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3 Title

Technical Assistance Team (TAT) Contracts User's Manual

4 Summary of Directive (include brief statement of purpose)

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Superfund



# **Technical Assistance Team (TAT) Contracts**

## **Users' Manual**





**EPA**

**TECHNICAL ASSISTANCE TEAM  
(TAT) CONTRACTS  
USERS' MANUAL**

**SEPTEMBER 1987**

**OSWER Directive 9242.4-01A**

**EMERGENCY RESPONSE DIVISION**



NOTICE

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This handbook is intended to present information and guidance on management and implementation of EPA's "Technical Assistance Teams (TAT)" contracts.

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LIST OF ACRONYMS

AOC/POR	Acknowledgement of Completion/Performance Observation Report
CEAT	Contractor Evidence Audit Team
CERCLA	Comprehensive Environmental Response, Compensation, and Liability Act of 1980 (PL 96-510), As Amended by the Superfund Amendments and Reauthorization Act of 1986 (SARA)
CO	Contracting Officer
CPAF	Cost-Plus-Award-Fee
CWA	Clean Water Act
DPO	Deputy Project Officer
ERCS	Emergency Response Cleanup Services
ERD	Emergency Response Division
ERT	Environmental Response Team
FIT	Field Investigation Team
FDO	Fee Determination Official
LOE	Level-of-Effort
NCLP	National Contract Laboratory Program
NCP	National Oil and Hazardous Substances Contingency Plan (40 CFR Part 300)
NEIC	National Enforcement Investigations Center
NPL	National Priorities List
OERR	Office of Emergency and Remedial Response
OHM	Oil and Hazardous Materials
OSC	On-Scene Coordinator
OSHA	Occupational Safety and Health Administration
OWPE	Office of Waste Programs Enforcement
PCMD	Procurement and Contracts Management Division
PEB	Performance Evaluation Board
PO	Project Officer
POLREP	Pollution Report
QA	Quality Assurance
RCRA	Resource Conservation and Recovery Act
REM	Remedial Planning Contractors
RPM	Remedial Project Manager
RSO	Regional Safety Officer (Contractor)
SARA	Superfund Amendments and Reauthorization Act of 1986
SCBA	Self-Contained Breathing Apparatus
SMO	Sample Management Office (CLP)
SPCC	Spill Prevention, Control and Countermeasures
SOW	Statement of Work
TAT	Technical Assistance Team
TATL	TAT Leader
TES	Technical Enforcement Support
TDD	Technical Direction Document
USCG	United States Coast Guard



## PREFACE

This users' manual provides information and guidance on management and implementation of EPA's "Technical Assistance Teams (TAT) for Emergency Response, Removal and Prevention" contracts. Its primary purpose is to assist Regional and Headquarters EPA personnel in understanding their roles and responsibilities under the contracts and to describe the necessary procedures and requirements that should be followed in managing the contracts. The manual is also intended to be helpful to TAT contractor personnel in terms of their roles and responsibilities vis-a-vis EPA. While the manual is intended to serve as guidance in the administration of the TAT contracts, it in no way alters the requirements of the contracts.

Feedback on the manual is important, especially regarding its usefulness and practicality. Therefore, any comments or suggestions on how to improve the manual will be welcomed at any time. They should be submitted in writing to the Zone II TAT Project Officer, Ms. Susan Janowiak, or to the TAT Zone I Project Officer, Mrs. Patricia Hawkins, at the U.S. Environmental Protection Agency, Emergency Response Division (WH-548B), 401 M Street, S.W., Washington, D.C. 20460.

CHAPTER I  
INTRODUCTION

## CHAPTER I

### INTRODUCTION

Under the authority of Section 104 of the Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA or Superfund) of 1980, as amended by the Superfund Amendments and Reauthorization Act of 1986 (SARA) and Section 311 of the Clean Water Act (CWA), the U.S. Environmental Protection Agency (EPA) has been delegated the responsibility to undertake response actions with respect to releases or potential releases of oil or hazardous substances, including releases of petroleum from underground storage tanks, that pose a threat to human health, welfare, or the environment. In addition, EPA is responsible for providing technical assistance to help mitigate endangerment of the public health, welfare or environment during other emergencies and natural disasters. EPA's successful implementation of these emergency response action responsibilities requires that technical support capabilities be provided in the form of multidisciplinary Technical Assistance Teams (TAT) for each EPA Region. EPA has procured the services of two TAT contractors under the "Technical Assistance Teams for Emergency Response, Removal and Prevention" contracts to assist in implementing Superfund emergency response and prevention activities.

The purpose of this users' manual is to establish a standard set of operating and management procedures to assist EPA Headquarters and Regional personnel in effectively and efficiently managing the TAT contracts. In addition, the users' manual is intended to define the roles and responsibilities of EPA and contractor personnel in managing and executing the TAT contracts.

The remainder of this introduction describes the structure of the manual and briefly discusses instructions for its use.

#### 1. STRUCTURE OF THE USERS' MANUAL

The users' manual consists of eight chapters, five appendices, a glossary and bibliography. This chapter, Chapter I, provides an introduction to the manual, a description of its structure, and how it can be used. Each of the remaining chapters is described briefly below:

Chapter II -- Scope and Provisions of the Technical Assistance Team Contracts describes the background and structure of the TAT zone contracts and contractor requirements in executing Statement of Work (SOW) activities.



Chapter III -- Contract Management: Organization, Roles and Responsibilities highlights the organization and key management roles, responsibilities and interactions of Federal and contractor personnel (e.g., Project Officer (PO), Contracting Officer (CO), Deputy Project Officers (DPOs), On-Scene Coordinators (OSCs), TAT contractor Zone Program Managers (ZPMs), and TAT Leaders (TATLs).

Chapter IV -- Interface with Other EPA Contracts and External Agencies briefly summarizes the functions of other EPA contracts and other government agencies with which the TAT may interact and offers guidelines to follow in coordinating these interactions.

Chapter V -- Procedures for Initiating and Managing TAT Activities discusses the preparation and processing of Technical Direction Documents (TDDs) and Acknowledgment of Completion/Performance Observation Report (AOC/POR) forms, including detailed instructions for completing all required forms.

Chapter VI -- Monitoring Project Performance and Financial Management describes TAT contractor reporting requirements and EPA procedures for tracking and assessing project performance.

Chapter VII -- Performance Evaluation Plan describes the criteria, procedures and forms to be used in evaluating contractor performance.

Chapter VIII -- Miscellaneous Materials is reserved for memoranda, policy guidance, and other important correspondence issued by Headquarters concerning the TAT contracts.

In addition to these chapters, there are also five appendices to the manual. Appendix A presents the TAT contract Statements of Work (SOWs); B provides a partial list of TAT contract equipment and property; C provides details of types of activities to be conducted under TDDs; D provides completed examples of TDDs and AOC/POR forms; and E presents a DPO checklist for reviewing the TAT contractor's office.

Also included are a glossary and bibliography. The glossary provides definitions of terms relevant to TAT. The bibliography lists references that provide detailed information on subjects and matters related to TAT.

## 2. USING THE MANUAL

The TAT contract program is organized according to two separate geographic zones. The types of services provided in these two zones are essentially identical. However, some differences do exist, and they are discussed in Chapter II. The management and operating procedures discussed in the following chapters of the manual are applicable to both zones, except where noted otherwise.

The information contained in the manual has been organized to permit EPA TAT Headquarters and Regional personnel, as well as TAT contractor personnel, to have easy access to specific procedures and responsibilities pertaining to TAT contracts management and implementation. Each chapter is separated by a tab labeled with the area of contract management covered in this chapter. Following the tab is a table of contents indicating the pages where detailed discussions of specific procedures and forms to be used can be found in the chapter. A loose-leaf format has been used to facilitate updating and to enable users to supplement the text with notes and pertinent references appropriate to their own activities. The manual is expected to serve as a desk reference that will be updated periodically. Revised pages will be distributed and then inserted into the manual to ensure completeness.

## CHAPTER II

### SCOPE AND PROVISIONS OF THE TECHNICAL ASSISTANCE TEAM CONTRACTS

## CHAPTER II

SCOPE AND PROVISIONS OF THE TECHNICAL  
ASSISTANCE TEAM CONTRACTS

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## CHAPTER II

SCOPE AND PROVISIONS OF THE  
TECHNICAL ASSISTANCE TEAM CONTRACTS

The Emergency Response Division (ERD) in the Office of Emergency and Remedial Response (OERR) is responsible for executing EPA's emergency response, removal, and prevention program. Successful implementation of this program requires the provision of technical and management support to On-Scene Coordinators (OSCs) during removal actions. EPA has contracted with two Technical Assistance Team (TAT) contractors to provide this support. This Chapter provides an overview of the TAT contracts including a description of the background and structure of the contracts, an itemization of the types of services and equipment that can be accessed through the contracts, and requirements that must be met by the contractors in performing the work.

1. BACKGROUND AND STRUCTURE OF THE TAT ZONE CONTRACTS

The following sections highlight background information applicable to the TAT contracts and include discussions of the type of contracts, the structure of the contracts, the periods of performance, and other general descriptive information pertaining to the contracts.

1.1 Type of Contracts

The first two TAT contracts, which began in October 1979, and extended through January 1987, were organized on a nationwide basis, and each was operated by a single contractor.\* They covered all ten EPA Regional offices, Environmental Response Teams (ERTs) in Cincinnati, Ohio and Edison, New Jersey, and EPA Headquarters. The current TAT contracts, however, are organized on a zone-wide basis with one contractor providing support to Zone 1 and another contractor providing support to Zone 2. Zone 1 consists of Regions I-V, ERT in Edison, and EPA Headquarters. Zone 2 consists of Regions VI-X. In Zone 1 there are a total of seven TAT offices -- one each for Regions I-V, ERT in Edison, and EPA Headquarters. In Zone 2 there are six TAT offices -- one each for Regions VI and VIII-X, and two for Region VII.

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\* Although all "field" work ended under the predecessor contract (#68-01-6669) on January 31, 1987, the contract is still technically in effect to allow microfilming of all contract records and to provide historical site-specific cost information.

Consistent with the prior TAT contracts, the current zone contracts are Cost-Plus-Award-Fee (CPAF) contracts. With cost reimbursement of this type, the contractors are guaranteed a fixed base fee, paid in monthly installments, to which an award fee can be added. Funding for the TAT contracts is based on contractor expenses incurred to provide a specified level of effort (LOE) and other resources to conduct activities specified in the Statement of Work (SOW). Thus, EPA personnel must ensure that sufficient work is assigned to the TAT contractors to fully and efficiently utilize the minimum levels of effort specified for each team.

## 1.2 Period of Performance

The period of performance for the current TAT contracts is from December 16, 1986 through September 30, 1988. EPA also has the option to extend the contracts one additional period of 24 months, if desired. In addition, the contracts contain two two-month Continuity of Services (COS) options that are intended to facilitate phase-out to the successor contractor.

## 1.3 Staffing Requirements

To carry out the responsibilities of the TAT contracts, the contractors are required to staff each TAT office with personnel having appropriate levels of experience and areas of expertise. To differentiate among various levels of experience in TAT contractor staff, EPA has established seven labor classifications for professional and technical positions. These are summarized in Exhibit II-1. In addition, EPA has specified the total number of positions for each TAT and has provided a list of disciplines that should be used to guide staffing of the TATs with appropriate types of expertise. The number of positions and disciplines (both of which will fluctuate during the contract) are shown in Exhibits II-2 and II-3, respectively. The mix of disciplines and appropriate levels of experience to staff the number of positions required for the TATs will vary among the Regions and generally will complement the capabilities of EPA personnel. Requirements concerning staffing needs for each TAT should be developed by the TAT Deputy Project Officer (DPO) and communicated to the TAT Project Officer (PO). With the approval of the PO and the TAT Contracting Officer (CO), amendments to the existing discipline mix may be made as required to maintain program responsiveness.

#### 1.4 Nature of Work to Be Performed

The types of technical assistance to be provided under the TAT contracts are described in detail in the contract SOWs, which are included in Appendix A. These technical support services will primarily support the On-Scene Coordinators (OSCs) in the ten Regional offices, the ERT office in Edison, and EPA Headquarters. They are intended to augment EPA's response, removal and prevention programs. Within the overall program management effort, tasks to be performed include: establishing and maintaining the required TAT offices and personnel; instituting recordkeeping, quality control and personnel safety procedures; procuring laboratory or field analysis services; and providing special projects support, as needed, to the OSC.

Within the scope of the emergency response, removal and prevention program, the TAT contractors perform various specific tasks. In general, these tasks include: conducting facility inspections; implementing EPA and contractor personnel training programs; completing pollution reports and damage assessments; reviewing and analyzing response contingency plans; coordinating the development and implementation of community relations plans; conducting removal preliminary assessments and other Section 104(b) activities; performing mini-remedial investigations (this is a new task under the TAT contracts and involves the limited investigation of a site where response activity is in progress or has been completed) and providing direct emergency response support, as well as response monitoring services, to the OSC during removal actions.

Appendix A contains the SOWs for both Zone 1 and Zone 2 TAT contracts. All EPA and contractor personnel involved with the TAT contracts should be thoroughly familiar with these SOWs. It is noted that both SOWs are virtually identical, except for differences in TAT office locations.

In addition, the TAT contractors perform special projects and analytical services, when requested. Special projects are intended to provide EPA with specialized equipment, personnel and services not routinely available from a TAT office. Examples of special projects include, but are not limited to: renting of aircrafts; hiring of scuba divers; retaining expert consultants; renting specialized equipment; and providing temporary relocation of individuals. Analytical services consist of rapid turnaround laboratory or field analysis of multimedia samples. The TAT contractors will coordinate these activities with EPA's National Contract Laboratory Program



(NCLP). If the NCLP is unable to handle the samples, the TAT contractors can choose to handle the samples themselves or contract for these services.

### 1.5 Zone Crossover

Each TAT contractor may be required to provide services in the other contractor's geographical zone. This may occur in the event of a conflict of interest or in any other situation in which it is deemed by the CO to be in the best interest of the Government. Any use of a contractor outside its zone must be coordinated by the appropriate DPO, PO, and CO.

### 1.6 Personal Versus Nonpersonal Services

The TAT zone contracts provide for nonpersonal services. In general, contract services can be classified as either personal or nonpersonal. With a nonpersonal services contract such as the TAT contracts, the TATs provide an approved resource for EPA in the accomplishment of their programs while avoiding an actual employee-employer relationship. Personal services contracts are those where the contractor or its employees seemingly act as employees of EPA, where EPA maintains the right to direct, supervise, or define the work to be performed, or the manner of performance, on a day-to-day basis. Personal services are not allowed under the TAT contracts.

The following examples of personal and nonpersonal services are provided for illustrative purposes only:

#### Personal

- Contract for the furnishing of ordinary, day-to-day stenographic and secretarial services in a Government office under Government supervision exercised either directly or through a contractor supervisor even if only for a peak work period of two weeks;
- Contract for preparation of a staff type report on the operation of a particular Government office or installation, where no specialized skills are required and the report would ordinarily be prepared by the regular officers or employees of the office or installation even if there is to be no Government supervision and even if payment is to be for an "end product" report;

- Contract for the furnishing of persons to perform the various day-to-day functions of contract administration for a Government agency, even if there is no Government supervision (e.g., directing the ERCS contractor);
- Contract for the picking up of other Government personnel at the airport;
- Paying the luncheon tabs of Government personnel.

#### Nonpersonal

- Contract for field engineering work requiring specialized equipment and training personnel unavailable to the Government but not involving the exercise of discretion on behalf of the Government, where the contractor performs work adequately described in the contract, free of Government supervision;
- Contract with an individual for delivery of lectures without Government supervision, at specific places, on specific dates, and on a specialized subject, even if payment is by the hour.

It is recognized that during the course of a response the distinction between providing personal and nonpersonal services may be unclear. For example, directing the ERCS contractor is not the responsibility of the TAT contractor; however, monitoring its performance is acceptable. Should questionable situations arise that require interpretation, the OSC or the TAT member should confer with the TAT DPO or Leader, respectively. If further clarification or interpretation is necessary, the TAT Zone Program Management Office (ZPMO), TAT PO, or TAT CO may be contacted.

### 1.7 Contract Equipment

In order to perform the diverse tasks required under the TAT contract, each TAT will be furnished equipment for monitoring, safety and recordkeeping. Appendix B contains a detailed listing of the minimum equipment needs required to implement the contracts. The TAT contractor is responsible for the maintenance of all equipment and ensuring that disposable equipment inventories are maintained and replenished as required. Should the TAT

contractor determine that certain equipment is not being utilized, the TAT Zone Program Manager (ZPM), in coordination with the DPO, should be notified that the equipment is available for use in other TAT offices.

If new equipment requirements are identified as EPA missions change, the TAT contractor (with DPO concurrence) may request this new equipment by sending a written request for its purchase to the PO. This request should include justification of the needs, estimated cost and recommended source. The DPO should consult with Chapter 5 of EPA's Contract Management Manual for further information on justification of needs. EPA may either provide the required equipment to the contractor or authorize the contractor to acquire it under the TAT contract.

### 1.8 Property Management

The use of property provided either directly by the Federal Government or procured through the TAT contracts requires careful management. Not only is careful property management required by Federal law and the TAT contracts, it is essential for efficient use of contract resources. For example, accurate property inventories allow the TAT contractor management to distribute equipment among its offices in the most useful way.

In light of the importance of property management, the TAT contractor is required to provide training in property management for TAT property management officers at the ZPMO and in the Regions. The TAT must also develop and use standard operating procedures for all aspects of property management. The DPO should ensure that the TAT properly manages government property by conducting periodic on-site visits to the contractor's office and reviewing all of the items contained on the DPO checklist, presented in Appendix E. The DPO should also seek the assistance of the EPA Superfund Property Administrator, as necessary, in conducting these visits.

Both the TAT contracts and Federal regulations (Federal Acquisition Regulation, Part 45) require written standard operating procedures for property management. The TAT must develop standard procedures in the following areas:

- . Acquisition
- . Receiving
- . Recordkeeping
- . Storage, movement and protection
- . Loss, damage and destruction
- . Utilization rate
- . Maintenance and calibration

- . Inventory
- . Subcontractor use
- . Contract closure and equipment disposition.

Development and use of these procedures are essential for managing property under the TAT contracts.

Standard procedures will also aid in preparing the periodic reports requested by the EPA Property Administrator. To ensure proper handling of Government property, the EPA Property Administrator requires the following information from TAT property management officers:

- . Annual inventory of property
- . Immediate reports of loss, damage or destruction of Government property
- . Requests for purchase or replacement of Government property (as needed)
- . Semi-annual reports of Government property in excess of needs
- . Justification for retention of low use items (annually)
- . Certification of required training of property management officers (annually).

In addition, all other reports required by the "Guide for Control of Government Property by Contractors" should be submitted as required. This guide is available from the EPA Property Administrator and should be consulted when questions arise regarding the management of Government property.

## 2. CONTRACTOR REQUIREMENTS IN EXECUTING SOW ACTIVITIES

The following sections describe special contract requirements to which the TAT contractors must adhere. Included are discussions on health and safety, training, quality assurance, confidentiality, conflict of interest, chain-of-custody, cost management, and 24-hour call center.

### 2.1 Health and Safety

The nature of the work to be performed under the TAT contracts may involve inherently hazardous situations. The OSC is responsible for coordinating the standards of safety for all individuals on-site at all times. The TAT contractor, if required to work on-site, shall ensure that

all contractor personnel working at the site work in a healthy and safe manner and adhere to the standard EPA safety protocols as well as appropriate Federal/State health and safety standards (i.e., 29 CFR 1910.120). It is Office of Solid Waste and Emergency Response (OSWER) draft policy that the contractor shall be responsible for implementing the Office of Emergency and Remedial Response (OERR) Standard Operating Safety Guides (SOSG) for its employees and operations, including employee rights to know. If the contractor believes that a higher level of protection is necessary, or there is any other dispute with respect to health and safety that cannot be resolved between the OSC and the contractor's Health and Safety representative, the matter will be referred to the Response Operations Branch Regional Coordinators and to the contractor's corporate Health and Safety representative for determination. If the health and safety issue still cannot be resolved, then the matter will be referred to the EPA Environmental Response Team's (ERT) Safety and Occupational Health Manager, Edison, N.J., in consultation with the HQ Occupational Health and Safety Director, for final determination.

If a specific safety plan is required as part of performance of a Technical Direction Document (TDD), or such plan is required as part of standard operating procedure, this plan shall be submitted to the OSC for review. Upon review, if there is a dispute over the safety plan that cannot be resolved between the OSC and the contractor's Health and Safety representative, the matter shall be referred to the first line approval committee, which is the Response Safety Committee described in EPA Order 1440, Chapter 9. If there is still a dispute over the safety plan, then the matter shall be referred to the EPA ERT's Safety and Occupational Health Manager, Edison, N.J., in consultation with the HQ Occupational Health and Safety Director, for final determination. If a site safety plan is provided by the Government, the contractor agrees to follow such a plan unless objections are made known to the OSC within 24 hours of its submission to the contractor. In any event, commencement of cleanup services without notification to the OSC of objections will be deemed to constitute acceptance of the safety plan, unless conditions in the field change to warrant a change in the plan.

The Occupational Safety and Health Administration has issued the "Hazardous Waste Operations and Emergency Response Rule" (December 19, 1986), which sets forth the following required elements for site safety plans:

- . Names of key personnel and health and safety personnel

- . Task/operation safety and health risk analysis
- . Employee training for all equipment operators and general laborers who risk exposure to hazardous materials
- . Personal protective equipment to be used
- . Medical surveillance program
- . Frequency and types of air monitoring, personnel monitoring, and sampling techniques
- . Site control measures
- . Decontamination procedures
- . Site standard operating procedures
- . Contingency plan
- . Confined space entry procedures.

## 2.2 Training Program for Contractor Personnel

The TAT contractor is responsible for providing initial and routine training of workers before such workers are permitted to engage in hazardous waste operations that would expose them to toxic substances. The requirements include a minimum of 40 hours of initial instruction off the site, and a minimum of three days of actual field experience under the direct supervision of a trained, experienced supervisor, at the time of assignment. These requirements, however, do not apply to workers who have already received the equivalent of such training. Workers who may be exposed to unique or special hazards should be provided additional training.

## 2.3 Quality Assurance

The TAT contractor shall institute a quality assurance program that will ensure environmental monitoring data of known quality. The program will consist of both an auditing and a corrective function. The auditors will report directly to the contractor corporate management, bypassing the contractor ZPM, to minimize any actual or perceived bias. Corporate management will then be expected to utilize the firm's resources to solve any problems uncovered. The EPA publication entitled "Interim Guidelines and Specifications for Preparing Quality Assurance Program Plans" (QAMS-004/80) contains detailed information on EPA's quality assurance program and can be obtained from the Assistant Administrator for Research and Development in the Office of Monitoring Systems and Quality Assurance.

## 2.4 Confidentiality of Information

During the performance of the contract, TAT members may, by necessity, be entrusted with confidential information. All information received by EPA is subject to EPA's disclosure of information policy, 40 CFR Part 2, which is based on the Freedom of Information Act, 5 U.S.C. 552, and provisions for patents and rights as set forth by law. Generally, information is not confidential. However, if a TAT member should have access to information granted confidentiality by EPA, all TAT members shall follow Agency procedures set forth in 40 CFR Part 2 safeguarding such information.

In response to an initial submission of information with a request of confidentiality from a responsible party, private industry or any person or business, all EPA personnel and contractor employees should be aware of the proper procedures. All information requested by EPA for which a confidentiality claim is asserted must be submitted to the DPO or PO. Any person submitting information to EPA may assert a business confidentiality claim by covering or placing on the information, at the time of submission to EPA, a cover sheet, stamped or typed legend, or other form of notice with language such as "TRADE SECRET," "PROPRIETARY," or "COMPANY CONFIDENTIAL." The EPA office handling the information will make the initial determinations of whether the information is entitled to confidential treatment. Procedures for the validity of confidentiality claims and special rules governing certain information obtained under specific legislation, such as the Clean Water Act (CWA), are set forth in 40 CFR Part 2, Subpart B.

Provisions for rights in data and copyrights and patents are complex and will not be discussed here. If the question of rights with these issues should arise, the EPA Office of Regional Counsel should be contacted to pursue the proper legal course.

## 2.5 Conflict of Interest

The TAT contractor must notify the cognizant DPO "in writing" of any actual, apparent or potential conflict of interest with regard to any work assigned by the DPO prior to accepting that work. This includes both personal (TAT staff) and organizational conflicts of interest. The DPO is then responsible for notifying the CO of this conflict.

If an organizational conflict of interest appears to exist, the CO is responsible for determining whether the contractor should be permitted to perform the work. The

CO will then notify the ZPM in writing of this determination. If a personal conflict of interest appears to exist, the individual TAT member who is affected will be disqualified from taking part in any way in the performance of the work.

The TAT contractors are required to notify each DPO in advance of all known sites within a Region where an organizational or personal conflict of interest may exist. In cases where the conflict of interest does not become known until after performance of the work has begun, the contractor is required to notify the CO immediately and to discontinue work until notified by the CO of the appropriate action to be taken.

## 2.6 Chain-of-Custody and Document Control Procedures

Any work conducted by the TAT contractor must follow established chain-of-custody and document control procedures. Detailed information pertaining to procedures for each of the areas is available in NEIC Policies and Procedures, EPA-330/9/78/001-R, U.S. Environmental Protection Agency, National Enforcement Investigations Center (NEIC), Denver, Colorado, revised June 1985. Copies of this document should be obtained by all EPA Regional offices and be distributed to the TAT contractor's offices as well. The document will serve as the official EPA guidance for ensuring that the procedures are followed. In addition, Regions may establish their own specific procedures for ensuring that the NEIC chain-of-custody and document control requirements are met.

## 2.7 Cost Management Support

During removal actions, the TATs may assist the EPA OSC in implementing a comprehensive system for managing the site operations and effectively monitoring the costs. This management system must ensure the efficient use of public funds and enable all removal costs to be measured against the site-specific and statutory ceilings. The system recommended for use by OSCs is presented in the Removal Cost Management Manual, January 1985 (revised August 1987). This manual outlines a comprehensive cost management system that requires specific on-scene cost data to be documented while offering flexibility to the OSC in documentation techniques. The TATs, in assisting the OSC in tracking removal costs, should have a working knowledge of the practices outlined in this manual. Another EPA manual, User's Guide for Removal Cost Management Software (Version 3.0), was developed in conjunction with the cost management manual to describe the application of basic computer tools to cost estimating



and cost tracking at CERCLA removal sites. The TATs should also be familiar with this manual, which can be very useful for on-site cost management. Additional guidance on the TAT's role in site cost tracking and verification will be provided by EPA in the future.

## 2.8 24-Hour, 7-Day-A-Week Call Center

The TAT contractors are responsible for operating a 24-hour, 7-day-a-week call center. This call center will provide EPA with access to TAT technical support services at all times.

## 2.9 Subcontracting

As part of the TAT zone contracts, the contractor is responsible for performing special projects and analytical services. In most cases, the contractor will subcontract this type of work utilizing competitive acquisition procedures as required by the Competition in Contracting Act. DPOs should ensure that reasonable lead times and delivery-schedules are given so as not to unnecessarily restrict the contractor's efforts to obtain competition. According to Federal Acquisition Regulation (FAR) 52.244-2, the contractor must notify the Contracting Officer (CO) reasonably in advance of entering into any subcontract if:

- . The proposed subcontract is of the cost-reimbursement, time-and-materials, or labor-hour type;
- . The proposed subcontract is fixed-price and exceeds either \$25,000 or five percent of the estimated cost of this contract;
- . The proposed subcontract has experimental, developmental or research work as one of its purposes; or
- . The proposed subcontract provides for the fabrication, purchase, rental, installation or other acquisition of special test equipment valued in excess of \$10,000 or of any items of facilities.

Upon notification of the CO, the contractor may be requested to provide EPA with certain information such as a description of the services to be subcontracted,

identification of the type of subcontract to be used, and an explanation of why and how the proposed subcontractor was selected, including the competition obtained. According to FAR 52.244-5, the contractor shall select subcontractors on a competitive basis to the maximum extent consistent with the objectives and requirements of the contract.

Depending on the dollar amount and type of subcontract involved, the contractor must obtain the CO's written consent before placing any subcontract for services under the TAT contracts.

## 2.10 Site-Specific Invoicing

The contractor is required to provide site-specific billing information on monthly invoices in accordance with EPA's "Site-Specific Invoicing Requirements for Superfund Contractors Whose Funds Are Not Obligated Site-Specifically," February 1986. All invoices sent to EPA's Financial Management Division (FMD) for payment must contain proper site and activity codes, as well as the following additional requirements:

- . A cost element summary that summarizes all costs being invoiced by cost element, such as labor, travel, equipment, other direct, subcontractor and overhead or indirect costs, as identified elsewhere in the contract
- . A site-specific attachment, on which the invoiced costs are broken down by:
  - Each site with an EPA S/S ID
  - All other sites, i.e., those without an EPA S/S ID, on one line item per Region
  - Program management
  - Base and award fees
  - Non-site activities, identified separately such as training of state personnel or coordination of Regional activities
  - Non-Superfund costs, as applicable, on one line item.

Specific instructions on completing the site-specific invoice can be found in the above-mentioned publication. The TAT contractor is required to submit four copies of the invoice, one to the PO and three to FMD.

## EXHIBIT II-1

## TAT Personnel Qualifications and Levels of Experience

Professional Level

- . Zone Program Manager (ZPM)
  - Master's Degree or equivalent with 12 years or more relevant experience
  - Bachelor's Degree with 14 years or more relevant experience
- . Level Three
  - Master's Degree or equivalent
  - 6-12 years relevant experience
- . Level Two
  - Bachelor's Degree or equivalent
  - 3-8 years relevant experience
- . Level One
  - Bachelor's Degree or equivalent
  - 0-3 years relevant experience

Technical Level

- . Level Three
  - 6 or more years relevant experience
- . Level Two
  - 2-6 years relevant experience
- . Level One
  - 0-2 years relevant experience

## EXHIBIT II-2

## TAT Contract Staffing Distribution

<u>Zone 1</u>	<u>Number of Personnel</u>
Region I	16
Region II	35
Region III	45
Region IV	33
Region V	36
Headquarters	11
ERT-Edison	<u>5</u>
TOTAL	181
 <u>Zone 2</u>	
Region VI	35
Region VII-ESD	29
Region VII-WMD	11
Region VIII	10
Region IX	23
Region X	<u>12</u>
TOTAL	120
GRAND TOTAL	301

NOTE: The above staffing numbers are initial estimates subject to change as EPA Regional needs develop. Therefore, they will fluctuate during the contract period of performance.

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## EXHIBIT II-3

TAT Staffing Disciplines

Administrative Assistant  
Administrative Technician  
Biological Technician  
Biologist  
Chemical Engineer  
Chemist  
Civil Engineer  
Community Relations Specialist  
Computer Programmer  
Computer Systems Analyst  
Emergency Contingency Planner  
Engineer  
Engineering Technician  
Environmental Air Pollution Specialist  
Environmental Biologist  
Environmental Engineer  
Environmental Scientist  
Equipment Technician  
Geohydrologist  
Geologist  
Groundwater Engineer  
Hydrogeologist  
Hydrologist  
Industrial Hygienist or Toxicologist  
Interdisciplinary Scientist  
Laboratory Technician  
Organic Chemist  
Personal Computer Specialist  
Program Analyst  
Response Specialist  
Sanitary Engineer  
Spill Prevention Engineer  
Toxicologist  
Writer/Editor

NOTE: The above disciplines are subject to change as EPA Regional needs develop. Therefore, they will fluctuate during the contract period of performance.

CHAPTER III

CONTRACT MANAGEMENT: ORGANIZATION, ROLES  
AND RESPONSIBILITIES

## CHAPTER III

CONTRACT MANAGEMENT: ORGANIZATION, ROLES  
AND RESPONSIBILITIES

## KEY TOPICS

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## CHAPTER III

CONTRACT MANAGEMENT: ORGANIZATION, ROLES  
AND RESPONSIBILITIES

The Agency's internal organization for managing the TAT contract is a critical element contributing to the Emergency Response Division's (ERD) successful implementation of the program. In other parts of this manual, details are given concerning the management and operating procedures that will be used to manage the TAT contractors. Here, the discussion focuses on the contract management structure and the roles and responsibilities of EPA Headquarters and Regional personnel that will provide the framework and network for ensuring that the procedures are followed. Key interactions between Agency and TAT contractor personnel are also highlighted.

The chapter is divided into four sections:

- . Relationship between EPA Headquarters and Regional offices
- . Contract management structure within EPA Headquarters
- . Contract management structure within EPA Regional offices
- . TAT contractor management structure

1. RELATIONSHIP BETWEEN EPA HEADQUARTERS AND REGIONAL OFFICES

There are two levels of management that must be provided by the Agency in order to successfully plan, execute, and control the work performed by the TAT contractors. These two components of the EPA contract management framework consist of: 1) overall contracts management and program direction, centered in EPA Headquarters; and 2) technical oversight and project management, which is the responsibility of each individual EPA Regional office and the Environmental Response Team (ERT) in Edison, New Jersey. These two levels of management work together to ensure that utilization of the TAT contract resources is consistent with planned Superfund program goals and objectives.

Exhibit III-1 provides an overview of the EPA Headquarters and Regional management structure that will



be utilized to manage the two TAT contracts. The exhibit also depicts the key interactions between EPA and TAT contractor management personnel. This section will focus on the relationship between Headquarters and the Regions and will summarize the responsibilities of each. The contract management structure within EPA Headquarters and Regional and the ERT offices, and the roles and responsibilities of key Agency contracts management personnel are discussed in subsequent sections.

Within EPA Headquarters, ERD is charged with overall management responsibility for the TAT contract. ERD oversees total resource utilization of the TAT contract and coordinates implementation of the contract through the EPA Regional offices. Basically, Headquarters contract management is concerned with the consistency of the services to be performed on a zone-wide basis as specified within the Statement of Work (SOW) of the two contracts. In addition, Headquarters must ensure that the TAT contractors adhere to all established Agency or other Federal regulations, procedures and guidelines. Also, within Headquarters there is a Headquarters TAT support function that is responsible for developing and implementing guidance, strategies, briefings, regulations, public inquiry responses, and other related activities.

