
Annex 3.1: Division of Responsibilities Between PWGSC and DND for the Acquisition of Goods and Services**(2005-06-10)**

1. This matrix is an assigned division of responsibility, agreed by the Ministers of the Department of National Defence (DND) and Public Works and Government Services Canada (PWGSC).^{*} It forms the foundation for an efficient and effective partnering relationship for those who are responsible for activities within the procurement process.

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 - (a) The matrix does not represent delegation of procurement authority by the Minister of PWGSC, and does not affect the responsibility of the contracting officer as defined in Treasury Board Contracting Policy.
 - (b) Legislation, regulations and policy will take precedence over this matrix in the case of any ambiguity.
2. This matrix is to be used for all DND goods and services procured by PWGSC. An "X" represents the assignment of each activity to a "Lead" and "Participatory" department. An "M" represents the norm for Major Crown Projects (MCPs) and MCP-like projects.
3. The assignment of each activity to a "Lead" and "Participatory department" as indicated in this table is to be considered the normal way of doing business. However, as every procurement and associated contract differs with respect to complexity, risk, value and availability of skilled resources, deviations can be agreed jointly in advance as long as justifications are formally filed in an agreement between the two Departments, which consider reasons why the norm cannot be applicable in specific areas.
4. In all activities, it is incumbent upon each "Lead" to always consider as prudent, continuous communication with the procurement representatives of the other department, even if this "Lead" is identified as the sole "X". Finally, it is important to note that this matrix of assigned responsibilities is not necessarily sequential.
5. Effective communications between DND and PWGSC must be worked out on a project-by-project basis. The matrix below sets out anticipated DND internal responsibilities. For any individual project, DND requests that communications be through the procurement functional contact, the applicable DND Procurement Manager/Officer, unless otherwise discussed and agreed to with that procurement functional contact.

DND/PWGSC Responsibility Matrix

CODE	DETAIL	RESPONSIBILITY			
		PWGSC	DND	PWGSC Normally Participates	DND Normally Participates
	PO (Procurement Officer) PM (Project Manager) TA (Technical Authority- includes LCMM) PD (Project Director) M (denotes for MCP or MCP-like projects where role is defined in the PMP) PM/TA - usually the PM for Capital/NP project procurement and the TA for in-service procurement				
1	DEFINE DND OPERATIONAL REQUIREMENTS				
1.1	Define essential characteristics - Statement of Capability Deficiency or Statement of Requirement		PD		
1.2	Seek procurement input/ advice from DND procurement authority		PO		
1.3	Delineate all feasible solutions, within government policy, to meet operational needs (ROM costs)		PD	M	
1.4	Identify Total ROM project cost and schedule estimates for SSID		PO		
1.5	Obtain operational approval to continue with project (SSID)		PD		
1.6	Preparation of cost benefit analysis including life cycle costing analysis of alternatives and uncertainties		PD		
1.7	Determine requirement for cooperation & involvement of other Departments/Countries (excluding 3.5.9)		PD		
1.8	Determine national and international obligations applicable to operational need		PD		
1.9	Determine requirement for phased cycles for project implementation		PM	X	
1.10	Determine maintenance and support requirements		PM/TA	X	
1.11	Determine total resource requirement for the project		PM	X	
1.12	Identify Total Project cost (substantive) and schedule estimates				
1.12.1	Obtain and collate cost and schedule information		PD/PO	X	
1.12.2	Develop Total Project cost and schedule estimates		PO		
1.13	Initiate a PMP (formerly PIP) for project (Responsibility Assignment Matrix)		PM	X	
1.14	Develop DND's Procurement Master Plan		PO		
1.15	Obtain approval (SRB and PRC/SPAC)		PM	X	
1.16	Prepare project submission and obtain approval (PMB, SS PPA and SS EPA, and Project Briefs)		PD/PM & PO		

1.17	Prepare Memorandum to Cabinet (for MCP's only)		M	M	
1.18	Execute DND's Procurement Master Plan		PO		
2	DEFINE TECHNICAL REQUIREMENTS AND RAISE PROCUREMENT INSTRUMENT				
2.1	Establish team (formal or informal as appropriate) for an individual procurement instrument, including required stakeholder		PO	X	
2.2	Identify appropriate DND authorities in the PI (e.g. requisition, technical, QA)		PO		
2.3	Statement of Work (SOW)				
2.3.1	Define SOW and/or Performance Specifications in support of the operational need		PM/TA		
2.3.2	Identify Earned Value requirements (for MCP's or MCP-like projects)		M		
2.3.3	Review and Refine SOW		PO	X	
2.4	Define Government Furnished Resources (e.g. tools, test equipment)		PM/TA		
2.5	Define Quality Assurance and Acceptance requirements		PM/TA		
2.6	Define other technical requirements (e.g. warranty, training, documentation, Initial Provisioning, etc.)		PM/TA		
2.7	Define Technical Evaluation Criteria		PM/TA		
2.8	Prepare Procurement Instrument and Associated Documents				
2.8.1	Validate cost estimate and secure funding for this PI		PO		
2.8.2	Develop Technical Bid Evaluation Plan		PM/TA	X	
2.8.3	Establish Technical Bid Evaluation Team		PM/TA	X	
2.8.4	Develop proposed procurement schedule (activities and timeline) for this PI		PM/TA		
2.8.5	Identify and mitigate DND risks associated with this PI		PO		
2.8.6	Develop Content of Procurement Instrument		PO		
2.8.7	Review Draft Procurement Instrument		PO	X	
2.9	Approve Procurement Instrument (Requisition)		PO		
3	DEVELOP PWGSC PROCUREMENT PLAN (*based on DND Procurement Instrument)				
3.1	Assess the industrial capability *	X			
3.2	Identify applicable major contracting policy which must be considered to accomplish procurement *	X			

