IN REPLY
REFER TO   DLMSO

April 10, 2006

MEMORANDUM FOR SUPPLY PROCESS REVIEW COMMITTEE

SUBJECT: Approved Defense Logistics Management System (DLMS) Change (ADC) 195, DLMS Unique Item Tracking (UIT) Procedures (Staffed by PDC 147A) (Supply/UIT)

The attached change to DOD 4000.25-M, DLMS, is approved for implementation. This change supports compliance with DOD 4140.1-R, DOD Supply Chain Materiel Management Regulation. The enclosed procedures will be published in DLMS Change Number 3.

Addressees may direct questions to the DLMSO point of contact, Ms. Mary Jane Johnson, Chair, Unique Item Tracking Committee (UITC), 703-767-0677, DSN 427-0677, email: Mary.Jane.Johnson@dla.mil. Others must contact their DOD Component designated Supply Process Review Committee or UITC representative.

DONALD C. PIPP
Director
Defense Logistics Management
Standards Office

Attachment

cc:
ADUSD (L) SCI
UID Program Office
Unique Item Tracking Committee
Joint Small Arms Coordinating Group
Joint Physical Inventory Working Group
Supply Discrepancy Report Subcommittee

ATTACHMENT TO ADC 195
DLMS UNIQUE ITEM TRACKING (UIT) PROCEDURES

1. ORIGINATOR:

a. Service/Agency: Defense Logistics Management Standards Office (DLMSO) in conjunction with the Unique Item Tracking Committee (UITC)

b. Originator: Ms. Mary Jane Johnson, DLMSO, UITC Chair, 703-767-0677, DSN 427-0677, email: Mary.Jane.Johnson@dla.mil

2. FUNCTIONAL AREA: Supply, Unique Item Tracking (UIT); all systems relevant to the UIT of items of supply throughout the DOD supply chain. The existing DLMS DOD Small Arms Serialization program (DODSASP) procedures are addressed by DLMS, Volume 2, Chapter 18.

3. REFERENCES:

a. DLMS Supplements listed in ADC 195 are posted to the DLMSO Web site at http://www.dla.mil/j-6/dlmso/elibrary/TransFormats/x12.asp. Federal Implementation Conventions are available at http://fedebiz.disa.mil/cgi/advsearch.cgi.

b. Unique Item Tracking (UIT) policy is published by DOD 4140.1-R, DOD Supply Chain Materiel Management Regulation, which is available at: http://www.dtic.mil/whs/directives/corres/html/41401r.htm.

c. Unique Identification (UID) policy and associated documentation are available at: http://www.acq.osd.mil/dpap/UID.

d. DLMSO memorandum, February 6, 2006, subject: Proposed DLMS Change (PDC) 147A DLMS Unique Item Tracking (UIT) Procedures (Supply/UIT)

e. Approved DLMS Change (ADC) 129, New DLMS Supplement for DLMS Advance Shipment Notice (ASN) Following Federal Implementation Convention (IC) 856, Shipment Notice/Manifest (DLMS/MILSCAP), October 1, 2004, updated the 4010 Federal IC 856 to provide additional functionality to include the ability to capture UID information consistent with UID policy and Wide Area Workflow – Receipt and Acceptance (WAWF-RA), Radio Frequency Identification (RFID) information consistent with RFID policy, and for clarification of specific data fields.

f. ADC 128, Revised SDR Transaction Exchange [Formats, Codes, & Unique Identification (UID)] (DLMS Supply/SDR), August 16, 2004, updated the SDR to support transactional exchange of UII and related data and provided specific discrepancy codes to report UII-related discrepancies.

4. REQUESTED CHANGE:

a. **Title:** DLMS Unique Item Tracking (UIT) Procedures

b. **Description of Change:**

(1)   This change provides for DOD 4000.25-M, DLMS, Volume 2, UIT (formerly called serial number tracking) procedures. The purpose is to support the changing environment for maintaining visibility of uniquely identified assets for the primary purpose of inventory control and/or engineering analysis and to develop procedures to support evolving UIT systems. The change recognizes the requirement to include provisions for data introduction and tracking using automated information technology and transactional exchange of information. During initial staffing of the UIT procedures by PDC 147, discussion at the December 2004 UITC meeting determined that the PDC 147 UIT procedures were unduly influenced by MILSTRAP Chapter 12 DOD Small Arms Serialization Program (DODSASP) procedures, and a fresh approach should be taken as much of the small arms information would not apply to other UIT programs. Hence the specific DOD Small Arms Serialization Program (DODSASP) procedures will remain in DLMS, Volume 2, Chapter 18. The UIT procedures were revised accordingly and restaffed by PDC 147A (reference 3.d.) to provide high level DLMS business rules and transactions for all other UIT. The DLMS Chapter 19 procedures approved by this change support:

(a) DOD 4140.1-R, DOD Supply Chain Materiel Management Regulation, May 2003, Chapter 5, section C5.7.3, Unique Item Tracking (UIT): (http://www.dtic.mil/whs/directives/corres/html/41401r.htm)

(b) DOD Directive 8190.1, DOD Use of Electronic Data Interchange (EDI) Standards, which requires that the DOD Components "Use only FIPS 161-2 EDI standards (and Federal EDI Standards Management Coordination Committee (FESMCC)/DOD EDI Standards Management Committee (EDISMC)-approved ICs for electronic business transaction exchanges in new and planned logistics business processes to include major modifications to existing legacy systems. DLMS is the basis for new, replacement, and major modifications to logistics business processes.": (http://www.dtic.mil/whs/directives/corres/html/81901.htm).

