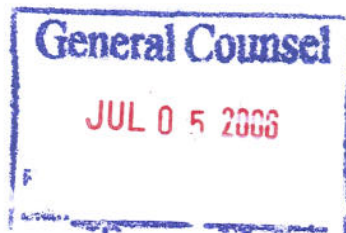




## Department of Energy

Oak Ridge Operations Office  
P.O. Box 2001  
Oak Ridge, Tennessee 37831—



July 5, 2006

Oak Ridge Associated Universities  
Attn: Mr. Ivan Boatner, General Counsel  
P.O. Box 117  
Oak Ridge, Tennessee 37831

**SUBJECT: CONTRACT NO. DE-AC05-06OR23100, MODIFICATION M012**

Dear Mr. Boatner:

Enclosed is one fully executed copy of the subject document. This modification incorporates RCN ORAU-02 into the contract, replacing Section J, Attachment D. If you have any questions regarding this action, you may contact me at 576-0783 or via e-mail at [holtbl@oro.doe.gov](mailto:holtbl@oro.doe.gov).

*Beth L. Holt*  
Beth L. Holt  
Contract Specialist  
Contracts and Property Management Branch  
Procurement and Contracts Division

Enclosure

<b>AMENDMENT OF SOLICITATION/MODIFICATION OF CONTRACT</b>		<b>1. CONTRACT ID CODE</b>	<b>PAGE OF PAGES</b> 1   1	
<b>2. AMENDMENT/MODIFICATION NO.</b> M012	<b>3. EFFECTIVE DATE</b> See Block 16.c	<b>4. REQUISITION/PURCHASE REQ. NO.</b> WPAS-NOPR	<b>5. PROJECT NO. (If applicable)</b>	
<b>6. ISSUED BY</b> U.S. Department of Energy Oak Ridge Office Procurement and Contracts Division ATTN: Beth L. Holt P.O. Box 2001 Oak Ridge, TN 37831-8758	<b>CODE</b>	<b>7. ADMINISTERED BY (If other than Item 6)</b>		<b>CODE</b>
<b>8. NAME AND ADDRESS OF CONTRACTOR (No., street, county, State and ZIP Code)</b>  Oak Ridge Associated Universities P.O. Box 117 Oak Ridge, TN 37831		<input type="checkbox"/>	<b>9A. AMENDMENT OF SOLICITATION NO.</b>	
		<input type="checkbox"/>	<b>9B. DATED (SEE ITEM 11)</b>	
		<input checked="" type="checkbox"/>	<b>10A. MODIFICATION OF CONTRACT/ORDER NO.</b>  DE-AC05-06OR23100	
<b>CODE</b>		<b>10B. DATED (SEE ITEM 13)</b> December 21, 2005		<b>FACILITY CODE</b>

**11. THIS ITEM 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)**

Amount Obligated:

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

<b>CHECK ONE</b>	<b>A. THIS CHANGE ORDER IS ISSUED PURSUANT TO: (Specify authority)</b> THE CHANGES SET FORTH IN ITEM 14 ARE MADE IN THE CONTRACT/ORDER NO. IN ITEM 10A.
<input type="checkbox"/>	
<input type="checkbox"/>	<b>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).</b>
<input checked="" type="checkbox"/>	<b>C. THIS SUPPLEMENTAL AGREEMENT IS ENTERED INTO PURSUANT TO AUTHORITY OF:</b> P.L. 95-91; Mutual Agreement
<input type="checkbox"/>	<b>D. OTHER (Specify type of modification and authority)</b>

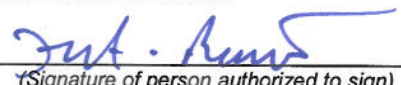
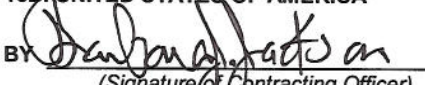
**E. IMPORTANT:** Contractor  is not,  is required to sign this document and return 3 copies to the issuing office.

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

The purpose of this modification is to delete Section J, Attachment D, DOE Directives (List B) (17 pages), in its entirety and substitute the attached Requirements Change Notice ORAU-02 (21 pages) in lieu thereof.

It is agreed among the parties that this revision will have no impact on the cost and fee payable to the Contractor under the terms and conditions of this contract.

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.

