

**MANAGEMENT PROCEDURES MANUAL****CHAPTER 4 - ADMINISTRATIVE OPERATIONS AND PROCUREMENT****SECTION 1 - PROCUREMENT DOCUMENT CONTROL/RECEIPT  
OF PROCUREMENTS**

1. **PURPOSE.** The purpose of this Quality Management Procedure (QMP) is to ensure that Yucca Mountain Project - U.S. Geological Survey (YMP-USGS) procurement documents contain the appropriate technical and quality assurance (QA) requirements, that procurements are adequately planned and executed, and that the requested services meet the specified technical and QA requirements.
2. **SCOPE OF COMPLIANCE.** This procedure applies only to the procurement of services that must meet the QA program requirements delineated in the Office of Civilian Radioactive Waste Management (OCRWM) Quality Assurance Requirements Document (QARD) (DOE/RW-0333P). Guidelines for determining applicability are included in Attachment 1.

The steps contained in this procedure shall be used to process procurements and procurement modifications that involve changes to the scope of work, technical requirements, QA requirements, rights of access, documentation requirements, nonconformances, hold points, or lists of spare or replacement parts delineated in the initial procurement document.

The acquisition of services from another Federal Government agency which involves a transfer of funds, or from Suppliers which receive funding directly from the Yucca Mountain Project Site Characterization Office, shall be controlled through the use of a Management Agreement developed in accordance with QMP-4.02, Control of Agreements.

Services falling within the scope of this procedure shall not be purchased using third party drafts, imprest funds, bank cards, or blanket purchase agreements.

All procurements initiated after the effective date of this revision and any modifications to open procurements shall comply with all of the requirements of this procedure. Procurements initiated under previous revisions of this procedure need no re-work as a result of the revision.

3. **DEFINITIONS.** Definitions of the first use of the terms written in *bold italics* in this procedure are listed in Attachment 2.
4. **RESPONSIBILITIES.** General responsibilities are included in Attachment 3. Specific responsibilities are identified throughout Section 5.0.
5. **PROCEDURE.**

Procurements shall be processed in accordance with the following steps with the following exception: The QA Office review is required only for modifications which involve changes in the technical or QA requirements. Modifications that involve only cost or schedule changes do not require the QA Office review.

**5.1 Processing Procurements:****5.1.1 THE REQUESTOR:**

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- a) Using the guidance in Attachment 1 determines if the procurement must meet the requirements of this procedure.  
If this procedure does not apply then procurements are to be processed using traditional USGS practices.
- b) When appropriate, develops the Justification For Other Than Full and Open Competition (*JFOC*).
- c) If the procedure applies, develops the information required for the procurement using the requirements in Attachment 4, and includes Attachment 5.

#### 5.1.2 THE ADMINISTRATIVE MANAGEMENT SECTION:

- a) Prepares a DI-1 form (Attachment 6), using the information provided by the Requestor.
- b) Forwards the completed DI-1 form to the YMP-USGS QA Office.

#### 5.1.3 THE YMP-USGS QUALITY ASSURANCE (QA) OFFICE:

- a) Reviews the DI-1 form, to determine that appropriate QA Requirements have been included.
- b) Applies the QA Review stamp, Attachment 7, to the front page of the DI-1 form, signs and dates the stamp, and returns the DI-1 form and attachment to the Administrative Management Section.

#### 5.1.4 THE ADMINISTRATIVE MANAGEMENT SECTION:

- a) Records the status and forwards the DI-1 form and attachment to the Requestor.

#### 5.1.5 THE REQUESTOR:

- a) Reviews the DI-1 form and attachment to confirm the inclusion of appropriate technical and QA requirements. It may be necessary for the Requestor to resolve comments with the YMP-USGS QA Office or Administrative Management Section, if necessary, prior to approval. Signs the DI-1 form indicating approval, and forwards the DI-1 form and attachment to the Program Chief.

#### 5.1.6 THE PROGRAM CHIEF (or delegate):

- a) Reviews the DI-1 form and attachment to ensure that the technical requirements are applicable, correct, technically adequate, complete, accurate, and in compliance with established requirements, if any. Approves the procurement by signing in the "Bureau Officer" box of the DI-1 form. This approval indicates technical review of the procurement document and expenditure authorization. Forwards the DI-1 form and attachment to the Administrative Management Section.

#### 5.1.7 THE ADMINISTRATIVE MANAGEMENT SECTION:

- a) Approves the DI-1 form and attachment and forwards the approved documentation to the USGS Branch of Acquisitions and Federal Assistance.

5.1.8 Upon receipt of the approved DI-1 form and attachment, the USGS Branch of Acquisitions and Federal Assistance processes the requisition into a formal Purchase Order, *Contract*, or Modification as follows:

5.1.8.1 *Small Purchases* (both Competitive and *Sole-Source Purchase Orders* \$100,000 or less).

- a) To complete a Competitive Purchase Order the Central Region Procurement and Contracts Branch:
  - 1) Prepares *Request For Quotations (RFQ)* utilizing the technical and QA requirements contained in the DI-1 form and attachment.
  - 2) Obtains quotations from prospective Suppliers.
  - 3) Evaluates quotation in coordination with requestor and determines responsive/responsible offerer.
  - 4) Coordinates *Pre-award Supplier Qualification Evaluation* with the YMP-USGS QA Office if the Supplier has not been previously approved by the QA Office. See Para. 5.1.9.2.
  - 5) Obtains the YMP-USGS QA Office's review of the final Purchase Order. See Para. 5.1.9.1.
  - 6) *Awards* the Purchase Order.
  - 7) Forwards a copy of the Purchase Order to the Administrative Management Section.
- b) To complete a Sole Source Purchase Order, the Branch of Acquisitions and Federal Assistance.
  - 1) Reviews and approves the JFOC.
  - 2) Coordinates *Pre-award Supplier Qualification Evaluation* with the YMP-USGS QA Office if the Supplier has not been previously approved by the QA Office. See Para. 5.1.9.2.
  - 3) Obtains the YMP-USGS QA Office's review of the final Purchase Order. See Para. 5.1.9.1.
  - 4) *Awards* the Purchase Order.
  - 5) Forwards a copy of the Purchase Order to the Administrative Management Section.

5.1.8.2 *Contracts* (Both Advertised and Negotiated):

- a) To initiate both advertised and negotiated contract actions, the Branch of Acquisitions and Federal Assistance:
  - 1) Prepares a *Solicitation Package* using the technical and QA requirements contained in the DI-1 form and attachment. When appropriate, develops

required *special responsibility factors*, such as financial, QA, and production issues, and incorporates them into the Solicitation Package.

- 2) Obtains reviews of the Solicitation Package from the Requestor and the YMP-USGS QA Office. Forwards a copy of these reviews to the Administrative Management Section. Approves JFOC if appropriate for sole-source action.
  - 3) Issues solicitation to all potential interested Suppliers.
  - 4) Receives sealed *Bids* or *Proposals*.
- b) Upon receipt of *Sealed Bids* (advertised) the Branch of Acquisitions and Federal Assistance:
- 1) Forwards the *Abstract* and low bid to the Requestor for review and award concurrence. Upon receipt, forwards a copy of the concurrence to the Administrative Management Section.
  - 2) Coordinates the Pre-award Supplier Qualification Evaluation with the YMP-USGS QA Office, if the Supplier has not been previously approved by the QA Office. See Para. 5.1.9.2.
  - 3) Assembles the final Contract package.
  - 4) Obtains the YMP-USGS QA Office review of the final Contract. See Para. 5.1.9.1.
  - 5) Awards the Contract to the responsive/responsible contractor submitting the lowest bid.
  - 6) Forwards a copy of the contract to the Administrative Management Section.
- c) Upon receipt of proposals (negotiated), either competitive or sole-source, the Branch of Acquisitions and Federal Assistance:
- 1) Coordinates technical evaluation of the proposals to include QA requirements as specified in the *Request for Proposal (RFP)* Technical Evaluation Criteria. Required only for competitive proposals.
  - 2) Conducts negotiations with offerors, addressing both technical and QA requirements. Required for both competitive and sole-source proposals.
  - 3) Coordinates Pre-award Supplier Qualification Evaluation with the YMP-USGS QA Office, if the Supplier has not been previously approved by the QA Office. See Para. 5.1.9.2. This is required for both competitive and sole-source proposals.
  - 4) Determines which contractor offers the best value based on cost, satisfactory QA evaluation, and technical merit, in accordance with the RFP requirements. Required only for competitive proposals.
  - 5) Obtains the YMP-USGS QA Office review of the final Contract. This is required for both competitive and sole-source proposals. See Para. 5.1.9.1.

