1. PURPOSE.
   

   (1) Generally, a DoD Component develops and executes a UIT program to establish visibility over all UIT program items from point of entry into the DoD logistics systems through disposal/demilitarization, or shipment outside the control of DoD; however, the DoD Component registering a UIT program may require item-level visibility only during selected phases of the supply chain (i.e., Navy Depot Level Reparable (NDLR)).

   (2) The principal purpose for UIT is to maintain visibility of each uniquely identified asset for inventory control and/or engineering analysis. Additional processes that may benefit from tracking of individual items include serialized item management, security, safety, configuration control, maintenance, operational readiness, and warranty applicability.

   (3) Although there currently are no registered DoD UIT programs for DLA-managed items, DLA (as the provider of DoD distribution services) will support other registered DoD Component UIT programs through distribution center UIT reporting. Initial capabilities support the NDLR program.

2. APPLICABILITY.
   
a. This DLAI applies to all Headquarters (HQ) DLA and DLA Primary Level Field Activities (PLFA) associated with the management and/or distribution of items that require traceability/UIT at the individual item level.
b. Assets which have UIT Designator Code (UITDC) “UID” are not required to be tracked, in accordance with UIT procedures/requirements, and are therefore not subject to these procedures.

3. POLICY.

   a. It is DLA policy to continually work with customers (both internal DLA and DoD Components) to provide UIT program capabilities in the supply chain. DLA implementation of UIT must encompass all ongoing and future efforts to provide traceability of individual items (i.e., unique item identifier [UII] comprised of an item unique identification [IUID], serial number, or equivalent). The UII is an identifier used to uniquely identify an individual asset used within the DoD. The UII may be a DoD recognized IUID equivalent (e.g., vehicle identification number [VIN]) or a composite structure defined by the DoD [refer to UII construct 1 and UII construct 2]. Refer to DoD policy and supporting documentation for specific IUID guidance at http://www.acq.osd.mil/dpap/pdi/uid/index.html.

   b. It is DLA policy to provide flexibility to accommodate tracking by NSN and UII, or by NSN and serial number, until such time as IUID policy and use of UIIs is fully implemented to comply with DoD 4000.25-M volume 2Ch 19.8 (http://www.dla.mil/j-6/dlmso/elibrary/manuals/dlms/msw/v2/v2c19_ch3.doc).

4. RESPONSIBILITIES. Refer to enclosure 2.

5. PROCEDURES. Refer to enclosure 3.


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6 Enclosures
   Enclosure 1 – References
   Enclosure 2 – Responsibilities
   Enclosure 3 – Procedures
   Enclosure 4 – Definitions
   Enclosure 5 – Additional Information
   Enclosure 6 – Competencies/Certifications
References


2. DoD 4000.25-M, Defense Logistics Management System, Volume 2, Supply Standards and Procedures), Chapter 4, Requisitioning; Chapter 5, Asset Status Reporting; Chapter 6, Physical Inventory Control; Chapter 7, Adjustment Transactions; Chapter 12, Due-In and Advance Receipt Information; Chapter 13, Receipt and Material Receipt Acknowledgement; Chapter 14, Issue; Chapter 16, Reutilization and Marketing (http://www.dla.mil/j-6/dlmso/eLibrary/Manuals/DLMS/v2.asp).


   b. DS 527D, Due-in/Advance Receipt/Due Verification (http://www.dla.mil/j-6/dlmso/eLibrary/TransFormats/x12_140_650.asp#dueInAdvaneRecptDueVerif527d).


   d. DS 856S, Ship Notice/Manifest (Shipment Status) (http://www.dla.mil/j-6/dlmso/eLibrary/TransFormats/x12_810_858.asp#shipStatus856s).


   h. DS 945A, Materiel Release Advice (http://www.dla.mil/j-6/dlmso/eLibrary/TransFormats/x12_861_997.asp#materRelAdvice945a).


   a. Chapter 4, Receipt and Due-In (http://www.dla.mil/j-6/dlmso/eLibrary/Manuals/MILSTRAP/default.asp).


g. Appendix AP3.5, Inventory Adjustment - Increase or Decrease (Logistics Transfer/ Capitalization/Decapitalization) (http://www.dla.mil/j-6/dlmso/elibrary/manuals/milstrap/word/055_ap3_05(D8E_F,D9E_F).doc).

h. Appendix AP3.6, Inventory Adjustment - Increase or Decrease (Ownership Transfer) (http://www.dla.mil/j-6/dlmso/elibrary/manuals/milstrap/word/056_ap3_06(D8S_D9S).doc).

i. Appendix AP3.8, Inventory Adjustment - Dual (Condition/Purpose Transfer) (http://www.dla.mil/j-6/dlmso/elibrary/manuals/milstrap/word/058_ap3_08(D8S_D9S).doc).


