

2. AMENDMENT/MODIFICATION M018	3. EFFECTIVE DATE SEE BLOCK 16C	4. REQUISITION/PURCHASE REQ. NO.	5. PROJECT NO. (If applicable)
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6. ISSUED BY U. S. Department of Energy Oak Ridge Operations Office Procurement and Contracts Division, AD-421 P. O. Box 2001 Oak Ridge, TN 37831- 8756	7. ADMINISTERED BY (If other than Item 6)
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8. NAME AND ADDRESS OF CONTRACTOR (No., street, county, State and ZIP Code) BWXT Y-12 1055 Commerce Park Drive Suite 300 Oak Ridge, Tennessee 37830	(X)	9A. AMENDMENT OF SOLICITATION NO.
		9B. DATED (SEE ITEM 11)
	X	10A. MODIFICATION OF CONTRACT/ORDER DE-AC05-00OR22800
		10B. DATED (SEE ITEM 13) 8/31/2000

CODE _____ FACILITY CODE _____

11. THIS ITEM ONLY APPLIES TO AMENDMENTS OF SOLICITATION

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 YOU ACKNOWLEDGMENT 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)

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

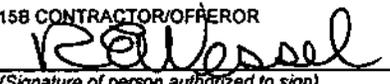
A.	THIS CHANGE ORDER IS ISSUED PURSUANT TO: (Specify authority) THE CHANGES SET FORTH IN ITEM 14 ARE MADE IN THE CONTRACT/ORDER NO. IN ITEM 10A.
B.	THE ABOVE NUMBERED CONTRACT/ORDER IS MODIFIED TO REFLECT THE ADMINISTRATIVE CHANGES (such as changes in paying office, appropriation data, etc.) SET FORTH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

E. IMPORTANT: Contractor ___ is not, X ___ 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.)

SEE PAGE 2

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

15A. NAME AND TITLE OF SIGNER (Type or print) Ron Wessel Contracts Manager	16A. NAME AND TITLE OF CONTRACTING OFFICER (Type or print) William W. Wistrom Contracting Officer
15B. CONTRACTOR/OFFEROR  (Signature of person authorized to sign)	15C. DATE SIGNED 7/02/01
16B. UNITED STATES OF AMERICA BY  (Signature of Contracting Officer)	16C. DATE SIGNED 7/2/2001

The purpose of this modification is to make the following revisions:

1. Clause H.10 is deleted and replaced with the following in order to replace the portion of paragraph (a) that was omitted from the distributed version of the contract:

H.10 PRIVACY ACT SYSTEMS OF RECORD

- (a) The Contractor shall design, develop, or operate the following systems of records on individuals to accomplish an agency function to which the requirements of The Privacy Act, 5 U.S.C. 552(a), and implementing DOE Regulations (10 CFR 1008) are deemed applicable:

<u>DOE SYSTEM NUMBER</u>	<u>TITLE</u>
5	Personnel Records of Former Contractor Employees
11	Emergency Locator Records
14	Report for Compensation
15	Payroll and Pay-Related Data for Employees of Terminated Contractors
25	Employee Parking Records
26	Official Travel Records
27	Foreign Travel Records
28	General Training Records
29	Technology Training Program-Skill Training at Technician Level
31	Firearms Qualification Records
33	Personnel Medical Records
35	Personnel Radiation Exposure Records
38	Occupational and Industrial Accident Records
40	Contractor Employees Insurance Claims
43	Personnel Security Clearance Files
48	Security Education and/or Infraction Reports
51	Employee and Visitor Access Control Records
54	Investigative Files of Inspector General
55	Freedom of Information and Privacy Act Requests for Records
56	Congressional Constituent Inquiries
58	General Correspondence Files
59	Mailing Lists for Requestors of Energy-Related Information
71	The Radiation Accident Registry
72	The Department of Energy Radiation Study Registry

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The US-DPTA Registry
Epidemiologic and Other Health Studies,
Surveys and Surveillances

The Contractor shall perform this requirement in accordance with the clause in Section I of this contract entitled "**Privacy Act.**" It is understood that compliance with the Privacy Act will require certain changes to the Contractor's current record keeping procedures. DOE and the Contractor agree that an employee whose employer changes from Lockheed Martin Energy Systems, Inc. (LMES) to the Contractor, or vice-versa, shall not be considered a "Former Contractor Employee" under DOE System 5 above.

- (b) If DOE requires the Contractor to design, develop, or maintain additional systems of Government-owned records on individuals to accomplish an agency function, the CO, or designee, shall so notify the Contractor in writing and such Privacy Act system shall be deemed added to the above list whether incorporated by formal contract modification or not. The parties shall mutually agree to a schedule for implementation of the Privacy Act with respect to each such System.

2. Clause H.20 is deleted and replaced with the following in order to revise titles of positions at the NNSA Y-12 Area:

H.20 PERFORMANCE DIRECTION

- (a) In addition to those functions specifically reserved throughout this Contract for the Contracting Officer, the Contracting Officer shall be the sole authority for assignment of WADs, establishment of work priorities, and directing work requiring the expenditure of funds which have been obligated for performance of this Contract.
- (b) Certain actions may be officially delegated in writing to Designated Officials. A designated official is an individual, designated by the Contracting Officer, to act as authorized representative for such functions as technical monitoring, inspection, and other functions of a more technical nature not involving a change in the scope, cost, terms or conditions of the Contract pursuant to the Section H provision entitled "Modification Authority." Copies of any such delegations relating to this Contract will be provided to the Contractor. The Contractor shall comply with written direction provided by the Designated Officials. For the purposes of this contract, the following individuals are identified as Designated Officials:

- Manager, Y-12 Area Office
- Deputy Manager, Y-12 Area Office

- Director, Programs Division
 - Director, Technical Division
 - Director, Operations Management Division
 - Senior Authorization Basis Engineer
- (c) The work performed by the Contractor in compliance with the terms of this Contract shall be subject to performance direction from the Designated Officials as follows:
- (1) Directions to the Contractor which redirect the Contract effort, shift work emphasis within work area or a WAD, require pursuit of certain lines of inquiry, fill in details or otherwise serve to accomplish the SOW.
 - (2) Provision of written information to the Contractor which assists in the interpretation of drawings, specifications or technical portions of the work description.
 - (3) Review and, where required by the Contract, approval of technical reports, drawings, specifications and technical information to be delivered by the Contractor to the Government under the Contract.
 - (4) Monitoring compliance with applicable environmental, safety and health requirements.
- (d) The Contractor shall only accept performance direction if provided in writing and if within the Statement of Work of the Contract and the WAD. Performance direction shall not: authorize the Contractor to exceed the total funds obligated on the Contract or any estimated cost on a WAD, entitle the Contractor to any increase in the total amount of fee set forth in the contract, change any of the expressed terms or conditions of the contract, or interfere with the Contractor's rights under the terms and conditions of the Contract. It is expected that there will be full and open communication between the functional counterparts of the DOE and the Contractor's organization.
- (e) The Contractor shall proceed promptly with the performance required by duly-issued written performance direction. If, in the opinion of the Contractor, any performance direction violates the prohibitions set forth in paragraph (d) of this clause, the Contractor shall not proceed but shall promptly orally notify the Contracting Officer of the direction and reason(s) the direction violates the provisions of this subsection. The Contractor shall confirm this notification in writing within ten (10) workdays from receipt of DOE's written direction. The Contracting Officer shall render a decision on whether or not the performance direction is or is not within the Statement of Work of the Contract and whether or not a change order will be issued pursuant to the Contract Clause entitled "Changes," or paragraph (f) of the subsection of this part entitled, Work

Authorization System. This decision shall be issued or confirmed in writing and the Contractor shall promptly comply with the Contracting Officer's direction.

3. Clause H.27 is deleted and replaced with the following:

H.27 DEAR 970.5226-3 Community Commitment (DEC 2000)

It is the policy of the DOE to be a constructive partner in the geographic region in which DOE conducts its business. The basic elements of this policy include: (1) Recognizing the diverse interests of the region and its stakeholders, (2) engaging regional stakeholders in issues and concerns of mutual interest, and (3) recognizing that giving back to the community is a worthwhile business practice. Accordingly, the Contractor agrees that its business operations and performance under the Contract will be consistent with the intent of the policy and elements set forth above.

4. Clause H.28 is deleted and replaced with the following:

**H.28 DEAR 970.5203-2 Performance Improvement and Collaboration
(Dec 2000)**

(a) The Contractor agrees that it shall affirmatively identify, evaluate, and institute practices, where appropriate, that will improve performance in the areas of environmental and health, safety, scientific and technical, security, business and administrative, and any other areas of performance in the management and operation of the contract. This may entail the alteration of existing practices or the institution of new procedures to more effectively or efficiently perform any aspect of contract performance or reduce overall cost of operation under the contract. Such improvements may result from changes in organization, simplification of systems while retaining necessary controls, or any other approaches consistent with the statement of work and performance measures of this contract.

(b) The Contractor agrees to work collaboratively with the Department, all other management and operating, DOE major facilities management contractors and affiliated contractors which manage or operate DOE sites or facilities for the following purposes: (i) to exchange information generally, (ii) to evaluate concepts that may be of benefit in resolving common issues, in confronting common problems, or in reducing costs of operations, and (iii) to otherwise identify and implement DOE-complex-wide management improvements discussed in paragraph (a). In doing so, it shall also affirmatively provide information relating to its management improvements to such contractors, including lessons learned, subject to security considerations and the protection of data proprietary to third parties.

(c) The Contractor may consult with the Contracting Officer in those instances in which improvements being considered pursuant to paragraph (a) involve the cooperation of the DOE. The contractor may request the assistance of the contracting

officer in the communication of the success of improvements to other management and operating contractors in accordance with paragraph (b) of this clause.

(d) The Contractor shall notify the contracting officer and seek approval where necessary to fulfill its obligations under the contract. Compliance with this clause in no way alters the obligations of the Contractor under any other provision of this contract.

5. Clause H.29 is deleted and replaced with the following:

H.29 DEAR 952.204-75 Public Affairs (Dec 2000)

(a) The Contractor must cooperate with the Department in releasing unclassified information to the public and news media regarding DOE policies, programs, and activities relating to its effort under the contract. The responsibilities under this clause must be accomplished through coordination with the Contracting Officer and appropriate DOE public affairs personnel in accordance with procedures defined by the Contracting Officer.

(b) The Contractor is responsible for the development, planning, and coordination of proactive approaches for the timely dissemination of unclassified information regarding DOE activities onsite and offsite, including, but not limited to, operations and programs. Proactive public affairs programs may utilize a variety of communication media, including public workshops, meetings or hearings, open houses, newsletters, press releases, conferences, audio/visual presentations, speeches, forums, tours, and other appropriate stakeholder interactions.

(c) The Contractor's internal procedures must ensure that all releases of information to the public and news media are coordinated through, and approved by, a management official at an appropriate level within the Contractor's organization.

(d) The Contractor must comply with DOE procedures for obtaining advance clearances on oral, written, and audio/visual informational material prepared for public dissemination or use.

