



DEPARTMENT OF THE NAVY

NAVAL SEA SYSTEMS COMMAND
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IN REPLY TO

NAVSEAINST 9078.1
Ser 04/002
1 May 07

NAVSEA INSTRUCTION 9078.1

From: Commander, Naval Sea Systems Command

Subj: NAVAL SHIPS' CRITICAL SAFETY ITEM PROGRAM, NON-NUCLEAR

- Ref:
- (a) NAVSEAINST 5400.106, NAVSEA Supplier Product Quality Group (SEA 04P) Charter
 - (b) NAVSEA 0948-LP-045-7010, Rev 3, Material Control Standard
 - (c) NAVSEA 0924-062-0010, Submarine Safety (SUBSAFE) Requirements Manual
 - (d) SS800-AG-MAN-010/P9290, System Certification Procedures and Criteria Manual for Deep Submergence Systems
 - (e) NAVSEA T9044-AD-MAN-010, Requirements Manual for Submarine, Fly-By-Wire Ship Control Systems
 - (f) NAVSEA/NAVSUPINST 4440.16B, Level I/SUBSAFE (LI/SS) Stock Program
 - (g) NAVICPINST 4355.5, Level I/SUBSAFE (LI/SS) Stock Program Material Procedures
 - (h) NAVSEAINST 5450.50, Assignment of Engineering Technical Authority and Responsibility within the Naval Shipyards for Non-Nuclear Work
 - (i) NAVSEAINST 5400.95D, Waterfront Engineering and Technical Authority Policy
 - (j) NAVSUP P-485, Rev 3, Naval Supply Procedures
 - (k) NAVSEAINST 5400.97B, Virtual SYSCOM Engineering and Technical Authority Policy
 - (l) Defense Contract Management Agency, Naval Special Emphasis Programs: Quality Assurance Representative Instruction
 - (m) Federal Acquisition Regulation (FAR), Part 46, Quality Assurance
 - (n) Defense Federal Acquisition Regulation Supplement (DFARS), Part 246, Quality Assurance
 - (o) SECNAVINST 4855.3B, Product Data Reporting and Evaluation Program (PDREP)
 - (p) Defense Contract Management Agency, Naval Special Emphasis Programs: Program Management Instruction

Encl: (1) Definition of Terms

DISTRIBUTION STATEMENT:A Approved for Public Release;
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1. Purpose. To provide command level policy, responsibilities, coordination and awareness in procurement of; Critical Safety Items (CSIs) as well as modification, repair and refurbishment (overhaul) of ships' non-nuclear CSIs. A 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. This instruction defines associated CSI terminology for use in supporting processes by various commands and organizations involved in this program. It also addresses requirements governing the initial determination of item criticality (and subsequent changes in determination), unique coding for visibility of items so designated, and the supplier evaluation and qualification processes supporting procurement and refurbishment of CSIs. Minimum requirements for life-cycle management of non-nuclear replenishment items meeting the definition of CSI are provided. Supplemental requirements are detailed for the generation of technical data packages and proposed changes in support of Configuration Management programs including the recognition of authority to act on waivers and deviations pertaining to CSIs.

2. Implementation. Naval activities shall implement this instruction as soon as practicable after receipt. Implementing activities are requested to advise NAVSEA 04P no later than 01 August 2007 with the planned date of implementation.

3. Scope. This instruction applies to Government Activities and Contractors involved in the procurement, modification, repair, and refurbishment (overhaul) of non-nuclear CSIs in support of naval surface ships, submarines and Deep Submergence Systems. This includes but is not limited to; Naval Sea Systems Command, the Navy Program Executive Offices (PEOs), the Naval Inventory Control Point (NAVICP), Mechanicsburg, Supervisors of Shipbuilding, Conversion and Repair (SUPSHIPS), Regional Maintenance Centers, Fleet Intermediate Maintenance Activities and Naval Shipyards. This instruction does not apply to the new construction of Naval Platforms except where elements are contractually invoked by the building specifications. NAVSEA 08 retains sole authority for all aspects of parts and materials in support of Naval Nuclear Propulsion.