6. Individual program-specific UIT program candidate proposals.

7. Individual program-specific UIT program concept of operations.

8. Individual program-specific UIT program terms and conditions (MOA).

9. DSS interface design documents.


Responsibilities

1. HQ DLA, Materiel Policy, Process & Assessment Directorate (J-33), Asset Management Division (J-3312), must ensure UIT program implementing procedures and practices conform with requirements of DoD 4140.1-R (http://www.dtic.mil/whs/directives/corres/html/414001r.htm), by appointing a central control point (i.e., DLA UIT manager) to serve as the primary member of the DoD Unique Item Tracking Committee (UITC). The Defense Distribution Center (DDC) must provide the alternate representative to the DoD UITC. When selected, DLA PLFAs are requested to attend the DoD UITC, and they must fund their own administrative and travel costs.

2. DDC must ensure each distribution center formally appoints a UIT officer and provides the J-33 DLA UIT manager current and proposed UIT programs by distribution center on an as-required (A/R) basis.

3. Every DLA PLFA must refer UIT program sponsors (candidate [i.e., proposed] or registered) to the J-3312 DLA UIT manager before agreeing to provide UIT services.

4. All DLA sponsors of candidate UIT programs for DLA-managed items must contact the J-3312 DLA UIT manager to begin the program registration process described in this DLAI.

NOTE: Any other DoD Component UIT program sponsor must initiate their DoD UIT program registration process through their own Component UITC representative, prior to requesting DLA distribution center UIT services.

5. All candidate and registered DoD UIT programs must include provisions for introducing UII(s) using automatic identification technology (AIT) devices and equipment; therefore, the integrated materiel manager(s) (IMM) for UIT program items must ensure that procurement instruments prescribe AIT-compliant and human readable interpretation (HRI) product markings and that AIT media comprising exterior/unit pack markings include UIT data in both AIT and HRI.

6. The DLA UIT team must negotiate terms and conditions for UIT program services with the customer and document decisions in interface design documents (IDD).

8. Distribution center UIT reporting begins when the distribution center is the consignee for a UIT program item and ends when the distribution center confirms shipment of the UII. UIT reporting must be accomplished at the individual item level; therefore, it does not apply when the distribution center is the transshipper (shipment unit level).

9. DLA assumes full responsibility for the accuracy of UIT data (i.e., stock number and UII) only when its receiving personnel physically sight-verify the HRI UII on the product (i.e., bare metal) at time of receipt and compare it to the UII on the product AIT device or accompanying source documentation. Otherwise, the shipper is responsible for UII-level errors and DLA’s responsibility is limited to kind, count, and condition (i.e., the accuracy of the stock number, quantity, and reported Supply Condition Code).
Enclosure 3

Procedures

1. Submit the UIT program request with Concept of Operations (CONOPS). The DLA (or DoD Component) UIT sponsor for a program that requires UIT in the distribution process must provide the HQ DLA UIT manager three documents: a request for candidate DoD UIT program; a program-specific draft CONOPS for accomplishing the UIT program in distribution processes; and a preliminary list of National Item Identification Numbers (NIIN) that comprise the candidate UIT program.


   b. Distribution CONOPS. There is no standard format for a distribution CONOPS; however, it should augment the limited information contained in the candidate program registration. Content should include, but not be limited to the following: source of the UIT materiel (i.e., new procurement, contract repair, or organic repair), types of product and packaging AIT devices (i.e., linear bar code, 2D symbol, 2D data matrix, contact memory button, smart card, and radio frequency identification), and UIT events to be reported (i.e., receipt, shipment, sight verification, and reconciliation), and baseline methodology.

   c. The preliminary list of NIINs should be submitted in a table or spreadsheet format with separate data fields for FSC, NIIN, and nomenclature. This product will enable the DDC to begin assessing resource requirements based on stock positioning of UIT program items.

