



DEPARTMENT OF DEFENSE
Defense Contract Management Agency

INSTRUCTION

Policy Program

Corporate Support Directorate
OPR: DCMA-DSP

DCMA-INST 501
May 25, 2012

Administratively reissued, September 20, 2012

1. PURPOSE. This Instruction:

- a. Establishes a Policy Program for DCMA in accordance with DoD Directive 5105.64 (Reference (a)) and DoD Instruction 5025.01 (Reference (b)).
- b. Cancels DCMA Instruction, "Process Changes – Maintenance of DCMA Instruction" (Reference (c)).
- c. Replaces DCMA Instruction, "Deviations – FAR, DFARS, DoD Directive, Other Regulatory/Government Documents and DCMA Instructions" (Reference (d)).
- d. Establishes policy, assigns roles and responsibilities, and outlines procedures for developing and maintaining effective and efficient policies within DCMA. This includes a formal mechanism to develop, coordinate, approve, publish, review, revise, validate current, transfer, and cancel DCMA policies.

2. APPLICABILITY. This Instruction applies to all DCMA activities that prepare, manage, review, validate, approve, and use DCMA policies.

3. MANAGERS' INTERNAL CONTROL PROGRAM. In accordance with the Managers' Internal Control Program (Reference (e)), this Instruction is subject to evaluation and testing. Process flowcharts are located at Appendix A.

4. RELEASABILITY – UNLIMITED. This Instruction is approved for public release.

5. PLAS CODE. 191 – Plans and Policy Deployment

6. POLICY RESOURCE WEB PAGE. <https://home.dcma.mil/policy/501r>

7. EFFECTIVE DATE. By order of the Director, DCMA, this Instruction is effective immediately.

A handwritten signature in black ink, appearing to read "Robert L. Allen".

Robert L. Allen
Executive Director
Corporate Support

TABLE OF CONTENTS

REFERENCES	4
CHAPTER 1 – POLICY	
1.1. Overview.....	5
1.2. Delegation of Authority.....	6
1.3. Policy.....	6
1.4. Types of Policies.....	7
1.5. Other Policy-Related Documents.....	8
1.6. Types of Policy Actions.....	9
CHAPTER 2 – ROLES AND RESPONSIBILITIES	
2.1. Director, DCMA.....	12
2.2. Executive Director, Corporate Support.....	12
2.3. Policy Program Manager (PPM).....	12
2.4. Component Heads.....	13
2.5. Policy Advisory Board (PAB).....	13
2.6. Human Capital (HC), Labor and Employee Relations.....	14
2.7. Office of General Counsel (GC).....	14
CHAPTER 3 – PUBLICATION PROCEDURES	
3.1. Overview.....	15
3.2. Step 1 – Policy Advisory Board (PAB).....	15
3.3. Step 2 – Formal Review Coordination.....	15
3.4. Comments.....	16
3.5. Step 3 – Final Declaration Review Coordination.....	16
3.6. Step 4 – Approval/Signature Package.....	17
3.7. Step 5 – Releasability/Posting.....	18
3.8. Official Records.....	18
CHAPTER 4 – FORMAT REQUIREMENTS	
4.1. Format.....	19
4.2. Cover Page Requirements.....	19
4.3. Table of Contents.....	20
4.4. References.....	20
4.5. Chapter 1. Policy.....	20
4.6. Chapter 2. Roles and Responsibilities.....	21
4.7. Chapter 3. Procedures.....	21
4.8. Other Chapters.....	21
4.9. Glossary - Definitions.....	21
4.10. Glossary - Acronyms.....	21

4.11. Formatting Standards21

CHAPTER 5 – CHANGE AN EXISTING POLICY PUBLICATION

5.1. Policy Publication Change.....24
5.2. Types of Changes.....24
5.3. Documenting Changes.....25

CHAPTER 6 – ANNUAL REVIEW

6.1. Annual Review.....26
6.2. Validate Current.....26
6.3. Transfer27
6.4. Cancel27

CHAPTER 7 – REQUEST FOR DEVIATION/WAIVER

7.1. Purpose.....28
7.2. Request for Deviation/Waiver – DCMA Policy Publications28
7.3. Request for Deviation/Waiver – Higher-Level Governing Regulation
(FAR, DFARS, DoD Directives/Instructions, etc.)29
7.4. Approved Deviation/Waiver.....29
7.5. Deviation/Waiver Register.....30

TABLES

Table 1. Organizational Structure5
Table 2. Policy Publication Matrix8
Table 3. Types of Policy Publication Actions10
Table 4. Formatting Standards.....22

APPENDIX

Appendix A. Policy Program Process Flowcharts.....31
Appendix B. Policy Publication Process Steps.....44

GLOSSARY

Definitions.....47
Acronyms.....50

REFERENCES

- (a) DoD Directive 5105.64, "Defense Contract Management Agency," September 27, 2000
- (b) DoD Instruction 5025.01, "DoD Directives Program," October 28, 2007
- (c) DCMA Instruction, "Process Changes – Maintenance of DCMA Instruction," July 2010 (hereby canceled)
- (d) DCMA Instruction, "Deviations – FAR, DFARS, DoD Directive, Other Regulatory/ Government Documents and DCMA Instructions," March 2009 (hereby canceled)
- (e) DCMA Instruction, "Managers' Internal Control Program," September 12, 2011
- (f) DCMA Instruction, "Records Management," May 2011
- (g) DCMA "Correspondence Manual," February 7, 2011
- (h) DCMA Policy Advisory Board Charter, January 13, 2012
- (i) "United States Government Printing Office Style Manual," current edition
- (j) Federal Acquisition Regulation, Subpart 1.403, "Individual Deviations"
- (k) Defense Federal Acquisition Regulation, Subpart 201.402, "Policy"
- (l) Defense Federal Acquisition Regulation, Subpart 201.403, "Individual Deviations"
- (m) Federal Acquisition Regulation, Subpart 1.404, "Class Deviations"
- (n) Defense Federal Acquisition Regulation 201.404, "Class Deviations"

CHAPTER 1
POLICY

1.1. OVERVIEW. It is DCMA policy that:

1.1.1. The Director, DCMA is delegated certain authorities (Reference (a)), including the authority to create and manage a policy publications system in accordance with Reference (b). The DCMA Policy Program Manager (PPM) must establish and maintain a single, uniform program that DCMA Components will use to develop, coordinate, approve, publish, revise, review, validate as current, transfer, and cancel DCMA policies and procedures. The Corporate Support Directorate oversees the PPM to administer the Policy Program.

1.1.2. A Component is an organization within DCMA whose leader (Component Head) reports to the Director. DCMA Agency Components and Component Head official titles are listed in Table 1.

Table 1. Organizational Structure

Office Symbol	Components	Component Head Title
DD	Office of the Deputy Director	Deputy Director
DC	Office of the Chief of Staff	Chief of Staff
DCO	Office of Equal Employment Opportunity	Director, Equal Employment Opportunity
DR	Office of Reserve Affairs	Mobilization Assistant to the Director
GC	Office of General Counsel	General Counsel
DE	Office of Strategic Effects	Executive Director, Strategic Effects
DM	Office of Independent Assessment	Executive Director, Independent Assessment
DS	Corporate Support Directorate	Executive Director, Corporate Support
HC	Human Capital Directorate	Executive Director, Human Capital
FB	Financial and Business Operations Directorate	Executive Director, Financial and Business Operations/Comptroller
IT	Information Technology Directorate	Executive Director, Information Technology/Chief Information Officer
AO	Aircraft Operations Directorate	Executive Director, Aircraft Operations
AQ	Contracts Directorate	Executive Director, Contracts
QA	Quality Assurance Directorate	Executive Director, Quality Assurance
EA	Engineering and Analysis Directorate	Executive Director, Engineering and Analysis
PI	Portfolio Management and Integration Directorate	Executive Director, Portfolio Management and Integration
DCMAO	Operations Directorate	Executive Director, Operations/Chief Operations Officer
DCMAS	Special Programs Directorate	Executive Director, Special Programs
DCMAI	International Directorate	Commander, DCMA International

1.2. DELEGATION OF AUTHORITY. The Director, DCMA is the approval authority for DCMA Instructions, Handbooks, Director's Policy Statements, and Immediate Policy Changes. Following the Director's approval, the cognizant Component Head will sign the policy publication.

1.3. POLICY. It is DCMA policy that:

1.3.1. DCMA Policy Program issuances consist of Instructions, Handbooks, Director's Policy Statements, and Immediate Policy Changes and will be referred to as policy publications within this Instruction. Policy publications remain in effect until superseded or rescinded. The content of the policy publication will not be altered once signed, except through approved change processes (see chapter 5).

1.3.2. Component Heads (the Director's principal advisors) are responsible for the development, accuracy, currency, and integrity of the content of the policy publications within their functional area. Headquarters (HQ) functional and administrative Components develop and issue Agency-wide policy and guidance based on their specific area of responsibility. Normally, Operational Components (Operations, International, Special Programs) do not issue Agency-wide policy; however, there may be exceptions depending on the Component's assigned missions and functions.

1.3.3. Policies must be reviewed on an annual basis to ensure compliance with statutory requirements and higher-level guidance, and relevance, accuracy, and consistency. (See chapter 6).

1.3.4. Component Heads must assign an Agency policy lead for each policy under their purview, to be listed on the policy resource Web page. Component Heads may also delegate responsibility within their Component for the review and maintenance of their policy publications.

1.3.5. In accordance with the Managers' Internal Control Program (Reference (e)), instructions and handbooks subject to evaluation and testing must include a process flowchart or charts to document Agency processes controlled by the policy publication.

1.3.6. Each policy publication must have an associated policy resource Web page containing information such as additional guidance, training, tools, forms, templates, points of contact, related correspondence, or other information or resources useful in carrying out the policy. The purpose of the resource Web page is to enable Components to quickly post or update dynamic information about the policy publication without needing to modify the policy itself. The policy resource Web page may not establish actual Agency policy. The authoring Component is responsible for the development, publication, and maintenance of their policy resource Web page. At a minimum, each policy's resource Web page must include a link to the policy itself and a valid point of contact (POC). Components may add additional information at their discretion. A template is located on the Policy Program's policy resource Web page <https://home.dcma.mil/policy/501r>.

1.3.7. The Policy Advisory Board (PAB) reviews all new and rewritten Instructions and Handbooks, ensuring appropriate working-level coordination and cross-functional integration of policies prior to formal coordination. The PAB consists of representation from each Component. (See chapter 3 for guidance.)

1.3.8. The PPM maintains the official record copy of the policy publication, and posts the authorized version on the DCMA Policy Web site. An official policy publication is approved by the Agency Director, signed by the Agency Director or cognizant Component Head, and posted on the DCMA Policy Web site.

1.3.9. The PPM assigns and maintains an official numbering system for all policy publications.

1.4. TYPES OF POLICIES. DCMA Policy Program issuances consist of Instructions, Handbooks, Director's Policy Statements, and Immediate Policy Changes. Templates are available on the Policy Resource Web page.

1.4.1. Instruction. An Instruction is the Agency's primary policy document type and is used to establish broad policy, assign roles and responsibilities, and set forth instructions or procedures for functions and processes. The primary purpose of Instructions is to establish how the Agency will execute responsibility assigned to it by regulation or law. Instructions establish Agency-wide policy applicable outside the immediate management authority of a single Component.

1.4.2. Handbook. A Handbook is supplementary to an Instruction and sets forth detailed procedures or guidance not expressed in an Instruction. A Handbook is used when a single reference guide for a function or process is preferable to including detailed guidance on multiple processes in the parent Instruction. Mandatory requirements in a Handbook must only be based on higher level DCMA policy. Handbooks are flexible in format and may present various types of information, such as mandatory requirements, detailed procedures, quick-reference guidance, or other information. A Handbook cannot contradict, supersede, or cancel policy.

1.4.3. Director's Policy Statement (DPS). A DPS is used to communicate brief statements of Agency policy applicable to the workforce generally or to the public, usually posted in public areas and pertaining to general workplace practices (such as Equal Employment Opportunity (EEO) statements, and workplace safety policies). The Component shall reissue a DPS as directed by the new Director when there is a change of command.

1.4.4. Immediate Policy Change. An Immediate Policy Change is interim guidance that serves the same purpose of an Instruction but is issued only for time-sensitive, urgent actions (an immediate change) that affect current policy or that will become DCMA policy. Because of its nature, an Immediate Policy Change has a one-time formal coordination and Component Heads are given three business days to review and submit their comments to the authoring Component. An Immediate Policy Change remains in effect for no more than 180 days, and must be incorporated into existing policy or converted to a new policy within that time frame.

1.4.5. Policy Publication Matrix. Table 2 is a policy publication matrix and coordination schedule.

Table 2. Policy Publication Matrix

Issuance Type	Purpose	PAB Review	Coordination
Instruction (DCMA-INST)	<ul style="list-style-type: none"> Establishes and implements policy Assigns roles and responsibilities Delegates authority May provide step-by-step operational procedures for carrying out the policy 	Yes	10 business day suspense
Handbook (DCMA-HBK)	<ul style="list-style-type: none"> Supplements an Instruction Concise, quick reference guide or other procedural guidance not covered in an Instruction May not contradict, supersede, or cancel policy 	Yes	10 business day suspense
Director's Policy Statement (DPS)	<ul style="list-style-type: none"> Director's way for communicating critical policy throughout the Agency Normally discrete policy statements applicable to the entire workforce or to the public (i.e., EEO mandates) 	No	None
Immediate Policy Change (IPC)	<ul style="list-style-type: none"> Urgent change to policy when time will not allow a normal change process/ coordination Effective for no more than 180 days to allow authoring Component to incorporate into proper policy 	No	3 business day suspense

1.5. OTHER POLICY-RELATED DOCUMENTS.

1.5.1. Pamphlet. The purpose of a Pamphlet is to provide additional clarifying information, best practices, or other guidance pertaining to existing policies or functions. Pamphlets may include important advice and ideas on how to improve performance while consistently executing the policy. Pamphlets may be developed at any level, but must be published by the cognizant headquarters component. Pamphlets may not contradict or supersede DCMA policy publications. The PPM shall assign a document number to the Pamphlet.

