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Environmental Programs

Standard Operating Procedure for:

Environmental Subcontracts Management

Alison M. Dorries	Signature on File	10/10/08
Procedure Owner	Signature	Date

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HISTORY OF REVISIONS

Revision Number	Issue Date	Action	Description
0	8/31/07	New	Establish process for Subcontracts Management in accordance with LANL ADM ISD 313-1, Subcontract Technical Representative Program.
0	10/20/08	New	Reorganized, added 2 appendices, added definitions. Supersedes EP-DIR-SOP-7004, R 0.0.

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1.0 PURPOSE AND SCOPE

The purpose of this procedure is to establish administrative processes for subcontracts management, to provide consistency in their application, and to assure uniformity in effectively managing subcontracts for the Los Alamos National Laboratory (LANL or Laboratory) Environmental Programs (EP) Directorate (ADEP).

2.0 BACKGROUND AND PRECAUTIONS

2.1 Background

Los Alamos National Security, LLC (LANS) was awarded a Prime Contract by the United States Department of Energy (DOE)/National Nuclear Security Administration (NNSA) to provide specified services at LANL. LANS awards individual subcontracts for the performance of specific work. The contract is directly between LANS as the Contractor and the individual subcontractor. LANS, through the respective Subcontract Technical Representative (STR), provides technical and administrative field management of the subcontract. See Attachment 1 for the LANS Environmental Subcontracts Division of Responsibility.

An STR is required to be designated and formally appointed for all environmental remediation, waste, and demolition subcontracts. The STR is designated by the Environmental Subcontracts Manager (ESM) with input by the Project Lead (PL). The STR, through surveillance and the use of appropriately qualified personnel, monitors the performance of the subcontractor in the areas of remedial actions, environmental investigations, installation, pre-planning, inspections, material control, scheduling, quality, safety and other areas of their work to confirm they are performing in accordance with the provisions of the subcontract. Due to the complexity of projects, the STR utilizes the resources of all organizations within LANS to accomplish the STR management functions.

This procedure applies to all LANS Environmental Subcontracts where LANS provides the technical field management function. The subcontract management function is in accordance with ASM ISD 313-1, *Subcontract Technical Representative Program*. In addition, any environmental project that requires a long form Exhibit F, when subcontract value is greater than \$100,000, and/or field readiness must have a Subcontract Technical Representative assigned separate and distinct from the Project Lead (PL) responsibility.

This procedure does not apply to service-only contracts such as Architect/Engineering or Analytical Services.

2.2 Precautions

None.

3.0 EQUIPMENT AND TOOLS

None.

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4.0 STEP-BY-STEP PROCESS DESCRIPTION

4.1 Appointment of the STR

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| ADEP Project Directors/
Project Leads | 1. | Plan the extent of contracting efforts and commensurate scope descriptions (see Attachment 1, LANS Environmental Subcontracts Division of Responsibility). |
| | 2. | Once it is decided that an activity will be subcontracted, request the assignment of an STR from the Waste and Environmental Services Division Office (WES-DO).

[NOTE: The STR should be assigned as early in the process as possible to assist in the conceptual planning and strategy development, establish interface with acquisition Services Management (ASM), and assure uniformity throughout implementation of duties.] |
| Environmental Subcontracts Manager (ESM) | 3. | Assign an individual with the required skills and experience necessary to function as an STR (see Attachment 2, Qualification of Subcontract Technical Representatives). |
| | 4. | Document the qualifications of the STR (Primary and Secondary) on the STR Education and Experience Record, STR Interview Sheet, and the Letter of Qualification (see Attachments 3, 4 and 5). |
| | 5. | Obtain concurrence on the assignment of the STR by the ADEP Project Director on the STR Education and Experience Record.

[NOTE: With Project Leader concurrence, the Area STR Lead may designate an STR previously qualified and assigned within the Area STR Lead's area of responsibility.] |
| | 6. | Submit the notification of the STR to the ASM Procurement Specialist (PS).

[NOTE: Formal appointment of the STR is the responsibility of ASM and is not normally done until after subcontract award.] |
| ASM PS | 7. | Concur and issue the appointment letter to the STR identifying their responsibilities for managing the subcontract and limitations of authority. |
| | 8. | Formally notify the successful subcontractor of the appointment. |

4.2 Filing System

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|-----------------|----|--|
| STR | 1. | Establish and maintain a Field Subcontract File for each specific subcontract that contains all pertinent contract data and documents, and is organized to allow for efficient storage, identification, and retrieval.

[NOTE: A Field Subcontract File is a file maintained through the life of a subcontract which contains all pertinent subcontract data and documents and allows for their quick identification and retrieval.] |
| STR (continued) | 2. | Create a file index and place it in the front of each Field Subcontract File, and maintain the file throughout the life of the contract. |

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3. File documents in chronological order with the oldest in the back in a suitable folder or binder.

4. Maintain the following documents, at a minimum, within the Field Subcontract File:

- Requisition Package;
- Solicitation Package;
- Addendum/Amendments;
- Pre-Award Documentation;
- Conformed Subcontract;
- Specifications/Scope of Work;
- Drawings/Transmittals (actual drawings may be maintained elsewhere);
- Subcontract Changes/Purchase Requisitions;
- Schedules (baseline, updates, recovery);
- Monthly Reports;
- Submittals/Submittal Log;
- Requests for Information (RFIs)/Subcontractor Deviation Disposition Requests (SDDRs)/Logs;
- Daily Activity Reports (Subcontractors/STRs);
- Correspondence (verbal/written/incoming/outgoing);
- Meeting Minutes (progress, coordination);
- ES&H (citations, Industrial Hygiene, Rad Protection, Material Safety Data Sheets (MSDS), Issues, weekly manpower reports);
- Permits;
- Security;

- Quality Assurance Documentation/Disposition;
 - Inspection Reports/Photos;
 - Non Conformance Reports/Resolution;
 - Application for Payment/Invoices/Supporting Documentation;
 - STR Appointment Letter;
 - Badging/Training;
 - Performance Reports;
 - Subcontract Turnover/Close Out Documentation; and
 - Certificate of Mechanical and Physical Completion.
-

STR
(continued)

5. Maintain files daily to avoid problems at the time of close out.
[NOTE: Files may be audited periodically by a representative of ASM and/or WES.]

6. Carefully control and restrict access to Field Subcontract Files to those with a legitimate "need to know".
[NOTE: Field Subcontract Files may contain confidential commercial information on a variety of subjects.]

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7. Upon completion of the subcontract, forward any original documents not previously provided to the ASM PS for retention in the official file.

[NOTE: All contract files that may have a bearing on open claims or unresolved matters are to be separately dispositioned in accordance with instructions from LANS management and/or legal.]

4.3 Meetings

4.3.a Pre-Award Meetings

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|--------------------|-----|---|
| ASM PS/STR | 1. | Jointly decide how specifically to conduct each meeting and distribute responsibilities.
[NOTE: Other participants should be limited to those actually required.] |
| ASM PS | 2. | If possible, hold a Pre-Bid Meeting (i.e., usually about two weeks after issuance of the Request for Proposals (RFP) and a Pre-Bid Site visit to provide prospective bidders an opportunity to evaluate jobsite conditions and to obtain clarification of bid or work scope requirements.
[NOTE: The Pre-Bid Meeting is usually held at the jobsite.] |
| | 3. | If there are separate jobsite visits, provide each bidder with the same information and record and distribute any answers to questions asked. |
| | 4. | Provide information to all LANS participants regarding their role to avoid giving answers to questions during the Pre-Bid Meeting and Pre-Bid Site Visit that may contradict the RFP requirements. |
| | 5. | If there is a problem with the solicitation package, correct it through an addendum. |
| ASM PS (continued) | 6. | Inform prospective bidders that all requests for information must be in writing to the PS and oral explanations or instructions provided will not be binding.
[NOTE: Bid Clarification Meetings may be held with selected bidders prior to subcontract award to review their proposals and to allow further clarification of bid or work scope. Pre-Award Meetings may be held with the selected subcontractor to assure that a clear, mutual understanding of the work to be awarded has been reached.] |
| STR | 7. | Coordinate all contacts with bidders prior to award through the designated ASM PS. |
| | 8. | Refer all questions in writing to the ASM PS. |
| | 9. | Do not allow any member of the project team to respond directly to questions from any of the bidders. |
| ASM PS | 10. | Send responses to questions to all bidders. |

4.3.b Post-Award Meetings

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ASM PS
and/or STR

1. Schedule and hold a Post-Award Meeting prior to the Subcontractor's jobsite mobilization to establish the following:

- ground rules for operation,
- commitment to cooperation for a common purpose,
- recognition of responsibilities,
- confirmation of schedule,
- list of submittals/deliverables from all Exhibits
- review methods of payment,
- communication and administration procedures, and
- any other critical activities identified in the subcontract.

[NOTE: Post-Award Meetings are to achieve a mutual understanding between LANS and the Subcontractor on the way in which the contract requirements shall be translated into action.]

ASM PS
and/or STR

2. Participate in all subcontract meetings.
- 3.. Jointly decide how specifically to conduct each meeting and distribute responsibilities.
[NOTE: Other participants should be limited to those actually required.]

- 4.. Share responsibility for making meeting arrangements.
[NOTE: Typically the PS will handle scheduling and written notifications, and the STR will ensure site/facility access, badging, escorts, etc. are coordinated.]

ASM PS
and/or STR
(continued)

5. Prepare an agenda for each meeting in advance.
6. Record attendance, pertinent information, questions, and answers in meeting minutes.
7. Prepare an action items list, and track the items until closure.
8. Issue meeting minutes to all attendees.
9. Conduct Progress Review Meetings periodically to evaluate the progress of an individual subcontract, review schedules, discuss past, current, and potential problems, as well as resolve interface problems and any other restraints or issues.

