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TECHNOLOGY  
AND LOGISTICS

OFFICE OF THE UNDER SECRETARY OF DEFENSE

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MEMORANDUM FOR COMMANDER, UNITED STATES SPECIAL OPERATIONS  
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COMMANDER, UNITED STATES TRANSPORTATION  
COMMAND (ATTN: ACQUISITION EXECUTIVE)  
DEPUTY ASSISTANT SECRETARY OF THE ARMY  
(PROCUREMENT)  
DEPUTY ASSISTANT SECRETARY OF THE NAVY  
(ACQUISITION AND PROCUREMENT)  
DEPUTY ASSISTANT SECRETARY OF THE AIR FORCE  
(CONTRACTING)  
DIRECTORS OF THE DEFENSE AGENCIES  
DIRECTORS OF DOD FIELD ACTIVITIES

SUBJECT: United States Commercial and Government Entity / North Atlantic Treaty  
Organization Commercial and Government Entity Standard Operating Procedure

Ensuring a standards-based approach to identifying and tracking the commercial and government entities with which the United States government does business is essential for the administration of an efficient and secure supply chain. As such, Federal Acquisition Regulation (FAR) subpart 4.18 and Defense FAR Supplement (DFARS) subpart 204.18 require that government domestic and foreign trading partners acquire Commercial and Government Entity (CAGE) and North Atlantic Treaty Organization (NATO) Commercial and Government Entity (NCAGE) codes, respectively. To help users, the Defense Logistics Agency's CAGE Program Office has developed a Standard Operating Procedure (SOP), which contains scenario-driven information for government trading partners about how to request, update, and maintain CAGE and NCAGE codes. This document also provides important context for CAGE use, defines key terms, and references supporting policy documentation. This document is published on the Defense Logistics Agency CAGE website at <https://cage.dla.mil/Content/forms/SOP.pdf>.

Questions and comments may be directed to my action officer Ms. Lisa Romney, at 703-697-4396 or [janice.l.romney.civ@mail.mil](mailto:janice.l.romney.civ@mail.mil).

Claire M. Grady  
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United States (U.S.) Commercial and  
Government Entity (CAGE)  
And  
North Atlantic Treaty Organization (NATO)  
CAGE  
(NCAGE)  
Registration Procedures



**United States (U.S.) Commercial and Government Entity (CAGE)  
Code/  
North Atlantic Treaty Organization Commercial and Government  
Entity (NCAGE)**



<b>SOP TITLE: U.S. CAGE/NCAGE Standard Operating Procedure</b>	<b>Version 1.0</b>
<b>SOP NUMBER: SOP1000.21</b>	<b>Effective: 1 April 2016</b>

**AUTHOR**

Defense Logistics Agency (DLA) Information Operations Commercial and Government Entity (CAGE) Program is the author of this document for the audience of domestic/international entities, government offices and agencies to understand the US CAGE/NCAGE Registration process.

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**EXECUTIVE SUMMARY**

This document provides an overview of the CAGE/NCAGE registration process which spans four agencies and businesses. In order to obtain or update a CAGE/NCAGE– Dun & Bradstreet (D&B), System Award Management (SAM), NATO Support and Procurement Agency (NSPA), CAGE Program may be required to establish or update a CAGE/NCAGE to do business with the U.S. Federal Government and partner nations.



**United States (U.S.) Commercial and Government Entity (CAGE)  
Code/  
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## 1. PURPOSE

This Standard Operating Procedure (SOP) provides users with the policies and procedures for requesting and updating Commercial and Government Entity (U.S.CAGE) Code and North Atlantic Treaty Organization (NATO) Commercial and Government Entity (NCAGE) Codes. *Refer to Appendix 1* for Governing Directives and Regulations.

## 2. SCOPE

The scope of this document encompasses the processes for obtaining and updating CAGE/NCAGE Codes for U.S. and Foreign Entities.

## 3. KEY DEFINITIONS

### 3.1 U.S. CAGE Code Definition

The Commercial and Government Entity (CAGE) Code is a five-character alpha-numeric identifier assigned to entities (businesses/organizations, etc.) located in the United States and its territories by the Defense Logistics Agency (DLA) Commercial and Government Entity (CAGE) Program Office to identify a commercial or government entity. For purposes of this SOP, the CAGE Code maybe identified as the U.S. CAGE Code. The U.S. CAGE Program Office maybe referred to as CAGE Program Office which consists of the CAGE Application System and personnel. **The CAGE Program Office website, which contains all the information and links required for this processing is found at <https://CAGE.DLA.MIL>.**

U.S. Registrants are assigned a CAGE Code using the SAM Registration process for entities located in the United States and its territories and will be pursuing U.S Government contracts and/or grants. If an Entity is NOT pursuing U.S. Government contracts and/or grants, a CAGE/NCAGE Code can be requested by selecting the online [Request or Update CAGE Code](#) link to complete. This is further discussed in Section 7.

### 3.2 NCAGE Code Definition

The North Atlantic Treaty Organization (NATO) Commercial and Government Entity (NCAGE) Code is a five-character alpha-numeric identifier assigned to entities located outside of the United States and its territories to identify a commercial or government entity. For purposes of this SOP, the foreign CAGE Code maybe identified as the NCAGE Code.

The NATO Allied Committee 135 (AC/135) National Codification of Directors oversees the NATO Codification System (NCS). NATO Support and Procurement Agency (NSPA) is a NATO agency which provides administrative support to AC/135.

NCAGE code requests are submitted through NSPA and will be assigned by NSPA or the National Codification Bureau where the entity is physically located. If doing business with the U.S. Government, the NCAGE Code must be entered using the D&B and SAM Registration process for international registration.

## 4. REGISTRATION SYSTEMS

**Registration to do business with the U.S. Government involves the following systems:**

### **IMPORTANT NOTE!**

Before starting the CAGE/NCAGE Registration process, identify these three essential elements:

- Legal Business Name (LBN)
- Physical location of the entity
- Determination if the entity is doing business with the U.S. Government



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- a. [Dun and Bradstreet \(D&B\)](#) assigns unique nine digit identification number for each physical location of the business. This required number is called the Data Universal Numbering System (DUNS) and is a required data element for all businesses registering with the U.S. Government for contracts and/or grants. Registration with D&B is a FREE service.  
[System for Award Management \(SAM\)](#) is the official U.S. Government system for registering the entity (business, individual, or government agency) in order to do business with the U.S. Government. The assignment/update for the CAGE Code is obtained using SAM. Registration with SAM is a FREE service.
- b. [NATO Support and Procurement Agency \(NSPA\)](#) coordinates the assignments or updates for the NCAGE Codes and once the entity is provided an NCAGE or NCAGE has been updated, the entity will enter the NCAGE during the SAM registration process. Registration with NSPA is a FREE service.
- c. [CAGE Program Office](#) validates CAGE Code information for CAGE Code assignment and updates. The CAGE program also receives and displays NCAGE data to support U.S. Government supply chain. Registration for a CAGE code is a FREE service.

## 5. STATUS TOOLS

There are tools within SAM and the CAGE Program Office that allow for users to check the status on their SAM Registration and CAGE Code assignment.

### 5.1 [SAM's Status Tracker Tool](#)

- a. Check the SAM Status Tracker Tool to view the current status of the entity associated with that DUNS Number or CAGE/NCAGE Code. The status will indicate if there are remaining steps to be completed before final submittal. *Refer to Section 14, Appendix 2.B for List of SAM Status Tracker Statuses.*

### 5.2 [Status Indicators within SAM](#)

- a. Your entity Management record will have statuses throughout the registration process. *Refer to Section 14, Appendix 2.C for List of SAM Registration Status.*

### 5.3 [CAGE Search and Inquiry \(CSI –formerly BINCS\)](#)

- a. View [CAGE Search and Inquiry](#) (CSI) which was formerly Business Identification Numbering Cross-Reference System (BINCS) for CAGE/NCAGE Program Office data and registration information for domestic and foreign entity/organizations, suppliers and potential contractors supporting the U.S. Government supply chain. *Refer to Section 14, Appendix 2. D for CAGE Status in CSI and Appendix 2.E for How to Navigate CSI Tool.*

## **U.S. CAGE CODE PROCESSES**

## 6. REQUEST NEW U.S. CAGE CODES WITH U.S. GOVERNMENT CONTACTS/GRANTS

Entities physically located INSIDE of the U.S. and territories and wishing to conduct business (contracts and/or grants) with the U.S. Government must request a DUNS Number and register in System for Award Management (SAM). By registering in SAM, a CAGE Code will be assigned.

### 6.1 Request a DUNS Number

- a. Register with Dun & Bradstreet (D&B) to obtain a Data Universal Numbering System (DUNS) Number by accessing the [webform](#).
- b. Ensure the entity's Legal Business Name matches exactly with the Secretary of State (SOS) Registration, if applicable and what will be accepted in the SAM Registration.

**TIMEFRAME:** Allow **1 to 2 business days** to be assigned a DUNS Number



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**6.2 Register with System for Award Management (SAM)**

- a. Register in SAM once the D&B Number is granted.
- b. Follow the [quick guide for registrations](#) at [SAM.gov](#) for registrants who are physically located inside the U.S. and its territories
- c. Log into the SAM record. Checkmarks on the left navigation menu or error messages will be displayed at the top of the page to indicate what is required to complete the registration process. *Refer to Section 14, Appendix 2.B for List of SAM Registration Status.*
- d. Submit the SAM Registration which will be forwarded to the IRS for validation. Once completed the SAM Registration will be forwarded to the CAGE Program Office for final validation.
- e. If the registration is successfully processed in SAM and submitted to CAGE Program Office for final validation, an email confirmation will be sent to the authorized administrator user(s) of the entity/organization and the SAM status will be updated to “Pending CAGE Validation”.
- f. If the registration is not complete, the status will indicate “Draft” until the Core Data is complete. When Core Data is incomplete and has been returned from IRS, “Work in Progress” will be displayed. Continue to complete the registration until you have submitted your SAM registration.

