



CHANGE NOTICE

CN No.: 4.0-3-1

Effective Date: 8/24/92

Affected Document: 033-YMP-QP 4.0 "Procurement Document Control"

D. Wolfe

Prepared by:

N/A 8-14-92
Approved by: (Technical Area Leader) Date

D. Wolfe 8/14/92
Approved by: (YMP QA Manager) Date

N. L. Glance 8/14/92
Approved by: (YMP Leader) Date

Training Required: Yes No

Major Changes Minor Changes

Reason for Change:

Addition of internal acquisitions section

Replace Pages 3, 4 and 5

Page 3, Para 3, Sentence 1, addition of words, Section 4.0.5

Page 4 is replaced to accommodate pagination

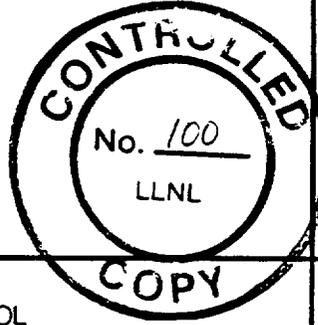
Page 5 is replaced to add Section 4.0.5.3

NOTE: THIS CHANGE NOTICE IS TO BE FILED AT THE FRONT OF THE AFFECTED DOCUMENT

University of California

 Lawrence Livermore
National Laboratory

UCCA MOUNTAIN PROJECT
Quality Procedures



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Revision: 3
Effective Date: 5/20/92
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Subject: PROCUREMENT DOCUMENT CONTROL

AUTHOR: J. Blink

Training Required: Yes No

Comment: All Project Staff

Approved by: *Paul G. Middle* 5/19/92
Yucca Mountain Project Leader (for) Date

Approved by: *Dean Wolfe* 5-19-92
YMP Quality Assurance Manager Date

COMPLETE REWRITE

4.0.1 PURPOSE

To establish the responsibilities and define interface requirements for assuring that the procurement of items and services for the LLNL-YMP conforms to specified requirements.

4.0.2 SCOPE

This procedure is applicable to the procurement of items and services for the LLNL-YMP. The controls herein established will be implemented for all items and services, including SANL Procurements, which have been designated through the grading process as requiring compliance with this procedure. This procedure is not applicable to procurements by subcontractors not working directly to LLNL-YMP procedures.

4.0.3 RESPONSIBILITIES

4.0.3.1 LLNL-YMP LEADER OR DESIGNEE: Is responsible for the implementation of this procedure.

Is responsible for approval of all Technical Services Contracts.

4.0.3.2 LLNL-YMP QUALITY ASSURANCE MANAGER (QAM) OR DESIGNEE: Is responsible for verification of the implementation of this procedure.

Is responsible for the review of LLNL-YMP procurement documents and SANLs for "Quality Affecting" items and services to ascertain that appropriate quality requirements have been included or referenced.

4.0.3.3 REQUESTOR: Is responsible for initiating the procurement.

Is responsible for identification and documentation of technical and, in cooperation with QAM, quality requirements.

4.0.3.4 LLNL-YMP TASK LEADER (TL) OR DESIGNEE: Is responsible for initial review and approval of the procurement.

Is responsible for the reviewing of technical and quality requirements. If the TL is the Requestor, the Requestor's LLNL-YMP supervisor will perform the reviews.

Is responsible for determining the category (quality affecting or non-quality affecting) of the procurement.

Is responsible for initiating the Procurement Document Review form (Exhibit A).

4.0.3.5 LLNL-YMP ACCOUNT
MANAGER OR DESIGNEE:

Is responsible for the review of the procurement package to determine if the procurement is within the scope of the current cost and schedule objectives.

4.0.3.6 LLNL-YMP RESOURCE
PLANNING AND CONTROL
MANAGER (RPCM)
OR DESIGNEE:

Is responsible for assuring that procurement documents contain appropriate accounting and funding information, and all other documentation required by YMP/NWF, LLNL and DOE/Federal Procurement regulations.

(This responsibility is currently delegated to the LLNL-YMP Resource Manager)

Is responsible for the review of procurement/SANL documents to verify proper account number, availability of funding, proper authorization, and to ensure that relevant information and documentation is included in the procurement package.

4.0.3.7 LLNL PROCUREMENT
DEPARTMENT:

Is responsible for assuring that the procurement is placed with qualified vendors.