<b>15A. NAME AND TITLE OF SIGNER (Type or print)</b> Ivan A. Boatner General Counsel		<b>16A. NAME AND TITLE OF CONTRACTING OFFICER (Type or print)</b> Barbara J. Jackson, Contracting Officer	
<b>15B. CONTRACT/OFFEROR</b>	<b>15C. DATE SIGNED</b> 6/26/06	<b>16B. UNITED STATES OF AMERICA</b>	<b>16C. DATE SIGNED</b> 07/03/06
BY  (Signature of person authorized to sign)		BY  (Signature of Contracting Officer)	

DOE Form  
(04/1991)

**U.S. Department of Energy  
REQUIREMENTS CHANGE NOTICE**

No.: ORAU-02

Page 1 of 21 Pages

PROJECT:  
Contract Baseline Documentation

LOCATION:  
Oak Ridge, Tennessee

CONTRACTOR:  
Oak Ridge Associated Universities (ORAU)

CONTRACT NO.:  
DE-AC05-06OR23100, I.105, Laws, Regulations, and  
DOE Directives, DEAR 970.5204-2

DATE OF CONTRACT:  
January 1, 2006

This Requirements Change Notice (RCN) No. ORAU-02 incorporates into Section J, Attachment D, of Contract No. DE-AC05-06OR23100, 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. This is a complete numbered list of administrative requirements and a representation of environment, safety, and health (ES&H) requirements. Information regarding ES&H-related directives and their applicability can only be obtained from the WSS set. ES&H-related directives in the WSS set are italicized in Section J, Attachment D. Changes to Section J, Attachment D, are indicated by bold type. Below is a list of the directives incorporated herein:

**ADDITIONS:**

DOE O 243.1	DOE O 451.1B, Change 1
DOE O 243.2	DOE O 470.3A
DOE O 420.1B	DOE M 470.4-1, Change 1
DOE M 440.1-1A	DOE M 470.4-2, Change 1
DOE O 450.1, Change 2	DOE M 470.4-3, Change 1

ORO O 250, Chapter I, Change 5  
ORO O 250, Chapter II, Change 6  
ORO O 250, Chapter IV, Change 4  
ORO O 250, Chapter V, Change 6  
ORO O 250, Chapter VI, Change 5  
ORO O 250, Chapter VIII, Change 2  
ORO O 250, Chapter X, Change 1

**DELETIONS:**

DOE O 420.1A	DOE O 470.3
DOE M 440.1-1	DOE M 470.4-1
DOE O 450.1, Change 1	DOE M 470.4-2
DOE O 451.1B	DOE M 470.4-3

ORO O 250, Chapter I, Change 4  
ORO O 250, Chapter II, Change 5  
ORO O 250, Chapter IV, Change 3  
ORO O 250, Chapter V, Change 5  
ORO O 250, Chapter VI, Change 4  
ORO O 250, Chapter VIII, Change 1  
ORO O 250, Chapter X

**UPDATES**

Work Smart Standards Set, Revision 23  
Work Smart Standards Set, Revision 24

*S. a. Mill*

DATE:

*6/21/06*

## OUTLINE OF CHANGES

RCN No. ORAU-02  
Page 2 of 21 Pages

REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	AUTHORIZATION
DOE O 243.1 Addition	02/03/2006	RECORDS MANAGEMENT PROGRAM		ORO ltr dtd 03/21/2006 ORAU ltr dtd 04/18/2006
DOE O 243.2 Addition	02/02/2006	VITAL RECORDS		ORO ltr dtd 03/21/2006 ORAU ltr dtd 04/18/2006
DOE O 420.1A Deletion (Cancelled and replaced by DOE O 420.1B)	05/20/2002	FACILITY SAFETY		ORO ltr dtd 02/14/2006 ORAU ltr dtd 03/14/2006
DOE O 420.1B Addition (Cancels and replaces DOE O 420.1A)	12/22/2005	FACILITY SAFETY		ORO ltr dtd 02/14/2006 ORAU ltr dtd 03/14/2006
DOE M 440.1-1 Deletion (Cancelled and replaced by DOE M 440.1-1A)	03/29/1996	EXPLOSIVES SAFETY MANUAL		ORO ltr dtd 02/14/2006 ORAU ltr dtd 03/14/2006
DOE M 440.1-1A Addition (Cancels and replaces DOE M 440.1-1)	01/09/2006	DOE EXPLOSIVES SAFETY MANUAL		ORO ltr dtd 02/14/2006 ORAU ltr dtd 03/14/2006
DOE O 450.1 Deletion (Cancelled and replaced by DOE O 450.1, Change 2)	01/15/2003	ENVIRONMENTAL PROTECTION PROGRAM	1 01/24/2005	ORO ltr dtd 02/28/2006 ORAU ltr dtd 03/27/2006
DOE O 450.1 Addition (Cancels and replaces DOE O 450.1, Change 1)	01/15/2003	ENVIRONMENTAL PROTECTION PROGRAM	2 12/07/2005	ORO ltr dtd 02/28/2006 ORAU ltr dtd 03/27/2006
DOE O 451.1B Deletion (Cancelled and replaced by DOE O 451.1B, Change 1)	10/26/2000	NATIONAL ENVIRONMENTAL POLICY ACT COMPLIANCE PROGRAM		ORO e-mail dtd 02/17/2006