Complementing the Headquarter's overall contract management structure are the Regional contract management responsibilities of each individual EPA Regional office and the ERT office. The EPA Regional offices and the ERT office provide the mechanism to extend EPA Headquarters contract management into the field. This is accomplished by the direct oversight of the TAT contractors' completion of and performance on various tasks, projects, and activities assigned to them.

Effective and efficient direction and utilization of contract resources depends on the establishment of a close working relationship among the Project Officer (PO), the Headquarters staff, and the Regional Deputy Project Officers (DPOs). To successfully implement the program, the PO, DPOs and other appropriate EPA staff must rely on each other for input on matters such as:

- . TAT program policy and guidance development and implementation
- . Resolution of contract management issues
- . Project tracking and performance monitoring and evaluation

- . Coordination with overall Superfund goals and objectives
- . Utilization of, and balance between, EPA resources and contract resources, including setting priorities.

The working relationship will be fostered through the frequent exchange of information both nationally and locally at periodic, scheduled meetings, as well as regular discussions among EPA personnel and, as required, discussions with contractor personnel.

The following sections describe in greater detail the organization, roles and responsibilities of the EPA Headquarters PO, CO and DPO, Regional and ERT office DPOs, and TAT contractor management personnel.

## 2. CONTRACT MANAGEMENT STRUCTURE WITHIN EPA HEADQUARTERS

### 2.1 TAT Project Officers

As was shown in Exhibit III-1, the POs will serve as the EPA officials with overall responsibility for managing and directing technical activities under the TAT contracts. As such, the POs provide a single point of contact for the Contracting Officer (CO) and the TAT contractors. The POs will interface directly with the two TAT contractor Zone Program Managers (ZPMs), the Headquarters TAT Leader, and the EPA Regional and ERT DPOs. Key responsibilities of the POs include:

- . General oversight of program management, operations, direction, and coordination
- . Together with the CO, assessment of the adequacy, amount and distribution of contract resources within and across TATs (e.g., personnel, funding, equipment) including decisions regarding propriety and timing of exercising contract options
- . Development of guidance on integrating TAT contract activities with other Superfund program requirements
- . Solicitation of comments and analyses of significant technical and contract management items or problems from both EPA and contractor personnel

- . Review of contractor monthly financial and technical progress reports
- . Evaluation of contractor performance by Headquarters Evaluation Coordinator for the Award Fee Performance Evaluation process
- . Resolution of issues arising within and between Headquarters and Regional and ERT offices.

## 2.2 TAT Contracting Officer

Corresponding to the program management responsibilities of the PO, the CO is the official within Headquarters with overall responsibility for ensuring that: 1) the TAT contractors adhere to the terms and specifications of the contract; and 2) the TAT contractors provide the necessary personnel, equipment, and services to provide EPA with the support specified in the SOW. The CO will coordinate with the PO and ZPM to produce and maintain the TAT contractual mechanism. As such, the CO is the only Federal representative authorized to make changes to the contract.

## 2.3 Headquarters TAT Deputy Project Officer

The Headquarters DPO is responsible for overseeing the activities of the Headquarters TAT contractor. This involves making sure that the Headquarters TAT contractor is fully utilized in providing technical, planning and operations support to EPA Headquarters.

The Headquarters DPO is responsible for interfacing directly with the Headquarters TAT Leader and for assigning all Headquarters-related work to the TAT Zone I contractor. This work will consist primarily of developing and implementing guidance, strategies, briefings, regulations, public inquiry responses, and other related activities as needed.

Other responsibilities of the Headquarters DPO include:

- . Monitoring Headquarters TAT contractor performance
- . Completing Performance Observation Reports (PORs)

- . Implementing Headquarters contract management policy and technical guidance
- . Receiving and reviewing all contractor reports (e.g., monthly financial and status reports) for accuracy.

### 3. CONTRACT MANAGEMENT STRUCTURE WITHIN EPA REGIONAL AND ERT OFFICES

#### 3.1 TAT Deputy Project Officers

The EPA Regional offices and the ERT office are charged with the day-to-day oversight of the TAT contractor's work in the field. In this sense, they will ensure that program policy, procedures, goals and objectives are carried out and met by the contractors with respect to specific assignments. Within each EPA Regional and ERT office, TAT DPOs will have program management responsibilities for planning, executing and controlling the utilization of dedicated TAT resources.

When the DPO (including the Headquarters DPO) plans to be out of the office and unavailable to perform contract management functions, the DPO must submit a written request, or telephone the TAT PO and CO, for approval to appoint a temporary assistant DPO to act on his/her behalf for a discrete period of time.

The DPO will interface directly with the TAT Leader. The DPOs will ensure that the TAT located in their Region provides the On-Scene Coordinators (OSCs) with necessary technical support during emergency responses. The DPO's other responsibilities include:

- . Provide TAT technical direction and oversight
- . Issue TAT work orders [e.g., Technical Direction Documents (TDDs)]\*
- . Track TAT project performance against required schedules, budgets, and procedures

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\* The DPO cannot request specific contractor personnel to work on individual TDDs.

- . Complete Acknowledgement of Completion/  
Performance Observation Report (AOC/POR)  
forms for the Regional Award Fee Performance  
Evaluation package (see Chapter VII)
- . Implement Headquarters and Regional contract  
management policy and technical guidance
- . Receive and review all contractor reports  
(e.g., monthly financial and status reports)  
for Regional accuracy.

Effective management of the TAT contract by the DPO translates into efficient utilization of the TAT contract resource.

### 3.2 On-Scene Coordinators

The On-Scene Coordinator (OSC) is the Federal official responsible for monitoring and directing all activities conducted on site during a removal action. The basic duties, activities and functions of an OSC include the following:

- . Assess degree of threat
- . Develop Action Memos
- . Direct response operations
- . Ensure site safety
- . Review and certify contractor cost reports
- . Coordinate with state, local, or Federal  
agency personnel
- . Prepare work reports
- . Participate in community relations activities
- . Determine project status
- . Monitor contractor performance
- . Write pollution reports
- . Maintain site files (cost recovery  
documentation)
- . Track project budgets against ceilings
- . Control site access.

The OSC is responsible for establishing the standards of safety for all individuals on-site at all times. If required to work on site, the TAT shall ensure that all TAT contractor personnel working at the site follow the direction of the OSC with regard to health and safety to include the required level of protection. The ERT's Safety and Occupational Health Manager makes the final determination concerning safety. (Please note that an "appeals" procedure is being developed and will be issued soon).

In addition, the OSC receives and evaluates site-related financial reports that itemize daily costs, and may be requested from the TAT within twenty-four hours. To monitor contractor progress, the OSC reviews ERCS contractor cleanup activity reports.

#### 4. TAT CONTRACTOR MANAGEMENT STRUCTURE

Until recently, the contractor for the TAT program has served on a nationwide basis. EPA has modified TAT to be a zone-based program, in which each zone contractor is responsible for providing assistance in discrete areas of the country. Organization of the Zone 1 and Zone 2 contractor personnel is shown in Exhibits III-2 and III-3, respectively. Within each zone, the contract specifies the following minimum key management positions for the TAT contractor's internal organization: 1) a Zone Program Manager (ZPM), and 2) a TAT Leader for each of the TATs (seven TATs in Zone 1 and six TATs in Zone 2). (In practice, each TAT contractor has other ZPMO personnel who assist the ZPM). The roles and responsibilities of these contract-specific managers are highlighted below.

##### 4.1 TAT Zone Program Manager (ZPM)

The ZPM shall be the single point of contact for coordination with the PO, and be responsible for the planning and execution of all tasks performed under the contract. Specific responsibilities of the ZPM include the following:

- . Manage the TAT Leaders at each location and provide assistance to procure staff for each needed team position
- . Provide overall supervision and administrative support to the TAT Leaders
- . Monitor incurrence of costs and expenditures of funds throughout the duration of the contract
- . Develop procedures and forms as required for execution of the program, uniformity of recordkeeping, and project management documentation among the TATs
- . Prepare and submit reports as specified in the contract schedule and establish procedures for the preparation and submission of required reports by the TAT Leader

- . Maintain separate accounting for all assignments designated as special projects, and site-specific accounting for work performed in conjunction with assignments to support the Regions during cleanup operations
- . Provide a detailed explanation of how indirect rates are determined for use as documentation in cost recovery litigation
- . Implement procedures to ensure that all reports prepared by the ZPMO or by the TATs are of high quality and meet the content and format requirements of the contract
- . Meet on a monthly basis with the PO and CO to discuss contract status
- . Accompany the PO during each EPA Regional management review of the Regional TATs
- . Ensure adherence to channels of communication in accordance with the project organizational links (see Exhibits III-2 and III-3)
- . Comply with all requirements for control of property as illustrated by Part 45 of the Federal Acquisition Regulations

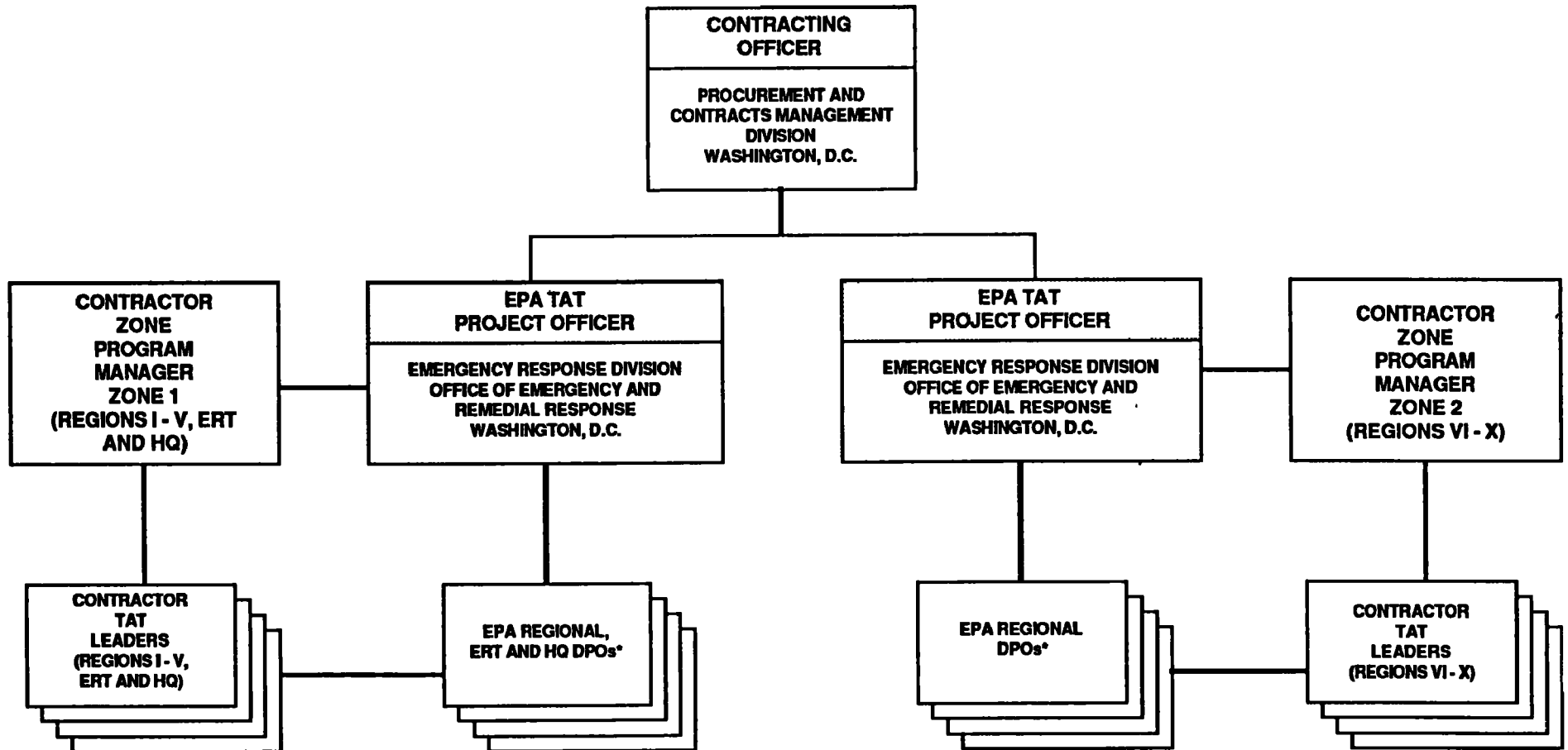
#### 4.2 Technical Assistance Team Leaders

Each TAT Leader is responsible for the overall management and maintenance of the TAT office, the direct supervision of TAT members, and ensuring quality in the performance and timely completion of tasks specified in TDDs issued by the Regional DPO. Additional responsibilities include:

- . Coordination with the ZPM and Regional DPO
- . Submission of monthly status reports and activity completion reports
- . Completion of AOC/PORs for contractor input to the Regional Award Fee Performance Evaluation package.

# EXHIBIT III-1

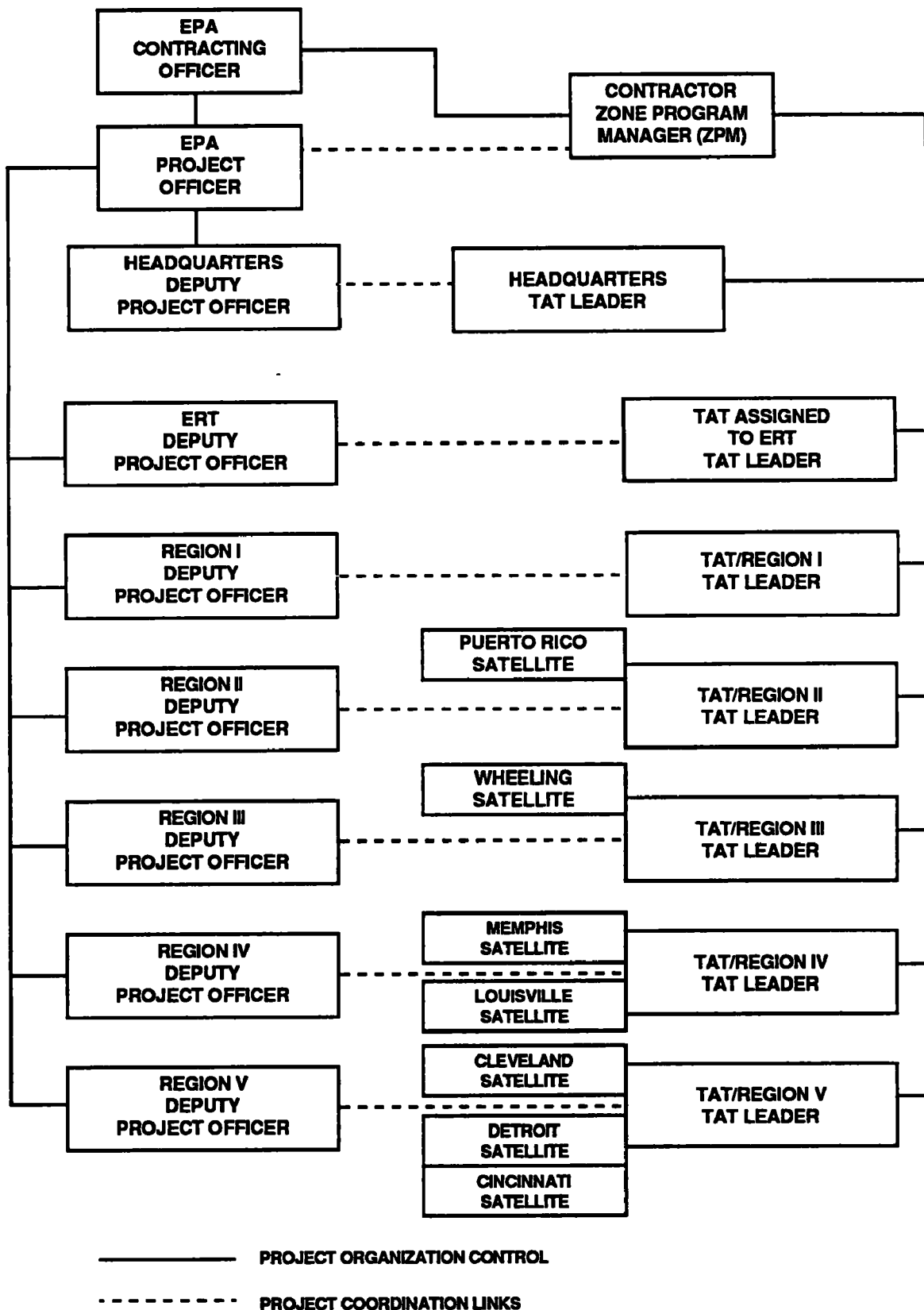
## EPA-CONTRACTOR TAT MANAGEMENT STRUCTURE



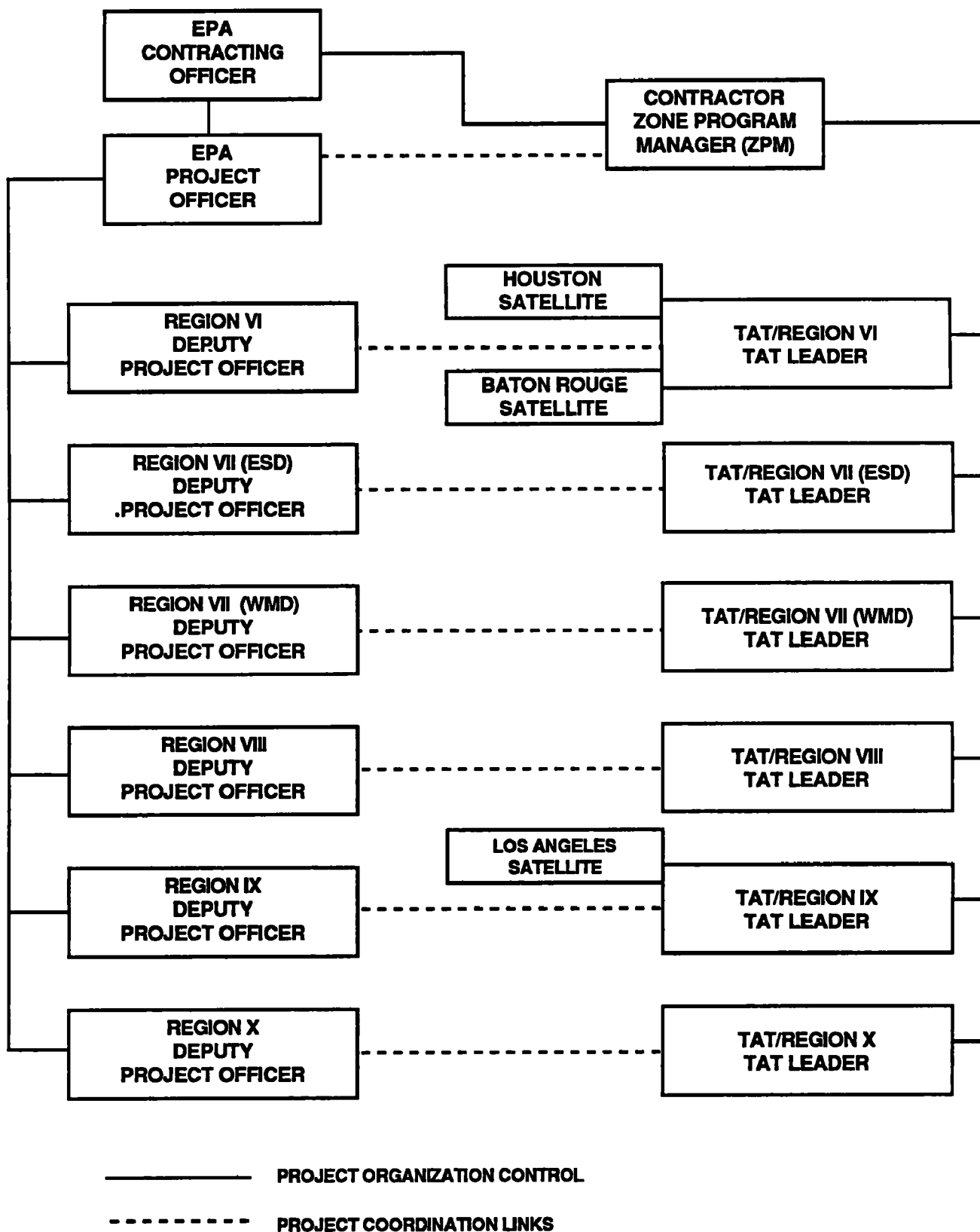
\* THERE ARE 13 TAT-DPOs RESPONSIBLE FOR OVERSEEING AND DIRECTING WORK ORDERS TO EACH OF 13 TATs (7 TATs ASSOCIATED WITH ZONE 1 AND 6 TATs ASSOCIATED WITH ZONE 2). ONE TAT IS ASSOCIATED WITH EACH OF THE TEN REGIONAL OFFICES ( PLUS ONE ADDITIONAL TAT IN REGION VII), ONE TAT IS ASSOCIATED WITH THE ENVIRONMENTAL RESPONSE TEAM IN EDISON, NEW JERSEY, AND ONE TAT PROVIDES DIRECT SUPPORT TO EPA HEADQUARTERS.



### EXHIBIT III-2 ORGANIZATION OF ZONE 1 TAT CONTRACT



**EXHIBIT III-3  
ORGANIZATION OF ZONE 2 TAT CONTRACT**



## CHAPTER IV

### INTERFACE WITH OTHER EPA CONTRACTS AND PROGRAMS AND EXTERNAL AGENCIES

## CHAPTER IV

INTERFACE WITH OTHER EPA CONTRACTS AND PROGRAMS  
AND EXTERNAL AGENCIES

## KEY TOPICS

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## CHAPTER IV

INTERFACE WITH OTHER EPA CONTRACTS  
AND EXTERNAL AGENCIES

There are six other EPA contract and program efforts that complement the TAT contract program:

- . National Contract Laboratory Program (NCLP) contracts
- . Remedial Planning (REM) and Field Investigation Team (FIT) contracts
- . Technical Enforcement Services (TES) contracts
- . Emergency Response Cleanup Services (ERCS) contracts
- . Alternative Remedial Contract Strategy (ARCS)
- . Underground Storage Tanks (UST) program.

In addition, significant interaction may occur between the TAT contractor and:

- . State and local agencies
- . United States Coast Guard (USCG)
- . Other Federal agencies (e.g. DOI) on a site-specific basis.

The following sections provide a description of, and/or highlight procedures for utilizing and interfacing with each of the above contracts, programs or agencies.

#### 1. NATIONAL CONTRACT LABORATORY PROGRAM (NCLP)

Chemical analytical support is essential to the successful investigation and cleanup of spills and hazardous substances sites. To meet this requirement, EPA has established a nationwide network of contract laboratories under the National Contract Laboratory Program (NCLP). Wholly funded with CERCLA funds, the NCLP's purpose is to provide analytical data for samples collected at sites to identify threats to public health and the environment, base assessments of risk, institute remedial response, and initiate response actions.

The TAT contractor is encouraged to use the NCLP for all analytical services except when samples can be analyzed by EPA Regional labs. The TAT contractor should contact the Regional Sample Control Center to confirm the availability of services under the NCLP or the Environmental Services Division. If specific services cannot be provided by the NCLP, or if services are not available on a timely basis, the TAT contractor may subcontract for laboratory analytical services. When the TAT contractor subcontracts the analytical services, maximum competition must be obtained in accordance with Federal Acquisition Regulations. Further, the TAT contractor is responsible for implementing a plan for quality assurance. That plan has to provide quality assurance/quality control comparable to that required under the NCLP, where analysis is being done by a non-NCLP laboratory.

Work conducted by the NCLP is coordinated by a contractor, the Sample Management Office (SMO). In its efforts to match the analytical needs of the NCLP users with appropriate contractor laboratories, the SMO has developed a manual entitled User's Guide to the National Contract Laboratory Program, December 1986. In addition to describing procedures for using the NCLP, the manual provides a complete description of all analytical services, sample requirements, and reports offered under the program. This is an extremely useful document and should be referred to in assessing analytical service - needs. For further information regarding the NCLP, write or call: Hazardous Site Evaluation Division (WH-548A), U.S. EPA, Washington, D.C. 20460, 202/382-7906 or FTS 8-382-7906.

## 2. REMEDIAL PLANNING AND FIELD INVESTIGATION TEAM CONTRACTS

The REM and FIT contracts provide technical and management support for EPA's field investigation and remedial planning activities at selected uncontrolled hazardous substance sites. Field investigation and remedial planning activities are divided among four program areas including:

- . Field investigation (e.g, pre-remedial preliminary assessments and remedial site inspections of hazardous substance sites)
- . Remedial planning activities involving the identification, evaluation and recommendation of remedial response options (e.g., remedial investigation and feasibility study)

- . Implementation of certain non-time-critical removal measures (e.g., Expedited Response Actions)
- . Technical and management support activities including enforcement support and community relations.

The interface of TAT, and REM and FIT activities can exist in the following instances:

- . Removal is required based on the findings made during the conduct of field investigation activities
- . Determination of a remedial action may be required after a removal has been completed
- . Emergency response must be initiated based on a change at a site where remedial planning or action is in progress.

Full cooperation between the personnel of these contracts is essential. Coordination of the Regional TAT DPO, REM, and FIT Regional Project Officers (RPOs), EPA Remedial Project Managers (RPMs), and/or contractor efforts will ensure a timely response to remedial site situations. All information regarding the status and technical evaluation of conditions at a particular site must be communicated to the appropriate party as warranted by a change in response actions (i.e., removal to remedial or vice versa). For further information regarding the REM contracts, write or call: Hazardous Site Control Division, (WH-548E), U.S. EPA, Washington, DC 20460; 202/382-2339 or FTS 8-382-2339. For the FIT contracts, write or call: Hazardous Site Evaluation Division (WH-548A), U.S. EPA, Washington, D.C. 20460, 202/475-9748 or FTS 8-475-9748.

### 3. TECHNICAL ENFORCEMENT SUPPORT (TES) CONTRACTS

In addition to the technical enforcement support provided by the TAT, REM and FIT contractors, EPA enforcement requires other capabilities that are, in large measure, unique to the enforcement function such as private investigations, title searches, and acquisitions and analyses of financial records. To obtain these and similar capabilities, the EPA Office of Waste Programs Enforcement (OWPE) engages the TES contractors to provide the following services, which include, but are not limited to:

- . Private investigations
- . Risk/exposure assessments
- . Responsible party searches
- . Title searches
- . Acquisitions and analyses of financial records
- . Establishment of linkages among corporate entities
- . General case development support.

There exists a strong potential for interaction between the TAT contractors and TES contractors. General management areas for coordination and communication should be anticipated. For further information regarding the TES Contracts, write or call: Office of Waste Programs Enforcement (WH-527), U.S. EPA, Washington, DC 20460; 202/382-4830 or FTS 8-382-4830.

#### 4. EMERGENCY RESPONSE CLEANUP SERVICES (ERCS) CONTRACTS

When initiating a removal action in response to a hazardous substance release, the On-Scene Coordinator (OSC) may require the services of the ERCS contractors for containment, cleanup and disposal of the released materials. Though the actual work of these cleanup contractors is directed only by the OSC, TAT personnel may assist the OSC by monitoring their progress and by performing various cost control functions to verify and document ERCS contractor costs. In this capacity, the TAT contractor assumes only an advisory role to the OSC. Any comments or suggestions from the TAT regarding the cleanup contractor activities should be directed only to the OSC.

#### 5. ALTERNATIVE REMEDIAL CONTRACT STRATEGY (ARCS)

OERR has recently developed the Alternative Remedial Contracts Strategy (ARCS). The purpose of these contracts is to obtain project management and technical services in support of EPA's remedial response activities at uncontrolled hazardous waste disposal sites. ARCS establishes a pool of remedial response contractors available in each Region or Multi-Regional Zone. Contractor activities under ARCS are similar in scope to the REM contracts described above. ARCS includes remedial investigation, feasibility studies, remedial design, and remedial construction.

There exists a potential for interaction between TAT & ARCS contractors; when working on the same site, communication and coordination between these contractors should occur. For further information regarding ARCS, write or call: Hazardous Site Control Division (WH-548E), U.S. EPA, Washington, D.C. 20460, 202/382-2347 or FTS 8-382-2347.



## 6. UNDERGROUND STORAGE TANKS (UST) PROGRAM

Under the Superfund Amendments and Reauthorization Act of 1986 (SARA), EPA's Office of Underground Storage Tanks (OUST), or a state agency under Cooperative Agreement with EPA, has been given authority to undertake corrective action with respect to any release of petroleum into the environment from an underground storage tank if such action is necessary to protect human health and the environment. A Leaking Underground Storage Tank Trust Fund (LUST) of \$500 million has been established to provide funds for these corrective actions.

In responding to petroleum releases from underground storage tanks, the OSC in charge of the Federal response may use the TAT, as well as the ERCS contractor, to provide assistance in carrying out the cleanup effort. The type of assistance provided by the TAT contractor may be similar to that provided under the CERCLA and CWA 311 programs (i.e., contractor oversight, response monitoring, site assessment, etc.). However, OSWER Directive 9360.0-16A (Guidance for Conducting Federal-Lead Underground Storage Tank Corrective Actions) and Appendix H of that Directive establish UST-specific procedures for preparation and processing of TDDs for TAT activities in the UST program. Given EPA policy that LUST Trust Fund-financed responses at UST petroleum releases will be conducted by states under Cooperative Agreements with EPA, except in rare instances, TAT contractor activity is not likely to be significant in this area. Only public health emergencies will be handled by the Federal government. Given the small amount of funding currently available for UST activities under TAT, Project Officer approval should be obtained before issuing a TDD for UST work. For further information regarding the UST contracts, write or call: Office of Underground Storage Tanks (WH-562A), U.S. EPA, Washington, D.C. 20460, 202/382-4756 or FTS 8-382-4756.

## 7. INTERACTION OF TAT WITH STATE AND LOCAL AGENCIES, THE U.S. COAST GUARD (USCG) AND OTHER FEDERAL AGENCIES

TAT interaction with state and local agencies, the U.S. Coast Guard (USCG) and other Federal agencies can occur when TAT monitoring efforts in support of the OSC are under the supervision of any of these entities. In some cases, the OSC may designate an OSC representative to act in that capacity on a temporary basis. This OSC representative may be an employee of EPA, the USCG, or a state or local agency official. For example, the USCG can procure the support of a TAT contractor during removal actions in which the USCG is acting in the capacity of

OSC. The assigned OSC or OSC representative (USCG, state, local or EPA) can direct the TAT only within the scope of the TDD issued by the DPO. The TAT may not perform duties that go beyond the scope of the TDD without the DPO's modification of the TDD. When conducting response activities, the TAT contractors should be fully aware of the particular roles and responsibilities of these external concerns and ensure that all interactions are carefully coordinated by the OSC.

CHAPTER V

PROCEDURES FOR INITIATING AND  
MANAGING TAT ACTIVITIES

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KEY TOPICS

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## CHAPTER V

## PROCEDURES FOR INITIATING AND MANAGING TAT ACTIVITIES

Exhibit V-1 illustrates the process for initiating and completing work under the TAT contracts. The process begins with the issuance of a Technical Direction Document (TDD) by the Deputy Project Officer (DPO) or Project Officer (PO) to the contractor TAT Leader or Zone Program Manager (ZPM) and ends with the submission of an Acknowledgment of Completion (AOC)/Performance Observation Report (POR) form by the TAT Leader to the DPO. This chapter presents a detailed description of the entire process including an explanation of the forms that are used to document the initiation and completion of services. It also provides a description of EPA and contractor roles and responsibilities in managing and implementing the process.

#### 1. THE TECHNICAL DIRECTION DOCUMENT (TDD)

When a need for TAT contractor services arises, the EPA DPO or PO prepares and issues a written TDD, which serves as the principal mechanism for initiating these services.\* The TDD includes background data, the scope of work to be performed, a schedule of deliverables, an estimate of time and costs required to perform the work, and other related information.

Only the DPO or PO is authorized to prepare and issue TDDs to the TAT Leader. Each DPO can issue TDDs only to the TAT Leader assigned to that particular DPO's Region. For example, the Region I DPO can issue TDDs only to the TAT Leader assigned to Region I. TDDs can also be issued by the PO to the TAT contractor ZPM for special ZPM efforts within the contract Statement of Work (SOW).

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\* The PO or DPO may also initiate contractor services through a verbal TDD, but this must always be followed by a written TDD within five calendar days.

### 1.1 Preparing the TDD

Zone 1 activities will be initiated by using the TDD form shown in Exhibit V-2(1). Zone 2 activities will be initiated using the TDD form shown in Exhibit V-2(2). The elements of each TDD are described below. The Zone 1 TDD is described first: (It should be noted that the reason there are two slightly different versions of the TDD is because each TAT contractor has a different accounting system).

Cost Center (Box 1): This block contains the number used to designate each TAT.

TDD Number (Box 2): This serial number identifies the Region in which the TDD is issued, the calendar year and month, and the sequence number of the TDD issued that month. For example, the number 2-8710-3 is interpreted as follows: 2 refers to the TAT location in Region 2 (Edison, N.J.); 87 refers to the year the TDD is issued; 10 is the month the TDD is issued; and 3 indicates that this is the third TDD issued in the month of October. (Special Projects are denoted S1, S2, S3, etc.)

Type (Box 2A): This code which is printed on the back of the form, describes the type of response activity undertaken. The code will be entered by the TAT Leader and is utilized for TAT contractor data management only.

Priority (Box 3): This box is used to denote the priority of the request. For example, the priority should reflect whether an immediate action is required (high priority), an action is to be taken within a definite time period designated in Box 6 (medium priority), or an action is to be taken within a flexible time period (low priority).

Source of Funds (Box 4): The source of funding for the TAT activity [i.e., either CERCLA/SARA, Clean Water Act (CWA) Section 311, Underground Storage Tank (UST) Trust Fund or other (e.g., Federal Emergency Management Agency)]. Only one source of funding may be used.

EPA Site Identification Number (Box 5): This number will be supplied by the DPO from the CERCLA Information System (CERCLIS). (If not applicable, mark the box N/A.)

