

Defense Logistics Agency Instruction



DLAI 4140.05
Effective January 7, 2015

DLA HQ Logistics Operations, Order Management (J341)

SUBJECT: Small Arms Light Weapons Serial Number Reporting and Tracking by DLA Distribution

References: See Enclosure 1.

1. **PURPOSE.** In accordance with the authority in DoD Manual (DoDM) 4140.1-R (Reference (a)), Defense Logistics Manual (DLM) 4000.25 (Reference (b)) and DLM 4000.25-2 (Reference (c)), this instruction incorporates and cancels the DLA Small Arms One Book Chapter (Reference (d)) and reissues policy and updates responsibilities and procedures for executing Small Arms/Light Weapons (SA/LW) serial number reporting and tracking requirements. The purpose of this instruction is to:

a. Implement policy, assign responsibilities, and provide processes and procedures necessary for the effective and efficient physical distribution of SA/LW and components controlled by both a National Stock Number (NSN) and a Weapons Serial Number (WSN) and stored within a DLA Distribution center.

b. Establish standard terminology for use in the Department of Defense (DoD) supply chain regarding SA/LW and their components.

c. Reinforce internal controls regarding traceability, tracking and reporting of SA/LW and their components.

2. **APPLICABILITY.** This DLA Instruction applies to Headquarters DLA Logistics Operations (J3), DLA Distribution, subordinate DLA Distribution Centers, specifically DLA Distribution Anniston, Alabama, DSS Portfolio Management (J62D) and DLA Disposition Services.

3. **DEFINITIONS.** See Glossary

4. POLICY. It is DLA policy to:

a. Report, track, and perform all physical distribution functions for SA/LW and weapons components for the Military Services, General Services Administration, Coast Guard, National Guard, Reserves, Federal Agencies, Law Enforcement, and the Civilian Marksmanship Program (CMP).

b. Use DLA Distribution Anniston, Alabama, as the single, consolidated distribution center to perform this mission to ensure physical security and NSN/WSN reporting requirements are met.

c. Use the Distribution Standard System (DSS) during all phases of distribution and to systematically convey real time NSN/WSN data to the DoD SA/LW Registry (hereafter referred to in this instruction as the DoD Registry) and the Component Registries.

d. Comply with the regulatory guidance prescribed in Reference (c) and use standard DoD business rules, procedures, and transactional interfaces described in DLM 4000.25-2-M, Volume 2, Chapter 12 (Reference (e)).

e. Attend the DoD Joint Small Arms/ Light Weapons Coordinating Group (JSA/LWCG). Submit issues to the group that cannot be resolved at the local level and assist in developing sound, workable solutions.

5. RESPONSIBILITIES. See Enclosure 2.

6. PROCEDURES. See Enclosure 3

7. INFORMATION REQUIREMENTS. The DoD, DLA and SF forms integral to the tracking and reporting of SA/LW are listed below. Additional forms are required at the distribution center management level for performing required physical distribution processes. Identification of those forms is listed in the Standard Operating Procedures (SOPs) for DLA Distribution J4. They can be accessed at all times by Anniston personnel having a need to know. For purposes of this instruction and with the exception of those listed as references in Enclosure 1, those forms are not listed here as they are at the user level of detail. Source documents and transaction records will be maintained in accordance with (IAW) the DLA Records Schedule (Reference (f)).

a. The following DD Forms are available on the DoD Forms Management Program Website at <http://www.dtic.mil/whs/directives/forms/index.htm> :

- (1) DD 200 - Financial Liability Investigation of Property Loss (FLIPL)
- (2) DD 250 - Material Inspection and Receiving Report
- (3) DD 361 - Transportation Discrepancy Report (TDR)

- (4) DD 1348-1A - Issue Release/Receipt Document
- (5) DD 1907 - Signature and Tally Report

b. The following DLA Forms are available on the DLA Forms Management Program Website at <http://www.dla.mil/officialforms/Pages/default.aspx>:

- (1) DLA 27 – Classified Document Receipt
- (2) DLA 1151 – Control Registration for Report of Financial Liability Investigation

c. The following SF Forms are available on the U.S. General Services Administration Website at <http://www.gsa.gov/portal/forms/type/TOP>:

- (1) SF 364 – Supply Discrepancy Report (SDR or ROD)
- (2) SF 368 – Product Quality Discrepancy Report (PQDR)

d. Service required reports and record keeping information must include Part Number, Serial Number, Cage Code, Condition Code, Routing Identification Code (RIC), Document Number, and Source of Supply.

