

GENERAL PROVISIONS

Workshop Agreements

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 agreement 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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Independent Contractor

The Contractor is an independent contractor and not an agent or employee of Battelle in the performance of the work.

Compliance with Laws

- A. In the performance of the work provided by this Contract, the Contractor shall comply with all applicable state, federal, and local laws, rules, and regulations. The Contractor shall not utilize any lower-tier subcontractor(s) to perform the work.
- B. The Contractor shall comply with the applicable federal, state and local environment, safety, health and security laws and regulations of the facility where the work is performed. Where work is performed at any Battelle or DOE owned, leased or controlled facility, the Contractor shall comply with 10 CFR 851, DOE Worker Safety and Health Program, and DEAR 970.5223-1, Integration of Environment, Safety and Health (ES&H) into Work Planning and Execution (Dec. 2000) in the manner prescribed by the host facility. The Contractor shall 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. With respect to the scope of work described in this workshop agreement at Battelle owned, leased or controlled facilities, and where the activities are limited to an office or meeting environment, with no additional or unusual hazards, the requirements can be met through review of the [Visitor Orientation Pamphlet](#).
- C. The Contractor shall notify the Battelle Contracts Representative immediately of any OSHA-recordable injuries/illnesses, any “off-normal occurrences,” or Government property damaged, that the Contractor determines to have occurred in the course of the work performed and shall furnish such further information as

the Battelle Contracts Representative may require. The Contractor shall promptly evaluate and resolve any non-compliance with applicable ES&H or security requirements. If the Contractor fails to provide resolution or if, at any time, the Contractor’s acts or failure to act causes substantial harm or an imminent danger to the environment, safety or health of employees or the public, the Battelle Contracts Representative may issue an order stopping work in whole or in part.

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.

Confidentiality and Proprietary Information

- A. Any knowledge or information which the Contractor shall have disclosed or may hereafter disclose to Battelle, incident to the placing and filing of this Contract, shall not, unless otherwise specifically agreed upon in writing signed by an Officer or Laboratory Director of Battelle, be deemed to be confidential or proprietary information, and accordingly, shall be acquired free from any restrictions (other than restrictions which may result from a claim for patent infringement).
- B. The Contractor agrees to keep confidential any information or data obtained by it from Battelle during the term of this Contract, and to refrain from publishing or revealing any such information acquired by it in the course of the services, without the written consent of Battelle.

- C. The Contractor shall immediately disclose to the Contract Representative any information that the Contractor believes was developed or discovered during the course of this agreement that may be subject to patents or protection per Title 35 of the United States Code (USC).

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.

Intellectual Property

The Contractor agrees to report to Battelle any inventions made or conceived directly under this agreement. The creation of intellectual property is not anticipated to occur under this agreement. However, in the unlikely event that intellectual property is created, the following terms and conditions shall apply and are incorporated herein by reference:

48 CFR 523.227-14 entitled "Rights in Data - General" modified in accordance with 48 CFR 927.409(a) and including Alternate V.

If Contractor is a non-profit organization or small businesses then 48 CFR 952.227-11 entitled "Patent Rights - Retention by the Contractor" shall apply.

If Contractors is other than a non-profit organization or a small business then 48 CFR 952.227-13 entitled "Patent Rights - Acquisition by the Government" shall apply.

Guest House at PNNL (cl. 333 – Oct 2020) Applicable through September 30, 2021

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 Blvd., Richland, WA 99354, Phone: 509-943-0400; FAX: 509-375-1092; Email: gh@stayparagon.com; website: 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.

Foreign Travel (cl. 366 – Oct 2020)

- A. Foreign travel means approved travel (whether wholly or partially 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 550.1, 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.

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 the 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.

Prohibition on Participation in Foreign Government-Sponsored Talent Recruitment Programs of a Foreign Country of Risk (cl.312 – December 2020)

Applies to research & development (R&D) or demonstration contracts, at any tier, performed on or at a DOE/NNSA site/facility, including DOE/NNSA/Battelle leased space.

- A. Contractor Personnel participating in any Foreign Government-Sponsored Talent Recruitment Program of a Foreign Country of Risk is prohibited. Contractor shall utilize due diligence to ensure that the Contractor Personnel performing work within the scope of this contract, working at any level, are not participants in a Foreign Government-Sponsored Talent Recruitment Program of a Foreign Country of Risk.
- B. Contractor shall immediately notify the Battelle Contracts Representative if the Contractor has reason to believe that any Contractor Personnel are participants in a Foreign Government-Sponsored Talent Recruitment Program of a Foreign Country of Risk, and shall provide the following information:
 1. Country;
 2. Description of the activity/Foreign Government-Sponsored Talent Recruitment Program;
 3. Funding or other value received or expected;
 4. Duration
 5. Technical area;
 6. Contractor action;
 7. Status or disposition; and
 8. Any other information requested by Battelle or the U.S. Government.

