

Federal Financial Management Business Use Cases for Request-to-Procure

Release FY2027

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Purpose

The Federal Financial Management (FFM) Business Use Cases reflect the business needs, or requirements that an agency must follow in the financial management community. This document is part of the FFM Business Use Case Library and contains the business use cases associated with the Request-to-Procure Business Process. The ***Federal Financial Management Business Use Case Library Overview*** should be referenced in conjunction with this document for guidance on understanding and applying the FFM Business Use Cases to agency financial operations.

Business Use Case Structure

The sections of the FFM business use cases are described below.

Business Use Case Identifier: includes information about the key underlying components. The notation for a business use case identifier is shown below.

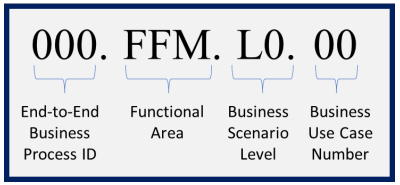


Figure 1: The notation for a business use case identifier.

Business Scenario(s) Covered: identifies differing situations or conditions that occur when executing an end-to-end business process and reflect the scope and complexity of federal government agency missions.

Business Actor(s): identifies the typical offices or roles performing events in the business use case.

Synopsis: provides a summary of the events that take place within the business use case.

Assumptions and Dependencies: includes context information about events that have occurred prior to the first event identified in the business use case or outside of the business use case and dependencies on events accomplished in other business use cases. There are

several common assumptions that are established for all business use cases. Additional assumptions or dependencies are included if needed for the specific business use case.

Initiating Event: identifies the event that triggers the initiation of the business use case.

Typical Flow of Events: includes the Federal Financial Management (FFM) and non-FFM events that may occur to complete the business scenario(s) included in the business use case. The non-FFM events are provided for business context. Also included are the inputs and outputs or outcomes that one would expect to occur during or as a result of the event.

Change Log

Item Changed	Summary of Change	Rationale
All Business Use Cases	Removed FFMSR ID	Realign FFMSR scope with Financial Management Capability Framework (FMCF)

Request-To-Procure Business Use Cases

030.FFM.L1.01 Procurement Within a Single Fiscal Year

End-to-End Business Process: 030 Request-to-Procure

Business Scenario(s) Covered

- Single Year Funds

Business Actor(s)

Procurement Office; Finance Office; Vendor

Synopsis

A request for the purchase of goods (e.g., non-leased office equipment) is submitted using funds that expire at the end of the current fiscal year. An order or award is prepared and sent to a vendor.

Assumptions and Dependencies

General

1.1 There may or may not be automated (near/real-time or batch) interfaces between functional areas/functions/activities or between provider solutions/systems.

1.2 There is no presumption as to which activities are executed by which actor, or which activities are automated, semi-automated, or manual.

1.3 Supporting information for general ledger transactions includes sub-ledger entries when sub-ledgers are used.

1.4 Appropriate attributes (e.g., object class and project) are included as part of the accounting string.

1.5 Relationships between use cases are described in the Framework for Federal Financial Management Use Cases found in the related overview document.

1.6 All predecessor activities required to trigger the Initiating Event have been completed.

1.7 Funds availability checks are performed against appropriations/fund accounts for obligating funds, and against obligations for disbursing funds in accordance with OMB A-11, Section 150.2.

030.FFM.L1.01 Procurement Within a Single Fiscal Year

Business Use Case Specific

2.1 There is sufficient and appropriate time to complete, receive and pay for the purchase of goods.

2.2 There are sufficient funds to make the purchase.

2.3 Vendors are required to register in the GSA System for Award Management (SAM), with some exceptions such as individuals and vendors used for micro-purchases, military, classified, or emergency operations contracts, or work performed outside the US (see FAR 4.1102 for a complete list of exceptions). GSA SAM is a common source for establishing the vendor in the Acquisition (ACQ) system. Vendor (payee) information provided by the Acquisition (ACQ) system to the FM system is used only when vendor (payee) information is not available from GSA SAM.

2.4 The purchase is made using an approved acquisition strategy that requires a solicitation to be issued prior to the award.

2.5 The agency is using commitment accounting.

2.6 The procurement request includes all necessary information for completing funds control checks.

2.7 Tolerance percentages or amounts between obligation and commitment amounts have been established.

2.8 Although agencies may use other OMB-approved electronic invoicing solutions, the agency has elected to use the Treasury Invoice Processing Platform (IPP). The agency has also elected to use its FM system instead of its ACQ system to provide vendor entity and award information to Treasury IPP. The agency has completed all of its responsibilities related to initial IPP vendor setup.

Federal Records Management

3.1 The types of digital objects received or created during FFM events (Business Use Case Inputs or Outputs) that are considered FFM Federal records (ERM.010.010, ERM.010.020) are specified with a superscript (FR). FFM Federal records are managed as temporary Federal records unless agency personnel designate a specific FFM federal record as having permanent value because of high dollar value, media attention, historical value, research value, or other extenuating circumstances.

