## SUBCHAPTER I—AGENCY SUPPLEMENTARY REGULATIONS

- PART 970—DOE MANAGEMENT AND OPERATING CONTRACTS
- PARTS 971-999 [RESERVED]
- PART 970—DOE MANAGEMENT AND OPERATING CONTRACTS
  - Subpart 970.01—Management and Operating Contract Regulatory System
    - <u>970.0100 Scope of part.</u>
    - 970.0103 Publication and codification.
  - Subpart 970.03—Improper Business Practices and Personal Conflicts of Interest
    - 970.0309 Whistleblower Protection of Contractor Employees.
    - <u>970.0309-1 Applicability.</u>
    - <u>970.0370 Management Controls and Improvements.</u>
    - 970.0370-1 Policy.
    - 970.0370-2 Contract clause.
    - 970.0371 Conduct of employees of DOE management and operating contractors.
    - <u>970.0371-1 Scope of section.</u>
    - <u>970.0371-2</u> Applicability.
    - 970.0371-3 Definition.
    - 970.0371-4 Gratuities.
    - 970.0371-5 Use of privileged information.
    - 970.0371-6 Incompatibility between regular duties and private interests.
    - 970.0371-7 Outside employment of contractor employees.
    - 970.0371-8 Employee disclosure concerning other employment services.
    - 970.0371-9 Contract clause.
  - Subpart 970.04—Administrative Matters
    - 970.0404 Safeguarding classified information.
    - 970.0404-2 General.
    - 970.0404-3 Responsibilities of contracting officers.
    - 970.0407 Contractor records retention.
    - 970.0407-100 Applicability. 0
    - 970.0407-1-110 Alternate retention schedules.
    - 970.0407-120 Access to and ownership of records.
    - 970.0407-130 Contract clause.
    - <u>970.0470 Department of Energy Directives.</u>
    - <u>970.0470-1 General.</u>
    - 970.0470-2 Contract clause.
  - Subpart 970.08—Required sources of supplies and services
    - 970.0801 Excess personal property.
    - 970.0801-2 Policy.
    - 970.0808 Acquisition of printing and related supplies.
    - 970.0808-00 Scope.
    - 970.0808-2 Policy.
    - 970.0808-3 Contract clause.
  - Subpart 970.09—Contractor Qualifications
    - 970.0905 Organizational and consultant conflicts of interest.
    - 970.0970 Performance guarantees.

- 970.0970-1 Determination of responsibility.
- 970.0970-2 Solicitation provision.
- Subpart 970.11—Describing Agency Needs
  - 970.1100 Policy.
  - 970.1100-1 Performance-based contracting.
  - 970.1103-4 Contract clause.
  - 970.1170 Work authorization.
  - 970.1170-1 Policy.
  - <u>970.1170-2 Contract provision.</u>
- Subpart 970.15—Contracting by Negotiation
  - 970.1504 Contract pricing.
  - 970.1504-100 Price analysis.
  - 970.1504-101 Fees for management and operating contracts.
  - 970.1504-102 Fee policy.
  - <u>970.1504-103</u> Fee determination.
  - 970.1504-104 Calculating the maximum total available fee amount for a one-year period.
  - 970.1504-105 Fee base.
  - 970.1504-106 Fee schedules.
  - 970.1504-107 Classification factors.
  - 970.1504-108 Determining the appropriate percentage by considering the significant factors.
  - 970.1504-109 Adding the fee subtotals for a one-year period.
  - 970.1504-110 Allocating the maximum total available fee amount for a one-year period to one or more of the contract's evaluation periods.
  - 970.1504-111 The maximum total available fee amount for a contract.
  - 970.1504-200 Documentation.
  - <u>970.1504-201 Cost or pricing data.</u>
  - 970.1504-300 Solicitation provision and contract clauses.
  - 970.1504-400 Special cost or pricing areas.
- Subpart 970.17—Special Contracting Methods
  - <u>970.1706 Management and operating contracts.</u>
  - 970.1706-1 Award, renewal, and extension.
  - 970.1706-2 Contract clause.
  - 970.1707 Strategic Partnership Projects.
  - 970.1707-1 Scope.
  - <u>970.1707-2 Purpose.</u>
  - 970.1707-3 Terms governing Strategic Partnership Projects.
  - 970.1707-4 Contract clause.
  - 970.1708 Agreements for commercializing technology (ACT).
  - <u>970.1708-1 Scope.</u>
  - <u>970.1708-2 General.</u>
  - 970.1708-3 Contract clause.
- Subpart 970.19—Small Business Programs
  - 970.1907 The Small Business Subcontracting Program.
  - 970.1907-4 Subcontracting plan requirements.
  - 970.1907-8 Contract clauses.
- Subpart 970.22—Application of Labor Policies
  - <u>970.2200 Scope of subpart.</u>
  - 970.2201 Basic labor policies.
  - 970.2201-100 Labor relations.

