



DoD INSTRUCTION 4140.69

ENGINEERING SUPPORT INSTRUCTIONS FOR ITEMS SUPPLIED BY DEFENSE LOGISTICS AGENCY (DLA)

Originating Component: Office of the Under Secretary of Defense for Acquisition, Technology, and Logistics

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Approved by: Frank Kendall, Under Secretary of Defense for Acquisition, Technology, and Logistics

Purpose: In accordance with the authority in DoD Directive (DoDD) 5134.01 and pursuant to the Base Realignment and Closure Commission 2005 recommendation #176, this issuance establishes policy, assigns responsibilities, and provides direction for engineering support provided by the Military Services to the DLA in support of DLA Supply Classes II and IX.

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SECTION 1: GENERAL ISSUANCE INFORMATION

1.1. APPLICABILITY. This issuance:

a. Applies to the Military Services and DLA in accordance with Sections 101, 113, 191, 193, and 197 of Title 10, United States Code (U.S.C.) and Section 151 of Title 14, U.S.C.

b. Does not apply to:

(1) Supply Class I in accordance with DoDD 5101.10E.

(2) Supply Class III in accordance with DoDD 5101.8; the requirements for engineering support are contained in DoD 4140.25-M.

(3) Supply Class VIII in accordance with DoDD 5101.09E, which applies to medical, dental, and veterinary equipment in Federal Supply Group (FSG) 65, Federal Supply Class (FSC) 6630 and 6640, and repair parts peculiar to medical equipment within any FSC.

(4) FSC 9925, ecclesiastical equipment, furnishings, and supplies. Military Service chaplains work directly through the DLA Office of the Command Chaplain for these commercial off-the-shelf items.

(5) DLA retail sites.

1.2. POLICY. It is DoD policy that:

a. The Military Services retain engineering authority and configuration management for those items transferred to DLA for integrated materiel and procurement management.

b. DLA reimburses the Military Services for engineering support.

c. The Military Services and DLA support supply chain planning and execution to maintain efficient inventory levels.

SECTION 2: RESPONSIBILITIES

2.1. ASSISTANT SECRETARY OF DEFENSE FOR LOGISTICS AND MATERIEL READINESS (ASD(L&MR)). Under the authority, direction, and control of the Under Secretary of Defense for Acquisition, Technology, and Logistics (USD(AT&L)), the ASD(L&MR):

- a. Develops policy and oversees Service and DLA implementation of this issuance.
- b. Includes engineering support performance reviews to the Joint Logistics Board (JLB) chartered by the Chairman of the Joint Chiefs of Staff and USD(AT&L) as required for oversight and direction to strengthen the capabilities of the joint force.

2.2. DIRECTOR, DLA. Under the authority, direction, and control of the ASD(L&MR), the Director, DLA:

- a. Establishes an engineering support-performance based agreement (ES-PBA) with each Military Service to define business rules, authority delegations, response times, event triggers, funding details, and performance measures and goals.
- b. Requests engineering support in accordance with Section 4 of this issuance.
- c. Provides and maintains a records management system for requesting, executing, and tracking engineering support actions. This system will maintain history of all correspondence, changes, and responses with the engineering support activities (ESA).
- d. Formulates resource requirements and coordinates with the Military Services to develop engineering support workload forecasts to support the DLA Defense Working Capital Fund cycle. Reimburses the Military Services using the DD Form 448, Military Interdepartmental Purchase Request for engineering support they provide to DLA.
- e. Provides supply and procurement plan forecasts to the Military Services semi-annually.
- f. Tracks and assesses performance against the goals with the Military Services at joint reviews as documented in the ES-PBA.
- g. Maintains an open dialogue with the Military Services to resolve process or procedural conflicts, ensure efficient submission of requests for engineering support, and ensure engineering services are mutually beneficial.
- h. Maintains the criticality codes or weapon systems essentiality codes provided by the Military Services in the Federal Logistics Information System (FLIS) database and the Weapon System Support Program.
- i. Uses the Service approved source of supply list for procurement of critical items.