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10. Depending on the size, duration, and complexity of the subcontract, establish a regular meeting schedule to discuss the following subjects:
 - Subcontractor's progress since the last meeting and compared to the scheduled progress;
 - Performance evaluation to date;
 - Outstanding action items from previous meetings, their status and resolution;
 - Schedule and proposed plans/progress for the next schedule period;
 - Mark-up (status) a schedule for progress to date;
 - Interfaces, critical items, and current and potential problems;
 - Status of change notices and proposals; and
 - Status of RFIs, SDDRs, submittals, and design changes.
11. Hold Coordination Meetings in addition to Progress Review Meetings if determined additional coordination between multiple subcontractors or LANS activities is needed.

4.4 Correspondence

- | | | |
|--------------------|----|---|
| STR | 1. | Encourage the project team to maintain clear and timely communication. |
| | 2. | Ensure everyone on the team understands that all contractual communication may have legal ramifications, or at a minimum, be one of the primary tools available to reconstruct facts if a dispute arises. |
| | 3. | Take exceptional effort to eliminate any chance of project communications from being misunderstood. |
| | 4. | Process all formal correspondence through the ASM PS (i.e., other LANS personnel may originate correspondence; however, it must be forwarded to the PS for review and issuance). |
| STR
(continued) | 5. | If correspondence is received directly from the Subcontractor by accident, ensure the ASM PS receives a copy immediately. |
| ASM PS | 6. | Provide copies of incoming correspondence to the STR.

[NOTE: Limited distribution to other LANS personnel may be made as applicable or necessary depending on the subject.] |

4.5 Requisition Package

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|--------|----|--|
| STR/PL | 1. | Assemble the Requisition Package, and ensure it contains all information necessary to procure the goods and services being requested. |
| | 2. | Complete and obtain signatures on the Environmental Project Procurement Request form. Provide completed form to the deployed Budget and Finance personnel for input. |

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2. Deliver a complete Requisition Package to ASM that clearly and concisely explains what is to be provided and the requirements and/or conditions for providing the requested goods or services.

[NOTE: Other than information required for tailoring the Special Conditions and specific commercial language, upon completion and delivery of the Requisition Package to ASM, the PS should have everything needed and be able to understand exactly what it is that is being requested. It is not the function of the ASM PS to decipher exactly what it is being requested.]

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3. Organize the Requisition Package in an orderly manner with each attachment uniquely identified and labeled with the requisition number and number of pages.

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4. Provide the ASM PS with the quantity of attachments required in electronic media if possible.

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5. Ensure the Requisition Package contains the following at a minimum:

- Requisition;
- Acquisition Plan if required;
- Organizational Conflict of Interest Pre-Procurement Fact Sheet (Form 903a);
- Scope of Work and Technical Specifications (see [Exhibit D](#));

[NOTE: Peer Reviews will performed on Scopes of Work per EP-ERSS-SOP-4005];

- Listing of Design Drawings and Index (see [Exhibit E](#)) if applicable;
- Subcontract Field Conditions (see Attachment 6);
- Subcontractor ESH Requirements (see [Exhibit F](#))

[NOTE: The ES&H Manager for EP will approve Exhibit F prior to it being sent to ASM];

- Requirements and Approval for Entry and Area Hazards and Controls (LANL Form 2101);
- Estimate;
- Milestone Schedule;
- Davis-Bacon Wage Determinations;

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- Form 838c in accordance with the latest revision of P840, "Procurement Quality" ; and
 - Listing of suggested subcontractors.

[NOTE: The Davis-Bacon Act is a law applicable to federally funded construction work in excess of \$2,000.00 which ensures that workers engaged in construction work are not paid less than the scale of wages prevailing in the local area as determined by the U.S. Department of Labor.]

STR/PL
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6. Include any other information essential to clearly explain or describe the requirements or necessary for the ASM PS to initiate the procurement action (e.g., design criteria, soil reports, surveys, weather data, sole source justification, liquidated damages justification, performance incentives, storm water pollution prevention plan, procedures, pre-qualification criteria, technical evaluation criteria).
7. Avoid inclusion of complete LANS procedures and/or manuals within the Requisition Package unless specifically and solely addressing requirements the Subcontractor must adhere to.
8. In the above instance, extract applicable information and include the appropriate section of the Requisition Package (e.g., Scope of Work, Field Conditions).

4.6 Scope or Statement of Work (SOW)

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|-----------|----|---|
| PL | 1. | Develop the Scope Of Work or delegate to the STR. |
| | 2. | If STR develops the SOW, review and contribute to the development. |
| PL or STR | 3. | Develop the SOW in accordance with ASM guidelines provided on ASM website and describe the work to be performed in clear, unambiguous, understandable, and measurable language (i.e., what, where, when, and, if necessary, why). |
| | 4. | Ensure no contractual language, commercial implications or directions are included in the SOW. |
| | 5. | Specify administrative requirements in other documents such as the Requisition, Field Conditions, etc. to allow flexibility of modifying such requirements, if necessary, without imposing a revision to the SOW. |
| | 6. | Assemble and submit the SOW and Technical Specifications as part of the Requisition Package in the format as in Exhibit D |

4.7 Drawings

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|-----|----|---|
| STR | 1. | Assemble and submit the Listing of Drawings as part of the Requisition Package, if applicable.

[NOTE: This section includes all technical drawings including vendor drawings, if applicable. Drawings included in this section are considered the base set of drawings applicable to the subcontract.] |
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2. Use the format provided in Exhibit E.

4.8 Field Conditions

- STR
1. Provide the Subcontract Field Conditions (Attachment 6) as part of the Requisition Package in order to inform the Subcontractor of the conditions at the project site associated with providing the requested goods or service.
 2. Within the Subcontract Field Conditions, describe any special requirements and/or restrictions associated with the work and not contained elsewhere in the Requisition Package.

[NOTE: The Subcontract Field Conditions may become a direct attachment to the Special Conditions or be incorporated in the appropriate sections of the Special Conditions. Examples of the type of information contained in the Subcontract Field Conditions include the following: work week, work hours, access requirements, offices, lay down areas, power available, where/how far?, water – sanitary/construction, communications, any other utilities, transportation, rest rooms, smoking, security, escorts, waste/disposal, by whom?, obstructions, washout, etc.]

4.9 Subcontractor Training

- STR
1. Complete a Subcontract Training Matrix (see Attachment 7) for each Requisition Package by working with project team and Subject Matter Experts (SMEs).
 2. Attach the Subcontract Training Matrix to the Subcontract Field Conditions, and includes the LANL required and provided training.

[NOTE: This training may be identified as required elsewhere in the contract documents, but is listed on the Subcontract Training Matrix.]
 3. Include any general site-required training, any specific facility-required training, and any training required by LANL procedures or policies in the Subcontract Training Matrix.

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4. For each training course required, identify the location where the training is offered, days and times the course is offered, length of class, number of slots available in each class, and amount of notice required to arrange each course.
5. Confirm the Subcontractor has satisfied other training requirements specifically identified elsewhere in the contract documents or as may be required by applicable codes or regulations.
6. Make all training records available for review.

4.10 Communication of ES&H Requirements- Exhibit F

- STR
1. Work with the assigned LANS Safety Representative to tailor the Exhibit F, per the requirements of ISD 101-12, to meet the project specific requirements. ES&H management will provide approval of the Exhibit F and it will be included in the Requisition Package.
 2. Receive the Subcontractor weekly man-hours report that is required by Exhibit F on Monday.
 3. Forward the completed weekly man-hour report to the Area Lead STR every Monday.

4.11 Subcontract Changes

- STR
1. Submit a Purchase Requisition Change, which initiates the official Addendum or Change Notice and the subsequent Revised Solicitation or Amendment, for all subcontract changes either prior to or after award.
 2. Assemble and submit the Purchase Requisition (PR) changes in the same manner as the original Requisition Package.
 3. Ensure the PR changes are organized in an orderly manner with each attachment uniquely identified and labeled with the PR number and number of pages.
 4. Include the following in PR changes:
 - Requisition;
 - Scope of Change; and
 - Estimate.

[NOTE: The Scope of Change may include revised drawings or specifications or other formal technical change documentation and/or identification and description of contract elements requiring change, such as additional scope, change in site conditions, or change to period of performance.]
 5. Do not use RFIs or submittal revisions as change documents or to direct a change in contract requirements.

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6. Update and maintain the Subcontract Change Summary Log (see Attachment 8) as changes are initiated and/or approved.
7. Use the Subcontract Change Summary Log Instructions (see Attachment 9) to complete the form.
8. Fully support the ASM PS in negotiation of the changes by providing additional backup information that may be required to adequately present LANS' position and actively participating in negotiations, as necessary, and agreeing with the ASM PS.

