



United States Environmental Protection Agency
Washington, DC 20460

OSWER Directive Initiation Request

Interim Directive Number
9242.3-3A

Originator Information

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Lead Office
☒ OERR
☐ OSW
☐ OUST
☐ OWPE
☐ AA-OSWER

Approved for Review

Signature of Office Director

Date

Title

Revised Draft Work Assignment Procedures for Remedial Contracts

Summary of Directive

Guides user thru the Remedial Contracting Process.

Type of Directive (Manual, Policy Directive, Announcement, etc.)

Development Process

Status

☒ Draft
☐ Final

☐ New
☒ Revision

Does this Directive Supersede Previous Directive(s)? ☒ Yes ☐ No Does It Supplement Previous Directive(s)? ☐ Yes ☐ No

If "Yes" to Either Question, What Directive (number, title)
9242.3-3

Review Plan

☐ AA-OSWER ☐ OUST ☐ OECM
☒ OERR ☐ OWPE ☐ OGC
☐ OSW ☒ Regions ☐ OPPE

☒ Other (Specify) Procurement and Contracts
Management Division

This Request Meets OSWER Directives System Format

Signature of Lead Office Directives Officer

Date

4/9/86

Signature of OSWER Directives Officer

Date

REVISED DRAFT

WORK

ASSIGNMENT PROCEDURES

FOR REMEDIAL CONTRACTS

February 27, 1986

Prepared by:

Camp Dresser & McKee Inc.

REM II Document Control No.: 999-PM1-RT-CDHC-3

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1.0 INTRODUCTION

1.1 Purpose

This document describes the procedures that are to be used in initiating and monitoring the contractual aspects of a Work Assignment. The actions that are to be taken by both EPA and the Contractor during each step are described within. The four key steps that are involved in the work assignment process include the following:

- Step 1 - Development and issuance of the Work Assignment
- Step 2 - Completion of the interim work assignment tasks and approval of the Contractor work plan
- Step 3 - Implementation of the approved Contractor work plan which includes the following two elements:
 - Technical Direction Memoranda for phased work plan execution
 - Amendments to Final Work Plan Approval
- Step 4 - Completion of the work assignment and close-out procedures

1.2 Modifications to the Existing Procedures

Several changes have been made to existing procedures in order to facilitate the management and coordination of Federal-lead remedial projects. These changes are proposed principally to move the management of the phased execution of the work assignments to the regions and streamline authorization and include the following items:

- Development of a single work assignment approval form;
- Standardization of detailed interim statements of work that include a detailed description of each interim task, LOE task assignments, estimated budget, and task and deliverable schedules;
- Work Plan Memoranda will be streamlined to a one page form which will be basically a checklist and Contractor work assignment acceptance form. This form will also serve as a cover sheet to transmit resume material for the key staff proposed for the work and conflict of interest declarations. Work Plan Memorandums will be submitted within ten (10) days of receipt of the work assignment;
- Procedures to enable the RPM/RPO to manage the technical execution of an RI/FS at the regional level; and
- Procedures whereby the RPM/RPO provides technical direction and additional phases of phased work on a regional level within the previously approved scope of work and budget by the EPA CO when such phased work is within the scope, budget, and schedule of the approved final work plan.

1.3 The Work Assignment Form

We have created the Work Assignment Form (WAF) to manage and coordinate the various activities needed to initiate, approve, and complete a Work Assignment. This form

consolidates all of the work assignment "contractual" activities on one form to eliminate the misuse and misunderstanding associated with having different forms for different phases of the work assignment process. Each successive WAF on a WA supercedes the previous WAF and therefore ALL required information must be provided on the updated WAF when submitted. A copy of the WAF is provided in Figure 1.

The WAF is a one-page form with instructions provided on the back to facilitate its use. The form provides for approval tracking and authorization and must be used whenever one of the following five activities are to be conducted:

- A new Work Assignment is issued by EPA;
- The Contractor requests an Interim Amendment to the work assignment;
- The work plan is approved and the total funding authorization is received;
- The Contractor prepares a Technical Direction Memorandum to conduct phased work approved under an existing work plan;
- The Contractor requests an Amendment to the Final Work Plan Approval; or
- The RPO requests an assignment to be closed-out.

This form is completed by EPA during the first three steps of the work assignment process and the Contractor in the 2nd and 3rd steps. As shown on Figure 1, the form is divided into six (6) distinct sections:

1. Work assignment information which identifies the project name, the date the form was prepared, the EPA contract number, the revision number which numerically accounts for all contractual activity on the work assignment, and the work assignment number and modification number which are provided by EPA.
2. Description of action defines the status of the submittal covered by the Work Assignment Form. As shown on Figure 1, there are six basic actions that can be taken:
 - a. Issuance of a new work assignment in which case EPA will be initiating the action
 - b. Submission by the Contractor of an interim amendment to revise an interim assignment
 - c. Submission, initiated by the Contractor, of a final work plan for approval
 - d. Submission by the Contractor of an amendment to revise a final approved work plan
 - e. Submission by the contractor of a Technical Direction

USEPA		WORK ASSIGNMENT FORM																											
1. WORK ASSIGNMENT INFORMATION: PROJECT NAME: _____ CONTRACTOR: _____ WORK ASSIGNMENT NO.: _____ ACTIVITY: _____ EPA CONTRACT NO.: _____ REVISION NO.: _____ DATE: _____ CONTRACTOR CONTROL NO.: _____ MODIFICATION NO.: _____ <small>(Contracting Officer Use Only)</small>																													
2. DESCRIPTION OF ACTION: <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 20%; padding: 5px; vertical-align: top;"> <input type="checkbox"/> NEW WORK ASSIGNMENT • Interim SOW, schedule, and LOE • Complete SOW estimated budget and schedules REQUIRED APPROVAL: EPA REGION/ HEADQUARTERS </td> <td style="width: 20%; padding: 5px; vertical-align: top;"> <input type="checkbox"/> INTERIM AMENDMENT • Change in LOE, scope by task • Add additional tasks or funds EPA REGION/ HEADQUARTERS </td> <td style="width: 20%; padding: 5px; vertical-align: top;"> <input type="checkbox"/> FINAL WORK PLAN APPROVAL • Approve work plan • Add funds <input type="checkbox"/> AMENDMENT TO FINAL WORK PLAN APPROVAL • Change in LOE, scope or budget by task • Add additional tasks or funds (include OF 60 or SF 1411) EPA REGION/ HEADQUARTERS </td> <td style="width: 20%; padding: 5px; vertical-align: top;"> <input type="checkbox"/> TECHNICAL DIRECTION MEMORANDUM • Detailed scope, budget and schedule • Revise expenditure level • Minor shift within SOW <small>(All changes must be within overall scope, budget, and LOE approved by EPA COI)</small> EPA REGION </td> <td style="width: 20%; padding: 5px; vertical-align: top;"> <input type="checkbox"/> WORK ASSIGNMENT COMPLETION NOTIFICATION (No Attachments) • Regional determination • CO notifies contractor to stop work </td> </tr> </table>						<input type="checkbox"/> NEW WORK ASSIGNMENT • Interim SOW, schedule, and LOE • Complete SOW estimated budget and schedules REQUIRED APPROVAL: EPA REGION/ HEADQUARTERS	<input type="checkbox"/> INTERIM AMENDMENT • Change in LOE, scope by task • Add additional tasks or funds EPA REGION/ HEADQUARTERS	<input type="checkbox"/> FINAL WORK PLAN APPROVAL • Approve work plan • Add funds <input type="checkbox"/> AMENDMENT TO FINAL WORK PLAN APPROVAL • Change in LOE, scope or budget by task • Add additional tasks or funds (include OF 60 or SF 1411) EPA REGION/ HEADQUARTERS	<input type="checkbox"/> TECHNICAL DIRECTION MEMORANDUM • Detailed scope, budget and schedule • Revise expenditure level • Minor shift within SOW <small>(All changes must be within overall scope, budget, and LOE approved by EPA COI)</small> EPA REGION	<input type="checkbox"/> WORK ASSIGNMENT COMPLETION NOTIFICATION (No Attachments) • Regional determination • CO notifies contractor to stop work																			
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5. EPA COMMENTS:																													
6. APPROVALS <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td colspan="3" style="padding: 5px;"> CONTRACTOR SIGNATURES: SITE MANAGER FIRM _____ DATE _____ REGIONAL MANAGER FIRM _____ DATE _____ </td> <td colspan="3" style="padding: 5px;"> EPA SIGNATURES: REGIONAL PROJECT MANAGER _____ DATE _____ REGIONAL PROJECT OFFICER _____ DATE _____ </td> </tr> </table>						CONTRACTOR SIGNATURES: SITE MANAGER FIRM _____ DATE _____ REGIONAL MANAGER FIRM _____ DATE _____			EPA SIGNATURES: REGIONAL PROJECT MANAGER _____ DATE _____ REGIONAL PROJECT OFFICER _____ DATE _____																				
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cc: EPA Project Officer
 Contractor Financial Manager
 EPA Contracting Officer (when only expenditure limit column is used)

ATTACH STATEMENT OF WORK
 (PER DESCRIPTION OF ACTION)

Memorandum to provide more detailed scope, budget and schedule information to the Region for the phased execution of a work assignment; and

- f. Submission by the RPM of a request for the assignment to be closed-out.

3. Budget information which presents the budgeted technical LOE and where required, dollars associated with the approval phase under which the work assignment is being executed.
4. Work Assignment (WA) Completion Date which presents the current date for completion of the work assignment and provides for documenting the revising of the completion date as warranted.
5. EPA comments section provides space for EPA, principally the Contracting Officer, to make comments concerning the submission and action taken.
6. Approvals section which provides signature blocks for both the Contractor personnel and the EPA.

