



# Standard Guide for Including Government Procurement Requirements in ASTM Documents<sup>1</sup>

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## 1. Scope

1.1 This guide is intended to help ASTM technical committees determine when it is appropriate to add supplementary requirements (see Section B24 of *Form and Style for ASTM Standards*)<sup>2</sup> to ASTM standards so that they can be used directly in government<sup>3</sup> procurement, to offer different format approaches for including supplementary requirements, and to provide content guidance.

1.2 This guide covers procurement documents only. Regulatory documents are outside the scope of this guide.

## 2. Referenced Documents

### 2.1 ASTM Standards:

D 3951 Practice for Commercial Packaging<sup>4</sup>

E 456 Terminology Relating to Quality and Statistics<sup>5</sup>

E 1267 Guide for ASTM Standard Specification Quality Statements<sup>5</sup>

### 2.2 U.S. Government Documents:<sup>6</sup>

OMB (Office of Management and Budget) Circular A-119, Federal Participation in the Development and Use of Voluntary Standards

Federal Acquisition Regulation

SD-1, DoD (Department of Defense) Standardization Directory

## 3. Terminology

3.1 The terminology defined in Terminology E 456 applies to this standard unless modified herein.

## 4. Significance and Use

4.1 This guide is intended to provide direction for ASTM technical committees that have been asked by government

members of a committee to include special user requirements. Guidance is given on what types of special user requirements are often needed by the government, whether it is appropriate to include them as supplementary requirements to an ASTM standard, and the selection of different format approaches for including supplementary requirements.

4.2 OMB Circular A-119 establishes government policy for all federal agencies to use non-government standards in preference to government specifications and standards whenever feasible and consistent with law. Part 10 of the Federal Acquisition Regulation also requires federal agencies to use non-government standards in preference to government product descriptions in procurement, unless the non-government standard does not meet the government's needs or its use is inconsistent with law.

4.3 An impediment to implementing fully the federal policies on the use of non-government standards is that non-government standards do not always include all of the requirements essential for government procurement. Adding these requirements (or referencing them) can permit the direct use of non-government standards in procurement and eliminate the need to develop and maintain supplementary government specifications and standards.

4.4 The purpose behind federal policies using non-government standards is a significant point that ASTM technical committees should understand. They are intended to promote greater use of commercial products and processes within the federal government, thereby reducing costs, shortening acquisition schedules, taking advantage of the latest technological developments, minimizing risks, and fostering a stronger national industrial base. Most supplementary requirements needed by the government involve packaging, marking, additional or specialized testing, quality, reliability, and other requirements that may not be applicable to most users, but which can be met by commercial products or processes. If requirements cannot be met by commercial products or processes, the technical committee may want to challenge their inclusion in the ASTM standard and recommend a supplementary government specification or standard.

## 5. Procedure

### 5.1 Initial Considerations:

<sup>1</sup> This guide is under the jurisdiction of ASTM Committee E11 on Quality and Statistics and is the direct responsibility of Subcommittee E11.30 on Data Analysis.

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<sup>2</sup> *Form and Style for ASTM Standards*, (ASTM Blue Book), ASTM(www.astm.org), 100 Barr Harbor Drive, West Conshohocken, PA, 19428.

<sup>3</sup> "Government" in this guide refers to the government of the United States of America.

<sup>4</sup> *Annual Book of ASTM Standards*, Vol 15.09.

<sup>5</sup> *Annual Book of ASTM Standards*, Vol 14.02.

<sup>6</sup> Available from Standardization Documents Order Desk, Bldg. 4, Section D, 700 Robbins Ave., Philadelphia, PA 19111-5094, Attn: NPODS.

5.1.1 The first consideration should be whether a requirement recommended by government participants is valid and adds value to the standard. If it does not meet these criteria, whether it should be a government supplemental requirement is a moot point.

5.1.2 Assuming that the recommended requirement is valid and meets a need, the technical committee must determine whether:

5.1.2.1 The requirement is applicable for general use and should be included in the standard for all users.

5.1.2.2 The requirement is applicable for segments of industry and government that require more demanding operational capabilities or use in special applications and should be included as a separate classification, on a “when specified” basis, or as a separate section in the standard, but not designated a government supplementary requirement.

