

# ORO CONTROL FORM - FINAL DIRECTIVE

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## PART A (To be completed by the Division of Primary Interest (DPI))

1. NUMBER AND TITLE OF DIRECTIVE: **ORO O 250, Chapter VIII, Change 1, REQUIREMENTS CHANGE NOTICES, dated 10/31/2003**

2. PURPOSE OF TRANSMITTAL:  New Directive  Revised Directive

3. THIS DOCUMENT MAY AFFECT THE WORK PERFORMED BY THE FOLLOWING CONTRACTORS: (Check appropriate boxes)

No (all contractors)

Yes If yes, whom?  Bechtel Jacobs Co.  ORAU  UT-Battelle

Other contractors (list by type)

*Many ORO contractors have approved Work Smart Standard (WSS) Sets or Standards/Requirements Identification Documents (S/RIDs) that may affect applicability of contractor requirements from this Directive. Applicability of contractor requirements must take into account the approved standards set for each particular contract.*

4. SIGNIFICANT PROVISIONS: Are there any significant changes or impacts?  No  Yes  
If yes, describe: This Chapter is part of the sunset review process and contains major updates.

5. CONTACT POINT: Wayne H. Albaugh Directives Management Group, AD-440 576-0974  
Name Organization Telephone

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## PART B (To be completed by the Directives Management Group (DMG)):

6. FILING INSTRUCTIONS:

<u>Remove</u>	<u>Dated</u>	<u>Insert</u>	<u>Dated</u>
ORO Control Form	04/27/2001	ORO Control Form	10/31/2003
ORO O 250, Ch. VIII	04/27/2001	ORO O 250, Ch. VIII, Chg. 1	10/31/2003

*ORO Directives are available on the ORO Directives Management Home Page at [http://www.ornl.gov/doe/doe\\_oro\\_dmg/oro\\_dir.htm](http://www.ornl.gov/doe/doe_oro_dmg/oro_dir.htm). The ORO Directives will no longer be mailed in printed copy unless you do not have Internet capabilities.*

7. APPROVED FOR DISTRIBUTION IN ACCORDANCE WITH THE OFFICIAL DIRECTIVES DISTRIBUTION LIST:

*Original Signed By*  
Wayne H. Albaugh 10/31/2003  
Signature: DMG Team Leader, AD-440 Date

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**INSTRUCTIONS TO ADDRESSEES: THIS FORM IS TO BE FILED WITH THE DIRECTIVE AND RETAINED**

Rev. 10/31/2003

# NNSA/YSO CONTROL FORM – FINAL DIRECTIVE

## PART A (To be completed by the ORO DIRECTIVES MANAGEMENT GROUP, AD-440):

DIRECTIVE NUMBER, TITLE, AND DATE:

**ORO O 250, CHAPTER VIII, CHANGE 1, REQUIREMENTS CHANGE NOTICES, dated 10/31/2003**

PURPOSE OF TRANSMITTAL:  New Directive  Revised Directive

DOES THIS DIRECTIVE **CANCEL/REPLACE OR EXTEND** ANY OTHER DIRECTIVES?  Yes  No  
If "Yes," list what action (cancel/replace or extend) and list the Directive(s), including the number(s), title(s), and date(s):

This directive cancels ORO O 250, Chapter VIII, REQUIREMENTS CHANGE NOTICES, dated 04/27/2001

The attached Directive is forwarded for review and action. Complete Part B and forward this form to ORO DMG, AD-440, by **11/21/2003**.

## PART B (To be completed by the NNSA Y-12 SITE OFFICE, Y12-01):

CONTRACTOR APPLICABILITY:

Does this Directive affect the work performed by BWXT Y-12, L.L.C.?  Yes  No

Does this Directive affect the work performed by BWXT Y-12, L.L.C., subcontractors?  Yes  No

If "Yes," list the subcontractors:

*Many contractors have approved Standards/Requirements Identification Documents (S/RID) or Work Smart Standards (WSS) Sets that may affect applicability of contractor requirements from this Directive. Applicability of contractor requirements must take into account the approved standards set for each particular contract.*

SIGNIFICANT PROVISIONS: Are there any significant changes or impacts?  Yes  No

List summary of Directive changes and, if "Yes" above, describe the significant changes or impacts:

IMPLEMENTATION: Does the Directive contain special implementation requirements and/or dates?  Yes  No  
If "Yes," describe:

FOR DOE DIRECTIVE – SUPPLEMENTAL DIRECTIVE REQUIRED?

