

UNCONTROLLED COPY



OFFICE OF CIVILIAN RADIOACTIVE WASTE MANAGEMENT QUALITY ASSURANCE ADMINISTRATIVE PROCEDURE

Title:

PROCUREMENT OF SERVICES

Procedure No.:
QAAP 7.1

Revision: 1

Date: 02/21/92

Page 1 of 15

Concurrence

Date: 12/30/91

Approval

Date: 1/6/92

R.W. Clay
for DGM

[Signature]

1.0 PURPOSE

This procedure establishes the responsibilities and methods for controlling the procurement of services to ensure conformance with specified quality assurance (QA) requirements.

2.0 SCOPE

This procedure applies to the procurement of services for the Office of Civilian Radioactive Waste Management (OCRWM) Headquarters.

3.0 REFERENCES AND DEFINITIONS

3.1 REFERENCES

3.1.1 *Quality Assurance Requirements Document (QARD), DOE/RW-0214*

3.1.2 *Quality Assurance Program Description Document (QAPD), DOE/RW-0215*

3.2 DEFINITIONS

3.2.1 Contractor - A service organization used for commercial procurement.

3.2.2 Direct-Support Organization - A service organization that performs work for OCRWM implementing the OCRWM Quality Assurance Program controls.

3.2.3 Field Contractor - A service organization under contract to a DOE Field Office.

3.2.4 OCRWM-Managed Organization - A service organization that performs work for OCRWM in accordance with a quality assurance program accepted by OCRWM.



- 3.2.5 Procurement Document - Procurement requests, purchase orders, drawings, requests for proposals, contracts, specifications, instructions, program guidance letters, work authorizations, and interagency agreements or any other document used to specify the procurement document content requirements contained in reference 3.1.1.
- 3.2.6 Responsible Director - The Associate or Office Director who requires the service to be procured.
- 3.2.7 Service Organization - Any external organization to OCRWM that may perform work for the CRWM Program.
- 3.2.8 Statement of Work - That portion of a procurement document that describes the service organization's work scope.
- 3.2.9 The definitions of other quality assurance related terms may be found in the Glossary contained in reference 3.1.1.

4.0 RESPONSIBILITIES

4.1 ASSOCIATE AND OFFICE DIRECTORS, OCRWM

Associate and Office Directors, OCRWM are responsible for:

- 4.1.1 Reviewing procurement documents for work affecting their areas of responsibility as requested by the Responsible Director; and
- 4.1.2 Acting as the Responsible Director for procurements that they originate.

4.2 ASSOCIATE DIRECTOR, OFFICE OF CONTRACT BUSINESS MANAGEMENT (ADCEM)

In addition to the responsibilities in Subsection 4.1, the ADCEM is responsible for:

- 4.2.1 Preparing and maintaining this procedure;
- 4.2.2 Assisting the Responsible Director in the development of procurement documents;
- 4.2.3 Routing and tracking procurement document review packages;
- 4.2.4 Coordinating the approval and issuance of procurement documents;
- 4.2.5 Interfacing as required with the DOE procurement organization to ensure that procurement documents comply with Federal and DOE procurement requirements; and



4.2.6 Obtaining QA Records Package numbers, assembling and entering procurement QA records into the OCRWM records system.

4.3 DIRECTOR, OFFICE OF QUALITY ASSURANCE (OQA)

In addition to the responsibilities in Subsection 4.1, the Director, OQA is responsible for:

4.3.1 Assessing the adequacy of the service organization's quality assurance program documentation; and

4.3.2 Scheduling and conducting verification activities to ensure the service organization's compliance with QA requirements.

4.4 RESPONSIBLE DIRECTOR

The Responsible Director is responsible for:

4.4.1 Determining the scope of work and the applicability of QA controls for required services;

4.4.2 Conducting procurement planning activities and developing procurement documents, including Work Authorizations, in coordination with the ADCBM;

4.4.3 Initiating the review of procurement documents and changes thereto;

4.4.4 Assisting the ADCBM in the approval and issuance of procurement documents;

4.4.5 Initiating the review of and accepting the service organization's QA program documents and informing the Contracting Officer of any actions required by the service organization regarding QA program compliance;

4.4.6 Ensuring that the Contracting Officer authorizes the start of work by the service organization;

4.4.7 Ensuring that the deliverables submitted by the service organization are accepted by OCRWM and that resulting QA records are entered into the OCRWM records system; and

4.4.8 Verifying the completion of required activities upon termination of procurement.



4.5 CHIEF, BUDGET BRANCH, OFFICE OF PROGRAM AND RESOURCES MANAGEMENT

The Chief, Budget Branch, is responsible for preparing Fiscal Year (FY) Field Budget Submissions.

