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Environmental Programs & Environmental Services

for **ENVIRONMENTAL SERVICE SUBCONTRACTS MANAGEMENT**

APPROVAL SIGNATURES:

Document Owner:	Organization	Signature	Date
Alison Dorries	WES-DO	Signature on file	7/30/2009

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HISTORY OF REVISIONS

Revision No. <i>(Enter current revision number, beginning with Rev.0)</i>	Effective Date <i>(DCC inserts effective date for revision)</i>	Description of Changes <i>(List specific changes made since the previous revision)</i>	Type of Change <i>[Technical (T) or Editorial (E)]</i>
0	7/30/09	New Document	T/E

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1.0 PURPOSE AND SCOPE

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

2.0 BACKGROUND AND PRECAUTIONS

2.1 Background

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

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

This procedure applies to all LANS Environmental Service Subcontracts where LANS provides the technical management function. The subcontract management function is in accordance with *Subcontract Technical Representative Program*.

3.0 EQUIPMENT AND TOOLS

None

4.0 STEP-BY-STEP PROCESS DESCRIPTION

4.1 Appointment of the STR

ADEP Project Directors/ Division Leads	1.	Plan the extent of contracting efforts and commensurate scope descriptions (see Attachment 1, LANS Environmental Subcontracts Division of Responsibility).
	2.	Once it is decided that an activity will be subcontracted, request the assignment of an STR from the Waste and Environmental Services Division Office (WES-DO). [NOTE: The STR should be assigned as early in the process as possible to assist in the conceptual planning and strategy development, establish interface with acquisition Services Management (ASM), and assure uniformity throughout implementation of duties.]

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Environmental Subcontracts Manager (ESM)	3.	Assign an individual with the required skills and experience necessary to function as an STR (see Attachment 2, Qualification of Subcontract Technical Representatives).
	4.	Document the qualifications of the STR (Primary and Secondary) on the STR Education and Experience Record, STR Interview Sheet, and the Letter of Qualification (see Attachments 3, 4 and 5).
	5.	Obtain concurrence on the assignment of the STR by the ADEP Project Director on the STR Education and Experience Record.
	6.	Submit the notification of the STR to the ASM Procurement Specialist (PS). [NOTE: Formal appointment of the STR is the responsibility of ASM and is not normally done until after subcontract award.]
ASM PS	7.	Concur and issue the appointment letter to the STR identifying their responsibilities for managing the subcontract and limitations of authority.
	8.	Formally notify the successful subcontractor of the appointment.

4.2 Filing System

STR	1.	Establish and maintain a Subcontract File for each specific subcontract that contains all pertinent contract data and documents, and is organized to allow for efficient storage, identification, and retrieval. [NOTE: A Subcontract File is a file maintained through the life of a subcontract which contains all pertinent subcontract data and documents and allows for their quick identification and retrieval.]
	2.	Create a file index and place it in the front of each Subcontract File, and maintain the file throughout the life of the contract.
	3.	File documents in chronological order with the oldest in the back in a suitable folder or binder.
	4.	At a minimum and if applicable, maintain the following documents within the subcontract file. <ul style="list-style-type: none"> • Requisition package • Solicitation package • Addendum/amendments • Pre-award documentation • Full subcontract • Specifications/scope of work • Subcontract changes/purchase requisitions

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STR, cont.

- Monthly reports
- Activity reports (subcontractors/STRs)
- Application for payment/invoices/supporting documentation
- Performance reports
- Subcontract turnover/close-out documentation and
- Correspondence (verbal/written/incoming/outgoing)
- Meeting minutes (progress, coordination)
- STR appointment letter
- Quality assurance documentation/disposition
- ES&H, if applicable, (citations, industrial hygiene, rad protection, Material Safety Data Sheets (MSDS), issues, weekly manpower reports)
- Security
- Badging/training

As needed based on the scope of work, maintain the following documents within the subcontract file.

- Drawings/transmittals (actual drawings may be maintained elsewhere)
- Permits
- Requests for Information (RFIs)/Subcontractor Deviation Disposition Requests (SDDRs)/logs
- Submittals/submittal logs
- Schedules (baseline, updates, recovery)
- Nonconformance reports/resolution

5. Maintain files daily to avoid problems at the time of close out.

NOTE: Files may be audited periodically by a representative of ASM and/or WES.

6. Carefully control and restrict access to subcontract files to those with a legitimate "need to know."

NOTE: Subcontract files may contain confidential commercial information on a variety of subjects.

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

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

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4.3 Meetings

4.3.a Pre-Award Meetings

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

4.3.b Post-Award/Progress Review/Coordination Meetings

ASM PS and/or STR	1.	Schedule and hold a post-award meeting before the subcontractor's mobilization to establish the following. <ul style="list-style-type: none"> • Commitment to cooperation for a common purpose, • Recognition of responsibilities, • Confirmation of schedule if required, • List of submittals/deliverables from all exhibits, • Review methods of payment, • Communication and administration procedures, and • Any other critical activities identified in the subcontract. NOTE: Post-award meetings are to achieve a mutual understanding between LANS and the subcontractor on the way in which the contract requirements shall be translated into action.
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ASM PS
and/or STR,
cont.

2. Participate in all subcontract meetings.

- 3.. Jointly decide specifically how to conduct each meeting and distribute responsibilities.
NOTE: Other participants should be limited to those actually required.

