



DCMA Manual 3201-02

Corporate Assessment

Office of Primary Responsibility	Corporate Assessment Capability
Effective:	April 22, 2020
Releasability:	Cleared for public release
Implements:	DCMA-INST 3201, "Corporate Integration," December 21, 2017, as amended
Reissues and Cancels:	DCMA-MAN 3201-02, "Corporate Assessment," June 14, 2019, as amended
Internal Control:	Process flow and key controls are located on the Resource Page
Labor Codes:	Located on the Resource Page
Resource Page Link:	https://360.intranet.dcmsa.mil/Sites/Policy/CA/SitePages/3201r.aspx
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Purpose: This issuance, in accordance with the authority in DoD Directive 5105.64, "Defense Contract Management Agency (DCMA)":

- Incorporates Business Capability and DCMA Strategic Plan as it pertains to Integrating Capability – Corporate Assessment
- Implements policy established in DCMA Instruction 3201
- Provides and defines procedures for corporate assessment commercial and government entity code lists, corporate metrics, and corporate assessment work products
- Establishes corporate assessment working group, corporate assessment working group leads or leaders, and co-leads, and corporate integrator leads

SUMMARY OF CHANGES

This Manual has been rewritten. The following identifies the most notable changes:

- Removed references to the term Basic Element of Information
- Removed Section 4: Basic Element of Information Change Control
- Removed Section 5: Basic Element of Information Refresh
- Included additional guidance on official Commercial And Government Entity code lists used for Corporate Assessments
- Provided additional guidance on Corporate Metrics and Corporate Assessment Work Products

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SECTION 1: GENERAL ISSUANCE INFORMATION

1.1. APPLICABILITY. This issuance applies to all DCMA organizational elements implementing corporate assessment (CA) requirements unless higher-level regulations, policy, guidance, waiver, or agreements take precedence.

a. **Tier I companies.** All requirements of this Manual apply.

b. **Tier II companies.** All requirements of this Manual apply at the discretion of the Corporate Integration Group (CIG) Directors. Corporate metrics (CMs) and corporate assessment work products (CAWPs) may be utilized to support corporate assessment insights to these companies.

1.2. POLICY. It is DCMA policy to:

a. Provide acquisition insights for designated corporations by providing objective and independent, accurate, timely and actionable information to the Department of Defense enterprise.

b. Establish and implement processes for Corporate Assessment Commercial And Government Entity (CAGE) code lists, CMs, CM control, and CAWPs.

c. Understand and provide support to corporate liaisons, identified by each corporation, by maintaining dialogue and good working relationships through periodic interactions and engagements.

d. Execute the processes of this Manual in a safe, efficient, effective and ethical manner.

SECTION 2: RESPONSIBILITIES

2.1. EXECUTIVE DIRECTOR, PORTFOLIO MANAGEMENT AND BUSINESS INTEGRATION. The Executive Director, Portfolio Management and Business Integration (PM&BI), must:

- a. Provide CIG infrastructure and resources.
- b. Provide repository site location for the Official CA CAGE lists.

2.2. DIRECTORS, CORPORATE INTEGRATION GROUP. The CIG Directors must:

a. Provide guidance, direction, and resources for CIGs to accomplish the overarching CA goals, objectives, and initiatives.

b. Ensure Tier I and II list of companies are maintained on the applicable Resource Page.

c. Notify respective operational unit(s) (OU) of Tier I company establishment or disestablishment.

d. At a minimum, ensure Official CA CAGE lists are reviewed monthly and published on the official repository site.

e. Approve all CM, standard corporate assessment work products (SCAWPs), and unique corporate assessment work products (UCAWPs) formats, templates, and work process documentation.

f. Assign corporations requiring SCAWPs and/or UCAWPs to Corporate Integrator (CI) leads as required to meet CA operational and strategic objectives.

g. Coordinate SCAWPs/UCAWPs with relevant Component Head, CAWG and corporate alliance network (CAN) as needed.

h. Establish applicable CIG repository site(s) to maintain applicable SCAWP and UCAWP information for assigned corporations.

i. Collect feedback on SCAWPs and UCAWPs to determine if modifying, streamlining, expanding, or canceling the SCAWP or UCAWP is necessary.

j. Request Office of General Counsel (OGC) review of SCAWP and UCAWP prior to external release.

k. Assign Corporate Assessment Analyst (CAA) to support the CI as needed.

l. Serve as CAWG Co-Leads.

