



LAWRENCE LIVERMORE NATIONAL LABORATORY
GENERAL PROVISIONS FOR COST-TYPE AND COST-PLUS FIXED FEE
SUBCONTRACTS

CLAUSE 1 - DEFINITIONS

As used herein, the following terms have the indicated meanings:

"CFR" means the U.S. Code of Federal Regulations.

"DEAR" means the Department of Energy Acquisition Regulations.

"DOE/NNSA" means the U.S. Department of Energy National Nuclear Security Administration.

"FAR" means the Federal Acquisition Regulations.

"Government" means the U.S. Government.

"LLNL" means the Lawrence Livermore National Laboratory.

"LLNS" means Lawrence Livermore National Security, LLC.

"Subcontract" means the purchase order, subcontract, or agreement entered into with the Subcontractor which includes these GENERAL PROVISIONS.

"Subcontractor" means the party who entered into the Subcontract with the LLNS, as identified in the Subcontract.

CLAUSE 2 – SUBCONTRACTS WITH LLNS TEAM MEMBERS AND AFFILIATES

A. As used in this clause:

1. Team Member includes the entities identified at <https://www.llnslc.com/index.html#team..>
2. Team Member Affiliate means any person or entity which is an affiliate of any Team Member. The term affiliate is defined at FAR 2.101.

B. Because of restrictions in the contract between DOE/NNSA and Lawrence Livermore National Security, LLC (hereinafter "LLNS") concerning the payment of fee or profit when subcontracting with any Team Member or any Team Member Affiliate, as well as Organizational Conflict of Interest concerns, neither the Subcontractor nor any tier of its lower tier subcontractors or suppliers may enter into a subcontract with any Team Member or any Team Member Affiliate to provide goods or services under this Subcontract without the advance written approval of the Contract Analyst.

C. The Subcontractor shall include the substance of this clause in all of its lower tier subcontracts and purchase orders.

CLAUSE 3 - TECHNICAL DIRECTION AND CHANGES

A. Performance of the work under this Subcontract shall be subject to the technical direction of the LLNS Technical Representative identified in the Subcontract. The Subcontractor shall promptly proceed with the performance of technical direction of the nature prescribed by this article issued by the LLNS Technical Representative.

B. The term "technical direction" is defined to include directions to the Subcontractor within the scope of work of the Subcontract which: (1) clarifies the desired work emphasis between work areas or tasks; (2) directs the pursuit of certain lines of inquiry; (3) assists in the interpretation of drawings, specifications, or technical portions of the work description; or (4) fills in details necessary to perform and complete the scope of work. All technical direction must be issued in writing by the LLNS Technical Representative.

C. The LLNS Technical Representative is not authorized to issue any technical direction which would: (1) constitute an assignment of work outside the general scope of the work covered by this Subcontract; (2) change the description of the work to be performed or any applicable drawings, designs, and specifications; (3) change the time or place of performance; the method of shipment or packaging, or the place of inspection, delivery or acceptance; (4) increase the estimated cost for performance of the work, the fixed fee, or the time required for performance of the work; (5) change any expressed term or condition of the Subcontract; or (6) unreasonably interfere with the Subcontractor's ability to perform and complete the work.

D. If the LLNS Technical Representative issues technical direction that falls within one of the types described in Paragraph C above, the Subcontractor shall not act on such technical direction, and shall promptly notify the LLNS Contract Analyst.

E. Upon receipt of a notification from the Subcontractor, the LLNS Contract Analyst shall promptly advise the Subcontractor either : (1) the technical direction is within the general scope of the Subcontract and does not constitute a change under the *CHANGES-COST REIMBURSEMENT* clause, and to act on such technical direction; or (2) the technical direction is not within the general scope of the Subcontract or would constitute a change under the *CHANGES-COST REIMBURSEMENT* clause, and to not act on such technical direction unless and until the LLNS Contract Analyst issues a written change order.

CLAUSE 3 – SCIENTIFIC INTEGRITY

The Subcontractor shall follow the applicable parts of DOE Order 411.2 including without limitation the following.

1. When expressing opinions on policy matters to the public and media, Subcontractor and its personnel must make it clear when they are expressing their personal views, rather than those of LLNS, the Department of Energy (DOE) or the U.S. Government.
2. The Subcontractor may not suppress or alter scientific or technological findings, nor intimidate or coerce its personnel, subcontractors, or others to alter or censor scientific or technological findings or conclusions. The Subcontractor must also not suppress or alter the social media posts of personnel that express scientific and technical opinions or related policy opinions.
3. The Subcontractor must provide its personnel an opportunity to review, prior to publication or release, any public communication that substantially relies on their research or is related under their name.
4. Subcontractor may not publicly represent LLNS, DOE, or the U.S. Government's position or policies without advance written approval from DOE.