**6.3 Assignment of CAGE Code through the SAM Registration**

- a. The CAGE Program Office is the last step in the process for approving new CAGE registrations for an entity wishing to do business with the U.S. Government. A CAGE Code will be assigned for Entities at the end of this process, if validation occurs.
- b. Submit additional documentation if requested by the CAGE Program Office. The Government POC in the SAM Registration will be contacted if there are discrepancies found such as duplications of address, invalid Legal Business Name, etc. *Refer to Section 14, Appendix 4 for the Required Documentation for U.S. CAGE Validation.* The required documentation request is based on submission of SAM Registration information.
- c. Review is performed to include documentation supplied, and if the registration passes CAGE Program Office validation, the entity’s registration will be reflected in CSI and SAM with a new expiration date and the status will reflect “Active”.
- d. Once the CAGE Code is assigned, [CSI](#) displays basic data of the CAGE file and linkages to the SAM public view source. *Refer to Section 14, Appendix 2.E on How to Navigate CSI*
- e. Returned registrations to SAM will result if the CAGE Program Office does not receive an initial response within **5 business days** from the authorized administrator user(s) or Government POC’s of the entity/organization. The registration may be resubmitted when documentation is available.
- f. If CAGE returns the SAM Registration (i.e. not provided requested documentation), SAM will display a registration status of “Failed CAGE Validation” in SAM. The return reason will be sent within **1 business day** to the email address supplied in SAM for the authorized administrator user(s) of the entity/organization. The application will not be processed until the information in the registration is corrected and/or documentation requested has been provided. *Refer to Section 14, Appendix 5 for SAM Letters.*  
**TIMEFRAME:** Allow **10 business days** from the date of receipt at the CAGE Program Office for the validation process to be completed.

**7. REQUEST NEW U.S. CAGE CODES WITHOUT U.S. GOVERNMENT CONTRACTS/GRANTS**

**7.1 U.S. entities, NOT engaged in business operations with the U.S. Government and do not have contracts or grants can request a CAGE Code.**

- a. Entities under the following conditions and without U.S. Government contracts and/or grants can request CAGE Codes for the following:
  - Facility Clearances
  - DoDAAC Ship to addresses
  - Ownership of Offeror (Immediate and Highest Level Owner)



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**7.2 These entities are not required to obtain a DUNS Number or register in SAM and should do the following:**

- a. Select the online [Request or Update CAGE Code](#) link to complete.
- b. Submit additional documentation if requested by the CAGE Program Office. The entity/organization Official Point of Contact listed on the [Request or Update CAGE Code](#) link will be contacted if there are discrepancies found, such as duplications of address, invalid Legal Business Name, etc. *Refer to Section Appendix 4 for the Required Documentation for CAGE Validation.*
- c. Assigned CAGE Code will be reflected in [CSI](#) as active if approved.

**TIMEFRAME:** Allow **10 business days** from the date of submission for the Cage Program Office’s validation process to be completed.

**8. UPDATE U.S. CAGE CODES WITH U.S. GOVERNMENT CONTRACTS/GRANTS**

Entities physically located INSIDE the U.S. and territories, and wishing to conduct business (contracts and/or grants) with the U.S. Government must update the DUNS Number and the SAM Registration. Updates through SAM will be forwarded to the CAGE Program Office for validation.

**8.1 If changing the Legal Business Name and/or Physical Address, update D&B profile at D&B.**

- a. Update the profile using the [web form](#).
- b. D&B information for Legal Business Name and Physical Address is sent to SAM.
- c. Entity’s Legal Business Name must match exactly with the Secretary of State (SOS) Registration, if applicable and will be accepted in the SAM Registration.
- d. The Physical Address must be complete to include suite, building, apartment, or unit number information.

**TIMEFRAME:** Allow **1 to 2 business days** to update the DUNS Number.

**8.2 If NOT changing the Legal Business Name and/or Physical Address update the registration in SAM.**

**Proceed to section 8.3**

**8.3 Update the registration in SAM.**

- a. Maintain an active SAM Registration annually.
- b. Follow the [quick guide for updating registrations](#) at [SAM.gov](#) for registrants who are physically located inside the U.S. and its territories
- c. If the registration is successfully processed in SAM and submitted to CAGE Program Office for final validation, an email confirmation will be sent to the authorized administrator users(s) of the entity/organization and the SAM status will be updated to “Pending CAGE Validation”.
- d. If the registration is not complete at SAM, the status will be “Work in Progress” indicating that Core Data is incomplete or has been returned from IRS. Log into SAM to check the status. The checkmarks on the left navigation menu or error messages at the top of the page will indicate what is required to complete the registration process.
- e. Continue to complete the registration until you have submitted your SAM registration.
- f. Once completed, the SAM Registration will be sent to the IRS for validation and then forwarded on to the CAGE Program Office for final validation.

**TIMEFRAME:** Allow **1 to 2 business days** after successful submission in SAM.

**8.4 CAGE Validation performed**

- a. The CAGE Program Office is the last step in the process for updates to CAGE registrations. Submit additional documentation if requested by the CAGE Program Office. The Government POC in the SAM Registration will be contacted if there are discrepancies found, such as duplications of address, invalid Legal Business Name, etc. *Refer to Section 14, Appendix 4 for the Required Documentation for CAGE Validation.*
- b. Review is performed to include documentation supplied, and if the registration passes CAGE Program Office validation, the entity’s registration will be reflected in [CSI](#) and SAM with a new expiration date and the status will reflect “Active”.



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- c. Returned SAM Registrations will result if the CAGE Program Office does not receive an initial response within **5 business days** from the Government POC or a designated employee of the entity. The registration may be resubmitted when documentation is available.
- d. If CAGE returns SAM Registrations (i.e. not provided requested documentation), SAM will display a registration status of “Failed CAGE Validation” in SAM. The return reason will be sent within **1 business day** to the email address supplied in SAM for the authorized administrator users(s) of the entity/organization. The application will not be processed until the information in the registration is corrected at SAM, NSPA, D&B if applicable and/or documentation requested has been provided. *Refer to Section 14, Appendix 5 for SAM Letters.*

**TIMEFRAME:** Allow **10 business days** from the date of receipt at the CAGE Program Office for the validation process to be completed.

**8.5 CSI Status Check**

If the DUNS information and SAM Registration are correct but [CSI](#) is not reflecting the same information then contact [DLA Contact Center](#).

- a. The DLA Contact Center will open a DLA service ticket that will be escalated to the Cage Program Office.
- b. The entity/organization will be contacted by the Cage Program Office and advised on the registration process or what is required to complete their active registration.

**TIMEFRAME:** Allow **10 business days** from the date of receipt at the CAGE Program Office for the validation process to be completed.

**9. UPDATE U.S. CAGE CODES WITHOUT U.S. GOVERNMENT CONTRACTS/GRANTS**

**9.1 Entities, engaged in business operations with the U.S. Government but do not have contracts and/or grants can request a CAGE Code update.**

- a. Entities under the following conditions and without U.S. Government contracts and/or grants can maintain their existing CAGE Codes:
  - Facility Clearances
  - DoDAAC Ship to addresses
  - Ownership of Offeror (Immediate and Highest Level Owner)

**9.2 These entities are not required to obtain a DUNS Number or register in SAM and should do the following:**

- a. Select the online [Request or Update CAGE Code](#) link to complete.
- b. Submit additional documentation if requested by the CAGE Program Office. The entity/organization Official Point of Contact listed on the [Request or Update CAGE Code](#) link will be contacted if there are discrepancies found such as duplications of address, invalid Legal Business Name, etc. *Refer to Section 14, Appendix 4 for the Required Documentation for CAGE Validation.*
- c. Assigned CAGE Code at will be reflected in as “Active” in [CSI](#), if approved.

**TIMEFRAME:** Allow **10 business days** from the date of submission for the Cage Program Office’s validation process to be completed.

**NATO CAGE CODES (NCAGE) PROCESSES**

**10. REQUEST NEW NATO CAGE CODES (NCAGE) WITH U.S. GOVERNMENT CONTRACTS/GRANTS**

Entities physically located OUTSIDE of the U.S. and territories and wishing to conduct business (contracts/grants) with the U.S. Government, must FIRST request a NCAGE Code, followed by a DUNS Number and registration in SAM. Review the [instructions for obtaining an NCAGE CODE](#).



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### 10.1 Request NCAGE Code

- a. Entities register with NATO Support and Procurement Agency (NSPA) by using the [NATO Codification Tool](#) webpage to request a NCAGE Code by selecting the CAGE/NCAGE Code Request link.
- b. Check to see if a NCAGE Code is already assigned for the company.
- c. If the search does not result in a match to an existing NCAGE code:
  - Click [Request New] button in the bottom right hand corner of the screen.
  - Follow the directions to obtain an NCAGE Code.
  - Submit the request. A validation email message is sent to the POC in the NCAGE Request for confirmation.
- d. Confirm the NCAGE request by clicking on the link embedded in the email.
- e. NSPA assign an NCAGE or forward the request to the applicable [National Codification Bureau \(NCB\)](#) **if the entity is located in a NATO (including the U.S.) or Tier 2 nation. NSPA assigns for all other entities NOT located in NATO or Tier 2 nations.**

### 10.2 Validate NCAGE Code

- a. When the NCAGE Code is assigned, an email message will be sent to the entity POC in the NCAGE Request.
- b. The new NCAGE CODE information is validated by logging into the [NSPA web portal](#).
  - Click on the tab labelled [CAGE/NCAGE Code Request](#).
  - Enter the NCAGE Code in the first screen, click the Enter key.
  - At the bottom of the screen, a Results box will display. Click on the line of the entity/organization.
- c. NSPA and the appropriate country's NCBs will forward all NCAGE Code information to the U.S. CAGE Program Office. Depending on the assigned country, the data transmission to the U.S. CAGE Program Office will vary from daily/weekly/monthly/bi-monthly/annually based on their internal procedures for transmission to all AC/135 nations.
- d. If the NCAGE Code is not assigned by NSPA/or National Codification Bureau (NCB) then the company entity POC will be contacted by email/letter from NSPA or NCB.
- e. Entity POC should contact applicable NSPA or NCB indicated in the Annex of the [instruction link](#) at NSPA. Scroll down the page to Annex section and contact the NCAGE POC for the nation where the entity is physically located.

