



CBE BPR and Data Standardization Project

2.0 Award the Contract
3.0 Administer the Contract
Volume II, Binder 1 of 2

Final Report
Version 1.0

Note: This is a living document.
It will be updated periodically as new information becomes available.



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Introduction

Project Purpose

The purpose of the CBE BPR and Data Standardization Project is to bring efficiencies to the work of the Department of Commerce's procurement offices. The goal is to design common **requisition**, **contract award** and **contract administration** processes, standardize data, and leverage new technology (C.Request, CSTARS and ORSI interfaces with CFS) to achieve significant improvements in procurement work. Design goals include:

- Optimizing resources and assets by leveraging technology
- Adapting to changing business environments
- Promoting the timely delivery of high-quality products and services
- Ensuring compliance with acquisition statutes, regulations, and policies
- Allowing bureau flexibility when guidance is not specifically provided

Success is achieved when we have a common language supported by common data definitions, deliverables, and ways of working that will allow us to communicate and work more effectively with our customers and each other.

With the adoption of streamlined processes, standard data, and technology, the procurement offices will be able to:

- Build consistency across the acquisition community
- Conduct more consistent evaluations and make higher-quality decisions
- Maximize the ability to use technology
- Improve organizational effectiveness of the DOC acquisition system
- Strengthen the role of the business broker throughout the procurement process

Document Purpose

This document is the second of three volumes related to the BPR and Data Standardization project. A cross-bureau team developed these volumes during the BPR and Data Standardization workshops held April through June 2006. The three volumes are defined as:

- Volume I: Requisition process, "1.0 Create the Requisition" and C.Request data standards
- Volume II: Solicitation and Contract processes, "2.0 Award the Contract" and "3.0 Administer the Contract" and CSTARS data standards (Two binders)
- Volume III: A preliminary set of data requirements that can be used as input for the evaluation of Acquisition Planning support software tools.

Additional information on CSTARS can be found the Comprizon Suite user manual and end user training materials.



Participants

Workshop participants represented the bureaus impacted by the project as well as policy advisors. They included:

- Jerry Rorstrom-Lee, Program Manager
- Greg Coss, Alternate Program Manager

Commerce Acquisition Performance, Policy and Support

- Virna Evans

NOAA

- John Abbott (3.0 Administer the Contract Process Owner)
- Jan Dodi
- Jenista Featherstone
- Paula Frickey
- Pearlette Merriweather
- Pauline Jaffe
- Stephen Wills

Census

- Peter Sefton (2.0 Award the Contract Process Owner)
- Albert Kennedy
- Philip King

NIST

- Pat Grimes
- Debbie Turner
- Susan Brinkman

OS

- Dan Alexander (1.0 Create the Request Process Owner)
- Kim Fleming
- Crystal Davis
- Frank Krempa

Gary Hill of CACI also joined the team one afternoon to discuss selected data items.

Methodology

The CBE BPR and Data Standardization Project used a collaborative, consensus-based approach to define common business processes and data standards. Items that could not be agreed upon by the participants in workshops were documented as “open issues” and resolved through a well-defined issue management and escalation process.

The BPR and Data Standardization work is divided into major segments (Figures I.1 and I.2). Workshop series #1 covers “1.0 Create the Requisition”. Workshop Series #2 covers “2.0 Award the Contract” and “3.0 Administer the Contract”. In each workshop series, the following activities were completed:

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- A common process design and standardized data were developed through a 1-week workshop facilitated by the contractor, RWD Technologies.
- A “Results Document” was assembled by RWD and distributed to bureau representatives within 2 weeks after the workshop.
- In the bureaus, team members took 2 to 3 weeks to review the results with bureau management and gather feedback.
- After bureau review, the team reconvened for 2-4 follow-up workshop days to finalize the TO BE process design and data standards, propose performance metrics, identify TO BE vs. current operations gaps, and explore implementation best practices.
- The final “Report Document” volume was distributed within 2 weeks after the follow-up workshop days.

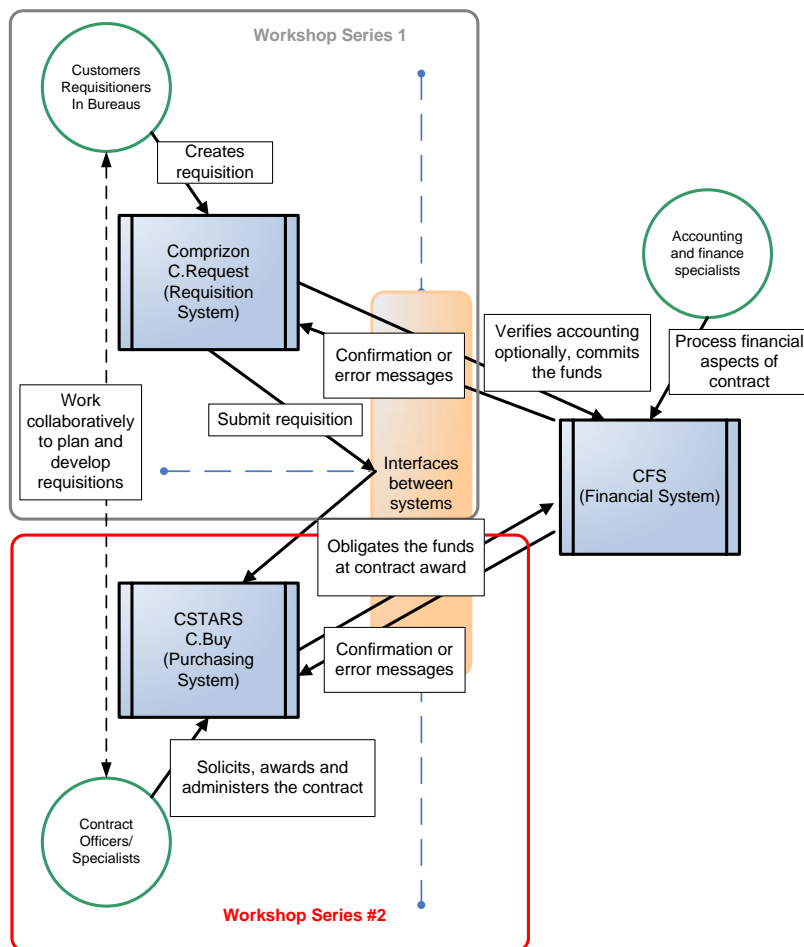


Figure I.1: CBE BPR and Data Standardization System Scope

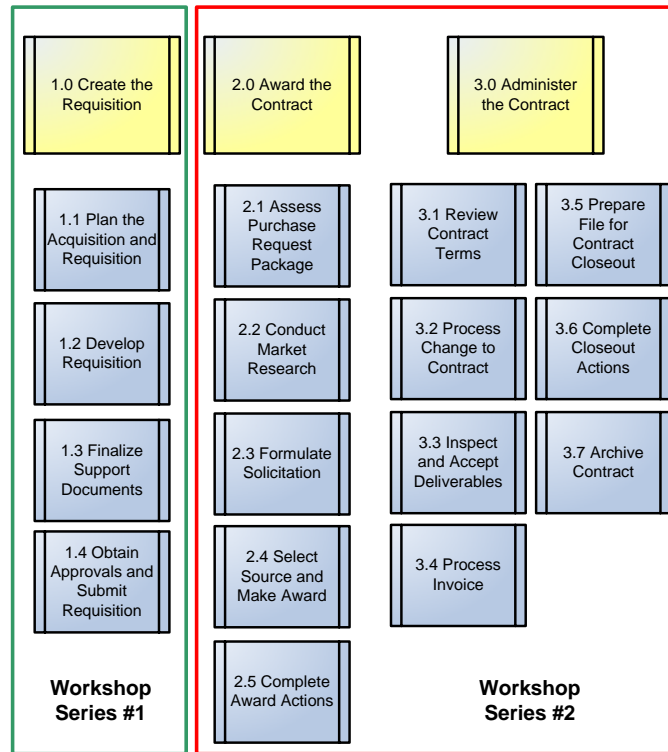


Figure I.2: Workshop Series Process Scope

Document Structure

The document consists of two binders. Binder 1 contains the following sections:

Section 1: Current Situation Overview

An analysis of current procurement processes across the bureaus revealed an AS IS environment that is highly inconsistent and fraught with processing differences. Section 1 summarizes the findings. The detailed AS IS analysis is found in Appendix A.

Section 2: TO BE Processes

This section opens with a description of the key innovations of the recommended common processes for “2.0 Award the Contract” and “3.0 Administer the Contract” that all bureaus should be able to implement. Special emphasis is given to the “Business Broker” role of Procurement staff throughout the procurement life cycle. The sub-processes are described in detail using process flows and narrative descriptions.

Section 3: Performance Metrics

This section documents proposed metrics to support continuous improvement efforts after go-live. To implement these metrics, reporting capabilities may need to be added to CSTARS. Other data collection mechanisms, e.g., survey capabilities, are also needed. If implemented, DOC must ensure that the data can be integrated into its “Balanced Scorecard.”

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Section 4: GAP Analysis

This section identifies each bureau's major differences in how requisition work is done today and how it will be done using the new common processes, standardized data, and CSTARs. Additionally, opportunities for improvement not specifically related to the processes were documented, along with "best practice" ideas for filling the gaps before October 16th.

Section 5: Data Dictionary

This section provides an introduction to the data dictionary.

Section 6: Issue Management

This section documents the issues raised during "2.0 Award the Contract" and "3.0 Administer the Contract" design and data standardization work. These issues are classified as process/policy, technical/systems, or data-related. Resolved issues are documented along with their resolutions. Outstanding issues are documented in a standard format.

Appendix A: AS IS Analysis

Appendix A contains the detailed AS IS analysis organized by bureau.

Binder 2 contains the Data Dictionary introduced in Section 5 of Binder 1.

Data Dictionary

The data dictionary defines user-affected CSTARs data elements, standard values where appropriate, and usage rules. This includes data that are passed via interfaces to CFS or FPDS-NG. There are over 450 data elements organized by screen that are documented within this binder.

Implementation Challenges

The implementation of common processes and standard data across the Department of Commerce may be somewhat enforced through the use of CSTARs and the bureaus have been using CSTARs for several years. However, CSTARs is a COTS system with a great deal of flexibility that inhibits automated enforcement and many people were never trained on CSTARs to fully utilize its capabilities or use capabilities in a consistent manner. Therefore, much of the common process implementation is the responsibility of DOC and bureau management, who will need to provide supportive policies, practices, and performance management through communications, training, and on-the-job support after go-live.

To ensure a successful implementation, it is important that department-wide and bureau-specific communications, policy and practices, end user training, performance aids, and super user strategies be developed and deployed prior to go-live to ensure implementation success.

In the post go-live environment, there should be continual management oversight and performance support for the common processes. Team Process Owners will work cross-organizationally with bureau leadership to reinforce the continued application of standard processes. These individuals are:

- Dan Alexander (1.0 Create the Requisition)
- Peter Sefton (2.0 Award the Contract)
- John Abbott (3.0 Administer the Contract)

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In the post go-live environment, these Process Owners have the responsibility to maintain cross-organization process consistency and quality by developing and implementing knowledge-sharing communities of practice around their respective processes. For example, a process owner periodically leads lessons learned meetings to develop process refinements or creates a community of practice to foster cross-bureau communications around process policies, practices, and system usage.

The more consistently the DOC procurement processing, systems, and data are applied across the bureaus, the easier it is for everyone in the Department of Commerce to support cross-serving and produce fast and effective requisition processing.

Next Steps

With the publication of this report, DOC bureau management can proceed with finalizing and delivering CSTARS training. They can also prepare their organizations for Oct. 16th by revising policies and practices, clarifying job roles, completing system installation and administrative set-ups (e.g., building user profiles), establishing a super user network, creating change advocates, and communicating changes within their organizations. Some contractor support will be available through the end of September to support these change management activities.



Section 1: AS IS Processes

To establish a baseline of the current award and contract administration processes, bureau representatives analyzed and documented the current activities used to execute the processes “2.0 Award a Contract” and “3.0 Administer the Contract” processes. The purpose of this activity was to draw out the best practices and opportunities for improvement within each bureau. This information provided a foundation for creating the TO BE common processes for all bureaus to adopt. Current best practices were taken into the TO BE designs, while current process obstacles and bottlenecks were eliminated where possible.

Using the NIST AS IS processes as a starting point, the project team compared it to the other bureaus’ current practices to document the similarities and differences from the NIST current approach. This detailed AS IS analysis is documented in Appendix A.

Similarities and Differences Highlights

The project team found much in common regarding the creation and processing of solicitations, awarding contracts and administering contracts, but consistency seems to be issues within and across bureaus was an issue. For example, everyone uses CSTARs, but they use it differently. NIST appears to be the only bureau that takes full advantage of the functionality. As a result, numerous opportunities for improvements and bureau best practices were identified. Highlights of the similarities and differences are documented in Table 1.1.

Table 1.1
 Bureau AS IS “2.0 Award the Contract” and “3.0 Administer the Contract”
 Similarities and Differences Highlights

Processing Situation	Census	NIST	NOAA	OS
Uses C.Request to forward the Purchase Request (PR) package to Procurement who receives it in CSTARs.	Uses CFS for review and approval routing. Reenters data into CSTARs for contracts.	Yes	Manual	Manual
Uses acquisition planning system to feed CSTARs.	No	No	Uses SAM system for Acquisition Planning, but must reenter data into CSTARs.	No
Consistently uses checklists	No	Yes	Yes	No

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Processing Situation	Census	NIST	NOAA	OS
Performs consistent PR package approval communications back to Requisitioners	No	Yes	No	No
Market research by program staff is validated and, in some cases, redone, especially with extended time delay between acquisition planning and PR package submission, or when sole source or limited vendors are requested.	Yes	Yes	Yes	Yes
Uses pre-solicitation conferences for larger procurements.	Yes	Yes	Yes	Yes
Working toward the Program Requisitioner is involved in the source list development. Development of the source list begins in process 1.1 Plan the Acquisition and Requisition.	Yes	Yes	Yes	Yes
Uses FedBizOpps.	Yes, plus FedBid	Yes, plus Fedbid	Yes, plus FedBid and E.Buy	Yes
Uses direct contact with vendors for an oral quote for contracts less than \$25K.	Yes	Yes	Yes	Yes
A&E and sealed bids (e.g., construction bids) have specialized procedures.	Yes	Yes	Yes	Yes
Uses CStars for both awarding the contract and administering the contract (e.g., modifications).	Yes, plus CAMS	Yes	Yes	Yes
Uses a consistent approach to response (e.g., proposal) analysis.	Yes	Yes	Yes	No
Follows a bureau common approach, sequence, and timing for performing activities such as: <ul style="list-style-type: none"> • Check “debarred” vendor list prior solicitation • Start of the contract file • Appoint of COR • Entry of FPDS-NG data • Contract file reviews • Contract storage management • Start-up of contracts with vendors (e.g., kick-off meeting) • Use of modifications for contracts (e.g., mod for change in CO) • Modification distribution post approval • Inspections and acceptance of deliverables • Tie payments to deliverable acceptance 	No	Yes	No	No

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Processing Situation	Census	NIST	NOAA	OS
<ul style="list-style-type: none"> • Ratifications • Contract closeouts 				
Uses automated support for contract file tracking.	No	No	Yes, File Trail system	No
Follows a common process for unsuccessful bidder debriefing meetings and protest resolution.	Yes	Yes	Yes	Yes
Invoices are consistently paid promptly.	No	No	No	No
Contract files are closed out and archived in a timely manner.	No	No	No	No



Section 2: TO BE Processes

Key Design Innovations

In designing the common “2.0 Award the Contract” and “3.0 Administer the Contract” processes, the team leveraged the best practices from each bureau and collaborated to develop a streamlined approach. The results are processes and data, which effectively achieve the goals of a common business process and standardized data, while leaving flexibility for bureau-specific customer needs. They clearly defined what should be common and what can be bureau-specific. The 2.0 process is linear at the high level as depicted in Figure 2.1. Non-linear, parallel processing occurs within the four sub-processes. The 3.0 process has breaks in processes due to time periods elapsing and specific needs for administering the contract properly as shown in Figure 2.2.

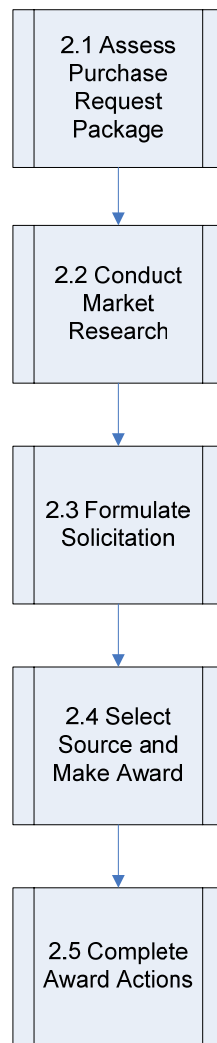


Figure 2.1: “2.0 Award the Contract” TO BE Process Flow

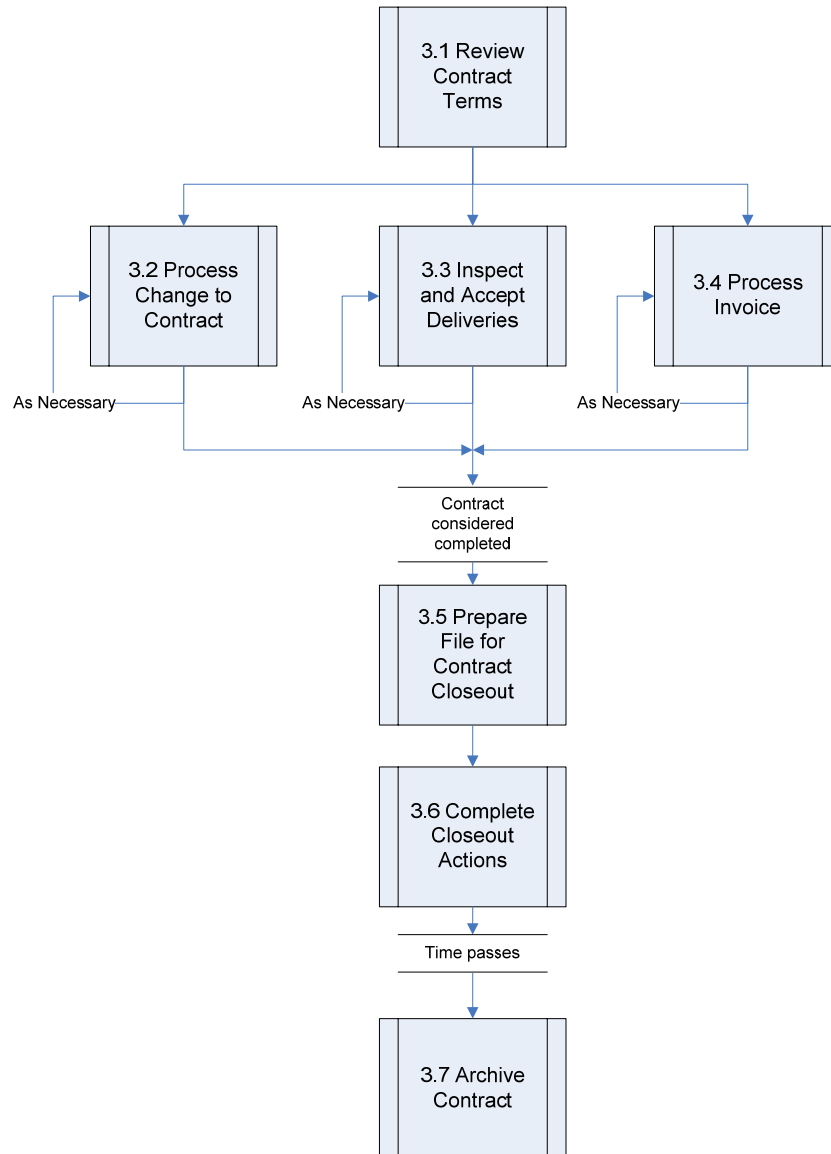


Figure 2.2: "3.0 Administer the Contract" TO BE Process Flow

The Business Broker Role

The Acquisition Team is formed early during the Requisition process ("1.0 Create the Requisition") and Procurement is a key team member. By forming the Acquisition Team early and keeping all team members involved—Requisitioner, Program Management, Budget, and Procurement—throughout the procurement life cycle, the Department of Commerce is moving toward a procurement environment where requisition documents are complete and accurate the first time. This eliminates rework and delays in the solicitation and award processes ("2.0 Award the Contract" and "3.0 Administer the Contract") and significantly increases the quality of all procurement documents. Forming the Acquisition Team early also provides for early identification of schedule deliverables and milestones.

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The Procurement role on the Acquisition is that of Business Broker. This Business Broker role significantly changes Procurement's relationship with its customer organizations, the Program Offices. As depicted in Figure 2.3, the traditional approach required customers to develop their requisitions independently. After submission, Procurement would then evaluate the requisition, which too often resulted in sending the requisition back to the Requisitioner in an "over-the-fence" manner for rework. This created Program Management and Requisitioner frustration, generated negative attitudes about Procurement's ability to be helpful, and caused significant process delays, especially in large procurement actions.

In the Business Broker environment, Procurement, as a member of the Acquisition Team from its inception, guides the team in the requirements definition and advises it on sourcing. Because of this, the team avoids mistakes, follows all necessary regulations, and considers all options for solicitations and contracting. Once the requisition is submitted to Procurement using C.Request, Procurement transitions from advisor to team leader.

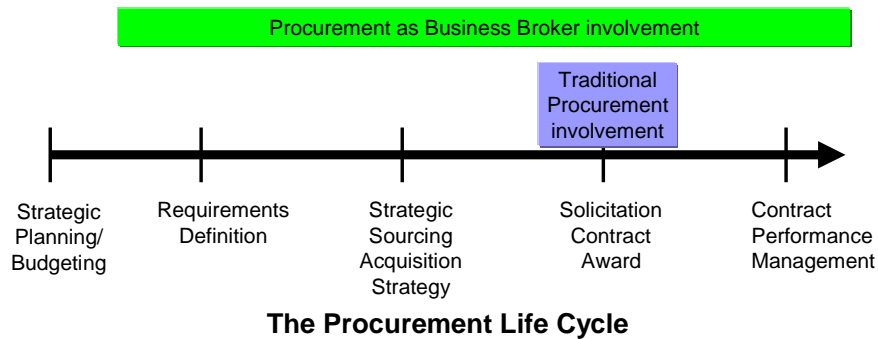


Figure 2.3 Business Broker vs. Traditional Procurement Life Cycle Involvement

Early Procurement involvement in informal market research during the requisition process does not eliminate formal market research. Procurement continues to conduct formal market research as part of solicitation development for three very important reasons that include:

- It is not uncommon for time lapses of two years or more to occur between acquisition planning and the actual solicitation. A marketplace can change dramatically within two years.
- FAR requires the consideration of small business set-asides, other special circumstances such as Service Disabled Veterans, and the need to ensure competitive access to government procurement opportunities.
- Contracting Officers are liable for ensuring that everything possible is done to allow all qualified vendors to compete on a solicitation.

Prior to solicitation development, the Acquisition Team may reach out to the marketplace for discussions and information-gathering. Market place businesses (vendors) are considered part of our Acquisition Community, but not members of an Acquisition Team. Once responses to a solicitation are received and evaluated, and a contract is awarded, the winning vendor, the Contractor, is added to the Acquisition Team membership for the life of the contract.



Receipt of the Procurement Request Package Electronically

Receiving the Procurement Request Package electronically through the ORSI interface from C.Request to CSTARTS improves request processing dramatically, especially for those bureaus with no requisition automation support in their current environments. Entering Requisition data into CSTARTS is eliminated, saving processing time and labor. Approvals can be checked and validated electronically. Supporting documents are clearly identified and accompany the request form instead of coming in as separate physical or electronic documents that can be misplaced, causing delays.

Use of Standard Meeting Agendas, Checklists and Performance Aids

Several bureaus have made great strides in quality assuring their contract award and administration process through the use of standardized meeting agendas, checklists and performance aids that document, in a user-friendly manner, FAR and other policy requirements. Bureaus upload these to their acquisition Web sites so everyone in the procurement process can access them. The BPR and Data Standardization team recommends that all bureaus do this.

Formal Contract Kick-off Event for Complex Contracts

Whether it is face-to-face or via conference call, the team strongly recommends a formal kick-off event for complex contracts which meet one or more of the following criteria:

- There are multiple tasks and people involved
- There are performance standards that must be met
- There is more than one deliverable during the performance period
- Schedule is critical
- The Contracting Officer has requested it

The purpose of the kick-off event is to bring the Contractor onto the Acquisition Team and to ensure that all team members have the same expectations and understanding regarding the terms and conditions of the contract. This is especially important for service contracts where good communications and common understanding among all parties involved is critical to timely contract completion, high-quality deliverables, and customer satisfaction. A formal document titled (Contract Work Plan), is recommended as the event outcome. This plan is a management tool, along with the contract, to guide contract execution.

Future Opportunity to Adopt NIST File Trail System

A continuing issue for most bureaus is the administrative nightmare of managing physical contract files and keeping track of their contents. The team recommends that the DOC explore the adoption of the NIST File Trail system. Its RFID tag and tracking system brings discipline to contract file management not possible in a manual environment. This should help both those bureaus that store active contract files centrally as well as those that store in multiple locations.



Consistent Electronic Document Routing for Review and Approvals

Although all bureaus currently use CSTARS, its capabilities are not fully utilized. CSTARS has capabilities to eliminate routing paper copies of solicitations, awards, and modifications and their physical distribution for review and approvals. Using such features can eliminate time delays, reinforce accountability for timely reviews, provided automated tracking of documents in process, and ensure that the right people review and approve documents.

Future Opportunity to Adopt Electronic Signatures for Awards

The DOC and its bureaus should work to eliminate paper copies of Solicitations and Awards as much as possible. Electronic signature software would assist in this evolution by allowing the CO to sign the award electronically in CSTARS. Any prints of the award would carry the signature. This would eliminate some of the copies of awards with original signatures.

Develop CSTARS Reporting to Enable Improved CO/CS Contract Management

Bureaus should have full advantage of CSTARS data to management contracts. NIST has report software on top of CSTARS that enables such reporting for the Procurement Office. Such capabilities should be available either through CSTARS directly or through add-on software in all bureaus.

Increased Focus on Systematic Contract Closeout and Archiving

New common processes utilizing CSTARS provide an opportunity for bureaus to assess how they can streamline and improve discipline in these two areas.

Cross Bureau Procurement Office Best Practice Sharing

Although bureaus often differ in the kinds of products and services they purchase, they should eventually share common processes for conducting Solicitation and Contract administration work. Contracting Specialist (CS) and Contracting Officer (CO) representatives from DOC bureaus should meet periodically to share best practices and make recommendations for common process enhancements. Led by the BPR and Data Standardization Process Owners, these best practice reviews can ensure that DOC Procurement practices continue to improve and become increasingly more consistent and reliable across bureaus.

The Role of Bureau Management to Enforce Common Process Execution

The CSTARS system takes a step forward in requiring common data from all bureaus for managing the procurement life cycle from requisition through contract closeout. However, the system does not automatically enforce standardization through many screen fields with automated edits, nor does it support tickler and alerts to ensure certain actions take place based on dates, etc. These common processes and their proper execution can be accomplished only through the discipline of bureau policies, practices, and performance management reinforcement.



TO BE Process Design Criteria

In designing new common processes for developing solicitations and making and administering awards, the team asked itself a series of questions. These questions helped to drive decisions when presented with alternatives. Whenever possible, they designed the process to the principles reflected in these questions.

- Will this build quality in from the beginning?
 - Are we involving people early in the process so downstream errors are avoided?
 - Does this eliminate throwing documents “over the wall,” removing the us vs. them situation?
 - Are we building in “interim” checks to avoid end-of-production rework?
 - Are we entering data into a system when it is available, not when needed downstream?
- Will this avoid multi-step/cycle reviews and checks?
 - Are we investing decision-making authority “empowerment” as close to the front line as possible?
 - Are we making authority and accountability known and clear?
- Will this eliminate redundant work?
 - Are we reducing or eliminating double-keying of information into different systems?
- Will this allow us to work in parallel whenever possible (instead of linearly) to shorten processing time?
- Will this provide alternative paths to speed processing and reduce complexity?
- Are we using technology to improve our performance and ability to:
 - Remove bottlenecks?
 - Speed the process?
 - Increase outcome quality?

