

Part III- List of Documents, Exhibits and Other Attachments
Section J- List of Attachments

Attachment D.2- Baseline List of Required Compliance Documents

List B - List of Applicable Directives

See Mods. 0028 (1/31/2017); 0052 (6/14/2017); 0059 (7/25/2017); 0067 (9/21/2017); 0079 (12/20/2017); 0097 (4/11/2018); 0110 (7/11/2018); 0124 (10/15/2018); 0173 (10/20/2019); 0251 (3/16/2021); 0262 (5/14/2021); 0276 (8/13/2021); 0288 (10/12/2021); 0307 (1/31/2022); 0324 (4/28/2022); 0247 (8/12/2022), 0358 (10/27/2022); 0373 (2/28/2023); 0383 (4/5/2023); 0404 (12/10/2023)

AMENDMENT OF SOLICITATION/MODIFICATION OF CONTRACT		1. CONTRACT ID CODE	PAGE OF PAGES 1 1
2. AMENDMENT/MODIFICATION NO. 0404	3. EFFECTIVE DATE See Block 16C	4. REQUISITION/PURCHASE REQ. NO.	5. PROJECT NO. (If applicable)
6. ISSUED BY SC Oak Ridge U.S. Department of Energy ORNL Site Office P.O. Box 2008 Oak Ridge TN 37831	CODE 892431	7. ADMINISTERED BY (If other than Item 6) U.S. Department of Energy ORNL Site Office P.O. Box 2008 Oak Ridge TN 37831	CODE 00516
8. NAME AND ADDRESS OF CONTRACTOR (No., street, county, State and ZIP Code) Oak Ridge Associated Universities, Incorporated Attn: Angela Holmberg P.O. BOX 117 OAK RIDGE TN 378310117		(x)	9A. AMENDMENT OF SOLICITATION NO.
CODE 041152224 FACILITY CODE			9B. DATED (SEE ITEM 11)
		x	10A. MODIFICATION OF CONTRACT/ORDER NO. DE-SC0014664
			10B. DATED (SEE ITEM 13) 03/10/2016

11. THIS ITEM ONLY 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 electronic communication 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 letter or electronic communication, provided each letter or electronic communication 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)

See Schedule

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

CHECK ONE	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) P.L. 95-91 and FAR 43.103 (a) Mutual Agreement of the Parties

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

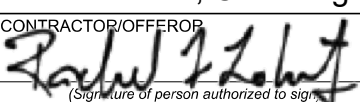

14. DESCRIPTION OF AMENDMENT/MODIFICATION (Organized by UCF section headings, including solicitation/contract subject matter where feasible.)

UEI: JW7MLW3RRK34


Management of the Oak Ridge Institute for Science and Education to replace Change Notice (RCN) ORAU 28 with RCN ORAU 30 Dated November 29, 2023, in Section J, Attachment D.2. RCN 29 contained no changes.

Payment:

Except as provided herein, all terms and conditions of the document referenced in Item 9 A or 10A, as heretofore changed, remains unchanged and in full force and effect.

15A. NAME AND TITLE OF SIGNER (Type or print) Rachel F. Loktiz, Chief Legal and Risk Officer		16A. NAME AND TITLE OF CONTRACTING OFFICER (Type or print) Brittany B. Logan	
15B. CONTRACTOR/OFFEROR  (Signature of person authorized to sign)	15C. DATE SIGNED 12/6/2023	16B. UNITED STATES OF AMERICA  (Signature of Contracting Officer)	16C. DATE SIGNED 1 / 10 / 2023