### 10.3 Validate Information in [CSI](#).

- a. Once the NCAGE is received in the CAGE Program Office, the NCAGE Code is displayed in [CAGE Search and Inquiry](#) (CSI – formerly Business Identification Number Cross Reference System (BINCS))
- b. The entity/organization's Legal Business Name and Physical Address must match exactly with NSPA, [CSI](#), D&B and SAM.
- c. Access [CSI](#) to confirm the NCAGE Code data. *Refer to Section 14, Appendix 2.E How to Navigate CSI Tool.*
- d. If the NCAGE does not display in CSI but IS located in the [CAGE/NCAGE Code Request](#), contact the [DLA Contact Center](#) reporting this discrepancy.
- e. If all information is current in CSI and [CAGE/NCAGE Code Request](#) proceed to obtain a DUNS Number. **TIMEFRAME:** CSI is updated after CAGE Program Office has received and processed the NCAGE data which may be up to **10 business days**.

### 10.4 Request a DUNS Number

- a. Register with [Dun & Bradstreet \(D&B\)](#) to obtain the Data Universal Numbering System (DUNS) Number by accessing the [webform](#).
- b. Ensure the entity's Legal Business Name and Physical Address match exactly with what was registered for the NCAGE Code by logging into the [NSPA web portal](#) and using the search option. **TIMEFRAME:** Allow **1 to 2** business days to obtain the international DUNS Number.

### 10.5 Register with the System for Award Management (SAM)

- a. You **must** have the NCAGE Code and the DUNS Number before registering in SAM.
- b. [Register in SAM](#) once the D&B number and NCAGE Code are granted.



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- c. Follow the [quick guide for international registrations](#) at [SAM.gov](#) for registrants who are physically located outside the U.S. and its territories
- d. Foreign vendors are **NOT** required to enter tax identification numbers (TIN) in SAM. If TIN information is entered, the SAM Registration will be sent to the Internal Revenue Service (IRS) for validation (which will increase the processing time) before being forwarded on to the CAGE Program Office for final validation.
- e. If the registration is successfully processed in SAM with the NCAGE Code and submitted to CAGE Program Office for final validation, an email confirmation will be sent to the authorized administrator user(s) of the entity/organization and the SAM status will be updated to “Pending CAGE Validation”.
- f. If the registration is not complete at SAM, the status will indicate “Draft” until the Core Data is complete. “Work in Progress” indicates that Core Data is not complete.
- g. Continue to complete the registration until you have submitted your SAM registration.
- h. Log into SAM and check the [SAM Status Tracker](#) to check the status. The checkmarks on the left navigation menu or error messages at the top of the page will indicate what is required to complete the registration process. *Refer to Section 14, Appendix 2.B SAM Status Tracker.*

#### **10.6 CAGE Program validation based on SAM Registration with NCAGE**

- a. CAGE Program is the last step for reviewing and validating the SAM Registration with an NCAGE.
- b. If the SAM Registration has been validated, the entity/organization’s registration will be in CSI and SAM with a new expiration date and the status will reflect active.
- c. If CAGE returns the registration, SAM will display a registration status of “Failed CAGE Validation”. The return reason will be sent within **1 business day** to the email address supplied in SAM for the authorized administrator user(s) of the entity/organization. The application will not be processed until the information in the registration is corrected at SAM, NSPA, D&B if applicable. *Refer to Section 14, Appendix 5 SAM Letters.*
- d. If you received a “Failed CAGE Validation” notification, check NSPA, D&B, SAM and [CSI](#) and query to validate the LBN and the Physical Address matches exactly:
  - If corrections are required in the NCAGE data, submit update request through [CAGE/NCAGE Code Request](#).
  - If corrections are required with D&B, use the [web form](#).
    - If D&B is updated, the SAM Registration must accept D&B data LBN and the Physical Address.
  - If corrections are required with CSI, contact [DLA Contact Center](#).
  - The registration will not be processed until the information in the registration is corrected and resubmitted in SAM.

**TIMEFRAME:** Allow **10 business days** from the date of SAM submission for the Cage Program Office validation process to be completed.

## **11. REQUEST NEW NATO CAGE CODES (NCAGE) WITHOUT U.S. GOVERNMENT CONTRACTS/GRANTS**

### **11.1 Request NCAGE Code**

- a. Register with NATO Support and Procurement Agency (NSPA) by using the NATO Codification Tool to request a NCAGE Code by selecting the [CAGE/NCAGE Code Request](#).
- b. Check to see if a NCAGE Code is already assigned for the company.
- c. If the search does not result in a match to an existing NCAGE code:
- d. Click [Request New] button in the bottom right hand corner of the screen.
- e. Follow the directions to obtain an NCAGE Code.
- f. Submit the request. A validation email message is sent to the POC in the NCAGE Request for confirmation.
- g. Confirm the NCAGE request by clicking on the link embedded in the email.



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- h. NSPA assign an NCAGE or forward the request to the applicable [National Codification Bureau \(NCB\)](#) if the entity is located in a NATO (including the U.S.) or Tier 2 nation. NSPA assigns for all other entities NOT located in NATO or Tier 2 nations.

### 11.2 Validate NCAGE Code

- a. When the NCAGE Code is assigned, an email message will be sent to the POC in the NCAGE Request.
- b. The new NCAGE CODE information is validated by logging into the [NSPA web portal](#).
- c. Click on the tab labelled [CAGE/NCAGE Code Request](#).
  - Enter the NCAGE Code in the first screen, click the Enter key.
  - At the bottom of the screen, a Results box will display. Click on the line of the entity/organization.
- d. NSPA and the appropriate country's NCBs will forward all NCAGE Code information to the CAGE Program Office. Depending on the assigned country, the data transmission to the CAGE Program Office will vary from daily/weekly/monthly based on their internal procedures for transmission to all AC/135 nations.
- e. If the NCAGE Code is not assigned by NSPA/or National Codification Bureau (NCB) then the company entity POC will be contacted by email/letter from NSPA or the NCB.
- f. Entity POC should contact applicable NSPA or NCB indicated in the Annex of the [instruction link](#) at NSPA.
  - Scroll down the page to Annex section and contact the NCAGE POC for the nation where the entity is physically located.

**TIMEFRAME:** Allow **10 business days** from the date of submission to the CAGE/NCAGE request.

## 12. UPDATE NCAGE CODE (NCAGE) WITH U.S. GOVERNMENT CONTRACTS/GRANTS

Entities engaged with the U.S. Government and pursuing contracts and/or grants are required to obtain an NCAGE Code.

### 12.1 Update NCAGE at NSPA

- a. Submit update changes at [CAGE/NCAGE Code Request](#).
- b. Enter the NCAGE and click on the magnifying glass.
- c. Click on Result which the NCAGE.
- d. Update the information on the NCAGE and click "Request Update".
- e. The NCB or NSPA will review and update the NCAGE, if approved.

### 12.2. Validate NCAGE Code

- a. When the NCAGE Code is updated, an email message will be sent to the entity POC in the NCAGE Request.
- b. The updated NCAGE CODE information is validated by logging into the [NSPA web portal](#).
  - Click on the tab labelled [CAGE/NCAGE Code Request](#).
  - Enter the NCAGE Code in the first screen, click the Enter key.
  - At the bottom of the screen, a Results box will display. Click on the line of the entity/organization.
- a. NSPA and the appropriate country's NCBs will forward all NCAGE Code information to the CAGE Program Office. Depending on the assigned country, the data transmission to the CAGE Program Office will vary from daily/weekly/monthly based on their internal procedures for transmission to all AC/135 nations.
- b. If the NCAGE Code is not updated by NSPA/or National Codification Bureau (NCB) then the company entity POC will be contacted by email/letter from NSPA or NCB.
- c. Entity POC should contact applicable NSPA or NCB indicated in the Annex of the [instruction link](#) at NSPA.
- d. Scroll down the page to Annex section and contact the NCAGE POC for the nation where the entity is physically located.

### 12.3 Validate Information in [CSI](#).

- a. Once the NCAGE is received in the CAGE Program Office, the NCAGE Code is displayed in [CAGE Search and Inquiry](#) (CSI – formerly Business Identification Number Cross Reference System (BINCS))



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- b. The entity/organization's Legal Business Name and Physical Address must match exactly with NSPA, CSI, D&B and SAM.
- c. Access CSI to confirm the NCAGE Code data. *Refer to Section 14, Appendix 2.E How to Navigate CSI Tool.*
- d. If the NCAGE does not display in CSI but IS located in the [CAGE/NCAGE Code Request](#), contact the [DLA Contact Center](#) reporting this discrepancy.
- e. If all information is current in CSI and [CAGE/NCAGE Code Request](#) proceed to obtaining a DUNS Number. **TIMEFRAME:** CSI is updated after CAGE Program Office has received and processed the NCAGE data which may be up to **10 business days**.

**12.4 Update D&B profile at Dun & Bradstreet.**

- a. Update the profile using the [webform](#) if you are changing the Legal Business Name and/or Physical Address
- b. D&B information for Legal Business Name and Physical Address is sent to SAM.
- c. The Physical Address must be complete to include suite, building, apartment, or unit number information. **TIMEFRAME:** Allow **1 to 2 business days** to update the DUNS Number.

