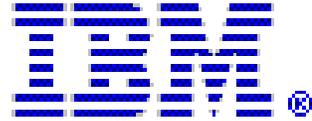


United States Agency for International Development

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USAID HIV/AIDS Segment Acquisition & Assistance

Business and Information Architecture

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Final



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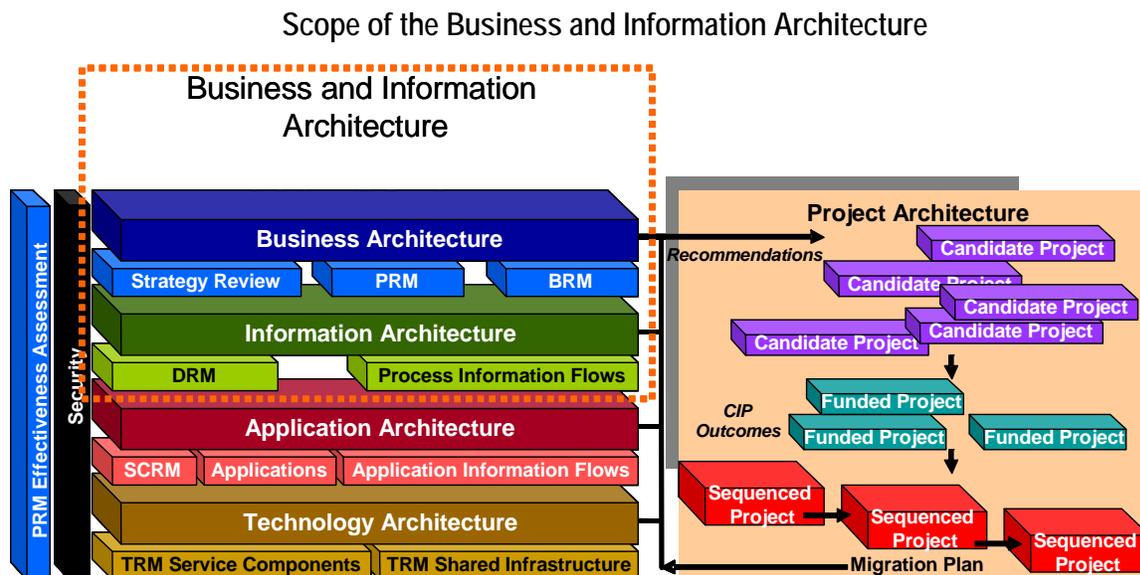
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Summary

The Enterprise Architecture (EA) is a tool that allows the United States Agency for International Development (USAID) to identify opportunities to improve the technology, processes, and information needed to accomplish its mission. The EA will also help USAID to discover redundant capabilities and establish linkages between information technology and mission and program performance. At its highest level, EA is a strategic tool for understanding USAID’s current environment, envisioning a future environment, and developing a Business Transformation path to get there. This Business Transformation path will consist of business and technology recommendations that can serve as inputs into USAID’s Capital Planning process.

As detailed in *The United States Agency for International Development Strategy for Enterprise Architecture Development* (Final Version 1.2 November 2003) USAID’s approach for developing its overall EA is to focus initially on its HIV/AIDS program segment. There are five Business Process Areas (BPAs) supporting the HIV/AIDS segment: Financial Management (FM), Acquisition and Assistance (A&A), HIV/AIDS Program Oversight (Program Oversight), HIV/AIDS Program Operations (PO), and Budgeting (B).^[1] The supporting FM, A&A, PO and B BPAs are detailed in separate *Business and Information Architecture* documents.

The *Business and Information Architecture* identifies USAID business process areas and their processes and sub-processes; the business information used and passed by each sub-process; process relationships and their dependencies; and the degree to which automation supports these process areas. The scope of the *Business and Information Architecture* within the overall evolving USAID Enterprise Architecture Framework is shown below.



The January 12, 2004 version of the *Business and Information Architecture* document refreshes the current (“As-Is”) business processes with the influence of existing programs and the future operating vision of the HIV/AIDS program into the future (“To-Be”) business processes.

Development of the *To-Be Financial Management Business and Information Architecture* was a two-step process. The first step was to examine the changes to the Financial Management processes that will result from any identified ongoing programs identified in the “As-Is” development. The second step resulted from examining the touchpoints and needs of the HIV/AIDS program against the Financial Management processes to determine if any changes were needed to support the HIV/AIDS program. The results of these efforts are documented in the “To-Be” section of this document.

Part 1 “Introduction” of each *Business and Information Architecture* document provides an introduction to the overall document and provides a high-level summary of the HIV/AIDS segment.

Part 2 “USAID HIV/AIDS Business Strategy and Value Chain” describes the USAID HIV/AIDS Business Strategy and Value Chain – a linking of the benefits provided by business functions in achieving an organization’s mission and goals. Part 2 provides a short description of the President’s Strategic HIV Goals and USAID’s approach to achieving those goals, with an emphasis on how the specific Business Process Area covered by the document supports this approach.

Part 3 “USAID HIV/AIDS As-Is Acquisition and Assistance Business and Information Architecture” is a repeat of the information provided in the initial delivery of the As-Is document on 14-November-2003. It provides a description of the processes and sub-processes that constitute the Business Process Area. Part 3 also includes a summary of the information items and exchanges for the sub-process, the organizational units and roles associated with the sub-process, and the systems/applications/tools used to support the process.

Part 4 “USAID HIV/AIDS To-Be Financial Management Business and Information Architecture” provides a discussion of the changes in the “To-Be” resulting from examining the influence of existing programs on the As-Is, and the influence of the To-Be HIV/AIDS program on the As-Is. It does not repeat information already available in the “As-Is” but identifies new or deleted processes, and changes to existing processes.

1. Introduction

In the 2003 State of the Union address, President George W. Bush set forth a challenge to the international community to “prevent 7 million new AIDS infections, treat at least 2 million people with life-extending drugs, and provide humane care for millions of people suffering from AIDS, and for children orphaned by AIDS.” The *Emergency Plan for AIDS Relief* (“*AIDS Relief Plan*”) is a comprehensive aid package to the 14 most severely afflicted African and Caribbean countries. Key elements of the plan will be the administration of uniform preventive care, treatment, and prepared medical pack distribution. The plan will build on the existing clinics, sites, and programs established through the United States Agency for International Development (USAID), the Department of Health and Human Services, non-governmental organizations, and faith-based groups. In implementing the *AIDS Relief Plan*, USAID faces significant logistical, financial, and programmatic challenges. How USAID can best apply its unique capabilities, talented but overextended resources, and limited assets in the most expeditious and cost effective manner.

The USAID HIV/AIDS segment Enterprise Architecture (EA) Acquisition and Assistance Business and Information Architecture consolidates pockets of HIV/AIDS business knowledge residing through-out the USAID and global health community into a strategic information base that supports making informed decisions on how to better manage the *AIDS Relief Plan* implementation. It describes the current environment, envisions a future environment, and determines a path to get there, in the form of specific project recommendations.

The business and information architecture is presented in the form of a business strategy value chain and a consolidated business and information architecture. This framework structures the operational elements of the FEA PRM, BRM, and DRM into the FEA’s essential and intuitive business and information architectural layers.

The business strategy and value chain illustrates the how the business processes add value at the enterprise level to support the USAID strategic initiatives. Thus, the link between business processes and strategic initiatives can be readily seen.

The business and information architecture identifies the USAID processes and sub-processes in the Acquisition and Assistance process area; what the service delivery model is (e.g., which business units perform what processes, how often, and where); business information used and passed, process relationships and their dependencies and the degree of automation.

The alignment of to the FEA PRM, BRM and DRM are provided as tables within the appendices.

2. USAID HIV/AIDS Business Strategy and Value Chain

USAID is a partner in two initiatives announced by President Bush that will dramatically expand HIV/AIDS programs in the most afflicted countries. The President's Emergency Plan for AIDS Relief aims to prevent 7 million new HIV infections, provide life-extending treatment to at least 2 million infected people, and give care and support to 10 million people and orphans living with HIV/AIDS. The International Mother and Child HIV Prevention Initiative will greatly increase the availability of services to prevent mother-to-child transmission of HIV.

To accomplish these Presidential Initiatives, USAID and its international partners will work to meet the following strategic targets by 2007:

- Reduce HIV prevalence rates among those 15-24 years of age by 50% in high-prevalence countries
- Maintain prevalence below 1% among 15-49 year olds in low-prevalence countries
- Ensure that at least 25 percent of HIV-infected mothers in high-prevalence countries have access to interventions to reduce HIV transmission to their infants
- Help local institutions provide basic care and psychosocial support services to at least 25 percent of HIV-infected persons and provide community support services to at least 25 percent of children affected by AIDS in high-prevalence countries

USAID's approach to achieving these targets is to implement programs around seven program areas that are designed to achieve USAID global targets. In countries with a high-prevalence of HIV/AIDS, USAID must help prevent new infections, provide care and treatment and address the needs of children and families affected by AIDS. These program areas are multi-faceted and interrelated. In countries with lower prevalence of the disease, the emphasis is primarily on prevention. In all countries, improving national surveillance, increasing the capacity of health systems and working in partnership with host country colleagues and other partners are essential program elements. These strategic initiatives drive USAID's value chain depicted below.



Fundamentally, USAID is a management organization whereby both global and country level programs are planned, funded, and managed. Actual service delivery is provided by in-country partners. The vehicles used to establish these partnerships include grants, cooperative agreements, and contracts. One of the challenges faced by USAID is integrating and aligning country programs with regional and global objectives. This is accomplished through the planning process whereby operating unit strategic objectives are developed and reviewed by regional bureaus for their support of regional objectives, and reviewed by pillar bureaus for their support

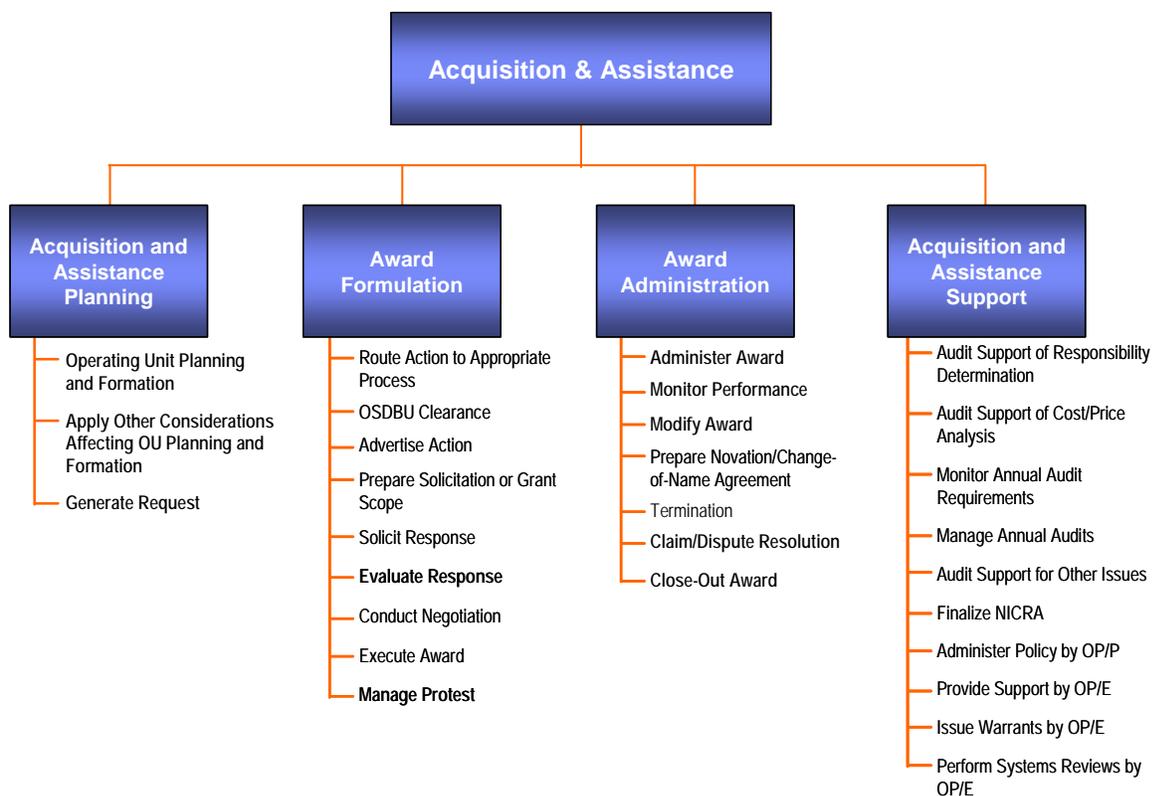
of global objectives. Once the operating unit objectives are determined, the budgeting process is used to determine the needed financial resources over the course of the planning period to support the operating unit programs. This strategic planning period is typically for five years. Due to the burden of the strategic planning process across the bureaus (where they review each mission strategic plan), the missions' strategic planning processes are staggered over seven years. Therefore, in any one year, only about one seventh of the missions are updating and having their strategic plans being reviewed. As operating year budgets are approved and acquired through the annual budgeting process, the approved financial resources are managed by the operating units to support executing its programs. This activity ensures a good understanding of how financial resources are utilized, and ensures that sufficient financial resources be available to execute programs without interruption. This provides the means to effectively and efficiently execute USAID operating unit programs. As part of executing operating unit programs, metrics are collected and used to determine the effectiveness of programs in achieving local, regional, and global strategic objectives. From this understanding, USAID is able to manage global program areas in a manner that maximally utilizes the financial resources being provided by taxpayer.

Part of executing and managing HIV/AIDS programs is acquiring services from vendors. To accomplish this, USAID has a set of Acquisition and Assistance processes, sub-processes, information items, and associated systems and information exchanges. These are described in the following section.

3. USAID HIV/AIDS As-Is Acquisition & Assistance Business and Information Architecture

3.1 Overview of Acquisition and Assistance

The Acquisition & Assistance Business Process area consists of four (4) processes and twenty-nine (29) sub-processes as illustrated in the following table. A detailed description for each sub-process is presented in the following pages. These include a high level functional description of the sub-process, a high level assessment of the sub-process, a summary of the information items and exchanges for the sub-process, the organizational units and roles associated with the sub-process, and the systems/applications/tools used to support the sub-process.



In February 2003 the BTEC published a set of customer service standards for the six USAID/Washington Management Bureau organizations. The standard defines responsibilities of and services provided by each of the major components of that M Bureau organization. The standard also defines specific performance parameters for each service provided. This provides an excellent foundation for a consistent set of performance standards across the Agency. Similar sets of customer service standards are currently being developed for the Pillar and Geographic Bureaus.

3.2 Acquisition and Assistance Touch Points to the HIV/AIDS Program

3.2.1 Overall Integration with OHA

OHA performs two distinct and different roles with regard to HIV/AIDS related programs. In their primary role of Program Oversight, they provide strategic planning support as well as budget, technical and best practices guidance to USAID Operating Units who include HIV/AIDS funds in their Strategic Objectives. On occasion OHA will also assume the role of Operating Unit to manage a Strategic Objective that affects the entire HIV/AIDS community.

The Acquisition and Assistance (A&A) Business Process Area (BPA) directly and indirectly supports OHA in the implementation of its entire portfolio of HIV/AIDS related interventions by being the single point where contracts and grants are initiated and managed. A&A also supports OHA in its role HIV/AIDS Program Oversight by being a primary vehicle to assist monitoring the performance of contractors and grantees. With a number of very distinct exceptions, the relationship between OP and OHA is built on an array of informal activities that take place within relatively formal processes. Because of this informality the knowledge and skill sets of people involved vary greatly. This leads to inconsistent management of individual projects over time, and very labor intensive program oversight which is often information starved.

3.2.2 Touch Points with OHA Program Oversight

Under the Program Oversight (PO) business process area, OHA is responsible for managing the HIV/AIDS program which includes oversight of four business processes *Budgeting*, *Strategic Planning*, *Program Monitoring*, and *Knowledge Creation*. The budgeting and strategic planning sub-processes include the formulation, distribution and coordination of HIV/AIDS budget and strategic planning guidance and submissions. Program monitoring includes the formulation, coordination, and distribution of program guidance, advising and consulting with projects on their HIV/AIDS activities and the consolidation of management reports. The knowledge creation business process entails analyzing HIV/AIDS program results, analyzing lessons learned, recommending revisions to strategies, and collecting and disseminating HIV/AIDS knowledge.

M/OP supports OHA PO primarily through providing the contractual data to monitor particular portfolios, contracts, Implementing Agencies, and Grantees.

The primary interaction point between Office of Procurement (OP) and the OHA PO business process area is through the sub-process *Monitor Performance*, found in the *Award Administration* process. The *Monitor Performance* sub-process primarily interacts with the OHA PO process *Program Monitoring*. Because of the lack of formality across and throughout the project management lifecycle it is extremely labor intensive and time consuming to gather the data required to oversee the program. Currently data performance is monitored by piecing together data from disparate systems, supplemented by individual, out of cycle data calls.

3.2.3 Touch Points with OHA Manage Portfolio Execution

The Manage Portfolio Execution (MPE) business process area encompasses the procedures and methods used by USAID and OHA as they design programs to achieve development results. A dynamic cycle of management functions prescribes the fundamental activities of planning, achieving and assessing & learning.

Planning is the process to identifying appropriate results; developing approaches to reach them; assigning needed resources; organizing resources to achieve; and identifying the means to measure progress.

Achieving includes supporting implementing partners to achieve results; monitoring quality and timeliness of key outputs; managing OHA program resources and requesting funds; performing funds control, payment, and obligations management; and closing out Strategic Objectives and obligating instruments.

The tools of *Assessing & Learning* are unified through the concept of performance management, defined as the systematic process of monitoring the results of activities; collecting and analyzing performance information to track progress toward planned results; using performance information to influence program decision making; and communicating to advance organizational learning and tell the OHA story.

Overall, this approach is designed to promote clarity in defining objectives and provide flexibility in selecting and implementing the activities to achieve them.

M/OP supports OHA MPE implement their programs through providing the Agency's primary contracting and assistance vehicle. OP works with OHA to plan for, solicit, set up, negotiate, manage, and close out all contracts and grants. OP provides the contractual and assistance expertise to carry these functions out, while OHA provides the technical and program management expertise.

Though ideally OP and OHA should work closely throughout the entire lifecycle of all contracts and grants to ensure that USAID is getting the most effective and value added results possible, the primary touch points OHA and OP are focused in relatively discreet places within the Planning, Award Formation, and Award Administration processes.

Acquisition and Assistance Planning

In the *Planning* process the sub-processes *OU Planning and Formation* and *Apply Other Considerations Affecting OU Planning and Formation* interact with the OHA MPE process *Plan*, the sub-process *Generate Request* interacts with the OHA MPE process *Achieve*. OHA generally plays the lead role in determining their overall technical requirements, and OP generally takes the lead in determining the best vehicle how to implement fulfilling them.

Award Formation

In the *Award Formation* process the sub-process *Evaluate Response* and *Manage Protest* interact with the OHA MPE process *Achieve*. OP is the contractual award lead in this process area, looking to OHA to provide the technical expertise. To participate in these activities OHA must largely be physically present to do so. There is very little virtualization, direct system support, or skill standardization. Therefore the overall process is largely informal, and depends greatly on the experience and personality of individuals from both OP and OHA to effectively accomplish the specific goals and necessary steps.

Award Administration

In the *Award Administration* process the sub-processes *Administer Award*, *Monitor Performance*, *Modify Award*, *Claim/Dispute Resolution*, and *Close-Out Award* also interact with the OHA MPE process *Achieve*. The OHA Cognizant Technical Officer (CTO) has project management responsibility for awarded contracts. Therefore the CTO has the primary role in *Administer Award*, with the OP Contracting Officer/Assistance Officer's (CO/AO) assistance. There are a variety of systems, tools and sources of information that the CTO must utilize to manage each individual project. There is little standardization between systems, tools and information sources so this can become extremely complicated and time consuming, taking time away from managing for results. In *Modify Award*, *Claim/Dispute Resolution*, and *Close-Out Award* the CO/AO tends to play the lead role, with close support from the CTO; the CTO must initiate these activities. Once initiated the CO/AO will take the lead in issues directly related to the contract/grant. The CTO will provide technical and programmatic input. Available systems support specific portions of these activities, but like the other processes there is no system that supports the entire lifecycle of the project and the contracts/grants involved. As a result skills and individual processes tend to be quite informal, and success becomes extremely experience and personality dependant.

