTE DISPOSAL ACT		EP
TN 1200-3-10		TENNESSEE AIR QUALITY ACT		EP
TN 1200-3-20		TENNESSEE AIR QUALITY ACT		EP
TN 1200-3-27		TENNESSEE AIR QUALITY ACT		EP

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List B – List of Applicable Directives

APPROVED S/RID SOURCE DOCUMENTS³				
REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	FUNCTIONAL AREA(S)
TN 1200-4-5		TENNESSEE WATER QUALITY CONTROL ACT		EP
TN 1200-5-8	10/19/2003	WATER REGISTRATION REQUIREMENTS		EP
TN OVERSIGHT AGREEMENT	06/06/2006	TENNESSEE OVERSIGHT AGREEMENT (TOA)		EM, EP
TWRA		TENNESSEE WILDLIFE RESOURCES AGENCY (TWRA) BOATING REGULATIONS		TR
YSO-CRD-02-01, Rev. 2	02/15/2008	IDENTIFICATION, EVALUATION, AND CONTROL OF NON-NUCLEAR CHEMICAL HAZARDS		EG, FS
YSO-CRD-03-01, Rev. 6	09/03/2010	START-UP AND RESTART OF OPERATIONS, ACTIVITIES & FACILITIES AT Y-12, INCLUDING SAFETY BASIS DOCUMENT IMPLEMENTATION		MS
YSO-CRD-07-01 Rev. 1	02/15/2008	AUTHORIZATION AGREEMENTS		EG, CP, FS

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 comprises a component of the Program Cyber Security Plan that is directed by DOE O 205.1A, DEPARTMENT OF ENERGY CYBER SECURITY MANAGEMENT, dated 12/04/2006.
- (3) These documents are ES&H related and appear in one or more of the current Standards/ Requirements Identification Document (S/RID) Functional Areas. In an S/RID, the document may be referenced in its entirety or by certain chapters, paragraphs, or sections taken from the document. In addition, information regarding document applicability may be obtained from the specific S/RID.
- (4) Although this document is not directly applicable to the Contractor, it is included in the list of applicable documents to establish requirements for audit resolution and follow-up systems.



GCN201164699
COR-Y12-1/18/2011-50764

► bear creek road ► p.o. box 2002 ► oak ridge, tn 37831-6501
► phone 865.576.3581 ► fax 865.241.2150 ► www.y12.doe.gov

January 19, 2011

Ms. Jill Y. Albaugh, Contracting Officer
National Nuclear Security Administration
Y-12 Site Office
Post Office Box 2050
Oak Ridge, Tennessee 37831-8009

Dear Ms. Albaugh:

Contract DE-AC05-00OR22800 – Small Business Subcontracting Plan

Attached is the updated Prime Contract Section J, Attachment C - Small Business Subcontracting Plan, for your review. This plan is being updated to cover the period of the B&W Y-12 contract extension.

If there are any questions, please do not hesitate to contact the undersigned at 241-3581 or Gloria Mencer, the Socioeconomic Programs Manager, at 576-2090.

Sincerely yours,

A handwritten signature in black ink, appearing to read 'William Thornton, III'. The signature is written in a cursive, flowing style.

William Thornton, III
Director, Procurement Operations

WT:cjc

Attachment: As stated

c/att.: S. W. Baker
C. D. Bayless, YSO

PART III—LIST OF DOCUMENTS, EXHIBITS AND OTHER ATTACHMENTS

Section J. Attachments

ATTACHMENT C – SMALL BUSINESS SUBCONTRACTING PLAN

Name of Contractor: Babcock and Wilcox Technical Services Y-12, LLC
(B&W Y-12)

Address: Bear Creek Road, P.O. Box 2009, Oak Ridge, TN 37831-8001

Contract Number: DE-AC05-00OR22800

Item/Service: Management and Operation of the Y-12 National Security Complex and associated activities

Amount of Contract for FY2011: Estimated: \$803,000,000

Period of Contract Performance: October 1, 2010 to September 30, 2011

This individual Small Business Subcontracting Plan describes our approach to involving small business (SB), veteran-owned small business (VOSB), service-disabled veteran-owned small business (SDVOSB), historically underutilized business zone (HUBZone) small business, small disadvantaged business (SDB), and women-owned small business (WOSB) concerns to the maximum extent practicable and to the extent consistent with the government's interest. The B&W Y-12 Small Business Subcontracting Plan is submitted in accordance with FAR 19.708 (b), FAR 52.219-8, and FAR 52.219 9.

I. GOALS

A. PERCENTAGE GOALS

Figure F-1 shows our goals expressed in percentages of total planned subcontracted dollars and dollar values for the B&W Y-12 contract for the use of SB, VOSB, SDVOSB, HUBZone SB, SDB, and WOSB concerns. The U.S. Department of Energy renegotiates small business goals annually to adjust for mission changes and emergent subcontracting opportunities.

