

# **CC-300 Assistant Secretary of the Army (Acquisition, Logistics and Technology) (ASA(ALT)).**

1. Assistant Secretary of the Army (Acquisition, Logistics and Technology) (ASA(ALT)) Army Acquisition Executive (AAE) and SPE

a. The ASA(ALT), as the AAE and the SPE, is responsible for all procurement and contracting functions across the Army to include, but not limited to, providing oversight of contracting functions through an enterprise wide PMR program.

2. Deputy Assistant Secretary of the Army for Procurement (DASA(P))

a. The DASA(P) serves as the DA proponent for the oversight of the execution of an Army-wide PMR program on behalf of the SPE.

3. Procurement In/Oversight Directorate (PI) (SAAL-PI)

a. SAAL-PI is responsible for the effective administration and conduct of the AFARS Appendix CC and all PMR guidance.

b. The Director of SAAL-PI, on behalf of the DASA(P), shall:

(1) Oversee the Army-wide PMR program.

(2) Advocate coordination and resolution of issues at DA or higher levels for the field.

(3) Coordinate, manage, communicate best practices, trends, and lessons learned.

(4) Monitor and maintain a repository for the resulting Corrective Action Plans (CAPs) resulting from PMRs.

(5) Prepare the ACE Annual Summary Health Report (SHR).

(6) Assign a PMR Program Lead to coordinate, manage, and oversee the Army-wide PMR program.

4. PI PMR Program Lead

a. The PIO Directorate PMR Program Lead, under the direction of the Director of SAAL-PIO, is responsible for managing all aspects of the PMR program and leading ODASA(P)-led and special assistant PMRs.

b. The PMR Program Lead shall:

(1) Oversee Army-wide execution of the PMR program.

(2) Be an advocate of the field for coordination and resolution of issues at DA or higher levels.

(3) Lead the ACE PMR Advisory Board (AB).

- (4) Lead the Configuration Management Board (CMB).
- (5) Provide acquisition management advice to the ACE Senior Leaders.
- (6) Provide PMR guidance to HCAs, including guidance for ODASA(P) special interest reviews.
- (7) Analyze and assess the effectiveness and efficiency of Army contracting programs and operations.
- (8) Direct ODASA(P)-led PMRs of strategic controls or internal controls of special interest to the ODASA(P).
- (9) When not serving as the PMR Team Manager/Lead, designate a PMR Team Manager/Lead.
- (10) When serving as the PMR Team Manager/Lead, establish the PMR Team and execute all PMR Team Manager/Lead responsibilities, as applicable (see paragraph I).
- (11) Develop, maintain, and update, as needed, a PMR volunteer list.

NOTE: Volunteer PMR team member(s) shall not be a member of the contracting office under review.

- (12) Communicate best practices and lessons learned identified to the ACE.
- (13) Prepare and/or coordinate completion of the ACE Annual SHR.

## 5. HCAs

a. The HCA executes the Army PMR program, under the direction of the DASA(P), to ensure fulfillment of HCA responsibilities for assessing the effectiveness of procurement authority key internal controls, consistent with the policies and objectives of AFARS Appendix CC.

b. The HCA shall:

- (1) Designate a senior representative from their staff to serve on the PMR AB to support the successful execution of the policies of AFARS Appendix CC.
- (2) The AB representative and the CMB representative shall not be the same person.
- (3) Designate a senior representative from their staff to serve on the CMB to support updates and revisions of the Army PMR Toolkits and Question Sets.
- (4) Provide supplemental staff support, as required, to assist with ODASA(P)-led assessments of strategic controls and ODASA(P)-directed special interest reviews.
- (5) Provide the schedule of reviews for the following Fiscal Year (FY) no later than 31 August of the current FY.
- (6) Conduct PMRs on contracting activities, to include subordinate commands, at least once every three years (36 months).
- (7) Request, manage, and oversee the CAP in response to PMR deficiencies.
- (8) Identify and communicate best practices and lessons learned, gathered from management

control activities, in the Contracting Activity's (CAs) annual SHR.

(9) Provide a SHR to the ODASA(P) no later than 31 October of the current FY-with information for the prior FY.

(10) Issue supplemental Command-level PMR guidance, including procedures for establishing additional guidance at lower/local levels, as needed.

#### 6. Senior Contracting Official (SCO)

a. The SCO executes the PMR program, under the direction of the HCA, to ensure fulfillment of the HCA responsibilities for assessing the effectiveness of procurement-authority key internal controls, consistent with the policies and objectives of AFARS Appendix CC.

b. The SCO, as directed by the HCA, shall:

(1) Assess the effectiveness of internal/key internal controls of contracting activities, to include subordinate commands, at least once every three years (36 months).

(2) Provide the schedule of reviews no later than 31 August of the current fiscal year.

(3) Request, manage, and oversee the CAP in response to PMR deficiencies.

(4) Provide a SHR to the ODASA(P) no later than 31 October of the current FY-with information for the prior FY.

#### 7. PMR AB Members

a. PMR AB members serve as representatives for each respective organization. The PMR AB facilitates collaboration amongst the DA's major buying commands and the ODASA(P) by providing support and guidance for the development, implementation, standardization, and execution of the ACE PMR program.

b. PMR AB Members shall:

(1) Provide guidance for development of a standard PMR program across the ACE.

(2) Participate in, at a minimum, quarterly meetings to discuss problems, request assistance, and gather recommendations from other members.

(3) Share best practices, lessons learned, and innovative ideas across the ACE for implementation.

Note: reference PMR AB Governance for additional information.