(2) Comments received to PDC 147A, and the comment disposition:

ALL COMMENTS TO PDC 147A WERE SUBMITTED BY USAF THROUGH MS. BOBBIE ZIOLEK/ AFMC/LGIA, USAF SUPPLY PRC REPRESENTATIVE:				
ORGANIZATION	**#**	**PDC 147A LOCATION**	**COMMENT**	**DISPOSITION**
USAF Mr. Eddie Chase AFMC LSO/LOA AF SNT/UID	1	Throughout PDC 147A	Instead of saying MIL STD 130M say MIL STD 130M or most current version.	Concur. DLMSO revised throughout to read: "MIL STD 130M or most current version."

ORGANIZATION	#	PDC 147A LOCATION	COMMENT	DISPOSITION
Program Manager				
USAF Mr. Paul Hickey Contractor support to HQ AFMC	2	PDC 147A Attachment Page 7	The discussion of the UII construct creates the impression that the Issuing Agency Code and Enterprise Identifier are two separate data elements within the UII. This is not true. There is only one data element that identifies the organization that creates the UII and it is represented by the Enterprise Identifier. An issuing agency code within the UII should be synonymous with the term Enterprise Identifier (EID).	Nonconcur. Issuing Agency Code (IAC) and Enterprise Identifier (EID) are two distinct data elements. IAW the UID Guide, Ver 1.5, 6/5/05 (http://www.acq.osd.mil/dpap/UID/), the IAC represents the agency that issued the EID. The IAC does not need to be marked on the item, however it is part of the concatenated UII data. The IAC can be derived from the EID mark by the AIT software. DLMSO has clarified the term defined in DOD 4000.25-M, DLMS, to clearly indicate that the definition addresses the <u>concatenated</u> UII.
	3	PDC 147A Enclosure 1 C19.7.3.2	manager in "integrated material manager" is misspelled as manger	Noted and corrected.
	4	PDC 147A Enclosure 1 Footnote 2	Footnote improperly references MIL-STD 130L, which has been superseded by MIL-STD 130M	Concur. See disposition to comment 1.
	5	PDC 147A Enclosure 1 C19.15	UII Receipt Discrepancies appear to lack the focus of how severe it is for an item to have an incorrect UII. When the organization that created the UII applied it to an item, it was uniquely identifying a specific instance of an item. If that identification is incorrect, all data related to that UII will be questionable.	Noted, however the OSD UID policy for UII discrepancies is not clearly defined at this time. As more definitive OSD guidance evolves for handling UII discrepancies, the discrepancy procedures will also evolve.
	6	PDC 147A Enclosure 2 AP5.2.3.10	This paragraph improperly references MIL-STD 130L, which has been superseded by MIL-STD 130M.	Concur. See disposition to comment 1.

 (**3**) In addition to the Approved DLMS Changes (ADCs) identified in the paragraph 3 references, other ADCs or PDCs which complement ADC 195 and support DLMS UIT procedures, include:[1]

 (**a**) ADCs for modification of select DS with UIT capability to provide capability to send an information copy of the transaction to a stand-alone UIT registry when required by a Component (such as when/if an integrated AIS approach is not used for UIT).

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[1] ADCs/PDCs are available at: http://www.dla.mil/j-6/dlmso/eLibrary/changes/processchanges.asp.

ADC 157 (for DS 527D and 527R) and ADC 165 (for DS 856, 856S, 861, 867I, 870M, 945A, and 947I) apply.

(b) ADC 172 to provide a UID indicator in the 527D Advance Receipt Information (ARI) transaction for dues-in from procurement instrument sources. The 527D ARI transaction allows the integrated materiel manager (IMM) to include contract information in the ARI transaction sent to the distribution depot, to facilitate the receiving process. Under DLMS, as part of the contract information, the IMM shall include indicators identifying whether the contract required use of UID and/or passive radio frequency identification (RFID).

(c) Various ADCs for modification of DLMS Supplements (DS) with UIT capability to provide a specific qualifiers/data necessary to support tracking by either a serial number as required by some legacy systems, or by a Unique Item Identifier (UII) as defined under DOD UID policy as follows:

DS #	DS Name	ANSI Version	ADC #
140A	Small Arms Reporting	4010	171
180M	Material Returns Reporting	4010	170
511M 511R	Requisition (Modification) Requisition	4010 4010	169
527D 527R	Due-in, Advance Receipt, Due Verification Receipt, Inquiry, Response and MRA	4010 4010	148
810L	Logistics Bill	4010	154
842A/W	SDR submission	4030	128
842S/Q 842S/R	Storage Quality Control Report Storage Quality Control Report Reply	4030 4030	131
846A 846F 846I	Asset Reclassification Ammunition Freeze/Unfreeze Asset Status Inquiry/ Report	4010 4010 4010	155
856	Advance Ship Notice	4010	129
856S	Shipment Status	4030	127
861	Acceptance Report	4010	132
867I	Issue	4010	153
870M	Materiel Returns Supply Status	4010	170
940R 945A	Material Release Material Release Advice	4030 4010	169
947I	Inventory Adjustment	4030	156

(**d**) DLMSO will staff additional PDCs to incorporate UID data in the following DS:

DS #	DS Name	ANSI Version
140B*	Unique Item Tracking Reporting	4030
856R	Shipment Status Material Returns	TBD
888A	Small Arms Data Change	Will migrate to 4030 to pick up IUID data
888B	Unique Item Data Change	4030
*DS 140B PDC will also address capability to request sight verification of a UII.		

(**e**) DLMSO will staff a separate proposal to incorporate **Unique Item Tracking Transaction Codes (UITTC).** The following UITTCs had been included in PDC 147A, but after further evaluation, the UIT Committee Chair will staff as part of a separate PDC under development to revise DS 140B.

