Department of Energy
Ames Site Office
9800 South Cass Avenue
Argonne, Illinois 60439

FEB 07 2007

Dr. Thomas J. Barton, Director
Ames Laboratory
Iowa State University
Ames, Iowa 50011-3020

Dear Dr. Barton:

SUBJECT: MODIFICATION NO. M004 TO CONTRACT NO. DE-AC02-07CH11358

Enclosed for Your Execution are four **unsigned** copies of the subject modification. The administrative modification updates Part III – Section J, Attachment J. 3, J.9 and J.11 of the Contract. You must sign and return all four copies of the administrative modification on behalf of Iowa State University. Upon receipt of the subject signed modifications, I will sign and return one original copy that you will need for your records.

Sincerely,

Thomas Harrison, Contracting Officer
Ames Site Office

Enclosure:
Modification No. M004

cc: M. Murphy, Ames Lab., w/encl.

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)*
M004	See Block 16 C.	N/A	N/A

6. ISSUED BY CODE	7. ADMINISTERED BY *(If other than Item 6)* Code
U.S. Department of Energy Chicago Operations/Ames Site Office 9800 South Cass Avenue Argonne, IL 60439	**M004**

8. NAME AND ADDRESS OF CONTRACTOR *(No. street, county, State and ZIP Code)*	(✓)	9.A. AMENDMENT OF SOLICITATION NO.
Iowa State University of Science and Technology 1750 Beardshear Hall Ames, IA 50011-2038		9.B. DATED *(SEE ITEM 11)*
		10.A. MODIFICATION OF Contract/Order NO. DE-AC02-07CH11358
CODE N/A FACILITY CODE N/A		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 + Finance	Thomas Harrison, Contracting Officer
15B. CONTRACTOR/OFFEROR 15C. DATE SIGNED	16B. UNITED STATES OF AMERICA 16C. DATE SIGNED
Warren R. Madden 2/18/07 *(Signature of person authorized to sign*	BY Thomas Harrison 3/13/2007 *(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; Attachment J.3 – Appendix C, Special Financial Institution Account Agreement and Attachment J.11-Appendix K, Key Personnel previously incorporated into this contract is hereby adding, deleting and revising the following:

Directives:
Adding: (All changes are embolden)

1. O 450.1 Environmental Protection Program
   Chg 3 01/03/07
2. O 443.1 Protection of Human Subjects
3. M 483.1-1 DOE Cooperative Research and Development Agreements Manual
4. O 484.1 Reimbursable Work for the Department of Homeland Security
5. O 580.1 Department of Energy Personal Property Management Program

Canceling/Deleting:

1. M 470.4-3 Protective Force
2. N 481.1A Reimbursable Work for Department of Homeland Security
3. O 481.1C Work for Others (Non-Department of Energy Funded Work)
4. O 5480.4 Environmental Protection, Safety, and Health Protection

Key Personnel:
See attached – Key personnel changes are Embolden

Demand Deposit:
See attached - AMENDMENT 4 TO SPECIAL FINANCIAL INSTITUTION ACCOUNT AGREEMENT FOR USE WITH THE PAYMENTS CLEARED FINANCING ARRANGEMENT, previously incorporated into this contract is hereby updated per attachment:

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
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 440.1A	03/27/98	Worker Protection Management for DOE Federal and Contractor Employees
O 450.1 Chg. 2 **Chg. 3**	12/07/05 **01/03/07**	Environmental Protection Program
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	Unclassified Foreign Visits and Assignments
O 205.1	03/21/03	Department of Energy Cyber Security Management Program

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
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 206.3	11/22/05	Personal Identity Verification
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	03/07/06	Safeguard Security and Awareness Program
M 470.4-2 & 3 Chg. 1	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 Chg. 1	09/28/01	Work for Others (Non-Department of Energy Funded Work)
O 551.1B	08/19/03	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 413.1A	04/18/02	Management Control Program
O 522.1	11/03/04	Pricing of Departmental Materials & Services
O 534.1B	01/06/03	Accounting

