(i) PIC 06-01 is considered to be issued as operational guidance.

(ii) The Contractor shall, within 30 days from the effective date of this modification, submit to the Contracting Officer for review:

(a) an implementation plan detailing how the PIC, PIV credentialing, and NASA badge issuance will be implemented by the Contractor. The plan shall be updated when major changes to the plan have occurred.

(b) an updated cost proposal for implementing the PIC, PIV credentialing, and NASA badge issuance by the Contractor. The cost proposal shall be consistent with Contractor defined responsibilities and Agency procedures.

(iii) The Government will provide as Government Furnished Property or Services:

(a) four (4) operational badge issuing systems (including software) by May 15, 2007, and

(b) printed PIV-II credentials on an on-going basis commencing May 22, 2007, and

(c) Access to the Office of Personnel Management's Electronic Questionnaires for Investigations Processing (e-QIP) system for background investigation commencing April 11, 2007, and

(d) suitability determinations and adjudication as may be required (e.g. Homeland Security Presidential Directive - 12, Office of Management and Budget guidance M-05-24, or Federal Information Processing Standards Publication Number 201).

(iv) The Contractor shall charge the associated costs to an appropriate burden account.

(v) The written procedure identified in paragraph (a) above shall be consistent with NASA procedures and detail the Contractor defined roles, responsibilities, and process for issuing Continued ...
PIV Credentials and NASA badges for the Contractor's employees, subcontractor personnel, and affiliates. The Contractor shall perform the roles and responsibilities which are not inherently governmental (e.g., Sponsor; Enrollment Officer; Issuer). Further, the Contractor shall update its written procedure as may be necessary to remain consistent with Agency procedures. The Contractor shall submit the updated written procedures to the Contracting Officer for review.

(vi) The Contractor shall, following the review by the Contracting Officer, implement its written procedures on an ongoing basis; provided, however, the Contractor shall implement its written procedures to ensure PIV Credentials and NASA badges are issued for current employees, subcontractor personnel, and affiliates by October 27, 2007.

End of Modification No. 45.
AMENDMENT OF SOLICITATION/MODIFICATION OF CONTRACT

2. AMENDMENT/MODIFICATION NO. 39

3. EFFECTIVE DATE 01/29/2007

4. REQUISITION/PURCHASE REQ. NO. N/A

5. PROJECT NO. (if applicable) N/A

6. ISSUED BY NASA/Management Office

CODE NMO

6. NAME AND ADDRESS OF CONTRACTOR (Use, street, county, State and ZIP Code)

CALIFORNIA INSTITUTE OF TECHNOLOGY

Attn: NONE SPECIFIED

1201 EAST CALIFORNIA BLVD.

PASADENA CA 91125

7. ADMINISTERED BY (if other than Item 6) NASA/Management Office

CODE NMO

8. AMENDMENT OF SOLICITATION NO. N/A


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 the amendment prior to the hour and date specified in the solicitation or as amended, by one of the following methods: (a) By completing Items 3 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 ACKNOWLEDGEMENT 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) N/A

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

☐ 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 data, etc.) SET FORTH IN ITEM 14, PURSUANT TO THE AUTHORITY OF FAR 43.103(b).

☐ C. THIS SUPPLEMENTAL AGREEMENT IS ENTERED INTO PURSUANT TO AUTHORITY OF:

☐ D. OTHER (Specify type of modification and authority)

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

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

Authority: Contract Clause G-14(d), NASA Issuance Systems and Government Policies, and FAR Clause 52.243-2, Changes - Cost Reimbursement Alternative IV/V.

In conjunction with Homeland Security Presidential Directive (HSPD) 12, and FAR Clause 52.204-9, Personal Identity Verification of Contractor Personnel, the Contractor is hereby directed to comply with the attached Personal Identity Verification (PIV) Card Issuance Procedures referenced under NASA Procurement Information Circular 06-01, dated January 18, 2006.

End of Modification

Except as provided herein, all terms and conditions of the document referenced in Item 9A or 10A, as hereinafter changed, remains unchanged and in full force and effect.