PROPOSED UITTC	Explanation
SV	Sight verification successful. Use with DS 140B sight verification response.
SU	Sight verification unsuccessful. Use with DS 140B sight verification response.

5. REASON FOR CHANGE:

a. ADC 195 will enable the DOD Components to comply with DOD 4140.1-R for establishing standard UIT programs within the Department of Defense, and for transactional exchange of UIT information using DLMS. DLMS provides for UIT by serial number or UII. This is necessary to accommodate the requirements of Component legacy tracking systems which used serial numbers, as well as look to the future as UIIs become more widespread as a result of Component implementation of DOD IUID policy.

b. The primary purpose for maintaining visibility of selected uniquely identified asset item under UIT is for inventory control and/or engineering analysis. However, other areas such as security, accountability, safety, maintenance, operational readiness, and warranty applicability may benefit from a standard UIT program. The procedures will support evolving systems by providing for inclusion of serial number and UII in basic stock movement such as receipts, issues, transfers, adjustment, and returns. Inclusion of the UIT data in the standard DLMS logistics transactions provides the Components a tool which can be used for transaction exchange of information in their AIS to track an individual unique item from cradle-to-grave.

c. The objective of this change is to encourage the use of DS to populate accountability and, if required, visibility records. These procedures do not dictate how the DOD Component systems accomplish UIT. While integrated AIS accommodating

UIT data may be preferred in modernized systems, the procedures also accommodate use with stand-alone UIT data registries when required. DLMSO does not have visibility of how Component ERPs and other modernization initiatives will conduct UIT. **It is critical that the SPRC representatives, in conjunction with the DOD UITC representatives, address this approved change and the intended method of UIT with your system modernization offices responsible for your ERPs and other modernization efforts.**

6. ADVANTAGES AND DISADVANTAGES:

a. Advantages: This change supports the Department's policy to establish standard UIT programs for selected items, and to exchange data for those programs using DLMS. Further, the change emphasizes that a viable UIT program is of little value unless the Components systematically develop and maintain comprehensive and accurate records for each uniquely identified asset. The records should be organized and maintained in such a way as to ensure that visibility and accurate information can be retrieved and collated in a timely and reliable manner.

Based on the above, the ideal AIS will provide a method of tracking a DOD UIT program asset, from cradle-to-grave. The benefits derived from UIT, in flexible AIS, will improve overall product performance in the field, thus lowering support costs and improving service levels.

b. Disadvantages: None identified.

7. INTERFACE/IMPACT:

a. Data Content/Procedures: The DOD Components may need to revise DOD Component regulations and automated information systems.

b. Coordination/Staffing: The DOD Component SPRC representatives' coordination for this approved change should include, but not be limited to, their wholesale and retail logistics system modernization offices; and their UITC and JSACG representatives.

c. Publications: DOD 4000.25-M, Defense Logistics Management System (DLMS) and as noted in paragraphs 6 and 7.a. above.

d. Procedures: **Revise DOD 4000.25-M, DLMS, as follows:**

(1) TABLE OF CONTENTS. Revise to accommodate new Chapter 19, Unique Item Tracking; and new Appendix 5, Instructions for Submission of DOD UIT Program Candidates.

(2) REFERENCES. Add the following references:

DoD Unique Identification (UID), http://www.acq.osd.mil/dpap/UID

MIL-STD-130M (or most current version), "DoD Standard Practice Identification Marking of U.S. Military Property," http://www.acq.osd.mil/dpap/UID/standards.htm.

National Archives Records Administration (NARA) General Records Schedule (GRS), http://archives.gov/records_management/records_schedules.html.

National Telecommunications and Information Systems Security Instruction (NTISSI) No. 4001, Controlled Cryptographic Items

(3) ACRONYMS AND ABBREVIATIONS. Add the following new acronyms:

ACRONYM	DEFINITION
CAM	*Chemical Agent Monitor*
CCI	*Controlled Cryptographic Items*
DODSASP	*DoD Small Arms Serialization Program*
IUID	*Item Unique Identification*
NDLR	*Navy Depot Level Reparable*
NRC	*Nuclear Regulatory Commission*
RATTS	*Radiation Testing and Tracking System*
TAMMS	*The Army Maintenance Management System*
TEDB	*The Army Maintenance Management System (TAMMS) Equipment Data Base*
UITDC	*Unique Item Tracking Designator Code*
UITTC	*Unique Item Tracking Transaction Code*

(4) TERMS AND DEFINITIONS.

(a) Add a new definition for Unique Item Tracking as follows:

UNIQUE ITEM TRACKING (UIT). A program within DoD for tracking selected items to maintain visibility of each uniquely identified asset for the primary purpose of inventory control and/or engineering analysis.

(b) Revise the following DLMS Definitions for consistency with revised UID Program Manager Office terminology whereby former UID constructs 1 and 2 are now referred to UII constructs 1 and 2, and to accommodate new terminology such as Item Unique Identification (IUID) (see the UID Web site for the most recent guidance and information: http://www.acq.osd.mil/dpap/UID)**:**

UNIQUE ITEM IDENTIFIER (UII). 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., Vehicle Identification Number (VIN)] or a composite structure defined by the DoD [refer to *UII* Construct 1 and *UII* Construct 2]. 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. Regardless of which numbering system is used, the UII must include the Enterprise Identifier. 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 marking of U.S. Military property.

UNIQUE ITEM IDENTIFIER (UII) TYPE. A designator that identifies the specific structure and syntax of a type of UII. Specific examples of the UII Type are: Vehicle Identification Number (VIN), *UII* Construct 1 (*UII* 1), *UII* Construct 2 (*UII* 2).