- m. Support the PM&BI Director as required.

2.3. EXECUTIVE DIRECTORS, COMPONENT HEADS. The Component Head Executive Directors must:

- a. Ensure access is available to the CIGs for data sources pertinent for CMs and SCAWPs andUCAWPs.
- b. Validate SCAWPs andUCAWPs when requested by CIG Directors, and/or their representatives.
- c. Appoint a component representative(s), with delegated decision authority on behalf of the Component Head, to serve as a CAWG representative.

2.4. EXECUTIVE DIRECTOR, COST AND PRICING REGIONAL COMMAND. The Executive Director of the Cost and Pricing Regional Command must:

- a. Ensure that Corporate Administrative Contracting Officers (CACOs) and/or, Divisional Administrative Contracting Officers (DACOs) coordinate applicable CA Official CAGE codes, by business segment, to the pertinent CIG Director(s) or their representative.
- b. Provide insight for all Contractor Business System Level III and Level IV Corrective Action Requests affecting a corporation.

2.5. COMMANDERS/DIRECTORS, OPERATIONAL UNITS. The Commanders/Directors, OU or their designee must:

- a. Ensure OU staff and Contract Management Offices (CMOs) provide SCAWP orUCAWP related support and information as required to the pertinent CIG Directors or their representative.
- b. Assist CMOs in corporation-related problem and issue resolution and continuous improvement in support of customer requirements.
- c. Appoint a representative(s), with delegated decision authority on behalf of the Commander/Directors, to serve as a CAWG representative.
- d. The Director, Special Program Command must comply with the intent of this Manual to the maximum extent practicable for all Special Access Programs and Sensitive Compartmentalized Information contracts.

2.6. COMMANDERS/DIRECTORS, CONTRACT MANAGEMENT OFFICE. The CMO Commanders/Directors or their designee must:

- a. Verify accuracy of the applicable official CA CAGE lists, when requested by the CIG Directors or their representative.

b. Review the populated CMs, SCAWPs and/or UCAWPs data/trends and provide feedback and supporting analysis when requested by the pertinent CIG Directors or their representatives.

c. When appointed as a CAWG representative, support the CAWG activities.

2.7. OFFICE OF GENERAL COUNSEL. OGC will conduct a legal sufficiency review for proposed and coordinated external DCMA SCAWPs and UCAWPs, as requested.

2.8. CORPORATE INTEGRATOR. The CIs of a corporation must:

a. Create and maintain pertinent Official CA CAGE lists for assigned corporation.

b. Lead the pertinent CAN and all its associated activities.

c. Coordinate with CAN Stakeholders to ensure SCAWPs and UCAWPs are produced as required.

d. Maintain SCAWP and UCAWP information in the pertinent repository site, as applicable.

e. Draft, submit, and distribute approved CMs, SCAWPs and/or UCAWPs as required.

g. Assist in and in some cases lead the development of new CMs, SCAWP and/or UCAWPs.

h. Support the CIG Director(s) as required.

2.9. CORPORATE ASSESSMENT ANALYSTS. The Corporate Assessment Analysts (CAAs) of a corporation must:

a. Support the CI assigned to a corporation as required.

b. Support the execution the pertinent CAN, CMs, SCAWPs and/or UCAWPs.

c. Support the CIG Director(s) as required.

d. Assist in the development of new CMs, SCAWPs, and/or UCAWPs.

e. Maintain the CM, CA and job aids in the pertinent repository.

SECTION 3: OFFICIAL CORPORATE ASSESSMENT COMMERCIAL AND GOVERNMENT ENTITY CODE LIST

3.1. OFFICIAL CORPORATE ASSESSMENT COMMERCIAL AND GOVERNMENT ENTITY CODE LIST. The CA CAGE lists will be created and maintained for the applicable corporation and will include the associated business segment per CAGE. The CA CAGE list will help in the identification of corporate systemic issues, and requires input from CAN participants.

3.2. OFFICIAL CORPORATE ASSESSMENT COMMERCIAL AND GOVERNMENT ENTITY CODE LIST ESTABLISHMENT PROCESS. The assigned CI/CAA will develop the CA CAGE list for the assigned Corporation utilizing the approved CA CAGE list creation and maintenance Job Aid which is found on the Resource Page.

