



DoD 4140.1-R

DEPARTMENT OF DEFENSE

DoD
Supply Chain Materiel
Management Regulation

MAY 23, 2003

Office of the Deputy Under Secretary of Defense for
Logistics and Materiel Readiness

AP9. APPENDIX 9

UMMIPS RESPONSIBILITIES

AP9.1.1. The DUSD(L&MR) shall:

AP9.1.1.1. Monitor implementation of UMMIPS and compliance with established system requirements.

AP9.1.1.2. Resolve all requests for deviation or exemption from UMMIPS submitted by the DoD Components and the other Federal Agencies.

AP9.1.1.3. Establish criteria for allocating critical materiel in the DoD distribution system to resolve competing requirements among the DoD Components, non-DoD Federal Agencies, foreign governments, and/or foreign agencies.

AP9.1.1.4. Issue criteria, with the Chairman of the Joint Chiefs of Staff. When temporary imperative situations require deviations from those criteria, issue supplemental UMMIPS provisions to ensure delivery of selected items that are urgently needed for a mission or operation, or for a program vital to the Department of Defense or U.S. objectives.

AP9.1.1.5. Charter periodic reviews, at least annually, of UMMIPS operations to ensure consistent interpretation and uniform application of the system at all echelons, to analyze the validity of established time standards, and to improve and simplify the UMMIPS.

AP9.1.1.6. Coordinate policy guidance, instructional memoranda, and system requirements within the OSD, as applicable.

AP9.1.2. The Chairman of the Joint Chiefs of Staff shall:

AP9.1.2.1. Establish mechanisms to supervise overall implementation of Secretary of Defense guidance on the assignment of UMMIPS Force or Activity Designators (F/ADs) to U.S. and foreign country units and activities. That responsibility includes the following:

AP9.1.2.1.1. Recommending F/AD I for forces, activities, units, programs, or projects to the Secretary of Defense for approval.

AP9.1.2.1.2. Assigning F/ADs II through V to U.S. and foreign country units or activities and to programs and projects based on the guidance in the following paragraphs.

AP9.1.2.1.3. Assigning F/ADs as follows, according to DoD importance or mission essentiality:

AP9.1.2.1.3.1. F/AD I assignments are reserved for those forces, units, programs, projects, or activities that are most important militarily in the opinion of the Chairman of the Joint Chiefs of Staff and that are approved by the Secretary of Defense to preserve the unique impact of F/AD I requisitions on the supply system.

AP9.1.2.1.3.2. The lowest F/AD required to indicate relative importance of the force, activity, unit, program, or project shall be assigned.

AP9.1.2.1.3.3. The assignment of lower F/ADs for segments of organizations, phases, projects, or programs, or for individual situations shall be made, where possible.

AP9.1.2.1.3.4. Designator I shall be assigned to the following:

AP9.1.2.1.3.4.1. Programs that have been approved for a DX industrial priority rating by the Secretary of Defense according to DoD Directive 4400.1 (reference (bs)). The automatic F/AD ranking shall continue after a given program enters operational use as long as that program continues to be authorized a DX rating. When a program no longer is authorized such a rating, the use of F/AD I may continue, if considered necessary, for 90 days to allow for the processing of a request for F/AD I approval, according to subparagraph AP9.1.2.1.3.4.2., below. Continuance of the F/AD I does not permit continued use of the DX industrial priority rating since termination of that rating is effective immediately.

AP9.1.2.1.3.4.2. Units, projects, forces, activities, or programs, including foreign country units or activities that have been specifically approved by the Secretary of Defense on the recommendation of the Chairman of the Joint Chiefs of Staff.

AP9.1.2.1.3.5. Designator II shall be assigned to the following:

AP9.1.2.1.3.5.1. Units (combat, combat support, or combat service support) engaged in or assigned to combat zone operations, as specified by the

Chairman of the Joint Chiefs of Staff or the supported Combatant Commander and approved by the Secretary of Defense.

AP9.1.2.1.3.5.2. Units engaged in military operations, as designated by the Chairman of the Joint Chiefs of Staff through the Joint Strategic Capabilities Plan (JSCP) and/or deliberate plans in the Joint Operation, Planning and Execution System (JOPES). Designation shall specify the period for which the authorization is effective.

AP9.1.2.1.3.5.3. Units (combat, combat support, or combat service support) designated to deploy in support of national security objectives within C+30 days when directed by the National Command Authority (NCA).