8. INTERNAL CONTROLS.

a. HQ DLA J341 personnel monitor the Management Internal Control Objective for SA/LW to ensure the Small Arms Program is in compliance with regulatory guidance. Maintain up-to-date status of the program by providing periodic updates of bi-weekly meetings, reviewing the Quarterly Status Small Arms Report that lists Causative Research (CR) for results and findings, and providing these results to J3 and J8 for review and action as necessary. Request the Military Services provide counts of weapons on-hand and those weapons that have been designated for Demilitarization (DEMIL) IAW DoD Instruction 4160.28 (Reference (g)) on an annual basis to maintain integrity of SA/LW inventory.

b. DLA Distribution monitors execution of physical distribution processes performed by DLA Distribution Anniston, Alabama, for SA/LW as set forth in this instruction, monitors all DLA Distribution Internal Review Inspections to ensure findings are appropriately addressed by DLA Distribution Anniston, Alabama; monitors all Office of the Inspector General inspections to ensure findings are appropriately addressed; reviews the DLA Distribution, Anniston, Alabama, Commander's Weekly Situation Report for any items pertaining to the Small Arms Program to ensure they are addressed and corrected when necessary.

c. DSS Portfolio Management personnel assist the Small Arms Serialization Program (SASP) user community, to ensure information received through the distribution center is relayed to the DoD Registry and the Component Registries as required by regulation. Monitors and reconciles NSN/WSN information to ensure integrity between the various registries as required.

d. At the request of DLA Distribution, DSS Portfolio Management personnel maintain integrity of the SA/LW inventory by executing annual Bottoms -Up- Reconciliation (BUR) of Service stock to ensure assets maintained on the SASP system match the asset record information on the DoD Registry. This BUR is a requirement of Army LOGSA, supported by DLA, and is usually executed in the January timeframe of each calendar year.

e. To prevent discrepancies of inventory counts between DLA Distribution and the Military Services, DLA Distribution Anniston, Alabama monitors SDRs pursuant to DoDM 4000.25-M (Reference (h)) and IAW DLA Instruction 4140.55 (Reference (i)) to resolve SA/LW discrepancies between the Military Services, Anniston Army Depot (ANAD), and other field or owning activities. To maintain integrity of the data bases, monitors DSS and the DoD Registry and Component Registries to resolve any differences between the databases for inventory or identification. Monitors current SA/LW contracts to ensure contractors are performing IAW contractual guidelines.

9. **RELEASEABILITY**. **UNLIMITED**. This instruction is approved for public release and is available on the Internet from the DLA Issuances Internet Website.

EFFECTIVE DATE. This Instruction:

a. Is effective on January 7, 2015.

b. Must be reissued, cancelled, or certified current within 5 years of its publication in accordance with DLAI 5025.01, DLA Issuance Program. If not, it will expire effective January 7, 2025 and be removed from the DLA Issuances Website.

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Enclosure(s)

Enclosure 1 - References

Enclosure 2 - Responsibilities

Enclosure 3 - Procedures

Glossary

ENCLOSURE 1

REFERENCES

- (a) DoDM 4140.1, "DoD Supply Chain Materiel Management Regulation (MMR)," December 14, 2011
- (b) DLM 4000.25," Defense Logistics Management System (DLMS) Manual," June 25, 2013
- (c) DLM 4000.25-2, "Defense Logistics Management System (DLMS)," Volume 2, Chapter 18, "Small Arms Light Weapons Serial Number Registration," June 13, 2012
- (d) DLA Small Arms One Book Chapter, "Small Arms Unique Item Tracking Reporting by Distribution Centers," March 31, 2004 (hereby cancelled)
- (e) DLM 4000.25-2-M, "Military Standard Transaction Reporting and Accounting Procedures (MILSTRAP)," Chapter 4, "Receipt and Due-In", June 13, 2012
- (f) DLA Records Schedule, July 2014
- (g) DoD Instruction 4160.28, "DoD Demilitarization," April 7, 2011
- (h) DoDM 4000.25-M, "Military Standard Transaction Reporting and Accounting Procedures," Volume 2, Chapter 17, "Supply Discrepancy Reports," June 13, 2012
- (i) DLA Instruction 4140.55, "Reporting of Supply Discrepancies," August 6, 2001
- (j) DLA Instruction 1104, "Control of Small Arms by Serial Number," June 9, 2010
- (k) DLA Instruction 1119, "Physical Inventory Control Program (PICP)," April 17, 2013
- (l) DLA Distribution Center "Inventory Control Manual," Version 11.1, October 2011
- (m) DLA Distribution SASP Standard Operating Procedure (SOP), "Small Arms Receiving Operations," July 15, 2014
- (n) DLA Distribution SASP Standard Operating Procedure (SOP), "Frustrated Material," July 15, 2014
- (o) DLA Distribution Memorandum, Receiving "Kind, Count and Condition Inspection," June 24, 2014
- (p) Department of Army (DALO-SMP) Memorandum, "Waiver for Sight Verification of New Production Small Arms from Small Arms Sight Verification at Anniston Distribution Center," September 4, 1996
- (q) DoDM 5100.76-M, "Physical Security of Sensitive Conventional Arms, Ammunitions and Explosives," April 17, 2012
- (r) DLA Physical Security Manual, December 2, 2011
- (s) DLA Instruction 4145.4, "Stock Readiness," November 9, 2012
- (t) DLA Instruction 4145.11, "Storage and Handling of Hazardous Material," May 22, 2008
- (u) DLA Instruction 1517, "Storage and Handling of Radioactive Materials," August 22, 2008
- (v) DLM 4000.25-2, "Defense Logistics Management System (DLMS)," Volume 2, Chapter 7, "Physical Inventory Control," June 13, 2012
- (w) DoDM 4140.27-M, Appendix E, "Shelf Life Management," May 5, 2003
- (x) AFMAN 31.229, "USAF Weapons Handling Manual," May 12, 2004
- (y) DLA Instruction 1121, "Inventory Records Management Process" October 12, 2010
- (z) DoDM 4100.39-M, "Federal Logistics Information System (FLIS) Procedures Manual," Volume 10, October 2010