~~*Unique Identification (UID) Construct I*~~ *UNIQUE ITEM IDENTIFIER (UII) CONSTRUCT 1*. This is a concatenated UII based upon serialization within the enterprise. The *concatenated* UII *Construct 1* contains the IAC, EID, and serial number.[2]

~~*Unique Identification (UID) Construct II*~~ *UNIQUE ITEM IDENTIFIER (UII) CONSTRUCT 2*. This is a concatenated UII based upon serialization within the part*, lot or batch number within the enterprise*. The *concatenated* UII *Construct 2* contains the IAC, EID, original part number*, lot or batch number*, and the serial number. ~~*For legacy material, a subset of UID Construct II (referred to as Construct IIA) contains a batch, lot number, or other production run number required for uniqueness of the serial number within the part*~~.

      (5) VOLUME 2, SUPPLY STANDARDS AND PROCEDURES, CHAPTER 19. Add new chapter 19, Unique Item Tracking, as shown at Enclosure 1.

      (6) VOLUME 2, SUPPLY STANDARDS AND PROCEDURES, APPENDIX 5. Add new appendix 5, Instructions for Submission of DoD UIT Program Candidates**,** as shown at Enclosure 2.

Enclosures

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[2] For ADC 195 information purposes, the following information, which is currently published in DOD 4000.25-M, is provided: IAC = Issuing Agency Code; EID = Enterprise Identifier.
Additionally, the following information from the DoD Guide to Uniquely Identifying Items, Version 1.5, June 7, 2005 is provided: "At the current time, IACs exist for six most commonly used enterprise identifiers. These IACs are "0 through 9" for the EAN.UCC Company Prefixes assigned by EAN.UCC, "LB" for ANSI T1.220 numbers, "UN" for the DUNS assigned by Dun & Bradstreet, "D" for the CAGE assigned by Allied Committee 135, "LH" for the EHIBCC assigned by the European Health Industry Business Communications Council, and "LD" for the Department of Defense Activity Address Code (DODAAC)."

C19. CHAPTER 19

UNIQUE ITEM TRACKING

C19.1. SCOPE. The provisions of this chapter apply to the Military Departments including Coast Guard, and Defense Agencies (hereafter referred to as the DoD Components) responsible for Unique Item Tracking (UIT).

C19.2. EXCLUSIONS

19.2.1. Classified activities that determine visibility of specific UIT assets may compromise operational security shall request guidance from their DoD Component. No DoD Component activity shall deviate from these requirements without the concurrence of their DoD Component and the Unique Item Tracking Committee (UITC). Submit requests for deviation, to include appropriate justification, to the Defense Logistics Management Standards Office (DLMSO), ATTN: Chairperson, Unique Item Tracking Committee, Suite 1834, 8725 John J. Kingman Road, Fort Belvoir, VA 22060-6217 by traditional mail, or via electronic mail to: DLMSO@dla.mil (when using electronic mail, include "ATTN: UITC Chair" in the subject line).

19.2.2. Small arms and light weapons program reporting requirements are outlined Chapter 18.

C19.3. GENERAL. This chapter covers procedures for obtaining a UIT Designator Code (UITDC) (see section C19.8), reporting, populating, updating, and reconciling UIT assets in the DoD Component systems related to/impacted by UIT.[3]

C19.4. OBJECTIVES

19.4.1. Establish continuous visibility over all UIT assets from their point of entry into the DoD logistics systems through disposal, demilitarization or shipment outside the control of the Department of Defense.

19.4.2. Reestablish visibility over a UIT item previously shipped outside the control of the Department of Defense when it is reintroduced to DoD control.

9.4.3. Requires use of standard logistics transactions to interface UIT reporting between/among owners/the DoD Components and suppliers. The objective is to

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[3] All AIS relevant to the unique identification and tracking of item of supply throughout the DoD supply chain. These systems include, but are not limited to, the supply system, financial system, maintenance system, procurement system, the DoD Component repositories.

populate accountability and, if required, visibility records using standard DLMS logistics transactions. These procedures do not dictate whether DoD Component systems accomplish UIT through an integrated AIS accommodating UIT data or through use of stand-alone UIT data registries.

19.4.4. To provide coverage for all UITC DoD level (inter-DoD Component) UIT programs registered through the DoD UITC in accordance with DoD 4140.1-R.

C19.5. SAFEGUARDING AND PHYSICAL SECURITY OF UIT DATA RECORDS

19.5.1. Secure AIS records as required by DoD 5200.1-R.

19.5.2. Safeguarding AIS UIT recorded data doesn't relieve units/activities from the DoD Component requirements for physical, electronic, and procedural security of UII items.

C19.6. VISIBILITY OF UIT ITEMS. Establishing visibility of items comprising a UIT program (hereafter referred to as UIT items or UIT assets) may begin at any point in the supply chain. Customarily, for 'cradle to grave' UIT programs, initial tracking begins at time of shipment from the manufacturer. Alternatively, a UIT program may begin after UIT items are already in the DoD logistics system.

C19.7. RESPONSIBILITIES FOR UIT. The DoD Components shall:

C19.7.1. Maintain AIS necessary to track UIT items for which the owner has or had accountability/visibility.

C19.7.2. Submit existing and proposed DoD-level (inter-DoD Component) UIT programs to the DoD UITC for registration and assignment of a Federal Logistics Information System UITDC. Coordinate candidate UIT programs with the other DoD Components during the nomination process. Appendix 5 provides procedures for nominating and coordinating a UIT program candidate.