(e) Unless prohibited by law, and in accordance with procedures defined by the Contracting Officer, the Contractor must notify the Contracting Officer and appropriate DOE public affairs personnel of communications or contacts with Members of Congress relating to the effort performed under the contract.

(f) In accordance with procedures defined by the Contracting Officer, the Contractor must notify the Contracting Officer and appropriate DOE public affairs personnel of activities or situations that may attract regional or national news media attention and of non-routine inquiries from national news media relating to the effort performed under the contract.

(g) In releases of information to the public and news media, the Contractor must

fully and accurately identify the Contractor's relationship to the Department and fully and accurately credit the Department for its role in funding programs and projects resulting in scientific, technical, and other achievements.

6. Clause I-88 is deleted and replaced with the following:

I-88 DEAR 970.5203-3 Contractor's Organization (Dec 2000)

(a) Organization chart. As promptly as possible after the execution of this contract, the contractor shall furnish to the Contracting Officer a chart showing the names, duties, and organization of key personnel (see 48 CFR 952.215-70) to be employed in connection with the work, and shall furnish supplemental information to reflect any changes as they occur.

(b) Supervisory representative of Contractor. Unless otherwise directed by the contracting officer, a competent full-time resident supervisory representative of the contractor satisfactory to the contracting officer shall be in charge of the work at the site, and any work off-site, at all times.

(c) Control of employees. The Contractor shall be responsible for maintaining satisfactory standards of employee competency, conduct, and integrity and shall be responsible for taking such disciplinary action with respect to its employees as may be necessary. In the event the Contractor fails to remove any employee from the contract work whom DOE deems incompetent, careless, or insubordinate, or whose continued employment on the work is deemed by DOE to be inimical to the Department's mission, the Contracting Officer may require, with the approval of the Secretary of Energy, the contractor to remove the employee from work under the contract. This includes the right to direct the Contractor to remove its most senior key person from work under the contract for serious contract performance deficiencies.

(d) Standards and procedures. The contractor shall establish such standards and procedures as are necessary to implement the requirements set forth in 48 CFR 970.0371. Such standards and procedures shall be subject to the approval of the contracting officer.

7. Clause I-105, DEAR 970.5204-42 Key Personnel (Apr 1984), is deleted and the following is substituted:

I-105 952.215-70 Key Personnel (Dec 2000)

(a) The personnel listed in Section J, Attachment D of this contract are considered essential to the work being performed under this contract. Before removing, replacing, or diverting any of the listed or specified personnel, the Contractor must: (1) Notify the Contracting Officer reasonably in advance; (2) submit justification (including proposed substitutions) in sufficient detail to permit evaluation of the impact on this contract; and

(3) obtain the Contracting Officer's written approval. Notwithstanding the foregoing, if the Contractor deems immediate removal or suspension of any member of its management team is necessary to fulfill its obligation to maintain satisfactory standards of employee competency, conduct, and integrity under the clause at 48 CFR 970.5203-3, Contractor's Organization, the Contractor may remove or suspend such person at once, although the Contractor must notify Contracting Officer prior to or concurrently with such action.

(b) The list of personnel may, with the consent of the contracting parties, be amended from time to time during the course of the contract to add or delete personnel.

8. Attachment E is revised by incorporating Requirements Change Notice No. NNSA-03 dated June 29, 2001 attached hereto.

REQUIREMENTS CHANGE NOTICE

No.

NNSA-03

Page 1 of 20 Pages

Project

Location

Baseline List of Required Compliance Documents

Oak Ridge, Tennessee

Contractor

BWXT Y-12, L.L.C.

Contract No.

Date of Contract

DE-AC05-00OR22800

August 31, 2000

I.116 Laws, Regulations, and DOE Directives (June 1997)

DEAR 970.5204-78

This Requirements Change Notice (RCN) No. NNSA-03 incorporates into Section J, Attachment E, Contract No. DE-AC05-00OR22800, the attached list of applicable documents which 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.

Below is a list of the directives incorporated herein:

Additions:

DOE N 153.1	DOE O 481.1A	ORO O 140, Ch II, C2	ORO O 150, Ch VI, C2
DOE O 221.1	DOE M 481.1-1A	ORO O 150, Ch II, C2	ORO O 220, Ch III, C2
DOE O 221.2	DOE O 482.1	ORO O 150, Ch III, C2	ORO N 471.2, C3
DOE N 251.40	DOE O 483.1	ORO O 150, Ch IV, C3	
DOE N 350.6	DOE M 483.1-1	ORO O 150, Ch V, C2	

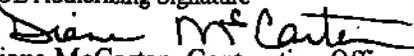
Delete:

DOE O 481.1	DOE 2030.4B	ORO O 140, Ch II, C1	
DOE M 481.1-1	DOE 2320.1C	ORO O 220, Ch III, C1	
DOE N 251.37	DOE 2321.1B	ORO O 220, Ch IX	
DOE N 470.1	SEN-34-91	ORO N 471.2, C2	
DOE N 471.2			

Update:

DOE N 413.1 - Modified by DOE Headquarters ERRATA Sheet
S/RID 10.0 - MA - Revised Maintenance Requirements
S/RID 13.0 - TR - Revised Packaging and Transportation Requirements
S/RID 19.0 - SH - Revised Occupational Safety and Health Requirements

DOE Authorizing Signature



Diane McCarten, Contracting Officer's Representative for Directives

Date:

06/29/2001

OUTLINE OF RCN No. 03 CHANGES

<u>ITEM</u>	<u>DATE</u>	<u>TITLE</u>	<u>CHANGE #</u>	<u>AUTHORIZATION</u>	
<u>RD #020</u> ORO	O 140 Chapter II	05/15/1996	Safeguards Agreement With The International Atomic Energy Agency (IAEA)	Change 2 01/26/2001	DOE ltr dated 02/06/2001 BWXT Y-12 ltr dated 03/05/2001
Addition					
<u>RD#021</u> ORO	O 140 Chapter II	05/15/1996	Safeguards Agreement With The International Atomic Energy Agency (IAEA)	Change 1 05/15/1998	DOE ltr dated 02/06/2001 BWXT Y-12 ltr dated 03/05/2001
Deletion					
<u>RD #022</u> ORO	O 150 Chapter II	05/31/1996	Accident Response Group (ARG)	Change 2 02/05/2001	DOE ltr dated 02/06/2001 BWXT Y-12 ltr dated 03/06/2001
Addition					
<u>RD #023</u> ORO	O 150 Chapter III	05/31/1996	Nuclear Emergency Search Team (NEST)	Change 2 02/07/2001	DOE ltr dated 02/16/2001 BWXT Y-12 ltr dated 03/09/2001
Addition					
<u>RD #024</u> DOE	O 483.1	01/12/2001	DOE Cooperative Research And Development Agreements		DOE ltr dated 02/16/2001 BWXT Y-12 ltr dated 03/13/2001
Addition					
<u>RD #025</u> DOE	M 483.1-1	01/12/2001	DOE Cooperative Research And Development Agreements Manual		DOE ltr dated 02/16/2001 BWXT Y-12 ltr dated 03/13/2001
Addition					
<u>RD #026</u> DOE	O 482.1	01/12/2001	DOE Facilities Technology Partnering Programs		DOE ltr dated 02/16/2001 BWXT Y-12 ltr dated 03/13/2001

Addition, with a compliance line.

OUTLINE OF RCN No. 03 CHANGES

<u>RD #</u>	<u>ITEM</u>	<u>DATE</u>	<u>TITLE</u>	<u>CHANGE #</u>	<u>AUTHORIZATION</u>
<u>RD #027</u> ORO	O 150 Chapter IV	05/31/1996	Radiological Assistance Program (RAP)	Change 3 02/08/2001	DOE ltr dated 02/22/2001 BWXT Y-12 ltr dated 03/19/2001
Addition					
<u>RD #028</u> ORO	O 150 Chapter V	05/31/1996	Aerial Measuring System (AMS)	Change 2 02/16/2001	DOE ltr dated 02/27/2001 BWXT Y-12 ltr dated 03/19/2001
Addition					
<u>RD #029</u> ORO	O 150 Chapter VI	05/31/1996	Federal Radiological Monitoring And Assessment Center (FRMAC)	Change 2 02/16/2001	DOE ltr dated 02/27/2001 BWXT Y-12 ltr dated 03/19/2001
Addition					
<u>RD #030</u> ORO	N 471.2	03/05/1996	Technical Surveillance Countermeasures (TSCM) Program - Use of Telephone Lineman-type Handsets or Items Similar in Purpose, Use or Effect on DOE-owned or -Leased Property	Change 3 02/12/2001	DOE ltr dated 02/22/2001 BWXT Y-12 ltr dated 03/13/2001
Addition					
<u>RD #031</u> ORO	N 471.2	03/05/1996	Technical Surveillance Countermeasures (TSCM) Program - Use of Telephone Lineman-type Handsets or Items Similar in Purpose, Use or Effect on DOE-owned or -Leased Property	Change 2 04/15/1999	DOE ltr dated 02/22/2001 BWXT Y-12 ltr dated 03/13/2001
Deletion					
<u>RD #032</u> S/RID 10.0		03/30/2001	Maintenance (MA)		DOE ltr dated 03/30/2001 BWXT Y-12 ltr dated 03/22/2001

Revised S/RID 10.0 to specifically require the inspection of structures, systems, components, and equipment important to safe and reliable facilities operations consistent with DOE Order 4330.4B, Section 10.b.

RD #033

OUTLINE OF RCN No. 03 CHANGES

	<u>ITEM</u>	<u>DATE</u>	<u>TITLE</u>	<u>CHANGE #</u>	<u>AUTHORIZATION</u>
SEN-	34-91	08/15/1991	Implementation of the Chief Financial Officers Act of 1990		DOE ltr dated 03/21/2001
Deletion					
<u>RD #034</u>					
ORO	O 220 Chapter IX	09/30/1996	Auditing of Programs and Operations		DOE ltr dated 03/21/2001
Deletion					
<u>RD #035</u>					
DOE	2321.1B	05/14/1992	Auditing of Programs and Operations		DOE ltr dated 04/30/2001
Deletion					
<u>RD #036</u>					
S/RID 19.0		05/04/2001	Occupational Safety and Health (SH)		DOE ltr dated 05/04/2001 BWXT Y-12 ltr dated 03/27/2001
Revised to reflect the requirement to formalize the BWXT Y-12 Environment, Safety, and Health Oversight Program in response to ORO O 450, Chapter IV					
<u>RD #037</u>					
S/RID 13.0		05/04/2001	Packaging and Transportation (TR)		DOE ltr dated 05/04/2001 BWXT Y-12 ltr dated 04/11/2001
Revised to replace the S/RID requirements associated with cancelled DOE Order 5610.12 with those associated with the new DOE O 461 and DOE M 461-1.					
<u>RD #038</u>					
DOE	O 481.1A	01/03/2001	Work For Others (Non-Department of Energy Funded Work)		DOE ltr dated 03/21/2001 BWXT Y-12 ltr dated 05/05/2001
Addition					
<u>RD #039</u>					
DOE	O 481.1	09/30/1996	Work For Others (Non-Department of Energy Funded Work)		DOE ltr dated 03/21/2001 BWXT Y-12 ltr dated 05/05/2001
Deletion					
<u>RD #040</u>					

