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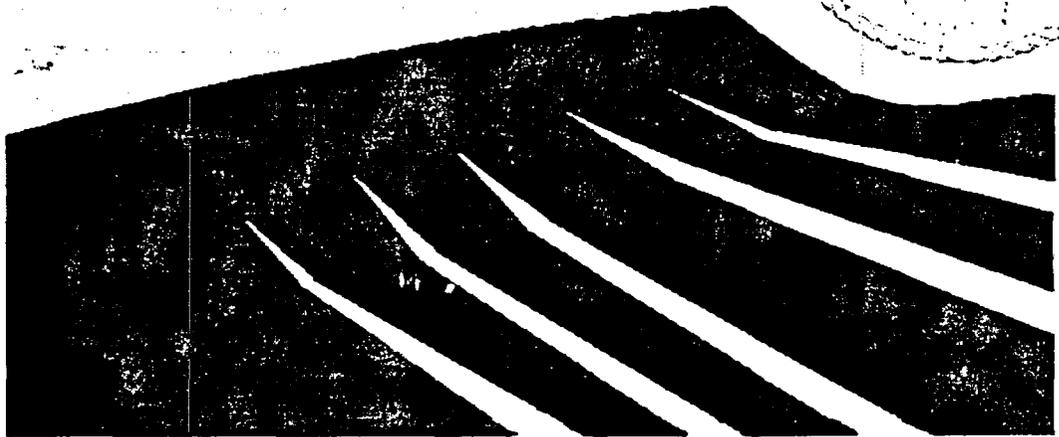
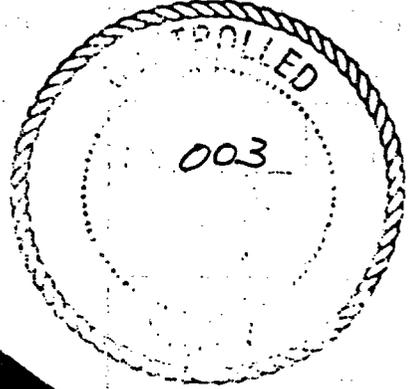
JAN 20 1995

LANL-YMP-QP-04.6, R2

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# PROCUREMENT

## LOS ALAMOS QUALITY PROGRAM



### APPROVAL FOR RELEASE

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*P. F. Gillespie*

DATE

12/20/94

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12/21/94

102.7  
x 102.2

**Los Alamos**  
Yucca Mountain Site  
Characterization Project

## HISTORY OF REVISIONS

REVISION NO.	EFFECTIVE DATE	PAGES REVISED	REASON FOR CHANGE
R0	01/31/94	N/A	Supersedes LANL-YMP-QP-04.4, & LANL-YMP-QP-04.5. To simplify the process and incorporate QARD requirements.
R1	08/01/94	All	Revised to incorporate RTN review comments.
R2	JAN 20 1995	All	Revised to better address QARD requirements & address CAR YM-94-080.

## PROCUREMENT

### 1.0 PURPOSE

This procedure describes the procurement process for the Los Alamos National Laboratory (Los Alamos) Yucca Mountain Site Characterization Project (YMP or Project).

### 2.0 SCOPE

- 2.1 This procedure applies to Los Alamos YMP purchases of services and calibration standards subject to Los Alamos YMP quality assurance program requirements. This procedure does not apply to the procurement of software, or equipment maintenance and repair services (other than calibration).
- 2.2 This procedure applies to Los Alamos personnel and Los Alamos subcontractor YMP personnel working under the Los Alamos quality assurance program.
- 2.3 Procurements that are in process at the effective date of this procedure must meet the requirements of this procedure for actions taken after it's effective date; however, it is not necessary to back-fit procurement requirements and documentation to meet these requirements.

### 3.0 REFERENCES

AP-7.4Q, Maintenance of the Office of Civilian Radioactive Waste Management Qualified Suppliers List.  
DOE/RW-0333P, Office of Civilian Radioactive Waste Management Quality Assurance Requirements and Description (QARD)  
LANL-YMP-QP-17.6, Records Management  
LANL-YMP-QP-18.2, Surveys

### 4.0 DEFINITIONS

#### 4.1 Certificate of Conformance

A certificate of conformance is a document signed or otherwise authenticated by an authorized individual certifying the degree to which services or calibration standards meet specified requirements.