- 6) Awards the Contract to the chosen contractor. Required for both competitive and sole-source proposals.
- 7) Forwards a copy of the contract to the Administrative Management Section. Required for both competitive and sole-source proposals.

**5.1.9 THE YMP-USGS QUALITY ASSURANCE (QA) OFFICE:**

**5.1.9.1 For final procurement document the QA Office:**

- a) Reviews the final procurement documentation to ensure that the appropriate QA requirements are included based on the QMP-7.04 review and that they remain applicable to any changes incorporated during the bidding/supplier selection process.
- b) Applies, signs and dates the procurement documentation with the QA Review Stamp, Attachment 7.
- c) Forwards a copy of the stamped page to the Branch of Acquisitions and Federal Assistance and to the Administrative Management Section.

**5.1.9.2 Pre-Award Supplier Evaluations:**

- a) When applicable, coordinates the performance of Pre-award Supplier Evaluations with the Branch of Acquisitions and Federal Assistance. Supplier Evaluations are performed in accordance with QMP-7.04, Supplier Evaluation.

**5.1.10 THE ADMINISTRATIVE MANAGEMENT SECTION:**

- a) Retains copies of the DI-1 form, Purchase Order, Contract and Modification documentation, along with the evidence of the YMP-USGS QA Office and technical reviews, for subsequent transmittal to the Records Coordinator.

**5.2 Receipt of Services:**

**5.2.1 THE REQUESTOR:**

- a) Upon receipt, compares the service results to the procurement document to ensure all requirements have been met.

**NOTE:** For Blanket Purchase Orders (BPOs) "upon receipt" is upon receipt of the last service for the BPO for a given fiscal year.

- b) Completes the receiving report copy of the Purchase Order form, (Attachment 8), documenting partial receipt, conditional acceptance, full receipt, etc.
- c) When applicable, completes the Sample Analysis Quality Control Plan documentation.
- d) Forwards the completed receiving report copy of the Purchase Order form and, when applicable, the Sample Analysis Quality Control Plan information to the Administrative Management Section.

**5.2.2 THE YMP-USGS QUALITY ASSURANCE (QA) OFFICE:**

- a) When applicable, performs a Source Verification (reference QMP-7.04 ) at the Supplier's facility to ensure that the procurement requirements have been met prior to completion of the service.
- b) Obtains the QA Manager's approval of the completed Source Verification documentation.
- c) Forwards the original of the completed and approved Source Verification documentation to the Administrative Management Section and forwards a copy to the Requestor.

### 5.3 Closing Procurements:

#### 5.3.1 THE ADMINISTRATIVE MANAGEMENT SECTION:

- a) Uses the receiving report copy of the Purchase Order form to initiate payment via traditional USGS practices.
- b) Compiles and prepares the documentation associated with the procurement for transmittal to the Records Coordinator. The package must contain, but is not limited to, the following items:
  - 1) DI-1 and attachments;
  - 2) *Final Purchase Order or Contract documentation;*
  - 3) When applicable, the documentation from the completed Sample Analysis Quality Control Plan, or the Source Verification Plan;
  - 4) The completed receiving report copy of the Purchase Order form; and
  - 5) Reference to any related deficiency documents.
- c) Forwards the procurement documentation package to the Records Coordinator for Record Sources, upon receipt of the last received document.

## 6. RECORDS MANAGEMENT.

6.1 Controlled Documents: None.

6.2 Records Center Documents: QA Records identified in Para. 5.3.1.b are considered non-permanent and shall be submitted to the YMP-USGS Records Coordinator in accordance with QMP-17.01.

## 7. RELATED DOCUMENTS.

7.1 Superseded Documents: This QMP supersedes YMP-USGS-QMP-4.01, R7, Procurement Document Control/Receipt of Procurements.

### 7.2 References Cited:

- YMP-USGS-QMP-3.03, Software
- YMP-USGS-QMP-4.02, Control of Agreements
- YMP-USGS-QMP-7.04, Supplier Evaluation
- YMP-USGS-QMP-17.01, YMP-USGS Records Management for Record Sources

**8. ATTACHMENTS.**

- Attachment 1: Guidelines For Determining Quality-Affecting Procurements
- Attachment 2: Definitions
- Attachment 3: Responsibilities
- Attachment 4: Procurement Requisition Requirements
- Attachment 5: U.S. Department of the Interior Requisition (Form DI 1)
- Attachment 6: YMP-USGS Quality Assurance Requirements for Suppliers
- Attachment 7: YMP-USGS QA Office Procurement Review Stamp
- Attachment 8 : USGS Purchase Order Form

**9. APPROVALS AND EFFECTIVE DATE.**

EFFECTIVE DATE:

YMP-USGS Quality Assurance Manager	Date
Chief, Yucca Mountain Project Branch	Date
Assistant Chief Hydrologist for Technical Support	Date
Senior Advisor for Science Applications	Date

**10. HISTORY OF CHANGES.**

<u>Revision/ Modification No.</u>	<u>Effective Date</u>	<u>Description of Changes</u>
R0	08/24/85	Initial issue of QMP to describe procurement document control process.
R1	10/27/86	Provides guidance for "commercial grade" material and includes a procurement document checklist for QA review.
R2	-	Effective date was not assigned, document was not distributed.
R3	06/23/89	Provides list of exempted purchases; specifies YMP personnel procurement responsibilities; Blanket Purchase Agreements; REECo procurements; and contains Supplier Certificate of Conformance.
R3-M1	06/15/90	Changes procurement responsibilities for the contracting officers; QA and technical review

<u>Revision/ Modification No.</u>	<u>Effective Date</u>	<u>Description of Changes</u>
		requirements; and moves supplier Certificate of Conformance to QMP-7.01 (reference USGS-NCR-90-09 and USGS-AFR-9002-06).
R3-M2	08/01/91	Modifies distribution of procurement documents in response to USGS-NCR-90-31.
R3-M3	10/15/91	Provides for organization name changes to GSP and HIP.
R3-M4	11/13/91	Revision of Capital Equipment Request Form (Attachment 2) and corresponding text.
R4	04/09/93	Changes procedure scope and corresponding procurement process.
R4-M1	04/09/93	Modifies YMPB Administrative Management Section responsibilities and capital equipment (REECO, Attachment 2).
R5	12/13/93	Incorporates Modification QMP-4.01, R4-M1 and DOE/RW-0333P (QARD, R0) procurement requirements, CAR 93-053, and CAR-91-07, R1.
R6	05/10/94	Incorporates DOE/RW-0333P (QARD, R0) procurement language.
R6-M1	03/08/95	Changes made to reflect new organizational structure and corresponding responsibilities.
R7	07/21/95	Incorporated changes required as a result of DOE CAR YM-94-050.
R8		Incorporated changes required as a result of DOE CAR-YM-96-C004.

## GUIDELINES FOR DETERMINING QUALITY APPLICABILITY OF REQUIREMENTS TO PROCUREMENTS

1. Procurements that must meet the YMP-USGS QA program requirements include the following:

- Tasks and services used for YMP Site Characterization activities, including sample collection and data analysis.
- Examples typically include:
  - calibration services (may include purchase of equipment that needs calibration)\*
  - analytical services
  - software development or modification
  - supporting research or data development

**NOTE:** If the supplier will be working in a direct support capacity, subject to the requirements of the YMP-USGS QA Program, the procurement document only needs a statement that commits the supplier to work to the requirements of the YMP-USGS QA Program (reference OQA Lesson Learned 92-001). The procurement document is considered QA-NA.