CLAUSE 4- USE AND RELEASE RESTRICTIONS FOR PROTECTED INFORMATION

- A. The Subcontractor shall not reference LLNS in any news releases, advertisements, marketing materials, websites, or any other public releases of information concerning this Subcontract without the prior written consent of the LLNS Contract Analyst.
- B. While in the performance of this Subcontract, the Subcontractor may be exposed to information that qualifies as confidential, proprietary or business sensitive, Official Use Only, Export Controlled, Unclassified Controlled Information (UCI), Unclassified Nuclear Controlled Information (UCNI) as well as Personally Identifiable Information (PII) defined as information that is associated with any individual (who is an employee, independent contractor, visitor or guest at LLNL), collectively referred herein as "Protected Information."
- C. In the event the Subcontractor receives or is exposed to Protected Information in performance of this Subcontract, the Subcontractor shall: (1) safeguard the Protected Information in accordance with the appropriate procedures applicable to the type of Protected Information that are designed to protect against any unauthorized use, publication or disclosure of such information, (2) restrict access to Protected Information to only those individuals or entities needing such access to perform as required under this Subcontract, (3) refrain from using Protected Information except for the purposes for which such information was originally disclosed, (4) encrypt any electronic information when at rest in accordance with Federal Information Processing Standard (FIPS) 140-2 Level 2 or higher, (5) provide immediate written notice to the LLNS Contract Analyst in the event of any unauthorized use, publication, or disclosure of Protected Information, and (6) provide assistance with any investigation and mitigation of harm.
- D. The Subcontractor agrees, upon cancellation, expiration, or earlier termination of this Subcontract, or upon the written request of LLNS, whichever is earlier, to promptly deliver to LLNS (or, at LLNS' option, to destroy) all tangible or electronic copies of the Protected Information described above which is in the possession of Subcontractor at the time of the cancellation, expiration or earlier termination. Notwithstanding the foregoing, the Subcontractor's obligations with respect to Protected Information shall continue in full force and effect and survive the cancellation, expiration, or earlier termination of this Subcontract.
- E. This Clause does not amend or otherwise modify in any manner the rights and responsibilities of LLNS and/or the Subcontractor as otherwise provided in FAR 52.227-14.
- F. This Clause governs the use and disclosure obligations related to Protected Information disclosed between the Subcontractor and LLNS after the effective date of this Subcontract. To the extent that prior to the effective date of this Subcontract, the Subcontractor and LLNS have entered into a Non-Disclosure Agreement (NDA) (or similar document), this Clause shall supersede the NDA for purposes of governing Protected Information used and/or disclosed between the parties of this Subcontract after the effective date of the Subcontract.
- G. Nothing in this Clause is intended to prevent Subcontractor's employees from disclosing proprietary/confidential information to report fraud, waste, or abuse to a designated investigative or law enforcement representative of a Federal department or agency authorized to receive such information. To the extent that prior contracts with LLNS prohibited Subcontractor employees from disclosing proprietary/confidential information to report, fraud, waste or abuse to designated investigative or law enforcement representations of a Federal department or agency authorized to receive such information, such prior contracts are no longer in effect, but only to the extent that they prohibited Subcontractor employees from making such disclosures to the designated officials.

CLAUSE 5- RESPONSIBILITY FOR TECHNOLOGY EXPORT CONTROL

- A. The Subcontractor shall comply with all applicable U.S. export control laws and regulations in the performance of this Subcontract and the distribution and use of resulting work products. The Subcontractor shall be responsible for obtaining the appropriate licenses or other approvals for exports of commodities, technology, and software, unless an exemption or

exception applies. The Subcontractor shall also be responsible for obtaining the appropriate licenses or other approvals before utilizing a foreign person in the performance of this Subcontract, including instances where the work is to be performed at the Lawrence Livermore National Laboratory (LLNL), where the foreign person will have access to any information, technology, or software subject to export control.

- B. LLNS complies with all applicable United States Government export control laws and regulations and shall not use or transfer technology and/or items procured from the Subcontractor in contravention of such laws and regulations. All goods that LLNS procures under the Prime Contract belongs to DOE/NNSA and the United States Government. The goods being procured under this Subcontract are intended for use in support of the Prime Contract with DOE for the purposes of meeting LLNS' national security mission for NNSA. This clause serves as notice of LLNS' mission and export control compliance and shall be considered an appropriate end-user statement to the Subcontractor for export controls and compliance purposes. The Subcontractor shall not request a representative of LLNS to provide any additional end-use statements or certifications relative to the goods procured under this Subcontract.
- C. The Subcontractor shall ensure the provisions of this clause apply to its subcontractors.

CLAUSE 6- SUSTAINABLE ACQUISITION

- A. In the performance of this the Subcontractor shall utilize environmentally preferable products and services and recovered material as defined in 48 CFR 2.101 and 11.301, i.e., products and services that have a lesser or reduced effect on human health and the environment, including those that are energy efficient (ENERGY STAR or FEMP-designated), water efficient, bio-based, environmentally preferable, EPEAT registered, non-ozone depleting, and less toxic, to the maximum extent possible without conflicting with the technical requirements of the Subcontract or jeopardizing the intended end use of the items or services to be furnished under this Subcontract.
- B. To the extent practicable, the minimum content standard for high speed copier paper, offset paper forms bond, computer printout paper, carbonless paper, file folders, white woven envelopes, writing and office paper, book paper, cotton fiber paper, and cover stock used in performing this Subcontract shall be no less than 30 percent post-consumer material.
- C. The Subcontractor shall notify the LLNS Contract Analyst in writing if an "EPA-designated item," as defined in 48 CFR 23.401, used in performing this Subcontract does not contain at least the percentage of recovered material required by any applicable specification of this Subcontract. Such notice must include a detailed written justification for such failure, on the basis that the item is not available competitively within a reasonable time frame, does not meet appropriate performance standards, or is only available at an unreasonable price.