- (aa) DoD 7000.14-R, "Financial Management Regulation," Volume 12, Chapter 7, "Financial Liability for Government Property Lost, Damaged or Destroyed," September 2013
- (ab) DLA Instruction 1122, "Financial Liability Investigation of Property Loss (FLIPL) for Supply System Materiel," April 2, 2012
- (ac) DoD 4500.9-R, DoD Transportation Regulation (DTR), Part II, Chapter 205, "Cargo Movement," November 20, 2012
- (ad) Military Freight Traffic Unified Rules Publication, Section A, Part II, Paragraph D, September 26, 2011
- (ae) Office of the Deputy Assistant Secretary of Defense (ODASD) Memorandum, "Moratorium on Demilitarization of Small Arms," December 30, 2009

ENCLOSURE 2

RESPONSIBILITIES

1. THE DIRECTOR, DLA LOGISTICS OPERATIONS (J3), must:

- a. Administer logistics management for the Agency.
- b. Provide overall guidance for logistics management in DLA.

2. The Director, Materiel Policy, Process and Assessment (J34), under the authority, direction, and control of the Director, J3, must:

- a. Develop, maintain, and publish policies and procedures for DoD SA/LW stored in DLA Distribution storage centers.
- b. Maintain control of the DoD SA/LW stored in DLA Distribution storage centers ensuring security of Service assets.
- c. Ensure the development of systems enhancements and reconcile any systems problems in a timely manner by coordinating with Defense Logistics Management Standards Office (DLMSO) personnel, the DoD Service Components, DLA Logistics Information Services (DLIS) and DSS Portfolio Management personnel.
- d. Maintain liaison with the Office of the Deputy Assistant Secretary of Defense (ODASD) Supply Chain Integration (SCI) and the DoD Service Components.
- e. Provide representation at the DoD Joint Small Arms/Light Weapons Coordinating Group (JSA/LWCG) annual meetings with ODASD (SCI) and DoD Service Components.
- f. Review and respond to internal and external DoD, General Accounting Office and Inspector General audit report findings that recommend corrective actions for DoD SA/LW stored in DLA distribution storage centers.

3. The Director, Technical and Quality Assurance (DoD Demil Program Office), J344, under the authority, direction, and control of the Director, J3, must:

- a. Provide DEMIL and disposal guidance on matters pertinent to this instruction.
- b. Provide representation on the JSA/LWCG to reconcile systems problems and to develop systems enhancements.

4. The Commander, DLA Distribution must:

a. Oversee the DoD worldwide distribution system and accomplish all logistics management functions required to ensure responsive, integrated support of the associated logistics requirements of the Military Departments and Combatant Commands (CCMD), specifically as they apply to SA/LW.

b. Ensure physical distribution functions are performed at DLA Distribution Anniston, Alabama, for SA/LW and their components to include receipt, storage, Care of Supplies in Storage (COSIS), inventory and reconciliation, kit assembly, pick, pack, issue and ship. Provide technical data and other distribution related information on SA/LW and perform other related logistics management functions as appropriate.

5. The Director, DSS Portfolio Management (J62D), under the authority, direction, and control of the Commander, DLA Distribution, must:

a. Ensure DSS as a system is functioning properly based on Requests for Change (RFC) submitted each increment in support of associated logistics requirements of the Military Departments and CCMD. Accomplish all logistics management functions required for responsive, integrated support of the associated logistics requirements of the Military Departments and CCMD.

b. Provide customer support to user sites by trouble shooting problems and performing systemic research, analysis, and correction as needed.

c. Ensure DSS is accurately transmitting SA/LW NSN/WSN data to the DoD Registry and the Component Registries.

6. The Commander, DLA Distribution Center, Anniston, Alabama, under the authority, direction, and control of the Commander, DLA Distribution must:

a. Oversee the performance of all physical distribution processes and procedures for the receipt, storage, COSIS, inventory/reconciliation, kit assembly, pick, pack, issue and shipment of SA/LW, ensuring physical protection and maintaining traceability and tracking at all times while SA/LW and their components are in the possession of Anniston personnel.

b. Verify the DSS system is functioning correctly and passing information to the DoD Registry and the Component Registries on all NSN/WSN assets related to SA/LW and their components. If discrepancies arise, the Anniston Serialization Officer (SO) will resolve the problems and ensure the correct data is captured in DSS, the DoD Registry and the Component Registries.

7. The Commander, DLA Disposition Services, must:

a. Provide DoD-wide disposal services for weapons.

b. Operate the DLA Component Registry in accordance with this instruction and serve as the DLA Program Manager for same.

c. Accept items from DLA Distribution that are earmarked for DEMIL, Foreign Military Sales or Reutilization. Once items have been removed from DLA Distribution custody and are physically sent to or received by DLA Disposition Services, process actions to update the DoD Registry, perform registry reconciliations, and respond to inquiries from the DoD Registry IAW DLAI 1104 (Reference (j)).

d. Ensure that Central DEMIL Divisions comply with the provisions of this instruction through the appropriate DLA Disposition Services Headquarters Directorate.

e. Ensure DSS Portfolio Management personnel at DLA Disposition Services provide required automatic data processing systems support to maintain the DLA SASP Component Registry and the DoD Registry.

