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Environmental Protection
Agency

Office of
Solid Waste and
Emergency Response

EPA

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TITLE: ARCS WORK ASSIGNMENT MANAGEMENT
FIELD GUIDE

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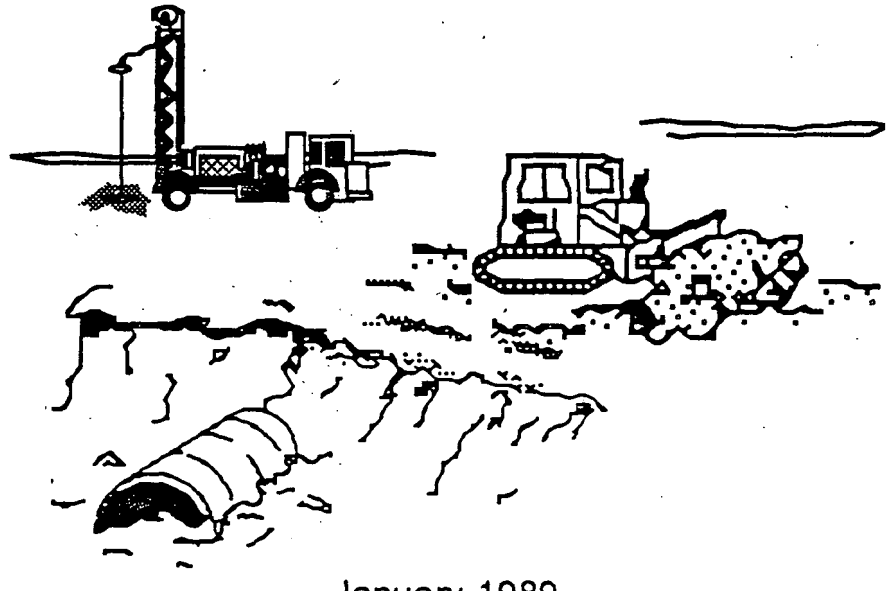
ARCS WORK ASSIGNMENT MANAGEMENT

FIELD GUIDE



January 1989

OSWER Directive # 9242.6-01

U.S. Environmental Protection Agency
Office of Emergency and Remedial Response

United States
Environmental Protection
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Cincinnati OH 45268

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ACRONYMS/DEFINITIONS

SUPERFUND ACRONYMS

AA	-	Assistant Administrator
ACE	-	U.S. Army Corps of Engineers (more appropriately referred to as COE)
ACL	-	Alternate Concentration Limit
ADCR	-	Automated Document Control Register
ADI	-	Acceptable Daily Intake
A&E	-	Architecture & Engineering
AER	-	Appropriate Extent of Remedy
AH	-	Allowance Holder
AM	-	Action Memorandum
AMAS	-	Administrators' Management Accountability System (in FY85, replaced by SPMS)
AO	-	Administrative Order
AOC	-	Administrative Order on Consent
ARAR	-	Applicable or Relevant and Appropriate Requirements (of Federal laws)
ARCS	-	Alternative Remedial Contract Strategy
ATSDR	-	Agency for Toxic Substances and Disease Registry (HHS)
BFS	-	Budget and Forecasting Section (OMP/OERR)
CA	-	Cooperative Agreement
CAA	-	Clean Air Act
CANS	-	Collection of Account Number System
CBI	-	Confidential Business Information
CD	-	Consent Decree
CDC	-	Centers for Disease Control
CEAT	-	Contractor Evidence Audit Team
CERCLA	-	Comprehensive Environmental Response, Compensation and Liability Act of 1980
CERCLIS	-	Comprehensive Environmental Response, Compensation and Liability Information System
CERI	-	Center for Environmental Research Information
CFR	-	Code of Federal Regulations
CH	-	Clearing House
CHMETREC	-	Chemical Transportation Emergency Center System

CHRIS	-	Chemical Hazard Response Information System
CIS	-	Chemical Information System
CLP	-	Contract Laboratory Program
CMS	-	Case Management System
CN	-	Commitment Notice
CO	-	Contracting Officer
COE	-	U.S. Army Corps of Engineers
CPAF	-	Cost-Plus-Award-Fee
CPCA	-	Core Program Cooperative Agreement
CPFF	-	Cost-Plus-Fixed-Fee
CRA	-	Community Relations Assessment
CRP	-	Community Relations Plan
CWA	-	Clean Water Act
DBA	-	Data Base Analyst
DCN	-	Document Control Number
DCR	-	Document Control Register
DMB	-	Data Management Branch
DO	-	Duty Officer
DOA	-	Department of Agriculture
DOC	-	Department of Commerce
DOD	-	Department of Defense
DOE	-	Department of Energy
DOI	-	Department of Interior
DOJ	-	Department of Justice
DOL	-	Department of Labor
DOS	-	Department of State
DOT	-	Department of Transportation
DPO	-	Deputy Project Officer
DRA	-	Deputy Regional Administrator
EA	-	Endangerment Assessment
EADS	-	Environmental Assessment Data System
EDD	-	Enforcement Decision Document

EEI	-	Essential Elements of Information
EERU	-	Environmental Emergency Response Unit
EMIS	-	Enforcement Management Information System
EMSL-LV	-	Environmental Monitoring Systems Laboratory - Las Vegas
EPA	-	Environmental Protection Agency
EPIC	-	Environmental Photographic Interpretation Center
ERB	-	Environmental Response Branch
ERCS	-	Emergency Response Cleanup Services
ERD	-	Emergency Response Division
EROD	-	Enforcement Record of Decision
ERRIS	-	Emergency & Remedial Response Information Systems
ERT	-	Environmental Response Team
ESAT	-	Environmental Services Assistance Team
ESD	-	Environmental Services Division
FAMS	-	Financial and Administrative Management Section
FAN	-	Fixed Account Numbers
FAR	-	Federal Acquisition Regulation
FCC	-	Funds Control Center (OMP/OERR)
FDO	-	Fee Determination Official
FEMA	-	Federal Emergency Management Agency
FIT	-	Field Investigation Team
FMD	-	Financial Management Division
FMO	-	Financial Management Officer
FMS	-	Financial Management System
FNSI	-	Finding of No Significant Impact
FOIA	-	Freedom of Information Act
FOP	-	Field Operations Plan
FPPB	-	Fiscal Policies and Procedures Branch (FMD/OC)
FR	-	Federal Register
FRAB	-	Financial Reports and Analysis Branch (FMD/OC)
FRP	-	Funding Recommendations Package
FS	-	Feasibility Study

FSR	-	Financial Status Report
FTE	-	Full-Time Equivalent
FWPCA	-	Federal Water Pollution Control Act
FY	-	Fiscal Year
GAD	-	Grants Administration Division (OA)
GIAB	-	Grants Information and Analysis Branch (GAD/OA)
GICS	-	Grants Information Control System
GOB	-	Grants Operation Branch (GAD/OA)
GWPS	-	Ground Water Protection Strategy
HACS	-	Hazard Assessment Computer System
HAOB	-	Headquarters Accounting Operations Branch (FMD/OC)
HHS	-	(Department of) Health and Human Services
HIDS	-	Hazardous Incident Data System
HQ	-	EPA Headquarters
HQRS	-	Headquarters Reporting System
HRS	-	Hazard Ranking System
HSCD	-	Hazardous Site Control Division
HSED	-	Hazardous Site Evaluation Division
HWDMS	-	Hazardous Waste Data Management System
IAG	-	Interagency Agreement
IFB	-	Invitation for Bids
IG	-	EPA Inspector General
IPL	-	Interim Priority List
IMC	-	Information Management Coordinator
IRM	-	Initial Remedial Measure
JLC	-	Justification for Limited Competition
JNCP	-	Justification for Non-Competitive Procurement
LOC	-	Letter of Credit
LOE	-	Level of Effort
LUST	-	Leaking Underground Storage Tanks
MBE	-	Minority Business Enterprise
MCL	-	Maximum Concentration Limit

MIDSD	-	Management Information & Data Systems Division (now called OIRM)
MOM	-	Management of Migration
MOU	-	Memorandum of Understanding
MSCA	-	Multi–Site Cooperative Agreement
NBAR	-	Non-Binding Preliminary Allocation of Responsibility
NCC	-	National Computer Center
NCLP	-	National Contract Laboratory Program
NCP	-	National Oil and Hazardous Substances Contingency Plan (40 CFR Part 300)
NDD	-	Negotiation Decision Document
NEIC	-	National Enforcement Investigation Center
NEPA	-	National Environmental Policy Act
NIOSH	-	National Institute of Occupational Safety and Health
NOTIS	-	103(c) Notifications
NPL	-	National Priorities List
NRC	-	National Response Center
NRT	-	National Response Team
NSF	-	National Strike Force
OC	-	Office of the Comptroller
ODN	-	Obligating Document Number
OECM	-	Office of Enforcement and Compliance Monitoring
OERR	-	Office of Emergency and Remedial Response
OGC	-	Office of General Counsel
OF-60	-	Optional Form 60 (Contractor's Project Budget)
OHMCS	-	Oil and Hazardous Materials Coordinators
OHMTADS	-	Oil and Hazardous Material Technical Assistance Data System
OIG	-	Office of the Inspector General
OIRM	-	Office of Information Resources Management
OLEC	-	Office of Legal and Enforcement Counsel
O&M	-	Operation and Maintenance
OMB	-	Office of Management and Budget
OMSE	-	Office of Management Systems and Evaluation
OPA	-	Office of Public Affairs

OPPM	-	Office of Policy and Program Management
ORC	-	Office of Regional Counsel
ORD	-	Office of Research and Development
ORMS	-	Office Resource Management System
OSC	-	On-Scene Coordinator (Removals)
OSHA	-	Occupational Safety and Health Administration
OSW	-	Office of Solid Waste
OSWER	-	Office of Solid Waste and Emergency Response
OWPE	-	Office of Waste Programs Enforcement
PA	-	Preliminary Assessment
PARS	-	Payroll Accounting Redistribution System
PC&B	-	Personnel Compensation and Benefits
PCMD	-	Procurement and Contracts Management Division
PCS	-	Program Control System
PEB	-	Performance Evaluation Board
PER	-	Performance Event Report
PIRS	-	Pollution Incident Reporting System Or Performance Index Rating Score
PM	-	Program Management
PO	-	Project Officer
POP	-	Project Operations Plan
POLREP	-	Pollution Report
POTW	-	Publicly Owned Treatment Works
PR	-	Procurement Request/Purchase Requisition
PRAP	-	Preferred Remedial Action Plan
PRP	-	Potentially Responsible Party
PSPM	-	Priority Site Planning Module
QA/QC	-	Quality Assurance/Quality Control
RA	-	Remedial Action or Regional Administrator
RAB	-	Remedial Action Branch (OERR)
RAMP	-	Remedial Action Master Plan (no longer prepared)
RAP	-	Remedial Accomplishments Plan

RAS	-	Routine Analytical Services
RC	-	Remedial Construction = Remedial Action
RCP	-	Regional Contingency Plan
RCRA	-	Resource Conservation and Recovery Act of 1976
RCRC	-	Regional Cost Recovery Coordinator
RD	-	Remedial Design
REAP	-	Regional Enforcement Accomplishments Plan
REC	-	Regional Enforcement Counsel
REM/FIT	-	Remedial Planning/Field Investigation Team
RES	-	Regional Evaluation Summary
RFITO	-	Regional Field Investigation Team Office
RFP	-	Request for Proposals
RFMO	-	Regional Financial Management Officer
RI	-	Remedial Investigation
RI/FS	-	Remedial Investigation/Feasibility Study
RMDS	-	Resources Management Directives System
RMIS	-	Resource Management Information System
ROD	-	Record of Decision
ROP	-	Regional Operating Plan
RP	-	Responsible Party
RPM	-	Remedial Project Manager
RPIO	-	Responsible Planning and Implementation Officer
RPO	-	Regional Project Officer
RQ	-	Reportable Quantity
RRC	-	Regional Response Center
RRT	-	Regional Response Team
RS	-	Responsiveness Summary
RSCC	-	Regional Sample Control Center
RSCRC	-	Regional Superfund Community Relations Coordinator
RSPM	-	Regional Site Project Manager
RTP	-	Research Triangle Park (Raleigh/Durham, NC)
RTS	-	Removal Tracking System

SAB	-	Superfund Accounting Branch (FMD/OC)
SARA	-	Superfund Amendments and Reauthorization Act of 1986
SAS	-	Special Analytical Services
SBA	-	Small Business Administration
SBE	-	Small Business Enterprise
SCAP	-	Superfund Comprehensive Accomplishments Plan
SCP	-	State Contingency Plan
SCRC	-	State Community Relations Coordinator
SDBE	-	Small and Disadvantaged Business Enterprise
SDWA	-	Safe Drinking Water Act
S&E	-	Salaries and Expenses Appropriation
SER	-	Summary Evaluation Report
SF	-	Standard Form
SFO	-	Servicing Finance Office
SM	-	Site Manager
SMO	-	Sample Management Office
SNARL	-	Suggested No Adverse Response Level
SOW	-	Statement/Scope of Work
SPCC	-	Spill Prevention Control & Countermeasure System
SPMS	-	Strategic Planning and Management System
SPUR	-	Software Package for Unique Reports
SPO	-	State Project Officer
SRCB	-	State and Regional Coordination Branch (OERR)
SRMS	-	Site Response Management System
SSAP	-	Site Stabilization Accomplishments Plan
SSC	-	Superfund State Contract
S/S ID	-	Site/Spill Identifier
STORET	-	Storage & Retrieval of Water Quality Data System
STS	-	Site Tracking System
TAT	-	Technical Assistance Team
TDB	-	Toxicological Data Base
TDD	-	Technical Directive Document

TDM	-	Technical Direction Memorandum
TES	-	Technical Enforcement Support
TSCA	-	Toxic Substances Control Act
TSD	-	Treatment, Storage, and Disposal Facility
UCR	-	Unit Cancer Risk
USACE	-	U.S. Army Corps of Engineers
USCG	-	United States Coast Guard
USDA	-	United States Department of Agriculture
USGS	-	U.S. Geological Survey
WA	-	Work Assignment
WAA	-	Work Assignment Amendment
WACR	-	Work Assignment Completion Report
WAM	-	Work Assignment Manager
WAF	-	Work Assignment Form
WBE	-	Women's Business Enterprise
ZM	-	Zone Manager
ZPM	-	Zone Project Manager
ZPMO	-	Zone Project Management Office

DEFINITIONS

Each of the following terms and definitions listed below represents a different type of work assignment action for which RPMs are responsible under the ARCS program.

NEW WORK ASSIGNMENT	-	Formal mechanism used by EPA (initiated by RPM) to authorize new work for the ARCS contractor. Consists of a Work Assignment Form (WAF), Statement of Work (SOW) and Procurement Request (PR).
INTERIM AMENDMENT	-	Mechanism used by EPA to modify the scope, LOE and/or budget of interim tasks. Occurs after receipt of a new work assignment and before work plan approval. Can be initiated either by the contractor or by the RPM, but must always be approved by the RPM, PO and CO. Consists of a WAF and a PR (if the budget changes).
INCREMENTAL FUNDING:		
BY TASK	-	Mechanism used by EPA to provide funding only for selected interim tasks in the SOW. Consists of WAF and PR.
BY DOLLARS	-	Mechanism used by EPA to provide funding for SOW tasks on an incremental basis. This is usually done as part of work plan approval. Consists of WAF and PR.
PARTIAL WORK PLAN APPROVAL	-	Action taken by the RPM, PO and CO that approves only parts of the contractor's proposed final work plan. Consists of a WAF accompanied by a SOW, signed OF-60 or SF-1411 form and schedule.
FINAL WORK PLAN APPROVAL	-	Action taken by the RPM, PO and CO that approves the contractor's proposed final work plan in its entirety. Consists of a WAF accompanied by a SOW, signed OF-60 or SF-1411 form and schedule.
AMENDMENT TO FINAL WORK PLAN APPROVAL	-	Mechanism used by EPA to modify the scope, LOE or budget in an approved work plan. Consists of a WAF accompanied by an amended SOW, a signed OF-60 or SF-1411 form (if funding changes are involved), a detailed schedule and any required supporting information.
TECHNICAL DIRECTION MEMORANDUM	-	Mechanism used by EPA to make changes to tasks under an approved work plan that involve minor modifications in the basic scope of the work assignment. Any changes made must be within the overall scope, budget and LOE approved by the CO. WAF must be accompanied by an SOW, budget and schedule to define the modification.

WORK ASSIGNMENT COMPLETION NOTIFICATION -	Mechanism used by EPA to close out a work assignment. Consists of a WAF, final invoice and Work Assignment Completion Report (WACR). Signature of CO on WAF closes out the work assignment.
WORK ASSIGNMENT COMPLETION NOTIFICATION/ AMENDMENT TO THE WORK PLAN -	Mechanism used to amend the final approved work plan at the time of work assignment completion notification. Consists of WAF, final invoice, WACR and PR (if dollars are being added/subtracted).

Each of the following terms and definitions represents the different sections found on the ARCS Work Assignment Form (WAF).

1.	WORK ASSIGNMENT INFORMATION -	Identifying information such as site name, contractor's name, work assignment number, type of activity to be performed and other project descriptors.
2.	DESCRIPTION OF ACTION -	The purpose for which the WAF is being used (e.g., to initiate a new work assignment; to approve the final work plan, etc.).
3.	BUDGET INFORMATION -	Current (most recent approved budget) and proposed technical level of effort (LOE) and dollars for conducting the work assignment.
4.	WORK ASSIGNMENT COMPLETION DATE -	Current or revised date when the entire work assignment is to be completed.
5.	EPA COMMENTS -	Additional explanations as needed.
6.	APPROVALS -	Signature blocks for approval of both the contractor and EPA personnel.

Detailed definitions of each component in Section 3 (Budget Information) of the WAF are as follows:

•	CURRENT -	The most recent approved budget consistent with the work assignment status.
•	THIS ACTION -	The budget change being proposed in accordance with the WAF action being requested.
•	TOTAL -	The summation of the current and proposed amendment lines that will become the new current when approved.
•	TOTAL FUNDING RECEIVED -	The dollar amount authorized for the work assignment by the CO through contract modifications.

- INTERIM BUDGET - The approved current budget for the work assignment prior to final Work Plan approval.

- APPROVED WORK PLAN BUDGET - The approved total budget for the work assignment reflecting technical LOE and total estimated cost. Includes partial Work Plan approvals.

- EXPENDITURE LIMIT (EL) - The budget authorized by the RPM and PO for use by the contractor. These columns are normally used to track phased expenditure limits associated with phased work assignments. It allows the Region to release partial funds associated with the phase of the work being accomplished, and it allows the responsibility for the monitoring and relocation of these funds to remain at the Regional level. This allows for better control while reducing approval delays. The EL is never to exceed Total Funding Received or the Current Approved Work Plan Budget.

CHAPTER 1

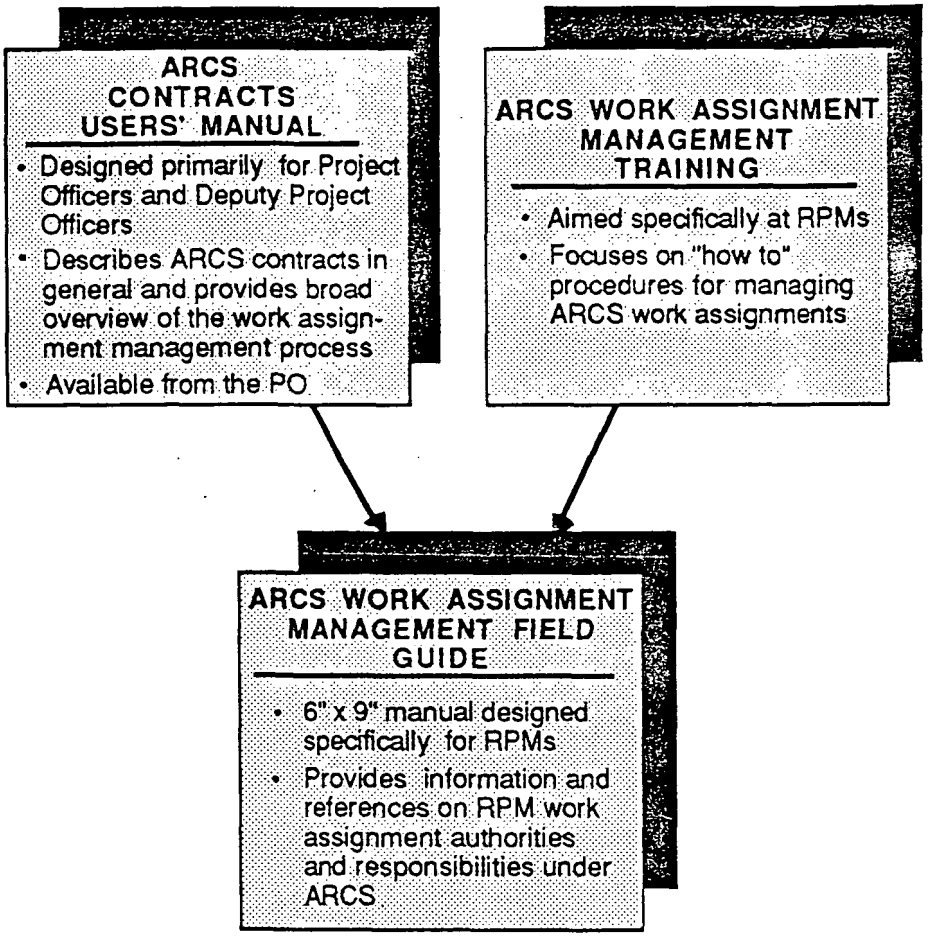
INTRODUCTION

Chapter 1

INTRODUCTION

ARCS MANAGEMENT - ASSISTANCE TOOLS

The ARCS Work Assignment Management Field Guide is one of three management-assistance tools currently available to help RPMs in carrying out their ARCS work assignment management duties. It is designed specifically for RPMs to provide them with quick reference information on the initiation and management of ARCS work assignments.



CHAPTER 2

AUTHORITIES

Chapter 2

AUTHORITIES

ARCS WORK ASSIGNMENT MANAGEMENT AUTHORITIES

DOCUMENTS	RPM			PO			CO		
	P	C	A*	P	C	A*	P	C	A*
WAF	●				●				●
PR	●				●			●	
WORK PLAN		●			●				●
WA MODIFICATIONS	●				●				●
INVOICES		●				●		●	●
PROGRESS REPORTS		●			●			●	
DELIVERABLES			●		●				
WACR	●				●				●

*For those actions where approval is not indicated, Region-specific policies and procedures should be followed.

KEY: P = Prepare

C = Review & Concur

A = Review & Approve

CHAPTER 3

WORK ASSIGNMENT ISSUANCE, MODIFICATION & CLOSEOUT

Chapter 3

WA ISSUANCE, MODIFICATION & CLOSEOUT

TYPES OF WORK ASSIGNMENT ACTIONS AND SUMMARY OF REQUIRED DOCUMENTATION

	ACTION TO BE TAKEN	REQUIRED DOCUMENTATION: WAF	SOW	PR	TDM	REFERENCES: TABS AND EXHIBITS	ARCS CONTRACTS USERS' MANUAL
WA ISSUANCE	Initiate New WA	•	•	•		Tab 3.1 Exhibit 3.1	Pgs. 3-36 to 3-41 in ARCS Users' Manual; Pgs. IV-1 to 24 in App. IV of Users' Manual
	Prepare Interim Amendment-EPA	•		•		Tab 3.2 Exhibit 3.2	Pgs. 3-36 to 3-41 in ARCS Users' Manual; Pg. IV-15 in App. IV of Users' Manual
	Prepare Interim Amendment-Contractor	•		•		Tab 3.3 Exhibit 3.3	Pgs. 3-36 to 3-41 in ARCS Users' Manual; Pg. IV-15 in App. IV of Users' Manual
	Request Incremental Funding-Before WP Approval	•		•		Tab 3.4 Exhibit 3.4	Pgs. 3-36 to 3-41 in ARCS Users' Manual; Pgs. IV-15 & 16 in App. IV of Users' Manual
	Request Incremental Funding-After WP Approval	•		•		Tab 3.5 Exhibit 3.5	Pgs. 3-36 to 3-41 in ARCS Users' Manual; Pg. IV-16 in App. IV of Users' Manual
	Approve Partial WP	•				Tab 3.6 Exhibit 3.6	Pgs. 3-42 to 3-43 in ARCS Users' Manual; Pgs. IV-16 & 17 in App. IV of Users' Manual

WA ISSUANCE, MODIFICATION & CLOSEOUT (Continued)

TYPES OF WORK ASSIGNMENT ACTIONS AND SUMMARY OF REQUIRED DOCUMENTATION

	ACTION TO BE TAKEN	REQUIRED DOCUMENTATION: WAF	SOW	PR	TDM	REFERENCES: TABS AND EXHIBITS	ARCS CONTRACTS USERS' MANUAL
WA MODIFICATION	Approve Final WP	•				Tab 3.7 Exhibit 3.7	Pgs. 3-42 to 3-43 in ARCS Users' Manual; Pgs. IV-17 & 18 in App. IV of Users' Manual
	Amend SOW - Major Change	•	•*	•**		Tab 3.8 Exhibit 3.8	Pgs. 3-44 to 3-45 in ARCS Users' Manual; Pg. IV-18 in App. IV of Users' Manual
	Increase WA LOE**	•		•**		Tab 3.9 Exhibit 3.9	Pgs. 3-44 to 3-45 in ARCS Users' Manual; Pgs. IV-18 & 19 in App. IV of Users' Manual
	Decrease WA LOE**	•		•**		Tab 3.10 Exhibit 3.10	Pgs. 3-44 to 3-45 in ARCS Users' Manual; Pgs. IV-18 & 19 in App. IV of Users' Manual
	Increase WA Budget	•		•		Tab 3.11 Exhibit 3.11	Pgs. 3-44 to 3-45 in ARCS Users' Manual; Pgs. IV-18 & 19 in App. IV of Users' Manual
	Decrease WA Budget	•		•		Tab 3.12 Exhibit 3.12	Pgs. 3-44 to 3-45 in ARCS Users' Manual; Pgs. IV-18 & 19 in App. IV of Users' Manual
	Amend SOW - Minor Change	•			•	Tab 3.13 Exhibit 3.13	Pgs. 3-46 to 3-48 in ARCS Users' Manual; Pgs. IV-18 & 19 in App. IV of Users' Manual

* A revised SOW is required.

** A PR is required only if funding level changes.

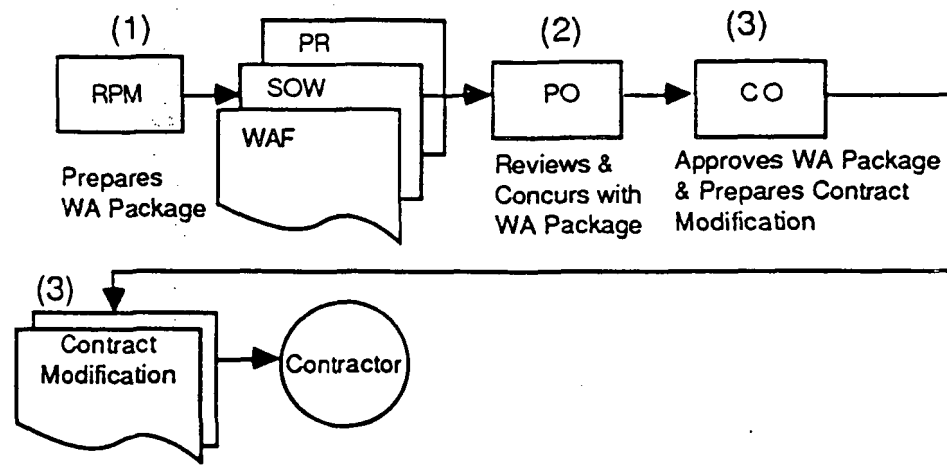
WA ISSUANCE, MODIFICATION & CLOSEOUT (Continued)

TYPES OF WORK ASSIGNMENT ACTIONS AND SUMMARY OF REQUIRED DOCUMENTATION

	ACTION TO BE TAKEN	REQUIRED DOCUMENTATION: WAF	SOW	PR	TDM	REFERENCES: TABS AND EXHIBITS	ARCS CONTRACTS USERS' MANUAL
WA CLOSEOUT	Close Out WA	•				Tab 3.14 Exhibit 3.14	Pgs. 3-49 to 3-50 in ARCS Users' Manual; Pgs. IV-19 & 20 in App. IV of Users' Manual
	Close Out WA - Increase LOE	•				Tab 3.15 Exhibit 3.15	Pgs. 3-49 to 3-50 in ARCS Users' Manual; Pgs. IV-19 & 20 in App. IV of Users' Manual
	Close Out WA - Decrease LOE	•				Tab 3.16 Exhibit 3.16	Pgs. 3-49 to 3-50 in ARCS Users' Manual; Pgs. IV-19 & 20 in App. IV of Users' Manual
	Close Out WA - Increase Budget	•		•		Tab 3.17 Exhibit 3.17	Pgs. 3-49 to 3-50 in ARCS Users' Manual; Pgs. IV-19 & 20 in App. IV of Users' Manual
	Close Out WA - Decrease Budget	•		•		Tab 3.18 Exhibit 3.18	Pgs. 3-49 to 3-50 in ARCS Users' Manual; Pgs. IV-19 & 20 in App. IV of Users' Manual
	Close Out WA- Increase LOE & Budget	•		•		Tab 3.19 Exhibit 3.19	Pgs. 3-49 to 3-50 in ARCS Users' Manual; Pgs. IV-19 & 20 in App. IV of Users' Manual
	Close Out WA- Increase LOE & Decrease Budget	•		•		Tab 3.20 Exhibit 3.20	Pgs. 3-49 to 3-50 in ARCS Users' Manual; Pgs. IV-19 & 20 in App. IV of Users' Manual
	Close Out WA- Decrease LOE & Budget	•		•		Tab 3.21 Exhibit 3.21	Pgs. 3-49 to 3-50 in ARCS Users' Manual; Pgs. IV-19 & 20 in App. IV of Users' Manual
	Close Out WA- Decrease LOE & Increase Budget	•		•		Tab 3.22 Exhibit 3.22	Pgs. 3-49 to 3-50 in ARCS Users' Manual; Pgs. IV-19 & 20 in App. IV of Users' Manual

EXHIBIT 3.1

INITIATE NEW WORK ASSIGNMENT



STEPS	ACTIVITIES
1	• RPM prepares Work Assignment package, which consists of Work Assignment Form (WAF), Statement of Work (SOW), and Procurement Request (PR)
Notes:	**(Detailed instructions on "how to" complete the WAF, SOW, and PR are provided in the ARCS Contracts Users' Manual, Appendix IV, pages IV-1 to 24 and the ARCS Contracts Users' Manual, pages 3-30 to 3-41)**
2	• PO reviews WA package for completeness and accuracy • Signs the WAF • Transmits the package to the CO for approval
3	• CO reviews the WAF to assure compliance with contract • CO completes the work assignment number • Signs the WAF • Prepares a contract modification • Forwards original to the contractor with a copy to the RPM and PO

EXHIBIT 3.1 (Cont.)