#### 4.2 Procurement Acceptance Report

A Procurement Acceptance Report documents acceptance of services or calibration standards and provides verification of compliance with the technical and quality requirements specified in the procurement documents.

#### **4.3 Procurement Documents**

Procurement documents are purchase requests, contracts, subcontracts, purchase orders, specifications, or other documents used to define technical and quality assurance requirements for the procurement of services or calibration standards.

#### **4.4 Procurement Organization**

The procurement organization is the organization that performs activities related to bid evaluation and contract award.

#### **4.5 Service**

A service is the performance of work that does not involve the delivery of an item. Examples of services include scientific investigation activities, calibration of measuring and test equipment, and analysis of samples.

#### **4.6 Staff Augmentation**

Staff augmentation (direct support services) is subcontracted employees working under the Los Alamos program and under the supervision of Los Alamos management.

#### **4.7 Statement of Technical and Quality Requirements**

A Statement of Technical and Quality Requirements describes the scope of work to be performed by the supplier and delineates the applicable technical and quality requirements that must be met by the supplier.

#### **4.8 Supplier**

A supplier is any individual or organization who furnishes services or calibration standards in accordance with a procurement document.

### **5.0 RESPONSIBILITIES**

The following personnel are responsible for activities identified in Section 6.0 of this procedure.

- Purchase requestor
- Quality Assurance representative
- Technical reviewer
- Technical representative

## 6.0 PROCEDURE

For the procurement of services other than analytical services, proceed to Section 6.1; for the procurement of analytical services go to Section 6.6; and for the procurement of calibration standards, go to subsection 6.7.

### 6.1 Procurement of Services

- 6.1.1 The purchase requestor (hereafter referred to as requestor) completes a purchase request, prepares a Statement of Technical and Quality Requirements written according to Attachment 1, and forwards the documents to an independent Los Alamos YMP technical reviewer who is technically competent in the subject area, has access to pertinent background information, and has an understanding of the requirements and scope of the procurement.
- 6.1.2 The Technical reviewer evaluates the Statement of Technical and Quality Requirements to determine if the technical requirements have been adequately addressed as required by Attachment 1.
- 6.1.2.1 If the technical requirements have not been adequately addressed, returns the documents to the requestor for additional information or correction, as appropriate.
- OR
- 6.1.2.2 If the technical requirements are adequate, signs and dates the Statement of Technical and Quality Requirements and returns the documents to the requestor.
- 6.1.3 The requestor enters their name and date on the purchase request, recommends a supplier, and forwards the purchase request and the Statement of Technical and Quality Requirements to a Los Alamos YMP quality assurance representative who has access to pertinent background information and has an understanding of the quality assurance requirements for the procurement.
- 6.1.4 The Los Alamos YMP quality assurance representative reviews the documents to assure that quality requirements, required by Attachment 1, have been adequately addressed on the Statement of Technical and Quality Requirements.
- 6.1.4.1 If the documents are unacceptable, returns the documents to the requestor for additional information or correction, as appropriate.

OR

- 6.1.4.2 If the documents are acceptable, notifies the requestor of the recommended supplier's qualification status according to subsection 6.2.2, marks the purchase request as "YMP," signs and dates the purchase request, and returns the documents to the requestor.

- 6.1.5 The requestor obtains approval of the purchase request and submits the documents to the appropriate purchasing organization.
- 6.1.6 During this review process, changes to the scope of work, technical requirements, quality requirements, right of access, and documentation requirements delineated in the Statement of Technical and Quality Requirements are reviewed according to subsections 6.1.1 through 6.1.5 above.
- 6.1.7 After the award, changes to the scope of work, technical requirements, document requirements, right-of-access, or quality assurance program requirements, must be reviewed according to subsections 6.1.1 through 6.1.5.

## 6.2 Supplier Selection

**NOTE:** The remainder of this procedure does not apply to direct support services used as staff augmentation.

- 6.2.1 Prior to award, the requestor notifies a Los Alamos YMP quality assurance representative of the selection of a potential supplier.
- 6.2.2 The Los Alamos YMP quality assurance representative reviews the Qualified Suppliers List to determine if the potential supplier is an approved YMP supplier for the required procurement.
  - 6.2.2.1 If the supplier is not approved, notifies the requestor of the need for a supplier evaluation according to subsection 6.3.

