DEPARTMENT OF THE NAVY
SPACE AND NAVAL WARFARE SYSTEMS COMMAND
WASHINGTON DC 20363-5200

SPAWARINST 4857.1D CH-1
SPAWAR 21
19 May 1993

SPAWAR INSTRUCTION 4857.1D CHANGE TRANSMITTAL 1

From: Commander, Space and Naval Warfare Systems Command

Subj: DEFENSE PRIORITIES AND ALLOCATIONS SYSTEM (DPAS)

1. Purpose. To revise the basic instruction.

2. Action. Addressees are requested to make the following pen and ink changes to the basic instruction.

a. Replace SPAWAR 003 with SPAWAR 20 wherever it appears in the instruction.

b. Replace SPAWAR 003-11 with SPAWAR 21 wherever it appears in the instruction.

c. Replace ITA-999 with BXA-999 wherever it appears in the instruction.

d. Paragraph 4b--put a period after the word urgency, delete the remainder of the paragraph.

e. Paragraph 8a--replace SUP 0321 with SUP 0421.

3. Cancellation. This change transmittal is canceled when prescribed action is completed, but should be attached to the basic instruction to indicate authority for making changes.

W. H. Cantrell
W. H. CANTRELL
Rear Admiral, U.S. Navy

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DEPARTMENT OF THE NAVY
SPACE AND NAVAL WARFARE SYSTEMS COMMAND
WASHINGTON, D.C. 20363-5100

SPAWARINST 4857.1D
SPAWAR 003-1
25 March 1988

SPAWAR INSTRUCTION 4857.1D

From: Commander, Space and Naval Warfare Systems Command

Subj: DEFENSE PRIORITIES AND ALLOCATIONS SYSTEM (DPAS)

Ref: (a) NAVSUPINST 4857.4 of 24 Jul 86
(b) Defense Priorities and Allocations System, 15 CFR 350
(c) NAVSUPINST 4830.11 of 23 Jul 86

Encl: (1) Guidelines for the Preparation of Nominations to the DOD Master Urgency List (DODMUL)
(2) Sample DODMUL Nomination Forms
(3) DODMUL Program Nomination Flowchart

1. Purpose. To provide guidance to SPAWAR program and project managers in priorities and allocations matters, including procedures for nominating programs to the DODMUL.

2. Cancellation. NAVELEX INSTRUCTION 4857.1C of 30 July 1982 is hereby cancelled.

3. Background. The Defense Priorities and Allocations System (DPAS) regulation (15 CFR 350) has been established to provide a system of priorities and allocations with respect to industrial resources, superseding the Defense Materials System (DMS) and the Defense Priorities System (DPS). The goals of the DPAS are: (1) to assure the timely availability of industrial resources to meet current national defense requirements, and (2) to provide a framework for rapid industrial mobilization in case of national emergency. By identifying DOD program priority preference, the DODMUL is the basic authority for resolution of conflicts for industrial resources. DPAS authorities and regulations are administered by the Department of Commerce in conjunction with the Department of Defense. Compliance with these regulations, orders, and procedures is obtained under the authority of the Defense Production Act of 1950, as amended. This act authorizes the President to: (1) require acceptance of defense contracts and orders, (2) require priority performance on defense contracts and orders, (3) control scarce and critical materials essential to national defense, (4) allocate materials and resources to promote national defense, and (5) direct distribution of materials essential to national defense.

4. DODMUL. The purpose of the DODMUL is to identify the programs of highest military importance which require special attention to ensure accomplishment on schedule. Positions of

industrial priority ranking are assigned to programs based on relative national and military importance. The DODMUL ensures that industrial resources for such programs are available on a relative program priority basis, even if it is necessary to delay less urgent programs.

a. There are two active categories contained in the DODMUL: BRICK-BAT and CUE-CAP. The following chart highlights the differences between these two ratings:

BRICK-BAT (DX) Ratings	CUE-CAP (DO) Ratings
Programs of highest national importance	Programs of highest DOD urgency
Approved by President	Approved by Secretary of Defense
Have equal priority ranking	Arranged in sequence of urgency
Take precedence over DO rated orders and unrated orders	Take precedence over unrated orders

b. Only BRICK-BAT designated programs are authorized use of the DX priority rating on industrial contracts and purchase orders. DO ratings are applicable to other authorized DOD programs. The numerical designator assigned to each CUE-CAP program specifies its relative military urgency and is used to resolve conflicts for industrial resources among DO-rated contracts and purchase orders (e.g., CUE-CAP 26 takes precedence over CUE-CAP 34).

c. Programs nominated for BRICK-BAT or CUE-CAP must meet the following criteria:

(1) BRICK-BAT (DX) Rating. Vital to national security (non-availability will cause major undesirable readjustment in the national strategy). Will solve current or anticipated slippage of program schedule due to production resource difficulties or to compensate for other program difficulties.