Site Name (Box 5A): EPA site name as specified in CERCLIS. (If not applicable, mark the box N/A.)

Completion Date (Box 6): This is the date specified by the DPO for the TAT contractor submittal of the completed TDD assignment. Completion dates must not be left "OPEN."

Overtime Approved (Box 7): The DPO must specify whether overtime (time and 1/2) hours are allowable for the task outlined in the TDD. (It should be noted that in both zone contracts the LOE hours include a 20 percent overtime factor. Since the contractor must deliver a minimum 90 percent of the LOE hours to earn its full base fee, overtime approval should not be unduly withheld by the DPO. It is also noted that most TAT members do not earn premium overtime pay (i.e., they are paid at the straight time rate), and that TAT Leaders generally are not entitled to overtime payment).

Reference Info (Box 8): This item allows the DPO to provide the TAT contractor with any reference materials or supplemental information necessary to expedite TDD completion. At the same time, accountable control of such information is maintained.

General Task Description (Box 9): In this section, the PO/DPO indicates the following:

- The type of support desired
- The level of intensity required (the depth to which certain issues should be pursued)
- Any other pertinent information.

The task description must clearly delineate the goals and objectives of the activity and the desired products and/or deliverables. Ambiguous phrases such as "assist OSC" are not sufficient. Where no interim task objectives are present, continuation of the general task description can be made into Box 10.

Estimated Costs (Box 9A): An estimate of the total cost (meant to be a "not to exceed" amount) including direct labor, travel, expenses, and subcontracting. DPO's should rely on previous

data for similar tasks to derive these estimates. Also, they should coordinate with the TAT contractor to obtain estimates.

- . Estimated Hours (Box 9A): The estimate of the technical labor hours needed to accomplish the TDD assignment will be the responsibility of the appropriate PO/DPO. The estimate should be based on best engineering judgment considering knowledge of the project or task requirements, data needs, estimated cost of the project and previous experience on similar projects. Historically, estimated hours have been too low in several cases. DPOs should be sure to make reasonable allowances in the future. This judgment is generally made in consultation with the TAT Leader.
- . Specific Task Elements (Box 10): This section is to be used to elaborate on the general task description and to define interim task objectives. This section should provide the TAT Leader with a clear understanding of the objectives, expected results, and required deliverables and/or reports. If more space is needed, the continuation of the description of specific task elements should be made on a separate sheet of paper that can be attached to the TDD. It is permissible to attach standardized detailed task descriptions to the TDD for commonly occurring assignments [e.g., Spill Prevention Control and Countermeasures (SPCC) inspections].
- . Interim Deadlines (Box 11): This box is to be used to denote completion dates for interim task objectives, where applicable, within the overall task to be performed. (If not applicable, mark the box N/A.)
- . Desired Report Form (Box 12): The DPO should indicate the type of end product desired for the TDD assignment. Additional information can be provided in Box 13 or by attaching additional sheets to the TDD.
- . Comments (Box 13): This section can be used for any pertinent items not covered in any of the above sections.



Signatures and Dates (Boxes 14-17): These sections are self-explanatory. The TDDs are to be issued and signed by the PO/DPO and received and signed by the TAT Leader. If the TAT Leader judges the TDD to be out of scope, or for other reasons unacceptable, the appropriate box must be checked to show the action. A TDD considered to be unacceptable by the contractor should immediately be brought to the attention of the DPO, PO and CO. An appropriate explanation can be noted on the right-hand margin of the form. The TAT Leader should also contact the DPO immediately to explain why the TAT finds the TDD to be unacceptable.

Descriptor (Box 18): This box is completed by the TAT contractor and is used for TAT contractor internal accounting purposes.

Distribution: Distribution of the TDD will be as indicated at the bottom of the form. Copies of the TDD will be distributed to the following:

- TAT Leader
- ZPMO
- DPO
- PO
- CO.

Information required on the Zone 2 TDD is as follows:

Cost Center (Box 1A): This block contains the number used to designate each TAT.

Account No. (Box 1B): This is an internal number that the TAT Leader will assign to each TDD.

No. (Box 2): This number begins with T (signifying TAT) and represents the individual TDD number. It has nine digits: the first two represent the Region; the second two represent the year the TDD was issued; the third two are the month the TDD was issued; and the last three digits represent the number of the TDD issued for that month. For example, the TDD number T06-87-01-001 would be interpreted as follows: 06 refers to Region 6; 87 refers to the year 1987; 01 refers to January; and 001 refers to the first TDD issued during the month.

- . Priority (Box 3A): This box is used to denote the priority of the request. For example, the priority should reflect whether an immediate action is required (high priority), an action is to be taken within a definite time period designated in Box 7 (medium priority), or an action is to be taken within a flexible time period (low priority).
- . Key EPA Contact (Box 3B): This is the name and phone number of the EPA DPO or PO who issued the TDD.
- . Estimate of Total Hours and Total Costs (Box 4A): An estimate of the total technical hours and costs (meant to be a "not to exceed" amount) including labor and other expenses needed to accomplish the TDD assignment. The estimate should be developed by the DPO based on best engineering judgment considering knowledge of the project or task requirements, data needs, and previous experience on similar projects.
- . Overtime Approved (Box 4B): The DPO must specify whether overtime (time and 1/2) hours are allowable for the task outlined in the TDD.
- . EPA Site Name (Box 5A): EPA site name as specified in CERCLIS. (If not applicable, mark the box N/A.)
- . SSID No. (Box 5B): This number will be supplied by the DPO from the CERCLA Information System (CERCLIS). (If not applicable, mark the box N/A.)
- . City/County/State (Box 5C): The city, county, and state where the EPA Superfund site is located. This can be entered by either the DPO or the TAT Leader.
- . Source of Funds (Box 6): The source of funding for the TAT activity [i.e., either CERCLA, Clean Water Act (CWA) Section 311, Underground Storage Tank (UST) Trust Fund or other (e.g., Federal Emergency Management Agency)]. Only one source of funding may be used.
- . Completion Date (Box 7): This is the date specified by the DPO for the TAT contractor submittal of the completed TDD assignment. Completion dates must not be left "OPEN."

Reference Info. (Box 8): This item allows the DPO to provide the TAT contractor with any reference materials or supplemental information necessary to expedite TDD completion. At the same time, accountable control of such information is maintained.

Subtask Code (Box 8A): This box is for contractor use only, and is used for site-specific cost accounting.

Type of Activity (Box 9): The specific type of service to be provided by the TAT. Definitions of these types are presented as Appendix C.

General Task Description (Box 10): In this section, the DPO indicates the following:

- The type of support desired
- The level of intensity required (the depth to which certain issues should be pursued)
- Any other pertinent information.

The task description must clearly delineate the goals and objectives of the activity and the desired products and/or deliverables. Ambiguous phrases such as "assist OSC" are not sufficient.

Desired Report Form (Box 11): The PO/DPO should indicate the type of end product desired for the TDD assignment. The report may be as a formal report, letter report, formal briefing, or other specified format.

Specific Elements (Box 12): This section is to be used to elaborate on the general task description and to define interim task objectives. This section should provide the TAT Leader with a clear understanding of the objectives, expected results, and required deliverables and/or reports. If more space is needed, the continuation of the description of specific task elements should be made on a separate sheet of paper that can be attached to the TDD. It is permissible to attach standardized detailed task descriptions to the TDD for commonly occurring assignments [e.g., Spill Prevention Control and Countermeasures (SPCC) inspections.]

- . Interim Deadlines (Box 13): This box is to be used to denote completion dates for interim task objectives, where applicable, within the overall task to be performed. (If not applicable, mark the box N/A.)
- . Authorizing DPO (Box 14): Signature of the DPO issuing the TDD.
- . Date (Box 15): The date on which the TDD was signed and issued.
- . Received by (Box 16): Signature of the TAT Leader and indication of whether the TDD is accepted, accepted with exceptions, or rejected. If the TDD is accepted with exceptions, this should be explained on a separate piece of paper.
- . Date (Box 17): The date on which the TAT Leader signs the TDD.
- . Distribution: Indicates who gets which copies of the TDD.

An example of a completed TDD is provided in Appendix D. This example helps to illustrate three important points for the DPO to keep in mind when preparing a TDD. First, the DPO must be as specific as possible in describing the scope of work to be performed by the TAT. Second, the DPO must clearly indicate contractor reporting requirements. And, finally, it is extremely important that the DPO include in the TDD realistic estimates for technical hours and costs needed to accomplish the assignment.

Although exact tasks and response activities, particularly those involving emergency situations, may be somewhat difficult to define, it is very important to the extent possible to provide specific guidance to the contractor on the expected work scope (TDD form, Boxes 9-10 on either form). The task description should be as detailed as available information permits so that there is a clear understanding by the TAT contractor of the activity objective yet allow some flexibility for alternative and innovative actions by the contractor as conditions warrant. Examples of candidate tasks which could be performed for different types of removal response or prevention work can be extracted directly from the TAT contract SOWs contained in Appendix A.

Care must be taken by the DPO and TAT Leader to ensure that all tasks requested and performed are within the bounds of the TAT contract SOWs. Particular attention must be given to ensure that TDDs do not involve personal services. For example, the DPO must not direct the TAT to provide clerical support, travel arrangements, or other personal services for EPA staff. The DPO is also forbidden from specifying an individual TAT member to perform a task. Specific TAT staffing decisions are the responsibility of the TAT contractor.

The tasks included in any one activity will depend upon the project-specific conditions. It may prove useful for the Region to develop standardized work scopes for an activity (i.e., facility surveys and inspections) and to use this scope (modified as necessary for a specific situation) as an attachment to the TDD.

In addition, the TDD reporting requirements (Box 12, TAT 1; Box 11, TAT 2) must be spelled out such that the work product provides the degree of detail desired by the DPO and therefore facilitates accomplishment of the activity objectives. The DPO may wish to develop standard report outlines for various types of activities (i.e., facility inspection reports) and to attach these to the TDD as appropriate.

Finally, the DPO is responsible for ensuring that a realistic estimate of technical hours and costs needed to accomplish the TDD assignment is included in the TDD. As mentioned previously, DPO's historically have not allowed sufficient hours to accomplish many assignments. DPO's should provide estimates that are realistic and sufficient to do the job. These estimates may be used in three important ways to ensure that the TAT performs efficiently. First, these estimates can serve as the basis for individual TDDs. The actual hours and costs can then be compared with the estimates. Any large differences between the figures may be indicative of problems and should be reviewed by the DPO. Secondly, the estimated hours, used in combination with the estimated completion date, can help to identify the need for overtime to complete the task. Since the contract limits the overtime which may be charged, overtime must be monitored.

The third use for the estimate of technical hours is to provide the basis for comparison of total estimated hours for all active TDDs with the total technical hours available. Total technical hours available can be computed from the information in the contract. The

difference between the two figures will tell the DPO to what extent available contractor resources are being utilized. The TAT contractor can also provide this information on a regular basis (e.g., biweekly).

## 1.2 Processing the TDD

Once the TDD is completed it is signed by the DPO or the DPO's designee\* and forwarded to the contractor TAT Leader. The contractor TAT Leader can take one of three actions on the TDD. If the TDD is acceptable to the TAT Leader as issued by the DPO, the TAT Leader signs the TDD and proceeds with performance of the assigned activities. In general, the TAT contractor should be willing to accept any assignment within the bounds of the TAT contract SOW. However, as stated earlier, conducting personal services for EPA staff is not allowed.

The TAT Leader can accept the TDD with exceptions. In this case, the exceptions are to be noted on the form and a copy is returned to the DPO. The DPO and TAT Leader are to resolve these exceptions prior to the contractor commencing work. If necessary, a revised TDD should be issued reflecting resolution of any exceptions. If the issue cannot be resolved on this level, the DPO should consult with the PO in Headquarters for guidance. If necessary, the PO will consult with the contractor ZPM to try to resolve the situation. If it is resolved, the DPO may issue a revised TDD reflecting the issue resolution, and the contractor will proceed with task performance. If the PO and contractor ZPM cannot resolve the issue, the matter is referred to the CO for final resolution. Where possible, and with concurrence of the DPO, the contractor should begin work on the acceptable work elements of the TDD, pending resolution of the points at issue.

If the TAT Leader rejects the TDD, it is returned to the DPO with an explanation of the reasons for rejection. The DPO and TAT Leader are to confer to resolve the situation. If a resolution is reached, a revised TDD can be issued, if necessary, and the contractor proceeds with

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\* When the DPO plans to be out of the office and unavailable to perform contract management functions, the DPO must submit a written request, or telephone the TAT PO and CO, for approval to appoint a temporary assistant DPO. This request must be for a discrete period of time.

the task. If the DPO and the TAT Leader cannot resolve the problem, the DPO should contact the PO for guidance as explained above.

When the TDD is acceptable to both the TAT Leader and the DPO, it should be signed and dated. Appropriate copies should be placed in the contractor's and EPA's central TDD files. The DPO should then send copies of the TDD to the PO and CO.

### 1.3 Amending the TDD

In the event that an issued TDD needs a revision, the DPO must issue a TDD amendment containing the appropriate changes. Events that require TDD amendments may include, for example, an original underestimation of a project's magnitude or an acceleration of a project's period of performance. For the Zone I contract, the original TDD's number will be used together with a suffix capital letter. For example, referring to the previously cited example, if the TDD is revised, the TDD authorizing the revision would be numbered 2-8710-3A. For the Zone II contract, however, a box is provided on the TDD (Box 2) to indicate that it is an amendment. The revised TDD should include the material contained in the original TDD and the revised information so as to be capable of standing alone. Amendments are to be processed in the same manner as described above.

### 1.4 Special Project TDDs

Funding has been obligated for the performance of special projects under the TAT contracts. Special projects were discussed in Chapter II and are summarized in Appendix A. If a special project is required, the DPO may request the TAT Leader to prepare and submit a work plan and cost estimate for completing the TDD. The TAT contractor's work plan should include a detailed technical approach, schedule for completion and cost breakdown. It should be sufficiently detailed to provide a base for guiding work, measuring progress, and controlling budgets. The contractor work plan should address the elements specified in Exhibit V-3.

OSCs and DPOs should recognize the importance of adequate lead times on the contractor's ability to obtain the required competition in subcontracting.

Upon review and approval of the TAT contractor's work plan, a TDD will be issued according to the following procedures:

- . For special projects estimated to cost under \$10,000, approval authority is granted to the respective DPO or PO
- . In instances where multiple special projects are issued for the same site, the DPO's authority shall be extended to a ceiling of \$15,000 per site
- . For special projects estimated to cost \$10,000 or more, or where the total of all special projects at a site exceed \$15,000, approval authority must be obtained from both the CO and the PO.

Irrespective of the dollar values involved, some Special Projects subcontracts will require CO consent because of the contract type.

## 2. ACKNOWLEDGEMENT OF COMPLETION (AOC)/PERFORMANCE OBSERVATION REPORT (POR)

Under the previous TAT contract, the contractor was responsible for preparing an AOC form for every completed TDD. This form, which was submitted to the DPO, signified that the assigned work had been completed.

Under the present zone contracts, the AOC form has been combined with the POR form. The POR form is used by the contractor and EPA to evaluate the contractor's performance on the TDD. The AOC and POR forms have been combined in order to avoid unnecessary duplication of information. By combining AOC and POR information on one form, the paperwork burden will be reduced and time will be saved, both for the contractor and for EPA. This implements the DPOs' suggestions to improve and streamline the Performance Evaluation/Award Fee Process.

The AOC/POR form will be initiated by the TAT Leader, who will be responsible for describing what actions were taken on the assignment, what results were obtained, and how well the contractor performed vis-a-vis the TDD's requirements. In this way, the AOC/POR serves both as a document that signifies completion of the assignment (AOC) and one that provides the contractor's self-assessment of performance on the assignment (POR). Alternatively, the AOC/POR can be treated as just an AOC (signifying completion of the assignment) and not as a combined AOC/POR. This occurs at the time the AOC/POR is received by the DPO, who decides whether or not to evaluate the contractor's performance on the particular TDD. If the decision is to evaluate the contractor's performance, the DPO will describe the performance and provide a rating, from "1" to "5", on the form. If the decision is not to



evaluate the contractor's performance, the DPO will ignore the evaluation parts of the form and treat it simply as an AOC. The AOC portion of the AOC/POR includes information on actual labor hours expended, the total cost of the action, and the type of response taken. The POR portion provides a description and rating of the contractor's performance on the TDD. It is strongly suggested that the DPO meet with the TAT Leader each evaluation period to discuss which AOC/PORs should be included as part of the award fee process.

The TAT Leader must submit the completed AOC/POR to the DPO within ten working days of task completion. The form can be either an interim AOC/POR or a final AOC/POR, depending on whether final cost data are available at time of submittal. The same form should be used to record interim and final costs. It is not necessary to prepare separate forms.

## 2.1 Preparing the AOC/POR

Copies of the AOC/POR forms that will be used for Zone 1 and Zone 2 activities are shown in Exhibits V-4(1) and V-4(2), respectively. The specific information required on these AOC/POR forms is described below, beginning first with the AOC/POR for Zone 1:

- . Cost Center: This block contains the number used to designate each TAT.
- . Contract No: The TAT Zone 1 contract number is 68-01-7367.
- . Contractor: The TAT Zone 1 contractor is Roy F. Weston, Inc.
- . TDD Number: This box should contain the same number that is in Box Number 2 of the TDD. This information provides assurance that each TDD is completed.
- . Reporting Element: This specifies which TAT (i.e., assigned to which Region) performed the work.
- . Date(s) of Reported Observation: This box should contain the period of performance of the TDD activities.

- . Approx. No. of Hours: This box should contain the same number that is in Box Number 9 of the TDD.
- . Report Format: This should agree with Box 12 of the TDD (TAT Zone 1).
- . Performance Evaluation Category: This should contain the type of activity conducted under the TDD; examples are stated in the SOW (Appendix A).
- . Description of Contractor Observation: This section should provide a description of the actions taken by the TAT in response to the TDD. Sufficient detail should be included to provide a reasonably clear indication of what response action took place and what level and quality of performance was attained. Ambiguous phrases such as "assisted OSC" should be avoided. In the case of non-response-type assignments, for example, training course attendance, description should show how the activity is related to the overall TAT contract SOW. The TAT Leader should reference all deliverables produced. Where formal briefings, information briefings, etc., have been requested and no formal written submittal of information has been requested by the DPO, copies of notes and materials used in the presentation should be made available to the DPO or the appropriate staff. It is important that the reports furnished by the contractor be in conformance with the specific instructions given in the TDD. NOTE: If the space is not sufficient for the description, additional pages should be attached to the form, as necessary.
- . Rating: The TAT Leader rates the quality of the performance, with "5" indicating exceptional and "1" indicating unsatisfactory. All AOC/PORs should receive ratings. For further information, see the description of the performance evaluation plan, Chapter VII.
- . Signature of Contractor: The TAT Leader signs the AOC/POR form.
- . Date: The TAT Leader dates the form.

For an explanation of the following items, see the description in Chapter VII.

. Description of EPA Observation  
 . Rating  
 . Signature of EPA  
 . Date  
 . Rating  
 . Signature of HQ  
 . Date.

The DPO accepts or rejects the assignment as complete by checking the following box:

- . DPO Action: The DPO should check the appropriate box to indicate the quality of the completed project assigned by the TDD. The DPO's options are as follows:
- If the DPO accepts the AOC, it is signed. The original form is then returned to the contractor and copies sent as indicated below so that the TDD can be closed out and payment made to the contractor.
  - The DPO can accept the AOC with exceptions, which are to be noted on the form. Copies are then distributed as above.
  - The DPO can reject the AOC. In this case, the form is returned to the TAT Leader with an explanation of the reasons for rejection and measures required to bring the assignment into conformance.

Before submitting the AOC/POR to the DPO, the TAT Leader should also complete the following:

- . Cost to Date: If total cost figures are unavailable when the AOC is submitted, the TAT must include interim cost figures and provide the date through which the costs were calculated. This is an interim AOC if total costs are not reported.
- . Total Cost to Closure: This is the total cost of work performed under the TDD including direct labor, travel, expenses, analytical services, and subcontracts (if applicable). If total cost information is not available within ten working days of task completion, an interim AOC should be submitted with interim cost figures.
- . Actual Total Hours: The total technical hours required by the TAT contractor to conduct and

complete the requirements of the TDD must be recorded in this block. Technical hours do not include secretarial and typing support. If information regarding total technical labor hours expended is not available within ten working days of task completion, an interim AOC should be submitted with interim labor hour figures.

Signatures: The signature blocks are used to indicate whether the form is an interim AOC or a final AOC. The signatures are provided as assurances that the TAT Leader has completed the assignment in the best manner and in accordance with the understanding of the task and that the DPO has received the completed assignment within the required time frame.

Distribution: After the TAT Leader completes the AOC, the original and all copies are distributed to the DPO, who decides whether to accept or reject it. If rejected, the AOC is returned to the TAT Leader. If accepted, it is completed and distributed according to the distribution list at the bottom of the form. An interim AOC is distributed differently than a final AOC. If it is interim, the DPO removes the bottom sheet (Goldenrod), places it in the central file, and returns the remaining copies to the TAT Leader. When final costs become available, the TAT Leader fills in the "cost to date" and the "actual total hours" and returns it to the DPO for signature. The DPO then distributes the final AOC as indicated at the bottom of the form.

- Sheet 1 (white) to the Headquarters Evaluation Coordinator
- Sheet 2 (white) to the DPO
- Sheet 3 (blue) to the TAT Leader
- Sheet 4 (green) to the ZPM
- Sheet 5 (canary) to the PO
- Sheet 6 (pink) to the CO.

The AOC/POR for Zone 2 will require the following information elements:

- Cost Center: Same as on the Zone 1 TDD.
- Contract No.: The TAT Zone 2 contract number is 68-01-7368.

- . Contractor: The TAT Zone 2 contractor is Ecology and Environment, Inc.
- . TDD No.: Same number as shown in Box 2 of the Zone 2 TDD.
- . Reporting Element: Same description as for TAT Zone 1 AOC/POR.
- . Date(s) of Reported Observation: Same description as for TAT Zone 1 AOC/POR.
- . Approx. No. of Hours: Same description as for TAT Zone 1 AOC/POR.
- . Account No.: Same as the number on the Zone 2 TDD, Box 1B.
- . Performance Evaluation Category: Same description as for TAT Zone 1 AOC/POR.
- . Description of Contractor Observation: Same description as presented for the Zone 1 AOC/POR.
- . Rating: Same description as for TAT Zone 1 AOC/POR.
- . Signature of Contractor: Same description as for TAT Zone 1 AOC/POR.
- . Date: Same description as for TAT Zone 1 AOC/POR.

If the DPO will use the form as a POR, the following items are also completed:

- . Description of EPA Observation
- . Rating
- . Signature of EPA
- . Date
- . Signature of Regional POR Coordinator
- . Date
- . HQ Coordinator's Evaluation
- . Rating
- . Signature of HQ
- . Date.

For an explanation of this portion of the AOC/POR, see the description in Chapter VII. The AOC portion of the AOC/POR continues with the following:

- . DPO Action: The DPO should check the appropriate box to indicate the quality of the completed

project assigned by the TDD. The DPO's options are as follows:

- If the DPO accepts the AOC, it is signed. The original form is then returned to the contractor and copies sent as indicated below so that the TDD can be closed out and payment made to the contractor.
- The DPO can accept the AOC with exceptions, which are to be noted on the form. Copies are then distributed as above.
- The DPO can reject the AOC. In this case, the form is returned to the TAT Leader with an explanation of the reasons for rejection and measures required to bring the assignment into conformance.

Before submitting the AOC/POR to the DPO, the TAT Leader should also complete the following:

- . Actual Total Hours: Same as for the Zone 1 AOC.
- . Total Cost to Date: Same as for the Zone 1 AOC.
- . Total Cost to Closure: Same as for the Zone 1 AOC.
- . Signature and Dates: Same as for the Zone 1 AOC.
- . Distribution: Indicates who receives which copy of the AOC.

Finally, the TAT Leader should attach a blank copy of Part II, the Worksheet of the POR, to the completed Part I, before submitting it to the DPO.

## 2.2 Processing the AOC/POR

All AOC/POR forms are initiated by the TAT Leader, who is responsible for completing the contractor-designated information on the top one-third of the form. The TAT Leader is responsible for providing a rating, from "1" to "5", on every AOC/POR submitted, which provides EPA with the contractor's self-evaluation of performance on the assignment.

If total project costs are not known at the time the AOC/POR is due for submission (i.e., within ten working days of project completion), the TAT Leader should prepare and submit an interim AOC, signing the form in the

appropriate place. The interim AOC should contain information on costs incurred to date. The DPO will then complete and sign the interim AOC, retain the last copy for the files, and return the package to the TAT Leader.

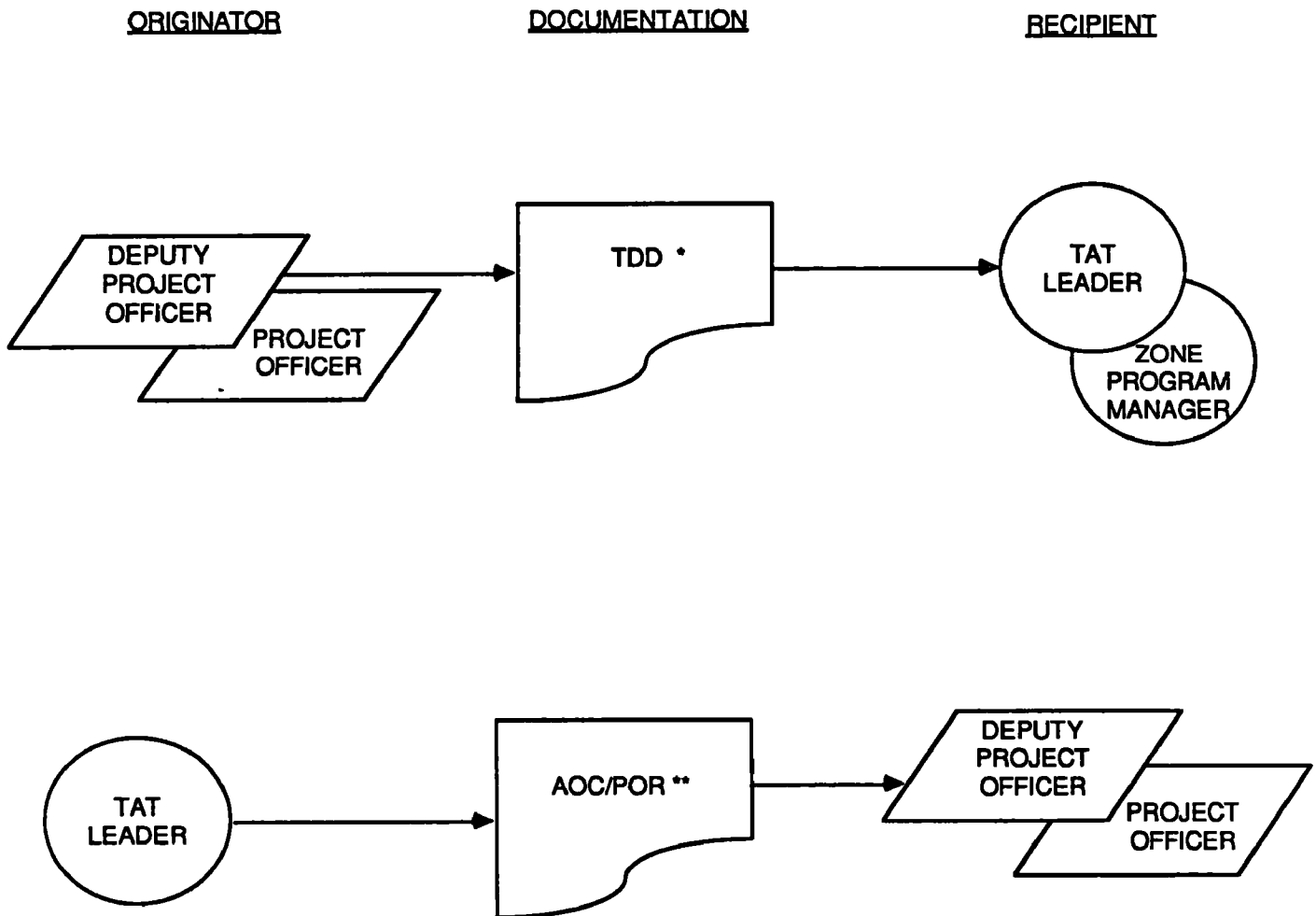
As soon as final project cost information becomes available, the TAT Leader should submit a final AOC/POR with this information, using the original (interim) AOC/POR form, and signing it in the appropriate place. It is the DPO's responsibility to ensure that this procedure is followed.

The DPO is also responsible for deciding whether the AOC/POR will be used only as an AOC or as a combined AOC/POR. In accordance with the TAT contract and the TAT award fee plan, the DPO must ensure that evaluations (POR portions) are prepared for at least 60 percent of the level-of-effort hours assigned during the evaluation period. The DPO should decide which AOC/PORs will be treated as PORs in conjunction with the TAT Leader. If it is used only as an AOC, the DPO does not need to describe and rate the contractor's performance on the form. If it is used as a combined AOC/POR, however, then the DPO must describe and rate the contractor's performance. Instructions on completing the POR portion of the AOC/POR are presented in Chapter VII, page VII-5.

Before signing and dating the AOC/POR, the DPO should make sure that all materials and services specified in the TDD have been provided within the required time frame. Also, if any written deliverables were required under the TDD, these should be reviewed for accuracy and acceptability. If they are not acceptable or if some materials or services have not been provided as required, the DPO should inform the TAT Leader of these problems and explain how they should be resolved. Once resolved, the DPO should approve the final AOC/POR by signing and dating it, placing it in a central file, and forwarding copies to the PO and CO.

EXHIBIT V-1

Process for Initiating and Completing TAT Contractor Services



\* TDD -- TECHNICAL DIRECTION DOCUMENT

\*\* AOC/POR -- ACKNOWLEDGEMENT OF COMPLETION/PERFORMANCE OBSERVATION REPORT



## EXHIBIT V-2(1)

1. COST CENTER	<b>TAT – CONTRACT 68-01-7367</b> <b>TECHNICAL DIRECTION DOCUMENT (TDD)</b> OHM EMERGENCY RESPONSE AND SPILL PREVENTION PROGRAM  <b>ROY F. WESTON INC.</b>			2 NO
		2A TYPE		
3. PRIORITY  <input type="checkbox"/> HIGH (1) <input type="checkbox"/> MEDIUM (2) <input type="checkbox"/> LOW (3)	4. SOURCE OF FUNDS <input type="checkbox"/> CERCLA (1) <input type="checkbox"/> 311 (2) <input type="checkbox"/> UST (3) <input type="checkbox"/> FEMA (4)	5. EPA SITE ID  5A EPA SITE NAME	6. COMPLETION DATE  7. OVERTIME APPROVED <input type="checkbox"/> YES <input type="checkbox"/> NO	8. REFERENCE INFO.  <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> ATTACHED <input type="checkbox"/> PICK UP
9 GENERAL TASK DESCRIPTION				
9A. ESTIMATED COST \$		ESTIMATED HOURS		
10. SPECIFIC ELEMENTS		11. INTERIM DEADLINES		
12D. DESIRED REPORT FORM                      FORMAL REPORT <input type="checkbox"/> LETTER REPORT <input type="checkbox"/> FORMAL BRIEF <input type="checkbox"/>  OTHER (SPECIFY)				
13. COMMENTS				
14. AUTHORIZING DPO				15 DATE
(SIGNATURE)				
16 RECEIVED BY <input type="checkbox"/> ACCEPTED <input type="checkbox"/> ACCEPTED WITH EXCEPTIONS <input type="checkbox"/> REJECTED  (TATL SIGNATURE)				17 DATE
18. DESCRIPTOR				

[illegible]

## **distribution**

Sheet 1	White	DPO Copy
Sheet 2	Blue	TATL Copy
Sheet 3	Green	ZPM Copy
Sheet 4	Canary	PO Copy
Sheet 5	Pink	CO Copy
Sheet 6	Goldenrod	DPO Original (Unsigned by TATL)

EXHIBIT V-3

Contractor Workplan Elements

1. Objectives and scope of the proposed activity and its relationship to other activities.
2. Technical approach for the activity, anticipated problems, and proposed solutions.
3. A detailed breakdown of tasks to be performed.
4. Description of work to be performed under each task, including objectives and scope, information sources, and methods to be used.
5. Analysis of resources (level) expected for each task.
6. Anticipated total labor cost for each task.
7. Identification and tabulation of total direct costs for each major work element.
8. Schedule, including critical path and milestones.
9. Listing and schedule of deliverables.
10. Safety and contingency measures.