4.12 Estimates

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| STR | 1. | Under no circumstances allow the Subcontractor to provide an estimate to be used as an independent estimate. Independent estimates are the primary instrument used to establish if a subcontractor's proposal is fair and reasonable. |
| | 2. | Include cost estimates with all Requisition Packages and Purchase Requisitions for changes. Project Leads will provide cost estimates which are from the Environmental Management (EM), Readiness Technical Basis Facilities (RTBF) or G&A Baseline. |
| | 3. | Working with the Project Lead, generate estimates for changes using the Change Notice Proposal Summary (see Attachment 10) and the Estimate Detail Worksheet (see Attachment 11). |

4.13 Submittals

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| Project Team | 1. | Develop a list of all required submittals and required reviewers for each submittal. |
| STR/
Document Control | 2. | Specifically, do the following steps related to submittals: <ul style="list-style-type: none">• Ensure the Subcontractor understands the submittal process;• Receive a copy of the Subcontractor's approved schedule of submittals;• Ensure submittals required prior to issuance of Notice to Proceed (NTP) are received and acceptable;• Receive a copy of the transmittals for each Subcontractor submittal;• Receive copies of all returned/approved submittals along with the transmittal. |
| | 3. | Establish a logging and control system to monitor the submittal against contract requirements. |
| | 4. | Receive all subcontractor document submittals from the subcontractor, date stamp the transmittal correspondence, and identify any additional reviewer distribution requirements. |
| | 5. | Verify that all documents including drawings listed on the transmitting document have been received. If documents are missing, STR needs to notify the subcontractor. |

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| | 6. | Determine if the submittal document has been previously submitted as a result of receiving a status "B" or "C" as a previous submittal (refer to Attachment 17 for status definitions). If not, assign a unique project document control number. Resubmittals are assigned the next sequential submittal number. |
| STR/
Document
Control
(continued) | 7. | Generate a Subcontractor Submittal Status Sheet (Attachment 17 Project Subcontractor Submittal Status Sheet) and attach to the submittal and distribute to the identified reviewers with desired date comments need to be returned back to the STR. This can be done electronically. |
| Reviewers | 8. | Review the submittal as requested.

a. IF submittal meets requirements, status a "A" or "D," THEN sign the Subcontractor Submittal Status Sheet and return to STR.

b. IF submittal does not meet the requirements, THEN provide comments on one of the following: the Subcontractor Submittal Status Sheet, the submittal, or a comment form, status the submittal either a "B" or "C," sign and return to the STR. |
| STR | 9. | Resolve and consolidate comments with reviewers. Originals comments from reviewers should be maintained as Record Copy. |
| | 10. | Determine the status "A" "B" "C" or "D" of the submittal, and mark the status sheet.
a. IF submittal received a status of "A" or "D," THEN file the submittals in the project's file and transmit a copy to the subcontractor indicating submittal acceptance.

b. IF submittal received a status of "B" or "C," THEN transmit document and/or comments needing resolution to the subcontractor. Request revised submittal be resubmitted according to the terms of the subcontract, but not to exceed 30 calendar days of submittal status date. |
| | 11. | Do not use submittal reviews as change documents or to direct a change in contract requirements. |

4.14 Technical Documents

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|-----|----|--|
| STR | 1. | Review technical documents to ensure: <ul style="list-style-type: none">• understanding of technical requirements and scope;• involvement of SMEs as necessary;• changes to scope are not unintentionally included; and• no commercial implications or directions are included. |
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4.15 Requests for Information

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| STR | 1. | Include the Request for Information (RFI) (see Attachment 12) and the Request for Information Completion Instructions (see Attachment 13) as part of the subcontract documents provided to the Subcontractor. |
| | 2. | Do not allow the Subcontractor to use RFI Forms as technical or commercial change documents or to direct a change in subcontract requirements. |
| ASM PS | 3. | If a technical response represents a compensable change, issue a Change Notice. |
| | 4. | Issue technical changes via an appropriate approved design change document (e.g., Design Change Notice (DCN), Design Change Package (DCP), Engineering Change Notice (ECN), Field Change Notice (FCN), and Field Change Request (FCR)). |
| | 5. | Identify the STR as the designated recipient for RFIs. |
| STR | 6. | Upon receipt of an RFI, log the RFI and respond or distribute for response as appropriate. |
| | 7. | Expedite the response to RFIs that may affect ongoing work. |
| | 8. | Write responses factually and objectively, and in the same professional, impersonal style that standard specifications adopt. |
| | 9. | Avoid commercial language in responses to RFIs. |
| | 10. | Reply in the simplest, most direct, and technically correct and complete manner. |
| | 11. | Review outgoing RFIs to verify the response is technically adequate, correct, and does not make any change to subcontract requirements. |
| | 12. | Provide a copy of the RFI and response to the ASM PS. |

4.16 Daily Activity Reports (DARs)

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| STR | 1. | Complete a DAR for each subcontract to cover each day from mobilization to demobilization. |
| | 2. | If no work is performed on the weekend, holidays, or any number of days, do not write a DAR for those days; however, include a statement such as "No work performed on (day) and (day)" in the DAR following the off days.

[NOTE: Include the actual dates in the statement.] |
| STR
(continued) | 3. | Complete DARs electronically or manually using the STR Daily Activity Report Form (see Attachment 14). |
| | 4. | Number each DAR sequentially beginning with 001. |

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5. Do not erase or alter DARs.
6. Make corrections to a DAR with one line strike-through, initial, and date.
7. Sign the original of the DAR and submit to the ASM PS.
8. Retain a duplicate of the completed, signed DAR in the Field Subcontract File.
9. Be specific, complete, concise, factual, and unbiased when writing a DAR.
[NOTE: Do not express opinions. DARs are considered "records kept during the regular course of business" and are admissible as evidence to prove the truth of such statements contained therein without the original author appearing and testifying in person.]
10. Note "Final Daily Activity Report" on the final DAR.
11. Forward any DARs received from the Subcontractor to the ASM PS.

4.17 Monthly Reports

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|-----|--|
| STR | <ol style="list-style-type: none">1. Complete a Subcontract Monthly Report (see Attachment 15) for each subcontract by the third working day of the month for work done the previous month.2. Forward a copy of each Subcontract Monthly Report to the Lead STR.3. Retain a copy of each Subcontract Monthly Report in the Field Subcontract File. |
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4.18 Schedule

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|--------------------|---|
| STR | <ol style="list-style-type: none">1. Work with the ASM PS to ensure the Special Conditions clause addressing the schedule is tailored to meet the requirements of the project.

[NOTE: The Subcontractor's schedule should show the logical sequence, methods and estimated duration of activities required to meet the milestone and completion dates.] |
| STR
(continued) | <ol style="list-style-type: none">2. Identify the exact schedule submittal requirements and rigorously enforce the requirements.

[NOTE: Allowing a Subcontractor to avoid submitting required schedule information may result in a waiver of those requirements.]3. Formally approve Subcontractor submitted schedules in writing.

[NOTE: Approval of the schedule indicates that it appears to be a reasonable plan and commits LANS to cooperate in its implementation. The Subcontractor is committed to perform in accordance with the plan unless revisions are subsequently submitted and approved.] |

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4. Require Subcontractor submitted schedules to be regularly updated to show progress against the approved baseline schedule and submittal of any proposed changes.

5. Take the following points into consideration when reviewing the Subcontractor's submitted schedule:

- Is it in the form required?
- Does it meet the subcontract milestones?
- Are the following reasonable: schedule logic, activity durations, occurrence of float, completeness of the schedule, appropriate level of schedule detail, and identification of the critical path?
- Do early completion dates adversely affect the work of others or project cash flow constraints?
- Does it support the overall project schedule?
- Does the work of others support the Subcontractor's schedule?
- Is work as planned consistent with parameters of the site (e.g., no double shift if the site is working one shift)?
- Is the schedule resource-loaded (non-manual personnel, manual personnel, and equipment) in order to provide a means by which Subcontractor performance can be measured?
- Are comments and exceptions resolved prior to approval?

[NOTE: The Subcontractor's method of performance is its own. Requiring any non-essential changes in the Subcontractor's planned method of performance or a significant change in sequence could be considered a change to the subcontract. The approved schedule is the basis for assessing progress and status of work.]

6. In addition to the above, consider the following on reviews of revised schedules:

- Is changed work reflected?
- Have approved time extensions been incorporated?
- Except for milestone dates modified by Amendment, have milestone dates changed?
-

4.19 Quality

STR

1. In consultation with the project technical and quality representatives, complete an Exhibit H using an 838c Form, Quality Assurance Supplement, in the Requisition Package.
2. Require the Subcontractor to complete work in accordance with the subcontract and perform first line inspections on the work.
3. Where LANS inspections are required for work in progress, witness, or hold points, ensure the Subcontractor notifies and allows LANS the contractually agreed-to time necessary to perform those inspections.
4. Ensure LANS inspections are performed in a timely manner so as not to impede the Subcontractor's progress.

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5. For items identified as nonconforming, avoid giving direction regarding potential corrective actions.

6. Review any Subcontractor-proposed deviations submitted via a SDDR.

[NOTE: The STR's role in monitoring and oversight is to provide quality assurance, not quality control. Avoid over inspection of the Subcontractor's work. This can lead to a constructive change for the Subcontractor, and lead them to believe they do not need to perform first line inspections of their own.]

4.20 Access/Badging

STR 1. Arrange site/facility access and badging.

2. Maintain a log of badges issued and returned.

[NOTE: Badges are issued through WES-DO for the duration of the subcontract.]

4.21 Progress Payments

STR 1. Review Subcontractor's invoice and compare the total amount invoiced with actual progress to ensure that the percentage of the amount invoiced to the total is not excessive compared to the percent of work accomplished and accepted.

2. Verify the quantities of work performed by using whatever means of measurement are appropriate to ensure that the progress claimed is reasonable.

[NOTE: This could include actual counts, surveys, or according to good engineering practice.]

STR (continued) 3. Always work to the latest Amendments, including latest subcontract quantities and pricing terms.

4. Ensure Change Notices have been executed and an Amendment is in place before permitting any payment for changes.

5. Ensure the invoice does not contain work previously reimbursed.

6. Allow payment for work in-place and on-site.

7. Do not allow payment for materials delivered to the site, but not yet installed, or material off-site without PL and ASM PS approval.

8. After approval, forward the invoice to the ASM PS for final approval.

4.22 Back Charges

ASM PS 1. If it is determined to be necessary to provide equipment, material or to perform work on behalf of the Subcontractor, prepare a written notice to the Subcontractor to state the nature of the problem, attempt to have the Subcontractor perform the work, and open negotiations for its solution.