USEPA — **WORK ASSIGNMENT FORM**

1. WORK ASSIGNMENT INFORMATION

PROJECT NAME: Apache Powder CONTRACTOR: XYZ INC WORK ASSIGNMENT NO: 131-9L 78

ACTIVITY: Technical Support EPA CONTRACT NO.: 68-01-8060 REVISION NO: INITIAL

DATE: 2/20/87 CONTRACTOR CONTROL NO: _____ MODIFICATION NO: 54 (Contracting Officer Use Only)

2. DESCRIPTION OF ACTION

- [x] NEW WORK ASSIGNMENT
  - Interim SOW, schedule, and LOE
  - Complete SOW, estimated budget and schedule
  - RECURRED APPROVAL
  - EPA REGION/HEADQUARTERS
- [ ] INTERIM AMENDMENT
  - Change in LOE, Scope by task
  - Add additional tasks or funds
- [ ] INCREMENTAL FUNDING
  - EPA REGION/HEADQUARTERS
- [ ] PARTIAL WORK PLAN APPROVAL
- [ ] FINAL WORK PLAN APPROVAL
  - Approval of 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)
  - Contractor originates
  - Regional determination
  - When signed by CO, this constitutes a stop work order
  - CONTRACTOR

3. BUDGET INFORMATION

	TOTAL FUNDING RECEIVED ($) *	INTERIM BUDGET (TECHNICAL LOE)	INTERIM BUDGET ($) *	APPROVED WORK PLAN BUDGET (TECHNICAL LOE)	APPROVED WORK PLAN BUDGET ($) *	EXPENDITURE LIMIT (EL) * (TECHNICAL LOE)	EXPENDITURE LIMIT (EL) * ($) *
CURRENT	-0-	-0-	-0-			-0-	-0-
THIS ACTION	800,000	1000	100,000			1,000	100,000
TOTAL	800,000	1,000	100,000			1,000	100,000

* Optional - dollar estimate may be tracked separately in expenditure limit block. EPA estimated LOE hours of entire WA ____

* Includes fees

* Includes fees

* Established by RPM/RPO

4. WA COMPLETION DATE CURRENT 12/31/87 REVISED _____

5. EPA COMMENTS The contractor will prepare a Work Plan to cover the SOW. An interim budget of $100,000 is provided to prepare the Work Plan and to commence the activities outlined in the SOW.

6. APPROVALS

CONTRACTOR SIGNATURES:

SITE MANAGER/PM _____ DATE _____

PHONE _____

REGIONAL MANAGER/PM _____ DATE _____

EPA SIGNATURES:

REMEDIAL PROJECT MANAGER Mary Doe DATE 2/20/87

PHONE (415) 555-6565

PROJECT OFFICER Bill Jones DATE 2/24/87

[x] APPROVED AS SUBMITTED [ ] APPROVED WITH CHANGES [ ] NOT APPROVED

SIGNATURE OF CONTRACTING OFFICER Jim Black DATE APPROVED 3/11/87

CC: EPA Project Officer
PO/RPM
Contractor
EPA Contracting Officer (when only expenditure limit column is used)

UPDATE 11/13/86

ATTACH STATEMENT OF WORK (PER DESCRIPTION OF ACTION)

FINAL CHECKS

1. Current Funding = -0-
2. LOE & dollar amount should be on the "THIS ACTION" and "TOTAL" lines
3. Dollar amount in the PR should be same as dollar amount in the "THIS ACTION" and "TOTAL" lines of the interim budget column.

EXHIBIT 3.1 (Cont.)

US Environmental Protection Agency
Washington, DC 20460

EPA Procurement Request/Order

Page of

Name of Originator: Mary Joe			2. Date of Requisition
3. Mail Code: WH-550	4. Telephone Number: 415/555-4565		5. Date Item Required: ASAP
6. Signature of Originator: Mary Joe		7. Recommended Procurement Method: ☒ Competitive ☐ Other than full and open competition ☐ Sole source small purchase	
8. Deliver To (Project Manager): Bill Jones	9. Address: Fremont St., San Francisco, CA	10. Mail Code: PM-214	11. Telephone Number: 415/555-1100
12. Financial Data: a. Appropriation	Office of Finance Office Number	NOTE: Item 12(d) Document Type — Contract = C. Purchase Order = P	

FMO Use (c)(13 digits)	Doc. Type (d)	Doc. Control Number (e)(6 digits)	Account Number (f)(10 digits)	Object Class (g)(4 digits)	Amount (h) Dollars	Cents
	C				100,000	00

13. Suggested Source (Name, Address, ZIP Code, Phone/Contact): XYZ INC, 200 Green St., San Francisco, CA 38101	14. Amount of money committed is: ☐ Original ☐ Increase ☐ Decrease	15. For Small Purchases Only. Contracting Office is authorized to exceed the amount shown in Block 12(h) by 10% or $100, whichever is less. ☐ Yes ☐ No

16. Approvals

a. Branch/Office: Chief, WPB	Date	d. Property Management Officer/Designee	Date
b. Division/Office: Director, WMD	Date	e. Other (Specify)	Date
c. Funds listed in Block 12 and Block 15 (if any) are available and reserved (Signature of Certifying Official): FCC	Date	f. Other (Specify)	Date

17. Date of Order	18. Order Number	19. Contract Number (if any)	20. Discount Terms
21. FOB Point	22. Delivery to FOB Point by On or before (Date):	23. Person Taking Order, Quote and Phone No.	

24. Contractor (Name, address, ZIP Code)

25. Type of Order — Reference your quote (See Block 23)
☐ a. Purchase
Please furnish the above prime terms specified on both sides of this order and on the attached sheets, if any, including delivery as indicated.
☐ b. Delivery provisions on the reverse are deleted. The delivery order is subject to the terms and conditions of the contract (See Block 19).
c. ☐ Oral ☐ Written ☐ Confirming

26. Schedule

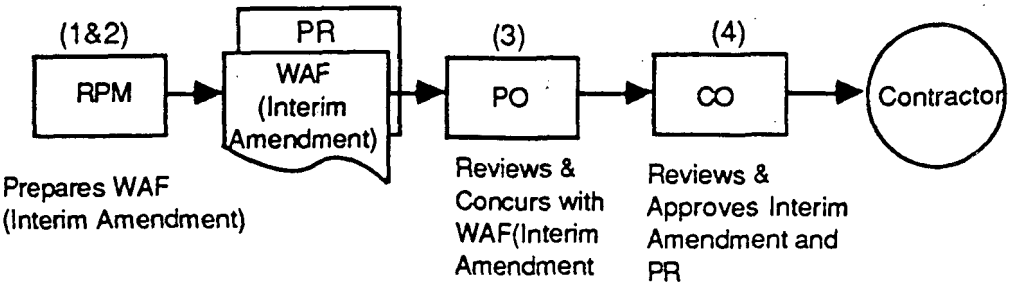
Item Number (a)	Supplies or Services (b)	Quantity Ordered (c)	Unit (d)	Estimated Unit Price (e)	Unit Price (f)	Amount (g)	Quantity Accepted (h)
	Funding for Work Plan Memorandum and other interim activities at the Apache Powder site Obligated Funds -0- Funding This Action $100,000 Total $100,000					100,000	
					Total $	100,000	

27. United States of America By (Signature)	28. Typed Name and Title of Contracting Officer

EPA Form 1900-8 (Rev. 9-86) Previous editions are obsolete. COPY 1 – PROCUREMENT FILE/CONTRACTING OFFICER

EXHIBIT 3.2

PREPARE INTERIM AMENDMENT (EPA-INITIATED)



STEPS	ACTIVITIES
1	• After new work assignment has been issued, but prior to work plan approval, RPM decides to modify the SOW (e.g., add or delete tasks, add or subtract hours, add or subtract dollars, change period of performance)
Notes:	**(Be sure to inform the contractor of the modifications as soon as possible)**
2	• RPM prepares WAF Interim Amendment • Sends to PO for review and concurrence
Notes:	**(Explain on the WAF why the interim amendment is needed)** **(A PR will be needed if there is a change in dollars)**
3	• PO reviews the WAF (Interim Amendment) • Concurs by signing it • Sends to CO for approval
4	• CO reviews the WAF and PR • Approves WAF • Forwards WAF to the contractor • Prepares and issues contract modification, if applicable

EXHIBIT 3.2 (Cont.)

USEPA — **WORK ASSIGNMENT FORM**

1. WORK ASSIGNMENT INFORMATION

PROJECT NAME: Galena Subsite CONTRACTOR: XYZ INC. WORK ASSIGNMENT NO: 08-7L37

ACTIVITY: RI/FS EPA CONTRACT NO.: 68-01-8060 REVISION NO: 2

DATE: 1/8/87 CONTRACTOR CONTROL NO: _____ MODIFICATION NO: 50 (Contracting Officer Use Only)

2. DESCRIPTION OF ACTION

- ☐ NEW WORK ASSIGNMENT — Interim SOW, schedule, and LOE; Complete SOW, estimated budget and schedule; RECURRED APPROVAL — EPA REGION/HEADQUARTERS
- ☒ INTERIM AMENDMENT — Change in LOE, Scope by task; Add additional tasks or funds; ☐ INCREMENTAL FUNDING — EPA REGION/HEADQUARTERS
- ☐ PARTIAL WORK PLAN APPROVAL; ☐ FINAL WORK PLAN APPROVAL — Approval of 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 limit; 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) — Contractor originates; Regional determination; When signed by CO, this constitutes a stop work order — CONTRACTOR

3. BUDGET INFORMATION

	TOTAL FUNDING RECEIVED ($) *	INTERIM BUDGET (TECHNICAL LOE)	INTERIM BUDGET ($) *	APPROVED WORK PLAN BUDGET (TECHNICAL LOE)	APPROVED WORK PLAN BUDGET ($) *	EXPENDITURE LIMIT (EL) * (TECHNICAL LOE)	EXPENDITURE LIMIT (EL) * ($) *
CURRENT	100,000	1,277	100,000			1,277	100,000
THIS ACTION	85,000	1,416	85,000			1,416	85,000
TOTAL	185,000	2,693	185,000			2,693	185,000

* Option - dollar estimate may be tracked regionally in expenditure limit block. EPA estimated LOE hours of entire WA ____

* Includes fees — * Includes fees — * Established by RPM/RPO

4. WA COMPLETION DATE CURRENT 9/30/88 REVISED _____

5. EPA COMMENTS This funding increase and LOE increase are to prepare the work plans for the OU#5 on the ground water in the Galena subsite, the OU#5 on the surface water in the Galena subsite, and to mobilize for the field work beginning March 1987.

6. APPROVALS

CONTRACTOR SIGNATURES:

SITE MANAGER/FIRM _____ DATE _____

PHONE _____

REGIONAL MANAGER/FIRM _____ DATE _____

EPA SIGNATURES:

Bill Zimmerman — REMEDIAL PROJECT MANAGER — DATE 1/8/87 — PHONE 913/551-8110

Jim Starr — PROJECT OFFICER — DATE 1/9/87

☒ APPROVED AS SUBMITTED ☐ APPROVED WITH CHANGES ☐ NOT APPROVED

Rick Smith — SIGNATURE OF CONTRACTING OFFICER — DATE APPROVED 2/3/87

CC: EPA Project Officer; PO/RPM; Contractor; EPA Contracting Officer (when only expenditure limit column is used)

UPDATE 11/13/86

ATTACH STATEMENT OF WORK (PER DESCRIPTION OF ACTION)

FINAL CHECKS

1. Dollar amount of PR should be same as dollar amount on the "THIS ACTION" lines.
2. Change in LOE and dollars should be on the "THIS ACTION" line of interim budget.
3. "CURRENT" LOE/dollars plus "THIS ACTION" LOE/dollars should equal "TOTAL" LOE/dollars.

(Should not be used for sale of goods where office only)

US Environmental Protection Agency
Washington, DC 20460

EPA Procurement Request/Order

Page of

1. Name of Originator: Bill Zimmerman
2. Date of Requisition
3. Mail Code: TS-793
4. Telephone Number: 913/555-8110
5. Date Item Required: ASAP
6. Signature of Originator: Bill Zimmerman
7. Recommended Procurement Method: ☒ Competitive ☐ Other than full and open competition ☐ Sole source small purchase
8. Deliver To (Project Manager): Jim
9. Address: 726 Minnesota Ave. KC, KS
10. Mail Code: TS-767
11. Telephone Number: 913/555-8211
12. Financial Data: a. Appropriation: 68/20X5145; b. Servicing Finance Office Number: 22
NOTE: Item 12(d) Document Type — Contract = Purchase Order = "P"

FMO Use (c)(13 digits)	Document Control Number (e)(6 digits)	Account Number (f)(10 digits)	Object Class (g)(4 digits)	Amount (h) Dollars	Cents
	AH0022	7TFA07MLA9	2535	35,000	00

13. Suggested Source (Name, Address, ZIP Code, Phone/Contact)
XYZ INC
52 Clearlake St.
Kansas City, KS 53221

14. Amount of money committed is: ☐ Original ☐ Increase ☐ Decrease

15. For Small Purchases Only: Contracting Office is authorized to exceed the amount shown in Block 12(h) by 10% or $100 whichever is less ☐ Yes ☐ No

16. Approvals

	Date		Date
a. Branch/Office: Chief, SB		d. Property Management Officer/Designee	
b. Division/Office: Director, WMD		e. Other (Specify)	
c. Funds listed in Block 12 and Block 15 (if any) are available and reserved (Signature of Certifying Official): FCC		f. Other (Specify)	

17. Date of Order
18. Order Number
19. Contract Number (if any): 68-01-8060
20. Discount Terms
21. FOB Point
22. Delivery to FOB Point by On or before (Date):
23. Person Taking Order, Quote and Phone No
24. Contractor (Name, address, ZIP Code)
25. Type of Order: Reference your quote (See block 23)
☐ a. Purchase
Please furnish the above and the terms specified on both sides of this order and on the attached sheets, if any, including delivery as indicated.
☐ b. Delivery provisions on the reverse are deleted. The delivery order is subject to the terms and conditions of the contract (See Block 19).
c. ☐ Oral ☐ Written ☐ Confirming

26. Schedule

Item Number (a)	Supplies or Services (b)	Quantity Ordered (c)	Unit (d)	Estimated Unit Price (e)	Unit Price (f)	Amount (g)	Quantity Accepted (h)
	Supplemental funding for work plan preparation, OUFS, and mobilization for field work at Galena subsite, Kansas City, KS Obligated Funds $100,000 Funding This Action 35,000 Total $135,000					35,000	
					Total ▶	35,000	

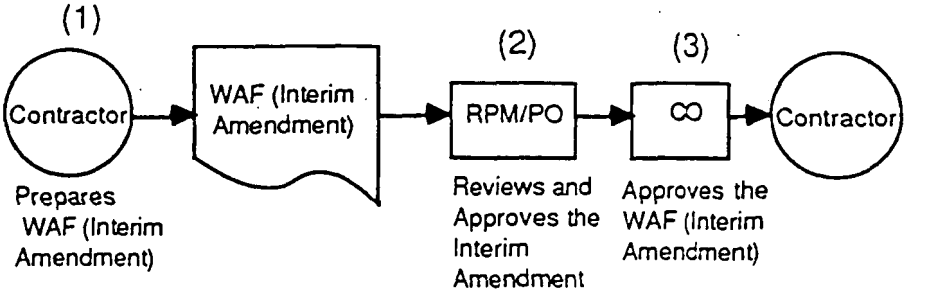
27. United States of America By (Signature)
28. Typed Name and Title of Contracting Officer

EPA Form 1900-8 (Rev. 9-86) Previous editions are obsolete

COPY 1 – PROCUREMENT FILE/CONTRACTING OFFICER

EXHIBIT 3.3

PREPARE INTERIM AMENDMENT (CONTRACTOR–INITIATED)



STEPS	ACTIVITIES
1	• If SOW needs to be modified by changing the scope of work or by substantially increasing the LOE and costs, contractor submits a revised WAF (Interim Amendment) to the RPM/PO
2	• RPM reviews and approves the amendment • Completes the WAF • PO reviews and concurs with RPM's recommendation • Transmits the Interim Amendment with the WAF to the CO
Notes:	**(Justification for the Interim Amendment should be provided by the contractor as part of the Interim Amendment)** **(A PR is required if funding is not sufficient to accomplish the interim tasks)**
3	• CO reviews and approves the Interim Amendment to the WA by signing the WAF (Interim Amendment) • CO prepares and issues contract modification, if applicable
Notes:	**(RPM should contact the contractor to ensure receipt of WAF Interim Amendment)**

EXHIBIT 3.3 (Cont.)

USEPA — **WORK ASSIGNMENT FORM**

1. WORK ASSIGNMENT INFORMATION

PROJECT NAME: Laskin/Poplar Oil CONTRACTOR: XYZ INC WORK ASSIGNMENT NO: 1-5432

ACTIVITY: RI/FS EPA CONTRACT NO.: 68-01-8060 REVISION NO: 2

DATE: 11/5/86 CONTRACTOR CONTROL NO: _____ MODIFICATION NO: 15 (Contracting Officer Use Only)

2. DESCRIPTION OF ACTION

- ☐ NEW WORK ASSIGNMENT — Interim SOW, schedule, and LOE; Complete SOW, estimated budget and schedule; RECURRED APPROVAL — EPA REGION/HEADQUARTERS
- ☒ INTERIM AMENDMENT — Change in LOE, Scope by task; Add additional tasks or funds; ☐ INCREMENTAL FUNDING — EPA REGION/HEADQUARTERS
- ☐ PARTIAL WORK PLAN APPROVAL; ☐ FINAL WORK PLAN APPROVAL — Approval of 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 limit; 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) — Contractor completion; Regional determination; When signed by CO, this constitutes a stop work order — CONTRACTOR

3. BUDGET INFORMATION

	TOTAL FUNDING RECEIVED ($) *	INTERIM BUDGET (TECHNICAL LOE)	INTERIM BUDGET ($) *	APPROVED WORK PLAN BUDGET (TECHNICAL LOE)	APPROVED WORK PLAN BUDGET ($) *	EXPENDITURE LIMIT (EL) * (TECHNICAL LOE)	EXPENDITURE LIMIT (EL) * ($) *
CURRENT	70,000	453	42,324			453	42,324
THIS ACTION	7,340	100	7,340			100	7,340
TOTAL	77,340	553	49,664			553	49,664

* Optional - dollar estimate may be tracked separately in expenditure limit block. EPA estimated LOE hours of entire RIA ____

* Includes fees — * Includes fees — * Established by RPM/RPO

4. WA COMPLETION DATE CURRENT 9/30/87 REVISED _____

5. EPA COMMENTS: This revision is to increase the LOE hours and dollars necessary for conducting the work described in the attached Work Plan Memorandum. There is no change in the scope of work or period of performance.

6. APPROVALS

CONTRACTOR SIGNATURES: John Smith — SITE MANAGER/PM — DATE 11/5/86 — PHONE 303/555-9211; Bob Thomas — REGIONAL MANAGER/PM — DATE 11/5/86

EPA SIGNATURES: Fred Williams — REMEDIAL PROJECT MANAGER — DATE 11/7/86 — PHONE 303/555-3800; Frank Jones — PROJECT OFFICER — DATE 11/6/86

☒ APPROVED AS SUBMITTED ☐ APPROVED WITH CHANGES ☐ NOT APPROVED

Bill Johnson — SIGNATURE OF CONTRACTING OFFICER — DATE APPROVED 11/16/86

CC: EPA Project Officer; PO/RPM; Contractor; EPA Contracting Officer (where only expenditure limit column is used)

ATTACH STATEMENT OF WORK (PER DESCRIPTION OF ACTION)

UPDATE 11/1/86

FINAL CHECKS

. Dollar amount of PR should be same as dollar amount on the "THIS ACTION" lines.
2. Change in LOE and dollars should be on the "THIS ACTION" line of interim budget.
1. "CURRENT" LOE/dollars plus "THIS ACTION" LOE/dollars should equal "TOTAL" LOE/dollars.

EXHIBIT 3.3 (Cont.)

(Shaded areas are for use of procurement office only)

US Environmental Protection Agency
Washington, DC 20460

EPA Procurement Request/Order

1. Name of Originator: Fred Williams
2. Date of Requisition: [illegible] 86
3. Mail Code: AH-585
4. Telephone Number: 303/333-7250
5. Date Item Required: ASAP
6. Signature of Originator: Fred Williams
7. Recommended Procurement Method: ☒ Competitive ☐ Other than full and open competition ☐ Sole source small purchase
8. Deliver To (Project Manager): Frank Jones
9. Address: 999 18th St., Denver,
10. Mail Code: 8ENM-221
11. Telephone Number: 303/555-1735
12. Financial Data: a. Appropriation: 68/20X8145; b. Servicing Finance Office Number: 22

NOTE: Item 12(d) Document Type — Contract = "C", Purchase Order = "P"

FMO Use (c)(13 digits)	Document Control Number (e)(8 digits)	Account Number (h)(10 digits)	Object Class (g)(4 digits)	Amount (h) Dollars	Cents
	C AH0022	6TFA08ML93	2535	7,340	00

13. Suggested Source (Name, Address, ZIP Code, Phone/Contact):
XYZ INC
25 West St.
Denver, CO 20932

14. Amount of money committed is: ☐ Original ☒ Increase ☐ Decrease

15. For Small Purchases Only: Contracting Officer is authorized to exceed the amount shown in Block 12(h) by 10% or $100, whichever is less. ☐ Yes ☐ No

16. Approvals

	Date		Date
a. Branch/Office: Chief, SB		d. Property Management Officer/Designee	
b. Division/Office: Director, WMD		e. Other (Specify)	
c. Funds listed in Block 12 and Block 15 (if any) are available and reserved. (Signature of Certifying Official): FCC		f. Other (Specify)	

17. Date of Order
18. Order Number
19. Contract Number (if any): 68-01-0860
20. Discount Terms
21. FOB Point
22. Delivery to FOB Point by On or before (Date)
23. Person Taking Order, Quote and Phone No.
24. Contractor (Name, address, ZIP Code)
25. Type of Order: Reference your quote (See Block 23)
☐ a. Purchase
Please furnish the above on the terms specified on both sides of this order and on the attached sheets, if any, including delivery as indicated.
☐ b. Delivery provisions on the reverse are deleted. The delivery order is subject to the terms and conditions of the contract (See Block 19).
c. ☐ Oral ☐ Written ☐ Confirming

26. Schedule

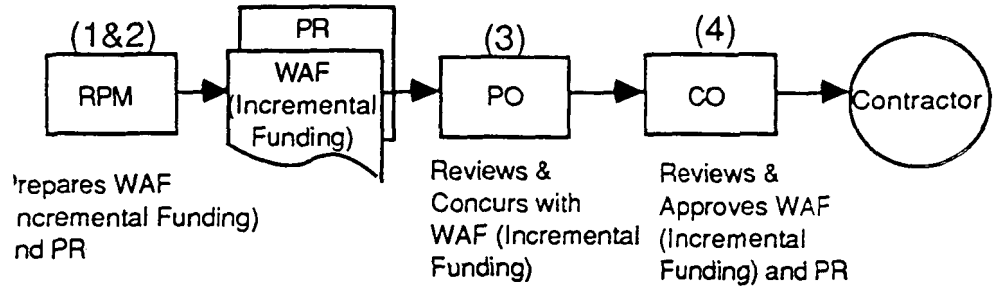
Item Number (a)	Supplies or Services (b)	Quantity Ordered (c)	Unit (d)	Estimated Unit Price (e)	Unit Price (f)	Amount (g)	Quantity Accepted (h)
	Increased funding for interim RI/FS tasks, as described in Work Plan Memo, for Laskin/Poplar Oil Site in Boulder, CO Obligated Funds $70,000 Funding This Action 7,340 Total $77,340					7,340	
					Total $	7,340	

27. United States of America By (Signature)
28. Typed Name and Title of Contracting Officer

EPA Form 1900-8 (Rev. 9-86) Previous editions are obsolete. COPY 1 – PROCUREMENT FILE/CONTRACTING OFFICER

EXHIBIT 3.4

REQUEST INCREMENTAL FUNDING - BEFORE FINAL WORK PLAN APPROVAL



STEPS	ACTIVITIES
1	•Prior to final work plan approval, RPM decides to provide incremental funding for interim tasks
Notes:	**(Incremental funding is provided when total funding is unavailable or when only certain tasks are authorized)**
2	•RPM completes WAF and PR •Sends to PO for review and concurrence
Notes:	**(If only certain tasks are authorized by the incremental funding, list these tasks on the WAF)**
3	•PO reviews the WAF •Concurs by signing it •Submits to CO for approval
4	•CO reviews the WAF and PR •Approves the WAF •Forwards WAF to the contractor •Prepares and issues contract modification

EXHIBIT 3.4 (Cont.)

USEPA — **WORK ASSIGNMENT FORM**

1. WORK ASSIGNMENT INFORMATION

PROJECT NAME: Jones Dump CONTRACTOR: XYZ INC. WORK ASSIGNMENT NO: 77-5L30

ACTIVITY: FS/CRI EPA CONTRACT NO.: 68-01-8060 REVISION NO: 3

DATE: 6/23/87 CONTRACTOR CONTROL NO: _____ MODIFICATION NO: 30 (Contracting Officer Use Only)

2. DESCRIPTION OF ACTION

- ☐ NEW WORK ASSIGNMENT
  - Interim SOW, schedule and LOE
  - Complete SOW, estimated budget and schedule
  - RECURRED APPROVAL
  - EPA REGION HEADQUARTERS
- ☐ INTERIM AMENDMENT
  - Change in LOE, Scope by task
  - Add additional tasks or funds
  - ☒ INCREMENTAL FUNDING
  - EPA REGION HEADQUARTERS
- ☐ PARTIAL WORK PLAN APPROVAL
- ☐ FINAL WORK PLAN APPROVAL
  - Approval of 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)
  - Contractor originates
  - Regional determination
  - When signed by CO, this constitutes a stop work order
  - CONTRACTOR

3. BUDGET INFORMATION

	TOTAL FUNDING RECEIVED ($) *	INTERIM BUDGET (TECHNICAL LOE)	INTERIM BUDGET ($) *	APPROVED WORK PLAN BUDGET (TECHNICAL LOE)	APPROVED WORK PLAN BUDGET ($) *	EXPENDITURE LIMIT (EL) * (TECHNICAL LOE)	EXPENDITURE LIMIT (EL) * ($) *
CURRENT	327,100	2,449	327,100			2,449	327,100
THIS ACTION	5,000	100	5,000			100	5,000
TOTAL	332,100	2,549	332,100			2,549	332,100

* Option - dollar estimate may be tracked separately in expenditure limit block. EPA estimated LOE hours of entire WA ____

* Includes fees

* Includes fees

* Established by RPM/RPO

4. WA COMPLETION DATE

CURRENT 9/30/87 REVISED _____

5. EPA COMMENTS: Additional community relations funding. Statement of work attached.

6. APPROVALS

CONTRACTOR SIGNATURES:

SITE MANAGER/PM _____ DATE _____

PHONE _____

REGIONAL MANAGER/PM _____ DATE _____

EPA SIGNATURES:

REGIONAL PROJECT MANAGER Jim Johnson DATE 6/23/87

PHONE 312/886-3300

PROJECT OFFICER Frank Jones DATE 6/24/87

☒ APPROVED AS SUBMITTED ☐ APPROVED WITH CHANGES ☐ NOT APPROVED

SIGNATURE OF CONTRACTING OFFICER Bill Johnson DATE APPROVED 7/20/87

CC: EPA Project Officer
PO/RPM
Contractor
EPA Contracting Officer (when only expenditure limit column is used)

UPDATE 11/13/86

ATTACH STATEMENT OF WORK (PER DESCRIPTION OF ACTION)

FINAL CHECKS

1. Dollar amount of PR should be same as dollar amount on the "THIS ACTION" lines.
2. "THIS ACTION" line plus "CURRENT" line equals "TOTAL" line.

EXHIBIT 3.4 (Cont.)

(Shaded areas are for use of procurement office only)

Page of

US Environmental Protection Agency
Washington, DC 20460

EPA Procurement Request/Order

1. Name of Originator: Jim Johnson
2. Date of Requisition: [illegible]
3. Mail Code: BZ-631
4. Telephone Number: 312/555-3300
5. Date Item Required: ASAP
6. Signature of Originator: Jim Johnson
7. Recommended Procurement Method: ☒ Competitive ☐ Other than full and open competition ☐ Sole source small purchase
8. Deliver To (Project Manager): Frank Jones
9. Address: 230 S. Dearborn St. Chicago, Il
10. Mail Code: AT-150
11. Telephone Number: 312/555-6666
12. Financial Data: a. Appropriation: 68/20X8145 b. Servicing Finance Office Number: 22

NOTE: Item 12(d) Document Type — Contract = "C," Purchase Order = "P"

FMO Use (c) (13 digits)	Doc Type (d)	Document Control Number (e) (6 digits)	Account Number (f) (10 digits)	Object Class (g) (4 digits)	Amount (h) Dollars	Cents
	C	AH0022	7TFA05MLB8	2535	5,000	00

13. Suggested Source (Name, Address, ZIP Code, Phone/Contact)
XYZ INC
25 West St.
Chicago, Il 20932

14. Amount of money committed is: ☐ Original ☒ Increase ☐ Decrease

15. For Small Purchases Only: Contracting Office is authorized to exceed the amount shown in Block 12(h) by 10% or $100, whichever is less ☐ Yes ☐ No

16. Approvals

	Date		Date
a. Branch/Office: Chief, ERRB		d. Property Management Officer/Designee	
b. Division/Office: Director, WMD		e. Other (Specify)	
c. Funds listed in Block 12 and Block 15 (if any) are available and reserved (Signature of Certifying Official): FCC		f. Other (Specify)	

17. Date of Order
18. Order Number
19. Contract Number (if any): 68-01-0860
20. Discount Terms
21. FOB Point
22. Delivery to FOB Point by On or before (Date)
23. Person Taking Order, Quote and Phone No
24. Contractor (Name, address, ZIP Code)
25. Type of Order: Reference your quote (See block 23) ☐ a. Purchase
Please furnish the above on the terms specified on both sides of this order and on the attached sheets, if any, including delivery as indicated.
☐ b. Delivery provisions on the reverse are deleted. The delivery order is subject to the terms and conditions of the contract (See Block 19)
c. ☐ Oral ☐ Written ☐ Confirming

26. Schedule

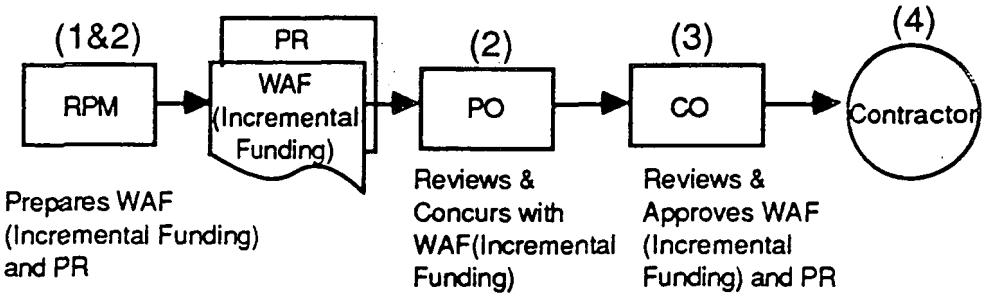
Item Number (a)	Supplies or Services (b)	Quantity Ordered (c)	Unit (d)	Estimated Unit Price (e)	Unit Price (f)	Amount (g)	Quantity Accepted (h)
	Incremental funding for community relations plan development at Jones Dump, Evanston, IL Obligated Funds $327,100 Funding This Action 5,000 Total $332,100					5,000	
					Total ▶	5,000	

27. United States of America By (Signature)
28. Typed Name and Title of Contracting Officer

EPA Form 1900-8 (Rev. 9-86) Previous editions are obsolete. COPY 1 – PROCUREMENT FILE/CONTRACTING OFFICER

EXHIBIT 3.5

REQUEST INCREMENTAL FUNDING - AFTER FINAL WORK PLAN APPROVAL



STEPS	ACTIVITIES
1	• After final work plan approval, RPM decides to provide incremental funding for remaining tasks
Notes:	**(Incremental funding is provided when total funding is unavailable or when only certain tasks are authorized)**
2	• RPM completes WAF and PR • Sends to PO for review and concurrence
Notes:	**(If only certain tasks are authorized by the incremental funding, list these tasks on the WAF)**
3	• PO reviews the WAF • Concurs by signing it • Submits to CO for approval
4	• CO reviews the WAF and PR • Approves the WAF • Forwards WAF to the contractor • Prepares and issues contract modification

EXHIBIT 3.5 (Cont.)

