

<b>AMENDMENT OF SOLICITATION/MODIFICATION OF CONTRACT</b>		1. CONTRACT ID CODE	PAGE OF PAGES 1   1
2. AMENDMENT/MODIFICATION NO. 256	3. EFFECTIVE DATE 09/18/2012	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:
	D. OTHER (Specify type of modification and authority)
X	P.L. 95-91; DEAR 970.5204-2 Laws, Regulations, and DOE Directives

**E. IMPORTANT:** Contractor  is not,  is required to sign this document and return \_\_\_\_\_ copies to the issuing office.

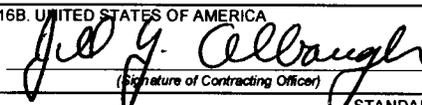
**14. DESCRIPTION OF AMENDMENT/MODIFICATION (Organized by UCF section headings, including solicitation/contract subject matter where feasible.)**

The purpose of this modification is to update Attachments C, E and J to Section J of the contract. Earlier versions are superceded by the attachments. The revised attachments include the following:

- Section J, Attachment C-Small Business Subcontracting Plan (2012)
- Section J, Attachment E-USDOE Requirements Change Notice, No. NNSA-47
- Section J, Attachment J-FY 2013 Performance Evaluation Plan

Period of Performance: 08/31/2000 to 09/30/2012

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)			09/18/2012
		(Signature of Contracting Officer)	

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: \$960,816,000

**Period of Contract Performance:** October 1, 2011 to September 30, 2012

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 \$325,000,000		
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%	\$178.75
Total planned subcontracting with small businesses (includes SB, VOSB, SDVOSB, HUBZone SB, SDB, and WOSB concerns)	45.0%	\$146.25
Total planned subcontracting with veteran-owned small businesses	2.0%	\$6.5
Total planned subcontracting with service-disabled veteran-owned small businesses	1.5%	\$4.87
Total planned subcontracting with HUBZone small businesses	3.0%	\$9.75
Total planned subcontracting with small disadvantaged businesses	11.0%	\$35.75
Total planned subcontracting with women-owned small businesses	11.0%	\$35.75

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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. 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.

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- 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 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.

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- 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.

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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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(\$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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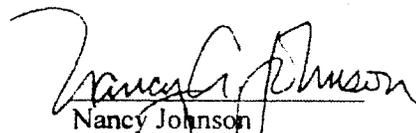
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7. If applicable, the reason an award was not made to an SB concern
- D. Records of any outreach efforts to contact trade associations, business development organizations, conferences, and trade fairs to locate SB, SDB, WOSB, HUBZone SB, VOSB, and 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:

Signed:  
Typed Name:  
Title:  
Phone Number:



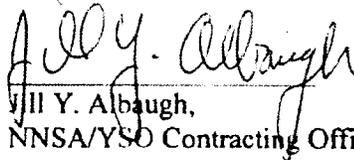
Nancy Johnson

Senior Vice President, Business Services and Performance Assurance

865-574-2223

Date: 12-12-11

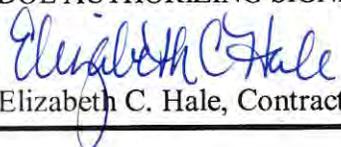
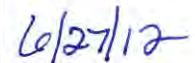
Plan accepted by:



Will Y. Albaugh,

NNSA/YSO Contracting Officer

Date: 23 March 2012

DOE Form (04/1991)  <b>U.S. Department of Energy Requirements Change Notice</b>	No.: NNSA-47								
PROJECT: Baseline List of Required Compliance Documents	Page 1 of 47 Pages								
CONTRACTOR: Babcock & Wilcox Technical Services Y-12, LLC	LOCATION: Oak Ridge, Tennessee								
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-47 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><b>ADDITIONS:</b></p> <table border="0"> <tr> <td>DOE O 551.1D</td> <td>NA SD M 452.3-1, Chg. 1</td> <td>R002, Issue B3</td> <td>R007, Issue A3</td> </tr> <tr> <td>R009, Issue A3</td> <td>R010, Issue A3</td> <td>R012, Issue A4</td> <td></td> </tr> </table> <p><b>DELETIONS:</b></p> <p>CRD Crosswalk, DOE O 482.1      DOE O 551.1C</p> <p><b>UPDATES:</b></p> <p>AL-SD 56 XB, Rev. 2, added an additional note</p> <p>S/RID 1.0 - Revised Records and Document Management Section of the Management Systems Functional Area requirements</p> <p>S/RID 4.0 - Revised Training and Qualification Functional Area requirements</p> <p>S/RID 5.0 - Revised Emergency Management Functional Area requirements</p> <p>S/RID 7.0 - Revised Engineering Program Functional Area requirements</p> <p>S/RID 8.0 - Revised Construction Program Functional Area requirements</p> <p>S/RID 18.0 - Revised the Facility (Nuclear) Safety Functional Area requirements</p> <p>S/RID 19.0 - Revised Occupational Safety and Health Functional Area and the Occupational Health Program Sub-area requirements</p> <p>S/RID 20.0 - Revised Environmental Protection Functional Area requirements</p>		DOE O 551.1D	NA SD M 452.3-1, Chg. 1	R002, Issue B3	R007, Issue A3	R009, Issue A3	R010, Issue A3	R012, Issue A4	
DOE O 551.1D	NA SD M 452.3-1, Chg. 1	R002, Issue B3	R007, Issue A3						
R009, Issue A3	R010, Issue A3	R012, Issue A4							
DOE AUTHORIZING SIGNATURE:   Elizabeth C. Hale, Contracting Officer's Representative for Directives	DATE:  								

OUTLINE OF CHANGES

REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	AUTHORIZATION
<u>RD-1200</u> ----- S/RID 20.0 Rev. 28	03/07/2012	ENVIRONMENTAL PROTECTION		DOE NNSA/YSO Comment/ Concurrence Form – S/RID Chg Pkg #2012-10-EP dtd 03/07/2012  B&W Y-12 ltr dtd 02/07/2012
<p><i>Type 2 change to add one new requirement and replace one requirement (to add implementation assumptions) taken from 40 CFR; delete one requirement taken from 43 CFR since it is implemented by DOE-EM, not NNSA; replace 12 requirements taken from DOE M 435.1-1, “Radioactive Waste Management Manual,” to update their implementation assumptions; replace one requirement taken from TN 1200, “Rules of the Tennessee Department of Environment and Conservation,” to reflect DOE O 458.1, “Radiation Protection of the Public and the Environment,” as the secondary source document; and delete one requirement taken from TN 1200-3-10, and one requirement taken from TN 1200-3-27, both titled “Tennessee Air Quality Act,” since they are no longer applicable to the new Steam Plant.</i></p>				
<u>RD-1201</u> ----- S/RID 4.0 Rev. 26	03/07/2012	TRAINING AND QUALIFICATION		YSO-CRD-06-01, Rev. 3, “Standards/ Requirements Identification Document Requirements” section, paragraph 5.b.(1)  B&W Y-12 e-mail message dtd 03/19/2012  DOE NNSA/YSO Comment/ Concurrence Form – S/RID Chg Pkg #2012-10-EP dtd 03/07/2012  B&W Y-12 ltr dtd 02/07/2012
<p><i>Type 1 change to replace one requirement taken from DOE M 435.1-1, “Radioactive Waste Management Manual,” to update its implementation assumption in order to align with the approved Type 2 change to the Environmental Protection Lead Functional Area.</i></p>				

OUTLINE OF CHANGES

REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	AUTHORIZATION
<u>RD-1202</u> ----- S/RID 8.0 Rev. 47	03/07/2012	CONSTRUCTION PROGRAM		YSO-CRD-06-01, Rev. 3, "Standards/ Requirements Identification Document Requirements" section, paragraph 5.b.(1)  B&W Y-12 e-mail message dtd 03/19/2012  DOE NNSA/YSO Comment/ Concurrence Form – S/RID Chg Pkg #2012-10-EP dtd 03/07/2012  B&W Y-12 ltr dtd 02/07/2012
----- <i>Type 1 change to replace three requirements taken from DOE M 435.1-1, "Radioactive Waste Management Manual," to update their implementation assumptions in order to align with the approved Type 2 change to the Environmental Protection Lead Functional Area.</i>				