## OUTLINE OF CHANGES

REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	AUTHORIZATION
<b>DOE O 451.1B</b> Addition (Cancels and replaces DOE O 451.1B)	10/26/2000	NATIONAL ENVIRONMENTAL POLICY ACT COMPLIANCE PROGRAM	1 09/28/2001	ORO e-mail dtd 02/17/2006 ORAU e-mail dtd 03/22/2006
<b>DOE O 470.3</b> Deletion (Cancelled and replaced by DOE O 470.3A)	10/18/2004	DESIGN BASIS THREAT POLICY (U)		ORO ltr dtd 01/25/2006 ORAU ltr dtd 03/17/2006
<b>DOE O 470.3A</b> Addition (Cancels and replaces DOE O 470.3)	11/29/2005	DESIGN BASIS THREAT POLICY (U)		ORO ltr dtd 01/25/2006 ORAU ltr dtd 03/17/2006
<b>DOE M 470.4-1</b> Deletion (Cancelled and replaced by DOE M 470.4-1, Change 1)	08/26/2005	SAFEGUARDS AND SECURITY PROGRAM PLANNING AND MANAGEMENT		ORO ltr dtd 04/07/2006 ORAU ltr dtd 04/27/2006
<b>DOE M 470.4-1</b> Addition (Cancels and replaces DOE M 470.4-1)	08/26/2005	SAFEGUARDS AND SECURITY PROGRAM PLANNING AND MANAGEMENT	1 03/07/2006	ORO ltr dtd 04/07/2006 ORAU ltr dtd 04/27/2006
<b>DOE M 470.4-2</b> Deletion (Cancelled and replaced by DOE M 470.4-2, Change 1)	08/26/2005	PHYSICAL PROTECTION		ORO ltr dtd 04/19/2006 ORAU ltr dtd 05/16/2006
<b>DOE M 470.4-2</b> Addition (Cancels and replaces DOE M 470.4-2)	08/26/2005	PHYSICAL PROTECTION	1 03/07/2006	ORO ltr dtd 04/19/2006 ORAU ltr dtd 05/16/2006
<b>DOE M 470.4-3</b> Deletion (Cancelled and replaced by DOE M 470.4-3, Change 1)	08/26/2005	PROTECTIVE FORCE		ORO ltr dtd 04/19/2006 ORAU ltr dtd 05/16/2006
<b>DOE M 470.4-3</b> Addition (Cancels and replaces DOE M 470.4-3)	08/26/2005	PROTECTIVE FORCE	1 03/07/2006	ORO ltr dtd 04/19/2006 ORAU ltr dtd 05/16/2006

## OUTLINE OF CHANGES

REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	AUTHORIZATION
<b>ORO O 250 Chapter I</b> Deletion (Cancelled and replaced by ORO O 250, Chapter I, Change 5)	08/13/1996	ORO STANDARDS MANAGEMENT PROGRAM OVERVIEW	4 03/10/2004	ORO ltr dtd 05/01/2006 ORAU ltr dtd 05/16/2006
<b>ORO O 250 Chapter I</b> Addition (Cancels and replaces ORO O 250, Chapter I, Change 4)	08/13/1996	ORO STANDARDS MANAGEMENT PROGRAM OVERVIEW	5 04/18/2006	ORO ltr dtd 05/01/2006 ORAU ltr dtd 05/16/2006
<b>ORO O 250, Chapter II</b> Deletion (Cancelled and replaced by ORO O 250, Chapter II, Change 6)	08/13/1996	ORO DIRECTIVES SYSTEM	5 12/03/2003	ORO ltr dtd 05/01/2006 ORAU ltr dtd 05/08/2006
<b>ORO O 250, Chapter II</b> Addition (Cancels and replaces ORO O 250, Chapter II, Change 5)	08/13/1996	ORO DIRECTIVES SYSTEM	6 04/18/2006	ORO ltr dtd 05/01/2006 ORAU ltr dtd 05/08/2006
<b>ORO O 250, Chapter IV</b> Deletion (Cancelled and replaced by ORO O 250, Chapter IV, Change 4)	08/13/1996	IMPACT ASSESSMENTS	3 10/31/2003	ORO ltr dtd 05/01/2006 ORAU ltr dtd 05/08/2006
<b>ORO O 250, Chapter IV</b> Addition (Cancels and replaces ORO O 250, Chapter IV, Change 3)	08/13/1996	IMPACT ASSESSMENTS	4 04/18/2006	ORO ltr dtd 05/01/2006 ORAU ltr dtd 05/08/2006