- 970.2201-110 General.
- 970.2201-120 Policies.
- 970.2201-130 Contract clause.
- 970.2201-140 Wages, salaries, and employee benefits.
- <u>970.2201-200</u> Overtime management.
- <u>970.2201-210 Policy.</u>
- 970.2201-220 Contract clause.
- 970.2204 Labor standards for contracts involving construction.
- 970.2208 Equal employment opportunity.
- 970.2210 Service contract labor standards.
- 970.2270 Unemployment compensation.
- 970.2270-2 Contract clause.
- 970.23—Environment, Sustainable Acquisition, and Material Safety
  - 970.2301 Sustainable acquisition.
  - 970.2301-1 [Reserved]
  - 970.2301-2 Contract clauses.
  - 970.2303 Hazardous materials identification and material safety.
  - 970.2303-2 General.
  - 970.2303-3 Contract clauses.
- Subpart 970.25—Foreign Acquisition
  - 970.2570 Buy American Act.
  - 970.2570-1 Contract clause.
  - 970.2571 Export control.
  - 970.2571-1 Scope of subpart.
  - 970.2571-2 Policy.
  - 970.2571-3 Contract clause.
- Subpart 970.26—Other Socioeconomic Programs
  - 970.2605 Workplace substance abuse programs—management and operating contracts.
  - <u>970.2605-1 General.</u>
  - 970.2605-2 Applicability.
  - 970.2605-3 Definitions.
  - 970.2605-4 Solicitation provision and contract clause.
  - 970.2606 Suspension of payments, termination of contract, and debarment and suspension actions.
  - 970.2670 Implementation of Section 3021 of the Energy Policy Act of 1992.
  - 970.2670-1 Requirements.
  - 970.2671 Diversity.
  - <u>970.2671-1 Policy.</u>
  - 970.2671-2 Contract clause.
  - 970.2672 Implementation of Section 3161 of the National Defense Authorization Act for Fiscal Year 1993.
  - 970.2672-1 Policy.
  - 970.2672-2 Requirements.
  - 970.2672-3 Contract clause.
  - 970.2673 Regional partnerships.
  - 970.2673-1 Policy.
  - 970.2673-2 Contract clause.
- Subpart 970.27—Patents, Data, and Copyrights
  - 970.2701 General.
  - 970.2701-1 Applicability.