OUTLINE OF CHANGES

REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	AUTHORIZATION
<u>RD-1203</u> ----- S/RID 7.0 Rev. 57	03/07/2012	ENGINEERING PROGRAM		YSO-CRD-06-01, Rev. 3, "Standards/ Requirements Identification Document Requirements" section, paragraph 5.b.(1)  B&W Y-12 e-mail message dtd 03/19/2012  DOE NNSA/YSO Comment/ Concurrence Form – S/RID Chg Pkg #2012-10-EP dtd 03/07/2012  B&W Y-12 ltr dtd 02/07/2012
<i>Type 1 change to replace eight requirement taken from DOE M 435.1-1, "Radioactive Waste Management Manual," to update their implementation assumptions in order to align with the approved Type 2 change to the Environmental Protection Lead Functional Area.</i>				
<u>RD-1204</u> ----- S/RID 19.0 Rev 37	03/19/2012	OCCUPATIONAL SAFETY AND HEALTH		DOE NNSA/YSO Comment/ Concurrence Form – S/RID Chg Pkg #2012-12-SH/OSH dtd 03/19/2012  B&W Y-12 ltr dtd 03/08/2012
<i>Type 2 change to change the Lead Functional Area from Engineering to Occupational Safety and Health for a requirement taken from DOE O 442.2, "Differing Professional Opinions for Technical Issues Involving Environmental, Safety, and Health Technical Concerns," dated 07/29/2011.</i>				

OUTLINE OF CHANGES

REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	AUTHORIZATION
<u>RD-1205</u> ----- S/RID 7.0 Rev. 58	03/19/2012	ENGINEERING PROGRAM		YSO-CRD-06-01, Rev. 3, "Standards/ Requirements Identification Document Requirements" section, paragraph 5.b.(1)  B&W Y-12 e-mail message dtd 03/22/2012  DOE NNSA/YSO Comment/ Concurrence Form – S/RID Chg Pkg #2012-12-SH/OSH dtd 03/19/2012  B&W Y-12 ltr dtd 03/08/2012
<i>Type 1 change to change the Lead Functional Area from Engineering to Occupational Safety and Health for a requirement taken from DOE O 442.2, "Differing Professional Opinions for Technical Issues Involving Environmental, Safety, and Health Technical Concerns," dated 07/29/2011.</i>				
<u>RD-1206</u> ----- CRD Crosswalk DOE O 482.1	03/14/2011	Approved Contractor Requirements Document (CRD) Crosswalk Form for DOE O 482.1, DOE Facilities Technology Partnering Programs		DOE ltr dtd 03/20/2012 B&W Y-12 ltr dtd 04/09/2012
<i>Deletion: DOE O 482.1, "DOE Facilities Technology Partnering Programs," was cancelled by DOE N 251.111, "Cancellation of DOE O 482.1," dated 02/10/2012. Additionally, the approved CRD Crosswalk for DOE O 482.1 demonstrates that all of the requirements contained in the Order are duplicative of other contractual requirements from the following sources: 10 CFR 745, "Protection of Human Subjects;" DEAR 970.5217-1, "Work for Others Program (Non-DOE Funded Work);" DEAR 970.5223-1, "Integration of Environment, Safety, and Health into Work Planning and Execution;" DEAR 970.5227-3, "Technology Transfer Mission;" NAP 70.2, "Physical Security;" and NAP 70.4, "Information Security."</i>				

OUTLINE OF CHANGES

REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	AUTHORIZATION
RD-1207 ----- S/RID 18.0 Rev. 23	04/23/2012	FACILITY (NUCLEAR) SAFETY		DOE NNSA/YSO Comment/ Concurrence Form – S/RID Chg Pkg #2012-14-FS dtd 04/23/2012  B&W Y-12 ltr dtd 04/12/2012
<p><i>Type 2 change to delete seven requirements taken from YSO-CRD-07-01, “Authorization Agreements,” Revision 1, dated 02/15/2008, since YSO and B&amp;W Y-12 determined that these requirements are no longer needed in the contract; delete seven requirements taken from YSO-CRD-02-01, “Identification, Evaluation, and control for Non-nuclear Chemical Hazards,” Revision 2, dated 02/15/2008, since deletion was approved by the Y-12 National Security Complex Joint Operating Requirements Review Board ;delete one requirement taken from DOE G 421.1-2, “Implementation Guide for Use in Developing Documented Safety Analysis to Meet Subpart B of 10 CFR 830,” dated 10/24/2001 since the requirement was not carried over into DOE G 421.1-2A, same title, dated 12/19/2011; and replace two requirements taken from 10 CFR, “Energy,” dated 01/24/1997 to reflect the current effective date of 01/01/2012, revise the implementation assumptions to address the use of NA-1 SD G 1027, “Guidance on Using Release Fraction and Modern Dosimetric Information Consistently with DOE-STD-1027-92, Hazard Categorization and Accident Analysis Techniques for Compliance with DOE Order 5480.23, Nuclear Safety Analysis Reports, Change Notice No. 1,” and reflect specific guidance from DOE G 421.1-2A, Section 4.3.</i></p>				

OUTLINE OF CHANGES

REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	AUTHORIZATION
<p><b>RD-1208</b> ----- S/RID 7.0 Rev. 60</p>	<p>04/23/2012</p>	<p>ENGINEERING PROGRAM</p>		<p>YSO-CRD-06-01, Rev. 3, "Standards/ Requirements Identification Document Requirements" section, paragraph 5.b.(1)  B&amp;W Y-12 e-mail message dtd 04/25/2012  DOE NNSA/YSO Comment/ Concurrence Form – S/RID Chg Pkg #2012-14-FS dtd 04/23/2012  B&amp;W Y-12 ltr dtd 04/12/2012</p>
<p><i>Type 1 change to delete two requirements taken from YSO-CRD-07-01, "Authorization Agreements," Revision 1, dated 0215/2008, since YSO and B&amp;W Y-12 determined that these requirements are no longer needed in the contract; delete one requirement taken from YSO-CRD-02-01, "Identification, Evaluation, and control for Non-nuclear Chemical Hazards," Revision 2, dated 02/15/2008, since deletion was approved by the Y-12 National Security Complex Joint Operating Requirements Review Board; and replace one requirement taken from 10 CFR, "Energy," dated 01/24/1997, to reflect the current effective date of 01/01/2012, revise the implementation assumptions to address the use of NA-1 SD G 1027, "Guidance on Using Release Fraction and Modern Dosimetric Information Consistently with DOE-STD-1027-92, Hazard Categorization and Accident Analysis Techniques for Compliance with DOE Order 5480.23, Nuclear Safety Analysis Reports, Change Notice No. 1," and reflect specific guidance from DOE G 421.1-2A, Section 4.3.</i></p>				

OUTLINE OF CHANGES

REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	AUTHORIZATION
<p><u>RD-1209</u> ----- S/RID 8.0 Rev. 48</p>	<p>04/23/2012</p>	<p>CONSTRUCTION PROGRAM</p>		<p>YSO-CRD-06-01, Rev. 3, "Standards/ Requirements Identification Document Requirements" section, paragraph 5.b.(1)  B&amp;W Y-12 e-mail message dtd 04/25/2012  DOE NNSA/YSO Comment/ Concurrence Form – S/RID Chg Pkg #2012-14-FS dtd 04/23/2012  B&amp;W Y-12 ltr dtd 04/12/2012</p>
<p><i>Type 1 change to delete two requirements taken from YSO-CRD-07-01, "Authorization Agreements," Revision 1; dated 02/15/2008, since YSO and B&amp;W Y-12 determined that these requirements are no longer needed in the contract.</i></p>				

OUTLINE OF CHANGES

REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	AUTHORIZATION
<u>RD-1210</u> ----- S/RID 1.0 Rev. 27	04/25/2012	MANAGEMENT SYSTEMS		DOE NNSA/YSO Comment/ Concurrence Form – S/RID Chg Pkg #2012-13-MS dtd 04/25/2012  B&W Y-12 ltr dtd 03/29/2012
<p><i>Type 2 change to the Records and Document Management Section to add one requirement, delete one requirement, and replace 14 requirements with 11 taken from 36 CFR Chapter XII, “National Archives and Records Administration,” dated 07/01/2011. Seven of those were updated to incorporate DOE O 243.1A, “Records Management Program,” dated 11/07/2011, or its successor document, as a secondary source document, and one was updated to incorporate the Contractor Requirements Document Crosswalk for DOE O 243.2, “Vital Records,” approved 02/25/2011, as a secondary source document; replace three requirements with two requirements taken from DE-AC05-00OR22800, “Prime Contract,” one of which was updated to incorporate DOE O 243.1A, or its successor document, as a secondary source document; replace one requirement taken from DOE-STD-1073-2003, “Configuration Management” to update the requirement text; delete one requirement taken from QC-1, Weapon Quality Policy,” Revision 10, since it is covered by 10 CFR 830 (S/RID RUID #9939) where Records and Document Management is a key interface with the Quality Assurance Lead Functional Area; delete one requirement taken from 48 CFR Part 970.407-1 since it is covered by 36 CFR Chapter XII; and replace two requirements taken from QC-1, Revision 10, one of which was updated to incorporate DOE O 243.1A, or its successor document, as a secondary source document.</i></p>				