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

5. Prepare an agenda for each meeting in advance.

6. Record attendance, pertinent information, questions, and answers in meeting minutes.

7. Prepare an action items list, and track the items until closure.

8. Issue meeting minutes to all attendees.

9. Conduct progress review meetings periodically to evaluate the progress of an individual subcontract, review schedules, discuss past, current, and potential problems, as well as resolve interface problems and any other restraints or issues. The frequency of these meetings needs to be agreed to by the ASM PS and the STR.

10. Depending on the size, duration, and complexity of the subcontract, establish a regular meeting schedule to discuss the following subjects, if applicable.
 - Subcontractor's progress since the last meeting and compared to scheduled progress,
 - Performance evaluation to date,
 - Outstanding action items from previous meetings, their status and resolution,
 - Schedule and proposed plans/progress for the next schedule period,
 - Mark-up (status) a schedule for progress to date,
 - Interfaces, critical items, and current and potential problems,
 - Status of change notices and proposals and status of RFIs, SDDRs, submittals, and design changes

11. If it is determined that additional coordination between multiple subcontractors or LANS activities is needed, hold coordination meetings in addition to progress review meetings.

4.4 Correspondence

- STR
1. Encourage the project team to maintain clear and timely communication.

 2. Ensure everyone on the team understands that all contractual communication may have legal ramifications, or at a minimum, be one of the primary tools available to reconstruct facts if a dispute arises.

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- STR, cont.
3. Take exceptional effort to eliminate any chance of project communications from being misunderstood.
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4. Process all formal correspondence through the ASM PS (i.e., other LANS personnel may originate correspondence; however, it must be forwarded to the PS for review and issuance).
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5. If correspondence is received directly from the subcontractor by accident, ensure the ASM PS receives a copy immediately.
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- ASM PS
6. Provide copies of incoming correspondence to the STR.
NOTE: Limited distribution to other LANS personnel may be made as applicable or necessary depending on the subject.

4.5 Requisition Package

- STR/PL
1. Assemble the Requisition Package, and ensure it contains all information necessary to procure the goods and services being requested.
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2. Complete and obtain signatures on the Environmental Project Procurement Request form. Provide completed form to the deployed Budget and Finance personnel for input.
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2. Deliver a complete Requisition Package to ASM that clearly and concisely explains what is to be provided and the requirements and/or conditions for providing the requested goods or services.
[NOTE: Other than information required for tailoring the Special Conditions and specific commercial language, upon completion and delivery of the Requisition Package to ASM, the PS should have everything needed and be able to understand exactly what it is that is being requested. It is not the function of the ASM PS to decipher exactly what it is being requested.]
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3. Organize the Requisition Package in an orderly manner with each attachment uniquely identified and labeled with the requisition number and number of pages.
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4. Provide the ASM PS with the quantity of attachments required in electronic media if possible.
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5. At a minimum, ensure the requisition package contains the following.
 - Requisition,
 - Acquisition plan, if required,
 - Organizational Conflict of Interest Pre-Procurement Fact Sheet (Form 90,;
 - Scope of work and technical specifications (see [Exhibit D](#))
- NOTE: Peer reviews will performed on scopes of work per EP-ERSS-SOP-4005

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STR/PL,
cont.

- Listing of Design Drawings and Index (see [Exhibit E](#)) if applicable,
- Subcontractor ESH requirements (see [Exhibit F](#)), if on site,

NOTE: The ES&H manager for EP will approve Exhibit F before it is sent to ASM

- Requirements and Approval for Entry and Area Hazards and Controls (LANL Form 2101);
- Estimate,
- Form 838c in accordance with the latest revision of P840, "Procurement Quality"
- Listing of suggested subcontractors
- Security requirements (see Exhibit G), and
- Requirements and Procedures for Subcontractor's Submittal of Information (see Exhibit I) (ASM will be involved in the development of this exhibit)

6. Include any other information essential to clearly explain or describe the requirements or necessary for the ASM PS to initiate the procurement action (e.g., design criteria, soil reports, surveys, weather data, sole source justification, liquidated damages justification, performance incentives, storm water pollution prevention plan, procedures, pre-qualification criteria, technical evaluation criteria).

7. Avoid inclusion of complete LANS procedures and/or manuals within the requisition package unless specifically and solely addressing requirements the subcontractor must adhere to.

8. In the above instance, extract applicable information and include the appropriate section of the requisition package (e.g., scope of work, field conditions).

4.6 Scope or Statement of Work (SOW)

PL 1. Develop the Scope Of Work or delegate to the STR.

2. If STR develops the SOW, review and contribute to the development.

PL or STR 3. Develop the SOW in accordance with ASM guidelines provided on ASM website and describe the work to be performed in clear, unambiguous, understandable, and measurable language (i.e., what, where, when, and, if necessary, why).

4. Ensure no contractual language, commercial implications or directions are included in the SOW.

5. Specify administrative requirements in other documents such as the Requisition, Field Conditions, etc. to allow flexibility of modifying such requirements, if necessary, without imposing a revision to the SOW.

6. Assemble and submit the SOW and Technical Specifications as part of the Requisition Package in the format as in Exhibit D

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4.7 Drawings (if applicable)

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

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

4.8 Subcontractor Training

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

NOTE: This training may be identified as required elsewhere in the contract documents, but is listed on the Subcontract Training Matrix.
 3. Include any general site-required training, any specific facility-required training, and any training required by LANL procedures or policies in the Subcontract Training Matrix.
 4. For each training course required, identify the location where the training is offered, days and times the course is offered, length of class, number of slots available in each class, and amount of notice required to arrange each course.
 5. Confirm the subcontractor has satisfied other training requirements specifically identified elsewhere in the contract documents or as may be required by applicable codes or regulations.
 6. Make all training records available for review.

