



DoD INSTRUCTION 4151.20

DEPOT MAINTENANCE CORE CAPABILITIES DETERMINATION PROCESS

Originating Component: Office of the Under Secretary of Defense for Acquisition and Sustainment

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Approved by: Ellen M. Lord, Under Secretary of Defense for Acquisition and Sustainment

Purpose: This issuance implements policy, assigns responsibilities, and prescribes procedures to identify required core capabilities for depot maintenance and the associated workloads needed to sustain those capabilities pursuant to DoD Directives 4151.18 and 5134.01, the January 31, 2018 Deputy Secretary of Defense Memorandum, and the January 5, 2018 Secretary of Defense Memorandum.

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SECTION 1: GENERAL ISSUANCE INFORMATION

1.1. APPLICABILITY. This issuance:

a. Applies to OSD, the Military Departments, the Office of the Chairman of the Joint Chiefs of Staff (CJCS) and the Joint Staff, the Combatant Commands, the Office of the Inspector General of the Department of Defense, the Defense Agencies, the DoD Field Activities, and all other organizational entities within the DoD (referred to collectively in this issuance as the “DoD Components”).

b. Does not apply to the United States Coast Guard.

1.2. POLICY. Pursuant to DoD Directive 4151.18, it is DoD policy that:

a. The core capability requirements determination process underpins the establishment and retention of a broad set of public sector depot maintenance capabilities necessary for the DoD.

b. The core capability requirements determination process described in this issuance is used to identify required core capabilities and the workloads necessary to effectively sustain those capabilities.

c. The required core capabilities and depot maintenance workloads necessary to sustain those capabilities will be calculated by Military Services and then aggregated to determine the overall DoD core requirements.

(1) In sizing DoD depot maintenance activities to satisfy core requirements, the use of a single-shift, 40-hour workweek standard preserves the capability to respond effectively to surge requirements through expanded work hours or additional shifts during emergency operations.

(2) The workforce required to sustain core capabilities should be structured to ensure that depot maintenance activities can accommodate required workloads within the time constraints imposed by the strategic and contingency plans prepared by the CJCS.

(3) Core capabilities and the workloads required to support these capabilities must be periodically adjusted as a result of factors such as force structure changes, introduction of new weapons systems, aging or modification of existing weapons systems, technology changes, or changes in battle doctrine to counter emerging threats.

1.3. INFORMATION COLLECTIONS. The DoD Depot Maintenance Core Capability Requirements and Workload Determination Worksheet, referred to in Paragraphs 3.2. and 3.3. of this issuance, does not require licensing with a report control symbol in accordance with Paragraph 1.b.(10) of Volume 1 of DoD Manual 8910.01.

SECTION 2: RESPONSIBILITIES

2.1. UNDER SECRETARY OF DEFENSE FOR ACQUISITION AND SUSTAINMENT (USD(A&S)). The USD(A&S) serves as the approving authority for the core capability requirements and associated workloads for the DoD.

2.2. ASSISTANT SECRETARY OF DEFENSE FOR LOGISTICS AND MATERIEL READINESS (ASD(L&MR)). Under the authority, direction, and control of the USD(A&S), the ASD(L&MR):

- a. Maintains this issuance and its computation methodology.
- b. Issues tasking memorandums and electronic DoD Depot Maintenance Core Data Workbooks in October of odd numbered years to trigger the Military Service computation process for congressional reports due in even numbered years.
- c. Collects, reviews, and evaluates Military Service submissions as applicable, computes the composite core capability requirements and associated workloads for the DoD, and submits consolidated report to Congress.

2.3. SECRETARIES OF MILITARY DEPARTMENTS. The Secretaries of the Military Departments:

- a. Implement policies and procedures consistent with this issuance within their respective organizations.
- b. Ensure their submissions are reviewed, approved, and signed by a general or flag officer or Senior Executive Service member.
- c. Upon review and approval, forward the completed DoD Depot Maintenance Core Data Workbook described in Section 3 to the ASD(L&MR).
- d. Will maintain cost-effective and technically competent core public sector depot maintenance facility workloads and capabilities during peacetime as identified in Paragraph 1.2.c., to support the CJCS strategic and contingency plans.