Previous edition unusable

DOE Form (04/1991)		RCN No. ORAU-30
U.S. Department of Energy REQUIREMENTS CHANGE NOTICE		Page 1 of 6
PROJECT: Contract Baseline Documentation		LOCATION: Oak Ridge, Tennessee
CONTRACTOR: Oak Ridge Associated Universities (ORAU)		
CONTRACT NO.: DE-SC0014664, DEAR 970.5204-2, Laws, Regulations, and DOE Directives (DEC 2000)		DATE OF CONTRACT: March 10, 2016
<p>This Requirements Change Notice (RCN) No. ORAU-30 incorporates into Section J, Attachment D.2, of Contract No. DE-SC0014664, 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 specific WSS sets. ES&H-related directives in WSS sets have an ES&H footnote. Changes to Section J, Attachment D.2, 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> DOE O 200.1A, CHANGE 2 DOE O 413.3B, CHANGE 7 DOE O 471.6, CHANGE 4</p> <p><u>DELETIONS:</u> DOE O 200.1A, CHANGE 1 DOE O 413.3B, CHANGE 4 DOE O 471.6, CHANGE 3</p> <p><u>UPDATES:</u></p> <p><u>IMPLEMENTATION PLANS (REVISED COMPLIANCE STATUS):</u></p> <p><u>ADMINISTRATIVE CORRECTION:</u></p>		
DOE AUTHORIZING SIGNATURE:  Michele Branton, Contracting Officer's Representative		DATE: 1/5/2023

Summary of Changes for RCN-30
Baseline List of Required Compliance Documents

Directive	Title	Action	Authority
DOE O 200.1A Change 1	Information Management Program	Deletion	DOE email dated 09/05/2023 ORAU email dated 10/03/2023
DOE O 200.1A Change 2	Information Management Program	Addition	DOE email dated 09/05/2023 ORAU email dated 10/03/2023
DOE O 413.3B Change 4	Program and Project Management for the Acquisition of Capital Assets	Deletion	DOE email dated 07/17/2023 ORAU email dated 10/03/2023
DOE O 413.3B Change 7	Program and Project Management for the Acquisition of Capital Assets	Addition	DOE email dated 07/17/2023 ORAU email dated 10/03/2023
DOE O 471.6 Change 3	Information Security	Deletion	DOE email dated 09/05/2023 ORAU email dated 10/03/2023
DOE O 471.6 Change 4	Information Security	Addition	DOE email dated 09/05/2023 ORAU email dated 10/03/2023

Attachment D
Baseline List of
Required Compliance Documents

List B - List of Applicable Directives

DOE Directives may be found at the following address: http://www.directives.doe.gov/				
Required Compliance Document	Document Date	Title	Through Change	Notes and Comments
DOE O 130.1	09/29/1995	Budget Formulation		
DOE O 142.3B Change 1	03/02/2022	Unclassified Foreign Visitors and Assignments Program		
DOE O 150.1B	12/21/2021	Continuity Programs		
DOE O 151.1D, Change 1	10/04/2019	Comprehensive Emergency Management System		
DOE O 153.1A	11/17/2022	Departmental Nuclear Emergency Support Team Capabilities		
DOE O 200.1A Change 2	08/11/2023	Information Technology Management		
DOE O 205.1C Change 1	02/03/2022	Department of Energy Cyber Security Program		
DOE O 206.1, Change 1	11/01/2018	Department of Energy Privacy Program		
DOE O 206.2, Change 1	09/02/2022	Identity, Credential, and Access Management (ICAM)		
DOE O 210.2A	04/08/2011	DOE Corporate Operating Experience Program		
DOE O 221.1B	09/27/2016	Reporting Fraud, Waste and Abuse to the Office of Inspector General		
DOE O 221.2A	02/25/2008	Cooperation with the Office of Inspector General		
DOE O 225.1B	03/04/2011	Accident Investigations		
DOE O 227.1A Change 1	01/21/2020	Independent Oversight Program		
DOE O 231.1B Administrative Change 1	11/28/2012	Environment, Safety and Health Reporting		
DOE O 232.2A	01/17/2017	Occurrence Reporting and Processing of Operations Information		
DOE O 241.1B Administrative Change 1	04/26/2015	Scientific and Technical Information Management		
DOE O 243.1C	02/07/2022	Records Management Program		
Compliance Line: Implementation Plan submitted by June 23, 2022.				
DOE O 252.1A, Administrative Change 1	03/12/2013	Technical Standards Program		
DOE O 350.1, Change 7	02/19/2/020	Contractor Human Resource Management Programs		