5.1.2.3 The requirement is unique or generally unique to the government, but can be met by a commercial product or process and should be included as a government supplementary requirement.

5.1.2.4 The requirement is unique or generally unique to the government, but can be met by a commercial product; however, the technical committee does not believe it to be in the best interest of developing a “world class” standard to include the requirement. In this case, the government can still adopt and use the ASTM standard as a baseline document, and it can include commercial supplementary requirements in a government-prepared commercial item description. This approach is not as desirable as including government supplementary requirements directly in the ASTM standard since it requires the development and maintenance of an additional document to be used in procurement.

5.1.2.5 The requirement is unique to the government and can be met only by a product or process specifically made for the government that is without commercial equivalent. In these cases, a federal or military specification or standard needs to be developed by the government.

5.2 *Format*—Estimate the degree of detail needed, and select a format for stating the supplemental requirements. Some alternatives include the following:

5.2.1 Establish multiple types, grades, or classes.

5.2.2 Include government requirements in the body of the standard on a “when specified” basis.

5.2.3 Flag each special government requirement to indicate application only on government contracts.

5.2.4 Include all government requirements in an annex or in a special section.

5.2.5 Use a combination of the alternatives presented above.

5.3 *Content*—Generally, that which the ASTM Blue Book<sup>2</sup> (*Form and Style for ASTM Standards*) identifies as the types of requirements to be considered for standards is sufficient to meet the needs of government agencies. Given below is a list of requirements that most often may require government supplementary requirements, but it is not intended to be a complete list:

(1) Part numbering (the ASTM Blue Book addresses this in detail);

(2) Certification (the certification requirement in the ASTM Blue Book is usually adequate, but sometimes the government requires additional certification requirements);

(3) Documentation;

(4) Traceability;

(5) Industry-government classification cross-reference;

(6) Ordering information;

(7) Hazardous materials minimization and handling;

(8) Restrictions on the use of ozone depleting chemicals;

(9) Higher reliability;

(10) First article inspection;

(11) Qualification (the ASTM Blue Book addresses this in detail);

(12) Quality assurance provisions (Guide E 1267 gives guidance);

(13) Lot acceptance (see 5.3.1);

(14) Additional or special tests;

(15) Marking;

(16) Packaging (see 5.3.2); and

(17) Application guidance.

5.3.1 While the ASTM Blue Book allows the use of acceptable quality levels (AQLs) and limiting quality levels (LQLs) to determine lot acceptance, some government agencies are moving toward statistical process control, zero defect lot acceptance, or other techniques as alternatives. When applicable, technical committees should consider the need for AQLs, LQLs, or alternatives for general use, or the need for government supplementary requirements to determine lot acceptance.

5.3.2 Government packaging requirements can usually be addressed adequately by including the following statement: “Unless otherwise specified in the purchase order or contract, packaging shall be in accordance with Practice D 3951.”

5.3.3 When the goal is to replace an existing government specification or standard with an existing ASTM standard that is essentially similar in purpose and application, there is sometimes a tendency to compile a list of the different government requirements and include them as supplementary requirements. This approach should be avoided. Each requirement should be justified, evaluated, and, if valid, included in the standard based on the criteria given in 5.1.2.

## 6. Obtaining Government Participation

6.1 A key to government acceptance of any ASTM standard is early participation in the requirements development process.

6.2 Technical committees that desire government participation may find the SD-1, DoD Standardization Directory, to be a useful tool. Although it is a DoD publication, it contains the names, addresses, and telephone numbers for standardization contact offices in most of the federal agencies, as well as all of the standardization management activities within the DoD. Other useful tools for locating possible government participants are the agency directories that list their participants on non-government standards committees, as required by OMB Circular A-119.

6.3 For ASTM standards that have been adopted by one or more government agency, it is important to include the adopting agencies in all changes to the standard.

## 7. Keywords

requirements; supplementary requirements

7.1 government acquisition; government procurement; government requirements; procurement documents; procurement

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