2.4. THE SECRETARY OF THE NAVY. In addition to the responsibilities in Paragraph 2.3., the Secretary of the Navy will report Navy and Marine Corps requirements and workloads separately.

SECTION 3: PROCEDURES

3.1. INTRODUCTION. The DoD depot maintenance core computation methodology contained in this issuance provides a sound basis for identification of the depot maintenance capabilities required to ensure a ready and controlled source of technical competence to support the force structure identified in the planning guidance promulgated by OSD and the CJCS strategic and contingency plans. To efficiently maintain depot maintenance core capabilities, DoD facilities, equipment, and personnel accomplish a broad range of workloads in support of peacetime operations.

3.2. CORE CAPABILITIES DETERMINATION.

a. The Military Services performing depot maintenance will compute core capability requirements and associated workloads on a biennial basis.

(1) The computations will use the President's budget submission for odd-numbered years as a baseline.

(2) The computational methodology outlined in Paragraph 3.3 will be applied to this requirement.

(3) Each Military Service will use only the applicable portion(s) of the work breakdown structure (WBS) contained in the workbook.

b. Each Military Service performing depot maintenance will submit an electronic report biennially containing the completed workbook to the ASD(L&MR) in accordance with the tasking memorandum issued for each computation cycle.

(1) The transmittal must be accompanied by a forwarding memorandum signed by a general or flag officer or Senior Executive Service member indicating the report was reviewed and approved.

(2) When the DoD Depot Maintenance Core Capability Requirements and Workload Determination Worksheet (Table 1), contained in the workbook, indicates there is a core sustaining workload shortfall (part 2, column H), submit a detailed rationale for any and all shortfalls and a plan to either correct or mitigate the effects of the shortfalls. The detailed rationale and plan will:

(a) Identify the reason for the shortfall.

(b) Contain a strategy to mitigate the effects of the shortfall (i.e., specific transferrable workload, transfer of private sector workload) and include actions to rectify any capability or workload shortfalls, including a description of planned capital investment, timing, and planned workarounds until the new capabilities or workloads are available.

3.3. METHODOLOGY.

a. The depot maintenance core capability requirements determination methodology is used to determine essential DoD depot maintenance core capabilities for each Military Service, and the workloads needed to sustain those capabilities. All calculations will be based on the fiscal year after the fiscal year during which the report is submitted. The methodology will be used to assess requirements for individual items or processes, weapons systems, or types of capabilities, as applicable. The computations involved in this methodology are performed from the perspective of the Military Service that owns the depot maintenance assets, and are divided into two parts. A workbook that corresponds to the parts of the methodology is provided in this issuance. In completing this workbook, the Military Services will use actual whole numbers (no abbreviated numbers).

(1) Part 1 identifies depot maintenance core capability requirements in terms of direct labor hours (DLHs) and allows for an adjustment for interservice considerations.

(2) Part 2 identifies the depot maintenance workloads required to support core capability requirements (expressed in terms of DLHs and costs). This part establishes a minimum level of public sector depot maintenance workloads within each Military Service.

b. A WBS numbered sequentially to reveal a hierarchical structure is provided in the workbook (e.g., 1. Aircraft, 1.1 Rotary, 1.2 VSTOL). The purpose for the numbering is to provide a consistent approach to identify the WBS across like systems regardless of Military Service. Throughout this process, the Military Services will complete WBS categories at the level of indenture set forth on the spreadsheets provided by USD(A&S). For any system that supports CJCS strategic and contingency plans that do not fit into the WBS structure provided, the Military Services will calculate requirements and sustaining workloads in the “Other” WBS category. The Military Services must identify the specific system as a footnote at the bottom of the appropriate worksheet.

c. Completing the Core Capability Requirements Determination (Table 1, part 1).

(1) Column A – Determine Systems in the CJCS Strategic and Contingency Plans. Determine how many of these platforms/weapons systems are included in the force structure for employment in support of CJCS strategic and contingency plans (leave column A blank for software, fabrication/manufacturing, and fleet/field support). Consider all tasked platforms/weapon systems, that are not excluded by Sections 2460 or 2464 of Title 10, United States Code, that require depot maintenance, regardless of whether maintenance is currently performed at a public sector or private sector depot maintenance facility. Platforms/weapons systems may include multiple end items, principal items, components, subsystems, parts, and materiel, and many of these items may also be separately identified as depot-level repairables (DLRs). Record results in part 1, column A, of the worksheet.