USEPA — **WORK ASSIGNMENT FORM**

1. WORK ASSIGNMENT INFORMATION

PROJECT NAME: Gentin Springs CONTRACTOR: XYZ INC. WORK ASSIGNMENT NO: 38-8L08

ACTIVITY: RI/F.S. EPA CONTRACT NO.: 00-01-8060 REVISION NO: 13

DATE: 8/3/87 CONTRACTOR CONTROL NO: _____ MODIFICATION NO: 19 (Contracting Officer Use Only)

2. DESCRIPTION OF ACTION

- ☐ NEW WORK ASSIGNMENT — • Issues SOW, schedule, and LOE • Complete SOW, estimated budget and schedule — RECURRED APPROVAL — EPA REGION/HEADQUARTERS
- ☐ INTERIM AMENDMENT — • Changes in LOE, Scope by task • Add additional tasks or funds — ☒ INCREMENTAL FUNDING — EPA REGION/HEADQUARTERS
- ☐ PARTIAL WORK PLAN APPROVAL; ☐ FINAL WORK PLAN APPROVAL — • Approves all work tasks • Add funds; ☐ AMENDMENT TO FINAL WORK PLAN APPROVAL — • Changes in LOE, scope or budget by task • Add additional tasks or funds (includes OF 60 or SF 1411) — EPA REGION/HEADQUARTERS
- ☐ TECHNICAL DIRECTION MEMORANDUM — • Clarifies scope, budget and schedule • Revises expenditure limit • 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) — • Contractor completes • Regions determination • When signed by CO, this constitutes a stop work order — CONTRACTOR

3. BUDGET INFORMATION

	TOTAL FUNDING RECEIVED ($) *	INTERIM BUDGET (TECHNICAL LOE)	INTERIM BUDGET ($) *	APPROVED WORK PLAN BUDGET (TECHNICAL LOE)	APPROVED WORK PLAN BUDGET ($) *	EXPENDITURE LIMIT (EL) * (TECHNICAL LOE)	EXPENDITURE LIMIT (EL) * ($) *
CURRENT	2,276,617			33,080	3,415,519	28,252	2,276,617
THIS ACTION	516,376			-0-	-0-	4,828	516,376
TOTAL	2,792,993			33,080	3,415,519	33,080	2,792,993

* Option - dollar estimate may be tracked separately in expenditure limit block. EPA estimated LOE hours of entire WA ____

* Includes fees — * Includes fees — * Established by RPM/RPO

4. WA COMPLETION DATE — CURRENT 9/30/87 REVISED _____

5. EPA COMMENTS: Incremental funding for remainder of drilling Schedule C, installation of Schedule C wells, sampling plan development, ARARs identification, preliminary endangerment assessment, and sampling of water and soils

6. APPROVALS

CONTRACTOR SIGNATURES: SITE MANAGER/PM _____ DATE _____ PHONE _____ REGIONAL MANAGER/PM _____ DATE _____

EPA SIGNATURES: SPECIAL PROJECT MANAGER Jeff Bower DATE 8/3/87 PHONE 303/555-1616 PROJECT OFFICER Terry Rider DATE 8/4/87

☒ APPROVED AS SUBMITTED ☐ APPROVED WITH CHANGES ☐ NOT APPROVED

SIGNATURE OF CONTRACTING OFFICER Nina Forest DATE APPROVED 8/25/87

CC: EPA Project Officer; PO/RPM; Contractor; EPA Contracting Officer (where only expenditure limit column is used)

UPDATE 11/13/86

ATTACH STATEMENT OF WORK (PER DESCRIPTION OF ACTION)

FINAL CHECKS

1. Dollar amount of PR should be same as dollar amount on the "THIS ACTION" line of total funding received.
2. "THIS ACTION" line plus "CURRENT" line equals "TOTAL" line.
3. Total funding received should not be higher than approved work plan budget.

EXHIBIT 3.5 (Cont.)

(Shaded areas are for use of procurement office only)

Page of

US Environmental Protection Agency
Washington, DC 20460

EPA Procurement Request/Order

1. Name of Originator: Jeff Bower
2. Date of Requisition: 9/3/87
3. Mail Code: MT-13
4. Telephone Number: 303/555-1616
5. Date Item Required: ASAP
6. Signature of Originator: Jeff Bower
7. Recommended Procurement Method: ☒ Competitive ☐ Other than full and open competition ☐ Sole source small purchase
8. Deliver To (Project Manager): Terry Rider
9. Address: 999 13th St., Denver, CO
10. Mail Code: MT-15
11. Telephone Number: 303/555-1735
12. Financial Data: a. Appropriation: 68/20X8145; b. Servicing Finance Office Number: 22

NOTE: Item 12(a) Document Type — Contract = "C", Purchase Order = "P"

FMO Use (c) (13 digits)	Document Type (d)	Document Control Number (e) (6 digits)	Account Number (f) (10 digits)	Object Class (g) (4 digits)	Amount (h) Dollars	Amount (h) Cents
	C	AH5022	7TFA08MLD5	2535	516,376	00

13. Suggested Source (Name, Address, ZIP Code, Phone/Contact):
XYZ INC
25 West St.
Denver, CO 20932

14. Amount of money committed is: ☐ Original ☒ Increase ☐ Decrease

15. For Small Purchases Only: Contracting Office is authorized to exceed the amount shown in Block 12(h) by 10% or $100, whichever is less ☐ Yes ☐ No

16. Approvals

	Date		Date
a. Branch/Office: Chief, SB		d. Property Management Officer/Designee	
b. Division/Office: Director, WMD		e. Other (Specify)	
c. Funds listed in Block 12 and Block 15 (if any) are available and reserved (Signature of Certifying Official): FCC		f. Other (Specify)	

17. Date of Order	18. Order Number	19. Contract Number (if any)	20. Discount Terms
		68-01-0860	

21. FOB Point	22. Delivery to FOB Point by On or before (Date)	23. Person Taking Order, Quote and Phone No

24. Contractor (Name, address, ZIP Code)

25. Type of Order: Reference your quote (See block 23)
☐ a. Purchase
Please furnish the above on the terms specified on both sides of this order and on the attached sheets, if any, including delivery as indicated.
☐ b. Delivery provisions on the reverse are deleted. The delivery order is subject to the terms and conditions of the contract (See Block 19)
c. ☐ Oral ☐ Written ☐ Confirming

26. Schedule

Item Number (a)	Supplies or Services (b)	Quantity Ordered (c)	Unit (d)	Estimated Unit Price (e)	Unit Price (f)	Amount (g)	Quantity Accepted (h)
	Incremental funding for drilling and sampling at Quentin Springs site in Denver, CO Obligated Funds $2,276,617 Funding This Action 516,376 Total $2,792,993					516,376	
					Total $	516,376	

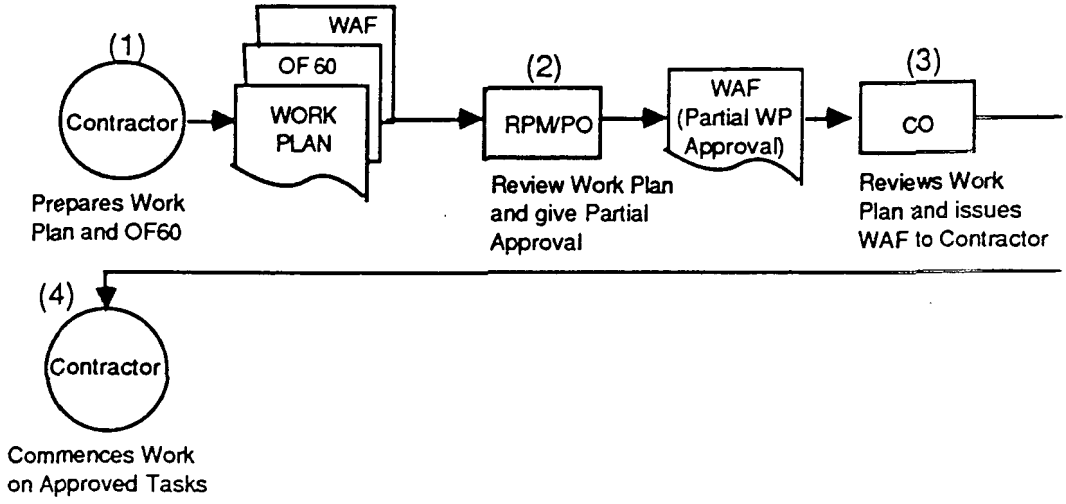
27. United States of America By (Signature)

28. Typed Name and Title of Contracting Officer

EPA Form 1900-8 (Rev. 9-86) Previous editions are obsolete.

COPY 1 – PROCUREMENT FILE/CONTRACTING OFFICER

EXHIBIT 3.6
APPROVE PARTIAL WORK PLAN



STEPS	ACTIVITIES
1	• Contractor prepares work plan (WP), Optional Form 60 (OF-60) or SF-1411, and WAF • Submits to RPM/PO for review and concurrence
2	• RPM/PO review the WP and OF-60 • Give only partial approval, as specified on the WAF*
Notes:	**(RPM should explain in Section 5 of the WAF why only partial approval is being given; if only certain tasks are being authorized, they should be listed also)** **(Additional information on WP review is provided in Chapter 4 and in the ARCS Contracts Users' Manual, Appendix IV, pages IV-25 to 28.)**
3	• CO reviews partial work plan approval action and signs WAF • Sends completed WAF to contractor
4	• Contractor commences work on approved tasks • Modifies other tasks, as necessary, to obtain final WP approval

*Partial Work Plan approval is given when only certain tasks are approved by the RPM

EXHIBIT 3.6 (Cont.)

USEPA — **WORK ASSIGNMENT FORM**

1. WORK ASSIGNMENT INFORMATION

PROJECT NAME: Times Beach CONTRACTOR: XYZ INC WORK ASSIGNMENT NO: 107-7662

ACTIVITY: FS EPA CONTRACT NO.: 68-01-8660 REVISION NO: 3

DATE: 11/12/86 CONTRACTOR CONTROL NO: _____ MODIFICATION NO: 47 (Contracting Officer Use Only)

2. DESCRIPTION OF ACTION

- ☐ NEW WORK ASSIGNMENT — Interim SOW, schedule, and LOE; Complete SOW, estimated budget and schedule; RECURRED APPROVAL — EPA REGION/HEADQUARTERS
- ☐ INTERIM AMENDMENT — Change in LOE, Scope by task; Add additional tasks or funds; ☐ INCREMENTAL FUNDING — EPA REGION/HEADQUARTERS
- ☒ PARTIAL WORK PLAN APPROVAL; ☐ FINAL WORK PLAN APPROVAL — Approval of 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 — Descoped 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) — Contractor originates; Regional determination; When signed by CO, this constitutes a stop work order — CONTRACTOR

3. BUDGET INFORMATION

	TOTAL FUNDING RECEIVED ($) *	INTERIM BUDGET (TECHNICAL LOE)	INTERIM BUDGET ($) *	APPROVED WORK PLAN BUDGET (TECHNICAL LOE)	APPROVED WORK PLAN BUDGET ($) *	EXPENDITURE LIMIT (EL) * (TECHNICAL LOE)	EXPENDITURE LIMIT (EL) * ($) *
CURRENT	65,000	1,057	65,000	1,057	65,000	1,057	65,000
THIS ACTION	20,000	(1,057)	(65,000)	300	20,000	300	20,000
TOTAL	85,000	-0-	-0-	1,357	85,000	1,357	85,000

* Option - dollar estimate may be tracked regionally in expenditure limit block. EPA estimated LOE hours of entire WA ____

* Includes fees — * Includes fees — * Established by RPM/RPO

4. WA COMPLETION DATE

CURRENT 2/28/87 REVISED _____

5. EPA COMMENTS

Contractor is authorized to proceed with tasks PM, QC, RA, and MG specified in the SOW, pending final work plan approval for remaining tasks.

6. APPROVALS

CONTRACTOR SIGNATURES: SITE MANAGER/PM _____ DATE _____ PHONE _____ REGIONAL MANAGER/PM _____ DATE _____

EPA SIGNATURES: Bill Zimmerman — REMEDIAL PROJECT MANAGER — DATE 12/27/86 — PHONE 913/555-8110

Jim Starr — PROJECT OFFICER — DATE 12/23/86

☐ APPROVED AS SUBMITTED ☑ APPROVED WITH CHANGES ☐ NOT APPROVED

Rick Smith — SIGNATURE OF CONTRACTING OFFICER — DATE APPROVED 1/13/87

CC: EPA Project Officer; PO/RPM; Contractor; EPA Contracting Officer (when only expenditure limit column is used)

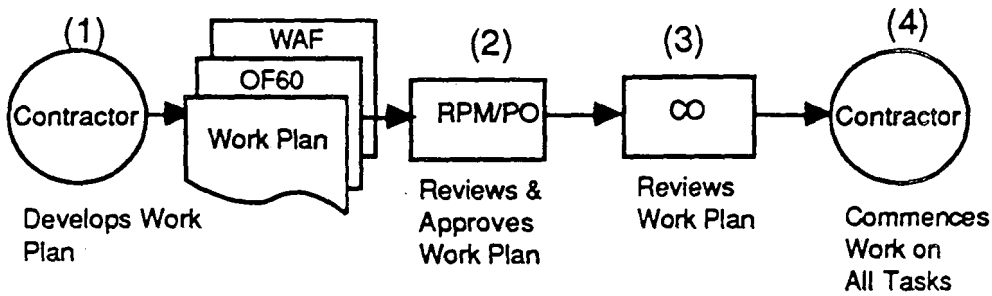
UPDATE 11/13/86

ATTACH STATEMENT OF WORK (PER DESCRIPTION OF ACTION)

FINAL CHECKS

1. LOE/budget for approved tasks should be on the "THIS ACTION" and "TOTAL" lines of the approved work plan budget.
2. Expenditure Limit should not exceed "TOTAL FUNDING RECEIVED" or "APPROVED WORK PLAN BUDGET"

EXHIBIT 3.7
APPROVE FINAL WORK PLAN



STEPS	ACTIVITIES
1	• Contractor prepares and submits work plan to RPM/PO, including Optional Form 60 or SF-1411 and WAF (Final Work Plan Approval)
2	• RPM reviews and approves work plan by completing sections 3 and 5 of the WAF, signing it, and submitting it to the CO. • If problems occur, RPM meets with the contractor to resolve outstanding issues • RPM sets an Expenditure Limit, if desired
Notes:	**(Information on setting Expenditure Limits is provided in the ARCS Contracts Users' Manual, Pages 3-42 and 3-43)**
3	• CO reviews the work plan • Signs the WAF and checks the approved box • Prepares and issues contract modification, if applicable
4	• Contractor commences work on approved tasks

EXHIBIT 3.7 (Cont.)
EXAMPLE OF "WORK PLAN APPROVAL WITHOUT FUNDING"

USEPA — **WORK ASSIGNMENT FORM**

1. WORK ASSIGNMENT INFORMATION

PROJECT NAME: ABC Co. TX CONTRACTOR: XYZ INC TO ... ASSIGNMENT NO: 1-6L51

ACTIVITY: RI/FS EPA CONTRACT NO.: 68-01-8060 K ... NO: 2

DATE: 9/25/88 CONTRACTOR CONTROL NO: _____ MODIFICATION NO: _____ (Contracting Officer Use Only)

2. DESCRIPTION OF ACTION

- ☐ NEW WORK ASSIGNMENT — Interim SOW, schedule, and LOE; Complete SOW, estimated budget and schedule; RECURRED APPROVAL; EPA REGION/HEADQUARTERS
- ☐ INTERIM AMENDMENT — Change in LOE, Scope by task; Add additional tasks or funds; ☐ INCREMENTAL FUNDING; EPA REGION/HEADQUARTERS
- ☐ PARTIAL WORK PLAN APPROVAL; ☒ FINAL WORK PLAN APPROVAL — Approval of 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) — Contractor originates; Regional determination; When signed by CO, this constitutes a stop work order; CONTRACTOR

3. BUDGET INFORMATION

	TOTAL FUNDING RECEIVED ($) *	INTERIM BUDGET (TECHNICAL LOE)	INTERIM BUDGET ($) *	APPROVED WORK PLAN BUDGET (TECHNICAL LOE)	APPROVED WORK PLAN BUDGET ($) *	EXPENDITURE LIMIT (EL) * (TECHNICAL LOE)	EXPENDITURE LIMIT (EL) * ($) *
CURRENT	550,000	3,950	150,000	3,100	400,000	3,100	400,000
THIS ACTION	-0-	(3,950)	(150,000)	3,950	150,000	3,950	150,000
TOTAL	550,000	-0-	-0-	7,050	550,000	7,050	550,000

* Optional - dollar estimates may be tracked separately in expenditure limit block. EPA estimated LOE hours of entire WA ____

* Includes fees — * Includes fees — * Established by RPM/RPO

4. WA COMPLETION DATE — CURRENT 9/30/88 REVISED _____

5. EPA COMMENTS: Final approval of remaining tasks under the Work Plan.

6. APPROVALS

CONTRACTOR SIGNATURES: John Smith — SITE MANAGER/PM — DATE 9/23/87; PHONE 703/666-1000; Bob Thomas — REGIONAL MANAGER/PM — DATE 9/25/87

EPA SIGNATURES: Mary Doe — REMEDIAL PROJECT MANAGER — DATE 9/30/87; PHONE 202/382-9000; Bill Jones — PROJECT OFFICER — DATE 10/1/87

☒ APPROVED AS SUBMITTED ☐ APPROVED WITH CHANGES ☐ NOT APPROVED

Jim Black — SIGNATURE OF CONTRACTING OFFICER — DATE APPROVED 10/5/87

CC: EPA Project Officer; PO/RPM; Contractor; EPA Contracting Officer (when only expenditure limit column is used)

UPDATE 11/13/88

ATTACH STATEMENT OF WORK (PER DESCRIPTION OF ACTION)

FINAL CHECKS

1. Total funding received should be same as "TOTAL" approved work plan budget.
2. Expenditure Limit, if used, should not exceed approved work plan budget.

EXHIBIT 3.7 (Cont.)
EXAMPLE OF "WORK PLAN APPROVAL WITH FUNDING"

USEPA — **WORK ASSIGNMENT FORM**

1. WORK ASSIGNMENT INFORMATION

PROJECT NAME: ABC Co. Tx CONTRACTOR: XYZ INC WORK ASSIGNMENT NO: 1-6L51

ACTIVITY: RI/FS EPA CONTRACT NO.: 68-01-8060 REVISION NO: 2

DATE: 9/25 87 CONTRACTOR CONTROL NO: _____ MODIFICATION NO: 13 (Contracting Officer Use Only)

2. DESCRIPTION OF ACTION

- ☐ NEW WORK ASSIGNMENT — Interim SOW, schedule and LOE; Complete SOW, expected budget and schedule; RECURRED APPROVAL — EPA REGION HEADQUARTERS
- ☐ INTERIM AMENDMENT — Change in LOE, Scope by task; Add additional tasks or funds; ☐ INCREMENTAL FUNDING — EPA REGION HEADQUARTERS
- ☐ PARTIAL WORK PLAN APPROVAL; ☒ FINAL WORK PLAN APPROVAL — Approval of 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 limit; 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) — Contractor originator; Required documentation; When signed by CO, this constitutes a stop work order — CONTRACTOR

3. BUDGET INFORMATION

	TOTAL FUNDING RECEIVED ($) *	INTERIM BUDGET (TECHNICAL LOE)	INTERIM BUDGET ($) *	APPROVED WORK PLAN BUDGET (TECHNICAL LOE)	APPROVED WORK PLAN BUDGET ($) *	EXPENDITURE LIMIT (EL) * (TECHNICAL LOE)	EXPENDITURE LIMIT (EL) * ($) *
CURRENT	20,000	400	20,000	400	20,000	400	20,000
THIS ACTION	430,000	(400)	(20,000)	6,000	430,000	6,000	430,000
TOTAL	450,000	-0-	-0-	6,400	450,000	6,400	450,000

* Optional - daily expenses may be tracked separately in expenditure limit block. EPA estimated LOE hours of entire WA ____

* Includes fees

* Includes fees

* Established by RPM/RPO

4. WA COMPLETION DATE — CURRENT 9/30/88 REVISED _____

5. EPA COMMENTS: Work plan is approved in its entirety with additional funds.

6. APPROVALS

CONTRACTOR SIGNATURES: John Smith — SITE MANAGER/PM — DATE 9/25/87 — PHONE 703/666-1000

Tom Thomas — REGIONAL MANAGER/PM — DATE 9/25/87

EPA SIGNATURES: Mary Doe — REMOVAL PROJECT MANAGER — DATE 10/10/87 — PHONE 202/382-9000

Bill Jones — PROJECT OFFICER — DATE 10/11/87

☒ APPROVED AS SUBMITTED ☐ APPROVED WITH CHANGES ☐ NOT APPROVED

Jim Black — SIGNATURE OF CONTRACTING OFFICER — DATE APPROVED 10/17/87

CC: EPA Project Officer; POR/PM; Contractor; EPA Contracting Officer (when only expenditure limit column is used)

ATTACH STATEMENT OF WORK (PER DESCRIPTION OF ACTION)

UPDATE 11/13/88

FINAL CHECKS

1. Dollar amount of PR should be the same as dollar amount on the "THIS ACTION" line of total funding received.
2. Total funding received should be same as "TOTAL" approved work plan budget.
3. Expenditure Limit , if used, should not exceed approved work plan budget.

EXHIBIT 3.7 (Cont.)

(Shaded areas are for use of procurement office only)

Page of

US Environmental Protection Agency
Washington, DC 20460

EPA Procurement Request/Order

1. Name of Originator: Mary Doe
2. Date of Requisition: [illegible]
3. Mail Code: WH-40
4. Telephone Number: 202/382-9000
5. Date Item Required: ASAP
6. Signature of Originator: Mary Doe
7. Recommended Procurement Method: [illegible] ☐ Sole source small purchase
8. Deliver To (Project Manager): Bill Jones
9. Address: 401 M Street, SW Wash, DC
10. Mail Code: WH-30
11. Telephone Number: 202/382-1666
12. Financial Data
a. Appropriation: 68/20X8145
b. Servicing Finance Office Number: 22

NOTE: Item 12(d) Document Type — Contract = "C." Purchase Order = "P."

FMO Use (e)(13 digits)	Document Type (d)	Document Control Number (c)(6 digits)	Account Number (h)(10 digits)	Object Class (g)(4 digits)	Amount (h) Dollars	Cents
	C	AH0022	7TFA72ML84	2535	430,000	00

13. Suggested Source (Name, Address, ZIP Code, Phone/Contact)
XYZ INC
3400 Lee Hwy
Falls Church, VA 20653

14. Amount of money committed is: ☐ Original ☒ Increase ☐ Decrease

15. For Small Purchases Only. Contracting Office is authorized to exceed the amount shown in Block 12(h) by 10% or $100, whichever is less. ☐ Yes ☐ No

16. Approvals

a. Branch/Office: Chief, RPRB — Date
b. Division/Office: Director, HSCD — Date
c. Funds listed in Block 12 and Block 15 (if any) are available and reserved (Signature of Certifying Official): FCC — Date
d. Property Management Officer/Designee — Date
e. Other (Specify) — Date
f. Other (Specify) — Date

17. Date of Order
18. Order Number
19. Contract Number (if any): 68-01-0860
20. Discount Terms
21. FOB Point
22. Delivery to FOB Point by On or before (Date)
23. Person Taking Order, Quote and Phone No.
24. Contractor (Name, address, ZIP Code)
25. Type of Order — Reference your quote (See block 23)
☐ a. Purchase
Please furnish the above on the terms specified on both sides of this order and on the attached sheets, if any, including delivery as indicated.
☐ b. Delivery provisions on the reverse are deleted. The delivery order is subject to the terms and conditions of the contract (See Block 19).
c. ☐ Oral ☐ Written ☐ Confirming

26. Schedule

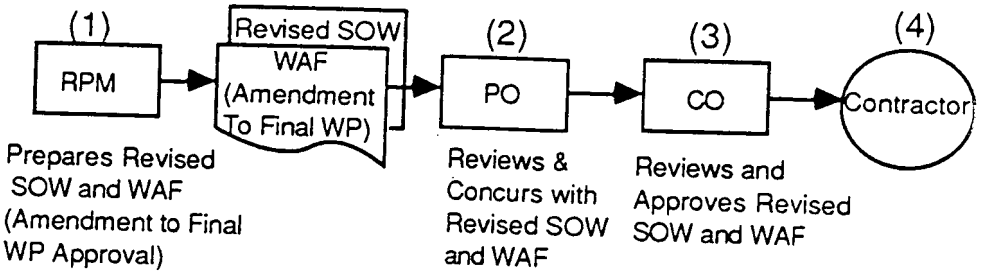
Item Number (a)	Supplies or Services (b)	Quantity Ordered (c)	Unit (d)	Estimated Unit Price (e)	Unit Price (f)	Amount (g)	Quantity Accepted (h)
	Additional funds for RI/FS tasks Obligated Funds $ 20,000 Funding This Action 430,000 Total $450,000					430,000	
					Total $	430,000	

27. United States of America By (Signature)
28. Typed Name and Title of Contracting Officer

EPA Form 1900-8 (Rev. 9-86) Previous editions are obsolete.

COPY 1 – PROCUREMENT FILE/CONTRACTING OFFICER

EXHIBIT 3.8
AMEND SOW (MAJOR CHANGES)



STEPS	ACTIVITIES
1	• RPM recognizes a major scope change is required • Prepares a revised SOW and a WAF (Amendment to Final Work Plan Approval)
Notes:	**(Often, the contractor makes an initial request to amend the SOW; the RPM should ask the contractor for back-up information to support the request; if funding changes, the contractor must prepare an OF-60 or SF-1411 and the RPM must prepare a PR)**
2	• PO reviews and concurs with revised SOW and WAF • Submits to CO for approval
3	• CO reviews and approves the WAF (Amendment to Final Work Plan Approval), which amends the SOW • Prepares and issues contract modification, if applicable
4	• Contractor executes amended SOW

EXHIBIT 3.8 (Cont.)

USEPA — **WORK ASSIGNMENT FORM**

1. WORK ASSIGNMENT INFORMATION

PROJECT NAME: Ordot Landfill CONTRACTOR: XYZ INC. WORK ASSIGNMENT NO: 38-9252

ACTIVITY: FS EPA CONTRACT NO.: 68-01-8060 REVISION NO: 7

DATE: 4/1/87 CONTRACTOR CONTROL NO: _____ MODIFICATION NO: 68 (Contracting Officer Use Only)

2. DESCRIPTION OF ACTION

- ☐ NEW WORK ASSIGNMENT — Interim SOW, schedule, and LOE; Complete SOW, estimated budget and schedule; RECURRED APPROVAL — EPA REGION HEADQUARTERS
- ☐ INTERIM AMENDMENT — Change in LOE, focus by task; Add additional tasks or funds; ☐ INCREMENTAL FUNDING — EPA REGION HEADQUARTERS
- ☐ PARTIAL WORK PLAN APPROVAL; ☐ FINAL WORK PLAN APPROVAL — Approval of exact plan; Add funds; ☒ AMENDMENT TO FINAL WORK PLAN APPROVAL — Change in LOE, focus or budget by task; Add additional tasks or funds (includes 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) — Contractor originates; Required determination; When signed by CO, this constitutes a stop work order — CONTRACTOR

3. BUDGET INFORMATION

	TOTAL FUNDING RECEIVED ($) *	INTERIM BUDGET (TECHNICAL LOE)	INTERIM BUDGET ($) *	APPROVED WORK PLAN BUDGET (TECHNICAL LOE)	APPROVED WORK PLAN BUDGET ($) *	EXPENDITURE LIMIT (EL) * (TECHNICAL LOE)	EXPENDITURE LIMIT (EL) * ($) *
CURRENT	1,984,000			61,300	3,245,000	61,300	3,245,000
THIS ACTION	500,000			10,000	500,000	10,000	500,000
TOTAL	2,484,000			71,300	3,745,000	71,300	3,745,000

* Options - dollar estimate may be included separately in expenditure limit block. EPA estimated LOE hours of effort WA ____

* Includes fees — * Includes fees — * Established by RPM/RPO

4. WA COMPLETION DATE CURRENT 4/30/87 REVISED 9/30/87

5. EPA COMMENTS: This amendment expands the scope of work (see Attachment). It also increases the LOE hours and budget and extends the period of performance.

6. APPROVALS

CONTRACTOR SIGNATURES:

SITE MANAGER/PM _____ DATE _____

PHONE _____

REGIONAL MANAGER/PM _____ DATE _____

EPA SIGNATURES:

REGIONAL PROJECT MANAGER [signature] DATE 4/1/87

PHONE 916/555-3333

PROJECT OFFICER Chuck James DATE 4/3/87

☒ APPROVED AS SUBMITTED ☐ APPROVED WITH CHANGES ☐ NOT APPROVED

Frank [signature] SIGNATURE OF CONTRACTING OFFICER — DATE APPROVED 4/10/87

CC: EPA Project Officer; PO/RPM; Contractor; EPA Contracting Officer (when only expenditure limit column is used)

UPDATE 11/13/86

ATTACH STATEMENT OF WORK (PER DESCRIPTION OF ACTION)

FINAL CHECKS

1. Dollar amount of PR should equal dollar amount on the "THIS ACTION" line of total funding received.
2. Total funding received should not exceed approved work plan budget.
3. Expenditure limit should not exceed approved work plan budget.
4. The change in LOE/budget should appear on the "THIS ACTION" lines of approved work plan budget and total funding received.

EXHIBIT 3.8 (Cont.)