OUTLINE OF CHANGES

REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	AUTHORIZATION
<p><u>RD-1211</u> ----- S/RID 5.0 Rev. 23</p>	<p>04/25/2012</p>	<p>EMERGENCY MANAGEMENT</p>		<p>YSO-CRD-06-01, Rev. 3, "Standards/ Requirements Identification Document Requirements" section, paragraph 5.b.(1)  B&amp;W Y-12 e-mail message dtd 04/27/2012  DOE NNSA/YSO Comment/ Concurrence Form – S/RID Chg Pkg #2012-13-MS dtd 04/25/2012  B&amp;W Y-12 ltr dtd 03/29/2012</p>
<p><i>Type 1 change to replace a requirement taken from 36 CFR, Chapter XII, to update the requirement text to incorporate DOE O 243.1A, "Records Management Program," or its successor document, and the approved Contractor Requirements Document (CRD) Crosswalk for DOE O 243.2, "Vital Records," as secondary source documents.</i></p>				

OUTLINE OF CHANGES

REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	AUTHORIZATION
<p><u>RD-1212</u> ----- S/RID 8.0 Rev. 61</p>	<p>04/25/2012</p>	<p>ENGINEERING PROGRAM</p>		<p>YSO-CRD-06-01, Rev. 3, "Standards/ Requirements Identification Document Requirements" section, paragraph 5.b.(1)  B&amp;W Y-12 e-mail message dtd 04/27/2012  DOE NNSA/YSO Comment/ Concurrence Form – S/RID Chg Pkg #2012-13-MS dtd 04/25/2012  B&amp;W Y-12 ltr dtd 03/29/2012</p>
<p><i>Type 1 change to replace two requirements taken from 36 CFR, Chapter XII, to update the requirement texts to reflect the 07/01/2011 text, and incorporate DOE O 243.1A, "Records Management Program," as secondary source document in one of those requirements; replace one requirement taken from DE-AC05-00OR22800, "Prime Contract" and one requirement taken from QC-1, "DOE/NNSA Weapon Quality Policy," Revision 10, to incorporate DOE O 243.1A, or its successor document, as a secondary source document; and replace one requirement taken from DOE-STD-1073-2003, "Configuration Management" to update the requirement text;</i></p>				

OUTLINE OF CHANGES

REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	AUTHORIZATION
<u>RD-1213</u> ----- S/RID 8.0 Rev. 49	04/27/2012	CONSTRUCTION PROGRAM		YSO-CRD-06-01, Rev. 3, "Standards/ Requirements Identification Document Requirements" section, paragraph 5.b.(1)  B&W Y-12 e-mail message dtd 04/27/2012  DOE NNSA/YSO Comment/ Concurrence Form – S/RID Chg Pkg #2012-13-MS dtd 04/25/2012  B&W Y-12 ltr dtd 03/29/2012
<i>Type 1 change to replace two requirements taken from 36 CFR, Chapter XII, to update the requirement texts to reflect the 07/01/2011 text, and incorporate DOE O 243.1A, "Records Management Program," or its successor document, as a secondary source document in one of those requirements; replace one requirement taken from DE-AC05-00OR22800, "Prime Contract," to incorporate DOE O 243.1A as a secondary source document; and replace one requirement taken from DOE-STD-1073-2003, "Configuration Management," to update the requirement text.</i>				
<u>RD-1214</u> ----- R002	03/20/2012	RMI System Management	Issue B3 03/20/2012	B&W Y-12 e-mail message dtd 05/10/2012
<i>Modification to incorporate Issue B3, release date 03/20/2012.</i>				
<u>RD 1215</u> ----- R007	03/20/2012	DSW Program Funding Within PPBE Process	Issue A3 03/20/2012	B&W Y-12 e-mail message dtd 05/10/2012
<i>Modification to incorporate Issue A3, release date 03/20/2012.</i>				

OUTLINE OF CHANGES

REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	AUTHORIZATION
<u>RD-1216</u> ----- R009	03/20/2012	Risk and Opportunity Management	Issue A3 03/20/2012	B&W Y-12 e-mail message dtd 05/10/2012
<i>Modification to incorporate Issue A3, release date 03/20/2012 with the following Note: When this document becomes effective, it will supersede Chapter 12.3 of AL-SD 56XB, Revision 2.</i>				
<u>RD-1217</u> ----- R010	04/26/2012	Enterprise Need to Know	Issue A3 04/26/2012	B&W Y-12 e-mail message dtd 05/10/2012
<i>Modification to incorporate Issue A3, release date 04/26/2012.</i>				
<u>RD-1218</u> ----- R012	03/20/2012	Requirements Engineering	Issue A4 03/20/2012	B&W Y-12 e-mail message dtd 05/10/2012
<i>Modification to incorporate Issue A4, release date 03/20/2012.</i>				
<u>RD-1219</u> ----- NA SD M 452.3-1	12/10/2009	Defense Programs Business Requirements and Process Manual	Change 1 07/13/2010	B&W Y-12 e-mail message dtd 05/10/2012
<i>Modification to incorporate Change 1, dated 07/13/2010, with the following compliance line: Full implementation of this directive is contingent upon an impact assessment of all initial releases of the documents associated with RMI.</i>				
<u>RD-1220</u> ----- S/RID 19.0 Rev 38	05/14/2012	OCCUPATIONAL SAFETY AND HEALTH		DOE NNSA/YSO Comment/ Concurrence Form – S/RID Chg Pkg #2012-16-SH/OSH dtd 05/14/2012  B&W Y-12 ltr dtd 04/26/2012
<i>Type 2 change to replace one requirement taken from DOE-STD-1090-2007, “Hoisting and Rigging,” dated 08/2007; and one requirement taken from 10 CFR, “Energy,” Part 851, “Worker Safety and Health Program,” to incorporate selected requirements taken from DOE-STD-1090-2011, “Hoisting and Rigging,” dated 09/2011, into the implementation assumption text. The sections of DOE-STD-1090-2011 identified for inclusion were Section 1, “Ordinary Lifts;” Section 2, “Critical Lifts;” and Section 3, “Pre-engineered Production Lifts.”</i>				

OUTLINE OF CHANGES

REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	AUTHORIZATION
<u>RD-1221</u> ----- S/RID 8.0 Rev. 50	05/14/2012	CONSTRUCTION PROGRAM		YSO-CRD-06-01, Rev. 3, "Standards/ Requirements Identification Document Requirements" section, paragraph 5.b.(1)  B&W Y-12 e-mail message dtd 05/16/2012  DOE NNSA/YSO Comment/ Concurrence Form – S/RID Chg Pkg #2012-16-SH/OSH dtd 05/14/2012  B&W Y-12 ltr dtd 04/26/2012
<p><i>Type 1 change to replace one requirement taken from 10 CFR, "Energy," Part 851, "Worker Safety and Health Program," to incorporate selected requirements taken from DOE-STD-1090-2011, "Hoisting and Rigging," dated 09/2011, into the implementation assumption text. The sections of DOE-STD-1090-2011 identified for inclusion were Section 1, "Ordinary Lifts;" Section 2, "Critical Lifts;" and Section 3, "Pre-engineered Production Lifts." This change was made to align with the approved Type 2 change in the Occupational Safety and Health Function al Area.</i></p>				

OUTLINE OF CHANGES

REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	AUTHORIZATION
<u>RD-1222</u> ----- S/RID 7.0 Rev. 62	05/14/2012	ENGINEERING PROGRAM		YSO-CRD-06-01, Rev. 3, "Standards/ Requirements Identification Document Requirements" section, paragraph 5.b.(1)  B&W Y-12 e-mail message dtd 05/16/2012  DOE NNSA/YSO Comment/ Concurrence Form – S/RID Chg Pkg #2012-16-SH/OSH dtd 05/14/2012  B&W Y-12 ltr dtd 04/26/2012
<p><i>Type 1 change to replace one requirement taken from 10 CFR, "Energy," Part 851, "Worker Safety and Health Program," to incorporate selected requirements taken from DOE-STD-1090-2011, "Hoisting and Rigging," dated 09/2011, into the implementation assumption text. The sections of DOE-STD-1090-2011 identified for inclusion were Section 1, "Ordinary Lifts;" Section 2, "Critical Lifts;" and Section 3, "Pre-engineered Production Lifts." This change was made to align with the approved Type 2 change in the Occupational Safety and Health Functional Area.</i></p>				