TO BE Process Definitions

To understand how the common processes “2.0 Award the Contract” and “3.0 Administer the Contract” will function, process flow diagrams and narrative documentation is provided. The process flow diagram for each sub-process displays the relationship of the sub-process steps, and identifies triggers to initiating work and the linkages to other sub-processes. The narrative documentation is formatted to describe each step with the following information:

- The outcomes produced
- The roles involved in executing the step
- Whether or not CSTARs is used in step processing
- Governing policies and practices
- Other systems that may be used in the step
- Bureau-specific processing requirements



To read the process flow diagrams, a legend is provided here. Each shape on the diagram has a specific meaning as depicted in Figure 2.4: Process Flow Legend.

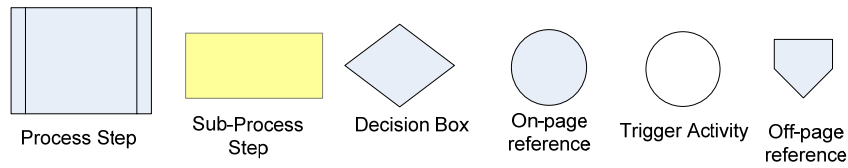
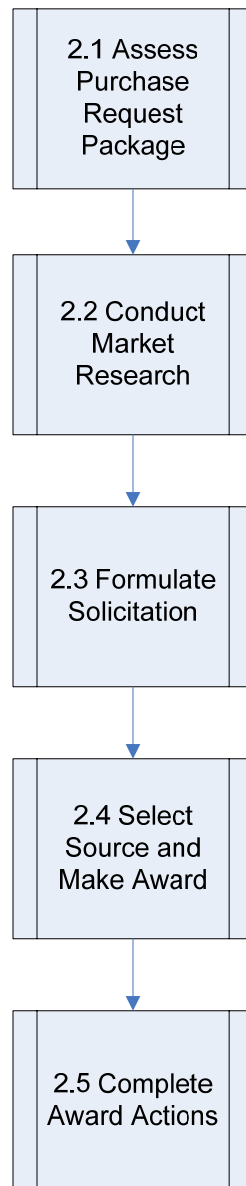


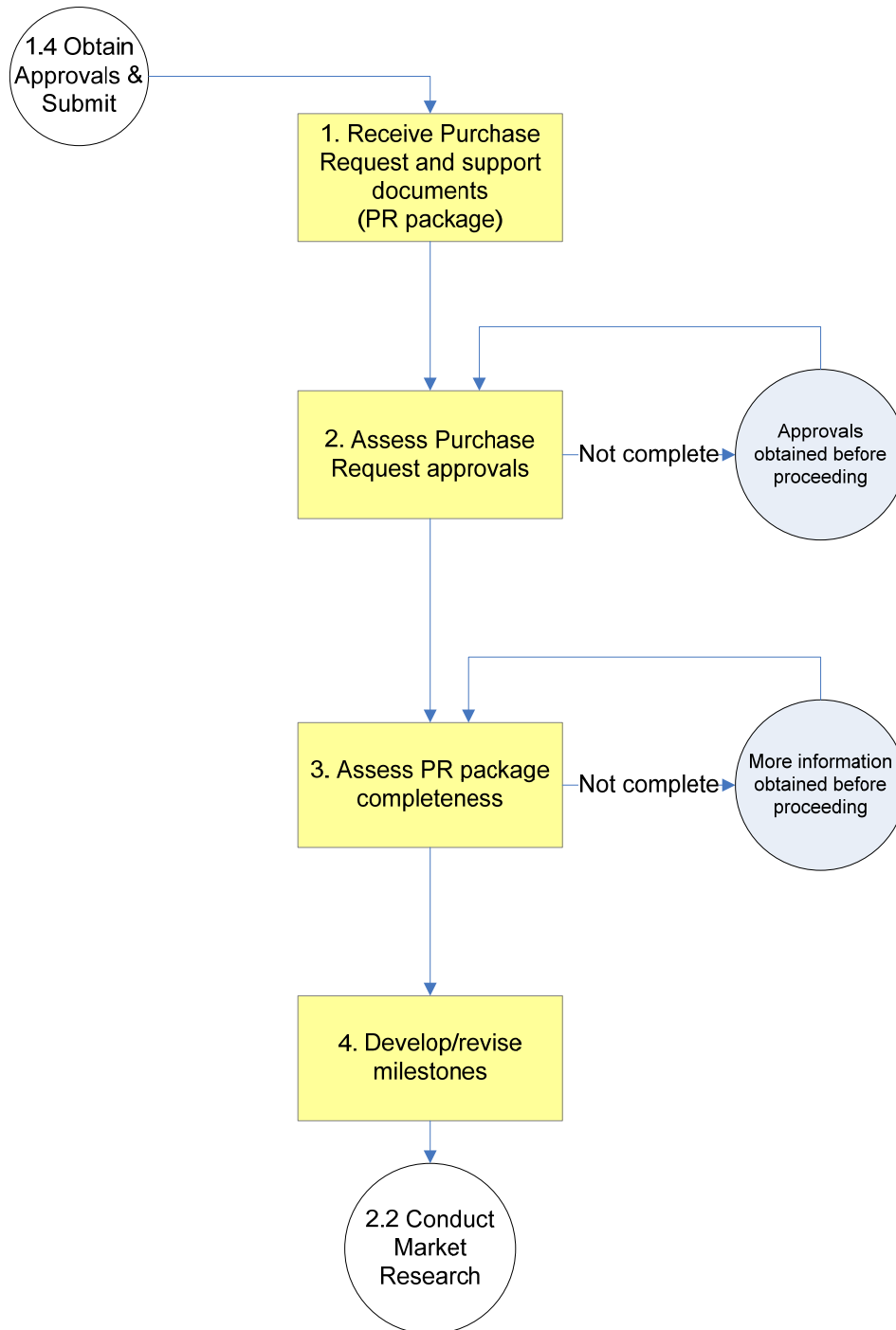
Figure 2.4: Process Flow Legend

2.0 AWARD THE CONTRACT





2.1 Assess Purchase Request Package





2.1 Assess Purchase Request Package

Sub-process steps	Outcomes produced	Who is involved?	Polices & practices to drive commonality & performance	CSTARS used?	Other systems?	Additional bureau specific reqs.
2.1.1 Receive Purchase Request and support documents (PR package)	Assigned PR	Program Requisitioner Procurement staff	All Requisitioners use C.Request to submit purchase requests Not all requisitions require support documents PR comes to supervisor. HCO or Team Lead assigns PR to a Contract Specialist/Contract Officer.	Yes	NOAA: SAM	NOAA: Update SAM for receipt of purchase request
2.1.2 Assess Purchase Request approvals	Approved PR with proper authorization	Program Requisitioner Procurement staff	FAR, CAR, Section 508 Must ensure routing list is appropriate and approvals are received. If approvals have not received, they must be obtained before proceeding.	No	No	NIST Checklists (e.g., 508, etc), Web page NOAA: Acquisition Handbook

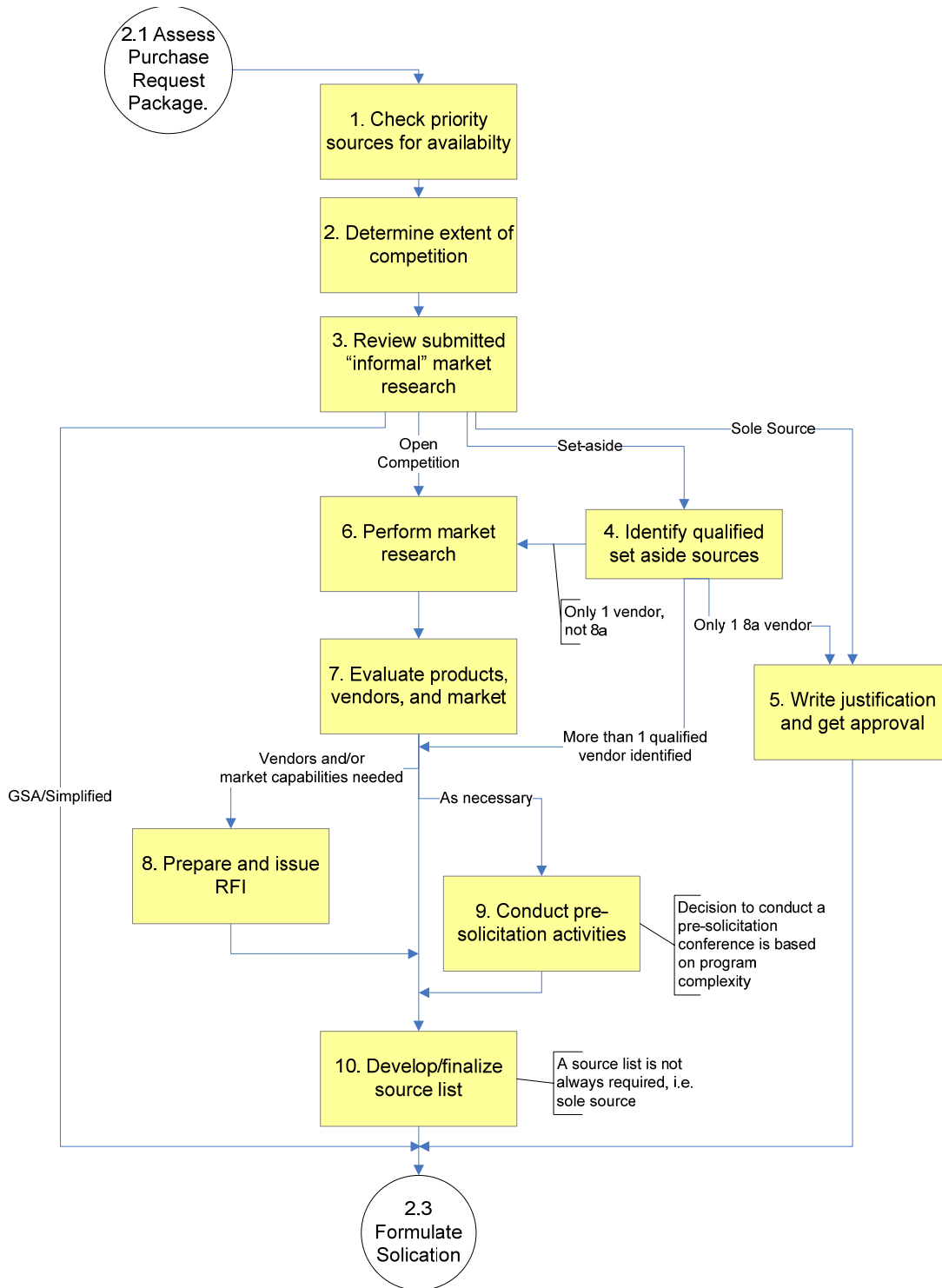
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 3.0 Administer the Contract



Sub-process steps	Outcomes produced	Who is involved?	Polices & practices to drive commonality & performance	CSTARS used?	Other systems?	Additional bureau specific reqs.
2.1.3 Assess PR package completeness	Assessed PR package Identified additional requirements and/or actions	Procurement staff	<p>Early contact with Requisitioner is always preferable.</p> <p>Maintain Requisitioner proficiency in C.Request through the availability of periodic training.</p> <p>Regularly outreach to customer community to promote best practices yielding improved package delivery from Requisitioners.</p> <p>There may be a need to contact Requisitioner and request clarification and additional documents. All appropriate information must be obtained before proceeding.</p> <p>Assigned Procurement staff is available through CSTARS.</p>	Yes	Requisitioners view assigned Procurement staff in C.Request.	
2.1.4 Develop / revise milestones	Completed Milestone Plan	Program Requisitioner Procurement staff	<p>Perform spend analysis on a regular basis to identify possible opportunities for establishing Indefinite Delivery Vehicles (IDVs) for commonly acquired goods and services.</p> <p>Add or change milestones based on assessment of purchase request and support documents.</p>	Note: CSTARS has an Acquisition Plan tool that can be used today.	No	NOAA uses Acquisition Action Models. NOAA combines requirements where possible based on data in SAM and on PRs received or planned.



2.2 Conduct Market Research





2.2 Conduct Market Research

Sub-process steps	Outcomes produced	Who is involved?	Polices & practices to drive commonality & performance	CSTAR S used?	Other systems ?	Additional bureau specific reqs.
2.2.1 Check priority sources for availability	List of sources	Procurement staff Small Business Specialist (OSDBU)	FAR 8, FAR 10, CAR Customers perform informal market research prior to submission of requisition. Requisitioner should do this (1.1 Plan Acquisition and Requisition) Use GSA Advantage, JWOD List, Google, UNICOR Lists; See FAR 8.002. Determine as soon as possible if recommended vendor is in CCR. Request its registration if not or request it renew its registration. Use CSTARS can be used to determine if recommended vendor is in CSTARS or jump to CCR to see if vendor is in CCR. Use CCR to identify vendor business size and possible additional vendors.	Yes	CCR	NIST AMD procedures (Web page), Administrative Manual, and checklists
2.2.2 Determine extent of competition Note: If not available from priority sources	List of sources	Procurement staff	FAR 8, FAR 10, CAR Search GSA e-Library and other federal Government Wide Acquisition Contracts (GWACs) for sources (All are CCR registered). Perform internet research to identify open market sources. Review CSTARS for any information relating to suggested or other identified vendors.	Yes	GSA e-Library Internet Search Engine	

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 2.0 Award the Contract
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Sub-process steps	Outcomes produced	Who is involved?	Polices & practices to drive commonality & performance	CSTARS used?	Other systems?	Additional bureau specific reqs.
2.2.3 Review submitted "informal" market research	Sourcing strategy decision (small business set-aside, sole source, GSA or open competition)	Procurement staff Small Business Specialist (OSDBU)	FAR, CAR, Small Business regulations Program Requisitioner owns market research. Review submitted market research against sources found in government identified in priority sources. Any acquisition less than \$100,000 is automatically a small business set-aside.	No	No	
2.2.4 Identify set-aside qualified sources	List of qualified small business sources	Procurement staff Small Business Specialist (OSDBU)	FAR, CAR Use this process only if small business set-aside. Focus is socio-economic.	Yes	SBA CCR VA Biz FedBizOpps	
2.2.5 Write justification and get approval	Small Business Set-aside (CD 570) and/or Sole source justification (CD 492)	Procurement staff	FAR, CAR If sole source or if only 1 8a vendor is found, use this process. If no set-aside source is found or if sole source, prepare CD570 if not using a set-aside source.	No	DOC homepage for CD forms	

CBE BPR and Data Standardization
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Sub-process steps	Outcomes produced	Who is involved?	Policies & practices to drive commonality & performance	CSTARS used?	Other systems?	Additional bureau specific reqs.
2.2.6 Perform market research	Potential vendors	Procurement staff	FAR, CAR	No	CCR FedBizOpps GSA Schedules GWAC JWOD DOC resources (including bureau/DOC-wide contracts, e.g., BPAs, COMMITS)	Census: NAICS lookup
2.2.7 Evaluate products, vendors, and market	List of qualified vendors	Procurement staff	FAR, CAR	No	No	
2.2.8 Prepare and issue RFI (As necessary)	Maximized source list of vendors capable of meeting requirements, Understanding of market capabilities	Procurement staff Program Requisitioner Vendors Small Business Specialist (OSDBU)	RFI posted on FedBizOpps or Federal Supply Schedule Obtain program evaluation criteria from Program Requisitioners A&E process is different. SF 330 is published to marketplace to identify qualified resources.	Yes	FedBizOpps or Federal Supply Schedule	

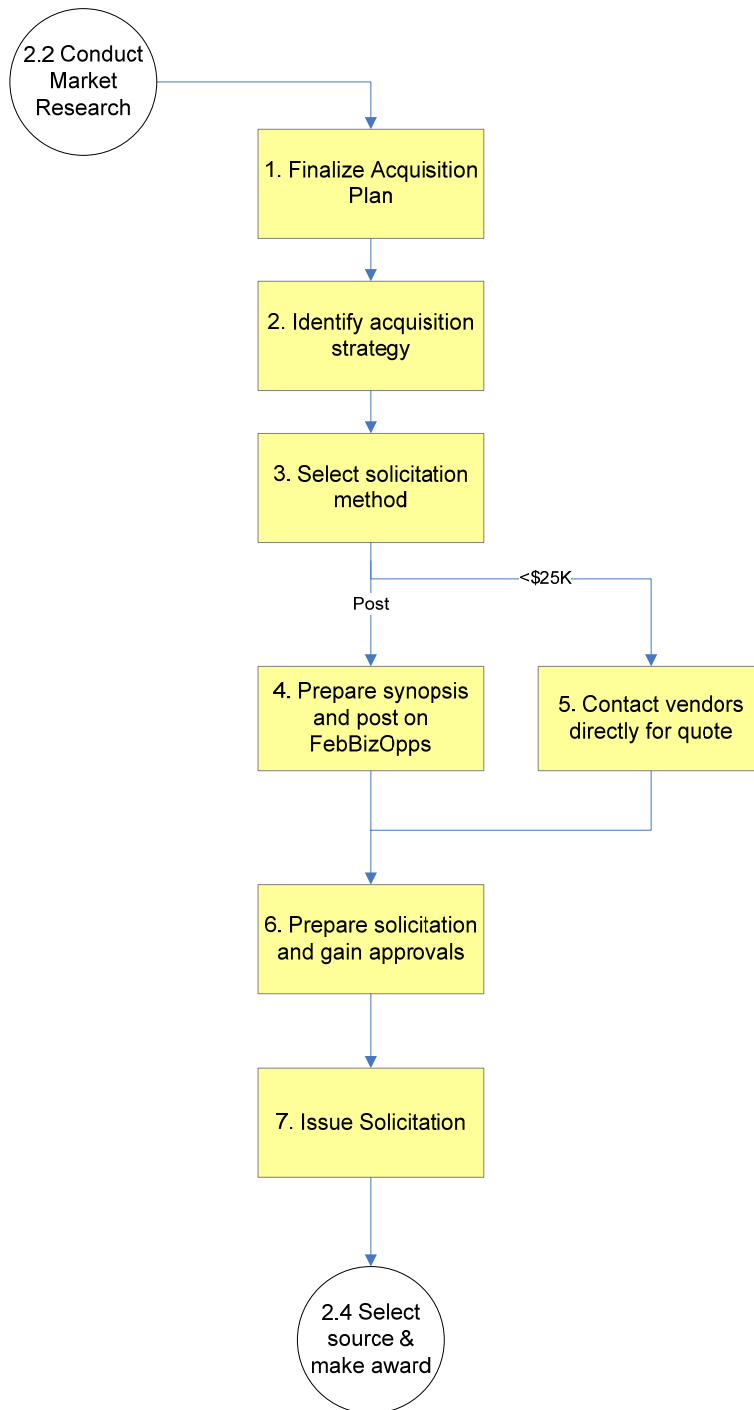
CBE BPR and Data Standardization
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Sub-process steps	Outcomes produced	Who is involved?	Polices & practices to drive commonality & performance	CSTARS used?	Other systems?	Additional bureau specific reqs.
2.2.9 Conduct pre-solicitation activities	Sources capable of meeting requirements.	Procurement staff Program Requisitioner Vendors Small Business Specialist (OSDBU)	RFI is posted on FedBizOpps or Federal Supply Schedule. Obtain program evaluation criteria from Program Requisitioners. May include email/letter questions and answers with vendors. As necessary, use conferences, email letters, and on-site visits.	Yes	FedBizOpps or Federal Supply Schedule	
2.2.10 Develop source list	Source list	Procurement staff Program Requisitioner	The Requisitioner should provide the original list as an outcome of 1.1 Plan the Acquisition and Requisition. Procurement staff identifies additional vendors for list or exclusions to list. List may contain only one vendor for acquisitions under \$25,000, GSA, or 8A direct award and other special circumstances.)	Yes	No	



2.3 Formulate Solicitation





2.3 Formulate solicitation

Note: A&E and Sealed Bid Solicitations have slightly different processes such as a pre-solicitation 15-day period, blanket purchase agreements, SBIR, and the like.

Sub-process steps	Outcomes produced	Who is involved?	Policies & practices to drive commonality & performance	CSTARS used?	Other systems?	Additional bureau specific reqs.
2.3.1 Finalize Acquisition Plan	Finalized milestones	Procurement staff Program Requisitioner Legal and DOC for solicitations over \$5 million	FAR, CAR, DAO If Solicitation is over \$100,000, a Source Selection Plan is required. Acquisition strategy is best identified as soon as possible following identification of requirement (See 1.1 Plan the Acquisition and Requisition) Milestones should reflect market research findings that can be documented in CSTARS Acquisition Planning tool. Validate plan with Program Requisitioner before proceeding.	Yes	Excel Word	NIST AMD procedures (Web page), Administrative Manual, checklists NOAA: In SAM, revise milestones if appropriate. NOAA Acquisition Handbook and Type of acquisition action models also used.

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Sub-process steps	Outcomes produced	Who is involved?	Polices & practices to drive commonality & performance	CSTARS used?	Other systems?	Additional bureau specific reqs.
2.3.2 Identify acquisition strategy	<p>Acquisition strategy</p> <p>Updated SOW</p> <p>Technical evaluation criteria</p> <p>Evaluation teams</p> <p>Approved sole source justification is included if completed in 2.2.5</p>	<p>Procurement staff</p> <p>Program Requisitioner</p> <p>Legal and DOC for solicitations over \$5 million</p>	<p>FAR, CAR, CAR, DAO</p>	No	No	<p>NOAA: In SAM, revise milestones if appropriate</p> <p>NOAA Acquisition Handbook and Type of acquisition action models are used in developing strategy.</p>
2.3.3 Select solicitation method	<p>Solicitation method finalized</p>	<p>Procurement staff</p> <p>Small business specialist (OSDBU)</p>	<p>FAR, CAR</p> <p>This process includes determining the level of competition needed. Types:</p> <ul style="list-style-type: none"> • Simplified • Full & open competition • GSA • GWAE • Commits • Sole source, etc. <p>Use RFQ or RFP as appropriate.</p>	No	No	<p>NIST AMD procedures (Web page), checklists are used.</p> <p>NOAA Acquisition Handbook and Type of acquisition action models are used.</p>

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Sub-process steps	Outcomes produced	Who is involved?	Polices & practices to drive commonality & performance	CSTARS used?	Other systems?	Additional bureau specific reqs.
2.3.4 Prepare synopsis and post on FedBizOpps Note: Post to IBOP (COMMITTS program) as required.	Published Solicitation	Procurement staff Program Requisitioner Legal	FAR, CAR Legal involved for Solicitations over \$100K sole source or \$250K competitive.	Yes	FedBizOpps FedTeDs Federal Supply schedule Government-wide Acquisition Contract (GWAC)	NIST AMD procedures (Web page), Administrative Manual, checklists are used. NOAA Acquisition Handbook and Type of acquisition action models are used.
2.3.5 Contact vendor directly for quote	Vendor quotes Documented call or email results	Procurement staff Vendors	FAR, CAR Only under \$25,000 Requesting quote via email is best since email provides a record of the quote. A call to vendor may be useful to notify regarding emailed request.	No	Telephone Email Fax	NIST AMD procedures (Web page), checklists are used. NOAA Acquisition Handbook and Type of acquisition action models are used.

CBE BPR and Data Standardization

2.0 Award the Contract

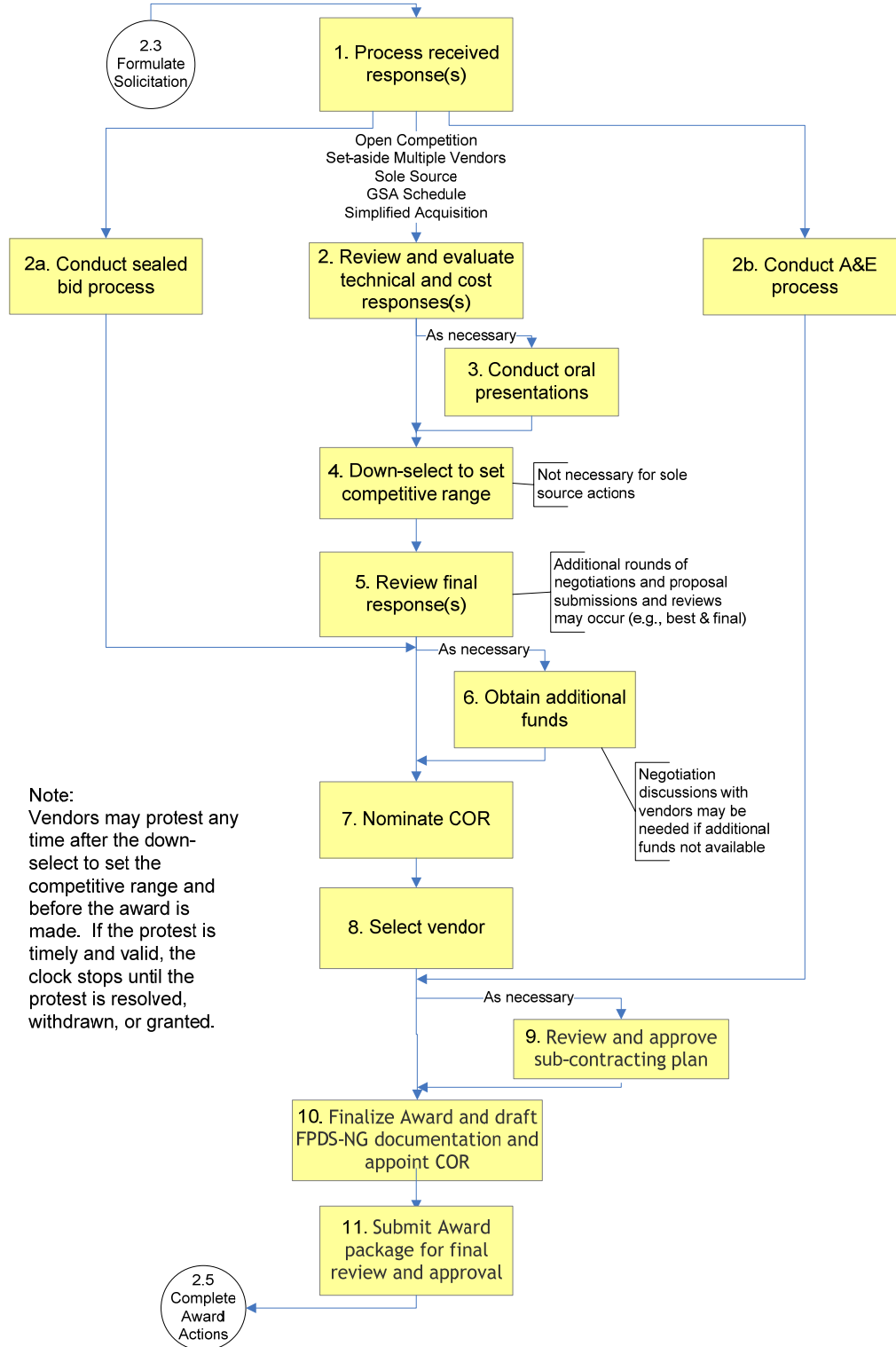
3.0 Administer the Contract



Sub-process steps	Outcomes produced	Who is involved?	Polices & practices to drive commonality & performance	CSTARS used?	Other systems?	Additional bureau specific reqs.
2.3.6 Prepare solicitation and gain approvals	Draft Solicitation Approved Solicitation	Procurement staff Legal	FAR, CAR Send to legal review if: <ul style="list-style-type: none"> • Over \$100,00 sole source, but on GSA or 8a • Over \$250,000 • Over \$25,000 and not GSA or 8a 	Yes	No	NIST AMD procedures (Web page), checklists are used. NOAA Acquisition Handbook and Type of acquisition action models are used.
2.3.7 Issue Solicitation	Solicitation distributed to vendors in an appropriate manner	Procurement staff	FAR Parts 5, 8, 12 - 15, 19, 36.	Yes	FedBizOpps Fed Bid Email Regular mail Fax GSA Advantage /GSA e-Buy	



2.4 Award the Contract





2.4. Select Source and Make Award

Note: Architecture & Engineering (A&E) and Sealed Bid solicitations have slightly different processes for evaluating responses. These processes are named, but details of those processes are not documented. For example, for sealed bids, there is a public bid opening. Bids are read and the apparent low bidder is announced and reviewed for responsiveness and responsibility.