1.5.1.1. Coordination of Pamphlets. Coordination of pamphlets is determined by the developing Component but is required among functional and operational staff with a clear stake in the subject. Pamphlets must also be coordinated with the PPM in order to assign the Pamphlet a number and register the Pamphlet on the DCMA Policy Status Tracker.

1.5.1.2. Format. Components must, at a minimum, use the Pamphlet cover sheet/signature page, but may alter the body of the Pamphlet in a way that suits their

communication needs. The Pamphlet cover sheet template is located on the Policy Resource Web page.

1.5.1.3. Signature. The Pamphlet shall be signed by the publishing Component Head and does not need prior approval by the Director, DCMA.

1.5.1.4. Issuance. When complete, Pamphlets will be published by the authoring Component via memorandum and posted by the PPM on the DCMA Policy Web site.

1.5.2. Standard Operating Procedures (SOP). SOPs are not controlled, published, or maintained by the DCMA Policy Program. Component Heads may authorize the use of SOPs within their own Component, and establish rules for developing, approving, maintaining their SOPs. SOPs may be developed to provide guidance on subjects, processes, or programs wholly within the management responsibility of the issuing Component, applicable to the workforce reporting to the Component Head. SOPs may not contradict or supersede DCMA policy publications. Components may tailor the format of an SOP to serve its intended use, or may follow the Instruction or Handbook formats for reference. Components are responsible for the publication or distribution of their own SOPs.

1.6. TYPES OF POLICY ACTIONS.

1.6.1. New. The Component determines the need to establish a new policy publication as a result of a change in mission and/or role, an identified policy gap, or as directed by either internal or external authority. The PPM assigns a new number to the policy publication and tracks and reports the publication status. Upon approval and signature, the authoring Component notifies the workforce of a new policy publication via a Policy Change Notice memorandum. See chapter 3 for publication procedures.

1.6.2. Rewrite. Rewriting a policy publication occurs when there is a need to update the policy publication and/or combine two or more policy publications. The policy publication maintains the same policy number. Upon approval and signature, the authoring Component notifies the workforce of a rewritten policy publication via a Policy Change Notice memorandum.

1.6.3. Change. Administrative or substantive changes to policy publications may be made any time during the life-cycle of the policy. Only the Component can make changes to its policy publication. Upon approval and signature, the authoring Component notifies the workforce of a changed policy publication via a Policy Change Notice memorandum. See Chapter 5 for guidance on making changes to policies.

1.6.4. Immediate Policy Change. An Immediate Policy Change is interim guidance that serves the same purpose of an Instruction but is issued as an urgent action (immediate change). Upon approval and signature, the Immediate Policy Change serves as notice of the change. An Immediate Policy Change expires 180 days from the date of signature. (An Immediate Policy Change template is located on the Policy Resource Web page.)

1.6.5. Validate Current. During the annual review of the policy publication, the Component determines there are no changes to the policy publication. The Component Head issues a memorandum to the PPM validating the policy publication is current. See Chapter 6 for guidance on performing the annual review and validation. (A Validation Memo template is located on the Policy Resource Web page.)

1.6.6. Transfer. To transfer primary responsibility for a policy publication from one Component to another Component, a memo signed by both the gaining and losing Component Heads must be submitted to the PPM requesting the policy publication transfer. (A Transfer Memo template is located on the Policy Resource Web page.)

1.6.7. Cancel. Cancelling a policy publication occurs when the Component determines that a policy publication is no longer needed, and/or is not appropriate for incorporation into a new or existing policy publication. The Component must coordinate with all Components prior to cancelling a Handbook or Instruction. The Component Head issues a Cancellation Memo to the PPM requesting the policy publication be removed from the DCMA Policy Web site and retired. (A Cancellation Memo template is located on the Policy Resource Web page.) NOTE: A policy publication referenced within an Instruction as being incorporated or canceled by another policy does not require a Cancellation Memo as policy approval is authority to cancel the policy publication.

1.6.8. Table 3 is a matrix to assist in identifying types of policy publication actions.

Table 3. Types of Policy Publication Actions

Type Action	Purpose	Policy Change Notice Memo
New	<ul style="list-style-type: none"> • Component determines need to establish a new policy publication as a result of a change in mission and/or role, or directed by either internal or external authority • PPM assigns a new policy publication number 	Yes
Rewrite	<ul style="list-style-type: none"> • Updating/rewriting a policy publication • Combining two or more policy publications • Maintains same policy publication number 	Yes
Change	<ul style="list-style-type: none"> • Polices may be changed at any time during the life-cycle of the policy publication • Only the owning Component is authorized to change their policy publication, in accordance with policy change procedures 	Yes
Immediate Policy Change	<ul style="list-style-type: none"> • Time-sensitive, urgent action (immediate change) • Expires 180 days from date of signature 	No
Validate Current	<ul style="list-style-type: none"> • No changes to the policy publication are identified during Annual review • Submit signed Validation Memo to PPM 	No

Transfer	<ul style="list-style-type: none">• Transfer policy publication from one Component to another Component• Submit Transfer Memo to PPM, signed by gaining and losing Components	No
Cancel	<ul style="list-style-type: none">• Policy publication is no longer needed• Notify Components prior to cancellation• Submit signed Cancellation Memo to PPM	Yes

CHAPTER 2

ROLES AND RESPONSIBILITIES

2.1. DIRECTOR, DCMA. The Director, DCMA approves all new, rewritten, or policy change publications.

2.2. EXECUTIVE DIRECTOR, CORPORATE SUPPORT. The DCMA Executive Director, Corporate Support administers the DCMA Policy Program.

2.3. POLICY PROGRAM MANAGER (PPM). The PPM must:

2.3.1. Serve as the facilitator for the Policy Program.

2.3.2. Develop, administer, and implement new or revised guidance and procedures for the Policy Program in accordance with References (a) and (b). Guidance covers the development, formatting, coordination, publication, distribution, and annual review of DCMA policy publications.

2.3.3. Establish distinctive uniform formats for policy publications so recipients can recognize them as authoritative DCMA policy publications.

2.3.4. Review all policy publications prior to formal coordination reviews for correct formatting as established in this Instruction.

2.3.5. Oversee the coordination process of all reviews of policy publications.

2.3.6. Review and finalize the policy publication signature package, ensuring all component coordination is complete, before forwarding the package for approval and signature.

2.3.7. Authenticate that the policy publication meets prescribed coordination requirements by applying the DCMA heraldry seal to the first page of the signed policy publication before release.

2.3.8. Post signed policy publications to the DCMA Policy Web site.

2.3.9. Assign and maintain a policy numbering system for DCMA policy publications.

2.3.10. Serve as the official Policy Program record keeper, performing the responsibilities in accordance with DCMA Instruction, "Records Management" (Reference (f)).

2.3.11. Provide a monthly report to the Components, listing each policy publication and the due date of the next annual review.

2.3.12. Maintain historical files of Agency policy publications to include copies of current and superseded policy publications, the original signed/authenticated policy publication, signed

Action Memo, and Coordination Summary Sheet (with a hard copy of the final declaration comments from each Component Head attached to the sheet).

2.4. COMPONENT HEADS. As the Director's Principal Advisors, Component Heads must:

2.4.1. Be responsible for the level of detail, accuracy, currency, and integrity of the content of the policy publications within their functional area and adhere to the Agency's strategic goals. The appropriate level of detail depends on the topic of the policy and the intended audience.

2.4.2. Review and coordinate on all new, rewritten, and policy publication changes as requested by other Components, and provide consolidated written comments before the assigned deadline. Review is limited to the substantive area for which the Component has functional responsibility. Component Heads may delegate signature authority to a subordinate, in accordance with the DCMA Correspondence Manual (Reference (g)).

2.4.3. Ensure policy publications conform to the requirements and standards as outlined within this Instruction, to include correct format, grammar, spelling, and paragraph/page numbering before submitting the policy publication to the PPM for formal reviews and signature coordination.

2.4.4. Submit complete coordination and signature packages to the PPM as described in Chapter 3.

2.4.5. Sign policy publications within their functional area after approval by the Director, DCMA.

2.4.6. Promptly notify affected parties (to include industry, if applicable) by issuing a Policy Change Notice when a policy publication is published.

2.4.7. Maintain and keep current the Policy Resource Web pages associated with their policy publications.

2.4.8. Annually review their policy publications ensuring the publications are necessary, current, and consistent with DCMA policy, existing law, and statutory authority.

2.4.9. Present all new and rewritten policies to the PAB before policy development and coordination.

2.5. POLICY ADVISORY BOARD (PAB). The PAB serves as an advisory board established in accordance with the Policy Advisory Board Charter (Reference (h)). The DCMA Deputy Director is the chair of the PAB and members consist of each Component's Deputy Executive Director. The PAB must:

2.5.1. Review all new and rewritten policy publications as presented by authoring Components. This review is the first step in coordination, and allows stakeholders impacted by

the proposed policy publication to be involved at the beginning of the development or revision process.

2.5.2. Facilitate cross-coordination and provide informal, working-level coordination during the development of Agency policies, if applicable.

2.6. HUMAN CAPITAL (HC), LABOR AND EMPLOYEE RELATIONS. Human Capital (HC), Labor and Employee Relations must review and coordinate all new, rewritten, and policy change publications for evaluation of labor relations obligations and notify the authoring Component, in writing, if the policy publication does or does not have labor implications.

2.7. OFFICE OF GENERAL COUNSEL (GC). Office of General Counsel (GC) must review and coordinate on all new, rewritten, and policy change publications prior to approval, signature, and/or release.

CHAPTER 3

PUBLICATION PROCEDURES

3.1. OVERVIEW. This Chapter provides step-by-step guidance on coordination, approval, and publication of new, rewritten, and changes to policy publications. Appendix B is a Policy Publication Process Step, quick reference guide outlining the policy publication process.

3.2. STEP 1 - POLICY ADVISORY BOARD (PAB). The PAB reviews all new and rewritten policy publications prior to development of the publication. The PAB review is the first step in policy coordination and allows stakeholders impacted by the policy to be involved at the beginning of the development and revision process. The PAB is the senior forum that facilitates cross-coordination and provides informal, working-level coordination during the development of Agency policies.

3.2.1. Policy Development Checklist. The Component completes a Policy Development Checklist (located on the Policy Resource Web page) and submits the Checklist with Component Head's endorsement to the PPM for PAB review. Submissions are due on or before the first business day of the month, to be included in that month's PAB Agenda.

3.2.2. Presentation. The authoring Component (usually the subject matter expert or policy writer) presents the policy concept to the PAB for initial consideration, identifying changes to an existing policy, or presenting key points of a proposed new policy. The authoring Component identifies known issues, weaknesses, or points of possible contention, and solicits input from PAB members in addressing issues. The authoring Component may answer questions, resolve concerns, and establish working groups, to ensure appropriate coordination. (See PAB Charter (Reference (h)) for specific procedures for participation in the PAB.)

3.3. STEP 2 - FORMAL REVIEW COORDINATION. All new, rewritten, and policy change publications require formal review coordination. Formal coordination provides authentic, clear declarations from Component Heads. The Component ensures the policy publication meets the standards outlined in this Instruction to include correct format, grammar, spelling, and paragraph/page numbering before submitting the package to the PPM for formal coordination.

3.3.1. Formal Coordination Package. The Component prepares and submits the formal coordination package to the PPM (PolicyProgramOffice@dcma.mil) for review and coordination dissemination. Packages must indicate Component Head approval to release for formal coordination, either via signed memo or email chain, indicating Component Head's personal approval. If needed, the PPM may correct minor formatting and grammatical edits or return the package to the authoring Component for corrections/ edits. The package includes the following:

- Policy (MS Word)
- Process Flowchart(s) (Appendix A)
- Coordination Summary Sheet (Template is on the Policy Resource Web page)
- Agency policy lead POC for receiving coordination comments

3.3.2. The PPM issues the package using the Agency-wide coordination distribution list (COORDDISTLIST). Coordinating Component Heads submit their Component's consolidated comments to the Agency policy lead POC identified in the email by the designated suspense date (i.e., 10 business days). Coordinating Component Heads should immediately request an extension if they feel they will not meet the suspense.

3.3.3. If all Components respond with either "concur" or "no stake," the policy publication does not require a final declaration review.

3.4. COMMENTS. The authoring Component keeps track of all comments and changes to make sure they address coordinating Components' issues. The decision to accept or reject a Component's comments is up to the authoring Component, but should be made in the best interest of the Agency. Comments include the following:

3.4.1. Concur. Component agrees to the contents within the policy publication from a functional perspective. Comments may be submitted that are meant to improve the clarity and correctness of the policy. Administrative comments address typographical, grammatical, or formatting errors and may or may not be incorporated.

3.4.2. Non-concur. Major deficiencies are noted that will preclude final approval of the policy publication. The coordinating Component specifies which comments are grounds for the non-concurrence and works with the authoring Component to resolve the issues.