Is a new or revised supplemental Directive required?  Yes  No

If "Yes," target date for submission of YSO Directive is \_\_\_\_\_.

IDENTIFY CONTACT POINT: Diane McCarten 576-9330  
Name Telephone

APPROVED BY COR FOR DIRECTIVES: Diane McCarten 11/17/2003 576-9330  
Original Signed By Signature Date Telephone

## PART C (To be completed by the ORO DIRECTIVES MANAGEMENT GROUP, AD-440):

*DOE Directives are available on the DOE Directives Portal at <http://www.directives.doe.gov/>. ORO Directives are available on the ORO Directives Management Group Home Page at [http://www.ornl.gov/roe/roe\\_oro\\_dmg/oro\\_dir.htm](http://www.ornl.gov/roe/roe_oro_dmg/oro_dir.htm). Directives will no longer be mailed in printed copy unless you do not have Internet capabilities.*

APPROVED FOR DISTRIBUTION IN ACCORDANCE WITH OFFICIAL DIRECTIVE DISTRIBUTION LIST:

Wayne H. Albaugh, AD-440 11/19/2003  
Original Signed By Name Date

**INSTRUCTIONS TO ADDRESSEES: THIS FORM IS TO BE FILED WITH THE DIRECTIVE AND RETAINED.**

(Revised 11/06/2003)

# U.S. Department of Energy

Oak Ridge Operations

ORO O 250 Chapter VIII Change 1
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DATE: 10/31/2003

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**SUBJECT: REQUIREMENTS CHANGE NOTICES**

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1. PURPOSE. This Chapter correlates to Department of Energy Acquisition Regulation (DEAR) 970.5204-78, *Laws, Regulations, and DOE Directives* (JUN 1997) or the current version which is DEAR 970.5204-2, *Laws, Regulations, and DOE Directives* (DEC 2000). This Chapter assigns responsibility and accountability and provides administrative and/or contractual guidance to Oak Ridge Operations (ORO), National Nuclear Security Administration Y-12 Site Office (YSO) and their prime contractors for establishing a formalized process to maintain List B Requirements that operate under DEAR 970.5204-78 or DEAR 970.5204-2 (whichever version is in the contract). Nothing in this issuance changes any requirements contained in any Department of Energy (DOE) Directive.
2. CANCELLATION. This Chapter cancels and replaces ORO O 250, Chapter VIII, REQUIREMENTS CHANGE NOTICES, dated April 27, 2001.
3. APPLICABILITY. The provisions of this Chapter apply to the Federal and site/facility management contractor staffs who perform work related to the four prime contracts with List B requirements (List B) administered by the Directives Management Group (DMG). The provisions of this Chapter apply to the above contractors who have contract appendixes referred to as List B as described in DEAR 970.5204-78 or DEAR 970.5204-2 (whichever version is in the contract).
4. RESPONSIBILITIES.
  - a. Principal Staff participate when assigned as Division of Primary Interest (DPI) for DOE Directives and ORO Directives included in List B for contractors described in Paragraph 3 above. See ORO O 250, Chapter X, DOE DIRECTIVES SYSTEM, and ORO O 250, Chapter II, ORO DIRECTIVES SYSTEM.
  - b. Contracting Officer (CO).
    - (1) Issues a contract modification to incorporate the revised List B into the contract via the approved Requirements Change Notice (RCN) which includes non-environment, safety and health (non-ES&H) and environment, safety, and health (ES&H) Directives, Work Smart Standards (WSS) Sets, and/or Standards/Requirements Identification Documents (S/RIDs).
    - (2) The CO should periodically (but at least annually) review and update List B set of Directives, standards, and other requirements to ensure that they are complete and current.

See Attachment 5, DOE Memorandum to Heads of Contracting Activities, from Richard H. Hopf, Director, Office of Procurement and Assistance Management, Subject: *Contractor Integrated Safety Management*, dated February 19, 1999.

c. Contracting Officer's Representative (COR).

- (1) Maintain List B per Delegation of Authority from the COs.
- (2) Approves the RCN that revises List B.

d. Team Leader, Directives Management Group (DMG).

