

## GENERAL PROVISIONS

### Educational Institutions and Nonprofit Organizations

For the Pacific Northwest National Laboratory  
Operated by Battelle Memorial Institute

Battelle Memorial Institute has executed and is engaged in the performance of Prime Contract DE-AC05-76RL01830 with the United States Department of Energy (DOE), for the management, operation, and maintenance of the Pacific Northwest National Laboratory (PNNL) in Richland, Washington. This contract is entered into in furtherance of the performance of the work provided in the Prime Contract, and is subject to the following general provisions:

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#### Definitions (*cl. 301 – Oct 2008*)

- A. The terms "Battelle," "Pacific Northwest National Laboratory," "PNNL," and "Laboratory" mean Battelle Memorial Institute, Pacific Northwest Division.
- B. The term "Government" means the Government of the United States of America.
- C. The term "DOE" means the U.S. Department of Energy.
- D. "Battelle Contracts Representative" means an employee of Battelle Memorial Institute, Pacific Northwest Division, acting within the limits of a written authorization to execute legally binding commitments on behalf of Battelle.

- E. Except as otherwise provided in this contract, the term "Contract" includes this purchase order or sub-contract and the term "Subcontract" refers to lower-tier subcontracts.

#### Acceptance of Contract Terms and Conditions (*cl. 302 - Oct 2008*)

The Contractor, by signing this Contract or performing the services and/or delivering the supplies identified herein, agrees to comply with all the terms and conditions and all specifications and other documents that this Contract incorporates by reference or attachment. Battelle hereby objects to any terms and conditions contained in any acknowledgment of this Contract that are different from or

in addition to those mentioned in this document. Failure of Battelle to enforce any of the provisions of this Contract shall not be construed as evidence to interpret the requirements of this Contract, nor a waiver of any requirements, nor of the right of Battelle to enforce each and every provision. All rights and obligations shall survive final performance of this Contract.

#### **Order of Precedence** (cl. 309 – May 2012)

Any inconsistency in this solicitation or contract shall be resolved by giving precedence in the following order:

- A. The Schedule (excluding the specifications or statement of work)
- B. Representations and other instructions
- C. General Provisions
- D. Other documents, exhibits, and attachments
- E. The specifications or statement of work

#### **Assignment** (cl. 357 – Jan 2003)

Battelle may assign this contract to the U.S. Department of Energy (DOE) or a designee of DOE. Upon receipt by the Contractor of written notice that DOE or its designee has been assigned this contract, Battelle shall be relieved of all responsibility hereunder, and the Contractor shall thereafter look solely to the assignee for performance of Battelle's obligations.

The Contractor shall not assign this contract or any interest therein, nor claims thereunder without the prior written consent of Battelle or Battelle's assignee. Any assignment, by operation of law or otherwise, without prior written consent of Battelle or Battelle's assignee shall be void.

#### **Bankruptcy** (cl. 318 - Nov 2008)

If the Contractor enters into any proceeding related to bankruptcy, it shall give written notice to the Battelle Contracts Representative via certified mail within five days of initiation of the proceeding. The notification shall include the date on which the proceeding was filed, the identity and location of the court, and a listing of the Battelle purchase orders, contracts, or agreements affected.

#### **Pacific Northwest National Laboratory or Battelle Name** (cl. 374 – Oct 2008)

The Contractor agrees not to use Pacific Northwest National Laboratory's or Battelle's name or identifying characteristics for advertising, sales promotion, raising of capital, recommending investments or other publicity purposes that implies endorsement by the Pacific Northwest National Laboratory or Battelle without the prior written consent of Battelle. This clause shall survive the termination or expiration of this contract.

#### **Permits and Responsibilities** (cl. 358 - Nov 1991)

The Contractor is an independent contractor, not an agent or employee of Battelle. The Contractor shall, without additional expense to Battelle or the Government, be responsible for obtaining any necessary licenses and permits, and for complying with any Federal, State, and municipal laws, codes, and regulations applicable to the

performance of the work. The Contractor shall also be responsible for all damages to persons or property that occurs as a result of the Contractor's fault or negligence.

#### **Title and Risk of Loss** (cl. 378d – Nov 2008)

Unless the contract specifically provides otherwise, title to the items purchased under this Contract shall pass directly to the Government upon, and the risk of loss or damage to the items provided under this contract shall remain with the Contractor until, and shall pass to Battelle upon:

- A. Delivery of the supplies to a carrier, if transportation is f.o.b. origin; or
- B. Delivery of the supplies to Battelle at the destination specified in the contract, if transportation is f.o.b. destination.

However, (1) if the Contract provides for formal acceptance of any items by Battelle, then title to such items shall pass directly to the Government upon such formal acceptance; and (2) the title and risk of loss or damage to items that are non-conforming shall remain with the Contractor until acceptance of the items by Battelle as conforming.

#### **Contract Administration** (cl. 384 - Feb 2015)

- A. The Contractor's progress and compliance with the technical requirements of this contract may be monitored for Battelle by a Technical Oversight Representative. The name of the Technical Oversight Representative, if one is designated, will be furnished the Contractor by the Battelle Contracts Representative.
- B. The Battelle Technical Oversight Representative is authorized to receive information, conduct inspections of work in process and witness Contractor tests. He/she has no authority to (1) change or waive any provision of this contract, including but not limited to statements of work, drawings, specifications and standards, whether attached or incorporated by reference; (2) provide interpretations of any provision or requirement of this contract; (3) direct, advise, or recommend any particular course of conduct on the part of the Contractor; or (4) create any legally binding commitment on behalf of Battelle.
- C. The Contractor is solely responsible for strict compliance with all requirements of this contract. No notice, communication or representation in any form or from any person other than a Battelle Contracts Representative shall be effective to relieve the Contractor of such obligation or to stop Battelle from enforcing the contract exactly according to its written terms.