(2) CUE-CAP (DO) Rating. Highest DOD priority due to military essentiality and criticality. Will solve current or anticipated slippage of program schedule due to production resource difficulties.

d. BRICK-BAT nominations must substantiate that:

(1) The BRICK-BAT rating will solve slippage of the assigned program schedule.

(2) The BRICK-BAT rating will alleviate current or anticipated production resource difficulties.

(3) The BRICK-BAT rating (vice a high CUE-CAP rating) is required to solve production resource problems.

(4) Actions have been taken to alleviate production resource problems.

e. CUE-CAP nominations must substantiate that the program is experiencing, or is expected to experience, difficulty in obtaining industrial resources which are necessary to meet the assigned program schedule.

f. DODMUL nominations will be submitted in accordance with reference (a) and enclosures (1) and (2). Nominations may be submitted at any time when a production resource problem exists or is anticipated and the criteria in paragraph 4c above are met. Nominations must be reviewed by SPAWAR 003 before being forwarded to SPAWAR 00 for signature. The flowchart, enclosure (3), shows the process for DODMUL approval.

5. Program Identifications. The following program identifications are assigned to DOD. These identifications have equal preferential status and are to be used in conjunction with DO and DX ratings. Most SPAWAR programs will carry the A7 program identification. More detailed information on program identifications is contained in reference (b).

Program Identification	Program
A-1	Aircraft
A-2	Missiles
A-3	Ships
A-4	Tank-automotive
A-5	Weapons
A-6	Ammunition
A-7	Electronic and communications equipment
B-1	Military building supplies
B-8	Production equipment (contractor-owned)
B-9	Production equipment (Government-owned)
C-2	DOD construction
C-3	Maintenance, repair, and operating (MRO) supplies for DOD facilities
C-8	Controlled materials for Defense Industrial Supply Center (DISC)
C-9	Miscellaneous

6. Production Equipment. Production equipment used in producing goods or services for DO or DX-rated programs may be procured by the contractor with the same rating as the program it supports. Contractors should request the rating from SPAWAR via the local Defense Contract Administration Services (DCAS) office on DD Form 691. The DCAS office will forward the form to SPAWAR 003. If approved by SPAWAR, a DO-B8 or DX-B8 rating will be assigned.

7. Priorities Assistance. In those cases where the regular procedures of the DPAS do not enable contractors to meet the required delivery schedule, assistance may be requested from SPAWAR via the local DCAS office. Department of Commerce Form ITA-999 will be forwarded to SPAWAR 003 via the DCAS office.

8. Responsibilities

a. SPAWAR 003

(1) Function as POC and P&A Officer with signature authority for functional coordination of Requests for Special Priorities Assistance (Form ITA-999) with SUP 0321, and for authorizing industrial priority ratings for production equipment (DD Form 691) to contractors. This function may be redelegated.

(2) Ensure compliance with references (a) and (c).

(3) Conduct periodic compliance reviews of SPAWAR headquarters offices and field activities.

(4) Prepare DODMUL transmittal in accordance with reference (a) and forward to SPAWAR 00 for release.

(5) Monitor program of DODMUL nominations.

(6) Assign industrial priority ratings to contracts and other procurement documents.

(7) Maintain records of priority ratings/assignments.

(8) Identify P&A Officer and an alternate to NAVSUP.

b. Program Directorate (PD)

(1) Ensure that contractors place and enforce the use of the proper DPAS ratings on all subcontracts and purchase orders.

(2) Approve DODMUL nominations to be forwarded to SPAWAR 003.

c. Program Manager Warfare (PMW)

(1) Coordinate initial DODMUL requirements with SPAWAR 003.

(2) Prepare DODMUL nomination forms and forward to SPAWAR 003 via PD.

9. Action. SPAWAR 003 will provide guidance and assistance to program and project managers on Priorities and Allocations Program matters. SPAWAR program and project managers are encouraged to nominate eligible programs to the DODMUL. The original and three copies of the nomination form (available from SPAWAR 003-11) are required. Questions concerning the DODMUL, idustrial priority ratings, or special priorities assistance should be addressed to SPAWAR 003-11.