- (1) Provides advice and assistance to ORO/YSO staff and contractors on subjects covered in this Chapter.
- (2) Administers List B for CORs of the contractors described in Paragraph 3 above.
- (3) Coordinates review and issuance of RCNs.
- (4) Posts current contract modifications and accompanying RCNs to the DMG Home Page at [http://www.ornl.gov/doe/doe\\_oro\\_dmg/](http://www.ornl.gov/doe/doe_oro_dmg/), "*ORO-Contractor Directives Baselines (LIST B)*" link.
- (5) Performs the quarterly quality assessment of the contractors' requirements baselines as required by DOE Memorandum to Heads of Contracting Activities, from Richard H. Hopf, Director, Office of Procurement and Assistance Management, Subject: *Contractor Integrated Safety Management*, dated February 19, 1999 (see Attachment 5).

5. REQUIREMENTS AND PROCEDURES.

- a. Introduction. Contractors operating under DEAR 970.5204-78 or DEAR 970.5204-2 (whichever version is in the contract) have a contract appendix which includes a list of applicable Directives (referred to as List B in the DEAR clause). List B is updated on a quarterly basis by the issuance of a contract modification which includes the approved RCN. This list describes the operating requirements with which the contractor must comply. The requirements related to ES&H compliance are included by number and/or reference to an S/RID (see ORO O 250, Chapter VII, MAINTENANCE OF STANDARDS/ REQUIREMENTS IDENTIFICATION DOCUMENTS) or a WSS Set (see ORO O 250, Chapter V, DEVELOPMENT, APPROVAL, AND MAINTENANCE OF WORK SMART STANDARDS SETS). Non-ES&H requirements are referred to as "administrative" and are included by number.
- b. Background. Requirements are added to the contract via the RCN at the conclusion of the following processes:
  - Impact assessment process (see ORO O 250, Chapter IV, IMPACT ASSESSMENTS);
  - WSS Set process (see ORO O 250, Chapter V, DEVELOPMENT, APPROVAL, AND MAINTENANCE OF WORK SMART STANDARDS SETS); or

- S/RID process (see ORO O 250, Chapter VII, MAINTENANCE OF STANDARDS/REQUIREMENTS IDENTIFICATION DOCUMENTS).

When changes are made through requirements implementation plans, the compliance is so annotated on the RCN. See ORO O 250, Chapter VI, IMPLEMENTATION PLANS AND EXEMPTION REQUESTS.

Requirements are deleted from the contract via the RCN per ORO O 250, Chapter IV, IMPACT ASSESSMENTS.

- c. Schedule for Issuance of RCNs. The established schedule for issuance of RCNs is as follows:

<b>SCHEDULE FOR ISSUANCE OF REQUIREMENTS CHANGE NOTICES</b>		
<b>CALENDER YEAR QUARTERS</b>	<b>CONTRACTOR'S SUBMISSION OF QUALITY FINAL DRAFT TO DMG</b>	<b>DMG'S TARGET SUBMISSION DATE TO COR FOR APPROVAL</b>
First Quarter (Jan, Feb, Mar)	February 28	March 31
Second Quarter (Apr, May, Jun)	May 31	June 30
Third Quarter (Jul, Aug, Sep)	August 31	September 30
Fourth Quarter (Oct, Nov, Dec)	November 30	December 31

- d. Content. The quarterly issuance of the RCN includes:

- (1) DOE Form (04-1991), "U.S. Department of Energy, Requirements Change Notice," provides an overall picture of changes currently effected in this update of List B (for example, see Attachment 2).
- (2) The Outline of Changes identifies the authority for updating List B (for example, see Attachment 3). The Outline 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 or DPI's response letter to contractor in response to contractor's request for clarification or guidance; and, (4) if needed, implementation plan submission and/or approval dates. The Outline of Changes also lists the dates of approval for revisions to WSS Sets and S/RID Functional Areas.

**NOTE:** This does not applicable to UT-Battelle, LLC, and Bechtel Jacobs Company LLC (ORO) contracts per written agreements.

- (3) List B (for example, see Attachment 4):

- Adds, updates, or deletes Administrative Directives;

- Adds, updates, or deletes “*references*” to ES&H-related Directives contained in approved WSS Sets or S/RIDs and revisions thereto;

**NOTE:** ES&H Directives are required to be listed on List B. ES&H-related Directives are annotated by italics and a footnote.

- Annotates the dates IPs are due, submitted to COR for review, or approved via a compliance line;

**NOTE:** IP compliance lines are removed from List B when the IP is closed.

- Cites the WSS Set name, revision number, and approval date; and
- Cites the S/RID functional area, revision number, and approval date.