#### **Invoices and Payment** (cl. 350 – Oct 2018)

- A. Contractor shall submit its invoice at the time of final shipment or final completion of the services, unless otherwise provided in the Contract Schedule or Purchase Order. Invoices shall reference the Battelle Purchase Order number, identify any separately payable taxes, and include a complete description of the ordered items, prices, ship dates, location of any services and other documentation as required by the Contract Schedule or Purchase Order. Invoices should be sent electronically to [ap.invoices@pnnl.gov](mailto:ap.invoices@pnnl.gov). Failure to comply with any of these requirements may result in a delay in payment of the invoices.

- B. Payment shall be made for items delivered to the specified delivery destination, and for services completed and accepted by Battelle. Unless otherwise provided in the Contract Schedule or Purchase Order, the terms of payment shall be 30 days after receipt of the Contractor's properly submitted invoice. Any offered discount shall be taken if payment is made within the discount period indicated by the Contractor. Payments may be made by check or by electronic funds transfer, at the option of Battelle. Payment shall be deemed to have been made as of the date of mailing or the date on which an electronic funds transfer was made.

#### **Taxes** (cl. 354b – Oct 2018)

- A. Unless this contract specifies otherwise, the contract price shall not include any duties, taxes, or fees for which Battelle has furnished a valid exemption certificate or other evidence of exemption. The contract price may include applicable sales and use taxes being collected to remit directly to a state taxing authority, but only when separately stated on Contractor's invoice. Contractor is responsible for remitting taxes collected from Battelle to the relevant tax authority.
- B. Battelle is currently exempt from sales tax on most items delivered to, and most taxable services performed in CO, CT, DC, FL, IN, KY, ME, MD, MA, MI, MO, NJ, NY, OH, RI, TN, TX, UT, VT, WV and WI. , Battelle is currently exempt only for purchase of tangible personal property and not purchased services in NM and VA; and in UT, Battelle can issue an exemption certificate only if the total invoice exceeds USD \$1,000. Contractor should note that sales tax on exempt purchase orders will not be paid.
- C. If this contract contains items to be shipped to the state of Washington or taxable services to be performed in the state of Washington, the state of Washington Direct Pay Permit for sales and use tax prevails unless otherwise specified. If the Direct Pay Permit is used, Battelle will be responsible for remitting any Washington sales and use tax applicable to this purchase directly to the state taxing authority.

#### **Insurance – Liability to Third Persons** (cl. 378b - Mar 1996)

- A. 1. Except as provided in Paragraph A.2 of this clause, the Contractor shall provide and maintain workers' compensation, employer's liability, comprehensive general liability (bodily injury), comprehensive automobile liability (bodily injury and property damage) insurance, and such other insurance as the Battelle Contracts Representative may require under this contract.
2. The Contractor may, with the approval of the Battelle Contracts Representative, maintain a self-insurance program, provided that, with respect to workers' compensation, the Contractor is qualified pursuant to statutory authority.
3. All insurance required by this paragraph shall be in a form and amount and for those periods as the Battelle Contracts Representative may require or approve and with insurers approved by the Battelle Contracts Representative.
- B. The Contractor agrees to submit for the Battelle Contracts Representative's approval, to the extent and in

the manner required by the Battelle Contracts Representative, any other insurance that is maintained by the Contractor in connection with the performance of this contract and for which the Contractor seeks reimbursement.

- C. The Contractor shall be reimbursed—
1. For that portion—
    - a. Of the reasonable cost of insurance allocable to this contract; and
    - b. Required or approved under this clause; and
  2. For certain liabilities (and expenses incidental to such liabilities) to third persons not compensated by insurance or otherwise without regard to and as an exception to the limitation of cost or the limitation of funds clause of this contract. These liabilities must arise out of the performance of this contract, whether or not caused by the negligence of the Contractor or of the Contractor's agents, servants, or employees, and must be represented by final judgments or settlements approved in writing by Battelle. These liabilities are for—
    - a. Loss of or damage to property (other than property owned, occupied, or used by the Contractor, rented to the Contractor, or in the care, custody, or control of the Contractor); or
    - b. Death or bodily injury.
- D. Battelle's liability under Paragraph C of this clause is subject to the availability of appropriated funds at the time a contingency occurs. Nothing in this contract shall be construed as implying that the Congress will, at a later date, appropriate funds sufficient to meet deficiencies.
- E. The Contractor shall not be reimbursed for liabilities (and expenses incidental to such liabilities)—
1. For which the Contractor is otherwise responsible under the express terms of any clause specified in the Schedule or elsewhere in the contract;
  2. For which the Contractor has failed to insure or to maintain insurance as required by the Battelle Contracts Representative; or
  3. That result from willful misconduct or lack of good faith on the part of any of the Contractor's directors, officers, managers, superintendents, or other representatives who have supervision or direction of—
    - a. All or substantially all of the Contractor's business;
    - b. All or substantially all of the Contractor's operations at any one plant or separate location in which this contract is being performed; or
    - c. A separate and complete major industrial operation in connection with the performance of this contract.
- F. The provisions of Paragraph E of this clause shall not restrict the right of the Contractor to be reimbursed for the cost of insurance maintained by the Contractor in connection with the performance of this contract, other than insurance required in accordance with this clause; *provided*, that such cost is allowable under

the Allowable Cost and Payment clause of this contract.