5.0 GENERAL

5.1 PROCUREMENT PLANNING

5.1.1 Procurement planning shall identify:

- a) The procurement method to be used;
- b) A sequence of actions and milestones that indicates the completion of each procurement activity; and
- c) The applicable procedures for each procurement activity. The *Federal Acquisition Regulations* (FAR), the *DOE Acquisition Regulations* (DEAR), and policies and standard operating procedures prescribe the procurement planning and placement processes for commercial procurement.

5.1.2 For each planned procurement activity, the planning document shall indicate:

- a) What is to be accomplished;
- b) Who is to accomplish the activity;
- c) How the activity is to be accomplished; and
- d) When the activity is to be accomplished.

5.1.3 Coordination points between the Responsible Director and ADCEM shall be identified during the conduct of procurement planning.

5.2 PROPOSAL EVALUATION

5.2.1 The designated individuals or organizations responsible for proposal evaluation shall determine the extent of conformance to the evaluation criteria contained in the procurement documents by evaluating, as applicable, the following:

- a) Technical considerations;
- b) Quality assurance program requirements;
- c) Service organization's personnel;
- d) Service organization's capabilities to provide service;
- e) Service organization's past performance;
- f) Alternates; and
- g) Exceptions.



5.2.2 Measures for evaluation and selection of contractors shall include one or more of the following:

- a) Evaluation of the contractor's capability by reviewing historical information on the quality of similar services provided; or
- b) Evaluation of the contractor's capability by reviewing current quality records supported by documented qualitative and quantitative information; or
- c) Direct evaluation of the contractor's facilities, personnel, and quality assurance program implementation.

5.2.3 Prior to contract award, unacceptable quality conditions discovered during the proposal evaluation shall be resolved or commitments from the contractor to resolve the conditions shall be obtained.

5.2.4 Also prior to contract award, measures to interface with the contractor and to verify the contractor's performance shall be established and questions concerning the provisions and specifications of the procurement documents shall be resolved.

5.3 FIELD BUDGET SUBMISSION SYSTEM

When a service organization is under contract to a DOE Field Office, the FY Field Budget Submission is issued to the Field Office by OCRWM. This Field Budget Submission shall be treated as the procurement document for purposes of this procedure.

5.4 VERIFICATION ACTIVITIES

5.4.1 Upon acceptance of the service organization's QA program, work subject to QA controls may begin. OCRWM shall perform verification activities as appropriate during the duration of the work.

5.4.2 When establishing OCRWM verification activities, provisions shall be established to ensure that the verification activities are conducted as early as practicable. These verification activities do not relieve service organizations of their responsibility to complete any verification activities required by their own quality assurance programs.

5.5 IDENTIFICATION OF QA REQUIREMENTS

Procurement documents issued to direct-support or OCRWM-managed organizations shall contain an appropriate identification of QA requirements in accordance with Attachment III or Attachment IV.



6.0 PROCEDURE

6.1 PROCUREMENT PLANNING

- 6.1.1 The Responsible Director shall determine the need to procure services, and document the scope of work to be provided. Based upon the scope of work, applicability of the OCRWM QARD is determined.
- 6.1.2 If the services to be provided are not subject to QARD requirements, the Responsible Director shall document this determination (refer to Attachment I). Implementation of this procedure shall end at this time.
- 6.1.3 If the services to be provided are subject to QARD requirements, the Responsible Director shall complete procurement planning in accordance with Subsection 5.1.
- 6.1.4 If services are to be provided by a Field Contractor, the Responsible Director shall be included in the development of a FY Field Budget Submission. Otherwise, development of procurement documents shall continue in accordance with Subsection 6.2.