## OUTLINE OF CHANGES

REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	AUTHORIZATION
ORO O 250, Chapter V Deletion (Cancelled and replaced by ORO O 250, Chapter V, Change 6)	08/13/1996	DEVELOPMENT, APPROVAL, AND MAINTENANCE OF WORK SMART STANDARDS SETS	5 12/03/2003	ORO ltr dtd 05/01/2006 ORAU ltr dtd 05/18/2006
ORO O 250, Chapter V Addition (Cancels and replaces ORO O 250, Chapter V, Change 5)	08/13/1996	DEVELOPMENT, APPROVAL, AND MAINTENANCE OF WORK SMART STANDARDS SETS	6 04/18/2006	ORO ltr dtd 05/01/2006 ORAU ltr dtd 05/18/2006
ORO O 250, Chapter VI Deletion (Cancelled and replaced by ORO O 250, Chapter VI, Change 5)	09/30/1996	IMPLEMENTATION PLANS AND EXEMPTION REQUESTS	4 12/03/2003	ORO ltr dtd 05/01/2006 ORAU ltr dtd 05/08/2006
ORO O 250, Chapter VI Addition (Cancels and replaces ORO O 250, Chapter IV, Change 4)	09/30/1996	IMPLEMENTATION PLANS AND EXEMPTION REQUESTS	5 04/18/2006	ORO ltr dtd 05/01/2006 ORAU ltr dtd 05/08/2006
ORO O 250, Chapter VIII Deletion (Cancelled and replaced by ORO O 250, Chapter VIII, Change 2)	04/27/2001	REQUIREMENTS CHANGE NOTICES	1 10/31/2003	ORO ltr dtd 05/01/2006 ORAU ltr dtd 05/11/2006
ORO O 250, Chapter VIII Addition (Cancels and replaces ORO O 250, Chapter VIII, Change 1)	04/27/2001	REQUIREMENTS CHANGE NOTICES	2 04/18/2006	ORO ltr dtd 05/01/2006 ORAU ltr dtd 05/11/2006

## OUTLINE OF CHANGES

REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	AUTHORIZATION
<b>ORO O 250, Chapter X</b> Deletion (Cancelled and replaced by ORO O 250, Chapter X, Change 1)	10/31/2003	DOE DIRECTIVES SYSTEM		ORO ltr dtd 05/01/2006 ORAU ltr dtd 05/11/2006
<b>ORO O 250, Chapter X</b> Addition (Cancels and replaces ORO O 250, Chapter X)	10/31/2003	DOE DIRECTIVES SYSTEM	1 04/18/2006	ORO ltr dtd 05/01/2006 ORAU ltr dtd 05/11/2006
Work Smart Standards Updates Revision Number and Date	12/13/1999	ORISE WORK SMART STANDARDS SET	23 03/22/2006	ORAU e-mail dtd 03/22/2006
Work Smart Standards Updates Revision Number and Date	12/13/1999	ORISE WORK SMART STANDARDS SET	24 05/19/2006	ORAU e-mail dtd 05/19/2006



ATTACHMENT D

BASELINE LIST OF  
REQUIRED COMPLIANCE DOCUMENTS

List B - List of Applicable Directives

DOE DIRECTIVES				
DOE directives may be found at the following Internet address: <a href="http://www.directives.doe.gov/">http://www.directives.doe.gov/</a>				
REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	NOTES AND COMMENTS
DOE O 110.3	11/03/1999	CONFERENCE MANAGEMENT		
DOE O 130.1	09/29/1995	BUDGET FORMULATION PROCESS		Expiration date extended to 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 P 141.2	05/02/2003	PUBLIC PARTICIPATION AND COMMUNITY RELATIONS		
DOE O 142.1	01/13/2004	CLASSIFIED VISITS INVOLVING FOREIGN NATIONALS		
DOE O 142.3	06/18/2004	UNCLASSIFIED FOREIGN VISITS AND ASSIGNMENTS PROGRAM		
DOE O 151.1C	11/02/2005	COMPREHENSIVE EMERGENCY MANAGEMENT SYSTEM		
DOE N 153.2	08/11/2003	CONNECTIVITY TO NATIONAL ATMOSPHERIC RELEASE ADVISORY CENTER (NARAC)		Footnote (2)
DOE O 200.1	09/30/1996	INFORMATION MANAGEMENT PROGRAM		
DOE M 200.1-1	03/10/1997	TELECOMMUNICATIONS SECURITY MANUAL (OFFICIAL USE ONLY)		
DOE N 203.1	10/02/2000	SOFTWARE QUALITY ASSURANCE		Expiration date extended to 12/31/2001 by DOE N 251.40.