- G. If any suit or action is filed or any claim is made against the Contractor, the cost and expense of which may be reimbursable to the Contractor under this contract, and the risk of which is then uninsured or is insured for less than the amount claimed, the Contractor shall—
1. Immediately notify the Battelle Contracts Representative and promptly furnish copies of all pertinent papers received;
  2. Authorize Battelle representatives to collaborate with counsel for the insurance carrier in settling or defending the claim when the amount of the liability claimed exceeds the amount of coverage; and
  3. Authorize Battelle representatives to settle or defend the claim and to represent the Contractor in or to take charge of any litigation, if required by Battelle, when the liability is not insured or covered by bond. The Contractor may, at its own expense, be associated with the Battelle representatives in any such claim or litigation.

#### **Laws, Regulations, DOE Directives, and Indemnification** *(cl. 3121 – Mar 2014)*

- A. In performing work under this contract, the Contractor shall comply with the requirements of applicable Federal, State, and local laws and regulations (including DOE regulations), unless relief has been granted in writing by the appropriate regulatory agency, DOE, or the Battelle Contracts Representative. Applicable DOE Directives have been incorporated, as appropriate, into other requirements of this contract.
- B. Except as otherwise directed by the Battelle Contracts Representative, the Contractor shall procure all necessary permits or licenses required for the performance of work under this contract.
- C. To the extent authorized by law, Contractor shall indemnify and hold harmless the Government, Battelle, and each of their respective officers, directors, employees, agents, and successors in interest from and against all liability, claims, suits, damages, losses, costs, fines, civil penalties, remediation, or corrective actions, and any associated expense (including, without limitation, costs of: (i) defense; (ii) settlement; (iii) reasonable attorney's fees; and (iv) costs incurred in enforcing this indemnification) arising out of Contractor's non-compliance with any such laws and regulations.
- D. Regardless of the performer of the work, the Contractor is responsible for compliance with the requirements of this clause. The Contractor is responsible for flowing down the requirements of this clause to subcontracts at any tier to the extent necessary to ensure the contractor's compliance with the requirements.

#### **Workers' Compensation** *(cl. 323 - Nov 1983)*

The Contractor shall comply with State Industrial Insurance or Workers' Compensation and Unemployment Compensation Laws of any state in which work is performed, to the extent such laws are applicable.

#### **Disputes** *(cl. 331 - Nov 2014)*

Except as otherwise provided or agreed, any dispute relating to this contract which is not disposed of by agreement shall be decided by litigation in a court of competent jurisdiction upon filing of a legal action by the aggrieved party. It is further agreed by the Contractor that litigation shall be limited and confined exclusively to Federal District Court, with venue in the U.S. District Court for Eastern Washington, located in Richland, Washington. In the event the requirements for jurisdiction in Federal District Court are not present, such litigation shall be brought in Benton County Superior Court, located in Kennewick, Washington. Resolution of any substantive issue of law shall be determined in accordance with the body of applicable Federal procurement law. If there is no applicable Federal procurement law, the law of the State of Washington shall apply in the determination of such issues. During the pendency of any dispute, the Contractor shall proceed diligently with the performance of the contract and in accordance with the direction of Battelle.

#### **Classified Inventions** *(cl. 372 – Aug 2002)*

*Applies to contracts that cover or are likely to cover subject matter classified for reasons of security.*

- D. Approval for filing a foreign patent application. The Contractor shall not file, or cause to be filed, an application or registration for a patent disclosing a subject invention related to classified subject matter in any country other than the United States without first obtaining the written approval of the DOE Contracting Officer.
- E. Transmission of classified subject matter. If in accordance with this clause the Contractor files a patent application in the United States disclosing a subject invention that is classified for reasons of security, the Contractor shall observe all applicable security regulations covering the transmission of classified subject matter. If the Contractor transmits a patent application disclosing a classified subject invention to the United States Patent and Trademark Office (USPTO), the Contractor shall submit a separate letter to the USPTO identifying the contract or contracts by agency and agreement number that require security classification markings to be placed on the patent application.
- F. Inclusion of clause in subcontracts. The Contractor agrees to include the substance of this clause in subcontracts at any tier that cover or are likely to cover subject matter classified for reasons of security.

#### **Contractor Publication and Release of Information** *(cl. 3701 - May 2007)*

Contractor agrees to allow Battelle to review a copy of any Contractor manuscript that will be submitted for publication or any scientific or technical information generated under this Contract. This review will be facilitated by the Contractor submitting the manuscript to the Battelle Contracts Representative no less than thirty (30) days prior to Contractor's manuscript submission for publication or release of scientific or technical information outside of Contractor's control. Battelle shall review Contractor's manuscript or scientific and technical information consistent with Battelle's information release policies then in effect and may submit any of Contractor's scientific and technical information to the U.S. Department of Energy's (DOE) Office of Scientific and Technical Information (OSTI)

as required by Battelle's contract for the management and operation of the Pacific Northwest National Laboratory or any DOE Order made applicable to Battelle thereunder. Battelle's review and submission of Contractor's manuscripts or scientific and technical information does not absolve Contractor's duties to comply with any information or data review, reporting, or disclosure requirements made applicable to Contractor under this Contract.

Contractor agrees to amend any manuscript or scientific and technical information release to remove any information that Battelle identifies which is necessary to protect—(1) Battelle's or the U.S. Government's rights in patentable subject matter conceived or first reduced to practice by Battelle; or (2) proprietary information provided to Contractor under this Contract.

