DEPARTMENT OF THE NAVY
OFFICE OF THE ASSISTANT SECRETARY
RESEARCH, DEVELOPMENT AND ACQUISITION
1000 NAVY PENTAGON
WASHINGTON DC 20350-1000

MAY 10 2012

MEMORANDUM FOR DISTRIBUTION

SUBJECT: Implementation of Defense Federal Acquisition Regulation Supplement Provision and Clause for Warranty Tracking of Serialized Items

By attached memorandum dated April 12, 2012, the Director of Defense Procurement and Acquisition Policy (DPAP) provided a reminder of the requirements of a final rule under DFARS Case 2009-D018, Warranty Tracking of Serialized Items, published in the Federal Register on June 8, 2011. The final rule required the collection of specific warranty information. The DPAP memorandum provides additional guidance for implementing the warranty provision at DFARS 252.246-7005 and the warranty tracking clause at DFARS 252.246-7006. To ensure uniformity in collection of the required warranty data, DPAP provided a sample Contract Attachment titled "Instructions for Electronic Submission of Warranty Tracking and Administration Information for Serialized Items." The sample Contract Attachment provides for the use of machine readable, fillable Adobe portable document formats (PDF) for electronic submission of warranty information. DPAP directed that the use of these forms shall be encouraged to capture required warranty information on existing contracts generated by legacy systems and emerging Contract Writing Systems.

Pending incorporation of a DFARS Procedures, Guidance and Information (PGI) provision for the use of the Contract Attachment, Activities are encouraged to incorporate the PDFs into Contract Writing Systems and to develop processes to utilize the data, using a schema published on an OSD website, for other business systems handling warranty data. The website containing the schema is provided in the DPAP memorandum. Finally, DPAP mandated that contracting officers shall include the sample Contract Attachment in each solicitation, as appropriate.

Implementation of the warranty provision and the warranty tracking clause represents DoD's initial phase to electronically track warranties for items serialized with a Unique Item Identifier. Please advise all appropriate personnel to take all necessary steps immediately to comply with the guidance contained in this memorandum.

SUBJECT: Implementation of Defense Federal Acquisition Regulation Supplement Provision and Clause for Warranty Tracking of Serialized Items

My point of contact for this matter is Mr. Clarence Belton. He can be reached at clarence.belton@navy.mil or (703) 693-4006.

Althea H. Coetzee
~~RDML, SC, USN~~
Executive Director
DASN (AP)

Attachment:
As stated

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OFFICE OF THE UNDER SECRETARY OF DEFENSE
3000 DEFENSE PENTAGON
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ACQUISITION,
TECHNOLOGY
AND LOGISTICS

APR 12 2012

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

SUBJECT: Implementation of Defense Federal Acquisition Regulation Supplement Provision and Clause for Warranty Tracking of Serialized Items

The Defense Federal Acquisition Regulation Supplement (DFARS) Final Rule for Warranty Tracking of Serialized Items (DFARS Case 2009-D0018) was published in the Federal Register on June 8, 2011. This case added a provision and clause to DFARS 246.710 and formats for warranty attachments at DFARS 246.710-70, which require all Department of Defense (DoD) Components to begin collecting specific warranty information. This memorandum provides additional guidance for implementation of the DFARS warranty provision 252.246-7005, "Notice of Warranty Tracking of Serialized Items" and the warranty tracking clause 252.246-7006, "Warranty Tracking of Serialized Items." It also provides a sample Contract Attachment (Attachment 1), "Instructions for Electronic Submission of Warranty Tracking and Administration Information for Serialized Items," for use by all Components and DoD contractors to assure uniformity in the required warranty data. With the implementation of the provision and clause, DoD embarks upon its initial phase to electronically track warranties for items serialized with a Unique Item Identifier. Tracking warranties, from the identification of the requirement to the expiration date of the warranted item, will significantly enhance the enforceability of DoD to take full advantage of warranties when they are part of an acquisition.

The sample Contract Attachment provides for the use of machine readable, fillable Adobe portable document formats (PDF) for electronic submission of warranty information (Attachment 2). The use of these electronic forms shall be encouraged in order to capture required warranty information as an attachment to existing contracts generated by both legacy and emerging Contract Writing Systems (CWS). The Electronic Document Access (EDA) system is being enhanced during FY12 to extract the data from these forms posted as attachments to the contract in EDA. EDA will

make this data available to Components' business systems handling warranty data. The PDF for Warranty Tracking Information (WTI) can be viewed and downloaded from the DPAP website at http://www.acq.osd.mil/dpap/pdi/pc/docs/WarrantyInformation4Distribution.FINAL.pdf. The PDF for Warranty Source of Repair Instructions (WSRI) can be viewed and downloaded from the DPAP website at http://www.acq.osd.mil/dpap/pdi/pc/docs/SourceofRepairInstructions4Distribution.FINAL.pdf.