**ATTACHMENT D**

**BASELINE LIST OF  
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REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	NOTES AND COMMENTS
DOE O 205.1	03/21/2003	DEPARTMENT OF ENERGY CYBER SECURITY MANAGEMENT PROGRAM		
DOE M 205.1-1	09/30/2004	INCIDENT PREVENTION, WARNING, AND RESPONSE (IPWAR) MANUAL		
DOE M 205.1-2	06/26/2005	CLEARING, SANITIZATION, AND DESTRUCTION OF INFORMATION SYSTEM STORAGE MEDIA, MEMORY DEVICES, AND RELATED HARDWARE MANUAL		
----- Compliance: Implementation Plan Approved 02/01/2006. -----				
DOE N 205.2	11/01/1999	FOREIGN NATIONAL ACCESS TO DOE CYBER SYSTEMS		Expiration date extended to 09/30/2006 by DOE N 205.16.
DOE N 205.3	11/23/1999	PASSWORD GENERATION, PROTECTION, AND USE		Expiration date extended to 09/30/2006 by DOE N 205.16.
DOE N 205.8	02/11/2004	CYBER SECURITY REQUIREMENTS FOR WIRELESS DEVICES AND INFORMATION SYSTEMS		Expiration date extended to 03/18/2006 by DOE N 205.15.
DOE N 205.9	02/19/2004	CERTIFICATION AND ACCREDITATION PROCESS FOR INFORMATION SYSTEMS INCLUDING NATIONAL SECURITY SYSTEMS		Expiration date extended to 03/18/2006 by DOE N 205.15.
DOE N 205.10	02/19/2004	CYBER SECURITY REQUIREMENTS FOR RISK MANAGEMENT		Expiration date extended to 03/18/2006 by DOE N 205.15.

ATTACHMENT D

BASELINE LIST OF  
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REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	NOTES AND COMMENTS
DOE N 205.11	02/19/2004	SECURITY REQUIREMENTS FOR REMOTE ACCESS TO DOE AND APPLICABLE CONTRACTOR INFORMATION TECHNOLOGY SYSTEMS		Expiration date extended to 03/18/2006 by DOE N 205.15.
DOE N 206.3	11/22/2005	PERSONAL IDENTITY VERIFICATION		
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 221.3	12/17/2001	ESTABLISHMENT OF MANAGEMENT DECISIONS ON OFFICE OF INSPECTOR GENERAL REPORTS		
DOE N 221.11	09/20/2005	REPORTING FRAUD, WASTE, AND ABUSE		
DOE O 225.1A	11/26/1997	ACCIDENT INVESTIGATIONS		
DOE O 226.1	09/15/2005	IMPLEMENTATION OF DEPARTMENT OF ENERGY OVERSIGHT POLICY		
DOE P 226.1	06/10/2005	DEPARTMENT OF ENERGY OVERSIGHT POLICY		
DOE O 231.1A	08/19/2003	ENVIRONMENT, SAFETY AND HEALTH REPORTING		
DOE M 231.1-1A	03/19/2004	ENVIRONMENT, SAFETY AND HEALTH REPORTING MANUAL	1 09/09/2004	

**ATTACHMENT D**

**BASELINE LIST OF  
REQUIRED COMPLIANCE DOCUMENTS**

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REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	NOTES AND COMMENTS
DOE M 231.1-2	08/19/2003	OCCURRENCE REPORTING AND PROCESSING OF OPERATIONS INFORMATION		
DOE O 241.1A	04/09/2001	SCIENTIFIC AND TECHNICAL INFORMATION MANAGEMENT	1 10/04/2003	
DOE O 243.1	02/03/2006	RECORDS MANAGEMENT PROGRAM		
DOE O 243.2	02/02/2006	VITAL RECORDS		
DOE O 251.1A	01/30/1998	DIRECTIVES SYSTEM		
DOE M 251.1-1A	01/30/1998	DIRECTIVES SYSTEM MANUAL		
DOE O 252.1	11/19/1999	TECHNICAL STANDARDS PROGRAM		
DOE O 350.1	09/30/1996	CONTRACTOR HUMAN RESOURCE MANAGEMENT PROGRAMS	1 05/08/1998	
DOE O 412.1	04/20/1999	WORK AUTHORIZATION SYSTEM		
DOE O 413.1A	04/18/2002	MANAGEMENT CONTROL PROGRAM		
DOE P 413.2	01/07/2004	VALUE ENGINEERING		
DOE O 413.3	10/13/2000	PROGRAM AND PROJECT MANAGEMENT FOR THE ACQUISITION OF CAPITAL ASSETS	1 01/03/2005	
DOE M 413.3-1	03/28/2003	PROJECT MANAGEMENT FOR THE ACQUISITION OF CAPITAL ASSETS		