CLAUSE 7- QUALITY OF MATERIALS AND SUPPLIES

- A. Any materials or supplies furnished or used by the Subcontractor shall as a minimum: (1) conform to the requirements of this Subcontract and be as warranted; (2) be new and not be of such age or so deteriorated as to impair their usefulness or safety; and (3) not contain any counterfeit/suspect items. The Subcontractor shall not furnish reconditioned materials or supplies unless specified in the Subcontract or approved by the LLNS Contract Analyst. The Subcontractor shall warrant any reconditioned materials or supplies the same as new items.
- B. LLNS will not accept any work involving the furnishing or use of materials or supplies, found by LLNS to not meet the minimum requirements of paragraph A, above; to be reconditioned; or to constitute suspect/counterfeit items, notwithstanding any inspection or acceptance of delivery by LLNS, unless such condition is specifically approved in writing by the LLNS Contract Analyst. The Subcontractor shall promptly replace such items at its expense with conforming items.
- C. LLNS will impound any suspect/counterfeit items furnished or used under this Subcontract and may provide such items to the appropriate authorities for investigation. LLNS reserves the right to withhold payment for the suspect/counterfeit items pending the results of any such investigation.
- D. An item is suspect when inspection or testing indicates that it may not conform to established Government or industry-accepted specifications or national consensus standards or whose documentation, appearance, performance, material, or other characteristics may have been misrepresented by the vendor, supplier, distributor, or manufacturer. A counterfeit item is one that has been copied or substituted without legal right or authority or whose material, performance, or characteristics have been misrepresented by the vendor, supplier, distributor, or manufacturer. Types of known suspect/counterfeit items include, but are not limited to: fasteners, circuit breakers, valves, piping components, electrical devices, plate, bar, shapes, and channel members. Such items may be falsely labeled as a different class of part, or be used or refurbished parts that are falsely represented as new parts.

CLAUSE 8- SHIPMENTS FOR LLNS' ACCOUNT

Except as otherwise provided in the Subcontract, all shipments by the Subcontractor for LLNS' account shall be (1) shipped F.O.B. Destination (as defined in FAR 47.303) and marked as shipped "For the U. S. Department of Energy;" (2) shipped at the maximum declared value for the lowest applicable transportation rate or classification, and the bill of lading shall so note;

and (3) self-insured by LLNS and not insured by the Subcontractor. The Subcontractor shall mark all airway bills with the appropriate "Government Package" entry. LLNS may deduct from the Subcontractor's invoice(s) those shipping costs in excess of those authorized per the "Shipping Instructions" specified on the face of the Subcontract.

CLAUSE 9- TITLE AND RISK OF LOSS

Unless otherwise provided in the Subcontract, title to tangible items delivered to LLNS passes directly to the Government upon, and the risk of loss or damage to the items remains with the Subcontractor until:

If F.O.B. Origin (as defined in FAR 47.303): Completion of delivery to the carrier and any loading by the Subcontractor.

If F.O.B. Destination (as defined in FAR 47.303): Completion of delivery at the delivery point.

CLAUSE 10- PACKAGING INSTRUCTIONS

The Subcontractor shall suitably package items to prevent damage during handling and shipping and ensure all packaging complies with applicable domestic and international regulations. The Subcontractor shall use biodegradable packaging materials, to the extent practicable. The Subcontractor is responsible for any damage resulting from improper packaging, containerizing, or lack thereof, notwithstanding anything contrary contained in this Subcontract. The Subcontractor shall indicate the LLNS Subcontract number on an itemized packing list and affix it to the outermost cover of each container or package.

CLAUSE 11- TAX ASSESSMENT NOTIFICATION

The Subcontractor shall notify LLNS of any State or local law tax, fee or charge levied or purported to be levied on or collected from the Subcontractor in connection with this Subcontract for which an exemption is claimed by LLNS or concerning which the Subcontractor has reason to believe or LLNS has advised the Subcontractor that such tax, fee, or charge is or may be inapplicable or invalid. The Subcontractor shall refrain from paying any such tax, fee, or charge, unless otherwise authorized by LLNS, and to take such steps as may be required by LLNS to cause such tax, fee, or charge to be paid under protest and, if so directed by LLNS, to cause to be assigned to LLNS or its designee any and all rights to the abatement or refund of any such tax, fee, or charge, and to permit LLNS or its designee to join with the Subcontractor in any proceedings for the recovery thereof or to sue for recovery in the Subcontractor's name.

CLAUSE 12- COST ACCOUNTING STANDARDS (CAS) LIABILITY

(Applicable if the Subcontract is subject to full or modified CAS)

If the Subcontract is subject to either FAR 52.230-2 or FAR 52.230-6, notwithstanding the provisions of the clause, or of any other provision of this Subcontract, the Subcontractor shall be liable to the U.S. Government for any increased costs, and interest thereon, resulting from any failure of the Subcontractor or of a lower-tier subcontractor, with respect to activities carried on at the site of the work, to comply with applicable cost accounting standards or to follow any practices disclosed pursuant to the requirements of such clause.

