AMENDMENT OF SOLICITATION/MODIFICATION OF CONTRACT

1. CONTRACT ID CODE	PAGE 1 OF 2 PAGES

2. AMENDMENT/MODIFICATION NO.	3. EFFECTIVE DATE	4. REQUISITION/PURCHASE REQ. NO.	5. PROJECT NO. *(If applicable)*
0629	See Block 16C		

6. ISSUED BY CODE
U.S. Department of Energy
National Nuclear Security Administration
Sandia Field Office
P.O. Box 5400, MS 0184
Albuquerque, NM 87185-5400

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

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

Sandia Corporation
P. O. Box 5800
Albuquerque, NM 87185

CODE FACILITY CODE

9A. AMENDMENT OF SOLICITATION NO.

9B. DATED *(SEE ITEM 11)*

10A. MODIFICATION OF CONTRACT/ORDER NO.
DE-AC04-94AL85000

10B. DATED *(SEE ITEM 13)*
October 1, 1993

11. THIS ITEM ONLY APPLIES TO AMENDMENTS OF SOLICITATIONS

☐ The above numbered solicitation is amended as set forth in Item 14. The hour and date specified for receipt of Offers ☐ is extended, ☐ is not extended.

Offers must acknowledge receipt of this amendment prior to the hour and date specified in the solicitation as amended, by one of the following methods:

(a) By completing Items 8 and 15, and returning _____ copies of the amendment; (b) By acknowledging receipt of this amendment on each copy of the offer submitted;

or (c) By separate letter or telegram which includes a reference to the solicitation and amendment numbers. FAILURE OF YOUR ACKNOWLEDGMENT TO BE RECEIVED AT THE PLACE DESIGNATED FOR THE RECEIPT OF OFFERS PRIOR TO THE HOUR AND DATE SPECIFIED MAY RESULT IN REJECTION OF YOUR OFFER. If by virtue of this amendment you desire to change an offer already submitted, such change may be made by telegram or letter, provided each telegram or letter makes reference to the solicitation and this amendment, and is received prior to the opening hour and date specified.

12. ACCOUNTING AND APPROPRIATION DATA *(If required)*

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

CHECK ONE	
	A. THIS CHANGE ORDER IS ISSUED PURSUANT TO *(Specify authority)*: THE CHANGES SET FORTH IN ITEM 14 ARE MADE IN THE CONTRACT ORDER NO. IN ITEM 10A.
	B. THE ABOVE-NUMBERED CONTRACT/ORDER IS MODIFIED TO REFLECT THE ADMINISTRATIVE CHANGES *(Such as changes in paying office, appropriation date, etc.)* SET FORTH IN ITEM 14, PURSUANT TO THE AUTHORITY OF FAR 43.103(b).
X	C. THIS SUPPLEMENTAL AGREEMENT IS ENTERED INTO PURSUANT TO AUTHORITY OF: DOE Organization Act, 42 USC §7101 et seq.; NNSA Act, 50 USC § 2401 et seq.; and Clause I-72, DEAR 970.5204-2 Laws, Regulations and DOE Directives (Dec 2000) (Deviation) and mutual agreement of the parties
	D. OTHER *(Specify type of modification and authority)*:

E. IMPORTANT: Contractor ☐ is not, ☒ is required to sign this document and return 2 copies to the issuing office.

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

The purpose of this modification is to replace Section J, Appendix G, *List of Applicable Directives and NNSA Policy Letters*. See continuation pages for changes.

15A. NAME AND TITLE OF SIGNER *(Type or print)*	16A. NAME AND TITLE OF CONTRACTING OFFICER *(Type or print)*,
Douglas E. Otts, Manager **Prime Contract, Sandia Corporation**	**Corinne Sisneros, Contracting Officer** **Sandia Field Office, NNSA**
15B. CONTRACTOR/OFFEROR [redacted] BY _____ *(Signature of person authorized to sign)*	15C. DATE SIGNED 11/14/16
16B. UNITED STATES OF AMERICA [redacted] BY _____	16C. DATE SIGNED 11/15/16

The purpose of this modification is to replace Section J, Appendix G, *List of Applicable Directives and NNSA Policy Letters* as shown below.

1) Section J – Appendix G, List of Applicable Directives and NNSA Policy Letters

Section J – Appendix G, *List of Applicable Directives and NNSA Policy Letters,* is hereby revised and superseded in its entirety with Attachment 1 to this modification.

- - - End of contract modification - - -

Part III - Section J
Appendix G
List of Applicable Directives and NNSA Policy Letters

In addition to the list of applicable directives referenced below, the contractor shall also comply with supplementary directives (e.g., manuals), which are invoked by a Contractor Requirements Document (CRD) attached to a directive referenced below. This List excludes directives that have been granted an exemption from the CRD in whole or in part. For those Directives whereby the Contractor has been granted an exemption from the CRD, the Contractor shall comply only with the Operating Requirements identified in Appendix G-1. Directives identified in Appendix G-1 are for reference purposes only.