4.9 Communication of ES&H Requirements- Exhibit F

- STR
1. Work with the assigned LANS safety representative to tailor Exhibit F according to the requirements of ISD 101-12 to meet the project specific requirements. ES&H management will provide approval of Exhibit F and it will be included in the requisition package.
 2. On Mondays, receive the subcontractor weekly man-hours report that is required by Exhibit F.
 3. Every Monday, forward the completed weekly man-hour report to the lead STR.

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4.10 Subcontract Changes

- STR
1. Submit a Purchase Requisition Change Form, which initiates the official Addendum or Change Notice and the subsequent Revised Solicitation or Amendment, for all subcontract changes either prior to or after award.

 2. Assemble and submit the Purchase Requisition (PR) changes in the same manner as the original Requisition Package.

 3. Ensure the PR changes are organized in an orderly manner with each attachment uniquely identified and labeled with the PR number and number of pages.

 4. Include the following in PR changes.
 - Requisition,
 - Scope of change, and
 - Estimate

NOTE: The Scope of change may include revised drawings or specifications or other formal technical change documentation and/or identification and description of contract elements requiring change, such as additional scope, change in site conditions, or change to period of performance.

 5. Do not use RFIs or submittal revisions as change documents or to direct a change in contract requirements.

 6. Update and maintain the Subcontract Change Summary Log (see Attachment 8) as changes are initiated and/or approved.

 7. Use the Subcontract Change Summary Log Instructions (see Attachment 9) to complete the form.

 8. Fully support the ASM PS in negotiation of the changes by providing additional backup information that may be required to adequately present LANS' position and actively participating in negotiations, as necessary, and agreeing with the ASM PS.

4.11 Estimates

- STR
1. Under no circumstances allow the subcontractor to provide an estimate to be used as an independent estimate. Independent estimates are the primary instrument used to establish whether or not a subcontractor's proposal is fair and reasonable.

 2. Include cost estimates with all requisition packages and purchase requisitions for changes. Project leads (PLs) will provide cost estimates that are from the Environmental Management (EM), Readiness Technical Basis Facilities (RTBF) or G&A baseline.

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STR, cont. 3. Working with the PL, generate estimates for changes using the Change Notice Proposal Summary (see Attachment 10).

4.12 Submittals

Project Team 1. Develop a list of all required submittals and required reviewers for each submittal.

STR/Docu-
ment Control 2. Specifically, do the following steps related to submittals.

- Ensure that the subcontractor understands the submittal process,
- Receive a copy of the subcontractor's approved schedule of submittals,
- Ensure submittals required prior to issuance of Notice to Proceed (NTP) are received and acceptable,
- Receive a copy of the transmittals for each subcontractor submittal, and
- Receive copies of all returned/approved submittals along with transmittals.

3. Establish a logging and control system to monitor the submittal against contract requirements.

4. Receive all subcontractor document submittals from the subcontractor, date-stamp the transmittal correspondence, and identify any additional reviewer distribution requirements.

5. Verify that all documents, including drawings, listed on the transmitting document have been received. If documents are missing, STR needs to notify the subcontractor.

6. **IF** the subcontract has an Exhibit I, **THEN** adhere to the requirements in the Exhibit and skip Steps 7 through 11.

7. **IF** the subcontract does **NOT** have an Exhibit I, **THEN** follow Steps 8 through 12.

Determine if the submittal document has previously been submitted as a result of receiving a status of "B" or "C" as a previous submittal (refer to Attachment 17 for status definitions). If not, assign it a unique project document control number. Resubmittals are assigned the next sequential submittal number.

8. Generate a Subcontractor Submittal Status Sheet (Attachment 17, Project Subcontractor Submittal Status Sheet) and attach to the submittal and distribute to the identified reviewers with desired date that comments should be returned to the STR. (This can be done electronically.)

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| Reviewers | 9. | Review the submittal as requested. <ol style="list-style-type: none"> a. IF the submittal meets requirements, assign it a status of "A" or "D" and THEN sign the Subcontractor Submittal Status Sheet and return it to STR. b. IF the submittal does NOT meet requirements, THEN provide comments on one of the following: the Subcontractor Submittal Status Sheet, the submittal itself, or a comment form, and assign it a status of either a "B" or "C." Sign and return it to the STR. |
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| STR | 10. | Resolve and consolidate comments with reviewers. Original comments from reviewers should be maintained as a Record Copy. |
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| | 11. | Determine the status ("A," "B," "C," or "D ") of the submittal, and mark the status sheet accordingly. <ol style="list-style-type: none"> a. IF the submittal received a status of "A" or "D," THEN file the submittal in the project's file and transmit a copy to the subcontractor indicating acceptance of the submittal. b. IF the submittal received a status of "B" or "C," THEN transmit back to the subcontractor the document and/or comments that require resolution. Request that a revised submittal be resubmitted according to the terms of the subcontract. Make it clear that this resubmittal MUST NOT EXCEED 30 calendar days of the original submittal status date. |
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| | 12. | Do not use submittal reviews as change documents or to direct a change in contract requirements. |
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4.13 Technical Documents

