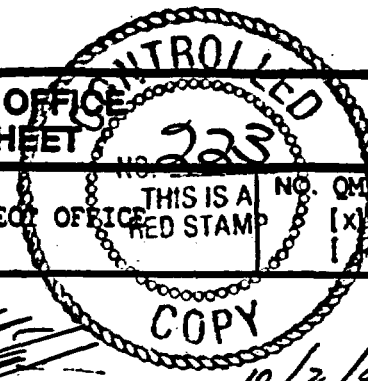


**YUCCA MOUNTAIN PROJECT OFFICE
DOCUMENT APPROVAL SHEET**

Y-AD-002
4/90

Title

QUALITY MANAGEMENT PROCEDURE: YUCCA MOUNTAIN PROJECT OFFICE
PROCUREMENT ACTIONS



APPROVAL

[Signature]
PROJECT MANAGER:

[Signature]
Signature

10/2/90
Date

DIRECTOR OF QUALITY ASSURANCE:

[Signature]
Signature

10/2/90
Date

N/A
(OTHER, AS REQUIRED)

NOT REQUIRED
Signature

N/A
Date

REVISION 0 EFFECTIVE DATE: October 19, 1990

REVISIONS

INITIAL AND DATE

	REVISION 1	REVISION 2	REVISION 3	REVISION 4
PROJECT MANAGER:	_____	_____	_____	_____
DIRECTOR, QA:	_____	_____	_____	_____
(OTHER, AS REQUIRED)	_____	_____	_____	_____
EFFECTIVE DATE:	_____	_____	_____	_____



YUCCA MOUNTAIN PROJECT PROCEDURE

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QMP-04-02, REVISION 0
QUALITY MANAGEMENT PROCEDURE: YUCCA MOUNTAIN PROJECT OFFICE PROCUREMENT ACTIONS

1.0 PURPOSE AND SCOPE

1.1 PURPOSE

This procedure establishes the methods and responsibilities for preparing, reviewing, approving, and controlling procurement documents and related changes for Yucca Mountain Project Office (Project Office) procurement actions, and for controlling the purchased services to assure conformance with specified requirements.

1.2 SCOPE

This procedure applies to all Project Office procurement actions and changes, including modifications, initiated and controlled by the Project Manager for services involving quality affecting activities.

2.0 APPLICABILITY

Project Office procurements are limited to procuring services (also referred to as activities or work) for the Project. These procurements are conducted for the following types of activities:

1. Initiation of the acquisition of services for a support contractor.
2. Initiation of an inter-agency agreement for Project work.
3. Initiation of Memoranda of Understanding, Management Agreements, or other similar documents that allow the performance of Project activities by other entities within the U.S. Department of Energy (DOE) system, including operations offices and their contractors; federal, state, and local government agencies; other nations under agreement to DOE; and other agencies' contractors when those agencies have an agreement with DOE.
4. Financial assistance activities and awards.

3.0 DEFINITIONS

Terms in this procedure are used as defined in the Office of Civilian Radioactive Waste Management (OCRWM) Quality Assurance Requirements Document (QARD) and the Project Glossary. The following additional definition is adopted for the purposes of this procedure.

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3.1 PROCUREMENT REQUEST PACKAGES (PRPs)

PRPs are considered procurement documents and are those documents required to initiate procurement actions (see Section 5, Step 5), including new procurements and related changes or modifications to existing procurement documents.

4.0 RESPONSIBLE PARTIES

The following individuals or organizations are responsible for activities identified in Section 5.0:

1. Project Office Branch Chief (BC)
2. Division Director (DD)
3. Director of Quality Assurance (DQA)
4. Project Manager (PM)
5. Project and Operations Control Division (POCD)
6. Contracting Officer's Technical Representative (COTR)

Individuals assigned responsibilities by this procedure may assign designees to perform required tasks, except as the COTR for each Project Office affecting contract or agreement (hereafter referred to as an Executed Procurement Agreement (EPA) in this procedure).

5.0 PROCEDURE

NOTE: Figure 1 is a flowchart depicting the details of the following process.

NOTE: Changes (including modifications) to procurement documents shall be processed in the same manner as the original procurement document.

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RESPONSIBLE PARTY

Cognizant Branch Chief

STEPS PROCEDURE

Procurement Initiation

1. With the assistance of the DQA, develop a procurement plan for the service(s) being procured to assure a systematic approach for new procurements of services. Procurement planning shall determine:

- a. What is to be accomplished.
- b. Why is it to be accomplished.
- c. How is it to be accomplished.
- d. When is it to be accomplished.
- e. Where is it to be accomplished.
- f. Who is to accomplish it.

Planning shall be accomplished as early as practicable, and no later than at the start of those procurement activities which are required to be controlled, to assure interface compatibility and a uniform approach to the procurement process. Planning shall result in the documented identification of methods to be used in procurement activities, sequence of actions and milestones indicating the completion of these activities, and the preparation of applicable procedures prior to the initiation of each individual activity listed below. Planning shall provide for the integration of:

- a. Procurement document preparation, review, and change control.