**12.5 If NOT updating the Legal Business Name and/or Physical Address update the registration in SAM.  
Proceed to section 12.3**

**12.6 Update the registration in the System for Award Management (SAM).**

- a. Maintain an active registration annually. Follow the [quick guide for international registrations](#) at [SAM.gov](#) for registrants who are physically located outside within the U.S. and its territories.
- b. Once the updates are requested from D&B, validate the updated registration in the System for Award Management (SAM).
- c. If the registration is successfully processed in SAM with the NCAGE Code and submitted to CAGE Program Office for final validation, an email confirmation will be sent to the authorized administrator user(s) of the entity/organization and the SAM status will be updated to "Pending CAGE Validation".
- d. If the registration is not complete at SAM, the status will display "Work in Progress" indicating that Core Data is incomplete. Continue to complete the registration until you have submitted your SAM registration.
- e. Log into SAM and check the [SAM Status Tracker](#) to check the status. The checkmarks on the left navigation menu or error messages at the top of the page will indicate what is required to complete the registration process. *Refer to Appendix 2A for List of Statuses.*

**12.7 CAGE Validation performed**

- a. The CAGE Program Office is the last step in the process for updates to NCAGE registrations. The Government POC in the SAM Registration will be contacted if there are discrepancies within D&B, SAM and NSPA Legal Business Name and Physical Addresses.
- b. Returned registrations to SAM will result if the CAGE Program Office reviews and identifies discrepancies within the above systems for LBN and Physical Address.
- c. If the registration passes CAGE Program Office validation, the entity's registration will be reflected in [CSI](#) and SAM with a new expiration date and the status will reflect active.
- d. Once the CAGE Code is assigned, [CSI](#) will display basic data of the CAGE file and linkages to the SAM public view source. *Refer to Appendix 2E on CSI.*
- e. CAGE returns SAM Registrations (i.e. not provided requested documentation), and SAM will display a registration status of "Failed CAGE Validation" in SAM. The return reason will be sent within **1 business day** to the email address supplied in SAM for the authorized administrator users(s) of the entity/organization. The application will not be processed until the information in the registration is corrected at SAM, NSPA, D&B if applicable and/or documentation requested has been provided. *Refer to Appendix 5 for Returned Reasons.* **TIMEFRAME:** Allow **10 business days** from the date of receipt at the CAGE Program Office for the validation process to be completed.



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**13. UPDATE NATO CAGE CODES (NCAGE) WITHOUT U.S. GOVERNMENT CONTRACTS/GRANTS**

**13.1 Entities located outside the US and its territories, engaged in business operations with the U.S. Government and do NOT have contracts and/or grants are required to update the NCAGE Code if changes occur.**

**13.2 Update the NCAGE Code**

- a. Access the NATO Support and Procurement Agency (NSPA) by using the NATO Codification Tool to update the NCAGE Code by selecting the [CAGE/NCAGE Code Request](#) link.
- b. Enter the NCAGE and click on the magnifying glass.
- c. Click on Result which the NCAGE.
- d. Update the information on the NCAGE and click “Request Update”.
- e. The NCB or NSPA will review and update the NCAGE, if approved.

**13.3 Validate NCAGE Code**

- a. When the NCAGE Code is updated, an email message will be sent to the POC in the NCAGE Request.
- b. The updated NCAGE CODE information is validated by logging into the [NSPA web portal](#).
- c. Click on the tab labelled [CAGE/NCAGE Code Request](#).
  - Enter the NCAGE Code in the first screen, click the Enter key.
  - At the bottom of the screen, a Results box will display. Click on the line of the entity/organization.
- d. NSPA and the appropriate country’s NCBs will forward all NCAGE Code information to the CAGE Program Office. Depending on the assigned country, the data transmission to the CAGE Program Office will vary from daily/weekly/monthly based on their internal procedures for transmission to all AC/135 nations.
- e. If the NCAGE Code is not updated by NSPA or National Codification Bureau (NCB) then the company entity POC will be contacted by email/letter from NSPA or NCB specific to the country.
- f. Entity POC should contact applicable NSPA or NCB and proceed to annex for proper POC shown in the link at [CAGE/NCAGE Code Request](#).
- e. Scroll down the page to annex section.

**TIMEFRAME:** Allow **10 business days** from the date of submission to the CAGE/NCAGE request.

**14. APPENDICES**

**14.1 Appendix 1: Governing Directives and Regulations**

The U.S. established the Commercial and Governmental Entity Code (CAGE) in 1950, a code assigned to an **entity (manufacturers, distributors, sole proprietors, service organizations, consulting, etc.)** to facilitate the Federal Catalog System (FCS) and supply chain. The CAGE Code is a five-character alpha-numeric identifier assigned to entities located in the United States and its territories by the Defense Logistics Agency (DLA) Commercial and Government Entity (CAGE) Branch. The CAGE Program Office website which contains instructions, resources and links is found at <https://CAGE.DLA.MIL>.

The NATO Codification System (NCS) was established in 1958 and is administered by the NATO Allied Committee 135 (AC/135) National Codification of Directors. The AC/135 oversees the system, logistics data and process for all NATO and participating nations. The Allied Codification Manual (ACodP-1) is the policy and processes for the NCS.

In order to differentiate between the U.S. and NATO systems, NCAGE was referred to as NATO COMMERCIAL and GOVERNMENTAL ENTITY CODE (NCAGE) in the NCS community. The NCAGE Code is a five-character alpha-numeric identifier assigned to entities located outside the United States by the



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NATO or NSPA organizations. When an entity is assigned a CAGE/NCAGE, the code is the same structure but it identifies which nation or if the NATO Support Agency (NSPA), assigned the CAGE/NCAGE.

Highest-Level Owner and Immediate Owners relating to an entity/organization, request a CAGE Code using the Request or Update CAGE Code Form which is further discussed in Section 7. Federal Acquisition Regulation (FAR) Subpart 4.18 requires that you provide information about your entity’s ownership and control as part of your SAM regulation. Defense Federal Acquisition Regulation (DFARS) PGI 204.18 provides procedures, guidance and information on the administrative matters of the CAGE code.

## 14.2 Appendix 2: Status Code Tools and Definitions

### A. SAM Status Tracker

Check the registration status in SAM by entering the DUNS Number or CAGE/NCAGE Code. The [SAM Status Tracker](#) will show you the current status of the entity associated with that DUNS Number or CAGE/NCAGE Code, as well as tell you what steps you have left to complete based on why you are registering.

**Log into SAM**

Status During Registration

- Getting Started
- Draft
- Work in Progress
- Submitted
- Active
- Inactive / Expired

**Additional Resources**

- What if My Entity Fails Registration?
- Federal Service Desk
- How to Check Your Registration Status**
- Find Your Registration in SAM

**SAM Status Tracker**

Check registration status by typing in a DUNS number.

DUNS Number  Plus 4 (Optional)

Or, check registration status by typing in a (N)CAGE Code.

(N)CAGE Code

Check Your Registration Status in SAM

You can quickly check your registration status in SAM by entering your DUNS number or (N)CAGE Code. The SAM Status Tracker will show you the current status of the entity associated with that DUNS number or (N)CAGE Code, as well as tell you what steps you have left to complete based on why you are registering.

The SAM Status Tracker uses seven circles to represent the registration process: Core Data, Assertions, Reqs & Certs, POCs, Submit, Processing, and Active. Visual indicators in the circles, text underneath the circles, a status message in bold above the circles and user messaging combine to give the registration status.

You will only see results for publicly searchable registration records. Federal government users must log into SAM to search for non-public records.



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**SAM Status Tracker**

Check registration status by typing in a DUNS number.  
DUNS Number  Plus 4 (Optional)

Or, check registration status by typing in a (N)CAGE Code.  
(N)CAGE Code

**KIRK FARMS**

**Status: Work in Progress**

During processing, CAGE rejected your record with the following message: Rejected-D&B changes or updates needed, incorrect or incomplete Legal Business Name. . Log back into SAM and update your registration to address the issue.

<b>Core Data</b>	<b>Assertions</b>	<b>Reps &amp; Certs</b>	<b>POCs</b>	<b>Submit</b>	<b>Processing</b>	<b>Active</b>
Completed	Not Required	Not Required	Completed	In Progress		

**Check Your Registration Status in SAM**

**B. Statuses**

- **Draft**  
At the start of the entity registration, the record is in Draft status. The registration will remain in the Draft stage until the core information section has been filled out. While in the Draft stage, the registration is not searchable. If the DUNS Number is in DRAFT status, this error message will be displayed: ERROR: Status of DUNS 999999999 could not be retrieved. This DUNS Number is not registered in SAM.
- **Work In Progress**  
The record is in the Work in Progress stage when all the Core Data is completed or an update has been initiated from a previously active or expired record. The registration will remain in Work In Progress status from Core Data, through Assertions, Reps & Certs, and POCs, until the record is submitted.
- **Submitted**  
Once the registration is submitted it is sent to IRS for validation and for CAGE/NCAGE Code assignment or validation. Notification is by e-mail when the reviews are complete.
- **Active**  
Once the entity registration is successfully processed, i.e. passes the external validations, it becomes Active in SAM. It will remain active for 365 days from the date submitted for processing, unless it is deactivated by the entity Administrator.
- **Inactive / Expired**  
The entity record will expire and go into an inactive status if not updated once every 365 days.
- **Unknown**  
Indicates the status is deactivated.
- **Deactivated / Deleted**  
Indicates record is deactivated.



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### **C. Status Codes in SAM**

During the SAM Registration or update process, status codes are displayed in SAM.

- Draft
- Work In Progress
- Work In Progress - Registration has failed IRS Validation.
- Work In Progress - Registration is undergoing IRS Consent Validation. This may take 3-5 business days. If time frame is over 1 week, contact the Federal Service Desk ([www.fsd.gov](http://www.fsd.gov)).
- Work In Progress - Registration has failed CAGE Validation.
- Submitted – Registration is undergoing IRS TIN Matching. This averages two business days. If it takes longer than one week, contact the Federal Service Desk ([www.fsd.gov](http://www.fsd.gov)).
- Submitted – Registration has passed IRS Validation.
- Registration Pending CAGE Validation.
- Submitted – Registration Pending CAGE Validation.
- Active
- Inactive / Expired
- Deactivated

### **D. CAGE Status in CSI**

During the SAM Registration or update process, status codes are displayed on the CSI webpage.