3.3 Acquisition and Assistance Planning

3.3.1 Operating Unit Planning and Formation

3.3.1.1 Sub-Process Details

General Sub-Process Information	
Sub-Process Description	<p>Within this activity, the operating unit (strategic objective team, Office, Center, Bureau, or Mission) plan is created. First, an activity implementation review is performed, in which documentation pertaining to ongoing activities (such as the pipeline analysis, R2: Result Review reports, and activity review reports) is examined in order to develop the list of activities to initiate, continue, or table. The prior-year operating unit plan is also taken into consideration when assessing needs for the coming year, in addition to any ad hoc activities/programs. Congressional and technical notifications are identified on the plan and prepared, as needed. The operating unit then applies budget allocations to the plan, using the Congressional presentation budget levels and carryover funding. The plan is reviewed by the operating unit Small Business (SB) and Minority-Serving Institutions (MSI) representative, who makes sure that the Agency fiscal year goals for the operating unit are met and creates a list of current/proposed awards that meet SB/MSI goals. The operating unit plan is submitted to operating unit management for approval. Once approved, the operating unit plan is forwarded to the contracting office and others in the Agency.</p> <p>Determine preliminary procurement plans tied to the requested budget of an organization or program for the current fiscal year. These plans will be refined and detailed following the distribution of the OYB. Preliminary procurement plans do not include all the details required to process a request for procurement.</p> <p>Analyze requirements for procurement; covers acquisition, assistance, and interagency agreements. The analysis determines the detailed information required to turn a procurement plan into a set of requests for procurement.</p>
FEA BRM v2.0 Sub function	Support Delivery of Services/Planning and Resource Allocation/Budget Formulation
Assessment	<p>This typically happens in the first quarter of the FY (Oct - Nov). It is an iterative process between OP and the various OUs and PBs, hence OHA is intimately involved in this process. Because actual appropriations are not finalized until second quarter of the FY (March), the figures that they are planning to are largely estimates which potentially, and often do, change significantly. This means that funds are not available for obligation until the third quarter of the FY.</p> <p>OU Planning and Formulation is largely an amalgam of relatively informal processes, primarily utilizing locally derived spreadsheets to track the information, and relying on the experience and personality of individual participants to drive the planning process. Over the years this has resulted in an environment where there are silos and pockets of knowledge and skills. Managers and participants in both OP and OHA can't get a clear picture of the process, resources available, or how to consistently plan acquisitions and assistance to effectively achieve their goals.</p>

Who's doing the sub-process? (Business Units and roles)		
<p>"Owns" – Provides high level guidance, directs overall effort for completing sub process, is measured by and ultimately responsible for results.</p> <p>"Executes" – Manages day-to-day activities of the sub process and is responsible for the quality and timeliness of completing the tasks of the sub process.</p> <p>"Participates" – Performs day-to-day activities and contributes to the execution of tasks of the sub process.</p> <p>"Advises" – Plays a consultative role to the supported business unit in the execution of the sub process.</p>		
Business Unit	Role	Execution Frequency
M/OP	Executes	Annually
Pillar Bureaus	Executes	Annually
PPC	Owns	Annually
Regional Bureaus	Executes	Annually

Where is the sub-process performed? (Sub-Process Execution)	
Business Unit	Location
Management Bureau – Office of Procurement	USAID/W
Pillar Bureaus	USAID/W
PPC	USAID/W
Regional Bureaus	USAID/W

3.3.1.2 Business Data Used by Sub-Process

Name	Description	Received From	Sends To
Replacement Needs	Personal property that needs to be replaced because it has met its useful life as defined in the regulations or will meet its useful life within the next procurement cycle.	BPA: Property Management	
Currently Available Property	Personal property that is currently in the inventory.	BPA: Property Management	
Resource Constraints	The actual amount of resources planned to be available to be obligated for a unit of work.	BPA: Program Operations	
Program/OE Needs	Program needs are the goods and services necessary for achieving the strategic objective. Information regarding program needs is used during procurement planning to identify the awards to be made and the time frame on which they must be issued. Operating Expense (OE) needs are those administrative or facility requirements needed to support the programs being carried out by the operating unit.	BPA: Program Operations	

Name	Description	Received From	Sends To
Program Results	Changes in the conditions of a customer or changes in the host country conditions which have relationships to the customer. A result is brought about by the intervention of USAID in concert with its development partners. Results are linked by causal relationships; i.e., a result is achieved because related, interdependent results were achieved.	BPA: Program Operations	
Input to Request	Information needed to create a request for acquisition or assistance, including as pertinent specifications of quality and quantity, delivery dates, statement of work, results expected to be achieved, and line item details such as GSA product service code and OMB object class code (resource category).	BPA: Program Operations	
Fiscal Year Procurement Plan	Preliminary procurement plan, which is tied to budgetary projections for the year. This plan is generally organized by program area.	Details Unavailable	
Fiscal Year Procurement Plan	Preliminary procurement plan, which is tied to budgetary projections for the year. This plan is generally organized by program area.		BPA: Program Operations
Fiscal Year Procurement Plan	Preliminary procurement plan, which is tied to budgetary projections for the year. This plan is generally organized by program area.		SP: Apply Other Considerations Affecting OU Planning and Formulation
Fiscal Year Procurement Plan	Preliminary procurement plan, which is tied to budgetary projections for the year. This plan is generally organized by program area.		SP: Generate Request
Request	The establishment of a need to acquire goods and/or services or to support an assistance activity. A request defines the requirements for the goods and services to be procured or the assistance to be provided. The request contains the resource information that will be used for committing and obligating funding under a selected instrument.		SP: Generate Request

3.3.1.3 Supporting Systems/Applications/Tools

Systems, Applications, and Tools Used to Support the Sub-Process		
<p>“System” - A system has a discrete set of specific functionality, which comes in one or more applications that supports a process or sub-process</p> <p>“Tool” - A purpose-built application designed for decision making, reporting, or mitigating gaps in a corporate system functionality.</p>		
Name/Acronym	Type	Description
MS Word	Tool	A general word processing tool used for a variety of purposes.
MS Excel	Tool	MS Excel has been used to create local tools for specific organizational needs.

3.3.1.4 Services

What services are currently defined to support this sub-process?	
Service Name	Description
Not Currently Defined	

3.3.2 Apply Other Considerations Affecting Operating Unit Planning and Formation

3.3.2.1 Sub-Process Details

General Sub-Process Information	
Sub-Process Description	<p>Within this activity, the operating unit (OU) plan is revised to reflect consolidation possibilities, Contracting Office staffing resources, and the operating year budget. The Contracting Office also receives each operating unit's plan and generates an Agency plan. In identifying consolidation possibilities on the Agency plan, the Contracting Office looks at staffing constraints, the inventory of existing USAID awards, and other Government agency ordering mechanisms. Recommendations are thereby made to the operating units to revise the operating unit plan(s). In assessing staffing resources, the Contracting Office looks at contracting staff full-time equivalent (FTE) levels and the workload per operating unit to come up with workload realignment needs. The Contracting Office and operating unit collaborate to prioritize actions and to develop a revised Agency plan. During this activity, the operating year budget and other funding sources are applied to the operating unit plan.</p> <p>Consolidate procurement plans of individual operating units, and the plans of regional centers, to determine the overall procurement needs for the Agency. Contracting officers at regional centers put together the plans for several missions, and send them to USAID/W in response to the annual call for procurement plans. The Office of Procurement in USAID/W consolidates these plans for procurements that USAID/W will perform on behalf of the missions.</p> <p>Determine the staff workload and associated deadlines for the support that the Office of Procurement in USAID/W provides the rest of the Agency.</p> <p>Plan the staff workload for the procurement professionals and the technical or administrative personnel involved in procurement at an Operating Unit, usually performed by the Contracting Officer.</p>
FEA BRM v2.0 Sub function	Support Delivery of Services/Planning and Resource Allocation/Budget Formulation
Assessment	OHA and OP work together to accomplish this activity. Because systems, information and processes are not aligned or commonly collected between OHA or OP it is extremely difficult to consistently estimate portfolio demands. Also to be effective the activities in this process area must occur much earlier in the overall acquisition process.

Who's doing the sub-process? (Business Units and roles)		
<p>"Owns" – Provides high level guidance, directs overall effort for completing sub process, is measured by and ultimately responsible for results.</p> <p>"Executes" – Manages day-to-day activities of the sub process and is responsible for the quality and timeliness of completing the tasks of the sub process.</p> <p>"Participates" – Performs day-to-day activities and contributes to the execution of tasks of the sub process.</p> <p>"Advises" – Plays a consultative role to the supported business unit in the execution of the sub process.</p>		
Business Unit	Role	Execution Frequency
M/OP	Owns	Annually
Regional Bureaus	Executes	Annually

Where is the sub-process performed? (Sub-Process Execution)	
Business Unit	Location
Management Bureau – Office of Procurement	USAID/W
Regional Bureaus	USAID/W

3.3.2.2 Business Data Used by Sub-Process

Name	Description	Received From	Sends To
Fiscal Year Procurement Plan	Preliminary procurement plan, which is tied to budgetary projections for the year. This plan is generally organized by program area.	SP: OU Planning and Formulation	
Support Requirement	The procurement support requirements derived from the consolidated OU procurement plans, reflecting the administrative and processing load that the Office of Procurement must plan for.	Details Unavailable	
Staff Assignment	Outline of overall assignments for Office of Procurement staff, based on preliminary requirements for the fiscal year.	Details Unavailable	
Consolidate Regional Procurement Plan	The preliminary procurement plan for the current fiscal year consolidated by region, aligned with the Regional Bureaus.		ORG: Regional Bureau
Support Requirement	The procurement support requirements derived from the consolidated OU procurement plans, reflecting the administrative and processing load that the Office of Procurement must plan for.		SP: Generate Request
Staff Assignment	Outline of overall assignments for Office of Procurement staff, based on preliminary requirements for the fiscal year. Assignments are organized by role. Roles include: Contracting Officer (CO), Administrative Contracting Officer (ACO), Termination Contracting Officer (TCO), Contract Negotiator, and Cognizant Technical Officer (CTO).		ORG: Procurement Staff

Name	Description	Received From	Sends To
Staff Assignment	Outline of overall assignments for Office of Procurement staff, based on preliminary requirements for the fiscal year. Assignments are organized by role. Roles include: Contracting Officer (CO), Administrative Contracting Officer (ACO), Termination Contracting Officer (TCO), Contract Negotiator, and Cognizant Technical Officer (CTO).		SP: Generate Request
OU Staffing Plan	Overall OU Staffing plan by role and Operating Unit.		SP: Generate Request
OU Staffing Plan	Overall OU Staffing plan by role and Operating Unit.		BPA: Program Operations

3.3.2.3 Supporting Systems/Applications/Tools

Systems, Applications, and Tools Used to Support the Sub-Process		
<p>“System” - A system has a discrete set of specific functionality, which comes in one or more applications that supports a process or sub-process</p> <p>“Tool” - A purpose-built application designed for decision making, reporting, or mitigating gaps in a corporate system functionality.</p>		
Name/Acronym	Type	Description
MS Office	Tool	A suite of productivity tools produced by the Microsoft Corporation including a word processor (Microsoft Word), a spreadsheet application (Microsoft Excel), presentation software (PowerPoint) and a database application (MS Access). Other applications include a diagramming tool (Visio) and a scheduling product (Microsoft Project).

3.3.2.4 Services

What services are currently defined to support this sub-process?	
Service Name	Description
Not Currently Defined	

3.3.3 Generate Request

3.3.3.1 Sub-Process Details

General Sub-Process Information	
Sub-Process Description	<p>Within this activity, the requirements for goods or services are defined. The operating unit at the SO/team level reviews the activity description from the approved strategic objective, the activity plan targets, and the available program and operating expense (OE) resources and drafts the statement of work/program description (SOW/PD). Results are identified, which will form the basis for the deliverables, and the award needed-by date is determined, which will form the basis for the procurement timeline. The preobligation requirements contained in Automated Directives System (ADS) 201 and other regulations/policies/procedures are addressed. The Contracting Office reviews the SOW/PD, making recommendations for changes (if necessary), and determines the degree of competition and award type. A budget and independent cost estimate are created, and the operating unit obtains any necessary waivers. The operating unit finalizes the requirements, producing a requirements package containing the SOW/PD, budget, other solicitation elements, and a list of suggested vendors. Operating unit management approval is obtained for the requirements package.</p> <p>Within this activity, the requirements package containing the SOW/PD, budget, and other solicitation elements is used to generate the request for Acquisition and Assistance. The activity manager completes the line-item detail on the request and may attach a list of suggested vendors or grantees. The activity manager selects the funding sources and identifies the team members. If funds are available at this time, the program manager will commit funds on the request. If funds are not currently available, the program manager will commit them later, prior to obligation. The CO/negotiator reviews the request for accuracy/sufficiency and contractibility and makes recommendations for modifications, as appropriate. The Contracting Office accepts the request into award formation, and a timeline of the tasks leading to award is generated.</p> <p>Consolidate similar purchase requests by the Contracting Officer into an integrated A&A request to be worked by the Contract Negotiator. This consolidation could also be against an existing award, which would then be modified.</p> <p>Respond to any deficiencies found in the request during its review. The Requestor revises the request. Review and revision of requests continue in an iterative fashion until the request is read for submission.</p> <p>Review the procurement request for completeness. The Contracting Officer and the Contracts Negotiator review the request. If revisions are necessary, the request goes back to the requestor for update and resubmission. When all requirements are met the request is accepted and the procurement formally begins.</p> <p>Acceptance of a completed request by the program manager who authorizes the commitment of funds.</p>
FEA BRM v2.0 Sub function	Support Delivery of Services/Planning and Resource Allocation/Budget Formulation
Assessment	<p>OHA and OP work together to accomplish this activity. Because systems, information and processes are not aligned or commonly collected between OHA or OP it is extremely difficult to consistently estimate portfolio demands.</p> <p>Often information must be re-keyed into NMS A&A because prior, to this the variety of planning activities are performed in locally produced cuff tools and formats.</p> <p>It is in this process that OP takes over the lead role from OHA, because this is where the primary contracting and assistance activities are performed.</p>

Who's doing the sub-process? (Business Units and roles)		
<p>“Owns” – Provides high level guidance, directs overall effort for completing sub process, is measured by and ultimately responsible for results.</p> <p>“Executes” – Manages day-to-day activities of the sub process and is responsible for the quality and timeliness of completing the tasks of the sub process.</p> <p>”Participates” – Performs day-to-day activities and contributes to the execution of tasks of the sub process.</p> <p>“Advises” – Plays a consultative role to the supported business unit in the execution of the sub process.</p>		
Business Unit	Role	Execution Frequency
M/OP	Owns	Weekly

Where is the sub-process performed? (Sub-Process Execution)	
Business Unit	Location
Management Bureau – Office of Procurement	USAID/W

3.3.3.2 Business Data Used by Sub-Process

Name	Description	Received From	Sends To
Request	The establishment of a need to acquire goods and/or services or to support an assistance activity. A request defines the requirements for the goods and services to be procured or the assistance to be provided. The request contains the resource information that will be used for committing and obligating funding under a selected instrument.	SP: OU Planning and Formulation	
Revised Request	A request that has been revised by the requestor to address deficiencies.	ORG: Requestor	
Revision	A change to correct a deficiency.	SP: Revise Request	
OU Staffing Plan	Overall OU Staffing plan by role and Operating Unit.	SP: Apply Other Considerations Affecting OU Planning and Formulation	
Commitment Document	Commitments are a (sometimes optional) stage before an obligation. They help to anticipate future procurement awards and obligations (JFMIP CFS Requirements). They help to assure that funds are available before entering into an obligation. When multiple instruments are awarded under a single agreement, the commitments for these instruments are called sub-commitments. A commitment document includes: requisition number, requestor identification, purpose, accounting classification, (estimated) dollar amount, date.		BPA: Financial Management

Name	Description	Received From	Sends To
Accepted Request for Modification	An accepted request, which will be executed by modifying an existing award rather than making a new award.		SP: Modify Award
Accepted Request	A request for procurement for which the Contracting Officer and the Negotiator are satisfied that all information required is on the request or attached to it.		SP: Route Action to Appropriate Process

3.3.3.3 Supporting Systems/Applications/Tools

Systems, Applications, and Tools Used to Support the Sub-Process		
<p>“System” - A system has a discrete set of specific functionality, which comes in one or more applications that supports a process or sub-process</p> <p>“Tool” - A purpose-built application designed for decision making, reporting, or mitigating gaps in a corporate system functionality.</p>		
Name/Acronym	Type	Description
MS Excel	Tool	MS Excel has been used to create local tools for specific organizational needs.
MS Word	Tool	A general word processing tool used for a variety of purposes.
Phoenix	System	Phoenix is used for processing Agency transactions in the areas of general ledger, budget execution/funds control, accounts payable, disbursements, accounts receivable, loan management/credit, and cost allocation. Phoenix is also being used as the Agency tool for estimating accruals.
New Management System A&A	System	The A&A DB system is the backbone used in Washington to track and manage the procurement process. ProDoc is the primary interface. ProDoc is used to generate all documentation and interface with the field missions.

3.3.3.4 Services

What services are currently defined to support this sub-process?	
Service Name	Description
Not Currently Defined	

3.4 Award Formulation

3.4.1 Route Action to Appropriate Process

3.4.1.1 Sub-Process Details

General Sub-Process Information	
Sub-Process Description	Within this task, the CO/AO routes the request to the next appropriate process, depending on the type of award: Contractor (Personal Service Contract, Acquisition), Assistance (Non-Governmental Organization, Public International Organization), or Interagency Agreement (PASA/RSSA, 632(b) Agreement).
FEA BRM v2.0 Sub function	Management of Government Resources/Supply Chain Management/Goods Acquisition Management of Government Resources/Supply Chain Management/Services Acquisition
Assessment	The solicitation and grant award processes are largely the same, and managed similarly within OP in the solicitation and award phases of the overall lifecycle. This works well to leverage complementary skills and system requirements. The primary difference is which subset of the sub-processes is used.

Who's doing the sub-process? (Business Units and roles)		
<p>“Owns” – Provides high level guidance, directs overall effort for completing sub process, is measured by and ultimately responsible for results.</p> <p>“Executes” – Manages day-to-day activities of the sub process and is responsible for the quality and timeliness of completing the tasks of the sub process.</p> <p>“Participates” – Performs day-to-day activities and contributes to the execution of tasks of the sub process.</p> <p>“Advises” – Plays a consultative role to the supported business unit in the execution of the sub process.</p>		
Business Unit	Role	Execution Frequency
M/OP	Owns	Daily

Where is the sub-process performed? (Sub-Process Execution)	
Business Unit	Location
Management Bureau – Office of Procurement	USAID/W

3.4.1.2 Business Data Used by Sub-Process

Name	Description	Received From	Sends To
Request	A request for goods or services.	SP: Generate Request	
Routed Request	The request classified by type, whether it is a contract, assistance (grant), or Interagency Agreement. (Most Acquisitions)		SP: OSDBU Clearance
Routed Request	The request classified by type, whether it is a contract, assistance (grant), or Interagency Agreement. (PSCs, NGO Assistance, and all Acquisitions)		SP: Advertise Action
Routed Request	The request classified by type, whether it is a contract, assistance (grant), or Interagency Agreement. (PIOs, and PASA/RSSA		SP: Solicit Response

Name	Description	Received From	Sends To
	Agreements)		
Routed Request	The request classified by type, whether it is a contract, assistance (grant), or Interagency Agreement. (632(b) Agreements)		SP: Execute Award

3.4.1.3 Supporting Systems/Applications/Tools

Systems, Applications, and Tools Used to Support the Sub-Process		
<p>“System” - A system has a discrete set of specific functionality, which comes in one or more applications that supports a process or sub-process</p> <p>“Tool” - A purpose-built application designed for decision making, reporting, or mitigating gaps in a corporate system functionality.</p>		
Name/Acronym	Type	Description
New Management System A&A	System	The A&A DB system is the backbone used in Washington to track and manage the procurement process. ProDoc is the primary interface. ProDoc is used to generate all documentation and interface with the field missions.
MS Word	Tool	A general word processing tool used for a variety of purposes.

3.4.1.4 Services

What services are currently defined to support this sub-process?	
Service Name	Description
Not Currently Defined	

3.4.2 OSDBU Clearance

3.4.2.1 Sub-Process Details

General Sub-Process Information	
Sub-Process Description	Within this activity, for new acquisition actions exceeding the OSDBU clearance minimum threshold, the CO prepares an AID 1410-14 (Small Business/Minority Business Enterprise Procurement Review Form). The CO is responsible for being familiar with the provisions of FAR 19, as well as AIDAR 726. Small business set-asides are made for all contracts to be executed that qualify for small business set-aside under FAR 19. Normally, the requestor of the goods/services suggests whether the action will be set aside. OSDBU is responsible for administering, implementing, and coordinating the Agency's small business program (including minority businesses). OSDBU maintains goals for Small Business and Minority-Serving Institutions (SB/MSI) programs that must be met by the Agency. OSDBU establishes small business class set-asides for particular types and classes or items of services, where appropriate. OSDBU reviews the 1410-14 and either provides clearance or rejects the CO recommendation. If it is rejected, the OSDBU provides a counter recommendation, which the CO then reviews and either accepts or rejects. If necessary, the levels of review may include the Small Business Administration (SBA) Procurement Center Representative (PCR) and the Head of the Contracting Activity (HCA) for a final decision.
FEA BRM v2.0 Sub function	Management of Government Resources/Supply Chain Management/Goods Acquisition Management of Government Resources/Supply Chain Management/Services Acquisition
Assessment	Only Cost Reimbursement, Fixed Price, Construction, and Indefinite Quantity Contracts go through this process. HIV/AIDS related solicitations by OUs in these types of contracts would go through this process.

Who's doing the sub-process? (Business Units and roles)		
<p>"Owns" – Provides high level guidance, directs overall effort for completing sub process, is measured by and ultimately responsible for results.</p> <p>"Executes" – Manages day-to-day activities of the sub process and is responsible for the quality and timeliness of completing the tasks of the sub process.</p> <p>"Participates" – Performs day-to-day activities and contributes to the execution of tasks of the sub process.</p> <p>"Advises" – Plays a consultative role to the supported business unit in the execution of the sub process.</p>		
Business Unit	Role	Execution Frequency
M/OP	Owns	Daily

Where is the sub-process performed? (Sub-Process Execution)	
Business Unit	Location
Management Bureau – Office of Procurement	USAID/W

3.4.2.2 Business Data Used by Sub-Process

Name	Description	Received From	Sends To
Routed Request	The request classified by type, whether it is a contract, assistance, or Interagency Agreement. (Most Acquisitions)	SP: Route Action to Appropriate Process	
Agency Small Business/Minority-Serving Institutions (SB/MSI) Program Goals		Details Unavailable	
AID 1410-14 With CO Recommendation		Details Unavailable	
Accepted AID 1410-14			SP: Advertise Action

3.4.2.3 Supporting Systems/Applications/Tools

Systems, Applications, and Tools Used to Support the Sub-Process		
<p>“System” - A system has a discrete set of specific functionality, which comes in one or more applications that supports a process or sub-process</p> <p>“Tool” - A purpose-built application designed for decision making, reporting, or mitigating gaps in a corporate system functionality.</p>		
Name/Acronym	Type	Description
NMS A&A (aka A&A DB)	System	The A&A DB system is the backbone used in Washington to track and manage the procurement process. ProDoc is the primary interface. ProDoc is used to generate all documentation and interface with the field missions.
MS Office	Tool	A suite of productivity tools produced by the Microsoft Corporation including a word processor (Microsoft Word), a spreadsheet application (Microsoft Excel), presentation software (PowerPoint) and a database application (MS Access). Other applications include a diagramming tool (Visio) and a scheduling product (Microsoft Project).