2. Validate the proposal and CONOPS. The DLA UIT manager, J-3312, will solicit preliminary comments by electronically staffing UIT program proposals (both DLA and other DoD Components) and accompanying draft CONOPS among remainder of DLA UIT team (i.e., DDC UIT focal points and DLA Information Operations [J-6] analysts). If necessary, the DLA UIT manager, J-3312, will convene face-to-face UIT team meetings to validate the proposal and CONOPS. The DLA UIT team will analyze DLA-initiated program proposals closely prior to submission to the DoD UITC to ensure DLA can support the requirement.

3. Revise/revalidate the proposal and/or the CONOPS. If either/both the proposal and/or the CONOPS provide(s) insufficient or erroneous data, the HQ DLA UIT manager must return the products to the program sponsor for additional data, which will be revalidated by the DLA UIT team upon resubmission.

4. Forward the proposal to the DoD UITC. When the UIT program is DLA-sponsored, the HQ DLA UIT manager forwards both the proposal and CONOPS to the DoD UITC.
When the UIT program is sponsored by another DoD Component, the HQ DLA J-3312 UIT manager endorses the proposal to the appropriate DoD Component UITC representative for subsequent submission to the DoD UITC.

5. Register the UIT program. The DoD UITC registers the DoD UIT program, assigns a program-specific three-position UITDC, and notifies the DoD UITC representatives. The DoD UITC chair, DLMSO, may elect to conduct virtual meetings (i.e., electronic staffing) or telephone conferences to expedite the registration process and enable UIT trading partners to begin negotiations earlier. Complex issues may require face-to-face meetings.

6. Identify the UIT program items. The DoD Component UITC representative provides the UIT program sponsor the program-specific UITDC assigned by the DoD UITC. The UIT program sponsor designates items comprising the UIT program and notifies the IMM(s) to develop input for catalog action.

7. Components must establish the necessary interface between acquisition and supply to ensure that the IMM assigns UITDC ‘UID’ to NIINs which fall under IUID policy/criteria, but which are not part of a UIT program, and are therefore not subject to these procedures.

8. Apply the UIT designator code. The IMM provides DLIS an electronic file containing FSC, NIIN, and UITDC for all program items, and provides an information copy to the DLMSO DoD UITC chair, the UIT program sponsor, and the DLA UIT manager. The DLA UIT manager disseminates an information copy to other members of the DLA UIT team for planning purposes.

9. Distribute UIT program data. DLIS distributes UIT program information to all AIS (e.g., DSS, Business Systems Modernization (BSM), Commercial Asset Visibility (CAV) Electronic Data Interchange (EDI), etc.). For the near term, DLIS will disseminate a table of UIT-reportable NIINs and the UIT designator associated with each via prototype Compact Disk-Read Only Memory (CD ROM) subscription with periodic updates.

10. Negotiate terms and conditions of UIT MOA. The DLA UIT team negotiates terms of the UIT MOA with the prospective UIT program’s customer team. The DLA UIT team will schedule one or more meetings among the DLA UIT team and appropriate personnel from the sponsoring DoD Component. Using the UIT Memorandum of Agreement (MOA) template as a model, the group will determine key attributes of the candidate program which will be loaded to the DSS UIT Program Profile Table (UPPT) to support programmatic decisions. Each UIT IDD also supports agreements regarding transactional interface formats, services to be provided, organizational responsibilities, procedures, resource requirements, etc.

11. Develop requirements and assess DSS. The requesting UIT program sponsor provides the DLA UIT team program-specific information, to include a draft Requirements Statement (RS) for DSS functionality, the UITDC, and organizational
entity identifier (i.e., routing identifier code (RIC), DoD Activity Address Code (DoDAAC), or Universal Resource Locator (URL)) for the DoD Component AIS, to which transactional interface will be sent. The DLA UIT team assists the UIT program sponsor in developing detailed functional RS to execute the UIT program in distribution processes and compares candidate UIT program requirements to current/projected DSS UIT capabilities. This assessment will determine what, if any, additional functionality is required in DSS. Although certain minor changes might be accommodated near term, DDC needs to assess detailed functional requirements to determine resource requirements and whether customer funding is required.