2. Procurements that are not considered to be controlled by the YMP-USGS QA program include the following:

- Activities that are not used for YMP Site Characterization.
- Examples typically include:
  - Non-technical material and services such as office supplies, standard office equipment, clerical services, etc.
  - Equipment, tools and material, such as batteries, hammers, screw drivers, drills, generators, saws, nails, lumber; safety equipment, such as slings, tie-downs, hard hats; vehicles and related maintenance, supplies and repairs, such as oil and tires; and camping and personal equipment.
  - Standard computer and peripheral equipment, such as PCs, printers, interfaces, modems, monitors, keyboards, diskettes, supplies, etc.
  - Photographic film.
  - Commercial-grade mechanical and electronic replacement parts for equipment that is subject to calibration.
  - Periodicals, books, and publications, including maps.
  - Thin sections.
  - Mineral separations.

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\* When equipment is purchased as calibrated, the supplier must be qualified to provide calibration services in accordance with QMP-7.04.

## DEFINITIONS

***Abstract*** - A summary document prepared by the Contracting Officer (Central Region Procurements and Contracts Branch) containing line-item price details provided by respondents in sealed bids. Low bidder is identified from the abstract.

***Award*** - The act of the Contracting Officer signing a Purchase Order, Contract, or modification.

***Bids*** - Vendor's submissions in response to an Invitation For Bid (IFB) issued under the sealed bidding process. Bids must be submitted using the IFB package as issued, and must include any required additional documentation.

***Contracts*** - Procurement actions which exceed the Small Purchase Threshold (currently \$100,000).

***DI-1 and Attachments*** - The DI-1 form, including all required approvals and attachments.

***JFOC*** - Justification For Other Than Full and Open Competition. This document is prepared by the Requestor to justify a sole-source acquisition.

***Pre-award Supplier Qualification Evaluation*** - An evaluation performed by the QA Office to ensure that the Supplier's QA Program complies with the YMP-USGS QA requirements as incorporated into the RFP/RFO or solicitation.

***Proposals*** - Vendor's submission in response to a Request For Proposals (RFP) issued under either the competitive or noncompetitive proposal process. Proposals generally consist of two types: cost and technical.

***Purchase Order or Contract Documentation*** - The final Purchase Order or Contract, including all required reviews, approvals and attachments.

***Request for Proposal (RFP)*** - A written solicitation used for a negotiated acquisition, either competitive or sole-source, to communicate the Government's requirements, and to solicit proposals from vendors. Proposals submitted under this method may be accepted unilaterally, without discussions, by the Government, resulting in a binding contract. Or, they may be used as a basis for technical evaluation and negotiations of both technical and cost factors. If negotiations are conducted under a competitive environment, a Best and Final Offer is required of all offerors who participated in negotiations.

***Request For Quotations (RFQ)*** - A method used in small purchasing to obtain quotes for price, delivery, and other information from vendors. This method is used when the Contracting Office determines written quotes are necessary. The Standard Form 18 is generally used to obtain these written quotes unless Electronic Data Interchange (EDI) is used. Quotes received under either method are not legally binding on the vendor.

## DEFINITIONS (Continued)

***Sealed Bids*** - Bids that are submitted under the Advertised method of procurement using the USGS prepared Invitation For Bid (IFB) as the bid package. Sealed bids are held by the Contracting Officer unopened until the date and time designated for bid opening. At this time, they are opened at a public bid opening.

***Small Purchases*** - The procurement term for purchasing supplies or services up to the small purchase threshold, currently \$100,000, through the issuance of Purchase Orders, or Delivery Orders under Federal Supply Schedules Contracts up to the maximum order limitation (MOL) of the contract.

***Sole Source Purchase Orders*** - Purchase Orders that are issued without competition to a single vendor based on rationale contained in a Sole-Source Justification prepared by the Requestor and approved by the Contracting Officer.

***Solicitation Package*** - The documentation issued to vendors specifying a need of the Government for materials or services. Includes both Invitation for Bid (IFB) and Request For Proposals (RFP).

***Special Responsibility Factors*** - Components of solicitation which must be addressed by the potential bidder to allow evaluation of responsiveness to requirements of the solicitation package. Such factors could include financial history of the company, QA issues, experience, and/or production issues relating to the bidder's ability to meet exact details of the DI-1 and attachments.

## RESPONSIBILITIES

- The Quality Assurance Manager is responsible for: ensuring the QA requirements, incorporated into procurements, are appropriate; performing evaluations of proposed Suppliers; performing Source Verifications; and approving Sample Analysis Quality Control Plans.
- Program Chiefs are responsible for ensuring that appropriate technical requirements are incorporated into quality-affecting procurements in accordance with this procedure.
- Requestors are responsible for initiating, and for performing receipt acceptance of quality-affecting procurements, in accordance with this procedure and for providing any pertinent background information to reviewers as requested.
- The Administrative Management Section is responsible for: processing DI-1 form and attachments; verifying funding; tracking the status of procurements; coordinating procurement actions with the Branch of Acquisitions and Federal Assistance; and submitting procurement QA records to the Records Coordinator.
- The Branch of Acquisitions and Federal Assistance is responsible for: coordinating solicitation; preparing, awarding and distributing Purchase Orders and Contracts; coordinating supplier evaluation with the QA Office; and maintaining the principal interface with the Suppliers.

## PROCUREMENT REQUISITION REQUIREMENTS

The following information, when applicable, shall be included in the Description Section of the DI-1 form, Attachment 5. The information is developed by the Requestor who conveys the information to the Administrative Management Section. The Administrative Management Section incorporates the information into the DI-1 form.

- The Yucca Mountain Project WBS Number.
- The Scope of Work to include, as applicable:
  - A description of the work;
  - Reference to design basis, if applicable;
  - Technical requirements, including specifications, tolerances and acceptance criteria;
  - Reference to specific governing documents, including current revision, such as:
    - \* Technical procedures, scientific notebooks, study plans, or instructions;
    - \* Drawings;
    - \* Codes and or standards;
  - Spare or replacement parts or assemblies;
  - Hold and/or witness points beyond which work cannot proceed without YMP-USGS authorization; and
  - Required tests and or inspection and related acceptance criteria.
  - Documents to be provided to USGS provide evidence of the quality or acceptability of the service.

## YMP-USGS QUALITY ASSURANCE REQUIREMENTS FOR SUPPLIERS OF QUALITY SERVICES

### I INTRODUCTION

The services quoted upon or furnished for this procurement are for the use by the U.S. Geological Survey, Yucca Mountain Project Branch (YMPB-USGS) in connection with the Civilian Radioactive Waste Management Program sponsored by the U.S. Department of Energy.

The services shall be provided in accordance with the Supplier's documented QA program, accepted by the YMP-USGS prior to the award. The YMP-USGS acceptance of the supplier's QA program is predicated on the degree of compliance with the YMP-USGS QA Requirements described in Section II and the Supplier's agreement to meet the terms described in III, IV and V.

**NOTE:** If a calibration supplier's QA program meets the requirements of ANSI/NCLC Z540-1-1994 *Calibration Laboratories and Measuring and Test Equipment-General Requirements* it is considered acceptable.

**COMPLIANCE WITH THE QUALITY ASSURANCE REQUIREMENTS IMPOSED HEREIN IS MANDATORY TO THE DEGREE APPROPRIATE.**

### II SUPPLIER'S QA PROGRAM

The Supplier's documented QA Program shall address the following topics to the degree appropriate for the nature, scope and complexity of the activity:

**NOTE:** The QA program could take the form of a QA manual that contains a QA program description and implementing documents or a series of implementing documents with a matrix that reflects how the following topics are addressed.

#### 1.0 Organization

Provide a description of the supplier's organizational structure and define responsibilities for the personnel verifying quality achievement. Personnel who perform verification of quality achievement must be independent from those performing the work.