OUTLINE OF CHANGES

REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	AUTHORIZATION
<p><u>RD-1223</u> ----- S/RID 7.0 Rev. 63</p>	<p>05/17/2012</p>	<p>ENGINEERING PROGRAM</p>		<p>YSO-CRD-06-01, Rev. 3, "Standards/ Requirements Identification Document Requirements" section, paragraph 5.b.(1)</p> <p>B&amp;W Y-12 e-mail messages dated 05/17/2012 and 03/13/2012</p> <p>NNSA/YSO Comment/ Concurrence Form, Implementation Plan (Revised) Approval (with Comments) dtd 02/27/2012</p>
<p><i>Type 1 change to remove the "Official Use Only" designation from four requirements taken from DOE M 441.1-1, "Nuclear Material Packaging Manual." This change was made to S/RID RUID #11768, #11769, #11770, and #11771, based on a determination made by the B&amp;W Y-12 Subject Matter Expert and a Derivative Classifier (DC)/Unclassified Controlled Nuclear Information (UCNI) Reviewing Official.</i></p>				

OUTLINE OF CHANGES

REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	AUTHORIZATION
<u>RD-1224</u> ----- S/RID 7.0 Rev. 59	05/21/2012	ENGINEERING PROGRAM		NNSA/YSO Comment/ Concurrence Form, S/RID Chg Pkg #2012-15-EG-dtd 05/21/2012  B&W Y-12 ltr dtd 04/24/2012
<p><i>Type 2 change to replace a requirement taken from DOE-STD-3024-98, "Content of System Design Descriptions," dated 10/31/1998, with a requirement taken from DOE-STD-3024-2011, "Content of System Design Descriptions," dated 04/2012; and replace 13 requirements taken from DOE O 420.1B, "Facility Safety," Change 1, dated 04/19/2010, to reflect a change in the implementation assumptions to be consistent with the applicability requirements for new DOE hazard category 1, 2, and 3 nuclear facilities.</i></p>				
<u>RD-1225</u> ----- S/RID 8.0 Rev. 52	05/21/2012	CONSTRUCTION PROGRAM		YSO-CRD-06-01, Rev. 3, "Standards/ Requirements Identification Document Requirements" section, paragraph 5.b.(1)  B&W Y-12 e-mail message dtd 05/23/2012  DOE NNSA/YSO Comment/ Concurrence Form – S/RID Chg Pkg #2012-15-EG dtd 05/21/2012  B&W Y-12 ltr dtd 04/24/2012
<p><i>Type 1 change to update the implementation assumptions for a requirement taken from DOE O 420.1B, "Facility Safety," Change 1, dated 04/19/2010 to be consistent with the applicability requirements for new DOE hazard category 1, 2, and 3 nuclear facilities. This change was made to align with the approved Type 2 change in the Engineering Program Lead Functional Area.</i></p>				

OUTLINE OF CHANGES

REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	AUTHORIZATION
<u>RD-1226</u> DOE O 551.1D	04/02/2012	Official Foreign Travel		DOE ltr dtd 04/26/2012 B&W Y-12 ltr dtd 05/22/2012
<i>Addition</i>				
<u>RD-1227</u> DOE O 551.1C	06/24/2008	Official Foreign Travel		DOE ltr dtd 04/26/2012 B&W Y-12 ltr dtd 05/22/2012
<i>Deletion: This Order was cancelled by DOE O 551.1D.</i>				
<u>RD-1228</u> S/RID 7.0 Rev. 51	05/23/2012	CONSTRUCTION PROGRAM		NNSA/YSO Comment/ Concurrence Form, S/RID Chg Pkg #2012-17-CP-dtd 05/23/2012  B&W Y-12 ltr dtd 05/22/2012
<i>Type 2 change to replace two requirements taken from the Standard Building Code with two requirements taken from the International Building Code.</i>				
<u>RD-1229</u> AL-SD 56XB, Revision 2	03/31/2004	Development and Production Manual	Change 10 08/22/2007	B&W Y-12 e-mail message dtd 05/10/2012
<i>Addition of the following additional Note: Chapter 12.3 will be superseded by R009, Issue A3, when it becomes effective.</i>				

**BASELINE LIST OF  
REQUIRED COMPLIANCE DOCUMENTS**

**List B – List of Applicable Directives**

<b>DOE DIRECTIVES</b>				
DOE Directives can be found at the following Internet address: <a href="https://www.directives.doe.gov/">https://www.directives.doe.gov/</a>				
REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	NOTES AND COMMENTS
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		
DOE O 142.2A	12/15/2006	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 142.3A	10/14/2010	UNCLASSIFIED FOREIGN VISITS AND ASSIGNMENTS PROGRAM		
DOE O 205.1B	05/16/2011	DEPARTMENT OF ENERGY CYBER SECURITY PROGRAM		
<i>Compliance: Compliance will be contingent upon YSO approval of equivalent standards and processes to be used in concert with an approved B&amp;W Y-12 Cyber Security Program Plan and selected NNSA Cyber Security Program guidance.</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>				
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>				

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REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	NOTES AND COMMENTS
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		
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 210.2A	04/08/2011	DOE CORPORATE OPERATING EXPERIENCE PROGRAM		
DOE O 221.1A	04/19/2008	REPORTING FRAUD, WASTE AND ABUSE TO THE OFFICE OF INSPECTOR GENERAL		
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&amp;W Y-12's employees, subcontractors, or other support personnel.</i>				

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REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	NOTES AND COMMENTS
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 227.1	08/30/2011	INDEPENDENT OVERSIGHT PROGRAM		
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.
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

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<b>REQUIRED COMPLIANCE DOCUMENT</b>	<b>DATE</b>	<b>TITLE</b>	<b>THROUGH CHANGE</b>	<b>NOTES AND COMMENTS</b>
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 O 252.1A	02/23/2011	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	Chapters VIII and IX are implemented in accordance with the approved CRD Crosswalk Forms for those Chapters.
DOE O 350.2B	05/31/2011	USE OF MANAGEMENT AND OPERATING OR OTHER FACILITY MANAGEMENT CONTRACTOR EMPLOYEES FOR SERVICES TO DOE IN THE WASHINGTON, D.C., AREA		
DOE O 410.1	08/27/2007	CENTRAL TECHNICAL AUTHORITY RESPONSIBILITIES REGARDING NUCLEAR SAFETY REQUIREMENTS		

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REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	NOTES AND COMMENTS
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 in accordance with the revised UPF Implementation Plan approved by DOE on 07/26/2011.</i>				
DOE O 430.1B	09/24/2003	REAL PROPERTY ASSET MANAGEMENT	1 02/08/2008	
DOE O 443.1B	03/17/2011	PROTECTION OF HUMAN RESEARCH 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		

**BASELINE LIST OF  
REQUIRED COMPLIANCE DOCUMENTS**

**List B – List of Applicable Directives**

<b>DOE DIRECTIVES</b>				
DOE Directives can be found at the following Internet address: <a href="https://www.directives.doe.gov/">https://www.directives.doe.gov/</a>				
REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	NOTES AND COMMENTS
DOE O 452.7	05/14/2010	PROTECTION OF USE CONTROL VULNERABILITIES AND DESIGNS		
DOE O 452.8	07/21/2011	CONTROL OF NUCLEAR WEAPON DATA		
<i>Compliance: Compliance will be contingent upon an impact assessment to be based on receipt of NAP 70.7, "Protection Program Administration."</i>				
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 N 470.2	12/15/2000	REPORTING UNOFFICIAL FOREIGN TRAVEL		Extended until 12/31/2001 by DOE N 251.40.
DOE O 470.3B	08/12/2008	GRADED SECURITY PROTECTION (GSP) POLICY		
<i>Compliance: Compliance will be in accordance with the 2011 Site Safeguards and Security Plan, and the Area 5 Vulnerability Assessment Report approved by DOE NA-70 on 09/12/2011.</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>				

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REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	NOTES AND COMMENTS
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>				
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.