3.3	Review applicable CITT cases and Federal Court Rulings of Procurement	X			PO
3.4	Examine potential problems in relation to patents, licensing, royalties, and technology transfer	X	PM/TA		
3.5	Develop Procurement Plan including:				
3.5.1	Delivery schedule and acceptance requirement		PO	X	
3.5.2	Contracting approach *	X			
3.5.3	Target cost and cash flow plan		PO		
3.5.4	Stating of appropriate quality control and inspection system standards and qualification approvals		PM/TA		
3.5.5	Communications Strategy (e.g. press release, etc.)	X	PM/TA		
3.5.6	Risk Management *	X			
3.5.7	Evaluation Methodology *	X			
3.5.8	Industrial and Regional Benefits	X			PM/TA
3.5.9	Interdepartmental and international agreements related to Procurement Plan (excluding DND/PWGSC)		PM/TA	X	
3.6	Obtain approval of procurement plan	X			
4	CONTRACTING PROCESS				
4.1	Review requisition or procurement instrument	X			PO
4.2	Review SOW and Technical Evaluation Criteria for its contractibility	X			PO
4.3	Prepare Solicitation Bid Package				
4.3.1	Identify Applicable Terms and Conditions (including Basis of Payment)	X			PO
4.3.2	Develop Contractual Evaluation Criteria (time, finance incl. transition, contractual & consolidated evaluation plan)	X			PO
4.3.3	State appropriate authorities (e.g. requisition, technical, contract, quality, etc., as applicable)	X			
4.4	Dispatch "Solicitation - Bid" (RFP/ITT) documentation to Industry and DND	X			
4.5	Distribute technical data packages to suppliers as required and as applicable		PM/TA	X	
4.6	If competitive (RFP, ITT or equivalent process), Evaluate Bids and Recommend Supplier				
4.6.1	Carry out Technical evaluation (SOW and associated t's & c's) in accordance with the Evaluation Plan		PM/TA	X	
4.6.2	Carry out Contractual evaluation (including contract t's & c's) in accordance with the Evaluation Plan	X			M
4.6.3	Consolidate evaluation and recommend supplier	X			PO

4.7	If sole-source, Negotiate contract	X			PO&PM /TA
4.8	Review draft contract documentation		PO		
4.9	Obtain TB or Departmental contract approval, as required	X			M
5	CONTRACT ADMINISTRATION				
5.1	Initiate Contract Administration				
5.1.1	Implement Tools and Processes for Administration	X	PO		
5.1.2	Kick-Off Meetings with Parties, Stakeholders	X			PO&PM /TA
5.2	Provide Government Furnished Resources(GFR) in Support of Contract Work		PO	X	
5.3	Ascertain Contract Performance				
5.3.1	Technical and Quality of the Deliverables		PM/TA		
5.3.2	Contractor's Engineering, Production and Quality Systems		PM/TA		
5.3.3	Contractor's Financial and Management Systems	X			
5.3.4	Contract Cash Phasing/ Cash Flow				
5.3.4.1	Cash Flow Actual versus Contracted Cash Flow	X			M
5.3.4.2	Cash Flow Actual versus DND Planned Cash Flow for Financial Forecast		PO		
5.3.4.3	Earned Value (monitor progress of work versus planned work and associated cost) for MCP's	X	M		
5.3.5	Delivery				
5.3.5.1	Monitor materiel and services delivery date		PO		
5.3.5.2	Acceptance Trials and Tests		PM/TA		
5.3.5.3	Schedule compliance	X	M		
5.3.6	Progress Review Meetings				
5.3.6.1	Requirements/Technical Work Group Meetings		PM/TA	X	
5.3.6.2	Contract Progress Review Meetings with Contractor	X			PO&PM /TA
5.4	Apply Contract Provisions and Processes				
5.4.1	Interpretation and Notifications	X			
5.4.2	Change Control				
5.4.2.1	Technical (Engineering Change Notices/Proposals)		PM/TA		
5.4.2.2	Contract Amendments	X			PO
5.4.3	Warranty Provisions				

5.4.3.1	Invoke Warranty		PM/TA		
5.4.3.2	Enforce Warranty	X			
5.4.4	Contractual Issues				
5.4.4.1	Identify contractual issues	X	PO		
5.4.4.2	Enforce contractual issues	X			
5.4.5	Accept Contract Deliverables		PM/TA		
5.4.6	Certify and Process Payments	X	PO		
5.5	Close Out Contract				
5.5.1	Crown Asset Disposition		PO	X	
5.5.2	Final Contract Audit	X			
5.5.3	Final Payment and Amendment	X	PO		

List of Acronyms

CITT	Canadian International Trade Tribunal
DND	Department of National Defence
GFR	Government Furnished Resources
ITT	Invitation to Tender
LCMM	Life Cycle Material Manager
MCP	Major Crown Project
NP	National Procurement
PI	Procurement Instrument
PIP	Project Implementation Plan
PMB	Program Management Board
PMP	Project Management Plan
PRC	Procurement Review Committee
PWGSC	Public Works and Government Services Canada
RFP	Request for Proposal
ROM	Rough Order of Magnitude
SOW	Statement of Work
SPAC	Senior Project Advisory Committee
SRB	Senior Review Board
SS(ID)	Synopsis Sheet (Identification)
SS(EPA)	Synopsis Sheet (Effective Project Approval)
SS(PPA)	Synopsis Sheet (Preliminary Project Assessment)
TB	Treasury Board