#### **Compliance with Internet Protocol Version 6 (IPv6) in Acquiring Information Technology** *(cl. 3750 - Aug 2011)*

*This clause applies when information technology (e.g., Ethernet cards, network switches, routers, printers, related software, and commercial services for connectivity) will be delivered as a part of this contract.*

- A. This contract involves the acquisition of Information Technology (IT) that uses Internet Protocol (IP) technology. The contractor agrees that—
  - 1. all deliverables that involve IT that uses IP (products, services, software, etc.) will comply with IPv6 standards and interoperate with both IPv6 and IPv4 systems and products
  - 2. it has IPv6 technical support for development and implementation and fielded product management available.
- B. If the contractor plans to offer a deliverable that involves IT that is not initially compliant, the contractor agrees to—
  - 1. obtain the Battelle Contracts Representative's approval before starting work on the deliverable
  - 2. provide a migration path and firm commitment to upgrade to IPv6 for all application and product features.
  - 3. have IPv6 technical support for development and implementation and fielded product management available.
- C. Should the contractor find that the statement of work or specifications of this contract do not conform to the IPv6 standard, it must notify the Battelle Contracts Representative of such nonconformance and act in accordance with instructions of the Battelle Contracts Representative.

#### **Foreign Travel** *(cl. 366 - Mar 2013)*

- A. Foreign travel means approved travel (whether wholly or partly on official business) from the United States (including Alaska, Hawaii, the Commonwealths of Puerto Rico and the Northern Mariana Islands, and the territories and possessions of the United States) to a foreign country and return, travel between foreign countries, by persons, including foreign nationals, whose salaries or travel expenses or both will ultimately be funded in whole or in part by DOE or NNSA from its appropriations. Official foreign travel also includes travel funded by non-DOE or non-NNSA

sources for which the traveler represents the Department or NNSA or conducts business on behalf of the U.S. Government.

- B. Foreign travel in connection with the performance of this contract shall be subject to the prior approval of DOE and shall be conducted pursuant to the requirements contained in DOE Order 551.1, Official Foreign Travel, or any subsequent version of the order in effect at the time of award.
- C. Requests for approval of each separate trip shall be submitted to the Battelle Contracts Representative no less than sixty days prior to a planned departure date. The Contractor will not incur any travel costs until after it receives notice of Advanced Travel Request approval from the Battelle Contracts Representative.
- D. For any foreign travel in connection with conferences, Contractor shall ensure that information for conference attendance, including but not limited to agenda and presentation, is submitted to the Battelle Contracts Representative with the initial travel request.
- E. Personal leave in conjunction with Contractor's authorized foreign travel may be granted on a two business days to one personal day (2:1) ratio. Travel days to and from business location will be considered business days. All expenses associated with Contractor's personal leave while on foreign travel shall be borne by Contractor and are not reimbursable by Battelle.

#### **Suspect Material** *(cl. QA-179 - Aug 2011)*

The Contractor shall assure that all products delivered on this contract do not contain suspect/counterfeit parts as indicated in the S/CI Awareness Training Manual (PDF) [http://energy.gov/sites/prod/files/2014/06/f16/SCI\\_Training\\_Manual.pdf](http://energy.gov/sites/prod/files/2014/06/f16/SCI_Training_Manual.pdf). If suspect/counterfeit parts are discovered, this may be cause for rejection of the entire shipment and will be reported to the U.S. Department of Energy, Office of Inspector General for possible investigation. The discrepant product(s) will be returned at the Contractor's expense. In addition, the contract may be terminated for default.

#### **Guest House at PNNL** *(cl. 333 - Feb 2011)*

If and when the Contractor's personnel travel and require lodging within 25 miles of Richland, Washington, under the scope of this Contract, Contractor's personnel shall stay at the Guest House at PNNL (620 Battelle Boulevard, Richland, WA 99354; **Phone:** (509) 943-0400; **Fax:** (509) 375-1092; **Email:** [acrawford@stayparagon.com](mailto:acrawford@stayparagon.com); **website:** [www.pnl.gov/guesthouse](http://www.pnl.gov/guesthouse)) unless adequate space is unavailable. Invoices for lodging costs will not be reimbursed under this Contract for lodging elsewhere within 25 miles of Richland, Washington, without documentation from the Guest House of unavailability submitted with the invoice. The allowed price of lodging at the Guest House will be consistent with the Federal Travel Regulation per diem limits in effect at the time of travel.

#### **Insurance Requirements** *(cl. 378, Apr 2017)*

- A. Contractor shall purchase and maintain during the term of this Contract, at its own expense, and any extensions thereof, insurance in amounts reasonable



and customary for the industry in which Contractor is engaged. Contractor shall maintain all insurance which is required by any law, statute, ordinance, or regulation of any jurisdiction having authority in whole or in part over the Contractor's operations or Contract activities, including without limitation any non-U.S. jurisdictions. Nevertheless, the following minimum insurance coverage shall be maintained:

1. Workers Compensations: Statutory
  2. Employers' Liability: \$100,000 per occurrence
  3. Commercial General Liability (including contractual and products and completed operations liability): \$1,000,000 per occurrence
  4. Business Auto Liability (to include bodily injury and property damage liability covering the operation of all autos, owned and unowned, used in connection with performance of contract): \$1,000,000 per occurrence
  5. Professional Liability: To the extent the contract requires professional services to be rendered with a minimum per occurrence limit of \$1,000,000
  6. Any additional insurance which may be reasonably required by Battelle or the Department of Energy
- B. The insurance coverage shall be with insurer(s) that are satisfactory to Battelle. Contractor's insurance shall be primary and non-contributing over any and all insurance that may be maintained by Battelle. Contractor and its insurer(s) shall waive all rights of subrogation against Battelle, its officers, directors, agents, trustees and employees.
- C. Contractor shall furnish to Battelle Certificates of Insurance evidencing compliance with the insurance requirements herein. These certificates shall provide for at least 30 days prior written notice to Battelle of any cancellation, non-renewal, or material reduction in coverage. These certificates shall be provided prior to the initiation of contract activities and upon each policy renewal for a total of three years after termination or expiration of this Contract. Failure of Battelle to notify Contractor of any non-compliance with the provisions of this Contract shall not constitute a waiver of Contractor's obligations under this Contract. Battelle does not warrant or represent that the minimum amounts of coverage required are sufficient to protect the Contractor in fulfilling its obligations under this subcontract. Such minimum insurance limits shall not limit Contractor's liability under this Contract. Contractor shall require any lower-tier subcontractors to satisfy the requirements of this provision.

