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CCP-QP-015

Revision 10

CCP
Procurement

EFFECTIVE DATE: 11/16/2006

J. R. Stroble

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RECORD OF REVISION

Revision Number	Date Approved	Description of Revision
5	06/07/2002	Numerous changes throughout procedure to reflect current procurement process.
6	03/04/2004	Numerous changes throughout procedure to reflect the current procurement process.
7	08/23/2004	Changes made in response to WTS QA Internal Audit 104-09 - added steps 2.2.10 [C], 3.1.5, Note before 4.11, and step 4.11. Added reference section to document. Reworded step 3.6.1.
8	10/07/2004	Changes made in response to Nevada Test Site Recertification Audit – revised step 2.2.4, deleted Section 4.5 and revised Section 5.0.
9	06/12/2006	Revised due to corrective actions from Root Cause Analysis and CAR-CCP-0001-06.
10	11/16/2006	Revised to implement the Waste Isolation Pilot Plant Hazardous Waste Facility Permit requirements resulting from the Section 311/Remote-Handled (RH) Permit Modification Request (PMR). In addition, includes some editorial and format improvements.

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1.0 PURPOSE

This procedure describes the process for quality-affecting procurement activities in support of the Central Characterization Project (CCP). It encompasses applicable elements of procurement document control; quality requirement levels; and identification and control of purchased items, systems and/or activities as appropriate to the CCP mission.

1.1 Scope

This procedure applies to acquisition activities (i.e., items, systems and/or services) associated with CCP's work scope and transuranic (TRU) waste characterization, certification, packaging, and transportation to the Waste Isolation Pilot Plant (WIPP) for disposal. Procurement activities include, but are not limited to:

- Procurement planning, reviews, and approvals
- Supplier identification and evaluations
- Receipt of items, systems, and/or services
- Records

Throughout the procurement process both CCP-specific and Washington TRU Solutions, LLC (WTS) procedures are used. These interfaces are addressed in Section 4.0 of this procedure. This procedure describes specific procurement requirements that are unique to CCP. In general, procurement actions are to be conducted using a combination of this procedure and WTS procedures. Conflicts between this procedure and WTS procedures shall be brought to the attention of CCP management for immediate resolution.

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2.0 REQUIREMENTS

2.1 References

Referenced Documents

- DOE/CBFO-94-1012, *U.S. Department of Energy Carlsbad Field Office Quality Assurance Program Document* (QAPD)
- CCP-PO-001, *CCP Transuranic Waste Characterization Project Plan*
- CCP-PO-002, *CCP Transuranic Waste Certification Plan*
- CCP-QP-001, *CCP Graded Approach*
- CCP-QP-008, *CCP Records Management*
- CCP-QP-026, *CCP Inspection Control*
- WP 13-QA1003, *Quality Assurance Receipt/Source Inspections*
- WP 13-QA3012, *Supplier Evaluation Qualification*
- WP 15-GM.01, *WTS Project Execution Plans*
- WP 15-PC3041, *Approval/Variation Request Processing*
- WP 15-PC3042, *Credit Card Purchases*
- WP 15-PC3043, *Request for Remittance*
- WP 15-PC3044, *Quality Credit Card Purchases*
- WP 15-PM3509, *Utilization and Disposal of Excess/Surplus Government Personal Property*
- WP 15-PC3609, *Preparation of Purchase Requisitions*

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2.2 General

2.2.1 This procedure implements Quality Assurance (QA) requirements, applicable to acquisition activities for CCP.

2.2.2 Applicable procurement requirements from the following documents are included within this procedure.

- DOE/CBFO-94-1012, *U.S. Department of Energy Carlsbad Field Office Quality Assurance Program Document* (QAPD)
- CCP-PO-001, *CCP Transuranic Waste Characterization Project Plan*
- CCP-PO-002, *CCP Transuranic Waste Certification Plan*

2.2.3 The QA requirements implemented in this procedure are those for procurement planning, documentation, and review. Under the CCP procurement process, procurement documents, including supplier-generated documents, shall be issued, revised, approved, and controlled.

2.2.4 CCP contractors working under CCP's QA program shall use the CCP procurement process for all acquisitions that are Quality Level 1, Quality Level 2, or Quality Level 0 with inspection requirements.

2.2.5 CCP contractors shall be authorized for acquisition activities without utilizing the CCP procurement process under the following conditions only:

[A] The procurement has been graded as a Quality Level 0 without inspection requirements according to the CCP Graded Approach Process and has no quality inspection requirements. The contractor will be held responsible for verification and compliance of this step.

