

AMENDMENT OF SOLICITATION/MODIFICATION OF CONTRACT

1. CONTRACT ID CODE _____ PAGE OF PAGES
 1 | 1

2. AMENDMENT/MODIFICATION NO. 448
 3. EFFECTIVE DATE See Block 16C
 4. REQUISITION/PURCHASE REQ. NO. _____
 5. PROJECT NO. (If applicable) _____

6. ISSUED BY CODE 00518
 7. ADMINISTERED BY (If other than Item 6) CODE 00518

Oak Ridge U.S. Department of Energy P.O. Box 2001 Oak Ridge TN 37831
 Oak Ridge U.S. Department of Energy P.O. Box 2001 Oak Ridge TN 37831

8. NAME AND ADDRESS OF CONTRACTOR (No., street, county, State and ZIP Code)
 OAK RIDGE ASSOCIATED UNIVERSITIES, INC.
 P.O. BOX 117
 OAK RIDGE TN 37830-6218

(x) 9A. AMENDMENT OF SOLICITATION NO. _____

9B. DATED (SEE ITEM 11) _____

x 10A. MODIFICATION OF CONTRACT/ORDER NO. DE-AC05-06OR23100

10B. DATED (SEE ITEM 13) 12/21/2005

CODE 041152224 FACILITY CODE _____

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 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)
 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 date, etc.) SET FORTH IN ITEM 14, PURSUANT TO THE AUTHORITY OF FAR 43.103(b).
 X C. THIS SUPPLEMENTAL AGREEMENT IS ENTERED INTO PURSUANT TO AUTHORITY OF: Mutual agreement of the parties
 D. OTHER (Specify type of modification and authority)

E. IMPORTANT: Contractor is not, is required to sign this document and return 1 copies to the issuing office.

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

Tax ID Number: 62-0476816
 DUNS Number: 041152224
 Technical Services for Management of the Oak Ridge Institute for Science and Education
 This modification accomplishes the following:
 1. Replaces Clause I. 68 with the attached Clause I. 68,
 2. Replaces RCN ORAU-28 with the attached RCN ORAU-29.
 Period of Performance: 01/01/2006 to 12/31/2015

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.

15A. NAME AND TITLE OF SIGNER (Type or print)
 Ivan A. Boatner
 Vice President & General Counsel
 15B. CONTRACTOR OFFEROR
 15C. DATE SIGNED
 4.11.13
 16A. NAME AND TITLE OF CONTRACTING OFFICER (Type or print)
 Mary L. Crow
 16B. UNITED STATES OF AMERICA
 16C. DATE SIGNED
 04/10/2013
 (Signature of person authorized to sign)
 (Signature of Contracting Officer)

AMENDMENT OF SOLICITATION/MODIFICATION OF CONTRACT		1. CONTRACT ID CODE	PAGE OF PAGES 1 1
2. AMENDMENT/MODIFICATION NO. 448	3. EFFECTIVE DATE See Block 16C	4. REQUISITION/PURCHASE REQ. NO.	5. PROJECT NO. (If applicable)
6. ISSUED BY Oak Ridge U.S. Department of Energy P.O. Box 2001 Oak Ridge TN 37831	CODE 00518	7. ADMINISTERED BY (If other than Item 6) Oak Ridge U.S. Department of Energy P.O. Box 2001 Oak Ridge TN 37831	CODE 00518
8. NAME AND ADDRESS OF CONTRACTOR (No., street, county, State and ZIP Code) OAK RIDGE ASSOCIATED UNIVERSITIES, INC. P.O. BOX 117 OAK RIDGE TN 37830-6218		(x)	9A. AMENDMENT OF SOLICITATION NO.
CODE 041152224		FACILITY CODE	9B. DATED (SEE ITEM 11)
		x	10A. MODIFICATION OF CONTRACT/ORDER NO. DE-AC05-06OR23100
			10B. DATED (SEE ITEM 13) 12/21/2005

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 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)