- 970.2702 Patent and copyrights.
- <u>970.2702-70 Solicitation provision and contract clauses.</u>
- 970.2703 Patent rights.
- 970.2703-1 Purposes of patent rights clauses.
- 970.2703-2 Patent rights clause provisions for management and operating contractors.
- <u>970.2704</u> Rights in data.
- 970.2704-1 General.
- 970.2704-2 Procedures.
- 970.2704-3 Contract clauses.
- 970.2770 Technology Transfer.
- <u>970.2770-1 General.</u>
- 970.2770-2 Policy.
- <u>970.2770-3 Technology transfer and patent rights.</u>
- 970.2770-4 Contract clause.
- Subpart 970.28—Bonds and Insurance
  - 970.2803 Insurance.
  - <u>970.2803-1 Workers' compensation insurance.</u>
  - 970.2803-2 Contract clause.
- Subpart 970.29—Taxes
  - 970.2902 Federal excise taxes.
  - 970.2902-3 Other Federal tax exemptions.
  - 970.2903 State and local taxes.
  - 970.2903-2 Application of State and local taxes to the Government.
  - 970.2904 Contract clauses.
  - <u>970.2904-1 Management and operating contracts.</u>
- Subpart 970.30—Cost Accounting Standards Administration
  - 970.3002 CAS program requirements.
  - 970.3002-1 CAS applicability.
- Subpart 970.31—Contract Cost Principles and Procedures
  - <u>970.3101-1 Scope of subpart.</u>
  - 970.3101-2 Applicability.
  - 970.3101-9 Advance agreements.
  - 970.3101-10 Indirect cost rate certification and penalties on unallowable costs.
  - 970.3102-370 Home office expenses.
  - 970.3102-500 Selected costs.
  - 970.3102-504 Bonding costs.
  - 970.3102-506 Compensation for personal services.
  - 970.3102-518 Independent research and development and bid and proposal costs.
  - 970.3102-519 Insurance and indemnification.
  - <u>970.3102-522 Lobbying and political activity costs.</u>
  - 970.3102-528 Other business expenses.
  - 970.3102-530 Patent costs.
  - <u>970.3102-0531 Patent costs and technology transfer costs.</u>
  - 970.3102-533 Professional and consultant service costs.
  - 970.3102-546 Travel costs.
  - 970.3102-547 Costs related to legal and other proceedings.
  - 970.3102-570 Preexisting conditions.
  - 970.3170 Contract clause.
- Subpart 970.32—Contract Financing
  - 970.3200 Policy.

- 970.3200-1 Reduction or suspension of advance, partial, or progress payments.
- 970.3200-11 Contract clause.
- 970.3204 Advance payments.
- <u>970.3204-1 Applicability.</u>
- 970.3270 Standard financial management clauses.
- Subpart 970.34—Major System Acquisition
  - 970.3405 General requirements.
  - 970.3405-2 Mission-oriented solicitation.
  - 970.35 Research and development contracting.
- Subpart 970.35—Research and Development Contracting
  - 970.3500 Scope of subpart.
  - 970.3501 Federally funded research and development centers.
  - 970.3501-1 Sponsoring agreements.
  - 970.3501-2 Using an FFRDC.
  - <u>970.3501-3 Reviewing FFRDC's.</u>
  - 970.3501-4 Contract clause.
- Subpart 970.36—Construction and Architect-Engineer Contracts
  - 970.3605 Contract clauses.
  - 970.3605-1 Other contracts.
  - 970.3605-2 Special construction clause for operating contracts.
- Subpart 970.37—Facilities Management Contracting
  - 970.3706 Performance-based acquisition.
  - <u>970.3706-1 General.</u>
  - 970.3770 Facilities management.
  - 970.3770-1 Policy.
  - 970.3770-2 [Reserved]
- Subpart 970.41—Acquisition of Utility Services
  - 970.4102 Acquiring utility services.
  - 970.4102-1 Policy.
- Subpart 970.42—Contract Administration
  - 970.4207-302 Certificate of costs.
  - <u>970.4207-370 Contract clause.</u>
  - 970.4207-501 Contracting officer determination procedure.
- Subpart 970.43—Contract Modifications
  - 970.4302 Changes.
  - 970.4302-1 Contract clause.
- Subpart 970.44—Management and Operating Contractor Purchasing
  - 970.4400 Scope.
  - 970.4401 Responsibilities.
  - 970.4401-1 General.
  - <u>970.4401-2 Review and approval.</u>
  - 970.4401-3 Advance notification.
  - <u>970.4402 Contractor purchasing system.</u>
  - 970.4402-1 Policy.
  - 970.4402-2 General requirements.
  - 970.4402-3 Purchasing from contractor-affiliated sources.
  - 970.4402-4 Nuclear material transfers.
  - 970.4403 Contract clause.
- Subpart 970.45—Government Property
  - 970.4501 General.
  - 970.4501-1 Applicability.

