

2. AMENDMENT/MODIFICATION M025	3. EFFECTIVE DATE See Block 16.C	4. REQUISITION/PURCHASE REQ. NO. NOPR	5. PROJECT NO. (If applicable)
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6. ISSUED BY U. S. Department of Energy National Nuclear Security Administration P. O. Box 2001 Oak Ridge, TN 37831	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 P. O. Box 2009 MS 8014 Oak Ridge, TN 37831-8014	(X)	9A. AMENDMENT OF SOLICITATION NO.
FACILITY CODE		9B. DATED (SEE ITEM 11)
		10A. MODIFICATION OF CONTRACT/ORDER DE-AC05-00OR22800
		10B. DATED (SEE ITEM 13) August 31, 2000

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

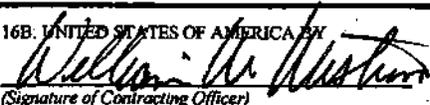
E. IMPORTANT: Contractor is not, **X** is required to sign this document and return 2 copies to the issuing office.

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

See Page 2

DUPLICATE ORIGINAL

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 10/15/01
16B. UNITED STATES OF AMERICA BY  (Signature of Contracting Officer)	16C. DATE SIGNED 10/15/01

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

1. Attachment E is revised by incorporating Requirements Change Notice No. NNSA-04 dated 9/28/2001 (21 pages) attached hereto.
2. Clause H.17 is deleted and the following is substituted in order to reduce the ceiling from \$6,150,000 to \$5,150,000:

H.17 Travel Restrictions (Jan 2001)

(a) For contractor travel expenses incurred on or after October 1, 2000, a ceiling limitation of \$5,150,000 shall apply to all reimbursements made for contractor travel expenses funded by the Energy and Water Development Appropriations Act under this contract. Expended funds which exceed the established ceiling will be unallowable unless otherwise authorized by the contracting officer.

(b) Some travel costs are exempt from the ceiling, examples are:

- (i) Travel performed under work for others agreements;
- (ii) Travel of subcontractors;
- (iii) Travel of non-DOE users to participate in experiments at DOE user facilities;
- (iv) Travel costs of travel management centers;
- (iii) Travel costs funded by other appropriations;
- (iv) Relocation costs;
- (v) Costs of workshops/seminars (other than travel costs), such as, rental of meeting rooms, public address equipment, speakers' fees;
- (vi) Registration costs of training classes;
- (vii) Travel expenses within the Laboratory Directed Research and Development Program; and
- (viii) Travel associated with recruitment.

(c) Notwithstanding any other provisions of the contract or the source of funding, the contractor further agrees that none of the funds obligated under the contract may be used to reimburse employee travel costs incurred on or after October 1, 2000, and before October 1, 2001, which exceed the rates and amounts that apply to federal employees under subchapter I of Chapter 57 of Title 5, United States Code. Costs which exceed these rates and amounts will be unallowable. This restriction is in addition to those prescribed elsewhere in statute or regulation.

(d) Costs incurred for lodging, meals, and incidental expenses are considered reasonable

and allowable to the extent that they do not exceed the maximum per diem rates in effect at the time of travel as set forth in:

- (i) Federal Travel Regulations (FTR) for travel within the 48 states;
- (ii) Joint Travel Regulations (JTR) for travel in Alaska, Hawaii, the Commonwealth of Puerto Rico, and territories and possessions of the United States; or
- (iii) Standardized Regulations (SR) for travel allowances in foreign areas.

(e) Subparagraph (c) does not incorporate the regulations cited above in their entirety. Only the coverages in the referenced regulations addressing the maximum per diem rates, the definitions of lodging, meals, and incidental expenses, and special or unusual situations are applicable to contractor travel.

(f) Airfare costs in excess of the lowest customary standard, coach, or equivalent airfare offered during normal business hours are unallowable except when such accommodations require circuitous routing, require travel during unreasonable hours, excessively prolong travel, result in increased cost that would offset transportation savings, are not reasonably adequate for the physical or medical needs of the traveler, or are not reasonably available to meet mission requirements. However, in order for airfare costs in excess of the above standard airfare to be allowable, the applicable condition(s) set forth above must be documented and justified.

REQUIREMENTS CHANGE NOTICE

No.