**OR**

- 6.2.2.2 If the supplier is approved, notifies the requestor.

## 6.3 Supplier Evaluation

- 6.3.1 Prior to award of a contract, the requestor or other Los Alamos YMP technical representative and a Los Alamos YMP quality assurance representative conduct a survey according to QP-18.2 and evaluate the supplier's capability to provide the required services as specified in the purchase request and Statement of Technical and Quality Requirements. One or more of the following methods are used for the evaluation:
  - 6.3.1.1 Evaluation of the supplier's history for providing an identical or similar service.
  - 6.3.1.2 Evaluation, based on the procurement document requirements, of supplier's current quality assurance records supported by any documented qualitative and quantitative information.

**6.3.1.3** Evaluation of the supplier's technical and quality capability based on an evaluation of supplier's facilities, personnel, and quality assurance program implementation.

**6.3.2** The Los Alamos YMP quality assurance representative includes in the survey report, information required for the Project Office Qualified Supplier List, in accordance with AP-7.4Q, for use in scheduling supplier performance evaluations or audits.

## **6.4 Bid Evaluation**

**6.4.1** If the purchasing organization, e.g., Los Alamos National Laboratory, is independent of the Los Alamos YMP quality assurance program go to subsection 6.4.4.

**OR**

**6.4.2** If the purchasing organization, e.g., a subcontractor, is working under the Los Alamos YMP quality assurance program, an evaluation is conducted and documented in accordance with QP-18.2, to determine the extent of conformance to procurement document requirements.

**6.4.2.1** The requestor or other Los Alamos YMP technical representative and a Los Alamos YMP quality assurance representative conduct a survey according to QP-18.2 giving consideration to the following subjects consistent with the importance, complexity, and quality of the services being procured.

- Technical requirements
- Quality assurance program requirements
- Supplier personnel
- Supplier past performance
- Alternatives or exceptions to the requirements stated in the Statement of Technical and Quality Requirements

**6.4.2.2** Verify that changes made during bid evaluation have been incorporated into the procurement documents.

**6.4.2.3** Verify that the appropriate requirements of this procedure are included in the procurement documents.

**6.4.2.4** Evaluate exceptions or changes specified by the supplier to determine the impact on the intent of the procurement documents or quality of the services to be furnished.

**6.4.2.5** Prior to award of the contract, the requestor assures that unacceptable quality conditions identified during the bid evaluation have been resolved or the supplier has committed to resolve these conditions and that any vendor restrictions are incorporated in the purchase documents.

- 6.4.3 Before allowing the supplier to perform work governed by quality assurance requirements, the requestor ensures that the supplier's quality assurance program is evaluated and that any identified deficiencies that would affect quality are resolved and that the supplier's quality assurance program is accepted by Los Alamos.
- 6.4.4 Purchasing organizations independent of the Los Alamos YMP perform bid evaluations for the Los Alamos YMP. As an alternative to participation in the bid evaluation process, and prior to authorizing the supplier to begin work, the requestor or other Los Alamos YMP technical representative and a Los Alamos YMP quality assurance representative conduct a survey according to QP-18.2 and perform the following:
- 6.4.4.1 Prior to authorizing the supplier to begin work, the requestor or other Los Alamos YMP technical representative and a Los Alamos YMP quality assurance representative conduct a survey according to QP-18.2 to ensure that the Purchase Request requirements were adequately conveyed to the supplier. This evaluation will consider the following subjects consistent with the importance, complexity, and quality of the services being procured:
- Technical requirements
  - Quality assurance program requirements
  - Supplier personnel
  - Supplier past performance
  - Alternatives or exceptions to the requirements stated in the Statement of Technical and Quality Requirements
- 6.4.4.2 Verify that the requirements specified in the purchase request have been adequately conveyed to the supplier.
- 6.4.4.3 Evaluate exceptions or changes specified by the supplier to determine the impact on the intent of the purchase request or quality of the services to be furnished.
- 6.4.4.4 If unacceptable quality conditions or unaddressed supplier restrictions are identified during this evaluation, the requestor notifies the purchasing organization.
- OR**
- 6.4.4.5 If the evaluation is satisfactory, the supplier's authorization to begin work is documented in the survey report.
- 6.4.5 Before allowing the supplier to perform work governed by quality assurance requirements, the requestor ensures that the supplier's quality assurance program is evaluated according to subsection 6.3 and that any identified deficiencies that would affect quality are resolved and that the supplier's quality assurance program is accepted by Los Alamos.

