



DEPARTMENT OF THE NAVY

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IN REPLY REFER TO:

NAVSEALOGCENINST 4355.1 CH-1
N44/DPD

JAN 31 2002

NAVSEALOGCEN INSTRUCTION 4355.1 CHANGE TRANSMITTAL 1

From: Commanding Officer, Naval Sea Logistics Center
To: All N44 Personnel

Subj: PROCEDURES FOR PROVIDING ENGINEERING SUPPORT TO THE LEVEL
1/SUBSAFE STOCK PROGRAM

1. Purpose. To update subject instruction.
2. Action. Holders of the basic instruction add the following pen and ink change to the end of paragraph 7.c (2) (a): "All documents used to provide the response for the technical rationale or basis upon which the referral response is based must be cited on the engineering referral rationale sheet. This typically would include the drawing(s) and specification(s) with applicable revision(s), etc. Version number of the applicable technical data package is an acceptable substitute."


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NAVSEALOGCEN INSTRUCTION 4355.1

From: Commanding Officer, Naval Sea Logistics Center

Subj: PROCEDURES FOR PROVIDING ENGINEERING SUPPORT TO THE
LEVEL I/SUBSAFE STOCK PROGRAM

Ref: (a) NAVSEA 0924-062-0010
(b) NAVICP/NAVSEALOGCENINST 9000.1
(c) NAVSUP/NAVSEA Instruction 4440.16B
(d) NAVSEASYS COM ltr 9505 OPR 56YD Ser 56YD/047 of 30 Jul 91
w/enclosures
(e) SUBMEPP/SPCC/NAVSEALOGCEN Memo of Understanding of 20 Sep 91
concerning LI/SS TRIDENT Planned Equipment Replacement Program
(TRIPER) Procurement Specifications
(f) NAVSEALOGCENINTINST 4355.7A
(g) NAVSEALOGCENINTINST 4355.8A

1. Purpose. To establish procedures for the internal processing of purchase referrals requiring engineering review in support of the Level I/SUBSAFE (LI/SS) Stock Program.

2. Cancellation. NAVSEALOGCENINTINST 4355.1D

3. Definitions

a. Approved Engineering Alternative (AEA). A deviation, waiver, or other approved variation from contract or technical requirements which is documented for dissemination to users of LI/SS Stock Program material.

b. Approved Engineering Change (AEC). A permanent change to the current configuration documentation of a configuration item (CI) which is documented for dissemination to users of LI/SS Stock Program material.

c. Deviation. A specific written authorization, granted prior to the manufacture of an item, to depart from a particular requirement(s) of an item's current approved configuration documentation for a specific number of units or a specified period of

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time. (A deviation differs from an engineering change (EC) in that an EC requires corresponding revision of the item's current approved configuration documentation, whereas a deviation does not.)

d. Engineering Change (EC). A change to the current approved configuration documentation of a CI at any point in the life cycle of the item.

e. Engineering Change Proposal (ECP). A proposed EC and the documentation by which the change is described, justified, and submitted to the government for approval or disapproval.

f. Level I (LI). Designation of material which must meet certification requirements of the Material Identification and Control System established by the Material Control Standard (Non-Nuclear), NAVSEA 0948-LP-045-7010.

g. Life Cycle Manager (LCM). Manager with overall responsibility for the engineering, configuration, and logistics of assigned shipboard systems and components.

h. Purchase Referral. A term used to describe a request from Naval Inventory Control Point (NAVICP) for engineering assistance on matters related to the procurement, inspection, or acceptance of LI/SS Stock Program materials.

i. Quality Deficiency Report (QDR). The SF 368 Form or message format used to record and transmit product quality deficiency data.

j. Special Material Identification Control (SMIC). A two character National Stock Number (NSN) suffix code reserved for special and unique material programs. The following SMICs are used for the LI/SS Stock Program:

(1) LI - Designates Level I requirements apply.

(2) SS - Designates SUBSAFE requirements apply.

(3) S1 - Designates Level I requirements apply, however, material has only surface ship applications.

(4) SB - Same as SS but material also has special cleaning requirements.

(5) C1 - Same as LI but material also has special cleaning requirements.

(6) Q3 - Items not LI or SS but support a LI or SS system. These items meet all LI requirements but are not certified.