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<u>RESPONSIBLE PARTY</u>	<u>STEPS</u>	<u>PROCEDURE</u>
Cognizant Branch Chief	b. c. d. e. f. g. h. i. 2.	Selection of procurement sources. Bid evaluation and award. Project Office control of supplier performance. Verification (surveillance, review, or audit) activities by the Project Office including notification for hold points. Control of nonconformances. Corrective action. Acceptance of service. Quality assurance records Ensure the service(s) being procured has been subject to an evaluation in accordance with AP-6.17Q, Determination of the Importance of Items and Activities, and appears on either the Quality Activities List (QAL) or Project Requirements (PR) List prior to the procurement of a service. In addition, ensure the service(s) being procured has been subject to QA grading (AP-5.28Q, Quality Assurance Grading) to establish the extent of QA criteria application, as specified on the appropriate QA Grading Report (QAGR). This is necessary to develop and maintain confidence in the quality of the service being procured.

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RESPONSIBLE PARTY	STEPS	PROCEDURE
Cognizant Branch Chief	3.	Document the technical requirements (see Section 5, Step 5.c) and delivery dates for services required by the Project Office, and submit with the procurement plan to the cognizant DD for documented approval.
Cognizant Division Director	4.	Approve the documents submitted in Section 5, Step 3, or return to the cognizant BC for required changes. <u>Preparation of the PRP</u>
Cognizant Branch Chief	5.	Upon approval of the procurement plan, technical requirements, and delivery dates by the cognizant DD, prepare the PRP, which includes the following, as applicable: <ul style="list-style-type: none"> a. Procurement Request Authorization Form (see Attachment 1). b. A statement of the scope of work to be performed by the supplier. c. Design bases and other technical requirements including <ul style="list-style-type: none"> (1) Reference to and/or inclusion of specific plans, drawings, specifications, codes, standards, regulations, procedures, and/or instructions (including revision levels and corresponding dates) that describe the service(s) to be furnished. (2) Identification of test, inspection, and acceptance requirements for monitoring and evaluating the performance of the supplier.

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RESPONSIBLE PARTY

STEPS

PROCEDURE

Cognizant Branch Chief

(3) Technical acceptance/rejection criteria.

d. Desired schedule for the supplier to perform the work.

e. Specific QA requirements including:

- (1) The supplier shall have a QA Program addressing, at a minimum, those criteria specified on the associated QAGR(s).
- (2) The supplier shall incorporate appropriate QA requirements in subtier procurement documents. The control of supplier issued procurement documents, including changes, shall be established, implemented, and controlled in accordance with the supplier's QA program requirements.
- (3) Procurement documents at each tier of procurement shall provide for access by the Project Office or designated/authorized parties to the supplier's and subtier supplier's facilities and QA records for verification by audits, surveillances, etc.
- (4) The submittal of nonconformance reports by the supplier to the Project Office. Each supplier nonconformance report shall include supplier recommended disposition (e.g., use-as-is or repair) and technical justification. Nonconformances to the procurement requirements or

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<u>RESPONSIBLE PARTY</u>	<u>STEPS</u>	<u>PROCEDURE</u>
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Cognizant Branch Chief

Project Office approved documents, which consist of one or more of the following, shall be submitted to the Project Office for approval of the recommended disposition and, as appropriate, corrective action:

- (a) Technical requirement is violated.
- (b) Requirement in supplier documents which has been approved by the Project Office is violated.
- (c) Nonconformance cannot be corrected by continuation of the process or by rework.

In addition, specify whether the supplier or Project Office has responsibility for verification or implementation of disposition and, as appropriate, corrective action.

- (5) Procurement documents at each tier of procurement shall identify the documents required to be submitted to the COTR by the supplier for information, review, or approval by the Project Office, including the time of submittal.
- (6) The identification of the system for exchange of document information and for processing necessary change information.

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<u>RESPONSIBLE PARTY</u>	<u>STEPS</u>	<u>PROCEDURE</u>
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Cognizant Branch Chief

(7) The QA records the supplier shall provide to the Project Office and those QA records to be maintained by the supplier, including the designation of retention times and disposition requirements.

(8) Hold points which require verification by designated Project Office personnel prior to continuing work. Include a requirement that the supplier must notify the Project Office 72 hours in advance of upcoming hold points.

f. Authorization for the supplier to work under the umbrella of the Project Office QA program when appropriate to the nature of the procurement, provided that the scope of the activity being procured is adequately addressed therein. When these circumstances apply, specify which portions of the OCRWM Quality Assurance Program Description Document (QAPD) are applicable to the supplier's work efforts.