Cost Center		<b>ACKNOWLEDGEMENT OF COMPLETION PERFORMANCE OBSERVATION REPORT: PART I</b>			
Contract No: 68-01-7367		Contractor: Roy F. Weston, Inc.			TDD No.
Reporting Element		Date(s) of Reported Observation		Approx. No. of Hours	<input type="checkbox"/> Format Report <input type="checkbox"/> Letter Report <input type="checkbox"/> Formal Briefing <input type="checkbox"/> Other (Specify)
Performance Evaluation Category:					
Description of Contractor Observation By: _____ Name/Title					
Rating: 5,4,3,2,1		Signature of Contractor:			Date:
Description of EPA Observation By: _____ Name/Title					
Rating: 5,4,3,2,1		Signature of EPA:			Date:
Signature of Regional POR Coordinator:					Date:
HQ Coordinator's Evaluation By: _____ Name/Title					
Rating: 5,4,3,2,1		Signature of HQ:			Date:
DPO Action: <input type="checkbox"/> Accepted <input type="checkbox"/> Accepted with Exceptions <input type="checkbox"/> Rejected					
Cost To Date: _____ * Date: _____			Actual Total Hours: _____		
Total Cost To Closure: _____			_____		
I certify that the attached materials meet and comply with all requirements of the subject TDD.					Date:
_____ TATL Signature (Interim)		_____ TATL Signature (Final)			Interim
					Final
I acknowledge that I have been provided with the materials and services specified in the subject TDD within its original or revised time frames.					Date:
_____ DPO Signature (Interim)		_____ DPO Signature (Final)			Interim
					Final

Sheet 1 White - Hdqtrs Coordinator  
 Sheet 2 White - DPO Copy  
 Sheet 3 Blue - TATL Copy  
 Sheet 4 Green - ZPM Copy

Sheet 5 Canary - Project Officer Copy  
 Sheet 6 Pink - Contracting Officer Copy  
 Sheet 7 Goldenrod - DPO (Interim Copy)

<b>COST CENTER</b>	<b>ACKNOWLEDGEMENT OF COMPLETION PERFORMANCE OBSERVATION REPORT: PART I</b>		<b>CONTRACT NO.</b> 68-01-7368
<b>CONTRACTOR:</b> Ecology and Environment, Inc.			<b>TDD NO.</b>
<b>REPORTING ELEMENT</b>	<b>DATE(S) OF REPORTED OBSERVATION</b>	<b>APPROX. NO. OF HOURS</b>	<b>ACCOUNT NO.</b>
<b>PERFORMANCE EVALUATION CATEGORY</b>			
<b>DESCRIPTION OF CONTRACTOR OBSERVATION BY</b>			
<b>RATING: 5, 4, 3, 2, 1</b>	<b>SIGNATURE OF CONTRACTOR.</b>		<b>DATE</b>
<b>DESCRIPTION OF EPA OBSERVATION BY</b>			
_____ NAME/TITLE			
<b>RATING: 5, 4, 3, 2, 1</b>	<b>SIGNATURE OF EPA.</b>		<b>DATE:</b>
<b>SIGNATURE OF REGIONAL POR COORDINATOR:</b>			<b>DATE.</b>
<b>HQ COORDINATOR'S EVALUATION BY.</b>			
_____ NAME/TITLE			
<b>RATING: 5, 4, 3, 2, 1</b>	<b>SIGNATURE OF HQ:</b>		<b>DATE:</b>
<b>DPO ACTION.</b> <input type="checkbox"/> <b>ACCEPTED</b> <input type="checkbox"/> <b>ACCEPTED WITH EXCEPTIONS</b> <input type="checkbox"/> <b>REJECTED</b>			
<b>COST TO DATE:</b> _____ <b>DATE:</b> _____		<b>ACTUAL TOTAL HOURS:</b> _____	
<b>TOTAL COST TO CLOSURE.</b> _____		_____	
<b>I CERTIFY THAT THE ATTACHED MATERIALS MEET AND COMPLY WITH ALL REQUIREMENTS OF THE SUBJECT TDD.</b>  <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> _____ TATL SIGNATURE (INTERIM) </div> <div style="width: 45%;"> _____ TATL SIGNATURE (FINAL) </div> </div>			<b>DATE.</b>  _____ INTERIM  _____ FINAL
<b>I ACKNOWLEDGE THAT I HAVE BEEN PROVIDED WITH THE MATERIALS AND SERVICES SPECIFIED IN THE SUBJECT TOD WITHIN ITS ORIGINAL OR REVISED TIME FRAMES.</b>  <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> _____ DPO SIGNATURE (INTERIM) </div> <div style="width: 45%;"> _____ DPO SIGNATURE (FINAL) </div> </div>			<b>DATE:</b>  _____ INTERIM  _____ FINAL

## Distribution

Sheet 1 White	- HQS Coordinator	
Sheet 2 White	- DPO Copy	
Sheet 3 Blue	- TATL Copy	
Sheet 4 Green	- ZPM Copy	
Sheet 5 Canary	- PO Copy	
Sheet 6 Pink	- CO Copy	
Sheet 7 Goldenrod	- DPO Interim	

CHAPTER VI  
MONITORING PROJECT PERFORMANCE  
AND FINANCIAL MANAGEMENT

## CHAPTER VI

MONITORING PROJECT PERFORMANCE  
AND FINANCIAL MANAGEMENT

## KEY TOPICS

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## CHAPTER VI

MONITORING PROJECT PERFORMANCE  
AND FINANCIAL MANAGEMENT

In order to ensure that the TAT contractors are progressing satisfactorily in implementing assigned tasks and in meeting planned financial and programmatic objectives, it is necessary for EPA to regularly monitor contractor performance in these areas. Such monitoring is important to achieving an early identification and prevention of potential problems that otherwise may adversely affect the smooth operation and implementation of the program.

Primary responsibility for monitoring performance of the TAT contractors is that of the Deputy Project Officer (DPO). Specific responsibilities include the following:

- Ensuring that the TAT contractors prepare and submit all required reports on time

- Establishing and maintaining central filing systems for appropriate contract and program documentation

- Establishing and maintaining a log for tracking Technical Direction Documents (TDDs)

- Conducting Regional TAT contractor office reviews.

The following sections discuss each of these responsibilities in more detail.

### 1. CONTRACTOR REPORTS

The TAT contractors are required to submit several reports to EPA, all of which should be used by the DPOs to monitor project performance. A list of these reports is presented in Exhibit VI-1. The DPO is responsible for ensuring that all of these reports are prepared and submitted on time by the contractors and that their contents are accurate and appropriate. If not, the DPO should notify the TAT Leader of any problems and make certain that any necessary corrections are made. The Project Officer (PO) and Contracting Officer (CO) should also review these reports on a regular basis, and if problems are identified, should notify the Zone Program Manager (ZPM).



Detailed information on each required contractor report is presented below.

### 1.1 Financial Management Report

The ZPM is responsible for submitting an initial Financial Management Report within fifteen days of the effective date of the contract and should include information on the following:

- . Contractor name and contract name
- . Total contract dollars
- . Time (contract period of performance in months)
- . The projected rate of expenditure on a cumulative basis of the estimated contract cost over the period of contract performance by month. This projection (baseline) shall not change during the life of the contract without concurrence of the CO.

In addition, each month the ZPM is responsible for submitting a Financial Management Report that relates costs incurred during the month to projected expenditures contained in the initial report. This monthly financial report also compares total hours expended with total hours authorized. These data are provided both for the contract as a whole and for each TAT office. The DPOs in each Region should review these reports to make sure that actual dollars and hours expended are on target with those that have been authorized. Any problems should be reported immediately to the PO.

As part of the monthly financial management report, the ZPM is required to submit a detailed written report on the status of all contract cost elements including labor, special projects, analytical services, equipment, travel, overtime, other direct costs, and indirect rates/dollar costs. This information is formatted with an executive summary, a summary of costs on a zone-wide basis, and a breakdown of costs on a TAT and ZPM-specific basis.

Copies of the initial and monthly financial management reports should be distributed to the PO, CO, and DPOs.

### 1.2 Monthly Status Report

Not later than the twenty-fifth day of each month, the TAT Leader is responsible for submitting a written report describing the status of all tasks that have been

performed during that month under TDDs issued by the cognizant DPO. The status report should include information on:

- . Significant technical activities (provide a breakdown by task category)
- . Problems and issues (with corrective actions taken or recommended)
- . Status matrix of all active TDDs
- . Manpower and personnel summary.

The DPO should review this report for accuracy and note any inconsistencies to the PO. Copies of the report should be distributed to the PO, CO, and DPO.

### 1.3 Monthly Summary Progress Report by the ZPM

Fifteen days after the end of each month the ZPM is responsible for submitting a written progress report highlighting the activities of each TAT office during that month and identifying any problems or unique situations encountered during the month. The report should be submitted to the PO with copies simultaneously forwarded to each DPO and to the CO.

### 1.4 Site-Related Financial Reports

The TAT Leader and TAT contractor field staff are responsible for providing estimated daily cost information within twenty-four hours on all TDDs where such cost information is requested by the OSC. In addition, these daily costs should be summarized each month and submitted to the OSC in charge of the TDD as well as the cognizant DPO.

### 1.5 Program Management Information Reports

At the request of the PO the ZPM will be responsible for developing graphical presentations of program management information to reflect activities accomplished by the contractor as well as the quality of the contractor's performance. This report should be submitted to the PO.

### 1.6 Draft and Final Year-End Report

The ZPM is responsible for submitting a draft year-end report to the PO fifteen days after the end of each twelve-month period. The report should provide a brief

summary of the activities performed and planned for completion under the contract during the twelve-month period being reported. The report should include an assessment of the overall contract program (both organizational and technical) and recommendations for improving the effectiveness of the program.

EPA is responsible for reviewing and returning comments on the draft report within forty-five calendar days of receipt. The report should be reviewed by the PO, CO, and all DPOs. All comments should be coordinated by the PO. Ninety days after the end of the twelve-month period, the ZPM is responsible for incorporating EPA comments and submitting a final version of the year-end report. Copies should be sent to the PO, CO, DPO, OSC, Patent Adviser, and the EPA Library.

### 1.7 Cleanup Activity Reports

Upon request of an OSC through the DPO, the TAT Leader and TAT contractor field staff are responsible for providing reports with the following financial data and documentation:

- . TAT project ceiling
- . Estimated and actual costs
  - Monitoring non-Federal cleanup including personnel services, travel, and response costs
  - Federal cleanup including personnel services, travel, other removal costs, and equipment
  - Temporary relocation of individuals and emergency assistance including personnel services, travel, evacuation costs, and emergency assistance costs.

The OSC should contact the DPO if these reports are not received within three weeks of the date of request.

### 1.8 Pollution Reports

Whenever the contractor is assigned to monitor an emergency episode, a pollution report should be provided to the DPO to document the episode for use in enforcement actions. The report should include:

- . A description of the initial situation and the cause of the spill/emergency
- . A description of the organization of the response action and the resources committed to it
- . A description of the effectiveness of the response and removal actions
- . Recommendations for improving future response and removal actions.

In addition to the pollution reports, the TAT Leader is responsible for preparing the appropriate data forms, as specified by the DPO, for entering information on spills and hazardous substances into the Spill Prevention Control and Countermeasures (SPCC) automated data system and the Emergency Response Notification System (ERNS).

#### 1.9 ZPM TAT Office Review Report

The ZPM is responsible for making an on-site review of each TAT office at least once a year to check for compliance with contract specifications and procedures and to assess overall performance. Within three weeks of the completion of each review, the ZPM should submit a report of findings to the PO, CO, and cognizant DPO.

#### 1.10 Letter Reports

At the request of the PO or DPO, the contractor is responsible for preparing letter reports for the Office of Waste Programs Enforcement (OWPE). These letter reports will consist of information on:

- . Total labor hours and associated costs
- . Total travel and administrative costs
- . Total TAT costs
- . Statement that total cost figure is a true and accurate accounting of costs incurred at the site
- . Substantiation of indirect charges
- . Period of work performance
- . Work performed
- . List of TDD numbers and associated hours
- . Copies of TDDs and Acknowledgement of Completion/Performance Observation Reports (AOC/PORs).

### 1.11 Socio-Economic Reports

At the end of each month the ZPM is responsible for submitting a report that identifies the amount of funds spent under subcontract by the TAT contractor on small business enterprises (SBEs), minority-owned businesses (MBEs) and woman-owned businesses (WBEs). These funds must be tracked against contract goals established for these business categories.

## 2. CENTRAL FILING SYSTEM

It is each Region's responsibility to ensure that a centralized filing system is developed for storing all required documentation associated with the TAT contracts. The system should be organized to facilitate accessibility. It is suggested that TDDs, AOC/PORs (interim and final), and any deliverables associated with a project be filed together and organized sequentially. By keeping the TDD, AOC/PORs and deliverables from one project all attached in one file, the retrieval of project information for internal (e.g., costing) or external (e.g., audit) purposes is greatly simplified.

Active TDDs may be filed separately for easy access until the project is completed and an AOC/POR (interim or final) has been received. This will also facilitate the tracking of projects that may become overdue.

## 3. TDD STATUS TRACKING LOG

It is suggested that the DPO maintain a monthly log (manual or automated) that lists TDDs and their status. The log may contain information such as technical hours (estimated and actual), costs (estimated and actual), completion date (estimated and actual), and the date the AOC/POR is received. Many Regional TAT offices have automated systems in place to track the status of TDDs. Weekly reports should be generated by the contractor for use as a management tool. A copy of the weekly report should be submitted to the DPO for use as an oversight tool. A sample of a manual TDD Status Tracking Log is given in Exhibit VI-2. It is further suggested that a log of all oral directives given to the TAT be maintained.

## 4. REGIONAL TAT CONTRACTOR OFFICE REVIEWS

In order to ensure that the contractor has mechanisms in place to ensure chain-of-custody and document control, it is very important that the DPO or other Regional representatives conduct periodic spot check visits to the contractor's office to examine documentation such as time

sheets, expense records, equipment maintenance logs, and so forth. This visit is not intended to be a formal audit, but rather a means to determine whether an outside audit is necessary. Ensuring that required chain-of-custody and document control procedures are being adhered to is important in facilitating and supporting potential cost recovery actions against responsible parties. Regular monitoring is also important to ensure that government property is being properly maintained (see Chapter II). Suggested guidelines for conducting a review of Regional TAT offices are provided in Appendix D.

## EXHIBIT VI-1

## Reports And Other Documents Required Of The TAT Contractor

<u>Document</u>	<u>Originator</u>	<u>Reporting Frequency</u>	<u>Distribution (number of copies)</u>
• Financial Management Report	ZPM	15 days after award and monthly, 20 days after end of month	Each DPO 7 (Zone 1) 6 (Zone 2) Project Officer 1 Contracting Officer 2
• Monthly Status Report	TAT Leader	25th day of each month	Cognizant DPO 7 (Zone 1) 6 (Zone 2) Project Officer 1 Contracting Officer 2
• Monthly Summary Progress Report	ZPM	15 days after end of month reported	Each DPO 7 (Zone 1) 6 (Zone 2) Project Officer 1 Contracting Officer 2
• Site-Related Financial Reports	TAT Leader & TAT Staff	Daily, with monthly summary, as specified in selective TDDs	Cognizant OSC 1 Cognizant DPO 1
• TAT Office Review Report	ZPM	Once per year, 3 weeks following completion of each review	Project Officer 1 Contracting Officer 2 Cognizant DPO 1
• Letter Reports	TAT Leader & TAT Staff	As specified in TDD	Office of Waste Programs Enforcement (OWPE)
• Socio-economic Reports	ZPM	End of each month	Hazardous Site Evaluation Division (HSED) 1 Project Officer 1 Contracting Officer 1 Small Business Specialist 1
• Quality Assurance Data Reports	ZPM	End of each month	HSED 1
• Draft and Final Year-end Reports	ZPM	Draft - 15 days after the end of each 12-month period  Final - 90 days after the end of each 12-month period	Project Officer 2  Project Officer 5 Each DPO 7 (Zone 1) 6 (Zone 2) Contracting Officer 2 Patent Adviser 1 EPA Library 1
• Program Management Information	ZPM	At direction of Project Officer	Project Officer 1
• Pollution Reports (POLREPS)	TAT Leader	At the direction of the DPO	Cognizant DPO 1
• Cleanup Activity Reports	TAT Leader & TAT Staff	Three weeks from request, as specified in selective TDDs	Cognizant OSC 1 Cognizant DPO 1 Project Officer 1 Contracting Officer 1

**EXHIBIT VI-2**  
**SUGGESTED FORMAT FOR TDD STATUS TRACKING LOG**

MONTH _____		HOURS AVAILABLE _____				
TDD #	DESCRIPTIVE TITLE	DATE ISSUED	HOURS EST.    ACTUAL	COST EST.    ACTUAL	COMPLETION DATE EST.    ACTUAL	AOC/POR RECEIVED (DATE)

VI-10



CHAPTER VII  
PERFORMANCE EVALUATION PLAN

## CHAPTER VII

## PERFORMANCE EVALUATION PLAN

## KEY TOPICS

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## CHAPTER VII

## PERFORMANCE EVALUATION PLAN

1. COST-PLUS-AWARD-FEE (CPAF) PERFORMANCE EVALUATION PLAN

The TAT contracts are Cost-Plus-Award-Fee (CPAF) contracts, which provide for a "base" fee percentage of the cost of the contract plus a variable "award" fee fixed at a predetermined percentage of the estimated cost of the contract. Each contractor is guaranteed the base fee, but must earn all or part of the award fee through demonstrated performance.

Initiation of the performance evaluation process is the responsibility of the EPA Regional offices, which are charged with monitoring the day-to-day activities conducted by the TAT contractors. Regional performance monitors and Deputy Project Officers (DPOs) will review projects, tasks, and activities performed by the contractor and complete the Performance Observation Report portion of the Acknowledgment of Completion/Performance Observation Report (AOC/POR) forms, which are transmitted from the Region to the Project Officer (PO), who will serve as Evaluation Coordinator. The TAT Leader may initiate this process by preparing Part I of the AOC/POR. Following Headquarters review, these reports will be assembled into a package to be presented to the Performance Evaluation Board (PEB) for award fee determination.

Exhibit VII-1 presents the organizational structure the Agency will utilize for the award fee performance evaluation process for the TAT contracts. This chapter outlines the procedures that will be followed by the Regions and by Headquarters; their respective roles and responsibilities; and the performance evaluation categories, criteria and schedules required to successfully complete the process. The remainder of the chapter is divided into three sections, which include

- . Regional coordination of the performance evaluation process
- . Headquarters coordination of the performance evaluation process
- . Performance evaluation categories and criteria.

Example AOC/PORs and other required support documentation are included in Appendix D for illustrative purposes.

## 2. REGIONAL COORDINATION OF THE PERFORMANCE EVALUATION PROCESS

This section describes the organization, roles, and responsibilities of EPA Regional and TAT contractor personnel; the preparation of AOC/PORs (hereafter referred to as PORs); and the submission of the Regional performance evaluation package.

### 2.1 Organization, Roles and Responsibilities of EPA Regional and TAT Contractor Personnel

There are four distinct groups of EPA and contractor personnel involved with the award fee performance evaluation process at the Regional level, which include:

- . EPA performance monitors
- . EPA TAT DPOs
- . EPA Regional POR Coordinators
- . TAT Leaders.

The roles and responsibilities of each group are highlighted below.

#### 2.1.1 EPA Performance Monitors

Normally, performance monitors will be the DPO for each Regional or ERT office where a TAT has been assigned, and the DPO for the TAT assigned to EPA Headquarters. On-Scene Coordinators (OSCs) may also be designated as performance monitors by the DPO. On occasion, performance monitors might also include, for example, representatives from enforcement or public affairs if the work performed by the TAT contractor was explicitly assigned to support these parties (e.g., community relations plan development). Performance monitors will review projects, tasks, and activities performed by the TAT contractors, and complete CPAF PORs. DPOs are also principally responsible for reviewing and commenting on PORs. This may be accomplished through consultation with appropriate performance monitors. Details concerning the preparation of PORs are discussed later in this section.

#### 2.1.2 EPA Deputy Project Officers (DPOs)

The TAT DPO interfaces directly with the TAT Leader. In addition to serving as a performance

monitor, the DPO may delegate performance monitor responsibility to OSCs or other appropriate Regional personnel (see previous page), who have been responsible for directly overseeing work efforts of the TAT contractor. The DPO will also support the Regional POR Coordinator in preparing the Regional performance evaluation package to be submitted to Headquarters.

### 2.1.3 Regional POR Coordinator

Each EPA Regional and ERT office must designate one individual who will act as the Regional POR Coordinator and have prime responsibility for organizing the Regional performance evaluation package for submission to EPA Headquarters. Since there are two TATs located in EPA Region VII that comprise separate performance evaluation categories, this responsibility can be assumed by either a single or two separate individuals at the discretion of the Region.

The Regional POR Coordinator must obtain all PORs from the DPO, and review the reports to ensure that they have been completed accurately. In addition, the Coordinator must review the PORs to ensure that the rating (i.e., score) assigned to the performance observation is supported by the narrative evaluation. The Regional POR Coordinator will then organize the information into a Regional performance evaluation package and submit the package to the Headquarters Evaluation Coordinator. Details concerning completion of the package are discussed later in this section.

The POR Coordinator is also responsible for development of a numerical index of PORs and the preparation of a narrative summary that characterizes the quality of the contractor's performance during the evaluation period. This summary will also discuss in detail the manner in which significant work activities were accomplished.

### 2.1.4 TAT Contractor Personnel

Under the direction of EPA performance monitors each TAT Leader will prepare PORs for the DPO's or other designated EPA performance monitor's review and comment. The Zone Program Manager (ZPM) will assume responsibility for

coordination of PORs prepared for overall program management by the PO. The ZPM will also interact with the TAT Leaders, PO, and DPOs to resolve conflicts concerning TAT performance as reported in individual PORs. In this capacity, the ZPM will work with the PO to alleviate problems identified through the performance evaluation process, modifying operating procedures for conducting activities specified in the contract Statement of Work (SOW), as appropriate.

## 2.2 Preparation of Award Fee Performance Observation Reports

Performance information in the form of one or more individual performance observations will be reported on AOC/PORs and submitted directly to the cognizant Evaluation Coordinator in accordance with an established schedule. Each report will be supported by sufficient information to provide the reader with a clear understanding of the significance of the observation and its impact. The monitors will report each observation on a separate sheet (i.e., two or more observations will not appear on the same POR sheet).

To record the evaluation of the TAT contractor's performance, the AOC/POR form shown in Exhibits VII-2 and VII-3 will be used.\* Part I, Exhibit VII-2, is entitled Acknowledgement of Completion/Performance Observation Report, and provides for a summary of pertinent information regarding the work under consideration and an overall evaluation and rating of the TAT contractor's performance. Evaluations should document how and why the contractor's performance was meritorious or deficient. They should also be consistent with the POR "scores" given. Adjectives used to describe the TAT's performance should be in accordance with those found in the performance spectrum. Part II, Exhibit VII-3, entitled Evaluation Criteria Rating Worksheet, provides a worksheet that can be used to prepare and support the overall evaluation and rating included in Part I.

All Part I AOC/PORs will be initiated by the TAT Leader or ZPM, who will be responsible for narratively describing and rating contractor performance on each completed TDD. Part II AOC/PORs, however, will be completed only by the DPO, OSC, or PO. A blank Part II should be attached to each AOC/POR Part I submitted by the contractor to EPA.

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\* See Appendix D for a completed sample POR (Parts I and II)

Once the AOC/POR is received by the DPO, a decision must be made whether or not to treat it as a POR. The DPO is responsible for assuring that PORs are completed on a sufficient number of Technical Direction Documents (TDDs) to represent at least 60 percent of the hours expended during the evaluation period. If the decision is to treat it as a POR, the DPO (or OSC) should first complete Part II of the POR and then, based on this information, describe the contractor's performance in the designated space on Part I of the form and provide a rating from "1" to "5" (see Section 4.3 for an explanation of the ratings). The rating must be consistent with the narrative description.

It is up to the DPO to decide which AOC/PORs will be included in the Regional performance evaluation package to be submitted to the Headquarters Evaluation Coordinator. It is suggested that this decision be made in conjunction with the TAT Leader. One approach is for the DPO and TAT Leader to meet at a specified time prior to completion of each evaluation period to discuss and decide which TDDs should be included in the Regional evaluation package. Another approach, and one which is strongly recommended, is to meet several times throughout the trimester. By doing this, submission of AOC/PORs to the PO could be staggered and an unnecessary rush avoided at the end of each evaluation period.

In filling out the Part II Worksheet, the DPO should include all these information elements:

- . Contract No.: Should agree with TDD.
- . Contractor: Should agree with TDD.
- . TDD No.: Should agree with TDD.
- . Reporting Element: The particular TAT being observed.
- . Date(s) of Reported Observation: The period of performance of the TDD activities.
- . Approx. No. of Hours: The level of effort of the TDD activities.
- . Performance Evaluation Category: The SOW activity being conducted.
- . Contractor Representative: The name of the TAT Leader.
- . EPA Performance Monitor: The name of the performance monitor, either the DPO or a designee.

For information on preparing the remainder of Part II, see section 4 of this chapter.

Upon completion of Part II, the following sections of Part I (prepared by the contractor at the completion of the activity) should be completed:

- . Description of EPA Observation: Presents a summary of what was observed by the EPA performance monitor.
- . Rating: A consensus or overall rating based on a subjectively weighted average of the six ratings recorded on Part II prepared by EPA.
- . Signature of EPA and Date: Self-explanatory.
- . Signature of Regional POR Coordinator and Date: An indication that the POR has been reviewed for completeness and consistency.
- . HQ Coordinator's Evaluation: Completed for each POR. The HQ Coordinator must justify any deviation in performance rating.
- . Rating: Should agree with EPA performance monitor's rating, unless justified as above.
- . Signature of HQ and Date: Completed on all PORs.

PORs may be prepared for groups of like events, which separately are small in terms of level of effort and were originally assigned to the contractor together under one TDD. Otherwise, each POR should be limited to one discrete task, project, or activity accomplished by the contractor. The DPO is responsible for ensuring that whoever completes the POR must provide sufficient documentation to substantiate how and why performance is judged to be either meritorious or deficient. A copy of Part II of the POR should be signed and included in the Regional performance evaluation package.

Any discrepancies between performance evaluations prepared by EPA performance monitors and TAT contractor personnel should be addressed and discussed with the contractor by the DPO, and resolved if possible. If issues cannot be resolved, they should be so noted by the DPO and forwarded through the POR Coordinator to the Headquarters PO for further discussion and resolution with the contractor.



Each Regional and ERT office must submit the number of PORs required to cover at least 60 percent of the hours worked during the performance evaluation period by their respective TAT. PORs should be submitted as tasks are completed to the Regional POR Coordinator to avoid delays in reviewing PORs and preparing the Regional performance evaluation package. At a minimum, EPA personnel responsible for preparing PORs should complete and sign Part II of the POR, Evaluation Criteria Rating Worksheet, as soon as work requested by a TDD is completed. This will aid the performance monitor's recall of the contractor's performance, particularly when Part I of the POR, Observation Description and Overall Evaluation, is to be completed at a later time or by another person.

Deadlines for submission of all PORs are specified in the Award Fee Performance Evaluation Plan Calendar. (See Exhibit VII-4). These deadlines must be strictly adhered to in order to permit the Regional POR Coordinator to prepare and submit the Regional performance evaluation package to the Headquarters Evaluation Coordinator. Copies of any PORs which identify less than satisfactory contractor performance should be forwarded immediately by the DPO through the POR Coordinator to the Headquarters PO. DPOs need to provide an early alert to ERD of TAT management problems. This will permit problems to be identified and resolved quickly.

### 2.3 Preparing the Regional Performance Evaluation Package: The Role of the Regional POR Coordinator

The Regional POR Coordinator will have prime responsibility for organizing the Regional performance evaluation package for submission to EPA Headquarters. The Coordinator will receive PORs from the DPO and assess and validate the reports to ensure that they have been completed accurately. The information will then be organized into a Regional performance evaluation package and submitted to the Headquarters Evaluation Coordinator. The Regional performance evaluation package should include:

- . A cover memorandum (i.e., narrative summary), delineating highlights, significant events or problems during the performance period and give an overall evaluation of contractor performance; an example is given in Exhibit VII-5. It is very important that the POR Coordinator provide extensive detail in

the narrative summary regarding "highlights and/or deficiencies" of the contractor's performance.

- . A summary table, as shown in Exhibit VII-6, with the appropriate portion completed by the Regions indicating the approximate hours expended for each task, project, or activity reported along with the EPA Regional and contractor ratings, and an overall weighted average rating for the Region
- . A comparison of the total number of hours for which PORs have been submitted versus the total hours worked for a given period
- . PORs clearly identified by the contract number, descriptive title of work, and TDD number.

All information should be typed, if at all possible, and submitted to the EPA Headquarters Evaluation Coordinator according to the Award Fee Performance Evaluation Plan Calendar shown in Exhibit VII-4. The POR Coordinator should be sure that the evaluation package is complete before it is sent. When assembling the performance evaluation package, the Regional POR Coordinator should clearly indicate that Part II of each POR (the Worksheet) has been completed by the DPO or the EPA task monitor.

### 3. HEADQUARTERS COORDINATION OF THE PERFORMANCE EVALUATION PROCESS

There are three main organizational components at Headquarters concerned with the performance evaluation process:

- . Evaluation Coordinator
- . Performance Evaluation Board (PEB)
- . Fee Determination Official (FDO).

The roles and responsibilities of each are discussed below.

#### 3.1 Headquarters Evaluation Coordinator

Within EPA Headquarters, the TAT PO will be responsible for organizing and overseeing the award fee performance evaluation process, serving as the Headquarters Evaluation Coordinator. The Evaluation Coordinator's primary responsibility involves coordination and

presentation of a performance evaluation package to the PEB. In addition, the Evaluation Coordinator will prepare the PORs for the program management evaluation category. Specific responsibilities include:

- . Receive and review information contained in Regional performance evaluation packages
- . Investigate and resolve EPA/contractor discrepancies
- . Prepare PORs for the ZPMO
- . Prepare an evaluation package for the PEB containing individual PORs for each of the performance evaluation categories and summary information concerning the contractor's performance
- . Attend the PEB review meetings, serving as Executive Secretary and presenting information contained in the evaluation package.

Preparation of the PEB evaluation package dominates the efforts performed by the Evaluation Coordinator. The remainder of this discussion will focus on this activity.

The Headquarters Evaluation Coordinator will review the PORs submitted by the Regions and the contractor. The Evaluation Coordinator must also resolve any differences which still remain between Regional personnel and the contractor with respect to individual PORs.

The Headquarters Evaluation Coordinator must provide a narrative description on all PORs, and then sign and date the report. If the Coordinator disagrees with the rating or information contained in the report, the Coordinator must cite reasons for non-concurrence, and justify any difference in the performance rating. The PORs should be grouped according to TAT office, which, except for the Headquarters TAT and program management category, should coincide with the Regional performance evaluation packages submitted.

The Headquarters Evaluation Coordinator will be responsible for preparing and presenting all material required by the PEB to make its assessment of the contractor's performance in the form of a PEB evaluation package. The material will be organized in such a manner as to enable it to serve both as the PEB's agenda, and as the complete documentation package which will

support the PEB's fee recommendation. The PEB evaluation package will be organized into separate sections for each reporting element (see Exhibit VII-7).

The entire PEB evaluation package must be sent to the PEB members at least five (5) work days prior to convening the PEB review.

### 3.2 Performance Evaluation Board (PEB)

The PEB will perform an in-depth review of information contained in the performance evaluation package to arrive at the recommended award fee. In accordance with EPAAR 1516.404276, "The Head of the Contracting Activity (HCA) will determine, in concert with the responsible program office, the participants in the award fee process." For the TAT contracts, the PEB will consist of a chairperson, an executive secretary and several board members all appointed by the Head of the Contracting Activity from within the ranks of the Agency. The members of the PEB are listed in Exhibit VII-8.

The award fee will be allocated based on a fee allocation matrix containing the maximum award fee available for each evaluation category per each evaluation period, for the TAT contracts. The Fee Allocation Matrix for the TAT contracts is shown in Exhibit VII-9.

Following the PEB meeting at which the award fee recommendation is reached, the Executive Secretary will prepare a Performance Evaluation Report which will be the official record of the PEB meeting and forward this to the Contracting Officer (CO). The CO will prepare a letter for signature by the Fee Determination Official (FDO) informing the contractor's ZPM of the amount and basis of the fee awarded.

### 3.3 Fee Determination Official (FDO)

The FDO will review the performance evaluation and the fee recommendation made by the PEB and make a final determination of fee. Following concurrence by the FDO, an award fee notification letter will be sent to the TAT contractor, who will in turn submit a voucher for payment of the award fee.

## 4. PERFORMANCE EVALUATION CATEGORIES AND CRITERIA

The TAT contractor's performance will be evaluated on the basis of the contractor's ability to provide the necessary personnel, services, equipment and materials to support

the EPA's emergency response, removal and prevention program in various performance categories that correspond to the contractor's organization of resources to execute the contract SOW. Performance in each of the categories will be evaluated according to a standard set of criteria. The following sections highlight a description of the categories and criteria to be used by EPA personnel in evaluating the TAT contractor's performance.

#### 4.1 Performance Evaluation Categories

Each individual TAT will be evaluated as a distinct reporting element, as shown in Exhibit VII-7. All work assigned to the TAT by either the EPA Regional, ERT or Headquarters office may be subjected to a performance evaluation. The performance evaluation categories, which correspond to the different types of response activities included on the TDD form (and shown in Appendix C), are as follows:

##### . CWA-311

- SPCC
- On-scene monitoring
- Spill cleanup funded

##### . CERCLA

- Site assessment
- Removal funded
- Removal PRP (AO/CO)
- On-site monitoring

##### . Other Activities

- Special project
- Analytical project
- Title III
- UST
- FEMA
- Quality assurance
- Training
- Program management
- Technical assistance
- Information management

#### 4.2 Performance Evaluation Criteria

In order to evaluate the TAT contractor's performance, a set of evaluation criteria has been developed for the evaluation categories. The performance evaluation criteria are presented in Exhibit VII-10.

The evaluation criteria are generic and were developed to provide a uniform basis by which to evaluate any work performed by the contractor, regardless of the TAT responsible for performing the work. The application of the criteria is the responsibility of the individual performance monitors and must be reviewed by the Regional and Headquarters officials responsible for coordinating the performance evaluation process.

The remainder of this section focuses on: 1) the guidelines for rating the contractor's performance with respect to the criteria for a given performance observation; and 2) the translation of the performance evaluation category ratings into award fee percentages by the PEB.

#### 4.3 Rating the Performance Events

Part II of the Award Fee POR (Evaluation Criteria Rating Worksheet, Exhibit VII-3), lists the individual criteria that the performance monitors will use in rating the contractor's performance. Next to each of the criteria is a scale ranging from 5 to 1, which is interpreted as indicated below:

- "5" - Exceptional
- "4" - Exceeded expectations
- "3" - Satisfactory
- "2" - Marginal
- "1" - Unsatisfactory

Exhibit VII-11 provides example guidelines for using the rating scale to score each of the criteria. In addition to rating each of the individual criteria, the performance monitor should also provide supporting comments to justify the rating given. It is very important that the tone of these supporting comments be consistent with the POR "ratings." Also, the adjectives used to describe the TAT's performance should be in accordance with those found in the performance spectrum.