3.4.2.1. Resolving Non-concurrences. Components should strive to achieve concurrence and should seek resolutions in the best interest of the Agency. The authoring Component leads the resolution process. The process may consist of informal or formal exchanges by phone, email, memos, meetings, and/or working groups. Resolution of non-concurrence is documented by the authoring Component. If resolution is achieved, the coordinating Component Head must indicate his or her concurrence. If differences are irreconcilable, the coordinating Component must provide a detailed rationale for non-concurring. Non-concurrence is noted on the approval package coordination sheet and forwarded with the dissenting Component's statement in the package for the Agency Director's Office consideration and resolution.

3.4.3. No Stake. A Component Head responds to a request for coordination but does not concur, non-concur, or comment. This response signifies the Component has reviewed the policy publication and asserts that the subject matter does not impact their office.

3.5. STEP 3 - FINAL DECLARATION REVIEW COORDINATION.

3.5.1. After submitted comments are adjudicated, the authoring Component submits the final declaration review package to the PPM (PolicyProgramOffice@dcma.mil) for review and dissemination. To facilitate review, the package must include an explanation of changes made as a result of coordination. If needed, the PPM may correct minor formatting and grammatical edits or return the package to the authoring Component for corrections/edits. The package includes the following:

- Policy (MS Word)
- Explanation of changes
- Process Flowchart(s) (Appendix A)
- Coordination Summary Sheet
- Agency policy lead POC for receiving coordination comments

3.5.2. The PPM issues the package using the Agency-wide coordination distribution list (COORDDISTLIST). Coordinating Components will send their comments to the Agency policy lead POC identified in the email by the designated suspense date. Coordinating Component Heads should immediately request an extension if they feel they will not meet the suspense.

3.5.3. Component Head final declaration coordination must be “concur,” “non-concur,” or “no stake.” Components providing a final coordination of “non-concur” must provide a statement explaining the objection. (See paragraph 3.2.4.)

3.5.4. If policy changes are made during the final declaration review, the office of primary responsibility (OPR) Component Head determines if another final declaration review is necessary. Coordination procedures are the same, giving a suspense date of five business days. Substantive changes to the document after coordination must be re-coordinated.

3.5.5. No Response. Component Heads must provide a coordination response (silence does not indicate concurrence). If a Component does not request an extension and fails to respond during the formal review and final declaration review coordination processes, the authoring Component will follow up with an additional coordination request and document the attempt. If attempts to obtain coordination from a Component fail, the authoring Component will indicate “No Response” on the Coordination Sheet and will provide documentation of attempts made to coordinate. Failure to obtain coordination should not prevent submission of a package. Packages missing coordination may be tasked by the Director, DCMA for coordination before approval and signature.

3.6. STEP 4 – APPROVAL/SIGNATURE PACKAGE. Upon completion of formal review and/or final declaration review coordination, the authoring Component provides the approval/signature package to the PPM. The PPM conducts a thorough review of the package prior to submitting it for approval and signature, ensuring the package meets coordination and standardization requirements as outlined in this Instruction. The Component provides the following to the PPM:

3.6.1. An electronic copy of the following to PolicyProgramOffice@dcma.mil:

- Policy (MS Word)
- Process Flowchart(s)

3.6.2. An approval/signature package folder with the following:

- Original Action Memo from Component Head to the Director, DCMA recommending approval of the policy
- TAB A - Policy
- TAB B - Original Policy Change Notice memo from the Component Head announcing the policy publication and/or highlighting key changes
- TAB C - Copy of policy being replaced, if applicable
- TAB D - Coordination Summary Sheet (to include Labor Relations and Office of General Counsel (GC) coordination). Attach a hard copy of the final declaration comments from each Component showing their stake to the back of the coordination summary sheet. (NOTE: Only authorized Component signers will submit their Component's declaration.)

3.6.3. After the Director's approval, the PPM will obtain the Component Head's signature on the policy publication and Policy Change Notice, then date and authenticate the policy prior to posting on the DCMA Policy Web site.

3.7. STEP 5 - RELEASABILITY/POSTING.

3.7.1. The PPM posts the signed policy publication to the DCMA Policy Web site according to the Releasability Statement on the document.

3.7.2. The Correspondence Control Team (CCT) publishes the signed Policy Change Notice memo and makes notification to Component organizational inboxes and in the Daily DCMA Official Document Posting email.

3.8. OFFICIAL RECORDS. DCMA policy publications are formal written communication that documents the Agency's policies, responsibilities, and procedures. The official file copy of a policy publication, revision, or cancellation, with background material, is the permanent record copy and is retained by the PPM. Record sets for new, rewritten, and policy change publications shall include the following:

- Original signed and dated policy publication
- Process Flowchart(s)
- Action Memo signed by the Director
- Policy Change Notice
- Coordination Summary Sheet with a hard copy of the final declaration comments from each Component
- Copy of policy being replaced, if applicable.

CHAPTER 4

FORMAT REQUIREMENTS

4.1. FORMAT. This chapter explains the elements and formatting standards for a policy publication.

4.2. COVER PAGE REQUIREMENTS. The cover page of an Instruction and Handbook consists of the following:

4.2.1. Heading Format. The heading of the policy publication consists of the type of policy, title, Component name, office symbol, policy publication number, and date of signature.

4.2.2. Policy Publication Number. All policy publications shall be assigned a policy number that will be placed on the first page and in the header, above the date, on subsequent pages. The PPM issues and maintains the policy numbering system. If the policy publication is rewritten, it will bear the same number as the superseded policy publication.

4.2.2.1. Instruction. An Instruction policy publication number is DCMA-INST xxx, (e.g., DCMA-INST 999).

4.2.2.2. Handbook. A Handbook policy publication number is DCMA-HBK xxx.x. A Handbook bears the same number as the Instruction it supplements, followed by a decimal number (e.g., DCMA-HBK 999.1).

4.2.2.3. Director's Policy Statement. A DPS number is DCMA-DPS xxx.

4.2.2.4. Immediate Policy Change. An Immediate Policy Change (IPC) number identifies the existing policy being changed, followed by "IPC-1" (e.g., DCMA-INST 999 (IPC-1)). IPC numbers will be consecutively numbered, if needed (e.g., IPC-2).

4.2.3. Purpose. Each policy publication must have a short statement explaining the purpose of the policy publication. It identifies whether the policy publication is new, rewritten, establishes additional guidance, replaces, or cancels existing policies, and identifies higher headquarters publications implemented.

4.2.4. Applicability. This is typically a boilerplate statement to the effect the policy publication applies to all DCMA activities.

4.2.5. Managers' Internal Control Program. In accordance with the Managers' Internal Control Program (Reference (e)), Instructions and Handbooks must have a process flowchart attached to the policy publication (e.g., Appendix A).

4.2.6. Releasability Statement. The Releasability Statement identifies where the policy publication is posted on the DCMA Policy Web site. Policy publication releasability will be

either restricted (private) or unlimited (public). The PPM will post the signed policy publication to the DCMA Policy Web site according to the Releasability Statement.

4.2.6.1. Releasability - Restricted. The policy publication is NOT for public release and is located on the DCMA Intranet Web site.

4.2.6.2. Releasability - Unlimited. The policy publication is for public release and is located on the DCMA Internet Web site. Unlimited policy publications may be linked to the DCMA Freedom of Information Act (FOIA) Electronic Reading Room.

4.2.7. Performance Labor Account System (PLAS) Code. Identify the appropriate PLAS code.

4.2.8. Policy Resource Web Page. The Policy Resource Web page is a hyperlink to a Web page. This page contains all pertinent information and hyperlinks associated with the policy publication. Standard categories for this page include policy (hyperlink to the policy), guidance, tools, related correspondence/ memorandums, training, and points of contact. Additional information may include training requirements, higher-level statutory/regulatory documents, competencies/certifications, performance metrics/standards, additional guidance, templates, forms, and any other information the Component would like to add to the page. The authoring Component maintains the policy's Policy Resource Page Web site keeping the information current. (A template is located on the Policy Resource Web page.)

4.2.9. Effective Date. All policy publications must have the following statement: "By order of the Director, DCMA, this [enter policy type] is effective immediately."

4.2.10. Signature. The Director, DCMA must approve all policy publications prior to signature. Once approved, Component Heads are delegated the authority to sign all policy publications within their functional area.

4.3. TABLE OF CONTENTS. An Instruction and Handbook must have a table of contents page immediately following the signature page.

4.4. REFERENCES. References must be current and listed in the order as they are cited within the policy publication. When citing a policy publication that has been changed or certified current, use the original publication date, NOT the change or certification date. Always reference DoD Directive 5105.64, "Defense Contract Management Agency," September 27, 2000 and DCMA Instruction, "Managers' Internal Control Program," September 12, 2011.

4.5. CHAPTER 1. POLICY. An Instruction has a policy chapter to state the principles and/or goals of the policy document. It includes statements of intent, establishment of programs, administrative rules, and directions to other Components as to their role in the activity described. The policy statement should be concise and written in sufficient detail to assure the policy is clearly articulated. Do not include responsibilities and procedures in the policy chapter.

4.6. CHAPTER 2. ROLES AND RESPONSIBILITIES. This chapter concentrates on defining the roles and responsibilities of individuals who are primarily responsible for the execution of the programs described in the policy section. Identify the key officials who will carry out the policy and list the overarching duties and obligations of each. Assign responsibilities to an official, NOT to an office. State what the official is responsible for doing, not how the official should do it. Do not include procedures.

4.7. CHAPTER 3. PROCEDURES. Procedures are the step-by-step instructions on how to implement the policy.

4.8. OTHER CHAPTERS. Chapters may be added at the discretion of the Component.

4.9. GLOSSARY – DEFINITIONS. A glossary of definitions is optional.

4.10. GLOSSARY – ACRONYMS. A glossary of acronyms and abbreviations is mandatory in all policy publications. If an acronym is used more than once within the text, write the term out the first time it appears, followed by the acronym in parenthesis. Use the acronym consistently thereafter. Do not repeat the term (except in a major paragraph heading). Acronyms that do not need to be established are DCMA, DoD, OSD, and U.S.

4.11. FORMATTING STANDARDS.

4.11.1. Grammar and Style. The following references may be used for grammar and style.

- DCMA Correspondence Manual, February 7, 2011 (Reference (g))
- “United States Government Printing Office Style Manual” (Reference (i))

4.11.2. Formatting Standards. Table 4 contains the policy publication formatting standards.

Table 4. Formatting Standards

<p>Basic Style</p>	<ul style="list-style-type: none"> • Prepare policy publications using MS Word • Font – Use Times New Roman, 12-point typeface • Margins – Set all margins at 1-inch • Tabs – Set default tab at 0.25-inch • Line spacing is “single” • Set Table of Contents tab for right-justified page numbers at 6.50 inches, alignment to right, and set leader to #2 (dots) • Number all paragraphs • Bullets may be used for short statements/lists • Each major paragraph must have a subject identification that will be used as an identifier in the Table of Contents (all caps and bond font, followed by a period) (e.g., 1. PURPOSE; 1.1. POLICY.) • Subparagraphs may have (not required) underlined subject identification statements (e.g., 1.1.1. <u>Paragraph Headings.</u>) • A paragraph or subparagraph “1” must have a paragraph or subparagraph “2” (e.g., 1.1. must have a 1.2.) • Left-justify the second and following lines of all paragraphs and subparagraphs (do not use block style) • Insert 2 spaces after each paragraph and subparagraph number; at the end of each sentence; and after a colon • Use one single, blank line between paragraphs • Write in active voice • Use “must” or “shall” for a mandatory action or obligation • Use “must not,” “may not,” or “shall not” for a prohibition • Use “may” for a discretionary action • Use “should” for a recommendation
<p>Policy Number (Header)</p>	<ul style="list-style-type: none"> • Using the header option and beginning on page 2, the policy number must be right justified
<p>Page Number (Footer)</p>	<ul style="list-style-type: none"> • Using the footer option and beginning on page 2, consecutive page numbers must be centered at the bottom of the page
<p>Hyperlinks</p>	<ul style="list-style-type: none"> • Hyperlink to external documents (e.g., DFARS, FAR) must not be embedded within the policy publication • Hyperlink to the Policy Resource Web page and locations within the policy publication are allowed • Hyperlinks may be used on the Policy Resource Web page • Hyperlinks located on the Policy Resource Web page must be maintained by the authoring Component
<p>Policy Resource Web Page (URL)</p>	<ul style="list-style-type: none"> • OPR maintained Web site containing policy information • Contains all pertinent hyperlinks to the policy to include policy, guidance, tools, related correspondence/memos, training, point of contact, forms, templates, higher level statutory/regulatory documents, competencies/certifications, performance metrics/standards, etc.

Figures	<ul style="list-style-type: none">• Use figures for graphic presentations, forms, illustrations, flowcharts• Give each figure a short, descriptive title• Number consecutively• Bold and center above the figure <p style="text-align: center;">Figure 1. Example of a Figure</p>
Tables	<ul style="list-style-type: none">• Use Tables for listing data• Create tables using the “table” format in MS Word• Give each table a short, descriptive title• Number consecutively• Bold and center above the table <p style="text-align: center;">Table 1. Example of a Table</p>
Appendix	<ul style="list-style-type: none">• Use an Appendix for supplemental material• Give each Appendix a short, descriptive title• Use letters and numbers when numbering paragraphs within an Appendix; e.g., Appendix A, first paragraph would be A1.1.