3.4.2.4 Services

What services are currently defined to support this sub-process?	
Service Name	Description
Not Currently Defined	

3.4.3 Advertise Action

3.4.3.1 Sub-Process Details

General Sub-Process Information	
Sub-Process Description	Within this activity, depending on the regulations, the award instrument, and projected total estimated cost of the proposed award, the degree of advertisement is determined. For acquisition actions valued at \$10,000 to \$25,000, an Internet notice is posted. For acquisitions exceeding \$25,000, a notice is synopsised in the <i>CBD</i> and posted on the USAID Internet site. For assistance actions, a notice may be posted in the <i>CBD</i> , and a notice is posted on the USAID Internet site. Personal services contracts are advertised only on the USAID Internet site in accordance with class justification. For Mission acquisitions between \$25,000 and \$250,000, the action may be advertised locally in accordance with class justification.
FEA BRM v2.0 Sub function	Management of Government Resources/Supply Chain Management/Goods Acquisition Management of Government Resources/Supply Chain Management/Services Acquisition
Assessment	All contracted goods and services as well as NGO Assistance utilizes this process.

Who's doing the sub-process? (Business Units and roles)		
<p>“Owns” – Provides high level guidance, directs overall effort for completing sub process, is measured by and ultimately responsible for results.</p> <p>“Executes” – Manages day-to-day activities of the sub process and is responsible for the quality and timeliness of completing the tasks of the sub process.</p> <p>”Participates” – Performs day-to-day activities and contributes to the execution of tasks of the sub process.</p> <p>“Advises” – Plays a consultative role to the supported business unit in the execution of the sub process.</p>		
Business Unit	Role	Execution Frequency
M/OP	Owns	Daily

Where is the sub-process performed? (Sub-Process Execution)	
Business Unit	Location
Management Bureau – Office of Procurement	USAID/W

3.4.3.2 Business Data Used by Sub-Process

Name	Description	Received From	Sends To
Routed Request	The request classified by type, whether it is a contract, assistance, or Interagency Agreement. (PSCs, NGO Assistance, and all other Acquisitions)	SP: Route Action to Appropriate Process	
Accepted AID 1410-14	Details Unavailable	SP: OSDBU Clearance	
Appropriate Public Notice	Details Unavailable		SP: Prepare Solicitation Document

3.4.3.3 Supporting Systems/Applications/Tools

Systems, Applications, and Tools Used to Support the Sub-Process		
<p>“System” - A system has a discrete set of specific functionality, which comes in one or more applications that supports a process or sub-process</p> <p>“Tool” - A purpose-built application designed for decision making, reporting, or mitigating gaps in a corporate system functionality.</p>		
Name/Acronym	Type	Description
MS Office	Tool	A suite of productivity tools produced by the Microsoft Corporation including a word processor (Microsoft Word), a spreadsheet application (Microsoft Excel), presentation software (PowerPoint) and a database application (MS Access). Other applications include a diagramming tool (Visio) and a scheduling product (Microsoft Project).
ProDoc	Application	Contract writing system. Quarterly updates sent to A&A.

3.4.3.4 Services

What services are currently defined to support this sub-process?	
Service Name	Description
Not Currently Defined	

3.4.4 Prepare Solicitation or Grant Scope

3.4.4.1 Sub-Process Details

General Sub-Process Information	
Sub-Process Description	<p>Within this activity, the solicitation document is prepared. The solicitation document is used to request offers to satisfy the Agency’s particular Acquisition and Assistance needs for goods/services. The solicitation contains all the information found in the final Acquisition and Assistance request, as well as the instructions and manner in which responses will be reviewed and evaluated. A contract writing system is used to generate the draft solicitation or request for applications (RFA). Once the draft solicitation is created, the activity manager and CO/AO review it. For new acquisition solicitations exceeding \$10 million (M), the Contract Review Board (CRB) also reviews the document.</p> <p>Solicitation documentation is created for potential contractors; a statement of work/scope to be sent to prospective grant awardees. The Contracting Officer creates the solicitation. The Agreement Officer creates the grant.</p>
FEA BRM v2.0 Sub function	Management of Government Resources/Supply Chain Management/Goods Acquisition Management of Government Resources/Supply Chain Management/Services Acquisition
Assessment	N/A

Who’s doing the sub-process? (Business Units and roles)		
<p>“Owns” – Provides high level guidance, directs overall effort for completing sub process, is measured by and ultimately responsible for results.</p> <p>“Executes” – Manages day-to-day activities of the sub process and is responsible for the quality and timeliness of completing the tasks of the sub process.</p> <p>”Participates” – Performs day-to-day activities and contributes to the execution of tasks of the sub process.</p> <p>“Advises” – Plays a consultative role to the supported business unit in the execution of the sub process.</p>		
Business Unit	Role	Execution Frequency
M/OP	Owns	Daily

Where is the sub-process performed? (Sub-Process Execution)	
Business Unit	Location
Management Bureau – Office of Procurement	USAID/W

3.4.4.2 Business Data Used by Sub-Process

Name	Description	Received From	Sends To
Routed Request	The request classified by type, whether it is a contract, assistance, or Interagency Agreement. (PSCs, NGO Assistance, and all Acquisitions)	SP: Route Action to Appropriate Process	
Appropriate Public Notice	Details Unavailable	SP: Prepare Solicitation Document	

Name	Description	Received From	Sends To
FAR/AIDAR/ADS Solicitation Requirements	Details Unavailable	Details Unavailable	
Answers to Contract Writing System Questions	Details Unavailable	Details Unavailable	
Accepted Solicitation	Solicitation material, including source list as applicable, which is ready to provide to vendors.		SP: Solicit Response
Accepted Grant Scope	Solicitation material, including source list as applicable, which is ready to provide to grantees.		SP: Solicit Response

3.4.4.3 Supporting Systems/Applications/Tools

Systems, Applications, and Tools Used to Support the Sub-Process		
<p>“System” - A system has a discrete set of specific functionality, which comes in one or more applications that supports a process or sub-process</p> <p>“Tool” - A purpose-built application designed for decision making, reporting, or mitigating gaps in a corporate system functionality.</p>		
Name/Acronym	Type	Description
New Management System A&A	System	The A&A DB system is the backbone used in Washington to track and manage the procurement process. ProDoc is the primary interface. ProDoc is used to generate all documentation and interface with the field missions.
ProDoc	Application	Contract writing system. Quarterly updates sent to A&A.

3.4.4.4 Services

What services are currently defined to support this sub-process?	
Service Name	Description
Not Currently Defined	

3.4.5 Solicit Response

3.4.5.1 Sub-Process Details

General Sub-Process Information	
Sub-Process Description	<p>Within this activity, the final solicitation document is released. USAID solicitations are generally released by sending the documents via U.S. mail, as well as posting them on the Internet. Written questions may be received from prospective offerors/applicants and are required to be answered by the Agency, with responses published to all organizations on the bidders' list. Questions may generate the need to release amendments to the solicitation or to cancel the solicitation. During this activity, a preaward conference may take place. The last process within this activity is the receipt of technical and cost responses from prospective offerors/applicants.</p> <p>For a grant, the solicitation may be advertised on the internet, in local newspapers, and by direct mail to prospective grantees on a source list. For a contract, the Agency advertises in the Federal Business Opportunities (FBO) and possibly other vehicles as well.</p>
FEA BRM v2.0 Sub function	Management of Government Resources/Supply Chain Management/Goods Acquisition Management of Government Resources/Supply Chain Management/Services Acquisition
Assessment	N/A

Who's doing the sub-process? (Business Units and roles)		
<p>"Owns" – Provides high level guidance, directs overall effort for completing sub process, is measured by and ultimately responsible for results.</p> <p>"Executes" – Manages day-to-day activities of the sub process and is responsible for the quality and timeliness of completing the tasks of the sub process.</p> <p>"Participates" – Performs day-to-day activities and contributes to the execution of tasks of the sub process.</p> <p>"Advises" – Plays a consultative role to the supported business unit in the execution of the sub process.</p>		
Business Unit	Role	Execution Frequency
M/OP	Owns	Daily

Where is the sub-process performed? (Sub-Process Execution)	
Business Unit	Location
Management Bureau – Office of Procurement	USAID/W

3.4.5.2 Business Data Used by Sub-Process

Name	Description	Received From	Sends To
Accepted Solicitation	Solicitation material, including source list as applicable, which is ready to provide to vendors.	SP: Prepare Solicitation or Grant Scope	
Accepted Grant Scope	Solicitation material, including source list as applicable, which is ready to provide to grantees.	SP: Prepare Solicitation or Grant Scope	
Offeror/Applicant Question	Details Unavailable	ORG: Offeror/Applicant	
Offeror/Applicant Technical and Cost Responses	Details Unavailable	ORG: Offeror/Applicant	
Mailing List	Details Unavailable	Details Unavailable	
Solicitation	Formal communication (written or verbal) of USAID requirements to interested vendor/recipients for the purpose of generating proposals, bids, or quotes from vendor/recipients for evaluation and award selection.		ORG: Offeror
Call for Assistance Proposal	Formal communication (written or verbal) of USAID requirements to interested institutions for the purpose of generating proposals, or quotes from institutions for evaluation and award selection of a grant.		ORG: Applicant
Solicitation	Formal communication (written or verbal) of USAID requirements to interested vendor/recipients for the purpose of generating proposals, bids, or quotes from vendor/recipients for evaluation and award selection.		SP: Evaluate Response
Call for Assistance Proposal	Formal communication (written or verbal) of USAID requirements to interested institutions for the purpose of generating proposals, or quotes from institutions for evaluation and award selection of a grant.		SP: Evaluate Response
Issued Amendment	Details Unavailable		ORG: Offeror/Applicant
Response to Question	Details Unavailable		ORG: Offeror/Applicant

3.4.5.3 Supporting Systems/Applications/Tools

Systems, Applications, and Tools Used to Support the Sub-Process		
<p>“System” - A system has a discrete set of specific functionality, which comes in one or more applications that supports a process or sub-process</p> <p>“Tool” - A purpose-built application designed for decision making, reporting, or mitigating gaps in a corporate system functionality.</p>		
Name/Acronym	Type	Description
New Management System A&A	System	The A&A DB system is the backbone used in Washington to track and manage the procurement process. ProDoc is the primary interface. ProDoc is used to generate all documentation and interface with the field missions.
ProDoc	Application	Contract writing system. Quarterly updates sent to A&A.

3.4.5.4 Services

What services are currently defined to support this sub-process?	
Service Name	Description
Not Currently Defined	

3.4.6 Evaluate Response

3.4.6.1 Sub-Process Details

General Sub-Process Information	
Sub-Process Description	Within this activity, offeror/applicant technical and cost responses that have been received by the Agency are reviewed and evaluated for their ability to meet the compliance and evaluation criteria outlined in the solicitation. For contracts, these criteria are contained within sections L (instructions) and M (evaluation criteria) of the solicitation. The technical evaluation will result in the Technical Evaluation Board (TEB) package, and the cost review will contain best value, cost/price evaluation, cost realism analysis, or other cost/price assessments. The CO/AO determines the responsiveness of the offeror/applicant’s technical and cost response. The Agency may conduct oral presentations, depending upon the goods/services being procured. A competitive range will be established if award is conducted with discussions.
FEA BRM v2.0 Sub function	Management of Government Resources/Supply Chain Management/Goods Acquisition Management of Government Resources/Supply Chain Management/Services Acquisition
Assessment	<p>OHS will be a part of the evaluation team, specifically participating in the technical and best value cost evaluation. They must produce a narrative justification for award recommendations made.</p> <p>The CO enters pertinent data into NMS A&A. OHA personnel can view basic information such as the contract data, bid amount, and scoring.</p> <p>Currently all personnel participating in the evaluation process must be collocated throughout the Response Evaluation process.</p>

Who's doing the sub-process? (Business Units and roles)		
<p>“Owns” – Provides high level guidance, directs overall effort for completing sub process, is measured by and ultimately responsible for results.</p> <p>“Executes” – Manages day-to-day activities of the sub process and is responsible for the quality and timeliness of completing the tasks of the sub process.</p> <p>”Participates” – Performs day-to-day activities and contributes to the execution of tasks of the sub process.</p> <p>“Advises” – Plays a consultative role to the supported business unit in the execution of the sub process.</p>		
Business Unit	Role	Execution Frequency
M/OP	Owns	Daily
GH/OHA	Participates	Daily

Where is the sub-process performed? (Sub-Process Execution)	
Business Unit	Location
Management Bureau – Office of Procurement	USAID/W

3.4.6.2 Business Data Used by Sub-Process

Name	Description	Received From	Sends To
Solicitation	Formal communication (written or verbal) of USAID requirements to interested vendor/recipients for the purpose of generating proposals, bids, or quotes from vendor/recipients for evaluation and award selection.	SP: Solicit Response	
Call for Assistance Proposal	Formal communication (written or verbal) of USAID requirements to interested institutions for the purpose of generating proposals, or quotes from institutions for evaluation and award selection of a grant.	SP: Solicit Response	
Past Performance Information	Details Unavailable	ORG: Offerors/Applicants	
Solicitation Response	Technical and cost proposal from vendors to the solicitation.	ORG: Offeror	
Grant Proposal	Technical and cost proposal from institutions responding to the call for proposal.	ORG: Applicant	
Cost/Price Evaluation	Details Unavailable		SP: Conduct Negotiation
Technical Evaluation Board (TEB) Package	Details Unavailable		SP: Conduct Negotiation
Responsiveness Determination	Details Unavailable		SP: Conduct Negotiation
Procurement File	Details Unavailable		SP: Conduct Negotiation

3.4.6.3 Supporting Systems/Applications/Tools

Systems, Applications, and Tools Used to Support the Sub-Process		
<p>“System” - A system has a discrete set of specific functionality, which comes in one or more applications that supports a process or</p> <p>“Tool” - A purpose-built application designed for decision making, reporting, or mitigating gaps in a corporate system functionality.</p>		
Name/Acronym	Type	Description
New Management System A&A	System	The A&A DB system is the backbone used in Washington to track and manage the procurement process. ProDoc is the primary interface. ProDoc is used to generate all documentation and interface with the field missions.

3.4.6.4 Services

What services are currently defined to support this sub-process?	
Service Name	Description
Not Currently Defined	

3.4.7 Conduct Negotiation

3.4.7.1 Sub-Process Details

General Sub-Process Information	
Sub-Process Description	Within this task, the negotiator, the CO/AO, and the TEB utilize applicable regulations, the schedule in the timeline, audit information, and other pertinent data to move an offeror’s response through notification, discussion, and clarification of issues; analysis; and selection for award. The offerors whose responses are within the competitive range are notified. Discussions and outstanding issues from the reviews may result in a request for a revised response. The final revised technical and cost/price response is reviewed by the operating unit and the CO/AO. The negotiator/CO determines the apparent successful offeror’s eligibility for award. The negotiator prepares the memorandum of negotiation, which documents the entire acquisition/assistance process, and prepares the award document.
FEA BRM v2.0 Sub function	Management of Government Resources/Supply Chain Management/Goods Acquisition Management of Government Resources/Supply Chain Management/Services Acquisition
Assessment	N/A

Who's doing the sub-process? (Business Units and roles)		
<p>“Owns” – Provides high level guidance, directs overall effort for completing sub process, is measured by and ultimately responsible for results.</p> <p>“Executes” – Manages day-to-day activities of the sub process and is responsible for the quality and timeliness of completing the tasks of the sub process.</p> <p>”Participates” – Performs day-to-day activities and contributes to the execution of tasks of the sub process.</p> <p>“Advises” – Plays a consultative role to the supported business unit in the execution of the sub process.</p>		
Business Unit	Role	Execution Frequency
M/OP	Owns	Daily

Where is the sub-process performed? (Sub-Process Execution)	
Business Unit	Location
Management Bureau – Office of Procurement	USAID/W

3.4.7.2 Business Data Used by Sub-Process

Name	Description	Received From	Sends To
Cost/Price Evaluation	Details Unavailable	SP: Evaluate Response	
Responsiveness Determination	Details Unavailable	SP: Evaluate Response	
Procurement File	Details Unavailable	SP: Evaluate Response	SP: Execute Award
Technical Evaluation Board (TEB) Package	Details Unavailable	SP: Evaluate Response	
Final Cost Response	Details Unavailable	ORG: Offeror/Applicant	
Final Technical Response	Details Unavailable	ORG: Offeror/Applicant	
Discussion	Details Unavailable		Details Unavailable
Memorandum of Negotiation	Details Unavailable		Details Unavailable
Award Document	A legal agreement specifying goods and services to be acquired or assistance activities to be supported by the agency and the terms of support, including the method and amount of compensation or assistance. USAID awards include: (1) Small Purchases: governed by Simplified Acquisition Procedures (FAR part 13); up to \$100,000 value. (2) Large Purchases: (a) accomplished through competitive contracts, governed by sealed bidding procedures (FAR parts 14 and 15). (b) accomplished through assistance		ORG: Offeror/Applicant

Name	Description	Received From	Sends To
	awards, both grants and cooperative agreements. (c) accomplished through interagency agreements (IAAs), primarily Participating Agency Service Agreements (PASAs) and Resource Support Services Agreements (RSSAs), but also including other types of IAAs.		
Award Document	A legal agreement specifying goods and services to be acquired or assistance activities to be supported by the agency and the terms of support, including the method and amount of compensation or assistance. USAID awards include: (1) Small Purchases: governed by Simplified Acquisition Procedures (FAR part 13); up to \$100,000 value. (2) Large Purchases: (a) accomplished through competitive contracts, governed by sealed bidding procedures (FAR parts 14 and 15). (b) accomplished through assistance awards, both grants and cooperative agreements. (c) accomplished through interagency agreements (IAAs), primarily Participating Agency Service Agreements (PASAs) and Resource Support Services Agreements (RSSAs), but also including other types of IAAs.		SP: Claim/Dispute Resolution
Award Document	A legal agreement specifying goods and services to be acquired or assistance activities to be supported by the agency and the terms of support, including the method and amount of compensation or assistance. USAID awards include: (1) Small Purchases: governed by Simplified Acquisition Procedures (FAR part 13); up to \$100,000 value. (2) Large Purchases: (a) accomplished through competitive contracts, governed by sealed bidding procedures (FAR parts 14 and 15). (b) accomplished through assistance awards, both grants and cooperative agreements. (c) accomplished through interagency agreements (IAAs), primarily Participating Agency Service Agreements (PASAs) and Resource Support Services Agreements (RSSAs), but also including other types of IAAs.		SP: Execute Award

3.4.7.3 Supporting Systems/Applications/Tools

Systems, Applications, and Tools Used to Support the Sub-Process		
<p>“System” - A system has a discrete set of specific functionality, which comes in one or more applications that supports a process or sub-process</p> <p>“Tool” - A purpose-built application designed for decision making, reporting, or mitigating gaps in a corporate system functionality.</p>		
Name/Acronym	Type	Description
New Management System A&A	System	The A&A DB system is the backbone used in Washington to track and manage the procurement process. ProDoc is the primary interface. ProDoc is used to generate all documentation and interface with the field missions.
ProDoc	Application	Contract writing system. Quarterly updates sent to A&A.
MS Office	Tool	A suite of productivity tools produced by the Microsoft Corporation including a word processor (Microsoft Word), a spreadsheet application (Microsoft Excel), presentation software (PowerPoint) and a database application (MS Access). Other applications include a diagramming tool (Visio) and a scheduling product (Microsoft Project).

3.4.7.4 Services

What services are currently defined to support this sub-process?	
Service Name	Description
Not Currently Defined	

3.4.8 Execute Award

3.4.8.1 Sub-Process Details

General Sub-Process Information	
Sub-Process Description	Within this task, the CO/AO notifies the apparent successful awardee by email and letter and arranges a communication forum to review the award document and discuss any outstanding issues. At this time, the award document is signed by the awardee. The award document and the file are finalized, and, if required, funds are committed and obligated. The annual audit requirement for the award is entered in the audit tracking system based upon the award type and vendor information (for-profit vs. non-profit and the vendor nationality). A <i>CBD</i> notice is issued. If required, the CO/AO notifies the Bureau for Legislative and Public Affairs (LPA) of the award. Unsuccessful offerors/applicants are notified in writing of the award. Debriefings are held with unsuccessful offerors/applicants requesting a meeting. In the event that the CO receives notification of protest, the action proceeds to the Manage Protest process. The CO/AO and the CTO hold a post award conference with the awardee, if necessary. If a decision is made to hold a post award conference, the awardee is invited to attend.
FEA BRM v2.0 Sub function	Management of Government Resources/Supply Chain Management/Goods Acquisition Management of Government Resources/Supply Chain Management/Services Acquisition
Assessment	N/A

Who's doing the sub-process? (Business Units and roles)		
<p>“Owns” – Provides high level guidance, directs overall effort for completing sub process, is measured by and ultimately responsible for results.</p> <p>“Executes” – Manages day-to-day activities of the sub process and is responsible for the quality and timeliness of completing the tasks of the sub process.</p> <p>“Participates” – Performs day-to-day activities and contributes to the execution of tasks of the sub process.</p> <p>“Advises” – Plays a consultative role to the supported business unit in the execution of the sub process.</p>		
Business Unit	Role	Execution Frequency
M/OP	Owns	Daily

Where is the sub-process performed? (Sub-Process Execution)	
Business Unit	Location
Management Bureau – Office of Procurement	USAID/W

3.4.8.2 Business Data Used by Sub-Process

Name	Description	Received From	Sends To
Award Document	A legal agreement specifying goods and services to be acquired or assistance activities to be supported by the agency and the terms of support, including the method and amount of compensation or assistance. USAID awards include: (1) Small Purchases: governed by Simplified Acquisition Procedures (FAR part 13); up to \$100,000 value. (2) Large Purchases: (a) accomplished through competitive contracts, governed by sealed bidding procedures (FAR parts 14 and 15). (b) accomplished through assistance awards, both grants and cooperative agreements. (c) accomplished through interagency agreements (IAAs), primarily Participating Agency Service Agreements (PASAs) and Resource Support Services Agreements (RSSAs), but also including other types of IAAs.	SP: Conduct Negotiation	
Procurement File	Details Unavailable	SP: Conduct Negotiation	SP: Modify Award
Pending Obligation	Details Unavailable	Details Unavailable	
Notification to LPA	Details Unavailable		Details Unavailable
Notification to Unsuccessful Offerors/Applicants	Details Unavailable		ORG: Offerors/Applicants
Funds Obligated	Details Unavailable		Details Unavailable
Signed Award Document	Details Unavailable		Details Unavailable
Debriefing Completed	Details Unavailable		Details Unavailable
CBD Notice	Details Unavailable		Details Unavailable

3.4.8.3 Supporting Systems/Applications/Tools

Systems, Applications, and Tools Used to Support the Sub-Process		
<p>“System” - A system has a discrete set of specific functionality, which comes in one or more applications that supports a process or sub-process</p> <p>“Tool” - A purpose-built application designed for decision making, reporting, or mitigating gaps in a corporate system functionality.</p>		
Name/Acronym	Type	Description
Phoenix	System	Phoenix is used for processing Agency transactions in the areas of general ledger, budget execution/funds control, accounts payable, disbursements, accounts receivable, loan management/credit, and cost allocation. Phoenix is also being used as the Agency tool for estimating accruals.
New Management System A&A	System	The A&A DB system is the backbone used in Washington to track and manage the procurement process. ProDoc is the primary interface. ProDoc is used to generate all documentation and interface with the field missions.
MS Office	Tool	A suite of productivity tools produced by the Microsoft Corporation including a word processor (Microsoft Word), a spreadsheet application (Microsoft Excel), presentation software (PowerPoint) and a database application (MS Access). Other applications include a diagramming tool (Visio) and a scheduling product (Microsoft Project).