See Schedule

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X	C. THIS SUPPLEMENTAL AGREEMENT IS ENTERED INTO PURSUANT TO AUTHORITY OF: Mutual agreement of the parties
	D. OTHER (Specify type of modification and authority)

E. IMPORTANT: Contractor is not, is required to sign this document and return 1 copies to the issuing office.

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

Tax ID Number: 62-0476816

DUNS Number: 041152224

Technical Services for Management of the Oak Ridge Institute for Science and Education

This modification accomplishes the following:

1. Replaces Clause I. 68 with the attached Clause I. 68,
2. Replaces RCN ORAU-28 with the attached RCN ORAU-29.

Period of Performance: 01/01/2006 to 12/31/2015

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.

15A. NAME AND TITLE OF SIGNER (Type or print)		16A. NAME AND TITLE OF CONTRACTING OFFICER (Type or print) Mary L. Crow	
15B. CONTRACTOR/OFFEROR (Signature of person authorized to sign)	15C. DATE SIGNED	16B. UNITED STATES OF AMERICA Signature on File (Signature of Contracting Officer)	16C. DATE SIGNED 04/15/2013

I.68 52.227-14 RIGHTS IN DATA—GENERAL as modified by DEAR 927.409 and Alternates II, III, and V

(a) *Definitions.*

- (1) Computer data bases, as used in this clause, means a collection of data in a form capable of, and for the purpose of, being stored in, processed, and operated on by a computer. The term does not include computer software.
- (2) Computer software, as used in this clause, means
 - (i) computer programs which are data comprising a series of instructions, rules, routines, or statements, regardless of the media in which recorded, that allow or cause a computer to perform a specific operation or series of operations and
 - (ii) data comprising source code listings, design details, algorithms, processes, flow charts, formulae, and related material that would enable the computer program to be produced, created, or compiled. The term does not include computer data bases.
- (3) Data, as used in this clause, means recorded information, regardless of form or the media on which it may be recorded. The term includes technical data and computer software. For the purposes of this clause, the term does not include data incidental to the administration of this contract, such as financial, administrative, cost and pricing, or management information.
- (4) Form, fit, and function data, as used in this clause, means data relating to items, components, or processes that are sufficient to enable physical and functional interchangeability, as well as data identifying source, size, configuration, mating, and attachment characteristics, functional characteristics, and performance requirements; except that for computer software it means data identifying source, functional characteristics, and performance requirements but specifically excludes the source code, algorithm, process, formulae, and flow charts of the software.
- (5) Limited rights data, as used in this clause, means data, other than computer software, developed at private expense that embody trade secrets or are commercial or financial and confidential or privileged. The Government's rights to use, duplicate, or disclose limited rights data are as set forth in the Limited Rights Notice of subparagraph (g)(2) of this section if included in this clause.
- (6) Restricted computer software, as used in this clause, means computer software developed at private expense and that is a trade secret; is

commercial or financial and is confidential or privileged; or is published copyrighted computer software, including minor modifications of any such computer software. The Government's rights to use, duplicate, or disclose restricted computer software are as set forth in the Restricted Rights Notice of subparagraph (g)(3) of this section if included in this clause.

- (7) Technical data, as used in this clause, means recorded data, regardless of form or characteristic, that are of a scientific or technical nature. Technical data does not include computer software, but does include manuals and instructional materials and technical data formatted as a computer data base.
- (8) Unlimited rights, as used in this clause, means the rights of the Government to use, disclose, reproduce, prepare derivative works, distribute copies to the public, including by electronic means, and perform publicly and display publicly, in any manner, including by electronic means, and for any purpose whatsoever, and to have or permit others to do so.