**NOTE:** Bold print denotes additions to the List B. Bold, shaded print denotes ORO Directive Umbrellas.

**NOTE:** The List B format is not applicable to Bechtel Jacobs Company LLC (ORO) contract per written agreement; an alternate format is being utilized for this contract.

e. Approval of List B via the RCN.

- (1) DMG verifies the data integrity of the information included in the RCNs provided by the contractor with information obtained from DMG tracking systems and original correspondence between the contractor and the COR.
- (2) After verification, the RCN is prepared in final form for signature of the COR.
- (3) DMG transmits the RCN for signature of the COR by a cover memorandum explaining any unique circumstances, the dates covered by this quarterly issuance, and the contractor agreement with the changes included in List B.
- (4) Additions, updates, or deletions to List B are approved by the COR via the RCN. After approval by the COR, List B is issued by the CO as a contract modification.
- (5) DMG posts the approved contract modification including the RCN to the DMG Home Page.

6. REFERENCES.

- a. ORO O 250, Chapter I, Change 3, ORO STANDARDS MANAGEMENT PROGRAM OVERVIEW, dated October 31, 2003, and any subsequent revisions.
- b. ORO O 250, Chapter II, Change 4, ORO DIRECTIVES SYSTEM, dated October 31, 2003, and any subsequent revisions.
- c. ORO O 250, Chapter III, Change 3, ORO TECHNICAL STANDARDS PROGRAM, dated October 31, 2003, and any subsequent revisions.

- d. ORO O 250, Chapter IV, Change 3, IMPACT ASSESSMENTS, dated October 31, 2003, and any subsequent revisions.
  - e. ORO O 250, Chapter V, Change 4, DEVELOPMENT, APPROVAL, AND MAINTENANCE OF WORK SMART STANDARDS SETS, dated October 31, 2003, and any subsequent revisions.
  - f. ORO O 250, Chapter VI, Change 3, IMPLEMENTATION PLANS AND EXEMPTION REQUESTS, dated October 31, 2003, and any subsequent revisions.
  - g. ORO O 250, Chapter VII, Change 3, MAINTENANCE OF STANDARDS/REQUIREMENTS IDENTIFICATION DOCUMENTS, dated October 31, 2003, and any subsequent revisions.
  - h. ORO O 250, Chapter X, DOE DIRECTIVES SYSTEM, dated October 31, 2003, and any subsequent revisions.
  - i. ORO O 250, Chapter XI, DELEGATIONS OF AUTHORITY, MEMORANDUMS OF UNDERSTANDING, AND AUTHORIZATION AGREEMENTS, dated October 31, 2003, and any subsequent revisions.
  - j. DOE Memorandum to Heads of Contracting Activities, from Richard H. Hopf, Director, Office of Procurement and Assistance Management, Subject: *Contractor Integrated Safety Management*, dated February 19, 1999 (see Attachment 5).
7. DEFINITIONS. See Attachment 2 of ORO O 250, Chapter I, OAK RIDGE OPERATIONS (ORO) STANDARDS MANAGEMENT PROGRAM OVERVIEW, for a glossary of terms used in the ORO Standards Management Program.
8. CONTRACTOR REQUIREMENTS DOCUMENT. See Attachment 1, Contractor Requirements Document.
9. ATTACHMENTS.
- a. Attachment 1 - Contractor Requirements Document.
  - b. Attachment 2 – Example of DOE Form (04-1991), “*U.S. Department of Energy, Requirements Change Notice.*”
  - c. Attachment 3 – Example of Outline of Changes.
  - d. Attachment 4 – Example of List B.
  - e. Attachment 5 – DOE Memorandum to Heads of Contracting Activities, from Richard H. Hopf, Director, Office of Procurement and Assistance Management, Subject: *Contractor Integrated Safety Management*, dated February 19, 1999.

### **CONTRACTOR REQUIREMENTS DOCUMENT**

Types of contractors identified in Paragraph 3 of this Chapter must comply with the requirements in Paragraph 5 of this Chapter and the following:

1. Develop management systems for the generation of a quality draft RCN which demonstrates proficiency in their Standards Management Program and allows for a quarterly assessment of its effectiveness.
2. The contractor must deliver a quality final draft RCN to the DMG with a copy to the COR per established deadlines in Paragraph 5.c. See Paragraph 5.d. regarding required content. If the final draft is received with **5 or more MAJOR** errors it will be returned to the contractor, and the CO and COR will be notified of the scheduled impact and no further verification review will be done by the DMG staff. The contractor's revised RCN in response to DMG's suggested changes must be provided back to the DMG, with a copy to the COR, within 5 working days.