15A. NAME AND TITLE OF SIGNER (Type or print)

Robert Democh

15C. DATE SIGNED 01/29/2007

16A. NAME AND TITLE OF CONTRACTING OFFICER (Type or print)

Robert Democh

16C. DATE SIGNED

(STANDARD FORM 30 (REV. 10-03)

Prescribed by GSA

FAR (48 CFR) 52.243

NSN 7540-01-152-8070

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Jet Propulsion Laboratory
California Institute of Technology
ATTN: 180-503/Mr. Raymon Lemus; Manager, Contract Administration Office
4800 Oak Grove Drive
Pasadena, CA 91109

5. Payment Office
National Aeronautics and Space Administration
Goddard Space Flight Center
ATTN: Mail Code 159/Headquarters Accounting Branch
Building 18, Room 280
Greenbelt, MD 20771-0001

Program/Sponsor's Office(s)

2. National Aeronautics and Space Administration
ATTN: SP/Administration and Resources Management Division
Washington, DC 20546

2. National Aeronautics and Space Administration
ATTN: Diane Frazier
HS/Program Operations Division
Washington, DC 20546

2. National Aeronautics and Space Administration
ATTN: M-3/Deputy Associate Director (Telecommunications)
Washington, DC 20546

1. Audit
Defense Contract Audit Agency
Jet Propulsion Laboratory
ATTN: 114-129A/Dennis Umade, Supervisory Auditor
4800 Oak Grove Drive
Pasadena, CA 91109

Other —

1. O/Associate Administrator for Safety and Mission Assurance
1. S/Associate Administrator for Space Science
1. Y/Associate Administrator for Earth Science

1. Ms. L. M. Casarez NMO-JPL (180-802S)
1. Mr. A. A. Castillo NMO-JPL (180-802H)
1. Ms. A. Chapman NMO-JPL (180-802R)
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1. Ms. T. Mousse NMO-JPL (180-802D)
1. Mr. G. Romero NMO-JPL (180-802E)
1. Mr. J. McElvaine NMO-JPL (180-802G)
1. Mr. T. Servilla NMO-JPL (180-802J)
1. Dr. E. Trinh NMO-JPL (180-801D)
1. Ms. R. Wilkinson NMO-JPL (180-802Q)
1. Ms. C. Williams NMO-JPL (180-802L)
PIV Card Issuance Procedures in accordance with FAR clause 52.204-9, Personal Identity Verification of Contractor Personnel

FIPS 201 Appendix A graphically displays the following procedure for the issuance of a PIV credential:

![PIV Identity Verification and Issuance Diagram](image)

*Figure A-1, FIPS 201, Appendix A*

The following steps describe the procedures for the NASA Personal Identity Verification Card Issuance (PCI) of a PIV credential:

**Step 1:**
The Contractor’s Corporate Security Officer (CSO), Program Manager (PM), or Facility Security Officer (FSO) submits a formal letter that provides a list of contract employees (applicant) names requesting access to the NASA Contracting Officer’s Technical Representative (COTR). In the case of a foreign national applicant, approval through the NASA Foreign National Management System (NFNMS) must be obtained for the visit or assignment before any processing for a PIV credential can take place. Further, if the foreign national is not under a contract where a COTR has been officially designated, the foreign national will provide the information directly to their visit/assignment host, and the host sponsor will fulfill the duties of the COTR mentioned herein. In each case, the letter shall provide notification of the contract or foreign national employee’s (hereafter the “applicant”) full name (first, middle and last), social security number (SSN) or NASA Foreign National Management System Visitor Number if the foreign national does not have a SSN, and date of birth. If the contract employee has a current satisfactorily completed...
National Agency Check with Inquiries (NACI) or an equivalent or higher degree of background investigation, the letter shall indicate the type of investigation, the agency completing the investigation, and date the investigation was completed. Also, the letter must specify the risk/sensitivity level associated with the position in which each applicant will be working (NPR 1600.1, §4.5 is germane). Further, the letter shall also acknowledge that contract employees may be denied access to NASA information or information systems based on an unsatisfactory background investigation/adjudication.

After reviewing the letter for completeness and concurring with the risk/sensitivity levels, the COTR/host must forward the letter to the Center Chief of Security (CCS). The CCS shall review the OPM databases (e.g., DCII, PIP, et al.), and take appropriate steps to validate the applicant’s investigation status. Requirements for a NACI or other investigation shall be initiated only if necessary.

Applicants who do not currently possess the required level of background investigation shall be directed to the e-QIP web site to complete the necessary background investigation forms online. The CCS shall provide the COTR/host information and instructions on how to access the e-QIP for each contract or foreign national employee requiring access.

**Step 2:**
Upon acceptance of the letter/background information, the applicant will be advised that in order to complete the investigative process, he or she must appear in-person before the authorized PIV registrar and submit two forms of identity source documents in original form. The identity source documents must come from the list of acceptable documents included in Form I-9, Employment Eligibility Verification, one which must be a Federal or State issued picture identification. Fingerprints will be taken at this time. The applicant must appear no later than the entry on duty date.