### Sustainable Acquisition Requirements (cl. 381 – Oct 2015)

Battelle is committed to managing its operations in a sustainable manner which promotes the natural environment and protects the health and well-being of its employees and contractor service providers. In the performance of work under this contract, the Contractor shall provide products that comply with Federal law as follows (regardless of any notations on the respective websites):

Recycled Content as designated by the Environmental Protection Agency (EPA) - <https://www.epa.gov/smm/comprehensive-procurement-guideline-cpg-program>

Biobased Products as designated by the United States Department of Agriculture (USDA) - <http://www.biopreferred.gov/BioPreferred/faces/pages/ProductCategories.xhtml>

Energy-Efficient Products such as Energy Star certified and FEMP-designated products - [http://www.energystar.gov/index.cfm?c=product\\_specs\\_p\\_t\\_product\\_specs](http://www.energystar.gov/index.cfm?c=product_specs_p_t_product_specs) and <http://energy.gov/eere/femp/search-energy-efficient-products>

Water-Efficient Products as designated by the EPA for their WaterSense® label program - <https://www.epa.gov/watersense>

Environmentally preferable and energy efficient electronics, including desktop computers, laptops and monitors, as specified at the Green Electronics Council's Electronic Products Environmental Assessment Tool (EPEAT) registry- <http://www2.epeat.net/searchoptions.aspx>

Non-Ozone Depleting Alternative Products as designated by the EPA - <http://www.epa.gov/ozone/snap/index.html>

Low-Emitting Volatile Organic Compounds (VOC) Materials as designated by the Federal Leadership in High Performance and Sustainable Buildings Guiding Principles (including adhesives, sealants, paints, carpet systems, and furnishings) for building modifications, maintenance, and cleaning - <http://www.epa.gov/greeningepa/projects/requirements.htm>

### Environment, Safety, and Health Requirements - Offsite (cl. 3113e – May 2012)

- A. In performing work under this contract at its own facilities or any other location that is not a DOE-owned or leased facility, the Contractor shall comply with all applicable federal, state, and local environment, safety, and health laws and regulations. The Contractor shall also perform work safely, in a manner that ensures adequate protection for employees, the public, and the environment, and shall be accountable for the safe performance of work. The Contractor shall exercise a degree of care commensurate with the work and the associated hazards. The Contractor shall ensure that management of environment, safety, and health functions and activities becomes an integral but visible part of the Contractor's work planning and execution processes.
- B. The Contractor is responsible for its subcontractors' compliance with the environment, safety, and health requirements of this contract.

### U. S. Federal and State Tax Withholding and Reporting, and Foreign Tax Credits (cl. 355 - June 2016)

Contractor agrees to cooperate fully with Battelle in providing any tax documentation that is required in support of any U.S. federal or state tax withholding or reporting responsibility, including but not limited to IRS Forms W-9, 8233, W-8BEN, W-8IMY, W-8EXP, or W-8ECI as applicable, and any required state tax forms including, but not limited to California Forms 590 or 587. It is understood that tax certification forms are required even where tax withholding will take place; however where a lesser amount of tax withholding, or exemption from tax withholding is allowed through the submission of the form,

Battelle will make all commercially reasonable efforts where legally possible to honor the claim. Completion of the required tax forms is a condition of this contract, and any such forms must be completed prior to any payment taking effect. Battelle will act in compliance with U.S. federal and state tax withholding and reporting laws and will deduct any and all applicable U.S. federal or state withholding taxes from payments to Contractor wherever required by law. Contractor acknowledges that such withholding by Battelle does not relieve Contractor of liability to pay taxes in the event that any taxing authority should determine that the amount of withholding is inadequate.

Further, if this is a cost reimbursement contract and Contractor obtains a foreign tax credit that reduces its U.S. Federal income tax liability because of the payment of any tax or duty that was reimbursed under this contract, the amount of the reduction shall be paid or credited at the time of such offset to Battelle.

#### **Export Control** (cl. 398 – July 2012)

The parties understand that materials and information resulting from the performance of this contract may be subject to export control laws and that each party is responsible for its own compliance with such laws.

#### **Information Technology** (cl. 399 – Nov 2012)

All information technology software, systems, and services delivered under this contract shall include the use of common security configurations available from the National Institute of Standards and Technology's Computer Security Resource Center website at <http://csrc.nist.gov/>, unless otherwise specified by Battelle in the Statement of Work or technical specifications.

#### **Contracts for Materials, Supplies, Articles and Equipment exceeding \$15K** (cl. 303 – Apr 2017)

If this contract is for the manufacture or furnishing of materials, supplies, articles, or equipment in an amount which exceeds or may exceed \$15,000 and is otherwise subject to the Walsh-Healey Public Contracts Act, as amended (41 U.S. Code 35-45), there are hereby incorporated by reference all representations and stipulations required by said Act and regulations issued thereunder by the Secretary of Labor, such representations and stipulations being subject to all applicable rulings and interpretations of the Secretary of Labor which are now or may hereafter be in effect.