Use of the PDFs enables:

- Capture of data over time
- Reuse of the Procurement Data Standard's elements, enhancing DoD clause to data initiative
- Requires no change to legacy CWSs
- Enables capture of data throughout the process

A DFARS Procedures, Guidance and Information (PGI) provision for use of the Contract Attachment for electronic warranty data submission and instructions for disposition of warranty information shall be published within 90 days from the date of this memorandum. In the interim, Components are encouraged to incorporate the PDFs into their CWSs and to develop processes to utilize the data using the schema published at http://www.acq.osd.mil/dpap/pdi/eb/gfp.html for other business systems handling warranty data. Contracting Officers shall include the attached Contract Attachment in each appropriate solicitation (e.g. when the resulting contract will include a warranty for a serialized item).

The Product Deficiency Reporting and Evaluation Program (PDREP), hosted by Naval Logistics Center, Portsmouth, NH, will be updated to facilitate the collection, storage and the distribution of warranty data. PDREP includes the development of a warranty database and will establish interfaces for Component business systems. This capability will provide for a common, searchable data source for enterprise warranty data and is expected to be available in Q3FY12.

The warranty process flow (Attachment 3) from the solicitation stage to the storage and retrieval of warranty data from the database is attached. This warranty process flow will also be published in the PGI within 90 days from the date of this memorandum. When fully implemented these changes will improve warranty data visibility as well as the integrity and enforcement of the warranty process.

Direct questions and comments to Ms. Mae Bartley at mae.bartley@osd.mil or 703-588-0832.

Richard Ginman
Director, Defense Procurement
and Acquisition Policy

Attachments:
As stated

Attachment 1

# Contract Attachment _____

INSTRUCTIONS FOR ELECTRONIC SUBMISSION OF WARRANTY TRACKING AND ADMINISTRATION INFORMATION FOR SERIALIZED ITEMS

This Attachment contains format and content preparation instructions for the electronic submission of warranty tracking and administrative information specified in the Defense Acquisition Regulation Supplement (DFARS) provision at 252.246-7005, Notice of Warranty Tracking of Serialized Items, and the DFARS clause at 252.246-7006, Warranty Tracking of Serialized Items.

This information shall be submitted electronically as a Contract Data Requirements List (CDRL) Attachment exhibit line item number (ELIN) on the Wide Area WorkFlow (WAWF) Materiel Inspection and Receiving Report (or WAWF Reparables Receiving Report, if appropriate). The WAWF CDRL ELIN shall be addressed to the Naval Sea Logistics Center (NSLC) Detachment Portsmouth NH as the administrator for the Product Data Reporting and Evaluation Program (PDREP), as specified in the CDRL (See Table 3 for submission instructions).

**Requirements:**
1. Reference documents.

a. DFARS 252.246-7005, Notice of Warranty Tracking of Serialized Items
b. DFARS 252.246-7006, Warranty Tracking of Serialized Items
c. DFARS 246-710-70 Warranty attachment

2. Format. The format for electronic submission of warranty tracking and administration information for serialized items is based on either of the following events:

2.1 The Government is specifying a requirement for a warranty on a CLIN, SLIN or ELIN in a solicitation; or

2.2 The contractor is offering a warranty on a CLIN, SLIN or ELIN in a proposal.

3. Content. Data elements, fields, field size and formats shall be as indicated in the General Instructions and Tables 1 and 2 below.

4. General Instructions:

a. The Tables 1 and 2 describe the Warranty Attachment. Table 1 defines the content and format of the attachment when the Government specifies a warranty on an item. Table 2 defines content and format of the attachment when an item is to be returned to the contractor for repair. A description of each column is:

(1) **Field Name:** Contains the name of the data element.
(2) **Format:** The format of the element:

- **A** - Alphabetic characters only (a-z, A-Z)
- **AN** - Alphanumeric characters (a-z, A-Z, 0-9)
- **DT** - Date in the format CCYY-MM-DD (i.e. 2005-07-15).

- **N** - Numerical only.

(3) **Min/Max:** Denotes minimum and maximum size of the element. For example, a min/max of 3/6 means that the data value must be at least three characters long and cannot exceed six characters. The entry "**AR**" means there is no limitation on the length of the field.

(4) **Req:** Specifies whether an element is required or not:

- **C** - Conditional; requirement depends on value or appearance of other elements.
- **M** - Mandatory; must always be provided.