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GUIDELINES FOR THE PREPARATION OF NOMINATIONS FOR THE DOD MASTER URGENCY LIST

A. All nominations, whether for BRICK-BAT or CUE-CAP, will include the following information:

1. Industrial Base Assessment. Include in narrative and matrix format program information regarding:

a. Current industrial base production capability and projected capacity to meet future defense requirements (use NAVSUP form 1394).

b. Sole, foreign, single, or diminishing sources of supply for identified material shortage (use NAVSUP forms 1394-2, 1394-2A, 1394-2B, 1394-2C).

c. Lead time analysis for material/industrial resources whose nonavailability will adversely affect program schedules. This should include administrative, production, and assembly lead time and time to be compressed to meet program milestones afforded by DODMUL priority (make separate attachment).

2. Impact Statement. As separate attachment, identify program information and supporting rationale on:

a. Key suppliers/activities concurrently required by nominated program and other current DODMUL programs for similar material/resources. Designate user services and approximate total percentage of defense demand vs industrial base capacity.

b. Degree to which nominated program schedule may be constrained or protracted if nomination is denied (self explanatory).

c. Increase in non-recoverable program costs due to projected schedule slippage (self explanatory).

3. Special Attention. Using NAVSUP forms, 1394-2, 1394-2A, 1394-2B, and 1394-2C, list detailed examples of efforts to alleviate material and industrial resource problems or assure their non-occurrence to keep the nominated program on time. Recent past, current, and anticipated difficulties are to be labeled accordingly and may encompass:

a. Critical facilities, components, material, and production equipment.

b. Supporting resources such as administration, laboratory, test range, or intergovernmental efforts.

c. Viable Navy management options.

B. The following specific instructions, and the sample nomination (enclosure (2)), should be used in the preparation of DODMUL nominations:

1. NAVSUP FORM 1394 - Nomenclature, Production Rates, and Facilities

Heading - Include the category for which the item or program is being nominated (BRICK-BAT or CUE-CAP) and the current DODMUL number if the item is presently on the DODMUL. The code number may be left blank.

Column 1 - End Item Nomenclature - Program, Item, or Project Nomenclature. Should be complete as to desired coverage, such as model numbers, support equipment, and subsystems/programs/projects.

Column 2 - Procurement and Production Data - Include separate entries for each fiscal year program for which production will not be complete at the beginning of the fiscal year when this nomination is being made. Make appropriate entries under each subheading in this column. It is important to note that all entries under the third and fourth subheadings refer to the fiscal year when the nomination is made. For BRICK-BAT nominations, separate entries for production and R&D should be made if both are involved. Since this column is basically designed for number of items, it may be necessary to make certain modifications if numbers are not meaningful. For example, in a program that is only R&D, dollars may be used. In the case of ship construction, the hull numbers applicable to each fiscal year buy should be shown in a supplemental list.

Column 3 - Facilities - List the prime contractor(s), major subcontractors, and in-house facilities when performing as prime contractors. Show city and state in which located. Where applicable, provide the following Industrial Preparedness Planning data for each Column (1) item nomenclature and its facility: maximum monthly mobilization production capability and time required to attain this capability from submission of DODMUL nomination.

2. NAVSUP FORM 1394-1 - Military Justification. Include a description of the item, its purpose, capabilities, assigned missions, and military importance.

3. NAVSUP FORMS 1394-2, 1394-2A, 1394-2B, 1394-2C - Production Resource Justification.

a. Show the total cost of the program for a specific time period and the expenditure estimated for the fiscal year when the nomination is made.

b. Enter the amount included in line "a" which is for related construction, (do not include ship construction).

c. If there are anticipated shortages of production equipment, cross out the "No" and explain in a footnote, including the principal items of equipment involved. Do not list these items in paragraph "h."

d. Complete this sentence to show current status of prime contract(s) placement.

e. Complete this sentence to show current status of placement of contracts for Government Furnished Equipment.

f. Fill in applicable date. Enter a modifier before "target date" where necessary for clarity.

g. The dollar amount to be entered in this line should cover only the systems, materials, and components which will require special attention during the specific fiscal year when the item is being nominated. The amount shown must be the total of the amounts shown in the seven separate categories under line "h."

h. List under the applicable heading the items of equipment, components, and material which are expected to need special attention. These lists should concentrate on real problem areas and should be as specific as possible. Items that rarely cause procurement difficulties should be omitted.