NOTE: This situation may exist when the scope of work or schedule requirements cannot justify the cost or time required for the supplier to develop and maintain a QA program.

g. Additional technical, QA, and administrative conditions, including the following, as a minimum:

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<u>RESPONSIBLE PARTY</u>	<u>STEPS</u>	<u>PROCEDURE</u>
Cognizant Branch Chief		<p>activities, including planning shall be a function of the relative importance, complexity, and quantity of the services being procured and the supplier's quality performance. As such, the Project Office may increase or decrease the extent of such verification activities.</p> <p>(4) Specify that prior to offering the service for acceptance by the Project Office, the supplier shall verify the service conforms with the EPA and document the results of this verification. The supplier shall furnish the Project Office documented evidence of acceptance of the service.</p> <p>(5) Specify which of the following method(s) shall be used by the Project Office to accept the services:</p> <p style="margin-left: 20px;">(a) Technical verification of data produced,</p> <p style="margin-left: 20px;">(b) Surveillance and/or audit of the activity(ies); and/or</p> <p style="margin-left: 20px;">(c) Review of objective evidence for conformance to the appropriate EPA requirements such as certifications, stress reports, etc.</p> <p>(6) Specify any additional acceptance/rejection criteria (see Section 5, Step 5.c.(3)) to be used to accept the services.</p>

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RESPONSIBLE PARTY	STEPS	PROCEDURE
Cognizant Branch Chief	(7)	<p>The supplier shall be required to document planning techniques and processes to be utilized in fulfilling procurement document requirements. These techniques shall be reviewed and approved by the cognizant DD prior to issuance of a notice to proceed with the work.</p> <p>h. Section 8a, Small Business/Labor Surplus (LSA) Set-Aside Review (see Attachment 2).</p> <p>i. Cover letter that documents concurrences by the cognizant DD and DQA with the PRP, and approval of the PRP by the PM. The cover letter provides objective evidence of satisfactory accomplishment of reviews by the responsible technical organization and QA organization (see Section 5, Steps 7 and 8).</p> <p>6. Forward the PRP to the cognizant DD for review and concurrence. This review and the review delineated in Section 5, Step 8, are performed to ensure the PRP includes appropriate technical and QA provisions to assure the services being procured will meet specified requirements. Personnel performing these reviews and those in Section 5, Step 18 shall have access to pertinent information and have an understanding of the requirements and the intent of the PRP.</p>

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<u>RESPONSIBLE PARTY</u>	<u>STEPS</u>	<u>PROCEDURE</u>
Cognizant Division Director	7.	Review the PRP to determine if applicable regulatory, design bases, and other technical requirements are correctly stated. As appropriate, issue a memo to the cognizant BC for resolution of technical concerns, and resolve those concerns with the cognizant BC. Indicate concurrence with the PRP by signing/dating the PRP cover letter (see Section 5, Step 5.i). Forward the PRP to the DQA.
Director of Quality Assurance	8.	Review the PRP to determine if it has been prepared in accordance with this procedure, and reflects adequate, correct, and appropriate QA requirements. As applicable, issue a memo to the cognizant BC for resolution of QA concerns, and resolve those concerns with the responsible BC. Indicate concurrence with the PRP by signing/dating the PRP cover letter (see Section 5, Step 5.i). Forward the PRP to POCD.
Project Operations and Control Division	9.	Review the PRP for content and completeness and resolve concerns with the responsible organization(s).
Project Manager	10.	Forward the PRP to the PM for approval.
Project Manager	11.	Approve the PRP by signing and dating the cover letter (see Section 5, Step 5.i) or return the PRP to the cognizant BC to resolve concerns.
		<u>Initiating The Federal Procurement Process</u>
	12.	Forward the approved PRP to the Contracting Office for initiation of the federal procurement process, including the solicitation of proposals.

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<u>RESPONSIBLE PARTY</u>	<u>STEPS</u>	<u>PROCEDURE</u>
Director of Quality Assurance and Cognizant Division Director	13.	Request the Contracting Officer to provide bids to the POCD, who shall coordinate the Project Office bid evaluation process by involving the cognizant DD and DQA, as a minimum.
	14.	Determine the extent of conformance of each bid to the PRP by evaluating the following subjects, as applicable to the type of procurement: <ul style="list-style-type: none"> a. Technical considerations. b. Quality assurance requirements. c. Personnel of potential supplier. d. Past performance of potential supplier.
	15.	Provide documented results of these evaluations to the Contracting Officer for use in the selection of a prospective supplier.
Contracting Officer's Technical Representative	16.	Upon receipt of the EPA for which a prospective supplier has been selected, forward a copy of the EPA to cognizant DD and DQA for review.
	17.	Based upon the results of the EPA reviews by the cognizant DD and the DQA, and approval of the supplier's planning techniques and processes, as appropriate, (see Section 5, Step 5.g.(7)), issue the supplier a notice to proceed with the work, arrange for the supplier to be evaluated by Project Office personnel (see Section 5, Step 20) or direct the cognizant BC to initiate a procurement request change that requires either the EPA to be modified to satisfy the technical and/or