DIRECTIVE NUMBER	DATE	DOE DIRECTIVE TITLE
APPH Chapter X Revision 10	9/08/98	Accounting Practices & Procedures Handbook (APPH) Chapter X - Product Cost Accounting
DOE O 130.1	9/29/95	Budget Formulations Process
DOE M 140.1-1B	3/30/01	Interface with the Defense Nuclear Facilities Safety Board
DOE O 142.2A, Admin Chg 1 dated 6/27/13	12/15/06	Voluntary Offer Safeguards Agreement and Additional Protocol with the International Atomic Energy Agency
DOE M 142.2-1, Admin Chg 1 dated 6/27/13	9/04/08	Manual for the Implementation of the Voluntary Offer Safeguards Agreement and Additional Protocol with the International Atomic Energy Agency
DOE O 142.3A	10/14/10	Unclassified Foreign Visits and Assignments Program
DOE O 144.1, Chg 1 dated 11/6/09	1/16/09	Department of Energy American Indian Tribal Government Interactions and Policy
DOE O 150.1A	3/31/14	Continuity Programs
DOE O 151.1C	11/02/05	Comprehensive Emergency Management System
DOE O 153.1	6/27/07	Departmental Radiological Emergency Response Assets
DOE O 205.1B, Admin Chg 3 dated 4/29/14	5/16/11	Department of Energy Cyber Security Program[1]
DOE M 205.1-3, Admin Chg 1 dated 12/20/12	4/17/06	Telecommunications Security Manual[2]
DOE O 206.1	1/16/09	Department of Energy Privacy Program
DOE O 206.2	2/19/13	Identify, Credential, and Access Management (ICAM)
DOE O 210.2A	4/08/11	DOE Corporate Operating Experience Program
DOE O 221.1A	4/19/08	Reporting Fraud, Waste, and Abuse to the Office of Inspector General
DOE O 221.2A	2/25/08	Cooperation With The Office of Inspector General
DOE O 225.1B	3/04/11	Accident Investigations
DOE O 226.1B	4/25/11	Implementation of Department of Energy Oversight Policy
NNSA SD 226.1B	8/12/16	NNSA Site Governance
DOE O 227.1A	8/30/11	Independent Oversight Program
DOE O 231.1B, Admin Chg 1 dated 11/28/12	6/27/11	Environment, Safety and Health Reporting
DOE O 232.2, Admin Chg 1 dated 3/12/14	8/30/11	Occurrence Reporting and Processing of Operations Information

[1] Sandia will evaluate NNSA RMIP releases to ensure that the requirements of CNSSP-300 are adequately implemented.

[2] Refer to memorandum from NNSA/HQ/NA-IM-10, Subject: *Cable-confined Testing and Transmitter Review Forms (TRF)*, dated 4/25/12, for clarification to TRF completion requirements.

DIRECTIVE NUMBER	DATE	DOE DIRECTIVE TITLE
DOE O 241.1C, dated 4/26/16	12/13/10	Scientific and Technical Information Management
DOE O 243.1B, Admin Chg 1 dated 7/8/13	3/11/13	Records Management Program
DOE O 252.1A, Admin Chg 1 dated 3/12/13	2/23/11	Technical Standards Program
DOE O 313.1	11/19/09	Management and Funding of the Department's Overseas Presence
DOE O 350.1, Chg 3 dated 2/23/10	9/30/96	Contractor Human Resource Management Programs[3]
NA SD 350.2 Rev. 1, dated 10/18/2012	11/16/11	Use of Management and Operating Contractor Employees for Services to NNSA in the Washington, D.C., Area
DOE O 350.2B	05/31/11	Use of Management and Operating or Other Facility Management Contractor Employees for Services to DOE in the Washington, D.C., Area
DOE O 410.2, Admin Chg 1 dated 4/10/14	8/17/09	Management of Nuclear Materials
DOE O 412.1A, Admin Chg 1 dated 5/21/14	4/21/05	Work Authorization System
DOE O 413.1B	10/28/08	Internal Control Program
DOE O 413.2B, Admin Chg 1 dated 1/31/11	4/19/06	Laboratory Directed Research & Development
DOE O 413.3B	11/29/10	Program and Project Management for the Acquisition of Capital Assets[4]
DOE O 414.1D, Admin Chg 1 dated 5/8/13	4/25/11	Quality Assurance
DOE O 415.1, Admin Chg 1 dated 1/16/13	12/3/12	Information Technology Project Management
NA SD 415.1	9/3/2014	Project Oversight for Information Technology
DOE O 420.1C, Chg 1 dated 2/27/15	12/22/05	Facility Safety[5]
DOE O 420.2C	7/21/11	Safety of Accelerator Facilities
DOE O 422.1, Admin Chg 2 dated 12/03/14	6/29/10	Conduct of Operations
DOE O 425.1D, Admin Chg 1 dated 4/2/13	4/16/10	Verification of Readiness to Start Up or Restart Nuclear Facilities
DOE O 426.2, Admin Chg 1 dated 7/29/13	4/21/10	Personnel Selection, Training, Qualification, and Certification Requirements for DOE Nuclear Facilities