When the applicant appears, the registrar will electronically scan the submitted documents; any document that appears invalid will be rejected by the registrar. The registrar will capture electronically both a facial image and fingerprints of the applicant. The information submitted by the applicant will be used to create or update the applicant identity record in the Identity Management System (IDMS).

**Step 3:**
Upon the applicant’s completion of the investigative document, the CCS reviews the information, and resolves discrepancies with the applicant as necessary. When the applicant has appeared in person and completed fingerprints, the package is electronically submitted to initiate the NACI. The CCS includes a request for feedback on the NACI portion of the NACI at the time the request is submitted.

**Step 4:**

---

1 A non-PIV government identification badge, including the NASA Photo Identification Badge, MAY NOT BE USED for the original issuance of a PIV vetted credential.
Prior to authorizing physical access of a contractor employee to a federally-controlled facility or access to a Federal information system, the CCS will ensure that a check has been performed with the National Crime Information Center (NCIC) and Interstate Identification Index. In the case of a foreign national, a national check of the Bureau of Immigration and Customs Enforcement (BICE) database will be performed for each applicant. If this process yields negative information, the CCS will immediately notify the COTR/host of the determination regarding access made by the CCS.

**Step 5:**
Upon receipt of the completed NAC, the CCS will update IDMS from the NAC portion of the NACI and indicate the result of the suitability determination. If an unsatisfactory suitability determination is rendered, the COTR will advise the contractor that the employee is being denied physical access to all federally-controlled facilities and Federal information systems.

Based on a favorable NAC and NCIC/III or BICE check, the CCS will authorize the issuance of a PIV federal credential in the Physical Access Control System (PACS) database. The CCS, based on information provided by the COTR/host, will determine what physical access the applicant should be granted once the PIV issues the credential.

**Step 6:**
Using the information provided by the applicant during his or her in-person appearance, the PIV card production facility creates and instantiates the approved PIV card for the applicant with an activation date commensurate with the applicant’s start date.

**Step 7:**
The applicant proceeds to the credential issuance facility to begin processing for receipt of his/her federal credential.

The applicant provides to the credential issuing operator proof of identity with documentation that meets the requirements of FIPS 201 (DHS Employment Eligibility Verification (Form I-9) documents. These documents must be the same documents submitted for registration.

The credential issuing operator will verify that the facial image, and optionally reference fingerprint, matches the enrollment data used to produce the card. Upon verification of identity, the operator will locate the employee’s record in the PACS database, and modify the record to indicate the PIV card has been issued. The applicant will select a PIN for use with his or her new PIV card. Although root data is inaccessible to the operator, certain fields (hair color, eye color, etc.) may be modified to more accurately record the employee’s information.

The applicant proceeds to a kiosk or other workstation to complete activation of the PIV card using the initial PIN entered at card issuance.
ALTERNATIVE FOR APPLICANTS WHO DO NOT HAVE A COMPLETED AND
ADJUDICATED NAC AT THE TIME OF ENTRANCE ON DUTY

Steps 1 through 4 shall be accomplished for all applicants in accordance with the process
described above. If the applicant is unable to appear in person until the time of entry on duty, or
does not, for any other reason, have a completed and adjudicated NAC portion of the NACI at
the time of entrance on duty, the following interim procedures shall apply.

1. If the documents required to submit the NACI have not been completed prior to EOD, the
applicant will be instructed to complete all remaining requirements for submission of the
investigation request. This includes presentation of I-9 documents and completion of
fingerprints, if not already accomplished. If the applicant fails to complete these
activities as prescribed in NPR 1600.1 (Chapters 3 & 4), it may be considered as failure
to meet the conditions required for physical access to a federally-controlled facility or
access to a Federal information system, and result in denial of such access.

2. Based on favorable results of the NCIC, the applicant shall be issued a temporary NASA
identification card for a period not-to-exceed six months. If at the end of the six month
period the NAC results have not been returned, the agency will at that time make a
determination if an additional extension will be granted for the temporary identification
card.