4. Background

a. With the Federal Acquisition Reform Act of 1996, Public Law 104-106, 110 STAT. 390, Congress directed DOD to shift

product quality assurance from the Government to Contractors in conformance with then existing industry practice. Congress repealed 10 U.S.C. 2383 as part of the Act. 10 U.S.C. 2383 had given DOD technical authority control over procurement of Aviation and Ship CSIs. A Conference Report to P.L. 104-106 (*H. Rept. 104-450*) states that the repeal is "intended to assist the Department of Defense in shifting from reliance on outdated military specifications and standards to the use of modern industrial manufacturing methods that would ensure quality in critical spare parts." In response to the statute, NAVSEA reduced the number of prequalification requirements, significantly decreased the number of military specifications and standards, eliminated the majority of its quality assurance billets, and contractually required its contractors to provide both quality control and quality assurance functions.

b. Although there have not been major failures of ship critical safety parts resulting from non-conforming material, since 1996, NAVSEA has detected an increasing trend of serious non-conforming material issues. In response to this trend, NAVSEA took proactive steps to forestall product quality conditions that could lead to a critical failure and provides Command level policy and management for execution of the Naval Ships CSI Program as delineated in reference (a). NAVSEA's CSI program is now authorized by Section 130 of the John Warner National Defense Authorization Act for Fiscal Year 2007 which re-establishes vendor selection authority with the design control activity. The CSI program is expected to foster improved relationships with suppliers and improve performance so designated materials will more consistently comply with procurement specifications.

5. Definitions. Specific definitions for terms used throughout this instruction are in enclosure (1).

6. Critical Safety Item (CSI) Policy. The requirements herein shall be invoked in all work documents such as contracts and memorandums of agreement, for work as defined within the scope of this instruction.

a. Determination

(1) The Design Control Activity (SEA 05) shall establish documented processes for determination of Naval Ship's CSIs for new acquisitions, existing, modified and newly installed ship's systems and equipment. These processes shall ensure that any ship part, assembly, or support equipment containing a critical

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characteristic such that failure, malfunction or absence may cause a catastrophic or critical failure resulting in loss of a ship, serious damage to a ship, or unacceptable risk of personal injury or loss of life is categorized as a ship CSI. Legacy programs such as the Submarine Safety (SUBSAFE) Program (including structural material per NAVSEA Technical Publications 300 and 1688), Level I Material Control Program, Deep Submergence Systems Program, and Submarine Fly-by-wire Ship Control Systems Program, currently exist as documented in references (b) through (e) and use established criteria to determine critical items for these programs. Items determined to be critical through these legacy programs are considered CSIs and shall be controlled in accordance with those legacy programs.

(2) Upon determination of a new CSI, the SEA 05 process shall ensure the CSI is adequately addressed within the appropriate material program.

b. Criticality Identification

(1) SEA 05 shall establish a documented process that specifies requirements for identification of Naval Ship's CSIs in design documents and Integrated Logistics Support (ILS) data products to support all aspects of the CSI's life cycle (i.e. procurement, provisioning, repair, overhaul, modernization). Use of legacy identification programs shall be used to their fullest extent or wherever possible. These decisions shall be formally documented as part of the SEA 05 process. SEA 05's process shall ensure CSIs are uniquely identified, such as by National Stock Numbers (NSNs) with a supplemental 2-digit Special Material Identification Code (SMIC). SMICs in the following table represent some of the SMICs used by legacy programs.

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SMIC	Associated Program	Unique Characteristic
Q3	Level I / SUBSAFE	Items in support of LI/SS
L1	Level I	
C1	Level I (O ₂ N ₂)	Special Cleaning/Packaging
S1	Level I	Surface Ship specific
D4	DSSP	Material Control divisions A, B and C (MCD-A, MCD-B and MCD-C)
DG	DSSP (O ₂ H)	Special Cleaning/Packaging
DS	Deep Submergence	
D0	DSSP / Level I (O ₂ H)	Special Cleaning/Packaging
H2	Hull Structural	Items in support of LI/SS
P1	Periscopes	Items in support of LI/SS
P2	Propulsion Items	
P3	Propulsion Items	AERP, Shaft Refurbishment Program
SW	Fly-by-Wire	SSN-21 Class
VU	Fly-by-Wire	SSN-774 Class
CP	O ₂ N ₂ Service	Special Cleaning/Packaging
VG	O ₂ H Service in support of LI/SS	Special Cleaning/Packaging items in support of LI/SS

(2) Criticality determinations shall be documented and recorded in a CSI database managed by Defense Logistics Agency (DLA), Richmond, VA, to provide a single comprehensive list of all CSIs that can be referenced by all activities.

(3) The SEA 05 process shall specify the need for an item marking, control and traceability process and ensure that this process is defined in a documented program. Submarine Program Managers shall determine the need for submarine item markings with SEA 05 approval.