#### 2.0 QA Program

Provide for indoctrination, training, and qualification of personnel performing the activities to assure suitable proficiency is achieved and maintained prior to performing the work.

#### 3.0 Software

Provide evidence that data manipulation programs produce intended results.

Software to be developed or modified for YMPB site characterization activities shall meet the requirements of the YMP-USGS-QMP-3.03, Software.

#### 4.0 Procurement Control

Describe the approach used to assure that scope of work, technical and quality requirements are incorporated into procurement documents and changes to the documents.

Include requirements to document the evaluation and selection of suppliers prior to the award of a contract/purchase order. Methods used to ensure that received services meet requirements shall be described.

## YMP-USGS QUALITY ASSURANCE REQUIREMENTS FOR SUPPLIERS OF QUALITY SERVICES

(Continued)

The procurement documents for services directly supporting this procurement work shall incorporate appropriate YMP-USGS QA Program requirements

### 5.0 Instructions, Procedures and Document Control

Provide for conducting activities in accordance with documented approved implementing documents (e.g. procedures). These implementing documents shall consider the appropriateness of the following:

- A. Responsibilities and organizations affected by the document.
- B. Technical requirements.
- C. A sequential description of the work to be performed including controls for altering the sequence of required inspections, tests, and operations. The organization responsible for preparing the document shall determine the appropriate level of detail.
- D. Quantitative or qualitative acceptance criteria sufficient for determining that activities were satisfactorily accomplished.
- E. Prerequisites, limits, precautions, process parameters, and environmental conditions.
- F. Quality verification points and hold points
- G. Methods of demonstrating that the work was performed as required (such as provisions for recording inspection and test results, check-off lists, or sign-off blocks).
- H. Identification of QA records generated by the implementing document.
- I. Identification of associated items and activities.

Describe the process used for preparation, review, approval and control of implementing documents. This process must include: methods used for ensuring that only the latest revision is used; and, methods used to ensure that documents are reviewed for adequacy, correctness, and completeness.

### 6.0 Control of Measuring and Test Equipment (M&TE)

Describe the methods used to assure that M&TE, including equipment that contains software or programmable hardware, is adjusted and maintained as a unit at prescribed intervals, or prior to use, against reference standards having traceability to nationally recognized standards. Calibration standards shall have a greater accuracy than that required of the M&TE being calibrated.

Calibration M&TE shall be uniquely identified to provide traceability to calibration data. The use of M&TE shall be documented. Measures shall be established to prevent the use of out-of-calibration M&TE. When M&TE is found to be out-of-calibration the validity of results using that equipment since its last calibration shall be evaluated.

NOTE: The following is applicable only to calibration suppliers.

The supplier's calibration documentation (e.g. Certificate of Calibration) shall include the following:

- A. YMP-USGS Purchase Order number.

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SUPPLIERS OF QUALITY SERVICES**

(Continued)

- B. Name of the organization (company) performing the calibration.
- C. Name or identification of the person performing the calibration.
- D. A statement that the accuracy of the Principal Reference Standard(s) used in calibration is greater than (or equal to with justification) the required accuracy of the equipment being calibrated.
- E. The date the calibration was performed.
- F. Identification of equipment being calibrated (such as manufacturer, type, model, serial number, or other unique identifier).
- G. Identification of calibration standard (such as manufacturer, type, model, serial number, or other unique identifier) and NIST traceability or similar information when using other recognized standards, and calibration procedure or method used.
- H. Records of actual calibration data values, when applicable, both before and after any adjustments, enabling the determination of whether the equipment was, and is, within required tolerance or accuracy. If adjustments are not performed, a second set of data is not required. Clear indication of condition when instrument is found out-of-calibration, as submitted, and a statement or clear indication that the recalibrated equipment is within tolerance in all operating ranges.

**7.0 Corrective Action**

Provide a control system for identifying and documenting deviations from technical and quality implementing documents. Adverse conditions shall be reported to appropriate management responsible for the condition who shall determine the extent of the condition and take remedial actions. The QA organization or other independent organization shall verify that corrective actions have been completed.

**8.0 QA Records**

Provide for specifying, preparing, and maintaining records that provide evidence of quality. The records shall be protected from damage, deterioration or loss. The requirements and responsibilities for record transmittal, distribution, retention, maintenance, and disposition shall be established and documented.

QA records shall be reviewed to ensure that they are legible, accurate, complete, appropriate to the work accomplished, and identifiable to the item(s) or activity(s) to which they apply.

Corrections to previously transmitted QA records, including documents that will become QA records, shall include the initials or signature of the individual authorized to make the correction and the date the correction was made.

**9.0 Audits**

Planned and scheduled audits to verify compliance with the QA program requirements and determine its effectiveness shall be performed at least annually or once during the life of the contract. The audits shall be performed in accordance with prescribed procedures or checklists by qualified personnel who do not have direct responsibility for performing the activities being audited. Audit results shall be documented and reported to responsible management. Responsible management shall take action to correct identified deficiencies in

## YMP-USGS QUALITY ASSURANCE REQUIREMENTS FOR SUPPLIERS OF QUALITY SERVICES

(Continued)

accordance with Section 7 and follow-up action to verify corrective action shall be taken in accordance with Section 7.

If the supplier does not have a means of providing for an annual audit, USGS may elect to request that DOE conduct the audit.

### 10.0 Documentation of Analytical Services

Describe the process for receiving, handling, tracking samples submitted by USGS. The disposition of samples that do not conform to conditions required for the requested analysis shall be documented, and provided to the USGS.

Data (analyses) shall be properly recorded, received, stored, submitted to USGS requestor, and stored in accordance with Section 8.0.

Describe the methods for creation of standards, conduct of analyses, calibration of instruments, and documentation of software.

Describe the supplier's internal and external quality control methods.

Analytical results shall be traceable to the software version used to produce them. Software version changes shall be checked to verify that the software produces correct results.

Unless otherwise stated in the purchase document, it is not a requirement that the samples be returned to YMP-USGS.

### 11.0 Scientific Investigation

When technical or other implementing procedure are not utilized, scientific investigation activities shall be documented in a scientific notebook that provides a description of the work as performed and the results obtained.

Data shall be identified in a manner that provides traceability to associated documentation and computer codes.

## III. GENERAL TERMS AND CONDITIONS

1. Where possible sub-tier procurements should be with suppliers that are approved by the YMP-USGS/OCRWM.
2. The supplier shall notify the YMP-USGS technical contact when a calibration instrument used to calibrate and certify YMP-USGS equipment is found to be defective or out-of-calibration.
3. The supplier shall notify the YMP-USGS technical contact when the supplier identifies any nonconformances (deviations) from the procurement document. Nonconformances where the proposed disposition is "repair" or "use-as-is" require YMP-USGS approval.
4. The supplier will identify any spare part or replacement parts or assemblies and the appropriate technical and QA requirements/information required for ordering.

**YMP-USGS QUALITY ASSURANCE REQUIREMENTS FOR  
SUPPLIERS OF QUALITY SERVICES**  
(Continued)

**IV. ACCESS FOR VERIFICATION**

The supplier shall agree to allow YMP-USGS personnel, the NRC, the DOE or their representatives, upon reasonable notification, access to supplier facilities and records to perform inspections, audits, or surveillances to verify QA program compliance.

YMP-USGS verification activities shall not relieve the supplier of the responsibility for verification of quality achievement.

**V. REQUIRED DOCUMENTATION**

The following documentation is required.