3.2 FFM Federal records are retained for a period of 7 years from the FFM event date if the retention period for a specific type of FFM Federal record has not been established in the National Archives General Records Schedules (GRS) (ERM.010.030). If special circumstances occur such as an order, law, or business justification, the temporary Federal record's retention period is changed (ERM.030.040) or the permanent Federal record's retention period is extended ERM.040.040).

3.3 During the retention period of an FFM Federal record: appropriate access levels are maintained (ERM.020.010); associated metadata (e.g., record identifier, creator, creation date, security classification, access rights) and an audit trail of changes to Federal record content, metadata, and access level are maintained (ERM.020.020); if a records hold is placed, the Federal record

030.FFM.L1.01 Procurement Within a Single Fiscal Year

is locked down until the records hold is lifted to ensure no changes can be made (ERM.020.030); if needed to satisfy a Freedom of Information Act, Congressional, or e-discovery request, the Federal record is made available (ERM.020.040); and if needed because of technology obsolescence, the Federal record is converted to an acceptable format and/or migrated to another repository to serve out its retention period (ERM.020.050).

3.4 Once an FFM Federal record has met its records retention period, it is approved for disposal and disposed (ERM.030.010, ERM.030.020, ERM.030.030) or prepared for transfer, transferred to NARA, and removed from the FFM solution (ERM.040.010, ERM.040.020, ERM.040.030).

Initiating Event: The federal agency office requests office furniture.

030.FFM.L1.01 Procurement Within a Single Fiscal Year

Typical Flow of Events

	FFM Event	Non-FFM Event	Input(s)	Output(s) / Outcome(s)
1		a. Receive and begin processing a procurement request (acquisition package) for goods b. Request funds availability check (ACQ.020.010 Procurement Request (PR) Processing)	• Requirements/specifications for the goods	• Submitted procurement request • Request for funds availability check
2	Receive and process request for funds availability check (FFM.010.020 Fund Allocation and Control)		• Request for funds availability check	• Funds availability response
3		a. Approve procurement request b. Request to commit funds (ACQ.020.010 Procurement Request (PR) Processing)	• Funds availability response • Submitted procurement request	• Approved procurement request • Request to commit funds
4	Receive and process request to commit funds (FFM.030.020 Obligation Management)		• Request to commit funds	• Appropriate commitment GL entries created with reference to source information

030.FFM.L1.01 Procurement Within a Single Fiscal Year

Typical Flow of Events

	FFM Event	Non-FFM Event	Input(s)	Output(s) / Outcome(s)
5	Post appropriate budgetary, proprietary, and/or memorandum entries to the general ledger (GL) (FFM.090.020 General Ledger Posting)		• GL entries	• Appropriate GL accounts updated (FR)

030.FFM.L1.01 Procurement Within a Single Fiscal Year

Typical Flow of Events

	FFM Event	Non-FFM Event	Input(s)	Output(s) / Outcome(s)
6		a. Develop solicitation (ACQ.020.080 Solicitation Documentation Development) b. Issue solicitation (ACQ.020.100 Solicitation Issuance) c. Receive vendors' responses to solicitation and evaluate responses (ACQ.030.010 Proposal Evaluation) d. Select a vendor (ACQ.030.060 Award Decision) e. Develop order or award for that vendor (ACQ.030.070 Contract Award Issuance) f. Request funds availability check (ACQ.030.070 Contract Award Issuance)	• Approved procurement request • Approved acquisition strategy • Solicitation • Vendor responses to solicitation	• Solicitation • Selected vendor • Order or award information • Request for funds availability check

030.FFM.L1.01 Procurement Within a Single Fiscal Year

Typical Flow of Events

	FFM Event	Non-FFM Event	Input(s)	Output(s) / Outcome(s)
7	Receive and process request for funds availability check (FFM.010.020 Fund Allocation and Control)		• Request for funds availability check	• Funds availability response
8		a. Approve order or award b. Issue order or award c. Provide vendor (payee) information d. Request funds obligation (ACQ.030.070 Contract Award Issuance)	• Funds availability response • Selected vendor • Order or award information	• Vendor (payee) information • Approved order or award information • Request to obligate funds

030.FFM.L1.01 Procurement Within a Single Fiscal Year

Typical Flow of Events

	FFM Event	Non-FFM Event	Input(s)	Output(s) / Outcome(s)
9	a. Retrieve vendor (payee) information from GSA (FFM.030.010 Payee Setup and Maintenance) b. Update vendor (payee) information (FFM.030.010 Payee Setup and Maintenance) c. Receive request to obligate funds and confirm difference between obligation amount and commitment amount does not exceed tolerance percentage/amount (FFM.030.020 Obligation Management) d. Obligate funds and liquidate commitment (FFM.030.020 Obligation Management)		• Vendor (payee) information • Request to obligate funds	• Updated vendor (payee) information • Appropriate commitment liquidation and obligation GL entries created with reference to source information

