

LASER INTERFEROMETER GRAVITATIONAL-WAVE OBSERVATORY

*LIGO Laboratory / LIGO Scientific Collaboration*

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*Advanced LIGO*

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Advanced LIGO Project  
Procurement “Quick-Guide”

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This is an internal working note  
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## **Introduction**

This procurement “quick-guide” is intended to help the Advanced LIGO team know what to do when starting a new procurement, what the thresholds are, where to find information regarding the Acquisition Plan, and who to contact for help if needed. It also includes information regarding use of PCARDS, Techmart and Shipping, Receiving and Inventory Controls. If you have any questions regarding the content of this document, please contact Bert Cresta, AdL Project Procurement Coordinator at 626-395-3049, or via email at [ncresta@ligo.caltech.edu](mailto:ncresta@ligo.caltech.edu).

The Cost Book and the Acquisition Plan (LIGO M080066-02-P) can also be reviewed to look up what procurements are over the \$250K threshold that need to go to the NSF for approval.

## **Basic Procurement Process**

### **1.1 Procurements Less than \$50K**

- 1) CAMs can procure items directly using Techmart preferably, instead of PCARD.
- 2) If item being bought is a “critical item” it can be tracked by the Project Procurement System. Contact the Contract Procurement Coordinator (Bert Cresta) for assistance.

### **1.2 Procurements \$50K - \$250K**

- 1) Tech Representative or CAM provides detail information to Project Procurement Coordinator at the beginning of the RFQ/RFP process (see “Requests for Quotes/Request for Proposals (RFQ/RFPs)” section for more details).
- 2) Contracts Group will prepare and issue the RFQ/RFP.
- 3) Review and evaluate responses with procurement team and select winning bidders.
- 4) Obtain proper approval from relevant Advanced LIGO authorized approver.
- 5) Work with PPC and Contract Admin Staff to submit req. Tracking of procurement starts with requisition.

### **1.3 Procurements over \$250K**

- 1) The process steps are the same as per Section 1.2 with the following exceptions:
  - a) Procurements over \$250K must be approved by the NSF before the contract is awarded.
  - b) CAM must provide technical information to PPC at the beginning of each fiscal year to be included in Acquisition Plan to be sent to NSF for approval.

### **1.4 Procurements over \$250K not included or approved in Acquisition Plan**

- 1) Contact the PPC for immediate processing.
- 2) The PPC will work with the Contract Admin Staff to make sure all information required for NSF approval is included in the package being sent to NSF.
- 3) RFQ/RFPs should be prepared and sent out while awaiting approval from NSF. Follow process in 1.2.
- 4) Once NSF and Advanced LIGO approval is received, contract can be awarded.

### **1.5 Procurements over \$250K whose terms differ from those included in pre-approved Acquisition Plan**

If a requisition or selected award differs from the pre-approved terms and conditions included in the Acquisition Plan, it must be re-submitted to the NSF for re-approval. These changes are detailed in the Cooperative Agreement and can be summarized as follows:

- 1) Major changes in terms or risk eg. Fixed price vs. sole source.
- 2) Deviation from the estimate of plus or minus 10% to 25% depending upon estimate range.
- 3) Change in selection criteria. NOTE: If more detail is needed, check with PPC or in existing Cooperative Agreement PHY-0328418.

### **1.6 Procurement Approvals**

The following process will be followed when approving Advanced LIGO reqs/Pos.

- 1) CAM approval needed for all procurements against that individual's accounts.
- 2) PPC (Bert Cresta) will be the approver for all procurements over \$50K and under \$100K. This will insure that PPC has tracking information and that packages and req's follow standard formulation.
- 3) For procurements over \$100K, PPC will help prepare and approve reqs, but will need final approval by one of the following:
  - a) Ed Jasnow
  - b) Carol Wilkinson
  - c) David Shoemaker
  - d) LIGO Directorate approver.
- 4) Those approvers with higher dollar value levels can approve req in place of those with lower levels, but it should ideally be with prior knowledge of the particulars of the procurement and with the consent of the appropriate approvers at the lower limits.

### **1.7 Requests for Quotes/Request for Proposals (RFQ/RFPs)**

The following process will be followed when issuing a Request for Quote or Request for Proposal between the California Institute of Technology's (Caltech) Advanced Laser Interferometer Gravitational-Wave Laboratory (AdL) and a subcontracting company bidding to do a job:

- 1) For non-critical procurements under \$50,000, the responsible CAM/Technical Manager can proceed in requesting quotes/proposals directly without involving the Project Procurement Coordinator (PPO).
- 2) For procurements above \$50,000, and critical procurements under \$50,000, the CAM/Technical Manager shall send the technical information along with a Statement of Work to the LIGO Project Procurement Coordinator (Bert Cresta) for verification and validation. The information needed will include:
  - a) item to be procured, and quantities.
  - b) Total expected amount of PO.
  - c) Technical information.
  - d) Subsystem needing item.

- 3) The PPC and LIGO Procurements Office prepare the RFQ.
- 4) Sensitive procurements and those with value greater than \$250K will be sent to the Procurement Oversight Committee for review and approval.
- 5) The Technical Manager will be given the opportunity to review the final RFP/RFQ package before the LIGO Procurement Office releases the final material for bidding.
- 6) An Evaluation Committee will review the responses and select the winning bid.
- 7) Procurements will be awarded after NSF and Advanced LIGO approval.
- 8) Question regarding RFQ/RFPs can be directed to Ed Jasnow, Subcontract Group Manager at 626-395-3044.

### **1.8 Techmart and PCARD Allowed Usages**

- 1) Techmart is the preferred tool to prepare reqs due to its traceability. Obtain account holders approval (CAMs) and use back-up or site Techmart reps if desired.
- 2) PCARD usage for travel expenses/reservation is allowed for any authorized Advanced LIGO related travel.
  - a) Travel Authorization Request (TAR) approval needed from CAM (Cost Account Manager) and the Advanced LIGO Project Manager.
- 3) Only CAMs and designated site personnel authorized to use PCARDS can make non-travel related purchases (see Draft Procurements Guidelines LIGO-m080036-00-M).
  - a) Limit PCARD use for equipment and supplies to emergency purchases and very small dollar amounts.
  - b) Obtain CAM approval/authorization to use accounts.
  - c) CAMs and designated site personnel must document and reconcile at the end of each month.

### **1.9 Shipping and Receiving Procedure and Coordination**

- 1) All Advanced LIGO shipping will be arranged by shipping coordinator Rod Luna (626-395-3186, luna\_r@ligo.caltech.edu).
- 2) All Importing/Exporting including UK and German donations/contributions should go through Shipping Coordinator.
- 3) Shipping initiators must follow proper packing and handling instructions and must provide those instructions to the Shipping Coordinator and attach them to the packed items.
- 4) Each LIGO site must have designated receivers at each site. Their duties include:
  - a) Receive shipments
  - b) QA packaging
  - c) Handle notifications to owner/recipient.
  - d) Follow procedures for entering data into Inventory Control System.
  - e) Follow handling instructions for proper disposal.
  - f) Document receipt.

## **2.0 Owner Approval for Payment**

- 1) Owner/recipient needs to evaluate and accept or decline the equipment.
- 2) If equipment is acceptable, owner notifies the Advanced LIGO Procurements Office that payment can be made to vendors.
- 3) If equipment is not acceptable, the Owner Recipient notifies the PPC and/or the Advanced LIGO Procurements Office to work on resolution or partial payment.