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<u>RESPONSIBLE PARTY</u>	<u>STEPS</u>	<u>PROCEDURE</u>
Contracting Officer's Technical Representative		QA concerns, or that the procurement be terminated. This request for modification to the EPA follows the same process as the original PRP.
Director of Quality Assurance and Cognizant Division Director	18.	Review the EPA to ensure that the EPA and the related PRP are in concert, and, if appropriate, determine the effects of exceptions requested or specified by the supplier. These reviews shall include the following considerations: <ul style="list-style-type: none"> a. Appropriate requirements specified in Section 5, Step 5. b. Determination of any additional or modified design criteria. c. Analysis of exceptions or changes requested or specified by the supplier and determination of the effects such changes may have on the intent of the EPA or quality of the service to be furnished.
Cognizant Division Director	19.	If the EPA is determined to be adequate by the cognizant technical organization, forward a memo to the COTR recommending issuance of a notice for the supplier to proceed with the work scope of the EPA. If there are technical concerns, document those concerns in a letter to the COTR for resolution in accordance with Section 5, Step 17 prior to recommending the issuance of a notice to proceed with the work, if appropriate.

Contracting Officer's
Technical Representative

QA concerns, or that the procurement be terminated. This request for modification to the EPA follows the same process as the original PRP.

Director of Quality Assurance
and Cognizant Division
Director

18. Review the EPA to ensure that the EPA and the related PRP are in concert, and, if appropriate, determine the effects of exceptions requested or specified by the supplier. These reviews shall include the following considerations:

- a. Appropriate requirements specified in Section 5, Step 5.
- b. Determination of any additional or modified design criteria.
- c. Analysis of exceptions or changes requested or specified by the supplier and determination of the effects such changes may have on the intent of the EPA or quality of the service to be furnished.

Cognizant Division Director

19. If the EPA is determined to be adequate by the cognizant technical organization, forward a memo to the COTR recommending issuance of a notice for the supplier to proceed with the work scope of the EPA. If there are technical concerns, document those concerns in a letter to the COTR for resolution in accordance with Section 5, Step 17 prior to recommending the issuance of a notice to proceed with the work, if appropriate.

NOTE: The recommendations to issue a notice to proceed with the work scope of the EPA provide objective evidence that the cognizant DD (technical

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<u>RESPONSIBLE PARTY</u>	<u>STEPS</u>	<u>PROCEDURE</u>
Cognizant Division Director		organization) and DQA (QA organization) concur with the EPA, including, as appropriate, changes specified or requested by the supplier in Section 5, Step 18.
Director of Quality Assurance	20.	If the supplier is listed on the current QSL, and if the DQA review in Section 5, Step 18 determines that the EPA is acceptable, forward a memo to the COTR recommending issuance of a notice for the supplier to proceed with the work scope of the EPA. Go to Section 5, Step 2. If the results of the DQA review in Section 5, Step 18 indicate that the EPA is acceptable and the supplier is not listed on the current QSL, notify the COTR in writing to arrange for the supplier to be evaluated in accordance with QMP-07-04. The purpose to this evaluation is to determine if the supplier is capable to provide services in accordance with the requirements of the EPA. If the results of the DQA review in Section 5, Step 18 indicate that the EPA is unacceptable, document the QA concerns in a memo to the COTR stating that the QA concerns shall be resolved in accordance with Section 5, Step 17. Determine the qualification status of the supplier and, as appropriate, notify the COTR to arrange for the supplier to be evaluated per QMP-07-04.
	21.	Upon successful qualification of the supplier, have the supplier added to the QSL in accordance with QMP-07-04. When the results of the DQA review in Section 5, Step 18 indicate the EPA is acceptable, forward a memo to the COTR recommending issuance of a notice for the supplier to proceed with the work scope of the EPA.

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RESPONSIBLE PARTY	STEPS	PROCEDURE
Cognizant Division Director	22.	If the supplier cannot be qualified in accordance with QMP-07-04, document this concern in a memo to the COTR so that work may not proceed until the supplier is qualified per QMP-07-04, or the EPA is modified or terminated per Section 5, Step 17.
Contracting Officer's Technical Representative	23.	Upon receipt of the cognizant DD and DQAs documented recommendations for the supplier to proceed with the work scope of the EPA, and, as appropriate, approval of the supplier's planning techniques and processes (see Section 5, Step 5.g.(7)), issue a notice to the appropriate supplier to proceed with the work scope of the EPA.
Cognizant Division Director and Director of Quality Assurance	24.	Contact the supplier to ensure there is an understanding between the Project Office and the supplier of the provisions and specifications of the EPA; of the systems for identifying and processing necessary change information and document information exchange between the Project Office and supplier; and the extent of source surveillance and audits by the Project Office.
Contracting Officer's Technical Representative	25.	Forward a copy of the PRP, related procurement plan, EPA, and all associated memos, letters, and notices to the POCD who shall transmit the documents to the LRC in accordance with Section 5, Step 29.
<u>Verification of Service</u>		
Director of Quality Assurance	26.	With the assistance of the cognizant DD, perform verification activities of the service being provided. Ensure these verification activities are performed by qualified personnel in accordance with