030.FFM.L1.01 Procurement Within a Single Fiscal Year

Typical Flow of Events

	FFM Event	Non-FFM Event	Input(s)	Output(s) / Outcome(s)
10	Post appropriate budgetary, proprietary, and/or memorandum entries to the general ledger (GL) (FFM.090.020 General Ledger Posting)		• GL entries	• Appropriate GL accounts updated (FR)
11	a. Provide vendor entity information to Treasury (FFM.030.010 Payee Setup and Maintenance) b. Provide order or award information to Treasury (FFM.030.020 Obligation Management)		• Updated vendor (payee) information • Approved order or award information	• Vendor entity information • Order or award information

030.FFM.L1.02 Procurement During Continuing Resolution

End-to-End Business Process: 030 Request-to-Procure

Business Scenario(s) Covered

- Procurement During a Continuing Resolution

Business Actor(s)

Procurement Office; Finance Office; Vendor, Program Office

Synopsis

A request for the purchase of services (e.g., continuation of IT security services for critical financial systems) is submitted during a Continuing Resolution (CR-1). The order (e.g., purchase order, task order, and delivery order) or award is issued subject to availability of funds and only funds allocated in CR-1 are obligated. CR-1 ends without an approved budget and a second CR (CR-2) is issued. The order or award is modified, and the obligated funds are increased by those authorized by CR-2 less the amount previously obligated in CR-1. An approved budget is issued at the end of CR-2. The order or award is modified, and funds obligated are increased by those authorized for the fiscal year less the amount previously obligated in CR-1 and CR-2. Funds availability checks are performed to ensure obligated amounts do not exceed the amounts authorized by CR-1, CR-2, or the budget year during each period respectively.

Assumptions and Dependencies

General

1.1 There may or may not be automated (near/real-time or batch) interfaces between functional areas/functions/activities or between provider solutions/systems.

1.2 There is no presumption as to which activities are executed by which actor, or which activities are automated, semi-automated, or manual.

1.3 Supporting information for general ledger transactions includes sub-ledger entries when sub-ledgers are used.

1.4 Appropriate attributes (e.g., object class and project) are included as part of the accounting string.

1.5 Relationships between use cases are described in the Framework for Federal Financial Management Use Cases found in the related overview document.

1.6 All predecessor activities required to trigger the Initiating Event have been completed.

030.FFM.L1.02 Procurement During Continuing Resolution

1.7 Funds availability checks are performed against appropriations/fund accounts for obligating funds, and against obligations for disbursing funds in accordance with OMB A-11, Section 150.2.

Business Use Case Specific

2.1 There are two CRs and funding is limited to the amount made available under the CRs.

2.2 No "no-year" funding is available.

2.3 During the CRs, no new programs are started.

2.4 The order or award is for continuation of a program initiated in a prior fiscal year.

2.5 When the final budget is approved, there are sufficient funds to cover obligations incurred during the CRs.

2.6 Vendors are required to register in the GSA System for Award Management (SAM), with some exceptions such as individuals and vendors used for micro-purchases, military, classified, or emergency operations contracts, or work performed outside the US (see FAR 4.1102 for a complete list of exceptions). GSA SAM is a common source for establishing the vendor in the Acquisition (ACQ) system. Vendor (payee) information provided by the Acquisition (ACQ) system to the FM system is used only when vendor (payee) information is not available from GSA SAM.

2.7 The order or award to continue services is made using an approved acquisition strategy that requires a solicitation to be issued to an incumbent vendor prior to the award.

2.8 The procurement request includes all necessary information for completing funds control checks during and subsequent to CR-1 and CR-2.

2.9 Tolerance percentages or amounts between obligation and commitment amounts have been established.

2.10 Although agencies may use other OMB-approved electronic invoicing solutions, the agency has elected to use the Treasury Invoice Processing Platform (IPP). The agency has also elected to use its ACQ system instead of its FM system to provide vendor entity and award information to Treasury IPP. The agency has completed all of its responsibilities related to initial IPP vendor setup.

Federal Records Management

3.1 The types of digital objects received or created during FFM events (Business Use Case Inputs or Outputs) that are considered FFM Federal records (ERM.010.010, ERM.010.020) are specified with a superscript (FR). FFM Federal records are managed as temporary Federal records unless agency personnel designate a specific FFM federal record as having permanent value because of high dollar value, media attention, historical value, research value, or other extenuating circumstances.

030.FFM.L1.02 Procurement During Continuing Resolution

3.2 FFM Federal records are retained for a period of 7 years from the FFM event date if the retention period for a specific type of FFM Federal record has not been established in the National Archives General Records Schedules (GRS) (ERM.010.030). If special circumstances occur such as an order, law, or business justification, the temporary Federal record's retention period is changed (ERM.030.040) or the permanent Federal record's retention period is extended ERM.040.040).

3.3 During the retention period of an FFM Federal record: appropriate access levels are maintained (ERM.020.010); associated metadata (e.g., record identifier, creator, creation date, security classification, access rights) and an audit trail of changes to Federal record content, metadata, and access level are maintained (ERM.020.020); if a records hold is placed, the Federal record is locked down until the records hold is lifted to ensure no changes can be made (ERM.020.030); if needed to satisfy a Freedom of Information Act, Congressional, or e-discovery request, the Federal record is made available (ERM.020.040); and if needed because of technology obsolescence, the Federal record is converted to an acceptable format and/or migrated to another repository to serve out its retention period (ERM.020.050).