8. The DoD Joint Small Arms/Light Weapons Coordinating Group (JSALWCG) must:

a. Develop, maintain and improve the DoD program for tracking, reporting, validating, and registering the status of SA/LW by serial number.

b. Host an annual meeting for ODASD (SCI), the Military Services and Defense Agencies to discuss any concerns and issues dealing with SA/LW.

c. Develop, review, and recommend system enhancements for incorporation into the DoD Registry IAW References (c) and (d).

ENCLOSURE 3

PROCEDURES

Procedures to perform the physical distribution, tracking, and reporting of small arms are broken out into seven major areas. These are Systems, Receipt, Preservation/Packaging/Packing & Marking (PPP&M), Storage, Issue, Discrepancy Resolution, and Serialization Office Procedural Requirements. Detailed instructions for step-by-step physical distribution processes can be found in the DLA Distribution SASP SOPs for each respective area. Detailed inventory procedures and processes can be found in Reference (b), DLAI 1119 (Reference (k)) and the DLA Distribution Center Inventory Control Manual (Reference (l)). The Gun Control Act of 1968 governs regulatory requirements for ownership and interstate commerce of privately owned firearms and prohibits the purchase of foreign military surplus weapons. Although it requires any firearm manufactured in the United States to have an engraved serial number for licensing purposes, it does not specifically address weapons owned, used, managed, and maintained by the DoD. Therefore, the references cited in Enclosure 1 of this instruction were used as a basis to obtain information required to develop the policy, guidance and procedures mandated for tracking and reporting DoD weapons received, stored and shipped by DLA. The Small Arms Control File (Active/Inactive) requires records be maintained for each small arm, by WSN, that is under the activity's accountability either through the receipt, issue or DEMIL process. Source documents and records will be maintained IAW the DLA Records Schedule for the 620.40 record series. These records include the DTID 1348, DEMIL Certificate, Inert Certificate, serial number listings that accompany turn-in documents and authorized certified/verified documentation.

1. Systems: The systems required for tracking SA/LW and their components are:

a. DSS: DSS is the system used for physical distribution processing and creates inbound and outbound records on materiel flowing in and out of the distribution centers to include information on all weapons in storage. This system was enhanced to incorporate small arms serialization program reporting requirements commonly referred to as the DoD SASP. It transmits NSN/WSN information on SA/LW to the DoD and individual Service Component Registries to maintain visibility of these weapons and their locations at all times. It supports critical and unique distribution requirements for DLA and the Military Services to include issue-upon-receipt and also supports direct vendor and prime vendor requirements. Select DSS functionality is integrated into the DLA Enterprise Business System (EBS) and Military Services Enterprise Resource Planning initiatives.

b. Wide Area Workflow (WAWF): WAWF is a secure web-based application that provides the nexus of information related to acceptance of goods and services in support of the DoD supply chain. It provides for the electronic submission of invoices, receipts and acceptance of government materiel by allowing government vendors to submit and track invoices. It also allows for the government to inspect, accept, receive, and pay for goods and services electronically using DLMS formatted transactions. Use of this system is mandated by law

(Section 1008 of the National Defense Authorization Act of FY2001) and is enforced. The benefits of using this system for SA/LW applications is the ability to relay and receive information to and from DSS, directly send information to EBS or to EBS through DSS, and to pass radio frequency identification and unique item information by NSN/WSN to the DoD Registry and the Component Registries.

2. Receipt: In addition to the information provided in this instruction, detailed field level procedures for the processing of receipts and frustrated material can be found in the DLA Distribution Standard Operating Procedures (References (m) and (n)).

a. New Procurement: When new procurement items are received, they are assigned a Receipt Control Number (RCN). Materiel is destination accepted and verification of packaging and marking is performed. Pursuant to DLA Distribution Receiving – Kind, Count, and Condition (KCC) SOP (Reference (o)), a mandatory KCC Inspection is conducted and at least one item per pallet is inspected at the bare metal level to verify serial number, quantity and dimensions. IAW Department of Army (DALO-SMP) Memorandum (Reference (p)), sight verification of the total quantity of small arms receipted on the DD Form 250 is waived from individual inspection down to bare metal level in order to preserve the integrity of packaging, preservation and protection applied at the vendor activity. Once the inspection process is complete, materiel is then placed in a secure storage environment IAW procedures outlined in DoDM 5100.76-M (Reference (q)) and the DLA Security Manual (Reference (r)).

b. Field Returns: When materiel is received from field activities, a RCN is applied to assets by receiving personnel when the truck arrives. The date and hour are also recorded. Verification is performed by distribution center personnel to verify the item description and determine the items' serviceability. A KCC inspection is performed in addition to sight verification for accurate NSNs and WSNs. Center personnel verify the marking and packaging on the item and if required, repackage the item to specifications IAW Special Packaging Instructions (SPIs). The item is then placed in a secure storage environment IAW References (q) and (r).