[3] (a) For purposes of Chapter VI-5, paragraph 1, Basic Requirements, subparagraph (d), effective January 22, 2013, the Contractor shall perform an annual limited scope-audit of the Contractor pension plan except that a full-scope audit shall be performed once every three years.

(b) Excludes Chapters VIII Contractor Workplace Substance Abuse Programs and IX Employee Assistance Programs due to exemption granted on December 9, 2010, by the NNSA Administrator.

(c) For purposes of Attachment 1 (Page V-8), Employee Benefits, Benefit Program Approval b. (2) (d), total benefit payments from all sources shall not exceed 80% of the employee's gross pay for the period such compensation is payable.

[4] The annual Value Engineering accomplishment progress report required by paragraph c.9 of the CRD shall be submitted to OECM through the SFO.

[5] Implementation will be conducted in phases. Implementation recommendations will be presented to the JORRB if revisions are necessary.

DIRECTIVE NUMBER	DATE	DOE DIRECTIVE TITLE
DOE O 430.1B, Chg. 2 dated 04/25/11	9/24/03	Real Property and Asset Management
DOE O 433.1B, Admin Chg 1 dated 3/12/13	4/21/10	Maintenance Management Program for DOE Nuclear Facilities
DOE N 435.1	8/09/11	Contact-Handled and Remote-Handled Transuranic Waste Packaging
DOE O 435.1, Chg. 1 dated 8/28/01	7/09/99	Radioactive Waste Management
DOE O 440.2C, Chg. 1 dated 6/15/11	11/27/02	Aviation Management and Safety
DOE M 441.1-1 Chg 1, dated 2/24/16	3/07/08	Nuclear Material Packaging Manual[6]
DOE O 442.2	7/29/11	Differing Professional Opinions for Technical Issues Involving Environment, Safety, and Health
DOE O 443.1B Chg 1 (Page Change), dated 4/21/16	3/17/11	Protection of Human Research Subjects
DOE N 443.1	1/21/2016	Protection of Human Research Subjects in Classified Research
DOE O 452.1E	1/26/15	Nuclear Explosive and Weapon Surety Program[7]
DOE O 452.2E	1/26/15	Nuclear Explosive Safety
NA SD 452.2	11/17/14	Nuclear Explosive Safety Evaluation Process
DOE O 452.3	6/08/05	Management of the Department of Energy Nuclear Weapons Complex
NNSA SD 452.3-1A	2/25/16	Defense Programs Business Process System[8]
DOE O 452.4C, dated 8/28/15	1/22/10	Security and Use Control of Nuclear Explosives and Nuclear Weapons[9]
DOE O 452.6A	4/14/09	Nuclear Weapon Surety Interface with the Department of Defense
DOE O 452.7	5/14/10	Protection of Use Control Vulnerabilities and Designs
DOE O 452.8	7/21/11	Control of Nuclear Weapons Data
DOE O 456.1A, dated 7/15/16	5/31/11	The Safe Handling of Unbound Engineered Nanoparticles
DOE O 457.1A	8/26/13	Nuclear Counterterrorism
DOE O 458.1, Admin Chg 3 dated 1/15/13	2/11/11	Radiation Protection of the Public and the Environment
DOE O 460.1C	5/14/10	Packaging and Transportation Safety
DOE O 460.2A	12/22/04	Departmental Materials Transportation & Packaging Management
DOE M 460.2-1A	6/04/08	Radioactive Material Transportation Practices
DOE O 461.1C, dated 7/20/16	12/16/10	Packaging and Transportation for Offsite Shipment of Materials of National Security Interest
DOE O 461.2	11/01/10	Onsite Packaging and Transfer of Materials of National Security Interest

[6] Sandia has repackaged all nuclear materials that were previously subject to DOE M 441.1-1 as agreed with SFO. If new nuclear materials are acquired in the future that require packaging in accordance with DOE M 441.1-1, Sandia will select packaging designs approved by SFO and reviewed by the NNSA/Albuquerque Complex Packaging Certification Division prior to use.

[7] Clarification to CRD, Item 7c: Concepts for features are to be developed for consideration.

