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Contractor and Construction Services

Changes made in this revision:

- Updated affiliations per current organizational structure
- Miscellaneous changes throughout

Prepared by:

Steve Davey, AES/Technical Operations Specialists

Rick Janik, ANL/Infrastructure Services (IS) APS Site Operations Group Leader

Reviewed by:

PSC/EFOG Group Leader

Division ESH Coordinators

Approved by:

Division Directors

HSE/PSC Safety Manager

PSC/Deputy ALD-Science

PSC/Deputy ALD-Operations

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Contractor and Construction Services

1 Contractors Working On-Site at the APS

For the purposes of this policy, a contractor is any worker, hired by Argonne or an APS User, to provide services at the APS, and the worker is not:

- An Argonne employee or
- A User whose work is covered by an APS User Agreement

For a contractor to work on-site at the APS both a fully executed [APS Work/Project Checklist \(WPC\), Form UO-38](#) (form including instructions [APS 1259683](#)) and an APS Work Entry Clearance (WEC) are required. For services contracted through Argonne Procurement, both documents will be developed as part of the purchase requisition process – safety approval in the Laboratory’s procurement system PARIS requires the WPC to be complete.

The APS WPC is an integral part of the ESH screening process and documents:

- Work/Project description (scope, location, schedule, and identification of the project requestor and coordinator)
- Risk classification and contractor access requirements
- ESH and design review approvals and pre-start requirements (including mandatory NEPA reviews)
- Project management (requisition number, contract/contractor information, authorization to proceed).

Points of contact for initiating a WPC:

- For work in an experimental sector or associated Lab/Office Module (LOM), CAT and XSD beamline personnel should contact a Floor Coordinator
- For non-beamline/LOM construction, APS personnel should contact the Laboratory's IS/APS Site Operations Group Leader.
- For all other work, the requestor should contact an APS ESH Coordinator

The WEC identifies contractors that will be working at the APS and where and when they will be working. Prior to site access, the completed WEC must be submitted to the Building Manager or the ANL/IS APS Site Operations Group.

For contractor work provided on behalf of a User, the beamline personnel shall assist with oversight and ensuring that contractors conform to ESH requirements.

2 Users and Third Party Contractors

For the purposes of this policy, a *third party contract* is an agreement between a non-Argonne user's home institution and a service provider for contractor work at the APS - Argonne is not a party to the contract.

In addition to the WPC (and JSA if required) and WECs, third party contracts require:

- The User's home institution has a current APS User Agreement
- Argonne approval:
 - Argonne will routinely allow third party contracts if the scope is limited to:
 - Installation incidental to the User's purchase of a piece of technical equipment (goniometer, computer, mirror, vacuum chamber, etc.) and which does not include construction in the third party's scope of work.
or
 - Installation, maintenance, or repair of User-owned equipment (such as repairing a fax machine, assembling furniture, or adjusting an instrument).
 - If the work goes beyond the above limited scopes, approval of the contract by Argonne Procurement is required prior to site access by the contractor. Procurement will coordinate the review for requirements in areas such as on-site labor, site access/security, and ESH requirements.
- The User to be responsible for ensuring that the third party contractor complies with the APS, Argonne (including site access requirements), and DOE ESH standards for on-site work.
- Prior to site access, contractor training, inspection, and permitting requirements must be completed.
- If the work involves the use of a rider-operated forklift, this scope of work must be provided by Argonne rigging services

3 Construction

To ensure compliance with ANL-required building codes/standards, labor requirements, and construction safety requirements, and for coordination with other plant activities, all construction contracts will be managed by the ANL/IS APS Site Operations Group.

For the purposes of this policy, *construction* work includes:

- "Hard-wire" installation or tie-in to facility utilities, including electrical, plumbing, ventilation, or water systems.
- Changes to the physical plant or altering of any permanent structure
- Use of industrial scaffolds, cranes, or lifts.

Installation of experimental facilities technical components and itinerant experimental equipment, that do not incidentally involve construction activities, are not considered “construction.”

There are three options for constructions:

- Contracted construction - typically used for larger projects with a clearly defined scope of work/specification and may be competitively bid.
- Time-and-materials (T&M) services - limited scope/limited total cost tasks. Task initiated with submitting a completed APS Service Request Order (SRO), Form UO-03. Users submit SROs to a Floor Coordinator. Work may be covered by existing WPCs and JSAs.
- Argonne skilled trades

The APS will make licensed and qualified electricians, pipefitters, carpenters, and other “skilled trade” workers available for beamline-related construction tasks as needed. Only Argonne (the Laboratory), can contract for on-site construction work – non-Argonne user’s home intuition cannot contract for construction on the Argonne site.

Construction Responsibilities

Requestor

- Obtain design approvals according to [APS Design Review](#) Policy and Procedure
- Provide an Argonne cost code or a funded user account to pay for the construction
- Monitor the construction, ensuring work meets requirements

ANL/IS APS Site Operations Group

- Assist in developing a scope of work and specifications
- Completes the WPC and ensure pre-start documentation, training, and authorizations completed
- Verify that designs have been reviewed and approved according to [APS Design Review](#) Policy and Procedure
- Provide the contract Technical Representatives and ensure work meets applicable codes
- Completes Work Entry Clearances
- Provide a *Coordinator* to provide the day-to-day ESH oversight.
 - Personnel providing ESH oversight shall have completed the 10-hour OSHA training for General Industry and/or Construction
 - When all pre-start requirements (e.g., documentation, training) are met, sign WPC Authorization to Proceed
 - Ensure at close-out that documents required for transfer to operations (e.g., as-built drawings, occupancy permits, etc.) are in ICMS

APS User ESH Group/Floor Coordinators

- For construction in an experiment hall sector or the associated LOM, assist in coordinating /scheduling beamline, facility, and construction activities.

4 Closeout or Post-performance Activity

The APS person overseeing any construction activity must update facility records as appropriate and/or verify drawings/specification of the work are placed in the APS document system.

5 References

Managing Minor Work Projects at APS (2001, revised 2006) (APS document [APS_1257043](#))

PSC National Environmental Policy Act (NEPA) Reviews, Procedure 1110-00210 (2015) (APS document [APS_1419836](#))

Contractor Safety, ANL procedure [LMS-PROC-123](#) (2015)

Technical Representative and Contractor ESH Representative. [ANL procedure LMS-PROC-221](#) (2015)

6 Documents/Records Created by this Procedure

The documents/records listed below will be created in the execution of this procedure and must be retained as indicated.

Description of Document/ Record (include 7D number, if applicable)	Custodian	Storage Location and Medium	Retention Requirement
Contracts	Argonne Procurement	PARIS	Use Argonne Procurement standards
APS Work/Project Checklist (Form UO-38)	1) for construction projects: ANL/IS APS Site Operations Group Leader 2) for non-construction work: ESH Coordinator	ICMS	11 years 1 year (assuming <1 year to complete) plus 10 year retention (DOE Admin Records Schedule 17, Engineering and Facility Management Records, section 30c2 Project Planning and design files)
Work Entry Clearance (Form)	Building Manager	ICMS	3 years

7 Feedback and Improvement

If you are using this procedure and have comments or suggested improvements for it, please go to the [APS Policies and Procedures Comment Form](#) * to submit your input to a Procedure Administrator. If you are reviewing this procedure in workflow, your input must be entered in the comment box when you approve or reject the procedure.

Instructions for execution-time modifications to a policy/procedure can be found in the following document: Field Modification of APS Policy/Procedure ([APS_1408152](#)).

* <https://www.aps.anl.gov/Document-Central/APS-Policies-and-Procedures-Comment-Form>