A consensus or overall rating for the six criteria should then be recorded on Part I of the POR. A consensus or overall rating will be used in lieu of an arithmetic average rating to permit the performance monitor to subjectively weight the individual criteria with respect to any given performance observation. The Part I rating should always reflect the Part II ratings. The performance monitor must also prepare a narrative to describe the contractor's overall performance for the observation, which can be drawn from the supporting comments made on the work sheet for each of the individual criteria.

#### 4.4 Determination of Award Fee Percentages

There are separate PEBs for each TAT contract. The Zone I PEB will receive a performance evaluation package for the Zone I TAT contractor. Similarly, the Zone II PEB will receive a package for the Zone II contractor. Each package will consist of PORs grouped according to performance evaluation category. Each evaluation category will also be headed with a summary of the PORs included in the category, the number of hours for each observation, and the rating for each observation (See Exhibit VII-6, Summary of Contract Performance Observation Reports).

In completing the Summary of Contract Performance Observation Reports, the Headquarters Evaluation Coordinator will calculate a weighted average rating for each performance evaluation category. The weighted average rating will be calculated by multiplying the Headquarters rating for a performance observation by the number of hours expended by the TAT to complete the work covered by the POR. These weighted ratings for all the PORs included in each category will then be totaled and divided by the total number of hours expended for all work included in the summary for each category to determine the weighted average rating.

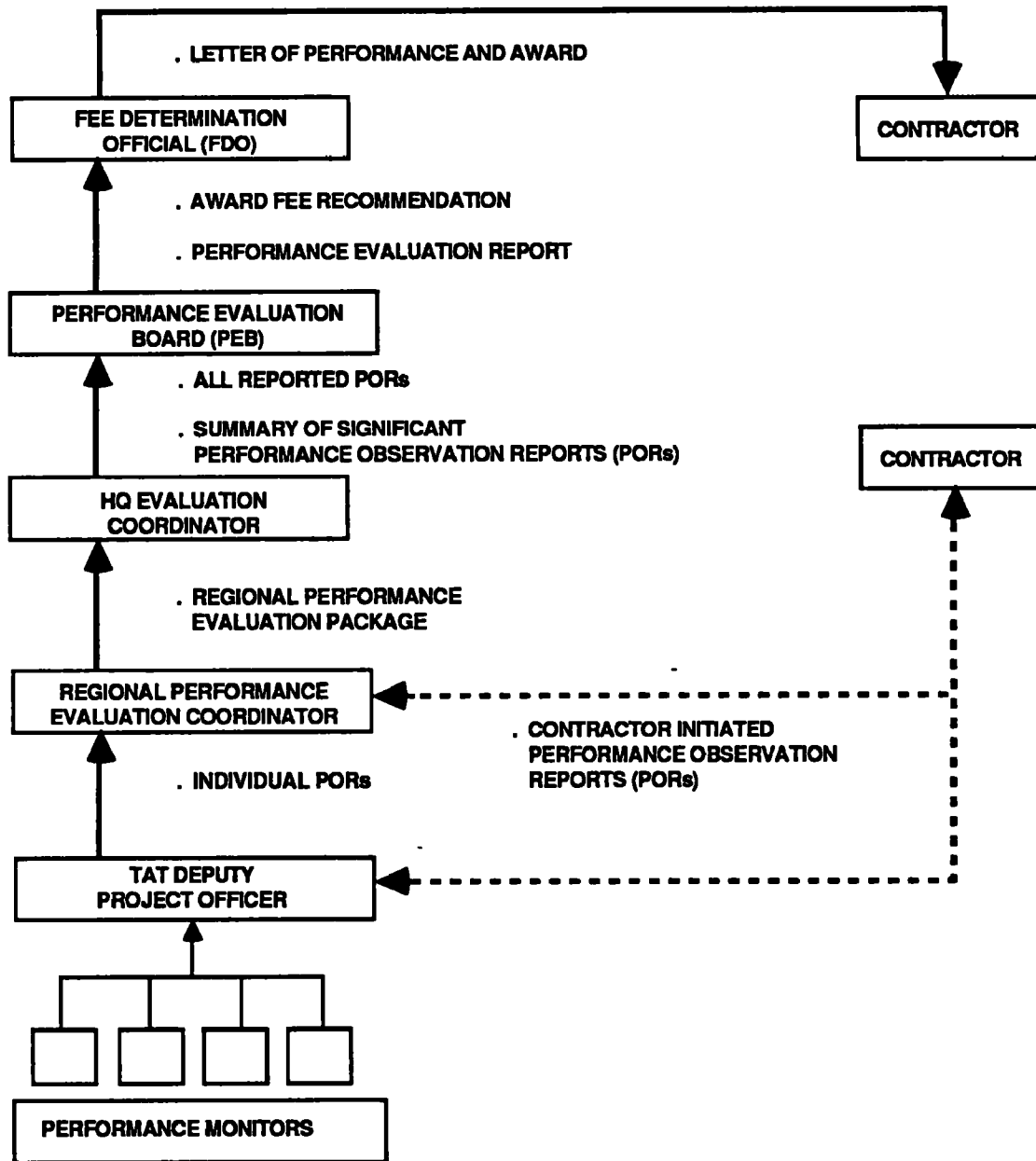
The weighted average rating will then be considered in determining the award fee percentages for each TAT office by the PEB. In addition to the weighted average ratings, the PEB will also use the following three criteria to determine award fee percentages

- . Consistency - Contractor has demonstrated consistent high/low quality in performance under the contract
- . Improvement - Contractor has shown a substantial or steady progression of improvement over the previous evaluation period(s)
- . Unsatisfactory - Contractor has received a satisfactory or an above-average weighted average rating for an evaluation category, but has received unsatisfactory ratings on significant individual performance event reports.

The PEB will also observe the definitions of performance evaluation associated with various ranges of award fee percentages assigned for each performance category as shown in Exhibit VII-12.

**EXHIBIT VII-1**

**CPAF PERFORMANCE EVALUATION ORGANIZATION  
TAT CONTRACTS**



----- EPA PERSONNEL COORDINATE THE COMPLETION OF  
PORs WITH TAT LEADERS TO ENSURE THAT PERSPECTIVES OF  
THIRD PARTIES ARE RECEIVED ON ANY GIVEN WORK UNDER  
EVALUATION.



Cost Center		<b>ACKNOWLEDGEMENT OF COMPLETION PERFORMANCE OBSERVATION REPORT: PART I</b>		
Contract No: 68-01-7367		Contractor: Roy F. Weston, Inc.		TDD No.
Reporting Element	Date(s) of Reported Observation	Approx. No. of Hours		<input type="checkbox"/> Format Report <input type="checkbox"/> Letter Report <input type="checkbox"/> Formal Briefing <input type="checkbox"/> Other (Specify)
Performance Evaluation Category:				
Description of Contractor Observation By: _____ Name/Title				
Rating: 5,4,3,2,1		Signature of Contractor:		Date:
Description of EPA Observation By: _____ Name/Title				
Rating: 5,4,3,2,1		Signature of EPA:		Date:
Signature of Regional POR Coordinator:				Date:
HQ Coordinator's Evaluation By: _____ Name/Title				
Rating: 5,4,3,2,1		Signature of HQ:		Date:
DPO Action: <input type="checkbox"/> Accepted <input type="checkbox"/> Accepted with Exceptions <input type="checkbox"/> Rejected				
Cost To Date: _____ Date: _____		Actual Total Hours: _____		
Total Cost To Closure: _____				
I certify that the attached materials meet and comply with all requirements of the subject TDD.				Date: _____ Interim Final
_____ TATL Signature (Interim)		_____ TATL Signature (Final)		
I acknowledge that I have been provided with the materials and services specified in the subject TDD within its original or revised time frames.				Date: _____ Interim Final
_____ DPO Signature (Interim)		_____ DPO Signature (Final)		

Sheet 1 White - Hdqtrs Coordinator  
 Sheet 2 White - DPO Copy  
 Sheet 3 Blue - TATL Copy  
 Sheet 4 Green - ZPM Copy

Sheet 5 Canary - Project Officer Copy  
 Sheet 6 Pink - Contracting Officer Copy  
 Sheet 7 Goldenrod - DPO (Interim Copy)

COST CENTER	<b>ACKNOWLEDGEMENT OF COMPLETION PERFORMANCE OBSERVATION REPORT: PART I</b>		CONTRACT NO. 68-01-7368
CONTRACTOR: Ecology and Environment, Inc.			TDD NO.
REPORTING ELEMENT:	DATE(S) OF REPORTED OBSERVATION	APPROX. NO. OF HOURS	ACCOUNT NO.
PERFORMANCE EVALUATION CATEGORY:			
DESCRIPTION OF CONTRACTOR OBSERVATION BY:			
RATING: 5, 4, 3, 2, 1	SIGNATURE OF CONTRACTOR:		DATE:
DESCRIPTION OF EPA OBSERVATION BY:			
RATING: 5, 4, 3, 2, 1	SIGNATURE OF EPA:		DATE:
SIGNATURE OF REGIONAL POR COORDINATOR:			DATE:
HQ COORDINATOR'S EVALUATION BY:			
RATING: 5, 4, 3, 2, 1	SIGNATURE OF HQ:		DATE:
DPO ACTION: <input type="checkbox"/> ACCEPTED <input type="checkbox"/> ACCEPTED WITH EXCEPTIONS <input type="checkbox"/> REJECTED			
COST TO DATE: _____ DATE: _____		ACTUAL TOTAL HOURS: _____	
TOTAL COST TO CLOSURE: _____		_____	
I CERTIFY THAT THE ATTACHED MATERIALS MEET AND COMPLY WITH ALL REQUIREMENTS OF THE SUBJECT TDD.			DATE: _____ INTERIM _____ FINAL
<div style="display: flex; justify-content: space-between;"> <div>_____ TATL SIGNATURE (INTERIM)</div> <div>_____ TATL SIGNATURE (FINAL)</div> </div>			
I ACKNOWLEDGE THAT I HAVE BEEN PROVIDED WITH THE MATERIALS AND SERVICES SPECIFIED IN THE SUBJECT TDD WITHIN ITS ORIGINAL OR REVISED TIME FRAMES.			DATE: _____ INTERIM _____ FINAL
<div style="display: flex; justify-content: space-between;"> <div>_____ DPO SIGNATURE (INTERIM)</div> <div>_____ DPO SIGNATURE (FINAL)</div> </div>			

## Distribution:

Sheet 1	White	- HQS Coordinator
Sheet 2	White	- DPO Copy
Sheet 3	Blue	- TATL Copy
Sheet 4	Green	- ZPM Copy
Sheet 5	Canary	- PO Copy
Sheet 6	Pink	- CO Copy
Sheet 7	Goldenrod	- DPO Interim

**TAT CPAF CONTRACT PERFORMANCE OBSERVATION REPORT (POR)  
PART II. EVALUATION CRITERIA RATING WORKSHEET**

<b>CONTRACT NO. :</b> 68-01-736__	<b>CONTRACTOR:</b>	<b>TDD NO.:</b>
<b>REPORTING ELEMENT:</b>	<b>DATE(S) OF REPORTED OBSERVATION</b>	<b>APPROX. NO. OF HOURS</b>
<b>PERFORMANCE EVALUATION CATEGORY:</b>		
<b>CONTRACTOR REPRESENTATIVE</b>		<b>EPA PERFORMANCE MONITOR</b>
<b>PERFORMANCE CRITERIA</b>	<b>RATING</b>	<b>SUPPORTING COMMENTS</b>
<b>PROJECT PLANNING</b> - Organizing (E.G., Work Plan Development, Data Review) - Scheduling - Budgeting	_____ 5 _____ 4 _____ 3 _____ 2 _____ 1	
<b>TECHNICAL COMPETENCE &amp; INNOVATION</b> - Effectiveness of Analyses - Meet Plan Goals - Adhere to Regs. & Procedures - Approach Creativity/Ingenuity	_____ 5 _____ 4 _____ 3 _____ 2 _____ 1	
<b>SCHEDULE &amp; COST CONTROL</b> - Budget (Hours & Cost) Maintenance - Priority/Schedule Adjustments - Cost Minimization	_____ 5 _____ 4 _____ 3 _____ 2 _____ 1	
<b>REPORTING</b> - Timeliness of Deliverables - Clarity - Thoroughness	_____ 5 _____ 4 _____ 3 _____ 2 _____ 1	
<b>RESOURCE UTILIZATION</b> - Staffing - Subcontracting - Equipment, Travel, Etc.	_____ 5 _____ 4 _____ 3 _____ 2 _____ 1	
<b>EFFORT</b> - Responsiveness - Mobilization - Day-to-day - Special Situation (E.G., Adverse/ Dangerous Conditions)	_____ 5 _____ 4 _____ 3 _____ 2 _____ 1	

Distribution:

Sheet 1 White - HQS Coordinator	Sheet 4 Canary - ZPM Copy
Sheet 2 Blue - DPO Copy	Sheet 5 Pink - PO Copy
Sheet 3 Green - TATL Copy	Sheet 6 Goldenrod - CO Copy

## EXHIBIT VII-4(1)

## Award Fee Performance Evaluation Plan Calendar

Performance Evaluation <u>Period #1</u> . . .	December 16, 1986 - <u>May 31, 1987</u>
Cut-off Date for Contractor Activities to be considered for Subject Evaluation Period	5/22/87
Last Day Performance Observation Reports are accepted by Regional POR Coordinator	5/29/87
Regional Performance Evaluation Package Due to Headquarters Project Officer	6/5/87
Headquarters Performance Evaluation Package due to PEB	6/15/87
PEB Review Meeting	6/23/87
Award Fee Notification Letter to Contractor	7/13/87
Performance Evaluation <u>Period #2</u> . . .	June 1, 1987 - <u>September 30, 1987</u>
Cut-off Date for Contractor Activities to be considered for Subject Evaluation Period	9/21/87
Last Day Performance Observation Reports are accepted by Regional POR Coordinator	9/28/87
Regional Performance Evaluation Package Due to Headquarters Project Officer	10/5/87
Headquarters Performance Evaluation Package due to PEB	10/12/87
PEB Review Meeting	10/22/87
Award Fee Notification Letter to Contractor	11/11/87

## EXHIBIT VII-4(2)

<u>Performance Evaluation Period #3</u>	<u>October 1, 1987 - January 31, 1988</u>
Cut-off Date for Contractor Activities to be considered for Subject Evaluation Period	1/25/88
Last Day Performance Observation Reports are accepted by Regional POR Coordinator	2/1/88
Regional Performance Evaluation Package Due to Headquarters Project Officer	2/8/88
Headquarters Performance Evaluation Package due to PEB	2/15/88
PEB Review Meeting	2/23/88
Award Fee Notification Letter to Contractor	3/12/88
 <u>Performance Evaluation Period #4</u>	 <u>February 1, 1988 - May 31, 1988</u>
Cut-off Date for Contractor Activities to be considered for Subject Evaluation Period	5/23/88
Last Day Performance Observation Reports are accepted by Regional POR Coordinator	5/30/88
Regional Performance Evaluation Package Due to Headquarters Project Officer	6/6/88
Headquarters Performance Evaluation Package due to PEB	6/13/88
PEB Review Meeting	6/21/88
Award Fee Notification Letter to Contractor	7/11/88

## EXHIBIT VII-4(3)

Performance Evaluation  
Period #5      ---

June 1, 1988 -  
September 30, 1988

Cut-off Date for Contractor Activities to be considered for Subject Evaluation Period	9/19/88
Last Day Performance Observation Reports are accepted by Regional POR Coordinator	9/26/88
Regional Performance Evaluation Package Due to Headquarters Project Officer	10/3/88
Headquarters Performance Evaluation Package due to PEB	10/10/88
PEB Review Meeting	10/17/88
Award Fee Notification Letter to Contractor	11/7/88

Performance Evaluation  
Period #6\*      --- ---

October 1, 1988 -  
January 31, 1989

Cut-off Date for Contractor Activities to be considered for Subject Evaluation Period
Last Day Performance Observation Reports are accepted by Regional POR Coordinator
Regional Performance Evaluation Package Due to Headquarters Project Officer
Headquarters Performance Evaluation Package due to PEB
PEB Review Meeting
Award Fee Notification Letter to Contractor

\* Only if the option to extend the contract for two years  
is exercised.

EXHIBIT VII-4(4)

Performance Evaluation  
Period #7\*

February 1, 1989 -  
May 31, 1989

Cut-off Date for Contractor  
Activities to be considered  
for Subject Evaluation Period

Last Day Performance Observation  
Reports are accepted by Regional  
POR Coordinator

Regional Performance Evaluation  
Package Due to Headquarters  
Project Officer

Headquarters Performance  
Evaluation Package due to PEB

PEB Review Meeting

Award Fee Notification  
Letter to Contractor

Performance Evaluation  
Period #8\*

June 1, 1989 -  
September 20, 1989

Cut-off Date for Contractor  
Activities to be considered  
for Subject Evaluation Period

Last Day Performance Observation  
Reports are accepted by Regional  
POR Coordinator

Regional Performance Evaluation  
Package Due to Headquarters  
Project Officer

Headquarters Performance  
Evaluation Package due to PEB

PEB Review Meeting

Award Fee Notification  
Letter to Contractor

\* Only if the option to extend the contract for two years  
is exercised.

EXHIBIT VII-4(5)

Performance Evaluation  
Period #9\*

October 1, 1989 -  
January 31, 1990

Cut-off Date for Contractor  
Activities to be considered  
for Subject Evaluation Period

Last Day Performance Observation  
Reports are accepted by Regional  
POR Coordinator

Regional Performance Evaluation  
Package Due to Headquarters  
Project Officer

Headquarters Performance  
Evaluation Package due to PEB

PEB Review Meeting

Award Fee Notification  
Letter to Contractor

Performance Evaluation  
Period #10\*

February 1, 1990 -  
May 31, 1990

Cut-off Date for Contractor  
Activities to be considered  
for Subject Evaluation Period

Last Day Performance Observation  
Reports are accepted by Regional  
POR Coordinator

Regional Performance Evaluation  
Package Due to Headquarters  
Project Officer

Headquarters Performance  
Evaluation Package due to PEB

PEB Review Meeting

Award Fee Notification  
Letter to Contractor

- \* Only if the option to extend the contract for two years  
is exercised.



EXHIBIT VII-4(6)

Performance Evaluation  
Period #11\* - - - -

June 1, 1990 -  
September 30, 1990

Cut-off Date for Contractor  
Activities to be considered  
for Subject Evaluation Period

Last Day Performance Observation  
Reports are accepted by Regional  
POR Coordinator

Regional Performance Evaluation  
Package Due to Headquarters  
Project Officer

Headquarters Performance  
Evaluation Package due to PEB

PEB Review Meeting

Award Fee Notification  
Letter to Contractor

- \* Only if the option to extend the contract for two years is exercised.



## EXHIBIT VII-5

U.S. ENVIRONMENTAL PROTECTION AGENCY  
REGION XExample Cover Memorandum for Regional Award  
Fee Performance Evaluation Package

DATE: 20 June 1986

SUBJECT: Region X TAT Performance Observation Reports for the  
Period 1 February to 30 May 1986 (Second Trimester  
of Fiscal Year 1986, Second TAT Contract Option  
Year)

FROM: John Smith, Regional POR Coordinator

TO: Jack Jones, EPA Headquarters TAT Project Officer

Enclosed is the Performance Observation Report (POR) Summary statement for the second trimester reporting period for Fiscal Year 1986. Also enclosed are the final eleven PORs generated during the evaluation period. A total of 35 tasks have been evaluated during the 1 February to 30 May 1986 reporting period. A total of 3,468 hours have been evaluated representing 65% of the total TAT TDD hours expended for the trimester.

The Region X team continues to provide consistent high quality support to the Region SRES staff in all phases of the removal and emergency response program. Due to the restrictions in CERCLA funding through most of the reporting period, site assessment activities composed the vast majority of the TAT effort through the spring months. The latter part of the trimester has been solely devoted to two major removal actions at the Bunker Hill NPL site in northern Idaho, and at the Standard Steel Metals and Salvage Yard in Anchorage, Alaska. However, these efforts are not reflected in this evaluation package. The team continues to strive to upgrade the program's overall removal and response capabilities through improved data and information management systems, enhanced electronic communications and continued improvements in basic field operations.

The primary focus of the TAT effort remains with waste site assessments and investigations. Of the total hours evaluated in the period, 68% were for site assessment and investigative activities, 12% were to provide training, 7% were for oil spill responses, and 5% were for contingency planning. TDD issuance in the period follows a similar trend of heavy TAT utilization in assessment, response and

removal operations with 84% of the 44 tasks being written for field action (23 for assessments, 6 for oil spills, 5 for removals and 3 for hazardous material spill response).

The expansion of the Region 10 TAT in the first trimester of this year has proven to be extremely beneficial in light of the high level of activity currently underway in the program. The two new members have rapidly developed into pragmatic, reliable response personnel and have proven themselves in a wide variety of response situations. The team remains fully staffed, ensuring maximum continuity through the remainder of the contract.

As a result of the heavy emphasis on site assessment operations in the past trimester, the TAT was involved in a wide variety of field operations during the reporting period. The team demonstrated excellent versatility in revising a sampling program for an extensive site assessment on very short notice. The assessment of the American Plating Facility in Tacoma, Washington was scheduled for two full days to inventory, characterize and sample 80 processing tanks and a septic tank including acidic, caustic and cyanide wastes; as well as to inventory other containers on site and conduct a soil extent-of-contamination survey. Due to difficulties in negotiations between the responsible party and the state DOE, access was restricted to a five-hour time period. The team quickly and effectively revised field techniques and procedures and were able to complete a thorough investigation within the time frame imposed. The TAT has also significantly upgraded their sample characterization procedures and were able to realize cost savings of three to five thousand dollars by screening and categorizing samples.

The TAT also demonstrated excellent adaptability and overall field expertise at an assessment of the Helfrich Property site in Portland, Oregon. Site files in the Region and indicated that the site contained approximately 50 drums of unknown origin. Upon arriving at the site and conducting a pre-sampling inventory of the grounds and barn that was used for storage, the residential site was found to have approximately 200 55-gallon drums and several thousand containers of various sizes, types and materials. The team was effective in revising the assessment program to provide a thorough materials inventory, open and sample an adequate number of containers to achieve a reasonable representation of materials present, perform a brief soil contamination survey and provide a well documented evaluation of the health and environmental threat posed by the facility. Significant savings (perhaps twenty to fifty thousand dollars) in analytical costs were again realized through the team's field characterization and data was provided

immediately indicating that many of the products in storage were highly flammable paint products falling under RCRA regulation. The TAT field effort required extended periods in Level B protection. The assessment was completed in a safe and highly effective manner.

During the report period TAT personnel also responded on short notice to a vapor release of formaldehyde from a leaking rail car in Alaska. Two TAT members responded directly from the office within hours for an extended stay on the Kenai Peninsula. The team assisted local, state and federal personnel with air, soil and snow sampling; and with an assessment of the impacts of the release on towns in the vicinity of Moose Pass. TAT members also worked on a response to a 60,000-gallon diesel fuel spill from the ruptured Olympic Pipeline in Tukwila, Washington. The TAT provided a rapid, accurate evaluation of the quantity of spilled product reaching the adjacent Green River and a wetland area. Team members closely tracked the progress and effectiveness of the cleanup and subsequent mitigative measures.

In summary, the Region 10 TAT continues to serve the EPA SRES in a highly professional, effective and competent manner. The composition and responsiveness of the team has proven to be highly consistent throughout the program. All subcontract services have been provided in a timely and well managed fashion. The team has utilized their equipment and computer systems very effectively and are continually seeking to upgrade the quality of service provided. Accordingly, an award fee in the range of 70-80% is suggested. If you have any questions regarding this evaluation please feel free to contact me at FTS 8-555-1234.

## EXHIBIT VII-6

<b>SUMMARY OF TAT CONTRACT PERFORMANCE OBSERVATION REPORTS</b>								
<b>CONTRACT NO.</b>			<b>CONTRACTOR</b>					
<b>PERFORMANCE EVALUATION CATEGORY</b>							<b>PERIOD ENDING</b>	
<b>CONTRACTOR. TATL OR NPM</b>				<b>TAT DPO</b>				
<b>TOTAL HOURS REPORTED</b>			<b>TOTAL HOURS WORKED</b>			<b>PERCENT OF HOURS REPORTED</b>		
TDD NUMBER	DESCRIPTIVE TITLE OF WORK	CONTRACTOR RATING	REGIONAL RATING (A)	HQ RATING (B)	HOURS EXPENDED (C)	WEIGHTED RATINGS		
						REGION (A) x (C)	HQ (B) x (C)	
					<b>TOTAL HOURS EXPENDED</b>			
<b>TOTAL OF REGIONAL WEIGHTED RATINGS (A) x (C)</b> =     _____     -     _____						<b>REGIONAL AVERAGE WEIGHTED RATING</b>		
<b>TOTAL HOURS EXPENDED (C)</b> =     _____     -     _____								
<b>TOTAL OF HQ WEIGHTED RATINGS (B) x (C)</b> =     _____     -     _____						<b>HEADQUARTERS AVERAGE WEIGHTED RATING</b>		
<b>TOTAL HOURS EXPENDED (C)</b> =     _____     -     _____								
<b>REGIONAL FOR COORDINATOR (Signature and Date)</b>				<b>HQ EVALUATION COORDINATOR (Signature and Date)</b>				

EXHIBIT VII-7(1)

Reporting Elements

ZONE 1

Each TAT associated with the following EPA office locations will be evaluated as a separate reporting element. These eight elements include:

Region I

Region II (including satellite office for Puerto Rico)

Region III (including satellite office for Wheeling, West Virginia)

Region IV (including satellite offices for Memphis, Tennessee, and Louisville, Kentucky)

Region V (including satellite offices for Cleveland, Ohio; Detroit, Michigan; and Cincinnati, Ohio)

ERT Edison

EPA Headquarters TAT

ZPMO

## EXHIBIT VII-7(2)

## Reporting Elements

## ZONE 2

Each TAT associated with the following EPA office locations will be evaluated as a separate reporting element. These seven elements include:

Region VI (including two satellite offices for Houston, Texas, and Baton Rouge, Louisiana)

Region VII Environmental Services Division (ESD)

Region VII Waste Management Division (WMD)

Region VIII

Region IX (including satellite office for Los Angeles, California)

Region X

ZPMO

## EXHIBIT VII-8(1)

## TAT Contract Performance Evaluation Board

## Zone 1

Fee Determination Official

Mr. Richard Mueller	-	Acting Chief, Emergency Response Branch Procurement and Contracts Management Division
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Performance Evaluation Board

Mr. Walter W. Kovalick, Jr.	-	Deputy Director, OERR (Chairman)
Mr. Timothy Fields, Jr.	-	Director, Emergency Re- sponse Division (Alternate Chairman)
Mr. Bruce Engelbert	-	Director, Office of Program Management
Mr. Thomas Sullivan	-	Head, Removal Contract Administration Section
Mr. Hans Crump-Wiesner	-	Deputy Director, Emergency Response Division
Mr. Ira Wilder	-	Chief, Releases Control Branch, Region II
Mr. James Makris	-	Director, Preparedness Staff
Mr. George Moein	-	Chief, Emergency Response and Control Section, Region IV
Mr. Thomas Voltaggio	-	Chief, Superfund Branch, Region III

Evaluation Coordinator and Executive Secretary

Mrs. Patricia Hawkins	-	Eastern Operations Section, Emergency Response Division
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## EXHIBIT VII-8(2)

## TAT Contract Performance Evaluation Board

## Zone 2

Fee Determination Official

Mr. Richard Mueller	-	Acting Chief, Emergency Response Branch, Procurement and Contracts Management Division
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Performance Evaluation Board

Mr. Walter W. Kovalick, Jr.	-	Deputy Director, OERR (Chairman)
Mr. Timothy Fields, Jr.	-	Director, Emergency Response Division (Alternate Chairman)
Mr. Bruce Engelbert	-	Director, Office of Program Management
Mr. Thomas Sullivan	-	Head, Removal Contract Administration Section
Mr. Hans Crump-Wiesner	-	Deputy Director, Emergency Response Division
Mr. Ira Wilder	-	Chief, Releases Control Branch, Region II
Mr. James Makris	-	Director, Preparedness Staff
Mr. Gerald Fontenot	-	Deputy Project Officer, Region VI
Mr. Floyd Nichols	-	Deputy Project Officer, Region VIII

Evaluation Coordinator and Executive Secretary

Mrs. Patricia Hawkins	-	Western Operations Section, Emergency Response Division
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**EXHIBIT VII-9(1)**  
**Award Fee Allocation Matrix for TAT Contract**

**Zone 1**

Performance Categories	Percent of Available Fee/Category Period*										
	1 %	2 %	3 %	4 %	5 %	6 %	7 %	8 %	9 %	10 %	11 %
Region I	10.6	10.6	10.6	10.6	10.6	10.6	10.6	10.6	10.6	10.6	10.6
Region II	17.6	17.6	17.6	17.6	17.6	17.6	17.6	17.6	17.6	17.6	17.6
Region III	26.0	26.0	26.0	26.0	26.0	26.0	26.0	26.0	26.0	26.0	26.0
Region IV	13.4	13.4	13.4	13.4	13.4	13.4	13.4	13.4	13.4	13.4	13.4
Region V	19.7	19.7	19.7	19.7	19.7	19.7	19.7	19.7	19.7	19.7	19.7
ERT	3.6	3.6	3.6	3.6	3.6	3.6	3.6	3.6	3.6	3.6	3.6
Head- quarters	7.7	7.7	7.7	7.7	7.7	7.7	7.7	7.7	7.7	7.7	7.7
ZPMO	1.4	1.4	1.4	1.4	1.4	1.4	1.4	1.4	1.4	1.4	1.4

\* Based on the following evaluation periods:

Period 1 - December 1986 - May 1987  
 Period 2 - June 1987 - September 1987  
 Period 3 - October 1987 - January 1988  
 Period 4 - February 1988 - May 1988  
 Period 5 - June 1988 - September 1988  
 Period 6 - October 1988 - January 1989\*\*  
 Period 7 - February 1989 - May 1989\*\*  
 Period 8 - June 1989 - September 1989\*\*  
 Period 9 - October 1989 - January 1990\*\*  
 Period 10 - February 1990 - May 1990\*\*  
 Period 11 - June 1990 - September 1990\*\*

\*\* Only if the option to extend the contract for two years is exercised.

**EXHIBIT VII-9(2)**  
**Award Fee Allocation Matrix for TAT Contract**

**Zone 2**

**Percent of Available Fee/Category Period\***

<b>Performance Categories</b>	<b>1 %</b>	<b>2 %</b>	<b>3 %</b>	<b>4 %</b>	<b>5 %</b>	<b>6 %</b>	<b>7 %</b>	<b>8 %</b>	<b>9 %</b>	<b>10 %</b>	<b>11 %</b>
Region VI	23.0	23.0	23.0	23.0	23.0	23.0	23.0	23.0	23.0	23.0	23.0
Region VII ESD	25.3	25.3	25.3	25.3	25.3	25.3	25.3	25.3	25.3	25.3	25.3
Region VII WMD	10.3	10.3	10.3	10.3	10.3	10.3	10.3	10.3	10.3	10.3	10.3
Region VIII	9.3	9.3	9.3	9.3	9.3	9.3	9.3	9.3	9.3	9.3	9.3
Region IX	19.5	19.5	19.5	19.5	19.5	19.5	19.5	19.5	19.5	19.5	19.5
Region X	10.3	10.3	10.3	10.3	10.3	10.3	10.3	10.3	10.3	10.3	10.3
ZPMO	2.3	2.3	2.3	2.3	2.3	2.3	2.3	2.3	2.3	2.3	2.3

**\* Based on the following evaluation periods:**

Period 1 - December 1986 - May 1987  
 Period 2 - June 1987 - September 1987  
 Period 3 - October 1987 - January 1988  
 Period 4 - February 1988 - May 1988  
 Period 5 - June 1988 - September 1988  
 Period 6 - October 1988 - January 1989\*\*  
 Period 7 - February 1989 - May 1989\*\*  
 Period 8 - June 1989 - September 1989\*\*  
 Period 9 - October 1989 - January 1990\*\*  
 Period 10 - February 1990 - May 1990\*\*  
 Period 11 - June 1990 - September 1990\*\*

**\*\* Only if the option to extend the contract for two years is exercised.**

## EXHIBIT VII-10(1)

## TAT Contract Performance Evaluation Criteria

PROJECT PLANNING

- . Development of work plans
- . Development of project cost estimates and schedules
- . Collection and review of existing information
- . Elimination of duplicative efforts
- . Scheduling and budgeting multiple projects within cost and priority requirements.

TECHNICAL COMPETENCE AND INNOVATION

- . Effectiveness and thoroughness of analyses and responses to technical direction
- . Accomplishment of goals and objectives
- . Development of alternatives and implementation of course of action
- . Adherence to Agency and other Federal regulations, procedures, and guidelines (e.g., health and safety, chain-of-custody/document control, CERCLA and RCRA regulations, subcontracting, etc.)
- . Provision of technical support to states and other Agency or Federal offices
- . Creativity and ingenuity in approach (e.g., development of cost-effective or technically innovative control/removal schemes)

SCHEDULE AND COST CONTROL

- . Adherence to planned budgets and schedules
- . Adjustment of schedule and priority requirements
- . Ability to minimize costs

## EXHIBIT VII-10(2)

REPORTING

- . Timeliness of deliverables (e.g., site operations plans, progress reports, project reports, work plans)
- . Clarity and thoroughness of project documentation (e.g., identification of problem and recommended solution, discussion of alternatives)

RESOURCE UTILIZATION

- . Suitability of staffing, recruiting and training of personnel
- . Supervision and direction of the TAT members by TAT Leaders
- . Ability to obtain subcontractors and outside consultants for special projects (e.g, lead time minimization and quality)
- . Attention to equipment maintenance and accounting, minimization of travel costs, etc.

EFFORT

- . Responsiveness
- . Availability, preparedness and mobilization of resources for contract overall and specific assignment
- . Regularity and effectiveness of day-to-day support/communication with Regional/Headquarters personnel and other organizations and individuals involved with the removal program,
- . Performance in special situations (e.g., adverse/dangerous conditions or expedited time frames).