## 6.5 Procurement of Analytical Services

- 6.5.1 The requestor completes a Purchase Request and attaches the Analytical Service Requirements written according to Attachment 2 and forwards the documents to an independent Los Alamos YMP technical reviewer who is technically competent in the subject area, has access to pertinent background information, and has an understanding of the requirements and scope of the procurement.
- 6.5.2 The technical reviewer evaluates the Analytical Service Requirements to determine if the technical requirements have been adequately addressed as required by Attachment 2.
- 6.5.2.1 If the technical requirements have not been adequately addressed, returns the documents to the requestor for additional information or correction, as appropriate.
- OR
- 6.5.2.2 If the technical requirements are adequate, signs and dates the Analytical Service Requirements and returns the documents to the requestor.
- 6.5.3 The requestor enters their name and date on the purchase request, recommends a supplier, and forwards the documents to a Los Alamos quality assurance representative who has access to pertinent background information and has an understanding of the quality assurance requirements for the procurement.
- 6.5.4 The Los Alamos YMP quality assurance representative reviews the documents to assure that quality requirements required by Attachment 2 have been adequately addressed on the Analytical Service Requirements.
- 6.5.4.1 If the documents are unacceptable, returns the documents to the requestor for additional information or correction, as appropriate.
- OR
- 6.5.4.2 If the procurement documents are acceptable, marks the Purchase Request as "YMP," signs and dates the Purchase Request, and returns the procurement documentation to the requestor.
- 6.5.5 The requestor prepares an acceptance plan and documents the plan in a notebook or by other means. The acceptance plan should address the following information, as appropriate.
- A description of the duplicates, blanks, and standards.
  - Criteria that will be used to accept the results.
  - Conditions for acceptance if all criteria are not met.
- 6.5.6 The acceptance plan is not included as part of the Purchase Request provided to the supplier but is retained by the requestor.

- 6.5.7 The requestor assures that the purchase documentation is complete, obtains approval of the purchase request and submits the purchase documentation to the appropriate purchasing organization. The requestor also provides the supplier with duplicates and blind standards or blanks, if required by the acceptance plan.

## 6.6 Procurement of Calibration Standards

- 6.6.1 The requestor completes a purchase request and attaches the Calibration Standard Requirements written according to Attachment 3 and forwards the documents to an independent Los Alamos YMP technical reviewer who is technically competent in the subject area, has access to pertinent background information, and has an understanding of the requirements and scope of the procurement.
- 6.6.2 The technical reviewer evaluates the Calibration Standard Requirements to determine if the technical requirements have been adequately addressed as required by Attachment 3.
- 6.6.2.1 If the technical requirements have not been adequately addressed, returns the documents to the requestor for additional information or correction, as appropriate.
- OR
- 6.6.2.2 If the technical requirements are adequate, signs and dates the Calibration Standard Requirements and returns the documents to the requestor.
- 6.6.3 The requestor enters their name and date on the purchase request, recommends a supplier, and forwards the documents to a Los Alamos quality assurance representative who has access to pertinent background information and has an understanding of the quality assurance requirements for the procurement.
- 6.6.4 The Los Alamos YMP quality assurance representative reviews the documents to assure that quality requirements required by Attachment 3 have been adequately addressed on the Calibration Standard Requirements.
- 6.6.4.1 If the documents are unacceptable, returns the document to the requestor for additional information or correction, as appropriate.

OR

- 6.6.4.2 If the documents are acceptable, marks the Purchase Request as "YMP," signs and dates the Purchase Request and returns the documents to the requestor.
- 6.6.5 The requestor assures that the documents are complete, obtains approval of the purchase request, and submits the documents to the appropriate purchasing organization.