CLAUSE 13- ASSIGNMENTS

- A. LLNS may assign this Subcontract to the U.S. Government or its designee(s).
- B. Except as to assignment of payment due hereunder, the Subcontractor has no right, power or authority to sell, mortgage, transfer or assign this Subcontract, any portion hereof, any interest herein or any claim hereunder, nor allow or permit any other party or parties to have any interest in or use any part of the rights or obligations granted hereunder for any purpose whatsoever without the prior written consent of LLNS.

CLAUSE 14- DISPUTES

- A. All disputes arising under or relating to this Subcontract shall be resolved under this clause; however, nothing in this clause is intended to prohibit empowered representatives of either party from informally discussing with the other any matters arising from the performance of this Purchase Order.
- B. Notice of Breach and Opportunity to Cure
Whenever either party believes that the other party has breached or is endangering the performance of this Subcontract, the party asserting the breach may give the other party written notice of the existence and nature of the breach or condition of concern, and the other party shall have the opportunity to cure such breach or condition of concern or provide a plan to cure that is mutually agreed upon by both parties during the 10 calendar day period following delivery of such notice.
- C. Escalation to Management
If within 10 days of the delivery of the notice the breach or condition of concern has not been cured and/or if the parties have not mutually agreed to a plan to cure the breach, then the parties will elevate the matter to their respective management for resolution. LLNS will elevate the matter to its Department Head for Supply Chain Management and the other party will elevate the matter to its equivalent or higher. Management of both parties will have 10 calendar days to resolve the matter or to mutually agree upon a plan to resolve the matter. If the parties' respective managements cannot agree on a

resolution of the matter, either party may pursue dispute resolution through the process described in the balance of this Clause.

D. Mediation

If the dispute is not resolved pursuant to paragraph C. of this Clause, then the Subcontractor and LLNS agree to mediate the dispute as a pre-condition to either party initiating litigation. Either party may initiate mediation by delivering written notice to the other party. Both parties shall attend and participate in the mediation in good faith. Unless both parties agree otherwise, the mediation shall be conducted by a JAMS mediator in the San Francisco Bay area and shall be conducted in accordance with the JAMS mediation procedures then in effect. The costs of the mediation shall be shared equally by the parties.

E. Litigation

In the event that a dispute is not resolved through the mediation conducted pursuant to paragraph D, then either party may provide written notice that the mediation is terminated and it intends to pursue litigation pursuant to the GOVERNING LAW AND VENUE clause of these GENERAL PROVISIONS. Neither party can initiate litigation until fifteen (15) calendar days have passed after delivery of the notice of the termination of the mediation.

CLAUSE 15- NOTICES

The Subcontractor shall immediately notify the LLNS Contract Analyst in writing of (1) any third party action, including any proceeding before an administrative agency, filed against the Subcontractor arising out of the performance of this Subcontract; (2) any third party claim against the Subcontractor, the cost and expense of which may be allowable under the terms of this Subcontract; (3) any proceedings related to bankruptcy the Subcontractor enters into; and (4) any circumstances whatsoever that the Subcontractor becomes aware of during the performance of the Subcontract which may jeopardize its fulfillment of the agreed performance of all or any portion of the Subcontract.

CLAUSE 16- NON-WAIVER OF DEFAULT

Any failure by LLNS to strictly enforce performance of any of the terms or conditions of this Subcontract does not constitute a waiver of such terms or conditions and does not affect or impair such terms or conditions in any way nor the right of LLNS to avail itself of such remedies for any breach or breaches of such terms or conditions.

CLAUSE 17- CLAUSES INCORPORATED BY REFERENCE

The FAR and DEAR clauses listed below are incorporated by reference as a part of these GENERAL PROVISIONS with the same force and effect as if they were set forth herein in full text, and apply as prescribed below. The referenced FAR and DEAR clauses are respectively located in Title 48, Chapters 1 and 9 of the Code of Federal Regulations.

As used in the clauses, the term "contract" means the Subcontract; the term "Contractor" means the Subcontractor; the term "subcontractor" means the Subcontractor's subcontractor; the term "Government" means LLNS, and the term "Contracting Officer" means LLNS Contract Analyst, except in FAR clauses 52.227-1, 52.227-3, 52.227-14, and 52.227-23, and DEAR clauses 952.227-11, 952.227-13, 952.227-14, 970.5227-4, 970.5227-5, 970.5232-3, and 970.5245-1, in which clauses "Government" means the U.S. Government and "Contracting Officer" means the DOE/NNSA Contracting Officer for Prime Contract DE-AC52-07NA27344 with LLNS. As used in DEAR clauses 952.204-72, 970.5227-8, and 970.5232-3, the term "DOE" means DOE/NNSA or LLNS.

The modifications of these clause terms are intended to appropriately identify the parties and establish their contractual and administrative reporting relationship, and do not apply to the extent they would affect the U.S. Government's rights. The Subcontractor shall include the listed clauses in its subcontracts at any tier, to the extent applicable.