Vendors may protest any time after the down-select to set the Competitive Range and before the award is made. If the protest is timely and valid, the clock stops until the protest is resolved, withdrawn or granted.

Sub-process steps	Outcomes produced	Who is involved?	Polices & practices to drive commonality & performance	CSTARS used?	Other systems?	Additional bureau specific reqs.
2.4.1 Process received responses Note: Responses may be proposals, bids, quotes, or auction results.	Pool of responses to evaluate	Procurement staff Source Selection Team	FAR, CAR This sub-process includes: <ul style="list-style-type: none"> • Receive responses. • Review for compliance with solicitation, RFQ/RFP. • Prepare sources selection memo. • Send technical proposals to evaluation team. • Send cost proposals to cost team. 	Yes	Excel Word	
2.4.2 Review and evaluate technical and cost responses	Evaluated responses	Procurement staff or Source Selection Team	FAR, CAR Perform technical (if required) and cost and/or price analysis. Evaluations are conducted using previously established criteria.	No	No	

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Sub-process steps	Outcomes produced	Who is involved?	Polices & practices to drive commonality & performance	CSTARS used?	Other systems?	Additional bureau specific reqs.
2.4.2a Conduct sealed bid process	Responsive, responsible low bid selected	Acquisition Team	IAW FAR Part 14	No	No	
2.4.2b Conduct A&E process	Vendor offered contract and accepts	Acquisition Team	FAR	No	No	
2.4.3 Conduct oral presentations	Clarified responses	Procurement staff or Acquisition Team	FAR, CAR This sub-process is used when team needs clarifications of vendor response.	No	No	
2.4.4 Down-select to set competitive range	Smaller pool of qualified vendors	Procurement staff Source Selection Team	FAR, CAR This process is not needed for sole source solicitations or when there are few responders.	No	No	
2.4.5 Review final responses	Best Value identified Source selection document	Procurement staff Source Selection Team	FAR, CAR Additional rounds of negotiations and proposal submissions and reviews may occur (e.g., best and final).	No	No	
2.4.6 Obtain additional funds	Necessary funding obtained	Procurement staff Program staff Budget	FAR, CAR, Internal Bureau Policies This process is completed as needed. If additional funds cannot be obtained, the Solicitation can be stopped, re-negotiated or re-solicited.	Yes	CBS	

CBE BPR and Data Standardization

2.0 Award the Contract

3.0 Administer the Contract



Sub-process steps	Outcomes produced	Who is involved?	Polices & practices to drive commonality & performance	CSTARS used?	Other systems?	Additional bureau specific reqs.
2.4.7. Nominate COR	COR is identified.	Program Office	FAR, CAR, CAM It is recommended that the nominated COR participate in the selection of the vendor.	Yes	Workforce Acquisition Database (WAD)	NIST COR database
2.4.8 Select vendor	Selected Best Value to Government	Acquisition Team	FAR, CAR Verify vendor is: <ul style="list-style-type: none"> Fair, reasonable and technically acceptable Not debarred or suspended Financially responsible. 	Yes	CCR Excluded Parties List System (EPLS) Dun and Bradstreet	
2.4.9 Review and approve sub-contracting plan	Approved sub-contracting plan	Procurement staff Vendor OSDBU	FAR, CAR, CAM This process is used only as necessary.	No	Electronic Subcontracting Reporting System (eSRS)	
2.4.10 Finalize Award documentation and appoint COR	Award Package ready for review: COR Appointment Letter File Folder Pre and Post Negotiation Documents	Procurement staff	FAR, CAR, CAM, Internal Bureau Policies	Yes	NIST File Trail NIST COR Database	

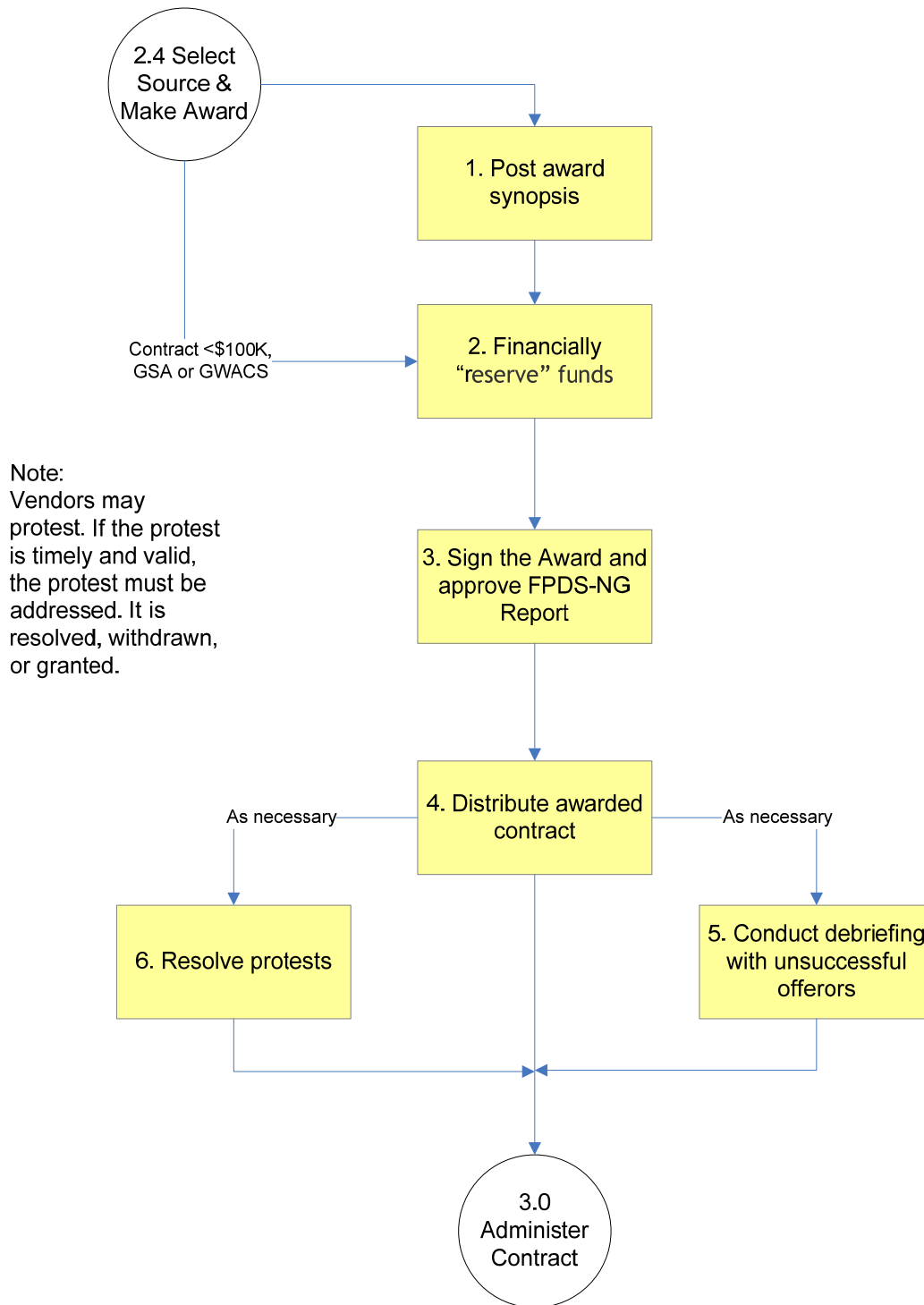
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Sub-process steps	Outcomes produced	Who is involved?	Policies & practices to drive commonality & performance	CSTARS used?	Other systems?	Additional bureau specific reqs.
2.4.11 Submit Award package for final review and approval	Approved Award package	Legal CO Head of Contracting Agency (HCA) Bureau Procurement Official (HCO) As needed: Procurement Executive Contract Review Board	CAM Office of General Counsel	Yes	email	



2.5 Complete Award Actions





2.5 Complete Award Actions

Sub-process steps	Outcomes produced	Who is involved?	Polices & practices to drive commonality & performance	CSTARS used?	Other systems?	Additional bureau specific reqs.
2.5.1 Post award synopsis	Synopsis posted on FedBizOpps Letter sent to unsuccessful bidders.	Procurement staff	CAR, FAR Step not performed if contract under \$100K, is GSA or GWACS.	No	FedBizOpps GSA E.Buy	Census: Generally calls unsuccessful bidders. NOAA: Acquisition Handbook
2.5.2 Financially "reserve" funds Note: This is not the formal award which happens when the contract signed	Approved CFS obligation status	CO	CSTARS User Manual (Obligate function) CBS procedures are used for legacy contracts and credit card purchases. These are not obligated through CSTARS as they are pre-CSTARS awards.	Yes	CBS (CFS) FPDS-NG	NIST obligates all awards in a central reconciliation office.
2.5.3 Sign the Award	Signed Award document (physical) Award data in CSTARS validated Locked data is CSTARS	CO	Once data is "locked", award data can only be changed through a modification. Once signed, the reservation becomes an obligation.	Yes	Opportunity for third-party digital certificate vendor.	

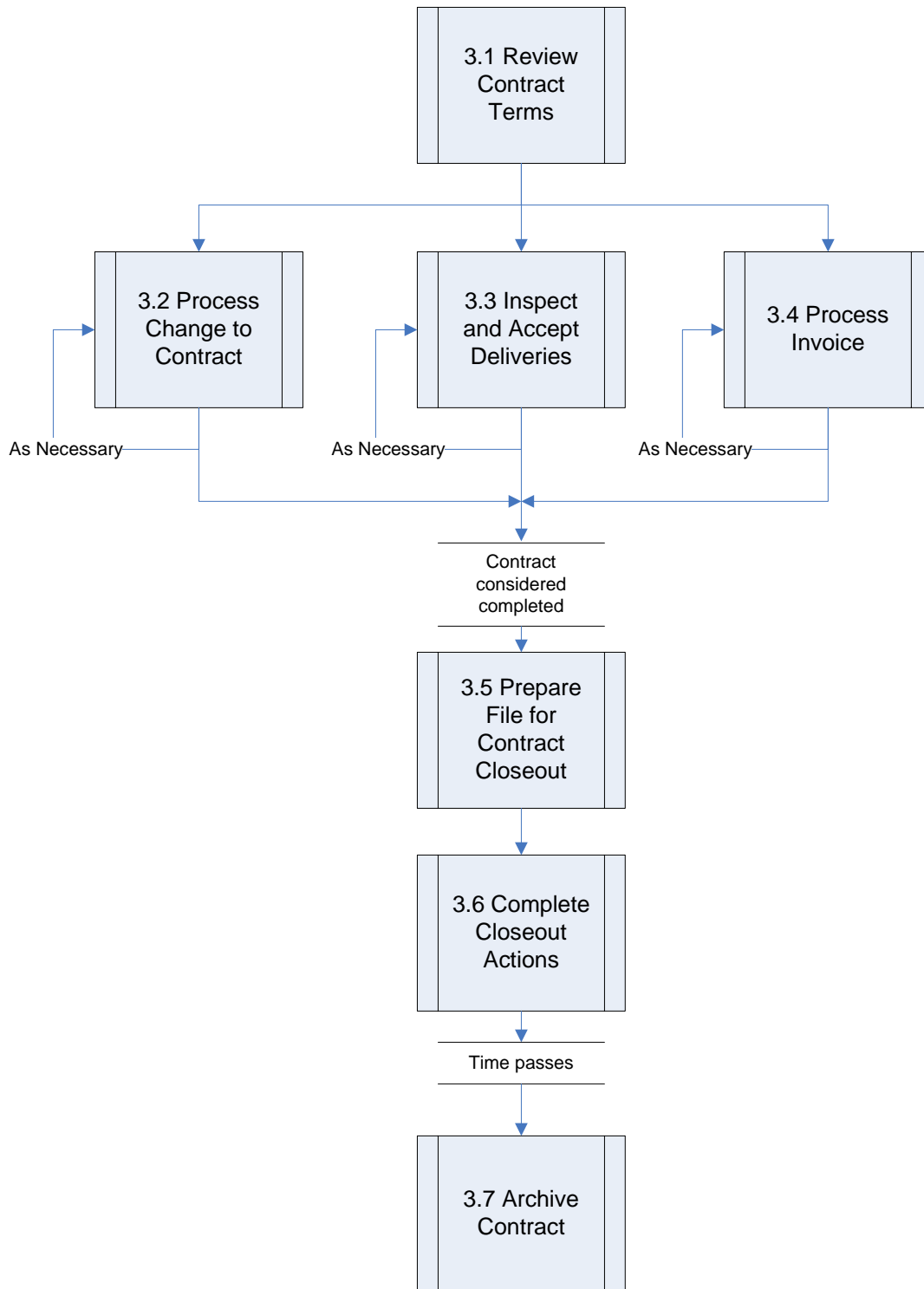
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Sub-process steps	Outcomes produced	Who is involved?	Polices & practices to drive commonality & performance	CSTARS used?	Other systems?	Additional bureau specific reqs.
2.5.4 Distribute contract	Electronic and/or Print copies to: Vendor Requisitioner COR Administrative Officer in operating units Property Finance for non-interfaced Others as defined by bureaus.	Procurement staff, Procurement clerks	FAR, CAR	No	No	Bureau Internal Policies
2.5.5 Conduct debriefing with unsuccessful offerors	Offeror feedback received.	Procurement staff Vendors Program Staff	FAR, CAR This step is optional. Can be done for large, complex solicitations where vendors request feedback.	No	No	Bureau Internal Policies
2.5.6 Resolve protests	Protests resolved, withdrawn, or granted.	Procurement staff Program Office Vendors Contract Appeals Board Legal	FAR, CAR, USC Vendors may protest. If the protest is timely and valid, the protest must be addressed. It is resolved, withdrawn or granted. This step is not needed if there are no protests.	No	No	Bureau Internal Policies

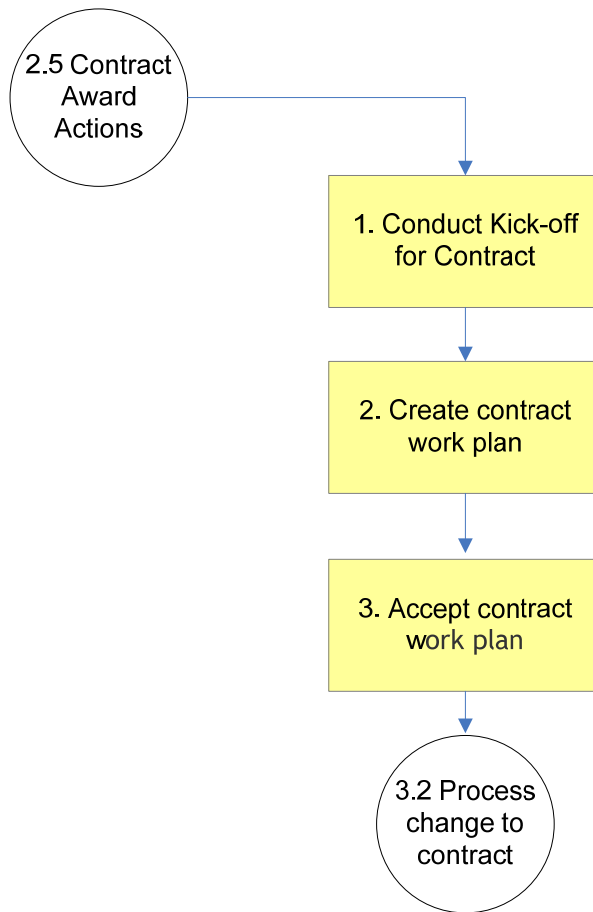


3.0 ADMINISTER THE CONTRACT





3.1 Review Contract Terms





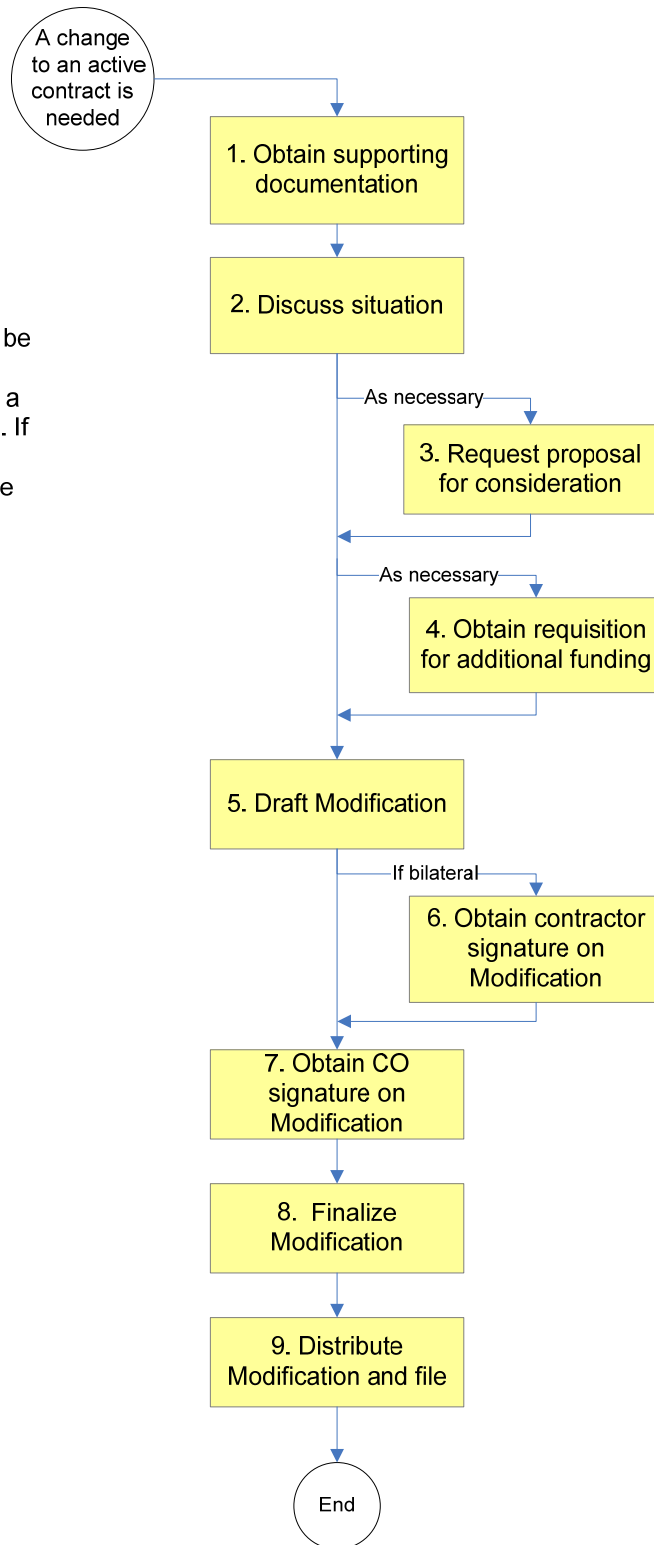
3.1 Review Contract Terms

Sub-process steps	Outcomes produced	Who is involved?	Polices & practices to drive commonality & performance	CSTARS used?	Other systems?	Additional bureau specific reqs.
3.1.1 Conduct Kick-off for contract	Roles & responsibilities Deliverables Schedules Invoice procedures Incentives/ disincentives defined	Acquisition Team Note: Vendor is now a member of the Acquisition Team.	FAR 42.5, FAR 1.102 The purpose of this process is to get everyone together -to clearly understand what is in the contract. A formal kick-off event is recommended for complex contracts that meet one or more of the following criteria: <ul style="list-style-type: none"> • There are multiple tasks and people involved. • There are performance standards that must be met. • There is more than one deliverable during the performance period. • Schedule is critical. • The Contracting Officer has requested it. Create and use a checklist for the kick-off. Conference calls are a good substitute for face-to-face meetings. Use checklist regardless of complexity to improve contract performance.	No	No	
3.1.2 Create contract Work Plan	Agreed to Work Plan (electronic or hard copy)	COR Vendor CS/CO (optional)	FAR 42.503-3 Draft work plan is originally in the Statement of Work. It may be adjusted based on discussions in this step.	No	Word, Excel, MS Project	
3.1.3 Accept contract Work Plan	Accepted contract Work Plan	COR Vendor CS/CO (optional)	Electronic or hard copy	No	Word, Excel, MS Project	



3.2 Process Change to Contract

Note:
A change may be a contract modification or a contract option. If option, special rules apply (see FAR 17.207)





3.2 Process Change to Contract

For options see FAR 17.207 for DOC policy and procedures. Special rules apply.

Sub-process steps	Outcomes produced	Who is involved?	Polices & practices to drive commonality & performance	CSTARS used?	Other systems?	Additional bureau specific reqs.
3.2.1 Obtain supporting documentation	Change request with sufficient documentation	Acquisition Team	Changes can be initiated by the COR, contractor or the CO. An initial requisition with an Independent Government Estimate (IGE) is needed.	Yes	Email Word Excel C.Request	CAR, CAM Bureau policy apply for documenting the changes
3.2.2 Discuss situation	Consensus understanding for change to the contract	Acquisition Team	FAR part 5 Obtain legal input early in the process as required by Bureau specific policy Post to FedBizOpps as required. Justification & Approval (J&A) as required FAR Part 6. Determination & Finding (D & F) as required as defined in FAR If GSA, there may need for a limited sources justification. (CD492) Review Board (ARB, OSITRB, or CITRB) requirements may apply depending on the dollar value.	No	Email Word Excel	OS: \$100K CFO review requirement
3.2.3 Request proposal for consideration	Proposal received	Acquisition Team	As necessary	Yes	Email Word Excel	

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Sub-process steps	Outcomes produced	Who is involved?	Polices & practices to drive commonality & performance	CSTARS used?	Other systems?	Additional bureau specific reqs.
3.2.4 Obtain Requisition for additional funding	Approved Requisition	Requisitioner CS/CO Budget Finance	As necessary. This step is not needed if contract funding is not affected by the change.	No	C.Request CFS	OS: \$100K CFO review requirement OS: Acquisition Waiver
3.2.5 Draft a Modification	Draft Modification	CS/CO Legal	FAR Legal review is required for a Mod over \$100k if it is not an option, \$2M if it is an option.	Yes	No	OS: \$100K CFO review requirement OS: Acquisition Waiver Note: Training issue around correct expiration date to be updated on modification when a contract extension is given with the exercise of options.
3.2.6 Obtain Contractor signature	Signed Modification	CS/CO Contractor	If bilateral. If unilateral, this step is not needed.	No	Word	
3.2.7 Obtain CO signature on Modification	Final Modification	CO		Yes	Word	OS: \$100K CFO review requirement OS: Acquisition Waiver

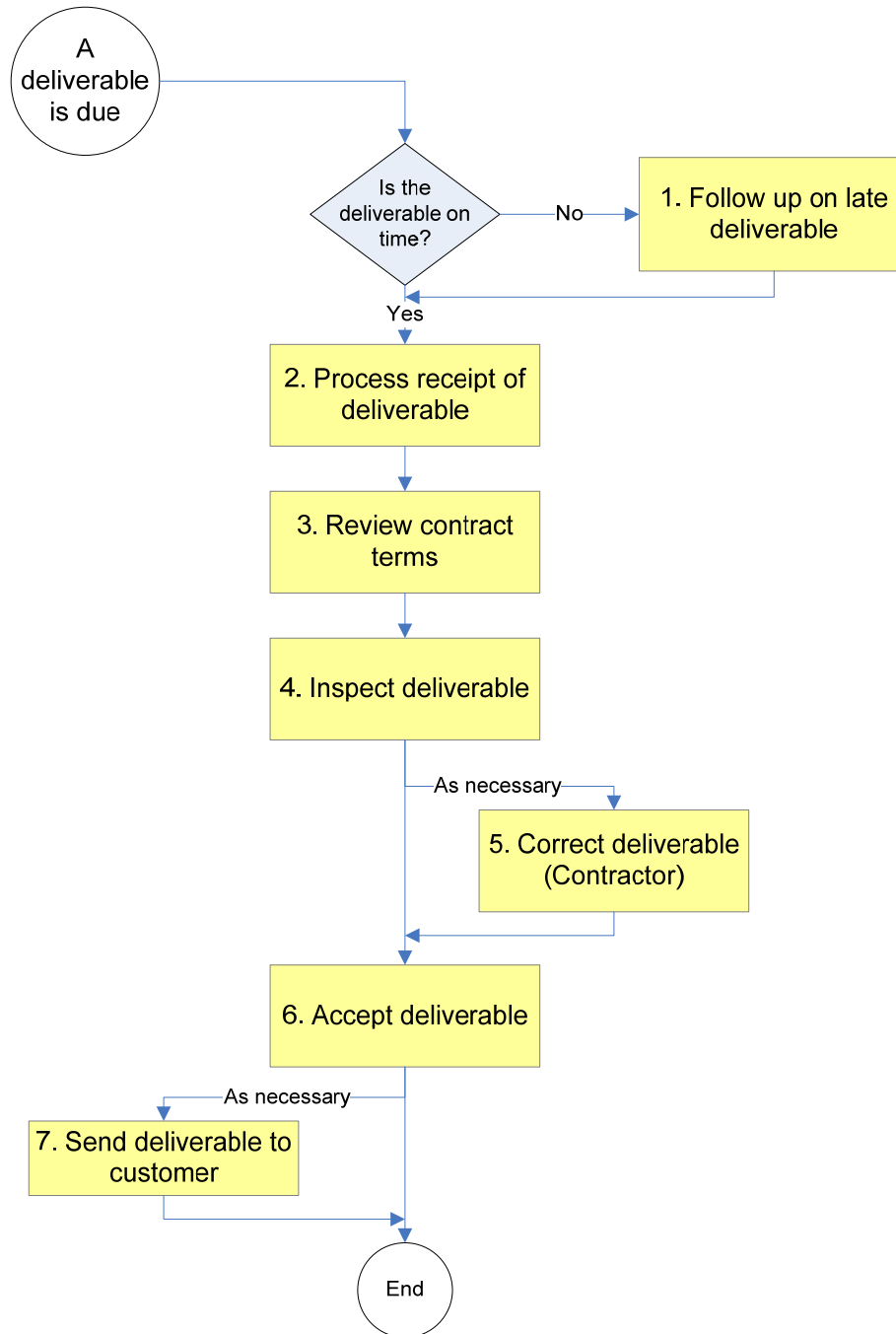
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Sub-process steps	Outcomes produced	Who is involved?	Polices & practices to drive commonality & performance	CSTARS used?	Other systems?	Additional bureau specific reqs.
3.2.8 Finalize Modification	Approved, Validated, FPDS-NG Finalized	CO Legal Head of Contracting Agency (HCA) Bureau Procurement Official (BPO/HCO) As needed: Procurement Executive Contract Review Board	CAM Office of General Counsel	Yes	FPDS-NG	OS: \$100K CFO review requirement OS: Acquisition Waiver
3.2.9 Distribute and file Modification	Distribution	Electronic and/or Print copies to: Vendor Requisitioner COR Administrative Officer in operating units Property Finance for non-interfaced		No	No	Bureaus may have established distribution lists



3.3 Inspect and Accept Deliverables





3.3 Inspect and Accept Deliverables

Sub-process steps	Outcomes produced	Who is involved?	Polices & practices to drive commonality & performance	CSTARS used?	Other systems?	Additional bureau specific reqs.
3.3.1 Follow-up on late deliverable Note: Due date passed, but no deliverable received	Deliverable expected delivery date Cure notice Formal show cause letter	Contractor CS/CO COR	FAR COR calls CO. CO contacts contractor to identify reasons for any delays. If delivery is not made, see FAR for non-performance for next steps. If persistent delay, cure notice is issued and then later a formal show cause is issued.	No	Property management Systems Excel	
3.3.2. Process receipt of deliverable	Deliverable received.	COR Shipping/ Receiving Property	FAR For goods received furnish property with documentation (e.g., packing list) to custodian for accountability. How deliverables are received depends on nature of deliverable.	Yes	CFS	Bureau specific policies.
3.3.3. Review contract terms	Understood contract terms for deliverables	CS/CO COR		Yes	No	
3.3.4. Inspect deliverable	Inspected deliverable	COR or person designated if not customer	FAR clauses incorporated in contract	No	No	
3.3.5. Correct deliverable	Corrected deliverable	Contractor	FAR clauses incorporated in contract If not accepted - return to contractor/vendor with explanation and expectations of corrective actions and/or consideration.	No	No	