CHAPTER 5

CHANGE AN EXISTING POLICY PUBLICATION

5.1. POLICY PUBLICATION CHANGE.

5.1.1. To maintain the currency of a policy publication, changes are encouraged at any time during the life-cycle of the policy publication. Only the authoring Component can make changes to their policy publication. When a change is proposed, the entire policy publication must be reviewed by the Component for accuracy, not just the part being changed. A change implies the entire policy publication is current as of the date of the change.

5.1.2. A policy may not be changed more than four times, and must be rewritten when the amount of content changed makes the presentation of information unnecessarily complex. The PPM will determine whether the changes warrant a rewrite of the policy.

5.1.3. The Component must verify:

- All references are still valid, titles are correct, and cite the latest version (date)
- Organizational entities and office names are accurate
- Each policy statement it is in-line with Agency policy
- Each responsibility is still required and appropriately assigned
- The process flowchart is in-line with Agency policy

5.1.4. Contact the PPM (PolicyProgramOffice@dcma.mil) to obtain the current version of the policy to be changed.

5.2. TYPES OF CHANGES.

5.2.1. Administrative Change. An administrative change that does not change the content of the policy may be made at any time. An administrative change does not affect the subject matter content, authority, purpose, application, and/or implementation of the policy publication. It only alters non-substantive portions of the policy publication such as dates of references, organizational names/symbols, contact information, or grammatical/formatting errors. Because this type of change is non-substantive, it does not require formal coordination or a new signature. However, GC review is required before posting. The PPM inserts a line under the basic date stating “*Administratively reissued, date*” and posts to the DCMA Policy Web site.

5.2.2. Substantive Change. A substantive change alters policy, applicability, responsibilities, purpose, procedures, information requirements, and implementation of the affected policy publication. The change requires formal coordination, approval by the Director, DCMA, and signature by the OPR Component Head. A change retains its original publication date. The PPM inserts a line under the original date stating “*Change 1, date signed*” after signature.

5.3. DOCUMENTING CHANGES.

5.3.1. Summary of Changes. A ***SUMMARY OF CHANGES*** is a brief statement which cites the purpose of the change. This summary will be in red italics and placed on the front cover page above paragraph 1, Purpose.

5.3.2. Use the font feature, not track changes, to delete text. ~~Delete unwanted/incorrect text with red, strikethroughs.~~ *Delete unwanted/incorrect text with the red, strikethrough font option. Deleted text appears before added text. Text changes or added text must be in red italics, followed by the change number (C1) in parenthesis at the end of the paragraph. C1 indicates it is Change 1 of the policy publication.*

CHAPTER 6

ANNUAL REVIEW

6.1. ANNUAL REVIEW.

6.1.1. An annual policy publication review must be made by the Component. The review determines if the policy publication should be rewritten, validated current, transferred to another Component, or canceled. The review ensures the policy is necessary, current, and consistent with DCMA policy, higher-level policies, existing law, and statutory authority.

6.1.2. The PPM provides a monthly report to the Components that lists each policy publication and the due date of the next annual review. The Component monitors the policy publications under their purview and keeps them current.

6.1.3. The Component considers the following during the annual review process:

- Is the policy publication effective as written or do improvements need to be made?
- Have deviations of the policy publication been issued?
- Does the process conform to latest Federal Acquisition Regulation (FAR)/Defense Federal Acquisition Regulation Supplement (DFARS)/DoD and other government regulation changes?
- Does the policy conform to other existing Agency policies?
- Are tools and training in place and operating sufficiently?
- Has the policy publication process flow changed?
- Is all the information located on the Policy Resource Web page current (tools, training requirements, certification references, POC, PLAS, forms, etc.)?
- Are there any organizational, resource, or performance management issues that may be affecting the execution of this policy publication?

6.2. VALIDATE CURRENT. During the annual review of the policy publication, the Component determines there are no changes to the policy publication. A Validate Current memo signed by the Component Head is issued to the PPM validating the policy publication current. (A Validation Memo template is located on the Policy Resource Web page.)

6.2.1. This memo may also identify any minor administrative changes required, such as correcting the title/date of a reference, updating organization names abbreviations, and correcting typographical/formatting errors.

6.2.2. Upon receipt of the memo, the PPM may incorporate the changes and minor corrections and mark the policy publication "*Validated Current*" and *date* in red italics underneath the original date of the publication. The PPM will coordinate the changes with GC prior to posting on the DCMA Policy Web site. The policy publication retains the original publication date and original signature, and is considered current for an additional year.

6.3. TRANSFER. The Component determines the policy publication should be transferred to another Component. To transfer a policy publication from one Component to another Component, a memo signed by both the gaining and losing Component Heads must be submitted to the PPM requesting the transfer. (A Transfer Memo template is located on the Policy Resource Web page.)

6.4. CANCEL. Cancelling a policy publication occurs when the Component determines that a policy publication is no longer needed, and/or is not appropriate for incorporation into a new or existing policy publication. The Component must coordinate with all Components prior to cancelling a Handbook or Instruction. The Component Head issues a Cancellation Memo to the PPM requesting the policy publication be removed from the DCMA Policy Web site and retired. (A Cancellation Memo template is located on the Policy Resource Web page.) NOTE: A policy publication referenced within an Instruction as being incorporated or canceled by another policy does not require a Cancellation Memo as policy approval is authority to cancel the policy publication.

CHAPTER 7

REQUEST FOR DEVIATION/WAIVER

7.1. PURPOSE.

7.1.1. A Request for Deviation or Request for Waiver is a specific written authorization to depart from a particular requirement(s) of a current approved policy publication. A deviation/waiver may be authorized to carry out certain provisions and procedures due to unique operating conditions. A deviation/waiver allows operating elements to more closely align themselves with their customer's needs.

7.1.2. Deviation. A deviation is a temporary departure from the policy publication and is limited to a specific time period.

7.1.3. Waiver. A waiver is a permanent departure from the policy publication.

7.1.4. A Contract Management Office (CMO), Center, Operational Directorate, or headquarters Directorate develops a deviation/waiver request on an as-needed basis. Requestors are encouraged to consult with the Component with Primary Responsibility (CPR) for the policy and GC during the deviation/waiver development.

7.2. REQUEST FOR DEVIATION/WAIVER - DCMA POLICY PUBLICATIONS.

7.2.1. Request process:

7.2.1.1. The office requesting the deviation/waiver to policy should forward the request through their chain of command to their Component Head (CMOs through their Region, to the Chief Operations Officer), with endorsement at each level. The requesting Component Head will then forward the request to the CPR.

7.2.1.2. The CPR will either approve or reject the request.

7.2.1.2.1. Approve. The CPR Component Head approves the request to deviate/waive from current policy.

7.2.1.2.2. Reject. If the CPR Component Head rejects the deviation/waiver request, they must provide written justification for the rejection. The requesting Component Head may, with a recommendation (review) of GC, appeal to the Director, DCMA.

7.2.2. Deviation/waiver requests and endorsements up to the CPR Component Head will be transmitted via standard memos and will include the following elements:

7.2.2.1. Policy. What policy is impacted by the deviation/waiver? (List policy title, policy number, and specific paragraph numbers.)

7.2.2.2. Deviation/waiver. Describe the change from the original intent.

7.2.2.3. Justification. Provide rationale to deviate/waiver from the policy. List benefits to be gained by granting the deviation/waiver, as well as plans for mitigating any risks.

7.2.2.4. Effective Period. For a deviation (temporary), show the beginning and ending dates. For a waiver (permanent), show the beginning effective date.

7.2.2.5. Attach a copy of the current policy publication to the memo, along with any pertinent background documentation.

7.3. REQUEST FOR DEVIATION/WAIVER – HIGHER-LEVEL GOVERNING REGULATIONS (FAR, DFARS, DoD DIRECTIVES/INSTRUCTIONS, ETC.).

7.3.1. If the deviation/waiver would impact only one existing contract, the procuring contracting officer of the affected contract must be provided a copy of the proposed deviation/waiver for his/her concurrence before submitting the request. Requests must be made in accordance with FAR 1.403 (Reference (j)), DFARS 201.402 (Reference (k)), and DFARS 201.403 (Reference (l)).

7.3.2. Requests for Class deviations/waivers from the FAR or DFARS must be made in accordance with FAR 1.404 (Reference (m)), DFARS 201.402 (Reference (k)), and DFARS 201.404 (Reference (n)).

7.3.3. Requests for deviation/waiver from DoD Directives or other higher level regulations/directives, those of the Military Services or other Agencies, or DCMA instructions with specific deviation/waiver requirements, must be developed in accordance with those specific instructions in the applicable directive and must also include the type of information noted in paragraph 7.2 above.

7.3.4. The requesting Component must:

7.3.4.1. Add additional information to a request that is required by the governing document for the deviation/waiver (e.g., for a FAR or DFARS deviation request, the requesting Component will add information that is required by DFARS 201.402 (Reference (k))).

7.3.4.2. Coordinate requests for deviation/waiver from FAR and DFARS with GC and the DCMA Defense Acquisition Regulation Council representative (DCMA-AQCD) before seeking endorsement/ approval from the Head of the Contracting Activity.

7.4. APPROVED DEVIATION/WAIVER.

7.4.1. The CPR provides the original, approved, or rejected deviation/waiver request to the PPM to file in the policy publication official record set file. The PPM posts the approved deviation/waiver in the Deviation/Waiver Log located on the Policy Program Resource Web

page Web site. The CPR is responsible for communicating the disposition of deviation/waiver requests to the requesting Component.

7.4.2. The CPR provides the requesting official with a copy of the approved deviation/waiver.

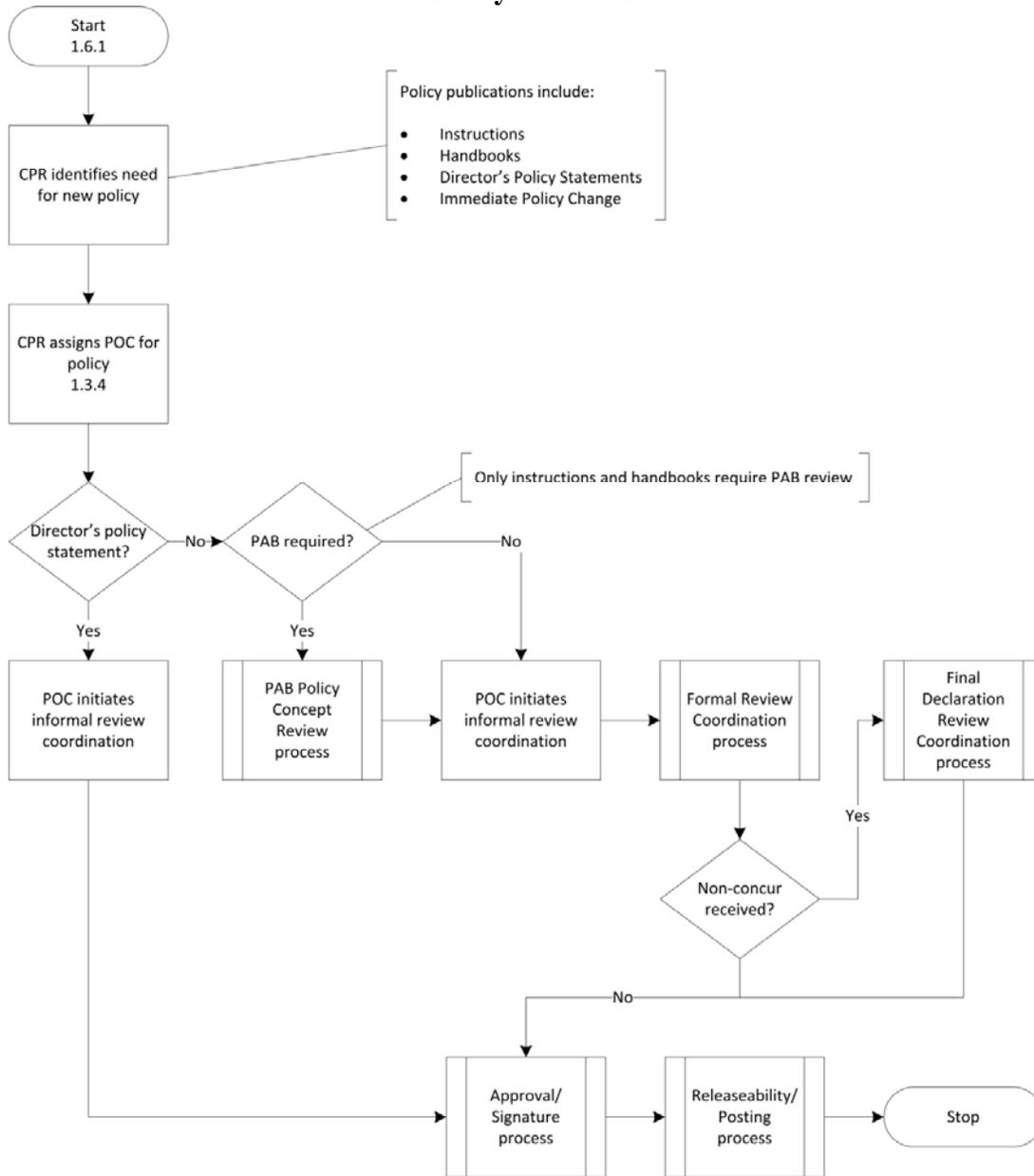
7.4.3. Deviation/Waiver Expiration Date. The approved deviation remains in effect through the effective period specified in the documentation granting the deviation, or until the CPR cancels it in writing or the policy is rewritten.