- Active
- Active Record – Specialized Use
- Active With Restraint
- Debarred
- Obsolete – Company Location Unknown
- Obsolete – Company Discontinued
- Cancelled Without Replacement
- Cancelled With Replacement Record

### **E. How to Navigate CSI Tool**

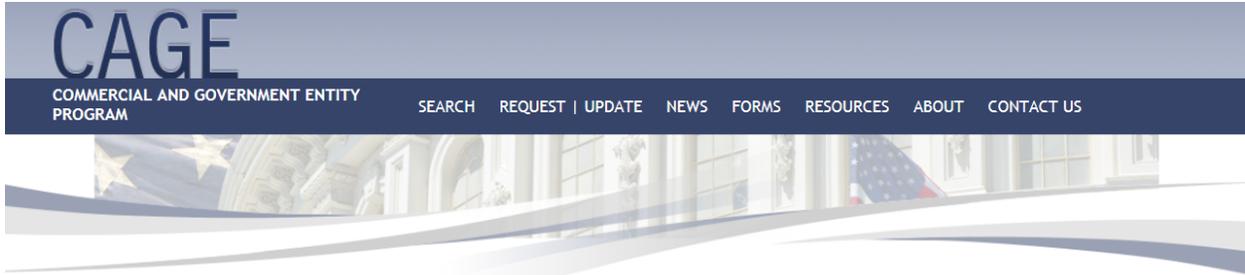
1. CAGE Search and Inquiry (CSI – formerly Business Identification Numbering Cross-Reference System (BINCS)) is a public facing search engine for domestic and foreign entity/organizations, suppliers and potential contractors supporting the U.S. Federal supply chain and should be used to verify the registration information.
  1. Go to the CSI homepage at <https://cage.dla.mil/search>.
  2. Click “I AGREE” at bottom middle of the page.



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This site requires cookies to function properly. Please enable acceptance of cookies if they are currently disabled.

This site has been tested and is operational on Internet Explorer (IE11), Mozilla Firefox (Version 38), and Google Chrome (Version 48).



3. The easiest way to search in CSI is to search by CAGE/NCAGE or DUNS Number.
4. Select "Search".



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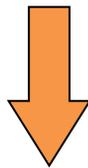
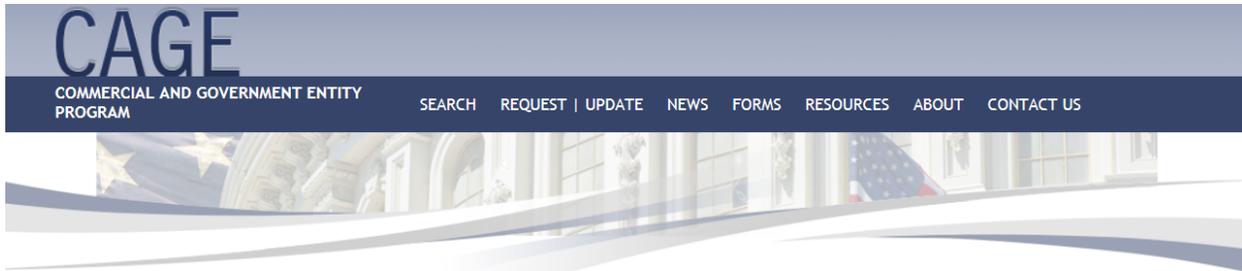


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Search CAGE

79986

SEARCH

Advanced

Legal Name

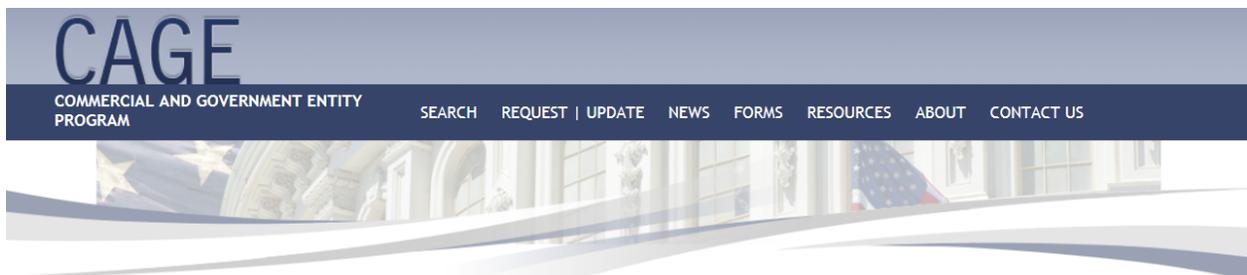
Contact Phone

State/Province

Postal Code

SEARCH TIP: Use a "?" within the Legal Name to perform a wildcard search (e.g., Elec?)

5. Results will be displayed. Select "Details" to display CAGE information.
6. Use "Search" on the header menu to perform another search.



**Search Results**

CAGE or DUNS

Legal Name

Phone

State/Province

Postal Code

SEARCH

Results Returned: 1

CAGE	DUNS	Legal Business Name ▼	State/Prov.	Zip/Postal	
79986	007901598	BATTELLE MEMORIAL INSTITUTE	OH	43201	<a href="#">Details</a>





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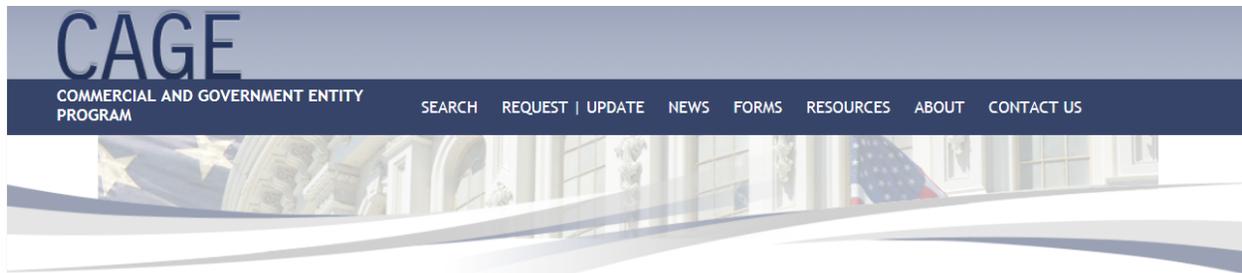


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**Details** ← Back

**79986** **BATTELLE MEMORIAL INSTITUTE**

CAGE Information		Contact Information	
CAGE	79986	POC	RANDI HORNBACK
DUNS	007901598	Corporate URL	
Status	Active	Phone	6144247068
Type	U.S./Canada Manufacturer	Fax	6144587068
Established	11/04/1974	Address	505 KING AVENUE
Last Updated	06/15/2012	P.O. Box	
SAM Expiration	06/15/2013	City	COLUMBUS
		County	
		State/Province	OH
		Country	UNITED STATES
		Zip/Postal	43201 2696

Ownership of Offeror Information	
Highest Level Owner	List of Offerors (0)
Information not Available	Information not Available
Immediate Level Owner	
Information not Available	

Additional Information	
CAO-ADP	S3605A-HQ0337
Parent CAGE	<a href="#">79986</a>

**14.3 Appendix 3: SAM Registrations/Updates**

For information on SAM, visit <https://www.sam.gov> and select HELP for FAQs, User Guides, and Demonstration Videos.

**14.4 Appendix 4: Required Documentation for U.S. CAGE Validation**

Email letters are generated and sent to entity/organization when a response is needed to complete the validation actions in SAM. The letters will indicate response due date.

In order for a U.S. CAGE Code to be assigned or updated, a validation process must occur with two (2) key data elements for a U.S. CAGE Code:

1. Legal Business Name
2. Physical Location



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**A. Legal Business Name Validation**

U.S. CAGE Program Office validates the Legal Business Name with one of the following:

1. Secretary of State (SOS)
2. State or Local Government
3. Joint Venture Agreements
4. Partnership Agreements
5. Trust Agreements

- Entity must be in an “Active” or “Good Standing” status, if registered with the (SOS).
- A LBN discrepancy could be due to a buyout, merger, and name correction. See examples listed in Appendix 4A.
- If the LBN doesn’t match, then documentation must be submitted in order for U.S. Company/Organization doing business in the United States to change their Legal Business Name.
- CAGE will notify the Government POC listed in SAM for the required documentation.
- A reply to the email notification is required within **5 business days** or the registration will be returned back to SAM and may be resubmitted when documentation is available.

**B. Legal Business Name Change**

U.S. CAGE Program office validates the Legal Business Name change with the following:

The CAGE Program Office will validate U.S. Government contracts through the Federal Procurement Data System (FPDS).

- If the LBN doesn’t match, then supporting documentation must be submitted in order for U.S. Company/Organization doing business in the United States to change their legal business name.

**IF NO OPEN CONTRACTS within FPDS:** Required legal documents for a name change will require one of the following:

- Name Change Certificate filed with the Secretary of State
- Legal Merger/Acquisition documentation
- Asset Purchase Agreement with the signature page(s)
- Amended Articles of Incorporation or Organization
- Joint Venture/Partnership Agreement
- Trust Documentation
- Subscription Agreement
- Unit Purchased
- Security Purchase Agreement
- Notarized letter from authorized entity official certifying legal business name
- CAGE does not accept IRS documentation as proof of name change or correction.
- NOTE: Name change documentation is not required if the entity is a Federal, State, Local or Tribal Government entity



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**OPEN CONTRACTS within FPDS:** Required legal documents for a name change will require one of the following signed by Administrative Contracting Officer (ACO) of the largest contract award (if multiple contracts):

1. Signed Novation Agreement
2. Signed Change-of-Name Agreement
3. Signed Correction-of-Name Agreement
4. Signed SF30 Modification of Contract Form
5. Email notification letter from ACO of largest contract acknowledging name change

**C. Legal Business Name Change for Corporations and LLC's**

**Corporation/LLC Requirements:** Corporations and LLC's must be registered with the SOS unless they are a government entity or an educational institute. A single disregarded entity which is an LLC may be registered with SOS.