ATTACHMENT D

BASELINE LIST OF  
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REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	NOTES AND COMMENTS
DOE O 414.1C	06/17/2005	QUALITY ASSURANCE		ES&H-related directive included in WSS. See Footnote (3).
DOE O 420.1B	12/22/2005	FACILITY SAFETY		ES&H-related directive included in WSS. See Footnote (3).
DOE O 430.1B	09/24/2003	REAL PROPERTY ASSET MANAGEMENT		
DOE O 430.2A	04/15/2002	DEPARTMENTAL ENERGY AND UTILITIES MANAGEMENT		
DOE O 435.1	07/09/1999	RADIOACTIVE WASTE MANAGEMENT	1 08/28/2001	ES&H-related directive included in WSS. See Footnote (3).
DOE M 435.1-1	07/09/1999	RADIOACTIVE WASTE MANAGEMENT MANUAL	1 06/19/2001	ES&H-related directive included in WSS. See Footnote (3).
DOE O 440.1A	03/27/1998	WORKER PROTECTION MANAGEMENT FOR DOE FEDERAL AND CONTRACTOR EMPLOYEES		ES&H-related directive included in WSS. See Footnote (3).  Attachment 1, Paragraph 8, and Attachment 2, Paragraph 22, cancelled by DOE O 414.1B.
DOE M 440.1-1A	01/09/2006	DOE EXPLOSIVES SAFETY MANUAL		ES&H-related directive included in WSS. See Footnote (3).
DOE O 442.1A	06/06/2001	DEPARTMENT OF ENERGY EMPLOYEE CONCERNS PROGRAM		

ATTACHMENT D

BASELINE LIST OF  
REQUIRED COMPLIANCE DOCUMENTS

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REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	NOTES AND COMMENTS
DOE O 443.1	05/15/2000	PROTECTION OF HUMAN SUBJECTS		
DOE O 450.1	01/15/2003	ENVIRONMENTAL PROTECTION PROGRAM	2 12/07/2005	ES&H-related directive included in WSS. See Footnote (3).
DOE P 450.7	08/02/2004	DEPARTMENT OF ENERGY ENVIRONMENT, SAFETY AND HEALTH (ES&H) GOALS		
DOE O 451.1B	10/26/2000	NATIONAL ENVIRONMENTAL POLICY ACT COMPLIANCE PROGRAM	1 09/28/2001	ES&H-related directive included in WSS. See Footnote (3).
DOE M 452.4-1A	03/11/2004	PROTECTION OF USE CONTROL VULNERABILITIES AND DESIGNS		
DOE O 460.1B	04/04/2003	PACKAGING AND TRANSPORTATION SAFETY		
DOE O 460.2A	12/22/2004	DEPARTMENTAL MATERIALS TRANSPORTATION AND PACKAGING MANAGEMENT		
DOE M 460.2-1	09/23/2002	RADIOACTIVE MATERIAL TRANSPORTATION PRACTICES MANUAL		Footnote (2)
DOE P 470.1	05/08/2001	INTEGRATED SAFEGUARDS AND SECURITY MANAGEMENT (ISSM) POLICY		
DOE N 470.2	12/15/2000	REPORTING UNOFFICIAL FOREIGN TRAVEL		Expiration date extended to 12/31/2001 by DOE N 251.40.

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List B - List of Applicable Directives

<b>DOE DIRECTIVES</b> DOE directives may be found at the following Internet address: <a href="http://www.directives.doe.gov/">http://www.directives.doe.gov/</a>				
REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	NOTES AND COMMENTS
DOE O 470.2B	10/31/2002	INDEPENDENT OVERSIGHT AND PERFORMANCE ASSURANCE PROGRAM		
DOE O 470.3A	11/29/2005	DESIGN BASIS THREAT POLICY (U)		
DOE O 470.4	08/26/2005	SAFEGUARDS AND SECURITY PROGRAM		
DOE M 470.4-1	08/26/2005	SAFEGUARDS AND SECURITY PROGRAM PLANNING AND MANAGEMENT	1 03/07/2006	
DOE M 470.4-2	08/26/2005	PHYSICAL PROTECTION	1 03/07/2006	
DOE M 470.4-3	08/26/2005	PROTECTIVE FORCE	1 03/07/2006	
DOE M 470.4-4	08/26/2005	INFORMATION SECURITY		
DOE M 470.4-5	08/26/2005	PERSONNEL SECURITY		
DOE M 470.4-6	08/26/2005	NUCLEAR MATERIAL CONTROL AND ACCOUNTABILITY		
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) canceled by DOE N 205.3.  Chapter III, Section 8, canceled by DOE N 205.4.