OUTLINE OF RCN No. 03 CHANGES

<u>ITEM</u>	<u>DATE</u>	<u>TITLE</u>	<u>CHANGE #</u>	<u>AUTHORIZATION</u>
DOE M 481.1-1A	01/03/2001	Reimbursable Work For Non-Federal Sponsors Process Manual		DOE ltr dated 03/21/2001 BWXT Y-12 ltr dated 05/05/2001
Addition				
<u>RD #041</u> DOE	M 481.1-1	09/30/1996	Reimbursable Work For Non-Federal Sponsors Process Manual	DOE ltr dated 03/21/2001 BWXT Y-12 ltr dated 05/05/2001
Deletion				
<u>RD #042</u> DOE	N 251.40	05/03/2001	Extension of DOE Directives on Security	DOE ltr dated 05/11/2001 BWXT Y-12 ltr dated 05/30/2001
Addition				
<u>RD #043</u> DOE	N 251.37	09/01/2000	Extension of DOE Directives on Security	DOE ltr dated 05/11/2001 BWXT Y-12 ltr dated 05/30/2001
Deletion				
<u>RD #044</u> DOE	O 221.1	03/22/2001	Reporting Fraud, Waste, and Abuse to the Office of Inspector General	DOE ltr dated 04/24/2001 BWXT Y-12 ltr dated 05/14/2001
Addition				
<u>RD #045</u> DOE	2030.4B	05/18/1992	Reporting Fraud, Waste, and Abuse to the Office of Inspector General	DOE ltr dated 04/24/2001 BWXT Y-12 ltr dated 05/14/2001
Deletion				
<u>RD #046</u>				

OUTLINE OF RCN No. 03 CHANGES

	<u>ITEM</u>	<u>DATE</u>	<u>TITLE</u>	<u>CHANGE #</u>	<u>AUTHORIZATION</u>
DOE	O 221.2	03/22/2001	Cooperation with the Office of Inspector General		DOE ltr dated 04/24/2001 BWXT Y-12 ltr dated 05/14/2001
Addition					
<u>RD #047</u>					
DOE	2320.1C	05/18/1992	Cooperation with the Office of Inspector General		DOE ltr dated 04/24/2001 BWXT Y-12 ltr dated 05/14/2001
Deletion					
<u>RD #048</u>					
DOE	N 153.1	02/26/2001	Connectivity to Atmospheric Release Advisory Capability		DOE ltr dated 04/24/2001 BWXT Y-12 ltr dated 05/15/2001
Addition					
<u>RD #049</u>					
DOE	N 350.6	01/12/2001	Acceptance of Valid Workers' Compensation Claims		DOE ltr dated 04/06/2001 and Errata sheet dated 04/25/2001 BWXT Y-12 ltr dated 05/17/2001
Addition, with Compliance line					
<u>RD #050</u>					
ORO	O 220 Chapter III	05/31/1996	Establishment of Departmental Position on Inspector General Reports	Change 2 05/11/2001	DOE ltr dated 05/17/2001 BWXT Y-12 ltr dated 05/24/2001
Addition					
<u>RD #051</u>					
ORO	O 220 Chapter III	05/31/1996	Establishment of Departmental Position on Inspector General Reports	Change 1 07/28/1998	DOE ltr dated 05/17/2001 BWXT Y-12 ltr dated 05/24/2001
Deletion					
<u>RD #052</u>					
DOE	N 470.1	09/23/99	Extension of DOE O 470.1, Safeguards and Security Program		DOE ltr dated 05/11/2001
Deletion					
<u>RD #053</u>					
DOE	N 471.2	09/23/1999	Extension of DOE O 471.2A,		DOE ltr dated

OUTLINE OF RCN No. 03 CHANGES

<u>ITEM</u>	<u>DATE</u>	<u>TITLE</u>	<u>CHANGE #</u>	<u>AUTHORIZATION</u>
Deletion		Information Security Program		05/11/2001
<u>RD #054</u> DOE	N 413.1	05/16/2001	Errata Sheet for Extension of Expiration Date for DOE N 413.1, Extension of DOE O 413.1, Management Control Program	DOE ltr dated 05/31/2001
Update: Modified to reflect DOE Headquarters Errata Sheet				

**SECTION J, ATTACHMENT E
BASELINE LIST OF
REQUIRED COMPLIANCE DOCUMENTS**

DOE DIRECTIVES

	<u>REQUIRED COMPLIANCE</u>	<u>DATE</u>	<u>TITLE</u>	<u>THROUGH CHANGE</u>	<u>NOTES (*)</u>
DOE	O 110.3 Compliance: Implementation will be in accordance with the Implementation Plan submitted to DOE-ORO on June 1, 2000.	11/03/1999	Conference Management		
DOE	O 130.1	09/29/1995	Budget Formulation Process		
DOE	O 137.1A	08/30/1999	Plan for Operating in the Event of a Lapse in Appropriations		
DOE	M 140.1-1A	01/26/1999	Manual for DOE Interface with Defense Nuclear Facilities Safety Board		
DOE	N 142.1	07/14/1999	Unclassified Foreign Visits And Assignments		3
DOE	N 153.1	02/26/2001	Connectivity to Atmospheric Release Advisory Capability		
DOE	O 200.1	09/30/1996	Information Management Program		
DOE	M 200.1-1	03/1997	Telecommunications Security Manual		
DOE	N 203.1	10/02/2000	Software Quality Assurance		3
DOE	N 205.1 Compliance: Implementation is in accordance with the LMES Implementation Plan approved by DOE-ORO on August 11, 2000.	07/26/1999	Unclassified Cyber Security Program		3
DOE	N 205.2	11/01/1999	Foreign National Access to DOE Cyber Systems		3
DOE	N 205.3	11/23/1999	Password Generation, Protection, And Use		3
DOE	O 221.1	03/22/2001	Reporting Fraud, Waste, and Abuse to the Office of Inspector General		
DOE	O 221.2	03/22/2001	Cooperation with the Office of Inspector General		
DOE	O 224.1	12/08/1997	Contractor Performance-Based Business Management Process		
DOE	O 241.1	08/17/1998	Scientific and Technical Information Management		