(2) Column B – Convert CJCS Strategic and Contingency Plan Requirement to Peacetime DLHs. This is a two-step process.

(a) Step B1 – Platform DLHs. Apply appropriate authoritative factors (e.g., historical workload averages, work standards, occurrence factors, historical peacetime

capabilities, technology-based requirements) to convert column A platform/weapons system peacetime requirements into annual depot maintenance DLHs. Record results in part 1, column B1 of the worksheet.

(b) Step B2 – DLR DLHs. Add DLH data to applicable WBS categories to account for functions and activities (e.g., software, fabrication/manufacturing, fleet/field support) used to support platforms/weapons systems employed in CJCS strategic and contingency plans, but not already included in column B1 platform/weapons system depot maintenance data. Record results in part 1, column B2 of the worksheet.

(3) Column C – Adjust for Contingency Requirement and Resources. This is a two-step process.

(a) Step C1 – Result After Contingency Adjustment. Adjust annual peacetime depot maintenance DLH data (total of columns B1 and B2) by applying a surge factor for requirements during the readiness, sustainment, and reconstitution phases of contingency operations. Base surge factors on contingency simulations, logistics support analyses, and/or historical data for both peacetime and wartime operations. Select the most appropriate requirement for readiness, sustainment, or reconstitution capabilities and record results in DLHs in part 1, column C1 of the worksheet.

(b) Step C2 – Result After Resource Adjustment. Determine and apply an appropriate resource adjustment factor (e.g., 1.6) to the DLHs from column C1 of the worksheet. This factor accounts for the ability of on-hand peacetime depot maintenance resources to increase production by operating additional hours without being augmented by additional facilities, equipment, or personnel. Record the results in DLHs in column C2 of the worksheet.

(4) Column D – Identify Interservice Capability Requirement. Use the interservice worksheet in Table 2 to determine the appropriate amounts for columns D1 and D2 and to assist in coordinating with the other Military Services. Information from the interservice worksheet will automatically populate columns D1 and D2.

(5) Column E – Identify Redundant Requirement. Adjust the size of core capability requirement to an amount deemed sufficient to assure adequate depot maintenance support for strategic or contingency operations. Such adjustments will, however, consider the needs to prevent adverse impacts in the event of a failure to perform by any element in the sustainment process and to assure the DoD depots' adequate responsiveness to operational requirements. The DLHs determined as a result of the calculations outlined in columns A through D may be adjusted further to address redundant capability requirements (i.e., multiple platforms that are so similar they share a common or complementary base of repair processes, technologies, and capabilities; or when a large quantity of single platform requirements necessitate duplicate DoD capabilities). Only public-sector depot maintenance workloads will be considered when adjusting for redundant capability. Each Military Service will make its own redundant core capability requirements adjustments.

(6) Column F – Total Adjusted Core Requirement. Record the net adjusted requirements in part 1, column F of the worksheet (column C2 plus column D1 minus column D2 minus column E).

d. Completing the Core Sustaining Workload Determination (Table 1, part 2).

(1) Column G – Total Public Sector Depot Maintenance Workload. Quantify all public sector depot maintenance workloads in terms of DLHs. Record this workload data in part 2, column G of the worksheet. Ensure this includes all interservice workloads, in and out.

(2) Column H – Core Sustaining Workload Overages or Shortfalls. To calculate workload overages or shortfalls, subtract column F from column G. A positive number indicates an overage. A negative number indicates a core sustaining workload shortfall. The results will automatically be recorded in part 2, column H on the worksheet.

(3) Column I – Estimated Cost of Workloads to Sustain Core Capability Requirement. Estimate the costs of performing core sustaining workloads. These estimates will be based on the latest estimated composite billing rates available and applied to the estimated core sustaining workloads contained in column F, for each WBS.

