AMENDMENT OF SOLICITATION/MODIFICATION OF CONTRACT

1. CONTRACT ID CODE	PAGE OF PAGES
	1 | 1

2. AMENDMENT/MODIFICATION NO.	3. EFFECTIVE DATE	4. REQUISITION/PURCHASE REQ. NO.	5. PROJECT NO. *(If applicable)*
M046	See Block 16 C.	N/A	N/A

6. ISSUED BY CODE

U.S. Department of Energy
Chicago Operations/Ames Site Office
9800 South Cass Avenue
Argonne, IL 60439

7. ADMINISTERED BY *(If other than Item 6)* Code

M046

8. NAME AND ADDRESS OF CONTRACTOR *(No. street, county, State and ZIP Code)*

Iowa State University of
Science and Technology
1750 Beardshear Hall
Ames, IA 50011-2038

CODE N/A FACILITY CODE N/A

(✓)

9.A. AMENDMENT OF SOLICITATION NO.

9.B. DATED *(SEE ITEM 11)*

10.A. MODIFICATION OF Contract/Order NO.
DE-AC02-07CH11358

10.B. DATED *(SEE ITEM 13)*
January 1, 2007

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)*
N/A

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

(✓)	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 4 copies to the issuing office.

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

See Page No. 2 of this Modification.

15A. NAME AND TITLE OF SIGNER *(Type or print)*	16A. NAME AND TITLE OF CONTRACTING OFFICER *(Type or print)*
Warren R. Madden **Vice President for Business and Finance**	Thomas Harrison, Contracting Officer
15B. CONTRACTOR/OFFEROR — 15C. DATE SIGNED	16B. UNITED STATES OF AMERICA — 16C. DATE SIGNED
Warren R. Madden — 5/17/09	BY Thomas Harrison — 5/19/09
(Signature of person authorized to sign	*(Signature of Contracting Officer)*

14. Description of Amendment/Modification:

Part III – Section J, Attachment J.9 – Appendix I, DOE Directives, List B: List of Applicable Directives; previously incorporated into this contract is hereby adding, deleting and revising the following:

Directives:
Adding: (All changes are emboldened per attached Appendix I)
1. 0 200.1A INFORMATION TECHNOLOGY MANAGEMENT 12-23-08
2. 0 413.1B INTERNAL CONTROL PROGRAM 10-28-08
3. 0 413.3A PROGRAM AND PROJECT MANAGEMENT FOR THE ACQUISITION OF CAPITAL ASSETS 7-28-06, **CHG 1 11-17-08**

4. N 456.1 The Safe Handling of Unbound Engineered Nanoparticles 1-5-09

Canceling/Deleting:
1. 0 200.1 INFORMATION TECHNOLOGY MANAGEMENT
2. 0 251.1A DIRECTIVE SYSTEM
3. 0 413.1A MANAGEMENT CONTROL PROGRAM
4. M 413.3-1 PROGRAM AND PROJECT MANAGEMENT FOR THE ACQUISITION OF CAPITAL ASSETS.

Part III – Section J, Attachment J.7 – Appendix G, Purchasing System Requirements

The subcontract approval authority has been reduced from $500,000 to $175,000.
(Revised list attached)

ATTACHMENT J.7

APPENDIX G

PURCHASING SYSTEM REQUIREMENTS

Applicable to the Operation of AMES Laboratory

Contract No. DE-AC02-07CH11358

Appendix G

Purchasing System Requirements

This Appendix and Clause I.131, "Contractor Purchasing System," sets forth DOE requirements applicable to the Purchasing System established under the Contract for the management of the AMES Laboratory.

Subcontracts Not Binding on DOE

As used herein, the term "subcontracts" includes subcontracts, purchase orders, letter agreements, basic ordering agreements, consultant agreements, micro-purchases, Electronic Data Interchange (EDI) and FACNET transactions, and lower tier subcontracts under cost-type subcontracts (in an unbroken cost-type chain) that represent costs properly chargeable to the Prime Contract.