(7) VG - Same as Q3 but material also has special cleaning requirements.

k. Submarine Safety (SUBSAFE). Designation for special program materials meeting the requirements of reference (a).

l. Technical Information Requests (TIR). A request by NAVICP LI/SS Technical Division for engineering assistance during preparation or review of NAVICP procurement specifications for LI/SS materials.

m. TRIDENT Planned Equipment Replacement Program (TRIPER). Designation for special program materials used to support TRIDENT submarines. Purchase referrals for TRIPER materials are assigned "Priority" attention.

n. Waiver. A written authorization to accept an item which, during manufacture or after having been submitted for government inspection or acceptance, is found to depart from specified requirements, but, nevertheless, is considered suitable for use "as is" or after rework by an approved method.

4. Scope. This instruction applies to all Naval Sea Logistics Center (NAVSEALOGCEN) employees who are responsible for the review, disposition, or maintenance of LI/SS Stock Program purchase referral packages or for the distribution of information related to these referrals.

5. Background. The LI/SS Stock Program was established in 1966 to assure that certified LI/SS materials are available through the stock system to support the maintenance, overhaul, and repair of critical shipboard systems. The program is a joint Naval Sea Systems Command (NAVSEASYS COM)/Naval Supply Systems Command effort with policies and overall responsibilities defined in reference (c). Currently the Stock Program consists of approximately 12,000 stock numbered items. NAVSEALOGCEN provides technical support to the program on all engineering issues that arise during the procurement, inspection, and use of pre-certified LI/SS materials. Examples are vendor initiated waivers, deviations, technical data deliverables, TIRs that occur during preparation of the procurement specification, and usability of material rejected by receipt inspection and user activities. These issues are forwarded to NAVSEALOGCEN via what are generically termed purchase referrals. The identification and organizational responsibilities for invoking configuration control in NAVICP contracts and processing purchase referrals are defined in reference (b). As required by references (b) and (c), this instruction provides the operating procedures for the internal processing of engineering purchase referrals by NAVSEALOGCEN.

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6. Responsibilities. NAVSEALOGCEN's responsibility to provide engineering support to the LI/SS Stock Program is provided by reference (c). Technical authority to execute this responsibility has been provided by NAVSEASYSKOM in reference (d).

7. Action. To comply with the requirement of this instruction, the following actions shall be followed:

a. General Requirements

(1) Goals for purchase referral turnaround times are:

(a) Category One – Casualty Reports, Selected Issue Priority Group (IPG) One Requisitions, Pre-Certified Quality Deficiency Reports (QDRs), Source Certification Waivers, or other purchase referrals identified by NAVICP requiring high priority processing. Time Frame – 85% in 7 days.

(b) Category Two – Priority List (identified by NAVICP monthly letter) or TRIPER. Time Frame – 85% in 30 days.

(c) Category Three – Routine (all others). Time Frame – 90% in 45 days.

(2) Waiver or deviation requests by vendors should be submitted on a Request for Deviation/Waiver Form (DD Form 1694) as required by reference (b). Approval action shall not normally be withheld by NAVSEALOGCEN if the waiver or deviation request is not on a DD Form 1694 provided all pertinent information is included to permit evaluation of the request; however, the response to NAVICP should indicate that the vendor shall be required to use the preferred form when submitting future requests.

(3) Vendors wishing consideration for material rejected by the certifying activity are expected to submit a waiver request on DD Form 1694. There will be cases when a vendor will refuse to submit a waiver request because he considers the QDR invalid or the discrepancy non-vendor liable. In such cases or when the material is urgently needed, NAVSEALOGCEN may approve the use of the material through the purchase referral process.

(4) TRIPER Program purchase referrals regarding review of airborne and structureborne test reports or configuration control shall be forwarded via NAVICP Submarine Ship Systems Department to Submarine Maintenance Engineering Planning and Procurement Activity (SUBMEPP) for approval in accordance with reference (e). TRIPER Program materials are identifiable by a "4Y" cog in the NSN.

b. Purchase Referral Internal Control

(1) Purchase Referral Receipt. All incoming purchase referrals are received at the Division's control desk. Each purchase referral receives an initial screening by the supply technician to assure applicability to the program, identify misroutings, and for completeness. Misroutings or those SMICs not applicable to the LI/SS Stock Program are returned to the sender. In cases of incomplete packages (e.g. contract not attached), the sender is requested to forward necessary information.