AP9.1.2.1.3.5.4. Specified units or activities of allied nations meeting the requirements in subparagraphs AP9.1.2.1.3.5.1. through AP9.1.2.1.3.5.3., above, as requested by the respective Commanders of the Combatant Commands, and as approved by the Chairman of the Joint Chiefs of Staff.

AP9.1.2.1.3.5.5. Units or activities supporting allied nations meeting the requirements in subparagraphs AP9.1.2.1.3.5.1. through AP9.1.2.1.3.5.3., above, as requested by the respective Commanders of the Combatant Commands, and as designated by the Chairman of the Joint Chiefs of Staff.

AP9.1.2.1.3.5.6. National Mission Forces, as defined in Chairman of the Joint Chiefs of Staff Instruction 5113.01B (reference (bt)), which are not designated F/AD I by the Chairman of the Joint Chiefs of Staff.

AP9.1.2.1.3.5.7. Units directed by the Chiefs of the Military Services or the Commander, U.S. Special Operations Command (USSOCOM); ordered by the Chairman of the Joint Chiefs of Staff; and designated through the crisis action planning process, to deploy in support of military operations. Units shall possess a valid deployment or execute order.

AP9.1.2.1.3.5.8. Units, or components thereof, designated by the Chiefs of the Military Services/Commanders of affected Combatant Commands, as forward-based units intended to react rapidly to proximate threats in support of military operations in overseas theaters.

AP9.1.2.1.3.5.9. Single Integrated Operational Plan (SIOP) specifically tasked units, not designated F/AD I.

AP9.1.2.1.3.5.10. Industrial maintenance and repair activities providing direct repair and return for F/AD I and II non-mission capable requirements. Direct repair and return is defined as those cases in which an unserviceable asset is removed from a F/AD I or F/AD II unit's non-mission capable equipment, and the only source to fill that requirement is immediate repair and return of that asset. Upon return, that same asset is installed in the combat unit's equipment, making it mission capable. The foregoing authorization does not include repair and return to stock for the F/AD I and F/AD II units.

AP9.1.2.1.3.5.11. Federal Agency units and programs vital to DoD or National Security objectives, as determined by the Service Chiefs/Commander, USSOCOM/Commanders of affected Combatant Commands.

AP9.1.2.1.3.5.12. Military programs vital to DoD or National Security objectives, as determined by the Military Service Chiefs/Commander, USSOCOM/Commanders of affected Combatant Commands in affected Combatant Command areas of responsibility.

AP9.1.2.1.3.5.13. Critical logistical, mobilization support, and medical units, as designated by the Chiefs of the Military Services/ Commander, USSOCOM /Commanders of supported or supporting Combatant Commands, required to provide immediate support to units deploying to conduct military operations, for those units annotated in subparagraphs AP9.1.2.1.3.5.1. through AP9.1.2.1.3.5.3., above.

AP9.1.2.1.3.5.14. Critical non-deploying units, activities, and organizations (e.g., port opening or closing authorities, air passenger and cargo terminal operations, and general logistics arms such as ICPs), as determined by the Service Chiefs/Commander, USSOCOM/Commanders of supported or supporting Combatant Commands.

AP9.1.2.1.3.6. Designator III shall be assigned to the following:

AP9.1.2.1.3.6.1. Units (combat, combat support, or combat service support), designated to deploy in support of national security objectives when directed by the NCA from C+31 to C+90.

AP9.1.2.1.3.6.2. Units (combat, combat support, or combat service support), designated by the Chiefs of the Military Services and/or the Commander, USSOCOM, or Commanders of supporting Combatant Commands, to prepare for deployment (i.e., in possession of a valid warning, an alert, or a prepare-to-deploy order), in support of military operations, as specified by a supported

Combatant Commander or by the Chairman of the Joint Chiefs of Staff through the JOPES, or as required by the crisis action planning process. Designation shall specify the period for which the authorization is effective.

AP9.1.2.1.3.6.3. Specified units or activities of allied nations meeting the requirements in subparagraphs AP9.1.2.1.3.6.1. and/or AP9.1.2.1.3.6.2., above, as designated by the Chairman of the Joint Chiefs of Staff.

AP9.1.2.1.3.6.4. Units or activities supporting units of allied nations meeting the requirements of subparagraphs AP9.1.2.1.3.6.1. and/or AP9.1.2.1.3.6.2., above, as designated by the Chairman of the Joint Chiefs of Staff.