CBE BPR and Data Standardization

2.0 Award the Contract

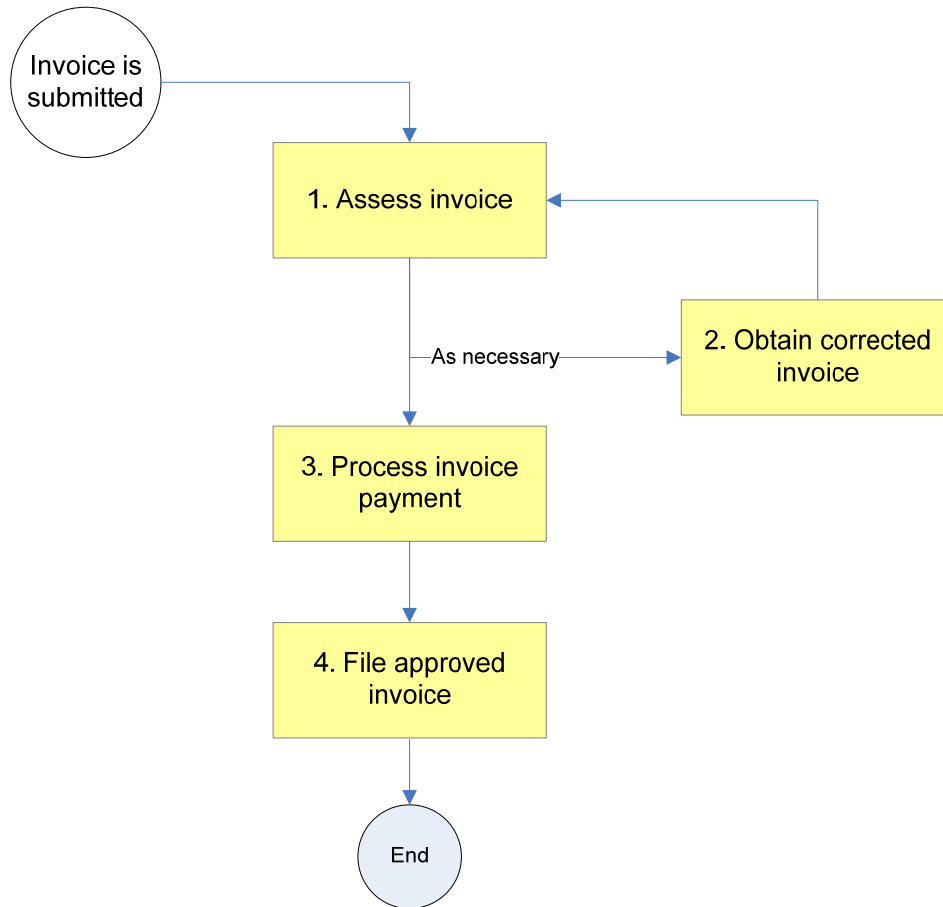
3.0 Administer the Contract



Sub-process steps	Outcomes produced	Who is involved?	Policies & practices to drive commonality & performance	CSTARS used?	Other systems?	Additional bureau specific reqs.
3.3.6 Accept deliverable	Accepted deliverable	COR or person designated if not customer	FAR 12.402 Commercial Items	No	No	Bureau policies regarding property mgt.
3.3.7 Send deliverable to customer	Deliverable in customer hands	Loading dock COR	This step only occurs if deliverable is at a loading dock/receiving location and/or requires testing or calibration by someone other than the customer.	Yes	No	



3.4 Process Invoice



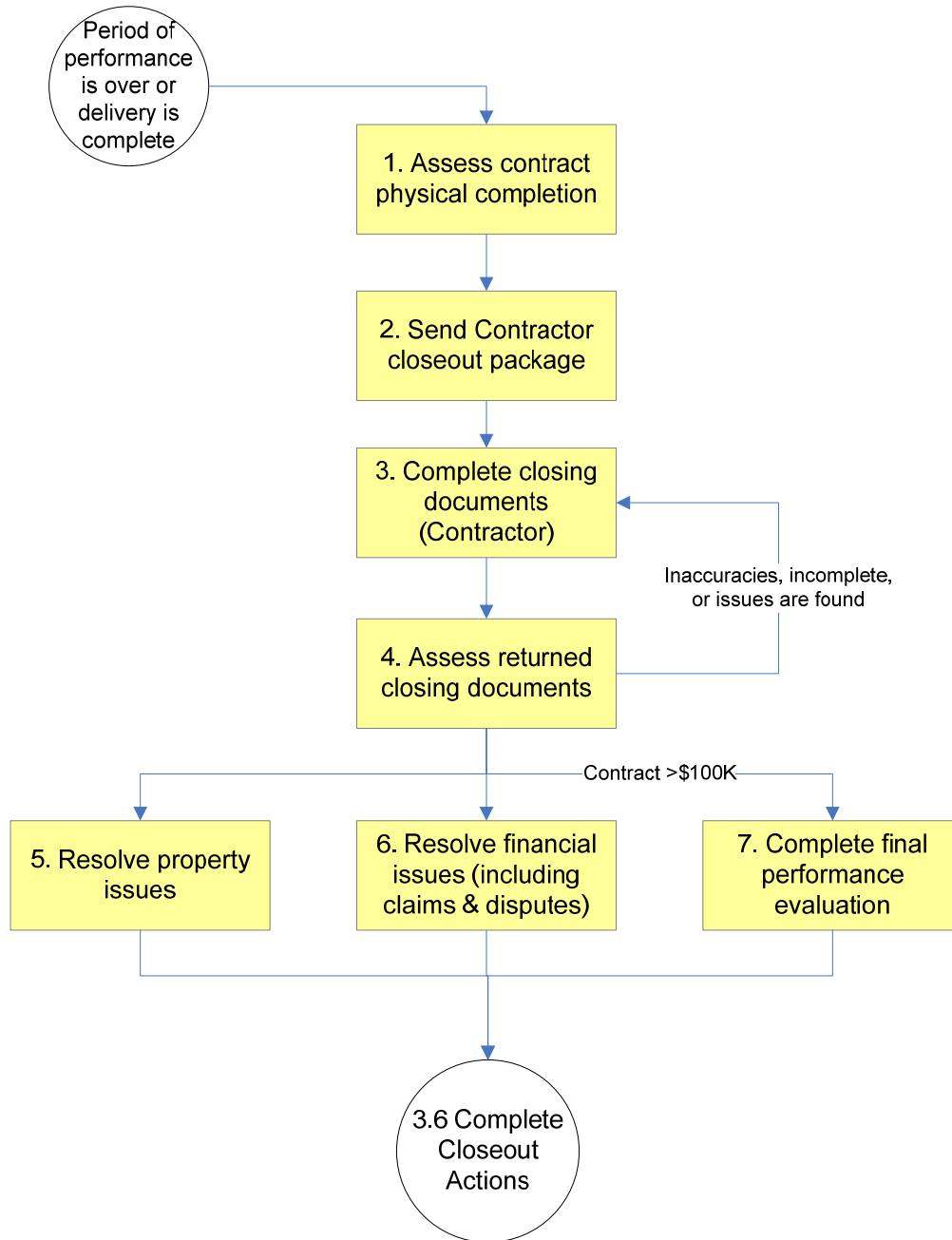


3.4 Review and Approve Invoices

Sub-process steps	Outcomes produced	Who is involved?	Polices & practices to drive commonality & performance	CSTARS used?	Other systems?	Additional bureau specific reqs.
3.4.1 Assess invoice	Approved Invoice	COR COR	FAR 32 - Prompt Payment Act Invoices can be submitted in multiple ways (e.g. accounts payable, CO, or COR) Invoice can be returned for corrections. Decision not to approve must be made within 7 business days. Costly to government for delays. If not approved, invoice is returned contractor within 7 days with explanation (oral or written) and documented in the file. Cost Type contracts and payments require CO approval. CO may delegate to COR for approval on interim payments. For other contract types, CO can delegate to COR.	No	Email Excel CBS Data Warehouse	Bureau Policies are used.
3.4.2 Obtain corrected invoice	Received corrected invoice	Contractor COR	Prompt Payment Act applies. This process is only needed if a correction is required.	Yes	Email Excel	
3.4.3 Process invoice payment	Paid Contractor	Accounts Payable Budget Contractor	When Bankcard is used for payment, use CPCS. DOC Standard Accounting procedures are used.	No	CBS	
3.4.4 File approved invoice	Updated file	CS/CO File clerk Program Office	Invoices should be tracked to ensure that the payments do not exceed the contract amount. Best practices from bureaus should be gathered and shared on a regular basis.	No	No	Bureau Policies



3.5 Prepare File for Contract Closeout





3.5 Prepare File for Contract Closeout

Sub-process steps	Outcomes produced	Who is involved?	Polices & practices to drive commonality & performance	CSTARS used?	Other systems?	Additional bureau specific reqs.
3.5.1 Assess contract physical completion	Confirmed contract effort complete Closeout Completion Statement	COR CS/CO Finance	FAR 4.8, CAM Chapter 4-3 Conduct periodic review of contract files to determine active status. Use reports from CSTARS, EARS, Program Office, and Finance. COR must complete the closeout Completion Statement, verify there are no outstanding issues, and all deliveries have been made.	Yes	EARS CBS (CFS)	Bureau-defined closeout requirements procedures
3.5.2 Send Contractor the closeout package	Contractor has closeout Package	CS/CO	FAR 4.8, CAM Chapter 4-3 The closeout Package contains all forms Contractor needs to sign.	No	Word Excel	Bureau-defined closeout requirements procedures (including checklists)
3.5.3 Complete closing documents	Received closeout documents	Contractor	FAR 4.8, CAM Chapter 4-3 Closing documents includes release of claims, if applicable. Closeout documents are returned to Procurement office CS/CO.	No	No	
3.5.4 Assess returned closing documents	Accepted Documents	CS/CO	FAR 4.8, CAM Chapter 4-3 If documents not complete or are not accurate, they are returned and discussed with contractor	No	Word Excel	Bureau-defined closeout requirements procedures (including checklists)

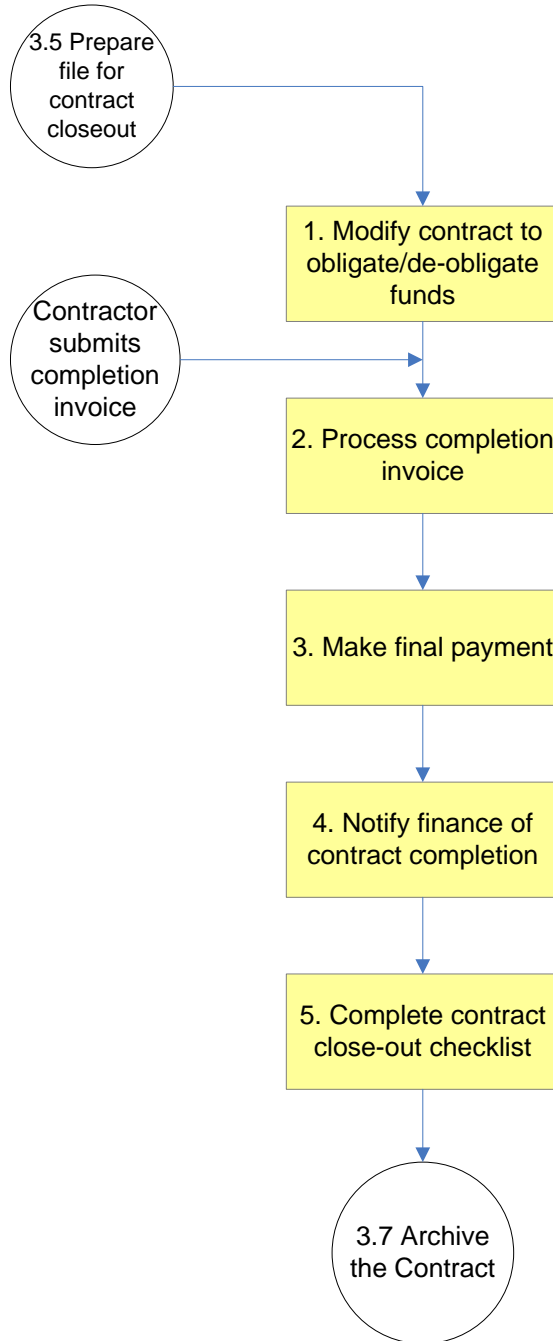
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 3.0 Administer the Contract



Sub-process steps	Outcomes produced	Who is involved?	Polices & practices to drive commonality & performance	CSTARS used?	Other systems?	Additional bureau specific reqs.
3.5.5 Resolve property issues	Accounted for property and/or disposed property	COR Property Office CS/CO Legal	FAR 4.8, FAR 45, CAM Chapter 4-3 Property Reports, Contract File, Disposition of Property must all be accounted for.	No	Property System	Bureau-defined closeout requirements procedures (including checklists)
3.5.6 Resolve financial issues (includes claims and disputes)	Finance issues resolved	CS/CO DCAA (for Cost Type Contracts) Finance Legal	FAR 4.8, CAM Chapter 4-3, FAR 32, FAR 42, and FAR 4.804-5(a)(14)	No	CBS (CFS) Word Excel	
3.5.7 Complete final performance evaluation	Evaluation completed	CS/CO COR Contractor	FAR 42.15 For contracts over \$100K, a final Contractor Performance Evaluation must be completed by the contractor.	No	Word Excel	Bureau-defined closeout requirements procedures (including checklists)



3.6 Complete Closeout Actions



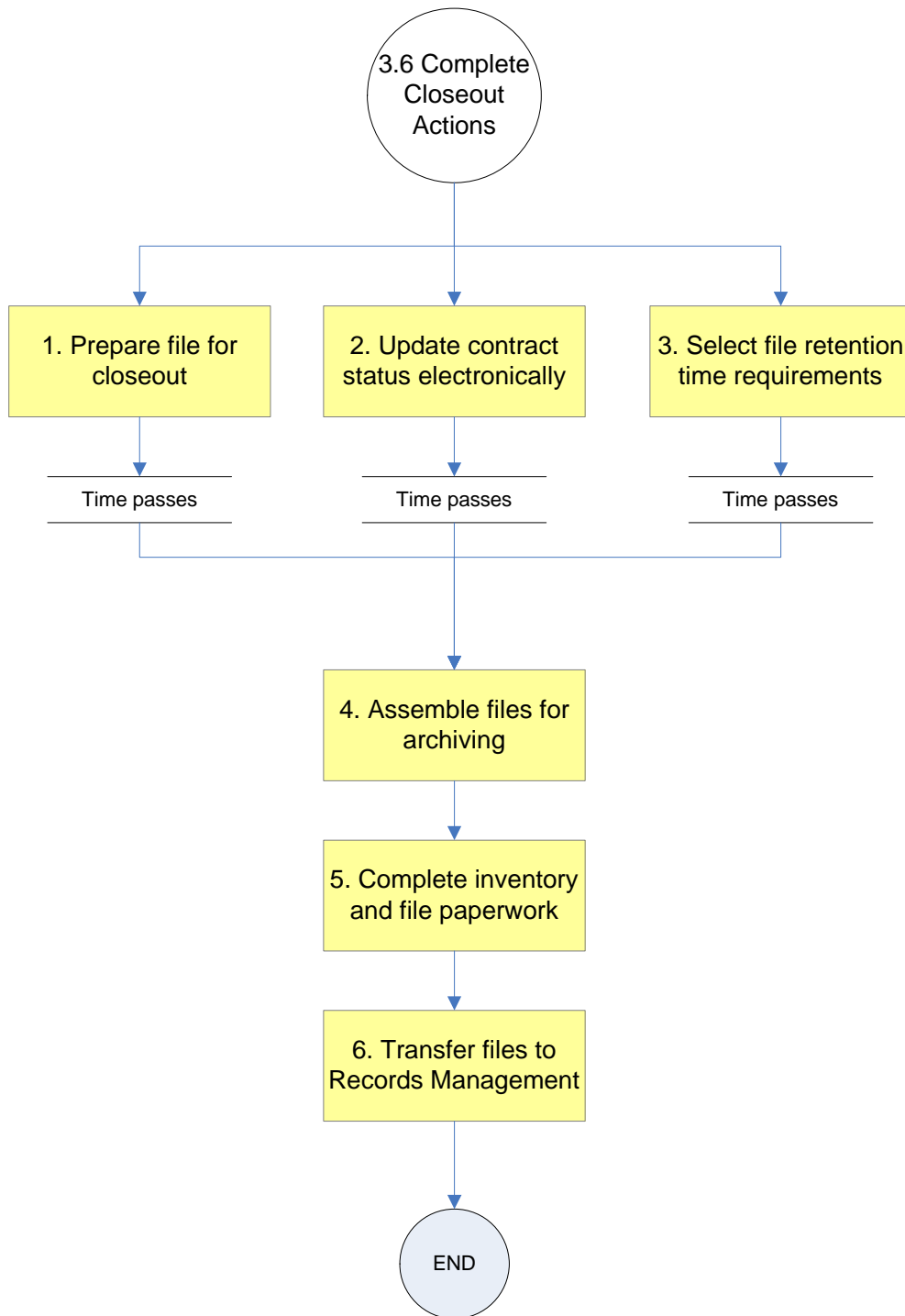


3.6 Complete Closeout Actions

Sub-process steps	Outcomes produced	Who is involved?	Polices & practices to drive commonality & performance	CSTARS used?	Other systems?	Additional bureau specific reqs.
3.6.1 Modify contract to obligate/de-obligate funds	Ready for closeout Contract file	CS/CO Legal	FAR 4.8, FAR 43, FAR 42 This step includes taking administrative action as required.	Yes	Word Excel CFS/CBS FPDS-NG	Bureau-defined closeout requirements procedures (including checklists).
3.6.2 Process completion invoice	Approved final invoice	Contractor COR CS/CO	Finance Policy and Procedure FAR 52.216-7 This step may not be required.	No	Word Excel	Bureau-defined closeout requirements procedures (including checklists)
3.6.3 Make final payment	Completed and verified payment and financial	CS/CO Finance Office	Finance Policy and Procedures FAR 4.804-5(b), FAR 52.222-7, FAR 52.222-41 (k) This step may not be required.	No	CFS/CBS	
3.6.4 Notify finance of contract completion	Finance acceptance message	CS/CO Finance Office	Finance Policy and Procedures FAR 4.8, FAR 43, FAR 42	Yes	Word Excel CFS/CBS FPDS-NG	Bureau-defined closeout requirements procedures (including checklists)
3.6.5 Complete contract closeout checklist	Contract ready for physical closeout	CS/CO	CSTARS contains a standard close out checklists that can be implemented by the Bureaus. Note: Expiration date must be updated to reflect closeout date. This is a training issue.	Yes	Word	Bureau-defined closeout requirements procedures (including checklists)



3.7 Archive Contract





3.7 Archive the Contract

Note: In most cases, Procurement contractor support is provided to fulfill these roles, except for those with signatory authority.

Sub-process steps	Outcomes produced	Who is involved?	Polices & practices to drive commonality & performance	CSTARS used?	Other systems?	Additional bureau specific reqs.
3.7.1. Prepare file for closeout	Complete file with all documents organized and accounted for	CS/CO Procurement clerk	Records Management procedures Non-interfaced contracts need to be completed manually.	Yes	Word Excel NIST File Trail	Bureau generated closeout requirements procedures (including checklists) Census: Access database
3.7.2. Update Contract Status electronically	Updated Archive Status	CS/CO Procurement clerk		Yes	NIST File Trail Census: Access database	Bureau generated closeout requirements procedures
3.7.3. Select file retention time requirements	Selected retention timeframes	CS/CO Procurement clerk	FAR 4.805 - Records Retention Schedule and Records Management Procedures NARA	No	Manual Records office may have system NIST File Trail Census: Access database	Bureau generated closeout requirements procedures (including checklists)
3.7.4. Assemble files for archiving	Boxed and labeled physical file	CS/CO Procurement clerk	Records Management Procedures NARA	No	NIST File Trail Census: Access database	Bureau generated closeout requirements procedures (including checklists)

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Sub-process steps	Outcomes produced	Who is involved?	Policies & practices to drive commonality & performance	CSTARS used?	Other systems?	Additional bureau specific reqs.
3.7.5 Complete inventory and file paperwork	Boxed Record(s) ready for shipment with paperwork	CS/CO Procurement clerk	Records Management Procedures, NARA Paperwork is for storage at onsite or offsite facility	No	Property Word	Bureau-defined closeout requirements procedures (including checklists) NIST File Trail Census: Access database
3.7.6 Transfer files to Records Management	Archived files	CS/CO Procurement clerk	Records Management Procedures NARA	No	Property	Bureau-defined closeout requirements procedures (including checklists) NIST File Trail Census: Access database



Section 3: Performance Metrics

Introduction

The Department of Commerce uses a “Balanced Scorecard” approach to performance metrics (<http://bscears.ocs.doc.gov/Portal/backToMain.do>). Using data from FPDS-NG, surveys, and the Workforce Assessment Database (WAD) sources reported through EARS, the DOC Acquisition Community receives annual feedback (updated quarterly) at bureau and department levels. The performance metrics suggested for “2.0 Award the Contract” and “3.0 Administer the Contract” supplement these high-level data. The metrics were selected to provide Procurement and Program managers and staff with timely feedback for smart decision-making to improve Procurement operations.

These metrics are a first cut at bringing accountability to the contracting process and those who take part in it. In some cases, data from CSTARS can be used if additional reporting capabilities are provided. In other cases, survey tools or other data collection techniques may be required. The framework for the design of these measures consisted of four types and four elements as described in Table 3.1.

Table 3.1 Metric Types and Elements

Metric Types	Metric Elements
Productivity: Volume of output Efficiency: Speed and/or cost of output production Quality: Errors or amount of rework, problems, etc. Customer satisfaction: Process quality	Unit of measure: The output (e.g., requisition), type of action, amount of dollars Performance period: The length of time during which performance is measured (e.g., day, week, month) Organization level: The <u>lowest</u> level at which the measurement is meaningful for continuous improvement decision-making (e.g., individual, workgroup/team, office) Data collection method: The most feasible and effective way to collect accurate data

No single metric can “tell the whole performance story.” By using metrics in combination, an accurate picture of performance can be told. For example, if you look only at efficiency and productivity measures without examining and balancing them with quality and satisfaction measures, you may reward people for fast and high-volume productivity behavior that results in downstream errors and dissatisfied customers.

The team recommends that further discussions, research, and piloting is needed before performance metrics are put in place. Management, Procurement staff, and Requisitioners need to become comfortable with the concept of performance management and accountability. They must be supported with training in the subject, as well as evaluation of performance results to identify linkages between results and behavior and the use of techniques for problem-solving and action-taking.



Overall Process Metrics

Metric Type	Performance Metric(s)	Unit of Measure	Performance Period	Organizational Level (lowest)	Proposed Data Collection Method	Suggested Target
Requisition						
Efficiency	<ul style="list-style-type: none"> Elapsed time from receipt of PR package via C.Request to package accepted as complete by CO/CS. 	PR	Monthly	Requisitioner	CSTARS	Depends upon type of competition (e.g. Full and open, 8a, GSA).
Quality	<ul style="list-style-type: none"> % put into suspended status 	PR	Monthly	Requisitioner	CSTARS	5% in suspended status
Solicitation development						
Efficiency	<ul style="list-style-type: none"> % time solicitation issued on or before milestone date 	Solicitation	Monthly	CO/CS	CSTARS	Based on type of contract. 90% issued by milestone date.
Quality	<ul style="list-style-type: none"> % solicitation amendments unnecessary and not enforced 	Solicitation amendments	Monthly	CO/CS	CSTARS	5% or fewer amendments due to solicitation mistakes.
Contract award						
Efficiency	<ul style="list-style-type: none"> % time award is made on or before milestone date 	Award	Monthly	CO/CS	PALT reports	Based on type of contract. 90% awarded by milestone date.
Quality	<ul style="list-style-type: none"> # of sustained solicitation protests 	Award	Monthly	CO/CS	Protest logs CSTARS	Protests: 0

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Metric Type	Performance Metric(s)	Unit of Measure	Performance Period	Organizational Level (lowest)	Proposed Data Collection Method	Suggested Target
Customer Satisfaction	<ul style="list-style-type: none"> % customers satisfied with solicitation and award process 	% satisfied	Monthly	Procurement Office	Customer Survey	80% satisfied with Procurement work.
Productivity	<ul style="list-style-type: none"> % # and \$ awards made 	Award	Monthly	Procurement Office	CSTARS	Target is set annually.
Contract Administration						
Efficiency	<ul style="list-style-type: none"> % Procurement change actions processed within established lead times 	Modification Requisition	Monthly or Quarterly	CO/CS	CSTARS (SAM/NOAA)	90%
Quality	<ul style="list-style-type: none"> \$ of interest paid on late payment of invoices 	Invoice or Invoice \$	Monthly	CO/CS	CFS (Prompt Payment Report)	100% paid within 30 days
Customer Satisfaction	<ul style="list-style-type: none"> % satisfied with CO/CS responsiveness to administrative needs for contract 	Award	Monthly	Procurement Office	Customer Survey	80% satisfied
Efficiency	<ul style="list-style-type: none"> % contracts closed within established time frame 	Award	Quarterly or semi-annually	CO/CS	CSTARS	80% of all contracts available to complete closeout are actually closed out



2.1 Assess Purchase Request Package

Metric Type	Performance Metric(s)	Unit of Measure	Performance Period	Organizational Level	Proposed Data Collection Method	Suggested Target
Efficiency	<ul style="list-style-type: none"> Elapsed time receipt of Purchase Request (PR) to completed PR package 	PR	Monthly	Requisitioner	CSTARS	Depends upon type of competition (e.g., Full and open, 8a, GSA).
Quality	<ul style="list-style-type: none"> % PR's returned because of error or incomplete 	PR	Monthly	Requisitioner	ORSI, CSTARS, C.Request	15% first 6 months; 5% thereafter.
Customer Satisfaction	<ul style="list-style-type: none"> % satisfied that PR error explanations handled in timely fashion % satisfied with Procurement support for PR processing 	PR	Monthly	CO/CS	Survey CSTARS (select customers for survey)	85% first 6 months; 95% thereafter.
Quality	<ul style="list-style-type: none"> % put into suspended status 	PR	Monthly	Requisitioner	CSTARS	5% in suspended status after six month using measures.



2.2 Conduct Market Research

Metric Type	Performance Metric(s)	Unit of Measure	Performance Period	Organizational Level	Proposed Data Collection Method	Suggested Target
Quality	<ul style="list-style-type: none"> # of sustained protests related to market research 	Award	Yearly	Procurement Office	Email/letters CD-570 market research reports	0 sustained protests related to market research.
Efficiency	<ul style="list-style-type: none"> % time milestones met to complete market research 	Solicitation	Yearly	CO/CS	Compare actual dates to scheduled dates (e.g., NOAA SAM report)	100% meeting milestones.