3.4.8.4 Services

What services are currently defined to support this sub-process?	
Service Name	Description
Not Currently Defined	

3.4.9 Manage Protest

3.4.9.1 Sub-Process Details

General Sub-Process Information	
Sub-Process Description	Within this task, interested parties may protest either alleged improprieties in the solicitation, the award process, or the decision. Protest procedures are in accordance with FAR 33.1 and AIDAR 733.1, and all protests must be in writing. Agency protests are addressed to the CO for consideration by the Director, M/OP. Protests to the Comptroller General (GAO), in accordance with Title 4, Part 20 of the Code of the Federal Regulations (CFR), must be copied to the CO within one day after filing. The CO works closely with the Assistant General Counsel for Litigation and Enforcement (GC/LE) in managing all protests. They prepare either the decision for the Director, M/OP, in the case of an Agency protest, or the Agency report to the GAO, in the case of a GAO protest (unless the GAO dismisses the protest before the report is submitted). Both the Agency decision and the Agency report must describe in detail the basis for any decisions that are linked to the protest allegations. In most cases, the CO will suspend performance or withhold award unless a compelling or urgent need exists to override the suspension. During the process or upon receipt of the GAO recommendation, in connection with a sustained protest, the Agency may implement remedial actions.
FEA BRM v2.0 Sub function	Management of Government Resources/Supply Chain Management/Goods Acquisition Management of Government Resources/Supply Chain Management/Services Acquisition
Assessment	OHA is involved in this process through providing input to legal about the background of a particular contract or grant. OHA personnel also serve as technical experts evaluating specific response issues. Currently the primary mode of notification for OHA personnel is through official mail. This is often slow and unreliable.

Who's doing the sub-process? (Business Units and roles)		
<p>“Owns” – Provides high level guidance, directs overall effort for completing sub process, is measured by and ultimately responsible for results.</p> <p>“Executes” – Manages day-to-day activities of the sub process and is responsible for the quality and timeliness of completing the tasks of the sub process.</p> <p>”Participates” – Performs day-to-day activities and contributes to the execution of tasks of the sub process.</p> <p>“Advises” – Plays a consultative role to the supported business unit in the execution of the sub process.</p>		
Business Unit	Role	Execution Frequency
M/OP	Owns	Daily

Where is the sub-process performed? (Sub-Process Execution)	
Business Unit	Location
Management Bureau – Office of Procurement	USAID/W

3.4.9.2 Business Data Used by Sub-Process

Name	Description	Received From	Sends To
Protest	Action taken by a vendor who has major concerns, questions, or disagrees with the contracting officer's award decision.	ORG: Offeror/Applicant	
GC/LE Advice	Details Unavailable	Details Unavailable	
OP Input	Details Unavailable	Details Unavailable	
Agency Report	Details Unavailable		Details Unavailable
Remedial Action Taken	Details Unavailable		Details Unavailable
Agency Decision	Details Unavailable		Details Unavailable

3.4.9.3 Supporting Systems/Applications/Tools

Systems, Applications, and Tools Used to Support the Sub-Process		
<p>“System” - A system has a discrete set of specific functionality, which comes in one or more applications that supports a process or sub-process</p> <p>“Tool” - A purpose-built application designed for decision making, reporting, or mitigating gaps in a corporate system functionality.</p>		
Name/Acronym	Type	Description
New Management System A&A	System	The A&A DB system is the backbone used in Washington to track and manage the procurement process. ProDoc is the primary interface. ProDoc is used to generate all documentation and interface with the field missions.
MS Office	Tool	A suite of productivity tools produced by the Microsoft Corporation including a word processor (Microsoft Word), a spreadsheet application (Microsoft Excel), presentation software (PowerPoint) and a database application (MS Access). Other applications include a diagramming tool (Visio) and a scheduling product (Microsoft Project).
ProDoc	Application	Contract writing system. Quarterly updates sent to A&A.

3.4.9.4 Services

What services are currently defined to support this sub-process?	
Service Name	Description
Not Currently Defined	

3.5 Award Administration

3.5.1 Administer Award

3.5.1.1 Sub-Process Details

General Sub-Process Information	
Sub-Process Description	<p>Perform the administrative functions necessary for active awards. Track receipt and acceptance of goods and services and the achievement of program results (award performance as monitored by the CTO is the basis for this assessment). Authorize the Financial Management business area to make or withhold payment, based on performance, under the terms of the award. If necessary provide for transportation of commodities. Track list of goods and services that are scheduled for future delivery. Track post-award correspondence. Provide support to overseas contracting officers and host country procurement agents as necessary.</p> <p>Within this activity, a CTO is designated to manage and administer the award. If the CTO is unavailable to perform his/her duties, redesignation of the CTO appointment is required. Administration of the award often involves correspondence between the awardee, Contracting Office, and designated CTO. Results to any of these activities could change the terms and conditions of the award that may result in a modification to the award. In addition, Agency and Federal reporting is necessary during the administration of the award. Reporting requirements are generally scheduled, however, ad hoc reporting is often necessary.</p>
FEA BRM v2.0 Sub function	<p>Management of Government Resources/Supply Chain Management/Goods Acquisition Management of Government Resources/Supply Chain Management/Services Acquisition</p>
Assessment	<p>OHA is heavily involved in administering Operating Unit awards, as part of the Manage Portfolio Execution Business Process Area. The OHA Cognizant Technical Officer (CTO) has primary project management duties. OHA has primary responsibility for managing the project with OP support for contractual, salary, subcontract, travel, etc issues.</p> <p>There is no formal management process or system designed to support this process. Skill and experience levels vary greatly between CTOS. This creates a large inconsistency in how individual projects are managed and their effectiveness.</p>

Who's doing the sub-process? (Business Units and roles)		
<p>“Owns” – Provides high level guidance, directs overall effort for completing sub process, is measured by and ultimately responsible for results.</p> <p>“Executes” – Manages day-to-day activities of the sub process and is responsible for the quality and timeliness of completing the tasks of the sub process.</p> <p>”Participates” – Performs day-to-day activities and contributes to the execution of tasks of the sub process.</p> <p>“Advises” – Plays a consultative role to the supported business unit in the execution of the sub process.</p>		
Business Unit	Role	Execution Frequency
M/OP	Owns	Daily
Global Health	Participates	Daily
Missions	Participates	Daily
M/FM	Participates	Daily

Where is the sub-process performed? (Sub-Process Execution)	
Business Unit	Location
Management Bureau – Office of Procurement	USAID/W
Global Health	USAID/W
Missions	Worldwide
Management Bureau – Financial Management	USAID/W

3.5.1.2 Business Data Used by Sub-Process

Name	Description	Received From	Sends To
Request to Change CTO Designation	Details Unavailable	Details Unavailable	
Request for Approval from Awardee	Details Unavailable	Details Unavailable	
Ad Hoc Request for Reports	Details Unavailable	Details Unavailable	
Schedule Listing	Details Unavailable	Details Unavailable	
Mandatory Federal Reports	Details Unavailable	Details Unavailable	
Procurement File	Details Unavailable	SP: Execute Award	
Permanent Designation of CTO Memorandum	Details Unavailable		Details Unavailable
Temporary Designation of CTO Memorandum	Details Unavailable		Details Unavailable
Correspondence Document	Details Unavailable		Details Unavailable
Agency and Regulatory Reports	Details Unavailable		Details Unavailable

Systems, Applications, and Tools Used to Support the Sub-Process		
<p>“System” - A system has a discrete set of specific functionality, which comes in one or more applications that supports a process or sub-process</p> <p>“Tool” - A purpose-built application designed for decision making, reporting, or mitigating gaps in a corporate system functionality.</p>		
Name/Acronym	Type	Description
NMS A&A (aka A&A DB)	System	The A&A DB system is the backbone used in Washington to track and manage the procurement process. ProDoc is the primary interface. ProDoc is used to generate all documentation and interface with the field missions.
ProDoc	Application	Primary interface for NMS A&A
Documentum	Application	Used to scan and track all SOWs and Contracts in Washington.
Spreadsheets	Tool	Individually created spreadsheet used to track, and plan office/mission specific items.
Phoenix	System	Financial Management System
Mission Accounting and Control System	System	Used for accounting at the missions

3.5.1.3 Supporting Systems/Applications/Tools

3.5.1.4 Services

What services are currently defined to support this sub-process?	
Service Name	Description
Not Currently Defined	

3.5.2 Monitor Performance

3.5.2.1 Sub-Process Details

General Sub-Process Information	
Sub-Process Description	Within this activity, performance is monitored by the CTO, including review of contractor/grantee progress, invoices, advance requests, accrual schedule, and inspection and acceptance of goods/services. Acceptance or rejection of goods and services is based on the requirements described in the award document. Performance is monitored through on-site evaluations and progress reports. It is during this process that accrual schedules may be modified based on the progress of the contractor/recipient. Contractor Past Performance Reports are prepared annually using the NIH Contractor Performance System (CPS).
FEA BRM v2.0 Sub function	Management of Government Resources/Supply Chain Management/Goods Acquisition Management of Government Resources/Supply Chain Management/Services Acquisition Support Delivery of Services/Controls and Oversight/Program Monitoring
Assessment	OHA is heavily involved in Monitoring Performance, both in its roll as a manager of portfolio execution and in overseeing the HIV/AIDS program. The OHA CTO has primary responsibility for managing specific projects with OP support for contractual, salary, subcontract, travel, etc. issues. It is very difficult and labor intensive to get details on contract performance. This is even truer when considering multiple contracts. The waiver that enabled USAID to monitor grants has run out, so there is even less visibility into grant performance.

Who's doing the sub-process? (Business Units and roles)		
<p>"Owns" – Provides high level guidance, directs overall effort for completing sub process, is measured by and ultimately responsible for results.</p> <p>"Executes" – Manages day-to-day activities of the sub process and is responsible for the quality and timeliness of completing the tasks of the sub process.</p> <p>"Participates" – Performs day-to-day activities and contributes to the execution of tasks of the sub process.</p> <p>"Advises" – Plays a consultative role to the supported business unit in the execution of the sub process.</p>		
Business Unit	Role	Execution Frequency
M/OP	Owns	Daily
Global Health	Participates	Daily
Missions	Participates	Daily

Where is the sub-process performed? (Sub-Process Execution)	
Business Unit	Location
Management Bureau – Office of Procurement	USAID/W
Global Health	USAID/W
Missions	Worldwide

3.5.2.2 Business Data Used by Sub-Process

Name	Description	Received From	Sends To
Requests for Administrative Approval of Invoices	Details Unavailable	Details Unavailable	
Delivery/Receipt of Goods/Services	Details Unavailable	Details Unavailable	
LOC Advance Request	Details Unavailable	Details Unavailable	
Acceptance Criteria	Details Unavailable	Details Unavailable	
Periodic Progress Reports From Contractor/Recipient	Details Unavailable	Details Unavailable	
Contractor Past Performance Reports	Details Unavailable		Details Unavailable
Accepted Goods/Services	Details Unavailable		Details Unavailable
LOC Advance Request Authorizations	Details Unavailable		Details Unavailable
Administrative Approval of Invoices	Details Unavailable		Details Unavailable

3.5.2.3 Supporting Systems/Applications/Tools

Systems, Applications, and Tools Used to Support the Sub-Process		
<p>“System” - A system has a discrete set of specific functionality, which comes in one or more applications that supports a process or sub-process</p> <p>“Tool” - A purpose-built application designed for decision making, reporting, or mitigating gaps in a corporate system functionality.</p>		
Name/Acronym	Type	Description
Phoenix	System	Phoenix is used for processing Agency transactions in the areas of general ledger, budget execution/funds control, accounts payable, disbursements, accounts receivable, loan management/credit, and cost allocation. Phoenix is also being used as the Agency tool for estimating accruals.
New Management System A&A	System	The A&A DB system is the backbone used in Washington to track and manage the procurement process. ProDoc is the primary interface. ProDoc is used to generate all documentation and interface with the field missions.
MS Office	Tool	A suite of productivity tools produced by the Microsoft Corporation including a word processor (Microsoft Word), a spreadsheet application (Microsoft Excel), presentation software (PowerPoint) and a database application (MS Access). Other applications include a diagramming tool (Visio) and a scheduling product (Microsoft Project).
ProDoc	Application	Contract writing system. Quarterly updates sent to A&A.
Mission Accounting and Control System	System	Used for accounting at the missions

3.5.2.4 Services

What services are currently defined to support this sub-process?	
Service Name	Description
Not Currently Defined	

3.5.3 Modify Award

3.5.3.1 Sub-Process Details

General Sub-Process Information	
Sub-Process Description	Negotiate, document, and distribute a change to an award. The modification can be due to changes in line items, administrative changes, application of incremental funding, changes in the Statement of Work, or the de-obligation of funds. The modification of an award requires a justification and approval. The award is modified by the CTO.
FEA BRM v2.0 Sub function	Management of Government Resources/Supply Chain Management/Goods Acquisition Management of Government Resources/Supply Chain Management/Services Acquisition
Assessment	<p>The OHA CTO must make a request in NMS A&A, to initiate this process, and check in Phoenix to ensure that there is enough funding to cover the desired modification. Approximately 20% of modifications must go through the Award Formulation process. Approximately 60% to 70% of modifications are last minute (two weeks or less).</p> <p>This process is largely driven by the experience level and personality of the CTO, which varies greatly. Like project management in general, there is little actual standardization in procedures, skill sets, or resident knowledge of modifying awards. Though formalized procedures are published there is little understanding of them throughout the community.</p>

Who's doing the sub-process? (Business Units and roles)		
<p>“Owns” – Provides high level guidance, directs overall effort for completing sub process, is measured by and ultimately responsible for results.</p> <p>“Executes” – Manages day-to-day activities of the sub process and is responsible for the quality and timeliness of completing the tasks of the sub process.</p> <p>”Participates” – Performs day-to-day activities and contributes to the execution of tasks of the sub process.</p> <p>“Advises” – Plays a consultative role to the supported business unit in the execution of the sub process.</p>		
Business Unit	Role	Execution Frequency
M/OP	Owns	Daily
Global Health	Executes	Daily
Missions	Executes	Daily

Where is the sub-process performed? (Sub-Process Execution)	
Business Unit	Location
Management Bureau – Office of Procurement	USAID/W
Global Health	USAID/W
Missions	Worldwide

3.5.3.2 Business Data Used by Sub-Process

Name	Description	Received From	Sends To
Accepted Request for Modification	An accepted request which will be executed by modifying an existing award rather than making a new award.	SP: Generate Request	
Accepted Request for Modification	An accepted request which will be executed by modifying an existing award rather than making a new award.	ORG: Offeror	
Communication with Awardee	Details Unavailable	Details Unavailable	
Pending Obligation	Details Unavailable	Details Unavailable	
Procurement File	Details Unavailable	SP: Execute Award	
Appropriate Public Notice	Details Unavailable		Details Unavailable
Evaluation Results	Details Unavailable		Details Unavailable
Signed Award Modification	An approved change to the terms of an award.		ORG: Offeror
Negotiated Terms and Conditions	Details Unavailable		Details Unavailable

3.5.3.3 Supporting Systems/Applications/Tools

Systems, Applications, and Tools Used to Support the Sub-Process		
<p>“System” - A system has a discrete set of specific functionality, which comes in one or more applications that supports a process or sub-process</p> <p>“Tool” - A purpose-built application designed for decision making, reporting, or mitigating gaps in a corporate system functionality.</p>		
Name/Acronym	Type	Description
Phoenix	System	Phoenix is used for processing Agency transactions in the areas of general ledger, budget execution/funds control, accounts payable, disbursements, accounts receivable, loan management/credit, and cost allocation. Phoenix is also being used as the Agency tool for estimating accruals.
New Management System A&A	System	The A&A DB system is the backbone used in Washington to track and manage the procurement process. ProDoc is the primary interface. ProDoc is used to generate all documentation and interface with the field missions.
MS Office	Tool	A suite of productivity tools produced by the Microsoft Corporation including a word processor (Microsoft Word), a spreadsheet application (Microsoft Excel), presentation software (PowerPoint) and a database application (MS Access). Other applications include a diagramming tool (Visio) and a scheduling product (Microsoft Project).
ProDoc	Application	Contract writing system. Quarterly updates sent to A&A.

3.5.3.4 Services

What services are currently defined to support this sub-process?	
Service Name	Description
Not Currently Defined	

3.5.4 Prepare Novation/Change of Name Agreement

3.5.4.1 Sub-Process Details

General Sub-Process Information	
Sub-Process Description	M/OP/PS/OCC performs review of Request for Novation/Change of Name Agreements. Processing Change of Name Agreements involves an entity changing its name and its article of incorporation. Novation agreements is a successor in interest may involve mergers, acquisitions or consolidations of entities and/or the sale of Government contracts to a third party. The review of novation agreements includes: 1) determining compliance with FAR Part 42 documentation requirements for contracts, and USAID documentation requirements for assistance instruments, 2) soliciting and addressing CO/AO comments and concerns, 3) determining if the novation is in best interest of the Government, 4) determining the estimated cost impact to the Government, if Cost Accounting Standards (CAS) covered contractor and change in cost accounting practice has occurred, and 5) requesting the General Council's review and clearance on the legality of the novation agreement. Outputs of the process are fully executed novation/change of name agreement and blanket contract/agreement/grant modification that are distributed to the contractor/recipient and USAID CO/AO and CTO.
FEA BRM v2.0 Sub function	Management of Government Resources/Supply Chain Management/Goods Acquisition Management of Government Resources/Supply Chain Management/Services Acquisition
Assessment	N/A

Who's doing the sub-process? (Business Units and roles)		
<p>"Owns" – Provides high level guidance, directs overall effort for completing sub process, is measured by and ultimately responsible for results.</p> <p>"Executes" – Manages day-to-day activities of the sub process and is responsible for the quality and timeliness of completing the tasks of the sub process.</p> <p>"Participates" – Performs day-to-day activities and contributes to the execution of tasks of the sub process.</p> <p>"Advises" – Plays a consultative role to the supported business unit in the execution of the sub process.</p>		
Business Unit	Role	Execution Frequency
M/OP	Owns	Daily

Where is the sub-process performed? (Sub-Process Execution)	
Business Unit	Location
Management Bureau – Office of Procurement	USAID/W

3.5.4.2 Business Data Used by Sub-Process

Name	Description	Received From	Sends To
Request for Novation/Change Name Agreement	Details Unavailable	Details Unavailable	
GC Comments	Details Unavailable		Details Unavailable
Novation/Change Name Package	Details Unavailable		Details Unavailable

3.5.4.3 Supporting Systems/Applications/Tools

Systems, Applications, and Tools Used to Support the Sub-Process		
<p>“System” - A system has a discrete set of specific functionality, which comes in one or more applications that supports a process or sub-process</p> <p>“Tool” - A purpose-built application designed for decision making, reporting, or mitigating gaps in a corporate system functionality.</p>		
Name/Acronym	Type	Description
Phoenix	System	Phoenix is used for processing Agency transactions in the areas of general ledger, budget execution/funds control, accounts payable, disbursements, accounts receivable, loan management/credit, and cost allocation. Phoenix is also being used as the Agency tool for estimating accruals.
New Management System A&A	System	The A&A DB system is the backbone used in Washington to track and manage the procurement process. ProDoc is the primary interface. ProDoc is used to generate all documentation and interface with the field missions.
Documentum	Application	Enterprise Content Management (ECM) package with integrated vertical applications such as eRoom, ACTS, E-mail Tracking, Assist, and Collaboration.
ProDoc	Application	Contract writing system. Quarterly updates sent to A&A.

3.5.4.4 Services

What services are currently defined to support this sub-process?	
Service Name	Description
Not Currently Defined	

3.5.5 Termination

3.5.5.1 Sub-Process Details

General Sub-Process Information	
Sub-Process Description	Within this activity, the contracting office handles the request for termination from the CTO. In conjunction with the CO/AO the request for termination is evaluated to determine if the request action and type is appropriate in accordance with the regulations, policies and procedures. If yes, the contracting office issues a notice(s) then evaluates the response(s) to determine if termination should proceed. If this is yes, the contracting office negotiates the termination settlement. If termination is not required, the termination activity ends.
FEA BRM v2.0 Sub function	Management of Government Resources/Supply Chain Management/Goods Acquisition Management of Government Resources/Supply Chain Management/Services Acquisition
Assessment	N/A

Who's doing the sub-process? (Business Units and roles)		
<p>“Owns” – Provides high level guidance, directs overall effort for completing sub process, is measured by and ultimately responsible for results.</p> <p>“Executes” – Manages day-to-day activities of the sub process and is responsible for the quality and timeliness of completing the tasks of the sub process.</p> <p>”Participates” – Performs day-to-day activities and contributes to the execution of tasks of the sub process.</p> <p>“Advises” – Plays a consultative role to the supported business unit in the execution of the sub process.</p>		
Business Unit	Role	Execution Frequency
M/OP	Owns	Daily

Where is the sub-process performed? (Sub-Process Execution)	
Business Unit	Location
Management Bureau – Office of Procurement	USAID/W

3.5.5.2 Business Data Used by Sub-Process

Name	Description	Received From	Sends To
Request for Termination	Details Unavailable	SP: Claim/Dispute Resolution	
Request for Termination	Details Unavailable	Details Unavailable	
Termination for Default	Details Unavailable		ORG: Offeror
Termination for Convenience	Details Unavailable		ORG: Offeror
Termination Settlement	Details Unavailable		Details Unavailable
Termination Not Required	Details Unavailable		Details Unavailable
Reprocurement Cost Established	Details Unavailable		Details Unavailable

3.5.5.3 Supporting Systems/Applications/Tools

Systems, Applications, and Tools Used to Support the Sub-Process		
<p>“System” - A system has a discrete set of specific functionality, which comes in one or more applications that supports a process or sub-process</p> <p>“Tool” - A purpose-built application designed for decision making, reporting, or mitigating gaps in a corporate system functionality.</p>		
Name/Acronym	Type	Description
Phoenix	System	Phoenix is used for processing Agency transactions in the areas of general ledger, budget execution/funds control, accounts payable, disbursements, accounts receivable, loan management/credit, and cost allocation. Phoenix is also being used as the Agency tool for estimating accruals.
New Management System A&A	System	The A&A DB system is the backbone used in Washington to track and manage the procurement process. ProDoc is the primary interface. ProDoc is used to generate all documentation and interface with the field missions.
ProDoc	Application	Contract writing system. Quarterly updates sent to A&A.