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| STR | 1. | Review technical documents to ensure: <ul style="list-style-type: none"> • Understanding of technical requirements and scope; • Involvement of SMEs, as necessary; • Changes to scope are not unintentionally included; and • No commercial implications or directions are included. |
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4.14 Requests for Information

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

4.15 Service Activity Reports (SARs)

ASM PS and/or STR	1.	Mutually agree on frequency of activity reports based on the activity.
	2.	Complete SARs electronically or manually using the STR Daily Activity Report Form (see Attachment 14).
	3.	Number each SAR sequentially, beginning with 001.
STR	4.	Do not erase or alter SARs.
	5.	Make corrections to a SAR with one-line strike-throughs; initial and date.
	6.	Sign the original of the SAR and submit it to the ASM PS.
	7.	Retain a duplicate of the completed, signed SAR in the subcontract file.
ASM PS	8.	Be specific, complete, concise, factual, and unbiased when writing a SAR. NOTE: Do not express opinions. SARs are considered "records kept during the regular course of business" and are admissible as evidence to prove the truth of such statements contained therein without the original author appearing and testifying in person.

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9. Note "Final Activity Report" on the final SAR.

10. Forward any SARs received from the subcontractor to the ASM PS.

4.16 Monthly Reports

STR 1. Complete a Subcontract Monthly Report (see Attachment 15) for each subcontract by the third working day of the month for work done the previous month.

2. Forward a copy of each Subcontract Monthly Report to the lead STR.

3. Retain a copy of each Subcontract Monthly Report in the Field Subcontract File.

4.17 Schedule, If Applicable

STR 1. Work with the ASM PS to ensure the Special Conditions clause addressing the schedule is tailored to meet the requirements of the project.

NOTE: The subcontractor's schedule should show the logical sequence, methods and estimated duration of activities required to meet the milestone and completion dates.

2. Identify the exact schedule submittal requirements and rigorously enforce the requirements.

NOTE: Allowing a subcontractor to avoid submitting required schedule information may result in a waiver of those requirements.

3. Formally approve subcontractor-submitted schedules in writing.

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

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

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

- Is it in the form required?
- Does it meet the subcontract milestones?
- Are the following reasonable: schedule logic, activity durations, occurrence of float, completeness of the schedule, appropriate level of schedule detail, and identification of the critical path?
- Do early completion dates adversely affect the work of others or project cash flow constraints?
- Does it support the overall project schedule?
- Does the work of others support the subcontractor's schedule?

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STR, cont.

- Is work as planned consistent with parameters of the site (e.g., no double shift if the site is working one shift)?
- Is the schedule resource-loaded (non-manual personnel, manual personnel, and equipment) in order to provide a means by which subcontractor performance can be measured?
- Are comments and exceptions resolved prior to approval?

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

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6. In addition to the above, consider the following points when performing reviews of revised schedules.
- Is changed work reflected?
 - Have approved time extensions been incorporated?
 - Except for milestone dates modified by Amendment, have milestone dates been changed?

4.18 Quality

STR

1. In consultation with the project technical and quality representatives, complete an Exhibit H using an 838c Form, Quality Assurance Supplement, in the requisition package.

2. Require the subcontractor to complete work in accordance with the subcontract and perform first-line inspections on the work.

3. Where LANS inspections are required for work in progress, witness, or hold points, ensure that the subcontractor notifies and allows LANS the contractually agreed-to time necessary to perform those inspections.

4. Ensure that LANS inspections are performed in a timely manner such that they don't impede the subcontractor's progress.

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

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

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

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4.19 Access/Badging

- STR
1. Arrange site/facility access and badging.
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2. Maintain a log of badges issued and returned.
NOTE: Badges are issued through WES-DO for the duration of the subcontract.

4.20 Progress Payments

- STR
1. Review subcontractor's invoice and compare the total amount invoiced with actual progress to ensure that the percentage of the amount invoiced to the total is not excessive compared to the percent of work accomplished and accepted.
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2. Verify the quantities of work performed by using whatever means of measurement are appropriate to ensure that the progress claimed is reasonable.
NOTE: This could include actual counts, surveys, or according to good engineering practice.
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3. Always work to the latest amendments, including latest subcontract quantities and pricing terms.
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4. Ensure change notices have been executed and an amendment is in place before permitting any payment for changes.
-
5. Ensure that the invoice does not contain work previously reimbursed.
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6. Allow payment for work in-place and on-site.
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7. Do not allow payment for materials delivered to the site, but not yet installed or material off-site without approval by the PL and the ASM PS.
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8. The electronic system will obtain the ASM PS approval.

4.21 Back-Charges

- ASM PS
1. If it is determined to be necessary to provide equipment, material, or to perform work on behalf of the subcontractor, prepare a written notice to the subcontractor to state the nature of the problem, attempt to have the subcontractor perform the work, and open negotiations for its solution.
-
2. If the subcontractor is unable or unwilling to perform the work, notify the subcontractor of LANS' intent and review the back-charge procedure with the subcontractor. Not all subcontract types will have the Back-Charge General Condition in the subcontract. Please refer to the subcontract's General Conditions Exhibit A.