2.3 Formulate Solicitation

Metric Type	Performance Metric(s)	Unit of Measure	Performance Period	Organizational Level	Proposed Data Collection Method	Suggested Target
Efficiency	<ul style="list-style-type: none"> % time synopsis posted on FedBizOpps with target 	Solicitation	Monthly	CO/CS	CSTARS	90% reported within 5 day target
Efficiency	<ul style="list-style-type: none"> % time to obtain CO approvals within target 	Solicitation	Monthly	CO/CS	CSTARS	90% solicitations approved within 3 day target
Efficiency	<ul style="list-style-type: none"> % time solicitation issued on or before milestone date 	Solicitation	Monthly	CO/CS	CSTARS	Based on type of contract. 90% issued by milestone date
Quality	<ul style="list-style-type: none"> % solicitation amendments unnecessary and not enforced 	Solicitation amendments	Monthly	CO/CS	CSTARS	5% or less amendments due to solicitations mistakes



2.4 Select Source and Make Award

Metric Type	Performance Metric(s)	Unit of Measure	Performance Period	Organizational Level	Proposed Data Collection Method	Suggested Target
Productivity [Process responses]	<ul style="list-style-type: none"> # of responses processed per solicitation 	Solicitation responses	Quarterly	Procurement Office	Audit of Acquisition Team response records (spread-sheet)	100% responses must be recorded before processing. A large number of responses is an indication of competition. Targets may be set by type of contract.
Efficiency [Evaluate responses]	<ul style="list-style-type: none"> % solicitations evaluated within milestone dates 	Solicitation	Monthly	Procurement Office	PALT reports	100%
Quality [Evaluate responses]	<ul style="list-style-type: none"> # solicitation protests % solicitation cancellations other than pulled requisitions 	Protests Cancellations	Monthly	Procurement Office	Protest Logs CSTARS	Protests: 0 Cancellations: 0
Customer Satisfaction [Evaluate responses]	<ul style="list-style-type: none"> % satisfied with response evaluation quality 	% satisfied	Monthly	Procurement Office	Customer survey	80% with Procurement Office work

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Metric Type	Performance Metric(s)	Unit of Measure	Performance Period	Organizational Level	Proposed Data Collection Method	Suggested Target
Efficiency	<ul style="list-style-type: none"> Elapsed time to obtain award funding 	Days	Monthly	Bureau	CSTARS	10 days, but can vary by type of contract
Productivity [Awards made]	<ul style="list-style-type: none"> # and \$ of awards made 	Award	Monthly	Procurement Office	CSTARS	Target is set annually by goal setting.
Efficiency [Awards made]	<ul style="list-style-type: none"> % time planned milestone met 	Award	Monthly	Procurement Office	PALT reports	Target set is requisition and brought forward.
Quality [Awards made]	<ul style="list-style-type: none"> # solicitation protests % solicitation cancellations other than pulled requisitions 	Protests Cancellations	Monthly	Procurement Office	Protest Log analysis CSTARS	Protests: 0 Cancellations: 0
Customer Satisfaction [Awards made]	<ul style="list-style-type: none"> % satisfied with response and evaluation quality 	% customers satisfied	Monthly	Procurement Office	Customer survey	80% with Procurement office work



2.5 Complete Award Actions

Metric Type	Performance Metric(s)	Unit of Measure	Performance Period	Organizational Level	Proposed Data Collection Method	Suggested Target
Productivity [Post-award synopsis]	• % of awards made	Award	Monthly	Procurement Office	Audit	100%
Efficiency [Post-award synopsis]	• # of awards posted within target days	Award	Monthly	Procurement Office	Audit	To be determined
Quality [Obligate]	• % obligations in error	\$ awarded	Monthly	Procurement Office	CFS Fall Out Report	0%
Efficiency [Obligate]	• # days obligation made within target days	\$ awarded	Monthly	Procurement Office	CSTARS - signature date vs. reconcile date	Same day
Productivity [FPDS-NG reporting]	• % awards reported to FPDS-NG	Award	Monthly	Procurement Office	Draft Error Report	100%
Efficiency [FPDS-NG reporting]	• # days report made within target days	\$ awarded	Monthly	Procurement Office	To be determined.	Same day

CBE BPR and Data Standardization
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Metric Type	Performance Metric(s)	Unit of Measure	Performance Period	Organizational Level	Proposed Data Collection Method	Suggested Target
Quality [FPDS-NG reporting]	<ul style="list-style-type: none"> % FPDS-NG reporting in error 	\$ awarded	Daily	Procurement Office	CSTARS-Fall Out Report	0%
Efficiency [Contract distribution after obligations & signature]	<ul style="list-style-type: none"> % awarded distributed within target timeframe 	Award	Monthly	Procurement Office	Manual reporting	1 day



3.1 Review Contract Terms and 3.3 Inspect and Accept Deliveries

Metric Type	Performance Metric(s)	Unit of Measure	Performance Period	Organizational Level	Proposed Data Collection Method	Suggested Target
Customer Satisfaction	<ul style="list-style-type: none"> • % satisfied that contract kick-off was conducted in a timely manner • % satisfied with work plan and its acceptance • % satisfied with follow-up performed on late deliveries performed in a timely manner • % satisfied that issues with contractor are resolved in a timely manner 	Contract	Quarterly	CO/CS	Customer survey	80%
Contractor Satisfaction	<ul style="list-style-type: none"> • % satisfied with same elements as with customer satisfaction 	Contract	Quarterly	CO/CS	Contractor survey	90%



3.2 Process Change to Contract

Metric Type	Performance Metric(s)	Unit of Measure	Performance Period	Organizational Level	Proposed Data Collection Method	Suggested Target
Quality	<ul style="list-style-type: none"> % modification requisitions with complete requirement defined and supporting documentation 	Modification Requisition	Quarterly	CO/CS	CSTARS	90%
Quality	<ul style="list-style-type: none"> % modification requisitions returned for correction % modifications caused by procurement errors 	Modification Requisition	Quarterly	CO/CS	CSTARS (#reworks/#of requisitions received)	10% 0%
Efficiency	<ul style="list-style-type: none"> % vendor responses received by due date 	Modification Requisition	Quarterly	CO/CS	CO/CS records	90%
Customer Satisfaction	<ul style="list-style-type: none"> % Procurement actions completed in a timely manner 	Modification Requisition	Quarterly	CO/CS	Customer survey	90%
Efficiency	<ul style="list-style-type: none"> % Procurement actions completed in within established lead times 	Modification Requisition	Monthly or Quarterly	CO/CS	CSTARS (SAM/NOAA)	90%
Quality	<ul style="list-style-type: none"> # of out of scope changes requested (ratifications) 	Modification Requisition	Monthly or Quarterly	CO/CS	Ratification log	0



3.4 Process Invoice

Metric Type	Performance Metric(s)	Unit of Measure	Performance Period	Organizational Level	Proposed Data Collection Method	Suggested Target
Efficiency	<ul style="list-style-type: none"> % invoices or invoice \$ processed and payments made within target (or) \$ of interest paid on late payments 	Invoice or Invoice \$	Monthly	CO/CS	CFS (Prompt Payment report)	100% paid within 30 days of receipt of invoice 0% \$ in interest payments
Efficiency	<ul style="list-style-type: none"> # Bank Card statements reconciled within target timeframe 	Statement	Monthly	Bank card holder (accountable person)	CFS (CBS-Commerce back-end system)	100% within 30 days
<p>These measures should be reported to the Acquisition Council on a monthly basis at bureau level.</p>						



3.5 Prepare File for Contract Closeout

Metric Type	Performance Metric(s)	Unit of Measure	Performance Period	Organizational Level	Proposed Data Collection Method	Suggested Target
Contractor satisfaction	<ul style="list-style-type: none"> • % satisfied with COR performance • % satisfied with Procurement Office performance 	Contract	Quarterly	COR CO/CS	Survey given to vendor (Performance evaluation)	80% satisfaction. Performance covers timeliness, responsiveness, modifications, etc.
Efficiency	<ul style="list-style-type: none"> • % contracts ready for closeout that have begun the closeout process 	Contract	Quarterly	CO/CS	CSTARS (# contracts at date expired plus in process/ # contracts at date expired)	To be determined.



3.6 Complete Closeout Actions

Metric Type	Performance Metric(s)	Unit of Measure	Performance Period	Organizational Level	Proposed Data Collection Method	Suggested Target
Efficiency	<ul style="list-style-type: none"> % contracts closed within established timeframe 	Contract	Quarterly or semi-annually	CO/CS	CSTARS (# closed contracts/# contracts with established close-out date [expired date plus 6 months])	80% of all contracts available to complete closeout are actually closed
<p>Expiration date has to be updated to closeout date for this measure to work automatically. NIST File Trail system may assist in capturing data for this measurement.</p>						



3.7 Archive Contract

Metric Type	Performance Metric(s)	Unit of Measure	Performance Period	Organizational Level	Proposed Data Collection Method	Suggested Target
Productivity	<ul style="list-style-type: none"> % contract files actually archived 	Contract	Semi-annually	Procurement Office	Track manifest back to CSTARS Contract closeout Checklist	90% of total closeouts completed with timely manner
NIST File Trail system may help in capturing data for this measurement.						



Section 4: Gap Analysis

Critical Elements for Implementation Success

With the new processes “2.0 Award the Contract” and “3.0 Administer the Contract” developed and agreed upon, the BPR and Data Standardization team began the analysis of what needs to be accomplished to ensure a smooth transition from the old to new environment.

From a systems perspective, the end user (Contracting Officers, Contracting Specialists, reviewers, and approvers) and System Administrator CSTARS training will be refresher training and first time training for certain functionality. Training is an essential component to project success, but it is only part of the solution. To smoothly transition to using the new version of CSTARS and the new common processes, Bureau leadership must address each of the following critical change management elements.

Communications

Each of the primary audiences for CSTARS—Procurement Managers and staff—must have answers to the following questions as well as an understanding of the specific changes:

- Why are we doing this?
- Will I be capable of using the system?
- What’s in it for me?

People need to be aware of what will happen, understand the changes, accept the changes, and, finally, commit to and support the changes after go-live.

Leadership Alignment

Bureau BPOs/HCOs must demonstrate their commitment to and support of the change effort to engage their middle managers to prepare their people, policies, and practices in addition to ensuring that everyone who needs to be trained—Procurement managers and staff—is trained by go-live.

Business Readiness

All end user profiles, bureau drop-down lists, access, and security must be checked, tested and operational before go-live. Additionally, each bureau unit must identify and adjust the policies, work practices (business rules), job roles, and workflows affected by the introduction of the new system and process. These adjustments must be communicated through bureau leadership, taught in training along with computer training, and reinforced on the job after go-live.



Performance Support

Moving through the learning curve after a cutover to the new systems environment should be as smooth as possible so that production of daily work is not significantly affected. Initial training is only the beginning of performance support. Tools and techniques must be put in place to ensure continuous improvement. These techniques should be embedded into the fabric of the organization. They include such things as performance metrics, communities of practice, super user networks, help desks, performance aids (online or printed), and refresher training.

Gap Summary

The gap analysis work reported in this section is a high level, first cut at identifying what is needed to transition from the AS IS environment to the TO BE common processing and data standards. It is incomplete and requires much more detailed analysis. For example, several bureaus reported no gaps for invoice processing (3.4 Process Invoice), but stated in the AS IS analysis that payments are sometimes late.

Each bureau must continue this work as described in the Business Readiness section discussed. This includes must identifying and adjusting policies, work practices (business rules), job roles, and workflows affected by the introduction of the technology and processes.

All bureaus are using CSTARTS to some extent. Although NIST will have some new CSTARTS functionality to adopt, NIST is using all of the CSTARTS current capabilities. This is not the case with other bureaus. This indicates an across-the-board need for CSTARTS training, targeted to specific roles and specific CSTARTS capabilities. It also indicates a need for these bureaus to redesign their procurement operations to leverage CSTARTS capabilities. Efficiencies in the Procurement Office are highly dependent on both the quality of the Purchase Request received Program Offices/Requisitioners via C.Request as well as the effective use of CSTARTS in the Procurement Office.

For example:

- All bureaus should be routing solicitations and contracts electronically for reviews and approvals. This will cause a major change in workflows and job roles. It should increase Procurement Office capacity for processing as copying and preparing packages for mailing should be reduced. Additionally, timeliness for the approval cycles should be shortened.
- All bureaus should be accessing FPDS-NG through CSTARTS and obligating funds in CFS (CBS) through CSTARTS.

Both Census and OS see opportunities to bring consistency and discipline to the contracting process. Developing checklists, electronic resources (Web sites) and policies to reinforce common practices and consistent decision-making are mentioned throughout the gap analysis.

All bureaus, including NIST, are strapped for time and resources to properly handle contract closeouts and archiving. Census has recently added some system support for this activity and NIST is helped by File Trail somewhat. This activity needs closer attention to determine what can be done to improve this "back-end" situation.



NIST Gaps

2.1 Assess Purchase Request Package

New Common Process steps	Performance Gaps [If yes, enter ✓]			
	Technology	Workflow	Job Roles	Policy & Practices
2.1.1 Receive Purchase Request and support documents (PR package)				
2.1.2 Assess Purchase Request approvals				
2.1.3 Assess PR package completeness				
2.1.4 Develop/revise milestones				✓
Ideas for change actions and/or performance improvements				
<p>Strengthen acquisition planning so Purchase Request package is not a surprise to the Procurement Office (e.g., implement the Business Broker role).</p> <p>Make sure required documents are listed on the Web page.</p> <p>Ensure that there is a written policy and training for the milestone chart.</p>				
Communications & Training End Users and/or Management				
<p>Make sure customers (Program Offices, Requisitioners) are aware of all required authorizations are implemented (Web page).</p> <p>Training must capture all changes in ORSI. Make sure training is given to new users (on-going).</p> <p>Note: Training requires time and resources. Both are in short supply.</p>				



NIST Gaps

2.2 Conduct Market Research

New Common Process steps (enter names)	Performance Gaps [If yes, enter ✓]			
	Technology	Workflow	Job Roles	Policy & Practices
2.2.1 Check priority sources for availability				✓
2.2.2 Determine extent of competition				
2.2.3 Review submitted "informal" market research				✓
2.2.4 Identify qualified set-aside sources	✓			
2.2.5 Write justification and get approval				✓
2.2.6 Perform market research				
2.2.7 Evaluate products, vendors, and market				
2.2.8 Prepare and issue RFI				
2.2.9 Conduct pre-solicitation activities				
2.2.10 Develop/Finalize source list				
Ideas for change actions and/or performance improvements				
Set up a database for identified small businesses. Make sure standards for turnaround time from OSDBU are established for JOWOD.				
Communications & Training End Users and/or Management				
Make sure new Acquisition staff is aware of priority sources. Offer training on market research for customers. Provide training for process of 8(a) award. Put examples of RFI on Web page.				



NIST Gaps

2.3 Formulate Solicitation

New Common Process steps (enter names)	Performance Gaps [If yes, enter ✓]			
	Technology	Workflow	Job Roles	Policy & Practices
2.3.1 Finalize Acquisition Plan				✓
2.3.2 Identify acquisition strategy				
2.3.3 Select solicitation method				
2.3.4 Prepare synopsis and post on FedBizOpps				
2.3.5 Contact vendor directly for quote				
2.3.6 Prepare solicitation and gain approvals				✓
2.3.7 Issue Solicitation				
Ideas for change actions and/or performance improvements				
<p>Have Legal review revised threshold. Create a matrix of clauses for different types of solicitations—at least basics—FAR. Then, keep matrixes updated (FAR, CAR).</p>				
Communications & Training End Users and/or Management				
<p>Put an example of an Acquisition Plan on the Web site that links to documentation policy. Provide training to customers on the technical evaluation of proposals. Provide training to new Acquisition staff on types of solicitations. Put sample synopses on Web page (e.g., combined synopsis/solicitation).</p>				



NIST Gaps

2.4 Select Source and Make Award

New Common Process steps (enter names)	Performance Gaps [If yes, enter ✓]			
	Technology	Workflow	Job Roles	Policy & Practices
2.4.1 Process received responses				
2.4.2 Review and evaluate technical and cost responses				✓
2.4.2a Conduct sealed bid process				
2.4.2b Conduct A&E process				
2.4.3 Conduct oral presentations				✓
2.4.4 Down-select to set Competitive Range				
2.4.5 Review final response(s)				
2.4.6 Obtain additional funds				
2.4.7. Nominate COR	DOC issue			
2.4.8 Select vendor				
2.4.9 Review and approve sub-contracting plan				✓
2.4.10 Finalize Award and draft FPDS-NG documentation and appoint COR				
2.4.11 Submit Award Package for final review and approval				
Ideas for change actions and/or performance improvements				
Work out bugs in WAD. NIST has its own COTR (COR) database. Get all other agencies to use FPDS-NG through CSTARS. NIST is doing this today.				



NIST Gaps

2.4 Select Source and Make Award (continued)

Communications & Training End Users and/or Management

Provide training on:

- Technical evaluations
- Consensus meeting
- Oral presentations
- ESRS (the sub-contracting report system)
- Subcontractor plans and add example to the Web page.



NIST Gaps

2.5 Complete Award Actions

New Common Process steps (enter names)	Performance Gaps [If yes, enter ✓]			
	Technology	Workflow	Job Roles	Policy & Practices
2.5.1 Post award synopsis				✓
2.5.2 Financially “reserve” funds using the Obligate function	✓			
2.5.3 Sign the Award and approve FPDS-NG Report				
2.5.4 Distribute awarded contract				
2.5.5 Conduct debriefing with unsuccessful offerors				
2.5.6 Resolve protests				
Ideas for change actions and/or performance improvements				
Make sure all bureaus are reconciling the obligated amount at the CO level.				
Communications & Training End Users and/or Management				
Write policy for posting awards—internal. Provide training on debriefings—internal. Develop policy and procedures for handing protests—internal.				



NIST Gaps

3.1 Review Contract Terms

New Common Process steps (enter names)	Performance Gaps [If yes, enter ✓]			
	Technology	Workflow	Job Roles	Policy & Practices
3.1.1 Conduct Kick-off for contract				
3.1.2 Create contract Work Plan		✓	✓	✓
3.1.3 Accept contract Work Plan		✓	✓	✓
Ideas for change actions and/or performance improvements				
Communications & Training End Users and/or Management				
Develop policies, practices, job roles, and workflow for work plan requirements by dollar level. Provided training as well.				



NIST Gaps

3.2 Process Change to Contract

New Common Process steps (enter names)	Performance Gaps [If yes, enter ✓]			
	Technology	Workflow	Job Roles	Policy & Practices
3.2.1 Obtain supporting documentation				
3.2.2 Discuss situation				
3.2.3 Request proposal for consideration				
3.2.4 Obtain Requisition for additional funding				
3.2.5 Draft a Modification				
3.2.6 Obtain Contractor signature on modification				✓
3.2.7 Obtain CO signature on Modification				
3.2.8 Finalize Modification				
3.2.9 Distribute and file Modification				
Ideas for change actions and/or performance improvements				
Communications & Training End Users and/or Management				
Provide training on when a bi-lateral modification is needed.				



NIST Gaps

3.3 Inspect and Accept Deliveries

New Common Process steps (enter names)	Performance Gaps [If yes, enter ✓]			
	Technology	Workflow	Job Roles	Policy & Practices
3.3.1 Follow-up on late deliverable				
3.3.2. Process receipt of deliverable				
3.3.3. Review contract terms				
3.3.4. Inspect deliverable				
3.3.5. Correct deliverable				
3.3.6 Accept deliverable				
3.3.7 Send deliverable to customer				
Ideas for change actions and/or performance improvements				
No changes.				
Communications & Training End Users and/or Management				



NIST Gaps

3.4 Process Invoice

New Common Process steps (enter names)	Performance Gaps [If yes, enter ✓]			
	Technology	Workflow	Job Roles	Policy & Practices
3.4.1 Assess invoice				
3.4.2 Obtain corrected invoice				
3.4.3 Process invoice payment				✓
3.4.4 File approved invoice				
Ideas for change actions and/or performance improvements				
Log-in each invoice. Date stamp before distributing to buyer.				
Communications & Training End Users and/or Management				



NIST Gaps

3.5 Prepare File for Contract Closeout

New Common Process steps (enter names)	Performance Gaps [If yes, enter ✓]			
	Technology	Workflow	Job Roles	Policy & Practices
3.5.1 Assess contract physical completion				
3.5.2 Send Contractor the closeout package				
3.5.3 Complete closing documents				
3.5.4 Assess returned closing documents				
3.5.5 Resolve property issues				
3.5.6 Resolve financial issues (includes claims and disputes)				
3.5.7 Complete final performance evaluation				
Ideas for change actions and/or performance improvements				
There is NO TIME. No changes.				
Communications & Training End Users and/or Management				



NIST Gaps

3.6 Complete Closeout Actions

New Common Process steps (enter names)	Performance Gaps [If yes, enter ✓]			
	Technology	Workflow	Job Roles	Policy & Practices
3.6.1 Modify contract to obligate/de-obligate funds				
3.6.2 Process completion invoice				
3.6.3 Make final payment				
3.6.4 Notify finance of contract completion				
3.6.5 Complete contract closeout checklist				
Ideas for change actions and/or performance improvements				
There is never enough time to close out awards. Need to add resources.				
Communications & Training End Users and/or Management				



NIST Gaps

3.7 Archive Contract

New Common Process steps (enter names)	Performance Gaps [If yes, enter ✓]			
	Technology	Workflow	Job Roles	Policy & Practices
3.7.1 Prepare file for closeout				
3.7.2 Update Contract Status electronically				
3.7.3 Select file retention time requirements				
3.7.4 Assemble files for archiving				
3.7.5 Complete inventory and file paperwork				
3.7.6 Transfer files to Records Management				
Ideas for change actions and/or performance improvements				
No changes.				
Communications & Training End Users and/or Management				



Census Gaps

2.1 Assess Purchase Request Package

New Common Process steps	Performance Gaps [If yes, enter ✓]			
	Technology	Workflow	Job Roles	Policy & Practices
2.1.1 Receive Purchase Request and support documents (PR package)	✓	✓		✓
2.1.2 Assess Purchase Request approvals	✓			✓
2.1.3 Assess PR package completeness	✓			✓
2.1.4 Develop/revise milestones	✓			
Ideas for change actions and/or performance improvements				
2.1.1 ORSI will change the technology for the better. All Purchase Request packages should come to supervisor for assignment through automated system (CSTARS, ORSI). Currently, supervisor assigns action. Specialist works with project (program) office to acquire missing documents (Important: change needed here). 2.1.2 Updated automated system will systematically do this. 2.1.3 Technology will make this possible soon. 2.1.4 Technology will make this possible soon				
Communications & Training End Users and/or Management				
For all 2.1 processes: CSTARS training needs to be easier and more target audience-oriented. 2.1.4 Project management and scheduling software training must be made widely available.				



Census Gaps

2.2 Conduct Market Research

New Common Process steps (enter names)	Performance Gaps [If yes, enter ✓]			
	Technology	Workflow	Job Roles	Policy & Practices
2.2.1 Check priority sources for availability	✓		✓	✓
2.2.2 Determine extent of competition				
2.2.3 Review submitted "informal" market research				
2.2.4 Identify qualified set-aside sources				
2.2.5 Write justification and get approval	✓	✓		
2.2.6 Perform market research				
2.2.7 Evaluate products, vendors, and market				✓
2.2.8 Prepare and issue RFI				
2.2.9 Conduct pre-solicitation activities				✓
2.2.10 Develop/Finalize source list	✓	✓		✓
Ideas for change actions and/or performance improvements				
<p>2.2.1 Need more "one-stop shopping" for information. Process is scattershot today. Systems like CCR, GSA, and JWOD don't talk to each other. Also, need firmer division of roles between Program Office and ACQ.</p> <p>2.2.4 Fill Census SBA position. Make SBA more responsive to requests.</p> <p>2.2.5 Automatic approval levels of 570.</p> <p>2.2.7 Criteria must be clearer for how to do this based on type of acquisition.</p> <p>2.2.9 Educate Program Offices on performance-based methodology.</p> <p>2.2.10 Need current and updated list of sources to check.</p>				



Census Gaps

2.3 Formulate Solicitation

New Common Process steps (enter names)	Performance Gaps [If yes, enter ✓]			
	Technology	Workflow	Job Roles	Policy & Practices
2.3.1 Finalize Acquisition Plan	✓			
2.3.2 Identify acquisition strategy				✓
2.3.3 Select solicitation method				✓
2.3.4 Prepare synopsis and post on FedBizOpps				
2.3.5 Contact vendor directly for quote				
2.3.6 Prepare solicitation and gain approvals	✓			
2.3.7 Issue Solicitation				
Ideas for change actions and/or performance improvements				
2.3.1 Need online planning system. 2.3.2 & 2.3.3 Need better guidance on policies and procedures, good examples, and checklists (ACQ is working on this) 2.3.5 Better use of electronic approvals.				
Communications & Training End Users and/or Management				
Training is needed. Preparation of checklists, working groups.				



Census Gaps

2.4 Select Source and Make Award

New Common Process steps (enter names)	Performance Gaps [If yes, enter ✓]			
	Technology	Workflow	Job Roles	Policy & Practices
2.4.1 Process received responses.				
2.4.2 Review and evaluate technical and cost responses			✓	✓
2.4.2a Conduct sealed bid process				
2.4.2b Conduct A&E process				
2.4.3 Conduct oral presentations	✓			
2.4.4 Down-select to set Competitive Range				✓
2.4.5 Review final response(s)				
2.4.6 Obtain additional funds				✓
2.4.7. Nominate COR				✓
2.4.8 Select vendor				
2.4.9 Review and approve sub-contracting plan	✓			
2.4.10 Finalize Award and draft FPDS-NG documentation and appoint COR	✓	✓	✓	✓
2.4.11 Submit Award Package for final review and approval				
Ideas for change actions and/or performance improvements				
2.4.2 Educate evaluation teams on requirements to evaluate appropriately. 2.4.3 Video-tape or record routinely. 2.4.4 Standardize procedures. Not too subjective. 2.4.6 Better planning will make this less common. 2.4.7 Always do this with trained person. 2.4.9 More trains in ESRS. 2.4.10 Fix FPDS-NG. It doesn't work right.				



Census Gaps

2.5 Complete Award Actions

New Common Process steps (enter names)	Performance Gaps [If yes, enter ✓]			
	Technology	Workflow	Job Roles	Policy & Practices
2.5.1 Post award synopsis				
2.5.2 Financially "reserve" funds using the Obligate function				✓
2.5.3 Sign the Award and approve FPDS-NG Report	✓	✓	✓	✓
2.5.4 Distribute awarded contract				✓
2.5.5 Conduct debriefing with unsuccessful offerors				
2.5.6 Resolve protests				
Ideas for change actions and/or performance improvements				
2.5.2 No such thing under the current process. 2.5.3 Fix FPDS-NG. 2.5.4 Authorize secure digital signatures.				
Communications & Training End Users and/or Management				



Census Gaps

3.1 Review Contract Terms

New Common Process steps (enter names)	Performance Gaps [If yes, enter ✓]			
	Technology	Workflow	Job Roles	Policy & Practices
3.1.1 Conduct Kick-off for contract				✓
3.1.2 Create contract Work Plan				✓
3.1.3 Accept contract Work Plan				✓
Ideas for change actions and/or performance improvements				
3.1.1 ACQ is in the process of documenting current processes. 3.1.2 & 3.1.3 Clarify procedures and specifications.				
Communications & Training End Users and/or Management				
More training is needed.				



Census Gaps

3.2 Process Change to Contract

New Common Process steps (enter names)	Performance Gaps [If yes, enter ✓]			
	Technology	Workflow	Job Roles	Policy & Practices
3.2.1 Obtain supporting documentation	✓			
3.2.2 Discuss situation	✓			
3.2.3 Request proposal for consideration	✓			
3.2.4 Obtain Requisition for additional funding	✓			
3.2.5 Draft a Modification	✓			
3.2.6 Obtain Contractor signature on modification	✓			
3.2.7 Obtain CO signature on Modification	✓			
3.2.8 Finalize Modification	✓			
3.2.9 Distribute and file Modification	✓			
Ideas for change actions and/or performance improvements				
All 3.2 processes: Better automated system, more user-friendly is needed. Fix the clause matrices in CSTARS. 3.2.7 Get digital signatures.				
Communications & Training End Users and/or Management				



Census Gaps

3.3 Inspect and Accept Deliveries

New Common Process steps (enter names)	Performance Gaps [If yes, enter ✓]			
	Technology	Workflow	Job Roles	Policy & Practices
3.3.1 Follow-up on late deliverable				✓
3.3.2. Process receipt of deliverable	✓			✓
3.3.3. Review contract terms				✓
3.3.4. Inspect deliverable				✓
3.3.5. Correct deliverable				✓
3.3.6 Accept deliverable				✓
3.3.7 Send deliverable to customer				✓
Ideas for change actions and/or performance improvements				
3.3.1 Enhance contract administration skills with better training for COTRS (CORS). 3.3.2 Better receiving report process needed. 3.3.3 COTRS (CORS) need training.				
Communications & Training End Users and/or Management				
Overall, COTRS (CORS) need contracting administration training.				