3.5.5.4 Services

What services are currently defined to support this sub-process?	
Service Name	Description
Not Currently Defined	

3.5.6 Claim/Dispute Resolution

3.5.6.1 Sub-Process Details

General Sub-Process Information	
Sub-Process Description	Within this activity, a claim/dispute may arise during the administration of a contract. A claim/dispute is a written demand or written assertion by the contractor for payment, adjustment, or other relief arising under or relating to the contract. The claim/dispute is then reviewed, in consultation with GC and CTO, for merits against the award document, rules and regulations, contractor’s supporting evidence, and any other factors related to the circumstances. As a result of the review, a finding is issued which will identify a remedy to be implemented or require negotiation of settlement/resolution. The remedy or settlement/resolution may result in settlement of costs, stop work order, termination, modifying award document, etc.
FEA BRM v2.0 Sub function	Management of Government Resources/Supply Chain Management/Goods Acquisition Management of Government Resources/Supply Chain Management/Services Acquisition
Assessment	OHA is involved in Claim/Dispute Resolution, as part of the Manage Portfolio Execution Business Process Area. This is an informal process not specifically covered by a supporting system. The CO is responsible for collecting information from the CTO and others. As there is often little standardization, or formalization of project management documentation this is largely a haphazard process.

Who's doing the sub-process? (Business Units and roles)		
<p>“Owns” – Provides high level guidance, directs overall effort for completing sub process, is measured by and ultimately responsible for results.</p> <p>“Executes” – Manages day-to-day activities of the sub process and is responsible for the quality and timeliness of completing the tasks of the sub process.</p> <p>”Participates” – Performs day-to-day activities and contributes to the execution of tasks of the sub process.</p> <p>“Advises” – Plays a consultative role to the supported business unit in the execution of the sub process.</p>		
Business Unit	Role	Execution Frequency
M/OP	Owns	Daily
OHA	Participates	Daily

Where is the sub-process performed? (Sub-Process Execution)	
Business Unit	Location
Management Bureau – Office of Procurement	USAID/W

3.5.6.2 Business Data Used by Sub-Process

Name	Description	Received From	Sends To
Contractor's Claim/ Disputes	Details Unavailable	ORG: Offeror	
Award Document	A legal agreement specifying goods and services to be acquired or assistance activities to be supported by the agency and the terms of support, including the method and amount of compensation or assistance. USAID awards include: (1) Small Purchases: governed by Simplified Acquisition Procedures (FAR part 13); up to \$100,000 value. (2) Large Purchases: (a) accomplished through competitive contracts, governed by sealed bidding procedures (FAR parts 14 and 15). (b) accomplished through assistance awards, both grants and cooperative agreements. (c) accomplished through interagency agreements (IAAs), primarily Participating Agency Service Agreements (PASAs) and Resource Support Services Agreements (RSSAs), but also including other types of IAAs.	SP: Conduct Negotiation	
Contractor's Supporting Evidence	Details Unavailable	ORG: Offeror	
Cost Analysis	Details Unavailable		Details Unavailable
Findings	Details Unavailable		Details Unavailable
Request for Termination	Details Unavailable		SP: Termination
Stop Work Order	Details Unavailable		ORG: Offeror
Settlement of Cost	Details Unavailable		Details Unavailable

3.5.6.3 Supporting Systems/Applications/Tools

Systems, Applications, and Tools Used to Support the Sub-Process		
<p>“System” - A system has a discrete set of specific functionality, which comes in one or more applications that supports a process or sub-process</p> <p>“Tool” - A purpose-built application designed for decision making, reporting, or mitigating gaps in a corporate system functionality.</p>		
Name/Acronym	Type	Description
Phoenix	System	Phoenix is used for processing Agency transactions in the areas of general ledger, budget execution/funds control, accounts payable, disbursements, accounts receivable, loan management/credit, and cost allocation. Phoenix is also being used as the Agency tool for estimating accruals.
New Management System A&A	System	The A&A DB system is the backbone used in Washington to track and manage the procurement process. ProDoc is the primary interface. ProDoc is used to generate all documentation and interface with the field missions.
Documentum	Application	Enterprise Content Management (ECM) package with integrated vertical applications such as eRoom, ACTS, E-mail Tracking, Assist, and Collaboration.
ProDoc	Application	Contract writing system. Quarterly updates sent to A&A.

3.5.6.4 Services

What services are currently defined to support this sub-process?	
Service Name	Description
Not Currently Defined	

3.5.7 Close Out Award

3.5.7.1 Sub-Process Details

General Sub-Process Information	
Sub-Process Description	Conduct administrative activities after final receipt and acceptance of all goods and services that are deliverable on an award. Process the final voucher, finalize the indirect cost rates, deobligate any remaining funds or obligate any additional funds as required, and dispose of any remaining program property as specified by the contract. The close out award can include termination for convenience and may require a third party unit.
FEA BRM v2.0 Sub function	Management of Government Resources/Supply Chain Management/Goods Acquisition Management of Government Resources/Supply Chain Management/Services Acquisition
Assessment	<p>OHA is involved in Closing Out and Award, as part of the Manage Portfolio Execution Business Process Area. There is a formalized checklist that the CTO and CO follow to close out an award.</p> <p>The CTO must certify and document that the goods and services contracted for have been received. Because many contracts last across multiple years, across the tenure of multiple CTOs and/or modifications, and the informality of the entire project management lifecycle, it is often extremely difficult to properly document Award Close-Outs.</p>

Who's doing the sub-process? (Business Units and roles)		
<p>“Owns” – Provides high level guidance, directs overall effort for completing sub process, is measured by and ultimately responsible for results.</p> <p>“Executes” – Manages day-to-day activities of the sub process and is responsible for the quality and timeliness of completing the tasks of the sub process.</p> <p>”Participates” – Performs day-to-day activities and contributes to the execution of tasks of the sub process.</p> <p>“Advises” – Plays a consultative role to the supported business unit in the execution of the sub process.</p>		
Business Unit	Role	Execution Frequency
M/OP	Owns	Daily
Global Health	Participates	Daily
Missions	Participates	Daily
M/FM	Participates	Daily

Where is the sub-process performed? (Sub-Process Execution)	
Business Unit	Location
Management Bureau – Office of Procurement	USAID/W
Global Health	USAID/W
Missions	Worldwide
Management Bureau – Financial Management	USAID/W

3.5.7.2 Business Data Used by Sub-Process

Name	Description	Received From	Sends To
Award File	Details Unavailable	Details Unavailable	
Outside Audit	Details Unavailable	Details Unavailable	
Final Payment	Details Unavailable		ORG: Offeror
Completion of Close-Out Documentation	Details Unavailable		Details Unavailable
Funds De-Obligation	Details Unavailable		BPA: Financial Management

3.5.7.3 Supporting Systems/Applications/Tools

Systems, Applications, and Tools Used to Support the Sub-Process		
<p>“System” - A system has a discrete set of specific functionality, which comes in one or more applications that supports a process or sub-process</p> <p>“Tool” - A purpose-built application designed for decision making, reporting, or mitigating gaps in a corporate system functionality.</p>		
Name/Acronym	Type	Description
Phoenix	System	Phoenix is used for processing Agency transactions in the areas of general ledger, budget execution/funds control, accounts payable, disbursements, accounts receivable, loan management/credit, and cost allocation. Phoenix is also being used as the Agency tool for estimating accruals.
New Management System A&A	System	The A&A DB system is the backbone used in Washington to track and manage the procurement process. ProDoc is the primary interface. ProDoc is used to generate all documentation and interface with the field missions.
Documentum	Application	Enterprise Content Management (ECM) package with integrated vertical applications such as eRoom, ACTS, E-mail Tracking, Assist, and Collaboration.
Phoenix	System	Phoenix is used for processing Agency transactions in the areas of general ledger, budget execution/funds control, accounts payable, disbursements, accounts receivable, loan management/credit, and cost allocation. Phoenix is also being used as the Agency tool for estimating accruals.
Mission Accounting and Control System	System	Used for accounting at the missions

3.5.7.4 Services

What services are currently defined to support this sub-process?	
Service Name	Description
Not Currently Defined	

3.6 Acquisition and Assistance Support

3.6.1 Audit Support of Responsibility Determination

3.6.1.1 Sub-Process Details

General Sub-Process Information	
Sub-Process Description	Within this task, the CO/AO consults with M/OP/PS/CAM to assess the financial responsibility of the offeror. Based on the audit recommendation from M/OP/PS/CAM, the CO/AO determines if the offeror is responsible and then proceeds to determine eligibility for award or else requests a pre-award survey. The pre-award survey is performed either internally by M/OP/PS/CAM or else externally by the cognizant audit agency and a pre-award survey report is produced.
FEA BRM v2.0 Sub function	Support Delivery of Services/Controls and Oversight/Program Monitoring Support Delivery of Services/Controls and Oversight/Program Evaluation Support Delivery of Services/Financial Management/Reporting and Information
Assessment	N/A

Who's doing the sub-process? (Business Units and roles)		
<p>"Owns" – Provides high level guidance, directs overall effort for completing sub process, is measured by and ultimately responsible for results.</p> <p>"Executes" – Manages day-to-day activities of the sub process and is responsible for the quality and timeliness of completing the tasks of the sub process.</p> <p>"Participates" – Performs day-to-day activities and contributes to the execution of tasks of the sub process.</p> <p>"Advises" – Plays a consultative role to the supported business unit in the execution of the sub process.</p>		
Business Unit	Role	Execution Frequency
M/OP	Owns	Quarterly

Where is the sub-process performed? (Sub-Process Execution)	
Business Unit	Location
Management Bureau – Office of Procurement	USAID/W

3.6.1.2 Business Data Used by Sub-Process

Name	Description	Received From	Sends To
Request for Audit Services	Details Unavailable	Details Unavailable	
Request to Initiate Pre-Award Survey	Details Unavailable	Details Unavailable	
Audit Recommendation	Details Unavailable		Details Unavailable
Pre-Award Survey Report	Details Unavailable		Details Unavailable

3.6.1.3 Supporting Systems/Applications/Tools

Systems, Applications, and Tools Used to Support the Sub-Process		
<p>“System” - A system has a discrete set of specific functionality, which comes in one or more applications that supports a process or sub-process</p> <p>“Tool” - A purpose-built application designed for decision making, reporting, or mitigating gaps in a corporate system functionality.</p>		
Name/Acronym	Type	Description
New Management System A&A	System	The A&A DB system is the backbone used in Washington to track and manage the procurement process. ProDoc is the primary interface. ProDoc is used to generate all documentation and interface with the field missions.
Documentum	Application	Enterprise Content Management (ECM) package with integrated vertical applications such as eRoom, ACTS, E-mail Tracking, Assist, and Collaboration.
ProDoc	Application	Contract writing system. Quarterly updates sent to A&A.

3.6.1.4 Services

What services are currently defined to support this sub-process?	
Service Name	Description
Not Currently Defined	

3.6.2 Audit Support of Cost/Price Analysis

3.6.2.1 Sub-Process Details

General Sub-Process Information	
Sub-Process Description	Within this activity, the CO/AO consults with M/OP/PS/CAM to determine information available to assess the offeror’s solicitation. M/OP/PS/CAM reviews/provides the CO/AO with the input to make the determination (e.g. prior audits, solicitation, interpretation of regulation). M/OP/PS/CAM determines the level of cost price analysis support needed to evaluate the solicitation and makes a recommendation to the CO/AO. The CO/AO proceeds to request revised response.
FEA BRM v2.0 Sub function	Support Delivery of Services/Controls and Oversight/Program Evaluation Support Delivery of Services/Controls and Oversight/Program Monitoring Support Delivery of Services/Financial Management/Reporting and Information
Assessment	N/A

Who's doing the sub-process? (Business Units and roles)		
<p>“Owns” – Provides high level guidance, directs overall effort for completing sub process, is measured by and ultimately responsible for results.</p> <p>“Executes” – Manages day-to-day activities of the sub process and is responsible for the quality and timeliness of completing the tasks of the sub process.</p> <p>”Participates” – Performs day-to-day activities and contributes to the execution of tasks of the sub process.</p> <p>“Advises” – Plays a consultative role to the supported business unit in the execution of the sub process.</p>		
Business Unit	Role	Execution Frequency
M/OP	Owns	Quarterly

Where is the sub-process performed? (Sub-Process Execution)	
Business Unit	Location
Management Bureau – Office of Procurement	USAID/W

3.6.2.2 Business Data Used by Sub-Process

Name	Description	Received From	Sends To
Request for Audit Services	Details Unavailable	Details Unavailable	
Cost/Price Response	Details Unavailable	Details Unavailable	
Request to Initiate Pre-Award Cost/Price Analysis	Details Unavailable	Details Unavailable	
Audit Recommendation	Details Unavailable		Details Unavailable
Cost/Price Report	Details Unavailable		Details Unavailable

3.6.2.3 Supporting Systems/Applications/Tools

Systems, Applications, and Tools Used to Support the Sub-Process		
<p>“System” - A system has a discrete set of specific functionality, which comes in one or more applications that supports a process or sub-process</p> <p>“Tool” - A purpose-built application designed for decision making, reporting, or mitigating gaps in a corporate system functionality.</p>		
Name/Acronym	Type	Description
New Management System A&A	System	The A&A DB system is the backbone used in Washington to track and manage the procurement process. ProDoc is the primary interface. ProDoc is used to generate all documentation and interface with the field missions.
Documentum	Application	Enterprise Content Management (ECM) package with integrated vertical applications such as eRoom, ACTS, E-mail Tracking, Assist, and Collaboration.
ProDoc	Application	Contract writing system. Quarterly updates sent to A&A.

3.6.2.4 Services

What services are currently defined to support this sub-process?	
Service Name	Description
Not Currently Defined	

3.6.3 Monitor Annual Audit Requirements

3.6.3.1 Sub-Process Details

General Sub-Process Information	
Sub-Process Description	Within this activity, the annual audit requirements are monitored to ensure compliance with the award document. Before the award is made, the CO/AO must include an annual audit requirement within the award document based upon the type of award and the type of organization of the awardee. This information will be entered in the audit tracking system for the purpose of monitoring and managing the annual audit requirements. If the award is a cost reimbursable acquisition award to a for-profit U.S. based organization, an annual incurred cost audit will be required. If the award is to a non-profit U.S. based organization and the total federal expenditures for that organization are greater than \$300,000 for the year, the awardee will be required to submit an A-133 annual audit report to the OMB Clearinghouse. If the award is a cost reimbursable acquisition award to a for-profit non-U.S. based organization and the total USAID expenditures for that organization are greater than \$300,000 for the year, an annual incurred cost audit will be required. If the award is to a non-profit non-U.S. based organization and the total USAID expenditures for that organization are greater than \$300,000 for the year, a recipient contracted audit will be required. Once the applicable audit report is received, it is sent to the IG to manage the outcome of the audit.
FEA BRM v2.0 Sub function	Support Delivery of Services/Controls and Oversight/Program Evaluation Support Delivery of Services/Controls and Oversight/Program Monitoring Support Delivery of Services/Financial Management/Reporting and Information
Assessment	N/A

Who's doing the sub-process? (Business Units and roles)		
<p>"Owns" – Provides high level guidance, directs overall effort for completing sub process, is measured by and ultimately responsible for results.</p> <p>"Executes" – Manages day-to-day activities of the sub process and is responsible for the quality and timeliness of completing the tasks of the sub process.</p> <p>"Participates" – Performs day-to-day activities and contributes to the execution of tasks of the sub process.</p> <p>"Advises" – Plays a consultative role to the supported business unit in the execution of the sub process.</p>		
Business Unit	Role	Execution Frequency
M/OP	Owns	Quarterly

Where is the sub-process performed? (Sub-Process Execution)	
Business Unit	Location
Management Bureau – Office of Procurement	USAID/W

3.6.3.2 Business Data Used by Sub-Process

Name	Description	Received From	Sends To
Audit Tracking System Data	Details Unavailable	Details Unavailable	
Incurred Cost Audit Report	Details Unavailable		Details Unavailable
OMB A-133 SAC results Report	Details Unavailable		Details Unavailable
Recipient Contracted Audit Report	Details Unavailable		Details Unavailable
Audit Tracking System Updated	Details Unavailable		Details Unavailable

3.6.3.3 Supporting Systems/Applications/Tools

Systems, Applications, and Tools Used to Support the Sub-Process		
<p>“System” - A system has a discrete set of specific functionality, which comes in one or more applications that supports a process or sub-process</p> <p>“Tool” - A purpose-built application designed for decision making, reporting, or mitigating gaps in a corporate system functionality.</p>		
Name/Acronym	Type	Description
New Management System A&A	System	The A&A DB system is the backbone used in Washington to track and manage the procurement process. ProDoc is the primary interface. ProDoc is used to generate all documentation and interface with the field missions.
Documentum	Application	Enterprise Content Management (ECM) package with integrated vertical applications such as eRoom, ACTS, E-mail Tracking, Assist, and Collaboration.
ProDoc	Application	Contract writing system. Quarterly updates sent to A&A.
Crystal Enterprise	Application	Web-based ad-hoc tool for reporting and analysis. Functionality for Wizard based querying and SQL statements with exporting capabilities to PDF, Microsoft Excel, Microsoft Word, and XML.

3.6.3.4 Services

What services are currently defined to support this sub-process?	
Service Name	Description
Not Currently Defined	

3.6.4 Manage Annual Audits

3.6.4.1 Sub-Process Details

General Sub-Process Information	
Sub-Process Description	Within this activity, the annual audit is managed by the IG and M/OP/PS/CAM after it has been received.
FEA BRM v2.0 Sub function	Support Delivery of Services/Controls and Oversight/Program Evaluation Support Delivery of Services/Controls and Oversight/Program Monitoring Support Delivery of Services/Financial Management/Reporting and Information
Assessment	N/A

Who's doing the sub-process? (Business Units and roles)		
<p>"Owns" – Provides high level guidance, directs overall effort for completing sub process, is measured by and ultimately responsible for results.</p> <p>"Executes" – Manages day-to-day activities of the sub process and is responsible for the quality and timeliness of completing the tasks of the sub process.</p> <p>"Participates" – Performs day-to-day activities and contributes to the execution of tasks of the sub process.</p> <p>"Advises" – Plays a consultative role to the supported business unit in the execution of the sub process.</p>		
Business Unit	Role	Execution Frequency
M/OP	Owns	Quarterly

Where is the sub-process performed? (Sub-Process Execution)	
Business Unit	Location
Management Bureau – Office of Procurement	USAID/W

3.6.4.2 Business Data Used by Sub-Process

Name	Description	Received From	Sends To
OMB A-133 SAC Results	Details Unavailable	Details Unavailable	
Incurred Cost Audit Report	Details Unavailable	Details Unavailable	
Recipient Contracted Audit Report	Details Unavailable	Details Unavailable	
IG Cover Letter	Details Unavailable		Details Unavailable
Settlement of Account	Details Unavailable		Details Unavailable
Claim/Dispute	Details Unavailable		Details Unavailable

3.6.4.3 Supporting Systems/Applications/Tools

Systems, Applications, and Tools Used to Support the Sub-Process		
<p>“System” - A system has a discrete set of specific functionality, which comes in one or more applications that supports a process or sub-process</p> <p>“Tool” - A purpose-built application designed for decision making, reporting, or mitigating gaps in a corporate system functionality.</p>		
Name/Acronym	Type	Description
New Management System A&A	System	The A&A DB system is the backbone used in Washington to track and manage the procurement process. ProDoc is the primary interface. ProDoc is used to generate all documentation and interface with the field missions.
ProDoc	Application	Contract writing system. Quarterly updates sent to A&A.
Crystal Enterprise	Application	Web-based ad-hoc tool for reporting and analysis. Functionality for Wizard based querying and SQL statements with exporting capabilities to PDF, Microsoft Excel, Microsoft Word, and XML.