7.5. DEVIATION/WAIVER REGISTER. A deviation/waiver register will be available on the Policy Program Resource Web page.

APPENDIX A

POLICY PROGRAM PROCESS FLOWCHARTS

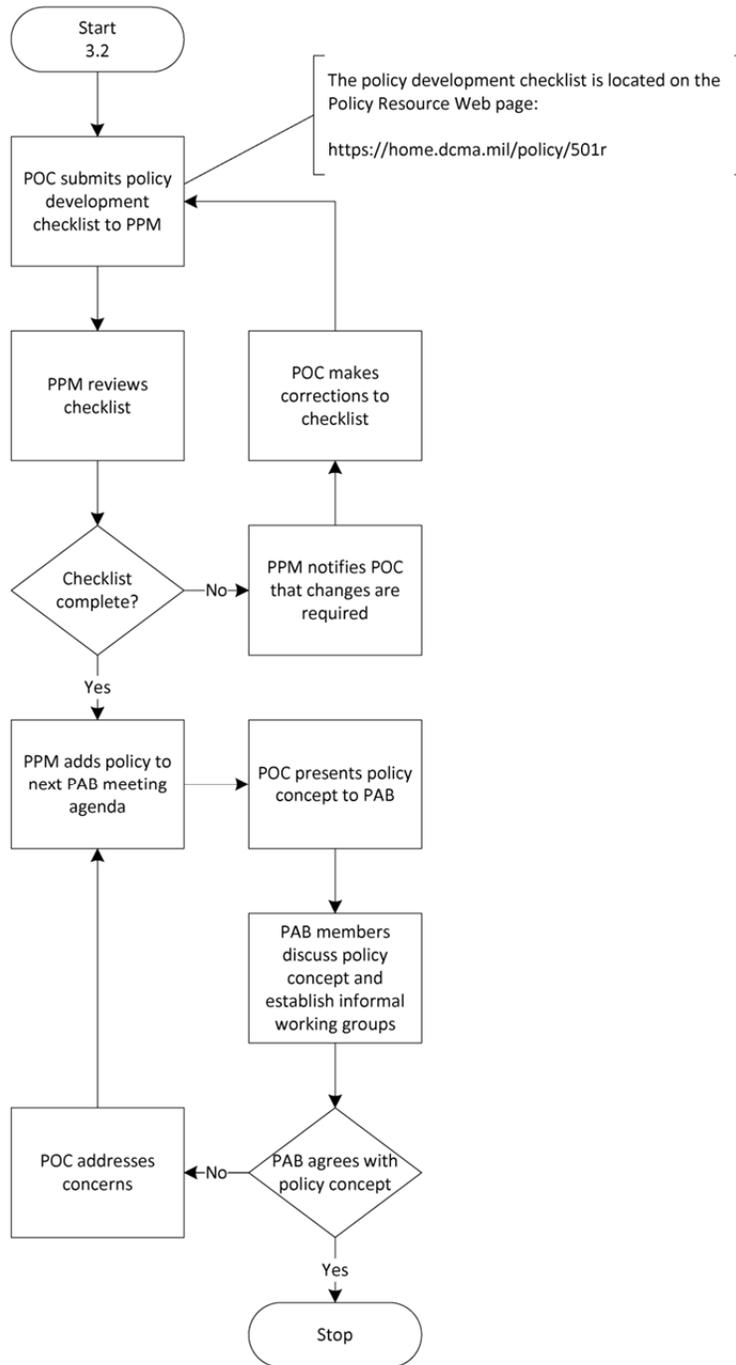
New Policy Process Flow



Process Diagram | New Policy

LEGEND
 PAB: Policy Advisory Board
 PPM: Policy Program Manager
 CPR: Component with Primary Responsibility
 POC: Point of Contact

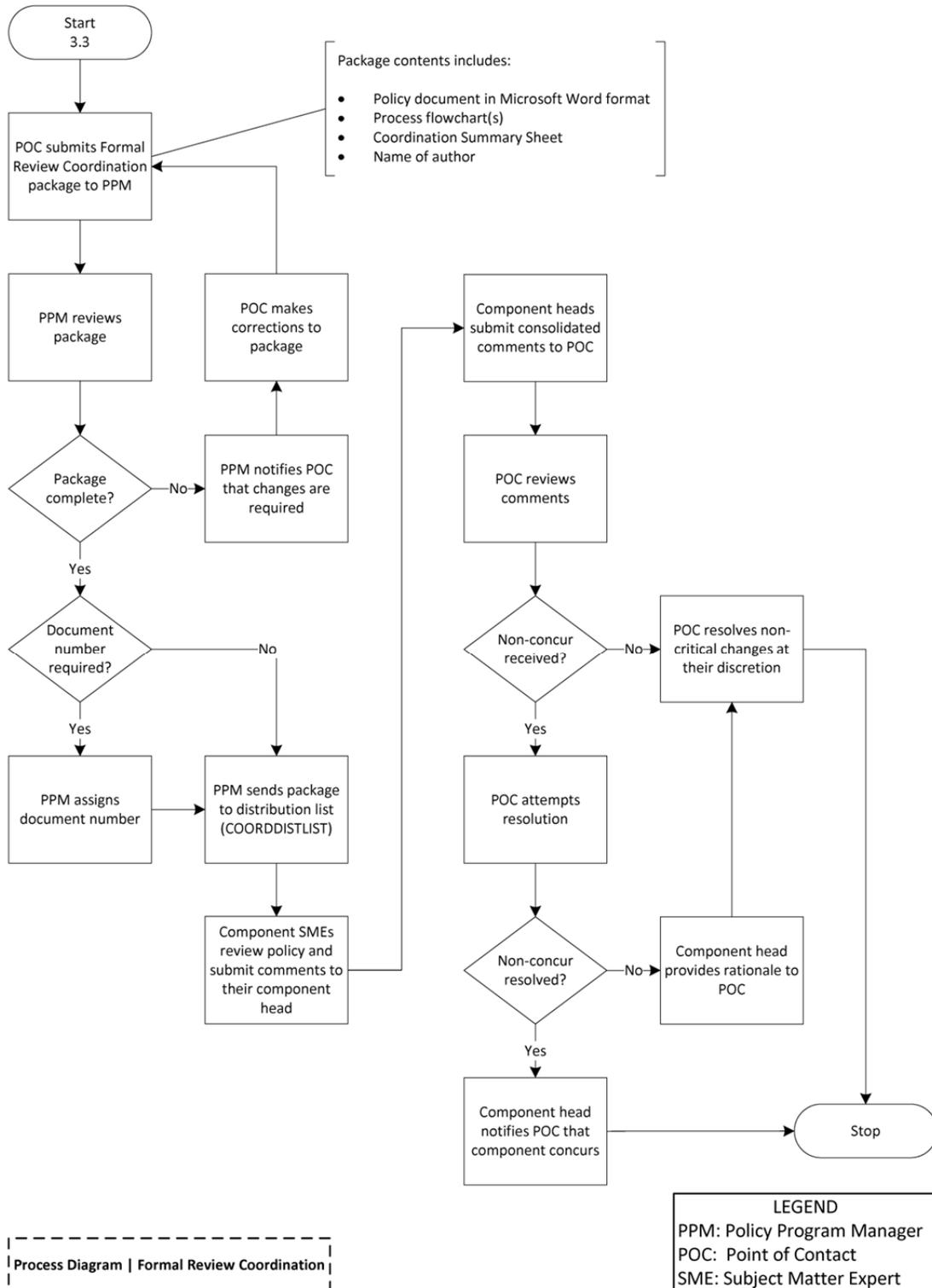
PAB Policy Concept Review Process Flow



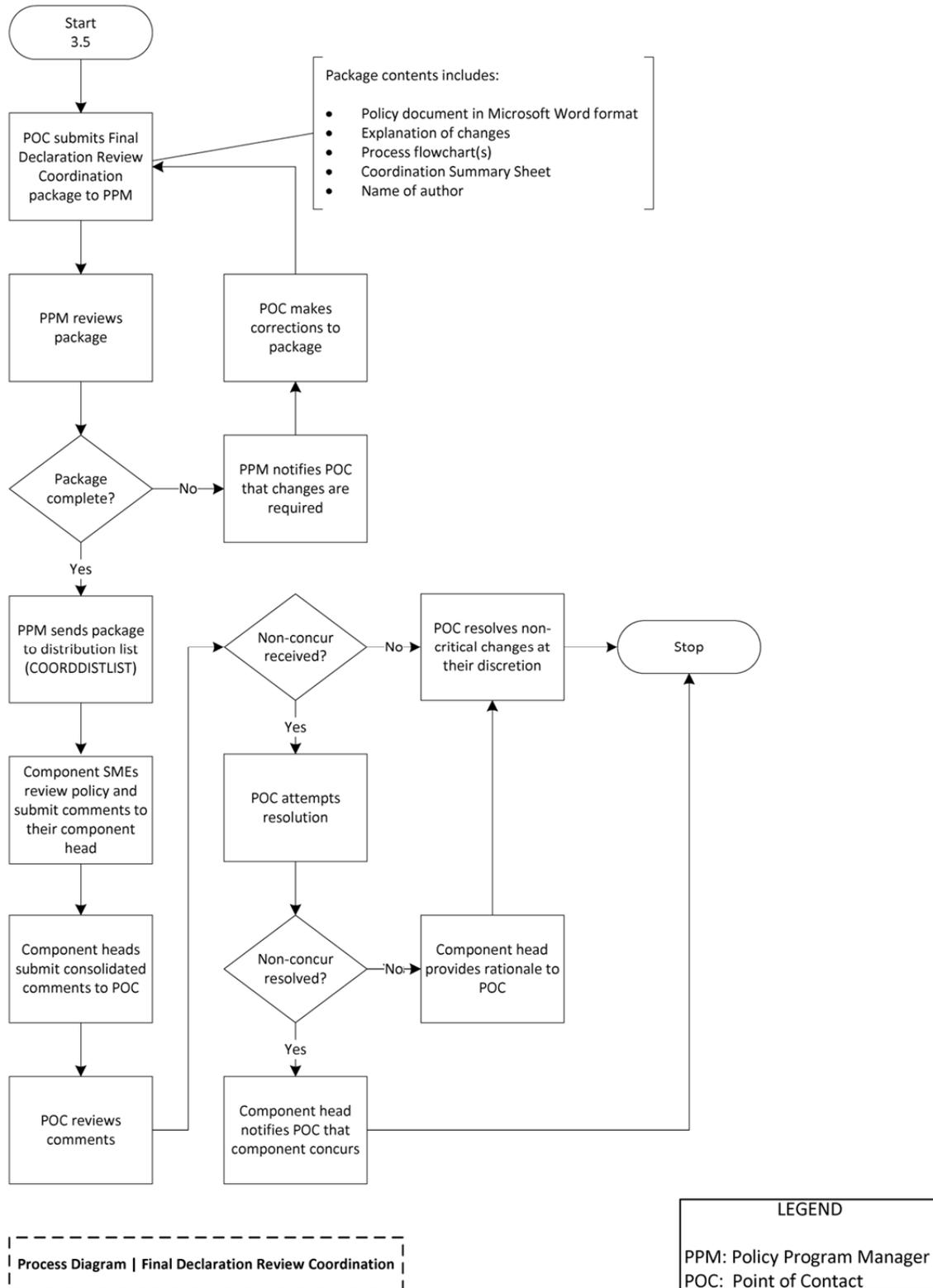
Process Diagram | PAB Policy Concept Review

LEGEND
 PAB: Policy Advisory Board
 PPM: Policy Program Manager
 POC: Point of Contact