(5) **Description:** Provides a brief description of the data element and where applicable, a list of valid values and element dependencies.

b. Portable Document Format (PDF). The information for Table 1 may be submitted in the fillable PDF format entitled "Warranty Information for Distribution" available for download at http://www.acq.osd.mil/dpap/pdi/index.html. The information for Table 2 may be submitted in the fillable PDF format entitled "Source of Repair Instructions for Distribution" available for download at http://www.acq.osd.mil/dpap/pdi/index.html.

b. eXtensible Markup Language (XML) Format. The information may be submitted in xml. An xml schema for the Warranty Attachment data elements can be downloaded at http://www.acq.osd.mil/dpap/pdi/eb/docs/Warranty_Attachment_draft_1.xsd

c. Table 3 contains the routing information to direct the WAWF CDRL ELIN to the appropriate Government system, as specified on the CDRL.

| Warranty Information Attachment Table 1. Warranty Tracking Information: Used to provide a listing of warranty information by line item when the Government specifies a warranty for an item. | | | | |
|---|---|---|---|---|
| **Field Name** | **Format** | **Min/ Max** | **Req** | **Description** |
| Attachment Number | N | AR | M | The numerical sequence number of the attachment in accordance with PGI 204.7105(b)(5). |
| I. Contract Number | | | | |
| DoD Enterprise Identifier | AN | 6/6 | M | A generic code that identifies the entity that issued the procurement instrument. Use the DoD Activity Address Code (DoDAAC) assigned to the issuing office. |
| Year | N | 2/2 | M | Code that identifies the year. |
| Procurement Instrument Type Code | A | 1/1 | M | One digit code that identifies the type of procurement instrument in accordance with the categories in DFARS 204.7003(a)(3).<br>Values: A through Z, except do not use I and O. |
| Serialized Identifier | AN | 4/4 | M | Value that separates this procurement instrument from all other procurement instruments with the same Enterprise Identifier, Year, and Procurement Instrument Type Code. |
| Order Number | N | 4/4 | C | The release, delivery, or task order number in accordance with DFARS 204.7003(d)(1). |
| Non-DoD Number | AN | AR | C | The contract number of an Agency other than the DoD. |
| II. Line Item | | | | |
| Line Item Type | A | 4/4 | M | The type of line item.<br>Values: CLIN or SLIN |
| Line Item Base | N | 4/4 | M | The first four numbers of the line item. (Range 0001 to 9999) |
| SLIN Extension | A | 2/2 | C | Two character extension denoting a sub line item. (Range AA-ZZ, except letters I or O). |
| III. Exhibit Line Item | | | | |
| Exhibit Line Item (ELIN) | AN | 4/4 | M | Required for the delivery of warranty information using the WAWF CDRL ELIN. Numbered in accordance with DFARS 204.7105(b) and (c) |
| IV. Warranty Information | | | | |
| A. Warranty Unique Item Identifier (UII) | | | | |
| Warranty UII | AN | 6/50 | M | The Unique Item Identifier (UII) that ensures uniqueness of the warranted item. |
| B. Warranty Terms | | | | |
| Starting Event | A | AR | M | The event or action that initiates the warranty. Values are: Acceptance, First Use, Installation, Other |
| Usage Terms | Used for warranties for serialized items where effectivity is normally in terms of operating time or cycles. The quantity and associated unit of measure that specifies the amount of a characteristic subject to the contractor's obligation to provide for remedy or corrective action for a serialized item, such as a number of miles, hours, or cycles. | | | |
| Quantity | N | AR | M | The quantity value. |
| Unit of Measure | A | AR | M | The unit of measure that describes the quantity attribute of serialized item under warranty. Values: The value will normally be "Each" for a serialized item, or other appropriate measures, such as Assembly, Part, Unit, or Vehicle. |
| Duration Terms | Used for warranties which expire after a set period of time. This period may be a stated period of time, amount of usage, or the occurrence of a specified event, after formal acceptance of delivery, for the Government to assert a contractual right for the correction of defects. | | | |