2.0 DEVELOPMENT AND ISSUANCE OF THE WORK ASSIGNMENT

2.1 Summary of WA Package and Procedures

A flow chart describing the development, issuance and acceptance of the Work Assignment is shown in Figure 2. The Work Assignment package is developed by the Regional Project Manager (RPM) and the Regional Project Officer (RPO). The Work Assignment package consists of the following elements:

- A Work Assignment Form (WAF);
- An Interim Statement of Work (SOW);
- A complete SOW for the total work assignment;
- A Work Plan Memorandum (WPM); and
- A procurement request (PR).

Note: An action memorandum and intergovernmental review must be completed and approved prior to submittal of a WA package to the Contracting Officer.

2.1.1 The Work Assignment Form (WAF)

The RPM/RPO is responsible for preparing the WAF that is included in the Work Assignment package. The RPM/RPO will be responsible for completing the items on the form as shown in Figure 3. Under Item 1 the RPM/RPO will fill in the:

- Date;
- Project Name;
- EPA Contract Number;

- Activity;
- Contractor Name; and
- Revision Number which will be "Initial" for new work assignments and then sequentially numbered (i.e. 1,2,3,4..) for each subsequent action; and
- Work Assignment number. Last four digits allowing room for sequentially numbers by CO.

The Contractor control number and modification number should be left blank. These spaces will be used by the Contractor for internal controls (if desired) and the CO. Under Item 2 the RPM/RPO will check the box marked "New Work Assignment." Under Item 3 the RPM/RPO will fill the "Interim Budget" column by showing the current LOE for the Interim WA SOW and the EPA estimated hours for the entire WA. The LOE hours from the entire assignment can be estimated based on historical data. The dollar amount of the procurement request (PR) attached should be the first funding and should be shown in the "current" and "total" lines of the "Total Funding Received" column. Using an average hourly contractor rate, to be provided to the region on a strictly confidential basis by the Contracting Officer, and other incidental costs depending upon the specific tasks authorized, the RPM/RPO may also provide a dollar estimate of the interim budget and show this estimate in the Expenditure Limit block. Under item 4 the RPM/RPO will fill in the WA completion date for the entire WA in the space marked "current". The RPM/RPO will sign on the appropriate spaces in the Approvals section.

2.1.2 The Interim WA Statement of Work

The Interim WA Statement of Work (SOW) to be prepared by the RPM/RPO for RI/FS assignments is developed at the regional level using a new computer assisted work assignment generation program. This program is based on the list of core key and optional tasks as displayed in Table 1. The program is driven by data input from the site hazard ranking information or other known data. The interim statement of work for other assignments are less standard and will be developed on a case-by-case basis.

The program is interactive and may also produce both scope text, schedule, and LOE based upon program experience to date. Under item 4 the RPM/RPO will fill in the WA completion date for the entire WA in the space marked "current". The RPM/RPO will use the computer assisted program to determine the following information:

- The interim tasks to be conducted;
- A detailed description of the work to be conducted under each task;
- The Level of Effort (LOE) needed to perform each task (i.e., the number of technical hours that can be expended in conducting each task);

USEPA

WORK ASSIGNMENT FORM

1. WORK ASSIGNMENT INFORMATION:

PROJECT NAME: ABC CO., TX CONTRACTOR: CAMP DRESSER & McKEE WORK ASSIGNMENT NO. 12-4652
 ACTIVITY: RI/FS EPA CONTRACT NO. 68-01-6939 REVISION NO. INITIAL
 DATE: 6/13/84 CONTRACTOR CONTROL NO. 999-PM1-RT-CDHC MODIFICATION NO.: 100
 (Contracting Officer Use Only)

2. DESCRIPTION OF ACTION:

☒ NEW WORK ASSIGNMENT

- Interim SOW, schedule, and LOE
- Complete SOW estimated budget and schedules

REQUIRED APPROVAL:

EPA REGION/
HEADQUARTERS
☐ INTERIM AMENDMENT

- Change in LOE, scope by task
- Add additional tasks or funds

EPA REGION/
HEADQUARTERS
☐ FINAL WORK PLAN APPROVAL

- Approve work plan
- Add funds

☐ AMENDMENT TO FINAL WORK PLAN APPROVAL

- Change in LOE, scope or budget by task
- Add additional tasks or funds (include OF 80 or SF 1411)

EPA REGION/
HEADQUARTERS
☐ TECHNICAL DIRECTION MEMORANDUM

- Detailed scope, budget and schedule
- Revise expenditure level
- Minor shift within SOW

(All changes must be within overall scope, budget, and LOE approved by EPA CO)

EPA REGION

☐ WORK ASSIGNMENT COMPLETION NOTIFICATION (No Attachments)

- Regional determination
- CO notifies contractor to stop work

3. BUDGET INFORMATION

INTERIM BUDGET

(TECHNICAL LOE)

CURRENT

1700

AMENDMENT

TOTAL

1700

• OPTION: DOLLAR ESTIMATE MAY BE TRACKED REGIONALLY IN EXPENDITURE LIMIT BLOCK

• EPA ESTIMATED LOE HOURS OF ENTIRE WA

8000

APPROVED WORK PLAN BUDGET

(TECHNICAL LOE)

(\$)

TOTAL FUNDING RECEIVED

(\$)

EXPENDITURE LIMIT (EL)

(TECHNICAL LOE)

(\$)

100,00085,000100,00085,000APPROVED BY
RPM/RPO

4. WA COMPLETION DATE

CURRENT

9/30/85

REVISED: _____

5. EPA COMMENTS:

6. APPROVALS

CONTRACTOR SIGNATURES:

SITE MANAGER FIRM

DATE

REGIONAL MANAGER FIRM

DATE

EPA SIGNATURES:

REGIONAL PROJECT MANAGER

REGIONAL PROJECT OFFICER

2 June 84

DATE

6/4/84

DATE

☒ Approved as submitted

☐ Approved with changes

☐ Not approved

SIGNATURE/EPA CONTRACTING OFFICER

DATE APPROVED

cc: EPA Project Officer
 Contractor Financial Manager
 EPA Contracting Officer (when only expenditure limit column is used)

ATTACH STATEMENT OF WORK

(PER DESCRIPTION OF ACTION)

FIGURE 2
DEVELOPMENT AND ISSUANCE

WORK ASSIGNMENT

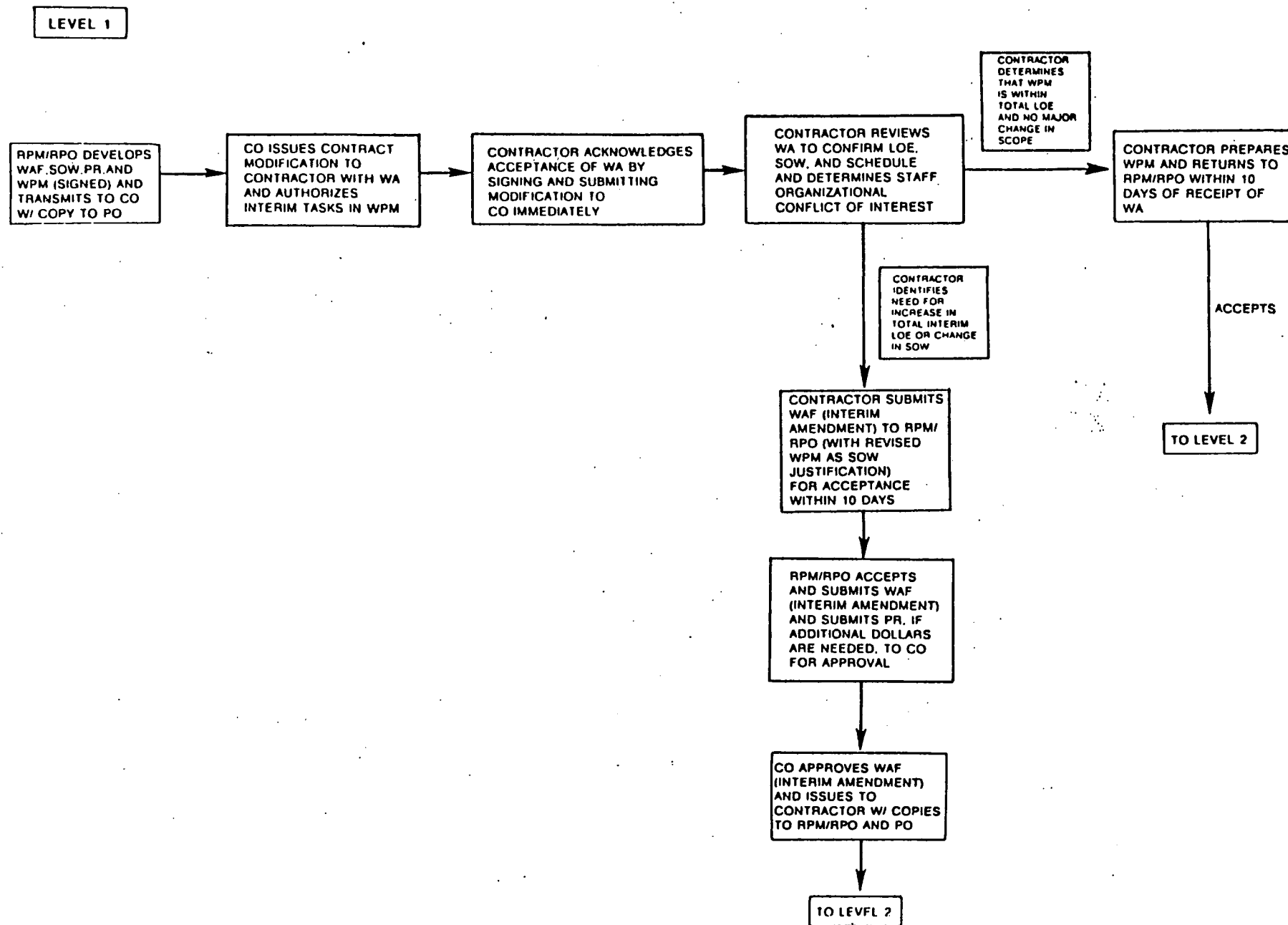


TABLE 1

INTERIM STATEMENT OF WORK TASK

CORE TASKS	OPTIONAL TASKS
Work Plan Memorandum	Site Survey/Topographic Mapping
Initial Site Evaluation	Site Access Assistance
No Action Risk Assessment	Limited Site Sampling (RI) and Analysis
Identify/Screen Alternatives	Procurement of Subcontractor(s)
Work Plan Preparation	Community Relations Development
Sampling/Analysis Plan	Sr. Tech Advisory Committee Review/Advice
Health & Safety Plan	Engineering Evaluation/Cost Analysis for ERA
QA/QC Plan	ERA/Operable Unit Implementation
Community Relations Plan	
Site Management Plan	
Technical/Financial Management	

- The Interim Task schedule including milestones and deliverables; and
- A uniform cost estimate for all tasks to be conducted under the Interim SOW generated using the average Contractor hourly cost to be provided on a strictly confidential basis by the Contracting Officer.