#### 8. PMR CMB Members

a. PMR CMB members serve as representatives for each respective organization. The CMB is tasked with providing guidance for the maintenance and development of the Army PMR Toolkits and Question Sets.

b. CMB members shall:

(1) Participate in monthly meetings and special meetings, as required.

(2) Recommend and/or review proposed changes, updates, or revisions to the PMR Question Sets and Toolkits.

(3) Communicate changes, updates, and revisions to the field offices.

(4) Relay critical information to senior leaders.

Note: reference PMR CMB Governance for additional information.

#### 9. PMR Team Manager/Lead

a. The PMR Team Manager/Lead executes the PMR review process and is responsible for the overall PMR team management, including planning, conducting the review, and preparing or overseeing preparation of the PMR report. The PMR Team Manager/Lead is typically the same person, however local guidance may distinguish a separation of responsibility. In this instance, local guidance shall take precedence.

b. The PMR Team Manager/Lead shall:

(1) Establish the PMR Team.

(2) Develop, maintain, and update the PMR volunteer list.

(3) Confirm availability of team members for the established time of each PMR.

(4) Immediately contact replacements for those PMR team members who have schedule conflicts.

(5) Issue a 90-day notice for the PMR to the site being reviewed.

(6) Meet with senior representatives from the organization for the site being reviewed to ensure the organization understands what is expected of them and answer any questions.

(7) Coordinate the organization's support requirements for the PMR team.

(8) NOTE: Volunteer PMR team member(s) shall not be a member of the respective contracting office under review.

(9) Notify PMR team members of assigned area(s) of responsibility.

(10) Conduct pre-PMR processes and training as required:

Introduce team members.

Provide the purpose of the PMR.

Discuss Business Rules (i.e. Ground Rules, site specific rules, and PMR team's daily working hours, if applicable).

Provide guidance on conducting and documenting the PMR.

Ensure that reviewers are cognizant of local contracting requirements and provided access to copies of all relevant local policies and procedures.

Identify team member Subject Matter Expert (SME) capabilities.

- (11) Conduct an in-brief and an out-brief with PMR team members.
- (12) Facilitate regular (daily or weekly) meetings or exchanges to discuss systematic issues or new findings as the review progresses.
- (13) Coordinate logistics.
- (14) Request local policies & procedures from the organization. Note: guidance usually reflects dollar thresholds for review, peer reviews, pre-award reviews, and other local procedures.
- (15) Provide an in-brief and an out-brief to the SCO and Senior Leadership.
- (16) Adjudicate all lessons learned and best practices recommended for implementation across the ACE.

#### 10. PMR Team Members

a. PMR team members perform assessments of assigned review elements, including participating in the planning, conducting the review, and preparing their input to the PMR report.

b. The PMR team members shall:

- (1) Be technically qualified and experienced to perform PMR reviews.
- (2) Have the knowledge, skills, and abilities to review assigned area, and have at least five years of hands-on experience as a Contract Specialist or Procurement Analyst.
- (3) Possess the experience in contracting relevant to the subject matter being reviewed.
- (4) Shall be capable of independently completing the required Question Set and/or Toolkit for the review.
- (5) Conduct all assigned cabinet reviews, document reviews, interviews (when required), or other required reviews in support of the PMR.
- (6) Obtain system access for the location of the PMR, if required.
- (7) Participate in all virtual or in-person meetings.
- (8) Document, provide, and brief findings, lessons learned, and best practices.
- (9) If serving as an SME for the review team, provide subject-matter-expertise in reviewing designated functional areas or special interest review elements during the PMR review process.
- (10) Assist PMR Team Manager/Lead, if requested, in reviewing PMR findings for consistency, accuracy, and completeness.

#### 11. Organizational CAP Representative

A representative from each Organization listed on the CAP Submission and Checkpoint Form. The Organizational CAP Representative receives the CAP from the CAP POC and is responsible for submission of the CAP to the PMR PAM SharePoint/Repository via the CAP Submission and Checkpoint Form.

## 12. CAP Point of Contact (POC)

a. A POC from the organization under review (typically the Subordinate Organization listed on the CAP Submission and Checkpoint Form). The CAP POC receives PMR results from the PMR Team Manager/Lead, creates the CAP, obtains CAP approval from the PMR Team Manager/Lead, and sends the approved CAP to the Organizational CAP Representative.

13. Deputy Assistant Secretary of the Army for Procurement (DASA(P)). The DASA(P) is the DA proponent for the PMR Program supporting the SPE to provide oversight and evaluation of Army contracting, consistent with the enterprise risk management and internal control practices of OMB Circular A-123 and AR 11-2.

## 14. CC-302 Heads of Contracting Activities.

HCAAs shall –

(a) Assess the effectiveness of procurement-authority key internal controls, consistent with the policies and objectives of this appendix; review contracting compliance with FAR, DFARS, AFARS, DA Policy, and Command Supplements, consistent with DA PMR objectives and DASA(P) special interest areas.

(b) Designate representatives from their staff to interface with ODASA(P) to support the successful execution of the policies of this appendix

(1) Appoint, in writing, a primary and alternate representative to the PMR Advisory Board (AB).

(2) Delegation no lower than the designated PMR AB member, appoint, in writing, a primary and alternate representative to the PMR Configuration management Board (CMB).

(3) Designated representatives cannot simultaneously hold the position of PMR AB member and CMB member.

(c) Provide supplemental staff support, as required, to conduct ODASA(P)-led assessments of strategic controls and ODASA(P)-directed special interest reviews;

(d) Identify and communicate best practices and lessons learned, gathered from management control activities, in the contracting activity's annual SHR.

**Parent topic:** PART 3 - PMR RESPONSIBILITIES