NNSA-04

Page 1 of 21 Pages

Project

Location

Baseline List of Required Compliance Documents

Oak Ridge, Tennessee

Contractor

BWXT Y-12, L.L.C.

Contract No.

DE-AC05-00OR22800

Date of Contract

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

August 31, 2000

DEAR 970.5204-2

This Requirements Change Notice (RCN) No. NNSA-04 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 M 140.1-1B	DOE N 471.3	ORO O 250, Ch I, C2	ORO O 250, Ch VII, C2
DOE O 241.1A	DOE M 472.1-1B	ORO O 250, Ch II, C3	ORO O 250, Ch VIII
DOE O 350.2	DOE M 475.1-1A	ORO O 250, Ch IV, C2	ORO O 250, Ch IX
DOE O 442.1A	ORO O 220, Ch IV, C2	ORO O 250, Ch V, C3	ORO O 530, Ch III, C2
DOE M 471.2-1C	ORO O 220, Ch VII, C2	ORO O 250, Ch VI, C2	

Delete:

DOE M 140.1-1A	DOE M 475.1-1	ORO O 250, Ch II, C2	ORO O 530, Ch III, C1
DOE O 241.1	ORO O 220, Ch I, C1	ORO O 250, Ch IV, C1	ORO O 560, Ch I, C1
DOE N 350.5	ORO O 220, Ch IV, C1	ORO O 250, Ch V, C1	
DOE O 442.1	ORO O 220, Ch VII, C1	ORO O 250, Ch VI, C1	
DOE M 472.1-1A	ORO O 250, Ch I	ORO O 250, Ch VII, C1	

Update:

DOE M 471.2-1B - Modified by DOE M 471.2-1C

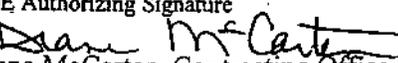
S/RID 01.0 - MS - Revised Operational Readiness Review/Readiness Assessment (ORR/RA) Section of Management Systems Requirements

S/RID 18.0 - FS - Revised Facility (Nuclear) Safety by deleting Criticality Safety (CS) Requirements from this chapter

S/RID 20.0 - EP - Revised Environmental Protection Requirements

S/RID 21.0 - CS - Revised Nuclear Criticality Safety Requirements and established their separate chapter

DOE Authorizing Signature


Diane McCarten, Contracting Officer's Representative for Directives

Date:

09/28/2001

OUTLINE OF RCN No. 04 CHANGES

<u>ITEM</u>	<u>DATE</u>	<u>TITLE</u>	<u>CHANGE #</u>	<u>AUTHORIZATION</u>
<u>RD #055</u> DOE O 241.1A	04/09/2001	Scientific And Technical Information Management		DOE ltr dated 05/08/2001 BWXT Y-12 ltr dated 05/30/2001
Addition				
<u>RD#056</u> DOE O 241.1	08/17/1998	Scientific and Technical Information Management		DOE ltr dated 05/08/2001 BWXT Y-12 ltr dated 05/30/2001
Deletion				
<u>RD #057</u> DOE N 471.3	04/13/2001	Reporting Incidents Of Security Concern		DOE ltr dated 05/11/2001 BWXT Y-12 ltr dated 06/06/2001
Addition				
<u>RD #058</u> DOE M 471.2-1C	04/17/2001	Classified Matter Protection And Control Manual		DOE ltr dated 05/11/2001 BWXT Y-12 ltr dated 06/07/2001
Addition, with compliance line and Note that states it deletes DOE M 471.2-1B except Chapter III, paragraphs 1 and 2, and Chapter IV, dated January 6, 1999.				
<u>RD #059</u> DOE M 471.2-1B	01/06/1999	Classified Matter Protection And Control Manual		DOE ltr dated 05/11/2001 BWXT Y-12 ltr dated 06/07/2001
Modified with Note stating "Only Chapter III, paragraphs 1 and 2, and Chapter IV remain in effect."				
<u>RD #060</u> ORO O 530 Chapter III	06/18/1996	Accounting	Change 2 03/30/2001	DOE ltr dated 05/31/2001 BWXT Y-12 ltr dated 07/12/2001
Addition				
<u>RD #061</u> ORO O 530 Chapter III	06/18/1996	Accounting	Change 1 09/02/1998	DOE ltr dated 05/31/2001 BWXT Y-12 ltr dated 07/12/2001
Deletion				