All applicable subcontracts shall be made in the name of the Contractor, shall not bind or purport to bind the Government, shall not relieve the Contractor of any obligation under the Prime Contract (including, among other things, the obligation to properly supervise and coordinate the work of subcontractors), and shall contain such provisions as are required by this Contract or as DOE may prescribe based on Federal statutes and regulations, or DOE Orders and Policies.

DOE Approval

Prior DOE written approval is required for the following actions:

1. Contractor award of any subcontract having a value of $**175,000.00** or greater, or any subcontract modification which will cause the value to exceed $**175,000.00**;

2. Except as otherwise expressly provided or directed, in writing, by DOE Patent Counsel with notification to the Contracting Officer, actions which involve any one of, or combination of, the following intellectual property matters:

    a. Acquisition of software by negotiated lease or license;

    b. Purchase of patents or patent license rights, including the payment of royalties and permits, or license fees;

    c. Recognition of proprietary rights, including the recognition of technical data as trade secrets; or,

d. Any restriction of DOE's use of data procured under a subcontract.

3. Inter-Contractor Purchases (ICP's) expected to exceed $1,000,000.00.

4. The purchase of utilities defined as: steam, gas, electricity, telephone lines, water and sewage furnished to ISU-owned building space occupied by AMES-funded personnel.

5. Contractor Procurement Policies and Procedures

   All additions to, modifications or deletions of, Contractor Procurement Policies and Procedures which result in substantive changes thereto shall be submitted to DOE for approval prior to implementation.

The above approval requirements do not eliminate any other requirement for review, concurrence, or approval of other proposed actions specified in the subject contract or DOE's right to require consent on any single or class of purchasing actions selected for special surveillance.

ATTACHMENT J.9

APPENDIX I

DOE DIRECTIVES/LIST B

Applicable to the Operation of
AMES Laboratory

Contract No. DE-AC02-07CH11358

ES&H

O 151.1C	11/02/05	Comprehensive Emergency Management System
O 225.1A	11/26/97	Accident Investigation
N 234.1	02/27/08	Reporting of Radioactive Sealed Sources
M 231.1-1A Chg. 1	09/09/04	Environment Safety & Health Reporting Manual
M 231.1-2	08/19/03	Occurrence Reporting and Processing of Operations Information
O 414.1C	06/17/05	Quality Assurance
O 420.1A	05/20/02	Facility Safety
O 435.1 Chg. 1	07/09/99 08/28/01	Radioactive Waste Management
O 450.1A M 450.4-1	06/04/08 11/01/06	Environmental Protection Program Integrated Safety Management System Manual
N 456.1	**01/05/09**	**The Safe Handling of Unbound Engineered Nanoparticles**
P 456.1	09/15/07	Secretarial Policy Statement on Nanoscale Safety
O 460.1B	04/04/03	Packaging and Transportation Safety
O 460.2A	12/22/04	Departmental Materials Transportation and Packaging Management
O 5400.5* Chg. 1 Chg. 2	02/08/90 06/05/90 01/07/93	Radiation Protection of the Public and the Environment
O 5480.19 Chg. 1 Chg. 2	07/09/90 05/18/92 10/23/01	Conduct of Operations Requirements for DOE Facilities
DOE Std. 1090-2004	June 2004	Hoisting and Rigging Standard

SAFEGUARDS AND SECURITY

O 142.3	06/18/04

M 205.1-1	09/30/04	Incident Prevention, Warning and Response (IPWAR) Manual System
M 205.1-2	06/26/05	Clearing, Sanitation, and Destruction of Information Storage Media, Memory Devices, and Related Hardware Manual
M 460.2-1A	06/04/08	Radioactive Material Transportation Practices
N 205.2	11/01/99	Foreign National Access to DOE Cyber Systems (extended by DOE N 205.16)
N 205.3	11/23/99	Password Generation, Protection, and Use (extended by DOE N 205.16)
N 205.8	02/11/04	Cyber Security Requirements for Wireless Devices and Information Systems (extended by DOE N 205.15)
N 205.9	02/19/04	Certification and Accreditation Process for Information Systems Including National Security Systems (extended by DOE N 205.15)
N 205.10	02/19/04	Cyber Security Requirements for Risk Management (extended by DOE N 205.15)
N 205.11	02/19/04	Security Requirements for Remote Access to DOE and Applicable Contractor Information Technology Systems (extended by DOE N 205.15)
N 206.4	06/29/07	Personal Identity Verification
N 206.5	10/09/2007	Response and Notification Procedures for Data Breaches Involving Personally Identifiable Information
O 470.2B	10/31/02	Independent Oversight and Performance Assurance Program
O 470.3A	11/29/05	Design Basis Threat Policy
O 470.4	08/26/05	Safeguards and Security Program
M 470.4-1 Chg. 1	08/26/05 03/07/06	Safeguard Security and Awareness Program