2.3. SECRETARIES OF THE MILITARY DEPARTMENTS AND COMMANDANT OF THE U.S. COAST GUARD. The Secretaries of the Military Departments and Commandant of the U.S. Coast Guard:

- a. Serve as engineering authority and determine criticality of all items. As the engineering authority, perform all configuration management and technical data management responsibilities. Keep criticality codes (including critical safety items (CSIs) and critical application items (CAIs)) and weapon system essentiality codes (WSECs) up to date.
- b. Ensure national stock numbers (NSNs) are properly coded in accordance with Volume 10 of DoD 4100.39-M and Volume 2 of DoD Manual 4140.01. Ensure established acquisition method and acquisition method suffix codes are provided to DLA.
- c. Establish a Service-level ES-PBA with DLA to define business rules, authority delegations, response times, event triggers, funding details, and performance measures and goals.
- d. Provide timely engineering support to DLA requests in accordance with response times defined in the ES-PBAs. Expedite processing for obsolete components utilized in all ongoing acquisition programs (Acquisition Categories I-IV) in the development and production phases of the life cycle as required by Section 803 of Public Law 113-66, as well as during sustainment. This includes requests for NSN cancellations, and diminishing manufacturing sources and materiel shortages.
- e. Ensure that financial resources provided by DLA are used for the intended purposes as outlined in the funding documents and agreements.
- f. Maintain an open dialogue with DLA to resolve process or procedural conflicts and to ensure successful engineering services support to DLA.
- g. Notwithstanding CSI and CAI procurements, collaborate with DLA to develop appropriate technical requirements and language regarding engineering requirements, quality assurance provisions, and quality assurance instructions for procurement of items.
- h. Maintain and provide updates to the technical data package, supplemental data technical characteristics, or quality data to support DLA procurements in a timely manner. Through the records management system, provide the technical characteristics and specifications (as available) of each item supplied by DLA.
- i. Track and assess performance against the goals with DLA at joint reviews as documented in the ES-PBA.
- j. Maintain the approved source of supply list for critical items.

SECTION 3: MANAGEMENT PROCEDURES

3.1. ENGINEERING AUTHORITY. The Military Services will assign their engineering authority to DLA, as necessary. DLA will perform engineering support only by explicit written delegation of authority and only for those specific NSNs explicitly identified.

3.2. RECORDS MANAGEMENT SYSTEM. DLA will initiate and process all engineering support requests including but not limited to technical data validation, forecast validation, and requests for ESA approval via the records management system. To the maximum extent possible, all information and data will be attached to the engineering support request. The ESA will process DLA requests in accordance with this issuance and respond to DLA via the records management system.

3.3. PERFORMANCE METRICS. The Military Services and DLA will ensure transparency of all performance metrics. The data sources of record will be accessible, as agreed to, to both the Military Services and DLA to include access to all data residing in those systems. Performance goals will be documented in the ES-PBAs, tracked at joint reviews, and presented to the JLB.

3.4. FINANCIAL MANAGEMENT. DLA will commit to a minimum funding level in advance of the start of the fiscal year to allow ESA staffing and planning. Each ES-PBA will define the requirements and funding. Billing will be in compliance with DoD 7000.14-R (Volume 11A, Chapters 1 and 3). Funding will be obligated in quarterly increments or as defined in each ES-PBA.

SECTION 4: ENGINEERING SUPPORT REQUIREMENTS

4.1. ENGINEERING SUPPORT REQUESTS. The Military Services and DLA may tailor requirements for engineering support requests in their individual ES-PBAs. When Service specific tailoring contradicts another Service requirement on common items, DLA will request engineering support from the lead Service based upon the highest critical application per the weapon system designator code. The lead Military Service will coordinate with the other Services to obtain mutual concurrence. Unless otherwise specified in the ES-PBA, this procedure applies.

a. ESA Assistance.

(1) The need for ESA assistance is based upon the item's criticality as coded in accordance with DoD 4100.39-M, Volume 10 (FLIS Table 181) and WSEC.

(2) DLA can also choose to send a request for engineering support to the ESA when circumstances are warranted.

b. Engineering Support Determination. DLA will request engineering support using the NSN, criticality or WSECs as determined by the Military Services. Weapon system essentiality will be determined using the WSEC data recorded in the Weapon System Support Program in accordance with Volume 2 of DoD Manual 4140.01. Multiple WSECs may be recorded for a particular item. The most restrictive WSEC will be used to determine if engineering support is required.

c. Technically Critical or Weapon System Essential. For items that are technically critical or weapon system essential, engineering support requests will be sent to the ESA for review and approval. Determination of these items will be:

(1) If the criticality code is C, E, F, H, M, N, S, V, or Y, then the item will require engineering support regardless of the WSEC code.

