

**SUMMARY OF MAJOR CHANGES TO
DoD 7000.14-R, VOLUME 10, CHAPTER 17
“ELECTRONIC SUBMISSIONS AND PROCESSING”**

All changes are denoted by blue font

Substantive revisions are denoted by a ★ preceding the section, paragraph, table, or figure that includes the revision

Hyperlinks are denoted by *underlined, bold, italic, blue font*

PARAGRAPH	EXPLANATION OF CHANGE/REVISION	PURPOSE
All	Reworded and reformatted chapter for clarity. Revised references, eliminated duplicative references, and added references. Added electronic links.	Update/ Add/Delete
Chapter Title	Revised title of chapter from “Electronic Data Interchange” to “Electronic Submissions and Processing”.	Update
1701	Added an Overview section to provide purpose and general paragraphs.	Add
170201	Added Electronic Payment Request section to provide guidance as mandated by Title 10, U.S.C., section 2227 and implemented by DFARS 232.7003.	Add
170202	Added guidance on Wide Area Workflow	Add
170301	Incorporated electronic signature information deleted from Chapter 1 of this volume.	Add
170302	Added policy for Digital Signature information.	Add
1704	Added policy for Electronic Document Access (EDA).	Add
1705	Added policy for Central Contractor Registration (CCR).	Add

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CHAPTER 17

ELECTRONIC SUBMISSIONS AND PROCESSING1701 OVERVIEW

★ 170101. Purpose. This chapter prescribes policy surrounding the electronic submission and processing of claims for contract payments as directed by Title 10, United States Code (U.S.C.), section 2227 and Defense Federal Acquisition Regulation Supplement (DFARS), Subpart 232.7002. It provides summary information on electronic commerce, and additional information can be found in Volume 5, Chapter 24 of this Regulation. This chapter also specifies the primary electronic methods by which a contractor may submit claims for payment.

170102. Scope. This chapter provides policies and requirements for Department of Defense (DoD) contractors to submit (and DoD personnel to process) contract payment requests in electronic form. “Electronic form” means any automated system that transmits information electronically from the initiating system to all affected systems. Electronically transmitted invoices are retained in accordance with Volume 5, Chapter 21 and Volume 10, Chapter 8 of this Regulation. Facsimile, email and scanned documents are not considered electronic forms for submission of payment requests. However, scanned documents are acceptable when they are part of a submission of a payment request made using Wide Area Workflow (WAWF) or another electronic form authorized by the Contracting Officer (DFARS 252.232-7003). The Contracting Officer may authorize exceptions to the use of WAWF in accordance with DFARS 252.232-7003.

1702 ELECTRONIC COMMERCE

★ 170201. Electronic Payment Requests. Title 10, U.S.C., section 2227 requires contractors to submit payment requests electronically and DoD Components to process those payment requests electronically under DoD contracts. Exceptions to submitting payment requests electronically are specified in DFARS 232.7002. The electronically transmitted payment request is treated the same as a paper payment request and must contain identical data elements as a proper paper payment request would, as specified in Title 5, Code of Federal Regulations, Part 1315.9(b). For audit purposes, the entitlement office will ensure that a copy of the electronically transmitted payment request is retained at the source system. Electronically transmitted payment requests returned to the contractor will be returned in the same manner they were received or as practical for the entitlement system. The transmitted payment request must be accompanied by an electronic message reporting the reason for return. Title 5, CFR, Part 1315.9, “Required Documentation,” and FAR 32.905(b) “Content of Invoices” contain the items that must be included on a proper invoice. The procedures prescribed in DFARS 232.7003 provide the acceptable methods to submit payment requests electronically.

170202. Wide Area Workflow (WAWF). WAWF is a Web-based software application that allows contractors the ability to create payment requests, and DoD personnel to

perform receipt, acceptance, and certification functions in WAWF. WAWF is the accepted form for electronic submission of payment requests (see DFARS 232.7003(a)) unless an exception applies (DFARS 232.7002(a)). Contractors will submit payment requests and receiving reports using WAWF in electronic formats that WAWF accepts: Electronic Data Interchange (EDI); Secure File Transfer Protocol (SFTP); or World Wide Web input. WAWF requires payment requests to be electronically routed between roles assigned within the DoD Activity Address Code (DoDAAC) and Commercial and Government Entity (CAGE) Code. A DoDAAC is a 6-position code that uniquely identifies a unit, activity, or organization that has the authority to requisition, receive, accept, and perform certification of goods and services. Individuals performing WAWF functions must register only for the DoDAAC for their organization and their respective roles. A component's unique DoDAAC is affixed to an electronic document or file which allows direct routing from the originator to the designated activity's receiving and certifying authority. The Invoice Received Date (IRD) is the date and time stamped when the invoice is transmitted. For additional prompt payment due-date information, refer to 5 CFR 1315.4 and Chapter 7 of this volume.