Is responsible for placing procurements consistent with applicable LLNL policies and other Federal procurement policies, regulations, standards, and procedures.

Is responsible for notifying the QAM for final review prior to placing a Quality Affecting procurement.

4.0.3.8 SANL ADMINISTRATION
SERVICES OFFICE:

Is responsible for processing the Special Materials Office Memorandum Request for procurements of items or services procured from DOE, DOD, or other Federal Government Entities.

4.0.4 TERMS AND DEFINITIONS

(See Tab C, "Terms and Definitions")

4.0.5 PROCEDURE

The Task Leader will determine whether a procurement is quality affecting based on the intended use of the item or service. Items and services to be used in the repository to assure public radiological safety or waste isolation or to be used to gather data for direct use in a license application will be determined to be quality affecting. Exempt items are always non-quality affecting. Commercial grade items may be determined to be quality affecting.

Standard LLNL procurement practices apply to the procurement of non-quality affecting items and services.

Purchase Requisitions (PRs), SANLs, and internal LLNL acquisitions for quality affecting items and services are processed in accordance with applicable sections of this procedure.

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4.0.5.1 Purchase Requisition

The Requestor shall complete the Purchase Requisition (PR), assuring:

- a. That the Scope of Work describes the item or service to be procured, including or referencing appropriate acceptance or rejection criteria.
- b. That Technical Requirements include or reference, as appropriate, specific:
 - 1) Drawings,
 - 2) Specifications,
 - 3) Codes,
 - 4) Standards,
 - 5) Regulations,
 - 6) Procedures,
 - 7) Instructions,
 - 8) Applicable tasks, inspections, or acceptance requirements to be used to monitor and evaluate the performance of the supplier,
 - 9) Documentation required to be submitted to the LLNL-YMP for information, review, or approval. Document submittal schedules shall be identified.
- c. That Quality Assurance Requirements include or reference, as appropriate, specific:
 - 1) Provisions for referencing or including quality assurance programmatic requirements.
 - 2) Provisions for access to the supplier's (and sub-tier supplier's) facilities and records for inspection or audit by the LLNL-YMP or its designated representative, and by YMPO or its designated representative,
 - 3) Provisions for reporting and approving disposition of nonconformances,
 - 4) Provisions for review and acceptance of the supplier's Quality Assurance Program consistent with applicable QA requirements, or provisions for the supplier to perform some or all of supplier work under the jurisdiction of the LLNL-YMP's QA program.
 - 5) Provisions for inclusion of appropriate shipping, handling and storage consistent with the requirements of Procedure 033-YMP OP 13.0, "Handling, Storage, and Shipping." Special packaging or handling requirements necessary to preserve the integrity of the items must be identified, if appropriate.
 - 6) Provisions for disposition of supplier's Quality Records.

The Requestor shall require the identification of appropriate spare and replacement parts or assemblies and appropriate designation of the technical and quality assurance requirements for ordering these parts or assemblies.

The Requestor shall submit the completed PR to the Task Leader. If the procurement is quality affecting and/or a Technical Services Contract, the Task Leader prepares a Procurement Document Review (PDR) form. The Task Leader indicates on the PDR whether the procurement is Quality Affecting, or not, and forwards it to the Account Manager. The Account Manager approves (if within cost schedule and objectives) the procurement requisition, forwards it to the RPCM. The RPCM reviews the package for completeness and accuracy and to ensure compliance with LLNL and YMP Procurement requirements. If the procurement is for a Technical Services Contract, the RPCM forwards the package to the LLNL-YMP Leader. The LLNL-YMP Leader reviews and signs the PDR and forwards the package to the QAM. If the procurement is not a Technical Services Contract, the package is submitted by the RPCM directly to the QAM.

The QAM reviews the procurement package to assure that necessary Quality Assurance requirements are included. The QAM returns the package to the RPCM. The RPCM attaches the YMP Procurement Action Form and submits the package to the LLNL Procurement Department.

LLNL Procurement will process the procurement and notify the QAM when the final purchase document has been completed. For quality-affecting procurements, the QAM must sign the QA

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Procurement Action form prior to the final placement to indicate that the documentation meets quality requirements. The QAM returns the signed QA Procurement Action form to the RPCM for inclusion in the Procurement File.