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- | | | |
|-----------------------|----|---|
| | 2. | If the Subcontractor is unable or unwilling to perform the work, notify the Subcontractor of LANS' intent and review the back charge procedure with the Subcontractor. Not all subcontract types will have the back charge General Condition in the subcontract. Please refer to the subcontract's General Conditions Exhibit A. |
| STR | 3. | Prepare a Back Charge Notice for Provisions of Services, Equipment or Materials to Subcontractor (see Attachment 16), and forward with any other documentation required to specify the precise work or service to be performed by LANS for Subcontractor to the ASM PS for approval. |
| | 4. | If safety or other urgent considerations dictate, explain in the Back Charge Notice for Provisions of Services, Equipment or Materials to Subcontractor that the work is already being undertaken by LANS. |
| ASM PS | 5. | Approve the Back Charge Notice, and forward to the Subcontractor for acceptance/approval. |
| ASM PS
(continued) | 6. | If the Subcontractor refuses to sign the Back Charge Notice, obtain management approval to do one of the following: <ul style="list-style-type: none">• Advise the Subcontractor of LANS' intent to proceed with the back charge work without the Subcontractor's concurrence; OR <ul style="list-style-type: none">• Attempt to negotiate a settlement with the Subcontractor. |
| STR | 7. | Ensure all labor, material, and equipment charges are properly tracked and accumulated so the actual cost of back charge work can be recovered. |
| ASM PS | 8. | Issue an Amendment deducting the cost from the subcontract sum. |

4.23 Close Out

- | | | |
|-----|----|---|
| STR | 1. | Coordinate a final inspection walk-down with appropriate members of the project team, the customer, and the Subcontractor. |
| | 2. | Develop a Punch List of incomplete or defective work, including not only physical work items to be completed, but also all administrative or contractual items. |
| | 3. | Establish completion dates for the Punch List items, and track through to completion. |
| | 4. | Ensure all documentation has been provided (i.e., closed or received final acceptance status) and all contractual documentation has been completed. |
| | 5. | Ensure the following has been done: <ul style="list-style-type: none">• all Subcontractor locks have been removed,• all spare parts have been delivered,• Subcontractor-provided equipment/tools have been received, and• Any Contractor-supplied tools, equipment, or material has been returned. |

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6. Verify all Subcontractor materials, equipment, and trash/construction debris is removed from the job site and area housekeeping has been performed.
7. Transfer the contents of the Field Subcontract File not previously provided to the ASM PS.
8. Complete a final subcontractor performance evaluation and forward it to the ASM PS.

4.24 Records

- | | | |
|-------|----|---|
| ESM | 1. | Submit the following records generated by this procedure to the Records Processing Facility: <ul style="list-style-type: none">• Completed Qualification of Subcontract Technical Representative forms;• Completed STR Education and Experience Record forms; and• Completed STR Letters of Qualification |
| <hr/> | | |
| STR | 2. | Submit the following records generated by this procedure to ASM: <ul style="list-style-type: none">• All files and documents generated by the subcontractor as a subcontractor deliverable/submittal and approved under the terms of the subcontract.• Field Subcontract files (see 4.2 for minimum list) |
| | 3. | Submit the following records to Records Processing Facility: <ul style="list-style-type: none">• Documents generated by the subcontractor that were sent to the New Mexico Environmental Division. |

5.0 DEFINITIONS

Area STR Lead: LANS Senior STR assigned to manage all the subcontract activities and functions for a given area, project, or projects.

Environmental Subcontracts Manager (ESM): LANS Manager responsible for implementation and administration of the Environmental Subcontracts Program. In the WES Division, it is the WES Remedy Services Group Leader who is the ESM. The ESM functions as the equivalent to the Construction Manager under the 851 definition.

Primary Subcontract Technical Representative (PSTR): In the event that a subcontract is large, complex, or many locations, an STR will be named as the Primary STR. The PSTR is the individual that maintains overall responsibility for the subcontract. The Primary STR may request from the Designating Authority to appoint Secondary STRs and assign duties as they relate to large or complex subcontracts. The Primary STR is responsible to clearly define and document the roles and responsibilities of the Secondary STR(s).

Project Leader (PL): Individual designated by the ADEP Program Director to have responsibility for cost, scope, schedule, and performance of a specific project and to oversee the STR's technical and administrative field management of the subcontract.

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Request For Information (RFI): A technical question initiated by the Subcontractor if he is unable to understand the technical document (i.e., scope, specification, drawings, or data), or discovers or perceives a conflict, ambiguity, error or omission in or among the technical documents.

5.0 DEFINITIONS (continued)

Secondary Subcontract Technical Representative (SSTR): Due to size, complexity, or physical location, a subcontract may require more than one STR to manage the work. Secondary STRs may be assigned to assist the Primary STR by the Designating Authority. The Secondary STR may perform STR functions (as directed), but the

Primary STR maintains overall responsibility for the subcontract. Secondary STRs are selected and trained consistent with all of the same criteria as Primary STRs.

Subcontractor Deviation Disposition Request (SDDR): Form/process used by the Subcontractor to obtain acceptance of deviations from contractual requirements (e.g., proposing an alternate material or method that will not adversely affect the cost or schedule).

Subject Matter Expert (SME): Workers recognized as most knowledgeable of a subject area through either education or experience. Poor control of technical documents can lead to uncontrolled changes to the contract and can raise questions about design configuration control and, ultimately, the quality of installed work. It is vitally important that all team members understand and follow the technical document change and transmittal procedures.

6.0 ATTACHMENTS

Attachment 1: 7004-1 LANS Environmental Subcontracts Division of Responsibility (5 pages)

Attachment 2: 7004-2 Qualification of Subcontract Technical Representatives (3 pages)

Attachment 3: 7004-3 STR Education and Experience Record (1 page)

Attachment 4: 7004-4 STR Interview (1 page)

Attachment 5: 7004-5 STR Letter of Qualification (1 page)

Attachment 6: 7004-6 Subcontract Field Conditions (2 pages)

Attachment 7: 7004-7 Subcontract Training Matrix (2 pages)

Attachment 8: 7004-8 Subcontract Change Summary Log (1 page)

Attachment 9: 7004-9 Subcontract Change Summary Log Completion Instructions (1 page)

Attachment 10: 7004-10 Change Notice Proposal Summary (1 page)

Attachment 11: 7004-11 Estimate Detail Workshop (1 page)

Attachment 12: 7004-12 Request for Information (1 page)

Attachment 13: 7004-13 Request for Information Completion Instructions (1 page)

Attachment 14: 7004-14 STR Daily Activity Report Form (1 page)

Attachment 15: 7004-15 Subcontract Monthly Report (1 page)

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Attachment 16: 7004-16 Back Charge Notice for Provisions of Services, Equipment or Materials to Subcontractor (2 pages)

Attachment 17: 7004-17 Project Subcontractor Submittal Status Sheet (1page)

[Using a CRYPTOCARD, click here to record "self-study" training to this procedure.](#)

If you do not possess a CRYPTOCARD or encounter problems, contact the EP training specialist.

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ATTACHMENT 1: LANS ENVIRONMENTAL SUBCONTRACTS DIVISION OF RESPONSIBILITY

7004-1

**LANS Environmental Subcontracts
Division of Responsibility**

Records Use only



Legend:

STR – Subcontract Technical Representative

PS – Procurement Specialist (Contract Administrator)

PMT – Project Management Team (includes all listed in Legend plus support organizations)

PCE – Project Controls Engineer

PE – Project Engineer (Design Engineering Authority)

PL – Project Leader

ESM – Environmental Subcontracts Manager

SR – Safety Representative

QA-IQ – Quality Assurance Representative

DS- Deployed Security Representative

Activity Description	Primary Responsibility	Supporting Responsibility
Pre-Award		
1 Project requirements definition	PL	Customer/Sponsor
2 Request STR be assigned (early in project-conceptual)	PL	
3 Assign STR	ESM	
4 Initiate PRID process	PL	
5 Prepare technical specifications for procurement	PE	PMT
6 Prepare scope of work (SOW)	PL/STR	PMT
7 Complete Exhibit D, Scope of Work	STR	PMT
8 Complete Exhibit E, List of Drawings (where applicable)	STR	PMT
9 Prepare Exhibit F, ES & H Requirements	SR	STR
10 Prepare Exhibit G, Security Requirements	STR	DS
11 Prepare Exhibit H, Quality Requirements	STR	QA-IQ
12 Prepare Field Conditions and Training Matrix	STR	PMT
13 Prepare technical evaluation criteria (if applicable)	STR/PE/PL	PMT
14 Assemble, route for approval, and submit Requisition Package to the PS	STR	PMT
15 Review, comment, and approve Requisition Package	PL/STR	PMT
16 Develop Solicitation Package	PS	PMT
17 Develop commercial language and tailor Special Conditions and Solicitation Package to SOW	PS	STR
18 Review, comment, and approve Solicitation Package	PL/STR	PMT
19 Issue Solicitation Package	PS	
20 Coordinate pre-solicitation meeting location and job site access	PS/STR	PMT

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Legend:

STR – Subcontract Technical Representative

PS – Procurement Specialist (Contract Administrator)

PMT – Project Management Team (includes all listed in Legend plus support organizations)

PCE – Project Controls Engineer

PE – Project Engineer (Design Engineering Authority)