C19.7.2.1. Provide the nominating DoD Component the reason(s) when disapproving a UIT candidate for registration.

C19.7.2.2. Request mediation by the UITC when another DoD Component disapproves a UIT candidate program.

C19.7.3. Apply UITDC to National Item Identification Numbers (NIINs). (See section C19.27 for assigned UITDCs.)

C19.7.3.1. UITDCs other than code 'UID'. Ensure the integrated material manager (IMM) applies the UITDC to every NIIN comprising the DoD-level program, for which a UITDC isn't already assigned. The IMM assigns UITDCs to an NIIN based on direction by the DoD Component UIT central control point. The UITDC provides the DoD Components a systematic means to identify that a NIIN is subject to UIT and subject to these procedures.

C19.7.3.2. UITDC 'UID'. UITDC 'UID' was approved for use to identify items which fall under OSD Item Unique Identification (IUID) policy criteria, but which are not part of a DoD UIT program. Assets which have UITDC 'UID' are not required to be tracked in accordance with UIT procedures/requirements. Components must establish the necessary interface between acquisition and supply to assure 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.

C19.8. NATIONAL STOCK NUMBERS (NSNs). If known, an item's NSN, in conjunction with the UII[4], shall be the preferred means for tracking an item in logistics AIS. If there is no NSN, the owner(s) or an accountable officer shall assign a local control number (LCN) until a valid management control number (MCN) or NSN can be obtained. The DLMS 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. UIT by NSN and serial number is a transitional requirement until the Components fully implement the IUID concept for serially managed assets, and tracking by UII, across the Department of Defense

C19.9 VISIBILITY OF ITEMS. Visibility tracking shall cease when UIT items are shipped outside the control of the Department of Defense, or when demilitarization and/or disposal are confirmed. Historical UIT transactions shall be retained in an inactive file accessible through an automated means.

C19.10 RETENTION OF UIT DOCUMENTATION. Audit capability is required following UIT document processing. Audit capabilities include the establishment and maintenance of transaction history that shall ensure and facilitate successful tracing of UIT assets for the following periods:

C19.10.1. Controlled Inventory Items. A minimum of 10 years for controlled inventory items (identified in DoD 4100.39-M) and other items that may be designated by the OSD and the DoD Components.

C19.10.2. Non-Controlled Inventory Items. A minimum of 6 years for non-controlled items.[5]

C19.10.3. Source Documents. Retain original documents or facsimiles, i.e., (microfilm, microfiche), Compact Disk-Read Only Memory (CD-ROM), etc., for a minimum of 6 years for non-controlled items and a minimum of 10 years for controlled

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[4] The UII is an identifier used to uniquely identity 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/UID/. Refer to MIL-STD-130M (or most current version) for specific guidance marking of U.S. Military property.

[5] DoD 4140.1-R requires that transaction histories be maintained for a least 2 years. Under the document retention requirements contained in the National Archives Records Administration (NARA) General Records Schedule (GRS) (reference ___), the document retention period for Accountable Officer's Records is 6 years 3 months.

items from date originated. Retain Foreign Military Sales (FMS) source documents and financial records for 10 years from date of closure.

C19.10.4. <u>Transaction History</u>. AIS transaction history files associated with UIT shall include both the information system transaction record and the required source document information that prompted the information system transaction. Transaction history records shall be organized and maintained in a manner that shall ensure that accurate information can be retrieved and collated in a timely and reliable manner for a minimum of 10 years.

C19.11. <u>DUE-IN AND ADVANCE RECEIPT INFORMATION (ARI).</u> Establish due-in records in accordance with due-in procedures in Chapter 12. Upon establishing a due-in, provide ARI transaction (DS 527D) to each intended storage activity in accordance with the ARI procedures in Chapter 12. If UIIs are known at time of DS 527D initiations, they shall be included.

C19.12. <u>ADVANCE SHIPPING NOTICE</u>. When the procuring DoD Component orders UIT items from a production contractor, the procuring DoD Component shall ensure that the applicable clause is included in the contract requiring the vendor to provide UIIs in accordance with DoD UID Defense Acquisition Regulations Supplement (DFARS) clause (see http://www.acq.osd.mil/dpap/UID for specific UID DFARS clause information). The contractor shall submit IUID UII information to Wide Area Workflow – Receipt and Acceptance (WAWF-RA) in accordance with the WAWF Implementation Guide for the Federal Implementation Convention (IC) 856, Advance Shipment Notice; 857, Shipment and Billing Notice; direct on-line input; or using another comparable information exchange method supported by WAWF-RA. The WAWF will disseminate the vendor shipment notice to the procuring activity to satisfy the shipment performance notice requirement for the vendor to provide notification of shipment to the procuring activity using DS 856, including UII(s). In addition, the WAWF-RA will disseminate the vendor shipment information to the receiving depot or other DLMS compliant receiving system using DS 856 including UII(s).

C19.13. <u>ACCEPTANCE REPORT.</u> When acceptance at origin is applicable, the DS 856 forwarded to the procuring and receiving activity will reflect accepted IUID information. When acceptance at destination is applicable, the receiving system may report acceptance, including UII(s), using the DS 861, Acceptance Report, to WAWF. Where electronic interface is not available, the receiver may report acceptance, including UII(s), using direct on-line input to WAWF-RA. WAWF will extract the IUID information for all Government accepted IUID items and forward to the DoD IUID Registry. For additional information/guidance on the IUID registry see the UID website (http://www.acq.osd.mil/dpap/UID/).