[8] Changes will be processed as described in contract clause H-33(e). CRD Item 6 is achieved through the M&O Contractor Working Group.

[9] Full implementation in accordance with Implementation Plan for NAP-24A/NEA, dated 8/25/16.

DIRECTIVE NUMBER	DATE	DOE DIRECTIVE TITLE
DOE O 462.1, Admin Chg 1 dated 7/10/13	11/10/08	Import and Export of Category 1 and 2 Radioactive Sources and Aggregated Quantities
DOE O 470.3B	8/12/08	Graded Security Protection (GSP) Policy
DOE O 470.4B, Admin Chg 1 dated 2/15/13	7/21/11	Safeguards and Security Program[10]
DOE M 470.4-4A	1/16/09	Information Security Manual[11]
DOE O 471.1B	3/01/10	Identification and Protection of Unclassified Controlled Nuclear Information
DOE O 471.3, Admin Chg 1 dated 1/13/11	4/09/03	Identifying and Protecting Official Use Only Information
DOE M 471.3-1, Admin Chg 1 dated 1/13/11	4/09/03	Manual for Identifying and Protecting Official Use Only Information
DOE O 471.5	3/29/11	Special Access Program
DOE O 471.6, Admin Chg 2 dated 5/15/15	6/20/11	Information Security[12]
DOE O 472.2, Chg 1 dated 7/9/14	7/21/11	Personnel Security
DOE O 473.3A	3/23/2016	Protection Program Operations[13]
NNSA SD 473.3	9/10/2014	Enterprise Mission Essential Task List-Based Protective Force Training Program
DOE O 474.2, Chg 4 (Pg Chg) dated 9/13/16	6/27/11	Nuclear Material Control and Accountability
DOE O 475.1	12/10/04	Counterintelligence Program
DOE O 475.2B	10/3/14	Identifying Classified Information[14]
DOE O 483.1A	11/06/13	DOE Cooperative Research and Development Agreements
DOE O 534.1B	1/06/03	Accounting
DOE O 551.1D, Chg 2 dated 8/9/16	4/02/12	Official Foreign Travel
DOE O 580.1, Chg 1 dated 5/08/08	12/07/05	Department of Energy Personal Property Management Program
DOE 5480.30, Chg 1 dated 3/14/01	1/19/93	Nuclear Reactor Safety Design Criteria
DOE O 5639.8A	7/23/93	Security of Foreign Intelligence Information and Sensitive Compartmented Information Facilities

[10] Sandia shall provide SFO with the required documentation (DD254 or DOE F 470.1) for *new* classified SPP activity and shall provide notification as required to update the form through the lifecycle of the activity. This does not include those SPP activities excluded by policy.

[11] DOE O 471.6, Admin Chg 1, dated 06/20/2011, replaced DOE M 470.4-4A, except Section D and the classified Technical Surveillance Countermeasures Annex.

[12] Implementation of the "*marking of documents in electronic environment requirements*" listed in the CRD will be achieved in accordance with an approved implementation plan.

[13] Full implementation in accordance with the approved Implementation Plan, dated 10/3/16.

[14] Based on the February 4, 2015, JORRB, implementation of the requirements in the CRD will be achieved in accordance with an approved implementation plan. In accordance with NNSA guidance, Sandia will implement classified email "marking" by 9/30/2016. The broader issue of marking all documents in the electronic environment will be implemented upon approval of the implementation plan for DOE O 471.6 Admin Chg 2.

DIRECTIVE NUMBER	DATE	DOE DIRECTIVE TITLE
SD 56XB, Rev. 2	5/10/04 (Release Date)	Nuclear Weapon Development and Production[15]
NAP 14.1-D	12/14/12	Baseline Cyber Security Program[16]
NAP 14.3-B	5/02/08	Transmission of Restricted Data Over Secret Internet Protocol Router Network (SIPRNet)
NAP 23, Admin Chg 1 dated 2/9/15	12/13/12	Atomic Energy Act Control of Import and Export Activities
NAP 24A, dated 11/24/15	6/20/13	Weapon Quality Policy[17]
QP 100-1	3/1/13	Quality Requirements to UK and US Procurement Contracts and Loan Authorizations for Research, Design, and Development

[15] Changes will be processed as described in contract clause H-33(e).

[16] Sandia Cyber Security Program Execution Guidance and Annual Operating Plan will be used in lieu of NAP 21 to define performance expectations for the cyber security program.

[17] Full implementation in accordance with Implementation Plan for NAP-24A/NEA, dated 8/25/16. The term "prevented" in Attachment 2 Section 3.6.e, 3.6.3aii, and Attachment 4 Section 1.0 is commensurate with DOE O 452.1E, Section 4.b.1.