APPLICABLE TO ALL SUBCONTRACTS:

FAR 52.202-1	DEFINITIONS (NOV 2013)
FAR 52.203-10	PRICE OR FEE ADJUSTMENT FOR ILLEGAL OR IMPROPER ACTIVITY (MAY 2014)
FAR 52.203-19	PROHIBITION ON REQUIRING CERTAIN INTERNAL CONFIDENTIALITY AGREEMENTS OR STATEMENTS (JAN 2017)
DEAR 952.203-70	WHISTLEBLOWER PROTECTION FOR CONTRACTOR EMPLOYEES (DEC 2000). Applies if the Subcontract involves any work at a LLNS-controlled site or at DOE owned or leased sites.
FAR 52.204-23	PROHIBITION ON CONTRACTING FOR HARDWARE, SOFTWARE, AND SERVICES DEVELOPED OR PROVIDED BY KASPERSKY LAB AND OTHER COVERED ENTITIES (JUL 2018)
FAR 52.204-25	PROHIBITION ON CONTRACTING FOR CERTAIN TELECOMMUNICATIONS AND VIDEO SURVEILLANCE SERVICES OR EQUIPMENT (AUG 2019)
DEAR 952.204-72	DISCLOSURE OF INFORMATION (APR 1994). Applies if the Subcontractor is an educational institution & the Subcontract is for unclassified research involving nuclear technology.

DEAR 952.209-72 & ALT 1	ORGANIZATIONAL CONFLICTS OF INTEREST (AUG 2009), with ALTERNATE I. Applies if the Subcontract involves advisory and assistance services, as defined in FAR 2.101.
FAR 52.215-15	PENSION ADJUSTMENTS AND ASSET REVERSIONS (OCT 2010). Applies if cost or pricing data or pre- or post-award cost determinations subject to FAR Part 31 are required.
FAR 52.216-7	ALLOWABLE COST AND PAYMENT (JUN 2013) In Paragraph (a), substitute Subpart 31.2 with Subpart 31.3 for educational institutions and Subpart 31.7 for non-profit organizations. For commercial organizations Subpart 31.2 is supplemented by DEAR 931.2.
FAR 52.216-8	FIXED FEE (JUN 2011). Applies if the Subcontract specifies a fixed fee.
FAR 52.216-15	PREDETERMINED INDIRECT COST RATES (APR 1998). Applies if the Subcontractor is an educational institution.
FAR 52.219-8	UTILIZATION OF SMALL BUSINESS CONCERNS (OCT 2018)
FAR 52.222-4	CONTRACT WORK HOURS AND SAFETY STANDARDS ACT – OVERTIME COMPENSATION (MAY 2014), Applies if the Subcontract involves the use of laborers or mechanics.
FAR 52.222-21	PROHIBITION OF SEGREGATED FACILITIES (APR 2015)
FAR 52.222-26	EQUAL OPPORTUNITY (SEP 2016) (NOTE: Download the EEO Poster at: https://www.dol.gov/ofccp/regs/compliance/posters/ofccpost.htm)
FAR 52.222-50	COMBATING TRAFFICKING IN PERSONS (JAN 2019)
FAR 52.223-3	HAZARDOUS MATERIAL IDENTIFICATION AND MATERIAL SAFETY DATA (JAN 1997), with ALTERNATE I (JUL 1995). Applies if the Subcontract involves delivery of hazardous materials.
DEAR 970.5223-4	WORKPLACE SUBSTANCE ABUSE PROGRAMS AT DOE SITES (DEC 2010). Applies if the Subcontract involves any of the hazardous activities stipulated in 10 CFR 707.2.
FAR 52.225-13	RESTRICTIONS ON CERTAIN FOREIGN PURCHASES (JUN 2008)
FAR 52.227-3	PATENT INDEMNITY (APR 1984). Applies if the Subcontract is not for research, development, or demonstration (RD&D) work.
DEAR 970.5227-8	REFUND OF ROYALTIES (AUG 2002). Applies if "royalties" are paid under the Subcontract by the Subcontractor or any lower-tier subcontractor.
FAR 52.227-14	RIGHTS IN DATA-GENERAL (MAY 2014), with ALTERNATES II, III, & V and Paragraphs (a) & (d)(3) per DEAR 927.409 (DEC 2000) (Also see the <i>LIMITED RIGHTS DATA DISCLOSURE RESTRICTIONS</i> clause, below.)
DEAR 952.227-14	RIGHTS IN DATA-GENERAL ALTERNATE VI (MAY 2014). Applies if the Subcontractor is other than a domestic small business or non-profit organization.
FAR 52.227-23	RIGHTS TO PROPOSAL DATA (TECHNICAL) (JUN 1987). Applies if the PO is based upon a proposal containing technical data.
FAR 52.232-20	LIMITATION OF COST (APR 1984). Applies if the Subcontract is fully funded.
FAR 52.232-22	LIMITATION OF FUNDS (APR 1984). Applies if the Subcontract is incrementally funded.
FAR 52.232-40	PROVIDING ACCELERATED PAYMENTS TO SMALL BUSINESS SUBCONTRACTORS (DEC 2013). Applies if the Subcontractor is a small business.
FAR 52.242-15	STOP-WORK ORDER (AUG 1989), with ALTERNATE I (APR 1984)
FAR 52.243-2	CHANGES - COST REIMBURSEMENT (AUG 1987), with Alternate II (APR 1984)
FAR 52.244-2	SUBCONTRACTS (OCT 2010). Paragraph (d) insert is: "Any subcontract or purchase order for supplies or services exceeding \$100,000 that are not a "commercial item" (as defined by FAR 2.101) or for any work at a LLNS-controlled site."
FAR 52.244-6	SUBCONTRACTS FOR COMMERCIAL ITEMS (AUG 2019)
DEAR 970.5245-1	PROPERTY (JAN 2013)
FAR 52.246-5	INSPECTION OF SERVICES - COST REIMBURSEMENT (APR 1984)
FAR 52.247-63	PREFERENCE FOR U.S.-FLAG AIR CARRIERS (JUNE 2003). Applies if the Subcontract involves international air transportation.
FAR 52.247-64	PREFERENCE FOR PRIVATELY OWNED U.S.-FLAG COMMERCIAL VESSELS (FEB 2006). Applies if the Subcontract involves ocean transportation of supplies other than "commercial items", except as described in paragraph (e)(4) of the clause.
FAR 52.249-5	TERMINATION FOR CONVENIENCE OF THE GOVERNMENT (EDUCATIONAL AND OTHER NONPROFIT INSTITUTIONS) (AUG 2016). Applies if the Subcontractor is an educational institution or non-profit organization.