C19.14. <u>MATERIAL RECEIPT.</u>

C19.14.1 <u>RECEIPT</u>. The receiving activity shall notify the owner when UIT items are received. Submit receipt, including UII(s), using DS 527R receipt transaction, in accordance with the receipt procedures in Chapter 13.

C19.14.2 <u>CORRECTION OF ERRONEOUS RECEIPTS</u>. The preferred method for correcting receipt errors for complete or partial receipt reversal (accountable document quantity, UII(s), or both) is to submit a DS 527R reversal in accordance with Chapter 13 receipt procedures to correct the audit trail.

C19.15. <u>UII RECEIPT DISCREPANCIES</u>. When UII(s) received do not match accompanying UII documentation (i.e., quantity and/or UII(s)), the receiving activity shall record the actual quantity and UII(s) received, and notify the shipping activity or ICP/IMM, as applicable, of the discrepancy. The receiving activity shall submit a Supply Discrepancy Report (SDR) showing the appropriate discrepancy code for quantity and UID discrepancies in accordance with SDR procedures. For shortages or overages in shipments of controlled inventory items, arms, arms parts, ammunitions, and explosives, report within 24 hours of discovery (see SDR response timeframes). Action activities shall reply to all SDRs within 30 calendar days from date of receipt of reports by the action activity when associated with shipments of controlled inventory items. See Chapter 17 for SDR procedures.

C19.16. <u>REINTRODUCTION OF UII ITEM PREVIOUSLY SHIPPED OUTSIDE THE CONTROL OF THE DOD</u>. When a UIT item(s) previously shipped outside the control of the DoD is reintroduced to DoD control, the receiving activity shall report the receipt, including UII(s), to the owner. The receiving activity shall submit the receipt using DS 527R.

C19.17. <u>MATERIAL REDISTRIBUTION AND RELEASE</u>. The shipping activity shall release the appropriate number and condition code of UII(s) items without regard to the UII(s) selected. Also applies to DRO. There is currently no documented requirement for an owner to direct release of a specific UII(s).

C19.18. <u>CANCELLED MRO/DRO SUPPORTING UII MATERIAL RELEASE.</u>

C19.18.1. The storage activity shall confirm MRO or DRO cancellation to the owner, including UII(s). The storage activity shall confirm MRO or DRO cancellations in accordance with DS 945A (material release cancellation advice or disposal release cancellation advice) in accordance with Chapter 4.

C19.18.2. The owner shall confirm MRO cancellation with Status Code BQ using DS 870S, via DAAS to eligible status recipients. Data are entered in the eligible status recipient's AIS.

C19.19. <u>MATERIAL RELEASE CONFIRMATION (MRC)</u>. For all UIT programs, the shipping activity shall confirm material release to the owner and report UII(s) shipped. The storage activity shall submit MRC, including UII(s), using DS 945A, processed in accordance with Chapter 4.

C19.20. <u>CONFIRMATION OF SHIPMENT TO DEMILITARIZATION AND/OR DISPOSAL.</u> The shipping activity shall report to the owner shipment of all UII item(s) to demilitarization and/or disposal. The storage activity shall submit DS 945A including UII(s).

C19.21. <u>SHIPMENT STATUS.</u> For all UIT programs, the shipping activity shall report shipment status, with UII(s) selected for shipment, to the receiving DoD Component. The receiving DoD Component shall enter the data in their AIS to identify UII(s) received are the UII(s) reported shipped.

C19.22. <u>PHYSICAL INVENTORY OF UII ITEMS.</u> Physical inventory of UIT items shall be conducted in accordance with chapter 6 physical inventory procedures. There is currently no DoD requirement to inventory by UII.

C19.23. <u>DOD STOCK READINESS (SR) PROGRAM</u>. Under the SR program, DoD requires uniform care of supplies, including the inspection and reporting of condition and serviceability of materiel, and the scheduling, controlling, and reporting of packaging and other cost reimbursable actions in support of care of supplies in storage (COSIS). For UIT items, the distribution depot will report storage quality issues requiring COSIS work to the material owner via the Storage Quality Control Report, including UII, for approval, in accordance with DLAI 4145.4/AR 740-3/AFJMAN 23-231/NAVSUPINST 4400.100/MCO 4450.15 Stock Readiness. DS 842S/R applies.

C19.24. <u>SIGHT VERIFICATION UNDER SPECIAL CIRCUMSTANCES.</u> Reserved. [NOTE: This capability is to be provided on an exception basis by DS 140B. DLMSO will staff a proposal updating DS 140B and addressing this requirement.]

C19.25. <u>DLMS TRANSACTIONS WITH UIT CAPABILITY</u>. The following DLMS transactions have UIT capability.   The associated DLMS chapter for processing the transactions is identified:

DS #	TITLE	Process IAW (DLMS Volume, Chapter)
140A[6]	Small Arms Reporting	Vol 2, Chapter 18
140B	Unique Item Tracking Reporting	Vol 2, Chapter 19
180M	Material Returns Reporting	Vol 2, Chapter 11
511M	Requisition (Modification)	Vol 2, Chapter 4
511R	Requisition	Vol 2, Chapter 4
527D	Due-in, Advance Receipt, Due Verification	Vol 2, Chapter 12
527R	Receipt, Inquiry, Response and MRA	Vol 2, Chapter 13
810L	Logistics Bill	Vol 5, Chapter 2
842A/W	SDR submission	Vol 2, Chapter 17
842S/Q	Storage Quality Control Report	Vol 2, Chapter 21
842S/R	Storage Quality Control Report Reply	Vol 2, Chapter 21

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[6] DS 140A is specific to use for Small Arms tracking under the DoDSASP.