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STR	3.	Prepare a Back-Charge Notice for Provisions of Services, Equipment, or Materials to Subcontractor Form (see Attachment 16), and forward it to the ASM PS for approval, along with any other documentation required to specify the precise work or service to be performed by LANS for subcontractor.
	4.	If safety or other urgent considerations dictate, explain in the Back-Charge Notice for Provisions of Services, Equipment, or Materials to Subcontractor Form that the work is already being undertaken by LANS.
ASM PS	5.	Approve the Back-Charge Notice form, and forward it to the subcontractor for acceptance/approval.
	6.	If the subcontractor refuses to sign the Back Charge Notice form, obtain management approval to do one of the following: <ul style="list-style-type: none"> • Advise the subcontractor of LANS's intent to proceed with the back-charge work without the subcontractor's concurrence OR <ul style="list-style-type: none"> • Attempt to negotiate a settlement with the subcontractor.
STR	7.	Ensure all labor, material, and equipment charges are properly tracked and accumulated so that the actual cost of back-charge work can be recovered.
ASM PS	8.	Issue an amendment deducting the cost of the work done by LANS for the subcontractor from the subcontract sum.

4.22 Close-Out

STR	1.	Ensure all documentation has been provided (i.e., closed or received final acceptance status) and all contractual documentation has been completed.
	2.	Ensure the following has been done: <ul style="list-style-type: none"> • Subcontractor-provided equipment/tools have been received • Any contractor-supplied tools, equipment, or material has been returned • All submittals/deliverables have been received and assigned a status
	3.	Verify that all subcontractor materials, equipment, and trash or construction debris is removed from the job site and area housekeeping has been performed.
	4.	Transfer the contents of the Field Subcontract File not previously provided to the ASM PS.
	5.	Complete a final subcontractor performance evaluation and forward it to the ASM PS.

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4.23 Records

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

5.0 DEFINITIONS

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

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

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

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

Secondary Subcontract Technical Representative (SSTR): Due to size, complexity, or physical location, a subcontract may require more than one STR to manage the work. Secondary STRs may be assigned to assist the Primary STR by the Designating Authority. The Secondary STR may perform STR functions (as directed), but the Primary STR maintains overall responsibility for the subcontract. Secondary STRs are selected and trained consistent with all of the same criteria as Primary STRs.

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

Subject Matter Expert (SME): Workers recognized as most knowledgeable of a subject area through either education or experience.

6.0 ATTACHMENTS

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

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

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

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

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

Attachment 6: Reserved

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

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

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

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

Attachment 11: Reserved

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

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

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

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

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

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

[Using a CRYPTO Card, click here for "Required Read" credit.](#)

If you do not possess a CRYPTOCARD or encounter problems, contact the EP Central Training Office.

ATTACHMENT 1

<p>SOP-5248-1</p> <p align="center">LANS Environmental Subcontracts Division of Responsibility</p>	<p>Records Use only</p> 
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Legend:

STR – Subcontract Technical Representative	PL – Project Leader
PS – Procurement Specialist (Contract Administrator)	ESM – Environmental Subcontracts Manager
PMT – Project Management Team (includes all listed in Legend plus support organizations)	SR – Safety Representative
PCE – Project Controls Engineer	QA-IQ – Quality Assurance Representative
	DS- Deployed Security Representative

Activity Description	Primary Responsibility	Supporting Responsibility
Pre-Award		
1 Project requirements definition	RLM	Customer/Sponsor
2 Request STR be assigned (early in project-conceptual)	RLM	
3 Assign STR	ESM	
4 Prepare and complete Exhibit D, Scope of Work	STR	PMT
5 Prepare Exhibit F, ES & H Requirements	SR	STR
6 Prepare Exhibit G checklist, Security Requirements	STR	DS
7 Prepare Exhibit H 838-c, Quality Requirements	STR	QA-IQ
8 Prepare Training Matrix	STR	PMT
9 Prepare technical evaluation criteria (if applicable)	STR/PL	PMT
10 Assemble, route for approval, and submit PR to the PS including Exhibits D, F, G and H	STR	PMT
11 Review, comment Requisition Package	PL/STR	PMT
12 Develop Solicitation Package	PS	PMT
13 Develop commercial language and tailor Special Conditions and Solicitation Package to SOW	PS	STR
14 Review, comment, and concur with Solicitation Package	PL/STR	PMT
15 Issue Solicitation Package	PS	
16 Coordinate pre-solicitation meeting location and job site access if applicable	PS/STR	PMT
17 Conduct pre-solicitation meeting if applicable	PS/STR	PMT
18 Receive and open solicitations	PS	PMT
19 Perform commercial evaluation	PS	PMT
20 Perform evaluation on QA documentation	QA-IQ	

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Legend:

STR – Subcontract Technical Representative	PL – Project Leader
PS – Procurement Specialist (Contract Administrator)	ESM – Environmental Subcontracts Manager
PMT – Project Management Team (includes all listed in Legend plus support organizations)	SR – Safety Representative
PCE – Project Controls Engineer	QA-IQ – Quality Assurance Representative
	DS- Deployed Security Representative