OTHER

O 110.3	11/03/99	Conference Management
O 200.1	09/30/96	Information Management Program
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 221.1	03/22/01	Reporting Fraud, Waste, and Abuse to the Office of Inspector General
O 221.2	03/22/01	Cooperation with the Office of Inspector General
O 226.1	09/15/05	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 251.1A	01/30/98	Directives System
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	07/28/06	Program and Project Management for the Acquisition of Capital Assets
M 413.3-1	03/28/03	Project Management for the Acquisition of Capital Assets Manual
O 430.1B	09/24/03	Real Property Asset Management
O 430.2A	04/15/02	Departmental Energy & Utilities Management
O 442.1A	06/06/01	Department of Energy Employee Concerns Program
O 443.1	**05/15/00**	**Protection of Human Subjects**
P 443.1	05/15/00	Protection of Human Subjects
N 450.7	10/17/01	The Safe Handling, Transfer, and Receipt of Biological Etiologic Agents at Department of Energy Facilities (extended by DOE N 450.14, 06/03/05)
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**

O 1220.1A 06/28/92 Congressional and Intergovernmental Affairs
Chg. 1

* Parts cancelled by new Orders

Note: Additional Manuals may apply

ATTACHMENT J.11

APPENDIX K

KEY PERSONNEL

Applicable to the Operation of AMES Laboratory

Contract No. DE-AC02-07CH11358

KEY PERSONNEL

Laboratory Director	Thomas Barton
Deputy Director	Bruce Harmon
Division Director for Science & Technology	Alan Goldman
Chief Operations Officer	**Mark Murphy**
Associate Director of Sponsored Research Administration	Debra Covey
Manager – Environment, Safety, Health and Assurance and Program Director - Safeguards and Security	Thomas Wessels
Facilities Manager	Mark Grootveld
Budget Officer	Ila Haugen
Legal Counsel	Paul Tanaka

ATTACHMENT J.3

APPENDIX C

SPECIAL FINANCIAL INSTITUTION ACCOUNT AGREEMENT

Applicable to the Operation of AMES Laboratory

Contract No. DE-AC02-07CH11358

AMENDMENT 4 TO
SPECIAL FINANCIAL INSTITUTION ACCOUNT AGREEMENT FOR USE WITH THE PAYMENTS CLEARED FINANCING ARRANGEMENT

between

BANKERS TRUST COMPANY, N.A. (hereinafter referred to as the "Financial Institution"), and
IOWA STATE UNIVERSITY of Science and Technology
(hereinafter referred to as the "Contractor")
and the **UNITED STATES OF AMERICA, represented by the Department of Energy**
(hereinafter referred to as "DOE")

Whereas Iowa State University has entered into a new contract with the Department of Energy dated December 4, 2006, the following Amendment 4 is considered necessary to change all references of Contract No. W-7405-ENG-82 to Contract No. DE-AC02-07CH11358.

Effective January 1, 2007, replace the special demand deposit account designation to "Iowa State University, United States Department of Energy Contract No. DE-AC02-07CH11358, Special Bank Account".

Article 1 is replaced by the following:

1. **TERM OF AGREEMENT** The Amendment dated August 1, 2000 (Amendment 1) extended the term to June 30, 2002, the amendment dated May 15, 2002 (Amendment 2) extended the term of the Agreement by three (3) years to June 30, 2005, and the amendment dated June 28, 2005 (Amendment 3) extended the term by three (3) years to June 30, 2008. All parties also agree that this Agreement may be automatically extended for an additional three-year term providing the following occur.

   A. All parties are willing to continue the Agreement.

   B. Any proposed price changes are acceptable to the Contractor and to DOE.

   C. The Financial Institution's proposed prices compare favorably to a market comparison performed by the Contractor.

   D. The contract between Iowa State University and DOE is still in effect.

All other terms and conditions of the original Agreement and Extension amendments remain the same.

IN WITNESS WHEREOF, the parties have hereunto set their hands and caused this Amendment to be executed in triplicate with each of the copies to be considered an original dated January 1, 2007.

IOWA STATE UNIVERSITY OF SCIENCE AND TECHNOLOGY
Ames, Iowa 50011

1/12/07
Date

BY: Warren R. Madden
Warren R. Madden
Vice President for Business & Finance

UNITED STATES DEPARTMENT OF ENERGY CONTRACT NO. DE-AC02-07CH11358
AMES LABORATORY

1/31/2007
Date

BY: Thomas Harrison
(Signature of DOE's representative)

Thomas Harrison
Ames Site Office
Contracting Officer
(Typed name & title)

BANKERS TRUST COMPANY, N.A.

1/18/07
Date

BY: Patricia F. Rourke
Patricia F. Rourke
Vice President and Manager
Business Services