**EXAMPLE OF  
DOE FORM (04-1991),  
“U.S. DEPARTMENT OF ENERGY, REQUIREMENTS CHANGE NOTICE.”**

DOE Form (04/1991)	No.: XYZ-15
<b>U.S. Department of Energy REQUIREMENTS CHANGE NOTICE</b>	
PROJECT: Contract Baseline Documentation	LOCATION: Oak Ridge, Tennessee
CONTRACTOR: XYZ, Inc.	
CONTRACT NO.: DE-AC05-00OR99999, Clause I-999, Laws, Regulations, and DOE Directives (JUN 1997), DEAR 970.5204-78	DATE OF CONTRACT: October 1, 2000
<p>This Requirements Change Notice (RCN) XYZ, Inc. XYZ-15 incorporates into Appendix E of Contract No. DE-AC05-00OR99999 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&amp;H) requirements. Information regarding ES&amp;H-related Directives and their applicability <u>can only</u> be obtained from specific WSS Sets and S/RID functional areas sets. ES&amp;H-related Directives in WSS Sets and S/RIDs are <i>italicized</i> in the Appendix E and have an ES&amp;H footnote. Changes to Appendix E are indicated by <b>bold</b> type. Below is a list of the Directives incorporated herein:</p> <p><b><u>ADDITIONS:</u></b> DOE O 460.1B ORO O 140, Ch II, Chg 3</p> <p><b><u>DELETIONS:</u></b> DOE O 472.1B ORO O 140, Ch II, Chg 2</p> <p><b><u>EXTENSIONS:</u></b> DOE N 205.2 (Extended by DOE N 205.5)</p> <p><b><u>UPDATES:</u></b> WSS Set, Rev. 13 S/RID FA, OP, Rev. 11</p> <p><b><u>IMPLEMENTATION PLANS (REVISED COMPLIANCE STATUS):</u></b> DOE O 420.1A</p> <p><b><u>ADMINISTRATIVE CORRECTION:</u></b> Deletion of footnote at DOE N 205.1</p>	
DOE AUTHORIZING SIGNATURE:	DATE:
COR'S NAME, Contracting Officer's Representative	

**EXAMPLE OF  
OUTLINE OF CHANGES**

**OUTLINE OF CHANGES**

RCN No. XYZ-15

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<b>REQUIRED COMPLIANCE DOCUMENTS</b>	<b>DATE DOCUMENT APPROVED</b>	<b>TITLE</b>	<b>AUTHORIZATION</b>
<b>DOE N 205.1</b> Deletion of Footnote per DOE N 205.5	07/26/1999	UNCLASSIFIED CYBER SECURITY PROGRAM	ORO letter dated 03/17/2003 XYZ letter dated 04/03/2003
<b>DOE N 205.2</b> Extended by DOE N 205.5	11/01/1999	FOREIGN NATIONAL ACCESS TO DOE CYBER SYSTEMS	ORO letter dated 03/17/2003 XYZ letter dated 04/03/2003
<b>DOE N 471.3</b> Extended by DOE N 251.51	04/13/2001	REPORTING INCIDENTS OF SECURITY CONCERNS	ORO letter dated 02/18/2003 XYZ letter dated 03/11/2003
<b>DOE O 420.1A</b> <b>Change 3</b> Compliance Status Revised	11/18/2002	FACILITY SAFETY	ORO approval dated 04/23/2003
<b>DOE O 460.1B</b> Addition	04/04/2003	PACKAGING AND TRANSPORTATION SAFETY	ORO letter dated 04/15/2003 XYZ letter dated 05/07/2003
<b>DOE O 472.1B</b> Deletion	03/24/1997	PERSONNEL SECURITY ACTIVITIES	ORO letter dated 04/23/2003 XYZ letter dated 05/14/2003
<b>DOE O 472.1C</b> Addition	03/25/2003	PERSONNEL SECURITY ACTIVITIES	ORO letter dated 04/23/2003 XYZ letter dated 05/14/2003
<b>ORO O 140, Chapter II, Change 2</b> Deletion	01/26/2001	SAFEGUARDS AGREEMENT WITH THE INTERNATIONAL ATOMIC ENERGY AGENCY (IAEA)	ORO letter dated 04/01/2003 XYZ letter dated 04/24/2003
<b>WSS Set, Revision 18</b> Update	04/16/2003	WSS SET NAME	XYZ letter dated 04/16/2003
<b>S/RID 13.0, Rev. 8</b> Type 1 Change	04/16/2003	PACKAGING AND TRANSPORTATION	XYZ letter dated 04/16/2003
<b>S/RID 17.0, Rev. 10</b> Type 2 Change	05/18/2003	OPERATIONS	ORO letter dated 04/01/2003 XYZ letter dated 05/01/2003