6.2 DEVELOPMENT OF PROCUREMENT DOCUMENTS

- 6.2.1 The Responsible Director in coordination with the ADCBM shall develop the appropriate procurement documents for an Interagency Agreement/ Memorandum of Agreement or for the solicitation of commercial proposals, considering the applicable review criteria outlined in Attachment II and the procurement planning documents.
- 6.2.2 The Responsible Director shall initiate the document review process in accordance with QAAP 6.2, *Document Review*, invoking the applicable Standard Review Criteria for Procurement Documents (Attachment II). The Director, OQA, the ADCBM, and independent technical representatives from each office having responsibility for the scope of work shall be identified as assigned reviewers. The Responsible Director shall forward the review package to the ADCBM, who routes and tracks the document review process.
- 6.2.3 Upon completion of the review and comment resolution process, the Responsible Director and the ADCBM shall:
- a) If the work is to be performed by another DOE Office or government agency, ensure that an Interagency Agreement/ Memorandum of Agreement is issued in accordance with standard policies and procedures.



- b) For commercial procurements, interface with the Contracting Officer in the issuance of the request for proposals in accordance with standard procurement policies and procedures.
- c) For work to be performed by a Field Contractor, ensure that a Field Budget Submission is issued for the fiscal year in accordance with standard policies and procedures.

6.3 PROPOSAL EVALUATIONS

- 6.3.1 The ADCEM shall ensure compliance with the proposal evaluation and contractor selection process defined in Subsection 5.2.
- 6.3.2 If changes to the scope of work or technical or quality assurance requirements of the procurement documents are identified during the proposal and evaluation process, the Responsible Director shall ensure that the procurement documents are updated and reviewed in accordance with Subsection 6.2.
- 6.3.3 Following completion of the proposal evaluation and contractor selection process, the Responsible Director and ADCBM shall coordinate with the Contracting Officer to ensure that a contract is issued.

6.4 FIELD BUDGET SUBMISSION SYSTEM

- 6.4.1 Upon the identification of work to be performed by field contractors, the Chief, Budget Branch, in coordination with the Responsible Director develops a Field Budget Submission, ensuring that appropriate technical and QA requirements are identified or referenced within the document.
- 6.4.2 The Responsible Director shall initiate review of the Field Budget Submission in accordance with QAAP 6.2, *Document Review*, invoking the applicable Standard Review Criteria for Procurement Documents (Attachment II). The Director, OQA, the ADCEM and independent technical representatives from each office having responsibility for the scope of work shall be identified as assigned reviewers. The review package shall be forwarded to the ADCBM, who routes and tracks the document review process.
- 6.4.3 Following review, the ADCEM shall coordinate the approval and issuance of the Field Budget Submission.

6.5 AUTHORIZATION TO START WORK

- 6.5.1 For a direct-support organization, the Responsible Director shall ensure that the Contracting Officer authorizes the start of the work identified in the procurement documents.



6.5.2 For an OCRWM-managed organization, the Responsible Director shall:

- a) Ensure that QA Program documents identified in Attachment IV have been received, initiate the QA program document review and comment resolution process in accordance with QAAP 6.2, and accept the service organization's QA program documents for OCRWM following satisfactory completion of the review process.
- b) Ensure that, following OCRWM acceptance of the service organization's quality assurance program, the Contracting Officer authorizes the start of the work identified in the procurement documents.

6.5.3 Subsequent to the start of work by the service organization, the Responsible Director, in coordination with the Contracting Officer's Representative (COR), shall ensure that any changes to the scope of work are documented in procurement documents in accordance with Subsection 6.2 or 6.4 as appropriate. Changes that affect the technical or QA requirements for the work shall be subject to QAAP 6.2 review in accordance with Paragraph 6.2.2 or 6.4.3.

6.5.4 The ADCBM shall assemble and enter the procurement QA records package into the OCRWM records system in accordance with Subsection 7.1.

6.6 ACCEPTANCE OF SERVICES

The Responsible Director, in coordination with the COR, shall ensure that the deliverables submitted by the service organization are accepted by OCRWM as specified in the procurement documents and resulting QA records entered into the OCRWM records system in accordance with Subsection 7.2.

6.7 EVALUATION OF PERFORMANCE

The Responsible Director, in coordination with the COR, shall ensure that verification activities are scheduled and conducted in accordance with Subsection 5.4.

6.8 TERMINATION OF PROCUREMENT

The Responsible Director, in coordination with the COR, shall ensure that the tasks and deliverables required by the procurement documents have been completed and handled in accordance with the procurement documents and that QA records have been processed in accordance with Section 7.2.



7.0 RECORDS

7.1 Procurement plans and procurement documents that identify the scope of work, technical and QA requirements, and associated document review records are QA Records and shall be collected and maintained in procurement QA Records Packages in accordance with QAAP 17.1, *QA Records Management*.