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RESPONSIBLE PARTY	STEPS	PROCEDURE
Director of Quality Assurance		QMP-18-01, Quality Assurance Audits, QMP-18-02, Surveillances, or AP-6.1Q, Project Office Document Development, Review, Approval, and Revision Control. Include the COTR and POCD on distribution of all reports generated.
Contracting Officer's Technical Representative	27.	Prior to the requested date of document submittals, the COTR shall contact the supplier to assure documents will be submitted on time in accordance with the provisions of the EPA. Upon receipt of supplier generated documents required by the EPA, route to the cognizant Project Office organization for information, review, and/or approval in accordance with AP-6.1Q or QMP-15-01, Control of Nonconformances, to ensure proper control, processing, and, as appropriate, approval of the documents. Technical and test data shall be evaluated against established acceptance criteria. The evaluation shall be documented.
		<u>Accepting Services</u>
Cognizant Division Director and Director of Quality Assurance	28.	Determine the acceptability of the service being provided or completed, as appropriate, utilizing the method(s) identified in Section 5, Step 4.g.(4). Conduct these methods in accordance with the applicable Project Office generated and approved procedure(s). Include in the documentation resulting from the performance of these methods a statement as to whether the service, as appropriate, or specific portion of the service, has been determined to be acceptable.
Project Operations and Control Division	29.	Transmit the documents listed in Section 8.0 to the LRC in accordance with QMP-17-01, Records Management: Records Source Implementation.

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6.0 REFERENCES

Refer to the latest revision of the below listed document unless otherwise stated.

6.1 REQUIREMENTS DOCUMENTS

OCRWM Quality Assurance Requirements Document, DOE/RW-0214

OCRWM Quality Assurance Program Description Document, DOE/RW-0215

Project Glossary

6.2 INTERFACE DOCUMENTS

AP-5.28Q, Quality Assurance Grading

AP-6.1Q, Project Office Document Development, Review, Approval, and Review Control

AP-6.17Q, Determination of the Importance of Items and Activities

QMP-07-04, Supplier Evaluation/Qualified Suppliers List

QMP-15-01, Control of Nonconformances

QMP-17-01, Records Management: Records Source Implementation

QMP-18-01, Quality Assurance Audits

QMP-18-02, Surveillances

7.0 FIGURES AND ATTACHMENTS

Figure 1, Project Office Procurement Action Flowchart

Attachment 1, Procurement Request Authorization Form (sample)

Attachment 2, Section 8a/Small Business/LSA Set-Aside Review (sample)

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8.0 RECORDS

The following listed documents related to activities affecting quality are considered QA records and are collected and submitted by the POCD to the LRC in accordance with the provisions of QMP-17-01:

1. Procurement Request Packages, including changes/modifications.
2. Executed procurement agreements, including changes/modifications.
3. Memos approving executed agreements.
4. Notices to proceed with scope of work.
5. Surveillance and audit reports.
6. Nonconformance Reports
7. All other related correspondence.