| | | | | |
|---|---|---|---|---|
| Quantity | N | AR | M | The quantity value. |
| Unit of Measure | A | AR | M | The duration unit of measure. Values: Cycles, Days, Fuel Usage (Gallons), Hours, Kilometers, Kilowatt Hours, Miles, Months, Nautical miles, Running or Operating hours, Seconds, Ton Miles, Transactions, Treatments, Wattage Hours, Weeks, Years |
| Fixed Expiration Date | DT | 10/10 | M | The date the warranty expires and the Contractor's obligation to provide for a remedy or corrective action ends. |
| C. Warranty Item Details | | | | |
| Warranty Administrator Enterprise Identifier Code Type | AN | AR | M | The code of the organization specified for warranty administration. Values are:<br>ATIS-03322000 MIC,<br>CAGE,<br>DoDAAC,<br>DUNS,<br>EDIFICE CIN,<br>EHIBCC LIC,<br>GS1 Company Prefix, or<br>HIBCC HIN. |
| Warranty Administrator Enterprise Identifier | AN | AR | M | As defined by the Warranty Administrator Enterprise Identifier Code Type, the value of the code that identifies the organization specified for warranty administration. Values are:<br>(a) The Coded Representation of the North American Telecommunications Industry Manufacturers, Suppliers, and Related Service Companies (ATIS–0322000) Manufacturer Identification Code (MIC),<br>(b) Allied Committee 135 Commercial and Government Entity (CAGE) Code,<br>(c) DoD Activity Address Code (DoDAAC),<br>(d) Dun & Bradstreet's Data Universal Numbering System (DUNS) Number,<br>(e) EDIFICE Company Identification Number (CIN),<br>(f) European Health Industry Business Communication Council (EHIBCC) Labeler Identification Code (LIC),<br>(g) GS1 Company Prefix, or<br>(h) Health Industry Business Communication Council (HIBCC) Health Industry Number (HIN). |
| Warranty Grantor Enterprise Identifier Code Type | AN | AR | M | Designator to indicate which code was used in the Enterprise Identifier that defines the organization that provides the warranty under the terms and conditions of a contract. Select from the same values as enumerated for the Warranty Administrator Enterprise Identifier Code Type. |
| Warranty Grantor Enterprise Identifier | AN | AR | M | As defined by the Warranty Grantor Enterprise Identifier Code Type, the value of the code that identifies the organization that provides the warranty under the terms and conditions of a contract. Select from the same values as enumerated for the Warranty Administrator Enterprise Identifier. |

| | | | | |
|---|---|---|---|---|
| Item Type | A | 1/1 | M | The description of the item being warranted such as a component, subassembly, etc.<br>Values are:<br>C - Component Procured Separately From End Item<br>E - Embedded in Component, Subassembly or End Item Parent<br>P - Parent End Item<br>S- Subassembly Procured Separately From End Item or Assembly |

**Warranty Information Attachment Table 2. Warranty Repair Source Instructions:**
**Used to provide a listing of organizations specified by a warranty guarantor for receiving and managing returned warranty items.**

| Field Name | Format | Min/ Max | Req | Description |
|---|---|---|---|---|
| Attachment Number | N | AR | M | The numerical sequence number of the attachment in accordance with PGI 204.7105(b)(5). |
| I. Contract Number | | | | |
| DoD Enterprise Identifier | AN | 6/6 | M | A generic code that identifies the entity that issued the procurement instrument. Use the DoD Activity Address Code (DoDAAC) assigned to the issuing office. |
| Year | N | 2/2 | M | Code that identifies the year. |
| Procurement Instrument Type Code | A | 1/1 | M | One digit code that identifies the type of procurement instrument in accordance with the categories in DFARS 204.7003(a)(3).<br>Values: A through Z, except do not use I and O. |
| Serialized Identifier | AN | 4/4 | M | Value that separates this procurement instrument from all other procurement instruments with the same Enterprise Identifier, Year, and Procurement Instrument Type Code. |
| Order Number | N | 4/4 | C | The release, delivery, or task order number in accordance with DFARS 204.7003(d)(1). |
| Non-DoD Number | AN | 4/4 | C | Value that identifies the modification number of the order in accordance with DFARS 204.7003(d)(2). |
| II. Line Item | | | | |
| Line Item Type | A | 4/4 | M | The type of line item.<br>Values: CLIN or SLIN |
| Line Item Base | N | 4/4 | M | The first four numbers of the line item. (Range 0001 to 9999) |
| SLIN Extension | A | 2/2 | C | Two character extension denoting a sub line item. (Range AA-ZZ, except letters I or O). |
| III. Exhibit Line Item | | | | |
| Exhibit Line Item (ELIN) | AN | 4/4 | M | Required for the delivery of warranty information using the WAWF CDRL ELIN. Numbered in accordance with DFARS 204.7105(b) and (c) |