Census Gaps

3.4 Process Invoice

New Common Process steps (enter names)	Performance Gaps [If yes, enter ✓]			
	Technology	Workflow	Job Roles	Policy & Practices
3.4.1 Assess invoice		✓		✓
3.4.2 Obtain corrected invoice		✓		✓
3.4.3 Process invoice payment		✓		✓
3.4.4 File approved invoice		✓		✓
Ideas for change actions and/or performance improvements				
All 3.4 processes: Need better tracking and better interface with Finance organization.				
Communications & Training End Users and/or Management				



Census Gaps

3.5 Prepare File for Contract Closeout

New Common Process steps (enter names)	Performance Gaps [If yes, enter ✓]			
	Technology	Workflow	Job Roles	Policy & Practices
3.5.1 Assess contract physical completion				
3.5.2 Send Contractor the closeout package				
3.5.3 Complete closing documents				
3.5.4 Assess returned closing documents				
3.5.5 Resolve property issues				
3.5.6 Resolve financial issues (includes claims and disputes)				
3.5.7 Complete final performance evaluation				
Ideas for change actions and/or performance improvements				
Communications & Training End Users and/or Management				
Census has a new system in place that solves most of our problems in this area.				



Census Gaps

3.6 Complete Closeout Actions

New Common Process steps (enter names)	Performance Gaps [If yes, enter ✓]			
	Technology	Workflow	Job Roles	Policy & Practices
3.6.1 Modify contract to obligate/de-obligate funds		✓		✓
3.6.2 Process completion invoice		✓		
3.6.3 Make final payment		✓		
3.6.4 Notify finance of contract completion		✓		
3.6.5 Complete contract closeout checklist		✓		
Ideas for change actions and/or performance improvements				
3.6.1 Do this on a timely basis. For all 3.6 processes: a better interface with Finance is needed.				
Communications & Training End Users and/or Management				



Census Gaps

3.7 Archive Contract

New Common Process steps (enter names)	Performance Gaps [If yes, enter ✓]			
	Technology	Workflow	Job Roles	Policy & Practices
3.7.1 Prepare file for closeout				
3.7.2 Update Contract Status electronically				
3.7.3 Select file retention time requirements				
3.7.4 Assemble files for archiving		✓		
3.7.5 Complete inventory and file paperwork		✓		
3.7.6 Transfer files to Records Management		✓		
Ideas for change actions and/or performance improvements				
Physical organization of files is needed.				
Communications & Training End Users and/or Management				
A new system helps with these processes.				



NOAA Gaps

2.1 Assess Purchase Request Package

New Common Process steps	Performance Gaps [If yes, enter ✓]			
	Technology	Workflow	Job Roles	Policy & Practices
2.1.1 Receive Purchase Request and support documents (PR package)				
2.1.2 Assess Purchase Request approvals			✓	
2.1.3 Assess PR package completeness				✓
2.1.4 Develop/revise milestones				✓
Ideas for change actions and/or performance improvements				
2.1.2 Need names of approvers by office.				
Communications & Training End Users and/or Management				
2.1.3 Requisitioners need training regarding expectations, policy, and requirements. Acquisition staff needs training on the business processes.				
2.1.4 Acquisition staff needs to complete and update milestones in a timely manner in SAM.				



NOAA Gaps

2.2 Conduct Market Research

New Common Process steps (enter names)	Performance Gaps [If yes, enter ✓]			
	Technology	Workflow	Job Roles	Policy & Practices
2.2.1 Check priority sources for availability				
2.2.2 Determine extent of competition				✓
2.2.3 Review submitted "informal" market research				
2.2.4 Identify qualified set-aside sources				
2.2.5 Write justification and get approval				
2.2.6 Perform market research				
2.2.7 Evaluate products, vendors, and market				
2.2.8 Prepare and issue RFI				
2.2.9 Conduct pre-solicitation activities				✓
2.2.10 Develop/Finalize source list				
Ideas for change actions and/or performance improvements				
Communications & Training End Users and/or Management				
<p>GSA e-library needs to be explored and briefed to the Acquisition staff. Not known to be used.</p> <p>Further training is needed regarding understanding and following business rules, e.g., universal use of FedBizOpps.</p>				



NOAA Gaps

2.3 Formulate Solicitation

New Common Process steps (enter names)	Performance Gaps [If yes, enter ✓]			
	Technology	Workflow	Job Roles	Policy & Practices
2.3.1 Finalize Acquisition Plan				
2.3.2 Identify acquisition strategy				
2.3.3 Select solicitation method				
2.3.4 Prepare synopsis and post on FedBizOpps				
2.3.5 Contact vendor directly for quote				
2.3.6 Prepare solicitation and gain approvals				
2.3.7 Issue Solicitation				
Ideas for change actions and/or performance improvements				
No change.				
Communications & Training End Users and/or Management				



NOAA Gaps

2.4 Select Source and Make Award

New Common Process steps (enter names)	Performance Gaps [If yes, enter ✓]			
	Technology	Workflow	Job Roles	Policy & Practices
2.4.1 Process received responses.				
2.4.2 Review and evaluate technical and cost responses				
2.4.2a Conduct sealed bid process				
2.4.2b Conduct A&E process				
2.4.3 Conduct oral presentations				
2.4.4 Down-select to set Competitive Range				
2.4.5 Review final response(s)				
2.4.6 Obtain additional funds				
2.4.7. Nominate COR				
2.4.8 Select vendor				
2.4.9 Review and approve sub-contracting plan				
2.4.10 Finalize Award and draft FPDS-NG documentation and appoint COR				✓
2.4.11 Submit Award Package for final review and approval				
Ideas for change actions and/or performance improvements				
<p>Resources are inadequate for fully completing tasks in a proper manner (e.g., FPDS reporting).</p> <p>Consistency is needed to find ways to move effectively to utilize the information and tools available.</p>				



NOAA Gaps

2.5 Complete Award Actions

New Common Process steps (enter names)	Performance Gaps [If yes, enter ✓]			
	Technology	Workflow	Job Roles	Policy & Practices
2.5.1 Post award synopsis				
2.5.2 Financially “reserve” funds using the Obligate function	✓			✓
2.5.3 Sign the Award and approve FPDS-NG Report				✓
2.5.4 Distribute awarded contract				
2.5.5 Conduct debriefing with unsuccessful offerors				
2.5.6 Resolve protests				
Ideas for change actions and/or performance improvements				
2.5.2 The system will be available to commit funds, but the policies needed to enable its use for this purpose are not yet in place. Work is in process to evaluate what is needed and whether or not this is a direction in which the agency will proceed.				
Communications & Training End Users and/or Management				
2.5.3 Training and adequate staffing will facilitate timely process completion.				



NOAA Gaps

3.1 Review Contract Terms

New Common Process steps (enter names)	Performance Gaps [If yes, enter ✓]			
	Technology	Workflow	Job Roles	Policy & Practices
3.1.1 Conduct Kick-off for contract				
3.1.2 Create contract Work Plan				
3.1.3 Accept contract Work Plan				
Ideas for change actions and/or performance improvements				
No change.				
Communications & Training End Users and/or Management				



NOAA Gaps

3.2 Process Change to Contract

New Common Process steps (enter names)	Performance Gaps [If yes, enter ✓]			
	Technology	Workflow	Job Roles	Policy & Practices
3.2.1 Obtain supporting documentation				
3.2.2 Discuss situation				
3.2.3 Request proposal for consideration				
3.2.4 Obtain Requisition for additional funding				
3.2.5 Draft a Modification				
3.2.6 Obtain Contractor signature on modification				
3.2.7 Obtain CO signature on Modification				
3.2.8 Finalize Modification				
3.2.9 Distribute and file Modification				✓
Ideas for change actions and/or performance improvements				
Communications & Training End Users and/or Management				
3.2.9 Training and adequate staffing will facilitate timely process completion.				



NOAA Gaps

3.3 Inspect and Accept Deliveries

New Common Process steps (enter names)	Performance Gaps [If yes, enter ✓]			
	Technology	Workflow	Job Roles	Policy & Practices
3.3.1 Follow-up on late deliverable				
3.3.2. Process receipt of deliverable				
3.3.3. Review contract terms				
3.3.4. Inspect deliverable				
3.3.5. Correct deliverable				
3.3.6 Accept deliverable				
3.3.7 Send deliverable to customer				
Ideas for change actions and/or performance improvements				
No changes.				
Communications & Training End Users and/or Management				



NOAA Gaps

3.4 Process Invoice

New Common Process steps (enter names)	Performance Gaps [If yes, enter ✓]			
	Technology	Workflow	Job Roles	Policy & Practices
3.4.1 Assess invoice				
3.4.2 Obtain corrected invoice				
3.4.3 Process invoice payment				
3.4.4 File approved invoice				
Ideas for change actions and/or performance improvements				
No change.				
Communications & Training End Users and/or Management				



NOAA Gaps

3.5 Prepare File for Contract Closeout

New Common Process steps (enter names)	Performance Gaps [If yes, enter ✓]			
	Technology	Workflow	Job Roles	Policy & Practices
3.5.1 Assess contract physical completion				✓
3.5.2 Send Contractor the closeout package				✓
3.5.3 Complete closing documents				✓
3.5.4 Assess returned closing documents				✓
3.5.5 Resolve property issues				✓
3.5.6 Resolve financial issues (includes claims and disputes)				✓
3.5.7 Complete final performance evaluation				✓
Ideas for change actions and/or performance improvements				
Communications & Training End Users and/or Management				
Inadequate staffing to perform these processes is a long-standing issue.				



NOAA Gaps

3.6 Complete Closeout Actions

New Common Process steps (enter names)	Performance Gaps [If yes, enter ✓]			
	Technology	Workflow	Job Roles	Policy & Practices
3.6.1 Modify contract to obligate/de-obligate funds				✓
3.6.2 Process completion invoice				✓
3.6.3 Make final payment				✓
3.6.4 Notify finance of contract completion				✓
3.6.5 Complete contract closeout checklist				✓
Ideas for change actions and/or performance improvements				
Communications & Training End Users and/or Management				
Inadequate staffing to perform these processes is a long-standing issue.				



NOAA Gaps

3.7 Archive Contract

New Common Process steps (enter names)	Performance Gaps [If yes, enter ✓]			
	Technology	Workflow	Job Roles	Policy & Practices
3.7.1 Prepare file for closeout				✓
3.7.2 Update Contract Status electronically				✓
3.7.3 Select file retention time requirements				✓
3.7.4 Assemble files for archiving				✓
3.7.5 Complete inventory and file paperwork				✓
3.7.6 Transfer files to Records Management				✓
Ideas for change actions and/or performance improvements				
Communications & Training End Users and/or Management				
Inadequate staffing to perform these processes is a long-standing issue.				



OS Gaps

2.1 Assess Purchase Request Package

New Common Process steps	Performance Gaps [If yes, enter ✓]			
	Technology	Workflow	Job Roles	Policy & Practices
2.1.1 Receive Purchase Request and support documents (PR package)	✓	✓	✓***	✓
2.1.2 Assess Purchase Request approvals	✓	✓	✓	✓
2.1.3 Assess PR package completeness	✓	✓*	✓*	✓*
2.1.4 Develop / revise milestones	✓**	✓		
Ideas for change actions and/or performance improvements				
Bring technology online with go-live date of October 16 th . Implement workflow process that includes the Program Offices ASAP. Process will require some job role changes. Document processes and formalize buy-in through documented policies.				
Communications & Training End Users and/or Management				
* This has not been clearly defined yet. It needs to be defined ASAP. ** Will we use CSTARs as the Acquisition Planning tool? We will need to have contractor show this capability. *** Develop facilitation training and business broker training for OS staff and customers on how to work together to create program success.				



OS Gaps

2.2 Conduct Market Research

New Common Process steps (enter names)	Performance Gaps [If yes, enter ✓]			
	Technology	Workflow	Job Roles	Policy & Practices
2.2.1 Check priority sources for availability				
2.2.2 Determine extent of competition				
2.2.3 Review submitted "informal" market research				
2.2.4 Identify qualified set-aside sources				
2.2.5 Write justification and get approval				
2.2.6 Perform market research				
2.2.7 Evaluate products, vendors, and market				
2.2.8 Prepare and issue RFI	✓*			
2.2.9 Conduct pre-solicitation activities				
2.2.10 Develop/Finalize source list				
Ideas for change actions and/or performance improvements				
OS does not currently use CSTARS total functionality. We propose additional training to increase efficiencies as demonstrated at NIST for FTE savings.				
Communications & Training End Users and/or Management				
* Need additional CSTARS training.				



OS Gaps

2.3 Formulate Solicitation

New Common Process steps (enter names)	Performance Gaps [If yes, enter ✓]			
	Technology	Workflow	Job Roles	Policy & Practices
2.3.1 Finalize Acquisition Plan	✓*		✓	
2.3.2 Identify acquisition strategy				
2.3.3 Select solicitation method				
2.3.4 Prepare synopsis and post on FedBizOpps	✓**	✓**	✓**	✓**
2.3.5 Contact vendor directly for quote				
2.3.6 Prepare solicitation and gain approvals	✓**	✓**	✓**	✓**
2.3.7 Issue Solicitation	✓**	✓**	✓**	✓**
Ideas for change actions and/or performance improvements				
<p>** Utilize electronic routing within CSTARTS to ensure at least one level of review of solicitations and postings to FedBizOpps. Note: CSTARTS has the capability to directly post to FedBizOpps and FPDS-NG as successfully tested in July 2005.</p>				
Communications & Training End Users and/or Management				
<p>* CSTARTS training is needed to implement acquisition training tool and to train our staff on program management skills.</p>				



OS Gaps

2.4 Select Source and Make Award

New Common Process steps (enter names)	Performance Gaps [If yes, enter ✓]			
	Technology	Workflow	Job Roles	Policy & Practices
2.4.1 Process received responses.				
2.4.2 Review and evaluate technical and cost responses				✓
2.4.2a Conduct sealed bid process				
2.4.2b Conduct A&E process				
2.4.3 Conduct oral presentations				
2.4.4 Down-select to set Competitive Range				
2.4.5 Review final response(s)				
2.4.6 Obtain additional funds	✓	✓	✓	✓
2.4.7. Nominate COR				
2.4.8 Select vendor				
2.4.9 Review and approve sub-contracting plan				
2.4.10 Finalize Award and draft FPDS-NG documentation and appoint COR				
2.4.11 Submit Award Package for final review and approval	✓	✓	✓	✓
Ideas for change actions and/or performance improvements				
Utilize electronic routing within CSTARTS to ensure at least one level of review to ensure quality.				
Communications & Training End Users and/or Management				
Additional training is CSTARTS required.				



OS Gaps

2.5 Complete Award Actions

New Common Process steps (enter names)	Performance Gaps [If yes, enter ✓]			
	Technology	Workflow	Job Roles	Policy & Practices
2.5.1 Post award synopsis				
2.5.2 Financially “reserve” funds using the Obligate function	✓			✓
2.5.3 Sign the Award and approve FPDS-NG Report				✓
2.5.4 Distribute awarded contract				
2.5.5 Conduct debriefing with unsuccessful offerors				
2.5.6 Resolve protests				
Ideas for change actions and/or performance improvements				
The CSTARs system upgrades due to C.Request have made training required for CO/CS positions prior to 10/16/2006.				
Communications & Training End Users and/or Management				
Training is highly recommended prior to 10/16/2006 for CO/CS positions.				



OS Gaps

3.1 Review Contract Terms

New Common Process steps (enter names)	Performance Gaps [If yes, enter ✓]			
	Technology	Workflow	Job Roles	Policy & Practices
3.1.1 Conduct Kick-off for contract		✓	✓	✓
3.1.2 Create contract Work Plan		✓	✓	✓
3.1.3 Accept contract Work Plan		✓	✓	✓
Ideas for change actions and/or performance improvements				
There is currently no policy for kick-offs or contract work plans. These need to be put in place so workflow and job roles can be distributed.				
Communications & Training End Users and/or Management				



OS Gaps

3.2 Process Change to Contract

New Common Process steps (enter names)	Performance Gaps [If yes, enter ✓]			
	Technology	Workflow	Job Roles	Policy & Practices
3.2.1 Obtain supporting documentation				
3.2.2 Discuss situation				
3.2.3 Request proposal for consideration				
3.2.4 Obtain Requisition for additional funding	✓	✓	✓	✓
3.2.5 Draft a Modification	✓	✓	✓	✓
3.2.6 Obtain Contractor signature on modification				
3.2.7 Obtain CO signature on Modification				
3.2.8 Finalize Modification	✓	✓	✓	✓
3.2.9 Distribute and file Modification				
Ideas for change actions and/or performance improvements				
C.Request is the new technology that changes workflows and job roles in the Procurement Office. Policies and practices are needed to reinforce these.				
Communications & Training End Users and/or Management				
Training is required throughout OS.				



OS Gaps

3.3 Inspect and Accept Deliveries

New Common Process steps (enter names)	Performance Gaps [If yes, enter ✓]			
	Technology	Workflow	Job Roles	Policy & Practices
3.3.1 Follow-up on late deliverable				
3.3.2. Process receipt of deliverable				
3.3.3. Review contract terms				
3.3.4. Inspect deliverable				
3.3.5. Correct deliverable				
3.3.6 Accept deliverable				
3.3.7 Send deliverable to customer				
Ideas for change actions and/or performance improvements				
No changes.				
Communications & Training End Users and/or Management				



OS Gaps

3.4 Process Invoice

New Common Process steps (enter names)	Performance Gaps [If yes, enter ✓]			
	Technology	Workflow	Job Roles	Policy & Practices
3.4.1 Assess invoice				
3.4.2 Obtain corrected invoice				
3.4.3 Process invoice payment				
3.4.4 File approved invoice				
Ideas for change actions and/or performance improvements				
No changes.				
Communications & Training End Users and/or Management				



OS Gaps

3.5 Prepare File for Contract Closeout

New Common Process steps (enter names)	Performance Gaps [If yes, enter ✓]			
	Technology	Workflow	Job Roles	Policy & Practices
3.5.1 Assess contract physical completion				
3.5.2 Send Contractor the closeout package				
3.5.3 Complete closing documents				
3.5.4 Assess returned closing documents				
3.5.5 Resolve property issues				
3.5.6 Resolve financial issues (includes claims and disputes)				
3.5.7 Complete final performance evaluation				
Ideas for change actions and/or performance improvements				
No changes.				
Communications & Training End Users and/or Management				



OS Gaps

3.6 Complete Closeout Actions

New Common Process steps (enter names)	Performance Gaps [If yes, enter ✓]			
	Technology	Workflow	Job Roles	Policy & Practices
3.6.1 Modify contract to obligate/de-obligate funds	✓**	✓	✓	✓
3.6.2 Process completion invoice				
3.6.3 Make final payment				
3.6.4 Notify finance of contract completion				
3.6.5 Complete contract closeout checklist	✓*			
Ideas for change actions and/or performance improvements				
* Update CSTARTS. ** Using C.Request for all funding issues including obligating and de-obligating.				
Communications & Training End Users and/or Management				
Training issues for both C.Request and CSTARTS are the same throughout this process. Currently, OS has a great opportunity since the closeout functionality is not currently being fully utilized.				



OS Gaps

3.7 Archive Contract

New Common Process steps (enter names)	Performance Gaps [If yes, enter ✓]			
	Technology	Workflow	Job Roles	Policy & Practices
3.7.1 Prepare file for closeout				
3.7.2 Update Contract Status electronically				
3.7.3 Select file retention time requirements				
3.7.4 Assemble files for archiving				
3.7.5 Complete inventory and file paperwork				
3.7.6 Transfer files to Records Management				
Ideas for change actions and/or performance improvements				
No changes.				
Communications & Training End Users and/or Management				



Section 5: Data Dictionary Introduction

The Department of Commerce's common business processes are enabled by information technology systems that facilitate the submission of requisitions, creation of solicitations, and management of contract awards. As CSTARTS is implemented, its integration with C.Request and CFS systems increases the transparency of data throughout the procurement process. CSTARTS will receive Procurement Request (PR) package data electronically from C.Request and CSTARTS will transfer data automatically to CFS and FPDS-NG, eliminating the need for data re-keying. This means that everyone involved in the procurement process, both intra- and inter-bureau, must have a common understanding of each data element and its use.

The BPR and Data Standardization Team reached consensus on the definition of each data element and how it is used in finalizing the purchase request, soliciting responses, making contract awards and administering contracts.

The CSTARTS screens and data tables that define the standards, values and usage of data elements are found in Volume II, Binder 2 of 2. It includes screens and data elements that can be affected by end-users and the FPDS-NG data transferred from CSTARTS.

It is important to remember that the Data Dictionary is not a training document and therefore does not include those screens which only display information (e.g., the CSTARTS Supervision Worksheet) to end users or help the users navigate the CSTARTS system. However, information from this dictionary will be incorporated into training materials to ensure consistency of data usage across bureaus.

For each piece of data, the team documented:

- CSTARTS Screen Field Name (and amplifying text when necessary)
- Data definition
- Format of the data element
- Whether the field is a free-text field
- Whether the field is required
- An example of the data, when appropriate
- When the data elements have a common usage across all bureaus or whether the fields provides an opportunity for bureau-specific application
- Rules for creating and changing as well as any rules for administering the data

The data is presented by CSTARTS screen. Some fields were identified as **not used** at this time. This is due to the condition when the field is one of the following:

- A COTS holdover from other CACI Government customer requirements
- Specifically related to another CACI product in the Comprizon Suite

In these cases, individual bureaus may choose to gray out these fields to prevent confusion or, if graying out is not possible, to train people to skip over these fields.

CBE BPR and Data Standardization

2.0 Award the Contract

3.0 Administer the Contract



These CSTARs standardized data elements seamlessly integrate with the new common data definitions for C.Request. Together, they will facilitate cross-servicing and, ultimately, provide for cleaner management reporting for the procurement process.



Section 6: Issue Management

The following pages contain the outstanding award and administration contracting issues that need resolution as well as issues that have been resolved for the BPR and Data Standardization Project. Resolution efforts are currently underway for the open issues. Any issues that require resolution by the Program Sponsor (Acquisition Council) will be forwarded accordingly with recommendations.

Each issue is assigned a priority. The priority definitions are:

- Critical:** If unresolved, could severely impact go-live. Acquisition Council involvement will most likely be required to resolve the issue.
- Serious:** Will cause some difficulties if not resolved before go-live. Acquisition Council involvement may or may not be required to resolve the issue.
- Problematic:** Will cause difficulties that can be resolved through continuous improvement after go-live.
- Easy:** This issue can be resolved before go-live.



Open Issues

Data Item Open Issues	
Issue date: May 5, 2006	Issue submitter: Team
<ul style="list-style-type: none"> Solicitation item #114, Type of Form How can the synopsis be combined into a single solicitation and post on FedBizOpps? Award items # 8 & 9 What forms does the "Proceed Date" print on? Solicitation # 22 and Award Administration/Text Tab #46 There appears to be a CSTARs technical issue with printing the text file. Only courier type font seems to work. 	
What type of issue is this? <input type="checkbox"/> Create requisition process/policy <input type="checkbox"/> IT (system name) _____ <input checked="" type="checkbox"/> Award contract process/policy <input type="checkbox"/> Bureau readiness preparation <input checked="" type="checkbox"/> Administer contract process/policy <input type="checkbox"/> End user training <input type="checkbox"/> Don't know <input type="checkbox"/> Other (please explain)	
What organization(s) may be impacted? <input checked="" type="checkbox"/> OS <input checked="" type="checkbox"/> NIST <input checked="" type="checkbox"/> Census <input checked="" type="checkbox"/> NOAA <input type="checkbox"/> PTO <input type="checkbox"/> Don't know <input type="checkbox"/> Not applicable <input type="checkbox"/> Other _____	
Describe the possible impacts on the organization(s) <ul style="list-style-type: none"> These are clarifications and small fixes, which do not affect go-live. 	
Who needs to be involved in developing solution options for this issue? <ul style="list-style-type: none"> Jerry Rorstrom-Lee is working with Gary Hill to resolve these issues. 	
Date by which this issue must be resolved <u>ASAP</u> Date to follow-up <u>July, 2006</u>	
Issue Priority: <input type="checkbox"/> Critical <input type="checkbox"/> Serious <input type="checkbox"/> Problematic <input checked="" type="checkbox"/> Easy	
Who should be assigned to manage this issue to resolution? <ul style="list-style-type: none"> Jerry Rorstrom-Lee is working with Gary Hill to resolve these issues. 	
Who needs to make the decision to resolve this issue? <ul style="list-style-type: none"> Jerry Rorstrom-Lee is working with Gary Hill to resolve these issues. 	

CBE BPR and Data Standardization
 2.0 Award the Contract
 3.0 Administer the Contract



Opportunity to Deploy NIST File Trail System	
Issue date: May 5, 2006	Issue submitter: Albert Kennedy, Pat Grimes
<ul style="list-style-type: none"> Should other bureaus implement the file tracking system, FILE TRAIL already used by NIST? 	
What type of issue is this? <input type="checkbox"/> Create requisition process/policy <input checked="" type="checkbox"/> IT (system name) <u>File Trail</u> <input type="checkbox"/> Award contract process/policy <input type="checkbox"/> Bureau readiness preparation <input checked="" type="checkbox"/> Administer contract process/policy <input type="checkbox"/> End user training <input type="checkbox"/> Don't know <input type="checkbox"/> Other (please explain)	
What organization(s) may be impacted? <input checked="" type="checkbox"/> OS <input type="checkbox"/> NIST <input checked="" type="checkbox"/> Census <input checked="" type="checkbox"/> NOAA <input type="checkbox"/> PTO <input type="checkbox"/> Don't know <input type="checkbox"/> Not applicable <input type="checkbox"/> Other _____	
Describe the possible impacts on the organization(s) <ul style="list-style-type: none"> This system could greatly improve the tracking and management of contract files. Some bureaus have major problems keeping files up to date, complete and locatable. 	
Who needs to be involved in developing solution options for this issue? <ul style="list-style-type: none"> Bureau personnel need to purchase and deployment of this system in their current operations. NIST maintains a central library of contract files, which makes deployment of the system easy. 	
Date by which this issue must be resolved <u>Not an immediate priority</u> Date to follow-up <u>July, 2006</u>	
Issue Priority: <input type="checkbox"/> Critical <input type="checkbox"/> Serious <input type="checkbox"/> Problematic <input checked="" type="checkbox"/> Easy	
Who should be assigned to manage this issue to resolution? <ul style="list-style-type: none"> Jerry Rorstrom-Lee 	
Who needs to make the decision to resolve this issue? <ul style="list-style-type: none"> Acquisition Council for an enterprise purchase and/or the HCO for individual bureau purchase. 	