# EXHIBIT VII-11

## RATING GUIDELINES FOR PERFORMANCE EVALUATION CRITERIA

RATING	TAT PERFORMANCE EVALUATION CRITERIA					
	PROJECT PLANNING	TECHNICAL COMPETENCE AND INNOVATION	SCHEDULE AND COST CONTROL	REPORTING	RESOURCE UTILIZATION	EFFORT
<b>5 EXCEPTIONAL</b>	Ensures that cost/time is minimized to meet technical direction specifications  "Fast tracking" or stream-lined approaches implemented as necessary	Innovative technical solution applied  Results may establish state-of-the-art approach to address problems  Met original established removal action goals and objectives	Original schedule met in spite of major operation impediments  Services completed ahead of schedule at a reduced cost to the Government than originally estimated	Reports provide such insight into key problems and potential solutions as to serve as master plan for corrective action  No re-write of report required by EPA personnel	All of the contractor resources are applied to minimize costs and time, while enhancing overall work quality	Contingency plans always developed  Response actions taken in extreme weather conditions or high risk areas  Personal effort well beyond contract requirements
<b>4 EXCEEDED EXPECTATIONS</b>	Provides for significant cost/time savings and contains adequate approaches to address requirements contained in TDO	Quality was above average of experience with similar type contractors over past two years	Original schedule met in spite of minor operational impediments  Services completed on schedule at a reduced cost to the Government	All reports are of consistent high quality, both in content and presentation  No re-write of report required by EPA personnel	One or a few of the contractor resources are utilized efficiently, resulting in cost or time savings and providing specified quality of work	Appropriate resource allocation to counter operations impediments  Responsive to minor changes in scope of work and priority adjustments
<b>3 SATISFACTORY</b>	Adequate to meet requirements specified in Statement(s) of Work, and goals and objectives of the program and/or contract requirements	Quality was average of experience with similar type contractors over past two years	Original schedule met  Cost was reasonable considering scope of effort	All required reports were delivered on time and with contents as specified	Staffing, subcontracting, equipment, and other resources (e.g., travel) adequately utilized to meet project and contract requirements	Resources mobilized in sufficient time to meet established budget/ schedule  Regular communication and interaction with Agency personnel
<b>2 MARGINAL</b>	Work assignment or contract specifications not completely addressed  Cost and/or time disproportionate to required level of effort	Quality was below average of experience with similar type contractors over past two years	Original schedule slipped without adequate warning or justification  Available cost savings not taken advantage of	Required reports were delivered within 1-5 days after due date but without justification or warning  Contents of report not as specified	One or a few of contractor resources are not used efficiently, resulting in cost overruns and time delays	Effort was below average of experience with similar type of contractors over the last two years under similar circumstances
<b>1 UNSATISFACTORY</b>	Incorrect identification of requirements needed to meet TDO SOW  Inadequate schedule to provide quality product or service	Lack of technical competence evident in any of major technical or management areas addressed	Activities completed so late as to have resulted in loss of utility or negatively impacted program	Required reports delivered more than one week late without adequate justification or warning  Contents of reports inadequate to permit interpretation of problems or actions	Consistent poor utilization of resources which hinders the implementation of the program	Ad hoc requests and operational impediments unaddressed, and adequate warning or justification was not provided or was unacceptable

## EXHIBIT VII-12

## Award Fee Percentages vs. Performance Assessment Definitions

## P E R F O R M A N C E   S P E C T R U M

0 \_\_\_\_\_ 20 \_\_\_\_\_ 40 \_\_\_\_\_ 50 \_\_\_\_\_ 60 \_\_\_\_\_ 80 \_\_\_\_\_ 100

- 0 - 19      Performance below 20 is indicative of serious mismanagement, negligence, and/or incompetence. Continued performance at this level may require the Government to consider contract termination for cause.
- 20 - 39      Performance between 20 and 39 is substandard, and requires the contractor to take immediate corrective action. Areas of adequate or better performance are offset significantly by poorer performance in other areas.
- 40 - 59      Performance between 40 and 59 is satisfactory, with the 50 point being the expressed level of satisfactory performance that can be expected from a good CPAF contractor. Areas requiring improvement are approximately offset by better performance in other areas.
- 60 - 79      Performance between 60 and 79 is superior. The satisfactory level is exceeded and the monitors can cite only a few minor areas requiring improvement.
- 80 - 100      Performance of 80 or above is outstanding. There are no significant areas of poor performance and there are factors indicating creativity, ingenuity, initiative, and/or excellent performance under very adverse circumstances.

CHAPTER VIII  
MISCELLANEOUS MATERIALS



## CHAPTER VIII

## MISCELLANEOUS MATERIALS

This chapter includes copies of Headquarters policies, correspondence, and other important materials associated with the TAT contracts. They are intended to be used for reference purposes. Periodically, Headquarters will issue such materials, and the DPO should insert them in the chapter.

APPENDICES

APPENDIX A

TAT ZONE CONTRACTS  
STATEMENTS OF WORK

## APPENDIX A

STATEMENT OF WORK  
ZONE 1

The contractor shall provide the personnel, materials, and facilities (other than that furnished as Government Furnished Property (GFP)) to establish and manage a zone organization to augment EPA's response, removal, and prevention programs within Zone 1 (EPA Regions I-V, EPA Headquarters, and the Environmental Response Team (ERT) in Edison, NJ). Support as required under CERCLA, as amended by SARA, and Section 311 of the Clean Water Act (CWA) may also be provided to other EPA and Regional offices upon request of the designated Project Officer (PO) and Deputy Project Officer (DPO) for management of the Technical Assistance Team (TAT). The contractor shall develop an organization consisting of a:

Zone Program Manager (ZPM) and support management effort

TAT in each EPA Zone 1 Region (Regions I-V), at EPA Headquarters and at the ERT location in Edison, N.J. The TATs will be comprised of a TAT Leader and a technical staff.

The contractor under this organization shall provide technical assistance in Zone 1 in the form of engineering, scientific, technical, and managerial support for EPA's emergency response, removal and prevention programs.

The EPA PO will provide overall technical direction and coordination for the technical contractual efforts. The EPA PO and the ZPM will work jointly to provide overall coordination of the effort and provide resolution of any problems that may arise. Within the EPA organization, the PO will be represented by a Regional program representative, a HQ representative and the ERT Leader who will be designated as DPO. The contractor's organization shall be structured in the same manner through use of the ZPM and the TAT Leader. In each Region, the ZPM shall work primarily in a management mode to establish and direct the TATs. The TATs shall be responsible for accomplishing effort within this Statement of Work (SOW) at the Regional level. Project execution at the Regional level shall be coordinated by the DPOs and the TAT Leaders. The specifics of these communication channels shall be further defined by the PO and the ZPM, as required, once the program becomes operational.

Technical direction shall be in the form of Technical Direction Documents (TDDs) assigned by the DPO to the TAT Leader. The defined effort will vary in complexity and length of time to complete. Effort defined through TDDs shall cover the scope of activities under emergency response and prevention actions. This includes, but is not limited to, monitoring non-Federal cleanup actions and providing support, within the scope of work, to Federally sponsored actions. TDDs may also be issued by the Project Officer to the ZPM for special ZPM effort within the SOW.

The contractor shall support EPA's capability to adequately respond to environmental emergencies caused by the discharge or release of oil or hazardous substances to any media (air, land, surface water, or groundwater) and perform spill prevention compliance inspections, process inspections, contingency planning, and training. To accomplish this objective, the contractor shall perform the following:

#### GENERAL EFFORT

##### A MANAGEMENT PORTION -- ESTABLISH AND MANAGE A ZONE PROGRAM MANAGEMENT OFFICE (ZPMO)

Designate a ZPM and provide support staff, facilities, materials, and administrative support required to ensure successful accomplishment of the program objectives described in this SOW. The ZPMO shall be located within a one-hour commute from the Washington, D.C., Standard Metropolitan Statistical Area. The ZPM shall be the single point of contact for coordination with the PO and be responsible for the planning and execution of all effort performed under this contract. Specific responsibilities of the ZPM shall include the following:

1. Manage the TAT Leader at each TAT location, and assist the TAT Leaders, as required, to staff needed TAT positions. This must include, at a minimum, on-site review of each TAT location once each year and the submission of a report of findings to the EPA PO within three weeks of the completion of each review.

2. Provide overall supervision and administrative support to the TAT Leaders. This shall include monitoring the workload in each Region and making recommendations to the EPA PO regarding staff distribution adjustments as appropriate and providing interRegional coordination of personnel resources when assistance is needed to mobilize a major emergency response action.

3. Monitor incurrence of costs and expenditures of funds throughout the duration of the contract. Report on costs on a site-specific basis as required elsewhere in this contract.

4. Develop/modify procedures and forms, as required, for execution of the uniform program of recordkeeping and project management documentation among the TATs. Specific examples include, but are not limited to: "Technical Direction Document" to be used by the DPOs in issuing written technical direction, status report forms, daily cost report forms, and procedures for instituting emergency response activities in response to technical direction from a DPO.

5. Implement procedures to ensure that all reports prepared by the ZPMO and/or by the TATs are of high quality and meet the content and format requirements of this contract. Prepare and submit reports as specified in the contract schedule. Establish procedures for the preparation and submission of required reports by each TAT Leader.

6. Maintain separate accounting of costs associated with each TDD.

7. Meet on a monthly basis with the PO and the CO to discuss contract status.

8. Accompany the EPA PO during each EPA Regional management review of the Regional TATs.

9. Provide a detailed explanation of how indirect rates are determined for use as documentation in cost recovery litigation.

10. Ensure adherence to channels of communication in accordance with the project organization.

11. Comply with all requirements for control of property as illustrated by Part 45 of the Federal Acquisition Regulations.

#### B. ESTABLISH, SUPPORT, AND MANAGE TAT OFFICES

1. Establish and maintain a multi-disciplinary TAT located within a convenient distance from the respective EPA office and at a location agreeable to the DPO. Satellite offices shall be established to operate from the following areas and be headed by Assistant TAT Leaders, who will be designated after award.

Satellite Office

ZONE 1	EPA Region II-	Puerto Rico
	EPA Region III-	Wheeling, WV
	EPA Region IV-	Memphis, TN and Louisville, KY
	EPA Region V-	Cleveland, OH, Detroit, MI (southern suburbs) and Cincinnati, OH

Each TAT shall include a TAT Leader and a specified number of personnel (which includes Assistant TAT Leaders). The contractor shall provide all facilities, materials, equipment (except that which is furnished as GFP) and support required for each TAT to include sufficient work space for each TAT member, a reference library, a common conference room/work area, an equipment maintenance and storage area, and a file security area.

2. Each TAT Leader shall be responsible for the overall management and direct supervision of his TAT office and satellite offices within his Region. The TAT Leader shall receive technical direction from the DPO and is responsible for ensuring the quality and timely completion of all TDDs issued by the DPO. Each TAT Leader shall provide timely documentation and reports on each TAT activity as specified by the DPO.

#### C. PROVIDE SUPPORT FOR EMERGENCY RESPONSE OPERATIONS

The contractor shall be responsible for:

1. Receiving and implementing TDDs issued by the DPO.
2. Maintaining close communication with the DPO and On-Scene Coordinators (OSCs), and supporting the OSC in monitoring cleanup operations.
3. Maintaining such records and providing such reports as are required pursuant to reporting and record-keeping procedures developed for the project.
4. Assuring that the performance of assigned TDDs adheres to any and all quality assurance, quality control, and chain-of-custody procedures directed by the DPO and as required by the contract.
5. Obtaining, as needed, special services that may include, but are not limited to, consultants, expert witnesses, specialized cleanup equipment, aircraft, vessels, SCUBA diving capabilities, demolition specialists, public information assistance, and first responder training.

6. Providing rapid turnaround laboratory or field analysis or coordinating these activities with EPA's National Contract Laboratory Program (CLP), assuring that all laboratory and field analyses adhere to EPA's quality assurance standards as depicted in "Interim Guidelines and Specifications for Preparing Quality Assurance Project Plans (GAMS-005/80 Dec 29 1980)". Typical rapid turnaround could vary from twenty-four hours to fourteen days.

7. Monitoring the incurrence of costs and expenditures throughout the duration of the contract.

8. Developing procedures and forms for reporting, recordkeeping, and program management. These reports shall be designed to be consistent with EPA's needs for administration of Superfund. Such procedures and forms must be approved by the PO. They may be revised during the life of the contract if approved by the PO.

9. Implementing a comprehensive safety program to protect contractor personnel in the performance of their duties. Developing and implementing site safety plans to protect all personnel on removal sites, and other field activities as required by the DPO.

10. Completing special reports or studies pertaining to the contract effort upon direction from the CO, PO, or the DPO.

11. Implementing any special controls upon direction from the CO, PO, or the DPO.

12. Maintaining 24-hour, seven-day-a-week response capabilities to provide EPA with access to technical support services at all times and to facilitate spill notification to EPA. Maintain 24-hour, seven-day-a-week telephone access for emergency response activation.

13. Supporting enforcement activities by collecting, indexing, and preserving evidence against potentially responsible parties and maintaining all site documents.

14. Providing, as requested, all technical and cost documentation suitable for litigation. This includes, but is not limited to, labor costs, travel costs, special services costs, and a certification that the total cost figure is an accurate accounting of all TAT costs incurred at the site.

15. Providing ADP capabilities to prepare and track management reports.



16. Maintain computer equipment, software, and documentation provided by EPA. Operate and maintain the Spill Prevention and Emergency Response Information Management System (SIMS). Changes to SIMS software can only be made upon approval of the PO.

17. Providing, as requested, professional consulting services capable of evaluating complex industrial processes, and providing expert testimony.

18. Complying with all requirements for control of property as illustrated by Part 45 of the Federal Acquisition Regulations.

19. Providing training regarding the Air Toxics Strategy. This will include training to assess the potential risks from both routine and accidental releases of toxic chemicals.

## II SCOPE OF SPECIFIC EFFORT TO BE PERFORMED BY TATS

The contractor, through the use of the TATs, shall perform specific effort, within the scope of the following areas, as specified in written TDDs issued by the EPA DPOs to the TAT Leaders.

### SPECIFIC REQUIREMENTS

#### A ROUTINE TASKS - PREVENTION PROGRAM

Effort in support of the Prevention Program generally relates to non-transportation related facilities that produce, store, process, refine, handle, transfer, distribute, or consume oil or hazardous substances. Initially, the majority of effort will be directed toward facilities handling oil, consistent with the EPA Oil Pollution Prevention Regulation (40 CFR Part 112). Following final promulgation and implementation of the Hazardous Substances Prevention Regulation, (43 FR 39276), the specific effort in this area will be oriented increasingly toward facilities handling the designated hazardous substances. Each TAT shall perform specific effort within the scope of any or all of the following areas:

1. Conduct on-site facility surveys and inspections to ascertain compliance with the EPA Oil Pollution Prevention Regulation (43 FR 39276) and, when promulgated, the Hazardous Substances Prevention Regulation (43 FR 39276). Such inspections may be pre-planned, or instituted upon discovery of a potential violation. The inspection shall include a review and evaluation of the

facility's Spill Prevention Control and Countermeasures (SPCC) Plan.

2. Prepare for submission to the cognizant DPO a report covering each facility inspection/survey performed, using the format and documentation procedure prescribed by the DPO. TATs shall also complete appropriate data forms to be specified by the cognizant DPO developed for a proposed EPA automated data system (Management Information Control System).

3. Prepare a Notice of Violation for violations detected during a facility inspection. The format and content requirements for each notice shall be specified by the DPO. Provide testimony regarding inspection findings during SPCC pre-hearing conferences, during SPCC hearings, and during court actions.

4. Document cases and provide testimony during hearings and court proceedings for both spill prevention and oil or hazardous substances release violations.

5. Conduct amendment inspections when a facility is required to submit its SPCC Plan to EPA for review because of continuing pollution problems (see 40 CFR Part 112 and 43 FR 392768 and prepare a report which includes recommendations for amending the SPCC Plan to prevent further discharges. The contractor shall provide for review and approval of these amendments by a professional engineer.

## B. ROUTINE TASKS - RESPONSE PROGRAM

### 1. CONTINGENCY PLANNING

(a) Provide technical assistance to the OSCs and Regional Response Teams (RRTs) in the review and analysis of Regional, Federal-local, State and local response contingency plans. Provide technical assistance to RRTs in revising/updating/rewriting the Regional Contingency Plan (RCP). Assist OSCs in developing and revising Federal-local plans. Provide technical assistance to state and local response personnel in developing or revising state/local contingency plans. (b) Assist EPA Regional office preparedness staff in implementing the Chemical Emergency Preparedness Program (CEPP). This will entail support in implementing the program guidance and providing technical assistance to state and local personnel in contingency planning. (c) Provide technical assistance to RRTs in developing and implementing their preparedness work programs.

## 2. Training Activities

(a) In coordination with the Hazardous Response Support Division (HRSO) and ERT, assist in training EPA response and contractor personnel, and state and local emergency response personnel in skills and expertise required for handling multimedia emergencies caused by oil, hazardous substances, and toxic waste. Such training shall include contractor personnel and State and local emergency response personnel in skills and expertise required for handling multimedia emergencies caused by oil, hazardous substances, and toxic waste. Such training shall include, but not be limited to: classroom training, exercises, field training, and response practice drills and simulations. The TAT Leaders shall be responsible for preparing a periodic training schedule and addressing regularly scheduled training sessions. Specific goals of the training program are to train response personnel in the following areas:

- (a) use of personal safety equipment and appreciation of the limitations of such equipment
- (b) identification and evaluation of disposal sites
- (c) implementation of oil and hazardous substances contingency plans
- (d) development of proficiency in performing the duties of a response team member
- (e) emergency and notification procedures
- (f) assessing environmental and health hazards
- (g) use of technical assistance data systems
- (h) hazardous waste site entry procedures
- (i) proper decontamination procedures
- (j) methods or techniques to track all site costs of cleanup contractor services on a daily basis

(b) Assist EPA Regional offices in training state and local personnel in support of the CEPP.

(c) Provide technical assistance to RRTs in coordinating training in the RRT area and in developing and implementing a coordinated, interagency training plan for FY87 and subsequent years.

### 3. COMMUNITY RELATIONS PLANNING

Develop and implement or assist in the coordination of community relations plans (CRPs) for removals and remedial operable units (i.e., discrete part of the entire response action that decreases a release, threat of release, or pathway of exposure). CRPs are plans to establish a program of public information, media relations and standard operating procedures to ensure necessary interactions among EPA, state and local officials. These plans will consist typically of sections dealing with the background and history of community involvement at a particular site, and specific plan objectives and techniques to implement the plan. The contractor may be required to arrange news conferences, distribute news releases, provide temporary office and conference facilities, or provide necessary office and communications equipment and do such other things as may be required to implement the plan.

### C EMERGENCY RESPONSE EFFORT - RESPONSE PROGRAM

Provide direction support, as directed by TDD, to the EPA OSC during both Federal and non-Federal removal actions. The OSC is the Federal official predesignated by EPA to coordinate and direct Federal responses. Support shall be consistent with the National Oil and Hazardous Substances Pollution Contingency Plan. Effort shall be conducted to support the following response activities:

#### 1. Response Monitoring

The overall objective of response monitoring shall be to provide the EPA OSC with sufficient planning, fiscal, engineering, biological, chemical, and other technical information to carry out his responsibilities. These monitoring efforts shall be conducted in accordance with EPA quality assurance requirements as depicted in "Interim Guidelines and Specifications for Preparing Quality Assurance Project Plans (QAMS-005/80 Dec 29 1980)"

The DPO, in conjunction with Project Monitors (OSCs) shall determine the specific scope of monitoring effort, which shall include, but not be limited to, the following: collecting samples, analyzing samples, providing for laboratory analysis with EPA's CLP; providing data to identify the existence and extent of a release, the source

and nature of the hazardous substance, and the extent of danger to the public; performing process inspections; identifying personal safety requirements; evaluating disposal options; monitoring cleanup personnel; performing financial monitoring of site cleanup costs; assessing feasibility and effectiveness of containment, on-site treatment and removal options; conducting extent of contamination surveys; obtaining special clearances (i.e., for overweight vehicles, etc.); procuring applicable Federal, state or local permits or manifests; and performing surveillance activities using a variety of vehicles, communication equipment and audio-visual equipment; performing site assessments (e.g., Underground Storage Tanks [UST] - [UST actions could result in increased removal activity. RCRA amendments of November 1984 define an underground tank as a tank that can be as little as ten percent underground. Leaking tanks, containing hazardous substances can be associated with the contamination of surface soil, surface water and groundwater]); and providing documentation for all of the above.

All monitoring data generated shall be analyzed and interpreted on an emergency, quick turnaround basis with recommendations for immediate action presented to the appropriate officials. All monitoring work shall take into account appropriate Federal, state and local regulations regarding, in particular, the collection, storage, and transportation of hazardous substances. As requested, reports shall be presented to appropriate officials, either orally or in writing, recommending response options. The contractor shall provide similar support to an OSC as needed to oversee removals conducted by responsible parties.

## 2. Workplan Development

TAT personnel shall formulate workplan specifications for all phases of response actions. The workplan specifications may be used in providing technical assistance and cleanup support through contractual arrangements between the government and other contractors outside the scope of this contract. The DPO shall issue, through TDDs, the exact scope of workplan specification effort. The effort shall include, but not be limited to: developing safety protocol for response workers and the public; contingency plans; methods of hazard mitigation; containment; countermeasures; development of on-site treatment systems; removal and disposal options; cost estimates; and personnel and equipment requirements.

### 3. Response Documentation

Prepare "after-action" or pollution reports whenever the TAT has participated in a response to an emergency episode. The primary emphasis of such reports shall be to provide documentation of the response, which would be used as a basis for subsequent enforcement actions. TAT personnel shall base their "after-action" or pollution reports upon daily logs or notes taken by TAT personnel or notes or other documentation compiled by the Federal OSC or members of the OSC's staff.

The contractor shall also provide under the contract all necessary services, equipment and materials to supply full audio-visual and graphics capabilities on a quick turnaround basis to support EPA in its response documentation needs. This shall include, but not be limited to, duplicating material, photodocumentation in the form of 16mm movie film, 35mm film and video tape, and producing charts, graphs and other briefing aids. In addition, the contractor shall also provide letter reports and backup documentation for letter reports containing the following information:

- (1) total labor hours and associated costs
- (2) total travel and administrative costs
- (3) total TAT costs
- (4) statement that total cost figure is a true and accurate accounting of cost incurred at the site
- (5) substation of overhead charges
- (6) period of work performance
- (7) brief summary of work performed
- (8) list of TDD numbers and associated hours
- (9) copy of TDDs and Acknowledgments of Completion. (AOCs).

### 4. Damage Assessment

Conduct assessment surveys for the restoration or replacement of damaged natural resources. This activity can be divided into two distinct time frames: (1) short-term, which provides immediate input into the emergency response activities, and (2) long-term which will extensively docu-

ment the effect of both the environmental release as well as the response efforts. Activities shall be conducted to provide information on the extent of contamination, the degree of "cleanliness" achieved by the response activities, the toxicity of the material at various levels in the polluted media, impact of the release on drinking water, evaluation of air quality and water quality criteria, recommendations for treatment, removal, disposal, and restoration of damaged natural resources, the impact of the pollutant on human health and expected social and economic impacts of the emergency.

#### 5. Federal Disaster Assistance Related Activities

Conduct Federal disaster assistance surveys of damage caused by natural disasters such as floods, hurricanes, or earthquakes. Surveys could include assessment of damages to public water or sewage treatment facilities or related environmental problems. This effort requires that the contractor obtain appropriate Federal Emergency Management Agency (FEMA) training in damage assessment for at least three, but no more than half, of the personnel in each TAT office.

#### 6. Emergency Response Implementation

Perform minor containment effort at the direction of the DPO, through technical instructions, not to exceed \$1000.00 per TDD. Such effort might include, but not be limited to: deploying sorbent booms in streams, building small dams to interrupt flow of contaminants and emergency pumping.

#### 7. Emergency RCRA/TSCA Inspections

When related to a specific removal action, the contractor may, at the direction of the DPO (through TDDs) conduct on-site facility surveys and inspections at proposed disposal, treatment or storage facilities. These inspections will be conducted to ascertain compliance with regulations promulgated under the Resource Conservation and Recovery Act (RCRA) and the Toxics Substances Control Act (TSCA). Such inspections will be performed for facilities that are in apparent compliance with all regulations except that they have not been inspected within six months, and they shall be performed in accordance with RCRA/TSCA regulations and guidance and in accordance with CERCLA policy for planning and implementing off-site response actions. To ensure that RCRA compliance inspections are consistent with ongoing or planned RCRA Compliance Monitoring, Enforcement and Hazardous Waste

Groundwater Task Force activities, and all applicable compliance inspection protocols, DPOs are required to obtain the express authorization of appropriate Regional RCRA enforcement personnel prior to and while undertaking such compliance inspections. The contractor shall control RCRA confidential business information.

#### 8. Mini-Remedial Investigations

Perform mini-remedial investigations (mini-RI) for the purpose of deleting from or reclassifying on the National Priorities List (NPL), a site that has been cleaned up as part of a removal program. A mini-RI is a limited investigation of the site where response activity is in progress or has been completed. A mini-RI may include, but not be limited to: sampling, risk assessment, examination of the administrative record, and will be subject to review by the local community. The mini-RI may determine the need for further response action and will evaluate the consistency of the response action with the National Contingency Plan (NCP) and the NCP requirements for deletion from or reclassification of sites on the NPL.

#### D. EPA HQ TAT OFFICE EFFORT

The contractor shall be charged with providing technical planning and operations support needed to assist the EPA program office in completing the specific areas in this SOW. The EPA Headquarters TAT office shall provide technical, planning, and operations support to assist in developing and implementing guidance, strategies, briefings, regulations, public inquiry responses, and other related activities needed. This shall include making available all necessary services, equipment, and materials to supply full audio-visual and graphics capabilities

### III. SPECIAL PROJECTS

The contractor shall perform special projects in support of both spill prevention and emergency response activities. The objective of special projects shall be to provide EPA with any specialized equipment, personnel, and services not routinely available in a specific TAT. This specialized equipment and personnel shall be used to technically support the EPA project monitors (i.e., the OSC). Depending on the particular circumstances of the emergency, special support services may include, but not be limited to:



1. Renting of aircraft (fixed or rotary wing)
2. Renting of all-terrain vehicles
3. Drilling of sampling or extraction wells
4. Hiring of SCUBA divers
5. Renting facilities for use as command post(s)
6. Renting communication equipment, including telefax, typewriters, teletypewriters, and radios
7. Temporary secretarial service support for maintaining logs, typing, and answering telephones
8. Retaining expert consultants or specialists (e.g., demolition or process chemists)
9. Renting specialized emergency response equipment, such as incinerators or stream diversion systems
10. Retaining temporary meeting facilities
11. Providing testimony as may be required
12. Renting computers, only with prior approval of PO and CO
13. Providing temporary housing for evacuees in coordination with FEMA
14. Retaining expert witnesses as may be required.

#### IV. SPECIAL PROJECT GUIDELINES

A request for a special project may be issued by the DPO prior to initiating a special project. The contractor shall prepare a workplan and cost estimate for completing the project. The contractor shall be authorized to proceed according to the following procedures:

1. For special projects estimated to cost under \$10,000, approval authority is granted to the respective DPO or PO.
2. In instances where multiple special projects are issued for the same site, the DPO's authority shall be extended to a ceiling of \$15,000 per site.

3. For special projects estimated to cost \$10,000 or more, or where the total of all special projects at a site exceeds \$15,000, approval authority must be obtained from both the CO and the PO.
4. In no event will the contractor proceed with the effort until a TDD is issued by the DPO.

#### V. ANALYTICAL SUPPORT EFFORT

The contractor shall provide for rapid turnaround laboratory or field analysis or coordinate these activities with EPA's CLP for multimedia samples. The contractor shall furnish all needed personnel, services, materials, and equipment required to collect, store, transport, analyze and dispose of these samples. The use of hand-held portable analytical instruments, mobile laboratory, and fixed laboratory support services may be required. All sample collection and analysis shall adhere to EPA quality assurance standards as depicted in "Interim Guidelines and Specifications for Preparing Quality Assurance Project Plans (GAMS-005/80 Dec 29 1980)". Typical rapid turnaround could vary from 24 hours to 14 days.

#### VI. Guidelines for Analytical Services

A request for analytical services may be issued by the DPO who specifies analyses and turnaround times required. The contractor shall identify a laboratory or laboratories capable of providing the service and provide a cost estimate. The contractor shall be authorized to proceed according to the following procedures:

1. For analytical services estimated to cost less than forty-four thousand nine-hundred-ninety-nine dollars (\$44,999), approval authority is granted to the respective DPO or PO.
2. In instances where multiple analytical services are required for the same site, the DPO's authority shall be extended to a ceiling of sixty-seven thousand five-hundred dollars (\$67,500) per site.
3. For analytical services estimated to cost forty-five thousand dollars (\$45,000) or more, or for multiple analytical services in excess of sixty-seven thousand five-hundred dollars (\$67,500) for the same site, approval authority is granted only to the PO.
4. In no event will the contractor proceed with the effort until a TDD is issued by the DPO.

## VII. QUALITY ASSURANCE REQUIREMENTS

The contractor shall institute a quality assurance program which will ensure that environmental monitoring data of known quality are provided. The program will be in compliance with the guidance set forth in the document entitled "Interim Guidelines and Specifications for Preparing Quality Assurance Project Plans" (GAMS-005 80 December 29, 1980)." The contractor shall use the Sample Shipment/Tracking Record form for all sample analysis. All analytical methods used for analysis done by fixed laboratories must be consistent. EPA, through the CO, shall determine that methods are consistent in nature and application with the methodology used in other Superfund contracts that generate analytical data. The program will consist of both an auditing and a corrective function. The auditors will report directly to contractor corporate management, bypassing the ZPM to minimize any actual or perceived bias. Corporate management will then be expected to bring the firm's resources to bear on the solution of any problems uncovered.

STATEMENT OF WORK  
ZONE 2

The contractor shall provide the personnel, materials, and facilities (other than that furnished as Government Furnished Property (GFP)) to establish and manage zone organization to augment EPA's response, removal, and prevention programs within Zone 2 (EPA Regions VI-X). Support as required under CERCLA, as amended by SARA, and Section 311 of the Clean Water Act (CWA) may also be required to other EPA and Regional offices upon request of the designated Project Officer (PO) and Deputy Project Officer (DPO) for management of the Technical Assistance Team (TAT). The contractor shall develop an organization consisting of a:

- . Zone Program Manager (ZPM) and support management effort.
- . TAT in each EPA Zone 2 Region (Regions VI-X), with two TATs in Region VII, are supporting the ESD and are supporting the WMD. The TATs will be comprised of a TAT Leader and technical staff.

The contractor under this organization shall provide technical assistance in Zone 2 in the form of engineering, scientific, technical, and managerial support for EPA's emergency response, removal and prevention programs.

The EPA PO will provide overall technical direction and coordination for the technical contractual efforts. The EPA PO and the ZPM will work jointly to provide overall coordination of the effort and provide resolution of any problems that may arise. Within the EPA organization, the PO will be represented by a Regional program representative who will be designated as DPO. The contractor's organization shall be structured in the same manner through use of the ZPM and TAT Leader. In each Region, the ZPM shall work primarily in a management mode, to establish and direct the TATs. The TATs will be responsible for accomplishing effort within this Statement of Work (SOW) at the Regional level. Project execution at the Regional level shall be coordinated by the DPOs and the TAT Leaders. The specifics of these communication channels shall be further defined by the PO and the ZPM as required, once the program becomes operational.

Technical direction shall be in the form of Technical Direction Documents (TDDs) assigned by the DPO to the TAT Leader. The defined effort will vary in complexity and length of time to complete. Effort defined through TDDs shall cover the scope of activities under emergency response and prevention actions. This includes, but is not limited to the monitoring of non-Federal cleanup actions and providing support, within the scope of work, to Federally sponsored actions. TDDs may also be issued by the PO to the ZPM for special ZPM effort within the SOW.

The contractor shall support EPA's capability to adequately respond to environmental emergencies caused by the discharge or release of oil or hazardous substances to any media (air, land, surface water, or groundwater) and perform spill prevention compliance inspections, process inspections, contingency planning, and training. To accomplish this objective, the contractor shall perform the following:

#### GENERAL EFFORT

##### A. MANAGEMENT PORTION - ESTABLISH AND MANAGE A ZONE PROGRAM MANAGEMENT OFFICE (ZPMO)

Designate a Zone Program Manager (ZPM) and provide support staff, facilities, materials, and administrative support required to ensure successful accomplishment of the program objectives described in this SOW. The ZPMO shall be located within a one hour commute from the Washington D.C. Standard Metropolitan Statistical Area. The ZPM shall be the single point of contact for coordination with the PO and be responsive for the planning and execution of all effort performed under this contract. Specific responsibilities of the ZPM shall include the following:

1. Manage the TAT Leader at each TAT location and assist the TAT Leaders, as required, to staff needed TAT positions. This must include, at a minimum, on-site review of each TAT location once each year and the submittal of a report of findings to the EPA PO within three weeks of the completion of each review.

2. Provide overall supervision and administrative support to the TAT Leaders. This shall include monitoring the workload in each Region and making recommendations to the EPA PO regarding staff distribution adjustments as appropriate and providing interRegional coordination of

personnel resources when assistance is needed to mobilize a major emergency response action.

3. Monitor incurrence of costs and expenditures of funds throughout the duration of the contract. Report on costs on a site-specific basis as required elsewhere in this contract.

4. Develop/modify procedures and forms as required for execution of the uniform program of recordkeeping, and project management documentation among the TATs. Specific examples include, but are not limited to: "Technical Direction Document" to be used by the DPOs in issuing written technical direction, status report forms, daily cost report forms, and procedures for instituting emergency response activities in response to technical direction from a DPO.

5. Implement procedures to ensure that all reports prepared by the ZPMO and/or by the TATs are of high quality and meet the content and format requirements of this contract. Establish procedures for the preparation and submission of required reports by each TAT Leader.