| IV. Shipping Address for Warranty Returns | | | | |
|---|---|---|---|---|
| A. Warranty Repair Source Identification | | | | |
| Warranty Repair Source Code | AN | AR | M | The code of the organization specified by a warranty guarantor for receiving and managing warranty items that are returned by a customer. Values are:<br>ATIS-03322000 MIC,<br>CAGE,<br>DoDAAC,<br>DUNS,<br>EDIFICE CIN,<br>EHIBCC LIC,<br>GS1 Company Prefix, or<br>HIBCC HIN. |
| Warranty Repair Source Identifier | AN | AR | M | As defined by the Warranty Repair Source Code, the value of the code that identifies the organization specified by a warranty guarantor for receiving and managing warranty items that are returned by a customer. Values are:<br>(a) The Coded Representation of the North American Telecommunications Industry Manufacturers, Suppliers, and Related Service Companies (ATIS–0322000) Manufacturer Identification Code (MIC),<br>(b) Allied Committee 135 Commercial and Government Entity (CAGE) Code,<br>(c) DoD Activity Address Code (DoDAAC),<br>(d) Dun & Bradstreet's Data Universal Numbering System (DUNS) Number,<br>(e) EDIFICE Company Identification Number (CIN),<br>(f) European Health Industry Business Communication Council (EHIBCC) Labeler Identification Code (LIC),<br>(g) GS1 Company Prefix, or<br>(h) Health Industry Business Communication Council (HIBCC) Health Industry Number (HIN). |
| B. Warranty Repair Source Shipping Address | | | | |
| Name | AN | AR | M | The name of the organization. |
| Address Line 1 | AN | AR | M | The first line of the warranty repair organization's address. |
| Address Line 2 | AN | AR | C | The second line of the warranty repair organization's address, if needed. |
| City/County Name | A | AR | M | The designator that distinguishes one City or County from another. |
| State or Province | A | AR | M | The symbol used to represent the State, Province, or territory within a country. |
| Postal Code | AN | AR | M | The designator that distinguishes one Postal Zone from another. |
| Country | A | 2/3 | M | The textual name of the country. See ISO 3166 from the International Organization for Standardization for the correct values. |
| Instructions | AN | AR | C | Additional instructions such as a web site where prepaid shipping labels may be obtained. |

| Warranty Information Attachment Table 3. Government System Designation: Used to provide a system unique identifier (SYSUID) which will be used by WAWF for transmission of the warranty data to the appropriate Government system, as specified on the CDRL. | | | | |
|---|---|---|---|---|
| **Field Name** | **Format** | **Min/ Max** | **Req** | **Description** |
| When the WAWF CDRL ELIN is used to transmit the warranty data to the Government, the CDRL will specify the Product Data Reporting and Evaluation Program (PDREP), which is administered by the Naval Sea Logistics Center (NSLC) Detachment Portsmouth NH, as the destination for the transaction. The WAWF transaction will have to include the System Unique Identifier (SYSUID) of the PDREP. The SYSUID is formed by concatenating the DoD Information Technology Portfolio Repository (DITPR) Identification Number for PDREP, which is 1547, with the DoDAAC of the Naval Sea Logistics Center (NSLC) Detachment Portsmouth NH, which is N45112. The resulting SYSUID for PDREP is 1547N45112.<br><br>The PDREP point of contact is:<br>Programs Director, Code 644<br>Naval Sea Logistics Center Portsmouth<br>P.O. Box 2058<br>Portsmouth, NH 03804-2058<br>Commercial Phone: (207) 438-6440 | | | | |
| INFORMATION VENDOR WILL NEED TO ENTER THE WAWF CDRL ELIN | | | | |
| 1. ELIN (One Alpha and three numeric)<br><br>2. Quantity Shipped defaults to One<br><br>3. Unit of Measure defaults to EA (each)<br><br>4. Vendor must select NSP (Not Separately Priced) or enter a UNIT PRICE<br><br>5. Vendor has the option to include AAI (Accounting Activity Identifier), DN (Standard Document Number) and ACRN (Accounting Classification Reference Number)<br><br>6. Vendor MUST select appropriate SYSUID 1-instructions must provide SYSUID Name added to WAWF for PDREP, which is 1547N45112.<br><br>7. Vendor selects "Add Attachment"-ONLY ONE ATTACHMENT ALLOWED PER ELIN<br><br>8. Vendor must have the CDRL Attachment saved and accessible on Computer being used (instructions must advise Vendor that file name including ".pdf" must be 22 characters or less and size cannot exceed 5 MB.<br><br>9. Once Attachment has been added, Vendor will select "UPLOAD" button<br><br>10. Vendor has the option to add a "Description"-up to 2000 characters<br><br>11. Vendor selects "Save CDRL ELIN" button<br><br>12. Vendor can Add additional ELINs as required | | | | |

