Procurement Technical Assistance Centers (PTAC)

Posting NIST SP 800-171 Basic Assessment Results

SPRS
Supplier Performance Risk System

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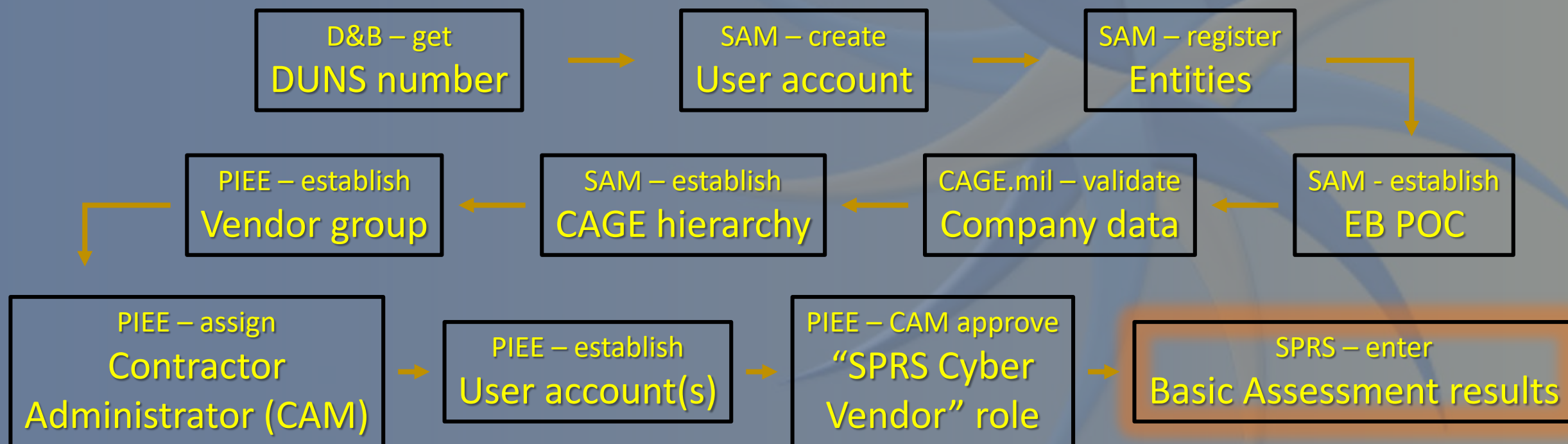
Agenda / Topics

- Getting a DUNS

- Registering in SAM

- Managing your CAGE(s)

- Approving SPRS roles in PIEE

- Entering Assessment results in SPRS

Path to "Basic" Assessment in SPRS

Inside your company – conduct
NIST SP 800-171 Basic assessment of your System Security Plan (SSP)
https://www.acq.osd.mil/dpap/pdi/cyber/docs/NIST%20SP%20800-171%20Assessment%20Methodology%20Version%201.2.1%20%206.24.2020.pdf

D&B – get
DUNS number →

SAM – create
User account →

SAM – register
Entities

PIEE – establish
Vendor group ←

SAM – establish
CAGE hierarchy ←

CAGE.mil – validate
Company data ←

SAM - establish
EB POC

PIEE – assign
Contractor Administrator (CAM) →

PIEE – establish
User account(s) →

PIEE – CAM approve
"SPRS Cyber Vendor" role →

SPRS – enter
Basic Assessment results

Dun & Bradstreet (D&B)
Data Universal Numbering System (DUNS)

The Data Universal Numbering System, abbreviated as DUNS or D-U-N-S, is a proprietary system developed and managed by Dun & Bradstreet.

A DUNS number is a unique, non-indicative 9-digit identifier issued and maintained by D&B that verifies the existence of a business entity globally. D&B assigns DUNS numbers for each physical location of a business.

The D-U-N-S Number is not just a number it is a system for maintaining accurate, comprehensive and timely information and it is issued rapidly and **free of charge** for all entities wanting to do business with the U.S. Federal Government.