i. Under this heading give any additional information which will serve to strengthen the production resource justification. An example would be compressed production schedule together with the necessitating circumstances. The use of newly-designed equipment or the imposition of more stringent specifications should be mentioned where applicable.

j. In the introductory sentence show the time period covered and the total value of Requests for Special Priorities Assistance (Form ITA 999) which were forwarded to NAVSUP for action. A period of three months is suggested, but a longer period (not to exceed one year) may be used if it will give a better representation of the problems which have been encountered. List each individual case with the detail indicated by the headings in this form.

k. Enter the appropriate category in the blank in this sentence.

SPAWARINST 4857.1D
25 MAR 1988

DEPARTMENT OF THE NAVY
NOMINATION FOR THE DEPARTMENT OF DEFENSE MASTER URGENCY LIST
CATEGORY CUE-CAP
CURRENT MUL NUMBER CC-45
CODE NUMBER

ITEM NOMENCLATURE	PROCUREMENT AND PRODUCTION DATA					FACILITIES
	FISCAL YEAR BUY	QTY. PLACED OR TO BE PLACED UNDER CONTRACT	UNDELIVERED BALANCE AT BEGINNING OF FY 1987	EXPECTED PRODUCTION DURING FY 1987	EST. DATE PRODUCTION WILL BE COMPLETED	
A-11 Aircraft Weapons System (All versions)	1987	30	10	10	Aug. 1988	General Aircraft Corp., Los Angeles, CA
	1988	150	150	150	Jun. 1989	Johnson Aviation Co., Dallas, TX
	1989	220	220	0	Jun. 1990	AEC Electronics, Boston, MA
	1990	300	300	0	Jun. 1991	National Aircraft Co., Baltimore, MD
	Note:	Peak production rate of 17 for FY 1987 is expected to be reached in June 1987				Pratt Aviation Corp., Hartford, CT
						Whitney Laboratories, Camden, NJ
(Note: When more than one item is included, or where sub-parts, sub-systems, or other model designators are listed separately, there should be corresponding entries in the Quantity and Facility columns.)						Norfolk Industries, Palo Alto, CA
						American Aircraft Products, Los Angeles, CA
	(Note:	This sample nomination is for FY 1987)				
		SAMPLE NOMINATION				

*Enter Fiscal Year for which this nomination is being made.

NAVSUP FORM 1394 (REV. 5-86)

ENCLOSURE(2)

DEPARTMENT OF THE NAVY
NOMINATION FOR THE DEPARTMENT OF DEFENSE MASTER URGENCY LIST

CATEGORY: CUE-CAP
CURRENT MUL NUMBER: CC-45

MILITARY JUSTIFICATION:

The purpose of the A-11 Aircraft Weapons System is to provide the fleet with a long range multi-altitude, carrier-based, attack capability. This system is designed to perform missions of both close air support and attack of long range targets under any weather condition. The weapons which it will employ, will be both nuclear and conventional and will include bombs, rockets, air-to-air, and air-to-ground missiles. The operating characteristics of the A-11 Aircraft are substantially superior to any aircraft currently available to the operating forces of the Navy. A land based version of the A-11 is being planned with production to begin in 1989.

(Note: Sufficient information should be given to clearly indicate the military importance of the item being nominated. However, excessive detail as to specific missions should be avoided since it may tend to distract from the more significant aspects of the justification.)

SAMPLE NOMINATION

Enclosure (2)

DEPARTMENT OF THE NAVY
NOMINATION FOR THE DEPARTMENT OF DEFENSE MASTER URGENCY LIST
CATEGORY: CHF-CAP
CURRENT MUL NUMBER: CC-65

PAGE 3

PRODUCTION RESOURCE JUSTIFICATION:

a. This program is estimated to cost approximately $ 12,000 million through FY 1988. Estimated FY 1987 expenditures $ 5,000 million.
b. Construction included in the above is $ 0 million.
c. There are no anticipated shortages of production equipment.
d. Placement of prime contracts is complete for FY 1986, Contract for FY 1987 to be awarded by 3/1/87.
e. Placement of related GFE Contracts is 90% complete for FY 1986 and 30% complete for FY 1987.
f. All necessary actions are being taken to expedite this item in order to meet the June 1987 peak production target date.
g. Of the total cost, approximately $ 338 million is estimated to be for critical components and materials which will need special attention and expediting action during fiscal year 1987.
h. The best available listings of critical equipment, materials and components which are anticipated to need special attention are:

(1) Electronic Test Equipment (Estimated value $ 8 million):

Sweep Oscillator - Hewlett Packard Model 8690A
Basic Network Analyzer System - Hewlett Packard Model 8410A/8411A
Oscilloscope - Fairchild Model 301A
Noise and Field Intensity Meter - Singer Model NF-315A

(2) Electronic Systems (Estimated value $ 100 million):

AN/ALQ-100 Electronic Countermeasures Set
AN/APN-171 Altimeter, Electronic
AN/APN-190 Radar Set
AN/APX-74 Interrogator Set
AN/ARA-63 Receiving - Decoding Group
AN/ASQ-61 Digital Computer

(Note: If the anticipated problem concerns components or materials required in the manufacture of an electronic system, they should be listed under the applicable heading. The system itself should not be listed unless some difficulties are also anticipated in the plant of the system producer.)

SAMPLE NOMINATION

NAVSUP FORM 1394-2 (REV. 5-86)

Enclosure (2)

ENCLOSURE(2)

DEPARTMENT OF THE NAVY
NOMINATION FOR THE DEPARTMENT OF DEFENSE MASTER URGENCY LIST
CATEGORY: CUE-CAP
CURRENT MUL NUMBER: CC-45

(3) Electronic components and parts (estimated value $ 50 million):

Transistors, various types (e.g. 2N 1711 and 2N 665)
Silicon Controlled Rectifiers (e.g. 2N 2326)
Thermistors
Sweep Adapters
Hybrid Circuits, two layer, thick film
Integrated Circuits, silicon, monolithic
Integrated Circuits, metal oxide semiconductor (MOS)
Crystal Filters

(4) Major systems, subsystems and equipment groups (estimated value $ 70 million):

Engine (J52-P-907)
Constant Speed Drive, Type A
Electric Generating System
Vertical Gyro System
Ejector Bomb Rack (MAU-9/A)
Main Landing Gear System
Brake Assembly

(The note under paragraph h (2) is applicable to this group as well as to Electronic Systems)

(5) Electrical components and parts (estimated value $ 20 million):

Power Supply Transformers
Power Control Box
Inverters
D. C. Motors
Connectors
Voltage Regulators

SAMPLE NOMINATION

NAVSUP FORM 1394-2A (REV. 5-86)

DEPARTMENT OF THE NAVY
NOMINATION FOR THE DEPARTMENT OF DEFENSE MASTER URGENCY LIST
CATEGORY: CUE-CAP
CURRENT MUL NUMBER: CC-45

(6) Mechanical components (estimated value $ 30 million):

Precision Bearings
Close Tolerance Gears
Landing Gear Struts
Valves (various types)
Hose Assemblies
Pump Assembiles

(7) Materials (estimated value $ 60 million):

Forgings - Aluminum, Steel, Titanium
Castings - Aluminum, Steel, Titanium
Extruded Shapes - Aluminum (14,000 Ton Press)
Extruded Tubing - Aluminum (14,000 Ton Press)
Copper Wire and Cable

i. Additional supporting information:

The substantial increase in production during the ensuing fiscal year is expected to result in a significant increase in problems of obtaining timely deliveries of equipment, components and materials, particularly where long lead time items are involved.

SAMPLE NOMINATION

NAVSUP FORM 1394-2B (REV. 5-86)

ENCLOSURE(2)

Enclosure (2)

DEPARTMENT OF THE NAVY
NOMINATION FOR THE DEPARTMENT OF DEFENSE MASTER URGENCY LIST
CATEGORY: CUE-CAP
CURRENT MUL NUMBER: CC-45

(Form ITA 999)

j. The following special assistance requests ~~(NAVSUP Form 1394)~~ were processed for this program in the three month period ending 31 Dec. 1985. The total value of these cases was $ 1,097,761.