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c. Technical. The SEA 05 process shall ensure that technical and quality requirements are defined as needed to ensure compliance with acceptance criteria of the CSI part in its intended end use. Technical documents shall contain all critical and major characteristics, critical processes, and inspection points and other quality assurance requirement that affects form, fit or function, or changes the chemical composition and/or mechanical properties when needed to assure successful procurement or repair/overhaul of CSIs.

d. Sourcing (Suppliers and Repair/Overhaul Activities)

(1) Procurement Activities shall purchase CSIs or contract for repair/overhaul of CSIs only from sources approved by SEA 05. Examples of such procuring Activities are: NAVSUP (NAVICP and Fleet Industrial Supply Center (FISC)), Naval Surface Warfare Center, Carderock Division (NSWC-CD) Philadelphia Detachment and Naval Undersea Warfare Center (NUWC). Source approval and disqualification shall be accomplished via documented processes developed by SEA 05 that will include as a minimum, a review of the following data that is available via Product Data Reporting and Evaluation Program (PDREP) Automated Information System (AIS) or comparable databases:

(a) Quality Profile history which includes the supplier's Red/Yellow/Green Classification Program profile.

(b) Pre-award surveys.

(c) Audits, (e.g., Supplier Audits, Functional Audits, Process Audits).

(d) Product Quality Deficiency Reports (PQDRs).

(e) Fraud/debarment lists.

(f) Approved first article tests where required by specification or drawing.

(2) Only sources in the following categories shall be considered for approval:

(a) Prime contractors.

(b) Manufacturers (e.g., Original Equipment Manufacturer (OEM)).

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(c) Repair/overhaul facilities.

(d) Dealers/distributors. This is applicable to approved dealers and distributors who provide traceability (as defined in enclosure (1)) that the items they are supplying were produced by the system prime contractor, OEM or SEA 05 approved alternate source and are unchanged in any way.

(e) Alternate sources such as Naval Shipyards or other SEA 05 approved organic Designated Overhaul Points (DOPs). Note: Naval Shipyards are approved alternate sources.

(3) Procurement Activities shall ensure specific purchase document content and provisions' rules associated with CSI as well as tests and certifications cited in the technical data item descriptions are specified in material ordering documents and are invoked in procurement documents. Each Procurement Activity is responsible to ensure all required testing and certification requirements are obtained using discrete Contract Data Requirements Lists (CDRLs) similar to references (f) and (g).

(4) Prime contractors, manufacturers and dealers/distributors that have current quality systems acceptable to the government and who have been initially approved will not need reevaluation even if they have not delivered or repaired/overhauled specific CSIs within three years. Alternate sources shall be revalidated by SEA 05 to ensure they remain technically capable of delivering satisfactory items if they have not delivered CSIs for which they were previously approved within three years of an anticipated solicitation. The quality of CSIs from these sources and supplier performance shall be periodically reviewed using existing NAVSEA Programs and Processes, such as PDREP and the Supplier Audit Program. SEA 04P shall support the SEA 05 revalidation by assessing the effectiveness of the suppliers' quality system.

(5) Initial CSI evaluation and revalidation will require performance of a pre-award survey to verify continued capability. Only SEA 05 has authority to determine if reevaluation requirement may be relaxed or waived in its entirety.

(6) Approved sources may become disapproved by SEA 05 and removed from the approved source list by SEA 05 at any time

for non-conformance to contract requirements via defined criteria in a SEA 05 process.

(7) For CSIs, proposed changes to approved sources' manufacturing processes, methods, controls, manufacturing locations, or manufacturing facilities that were used to demonstrate the approved sources' capabilities shall be reviewed and approved by SEA 05 or the designated technical authority in accordance with references (h) and (i) prior to authorization of shipment from the supplier's facility. Specifically, any change that affects fit, form or function, chemical composition, mechanical properties or physical characteristics such as seating surfaces, load bearing surfaces or pressure boundaries shall be approved by SEA 05. Solicitations and contracts for CSIs shall require the contractor to notify the procuring activity through a formal letter or Request for Deviation or Waiver of any such proposed change.

(8) Naval Shipyards or other approved organic DOPs are authorized to procure and manufacture CSIs if the following applies:

(a) There is an emergent need for the item that can't be satisfied by the Navy stock system or the item cannot be provided by an approved source in time to meet operational/production commitments.

(b) SEA 05 or the designated technical authority (e.g., Naval Shipyards as authorized in accordance with references (h) and (i)) has established technical requirements necessary to assure acceptability of the procured or manufactured item, and that the time and expense required to procure, produce and conduct the necessary test/evaluations supports the decision to manufacture and test the item on an emergent basis.

(c) The items are produced with equivalent or better manufacturing processes, controls, and traceability as parts manufactured by an approved original source.

(d) The quality and manufacturing system is sufficient to assure that CSIs achieve a level of quality consistent with operational requirements and approved specifications, can be logistically supported throughout the product's life cycle and Objective Quality Evidence (OQE) for inspections and tests performed is generated as required.