Activity Description	Primary Responsibility	Supporting Responsibility
21 Perform a technical and schedule evaluation, if required	STR/PL	PMT
22 Obtain approval to award	STR	PMT
23 Conduct pre-award meeting, if required	PS/STR	PMT
24 Prepare Subcontract Agreement	PS	
25 Issue Notice of Award	PS	
Post-Award		
1 Certify that STR candidate is trained	ESM	
2 Request appoint of STR to subcontract	ESM	
3 Issue STR appointment letter	ASM	
4 Issue current and complete copies of all subcontract documents	PS	
5 Read the full subcontract	PMT	
6 Conduct the post-award meeting if applicable	PS/STR	PMT
7 Establish and maintain official subcontract files	PS	
8 Establish and maintain working subcontract files	STR	PMT
9 Confirm that all insurance, bonds, legal, and other requirements are met prior to NTP	PS	
10 Coordinate approval of the Subcontractor's Safety Program/Plan prior to NTP	STR/SR	PMT
11 Coordinate approval of the subcontractor's Quality Program/Plan prior to NTP	STR/QA-IQ	PMT
12 Issue Notice to Proceed	PS	PMT
13 Coordinate arrangements for badges gate passes, work and storage areas, access, site specific training, etc. as required by the subcontract	STR	PMT
14 Act as the subcontractor's single point-of-contact for field execution issues, day-to-day technical matters, and contract issues (within limits of authority granted by PS)	STR	PMT
15 Assist subcontractor with IWD preparation and obtain approvals	STR/SR	PMT
16 Provide technical clarifications of SOW, technical specifications, RFI responses, and other applicable documents	STR	PMT
17 Prepare a Subcontract Periodic Activity Report	STR	

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Legend:

STR – Subcontract Technical Representative	PL – Project Leader
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Activity Description	Primary Responsibility	Supporting Responsibility
18 Prepare and submit Monthly Report	STR	
19 Review subcontractor's schedule for performing the work if applicable	STR/PL	PMT
20 Approve subcontractor's schedule for performing the work and provide approved schedule to Project Controls Engineer if applicable	STR	PCE
20 Prepare and maintain submittal register of all submittals (bonds, work plans, reports equipment.) required from the subcontractor if applicable	PS/STR	PS/PE
21 Prepare and maintain RFI and SDDR logs	STR	PS/PE
22 Monitor subcontractor compliance with technical requirements and compliance with the subcontract	STR	PMT
23 Complete Interim Subcontractor Performance Report form and submit to PS when requested	STR	PMT
24 Conduct and document formal progress review meetings if applicable	PS	STR
25 Monitor commercial and submittal requirements	PS	STR
26 Establish and maintain logs for incoming and outgoing correspondence received by or issued to the subcontractor	PS	STR
27 Notify subcontractor of any non-conforming work and follow-up for compliance	STR/PS* (*If formal communication is appropriate.)	PMT
28 Issue a letter identifying unacceptable subcontract performance and corrective actions to be taken	PS	STR
29 Coordinate work activities between subcontractors having interface or working in the same area	STR	PMT
30 Arrange and coordinate meetings with Engineering, Quality Control, Industrial Health, Safety, and other organizations as required to effectively manage the subcontract	STR	PMT
31 Identify and coordinate timely delivery of all LANL furnished equipment/material/software to subcontractor	STR	PMT
32 Obtain subcontractor's written confirmation of receipt of any LANL-furnished material/equipment/software	STR/PS	PMT
33 Verify receipt of subcontractor-furnished material/equipment/software for progress payment purposes	STR/PS	PMT

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Legend:

STR – Subcontract Technical Representative	PL – Project Leader
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PCE – Project Controls Engineer	QA-IQ – Quality Assurance Representative
	DS- Deployed Security Representative

Activity Description	Primary Responsibility	Supporting Responsibility
34 Review Application for Payment (invoice) process with subcontractor and validate progress to payment schedule	STR	PS
35 Promptly approve subcontractor's Invoice	STR/PS	PMT
36 Prepare, obtain approvals, and issue PR for Change to Procurement	STR	PMT
37 Establish and maintain trend/change summary log	STR	PMT
38 Prepare and issue formal Change Notice to subcontractor	PS	PMT
39 Establish and maintain a record of Change Notices issued to subcontractor	PS	STR
40 Receive, document, and evaluate any claims/Change Notice proposals submitted by the subcontractor	PS	STR
41 Negotiate Change Notice proposals and claims	PS/STR	PMT
42 Issue formal contract modifications (change order)	PS	STR
43 Review subcontractor's Progress Reports and take corrective action when required	STR	PMT
44 Coordinate and ensure subcontractor equipment/material/computers being brought onto LANL is inspected to meet safety and security requirements	STR	PMT
45 Coordinate Health, Safety, Quality, Security, and Environmental Audits of subcontractor	STR	SR/PMT
46 Notify subcontractor in writing of any unsafe conditions arising during or from his work or from an unsafe act by a subcontractor employee	STR/PS (Immediate notification STR; formal notification PS)	
47 Forward copies of subcontractor correspondence to STR for information or action, as required	PS	STR
48 Forward copies of subcontractor correspondence to PS for information or action, as required (all formal correspondence should be directed to PS)	STR	PS
49 Confirm that all commercial submittals, documentation are received	PS	STR
50 Prepare certified release for final payment	PS	STR
51 Inspect work-site to ensure subcontractor leaves the work-site in a clean and safe condition	STR	PMT

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Legend:

STR – Subcontract Technical Representative	PL – Project Leader
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PMT – Project Management Team (includes all listed in Legend plus support organizations)	SR – Safety Representative
PCE – Project Controls Engineer	QA-IQ – Quality Assurance Representative
	DS- Deployed Security Representative

Activity Description	Primary Responsibility	Supporting Responsibility
Close-out		
1 Collect or account for security badges issued to the subcontractor	STR	PS
2 Close out all outstanding subcontractor claims	PS	STR
3 Obtain Release and coordinate final payment to subcontractor	PS	STR
4 Complete the Subcontractor Performance Report and submit to PS	STR	PMT
5 Transmit working files to the PS (as required)	STR	
6 Assemble official subcontract files and transfer to archives/records	PS	

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ATTACHMENT 2	
SOP-5248-2 Qualification of Subcontract Technical Representatives	Records Use only 

I. PURPOSE

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

II. SCOPE

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

III. DEFINITIONS

Direct Related Experience (DRE)

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

Education/Experience Credit (EEC)

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

General Experience (GE)

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

Qualification

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

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Related Experience (RE)

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

IV. RESPONSIBILITIES

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

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

V. QUALIFICATION PROCESS

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

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

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

Education

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

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

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- * Educational Equivalent = General Equivalency Diploma (GED).