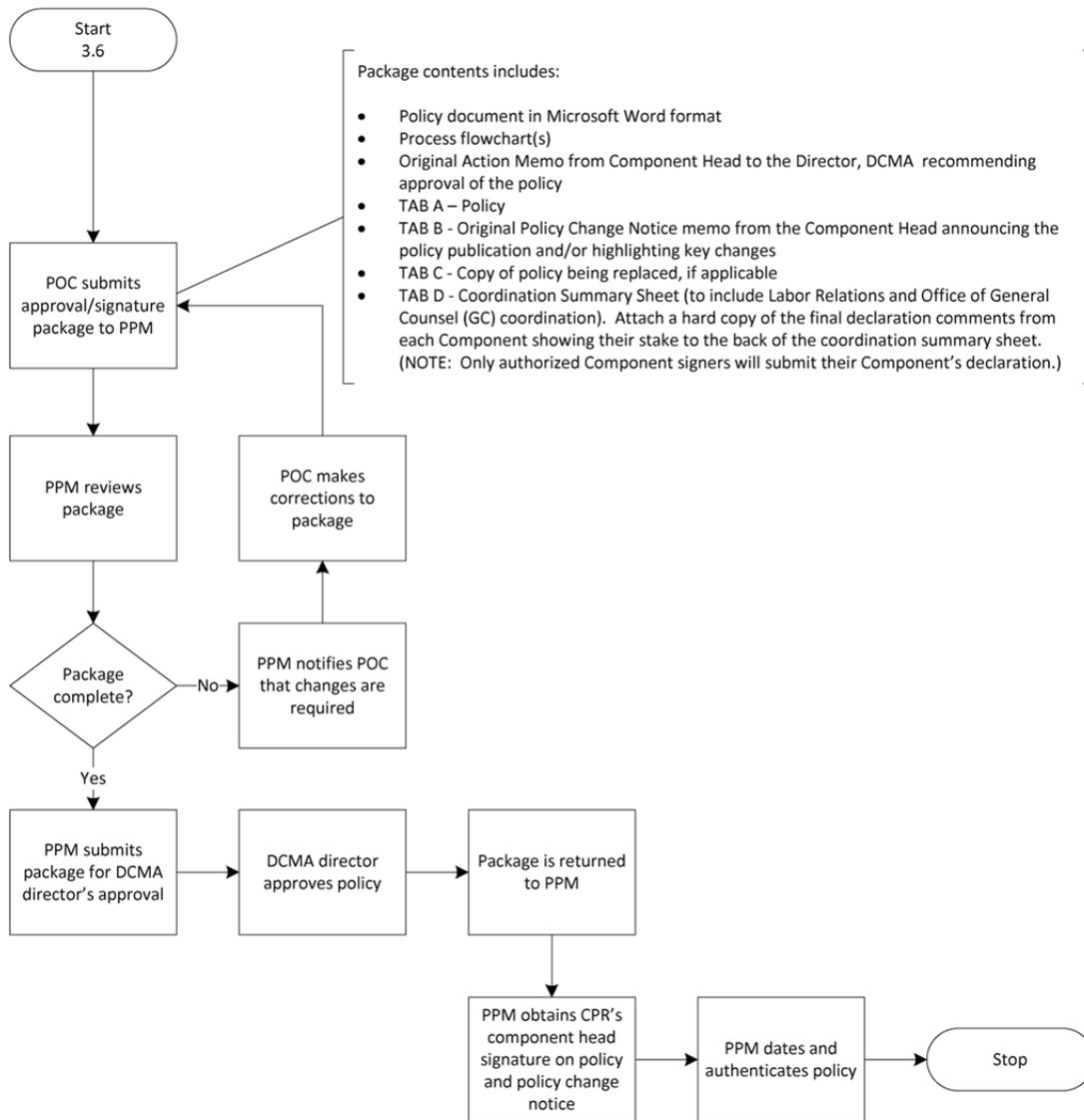
Formal Review Coordination Process Flow



Final Declaration Review Coordination Process Flow



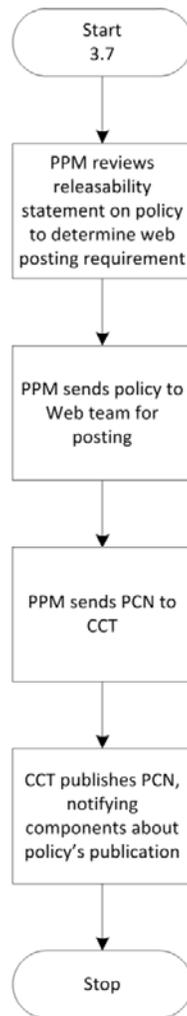
Approval/Signature Process Flow



Process Diagram | Approval/Signature

LEGEND
 PPM: Policy Program Manager
 CPR: Component with Primary Responsibility
 POC: Point of Contact

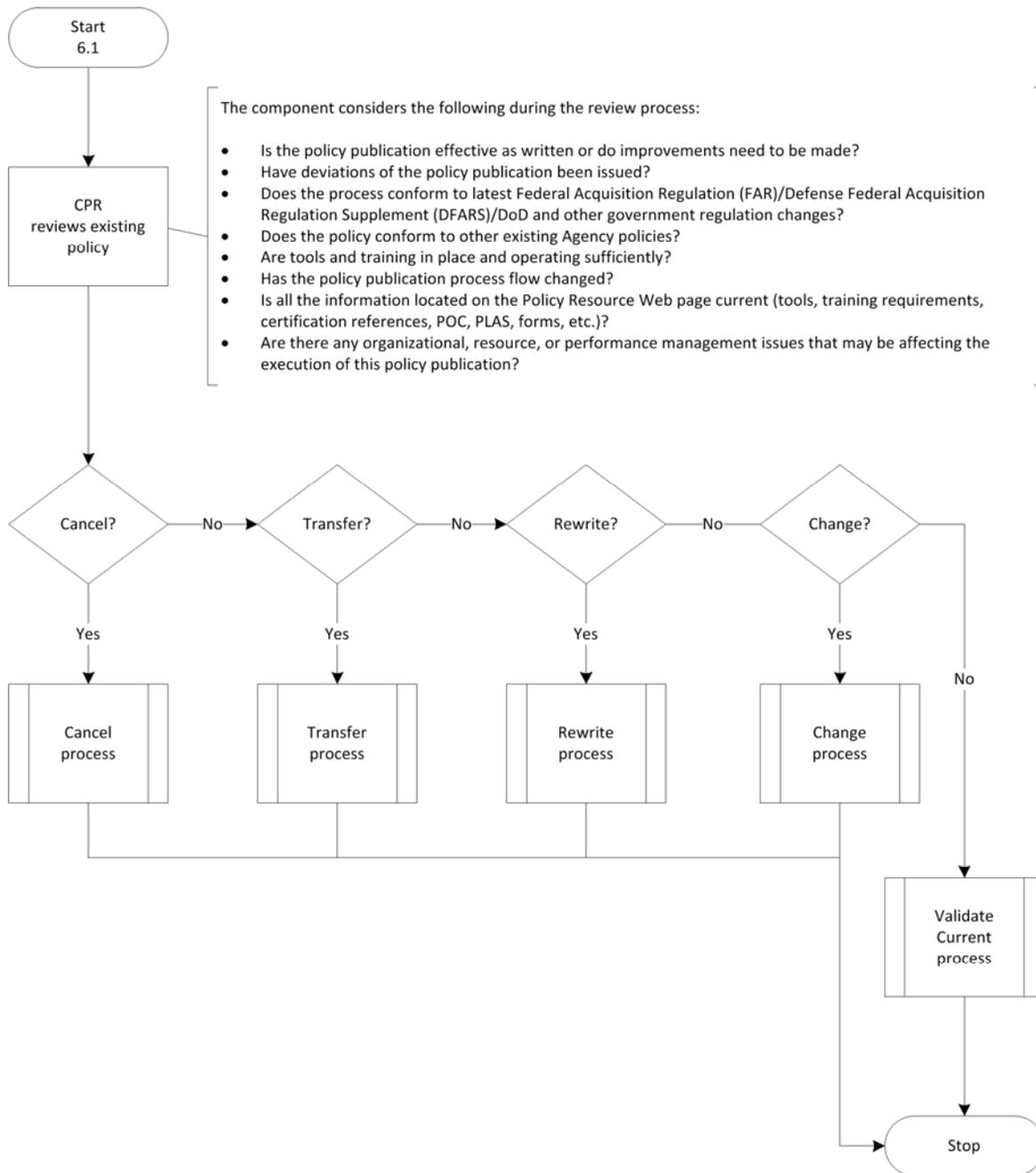
Releasability/Posting Process Flow



Process Diagram | Releasability/Posting

LEGEND
PPM: Policy Program Manager
CCT: Correspondence Control Team
PCN: Policy Change Notice

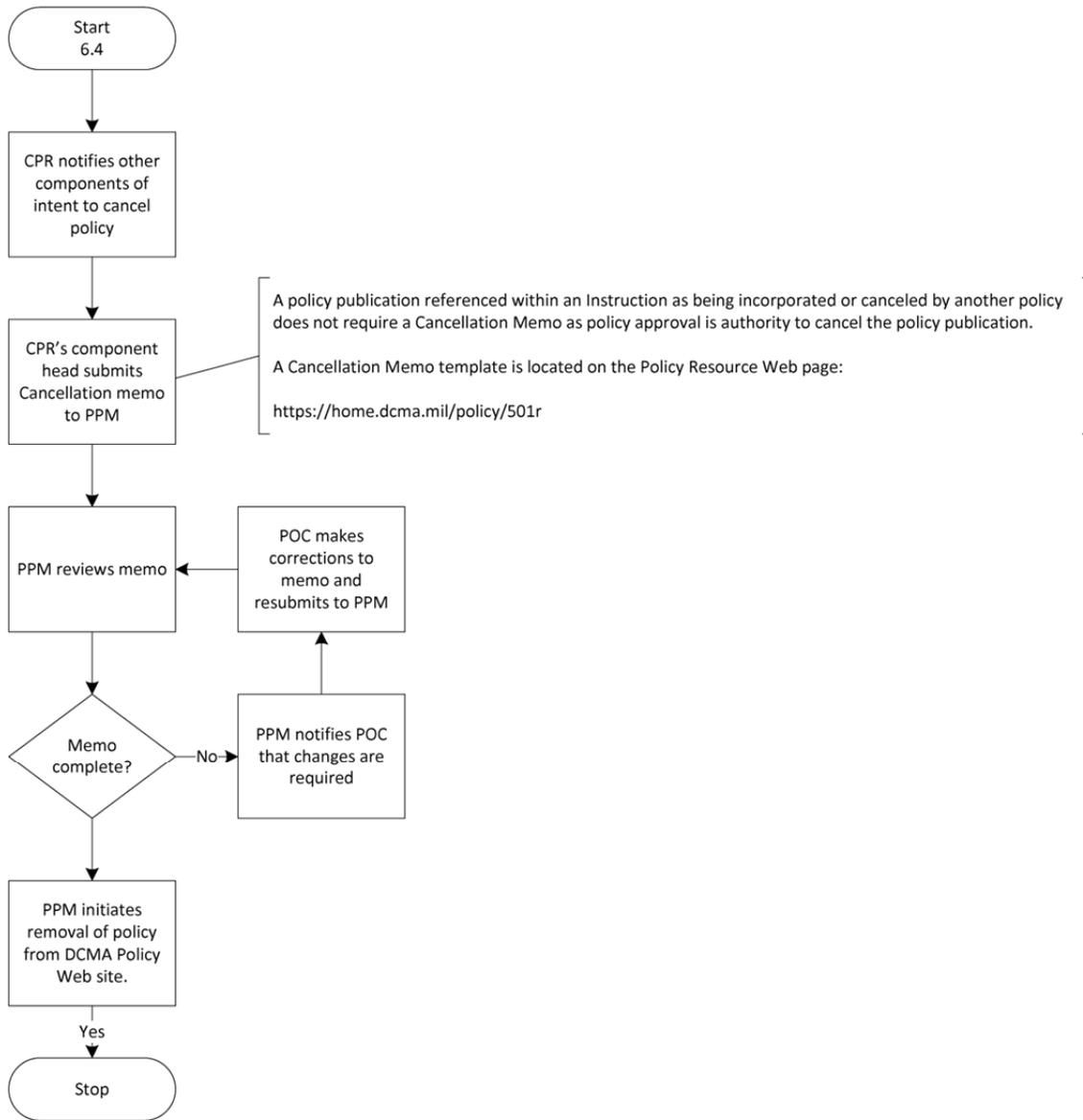
Annual Review Process Flow



Process Diagram | Review

LEGEND
 CPR: Component with Primary Responsibility

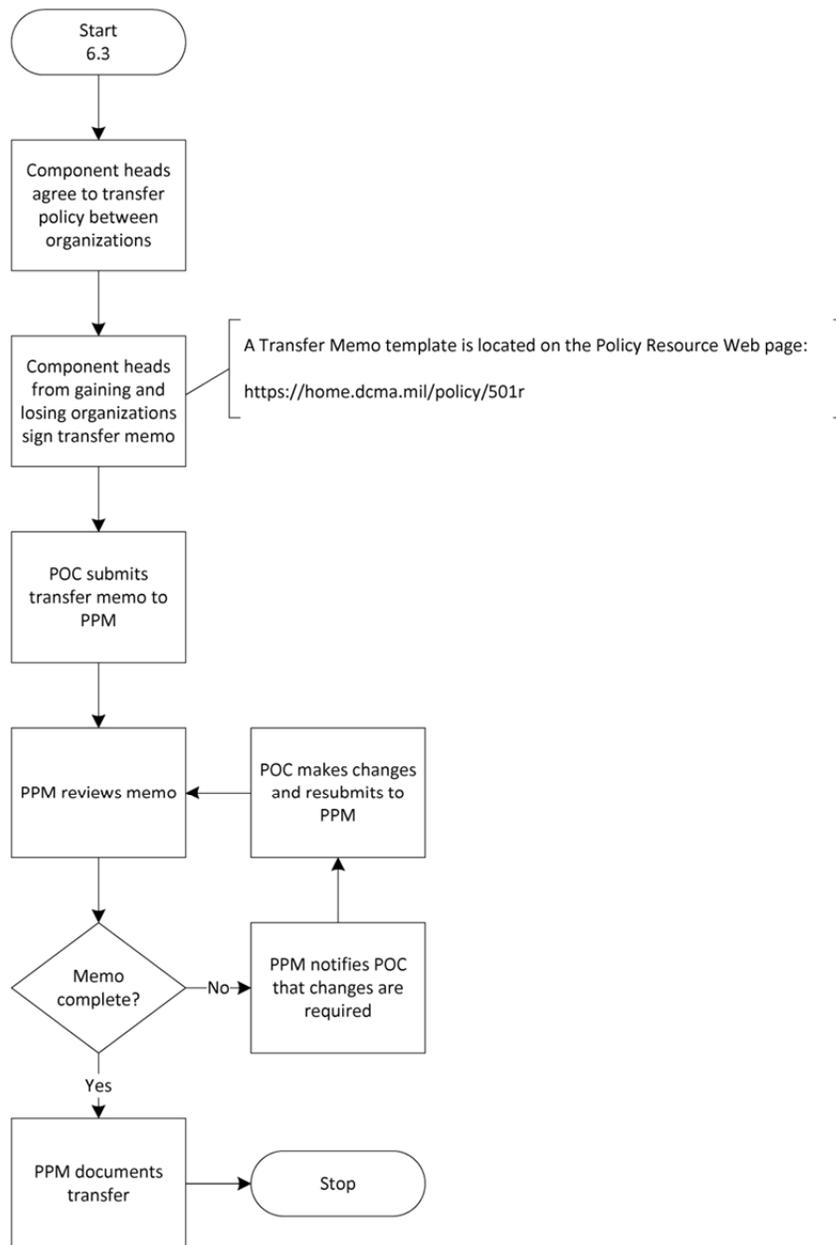
Cancel Process Flow



Process Diagram | Cancel

LEGEND
 PPM: Policy Program Manager
 CPR: Component with Primary Responsibility
 POC: Point of Contact