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(e) The DOP produces additional material items in support of destructive testing or first article testing when required by invoked specifications.

(9) Local depot (Field Activities such as Naval Shipyards and Intermediate Maintenance Activities) using their established sourcing processes may procure CSIs when there is an emergent need for an item that cannot be satisfied by the Supply System, or the item cannot be provided by an approved source in time to meet operational commitments as specified in paragraph 6.e.(6). NAVICP shall provide support by identifying potential sources and an approved technical data package for inclusion in the depots' purchase order as needed to support the emergent need. Local purchases shall be reported to NAVICP for use in demand computations IAW reference (j).

e. Quality

(1) All Engineering Change Proposals (ECPs) for CSIs shall be approved technically by SEA 05.

(2) CSIs that fully conform to contract and specification requirements shall be accepted, although SEA 05 may authorize exceptions via deviation or waiver upon technical evaluation. SEA 05 retains sole technical authority for disposition of critical and major non-nuclear CSI non-conformances via the waiver or deviation process. SEA 07 and PMs retain the responsibility for servicing and approving the finalized non-conformances. SEA 05 may delegate the authority for disposition of minor non-conformances in accordance with reference (k) or as already delegated in references (h) and (i).

(3) Government Source Inspection (GSI) is required for all CSIs procured from commercial sources unless otherwise waived by SEA 05. GSI shall be performed in accordance with the minimum inspection requirements contained in reference (l). When higher-level quality assurance requirements (per references (m) and (n)) are required or inspections/surveillances beyond those required in (l), as determined by SEA 05, Quality Assurance Letters of Instruction (QALIs) or Letters of Delegation (LODs) initiated by the procuring activity shall be used to alert Defense Contract Management Agency (DCMA) personnel to verify a product's specific critical feature gained from a manufacturing process before further processing, or to witness final testing or verify critical features that cannot be evaluated by the receiver of the item.

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(4) When required by the specification or other invoked technical requirements, or as determined and specified by SEA 05, provisions for First Article Testing (FAT) and Product Verification Audits (PVAs) shall be included in contracts.

(5) Modifications to finished product CSIs during installation or local repair of deficient conditions in order to make the item fit or function are prohibited without concurrence from SEA 05 or the designated technical authority using the established and NAVSEA approved non-conformance review process used by the installer or Repair Activity. Modifications are authorized without technical approval when a CSI is specified and designed with installation "custom fit" characteristics for multiple configuration services.

(6) All activities performing depot, intermediate and fleet level maintenance that are engaged in component acquisition, replacement, refurbishment and overhaul shall obtain designated CSI repair piece parts only from the Supply System or a SEA 05 approved source. When a CSI is not available from the Supply System or available from an approved source and potential sources cannot be approved by SEA 05 in time to support emergent needs, maintenance activities shall use their established sourcing processes and invoke any specific program contract clauses to obtain the item. The maintenance activity shall promptly obtain concurrence from SEA 05 and notify NAVICP of their procurement action.

(7) Product Quality Deficiency Reports (PQDRs) shall be submitted for all CSI defects. Nonconforming CSIs will be investigated, tracked, processed, and recorded in accordance with reference (o). Each PQDR shall clearly indicate the material is a "CRITICAL SAFETY ITEM" and entered into PDREP. PQDRs shall be submitted on new or newly reworked government-owned products, premature equipment failures, or products in use that do not fulfill their expected purpose, operation, or service due to deficiencies in design, specification, material, manufacturing, or workmanship. Deficiencies which may cause death, injury, or severe occupational illness; would cause loss or major damage to a weapon system; critically restricts the combat readiness capabilities of the using organization; or any defect which would result in a production line stoppage shall be classified as Category 1 PQDRs.

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(8) Configuration control of CSI parts (especially containing computer software) to ensure correct versions of correct parts are installed on the appropriate ships shall be managed via established Program Managers' configuration management processes. This process shall ensure that there is accountability by part number, serial number and hull number.

f. Disposal

(1) When CSIs are no longer needed in material inventories to support active ships of the fleet, they shall be provided to Defense Reutilization and Marketing Office (DRMO) for disposal only after removal of unique traceability, and demilitarized as determined in the provisioning process in accordance with the Defense Demilitarization Manual, DODM 4160.21M-1.

(2) Prior to disposal, CSIs that are nonconforming, expired shelf life, or have no documentation or acceptance markings shall also have any and all material control markings obliterated and shall be demilitarized in accordance with the Defense Demilitarization Manual, DODM 4160.21M-1.