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DOE O 410.2, Administrative Change 1	04/10/2014	Management of Nuclear Materials		
DOE O 412.1A	05/21/2014	Work Authorization System		
DOE O 413.1B	10/28/2008	Internal Control Program		Footnote (4)
DOE O 413.3B Change 7	11/29/2010	Program and Project Management for the Acquisition of Capital Assets		
DOE O 414.1D Change 2	09/15/2020	Quality Assurance		ES&H-related Directive included in WSS. See Footnote (3).
DOE O 420.1C, Change 3	11/14/2019	Facility Safety		ES&H-related Directive included in WSS. See Footnote (3).
DOE O 435.1, Change 1	08/28/2001	Radioactive Waste Management		ES&H-related Directive included in WSS. See Footnote (3).
DOE M 435.1-1, Administrative Change 2	06/08/2011	Radioactive Waste Management Manual		ES&H-related Directive included in WSS. See Footnote (3).
DOE O 436.1A	04/25/2023	Departmental Sustainability		
DOE O 440.2C, Change 3	03/21/2023	Aviation Management and Safety		
DOE O 442.1B	01/31/2019	Department of Energy Employee Concerns Program		
DOE O 442.2, Change 1	10/04/2016	Differing Professional Opinions for Technical Issues Involving Environmental, Safety and Health Technical Concerns		
DOE O 443.1B Administrative Change 1	04/21/2016	Protection of Human Research Subjects		
DOE P 450.4A, Change 1	01/18/2018	Integrated Safety Management Policy		
DOE O 458.1, Change 4	09/15/2020	Radiation Protection of the Public and the Environment		ES&H-related Directive included in WSS. See Footnote (3).
DOE O 460.1D Change 1	06/10/2022	Hazardous Materials Packaging and Transportation Safety		
DOE O 460.2B	06/10/2022	Departmental Materials Transportation and Packaging Management		
DOE O 470.3C Change 1	09/09/2020	Design Basis Threat (DBT) Order		

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DOE O 470.4B, Change 3	09/23/2021	Safeguards and Security Program		
DOE O 470.5	06/02/2014	Insider Threat Program		
DOE O 470.6, Change 1	01/11/2017	Technical Security Program		
DOE O 471.1B	03/01/2010	Identification and Protection of Unclassified Controlled Nuclear Information		
DOE O 471.7	02/03/2022	Controlled Unclassified Information		
Compliance Line: Revised Implementation Plan submitted 10/07/2022.				
DOE O 471.6, Change 4	08/22/2023	Information Security		
DOE O 472.2A	06/10/2022	Personnel Security		
DOE O 473.1A	08/30/2021	Physical Protection Program		
DOE O 473.2A	08/30/2021	Protective Force Operations		
DOE O 474.2A	02/07/2023	Nuclear Material Control and Accountability		
DOE O 475.1	12/10/2004	Counterintelligence Program		
DOE O 475.2B	10/03/2014	Identifying Classified Information		
DOE M 481.1-1A Change 1	09/28/2001	Reimbursable Work For Non-Federal Sponsors Process Manual		
DOE O 484.1, Administrative Change 3	03/21/2023	Reimbursable Work for the Department of Homeland Security		
DOE O 486.1A	09/04/2020	Foreign Government Sponsored or Affiliated Activities		
DOE O 520.1B, Change 1	11/11/2022	Financial Management and Chief Financial Officer Responsibilities		
DOE O 522.1A	08/02/2018	Pricing of Departmental Materials and Services		
DOE O 534.1B	01/06/2003	Accounting		
DOE O 550.1, Change 1	12/13/2019	Official Travel		
DOE 2340.1C	06/08/1992	Coordination of General Accounting Office Activities		

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Work Smart Standards (WSS) Sets				
Required Compliance Document	Approval Date	Title	Change # Approval Date	Notes and Comments
WSS Set 44		Oak Ridge Institute for Science and Education (ORISE) Work Smart Standards Set	01/28/2021	

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 a 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.