2.1.3 The Complete Statement of Work

The RPM/RPO is also responsible for developing the complete Work Assignment SOW. The complete WA SOW defines the tasks that the Contractor will be expected to perform to complete the work assignment. This SOW should reflect EPA's estimate of the work that will be performed by the Contractor.

2.1.4 Procurement Request

The procurement request (PR) uses EPA Form 1900-8 to order the specific tasks and activities defined in the interim and/or complete SOW to be performed. Either partial or full funding can be provided. If partial funding is provided with the new work assignment, the dollar amount of the PR (indicating funding amount) should be **AT LEAST** the cost estimate in the WPM generated by EPA. Additional funding may be provided as received or needed. Each EPA regional office has designated personnel to prepare PR's and obtain approvals. The RPM is responsible for requesting a PR and planning sufficient funding on the SCAP for the project.

2.1.5 Work Plan Memorandum

The Work Plan Memorandum has been reduced to a one page checklist approval form with attachments as shown on Figure 4.

It provides for identification of the work assignment, the prime contractor, the lead firm responsible for executing the work and the proposed site manager. The form then presents a menu of interim tasks in two groupings; core tasks, tasks that are normally required on all assignments; and optional tasks which as stated are optional, subject to the specific requirements of the site or work assignment. The form is constructed to allow for the listing of technical LOE and associated milestone dates by interim task. It provides columns for EPA to present their estimates and similar columns for the Contractor to either concur with these estimates by inserting the same numbers and dates or concurring by notation, or by providing the Contractor's estimate in the appropriate space. This should present a concise visual approach to comparing the EPA and Contractor's estimates.

At this point the EPA should prepare an estimate of the cost for the execution of the interim tasks by simply applying the total estimated technical LOE hours times the average Contractor hourly cost. Each RPO will be provided these average hourly rates but must treat them as confidential. The cost of executing the interim tasks in the WPM should be signed by the RPM/RPO as indicated on the WPM form and then be included in the work assignment package. The Contractor will review and accept or revise the estimated interim LOE hours and cost (when provided) on the WPM. The Contractor's cost will be based upon applying the lead firms loaded average hourly rate against all estimated hours and must include fee. If the EPA estimate is accepted, then the Contractor personnel will sign the WPM form and forward a copy to the RPM/RPO. Because no change to the total technical LOE was made and the RPM/RPO previously signed off on the LOE estimate, no acknowledgement is necessary. If the Contractor revises the LOE estimate then the WPM requires acknowledgement by the RPM/RPO.

USEPA

WORK PLAN MEMORANDUM

1. WORK ASSIGNMENT INFORMATION:

Project Name _____ Date _____
 Work Assignment No. _____ Site Manager/Firm _____
 Contractor: _____
 EPA Contract No. _____ Document Control No. _____

2. INTERIM TASKS AND BUDGET

CORE TASKS	EPA		CONTRACTOR	
	TECHNICAL LOE	COMPLETION DATE	TECHNICAL LOE	COMPLETION DATE
1. WORK PLAN MEMORANDUM				
2. INITIAL SITE EVALUATION				
3. NO ACTION RISK ASSESSMENT				
4. IDENTIFY/SCREEN REMEDIAL ALTERNATIVES				
5. WORK PLAN PREPARATION				
6. SAMPLING/ANALYSIS PLAN				
7. HEALTH AND SAFETY PLAN				
8. QUALITY ASSURANCE/QUALITY CONTROL				
9. COMMUNITY RELATIONS PLAN				
10. SITE MANAGEMENT PLAN				
11. TECHNICAL AND FINANCIAL MANAGEMENT				
OPTIONAL TASKS				
1. SITE SURVEY/TOPOGRAPHIC MAPPING				
2. SITE ACCESS ASSISTANCE				
3. LIMITED SITE SAMPLING, RH AND ANALYSIS				
4. PROCUREMENT OF SUBCONTRACTOR(S)				
5. COMMUNITY RELATIONS DEVELOPMENT				
6. SENIOR TECHNICAL ADVISORY COMMITTEE REVIEW/ADVICE				
7. ENGINEERING EVALUATION/COST ANALYSIS/ERA OPERABLE UNIT				
8. ERA/OPERABLE UNIT ASSESSMENT				
9				
10				
TOTALS				

INTERIM BUDGET ESTIMATES _____

Regional Project Manager

Date

Regional Project Officer

Date

3. CONTRACTOR APPROVALS AND DECLARATIONS

• Conflict of Interest (Organizational/Individual)

☐ NO☐ YES

• WPM Status

☐ EPA ESTIMATE ACCEPTED☐ EPA ESTIMATE REVISED, ACKNOWLEDGEMENT REQUIRED☐ EPA ESTIMATE REVISED, WAF REQUIRED

APPROVED

ACCEPTED

Site Manager/Firm

Date

Finance & Administration Manager

Date

Regional Manager/Firm

Date

Technical Operations Manager

Date

ACKNOWLEDGED

Regional Project Manager

Date

Regional Project Officer

Date

ATTACHMENTS

Resumes of Key Personnel
 (if not in EPA regional files)

The Contractor will submit copies of the resumes of key personnel for the designated project with the WPM if not already in the EPA regional files.

2.1.6 Issuance of the Work Assignment package

The work assignment package, when completed, is transmitted to the EPA Contracting Officer (CO) with a copy to the PO. The CO assigns, or completes, the work assignment number, signs the WAF under item 7, and prepares a contract modification. The CO forwards the original to the Contractor with a copy to the RPM/RPO and the PO. The Contractor acknowledges acceptance of the WA by signing the contract modification and returning the original modification to the EPA CO.

Upon acceptance of the WA, the Contractor determines the lead firm for conducting the WA, identifies the site manager, researches and certifies that there are no conflicts of interest for both the involved firms and key personnel, and reviews the interim and complete SOWs. If the Contractor accepts the Interim SOW, the Contractor completes and submits the WPM, as shown in Figure 4, to the RPM/RPO.

If the Contractor determines that it is necessary to amend the Interim SOW by either increasing the scope of work defined in one or more of the interim tasks, by adding additional task(s) to the Interim SOW, or by substantially changing the interim LOE and costs, the Contractor submits the completed WPM with a revised WAF (Interim Amendment) to the RPM/RPO. Justification for the Interim Amendment will also need to be provided as part of the Interim Amendment. After review and acceptance of the Interim Amendment, the RPM/RPO complete the appropriate sections of the WAF and submit the WAF to the EPA CO for approval. A purchase request is required if funding is not sufficient to accomplish the interim tasks. The EPA CO completes and issues the completed WAF to the RPM/RPO, the Contractor and the EPA PO. An example of a completed WAF (Interim Amendment) is shown in Figure 5.

2.2 Responsibilities

The RPM/RPO are responsible for the following tasks during the development, issuance and acknowledgment of the work assignment phase:

- Developing the Work Assignment package;
- Transmitting the original WA package and the procurement request to the EPA CO with a copy to the EPA PO;
- Acknowledging receipt of the WPM from the Contractor in writing;
- Returning copies of the acknowledgment of the WPM to the Contractor, the EPA PO and the EPA CO; and
- If the contractor submits an Interim Amendment to the WA, the RPM/RPO are responsible for reviewing and accepting the amendment, completing the WAF, and transmitting the Interim Amendment with the WAF to the EPA CO.

The EPA Contracting Officer (CO) is responsible for conducting the following tasks during the development, issuance and acceptance of a work assignment:

- Assigning a complete work assignment number on the WAF (New Work Assignment);
- Reviewing and approving the WAF (New Work Assignment), developing the contract modification, and submitting these items to the Contractor;

- Receiving the WA acceptance from the Contractor and executing the contract modification;
- Reviewing and approving all Interim Amendments to the WA by signing the WAF (Interim Amendment); and
- Submitting copies of ALL completed WAFs to the EPA PO, the RPM/RPO and to the Contractor Financial Manager.

The Contractor is responsible for the following items during the issuance and acceptance of the Work Assignment package:

- Acknowledging the acceptance of the WA by signing and returning the contract modification to the EPA CO;
- Determining team/subcontractor conflicts of interest;
- Identifying the lead firm to conduct the work;
- Naming the Site Manager and other key staff;
- Completing the WPM and transmitting the complete WPM to the RPM/RPO; and
- Developing Interim Amendments (as necessary) which consist of a detailed scope, LOE, budget, schedule and a WAF. Interim amendments are required due to changes needed in the total interim LOE, a major change in scope to one or more of the interim tasks or the addition of a new task to be performed as part of the interim effort. Interim amendments may also be used to approve other RI/FS tasks prior to the receipt of the Final Work Plan Approval.