6. Maintain separate accounting of costs associated with each TDD.

7. Meet on a monthly basis with the PO and the CO to discuss contract status.

8. Accompany the EPA PO during each EPA Regional management review of the Regional TATs.

9. Provide a detailed explanation of how indirect rates are determined for use as documentation in cost recovery litigation.

10. Ensure adherence to channels of communication in accordance with the project organization.

11. Complying with all requirements for control of property as illustrated by Part 45 of the Federal Acquisition Regulations.

## B. ESTABLISH, SUPPORT, AND MANAGE TAT OFFICES

1. Establish and maintain a multi-disciplinary TAT located within a convenient distance from the respective EPA office and at a location agreeable to the DPO. Satellite offices shall be established to operate from the following areas and be headed by Assistant TAT Leaders who will be designated after award.

Satellite Office

ZONE 2: EPA Region VI - Houston, TX and Baton Rouge, LA  
EPA Region IX - Los Angeles, CA

Each TAT shall include a TAT Leader and a specified number of personnel (which includes Assistant TAT Leaders). The contractor shall provide all facilities, materials, equipment (except that which is furnished as GFP) and support required for each TAT to include sufficient work space for each TAT member, reference library, a common conference room/work area, an equipment maintenance and storage area and a file security area.

2. Each TAT Leader shall be responsible for the overall management and direct supervision of his TAT office and satellite offices within his Region. The TAT Leader shall receive technical direction from the DPO and is responsible for ensuring the quality and timely completion of all TDDs issued by the DPO. Each TAT Leader shall provide timely documentation and reports on each TAT activity as specified by the DPO.

C. PROVIDE SUPPORT FOR EMERGENCY RESPONSE OPERATIONS

The contractor shall be responsible for:

1. Receiving and implementing TDDs issued by the DPO.
2. Maintaining close communication with the DPO and On-Scene Coordinators (OSCs), and supporting the OSC in monitoring cleanup operations.
3. Maintaining such records and providing such reports as are required pursuant to reporting and record-keeping procedures developed for the project.
4. Assuring that the performance of assigned TDDs adheres to any and all quality assurance, quality control, and chain-of-custody procedures directed by the DPO and as required by the contract.
5. Obtaining, as needed, special services that may include, but are not limited to, consultants, expert witnesses, specialized cleanup equipment, aircraft, vessels, SCUBA diving capabilities, demolition specialists, public information assistance, and first responder training.
6. Providing rapid turnaround laboratory or field analysis or coordinating these activities with EPA's

National Contract Laboratory Program (CLP), assuring that all laboratory and field analyses adhere to EPA's Quality Assurance Standards as depicted in "Interim Guidelines and specifications for Preparing Quality Assurance Project Plans (QAMS-005/80 Dec 29 1980)." Typical rapid turn-around could vary from twenty-four hours to fourteen days.

7. Monitoring the incurrence of costs and expenditures throughout the duration of the contract.

8. Developing procedures and forms for reporting, recordkeeping, and program management. These reports shall be designed to be consistent with EPA's needs for administration of Superfund. Such procedures and forms must be approved by the PO. They may be revised during the life of the contract if approved by the PO.

9. Implementing a comprehensive safety program to protect contractor personnel in the performance of their duties. Developing and implementing site safety plans to protect all personnel on removal sites, and other field activities as required by the DPO.

10. Completing special reports or studies pertaining to the contract effort upon direction from the Contracting Officer (CO), PO, or the DPO.

11. Implementing any special controls upon direction from the CO, PO, or the DPO.

12. Maintaining twenty-four hour, seven-day-a-week response capabilities to provide EPA with access to technical support services at all times and to facilitate spill notification to EPA. Maintain twenty-four hour, seven day a week telephone access for emergency response activation.

13. Supporting enforcement activities by collecting, indexing, and preserving evidence against potentially responsible parties and maintaining all site documents.

14. Providing, as requested, all technical and cost documentation suitable for litigation. This includes, but is not limited to, labor costs, travel costs, special services costs, and a certification that the total cost figure is an accurate accounting of all TAT costs incurred at the site.



15. Providing ADP capabilities to prepare and track management reports.

16. Maintain computer equipment and documentation provided by EPA. Operate and maintain the Spill Prevention and Emergency Response Information Management System (SIMS). Changes to SIMS software can only be made upon approval of the PO.

17. Providing, as requested, professional consulting services capable of evaluating complex industrial processes, and providing expert testimony.

18. Complying with all requirements for control of property as illustrated by Part 45 of the Federal Acquisition Regulations.

19. Providing training regarding the Air Toxics Strategy. This will include training to assess the potential risks from both routine and accidental releases of toxic chemicals.

## II. SCOPE OF SPECIFIC EFFORT TO BE PERFORMED BY TATs

The contractor, through the use of the TATs, shall perform specific effort, within the scope of the following areas, as specified in written TDDs issued by the EPA DPOs to the TAT Leaders.

### SPECIFIC REQUIREMENTS

#### A. ROUTINE TASKS - PREVENTION PROGRAM

Effort in support of the Prevention Program generally relates to non-transportation related facilities that produce, store, process, refine, handle, transfer, distribute, or consume oil or hazardous substances. Initially, the majority of effort will be directed toward facilities handling oil, consistent with the EPA Oil Pollution Prevention Regulation (40 CFR Part 112). Following final promulgation and implementation of the Hazardous Substances Prevention Regulation, (43 FR 39276), the specific effort in this area will be oriented increasingly toward facilities handling the designated hazardous substances. Each TAT shall perform specific effort within the scope of any or all of the following areas:

1. Conduct on-site facility surveys and inspections to ascertain compliance with the EPA Oil Pollution Prevention Regulation (43 FR 39276) and, when promulgated, the Hazardous Substances Prevention Regulation (43 FR

39276). Such inspections may be pre-planned; or instituted upon discovery of a potential violation. The inspection shall include a review and evaluation of the facility's Spill Prevention Control and Countermeasures (SPCC) Plan.

2. Prepare for submission to the cognizant DPO a report covering each facility inspection/survey performed, using the format and documentation procedures prescribed by the DPO. TATs shall also complete appropriate data forms to be specified by the cognizant DPO developed for a proposed EPA automated data system (Management Information Control System).

3. Prepare a Notice of Violation for violations detected during a facility inspection. The format and content requirements for each notice shall be specified by the DPO. Provide testimony regarding inspection findings during SPCC pre-hearing conferences, during SPCC hearings, and during court actions.

4. Document cases and provide testimony during hearings and court proceedings for both spill prevention and oil or hazardous substances release violations.

5. Conduct amendment inspections when a facility is required to submit its SPCC Plan to EPA for review because of continuing pollution problems (see 40 CFR Part 112 and 43 FR 39276) and prepare a report which includes recommendations for amending the SPCC Plan to prevent further discharges. The contractor shall provide for review and approval of these amendments by a professional engineer.

## B. ROUTINE TASKS - RESPONSE PROGRAM

### 1. CONTINGENCY PLANNING

(a) Provide technical assistance to OSCs and Regional Response Teams (RRTs) in the review and analysis of Regional, Federal-local, state and local response contingency plans. Provide technical assistance to RRTs in revising/updating/rewriting the Regional Contingency Plan (RCP). Assist OSCs in developing and revising Federal-local plans. Provide technical assistance to state and local response personnel in developing or revising state/local contingency plans.

(b) Assist EPA Regional office preparedness staff in implementing the Chemical Emergency Preparedness Program (CEPP). This will entail support in implementing

the program guidance and providing technical assistance to state and local personnel in contingency planning.

(c) Provide technical assistance to RRTs in developing and implementing their preparedness work program.

## 2. TRAINING ACTIVITIES

(a) In coordination with the Hazardous Site Evaluation Division (HSED) and the Environmental Response Team (ERT), assist in training EPA response and contractor personnel, and state and local emergency response personnel in skills and expertise required for handling multi-media emergencies caused by oil, hazardous substances, and toxic waste. Such training shall include, but not be limited to, classroom training, exercises, field training, and response practice drills and simulations. The TAT Leaders of the TAT shall be responsible for preparing a periodic training schedule and addressing regularly scheduled training sessions. Specific goals of the training program are to train response personnel in the following areas:

- (a) use of personal safety equipment and appreciation of the limitations of such equipment
- (b) identification and evaluation of disposal sites
- (c) implementation of oil and hazardous substances contingency plans
- (d) development of proficiency in performing the duties of a response team member
- (e) emergency and notification procedures
- (f) assessing and notification procedures
- (g) use of technical assistance data systems
- (h) hazardous waste site entry procedures
- (i) proper decontamination procedures
- (j) methods or techniques to track all site costs of cleanup contractor services on a daily basis

(b) Assist EPA Regional offices in training state and local personnel in support of the CEPP.

(c) Provide technical assistance to RRTs in coordinating training in RRT area and in developing and implementing a coordinated, interagency training plan for FY87 and subsequent years.

### 3. COMMUNITY RELATIONS PLANNING

Develop and implement or assist in the coordination of community relations plans (CRPs) for removals and remedial operable units (i.e., discrete part of the entire response action that decreases a release, threat of release, or pathway of exposure). CRPs are plans to establish a program of public information, media relations and standard operating procedures to ensure necessary interactions among EPA, state and local officials. These plans will consist typically of sections dealing with the background and history of community involvement at a particular site, and specific plan objectives and techniques to implement the plan. The contractor may be required to arrange news conferences, distribute news releases, provide temporary office and conference facilities, or provide necessary office and communications equipment and do such other things as may be required to implement the plan.

### C. EMERGENCY RESPONSE EFFORT - RESPONSE PROGRAM

Provide direct support, as directed by TDD, to the EPA OSC during both Federal and non-Federal removal actions. The OSC is the Federal official predesignated by the EPA to coordinate and direct Federal responses. Support shall be consistent with the National Oil and Hazardous Substances Pollution Contingency Plan. Effort shall be conducted to support the following response activities.

#### 1. Response Monitoring

The overall objective of response monitoring shall be to provide the EPA with sufficient planning, fiscal, engineering, biological, chemical, and other technical information to carry out his responsibilities. These monitoring efforts shall be conducted in accordance with EPA Quality Assurance Requirements as depicted in "Interim Guidelines and Specifications for Preparing Quality Assurance Project Plans (QAMS-005/80 Dec 29 1980)."

The DPO, in conjunction with Project Monitors (OSCs) shall determine the specific scope of monitoring effort, which shall include, but not be limited to, the following: collecting samples, analyzing samples, providing for laboratory analysis with EPA's CLP; providing data to

identify the existence and extent of a release, the source and nature of the hazardous substance, and the extent of danger to the public; performing process inspections; identifying personal safety requirements; evaluating disposal options; monitoring cleanup personnel; performing financial monitoring of site cleanup costs; assessing feasibility and effectiveness of containment, on-site treatment and removal options; conducting extent of contamination surveys; obtaining special clearances (i.e., for overweight vehicles, etc.); procuring applicable Federal, state or local permits or manifests; and performing surveillance activities using a variety of vehicles, communication equipment and audio-visual equipment; performing site assessments (e.g., Underground Storage Tanks (UST) - [UST actions could result in increased removal activity. RCRA amendments of November 1984 define an underground tank as a tank that can be as little as ten percent underground. Leaking tanks, containing hazardous substances can be associated with the contamination of surface soil, surface water and groundwater]); and providing documentation for all of the above.

All monitoring data generated shall be analyzed and interpreted on an emergency, quick turnaround basis with recommendations for immediate action presented to the appropriate officials. All monitoring work shall take into account appropriate Federal, state and local regulations regarding, in particular, the collection, storage, and transportation of hazardous substances. As requested, reports shall be presented to appropriate officials, either orally or in writing, recommending response options. The contractor shall provide support to an OSC as needed to oversee removals conducted by responsible parties.

## 2. Workplan Development

TAT personnel shall formulate workplan specifications for all phases of response actions. The workplan specifications may be used in providing technical assistance and cleanup support through contractual arrangements between the government and other contractors outside the scope of this contract. The DPO shall issue, through TDDs, the exact scope of workplan specification effort. The effort shall include, but not be limited to: developing safety protocol for response workers and the public; contingency plans; methods of hazard mitigation; containments; countermeasures; development of on-site treatment systems; removal and disposal options; cost estimates; and personnel and equipment requirements.

### 3. Response Documentation

Prepare "after-action" or pollution reports whenever the TAT has participated in a response to an emergency episode. The primary emphasis of such reports shall be to provide documentation of the response, which would be used as a basis for subsequent enforcement actions. TAT personnel shall base their "after-action" or pollution reports upon daily logs or notes taken by TAT personnel or notes or other documentation compiled by the Federal OSC or members of the OSC's staff.

The contractor shall also provide under the contract all necessary services, equipment and materials to supply full audio-visual and graphics capabilities on a quick turnaround basis to support EPA in its response documentation needs. This shall include, but not be limited to, duplicating material, photodocumentation in the form of 16mm movie film, 35mm film and video tape, and producing charts, graphs and other briefing aids. In addition, the contractor shall also provide letter reports and backup documentation for letter reports containing the following information:

- (1) total labor hours and associated costs
- (2) total travel and administrative costs
- (3) total TAT costs
- (4) statement that total cost figure is a true and accurate accounting of cost incurred at the site
- (5) substantiation of overhead charges
- (6) period of work performance
- (7) brief summary of work performed
- (8) list of TDD numbers and associated hours
- (9) copy of TDDs and Acknowledgments of Completion (AOCs).

### 4. Damage Assessment

Conduct assessment surveys for the restoration or replacement of damaged natural resources. This activity can be divided into two distinct time frames: (1) short-term, which provides immediate input into the emergency response activities, and (2) long-term which will extensively document the effect of both the environmental

release as well as the response efforts. Activities shall be conducted to provide information on the extent of contamination, the degree of "cleanliness" achieved by the response activities, the toxicity of the material at various levels in the polluted media, impact of the release on drinking water, evaluation of air quality and water quality criteria, recommendations for treatment, removal, disposal, and restoration of damaged natural resources, the impact of the pollutant on human health and expected social and economic impacts of the emergency.

#### 5. Federal Disaster Assistance Related Activities

Conduct Federal disaster assistance surveys of damage caused by natural disasters such as floods, hurricanes, or earthquakes. Surveys could include assessment of damages to public water or sewage treatment facilities or related environmental problems. This effort requires that the contractor obtain appropriate Federal Emergency Management Agency (FEMA) training in damage assessment for at least three, but no more than half, of the personnel in each TAT office.

#### 6. Emergency Response Implementation

Perform minor containment effort at the direction of the DPO, through technical instructions, not to exceed \$1,000.00 per TDD. Such effort might include but not be limited to: deploying sorbent booms in streams, building small dams to interrupt flow of contaminants and emergency pumping.

#### 7. Emergency RCRA/TSCA Inspections

When related to a specific removal action, the contractor may, at the direction of the DPO (through TDDs) conduct on-site facility surveys and inspections at proposed disposal, treatment or storage facilities. These inspections will be conducted to ascertain compliance with regulations promulgated under the Resource Conservation and Recovery Act (RCRA) and the Toxic Substances Control Act (TSCA). Such inspections will be performed for facilities which are in apparent compliance with all regulations except that they have not been inspected within six months, and they shall be performed in accordance with RCRA/TSCA regulations and guidance and in accordance with CERCLA policy for planning and implementing off-site response actions. To ensure that RCRA compliance inspections are consistent with ongoing or planned RCRA Compliance Monitoring, Enforcement and Hazardous Waste Groundwater Task Force activities, and all applicable compliance inspection protocols, DPOs are required to obtain

the express authorization of appropriate Regional RCRA enforcement personnel prior to and while undertaking such compliance inspections. The contractor shall control RCRA confidential business information.

#### 8. Mini-Remedial Investigations

Perform mini-remedial investigations (mini-RI) for the purpose of deleting from or reclassifying on the National Priorities List (NPL), a site that has been cleaned up as part of a removal program. A mini-RI is a limited investigation of the site where response activity is in progress or has been completed. A mini-RI may include, but not be limited to: sampling, risk assessment, examination of the administrative record, and will be subject to review by the local community. The mini-RI may determine the need for further response action and will evaluate the consistency of the response action with the National Contingency Plan (NCP) and the NCP requirements for deletion from or reclassification of sites on the NPL.

### III. SPECIAL PROJECTS

The contractor shall perform special projects in support of both spill prevention and emergency response activities. The objective of special projects shall be to provide EPA with any specialized equipment, personnel, and services not routinely available in a specific TAT. This specialized equipment and personnel shall be used to technically support the EPA project monitors (i.e., OSCs). Depending on the particular circumstances of the emergency, special support services may include, but not be limited to:

1. Renting of aircraft (fixed or rotary wing)
2. Renting of all-terrain vehicles
3. Drilling of sampling or extraction wells
4. Hiring of SCUBA divers
5. Renting facilities for use as command post(s)
6. Renting communication equipment, including telefax, typewriters, teletypewriters, and radios



7. Temporary secretarial service support for maintaining logs, typing, and answering telephones
8. Retaining expert consultants or specialists (e.g., demolition or process chemists)
9. Renting specialized emergency response equipment, such as incinerators or stream diversion systems
10. Retaining temporary meeting facilities
11. Providing testimony as may be required
12. Renting computers, only with prior approval of PO and CO
13. Providing temporary housing for evacuees in coordination with FEMA
14. Retaining expert witnesses as may be required.

#### IV. SPECIAL PROJECT GUIDELINES

A request for a special project may be issued by the DPO prior to initiating a special project. The contractor shall prepare a workplan and cost estimate for completing the project. The contractor shall be authorized to proceed according to the following procedures:

1. For special projects estimated to cost under \$10,000, approval authority is granted to the respective DPO or PO.
2. In instances where multiple special projects are issued for the same site, the DPO's authority shall be extended to a ceiling of \$15,000 per site.
3. For special projects estimated to cost \$10,000 or more, or where the total of all special projects at a site exceeds \$15,000, approval authority must be obtained from both the CO and the PO.
4. In no event will the contractor proceed with the effort until a TDD is issued by the DPO.

#### V. ANALYTICAL SUPPORT EFFORT

The contractor shall provide for rapid turnaround laboratory or field analysis or coordinate these activities with EPA's CLP for multimedia samples. The contractor shall furnish all needed personnel, services,

materials, and equipment required to collect, store, transport, analyze, and dispose of these samples. The use of hand-held services may be required. All sample collection and analysis shall adhere to EPA quality assurance standards as depicted in "Interim Guidelines And Specifications for Preparing Quality Assurance Project Plans (QAMS-005/80) Dec 29 1980." Typical rapid turnaround could vary from twenty-four hours to fourteen days.

## VI. GUIDELINES FOR ANALYTICAL SERVICES

A request for analytical services may be issued by the DPO who specifies analyses and turnaround times required. The contractor shall identify a laboratory or laboratories capable of providing the service and provide a cost estimate. The contractor shall be authorized to proceed according to the following procedures

1. For analytical services estimated to cost less than forty-four thousand, nine-hundred-ninety-nine dollars (\$44,999), approval authority is granted to the respective DPO or PO.
2. In instances where multiple analytical services are required for the same site, the DPO's authority shall be extended to a ceiling of sixty seven thousand five-hundred dollars (\$67,500) dollars per site.
3. For analytical services estimated to cost forty-five thousand dollars (\$45,000) or more, or for multiple analytical services in excess of sixty-seven thousand five-hundred dollars (\$67,500) for the same site, approval authority is granted only to the PO.
4. In no event will the contractor proceed with the effort until a TDD is issued by the DPO.

## VII. QUALITY ASSURANCE REQUIREMENTS

The contractor shall institute a quality assurance program which will ensure that environmental monitoring data of known quality is provided. The program will be in compliance with the guidance set forth in the document entitled "Interim Guidelines and Specifications for Preparing Quality Assurance Project Plans (QAMS-005-80) December 29, 1980." The contractor shall use the Sample Shipment/Tracking Record Form for all sample analysis. All analytical methods used for analysis done by fixed laboratories must be consistent. EPA, through the CO, shall determine that methods are consistent in nature and

application with the methodology used in other Superfund contracts that generate analytical data. The program will consist of both an auditing and a corrective function. The auditors will report directly to contractor corporate management, bypassing the ZPM to minimize any actual or perceived bias. Corporate management will then be expected to bring the firm's resources to bear on the solution of any problems uncovered.

APPENDIX B  
MINIMUM EQUIPMENT NEEDS

## APPENDIX B

## MINIMUM EQUIPMENT NEEDS

The following schedules identify the minimum equipment needs required to implement the contract. After award, the contractor will be responsible for identifying what is available as Government Furnished Equipment (GFE) and what has to be acquired under the contract to satisfy these minimum needs.

## Schedule A - Work Station

- |    |                              |       |
|----|------------------------------|-------|
| 1. | Double pedestal desk         | 1 ea. |
| 2. | Swivel chair w/arms          | 1 ea. |
| 3. | Bookcase, 3 shelf            | 1 ea. |
| 4. | 4-drawer file cabinet w/lock | 1 ea. |
| 5. | Side chair w/o arms          | 1 ea. |

Requirement: 1 per TAT Member

## Schedule B - Work Station for secretary/word processor

- |    |                       |
|----|-----------------------|
| 1. | Single pedestal desk  |
| 2. | Side "L"              |
| 3. | Swivel chair w/o arms |

Requirement: 1 per secretary/word processor

## Schedule C - Word Processing, Xerox, and Associated Equipment

- |    |   |        |
|----|---|--------|
| 1. | Word processor and E-Mail capabilities compatible with EPA's Regional systems w/printer and Tel Modem       | 10 ea. |
| 2. | Xerox model or equivalent type reproduction equipment with sorting, reduction, and enlargement capabilities | 10 ea. |

## Schedule D - Personal Protective Equipment

- |    |   |       |
|----|---|-------|
| 1. | Hard hat                                | 1 ea. |
| 2. | Safety glasses                          | 1 ea. |
| 3. | Coveralls, cotton, pr.                  | 2 ea. |
| 4. | Coveralls, nomex, pr.                   | 1 ea. |
| 5. | Neoprene rubber boots, 18" w/steel toes | 1 ea. |
| 6. | Artic overshoes, pr.                    | 1 ea. |

7.	Flashlight, explosive proof	1 ea.
8.	Two piece rain suit	1 ea.
9.	Leather work boots w/steel toe	1 ea.
10.	Down filled jacket	1 ea.
11.	Insulated boots, pr.	1 ea.
12.	Insulated coverall, pr.	1 ea.
13.	Respirators	1 ea.
14.	SCBA	1 ea.

Requirement: 1 per TAT member

#### Schedule E - Response Vehicle Equipment

1.	Binoculars, Zoom 7-15 x 35	1 ea.
2.	Camera, Polaroid SX-70A, I Model 2 or equiv.	1 ea.
3.	Camera, 35mm	1 ea.
4.	100' steel surveying tape	2 ea.
5.	Range finder	1 ea.
6.	First Aid Kit, zee #155 or equiv.	1 ea.
7.	Portable wash unit, Econ 10 Gal.	1 ea.
8.	Rope, 16 lob, 300 , polypropyl	1 ea.
9.	Rechargeable lantern	1 ea.
10.	Rubber apron w/sleeves	1 ea.
11.	Minor Automotive repair tool kit	1 ea.
12.	Combustible gas/oxygen meter	1 ea.

Requirement: 1 per vehicle per Region

Schedule F - Reference Library 1 per TAT office

To consist of the following:

1. NIOSH and OSHA safety guidance
2. Phone books as applicable
3. Camera, 35mm
4. Road map atlases
5. Conference area
6. Other items as specified by the DPO

#### Schedule G - Medical First Aid Kit

Consisting of:

Trail Antacid	Gauze Bandage (2" x 5 yds.)
EEZ Lozenges	Torniquet
Pain Aid	Ice Pack (Large)
Aspirin (5 gr.)	Salt tablets
Ammonia Inhalents	Snake Bite Kit
Cotton Swabs	Cold Tabs
Ice Pack	Scissors
Eye Skin Neutralizer	Eye Drops

Burn Septic Spray	Butterfly Closure (Large)
Spray on Bandage	Curad Bandage (2 1/4 x 3 1/2)
Antiseptic Spray	Clean Wipe Alcohol Swabs
Blood Clotter	Tweezers
Adhesive Tape	Antiseptic Swabs
Cohesive Tape	First Aid Guide
Tel Fa Sterile Pads	Butterfly Closure (Medium)
Band Aids	Finger Splint
Finger Tip Bandages	Forceps (Dumont 5")
Knuckle Bandages	Chigger/Tick Remover
Elastic Strip Bandage	Vaseline
Carlisle Compress Dressing	Gelusil Tablets
Triangle Bandage	Ex-Lax
Gauze (3" x 2")	Poison Ivy Treatment
Gauze (2" x 2")	Insect Repellent
Gauze Bandage (1 x 6 yds.)	Sting Relief
Blanket	Splints

Requirement: 1 ea. for every two TAT members

#### Schedule H - Equipment Maintenance and Storage Area

1. Secure Area
2. Wet Sink
3. Repair Bench
4. Adequate lighting and ventilation

Requirement: 1 per TAT Office

#### Schedule I - ADP Equipment

EPA may require purchase of eleven portable computers and seven office computers with IBM compatibility for Zone 1 under this contract to complement existing systems. If the contractor is so authorized, the equipment will be considered contractor acquired property under the "Government Property" clause.

The contractor is not authorized to acquire and/or fabricate any equipment (including that listed above) for use in the performance of this contract without prior approval of the Contracting Officer.

APPENDIX C

TAT CONTRACT TECHNICAL  
DIRECTION DOCUMENT:  
TYPE OF ACTIVITY



## APPENDIX C

TAT CONTRACT, TECHNICAL DIRECTION DOCUMENT:  
TYPE OF ACTIVITY

The following definitions are general in nature and response activities should not be limited to those listed as specific examples.

I. CWA 311(k).

SPCC. The TAT shall provide technical assistance to the OSC in the review and evaluation of a facility's Spill Prevention Control and Countermeasures Plan (SPCC). Technical assistance may include: an on-site facility inspection/survey to ascertain compliance with EPA Oil Pollution Prevention Regulations (43 CFR Part 112); preparation of a report covering each facility inspection survey performed; review of SPCC plans; preparation of a Notice of Violation for violations detected; documenting cases and preparing testimony during hearings and court proceedings; and/or conducting amendment inspections when a facility has continuing pollution problems.

On-Scene Monitoring. The TAT shall assist the OSC, or the OSC may dispatch the TAT to monitor a responsible party oil spill response. The DPO, in conjunction with the OSC, shall determine the scope of the monitoring effort.

Spill Clean-up Funded. The TAT shall assist the OSC, or the OSC may dispatch the TAT to monitor a CWA 311(k) funded oil spill response. The DPO, in conjunction with the OSC, shall determine the scope of the monitoring effort.

II. CERCLA

Site Assessment. The NCP requires a preliminary assessment of a release or threat of a release from a hazardous waste management facility before initiating a CERCLA-financed response. A site assessment also includes the investigation of actual releases or spills of hazardous materials at sites other than a waste management facility (e.g., a train derailment, roadside spill, or release resulting from fire). The purpose of the assessment is to provide an initial indication of the need for a Federal response. The assessment may include but is not limited to: evaluation of the magnitude of the hazard; indication of the source and nature of the release; determination of the existence of a non-Federal party (or parties) that is ready, willing and able to undertake a proper response; and the evaluation of factors necessary to determine whether a removal is necessary.

Specifically, a site assessment may include: review of site management practices (collecting samples, analyzing samples, providing for laboratory analysis with EPA's National Contract Laboratory program; providing data to identify the existence and extent of a release, the source and nature of the hazardous substance, and the extent of danger to the public; performing process inspections; identifying personal safety requirements; conducting extent of contamination surveys; and conducting engineering evaluations and cost analyses), information from generators, photographs, analysis of historical photographs, literature searches, and personal interviews conducted as appropriate.

In addition, a perimeter (off-site) inspection may be necessary to determine the potential for a release. Finally, if more information is needed, a site visit may be performed, if conditions are such that it may be performed safely.

Removal Funded. The overall objective of TAT removal support is to provide the OSCs with sufficient technical (planning, fiscal, engineering, biological, chemical) information to carry out a response action financed by CERCLA or SARA funds.

The DPO, in conjunction with the OSCs, shall determine the specific scope of a monitoring effort, which shall include, but not be limited to the following: performing financial monitoring of site cleanup costs; assessing feasibility and effectiveness of containment, on-site treatment and other removal actions; obtaining special clearances; procuring applicable Federal, state or local permits or manifests; and performing surveillance activities using a variety of vehicles, communication equipment and audio-visual equipment.

Removal PRP. If a responsible party fails to act in response to an OSC's oral notice, an Administrative Order may be issued under CERCLA, Section 106, that requires the responsible party to undertake response activities. If the recipient of an Administrative Order agrees to undertake the response measures contained in the order, then such an agreement may be in the form of an Order on Consent. The OSC may utilize the TAT to monitor a responsible party cleanup as presented in the Administrative Order or Order on Consent.

On-Site Monitoring. On-site monitoring occurs where the state or local authorities, or other private parties have responded to a hazardous materials site or a spill (CERCLA funds are not invoked) and the OSC directs the TAT to provide on-site oversight or technical assistance to ensure that adequate cleanup takes place.

### III. Other Activities

Special Projects. The TAT shall provide special projects to technically support the OSCs in emergency response activities. The objective of special projects shall be to provide OSCs with any specialized equipment, personnel, and/or services not routinely available in a specific TAT.

Special projects may include, but are not limited to: renting of aircraft; renting of all terrain vehicles; drilling of sampling or extraction wells; hiring SCUBA divers; renting command post facilities; renting communication equipment (telefax, typewriters, teletypewriters, and radios); temporary secretarial services for maintaining logs, typing, and answering telephones; hiring expert consultants or specialists (e.g., process chemists); hiring temporary meeting facilities; providing temporary housing for evacuees in coordination with FEMA; and retaining expert witnesses.

Analytical Project. The TAT shall provide the OSC with technical assistance for the rapid turnaround of laboratory or field analysis, or coordinate these activities with EPA laboratories or EPA's Contract Laboratory program, for multimedia samples. The use of hand-held, portable analytical instruments, mobile laboratory, and fixed laboratory support services may be required. Typical rapid turnaround could vary from 24 hour to 14 days.

Title III. SARA, Section 303, provides for the establishment of local emergency planning committees which are responsible for the development of an emergency response plan within two years after the date of enactment. The OSC may task the TAT to assist in the review and comment upon an emergency response plan or other issues related to the preparation, implementation, or exercise of such a plan upon the request of a local emergency response committee.

UST. SARA, Section 205, provides for EPA to issue orders to the owner or operator of an underground storage tank to undertake corrective action with respect to any release of petroleum when it is determined that such corrective action will be done properly and promptly. If a responsible party, state or local government cannot be found, or are unable to undertake an UST corrective action, then EPA may undertake such an action if it meets major public health emergency criteria. The OSC may utilize the TAT to provide monitoring of responsible party response actions, assist in exposure assessments, assist with relocations, provide alternative water supplies, and monitoring of appropriate actions to stabilize the health emergency.

FEMA. Under the direction of the DPO, the TAT shall provide technical assistance to the designated Agency Coordinator in conducting surveys of damage caused by natural disasters such as floods, hurricanes, or earthquakes, in accordance with Federal Emergency Management Agency (FEMA) guidelines. Surveys could include assessment of damage to public utility to related environmental problems.

Quality Assurance. The TAT provides technical assistance to the OSC by conducting a quality assurance program to ensure that environmental monitoring data are of known quality according to guidelines set forth in the document entitled "Interim Guidelines and Specifications for Preparing Quality Assurance Project Plans (QAMS-005-80)," dated December 29, 1980. The TAT shall also provide additional quality assurance by reviewing and commenting on other reports as designated by the DPO (e.g., peer review).

Training. The TAT shall provide technical assistance to the OSC by developing and implementing a training program for skills required for responding to emergencies resulting from the release or potential release of oil or hazardous substances. The program should address the training needs of both EPA and TAT personnel. It may also differentiate between training conducted by the TAT and training conducted by other sources. The TAT may also provide training to state or local agencies (excluding Title III activities), or to other groups, as requested by the DPO. Both health and safety and technical safety skills should be addressed in this program.

Program Management Reports. The TAT shall provide technical support to the OSC by developing program management information reports. These reports shall be in addition to, or supplement, normal management reports generated under the contract.

APPENDIX D

EXAMPLE FORMS FOR TAT CONTRACT MANAGEMENT:  
TDDs and AOC/PORs

## APPENDIX D

The purpose of this appendix is to provide an example TDD and AOC/POR for a hypothetical TAT response. In this example a complete "paper trail" documents the directives issued from EPA, the TAT's response, and an evaluation of the TAT's performance. These examples illustrate the level of detail expected in completing the paperwork associated with tasks performed under the TAT contract.