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<b>REQUIRED COMPLIANCE DOCUMENT</b>	<b>DATE</b>	<b>TITLE</b>	<b>THROUGH CHANGE</b>	<b>NOTES AND COMMENTS</b>
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.
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 471.5	03/29/2011	SPECIAL ACCESS PROGRAMS (OUO)		
DOE O 472.2	07/21/2011	PERSONNEL SECURITY		
DOE O 475.1	12/10/2004	COUNTERINTELLIGENCE PROGRAM		
DOE O 475.2A	02/01/2011	IDENTIFYING CLASSIFIED INFORMATION		
DOE M 481.1-1A	01/03/2001	REIMBURSABLE WORK FOR NON-FEDERAL SPONSORS PROCESS MANUAL	1 09/28/2001	
DOE M 483.1-1	01/12/2001	DOE COOPERATIVE RESEARCH AND DEVELOPMENT AGREEMENTS MANUAL		
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>				

**BASELINE LIST OF  
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<b>DOE DIRECTIVES</b>				
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REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	NOTES AND COMMENTS
<b>DOE O 551.1D</b>	<b>04/02/2012</b>	<b>OFFICIAL FOREIGN TRAVEL</b>		
DOE O 580.1	12/07/2005	DEPARTMENT OF ENERGY PERSONAL PROPERTY MANAGEMENT PROGRAM		
<i>Compliance: Compliance will be in accordance with B&amp;W Y-12 letter dated 11/18/2009.</i>				
DOE 2340.1C	06/08/1992	COORDINATION OF GENERAL ACCOUNTING OFFICE ACTIVITIES		See Footnote (1)
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>				

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

<b>ALBUQUERQUE DIRECTIVES (ALs)</b>				
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<b>REQUIRED COMPLIANCE DOCUMENT</b>	<b>DATE</b>	<b>TITLE</b>	<b>THROUGH CHANGE</b>	<b>NOTES AND COMMENTS</b>
<b>AL-SD 56XB, Revision 2</b>	03/31/2004	DEVELOPMENT AND PRODUCTION MANUAL	10 08/22/2007	Chapter 2.3 will be superseded by R003, Issue A, when it becomes effective.  Chapter 2.4 will be superseded by R006, Issue A, when it becomes effective.  Chapter 3.2 (excluding Phases 6.1 and 6.6) will be superseded by R001, Issue A and R006, Issue A, when they become effective.  Chapters 8.1 and 8.5 will be superseded by R005, Issue A, when it becomes effective.  <b>Chapter 12.3 will be superseded by R009, Issue A3, when it becomes effective.</b>

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<b>REQUIRED COMPLIANCE DOCUMENT</b>	<b>DATE</b>	<b>TITLE</b>	<b>THROUGH CHANGE</b>	<b>NOTES AND COMMENTS</b>
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		
PRS12005	01/13/2011	PDMLINK STANDARD INSTALLATION AND CONFIGURATIONS	Issue B	
<i>Compliance: Compliance will be contingent upon receipt of further information on requirements currently identified as "TBD."</i>				
PSLM	02/16/2006	PRIMARY STANDARDS LABORATORY MEMORANDUM		
C019	06/16/2010	CONTROL PRODUCT DEFINITION	Issue A	
<i>Compliance: Compliance with this document will be contingent upon DOE, NNSA's final determination of the effective date.</i>				
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.
<i>Compliance: Compliance with this document will be contingent upon DOE, NNSA's final determination of the effective date.</i>				

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<b>REQUIRED COMPLIANCE DOCUMENT</b>	<b>DATE</b>	<b>TITLE</b>	<b>THROUGH CHANGE</b>	<b>NOTES AND COMMENTS</b>
R002	05/09/2011	RMI SYSTEM MANAGEMENT	Issue B3 03/20/2012	
R003	03/24/2010	PRODUCT DEFINITION CONTROL	Issue A	Supersedes Chapter 2.3 of AL-SD 56XB, Revision 2.
<i>Compliance: Compliance with this document will be contingent upon DOE, NNSA's final determination of the effective date.</i>				
R005	03/12/2010	NEW MATERIAL AND STOCKPILE EVALUATION	Issue A	Supersedes Chapters 8.1 and 8.5 of AL-SD 56XB, Revision 2.
<i>Compliance: Compliance with this document will be contingent upon DOE, NNSA's final determination of the effective date.</i>				
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.
<i>Compliance: Compliance with this document will be contingent upon DOE, NNSA's final determination of the effective date.</i>				
R007	03/29/2010	DSW PROGRAM FUNDING WITHIN PPBE PROCESS	Issue A3 03/20/2012	
R008	11/09/2010	PORTFOLIO-PROGRAM-PROJECT MANAGEMENT	Issue A	
<i>Compliance: Compliance with this document will be contingent upon DOE, NNSA's final determination of the effective date.</i>				

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<b>REQUIRED COMPLIANCE DOCUMENT</b>	<b>DATE</b>	<b>TITLE</b>	<b>THROUGH CHANGE</b>	<b>NOTES AND COMMENTS</b>
<b>R009</b>	<b>03/29/2010</b>	<b>RISK AND OPPORTUNITY MANAGEMENT</b>	<b>Issue A3 03/20/2012</b>	<b>When it becomes effective, this document will supersede Chapter 12.3 of AL-SD 56XB, Revision 2.</b>
<b>R010</b>	<b>03/07/2011</b>	<b>ENTERPRISE NEED TO KNOW</b>	<b>Issue A3 04/26/2012</b>	
<b>R012</b>	<b>06/16/2010</b>	<b>REQUIREMENTS ENGINEERING</b>	<b>Issue A4 03/20/2012</b>	
<b>TBP-CM</b>	<b>02/14/2005</b>	<b>CONFIGURATION MANAGEMENT</b>	<b>Issue A</b>	
<b>TBP-PRP</b>	<b>05/04/2001</b>	<b>PRODUCT REALIZATION PROCESS</b>	<b>Issue E</b>	
<b>TBP-SYS</b>	<b>10/20/2004</b>	<b>NWC TECHNICAL BUSINESS PRACTICE SYSTEM</b>	<b>Issue H</b>	
<b>TBP-000</b>	<b>05/04/2001</b>	<b>PROGRAM MANAGEMENT</b>	<b>Issue E</b>	
<b>TBP-001</b>	<b>10/02/2000</b>	<b>MAJOR ASSEMBLY RELEASE SYSTEM</b>	<b>Issue C</b>	
<b>TBP-100</b>	<b>09/16/2005</b>	<b>CONCURRENT QUALIFICATION</b>	<b>Issue G</b>	
<b>TBP-101</b>	<b>01/22/2007</b>	<b>ENGINEERING EVALUATION PROCESS</b>	<b>Issue H</b>	
<b>TBP-200</b>	<b>09/18/2006</b>	<b>PRODUCT IDENTIFICATION AND TRACEABILITY</b>	<b>Issue E</b>	

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<a href="http://prp.sandia.gov/">http://prp.sandia.gov/</a>				
<b>REQUIRED COMPLIANCE DOCUMENT</b>	<b>DATE</b>	<b>TITLE</b>	<b>THROUGH CHANGE</b>	<b>NOTES AND COMMENTS</b>
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	
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	

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<b>REQUIRED COMPLIANCE DOCUMENT</b>	<b>DATE</b>	<b>TITLE</b>	<b>THROUGH CHANGE</b>	<b>NOTES AND COMMENTS</b>
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	
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	

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REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	NOTES AND COMMENTS
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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<b>OTHER APPLICABLE DOCUMENTS</b>				
<b>REQUIRED COMPLIANCE DOCUMENT</b>	<b>DATE</b>	<b>TITLE</b>	<b>THROUGH CHANGE</b>	<b>NOTES AND COMMENTS</b>
41 CFR 102-192	08/25/2008	MAIL MANAGEMENT		
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>				
CRD Crosswalk DOE O 200.1A	02/22/2011	APPROVED CONTRACTOR REQUIREMENTS DOCUMENT (CRD) CROSSWALK FORM FOR DOE O 200.1A, INFORMATION TECHNOLOGY MANAGEMENT		This crosswalk is for DOE O 200.1A, dated 12/23/2008.
CRD Crosswalk DOE O 350.1, Chapter VIII	03/08/2011	APPROVED CONTRACTOR REQUIREMENTS DOCUMENT (CRD) CROSSWALK FORM FOR DOE O 350.1, CHG. 3, CHAPTER VIII, SUBSTANCE ABUSE PROGRAMS		This crosswalk is for DOE O 350.1, Chg. 3, Ch. VIII, dated 02/23/2010.