D&B – Obtain a DUNS

A DUNS is required to register in SAM

You may request a new DUNS number through the webform by clicking "Request new DUNS"

https://fedgov.dnb.com/webform/

D&B – Obtain a DUNS

STEP 1: Gather Documentation - To request a new D-U-N-S Number or modify an existing D-U-N-S Number you will need **two forms of acceptable documentation**

       Examples of Accepted Documents for **New D-U-N-S**
       - Secretary of State Articles of Incorporation
       - Taxpayer Identification Number (TIN) Confirmation Letter
       - Employer Identification Number (EIN) Confirmation Letter
       - DBA / Assumed Name Certificate Filing
       - Lease Agreement
       - Utility Bill

STEP 2: Submit Your Request

D&B – Hierarchy Management (part 1)
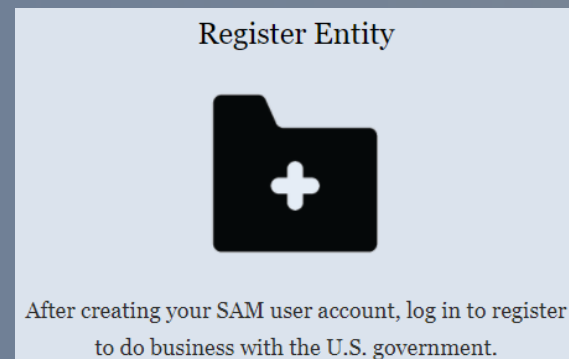
It is important to ensure proper hierarchy

Dun and Bradstreet, Inc. (D&B) provides SAM with the organizational structure for nonfederal entities. The linkages are based on the financial & legal responsibility amongst related business units. SAM receives the D&B "family tree" for each entity and maps those linkages in SAM as the organizational hierarchy

https://sam.gov/SAM/transcript/Quick_Guide_for_Entities_in_Organizational_Hierarchy.pdf

System for Award Management (SAM)

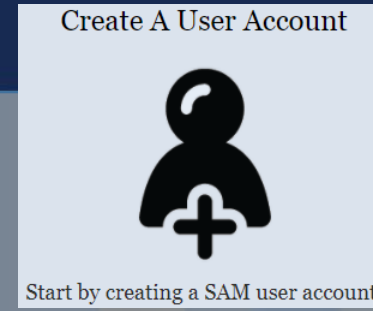## To be considered for an award, you will need to be registered in SAM

SAM is the official U.S. government system that consolidated the capabilities of CCR/FedReg, ORCA, and EPLS. Register your entity (business, organization, individual, or government agency) to do business with the Defense Logistics Agency (DLA)


Register Entity

After creating your SAM user account, log in to register to do business with the U.S. government.

https://www.sam.gov/SAM/

SAM – Register

Create A User Account
Start by creating a SAM user account.

Step 1: Create an individual user account and log into SAM

Register Entity
After creating your SAM user account, log in to register to do business with the U.S. government.

Step 2: Register your company in SAM
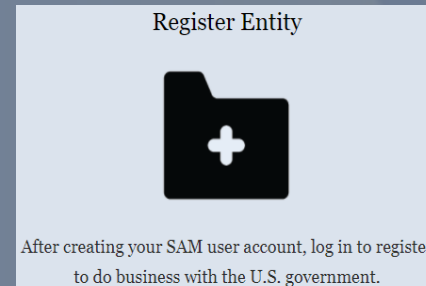
Required Information for Registration:
- DUNS Number, Legal Business Name, and Physical Address from your D&B record
    - Request a DUNS Number from D&B
- Taxpayer Identification Number (TIN) and Taxpayer Name associated with your TIN
- Taxpayer Name (can be found on IRS documents such as a 1099 or W-2 form)
- Bank routing number, account number, and account type, i.e. checking or savings, to set up Electronic Funds Transfer (EFT)

SAM – Establish EB POC

Step 3: Establish an Electronic Business Point of Contact (EB POC) in SAM

- The EB POC will be responsible for authorizing vendor employee(s) access to submit, modify and/or view data on behalf of the vendor.
  - ➤ In Procurement Integrated Enterprise Environment terminology, the EB POC also functions as the Contractor Administrator (CAM). The SAM POC is responsible for entering EB POC data in SAM.

- To find an EB POC for a specific company, go to https://www.sam.gov/ and click on "Search Records". Enter the DUNS Number, CAGE Code, or Company Name and "Search". Scroll to the bottom of the Inquiry Results page. If no one is listed, the company has not identified an EB POC yet
  - ➤ If a vendor sees that there is no one listed as their EB POC, they need to contact the SAME POC and ask the SAM to update the company's registration to include the EB POC

- Each vendor can establish up to two EB POCs one primary and one alternate EB POC for each CAGE/DUNS code

Commercial and Government Entity (CAGE)

SAM coordinates with DLA who assigns the unique CAGE code. This process occurs automatically when registering in SAM