[B] The contractor has been evaluated, its QA program accepted by WTS QA, and the contractor has been included on the WTS Qualified Supplier List (QSL). The contractor may make purchases within the scope of work activities and procurement restrictions as detailed on the WTS QSL.

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2.2.6 CCP shall ensure that the acquisition is performed as specified, and the program shall ensure compliance with the requirements described in the WTS Prime Contract; all applicable Federal Acquisition Regulations (FARs) and Department of Energy Acquisition Regulations (DEARs); and established technical and QA requirements.

2.2.7 Proposals from suppliers shall be solicited, evaluated, and awarded based on conformance to specific procurement document requirements. Suppliers shall then be evaluated in accordance with the procurement document requirements using the WTS QA Supplier Evaluation Program.

2.2.8 Procurement documents shall be reviewed by personnel who have an adequate understanding of the requirements. Technical and quality changes to procurement documents shall be subject to the same degree of control as the original documents according to WIPP Procedure (WP) 15-PC3609, *Preparation of Purchase Requisitions*. Procurement document reviews shall be performed and documented prior to the document being issued to the supplier.

2.2.9 Personnel performing procurement related activities such as requisitioning, inspection, and proposal evaluations shall be qualified to the extent appropriate to their functions.

2.2.10 Certain specific procurement related functions will be performed through interfaces with WTS procurement services and QA organizations.

[A] WTS procurement services shall process purchase requisitions through their approved program using WTS personnel (Buyers, Administrative Support, etc.), procedures, forms, credit card program, procurement records, and property management.

[B] WTS QA will evaluate contracted or procured projects not related to characterization activities to determine the need to perform independent assessments.

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[C] WTS QA reviews and approves procurement actions that fall outside CCP's area of expertise of compliance with WAP, WAC and TRAMPAC requirements.

[C.1] Documentation of procurement approval may be in the form of the Integrated Financial Management System (IFMS), an e-mail, internal memo, or other written correspondence. This documentation will be submitted for inclusion in the procurement record file(s).

[C.2] WTS QA will provide inspection services for source and receipt inspections, including development of QA Verification Plans, Inspection Plans, and Test Plans, in accordance with the approved program.

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3.0 RESPONSIBILITIES

3.1 CCP Requisitioner

3.1.1 Satisfactorily completes the required requisitioner training.

3.1.2 Completes quality level determination in accordance with CCP-QP-001, *CCP Graded Approach*, for the specific item, system and/or service.

3.1.3 Initiates purchase requisition, identifying any attachments.

3.1.4 Identifies the required approvals, and processes purchase requisition per WP 15-PC3609.

3.1.5 Completes Qualified Supplier List Requests (QSLRs) and submits them to WTS QA for external supplier evaluations.

3.2 CCP QA

3.2.1 Ensures appropriate QA requirements are applied to procurements. This includes, but is not limited to, ensuring the following:

[A] Quality level determinations have been completed.

[B] CCP personnel performing receipt and source inspection activities are properly trained and qualified.

3.2.2 Reviews and approves Quality Level 1, Quality Level 2, and Quality Level 0 with inspection requirements purchase requisitions.

3.2.3 Prepares inspection plans for material receipt, as required.

3.3 Technical Reviewers

3.3.1 Reviews procurement documents for compliance with technical and regulatory requirements.

NOTE

The CCP Equipment Engineer functions as the Project Manager and Subcontract Technical Representative (STR) for all non-consumable equipment, design, fabrication, modification, or refurbishment procurements.

NOTE

Attachment 1, CCP Subcontract Technical Representative (STR) Responsibilities, contains STR responsibilities.

3.4 CCP Equipment Engineer

3.4.1 Prepares Project Execution Plan (PXP) in accordance with WP 15-GM.01, *WTS Project Execution Plans*.

3.4.2 Coordinates with WTS organizations and individuals, such as WTS QA, Industrial Hygiene, Nuclear Safety, Radiation Safety, Operations, Fire Protection engineer, Cognizant engineers, and technical specialists, as appropriate, on all non-consumable equipment, design, fabrication, refurbishment, or modification procurements and requests technical input prior to approval of the procurement.

3.4.3 Coordinates inspection planning and source/receipt activities with WTS QA.

3.4.4 Documents applicable organizations' and individuals' involvement via IFMS or in the form of an email, internal memo, or other written correspondence.

3.4.5 Reviews and approves procurement documentation.

3.5 Requisitioning Manager

3.5.1 Verifies completeness of procurement documentation.

3.5.2 Determines if additional quality or technical reviews of procurement documentation are required and routes as needed.