Battelle is required to share this information with the U.S. Government, and the reported activity is subject to a final determination by the U.S. Government.

- C. Contractor shall take appropriate action to ensure that Contractor Personnel currently participating in a disclosed or otherwise identified Foreign Government-Sponsored Talent Recruitment Program of a Foreign Country of Risk either stop performing work within the scope of the contract or stop participation in such activity within a reasonable period of time, not to exceed 30 days.
- D. Failure by the Contractor to reasonably ensure compliance with this contract clause, may result in Battelle exercising contractual remedies in accordance with federal regulations and the terms of the contract, up to and including termination of this contract.
- E. Contractor is responsible for flowing down the requirements of this clause to R&D or demonstration subcontracts at any tier to the extent necessary to ensure Contractor's compliance with the requirements, where the lower tier subcontractor's work under this contract is performed on or at a DOE/NNSA site/facility, including DOE/NNSA/Battelle leased space.
- F. Battelle reserves the right to direct Contractor to remove any Contractor Personnel participating in a Foreign Government-Sponsored Talent Recruitment Program of a Foreign Country of Risk from performing any work under this contract on or at any facility of the Pacific Northwest National Laboratory (PNNL) or from any other DOE/NNSA site/facility (including DOE/NNSA/Battelle leased facilities). To the extent Battelle requires the Contractor Personnel participating in the Foreign Government-Sponsored Talent Recruitment Program of a Foreign Country of Risk to be removed from performing any further work under this contract, Contractor shall do so unless the Contractor Personnel agrees to discontinue participation in the Foreign Government-Sponsored Talent Recruitment Program of a Foreign Country of Risk. Contractor is not entitled to any claim for equitable adjustment against Battelle as a result of direction provided under this subparagraph.

G. The following definitions shall apply:

1. "Contractor Personnel" for purposes of this clause means:
 - a. Any Contractor employee; and
 - b. subcontractor employee, joint appointee from another institution, and any other individual performing R&D work, whether compensated or uncompensated, within the scope of this contract either on-site at the DOE/NNSA site/facility or in DOE/NNSA/contractor leased space.
2. "Foreign Country of Risk" refers to any foreign country determined to be of risk, following consideration of, but not limited to, the Office of the Director of National Intelligence World Wide Threat Assessment and The National Counterintelligence Strategy of the United States of America, by the Under Secretary for Science in consultation with the Under Secretary of Energy; the Under Secretary for Nuclear Security; and the Office of Intelligence and Counterintelligence.
3. "Foreign Government-Sponsored Talent Recruitment Program" refers to an effort directly or indirectly organized, managed, or funded by a foreign government to recruit science and technology professionals or students (regardless of citizenship or national origin, and whether having a full-time or part-time position). The term is more fully defined in DOE O 486.1A, Attachment 2, which is hereby incorporated by reference.

Unclassified Foreign Visits and Assignments (cl. 3114 - Oct 2020)

This clause applies when foreign nationals will have access to DOE owned or leased sites, information, technologies, or equipment under this contract.

All foreign national contractor personnel must be approved in writing by Battelle before being granted access to any PNNL or DOE facilities, systems, technologies or information under this contract. Contractor shall provide the following information as applicable by individual:

- A. Non-U.S. Citizen Pre-Visit Form
- B. Passport and visa documents (non-immigration documentation) or immigrant document (lawful permanent resident card)

Contractor shall provide a point-of-contact, through which such information shall be provided.

FAR 52.247-63 Preference for U.S.-Flag Air Carriers (June 2003)

(a) Definitions. As used in this clause –

"International air transportation" means transportation by air between a place in the United States and a place outside the United States or between two places both of which are outside the United States.

"United States" means the 50 states, the District of Columbia, and outlying areas.

"U.S.-flag air carrier" means an air carrier holding a certificate under 49 U.S.C. Chapter 411.

(b) Section 5 of the International Air Transportation Fair Competitive Practices Act of 1974 (49 U.S.C. 40118) (Fly America Act) requires that all Federal agencies and Government Contractors and subcontractors use U.S.-flag air carriers for U.S. Government-financed international air transportation of personnel (and their

personal effects) or property, to the extent that service by those carriers is available. It requires the Comptroller General of the United States, in the absence of satisfactory proof of the necessity for foreign-flag air transportation, to disallow expenditures from funds, appropriated or otherwise established for the account of the United States, for international air transportation secured aboard a foreign-flag air carrier if a U.S.-flag air carrier is available to provide such services.