(b) *Allocation of rights.*

- (1) Except as provided in Paragraph (c) of this clause, the Government shall have unlimited rights in—
 - (i) Data first produced in the performance of this contract;
 - (ii) Form, fit, and function data delivered under this contract;
 - (iii) Data delivered under this contract (except for restricted computer software) that constitute manuals or instructional and training material for installation, operation, or routine maintenance and repair of items, components, or processes delivered or furnished for use under this contract; and
 - (iv) All other data delivered under this contract unless provided otherwise for limited rights data or restricted computer software in accordance with Paragraph (g) of this clause.
- (2) The Contractor shall have the right to—
 - (i) Assert copyright in data first produced in the performance of this contract to the extent provided in Paragraph (c)(1) of this clause;
 - (ii) Use, release to others, reproduce, distribute, or publish any data first produced or specifically used by the Contractor in the performance of this contract, unless provided otherwise in

Paragraph (d) of this clause;

- (iii) Substantiate use of, add or correct limited rights, restricted rights, or copyright notices and to take other appropriate action, in accordance with Paragraphs (e) and (f) of this clause; and
- (iv) Protect from unauthorized disclosure and use those data that are limited rights data or restricted computer software to the extent provided in Paragraph (g) of this clause.

(c) *Copyright—*

(1) *Data first produced in the performance of this contract.*

- (i) Unless provided otherwise in Paragraph (d) of this clause, the Contractor may establish, without prior approval of the Contracting Officer, claim to copyright in scientific and technical articles based on or containing data first produced in the performance of this contract and published in academic, technical or professional journals, symposia proceedings or similar works. The prior, express written permission of the Contracting Officer is required to assert copyright in all other data first produced in the performance of this contract. The agency reserves the right to unilaterally amend this contract to identify specific treaties or international agreements entered into by the Government before or after the effective date of this contract, and effectuate those license or other rights that are necessary for the Government to meet its obligations to foreign governments, their nationals, and international organizations under treaties or international agreements with respect to subject inventions made after the date of the amendment.
- (ii) When authorized to assert copyright to the data, the Contractor shall affix the applicable copyright notices of 17 U.S.C. 401 or 402, and acknowledgment of Government sponsorship (including contract number).
- (iii) For data other than computer software, the Contractor grants to the Government, and others acting on its behalf, a paid-up, nonexclusive, irrevocable worldwide license in such copyrighted data to reproduce, prepare derivative works, distribute copies to the public, and perform publicly and display publicly, by or on behalf of the Government. For computer software, the Contractor grants to the Government and others acting on its behalf, a paid-up nonexclusive, irrevocable worldwide license in such copyrighted computer software to reproduce, prepare derivative works, and

perform publicly and display publicly (but not to distribute copies to the public) by or on behalf of the Government.

(2) *Data not first produced in the performance of this contract.*

The Contractor shall not, without prior written permission of the Contracting Officer, incorporate in data delivered under this contract any data not first produced in the performance of this contract unless the Contractor—

- (i) Identifies the data; and
- (ii) Grants to the Government, or acquires on its behalf, a license of the same scope as set forth in Subparagraph (c)(1) of this clause or; if such data are restricted computer software, the Government shall acquire a copyright license as set forth in Subparagraph (g)(4) of this clause (if included in this contract) or as otherwise provided in a collateral agreement incorporated in or made part of this contract.

(3) *Removal of copyright notices.*

The Government will not remove any authorized copyright notices placed on data pursuant to this Paragraph (c), and will include such notices on all reproductions of the data.

(d) *Release, publication, and use of data.*

The Contractor shall have the right to use, release to others, reproduce, distribute, or publish any data first produced or specifically used by the Contractor in the performance of this contract, except—

- (1) As prohibited by Federal law or regulation (*e.g.*, export control or national security laws or regulations);
- (2) As expressly set forth in this contract; or
- (3) The Contractor agrees not to assert copyright in computer software first produced in the performance of this contract without prior written permission of the DOE Patent Counsel assisting the contracting activity. When such permission is granted, the Patent Counsel shall specify appropriate terms, conditions, and submission requirements to assure utilization, dissemination, and commercialization of the data. The Contractor, when requested, shall promptly deliver to Patent Counsel a duly executed and approved instrument fully confirmatory of all rights to which the Government is entitled.