(2) Purchase Referral Traceability. All screened purchase referrals are assigned a NAVSEALOGCEN Internal Control Number which is stamped near the top of the purchase referral sheet and entered into the purchase referral tracking system. Details of the tracking system are documented in the "Desk Guide for Purchase Referral Tracking System." Multiple NAVSEALOGCEN Internal Control Numbers are assigned to those purchase referrals applicable to several purchase referral requests or contracts to assure discrete traceability from the NAVSEALOGCEN Internal Control Number to individual purchase requests or contracts.

(3) Purchase Referral Internal Distribution. After initial log in, all referrals are screened by the Division Director or designee for "Priority" and applicability to the program, sorted by commodity and/or type of issue involved, assigned to an engineer and returned to the supply technician for update of the purchase referral tracking system. All high priority purchase referrals are passed directly to the engineers for immediate processing; all others are placed in the engineer's incoming box.

c. Technical Processing of Purchase Referrals

(1) With the exception of high priority purchase referrals which are directly assigned, engineers draw purchase referrals from their respective incoming bins.

(2) Purchase referrals shall be worked as follows:

(a) A purchase referral rationale sheet shall be prepared for each purchase referral. The rationale sheet shall be used to document significant information, actions, or delays encountered during the process of completing the purchase referral. In addition, the rationale sheet shall contain the technical rationale or basis upon which the response is based.

(b) Purchase referrals shall be processed in accordance with level of technical authority delegated to NAVSEALOGCEN as described in reference (d) and/or reference (a). For technical issues beyond the approval authority of reference (d)

and/or reference (a) or for material not specifically described in reference (c), the purchase referral shall be processed normally except that the NAVSEALOGCEN recommendation shall always be discussed with and documented concurrence obtained from the NAVSEASYSKOM LCM. Referrals which cannot be administered locally shall be processed in accordance with reference (a).

(c) Records of all telephone conversations (PHONCONS) which contributed directly to the preparation of the purchase referral response shall be documented and attached to the purchase referral package. At no time shall a PHONCON record state NAVSEASYSKOM concurrence or approval of a technical referral or an issue without a countersignature by the NAVSEASYSKOM LCM.

(d) Purchase referrals for TRIPER materials related to review of structureborne and airborne testing shall be processed as described in paragraph 7a(4) above.

(e) In the event the purchase referral requires forwarding to NAVSEASYSKOM or to the LCM for review, concurrence, or assistance, the following actions are required:

1. A purchase referral package consisting of a copy of the purchase referral and any supporting background information or technical data including the DD Form 1694, if required, shall be provided to facilitate the NAVSEASYSKOM or LCM review. The original purchase referral shall be retained at NAVSEALOGCEN.

2. The forwarding of the purchase referral package shall be controlled and shall be by either official letter or NAVSEALOGCEN route sheet as designated by NAVSEASYSKOM or the LCM.

3. The purchase referral tracking system shall be updated to reflect that the purchase referral is awaiting outside action.

(f) Purchase referral responses shall be provided either directly on the purchase referral cover sheet or attachment thereto and signed and dated by the engineer who reviewed the purchase referral. Purchase referral responses shall be printed to promote legibility. In the event an attachment sheet is used, the attachment shall reference, as a minimum, the NAVSEALOGCEN Internal Control Number and the contract number to assure documentation traceability.

(g) In the event the results of the purchase referral review indicate a need to revise the NAVICP procurement specification, the request for revision shall be included in the response. If such a request is made, it shall be made distinct as the last paragraph of the response.

(h) The engineer shall record the activities and organization codes that are to receive copies of the referral action on the purchase referral cover sheet. "Copy to:" activities include:

1. NAVICP TRIPER Branch for purchase referrals related to TRIPER Program materials.
2. SUBMEPP for purchase referrals wherein SUBMEPP was the approving activity.
3. Any other activity/code which may have been directly involved with the purchase referral response.

(i) In the event the purchase referral response leads to the initiation of an AEA or AEC, the engineer is responsible to provide the documentation to support these programs. Criteria for the AEA and AEC Programs as well as guidelines for supporting documentation are provided in references (f) and (g). Any supporting documentation for these programs shall be marked, tabbed, clipped, etc., to permit ready identification to these programs. The final determination for identifying candidate purchase referrals for these programs will be made at the Team Leader or Division Director level; therefore, any purchase referral responses for which the engineer has doubt as to its applicability to the program should be discussed for concurrence prior to preparing the supporting documentation package.

(j) Purchase referrals identified during normal processing as recurring request for waivers or deviations may be evaluated for possible cause. Proposed corrective actions may be included as part of the referral response.