CACI Ad Hoc Report Development	
Issue date: May 5, 2006	Issue submitter: Greg Coss
<ul style="list-style-type: none"> At this time, we only have the closeout report from CSTARs. There is the potential for other reporting requirements for administering contracts and providing performance measurement data. For example, about to expire options, contracts about to expire. Requirements need to be defined and then CACI must be contracted with to develop the needed reporting capabilities. 	
What type of issue is this? <input type="checkbox"/> Create requisition process/policy <input type="checkbox"/> IT (system name) _____ <input type="checkbox"/> Award contract process/policy <input type="checkbox"/> Bureau readiness preparation <input checked="" type="checkbox"/> Administer contract process/policy <input type="checkbox"/> End user training <input type="checkbox"/> Don't know <input type="checkbox"/> Other (please explain)	
What organization(s) may be impacted? <input checked="" type="checkbox"/> OS <input checked="" type="checkbox"/> NIST <input checked="" type="checkbox"/> Census <input checked="" type="checkbox"/> NOAA <input type="checkbox"/> PTO <input type="checkbox"/> Don't know <input type="checkbox"/> Not applicable <input type="checkbox"/> Other _____	
Describe the possible impacts on the organization(s) <ul style="list-style-type: none"> Additional reporting will allow bureaus to view a listing of all options or contracts, which have expired, as well as those about to expire. Will improve contract administration timeliness and save 'look-up time by individual option or contract. 	
Who needs to be involved in developing solution options for this issue? <ul style="list-style-type: none"> CACI, Acquisition Council, CBE Standardization team, and staff within the bureaus 	
Date by which this issue must be resolved <u>October 31, 2006</u> Date to follow-up <u>August 1, 2006</u>	
Issue Priority: <input type="checkbox"/> Critical <input type="checkbox"/> Serious <input checked="" type="checkbox"/> Problematic <input type="checkbox"/> Easy	
Who should be assigned to manage this issue to resolution? <ul style="list-style-type: none"> Jerry Rorstrom-Lee with the support of Dan Alexander and John Abbott 	
Who needs to make the decision to resolve this issue? <ul style="list-style-type: none"> Mike Sade 	



CACI Support for All Needed Procurement Forms	
Issue date: May 5, 2006	Issue submitter: Dan Alexander
<p>We need to verify that all active DOC forms are supported in CSTARS. CACI can add any form to CSTARS, but if the form is not a federal-wide form, then DOC must pay for the work. (CSTARS currently supports these forms: SF1417, SF1442, SF1447, SF1449, SF18, SF33</p> <ul style="list-style-type: none"> SF30 can be added to the output options. SF 24, Bid Bond; SF 25, Performance Bond; and SF 25A, Payment Bond. CACI does not support these forms currently as they are not federal-wide forms. <p>Instead of saying service on these forms, can we say "construction"? Gary Hill: Yes, if you want to pay for it, any form can be added. CSTARS supports all government wide forms</p> <p>A related question, is can appropriate clauses can be used if the form is not supported in CSTARS?</p> <ul style="list-style-type: none"> Need a list of all forms that are supported - call help desk or go into the forms directory. 	
<p>What type of issue is this?</p> <p> <input type="checkbox"/> Create requisition process/policy <input checked="" type="checkbox"/> IT (system name) <u>CSTARS</u> <input checked="" type="checkbox"/> Award contract process/policy <input type="checkbox"/> Bureau readiness preparation <input type="checkbox"/> Administer contract process/policy <input type="checkbox"/> End user training <input type="checkbox"/> Don't know <input type="checkbox"/> Other (please explain) </p>	
<p>What organization(s) may be impacted?</p> <p> <input checked="" type="checkbox"/> OS <input checked="" type="checkbox"/> NIST <input checked="" type="checkbox"/> Census <input checked="" type="checkbox"/> NOAA <input type="checkbox"/> PTO <input type="checkbox"/> Don't know <input type="checkbox"/> Not applicable <input type="checkbox"/> Other _____ </p>	
<p>Describe the possible impacts on the organization(s)</p> <ul style="list-style-type: none"> It may cost DOC to have forms added if they are not supported in CSTARS today. 	
<p>Who needs to be involved in developing solution options for this issue?</p> <ul style="list-style-type: none"> Dan Alexander and CACI helpdesk 	
<p>Date by which this issue must be resolved <u>Sept. 5, 2006</u></p> <p>Date to follow-up _____</p>	
<p>Issue Priority: <input type="checkbox"/> Critical <input checked="" type="checkbox"/> Serious <input type="checkbox"/> Problematic <input type="checkbox"/> Easy</p>	
<p>Who should be assigned to manage this issue to resolution?</p> <ul style="list-style-type: none"> Dan Alexander 	
<p>Who needs to make the decision to resolve this issue?</p> <ul style="list-style-type: none"> Dan Alexander 	



Number Format for Solicitation Amendments and Award Modifications	
Issue date: May 5, 2006	Issue submitter: Project team workshop #2 participants
<ul style="list-style-type: none"> In CSTARs, support 6 digit fields for Solicitation Amendment Number and Award Mod Number. What should be the standard format? Today some bureaus use straight numbers (i.e., 000089) and some use an alpha plus a number (i.e., A00089 or M00089) This issue has been resolved except for gaining full consensus on task and purchase order award modifications. 	
What type of issue is this? <input type="checkbox"/> Create requisition process/policy <input type="checkbox"/> IT (system name) _____ <input checked="" type="checkbox"/> Award contract process/policy <input checked="" type="checkbox"/> Bureau readiness preparation <input type="checkbox"/> Administer contract process/policy <input checked="" type="checkbox"/> End user training <input type="checkbox"/> Don't know <input type="checkbox"/> Other (please explain)	
What organization(s) may be impacted? <input checked="" type="checkbox"/> OS <input checked="" type="checkbox"/> NIST <input checked="" type="checkbox"/> Census <input checked="" type="checkbox"/> NOAA <input type="checkbox"/> PTO <input type="checkbox"/> Don't know <input type="checkbox"/> Not applicable <input type="checkbox"/> Other _____	
Describe the possible impacts on the organization(s) <ul style="list-style-type: none"> Beyond end user training costs, there may be costs for reprogramming reporting systems if those systems use those numbers in some 'intelligent' manner. Research must be done to identify and cost out the impacts and take a proposal to the <i>Acquisition Council</i>. This numbering schema would go a long way toward creating a common look and feel of contract awards across DOC. However, the CSTARs system does not edit this field. 	
Who needs to be involved in developing solution options for this issue? <ul style="list-style-type: none"> Acquisition staff across bureaus, Project core team members 	
Date by which this issue must be resolved <u>June 20, 2006</u>	
Who should be assigned to manage this issue to resolution? Jerry Rorstrom-Lee	
<ul style="list-style-type: none"> Who needs to make the decision to resolve this issue? Acquisition Council 	
Possible resolutions	
May 25, 2006	The Acquisition Council set the standards for the numbering of Solicitation amendments and award modifications. There is still some discussion and final decision making for task orders and purchase orders. <ul style="list-style-type: none"> The number will begin with an alpha character following by 3 alpha-numeric characters. Solicitation amendments: A (A001) Award Amendments M: Contact Modification (M001) X: Administrative Modification (X001) T: Task Order Modification (T001) P: Purchase Order Modification (P001) B: BPA, BOA Modification (B001)



Make SAM Templates Available	
Issue date: May 5, 2006	Issue submitter: Project team
<ul style="list-style-type: none"> The NOAA SAM (Acquisition Planning System) provides some 80 templates for procurement planning. They are accessible only to NOAA. All bureaus would like access to them. 	
What type of issue is this? <input type="checkbox"/> Create requisition process/policy <input type="checkbox"/> IT (system name) _____ <input type="checkbox"/> Award contract process/policy <input type="checkbox"/> Bureau readiness preparation <input type="checkbox"/> Administer contract process/policy <input type="checkbox"/> End user training <input type="checkbox"/> Don't know <input checked="" type="checkbox"/> Other (please explain)	
What organization(s) may be impacted? <input checked="" type="checkbox"/> OS <input checked="" type="checkbox"/> NIST <input checked="" type="checkbox"/> Census <input type="checkbox"/> NOAA <input type="checkbox"/> PTO <input type="checkbox"/> Don't know <input type="checkbox"/> Not applicable <input type="checkbox"/> Other _____	
Describe the possible impacts on the organization(s) <ul style="list-style-type: none"> Other bureaus could benefit from using these templates. 	
Who needs to be involved in developing solution options for this issue? <ul style="list-style-type: none"> John Abbott and Jan Dodi 	
Date by which this issue must be resolved <u>May 22, 2006</u> Date to follow-up _____	
Issue Priority: <input type="checkbox"/> Critical <input type="checkbox"/> Serious <input type="checkbox"/> Problematic <input checked="" type="checkbox"/> Easy	
Who should be assigned to manage this issue to resolution? <u>John Abbott</u>	
Who needs to make the decision to resolve this issue? <u>John Abbott and Jan Dodi</u>	
Resolution, not yet implemented	
	NOAA will bring the web pages on which they templates are defined out from behind the NOAA firewall so other bureaus can access them.



Resolved issues

Market Research Requirements
<p>If customers do informal market research during acquisition planning (1.1), why is formal market research by the procurement staff required as well? Is work being duplicated? Is this a case of rework? What is the division of labor between the customer and the acquisition office? What circumstances would change the division of labor?</p>
Resolution
<p>Customer driven and procurement driven market research are both needed. Each uses a different perspective. The differences in approach can be mitigated if procurement staff is involved in acquisition planning with the customer. However, even in such instances, there may be a significant time period between the planning and actual development of the solicitation. In these cases, the acquisition planning market research must be validated. The final reports (Volume I and II) explain the relationship of these activities and the people who perform them.</p> <p>FAR regulations regarding market research include:</p> <ul style="list-style-type: none">• FAR Part 10• FAR Part 10.002 (d)(1), (2), and (e)• FAR 12.101• FAR 7.102 (a)• FAR 6.303-2(a)(8) <p>In their role as Business Broker, Contract Specialists assist in market research by creating a synopsis designed to gather information on availability of supplies and services. Contract Specialist assists the Acquisition Team in planning phase on Market research.</p>
GSA Award Scenarios
<ul style="list-style-type: none">• GSA has described 16 acquisition (award) processes in significant detail. NOAA has put these processes into flow charts. <i>Should and how should</i> these processes be incorporated into this BPR and Data Standardization effort?• Incorporation of the GSA (FAR) processes would add a significantly higher level of detail. This may be helpful or may not be helpful. If used in some way, they would need updating as the FAR changes and, perhaps, CAR changes.
Resolution
<p>These workflows will be input to the next phase of the project. There is a proposal to create bureau model offices to develop and test business changes to leverage C.Request/ORSI/CSTARS technology (T.Cochran, et al.). If this work goes forward, these flows will be utilized</p>



Appendix A: AS IS Processes

Introduction

Appendix A contains the detailed analysis of the current “2.0 Award the Contract” and “3.0 Administer the Contract” sub-processes. NIST provided the baseline documentation against which the other bureaus (OS, Census and NOAA) compared themselves. Table A.1 summarizes the sub-processes.

Table A.1 Sub-process Summary

2.0 Award the Contract	3.0 Administer the Contract
2.1 Finalize plan for the solicitation process	3.1 Review contract terms
2.2 Conduct formal market research	3.2 Identify actions needed in contract
2.3 Formulate solicitation	3.3A Create/change a modification 3.3B Exercise options
2.4 Source selection and contract award	3.4 Approve deliveries and invoices
2.5 Complete award actions	3.5 Prepare for contract closeout
	3.6 Close-out contract
	3.7 Create closeout mod
	3.8 Archive the contract

Each sub-process has a single version with annotations for differences by bureau. Each sub-process has a discrete number of steps with defined components consisting of:

- Roles involved in executing the step
- Governing policies and practices that apply to the step
- Exceptions within the bureau for step execution
- Best practices used within the bureau
- Opportunities for improvement of current step execution

As you examine the analysis documentation, please consider the following:

- A blank cell means the bureau had no comment on the NIST baseline.
- AMD procedures are NIST bureau procedures. The other bureaus have their own internal procedures, which may or may not be online. Assume other bureaus do not use the AMD procedures.



2.0 Award the Contract

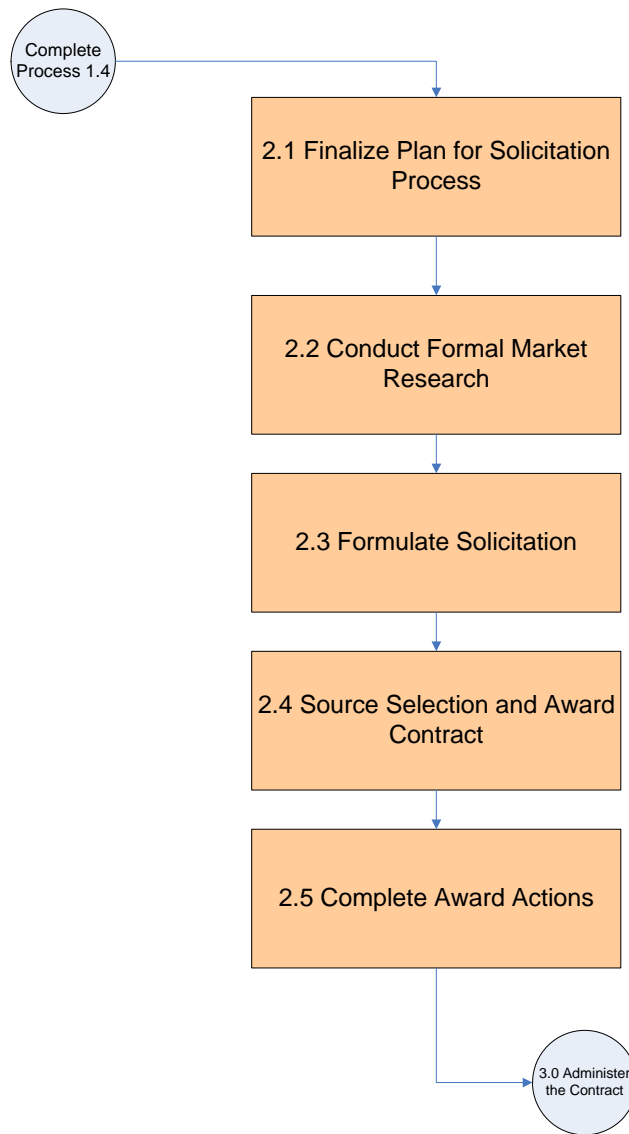


Figure A1: "2.0 Award the Contract" AS IS Process



2.1 Finalize Plan for Solicitation Process

	Technology	Triggering event
NIST All bureaus use CSTARS, but may use it differently	CSTARS (CSTARS)	Receive purchase request and, if applicable, supporting documentation

Process steps	Roles	Policies & practices	Exceptions steps	Best Practices	Opportunities for improvements
NIST 1. Purchase Request and supporting documents, as appropriate, are received in CSTARS and assigned to acquisition staff	Acquisition staff Program Manager (sends it over)	AMD procedures (Web page) CSTARS User Manual Administrative Manual Checklists	NTIS, TA and NIST Boulder submit paper requisitions.		Bring NTIS, TA and NIST Boulder on-line to C.Request.
NOAA differences: Process begins in SAM. Update SAM with PR package information.	Program Budget	Acquisition Handbook	For A&E, we publish requirement in FEDBIZOPPS and ask Vendors to submit SF 330 to contracting office.	Upfront communication works best.	

CBE BPR and Data Standardization
 2.0 Award the Contract
 3.0 Administer the Contract



Process steps	Roles	Policies & practices	Exceptions steps	Best Practices	Opportunities for improvements
Census differences: Requisition routed through CAMS. Hardcopy provided to Specialist. Supporting documents, generated in softcopy, are filed in Specialist's files. Requisition has to be keyed into CSTARTS after provided from CAMS. Tracking of pre-award and post-award contracts tracked using Excel.	Contract Specialist	AMD not used. Census procedures followed.	None		Make better use of checklists. Develop system where requisition delivered directly to Specialist versus routed through CAMS before delivering hardcopy.
OS differences:	Contract Specialist Program Office			Contracting and Program Offices need to meet before purchase request is received.	Start file with receipt of requirement.
NIST 2. Review Purchase Request and supporting documents, if appropriate, for completeness	Acquisition staff COR	Documents submitted IAW checklists posted on AMD Web site	If Purchase Request is for a task order, delivery order or BPA call, the supporting documents are reviewed to determine if work is in scope of contract/agreement. If not, new procurement may be needed.		Conduct more customer (program) training in all areas, especially on the supporting documents. CSTARTS training is not needed.

CBE BPR and Data Standardization
 2.0 Award the Contract
 3.0 Administer the Contract



Process steps	Roles	Policies & practices	Exceptions steps	Best Practices	Opportunities for improvements
NOAA differences: Identify COR: <ul style="list-style-type: none"> • Ask who is COR • Ask warrant level • Check on training status, if not certified 	Acquisition staff Program Office			Role out Workforce Assessment Database	Keep updated email list of CORs. Use list - until WAD is deployed.
Census differences: Assigned specialist for particular contractor will review documents for completeness. COR contacted for needed information/docs.	Contract Specialist COR	Census Bureau policies	Same as described		Same as NIST.
OS differences:			OS does not use C.Request yet. OS customers submit paper requests COTR ID is part of original documentation.		
NIST 3. Get clarification and/or additional documentation from customer if necessary	Acquisition staff Program or Administrative Requisitioner	AMD procedures (Web page) Administrative Manual Checklists FAR CAR		Checklists for requisitioners posted on web site.	

CBE BPR and Data Standardization
 2.0 Award the Contract
 3.0 Administer the Contract



Process steps	Roles	Policies & practices	Exceptions steps	Best Practices	Opportunities for improvements
NOAA differences:	Recognize inclusion of budget staff within programs offices.	Note: Documents can include: <ul style="list-style-type: none"> • Requisition • SOW • Independent Government Estimate, CD 492 if over \$250k • CD 570, over \$250k or under \$100k if not using small business • CAMS ACCS conversion sheet • Formal Acquisition Plan if greater than \$10M • Source Selection Documentation • WDOL wage determination SF 98 • If IT, get NITRB OR CITRB review • CCR verification 508 checklist			Customers should use SAM more and clearly state requirement in plan name in clear descriptive terms.
Census differences:		Census Bureau procedures.		Involve project management team as early as possible in the process. Keep informed of any changes/status.	Use web resources, especially for IT related systems. Develop better checklists. Generate models of SOWs, etc.
OS differences:				We often meet with customers prior to requirements submission.	Customers don't appear to reference checklists.
NIST 4. Review Purchase Request to ensure authorizations/special clearances received. (Goes back if not complete)	Acquisition staff Program or Administrative Requisitioner	AMD procedures (Web page) Administrative Manual Checklists FAR CAR			

Process steps	Roles	Policies & practices	Exceptions steps	Best Practices	Opportunities for improvements
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CBE BPR and Data Standardization
 2.0 Award the Contract
 3.0 Administer the Contract



Process steps	Roles	Policies & practices	Exceptions steps	Best Practices	Opportunities for improvements
NOAA differences:	Recognize inclusion of budget staff within programs offices.				Maintain list of authorized signatories with signature cards.
Census differences: Documentation is received in an erratic way. It is not packaged with the requisition(s), and comes through a variety of sources/channels.					Supporting documents should be delivered through the same systems that provided the requisition.
OS differences:					
NIST 5. Purchase Request package is complete and all authorizations received. (May or may not be sent back/	Acquisition staff Program or Administrative Requisitioner	AMD procedures (Web page) Administrative Manual Checklists FAR CAR			
NOAA differences:				Ensure AAP is in the process.	More collaboration in use of SAM.
Census differences:					Develop a list of authorized officials to submit requests for acquisitions, who signs or shows some form of approving the supporting documents.
OS differences:					

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Process steps	Roles	Policies & practices	Exceptions steps	Best Practices	Opportunities for improvements
NIST 6. If applicable, send notification to requestor (if applicable, with copy of draft milestone plan).	Acquisition staff Program or Administrative Requisitioner	AMD procedures (Web page) Administrative Manual Checklists FAR CAR	Applies only to procurements over \$100,000.		
NOAA differences: Combine requirements where possible based on data in SAM and on CD 435s received.		NOAA AGO Policy	When requirement is unique - this is the norm.	Keep program informed.	Perform spend analysis on a regular basis to identify possible opportunities for establishing IDVs for commonly acquired goods and services.
Census differences: This is not a systematic step currently in use.					Change current procedures to provide the project manager with an acknowledgment that all need documents/information have been received. Also, provide an estimated timeline for contract award.
OS differences:					



2.2 Conduct Formal Market Research

	Technology	Triggering event
NIST	CSTARS (CSTARS) FedBizOpps FedBid CCR Various vendor search engines	Receipt of requisition, accompanied with an acquisition plan at appropriate dollar threshold. Acquisition staff and a statement of requirements. Finalization of solicitation plan. Acquisition staff requires that requisitioners perform market research prior to submission of their requisition - steps that should be a part of 1.1 are noted.
NOAA differences:		
Census differences:	Plus GSA Advantage, JWOD List, Google, and UNICOR Lists.	
OS differences:		

Process steps	Roles	Policies & practices	Exceptions steps	Best Practices	Opportunities for improvements
NIST 1. Check priority sources for availability	Acquisition staff Small Business Specialist	AMD procedures (Web page) Administrative Manual Checklists FAR CAR		Customers perform market research prior to submission of requisition.	The requisitioner should always do this and should always be a part of 1.1.
NOAA differences: Post RFI on FEDBIZOPPS or Fed Supply Schedule (E-BUY). Use internet to research companies.	Program staff, if has suggested source SADBU			Program people do their market research and request/obtain program evaluation criteria during acquisition planning.	Program people do their market research.

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Process steps	Roles	Policies & practices	Exceptions steps	Best Practices	Opportunities for improvements
Census differences: Plus GSA Advantage, JWOD list, Google, and UNICOR lists.		Census Bureau procedures		Customers perform market research prior to requisition submission, plus the assistance of the Acquisition staff.	More training on available sources for needed services and supplies.
OS differences:					
NIST 2. If not available from priority sources, determine extent of competition	Acquisition Staff Small Business Specialist	AMD procedures (Web page) Administrative Manual Checklists FAR CAR	8a direct award and SBIR.		
NOAA differences:				Forward RFI results to program office for determination of capabilities	
Census differences:		Also Census Bureau policies	Encourage their clients to conduct marketing research, i.e. capabilities, sources, etc. Clients are restricted from requesting quotes & proposals.		
OS differences:					

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Process steps	Roles	Policies & practices	Exceptions steps	Best Practices	Opportunities for improvements
NIST 3. Review submitted market research and/or identify open market sources (submit RFI, etc)	Acquisition Staff	AMD procedures (Web page) Administrative Manual Checklists FAR CAR			Use FedBizOpps for RFI.
NOAA differences:		Plus AGO Handbook			
Census differences:		Plus IAW Census Bureau procedures.			
OS differences:					
NIST 4. Schedule pre-solicitation conference as necessary	Acquisition staff, program Requisitioner Vendors	Over \$100,000 and not commercial. AMD procedures (Web page) Administrative Manual Checklists FAR CAR			
NOAA differences:					
Census differences: Refer to Conference as "Industry Day."		Usually limited to larger projects.		Spread the net wide for sources.	

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Process steps	Roles	Policies & practices	Exceptions steps	Best Practices	Opportunities for improvements
OS differences:					
NIST 5. Make set-aside determination and send to small business specialist for review and concurrence	Acquisition Staff Small Business Specialist Over \$100,000 OSDBU	AMD procedures (Web page) Administrative Manual Checklists FAR CAR			
NOAA differences: If not using small business, provide justification to NOAA SADB					
Census differences:		Plus Census Bureau procedures.			
OS differences:					
NIST 6. Develop source list as applicable (under \$25,000, GSA; 8A direct award)	Acquisition staff Program Requisitioner				The requisitioner should do this and should always be a part of 1.1.
NOAA differences:	Requisitioner			Majority of time NOAA has requisitioner do this under 1.1.	
Census differences:					

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Process steps	Roles	Policies & practices	Exceptions steps	Best Practices	Opportunities for improvements
OS differences:					
NIST 7. Develop final acquisition plan, send to program for review, receive back, review and finalize. Develop source selection plan, if applicable.	Acquisition staff Program Requisitioner DOC Legal for solicitations over \$5 million	Source selection plan, if over \$100,000 DAO DOC FAR CAR	Commercial items under test program may not need acquisition plan. For acquisition plans over 5 million the SOW, evaluation, market research, etc. all need to be complete before presenting to DOC.		
NOAA differences:			A&E does not require an acquisition plan		
Census differences:					Should the DOC solicitation review trigger amount be \$10M?
OS differences:					



2.3 Formulate Solicitation

	Technology	Triggering event
NIST All bureaus basically the same	CSTARS (CSTARS) FedBizOpps FedBid (reverse auction for supply & equipment types of bids)	Definition of market and identification of acquisition requirements

Process steps	Roles	Policies & practices	Exception steps	Best Practices	Opportunities for improvements
NIST 1. Discuss acquisition strategy, SOW, technical evaluation strategy (identify evaluation teams), and justifications with requestor as needed.	Acquisition staff Program Requisitioner Legal	AMD procedures (Web page) Administrative Manual Checklists FAR CAR			Should be a part of 1.1, typically done at this stage.
NOAA differences: Acquisition strategy is identified early on. A reassessment may result in changes.					
Census differences:		Census Bureau procedures			
OS differences:					
NIST 2. Determine solicitation method and level of competition	Acquisition staff Small business specialist	AMD procedures (Web page) Administrative Manual Checklists FAR CAR			

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Process steps	Roles	Policies & practices	Exception steps	Best Practices	Opportunities for improvements
NOAA differences:		Plus NOAA Acquisition Handbook			
Census differences:		Plus Census Bureau procedures			
OS differences:					Start using FedBid.
NIST 3. Prepare solicitation/RFO, RFP	Acquisition staff Legal	AMD procedures (Web page) Administrative Manual Checklists FAR CAR	Send solicitation to level if: Over \$100,00 sole source Over \$250,000 for competitive review Over \$25,000 and not GSA or 8a.		
NOAA differences:	Plus Program Requisitioners	Plus NOAA Acquisition Handbook			
Census differences:			Also, approval of any amount above \$100,000 for services by the Chief of Finance through a DAO 208-10.		
OS differences:					
NIST 4. If oral, call contractor and get quote	Acquisition staff	AMD procedures (Web page) Administrative Manual Checklists FAR CAR	This step can be used only for solicitations under \$25,000.		
Process steps	Roles	Policies & practices	Exception steps	Best Practices	Opportunities for improvements

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NOAA differences:		Plus NOAA Acquisition Handbook		Email communication provides documentation	Call vendor when emailing
Census differences:		This sep applies to Simplified acquisitions only.			
OS differences:					
NIST 5. Prepare Synopsis and post to FedBizOpps	Acquisition staff Program Requisitioner Legal (\$100K sole source or \$250K competitive)	AMD procedures (Web page) Administrative Manual Checklists FAR CAR			
NOAA differences:					Clarification of requirements for posting on FedBizOpps and GSA E.Buy.
Census differences:		Change AMD to Census Bureau			
OS differences:			Post requirements for Commits on IBOP.		

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2.4 Source Selection and Award Contract

	Technology	Triggering event
NIST OS and NOAA differences among bureaus except Web site	CSTARS (CSTARS) Dun and Bradstreet AMD Web site	Issuance of solicitation Review and formal evaluation of proposals
Census differences	Plus CAMS	

Process steps	Roles	Policies & practices	Exception steps	Best Practices	Opportunities for improvements
NIST 1. Issue an RFQ/RFP or combined synopsis/solicitation, amending as necessary. Conduct on-site visits, pre-proposal conferences and receive questions for review and response.	Acquisition staff Program Requisitioner Vendors	AMD procedures (Web page) Administrative Manual Checklists FAR CAR Amend RFQ/RFP with responses to questions.	Process steps are generally simplified for Task Orders, Delivery Orders and BPA Calls.		
NOAA differences: NOAA has a different approach to A&E 2.1 Publicize the requirement; request firms submit SF330s; A&E exempt from acquisition plan 2.2 Conduct source selection to determine best technically accepted firms 2.3 Issue solicitation. Before issue involve CRB, legal and Procurement official 2.4 Conduct price negotiations 2.5 Award contract. Before award involve CRB, legal and Procurement official					

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Process steps	Roles	Policies & practices	Exception steps	Best Practices	Opportunities for improvements
Census differences:		Plus Census bureau procedures.			
OS differences:					
NIST 2. Receive proposals/offers; review for compliance with solicitation, RFQ/RFP; as appropriate, prepare sources selection memo and send technical proposals to evaluation team; send cost proposals to team for evaluation	Acquisition staff Program Requisitioner Technical evaluation team	Price evaluation Price lists Historical data Internal procures/policies AMD procedures (Web page) Administrative Manual Checklists FAR CAR	Large business solicitations require a review of the subcontracting plan submission. It is submitted to DOC and CO for review/approval.		
NOAA differences:					
Census differences:		Plus Census Bureau procedures.			
OS differences:					
NIST 3. Review technical and cost evaluations from panel. Perform cost and/or price analysis.	Acquisition staff Program Requisitioner Technical evaluation team	Panel when over \$100K. There is no cost analysis for simplified only price only.			
NOAA differences:	Plus Legal				

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Process steps	Roles	Policies & practices	Exception steps	Best Practices	Opportunities for improvements
Census differences:		Depends on whether it is formal or commercial acquisition. Dependent on vehicle used.			
OS differences:					
NIST 4. Conduct oral presentations and/or clarifications/negotiations as appropriate	Acquisition staff Program Requisitioner, vendors	FAR CAR	Determine competitive range if negotiated		
NOAA differences:	Plus Legal				
Census differences:					
OS differences:					
NIST 5. Final proposals reviewed, if applicable; negotiation summary and source selection documentation prepared	Acquisition staff Program Requisitioner	AMD procedures (Web page) Administrative Manual Checklists FAR CAR			
NOAA differences:					

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Process steps	Roles	Policies & practices	Exception steps	Best Practices	Opportunities for improvements
Census differences:		Plus Census Bureau procedures.			
OS differences:					
NIST 6. Obtain additional funds if necessary	Acquisition staff Program or Administrative Requisitioner				
NOAA differences:					
Census differences:					
OS differences:					
NIST 7. COR identified and appointed	Acquisition staff Program or Administrative Requisitioner	AMD procedures (Web page) Administrative Manual Checklists FAR CAR			
NOAA differences: Formal appt made but identification usually occurs prior to submission of CD 435					

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Process steps	Roles	Policies & practices	Exception steps	Best Practices	Opportunities for improvements
Census differences: Term COTR used at Census Bureau					COR should be identified early in the planning process. Formal designation takes place at award.
OS differences:					
NIST 8. Final vendor selection for award (person usually identified in acquisition planning); Verify vendor is not debarred/suspended and financial responsibility of vendor	Acquisition staff	CCR DUNS and Bradstreet Debarred list FAR CAR			Check debarred list for all procurements (not always done for simplified) - typically done at award, should be done prior to award.
NOAA differences:					
Census differences:					Check the debarred list prior to soliciting proposals. Recheck list at time the vendor is selected. Should include Simplified at all times as well.
OS differences:			Check debarred list at time of proposal receipt and before award		

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Process steps	Roles	Policies & practices	Exception steps	Best Practices	Opportunities for improvements
<p>NIST 9. Contract File is set up. Draft award is completed in CSTARs and routed for review and approval (Electronic and Physical file) and is signed by the CO. Note: CO's approves FPDS-NG report at same time and in a final state.</p>	Acquisition staff	Award must have hard (physical) signature of Contracting Officer			
NOAA differences:				Set up contract file early and add materials as obtained and developed.	
Census differences:			Requires a hard signature on the original contract, but was authorized by DOC to accept a faxed copy for modifications, without having an original signature in the contract file.		