(e) *Unauthorized marking of data.*

- (1) Notwithstanding any other provisions of this contract concerning inspection or acceptance, if any data delivered under this contract are marked with the notices specified in Paragraph (g)(3) or (g)(4) of this clause and use of the notices is not authorized by this clause, or if such data bears any other restrictive or limiting markings not authorized by this contract, the Contracting Officer may at any time either return the data to the Contractor, or cancel or ignore the markings. However, pursuant to 41 U.S.C. 253d, the following procedures shall apply prior to canceling or ignoring the markings.
 - (i) The Contracting Officer will make written inquiry to the Contractor affording the Contractor 60 days from receipt of the inquiry to provide written justification to substantiate the propriety of the markings;
 - (ii) If the Contractor fails to respond or fails to provide written justification to substantiate the propriety of the markings within the 60-day period (or a longer time approved in writing by the Contracting Officer for good cause shown), the Government shall have the right to cancel or ignore the markings at any time after said period and the data will no longer be made subject to any disclosure prohibitions.
 - (iii) If the Contractor provides written justification to substantiate the propriety of the markings within the period set in Subdivision (e)(1)(i) of this clause, the Contracting Officer will consider such written justification and determine whether or not the markings are to be canceled or ignored. If the Contracting Officer determines that the markings are authorized, the Contractor will be so notified in writing. If the Contracting Officer determines, with concurrence of the head of the contracting activity, that the markings are not authorized, the Contracting Officer will furnish the Contractor a written determination, which determination shall become the final agency decision regarding the appropriateness of the markings unless the Contractor files suit in a court of competent jurisdiction within 90 days of receipt of the Contracting Officer's decision. The Government shall continue to abide by the markings under this Paragraph (e)(1)(iii) until final resolution of the matter either by the Contracting Officer's determination becoming final (in which instance the Government will thereafter have the right to cancel or ignore the markings at any time and the data will no longer be made subject to any disclosure prohibitions), or by final disposition of the matter by court decision if suit is filed.

- (2) The time limits in the procedures set forth in Subparagraph (e)(1) of this clause may be modified in accordance with agency regulations implementing the Freedom of Information Act (5 U.S.C. 552) if necessary to respond to a request thereunder.
- (3) Except to the extent the Government's action occurs as the result of final disposition of the matter by a court of competent jurisdiction, the Contractor is not precluded by Paragraph (e) of this clause from bringing a claim, in accordance with the Disputes clause of this contract, that may arise as a result of the Government removing or ignoring authorized markings on data delivered under this contract.

(f) *Omitted or incorrect markings.*

- (1) Data delivered to the Government without any restrictive markings shall be deemed to have been furnished with unlimited rights. The Government is not liable for the disclosure, use, or reproduction of such data.
- (2) If the unmarked data has not been disclosed without restriction outside the Government, the Contractor may request, within 6 months (or a longer time approved by the Contracting Officer in writing for good cause shown) after delivery of such data, permission to have authorized notices placed on qualifying data at the Contractor's expense, and the Contracting Officer may agree to do so if the Contractor—
 - (i) Identifies the data to which the omitted notice is to be applied;
 - (ii) Demonstrates that the omission of the notice was inadvertent;
 - (iii) Establishes that the use of the proposed notice is authorized; and
 - (iv) Acknowledges that the Government has no liability for the disclosure, use, or reproduction of any data made prior to the addition of the notice or resulting from the omission of the notice.
- (3) If data has been marked with an incorrect notice, the Contracting Officer may—
 - (i) Permit correction of the notice at the Contractor's expense if the Contractor identifies the data and demonstrates that the correct notice is authorized, or
 - (ii) Correct any incorrect notices.