Table F-1 Subcontracted Goals in Percentages and Dollars

Total estimated dollars available for subcontracting \$400,000,000		
Category	Percentage of total estimated subcontracting effort	Dollars (in Millions)
Total planned subcontracting with large businesses (all business concerns classified as "other than small")	55.0%	\$220.0
Total planned subcontracting with small businesses (includes SB, VOSB, SDVOSB, HUBZone SB, SDB, and WOSB concerns)	45.0%	\$180.0
Total planned subcontracting with veteran-owned small businesses	2.5%	\$10.0
Total planned subcontracting with service-disabled veteran-owned small businesses	1.0%	\$4.0
Total planned subcontracting with HUBZone small businesses	4.0%	\$16.0
Total planned subcontracting with small disadvantaged businesses	10.0%	\$40.0
Total planned subcontracting with women-owned small businesses	10.0%	\$40.0

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ATTACHMENT C – SMALL BUSINESS SUBCONTRACTING PLAN

B. PRODUCTS AND/OR SERVICES TO BE SUBCONTRACTED

1. Potential Subcontracting Opportunities for Small Business.

Figure F -2 lists the principal categories of subcontracting opportunities that will be made available for SB concerns. The categories shown are for general work groupings only. As additional opportunities are identified, the list will be expanded.

Table F-2 Principal Categories Subcontracting Opportunities

	Other	SB	SDB	WOSB	HUBZone	VOSB	SDVOSB	Estimate %
A&E	◆	◆	◆		◆			1.2%
Construction	◆	◆	◆	◆	◆	◆	◆	10.0%
Consultants	◆	◆	◆	◆				0.04%
Equipment Maintenance/Repair/Calibration	◆	◆	◆	◆		◆	◆	0.4%
General Commodities	◆	◆	◆	◆	◆	◆	◆	21.6%
General Services	◆	◆	◆	◆	◆	◆	◆	29.0%
Professional Services	◆	◆	◆	◆		◆	◆	36.1%
Research and Development	◆	◆		◆		◆	◆	0.3%
Software Maintenance and Licensing	◆	◆	◆	◆	◆	◆	◆	1.1%
Training	◆	◆	◆	◆		◆	◆	0.1%

2. Method Used to Develop Subcontracting Goals

To establish subcontracting goals and commitments, we gathered available B&W Y-12 information, forecasted probable acquisition needs, and analyzed project estimates. We used procurement historical data and experience to determine potential requirements and contingencies. Our subcontracting goals are both realistic and attainable. We will continually identify and review potential sources of supplies and services including, but not limited to, the following:

- a) Government Central Contractor Registration (CCR) Dynamic Small Business Search database (formerly PRO-Net).
- b) State and regional Small Business Administration (SBA) resources.
- c) National Minority Purchasing Council Vendor Information Service.
- d) Research and Information Division of the Minority Business Development Agency in the Department of Commerce.
- e) Trade associations for SB, VOSB, SDVOSB, HUBZone SB, SDB, and WOSB concerns.
- f) Sponsorship of and/or participation in various local, regional, and national SB trade fairs and conferences.

PART III—LIST OF DOCUMENTS, EXHIBITS AND OTHER ATTACHMENTS

Section J. Attachments

ATTACHMENT C – SMALL BUSINESS SUBCONTRACTING PLAN

- g) Membership in and coordination and cooperation with SB organizations, economic development organizations, and commercial and government organizations at the local, state, and national levels.

3. Indirect Costs

Indirect costs are not included in the goals under this Small Business Subcontracting Plan.

II. PROGRAM ADMINISTRATOR

William Thornton, III, is over our small business administration:

Name: William Thornton
Title: Director, Procurement Operations
Address: 602 Scarboro Rd., N1.215
Post Office Box 2002
Oak Ridge, TN 37831-6501
Telephone: (865) 241-3581
Facsimile: (865) 241-2150
Email: thorntonwiii@y12.doe.gov

Our small business program administrator will ensure that the following activities are performed efficiently and effectively by:

- A. Maintaining source lists of potential SB, VOSB, SDVOSB, HUBZone SB, SDB, and WOSB subcontractors
- B. Developing and maintaining bidders lists of SB, VOSB, SDVOSB, HUBZone SB, SDB, and WOSB concerns from as many sources as possible
- C. Ensuring that procurement packages are structured to permit participation of SB, VOSB, SDVOSB, HUBZone SB, SDB, and WOSB subcontractors to the maximum extent possible
- D. Ensuring inclusion of SB, VOSB, SDVOSB, HUBZone SB, SDB, and WOSB subcontractors whose capabilities coincide with solicitation requiring their products or services
- E. Seeking other SB concerns when the number of prospective sources is not adequate by using mass media tools, such as Internet bulletin boards, Fed Biz Opps.
- F. Reviewing solicitations to identify and remove any statements, clauses, etc" which may restrict or prohibit participation of SB, VOSB, SDVOSB, HUBZone SB, SDB, and WOSB subcontractors
- G. Ensuring that proper documentation is provided by the bid proposal team if an SB, VOSB, SDVOSB, HUBZone SB, SDB, or WOSB subcontractor who provided a low bid is not selected.
- H. Ensuring establishment and maintenance of records on solicitations and subcontract award activity
- I. Attending or arranging for attendance of the small business manager at business opportunity workshops, minority business enterprise seminars, trade fairs, etc.

PART III—LIST OF DOCUMENTS, EXHIBITS AND OTHER ATTACHMENTS

Section J. Attachments

ATTACHMENT C – SMALL BUSINESS SUBCONTRACTING PLAN

- J. Monitoring achievements, keeping records, and measuring performance against established goals
- K. Preparing and submitting required semiannual and annual subcontracting reports
- L. Coordinating contractors' activities prior to and during federal agency compliance reviews
- M. Mentoring SBs currently under subcontract and enhancing their ability to provide timely, cost-effective, and quality services
- N. Facilitating contact between SB suppliers and respective procurement and technical/program personnel
- O. Advising and training project management personnel on the purposes of the Small Business Subcontracting Plan and fostering their support of the plan
- P. Attending SB training and monitoring program changes to ensure compliance at B&W Y-12
- Q. Reviewing, revising, and amending applicable procedures and instructions
- R. Verifying that subcontracts contain the flowdown clauses pertaining to SB concerns, when required, and maintaining the policies and procedures required by the prime contract
- S. Reviewing and approving small business subcontracting plans submitted by large businesses, where applicable
- T. Verifying that lower-tier large business subcontractors submit small business subcontracting plans (when applicable) and the required semiannual and annual subcontracting reports, and verifying compliance
- U. Establishing and maintaining contacts and communication with our parent organizations and networking with other SB program advocates within these organizations to support, implement, or enhance the B&W Y-12 SB program
- V. Maintaining good working relationships with SBA representatives to obtain assistance and coordination in finding capable SBs
- W. Maintaining a close working relationship with NNSA to ensure that our project objectives and activities are consistent with NNSA programs
- X. Submitting monthly progress reports to YSO NNSA reporting on small business utilization

III. EQUITABLE OPPORTUNITIES AND OUTREACH EFFORTS

The following additional functions will be performed to effectively implement this plan.

- A. **B&W Y-12 OUTREACH EFFORTS TO OBTAIN SOURCES**
 - 1. Provide a full-time onsite small business program manager who will serve as a liaison among the SB community, internal acquisition personnel, and the client.
 - 2. Plan solicitations (including time for preparation and development of SOW, quantities, specifications, and delivery schedules) to facilitate SB participation in subcontracting opportunities and solicitations.
 - 3. Establish and maintain contacts with SB trade associations and business development organizations.

PART III—LIST OF DOCUMENTS, EXHIBITS AND OTHER ATTACHMENTS

Section J. Attachments

ATTACHMENT C – SMALL BUSINESS SUBCONTRACTING PLAN

4. Attend SB, VOSB, SDVOSB, HUBZone SB, SDB, and WOSB business procurement conferences and trade fairs.
 5. Conduct external workshops, seminars, and training programs to ensure SBs are familiar with the requirements for doing business at B&W Y-12
 6. Maintain an elective outreach program by sponsoring and attending regional procurement conferences, trade fairs, and other functions to locate additional qualified sources.
 7. Implement an ongoing "in-reach" program that provides SBs access and exposure to key project planners and managers.
 8. Request sources from the SBA commercial market representative and access the CCR Dynamic Small Business search database when needed.
 9. Utilize mass marketing and other media outlets to encourage small business participation.
 10. Develop a comprehensive source list of SB on-site service provider that includes past performance and is easily accessible and useful to acquisition personnel.
 11. Select and qualify SB concerns to perform specific scopes of work.
 12. Structure the program to help develop the capabilities and quality of services provided by SB suppliers and subcontractors currently working at B&W Y-12.
 13. Use book references, catalogs, source lists, or other reference material to identify SB, VOSB, SDVOSB, HUBZone SB, SDB, and WOSB sources before the acquisitions are placed.
- B. B&W Y-12 INTERNAL EFFORTS TO GUIDE AND ENCOURAGE PURCHASING PERSONNEL
1. Conduct internal workshops, seminars, and training programs to ensure that internal customers and acquisition personnel are acquainted with the Small Business Subcontracting Plan, our policies, and prime contract requirements
 2. Establish, maintain, and use SB, VOSB, SDVOSB, HUBZone SB, SDB, and WOSB source lists, guides, and other data for soliciting subcontracts
 3. Monitor activities to evaluate compliance with the subcontracting plan
 4. Issue letter from the President and General Manager to show support for the SB program and to encourage the use of small businesses
 5. Establish and maintain B&W Y-12's Small Business Policy