3.6.4.4 Services

What services are currently defined to support this sub-process?	
Service Name	Description
Not Currently Defined	

3.6.5 Audit Support for Other Issues

3.6.5.1 Sub-Process Details

General Sub-Process Information	
Sub-Process Description	Within this activity, the CO/AO requests M/OP/PS/CAM to provide audit support for other issues based on concerns relating to internal controls, timekeeping procedures, etc. Depending on the timeline, sensitivity, and staffing available, the audit is performed internally by M/OP/PS/CAM or else externally by the cognizant audit agency. An audit report is received and recommendations for resolving any material findings are issued. M/OP/PS/CAM performs management analysis and issues a final decision.
FEA BRM v2.0 Sub function	Support Delivery of Services/Controls and Oversight/Program Evaluation Support Delivery of Services/Controls and Oversight/Program Monitoring Support Delivery of Services/Financial Management/Reporting and Information
Assessment	N/A

Who's doing the sub-process? (Business Units and roles)		
<p>“Owns” – Provides high level guidance, directs overall effort for completing sub process, is measured by and ultimately responsible for results.</p> <p>“Executes” – Manages day-to-day activities of the sub process and is responsible for the quality and timeliness of completing the tasks of the sub process.</p> <p>”Participates” – Performs day-to-day activities and contributes to the execution of tasks of the sub process.</p> <p>“Advises” – Plays a consultative role to the supported business unit in the execution of the sub process.</p>		
Business Unit	Role	Execution Frequency
M/OP	Owns	Quarterly

Where is the sub-process performed? (Sub-Process Execution)	
Business Unit	Location
Management Bureau – Office of Procurement	USAID/W

3.6.5.2 Business Data Used by Sub-Process

Name	Description	Received From	Sends To
Prior Audits	Details Unavailable	Details Unavailable	
Request for Audit Services	Details Unavailable	Details Unavailable	
Consultation with Team/Extended Team	Details Unavailable	Details Unavailable	
Audit Report	Details Unavailable		Details Unavailable
Final Decision	Details Unavailable		Details Unavailable

3.6.5.3 Supporting Systems/Applications/Tools

Systems, Applications, and Tools Used to Support the Sub-Process		
<p>“System” - A system has a discrete set of specific functionality, which comes in one or more applications that supports a process or sub-process</p> <p>“Tool” - A purpose-built application designed for decision making, reporting, or mitigating gaps in a corporate system functionality.</p>		
Name/Acronym	Type	Description
New Management System A&A	System	The A&A DB system is the backbone used in Washington to track and manage the procurement process. ProDoc is the primary interface. ProDoc is used to generate all documentation and interface with the field missions.
ProDoc	Application	Contract writing system. Quarterly updates sent to A&A.
Crystal Enterprise	Application	Web-based ad-hoc tool for reporting and analysis. Functionality for Wizard based querying and SQL statements with exporting capabilities to PDF, Microsoft Excel, Microsoft Word, and XML.

3.6.5.4 Services

What services are currently defined to support this sub-process?	
Service Name	Description
Not Currently Defined	

3.6.6 Finalize Negotiated Indirect Cost Rate Agreement (NICRA)

3.6.6.1 Sub-Process Details

General Sub-Process Information	
Sub-Process Description	<p>Within this activity, M/OP/PS/OCC establishes the Negotiated Indirect Cost Rate Agreement (NICRA) for all organizations for which USAID is the cognizant audit agency. The request can be based on historical actual statistics or a prospective indirect cost budget forecast. The request can be for: (1) provisional or final indirect cost rates, (2) a new organization or existing organization, or (3) a change in cost accounting practice (i.e., a change in indirect cost rate structure, indirect cost allocation base, or direct/indirect allocation methodology).</p> <p>The request for NICRA is normally based on the following underlying supporting documentation: (1) indirect cost rate proposals, (2) indirect cost budget forecasts, (3) audited financial statements, (4) OMB Circular A-133 audit reports, (5) DCAA incurred cost submissions, (6) DCAA incurred cost audit reports, recipient contracted audit (RCA), etc.</p>
FEA BRM v2.0 Sub function	Support Delivery of Services/Financial Management/Budget and Finance
Assessment	N/A

Who's doing the sub-process? (Business Units and roles)		
<p>"Owns" – Provides high level guidance, directs overall effort for completing sub process, is measured by and ultimately responsible for results.</p> <p>"Executes" – Manages day-to-day activities of the sub process and is responsible for the quality and timeliness of completing the tasks of the sub process.</p> <p>"Participates" – Performs day-to-day activities and contributes to the execution of tasks of the sub process.</p> <p>"Advises" – Plays a consultative role to the supported business unit in the execution of the sub process.</p>		
Business Unit	Role	Execution Frequency
M/OP	Owns	Quarterly

Where is the sub-process performed? (Sub-Process Execution)	
Business Unit	Location
Management Bureau – Office of Procurement	USAID/W

3.6.6.2 Business Data Used by Sub-Process

Name	Description	Received From	Sends To
Request for NICRA	Details Unavailable	Details Unavailable	
Audited Financial Statements	Details Unavailable	Details Unavailable	
Final Decision	Details Unavailable		Details Unavailable

3.6.6.3 Supporting Systems/Applications/Tools

Systems, Applications, and Tools Used to Support the Sub-Process		
<p>“System” - A system has a discrete set of specific functionality, which comes in one or more applications that supports a process or sub-process</p> <p>“Tool” - A purpose-built application designed for decision making, reporting, or mitigating gaps in a corporate system functionality.</p>		
Name/Acronym	Type	Description
New Management System A&A	System	The A&A DB system is the backbone used in Washington to track and manage the procurement process. ProDoc is the primary interface. ProDoc is used to generate all documentation and interface with the field missions.
Crystal Enterprise	Application	Web-based ad-hoc tool for reporting and analysis. Functionality for Wizard based querying and SQL statements with exporting capabilities to PDF, Microsoft Excel, Microsoft Word, and XML.

3.6.6.4 Services

What services are currently defined to support this sub-process?	
Service Name	Description
Not Currently Defined	

3.6.7 Administer Procurement Policy by OP/P

3.6.7.1 Sub-Process Details

General Sub-Process Information	
Sub-Process Description	Within this activity, policies and procedures are issued and interpreted by the OP/Policy Division (OP/P). Policy changes are often based on changes in Federal regulations, (e.g., FAR, OMB Circulars) or based on changes in the manner in which USAID transacts business. New or changed policies are normally distributed via e-mail or hard copy, and posted to agency website.
FEA BRM v2.0 Sub function	Support Delivery of Services/Regulatory Development/Policy and Guidance Development
Assessment	N/A

Who's doing the sub-process? (Business Units and roles)		
<p>“Owns” – Provides high level guidance, directs overall effort for completing sub process, is measured by and ultimately responsible for results.</p> <p>“Executes” – Manages day-to-day activities of the sub process and is responsible for the quality and timeliness of completing the tasks of the sub process.</p> <p>”Participates” – Performs day-to-day activities and contributes to the execution of tasks of the sub process.</p> <p>“Advises” – Plays a consultative role to the supported business unit in the execution of the sub process.</p>		
Business Unit	Role	Execution Frequency
M/OP	Owns	Quarterly

Where is the sub-process performed? (Sub-Process Execution)	
Business Unit	Location
Management Bureau – Office of Procurement	USAID/W

3.6.7.2 Business Data Used by Sub-Process

Name	Description	Received From	Sends To
US Government Regulatory Requirements	Details Unavailable	Details Unavailable	
Agency Policy Changes	Details Unavailable	Details Unavailable	
Published/Distributed Document Policy	Details Unavailable		Details Unavailable

3.6.7.3 Supporting Systems/Applications/Tools

Systems, Applications, and Tools Used to Support the Sub-Process		
<p>“System” - A system has a discrete set of specific functionality, which comes in one or more applications that supports a process or sub-process</p> <p>“Tool” - A purpose-built application designed for decision making, reporting, or mitigating gaps in a corporate system functionality.</p>		
Name/Acronym	Type	Description
MS Office	Tool	A suite of productivity tools produced by the Microsoft Corporation including a word processor (Microsoft Word), a spreadsheet application (Microsoft Excel), presentation software (PowerPoint) and a database application (MS Access). Other applications include a diagramming tool (Visio) and a scheduling product (Microsoft Project).

3.6.7.4 Services

What services are currently defined to support this sub-process?	
Service Name	Description
Not Currently Defined	

3.6.8 Provide Support by OP/E

3.6.8.1 Sub-Process Details

General Sub-Process Information	
Sub-Process Description	Within this activity, the Evaluation Division receives an Action Memorandum and supporting documents. The Evaluation Division reviews the documents and recommends changes, approval, or disapproval. The action memorandum goes through the clearance process and is approved or disapproved by the Approving Official.
FEA BRM v2.0 Sub function	Support Delivery of Services/Regulatory Development/Policy and Guidance Development Support Delivery of Services/Controls and Oversight/Program Evaluation Support Delivery of Services/Controls and Oversight/Corrective Action
Assessment	N/A

Who's doing the sub-process? (Business Units and roles)		
<p>“Owns” – Provides high level guidance, directs overall effort for completing sub process, is measured by and ultimately responsible for results.</p> <p>“Executes” – Manages day-to-day activities of the sub process and is responsible for the quality and timeliness of completing the tasks of the sub process.</p> <p>”Participates” – Performs day-to-day activities and contributes to the execution of tasks of the sub process.</p> <p>“Advises” – Plays a consultative role to the supported business unit in the execution of the sub process.</p>		
Business Unit	Role	Execution Frequency
M/OP	Owns	Quarterly

Where is the sub-process performed? (Sub-Process Execution)	
Business Unit	Location
Management Bureau – Office of Procurement	USAID/W

3.6.8.2 Business Data Used by Sub-Process

Name	Description	Received From	Sends To
Request for Action Memorandum	Details Unavailable	Details Unavailable	
Action Memorandum	Details Unavailable		Details Unavailable

3.6.8.3 Supporting Systems/Applications/Tools

Systems, Applications, and Tools Used to Support the Sub-Process		
<p>“System” - A system has a discrete set of specific functionality, which comes in one or more applications that supports a process or sub-process</p> <p>“Tool” - A purpose-built application designed for decision making, reporting, or mitigating gaps in a corporate system functionality.</p>		
Name/Acronym	Type	Description
New Management System A&A	System	The A&A DB system is the backbone used in Washington to track and manage the procurement process. ProDoc is the primary interface. ProDoc is used to generate all documentation and interface with the field missions.
Crystal Enterprise	Application	Web-based ad-hoc tool for reporting and analysis. Functionality for Wizard based querying and SQL statements with exporting capabilities to PDF, Microsoft Excel, Microsoft Word, and XML.

3.6.8.4 Services

What services are currently defined to support this sub-process?	
Service Name	Description
Not Currently Defined	

3.6.9 Issue Warrants by OP/E

3.6.9.1 Sub-Process Details

General Sub-Process Information	
Sub-Process Description	Within this activity, warrants are issued by OP/E. Each CO/AO is appointed by the Agency. Selection is based on the position of the individual as well as on his/her experience and qualifications. There are different dollar limitations set forth on each warrant. These are the maximum levels a CO/AO can obligate. The warrant tells the contractor/recipient that they are dealing with someone with the authority to represent the Government. CO/AO warrant authority can be reduced, increased or revoked. Ad hoc warrants are often issued in the case of an emergency, or other cases in which authority must be granted or increased due to specific circumstances.
FEA BRM v2.0 Sub function	Management of Government Resources/Human Resources Management/Personnel Management
Assessment	N/A

Who's doing the sub-process? (Business Units and roles)		
<p>“Owns” – Provides high level guidance, directs overall effort for completing sub process, is measured by and ultimately responsible for results.</p> <p>“Executes” – Manages day-to-day activities of the sub process and is responsible for the quality and timeliness of completing the tasks of the sub process.</p> <p>”Participates” – Performs day-to-day activities and contributes to the execution of tasks of the sub process.</p> <p>“Advises” – Plays a consultative role to the supported business unit in the execution of the sub process.</p>		
Business Unit	Role	Execution Frequency
M/OP	Owns	Quarterly

Where is the sub-process performed? (Sub-Process Execution)	
Business Unit	Location
Management Bureau – Office of Procurement	USAID/W

3.6.9.2 Business Data Used by Sub-Process

Name	Description	Received From	Sends To
PMCP File	Details Unavailable	Details Unavailable	
Request for Obligating Authority	Details Unavailable	Details Unavailable	
Regulations/Policies	Details Unavailable	Details Unavailable	
Certificate of Appointment	Details Unavailable		Details Unavailable
Cable	Details Unavailable		Details Unavailable

3.6.9.3 Supporting Systems/Applications/Tools

Systems, Applications, and Tools Used to Support the Sub-Process		
<p>“System” - A system has a discrete set of specific functionality, which comes in one or more applications that supports a process or sub-process</p> <p>“Tool” - A purpose-built application designed for decision making, reporting, or mitigating gaps in a corporate system functionality.</p>		
Name/Acronym	Type	Description
Details Unavailable		

3.6.9.4 Services

What services are currently defined to support this sub-process?	
Service Name	Description
Not Currently Defined	

3.6.10 Perform Systems Review by OP/E

3.6.10.1 Sub-Process Details

General Sub-Process Information	
Sub-Process Description	Within this activity, OP/E perform system reviews of Contracting Activities. Reviews are initiated based on problems that have been encountered, a request by an activity for a system review, funds and staff availability, and the mission review cycle. Executive Order 12301 identifies the requirement for conducting the reviews and the Agency's Evaluation Criteria establishes the parameters for the system reviews. At the conclusion of the review, exit briefings are held with all of the relevant parties involved to advise them of the findings and recommendations. Trip reports and a memorandum to the Head of the Contracting Activity (HCA) are prepared. Annual reports are prepared for the Bureaus and the Procurement Executive.
FEA BRM v2.0 Sub function	Support Delivery of Services/Controls and Oversight/Program Evaluation Support Delivery of Services/Controls and Oversight/Program Monitoring Support Delivery of Services/Controls and Oversight/Corrective Action
Assessment	N/A

Who's doing the sub-process? (Business Units and roles)		
<p>"Owns" – Provides high level guidance, directs overall effort for completing sub process, is measured by and ultimately responsible for results.</p> <p>"Executes" – Manages day-to-day activities of the sub process and is responsible for the quality and timeliness of completing the tasks of the sub process.</p> <p>"Participates" – Performs day-to-day activities and contributes to the execution of tasks of the sub process.</p> <p>"Advises" – Plays a consultative role to the supported business unit in the execution of the sub process.</p>		
Business Unit	Role	Execution Frequency
M/OP	Owns	Quarterly

Where is the sub-process performed? (Sub-Process Execution)	
Business Unit	Location
Management Bureau – Office of Procurement	USAID/W

3.6.10.2 Business Data Used by Sub-Process

Name	Description	Received From	Sends To
Request for System Review	Details Unavailable	Details Unavailable	
Trip Reports	Details Unavailable		Details Unavailable
Annual Report to Bureau	Details Unavailable		Details Unavailable
Annual Report to Procurement Executive	Details Unavailable		Details Unavailable
Exit Briefing	Details Unavailable		Details Unavailable
Memorandum to Head of Contracting Activity	Details Unavailable		Details Unavailable

3.6.10.3 Supporting Systems/Applications/Tools

Systems, Applications, and Tools Used to Support the Sub-Process		
<p>“System” - A system has a discrete set of specific functionality, which comes in one or more applications that supports a process or sub-process</p> <p>“Tool” - A purpose-built application designed for decision making, reporting, or mitigating gaps in a corporate system functionality.</p>		
Name/Acronym	Type	Description
New Management System A&A	System	The A&A DB system is the backbone used in Washington to track and manage the procurement process. ProDoc is the primary interface. ProDoc is used to generate all documentation and interface with the field missions.
Crystal Enterprise	Application	Web-based ad-hoc tool for reporting and analysis. Functionality for Wizard based querying and SQL statements with exporting capabilities to PDF, Microsoft Excel, Microsoft Word, and XML.

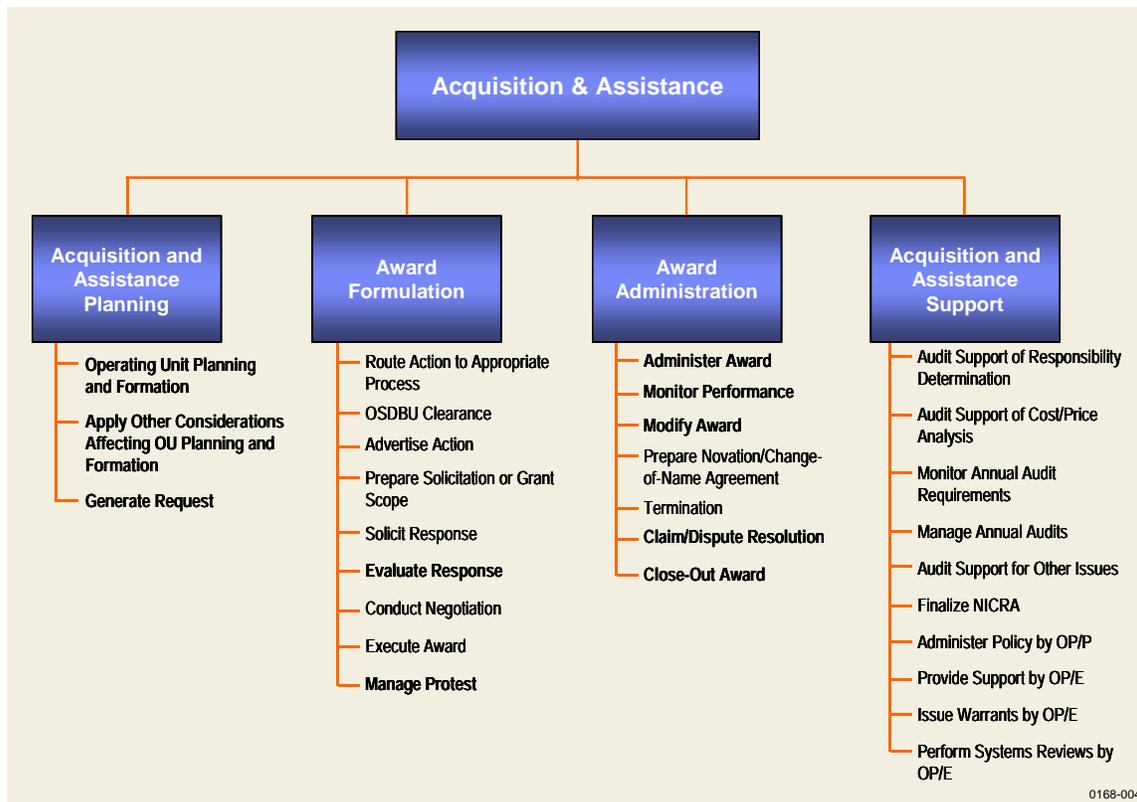
3.6.10.4 Services

What services are currently defined to support this sub-process?	
Service Name	Description
Not Currently Defined	

4. USAID HIV/AIDS To-Be Business and Information Architecture

4.1 Overview of Acquisition and Assistance

The Acquisition & Assistance Business Process area consists of four (4) processes and twenty-seven (28) sub-processes as illustrated in the following table. A detailed description for each sub-process is presented in the following pages. Although there is a Procurement System Improvement Program underway, there is not sufficient information regarding the changes to influence the To-Be vision. In addition, after examining the influence of the To-Be vision for the HIV/AIDS Program, there were no changes to the collection of acquisition and assistance sub-processes. The changes to acquisition and assistance are in the details of the sub-processes.



4.2 Acquisition and Assistance Changes resulting from Ongoing Programs

The current Procurement System Improvement Project is not sufficiently defined to influence the acquisition and assistance sub-processes.

4.3 Acquisition and Assistance Touch Points to the HIV/AIDS Program

There are no recommended changes in the way that the HIV/AIDS program utilizes the services provided by the Acquisition and Assistance processes. There are however, specific details in implementing the processes that are documented in the following sections. The integration points between Acquisition and Assistance and the two business process areas that are central to HIV/AIDS Program operations (Program Oversight and Program Operations) are described in the following subsections.

The following table summarizes the new touchpoints with the To-Be HIV/AIDS Program operations.

A&A Process	HIV/AIDS Program Process	Relationship
Acquisition and Assistance Planning / Operating Unit Planning and Formation	Program Standards / Assess Needed Changes to Program Standards	Program Standards constantly evolve and change to meet program needs. The Office of Procurement (OP) and HIV/AIDS Program operating units work together to perform annual planning using established Program Standards. In the event that a given standard is not appropriate or is contradictory to OP Policies, the organization responsible for maintaining HIV/AIDS Program Standards is notified of the discrepancy. The standards organization takes the appropriate action to remedy the discrepancy and updates and distributes modified Program Standards as necessary.
	Program Standards / Develop and Maintain Program Management Criteria	
	Program Standards / Develop and Maintain Technical Performance Indicators	
	Program Standards / Evaluate Program Standards	
Award Administration / Administer Award	Operational Coordination / Coordinate Program Activities	In the normal course of administering Program activities the operating unit coordinates contract and grant related issues with OP.
Award Administration / Modify Award	Operational Coordination / Coordinate Program Activities	
Award Formulation / All Sub-Processes	Operational Coordination / Develop Resource & Service Plans with Partners	Operating Units coordinate with OP to develop resource and service plans in accordance with established Program Standards and defined Program requirements.

5. USAID HIV/AIDS Business Transformation Project Profiles

No specific recommendations in this area are being made at this time.

6. Recommendations

The HIV/AIDS segmented EA has identified several improvements to the HIV/AIDS Program. These improvements rest on three foundational areas:

- *Standards* – Including documenting and formalizing processes, developing and enforcing standards and lexicon and aligning indicators across business areas.
- *Governance* – Including formalizing roles and aligning responsibility, authority and accountability.
- *Communications* – Including developing and adopting a formal Communication Plan, as well as quick hit Program Management Information reporting solutions.

A detailed description of each recommendation can be found in the USAID HIV/AIDS Segment Business and Information Architecture Overview (MST-PMO-004-CP-051-D00-IBM dated January 12, 2004), Section 7 Recommendations.

Several of the individual recommendations, and all three foundational areas, affect Acquisition and Assistance Business Process Area. At this time, the specific recommendations below are being made for the Acquisition and Assistance Business Process Area to play a key role in developing and implementing solutions. All recommendations made should be coordinated with the A&A BPA, but should be led by other parts of the HIV/AIDS Program. For specifics see the above reference.

- More Involvement by M/FM and M/OP in Financial Management and Acquisition and Assistance HIV/AIDS Program Policies and Procedures – Work closely with the Office of Procurement and Office of Financial Management to develop and maintain HIV/AIDS Program Policies and Procedures that pertain to the areas of acquisitions and financial management. This coordination will enable the development of a unified HIV/AIDS Program approach to strategic planning, acquisition planning, budget and performance planning, and financial management.
- Investigate and unify the primary touchpoint between the HIV/AIDS Program, A&A, FM, and Budgeting - Investigate budget execution to fully understand the touch points between the HIV/AIDS Program and Budgeting, Financial Management, and Acquisition and Assistance. The front end of the budget execution phase, where the various planning processes (HIV/AIDS Program, Budgeting, and Acquisitions and Assistance) overlap with the executing program operations. Currently, there are a multitude of cuff systems and informal processes that attempt to facilitate and coordinate information exchange across the various areas. By formally defining the processes, and integrating systems that support these BPAs, this area can be improved, and really serve as the keystone to build the rest of the Program and BPA transformation. Some of this will be addressed by the Phoenix Overseas Deployment Project and the Procurement System Improvement Project but more significantly more integration is needed to develop a common Agency standard.