Experience

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

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

STR Interview/Qualification

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

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

VI. MAINTAINING STR QUALIFICATIONS

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

VII. QUALIFICATION RECORDS

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

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ATTACHMENT 3	
SOP-5248-3 STR Education and Experience Record	Records Use only 

Name (Last, First, MI):	Z #:	Employee #:	Date:
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Education (enter Highest Level Only)	Number of Credits
High School Diploma (or Equivalent)	
College <ul style="list-style-type: none"> • BS Degree, Major • BA Degree, Major • AS Degree, Major • AA Degree, Major 	

Experience	
Years of Direct Related Experience	
Years of Related Experience	
Years of General Experience	
Total Number Education/Experience Credits (EECs)	
(This form must be completed and have a resume attached.)	

Review Results	
The above candidate does/does not meet the minimum qualification requirements needed for further evaluation as an STR.	
Environmental Subcontracts Manager (printed name/signature):	Date:
ADEP Project Director (printed name/signature):	Date:

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ATTACHMENT 4	
SOP-5248-4 STR Interview Sheet	Records Use only 

STR INTERVIEW SHEET

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

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ATTACHMENT 5	
SOP-5248-5 STR Letter of Qualification	Records Use only 

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

Subcontract Technical Representative (STR)	Initial Contract Value Not Exceeding: <input type="checkbox"/> 2 Million <input type="checkbox"/> 5 Million <input type="checkbox"/> 10 Million <input checked="" type="checkbox"/> 20 Million <input type="checkbox"/> 50 Million <input type="checkbox"/> 100 Million <input type="checkbox"/> Other _____
Area Subcontract Technical Representative Lead (ASL)	Total Contract(s) Initial Value Not Exceeding: <input type="checkbox"/> 20 Million <input type="checkbox"/> 50 Million <input type="checkbox"/> 100 Million <input type="checkbox"/> Other _____

Environmental Subcontracts Manager (printed name/signature):	Date:
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ATTACHMENT 6	
SOP-5248-6 <p style="text-align: center;">Reserved</p>	Records Use only 

ATTACHMENT 8

SOP-5248-8

Subcontract Change Summary Log

Records Use only



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

Sample

ATTACHMENT 9

SOP-5248-9

Subcontract Change Summary Log Instructions

Records Use only



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

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

ATTACHMENT 10

SOP-5248-10

Change Notice Proposal Summary

Records Use only



SUBCONTRACT NO.:

SUBCONTRACTOR:

CHANGE PROPOSAL NO.:

DATE:

I. SUBCONTRACTOR COST

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

II. LOWER-TIER SUBCONTRACTOR COST

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

III. GRAND TOTAL

IV. P&P BONDS @ _____%

V. TOTAL PROPOSAL COST

VI. THE EFFECT ON THE SCHEDULE IS:

				\$
				\$
				\$

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ATTACHMENT 11	
<p>SOP-5248-11</p> <p style="text-align: center;">Reserved</p>	<p>Records Use only</p>  <p>Los Alamos NATIONAL LABORATORY EST. 1943</p>

ATTACHMENT 12

SOP-5248-12

Request for Information

Records Use only



SUBCONTRACT No.

RFI No.

Date:

Page ____ of ____

Project ID:

Date Reply Requested By:

Reference Information (Document Drawing/Specification/Location)

Sample

INFORMATION REQUESTED/PROBLEM:

PROPOSED RESPONSE/SOLUTION:

SUBCONTRACTOR Representative:

STR:

Receipt Date:

INFORMATION TO SUBCONTRACTOR

REQUESTED INFORMATION:

CONTRACTOR Representative:

Date:

ATTACHMENT 13

SOP-5248-13

Request for Information Completion Instructions

Records Use only



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

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

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

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

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

ATTACHMENT 14

SOP-5248-14

STR Service Activity Report

Records Use only



SUBCONTRACTOR NUMBER:		DATE:	
SUBCONTRACTOR NAME:		PROJECT ID:	
SHIFT (Start/Stop Time):			
SAFETY HEALTH AND ENVIRONMENT NOTES:			
WORK FORCE (Sub-tier, Manpower):			
Change Order Work:			
DESCRIPTION OF WORK PERFORMED:			
Change Order Work:			
SPECIAL COMMENTS (Work Stoppage, Potential Delays, Issues, Interfaces, Problems):			
STR (Printed Name/Signature):		DATE:	

ATTACHMENT 15

SOP-5248-15

Subcontract Monthly Report

Records Use only



Subcontract Monthly Report

PERIOD ENDING

Subcontract No: PM:
 Project No: ESM:
 Location/Area: STR:
 Subcontractor: Procurement Rep:
 Project Title: Project Controls:

STAGE: Awarded On Hold Cancelled
 Working Closed

COMMERCIAL

OVERALL ESTIMATED AMOUNT (entire life cycle of subcontract)
 FISCAL YEAR FUNDING:
 NUMBER OF APPROVED CHANGES:
 AMOUNT OF APPROVED CHANGES:
 CURRENT FISCAL FUNDED AMOUNT: \$0.00
 NUMBER OF FORECASTED CHANGES:
 AMOUNT OF FORECASTED CHANGES:
 NUMBER OF INVOICES APPROVED:
 AMOUNT OF INVOICE PAYMENTS:
 PERCENT OF AUTHORIZED S/C COST SPENT TO DATE: #DIV/0!
 CUMULATIVE LIABILITY TO DATE: \$0.00

SUBCONTRACT SCHEDULE

	SCHEDULED	ACTUAL
ISSUE SOLICITATION:	<input type="text"/>	<input type="text"/>
RECEIVE PROPOSALS / BIDS:	<input type="text"/>	<input type="text"/>
S/C AWARD DATE:	<input type="text"/>	<input type="text"/>
MOBILIZATION DATE:	<input type="text"/>	<input type="text"/>
SUBCONTRACT COMPLETION DATE:	<input type="text"/>	<input type="text"/>

SUBCONTRACTOR SAFETY (If Subcontract has Exhibit F)

LOST TIME ACCIDENTS 0 FIRST AID CASES 0 TOTAL SITE MANHOURS
 OSHA RECORDABLES 0 INCIDENTS 0
 RESTRICTED CASES 0 PERIOD ENDING MANHOURS 0 OSHA TRC RATE #DIV/0!

COMPLETION STATUS/PROGRESS

OVERALL: SCHEDULED %: 0 ACTUAL %: 0.0

REMARKS / VARIANCE ANALYSIS

Sample

ATTACHMENT 16

SOP-5248-16

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

Records Use only



Back Charge Notice No.:

Subcontract No.:

SUBCONTRACTOR:

Date:

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

Sample

LANS AGREES TO PROVIDE THE SERVICE UNDER THE FOLLOWING CONDITIONS:

1. Cost

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

2. Schedule

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

3. Responsibility of SUBCONTRACTOR

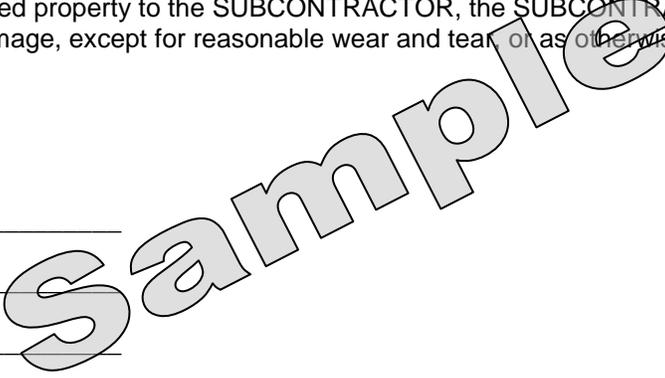
It is understood that the SUBCONTRACTOR expressly agrees that all such work performed by LANS shall be at the sole risk and responsibility of the SUBCONTRACTOR. The SUBCONTRACTOR shall indemnify and hold LANS harmless from any loss or expense in connection with the performance of work thereunder by LANS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

If this Back Charge Notice is for provision of equipment/materials only, the SUBCONTRACTOR has examined the items and found them to be operable, safe, and suitable for SUBCONTRACTOR'S intended use. In consideration of LANS granting to the SUBCONTRACTOR the right to use such equipment/materials, the SUBCONTRACTOR hereby agrees that the possession, handling, and use of the equipment shall be at the sole risk and responsibility of the SUBCONTRACTOR. The SUBCONTRACTOR shall indemnify and hold LANS harmless from any loss or expense in connection with the SUBCONTRACTOR'S possession, handling, or use of such equipment and material to be installed.

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

Basis for Estimate Cost:

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



<p>REVIEWED:</p> <p>_____</p> <p>STR Printed Name/Signature</p>	<p>ACCEPTED:</p> <p>_____</p> <p>Subcontractor Date</p>
<p>APPROVED:</p> <p>_____</p> <p>Procurement Specialist Printed Name/Signature Da</p>	

ATTACHMENT 17

SOP-5248-17

Submittal Form

Records Use Only



Project Subcontractor Submittal Status Sheet

Subcontract Number		Date Received	
Subcontractor	Company Name	Item Number/If applicable	STR Name
	Street Address	<input type="checkbox"/> Initial Submittal of a New Document <input type="checkbox"/> Re-Submittal of Previous Document	
	City, State, Zip Code		
	Attention: Subcontractor's Point-of-Contact		
Submittal Title			
Subcontractor/Supplier Document Status Stamp			
Check One			
<input type="checkbox"/> A) Reviewed-Work may proceed.		<input type="checkbox"/> C) Work may not proceed. Revise and resubmit within <u>XX</u> (30 days maximum) calendar days from submittal status date.	
<input type="checkbox"/> B) Reviewed-Revise and resubmit within <u>XX</u> (30 days maximum) calendar days from submittal date- Work may proceed.		<input type="checkbox"/> D) Permission to proceed not required.	
Stated By		Date	
Document ID Number			
SC/P.O. Number.			

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

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

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