Attachment 2

# CONTRACT DATA REQUIREMENTS LIST
*(1 Data Item)*

*Form Approved*
*OMB No. 0704-0188*

The public reporting burden for this collection of information is estimated to average 110 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing the burden, to the Department of Defense, Executive Services Directorate (0704-0188). Respondents should be aware that notwithstanding any other provision of law, no person shall be subject to any penalty for failing to comply with a collection of information if it does not display a currently valid OMB control number. Please do not return your form to the above organization. Send completed form to the Government Issuing Contracting Officer for the Contract/PR No. listed in Block E.

| A. CONTRACT LINE ITEM NO. | B. EXHIBIT | C. CATEGORY: |
|---|---|---|
| 0001 | A | TDP ____ TM ____ OTHER X |

| D. SYSTEM/ITEM | E. CONTRACT/PR NO. | F. CONTRACTOR |
|---|---|---|
| | HQ0102-02-C-1066 | ABC CORPORATION |

| 1. DATA ITEM NO. | 2. TITLE OF DATA ITEM | 3. SUBTITLE |
|---|---|---|
| | Warranty Tracking and Administration for Serialized Items | Warranty Tracking |

| 4. AUTHORITY *(Data Acquisition Document No.)* | 5. CONTRACT REFERENCE | 6. REQUIRING OFFICE |
|---|---|---|
| Contract Attachment _____ | 252.246-7006 | HQ0102 |

| 7. DD 250 REQ | 9. DIST STATEMENT REQUIRED | 10. FREQUENCY | 12. DATE OF FIRST SUBMISSION |
|---|---|---|---|
| | | AS REQUIRED | 3/1/12 |
| **8. APP CODE** | | **11. AS OF DATE** | **13. DATE OF SUBSEQUENT SUBMISSION** |
| | | 2/14/12 | Delivery |

**16. REMARKS**

When submitting warranty data at delivery via WAWF, the vendor shall follow the format and contents of the Contract Attachment cited in Block 4.

**14. DISTRIBUTION**

| a. ADDRESSEE | b. COPIES Draft | Final Reg | Final Repro |
|---|---|---|---|
| | | | |
| 15. TOTAL → | 0 | 0 | 0 |

| 17. PRICE GROUP |
|---|
| |
| **18. ESTIMATED TOTAL PRICE** |
| |

| G. PREPARED BY | H. DATE | I. APPROVED BY | J. DATE |
|---|---|---|---|
| BARTLEY.MAE.K.1229859168 | 2/29/2012 | BARTLEY.MAE.K.1229859168 | 2/29/2012 |

DD FORM 1423-1, FEB 2001 PREVIOUS EDITION MAY BE USED. Page 1 of 2 Pages
Adobe Professional 8.0

## CONTRACT DATA REQUIREMENTS LIST

*(1 Data Item)*

| A. CONTRACT LINE ITEM NO. | B. EXHIBIT | C. CATEGORY: |
|---|---|---|
| 0001 | A | TDP _____ TM _____ OTHER X |

| D. SYSTEM/ITEM | E. CONTRACT/PR NO. | F. CONTRACTOR |
|---|---|---|
| | HQ0102-02-C-1066 | ABC CORPORATION |

16. REMARKS *(Continued)*

# INSTRUCTIONS FOR COMPLETING DD FORM 1423

*(See DoD 5010.12-M for detailed instructions.)*

## FOR GOVERNMENT PERSONNEL

**Item A.** Self-explanatory.

**Item B.** Self-explanatory.

**Item C.** Mark (X) appropriate category: TDP - Technical Data Package; TM - Technical Manual; Other - other category of data, such as "Provisioning,""Configuration Management," etc.

**Item D.** Enter name of system/item being acquired that data will support.

**Item E.** Self-explanatory (to be filled in after contract award).

**Item F.** Self-explanatory (to be filled in after contract award).

**Item G.** Signature of preparer of CDRL.

**Item H.** Date CDRL was prepared.

**Item I.** Signature of CDRL approval authority.

**Item J.** Date CDRL was approved.

**Item 1.** See DoD FAR Supplement Subpart 4.71 for proper numbering.

**Item 2.** Enter title as it appears on data acquisition document cited in Item 4.

**Item 3.** Enter subtitle of data item for further definition of data item (optional entry).

**Item 4.** Enter Data Item Description (DID) number, military specification number, or military standard number listed in DoD 5010.12-L (AMSDL), or one-time DID number, that defines data content and format requirements.

**Item 5.** Enter reference to tasking in contract that generates requirement for the data item (e.g., Statement of Work paragraph number).

**Item 6.** Enter technical office responsible for ensuring adequacy of the data item.

**Item 7.** Specify requirement for inspection/acceptance of the data item by the Government.

**Item 8.** Specify requirement for approval of a draft before preparation of the final data item.

**Item 9.** For technical data, specify requirement for contractor to mark the appropriate distribution statement on the data (ref. DoDD 5230.24).