#### **Ethics** (cl. 310 - Sept 2017)

Battelle demands the highest standard of ethics, integrity, and conduct in its operations. The Contractor must not pay bribes or engage in corrupt practices to advance any interests associated with Battelle. This includes directly or indirectly offering, paying, promising to pay, or authorizing the payment or provision of money or anything of value to government officials (including foreign officials), political parties, or candidates for political office for the purpose of influencing their acts or decisions in their official capacity to secure any improper advantage in order to assist in obtaining or retaining business for or with, or directing business to, the Contractor or Battelle. The Contractor must never engage in illegal activities, including, but not limited to, money laundering or actions related to terrorism, or do business with parties or persons upon

whom sanctions have been imposed by the U.S. Government. Failure to comply with this provision is considered a material breach of contract and cause for termination

#### **Clauses Incorporated by Reference** (cl. 3001-Ed –Jun 2017)

The following additional Federal Acquisition Regulation (FAR) and Department of Energy Acquisition Regulation (DEAR) clauses, which may be located in Chapters 1 and 9, respectively, of Title 48 of the Code of Federal Regulations, are incorporated by this reference as a part of the Contract and as prescribed below. This Contract is between Battelle and Contractor, and does not constitute a contract with DOE or the Government. Battelle is a prime contractor for DOE and is not a Government agency or an agent of the Government. In addition, Battelle's Contracts Representatives are not Government Contracting Officers. However, solely for purposes of flowing down the appropriate FAR and DEAR clauses to this Contract, the term "Government", as referenced in the clauses, shall be interpreted to mean Battelle and the term "Contracting Officer", as referenced in the clauses, shall be interpreted to mean the Battelle Contracts Representative for this Contract

The Contractor shall include the listed clauses in its subcontracts at any tier to the extent applicable.

- |               |  |
|---------------|--|
| FAR 52.203-13 | Contractor Code of Business Ethics and Conduct (Oct 2015) - <i>applies if the contract value exceeds \$5,000,000 and the performance period is more than 120 days.</i>   |
| FAR 52.204-9  | Personal Identity Verification of Contractor Personnel (Jan 2011) – <i>applies when contractor employees will have routine physical access to a Federally-controlled facility or a Federally controlled information system.</i>  |
| FAR 52.208-8  | Required Sources for Helium and Helium Usage Data (Apr 2014) – <i>applies if contract includes a major helium requirement as defined in FAR 8.501.</i>   |
| FAR 52.216-7  | Allowable Cost and Payment (Jun 2013) – <i>in paragraph (a)(1) "Subpart 31.2" is deleted and "Subpart 31.3" is inserted. To the extent the Contractor has a Colleges and Universities Rate Agreement that includes Facilities and Administrative Cost Rates (Agreement) with the U.S. Government, for those areas addressed both by this clause and the Agreement, the Agreement will take precedence.</i> |
| FAR 52.222-1  | Notice to the Government of Labor Disputes (Feb 1997)  |
| FAR 52.222-21 | Prohibition of Segregated Facilities (Apr 2015)  |
| FAR 52.222-26 | Equal Opportunity (Apr 2015)<br><i>The Equal Employment Opportunity Act Poster referenced in paragraph (c)(3) of the above clause may be downloaded from the U.S. Department of Labor website at <a href="http://www.dol.gov/elaws/posters.htm">www.dol.gov/elaws/posters.htm</a></i>  |

FAR 52.222-29	Notification of Visa Denial (Apr 2015) – <i>applies when the Equal Opportunity clause is used and when the work is required to be performed in a foreign country.</i>		<i>emergency repair or overhaul work by such government.</i>
FAR 52.223-15	Energy Efficiency in Energy-Consuming Products (Dec 2007)		<i>FAR 52.227-14 Alternate III shall apply if delivery of Restricted Computer Software is required under this Contract.</i>
FAR 52.224-1	Privacy Act Notification (Apr 1984) – <i>applies when contracts requires the design, development, or operation of a system of records on individuals.</i>		<i>FAR 52.227-14 Alternate IV shall apply if this Contract is awarded for basic or applied research (other than a contract for the management or operation of Government facilities or where international agreements require otherwise), to be performed solely by universities and colleges.</i>
FAR 52.224-2	Privacy Act (Apr 1984) – <i>applies when contracts requires the design, development, or operation of a system of records on individuals.</i>	FAR 52.232-20	Limitation of Cost (Apr 1984) – <i>applies if contract is to be fully funded</i>
FAR 52.225-13	Restrictions on Certain Foreign Purchases (June 2008)	FAR 52.232-22	Limitation of Funds (Apr 1984) – <i>applies if contract is to be incrementally funded</i>
FAR 52.227-3	Patent Indemnity (Apr 1984) - <i>applies as required by FAR 27.201-2(c)(1)</i>	FAR 52.232-39	Unenforceability of Unauthorized Obligations (Jun 2013)
FAR 52.227-10	Filing of Patent Applications – Classified Subject Matter (Dec 2007) – <i>applies if the Contract involves a classified solicitation or contract or a solicitation or contract where the nature of the work reasonably might result in a patent application containing classified subject matter</i>	FAR 52.232-40	Providing Accelerated Payments to Small Business Subcontractors (Dec 2013)
FAR 52.227-14	Rights in Data – General (May 2014), modified in accordance with FAR 927.409(a) and including Alternate V – <i>applies to this Contract if: (a) technical data or computer software is expected to be produced; or (b) if the Contract is for supplies that contain a requirement for production or delivery of data.</i>  <i>FAR 52.227-14 Alternate II shall apply if the delivery of Limited Rights Data is required under this Contract. The following five purposes shall be included at the end of Alternate II, Paragraph (a):</i>  <i>1. Use (except for manufacture) by other contractors.</i>  <i>2. Evaluation by non-government evaluators.</i>  <i>3. Use (except for manufacture) by other contractors participating in the Government's program of which the specific contract is a part, for information and use in connection with the work performed under each contract.</i>  <i>4. Emergency repair or overhaul work.</i>  <i>5. Release to a foreign government, or instrumentality thereof, as the interest of the United States Government may require for information or evaluation, or for</i>	FAR 52.242-15	Stop-Work Order (Aug 1989) with Alternate I (Apr 1984)
		FAR 52.243-2	Changes – Cost Reimbursement (Aug 1987). <i>FAR 52.243-2 Alternate V (April 1984) shall apply if the requirement is for research and development.</i>
		FAR 52.244-6	Subcontracts for Commercial Items (Apr 2015)
		FAR 52.246-5	Inspection of Service – Cost Reimbursement (Apr 1984)
		FAR 52.246-16	Responsibility for Supplies (Apr 1984)
		FAR 52.247-63	Preference for U.S.-Flag Air Carriers (June 2003)
		FAR 52.247-64	Preference for Privately Owned U.S.-Flag Commercial Vessels (Feb 2006)
		FAR 52.249-5	Termination for the Convenience of the Government (Educational and Other Nonprofit Institutions) (Sept 1996)
		FAR 52.249-14	Excusable Delays (Apr 1984)
		DEAR 952.203-70	Whistleblower Protection for Contractor Employees (Dec 2000) – <i>applies if the contract involves work performed directly related to activities at DOE-owned or leased sites.</i>
		DEAR 952.204-71	Sensitive Foreign Nations Control (Mar 2011)
		DEAR 952.204-77	Computer Security (Aug 2006) – <i>applies if contractor will be granted access to computers owned, leased, or operated on behalf of the U.S. Department of Energy</i>