2.3 Deliverables

The deliverables for this phase of the work assignment process include the following:

- Work Assignment package (RPM/RPO);
- Contract Modification (EPA CO);
- Acknowledgment of WA upon receipt (Contractor);
- Work Plan Memorandum submitted by the Contractor within ten days of receipt of WA (Contractor);
- EPA acknowledgement upon receipt of the WPM when the Contractor revises the EPA estimated WPM LOE (RPM/RPO); and
- WAF (Interim Amendment) to WA if there are revisions to the interim LOE hours or budget (Contractor)

3.0 INTERIM WORK ASSIGNMENT ACTIVITIES

3.1 Summary

As shown on the flow chart in Figure 6, upon acceptance of the Work Assignment the Contractor initiates the Interim SOW according to the scope, LOE, schedule and budget defined for each task. One of the first tasks the Contractor should conduct is the initial site evaluation which will provide the Contractor with data on the site and the analysis of

USEPA

WORK ASSIGNMENT FORM

1. WORK ASSIGNMENT INFORMATION:

PROJECT NAME: ABC CO., TX CONTRACTOR: CAMP DRESSER & MCKEE WORK ASSIGNMENT NO. 12-6L51
 ACTIVITY: RI/FS EPA CONTRACT NO. 68-01-6939 REVISION NO. 1
 DATE: 7/24/84 CONTRACTOR CONTROL NO.: 999-PM1-RT-COHB MODIFICATION NO.: N/A
 (Contracting Officer Use Only)

2. DESCRIPTION OF ACTION:

☐ NEW WORK ASSIGNMENT

- Interim SOW, schedule, and LOE
- Complete SOW estimated budget and schedules

REQUIRED APPROVAL:

EPA REGION/
HEADQUARTERS
☒ INTERIM AMENDMENT

- Change in LOE, scope by task
- Add additional tasks or funds

EPA REGION/
HEADQUARTERS
☐ FINAL WORK PLAN APPROVAL

- Approve work plan
- Add funds

☐ AMENDMENT TO FINAL WORK PLAN APPROVAL

- Change in LOE, scope or budget by task
- Add additional tasks or funds (include OF 60 or SF 1411)

EPA REGION/
HEADQUARTERS
☐ TECHNICAL DIRECTION MEMORANDUM

- Detailed scope, budget, and schedule
- Revise expenditure level
- Minor shift within SOW

(All changes must be within overall scope, budget, and LOE approved by EPA CO)

EPA REGION

☐ WORK ASSIGNMENT COMPLETION NOTIFICATION (No Attachments)

- Regional determination
- CO notifies contractor to stop work

3. BUDGET INFORMATION

INTERIM BUDGET

(TECHNICAL LOE)

CURRENT

1700

AMENDMENT

200

TOTAL

1900

- OPTION: DOLLAR ESTIMATE MAY BE TRACKED REGIONALLY IN EXPENDITURE LIMIT BLOCK

- EPA ESTIMATED LOE HOURS OF ENTIRE WA

8000

APPROVED WORK PLAN BUDGET

(TECHNICAL LOE)

(\$)

TOTAL FUNDING RECEIVED

(\$)

EXPENDITURE LIMIT (EL)

(TECHNICAL LOE)

(\$)

100,00085,00020,00021,000120,000106,000APPROVED BY
RPM/RPO

4. WA COMPLETION DATE

CURRENT:

9/30/85

REVISED:

5. EPA COMMENTS:

6. APPROVALS

CONTRACTOR SIGNATURES:

SITE MANAGER FOR
Robert Krachit

REGIONAL MANAGER FOR

DATE

7/24/84

DATE

EPA SIGNATURES:

REGIONAL PROJECT MANAGER

DATE

REGIONAL PROJECT OFFICER

DATE



Approved as submitted



Approved with changes



Not approved

SIGNATURE/EPA CONTRACTING OFFICER

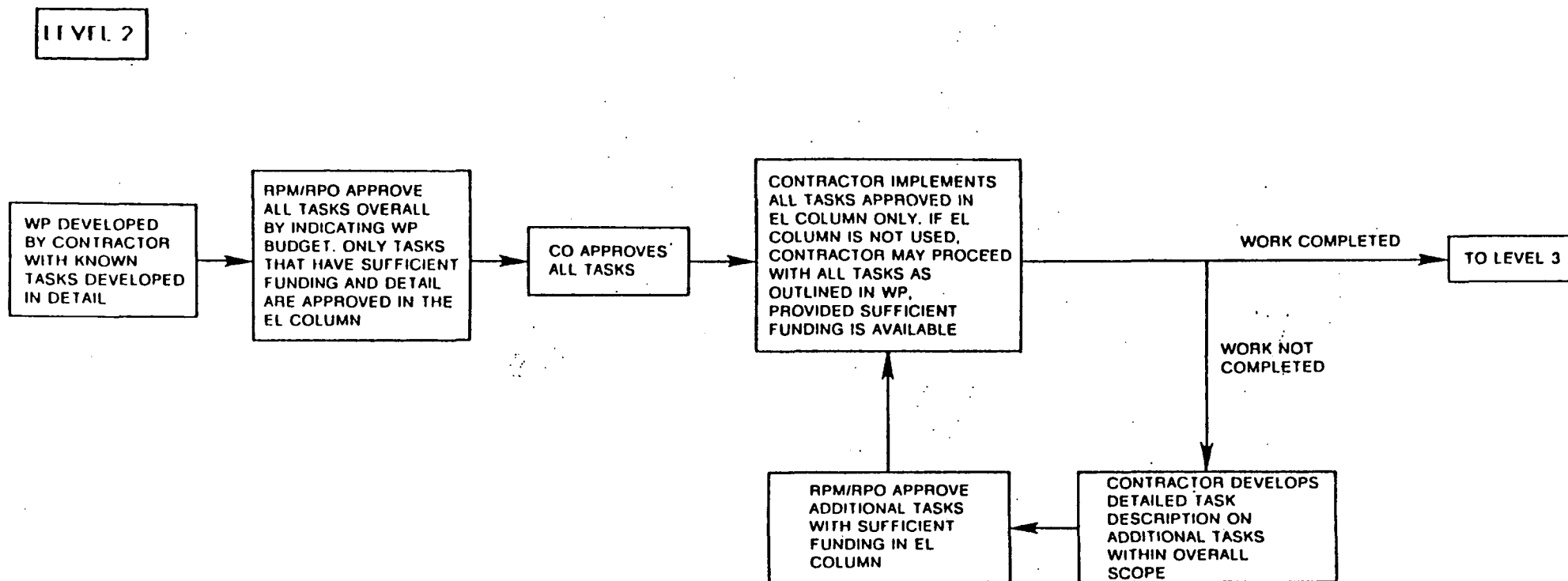
DATE APPROVED

cc: EPA Project Officer
 Contractor Financial Manager
 EPA Contracting Officer (when only expenditure limit column is used)

ATTACH STATEMENT OF WORK

(PER DESCRIPTION OF ACTION)

FIGURE 6
COMPLETION OF INTERIM WORK ASSIGNMENT TASKS AND
APPROVAL OF WORK PLAN



existing data to determine where data gaps exist. The Contractor will also begin to develop (specific to the Work Assignment) a preliminary list of remedial alternatives that can accomplish remediation of the site. This list will be developed by the Contractor as part of an RI/FS work plan and is imperative to the development process since it is the driving force for conducting the Remedial Investigation and the Feasibility Study (RI/FS). This list will help to determine the objectives that are to be accomplished during the project, define the data gaps that will need to be filled in order to be able to conduct the FS, determine the quality of data required.

3.2 Work Plan Development

One of the major tasks under the core list of interim tasks is the Work Plan Development task. The work plan describes the activities and tasks the Contractor will execute to accomplish the complete SOW under the WA. If a phased approach is to be used the work plan should describe the first phase tasks in detail and proposed future tasks in a general manner. An estimate for LOE, costs and time required will have to be prepared for both the first phase tasks and the future tasks. The budget and schedule information for the first phase tasks should be straight forward, and readily accomplished. The budget and schedule information for the future tasks will normally not be able to be prepared with the same amount of certainty or detail, however, enough information must be provided to justify the LOE and budget specified in the work plan. While it is important that the future tasks be general to provide flexibility, enough information must be provided to allow the RPM/RPO and the Contracting Officer a solid basis for approving the work plan.

The Contractor must also complete an Optional Form 60(OF-60) or a Standard Form 1411 (SF-1411) as part of the work plan. The Contractor must also complete a WAF (Final Work Plan Approval) as shown in Figure 7a. The Contractor should complete Item 1 of the WAF, except for the shaded areas, and should mark the "Final Work Plan Approval box" under Item 2. The Contractor can also fill in the Approved Work Plan Budget in the "Current" and "Total" columns in Section 3 reflecting the technical LOE hours and total cost budget supported in the final work plan text and the SF-1411 or OF-60. This LOE hour estimate replaces the "EPA Estimated Total Hours" shown in the Interim Budget block. If the final approved work plan revises the completion date for the entire work assignment then the Contractor should reflect this new date in the revised line of Section 4 - "WA Completion Date". The Contractor's Regional Manager and Site Manager must sign the appropriate spaces under Item 6 prior to transmittal of the form to the RPM/RPO. When the RPM/RPO approve the work plan they must complete the appropriate sections of the WAF and submit the work plan, WAF and OF-60 or SF-1411, and PR's as needed, to the EPA CO for approval.

The EPA CO approves the work plan by completing Item 3 of the WAF, authorizing the funding to be received, checking the box marked approved as submitted or approved with changes and signing the bottom of the form. If the EPA CO does not approve the work plan, the not approved box will be checked and the EPA CO will initial and date the WAF. The EPA CO will send a copy of the WAF containing the approval of the work plan and the authorization of funding to the RPM/RPO, the Contractor and to the authorization of funding to the RPM/RPO, the Contractor and to the EPA PO.

A completed WAF (Final Work Plan Approval) with full funding is shown in Figure 7b and with partial funding in Figure 7c. Figure 7c also reflects Expenditure Limits being exercised by the region.