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<b>REQUIRED COMPLIANCE DOCUMENT</b>	<b>DATE</b>	<b>TITLE</b>	<b>THROUGH CHANGE</b>	<b>NOTES AND COMMENTS</b>
CRD Crosswalk DOE O 350.1, Chapter IX	03/08/2011	APPROVED CONTRACTOR REQUIREMENTS DOCUMENT (CRD) CROSSWALK FORM FOR DOE O 350.1, CHG. 3, CHAPTER IX, EMPLOYEE CONCERNS PROGRAMS		This crosswalk is for DOE O 350.1, Chg. 3, Ch. IX, dated 02/23/2010.
CRD Crosswalk DOE O 442.1A	03/14/2011	APPROVED CONTRACTOR REQUIREMENTS DOCUMENT (CRD) CROSSWALK FORM FOR DOE O 442.1A, EMPLOYEE CONCERNS PROGRAM		This crosswalk is for DOE O 442.1A, dated 06/06/2001.
CRD Crosswalk DOE O 483.1	03/24/2011	APPROVED CONTRACTOR REQUIREMENTS DOCUMENT (CRD) CROSSWALK FORM FOR DOE O 483.1, DOE COOPERATIVE RESEARCH AND DEVELOPMENT AGREEMENTS		This crosswalk is for DOE O 483.1, dated 01/12/2001.
CRD Crosswalk DOE O 484.1	03/24/2011	APPROVED CONTRACTOR REQUIREMENTS DOCUMENT (CRD) CROSSWALK FORM FOR DOE O 484.1, REIMBURSABLE WORK FOR THE DEPARTMENT OF HOMELAND SECURITY		This crosswalk is for DOE O 484.1, dated 12/23/2008.
CRD Crosswalk DOE O 522.1	03/24/2011	APPROVED CONTRACTOR REQUIREMENTS DOCUMENT (CRD) CROSSWALK FORM FOR DOE O 522.1, PRICING OF DEPARTMENTAL MATERIALS AND SERVICES		This crosswalk is for DOE O 522.1, dated 11/03/2004.
<p><i>Compliance: B&amp;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&amp;W Y-12 Cost Accounting Standards Board Disclosure Statement.</i></p>				

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<b>REQUIRED COMPLIANCE DOCUMENT</b>	<b>DATE</b>	<b>TITLE</b>	<b>THROUGH CHANGE</b>	<b>NOTES AND COMMENTS</b>
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		
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>				
DOE-HQ Memorandum	07/06/2011	APPROVED MEANS FOR TRANSMISSION OF MEDIA CONTAINING SENSITIVE UNCLASSIFIED INFORMATION		
EO 13502	02/06/2009	USE OF PROJECT LABOR AGREEMENTS FOR FEDERAL CONSTRUCTION PROJECTS		
MANUAL	04/01/2007	BASELINE SECURITY MANUAL (OFFICIAL USE ONLY)		
NA SD O 350.2	11/16/2011	USE OF MANAGEMENT AND OPERATING CONTRACTOR EMPLOYEES FOR SERVICES TO NNSA IN THE WASHINGTON, D. C. AREA		
NA SD M 452.3-1	12/10/2009	<b>DEFENSE PROGRAMS BUSINESS REQUIREMENTS AND PROCESSES MANUAL</b>	<b>1 07/13/2010</b>	
<i>Compliance: Full implementation of this directive is contingent upon an impact assessment of all initial releases of the documents associated with RMI.</i>				

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<b>REQUIRED COMPLIANCE DOCUMENT</b>	<b>DATE</b>	<b>TITLE</b>	<b>THROUGH CHANGE</b>	<b>NOTES AND COMMENTS</b>
NAP 14.1-C	05/02/2008	NNSA BASELINE CYBER SECURITY PROGRAM		See Footnote (2)
NAP 14.2-C	05/02/2008	NNSA CERTIFICATION AND ACCREDITATION (C&A) PROCESS FOR INFORMATION SYSTEMS		See Footnote (2)
NAP 14.3-B	05/02/2008	TRANSMISSION OF RESTRICTED DATA OVER SECRET INTERNET PROTOCOL ROUTER NETWORK (SIPRNet)		See Footnote (2)
NAP-21	02/28/2011	TRANSFORMATIONAL GOVERNANCE AND OVERSIGHT		
<i>Compliance: Compliance with those chapters currently identified as “to be developed” will be contingent upon an impact assessment to be completed as they are developed and issued.</i>				
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		
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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<b>STANDARDS/REQUIREMENTS IDENTIFICATION DOCUMENTS (S/RIDs)</b>				
<b>FUNCTIONAL AREA (FA)</b>	<b>TITLE</b>	<b>REVISION NUMBER</b>	<b>DOE/YSO APPROVAL DATE</b>	<b>NOTES AND COMMENTS</b>
<b>1.0</b>	<b>MS - Management Systems</b>	<b>27</b>	<b>04/25/2012</b>	
2.0	QA - Quality Assurance	16	11/14/2011	
3.0	CM - Configuration Management	12	01/10/2012	Type 1 Change
<b>4.0</b>	<b>TQ - Training and Qualification</b>	<b>26</b>	<b>03/07/2012</b>	<b>Type 1 Change</b>
<b>5.0</b>	<b>EM - Emergency Management</b>	<b>23</b>	<b>04/25/2012</b>	<b>Type 1 Change</b>
<b>7.0</b>	<b>EG - Engineering Program</b>	<b>63</b>	<b>05/17/2012</b>	<b>Type 1 Change</b>
<b>8.0</b>	<b>CP - Construction Program</b>	<b>52</b>	<b>05/21/2012</b>	<b>Type 1 Change</b>
9.0	OP - Operations	7	11/17/2010	
10.0	MA - Maintenance	20	02/28/2012	Type 1 Change
11.0	RP - Radiation Protection	14	01/12/2012	
12.0	FP - Fire Protection	19	11/16/2011	
13.0	TR - Packaging and Transportation	24	01/12/2012	
<b>18.0</b>	<b>FS - Facility (Nuclear) Safety</b>	<b>23</b>	<b>04/23/2012</b>	
<b>19.0</b>	<b>SH - Occupational Safety and Health</b>	<b>38</b>	<b>05/14/2012</b>	
<b>20.0</b>	<b>EP - Environmental Protection</b>	<b>28</b>	<b>03/07/2012</b>	
21.0	CS - Nuclear Criticality Safety	7	02/02/2012	

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<b>10 CFR</b>	<b>01/01/2012</b>	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
<b>36 CFR</b>	<b>07/01/2011</b>	PARKS, FORESTS, AND PUBLIC PROPERTY		MS, EM, EG, CP, FP, EP
40 CFR		PROTECTION OF THE ENVIRONMENT		EP, EM, EG, CP, TR, FS, SH
40 CFR 144		SAFE DRINKING WATER ACT		EP
49 CFR	10/01/2000	TRANSPORTATION		TR, TQ, EM
50 CFR		WILDLIFE AND FISHERIES		EP
5480.21	12/24/1991	UNREVIEWED SAFETY QUESTIONS		TQ
DE-AC05-00OR22800	08/31/2000	B&W Y-12, LLC. CONTRACT WITH DOE/NNSA		MS, EG, CP
DOE O 150.1	05/08/2008	CONTINUITY PROGRAMS		EM
DOE O 151.1C	11/02/2005	COMPREHENSIVE EMERGENCY MANAGEMENT SYSTEM		EM, EG, CP, TQ
DOE O 153.1	06/27/2007	DEPARTMENTAL RADIOLOGICAL EMERGENCY RESPONSE ASSETS		EM
DOE O 225.1B	03/04/2011	ACCIDENT INVESTIGATIONS		SH, EG, CP

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DOE O 226.1B	04/25/2011	IMPLEMENTATION OF DEPARTMENT OF ENERGY OVERSIGHT POLICY		QA, TQ
DOE O 231.1B	06/27/2011	ENVIRONMENT, SAFETY AND HEALTH REPORTING		FP, SH, EP, RP
DOE O 232.2	08/30/2011	OCCURRENCE REPORTING AND PROCESSING OF OPERATIONS INFORMATION		MS
DOE O 341.1A	10/18/2007	FEDERAL EMPLOYEE HEALTH SERVICES		SH
DOE O 414.1D	04/25/2011	QUALITY ASSURANCE		QA, TQ
DOE O 420.1B	12/22/2005	FACILITY SAFETY	1 04/19/2010	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		FP, EG
DOE O 422.1	06/29/2010	CONDUCT OF OPERATIONS		OP, CM, TQ, EG, CP
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		TQ, CM, EG, CP
DOE O 430.1B	09/24/2003	REAL PROPERTY ASSET MANAGEMENT		MA, EG