- DEAR 952.211-71 Priorities and Allocations (Apr 2008)
- DEAR 952.227-82 Rights to Proposal Data (Apr 1994) - *applies if contract award is based upon a technical proposal.*
- DEAR 970.5204-3 Access to and Ownership of Records (July 2005) – *applies when t contract clause 3113a or 3113c are included in the contract schedule.*
- DEAR 970.5208-1 Printing (Dec 2000)
- DEAR 970.5222-1 Collective Bargaining Agreements Management and Operating Contracts (December 2000)
- DEAR 970.5223-4 Workplace Substance Abuse Programs at DOE Sites (Dec 2010)
- DEAR 970.5227-1 Rights in Data – Facilities (Dec 2000) – *applies if this Contract involves the design or operation of any plants or facilities or specially designed equipment for such plants or facilities that are managed or operated under its contract with DOE or for support services related thereto.*
- DEAR 970.5227-8 Refund of Royalties (Aug 2002) – *applies if the amount of royalties reported by Contractor during negotiations of this Contract exceeds \$250.*
- DEAR 970.5229-1 State and Local Taxes (Dec 2000)
- DEAR 970.5232-3 Accounts, Records, and Inspection (Dec 2010) – *applies if costs incurred are a factor in determining the amount payable*
- DEAR 970.5245-1 Property (Jan 2013) Alternate I (Dec 2000) - *In addition to the requirements of this clause, Contractor shall create and maintain an auditable record of all government property acquired under this Contract which shall include name, part number and description, manufacturer, model number, and price.*

**The Following Clauses Apply if the Contract Value Exceeds \$2,500:**

- FAR 52.222-41 Service Contract Labor Standards Act of 1965 (Nov 2014) - *applies if the Contract is principally for the furnishing of services through the use of "service employees" UNLESS the Contract qualifies for class deviation under Section 4(b) of the McNamara-O'Hara Service Contract Act*
- FAR 52.222-55 Establishing a Minimum Wage for Contractors (Feb 2014) – *applies to contracts subject to the Service Contract Labor Standards statute when performed wholly or in part in the United States.*

**The Following Clause Applies if the Contract Value Exceeds \$3,500:**

- FAR 52.222-54 Employment Eligibility Verification (Oct 2015) – *applies for (a) commer-*

*cial or noncommercial services (except for commercial services that are part of the purchase of a COTS item (or an item that would be a COTS item, but for minor modifications), performed by the COTS provider, and are normally provided for that COTS item) and (b) construction services; only applies for work performed in the United States.*

**The Following Clause Applies if the Contract Value Exceeds \$10,000:**

- FAR 52.219-28 Post-Award Small Business Program Representation (Jul 2013)
- FAR 52.222-40 Notification of Employee Rights Under the National Labor Relations Act (Dec 2010) – *applies when performance is wholly or partially in the United States.*
- FAR 52.223-18 Encouraging Contractor Policies to Ban Text Messaging While Driving (Aug 2011)

**The Following Clause Applies if the Contract Value Exceeds \$15,000:**

- FAR 52.222-36 Equal Opportunity for Workers with Disabilities (Jul 2014)
- FAR 52.225-8 Duty-Free Entry (Oct 2010) – *applies when supplies identified in the Contract Schedule to be accorded duty-free entry into the customs territory of the United States; or other foreign supplies in excess of \$15,000 not identified in the Contract Schedule which may be imported into the customs territory of the United States*

**The Following Clause Applies if the Contract Value Exceeds \$25,000:**

- FAR 52.225-1 Buy American Act – Supplies (May 2014) - *unless the requirement is restricted to domestic end products (see FAR 25.101), the goods to be delivered will be used outside the United States, or the goods and materials are not available from U.S. manufacturers.*

**The Following Clause Applies if the Contract Value Exceeds \$30,000:**

- FAR 52.204-10 Reporting Executive Compensation and First-Tier Subcontract Awards (Jul 2013) – *Contractor agrees to provide such information to Battelle or to maintain it for a period of not less than three years following contract completion and to provide it to the Government upon request.*

**The Following Clause Applies if the Contract Value Exceeds \$35,000:**

- FAR 52.209-6 Protecting the Government's Interest When Subcontracting with Contractors Debarred, Suspended, or Proposed for Debarment (Oct 2015)