(Shaded areas are for use of procurement office only)

Page of

US Environmental Protection Agency
Washington, DC 20460

EPA Procurement Request/Order

1. Name of Originator: Jim Thomas
2. Date of Requisition: 4/1/87
3. Mail Code: TS-779
4. Telephone Number: 206/555-3216
5. Date Item Required: ASAP
6. Signature of Originator: Jim Thomas
7. Recommended Procurement Method: ☒ Competitive ☐ Other than full and open competition ☐ Sole source small purchase
8. Deliver To (Project Manager): Chuck James
9. Address: 1200 Sixth Ave. Seattle, WA
10. Mail Code: RD-689
11. Telephone Number: 206/555-3300
12. Financial Data: a. Appropriation: 68/20X8145 b. Servicing Finance Office Number: 22

NOTE: Item 12(d) Document Type — Contract = "C" Purchase Order = "P"

FMO Use (c) (13 digits)	Document Type (d)	Document Control Number (e) (6 digits)	Account Number (f) (10 digits)	Object Class (g) (4 digits)	Amount (h) Dollars	Cents
	C	AH0022	7TFA10MLB6	2535	500,000	00

13. Suggested Source (Name, Address, ZIP Code, Phone/Contact)
XYZ INC
600 South St.
Seattle, WA 98101

14. Amount of money commitment is: ☐ Original ☒ Increase ☐ Decrease

15. For Small Purchases Only: Contracting Office is authorized to exceed the amount shown in Block 12(h) by 10% or $100 whichever is less ☐ Yes ☐ No

16. Approvals

a. Branch/Office: Chief, WMB — Date
b. Division/Office: Director, HWD — Date
c. Funds listed in Block 12 and Block 15 (if any) are available and reserved (Signature of Certifying Official): FCC — Date
d. Property Management Officer/Designee — Date
e. Other (Specify) — Date
f. Other (Specify) — Date

17. Date of Order
18. Order Number
19. Contract Number (if any): 68-01-0860
20. Discount Terms
21. FOB Point
22. Delivery to FOB Point by On or before (Date)
23. Person Taking Order, Quote and Phone No
24. Contractor (Name, address, ZIP Code)
25. Type of Order: Reference your quote (See block 23)
☐ a. Purchase
Please furnish the above on the terms specified on both sides of this order and on the attached sheets, if any, including delivery as indicated.
☐ b. Delivery provisions on the reverse are deleted. The delivery order is subject to the terms and conditions of the contract (See Block 19)
c. ☐ Oral ☐ Written ☐ Confirming

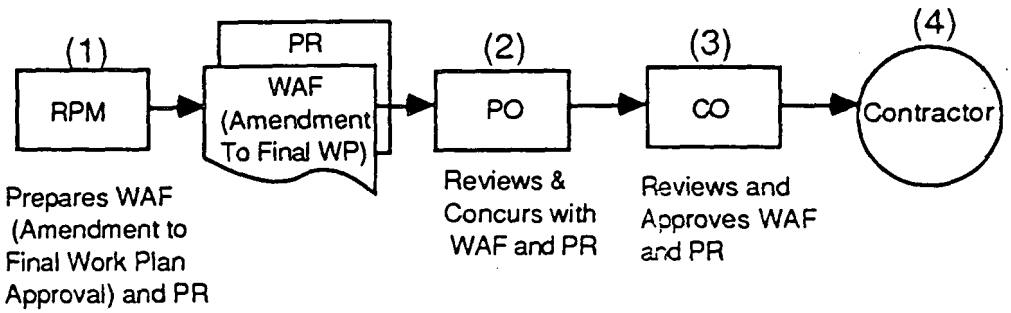
26. Schedule

Item Number (a)	Supplies or Services (b)	Quantity Ordered (c)	Unit (d)	Estimated Unit Price (e)	Unit Price (f)	Amount (g)	Quantity Accepted (h)
	Supplemental funding for increased scope of work at Ordot Landfill. Obligated Funds $1,984,000 Funding This Action 500,000 Total $2,484,000					500,000	
					Total ▶	500,000	

27. United States of America by (Signature)
28. Typed Name and Title of Contracting Officer

EPA Form 1900-8 (Rev. 9-86) Previous editions are obsolete. COPY 1 – PROCUREMENT FILE/CONTRACTING OFFICER

EXHIBIT 3.9
INCREASE WA LOE



STEPS	ACTIVITIES
1	• RPM determines that additional LOE hours are needed beyond the approved work plan • Prepares a WAF (Amendment to Final Work Plan Approval) and a PR • Sends to PO for review and concurrence
Notes:	**(Often, the contractor makes an initial request for increased LOE: the RPM should ask the contractor for back-up information to support the request)** **(A PR will be necessary only if there is a change in dollars)**
2	• PO reviews and concurs with the WAF (Amendment to Final WP Approval) and PR • Submits to CO for approval
3	• CO reviews and approves the WAF, which increases the LOE • Prepares and issues contract modification, if applicable
4	• Contractor executes amended WA with additional LOE

EXHIBIT 3.9 (Cont.)

USEPA — **WORK ASSIGNMENT FORM**

1. WORK ASSIGNMENT INFORMATION

PROJECT NAME: Ordot Landfill CONTRACTOR: XYZ INC. WORK ASSIGNMENT NO: 37-9L68

ACTIVITY: Community Relations EPA CONTRACT NO.: 68-01-8060 REVISION NO: 5

DATE: 10/5/87 CONTRACTOR CONTROL NO: _____ MODIFICATION NO: 54 (Contracting Officer Use Only)

2. DESCRIPTION OF ACTION

- ☐ NEW WORK ASSIGNMENT
  - Interim SOW, schedule, and LOE
  - Complete SOW, estimated budget and schedule
  - RECURRED APPROVAL
  - EPA REGION/ HEADQUARTERS
- ☐ INTERIM AMENDMENT
  - Changes in LOE, Scope by task
  - Add additional tasks or funds
- ☐ INCREMENTAL FUNDING
  - EPA REGION/ HEADQUARTERS
- ☐ PARTIAL WORK PLAN APPROVAL
- ☐ FINAL WORK PLAN APPROVAL
  - Approval of work plan
  - Add funds
- ☒ AMENDMENT TO FINAL WORK PLAN APPROVAL
  - Changes 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)
  - Contractor originates
  - Regional determination
  - When signed by CO, this constitutes a stop work order
  - CONTRACTOR

3. BUDGET INFORMATION

	TOTAL FUNDING RECEIVED ($) *	INTERIM BUDGET (TECHNICAL LOE)	INTERIM BUDGET ($) *	APPROVED WORK PLAN BUDGET (TECHNICAL LOE)	APPROVED WORK PLAN BUDGET ($) *	EXPENDITURE LIMIT (EL) * (TECHNICAL LOE)	EXPENDITURE LIMIT (EL) * ($) *
CURRENT	20,000			300	20,000	300	20,000
THIS ACTION	-0-			100	-0-	100	-0-
TOTAL	20,000			400	20,000	400	20,000

* Option - daily estimate may be tracked regionally in expenditure limit block. EPA estimated LOE hours of entire WA ____

* Includes fees — * Includes fees — * Established by RPM/RPO

4. WA COMPLETION DATE

CURRENT 12/31/87 REVISED _____

5. EPA COMMENTS Additional LOE hours needed to complete PRP search. No additional funding required.

6. APPROVALS

CONTRACTOR SIGNATURES:

SITE MANAGER/PM _____ DATE _____

PHONE _____

REGIONAL MANAGER/PM _____ DATE _____

EPA SIGNATURES:

REMEDIAL/PROJECT MANAGER Jim Thomas DATE 10/5/87

PHONE 206/553-3373

PROJECT OFFICER Chuck James DATE 10/7/87

☒ APPROVED AS SUBMITTED ☐ APPROVED WITH CHANGES ☐ NOT APPROVED

SIGNATURE OF CONTRACTING OFFICER Frank Smith DATE APPROVED 10/13/87

CC: EPA Project Officer
PO/RPM
Contractor
EPA Contracting Officer (when only expenditure limit column is used)

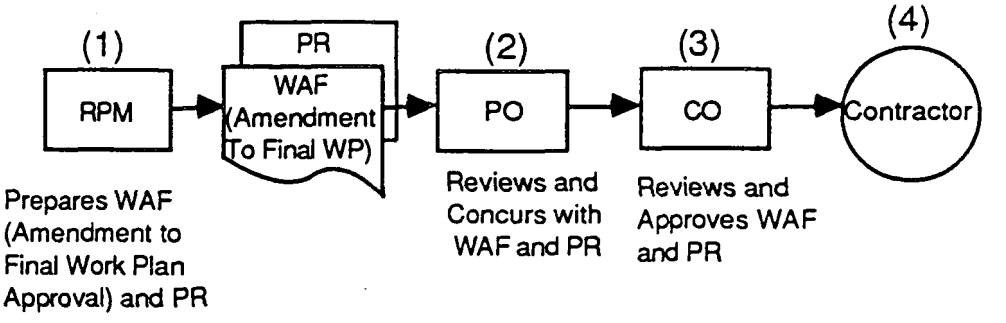
UPDATE 11/13/86

ATTACH STATEMENT OF WORK (PER DESCRIPTION OF ACTION)

FINAL CHECKS

1. Total funding received should not exceed approved work plan budget.
2. Expenditure Limit should not exceed approved work plan budget.
3. Additional LOE should appear on the "THIS ACTION" line of approved work plan budget.

EXHIBIT 3.10
DECREASE WA LOE



STEPS	ACTIVITIES
1	• RPM determines that fewer LOE hours are required than were approved in the final work plan • Prepares a WAF (Amendment to Final Work Plan Approval) and a PR • Sends to PO for review and concurrence
Note:	**(A PR will be necessary only if there is a reduction in dollars)**
2	• PO reviews and concurs with the WAF(Amendment to Final WP Approval) • Submits to CO for approval
3	• CO reviews and approves the WAF, which decreases the LOE • Prepares and issues contract modification, if applicable
4	• Contractor executes amended WA with reduced LOE

EXHIBIT 3.10 (Cont.)

USEPA — **WORK ASSIGNMENT FORM**

1. WORK ASSIGNMENT INFORMATION

PROJECT NAME: Ordot Landfill CONTRACTOR: XYZ INC. WORK ASSIGNMENT NO: 37-9L68

ACTIVITY: Community Relations EPA CONTRACT NO.: 68-01-8060 REVISION NO: 6

DATE: 10/31/87 CONTRACTOR CONTROL NO: ____ MODIFICATION NO: 57 (Contracting Officer Use Only)

2. DESCRIPTION OF ACTION

- ☐ NEW WORK ASSIGNMENT — • Interim SOW, schedule, and LOE • Complete SOW, estimated budget and schedule — RECURRING APPROVAL — EPA REGION/ HEADQUARTERS
- ☐ INTERIM AMENDMENT — • Changes in LOE, Scope by task • Add additional tasks or funds — ☐ INCREMENTAL FUNDING — EPA REGION/ HEADQUARTERS
- ☐ PARTIAL WORK PLAN APPROVAL — ☐ FINAL WORK PLAN APPROVAL — • Approval of work plan • Add funds — ☒ AMENDMENT TO FINAL WORK PLAN APPROVAL — • Changes 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 • Review 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) — • Contractor originate • Respond concurrence • When signed by CO, this constitutes a stop work order — CONTRACTOR

3. BUDGET INFORMATION

	TOTAL FUNDING RECEIVED ($) *	INTERIM BUDGET (TECHNICAL LOE)	INTERIM BUDGET ($) *	APPROVED WORK PLAN BUDGET (TECHNICAL LOE)	APPROVED WORK PLAN BUDGET ($) *	EXPENDITURE LIMIT (EL) * (TECHNICAL LOE)	EXPENDITURE LIMIT (EL) * ($) *
CURRENT	200,000			2,500	200,000		
THIS ACTION	—			(100)	—		
TOTAL	200,000			2,400	200,000		

* Optional - dollar estimate may be tracked separately in expenditure limit block. EPA estimated LOE hours of entire WA ____

* Includes fees — * Includes fees — * Established by RPM/RPO

4. WA COMPLETION DATE CURRENT 12/5/87 REVISED ____

5. EPA COMMENTS Deobligation of LOE hours, unnecessary for completion of tasks. Funding does not change.

6. APPROVALS

CONTRACTOR SIGNATURES: SITE MANAGER/PM ____ DATE ____ PHONE ____ REGIONAL MANAGER/PM ____ DATE ____

EPA SIGNATURES: Jim Thomas — REGIONAL PROJECT MANAGER — DATE 10/31/87 — PHONE 206/555-3333 — Chuck Jones — PROJECT OFFICER — DATE 11/2/87

☒ APPROVED AS SUBMITTED ☐ APPROVED WITH CHANGES ☐ NOT APPROVED

Frank Smith — SIGNATURE OF CONTRACTING OFFICER — DATE APPROVED 11/19/87

CC: EPA Project Officer, PO/RPM, Contractor, EPA Contracting Officer (where only expenditure limit column is used)

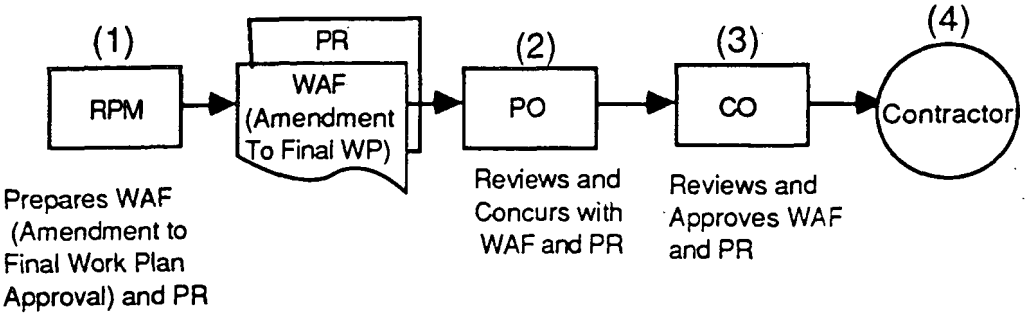
UPDATE 11/13/88

ATTACH STATEMENT OF WORK (PER DESCRIPTION OF ACTION)

FINAL CHECKS

1. Dollar amount of PR should equal dollar amount on the "THIS ACTION" line of total funding received.
2. Total funding received should not exceed approved work plan budget.
3. EL should not exceed approved work plan budget.
4. Deobligation amount for LOE should appear on the "THIS ACTION" line of approved work plan budget.

EXHIBIT 3.11
INCREASE WA BUDGET



STEPS	ACTIVITIES
1	• RPM determines that additional funds are required beyond the approved work plan • Prepares a WAF (Amendment to Final Work Plan Approval) and a PR • Sends to PO for review and concurrence
Notes:	**(Often, the contractor makes an initial request to increase funding; the RPM should ask the contractor for back-up information to support the request; the contractor must submit an OF-60 or SF-1411 as part of this submission)**
2	• PO reviews and concurs with the WAF(Amendment to final WP Approval) and request for increased funding • Submits to CO for approval
3	• CO reviews and approves the WAF, which increases the WA buget • Prepares and issues contract modification
4	• Contractor executes amended WA with additional funding

EXHIBIT 3.11 (Cont.)

USEPA — **WORK ASSIGNMENT FORM**

1. WORK ASSIGNMENT INFORMATION

PROJECT NAME: Ordot Landfill CONTRACTOR: XYZ INC. WORK ASSIGNMENT NO: 37-9668

ACTIVITY: Community Relations EPA CONTRACT NO.: 68-01-8060 REVISION NO: 3

DATE: 1/9/87 CONTRACTOR CONTROL NO: _____ MODIFICATION NO: 53 (Contracting Officer Use Only)

2. DESCRIPTION OF ACTION

☐ NEW WORK ASSIGNMENT
- Interim SOW, schedule, and LOE
- Complete SOW, estimated budget and schedule

RECURRED APPROVAL — EPA REGION/HEADQUARTERS

☐ INTERIM AMENDMENT
- Change in LOE, Scope by task
- Add additional tasks or funds

☐ INCREMENTAL FUNDING — EPA REGION/HEADQUARTERS

☐ PARTIAL WORK PLAN APPROVAL
☐ FINAL WORK PLAN APPROVAL
- Approval of 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 limit
- 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)
- Contractor originates
- Regional determination
- When signed by CO, this constitutes a stop work order

CONTRACTOR

3. BUDGET INFORMATION

	TOTAL FUNDING RECEIVED ($) *	INTERIM BUDGET (TECHNICAL LOE)	INTERIM BUDGET ($) *	APPROVED WORK PLAN BUDGET (TECHNICAL LOE)	APPROVED WORK PLAN BUDGET ($) *	EXPENDITURE LIMIT (EL) * (TECHNICAL LOE)	EXPENDITURE LIMIT (EL) * ($) *
CURRENT	18,900			297	18,900	297	18,900
THIS ACTION	1,994			30	1,994	30	1,994
TOTAL	20,894			327	20,894	327	20,894

* Option - dollar estimate may be tracked separately in expenditure limit block. EPA estimated LOE hours of entire WA ____

* Includes fees — * Includes fees — * Established by RPM/RPO

4. WA COMPLETION DATE

CURRENT 11/30/88 REVISED _____

5. EPA COMMENTS: Additional funding needed to complete title and PRP search in connection with the Ordot Landfill site.

6. APPROVALS

CONTRACTOR SIGNATURES:

SITE MANAGER/PM _____ DATE _____

PHONE _____

REGIONAL MANAGER/PM _____ DATE _____

EPA SIGNATURES:

REGIONAL PROJECT MANAGER Jim Thomas DATE 1/9/87

PHONE 206/553-3333

PROJECT OFFICER Chuck James DATE 1/11/87

☒ APPROVED AS SUBMITTED ☐ APPROVED WITH CHANGES ☐ NOT APPROVED

SIGNATURE OF CONTRACTING OFFICER Frank Smith DATE APPROVED 1/15/87

CC: EPA Project Officer
PO/RPM
Contractor
EPA Contracting Officer (when only expenditure limit column is used)

UPDATE 11/13/86

ATTACH STATEMENT OF WORK (PER DESCRIPTION OF ACTION)

FINAL CHECKS

1. Dollar amount of PR should equal dollar amount on the "THIS ACTION" line of total funding received.
2. Total funding received should not exceed approved work plan budget.
3. EL should not exceed approved work plan budget.
4. Additional funding amount should appear on the "THIS ACTION" line of approved work plan budget.

EXHIBIT 3.11 (Cont.)

(Shaded areas are for use of procurement office only)

Page

US Environmental Protection Agency
Washington, DC 20460

EPA Procurement Request/Order

1. Name of Originator: Jim Thomas
2. Date of Requisition: 4. 2. 87
3. Mail Code: TS-779
4. Telephone Number: 206/555-3216
5. Date Item Required: ASAP
6. Signature of Originator: Jim Thomas
7. Recommended Procurement Method: ☒ Competitive ☐ Other than full and open competition ☐ Sole source small purchase
8. Deliver To (Project Manager): Chuck James
9. Address: 1200 Sixth Ave. Seattle, WA
10. Mail Code: RD-689
11. Telephone Number: 206/555-3300
12. Financial Data: a. Appropriation: 68/20X8145
b. Servicing Finance Office Number: 22

NOTE: Item 12(d) Document Type — Contract = C
Purchase Order = "P"

FMO Use (c) (13 digits)	Document Type (d)	Document Control Number (e) (6 digits)	Account Number (h) (10 digits)	Object Class (g) (4 digits)	Amount (h) Dollars
	C	AH0022	7TFA10MKC3	2535	1,994

13. Suggested Source (Name, Address, ZIP Code, Phone/Contact)
XYZ INC
600 South St.
Seattle, WA 98101

14. Amount of money committed is: ☐ Original ☒ Increase ☐ Decrease

15. For Small Purchases Only: Contracting Office is authorized to exceed the amount shown in Block 12(h) by 10% $100, whichever is less. ☐ Yes ☐ No

16. Approvals

	Date		Date
a. Branch/Office: Chief, WMB		d. Property Management Officer/Designee	
b. Division/Office: Director, HWD		e. Other (Specify)	
c. Funds listed in Block 12 and Block 15 (if any) are available and reserved (Signature of Certifying Official): FCC		f. Other (Specify)	

17. Date of Order
18. Order Number
19. Contract Number (if any): 68-01-3060
20. Discount Terms
21. FOB Point
22. Delivery to FOB Point by On or before (Date):
23. Person Taking Order: Quote and Phone No
24. Contractor (Name, address, ZIP Code)
25. Type of Order: Reference your quote (See block 23)
☐ a. Purchase
Please furnish the above on the terms specified on both sides of this order and the attached sheets, if any, including delivery as indicated.
☐ b. Delivery provisions on the reverse are deleted. The order is subject to the terms and conditions of the contract (See block 23)
c. ☐ Oral ☐ Written ☐ Confirming

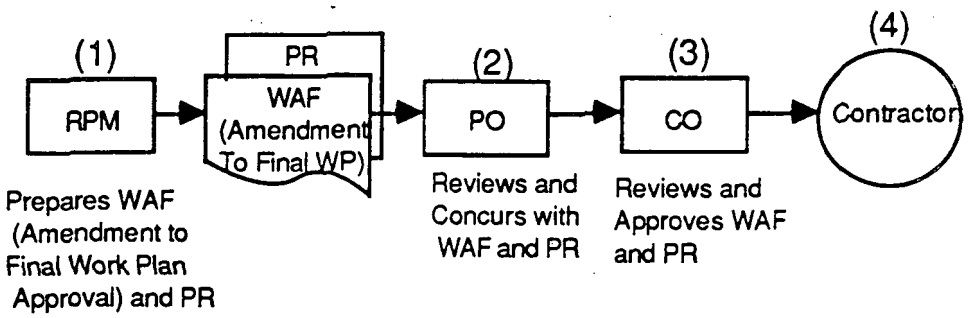
26. Schedule

Item Number (a)	Supplies or Services (b)	Quantity Ordered (c)	Unit (d)	Estimated Unit Price (e)	Unit Price (f)	Amount (g)	Quantity Accepted (h)
	Additional funding for PRP search at Ordot Landfill in Olympia, WA Obligated Funds $18,900 Funding This Action 1,994 Total $20,894					1,994	
					Total $	1,994	

27. United States of America By (Signature)
28. Typed Name and Title of Contracting Officer

EPA Form 1900-8 (Rev. 2-86) Previous editions are obsolete. COPY 1 – PROCUREMENT FILE/CONTRACTING OFFICER

EXHIBIT 3.12
DECREASE WA BUDGET



STEPS	ACTIVITIES
1	• RPM determines that fewer dollars are required than were approved in the final work plan • Prepares a WAF (Amendment to Final Work Plan Approval) and a PR for a deobligation of funds • Sends to PO for review and concurrence
Note:	**(The RPM should obtain an OF-60 or SF-1411 from the contractor before sending to the PO)**
2	• PO reviews and concurs with the WAF(Amendment to final WP Approval) and request for deobligation of funding • Submits to CO for approval
3	• CO reviews and approves the WAF, which decreases funding • Prepares and issues contract modification
4	• Contractor executes amended WA with decreased funding

EXHIBIT 3.12 (Cont.)

USEPA — **WORK ASSIGNMENT FORM**

1. WORK ASSIGNMENT INFORMATION

PROJECT NAME: Ordot Landfill CONTRACTOR: XYZ INC WORK ASSIGNMENT NO: 37-9L68

ACTIVITY: Community Relations EPA CONTRACT NO.: 68-01-8060 REVISION NO.: 4

DATE: 10/19/87 CONTRACTOR CONTROL NO: _____ MODIFICATION NO: 55 (Contracting Officer Use Only)

2. DESCRIPTION OF ACTION

- ☐ NEW WORK ASSIGNMENT
  - Interim SOW, schedule, and LOE
  - Complete SOW, estimated budget and schedule
  - RECURRED APPROVAL
  - EPA REGION/HEADQUARTERS
- ☐ INTERIM AMENDMENT
  - Change in LOE, Scope by task
  - Add additional tasks or funds
- ☐ INCREMENTAL FUNDING
  - EPA REGION/HEADQUARTERS
- ☐ PARTIAL WORK PLAN APPROVAL
- ☐ FINAL WORK PLAN APPROVAL
  - Approval of 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 limit
  - 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)
  - Contractor originates
  - Regional determination
  - When signed by CO, this constitutes a stop work order
  - CONTRACTOR

3. BUDGET INFORMATION

	TOTAL FUNDING RECEIVED ($) *	INTERIM BUDGET (TECHNICAL LOE)	INTERIM BUDGET ($) *	APPROVED WORK PLAN BUDGET (TECHNICAL LOE)	APPROVED WORK PLAN BUDGET ($) *	EXPENDITURE LIMIT (EL) * (TECHNICAL LOE)	EXPENDITURE LIMIT (EL) * ($) *
CURRENT	20,000			305	20,000	305	20,000
THIS ACTION	(1,000)			-0-	(1,000)	-0-	(1,000)
TOTAL	19,000			305	19,000	305	19,000

* Option - dollar estimate may be tracked regionally in expenditure limit block. EPA estimated LOE hours of entire WA ____

* Includes fees

* Established by RPM/RPO

4. WA COMPLETION DATE CURRENT 10/30/87 REVISED _____

5. EPA COMMENTS Deobligation of funding in the amount of $1,000, not required to complete Community Relations.

6. APPROVALS

CONTRACTOR SIGNATURES:

SITE MANAGER/PM _____ DATE _____

PHONE _____

REGIONAL MANAGER/PM _____ DATE _____

EPA SIGNATURES:

Jim Thomas — REMEDIAL PROJECT MANAGER — DATE 10/19/87

PHONE 646/555-3333

Chuck Jones — PROJECT OFFICER — DATE 10/20/87

☒ APPROVED AS SUBMITTED ☐ APPROVED WITH CHANGES ☐ NOT APPROVED

Frank Scott — SIGNATURE OF CONTRACTING OFFICER — DATE APPROVED 11/10/87

CC: EPA Project Officer
PO/RPM
Contractor
EPA Contracting Officer (when only expenditure limit column is used)

ATTACH STATEMENT OF WORK (PER DESCRIPTION OF ACTION)

UPDATE 11/13/88

FINAL CHECKS

1. Dollar amount of PR should equal dollar amount on the "THIS ACTION" line of total funding received.
2. Total funding received should not exceed approved work plan budget.
3. EL should not exceed approved work plan budget.
4. Deobligation amount should appear on the "THIS ACTION" line of approved work plan budget.

EXHIBIT 3.12

(Shaded areas are for use of procurement office only)

US Environmental Protection Agency
Washington, DC 20460

EPA Procurement Request/Order

1. Name of Originator: Jim Thomas
2. Date of Requisition: 10 19 87
3. Mail Code: TS-779
4. Telephone Number: 206/555-3216
5. Date Item Required: ASAP
6. Signature of Originator: Jim Thomas
7. Recommended Procurement Method: ☒ Competitive ☐ Other than full and open competition ☐ Sole source small purchase
8. Order To (Project Manager): Chuck James
9. Address: 1200 Sixth Ave. Seattle, WA
10. Mail Code: RD-689
11. Telephone Number: 206/555-3300
12. Financial Data: a. Appropriation: 68/20X8145; b. Servicing Finance Office Number: 22

NOTE: Item 12(d) Document Type — Contract = "C" Purchase Order = "P"

FMO Use (c) (13 digits)	Document Type (d)	Document Control Number (e) (6 digits)	Account Number (f) (10 digits)	Object Class (g) (4 digits)	Amount (h) Dollars
	C	AH0022	7TFA10MKC3	2535	(1,000)

13. Suggested Source (Name, Address, ZIP Code, Phone/Contact): XYZ INC, 600 South St., Seattle, WA 98101
14. Amount of money committed for: ☐ Original ☐ Increase ☒ Decrease
15. For Small Purchases Only: Contracting Office is authorized to exceed the amount shown in Block 12(h) by 10% $100, whichever is less ☐ Yes ☐ No

16. Approvals

a. Branch/Office: Chief, WMB	Date	d. Property Management Officer/Designee	Date
b. Division/Office: Director, HWD	Date	e. Other (Specify)	Date
c. Funds listed in Block 12 and Block 15 (if any) are available and reserved (Signature of Certifying Official): FCC	Date	f. Other (Specify)	Date

17. Date of Order
18. Order Number
19. Contract Number (if any): 68-01-8060
20. Discount Terms
21. FOB Point
22. Delivery to FOB Point by On or before (Date)
23. Person Taking Order, Quote and Phone No
24. Contractor (Name, address, ZIP Code)
25. Type of Order: Reference your quote (See Block 23)
☐ a. Purchase
Please furnish the above on the terms specified on both sides of this order and the attached sheets, if any, including delivery as indicated.
☐ b. Delivery provisions on the reverse are deleted. The delivery order is subject to the terms and conditions of the contract (See Block 19).
c. ☐ Oral ☐ Written ☐ Confirming

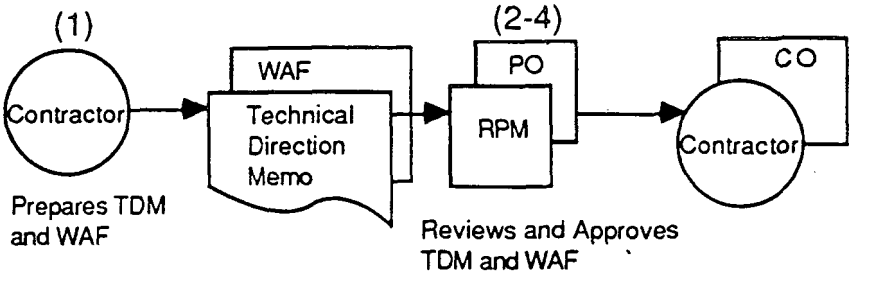
26. Schedule

Item Number (a)	Supplies or Services (b)	Quantity Ordered (c)	Unit (d)	Estimated Unit Price (e)	Unit Price (f)	Amount (g)	Quantity Accepted (h)
	Deobligation of funding					(1,000)	
					Total ▶	(1,000)	

27. United States of America By (Signature)
28. Typed Name and Title of Contracting Officer

EPA Form 1900-8 (Rev. 9-86) Previous editions are obsolete. COPY 1 — PROCUREMENT FILE/CONTRACTING OFFICER

EXHIBIT 3.13
AMEND SOW (MINOR CHANGES)



STEPS	ACTIVITIES
1	• Contractor provides RPM/PO with a proposed TDM containing a detailed description of the new scope, budget and schedule. • Contractor also prepares a WAF and attaches to TDM
2	• RPM/PO reviews proposed TDM to determine if it is within the scope, budget and schedule of the approved SOW and work plan
Notes:	**(Consult with PO on TDM form and content)**
3	• RPM approves TDM and completes appropriate section of WAF
4	• RPM provides a copy of completed WAF to the contractor and CO
Notes:	**(RPM should maintain a copy of the TDM and WAF for the record)**

EXHIBIT 3.13 (Cont.)