DS #	TITLE	Process IAW (DLMS Volume, Chapter)
846A	Asset Reclassification	Vol 2, Chapter 7
846F	Ammunition Freeze/Unfreeze	Vol 2, Chapter 14
846I	Asset Status Inquiry/Report	Vol 2, Chapter 5
856	Advance Ship Notice	Vol 2, Chapter 19
856S	Shipment Status	Vol 2, Chapter 5
861	Acceptance Report	Vol 2, Chapter 19 (WAWF)
870M	Materiel Returns Supply Status	Vol 2, Chapter 11
888A[7]	Small Arms Data Change	Vol 2, Chapter 18
888B	Unique Item Data Change	Vol 2, Chapter 19
940R	Material Release	Vol 2, Chapter 4
945A	Material Release Advice	Vol 2, Chapter 4
947I	Inventory Adjustment	Vol 2, Chapter 7

C19.26 DOD-LEVEL UIT PROGRAMS

C19.26.1. DoD Small Arms Serialization Program (DODSASP). See DLMS, Volume 2, Chapter 18, Small Arms Serial Number Registration and Reporting for DODSASP procedures.

C19.26.2. Radiation Testing and Tracking System (RATTS) Program

C19.26.2.1. RATTS is a program established to provide regulatory and statutory compliance with Federal, state, and local regulations for the use of radioactive materials in fielded chemical defense equipment and in industrial applications. It maintains visibility of radioactive source UIIs and wipe test results. It is designed to provide strict control and identification of all radioactive sources to comply with Nuclear Regulatory Commission (NRC) license requirements.

C19.26.2.2. The cell, detector chemical (a component of the M43A1 detector), and the drift tube module (a component of the chemical agent monitor (CAM)) are reportable. In turn, the M43A1 detector and M43 alarm are components of the M8A1 chemical agent alarm. The drift tube module in the CAM is the key component of the end item. Hereafter the cell, detector chemical and CAM drift tube module are identified as radioactive "sources." The requirements for these reporting standards as set forth in the NRC License 12-00722-13 and 12-00722-14.

C19.26.2.3. The NRC licenses require UII control of the radioactive source throughout its life cycle. The NRC requires a wipe test on an annual basis for the

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[7] DS 888A is specific to use for Small Arms tracking under the DoDSASP.

M43A1 detector radioactive source and CAM radioactive source. In addition, the M43A1 detector radioactive source and the CAM radioactive source must be wipe-tested within 6 months of transfer to another activity.

C19.26.3. <u>Navy Depot Level Reparable (NDLR) Program</u>. The NDLR is the recognized inter-DoD Component UIT program for Navy-managed DLRs.

C19.26.4. <u>The Army Maintenance Management System (TAMMS) Equipment Data Base (TEDB)</u>.

C19.26.4.1. The TEDB identifies major end items for all ground, rail, and some construction equipment and watercraft. The information is maintained on vehicles accepted into the Army inventory and includes their age, location, NSN re-designations, overhaul/rebuild/recapitalization and Operating Tempo (OPTEMPO)/usage data. Information is also provided on OPTEMPO (usage) and vehicle age (miles and years). It is used for procurement planning, budgetary justifications, redistribution of assets, identity of candidates for safety recalls or overhaul; and for one-time logistics reports and summaries to field units. Additionally, units use the data to reconstruct lost or destroyed equipment logbooks, and missing or illegible serial/registration numbers. The TEDB is the repository for the Army Vehicle Registration Number Program. The U.S. Army Logistics Support Activity is responsible for recording and maintaining a cross-reference file for all Army vehicle registration numbers on all Army vehicles during their life span. Information from this program meets several management needs such as satisfying state and foreign country registration requirements and assisting law enforcement agencies. The registration number remains unique to a specific item of equipment during its life span.

C19.26.4.2. TEDB benefits the warfighter because it is a single source for selected vehicle information. Organizations requiring vehicle location, OPTEMPO/usage, or age information can obtain this information from the TEDB for units throughout the Active Army and Reserve components regardless of the equipment manager. The TEDB contributes to improved budgetary, logistics acquisition, and depot program management at all levels of the Army.

C19.26.5. <u>Aviation Component Tracking Program</u>**.** The Aviation Component Tracking Program is comprised of a set of procedures and databases designed to ensure unique part identification for flight safety parts and for life managed or special interest items. It provides for control, improved accountability and visibility of U.S. Army Aviation equipment. The Maintenance Consolidated Database contains the life cycle installation/removal/repair data for all life managed and special interest items. The Maintenance Consolidated Database, by maintaining the central repository for historical component data, allows for the recovery of critical data and continued use of parts with missing or erroneous data that would otherwise have to be scrapped.

C19.26.6. <u>Tritium UIT Program</u>. This program identifies all primary and secondary items comprised of tritium throughout the Army, Army Reserve, National Guard and Marines. This program is necessary to meet a requirement for visibility of where all tritium sources are at all times.

C19.26.7. Controlled Cryptographic Items (CCI) Program. This program was established to meet NSA requirements to maintain visibility of controlled cryptographic end items, standalone CCI and embedded CCI. CCI shall perform a complete physical inventory at periodic intervals not to exceed 12 months between successive inventories in accordance with NTISSI No. 4001, Controlled Cryptographic Items (reference ___). This inventory must include all CCI equipment and uninstalled CCI components. This is necessary to guard against preventable losses of un-keyed CCI to an actual or potential adversary.