**The Following Clauses Apply if the Contract Value Exceeds \$100,000:**

DEAR 970.5227-5 Notice and Assistance Regarding Patent and Copyright Infringement (Aug 2002)

**The Following Clauses Apply if the Contract Value Exceeds \$150,000:**

FAR 52.203-7 Anti-Kickback Procedures (Oct 2010) – excluding paragraph (c)(1)

FAR 52.203-12 Limitation on Payments to Influence Certain Federal Transactions (Oct 2010)

FAR 52.203-16 Preventing Personal Conflicts of Interest (Dec 2011)

FAR 52.222-4 Contract Work Hours and Safety Standards Act – Overtime Compensation (May 2014)

FAR 52.222-35 Equal Opportunity for Veterans (Oct 2015)

FAR 52.222-37 Employment Reports on Veterans (Feb 2016)

**The Following Clauses Apply if the Contract Value Exceeds \$250,000:**

FAR 52.203-6 Restriction on Subcontractor Sales to the Government (Sept 2006)

FAR 52.203-17 Contractor Employee Whistleblower Rights and Requirement to Inform Employees of Whistleblower Rights (Apr 2014)

FAR 52.204-14 Service Contract Reporting Requirements (Oct 2016)

FAR 52.204-15 Service Contract Reporting Requirement or Indefinite-Delivery Contracts (Oct 2016) – *applies if estimated total value exceeds the simplified acquisition threshold except for actions entirely funded by DoD or classified contracts or contracts awarded with a generic entity identifier*

FAR 52.215-14 Integrity of Unit Prices (Oct 2010) – *excluding paragraph (b) except for construction or architect-engineer services under FAR Part 36; utility services under FAR Part 41; services where supplies are not required; commercial items; and petroleum products*

FAR 52.215-23 Limitations on Pass-Through Charges (Oct 2009)

FAR 52.219-8 Utilization of Small Business Concerns (Oct 2014)F

FAR 52.227-1 Authorization and Consent (Dec 2007) – *applies without Alternate I if this Contract is for supplies or services, including construction, architect-engineer services, and materials, supplies, models, samples, and design or testing services.*

FAR 52.244-2 Subcontracts (Oct 2010)

DEAR 952-209.72 Organizational Conflicts of Interest (Alt 1) (Aug 2009)

**The Following Clauses Apply if the Contract Value Exceeds \$500,000:**

FAR 52.222-50 Combating Trafficking in Persons (Mar 2015) including Alternate I. *Alternate I applies when work will be performed outside the U.S. and when specific U.S. directives or notices regarding combating trafficking in persons apply to contractor employees at the contract place of performance.*

DEAR 952.226-74 Displaced Employee Hiring Preference (Jun 1997)

DEAR 970.5226-2 Workforce Restructuring Under Section 3161 of the National Defense Authorization Act for Fiscal Year 1993 (Dec 2000)

**The Following Clause Applies if the Contract Value Exceeds \$700,000**

FAR 52.219-9 Small Business Subcontracting Plan (Oct 2015) - *applies if the contractor is a large business concern*

**The Following Clauses Apply if the Contract Value Exceeds \$750,000**

FAR 52.215-10 Price Reduction for Defective Cost or Pricing Data (Aug 2011) – *applies if cost or pricing data is required*

FAR 52.215-11 Price Reduction for Defective Cost or Pricing Data – Modification (Aug 2011)

FAR 52.215-12 Subcontractor Certified Cost or Pricing Data (Oct 2010) – *applies if cost or pricing data is required*

FAR 52.215-13 Subcontractor Certified Cost or Pricing Data – Modifications (Oct 2010)

FAR 52.230-2 Cost Accounting Standards (Oct 2015)

FAR 52.230-3 Disclosure and Consistency of Cost Accounting Practices (Oct 2008), excluding paragraph (b)

FAR 52.230-5 Cost Accounting Standards – Educational Institution (Oct 2010) – excludes paragraph (b) - *applies to educational institutions, unless the contract is exempt*

FAR 52.230-6 Administration of Cost Accounting Standards (June 2010)

**The Following Clauses Apply if the Contract Indicates it is for Experimental, Developmental, Research, or Demonstration Work**

FAR 52.227-16 Additional Data Requirements (Jun 1987) – *applies if this Contract involves experimental, developmental, research, or demonstration work (other than basic or applied research to be performed solely by a university or college where the contract amount*

*will be \$500,000 or less) unless all the requirements for data are believed to be known at the time of contracting and specified in this Contract*

- FAR 52.246-8 Inspection of Research and Development –Cost Reimbursement (May 2001)
- DEAR 952.227-11 Patent Rights – Retention by the Contractor (Short Form) (Mar 1995) – *applies if the Contractor is a small business firm or domestic nonprofit organization as defined by 35 USC 201 unless subject to exceptional circumstances as defined in 35 USC 202 and the Prime Contract.*
- DEAR 952.227-13 Patent Rights – Acquisition by the Government (Sep 1997) – *applies if the Contractor is **not** a small business firm or domestic nonprofit organization as defined by 35 USC 201. DOE Patent Counsel shall determine the Patent Rights if this Contract is subject to exceptional circumstances as defined in 35 USC 202 and the Prime Contract.*
- DEAR 952.227-84 Notice of Right to Request Patent Waiver (Feb 1998) – *applies when DEAR 952.227-13 above applies.*
- DEAR 952.235-71 Research Misconduct (Jul 2005) – *applies if contract involves research*
- DEAR 970.5227-4 Authorization and Consent (Aug 2002), paragraph (a) only – *applies if the contract value exceeds \$100,000.*