(g) *Protection of limited rights data and restricted computer software.*

- (1) The Contractor may withhold from delivery qualifying limited rights data or restricted computer software that are not data identified in Paragraphs (b)(1)(i), (ii), and (iii) of this clause. As a condition to this withholding, the Contractor shall—
 - (i) Identify the data being withheld; and
 - (ii) Furnish form, fit, and function data instead.
- (2) Limited rights data that are formatted as a computer database for delivery to the Government shall be treated as limited rights data and not restricted computer software.
- (3) [Reserved]
- (4) Notwithstanding paragraph (g)(1) of this clause, the contract may identify and specify the delivery of restricted computer software, or the Contracting Officer may require by written request the delivery of restricted computer software that has been withheld or would otherwise be entitled to be withheld. If delivery of that computer software is required, the Contractor shall affix the following “Restricted Rights Notice” to the computer software and the Government will treat the computer software, subject to paragraphs (e) and (f) of this clause, in accordance with the notice:

Restricted Rights Notice (Dec 2007)

- (a) This computer software is submitted with restricted rights under Government Contract No. _____ (and subcontract _____, if appropriate). It may not be used, reproduced, or disclosed by the Government except as provided in paragraph (b) of this notice or as otherwise expressly stated in the contract.
- (b) This computer software may be—
 - (1) Used or copied for use in or with the computer(s) for which it was acquired, including use at any Government installation to which such computer(s) may be transferred;
 - (2) Used or copied for use in a backup computer if any computer for which it was acquired is inoperative;
 - (3) Reproduced for safekeeping (archives) or backup purposes;
 - (4) Modified, adapted, or combined with other computer software, *provided* that the modified, adapted, or combined portions of the derivative software incorporating any of the delivered, restricted computer software shall be subject to the same restricted rights;

(5) Disclosed to and reproduced for use by support service Contractors or their subcontractors in accordance with paragraphs (b)(1) through (4) of this notice; and

(6) Used or copied for use in or transferred to a replacement computer.

(c) Notwithstanding the foregoing, if this computer software is copyrighted computer software, it is licensed to the Government with the minimum rights set forth in paragraph (b) of this notice.

(d) Any other rights or limitations regarding the use, duplication, or disclosure of this computer software are to be expressly stated in, or incorporated in, the contract.

(e) This Notice shall be marked on any reproduction of this computer software, in whole or in part.

(End of notice)

(ii) Where it is impractical to include the Restricted Rights Notice on restricted computer software, the following short-form Notice may be used instead:

Restricted Rights Notice Short Form (Jun 1987)

Use, reproduction, or disclosure is subject to restrictions set forth in Contract No. _____ (and subcontract, if appropriate) with _____ (name of Contractor and subcontractor).

(End of notice)

(iii) If restricted computer software is delivered with the copyright notice of 17 U.S.C. 401, it will be presumed to be licensed to the Government without disclosure prohibitions, with the minimum rights set forth in paragraph (b) of this clause.

(h) *Subcontracting.*

The Contractor shall obtain from its subcontractors all data and rights therein necessary to fulfill the Contractor's obligations to the Government under this contract. If a subcontractor refuses to accept terms affording the Government such rights, the Contractor shall promptly notify the Contracting Officer of the refusal and shall not proceed with the subcontract award without authorization in writing from the Contracting Officer.

(i) *Relationship to patents or other rights.*

Nothing contained in this clause shall imply a license to the Government under any patent or be construed as affecting the scope of any license or other right otherwise granted to the Government.

- (j) The Contractor agrees, except as may be otherwise specified in this contract for specific data deliverables listed as not subject to this paragraph, that the Contracting Officer may, up to three years after acceptance of all deliverables under this contract, inspect at the Contractor's facility any data withheld pursuant to paragraph (g)(1) of this clause, for purposes of verifying the Contractor's assertion of limited rights or restricted rights status of the data or for evaluating work performance. Where the Contractor whose data are to be inspected demonstrates to the Contracting Officer that there would be a possible conflict of interest if a particular representative made the inspection, the Contracting Officer shall designate an alternate inspector.