PL – Project Leader

ESM – Environmental Subcontracts Manager

SR – Safety Representative

QA-IQ – Quality Assurance Representative

DS- Deployed Security Representative

Activity Description	Primary Responsibility	Supporting Responsibility
21 Conduct pre-solicitation meeting	PS/STR	PMT
22 Receive and open solicitations	PS	PMT
23 Perform commercial evaluation	PS	PMT
24 Perform evaluation on QA documentation	QA-IQ	
25 Perform a technical and schedule evaluation, if required	PE/STR/PL	PMT
26 Perform evaluation of environmental techniques, manpower, equipment, etc.	STR/PL	PMT
27 Obtain approval to award	STR	PMT
28 Conduct pre-award meeting, if required	PS/STR	PMT
29 Prepare Subcontract Agreement	PS	
30 Issue Notice of Award	PS	
Post-Award		
1 Issue STR appointment letter	PS	
2 Issue current and complete copies of all subcontract documents	PS	
3 Read the full subcontract	PMT	
4 Conduct the post-award meeting	PS/STR	PMT
5 Establish and maintain official subcontract files	PS	
6 Establish and maintain field subcontract files	STR	PMT
7 Confirm that all insurance, bonds, legal, and other requirements are met prior to NTP	PS	
8 Coordinate approval of the Subcontractor's Safety Program/Plan prior to NTP	STR/SR	PMT
9 Coordinate approval of the Subcontractor's Quality Program/Plan prior to NTP	STR/QA-IQ	PMT
10 Issue Notice to Proceed	PS	PMT
11 Coordinate arrangements for badges gate passes, work and storage areas, access, training, etc. as required by the subcontract	STR	PMT
12 Act as the Subcontractor's single point-of-contact for field execution issues, day-to-day technical matters, and contract issues (within limits of authority granted by PS)	STR	PMT
13 Assist Subcontractor with IWD preparation and obtain approvals	STR/SR	PMT

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Legend:

STR – Subcontract Technical Representative
 PS – Procurement Specialist (Contract Administrator)
 PMT – Project Management Team (includes all listed in Legend plus support organizations)
 PCE – Project Controls Engineer

PE – Project Engineer (Design Engineering Authority)
 PL – Project Leader
 ESM – Environmental Subcontracts Manager
 SR – Safety Representative
 QA-IQ – Quality Assurance Representative
 DS- Deployed Security Representative

Activity Description	Primary Responsibility	Supporting Responsibility
14 Confirm all permits, clearances, and furnished utilities (water, electricity, etc.) are in place prior to start of work	STR	PMT
15 Provide technical clarifications of SOW, technical specifications, RFI responses, and other applicable documents	PL/PE (through STR)	PMT
16 Prepare a Subcontract Daily Activity Report	STR	
17 Prepare and submit Monthly Report	STR	
18 Review Subcontractor's schedule for performing the work	STR/PL	PMT
19 Approve Subcontractor's schedule for performing the work and provide approved schedule to Project Controls Engineer	STR	PCE
20 Prepare and maintain submittal register of all submittals (bonds, work plans, reports equipment.) required from the Subcontractor	PS/STR	PS/PE
21 Prepare and maintain RFI and SDDR logs	STR	PS/PE
22 Monitor Subcontractor compliance with technical requirements of the subcontract	STR	PMT
23 Monitor daily activities of subcontractor for acceptability and compliance to contract requirements	STR	PMT
24 Complete Interim Subcontractor Performance Report and submit to PS when requested	STR	PMT
25 Conduct and document formal progress review meetings	PS	STR
26 Monitor commercial and submittal requirements	PS	STR
27 Establish and maintain logs for incoming and outgoing correspondence received by or issued to the Subcontractor	PS	STR
28 Monitor Subcontractor's in-place workmanship for compliance to the subcontract requirements	STR	PMT
29 Notify Subcontractor of any non-conforming work and follow-up for compliance	STR/PS* (*If formal communication is appropriate.)	PMT
30 Issue a letter identifying unacceptable subcontract performance and corrective actions to be taken	PS	STR
31 Coordinate work activities between Subcontractors having interface or working in the same area	STR	PMT

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Legend:

STR – Subcontract Technical Representative

PS – Procurement Specialist (Contract Administrator)

PMT – Project Management Team (includes all listed in Legend plus support organizations)

PCE – Project Controls Engineer

PE – Project Engineer (Design Engineering Authority)

PL – Project Leader

ESM – Environmental Subcontracts Manager

SR – Safety Representative

QA-IQ – Quality Assurance Representative

DS- Deployed Security Representative

Activity Description	Primary Responsibility	Supporting Responsibility
32 Arrange and coordinate meetings with Engineering, Quality Control, Industrial Health, Safety, and other organizations as required to effectively manage the subcontract	STR	PMT
33 Identify and coordinate timely delivery of all LANL furnished equipment/material to Subcontractor	STR	PMT
34 Obtain Subcontractor’s written confirmation of receipt of any LANL-furnished material/equipment	STR/PS	PMT
35 Verify receipt of Subcontractor-furnished material/equipment for progress payment purposes	STR/PS	PMT
36 Review Application for Payment process with Subcontractor and Validate progress to payment schedule	STR	PS
37 Promptly approve Subcontractor’s Application for Payment	STR/PS	PMT
38 Prepare, obtain approvals, and issue Requisition for Change to Procurement	STR	PMT
39 Establish and maintain trend/change summary log	STR	PMT
40 Prepare and issue formal Change Notice to Subcontractor	PS	PMT
41 Establish and maintain a record of Change Notices issued to Subcontractor	PS	STR
42 Receive, document, and evaluate any claims/Change Notice proposals submitted by the Subcontractor	PS	STR
43 Negotiate Change Notice proposals and claims	PS/STR	PMT
44 Issue formal contract modifications (change order)	PS	STR
45 Review Subcontractor’s Progress Reports and take corrective action when required	STR	PMT
46 Coordinate and ensure Subcontractor equipment/material being brought onto LANL is inspected to meet safety and other site requirements	STR	PMT
47 Coordinate Health, Safety, Quality, Security, and Environmental Audits of Subcontractor	STR	SR/PMT
48 Notify Subcontractor in writing of any unsafe conditions arising during or from his work or from an unsafe act by a Subcontractor employee	STR/PS (Immediate notification STR; formal notification PS)	

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Legend:

STR – Subcontract Technical Representative

PS – Procurement Specialist (Contract Administrator)

PMT – Project Management Team (includes all listed in Legend plus support organizations)

PCE – Project Controls Engineer

PE – Project Engineer (Design Engineering Authority)

PL – Project Leader

ESM – Environmental Subcontracts Manager

SR – Safety Representative

QA-IQ – Quality Assurance Representative

DS- Deployed Security Representative

Activity Description	Primary Responsibility	Supporting Responsibility
49 Forward copies of Subcontractor correspondence to STR for information or action, as required	PS	STR
50 Forward copies of Subcontractor correspondence to PS for information or action, as required (all formal correspondence should be directed to PS)	STR	PS
51 Confirm that technical submittals, warranties, instruction manuals, operation manuals, QC documentation, as-builts, etc., are received	STR/PS	PMT
52 Confirm that all commercial submittals, documentation are received	PS	STR
53 Coordinate with the area/building custodian to hold formal acceptance inspections and arrange for correction of inspection exceptions before releasing the Subcontractor's work for use by the site	STR	PMT
54 Prepare and obtain approvals on beneficial occupancy if applicable.	STR	PMT
55 Prepare certified release for final payment	PS	STR
56 Inspect work-site to ensure Subcontractor leaves the work-site in a clean and safe condition	STR	PMT
Close-out		
1 Collect or account for security badges issued to the Subcontractor	STR	PS
2 Close out all outstanding Subcontractor claims	PS	STR
3 Obtain Release and coordinate final payment to Subcontractor	PS	STR
4 Complete the Subcontractor Performance Report and submit to PS	STR	PMT
5 Transmit field files to the PS (as required)	STR	
6 Assemble official subcontract files and transfer to archives/records	PS	

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ATTACHMENT 2: QUALIFICATION OF SUBCONTRACT TECHNICAL REPRESENTATIVES

7004-2

Qualification of Subcontract Technical Representatives

Records Use only



I. PURPOSE

The purpose of this attachment is to establish requirements and responsibilities to ensure each candidate designated to be Subcontract Technical Representatives (STRs) for Environmental Management meets the specific education and experience requirements identified in this procedure. Each candidate shall be qualified prior to being considered and approved by ASM to perform the STR function.

II. SCOPE

For LANS Environmental Subcontracts, each STR candidate shall be evaluated and successfully meet the requirements of this attachment.

III. DEFINITIONS

Direct Related Experience (DRE)

Experience acquired in Environmental Management, Subcontracts Administration, Contracts Field Engineering, and/or working under the direction of a qualified STR on Management & Operating (M&O) contract.

Education/Experience Credit (EEC)

A value assigned to a type/amount of experience or education.

General Experience (GE)

Experience acquired in Environmental Engineering, Quality Control, Craft Supervision or similar on environmental/construction projects other than M&O.

Qualification

The characteristics, ability or skill gained through education, experience, or training which makes an individual suitable for a given function or task. Proof of qualification is demonstrated or measured against established requirements such as standards or tests.

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Related Experience (RE)

Experience acquired in Environmental Engineering, Quality Control, Craft Supervision or similar on M&O. Experience acquired Subcontracts Administration and Contracts Field Engineering on other environmental construction projects.

IV. RESPONSIBILITIES

In addition to the responsibilities identified in Section 4.0 of this procedure, the following responsibilities are specific to the STR Qualification Program.

- a. The ESM by position is responsible for:
 - Providing qualified Area STR Leads (ASL);
 - Ensuring the overall STR Qualification Program is properly developed, implemented, maintained, and adhered to. This includes, however, is not limited to, the following:
 - * maintaining consistency in assignment of STRs
 - * ensuring required STR reading/training matrix is developed and enforced
 - * developing and maintaining a database of qualified STRs
 - * supporting a technical training program to train a STR candidate
 - * reviewing the application, qualification and experience of a STR candidate
 - * approving or disapproving the suspension or removal of an individual assigned as a STR
 - * evaluating the experience and education of the STR candidates, to determine if the STR candidate satisfies the minimum EEC requirements.
- b. ASL is responsible for:
 - Assisting in recommending STR candidates that require qualification as STRs
 - Ensuring that the STRs update required reading/training as assigned by the training matrix
 - Implementing all aspects of this procedure as directed by the ESM.
- c. The STR is responsible for successfully completing the STR Qualification Program and adhering to the requirements of this procedure.