3.5.3 Determines if additional reviewers are required and routes as needed.

3.5.4 Determines if another level of management is required for approval of purchase requisition and routes the purchase requisition to the next level, as required.

3.5.5 Reviews and approves procurement documentation, ensuring all necessary requirements and appropriate approvals have been obtained.

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3.6 WTS Procurement

3.6.1 Procures the requisitioned item, system and/or service in accordance with established WTS approved procurement policies and procedures.

3.6.2 Provides liaison between CCP personnel and vendors/suppliers.

3.6.3 Prepares required procurement records.

3.6.4 Notifies Property Management for items meeting tagging criteria.

3.7 Source/Receipt Inspection Personnel

3.7.1 Obtains and maintains inspector qualification in accordance with CCP program requirements or for WTS inspection services personnel, in accordance with the approved WTS program.

3.7.2 Performs and documents receipt and source inspections in accordance with CCP-QP-026, *CCP Inspection Control*, or WP 13-QA1003, *Quality Assurance Receipt/Source Inspections*.

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4.0 PROCEDURE

Requisitioner

4.1 Identify the quality level of the item, system, and/or service from the CCP Graded QA Database.

4.2 **IF** the item, system, or service is not in the database,
THEN initiate a CCP QA Grading Level Checklist in accordance with CCP-QP-001.

4.3 **IF** the item, system, and/or service requires a supplier on the Qualified Supplier List (QSL),
THEN identify the supplier **OR** submit a QSL request in accordance with WP 13-QA3012, *Supplier Evaluation Qualification*.

4.4 **IF** the item, system, or service can be procured using a WTS quality credit card,
THEN place the order in accordance with WP 15-PC3044, *Quality Credit Card Purchases*.

4.5 **IF** the item, system, or service is graded as a Quality Level 0, **AND** DOES **NOT** require receipt inspection,
THEN determine whether the item, system, and/or service can be procured using a WTS procurement credit card in accordance with WP 15-PC3042, *Credit Card Purchases*.

4.5.1 **IF** the use of the WTS procurement credit card is allowed,
THEN place the order in accordance with WP 15-PC3042.

4.5.2 **IF** it is determined that the WTS procurement credit card can **NOT** be used,
THEN determine whether the item, system, and/or service can be purchased using a Request for Remittance (RFR) per WP 15-PC3043, *Request for Remittance*.

[A] **IF** it is determined that an RFR can be used,
THEN place the order in accordance with WP 15-PC3043.

4.6 Prepare purchase requisition and supporting documents in accordance with instructions described in WP 15-PC3609 or WP 15-PM3509, *Utilization and Disposal of Excess/Surplus Government Personal Property,* as applicable.

4.7 **IF** the purchase requisition is rejected during any point in the process,
THEN address the reasons **AND/OR** contact the cognizant individual for resolution **AND** resubmit procurement documentation through the procurement system.

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CCP QA

4.8 Verify that procurement documentation package is complete.

4.8.1 **IF** the procurement documentation is **NOT** complete,
THEN document reason(s) in the comment section **AND** "reject" the purchase requisition.

4.8.2 **IF** the procurement documentation is complete,
THEN proceed to step 4.9 for completion of inspection document forms prior to approval of purchase requisition.

4.9 Using the information provided in the procurement documentation, initiate Attachment 1, CCP Source/Receipt Inspection Verification Sheet (SRIVS), of CCP-QP-026, *CCP Inspection Control,* detailing the appropriate QA requirements based on the quality level of the procurement.

4.10 Maintain the SRIVS form in the CCP QA Inspection folder located on the network until the procurement has been delivered.

4.11 **IF** the National Institute of Science and Technology (NIST) traceability is included as a requirement in the purchase requisition,
THEN ensure the receipt inspection contains a certificate of conformance/analysis with a statement that the Measuring & Test Equipment (M&TE) used to verify acceptability of items and services be traceable to NIST.

4.12 Prepare the inspection plan in accordance with CCP-QP-026. Determine applicable needs for source inspection, receipt inspection, and/or hold points.

4.13 Notify WTS QA in writing of projects not related to characterization activities at the time of procurement to allow WTS QA to determine the need to perform an independent assessment of those projects.

4.14 Approve the purchase requisition or purchase requisition change notice.

CCP Reviewers

4.15 Review the procurement documentation package and requirements relating to reviewers' technical area.

4.16 **IF** the procurement documentation is **NOT** complete **OR** is incorrect,
THEN reject the procurement.

4.17 **IF** the procurement documentation is complete,
THEN approve purchase requisition.