c. Inter-DoD Component Transfers: When an item manager notifies DLA Distribution Anniston, Alabama distribution personnel to pull reparable weapons from storage and send them to the ANAD maintenance activity for repair, inspection criteria is limited to verification of marking, packaging, and count. However, if container seals or bands are broken, the integrity of the pack is considered to have been compromised and sight verification of NSNs/WSNs is required on the entire container contents. This action ensures the correct weapons have been pulled from storage and sent for repair. The DoD Registry is updated to provide visibility of where these weapons have been physically relocated.

d. Receipts from Maintenance: When items are received from ANAD, they are accepted, KCC is performed, and the items are packaged IAW packaging specifications or SPIs. The items are then receipted into DSS to obtain a storage location and to relay receipt information and the NSNs/WSNs to the DoD Registry. This action provides the necessary visibility denoting the items are out of maintenance and back in the custodial care of the distribution center. The materiel is then stowed in a secure storage environment IAW References (q) and (r) for future use or disposition.

3. PPP&M:

a. At time of Receipt: Any time assets are received that do not meet packaging and marking specifications, they will be repackaged IAW packaging specifications or SPIs prior to being placed in storage.

b. During Storage: If item packaging is damaged at any time while an asset is in storage, either by forklift damage, re-warehousing efforts, etc., the item is pulled from the storage location and DSS is notified of the physical location where repackaging is to be performed. Once the item has been repackaged IAW the proper specifications, DSS will provide a storage location enabling the item(s) to be restocked. This procedure ensures that while repackaging is being performed, DSS maintains the integrity of the physical item location at all times.

4. Storage: While SA/LW and their components are in the custodial care of DLA, stock will be maintained IAW DLA Instruction 4145.4 (Reference (s)). If the material is coded as hazardous or radioactive, it will be stored pursuant to guidance in DLA Instruction 4145.11 (Reference (t)) and DLA Instruction 1517 (Reference (u)). Inventory of material is required and will be performed IAW References (k) and (l) and DLM 4000.25-2, Volume 2, Chapter 7 (Reference (v)).

a. Warehousing: While weapons are held in storage, COSIS may need to be performed. The need for COSIS is directed by three different triggers – (1) item manager direction; (2) system generated for shelf life items; or (3) a pick discrepancy. When either of these occurs, the materiel shall be pulled from its primary storage location and moved to the area where COSIS will be performed. Materiel is checked for physical damage and leakage; a KCC inspection is performed; and the shelf life date is checked for expiration IAW DoDM 4140.27-M (Reference (w)). During COSIS, DSS is updated with the exact physical location of the materiel. When the COSIS process is completed, DSS is updated with the new inspection dates and at that time will provide a new storage location to re-stow the materiel. DSS shall systematically update the Component Registry of the new storage location.

b. Segregated Storage: All weapons in the custody of DLA Distribution Anniston, Alabama are stored separately by owner, commonly referred to as segregated storage. By segregating assets by owner, it ensures a Military Service, agency, or other entity, they will receive a serial numbered asset initially purchased by them and not one that has been used by a different Military Service or entity. Mixing of these assets, even when they are the same kind, type, caliber, or style, is not permitted. DLA provides this unique service at the request of the customer and IAW AFMAN 31.229 (Reference (x)).

c. Re-warehousing: Re-warehousing can be triggered by a request for segregated storage, stock replenishment, or to maintain standard plan-o-graph procedures. If the need for re-warehousing does occur, materiel is pulled from its existing location, a KCC inspection is performed, NSNs/WSNs on the outside of the container are sight verified, and the materiel is sent to the new location provided by DSS. However, if the integrity of the pack has been compromised while the item has been in storage or during the re-warehousing process,

containers must be opened and sight verification of serial numbers on the immediate pack must be performed prior to restocking in the new location. After all re-warehousing actions are completed; DSS shall update the Component Registries of the new location.

d. Kit Assembly: Kit assembly is conducted at the request of the item manager. Materiel is pulled from its current location, a KCC inspection is performed, and items are then packaged and assembled into the requested kit configuration for shipment to the customer. DSS shall maintain the kit assembly location of the materiel until it is shipped.

e. Inventory: A fundamental requirement of inventory integrity is to implement the technical capability to provide a total item property record that includes a single shared asset balance maintained by the distribution center in DSS. Controlled inventory items, in this case SA/LW and their components, require complete physical inventory annually and do not qualify for the random statistical sampling inventory approach. Unscheduled or special inventories are restricted but restrictions can be waived when the item manager has recorded back orders on a specific item. However, this type of inventory must be specifically requested by the owner. General Inventory procedures, Reporting of Small Arms Losses, Gains or Recoveries, and BUR procedures are listed below. More detailed procedures for conducting inventories can be found in References (l) and (v) and management of inventory records must be accomplished IAW DLA Instruction 1121 (Reference (y)).

(1) General Inventory Procedures: Regulation requires an annual physical inventory of 100 % of Controlled Inventory Item Code (CIIC) items, i.e., classified, sensitive or pilferable as identified in DoD 4100.39-M (Reference (z)). This inventory is normally conducted in quarterly increments resulting in a 100 percent inventory for the year. The inventory counter shall compare item data on the Inventory Workload Report by work area to information on the small arms container to determine whether the stock number matches both the stock number on the container and the stock number on the container's UII or WSN listing.

