



LOCKHEED MARTIN ENERGY RESEARCH CORPORATION

OPERATIONS DIRECTIVE		Page 1 of 1
BUSINESS UNITS All Business Units	O.D. NO. APP-E-130	
CONTRACT DE-AC05-96OR22464	ACTION REQUIRED Information	
AUTHORIZED BY David C. Rice <i>David C. Rice</i>	DATE June 9, 1999	
DIVISIONS AFFECTED ALL	PREPARED BY Patty S. Henegar <i>Patty S. Henegar</i>	
REFERENCES Operation Directive (OD) Nos. APP-E-119 through APP-E-129		
TITLE Distribution of Requirements Change Notice (RCN) No. 06 Amending Appendix E to Contract DE-AC05-96OR22464		

I. Authorization

LMER (J. R. Hickey) letter dated May 27, 1999, regarding RCN No. OR-06 and DOE (E. G. Cumesty) letter dated June 3, 1999, regarding same.

II. Purpose

Notify all affected divisions that RCN No. OR-06, attached hereto, incorporating the referenced Operations Directives, has been approved by DOE. It represents a complete revision to Appendix E.

III. Direction

- All LMER personnel shall comply with the Appendix E directives listed herein. Additional directives accepted by LMER after initiation of RCN No. OR-06 will be reflected in subsequent RCN's following DOE approval.
- Discard prior versions of Appendix E and keep the attached RCN No. OR-06 as the current prime contract Appendix E baseline.
- Discard the referenced Operations Directives as they are superseded by RCN No. OR-06.

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

No. OR-06

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Project

Contract Baseline Documentation

Location

Oak Ridge, Tennessee

Contractor

Lockheed Martin Energy Research Corporation

Contract No.

DE-AC05-96OR22464

Date of Contract

Special Contracts Requirements Clause H.15

January 1, 1996

This Requirements Change Notice (RCN) No. OR 6 incorporates into Appendix E, Contract No. DE-AC05-96OR22464, 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 Appendix E are indicated by bold type.

Below is a list of the orders incorporated herein:

DOE M 140.1-1A
 ORO O 220, Chpt II, Chg 1
 ORO O 410, Chpt I, Chg 1
 DOE O 430.1A
 DOE O 470.2
 DOE M 471.2-1B
 ORO O 470, Chpt I, Chg 1

Delete:

DOE M 140.1-1
 ORO O 220, Chpt II
 ORO O 220, Chpt V
 ORO O 240, Chpt I
 ORO O 410, Chpt I
 DOE O 430.1
 ORO O 470, Chpt I
 DOE M 471.2-1A
 DOE 1340.1B, Compliance Line Only
 DOE 5630.12A
 DOE 5632.7A, Compliance Line Only

Attachments:

- 1) Appendix E - Baseline List of Required Compliance Documents (5/25/99)
- 2) Outline of RCN No. 05 Changes (5/25/99)

DOE Authorizing Signature

Edward G. Cumesty, Contracting Officer's Representative

Date:

6/3/99

APPENDIX E
BASELINE OF
REQUIRED COMPLIANCE DOCUMENTS
DOE DIRECTIVES

DOE Directives can be found at the following Internet address:

<http://www.explorer.doe.gov:1776/htmls/directives.html>

REQUIRED COMPLIANCE	THROUGH CHANGE	TITLE	DATE	NOTE
DOE O 137.1		Plan for Operating in the Event of a Lapse in Appropriations	9-4-98	
DOE M 140.1-1A		Interface with the Defense Nuclear Facilities Safety Board	1-26-99	
DOE O 200.1		Information Management Program	9-30-96	
DOE M 200.1-1 Except Chapter 7		Telecommunications Security Manual	3-97	
DOE O 224.1		Contractor Performance Based Business Management Process	12-8-97	
DOE O 241.1		Scientific and Technical Information Management	8-17-98	
DOE O 251.1A		Directives System	1-30-98	
DOE M 251.1-1A		Directives System Manual	1-30-98	
DOE O 311.1A		Equal Employment Opportunity and Diversity Program	12-30-96	
DOE O 350.1	1 5-8-98	Contractor Human Resource Management Program	9-30-96	
DOE N 350.3		Use of Management and Operating Contractor and National Laboratory Employees for Services in the Washington, D.C. Area	3-5-97	
DOE N 350.4		Extension of DOE N 350.3, Use of Management and Operating Contractor and National Laboratory Employees for Services in the Washington, D.C. Area	2-26-98	
DOE O 413.1		Management Control Program Compliance: Implementation is in accordance with DOE (Cumesty) letter dated 7-8-97, and LMER (Rhude) letter dated 9-26-97.	12-6-95	
DOE O 413.2		Laboratory Directed Research and Development	3-5-97	
DOE 430.1A		Life Cycle Asset Management Compliance: Implementation is to be in accordance with an implementation plan due at DOE not later than 7-13-99.	10-14-98	
DOE 430.2		In-House Energy Management Compliance: Implementation is in accordance with an implementation plan approved by DOE on 7-28-97.	6-13-96	

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REQUIRED COMPLIANCE	THROUGH CHANGE	TITLE	DATE	NOTE
DOE M 450.3-1		The DOE Closure Process for Necessary and Sufficient Sets of Standards	1-25-96	
DOE O 470.1	1 6-21-96	Safeguards and Security Program	9-28-95	
DOE 470.2		Safeguards and Security Independent Oversight Program	12-23-98	
DOE O 471.1		Identification and Protection of Unclassified Controlled Nuclear Information	9-25-95	
DOE O 471.2A		Information Security Program Compliance: Implementation is in accordance with an implementation plan approved by DOE on 10-8-97.	3-27-97	
DOE M 471.2-1B		Classified Matter Protection and Control Manual	1-6-99	
DOE O 472.1B		Personnel Security Activities	3-24-97	
DOE M 472.1-1		Personnel Security Program Manual	5-22-98	
DOE M 473.2-1	1 8-21-97	Firearms Qualification Courses Manual	7-8-97	
DOE M 475.1-1		Identifying Classified Information	5-8-98	
DOE O 481.1		Work for Others (Non-Department of Energy Funded Work)	9-30-96	
DOE M 481.1-1		Reimbursable Work for Non-Federal Sponsors Process Manual	9-30-96	
DOE O 534.1		Accounting	9-29-95	
DOE M 551.1-1		International Trips	7-31-96	
DOE 1240.2B	1 9-3-92	Unclassified Visits & Assignments by Foreign Nationals	8-21-92	
DOE 1270.2B		Safeguards Agreement with the International Atomic Energy Agency (IAEA)	6-23-92	1
DOE 1300.3		Policy on the Protection of Human Subjects	8-23-90	
DOE 1340.1B		Management of Public Communications and Scientific, Technical, and Engineering Publications	1-7-93	

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REQUIRED COMPLIANCE	THROUGH CHANGE	TITLE	DATE	NOTE
DOE 1350.1	1 3-26-84	Audio Visual and Exhibits Management	10-28-81	
DOE 1360.2B		Unclassified Computer Security Program	5-18-92	
DOE 1450.4		Consensual Listening-in To or Recording Telephone-Radio Conversations	11-12-92	
DOE 1500.3	7 7-6-94	Foreign Travel Authorization Compliance: Implementation is in accordance with DOE letter for Martha Krebs, Director, Office of Energy Research, dated 5-24-94.	11-10-86	
DOE 2030.4B		Reporting Fraud, Waste, and Abuse	5-18-92	
DOE 2100.8A		Cost Accounting, Cost Recovery, and Interagency Sharing of Information Technology Facilities	1-27-93	
DOE 2110.1A	2 5-18-92	Pricing of Departmental Materials and Services. 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. Compliance: Implementation will be in accordance with DOE-ORO letter from J. R. Martin, Director, Finance Division, dated 8-3-94, regarding the application of the departmental added factor (DAF) based on the source of funds. Effective 8-3-94, 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. Compliance: Implementation will be in accordance with DOE memorandum from Elizabeth E. Smedley, Controller, dated 8-25-94, regarding the wavier of the added factor and depreciation for small businesses and nonprofit organizations participating in funds-in agreement, effective 10-1-94. This waiver is valid for one year, through 9-30-95.	7-14-88	