<b>DOCUMENT DESCRIPTION</b>	<b>SUBMITTAL REQUIREMENT</b>
Supplier QA Program document	Submit to the USGS for acceptance prior to start of work
Calibration Certificate and calibration reports (Supplier of calibration services)	Submit for acceptance with the calibrated equipment or after calibration
QA Records such as:  implementing documents equipment calibration analytical results sample tracking training qualification audit reports corrective actions notebooks logbooks	Retain for at least 3 years or until dispositioned by YMP-USGS

Form DI-1  
(Rev. April 1985)

**UNITED STATES  
DEPARTMENT OF THE INTERIOR  
REQUISITION**

Page \_\_\_\_\_ of \_\_\_\_\_

<b>To</b>	<b>Bureau/Office</b>	<b>Requisition No.</b>
		<b>Date</b>
<b>Appropriation/Allotment No.</b>	<b>Charge shipping costs to</b>	
<b>Vendor</b>	<b>Deliver to</b>	

ITEM OR FORM NO.	DESCRIPTION	QUANTITY	UNIT	UNIT PRICE	AMOUNT

<b>To Be Completed by Fiscal Authority Only</b>			
<b>FUND CERTIFICATION: Funds in the amounts shown are available and chargeable to the cost authorities shown above.</b>			
<b>Signature</b>	<b>Date</b>	<b>Approved by (Signature)</b>	<b>Date</b>
<b>Title</b>		<b>Title</b>	
<b>Requisitioned by (Signature)</b>	<b>Date</b>	<b>Bureau Officer (Signature)</b>	<b>Date</b>
<b>Title</b>		<b>Title</b>	

Prepare in single space typing. Use double space between items. Fill out top of requisition completely, showing complete shipping instructions and appropriation if different from that to which requisition is chargeable.

**YMP-USGS QA OFFICE PROCUREMENT REVIEW STAMP  
(EXAMPLE)**

<p><b>REVIEWED</b> <b>YMP-USGS QA</b></p> <p>By: _____</p> <p>Date: _____</p> <p>Option Type: _____</p>
---

YMP-USGS PURCHASE ORDER FORM

ORDER FOR SUPPLIES OR SERVICES

PAGE 1 OF 7 PAGES

IMPORTANT: Mark all packages and orders with contract and/or order numbers.

1. DATE OF ORDER 5 Dec 1994	2. CONTRACT NO. (if any) 000001	3. ORDER NO. 1434CR-95-EA-0563	4. REQUISITION/REFERENCE NO. 95-4889-8338
ISSUING OFFICE (Address correspondence to) US GEOLOGICAL SURVEY BRANCH OF PROCUREMENT & CONTRACTS PO BOX 25046 - MS204C DENVER, CO 80225 Linda Criger (303)236-5900 x343		5. SHIP TO: (Consignee and address, ZIP Code) US GEOLOGICAL SURVEY P. O. BOX 25046, BLDG 53 DENVER FEDERAL CENTER DENVER, CO 80225 1434CR-95-EA-0563	

TO: CONTRACTOR (Name, address, and ZIP Code)

00002194 NEW MEXICO BUREAU OF MINES  
CAMPO STATION  
ATTN: MATHEW REISLER  
SOCORRO, NM 87802  
505-835-5271

TYPE OF ORDER  
 A. PURCHASE  
 B. DELIVERY - Except for filling instructions on the reverse, this delivery order is subject to the procedure contained on the side cover of this form which is issued subject to the terms and conditions of the contract referenced.

ACCOUNTING AND APPROPRIATION DATA

5-4889-84501 SOC: 235Z  
\$2,800.00

10. REQUISITIONING OFFICE

11. BUSINESS CLASSIFICATION (Check appropriate boxes)  
 SMALL  OTHER THAN SMALL  DIS-ADVANTAGED  WOMEN-OWNED

12. F.O.B. POINT DESTINATION

14. GOVERNMENT B/L NO.

15. DELIVER TO F.O.B. POINT ON OR BEFORE (Date)  
06/30/95

16. DISCOUNT TERMS  
Net 630

17. SCHEDULE (See reverse for Reschedule)

QTY	DESCRIPTION	UNIT PRICE	AMOUNT	QUANTITY ORDERED
301	DELIVER TO BILL EDWARDS MS425 BILLING CONTACT: JOYCE GOLOS 303-236-0516 x250 THIS IS A PURCHASE ORDER FOR THE FOLLOWING: DOCUMENTATION REQUIRED FROM SUPPLIER: ANALYTICAL REPORTS ANALYTICAL RESULTS PRECISION VALUES FOR ANALYSES SUPPLIER SHALL FOLLOW STANDARD METEOROLOGY REFINE AGE DETERMINATIONS FOR SAMPLES EN-02LS NESCOVITE; EN-2EL4 A.S NESCOVITE; AND EN-2H 14 A.S BIOTITE PERFORM 40AL/25AR DATING OF A HORNEBLITE SAMPLE USING STANDARD METHODS AND ONE ADDITIONAL SAMPLE USING STANDARD METHODS. THIS IS A QUALITY CONTROLLED PROCUREMENT QMR: ACS-01232845-1.20 MBS 1.2.3.2.8.4.5	1.00	2800.000000	2,800.00

18. SHIPPING POINT	19. GROSS SHIPPING WEIGHT	20. INVOICE NO.	8.00	1700.TOT (Cont. Pages)
21. MAIL INVOICE TO: (Name and Code) US GEOLOGICAL SURVEY, ATTY ADMINISTRATIVE OFFICER PO BOX 25046, R/S 475, DENVER, CO 80225	22. NAME (Typed) Linda Criger (303)236-5900 x343		2,800.00	1700. GRAND TOTAL

UNITED STATES OF AMERICA

SIGNATURE: *Linda Criger*

TITLE: CONTRACTING/ORDERING OFFICER

OPTIONAL FORM 247 (10-83)





# YMP-USGS SAMPLE ANALYSIS QUALITY CONTROL PLAN

Page 1 of   

**COMPLETE ONLY APPLICABLE ITEMS:**

SUPPLIER: \_\_\_\_\_ PURCHASE ORDER NO. \_\_\_\_\_ DATE: \_\_\_\_\_

DESCRIPTION OF PLAN: \_\_\_\_\_  
\_\_\_\_\_

PURPOSE OF PLAN: \_\_\_\_\_  
\_\_\_\_\_

SCOPE OF PLAN: \_\_\_\_\_  
\_\_\_\_\_

Prepared By: \_\_\_\_\_ / \_\_\_\_\_ Reviewed by (QAO): \_\_\_\_\_ / \_\_\_\_\_  
Name Date Name Date

## PLAN DESCRIPTION

Analytical Results of Samples Are:  Acceptable  Not acceptable. Comments: \_\_\_\_\_

Results Reviewed By: \_\_\_\_\_ Date: \_\_\_\_\_

Reviewed By (QAO): \_\_\_\_\_ Date: \_\_\_\_\_

Number	Requirement	USGS Implementation
4.1	<b>GENERAL - This section establishes requirements to ensure that procurement documents, and any changes thereto, contain appropriate technical and quality assurance requirements.</b>	
4.2	<b>REQUIREMENTS</b>	
4.2.1	<b>Procurement Document Preparation - Procurement documents issued by each Affected Organization shall include the following provisions, as applicable to the item or service being procured:</b>	
4.2.1A.	<b>A statement of the scope of work to be performed by the supplier.</b>	<b>USGS_QMP-4.01 Rev 08 - Att4:pg1 :2bullet</b>
4.2.1B.	<b>Technical requirements including:</b>	<b>TRACE NOT REQUIRED</b>
4.2.1B.1.	<b>Design bases shall be identified or referenced.</b>	<b>USGS_QMP-4.01 Rev 08 - Att4:pg1 :2bullet</b>
4.2.1B.2.:1 s	<b>Specific documents (such as drawings, codes, standards, regulations, procedures, or instructions) that describe the technical requirements of the items or services to be furnished shall be specified.</b>	<b>USGS_QMP-4.01 Rev 08 - Att4:pg1 :2bullet</b>
4.2.1B.2.:2 s	<b>The revision level or change status of these documents shall also be identified.</b>	<b>USGS_QMP-4.01 Rev 08 - Att4:pg1 :2bullet</b>
4.2.1B.3.	<b>Tests, inspections, and acceptance requirements that the purchaser will use to monitor and evaluate the performance of the supplier shall be specified.</b>	<b>USGS_QMP-4.01 Rev 08 - Att4:pg1 :2bullet</b>
4.2.1C.	<b>Quality Assurance Program Requirements including:</b>	
4.2.1C.1.:1 s	<b>A requirement for the supplier to have a documented Quality Assurance (QA) program that implements applicable Quality Assurance Requirements and Description (QARD) requirements prior to the initiation of work.</b>	<b>USGS_QMP-4.01 Rev 08 - Att5 :pg1 :ll</b>
4.2.1C.1.:2 s	<b>The extent of the QA program shall depend on the scope, nature, or complexity of the item or service being procured.</b>	<b>USGS_QMP-4.01 Rev 08 - Att5:pg1 :ll</b>
4.2.1C.2.	<b>A requirement for the supplier to incorporate the appropriate QARD requirements into any sub-tier supplier-issued procurement document.</b>	<b>USGS_QMP-4.01 Rev 08 - Att5 :ll.4</b>