(a) If the container is banded and sealed and shows no signs of tampering, and it is the first or second count, the inventory counter may use the box/row count technique. If the inventory counter is using this technique for the first or second count, the quantity listed on the container is used and should always be checked for accuracy.

(b) If the container is not banded, is banded but there is no seal affixed, shows signs of tampering, or if it is the third inventory count, the inventory counter shall perform a 100 % count of container contents. Each container must be opened and each weapon individually counted, sight verifying the WSN on the small arm, down to bare metal, and comparing each WSN to the container's UII listing.

(c) Under no circumstances shall distribution center personnel delete or bypass small arms second counts or inform the counter to by-pass second counts. The inventory supervisor shall not approve first count acceptance and waive post-count validation for a qualifying potential small arm adjustment. Third counts are performed when post-count validation results in an adjustment to the on-hand quantity. The inventory counter must open each container previously subjected to box/row count and individually count and sight verify each small arm.

(d) There is no small arms specific policy or procedure for inventory completion. Therefore, the distribution center will complete the inventory count and acceptance process IAW standard inventory completion actions prescribed in References (l) and (v).

(e) In addition to the required annual inventory, sample inventories can be requested at any time.

(2) Reporting Small Arms Loss, Gain or Recovery: The distribution center inventory organization and the SO shall coordinate on the processes below to ensure that changes to the property accountability audit trail have commensurate NSN/WSN transactions at the individual item level. This will help ensure quantitative and WSN records remain synchronized.

(a) When a gain or potential loss is discovered, a Causative Research (CR) Inventory Adjustment Voucher (IAV) must be generated in DSS the day after a qualifying small arm adjustment processes to the property accountability record. The IAV is used to initiate the CR process. The Accountable Officer must ensure, in coordination with the SO, that CR for small arms losses or gains is comprehensive and complete. CR and the Supplemental Small Arms Causative Research Checklist must be completed for either a gain or a loss. The inventory organization must coordinate with the SO to complete WSN level research, notify the respective Component Registries when appropriate to ensure databases are synchronized, and identify the adjustment in the CR Status Report. The Small Arms CR Status Report is submitted on a quarterly basis through DLA Distribution to HQ DLA J3.

(b) If CR resolved the gain or potential loss, the SO will take the appropriate action to ensure there is no imbalance or variance between the databases for the suspected gain, loss or recovery.

(c) If CR did not resolve the gain or potential loss, the Financial Liability Investigation of Property Loss (FLIPL) process must be initiated IAW DoD 7000.14-R (Reference (aa)), and DLA Instruction 1122 (Reference (ab)). The distribution center security officer's initials must be obtained and recorded on the original FLIPL as proof of having provided the security officer a copy. The distribution center security officer is responsible for notifying the Chief, Security Services, DLA Distribution and forwarding the FLIPL to the host security organization along with any recommendations for investigation. Although it is the host security organization's responsibility to initiate an incident report for any sensitive small arms physical inventory loss or gain, the distribution center inventory organization will not delay FLIPL processing while security makes a determination or conducts its investigation. The Financial Liability Officer (FLO) must use the FLO Checklist and complete the Supplemental WSN Checklist to determine if the gain or potential loss can be resolved. If the FLIPL confirms there is no actual gain or loss, the inventory organization shall process a physical inventory gain or loss reversal and complete appropriate actions to indicate the weapon was recovered.

(d) IAW Reference (aa), if the FLIPL investigation confirms there is a gain or loss, the distribution center must initiate a FLIPL, DD Form 200, and a DLA Form 1151 for all unresolved losses or gains of sensitive or classified small arms, regardless of item value, and any

time unresolved losses or gains of pilferable or uncontrolled small arms when the adjustment is in excess of \$2500. It shall be referred to security officials at the Anniston Distribution Center to determine whether there is culpability or when fraud, waste, or abuse is suspected. The SO shall initiate a DLSS MILSTRAP Small Arms Confirmed Loss/Stolen transaction for each WSN confirmed lost and also notify the applicable Component Registry and/or DoD Registry of the loss. This will indicate investigation has been completed, the small arm has been confirmed lost or stolen, and ensure a viable audit trail for that WSN. All databases will be updated to maintain synchronization.

(e) The FLIPL is then forwarded to the approving authority identified in the DLA Distribution guidance. Corrective actions must be initiated ensuring CR and FLIPL process control checks are performed. Upon completion, the official record can be changed. However, if the loss or gain is for a small arm in a Total Package Fielding/Unit Materiel Fielding Point, the distribution center must send a partially-completed FLIPL to the Army owner for approval and then complete the above steps to close the investigation.

(3) Bottoms-Up-Reconciliation (BUR): The Army requires DLA to perform an annual system-to-system accountability reconciliation between DSS and the Army Materiel Command's Logistics Support Activity (LOGSA) for Army owned weapons in storage at a DLA facility.

(a) DLA Distribution will coordinate with DLA and LOGSA points of contact on the proposed date for the BUR execution. The SO will notify the local weapons chief and request there be no production processing during the scheduled time of the BUR. Prior to execution of the BUR, the SO will ensure all outstanding research and corrections in DSS and the LOGSA Logistics Information Warehouse (LIW) have been completed and will process all receiving receipt quality checks with listings from LIW.