3.4 Once an FFM Federal record has met its records retention period, it is approved for disposal and disposed (ERM.030.010, ERM.030.020, ERM.030.030) or prepared for transfer, transferred to NARA, and removed from the FFM solution (ERM.040.010, ERM.040.020, ERM.040.030).

Initiating Event: During CR-1, a request is received to issue a PO to continue services.

030.FFM.L1.02 Procurement During Continuing Resolution

Typical Flow of Events

	FFM Event	Non-FFM Event	Input(s)	Output(s) / Outcome(s)
1		a. Receive and process a procurement request (acquisition package) for services b. Request funds availability check (ACQ.020.010 Procurement Request (PR) Processing)	• Requirements/specifications for the services	• Submitted procurement request • Request for funds availability check
2	Receive and process request for funds availability check (FFM.010.020 Fund Allocation and Control)		• Request for funds availability check	• Funds availability response-only CR-1 authorized funds available
3		a. Approve procurement request subject to availability of funds b. Provide vendor (payee) information c. Request commitment of funds (ACQ.020.010 Procurement Request (PR) Processing)	• Funds availability response- only CR-1 authorized funds available • Submitted procurement request	• Vendor (payee) information • Approved procurement request subject to availability of funds • Request to commit funds

030.FFM.L1.02 Procurement During Continuing Resolution

Typical Flow of Events

	FFM Event	Non-FFM Event	Input(s)	Output(s) / Outcome(s)
4	a. Retrieve vendor (payee) information from GSA (FFM.030.010 Payee Setup and Maintenance) b. Update vendor payee information (FFM. 030.010 Payee Setup and Maintenance) c. Receive approved procurement request and commit available funds (FFM.030.020 Obligation Management)		• Vendor (payee) information • Request to commit funds	• Updated vendor (payee) information • Appropriate commitment GL entries created with reference to source information
5	Post appropriate budgetary, proprietary, and/or memorandum entries to the general ledger (GL) (FFM.090.020 General Ledger Posting)		• GL entries	• Appropriate GL accounts updated (FR)

030.FFM.L1.02 Procurement During Continuing Resolution

Typical Flow of Events

	FFM Event	Non-FFM Event	Input(s)	Output(s) / Outcome(s)
6		a. Develop solicitation (ACQ.020.080 Solicitation Document Development) b. Issue solicitation (ACQ.020.100 Solicitation Issuance) c. Receive vendor response to solicitation and evaluate response (ACQ.030.010 Proposal Evaluation) d. Develop order or award for vendor subject to availability of funds (ACQ.030.070 Contract Award Issuance) e. Request funds availability check (ACQ.030.070 Contract Award Issuance)	• Approved procurement request subject to availability of funds • Approved acquisition strategy • Vendor response to solicitation	• Solicitation • Order or award information • Request for funds availability check

030.FFM.L1.02 Procurement During Continuing Resolution

Typical Flow of Events

	FFM Event	Non-FFM Event	Input(s)	Output(s) / Outcome(s)
7	Receive and process request for funds availability check (FFM.010.020 Fund Allocation and Control)		• Request for funds availability check	• Funds availability response—only CR-1 authorized funds available
8		a. Approve order or award b. Issue order or award subject to availability of funds c. Provide vendor (payee) information for obligation d. Request obligation of funds e. Provide vendor entity information to Treasury f. Provide order or award information to Treasury (ACQ.030.070 Contract Award Issuance)	• Order or award information • Funds availability response—only CR-1 authorized funds available	• Vendor (payee) information • Approved order or award • Request to obligate funds
9	a. Retrieve vendor (payee) information from GSA (FFM.030.010 Payee Setup and Maintenance)		• Vendor (payee) information • Request to obligate funds	• Updated vendor (payee) information • Appropriate commitment liquidation and obligation GL entries created with reference to source information

030.FFM.L1.02 Procurement During Continuing Resolution

Typical Flow of Events

	FFM Event	Non-FFM Event	Input(s)	Output(s) / Outcome(s)
	b. Update vendor (payee) information (FFM.030.010 Payee Setup and Maintenance) c. Receive request to obligate funds and confirm difference between obligation amount and commitment amount does not exceed tolerance percentage/amount (FFM.030.020 Obligation Management) d. Obligate funds authorized by CR-1, and liquidate commitment (FFM.030.020 Obligation Management)			