(3) Nonconforming CSIs that have not been technically evaluated as acceptable for a specific end use or have not been repaired to an acceptable condition shall be mutilated prior to disposal to prevent reuse.

g. Management and Oversight

(1) Technical data necessary for the design, manufacture, procurement, repair, or overhaul of CSIs shall be verified and validated by NAVICP and SEA 05 as necessary to ensure clear technical item descriptions are developed. Accurate technical item descriptions are essential for Technical Data Packages (TDPs) which are used along with other documentation requirements to convey technical requirements in Requests for Quotes (RFQ) and Requests for Proposals (RFP) to approved sources during the procurement process.

(2) NAVSEALOGCEN Detachment, Portsmouth shall maintain a current NAVSEA approved list of ship non-nuclear CSIs, including the identified and approved sources maintained by NAVSEALOGCEN, Mechanicsburg. NAVSEALOGCEN Det., Portsmouth shall establish procedures to ensure proper identification of the CSIs and the acquisition, manufacture, or repair/overhaul processes are from acceptable sources. NAVSEALOGCEN Det.,

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Portsmouth will provide the current ship non-nuclear CSI listing to DLA, for entering into the DoD-wide CSI database for use by all Navy activities as the authoritative listing of ship non-nuclear CSIs.

(3) NAVICP shall follow locally established procedures consistent with this instruction to request approval from the appropriate Engineering Support Agency (ESA) for all changes affecting CSIs regarding design, material, inspections or testing, in addition to acceptance of ECPs, review of non-conformances (major and critical) or any reverse engineering proposals.

(4) All requests from NAVICP for engineering support shall comply with this instruction and their local processes, be accurate, complete, and identify the timeframe needed for the response to support orderly provisioning and material availability for the fleet. In the event the technical authority cannot respond in the requested timeframe, NAVICP shall be notified and provided an estimated completion date.

(5) Each organization shall establish and conduct training programs to ensure personnel involved with CSIs are fully aware of responsibilities and requirements.

(6) NAVSEA 04P, with support from NAVSEA 05, NAVICP and DCMA, shall jointly conduct annual assessments of the management and oversight of CSIs to confirm that the procedures prescribed by this instruction are followed, to identify and correct programmatic deficiencies, and to identify and institute process improvements.

7. Responsibilities

a. SEA 04P shall ensure proper coordination, development, and management of programmatic policies, processes, training, reviews, and assessments associated with managing ship non-nuclear CSIs across naval functions and DCMA Navy Special Emphasis Operations (NSEO) management, other affected DCMA Contract Management Offices (CMOs) and field support activities. SEA 04P is the custodian of this instruction and shall ensure it reflects current program requirements and relationships.

b. The responsibility to coordinate supplier oversight functions within NAVSEA and across related activities and agencies does not supersede or relieve any existing organization

of responsibilities for continued support to oversee supplier product quality.

c. As the Design Control Activity, SEA 05 is responsible for the design/technical integrity and operational safety, suitability, and effectiveness of shipboard systems and equipment. SEA 05 has authority to delegate this and other responsibilities to engineering agents with demonstrated competence to act within a prescribed technical authority framework as delineated in references (h), (i) and (k). The delegations of authority must be in writing and reviewed periodically to ensure the level of authority is commensurate with the level of competence and organic technical disciplines represented in the delegated organization. Delegations must clearly define all limitations and boundaries that the agent is authorized to perform in. SEA 05 is also responsible for providing technical assistance to the DCMA NSEO and other DCMA CMOs as applicable, supporting CSI product lines and commodities to ensure maximum reasonable product quality.

d. SEA 07Q shall monitor CSIs supporting the SUBSAFE/Deep Submergence Systems Program, per references (c) and (d), to ensure these CSIs are properly identified and managed within the supply system. In accordance with references (c) and (d), SEA 07Q shall lead periodic audits of NAVICP and other organic activities performing SUBSAFE work to ensure ongoing compliance with the material control aspects of the CSI Program.

e. SEA 07T shall monitor CSIs supporting the Submarine Fly-by-Wire Ship Control System Program, per reference (e), to ensure these CSIs are properly identified and managed within the supply system. In accordance with reference (e), SEA 07T shall lead periodic audits of NAVICP to ensure ongoing compliance with the material control aspects of the CSI Program as related to reference (e).

f. SEA 04XQ shall monitor the implementation of CSI Program management elements in NAVSEA depot level activities as part of the overall review of their Quality Management System.

g. SEA 04P shall monitor CSI Program elements in NAVSEA depot level receipt inspection processes supporting procurement of CSIs.

h. NAVSEALOGCEN shall disposition ship non-nuclear CSI non-conformances only within the level of authority delegated from SEA 05 to act as its engineering agent. NAVSEALOGCEN Det., Portsmouth shall also maintain a list of approved vendors in the