7.2 Documents submitted by service organizations that are QA records shall be collected and maintained in appropriate QA Records Packages in accordance with QAAP 17.1, *QA Records Management*.

8.0 ATTACHMENTS

- 8.1 Attachment I - Work That Does Not Require QA Controls
- 8.2 Attachment II - Standard Review Criteria for Procurement Documents
- 8.3 Attachment III - QA Requirements for Direct-Support Organizations
- 8.4 Attachment IV - QA Requirements for OCRWM-Managed Organizations
- 8.5 Attachment V - QAAP 7.1 Flowchart



ATTACHMENT I

WORK THAT DOES NOT REQUIRE QA CONTROLS

If the scope of work does not require QA controls, the following statement, or equivalent, shall be included in the procurement document package, normally referenced in or attached to the Statement of Work:

"The work [or tasks] described are not subject to OCRWM quality assurance requirements."

Justification shall be provided that the work does not meet the criteria contained in QAAP 2.3, *Establishing Quality Assurance Program Controls*, for QARD applicability.



**ATTACHMENT II
STANDARD REVIEW CRITERIA FOR PROCUREMENT DOCUMENTS***

_____ Is the scope of work clearly specified?

_____ Are adequate, complete, and correct technical requirements identified, including drawings and specifications; codes, standards, and regulations; technical acceptance criteria; and traceability requirements, where appropriate?

_____ Are adequate, complete, and correct quality assurance requirements identified as outlined in Attachment III for direct-support organizations or Attachment IV for OCRWM-managed organizations?

_____ Do the procurement documents require that the service organization to submit a documented quality assurance program implementing the appropriate or specified portions of the QARD for OCRWM acceptance prior to the start of work; or require that the service organization to work to specific sections and implementing procedures of the OCRWM QA program?

_____ Do the procurement documents require the service organization to incorporate the appropriate quality assurance requirements in subtier procurements?

_____ Do the procurement documents contain provisions for access by OCRWM to the service organization's facility and records for audits and surveillances to verify compliance with QA requirements?

_____ Have the technical and quality assurance program deliverables required to be generated and submitted by the service organization been completely and clearly specified?

_____ Have the deliverables to be submitted for OCRWM acceptance been identified along with adequate acceptance criteria for each deliverable?

_____ Do the procurement documents specify the records to be developed by the service organization and submitted to and accepted by OCRWM?

_____ Have methods for disposition of deliverables that do not meet procurement document requirements been established between OCRWM and the service organization?

_____ For commercial contracts, is adequate, correct, and complete selection criteria provided in the Request for Proposal documents?

* Place a check mark on the line adjacent to each applicable criterion.



ATTACHMENT III

QA REQUIREMENTS FOR DIRECT-SUPPORT ORGANIZATIONS

Procurement documents that contain one or more tasks requiring QA controls shall contain a separate quality assurance requirements statement, normally within the Statement of Work. The following statement, or equivalent, shall be used to specify requirements associated with the work:

[Organization's name] shall perform and integrate the work pursuant to this [procurement document] in each of the work areas described below and shall implement the OCRWM Quality Assurance Program which consists of the *Quality Assurance Requirements Document (QARD)*, DOE/RW-0214; the *Quality Assurance Program Description Document (QAPD)*, DOE/RW-0215; and associated Quality Assurance Administrative Procedures (QAAPs) and Implementing Line Procedures (ILPs).

Work requiring QA controls is subject to surveillance, review, and audit by OCRWM. Accordingly, [organization's name] and its representatives are required to provide OCRWM with free access to their facilities for the purpose of verifying compliance with applicable QA requirements.

NOTE: If additional controls are required for a given procurement, those controls should be referenced to any specific work assignments to which they apply.



ATTACHMENT IV

QA REQUIREMENTS FOR OCRWM-MANAGED ORGANIZATIONS

Procurement documents that contain one or more tasks requiring QA controls shall contain a statement that is included in the Statement of Work or that is contained in a separate quality assurance task. The following statement, or equivalent, shall be used to specify requirements associated with the work:

Work identified in this [procurement document] as requiring QA controls shall be performed in accordance with a quality assurance program that meets the requirements of DOE/RW-0214, *Quality Assurance Requirements Document (QARD)*. This work shall not commence until authorized by the Contracting Officer. Prior to initiation of work, [organization's name] shall submit the following documents to OCRWM for acceptance:

- a) A Quality Assurance Program Description (QAPD), OCRWM acceptance of the QAPD is required prior to commencing work on the following tasks:

[List tasks subject to QA controls]

- b) A QARD Requirements Matrix that identifies the QARD requirements that will be complied with and where, within the QAPD and implementing procedures, the requirements of the QARD have been addressed. If certain requirements are not considered applicable, the matrix shall contain footnotes or attachments that justify why they are not applicable.
- c) The controlled procedure that defines the process for establishing QA controls for the work to be performed.