**EXAMPLE OF  
LIST B**

**APPENDIX E**

RCN No. XYZ-15

**BASELINE LIST OF REQUIRED COMPLIANCE DOCUMENTS**

**List B – List of Applicable Directives**

<b>DOE DIRECTIVES</b>			
DOE Directives can be found at the following Internet address: <a href="http://www.directives.doe.gov">http://www.directives.doe.gov</a>			
REQUIRED COMPLIANCE DOCUMENTS	DATE DOCUMENT APPROVED	TITLE	NOTES AND COMMENTS
DOE O 110.3	11/03/1999	CONFERENCE MANAGEMENT	
DOE N 142.1	07/14/1999	UNCLASSIFIED FOREIGN VISITS AND ASSIGNMENTS	Expiration date extended to 05/14/2003 by DOE N 251.47.
<i>DOE O 151.1A See S/RID for specific requirements.</i>	<i>11/01/2000</i>	<i>COMPREHENSIVE EMERGENCY MANAGEMENT SYSTEM</i>	<i>ES&amp;H-related; See Footnote (2).</i>
<b>DOE O 200.1</b>	<b>09/30/1996</b>	<b>INFORMATION MANAGEMENT PROGRAM</b>	
DOE N 203.1	10/02/2000	SOFTWARE QUALITY ASSURANCE	Expiration date extended to 12/31/2001 by DOE N 251.40.
Compliance: Approved Implementation Plan, 08/31/2001.			
<i>DOE O 210.1, Change 2 See WSS Set for specific requirements.</i>	<i>05/01/1996</i>	<i>PERFORMANCE INDICATORS AND ANALYSIS OF OPERATIONS INFORMATION</i>	<i>ES&amp;H-related; See Footnote (2).</i>
DOE M 251.1-1A	01/30/1998	DIRECTIVES SYSTEM MANUAL	
DOE N 350.6	01/12/2001	ACCEPTANCE OF VALID WORKERS' COMPENSATION CLAIMS	Errata Sheet, distributed on 04/24/2001.
DOE O 430.1A	10/14/1998	LIFE CYCLE ASSET MANAGEMENT	DOE O 430.2A cancels Paragraphs 6d(2), 6h, 7b(1), 7b(2), and 7e(16).
DOE 2340.1C	06/08/1992	COORDINATION OF GENERAL ACCOUNTING OFFICE ACTIVITIES	See Footnote (1).

**CONTRACT NO.**

**APPENDIX E**

RCN No. XYZ-15

**BASELINE LIST OF REQUIRED COMPLIANCE DOCUMENTS**

**List B – List of Applicable Directives**

<b>DOE TECHNICAL STANDARDS</b>			
<b>DOE Directives can be found at the following Internet address:</b> <a href="http://www.directives.doe.gov">http://www.directives.doe.gov</a>			
<b>REQUIRED COMPLIANCE DOCUMENTS</b>	<b>DATE DOCUMENT APPROVED</b>	<b>TITLE</b>	<b>NOTES AND COMMENTS</b>
DOE-STD-3011-2002	12/2002	GUIDANCE FOR PREPARATION OF BASIS FOR INTERIM OPERATION (BIO) DOCUMENTS	