12. Program AIS changes. The DDC will manage all UIT-related DSS change proposals, in accordance with precedence established by the configuration management process, to ensure changes are resourced and prioritized. Changes may also be necessary in the UIT customer’s AIS.

13. Load UIT program data. The DDC will load the UIT designator code in DSS global item data to identify UIT-reportable items during key distribution processes. In addition, information gathered during interface meetings with the customer will be loaded to the DSS UPPT to support programmatic decisions. The DSS UPPT will include, for each UIT program, the UITDC, each DoD Component’s destination for transactional interface (e.g., RIC, DoDAAC, or URL), the program effective date, type of AIT media used on the product, type of AIT media used on the packaging, and sight verification indicator.

14. Begin UIT reporting. The DSS will begin UIT reporting (i.e., receive and initiate transactional logistics interface that include UIIs and maintain UII history) on the negotiated UIT start date. Depending on the program-specific method the customer selects for establishing the UIT item baseline, DSS may begin UIT reporting with the full complement of UIIs in storage, or accumulate UIIs as UIT program items are received and shipped. The DSS will exchange UIT data for all programs (except small arms) using EDI (i.e., American National Standards Institute (ANSI) Accredited Standards Committee (ASC) X12 transaction sets formatted in accordance with DLMS Supplements to Federal Implementation Conventions (IC) or another emerging Electronic Business (EB)/Electronic Commerce (EC) capability).
Definitions

1. Consignee. The recipient (unit, depot, or person) to whom cargo is addressed or consigned for final delivery. Activity that is receiving the product.

2. Defense Logistics Management Systems. A broad base of business rules to include uniform policies, procedures, time standards, transactions, and data management designed to meet the DoD’s requirements for total logistics support. The DLMS is founded upon ANSI ASC X12 EDI and will be expanded to support emerging EB/EC capabilities such as: data sharing, AIT, object-oriented user interfaces, electronic malls, Web-based technology, and electronic funds transfer, as appropriate.

3. DoD Unique Item Tracking Committee. The joint committee chartered by DoD 4140.1-R to approve component programs for tracking individual assets for selected items used within the department, maintain a central repository of all component programs, identify programs for inter-component adoption, and recommend improvements in UIT program concepts and technology. For additional information about the DoD UITC, please see DoD 4140.1-R (http://www.dtic.mil/whs/directives/corres/html/414001r.htm), UITC Charter, Appendix 11. The DLMSO Home Page includes meeting schedule, committee members, and minutes of past meetings (http://www.dla.mil/j-6/dlmso/Programs/Committees/UITC/UITC.asp).

4. Integrated Materiel Manager (IMM). Any DoD activity or agency that has been assigned wholesale integrated materiel management responsibility for the DoD and participating Federal Agencies. IMMs’ responsibilities include cataloging, requirements determination, procurement, distribution, overhaul, repair, and disposal of materiel.

5. National Item Identification Number. The last nine digits of the National Stock Number that differentiates each individual supply item from all other supply items.

6. Receipt without Sight Verification. Upload of UIT data from an AIT device on the exterior/unit pack markings, or in the absence of AIT devices on the exterior/unit pack markings, from accompanying source documentation. The UIT transaction code used to report the receipt must identify that UIT data was introduced from information provided by the shipper (i.e., AIT devices and/or HRI on exterior/unit pack markings and/or accompanying source documentation).

7. Shipment Unit. One or more items of compatible commodities or items assembled into one unit which becomes the basic entity for control throughout the transportation cycle.

8. Sight Verification. Sight verification occurs when a person (or persons) examines HRI product markings affixed to the UIT program item to validate the UII (i.e., bare
metal examination). Two-person integrity is recommended. Upload of UIT data from an AIT device on the product will constitute sight verification only when the HRI UII on the product is also validated.

9. Transshipper. Any transportation activity, other than the shipper or receiver that handles or documents the transfer of a shipment between conveyances. A transshipper is usually a consolidation and containerization point, air or water port of embarkation, air or water port of debarkation, or break-bulk point. A transshipper may perform more than one type transshipment.