**D. Legal Business Name Change for Partnership**

**Partnership Requirements:** If the entity is listed as a partnership and cannot be found on the SOS, CAGE will request a Partnership Agreement for Legal Business Name verification.

**E. Legal Business Name Change for Sole Proprietors**

**Sole Proprietors Requirements:** The Legal Business Name must be the sole proprietor's first and last name. (Ex. Doe, Jane or Jane Doe) A registered fictitious name/assumed name/trade style name can be entered in the field indicated as the 'doing business as' company name.

- Husband/Wife Sole Proprietorships are acceptable in community property states (Arizona, California, Idaho, Louisiana, Nevada, New Mexico, Texas, Washington and Wisconsin).
- If the entity is not located in one of these states the record will be returned to SAM so the POC can correct the Legal Business Name to reflect a single name.

**F. Joint Ventures**

**Joint Venture Requirements:** CAGE will confirm the entity's Legal Business with the Secretary of State. A Joint Venture Agreement may be requested if the LBN cannot be verified online.

**G. Revocable Trusts**

**Trust Requirements:** CAGE will validate the trust name by requesting a Trust Agreement.

**H. Physical Address Change Process  
**Physical Address Requirements****

- The Physical Address must be complete with D&B and SAM to include suite/apt/unit number if applicable.
- You may be required to verify if the Physical Address is a virtual office or incubator.
  - Virtual office verification will include a one year lease or license agreement signed by both parties with the correct Legal Business Name and Physical Address on the agreement.



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- The lease must state that you have access to a meeting room/conference room or have physical office space.
- Those who have less than a one year lease agreement must provide a written statement that their agreement is set up for automatic renewal and the majority of their work is performed at that location.
- We do not allow Highway Carrier (HC) or Highway Carrier Route (HCR) as a physical street address. Private mailboxes (PMB) are not acceptable physical addresses. Storage unit addresses are not allowed unless the registrant is actually providing storage.
- Restricted addresses are only allowed for women’s shelters, FBI agents, NSA agents, or others related to national security.
- RV travelers are the only type of vendors who are allowed to use a drop box address. This is after it’s confirmed there is no permanent place of residence.
- For updates to the records, CAGE will also validate with the POC any changes that have been made in SAM. (Ex: Physical Address change).

**I. DUNS Number Change Process**

**DUNS +4 Requirements:**

- CAGE will make sure primary record has already been processed and that +4 record matches the primary record.
- POC will be contacted to verify the +4 was not created in error.
- CAGE will validate the LBN and Physical Address. If there is a discrepancy POC will be contacted by a technician.

**J. DUNS Switch and Deactivation Requirements:**

- The entity administrator can deactivate an invalid or duplicate DUNS:
- Login to SAM.gov > “My SAM” > “Register Update Entity” > “Complete/Inactive/Incomplete Registrations”, scroll down and you will see the company name in the Entity List box, click on it then choose “DEACTIVATE” from the Registration Details box. Confirm and finalize deactivation.

**K. Ownership of Offeror Change Process**

**Ownership of Offeror Requirements:**

- The [Request or Update CAGE Code](#) for Ownership of Offeror is only used when the company is not doing business with the U.S. Government.
- The entity’s Legal Business Name and physical address will be validated. If there is a discrepancy a CAGE technician will contact the POC.
- If there is an existing SAM Registration started or the entity plans on participating in Government business a Request or Update CAGE Code is not necessary and a SAM Registration is required.



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#### **14.5 Appendix 5 SAM Letters**

When U.S. CAGE Validation is not successful, SAM emails the user a CAGE Return Letter. The emails will indicate the “*CAGE Code Validation Failed for [Entity Name / DUNS / CAGE]*”.

The following validation failure reasons will be displayed in SAM and will produce a letter to the authorized SAM administrator or the user of the entity/organization.

1. Returned - Please contact the DLA Contact Center at [dlacontactcenter@dla.mil](mailto:dlacontactcenter@dla.mil) or 269-961-7766 or 1-877-352-2255 for more information on the CAGE rejection reason.
2. Returned-D&B changes or updates needed incorrect or incomplete physical address.
3. Returned-NCAGE Code is invalid or inactive.
4. Returned-Legal Business Name does not match NCB data.
5. Returned-D&B changes or updates needed, incorrect or incomplete Legal Business Name.
6. Returned-Invalid or incomplete POC information provided.
7. Returned-Invalid CAGE Code provided in registration.
8. Returned-Failure to provide legal documentation.
9. Returned-Failure to respond to a CAGE request within 5 business days.
10. Returned-Invalid physical address does not match NCB data.
11. Returned-Legal Business Name and address do not match NCB data.
12. Returned-Data for this NCAGE Code has not been received from NSPA.
13. Returned-CAGE Code used with another DUNS/DUNS+4. POC to provide correct DUNS/DUNS+4.
14. Returned-Per vendor request.
15. Returned-DUNS+4 not required.
16. Returned-A CAGE Code is already assigned to the submitted DUNS/DUNS+4 sent as NEW.
17. Returned-DUNS/DUNS+4 do not exist in CAGE Program Office.
18. Returned-DUNS/DUNS+4 exist in CAGE Program Office but has a different CAGE Code assigned.

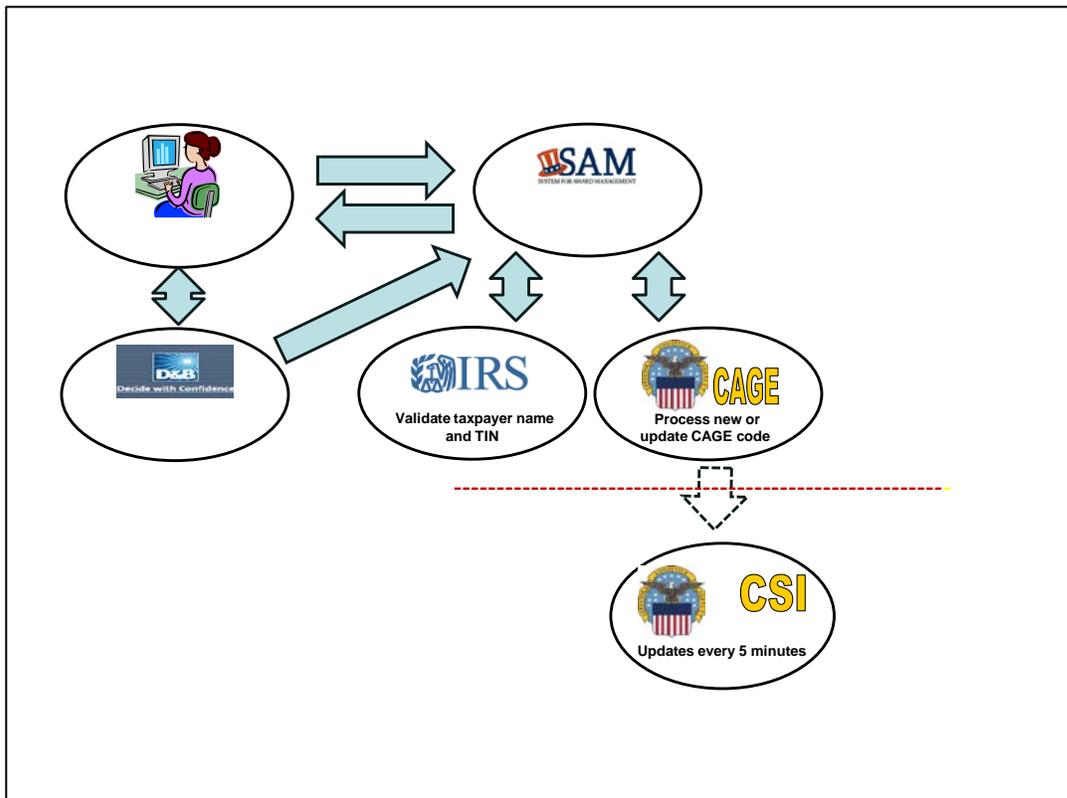


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**14.6 Appendix 6 Process Flows**



1. U.S. entity registers with Dun & Bradstreet (D&B).
2. U.S. entity registers in the GSA System for Award Management (SAM).
3. First time registrants to SAM must accept information of Legal Business Name and physical address from D&B when registering in SAM.
4. SAM registration is sent to IRS for validation – registration is returned to SAM.
5. SAM registration is sent to CAGE for screening and prevention of potential counterfeit and debarred sources, and validation of name and address – registration is returned to SAM.
6. U.S. entity is validated and reflect active at SAM, entity is notified and eligible for contracts and/or grant awards. If returned and failed CAGE validation, entity/organization may resubmit when corrections are updated in D&B and/or SAM.