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REQUIRED COMPLIANCE	THROUGH CHANGE	TITLE	DATE	NOTE
DOE 2300.1B		Audit Resolution and Follow-up	6-8-92	
DOE 2320.1C		Cooperation with the Office of Inspector General	5-18-92	
DOE 2320.2B		Establishment of Department Position on Inspector General Reports	5-18-92	1
DOE 2321.1B		Auditing of Programs and Operations	5-14-92	1
DOE 2340.1C		Coordination of General Accounting Office Activities	6-8-92	1
DOE 5480.29		Employee Concerns Management System	1-15-93	
DOE 5560.1A		Priorities and Allocations Program	5-8-85	
DOE 5632.1C		Protection and Control of Safeguards and Security Interests	7-15-94	
DOE M 5632.1C		Manual for Protection and Control of Safeguards and Security Interests	7-15-94	DOE M 5632.1C-1, Chapter XI, canceled by DOE O 470.1. DOE M 5632.1C-1, Chapter III, paragraphs 1, 2, and 4 thru 9, canceled by DOE O 471.2
DOE 5632.7A		Protective Force Program	4-13-94	
DOE 5633.3B		Control and Accountability of Nuclear Materials Compliance: Implementation plan is in accordance with an implementation plan accepted by DOE on 7-28-95.	9-7-94	
DOE M 5639.6A-1		Manual of Requirements for the Classified Automated Information Systems Security Program Compliance: Implementation is in accordance with an implementation plan approved by DOE on 11-15-95.	7-15-94	
DOE 5639.8A		Security of Foreign Intelligence Information and Sensitive Compartmented Information Facilities	7-23-93	
DOE 5660.1B		Management of Nuclear Materials.	5-26-94	

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REQUIRED COMPLIANCE	THROUGH CHANGE	TITLE	DATE	NOTE
DOE 5670.1A		Management and Control of Foreign Intelligence Compliance: Implementation is in accordance with MMES letter No. AE92-044 dated 06-10-92.	1-15-92	
DOE 5700.7C		Work Authorization System	5-18-92	
SEN-34-91	1	Implementation of the Chief Financial Officers Act of 1990	8-15-91	
NOTICE 1240.2		Unclassified Foreign National (DOE) Visits and Assignments This Notice expires on 11-29-94 unless otherwise directed.	11-29-93	
NOTICE 1240.3		Extension of DOE N 1240.2. This Notice expires on 5-29-95 unless otherwise directed.	11-29-94	

APPENDIX E
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ORO DIRECTIVES

ORO Directives can be found at the following Internet address:
http://www.ornl.gov/doe_oro_dmg/orchklst.htm

REQUIRED COMPLIANCE	THROUGH CHANGE	TITLE	DATE	NOTE
ORO O 130 Chapter II	1 5-15-98	BUDGET Shutdown of Department Operations upon Failure of Congress to Enact Appropriations	5-15-96	
ORO O 140 Chapter II	1 5-15-98	EXTERNAL RELATIONSHIPS Safeguards Agreement with the International Atomic Energy Agency (IAEA)	5-15-96	
ORO O 220 Chapter I	1 7-28-98	ASSESSMENTS Reporting Fraud, Waste, and Abuse to the Office of Inspector General	5-31-96	
Chapter II	1 1-7-99	Cooperation with the Office of Inspector General	9-30-96	
Chapter III	1 7-28-98	Establishment of Department Position on Inspector General Reports	5-31-96	
Chapter IV	1 7-28-98	Coordination of General Accounting Office Activities	5-31-96	
Chapter VII	1 7-28-98	Audit Resolution and Follow-Up	5-31-96	
Chapter IX		Auditing of Programs and Operations	9-30-96	
ORO O 250 Chapter I		STANDARDS MANAGEMENT Oak Ridge Operations Standards Management Program Overview	3-27-98	2
Chapter II	1 6-3-98	Oak Ridge Directives Standards System	3-27-98	
Chapter III		Oak Ridge Operations Technical Standards Program	3-27-98	2
Chapter IV		Contractor Directives Appendix	3-27-98	
Chapter V		Development, Approval, and Maintenance of Smart Standards	3-27-98	
Chapter VI		Implementation and Corrective Action Plans	3-27-98	
Chapter VII		Maintenance of Standards/Requirements Identification Documents	3-27-98	