3. Upon return of the completed NAC, the process will continue from Step 5.
AMENDMENT OF SOLICITATION/MODIFICATION OF CONTRACT

<table>
<thead>
<tr>
<th>2. AMENDMENT/MODIFICATION NO.</th>
<th>3. EFFECTIVE DATE</th>
<th>4. REQUISITION/PURCHASE REQ. NO.</th>
<th>5. PROJECT NO. (If applicable)</th>
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<tr>
<td>32</td>
<td>See Block 16C</td>
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</tbody>
</table>

6. ISSUED BY CODE

National Aeronautics and Space Administration
NASA Management Office-JPL
4800 Oak Grove Drive
Pasadena, CA 91109

8. NAME AND ADDRESS OF CONTRACTOR (No. Street, county, State and ZIP Code)

California Institute of Technology
1201 East California Blvd.
Pasadena, CA 91125

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 or 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;
(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)

Not applicable

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

(X) 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 payment provisions, price etc.) SET FORTH IN ITEM 14. PURSUANT TO THE AUTHORITY OF FAR 43.103(b).

C. THIS SUPPLEMENTAL AGREEMENT IS ENTERED INTO PURSUANT TO AUTHORITY OF:

(X) Bi-lateral modification pursuant to FAR 43.103(a) and Mutual Agreement of the Parties

E. IMPORTANT: Contractor ☐ is not, ☒ is required to sign this document and return 1 copies to the issuing office.

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

FAR Clause 52.204-9, "Personal Identity Verification of Contractor Personnel" is incorporated into Part II - Contract Clauses, Section I - Contract Clauses, I-1 Listing of Clauses, I. Federal Acquisition Regulation (48 CFR CHAPTER 1) of the prime contract as delineated on page 2.

--- Continued ---

15A. NAME AND TITLE OF CONTRACTING OFFICER (Type or print)

Thomas M. Servilla
Contracting Officer

15B. CONTRACTOR/OFFEROR (Signature of person authorized to sign)

15C. DATE SIGNED 8/04/06

16A. NAME AND TITLE OF CONTRACTING OFFICER (Type or print)

16B. UNITED STATES OF AMERICA

16C. DATE SIGNED 8/7/06

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30-105
Block 14 (continued) Description of Amendment/Modification

In support of NASA security measures and policies, FAR Clause 52.204-9, "Personal Identity Verification of Contractor Personnel" is incorporated into the prime contract by reference under Part II – Contract Clauses, Section I-Contract Clauses, I-1 Listing of Clauses, I. Federal Acquisition Regulation (48 CFR CHAPTER 1).

The full text is cited in this modification for reference:

52.204-9 Personal Identity Verification of Contractor Personnel

Personal Identity Verification of Contractor Personnel (Jan 2006)


(b) The Contractor shall insert this clause in all subcontracts when the subcontractor is required to have physical access to a federally-controlled facility or access to a Federal information system.

(End of clause)

END OF MODIFICATION NO. 32
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Jet Propulsion Laboratory
California Institute of Technology
ATTN: 180-503/Mr. Raymon Lemus; Manager, Contract Administration Office
4800 Oak Grove Drive
Pasadena, CA 91109

5........ Payment Office
National Aeronautics and Space Administration
Goddard Space Flight Center
ATTN: Mail Code 159/Headquarters Accounting Branch
Building 18, Room 280
Greenbelt, MD 20771-0001

Program/Sponsor's Office(s)

2........ National Aeronautics and Space Administration
ATTN: SP/Administration and Resources Management Division
Washington, DC 20546

2........ National Aeronautics and Space Administration
ATTN: Diane Frazier
HS/Program Operations Division
Washington, DC 20546

2........ National Aeronautics and Space Administration
ATTN: M-3/Deputy Associate Director (Telecommunications)
Washington, DC 20546

1........ Audit
Defense Contract Audit Agency
Jet Propulsion Laboratory
ATTN: 114-129A/Dennis Umade, Supervisory Auditor
4800 Oak Grove Drive
Pasadena, CA 91109

Other —

1........ Q/Associate Administrator for Safety and Mission Assurance
1........ S/Associate Administrator for Space Science
1........ Y/Associate Administrator for Earth Science

1........ Ms. L. M. Casarez NMO-JPL (180-802S)
1........ Mr. A. A. Castillo NMO-JPL (180-802H)
1........ Ms. A. Chapman NMO-JPL (180-802R)
1........ Mr. R. A. Democh NMO-JPL (180-802C)
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1........ Mr. T. S. Howell NMO-JPL (180-200M)
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1........ Mr. J. McKelvie NMO-JPL (180-802G)
1........ Mr. T. Servilla NMO-JPL (180-802J)
1........ Dr. E. Trinh NMO-JPL (180-801D)
1........ Ms. R. Wilkinson NMO-JPL (180-802Q)
1........ Ms. C. Williams NMO-JPL (180-802L)