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DOE O 433.1B	04/21/2010	MAINTENANCE MANAGEMENT PROGRAM FOR DOE NUCLEAR FACILITIES		MA, CM, TQ, EG, CP
DOE M 435.1-1	07/09/1999	RADIOACTIVE WASTE MANAGEMENT MANUAL	2 06/08/2011	EP, TQ, EG, CP
DOE O 435.1	07/09/1999	RADIOACTIVE WASTE MANAGEMENT	1 08/28/2001	EP
DOE O 436.1	05/02/2011	DEPARTMENTAL SUSTAINABILITY		MA, EP
DOE O 440.2C	06/15/2011	AVIATION MANAGEMENT AND SAFETY	1 06/22/2011	TR
DOE M 441.1-1	03/07/2008	NUCLEAR MATERIAL PACKAGING MANUAL		EG
<b>DOE O 442.2</b>	07/29/2011	DIFFERING PROFESSIONAL OPINIONS FOR TECHNICAL ISSUES INVOLVING ENVIRONMENTAL, SAFETY AND HEALTH TECHNICAL CONCERNS		<b>SH, EG</b>
DOE P 456.1	09/15/2005	SECRETARIAL POLICY STATEMENT ON NANOSCALE SAFETY		SH
DOE O 458.1	02/11/2011	RADIATION PROTECTION OF THE PUBLIC AND THE ENVIRONMENT	2 06/06/2011	EP, RP, EG, CP
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

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DOE O 461.1A	04/26/2004	PACKAGING AND TRANSFER OR TRANSPORTATION OF MATERIALS OF NATIONAL SECURITY INTEREST		TR
DOE O 461.1B	12/16/2010	PACKAGING AND TRANSPORTATION FOR OFFSITE SHIPMENT OF MATERIALS OF NATIONAL SECURITY INTEREST		TR, TQ
DOE O 461.2	11/01/2010	ONSITE PACKAGING AND TRANSFER OF MATERIALS OF NATIONAL SECURITY INTEREST		TR
DOE M 470.4-1	08/26/2005	SAFEGUARDS AND SECURITY PROGRAM PLANNING AND MANAGEMENT	1 03/07/2006	EM
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
DOE-STD-1073- 2003	10/2003	CONFIGURATION MANAGEMENT		CM, EG, CP, MS
DOE-STD-1083- 2009	06/2009	PROCESSING EXEMPTIONS TO NUCLEAR SAFETY RULES AND APPROVAL OF ALTERNATIVE METHODS FOR DOCUMENTED SAFETY ANALYSES		MS
DOE-STD-1095- 2011	01/2011	DEPARTMENT OF ENERGY LABORATORY ACCREDITATION FOR EXTERNAL DOSIMETRY		RP

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DOE-STD-1189-2008	03/01/2008	INTEGRATION OF SAFETY INTO THE DESIGN PROCESS		EG
DOE-STD-1195-2011	04/30/2011	DESIGN OF SAFETY SIGNIFICANT SAFETY INSTRUMENTED SYSTEMS USED AT DOE NONREACTOR NUCLEAR FACILITIES		EG
DOE-STD-3003-2000	01/31/2000	DOE STANDARD - BACKUP POWER SOURCES FOR DOE FACILITIES		EG
<b>DOE-STD-3024-2011</b>	<b>08/31/2011</b>	<b>CONTENT OF SYSTEM DESIGN DESCRIPTIONS</b>		<b>EG</b>
EO 12898		ENVIRONMENTAL JUSTICE		EP
FFCA		FEDERAL FACILITIES COMPLIANCE ACT		EP
<b>INTERNATIONAL BUILDING CODE (IBC)</b>		<b>INTERNATIONAL CODE COUNCIL (ICC)</b>		<b>CP</b>
NAP 70.2	07/02/2010	PHYSICAL PROTECTION		TR, TQ
NFPA CODES AND STANDARDS	04/23/1998	CODES AND STANDARDS		FP, EG, CP
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)		QA, MS, EG

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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		EP, CP
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 1200-3-20		TENNESSEE AIR QUALITY ACT		EP
TN 1200-4-5		TENNESSEE WATER QUALITY CONTROL ACT		EP
TN 1200-5-8	10/19/2003	WATER REGISTRATION REQUIREMENTS		EP

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TN OVERSIGHT AGREEMENT	06/06/2006	TENNESSEE OVERSIGHT AGREEMENT (TOA)		EM, EP
TWRA		TENNESSEE WILDLIFE RESOURCES AGENCY (TWRA) BOATING REGULATIONS		TR
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

**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.

Fiscal Year 2013  
NNSA Strategic Performance Evaluation Plan (PEP)

FOR

Management and Operation of the  
Babcock and Wilcox Technical Services Y-12, LLC

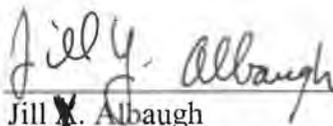
Contract Number: DE-AC05-00OR22800

Performance period: October 01, 2012 through September 30, 2013

 8/31/12  
\_\_\_\_\_  
Date  
Charles G. Spencer  
President and General Manager  
Babcock & Wilcox Technical Services Y-12, LLC

 8/30/12  
\_\_\_\_\_  
Date  
Steven C. Erhart  
Manager, NNSA Production Office  
National Nuclear Security Administration

 31 Aug 12  
\_\_\_\_\_  
Date  
Willie J. Wilson  
Manager, Contracts & Special Initiatives  
Babcock & Wilcox Technical Services Y-12, LLC

 31 Aug 2012  
\_\_\_\_\_  
Date  
Jill Y. Albaugh  
Contracting Officer  
NPO Y-12  
National Nuclear Security Administration

## **INTRODUCTION**

Y-12 National Security Complex is managed by Babcock & Wilcox Technical Services Y-12, LLC, herein referenced as "Contractor", for the U.S. Department of Energy (DOE), National Nuclear Security Administration (NNSA). Pursuant to the terms and conditions of the Contract, and Clause I.154 DEAR 970.5215-1 Total Available Fee: Base Fee Amount and Performance Fee Amount (Dec 2000), this Performance Evaluation Plan (PEP) sets forth the criteria in which the Contractor's performance will be evaluated and upon which the determination of the amount of award fee earned shall be based. The available award fee amounts for FY 2013 are specified in B.2 Transition Cost, Estimated Cost, Maximum Available Fee and Available Fee of Contract No. DE-AC05-00OR22800.

The performance-based approach evaluates the Contractor's performance through a set of performance objectives (PO). Each PO will be measured on demonstrated performance and its impact to the NNSA mission. Critical factors and applicable site specific outcomes will be assessed in the aggregate to establish an adjectival performance rating for each Performance Objective. This PEP evaluates Contractor performance and promotes a new Governance and Oversight framework based on prudent management of risk, accountability, and renewed trust. It has been written to implement the collective governance and oversight reform principles as expressed by the Deputy Secretary of Energy and the NNSA Administrator.

## **PERFORMANCE MEASUREMENT AND OVERSIGHT**

The Contractor is accountable for successfully executing the work in accordance with applicable NNSA safety and security requirements while assessing its performance against the terms and conditions of the Contract. Protection of worker and public safety, the environment, and security are essential and implicit elements of successful mission performance. Accordingly, the model for this PEP is to rely on the Contractor's leadership in utilizing appropriate DOE contractual requirements or recognized industrial standards based on consideration of assurance systems, and the related measures, metrics, and evidence. The Contractor is expected to manage in a safe, secure, efficient, effective, mission driven manner, with appropriate risk management and transparency to the government.

## **PERFORMANCE STANDARDS/PERFORMANCE EVALUATION**

The NNSA has an established and approved evaluation process. The evaluation of performance will consider unanticipated barriers (e.g., budget restrictions, rule changes, circumstances outside Contractor's control), accomplishments, and other events that may occur during the performance period. Effective efforts to overcome or mitigate the impact of such barriers or circumstances will also be a factor in evaluating performance.

## **PERFORMANCE RATING PROCESS**

The Contractor will provide a self-critical and comprehensive self-assessment of its performance. The self-assessment will be submitted to the respective NNSA Site Office within 45 calendar days after the end of the evaluation period to allow sufficient time for NNSA review (per the NNSA corporate evaluation process). An overall performance rating will be assigned for each PO using the table in Federal Acquisition Regulation Subpart 16.401(e)(3). Meeting expectations herein equates to a satisfactory performance based on the FAR table. NNSA will

consider the contractor's self-assessment in preparing the Performance Evaluation Report and when making the final recommendations to the Fee Determining Official (FDO) on performance ratings and award fee earned for the award fee period of performance. The unilateral decision of the total award fee earned will be made by the FDO.

**PEP CHANGE CONTROL**

It is essential that a baseline of performance expectations be established at the beginning of the performance period to equitably measure performance, and that changes to that baseline are carefully managed. Any change to the PEP requires concurrence by the appropriate program office, NA-00 and the NNSA Senior Procurement Executive prior to the Site Office Manager and Contracting Officer signatures. While recognizing the unilateral rights of NNSA as expressed in contract clause I.154 DEAR 970.5215-1 Total Available Fee: Base Fee Amount and Performance Fee Amount (Dec 2000), bilateral changes are the preferred method of change whenever possible.