DOE Form (04/1991)		RCN No. ORAU-29
U.S. Department of Energy REQUIREMENTS CHANGE NOTICE		Page 1 of 7
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 (DEC 2000), DEAR 970.5204-2		DATE OF CONTRACT: January 1, 2006
<p>This Requirements Change Notice (RCN) No. ORAU-29 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 specific WSS sets. ES&H-related directives in WSS sets have an ES&H footnote. Changes to Section J, Attachment D, 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 205.1B, Administrative Change 1 DOE O 231.1B, Administrative Change 1 DOE O 471.6, Administrative Change 1</p> <p><u>DELETIONS:</u> DOE O 205.1B DOE O 231.1B DOE O 471.6</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: <i>M. G. Branton</i> Michele Branton, Contracting Officer's Representative		DATE: <i>4-4-2013</i>

**Summary of Changes for RCN-29
Baseline List of Required Compliance Documents**

Directive	Title	Action	Authority
DOE O 205.1B	Department of Energy Cyber Security Program	Deletion	ORAU Letter 02/20/2013 OSO Letter 02/11/2013
DOE O 205.1B, Administrative Change 1	Department of Energy Cyber Security Program	Addition	ORAU Letter 02/20/2013 OSO Letter 02/11/2013
DOE O 231.1B	Environment, Safety and Health Reporting	Deletion	ORAU Letter 02/19/2013 OSO Letter 02/11/2013
DOE O 231.1B, Administrative Change 1	Environment, Safety and Health Reporting	Addition	ORAU Letter 02/19/2013 OSO Letter 02/11/2013
DOE O 471.6	Information Security	Deletion	ORAU Letter 02/19/2013 OSO Letter 02/11/2013
DOE O 471.6, Administrative Change 1	Information Security	Addition	ORAU Letter 02/19/2013 OSO Letter 02/11/2013

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 137.1A	08/30/1999	Plan for Operating in the Event of a Lapse in Appropriations		
DOE O 142.3A	10/14/2010	Unclassified Foreign Visits and Assignments Program		
DOE O 150.1	05/08/2008	Continuity Programs		
Compliance Line: Revised Implementation Plan approved by DOE on 02/15/2011.				
DOE O 151.1C,	11/02/2005	Comprehensive Emergency Management System		
DOE O 153.1	06/27/2007	Departmental Radiological Emergency Response Assets		Footnote (4)
DOE O 200.1A	12/23/2008	Information Technology Management		
DOE M 200.1-1	03/10/1997	Telecommunications Security Manual (Official Use Only)		
DOE O 205.1B Administrative Change 1	12/07/2012	Department of Energy Cyber Security Program		
DOE O 206.1	06/11/2009	Department of Energy Privacy Program		
DOE N 206.4	06/29/2007	Personal Identity Verification		
DOE O 210.2A	04/08/2011	DOE Corporate Operating Experience Program		
DOE O 221.1A	04/19/2008	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 221.3	12/17/2001	Establishment of Management Decisions on Office of Inspector General Reports		
DOE O 225.1B	03/04/2011	Accident Investigations		
DOE O 227.1	08/30/2011	Independent Oversight Program		
DOE O 231.1B Administrative Change 1	11/28/2012	Environment, Safety and Health Reporting		
DOE O 232.2	08/30/2011	Occurrence Reporting and Processing of Operations Information		
DOE O 241.1B	12/13/2010	Scientific and Technical Information Management		

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/				
DOE O 243.1A	11/07/2011	Records Management Program		
Compliance Line: Implementation Plan, approved by DOE on 06/26/2012.				
DOE O 243.2	02/02/2006	Vital Records		
DOE O 252.1A	02/23/2011	Technical Standards Program		
DOE O 350.1, Change 3	02/23/2010	Contractor Human Resource Management Programs		
DOE O 410.2	08/17/2009	Management of Nuclear Materials		Footnote (2)
DOE O 412.1	04/20/1999	Work Authorization System		
DOE O 413.1B	10/28/2008	Internal Control Program		Footnote (4)
DOE O 413.3B	11/29/2010	Program and Project Management for the Acquisition of Capital Assets		
DOE O 414.1D	05/23/2011	Quality Assurance		ES&H-related Directive included in WSS. See Footnote (3).
DOE O 420.1B, Change 1	04/19/2010	Facility Safety		ES&H-related Directive included in WSS. See Footnote (3).
DOE O 430.1B, Change 2	04/25/2011	Real Property Asset Management		
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 436.1	05/02/2011	Departmental Sustainability		
DOE M 440.1-1A	01/09/2006	DOE Explosives Safety Manual		ES&H-related Directives included in WSS. See Footnote (3).
DOE O 440.2C, Administrative Change 1	06/22/2011	Aviation Management and Safety		ES&H-related Directive included in WSS. See Footnote (1).
DOE O 442.1A	06/06/2001	Department of Energy Employee Concerns Program		
DOE O 442.2	07/29/2011	Differing Professional Opinions for Technical Issues Involving Environmental, Safety and Health Technical Concerns		
DOE O 443.1B	03/17/2011	Protection of Human Subjects		