C19.27. UNIQUE ITEM TRACKING DESIGNATOR CODES (UITDC). The Federal Logistics Information System is the authoritative source for the UITDC. The UITDC indicates that an item requires DoD level UIT and identifies a DoD UIT program associated with the UIT requirement. The UITDC can also identify items which fall under the DoD IUID criteria but which are not subject to a DoD UIT program. All IUID items subject to a DoD UIT program will be identified by a UITDC other than 'UID'. See section C19.7.3 for application of UITDC. UITDC are as follows:

UITDC	EXPLANATION
AAA	DoD Small Arms Serialization Program (DODSASP)
AAB	Security Risk Category I Non-Nuclear missiles and Rockets
AAC	Radiation Testing and Tracking System (RATTS) Program
AAD	Navy Depot Level Reparables (NDLR) Program
AAE	The Army Maintenance Management System (TAMMS) Equipment Data Base (TEDB)
AAF	Aviation Component Tracking Program
AAG	Tritium Unique Item Tracking Program
AAH	Controlled Cryptographic Items (CCI)
UID	Assets which meet DoD *IUID* criteria for marking, but which are not subject to DoD UIT program/tracking requirements.[8]

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[8] See http://www.acq.osd.mil/dpap/UID for UID policy and criteria for assigning IUID to materiel.

AP5.   <u>APPENDIX 5</u>

<u>INSTRUCTIONS FOR SUBMISSION OF DOD UNIQUE ITEM TRACKING (UIT) PROGRAM CANDIDATES</u>

To obtain a FLIS UIT Designator Code, DoD UIT Committee (UITC) representatives shall review the request for completeness and submit UIT program candidates to the UITC Chair in accordance with the instructions provided below.

UITC website: http://www.dla.mil/j-6/dlmso/Programs/Committees/UITC/UITC.asp.

AP5.1 <u>ORIGINATOR</u>

> AP5.1.1. <u>UITC Representative</u>: Include the name, organization and office symbol, and DSN and commercial telephone number, and electronic-mail address.

> AP5.1.2. <u>DoD Component</u>: Identify the DoD Component submitting the UIT program candidate or the joint DoD Component group/committee sponsoring the program candidate.

> AP5.1.3. <u>Originator</u>: Identify the person who can discuss the concepts, needs, and the rationale underlying the UIT program candidate. Include the name, organization and office symbol, and DSN and commercial telephone number, and electronic-mail address.

> AP5.1.4. <u>Program Sponsor</u>: Include the name, organization and office symbol, and DSN and commercial telephone number, and electronic-mail address.

AP5.2. <u>UIT PROGRAM CANDIDATE:</u>

> AP5.2.1. <u>Program Name:</u> Enter the full name of the UIT program candidate. Spell out all acronyms.

AP5.2.2. Program Description: Provide a brief description of the UIT program and its applicability to the overall DoD UIT Program. Identify the functional area associated with the UIT program candidate, any other program which may be affected by, or have an interest in, and if applicable, cite authority documents. Identify any additional data element requirements that may be added, revised, or deleted as a result of this program.

AP5.2.3 Justification for UIT Requirement: Provide background and support for the UIT program candidate. Elaborate on the need for the UIT program candidate in a context that allows evaluators to understand the full impact of the program and the impact of not maintaining the status quo. Also, provide responses to the following questions:

AP5.2.3.1. What value does the UIT candidate program add to the DoD UIT Program?

AP5.2.3.2. What potential customers will benefit from the candidate UIT program?

AP5.2.3.3. How does the candidate UIT program contribute to the accountability and visibility of the asset being tracked?

AP5.2.3.4. Is the candidate UIT program compliant with sections C5.3 (Item Accountability, Control and Stewardship) and C6.3 (Unique Item Tracking (Visibility) of, DoD 4140.1-R, DoD Supply Chain Materiel Management Regulation? If yes, at what level and when was compliance achieved? If no, is there a plan to become compliant with DoD 4140.1-R, sections C5.3 and C6.3?

AP5.2.3.5. How many line items (NSN + UIT elements (UII, serial number, part number, etc. = line item) are to be tracked?

AP5.2.3.6. How many reportable line items and UIT events are to be reported (1 NSN:1 UII, end article NSN/UII and component NSN/UII, multiple (variable number) reportable NSNs/single or multiple UIIs, etc.)?

AP5.2.3.7. At what level will the assets be tracked (wholesale, below wholesale, contractor facilities, etc.)?

AP5.2.3.8. What is the name and location of the AIS where the assets will be reported? What standardized transactions will be used to report the assets (DLSS or DLMS etc.)?

AP5.2.3.9. In accordance with DoD 4140.1-R, subparagraph C6.3.2.3, what provisions have been made for use of AIT?

AP5.2.3.10. In accordance with Item Unique Identification (IUID) policy, IUID is a system of marking items with UIIs that have machine-readable data elements to distinguish an item from all other like and unlike items. A data matrix is used for marking. DoD requires IUID for specific categories of items. All UIT program items fall under the IUID category of serial managed assets. Accordingly, UIT program items require 2D marking in accordance with IUID policy. IUID policy and specific IUID guidance are available at http://www.acq.osd.mil/dpap/UID.
For specific guidance on marking DoD property for IUID, refer to MIL-STD-130M (or most current version). For items that are not currently in compliance with IUID marking policy, provide medium in use and placement of UIT identification.

AP5.2.3.11. Identify any special processing requirements. For example, for Navy Depot Level Reparables, Navy indicated they did not want the DLA distribution depots to open the containers to verify UII information. Such requirements should be identified and explained, as part of the program submission process. Also, identify the following:

> AP5.2.3.11.1. Physical handling (e.g., whether or not to sight verify (open containers, etc.).

> AP5.2.3.11.2. Proposed types of UIT events to be reported (e.g., receipt, shipment, demilitarization, reconciliation, gain/loss, etc.).