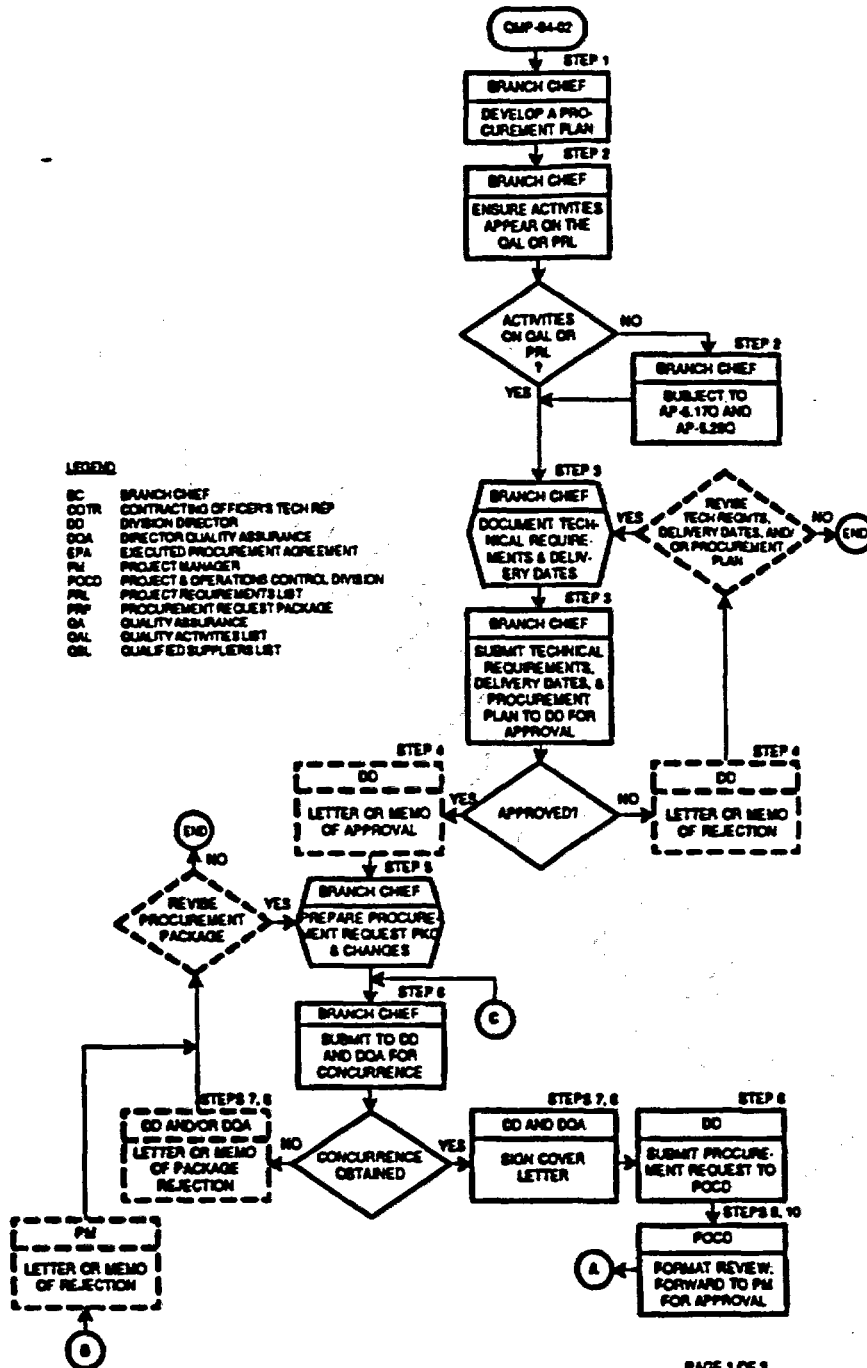
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YUCCA MOUNTAIN PROJECT PROCEDURE

Y-AD-001
4/90

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QUALITY MANAGEMENT PROCEDURE: YUCCA MOUNTAIN PROJECT OFFICE PROCUREMENT ACTIONS



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Figure 1 - Project Office Procurement Action Flowchart

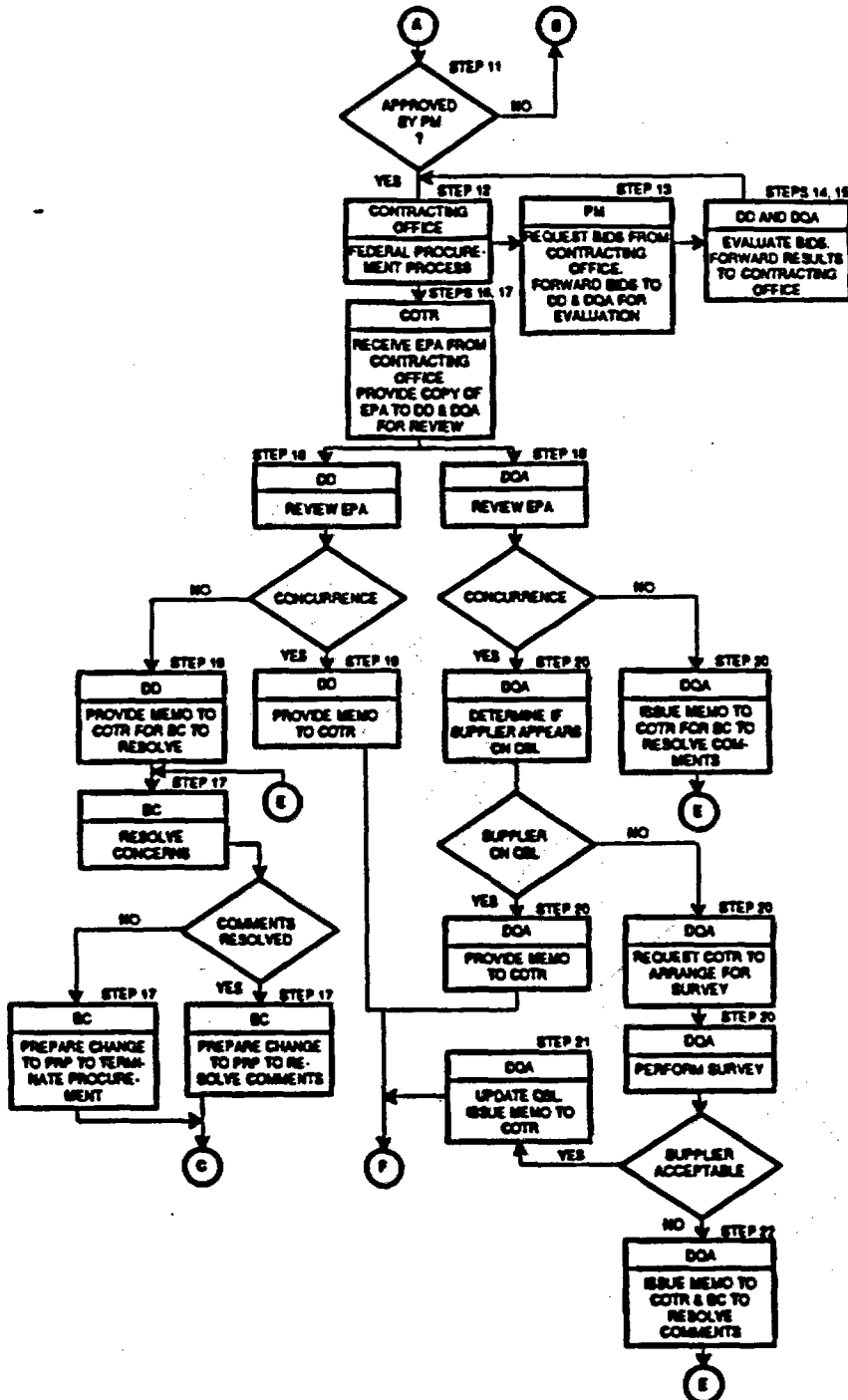
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Figure 1 - Project Office Procurement Action Flowchart (continued)