<b>1A. Cost Center:</b> <div style="text-align: center; border: 1px solid black; padding: 2px;">10</div> <b>Account No.:</b>		<b>TAT ZONE II CONTRACT</b> <b>CONTRACT NO. 68-01-7368</b> <b>TECHNICAL DIRECTION DOCUMENT (TDD)</b> <b>ECOLOGY AND ENVIRONMENT, INC.</b>		<b>2. No.:</b> <div style="text-align: center; border: 1px solid black; padding: 2px;">T 10-8704-12</div> <b>Amendment</b> _____	
<b>3A. Priority</b> <input checked="" type="checkbox"/> High <input type="checkbox"/> Medium <input type="checkbox"/> Low	<b>4A. Estimate of Total Hours:</b> <div style="text-align: center; border: 1px solid black; padding: 2px;">256</div> <b>Total Costs:</b> <div style="text-align: center; border: 1px solid black; padding: 2px;">\$13,500</div>	<b>5A. EPA Site Name:</b> <div style="text-align: center; border: 1px solid black; padding: 2px;">N/A</div>		<b>7. Completion Date:</b> <div style="text-align: center; border: 1px solid black; padding: 2px;">6-15-87</div>	
<b>3B. Key EPA Contact:</b> <b>Name:</b> S. Jones <b>Phone:</b> 555-4321		<b>5B. SSID No.:</b> <div style="text-align: center; border: 1px solid black; padding: 2px;">N/A</div>		<b>5C. City/County/State:</b> <div style="text-align: center; border: 1px solid black; padding: 2px;">Somewhere, WA</div>	
<b>4B. Overtime Approved:</b> <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		<b>6. Source of Funds:</b> <input type="checkbox"/> Other _____ <input checked="" type="checkbox"/> CERCLA <input type="checkbox"/> 311 <input type="checkbox"/> UST		<b>8A. Subtask Code:</b> <div style="text-align: center; border: 1px solid black; padding: 2px;">10</div>	
<b>9. Type of Activity:</b> <div style="display: flex; justify-content: space-between; margin-top: 5px;"> <div style="width: 30%;"> <b>CWA-311</b>  <input type="checkbox"/> SPCC  <input type="checkbox"/> On-Scene Monitoring  <input type="checkbox"/> Spill Clean-up Funded         </div> <div style="width: 30%;"> <b>CERCLA</b>  <input checked="" type="checkbox"/> Site Assessment  <input type="checkbox"/> Removal Funded  <input type="checkbox"/> Removal PRP (AO/CO)  <input type="checkbox"/> On-Site Monitoring         </div> <div style="width: 30%;"> <b>AS SPECIFIED ABOVE</b>  <input type="checkbox"/> Special Project  <input type="checkbox"/> Analytical Project  <input type="checkbox"/> TITLE III  <input type="checkbox"/> UST  <input type="checkbox"/> FEMA         </div> <div style="width: 30%;"> <input type="checkbox"/> Quality Assurance  <input type="checkbox"/> Training  <input type="checkbox"/> Program Management  <input type="checkbox"/> Technical Assistance  <input type="checkbox"/> Information Management         </div> </div>					
<b>10. General Task Description:</b> <u>Emergency Response - Route 79, Somewhere, WA.</u> <u>Respond to toluene spill.</u>  <b>Specific Elements:</b>  <div style="border: 1px solid black; padding: 5px; margin-top: 10px;">         1. Contact WA State Response Team at (206) 555-1234 regarding reported toluene spill, Route 79, Somewhere, WA.            2. Respond to spill in coordination with WA team            3. Conduct air monitoring for off-site impact            4. Advise DPO of initial response conditions            5. Preliminarily assess needs for additional investigations (e.g., GW) and cleanup            6. Draft response report to EPA       </div>					<b>11. Desired Report Form:</b> <input type="checkbox"/> Formal Report <input checked="" type="checkbox"/> Letter Report <input type="checkbox"/> Formal Briefing <input type="checkbox"/> Other (Specify) _____  <b>13. Interim Deadlines:</b> <div style="border: 1px solid black; padding: 2px; margin-bottom: 5px;">4/15/87</div> <div style="border: 1px solid black; padding: 2px; margin-bottom: 5px;">4/15/87</div> <div style="border: 1px solid black; padding: 2px; margin-bottom: 5px;">4/15/87</div> <div style="border: 1px solid black; padding: 2px; margin-bottom: 5px;">4/15/87</div> <div style="border: 1px solid black; padding: 2px; margin-bottom: 5px;">4/16/87</div> <div style="border: 1px solid black; padding: 2px; margin-bottom: 5px;">6/15/87</div>
<b>14. Authorizing DPO:</b> _____ <div style="text-align: center; border: 1px solid black; padding: 2px; margin-top: 5px;">DPO's Signature</div> <div style="text-align: center; border: 1px solid black; padding: 2px; margin-top: 2px;">(Signature)</div>					<b>15. Date:</b> <div style="text-align: center; border: 1px solid black; padding: 2px;">4/15/87</div>
<b>Received by:</b> <input checked="" type="checkbox"/> Accepted <input type="checkbox"/> Accepted with Exceptions (Attached) <input type="checkbox"/> Rejected <div style="text-align: center; border: 1px solid black; padding: 2px; margin-top: 5px;">TATL's Signature</div> <div style="text-align: center; border: 1px solid black; padding: 2px; margin-top: 2px;">(TATL Signature)</div>					<b>17. Date:</b> <div style="text-align: center; border: 1px solid black; padding: 2px;">4/16/87</div>

### Distribution

Sheet 1	White	DPO Copy
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Sheet 6	Goldenrod	DPO Original (Unsigned by TATL)

<b>COST CENTER</b> 10	<b>ACKNOWLEDGEMENT OF COMPLETION PERFORMANCE OBSERVATION REPORT: PART I</b>		<b>CONTRACT NO.:</b> 68-01-7368
<b>CONTRACTOR:</b> Ecology and Environment, Inc.			<b>TDD NO.</b> T10-8704-12
<b>REPORTING ELEMENT:</b> Region X TAT	<b>DATE(S) OF REPORTED OBSERVATION</b> 4-15-87 to 6-15-87	<b>APPROX. NO. OF HOURS</b> 256	<b>ACCOUNT NO.</b>
<b>PERFORMANCE EVALUATION CATEGORY:</b> Technical Support (Region X)			
<b>DESCRIPTION OF CONTRACTOR OBSERVATION BY:</b> TAT performed an Extent of Contamination Study (EOCS) and assisted the OSC during cleanup following a spill of 3500 gal. of toluene on Rt. 79 near Somewhere, WA. TAT rapidly provided experienced personnel without negatively impacting other ongoing TDD assignments. These personnel quickly prepared a comprehensive QA/Sampling Plan & HASP to support the ongoing field investigation and cleanup. TAT used an OVA to screen core sections in the field; this expedited cleanup activities while minimizing lab costs and the impacts of conventional lab turnaround times on the need for data to direct contractors on site. These efforts resulted in an estimated savings of \$3,500 for contractor standby costs and \$1,500 for conventional lab costs.			
<b>RATING: 5, 4, 3, 2, 1</b> 4	<b>SIGNATURE OF CONTRACTOR:</b> TATL's Signature		<b>DATE:</b> 6-22-87
<b>DESCRIPTION OF EPA OBSERVATION BY:</b> DPO's Name and Title  NAME/TITLE TAT provided thorough and clear reports to the OSC, substantially assisting him in mitigating this potentially significant spill of toluene to the ground water. TAT completed this TDD with 15% less TAT LOE hrs. than originally approved. COMMENTS: DPO agrees with the performance observation as described above. TAT was able to provide this assistance to EPA because of the experience of its resources. TAT's manpower scheduling system allowed it to provide these resources without negatively impacting other TDD assignments. The TAT's performance was above average.			
<b>RATING: 5, 4, 3, 2, 1</b> 4	<b>SIGNATURE OF EPA:</b> DPO's Signature		<b>DATE:</b> 8/25/87
<b>SIGNATURE OF REGIONAL POR COORDINATOR:</b> Coordinator's Signature			<b>DATE:</b> 9/28/87
<b>HQ COORDINATOR'S EVALUATION BY:</b>  NAME/TITLE  (To be completed by HQ Coordinator, upon request from Region X POR Coordinator).			
<b>RATING: 5, 4, 3, 2, 1</b>	<b>SIGNATURE OF HQ:</b> Coordinator's Signature		<b>DATE:</b> 10/6/87
<b>DPO ACTION:</b> <input checked="" type="checkbox"/> ACCEPTED <input type="checkbox"/> ACCEPTED WITH EXCEPTIONS <input type="checkbox"/> REJECTED			
<b>COST TO DATE:</b> \$11,400 <b>DATE:</b> 6/15/87		<b>ACTUAL TOTAL HOURS:</b> 216	
<b>TOTAL COST TO CLOSURE:</b> \$13,200			
<b>I CERTIFY THAT THE ATTACHED MATERIALS MEET AND COMPLY WITH ALL REQUIREMENTS OF THE SUBJECT TDD.</b>			<b>DATE:</b> 6/22/87 INTERIM 8/15/87 FINAL
<b>TATL's Signature</b> TATL SIGNATURE (INTERIM) <b>TATL's Signature</b> TATL SIGNATURE (FINAL)			
<b>I ACKNOWLEDGE THAT I HAVE BEEN PROVIDED WITH THE MATERIALS AND SERVICES SPECIFIED IN THE SUBJECT TDD WITHIN ITS ORIGINAL OR REVISED TIME FRAMES.</b>			<b>DATE:</b> 6/27/87 INTERIM 8/19/87 FINAL
<b>DPO's Signature</b> DPO SIGNATURE (INTERIM) <b>DPO's Signature</b> DPO SIGNATURE (FINAL)			

Distribution:

Sheet 1	White	HQS Coordinator
Sheet 2	White	DPO Copy
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Sheet 5	Canary	PO Copy



**TAT CPAF CONTRACT PERFORMANCE OBSERVATION REPORT (POR)**  
**PART II. EVALUATION CRITERIA RATING WORKSHEET**

<b>CONTRACT NO.:</b> 68-01-736 <sub>8</sub>		<b>CONTRACTOR:</b> Ecology and Environment, Inc.		<b>TDD NO.:</b> 10-8704-12
<b>REPORTING ELEMENT:</b> Region X TAT		<b>DATE(S) OF REPORTED OBSERVATION</b> 4-15-87 to 6-15-87		<b>APPROX. NO. OF HOURS</b> 256
<b>PERFORMANCE EVALUATION CATEGORY:</b> Technical Support (Region X)				
<b>CONTRACTOR REPRESENTATIVE</b> Region X TATL's Name			<b>EPA PERFORMANCE MONITOR</b> Region X DPO's Name	
<b>PERFORMANCE CRITERIA</b>	<b>RATING</b>	<b>SUPPORTING COMMENTS</b>		
<b>PROJECT PLANNING</b> <input checked="" type="checkbox"/> Organizing (E.G., Work Plan Development, Data Review) <input checked="" type="checkbox"/> Scheduling <input type="checkbox"/> Budgeting	_____ 5 X _____ 4 _____ 3 _____ 2 _____ 1	TAT developed sampling/QA and HASP to conduct an Extent of Contamination Study (EOCS) following initial Emergency Response. Comprehensive plans were rapidly prepared to support ongoing field investigation and cleanup, minimizing contractor stand-by costs.		
<b>TECHNICAL COMPETENCE &amp; INNOVATION</b> <input checked="" type="checkbox"/> Effectiveness of Analyses <input type="checkbox"/> Meet Plan Goals <input checked="" type="checkbox"/> Adhere to Regs. & Procedures <input checked="" type="checkbox"/> Approach Creativity/Ingenuity	_____ 5 X _____ 4 _____ 3 _____ 2 _____ 1	TAT's use of field analytical screening techniques (e.g., OVA monitoring of core sections) expedited clean-up activities while minimizing laboratory costs and impacts of conventional turnaround times to provide data needed for direction of contractors.		
<b>SCHEDULE &amp; COST CONTROL</b> <input type="checkbox"/> Budget (Hours & Cost) Maintenance <input type="checkbox"/> Priority/Schedule Adjustments <input checked="" type="checkbox"/> Cost Minimization	X _____ 5 _____ 4 _____ 3 _____ 2 _____ 1	TAT's use of its own experienced personnel to perform EOCS and assist in contractor monitoring resulted in an estimated \$3,500 savings in stand-by costs. TAT was able to complete TDD activities with 15% less hours (TAT LOE) than originally approved.		
<b>REPORTING</b> <input checked="" type="checkbox"/> Timeliness of Deliverables <input checked="" type="checkbox"/> Clarity <input checked="" type="checkbox"/> Thoroughness	_____ 5 _____ 4 X _____ 3 _____ 2 _____ 1	TAT provided the necessary reports in a timely fashion. The clarity and thoroughness of the reports made the OSC's job easier during the cleanup.		
<b>RESOURCE UTILIZATION</b> <input checked="" type="checkbox"/> Staffing <input type="checkbox"/> Subcontracting <input type="checkbox"/> Equipment, Travel, Etc.	_____ 5 X _____ 4 _____ 3 _____ 2 _____ 1	TAT was rapidly able to provide experienced personnel for this high-priority assignment without negatively impacting other ongoing TDD assignments.		
<b>EFFORT</b> <input checked="" type="checkbox"/> Responsiveness <input checked="" type="checkbox"/> Mobilization <input checked="" type="checkbox"/> Day-to-day <input type="checkbox"/> Special Situation (E.G., Adverse/Dangerous Conditions)	_____ 5 X _____ 4 _____ 3 _____ 2 _____ 1	TAT's responsiveness during the planning, mobilization, and implementation of this TDD substantially assisted the OSC in mitigating a potentially significant spill of toluene.		

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APPENDIX E

DPO CHECKLIST FOR  
REVIEWING TAT CONTRACTOR'S OFFICE

## APPENDIX E

DPO CHECKLIST FOR  
REVIEWING TAT CONTRACTOR'S OFFICE

The purpose of this checklist is to aid the DPO in conducting spot checks of the TAT contractor's office. The DPO should conduct TAT office spot checks periodically to ensure that adequate mechanisms are in place for effective assignment management, document control, procurement, expense reporting, government property maintenance, and health and safety concerns. Spot checks are not intended to be a formal audit of the TAT contractor's office. Official audits, conducted by the Office of the Inspector General, may be recommended by the DPO as a result of suspected inadequacies uncovered during these spot checks.

The checklist consists of 41 questions and is organized into seven major areas: 1) TDD preparation and processing; 2) procurement; 3) expense reports; 4) time sheets; 5) property management; 6) equipment calibration and maintenance; and 7) health and safety. All of the questions on the checklist are formulated to yield "yes" or "no" responses with an additional response category of "N/A" (not applicable) for items which do not apply. Space is also provided below each question for comments, explanations, and any additional information deemed appropriate. Provision of such comments and explanations is encouraged.

In using this checklist, the DPO will be able to obtain answers to most of the questions simply by examining the contractor's records and files. However, some questions will require the assistance and input of TAT staff. Therefore, the DPO should work closely with the TAT leader and other TAT staff while conducting the spot check visit and rely on their assistance and input when necessary.

DPO CHECKLIST FOR  
REVIEWING TAT CONTRACTOR'S OFFICE

REVISED DRAFT

August 1, 1987

Emergency Response Division  
Office of Emergency & Remedial Response  
U.S. Environmental Protection Agency  
Washington, D.C.

DPO CHECKLIST FOR REVIEWING TAT CONTRACTOR'S OFFICE	YES	NO	N/A
<p>WORK ORDER PREPARATION AND PROCESSING</p> <p>1. Are copies of all TDDs and AOCs available in the files?</p> <p>2. Are the TDD and AOC/POR files well organized (e.g., serially by TDD)?</p> <p>3. Is there a TDD assignment log?</p> <p>4. Is the assignment log:</p> <p>a) Complete?</p> <p>b) Up-to-date?</p> <p>5. Do log books seem:</p> <p>a) Properly organized?</p> <p>b) Clear?</p>			

DPO CHECKLIST FOR REVIEWING TAT CONTRACTOR'S OFFICE	YES	NO	N/A
<p>PROCUREMENT</p> <p>6. Are procurement procedures established to determine whether professional services, equipment, material, and/or supplies requested are really needed?</p> <p>7. Are formal procurement procedures established to require that equipment, material, and supplies are obtained on a competitive basis?</p> <p>8. Is the purpose and source selected of every procurement documented?</p> <p>9. Are prices paid for purchases under the contract determined in writing as reasonable?</p> <p>10. Does the TAT have procedures in place to identify any refunds, rebates, or credits obtained?</p> <p>11. Does the TAT make sure that these refunds, etc. are passed on to EPA?</p>			

DPO CHECKLIST FOR REVIEWING TAT CONTRACTOR'S OFFICE	YES	NO	N/A
<p>EXPENSE REPORTS</p> <p>12. Are there procedures in place for ensuring that expenditures are proper and kept to a minimum?</p> <p>13. Do reporting procedures allow for proper allocation of expenses (i.e., site-specific accounting).</p> <p>14. Do staff keep track of every expenditure they incur (meals, transportation, lodging, miscellaneous)?</p> <p>15. Do expense reports seem to be:</p> <p style="padding-left: 40px;">a) Complete?</p> <p style="padding-left: 40px;">b) Accurate?</p> <p>16. Are all expense reports signed, dated, and approved by the TATL?</p> <p>17. Does the TAT have written travel policies?</p>			

DPO CHECKLIST FOR REVIEWING TAT CONTRACTOR'S OFFICE	YES	NO	N/A
<p>18. Do travel vouchers show the time and purpose of travel?</p> <p>19. Are all expenses clearly described and supported on travel vouchers?</p>			
<p>TIME SHEETS</p>			
<p>20. Do time sheets seem to be:</p> <p>a) Complete?</p> <p>b) Accurate?</p>			
<p>21. Are all time sheets signed, dated, and approved by the TATL?</p>			
<p>22. Is there a mechanism to ensure that all overtime is properly documented and approved?</p>			



DPO CHECKLIST FOR REVIEWING TAT CONTRACTOR'S OFFICE	YES	NO	N/A
<p>PROPERTY MANAGEMENT</p> <p>23. Does the TAT have controls in place to ensure that vehicles are used for business only? (e.g., is mileage checked, etc?)</p> <p>24. Are there standard operating procedures for controlling and maintaining government property?</p> <p>25. Does the TAT maintain an adequate equipment inventory system?</p> <p>26. Does the system provide information on identification and physical location of equipment and other property?</p> <p>27. Is the storage area for equipment secure?</p> <p>28. Has the office notified the EPA Property Administrator whenever:</p> <p style="padding-left: 40px;">a) Equipment is no longer required, is uneconomical to repair, or is declared obsolete?</p>			

DPO CHECKLIST FOR REVIEWING TAT CONTRACTOR'S OFFICE	YES	NO	N/A
b) Equipment is missing?  c) Parts from disabled equipment and vehicles are exchanged for parts from good equipment and vehicles?			
EQUIPMENT CALIBRATION AND MAINTENANCE			
29. Is there an equipment calibration and maintenance log book?			
30. Is the log book:			
a) Complete?			
b) Up-to-date?			
31. Are detailed calibration procedures available?			
32. Is all equipment calibrated on a regular basis?			

DPO CHECKLIST FOR REVIEWING TAT CONTRACTOR'S OFFICE	YES	NO	N/A
33. Is there an out-of-calibration procedure?			
HEALTH AND SAFETY			
34. Have all TAT members received medical exams within one week of hire?			
35. Have all TAT members received annual medical exams?			
36. Are monthly exposure/injury reports filled out by each TAT member?			
37. Are incident reports filled out for every incident?			
38. Does each TAT member have a valid Basic First Aid and two-person CPR card?			
39. Does the TAT have an approved Health and Safety plan?			

DPO CHECKLIST FOR REVIEWING TAT CONTRACTOR'S OFFICE	YES	NO	N/A
<p>40. Is there a site safety plan for each site?</p> <p>41. Does the TAT have an approved field sampling plan?</p>			

APPENDIX F

GLOSSARY

## GLOSSARY

Acknowledgment of Completion (AOC)/Performance Observation Report (POR): document submitted by the TAT Leader to the DPO within 10 working days after task completion which summarizes the response taken, the actual labor hours expended, the total cost of the action, and the performance of the contractor in carrying out the assignment.

activity: a group of tasks that together comprise a segment(s) of the sequence of events undertaken in determining, planning, and completing a response to a release or potential release of a hazardous substance. Activities include, for example, containment and countermeasures, feasibility studies, and construction.

allocation: according to the EPA accounting manual, an allocation is "an amount set aside by an agency in a separate appropriation or fund account for the use of another agency in carrying out the purpose of an appropriation."

allowance: an amount established during the budgeting process signifying the level of resources at which an organization can operate. An allowance serves as an unofficial spending limit from which commitments and obligations are withdrawn.

allowable cost: means costs that are eligible, reasonable, necessary and allocable and are permitted under the appropriate Federal cost principles, in accordance with EPA policy, and within the scope of the project. For example, allowable costs might include contractual services, response by state employees (under a Cooperative Agreement or contract), materials and supplies, equipment, and other direct and indirect costs.

cleanup: refers to actions undertaken during a removal or remedial response to address a release of a hazardous substance that poses a threat or potential threat to human health and welfare, the environment and/or real and personal property. Cleanup activities may include removal and disposal of contaminated material, provision of alternate water supplies, on-site monitoring and temporary evacuation and relocation of threatened individuals.

commitment: an amount administratively earmarked to cover an expected obligation. A commitment reflects the intention to obligate funds to a specific activity. The primary document used to commit funds is the Procurement Request (PR) or EPA Form 1900-8.

Community Relations Plan (CRP): a plan for addressing local citizens' and officials' concerns to a hazardous waste site and integrating community relation activities into technical responses at sites to help prevent disruptions and delays in response actions. Each CRP should include a description of the background, history and community concerns of the site, specific objectives of the community relations program, specific techniques to be used to achieve those objectives, workplan and schedule, and budget and designation of staff who will be accountable.

containment: an action(s) undertaken that focuses on controlling the source of a discharge or release and minimizing the spread of the hazardous substance or its effects. Containment may include such actions as construction of slurry trenches, installation of diversionary booms, earth moving, plugging of damaged tank cars, and/or use of chemicals to restrain the spread of the substance.

Contracting Officer: the EPA official who has been delegated authority to enter, modify and administer the TAT contracts. The Contracting Officer retains sole responsibility for most contract administration functions.

countermeasures: actions undertaken to directly protect humans from exposure to a hazardous substance release or potential release. Countermeasures may include such actions as provision of alternative drinking water sources, temporary evacuation and relocation, and closing of public recreation facilities in the vicinity of the release.

Deputy Project Officer (DPO): the EPA Regional official responsible for overseeing and organizing required interactions between Regional EPA personnel and other Federal staff and the contractor to ensure that correct management procedures are followed.

disbursement: actual payment for services and goods. Disbursement is often used synonymously with the terms "expenditure" or "outlay" in governmental accounting literature.

discharge: as defined by section 311(a)(2) of the Clean Water Act (CWA), includes, but is not limited to, any spilling, leaking, pumping, pouring, emitting, emptying or dumping of oil. For purposes of the Superfund program, discharge shall also mean the substantial threat of a discharge.

discovery: refers to the notification, observance, or detection of a release or substantial threat of release or discharge of a hazardous substance or oil into the environment. A discovery may be made through notification or investigation in accordance with statutory requirements; incidental observation by government agencies or the public, notifications by permit holders or inventory efforts conducted by Federal, state or local agencies.

disposal: the discharge, deposit, injection, decomposing, spilling, leaking or placing of any solid waste or hazardous waste into or on any land or water so that such substances or any constituent thereof may enter the environment or be emitted into the air or discharged into any waters, including groundwaters.

EPA lead: means that EPA has primary responsibility for planning and conducting either part of or an entire removal or remedial action.

expenditure/expense: means the incurring of a liability or a payment of cash. The term(s) is often used synonymously with "disbursement" or "outlay."

facility: (A) any building, structure, installation, equipment, pipe or pipeline (including any pipe into a sewer or publicly owned treatment works), well, pit, pond, lagoon, impoundment, ditch, landfill, storage container, motor vehicle, rolling stock, or aircraft, or (B) any site or area where a hazardous waste has been deposited, stored, disposed of, or placed or otherwise come to be located; but does not include any consumer product or vessel.

feasibility study: a study intended to a) evaluate alternative remedial actions from a technical, environmental, and cost-effectiveness perspective, b) recommend the cost-effective remedial action, and c) prepare a conceptual design, cost estimate for budgetary purposes, and a preliminary construction schedule.

hazardous substance: also sometimes referred to as hazardous waste, means (a) any substance designated pursuant to Section 311(b)(2)(A) of the Federal Water Pollution Control Act, (b) any element, compound, mixture, solution, or substance designated pursuant to Section 102 of this Act, (c) any hazardous waste having the characteristics identified under or listed pursuant to Section 3001 of the Solid Waste Disposal Act (excluding any waste the regulation of which under the Solid Waste Disposal Act has been suspended by Act of Congress, (d) any toxic pollutant listed under Section 307(a) of the



Federal Water Pollution Control Act, (e) any hazardous air pollutant listed under Section 112 of the Clean Air Act, and (f) any imminently hazardous chemical substance or mixture with respect to which the Administrator [EPA] has taken action pursuant to Section 7 of the Toxic Substance Control Act. The term does not include petroleum, including crude oil or any fraction thereof which is not otherwise specifically listed or designated as a hazardous substance under Subparagraphs (a) through (f) of this paragraph, and the term does not include natural gas, natural gas liquids, liquefied natural gas or synthetic gas usable for fuel (or mixtures of natural gas and such synthetic gas).

incident: a release or potential release of oil or hazardous substances at a waste site, abandoned facility or fixed operating facility or resulting from transportation-related accident or deliberate dumping.

interagency agreement (IAG): a legally binding agreement between the EPA and another Federal agency where goods and/or services are provided in exchange for monetary reimbursement. IAGs for CERCLA activities will function as obligating documents and as reporting documents necessary for EPA financial and program management.

local contingency plan: a local plan maintained by an On-Scene Coordinator (OSC) that is consistent with the format of the NCP and provides for a well coordinated response that is integrated and compatible with the pollution response, fire, emergency and disaster plans of local, state and other non-Federal entities. The plan identifies the possible locations of discharges or releases, the resources necessary to respond to multi-media incidents, where such resources can be obtained, waste disposal methods and facilities and a local structure for responding to discharges or releases.

Memorandum of Understanding (MOU): an agreement between the EPA and another Federal agency which sets forth basic policies and procedures governing the relationship on matters of mutual interest and responsibility. There is no exchange of funds under this type of agreement.

National Contingency Plan (NCP): officially known as the National Oil and Hazardous Substances Pollution Contingency Plan, the NCP outlines the responsibilities and authorities for responding to releases into the environment of hazardous substances and other pollutants and contaminants under the statutory authority of CERCLA and section 311 of the Clean Water Act (CWA). The most recent revision of the NCP was November 20, 1985.

National Priority List: a list of the highest priority releases or potential releases of hazardous substances, based upon state and EPA Regional submissions of candidate sites and the criteria and methodology contained in the Hazard Ranking System (HRS), in order to allocate funds for remedial actions.

no further action needed: a decision either to not take any action or terminate a removal response action to a hazardous substance release for any of the following reasons:

- . A release or potential for release does not exist.
- . The hazard posed by the release or potential release does not warrant response.
- . A party responsible for the release or other person is providing appropriate response.
- . The hazard posed by the release has been addressed and eliminated.

obligation: a transaction which legally reserves funds for expenditure based upon the original commitment. (An obligation can never exceed a commitment). Obligations are incurred with the signing of a contract or other transactions (e.g., orders placed and payrolls) and are legally binding.

On-Scene Coordinator (OSC): the Federal official predesignated by the EPA or the USCG to coordinate and direct a Federal response under the National Oil and Hazardous Substances Pollution Contingency Plan (NCP); or the DOD official designated to coordinate and direct the removal actions from releases of hazardous substances or pollutants or contaminants from DOD vessels and facilities.

POLREP: pollution reports submitted by the OSC to EPA Headquarters to report on a release, the decision to activate the Fund, and progress at the response (including a description of activities and status of funding).

pre-CERCLA site: one of 24 hazardous substance sites at which response measures had been started under CWA Section 311 and were continued as removal or remedial actions under CERCLA.

preliminary assessment: the process of collecting and reviewing readily available information about a known or suspected hazardous substance site or release and using this information to determine the magnitude of the hazard, the source and nature of a release or potential release,

and the identity of a responsible party, in order to formulate response management decisions.

priority site: a site that has been included on the National Priority List.

Project Officer: the EPA official with overall responsibility for managing and directing activities under the TAT zone contracts. The Project Officer provides a single point of contact for the Contracting Officer and the TAT zone contractors.

Regional contingency plan: consistent with the NCP at the Regional level, the Regional Response Team's (RRT) plan to coordinate a timely, effective response to a discharge of oil or release of a hazardous substance to the environment. Regional contingency plans should include information on all useful facilities and resources in the Region, from government, commercial, academia and other sources.

release: any spilling, leaking, pumping, pouring, emitting, emptying, exploding, discharging, injecting, escaping, leaching, dumping, or disposing into the environment. (For statutory definition, including exclusions, see the NCP.)

remedial action: an action intended to provide a permanent resolution to a release or potential release of a hazardous substance from a site. Remedial actions are most appropriate for long-term and costly cleanups and generally include remedial investigations, feasibility studies, design and construction. A Federally funded remedial action will only be undertaken at those sites included on the National Priority List or Interim Priority List.

remedial investigation: an investigation intended to gather the data necessary to: (1) determine the nature and extent of problems at the site; (2) establish cleanup criteria for the site; (3) identify preliminary alternative remedial actions; and (4) support the technical and cost analyses of the alternatives.

removal: the cleanup of released hazardous substances from the environment; such actions as may be necessary to monitor, assess, and evaluate the release or threat of release of hazardous substances; the disposal of removed material or the taking of such other actions as may be necessary to prevent, minimize, or mitigate damage to the public health or welfare or the environment, which may otherwise result from such release or threat of release.

reportable quantity (RQ): under section 102 of CERCLA, the quantity of a hazardous substance established by the U.S. Environmental Protection Agency (EPA), that if released to the environment, may present substantial danger to the public health or welfare or the environment and must be reported to either the National Response Center (NRC) or EPA. Reportable quantities are set forth in 40 CFR Part 302. The Administrator of the EPA is authorized to promulgate or revise regulations establishing the quantity of the hazardous substance that must be reported.

restart: the initiation of on-site removal activity at an incident for which CERCLA or 311 funds have been used in the past. (The prior 311 funding limitation applies only to removal actions receiving 311 funds after CERCLA was enacted on December 11, 1980.) Removals performed at pre-CERCLA sites fall under the restart category.

responsible party: as defined by Section 107(a) of CERCLA includes "(1) the owner or operator of a vessel (otherwise subject to the jurisdiction of the United States) or a facility, (2) any person who at the time of disposal of any hazardous substance owned or operated any facility at which such hazardous substances were disposed of, (3) any person who by contract, agreement, or otherwise arranged for disposal or treatment, or arranged with a transporter for transport or disposal or treatment, of hazardous substances owned or possessed by such person, by any other party or entity, at any facility owned or operated by another party or entity and containing such hazardous substances, and (4) any person who accepts or accepted any hazardous substances for transport to or from treatment facilities or sites selected by such person, from which there is a release, or a threatened release which causes the incurrence of response costs, of a hazardous substance."

site: also refers to a hazardous substance site or a hazardous waste site, is an area or a location at which hazardous substances were stored, treated, disposed of, or placed, or otherwise came to be located. This includes all contiguous land, structures, other appurtenances, and improvements on the land, used for treating, storing, or disposing of hazardous substances. A site may consist of several treatment, storage, or disposal facilities (e.g., impoundments, containers, buildings, or equipment).

site inspection: an aspect of field investigation, involves the process of collecting field data from a hazardous substance site for the purpose of characterizing the magnitude and severity of the hazard posed by the

site, in order to score the site utilizing the Hazard Ranking System (HRS). The site inspection builds on the information collected during the preliminary assessment and may include sampling, monitoring, surveys, testing and other information-gathering techniques.

start: the initiation of on-site cleanup action at an incident for which no CERCLA or 311 extramural funds have been used previously. (The prior 311 funding limitation applies only to removal actions receiving 311 funds after CERCLA was enacted on December 11, 1980.)

state assurances: refers to commitments a state must make to EPA prior to authorization of any Fund-financed response action at a NPL site. CERCLA identifies three specific assurances required of a state: commitment to statutory cost-sharing requirements; commitment to obtain adequate off-site disposal facilities for hazardous wastes; and commitment to assume responsibility for operation and maintenance of the response action. Assurances are provided by a state to EPA through a Cooperative Agreement or Superfund State Contract.

state contingency plan: a plan that outlines the responsibilities and authorities of a state government for responding to releases into the environment of hazardous substances and other pollutants and contaminants, consistent with the National Contingency Plan (NCP) and any Regional contingency plans.

state credit: a credit against a state's share of costs for response actions at a specific release or potential release of a hazardous substance. The credit is for certain costs expended or obligated by the state at a specific site for eligible response actions or claims for damages. Site specific costs may only be applied against the state share of costs at that specific site.

state lead; means that a state has primary responsibility for planning and conducting either part of or an entire removal or remedial action.

state project coordinator: designated official who represents the state during an EPA response action not covered by a Cooperative Agreement.

State Project Officer: designated official responsible for direct management of the activities covered in a Cooperative Agreement.

Statement of Work (SOW): an element of a work assignment package that specifies in detail the tasks and objectives to be performed by a contractor. The SOW should contain the salient points regarding the background of the release

or potential release, problem definition, purpose of the work, and a description of the services to be performed by the contractor.

task: a discrete piece of work that addresses a single objective specified by a Statement of Work for planning, evaluating, or implementing a response action (e.g., hydrogeological study, hazardous waste characterization, alternative analysis, construction of a fence, or installing a leachate control system).

Technical Assistance Team (TAT): a contractor who provides technical support to On-Scene Coordinators (OSCs) in the prevention of oil spills and for emergency response to releases of hazardous substances and oil.

Technical Direction Document (TDD): a directive prepared and issued by the DPO to the TAT contractor to conduct specific services under the contract. The TDD includes background data, scope of work to be performed, schedule of deliverables, an estimated budget and hours, and reporting requirements.

workplan: the contractor's submittal of a written response to a special project Technical Direction Document (TDD) defining the technical approach for the project, the budget, and the schedule.

Zone Program Manager (ZPM): the TAT contractor official who serves as the single point of contact for coordination with the EPA Headquarters Project Officer and Regional Deputy Project Officers. The ZPM is responsible for supervising and managing the work of TAT Leaders.

APPENDIX G  
BIBLIOGRAPHY

## BIBLIOGRAPHY

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Community Relations Handbook, July 15, 1981. (Revised September 1981).

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Guidance on Cooperative Agreements With States Under CERCLA Dated, March 11, 1982.

Guidance which addresses the authorization, delegated to EPA by Executive Order 12316, to take remedial actions to clean up uncontrolled hazardous waste sites. The four provisions which are detailed are: Federal remedial actions be undertaken only after consultation with affected State(s); assurances that affected State must provide regarding O&M responsibilities, off-site disposal, cost sharing; granting credit to an affected State for costs expended or obligated between January 1, 1978 and December 11, 1980.

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\* Publications are available upon request from the U.S. Environmental Protection Agency, Office of Emergency and Remedial Response, Washington, D.C.

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