Number	Requirement	USGS Implementation
4.2.1C.3.1s	When deemed appropriate, the purchaser shall permit some or all supplier work to be performed under the purchaser's or another Affected Organization's QA program provided the work is adequately addressed.	USGS_QMP-4.01 Rev 08 - Att1 :pg1 :option1
4.2.1C.3.2s	In these cases, procurement documents shall specify that the purchaser's or another Affected Organization's implementing documents are applicable to the supplier and that the purchaser shall provide these applicable documents to them.	USGS_QMP-4.01 Rev 08 - Att1 See Note
4.2.1D.	Right of access to supplier facilities and records for inspection or audit by the purchaser, OCRWM, or other designee authorized by the purchaser.	USGS_QMP-4.01 Rev 08 - Att5 :IV
4.2.1E.	Provisions for establishing hold points beyond which work cannot proceed without purchaser authorization.	USGS_QMP-4.01 Rev 08 - Att4 :pg1 :2bullet
4.2.1F.	Documentation required to be submitted to the purchaser for information, review, or acceptance.	USGS_QMP-4.01 Rev 08 - Att5 :V
4.2.1F.1.	The document submittal schedule shall be identified.	USGS_QMP-4.01 Rev 08 - Att5 :V
4.2.1F.2.	If the purchaser requires the supplier to maintain documentation that will become QA records, the retention times and disposition requirements shall be identified.	USGS_QMP-4.01 Rev 08 - Att5 :II 8.0
4.2.1G.	Purchaser requirements for the supplier to report nonconformances and the purchaser approval of the disposition of nonconformances.	USGS_QMP-4.01 Rev 08 - Att5 :II 10.0
4.2.1H.	Identification of any spare and replacement parts or assemblies and the appropriate technical and QA data required for ordering.	USGS_QMP-4.01 Rev 08 - Att4:pg1
4.2.2	Procurement Document Review and Approval	
4.2.2A.	Procurement document reviews in accordance with Subsection 2.2.10, Document Review, shall be performed and documented prior to issuance of the procurement documents to the supplier.	USGS_QMP-4.01 Rev 08 - 5.1.3a), 5.1.5a), 5.1.6a), 5.1.9.1a)
4.2.2B.	A review of the procurement documents and any changes thereto shall be made to verify that documents include appropriate provisions to ensure that items or services will meet the governing requirements.	USGS_QMP-4.01 Rev 08 - 5.0 :5.1.5a), 5.1.6a), 5.1.9.1a)
4.2.2C.	Reviews shall ensure that all applicable technical and QA program requirements are included.	USGS_QMP-4.01 Rev 08 - 5.1.5a), 5.1.6a), 5.1.9.1a)

Number	Requirement	USGS Implementation
4.2.2D.	Reviews shall be performed by personnel who have access to pertinent information and who have an adequate understanding of the requirements and scope of the procurement.	USGS_QMP-4.01 Rev 08 - 5.1.5), 5.1.6), 5.1.9)
4.2.2E.	Procurement document reviewers shall include representatives from the technical and QA organizations.	USGS_QMP-4.01 Rev 08 - 5.1.5a), 5.1.6a), 5.1.9.1a)
4.2.2F.	Procurement documents shall be approved.	USGS_QMP-4.01 Rev 08 - 5.1.5a), 5.1.6a), 5.1.7a)
4.2.3	Procurement Document Change	
4.2.3A.	Changes to the scope of work, technical requirements, QA program requirements, right of access, documentation requirements, nonconformances, hold points, and lists of spare and replacement parts delineated in procurement documents shall be subject to the same degree of control as used in the preparation of the original documents.	USGS_QMP-4.01 Rev 08 -2 :2p, 5.0
4.2.3B.:1s	Changes made as a result of proposal/bid evaluations or precontract negotiations shall be incorporated into the procurement documents.	USGS_QMP-4.01 Rev 08 - 2 :2p, 5.0, 5.1.8.2c):1), 5.1.8.2c) :4), 5.1.8.2c) :5), 5.1.9.1a)
4.2.3B.:2s	The evaluation of these changes and the resulting impact shall be completed before the contract is awarded.	USGS_QMP-4.01 Rev 08 - 2 :2p, 5.0, 5.1.8.2c):1), 5.1.8.2c):4), 5.1.8.2c):5), 5.1.9.1a)
4.2.3B.:3s	This evaluation shall consider:	
4.2.3B.:3s1	Appropriate requirements as specified in this section.	USGS_QMP-4.01 Rev 08 - 2. :2p, 5.0, 5.1.8.2c):1), 5.1.8.2c):4), 5.1.8.2c) :5), 5.1.9.1a)
4.2.3B.:3s2	Additional or modified design criteria.	USGS_QMP-4.01 Rev 08 - 2. :2p, 5.1, 5.1.8.2c):1), 5.1.8.2c):4), 5.1.8.2c) :5), 5.1.9.1a)
4.2.3B.:3s3	Analysis of exceptions or changes requested or specified by the supplier and a determination of the impact such changes have on the intent of the procurement documents or quality of the item or service to be furnished.	USGS_QMP-4.01 Rev 08 - 2. :2p, 5.0, 5.1.8.2c):5), 5.1.9.1a)

Number	Requirement	M&O Implementation
7.1	<b>GENERAL</b> - This section establishes requirements for planning and executing procurements to ensure that purchased items and services meet specified requirements. This section does not apply to direct-support services used for staff augmentation. The supplier selection and bid/proposal evaluation requirements of this section do not apply to situations where the Office of Civilian Radioactive Waste Management obtains the services of other Department of Energy offices or Federal agencies through Memoranda of Understanding, Memoranda of Agreement, Program Guidance Memoranda, Interagency Agreement or other documents containing appropriate technical and Quality Assurance (QA) requirements. Technical and QA requirements specified in these documents shall be verified to be satisfactorily incorporated into the applicable program prior to starting work subject to the Quality Assurance Requirements and Description (QARD).	
7.2	<b>REQUIREMENTS</b>	
7.2.1:1s	Procurement Planning - Procurements shall be planned and documented to ensure a systematic approach to the procurement process.	USGS-QMP-4.01 Rev 08 - 1.
7.2.1:2s	Procurement planning shall:	
7.2.1:2sA.	Identify procurement methods and organizational responsibilities.	USGS_QMP-4.01 Rev 08 - Att3, Att4:II
7.2.1:2sB.	Identify what is to be accomplished, who is to accomplish it, how it is to be accomplished, and when it is to be accomplished.	USGS_QMP-4.01 Rev 08 - Att4:I, Att5
7.2.1:2sC.	Identify and document the sequence of actions and milestones needed to effectively complete the procurement.	USGS_QMP-4.01 Rev 08 - 5.
7.2.1:2sD.	Provide for the integration of the following activities:	TRACE NOT REQUIRED
7.2.1:2sD.1.	Procurement document preparation, review, and change control according to the requirements of Section 4.0, Procurement Document Control.	USGS_QMP-4.01 Rev 08 - 5.
7.2.1:2sD.2.	Selection of procurement sources.	USGS_QMP-4.01 Rev 08 - 5.1.8
7.2.1:2sD.3.	Proposal/bid evaluation and award.	USGS_QMP-4.01 Rev 08 - 5.1.8.1, 5.1.8.2
7.2.1:2sD.4.	Evaluation of supplier performance.	USGS_QMP-7.04 Rev 03 - 5.2
7.2.1:2sD.5.	Verifications including any hold and witness point notifications.	USGS_QMP-4.01 Rev 08 - Att4 :2bullet