AP9.1.2.1.3.6.5. Combat training units, to include combat or combat service support schools, supporting combat, combat support, or combat service support units designated to deploy in support of National Security objectives, as designated by the Military Services, the Commander, USSOCOM, or the Commander of an affected Combatant Command. These units provide systemic instruction to individuals in subjects (air, land, or sea) that enhance their knowledge and skills of the art of war and directly support F/AD I and II operational requirements (e.g., air crews to support SIOP units and Combat Training Centers).

AP9.1.2.1.3.6.6. Pre-positioned War Reserve Materiel starter/swing stocks, as designated by the Services and approved by the Chairman of the Joint Chiefs of Staff.

AP9.1.2.1.3.6.7. Industrial maintenance and repair activities (including base-level organic repair functions) providing direct logistics support for F/AD III units and direct logistic support other than direct repair and return for F/AD I and II units. Overseas industrial activities shall use the F/AD specified in the applicable contract.

AP9.1.2.1.3.6.8. Federal Agency units and programs vital to DoD or National Security objectives, as determined by the Military Service Chiefs/Commander, USSOCOM/Commanders of affected Combatant Commands.

AP9.1.2.1.3.6.9. U.S. Military Programs vital to DoD or National Security objectives, as determined by the Military Service Chiefs/Commander, USSOCOM /Commanders of affected Combatant Commands.

AP9.1.2.1.3.6.10. Critical logistical, mobilization support, and medical units, as designated by the Chiefs of the Military Services/Commander, USSOCOM/ Commanders of affected Combatant Commands, required to provide

immediate support to units deploying to conduct military operations, for those units in subparagraphs AP9.1.2.1.3.6.1. and/or AP9.1.2.1.3.6.2. above.

AP9.1.2.1.3.7. Designator IV shall be assigned to the following:

AP9.1.2.1.3.7.1. Units (combat, combat support, or combat service support) designated to deploy in support of national security objectives greater than C+91 days, when directed by the NCA.

AP9.1.2.1.3.7.2. Units (combat, combat support, or combat service support), designated by the Service Chiefs to deploy in support of military operations, as specified by the Commander-in-Chief or by the Chairman of the Joint Chiefs of Staff through the JOPES or as required by the crisis action planning process. Designation shall specify the period for which the authorization is effective.

AP9.1.2.1.3.7.3. Specified units or activities of allied nations meeting the requirements in subparagraphs AP9.1.2.1.3.7.1. and/or AP9.1.2.1.3.7.2., above, as recommended by the Commander of a Combatant Command and approved by the Chairman of the Joint Chiefs of Staff.

AP9.1.2.1.3.7.4. Units or activities supporting activities of allied nations meeting the requirements in subparagraphs AP9.1.2.1.3.7.1. and/or AP9.1.2.1.3.7.2., above, as recommended by the Commander of a Combatant Command and approved by the Chairman of the Joint Chiefs of Staff.

AP9.1.2.1.3.7.5. Combat training units supporting combat, combat support, or combat service support units as defined in subparagraphs AP9.1.2.1.3.7.1. and/or AP9.1.2.1.3.7.2., above. These units train the forces to respond to operational requirements deemed necessary by the Services (e.g., Military Occupational Specialty Qualification, individual skills, and technical schools).

AP9.1.2.1.3.7.6. Logistical, mobilization support, and medical units, as designated by the Chiefs of the Military Services/Commander, USSOCOM/Commanders of affected Combatant Commands, required to provide immediate support to units deploying to conduct military operations in support of units in subparagraphs AP9.1.2.1.3.7.1. through AP9.1.2.1.3.7.2., above.

AP9.1.2.1.3.7.7. Federal Agency units and programs designated by the Military Service Chiefs/Commander, USSOCOM/Commanders of affected Combatant Commands.

AP9.1.2.1.3.7.8. Military programs designated by the Military Service Chiefs/Commander, USSOCOM/Commanders of affected Combatant Commands.

AP9.1.2.1.3.8. Designator V shall be assigned to the following:

AP9.1.2.1.3.8.1. All remaining U.S. Forces, units, activities, projects, or programs.

AP9.1.2.1.3.8.2. All other units or activities of allied nations, as designated by the Chairman of the Joint Chiefs of Staff.