030.FFM.L1.02 Procurement During Continuing Resolution

Typical Flow of Events

	FFM Event	Non-FFM Event	Input(s)	Output(s) / Outcome(s)
10	Post appropriate budgetary, proprietary, and/or memorandum entries to the general ledger (GL) (FFM.090.020 General Ledger Posting)		• GL entries	• Appropriate GL accounts updated (FR)
11		a. Modify order or award with additional funds made available during CR-2, subject to availability of funds b. Request funds availability check (ACQ.040.030 Contract Modification)	• Additional spending authority from CR-2 • Order or award	• Request for funds availability check • Modified order or award
12	Receive and process request for funds availability check (FFM.010.020 Fund Allocation and Control)		• Request for funds availability check	• Funds availability response—only CR-2 authorized funds, as adjusted by CR-1 Obligations, available

030.FFM.L1.02 Procurement During Continuing Resolution

Typical Flow of Events

	FFM Event	Non-FFM Event	Input(s)	Output(s) / Outcome(s)
13		a. Approve order or award modification b. Issue order or award modification c. Provide vendor (payee) information for obligation adjustment d. Request obligation adjustment e. Provide vendor entity information to Treasury f. Provide order or award modification information to Treasury (ACQ.040.030 Contract Modification)	• Funds availability response—only CR-2 authorized funds, as adjusted by CR-1 obligations, available	• Vendor (payee) information • Approved, modified order or award • Request to adjust obligation
14	a. Retrieve vendor (payee) information from GSA (FFM.030.010 Payee Setup and Maintenance) b. Update vendor (payee) information		• Vendor (payee) information • Request to adjust obligation	• Updated vendor (payee) information • Appropriate obligation adjustment GL entries created with reference to source information

030.FFM.L1.02 Procurement During Continuing Resolution

Typical Flow of Events

	FFM Event	Non-FFM Event	Input(s)	Output(s) / Outcome(s)
	(FFM.030.010 Payee Setup and Maintenance) c. Receive request to adjust obligation and confirm difference between obligation amount and commitment amount does not exceed tolerance percentage/amount (FFM.030.020 Obligation Management) d. Obligate additional funds as authorized by CR-2 (FFM.030.020 Obligation Management)			
15	Post appropriate budgetary, proprietary, and/or memorandum entries to the general ledger (GL) (FFM.090.020 General Ledger Posting)		• GL entries	• Appropriate GL accounts updated (FR)

030.FFM.L1.02 Procurement During Continuing Resolution

Typical Flow of Events

	FFM Event	Non-FFM Event	Input(s)	Output(s) / Outcome(s)
16		a. Modify order or award to reflect additional funds made available by approved budget b. Request funds availability check (ACQ.040.030 Contract Modification)	• Additional spending authority from approved budget • Modified order or award	• Request for funds availability check • Modified order or award
17	Receive and process request for funds availability check (FFM.010.020 Fund Allocation and Control)		• Request for funds availability check	• Funds availability response

030.FFM.L1.02 Procurement During Continuing Resolution

Typical Flow of Events

	FFM Event	Non-FFM Event	Input(s)	Output(s) / Outcome(s)
18		a. Approve order or award modification b. Issue order or award modification c. Provide vendor (payee) information for obligation adjustment d. Request adjustment to obligation e. Provide vendor entity information to Treasury f. Provide order or award modification information to Treasury (ACQ.040.030 Contract Modification)	• Funds availability response	• Vendor (payee) information • Approved, modified order or award • Request to adjust obligation
19	a. Retrieve vendor (payee) information from GSA (FFM.030.010 Payee Setup and Maintenance) b. Update vendor (payee) information		• Vendor (payee) information • Request to adjust obligation	• Updated vendor (payee) information • Appropriate obligation adjustment GL entries created with reference to source information

030.FFM.L1.02 Procurement During Continuing Resolution

Typical Flow of Events

	FFM Event	Non-FFM Event	Input(s)	Output(s) / Outcome(s)
	(FFM. 030.010 Payee Setup and Maintenance) c. Receive request to adjust obligation and confirm difference between obligation amount and commitment amount does not exceed tolerance percentage/amount (FFM.030.020 Obligation Management) d. Obligate funds as authorized by approved budget (FFM.030.020 Obligation Management)			
20	Post appropriate budgetary, proprietary, and/or memorandum entries to the general ledger (GL) (FFM.090.020 General Ledger Posting)		• GL entries	• Appropriate GL accounts updated (FR)

030.FFM.L2.01 Procurement Across Fiscal Years Using Multi-Year Funds

End-to-End Business Process: 030 Request-to-Procure

Business Scenario(s) Covered

- Multi-Year Funds
- Multiple Funding Sources
- Multiple Vendors on a Procurement Request

Business Actor(s)

Procurement Office; Finance Office; Federal Agencies; Vendors

Synopsis

A procurement request for development of a complex project is prepared for a federal program with two funding sources. The project is expected to take two years to complete and to require multi-year funds. To help meet local small business development goals, multiple orders or awards from the one procurement request are issued.

Assumptions and Dependencies

General

1.1 There may or may not be automated (near/real-time or batch) interfaces between functional areas/functions/activities or between provider solutions/systems.

1.2 There is no presumption as to which activities are executed by which actor, or which activities are automated, semi-automated, or manual.