NOTE

The CCP Equipment Engineer MUST review all non-consumable equipment, design, fabrication, modification or refurbishment procurements actions. Steps 4.18 through 4.22 apply to those procurements only.

CCP Equipment Engineer

4.18 Ensure WTS QA Oversight Programs **AND** the following Site organizations and individuals, as appropriate, have provided technical input prior to approval of procurement documentation and activities:

- Industrial Hygiene
- Nuclear Safety
- Radiation Safety
- Operations
- Fire Protection Engineer
- Cognizant Engineers
- Technical Specialists

4.19 Coordinate inspection planning and source/receipt activities with WTS QA.

4.20 Document applicable organizations' and individuals' involvement via IFMS or in the form of an email, internal memo, or other written correspondence, **AND** include in procurement record file(s).

4.21 **WHEN** all technical and quality reviews are completed,
THEN approve the purchase requisition.

4.22 Perform responsibilities of STR through the life of the subcontract, as identified in Attachment 1.

Requisitioning Manager

4.23 Perform review of procurement documentation package.

4.24 Determine the need for additional reviews for the procurement as appropriate (e.g., WTS QA, engineering, health and safety, radiation control, National Environmental Policy Act [NEPA], generator site, etc.). Change Notices for Blanket Purchase Orders (BPOs) for calibration gases that affect the contents of any of the listed components (i.e., addition or deletion of a component gas, change in proportion of a component gas), or that adds or deletes an entire gas compound, shall be reviewed by one of the CCP Site Project Managers (SPMs).

4.25 **IF** additional reviews are required,
THEN assign and route the procurement documentation package to the appropriate reviewers.

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4.26 **IF** another level of management is required for approval of purchase requisition,
THEN route the purchase requisition to the next level as required.

4.27 Assist requisitioner in resolving any comments resulting from the reviews.

4.28 **IF** additional reviews are **NOT** needed **AND** all the reviews have been completed,
THEN approve purchase requisition.

Source Receipt Inspection Personnel

4.29 Perform receipt and source inspections in accordance with the inspection plan and CCP-QP-026 or WP 13-QA1003.

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5.0 RECORDS

5.1 Records generated during the performance of this procedure are maintained as QA records in accordance with CCP-QP-008, *CCP Records Management.* The records are the following:

5.1.1 QA/Nonpermanent

[A] Purchase Requisition(s)/Change Notice(s), Purchase Order(s)/Change Notice(s), Statement(s) of Work, Specifications/Drawings (WP 15-PC3609)

[B] Approval/Variation Requests (WP 15-PC3041)

[C] General correspondence (e.g., e-mail, internal memo, IFMS, etc.) to be included in the procurement record file(s), in accordance with this procedure.

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Attachment 1 – CCP Subcontract Technical Representative (STR) Responsibilities

Note: The STR is typically the requisitioner. The STR is identified in the Purchase Requisition (PR) and specified in the subcontract or Purchase Order (PO).

The STR Shall:

Develop the Statement of Work (SOW) per WP15-PC3609

- Identify technical requirements, specifications, codes, standards, procedures, and vendor data submittals

Ensure all appropriate attachments are with the PR. This may include:

- SOW
- sole source justification
- detailed cost estimate
- technical evaluation criteria
- AR/VR deliverable schedule per WP15-PC3041
- drawings, specifications, codes, standards, procedures
- approvals received via email or memo

Attend pre-bid conference; participate in technical evaluation of vendor proposals

Process AR/VRs per WP15-PC3041

Review invoices

Follow vendor progress

- Direct technical services defined in the PO
- Ensure vendor's compliance with technical requirements of the PO
- Ensure AR/VR submittals are submitted in accordance with the PO and routed for review and approval
- Interface with WTS and/or CCP QA and the vendor to ensure QA inspections and acceptance are performed in accordance with the PO
- Resolve technical issues with the vendor

Process Change Notices to the scope of work in accordance with WP15-PC3609 for review and approval

Provide assistance to the Buyer

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Attachment 1 – CCP Subcontract Technical Representative (STR) Responsibilities (Continued)

Note: The STR is not authorized to make any changes to the SOW or any changes that impact the cost, schedule, quality, or technical requirements of the subcontract.

The STR Shall NOT

- Authorize changes to the subcontract
- Clarify, make, or infer legal interpretations on the scope or intent of the subcontract.
- Levy or impose any task not specifically provided for in the subcontract.
- Issue directives to the subcontractor.
- Authorize the expenditure of funds.
- Offer advice or recommendations to the subcontractor that could directly or indirectly affect pending Procurement determination as to fault or negligence.