(2) If the criticality code is X and the item is assigned a WSEC of 1, 5, 6, or 7, then the item will require engineering support.

(3) If the criticality code is X and the only assigned WSEC is 3, then the item will not require engineering support.

(4) If the criticality code is blank, the WSEC will be used to determine engineering support. When the WSEC is 1, 5, 6, or 7, then the item will require engineering support. When the WSEC is 3, then the item will not require engineering support.

4.2. EXCEPTION TO THIS PROCESS. Engineering support is required for all clothing, textiles, and individual equipment items that are critical items (e.g., life support, CSIs, FSC 7210, FSG 83, and FSG 84 up to and including FSC 8475) and standard issue (bag) items (i.e., clothing, apparel, or textile items).

SECTION 5: PERFORMANCE MEASURES

5.1. DLA PERFORMANCE MEASURES. DLA quality measures will:

- a. Quantify the proportion of engineering support requests routed to the correct ESA on the first transmission of the engineering support request.
- b. Ensure procurement control processes. DLA will share processes and results.
- c. Additional performance measures may be defined in the ES-PBA.

5.2. MILITARY SERVICES PERFORMANCE MEASURES. The Military Services' quality and timeliness measures will quantify the:

- a. Proportion of engineering support requests executable.
- b. Proportion of engineering support requests meeting response time requirements.

GLOSSARY

G.1. ACRONYMS.

ASD(L&MR)	Assistant Secretary of Defense for Logistics and Materiel Readiness
CAI	critical application item
CSI	critical safety item
DLA	Defense Logistics Agency
DoDD	DoD directive
ESA	engineering support activity
ES-PBA	engineering support-performance based agreement
FLIS	Federal Logistics Information System
FSC	Federal Supply Class
FSG	Federal Supply Group
JLB	Joint Logistics Board
NSN	national stock number
WSEC	Weapon System Essentiality Code
USD(AT&L)	Under Secretary of Defense for Acquisition, Technology, and Logistics

G.2. DEFINITIONS. Unless otherwise noted, these terms and their definitions are solely for the purpose of this issuance.

CAI. An item that is essential to weapon system performance or operation, or the preservation of life or safety of operating personnel, as determined by the cognizant engineering activity(s).

critical characteristic. Any feature throughout the life cycle of a critical item, such as dimension, tolerance, finish, material or assembly, manufacturing or inspection process, operation, field maintenance, or depot overhaul requirement that, if non-conforming, missing, or degraded, may cause the failure or malfunction of the critical application or CSI.

criticality code. Codes that indicate an item's technical criticality by reason of tolerance, fit restrictions, application, nuclear hardness properties, or other characteristics stated in Table 181 of Volume 10 of DoD 4100.39-M.

C The item has critical features such as tolerance, fit restrictions or application. Nuclear hardness properties have not been determined (not valid for input).

E The item is an aviation CSI/flight safety critical aircraft part and is specially designed to be or selected as being nuclear hard.

F The item is an aviation CSI/flight safety critical aircraft part.

H The item is specifically designed to be or selected as being nuclear hard (i.e., it will continue to perform its designed function in an environment created by a nuclear explosion). The item does not have other critical features.

M The item is specifically designed to be or selected as being nuclear hard. In addition, the item has other critical features such as tolerance, fit restrictions, or application.

N The item does not have a critical feature such as tolerance, fit restrictions, or application. Nuclear hardness properties have not been determined (valid for input).

S The item is a non-aviation CSI whose failure will result in serious damage to equipment or serious injury or death to personnel.

V The item has not been reviewed for flight safety critical aircraft part, CSI, or CAI purposes by an approved engineering authority.

X The item does not have a nuclear hardened feature or any other critical feature such as tolerance, fit restriction, or application.

Y The item does not have a nuclear hardened feature but does have other critical feature(s) such as tolerance, fit restriction, or application.