APPLICANT	SUPPLIER	ITEM EXPEDITED	QUANTITY	VALUE
ABC Electronics Co.	RCA Corp.	Transistors, JAN 2N 2015	10,000	288,418
American Aircraft Products	ALCOA	Aluminum Extruded Tubing	600 ft.	250,909
National Aircraft Co.	UNIVAC Federal Systems	Electric Cable Assembly	80	92,700
Norfolk Industries	Pegasus Laboratories	Servo valves	101	161,234
Whitney Laboratories	Texas Instruments	Integrated Circuits	10,750	304,500

(Note: List only those special assistance requests submitted to NAVSUP

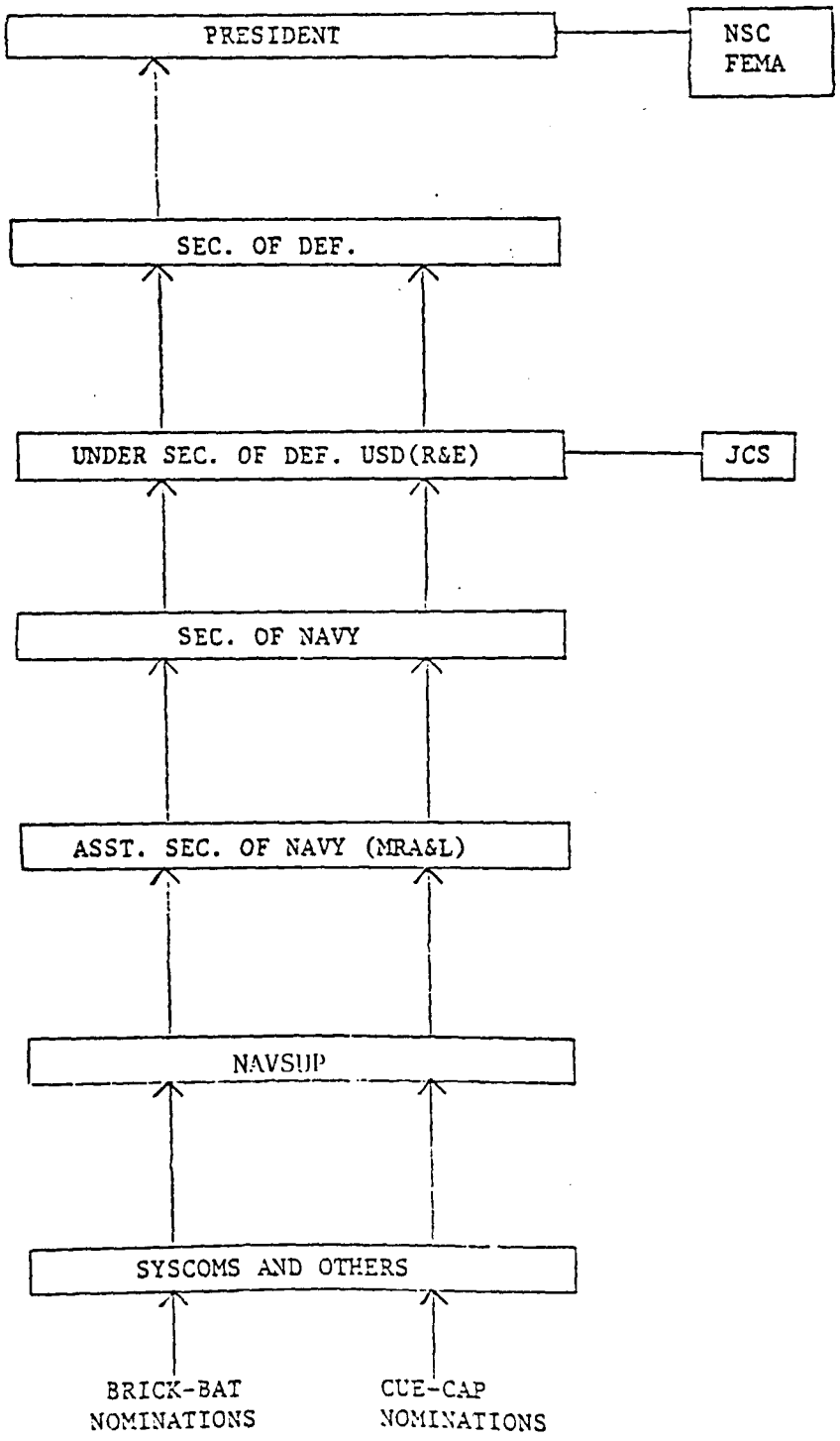
k. In view of the foregoing information it is considered essential that this program be included in the CUE-CAP Category in order to assure expeditious handling of future difficulties, as outlined above, at the expense of all lower rated items when conflicts actually occur.

SAMPLE NOMINATION

NAVSUP FORM 1394-2C (REV. 5-86)

ENCLOSURE(2)

DODMUL PROGRAM NOMINATION FLOWCHART



ENCLOSURE(5)