Table 1. DoD Depot Maintenance Core Capability Requirements and Workload Determination Worksheet

DoD Depot Maintenance Core Capability Requirements and Workload Determination Worksheet												
Work Breakdown Structure	Core Capability Requirements Determination (Part 1)									Core Sustaining Workload Determination (Part 2)		
	Column A	Column B		Column C		Column D		Column E	Column F	Column G	Column H	Column I
	Determine Systems in CJCS Strategic and Contingency Plans	Convert CJCS Strategic and Contingency Plan Requirements to Peacetime DLHs		Adjust for Contingency Requirements and Resources		Identify Interservice Capability Requirement		Identify Redundant Requirement	Total Adjusted Core Requirement	Total Public Sector Depot Maintenance Workload	Core Sustaining Workload Overages or Shortfalls	Estimated Cost of Workloads to Sustain Core Capability Requirement
		B1	B2	C1	C2	D1	D2					
	Number in CJCS plans	Platform DLHs	DLR DLHs	Result After Contingency Adjustment	Result After Resource Adjustment	Interservice DLHs In	Interservice DLHs Out	Redundant Requirement	Adjusted Requirement	DLHs	DLHs	\$
1 Aircraft	0	0	0	0	0	0	0	0	0	0	0	0
1.1 Rotary						0	0		0			0
1.2 VSTOL						0	0		0			0
1.3 Cargo/Tanker						0	0		0			0
1.4 Fighter/Attack						0	0		0			0
1.5 Bomber						0	0		0			0
1.6 Unmanned Systems						0	0		0			0
1.7 Aircraft Engines						0	0		0			0
2 Ground Vehicles	0	0	0	0	0	0	0	0	0	0	0	0
2.1 Combat Vehicles						0	0		0			0
2.2 Amphibious Vehicles						0	0		0			0
2.3 Tactical (wheeled) Vehicles						0	0		0			0
2.4 Construction Equipment						0	0		0			0
2.5 Unmanned Systems						0	0		0			0
3 Sea Ships	0	0	0	0	0	0	0	0	0	0	0	0
3.1 Aircraft Carriers						0	0		0			0
3.2 Submarines						0	0		0			0
3.3 Surface Combatants						0	0		0			0
4 Communication/Electronic Equipment	0	0	0	0	0	0	0	0	0	0	0	0
4.1 Radar						0	0		0			0
4.2 Radio						0	0		0			0
4.3 Wire						0	0		0			0
4.4 Electronic Warfare						0	0		0			0
4.5 Navigational Aids						0	0		0			0
4.6 Electro-Optics/Night Vision						0	0		0			0
4.7 Crypto						0	0		0			0
4.8 Computers						0	0		0			0

Table 1. DoD Depot Maintenance Core Capability Requirements and Workload Determination Worksheet, Continued

DoD Depot Maintenance Core Capability Requirements and Workload Determination Worksheet												
Work Breakdown Structure	Core Capability Requirements Determination (Part 1)									Core Sustaining Workload Determination (Part 2)		
	Column A	Column B		Column C		Column D		Column E	Column F	Column G	Column H	Column I
	Determine Systems in CJCS Strategic and Contingency Plans	Convert CJCS Strategic and Contingency Plan Requirements to Peacetime DLHs		Adjust for Contingency Requirements and Resources		Identify Interservice Capability Requirement		Identify Redundant Requirement	Total Adjusted Core Requirement	Total Public Sector Depot Maintenance Workload	Core Sustaining Workload Overages or Shortfalls	Estimated Cost of Workloads to Sustain Core Capability Requirement
		B1	B2	C1	C2	D1	D2					
	Number in CJCS plans	Platform DLHs	DLR DLHs	Result After Contingency Adjustment	Result After Resource Adjustment	Interservice DLHs In	Interservice DLHs Out	Redundant Requirement	Adjusted Requirement	DLHs	DLHs	\$
5 Support Equipment	0	0	0	0	0	0	0	0	0	0	0	0
5.1 GSE						0	0		0		0	
5.2 Generators						0	0		0		0	
5.3 TMDE						0	0		0		0	
5.4 Calibration						0	0		0		0	
6 Ordnance, Weapons, & Missiles	0	0	0	0	0	0	0	0	0	0	0	0
6.1 Nuclear Weapons						0	0		0		0	
6.2 Chemical Weapons						0	0		0		0	
6.3 Biological Weapons						0	0		0		0	
6.4 Conventional Weapons						0	0		0		0	
6.5 Explosives						0	0		0		0	
6.6 Small Arms/Personal Weapons						0	0		0		0	
6.7 Strategic Missiles						0	0		0		0	
6.8 Tactical Missiles						0	0		0		0	
7 Software	0	0	0	0	0	0	0	0	0	0	0	0
7.1 Weapon System						0	0		0		0	
7.2 Support Equipment						0	0		0		0	
8 Fabrication/Manufacturing						0	0		0		0	
9 Fleet/Field Support						0	0		0		0	
10 Other						0	0		0		0	
Total	0	0	0	0	0	0	0	0	0	0	0	0