10. Unique Identification of Items. The application of a set of data elements that is globally unique and unambiguous, ensures data integrity and data quality throughout life, and supports multifaceted business applications and users. Over time, this has come to be known as item unique identification.

11. Unique Item Identifier. An identifier used in unique item tracking programs to uniquely identify an individual asset used within DoD. The UII may be derived from a DoD-recognized IUID equivalent [e.g., VIN] or a composite structure defined by the DoD [refer to UII construct 1 and UII construct 2]. DoD 4000.25-M, Terms and Definitions (http://www.dla.mil/j-6/dlmso/elibrary/manuals/dlms/msw/front/Terms_ch4.doc). Formation of the UII relies upon two primary methods of serialization: (1) Serialization within the Enterprise and (2) Serialization within the original part number of the Enterprise. Refer to OSD policy and supporting documentation for specific guidance at http://www.acq.osd.mil/dpap/UID/. Refer to MIL-STD-130M (or most current version) for specific guidance on marking of U.S. Military property.

12. UIT Program. A UIT program may be based on statutory or regulatory requirements, or may be driven by operational considerations. A grouping of items approved for UIT through the supply chain. A UIT program may be comprised of a weapon system(s), a category of materiel or selected items in a category of materiel (i.e., NDLR), a group of commodity-related items (e.g., controlled cryptographic items, radioactive source materiel, small arms, etc.).

13. Unique Item Tracking Automated Information System. All systems relevant to the unique identification and tracking of items of supply throughout the supply chain. These systems include, but are not limited to, the supply system, financial system, maintenance system, procurement system, DoD UII Visibility Center, DoD Component Repositories, and DoD Component UIT Management.

14. The UIT IDD template (TBD).

15. Individual program-specific UIT IDD (TBD).
Additional Information

1. Process Inputs for a DLA-sponsored UIT program.
   a. Request for assistance in developing a DLA-sponsored UIT program.
   b. CONOPS for the UIT program.
   c. List of DLA-managed items that comprise the UIT program (i.e., UIT program items).
   d. Request to register the UIT program and obtain a UITDC.
   e. Feedback from DoD UITC (i.e., UITDC assigned to the program).
   f. Catalog input for UIT program items.
   g. Detailed RS for DSS.
   h. Intra-Component IDD.
   i. Systems changes to support new DLA-sponsored DoD UIT program (optional).
   j. Program-specific FLIS data (in prototype).
   k. DLA receipt transactions for UIT program items.

2. Process inputs for a candidate DoD UIT program sponsored by another DoD Component.
   a. Request for assistance in developing DLA interfaces with candidate DoD UIT program.
   b. CONOPS for the UIT program.
   c. List of DoD Component-managed items that comprise the UIT program.

NOTE: If DLA-managed NIINs are included in the UIT program, the UIT program sponsor must coordinate with the DLA IMM(s) for catalog input to DLIS.

   d. Coordination among DoD Component representatives to UITC on request to register UIT program and obtain UITDC.
e. Feedback from review of CONOPS and request to register UIT program (optional).

f. Feedback from DoD UITC.

g. Catalog input for UIT program items.

h. Detailed RS for DSS.

i. UIT MOA between DLA and sponsoring DoD Component.

j. Systems changes to support new DoD UIT program (optional).

k. Program-specific FLIS data.

l. Receipt of UIT program items.

3. Outputs. The following are distribution center UIT transaction outputs (to internal databases and materiel owners’ asset management AIS and/or Component-designated UIT AIS): receipts, confirmation of materiel/disposal release, supply status, shipment status, disposal shipment status, UIT reporting, and UIT data correction.

4. UIT Sub-Processes.

   a. Submit the UIT program request with CONOPS.

   b. Validate the proposal and CONOPS.

   c. Revise/revalidate the proposal and/or the CONOPS.

   d. Forward the proposal to the DoD UITC.

   e. Register the UIT program.

   f. Identify the UIT program items.

   g. Apply the UITDC.

   h. Distribute UIT program data.

   i. Negotiate terms and conditions of UIT MOA.

   j. Develop requirements and assess DSS.

   k. Program AIS changes (optional).
1. Load UIT program data.

m. Begin UIT reporting.