OUTLINE OF RCN No. 04 CHANGES

<u>ITEM</u>	<u>DATE</u>	<u>TITLE</u>	<u>CHANGE #</u>	<u>AUTHORIZATION</u>
<u>RD #062</u> ORO O 250 Chapter I	03/27/1998	ORO Standards Management Program Overview	Change 2 04/25/2001	DOE ltr dated 05/31/2001 BWXT Y-12 ltr dated 06/27/2001
Addition, cancels and replaces ORO O 250, Chap. I, Chg 1 (not on the contract) that canceled and replaced the original ORO O 250 which was on the contract.				
<u>RD #063</u> ORO O 250 Chapter I	03/27/1998	Oak Ridge Operations Standards Management Program Overview		DOE ltr dated 03/31/2001 BWXT Y-12 ltr dated 06/27/2001
Deletion, canceled and replaced by ORO O 250, Chap. I, Chg 1 which was canceled and replaced by ORO O 250, Chap. I, Chg 2. Also, deleted associated note.				
<u>RD #064</u> ORO O 250 Chapter II	08/13/1996	Oak Ridge Operations Directives System	Change 3 04/25/2001	DOE ltr dated 05/31/2001 BWXT Y-12 ltr dated 06/27/2001
Addition				
<u>RD #065</u> ORO O 250 Chapter II	08/13/1996	Oak Ridge Operations (ORO) Directives System	Change 2 12/13/1999	DOE ltr dated 05/31/2001 BWXT Y-12 ltr dated 06/27/2001
Deletion				
<u>RD #066</u> ORO O 250 Chapter IV	08/13/1996	Impact Assessments	Change 2 04/26/2001	DOE ltr dated 05/31/2001 BWXT Y-12 ltr dated 06/27/2001
Addition				
<u>RD #067</u> ORO O 250 Chapter IV	08/13/1996	Contract Appendix And Impact Assessments	Change 1 12/13/1999	DOE ltr dated 05/31/2001 BWXT Y-12 ltr dated 06/27/2001
Deletion				

OUTLINE OF RCN No. 04 CHANGES

<u>ITEM</u>	<u>DATE</u>	<u>TITLE</u>	<u>CHANGE #</u>	<u>AUTHORIZATION</u>
<u>RD #068</u> ORO O 250 Chapter V	08/13/1996	Development, Approval, And Maintenance Of Work Smart Standards	Change 3 06/19/2001	DOE ltrs dated 05/31/2001 and 06/29/2001 BWXT Y-12 ltrs dated 06/27/2001 and 08/14/2001
Addition				
<u>RD #069</u> ORO O 250 Chapter V	08/13/1996	Development, Approval and Maintenance of Work Smart Standards (WSSs)	Change 1 12/13/1999	DOE ltrs dated 05/31/2001 and 06/29/2001 BWXT Y-12 ltrs dated 06/27/2001 and 08/14/2001
Deletion, canceled and replaced by ORO O 250, Chap. V, Chg 2, which was canceled by ORO O 250, Chap. V, Chg 3.				
<u>RD #070</u> ORO O 250 Chapter VI	08/13/1996	Directive Implementation Plans And Exemption Requests	Change 2 04/26/2001	DOE ltr dated 05/31/2001 BWXT Y-12 ltr dated 06/27/2001
Addition				
<u>RD #071</u> ORO O 250 Chapter VI	08/13/1996	Implementation Plans	Change 1 01/06/2000	DOE ltr dated 05/31/2001 BWXT Y-12 ltr dated 06/27/2001
Deletion				
<u>RD #072</u> ORO O 250 Chapter VII	09/30/1996	Maintenance Of Standards/Requirements Identification Documents	Change 2 04/27/2001	DOE ltr dated 05/31/2001 BWXT Y-12 ltr dated 06/27/2001
Addition				
<u>RD #073</u> ORO O 250 Chapter VII	09/30/1996	Maintenance Of Standards/Requirements Identification Documents (S/RIDs)	Change 1 01/06/2000	DOE ltr dated 05/31/2001 BWXT Y-12 ltr dated 06/27/2001
Deletion				