Product Data Reporting and Evaluation Program Automated Information System (PDREP AIS).

i. NAVICP shall implement this instruction as it pertains to CSIs (e.g., Level I/SUBSAFE Stock Program procurements as addressed in references (f) and (g)). These responsibilities include proper provisioning visibility (via SMIC coding, etc.) and provisioning of ship non-nuclear CSI Program materials. Resolution of all non-conformances discovered during the receipt inspection process shall be dispositioned by NAVSEALOGCEN in accordance with established Memorandums of Agreement (MOAs) or as authorized by SEA 05. NAVICP is also responsible for managing the receipt inspection process and obtaining resolution of technical issues (deviation requests) by NAVSEALOGCEN and referral to SEA 05 or the designated technical authority as necessary.

j. DCMA NSEO CMO is responsible for providing the direct in-plant government oversight of ships' CSIs, prior to authorization of shipment, unless other arrangements are authorized to provide in-plant oversight via DCMA/NAVSEA Memorandums of Agreement. The responsibilities include coordinating facility inspections, process surveillances and process/product audits to qualify and sustain commercial activity's abilities to produce CSIs and to ensure proper control and disposition on nonconforming product prior to acceptance. DCMA is also responsible for conducting and reporting the results of specific independent inspections (QALIs) to verify critical attributes requested by DoD Services. The Navy Special Emphasis Program (NSEP) support elements are contained in references (l) and (p).

k. Program Executive Offices (PEOs) are responsible to support SEA 05 during the design process for new ship classes to determine when new items shall be classified as CSIs and the appropriate material control programs for those items. This shall be done prior to delivery of the ship so replacement parts classified as CSIs, needed during in-service work will be available after the ship is delivered.

l. CINCLANTFLT and CINCPACFLT shall monitor the implementation of CSI Program management elements in Fleet Maintenance Activities and Regional Maintenance Centers as part of the overall review of their Quality Management System.

8. Review. This instruction will be reviewed at a minimum of every three years to ensure it remains current and accurate.

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Proposed changes to the instruction shall be formally requested from all cognizant activities on a periodic basis.



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(See next page)

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FKM14 NAVICP (Mechanicsburg)
FKP7 Shipyards (Norfolk, Pearl Harbor, Portsmouth and Puget Sound)
FKP8 SUPSHIP (Bath, Groton, Gulf Coast, Newport News, Puget Sound, San Diego)
FKP21 Sea Logistics Center
FB30 Ship Repair Facility
FKP26 Submarine Maintenance, Engineering, Planning and Procurement Activity
FA13 Submarine Support Facility
FKM11 Fleet and Industrial Supply Center (Yokosuka)
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FKP4E Surface Warfare Center Divisions
FKP1E Undersea Warfare Centers and Divisions

Defense Logistics Agency (DLA) HQ, Ft. Belvoir, Va.
Defense Supply Center Richmond (DSCR)
Defense Contract Management Agency (DCMA)

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DEFINITIONS of TERMS

Alternate Source. An identified and approved manufacturer or supplier (government or contractor) of parts, other than the prime contractor or OEM sources, proven capable of supplying identical part numbered CSIs.

Critical Characteristic. Any feature of a CSI such as dimension, tolerance, finish, material, material property or assembly, manufacturing or inspection process or operation, that if non-conforming, missing, or degraded may cause the premature failure or malfunction of a CSI.

Critical Safety Item (CSI). 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.

CSI Database. The CSI Database is a comprehensive list of Critical Safety Items maintained by the Technical Oversight and Product Assurance Division of Defense Supply Center Richmond. The list is updated by requests from the technical representatives of the Department of the Navy. Examples of the fields are: List Date, when it was updated, stock number, application, nomenclature, part number, prime source, alternate source and approval command (organization).

Defect. Any non-conformance of a unit or product to specified requirements. Defects shall normally be grouped into one of the following classes:

Defect, Critical - A defect that constitutes a hazardous or unsafe condition, or as determined by judgment and experience could reasonably become so, thus making the platform, system, or sub-system unsafe to personnel for continued unrestricted operations.

Defect, Major - A defect other than critical, that could result in failure or materially reduce capability of a part or system for its intended service.

Defect, Minor - A defect that does not materially reduce the usability of the unit or part for its intended purpose or is a non-conformance to a characteristic that has no

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significant bearing regarding continued use of the system or part.