- (c) If available, the Contractor, in performing work under this contract, shall use U.S.-flag air carriers for international air transportation of personnel (and their personal effects) or property.
- (d) In the event that the Contractor selects a carrier other than a U.S.-flag air carrier for international air transportation, the Contractor shall include a statement on vouchers involving such transportation essentially as follows:

STATEMENT OF UNAVAILABILITY OF U.S.-FLAG AIR CARRIERS

International air transportation of persons (and their personal effects) or property by U.S.-flag air carrier was not available or it was necessary to use foreign-flag air carrier service for the following reasons (see Section 47.403 of the Federal Acquisition Regulation):

(State reasons):

End of Statement)

- (e) The Contractor shall include the substance of this clause, including this Paragraph (e), in each subcontract or purchase order under this contract that may involve international air transportation.

FAR 52.232-40 Providing Accelerated Payments to Small Business Subcontractors (Dec 2013) **[DEVIATION APR 2020]**

- (a)
 - (1) In accordance with 31 U.S.C. 3903 and 10 U.S.C. 2307, upon receipt of accelerated payments from the Government, the Contractor shall make accelerated payments to its small business subcontractors under this contract [in accordance with the accelerated payment date established], to the maximum extent practicable and prior to when such payment is otherwise required under the applicable contract or subcontract, [with a goal of 15 days] after receipt of a proper invoice and all other required documentation from the small business subcontractor [if a specific payment date is not established by the contract].
 - (2) The Contractor agrees to make such payments to its small business subcontractors without any further consideration from or fees charged to the subcontractor.
- (b) The acceleration of payments under this clause does not provide any new rights under the Prompt Payment Act.
- (c) Include the substance of this clause, including this paragraph (c), in all subcontracts with small business concerns, including subcontracts with small business concerns for the acquisition of commercial items.

FAR 52.204-23 Prohibition on Contracting for Hardware, Software, and Services Developed or Provided by Kaspersky Lab and Other Covered Entities (July 2018)

- (a) Definitions. As used in this clause –
Covered article means any hardware, software, or service that –

- 1. Is developed or provided by a covered entity.
- 2. Includes any hardware, software, or service developed or provided in whole or in part by a covered entity; or
- 3. Contains components using any hardware or software developed in whole or in part by a covered entity.

Covered entity means –

- 1. Kaspersky Lab;
- 2. Any successor entity to Kaspersky Lab;
- 3. Any entity that controls, is controlled by, or is under common control with Kaspersky Lab; or
- 4. Any entity of which Kaspersky Lab has a majority ownership.

- (b) Prohibition. Section 1634 of Division A of the National Defense Authorization Act for Fiscal Year 2018 (Pub. L. 115-91) prohibits Government use of any covered article. The Contract is prohibited from –
 - 1. Providing any covered article that the Government will use on or after October 1, 2018; and
 - 2. Using any covered article on or after October 1, 2018 in the development of data or deliverables first produced in the performance of the contract.
- (c) Reporting requirement.

- 1. In the event the Contractor identifies a covered article provided to the Government during contract performance, or the Contractor is notified of such by a subcontractor at any tier or any other source, the Contractor shall report, in writing, to the Contracting Officer or, in the case of the Department of Defense, to the website at <https://dibnet.dod.mil>. For indefinite delivery contracts, the Contractor shall report to the Contracting Officer for the indefinite delivery contract and the Contracting Officer(s) for any affected order or, in the case of the Department of Defense, identify both the indefinite delivery contract and any affected orders in the report provided at <https://dibnet.dod.mil>.
- 2. The Contractor shall report the following information pursuant to paragraph (c)(1) of this clause:
 - i. Within 1 business day from the date of such identification or notification: the contract number; the order number(s), if applicable; supplier name; brand; model number (Original Equipment Manufacturer (OEM) number, manufacture part number, wholesaler number); item description; and any readily available information about mitigation actions undertaken or recommended.
 - ii. Within 10 business days of submitting the report pursuant to paragraph (c)(1) of this clause: any further available information about mitigation actions undertaken or recommended. In addition, the Contractor shall describe the efforts it undertook to prevent use or submission of a covered article, any reasons that led to the use or submission of the covered article, and any additional efforts that will be incorporated to prevent future use or submission of covered articles.

- (d) Subcontracts. The Contractor shall insert the substance of this clause, including this paragraph (d), in all

subcontracts, including subcontracts for the acquisition of commercial items.

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.