FAR 52.249-6 TERMINATION (COST-REIMBURSEMENT) (MAY 2004). Applies if the Subcontractor is not an Educational Institution or Non-Profit Organization.

FAR 52.249-14 EXCUSABLE DELAYS (APR 1984). Applies if the Subcontract specifies a fixed fee.

DEAR 970.5232-3 ACCOUNTS, RECORDS, AND INSPECTION (DEC 2012), Paragraphs (a) through (h), excluding Paragraph (d).

APPLICABLE IF THE SUBCONTRACT EXCEEDS \$2,500:

FAR 52.222-41 SERVICE CONTRACT LABOR STANDARDS (AUG 2018). Applies if the Subcontract is principally for the furnishing of services through the use of "service employees" and an exemption under FAR 22.1003-4 does not apply.

FAR 52.222-55 MINIMUM WAGES UNDER EXECUTIVE ORDER 13658 (DEC 2015). Applies if the Subcontract is subject to the Service Contract Labor Standards.

FAR 52.222-62 PAID SICK LEAVE UNDER EXECUTIVE ORDER 13706 (JAN 2017). Applies if the Subcontract is subject to the Service Contract Labor Standards.

APPLICABLE IF THE SUBCONTRACT EXCEEDS \$3,500

FAR 52.222-54 EMPLOYMENT ELIGIBILITY VERIFICATION (OCT 2015). Applies if the Subcontract is for construction or services in the United States, excluding commercial services purchased with a commercially available off-the-shelf (COTS) item or a COTS item with minor modifications. The Subcontractor is responsible for ensuring appropriate lower-tier subcontractors enroll as a Federal Contractor in the E-Verify system.

APPLICABLE IF THE SUBCONTRACT EXCEEDS \$10,000:

FAR 52.222-40 NOTIFICATION OF EMPLOYEE RIGHTS UNDER THE NATIONAL LABOR RELATIONS ACT (DEC 2010)

FAR 52.223-18 ENCOURAGING CONTRACTOR POLICIES TO BAN TEXT MESSAGING WHILE DRIVING (AUG 2011)

FAR 52.225-1 BUY AMERICAN ACT-SUPPLIES (MAY 2014)

APPLICABLE IF THE SUBCONTRACT EXCEEDS \$15,000:

FAR 52.222-20 CONTRACTS FOR MATERIALS, SUPPLIES, ARTICLES, AND EQUIPMENT EXCEEDING \$15,000 (MAY 2014). Applies if the Subcontract is for the manufacture or furnishing of materials, supplies, articles, or equipment.

FAR 52.222-36 EQUAL OPPORTUNITY FOR WORKERS WITH DISABILITIES (JUL 2014)

APPLICABLE IF THE PO EXCEEDS \$35,000:

FAR 52.209-6 PROTECTING THE GOVERNMENT'S INTEREST WHEN SUBCONTRACTING WITH CONTRACTORS DEBARRED, SUSPENDED, OR PROPOSED FOR DEBARMENT (OCT 2015)

APPLICABLE IF THE SUBCONTRACT EXCEEDS \$100,000:

FAR 52.227-1 AUTHORIZATION AND CONSENT (DEC 2007)

DEAR 970.5227-5 NOTICE AND ASSISTANCE REGARDING PATENT AND COPYRIGHT INFRINGEMENT (AUG 2002)

APPLICABLE IF THE SUBCONTRACT EXCEEDS \$150,000:

FAR 52.203-7 ANTI-KICKBACK PROCEDURES (MAY 2014), 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). Applies if Subcontract (or to that portion of the Subcontract thereof) involves performance of acquisition functions closely associated with inherently governmental functions for, or on behalf, of a Federal agency or department, unless the Subcontract is with a self-employed individual and the self-employed individual will perform the acquisition functions entirely.