Number	Requirement	M&O Implementation
7.2.1:2sD.6.	Control of nonconformances.	USGS__QMP-4.01 Rev 08 Att III 3.
7.2.1:2sD.7.	Corrective action.	USGS_QMP-4.01 Rev 08 - Att5 :II 7.0
7.2.1:2sD.8.	Acceptance of the item or service.	USGS_QMP - 4.01 Rev 08 - 5.1, 5.2
7.2.1:2sD.9.	Identification of QA records.	USGS_QMP-4.01 Rev 08 Att5, V.
7.2.1:2sE.	Be accomplished as early as possible, and no later than at the start of those procurement activities which are required to be controlled.	USGS_QMP-7.04 Rev 03, 5.1.2
7.2.1:2sF.	Be performed relative to the level of importance, complexity, and quantity of the item or service being procured and the supplier's quality performance.	USGS_QMP-4.01 Rev 08 Att5, II.
7.2.1:2sG.	Include the involvement of the QA organization.	USGS_QMP-4.01 Rev 08
7.2.2	Source Evaluation and Selection	
7.2.2A.	Supplier selection shall be based on an evaluation, performed before the contract is awarded, of the supplier's capability to provide items or services in accordance with procurement document requirements.	USGS_QMP-7.04, Rev 3, 5.1.2
7.2.2B.:1s	The organizational responsibilities for source evaluation and selection shall be identified and shall include the QA organization.	USGS QMP-4.01 Rev 08 - 5.1.8.1a) :4), 5.1.8.1b) :2), 5.1.8.2b), 5.1.8.2c) :3) USGS QMP-7.04 Rev 03-4.1, 5.1.4
7.2.2.B.:2s	If a source evaluation board is established, then the QA organization shall have a voting member.	USGS_N/A
7.2.2C.	Measures for evaluating and selecting procurement sources shall include one or more of the following elements:	TRACE NOT REQUIRED
7.2.2C.1.	Evaluation of the supplier's history for providing an identical or similar product which performs satisfactorily in actual use.	USGS_QMP-7.04 Rev 03 - 5.14
7.2.2C.2.	Evaluation of supplier's current QA records supported by any documented qualitative and quantitative information.	USGS_QMP-7.04 Rev 03, 5.1, ATT1

Number	Requirement	M&O Implementation
7.2.2C.3.	Evaluation of the supplier's technical and quality capability based on an evaluation of supplier facilities, personnel, and QA program implementation.	USGS_QMP-7.04 Rev 03, 5.1.1.
7.2.2D.	The results of procurement source evaluation and selection shall be documented.	USGS_QMP-7.04 Rev 03, 5.1.4
7.2.3	Proposal/Bid Evaluation	
7.2.3A.:1s	The proposal/bid evaluation process shall include a determination of the extent of conformance to the procurement document requirements.	USGS_QMP-4.01 Rev 08 - 5.1.8.1a::1), 5.1.8.2a):1), 5.1.8.2c):4):1s, 5.1.92
7.2.3A.:2s	This evaluation shall be performed by designated, technically qualified organizations including the QA organization.	USGS_QMP-4.01 Rev 08 - 5.1.8, 5.1.9.2
7.2.3B.	The evaluation shall include the following subjects consistent with the importance, complexity, and quantity of items or services being procured:	TRACE NOT REQUIRED
7.2.3B.1.	Technical considerations.	USGS_QMP-4.01 Rev 08 - 5.1.8.1a&b, 5.1.8.2a.1, 5.1.8.2b, 5.1.8.2.c
7.2.3B.2.	QA program requirements.	USGS_QMP-4.01 Rev 08 - 5.1.8.1a&b, 5.1.8.2a.1, 5.1.8.2b, 5.1.8.2.c
7.2.3B.3.	Supplier personnel.	USGS_QMP-4.01 Rev 08 - 5.1.8.1a&b, 5.1.8.2a.1, 5.1.8.2b, 5.1.8.2.c
7.2.3B.4.	Supplier production capability.	USGS_QMP-4.01 Rev 08 - 5.1.8.1a&b, 5.1.8.2a.1, 5.1.8.2b, 5.1.8.2.c
7.2.3B.5.	Supplier past performance.	USGS_QMP-4.01 Rev 08 - 5.1.8.1a&b, 5.1.8.2a.1, 5.1.8.2b, 5.1.8.2.c
7.2.3B.6.	Alternatives.	USGS_QMP-4.01 Rev 08 - 5.1.8.1a&b, 5.1.8.2a.1, 5.1.8.2b, 5.1.8.2.c

Number	Requirement	M&O Implementation
7.2.3B.7.	Exceptions.	USGS_QMP-4.01 Rev 08 - 5.1.8.1a&b, 5.1.8.2a.1, 5.1.8.2b, 5.1.8.2.c
7.2.3C.	Before the contract is awarded, the purchaser shall resolve, or obtain commitments to resolve, unacceptable quality conditions identified during the proposal/bid evaluation.	USGS-QMP-4.01 Rev 08 - 5.1.9.1a USGS-QMP-7.04 Rev 03 - 5.1.5
7.2.3D.	Supplier QA programs shall be evaluated either before or after contract placement, and any deficiencies that would affect quality shall be corrected before starting work subject to the QARD.	USGS_QMP-7.04 Rev 03 - 5.1.5
7.2.3E.	Supplier QA programs shall be accepted by the purchaser before the supplier starts work subject to the QARD.	USGS_QMP-4.01 Rev 08 - 5.1.9.2
7.2.4	Supplier Performance Evaluation	
7.2.4A.:1s	The purchaser of items and services shall establish measures to interface with the supplier and to verify supplier's performance.	USGS_QMP-4.01 Rev 08 - 5.1.8.2 :1) USGS_QMP-7.04 Rev 03 - 5.2, 5.1.4, Att3
7.2.4A.:2s	The measures shall include:	
7.2.4A.:2s1.	Establishing an understanding between the purchaser and supplier of the requirements and specifications identified in the procurement documents.	USGS_QMP-4.01 Rev 08 - 5.1.8.2a) :1)
7.2.4A.:2s2.	Requiring the supplier to identify planning techniques and processes to be used in fulfilling procurement document requirements.	USGS_QMP-4.01 Rev 08 - 5.1.8.2a):1)
7.2.4A.:2s3.	Reviewing supplier documents that are prepared or processed during work performed to fulfill procurement document requirements.	USGS_QMP-4.01 Rev 08 - 5.1.8.2a) :1)
7.2.4A.:2s4.	Identifying and processing necessary change information.	USGS_QMP-4.01 Rev 08 - 5.1.8.2a):1)
7.2.4A.:2s5.	Establishing the method to be used to document information exchanges between purchaser and supplier.	USGS_QMP-4.01 Rev 08 - 5.1.8.2a) :1)