FIGURE 7-A

USEPA		WORK ASSIGNMENT FORM																	
1. WORK ASSIGNMENT INFORMATION: PROJECT NAME: <u>ABC CO., TX</u> CONTRACTOR: <u>CAMP DRESSER & MCKEE</u> WORK ASSIGNMENT NO.: <u>12-6151</u> ACTIVITY: <u>RI/FS</u> EPA CONTRACT NO.: <u>68-01-6939</u> REVISION NO.: <u>2</u> DATE: <u>9/25/84</u> CONTRACTOR CONTROL NO.: <u>999-PM1-RT-CDHA</u> MODIFICATION NO.: <u>N/A</u> <small>(Contracting Officer Use Only)</small>																			
2. DESCRIPTION OF ACTION: <input type="checkbox"/> NEW WORK ASSIGNMENT • Interim SOW, schedule, and LOE • Complete SOW estimated budget and schedules REQUIRED APPROVAL: EPA REGION/ HEADQUARTERS		<input type="checkbox"/> INTERIM AMENDMENT • Change in LOE, scope by task • Add additional tasks or funds EPA REGION/ HEADQUARTERS		<input checked="" type="checkbox"/> FINAL WORK PLAN APPROVAL • Approve work plan • Add funds <input type="checkbox"/> AMENDMENT TO FINAL WORK PLAN APPROVAL • Change in LOE, scope or budget by task • Add additional tasks or funds (include OF 80 or SF 1411) EPA REGION/ HEADQUARTERS															
<input type="checkbox"/> TECHNICAL DIRECTION MEMORANDUM • Detailed scope, budget and schedule • Revise expenditure level • Minor shift within SOW <small>(All changes must be within overall scope, budget and LOE approved by EPA CO)</small> EPA REGION		<input type="checkbox"/> WORK ASSIGNMENT COMPLETION NOTIFICATION (No Attachments) • Regional determination • CO notifies contractor to stop work																	
3. BUDGET INFORMATION <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 30%;">INTERIM BUDGET (TECHNICAL LOE)</th> <th style="width: 20%;">APPROVED WORK PLAN BUDGET (TECHNICAL LOE) (\$)</th> <th style="width: 20%;">TOTAL FUNDING RECEIVED (\$)</th> <th style="width: 30%;">EXPENDITURE LIMIT (EL) (TECHNICAL LOE) (\$)</th> </tr> </thead> <tbody> <tr> <td>CURRENT _____</td> <td><u>7050</u> <u>550,000</u></td> <td>_____</td> <td>_____</td> </tr> <tr> <td>AMENDMENT _____</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>TOTAL _____</td> <td><u>7050</u> <u>550,000</u></td> <td>_____</td> <td>_____</td> </tr> </tbody> </table> • OPTION: DOLLAR ESTIMATE MAY BE TRACKED REGIONALLY IN EXPENDITURE LIMIT BLOCK • EPA ESTIMATED LOE HOURS OF ENTIRE WA: <u>8000</u>		INTERIM BUDGET (TECHNICAL LOE)	APPROVED WORK PLAN BUDGET (TECHNICAL LOE) (\$)	TOTAL FUNDING RECEIVED (\$)	EXPENDITURE LIMIT (EL) (TECHNICAL LOE) (\$)	CURRENT _____	<u>7050</u> <u>550,000</u>	_____	_____	AMENDMENT _____	_____	_____	_____	TOTAL _____	<u>7050</u> <u>550,000</u>	_____	_____	APPROVED BY RPM/RPO	
INTERIM BUDGET (TECHNICAL LOE)	APPROVED WORK PLAN BUDGET (TECHNICAL LOE) (\$)	TOTAL FUNDING RECEIVED (\$)	EXPENDITURE LIMIT (EL) (TECHNICAL LOE) (\$)																
CURRENT _____	<u>7050</u> <u>550,000</u>	_____	_____																
AMENDMENT _____	_____	_____	_____																
TOTAL _____	<u>7050</u> <u>550,000</u>	_____	_____																
4. WA COMPLETION DATE CURRENT: <u>9/30/85</u> REVISED: <u>10/30/85</u>																			
5. EPA COMMENTS: <u>Example of portion completed by the contractor</u>																			
6. APPROVALS CONTRACTOR SIGNATURES: <u>John Sample</u> SITE MANAGER FIRM <u>Kolbert Kracht</u> REGIONAL MANAGER FIRM			EPA SIGNATURES: REGIONAL PROJECT MANAGER _____ DATE _____ REGIONAL PROJECT OFFICER _____ DATE _____																
<div style="display: flex; justify-content: space-around;"> <input type="checkbox"/> Approved as submitted <input type="checkbox"/> Approved with changes <input type="checkbox"/> Not approved </div> <div style="display: flex; justify-content: space-between; margin-top: 10px;"> <div style="width: 60%;">SIGNATURE/EPA CONTRACTING OFFICER</div> <div style="width: 35%;">DATE APPROVED</div> </div>																			

cc: EPA Project Officer
 Contractor Financial Manager
 EPA Contracting Officer (when only expenditure limit column is used)

ATTACH STATEMENT OF WORK
 (PER DESCRIPTION OF ACTION)

USEPA

WORK ASSIGNMENT FORM

1 WORK ASSIGNMENT INFORMATION:

PROJECT NAME: ABC CO., TX CONTRACTOR: CAMP DRESSER & McKEE WORK ASSIGNMENT NO.: 12-6451
 ACTIVITY: RI/FS EPA CONTRACT NO.: 68-01-6939 REVISION NO. 2
 DATE: 9/25/84 CONTRACTOR CONTROL NO.: 999-FMI-RT-CDHA MODIFICATION NO.: N/A
 (Contracting Officer Use Only)

2. DESCRIPTION OF ACTION:

☐ NEW WORK ASSIGNMENT

- Interim SOW, schedule, and LOE
- Complete SOW estimated budget and schedules

REQUIRED APPROVAL:

EPA REGION/
HEADQUARTERS
☐ INTERIM AMENDMENT

- Change in LOE, scope by task
- Add additional tasks or funds

EPA REGION/
HEADQUARTERS
☒ FINAL WORK PLAN APPROVAL

- Approve work plan
- Add funds

☐ AMENDMENT TO FINAL WORK PLAN APPROVAL

- Change in LOE, scope or budget by task
- Add additional tasks or funds (include OF 60 or SF 1411)

EPA REGION/
HEADQUARTERS
☐ TECHNICAL DIRECTION MEMORANDUM

- Detailed scope, budget and schedule
- Revise expenditure level
- Minor shift within SOW

(All changes must be within overall scope, budget and LOE approved by EPA CO)

EPA REGION

☐ WORK ASSIGNMENT COMPLETION NOTIFICATION (No Attachments)

- Regional determination
- CO notifies contractor to stop work

3. BUDGET INFORMATION

INTERIM BUDGET

(TECHNICAL LOE)

CURRENT

AMENDMENT

TOTAL

• OPTION: DOLLAR ESTIMATE MAY BE TRACKED REGIONALLY IN EXPENDITURE LIMIT BLOCK

• EPA ESTIMATED LOE HOURS OF ENTIRE WA 8000

APPROVED
WORK PLAN BUDGET

(TECHNICAL LOE) (\$)

7050 550,0007050 550,000TOTAL
FUNDING
RECEIVED

(\$)

120,000430,000550,000EXPENDITURE
LIMIT (EL)

(TECHNICAL LOE) (\$)

APPROVED BY
RPM/RPO

4 WA COMPLETION DATE

CURRENT: 9/30/85REVISED: 10/30/85

5 EPA COMMENTS:

Example of full funding - no additional controls needed. (Dollars and hours previously approved under interim budget replaced with those indicated under Work Plan Budget column.)

6. APPROVALS

CONTRACTOR SIGNATURES:

Johnny Sample

SITE MANAGER (RM)

Robert Krachit

REGIONAL MANAGER F.R.M.

9/25/84

DATE

9/25/84

DATE

EPA SIGNATURES:

Charles Berry

REGIONAL PROJECT MANAGER

Herb Binger

REGIONAL PROJECT OFFICER

15 Sept. 84

DATE

9/15/84

DATE

☒ Approved as submitted

☐ Approved with changes

☐ Not approved
Ulrike A. Joiner

SIGNATURE/EPA CONTRACTING OFFICER

9/17/84

DATE APPROVED

cc: EPA Project Officer
 Contractor Financial Manager
 EPA Contracting Officer (when only expenditure limit column is used)

ATTACH STATEMENT OF WORK

(PER DESCRIPTION OF ACTION)

USEPA

WORK ASSIGNMENT FORM

1. WORK ASSIGNMENT INFORMATION:

PROJECT NAME: ABC CO., TX CONTRACTOR CAMP DRESSER & MCKEE WORK ASSIGNMENT NO. 12-6L51
 ACTIVITY RI/FS EPA CONTRACT NO. 68-01-6939 REVISION NO 2
 DATE: 9/25/84 CONTRACTOR CONTROL NO.: 999-PMI-RT-LOHA MODIFICATION NO.: N/A
 (Contracting Officer Use Only)

2. DESCRIPTION OF ACTION:

☐ NEW WORK ASSIGNMENT

- Interim SOW, schedule, and LOE
- Complete SOW estimated budget and schedules

REQUIRED APPROVAL:

EPA REGION/
HEADQUARTERS
☐ INTERIM AMENDMENT

- Change in LOE, scope by task
- Add additional tasks or funds

EPA REGION/
HEADQUARTERS
☒ FINAL WORK PLAN APPROVAL

- Approve work plan
- Add funds

☐ AMENDMENT TO FINAL WORK PLAN APPROVAL

- Change in LOE, scope or budget by task
- Add additional tasks or funds (include OF 60 or SF 1411)

EPA REGION/
HEADQUARTERS
☐ TECHNICAL DIRECTION MEMORANDUM

- Detailed scope budget and schedule
- Revise expenditure level

- Minor shift within SOW

(All changes must be within overall scope budget, and LOE approved by EPA CO)

EPA REGION

☐ WORK ASSIGNMENT COMPLETION NOTIFICATION (No Attachments)

- Regional determination
- CO notifies contractor to stop work

3. BUDGET INFORMATION

INTERIM BUDGET

(TECHNICAL LOE)

CURRENT

AMENDMENT

TOTAL

• OPTION: DOLLAR ESTIMATE MAY BE TRACKED REGIONALLY IN EXPENDITURE LIMIT BLOCK

• EPA ESTIMATED LOE HOURS OF ENTIRE WA

8000

APPROVED WORK PLAN BUDGET

(TECHNICAL LOE)

(\$)

1100550,0005950550,0007050550,000

TOTAL FUNDING RECEIVED

(\$)

120,000320,000450,000

EXPENDITURE LIMIT (EL)

(TECHNICAL LOE)

(\$)

1100106,0002000294,0003100400,000APPROVED BY
RPM/RPO

4. WA COMPLETION DATE

CURRENT

9/30/85

REVISED

10/30/85

5. EPA COMMENTS:

(Example of partial funding - with additional controls on expenditures given in EL column.)
 Prior approval required before Tasks 2a(2) and 2b(2) are initiated.

