

PART III - LIST OF DOCUMENTS, EXHIBITS AND OTHER ATTACHMENTS

SECTION J - LIST OF ATTACHMENTS

APPENDIX D

PROCESS FOR INCORPORATION OF NEW AND REVISED DOE DIRECTIVES

Attached to this Appendix D is the process to be utilized for the incorporation of new and revised DOE Directives into the Appendix E List of Applicable Directives (List B).

Appendix D

Process for Incorporation of New and Revised DOE Directives into the List of Applicable Directives (List B)

Pursuant to the requirements of the DEAR clause in Section I of the contract entitled, “970.5204-2 Laws, Regulations and DOE Directives,” this Appendix describes the process for incorporation of new and revised DOE Directives into the Appendix E List of Applicable Directives (List B).

On behalf of the Contracting Officer (CO), the Contracting Officer’s Representative (COR) will transmit notification of new or revised Directives to the contractor with a request for evaluation of the administrative and environment, safety and health requirements for impact to the contract.

DOE will also provide the contractor with the opportunity to comment on draft DOE Directives. Contractors must provide comments to DOE on draft DOE Directives by the stated deadline for their concerns to be recognized by DOE Headquarters.

NOTE: Contractor Directives Points of Contact must register on the DOE Directives Portal to receive notification of the publication of new/revised DOE Directives and the cancellation of DOE Directives.

As part of the impact assessment, the contractor determines (1) whether it agrees that the Directive is applicable, (2) if an Implementation Plan (IP) is required (i.e., the Directive cannot be implemented within existing funds and/or within 120 calendar days from the date of the COR’s request for an impact assessment), and (3) other information required by DEAR 970.5204-2. The contractor provides written notification of the results of the impact assessment to the COR, with a copy to the CO and the Oak Ridge Office (ORO) Directives Management Group (DMG). The impact assessment is due within 30 calendar days of the date of the COR’s request letter or as directed in the text of the letter.

Contractors shall ensure that Work Smart Standard (WSS) Sets and the associated development/maintenance processes meet the requirements of DOE M 450.3-1 or its successor.

When the contractor cannot fully implement new or revised requirements of Administrative Directives within existing funds and/or within 120 calendar days from the date of the COR’s letter requesting an impact assessment, the contractor shall prepare an Implementation Plan (IP) and provide it to the COR with a copy to the CO and the DMG.

IP revisions are required when the contractor makes substantive changes to an IP because of changing conditions, when deadlines established in the IP cannot be met, or when changes are requested by the COR. Revised IPs must be submitted before an existing commitment date is missed or within 30 calendar days from the date of the COR’s request letter. Revised IPs are to be submitted in the same manner as the original plan.

Contractors must not delete uncompleted actions from an IP between one revision and the next. If multiple revisions of a plan are involved, completed items must be noted as such in at least one revision before being deleted.

Contractors send a letter to the COR, with a copy to the CO and the DMG, requesting closure and stating that the corrective actions in the IP have been completed. Any ongoing activities are noted in the letter.

Requirements are added to the contract via the Requirements Change Notice (RCN) process described herein. The contractor is responsible for initiation of the quarterly revisions to List B by submission of a draft RCN to the CO with a copy to the DMG.

Unless other arrangements have been made, the quarterly RCN shall include the following:

- (a) The form (Attachment 1) entitled, “U.S. Department of Energy, Requirements Change Notice,” which provides the changes made in the current update of List B.
- (b) A “Summary of Changes, Baseline List of Required Compliance Documents” (Attachment 2) which identifies the authority for updating List B. The Summary of Changes delineates the following dates: (1) date of the COR impact assessment request; (2) date of contractor’s impact assessment response; (3) date of COR’s letter to contractor in response to contractor’s request for clarification or guidance; and (4) if needed, implementation plan submission and/or approval dates.

When the implementation plans are developed, approved, or closed, the compliance is so annotated on the RCN. Environment Safety & Health (ES&H) Directives are required to be listed on List B as well as in the WSS Set. ES&H-related Directives will be annotated by italics and/or a footnote. DOE Directives cannot be added or removed from List B without approval by the CO or the COR.

The CO will update List B on a quarterly basis by the issuance of a contract modification which includes the approved RCN. The established schedule for issuance of RCNs is as follows:

SCHEDULE FOR ISSUANCE OF REQUIREMENTS CHANGE NOTICES		
Calendar Year Quarter	Contractor’s Submission Of Final Draft To CO	CO’s Target Date To Issue Contract Mod
First (Jan, Feb, Mar)	February 28	March 31
Second (Apr, May, Jun)	May 31	June 30
Third (Jul, Aug, Sep)	August 31	September 30
Fourth (Oct, Nov, Dec)	November 30	December 31

Attachment 1

(Rev. 02/2009) U.S. Department of Energy REQUIREMENTS CHANGE NOTICE		RCN No. OR-
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PROJECT: Contract Baseline Documentation	LOCATION: Oak Ridge, Tennessee	
CONTRACTOR:		
CONTRACT NO.:	DATE OF CONTRACT:	
<p>This Requirements Change Notice (RCN) No. OR-XX incorporates into List B, Contract No. DE-XXXX –XXXXXX, the attached list of applicable documents, which have been assessed against the terms and conditions of the contract in accordance with the Clause in Section I entitled, “970.544-2 Laws, Regulations and DOE Directives.” This is a complete numbered list of administrative requirements and a representation of environment, safety, and health (ES&H) requirements. (In accordance with the Contractor’s established procedure, information regarding ES&H-related directives and their applicability can only be obtained from specific WSS sets and S/RID functional areas sets.) ES&H-related directives in WSS sets and S/RIDs have an ES&H footnote in List B. Changes to List B are indicated by bold type. Below is a list of the directives incorporated herein:</p> <p style="text-align: center;"><u>EXECUTIVE SUMMARY OF DIRECTIVE CHANGES</u></p> <p><u>ADDITIONS:</u></p> <p><u>DELETIONS:</u></p> <p><u>EXTENSIONS:</u></p> <p><u>UPDATES:</u></p> <p><u>IMPLEMENTATION PLANS (REVISED COMPLIANCE STATUS):</u></p> <p><u>ADMINISTRATIVE CORRECTION:</u></p>		
DOE AUTHORIZING SIGNATURE:	DATE:	
XXXXXX, Contracting Officer’s Representative		

Attachment 2

Summary of Changes			
Baseline List of Required Compliance Documents			
Directive	Title	Action	Authority

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