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**CONTRACT NO.**

**APPENDIX E**

**BASELINE LIST OF REQUIRED COMPLIANCE DOCUMENTS**

**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/doe_oro_dmg/oro_dir.htm">http://www.ornl.gov/doe/doe_oro_dmg/oro_dir.htm</a>			
REQUIRED COMPLIANCE DOCUMENT	DATE DOCUMENT APPROVED	TITLE	NOTES AND COMMENTS
<b>ORO O 130</b>			
Chapter II, Change 2	07/28/1999	<b>SHUTDOWN OF DEPARTMENTAL OPERATIONS UPON FAILURE OF CONGRESS TO ENACT APPROPRIATIONS</b>	
<b>ORO O 140</b>			
Chapter II, Change 3	03/12/2003	SAFEGUARDS AGREEMENT WITH THE INTERNATIONAL ATOMIC ENERGY AGENCY (IAEA)	
<b>ORO O 150</b>			
Chapter I, Change 4, <i>See S/RID for specific requirements.</i>	11/13/2002	<i>COMPREHENSIVE EMERGENCY MANAGEMENT SYSTEM</i>	<i>ES&amp;H-related; See Footnote (2).</i>
<b>ORO O 220</b>			
Chapter II, Change 1	01/07/1999	COOPERATION WITH THE OFFICE OF INSPECTOR GENERAL	
<b>ORO O 360</b>			
Chapter II, Change 3	04/30/2002	PERSONNEL SELECTION, QUALIFICATION, AND TRAINING REQUIREMENTS FOR DOE NUCLEAR FACILITIES	
Compliance: Implementation Plan Due 09/01/2003.			
<b>ORO O 440</b>			
Chapter IV, Change 3 <i>See WSS Set for specific requirements</i>	05/06/2002	<b>RADIATION PROTECTION OF THE PUBLIC AND THE ENVIRONMENT</b>	<i>ES&amp;H-related; See Footnote (2).</i>
Chapter V, Change 2	07/07/1999	EMPLOYEE CONCERNS MANAGEMENT SYSTEM	
<b>Compliance: Implementation Plan Submitted 08/16/2001.</b>			

**APPENDIX E**

**BASELINE LIST OF REQUIRED COMPLIANCE DOCUMENTS**

**List B – List of Applicable Directives**

<b>WORK SMART STANDARDS (WSS)</b> WSS Sets can be accessed at the following Internet address: <a href="http://www.ornl.gov/doc/doe_doe_oro_dmg/smwss.htm">http://www.ornl.gov/doc/doe_oro_dmg/smwss.htm</a>			
<b>REQUIRED COMPLIANCE DOCUMENT</b>	<b>DATE DOCUMENT APPROVED</b>	<b>TITLE</b>	<b>NOTES AND COMMENTS</b>
WSS Set 1, Revision 18	04/16/2003	WSS SET NAME	See Footnote (9).
<b>WSS Set 2, Revision 5</b>	<b>04/16/2003</b>	<b>WSS SET NAME</b>	

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**CONTRACT NO.**

**APPENDIX E**

RCN No. XYZ-15  
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**BASELINE LIST OF REQUIRED COMPLIANCE DOCUMENTS**

**List B – List of Applicable Directives**

STANDARDS/REQUIREMENTS IDENTIFICATION DOCUMENTS (S/RIDs)				
S/RIDs can be accessed at the following Internet address: <a href="http://www.ornl.gov/doe/doe_oro_dmg/smsrid.htm">http://www.ornl.gov/doe/doe_oro_dmg/smsrid.htm</a>				
FUNCTIONAL AREA (FA)	TITLE	REVISION NUMBER	DOE/ORO APPROVAL DATE	NOTES AND COMMENTS
1.0	MS - Management Systems	8	05/29/2003	Type 1 Change
2.0	QA - Quality Assurance	7	05/13/2003	
3.0	CM - Configuration Management	3	03/26/2003	
4.0	TQ - Training and Qualification	7	03/26/2003	Type 2 Change
5.0	EM - Emergency Management	6	10/19/2001	
7.0	EG - Engineering Program	1	03/26/2003	
8.0	CP - Construction Program	1	03/26/2003	
9.0	OP - Operations	3	11/19/2002	Type 2 Change
10.0	MA - Maintenance	8	05/23/2003	
11.0	RP - Radiation Protection	3	08/17/2000	
12.0	FP - Fire Protection	6	01/22/2003	
13.0	TR - Packaging and Transportation	10	05/29/2003	Type 1 Change
18.0	FS - Facility (Nuclear) Safety	11	05/09/2003	
19.0	SH - Occupational Safety and Health	10	05/30/2003	See Footnote (9)
20.0	EP - Environmental Protection	7	10/15/2001	
21.0	CS - Nuclear Criticality Safety	1	11/19/2002	Type 1 Change

**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) This document is ES&H-related and appears on a current Work Smart Standards (WSS) Set or a Standards/Requirements Identification Document (S/RID). In a S/RID or WSS Set, the DOE or ORO Directive may be referenced in its entirety; only reference specific chapters, paragraphs, or sections; and it may be modified by implementation assumptions. Specific applicability regarding ES&H Directives can only be obtained from specific WSS Sets and S/RID functional areas.