The CAGE code is a 5-digit alphanumeric identifier for your company/entity
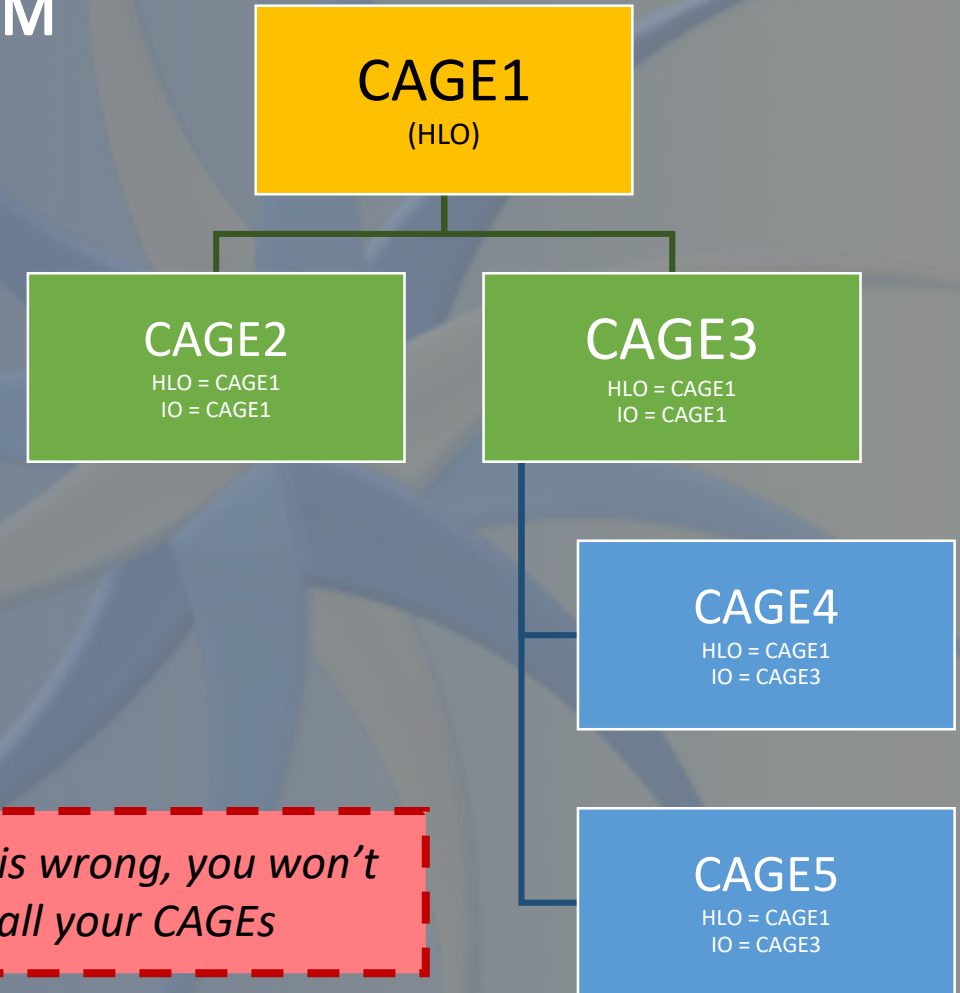
You may be required to provide verifying information as part of the CAGE assignment process. You will be contacted if this is needed.

https://cage.dla.mil/Info/about

SAM – Hierarchy Management (part 2)

Step 4: Make sure your CAGE hierarchy is correct in SAM

- Top CAGE = Highest Level Owner **(HLO)**
  ➤ Your company should only have only <u>one</u>

- Division CAGE = Immediate owner **(IO)**
  ➤ You can have multiple

- Each entry should show a CAGE's HLO and IO

- You can check your CAGE hierarchy in SPRS
  ➤ Make corrections in <u>SAM</u>
  ➤ SAM → DLA → SPRS

! *If your hierarchy is wrong, you won't be able to select all your CAGEs*

CAGE1
(HLO)

CAGE2
HLO = CAGE1
IO = CAGE1

CAGE3
HLO = CAGE1
IO = CAGE1

CAGE4
HLO = CAGE1
IO = CAGE3

CAGE5
HLO = CAGE1
IO = CAGE3

Procurement Integrated Enterprise Environment (PIEE)

<u>A CAGE is required to Register in PIEE</u>

The Procurement Integrated Enterprise Environment (PIEE) is the primary enterprise procure-to-pay (P2P) application for the Department of Defense and its supporting agencies, including Wide Area Workflow (WAWF)