170203. EFT. All contractor payments shall be made by EFT, as prescribed by FAR 32.1103. Exceptions to making payments via EFT are cited in 31 CFR 208.4. The applicable policy and procedures for contract financing and delivery payments to contractors by EFT are found in FAR 32.11. Information regarding the transmission activities, necessary contract clauses, and the Department of the Treasury implementing regulations are detailed in the following subparagraphs:

A. An EFT authorizes a financial institution to transfer funds to or from an account by means other than cash, check, or similar paper instrument. If involved vendors and contractors either fail to provide or provide incorrect EFT information, then payment or financing requests will be deemed improper payment requests. Entitlement offices will withhold payment until correct EFT information is provided. Notice of an improper payment request and delays in accrual of interest are handled in accordance with the Prompt Payment Act (PPA), 5 CFR 1315, 4(c)(2). See Chapter 7 of this volume for more PPA information.

B. Most contracts will contain the clause FAR 52.232-33 or FAR 52.232-34, requiring payment by EFT. Providing correct EFT information also applies to assignment of claims (FAR 4.1102). In the absence of a proper assignment of claims and EFT information that shows the ultimate recipient of the transfer to be other than the contractor, the EFT information is considered incorrect (FAR 32.1105).

C. DoD Components are required to use EFT to make all contract payments, subject to implementing regulations of the Secretary of the Treasury at 31 CFR 208. For additional information on EFT, see Volume 5, Chapter 24 of this Regulation.

D. Payment will be considered to be made on the settlement date for an EFT payment or the date of the check for a check payment. Payments falling due on a weekend or Federal holiday may be made on the following business day without incurring late payment interest penalties. See 5 CFR 1315.4(h).

1703 ELECTRONIC /DIGITAL SIGNATURES AND CERTIFICATIONS

★ 170301. Electronic Signature. Electronic signatures are used for receipt, acceptance, and certification of payment requests processed through an automated information system. The electronic signature is used in the same instances where an authorized signature must be present on a paper document.

170302. Digital Signature. A digital signature is a type of electronic signature. Digital signature technology encrypts data and detects if changes have been made after the document/transaction was digitally signed. Digital signatures enable “authentication” of digital messages, assuring the recipient of a digital message of both the identity of the sender and the integrity of the message, which ensures:

A. Identity is authenticated through the use of digital signatures and certificates. System access is controlled through authorized user levels, IDs, and Public Key Infrastructure (PKI) certificates or passwords. If an information system uses PKI for digital signatures, then that system shall follow Assistant Secretary of Defense for Networks and Information Integration ASD (NII) guidelines for digital signature and DoD-wide interoperability requirements prescribed in DoD Instruction 8520.2. Interoperability refers to the ability of information systems to correctly accept and use certificates issued by DoD PKI.

B. The online data transmissions and storage are protected with encryption. PKI provides an encryption capability of information in transit or at rest and other requirements for Public Key (PK) enabling and interoperability.

C. The recipient of a digitally signed message can verify both that the message originated from the person whose signature is attached and that the message has not been altered either intentionally or accidentally since it was signed. Any entity that uses a digital certificate to identify the creator of digitally signed information relies on the validity binding the subscriber’s name to the public key contained in the certificate.

D. Secure digital signatures cannot be repudiated; the signer of a document cannot later disown it by claiming the signature was forged.

E. All PK-enabled information systems shall be tested to ensure interoperability with the DoD PKI and verified against security requirements in accordance with guidance provided by the DoD PKI Project Management Office.

170303. Electronic Receipt and Acceptance Certification. The electronic receipt and acceptance certification of materials or services are accomplished through WAWF with the use of an electronic signature. WAWF allows the Government to document inspection, acceptance, and/or approval of contractor payment requests and receiving reports electronically. Material Inspection Receiving Reports are prescribed by DFARS 252.246-7000 and DFARS 252.232-7003.