- a. Within 5 working days of the CIG Director's assignment of a corporation, the CI will coordinate with the applicable CACO to initiate the development of a new CA CAGE list.
- b. Within 10 working days of the CI request, the CACO will provide a corporate CAGE list and include the associated business segment per CAGE. The CI will use the CACO's list as a starting point for the new CA CAGE list.
- c. Within 5 working days of the CI/CAA request, the CAN participants will review the new CA CAGE list and provide modifications and/or recommendations.
- d. If modifications are recommended, the CAA will make the changes, as agreed to between the CI and the CAN participant. The CAA will upload a final list into the designated DCMA 360 repository establishing the official CA CAGE list.
- e. The CI will notify the CAN participants of the official CA CAGE list.

3.3. OFFICIAL CORPORATE ASSESSMENT OFFICIAL CAGE LIST MAINTENANCE AND MODIFICATIONS PROCESS. The assigned CI/CAA will review and/or modify the official CA CAGE list for the assigned corporation utilizing the approved CA CAGE list creation and maintenance Job Aid which is found on the Resource Page.

- a. Within 5 working days of the CI/CAA request, the CAN participants will review the updated CA CAGE list and provide modification recommendations.
- b. If modifications are recommended, the CAA will make the changes, as agreed to between the CI and the CAN participant. The CAA will upload a final list into the designated DCMA 360 repository establishing the updated official CA CAGE list.

SECTION 4: CORPORATE METRICS

4.1. CORPORATE METRIC DATA. CM data can be either internal or external to DCMA, but it should have a consistent data source. This data can be utilized to form CMs and can be used in SCAWPs and UCAWPs. The CIGs hold responsibility to integrate CM data, identify data trends, perform data correlations, and produce a corporate overview.

4.2. CORPORATE METRIC DATA IDENTIFICATION PROCESS. When CMs are required to be established, the CIGs utilize internal DCMA data or external data sources.

a. When using internal DCMA CM data, the Component Head or OU owning the applicable data will ensure the CIG has access and applicable training to navigate the data. The CIG team will ensure the data can be drilled down to the pertinent company business segment.

b. When utilizing external data sources, the CIGs will ensure the data source is not proprietary and will adhere to cyber security standards.

4.3. CORPORATE METRIC CREATION AND MAINTENANCE PROCESS. The CIGs can utilize CM data to produce a CM. When a CM lose their usefulness for decision making insights, they should be retired or deleted.

a. The CIGs create CMs based on the Official CA CAGE list and will propose new metrics based on consistent data sources. CAN members can also propose CMs for sharing with Headquarters, OUs, and CMOs.

b. The CIG Director can authorize CMs for use in SCAWPs and UCAWPs and have ability to retire non-value added CMs.

SECTION 5: CORPORATE ASSESSMENT WORK PRODUCTS

5.1. CORPORATE ASSESSMENT WORK PRODUCTS. CIGs are responsible for providing its customers and industry partners with insights and analysis on corporate performance to government contracts and programs. One method to meet this responsibility is via CAWPs. There are two types of CAWPs; Standard and Unique. SCAWPs assessments are scalable and utilize CM Data or CM.UCAWPs are not produced by CIGs, but are data products from other Headquarters, OUs, or CMO entities that are shared with CIGs to provide to the DCMA Director, Office of the Under Secretary of Defense for Acquisition and Sustainment staff, or industry partners for corporate engagements.

5.2. CORPORATE ASSESSMENT WORK PRODUCTS ESTABLISHMENT PROCESS. When CAWPs are required to be established, the CIGs utilize the official CAGE lists, CM data, and CMs.

a. When establishing a SCAWP, the CIG Director determines whether there is a need to produce a new work product to meet CA reporting requirements. An example of a SCAWP is the CA Dashboard. The CIGs retain authority on how to utilize any new CAWP.

b. The CIGs coordinate UCAWP typically owned by other Component Head or OU to meet specific unique CA reporting requirements. An example of a UCAWP is the on time delivery scorecard owned by the Technical Directorate. The CIG will ensure the final deliverable is staff level ready.

5.3. CORPORATE ASSESSMENT WORK PRODUCTS MAINTENANCE PROCESS. As CA reporting requirements change, the CIG will validate existing SCAWPs and either make modifications or retire these products. UCAWPs are not maintained by the CIGs.

a. When maintaining a SCAWP, the DCMA Director has the ability to provide insights on how useful these work products are during corporate engagements. Modifications of these work products will be based on improved decision making.

b. The CIG will modify the CAWPs based on DCMA Director feedback.

c. The CIG Director can also retire or delete CAWPs that are non-value added.