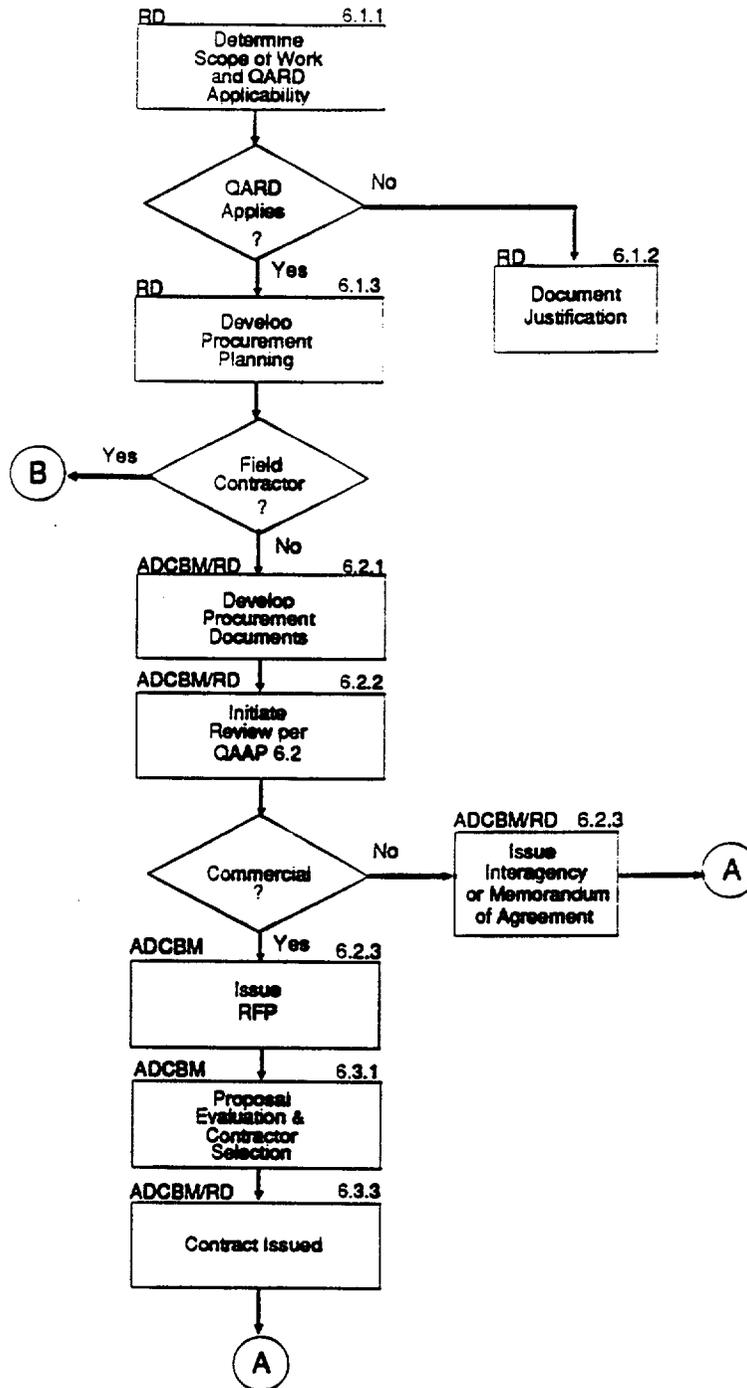
Tasks described in the scope of work are subject to review, surveillance, and audit by OCRWM. Accordingly, [organization's name] and its representatives are required to provide OCRWM with free access to their facilities for the purpose of verifying compliance with QARD requirements.

NOTE: If additional specific controls are required for a given procurement, those controls should be referenced to any specific tasks to which they apply.



ATTACHMENT V

QAAP 7.1 FLOWCHART





ATTACHMENT V (Continued)

QAAP 7.1 FLOWCHART