170304. Electronic Payment Certification. The certifying officer will verify the validity of expected payments to the entitlement office through the use of an electronic signature. The electronic signature must include the certifying official's approval or disapproval, name, and title. Documentation required to support payments is based on evidence of a valid contract, obligation document, receipt and acceptance, and payment request, regardless of electronic certification technique or paper issuance. When electronic techniques are used, it is not necessary to physically transfer the paper documentation to the entitlement office for examination. In certain situations, the contractor submitting EDI payment requests may be asked to provide paper documentation. Entitlement offices must further ensure that the transmitted data contains the necessary Prompt Payment Act (PPA) information in accordance with 5 CFR 1315.9. In accordance with Volume 5, Chapter 33 of this Regulation, an approved electronic signature adopted by a certifying official must be:

- A. Unique to the certifying official.
- B. Capable of verification.
- C. Under the sole control or custody of the certifying official.
- D. Linked to the data certified in such a manner that, if the data are changed, the electronic signature is invalidated.

1704 ELECTRONIC DOCUMENT ACCESS (EDA)

★ EDA is a centralized document repository that allows users to access a variety of official DoD documents. DoD EDA is integrated with other electronic document initiatives and provides data to pre-populate several WAWF data elements. For more information, see DoD EDA Business Rules. The EDA Business Rules provide guidance and establish roles and responsibilities for participation in the DoD EDA program. It also provides instruction on how to become a DoD EDA partner. Industry participation in EDA is strongly encouraged, but is voluntary. DoD participation is mandatory for the Military Services and for specified DoD Agencies. These Business Rules apply to the Office of the Secretary of Defense (OSD), the Military Departments, Chairman of the Joint Chiefs of Staff, the DoD Inspector General, Defense Agencies, and DoD Components. EDA is a Web-based system that provides secure online access, storage, and retrieval of documents, such as:

- A. Contracts, Contract Modifications and Grants.
- B. Freight Government Bills of Lading (GBL), Personal Property GBLs, and Non-automated GBLs.
- C. Vouchers (Accounting, Commercial Pay, Travel and Military Pay) and Receiving Reports, DD Form 250.
- D. Contract Data Package Recommendation/Deficiency Reports (DD Form 1716 paper format) or Contract Deficiency Report (CDR data format).

- E. Appointment/Termination Record-Authorized Signature (DD 577).
- F. Government Travel Requests (GTR).

1705 CENTRAL CONTRACTOR REGISTRATION (CCR)

★ CCR is the primary registrant database for businesses doing (or wishing to do) business with the Federal Government. The CCR database was developed, and is maintained, by DoD, and designed to support electronic interfacing with automated procurement and/or finance systems. CCR collects, validates, stores, and disseminates data in support of agency acquisition missions and agency contract and assistance awards. All payments require a Taxpayer Identification Number (TIN) in accordance with 31 U.S.C. 3325(d), except foreign vendors doing business outside of the United States. Vendors or contractors are required to be registered in CCR, as prescribed by FAR 4.11. Contractors are responsible for keeping all CCR information current. Contractors not providing correct CCR or banking information will not be eligible for Prompt Payment interest, as prescribed by 5 CFR 1315.4. Notwithstanding CCR information, no EFT payment shall be paid to a party other than the vendor or contractor unless a properly executed assignment of claims document is on file (see FAR 32.8, DFARS 232.8, and FAR 32.1105). Exceptions to the CCR registration are cited in FAR 4.1102. CCR data collected includes, but is not limited to, the following:

- A. Data Universal Numbering System Number, (DUNS/DUNS+4), a unique 9-digit identification number for each physical business location.
- B. CAGE Code is a 5-position (character) code that identifies companies doing or wishing to do business with the Federal Government.
- C. Tax Identification Number (TIN) is a 9-position number which is either an Employer Identification Number (EIN) or Social Security Number (SSN).
- D. Legal name, doing-business-as (DBA) name, address, and EFT remittance information.

1706 SYSTEM CONTROLS

Systems managers are responsible for ensuring that system controls are documented, tested, and certified for entitlement systems. They must also provide reasonable assurance that the electronic data transmitted is authorized, complete, correct, and secure. Systems managers will ensure the entitlement office periodically performs tests for system compliance in accordance with the original programming design specifications. System testing will include any system's modifications or upgrades. Tests will confirm key processing procedures and that controls are working and reliable. In the event that the internal controls for electronic processing of payment requests are inadequate or are not operating as intended, the entitlement office will request the source documents to support payment. Additional information on internal controls is found in OMB Circular A-127-Revised, "Financial Management Systems".