2.5 Complete Award Actions

	Technology	Triggering event
NIST OS and NOAA bureaus basically the same, except only NIST has File Trail technology	CSTARS (CSTARS) FedBizOpps E-Mail CFS File Trail	Contract is awarded
Census differences	Plus CAMS	

Process steps	Roles	Policies & practices	Exceptions steps	Best Practices	Opportunities for improvements
NIST 1. Post award synopsis as required to FedBizOpps and letters sent to unsuccessful bidders	Acquisition staff	Synopsis posting required for awards over \$100K CAR FAR			
NOAA differences:					
Census differences:					
OS differences:					
NIST 2. Reconciliation obligates in CSTARS. Includes: Verify that the FPDS has been created and approved (final status)	Procurement clerk	CSTARS Reconciliation Manual			

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Process steps	Roles	Policies & practices	Exceptions steps	Best Practices	Opportunities for improvements
NOAA differences: NOAA enters data to FPDS manually	Acquisition staff			Approve FPDS promptly.	Develop mechanism to prompt CO to sign FPDS.
Census differences: Census Bureau does it in CAMS.					
OS differences:					
NIST 3. Physical distribution is completed (Vendor sent copy; administrative offices sent files/copies)	Procurement clerk	AMD internal policy and procedures			An e-mail should be sent to the COR to notify them award has been made.
NOAA differences:	Acquisition staff, not procurement clerks				
Census differences:	Contract Specialists, not procurement clerks				
OS differences:		Send copy of award document directly to COR			
NIST 4. Contract file processed in File Trail (automated tracking system) by procurement clerks and physically filed.	Procurement clerk	AMD internal file trail policy		All files are maintained in a central file room with File Trail, an automated file tracking system (bar coded).	

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Process steps	Roles	Policies & practices	Exceptions steps	Best Practices	Opportunities for improvements
NOAA differences: Files tracked manually.		Acquisition Handbook			Get File Trail system.
Census differences: Individual specialists file documents.	Contract Specialists				In the process of centralizing contract files in hardcopies and softcopies. Get File Trail system.
OS differences: Files tracked manually.					Get File Trail system.
NIST 5. Schedule and conduct debriefing, if necessary	Acquisition staff Unsuccessful bidders Program staff (COR)	FAR CAR			
NOAA differences:		Acquisition Handbook			
Census differences:					
OS differences:					
NIST 6. Protests defended and resolved	Acquisition staff Legal	FAR CAR			
NOAA differences:		Acquisition Handbook			
Census differences:					
OS differences:					



3.0 Administer the Contract

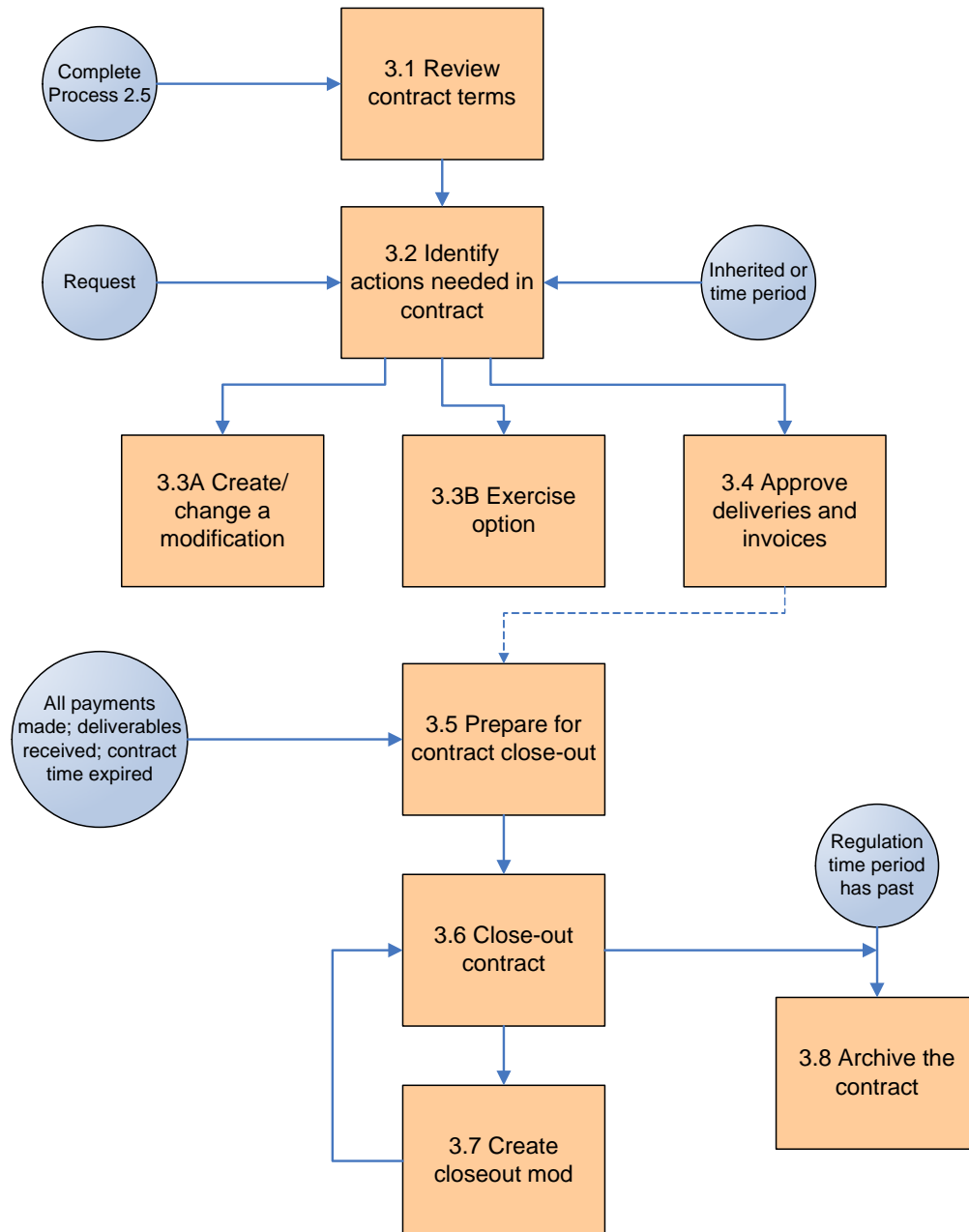


Figure A2: "3.0 Administer the Contract" AS IS Diagram



3.1 Review Contract Terms

	Technology	Triggering event
NIST All bureaus use CSTARS, although some may use it differently	CSTARS	Finalized award is ready for administration

Process steps	Roles	Policies & practices	Exception steps	Best Practices	Opportunities for improvements
NIST 1. Contract understood by all; Kick-off meeting	Contract (procurement) Specialist COR Successful vendor (contractor)			NIST acquisition staff performs duties from cradle to grave. The staff is not split into pre and post award teams.	
NOAA differences:	Normally, Contracting Officer, not Contracting Specialist	FAR 42.5	Simplified Acquisition	Pre-meeting with COR & CO prior to Contractor(s) meeting to ensure that COR is familiar with the terms and conditions of the contract.	
Additional NOAA Monitor and document performance	COR CO	FAR part 42 & 46.4			
Additional NOAA Maintain contract file in accordance with FAR, CAR, and conditions in contract	CO COR Contractor(s)				

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Process steps	Roles	Policies & practices	Exception steps	Best Practices	Opportunities for improvements
Census differences:				Standard agenda for kickoff meeting to address performance measures, invoicing, deliverables, etc.	
OS differences:					
NIST 2. Meetings and resolution of disputes. Can result in Stop work order. Termination for default or convenience. Failure to deliver.	Legal COR Acquisition staff				
NOAA differences: Determine if met.	COR				
Census differences:		FAR			
OS differences:					
NIST 3. Deliverables or performance requirements are met.	Acquisition staff COR Contractor				
NOAA differences:					

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Process steps	Roles	Policies & practices	Exception steps	Best Practices	Opportunities for improvements
Census differences:		Quality Assurance Plan is followed to ensure Contractor complies with the requirements of the contract. Check performance with requirements set forth in the Performance Summary Table. The plan and table should align.			
OS differences:					



3.2 Identify Actions Needed in Contract

	Technology	Triggering event
NIST All bureaus use CSTARS, but may use it differently	CSTARS	Periodic File Review

Process steps	Roles	Policies & practices	Exception steps	Best Practices	Opportunities for improvements
NIST 1. Review, if inherited	Acquisitions staff	No modification required for change in CO			Perform periodic file review (workload and staffing issue).
NOAA differences:				Review, if inherited	
Census differences:					
OS differences:		Changes in CO assignment required modification.			
NIST 2. Review, if action is required	Acquisitions staff				
NOAA differences:					
Census differences:					
OS differences:					



3.3A Create a Modification

	Technology	Triggering event
NIST OS and NOAA bureaus use CSTARTS, but may use it differently	CSTARTS	A requisition is received or administrative issue is identified on a change to terms and conditions. Note: Task Order, Delivery Order are incorporated into 2.1 and 3.2B Exercise Option.
Census differences:	Plus CAMS	

Process steps	Roles	Policies & practices	Exception steps	Best Practices	Opportunities for improvements
NIST 1. Become aware that a modification needs to be made to an award and/or, if a change in funding, receive Purchase Request in CSTARTS requesting change to award	Acquisition staff COR Contractor Administrative Office	AMD procedures (Web page) Checklists FAR CAR			
NOAA differences Receive requisition for change to/order against the contract 1 - Administrative 2 - Novation 3 - Change order 4 - Contract closeout	CO COR	Plus NOAA AGO policy		Timely communication.	Monitor SAM.
NOAA differences 3.3.1.1 Administrative Modification • Change CO/COR of record. • Change Addresses on file • Internal Company Name Change	CO Legal	Plus NOAA AGO policy	Not an administrative		
NOAA differences 3.3.1.2 Novation • Vendor Name change • Parent company changes	CO & Contractor(s) Legal	Plus NOAA AGO policy	No Novation agreement		

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Process steps	Roles	Policies & practices	Exception steps	Best Practices	Opportunities for improvements
NOAA differences 3.3.1.3 Change Order <ul style="list-style-type: none"> Adding or deleting line items/accounting lines on contract Obligating or de-obligating funds on the contract. 	CO Contractor(s)	Plus NOAA AGO policy	Not Change order		
NOAA differences 3.3.1.4 closeout Modification	CO Contractor(s) Finance Office(s)	FAR, CAR, NOAA AGO Policy	Not closeout modification		
Census differences: The need for a modification may be originated by the COR or Contracting Officer, or Contract Specialist, depending on the requirement, i.e. funding, option period, etc.	COR CO/CS			Document all modifications, reason for modification, justification for modification, etc.	
OS differences:		Modifications required for changes in CO assignment.			
NIST 2. Review for accuracy, to determine if all supporting documents are attached and to determine if work is in scope	Acquisition staff COR Legal (as appropriate)	If outside scope new procurement may need to be initiated. AMD procedures (Web page) Checklists FAR CAR			

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Process steps	Roles	Policies & practices	Exception steps	Best Practices	Opportunities for improvements
NOAA differences: 3.3.2.1 Ensure that requisition is tied to SAM prior to taking action	CO/CS	Plus NOAA AGO Policy	Non-Change Orders		
Census differences:		The Contracting Office, in coordination with the COR, will determine whether changes to the requirements are in scope.		Document conclusions.	
OS differences:					
NIST 3. Negotiate with contractor, if necessary	Acquisition staff Contractor	FAR CAR			
NOAA differences: 3.3.3 Task/Delivery Order process as award document in accordance to the terms of the existing contract	Plus Program staff (customer)	Plus NOAA AGO Policy	Non-Change Orders		
Census differences:					
OS differences:					Hold discussions with Program Office.
NIST 4. Prepare modification in CSTARS and prepare file documentation	Acquisition staff	CSTARS Users Manual			
NOAA differences: 3.3.4.1 Complete FPDS on Modification where required	CO/CS	FAR CAR NOAA AGO Policy			

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Process steps	Roles	Policies & practices	Exception steps	Best Practices	Opportunities for improvements
Census differences:					
OS differences:					
NIST 5. Submit for review and approval (electronic and physical) and CO signature	Acquisition staff	Signature on hard (physical) copy by CO required.			
NOAA differences:					
Census differences:		If modification requires funds obligation, the modification is generated in CSTARTS. However, the action is not approved in CSTARTS until it is accepted in CAMS.			
OS differences:					
NIST 6. Reconciliation obligates in CSTARTS	Procurement clerks	Reconciliation Manual			
NOAA differences: Enter FPDS-NG completed manually				CO approves FPDS promptly	Mechanism to prompt CO to approve promptly
Census differences:		If modification requires funds obligation, the modification is generated in CSTARTS. However, the action is not approved in CSTARTS until it is accepted in CAMS.			

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Process steps	Roles	Policies & practices	Exception steps	Best Practices	Opportunities for improvements
OS differences:					
NIST 7. Distribution is completed and copy is filed in official contract file	Procurement clerks	PPM (Policy and Procedure Memorandum: Internal procedures)			
NOAA differences:	Acquisition staff	No PPM; use Acquisition Handbook			
Census differences:		Contract Specialist makes distribution. Originals are provided to Finance, Contractor, COR, and Contract File. If it applies to tasks, additional copies may be provided to each task manager.			
OS differences:					



3.3B Exercise Option

	Technology	Triggering event
NIST OS and NOAA bureaus use CSTARS, but may use it differently	CSTARS	Acquisitions becomes aware that an option needs to be exercised or award closed
Census differences:	Plus CAMS	

Process steps	Roles	Policies & practices	Exception steps	Best Practices	Opportunities for improvements
NIST 1. Become aware that an option needs to be exercised	Acquisition staff COR	AMD procedures (Web page) Checklists FAR			
NOAA differences:					Issue emails alerts via CSTARS.
Census differences:	Contract Specialist	Could be initiated by Program office or Acquisition office.			
OS differences:				Use CSTARS to issue action alert	
NIST 2. COR indicates intent to exercise option	Acquisition staff COR	FAR	If not, continue with steps to close out award		
NOAA differences:				Enter requirement in SAM	

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Process steps	Roles	Policies & practices	Exception steps	Best Practices	Opportunities for improvements
Census differences:		Acquisition staff prompts COR approximately 70 days prior to execution of option period. If COR wants the execution of the option period, then a notice will be delivered to the Contractor. Modification for the execution of option period is normally unilateral if notice letter is submitted to the Contractor. There are also other types of options, i.e. execution an option for additional items, etc. These options could be unilateral or bilateral.			
OS differences:				Notify contractor if option is or is not being exercised.	
NIST 3. Send intent letter to contractor and request Option Memo and Past Performance Report from COR	Acquisition staff COR Contractor	FAR	(Price and performance evaluation required to exercise option if over \$100,000)		
NOAA differences: COR completes Past Performance Report		FAR 52.217-9			

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Process steps	Roles	Policies & practices	Exception steps	Best Practices	Opportunities for improvements
Census differences:					
OS differences:					
NIST 4. Receive documents back from COR, review and negotiate with contractor, as necessary	Acquisition staff COR	AMD procedures (Web page), checklists, FAR			
NOAA differences: If labor hour contract will negotiate.	Plus Contractor	Acquisition Handbook			
Census differences:					
OS differences:					
NIST 5. Prepare modification in CSTARTS and D&F (Determinations & Findings) for option and file documentation	Acquisition staff	CSTARTS Users guide Checklists PPM			
NOAA differences:		Acquisition Handbook in place of PPM			Make consistent use of checklists.
Census differences:					
OS differences:			Bilateral		
NIST 6. Submit for review and approval (electronic and physical) and CO signature on modification and D&F	Acquisition staff	Signature on hard (physical) copy by CO required			

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Process steps	Roles	Policies & practices	Exception steps	Best Practices	Opportunities for improvements
NOAA differences:					
Census differences:			Legal review required when over \$100,000 or option is not priced, and is for services. (Commerce policy)		
OS differences:					
NIST 7. Reconciliation obligates in CSTARs	Procurement clerks				
NOAA differences: Input FPDS manually	Acquisition staff				
Census differences:	Contract Specialist	CAMS			
OS differences:					
NIST 8. Distribution is completed and copy is filed in official contract file	Procurement clerks	PPM Checklists			
NOAA differences:	Acquisition staff	No PPM. Use AGO Acquisition Handbook			
Census differences:	Contract Specialist				
OS differences:					

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3.4 Approve Deliveries and Invoices

	Technology	Triggering event
NIST All bureaus use the same systems	CSTARS CFS	Received deliverables and/or invoice

Process steps	Roles	Policies & practices	Exceptions steps	Best Practices	Opportunities for improvements
NIST 1. Notification/ documentation of receipt of goods or service (R&I)	Shipping and Receiving Acquisition Staff, COR POC	FAR			
NOAA differences: 3.4.1 Before sending to COR/CO Inspect goods and services Complete OF-347 (receiving document)	COR Property Official (as required)	FAR 46.5			
Census differences:					Currently, copies off the deliverables are not provided to the Acquisitions Office. Enforce requirement.
OS differences:					

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Process steps	Roles	Policies & practices	Exceptions steps	Best Practices	Opportunities for improvements
NIST 2. Invoices to COR/CO for approval; copy for file and original to finance	Acquisition Staff COR POC Finance		If invoice is not approved contact contractor to resolve or resubmit invoice.		AMD may not see if for simplified; send all invoiced actions through AMD
NOAA differences: 3.4.2 Accept goods and services by line item	COR	FAR 46.5			
Census differences:					Need a more watertight process for receiving, controlling, and payment of invoices.
OS differences:			Return invoice within 7 days		
NIST 3. Payment Issued	Finance				
NOAA differences: 3.4.3 Report receipt of accountable personal and real property	COR Property Official				
Census differences:		Finance should not make payment until documentation of acceptance is received. Ensure invoices/vouchers are in proper format.			
OS differences:					

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Process steps	Roles	Policies & practices	Exceptions steps	Best Practices	Opportunities for improvements
NIST 4. Request for additional funds if invoiced amount is higher than award obligation.	Acquisition staff COR POC Administrative Officer	Justification for higher cost. If ratification for an unauthorized procurement, follow regulations to ratify.			
NOAA differences: 3.4.4 Approve Payment by COR and CO	COR CO				
NOAA differences: 3.4.4.1 Receive Invoice (must meet requirements of contract)	COR	FAR (Far 52.232-25) CAR NOAA AGO Policy			
NOAA differences: 3.4.4.2 COR to ensure availability of Funds	COR	FAR CAR NOAA AGO Policy			
NOAA differences: 3.4.4.3 Submit signed invoice from COR to CO for CO review	COR CO	FAR CAR NOAA AGO Policy			
NOAA differences: 3.4.4.4 CO to ensure availability of funds	CO	FAR CAR NOAA AGO Policy			
NOAA differences: 3.4.4.5 Match invoice to receiving report and obligating document; Submit Invoice to finance office	CO & Finance Office	FAR 32.9			Identify and institute common procedure for when COR sends invoice directly to Finance. Some offices do if amount of total award is less than \$100,000

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Process steps	Roles	Policies & practices	Exceptions steps	Best Practices	Opportunities for improvements
Additional NOAA Steps 3.4.5 Pay Vendor	Finance Office				
3.4.5.1 Receive approved invoice Finance Office receives an approved invoice through Buying Office	Finance Office	DOD FMR Volume 10, Chap 9, Sec 0903			
3.4.5.2 Ensure availability of funds Verify accounting records (matching process)	Finance Office	FAR 32.702			
3.4.5.3 Verify EFT information Finance Office originally obtained EFT information when they received the obligation document. This information must be verified before payment.	Finance Office	FAR 32.11			

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Process steps	Roles	Policies & practices	Exceptions steps	Best Practices	Opportunities for improvements
3.4.5.4 Process Payment Produce payment requests and create an electronic voucher that is transmitted to Treasury for disbursement	Finance Office	FAR 32.0			
3.4.5.5 Verify Off-sets Verify if payment should be reduced due too amounts owed to government by contractor(s)	Finance Office / Treasury DFAS	Debt Collection Improvement Act PL 104-134			
3.4.5.6 Transfer Funds Pay via check of EFT	Finance Office, Federal Reserve, DFAS				
Census differences: Modification is not automatically presumed. To determine if the required notifications by the Contractor were submitted. Investigation conducted to determine if basis for addition is justified. DAO 208-10 may have to be modified if the ceiling price estimated in the original DAO 208-10 will be exceeded as a result of the modification.					
OS differences:					



3.5 Prepare Contract Closeout

	Technology	Triggering event
NIST	CSTARS	Contract expires, all payments made and/or all deliverables received
NOAA differences:		
Census differences:		
OS differences:		Sections 3.5 and 3.6 should be switched in terms of order

Process steps	Roles	Policies & practices	Exceptions steps	Best Practices	Opportunities for improvements
<p>NIST</p> <p>1. Become aware that final payment has been made/contract is ready to be closed out</p>	Acquisition staff COR	Notification from Accounts Payable Expired award report Note: In cost type contracts final settlement has been negotiated with contractors.			Clerks occasionally close out awards with options. It is not always obvious from information they receive that award has an option that may be exercised
<p>NOAA differences:</p> <p>Before this, COR and CO certify that all work has been completed. Settle all claims -outcome is a release of claims letter from contractor Issue final past performance evaluation Ensure that final payment has been made/contract is ready to be closed out</p>	Finance Office	FAR 4.804-5(a) FAR 4.804-5(a)(14) 42.15	Simplified		

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Process steps	Roles	Policies & practices	Exceptions steps	Best Practices	Opportunities for improvements
Census differences:			Contracting Officer must approve final payment. This is done after all other closeout steps have been completed.		
OS differences:					
NIST 2. Perform desk audit to ensure all deliverables received/accepted there are no outstanding invoices	Acquisition staff COR	FAR			
NOAA differences:		FAR 4.804-5(a)			
Census differences:			Census acquisition staff relies on final performance assessment by the COR indicating whether or not all deliverables have been received and accepted.		
OS differences:					
NIST 3. Determine if funds needs to be de-obligated; if so, request requisition	Acquisition staff COR				
NOAA differences:	Plus Vendor Finance				

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 2.0 Award the Contract
 3.0 Administer the Contract



Process steps	Roles	Policies & practices	Exceptions steps	Best Practices	Opportunities for improvements
Census differences:					
OS differences:			If Pre-CSTARS, requisition is not needed		
NIST 4. If audit is required, request from DCAA	Contract (procurement) Specialist	FAR			
NOAA differences: Place NIST 3 before NIST 4.					
Census differences:					
OS differences:					



3.6 Closeout Contract

	Technology	Triggering event
NIST	CSTARS, File Trail	Contract identified for closeout.
NOAA differences:	No File Trail	
Census differences:	No File Trail	
OS differences:	No File Trail	Sections 3.5 and 3.6 should be switched in terms of order

Process steps	Roles	Policies & practices	Exception steps	Best Practices	Opportunities for improvements
NIST 1. Contract is ready to be closed out, if applicable, modification to de-obligate additional funds has been completed.	Acquisition staff COR Administrative Officer				
NOAA differences:					
Census differences:					
OS differences:				Steps 1 and 2 should be switched.	
NIST 2. Negotiate final settlement with contactor for cost type contracts	Acquisition staff contractor, COR	FAR			
NOAA differences: NOAA does this in 3.5		5.4.804-5(a)(14)			
Census differences:					
OS differences:			If applicable		

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Process steps	Roles	Policies & practices	Exception steps	Best Practices	Opportunities for improvements
NIST 3. Send COR closing memo and performance report and send contractor release of claims form and performance report.	Acquisition staff Contractor COR	FAR			
NOAA differences: Do in 3.5					
Census differences:					
OS differences:				Do this after 3.6 step 2	
NIST 4. Receive reports back. File closeout documents and close physical file. Input closed status/information in File Trail and CSTARS	Acquisition staff Contractor COR Systems Administrator Procurement clerks	Checklists PPM CSTARS Users Guide		All files are maintained in a central file room and an automated file tracking system is used.	
NOAA differences:					
Census differences:					
OS differences:					

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Process steps	Roles	Policies & practices	Exception steps	Best Practices	Opportunities for improvements
NIST 5. Send contractor final performance report	Acquisition staff	FAR			
NOAA differences:					
Census differences:					
OS differences:					



3.7 Create Closeout Mod

	Technology	Triggering event
NIST All bureaus are the same.	N/A	N/A

Process steps	Roles	Policies & practices	Exception steps	Best Practices	Opportunities for improvements
NIST 1. Step is not needed - part of 3.6					
NOAA Differences 3.7.1 Create modification for close out	CO				
NOAA Differences 3.7.2 Obligate/De-obligate any funds remaining on the contract. Update FPDS-NG	CO				
NOAA Differences 3.7.3 Complete contract close out form in CSTARs	CO				
Census differences: Step is needed to incorporate final indirect cost rates for cost type contracts and for any negotiated monetary settlement of audit findings.	Acquisition staff Contractor COR				
OS differences:					



3.8 Archive the Contract

	Technology	Triggering event
NIST	CSTARS, File Trail	
NOAA differences:	No File Trail	
Census differences:	No File Trail	
OS differences:	No File Trail	

Process steps	Roles	Policies & practices	Exception steps	Best Practices	Opportunities for improvements
NIST 1. Closed contract is ready to be archived	Procurement clerks	Closed files are kept for one year before archiving. Awards dealing with asbestos for 30 years.			
NOAA differences:					
Census differences:					
OS differences:					
NIST 2. Archived status input into CSTARS	CSTARS system administrator				
NOAA differences:					
Census differences:					
OS differences:					

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Process steps	Roles	Policies & practices	Exception steps	Best Practices	Opportunities for improvements
NIST 3. Physical file pulled and boxed and sent to records storage IAW NARA; length of storage time determined; list kept so can retrieve from NARA	Procurement clerks NARA Records Management	FAR NARA			
NOAA differences:					
Census differences:					
OS differences:					
NIST 4. Archived status in File-Trail	Procurement clerks				
NOAA differences: No File Trail	Acquisition staff (not clerks)				
Census differences: No File Trail					
OS differences: No File Trail					