5. UIT Process Mechanisms.

   a. The DSS (i.e., subsystems for technical/electronic data interchange (EDI), item data, receiving, workload planning, pick, pack, and inventory).

   b. Each program-specific candidate program proposal (i.e., registration application) and CONOPS.

   c. DLA UIT team and/or customer UIT team telephone conferences, video teleconferences, and meetings, as required, to ensure the program proposal and CONOPS (or revised proposal and CONOPS) are valid (i.e., articulate the customer’s requirements sufficiently to enable further analysis).

   d. Virtual and/or face-to-face DoD UITC meetings.

   e. Program sponsor’s official notification to the IMM to prepare the UIT program input to DLIS.

   f. IMM electronic spreadsheet (i.e., NIIN, FSC, and UITDC) input to DLIS (and DoD UITC).

   g. DLA UIT team face-to-face meeting(s) with UIT customer team to assist in developing detailed RS and provide information about current and planned DSS UIT functionality.

   h. Intra-DLA meetings, as required, to assess detailed RS for registered programs.

   i. DDC-sponsored meetings, as required, to assess resources associated with UIT program implementation (i.e., operational considerations, stock positioning, equipment requirements, personnel impacts, and data collection).

   j. DLA UIT team face-to-face meetings with customer team to finalize the UIT MOA, if not concluded during preliminary meetings.

   k. DLIS periodic broadcast via prototype CD ROM product (with initial and updated UIT information) to DoD UITC. Due to prototype status, update frequency is to be determined.

   l. DSS upload of DLIS CD ROM UIT data to NIIN global item data records.

   m. DSS load of pertinent UIT program parameters from the MOA to the UIT UPPT.
n. DSS-initiated UIT reporting transactions (i.e., DLMS Supplements to Federal implementation conventions (IC) (e.g., 140B (UIT Reports), 527R (Receipt), 856S (Shipment Status), 867I (Issue), 888B (UIT Data Changes), 940R (Materiel/Disposal Release Order), 945A (Materiel/Disposal Release Confirmation/Shipping Advice), and 947I (Inventory Adjustment)).

6. This process will help achieve one of the Agency’s goals and Strategy IP3f which is, “Fuse DLA information systems with logistics and operational systems belonging to the Services, combatant commanders, customers, partners, and the industrial base to provide data in standard formats from shared authoritative sources to achieve a Common Operating Picture (COP) by FY 10.”
Competencies /Certifications

1. The HQ DLA UIT program manager needs:
   a. The leadership skills to develop and sustain a geographically dispersed multifunctional DLA UIT team.
   b. The working knowledge of DoD and DoD Component UIT policies, procedures, and transactional interfaces (i.e., DoD 4140.1-R, DLMS Manual, DLMS Supplements, and Defense Automatic Addressing System Center (DAASC) conversion maps).
   c. The ability to develop and explain a DLA Component position for UIT-related issues before DoD groups (i.e., Supply Process Review Committee (MILSTRIP, MILSTRAP, and Supply Discrepancy Report (SDR) Integrated Product Team (IPT), UITC, and Joint Small Arms Coordinating Group).
   d. The experience in interpreting and revising DLMS Supplements to the Federal ICs, IDD, and DAASC conversion maps.
   e. The administrative skills to facilitate meetings with registered DoD UIT program sponsors to develop IDD and RS for DSS.

2. The DDC members of an UIT team need (collectively):
   a. Knowledge of DoD UIT policy, procedures, and transactional interfaces.
   b. Familiarity with current and planned DSS UIT capabilities.
   c. Ability to disseminate and gather UIT information (within the DDC and distribution centers).
   d. Knowledge of inter-Component interface requirements.
   e. Capability to identify and obtain the right functional experts (both DDC and distribution center) to serve as UIT team members on an as-required basis.
   f. Ability to analyze customer CONOPS to forecast operational impacts and resource requirements (i.e., personnel, equipment, and information).

3. The J-6 members of the UIT Team need (collectively):
   a. Knowledge of DSS functional and technical applications (regarding UIT).
b. Knowledge of EDI (regarding UIT transactional interfaces and data requirements).

c. Capability to identify the appropriate J-6 as-required UIT team members.

d. Ability to identify DSS UIT voids regarding registered UIT programs.

4. Distribution employees responsible for UIT data collection and reporting must be trained to use DSS UIT functionality.

5. Certifications required: None.