FAR 52.222-35 EQUAL OPPORTUNITY FOR VETERANS (OCT 2015)

FAR 52.222-37 EMPLOYMENT REPORTS ON VETERANS (FEB 2016)

APPLICABLE IF THE SUBCONTRACT EXCEEDS \$250,000:

- FAR 52.203-6 RESTRICTIONS ON SUBCONTRACTOR SALES TO THE GOVERNMENT (SEP 2006)
- FAR 52.203-17 CONTRACTOR EMPLOYEE WHISTLEBLOWER RIGHTS AND REQUIREMENTS TO INFORM EMPLOYEES OF WHISTLEBLOWER RIGHTS (APR 2014)
- FAR 52.244-5 COMPETITION IN SUBCONTRACTING (DEC 1996)

APPLICABLE IF THE SUBCONTRACT EXCEEDS \$500,000:

- DEAR 952.226-74 DISPLACED EMPLOYEE HIRING PREFERENCE (JUN 1997). Applies unless the Subcontract is for “commercial items” as defined by FAR 2.101.
- DEAR 970.5226-2 WORKFORCE RESTRUCTURING UNDER SECTION 3161 OF THE NATIONAL DEFENSE AUTHORIZATION ACT FOR FISCAL YEAR 1993 (DEC 2000)

APPLICABLE IF THE SUBCONTRACT EXCEEDS \$700,000

- FAR 52.219-9 SMALL BUSINESS SUBCONTRACTING PLAN (JAN 2017). Applies unless the Subcontractor is a small business or there are no subcontracting possibilities.
- FAR 52.219-16 LIQUIDATED DAMAGES – SUBCONTRACTING PLAN (JAN1999). Applies if FAR 52.219-9 applies.
- FAR 52.242-5 PAYMENTS TO SMALL BUSINESS SUBCONTRACTORS (JAN 2017) Applies unless the Subcontractor is a small business or there are not subcontracting possibilities.

APPLICABLE IF THE SUBCONTRACT EXCEEDS \$2,000,000:

- FAR 52.215-10 PRICE REDUCTION FOR DEFECTIVE COST OR PRICING DATA (AUG 2011)
- FAR 52.215-12 SUBCONTRACTOR COST OR PRICING DATA (OCT 2010)
- FAR 52.230-2 COST ACCOUNTING STANDARDS (OCT 2015), excluding Paragraph (b). Applies if the Subcontractor is not an Educational Institution and is subject to full CAS-coverage per 48 CFR Chapter 99, Subpart 9903.201-2 (FAR Appendix B).
- FAR 52.230-3 DISCLOSURE AND CONSISTENCY OF COST ACCOUNTING PRACTICES (OCT 2015). Applies if the Subcontractor is not an Educational Institution and is eligible for and elects to use modified CAS-coverage per 48 CFR Chapter 99, Subpart 9903.201-2 (FAR Appendix B).
- FAR 52.230-5 COST ACCOUNTING STANDARDS – EDUCATIONAL INSTITUTION (AUG 2016). Applies if the Subcontractor is an educational institution.
- FAR 52.230-6 ADMINISTRATION OF COST ACCOUNTING STANDARDS (JUN 2010). Applies if the Subcontractor is not an educational institution.

APPLICABLE IF THE SUBCONTRACT EXCEEDS \$5,500,000:

- FAR 52.203-13 CONTRACTOR CODE OF BUSINESS ETHICS AND CONDUCT (OCT 2015), if the period of performance exceeds 120 calendar days.

APPLICABLE IF THE SUBCONTRACT INVOLVES CLASSIFIED INFORMATION OR UNESCORTED ACCESS TO "LIMITED" SECURITY AREAS:

- DEAR 952.204-2 SECURITY (MAR 2011)
- DEAR 952.204-70 CLASSIFICATION / DECLASSIFICATION (SEP 1997)
- DEAR 952.204-73 FACILITY CLEARANCE (MAR 2011)
- DEAR 970.5223-4 WORKPLACE SUBSTANCE ABUSE PROGRAMS AT DOE SITES (DEC 2010).

APPLICABLE IF THE SUBCONTRACT INDICATES IT IS FOR RESEARCH, DEVELOPMENT, OR DEMONSTRATION (RD&D) WORK OR DESIGN WORK INVOLVING NON-STANDARD TYPES OF CONSTRUCTION:

- DEAR 970.5227-4 AUTHORIZATION AND CONSENT (AUG 2002) Paragraph (a) in place of Clause FAR 52.227-1. Applies if the Subcontract exceeds \$100,000.
- FAR 52.227-10 FILING OF PATENT APPLICATIONS-CLASSIFIED SUBJECT MATTER (DEC 2007). Applies if the Subcontract involves classified information.
- DEAR 952.227-11 PATENT RIGHTS - RETENTION BY THE CONTRACTOR (SHORT FORM) (FEB 1995). Applies if the Subcontractor is a domestic small business or non-profit organization, as defined at FAR 27.301.
- DEAR 952.227-13 PATENT RIGHTS - ACQUISITION BY THE GOVERNMENT) (SEP 1997). Applies if the Subcontractor is not a domestic small business or non-profit organization, as defined at FAR 27.301.