## 6.7 Acceptance of Procurement

- 6.7.1 The requestor, or other Los Alamos YMP technical representative, upon completion of purchased services, receipt of analytical data or laboratory results, or delivery of calibration standards, verifies that procurement requirements have been met by using one or more of the following methods:
- 6.7.1.1 Evaluation of the supplier certificate of conformance, when requested.
  - 6.7.1.2 Review of objective evidence (such as personnel qualifications, calibration certificates, etc.) for conformance to the procurement document requirements.
  - 6.7.1.3 Technical verification of the adequacy of the service. If analytical services, the following actions should be performed, as appropriate.
    - a. compare the results of analysis of the standards, control samples or blanks, as applicable, to their known value to determine the accuracy of the analysis.
    - b. compare results of duplicate analysis of the same sample material to determine the precision of the analysis.
    - c. verify that analytical results are present and meet the requirements specified in the acceptance plan.
  - 6.7.1.4 Performance of satisfactory surveys or audits of the work.
- 6.7.2 The requestor or other Los Alamos YMP technical representative ensures that required documentation is present, acceptable, and traceable to the purchase request.
- 6.7.3 If the procurement is acceptable, the requestor or other Los Alamos YMP technical representative completes a Procurement Acceptance Report, Attachment 4,

OR

- 6.7.4 If the procurement is unacceptable, the requestor notifies the purchasing organization and a Los Alamos YMP quality assurance representative and ensures that the calibration standard or service is not used for YMP activities until the unacceptable condition is resolved. If the unacceptable condition cannot be resolved, further action by Los Alamos is at the direction of the purchasing organization.

**NOTE:** Supplier documentation may be retained and submitted to the RPC at a later date instead of being submitted with the other purchase documentation.

- 6.7.5 Once the procurement is acceptable, the requestor submits the applicable records listed in Section 7.0 as a record package in accordance with

documentation, the YMP document containing the supplier documentation will be referenced in the purchase documentation submitted.

## 6.8 Supplier Deficiencies

The requestor, upon receipt of a supplier initiated deficiency report, notifies the QAPL for disposition review.

## 7.0 RECORDS

The following records are generated by this procedure.

- Purchase Request
- Statement of Technical and Quality Requirements
- Analytical Services Requirements
- Calibration Standard Requirements
- Acceptance Plan for Analytical Results
- Procurement Acceptance Report
- Supplier Documentation (such as, analytical results, calibration standard documentation, Certificate of Conformance, supplier deficiency reports, etc. if applicable)
- Pertinent correspondence related to the above documents

## 8.0 PROCEDURE ACCEPTANCE

Proper completion and submittal of the records, listed in Section 7.0, to a Los Alamos Records Processing Center provide evidence of satisfactory implementation of this procedure.

## 9.0 TRAINING REQUIREMENTS

9.1 Prior to conducting work described in Section 6.0, the requestor, technical reviewer, quality assurance representative, require training to this procedure.

9.2 Training to this procedure is by "read only."

## 10.0 ATTACHMENTS

- Attachment 1: Statement of Technical and Quality Requirements (2 pages)
- Attachment 2: Analytical Service Requirements (1 page)
- Attachment 3: Calibration Standard Requirements (1 page)
- Attachment 4: Procurement Acceptance Report (1 page)

## STATEMENT OF TECHNICAL AND QUALITY REQUIREMENTS FOR PR # \_\_\_\_\_

Provisions A through F below must be addressed and included with the Purchase Request for the purchase of services (except analytical services). If a requirement is not applicable, include the heading and indicate that the requirement is not applicable.

### A. Work Description

Describes the work to be performed by the supplier.

### B Technical Requirements

1. Specify requirements, and if applicable, identify specific documents, including revision levels, (such as regulations, codes, procedures, etc.) that describe the technical requirements of the service to be procured.
2. Specify the acceptance criteria that will be used to evaluate supplier performance.

### C. Quality Assurance Requirements

1. Specify if work will be performed under the Los Alamos Quality Assurance Program. If so, identify the documents that will be provided to the supplier.
2. Specify that subcontracting by subcontractors or vendors is allowed only after Los Alamos YMP approval. All subcontracts must adhere to applicable quality assurance requirements.
3. Specify that the supplier incorporate the appropriate Los Alamos quality program requirements into any subtier supplier-issued procurement documents.
4. Specify that prior to the initiation of work, the supplier must have a documented quality assurance program that meets applicable Los Alamos YMP requirements unless the supplier agrees to work under the Los Alamos quality assurance program. The extent of the quality assurance program shall depend on the scope, nature, or complexity of the procured service.
5. Specify that the supplier can not begin work until written authorization is received from the requestor.