PIEE is the single sign-on portal for SPRS

https://piee.eb.mil/piee-landing/

PIEE – Register

Access the PIEE Landing Page, select Register, and follow all prompted steps:

- PIEE Landing Page: *https://piee.eb.mil/piee-landing/*

- Getting Started in PIEE Guide:
https://piee.eb.mil/xhtml/unauth/web/homepage/vendorGettingStartedHelp.xhtml

PIEE – Establish CAM

Designate a Contractor Administrator (CAM) for your company (Mandatory Step)

Vendors must appoint a CAM to manage their PIEE accounts
- The CAM is your company's "Gate Keeper" and as such this person authorizes the activations and deactivations for the company's CAGE Code(s)
- CAMs are often the EB POC (in SAM)
- Do you have access to WAWF? Then you have a CAM!

If you appoint a CAM that is not your EB POC, they are required to submit their CAM appointment letter, signed by their EB POC, via email to the Ogden Customer Support Center *https://piee.eb.mil/documentation/CAM-VendorAppointmentLetter.pdf*

There may be a need to establish more than one CAM

PIEE – CAM approve SPRS roles

"SPRS Contractor/Vendor (Support Role)"
- View company NIST SP 800-171 Assessments
- View CAGE Hierarchy Report
- View Supplier Risk Report
- View Vendor Summary Reports
  - ◊ Delivery & Quality by FSC/NAICS
  - ◊ Submit a Challenge
- Provide customer feedback

"SPRS Cyber Vendor User" Role
- Add/Edit/View NIST SP 800-171 assessment results
- View CAGE Hierarchy Report

If don't see this: **+ Create New HLO CAGE**

*You don't have **SPRS Cyber Vendor User** role*

Supplier Performance Risk System (SPRS)

PIEE Registration and an approved SPRS User Role is required to Access SPRS

Supplier Performance Risk System (SPRS) "...is the authoritative source to retrieve supplier and product PI [performance information] assessments for the DoD [Department of Defense] acquisition community to use in identifying, assessing, and monitoring unclassified performance." **(DoDI 5000.79)**

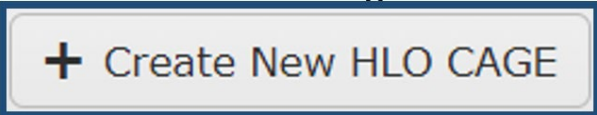Source of contractor performance information and risk assessment used by DoD buyers/contracting officials

https://www.sprs.csd.disa.mil/

SPRS – adding an assessment

Step 1: in PIEE, select SPRS icon

SPRS
Supplier Performance Risk System

Step 2: in SPRS, select NIST SP 800-171 Assessments

Main Menu
Logout
REPORT MENU ITEMS
NIST SP 800-171 Assessment

**Step 3: create a header for
your HLO (required once)**

+ Create New HLO CAGE

If don't see this: **+ Create New HLO CAGE**

You don't have **SPRS Cyber Vendor User** role

NIST SP 800-171 ASSESSMENT

HLO CAGE Code: [   ] Top level CAGE Search

Company Name: [   ]

Confidence Level: -Select- ▼

Assessment Standard: NIST SP 800-171 ▼

Create

SPRS – adding an assessment

Step 4: select BASIC assessments, then +Add New Assessment

If don't see this: ⊕ Add New Assessment

You don't have **SPRS Cyber Vendor User** role

SPRS – entering results

NIST SP 800-171 ASSESSMENT

Enter Assessment Details

Assessment Date:

Score:

Assessing Scope: -Select-

Plan of Action Completion Date:

System Security Plan (SSP) Assessed:

SSP Version/Revision:

SSP Date:

Open CAGE Hierarchy

Included CAGE(s):

☐ Include HLO

Save

Check this box if your HLO is a CAGE covered by the SSP

*If a CAGE is missing here, fix your HLO/IOs **in SAM***

Summary

- Conduct your Basic assessment (concurrent with D&B, SAM, PIEE access)

- Obtain a Data Universal Numbering System (DUNS)

- Register in System of Award Management (SAM)
  - ✓ Establish EB POC
  - ✓ Receive CAGE(s), establish CAGE hierarchy (assign HLO, IOs)

- Register in the Procurement Integrated Enterprise Environment (PIEE)
  - ✓ Establish CAM
  - ✓ Obtain SPRS User Roles

- Access Supplier Performance Risk System (SPRS) via PIEE
  - ✓ Enter header (for your HLO)
  - ✓ Enter assessment results (select Included CAGEs)

Questions?