(b) Asset totals will be conveyed to all interested parties at that time. Phase 1 consists of DLA creating DLMS transactions which are transmitted to LOGSA for input against their system for reconciliation purposes pursuant to guidelines cited in Reference (c).

(c) LOGSA will send DLA Distribution a BUR reject file at the conclusion of their comparison run. This file will be used as input to Phase 2 of the BUR for DLA. There is a three day window where DLA must execute Phase 2 of the yearly BUR. Phase 2 consists of responding to each rejected weapons record and sending LOGSA a DLMS transaction for their use. Any rejected record issued from LOGSA which is not addressable via the system will be put on a report which will require research by the SO on a case-by-case basis.

(d) All data sets are to be retained permanently by DLA. DLA Distribution New Cumberland J4 will then report the results of the yearly BUR to all interested parties. This will complete the annual BUR run.

5. Issue:

a. Off Base Issues: When a Materiel Release Order (MRO) is received, the pick is executed and a KCC inspection is performed. If items are individually packaged, sight verification of

NSNs/WSNs is verified on each packaged item. If multiple assets are consolidated in a single container, the serial numbers on the outside of the container are sight verified. If the seals or bands are broken or show signs of tampering, the container must be opened and the individual WSNs sight verified. If it is determined an item is required to be packed in accordance with a SPI, the materiel will be rerouted to PPP&M for repackaging prior to issue. DSS shall transmit all the WSN data for that shipment to update the DoD Registry. Assets are then forwarded for shipment IAW DoD 4500.9-R (Reference (ac)) and Military Freight Traffic Unified Rules Publication (Reference (ad)) and will be accompanied with a completed DD Form 1907.

b. Issues to Maintenance: When the item manager requests small arms be inducted for repair, the pick is executed and a KCC inspection is performed. Integrity of the pack is verified. If it is a full container and the seals and bands are intact, NSNs/WSNs on the outside of the container are verified against the requesting documentation. If container bands and seals show signs of tampering, a 100% sight verification of each WSN is required. If there is less than a full container and the container is not sealed, NSNs/WSNs on the intermediate pack are verified against the requesting documentation. Once verification is complete, DSS updates the DoD Registry that small arms have been sent to ANAD for repair.

c. Civilian Marksmanship Program (CMP) Issues: If Army assets in storage have been declared excess and no longer required for Army needs, they may be sent to DEMIL for destruction. However, in lieu of DEMIL, Tank Automotive and Armaments Command (TACOM) may offer weapons and weapons parts that are authorized for sale or transfer to the CMP. Upon request from TACOM, DLA Distribution Anniston will provide a cost estimate for the packaging, crating and handling of assets destined for the CMP. TACOM manages funding for the CMP and will coordinate with DLA Distribution Anniston, Alabama, to ensure CMP funding is available. DLA Distribution Anniston shall provide TACOM an advance cost estimate when CMP issues require services not considered regular, physical distribution services. These 'above and beyond' services require distribution time and materials for disassembly of weapons for parts or sale, extensive record-keeping and research, and may include visits from CMP personnel to view and inspect weapons. Also included in this list of 'above and beyond' services is the re-establishment of visibility for returned CMP weapons which require a DLMS MILSTRAP small arms receipt transaction. If assets are offered to CMP, CMP may elect to either pick-up the assets themselves or have them shipped to a CMP warehouse. In the latter instance, TACOM shall provide a transportation funding code to cover the cost of transportation. When shipping to CMP, a Transaction Code "N" is used on the documentation to designate the items are being shipped to a non-DoD entity. DSS records are then updated and the NSNs/WSNs are transmitted to the DoD Registry to update their tracking information. There is one exception to this process. Any weapon listed in the congressional moratorium as specified in ODASD Memorandum (Reference (ae)), shall remain in storage and not be released or issued to either CMP or Disposition Services for DEMIL action until the moratorium has been lifted or the item condition code has been changed to "H".

d. Issues for DEMIL or destruction: This type of issue is considered an On-Base Issue and normal issue procedures are followed. DLA Distribution Anniston, Alabama, shall ensure containers are in good condition but sight verification of NSNs/WSNs is not required unless seals or bands show signs of tampering. If there are signs of tampering, inspection and

verification of container contents down to the secondary pack or to bare metal is required. If the item(s) are classified, DLA Form 27 must accompany the materiel. Once the item is issued to DLA Disposition Services for DEMIL, DSS shall update either the DoD Registry or the Component Registry, as applicable, that small arms have been sent for DEMIL. When item(s) are accepted by the DEMIL facility, it becomes the responsibility of DLA Disposition Services to ensure the DoD and Component Registries are updated on the status of their weapons. There is one exception for issuing weapons for DEMIL or destruction. Any weapon listed in Reference (ae)), will remain in storage and not be released for DEMIL or destruction until the moratorium has been lifted or the item condition code has been changed to "H".