USEPA — **WORK ASSIGNMENT FORM**

1. WORK ASSIGNMENT INFORMATION

PROJECT NAME: ABC CO., TX CONTRACTOR: XYZ INC. WORK ASSIGNMENT NO: 1-6L51

ACTIVITY: RI/FS EPA CONTRACT NO.: 68-01-8066 REVISION NO. 4

DATE: 10/30/87 CONTRACTOR CONTROL NO: 999A MODIFICATION NO. 3 2 (Contracting Officer Use Only)

2. DESCRIPTION OF ACTION

- ☐ NEW WORK ASSIGNMENT — • Initiate SOW, schedule, and LOE • Complete SOW, estimated budget and schedule — REQUIRED APPROVAL — EPA REGION/HEADQUARTERS
- ☐ INTERIM AMENDMENT — • Change in LOE, Shift by task • Add additional tasks or funds — ☐ INCREMENTAL FUNDING — EPA REGION/HEADQUARTERS
- ☐ PARTIAL WORK PLAN APPROVAL — ☐ FINAL WORK PLAN APPROVAL — • Approval of work plan • Add funds — ☐ AMENDMENT TO FINAL WORK PLAN APPROVAL — • Change in LOE, scope or budget by task • Add additional tasks or funds (products OF 68 or SF 1411) — EPA REGION/HEADQUARTERS
- ☒ TECHNICAL DIRECTION MEMORANDUM — • Detailed scope, budget and schedule • Revise expenditure limit • 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) — • Contractor originator • Regional concurrence • When signed by CO, this constitutes a stop work order — CONTRACTOR

3. BUDGET INFORMATION

	TOTAL FUNDING RECEIVED ($) *	INTERIM BUDGET (TECHNICAL LOE)	INTERIM BUDGET ($) *	APPROVED WORK PLAN BUDGET (TECHNICAL LOE)	APPROVED WORK PLAN BUDGET ($) *	EXPENDITURE LIMIT (EL) * (TECHNICAL LOE)	EXPENDITURE LIMIT (EL) * ($) *
CURRENT	400,000			7,050	550,000	6,730	400,000
THIS ACTION	-0-			-0-	-0-	-0-	-0-
TOTAL	400,000			7,050	550,000	6,730	400,000

* Optional - dollar estimate may be tracked separately in expenditure limit block. EPA estimated LOE hours of entire WA

* Includes fees — * Includes fees — * Established by RPM/RPO

4. WA COMPLETION DATE CURRENT 9/30/88 REVISED 10/30/88

5. EPA COMMENTS: Additional well drilling defined - still within overall scope, schedule, and budget and LOE

6. APPROVALS

CONTRACTOR SIGNATURES: John Smith 10/30/87 DATE — SITE MANAGER — PHONE 203/555-0800

Bob Thomas 10/30/87 DATE — REGIONAL MANAGER

EPA SIGNATURES: Mary Doe 11/2/87 DATE — REMEDIAL PROJECT MANAGER — PHONE 202/848-3880

Bill Jones 11/4/87 DATE — PROJECT OFFICER

☐ APPROVED AS SUBMITTED ☐ APPROVED WITH CHANGES ☐ NOT APPROVED

SIGNATURE OF CONTRACTING OFFICER — DATE APPROVED

cc: EPA Project Officer, PO/RPM, Contractor, EPA Contracting Officer (where only expenditure limit column is used)

ATTACH STATEMENT OF WORK (PER DESCRIPTION OF ACTION)

UPDATE 11/1/88

FINAL CHECKS

1. There should not be any change in LOE/budget, so the "THIS ACTION" lines for total funding received and approved work plan budget should read "-0-".
2. EL can change, but must not exceed approved work plan budget.

EXHIBIT 3.13 (Cont.)

PAGE 2

USEPA **TECHNICAL DIRECTION MEMORANDUM**

1.0 WORK ASSIGNMENT INFORMATION

DATE: 10/30/87

PROJECT NAME: ABC CO., TX

EPA CONTRACT NO.: 68-01-8060

WORK ASSIGNMENT NO.: 1-6L51

CONTRACTOR: XYZ INC.

SITE MANAGER/FIRM: John Smith

REVISION NO.: 4

CONTRACTOR CONTROL NO.: 999 A

2.0 TECHNICAL DIRECTION SCOPE OF WORK

OBJECTIVE: To conduct field activities at the site. Field activities that are being conducted during Phase 1 include first round well drilling, soil sampling, sediment sampling, and air sampling.

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

Tasks affected by this TDM are as follows:

Task 2A-1 Well Drilling - Phase 1

Task 2B-1 Soil Sampling - Phase 1

Task 2C-1 Sediment Sampling - Phase 1

Minor changes in the scope of the above listed sub-tasks occurred during the conduct of the work assignment. The detail of the scope changes are attached. While the individual task budgets have changed, there is no impact on the overall budget or LOE ceilings for this assignment.

EXHIBIT 3.13 (Cont.)

USEPA — TECHNICAL DIRECTION MEMORANDUM

3.0 SUBCONTRACTOR REQUIREMENTS (Description of Services)

Not Applicable

4.0 SCHEDULE AND DELIVERABLE:

TASK NO.	START DATE.	COMPLETION DATE.	DELIVERABLE.
A-1	3/8/87	6/25/87	
B-1	4/16/87	5/2/87	
C-1	4/16/87	5/12/87	

(TASK NO.'S PER TECHNICAL DIRECTION SCOPE OF WORK)

5.0 BUDGET INFORMATION:

TASK NO.	PROFESSIONAL HOURS	PROFESSIONAL COST	SUPPORT HOURS	SUPPORT COST	EQUIP	TRAVEL	ODC'S	SUB POOL	FEES	TASK TOTALS
A-1	1,170	27,000	130	3,000	1,000	500	1,200	47,300	5,635	85,635
B-1	608	13,500	67	1,500	1,500	700	1,700	22,600	3,020	44,520
C-1	608	13,500	67	1,500	1,500	500	2,000	21,000	2,950	42,950
TOTAL	2,386	54,000	264	6,000	4,000	1,700	4,900	90,900	11,605	173,015
COMMITED TO DATE	3,100	100,000	310	25,000	5,000	3,000	7,000	225,000	25,250	390,250
APPROVED BUDGET	2,500	60,000	280	7,000	4,500	2,100	5,200	104,000	13,080	195,880
VARIANCE	(114)	(6,000)	(16)	(1,000)	(500)	(400)	(300)	(13,100)	(1,475)	(22,775)

6.0 TOTAL ORIGINAL WA BUDGET: $ 550,000 LOE 7,050

TOTAL REVISED WA BUDGET. $ 550,000 LOE 7,050

*VARIANCE. $ LOE

7.0 APPROVALS:

CONTRACTOR SIGNATURES

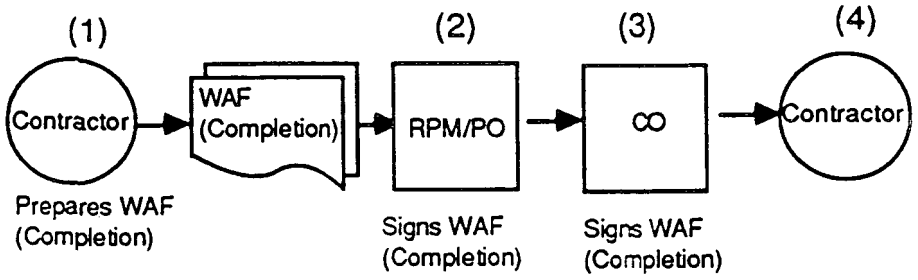
SITE MANAGER/FIRM — DATE — REMEDIAL PROJECT MANAGER — DATE

REGIONAL MANAGER/FIRM — DATE — REGIONAL PROJECT OFFICER — DATE

* If there is a significant positive variance, an amendment request may have to be processed by the site manager after discussions with the RPO

EXHIBIT 3.14

CLOSE OUT WORK ASSIGNMENT



STEPS	ACTIVITIES
1	• Contractor prepares WAF stating that the project is complete • Submits it to the RPM/PO
2	• RPM/PO sign the WAF • Submit it to the CO
3	• CO signs WAF, closing out the WA
4	• Contractor prepares award fee package, Work Assignment Completion Report (WACR) and final invoice • Submits them to the RPM, who in turn also completes a WACR

EXHIBIT 3.14 (Cont.)

USEPA — **WORK ASSIGNMENT FORM**

1. WORK ASSIGNMENT INFORMATION

PROJECT NAME: Blue Mountain CONTRACTOR: XYZ INC. WORK ASSIGNMENT NO: 026-8622

ACTIVITY: TA EPA CONTRACT NO.: 68-01-8060 REVISION NO: 4

DATE: 01/04/88 CONTRACTOR CONTROL NO: ____ MODIFICATION NO: 55 (Contracting Officer Use Only)

2. DESCRIPTION OF ACTION

- ☐ NEW WORK ASSIGNMENT — • Initiate SOW, schedule, and LOE • Complete SOW, estimated budget and schedule — RECURRING APPROVAL — EPA REGION/HEADQUARTERS
- ☐ INTERIM AMENDMENT — • Change in LOE, Scope by task • Add additional tasks or funds — ☐ INCREMENTAL FUNDING — EPA REGION/HEADQUARTERS
- ☐ PARTIAL WORK PLAN APPROVAL — ☐ FINAL WORK PLAN APPROVAL — • Approval of 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) — • Contractor originates • Regional determination • When signed by CO, this constitutes a stop work order — CONTRACTOR

3. BUDGET INFORMATION

	TOTAL FUNDING RECEIVED ($) *	INTERIM BUDGET (TECHNICAL LOE)	INTERIM BUDGET ($) *	APPROVED WORK PLAN BUDGET (TECHNICAL LOE)	APPROVED WORK PLAN BUDGET ($) *	EXPENDITURE LIMIT (EL) * (TECHNICAL LOE)	EXPENDITURE LIMIT (EL) * ($) *
CURRENT	240,000			4,000	240,000		
THIS ACTION	-0-			-0-	-0-		
TOTAL	240,000			4,000	240,000		

* Option - dollar estimate may be tracked separately in expenditure limit block. EPA estimated LOE hours of entire WA ____

* Includes fees — * Includes fees — * Established by RPM/RPO

4. WA COMPLETION DATE CURRENT 1/31/88 REVISED ____

5. EPA COMMENTS Please closeout the subject work assignment and send the WACR and final invoice to Lee Smith

6. APPROVALS

CONTRACTOR SIGNATURES: John Tass 12/28/87 DATE — SITE MANAGER/PM — PHONE 214/555-3000
Jane Brown 12/29/87 DATE — REGIONAL MANAGER/PM

EPA SIGNATURES: Lee Smith 1/4/88 DATE — REMEDIAL PROJECT MANAGER
Bill Noll 1/8/88 DATE — PROJECT OFFICER — PHONE 214/555-8700

☒ APPROVED AS SUBMITTED ☐ APPROVED WITH CHANGES ☐ NOT APPROVED

Bob Stauffer 2/3/88 DATE APPROVED — SIGNATURE OF CONTRACTING OFFICER

CC: EPA Project Officer
PO/RPM
Contractor
EPA Contracting Officer (when only expenditure limit column is used)

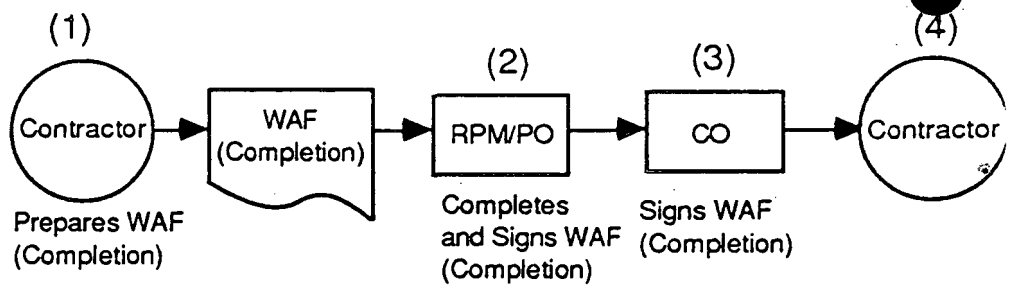
UPDATE 11/1/88

ATTACH STATEMENT OF WORK (PER DESCRIPTION OF ACTION)

FINAL CHECKS

1. Total funding received to date goes on the "CURRENT" lines of total funding received and approved work plan budget.
2. Total funding and LOE being added or deobligated go on the "THIS ACTION" lines of "TOTAL FUNDING RECEIVED" and "APPROVED WORK PLAN BUDGET".

EXHIBIT 3.15
Close Out Work Assignment – Increase LOE



STEPS	ACTIVITIES
1	• Contractor prepares WAF stating that project is complete • Submits WAF to RPM/PO
2	• RPM completes WAF • Adds LOE to match final approved work plan • Signs and submits to PO for signature
3	• CO signs WAF, closing out WA
4	• Contractor prepares WACR and final invoice • Submits to RPM/PO, who in turn also complete a WACR

EXHIBIT 3.15 (Cont.)

USEPA — **WORK ASSIGNMENT FORM**

1. WORK ASSIGNMENT INFORMATION

PROJECT NAME: Blue Mountain CONTRACTOR: XYZ INC. WORK ASSIGNMENT NO: 026-8L23

ACTIVITY: TA EPA CONTRACT NO.: 68-01-8060 REVISION NO: 5

DATE: 01/07/88 CONTRACTOR CONTROL NO: _____ MODIFICATION NO: 56 (Contracting Officer Use Only)

2. DESCRIPTION OF ACTION

- ☐ NEW WORK ASSIGNMENT
  - Initiate SOW, schedule, and LOE
  - Complete SOW, estimated budget and schedule
  - REQUIRED APPROVAL — EPA REGION HEADQUARTERS
- ☐ INTERIM AMENDMENT
  - Change in LOE, Scope by task
  - Add additional tasks or funds
- ☐ INCREMENTAL FUNDING — EPA REGION HEADQUARTERS
- ☐ PARTIAL WORK PLAN APPROVAL
- ☐ FINAL WORK PLAN APPROVAL
  - Approval of 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)
  - Contractor originates
  - Regional determination
  - When signed by CO, this concludes a step work order — CONTRACTOR

3. BUDGET INFORMATION

	TOTAL FUNDING RECEIVED ($) *	INTERIM BUDGET (TECHNICAL LOE)	INTERIM BUDGET ($) *	APPROVED WORK PLAN BUDGET (TECHNICAL LOE)	APPROVED WORK PLAN BUDGET ($) *	EXPENDITURE LIMIT (EL) * (TECHNICAL LOE)	EXPENDITURE LIMIT (EL) * ($) *
CURRENT	20,894			327	20,894	327	20,894
THIS ACTION	-0-			12	-0-	12	-0-
TOTAL	20,894			339	20,894	339	20,894

* Optional - dollar estimate may be tracked regionally or expenditure limit block EPA estimates LOE hours of entire WA ____

* Includes fees — * Includes fees — * Established by RPM/RPO

4. WA COMPLETION DATE CURRENT 1/31/88 REVISED _____

5. EPA COMMENTS Please close out the subject work assignment, send the WACR and final invoice to Lee Smith, and increase the LOE hours to complete the closeout process.

6. APPROVALS

CONTRACTOR SIGNATURES: Jim Nance 12/30/87 DATE
SITE MANAGER PM
George Thomas PHONE 214/555-3080 12/31/87 DATE
REGIONAL MANAGER PM

EPA SIGNATURES: Lee Smith 1/7/88 DATE
REGIONAL PROJECT MANAGER
Bill Mill PHONE 214/555-8700 1/9/88 DATE
PROJECT OFFICER

☒ APPROVED AS SUBMITTED ☐ APPROVED WITH CHANGES ☐ NOT APPROVED

Bob Staubber 1/31/88
SIGNATURE OF CONTRACTING OFFICER — DATE APPROVED

CC EPA Project Officer
PO/RPM
Contractor
EPA Contracting Officer (when only expenditure limit column is used)

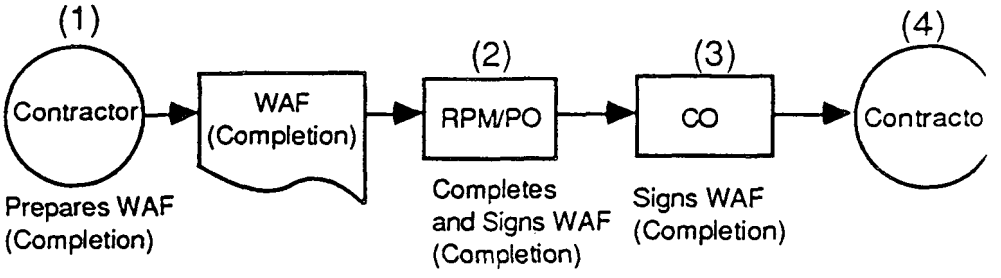
UPDATE 11/13/86

ATTACH STATEMENT OF WORK (PER DESCRIPTION OF ACTION)

FINAL CHECKS

1. Total funding received to date goes on the "CURRENT" lines of total funding received and approved work plan budget.
2. Total funding and LOE being added or deobligated go on the "THIS ACTION" lines of "TOTAL FUNDING RECEIVED" and "APPROVED WORK PLAN BUDGET".

EXHIBIT 3.16
Close Out Work Assignment – Decrease LOE



STEPS	ACTIVITIES
1	• Contractor prepares WAF stating that project is complete • Submits WAF to RPM/PO
2	• RPM completes WAF • Decreases LOE to match final approved work plar • Signs and submits to PO for signature
3	• CO signs WAF, closing out WA
4	• Contractor prepares WACR and final invoice • Submits to RPM/PO, who in turn also complete a WACR

EXHIBIT 3.16 (Cont.)

USEPA — **WORK ASSIGNMENT FORM**

1. WORK ASSIGNMENT INFORMATION

PROJECT NAME: Blue Mountain CONTRACTOR: XYZ INC. WORK ASSIGNMENT NO: 026-8624

ACTIVITY: TA EPA CONTRACT NO.: 68-01-8060 REVISION NO: 6

DATE: 01/10/88 CONTRACTOR CONTROL NO: _____ MODIFICATION NO: 21 (Contracting Officer Use Only)

2. DESCRIPTION OF ACTION

- ☐ NEW WORK ASSIGNMENT
  - Interim SOW, schedule, and LOE
  - Complete SOW, estimated budget and schedule
  - REQUIRED APPROVAL — EPA REGION HEADQUARTERS
- ☐ INTERIM AMENDMENT
  - Change in LOE, Scope by task
  - Add additional tasks or funds
- ☐ INCREMENTAL FUNDING — EPA REGION HEADQUARTERS
- ☐ PARTIAL WORK PLAN APPROVAL
- ☐ FINAL WORK PLAN APPROVAL
  - Approval of 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 limit
  - 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)
  - Contractor originates
  - Regional determination
  - When signed by CO, this constitutes a stop work order — CONTRACTOR

3. BUDGET INFORMATION

	TOTAL FUNDING RECEIVED ($) *	INTERIM BUDGET (TECHNICAL LOE)	INTERIM BUDGET ($) *	APPROVED WORK PLAN BUDGET (TECHNICAL LOE)	APPROVED WORK PLAN BUDGET ($) *	EXPENDITURE LIMIT (SL) * (TECHNICAL LOE)	EXPENDITURE LIMIT (SL) * ($) *
CURRENT	20,894			327	20,894	327	20,894
THIS ACTION	-0-			(12)	-0-	(12)	-0-
TOTAL	20894			315	20,894	315	20,894

* Optional - dollar estimates may be inserted separately in expenditure limit block. EPA estimated LOE hours of entire WA ____

* Includes fees — * Includes fees — * Established by RPM/RPO

4. WA COMPLETION DATE

CURRENT 1/31/88 REVISED _____

5. EPA COMMENTS: Please close out the subject work assignment, send the WACR and final invoice to Lee Smith, and reduce the LOE by 12 hours in order to complete the closeout process.

6. APPROVALS

CONTRACTOR SIGNATURES:

Jim Nance — 1/2/88 (DATE)
STRUCTURE MANAGER

George Thomas — 1/4/88 (DATE)
REGIONAL MANAGER — PHONE 214/555-3000

EPA SIGNATURES:

Lee Smith — 1/10/88 (DATE)
REMEDIAL PROJECT MANAGER

Bill Noll — 1/11/88 (DATE)
PROJECT OFFICER — PHONE 214/555-8700

☒ APPROVED AS SUBMITTED ☐ APPROVED WITH CHANGES ☐ NOT APPROVED

Bob Stauffer — 1/31/88
SIGNATURE OF CONTRACTING OFFICER — DATE APPROVED

CC: EPA Project Officer
PO/RPM
Contractor
EPA Contracting Officer (when only expenditure limit column is used)

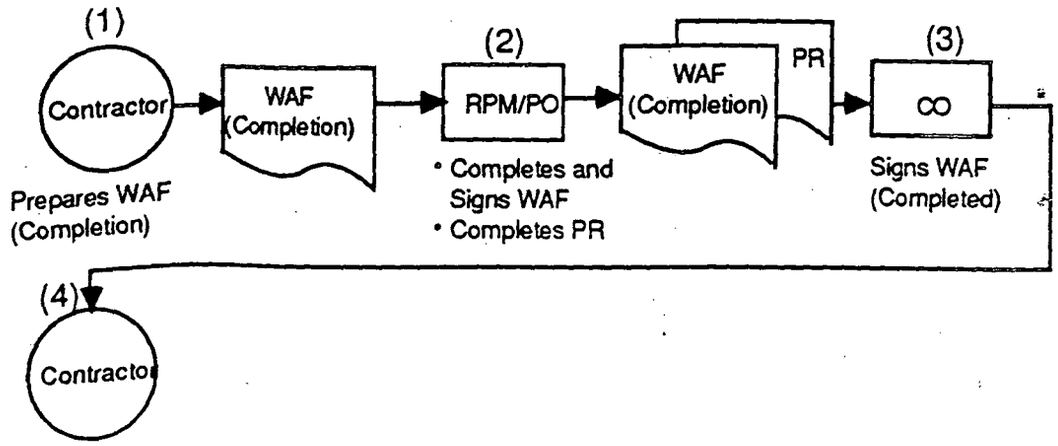
ATTACH STATEMENT OF WORK (PER DESCRIPTION OF ACTION)

UPDATE 11/1/88

FINAL CHECKS

1. Total funding received to date goes on the "CURRENT" lines of total funding received and approved work plan budget.
2. Total funding and LOE being added or deobligated go on the "THIS ACTION" lines of "TOTAL FUNDING RECEIVED" and "APPROVED WORK PLAN BUDGET".

EXHIBIT 3.17
Close Out Work Assignment – Increase Budget



STEPS	ACTIVITIES
1	• Contractor prepares WAF stating that project is complete • Submits WAF and OF-60 to RPM/PO
2	• RPM completes WAF and PR • Increases budget to match final approved work plan • Signs and submits to PO for signature
3	• CO signs WAF, closing out WA
4	• Contractor prepares WACR and final invoice • Submits to RPM/PO, who in turn complete a WACR

EXHIBIT 3.17 (Cont.)

USEPA — **WORK ASSIGNMENT FORM**

1. WORK ASSIGNMENT INFORMATION

PROJECT NAME: Blue Mountain CONTRACTOR: XYZ INC WORK ASSIGNMENT NO: 026-BL33

ACTIVITY: TA EPA CONTRACT NO.: 68-01-8060 REVISION NO: 3

DATE: 01/15/88 CONTRACTOR CONTROL NO: _____ MODIFICATION NO: 46 (Contracting Officer Use Only)

2. DESCRIPTION OF ACTION

- ☐ NEW WORK ASSIGNMENT
  - Interim SOW, schedule, and LOE
  - Complete SOW, estimated budget and schedule
  - RECURRED APPROVAL
  - EPA REGION/HEADQUARTERS
- ☐ INTERIM AMENDMENT
  - Change in LOE, Scope by task
  - Add additional tasks or funds
- ☐ INCREMENTAL FUNDING
  - EPA REGION/HEADQUARTERS
- ☐ PARTIAL WORK PLAN APPROVAL
- ☐ FINAL WORK PLAN APPROVAL
  - Approval of 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)
  - Contractor originates
  - Regional concurrence
  - When signed by CO, this constitutes a stop work order
  - CONTRACTOR

3. BUDGET INFORMATION

	TOTAL FUNDING RECEIVED ($) *	INTERIM BUDGET (TECHNICAL LOE)	INTERIM BUDGET ($) *	APPROVED WORK PLAN BUDGET (TECHNICAL LOE)	APPROVED WORK PLAN BUDGET ($) *	EXPENDITURE LIMIT (EL) * (TECHNICAL LOE)	EXPENDITURE LIMIT (EL) * ($) *
CURRENT	20,894			327	20,894	327	20,894
THIS ACTION	1,089			-0-	1,089	-0-	1,089
TOTAL	21,983			327	21,983	327	21,983

* Optional - dollar estimates may be included regionally in expenditure limit block. EPA estimated LOE hours of entire WA ____

* Includes fees

* Includes fees

* Established by RPM/RPO

4. WA COMPLETION DATE

CURRENT 1/31/88 REVISED _____

5. EPA COMMENTS: Please close out the subject work assignment, send the WACR and final invoice to Lee Smith, and increase the budget to complete the closeout process.

6. APPROVALS

CONTRACTOR SIGNATURES: Jim Nance 1/5/88 DATE

SITE MANAGER (PM): George Thomas PHONE 214/555-3008 1/15/88 DATE

REGIONAL MANAGER (PM): _____

EPA SIGNATURES: Lee Smith 1/15/88 DATE

REMEDIAL PROJECT MANAGER: _____

PHONE 214/555-8700 1/17/88 DATE

PROJECT OFFICER: Bill Noll

☒ APPROVED AS SUBMITTED ☐ APPROVED WITH CHANGES ☐ NOT APPROVED

Bob Stauffer 2/6/88

SIGNATURE OF CONTRACTING OFFICER — DATE APPROVED

CC: EPA Project Officer
PO/RPM
Contractor
EPA Contracting Officer (when only expenditure limit column is used)

ATTACH STATEMENT OF WORK (PER DESCRIPTION OF ACTION)

UPDATE 11/13/88

FINAL CHECKS

1. Total funding received to date goes on the "CURRENT" lines of total funding received and approved work plan budget.
2. Total funding and LOE being added or deobligated go on the "THIS ACTION" lines of "TOTAL FUNDING RECEIVED" and "APPROVED WORK PLAN BUDGET".

EXHIBIT 3.17 (Cont.)

(Shaded areas are for use of procurement office only)

Page

US Environmental Protection Agency
Washington, DC 20460

EPA Procurement Request/Order

1. Name of Originator: Lee Smith
2. Date of Requisition: 1/15/88
3. Mail Code: SH-500
4. Telephone Number: 214/555-8700
5. Date Item Required: ASAP
6. Signature of Originator: Lee Smith
7. Recommended Procurement Method: ☒ Sealed Bid ☐ Other than full and open competition ☐ Negotiated
8. Deliver To (Project Manager): Bill Noll
9. Address: 1201 Elm St., Dallas, TX
10. Mail Code: BA-100
11. Telephone Number: 214/555-9000
12. Financial Data: a. Appropriation: 68/20X8145 b. Servicing Finance Office Number: 22

NOTE: Item 12(d) Document Type — Contract = "C" Purchase Order = "P"

FMO Use (c) (13 digits)	Doc Type (d)	Document Control Number (e) (8 digits)	Account Number (f) (10 digits)	Object Class (g) (4 digits)	Amount (h) Dollars	Cents
	C	AH0022	8TFA06MKC6	2535	1,089	00

13. Suggested Source (Name, Address, ZIP Code, Phone/Contact): XYZ INC, 800 Franklin St., Dallas, TX 75270

14. Amount of money committed is: ☐ Original ☒ Increase ☐ Decrease

15. For Small Purchases Only: Contracting Office is authorized to exceed the amount shown in Block 12(h) by 10% or $100, whichever is less ☐ Yes ☐ No

16. Approvals

	Date		Date
a. Branch/Office: Chief, HWPB		d. Property Management Officer/Designee	
b. Division/Office: Director, HWMD		e. Other (Specify)	
c. Funds listed in Block 12 and Block 15 (if any) are available and reserved (Signature of Certifying Official): FCC		f. Other (Specify)	

17. Date of Order	18. Order Number	19. Contract Number (if any)	20. Discount Terms
		68-01-8060	

21. FOB Point	22. Delivery to FOB Point by On or before (Date)	23. Person Taking Order, Quote and Phone No.

24. Contractor (Name, address, ZIP Code)

25. Type of Order — Reference your quote (See Block 23)

☐ a. Purchase

Please furnish the above on the terms specified on both sides of this order and on the attached sheets, if any, including delivery as indicated.

☐ b. Delivery provisions on the reverse are deleted. The delivery order is subject to the terms and conditions of the contract (See Block 19)

c. ☐ Oral ☐ Written ☐ Confirming

26. Schedule

Item Number (a)	Supplies or Services (b)	Quantity Ordered (c)	Unit (d)	Estimated Unit Price (e)	Unit Price (f)	Amount (g)	Quantity Accepted (h)
	Increase the budget to complete the close out process at Blue Mountain Obligated Funds $20,894 Funding This Action 1,089 Total $21,983					1,089	
					Total ▶	1,089	

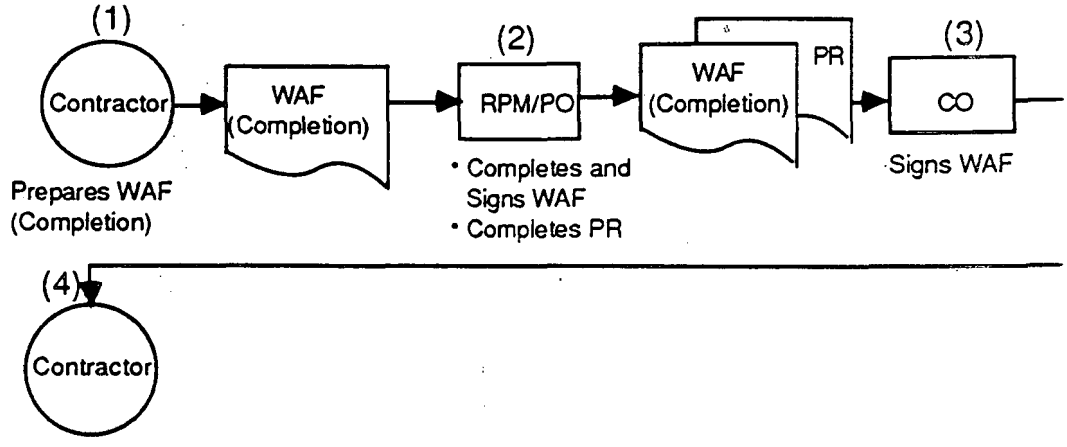
27. United States of America By (Signature)

28. Typed Name and Title of Contracting Officer

EPA Form 1900-8 (Rev. 9-86) Previous editions are obsolete.

COPY 1 – PROCUREMENT FILE/CONTRACTING OFFICER

EXHIBIT 3.18
Close Out Work Assignment – Decrease Budget



STEPS	ACTIVITIES
1	• Contractor prepares WAF stating that project is complete • Submits WAF and OF-60 to RPM/PO
2	• RPM completes WAF • Decreases budget to match final approved work plan • Signs and submits to PO for signature
3	• CO signs WAF, closing out WA
4	• Contractor prepares WACR and final invoice • Submits to RPM/PO, who in turn complete a WACR

EXHIBIT 3.18 (Cont.)