1.3 Supporting information for general ledger transactions includes sub-ledger entries when sub-ledgers are used.

1.4 Appropriate attributes (e.g., object class and project) are included as part of the accounting string.

1.5 Relationships between use cases are described in the Framework for Federal Financial Management Use Cases found in the related overview document.

1.6 All predecessor activities required to trigger the Initiating Event have been completed.

1.7 Funds availability checks are performed against appropriations/fund accounts for obligating funds, and against obligations for disbursing funds in accordance with OMB A-11, Section 150.2.

030.FFM.L2.01 Procurement Across Fiscal Years Using Multi-Year Funds

Business Use Case Specific

2.1 There are sufficient funds to make the purchase.

2.2 The agency is using commitment accounting.

2.3 The agencies have completed proper acquisition planning steps including the cost estimate.

2.4 The agencies have obtained the appropriate internal management approvals.

2.5 Vendors are required to register in the GSA System for Award Management (SAM), with some exceptions such as individuals and vendors used for micro-purchases, military, classified, or emergency operations contracts, or work performed outside the US (see FAR 4.1102 for a complete list of exceptions). GSA SAM is a common source for establishing the vendor in the Acquisition (ACQ) system. Vendor (payee) information provided by the Acquisition (ACQ) system to the FM system is used only when vendor (payee) information is not available from GSA SAM.

2.6 The procurement is made using an approved acquisition strategy that requires a solicitation to be issued prior to the award.

2.7 Tolerance percentages or amounts between obligation and commitment amounts have been established.

2.8 Although agencies may use other OMB-approved electronic invoicing solutions, the agency has elected to use the Treasury Invoice Processing Platform (IPP). The agency has also elected to use its ACQ system instead of its FM system to provide vendor entity and award information to Treasury IPP. The agency has completed all of its responsibilities related to initial IPP vendor setup.

Federal Records Management

3.1 The types of digital objects received or created during FFM events (Business Use Case Inputs or Outputs) that are considered FFM Federal records (ERM.010.010, ERM.010.020) are specified with a superscript (FR). FFM Federal records are managed as temporary Federal records unless agency personnel designate a specific FFM federal record as having permanent value because of high dollar value, media attention, historical value, research value, or other extenuating circumstances.

3.2 FFM Federal records are retained for a period of 7 years from the FFM event date if the retention period for a specific type of FFM Federal record has not been established in the National Archives General Records Schedules (GRS) (ERM.010.030). If special circumstances occur such as an order, law, or business justification, the temporary Federal record's retention period is changed (ERM.030.040) or the permanent Federal record's retention period is extended ERM.040.040).

3.3 During the retention period of an FFM Federal record: appropriate access levels are maintained (ERM.020.010); associated metadata (e.g., record identifier, creator, creation date, security classification, access rights) and an audit trail of changes to Federal record content, metadata, and access level are maintained (ERM.020.020); if a records hold is placed, the Federal record

030.FFM.L2.01 Procurement Across Fiscal Years Using Multi-Year Funds

is locked down until the records hold is lifted to ensure no changes can be made (ERM.020.030); if needed to satisfy a Freedom of Information Act, Congressional, or e-discovery request, the Federal record is made available (ERM.020.040); and if needed because of technology obsolescence, the Federal record is converted to an acceptable format and/or migrated to another repository to serve out its retention period (ERM.020.050).

3.4 Once an FFM Federal record has met its records retention period, it is approved for disposal and disposed (ERM.030.010, ERM.030.020, ERM.030.030) or prepared for transfer, transferred to NARA, and removed from the FFM solution (ERM.040.010, ERM.040.020, ERM.040.030).

Initiating Event: A procurement request is submitted.

030.FFM.L2.01 Procurement Across Fiscal Years Using Multi-Year Funds

Typical Flow of Events

	FFM Event	Non-FFM Event	Input(s)	Output(s) / Outcome(s)
1		Receive and validate procurement request (acquisition package) with multiple funding sources using multi- year funds (ACQ.020.010 Procurement Request (PR) Processing)	• Information for development project	• Validated procurement request • Request for funds availability check for each funding source
2	Receive and process request for funds availability check for each funding source (FFM.010.020 Fund Allocation and Control)		• Request for funds availability check for each funding source	• Funds availability response for each funding source
3		a. Approve procurement request b. Request commitment of funds (ACQ.020.010 Procurement Request (PR) Processing)	• Funds availability response for each funding source • Validated procurement request	• Approved procurement request • Request to commit funds for each funding source
4	Receive request to commit funds for each funding source (FFM.030.020 Obligation Management)		• Request to commit funds for each funding source	• Appropriate commitment GL entries created with reference to source information

030.FFM.L2.01 Procurement Across Fiscal Years Using Multi-Year Funds

Typical Flow of Events

	FFM Event	Non-FFM Event	Input(s)	Output(s) / Outcome(s)
5	Post appropriate budgetary, proprietary, and/or memorandum entries to the general ledger (GL) (FFM.090.020 General Ledger Posting)		• GL entries	• Appropriate GL accounts updated (FR)