Design Control Activity. SEA 05 is the Design Control Activity for NAVSEASYSCOM. As such, SEA 05 serves as the Navy's design control authority for ships and ship systems throughout their life cycle. This organization establishes and promulgates technical authority and an accountability policy that resides in a technical chain of command of designated individuals. The exercise of technical authority (TA) is a process that establishes and enforces technical standards and policy. This policy encompasses all aspects of NAVSEA engineering including design, acquisition, maintenance, repair, refurbishment (overhaul) and disposal.

Deviation. Approval requested/granted prior to work that will result in a non-conformance.

Disposal. The process of removing product from intended service by reutilizing, transferring, donating, selling, destroying, or other actions to ultimately disposition property. The process may require removal of marking of recognizable significance.

Engineering Change. A change to the current approved configuration documentation of an item at any point in the life cycle of an item.

Engineering Change Proposal. The documentation by which a proposed engineering change is described, justified and submitted to the Design Control Activity for approval.

Engineering Support. The participation of engineering and assigned delegated technical experts to assist in the development and validation of technical data and Technical Data Packages (TDPs) with associated engineering criteria embedded. Support also includes providing guidance regarding a CSI over the life cycle of the part and initially in the decisions for management of the CSI and associated qualification/approval of sources for manufacture, repair, and overhaul as well as dispositioning waivers and deviation.

Failure. An event, or state of inoperability, where a part or system does not fully perform its intended function when operationally used. The condition may be intermittent or constant, but in all cases, non-conforming to specifications.

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First Article. Pre-production models, initial product samples, test samples produced to ensure a manufacturer's capability to meet full specification requirements.

First Article Test (FAT). Contractually required testing and inspection of a supplier's pre-production, production, or "production representative" specimens to evaluate a manufacturer's ability to produce conforming product prior to the Government's commitment to receive subsequent production items. First Article Testing is product specific and does not assess manufacturing process controls nor does it assure the effectiveness of the manufacturer's quality program.

Government Source Inspection (GSI). GSI is independent oversight performed by a government representative (usually a DCMA Quality Assurance Representative (QAR)) to assure that those unique product quality and system elements, identified by the Contracting Agency as important, are observed and evaluated.

Legacy Programs. Programs such as the Level I Material Control Program, SUBSAFE Program, Deep Submergence Systems, Submarine Fly-by-wire Ship Control Systems which are fully established with systematic process, technical and quality controls built in to provide increased confidence in material integrity. This includes procurement quality assurance, receiving inspection and material control from receipt through installation. These legacy programs also require OQE and records control.

Major Characteristic. A characteristic that analysis indicates is not critical but is likely, if defective, to result in failure of the end item to perform a required mission.

Modification. For the purposes of this instruction, any alteration, addition, or change to the approved configuration of a CSI. Routine maintenance, system testing, and temporary instrumentation of a system or component to assess performance is exempted from this instruction unless the assessment requires the equipment to remain installed during operational use.

Navy Special Emphasis Program (NSEP). NSEP is a program developed by DCMA to provide improved in-plant oversight on suppliers providing critical materials to the Navy. The program includes developing a specialized workforce that receives additional training on the nuances of these critical materials, a uniform instruction for providing process and product surveillance, and requirements for the development of comprehensive facility surveillance and inspection plans.

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Non-conformance. The failure of a system or component to conform to specified requirements. A non-conformance differs from an engineering change in that it does not involve a change in design, just a change in configuration for the specific ship. Other terms (Deviation, Waiver and Departure from Specification) are often used synonymously to describe non-conformances. These terms are also used to identify the written document requesting and documenting approval for operation of the system or component with the known non-conforming condition.

Objective Quality Evidence (OQE). Quantitative and qualitative data of all mechanical, chemical and performance tests performed (as required by the applicable specification, drawing or procurement document) to prove that the material supplied conforms to the specified requirements.

Original Equipment Manufacturer (OEM). For the purposes of this instruction, an OEM is the activity that performs the physical fabrication processes that produce the deliverable part or other items of supply for the prime contractor. An OEM must produce the CSI (or specific part thereof) within their facility and have full process control responsibility in order to meet the definition in the context of CSIs.

Product Quality Deficiency Report (PQDR). The SF 368 form or format used to record and transmit product quality deficiency data. PQDRs are categorized upon submittal by the originator based on the criticality of the deficiency. PQDRs for CSIs are inherently classified as Category I which is a report of a critical defect which may cause death, injury, or severe occupational illness; would cause loss or major damage to a weapon system; critically restricts the combat readiness capabilities of the using organization; or any defect which would result in a production line stoppage.

Pre-award Survey. An independent quality and technical review of a prospective vendor to ensure the vendor is capable of satisfactorily supplying goods or services contracted by the government. It includes a review of records and facilities to evaluate processes, procedures and performance.