Table 2. DoD Depot Maintenance Interservice Worksheet

DoD Depot Maintenance Interservice Worksheet								
Reporting Military Service: Select Reporting Military Service (from drop down list)								
Work Breakdown Structure	Interservice In				Interservice Out			
	Select Reporting Military Service (above)	Select Reporting Military Service (above)	Select Reporting Military Service (above)	Total In	Select Reporting Military Service (above)	Select Reporting Military Service (above)	Select Reporting Military Service (above)	Total Out
1 Aircraft	0	0	0	0	0	0	0	0
1.1 Rotary				0				0
1.2 VSTOL				0				0
1.3 Cargo/Tanker				0				0
1.4 Fighter/Attack				0				0
1.5 Bomber				0				0
1.6 Unmanned Systems				0				0
1.7 Aircraft Engines				0				0
2 Ground Vehicles	0	0	0	0	0	0	0	0
2.1 Combat Vehicles				0				0
2.2 Amphibious Vehicles				0				0
2.3 Tactical (wheeled) Vehicles				0				0
2.4 Construction Equipment				0				0
2.5 Unmanned Systems				0				0
3 Sea Ships	0	0	0	0	0	0	0	0
3.1 Aircraft Carriers				0				0
3.2 Submarines				0				0
3.3 Surface Combatants				0				0
4 Communication/Electronic Equipment	0	0	0	0	0	0	0	0
4.1 Radar				0				0
4.2 Radio				0				0
4.3 Wire				0				0
4.4 Electronic Warfare				0				0
4.5 Navigational Aids				0				0
4.6 Electro-Optics/Night Vision				0				0
4.7 Crypto				0				0
4.8 Computers				0				0
5 Support Equipment	0	0	0	0	0	0	0	0
5.1 GSE				0				0
5.2 Generators				0				0
5.3 TMDE				0				0
5.4 Calibration				0				0
6 Ordnance, Weapons, & Missiles	0	0	0	0	0	0	0	0
6.1 Nuclear Weapons				0				0
6.2 Chemical Weapons				0				0
6.3 Biological Weapons				0				0
6.4 Conventional Weapons				0				0
6.5 Explosives				0				0
6.6 Small Arms/Personal Weapons				0				0
6.7 Strategic Missiles				0				0
6.8 Tactical Missiles				0				0
7 Software	0	0	0	0	0	0	0	0
7.1 Weapon System				0				0
7.2 Support Equipment				0				0
8 Fabrication/Manufacturing				0				0
9 Fleet/Field Support				0				0
10 Other				0				0
Total	0	0	0	0	0	0	0	0

GLOSSARY

G.1. ACRONYMS.

ASD(L&MR)	Assistant Secretary of Defense for Logistics and Materiel Readiness
CJCS	Chairman of the Joints Chiefs of Staff
DLH	direct labor hour
DLR	depot-level reparable
USD(A&S)	Under Secretary of Defense for Acquisition and Sustainment
WBS	work breakdown structure

G.2. DEFINITIONS. Unless otherwise noted, these terms and their definitions are for the purpose of this issuance.

capability. The combination of skilled personnel, facilities and equipment, processes, and technology needed to perform a particular category of work (e.g., composite repair), and that are necessary to maintain and repair the weapon systems and other military equipment needed to fulfill strategic and contingency plans.

capacity. The amount of work that can be performed within a certain period of time, generally expressed in DLHs per year. The DoD has an approved methodology for measuring public sector depot maintenance capacity in DoD 4151.18-H.

components. Defined in the DoD Dictionary of Military and Associated Terms.