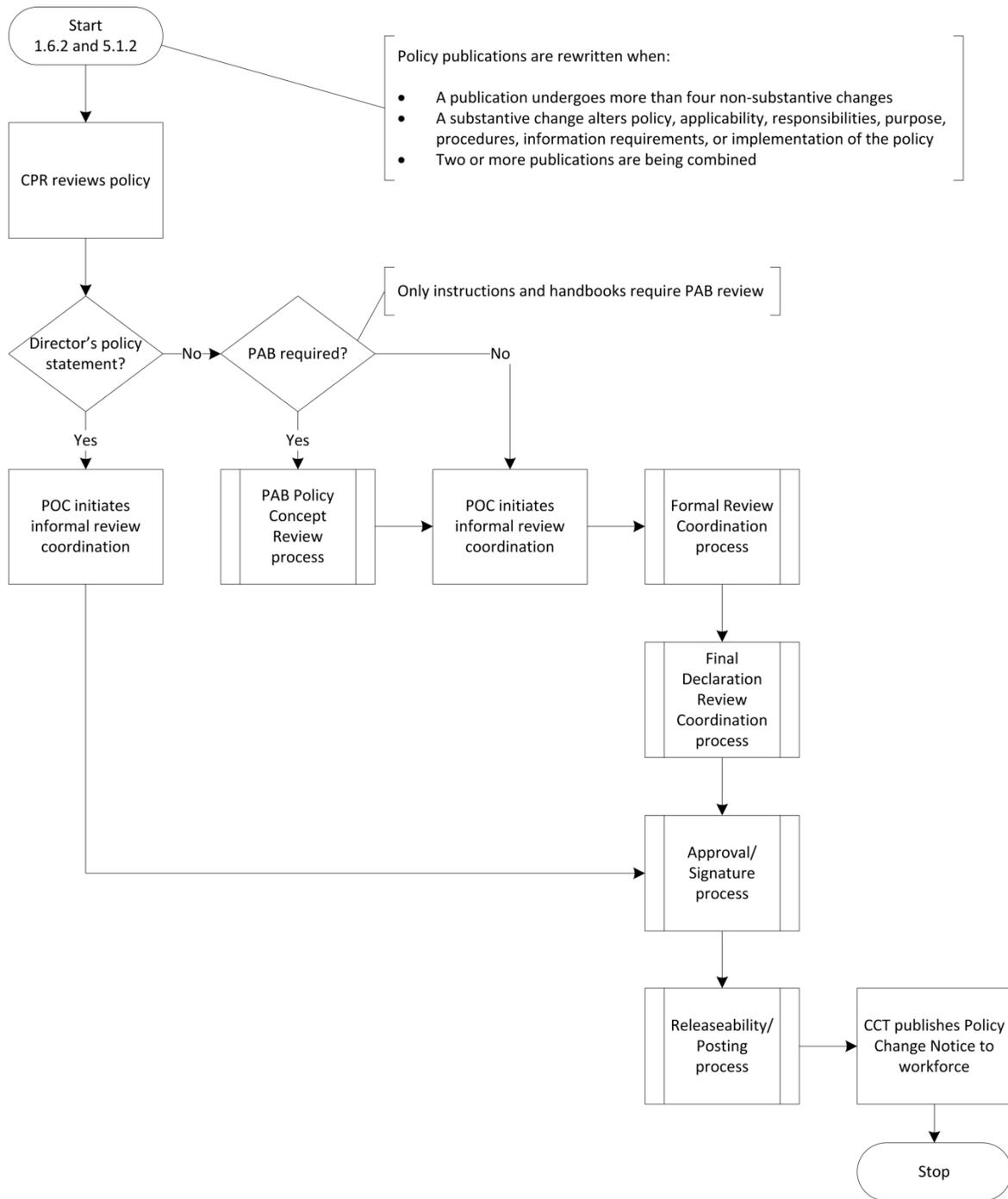
Transfer Process Flow



Process Diagram | Transfer

LEGEND
PPM: Policy Program Manager
POC: Point of Contact

Rewrite Process Flow

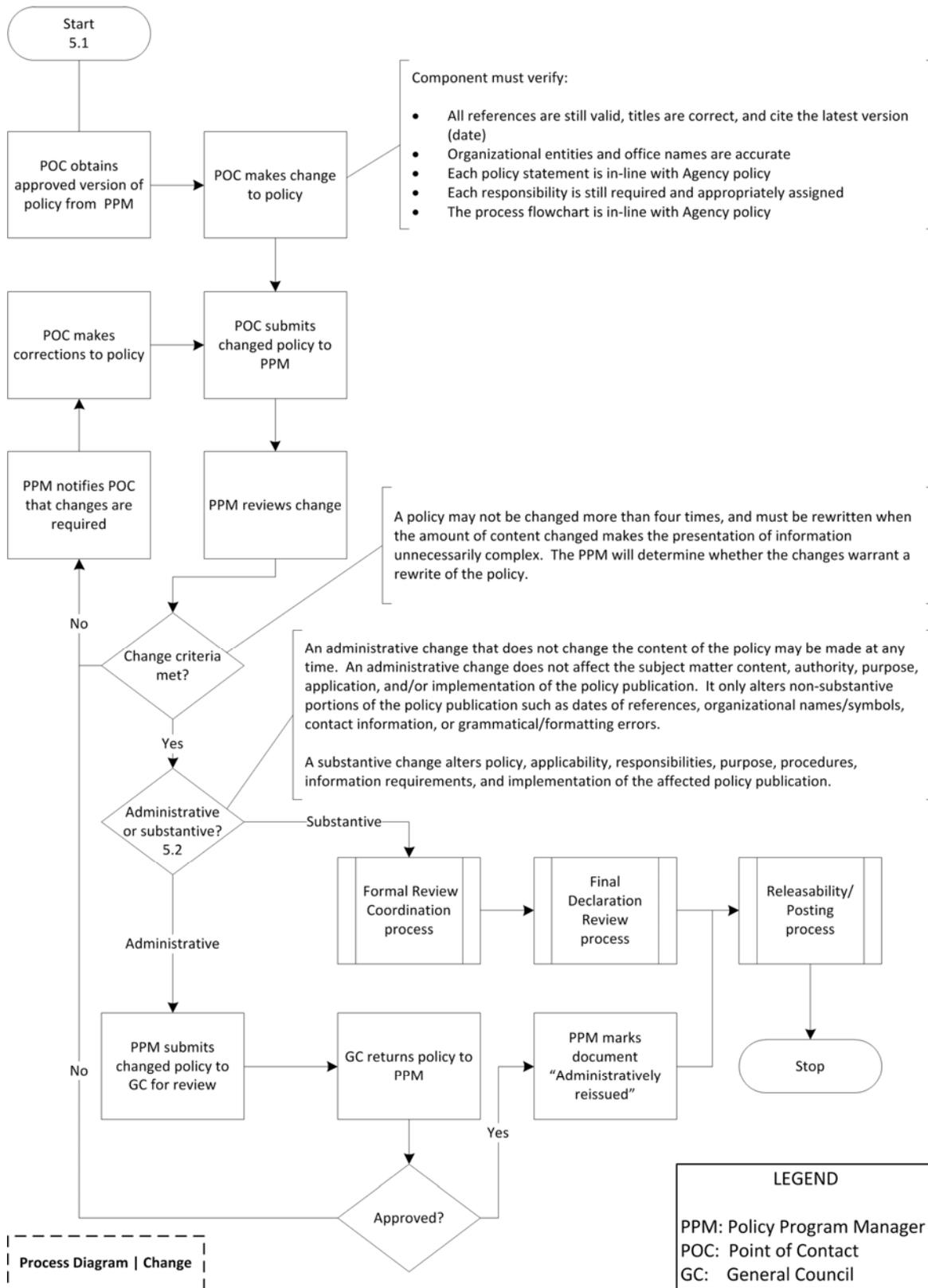


Process Diagram | Rewrite

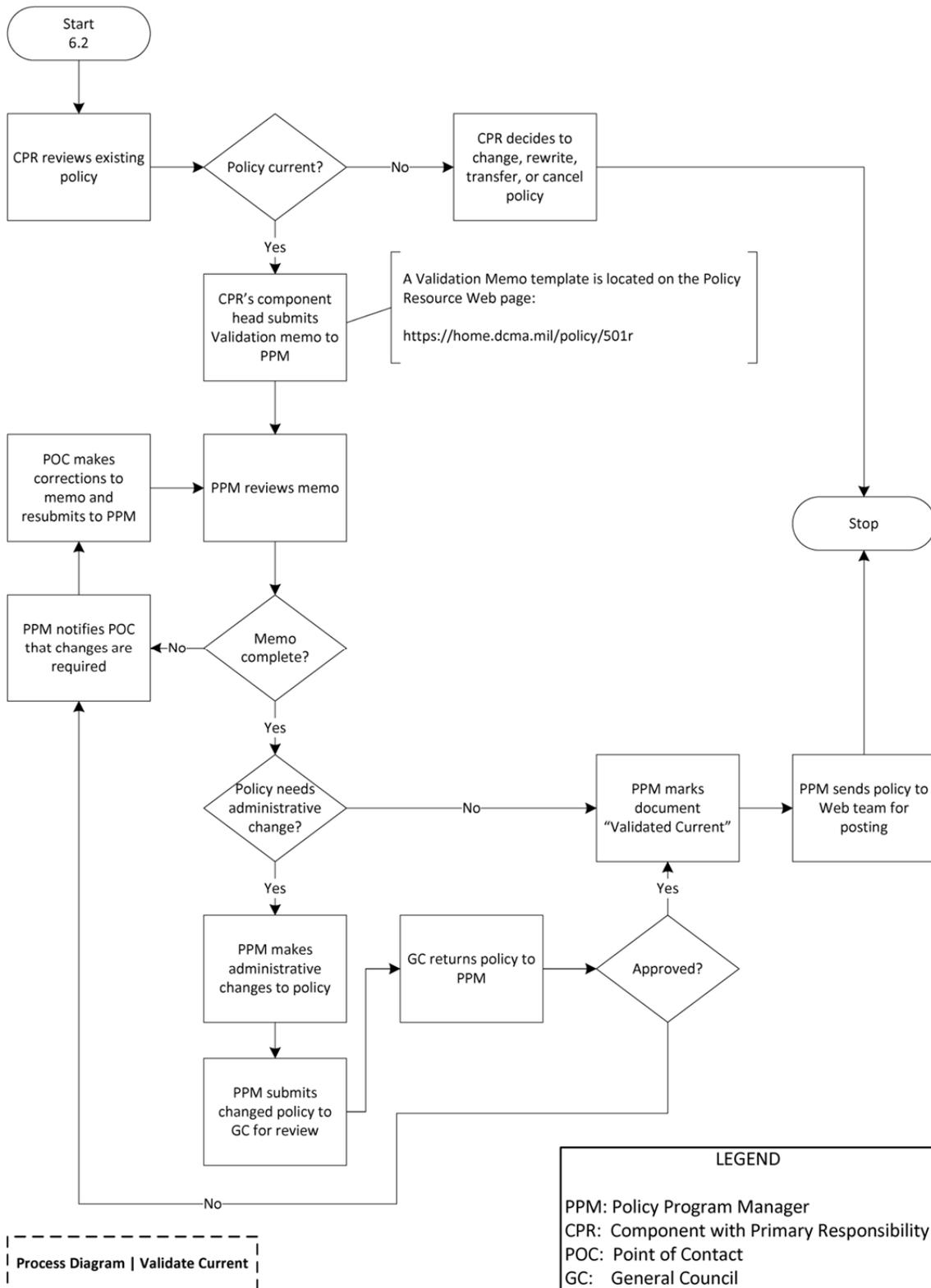
LEGEND

- PAB: Policy Advisory Board
- PPM: Policy Program Manager
- CPR: Component with Primary Responsibility
- POC: Point of Contact
- CCT: Correspondence Control Team