FAR 52.227-16	ADDITIONAL DATA REQUIREMENTS (JUN 1987)
DEAR 952.235-71	RESEARCH MISCONDUCT (JUL 2005)
FAR 52.246-8	INSPECTION OF RESEARCH AND DEVELOPMENT - COST REIMBURSEMENT (MAY 2001), in place of FAR 52.246-5.

CLAUSE 18- LIMITED RIGHTS DATA DISCLOSURE RESTRICTIONS

Generally, delivery of Limited Rights Data or Restricted Computer Software, as defined in FAR 52.227-14 (a), should not be necessary. If any Limited Rights Data will be furnished or delivered by the Subcontractor or a lower-tier subcontractor pursuant to paragraph (g) of the FAR 52.227-14 *RIGHTS IN DATA – GENERAL* clause of these GENERAL PROVISIONS, LLNS may disclose the data for the following purposes, which disclosure purposes shall be inserted in the Limited Rights Notice to be affixed to the data:

- A. This "Limited Rights Data" may be disclosed for evaluation purposes under the restriction that the "Limited Rights Data" be retained in confidence and not be further disclosed;
- B. This "Limited Rights Data" may be disclosed to other contractors participating in the Government's program of which this Subcontract is a part for information or use in connection with the work performed under their contracts and under the restriction that the "Limited Rights Data" be retained in confidence and not be further disclosed; and
- C. This "Limited Rights Data" may be used by the Government or others on its behalf for emergency repair or overhaul work under the restriction that the "Limited Rights Data" be retained in confidence and not be further disclosed.

CLAUSE 19- RETENTION OF RECORDS

All records in the possession of the Subcontractor related to this Subcontract, including all financial and cost reports, books of account and supporting documents, system files, data bases, and other data evidencing costs allowable, collections accruing to the Subcontractor in connection with the work under this Subcontract, other applicable credits, and fee accruals under this Subcontract, shall be preserved by the Subcontractor for a period of six years after final payment under this Subcontract or otherwise disposed of in such manner as may be agreed upon by LLNS and the Subcontractor.

CLAUSE 20- LAWS AND REGULATIONS

The Subcontractor shall perform all work and provide all goods in accordance with all applicable laws, rules, regulations, and executive orders, including, but not limited to, those relating to wages, hours, employment discrimination, immigration, safety (including those pertaining to worker safety and health), export control, and environmental protection. The Subcontractor shall ensure the provisions of this clause apply to its subcontractors.

CLAUSE 21 - POST-EMPLOYMENT RESTRICTIONS

The Subcontractor shall not use employees, consultants or other agents who are subject to any post-employment or other restrictions (i.e. former federal or state government employee) that would place either them personally, the Subcontractor, or LLNS in violation, or possible violation, of such restrictions while performing his or her duties on behalf of LLNS under this Subcontract. If the Subcontractor becomes aware of any such violation, or possible violation, it shall immediately remove that individual from performing his/her assigned duties on behalf of LLNS, inform the LLNS Contract Analyst of all relevant and material facts regarding the situation, and propose alternate personnel who are equally qualified to perform the work in question. If no replacement personnel are available or qualified to perform the work in question, LLNS may terminate this Subcontract, as otherwise provided.

CLAUSE 22- REPORTING FRAUD, WASTE, ABUSE AND OTHER SIGNIFICANT PROBLEMS

A. This Subcontract shall be subject to the Department of Energy Orders DOE O 221.1A, *Reporting Fraud, Waste and Abuse to the Office of Inspector General* and DOE O 221.2A, *Cooperation with the Office of Inspector General*. The Subcontractor shall encourage, support and require its employees to report any fraud, waste and abuse to an appropriate authority such as the DOE Office of the Inspector General. The Subcontractor shall require its employees to provide interviews and briefings and provide affidavits or sworn statements if required by an employee of the Office of Inspector General. The Subcontractor shall not retaliate against such employees.

B. In accordance with DOE Order 442.1B, the Subcontractor shall also notify its employees that they have the right and responsibility to raise any employee concern related, but not limited to, the environment, safety, health, security, quality, and management of DOE facilities and operations, as well as harassment, intimidation, retaliation/reprisal, or discrimination, to the LLNS Employee Concerns Program (<https://llnl.alertline.com/gcs/welcome>) or the Department of Energy Employee Concerns Program (<https://www.energy.gov/ehss/services/doe-employee-concerns-program>).

CLAUSE 23- GOVERNING LAW AND VENUE

The Subcontract shall be interpreted in accordance with the substantive and procedural laws of the State of California, except for the FAR and DEAR clauses incorporated by reference which shall be interpreted in accordance with the substantive law of federal government contracts. Any action at law or judicial proceeding arising from or in connection with the Purchase Order

shall be brought exclusively in the state or federal courts serving Alameda County, California or, if the underlying dispute arises from activity occurring at LLNL's Site 330, San Joaquin County, California.

(END OF GENERAL PROVISIONS)