Appendix A: As-Is FEA PRM Alignment

Services To Citizens		
This Measurement Category Captures The Extent To Which Results Related To Services That The U.S. Government Provides Both To And On Behalf Of The American Citizen Are Achieved.		
Measurement Category	Generic Measurement Indicator Grouping	"Operationalized" Measurement Indicators
COMMUNITY AND SOCIAL SERVICES - Community and Social Services includes all activities aimed at creating, expanding, or improving community and social development, social relationships, and social services in the United States. This includes all activities aimed at locality specific or nationwide social development and general social services. This Line of Business includes general community development and social services programs, as well as earned and unearned benefit programs that promote these objectives.	Homeownership Promotion	
	Community and Regional Development	
	Social Services	
	Postal Services	
DEFENSE AND NATIONAL SECURITY - Protect and advance U.S. national interests and, if deterrence fails, decisively defeat threats to those interests	Strategic National and Theatre Defense	
	Operational Defense	
	Tactical Defense	
DISASTER MANAGEMENT - Disaster Management involves the activities required to prepare for, mitigate, respond to, and repair the effects of all disasters whether natural or man-made.	Disaster Monitoring and Prediction	
	Disaster Preparedness and Planning	
	Disaster Repair and Restore	
	Emergency Response	
ECONOMIC DEVELOPMENT - Economic Development includes the activities required to promote commercial/industrial development and to regulate the American financial industry to protect investors. It also includes the management and control of the domestic economy and the money supply, and the protection of intellectual property and innovation.	Business and Industry Development	
	Industry Sector Income Stabilization	
	Intellectual Property Protection	
	Financial Sector Oversight	
EDUCATION – Education refers to those activities that impart knowledge or understanding of a particular subject to the public. Education can take place at a formal school, college, university or other training program. This Line of Business includes all government programs that promote the education of the public, including both earned and unearned benefit programs.	Elementary, Secondary, and Vocational Education	
	Higher Education	
	Cultural and Historic Preservation	

Services To Citizens		
This Measurement Category Captures The Extent To Which Results Related To Services That The U.S. Government Provides Both To And On Behalf Of The American Citizen Are Achieved.		
Measurement Category	Generic Measurement Indicator Grouping	"Operationalized" Measurement Indicators
	Cultural and Historic Exhibition	
ENERGY - Energy refers to all actions performed by the government to ensure the procurement and management of energy resources, including the production, sale and distribution of energy, as well as the management of spent fuel resources. Energy management includes all types of mass-produced energy (e.g., hydroelectric, nuclear, wind, solar, or fossil fuels). Also included in this Line of Business is the oversight of private industry.	Energy Supply	
	Energy Conservation and Preparedness	
	Energy Resource Management	
	Energy Production	
ENVIRONMENTAL MANAGEMENT - Environmental Management includes all functions required to monitor the environment and weather, determine proper environmental standards and ensure their compliance, and address environmental hazards and contamination.	Environmental Monitoring and Forecasting	
	Environmental Remediation	
	Pollution Prevention and Control	
LAW ENFORCEMENT - Law Enforcement involves activities to protect people, places, and things from criminal activity resulting from non-compliance with U.S. laws. This includes patrols, undercover operations, response to emergency calls, as well as arrests, raids, and seizures of property.	Criminal Apprehension	
	Criminal Investigation and Surveillance	
	Citizen Protection	
	Crime Prevention	
	Leadership Protection	
	Property Protection	
LITIGATION AND JUDICIAL ACTIVITIES- Litigation and Judicial Activities refers to those activities relating to the administration of justice.	Judicial Hearings	
	Legal Defense	
	Legal Investigation	
	Legal Prosecution and Litigation	
	Resolution Facilitation	
CORRECTIONAL ACTIVITIES- Correctional Activities involves all Federal activities that ensure the effective incarceration and rehabilitation of convicted criminals.	Criminal Incarceration	
	Criminal Rehabilitation	

Services To Citizens		
This Measurement Category Captures The Extent To Which Results Related To Services That The U.S. Government Provides Both To And On Behalf Of The American Citizen Are Achieved.		
Measurement Category	Generic Measurement Indicator Grouping	"Operationalized" Measurement Indicators
HEALTH - Health involves Federal programs and activities to ensure and provide for the health and well being of the public. this includes the direct provision of health care services and immunizations as well as the monitoring and tracking of public health indicators for the detection of trends and identification of widespread illnesses/diseases. It also includes both earned and unearned health care benefit programs.	Illness Prevention	
	Immunization Management	
	Public Health Monitoring	
	Health Care Services	
	Consumer Health and Safety	
HOMELAND SECURITY - Homeland Security involves protecting the nation against terrorist attacks. This includes analyzing threats and intelligence, guarding borders and airports, protecting critical infrastructure, and coordinating the response emergencies. The Homeland Security Line of Business is defined by the President's Strategy on Homeland Security. Note: Some of the Critical Mission Areas from the President's strategy have already been identified in other Lines of Business in the BRM.	Border and Transportation Security	
	Key Asset and Critical Infrastructure Protection	
	Catastrophic Defense	
INCOME SECURITY – Income Security includes activities designed to ensure that members of the public are provided with the necessary means – both financial and otherwise – to sustain an adequate level of existence. This includes all benefit programs, both earned and unearned, that promote these goals for members of the public.	General Retirement and Disability	
	Unemployment Compensation	
	Housing Assistance	
	Food and Nutrition Assistance	
	Survivor Compensation	
INTELLIGENCE OPERATIONS - TBD		
INTERNATIONAL AFFAIRS AND COMMERCE - International Affairs and Commerce involves the non-military activities that promote U.S. policies and interests beyond our national borders, including the negotiation of conflict resolution, treaties, and agreements. In addition, this function includes: foreign economic development and social/political development; diplomatic relations with other Nations; humanitarian, technical and other developmental assistance to key Nations; and global trade.	Foreign Affairs	
	International Development and Humanitarian Aid	
	Global Trade	
NATURAL RESOURCES - Natural Resources includes all activities involved in conservation planning, land management, and national park/monument tourism that affect the nation's natural and recreational resources, both private and federal. Note: Energy-related natural resources are covered in the Energy Management	Water Resource Management	
	Conservation, Marine and Land Management	

Services To Citizens		
This Measurement Category Captures The Extent To Which Results Related To Services That The U.S. Government Provides Both To And On Behalf Of The American Citizen Are Achieved.		
Measurement Category	Generic Measurement Indicator Grouping	"Operationalized" Measurement Indicators
line of business.	Recreational Resource Management and Tourism	
	Agricultural Innovation and Services	
TRANSPORTATION - Transportation involves all federally supported activities related to the safe passage, conveyance, or transportation of goods and/or people.	Air transportation	
	Ground Transportation	
	Water Transportation	
	Space Operations	
WORKFORCE MANAGEMENT – Workforce Management includes those activities that promote the welfare of the Nation's workforce by improving their working conditions, advancing opportunities for profitable employment, and strengthening free collective bargaining.	Training and Employment	
	Labor Rights Management	
	Worker Safety	
GENERAL SCIENCE AND INNOVATION - General Science and Innovation includes all Federal activities to meet the national need to advance knowledge in this area. This includes general research and technology programs, space exploration activities, and other research and technology programs that have diverse goals and cannot be readily classified into another Line of Business or Sub-function.	Scientific and Technological Research and Innovation	
	Space Exploration and Innovation	

Support Delivery Of Services		
This Measurement Category Captures The Extent To Which Intermediate Outcomes Related To The Delivery Of Services Are Achieved.		
Measurement Category	Generic Measurement Indicator Grouping	"Operationalized" Measurement Indicators
CONTROLS AND OVERSIGHT - Controls and Oversight ensures that the operations and programs of the Federal Government and its external business partners comply with applicable laws and regulations and prevent waste, fraud, and abuse.	Corrective Action	Provide Support by OP/E Performa systems Reviews by OP/E
	Program Evaluation	
	Program Monitoring	
INTERNAL RISK MANAGEMENT AND MITIGATION - Internal Risk Management and Mitigation involves all activities relating to the processes of analyzing exposure to risk and determining appropriate countermeasures.	Contingency Planning	
	Continuity Of Operations	
	Service Recovery	
LEGISLATIVE RELATIONS - Legislative Relations involves activities aimed at the development, tracking, and amendment of public laws through the legislative branch of the Federal Government.	Legislation Tracking	
	Legislation Testimony	
	Proposal Development	
	Congressional Liaison Operations	
REGULATORY DEVELOPMENT - Regulatory Development involves activities associated developing regulations, policies, and guidance to implement laws.	Policy and Guidance Development	
	Public Comment Tracking	
	Regulatory Creation	
	Rule Publication	
PLANNING AND RESOURCE ALLOCATION - Planning and Resource Allocation involves the activities of determining strategic direction, identifying and establishing programs and processes, and allocating resources (capital and labor) among those programs and processes.	Budget Formulation	
	Capital Planning	
	Enterprise Architecture	
	Strategic Planning	
	Budget Execution	
	Workforce Planning	
PUBLIC AFFAIRS - Public Affairs involves the exchange of information and communication between the Federal Government, citizens and stakeholders in direct support of citizen services, public policy, and/or national interest.	Customer Services	
	Official Information Dissemination	
	Product Outreach	
	Public Relations	
REVENUE COLLECTION - Revenue Collection includes the collection of Government income from all sources. Note: Tax collection is	Debt Collection	
	User Fee Collection	

Support Delivery Of Services		
This Measurement Category Captures The Extent To Which Intermediate Outcomes Related To The Delivery Of Services Are Achieved.		
Measurement Category	Generic Measurement Indicator Grouping	"Operationalized" Measurement Indicators
accounted for in the Taxation Management Sub-Function in the General Government Line of Business.	Federal Asset Sales	
GENERAL GOVERNMENT - General Government involves the general overhead costs of the Federal Government, including legislative and executive activities; provision of central fiscal, personnel, and property activities; and the provision of services that cannot reasonably be classified in any other Line of Business. As a normal rule, all activities reasonably or closely associated with other Lines of Business or Sub-Functions shall be included in those Lines of Business or Sub-Functions rather than listed as a part of general government. This Line of Business is reserved for central government management operations; agency-specific management activities would not be included here.	Central Fiscal Operations	
	Legislative Functions	
	Executive Functions	
	Central Property Management	
	Central Personnel Management	
	Taxation Management	
	Central Records and Statistics Management	

Management Of Government Resources		
This Measurement Category Captures The Extent To Which Intermediate Outcomes Related To Back Office Support That Enable Government To Operate Efficiently Are Achieved.		
Measurement Category	Generic Measurement Indicator Grouping	"Operationalized" Measurement Indicators
ADMINISTRATIVE MANAGEMENT - Administrative Management involves the day-to-day management and maintenance of the internal infrastructure.	Facilities, Fleet, and Equipment Management	
	Help Desk Services	
	Security Management	
	Travel	
	Workplace Policy Development and Management	
FINANCIAL MANAGEMENT – The use of financial information to measure, operate and predict the effectiveness and efficiency of an entity's activities in relation to its objectives. The ability to obtain and use such information is usually characterized by having in place policies, standards, and a system of controls that reliably capture and report activity in a consistent manner.	Accounting	
	Budget and Finance	
	Payments	
	Collections and Receivables	
	Asset and Liability Management	
	Reporting and Information	
HUMAN RESOURCE MANAGEMENT - Human Resource Management involves all activities associated with the recruitment and management of personnel.	Benefits Management	
	Personnel Management	
	Payroll Management and Expense Reimbursement	
	Resource Training And Development	
	Security Clearance Management	
	Staff Recruitment And Employment	
INFORMATION AND TECHNOLOGY MANAGEMENT – Information and Technology Management involves the coordination of information technology resources and systems required to support or provide a citizen service.	Lifecycle/Change Management	
	System Development	
	System Maintenance	
	IT Infrastructure Maintenance	
	IT Security	
	Record Retention	
	Information Management	
SUPPLY CHAIN MANAGEMENT - Supply Chain Management involves the purchasing, tracking, and overall management of goods and services.	Goods Acquisition	
	Inventory Control	
	Logistics Management	
	Services Acquisition	

Appendix B: As-Is FEA BRM Alignment

Services To Citizens		
The Services For Citizens Business Area Describes The Mission And Purpose Of The United States Government In Terms Of The Services It Provides Both To And On Behalf Of The American Citizen. It Includes The Delivery Of Citizen-Focused, Public, And Collective Goods And/Or Benefits As A Service And/Or Obligation Of The Federal Government To The Benefit And Protection Of The Nation's General Population.		
Lines of Business	Sub-Functions	A&A Reference
COMMUNITY AND SOCIAL SERVICES	Homeownership Promotion	
	Community and Regional	
	Social Services	
	Postal Services	
DEFENSE AND NATIONAL SECURITY		
DISASTER MANAGEMENT	Disaster Monitoring and Prediction	
	Disaster Preparedness and Planning	
	Disaster Repair and Restore	
	Emergency Response	
ECONOMIC DEVELOPMENT	Business and Industry	
	Industry Sector Income Stabilization	
	Intellectual Property Protection	
	Financial Sector Oversight.	
EDUCATION	Elementary, Secondary, and Vocational Education	
	Higher Education	
	Cultural and Historic Preservation	
	Cultural and Historic Exhibition	
ENERGY	Energy Supply	
	Energy Conservation and Preparedness	
	Energy Resource Management	
	Energy Production	
ENVIRONMENTAL MANAGEMENT	Environmental Monitoring and Forecasting	
	Environmental Remediation	
	Pollution Prevention and Control	
LAW ENFORCEMENT	Criminal Apprehension	
	Criminal Investigation and Surveillance	
	Citizen Protection	
	Crime Prevention	
	Leadership Protection	

Services To Citizens		
<p>The Services For Citizens Business Area Describes The Mission And Purpose Of The United States Government In Terms Of The Services It Provides Both To And On Behalf Of The American Citizen. It Includes The Delivery Of Citizen-Focused, Public, And Collective Goods And/Or Benefits As A Service And/Or Obligation Of The Federal Government To The Benefit And Protection Of The Nation's General Population.</p>		
Lines of Business	Sub-Functions	A&A Reference
	Property Protection.	
	Substance Control	
LITIGATION AND JUDICIAL ACTIVITIES	Judicial Hearings	
	Legal Defense	
	Legal Investigation	
	Legal Prosecution and Litigation	
	Resolution Facilitation	
CORRECTIONAL ACTIVITIES	Criminal Incarceration	
	Criminal Rehabilitation	
HEALTH	Illness Prevention	
	Immunization Management	
	Public Health Monitoring	
	Health Care Services	
	Consumer Health and Safety	
HOMELAND SECURITY.	Border and Transportation Security	
	Key Asset and Critical Infrastructure Protection	
	Catastrophic Defense	
INCOME SECURITY	General Retirement and Disability	
	Unemployment Compensation	
	Housing Assistance	
	Food and Nutrition Assistance	
	Survivor Compensation	
INTELLIGENCE OPERATIONS		
INTERNATIONAL AFFAIRS AND COMMERCE.	Foreign Affairs	
	International Development and Humanitarian Aid	
	Global Trade	
NATURAL RESOURCES	Water Resource Management.	
	Conservation, Marine and Land Management	
	Recreational Resource Management and Tourism	

Services To Citizens		
The Services For Citizens Business Area Describes The Mission And Purpose Of The United States Government In Terms Of The Services It Provides Both To And On Behalf Of The American Citizen. It Includes The Delivery Of Citizen-Focused, Public, And Collective Goods And/Or Benefits As A Service And/Or Obligation Of The Federal Government To The Benefit And Protection Of The Nation's General Population.		
Lines of Business	Sub-Functions	A&A Reference
	Agricultural Innovation and Services	
TRANSPORTATION	Air transportation	
	Ground Transportation	
	Water Transportation	
	Space Operations	
WORKFORCE MANAGEMENT	Training and Employment	
	Labor Rights Management	
	Worker Safety	
GENERAL SCIENCE AND INNOVATION	Scientific and Technological Research and Innovation	
	Space Exploration and Innovation	

Modes Of Delivery		
The Mode Of Delivery Business Area Describes The Mechanisms The Government Uses To Achieve The Purpose Of Government, Or Its Services For Citizens. It Includes Financial Vehicles, Direct Government Delivery, And Indirect Government Delivery.		
Lines Of Business	Sub-Functions	A&A Reference
KNOWLEDGE CREATION AND MANAGEMENT	Research and Development	
	General Purpose Data and Statistics	
	Advising and Consulting	
	Knowledge Dissemination.	
PUBLIC GOODS CREATION & MANAGEMENT	Manufacturing	
	Construction	
	Public Resources, Facilities, & Infrastructure Management	
	Information Infrastructure Management	
REGULATORY COMPLIANCE AND ENFORCEMENT	Inspections & Auditing	
	Standard Setting / Reporting Guideline Development	
	Permits and Licensing	
DIRECT SERVICES FOR CITIZENS	Military Operations	
	Civilian Operations	
FEDERAL FINANCIAL ASSISTANCE	Federal Grants (Non-State)	
	Direct Transfers to Individuals	
	Subsidies	
	Tax Credits	
TRANSFERS TO STATES AND LOCAL GOVERNMENTS	Formula Grants	
	Project/Competitive	
	Earmarked Grants	
	State Loans	
CREDIT AND INSURANCE	General Insurance	
	Loan Guarantees.	
	Direct Loans	

Support Delivery Of Services		
Support Delivery Of Services Provides The Critical Policy, Programmatic And Managerial Foundation To Support Federal Government Operations.		
Lines of Business	Sub-Functions	A&A Reference
CONTROLS AND OVERSIGHT	Corrective Action	Provide Support by OP/E Perform Systems Reviews by OP/E
	Program Evaluation	Audit Support of Responsibility Determination Audit Support of Cost/Price Analysis Monitor Annual Audit Requirements Manage Annual Audits Audit Support for Other Issues Perform Systems Reviews by OP/E
	Program Monitoring	Audit Support of Responsibility Determination Audit Support of Cost/Price Analysis Monitor Annual Audit Requirements Manage Annual Audits Audit Support for Other Issues Perform Systems Reviews by OP/E
INTERNAL RISK MANAGEMENT AND MITIGATION	Contingency Planning	
	Continuity Of Operations	
	Service Recovery	
LEGISLATIVE RELATIONS	Legislation Tracking	
	Legislation Testimony	
	Proposal Development	
	Congressional Liaison Operations	
REGULATORY DEVELOPMENT	Policy and Guidance Development	Administer Policy by OP/P
	Public Comment Tracking	
	Regulatory Creation	
	Rule Publication	
PLANNING AND RESOURCE ALLOCATION	Budget Formulation	OU Planning and Formulation Apply Other Considerations Affecting OU Planning and Formulation Generate Request
	Capital Planning	
	Enterprise Architecture	
	Strategic Planning	
	Budget Execution	
	Workforce Planning	

Support Delivery Of Services		
Support Delivery Of Services Provides The Critical Policy, Programmatic And Managerial Foundation To Support Federal Government Operations.		
Lines of Business	Sub-Functions	A&A Reference
	Management Improvement	
PUBLIC AFFAIRS	Customer Services	
	Official Information Dissemination	
	Product Outreach	
	Public Relations	
REVENUE COLLECTION	Debt Collection	
	User Fee Collection	
	Federal Asset Sales	
GENERAL GOVERNMENT	Central Fiscal Operations	
	Legislative Functions	
	Executive Functions	
	Central Property Management	
	Central Personnel Management	
	Taxation Management	
	Central Records and Statistics Management	

MANAGEMENT OF GOVERNMENT RESOURCES		
Management of government resources refers to the back office support activities that enable the Government to operate effectively		
Lines of Business	Sub-Functions	A&A Reference
ADMINISTRATIVE MANAGEMENT	Facilities, Fleet, And Equipment Management	
	Help Desk Services	
	Security Management	
	Travel	
	Workplace Policy Development And Management	
FINANCIAL MANAGEMENT	Accounting	
	Budget and Finance	Finalize NICRA
	Payments	
	Collections and Receivables.	
	Asset and Liability Management	
	Reporting and Information	Audit Support of Responsibility Determination Audit Support of Cost/Price Analysis Monitor Annual Audit Requirements Manage Annual Audits Audit Support for Other Issues
HUMAN RESOURCE MANAGEMENT	Benefits Management	
	Personnel Management	Issue Warrant by OP/E
	Payroll Management and Expense Reimbursement	
	Resource Training And Development	
	Security Clearance Management	
	Staff Recruitment And Employment	
INFORMATION AND TECHNOLOGY MANAGEMENT	Lifecycle/Change Management	
	System Development	
	System Maintenance	
	IT Infrastructure Maintenance	
	IT Security	
	Record Retention	
	Information Management	

MANAGEMENT OF GOVERNMENT RESOURCES		
Management of government resources refers to the back office support activities that enable the Government to operate effectively		
Lines of Business	Sub-Functions	A&A Reference
SUPPLY CHAIN MANAGEMENT	Goods Acquisition	Prepare Solicitation or Grant Scope Solicit Response Evaluate Response Administer Award Monitor Performance Modify Award Close Out Award Route Action to Appropriate Process OSDBU Clearance Advertise Action Conduct Negotiation Execute Award Manage Protest Prepare Novation/Change-of-Name Agreement Termination
	Inventory Control	
	Logistics Management	
	Services Acquisition	Prepare Solicitation or Grant Scope Solicit Response Evaluate Response Administer Award Monitor Performance Modify Award Close Out Award Route Action to Appropriate Process OSDBU Clearance Advertise Action Conduct Negotiation Execute Award Manage Protest Prepare Novation/Change-of-Name Agreement Termination

Appendix C: As-Is FEA DRM Alignment

People, organization & relationships - This subject area includes attributes about people, organizations, and the relationships between them. Relationships include vendors, stakeholders, owners, customers, partners, etc.