OUTLINE OF RCN No. 04 CHANGES

<u>ITEM</u>	<u>DATE</u>	<u>TITLE</u>	<u>CHANGE #</u>	<u>AUTHORIZATION</u>
<u>RD #074</u> ORO O 250 Chapter VIII	04/27/2001	Requirements Change Notices		DOE ltr dated 05/31/2001 BWXT Y-12 ltr dated 06/27/2001
Addition				
<u>RD #075</u> ORO O 250 Chapter IX	04/27/2001	Rule Program Documents, Implementation Plans, And Exemption Requests		DOE ltr dated 05/31/2001 BWXT Y-12 ltr dated 06/27/2001
Addition				
<u>RD #076</u> ORO O 220 Chapter I	05/31/1996	Reporting Fraud, Waste, and Abuse to the Office of Inspector General	Change 1 07/28/1998	DOE ltr dated 06/29/2001
Deletion				
<u>RD #077</u> ORO O 560 Chapter I	05/15/1996	Unclassified Computer Security Program	Change 1 08/27/1998	DOE ltr dated 07/16/2001
Deletion				
<u>RD #078</u> ORO O 220 Chapter VII	05/31/1996	Audit Resolution And Followup	Change 2 06/19/2001	DOE ltr dated 06/29/2001 BWXT Y-12 ltr dated 07/30/2001
Addition				
<u>RD #079</u> ORO O 220 Chapter VII	05/31/1996	Audit Resolution and Followup	Change 1 07/28/1998	DOE ltr dated 06/29/2001 BWXT Y-12 ltr dated 07/30/2001
Deletion				
<u>RD #080</u> S/RID 18.0	07/19/2001	Facility (Nuclear) Safety (FS)		DOE ltr dated 07/19/2001 BWXT Y-12 ltr dated 05/25/2001 and 07/30/2001

Revised S/RID 18.0 to delete the Criticality Safety (CS) S/RID (18.6) from the FS S/RID Chapter.

OUTLINE OF RCN No. 04 CHANGES

<u>ITEM</u>	<u>DATE</u>	<u>TITLE</u>	<u>CHANGE #</u>	<u>AUTHORIZATION</u>	
<u>RD #081</u> S/RID 21.0	07/19/2001	Nuclear Criticality Safety (CS)		DOE ltr dated 07/19/2001 BWXT Y-12 ltr dated 05/25/2001 and 07/30/2001	
Established the Nuclear Criticality Safety (CS) Functional Area as a separate S/RID Chapter (21.0) and streamed lined the requirement set.					
<u>RD #082</u> S/RID 20.0	07/27/2001	Environmental Protection (EP)		DOE ltr dated 07/27/2001 BWXT Y-12 ltr dated 06/29/2001 and 08/01/2001	
Revised to accept specific requirements from DOE Notice 450.4 which implements Executive Order 13148.					
<u>RD #083</u> ORO	O 220 Chapter IV	05/31/1996	Coordination of General Accounting Activities	Change 2 06/18/2001	DOE ltr dated 06/29/2001 BWXT Y-12 ltr dated 08/03/2001
Addition					
<u>RD #084</u> ORO	O 220 Chapter IV	05/31/1996	Coordination of General Accounting Activities	Change 1 07/28/1998	DOE ltr dated 06/29/2001 BWXT Y-12 ltr dated 08/03/2001
Deletion					
<u>RD #085</u> S/RID 01.0	06/13/2001	Operational Readiness Review/Readiness Assessment (ORR/RA) Section, Management Systems (MS)		DOE ltr dated 06/13/2001 BWXT Y-12 ltr dated 05/17/2001 and 08/14/2001	
Revised to make the ORR/RA S/RID requirements consistent with DOE Order 425.1B					
<u>RD #086</u> DOE	O 442.1A	06/06/2001	Department Of Energy Employee Concerns Program		DOE ltr dated 07/24/2001 BWXT Y-12 ltr dated 08/17/2001
Addition					