6. APPROVALS

CONTRACTOR SIGNATURES:

Johnny Gamble9/25/84

SITE MANAGER FOR

Karen Krachit9/25/84

REGIONAL MANAGER FIRM

DATE

EPA SIGNATURES:

Charles Barry15 Sept. 84

REGIONAL PROJECT MANAGER

Herb Kurner9/15/84

REGIONAL PROJECT OFFICER

DATE



Approved as submitted



Approved with changes



Not approved

Ulrike A. Gomer

SIGNATURE/EPA CONTRACTING OFFICER

9/17/84

DATE APPROVED

cc: EPA Project Officer
 Contractor Financial Manager
 EPA Contracting Officer (when only expenditure limit column is used)

ATTACH STATEMENT OF WORK

(PER DESCRIPTION OF ACTION)

If the RPM/RPO does not approve the work plan, the Contractor will meet with the RPM/RPO to resolve any conflicts or answer any questions. The Contractor will then modify the work plan incorporating the changes agreed upon and will re-submit the work plan to the RPM/RPO for approval. If approved, the approval process will follow the procedures described above.

3.3 Utilizing the Expenditure Limit (EL) Option for Phased Assignments

Upon receipt of the WAF the EPA CO, the RPM/RPO may choose to set an Expenditure Limit (EL). This Expenditure Limit provides a mechanism for the region to manage the phasing of the execution of the Approved Final Work Plan. The setting of Expenditure Limit(s) associated with the phasing of the work plan tasks should only be used on complex assignments where the level of effort required for future tasks is not clearly defined.

There are at least two different ways to write work plans and use the regional control column.

Example 1 - Is best utilized when control is desired and mobile labs are used and/or activity will be ongoing.

Work Plan

1. Initial Tasks	\$106,000
2. Field Activities	
A1 Well Drilling-Known Amount & Location	\$ 94,000
A2 Well Drilling-Undetermined Amount/Location	\$ 50,000
B1 Soil Sampling-Known Amount & Location	\$ 50,000
B2 Soil Sampling-Undetermined Amount/Location	\$ 50,000
C1 Sediment Sampling	\$ 50,000
D1 Air Sampling	\$ 30,000
3. Feasibility Study	\$ 30,000
A1 Screening	\$ 20,000
B1 Evaluation	\$ 50,000
C1 Pilot Plants	\$ 50,000

In this case, the RPM/PO and Contractor have decided that the amount of well drilling and soil sampling may vary depending on the conditions found. The RPM/RPO may approve all tasks as shown or may approve all tasks overall but control the initiation of any task by using the EL column and writing appropriate comments in the COMMENT section. For example, an applicable EPA comment would be:

Regional Control - Prior approval required before implementing tasks 2-A2, 2-B2, and 3C.

The dollar amount in the EL column should reflect the dollar amount of clearly defined tasks (\$400,000) and the final WP approval column should reflect the total of all tasks (\$650,000).

If additional wells are required as field work progresses, the Contractor would notify the RPM/RPO through a Technical Direction Memorandum (TDM), which would outline the number of additional wells at what cost. The RPM/RPO would approve the WAF, providing the total project cost and LOE are within the entire work plan, and the work would continue. If logistics or time do not allow written documentation prior to approval, verbal approval may be given by the RPM/RPO. Follow-up documentation in the form of a completed WAF will be submitted as soon as possible. If more money is required in task 2-A2 and less money is required in task 2-B2, approval may still be given on the regional level providing the total dollars and LOE do not exceed the entire work plan budget.

Example 2 - Is best utilized when discrete sampling trips are required. The second trip is scoped out after the first is completed. The following tasks and descriptions are for example purposes only:

Task 1	Initial Activities	\$106,000
Task 2	Phase 1-Fieldwork/Alternative Screening	\$294,000
Task 3	Phase 2-Fieldwork/Alternative Evaluation	\$ 90,000
Task 4	Phase 3-Fieldwork/Alternative Selection	\$ 60,000

In this case the CO would have approved all tasks but the RPM/RPO may elect to regionally limit the Contractor to working on Tasks 1 and 2. When information is gathered from Task 2, a technical direction memorandum should be submitted to the RPM/RPO for Task 3. The RPM/RPO would approve Task 3 and the Contractor would then implement. The CO signature is not required for regionally controlled tasks unless activities being added are not within the Total LOE or Total budget.

Analysis of the phased work accomplished to date could result in significant revisions to the future work tasks. It is important to note that each successive WAF for a WA supercedes the previous WAF and therefore ALL required information must be provided. If a region establishes expenditure limits to manage the phased execution of a WA and neglects to complete the expenditure limit column in a subsequent submittal, the regional expenditure control will be voided. The control will revert back to the approved final work plan and total funding received. Any proposed establishment of phased work task execution and regional Expenditure Limits must be concurred with by the PO, CO, and the Contractor.

An example of the completed WAF (Final WP Approval) showing partial funding where the Expenditure Limit (EL) is being exercised by the region is shown in Figure 7-C.

3.4 Responsibilities

The duties and responsibilities for the various individuals listed above are described below for each individual:

The Contractor is responsible for the following tasks:

- Conducting the interim tasks;
- Preparing and submitting to EPA the work plan, including SOW, budget and schedules presented by task;
- Meeting with the RPM/RPO to resolve any outstanding issues or comments by the RPM/RPO on the work plan;

- Revising the Work Plan per EPA's comments and re-submitting the work plan to the RPM/RPO with the WAF and SF-1411 or OF-60; and
- Executing the approved scope of work upon written approval by the EPA CO.

The RPM/RPO are responsible for:

- Coordinating the review of the work plan with peer reviewers;
- Submitting comments on the work plan to the Contractor;
- Meeting with the Contractor to resolve any comments or outstanding issues;
- Approving the work plan by completing the appropriate portions of the WAF;
- Setting an Expenditure Limit upon approval of the work plan by the EPA CO (as specified above);
- Submitting the approved work plan including the WAF, OF-60 or SF-1411, and the purchase request (as required) to the EPA CO for approval and;
- Transmitting the completed WAF, when utilizing the phased approach with an Expenditure Limit, to the Contractor, EPA PO, and the EPA CO.

The EPA Contracting Officer is responsible for conducting the following tasks:

- Approving the work plan and authorizing funding by signing the WAF
- Obligating funds and establishing the expenditure ceiling; and
- Transmitting the completed WAF to the RPM/RPO, Contractor and the EPA PO.

3.5 Deliverables

The deliverables that are prepared as part of the initiation of the interim tasks include, but are not limited, to the following:

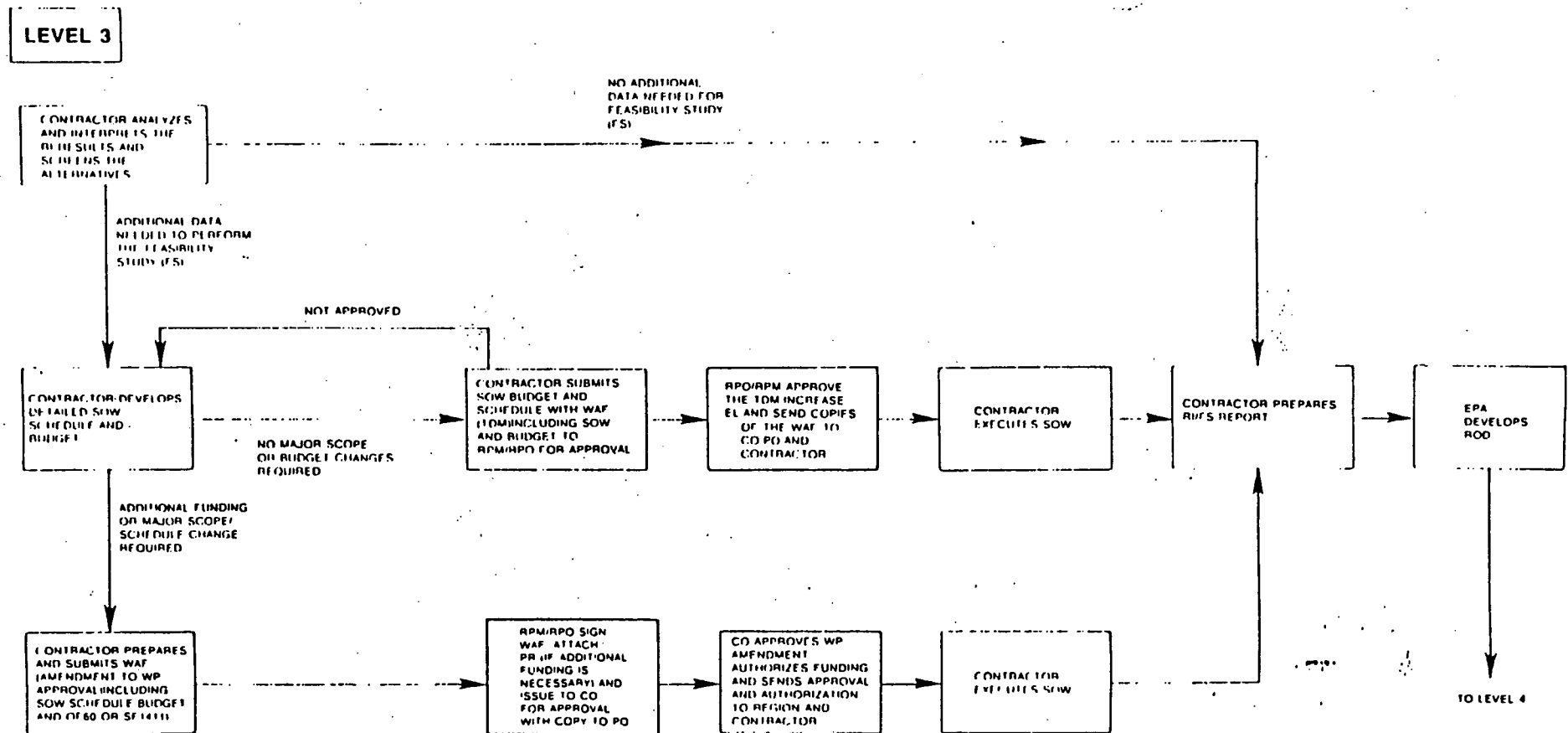
- Work Plan
- Project Operation Plan or Site Specific Plans which could include the following separate plans:
 - Sampling and Analysis Plan with Quality Control Components
 - Health and Safety Plan
 - Site Management Plan
- Quality Assurance/Quality Control Project Plan
- Community Relations Plan
- Initial Site Evaluation Report (optional)