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REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	NOTES AND COMMENTS
DOE O 471.3	04/09/2003	IDENTIFYING AND PROTECTING OFFICIAL USE ONLY INFORMATION		
DOE M 471.3-1	04/09/2003	MANUAL FOR IDENTIFYING AND PROTECTING OFFICIAL USE ONLY INFORMATION		
DOE O 475.1	12/10/2004	COUNTERINTELLIGENCE PROGRAM		
DOE M 475.1-1A	05/08/1998	IDENTIFYING CLASSIFIED INFORMATION		Expiration date extended to 03/03/2006 by DOE N 251.61.
DOE N 481.1A	04/21/2003	REIMBURSABLE WORK FOR DEPARTMENT OF HOMELAND SECURITY		Expiration date extended to 04/21/2006 by DOE N 251.62.
DOE O 481.1B	09/28/2001	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	1 09/28/2001	
DOE O 522.1	11/03/2004	PRICING OF DEPARTMENTAL MATERIALS AND SERVICES		
DOE O 534.1B	01/06/2003	ACCOUNTING		
DOE O 551.1B	08/19/2003	OFFICIAL FOREIGN TRAVEL		
DOE M 573.1-1	07/12/2000	MAIL SERVICES USER'S MANUAL		
DOE O 580.1	12/07/2005	DEPARTMENT OF ENERGY PERSONAL PROPERTY MANAGEMENT PROGRAM		



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DOE directives may be found at the following Internet address: <a href="http://www.directives.doe.gov/">http://www.directives.doe.gov/</a>				
REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	NOTES AND COMMENTS
DOE 1340.1B	01/07/1993	MANAGEMENT OF PUBLIC COMMUNICATIONS PUBLICATIONS AND SCIENTIFIC, TECHNICAL, AND ENGINEERING PUBLICATIONS		
DOE 1350.1	10/28/1981	AUDIOVISUAL AND EXHIBITS MANAGEMENT	1 03/26/1984	
DOE 1450.4	11/12/1992	CONSENSUAL LISTENING-IN TO OR RECORDING TELEPHONE/RADIO CONVERSATIONS		
DOE 2340.1C	06/08/1992	COORDINATION OF GENERAL ACCOUNTING OFFICE ACTIVITIES		
DOE 5400.5	02/08/1990	RADIATION PROTECTION OF THE PUBLIC AND THE ENVIRONMENT	2 01/07/1993	<i>ES&amp;H-related directive included in WSS. See Footnote (3).</i>
DOE 5530.1A	09/20/1991	ACCIDENT RESPONSE GROUP		<i>ES&amp;H-related directive included in WSS. See Footnote (3).</i>
DOE 5530.5	07/10/1992	FEDERAL RADIOLOGICAL MONITORING AND ASSESSMENT CENTER	1 12/02/1992	<i>ES&amp;H-related directive included in WSS. See Footnote (3).</i>

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SECRETARY OF ENERGY NOTICES (SENS)				
SENS may be found at the following Internet address: <a href="http://www.directives.doe.gov/">http://www.directives.doe.gov/</a>				
REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	NOTES AND COMMENTS
SEN-22-90	05/08/1990	DOE POLICY ON SIGNATURES OF RCRA PERMIT APPLICATIONS		

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<b>ORO DIRECTIVES</b>				
ORO directives may be found at the following Internet address: <a href="http://www.ornl.gov/doe_oro_dmg/oro_dir.htm">http://www.ornl.gov/doe_oro_dmg/oro_dir.htm</a>				
REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	NOTES AND COMMENTS
<b>ORO O 130</b>		<b>BUDGET</b>		
Chapter II	05/15/1996	SHUTDOWN OF DEPARTMENTAL OPERATIONS UPON FAILURE BY CONGRESS TO ENACT APPROPRIATIONS	4 06/01/2005	
<b>ORO O 150</b>		<b>EMERGENCY MANAGEMENT AND PLANNING</b>		
Chapter I	09/30/1996	COMPREHENSIVE EMERGENCY MANAGEMENT SYSTEM	6 04/22/2004	
<b>ORO O 220</b>		<b>ASSESSMENTS</b>		
Chapter II	09/30/1996	COOPERATION WITH THE OFFICE OF INSPECTOR GENERAL	4 09/06/2005	
Chapter III	05/31/1996	ESTABLISHMENT OF MANAGEMENT DECISIONS ON OFFICE OF INSPECTOR GENERAL REPORTS	4 04/07/2004	
Chapter IV	05/31/1996	COORDINATION OF GOVERNMENT ACCOUNTABILITY OFFICE ACTIVITIES	4 04/29/2005	
Chapter VII	05/31/1996	AUDIT RESOLUTION AND FOLLOW-UP	4 04/29/2005	

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List B - List of Applicable Directives