OUTLINE OF RCN No. 04 CHANGES

<u>RD #</u>	<u>ITEM</u>	<u>DATE</u>	<u>TITLE</u>	<u>CHANGE #</u>	<u>AUTHORIZATION</u>
<u>RD #087</u> DOE	O 442.1	02/01/1999	Department Of Energy Employee Concerns Program		DOE ltr dated 07/24/2001 BWXT Y-12 ltr dated 08/17/2001
Deletion					
<u>RD #088</u> DOE	M 475.1-1A	02/26/2001	Identifying Classified Information		DOE ltr dated 07/25/2001 BWXT Y-12 ltr dated 08/20/2001
Addition					
<u>RD #089</u> DOE	M 475.1-1	05/08/1998	Identifying Classified Information		DOE ltr dated 07/25/2001 BWXT Y-12 ltr dated 08/20/2001
Deletion					
<u>RD #090</u> DOE	M 140.1-1B	03/31/2001	Interface With The Defense Nuclear Facilities Safety Board		DOE ltr dated 04/18/2001 and 08/15/2001 BWXT Y-12 ltr dated 05/16/2001 and 08/08/2001
Addition					
<u>RD #091</u> DOE	M 140.1-1A	01/26/1999	Manual for DOE Interface with Defense Nuclear Facilities Safety Board		DOE ltr dated 04/18/2001 and 08/15/2001 BWXT Y-12 ltr dated 05/16/2001
Deletion					
<u>RD #092</u> DOE	M 472.1-1B	07/12/2001	Personnel Security Program		DOE ltr dated 08/02/2001 BWXT Y-12 ltr dated 08/27/2001
Addition					
<u>RD #093</u> DOE	M 472.1-1A	11/16/2000	Personnel Security Program Manual		DOE ltr dated 08/02/2001 BWXT Y-12 ltr dated 08/27/2001
Deletion					

OUTLINE OF RCN No. 04 CHANGES

<u>RD #</u>	<u>ITEM</u>	<u>DATE</u>	<u>TITLE</u>	<u>CHANGE #</u>	<u>AUTHORIZATION</u>
<u>RD #094</u>					
DOE	O 350.2	07/12/2001	Use Of Facility Contractor Employees For Services To DOE In The Washington, D.C., Area		DOE ltr dated 08/15/2001 BWXT Y-12 ltr dated 08/28/2001
	Addition				
<u>RD #095</u>					
DOE	N 350.5	04/15/1999	Use of Facility Contractor Employees for Services to DOE in The Washington D.C., Area		DOE ltr dated 08/15/2001 BWXT Y-12 ltr dated 08/28/2001
	Deletion				

**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	11/03/1999	Conference Management Compliance: Implementation will be in accordance with the Implementation Plan submitted to DOE-ORO on June 1, 2000.		
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 140.1-1B	03/31/2001	Interface With The Defense Nuclear Facilities Safety Board		
DOE	N 142.1	07/14/1999	Unclassified Foreign Visits And Assignments		2
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		2
DOE	N 205.1	07/26/1999	Unclassified Cyber Security Program Compliance: Implementation is in accordance with the LMES Implementation Plan approved by DOE-ORO on August 11, 2000.		2
DOE	N 205.2	11/01/1999	Foreign National Access to DOE Cyber Systems		2
DOE	N 205.3	11/23/1999	Password Generation, Protection, And Use		2
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 241.1A	04/09/2001	Scientific and Technical Information Management		

**SECTION J, ATTACHMENT E
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 REQUIRED COMPLIANCE DOCUMENTS**

DOE DIRECTIVES

<u>REQUIRED COMPLIANCE</u>	<u>DATE</u>	<u>TITLE</u>	<u>THROUGH CHANGE</u>	<u>NOTES (*)</u>
DOE N 251.40	05/03/2001	Extension of DOE Notices On Security		2
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 O 350.2	07/12/2001	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		3
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.		