CSI. CSIs are categorized as either aviation CSIs or ship CSIs. Any reference to CSI includes both aviation CSIs and ship CSIs.

An aviation CSI is a part, assembly, installation equipment, launch equipment, recovery equipment, or support equipment for an aircraft or aviation weapons system that contains a characteristic whose failure, malfunction, or absence may cause a catastrophic or critical failure resulting in the loss or serious damage to the aircraft or weapons system; an unacceptable risk of personal injury or loss of life; or an uncommanded engine shutdown that jeopardizes safety.

A ship CSI is any ship part, assembly, or support equipment containing a critical characteristic whose failure, malfunction, or absence may cause a catastrophic or critical failure resulting in loss or serious damage to the ship or unacceptable risk of personal injury or loss of life.

engineering support. Engineering and technical assistance, including, but not limited to: developing, validating, and approving technical data packages; developing and reviewing engineering criteria; representing Service engineering interests; and providing technical guidance and decisions required in the management and procurement of an item for its entire life cycle.

ESA. The Military Service organization assigned responsibility and authority to perform and approve engineering and quality assurance actions necessary to evolve detail design disclosures

for systems, subsystems, equipment, and components exhibiting attributes essential for products to meet specific military requirements. In the case of multiple users, there may be more than one ESA.

life support item. All equipment and components designed to protect, sustain, or save human lives, as designated by the cognizant engineering activity.

performance based agreement. A negotiated agreement between DLA and each of the Military Services that delineates what each party provides and can expect to be provided in the business relationship. The agreement should include, but not be limited to, funding details, metric goals, technical data requirements, and engineering support request suspense times.

standard issue (bag) items. A uniform item usually supplied to enlisted personnel by the Military Services and controlled by a Service Uniform Board.

WSEC. A code used to determine essentiality of an item to a particular weapon system for the specific Weapon System Designator Code listed in Enclosure 3 of Volume 2 of DoD Manual 4140.01.

Code 1. Failure of the item renders the end item inoperable.

Code 3. Failure of the item does not render the end item inoperable.

Code 5. Item does not qualify for the assignment of Code 1, but is needed for personal safety.

Code 6. Item does not qualify for the assignment of Code 1, but is needed for legal, climatic, or other requirement peculiar to the planned operational environment of the end item.

Code 7. Item does not qualify for the assignment of Code 1, but is needed to prevent the impairment or temporary reduction of operational effectiveness of the end item.

REFERENCES

- Base Realignment and Closure Commission 2005 Recommendation #176, September 8, 2005
- DoD 4100.39-M, Volume 10, “Federal Logistics Information System (FLIS) Procedures Manual; Multiple Application References/Instructions/Tables and Grids,” October, 2010
- DoD 4140.25-M, “DoD Management of Bulk Petroleum Products, Natural Gas, and Coal,” date varies by volume
- DoD 7000.14-R, Volume 2, “Financial Management Regulation: Budget Formulation and Presentation,” current edition
- DoD 7000.14-R, Volume 11, “Financial Management Regulation: Reimbursable Operations Policy,” current edition
- DoD Directive 5101.8, “DoD Executive Agent (DoD EA) for Bulk Petroleum,” August 11, 2004
- DoD Directive 5101.09E, “Class VIIIA Medical Materiel Supply Management,” September 29, 2015
- DoD Directive 5101.10E, “DoD Executive Agent (DoD EA) for Subsistence,” September 27, 2004
- DoD Directive 5134.01, “Under Secretary of Defense for Acquisition, Technology, and Logistics (USD(AT&L),” December 9, 2005, as amended
- DoD Instruction 4140.25, “DoD Management Policy for Energy Commodities and Related Services.” June 25, 2015
- DoD Manual 4140.01, Volume 2, “DoD Supply Chain Materiel Management Procedures: Demand and Supply Planning,” February 10, 2014
- DoD Manual 4140.01, Volume 3, “DoD Supply Chain Materiel Management Procedures: Materiel Sourcing,” February 10, 2014
- Federal Acquisition Regulation, December 15, 2014
- Public Law 113-66, “National Defense Authorization Act for Fiscal Year 2014,” December 26, 2013
- United States Code, Title 10
- United States Code, Title 14, Section 151