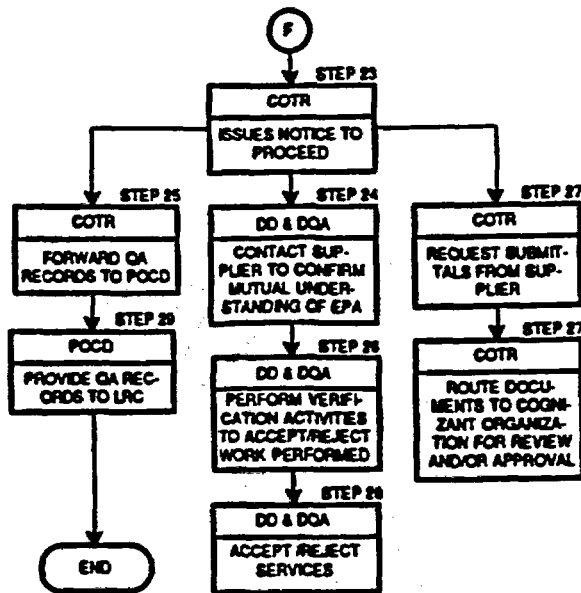
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Figure 1 - Project Office Procurement Action Flowchart (continued)

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DOE F 4200.33
(10-85)

U.S. Department of Energy
Procurement Request-Authorization

Formerly PR-789A
(Previous editions are obsolete)

1. To Awarding Office	3. PR Number _____
2. From Initiating Office	4. Change/Correction to a PR in Process? <input type="checkbox"/> Yes <input type="checkbox"/> No
	5. If Item 4 is Yes, Enter PR Correction Letter _____
	6. <input type="checkbox"/> Acquisition <input type="checkbox"/> Assistance
	7. Consistent with Principal Purpose of Program? <input type="checkbox"/> Yes <input type="checkbox"/> No
8. Description of Work/Purpose of Assistance (180 Characters Maximum)	

Has List of Sources Been Attached? Yes No

9. Name	11. Address
10. Division	
For Acquisition Actions Only: 12. Product or Service Code	
For Assistance Actions Only: 13. CFDA Number	
Proposed Instrument: 14. Cooperative Agreement <input type="checkbox"/> 15. Grant <input type="checkbox"/>	
16. OSTI Deliverable For All Actions	17. (Reserved)
18. Master SIN	19. Desired Award Date Mo Day Year
20. Unsolicited Proposal Number	21. Project Number
22. Government Property _____ P-Furnished, P-Purchased, B-Both, N-Not Involved	

FINANCIAL DATA						
23. Government Share	24. Awardee Share	25. Total				
FY FUNDS COMMITTED						
26. Approp. Symbol	27. BSR Number	28. Dollar Amt.	29. Allotment	30. Object Class	31. AFP	32. CFA

33. From Continuation Sheet	35. Project Period from _____ thru _____
34. Total Funds This PR	36. Budget Period from _____ thru _____

PROJECT MANAGER/INITIATOR			
37. Name	38. Signature	39. Date	40. Office Code
			41. FTS Telephone Number

PROGRAM REVIEWING OFFICIAL		
42. Name	43. Signature	44. Date

PROGRAM OFFICE BUDGET OFFICIAL		
45. Name	46. Signature	47. Date

CERTIFYING OFFICIAL. I hereby certify that the funds cited in item 34 are available		
48. Name	49. Signature	50. Date