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DOE	N 251.40	05/03/2001	Extension of DOE Notices On Security		3
DOE	O 252.1	11/19/1999	Technical Standards Program		
DOE	N 311.1	12/21/2000	Extension of DOE Order 311.1A, Equal Employment Opportunity And Diversity Program		
DOE	O 311.1A	12/30/1996	Equal Employment Opportunity and Diversity Program Compliance: Implementation will be in accordance with an implementation plan accepted by DOE March 31, 1998.		
DOE	O 350.1	09/30/1996	Contractor Human Resource Management Programs	Change 1 05/08/1998	
DOE	N 350.5	04/15/1999	Use of Facility Contractor Employees for Services to DOE in The Washington D.C., Area		
DOE	N 350.6	01/12/2001	Acceptance of Valid Workers' Compensation Claims Compliance: Compliance will be contingent upon allocation of required funding for support and maintenance of new requirements, and in accordance with approval of an Implementation Plan to be submitted by October 22, 2001.		
DOE	O 412.1	04/20/1999	Work Authorization System		
DOE	N 413.1	12/10/1999	Extension of DOE O 413.1 Management Control Program		4
DOE	O 413.1	12/06/1995	Management Control Program		
DOE	O 413.3	10/13/2000	Program And Project Management For The Acquisition Of Capital Assets Note: Supersedes paragraphs 6e(7); 7a(3); 7b(11) and (14); 7c(4), (6), (7), (11) and (16); 7d(4) and (8); 7e(3), (10) and (17); and, Attachment 1, Definitions (item 30 - Line Item Project, item 42 - Project, item 48 - Strategic System) and Attachment 2, Contractor Requirements Document (paragraph 1d regarding a project management system) of DOE O 430.1A. Compliance: Compliance will be in accordance with approval of an Implementation Plan to be submitted by June 28, 2001.		
DOE	O 430.1A	10/14/1998	Life Cycle Asset Management		

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Compliance: LMES letter dated March 15, 1999, stated a non-compliance issue related to DOE funding which is under consideration by the COR. Note: DOE O 413.3 supersedes and replaces paragraphs 6e(7); 7a(3); 7b(11) and (14); 7c(4), (6), (7), (11) and (16); 7d(4) and (8); 7e(3), (10) and (17); and, Attachment 1, Definitions (item 30 - Line Item Project, item 42 - Project, item 48 - Strategic System) and Attachment 2, Contractor Requirements Document (paragraph 1d regarding a project management system).				
DOE N 430.3	12/13/2000	Extension Of DOE Order (O) 430.2, In-House Energy Management		
DOE O 430.2	06/13/1996	In-House Energy Management Compliance: Implementation will be in accordance with an implementation plan accepted by DOE July 21, 1997.		
DOE O 442.1	02/01/1999	Department Energy Employee Concerns Program		
DOE O 443.1	05/15/2000	Protection Of Human Subjects		
DOE M 452.4-1	07/01/1999	Protection of Use Control Vulnerabilities and Designs		
DOE O 470.1	09/28/1995	Safeguards and Security Program	Change 1 06/21/1996	3
DOE N 470.2	12/15/2000	Reporting Unofficial Foreign Travel		3
DOE O 470.2A	03/01/2000	Security And Emergency Management Independent Oversight And Performance Assurance Program		
DOE M 471.1-1	06/30/2000	Identification and Protection Of Unclassified Controlled Nuclear Information Manual		
DOE O 471.1A	06/30/2000	Identification and Protection Of Unclassified Controlled Nuclear Information		
DOE O 471.2A	03/27/1997	Information Security Program		3
DOE M 471.2-1B	01/06/1999	Classified Matter Protection and Control Manual Compliance: Implementation to be in accordance with an implementation plan submitted to DOE on August 5, 1999.		

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DOE	M 471.2-2 Note: DOE N 205.3 cancels and replaces Paragraphs 4.j.(2) and (6), Chapter VI, plus Paragraph 12.a.(2)(a), Chapter VII.	08/03/1999	Classified Information Systems Security Manual		
DOE	M 471.2-3	04/20/2000	Special Access Program Policies, Responsibilities, And Procedures Manual		
DOE	O 472.1B	03/24/1997	Personnel Security Activities		3
DOE	M 472.1-1A	11/16/2000	Personnel Security Program Manual		
DOE	N 473.4	05/26/2000	Department of Energy Badges		3
DOE	N 473.5	06/05/2000	Security Area Vouching And Piggybacking		3
DOE	N 473.6 Compliance: DOE Office of Security and Emergency Operations will allocate funding or provide priority guidance necessary to meet increased Security Condition (SECON) levels imposed by the Notice.	09/18/2000	Security Conditions		3
DOE	N 473.7 Compliance: Compliance will be contingent upon allocation of required funding and in accordance with approval of an Implementation plan to be submitted by July 26, 2001.	10/26/2000	Explosive Detection Program		3
DOE	O 474.1A Compliance: Compliance will be in accordance with approval of a revised Implementation Plan to be submitted by July 19, 2001.	11/20/2000	Control and Accountability of Nuclear Materials		
DOE	M 474.1-1A Compliance: Compliance will be in accordance with approval of a revised Implementation Plan to be submitted by July 19, 2001.	11/22/2000	Manual for Control and Accountability of Nuclear Materials		
DOE	M 474.1-2	02/10/1998	Nuclear Materials Management and Safeguards System Reporting and Data Submission	Change 2 11/16/1998	
DOE	M 475.1-1	05/08/1998	Identifying Classified Information		
DOE	O 481.1A	01/03/2001	Work for Others (Non-Department of Energy Funded Work)		
DOE	M 481.1-1A	01/03/2001	Reimbursable Work for Non-Federal Sponsors Process Manual		