**Item 10.** Specify number of times data items are to be delivered.

**Item 11.** Specify as-of date of data item, when applicable.

**Item 12.** Specify when first submittal is required.

**Item 13.** Specify when subsequent submittals are required, when applicable.

**Item 14.** Enter addressees and number of draft/final copies to be delivered to each addressee. Explain reproducible copies in Item 16.

**Item 15.** Enter total number of draft/final copies to be delivered.

**Item 16.** Use for additional/clarifying information for Items 1 through 15. Examples are: Tailoring of documents cited in Item 4; Clarification of submittal dates in Items 12 and 13; Explanation of reproducible copies in Item 14.; Desired medium for delivery of the data item.

## FOR THE CONTRACTOR

**Item 17.** Specify appropriate price group from one of the following groups of effort in developing estimated prices for each data item listed on the DD Form 1423.

a. Group I. Definition - Data which is not otherwise essential to the contractor's performance of the primary contracted effort (production, development, testing, and administration) but which is required by DD Form 1423.

Estimated Price - Costs to be included under Group I are those applicable to preparing and assembling the data item in conformance with Government requirements, and the administration and other expenses related to reproducing and delivering such data items to the Government.

b. Group II. Definition - Data which is essential to the performance of the primary contracted effort but the contractor is required to perform additional work to conform to Government requirements with regard to depth of content, format, frequency of submittal, preparation, control, or quality of the data item.

Estimated Price - Costs to be included under Group II are those incurred over and above the cost of the essential data item without conforming to Government requirements, and the administrative and other expenses related to reproducing and delivering such data item to the Government.

c. Group III. Definition - Data which the contractor must develop for his internal use in performance of the primary contracted effort and does not require any substantial change to conform to Government requirements with regard to depth of content, format, frequency of submittal, preparation, control, and quality of the data item.

Estimated Price - Costs to be included under Group III are the administrative and other expenses related to reproducing and delivering such data item to the Government.

d. Group IV. Definition - Data which is developed by the contractor as part of his normal operating procedures and his effort in supplying these data to the Government is minimal.

Estimated Price - Group IV items should normally be shown on the DD Form 1423 at no cost.

**Item 18.** For each data item, enter an amount equal to that portion of the total price which is estimated to be attributable to the production or development for the Government of that item of data. These estimated data prices shall be developed only from those costs which will be incurred as a direct result of the requirement to supply the data, over and above those costs which would otherwise be incurred in performance of the contract if no data were required. The estimated data prices shall not include any amount for rights in data. The Government's right to use the data shall be governed by the pertinent provisions of the contract.

Attachment 3

**Attachment 3**

# WARRANTY ATTACHMENT PROCESS FLOW

## Phase I - Solicitation/Contract Stage

When the resulting contract will include a warranty for serialized items, Contracting Officers shall include the sample Contract Attachment, "Instructions for Electronic Submission of Warranty Tracking and Administration Information for Serialized Items" (Attachment B).

**1.** GOVERNMENT-SPECIFIED WARRANTY TERMS. When the Government specifies the terms of the warranty, the Contracting Officer shall:

a) Complete the Attachment Number, Contract Number (or Non-DOD Number), Line Item [CLIN(s) or SLIN(s)] and Exhibit Line Item data elements on the Portable Document Format (PDF) versions of the Warranty Tracking Information (WTI) and Warranty Source of Repair Instructions (WSRI) files cited in the Contract Attachment (Attachment B).

b) Complete the warranty term data elements (starting event, usage quantity, usage unit, duration quantity, duration unit, fixed expiration date; select one only), on the WTI fillable PDF.

c) Send both the WTI and WSRI fillable PDFs electronically to the contractor.

i. Warranty Tracking Information (WTI): Advise the contractor to complete the remaining sections of the WTI fillable PDF to include the following:

- Warranty Item Unique Item Identifier (UII) *(Complete if known, otherwise leave blank)*

- Warranty Administrator Enterprise Identifier Code Type;
- Warranty Administrator Enterprise Identifier;
- Warranty Guarantor Enterprise Identifier Code Type;
- Warranty Guarantor Enterprise Identifier; and
- Item Type.

ii. Warranty Source of Repair Instructions (WSRI): Advise the contractor to complete the remaining data elements of the WSRI fillable PDF to include the following:

- Warranty Repair Source Code;
- Warranty Repair Source Identifier;
- Shipping Address for Warranty Returns; and

- Shipping Instructions.

d) Advise the contractor to return an electronic copy of both the WTI and WSRI fillable PDFs to the Government.

1) The completed WTI fillable PDF shall be returned at time of the contract award.