AP9.1.2.1.4. Delegating authority to the Heads of the DoD Components and other Federal Agencies, if necessary, to assign F/ADs II through V to their respective forces, activities, units, programs, and projects.

AP9.1.2.2. Coordinate policy and supporting procedures for allocation of defense articles among U.S., allied, and friendly units or activities during periods of military crisis and war.

AP9.1.2.3. Conduct annual audits of each F/AD I assignment to ascertain continued validity for those assignments that previously had been approved by the Secretary of Defense. Participate in reviews, initiated by the Office of the Secretary of Defense, to determine if DoD programs that have been authorized a DX rating should retain that rating. Periodically review F/AD assignments for which the Chairman of the Joint Chiefs of Staff has not delegated the authority to make assignments to the other DoD Components (e.g., F/ADs for joint programs).

AP9.1.2.4. Periodically conduct, or request an impartial activity to conduct, reviews of F/AD II - IV assignments to ensure that F/ADs are assigned equitably, according to criteria contained in governing regulations and instructions.

AP9.1.2.5. Through the Joint Materiel Priorities and Allocations Board, establish, modify, or recommend priorities for allocating materiel assets in the DoD distribution system when the DoD Components cannot resolve competing requirements among themselves.

AP9.1.3. The Defense Security Cooperation Agency (DSCA) shall:

AP9.1.3.1. With the Military Services and the DLA, allocate materiel and establish priorities for distribution of security assistance program materiel in support of foreign military sales during periods of non-crisis and peacetime.

AP9.1.3.2. Not perform the above functions during periods of crisis and war when the Secretary of Defense has delegated that authority to the Chairman of the Joint Chiefs of Staff.

AP9.1.4. The Heads of the DoD Components shall:

AP9.1.4.1. Designate a single office of primary responsibility, and identify that office to the DUSD(L&MR), to act as focal point for UMMIPS matters. The functions of these offices include the following:

AP9.1.4.1.1. Assigning F/ADs II through V to units, activities, programs, and projects of their respective DoD Components, if such authority has been granted by the Chairman of the Joint Chiefs of Staff.

AP9.1.4.1.2. Keeping abreast of their respective F/AD assignments.

AP9.1.4.1.3. Monitoring the use of the UMMIPS throughout their respective DoD Components.

AP9.1.4.1.4. Developing and submitting to the DUSD(L&MR) a DoD Component position paper on all system revision proposals.

AP9.1.4.2. Develop and publish implementing regulations that conform to the policies and standards in DoD Directive 5010.38 (reference (z)) and the criteria outlined herein.

AP9.1.4.3. Conduct continuing internal training programs to ensure effective operation and accurate application of the system.

AP9.1.4.4. Conduct command and administrative audits and inspections by reviewing internal operations with the objective of eliminating and preventing abuses, misapplication, and misinterpretation of the UMMIPS.

AP9.1.4.5. Enforce accurate use of the UMMIPS through applicable disciplinary action for the deliberate misuse of the system.

AP9.1.4.6. Conduct annual reviews to validate the propriety of F/ADs assigned to units in their respective DoD Components. Report the results of those reviews to the Office of the DUSD(L&MR) and the Joint Staff, Director for Logistics, no later than June 30 of each year.

AP9.1.4.7. Develop internal performance goals for measuring performance against the established UMMIPS time standards.

AP9.1.4.8. Participate in joint development efforts and periodic evaluations of the UMMIPS.

AP9.1.5. The Commanding Officers or the Heads of Requisitioning Activities shall:

AP9.1.5.1. Ensure that the assignment of priority designators is valid and accurate, and consistent with F/ADs assigned by higher authority, as well as the existing urgency of need. Additionally, they shall ensure that required delivery dates that are assigned to requisitions are valid. Similarly, commanding officers of international logistics control offices that receive requisitions from MAP requisitioners are responsible for review of assigned priority designators and delivery dates.

AP9.1.5.2. Personally review, or delegate in writing to specific personnel the authority to review, all requirements that are assigned an urgency of need designator (UND) A on the basis of an inability to perform a mission. That review shall be done before the transmission of requisitions to the source of supply; and in cases in which the assignment of UND A is sustained, it constitutes a certification that the assignment is correct.

AP9.1.5.3. Delegate in writing to specific personnel the authority to review all requirements based on UND B to certify that the urgency was accurately determined. That review shall be done before the transmission of requisitions to the source of supply.