**TOTAL AVAILABLE AWARD FEE ALLOCATION**

<b>Performance Category</b>	<b>Performance Objective</b>	<b>*% At-Risk Fee Allocation</b>
Programs	<b>PO-1: Nuclear Weapons Mission</b>	27%
Programs	<b>PO-2: Broader National Security Mission</b>	8%
Programs	<b>PO-3: Science, Technology and Engineering Mission</b>	2%
Operations & Mission Execution	<b>PO-4: Security, Infrastructure, Environmental Stewardship, and Institutional Management</b>	53%
Operations & Mission Execution	<b>PO-5: Contractor Leadership</b>	10%

\* Minimum Allocation of At-Risk Fee; % fee recommended by Site Office Manager with NA-2 review and approval.

### **Unearned Fee**

The National Nuclear Security Administration (NNSA) reserves the right to withdraw and redistribute NNSA unearned fees.

### **Award Term Incentive**

To earn award term the contractor must meet the following criteria: Earn an adjectival score of Very Good in each of the Performance Objectives 1-5 and experience no significant safety or security incident during the performance period.

### **PERFORMANCE OBJECTIVES**

The Contractor will recommend innovative, science-based, systems-engineering solutions to the most challenging problems that face the nation and the globe. The Contractor will also provide evidence to support programmatic needs and operational goals tempered by risk. NNSA will take into consideration all major functions contributing to mission success.

Along with the Contributing Factors, and Site Specific Outcomes, the Contractor's performance will be evaluated against the NNSA's Strategic Plan, NNSA Performance Priorities and Deliverables, Program Execution Plans, Work Authorizations and other key inputs (e.g. Multi-Year Strategic Objectives).

### **PO-1: Nuclear Weapons Mission (At-Risk Fee: 27%)**

Successfully execute Nuclear Weapons mission work in accordance with NNSA Priorities, Program Control Document (PCD) and Deliverables, and Program Execution Plans. Integrate across the site, while maintaining an NNSA enterprise-wide focus, to achieve greater impact on a focused set of strategic national security priorities. Provide defensible objective evidence.

#### Contributing Factors:

- Accomplish mission within the budget profile, scope, cost, schedule, and risk negotiated with program sponsors and partners, achieving the expected level of quality.
- Increase knowledge of the state of the stockpile resulting in successful execution of the stockpile surveillance program and a robust scientific and engineering understanding for the delivery of the annual assessment.
- Execute product development and deliveries in the life extension programs (e.g., B61-12), alterations (ALTs) (e.g., W88 ALT 370), and limited life component (LLC) exchanges.
- Demonstrate the application of new strategies, technologies, and scientific understanding in anticipation of future stockpile needs including enhanced stockpile surety.
- Sustain and strengthen unique science and engineering capabilities, facilities and essential skills to ensure current and future Nuclear Weapons mission requirements will be met.
- Demonstrate effective operations and implementation of policy for mission success.

#### Site Specific Outcomes:

1. Achieve B61 LEP 6.3 program objectives and W76-1 production objectives, including delivery of Production Control Document (PCD) requirements.
2. Support W78/88-1 Phase 6.2 program objectives.

**PO-2: Broader National Security Mission (At-Risk Fee: 8%)**

Successfully execute the broader national security mission work in accordance with NNSA Priorities, Program Work Authorizations, priorities and deliverables, and Program Execution Plans to include the Non-Proliferation, Emergency Operations and Counterterrorism missions among others. Integrate across the site, while maintaining an NNSA enterprise-wide focus, to achieve greater impact on a focused set of strategic national security priorities. Provide defensible objective evidence.

**Contributing Factors:**

- Accomplish work within the budget profile, scope, cost, schedule, and risk negotiated with the program sponsors or partners, achieving the expected level of quality.
- Demonstrate the application of new strategies, technologies, and scientific understanding in anticipation of future national security needs.
- Pursue and perform high impact work that leverages, sustains and strengthens unique science and engineering capabilities, facilities and essential skills to ensure the ability to meet current and future national security mission requirements.
- Demonstrate effective operations and implementation of policy for mission success.
- Maintain effective nuclear counterterrorism and incident response mission support capability.
- Execute DOE mission work (outside NNSA) (e.g. EM, IN).

**Site Specific Outcome:**

3. Achieve all NN (including convert, remove and protect nuclear and radiological materials both domestically and abroad), NR and WFO program objectives.

**PO-3: Science, Technology & Engineering (ST&E) Mission (At-Risk Fee: 2%)**

Successfully execute research to enable, support, and advance national security missions and to advance the frontiers of ST&E in accordance with budget profile, scope, cost, schedule, and risk, achieving the expected level of quality. Effectively manage Laboratory/Plant/Site Directed Research and Development Programs (LDRD/PDRD/SDRD). Execute the ST&E mission and provide defensible objective evidence.

**Contributing Factors:**

- Implement a research strategy that is clear and aligns discretionary investments (e.g., LDRD/PDRD/SDRD) with the research strategy and support NNSA priorities.
- Ensure that research is relevant, enables the national security missions and benefits DOE/NNSA, and the nation.
- Ensure that research is transformative, innovative, leading edge, high quality, and advances the frontiers of science and engineering.
- Maintain a healthy and vibrant research environment that enhances technical workforce competencies and research capabilities.
- Perform research to accomplish the high priority, multi-year research objectives, advances ST&E, and develops technologies for the public good through technology transfer.

**PO-4: Security, Infrastructure, Environmental Stewardship, and Institutional Management  
(At-Risk Fee: 53%)**

Effectively and efficiently manage the operations of the site while maintaining an NNSA enterprise-wide focus; demonstrate accountability for mission performance and management controls; assure mission commitments are met with high-quality products and services; and maintain excellence as 21<sup>st</sup> century government-owned, contractor-operated facility.

**Contributing Factors:**

- Accomplish the safeguards and security and emergency management mission by applying prudent risk management and implementing rigorous contractor governance processes to ensure sustained effective performance with no significant failures.
- Line item construction projects will be accomplished in accordance with the budget profile, scope, cost, schedule, and risk negotiated with the program sponsors or partners, achieving the expected level of quality.
- In concert with NNSA Strategies:
  - Deliver efficient, effective, and responsive business operations and systems.
  - Deliver efficient, effective, and secure networks and information systems.
  - Deliver efficient and effective facility and infrastructure portfolio management.
  - Deliver efficient, effective, and responsive environment, safety and health management and processes.
  - Deliver efficient and effective management of legal risk and incorporation of best legal practices.
  - Deliver efficient and effective management of a quality assurance system and decision-making model framework that improves the quality of mission products and services.

**Site Specific Outcome:**

4. Maintain and demonstrate effective utilization of a comprehensive, transparent, and integrated Contractor Assurance System (CAS).
5. Successfully execute the engineering and nuclear safety programs while demonstrating continuous improvement in efficiency and effectiveness.
6. Support a seamless, effective transition(s) to the new contractor(s).
7. Execute assigned scope and work in support of the Nuclear Facility Risk Reduction, Security Improvements Project, and Uranium Processing Facility projects in accordance with approved cost and schedule baselines contained in authorized Work Task Agreements (WTAs) and the FY13 Work Authorization and Execution Plan (WAEP).
8. Demonstrate and maintain an effective S&S program that fully integrates all security elements with an increased emphasis on the conduct and formality of operations.

### **PO-5: Contractor Leadership (At-Risk Fee: 10%)**

Successfully demonstrate leadership in supporting the direction of the overall NNSA mission, the responsiveness of the contractor's leadership team to issues and opportunities for continuous improvement internally and across the Enterprise, and parent company involvement/commitment to the overall success of the site and the Enterprise.

#### Contributing Factors:

- Define a realistic and strategic scientific vision for the site in alignment with the NNSA Strategic Plan and progress to meet that vision.
- Demonstrate enterprise leadership and effective collaboration to ensure enterprise success.
- Establish and maintain long-term partnerships/relationships with private industry and the scientific and local communities.
- Instill a culture of accountability and responsibility through the entire organization.
- Strategically integrate interagency work to ensure necessary capabilities are maintained over time to support the NNSA mission.
- Create a work environment that achieves compliant and effective safety and security performance, and attracts the best and brightest scientist/engineers to execute our national programs.
- Work selflessly within the NNSA / DOE complex to develop, integrate, and implement enterprise solutions that maximize program outputs at best value to the government.
- Exhibit professional excellence in performing contractor roles/responsibilities while pursuing opportunities for continuous learning.
- Coordinate/Communicate key issues and concerns to NNSA leadership.
- Demonstrate performance results through the institutional utilization of the Management Assurance System and the leveraging of parent company resources and expertise.
- Lead a culture of critical self-assessment across all areas.