GLOSSARY

G.1. DEFINITIONS. Unless otherwise noted, these terms and their definitions are for the purpose of this issuance.

CA. An analysis of a corporation's performance using one or more common measurements to enable objective comparison of the corporation's business units. An overall assessment of the corporation's performance that can be used for relative comparison with performance of other corporations.

CAA. An analyst that assists the CIG Director and CI in assessing the company's performance, predicting future performance, and making actionable recommendations utilizing CMs and CAWPs.

CA Dashboard. A dashboard providing corporate assessment insights regarding measurable processes and corporate metrics.

CAGE. A unique identifier assigned to suppliers to various government or defense agencies, as well as to government agencies themselves and also various organizations. CAGE codes provide a standardized method of identifying a given facility at a specific location.

CAN. A forum of DCMA stakeholders that are focused on discussing issues, best practices, and performance of a specific corporate entity.

CAWG. A working group that is made up of representatives from various Component Heads, CIG Directors, CACOs, DACOs, OU Commanders/ Directors, and CMO Commanders/Directors. The CAWG collaborates on future corporate assessment mission and product insights. The CAWG ensures collaborative, repeatable, and integrated processes are employed to improve DCMA acquisition insight products and activities that DCMA provides to our acquisition enterprise customers and utilized in assessing corporate performance.

CAWP. A work product that provides insights on company performance to government contracts and programs. There are two types of CAWPs; Standard and Unique. SCAWPs assessments are scalable and utilize CMs. UCAWPs assessments involve current DCMA data but are not limited to CMs.

CI. Primary DCMA CA representative of a company. The CI assesses the company's performance, predicts future performance, and makes actionable recommendations utilizing CMs and CAWPs.

CIG. A team working for the CIG Director that executes applicable Instructions and Manuals for providing CAs. The single group within DCMA that is responsible for integrating multiple functional data sources that provide independent analysis and value-added actionable insight at multiple levels (corporate, corporate business unit, programmatic, and CMO levels).

CM. A set of standard measures and information packages that form the basis of consistent CAs.

CMO. DCMA Contract Management Office that is responsible for oversight of all elements of a Program and the associated CAGEs associated with it.

Official CA CAGE list. A set of vetted CAGE codes for specific corporate business segments. This is the official final list of CAGE codes used for CMs and CAWPs.

OU. DCMA organizational entity charged with ensuring mission accomplishment for their organization. For purposes of this Manual only, OUs include: Eastern, Central, and Western Region, AIMO Commands, International Command, Cost & Pricing Region Command, and Special Programs Command.

SCAWP. A standardized work product that provides insights on a specific area of company performance to government contracts and programs SCAWP assessments are scalable and utilize CMs.

Tier I and II Company. A prime supplier identified in the annual list of companies, designated by Tiers I and II, and are based upon a set of predetermined criteria. The contractor list is maintained on the resource page.

UCAWP. A unique work product that provides insights on a specific area of company performance to government contracts and programs not limited to CMs.

GLOSSARY

G.2. ACRONYMS.

CA	corporate assessment
CAA	Corporate Assessment Analyst
CACO	Corporate Administrative Contracting Officer
CAD	corporate assessment dashboard
CAGE	commercial and government entity
CAN	corporate alliance networks
CAWG	corporate assessment working group
CAWP	corporate assessment work product
CI	Corporate Integrator
CIG	Corporate Integration Group
CM	corporate metric
CMO	Contract Management Office
DACO	Divisional Administrative Contracting Officer
DCMA-INST	DCMA Instruction
DCMA-MAN	DCMA Manual
OGC	Office of General Counsel
OU	Operational Unit
PM&BI	Portfolio Management and Business Integration Directorate
SCAWP	standard corporate assessment work product
UCAWP	unique corporate assessment work product

REFERENCES

DCMA Instruction 3101, "Program Support," September 20, 2018
DCMA Instruction 3201, "Corporate Integration," December 21, 2017, as amended
DCMA Manual 3101-01, "Program Support," August 1, 2019
DCMA Manual 3201-01, "Corporate Alliance Networks," December 21, 2017, as amended
DoD Directive 5105.64, "Defense Contract Management Agency (DCMA)," January 10, 2013
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