51. Initiating Office/Local Office Use

Attachment 1 - Procurement Request, Authorization Form (sample)

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QUALITY MANAGEMENT PROCEDURE: YUCCA MOUNTAIN PROJECT OFFICE PROCUREMENT ACTIONS

U.S. DEPARTMENT OF ENERGY

DOE F 4220.2 (10-84) (Formerly PR-418)		I.D. NO.	
SECTION 8(a)/SMALL BUSINESS/LSA SET-ASIDE REVIEW			
ITEM TITLE/DESCRIPTION		SMALL BUSINESS SIZE STANDARD RECOMMENDED BY S.B. SPECIALIST EMPLOYEES NUMBER _____ DOLLAR \$ _____ SIC CODE: _____	
PROGRAM OFFICE CODE:	PROCURING ACTIVITY CODE:	CONTRACTING OFFICER:	
SB/LS PARTICIPATION WAS CONSIDERED IN THE PREPARATION OF THIS PROCUREMENT ITEM AND FOLLOWING IS RECOMMENDED:		NAME AND LOCATION OF PROPOSED SOURCE: (If Sole Source)	
<input type="checkbox"/> SBA Section 8(a) Procurement _____ % \$ _____ <input type="checkbox"/> Small Business Set-Aside _____ % \$ _____ <input type="checkbox"/> Labor Surplus Set-Aside _____ % \$ _____ <input type="checkbox"/> Set-Aside Action Not Recommended		<input type="checkbox"/> Small Non-Disadvantaged Firm <input type="checkbox"/> Small Disadvantaged Firm <input type="checkbox"/> Labor Surplus Firm <input type="checkbox"/> Large Minority Firm <input type="checkbox"/> Other	
SET-ASIDE NOT FEASIBLE BECAUSE:		TELEPHONE _____	
<input type="checkbox"/> No Qualified Section 8(a) Firms <input type="checkbox"/> No Reasonable Expectation of Receiving Sufficient Offers From SB/LS Firms To Assure Award <input type="checkbox"/> Program Objectives Dictate Broadest Possible Solicitation To Obtain "Best Available" Expertise <input type="checkbox"/> Solicitation Is For "Best Idea/Approach" R&D Effort <input type="checkbox"/> Continuing and Directly Related R&D Effort. Competitive Procurement Not Feasible For Economic and/or Technical Reasons <input type="checkbox"/> Procurement Is For Within-Scope Expansion of Current Contract <input type="checkbox"/> Funding of Unsolicited Proposal Under Current DOE Policy Directives <input type="checkbox"/> Other*		P.R. REQUESTOR _____ DATE _____	
*Explanation Required. (CHECK MORE THAN ONE BOX AS REQUIRED)		PROGRAM SMALL/DISADVANTAGED BUSINESS COORDINATOR CONSULTED (Check One) <input type="checkbox"/> Yes <input type="checkbox"/> No	
		CONTRACTING OFFICER'S INITIAL FINDING <input type="checkbox"/> Accepted <input type="checkbox"/> See Comments <input type="checkbox"/> Rejected DATE _____	
		CONTRACTING OFFICER _____ TELEPHONE _____	
		EXPLANATION/ADDITIONAL COMMENT:	
		<input type="checkbox"/> Request Solicitation of SB/LS Sources Attached <input type="checkbox"/> Request Special SB/DB Incentive Provision (Att)	
SMALL/DISADVANTAGED BUSINESS SPECIALIST'S ENDORSEMENT			
<input type="checkbox"/> Accepts <input type="checkbox"/> Rejects <input type="checkbox"/> Requests Reevaluation <input type="checkbox"/> Other Comments/Attached			
		PROCUREMENT SB/DB SPECIALIST DATE _____	
REEVALUATION OF RECOMMENDATIONS/FINDINGS		REVIEWED BY SBA	
<input type="checkbox"/> Reaffirmed <input type="checkbox"/> Set-Aside Feasible		<input type="checkbox"/> Request Solicitation of SB Sources Attached <input type="checkbox"/> SBA Form 70 Attached	
AUTHORIZING PROGRAM OFFICIAL _____ DATE _____		SBA REPRESENTATIVE _____ DATE _____	
PROCUREMENT OFFICER'S ACTION		CONTRACT NO.(S) _____ SB/DB/OTHER _____	
<input type="checkbox"/> Section 8(a) Award <input type="checkbox"/> SB Set-Aside <input type="checkbox"/> Other Recommendations/Request Accepted <input type="checkbox"/> Recommendation Rejected Per Attached Justification			
PROCUREMENT OFFICER _____ DATE _____			

ORIGINAL-CONTRACT FILE (FULLY EXECUTED)

Attachment 2 - Section 8a/Small Business/LSA
Set-Aside Review (sample)

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