030.FFM.L2.01 Procurement Across Fiscal Years Using Multi-Year Funds

Typical Flow of Events

	FFM Event	Non-FFM Event	Input(s)	Output(s) / Outcome(s)
6		a. Develop solicitation (ACQ.020.080 Solicitation Documentation Development) b. Issue solicitation (ACQ.020.100 Solicitation Issuance) c. Receive and evaluate vendor proposals (ACQ.030.010 Proposal Evaluation) d. Select multiple vendors (ACQ.030.060 Award Decision) e. Develop order or award for each vendor (ACQ.030.070 Contract Award Issuance) f. Request funds availability check for each funding source (ACQ.030.070 Contract Award Issuance)	• Approved procurement request • Approved acquisition strategy • Vendor responses to solicitation	• Solicitation • Order or award information for multiple vendors • Request for funds availability check for each funding source

030.FFM.L2.01 Procurement Across Fiscal Years Using Multi-Year Funds

Typical Flow of Events

	FFM Event	Non-FFM Event	Input(s)	Output(s) / Outcome(s)
7	Receive and process request for funds availability check for each funding source (FFM.010.020 Fund Allocation and Control)		• Request for funds availability check for each funding source	• Funds availability response for each funding source
8		a. Approve orders or awards to multiple vendors b. Issue orders or awards to multiple vendors c. Provide vendor (payee) information for multiple vendors (payees) d. Request obligation of funds for each vendor e. Provide vendor entity information for each vendor to Treasury f. Provide order or award information for each vendor to Treasury (ACQ.030.070 Contract Award Issuance)	• Funds availability response for each funding source • Order or award information for multiple vendors	• Vendor (payee) information for each vendor • Approved order or award for each vendor • Requests to obligate funds for each vendor

030.FFM.L2.01 Procurement Across Fiscal Years Using Multi-Year Funds

Typical Flow of Events

	FFM Event	Non-FFM Event	Input(s)	Output(s) / Outcome(s)
9	a. Retrieve vendor (payee) information for each vendor (payee) from GSA (FFM.030.010 Payee Setup and Maintenance) b. Update vendor (payee) information for each vendor (FFM.030.010 Payee Setup and Maintenance) c. Receive requests to obligate funds for each vendor and confirm difference between obligation amount and commitment amount does not exceed tolerance percentage/amount (FFM.030.020 Obligation Management) d. Obligate funds and liquidate commitment (FFM.030.020 Obligation Management)		• Vendor (payee) information for each vendor • Requests to obligate funds for each vendor	• Updated vendor (payee) information for each vendor • Appropriate commitment liquidation and obligation GL entries created with reference to source information

030.FFM.L2.01 Procurement Across Fiscal Years Using Multi-Year Funds

Typical Flow of Events

	FFM Event	Non-FFM Event	Input(s)	Output(s) / Outcome(s)
10	Post appropriate budgetary, proprietary, and/or memorandum entries to the general ledger (GL) (FFM.090.020 General Ledger Posting)		• GL entries	• Appropriate GL accounts updated (FR)

030.FFM.L2.02 Single Award from Multiple Procurement Requests

End-to-End Business Process: 030 Request-to-Procure

Business Scenario(s) Covered

- Single Award from Multiple Procurement Requests

Business Actor(s)

Procurement Office; Finance Office; Federal Agency Requestors; Vendor

Synopsis

Procurement requests from two offices (Requestors) within a federal agency are submitted to the Procurement Office. Both requests are for the same item. The procurement requests are combined when a single order or award is issued to a Vendor to fulfill both procurement requests.

Assumptions and Dependencies

General

1.1 There may or may not be automated (near/real-time or batch) interfaces between functional areas/functions/activities or between provider solutions/systems.

1.2 There is no presumption as to which activities are executed by which actor, or which activities are automated, semi-automated, or manual.

1.3 Supporting information for general ledger transactions includes sub-ledger entries when sub-ledgers are used.

1.4 Appropriate attributes (e.g., object class and project) are included as part of the accounting string.

1.5 Relationships between use cases are described in the Framework for Federal Financial Management Use Cases found in the related overview document.

1.6 All predecessor activities required to trigger the Initiating Event have been completed.

1.7 Funds availability checks are performed against appropriations/fund accounts for obligating funds, and against obligations for disbursing funds in accordance with OMB A-11, Section 150.2.

Business Use Case Specific

2.1 There are sufficient funds to make the purchase.

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2.2 The Requestors have obtained the appropriate management approvals.

2.3 Each Requestor has submitted a procurement request which was approved and an associated commitment for each procurement request has already been established in the FM system.

2.4 Vendors are required to register in the GSA System for Award Management (SAM), with some exceptions such as individuals and vendors used for micro-purchases, military, classified, or emergency operations contracts, or work performed outside the US (see FAR 4.1102 for a complete list of exceptions). GSA SAM is a common source for establishing the vendor in the Acquisition (ACQ) system. Vendor (payee) information provided by the Acquisition (ACQ) system to the FM system is used only when vendor (payee) information is not available from GSA SAM.