4.0.5.2. SANL Procurement.

Items or services procured from DOE, DOD or other Federal Government entities require SANL Administrative Services (SAS) processing. The processing is initiated by a memorandum prepared by the Requestor and sent via the Task Leader to the RPCM. The memorandum includes a description of the work scope, amount requested, period of performance, account number, technical contact at LLNL and at the contracted organization, deliverables (if any), pertinent provisions for quality as indicated in 4.0.5.1.c above, and any other additional requirements. The Requestor also prepares a Procurement Document Review Form (PDR) and, in conjunction with the RPCM, completes the Justification For Using the SANL System (Form SAS-m0786). The Requestor then forwards the package to the Account Manager/Technical Area Leader for signature. After approval by the Account Manager, the package is forwarded to the RPCM.

The RPCM prepares a memorandum to the LLNL SANL Administrative Services Office incorporating the above information with Form SAS-m0786. In addition, the RPCM includes a statement of right of access to the subcontractor and lower tier subcontractors.

The RPCM signs the PDR. If the procurement is for technical services, the RPCM forwards the package to the LLNL-YMP Leader for review and signature of the PDR. The LLNL-YMP Leader forwards the package to the QAM. (If the procurement is not for technical services, the RPCM forwards the package directly to the QAM for concurrence.) The QAM returns the package to the RPCM. If the procurement is quality affecting, the RPCM prepares a YMP QA Procurement Action Form (YMP 093). The package is then submitted to the SANL Administrative Services Office. This office prepares the Special Materials Office Memorandum Request which includes the scope of work and quality assurance requirements that were included or referenced in the initiating request memorandum. The SANL Administrative Services Office notifies the QAM that the SANL is ready for review. The QAM signs the Procurement Action Form, verifying that the SANL documentation meets quality assurance requirements. The QAM returns the signed Procurement Action Form to the RPCM for inclusion in the SANL file.

Copies of the completed and issued SANL are provided to the Requestor and the RPCM.

4.0.5.3 INTERNAL ACQUISITIONS

Items or services obtained Internally from other LLNL organizations require documentation of applicable technical and quality requirements. This shall be accomplished utilizing an internal memorandum documenting the agreement between LLNL-YMP and the other LLNL entity. The memorandum shall be accompanied by a technical scope of work and/or QARS as appropriate. The memorandum may document all applicable quality assurance and technical requirements and not require a technical scope of work or QARS. Memorandum of Agreement between LLNL-YMP and other LLNL entities shall be approved by the TAL, YMP Leader, and QAM similarly to other procurements.

4.0.6 QUALITY ASSURANCE RECORDS

Documents are retained in the RPCM's files until the procurement action is complete (including acceptance of items or services, final invoicing, and payment). These Procurement Packages become quality assurance records when procurement actions are complete, at which time they must be stored and maintained in accordance with Procedure 033-YMP-QP 17.0 "Quality Assurance Records".

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YUCCA MOUNTAIN PROJECT	
PROCUREMENT DOCUMENT REVIEW FORM	
Activity Number: _____ Quality Affecting: Yes <input type="checkbox"/> No <input type="checkbox"/> _____ Goods _____ Services _____ Both _____ Commercial Grade _____ Procurement _____ SANL Account No. : _____ Requisition No.: _____ Est. Cost.: _____ Procurement Objective: _____ _____ _____ Requester: _____ Ext: _____	
I have reviewed the attached procurements and concur that they are technically adequate to meet the stated procurement objective. <div style="text-align: center; font-size: 2em; margin: 10px 0;">M</div> _____ Task Leader _____ Date	
I have reviewed the attached procurement documents and concur that they are within the scope of the current LLNL YMP cost and schedule objectives. <div style="text-align: center; font-size: 2em; margin: 10px 0;">A</div> _____ Account Manager _____ Date	
I have reviewed the attached procurement documents and concur that they contain the necessary Quality Assurance requirements. <div style="text-align: center; font-size: 2em; margin: 10px 0;">A</div> _____ YMP Quality Assurance Manager _____ Date	
I have reviewed the attached procurement documents and concur that they are complete and accurate. <div style="text-align: center; font-size: 2em; margin: 10px 0;">S</div> _____ Resource, Planning and Control Manager _____ Date	
TECHNICAL SERVICE CONTRACTS (If Applicable) I have reviewed and approve this Technical Services Contract. <div style="text-align: center; font-size: 2em; margin: 10px 0;">S</div> _____ YMP Leader _____ Date	

YMP 010 Rev.3

PROCUREMENT DOCUMENT REVIEW FORM