V. QUALIFICATION PROCESS

When openings arise for STRs, the ESM screens and selects candidates based upon Education, Direct Related Experience, Related Experience or General Experience. The STR candidate shall be a LANS Exempt employee. A composite score of six (6) EECs must be achieved as a minimum to be considered and continue in the qualification process. Candidates with a composite score less than six (6) EECs shall not be considered and cannot continue in the qualification process until the minimum EEC requirements are met. Upon satisfying the minimum EEC requirements through additional education and/or experience (e.g., on-the-job training), the candidate may be re-nominated to the qualification process.

The ESM will assemble a qualification package for each candidate, consisting of:

- Candidate resume
- A completed Education and Experience Record, Attachment 3
- A completed STR Interview Sheet,
- Any additional information in support of the qualification, and
- A Letter of Qualification, Attachment 5 (upon successful completion of the STR Qualification Program).

Education

Listed below are the EEC values as they correspond to the following types of education related to:

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- * Bachelor of Science (BS) degree or higher = 5 EECs
- * Business Administration degree or higher = 3 EECs
- * Bachelor of Arts (BA) = 2½ EECs
- * Related Associate of Arts (AA) = 1½ EECs
- * Related Associate of Science (AS) = 1½ EECs
- * High School (HS) Diploma = ½ EEC
- * Educational Equivalent = General Equivalency Diploma (GED).

Experience

Listed below are the EEC values as they correspond to the following types of experience related to environmental/construction:

- * Direct Related Experience (DRE) = 1 EEC per year
- * Related Experience (RE) = ½ EEC per year
- * General Experience (GE) = ¼ EEC per year.

STR Interview/Qualification

The ESM or Designee will develop a questionnaire, STR Interview Sheet, and conduct a personal interview to challenge the STR candidate's knowledge of technical or administrative information regarding subcontract management activities, attachment 4. Additionally, the ESM will review the training and reading requirements completed by the candidate and document the results as satisfactory or unsatisfactory. Upon satisfactory completion of the interview, the ESM approves the Letter of Qualification, attachment 5, by signature and date. A copy is forwarded to ASM denoting the individual qualification and availability to perform STR activities.

[NOTE: At anytime after qualification, the STR is identified to be an unsatisfactory performer, the qualification will be suspended or removed by the ESM. The STR database will be updated to reflect both the removal and/or reinstatement of the qualifications.]

VI. MAINTAINING STR QUALIFICATIONS

The STR must attend 75% of the STR meetings held by ADEP STR Lead or ADPMGT STR Manager to maintain his/her qualifications.

VII. QUALIFICATION RECORDS

All records generated shall be maintained by the ESM. Copies of individual qualifications shall be maintained by ASM.

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ATTACHMENT 3: STR EDUCATION AND EXPERIENCE RECORD

7004-3

STR Education and Experience Record

Records Use only



Name (Last, First, MI):

Z #:

Employee #:

Date:

Education (enter Highest Level Only)

Number of Credits

High School Diploma (or Equivalent)

College

- BS Degree, Major
- BA Degree, Major
- AS Degree, Major
- AA Degree, Major

Example

Experience

Years of Direct Related Experience

Years of Related Experience

Years of General Experience

Total Number Education/Experience Credits (EECs)

(This form must be completed and have a resume attached.)

Review Results

The above candidate does/does not meet the minimum qualification requirements needed for further evaluation as an STR.

Environmental Subcontracts Manager (printed name/signature):

Date:

ADEP Project Director (printed name/signature):

Date:

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ATTACHMENT 4: STR INTERVIEW SHEET

7004-4

STR Interview Sheet

Records Use only



STR INTERVIEW SHEET

Candidate Name (Last, First, MI)	Z NO.	Date
Type of Qualification (Initial/Requalification)		
INTERVIEW EXAMINATION CHECKLIST	RATING	
	SATISFACTORY/INSATISFACTORY	
1.FAMILIARITY WITH		
2.FAMILIARITY WITH		
3.FAMILIARITY WITH		
4.FAMILIARITY WITH		
5.FAMILIARITY WITH		
OVERALL RATING		
ADEP Subcontracts Manager (signature)	Date	

Example

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ATTACHMENT 5: STR LETTER OF QUALIFICATION

7004-5

STR Letter of Qualification

Records Use only



Name (Last, First, MI):

Z #:

Employee #:

Date:

An evaluation of the above referenced Candidate's qualification record(s) provide evidence of his/her ability to satisfactorily perform applicable Environmental Subcontracts Management activities and justifies awarding the qualifications listed:

Subcontract Technical Representative (STR)

Initial Contract Value Not Exceeding:

- 2 Million
- 5 Million
- 10 Million
- 25 Million
- 50 Million
- 100 Million
- Other _____

Area Subcontract Technical Representative Lead (ASL)

Total Contract(s) Initial Value Not Exceeding:

- 20 Million
- 50 Million
- 100 Million
- Other _____

Environmental Subcontracts Manager (printed name/signature):

Date:

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ATTACHMENT 6: SUBCONTRACT FIELD CONDITIONS

7004-6

Subcontract Field Conditions

Records Use only



I. Schedule

Daily Work Hours: ___ AM to ___ PM Mon Tue Wed Thu Fri
Off-shift hours required? Yes No
If yes, explain:

II. Job Site Conditions

Parking – Size: Distance From Site:
Office Space – Size: Distance From Site:
Laydown/Temp. Const. Areas – Size: Distance From Site:
Storage – Interior – Size: Distance From Site:

Notes/Restrictions:

Construction Power Available? Yes No If yes, explain:
Source: Voltage/Amps: Distance From Site:
Type of Termination(s): Notes/Restrictions:

Construction Power Available? Yes No
Source: Tap Size: GPM: Distance From Site:

Notes/Restrictions:

Facilities

Drinking/Sanitation Water By LANL By Subcontractor
Sanitary Facilities By LANL By Subcontractor

Survey/Layout

Bench Mark, VCP/HCP Distance From Site: At Coordinates:

Notes/Restrictions:

Backfill/Barrow Pit

Location: Distance From Site:
Access Requirements:

Notes/Restrictions:

Job Site Signs?

Is the subcontractor required to post a sign identifying his work, name, etc.? Yes No
If yes, explain:

III. Work Conditions / Hazards

Site Lockouts Required [Hazardous Energy Control (lockout/tagout)]? Yes No
If yes, see Exhibit F-30 and explain any supplemental requirements / restrictions here:

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Overhead Lines? If yes, see Exhibit F-36 and identify location, type, and explain any supplemental requirements/restrictions here:	<input type="checkbox"/> Yes <input type="checkbox"/> No
UG Lines? Are all UG lines shown on the Drawings?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No
See Exhibit F-28 and explain any supplemental requirements / restrictions here:	<input type="checkbox"/> Located by Contractor <input type="checkbox"/> Located by Subcontractor
Radiological?	
Does scope involve the onsite use of Radiation Generating Devices or Radioactive Sources?	<input type="checkbox"/> Yes <input type="checkbox"/> No
If yes, explain here:	
Dosimetry Required?	
Is dosimetry required?	<input type="checkbox"/> Yes <input type="checkbox"/> No
If yes, explain here:	
IV. Miscellaneous / Other	
General Comments:	

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ATTACHMENT 7: SUBCONTRACT TRAINING MATRIX

7004-7

Subcontract Training Matrix

Records Use only



Course Number	Time Required	Course Title	Required (Yes/No)	Required Supervisor Only	Costing Rate
Area-Specific Training					
Course Number	Time Required	Course Title	Required (Yes/No)	Required Supervisor Only	Costing Rate

Example

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Example

General Comments:

Training No-Show Policy

This training matrix identifies the LANL training that is required to perform work for this subcontract. LANL offers site -specific training classes necessary to perform work in all areas in Los Alamos National Laboratory. Most of the training requires a classroom charge/fee which will normally not be incurred by the Subcontractor. However, if the Subcontractor employee is a no-show for the training slot in which he is registered, the Subcontractor will be responsible for the classroom charge/fee for that training session.

Cancellations – If there is a need for cancellation, the Subcontractor must notify the STR immediately. The notice must be given **at least 24 hours** prior to the scheduled class. You will be notified if the class could not be canceled. If the class cannot be canceled and a substitution is not sent, the Subcontractor will be charged for the applicable classroom charge/fee if any.

Substitutions – Substitutions will be allowed under the following conditions: The Subcontractor must notify the STR as soon as the need for a substitute is identified. The STR will contact the Training Office for notification of the substitution. When the Substitute trainees sign in at the classroom, they must draw a single line through the name of the person they are substituting for and then sign in above that person’s name. Under the “Comments” sections of the form, write “S#”. This will let the instructor know that the trainee is a **Substitute**.

[NOTE: The classroom charges/fees are subject to change without notice. The charge/fee in effect at the time of the class will apply. The cost of these classes will normally run from \$15 to \$25 per classroom hour per attendee.]