2) The completed WSRI fillable PDF shall be returned at the time of the contract award or at the time of delivery of the warranted serialized item(s).

**2.** CONTRACTOR PROVIDED WARRANTY. When the contractor elects to provide the Government with a warranty on a serialized item(s), the Contracting Officer shall:

a) Include a CDRL entry for the Contract Attachment (Attachment B) which provides instructions for submission of warranty tracking and administration information on serialized items. Advise the contractor to complete all data elements of both the WTI and WSRI fillable PDFs to include the following:

WTI
- Attachment Number;
- Contract Number (or Non-DOD Number);
- Line Item (CLIN or SLIN);
- Exhibit Line Item;
- Warranty Item UII (*Complete if known, otherwise leave blank; and provide at the time of delivery*).
- Warranty Administrator Enterprise Identifier Code Type;
- Warranty Administrator Enterprise Identifier;
- Warranty Guarantor Enterprise Identifier Code Type; and
- Warranty Guarantor Enterprise Identifier.
-

WSRI
- Attachment Number;
- Contract Number (or Non-DOD Number);
- Line Item (CLIN or SLIN);
- Exhibit Line Item;
- Warranty Repair Source Code;
- Warranty Repair Source Identifier;
- Shipping Address for Warranty Returns; and
- Shipping Instructions.

b) Require the contractor to return an electronic copy of both completed WTI and WSRI fillable PDFs to the Government.

1) The completed WTI fillable PDF shall be returned at the time of contract award and/or with the signed copy of the contract.

2) The completed WSRI fillable PDF shall be returned at the time of contract award or at the time of delivery of the warranted serialized item(s).

**3.** UPLOADING WTI AND WSRI FILLABLE PDFs. When the completed WTI and WSRI fillable PDFs are returned at the time of the contract award, the Contracting Officer shall:

a) Upload a paper copy of the WTI and WSRI fillable PDFs to Electronic Document Access (EDA) or

b) Upload the electronic copy of the WTI and WSRI fillable PDFs to EDA to the "Attachment Folder."

**Phase II – Receipt and Acceptance**

**1.** When receipt and acceptance occurs via a manual process, the acquirer or designated representative shall ensure that the completed warranty attachments are loaded to EDA.

2. When receipt and acceptance occurs via the automated Wide Area Workflow (WAWF) process, the contractor shall ensure that the required warranty data is electronically submitted using the Contract Data Requirements List (CDRL) exhibit line item number (ELIN) functionality for the WAWF Materiel Inspection and Receiving Report or WAWF Reparables Receiving Report, if appropriate. The content and format for the submission of the data is contained in the attached sample Contract Attachment entitled "Instructions for Electronic Submission of Warranty Tracking and Administration Information for Serialized Items"(Attachment B).

**Phase III – Transmission of Data**

When a fillable PDF is uploaded to EDA through a manual or automated process, EDA will accept and store the warranty data. EDA will then extract the data from the PDF and make available via Extensible Markup Language (XML) or Application Programming Interface (API) to the Product Deficiency Reporting and Evaluation Program.

**1.** If the warranty data is received via WAWF, WAWF will either push or the Product Deficiency Reporting and Evaluation Program (PDREP) will pull any available

attachments from WAWF using a Web Services API or an automated Secure File Transfer Protocol (SFTP) process.

2. PDREP will parse any attachments provided to determine the type of file. If the file is a PDF, PDREP will validate key fields to determine if the file is a Warranty PDF.

   a) If the file is a Warranty PDF, PDREP will parse the entire document and load any field where data is present into the Warranty tables within PDREP.

   b) PDREP will validate any fields where a predetermined validation requirement exists. If mandatory fields are not present or existing data elements are not valid, PDREP will reject the record.

   c) The Hidden Key field (identifies the type of PDF and has a date/time stamp), Contract Number, and Attachment number are the primary fields used to identify the record.

      i. In cases where no matching record exists, a new record will be created.
      ii. In cases where a matching record exists, a sequence number will be added to the key field grouping to tie updates to the original.

3. If WAWF requires of PDREP raw data will be returned, PDREP will provide a data output back to WAWF for WAWF's consumption. The format can be in XML, flat file, or any appropriate format required by WAWF. The transmission method can be an API Web Service or automated Secure File Transfer Protocol (SFTP) process as required by WAWF.

4. PDREP will provide user interfaces to Warranty data that would allow approved PDREP users to search, view, sort, and recreate the Warranty PDF for download or printing purposes. In order to limit the required storage footprint, PDREP does not intend to keep the original PDFs. Additionally, PDREP would utilize key fields within the Warranty data to tie Warranty information to new or existing PQDRs for use in the PQDR process.