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ORO DIRECTIVES

ORO Directives can be found at the following Internet address:
http://www.ornl.gov/doe_oro_dmg/orchklst.htm

REQUIRED COMPLIANCE	THROUGH CHANGE	TITLE	DATE	NOTE
ORO O 350 Chapter III Chapter VI	1 9-30-98	CONTRACTOR HUMAN RESOURCE PROGRAMS Federal Labor Standards Workplace Substance Abuse Programs at Oak Ridge Sites	5-31-96 6-28-96	
ORO O 410 Chapter I Chapter II	1 12-1-98 1 9-21-98	MANAGEMENT Work Authorization System Management of Nuclear Materials	9-24-96 5-31-96	
ORO O 430 Chapter I Chapter II	2 3-31-97	LIFE CYCLE FACILITY OPERATIONS Life Cycle Asset Management (LCAM) In-House Energy Management	9-30-96 6-14-96	
ORO O 450 Chapter III		PROTECTION OF THE PUBLIC AND ENVIRONMENT Cultural Resources Management Program	9-30-96	
ORO O 470 Chapter I Chapter V Chapter VI Chapter VII Chapter VIII Chapter IX Chapter XI Chapter XII	1 4-16-99 1 7-23-98 1 9-28-98 1 7-22-98	SAFEGUARDS AND SECURITY Safeguards and Security Program Identification of Classified Information Personnel Security Activities Protection and Control of Safeguards and Security Interests Protective Force Program Control and Accountability of Nuclear Materials Security of Foreign Intelligence Information and Sensitive Compartmented Information Facilities Counterintelligence (CI) Program	9-30-96 9-30-96 9-30-96 5-15-96 5-15-96 5-15-96 9-30-96 5-15-96	

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ORO DIRECTIVES

ORO Directives can be found at the following Internet address:
http://www.ornl.gov/doe_oro_dmg/orchk1st.htm

REQUIRED COMPLIANCE	THROUGH CHANGE	TITLE	DATE	NOTE
ORO N 471.2	1 4-10-98	TECHNICAL SURVEILLANCE COUNTERMEASURES (TSCM) PROGRAM 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	3-5-96	
ORO O 560 Chapter I	1 8-27-98	TELECOMMUNICATIONS AND DATA SYSTEMS Unclassified Computer Security Program	5-15-96	
ORIG 4300.2B		Non-DOE Funded Work Compliance: Implementation will be in accordance with MMES letter dated 3-5-93.	12-23-92	

* 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.

APPENDIX E
BASELINE OF
REQUIRED COMPLIANCE DOCUMENTS
OTHER APPLICABLE DIRECTIVES

Work Smart Standards (WSS) and Standards/Requirements Identification Documents (S/RIDs)

can be found at the following Internet address:

<http://x10capserv.ornl.gov/htmldocs/x-10/ons/onscawss.htm>

REQUIRED COMPLIANCE	THROUGH CHANGE	TITLE	DATE	NOTE
WSS		Other Industrial, Radiological, and Non-Radiological Hazard Facilities	7-25-96	
WSS		Radiochemical Research Facilities, Bldgs 2026 and 5505	9-30-96	
WSS		The Five Accelerator Facilities	9-30-96	
WSS		Radiochemical Technology Facilities, Bldgs 3027 and 3047	12-17-96	
WSS		Radiochemical Engineering Development Center, Bldgs 7920, 7930, and Support Areas	12-17-96	
WSS		Radiochemical Development Facility, Bldg 3019 and its Ancillary Bldgs	5-7-97	
WSS		Irradiated Materials Examination and Testing Facility and Irradiated Fuels Examination Laboratory, Bldgs 3025E, 3525, and Support Areas	5-7-97	
WSS		Construction and Construction-Like Activities	5-7-97	
WSS		Hazardous Waste Operations Facilities, Bldgs 0964, 7507, 7507W, 7651, 7652, 7653, 7654, 7659, 7667, 7668, 7810A, 7823, and 7830A	9-3-97	
WSS		Waste Management and Remedial Action Division Radiological and Industrial Facilities	12-5-97	
		Waste Management and Remedial Action Division Nuclear Category 2 and 3 Facilities	12-5-97	
WSS		Engineering Design for Standard Industrial, Radiological, Non-Reactor Category 2 and 3 Nuclear and Accelerator Facilities	4-14-98	
WSS		HFIR	9-10-98	
S/RID	1	Occurrence Reporting	11-20-97	
S/RID		Emergency Management	11-5-96	

OUTLINE OF RCN NO. 06 CHANGES

<u>ITEM</u>	<u>DATE</u>	<u>TITLE</u>	<u>CHANGE #</u>	<u>AUTHORIZATION</u>
<u>OD #119</u> ORO O 410 Chptr I Cancels and replaces ORO O 410, Chapter I	9/24/96	Work Authorization System	1 12/1/98	DOE ltr rec'd 1/21/99 LMER ltr dated 2/26/99
<u>OD#120</u> DOE O 430.1A Cancels and replaces DOE O 430.1	10/14/98	Life Cycle Asset Management (LCAM)		DOE ltr rec'd 1/13/99 LMER ltr dated 3/2/99
<u>OD #121</u> DOE M 471.2-1B Cancels and replaces DOE M 471.2-1A	1/6/99	Classified Matter Protection and Control Manual		DOE ltr rec'd 2/15/99 LMER ltr dated 3/17/99
<u>OD #122</u> ORO O 220 Chptr II Cancels and replaces Chapter II of ORO O 220	9/30/96	Cooperation with the Office of Inspector General	1 1/7/99	DOE ltr rec'd 2/19/99 LMER ltr dated 3/22/99
<u>OD #123</u> DOE M 140.1-1A Cancels and replaces DOE M 140.1-1	1/26/99	Interface with the Defense Nuclear Facilities Safety Board		DOE ltr rec'd 3/10/99 LMER ltr dated 4/9/99
<u>OD #124</u> ORO O 240 Chptr I Deletes Chapter I of ORO O 240	5/31/96	Scientific and Technical Information Management		DOE ltr rec'd 5/5/99

OUTLINE OF RCN NO. 06 CHANGES

<u>ITEM</u>	<u>DATE</u>	<u>TITLE</u>	<u>CHANGE #</u>	<u>AUTHORIZATION</u>
<u>OD #125</u> DOE O 470.2	12/23/98	Safeguards and Security Independent Oversight Program		DOE ltr rec'd 4/5/99 LMER ltr dated 5/6/99
Cancels and replaces DOE 5630.12A				
<u>OD #126</u> DOE 5632.7A	4/13/94	Protective Force Program		DOE ltr rec'd 5/4/99
Delete compliance line to DOE 5632.7A				
<u>OD #127</u> DOE 1340.1B	1/7/93	Management of Public Communications and Scientific, Technical and Engineering Publications		DOE ltr rec'd 5/25/99
Delete compliance line to DOE 1340.1B				
<u>OD #128</u> ORO O 220 Chptr V	9/30/96	Appraisal of DOE Contractor Performance		DOE ltr rec'd 5/25/99
Deletes Chapter V of ORO O 220				
<u>OD #129</u> ORO O 470 Chptr I	9/30/96	Safeguards and Security Program	1 4/16/99	DOE ltr rec'd 5/17/99 LMER ltr dated 5/25/99
Cancels and replaces Chapter I of ORO O 470				