USEPA — **WORK ASSIGNMENT FORM**

1. WORK ASSIGNMENT INFORMATION

PROJECT NAME: Blue Mountain CONTRACTOR: XYZ INC. WORK ASSIGNMENT NO: 026-BL26

ACTIVITY: TA EPA CONTRACT NO.: 68-01-5060 REVISION NO.: 6

DATE: 01/13/88 CONTRACTOR CONTROL NO: _____ MODIFICATION NO: 59 (Contracting Officer Use Only)

2. DESCRIPTION OF ACTION

☐ NEW WORK ASSIGNMENT
- Interim SOW, schedule, and LOE
- Complete SOW, estimated budget and schedule

RECURRED APPROVAL — EPA REGION/HEADQUARTERS

☐ INTERIM AMENDMENT
- Change in LOE, Scope by task
- Add additional tasks or funds

☐ INCREMENTAL FUNDING — EPA REGION/HEADQUARTERS

☐ PARTIAL WORK PLAN APPROVAL
☐ FINAL WORK PLAN APPROVAL
- Approval of 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)
- Contractor originates
- Regional determination
- When signed by CO, this constitutes a stop work order

CONTRACTOR

3. BUDGET INFORMATION

	TOTAL FUNDING RECEIVED ($) *	INTERIM BUDGET (TECHNICAL LOE)	INTERIM BUDGET ($) *	APPROVED WORK PLAN BUDGET (TECHNICAL LOE)	APPROVED WORK PLAN BUDGET ($) *	EXPENDITURE LIMIT (EL) * (TECHNICAL LOE)	EXPENDITURE LIMIT (EL) * ($) *
CURRENT	20,894			327	20,894	327	20,894
THIS ACTION	(1,089)			-0-	(1,089)	-0-	(1,089)
TOTAL	19,805			327	19,805	327	19,805

* Optional - dollar estimate may be tracked regionally in expenditure limit block. EPA estimated LOE hours of entire WA ____

* Includes fees — * Includes fees — * Established by RPM/RPO

4. WA COMPLETION DATE

CURRENT 1/31/88 REVISED _____

5. EPA COMMENTS: Please close out the subject work assignment, send the WACR and final invoice to Lee Smith, and reduce the budget by $1,089 to complete the closeout process.

6. APPROVALS

CONTRACTOR SIGNATURES:

Jim Nance — 1/7/88 (DATE) — SITE MANAGER/PM

George Thomas — PHONE 214/555-3000 — 1/8/88 (DATE) — REGIONAL MANAGER/PM

EPA SIGNATURES:

Lee Smith — 1/13/88 (DATE) — REMEDIAL PROJECT MANAGER

Bill Noll — PHONE 214/555-8700 — 1/16/88 (DATE) — PROJECT OFFICER

☒ APPROVED AS SUBMITTED ☐ APPROVED WITH CHANGES ☐ NOT APPROVED

Bob Staubler — 2/9/88 (DATE APPROVED) — SIGNATURE OF CONTRACT PROGRAM OFFICER

CC: EPA Project Officer
PO/RPM
Contractor
EPA Contracting Officer (when only expenditure limit column is used)

UPDATE 11/1/88

ATTACH STATEMENT OF WORK (PER DESCRIPTION OF ACTION)

FINAL CHECKS

1. Total funding received to date goes on the "CURRENT" lines of total funding received and approved work plan budget.
2. Total funding and LOE being added or deobligated go on the "THIS ACTION" lines of "TOTAL FUNDING RECEIVED" and "APPROVED WORK PLAN BUDGET".

EXHIBIT 3.18 (Cont.)

(Shaded areas are for use of procurement office only)

Page of

US Environmental Protection Agency
Washington, DC 20460

EPA Procurement Request/Order

1. Name of Originator: Lee Smith
2. Date of Requisition: [illegible] 23, 88
3. Mail Code: SH-500
4. Telephone Number: 214/555-8700
5. Date Item Required: ASAP
6. Signature of Originator: [signature]
7. Recommended Procurement Method: ☐ Competitive ☐ Other than full and open competition ☐ Sole source small purchase
8. Deliver To (Project Manager): Bill Noll
9. Address: 1201 Elm St., Dallas, TX
10. Mail Code: 8A-100
11. Telephone Number: 214/555-9000
12. Financial Data: a. Appropriation: 68/20X8145
b. Servicing Finance Office Number: 22

NOTE: Item 12(d) Document Type — Contract = "C." Purchase Order = "P"

FMO Use (c) (13 digits)	Document Type (d)	Document Control Number (e) (6 digits)	Account Number (h) (10 digits)	Object Class (g) (4 digits)	Amount (h) Dollars	Cents
	C	AH0022	8TFA06MKC6	2535	(1,089)	00

13. Suggested Source (Name, Address, ZIP Code, Phone/Contact)
XYZ INC
800 Franklin St.
Dallas, TX 75270

14. Amount of money committed is: ☐ Original ☐ Increase ☒ Decrease

15. For Small Purchases Only: Contracting Office is authorized to exceed the amount shown in Block 12(h) by 10% or $100, whichever is less. ☐ Yes ☐ No

16. Approvals

	Date		Date
a. Branch/Office: Chief, HWPB		d. Property Management Officer/Designee	
b. Division/Office: Director, HWMD		e. Other (Specify)	
c. Funds listed in Block 12 and Block 15 (if any) are available and reserved (Signature of Certifying Officer): FCC		f. Other (Specify)	

17. Date of Order
18. Order Number
19. Contract Number (if any): 68-01-8060
20. Discount Terms
21. FOB Point
22. Delivery to FOB Point by On or before (Date)
23. Person Taking Order, Quote and Phone No.
24. Contractor (Name, address, ZIP Code)
25. Type of Order: Reference your quote (See block 23)
☐ a. Purchase
Please furnish the above on the terms specified on both sides of this order and on the attached sheets, if any, including delivery as indicated.
☐ b. Delivery provisions on the reverse are deleted. The deliv[illegible] subject to the terms and conditions of the contract (See Block [illegible])
c. ☐ Oral ☐ Written ☐ Confirming

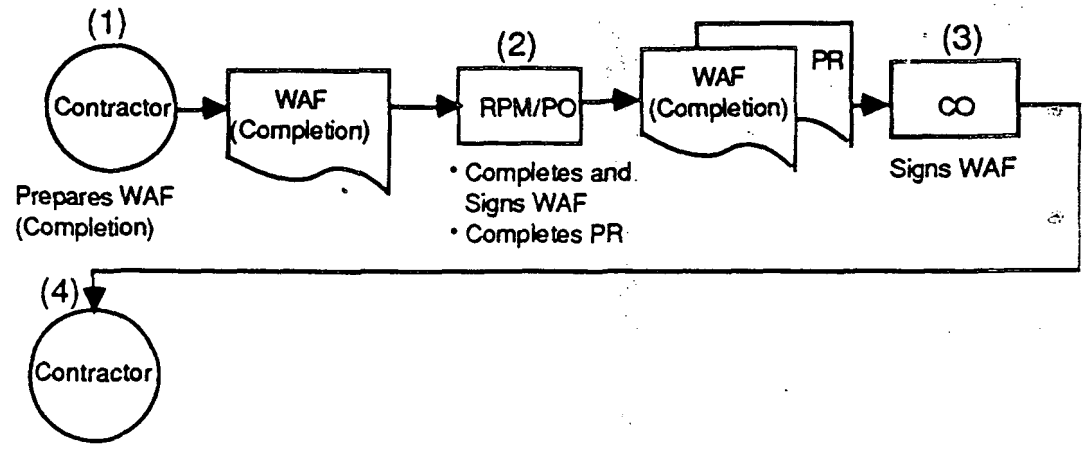
26. Schedule

Item Number (a)	Supplies or Services (b)	Quantity Ordered (c)	Unit (d)	Estimated Unit Price (e)	Unit Price (f)	Amount (g)	Quantity Accepted (h)
	Deobligate funds in order to close out work assignment Obligated Funds $20,894 This Action (1,089) Total $19,805					(1,089)	
					Total $	(1,089)	

27. United States of America By (Signature)
28. Typed Name and Title of Contracting Officer

EPA Form 1900-8 (Rev. 9-86) Previous editions are obsolete. COPY 1 – PROCUREMENT FILE/CONTRACTING OFFICER

EXHIBIT 3.19
Close Out Work Assignment – Increase LOE and Budget



STEPS	ACTIVITIES
1	• Contractor prepares WAF stating that project is complete • Submits WAF and OF-60 to RPM/PO
2	• RPM completes WAF • Increases LOE and budget to match final approved work plan • Signs and submits to PO for signature
3	• CO signs WAF, closing out WA
4	• Contractor prepares WACR and final invoice • Submits to RPM/PO, who in turn complete a WACR

EXHIBIT 3.19 (Cont.)

USEPA — **WORK ASSIGNMENT FORM**

1. WORK ASSIGNMENT INFORMATION

PROJECT NAME: Blue Mountain CONTRACTOR: XYZ INC. WORK ASSIGNMENT NO: 026-8630

ACTIVITY: TA EPA CONTRACT NO: 68-01-8060 REVISION NO: 10

DATE: 01/18/88 CONTRACTOR CONTROL NO: MODIFICATION NO: 58 (Contracting Officer Use Only)

2. DESCRIPTION OF ACTION

- ☐ NEW WORK ASSIGNMENT — Interim SOW, schedule, and LOE; Complete SOW, estimated budget and schedule; RECURRED APPROVAL — EPA REGION HEADQUARTERS
- ☐ INTERIM AMENDMENT — Change in LOE, Scope by task; Add additional tasks or funds; ☐ INCREMENTAL FUNDING — EPA REGION HEADQUARTERS
- ☐ PARTIAL WORK PLAN APPROVAL; ☐ FINAL WORK PLAN APPROVAL — Approval of 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 65 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) — Contractor responsible; Required determination; When signed by CO, this constitutes a stop work order — CONTRACTOR

3. BUDGET INFORMATION

	TOTAL FUNDING RECEIVED ($) *	INTERIM BUDGET (TECHNICAL LOE)	INTERIM BUDGET ($) *	APPROVED WORK PLAN BUDGET (TECHNICAL LOE)	APPROVED WORK PLAN BUDGET ($) *	EXPENDITURE LIMIT (EL) * (TECHNICAL LOE)	EXPENDITURE LIMIT (EL) * ($) *
CURRENT	20,894			327	20,894	327	20,894
THIS ACTION	1,089			12	1,089	12	1,089
TOTAL	21,983			339	21,983	339	21,983

* Option - dollar estimate may be tracked regionally in expenditure limit block. EPA estimated LOE hours of entire WA ___ — * Includes fees — * Includes fees — * Established by RPM/RPO

4. WA COMPLETION DATE CURRENT 1/31/88 REVISED

5. EPA COMMENTS Please close out the subject work assignment, send the WACR and final invoice to Lee Smith, increase the LOE by 12 hours, and increase the budget by $1,089 to complete the closeout process.

6. APPROVALS

CONTRACTOR SIGNATURES: Jim Mance — 1/11/88 DATE; SITE MANAGER (PRI); PHONE 214/555-3000; George Thomas — 1/14/88 DATE; REGIONAL MANAGER (PRI)

EPA SIGNATURES: Lee Smith — 1/18/88 DATE; REMEDIAL PROJECT MANAGER; PHONE 214/555-8700; Bill Noll — 1/19/88 DATE; PROJECT OFFICER

☒ APPROVED AS SUBMITTED ☐ APPROVED WITH CHANGES ☐ NOT APPROVED

Bob Stauffer — 2/15/88 DATE APPROVED; SIGNATURE OF CONTRACTING OFFICER

CC: EPA Project Officer; PO/RPM; Contractor; EPA Contracting Officer (when only expenditure limit column is used)

UPDATE 11/13/88

ATTACH STATEMENT OF WORK (PER DESCRIPTION OF ACTION)

FINAL CHECKS

1. Total funding received to date goes on the "CURRENT" lines of total funding received and approved work plan budget.
2. Total funding and LOE being added or deobligated go on the "THIS ACTION" lines of "TOTAL FUNDING RECEIVED" and "APPROVED WORK PLAN BUDGET".

EXHIBIT 3.19 (Cont.)

(Shaded areas are for use of procurement office only)

US Environmental Protection Agency
Washington, DC 20460

EPA Procurement Request/Order

1. Name of Originator: Lee Smith
2. Date of Requisition: 1/13/88
3. Mail Code: SH-500
4. Telephone Number: 214/555-8700
5. Date Item Required: ASAP
6. Signature of Originator: Lee Smith
7. Recommended Procurement Method: ☒ Competitive ☐ Other than full and open competition ☐ Sole source small purchase
8. Deliver To (Project Manager): Bill Noll
9. Address: 1201 Elm St., Dallas, TX
10. Mail Code: BA-100
11. Telephone Number: 214/555-9000
12. Finished Date
a. Appropriation: 68/20X8145
b. Servicing Finance Office Number: 22

NOTE: Item 12(d) Document Type — Contract = "C" Purchase Order = "P"

FMO Use (c) (13 digits)	D T NO	Document Control Number (e) (6 digits)	Account Number (f) (10 digits)	Object Class (g) (4 digits)	Amount (h) Dollars	Cents
	C	AH0022	8TFA06MKC6	2535	1,089	00

13. Suggested Source (Name, Address, ZIP Code, Phone/Contact)
XYZ INC
800 Franklin St.
Dallas, TX

14. Amount of money commitment is: ☐ Original ☒ Increase ☐ Decrease

15. For Small Purchases Only. Contracting Office is authorized to exceed the amount shown in Block 12(h) by 10% or $100, whichever is less. ☐ Yes ☐ No

16. Approvals

	Date		Date
a. Branch/Office: Chief, HWPB		d. Property Management Officer/Designee	
b. Division/Office: Director, HWMD		e. Other (Specify)	
c. Funds listed in Block 12 and Block 15 (if any) are available and reserved (Signature of Certifying Official): FCC		f. Other (Specify)	

17. Date of Order
18. Order Number
19. Contract Number (if any): 68-01-8060
20. Discount Terms
21. FOB Point
22. Delivery to FOB Point by On or before (Date)
23. Person Taking Order, Quote and Phone No
24. Contractor (Name, address, ZIP Code)
25. Type of Order: Reference your quote (See block 23)
☐ a. Purchase
Please furnish the above on the terms specified on both sides of this order and on the attached sheets, if any, including delivery as indicated.
☐ b. Delivery provisions on the reverse are deleted. The delivery is subject to the terms and conditions of the contract (See Block
c. ☐ Oral ☐ Written ☐ Confirming

26. Schedule

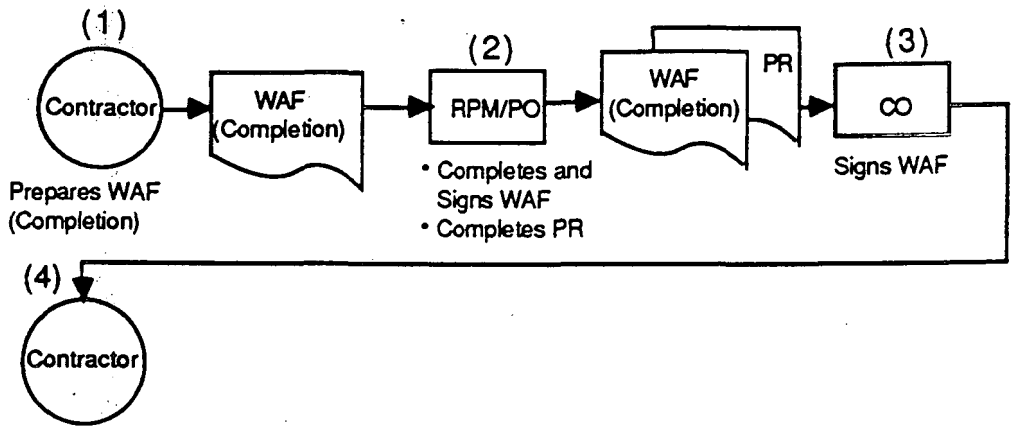
Item Number (a)	Supplies or Services (b)	Quantity Ordered (c)	Unit (d)	Estimated Unit Price (e)	Unit Price (f)	Amount (g)	Quantity Accepted (h)
	Increase funding to complete the close out process at Blue Mountain Obligated Funds $20,894 Funding This Action 1,089 Total $21,893					1,089	
					Total ▶	1,089	

27. United States of America By (Signature)
28. Typed Name and Title of Contracting Officer

EPA Form 1900-8 (Rev. 9-86) Previous editions are obsolete.

COPY 1 — PROCUREMENT FILE/CONTRACTING OFFICER

EXHIBIT 3.20
Close Out Work Assignment – Decrease LOE and Budget



STEPS	ACTIVITIES
1	• Contractor prepares WAF stating that project is complete • Submits WAF and OF-60 to RPM/PO
2	• RPM completes WAF • Decreases LOE and budget to match final approved work plan • Signs and submits to PO for signature
3	• CO signs WAF, closing out WA
4	• Contractor prepares WACR and final invoice • Submits to RPM/PO, who in turn complete a WACR

EXHIBIT 3.20 (Cont.)

USEPA — **WORK ASSIGNMENT FORM**

1. WORK ASSIGNMENT INFORMATION

PROJECT NAME: Blue Mountain CONTRACTOR: XYZ INC. WORK ASSIGNMENT NO: 026-8643

ACTIVITY: TA EPA CONTRACT NO.: 68-01-8060 REVISION NO. 7

DATE: 01/22/88 CONTRACTOR CONTROL NO: MODIFICATION NO: 28 (Contracting Officer Use Only)

2. DESCRIPTION OF ACTION

- ☐ NEW WORK ASSIGNMENT
  - Interim SOW, schedule, and LOE
  - Complete SOW, estimated budget and schedule
  - RECURRED APPROVAL
  - EPA REGION/HEADQUARTERS
- ☐ INTERIM AMENDMENT
  - Change in LOE, Scope by task
  - Add additional tasks or funds
- ☐ INCREMENTAL FUNDING
  - EPA REGION/HEADQUARTERS
- ☐ PARTIAL WORK PLAN APPROVAL
- ☐ FINAL WORK PLAN APPROVAL
  - Approval of work plan
  - Add funds
- ☐ AMENDMENT TO FINAL WORK PLAN APPROVAL
  - Change in LOE, scope or budget by task
  - Add additional tasks or funds (include CF 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)
  - Contractor engineers
  - Required determination
  - When signed by CO, this constitutes a stop work order
  - CONTRACTOR

3. BUDGET INFORMATION

	TOTAL FUNDING RECEIVED ($) *	INTERIM BUDGET (TECHNICAL LOE)	INTERIM BUDGET ($) *	APPROVED WORK PLAN BUDGET (TECHNICAL LOE)	APPROVED WORK PLAN BUDGET ($) *	EXPENDITURE LIMIT (EL) * (TECHNICAL LOE)	EXPENDITURE LIMIT (EL) * ($) *
CURRENT	20,894			327	20,894	327	20,894
THIS ACTION	(1,089)			(12)	(1,089)	(12)	(1,089)
TOTAL	19,805			315	19,805	315	19,805

* Optional - dollar estimate may be included separately in expenditure limit block. EPA estimated LOE hours of entire WA ____

* Includes fees

* Includes fees

* Established by RPM/RPO

4. WA COMPLETION DATE

CURRENT 1/31/88 REVISED

5. EPA COMMENTS: Please close out the subject work assignment, send the WACR and final invoice to Lee Smith, decrease the LOE by 12 hours, and decrease the budget by $1,089 to complete the closeout process.

6. APPROVALS

CONTRACTOR SIGNATURES:

Jim Nance — 1/14/88 — SITE MANAGER/PM — DATE

George Thomas — 1/15/88 — REGIONAL MANAGER/PM — DATE — PHONE 214/555-3000

EPA SIGNATURES:

Lee Smith — 1/22/88 — REMEDIAL PROJECT MANAGER — DATE

Bill Noll — 1/23/88 — PROJECT OFFICER — DATE — PHONE 214/555-8700

☒ APPROVED AS SUBMITTED ☐ APPROVED WITH CHANGES ☐ NOT APPROVED

Bob Staubler — 2/10/88 — SIGNATURE OF CONTRACTING OFFICER — DATE APPROVED

CC: EPA Project Officer
PO/RPM
Contractor
EPA Contracting Officer (when only expenditure limit column is used)

UPDATE 11/1/88

ATTACH STATEMENT OF WORK (PER DESCRIPTION OF ACTION)

FINAL CHECKS

1. Total funding received to date goes on the "CURRENT" lines of total funding received and approved work plan budget.
2. Total funding and LOE being added or deobligated go on the "THIS ACTION" lines of "TOTAL FUNDING RECEIVED" and "APPROVED WORK PLAN BUDGET".

EXHIBIT 3.20 (Cont.)

(Shaded areas are for use of procurement office only)

US Environmental Protection Agency
Washington, DC 20460

EPA Procurement Request/Order

1. Name of Originator: Lee Smith
2. Date of Requisition: 1.22.88
3. Mail Code: SH-500
4. Telephone Number: 214/555-8700
5. Date Item Required: ASAP
6. Signature of Originator: Lee Smith
7. Recommended Procurement Method: ☒ Competitive ☐ Other than full and open competition ☐ Sole source small purchase
8. Deliver To (Project Manager): Bill Noll
9. Address: 1201 Elm St., Dallas, TX
10. Mail Code: BA-100
11. Telephone Number: 214/555-9000
12. Financial Data: a. Appropriation: 68/20X8145
b. Servicing Finance Office Number: 22

NOTE: Item 12(d) Document Type — Contract = "C." Purchase Order = "P"

FMO Use (c) (13 digits)	D/T (d)	Document Control Number (e) (6 digits)	Account Number (f) (10 digits)	Object Class (g) (4 digits)	Amount (h) Dollars	Cents
	C	AH0022	8TFA06MKC6	2535	(1,089)	

13. Suggested Source (Name, Address, ZIP Code, Phone/Contact)
XYZ INC
800 Franklin St.
Dallas, TX 75270

14. Amount of money committed is: ☐ Original ☐ Increase ☒ Decrease

15. For Small Purchases Only: Contracting Office is authorized to exceed the amount shown in Block 12(h) by 10% or $100, whichever is less. ☐ Yes ☐ No

16. Approvals

	Date		Date
a. Branch/Office: Chief, HWPB		d. Property Management Officer/Designee	
b. Division/Office: Director, HWMD		e. Other (Specify)	
c. Funds listed in Block 12 and Block 15 (if any) are available and reserved (Signature of Certifying Official): FCC		f. Other (Specify)	

17. Date of Order
18. Order Number
19. Contract Number (if any): 68-01-8060
20. Discount Terms
21. FOB Point
22. Delivery to FOB Point by On or before (Date)
23. Person Taking Order, Quote and Phone No
24. Contractor (Name, address, ZIP Code)
25. Type of Order: Reference your quote (See block 23)
☐ a. Purchase
Please furnish the above on the terms specified on both sides of this order and the attached sheets, if any, including delivery as indicated.
☐ b. Delivery provisions on the reverse are deleted. This delivery order subject to the terms and conditions of the contract (See Block 19)
c. ☐ Oral ☐ Written ☐ Confirming

26. Schedule

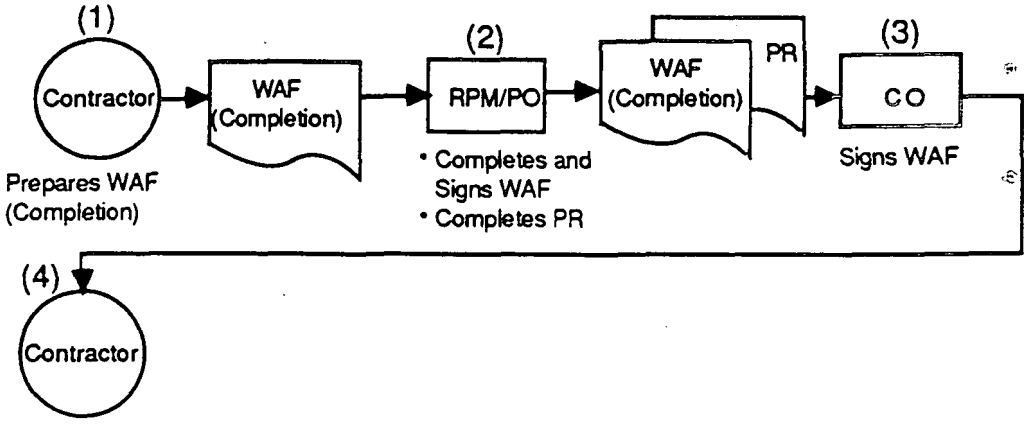
Item Number (a)	Supplies or Services (b)	Quantity Ordered (c)	Unit (d)	Estimated Unit Price (e)	Unit Price (f)	Amount (g)	Quantity Accepted (h)
	Deobligate funding in order to close out work assignment at Blue Mountain Obligated Funds $20,894 Funding This Action (1,089) Total $19,805					(1,089)	
					Total $	(1,089)	

27. United States of America By (Signature)
28. Typed Name and Title of Contracting Officer

EPA Form 1900-8 (Rev. 9-86) Previous editions are obsolete.

COPY 1 — PROCUREMENT FILE/CONTRACTING OFFICER

EXHIBIT 3.21
Close Out Work Assignment – Increase LOE, Decrease Budget



STEPS	ACTIVITIES
1	• Contractor prepares WAF stating that project is complete • Submits WAF and OF-60 to RPM/PO
2	• RPM completes WAF • Increases LOE and decreases budget to match final approved work plan • Signs and submits to PO for signature
3	• CO signs WAF, closing out WA
4	• Contractor prepares WACR and final invoice • Submits to RPM/PO, who in turn complete a WACR

EXHIBIT 3.21 (Cont.)

USEPA — **WORK ASSIGNMENT FORM**

1. WORK ASSIGNMENT INFORMATION

PROJECT NAME: Blue Mountain CONTRACTOR: XYZ INC WORK ASSIGNMENT NO: 026-BL52

ACTIVITY: TA EPA CONTRACT NO.: 68-01-8060 REVISION NO: 6

DATE: 01/28/88 CONTRACTOR CONTROL NO: _____ MODIFICATION NO: 4 (Contracting Officer Use Only)

2. DESCRIPTION OF ACTION

- ☐ NEW WORK ASSIGNMENT
  - Interim SOW, schedule, and LOE
  - Complete SOW, estimated budget and schedule
  - RECURRED APPROVAL
  - EPA REGION/HEADQUARTERS
- ☐ INTERIM AMENDMENT
  - Change in LOE, Scope by task
  - Add additional tasks or funds
- ☐ INCREMENTAL FUNDING
  - EPA REGION/HEADQUARTERS
- ☐ PARTIAL WORK PLAN APPROVAL
- ☐ FINAL WORK PLAN APPROVAL
  - Approved of work plan
  - Add funds
- ☐ AMENDMENT TO FINAL WORK PLAN APPROVAL
  - Change in LOE, scope or budget by task
  - Add additional tasks or funds (include CF 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)
  - Contractor originates
  - Required determination
  - When signed by CO, this constitutes a stop work order
  - CONTRACTOR

3. BUDGET INFORMATION

	TOTAL FUNDING RECEIVED ($) *	INTERIM BUDGET (TECHNICAL LOE)	INTERIM BUDGET ($) *	APPROVED WORK PLAN BUDGET (TECHNICAL LOE)	APPROVED WORK PLAN BUDGET ($) *	EXPENDITURE LIMIT (EL) * (TECHNICAL LOE)	EXPENDITURE LIMIT (EL) * ($) *
CURRENT	20,894			327	20,894	327	20,894
THIS ACTION	(1,089)			12	(1,089)	12	(1,089)
TOTAL	19,805			339	19,805	339	19,805

* Optional - dollar estimate may be included separately in expenditure limit block. EPA estimated LOE hours of entire WA ____

* Includes fees

* Includes fees

* Established by RPM/RPO

4. WA COMPLETION DATE

CURRENT 1/31/88 REVISED _____

5. EPA COMMENTS: Please close out the subject work assignment, send the WACR and final invoice to Lee Smith, increase the LOE by 12 hours and decrease the budget by $1,089 to complete the closeout process.

6. APPROVALS

CONTRACTOR SIGNATURES:

Jim Nance — 1/18/88 (DATE) — SITE MANAGER/PM

George Thomas — PHONE 214/555-3080 — 1/19/88 (DATE) — REGIONAL MANAGER

EPA SIGNATURES:

Lee Smith — 1/28/88 (DATE) — REMEDIAL PROJECT MANAGER

Bill Noll — PHONE 214/555-8700 — 1/29/88 (DATE) — PROJECT OFFICER

☒ APPROVED AS SUBMITTED ☐ APPROVED WITH CHANGES ☐ NOT APPROVED

Bob Stauffer — 2/15/88 (DATE APPROVED) — SIGNATURE OF CONTRACTING OFFICER

CC: EPA Project Officer
PO/RPM
Contractor
EPA Contracting Officer (when only expenditure limit column is used)

UPDATE 11/13/88

ATTACH STATEMENT OF WORK (PER DESCRIPTION OF ACTION)

FINAL CHECKS

1. Total funding received to date goes on the "CURRENT" lines of total funding received and approved work plan budget.
2. Total funding and LOE being added or deobligated go on the "THIS ACTION" lines of "TOTAL FUNDING RECEIVED" and "APPROVED WORK PLAN BUDGET".

EXHIBIT 3.21 (Cont.)

(Shaded areas are for use of procurement office only)

Page of

US Environmental Protection Agency
Washington, DC 20460

EPA Procurement Request/Order

1 Name of Originator: Lee Smith			2 Date of Requisition: 1/28/88
3 Mail Code: SH-500	4 Telephone Number: 214/555-8700		5 Date Item Required: ASAP
6 Signature of Originator: Lee Smith		7 Recommended Procurement Method: ☒ Competitive ☐ Other than full and open competition ☐ Sole source small pur.	
8 Deliver To (Print or Manager): Bill Noll	9 Address: 1201 Elm St., Dallas, TX	10 Mail Code: BA-100	11 Telephone Number: 214/555-9000
12 Financial Data: a Appropriation: 68/20X8145	b Servicing Finance Office Number: 22	NOTE: Item 12(d) Document Type — Contract = "C." Purchase Order = "P"	

FMO Use (c) (13 digits)	D T (d)	Document Control Number (e) (6 digits)	Account Number (f) (10 digits)	Object Class (g) (4 digits)	Amount (h) Dollars	Cents
	C	AR0022	8TFA06MXC6	2535	(1089)	(00)

13 Suggested Source (Name, Address, ZIP Code, Phone/Contact)
XYZ INC
800 Franklin St.
Dallas, TX 75270

14 Amount of money committed is: ☐ Original ☐ Increase ☒ Decrease

15 For Small Purchases Only. Contracting Officer is authorized to exceed the amount shown in Block 12(h) by 10% or $100, whichever is less. ☐ Yes ☐ No

16. Approvals

a Branch/Office: Chief, HWPB	Date	d Property Management Officer/Designee	Date
b Division/Office: Director, HWMD	Date	e Other (Specify)	Date
c Funds listed in Block 12 and Block 15 (if any) are available and reserved (Signature of Certifying Officer): FCC	Date	f Other (Specify)	Date

17 Date of Order	18 Order Number	19 Contract Number (if any): 68-01-8060	20 Discount Terms
21 FOB Point	22 Delivery to FOB Point by On or before (Date):	23 Person Taking Order, Quote and Phone No	

24 Contractor (Name, address, ZIP Code)

25 Type of Order — Reference your quote (See Block 23)
☐ a Purchase
Please furnish the above on the terms specified on both sides of this order and on the attached sheets, if any, including delivery as indicated.
☐ b Delivery provisions on the reverse are deleted. This delivery order is subject to the terms and conditions of the contract (See Block 19).
c ☐ Oral ☐ Written ☐ Confirming

26. Schedule

Item Number (a)	Supplies or Services (b)	Quantity Ordered (c)	Unit (d)	Estimated Unit Price (e)	Unit Price (f)	Amount (g)	Quantity Accepted (h)
	Deobligate funding in order to close out work assignment at Blue Mountain Obligated Funds $20,894 Funding This Action (1,089) Total $19,805					(1,089)	
					Total $	(1,089)	

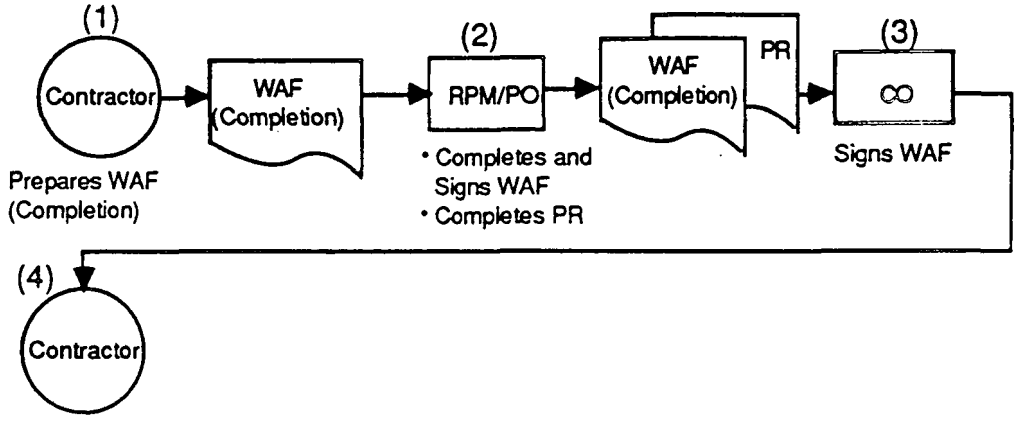
27. United States of America By (Signature)

28. Typed Name and Title of Contracting Officer

EPA Form 1900-8 (Rev. 9-88) Previous editions are obsolete

COPY 1 — PROCUREMENT FILE/CONTRACTING OFFICER

EXHIBIT 3.22
Close Out Work Assignment – Decrease LOE, Increase Budget



STEPS	ACTIVITIES
1	• Contractor prepares WAF stating that project is complete • Submits WAF and OF-60 to RPM/PO
2	• RPM completes WAF • Decreases LOE and Increases budget to match final approved work plan • Signs and submits to PO for signature
3	• CO signs WAF, closing out WA
4	• Contractor prepares WACR and final invoice • Submits to RPM/PO, who in turn complete a WACR

EXHIBIT 3.22 (Cont.)