- 970.4501-2 Contract clause.
- Subpart 970.49—Termination of Contracts
  - 970.4905 Contract termination clause.
  - 970.4905-1 Termination for convenience of the government and default.
- Subpart 970.50—Extraordinary Contractual Actions and the Safety Act
  - 970.5001 Residual powers.
  - 970.5001-4 Contract clause.
  - 970.5070 Indemnification.
  - 970.5070-1 Scope and applicability.
  - 970.5070-2 General.
  - 970.5070-3 Contract clauses.
- Subpart 970.52—Solicitation Provisions and Contract Clauses for Management and Operating Contracts
  - <u>970.5200 Scope of subpart.</u>
  - 970.5201 Text of provisions and clauses.
  - 970.5203-1 Management controls.
  - <u>970.5203-2 Performance improvement and collaboration.</u>
  - 970.5203-3 Contractor's organization.
  - 970.5204-2 Laws, regulations, and DOE directives.
  - 970.5204-3 Access to and ownership of records.
  - 970.5208-1 Printing.
  - 970.5209-1 Requirement for guarantee of performance.
  - 970.5211-1 Work authorization.
  - 970.5215-1 Total available fee: Base fee amount and performance fee amount.
  - 970.5215-2 [Reserved]
  - 970.5215-3 Conditional payment of fee, profit, and other incentives—facility management contracts
  - 970.5215-5 Limitation on fee.
  - <u>970.5217-1 Strategic partnership projects program.</u>
  - 970.5217-2 Agreements for commercializing technology.
  - 970.5219 Small business subcontracting plan.
  - 970.5222-1 Collective Bargaining Agreements Management and Operating Contracts.
  - 970.5222-2 Overtime management.
  - <u>970.5222-4 Unemployment compensation.</u>
  - 970.5223-1 Integration of environment, safety, and health into work planning and execution.
  - 970.5225-1 Compliance with export control laws and regulations (Export Clause).
  - <u>970.5226-1 Diversity plan.</u>
  - 970.5226-2 Workforce restructuring under section 3161 of the National Defense Authorization Act for fiscal year 1993.
  - 970.5226-3 Community commitment.
  - 970.5226-4 Agreement regarding Workplace Substance Abuse Programs at DOE sites.
  - 970.5226-5 Workplace Substance Abuse Programs at DOE Sites.
  - 970.5227-1 Rights in data-facilities.
  - 970.5227-2 Rights in data-technology transfer.
  - <u>970.5227-3 Technology transfer mission.</u>
  - 970.5227-4 Authorization and consent.
  - 970.5227-5 Notice and assistance regarding patent and copyright infringement.
  - 970.5227-6 Patent indemnity—subcontracts.

- 970.5227-7 Royalty information.
- 970.5227-8 Refund of royalties.
- 970.5227-9 Notice of right to request patent waiver.
- 970.5227-10 Patent rights—management and operating contracts, nonprofit organization or small business firm contractor.
- 970.5227-11 Patent rights—management and operating contracts, for-profit contractor, non-technology transfer.
- 970.5227-12 Patent rights—management and operating contracts, for-profit contractor, patent waiver.
- 970.5228-1 Insurance—litigation and claims.
- <u>970.5229-1 State and local taxes.</u>
- 970.5231-4 Preexisting conditions.
- 970.5232-1 Reduction or suspension of advance, partial, or progress payments upon finding of substantial evidence of fraud.
- 970.5232-2 Payments and advances.
- 970.5232-3 Accounts, records, and inspection.
- <u>970.5232-4 Obligation of funds.</u>
- 970.5232-5 Liability with respect to cost accounting standards.
- 970.5232-6 Strategic partnership project funding authorization.
- 970.5232-7 Financial management system.
- 970.5232-8 Integrated accounting.
- 970.5235-1 Federally funded research and development center sponsoring agreement.
- 970.5236-1 Government facility subcontract approval.
- 970.5237-2 [Reserved]
- 970.5242-1 Penalties for unallowable costs.
- 970.5243-1 Changes.
- 970.5244-1 Contractor purchasing system.
- <u>970.5245-1 Property.</u>
- PARTS 971-999 [RESERVED]