Number	Requirement	M&O Implementation
7.2.4A.:2s6.	Establishing the extent of source surveillance and inspection.	USGS_QMP-4.01 Rev 08 - 5.1.8.2a):1) USGS_QMP-7.04 Rev 03 - 5.1.4, 5.1.5, Att3
7.2.4B.	The extent of verifications shall be a function of the relative importance, complexity, and quantity of items or services being procured, and the supplier's quality performance.	USGS_QMP-4.01 Rev 08 - 5.1.9.2 USGS_QMP-7.04 Rev 02 - 5.1.1
7.2.4C.:1s	Verifications shall be conducted as early as practical and shall not relieve the supplier of the responsibility for the verification of quality achievement.	USGS_QMP-4.01 Rev 08 - 5.1.9.2
7.2.4C.:2s	Verifications shall include supplier audits used as a method of evaluating the supplier's performance, and evaluation of purchaser's documentation to aid in the determination of the effectiveness of the supplier's QA program.	AP-7.4Q
7.2.5	<b>Control of Supplier Generated Documents</b>	
7.2.5A.	Supplier generated documents shall be controlled, processed, and accepted in accordance with the requirements established in the procurement documents.	USGS_QMP-4.01 Rev 08 - Att5, II.8.0.V
7.2.5B.:1s	Measures shall be implemented to ensure that the submittal of these documents is accomplished in accordance with the procurement document requirements.	USGS_QMP-4.01 Rev 08 - Att 4, Att5, V
7.2.5B.:2s	These measures shall provide for the acquisition, processing, and recorded evaluation of technical, inspection, and test data compared against the acceptance criteria.	USGS_QMP-4.01 Rev 08 - 5.2.1
7.2.6	<b>Acceptance of Items or Services</b>	
7.2.6A.	The supplier shall verify that furnished items or services comply with the purchaser's procurement document requirements before offering the items or services for acceptance.	USGS_QMP-7.04 Rev 03 - Att1:10
7.2.6B.	The supplier shall provide the purchaser objective evidence that items or services conform to procurement documents. The documentation shall be available at the purchaser's facility before the item is installed or before the service is accepted.	USGS_QMP-4.01 Rev 08 - Att4 :pg1
7.2.6C.	Methods for accepting supplier furnished items or services shall include one or more of the following, as appropriate to the items or services being procured:	USGS_QMP-4.01 Rev 08 - Att4
7.2.6C.1.	Evaluating the supplier certificate of conformance.	USGS_N/A
7.2.6C.2.	Performing one or a combination of source verification, receiving inspection, or post-installation test.	USGS_QMP 7.04 Rev 03, ATT3

Number	Requirement	M&O Implementation
7.2.6C.3.	Technical verification of the item or service.	USGS_QMP-7.04 Rev 03, ATT3.
7.2.6C.4.	Surveillance or audit of the work.	USGS_QMP-7.04 Rev 03, 5.2
7.2.6C.5.	Review of objective evidence (such as certifications, stress reports, or personnel qualifications) for conformance to the procurement document requirements.	USGS_QMP-4.01 Rev 8, 5.2.1
7.2.7	Certificate of Conformance - When a certificate of conformance is used to accept an item or service:	TRACE NOT REQUIRED
7.2.7A.	The certificate shall identify the purchased item or service to the specific procurement document.	NA
7.2.7B.:1s	The certificate shall identify the specific procurement document requirements met by the purchased item or service.	NA
7.2.7B.:2s	The procurement document requirements identified shall include any approved changes, waivers, or deviations applicable to the item or service.	NA
7.2.7C.	The certificate shall identify any procurement document requirements that have not been met together with an explanation and the means for resolving the nonconformances.	NA
7.2.7D.	The certificate shall be signed or otherwise authenticated by a person who is responsible for this QA function and whose responsibilities and position are described in the supplier's QA program.	NA
7.2.7E.	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 the certificates, shall be described in the supplier's QA program.	NA
7.2.7F.:1s	Measures shall be identified to verify the validity of supplier certificates and the effectiveness of the certification process (such as by audit of the supplier or by an independent inspection or test of the item).	NA
7.2.7F.:2s	Verifications shall be conducted at intervals commensurate with the past quality performance of the supplier.	NA
7.2.8	Source Verification - The purchaser may accept an item or service by monitoring, witnessing, or observing activities performed by the supplier. This method of acceptance is called source verification.	USGS_QMP7.04, Rev 05, 5.1.5.1, ATT3

Number	Requirement	M&O Implementation
7.2.8A.	Source verification shall be implemented consistent with the supplier's planned inspections, examinations, or tests at predetermined points and performed at intervals consistent with the importance and complexity of the item.	USGS_QMP-7.04, Rev 03, Att3
7.2.8B.	Documented evidence of acceptance of source verified items or services shall be furnished to the receiving destination of the item, to the purchaser, and to the supplier.	USGS_QMP-7.04 Rev 03, ATT3
7.2.8C.	Source verification shall be performed by personnel qualified in accordance with Section 2.0, Quality Assurance Program.	USGS_QM-7.04, Rev 03, ATT3
7.2.9	Receiving Inspection - When receiving inspection is used to accept an item:	TRACE NOT REQUIRED
7.2.9A.	The inspection shall consider the results of source verifications and audits and the demonstrated quality performance of the supplier.	NA
7.2.9B.	The inspection shall be performed in accordance with established inspection implementing documents.	NA
7.2.9C.	The inspection shall verify, as applicable, proper configuration; identification; dimensional, physical, and other characteristics; freedom from shipping damage; and cleanliness.	NA
7.2.9D.	The inspection shall be planned and executed according to the requirements of Section 10.0, Inspection.	NA
7.2.9E.	Receiving inspection shall be coordinated with a review for adequacy and completeness of any required supplier documentation submittals.	NA
7.2.10	Post-installation Testing	
7.2.10A.	When post-installation testing is used as a method of acceptance, the post-installation test requirements and acceptance documentation shall be mutually established by the purchaser and supplier.	NA
7.2.10B.	The test shall be in accordance with the requirements of Section 11.0, Test Control.	NA
7.2.11	Control of Supplier Nonconformances - The purchaser and supplier shall establish and document the process for disposition of items that do not meet procurement document requirements according to the following requirements.	NA
7.2.11A.	The supplier shall evaluate nonconforming items according to the requirements of Section 15.0, Nonconformances.	NA

Number	Requirement	M&O Implementation
7.2.11B.:1s	The supplier shall submit a report of nonconformance to the purchaser including supplier recommended disposition (e.g., use-as-is or repair) and technical justification.	NA
7.2.11B.:2s	Reports of nonconformances related to procurement document requirements, or documents approved by the purchaser, shall be submitted to the purchaser for approval whenever one of the following conditions exists:	TRACE NOT REQUIRED
7.2.11B.:2s 1.	Technical or material requirements are violated.	NA
7.2.11B.:2s 2.	A requirement in supplier documents, which have been approved by the purchaser, is violated.	NA
7.2.11B.:2s 3.	The nonconformance cannot be corrected by continuation of the original manufacturing process or by rework.	NA
7.2.11B.:2s 4.	The item does not conform to the original requirement even though the item can be restored to a condition such that the capability of the item to function is unimpaired.	NA
7.2.11C.	The purchaser shall disposition the supplier's recommendation.	NA
7.2.11D.	The purchaser shall verify implementation of the disposition.	NA
7.2.12	Commercial Grade Items - Where design specifies the use of commercial grade items, the following requirements are an acceptable alternative to other requirements of this section.	NA
7.2.12A.:1s	The commercial grade item shall be identified in an approved design output document.	NA
7.2.12A.:2s	An alternate commercial grade item may be applied, provided the responsible design organization provides verification that the alternate commercial grade item will perform the intended function and will meet design requirements applicable to both the replaced item and the application.	TRACE NOT REQUIRED
7.2.12B.	Supplier evaluation and selection, when determined necessary by the purchaser based on the complexity and importance to safety, shall be in accordance with the requirements of the Subsection 7.2.2, Source Evaluation and Selection.	NA
7.2.12C.	Commercial grade items shall be identified in the procurement document by the manufacturer's published product description.	NA
7.2.12D.	After receipt of a commercial grade item, the purchaser shall ensure that:	NA

Number	Requirement	M&O Implementation
7.2.12D.1.	Damage was not sustained during shipment.	NA
7.2.12D.2.	The item received was the item ordered.	TRACE NOT REQUIRED
7.2.12D.3.	Inspection or testing is accomplished, to the extent determined by the purchaser, to ensure conformance with the manufacturer's published requirements.	NA
7.2.12D.4.	Documentation, as applicable to the item, was received and is acceptable.	NA