M 470.4-2 Chg. 1	08/26/05 03/07/06	Physical Protection
M 470.4-6	08/26/05	Nuclear Material Control and Accountability
M 470.4-7	08/26/05	Safeguards and Security Program References
O 471.3	04/09/03	Identifying and Protecting Official Use Only Information
M 471.3-1	04/09/03	Manual for Identifying and Protecting Official Use Only Information
O 475.1	12/10/04	Counterintelligence Program
M 481.1-1A	1/03/01	Work for Others (Non-Department of Energy Funded Work)
Chg. 1	09/28/01	
O 551.1C	06/24/08	Official Foreign Travel
O 5660.1B	05/26/94	Management of Nuclear Materials

FINANCIAL MANAGEMENT

O 130.1	09/29/95	Budget Formulation Process (extended by DOE N 251.45, 05/29/02)
O 413.1B	**10/28/08**	**Internal Control Program**
O 522.1	11/03/04	Pricing of Departmental Materials & Services
O 534.1B	01/06/03	Accounting

OTHER

O 110.3A	01/25/07	Conference Management
O 150.1	05/08/08	Continuity Programs
O 200.1A	**12/23/98**	**Information Technology Management**
N 203.1	10/02/00	Software Quality Assurance (extended by DOE N 251.40)

O 203.1	01/07/05	Limited Personal Use of Government Office Equipment Including Information Technology
O 210.2	06/12/06	DOE Corporate Operating Experience Program
O 221.1A	04/19/08	Reporting Fraud, Waste, and Abuse to the Office of Inspector General
O 221.2A	02/25/08	Cooperation with the Office of Inspector General
O 226.1A	07/31/07	Implementation of Department of Energy Oversight Policy
O 241.1A Chg. 1	04/09/01 10/14/03	Scientific and Technical Information Management
O 243.1	02/03/06	Records Management
O 252.1	11/19/99	Technical Standards Program
O 350.1 Chg. 1	09/30/96 05/08/98	Contractor Human Resource Management Programs (Except as otherwise modified in Appendix A of this Contract)
O 350.2A	10/29/03	Use of Management and Operating or Other Facility Management Contractor Employees for Services to DOE in the Washington, D.C., Area
O 412.1A	04/21/05	Work Authorization System
O 413.2B	04/19/06	Laboratory Directed Research and Development
O 413.3A **CHG 1**	07/28/06 **11/17/08**	Program and Project Management for the Acquisition of Capital Assets
O 430.1B	09/24/03	Real Property Asset Management
O 430.2B	02/27/08	Departmental Energy, Renewable Energy and Transportation Management
O 442.1A	06/06/01	Department of Energy Employee Concerns Program
O 443.1A	12/20/07	Protection of Human Subjects
P 443.1A	12/20/07	Protection of Human Subjects

O 482.1	01/12/01	DOE Facilities Technology Partnering Programs
O 483.1	01/12/01	DOE Cooperative Research and Development Agreements
M 483.1-1	01/12/01	DOE Cooperative Research and Development Agreements Manual
O 484.1	08/17/06	Reimbursable Work for the Department of Homeland Security
O 580.1	12/07/05	Department of Energy Personal Property Management Program
Chg 1	05/08/08	
O 1220.1A	04/09/92	Congressional and Intergovernmental Affairs
Chg. 1	06/28/92	

* Parts cancelled by new Orders

Note: Additional Manuals may apply