USEPA — **WORK ASSIGNMENT FORM**

1. WORK ASSIGNMENT INFORMATION

PROJECT NAME: Blue Mountain CONTRACTOR: XYZ INC. WORK ASSIGNMENT NO: 026-8L49

ACTIVITY: TA EPA CONTRACT NO.: 68-01-8060 REVISION NO: 15

DATE: 01/24/88 CONTRACTOR CONTROL NO: _____ MODIFICATION NO: 60 (Contracting Officer Use Only)

2. DESCRIPTION OF ACTION

- ☐ NEW WORK ASSIGNMENT
  - Interim SOW, schedule, and LOE
  - Complete SOW, estimated budget and schedule
  - REQUIRED APPROVAL: EPA REGION/HEADQUARTERS
- ☐ INTERIM AMENDMENT
  - Change in LOE, Scope by task
  - Add additional tasks or funds
- ☐ INCREMENTAL FUNDING: EPA REGION/HEADQUARTERS
- ☐ PARTIAL WORK PLAN APPROVAL
- ☐ FINAL WORK PLAN APPROVAL
  - Approved of 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 limit
  - 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)
  - Contractor originates
  - Regional determination
  - When signed by CO, this concludes a step work order — CONTRACTOR

3. BUDGET INFORMATION

	TOTAL FUNDING RECEIVED ($) *	INTERIM BUDGET (TECHNICAL LOE)	INTERIM BUDGET ($) *	APPROVED WORK PLAN BUDGET (TECHNICAL LOE)	APPROVED WORK PLAN BUDGET ($) *	EXPENDITURE LIMIT (EL) * (TECHNICAL LOE)	EXPENDITURE LIMIT (EL) * ($) *
CURRENT	20,894			327	20,894	327	20,894
THIS ACTION	1,089			(12)	1,089	(12)	1,089
TOTAL	21,983			315	21,983	315	21,983

* Optional - dollar estimates may be tracked separately in expenditure limit block. EPA estimated LOE hours of entire WA ____

* Includes fees

* Includes fees

* Established by RPM/RPO

4. WA COMPLETION DATE

CURRENT 1/31/88 REVISED _____

5. EPA COMMENTS: Please close out the subject work assignment, send the WACR and final invoice to Lee Smith, decrease the LOE by 12 hours and increase the budget by $1,089 to complete the closeout process.

6. APPROVALS

CONTRACTOR SIGNATURES:

Jim Nance — SITE MANAGER PM — DATE 1/15/88

George Thomas — REGIONAL MANAGER PM — PHONE 24/555-3080 — DATE 1/15/88

EPA SIGNATURES:

Lee Smith — REMEDIAL PROJECT MANAGER — DATE 1/24/88

Bill Noll — PROJECT OFFICER — PHONE 24/555-8800 — DATE 1/24/88

☒ APPROVED AS SUBMITTED ☐ APPROVED WITH CHANGES ☐ NOT APPROVED

Bob Stauffer — SIGNATURE OF CONTRACTING OFFICER — DATE APPROVED 2/4/88

CC: EPA Project Officer
PO/RPM
Contractor
EPA Contracting Officer (when only expenditure limit column is used)

UPDATE 11/1/88

ATTACH STATEMENT OF WORK (PER DESCRIPTION OF ACTION)

FINAL CHECKS

1. Total funding received to date goes on the "CURRENT" lines of total funding received and approved work plan budget.
2. Total funding and LOE being added or deobligated go on the "THIS ACTION" lines of "TOTAL FUNDING RECEIVED" and "APPROVED WORK PLAN BUDGET".

EXHIBIT 3.22 (Cont.)

(Shaded areas are for use of procurement office only)

Page of

US Environmental Protection Agency
Washington, DC 20460

EPA Procurement Request/Order

1 Name of Originator: Lee Smith
2 Date of Requisition: 1/24/88
3 Mail Code: SH-500
4 Telephone Number: 214/555-8700
5 Date Item Required: ASAP
6 Signature of Originator: Lee Smith
7 Recommended Procurement Method: ☒ Competitive ☐ Other than full and open competition ☐ Sole source small purchase
8 Deliver To (Project Manager): Bill Noll
9 Address: 1201 Elm St., Dallas, TX
10 Mail Code: BA-100
11 Telephone Number: 214/555-9000
12 Financial Data
a Appropriation: 68/20X8145
b Servicing Finance Office Number: 22
NOTE: Item 12(d) Document Type — Contract = "C." Purchase Order = "P."

FMO Use (c)(13 digits)	D T (d)	Document Control Number (e)(6 digits)	Account Number (f)(10 digits)	Object Class (g)(4 digits)	Amount (h) Dollars	Cents
	C	AH0022	8TFA06MKC6	2525	1,089	00

13 Suggested Source (Name, Address, ZIP Code, Phone/Contact)
XYZ INC
800 Franklin St.
Dallas, TX 75270

14 Amount of money committed is: ☐ Original ☒ Increase ☐ Decrease

15 For Small Purchases Only: Contracting Office is authorized to exceed the amount shown in Block 12(h) by 10% or $100, whichever is less. ☐ Yes ☐ No

16. Approvals

a Branch/Office: Chief, HWPB — Date
b Division/Office: Director, HWMD — Date
c Funds listed in Block 12 and Block 15 (if any) are available and reserved (Signature of Certifying Official): FCC — Date
d Property Management Officer/Designee — Date
e Other (Specify) — Date
f Other (Specify) — Date

17 Date of Order
18 Order Number
19 Contract Number (if any): 68-01-8060
20 Discount Terms
21 FOB Point
22 Delivery to FOB Point by On or before (Date)
23 Person Taking Order, Quote and Phone No
24 Contractor (Name, address, ZIP Code)
25 Type of Order: Reference your quote (See block 23)
☐ a Purchase
Please furnish the above on the terms specified on both sides of this order and on the attached sheets, if any, including delivery as indicated.
☐ b Delivery provisions on the reverse are deleted. The delivery [illegible] subject to the terms and conditions of the contract (See Block [illegible])
c ☐ Oral ☐ Written ☐ Confirming

26. Schedule

Item Number (a)	Supplies or Services (b)	Quantity Ordered (c)	Unit (d)	Estimated Unit Price (e)	Unit Price (f)	Amount (g)	Quantity Accepted (h)
	Increase funding in order to close out work assignment at Blue Mountain Obligated Funds $20,894 Funding This Action 1,089 Total $21,893					1,089	
					Total $	1,089	

27. United States of America By (Signature)
28. Typed Name and Title of Contracting Officer

EPA Form 1900-8 (Rev. 9-88) Previous editions are obsolete

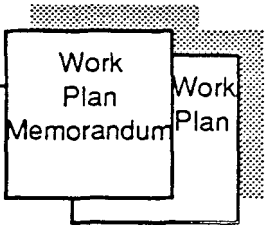
COPY 1 – PROCUREMENT FILE/CONTRACTING OFFICER

CHAPTER 4

WORK PLAN REVIEW AND APPROVAL

Chapter 4

WORK PLAN REVIEW AND APPROVAL

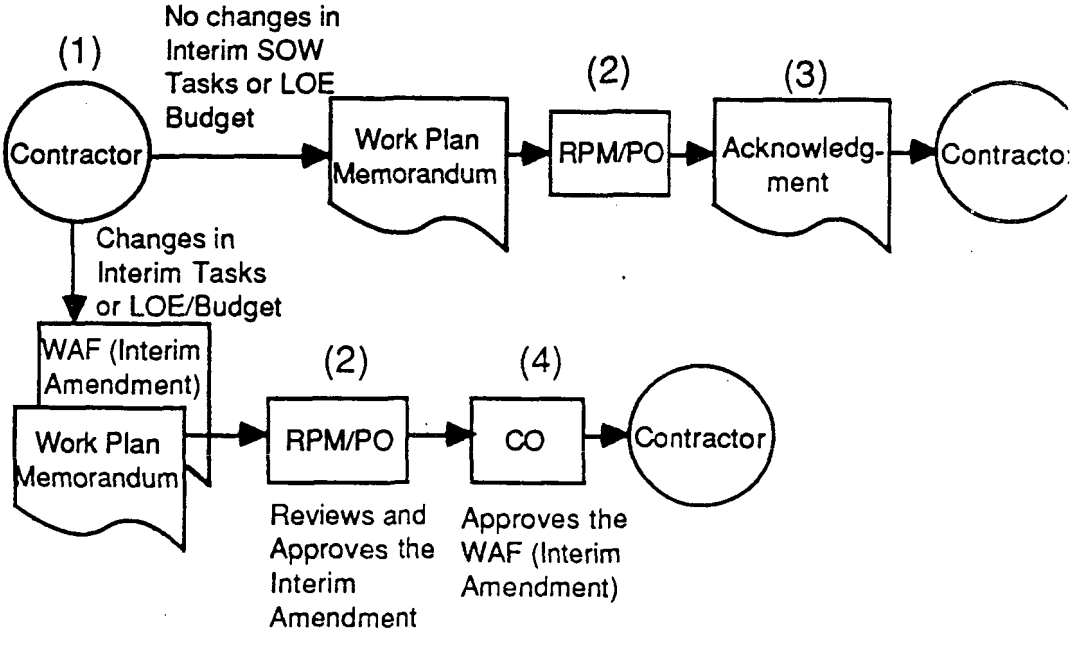


Two Different Plans To Review And Approve

1. Work Plan Memorandum*: Five to six page document submitted by the contractor to the RPM within 15 days of receiving the work assignment specifying the approach, LOE, budget and schedule for completing interim tasks in the SOW

2. Complete Work Plan: Document submitted by the contractor to the RPM within 30 days of receiving the work assignment specifying the approach, LOE, budget and schedule for completing all the remaining tasks in the SOW

WORK PLAN MEMORANDUM



*The Work Plan Memorandum is not used in all Regions and is, therefore, a Region-specific requirement.

Work Plan Memorandum

WORK PLAN REVIEW AND APPROVAL (cont'd)

STEPS	ACTIVITIES
1	• Contractor prepares Work Plan Memorandum (WPM), which describes approach to accomplishing interim tasks in the SOW and presents LOE/budget estimates and deliverables schedule for interim tasks • Submits WPM to RPM/PO for review and approval • If a modification is needed (e.g., change in scope, LOE/budget, or schedule), contractor also prepares a revised WAF (Interim Amendment) • Submits revised WAF (Interim Amendment) along with WPM to RPM/PO for review and approval
Note:	**(RPM should work closely with the contractor in preparing the WPM to make sure it is completed within 15 days of receiving the WA and to answer any questions the contractor may have)**
2	• RPM/PO review and approve WPM (and revised WAF Interim Amendment, if submitted)
Notes:	**(Details on "how to" review the WPM are covered in the ARCS Contracts Users' Manual, Appendix IV, pages IV-25 to 28.)** **(A procurement request is required if a WAF Interim Amendment has been submitted that changes the budget)** **(Review and approval of WPM should take no more than 5 work days)**

STEPS	ACTIVITIES
3	• If only WPM has been submitted, RPM/PO acknowledges receipt of WPM from contractor in writing and submits to CO for final approval • If WAF (Interim Amendment) is submitted with the WPM, RPM/PO completes the WAF (no need to acknowledge receipt of WPM) • Submits WPM and WAF (Interim Amendment) to CO for review and approval
4	• CO reviews and approves the WPM and WAF (Interim Amendment)
Note:	**(Instructions on "how to" complete the WAF Interim Amendment are located in Appendix IV, page IV-15 of the ARCS Contracts Users' Manual)**

WPM Review Tips*

- Make sure the WPM addresses each interim task in the SOW
- Note any discrepancies & discuss with contractor Site Manager

- Make sure LOE/budget do not vary substantially from those authorized in SOW
- If they vary by 50% or more, discuss & resolve differences with contractor Site Manager

- Make sure schedule matches that in the SOW
- Note any discrepancies & discuss with Site Manager

WORK PLAN MEMORANDUM

1. Scope of Work for Interim Tasks

2. LOE/Budget Estimates for Interim Tasks

3. Schedule of Deliverables for Interim Tasks

- Determine acceptability of contractor's approach
- Note any desired changes to the scope & discuss with contractor Site Manager

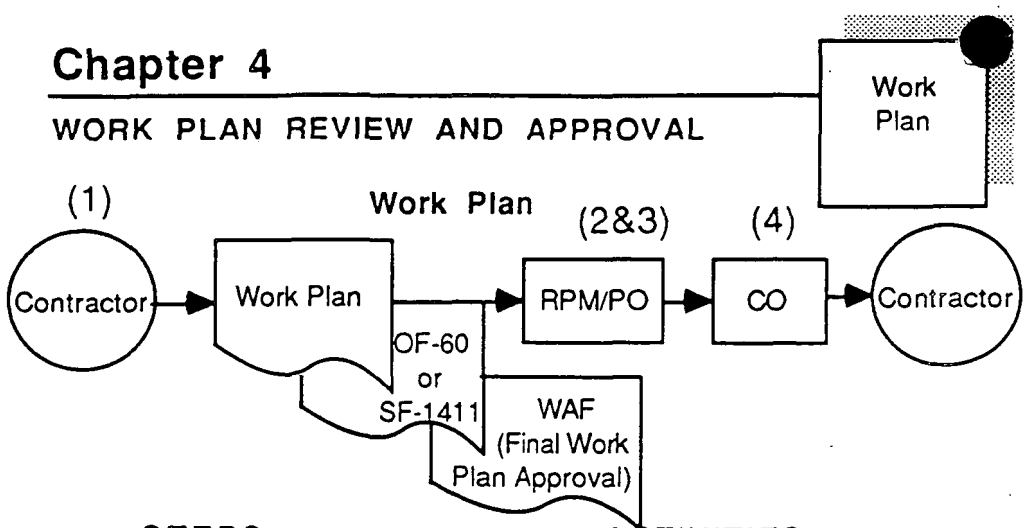
- Is the proposed amount of LOE/budget reasonable and appropriate for accomplishing the interim tasks?
- Is the labor mix (P-levels) reasonable & appropriate?

- Is the schedule for completing interim tasks appropriate?
- Note your desired changes to schedule & discuss with Site Manager

* The RPM should maintain on file all documentation related to WPM review

Chapter 4

WORK PLAN REVIEW AND APPROVAL



STEPS	ACTIVITIES
1	• Contractor prepares work plan including an OF-60 or an SF-1411 and a WAF (Final Work Plan Approval) • Submits to the RPM/PO for review and approval
Notes:	**(RPM should stay in contact with the Site Manager during work plan development to answer questions and resolve issues that arise)**
2	• RPM reviews work plan from the standpoint of technical quality, budget and schedule • Signs the WAF • Submits to PO for review and signature
Notes:	**(Details an "how to" review the work plan can be found in the ARCS Contracts Users' Manual, Appendix IV, pgs. IV-25 to 28)** **(Be sure that the total funding specified in the plan is within that of the original PR)**
3	• PO reviews work plan and signs WAF • Submits copy to CO
4	• CO reviews Work Plan, focusing on cost issues • If necessary, conducts cost negotiations with contractor • Signs WAF • Submits WAF to Contractor

Tips for Reviewing Technical Quality of Work Plans

SOW	Work Plan
Task 1 – Conduct Site Investigation	Task 1 – Conduct Site Investigation
Task 2 – Analyze SI Data	Task 2 – Analyze SI Data
Task 3 – Conduct Literature Search	Task 3 – Conduct Literature Search
Task 4 – Prepare Testing Plan	Task 4 – Prepare Testing Plan

1. Compare the tasks in the Work Plan with those in the SOW and note any discrepancies

2. Review the methodology for accomplishing each task and assess its adequacy and effectiveness
   - Proposed sampling plans for water, soil and air
   - Spacing and depth of soil borings and monitor wells
   - Types of analyses proposed
   - Use of bench and pilot scale studies
   - QA/QC plan

3. Note any desired changes to the technical approach and discuss with the contractor Site Manager

Tips for Reviewing Work Plan LOE and Budget

SOW

The following is a suggested skills mix for this Work Assignment:

Director	(P-4)	300 hrs.
Researcher	(P-3)	800 hrs.
Assistant	(P-2)	250 hrs.
Writer	(P-2)	150 hrs.
		1,500 hrs.

Work Plan

Labor:

Title	Level	Hrs	Cost
Director	P-4	400	10,000
Engineer	P-4	100	3,000
Researcher	P-3	1,000	20,000
Assistant	P-2	400	6,000
		1,900	39,000
Overhead			45,000
ODCs Travel			1,0[illegible]
G&A			15,000
Fee			7,000
Total			107,000

1. Compare the LOE in the Work Plan with that in the SOW; if there is a significant difference, does the proposed LOE seem appropriate and reasonable?

2. Compare the staffing mix in the Work Plan with the effort required in the SOW; is it appropriate and reasonable?
   - Are key personnel qualified?
   - Are they over-qualified for the task?

3. Is the proposed amount of travel reasonable and in accord with the SOW requirements?

4. Are ODCs broken down? Is each component reasonable?

Tips for Reviewing Work Plan Schedule

SOW

Tasks	Due Date
1. Work Plan	12/15
2. Lit. Search	1/15
3. Draft Report	2/10
4. Final Report	3/15

Work Plan

Tasks	Due Date
1. Work Plan	12/15
2. Lit. Search	1/15
3. Draft Report	2/10
4. Final Report	3/15

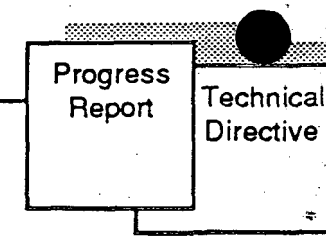
1. Compare the due dates in the Work Plan with those in the SOW and note any discrepancies
2. If differences exist, are they justified? Is the proposed schedule appropriate/too generous/too ambitious?
3. Do task durations seem reasonable?
4. Do resource conflicts exist?
5. Does the sequence of tasks seem appropriate?
6. Are events scheduled in appropriate seasons?

CHAPTER 5

OVERSIGHT AND TECHNICAL DIRECTION

Chapter 5

OVERSIGHT AND TECHNICAL DIRECTION



Definition

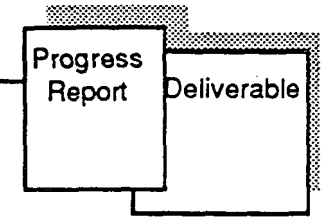
- Oversight is monitoring of the work assignment's technical and financial progress.
- Technical Direction is guidance from the RPM to the contractor that is intended to assist the contractor in accomplishing the SOW.

Oversight Methods

- Review reports and deliverables
- Communicate frequently with the contractor
  - Meetings
  - Telephone
- Visit the site
- Conduct evaluation of contractor performance

References

- **Additional detailed information on "how to" conduct work assignment oversight can be found in the ARCS Contracts Users' Manual, Appendix IV, pages IV-29 to 34.**



Tips for Reviewing Progress Reports

Technical

- Technical work performed by WA vs. planned work
- Meetings held between the contractor and EPA
- Deliverables submitted
- Dates deliverables submitted (actual vs. planned)

- Compare planned dates of deliverables with actual dates
- Note any discrepancies and inform contractor Site Manager

- Make sure that what is stated in the report was actually performed
- Note any problems and resolve with contractor Site Manager

- Compare work that was performed with work that was planned
- Note any descrepancies and inform Site Manager

- Review problems that are stated in the report and assess their impact on WA progress
- Note any impacts and discuss with Site Manager

Financial

- Work hours proposed vs. actual estimated to completion
- Funds budgeted vs. actual (period vs. cumulative) vs. estimated to completion (by task) and variance
- Cost per hour
- Summary of travel (budgeted vs. actual)
- Summary of ODCs (budgeted vs. actual), description & breakdown
- Subcontract costs (by subcontractor-budgeted vs. actual)

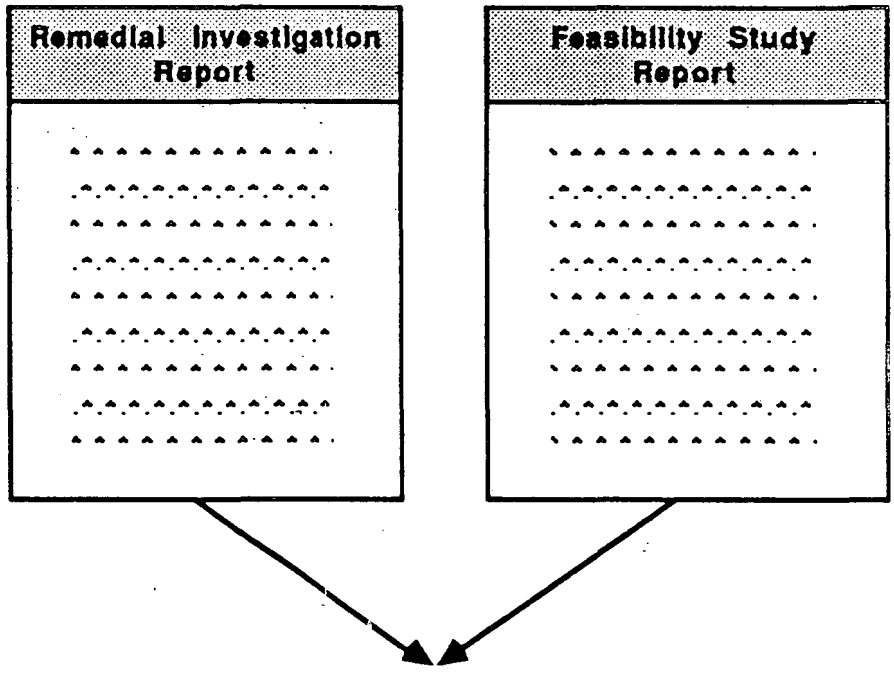
- Compare estimated vs. actual costs
- Note any discrepancies and resolve with contractor Site Manager

- Check hours charged by P-Level to make sure they are reasonable for the work performed during the month

- Check percentage of work completed with budget remaining to complete the job
- Note any problems and discuss with Site Manager

- Check to make sure that costs incurred are reflective of work performed
- Note any problems

Tips on Reviewing Deliverables



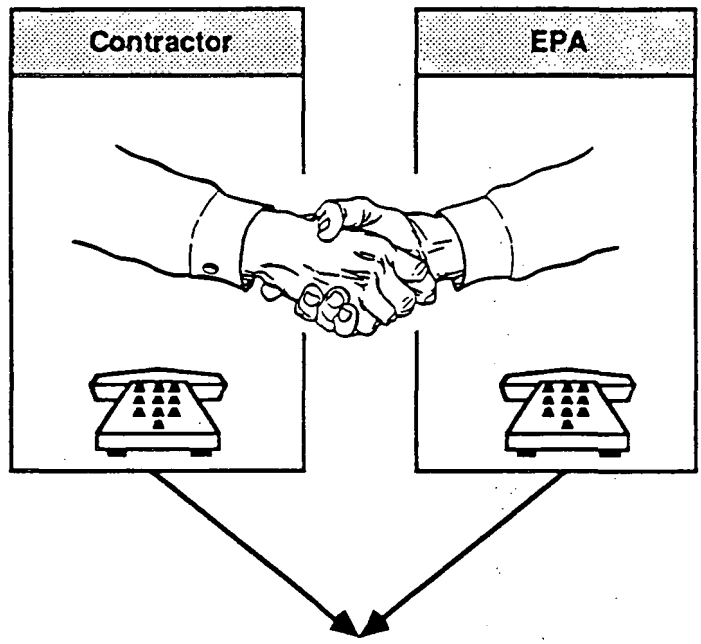
1. Do the deliverables meet the requirements that were established in the SOW?

2. Is the content complete?
   Is it accurate, including quantitative data?
   Is it clear and understandable?

3. Is the statistical analysis correct?
   Does it make sense?
   Does it support the conclusion?

4. Are the deliverables submitted on time per the requirements in the SOW?

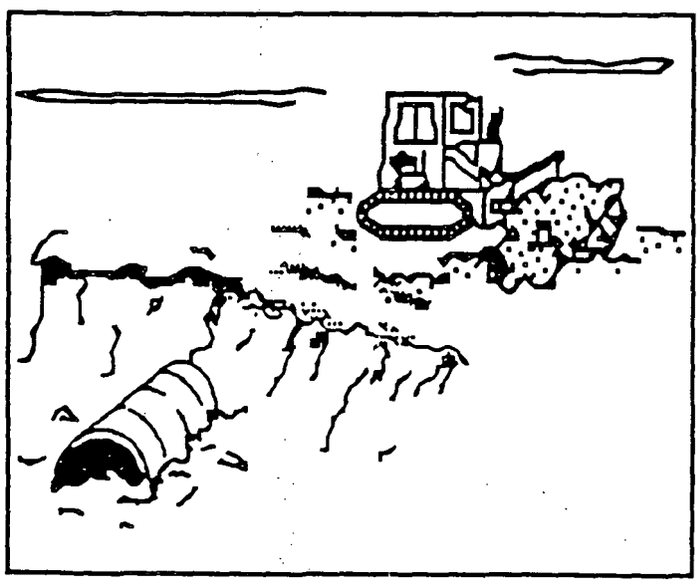
Tips for Communicating with the Contractor



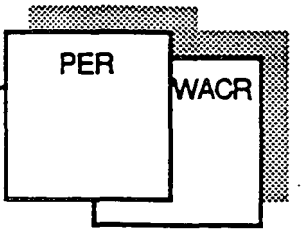
1. Establish a routine for communication with the contractor
2. Check for changing circumstances
3. Check for mutual understanding of progress

SITE VISIT

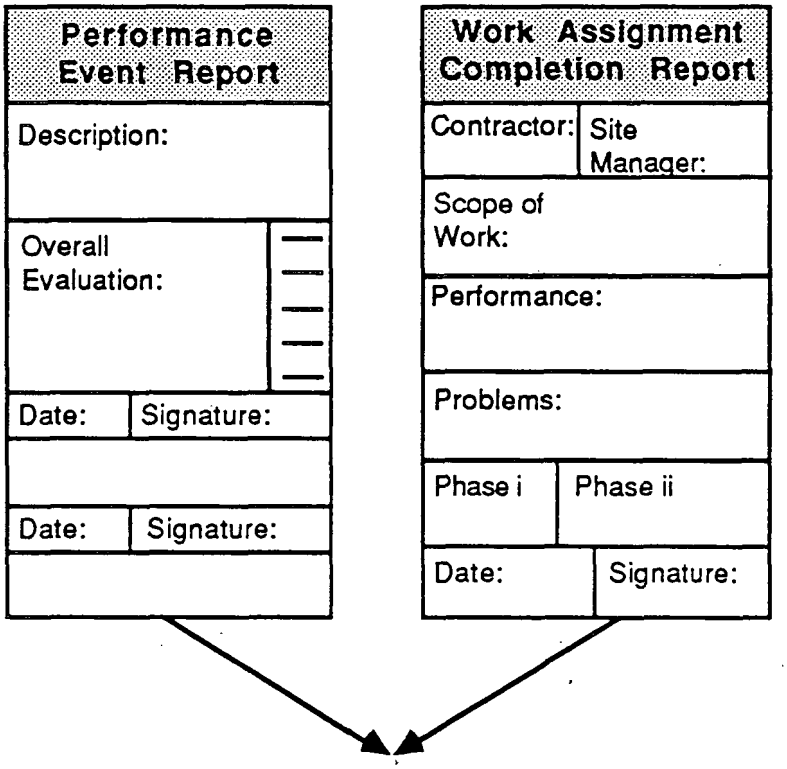
Tips on What To Inspect



1. Adherence to schedules
2. Activities completed
3. Assignment of personnel
4. Use of facilities
5. Use of equipment
6. Financial records



Tips on Evaluating Contractor Performance



1. Provide sufficient detail and explanation of the contractor performance to support the evaluation rating given

2. Use examples of meritorious or deficient performance to document "high" and "low" ratings

3. Provide sufficient detail regarding the quality of the contractor's performance

Technical Direction Guidelines

- Refrain from discussing or divulging to the contractor any information relevant to a work assignment prior to issuance
- Never authorize work to begin before issuance of a work assignment
- Do not give direction that will affect the terms and conditions, cost, LOE, or schedule of the assignment
- Do not direct the contractor to perform services "inherently governmental" in nature (e.g., making policy)
- Beware of creating an employer/employee relationship

Personal Services Are Illegal

- A personal services contract results when the Governent assumes the right to instruct, supervise or control a contractor's employee in how that employee performs the work
- It is the contractor's right to hire and fire, to assign and organize the work
- RPMs must take care not to cross the line from surveillance to supervision
- The RPM can tell the contractor "what" but not "how"

Technical Direction Must Not:

- Institute additional work outside the work assignment scope
- Constitute a change in the work assignment
- Increase or decrease estimated cost of the work assignment
- Alter period of performance

The RPM Must:

- NEVER direct that any portion of work should be performed by subcontrator rather than prime contractor
- NEVER direct prime to subcontract with a specific firm
- NEVER consent to a subcontract -- only the Contracting Officer can give consent
- NEVER provide technical direction to a subcontractor
- Issue direction IN WRITING, OR must CONFIRM verbal direction given IN WRITING WITHIN FIVE CALENDAR DAYS

Additional Information:

- **Details on "how to" provide technical direction to ARCS contractors can be found in the ARCS Contracts Users' Manual, Appendix IV, pages IV-35 to 37.**

CHAPTER 6

CONTRACTOR PERFORMANCE EVALUATION

Chapter 6

CONTRACTOR PERFORMANCE EVALUATION

Award Fee Plan

- Financial incentives are provided to ARCS contractors through the Cost-Plus-Award-Fee (CPAF) Plan, which is used to compensate the contractor with an "award fee" based on an assessment of technical and program management performance.