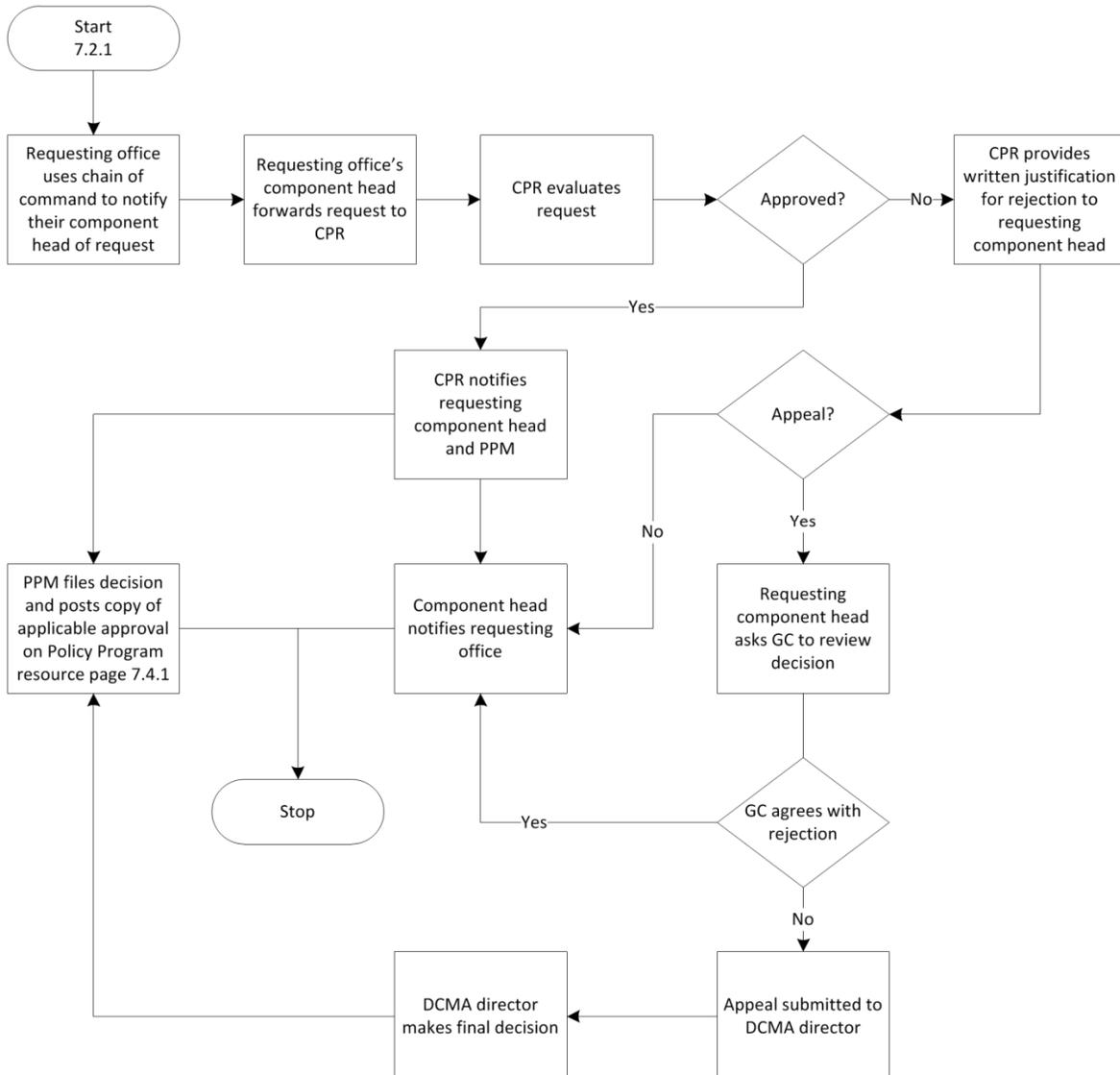
Change Process Flow



Validate Current Process Flow



Request for Deviation/Waiver Process Flow



Process Diagram | Request for Deviation/Waiver

LEGEND
 PPM: Policy Program Manager
 CPR: Component with Primary Responsibility
 POC: Point of Contact

APPENDIX B

POLICY PUBLICATION PROCESS STEPS

Steps	Action Taken
<p><u>STEP 1</u> Policy Advisory Board (PAB) Review</p>	<ol style="list-style-type: none"> 1. The PAB reviews all policy publications (new and rewritten). 2. Authoring Component prepares a Policy Development Checklist for their Component Head's endorsement. 3. Component Head authorizes submission for PAB review. 4. Authoring Component submits the Policy Development Checklist to PPM on or before the first business day of the month at PolicyProgramOffice@dcma.mil. 5. Component presents policy concept to PAB. 6. Participating Components assign working-level action officers to work with authoring Component in developing policy publications, if needed.
<p><u>STEP 2</u> Formal Review Coordination</p>	<ol style="list-style-type: none"> 1. Component prepares and submits package for their Component Head's endorsement. 2. Component Head reviews and approves release for formal review Coordination. 3. Component provides the formal review coordination package to PPM at PolicyProgramOffice@dcma.mil: <ul style="list-style-type: none"> • Electronic copy of policy (MS Word) • Electronic Process Flow(s) • Coordination Summary Sheet • POC for receiving coordination comments 4. PPM reviews package and returns to the authoring Component for corrections/edits, if needed. 5. PPM issues package via COORDDISTLIST for formal review by Component Heads, giving a 10 business day suspense to respond back to the identified POC. Coordinating Component Heads submit their Component's consolidated comments via email to the POC by the designated suspense date. 6. Coordinating Component Heads submit Component's consolidated comments via email to the POC by the designated suspense date. 7. Authoring Component adjudicates comments. 8. Authoring Component prepares final declaration review coordination Package. 9. NOTE: If all coordinating Components submit a response of "concur" or "no stake," a final declaration coordination is NOT needed. Go to Step 4.

Steps	Action Taken
<p><u>STEP 3</u> Final Declaration Coordination</p>	<ol style="list-style-type: none"> 1. Component prepares and submits package for their Component Head's endorsement. 2. Component Head reviews and approves release for final declaration Coordination. 3. Authoring Component provides package to PPM at PolicyProgramOffice@dcma.mil: <ul style="list-style-type: none"> • Electronic copy of policy (MS Word) • Explanation of changes • Electronic Process Flow(s) • Coordination Summary Sheet • POC for receiving coordination comments 4. PPM reviews package and returns to the authoring Component for corrections/edits, if needed. 5. PPM issues package via COORDDISTLIST for final declaration review by Component Heads giving a 10 business day suspense to respond back to the identified POC. 6. Coordinating Component Heads reply to POC via email with "concur," "non-concur," or "no stake." If "non-concur," provide an Explanation. 7. If policy changes are made, the authoring Component Head determines if a second final declaration review is needed (giving a 5 business day suspense review timeframe). 8. Authoring Component prepares signature package.
<p><u>STEP 4</u> Signature Package</p>	<ol style="list-style-type: none"> 1. Authoring Component prepares and submits signature package for their Component Head's endorsement. 2. Component Head signs Action Memo requesting Director, DCMA Approval. 3. Component submits of the following to the PPM at PolicyProgramOffice@dcma.mil: <ul style="list-style-type: none"> • Policy (MS Word) • Process Flow(s) 4. Submit a Signature Package folder with the following: <ul style="list-style-type: none"> • Original Action Memo from Component Head to the Director, DCMA requesting approval to release policy • TAB A - Policy • TAB B - Original Policy Change Notice memo from the authoring Component Head announcing the policy publication and/or highlighting key changes • TAB C - Copy of policy publication being replaced, if applicable • TAB D - Coordination Summary Sheet (to include Labor Relations and Office of General Counsel (GC) coordination). Attach a hard copy of the final declaration comments from each Component showing their stake to the back of the coordination summary sheet. (NOTE: Only authorized Component signers can submit their Component's declaration.)

	<ol style="list-style-type: none">5. PPM conducts final edit review.6. PPM ensures requirements are met to authenticate the policy.7. PPM submits package to CCT for Director's approval.8. After Director's approval, PPM obtains signature from authoring Component Head.
<u>STEP 5</u> Releasability, Notification, File	PPM: <ul style="list-style-type: none">• Dates policy• Posts policy to DCMA Policy Web site• Issues Component's Policy Change Notice notification• Files in permanent record set file

GLOSSARY

DEFINITIONS

Action Memo. A memo addressed from a Component Head to the Director, recommending a course of action (i.e., approving and signing a policy publication).

Administrative Change. Change that does not affect the subject matter content, authority, purpose, application, and/or implementation of the policy publication (e.g., references, changing the POC name, office symbol(s), fixing grammar/misspellings). GC review is required before posting.

Administrative Comments. Administrative comments address typographical, grammatical, or formatting errors that do not change the content of the policy publication.

Approval Authority. Component Heads responsible for contributing to and implementing policies and guidance/procedures pertaining to his/her functional area.

Cancel a Policy Publication. The Component determines that a policy publication has served the purpose for which it was intended, is no longer needed, and/or is not appropriate for incorporation into a new or existing policy publication. A memo is issued to the PPM cancelling the policy publication.

Component. An organization within DCMA whose leader reports directly to the Director, DCMA.

Component Head. The leader of a DCMA organization that reports directly to the Director, DCMA.

Concur. Component agrees to the contents within the policy publication from a functional perspective. Comments may be submitted that are meant to improve the clarity and correctness of the policy publication.

COORDDISTLIST. An email list for sending out coordination requests to the standard group of coordinating offices (Components). The list is maintained by the CCT.

DCMA Policy Publications. The DCMA policy publications consist of instructions, handbooks, immediate policy changes, and DPS.

DCMA Policy Program. A single, uniform program that the DCMA Components use to develop, coordinate, approve, publish, and review DCMA policy publications.

Deviation. A deviation is a temporary departure from the policy and is limited to a specific time period.

Director's Policy Statement (DPS). A DPS provides key guidance to how the Agency performs its critical mission. It's the Director's vehicle for communicating critical policy throughout the Agency.

Handbook. A Handbook is usually supplementary to an Instruction, and sets forth detailed procedures or guidance not expressed in an Instruction. A Handbook should be used when a single reference guide for a function or process is preferable to including detailed guidance on multiple processes in the parent Instruction. Handbooks are flexible in format and may present various types of information, such as mandatory requirements, detailed procedures, quick-reference guidance, or other information.

Immediate Policy Change. An Immediate Policy Change is interim guidance that serves the same purpose of an Instruction but is issued only for time-sensitive, urgent actions (an immediate change) that affect current policy or that will become DCMA policy. An Immediate Policy Change expires 180 days from the date of signature or update incorporation into an existing policy publication, conversion to a new policy, or cancellation; whichever is earlier.

Internal Control. The organization, policies, and procedures that help program and financial managers to achieve results and safeguard the integrity of their programs by reducing the risk of adverse activities.

Instruction. An Instruction is the Agency's primary policy document type and is used to establish broad policy, assign roles and responsibilities, and set forth instructions or procedures for functions and processes outside the immediate authority of a single Component.

No Stake. A Component Head responds to a request for coordination but does not concur, non-concur, or comment. This response signifies the Component has reviewed the policy publication even though the subject matter does not directly impact their office.

Non-concur. Major deficiencies are noted that will preclude final approval of the policy publication. The coordinating Component specifies which comments are grounds for the non-concurrence and works with the Agency policy lead to resolve the issues. Critical comments that result in a non-concurrence must be resolved between the concerned parties before a policy publication is signed.

Office of Primary Responsibility (OPR). The Component who owns the policy publication; the author of the publication (Agency policy lead) is an individual within the OPR. OPRs are solely responsible for the accuracy, currency, and integrity of their policy publications.

Pamphlet. A pamphlet is used to provide additional clarifying information, best practices, or other guidance pertaining to existing policies or functions. Pamphlets may include important advice and ideas on how to improve performance while consistently executing the policy.

Point of Contact (POC). The individual (Agency policy lead) designated by the OPR to meet all OPR responsibilities.

Policy. A statement of important, high-level direction that guides decisions and actions throughout DCMA. Policy translates the ideas, goals, or principles contained in the mission, vision, and strategic plan into actionable policies.

Procedure. Specific guidance that implements policy; establish a process to complete a task, project, or execute a program.

Policy Advisory Board (PAB). The Policy Advisory Board (PAB) reviews all policies (new, rewritten, or changes). The PAB ensures appropriate working-level coordination and cross-functional integration of policy publications prior to formal coordination.

Policy Resource Web Page. A component maintained Web site containing policy information relating to a particular policy publication. It contains all pertinent hyperlinks to the policy to include additional guidance, tools, related correspondence/memos, training, point of contact, forms, templates, higher level statutory/regulatory documents, competencies/certifications, performance metrics/ standards, etc.

Releasability – Restricted. The policy publication is NOT approved for public release and will be placed on the DCMA Intranet Web site.

Releasability – Unlimited. The policy publication is approved for public release and will be placed on the DCMA Internet Web site. Unlimited policies will also be linked to the DCMA Freedom of Information Act (FOIA) Electronic Reading Room.

Substantive Change. A substantive change alters the policy publication, applicability, responsibilities, purpose, procedures, information requirements, and implementation of the affected policy publication. The change requires formal coordination and is signed by the Director.

Supersede. Replacement of one document with another document.

Transfer a Policy Publication. To transfer a policy publication from one Component to another Component, a memo signed by both the gaining and losing Component Heads must be submitted to the PPM requesting the transfer.

Validate Current. At the completion of the annual review, the Component determines there are no changes to the policy publication. A memo must be issued to the PPM validating the policy publication current.

Waiver. A waiver is a permanent department from the policy.

GLOSSARY

ACRONYMS

CCT	Correspondence Control Team
CMO	Contract Management Office
COORDDISTLIST	Coordination Distribution Email List
CPR	Component with Primary Responsibility
DCMA-HBK	DCMA Handbook
DCMA-INST	DCMA Instruction
DCMA-PAM	DCMA Pamphlet
DFARS	Defense Federal Acquisition Regulation Supplement
DPS	Director's Policy Statement
EEO	Equal Employment Opportunity
FAR	Federal Acquisition Regulation
GC	Office of General Counsel
HC	Human Capital
HQ	headquarters
IPC	Immediate Policy Change
OPR	office of primary responsibility
PAB	Policy Advisory Board
PLAS	Performance Labor Accounting System
POC	point of contact
PPM	Policy Program Manager
PPO	Policy Program Office
SOP	Standard Operating Procedures