(k) The completed purchase referral package is passed to the Team Leader for technical review and sign-out.

d. Purchase Referral Out-Processing Review

(1) The Team Leader shall review purchase referral responses received from his/her respective team members. As a minimum, the Team Leader shall assure the response is supported by technical data including the rationale sheet, PHONCON documentation and any other supporting documentation; the response is clearly and succinctly written; and proper "Copy to:" activities and codes have been identified when applicable. Acceptance shall be indicated by initialing and dating the applicable section of the rationale sheet. The Team Leader shall also complete the purchase referral tracking system section of the rationale sheet.

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(2) The Team Leader, using references (f) and (g) as guidance, shall identify purchase referral responses which meet the criteria for the AEA and AEC Programs. A "yes" or "no" shall be indicated at the applicable section of the rationale sheet and initialed. The Team Leader is responsible to assure supporting documentation required by references (f) and (g) is attached to the purchase referral package for all responses which meet the criteria for the AEA or AEC Programs. Any doubt as to the applicability of the purchase referral to the AEA or AEC Program shall be discussed with the Division Director.

(3) In the event the purchase referral pertains to acceptance of material rejected by the certifying activity as discussed in paragraph 6a(3) and the deficiency is "vendor liable," the Team Leader shall indicate the need for preparation of an endorsement letter to the certifying activity on the rationale sheet. Approval of material resulting from "non-vendor liable" QDRs does not require an endorsement letter.

(4) If one Team Leader is absent, the remaining Team Leader is responsible to assure the timely out-processing of purchase referrals of both teams. In all cases, high priority purchase referrals shall receive priority attention from the Team Leader in attendance.

(5) Purchase referral responses accepted by the Team Leader are passed to the Division Director or designee for final review and, if applicable, signature of the Engineering Change Proposal Form (Form DD-1692) or Form DD-1694. Response shall be reviewed for technical and administrative adequacy as discussed under Team Leader responsibilities. In addition, the review shall assure concurrence with the AEA/AEC recommendations made by the Team Leader. Final acceptance of the purchase referral package shall be indicated by initialing and dating both the purchase referral cover sheet and the rationale sheet.

e. Purchase Referral Out-Processing, Distribution and Records Retention

(1) Completed, signed-out purchase referrals are passed to the Division Control Desk. Data requirements associated with the completed purchase referral are entered into the purchase referral tracking system.

(2) Purchase referral responses are copied for distribution in accordance with paragraph 7c(2)(h). Copy packages shall include the purchase referral cover sheet, the NAVSEALOGCEN response (cover sheet and/or attachment), and any enclosures to the NAVSEALOGCEN response including vendor submitted technical documentation or forms (excluding drawings and welding procedures), test reports, etc., and, if applicable, the QDR involved.

(3) In all cases, the originator receives the original copy of the purchase referral package and, if the purchase referral approved a drawing, the approved drawing shall be forwarded with the original purchase referral package. If the purchase referral approved material previously rejected by the certifying activity and the rejection was vendor liable, the purchase referral is returned to the originator via endorsement letter to the certifying activity.

(4) A copy of the completed purchase referral traceable to the NAVSEALOGCEN purchase referral tracking system, including the rationale sheet, records of PHONCONS, working notes, if applicable, and any other supporting documentation are filed in the applicable vendor file for record and retention purposes.

f. Purchase referrals processed during the previous calendar year will be evaluated for recurrence in order to identify possible causes. Recurring requests may be due to deficient procurement specifications, drawings, manufacturing procedures or other related causes.

(1) Purchase referrals annotated as a waiver or deviation will be retrieved from the Tracking System based on the National Stock Number (NSN) and vendor.

(2) Review purchase referrals to determine if corrective action is required based on identification of a root cause; corrective action has been taken according to paragraph 7c(2)(j); or purchase referrals are unrelated and corrective action is not required.

(3) Corrective action when required will be by referral generated in-house and processed as a normal purchase referral according to paragraph 7c.

8. Forms. Rationale sheets and NAVSEALOGCEN route sheets are available from the NAVSEALOGCEN LI/SS Support Division. DD Forms 1692 and 1694 can be obtained from Defense Printing Service Detachment Office (DPSDO) by ordering on a Publications and Printing Request, DPS 2500/1.

9. Maintenance. The maintenance responsibility for this instruction is assigned to the LI/SS Support Division of NAVSEALOGCEN.


J. J. HUND

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All N44 Personnel

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