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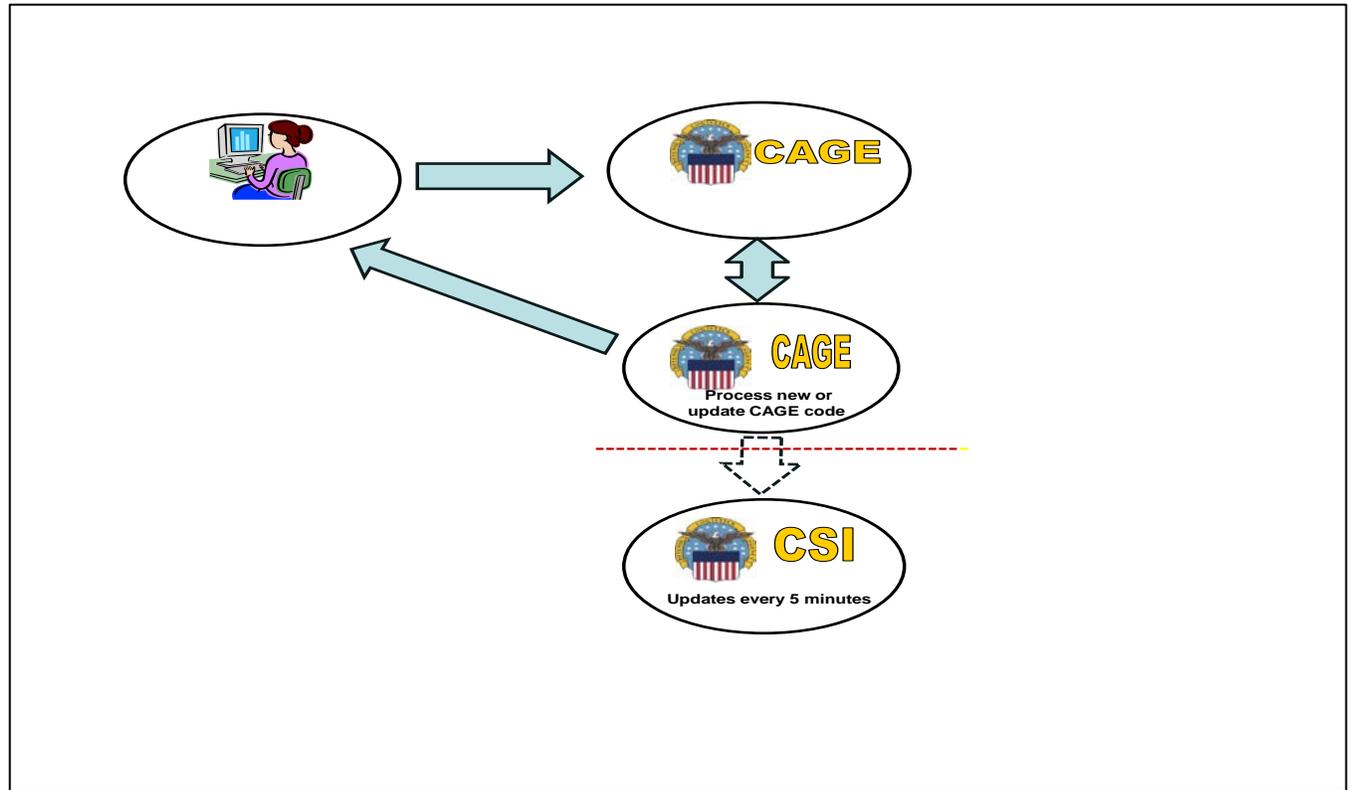


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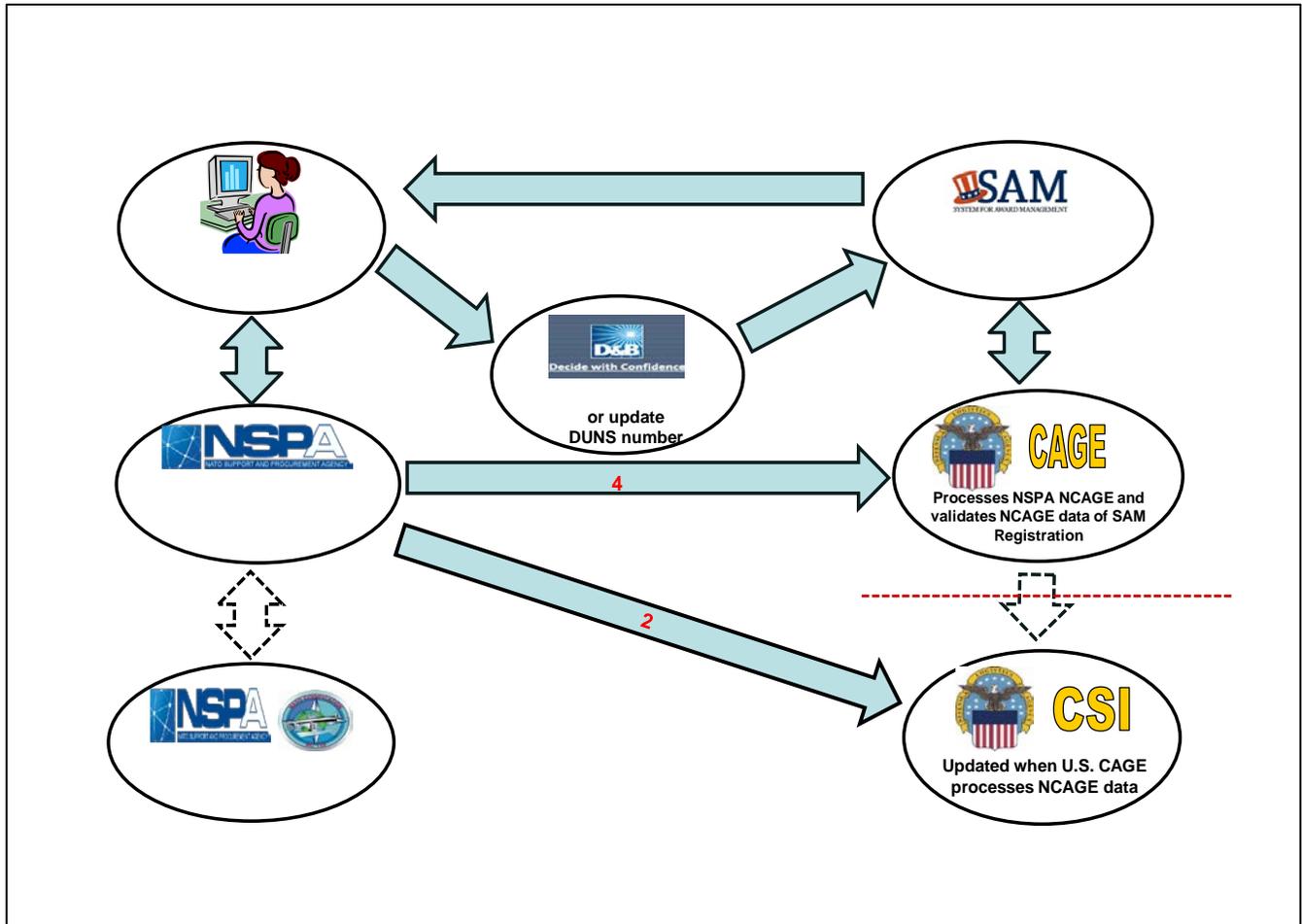
1. U.S. entity (not receiving U.S. contracts/grants) submits request for new or update CAGE code to <http://cage.dla.mil/request> .
2. Email is sent to CAGE Program Office for screening and validation of Legal Business Name and associated information. Request is either returned or processed.
3. If U.S. entity is processed for a new CAGE code or update, entity is notified and information is updated in CSI. If returned and not processed, entity may resubmit when corrections are complete.



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1. NCAGE (Non U.S.) entity requests or updates an NCAGE at NSPA CAGE/NCAGE Code Request at <https://eportal.nspa.nato.int/AC135Public/scage/CageList.aspx> . NSPA routes requests to the Allied Committee 135 (AC/135) National Codification Bureau (NCB) for assignment or update OR NSPA will assign/update NCAGE, based on the entity's country physical address location.
2. When NCAGE is assigned or updated NSPA transmits ALL NCAGE data to participating nations, to include the U.S. CAGE office. U.S. CAGE office processes and NCAGE data is displayed in CSI.
3. If entity is doing business with the U.S. Government, they must register in D&B and then SAM. When the NCAGE is assigned/updated and displayed in CSI, NCAGE entity/organization registers with Dun & Bradstreet (D&B)
4. NCAGE entity/organization registers in the GSA System for Award Management (SAM). SAM validates NCAGE code in CSI. If not present in CSI, SAM notifies registrant. First time registrants to SAM and registrations needing updates to names and addresses must accept information from D&B when registering/updating in SAM.
5. SAM registration is sent to U.S. CAGE for validation of name and address – registration is returned to SAM (returned or active)
6. If SAM registration is processed and active, entity is notified and eligible for contracts and/or grant awards. If returned (failed CAGE validation), NCAGE entity/organization may resubmit SAM registration when corrections are updated at NSPA, D&B and/or SAM.



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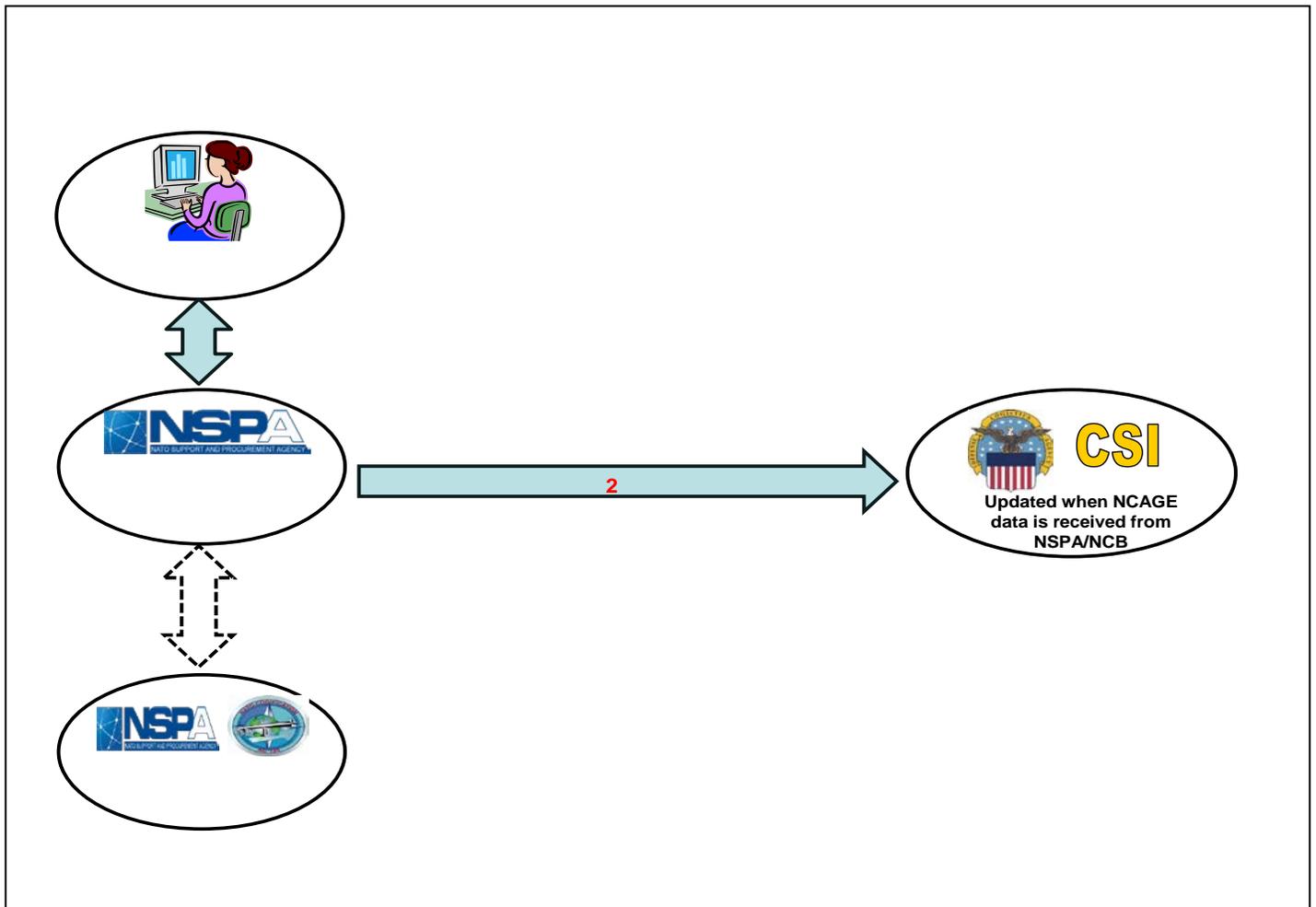