4.0 IMPLEMENTING REVISIONS TO THE APPROVED WORK PLAN

4.1 Summary

The flow chart shown in Figure 8 for Level 3 describes the implementation of the Work Plan by the Contractor. Upon completion of the Work Plan or the first phase of the Work

FIGURE 8
IMPLEMENTATION OF APPROVED CONTRACTOR WORK PLAN



Plan the Contractor reviews and interprets the data that has been developed. This review will be used to determine if additional data will be needed in order to complete the Work Assignment and/or to provide the information that will be necessary to support a remedial alternative. Part of this review will consist of performing a limited FS analysis, (i.e., screening of the remedial alternatives using the data generated as part of the RI). In the following two sections, we present two ways of changing an approved work plan. The first is the Technical Direction Memorandum (TDM). The TDM is required when there are minor changes to the scope and these changes within the specified LOE and budget limits, and the second is the Amendment to Final Work Plan Approval.

4.1.1 Technical Direction Memorandum

As seen in the flow chart in Figure 8, upon completing the detailed scope, schedule and budget the Contractor will determine if the new scope and budget are within the initial scope and budget provided in the work plan. Minor changes to the scope and changes within the specified LOE and budget limits which fall within the total LOE and budget are delegated to the Regional RPO for approval action. If the Contractor determines that the phase is within the scope, budget, and schedule of the Work Plan, the Contractor will prepare a WAF and attach this to the detailed scope, schedule and budget. The Contractor will be responsible for checking the WAF in the Technical Direction Memorandum (TDM) box and submitting this information to the RPM/RPO for approval. The forms shown in Figures 9A and 9B have been developed to aid the Contractor in the preparation of the Technical Direction Memorandum. This form will insure that the required data will be submitted to the RPM/RPO in a format that will expedite the regional approval process. The RPM/RPO will be responsible for approving the TDM by completing the appropriate sections of the WAF and returning a copy of the completed WAF to the Contractor, the EPA PO and the EPA CO. A copy of a completed WAF for a Technical Direction Memorandum is shown in Figure 10.

4.1.2 Amendment to the Final Work Plan Approval

The FS analysis is performed to determine if there are outstanding data gaps or if more information must be collected in order to select an alternative or provide engineering considerations for the development of the alternative. If it is determined by the Contractor that additional phases are necessary, the Contractor will be responsible for developing the following:

- A detailed scope of work to be performed in order to obtain the additional information and perform the feasibility analysis as necessary to complete the work assignment;
- Schedule, including critical path and task completion dates (milestones);
- Identification of any subcontracting or special equipment requirements;
- Staffing of each task in this phase; and
- A detailed LOE and cost estimate for each activity to be conducted under this phase.

If additional funding is needed, a major scope change is required or there will be a change in the overall WA completion date, the Contractor will be responsible for submitting the detailed scope, budget, and schedule to the RPM/RPO with an appropriately completed WAF. The Contractor will check the box labeled Amendment to Final Work Plan Approval on the WAF as part of this submittal. The Contractor will also be responsible for developing and submitting an OF-60 or SF-1411 as part of this submission. The RPM/RPO are responsible for approving the Amendment to the Final Work Plan by completing the WAF and submitting the WAF and along with the required attachments to the EPA CO. In addition, the RPM/RPO will need to check the funding level of the project to determine if a procurement request will need to be submitted to the EPA CO as well. A copy of a completed WAF for an Amendment to Final Work Plan is shown in Figure 11.

The EPA CO will approve the WAF, authorize funding as appropriate, and will send a copy of the completed WAF to the RPM/RPO, EPA PO and the Contractor.

The Contractor will execute the Statement of Work upon receipt of a completed WAF approved by the RPM/RPO in the case of a TDM or a WAF approved by the RPM/RPO and the EPA CO in the case of a Amendment to the Final Work Plan Approval.

In either case, the RPM/RPO may set an Expenditure Limit in order to manage the phased execution of the WA at the regional level.

4.2 Responsibilities

The RPM/RPO are responsible for the following tasks:

- Reviewing and approving the TDM(s) submitted by the Contractor;
- Setting an Expenditure Limit, as appropriate, for the execution of work described in the TDM;
- Transmitting a copy of the approved WAF-TDM to the Contractor, EPA PO and the EPA CO;
- Reviewing and approving Amendments to the Final Work Plan Approval and completing the WAF;
- Reviewing funding level when either a TDM or an Amendment to the Final Approved Work Plan is submitted by the Contractor;
- Transmitting a copy of the completed WAF and the Amendment to the Final Work Plan Approval to the EPA CO for approval and authorization;
- Setting an Expenditure Limit, as appropriate, upon the EPA COs approval of the Amendment to the Final Work Plan Approval; and
- Developing a Record of Decision (ROD) upon completion and approval of the FS Report (if the Work Assignment is for the completion of an RI/FS).

The EPA Contracting Officer is responsible for the following tasks:

- Approving Amendments to the Final Work Plan Approval by completing the WAF and authorizing additional funding as appropriate; and
- Sending copies of the completed WAF to the Contractor, EPA PO and the RPM/RPO.

USEPA

TECHNICAL DIRECTION MEMORANDUM

1.0 WORK ASSIGNMENT INFORMATION

Date: 10/15/84 Project Name: ABC CO., TX

EPA Contract No.: 68-01-6939 Work Assignment No.: 12-6451

Contractor: CAMP DRESSER & MCKEE Site Manager/Firm: JOHNNY SAMPLE / CDM

Revision No.: 3 Contractor Control No.: 999 - PMI - RT - CDHG

2.0 TECHNICAL DIRECTION SCOPE OF WORK

OBJECTIVE: TO CONDUCT PHASE I FIELD ACTIVITIES AT THE
SITE. FIELD ACTIVITIES THAT ARE BEING CONDUCTED
DURING PHASE I INCLUDE 1ST ROUND WELL DRILLING,
SOIL SAMPLING, SEDIMENT SAMPLING AND AIR SAMPLING.

APPROACH: (Present description on Task and Sub-task basis)

TASKS AFFECTED BY THIS TDM ARE AS FOLLOWS

TASK 2 A-1 WELL DRILLING - PHASE I

2 B-1 SOIL SAMPLING - PHASE I

2 C-1 SEDIMENT SAMPLING - PHASE I

MINOR CHANGES IN THE SCOPE OF THE ABOVE LISTED
SUBTASKS OCCURED DURING THE CONDUCT OF THIS
ASSIGNMENT. THE DETAILS OF THE SCOPE CHANGES
ARE ATTACHED [ATTACHMENT NOT INCLUDED IN THIS
GUIDANCE DOCUMENT]. WHILE THE INDIVIDUAL TASK
BUDGETS HAVE CHANGED THERE IS NO IMPACT ON
THE OVERALL BUDGET OR LOE CEILINGS FOR THIS
ASSIGNMENT. APPROVAL OF THIS DOCUMENT WILL
SIGNIFY EPA'S AGREEMENT TO THE CHANGES TO
THE SCOPE OF WORK WHICH HAS OCCURRED.

USEPA

TECHNICAL DIRECTION MEMORANDUM

3.0 SUBCONTRACTOR REQUIREMENTS (Description of Services)

NOT APPLICABLE

4.0 SCHEDULE AND DELIVERABLES

Task No.:	Start Date:	Completion Date:	Deliverable:
<u>A-1</u>	<u>3/8/85</u>	<u>6/25/85</u>	<u>—</u>
<u>B-1</u>	<u>4/16/85</u>	<u>5/02/85</u>	<u>—</u>
<u>C-1</u>	<u>4/16/85</u>	<u>5/12/85</u>	<u>—</u>
<u> </u>	<u> </u>	<u> </u>	<u> </u>
<u> </u>	<u> </u>	<u> </u>	<u> </u>

(Task No.'s per Technical Direction Scope of Work)

5.0 BUDGET INFORMATION:

5.0 BUDGET INFORMATION:					EQUIP	TRAVEL	ODC'S	SUB-POOL	TASK TOTALS
TASK NO.	HOURS	COST	HOURS	COST					
	TECHNICAL		NON-TECHNICAL						
A-1	1170	27,000	130	3,000	2,000	1,000	7,000	50,000	90,000
B-1	608	13,500	67	1,500	1,000	500	3,500	25,000	45,000
C-1	608	13,500	67	1,500	2,000	500	3,500	25,000	46,000
TOTAL	2386	54,000	264	6,000	5,000	2,000	14,000	100,000	181,000
COMMITTED TO DATE	3100	100,000	310	25,000	10,000	10,000	30,000	225,000	400,000
APPROVED BUDGET	2500	60,000	280	7,000	5,500	3,500	16,000	102,000	194,000
VARIANCE	(114)	(6,000)	(14)	(1,000)	(500)	(1,500)	(2,000)	(2,000)	(13,000)