**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 430.1A	10/14/1998	Life Cycle Asset Management 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 442.1A	06/06/2001	Department Of 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	2
DOE N 470.2	12/15/2000	Reporting Unofficial Foreign Travel		2
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		2

**SECTION J, ATTACHMENT E
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 REQUIRED COMPLIANCE DOCUMENTS**

DOE DIRECTIVES

	<u>REQUIRED COMPLIANCE</u>	<u>DATE</u>	<u>TITLE</u>	<u>THROUGH CHANGE</u>	<u>NOTES (*)</u>
DOE	M 471.2-1B	01/06/1999	Classified Matter Protection and Control Manual Note: Only Chapter III, paragraphs 1 and 2, and Chapter IV remain in effect. Compliance: Implementation to be in accordance with an implementation plan submitted to DOE on August 5, 1999.		
DOE	M 471.2-1C	04/17/2001	Classified Matter Protection and Control Manual Note: Canceled and replaced DOE M 471.2-1B except Chapter III, paragraphs 1 and 2, and Chapter IV, dated January 6, 1999. Compliance: Compliance will be contingent upon allocation of necessary funding to support the implementation and maintenance of the new requirements, and in accordance with approval of an Implementation Plan to be submitted by November 8, 2001.		
DOE	M 471.2-2	08/03/1999	Classified Information Systems Security Manual Note: DOE N 205.3 cancels and replaces Paragraphs 4.j.(2) and (6), Chapter VI, plus Paragraph 12.a.(2)(a), Chapter VII.		
DOE	M 471.2-3	04/20/2000	Special Access Program Policies, Responsibilities, And Procedures Manual		
DOE	N 471.3	04/13/2001	Reporting Incidents Of Security Concern		
DOE	O 472.1B	03/24/1997	Personnel Security Activities		2
DOE	M 472.1-1B	07/12/2001	Personnel Security Program		
DOE	N 473.4	05/26/2000	Department of Energy Badges		2
DOE	N 473.5	06/05/2000	Security Area Vouching And Piggybacking		2
DOE	N 473.6	09/18/2000	Security Conditions 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.		2
DOE	N 473.7	10/26/2000	Explosive Detection Program		2

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	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.				
DOE	O 474.1A	11/20/2000	Control and Accountability of Nuclear Materials		
	Compliance: Compliance will be in accordance with approval of a revised Implementation Plan to be submitted by July 19, 2001.				
DOE	M 474.1-1A	11/22/2000	Manual for Control and Accountability of Nuclear Materials		
	Compliance: Compliance will be in accordance with approval of a revised Implementation Plan to be submitted by July 19, 2001.				
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 475.1-1A	02/26/2001	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		
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		

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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	
<p>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.</p> <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

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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	
MANUAL				
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.				
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		
DOE 5670.1A	01/15/1992	Management & Control of Foreign Intelligence		
Compliance: Implementation is in accordance with MMES letter No. AE92-044 dated June 10, 1992				
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 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 2 06/18/2001	
Chapter VII	05/31/1996	Audit Resolution and Followup	Change 2 06/19/2001	

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ORO O 250		STANDARDS MANAGEMENT		
Chapter I	03/27/1998	ORO Standards Management Program Overview	Change 2 04/25/2001	
Chapter II	08/13/1996	Oak Ridge Operations Directives System	Change 3 04/25/2001	
Chapter IV	08/13/1996	Impact Assessments	Change 2 04/26/2001	
Chapter V	08/13/1996	Development, Approval, and Maintenance Of Work Smart Standards	Change 3 06/19/2001	
Chapter VI	08/13/1996	Directive Implementation Plans and Exemption Requests	Change 2 04/26/2001	
Chapter VII	09/30/1996	Maintenance Of Standards/Requirements Identification Documents	Change 2 04/27/2001	
Chapter VIII	04/27/2001	Requirements Change Notices		
Chapter IX	04/27/2001	Rule Program Documents, Implementation Plans, And Exemption Requests		
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	

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ORO O 430		LIFE CYCLE FACILITY OPERATIONS		
Chapter I	09/24/1996	Life Cycle Asset Management	Change 5 07/07/1999	
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 2 08/20/1999	
NOTE: Attachment 2 does not apply to contractor.				
Chapter IX	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	

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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	
ORO O 530		ACCOUNTING		
Chapter III	06/18/1996	Accounting	Change 2 03/30/2001	
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 Directive was extended until December 31, 2001, by DOE N 251.40, Extension Of DOE Notices On Security, dated May 3, 2001.
- (3) 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	6	06/13/2001
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	8	07/19/2001
19.0	SH - Occupational Safety and Health	5	05/04/2001
20.0	EP - Environmental Protection	6	05/01/2000
21.0	CS - Nuclear Criticality Safety	0	07/19/2001

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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