2.5 The procurement is made using an approved acquisition strategy that requires a solicitation to be issued prior to the award.

2.6 The Agency is using commitment accounting.

2.7 Tolerance percentages or amounts between obligation and commitment amounts have been established.

2.8 Although agencies may use other OMB-approved electronic invoicing solutions, the agency has elected to use the Treasury Invoice Processing Platform (IPP). The agency has also elected to use its ACQ system instead of its FM system to provide vendor entity and award information to Treasury IPP. The agency has completed all of its responsibilities related to initial IPP vendor setup.

Federal Records Management

3.1 The types of digital objects received or created during FFM events (Business Use Case Inputs or Outputs) that are considered FFM Federal records (ERM.010.010, ERM.010.020) are specified with a superscript (FR). FFM Federal records are managed as temporary Federal records unless agency personnel designate a specific FFM federal record as having permanent value because of high dollar value, media attention, historical value, research value, or other extenuating circumstances.

3.2 FFM Federal records are retained for a period of 7 years from the FFM event date if the retention period for a specific type of FFM Federal record has not been established in the National Archives General Records Schedules (GRS) (ERM.010.030). If special circumstances occur such as an order, law, or business justification, the temporary Federal record's retention period is changed (ERM.030.040) or the permanent Federal record's retention period is extended ERM.040.040).

3.3 During the retention period of an FFM Federal record: appropriate access levels are maintained (ERM.020.010); associated metadata (e.g., record identifier, creator, creation date, security classification, access rights) and an audit trail of changes to Federal record content, metadata, and access level are maintained (ERM.020.020); if a records hold is placed, the Federal record is locked down until the records hold is lifted to ensure no changes can be made (ERM.020.030); if needed to satisfy a Freedom

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of Information Act, Congressional, or e-discovery request, the Federal record is made available (ERM.020.040); and if needed because of technology obsolescence, the Federal record is converted to an acceptable format and/or migrated to another repository to serve out its retention period (ERM.020.050).

3.4 Once an FFM Federal record has met its records retention period, it is approved for disposal and disposed (ERM.030.010, ERM.030.020, ERM.030.030) or prepared for transfer, transferred to NARA, and removed from the FFM solution (ERM.040.010, ERM.040.020, ERM.040.030).

Initiating Event: Two approved procurement requests are determined to be requesting the same item.

030.FFM.L2.02 Single Award from Multiple Procurement Requests

Typical Flow of Events

	FFM Event	Non-FFM Event	Input(s)	Output(s) / Outcome(s)
1		a. Develop a single solicitation based on two procurement requests (acquisition packages) (ACQ.020.080 Solicitation Documentation Development) b. Issue solicitation (ACQ.020.100 Solicitation Issuance) c. Receive vendors' responses to solicitation and evaluate responses (ACQ.030.010 Proposal Evaluation) d. Select a vendor (ACQ.030.060 Award Decision) e. Develop order or award for that vendor (ACQ.030.070 Contract Award Issuance) f. Request funds availability check	• Approved procurement requests • Approved acquisition strategy • Vendor responses to solicitation	• Solicitation • Selected vendor • Order or award information • Request for funds availability check

030.FFM.L2.02 Single Award from Multiple Procurement Requests				
Typical Flow of Events				
	FFM Event	**Non-FFM Event**	**Input(s)**	**Output(s) / Outcome(s)**
		(ACQ.030.070 Contract Award Issuance)		
2	Receive and process request for funds availability check (FFM.010.020 Fund Allocation and Control)		• Request for funds availability check	• Funds availability response
3		a. Approve order or award b. Issue order or award c. Provide vendor (payee) information d. Request obligation of funds e. Provide vendor entity information to Treasury f. Provide order or award information to Treasury (ACQ.030.070 Contract Award Issuance)	• Funds availability response • Selected vendor • Order or award information	• Vendor (payee) information • Approved order or award • Request to obligate funds

030.FFM.L2.02 Single Award from Multiple Procurement Requests

Typical Flow of Events

	FFM Event	Non-FFM Event	Input(s)	Output(s) / Outcome(s)
4	a. Retrieve vendor (payee) information from GSA (FFM.030.010 Payee Setup and Maintenance) b. Update vendor (payee) information (FFM.030.010 Payee Setup and Maintenance) c. Receive request to obligate funds and confirm difference between obligation amount and commitment amount does not exceed tolerance percentage/amount (FFM.030.020 Obligation Management) d. Obligate funds, and liquidate commitment associated with each of the procurement requests (FFM.030.020 Obligation Management)		• Vendor (payee) information • Request to obligate funds	• Updated vendor (payee) information • Appropriate commitment liquidation and obligation GL entries created with reference to source information

030.FFM.L2.02 Single Award from Multiple Procurement Requests

Typical Flow of Events

	FFM Event	Non-FFM Event	Input(s)	Output(s) / Outcome(s)
5	Post appropriate budgetary, proprietary, and/or memorandum entries to the general ledger (GL) (FFM.090.020 General Ledger Posting)		• GL entries	• Appropriate GL accounts updated (FR)