6.0 APPROVALS:

CONTRACTOR SIGNATURES

Johnny Sample
SITE MANAGER/FIRM

Robert Krachit
REGIONAL MANAGER/FIRM

10/17/85
DATE

10/17/85
DATE

EPA SIGNATURES

REGIONAL PROJECT MANAGER

DATE

REGIONAL PROJECT OFFICER

DATE

USEPA

WORK ASSIGNMENT FORM

1. WORK ASSIGNMENT INFORMATION:

PROJECT NAME: ABC CO, TX CONTRACTOR: CAMP DRESSER & MCKEE WORK ASSIGNMENT NO.: 12-6651
 ACTIVITY: RI/FS EPA CONTRACT NO.: 68-01-4939 REVISION NO.: 4
 DATE: 10/30/84 CONTRACTOR CONTROL NO.: 999-PMI-RT-CDHE MODIFICATION NO.: N/A
 (Contracting Officer Use Only)

2. DESCRIPTION OF ACTION:

☐ NEW WORK ASSIGNMENT

- Interim SOW, schedule, and LOE
- Complete SOW estimated budget and schedules

REQUIRED APPROVAL:

EPA REGION/
HEADQUARTERS
☐ INTERIM AMENDMENT

- Change in LOE, scope by task
- Add additional tasks or funds

EPA REGION/
HEADQUARTERS
☐ FINAL WORK PLAN APPROVAL

- Approve work plan
- Add funds

☐ AMENDMENT TO FINAL WORK PLAN APPROVAL

- Change in LOE, scope or budget by task
- Add additional tasks or funds (include OF 60 or SF 1411)

EPA REGION/
HEADQUARTERS
☒ TECHNICAL DIRECTION MEMORANDUM

- Detailed scope, budget and schedule
- Revise expenditure level
- Minor shift within SOW

(All changes must be within overall scope, budget, and LOE approved by EPA CO)

EPA REGION

☐ WORK ASSIGNMENT COMPLETION NOTIFICATION (No Attachments)

- Regional determination
- CO notifies contractor to stop work

3. BUDGET INFORMATION

INTERIM BUDGET

(TECHNICAL LOE)

CURRENT

AMENDMENT

TOTAL

• OPTION: DOLLAR ESTIMATE MAY BE TRACKED REGIONALLY IN EXPENDITURE LIMIT BLOCK

• EPA ESTIMATED LOE HOURS OF ENTIRE WA

APPROVED
WORK PLAN BUDGET

(TECHNICAL LOE)

(\$)

7050 550,000550,000TOTAL
FUNDING
RECEIVED

(\$)

450,000450,000EXPENDITURE
LIMIT (EL)

(TECHNICAL LOE)

(\$)

6730 400,00050,000450,000APPROVED BY
RPM/RPO

4. WA COMPLETION DATE

CURRENT: 9/30/85REVISED: 10/30/85

5. EPA COMMENTS:

Additional well drilling defined still with overall scope, budget and LOE hours.

6. APPROVALS

CONTRACTOR SIGNATURES:

Johnny Sample

SITE MANAGER (UM)

Robert Kracht

REGIONAL MANAGER FIRM

10/30/84

DATE

10/30/84

DATE

EPA SIGNATURES:

Charles Burg

REGIONAL PROJECT MANAGER

Herb Burg

REGIONAL PROJECT OFFICER

2 Nov 84

DATE

11/2/84

DATE



Approved as submitted



Approved with changes



Not approved

SIGNATURE/EPA CONTRACTING OFFICER

DATE APPROVED

cc: EPA Project Officer
 Contractor Financial Manager
 EPA Contracting Officer (when only expenditure limit column is used)

ATTACH STATEMENT OF WORK

(PER DESCRIPTION OF ACTION)

USEPA

WORK ASSIGNMENT FORM

1. WORK ASSIGNMENT INFORMATION:

PROJECT NAME: ABC CO., TX CONTRACTOR CAMP DRESSER & McKEE WORK ASSIGNMENT NO. 12-0651
 ACTIVITY: RI/FS EPA CONTRACT NO. 68-01-6939 REVISION NO. 5
 DATE: 8/15/85 CONTRACTOR CONTROL NO. 999-PMI-RT-CDHF MODIFICATION NO.: N/A
 (Contracting Officer Use Only)

2. DESCRIPTION OF ACTION:

☐ NEW WORK ASSIGNMENT

- Interim SOW, schedule, and LOE
- Complete SOW estimated budget and schedules

REQUIRED APPROVAL:

EPA REGION/
HEADQUARTERS☐ INTERIM AMENDMENT

- Change in LOE, scope by task
- Add additional tasks or funds

EPA REGION/
HEADQUARTERS☐ FINAL WORK PLAN APPROVAL

- Approve work plan
- Add funds

☒ AMENDMENT TO FINAL WORK PLAN APPROVAL

- Change in LOE, scope or budget by task
- Add additional tasks or funds (include OF 60 or SF 1411)

EPA REGION/
HEADQUARTERS☐ TECHNICAL DIRECTION MEMORANDUM

- Detailed scope, budget and schedule
- Revise expenditure level
- Minor shift within SOW

(All changes must be within overall scope, budget, and LOE approved by EPA CO)

EPA REGION

☐ WORK ASSIGNMENT COMPLETION NOTIFICATION (No Attachments)

- Regional determination
- CO notifies contractor to stop work

3. BUDGET INFORMATION

INTERIM BUDGET

(TECHNICAL LOE)

CURRENT _____

AMENDMENT _____

TOTAL _____

• OPTION: DOLLAR ESTIMATE MAY BE TRACKED REGIONALLY IN EXPENDITURE LIMIT BLOCK

• EPA ESTIMATED LOE HOURS OF ENTIRE WA _____

APPROVED WORK PLAN BUDGET

(TECHNICAL LOE) (\$)

7050 550,000150 10,0007200 560,000

TOTAL FUNDING RECEIVED

(\$)

450,000110,000560,000

EXPENDITURE LIMIT (EL)

(TECHNICAL LOE) (\$)

APPROVED BY
RPM/RPO

4. WA COMPLETION DATE

CURRENT: 9/30/85REVISED: 12/30/85

5. EPA COMMENTS:

6. APPROVALS

CONTRACTOR SIGNATURES:

Johnny Sample8/15/85

SITE MANAGER FOR _____

DATE 8/15/85

REGIONAL MANAGER FOR _____

DATE _____

EPA SIGNATURES:

Charles Berry21 Aug 85

REGIONAL PROJECT MANAGER _____

DATE 8/22/85

REGIONAL PROJECT OFFICER _____

DATE _____

☒ Approved as submitted☐ Approved with changes☐ Not approvedUlrike A. Joiner

SIGNATURE/EPA CONTRACTING OFFICER

8/29/85

DATE APPROVED

CC: EPA Project Officer
 Contractor Financial Manager
 EPA Contracting Officer (when only expenditure limit column is used)

ATTACH STATEMENT OF WORK

(PER DESCRIPTION OF ACTION)

The Contractor is responsible for the following tasks:

- Analyzing and interpreting the data gathered under the Work Assignment to determine if additional information and analysis is necessary to complete the work assignment;
- Conducting the feasibility study analysis to determine if the RI/FS can be completed or additional data is needed;
- Preparing a detailed scope, schedule and budget if more data is needed;
- Completing a WAF as either a TDM or an Amendment to the Final Work Plan Approval depending on changes to the original work plan scope budget, and schedule;
- Submitting the WAF to the RPM/RPO for approval if the work is to be conducted under a TDM;
- Submitting the WAF (and, as appropriate an OF-60 or SF-1411) as an Amendment to the Final Work Plan Approval if major scope, schedule or budget changes are required;
- Responding to any RPM/RPO comments on the TDM or an Amendment to the Final Work Plan Approval;
- Executing the TDM or Work Plan Amendment SOW upon receipt of the appropriate written approvals; and
- Preparing the RI/FS Reports or Final Work Assignment Reports.

4.3 Deliverables

The deliverables for this level of the Work Assignment process include the following:

- Feasibility Study Analysis Memorandum including a description of the phased remedial investigation performed (Contractor);
- TDM which includes a completed WAF and a detailed scope, budget and schedule (Contractor);
- Amendment to the Final Work Plan Approval which includes a completed WAF and a detailed scope, budget and schedule (Contractor);
- Feasibility Study Report (Contractor); and
- Record of Decision (RPM/RPO).

5.0 COMPLETION OF THE PROJECT

As shown in Figure 12, with the completion of the project, a WAF stating that the project is complete (with appropriate detailed budget information) is prepared and signed by the RPM/RPO and sent to the CO with a copy to the PO.

Upon receipt of the WAF, the CO issues a stop work order to the Contractor and submits copies of this stop work order to the RPO, RPM and the PO.

With the stop work order in place, the Contractor then prepares the award fee package, Work Assignment Completion Report (WACR), and the invoice (excluding award fee and close-out costs). This package is sent to the RPM and the RPO. During the preparation of this package, the Contractor will simultaneously begin the physical project close-out. This physical close-out of a work assignment will include the following activities at a minimum:

- Compiling of project files:
- turning over all requested files (either in hard copy or microfiche format) to the EPA;
- turning over any government owned equipment to the project inventory or to the EPA Equipment Coordinator (if equipment was purchased with work assignment funds); and
- verifying that all appropriate site changes are being processed for inclusion in the final invoice.

The RPM and the RPO will prepare the EPA Work Assignment Completion Report (WACR) and forward to the EPA for review. Upon completion of their review, the PO will make the appropriate award fee determination, and submit the package to the Performance Evaluation Board (PEB) for review.

The PEB will deliberate and reach a decision on the award fee recommendation and submit this decision to the EPA Contracts Authorizing Official. The Contracts Authorizing Official will approve the award fee and notify the CO.

The CO will modify the existing contract through the issuance of a contract modification authorizing the contractor to invoice for the award fee. The Contractor will then submit a final invoice.

LEVEL 4

COMPLETION OF THE PROJECT