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DOE	O 482.1	01/12/2001	DOE Facilities Technology Partnering Programs Compliance: Compliance will be contingent upon allocation of required funding and in accordance with approval of an Implementation Plan to be submitted by August 16, 2001.		
DOE	O 483.1	01/12/2001	DOE Cooperative Research and Development Agreements		
DOE	M 483.1-1	01/12/2001	DOE Cooperative Research and Development Agreements Manual		
DOE	N 534.1	09/29/1999	Extension of DOE O 534.1, Accounting		
DOE	O 534.1	09/29/1995	Accounting		
DOE	O 551.1A	08/25/200	Official Foreign Travel		
DOE	M 573.1-1	07/12/2000	Mail Services User's Manual		
DOE	1270.2B	06/23/1992	Safeguards Agreement with the Int'l Atomic Energy Agency (IAEA)		1
DOE	1340.1B	01/07/1993	Management of Public Communications & Scientific, Technical, & Engineering Publications		
DOE	1350.1	10/28/1981	Audio Visual & Exhibits Management	Change 1 03/26/1984	
DOE	1450.4	11/12/1992	Consensual Listening-In to or Recording Telephone/Radio Conversations		
DOE	2100.8A	01/27/1993	Cost Accounting, Cost Recovery, & Interagency Sharing of Informational Technical Facilities		
DOE	2110.1A	07/14/1988	Pricing of Departmental Materials & Services	Change 2 05/18/1992	
			Compliance: Change 2 of the Order failed to incorporate interim guidance, "Policy on Waiver of DOE's Added Factor and Depreciation." Subsequent clarification from ORO confirmed the need to continue following this interim guidance.		

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<p>Compliance: Implementation will be in accordance with DOE-ORO letter from J. R. Martin, Director, Finance Division, dated August 3, 1994, regarding the application of the departmental added factor (DAF) based on the source of funds. Effective August 3, 1994 the DAF rate will be applied to any work performed for a non-Federal entity (as opposed to full cost factor and depreciation normally applied to private work) if the work is financed from another Federal entity. Written documentation should be provided from the non-Federal entity or the other Federal agency. This change in policy applies only to new work.</p>				
<p>Compliance: Implementation will be in accordance with DOE memorandum from Elizabeth E. Smedley, Controller, dated August 25, 1994, regarding the waiver of the added factor and depreciation for small businesses and nonprofit organizations participating in funds-in agreements, effective October 1, 1994. This waiver is valid for one year, through September 30, 1995.</p>				
DOE	2300.1B	06/08/1992	Audit Resolution & Follow-up	
DOE	2320.2B	05/18/1992	Establishment of Departmental Position on Inspector General Reports	1
DOE	2340.1C	06/08/1992	Coordination of General Accounting Office Activities	1
DOE	5560.1A	05/08/1985	Priorities & Allocations Program	
AL	56XB, REV 1	02/01/1992	Development and Production Manual	
DOE	5610.2	08/01/1980	Control of Weapons Data	Change 1 09/02/1986
DOE	5632.1C	07/15/1994	Protection and Control of Safeguards and Security Interests	
DOE	5632.1C-1	07/15/1994	Manual for Protection and Control of Safeguards and Security Interests	Change 1 04/10/1996
<p>MANUAL</p> <p>Note: Chapter XI is canceled by DOE O 470.1. Note: Chapter III, paragraphs 1, 2, and 4 through 9 are canceled by DOE O 471.2.</p>				
DOE	5639.8A	07/23/1993	Security of Foreign Intelligence Info & Sensitive Compartmented Information Facilities	
DOE	5660.1B	05/26/1994	Management of Nuclear Materials	

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DOE	5670.1A Compliance: Implementation is in accordance with MMES letter No. AE92-044 dated June 10, 1992	01/15/1992	Management & Control of Foreign Intelligence		
DOE	5670.3	09/04/1992	Counterintelligence Program		

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ORO O 130		BUDGET		
Chapter II	05/15/1996	Shutdown of Departmental Operations Upon Failure of Congress to Enact Appropriations	Change 2 07/28/1999	
ORO O 140		EXTERNAL RELATIONSHIPS		
Chapter II	05/15/1996	Safeguards Agreement with the International Atomic Energy Agency (IAEA)	Change 2 01/26/2001	
ORO O 150		EMERGENCY MANAGEMENT AND PLANNING		
Chapter II	05/31/1996	Accident Response Group	Change 2 02/05/2001	
Chapter III	05/31/1996	Nuclear Emergency Search Team (NEST)	Change 2 02/07/2001	
Chapter IV	05/31/1996	Radiological Assistance Program (RAP)	Change 3 02/08/2001	
Chapter V	05/31/1996	Aerial Measuring System (AMS)	Change 2 02/16/2001	
Chapter VI	05/31/1996	Federal Radiological Monitoring and Assessment Center (FRMAC)	Change 2 02/16/2001	
ORO O 220		ASSESSMENTS		
Chapter I	05/31/1996	Reporting Fraud, Waste, and Abuse to the Office of Inspector General	Change 1 07/28/1998	
Chapter II	09/30/1996	Cooperation with the Office of Inspector General	Change 1 01/07/1999	
Chapter III	05/31/1996	Establishment of Departmental Position on Inspector General Reports	Change 2 05/11/2001	
Chapter IV	05/31/1996	Coordination of General Accounting Office Activities	Change 1 07/28/1998	
Chapter VII	05/31/1996	Audit Resolution and Followup	Change 1 07/28/1998	