Objectives, goals, & results – This subject area consists of desired achievements and a measures of achievements. These can be used to support objectives, goals and results at many levels, including at the USAID level, the OHA level, and the operating unit level.

Name	Description
Agency Small Business/Minority-Serving Institutions (SB/MSI) Program Goals	
Periodic Progress Reports From Contractor/Recipient	
Program Results	Changes in the conditions of a customer or changes in the host country conditions, which have relationships to the customer. A result is brought about by the intervention of OHA in concert with its development partners. Results are linked by causal relationships; i.e., a result is achieved because related, interdependent results were achieved. Qualitative and quantitative measurements referred to as indicators that represent progress made towards achieving a strategic objective and its related intermediate results.
Responsiveness	

Offerings – This subject area consists of products and/or services provided by a person/organization to another person/organization. This can be used for products/services offered by USAID and products/services offered to USAID.

Financial Data – This subject area consists of any type of financial data excluding budget data. This is primarily focused on the use of financial resources, not what is planned.

Name	Description
Administrative Approval of Invoices	
Audited Financial Statements	
Final Payment	
Incurred Cost Audit Report	

Contracts & Agreements – This subject area consists of any legally binding offering between USAID and a third party. This also includes information necessary to support the process of getting to the legally binding offering. This has strong touchpoints with offerings.

Name	Description
Acceptance Criteria	
Accepted AID 1410-14	
Accepted Goods/Services	
Accepted Grant Scope	Solicitation material, including source list as applicable, which is ready to provide to grantees.
Accepted Request	A request for procurement for which the Contracting Officer and the Negotiator are satisfied that all information required is on the request or attached to it.
Accepted Request for Modification	An accepted request which will be executed by modifying an existing award rather than making a new award.
Accepted Solicitation	Solicitation material, including source list as applicable, which is ready to provide to vendors.
Action Memorandum	
AID 1410-14 With CO Recommendation	
Answers to Contract Writing System Questions	
Assigned Request	A request which has been forwarded by the CO to the Contracts Negotiator or specialist to be processed. The request may be for a single award, a consolidated award, or a modification to an existing award.
Audit Recommendation	
Audit Tracking System Data	
Audit Tracking System Updated	
Award	<p>A legal agreement specifying goods and services to be acquired or assistance activities to be supported by the OHA and the terms of support, including the method and amount of compensation or assistance. OHA awards include:</p> <p>(1) Small Purchases: governed by Simplified Acquisition Procedures (FAR part 13); up to \$100,000 value.</p> <p>(2) Large Purchases:</p> <ul style="list-style-type: none"> – (a) accomplished through competitive contracts, governed by sealed bidding procedures (FAR parts 14 and 15). – (b) accomplished through assistance awards, both grants and cooperative agreements. – (c) accomplished through interOHA agreements (IAAs), primarily Participating OHA Service Agreements (PASAs) and Resource Support Services Agreements (RSSAs), but also including other types of IAAs.

Name	Description
Award File	
Call for Assistance Proposal	Formal communication (written or verbal) of USAID requirements to interested institutions for the purpose of generating proposals, or quotes from institutions for evaluation and award selection of a grant.
CBD Notice	
Certificate of Appointment	
Claim/Dispute	
Commitment Document	Commitments are an (optional) stage before an obligation. They help to anticipate future procurement awards and obligations (JFMIP CFS Requirements). They help to assure that funds are available before entering into an obligation. When multiple instruments are awarded under a single agreement, the commitments for these instruments are called sub-commitments. A commitment document includes: requisition number, requestor identification, purpose, accounting classification, (estimated) dollar amount, date.
Completed Request	A request that meets all applicable criteria for formation of an award.
Completion of Close-Out Documentation	
Contractor Past Performance Reports	
Contractor's Claim/Disputes	
Contractor's Supporting Evidence	
Cost Analysis	
Cost/Price Evaluation	
Cost/Price Report	
Cost/Price Response	
Debriefing Completed	
Deficiencies	Any missing or erroneous information in a request or solicitation.
Delivery/Receipt of Goods/Services	
Discussion	
Evaluation Results	
Exit Briefing	
Extract A&A Information	A list of contracts and contracting officers is extracted from A&A at the end of each quarter.
Final Cost Response	
Final Decision	
Final Technical Response	
Findings	

Name	Description
GC Comments	
GC/LE Advice	
Grant Proposal	Technical and cost proposal from institutions responding to the call for proposal.
Input to Request	Information needed to create a request for acquisition or assistance, including as pertinent specifications of quality and quantity, delivery dates, statement of work, results expected to be achieved, and line item details such as GSA product service code and OMB object class code (resource category).
Issued Amendment	
LOC Advance Request	
LOC Advance Request Authorizations	
Map A&A Information to Phoenix	The A&A extract information is mapped against open obligations in Phoenix and accruals are estimated based on this information.
Negotiated Terms and Conditions	
Novation/Change Name Package	
Offeror/Applicant Technical and Cost Responses	
OMB A-133 SAC Results	
OMB A-133 SAC results Report	
OP Input	
Outside Audit	
Past Performance Information	
PMCP File	
Pre-Award Survey Report	
Prior Audits	
Procurement File	
Protest	Action taken by a vendor who has major concerns, questions, or disagrees with the contracting officer's award decision.
Recipient Contracted Audit Report	
Remedial Action Taken	
Reprocurement Cost	
Request	The establishment of a need to acquire goods and/or services or to support an assistance activity. A request defines the requirements for the goods and services to be procured or the assistance to be provided. The request contains the resource information that will be used for committing and obligating funding under a selected instrument.
Revision	A change to correct a deficiency.

Name	Description
Settlement of Account	
Settlement of Cost	
Signed Award Document	
Signed Award Modification	An approved change to the terms of an award.
Solicitation	Formal communication (written or verbal) of USAID requirements to interested vendor/recipients for the purpose of generating proposals, bids, or quotes from vendor/recipients for evaluation and award selection.
Solicitation Response	Technical and cost proposal from vendors to the solicitation.
Stop Work Order	
Technical Evaluation Board (TEB) Package	
Termination for Convenience	
Termination for Default	
Termination Not Required	
Termination Settlement	

Plans, budgets, & activities – This subject area consists of programs and projects that are described in terms of plans, budgets, and activities. This subject area also provides a relationship between "objectives, goals & results", "offerings", "resources", "time, schedule & events" and "financial data".

Name	Description
Agency Decision	
Consolidate Regional Procurement Plan	The preliminary procurement plan for the current fiscal year consolidated by region, aligned with the Regional Bureaus.
Fiscal Year Procurement Plan	Preliminary procurement plan, which is tied to budgetary projections for the year. This plan is generally organized by program area.
Funds De-Obligation	
Funds Obligated	
OU Staffing Plan	Overall OU Staffing plan by role and Operating Unit.
Pending Obligation	
Program/OE Needs	Program needs are the goods and services necessary for achieving the strategic objective. Information regarding program needs is used during procurement planning to identify the awards to be made and the time frame on which they must be issued. Operating Expense (OE) needs are those administrative or facility requirements needed to support the programs being carried out by the operating unit.
Resource Constraints	The actual amount of resources planned to be available to be obligated for a unit of work.

Address, map & geographic information – This subject area consists of spatial information for both the physical world and abstract worlds. For instance, IP addresses can be mapped on a network map in a similar fashion as physical addresses can be mapped on a geographic map.

Time, Schedule & Events – This subject area consists of information used in temporal reasoning.

Name	Description
Schedule Listing	

Rules, Regulations, Knowledge, & Guidance – This subject area consists of any type of documentation that provides constraints on and/or input to business processes.

Name	Description
Agency and Regulatory Reports	
Agency Policy Changes	
FAR/AIDAR/ADS Solicitation Requirements	
Published/Distributed Document Policy	
Regulations/Policies	
US Government Regulatory Requirements	

Documentation & Reports – This subject area consists of any type of documentation that is generated by USAID not covered in another area.

Name	Description
Agency Report	
Annual Report to Bureau	
Annual Report to Procurement Executive	
Appropriate Public Notice	
Audit Report	
Mandatory Federal Reports	
Trip Reports	

Communications – This subject area consists of any type of email, fax, phone, mail, or other communication. Any communication most likely involves other information, such as documentation, etc. Therefore, this relates to most other subject areas.

Name	Description
Ad Hoc Request for Reports	
Cable	
Communication with Awardee	
Consultation with Team/Extended Team	
Correspondence Document	
IG Cover Letter	
Mailing List	
Memorandum of Negotiation	
Memorandum to Head of Contracting Activity	
Notification to LPA	
Notification to Unsuccessful Offerors/Applicants	
Offeror/Applicant Question	
Permanent Designation of CTO Memorandum	
Request for Action Memorandum	
Request for Approval from Awardee	
Request for Audit Services	
Request for NICRA	
Request for Novation/Change Name Agreement	
Request for Obligating Authority	
Request for System Review	
Request for Termination	
Request to Change CTO Designation	
Request to Initiate Pre-Award Cost/Price Analysis	
Request to Initiate Pre-Award Survey	
Requests for Administrative Approval of Invoices	
Response to Question	
Revised Request	A request that has been revised by the requestor to address deficiencies.
Routed Request	The request classified by type, whether it is a contract, assistance, or Interagency Agreement.
Temporary Designation of CTO Memorandum	

Resources – This subject area consists of things used as an input to processes that support generating offerings. This includes both property and human resources.

Name	Description
Currently Available Property	Personal property that is currently in the inventory.
Replacement Needs	Personal property that needs to be replaced because it has met its useful life as defined in the regulations or will meet its useful life within the next procurement cycle.
Staff Assignment	Outline of overall assignments for Office of Procurement staff, based on preliminary requirements for the fiscal year. Assignments are organized by role. Roles include: Contracting Officer (CO), Administrative Contracting Officer (ACO), Termination Contracting Officer (TCO), Contract Negotiator, and Contracting Officer Technical Representative (COTR).
Staff Assignment	Outline of overall assignments for Office of Procurement staff, based on preliminary requirements for the fiscal year.
Support Requirement	The procurement support requirements derived from the consolidated OU procurement plans, reflecting the administrative and processing load that the Office of Procurement must plan for.

Appendix D: Applicable Legislation

Based on information gathered during the interview process and other research activities, following is a list of the legislation and regulations relevant to the Enterprise Architecture effort. It is, by no means, put forward as a complete and comprehensive list.

- Prompt Payment Act of 1982
- Federal Acquisition Streamlining Act of 1994
- E-government Act of 2002
- Foreign Assistance Act (Public Law 87-195)
- OMB Circular No. A-76
- OMB Circular No. A-11
- OMB Circular A-123, Management Accountability and Control
- OMB Circular A-127 "Financial Management Systems
- OMB Circular A-134, Financial Accounting Principles and Standards
- OMB Planning Guidance
- USAID ADS 627 Local Currency Trust Fund
- USAID ADS 520 International Cooperative Administrative Support Services (ICASS)
- Section 511/517 of the Foreign Operations, Export Financing and Related Programs Appropriation Acts
- Pub. L. 84-863, 70 Stat 782, amending the Budget and Accounting Procedures Act of 1950
- Pub. L. 96-465, Foreign Service Act of 1980, Chapter 6
- Pub. L. 97-255, Federal Manager's Financial Integrity Act (FMFIA) of 1982
- Pub. L. 100-504, Inspector General Act Amendments of 1978
- Pub. L. 101 - 513, Foreign Assistance Appropriations Act of November 1990, Section 585 (a)
- Pub. L. 101-576, Chief Financial Officers Act of 1990
- Pub. L. 102-511, Freedom Support Act of 1992, Freedom for Russia and Emerging Eurasian Democracies and Open Markets
- Pub. L. 103-356, Government Management Reform Act {GMRA} of 1994
- Pub. L. 103-62, Government Performance and Results Act {GPRA}
- Pub. L. 104-208, Federal Financial Management Improvement Act (FFMIA) of 1996
- Pub. L. 105-277, Fiscal Year 1999 Omnibus Appropriations Bill, Section 587 (b)
- Pub. L. 106-554, Section 515 of the Treasury and General Government Appropriation Act for Fiscal Year 2001
- Pub. L. 108-7, Section 533, Foreign Operations, Export Financing, and Related Programs Appropriations Act, 2003
- Pub. L. 480, Section 416 (b), FAS Online - Food Aid
- 22 U.S.C. 63, Support for Eastern European Democracy (SEED) Act of 1989

- 22 U.S.C. 2391, Missions and Staffs Abroad
- 28 U.S.C. 1920, Taxation of Costs
- 31 U.S.C. 1108, Preparation and Submission of Appropriations Requests to the President
- 31 U.S.C. Section 1301(a) -- General Appropriations Law
- 31 U.S.C. 1341, Limitations on Expending and Obligating
- 31 U.S.C. 1501, Documentary Evidence Requirement for Government Obligations
- 31 U.S.C. 1502, Balances Available
- 31 U.S.C. 1535, 1536, Economy Act
- 31 U.S.C. 1552, Procedure for Appropriation Accounts Available for Definite Periods
- 31 U.S.C. 1554, Audit, Control, and Reporting
- 31 U.S.C. 3512 (5)b
- 31 U.S.C. 3527-3529
- 31 U.S.C. 3528, Responsibilities and Relief from Liability of Certifying Officials
- 31 U.S.C. 3716, Debt Collection Act of 1982
- 31 U.S.C. 3721, The Claims Act of 1964
- 31 U.S.C. 3726, Payment for Transportation
- 31 U.S.C. 6301-8, Federal Grants and Cooperative Agreements Act
- 40 U.S.C. 486, Policies, Regulations, and Delegations
- 40 U.S.C. 757, Information Technology Fund
- 41 U.S.C. 253, Competition in Contracting Act
- 42 U.S.C. 1651, and following (Defense Base Act)

Appendix E: References and Interviews

Expanded Response Guide to Core Indicators for Monitoring and Reporting on HIV/AIDS Programs, November 2002

Federal Enterprise Architecture Program Management Office, *Business Reference Model Version 2.0 June 2003, Performance Reference Model Version 1.0 June 2003*

USAID Strategy for Enterprise Architecture Development, Draft Final, September 2003

USAID Business System Concept, Draft Final, July 15, 2003

USAID Programming Policy, Automated Directive System, *Chapter 201-Planning, Chapter 202- Achieve, Chapter 203- Assessing & Learning*, January 2003, AEP-C-00-99-00034-00

USAID Agency-Wide Expenditure for Family Planning, HIV/AIDS, Health and Nutrition FY 2001-A USAID Management Report, September 2002

USAID Target Enterprise Information Architecture System Requirements Report *Appendix B-7, C, E*, May 2001, EEI.CR-006.00-F00-PRI

USAID Financial System Integration Project Business System Concept, Final, March 6, 2000.

USAID Strategic Plan, Revised 2000

USAID Business Process Improvement “As Is” Process Flow and Descriptions Acquisition and Assistance, September 1999

USAID Bureau for Global Programs, Field Support, and Research Center for Population, Health and Nutrition, Strategic Plan, January 1999

USAID Business Process Improvement “As Is” and “To Be” Process Flow and Descriptions Financial Management, July/August 1998

A Collaborative Approach to Reviewing HIV/AIDS Strategies, Final Draft

Guidance on the New Monitoring & Reporting System Requirements for HIV/AIDS Programs

Key interviews were conducted with the following individuals from the following organizations:

- GH/OHA
- GH/RCS
- M/FM
- M/OP
- PPC
- AFR
- Social & Scientific Systems
- American Management Systems
- PRIME

Appendix F: Acronyms

A&A	Acquisition and Assistance
AFR	Africa Bureau
ACO	Administrative Contracting Officer
ACS	Accounting Classification Structure
ADS	Automated Directive System
AIDAR	USAID Acquisition Regulation
AMS	American Management System
AO	Assistance Officer
AP	Accounts Payable
ARS	Accrual Reporting System <u>and</u> Annual Reporting System
AWACS	Agency World Wide Accounting Control System
B	Budgeting
BBS	Bureau Budget Submission
BPA	Business Process Area
BRM	Business Reference Model
CBJ	Congressional Budget Justification
CCB	Change Control Board
CDC	Center for Disease Control and Prevention
CFS	Consolidated Financial Statement
CIP	Capital Investment Planning
CO	Contracting Officer
COTR	Contracting Officer Technical Representative
CPIC	Capital Planning Investment Control
CTO	Cognizant Technical Officer
DB	Database
DHHS PMS	Department of Health and Human Services Payment Management System
DoD	Department of Defense
DRM	Data Reference Model
DS	Data Store
EA	Enterprise Architecture

ECS	Electronic Certification System
EPS	Electronic Payment Schedule
FAR	Federal Acquisition Regulations
FBO	Faith Based Organization
FEA	Federal Enterprise Architecture
FEAF	Federal Enterprise Architecture Framework
FFMIA	Federal Financial Management Improvement Act
FM	Financial Management
FMFIA	Federal Management Financial Integrity Act
FTE	Full Time Equivalent
FY	Fiscal Year
GAC	Global Health Coordinator
GFATM	Global Fund to Fight AIDS, Tuberculosis, and Malaria
GH	Global Health Bureau
GL	General Ledger
GMRA	Government Management Reform Act
GOALS	Government On-line Accounting Link System
GPRA	Government Relief & Result Act
GSA	General Services Administration
HHS	Health & Human Services
IA	Implementing Agency
ICASS	International Cooperative Administrative Support Services
IPAC	Intra-Governmental Payment and Collection
IRM	Office of Information Resources Management
IRS	Internal Revenue Service
JFMIP	Joint Financial Management Improvement Program
LOC	Letter of Credit
M	Management Bureau
MACS	Mission Accounting and Control System
MAL	MACS Auxiliary Ledge
MCA	Managerial Cost Accounting

MPE	Manage Portfolio Execution
MTCT	Mother to Child Transmission
NFC	National Finance Center
NGO	Non Governmental Agency
NIH	National Institutes of Health
NMS	New Management System
OE	Operating Expense
OHA	Office of HIV/AIDS
OP	Office of Procurement
OU	Operating Unit
OYB	Operating Year Budget
OMB	Office of Management and Budget
ORG	Organization
PB	Pillar Bureau
PEPFAR	President's Emergency Plan for AIDS Relief
PMS	Payment Management System
PO	Program Oversight
PPC	Policy and Program Coordination
PPMM	Program Performance, Management and Monitoring
PRM	Performance Reference Architecture
PSC	Personal Service Contractor
PVO	Private Voluntary Organization
QA	Quality Assurance
RB	Regional Bureau
SBA	Small Business Administration
SCRM	Service Component Reference Model
SEED	Support for Eastern European Democracy
SGL	Standard General Ledger
SME	Subject Matter Expert
SO	Strategic Objective
SOW	Statement of Work

SP	Sub-processes
SRM	Service Reference Model
TCO	Terminating Contracting Officer
TIN	Taxpayer Identification Number
TOP	United States Treasury Offset Program
UN	United Nations
UNAIDS	United Nations AIDS
USAID	United States Agency for International Development
USDO	United States Disbursing Office
W	Washington
WHO	World Health Organization
W, N&E	Wants, Needs & Expectations

Appendix G: Ongoing Projects

Financial and Mixed Financial systems Maintenance

This investment consists of three systems (Professional Document System or “ProDoc”; New Management System Acquisition and Assistance or “NMS A&A”; and Mission Accounting System or “MACS”), which taken as a whole, manage Operating Expenses (OE) and Programmatic obligations for the Agency and collect information for federal mandate reporting. USAID/Washington and 61 missions are using ProDoc to produce solicitations and award documents and to perform statutory FPDS reporting. MACS is an accounting system used at 38 missions while NMS A&A manages procurements and performs statutory reporting for USAID/Washington. M/IRM provides technical support for IT security of local mission applications in response to GISRA and general control findings.

Financial Systems Integration (FSI) – Phoenix System

The purpose of the Financial Systems Integration (FSI) Project is to acquire and incrementally implement through successive phases and product releases a single Agency-wide integrated core financial system that provides accurate financial information to support Agency decisions in order to achieve USAID’s goals in the most cost efficient and effective manner. The Phoenix System directly supports the Agency's Financial Management Improvement Program (FMIP) and Remediation Plan to achieve substantial compliance with the Federal Financial Management Improvement Act (FFMIA). In September 1999, the Agency acquired American Management Systems’ (AMS) Momentum Financials ® software product. Momentum was configured to support USAID requirements and renamed the Phoenix System. Phoenix was deployed in December 2000 and now supports USAID’s Washington headquarters financial operations. This Exhibit 300 covers USAID’s Washington headquarters financial operations. A separate Exhibit 300 is being submitted that covers the deployment of Phoenix overseas.

Strategic Budgeting Initiative

In conjunction with its Business System Modernization project, USAID has undertaken an effort known as “Strategic Budgeting” that is aimed at formally integrating performance and budgeting. Strategic Budgeting encompasses three areas: a) the joint State/USAID Strategic Plan; b) the Strategic Budgeting model; and 3) the Performance Assessment Rating Tool (PART). USAID’s Strategic Budgeting plan is consolidating the budgeting function (formerly in the Management Bureau) into the Policy and Program Coordination Bureau (PPC). USAID is establishing a framework for making strategic allocation of Agency resources to support USAID budget decisions for the Annual Budget Submission to the Office of Management and Budget and the Congressional Budget Justification. The goals of this framework are:

- a. integration of performance information into the budget decision-making process;
- b. demonstration of what USAID budget allocations would look like absent earmarks and directives; and
- c. creation of analytical tools that can be used as inputs into Agency resource allocation decisions.

Phoenix Overseas Deployment Project

The Phoenix Overseas Deployment Project is part of the modernization of USAID's business systems world wide through the expansion of the Agency's core accounting system to include overseas missions in developing countries. The overseas deployment of a web-based and integrated financial management system will provide an agency-wide system for budget execution, accounting, and financial management. Using e-business technologies provides a tool for mission personnel to manage financial transactions and program performance. It will also allow the Agency to replace its current Mission Accounting and Control System (MACS) system used overseas that is not considered compliant with the Joint Financial Management Improvement Program (JFMIP) requirements. This project will be coordinated through joint USAID and Department of State planning efforts.

Procurement System Improvement Project (PSIP)

The Procurement System Improvement Project (PSIP), is designed to replace the New Management System (NMS) legacy system for Acquisition and Assistance (A&A), which is used only at USAID/Washington.