contingency. Defined in the DoD Dictionary of Military and Associated Terms.

core capability requirements. The depot maintenance capability (including personnel, equipment, and facilities) maintained by the DoD at government-owned, government-operated facilities as the ready and controlled source of technical competence and resources necessary to ensure effective and timely response to a mobilization, national defense contingency situations, and other emergency requirements. Depot maintenance for the designated weapon systems and other military equipment is the primary workload assigned to DoD depots to support core depot maintenance capabilities.

core sustaining workload. Depot-level maintenance and repair work necessary to ensure technical competence in peacetime while preserving the surge capacity and reconstitution capabilities necessary to support fully the strategic and contingency.

depot maintenance. The processes of materiel maintenance or repair involving the overhaul, upgrading, rebuilding, testing, inspection, and reclamation (as necessary) of weapons systems, equipment end items, parts, components, assemblies, and subassemblies. Depot maintenance

also includes all aspects of software maintenance; the installation of parts or components for modifications; and technical assistance to intermediate maintenance organizations, operational units, and other activities.

DLH. A common metric for measuring depot maintenance capability, workload, or capacity, representing 1 hour of direct work (e.g., touch labor or other directly attributed effort).

end item. Defined in the DoD Dictionary of Military and Associated Terms.

equipment. Defined in the DoD Dictionary of Military and Associated Terms.

exclusions. Specific systems or types of defense materiel which have been legislatively excluded from core capability requirements computations. Examples include, but are not limited to, materiel supported under special access programs and commercial items.

materiel. Defined in the DoD Dictionary of Military and Associated Terms.

platform. A weapon system or system of systems or support system designated by a DoD Component as the basis for analysis of core capability requirements.

private sector. Infrastructure operated by commercial firms.

public sector. Infrastructure owned and operated by the Federal Government.

readiness. The ability of the Military Services to fight and meet the demands of the national military strategy. Readiness is the synthesis of two distinct, but interrelated, levels joint readiness and unit readiness defined as the ability to provide capabilities required by the Combatant Commanders to execute their assigned missions; derived from the ability of each unit to deliver the outputs for which it was designed.

software. The computer programs that provide the functionality, and/or capability needed to operate the system, including computer systems resident within the equipment item, platform, and weapon system (e.g., firmware, commercial off-the-shelf, open source) as well as secondary and tertiary systems needed for proper function and operation.

software maintenance. Includes actions that change the software baseline (adaptive, corrective, perfective, and preventative) as well as modification or upgrade that add capability or functionality. Encompasses requirements development, architecture and design, coding, and integration and test activities. Software maintenance and software sustainment are considered synonymous.

surge. The act of expanding an existing depot maintenance repair capability to meet increased requirements by adjusting shifts or by adding skilled personnel, equipment, spares, and repair parts. The expanded capability will increase the flow of repaired or manufactured materiel to the using activity or to serviceable inventory storage.

weapon system. Defined in the DoD Dictionary of Military and Associated Terms.

workload. An amount of depot maintenance work, usually specified in DLHs or workdays. It relates to specific weapons systems, equipment, components, or programs and to specific services, facilities, and commodities.

REFERENCES

- Deputy Secretary of Defense Memorandum, “Implementation Guidance for the Establishment of the Office of the Under Secretary of Defense for Research and Engineering and the Office of the Under Secretary of Defense for Acquisition and Sustainment,” January 31, 2018
- DoD Directive 4151.18, “Maintenance of Military Material,” March 31, 2004
- DoD Directive 5134.01, “Under Secretary of Defense for Acquisition, Technology, and Logistics (USD AT&L),” April 1, 2008
- DoD 4151.18-H, “Depot Maintenance Capacity and Utilization Measurement Handbook,” March 10, 2007
- DoD Manual 8910.01, Volume 1, “DoD Information Collections Manual: Procedures for DoD Internal Information Collections,” June 30, 2014, as amended
- Office of the Chairman of the Joint Chiefs of Staff, “DoD Dictionary of Military and Associated Terms,” current edition
- Secretary of Defense Memorandum, “Continuity of Leadership During the Reorganization of the Office of the Under Secretary of Defense for Acquisition, Technology, and Logistics,” January 5, 2018
- United States Code, Title 10