IV. SMALL BUSINESS UTILIZATION AND SUBCONTRACTING PLAN FLOW DOWN

We incorporate the flowdown clause requirements of FAR 52.219-8 and 9 whereas small business concerns, veteran-owned small business concerns, service-disabled veteran owned small business concerns, HUBZone small business concerns, small disadvantaged business concerns and women-owned small business concerns shall have the maximum practicable opportunity to participate in performing contracts as defined by this plan. Additionally, we will require all subcontractors (except SB concerns) who receive subcontracts in excess of \$650,000

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ATTACHMENT C – SMALL BUSINESS SUBCONTRACTING PLAN

(\$1,500,000 for construction) to adopt a similar plan. Our Program Administrator will be responsible for implementing and monitoring this aspect of the Small Business Subcontracting Plan.

V. REPORTS AND SURVEYS

B&W Y-12 will:

- A. Cooperate in any studies or surveys required by the contracting agency or the U.S. SBA;
- B. Submit periodic reports so that the government can determine the extent of compliance by B&W Y-12 with the subcontracting plan;
- C. Submit electronically "Subcontracting Report for Individual Contracts" (formerly SF294) and "Summary Subcontract Report" (formerly SF295) to a single government-wide system, eSRS;
- D. Ensure that our large business subcontractors agree to submit electronically "Subcontracting Report for Individual Contracts" (formerly SF294) and "Summary Subcontract Report" (formerly SF295). or any other method determined necessary by the Contracting Officer to comply with DOE/NNSA internal procedures/practices;
- E. Provide its prime contract number, its DUNS number, and the e-mail address of the Government or Contractor official responsible for acknowledging or rejecting the reports, to all first-tier subcontractors with subcontracting plans so they can enter this information into the eSRS when submitting their reports; and
- F. Require that each subcontractor with a subcontracting plan provide the prime contract number, its own DUNS number, and the e-mail address of the Government or Contractor official responsible for acknowledging or rejecting the reports, to its subcontractors with subcontracting plans.

VI. RECORDS AND PROCEDURES

B&W Y-12 will adopt and maintain the following types of records and procedures to demonstrate compliance with the requirements and goals of the Small Business Subcontracting Plan.

- A. Source lists (e.g., CCR Dynamic Small Business Search database, formerly PRO-Net) guides and other data that identify SB, SDB, WOSB, HUBZone SB, VOSB, and SDVOSB concerns.
- B. Lists of organizations contacted in an attempt to locate sources that are SB, SDB, WOSB, HUBZone SB, VOSB, or SDVOSB concerns.
- C. Records on each subcontract solicitation resulting in an award of more than \$100,000, indicating:
 1. Whether SB concerns were solicited and, if not, why not
 2. Whether SDB concerns were solicited and, if not, why not
 3. Whether WOSB concerns were solicited and, if not, why not
 4. Whether HUBZone SB concerns were solicited and, if not, why not
 5. Whether VOSB concerns were solicited and, if not, why not
 6. Whether SDVOSB concerns were solicited and, if not, why not

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7. If applicable, the reason an award was not made to an SB concern
- D. Records of any outreach efforts to contact trade associations, business development organizations, conferences, and trade fairs to locate SB, SDB, WOSB, HUBZone SB, VOSB, and SDVOSB sources.
- E. Records of internal guidance and encouragement provided to acquisition personnel through workshops, seminars, training programs, and incentive awards and records of performance monitoring to evaluate compliance with the program's requirements.
- F. On a contract-by-contract basis, records to support award data submitted, including the name, address, and business size of each subcontractor.

This subcontracting plan was submitted by:

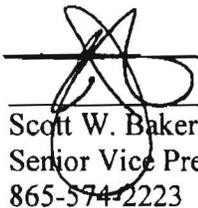
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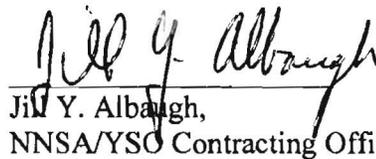


Scott W. Baker
Senior Vice President, Business Services
865-574-2223

Date:

19 Jan 11

Plan accepted by:



Jill Y. Albaugh,
NNSA/YSO Contracting Officer

Date:

25 FEB 11