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/				
DOE P 450.7	08/02/2004	Department of Energy Environment, Safety and Health (ES&H) Goals		
DOE O 451.1B, Change 1	09/28/2001	National Environmental Policy Act Compliance Program		ES&H-related Directive included in WSS. See Footnote (3).
DOE O 452.7	05/14/2010	Protection of Use Control Vulnerabilities and Designs		
DOE O 458.1, Administrative Change 2	06/06/2011	Radiation Protection of the Public and the Environment		ES&H-related Directive included in WSS. See Footnote (3).
DOE O 460.1C	05/14/2010	Packaging and Transportation Safety		ES&H-related Directive included in WSS. See Footnote (1).
DOE O 460.2A	12/22/2004	Departmental Materials Transportation and Packaging Management		
DOE M 460.2-1A	06/04/2008	Radioactive Material Transportation Practices Manual for Use With DOE O 460.2A		Footnote (2).
DOE P 470.1A	12/29/2010	Safeguards and Security Program		
DOE O 470.3B	08/12/2008	Graded Security Protection (GSP) Policy		
DOE O 470.4B	07/21/2011	Safeguards and Security Program		
DOE O 471.1B	03/01/2010	Identification and Protection of Unclassified Controlled Nuclear Information		
DOE M 471.3-1, Administrative Change 1	01/13/2011	Manual for Identifying and Protecting Official Use Only Information		
DOE O 471.3, Administrative Change 1	01/13/2011	Identifying and Protecting Official Use Only Information		
DOE O 471.6, Administrative Change 1	11/23/2012	Information Security		
DOE O 472.2	07/21/2011	Personnel Security		
DOE O 473.3	06/27/2011	Protection Program Operations		
DOE O 474.2, Administrative Change 1	08/03/2011	Nuclear Material Control and Accountability		
DOE O 475.1	12/10/2004	Counterintelligence Program		
DOE O 475.2A	02/01/2011	Identifying Classified Information		
DOE M 481.1-1A Change 1	09/28/2001	Reimbursable Work For Non-Federal Sponsors Process Manual		
DOE O 481.1B	09/28/2001	Work for Others (Non-Department of Energy		

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/				
		Funded Work)		
DOE O 484.1, Administrative Change 1	04/14/2011	Reimbursable Work for the Department of Homeland Security		
DOE O 522.1	11/03/2004	Pricing of Departmental Materials and Services		
DOE O 534.1B	01/06/2003	Accounting		
DOE O 551.1D	04/02/2012	Official Foreign Travel		
DOE M 573.1-1	07/12/2000	Mail Services User's Manual		
DOE O 580.1A	03/30/2012	Department of Energy Personal Property Management Program		
DOE 2340.1C	06/08/1992	Coordination of General Accounting Office Activities		

Attachment D
 Baseline List of
 Required Compliance Documents

List B - List of Applicable Directives

Work Smart Standards (WSS) Sets may be found at the following address: http://www.ornl.gov/orise/wss.htm				
Required Compliance Document	Approval Date	Title	Change # Approval Date	Notes and Comments
WSS Set 38	08/22/2011	Oak Ridge Institute for Science and Education (ORISE) Work Smart Standards Set		

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.