### D. Right-of-Access Provision.

Include the following statement:

"Los Alamos personnel, Department of Energy representatives, and other persons authorized by Los Alamos have the right of access to supplier's facilities and records to conduct surveillances and audits."

## **E. Documentation Requirements**

1. Identify the documentation to be submitted to Los Alamos for information, review, or acceptance.
2. Identify a schedule for submittal of documents.
3. Specify retention times and disposition requirements for documentation that is required to be maintained by the supplier.
4. Require the supplier to provide Los Alamos with objective evidence that services conform to procurement documents.
5. When a certificate of conformance is provided, specify that:
  - a. The certificate must provide traceability from the purchased service to the specific procurement document;
  - b. The certificate must identify the specific procurement requirements, including approved changes, waivers, or deviations, met by the purchased service;
  - c. The certificate must identify any procurement requirements that have not been met and provide an explanation and the means for resolving the deficient conditions;
  - d. The certificate must be signed and dated or otherwise authenticated by an authorized person whose responsibilities and position are described in the supplier quality assurance program.
  - e. The certification process, including the implementing documents to be followed in filling out a certificate and the administrative implementing documents for review and approval of certificates, must be described in the supplier's quality assurance program.
6. Specify that data, regardless of physical form, if generated in connection with work performed according to the provisions of this purchase request, are the property of the Federal government and must be released to a Los Alamos Yucca Mountain Project representative upon termination of the contract.

## **F. Deficiency Reporting**

Specify that the supplier must report any failure to comply with procurement document technical or quality requirements to Los Alamos for disposition review.

## **ANALYTICAL SERVICE REQUIREMENTS FOR PR # \_\_\_\_\_**

Provisions A through G below must be addressed and included with the Purchase Request for the purchase of analytical services. If a requirement is not applicable, include the heading and indicate that the requirement is not applicable.

- A.** Provide a description of the work to be performed.
- B.** Specify the documentation to be submitted to Los Alamos for information, review, or acceptance.
- C.** Specify when documents must be submitted.
- D.** Specify disposition requirements for sample remnants.
- E.** Specify, as applicable, any special sample requirements such as: handling; preparation; environmental considerations; etc.
- F.** Indicate the general parameters of the expected data.
- G.** Require the supplier to provide Los Alamos with the analytical results.

## CALIBRATION STANDARD REQUIREMENTS FOR PR # \_\_\_\_\_

Provisions A through D below must be addressed and included with the Purchase Request for the purchase of calibration standards.

- A. Provide a description of the standard to be purchased.
- B. Identify the documentation to be submitted to Los Alamos for information, review, or acceptance.
- C. Require the supplier to provide Los Alamos with documentation that provides evidence that calibration standards conform to procurement document including:
  - Traceability from the purchased standard to the specific procurement document.
  - Traceability of the purchased standard to NIST standard or other nationally recognized standard or constant, as applicable.
  - Identification of the specific procurement requirements, including approved changes, waivers, or deviations, met by the purchased standard, as applicable.
  - Identification of any procurement requirements that have not been met with an explanation and the means for resolving the deficient conditions, as applicable.
- D. Specify that documentation be signed and dated or otherwise authenticated by the supplier.

# PROCUREMENT ACCEPTANCE REPORT

SUPPLIER: \_\_\_\_\_

PR NUMBER: \_\_\_\_\_

## ACCEPTANCE METHOD (Use one or more)

EVALUATION OF SUPPLIER CERTIFICATE OF CONFORMANCE:  ACCEPT  REJECT  N/A

COMMENTS:

TECHNICAL VERIFICATION:

ACCEPT  REJECT  N/A

COMMENTS:

SURVEY/AUDIT OF SUPPLIER:

SURVEY OR AUDIT REPORT NUMBER(S):

ACCEPT  REJECT  N/A

COMMENTS:

REVIEW OF OBJECTIVE EVIDENCE FOR CONFORMANCE TO  
PROCUREMENT DOCUMENT REQUIREMENTS

ACCEPT  REJECT  N/A

COMMENTS:

SUBSTITUTED MATERIAL  
ACCEPTABLE

REQUIRED DOCUMENTATION IS PRESENT AND ACCEPTABLE. THIS PURCHASE MEETS THE  
REQUIREMENTS SPECIFIED IN THE PURCHASE REQUEST.

NAME:

E

Print name

Signature

Date