Environmental Subcontracts Management

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ATTACHMENT 8: SUBCONTRACT CHANGE SUMMARY LOG

7004-8

Subcontract Change Summary Log

Records Use only



SUBCONTRACTOR: SUBCONTRACT No:										ORIGINAL SUBCONTRACT AMOUNT: Change Notices Issued: Current value with Amendments: Remaining budget:										Data Date:											
Reference				TREND/BCP DATA						PRs				Change Notices			S/C Proposals				Amendments										
Log Number	Ref. Document	Date Iss'd	Description	Trend No.	Trend Amt	Schedule Impact	Trend Reslvd Date	BCP #	App'd Date	PR No.	PR App'd	Site Estimate	Schedule Impact	CN No.	Issue date	S/C Ack. Date	Prop. Doc #	Prop. Date	Proposal Amount	Schedule Impact	Amend. No.	Issue Date	Amount	Schedule Impact	Revised PO Total	Action	Status				
			Totals		\$0							\$0							\$0				\$0		\$0						
																			Unresolved Change Proposals(2):						\$0						

Example

Environmental Subcontracts Management

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ATTACHMENT 9: SUBCONTRACT CHANGE SUMMARY LOG INSTRUCTIONS

7004-9

Subcontract Change Summary Log Instructions

Records Use only



The following are instructions for the implementation of the Subcontract Change Summary Log. The Subcontract Change Summary Log represents the required data that is expected to be documented. Project teams can add additional fields, if necessary, to track information not contained on this log.

1. For each subcontract, develop a separate Subcontract Change Summary Log.
 - Identify the Subcontractor
 - Identify the Subcontract Number
 - Identify the number of Change Notices issued
 - Identify the current value of the Subcontract (this value will include Amendments)
 - Identify the Budget Ceiling
 - Identify the remaining Budget Ceiling (subtract the current value of the subcontract from the Budget Ceiling)
2. Assign a unique Log number.
3. Identify each RFI or problem (SDDR, DCF, etc. or N/A if not associated to an RFI or specific document) in the Reference Document column. Provide the Date Issued and a brief problem description in the appropriate columns.
4. Enter the Trend/BCP Data, obtained from the Project Controls Trend Engineer, in the appropriate column. Update preliminary Trend data when resolved. A BCP may not be required for each Trend.
5. Write a PR to initiate the Change Notice and enter the PR Number, the PR Approval Date, Schedule Impact, and the Independent Site Estimate value in the appropriate columns of the log.
6. Enter the Change Notice information from copies provided by the Procurement Specialist.
7. Contact the Procurement Specialist and obtain the subcontractors proposal information. Enter the Proposal Amount, the Proposal Document Number, the Proposal Date, and the forecasted Schedule Impact in days in the appropriate columns.
8. At the completion of negotiations, the Procurement Specialist should issue an Amendment to the subcontract. Follow up to make sure this happens and, from your copy, enter the Amendment information in the appropriate columns of the log.
9. If the SUBCONTRACTOR submits a "claim" during the execution of the subcontract, the STR should record the claim(s) as any other problem recorded in the Subcontract Change Summary Log.

Environmental Subcontracts Management

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ATTACHMENT 10: CHANGE NOTICE PROPOSAL SUMMARY

7004-10

Change Notice Proposal Summary

Records Use only



SUBCONTRACT NO.:

SUBCONTRACTOR:

CHANGE PROPOSAL NO.:

DATE:

I. SUBCONTRACTOR COST

Direct Labor (including fringes)	\$			
Direct Labor Payroll Taxes and Insurance @ _____%	\$			
Material Cost	\$			
Material – Sales Tax @ _____%	\$			
Equipment	\$			
Subtotal Directs		\$		
Overhead @ _____% (applied to Subtotal Directs)		\$		
SUBTOTAL			\$	
Profit @ _____% (applied to Subtotal)			\$	
FICA and FUTA @ _____% (applied to Total Labor)			\$	
SUBTOTAL			\$	

Example

II. LOWER-TIER SUBCONTRACTOR COST

#1	\$			
#2	\$			
#3	\$			
TOTAL	\$			
SUBCONTRACTOR MARK-UP @ _____%		\$		
SUBCONTRACTOR LOWER-TIER COST			\$	

III. GRAND TOTAL

IV. P&P BONDS @ _____%

V. TOTAL PROPOSAL COST

VI. THE EFFECT ON THE SCHEDULE IS:

\$

\$

\$

Environmental Subcontracts Management

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ATTACHMENT 11: ESTIMATE DETAIL WORKSHEET

7004-11

Estimate Detail Worksheet

Records Use only



ESTIMATE DETAIL WORKSHEET

PROJECT # _____
 SUBCONTRACT NO. _____
 SUBCONTRACTOR _____
 DESCRIPTION _____

DATE _____
 PREPARED BY _____
 CHECKED BY _____
 APPROVED BY _____

	DESCRIPTION	Craft No.	Qty	UOM	MATERIAL		EQUIP	LABOR						Total		
					Unit Price	Total		UNIT MH	MH TOTAL	RATE	TOTAL	FRINGE RATE	TOTAL FRINGE		TOTAL LABOR	
1																
2																
3																
4																
5																
6																
7																
8																
9																
10																
11																
12																
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22																
23																
TOTALS FOR THIS PAGE																

Example

ATTACHMENT 12: REQUEST FOR INFORMATION

7004-12

Request for Information

Records Use only



SUBCONTRCT No.	RFI No.	Date:	Page _____ of _____
Project ID:	Date Reply Requested By:		
Reference Information (Document Drawing/Specification/Location)			
INFORMATION REQUESTED/PROBLEM:			
PROPOSED RESPONSE/SOLUTION:			
SUBCONTRACTOR Representative:		STR:	Receipt Date:
INFORMATION TO SUBCONTRACTOR			
REQUESTED INFORMATION:			
CONTRACTOR Representative:			Date:

Example

ATTACHMENT 13: REQUEST FOR INFORMATION COMPLETION INSTRUCTIONS

7004-13

Request for Information Completion Instructions

Records Use only



This procedure provides for controlled identification, notification and resolution of SUBCONTRACTOR initiated technical questions. A Request for Information (RFI) is a SUBCONTRACTOR initiated technical question. An RFI is initiated if the SUBCONTRACTOR:

- Is unable to understand technical documents: scope, specifications, drawings, or data; or
- Discovers or perceives a conflict, ambiguity, error or omission in or among the technical documents.

Upon determination that an RFI is required, the SUBCONTRACTOR should prepare its question on the attached form, log the RFI using a sequential numbering system (e.g., the first RFI is [SUBCONTRACT #]-RFI-0001), and deliver the RFI to CONTRACTOR'S STR. SUBCONTRACTOR shall maintain a log to track and document status. At a minimum the log shall contain the RFI identifier, date submitted, date returned, status, and a section for comments. SUBCONTRACTOR shall provide an updated copy of this log at each weekly Project Status Meeting for review.

RFIs that request a specific date for a required response should be monitored for a response and, if no response has been issued three (3) days before the response is due, the originator should contact CONTRACTOR to ascertain the status of the response. CONTRACTOR will target to respond to most RFIs within three (3) working days and all RFIs within two (2) weeks.

The RFI may not be used to request deviations to the Specification. See the Supplier Deviation Disposition Request (SDDR) section of the Contract Documents for deviations. CONTRACTOR responses to RFIs shall not be construed as permission to deviate from contract requirements. RFIs are not authorized change documents and cannot be used to direct a change in contract requirements. If CONTRACTOR'S response on the RFI has a cost and/or schedule effect, it is the SUBCONTRACTOR'S responsibility to immediately advise CONTRACTOR'S Procurement Specialist with a SUBCONTRACTOR Change Proposal. Work undertaken without CONTRACTOR authorization is at the SUBCONTRACTOR'S risk and expense.

ATTACHMENT 14: STR DAILY ACTIVITY REPORT

7004-14

STR Daily Activity Report

Records Use only



SUBCONTRACTOR NUMBER:

DATE:

SUBCONTRACTOR NAME:

PROJECT ID:

SHIFT (Start/Stop Time):

WEATHER:

SAFETY HEALTH AND ENVIRONMENT NOTES:

WORK FORCE (Sub-tier, Manpower):

MAJOR EQUIPMENT (Onsite/Utilization):

Change Order Work:

Change Order Work:

DESCRIPTION OF WORK PERFORMED TODAY:

Change Order Work:

Example

SPECIAL COMMENTS (Work Stoppage, Potential Delays, Issues, Interfaces, Problems):

STR (Printed Name/Signature):

DATE:

ATTACHMENT 15: SUBCONTRACT MONTHLY REPORT

7004-15

Subcontract Monthly Report

Records Use only



Subcontract Monthly Report

PERIOD ENDING

Subcontract No:

Project No:

Requisition No:

Location/Area:

Subcontractor:

Project Title:

PM:

CM:

STR:

Procurement Rep:

Project Controls:

Initials:

STAGE:
PB = PRE-BID
A = AWARDED/PRE-CONST
CO = CLOSE-OUT
H = HOLD
OB = OUT FOR BID
W = WORKING
C = CLOSED
CN = CANCELLED

COMMERCIAL

ESTIMATED AMOUNT

ORIGINAL S/C AMOUNT:

NUMBER OF APPROVED CHANGES:

AMOUNT OF APPROVED CHANGES:

CURRENT S/C AMOUNT:

NUMBER OF FORECASTED CHANGES:

AMOUNT OF FORECASTED CHANGES:

NUMBER OF PROGRESS PAYMENTS APPROVED:

AMOUNT OF APPROVED PROGRESS PAYMENTS:

PERCENT OF AUTHORIZED S/C COST SPENT TO DATE:

CUMULATIVE LIABILITY TO DATE:

SUBCONTRACT SCHEDULE

	SCHEDULED	ACTUAL
ISSUE SOLICITATION:	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>
RECEIVE PROPOSALS / BIDS:	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>
S/C AWARD DATE:	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>
MOBILIZATION DATE:	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>
MECHANICAL COMPLETION DATE:	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>
PHYSICAL COMPLETION DATE:	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>