<b>ORO DIRECTIVES</b> ORO directives may be found at the following Internet address: <a href="http://www.ornl.gov/doe_oro_dmg/oro_dir.htm">http://www.ornl.gov/doe_oro_dmg/oro_dir.htm</a>				
REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	NOTES AND COMMENTS
<b>ORO O 230</b>				
Chapter I	09/30/1996	ENVIRONMENT, SAFETY, AND HEALTH PROGRAM FOR OAK RIDGE OPERATIONS	4 07/09/2004	
Chapter III	06/14/1996	COMPREHENSIVE ENVIRONMENTAL RESPONSE, COMPENSATION, AND LIABILITY ACT (CERCLA) REQUIREMENTS	4 06/22/2004	Footnote (2)
<b>ORO O 250</b>				
Chapter I	08/13/1996	ORO STANDARDS MANAGEMENT PROGRAM OVERVIEW	5 04/18/2006	
Chapter II	08/13/1996	ORO DIRECTIVES SYSTEM	6 04/18/2006	
Chapter IV	08/13/1996	IMPACT ASSESSMENTS	4 04/18/2006	
Chapter V	08/13/1996	DEVELOPMENT, APPROVAL, AND MAINTENANCE OF WORK SMART STANDARDS SETS	6 04/18/2006	
Chapter VI	09/30/1996	IMPLEMENTATION PLANS AND EXEMPTION REQUESTS	5 04/18/2006	
Chapter VIII	04/27/2001	REQUIREMENTS CHANGE NOTICES	2 04/18/2006	
Chapter X	10/31/2003	DOE DIRECTIVES SYSTEM	1 04/18/2006	

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<b>ORO DIRECTIVES</b>				
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REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	NOTES AND COMMENTS
ORO O 350		CONTRACTOR HUMAN RESOURCE PROGRAMS		
Chapter III	05/31/1996	FEDERAL LABOR STANDARDS	3 01/26/2004	
ORO O 410		MANAGEMENT		
Chapter I	09/24/1996	WORK AUTHORIZATION SYSTEM	4 08/04/2005	
ORO O 430		LIFE CYCLE ASSET MANAGEMENT		
Chapter II	06/14/1996	ENERGY AND UTILITIES MANAGEMENT	3 02/19/2004	
ORO O 440		WORKER PROTECTION		
Chapter V	09/30/1996	EMPLOYEE CONCERNS MANAGEMENT SYSTEM	4 05/23/2005	
ORO O 470		SAFEGUARDS AND SECURITY		
Chapter I	09/30/1996	SAFEGUARDS AND SECURITY PROGRAM	3 10/29/2004	
Chapter VII	05/15/1996	PROTECTION AND CONTROL OF SAFEGUARDS AND SECURITY INTERESTS	4 02/02/2005	
Chapter IX	05/15/1996	CONTROL AND ACCOUNTABILITY OF NUCLEAR MATERIALS	3 12/29/2004	
Chapter XIII	01/30/2004	TECHNICAL SURVEILLANCE COUNTERMEASURES PROGRAM - USE OF TELEPHONE LINEMAN-TYPE HANDSETS OR ITEMS SIMILAR IN PURPOSE, USE, OR EFFECT ON DOE-OWNED OR DOE-LEASED PROPERTY		

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<b>ORO DIRECTIVES</b> ORO directives may be found at the following Internet address: <a href="http://www.ornl.gov/doe_oro_dmg/oro_dir.htm">http://www.ornl.gov/doe_oro_dmg/oro_dir.htm</a>				
REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH CHANGE	NOTES AND COMMENTS
ORO O 530		ACCOUNTING		
Chapter III	06/18/1996	ACCOUNTING	5 02/02/2005	
ORO O 550		TRAVEL AND TRANSPORTATION		
Chapter II	09/26/2001	FOREIGN TRAVEL AUTHORIZATION	1 12/16/2004	Footnote (4)

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<b>WORK SMART STANDARDS (WSS) SET</b> WSS Set may be found at: <a href="http://www.ornl.gov/orise/wss.htm">http://www.ornl.gov/orise/wss.htm</a>				
REQUIRED COMPLIANCE DOCUMENT	DATE	TITLE	THROUGH REVISION	NOTES AND COMMENTS
WSS Set	12/13/1999	OAK RIDGE INSTITUTE FOR SCIENCE AND EDUCATION (ORISE) WORK SMART STANDARDS SET	23 03/22/2006	
WSS Set	12/13/1999	OAK RIDGE INSTITUTE FOR SCIENCE AND EDUCATION (ORISE) WORK SMART STANDARDS SET	24 05/19/2006	

**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) The Contractor does not perform activities which fall within the scope of this directive at this time. If these activities are conducted at some future date, the requirements contained in this document will be applicable to the Contractor and programs to implement the requirements of this document will be established when and if such activities are to be initiated.
- (3) This document is ES&H-related and appears on the current Work Smart Standards Set. In an S/RID or WSS Set, the document may be referenced in its entirety or only certain chapters, paragraphs, or sections.
- (4) The requirements of this document are applicable; however, specific additional clarification or guidance is required from DOE before such requirements can be implemented in full as indicated in written requests for direction from the Contractor.