- A flow chart depicting the ARCS award fee process is shown on page 6-3.

RPM Responsibilities

- RPMs are responsible for evaluating contractor performance each trimester by completing the forms shown on pages 6-4 to 6-9.

- In completing these evaluation forms, the RPMs should ensure that:

  - Sufficient detail is provided to justify the ratings provided
  - The ratings provided are commensurate with the ratings justification provided

Evaluation Criteria *and Ratings*

- The evaluation criteria used to assess contractor performance consist of:

  - Project planning including the development of work plans, project cost estimates and schedules, and screening for organizational conflicts of interest

Chapter 6

CONTRACTOR PERFORMANCE EVALUATION (Cont'd)

Evaluation Criteria and Ratings (Cont'd)

- Technical competence and innovation including effectiveness of analyses, accomplishment of objectives, adherence to regulations and procedures, ingenuity and creativeness of approach, and support to other organizations

- Schedule and cost control including ability to minimize costs, maintain planned budgets and schedules, and adjust priorities or schedules

- Reporting including timeliness, thoroughness, and clarity of deliverables

- Resource utilization including the ability to efficiently obtain and assign staff, subcontractors, and equipment

- Effort including contractor responsiveness, the ability to mobilize staff and equipment in a timely manner, and effective day-to-day project management

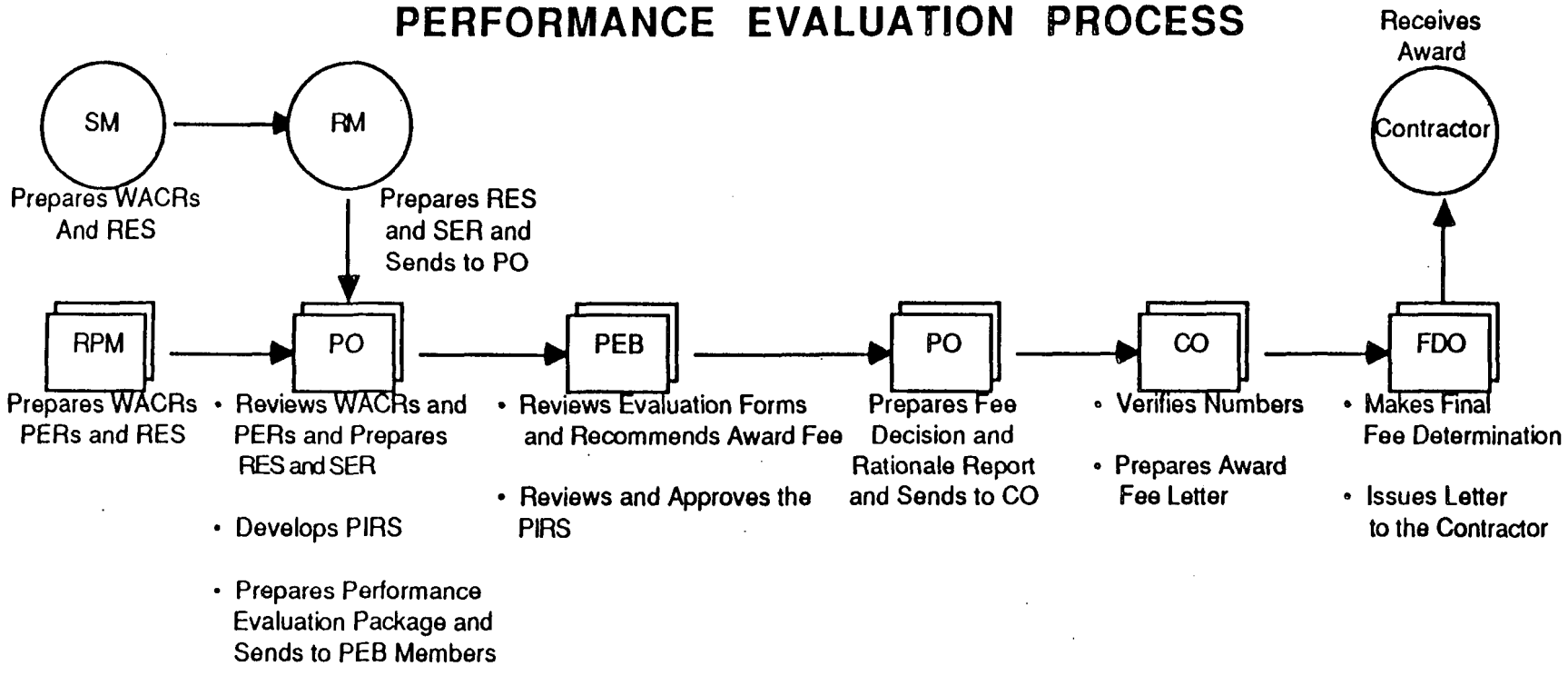
Each of the following criteria is rated according to the following scale:

"5" - Outstanding
"4" - Exceeded Expectations
"3"- Satisfactory
"2" - Marginal
"1" - Unsatisfactory

Additional Information

Additional details on the award-fee process, including information on evaluation criteria and rating guidelines, can be found in the ARCS Contracts Users' Manual, Chapter 3, pages 3-1 to 3-25.

PERFORMANCE EVALUATION PROCESS



KEY: SM = Site Manager (Contractor)
RM = Regional Manager (Contractor)
RPM = Remedial Project Manager
PEB = Performance Evaluation Board
PO = Project Officer
CO = Contracting Officer
FDO = Fee Determination Official
PIRS = Performance Index Rating Score
WACR = Work Assignment Completion Report
RES = Regional Evaluation Summary
PER = Performance Event Report
SER = Summary Evaluation Report

EXHIBIT 6.1
Hypothetical Example of Completed Performance Event Report

AWARD FEE PERFORMANCE EVENT REPORT
PART I: EVENT DESCRIPTION AND OVERALL EVALUATION

CONTRACT NO.	CONTRACTOR	WA NO.
68-01-8060	XYZ INC.	131-9L78

DATES OF REPORTED EVENT:	NO. OF HOURS THIS PERIOD	COSTS THIS PERIOD
FROM: 1/1/87 TO: 4/30/87	1,000	$100,000

CONTRACTOR CONTACT	PHONE NO.	RPM	PHONE NO.
Bill Jones	(415) 555-7300	Mary Doe	(415) 555-6565

DESCRIPTION OF PERFORMANCE EVENT The contractor conducted the first phase of an RI including an initial site visit, a soil-gas survey, ambient air sampling, and shallow-soil sampling. The focus of these activities was the ABC site, a former disposal area for over 2,000 drums of waste solvents and paint sludges.

OVERALL PERFORMANCE EVALUATION The contractor misjudged the amount of time that would be required to conduct all the activities associated with the first phase of the RI. The air and soil samplings took twice as long to complete than expected, resulting in costs that were $40,000 over the planned amount. This was due largely to a miscalculation on the part of the contractor as to the complexity of conditions at the site, which should have been ascertained during the initial site visit. In addition, the contractor assigned inexperienced personnel to the site, and this contributed to the unnecessary delays in completing the air and soil sampling.

PROJECT PLANNING	2
TECHNICAL COMPETENCE & INNOVATION	2
SCHEDULE & COST CONTROL	2
REPORTING	2
RESOURCE UTILIZATION	2
EFFORT	2

DATE	RPM SIGNATURE	OVERALL RATING

PO ASSESSMENT & CERTIFICATION

I agree with the RPM's assessment and recommend that in the future the contractor be more meticulous and comprehensive in its initial site inspection and assessment as well as its assignment of appropriate and experienced personnel to complete the job on time and within budget.

DATE	PO SIGNATURE	RATING

EXHIBIT 6.1 (CONT.)
Hypothetical Example of Completed Performance Event Report

AWARD FEE PERFORMANCE EVENT REPORT
PART II: EVALUATION CRITERIA SCORE SHEET

CONTRACT NO.	CONTRACTOR	WA NO.
68-01-8060	XYZ INC.	131-9178

PERFORMANCE CRITERIA	RATING	SUPPORTING COMMENTS
PROJECT PLANNING • ORGANIZING (E.G., WORK PLAN DEVELOPMENT, DATA REVIEW) • SCHEDULING • BUDGETING	___5 ___4 ___3 ___2 x 1	The contractor failed to accurately assess the difficult nature and complexity of site conditions during the initial site visit, resulting in a considerable miscalculation in the amount of time and money and in the type of staff needed to do the job.
TECHNICAL COMPETENCE & INNOVATION • EFFECTIVENESS OF ANALYSES • MEET PLAN GOALS • SUPPORT COE, STATE; ENFORC. • ADHERE TO REGS. & PROCEDURES • APPROACH CREATIVITY/INGENUITY • EXPERT TESTIMONY	___5 ___4 ___3 x 2 ___1	Some of the air and soil samples had to be repeated due to the assignment of inexperienced personnel to a relatively complicated job.
SCHEDULE & COST CONTROL • BUDGET (HOURS & COST) MAINT. • PRIORITY/SCHEDULE ADJUSTMENTS • COST MINIMIZATION	___5 ___4 ___3 ___2 x 1	The planned budget and schedule were not met due to a poor project planning and management effort. Actual costs exceeded planned costs by more than $40,000; the job took two months longer than plan
REPORTING • TIMELINESS OF DELIVERABLES • CLARITY • THOROUGHNESS	___5 ___4 ___3 x 2 ___1	The report on the Phase I RI was two months late due to inexperienced contractor staff and to delays in completing field sampling.
RESOURCE UTILIZATION • STAFFING • SUBCONTRACTING • EQUIPMENT, TRAVEL, ETC.	___5 ___4 ___3 ___2 x 1	The contractor assigned inexperienced and inappropriate staff to do the sampling at a relatively complex site. As a result, samples had to be repeated, and reports had to be rewritten.
EFFORT • RESPONSIVENESS • MOBILIZATION • DAY-TO-DAY • SPECIAL SITUATIONS (E.G., ADVERSE/ DANGEROUS CONDITIONS)	___5 ___4 ___3 ___2 x 1	Although the contractor mobilized its initial staff on time, these staff eventually had to be replaced because of their inexperience. Mobilizing other more experienced staff was a problem for the contractor and was not achieved until eight weeks into the project.

EXHIBIT 6.2
Hypothetical Example of Completed Work Assignment Completion Report

EPA WORK ASSIGNMENT COMPLETION REPORT (WACR)

CONTRACT NO.	WORK ASSIGNMENT NO.	EPA REGION
68-01-8060	08-7L37	VII

CONTRACTOR/SUBCONTRACTOR(S)

ABC INC.
352 Glenview Drive
Kansas City, MO 66101

CONTRACTOR SITE MANAGER *(Name and Phone No.)*
Jim Smith (913) 555-3333

RPM *(Name and Phone No.)*
Jim Jones (913) 555-8110

WORK LOCATION *(Site Name & State)*
XYZ Co. St. Louis, MO

BRIEFLY DESCRIBE SCOPE OF WORK:

Conduct an RI/FS to assess the level and distribution of contamination and evaluate appropriate remedial measures to mitigate the onsite and offsite contamination at the XYZ Oil Company Site. Conduct the RI/FS in three phases: 1) Preliminary RI activities; 2) Site RI activities; and 3) Feasibility Study.

DESCRIBE CONTRACTOR'S PERFORMANCE: Overall performance on this assignment was excellent. A noteworthy example of this excellent performance occurred during the collection of hazardous waste samples at the site. The contractor demonstrated excellent versatility in revising a sampling program on very short notice. This was caused by difficulties in negotiations between the responsible party and the State, which resulted in a delay in schedule. The contractor quickly and effectively revised field techniques and procedures and was able to complete a thorough investigation within the time frame imposed. Total costs for completing the RI/FS were under budget by $20,000 and ahead of schedule by 3 weeks.

UNUSUAL PROBLEMS/OCCURRENCES AFFECTING CONTRACTOR'S PERFORMANCE:

Although the RI/FS was completed ahead of schedule, there was a problem initially that caused a two-week delay. The subcontractor originally selected to conduct field sampling was identified as having a potential conflict of interest. A continuing delay was quickly averted by selecting another, equally capable firm to complete the sampling.

PHASE I AVAILABLE	PHASE I PAID	PHASE II AVAILABLE	PHASE II AWARD RECOMMENDED?
$5,000	$5,000	$4,500	☒ YES RECOMMENDED SIZE: 90 % (0-100%) ☐ NO

STATE SPECIFIC REASONS FOR RECOMMENDATION FOR PHASE II AWARD:
(Additional pages may be attached if necessary)

Contractor exceeded planned performance on every evaluation criterion. Subcontractor performance was also excellent. Project site manager has done an excellent job in managing the team. The composition and responsiveness of the team have proven to be consistently good throughout the period. The contractor has identified additional analyses that were not required by the WA but were very helpful in identifying and evaluating unknown contaminants. Reports have been top-quality and have exceeded expectations.

RPM	PO
Signature & Date	*Signature & Date*

Note: Details on determination of Phase I and Phase II award fee available can be found in the ARCS Contracts Users' Manual, Chapter 3, pages 3-10 to 3-24.

EXHIBIT 6.2 (CONT.)
Hypothetical Example of Completed Work Assignment Completion Report

EPA WORK ASSIGNMENT COMPLETION REPORT (WACR)
PART II: PROJECT SCHEDULE AND COST INFORMATION WORKSHEET

CONTRACT NO.	WORK ASSIGNMENT NO.	EPA REGION
68-01-8060	08-7L37	VII

APPROVED WORK PLAN AND WA AMENDEMENT DATES	LOE & EXPENSE COST	SUBCON-TRACTING POOL COST	TOTAL PLANNED COST	PLANNED COMPLETION DATE	ACTUAL COMPLETION DATE
6/24/88 WORK PLAN APPROVAL DATE	$75,000	$20,000	$95,000	12/15/88	
7/18/88 Amendment 1	$10,000	$ 5,000	$15,000	12/15/88	
8/10/88 Amendment 2	$15,000	$10,000	$25,000	12/15/88	11/23/88
Amendment 3					
TOTAL PLANNED COST	$100,000	$35,000	$135,000		
TOTAL ACTUAL COST	$ 83,000	$32,000	$115,000		
VARIANCE	$ 17,000	$ 3,000	$ 20,000		

EXHIBIT 6.2 (CONT.)
Hypothetical Example of Completed Work Assignment Completion Report

EPA WORK ASSIGNMENT COMPLETION REPORT (WACR)
PART III: PERFORMANCE CRITERIA RATING WORKSHEET

CONTRACT NO.	WORK ASSIGNMENT NO.	EPA REGION
68-01-8060	08-7L37	VII

PERFORMANCE CRITERIA	RATING	SUPPORTING COMMENTS
PROJECT PLANNING • ORGANIZING (E.G., WORK PLAN DEVELOPMENT, DATA REVIEW) • SCHEDULING • BUDGETING	x 5 4 3 2 1	Work plan was detailed, thorough and comprehensive and proposed innovative and cost conscientious strategies for completing the RI/FS. Scheduling was enhanced by use of PERT and CPM, which resulted in completion of job three weeks earlier than planned.
TECHNICAL COMPETENCE & INNOVATION • EFFECTIVENESS OF ANALYSES • MEET PLAN GOALS • SUPPORT COE, STATE, ENFORC. • ADHERE TO REGS. & PROCEDURES • APPROACH CREATIVITY/INGENUITY • EXPERT TESTIMONY	x 5 4 3 2 1	Sampling techniques used were innovative and effective. This helped to expedite completion of field work two weeks early and produced a complete and thorough investigation. Also, this resulted in identification and evaluation of unknown and unexpected chemicals at the site.
SCHEDULE & COST CONTROL • BUDGET (HOURS & COST) MAINT. • PRIORITY/SCHEDULE ADJUSTMENTS • COST MINIMIZATION	x 5 4 3 2 1	Contractor's extra efforts resulted in a $20,000 savings in WA costs. Contractor was able to complete RI/FS with 20% less hours than originally approved.
REPORTING • TIMELINESS OF DELIVERABLES • CLARITY • THOROUGHNESS	5 x 4 3 2 1	The site manager established an internal quality assurance program for all deliverables produced and this resulted in a top quality RI/FS report.
RESOURCE UTILIZATION • STAFFING • SUBCONTRACTING • EQUIPMENT, TRAVEL, ETC.	x 5 4 3 2 1	WA was carried out effectively and efficiently. Site manager was excellent in managing the team, including sampling subcontractor. Staff and equipment were mobilized ahead of schedule. Team management resulted in top-quality job that was completed under cost and ahead of schedule.
EFFORT • RESPONSIVENESS • MOBILIZATION • DAY-TO-DAY • SPECIAL SITUATIONS (E.G., ADVERSE/ DANGEROUS CONDITIONS)	x 5 4 3 2 1	Contractor and subcontractor were mobilized ahead of schedule. Contractor quickly mobilized another subcontractor when the first reported that it had a potential conflict of interest. Excellent management averted what could have been a lengthy delay in field work.

EXHIBIT 6.3
Hypothetical Example of Regional Evaluation Summary

CONTRACTOR:	CONTRACT NO.:	CONTRACTOR PM:	PERFORMANCE EVALUATION PERIOD:
XYZ INC. 352 Glenview Dr. KC, MO 66101	68-01-8060	Bill Jones	FROM: 1/1/87
	EPA REGION: VII	RPO: Fred Smith	TO: 4/30/87

PERFORMANCE EVALUATION KEY:

5 - OUTSTANDING 4 - EXCEEDS EXPECTATIONS 3 - SATISFACTORY 2 - MARGINAL 1 - UNSATISFACTORY

SITE NAME	WORK ASSIGNMENT NUMBER	NUMERIC RATING	COMMENTS
ABC Metals	08-71.18	4	Assignment was carried out effectively and efficiently. Staff was enthusiastic and worked long hours to produce excellent community relations plan. Management of work assignment resulted in high quality product.
TRB Oil	08-71.88	4	Contractor's extra efforts resulted in an estimated $10,000 savings in WA costs. Contractor was able to complete the project with 20% less hours than originally planned.
MMM Co.	08-71.99	2	Contractor's work performance was well below average. Inadequate RI/FS report was submitted. Costs were $10,000 over budget and schedule slipped by one month.

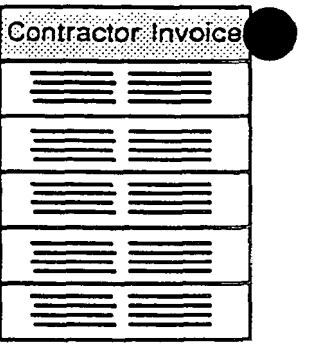
SIGNATURE _____ DATE _____

CHAPTER 7

INVOICE REVIEW AND APPROVAL

Chapter 7

INVOICE REVIEW AND APPROVAL

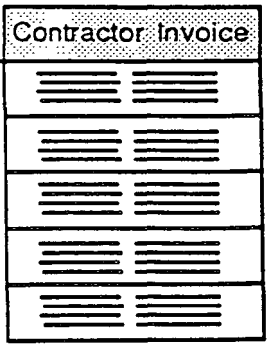


Purpose of Invoice Review And Approval

- Determine whether charges are commensurate with services performed
- Certify that work for which payments are claimed actually has been performed
- Provide a check on possible contractor oversights (and abuses)

Methods of Review

- Monthly progress reports (e.g., RPM could compare cumulative total of charges reported in the invoice with the cumulative costs reported in the monthly progress report)
- For personnel charges, RPM can verify these charges by routinely checking what contractor personnel are working on the project, the duties they perform, and the length of time they devote to the project. This information can be cross-referenced with cost and LOE data on the invoice.
- For equipment charges, RPM must obtain information on what equipment is being used for the project and the length of time that each piece of equipment is used.
- Charges for expendable materials are difficult to verify, as most verification methods cost more in terms of time and money than are saved in correcting errors in contractor charges. However, periodic inventories of expendable materials can be performed to verify contractor charges for these materials.



INVOICE REVIEW AND APPROVAL (cont'd)

What To Review

Costs

- Direct labor
  - Review the skill mix (is it in accord with the work plan?)
  - Review the LOE expended (are there variations of consequence?)

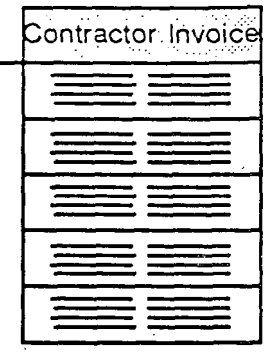
- Indirect rate
  - Is the rate in line with that stated in the contract?
  - Is there a ceiling on that rate?

- Subcontracts
  - Review the same items as for the prime contractor

- Travel
  - Transportation
  - Per diem

- Equipment
  - Expendable
  - Non-expendable
  - Rental
  - Operation and maintenance

- Other Direct Costs (ODCs)
  - Telephone
  - Shipping
  - Duplicating
  - Supplies
  - Computer time
  - Relocation
  - H & S training
  - Medical monitoring



INVOICE REVIEW AND APPROVAL (cont'd)

Costs (cont'd)

- Laboratory services
  - Fixed rates
  - Mobile laboratory
  - Did contractor try to use CLP?

- Base/Award fees
  - Is the base fee percent in line with the contract percent?

- Current vs. cumulative totals
  - Is the current monthly amount in line with last month?
  - Is the cumulative within the WA funding?

How To Review And Approve Invoices

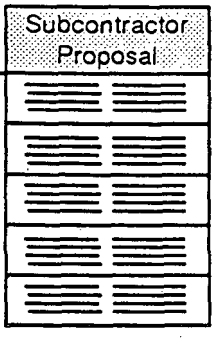
- **Detailed information on "how to" review and approve contractor invoices can be found in the ARCS Contracts Users' Manual, Appendix IV, pages IV-38 to 41.**

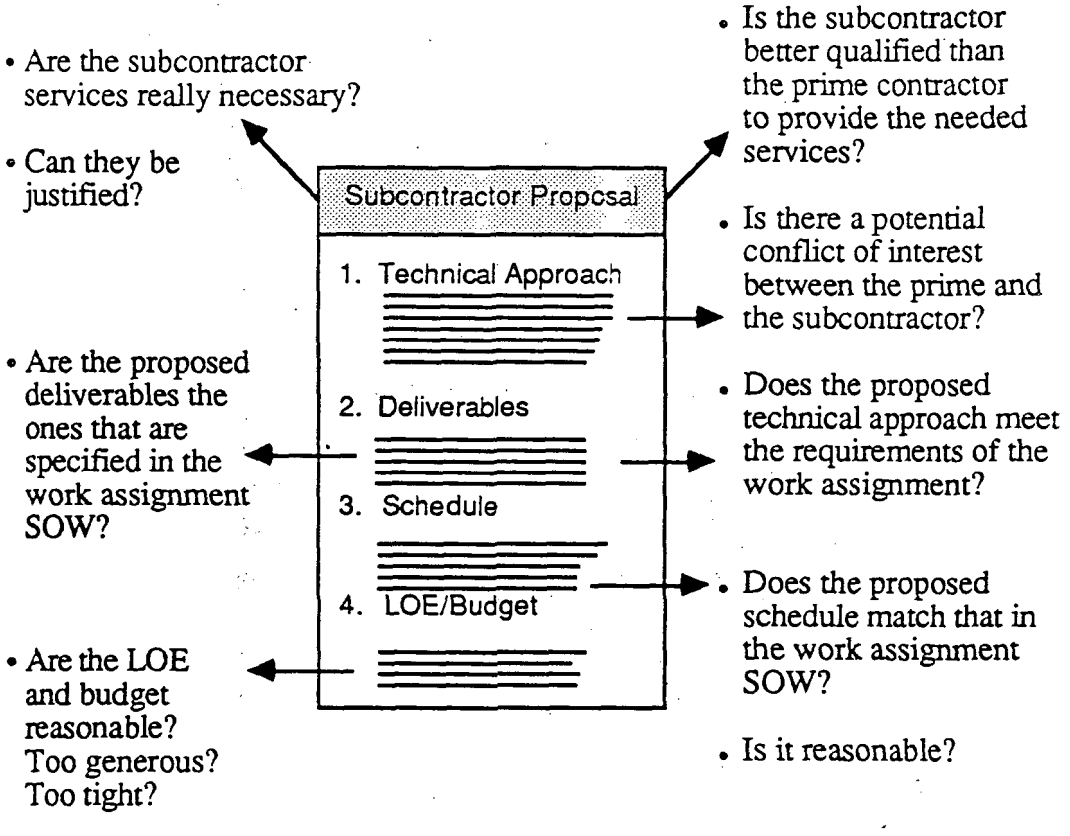
CHAPTER 8

SUBCONTRACT REVIEW AND APPROVAL

Chapter 8

SUBCONTRACT REVIEW AND APPROVAL





Review And Approval Procedures

- **Additional detailed information on subcontract review and approval responsibilities of the RPM, as well as a description of procedures, can be found in the ARCS Contracts Users' Manual, Appendix IV, pages IV-42 to 44.**

CHAPTER 9

EQUIPMENT APPROVAL AND MANAGEMENT

Chapter 9

EQUIPMENT APPROVAL AND MANAGEMENT

RPM'S Role

- For all equipment proposed by the contractor, ensure that the contractor provides:
  - A description of the equipment and its cost
  - A list of competitive prices
  - Justification as to why the Government should allow its purchase with Government funds
- Submit a 7-point justification (see Chapter 5 of the EPA Contracts Management Manual, PCMD, 1985) to the CO with the following items:
  - Description of program for which equipment will be used
  - Identification of equipment, estimated cost and quantity
  - List of locations where equipment will be used
  - Reasons why the equipment is needed
  - Reasons why it is in the Government's best interest to supply the equipment
  - Certification by the Superfund Property Administrator that no in-house equipment is availab
  - Lease versus purchase analysis
- Assist the PO in ensuring proper utilization and disposition of Government-owned equipment

RPM's Responsibilities

For Contractor-Owned Equipment

- Make sure the contractor supplies rental rates that the Government will be charged when using the equipment and that these rates are reasonable
- Make sure the contractor supplies a lease versus purchase analysis demonstrating the advantages that this alternative offers the Government

EQUIPMENT APPROVAL AND MANAGEMENT (cont'd)

RPM's Responsibilities (cont'd)

For Government-Owned Equipment (Cont'd)

- During site visits, verify that equipment is in the possession of contractor
- Check for agency property decals and numbers
- Check if the equipment is being used properly
- Check if preventive maintenance is being performed routinely
- See if equipment is repaired if damaged
- If equipment is stolen, make sure that the contractor has prepared a comprehensive report of the circumstances. The Contractor's Guide for Control of Government Property contains details about what information must be reported. The report should:
  - Be filed promptly with EPA's Property Administrator
  - Outline relevant and appropriate events regarding the stolen property
  - List the investigating individuals
  - Have Police and Federal Protective Service (FPS) reports attached
  - Be endorsed by the Project Officer

RPM's Responsibilities (cont'd)

For Government-Owned Equipment (Cont'd)

- If property is lost, make sure that the contractor has prepared a comprehensive report of the circumstances. The Contractor's Guide for Control of Government Property contains details about what information must be reported. The report should:
  - Be filed promptly with EPA's Property Administrator
  - Indicate what search was made
  - List what responsible individuals were contacted in locating the lost property
  - Be endorsed by the Project Officer
- For excess property items, advise the Project Officer if there is a further need for the property in the program.

Additional Information

- Contractor's Guide for Control of Government Property, revised December 1988
- Chapter 5 of the Contracts Management Manual, PCMD, 1985
- Chapter 7, pages 7-11, of the Contract Administration Course, PCMD, 1988

CHAPTER 10

ORGANIZATIONAL CONFLICT OF INTEREST

Chapter 10

ORGANIZATIONAL CONFLICT OF INTEREST

Two Major Concerns

1. When work to be performed by a contractor may result in an unfair competitive advantage to the contractor

2. When work to be performed by a contractor may impair that contractor's objectivity in doing the work

Limitation On Future Contracting

1. The ARCS prime contractor is ineligible to compete for remedial planning and implementation contracts offered by:

   - States within the Regions covered by the contract that result from a Superfund Cooperative Agreement without the prior written approval of the CO. The contractor can, however, compete for State contracts for sites that are not on the National Priority List.

   - The private sector for sites within the Regions covered by the contract that result from a SARA consent decree or court order, unless prior written approval of the CO is obtained.

   - The private sector for sites within the Regions covered by the contract where EPA has initiated enforcement actions without the prior written approval of the CO.

2. The prime contractor is ineligible to compete for remedial action projects for which the contractor has developed the solicitation package.

Limitation On Future Contracting (Cont'd)

3. The prime contractor must obtain written approval from the CO before competing for any work (including representation of a private party) pertaining to a specific site at which the prime contractor previously performed for the Government under this contract.

4. The prime contractor must include the provisions described above in all subcontracts and consultant agreements.

What To Look For

- Is the contractor being asked to perform work that will affect an industry of which it is a part, or from which it derives a substantial portion of its income?

- Is the contractor performing an analysis for EPA that it is also performing for a firm that will be affected by the results of that analysis?

- Is the contractor performing consulting services for an industry regulated by EPA at the same time as it is under contract to EPA for any work on the same subject?

- Do the work results provided by a contractor appear to be lacking in complete objectivity from any aspect?

- On any Superfund contracts, can the contractor potentially be found liable as a responsible party on any site for which it is being asked to perform work for EPA?

- Is there any possibility that even the appearance of one of these situations might undermine the credibility of the work results in the eyes of the general public?

ORGANIZATIONAL CONFLICT OF INTEREST (Cont'd)

Procedures To Follow

- Immediately notify Contracting Officer if the answers to any of these questions are "yes".
- Do not assign work to the contractor for that site until resolution is reached by the Contracting Officer.

Additional Information

- Contracts Management Manual, PCMD, 1985

CHAPTER 11

STANDARDS OF CONDUCT

Chapter 11

STANDARDS OF CONDUCT

Overall Rule

- Employee should avoid any activity or situation that creates even the appearance of impropriety or conflict of interest.
- For example, employees may not participate, even by advice or recommendation, in a matter which affects their own financial interests or those of their immediate families. This includes matters affecting companies in which an employee owns stock.

Rules For Dealing With Contractors

- Gratuities: solicitation or acceptance of gifts, entertainment, or favors from a contractor is expressly prohibited.
- Protecting Confidential Business Information: EPA personnel are not permitted to divulge any information considered by a contractor to be confidential to anyone outside the Government or not having a need to know (including other EPA employees).
- Maintaining Impartiality: EPA employees must treat all firms with objectivity and equal conduct.

Rules For Dealing With Contractors (Cont'd)

- Disclosure of Procurement Information: Project Officer and other technical evaluation or source board members must maintain the integrity of the competitive process and the independence of contractors' proposals by not divulging any confidential procurement information before, during or after an acquisition.

Additional Information

- Employees must be familiar with the conflict of interest statutes and EPA standards of conduct in 40 CFR, Part 3. The EPA pamphlet entitled "Guidance on Ethics and Conflicts of Interest" discusses the standards.

- In addition, "Ethics in a Nutshell", March 1988 is useful as a quick reference.