SUBCONTRACTOR SAFETY

LOST TIME ACCIDENTS <input style="width: 100%;" type="text" value="0"/>	FIRST AID CASES <input style="width: 100%;" type="text" value="0"/>	TOTAL SITE MANHOURS <input style="width: 100%;" type="text" value="0"/>
OSHA RECORDABLES <input style="width: 100%;" type="text" value="0"/>	INCIDENTS <input style="width: 100%;" type="text" value="0"/>	
RESTRICTED CASES <input style="width: 100%;" type="text" value="0"/>	PERIOD ENDING MANHOURS <input style="width: 100%;" type="text" value="0"/>	OSHA TRC RATE <input style="width: 100%;" type="text" value="#DIV/0!"/>

COMPLETION STATUS/PROGRESS

	SCHEDULED %:	ACTUAL %:
DESIGN:	<input style="width: 100%;" type="text" value="0.0"/>	<input style="width: 100%;" type="text" value="0.0"/>
CONSTRUCTION:	<input style="width: 100%;" type="text" value="0.0"/>	<input style="width: 100%;" type="text" value="0.0"/>
OVERALL:	<input style="width: 100%;" type="text" value="0"/>	<input style="width: 100%;" type="text" value="0.0"/>

REMARKS / VARIANCE ANALYSIS

**ATTACHMENT 16: BACK CHARGE NOTICE FOR PROVISIONS OF SERVICES,
EQUIPMENT, OR MATERIALS TO SUBCONTRACTOR**

7004-16

**Back Charge Notice for Provisions of Services, Equipment, or
Materials to Subcontractor**

Records Use only



Back Charge Notice No.:	Subcontract No.:
SUBCONTRACTOR:	Date:

In accordance with provisions of the subject Subcontract, LANS agrees to perform the following elements of the Subcontract scope:

Example

LANS AGREES TO PROVIDE THE SERVICE UNDER THE FOLLOWING CONDITIONS:

1. Cost

The cost to perform the service shall be fully borne by the SUBCONTRACTOR. LANS provides herein a good faith estimate of the cost of the service. During performance of the service, actual costs will be accumulated by LANS and, upon completion of the service, LANS will amend this Backcharge Notice to reflect actual costs. The actual cost will be deducted from the Subcontract sum.

2. Schedule

In performing this service, LANS is not responsible for delays to the Subcontract schedule, which might arise from such performance. The SUBCONTRACTOR expressly agrees not to assert a claim for impact costs resulting from a schedule delay.

3. Responsibility of SUBCONTRACTOR

It is understood that the SUBCONTRACTOR expressly agrees that all such work performed by LANS shall be at the sole risk and responsibility of the SUBCONTRACTOR. The SUBCONTRACTOR shall indemnify and hold LANS harmless from any loss or expense in connection with the performance of work thereunder by LANS resulting from injury to or death of any person or from damage to any property (including equipment and material to be installed) unless caused by the sole negligence of LANS.

If this Back Charge Notice is for provision of equipment/materials only, the SUBCONTRACTOR has examined the items and found them to be operable, safe, and suitable for SUBCONTRACTOR'S intended use. In consideration of

LANS granting to the SUBCONTRACTOR the right to use such equipment/materials, the SUBCONTRACTOR hereby agrees that the possession, handling, and use of the equipment shall be at the sole risk and responsibility of the SUBCONTRACTOR. The SUBCONTRACTOR shall indemnify and hold LANS harmless from any loss or expense in connection with the SUBCONTRACTOR'S possession, handling, or use of such equipment and material to be installed.

Upon delivery of LANS-furnished property to the SUBCONTRACTOR, the SUBCONTRACTOR assumes the risk and responsibility for its loss or damage, except for reasonable wear and tear, or as otherwise provided for by the provisions of the Subcontract.

Basis for Estimate Cost:

Labor \$ _____

Material \$ _____

Equipment/ Other
(Overheads, etc.) \$ _____

Total \$ _____

Example

REVIEWED:		ACCEPTED:	
STR Printed Name/Signature	Date	Subcontractor	Date
APPROVED:			
Procurement Specialist Printed Name/Signature			Date

ATTACHMENT 17: SUBMITTAL FORM

7004-17

Submittal Form

Records Use Only



Project Subcontractor Submittal Status Sheet

Subcontract Number		Date Received	
Subcontractor	Company Name	Item Number/If applicable	STR Name
	Street Address	<input type="checkbox"/> Initial Submittal of a New Document <input type="checkbox"/> Re-Submittal of Previous Document	
	City, State, Zip Code		
	Attention: Subcontractor's Point-of-Contact		

Submittal Title	
------------------------	--

Subcontractor/Supplier Document Status Stamp

Check One

- | | |
|--|--|
| <input type="checkbox"/> A) Reviewed-Work may proceed.
<input type="checkbox"/> B) Reviewed-Revise and resubmit within <u>XX</u> (30 days maximum) calendar days from submittal date- Work may proceed. | <input type="checkbox"/> C) Work may not proceed. Revise and resubmit within <u>XX</u> (30 days maximum) calendar days from submittal status date.
<input type="checkbox"/> D) Permission to proceed not required. |
|--|--|

Stated By _____

Date _____

_____ SC/P.O. Number	_____ Document ID Number
-------------------------	-----------------------------

Comments

Please submit comments to _____	by	_____
(Subcontract Technical Representative (STR))		(Date)

Primary Reviewer designated with an (*). Primary Reviewer please consolidate comments, check status, and return comments with original Status Sheet to the STR.

Role	Reviewer	Check Review Requirement	Reviewer Initials
Engineering		<input type="checkbox"/>	
Environmental		<input type="checkbox"/>	
Facility Operations		<input type="checkbox"/>	
Human Resources		<input type="checkbox"/>	
Labor Relations		<input type="checkbox"/>	
Quality Assurance		<input type="checkbox"/>	
Contract Administrator/ASM		<input type="checkbox"/>	
Project Controls		<input type="checkbox"/>	
Project Manager/Task Lead		<input type="checkbox"/>	
RADCON		<input type="checkbox"/>	
Risk Management/Legal		<input type="checkbox"/>	
Safety		<input type="checkbox"/>	
Safety Basis		<input type="checkbox"/>	
Security		<input type="checkbox"/>	
Subcontract Technical Representative		<input type="checkbox"/>	
Waste Coordinator		<input type="checkbox"/>	

SAVE

PRINT

Section 16.1 Attachment 3 - Procedure Change Request

Procedure Change Request				
Section #1- Type of Request <i>9/19/08</i>				
Manual/Procedure No. (if known): <i>EP-DIR-SOP-7004 SOP 0002</i>			Revision: <i>0.8 aum</i>	
Title: Environmental Subcontracts Management				
Detailed description of requested change (Attach additional sheets if needed. Number additional sheets): Changes throughout the entire document- added Pre-award and Post- award sections to clarify. Added 2 attachments.				
Requestor Signature: <i>Allison R. Respass</i>		Print Name: Allison R. Respass	Phone: 795-5331	Date: <i>6/9/08</i>
Section #2 -Procedure Owner Supervisor Approval For Processing				
<input type="checkbox"/> New Procedure	<input checked="" type="checkbox"/> Major Revision	<input type="checkbox"/> Minor Revision	<input type="checkbox"/> Special Procedure	
<input type="checkbox"/> IPC	<input type="checkbox"/> Deactivation	<input type="checkbox"/> Cancellation	<input type="checkbox"/> IPC Rollup	
<input type="checkbox"/> Approved		<input type="checkbox"/> Disapproved (Return to originator)		Priority: <i>Medium</i>
Procedure Owner/Supervisor Signature: <i>Alison M. Dornies</i>		Print Name: Alison M. Dornies	Date: <i>6/10/08</i>	
Section #3 -Review and Concurrence				
IPC # <i>N/A</i>	IPCs Incorporated: <i>N/A</i>	Affected Pages: <i>N/A</i>		
Other affected facilities or N/A: <i>N/A</i> Obtain Concurrence all facilities/organizations affected by this change				
Review and Concurrence: Review organizations (N/A if not required); document additional review organizations, if needed on continuation sheet. CSE approval required for all technical procedures except minor revisions, IPC Rollup, and non-AB related cancellations/deactivations. CSE approval always required for changes affecting safety basis steps.				
Department:	Print Name:	Signature:	Date:	
<i>WES-DC</i>	<i>Alison Dornies</i>	<i>Alison Dornies</i>	<i>6/10/08</i>	
<i>WES-RS</i>	<i>Devin Farley</i>	<i>Devin Farley</i>	<i>6/11/08</i>	
<i>AD/EP-CAR</i>	<i>Gordon Decker</i>	<i>A 782</i>	<i>6/10/08</i>	
CSE USQ Number (as applicable): <i>N/A per UR 8/13/08</i>	ADC: <input checked="" type="checkbox"/> Unclassified	<input type="checkbox"/> OOU	<input type="checkbox"/> UCNI	<input type="checkbox"/> Classified
Print Name: <i>SS</i>	Signature: <i>Sutt Miller</i>			
Section #4 - Final Approval By Procedure Owner				
Validation Required? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Document is Authorized to serve as Part 1 of the IWD <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Periodic Review Requirements Satisfied? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
Training Required: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Classroom/Briefing <input type="checkbox"/> On the Job	<input type="checkbox"/> Just-in-Time <input checked="" type="checkbox"/> Required Reading	<input type="checkbox"/> Hold for Completion of Training <input type="checkbox"/> Release Procedure to field	
Approval Signature: <i>Allison R. Respass</i>	Print Name: Allison R. Respass	Z Number:	Date: <i>6/9/08</i>	Phone: <i>795-5331</i>

0 aum 10/9/08

Training Review Completed course # 47757

Training Review & discussion with procedure author identified STR Training Class is offered by ASM including annual refresher. Required Reading for this EP procedure and any revisions is approved

Pam Flores 10/2/08