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ORO O 250		STANDARDS MANAGEMENT		
Chapter I	03/27/1998	Oak Ridge Operations Standards Management Program Overview		2
Chapter II	12/13/1999	Oak Ridge Operations (ORO) Directives System	Change 2 12/13/1999	
Chapter IV	12/13/1999	Contract Appendix And Impact Assessments	Change 1 12/13/1999	
Chapter V	12/13/1999	Development, Approval and Maintenance of Work Smart Standards (WSSs)	Change 1 12/13/1999	
Chapter VI	01/06/2000	Implementation Plans	Change 1 01/06/2000	
Chapter VII	01/06/2000	Maintenance Of Standards/Requirements Identification Documents (S/RIDs)	Change 1 01/06/2000	
ORO O 350		CONTRACTOR HUMAN RESOURCE PROGRAMS		
Chapter III	05/31/1996	Federal Labor Standards	Change 1 04/29/1999	
Chapter VI	06/28/1996	Workplace Substance Abuse Programs at Oak Ridge Sites	Change 1 09/30/1998	
ORO O 410		MANAGEMENT		
Chapter I	09/24/1996	Work Authorization System	Change 1 12/01/1998	
Chapter II	05/31/1996	Management of Nuclear Materials	Change 1 09/21/1998	
ORO O 430		LIFE CYCLE FACILITY OPERATIONS		
Chapter I	09/24/1996	Life Cycle Asset Management	Change 5 07/07/1999	

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	Chapter II	06/14/1996	In-House Energy Management	Change 1 11/04/1998	
	Compliance: Compliance will be in accordance with an Implementation to be submitted by June 3, 1999.				
ORO	440		WORKER PROTECTION		
	Chapter V	09/30/1996	Employee Concerns Management Program	Change 2 07/07/1999	
ORO	O 450		PROTECTION OF THE PUBLIC AND ENVIRONMENT		
	Chapter III	09/30/1996	Cultural Resources Management Program	Change 1 04/09/1999	
ORO	O 470		SAFEGUARDS AND SECURITY		
	Chapter I	09/30/1996	Safeguards and Security Program	Change 1 04/16/1999	
	Chapter IV	05/15/1996	Control of Weapon Data		
	Chapter VII	05/15/1996	Protection and Control of Safeguards and Security Interests	Change 1 07/23/1998	
	NOTE: Attachment 2 does not apply to contractor.				
	Chapter LX	05/15/1996	Control and Accountability of Nuclear Materials	Change 1 05/10/1999	
	Chapter XI	09/30/1996	Security of Foreign Intelligence Information and Sensitive Compartmented Information Facilities	Change 1 04/23/1999	
	Chapter XII	05/15/1996	Counterintelligence (CI) Program	Change 1 07/22/1998	
ORO	N 471.2	03/05/1996	Technical Surveillance Countermeasures (TSCM) Program - Use of Telephone Lineman-type Handsets or Items Similar in Purpose, Use, or Effect on DOE-owned or -Leased Property	Change 3 02/12/2001	

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ORO	O 530		ACCOUNTING		
	Chapter III	06/18/1996	Accounting	Change 1 09/02/1998	
ORO	O 560		TELECOMMUNICATIONS AND DATA SYSTEMS		
	Chapter I	05/15/1996	Unclassified Computer Security Program	Change 1 08/27/1998	
ORIG	4300.2B	12/23/1992	Non-DOE Funded Work		
	Compliance: Implementation will be in accordance with MMES letter dated March 5, 1996				

* Notes

(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 is not directly applicable to the Contractor; however, it is included in this list of applicable documents because an associated document in the same series is applicable (e.g., because a DOE Order is applicable, the OR Order or ORIG is made applicable) or because the policies listed in the order are part of the Contractor's good business practices.

(3) This Directive was extended until December 31, 2001, by DOE N 251.40, Extension Of DOE Notices On Security, dated May 3, 2001.

(4) Modified by DOE Headquarters ERRATA Sheet dated May 16, 2001 to extend the expiration date to December 6, 2001.

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STANDARDS REQUIREMENTS IDENTIFICATION DOCUMENT (S/RID)

<u>Functional Area</u>	<u>Title</u>	<u>Revision Number</u>	<u>Date of ORO Approval Letter</u>
1.0	MS - Management Systems	5	08/10/1999
2.0	QA - Quality Assurance	4	08/22/2000
3.0	CM - Configuration Management	2	08/23/1996
4.0	TQ - Training & Qualification	4	05/26/2000
5.0	EM - Emergency Management	5	08/28/2000
9.0	OP - Operations	2	03/16/1999
10.0	MA - Maintenance	4	03/30/2001
11.0	RP - Radiation Protection	3	08/17/2000
12.0	FP - Fire Protection	3	04/23/1998
13.0	TR - Packaging and Transportation	6	05/04/2001
18.0	FS - Facility (Nuclear) Safety	7	10/02/2000
19.0	SH - Occupational Safety and Health	5	05/04/2001
20.0	EP - Environmental Protection	5	05/01/2000

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WORK SMART STANDARDS (WSS)

<u>Functional Area/Title</u>	<u>Revision Number</u>	<u>Date of ORO Approval Letter</u>
Engineering Design and Construction	0	03/25/1997