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1. NCAGE (Non U.S.) entity requests or updates an NCAGE at NSPA CAGE/NCAGE Code Request at <https://eportal.nspa.nato.int/AC135Public/scage/CageList.aspx>. NSPA routes requests to the Allied Committee 135 (AC 135) National Codification Bureau (NCB) or NSPA will assign/update NCAGE based on nation of entity.
2. When NCAGE is assigned or updated NSPA transmits all NCAGE data to participating nations, to include the U.S. CAGE office. U.S. CAGE office processes and NCAGE data is displayed in CSI.



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**15. ROLES AND RESPONSIBILITIES**

<b>Role:</b>	<b>Responsibility:</b>
Allied Committee 135 (AC/135)	This group, which is under the authority of North Atlantic Treaty Organization (NATO), is committed to increased effectiveness and efficiency of global logistics systems and operations for participating nations and to provide the bridge necessary to facilitate global logistics operations.
CAGE Program Office	The Defense Logistics Agency (DLA) Commercial and Government Entity (CAGE) Program Office in Battle Creek, MI is the only authorized source of U.S. CAGE Codes. CAGE Program Office is found at <a href="https://CAGE.DLA.MIL">https://CAGE.DLA.MIL</a>
Dun and Bradstreet (D&B)	A company or individual wishing to bid on a Government contracts and/or grants must obtain a D-U-N-S Number, a unique nine-digit identification number (for each physical location that will perform on contracts) assigned by Dun and Bradstreet.
DLA Contact Center also known as Customer Interaction Center (CIC)	DLA CIC assistance with placing, modifying and tracking requests for CAGE Program Office.
National Codification Bureau (NCB)	NCB is governed by the NATO Allied Committee 135 (AC/135), with each member nation's National Codification Bureau controlling and issuing its own unique National Stock Numbers and NCAGES.
NATO Support and Procurement Agency (NSPA)	The NATO Support and Procurement Agency (NSPA) is a NATO funded agency. The NSPA is the executive body of the NATO Support and Procurement Organization (NSPO) and provides administrative and program support for the Allied Committee (AC/135) National Codification of Directors, which consist of 28 NATO and partner nations.
North Atlantic Treaty Organization (NATO)	An alliance of countries from North America and Europe committed to fulfilling the goals of the North Atlantic Treaty signed on 4 April 1949.
System for Award Management (SAM)	The Central Contractor Registration (CCR) was the primary supplier database for the U.S. Government until July 30, 2012. The CCR collected data from suppliers, validated and stored this data, and disseminated it to various government acquisition agencies. On July 30, 2012, the CCR transitioned to the System for Award Management.



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**16. TERMS**

<b>Term/Acronym</b>	<b>Definition</b>
AC135	Allied Committee 135 – a NATO committee who oversees codification policy and procedures for NATO and partner nations.
ACO	Administrative Contract Office
BINCS	Business Identification Number Cross-reference System (now replaced with CAGE Search and Inquiry (CSI))
CAGE	Commercial and Government Entity
CAGE Request or Update Link	Only entity/organizations NOT receiving/or will be receiving contracts/grants from the U.S. Government but require a U.S. CAGE code for facility clearances, etc.
CSI	CAGE Search & Inquiry public facing database of CAGE/NCAGES which are displayed by the CAGE Program Office
CIC	Defense Logistics Agency Customer Interaction Center
D&B	Dun and Bradstreet
DFARS	Defense Federal Acquisition Regulation Supplement
DoD	Department of Defense
DUNS	Data Universal Numbering System
Entity	Person, department, team, corporation, cooperative, partnership, business, manufacturer, organization or other group with whom it is possible to conduct business.
FAR	Federal Acquisition Regulation
GPOC	Government Point of Contact
HL or HLO	Highest Level Owner - An entity that owns or controls an Immediate Owner of the Offeror, or that owns or controls one or more entities that control an Immediate Owner of the Offeror. No entity owns or exercises control of the Highest-Level Owner.
IO	Immediate Owner - An entity, other than the Offeror, that has direct control of the Offeror. Indicators of control include, but are not limited to, one or more of the following: ownership or interlocking management, entity of the interests among family members, shared facilities and equipment, common use of employees.
IRS	Internal Revenue Service
LBN	Legal Business Name
LLC	Limited Liability Company
LLP	Limited Liability Partnership
NATO	North Atlantic Treaty Organization
NCAGE	North Atlantic Treaty Organization Commercial and Government Entity Code
NCB	National Codification Bureau
NSPA	NATO Support and Procurement Agency
Offeror	A person or entity who makes a specific proposal to another (the offeree) to enter into a contract (the business or organization registering in SAM).
OoO	Ownership of Offeror
POC	Point of Contact
Reps & Certs	Representations and Certifications (Formerly ORCA)
SAM	System for Award Management
SSN	Social Security Number
TIN	Taxpayer Identification Number



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WIP	Work in Progress
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**17. SUPPORTING REFERENCES/RESOURCES**

<b>References:</b>
CAGE Program Office <a href="https://CAGE.DLA.MIL">https://CAGE.DLA.MIL</a>
Request or Update CAGE Code form <a href="https://cage.dla.mil/request">https://cage.dla.mil/request</a>
Defense Federal Acquisition Regulation (DFAR) PGI 204.18 – COMMERCIAL AND GOVERNMENT ENTITY CODE
Dun and Bradstreet (D&B) 1-866-705-5711 <a href="http://fedgov.dnb.com/webform">http://fedgov.dnb.com/webform</a>
DLA Customer Interaction Center (CIC) aka DLA Contact Center 1-877-352-2255 Toll Free: 1-877-352-2255 Commercial: 1-269-961-7766 DSN: 661-7766 Email: <a href="mailto:dlacontactcenter@dla.mil">dlacontactcenter@dla.mil</a>
Federal Acquisition Regulations (FAR) Subpart 4.18
Registration and Updating Procedures for CAGE Code (CAGE) or a NATO CAGE (NCAGE) <a href="https://eportal.nspa.nato.int/AC135Public/Docs/US%20Instructions%20for%20NSPA%20NCAGE.pdf">https://eportal.nspa.nato.int/AC135Public/Docs/US%20Instructions%20for%20NSPA%20NCAGE.pdf</a>
NATO Codification Tool aka CAGE/NCAGE Code request stored at URL <a href="https://eportal.nspa.nato.int/AC135Public/scage/CageList.aspx">https://eportal.nspa.nato.int/AC135Public/scage/CageList.aspx</a>
NATO Support and Procurement Agency (NSPA) <a href="https://eportal.nspa.nato.int/AC135Public/scage/CageList.aspx">https://eportal.nspa.nato.int/AC135Public/scage/CageList.aspx</a>
NATO Group of National Directors on Codification Contacts (National Codification Bureau) <a href="http://www.nato.int/structur/AC/135/main/links/contacts.htm">http://www.nato.int/structur/AC/135/main/links/contacts.htm</a>
North Atlantic Treaty Organization (NATO) <a href="https://eportal.nspa.nato.int/AC135Public/scage/CageList.aspx">https://eportal.nspa.nato.int/AC135Public/scage/CageList.aspx</a>
System for Award Management (SAM) <a href="http://www.sam.gov">www.sam.gov</a>
System for Award Management (SAM) Status Tracker <a href="https://www.sam.gov/SAMPortal/sam/helpPage/SAM_Reg_Status_Help_Page.html">https://www.sam.gov/SAMPortal/sam/helpPage/SAM_Reg_Status_Help_Page.html</a>
System for Award Management (SAM) Registration Guidance for U/S/ Entities <a href="https://www.sam.gov/sam/transcript/Quick_Guide_for_Contract_Registrations.pdf">https://www.sam.gov/sam/transcript/Quick_Guide_for_Contract_Registrations.pdf</a>
System for Award Management (SAM) Registration Guidance for International Entities <a href="https://www.sam.gov/sam/transcript/Quick_Guide_for_International_Entity_Registration.pdf">https://www.sam.gov/sam/transcript/Quick_Guide_for_International_Entity_Registration.pdf</a>
System for Award Management (SAM) Update Guidance <a href="https://www.sam.gov/sam/transcript/Quick_Guide_for_Updating_or_Renewing_CCR-SAM_Registrations.pdf">https://www.sam.gov/sam/transcript/Quick_Guide_for_Updating_or_Renewing_CCR-SAM_Registrations.pdf</a>



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**18. REVISION HISTORY**

Version	Author	Date	Revisions
1.0			Initial Creation