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Department of Energy

Washington, DC 20585

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MEMORANDUM TO HEADS OF CONTRACTING ACTIVITIES

FROM: RICHARD H. HOPF, DIRECTOR  
OFFICE OF PROCUREMENT AND ASSISTANCE MANAGEMENT

SUBJECT: CONTRACTOR INTEGRATED SAFETY MANAGEMENT

The purpose of this memorandum is to bring to your attention, as Head of the Contracting Activity, certain issues relating to contractor integrated safety management which require enhanced attention and to provide guidance relating thereto.

Contracting Officers are responsible for, among other things, ensuring that contracts are structured and maintained to properly reflect and protect the Government's interests and that contract terms and conditions are enforced. This responsibility extends to safety requirements imposed on contractors through the contract. In Department of Energy (DOE) major site and facility contracts, there are two primary mechanisms for identifying contractor safety requirements. First, under the clause entitled "Integration of Environment, Safety and Health Into Work Planning and Execution" (Department of Energy Acquisition Regulation 970.5204-2), the contractor is required to develop, and submit for DOE approval, an Integrated Safety Management System (ISMS). The second mechanism, as set forth in the clause entitled "Laws, Regulations, and DOE Directives" (DEAR 970.5204-78(b)) provides for the incorporation of a list ("List B") of applicable DOE directives, standards, and other requirements into the contract, and establishes an administrative process to add, or delete, requirements from the list.

Recent reports and investigations by the DOE Office of the Inspector General indicate that there may be a lack of prudent coordination and integration of line management attention and accountability of contractor safety requirements in major site and facility contracts that are essential for effective accident prevention. First, the contractor's ISMS may not adequately set forth the contractor's comprehensive approach for occurrence reporting, including near miss reporting. Second, line management responsibilities and mechanisms may not be fully defined to ensure that the "List B" set of applicable directives, standards, and other requirements in the contract are complete and current. Lastly, Contracting Officers may not be using existing contract mechanisms as effectively as possible to maximize DOE's ability to promote and enforce safety requirements.

The contractor's ISMS should implement DOE safety reporting requirements and establish adequate line management responsibility, integration and coordination to ensure that occurrences, including near misses, and accidents and injuries are both reduced and consistently reported. The contractor's ISMS should not be approved unless it includes these areas of compliance. The Contracting Officer should rely on organizational and individual expertise within the field office

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and, as appropriate, Headquarters to ensure that safety requirements (including reporting requirements) are adequately addressed in the contractor's ISMS.

Because the ISMS establishes the contractor's baseline safety requirements and systems, Contracting Officers should first rely on the ISMS to determine whether the contractor is meeting its contractual requirements. Contracting Officers should use the "conditional payment of fee" clause (or similar provision) of the contract to assure that the contractor performs the ISMS properly. Regarding work efforts that are to be specifically incentivized, the enforcement of the safety requirements that are inherent in performance should occur as part of the evaluation of the contractor's overall performance for the work. The contractor's failure to execute the work in accordance with safety requirements should result in a reduction in the fee for that work. Accordingly, when developing work efforts for incentivization, the incentive should be structured to promote the integration of safety in all aspects of contractor work efforts.

Specific incentives for stand-alone safety requirements (e.g., injury rates) should only be used where there is a demonstrated need to either reduce specific risks or better focus the contractor's management attention on improving specific performance. In both of these instances, the incentive should not be continued once the desired level of performance under the specific incentive has been achieved. The rationale for limiting the use of specific incentives for stand-alone safety requirements is that the contractor may, in fact, succeed in meeting performance targets needed to earn the specific incentive, but still not achieve the more important objective of integrated safety management.

Lastly, regarding the administration of the "List B" requirements, the Contracting Officer should periodically (but at least annually concurrent with the annual work scope and fee negotiations) review and update the "List B" set of directives, standards, and other requirements to ensure that they are complete and current. In order for this to occur, the Contracting Officer should identify the organization and individuals with operational, line management, or technical support responsibility for each applicable requirement and request that entity or individual to review the requirements and affirm their applicability. Note that "List B" requirements are not limited to safety alone, and the review should encompass the entire set.

In your capacity as Head of the Contracting Activity, you are requested to disseminate this information to both contracting staff and technical staff responsible for the administration of contractor integrated safety management. You should be aware that the Assistant Secretary for Environment, Safety and Health also will be issuing guidance regarding contractor occurrence reporting in the near future. That guidance should also be disseminated to appropriate contracting and technical staff and used in conjunction with the guidance provided herein.

Should you need additional information on this matter, or have questions, please contact Mr. Ed Simpson of my staff on 202-586-3168.