Prime Contractor. A commercial activity contractually engaged to design and/or build and deliver complete platforms, systems, or equipment. Often a prime contractor is a point of assembly and integration of other prime contractor's systems and government furnished equipment.

Product Data Reporting and Evaluation Program (PDREP). PDREP is an automated system for obtaining product deficiency and quality information on materials provided to the Navy. PDREP provides Internet access to many different types of reports available to Navy users. This data is used to provide contracting and procurement quality assurance personnel with past performance information so that contractors' performance history is identified prior to source selection. This data also provides program managers and other interested personnel, and proactively identifies trends and reduces component failures.

Product Verification Audit (PVA). The inspection for full determination of conformance to specifications, involving, as required, physical examination, functional testing, disassembly, inspection, re-assembly and re-setting of an item so that all aspects or product conformance can be verified.

Provisioning. The process of doing the technical and logistical planning necessary to establish the item support plan, piece by piece or assembly by assembly; establishing the minimum levels responsible for repair/overhaul; identifying the kind and type of support equipment requirements, handbooks, manuals, and other maintenance publications; determining the basic factory and field training requirements; and providing for the establishment of inventory management records.

Quality Assurance Letter of Instruction (QALI). A QALI is a formal document initiated by a contracting activity that provides essential requirements and instructions for contracted materials to be independently verified and accepted by a government representative prior to shipment.

Qualified Products List (QPL). A list of products that have met the qualification requirements stated in the applicable military, federal, or non-government specifications, including appropriate product identification and test or qualification reference with the name and plant address of the manufacturer and distributor, as applicable.

Repair. Necessary preparation, fault correction, disassembly, inspection, replacement of parts, adjustment, reassembly, calibration, or tests accomplished in restoring items to serviceable status.

Reverse Engineering. The process whereby serviceable parts are examined, analyzed, and tested to determine precisely from what materials (and material class, condition, and form) they are

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made and how they were manufactured and tested, in order to enable evaluation, manufacture (and testing) of the parts that exactly duplicate the examined parts. The expected result of reverse engineering is a complete Technical Data Package including design and manufacturing data, verification requirements, and the associated determination of qualification and proofing requirements suitable for reprocurement of the item from a new qualified source.

Safety. Freedom from those conditions that can cause death, injury, occupational illness, damage to or loss of equipment or property, or damage to the environment.

Special Material Identification Code (SMIC). A SMIC is a two position alpha or alphanumeric code that is assigned to certain National Stock Number (NSN) items which require quality control, technical design or configuration control and/or special controls for procurement, receipt, inspection, test, storage, and/or issue. The SMICs currently authorized are listed and defined in NAVSUP P-485, Appendix 14. When a SMIC is assigned to a NSN item, the SMIC will be suffixed to the NSN in all supply documents and records.

Supplier. A source (contractor or vendor), that is contracted to provide products or services.

Technical Data. Data required for the accomplishment of the logistics and engineering processes in support of the contract end item. It includes drawings, operating and maintenance instructions, provisioning information, specifications, inspection and test procedures, engineering and support analysis data, special purpose computer programs, and other forms of audiovisual presentation required to guide personnel in the performance of operating and support tasks.

Technical Data Package (TDP). A technical description of an item adequate for supporting an acquisition strategy, production, engineering and logistics support. The description defines the required design configuration and procedures required to ensure adequacy of item performance. It consists of all applicable technical data such as drawings and associated lists, specifications, standards, performance standards, quality assurance requirements, software and packaging details.

Traceability. Physically marking or tagging (only when formally authorized by contract, specification or drawing) items with serial codes that directly relate to certified records (tests

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and inspection reports) displaying the same unique serial codes. The process of establishing traceability must be integrated into the manufacturing process such that traceability exists from the time the operation is performed until final shipboard installation, at which time the traceable nomenclature is documented on an installation record. Traceability establishes documented evidence that the item supplied was manufactured and/or maintained in full compliance with the specifications, drawings, storage, packaging, and handling requirements, and other associated requirements as required. When required, the additional documentation is necessary to allow the government to trace items back through the manufacturing process in the event of item failure. When specified by contract, the traceable manufacturing process records are to be retained and/or provided include date and place of actual manufacturing, and verification of all aspects of material, manufacture, special processing, personnel qualifications, assembly and test, non-destructive testing, inspection, installation, and repair.

Vendor. A person or agency that sells products or services.

Verification. For the purposes of this instruction, performance of an independent review of data to ascertain compliance with contractual requirements. Compliance is determined by a review of discrete certification data and physical testing on a specimen.

Waiver. Approval requested/granted after discovery of a non-conformance.