

# RM RESPONSIBILITIES

DATE: 01/05/2009

## SUBJECT: REQUIREMENTS CHANGE NOTICES (RCNs)

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1. PURPOSE. This document addresses responsibility and accountability and provides administrative guidance to the Oak Ridge Office (ORO). This document correlates to Department of Energy Acquisition Regulation DEAR 970.5204-2, *Laws, Regulations, and DOE Directives* (DEC 2000).
2. APPLICABILITY. The provisions of this document apply to the Federal staff who perform work related to the ORO contracts with List B administered by the Directives Management Group (DMG).
3. RESPONSIBILITIES.
  - a. Principal Staff participate when assigned as Division of Primary Interest (DPI) for DOE Directives included in List B.
  - 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 quarterly review and update the List B set of Directives, standards, and other requirements to ensure that they are complete and current.
  - c. Contracting Officer's Representative (COR).
    - (1) Maintain List B per Delegation of Authority from the CO.
    - (2) Approves the RCN that revises List B.
  - d. Team Leader, Directives Management Group.
    - (1) Provides advice and assistance to ORO staff and contractors on subjects covered in this document.
    - (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.
    - (5) Performs the quarterly quality assessment of the contractors' requirements baselines.

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## 4. ATTACHMENTS.

- a. Attachment 1 – Example of DOE Form (04-1991), “*U.S. Department of Energy, Requirements Change Notice.*”
- b. Attachment 2 – Example of Outline of Changes.
- c. Attachment 3 – Example of List B.

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Attachment 1

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**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 (DEC 2000), DEAR 970.5204-2	DATE OF CONTRACT: October 1, 2005
<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</p> <p><b><u>DELETIONS:</u></b> DOE O 472.1B</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, Occurrence Reporting, 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:  COR'S NAME, Contracting Officer's Representative	DATE:

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Attachment 2

## EXAMPLE OF OUTLINE OF CHANGES

### OUTLINE OF CHANGES

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REQUIRED COMPLIANCE DOCUMENTS	DATE DOCUMENT APPROVED	TITLE	THROUGH CHANGE	AUTHORIZATION
<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, 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>WSS Set, Revision 18</b> Update	04/16/2003	WSS SET NAME		XYZ letter dated 04/16/2003
<b>S/RID</b>	11/28/2005	Emergency Management		ORO letter dated 11/28/2005 XYZ letter dated 11/08/2005

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## EXAMPLE OF LIST B

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### APPENDIX E

#### BASELINE LIST OF REQUIRED COMPLIANCE DOCUMENTS

##### List B – List of Applicable Directives

DOE DIRECTIVES			
REQUIRED COMPLIANCE DOCUMENTS	DATE DOCUMENT APPROVED	TITLE	NOTES AND COMMENTS
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>	
<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 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).

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DOE TECHNICAL STANDARDS			
REQUIRED COMPLIANCE DOCUMENTS	DATE DOCUMENT APPROVED	TITLE	NOTES AND COMMENTS
DOE-STD-3011-2002	12/2002	GUIDANCE FOR PREPARATION OF BASIS FOR INTERIM OPERATION (BIO) DOCUMENTS	

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## EXAMPLE OF LIST B

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WORK SMART STANDARDS (WSS) AND STANDARDS/REQUIREMENTS IDENTIFICATION DOCUMENTS (S/RIDS)				
REQUIRED COMPLIANCE DOCUMENT	DATE DOCUMENT APPROVED	TITLE	CHANGE NO. APPROVAL DATE	NOTES AND COMMENTS
WSS Set 1, Revision 18	04/16/2003	WSS SET NAME		See Footnote (9).
WSS Set 2, Revision 5	04/16/2003	WSS SET NAME		
S/RID	11/20/1997	Occurrence Reporting	2 11/06/2003	
S/RID	11/05/1996	Emergency Management	7 11/28/2005	

#### 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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