6. Discrepancy Resolution:

a. Item discrepancies are described as material shortages, overages, wrong item, misdirected shipments, incorrect NSNs, etc. When a discrepancy occurs during any phase of the distribution process, including discrepant NSNs/WSNs, a discrepancy report shall be developed and submitted. A discrepancy report is a tool used to report discrepancies in shipments or receipts and requests that appropriate responses and resolution be made. The exchange is to determine the cause of such discrepancies, implement corrective actions, and prevent recurrence of actions which led to the discrepancy.

b. There are three types of discrepancy reports used by the distribution center. A Transportation Discrepancy Report (TDR), DD Form 361, is submitted for discrepancies involving transportation or shipments. A Product Quality Discrepancy Report (PQDR), SF Form 368, is issued by or on behalf of the item manager for discrepancies involving the quality of the item itself. When this occurs, coordination is required with transportation and quality assurance personnel to prepare the discrepancy report. However, the most common discrepancy report used and submitted at the distribution centers is the Supply Discrepancy Report (SDR), SF Form 364 and was formerly referred to as a Report of Discrepancy or ROD. For example, discrepancies in a receipt may be discovered during the materiel acceptance process or while performing the KCC materiel inspection, and require submission of an SDR. For discrepancies found during the various phases of distribution, i.e. receiving, storage, packaging and packing, shipping, etc., use the DoD WEBSDR, a web based SDR program, to report the discrepancy. Posting on the web enables all parties to see the status of the discrepancy.

c. NSN/WSN discrepancies on weapons are most often discovered at time of receipt although some are not detected until an inventory is performed or when an item is selected and picked for movement or shipment. NSN/WSN discrepancies must be researched by the Anniston SO, deficiencies corrected with the correct NSN and/or WSN, and results reported to the DoD Registry. The purpose of this research is to identify and successfully track each small arms weapon, by both NSN and WSN, throughout the entire distribution process and to ensure the DoD Registry has the correct information and location of each weapon in inventory. Detailed Standard Operating Procedures (SOPs) for correcting NSN/WSN discrepancies have been developed by DLA Distribution Anniston, Alabama, and are used by distribution center personnel to maintain the integrity of the tracking process. Discrepancies involving serialization can only be corrected through the Serialization Office.

7. Serialization Procedural Requirements: The Anniston Serialization Office is the distribution single point of contact with the DoD Registry for all SA/LW materiel under the custody of DLA Distribution. As such, they shall direct all transactions for corrective actions related to requesting an NSN, WSN, Document Number, verification of mismatches with receiving documentation such as the Issue, Release, Receipt Document, DD Form 1348-1A, and the assignment of unreadable WSNs. Actions by the Serialization Office during a BUR are found in paragraph 4d(3) of this enclosure.

a. Receiving personnel may designate materiel as frustrated due to a missing NSN or WSN, lack of a Document Number, mismatched NSNs or WSNs on accompanying documentation, or mutilated, obliterated or illegible serialization.

(1) When the NSN or WSN is missing, receiving personnel will provide photos and as much identifying information as possible to the SO to begin research procedures. The first step in research is to query the Web LIW. If unable to identify the NSN here, small arms without an NSN, except for museum pieces, shall be reported to the DoD Registry, who in turn shall coordinate with the DoD Component Registry and the applicable item manager, for review and assignment of a temporary Management Control Number (MCN). A Local Control Number or a MCN shall not replace or be used in lieu of procedures to request assignment of a viable and complete NSN.

(2) The SO will coordinate via email to the DoD Registry or the item manager and provide photos of the weapon and a description stating the make, model, caliber, and other nomenclature type data. Once research is complete and a NSN or WSN is assigned and reported back to the SO, findings and instructions shall be e-mailed to the Receiving Department to enable this frustrated materiel to complete the receiving process.

(3) When the SO receives a request from the Receiving Department for a document number, the DoD Registry is notified and asked to verify a customer's "S" track or shipping Department of Defense Activity Address Code (DoDAAC). If the document number is identified, the SO returns the results to the receiving supervisor or work leader to enable the receipt process to be completed. If the document number is not found, the SO queries the Army Loan Tracking System (ALTS). If the document number cannot be found in ALTS, the SO researches the Property Book Unit Supply Enhanced (PBUSE) screen with the WSN or NSN. If the document number still cannot be identified, the SO shall contact the item manager responsible for that specific NSN and request disposition. The item manager shall either provide the document number or give permission to process the materiel using a local document number. If this occurs, the SO informs the receiving supervisor or work leader to process the materiel using an in-house document number that includes the current Julian Date and the processors initials followed by 01; or to use the DoDAAC the materiel is shipped from with the Julian Date and the processors initials followed by 01.

b. Item managers may request changes to the NSNs or Owner RICs listed in DSS for weapons they have in storage. When this occurs, the item manager will pass the request to the SO who notifies the storage area supervisor that a change needs to be made. Materiel is then picked from its primary location and moved to a COSIS location for action. After COSIS has

been completed, the SO will make the changes to the NSNs in DSS. Once this process is completed, the SO shall notify the weapons supervisors or work leaders, via email, to reprint the serial number listing, apply new trigger tags with newly assigned NSNs to the materiel, update the activity cards, and re-stow the material. During this process, DSS will maintain the integrity of each WSN's location.

GLOSSARY

PART I. ABBREVIATIONS AND ACRONYMS

AIT	Automated Information Technology
ALTS	Army Loan Tracking System
ANAD	Anniston Army Depot
AO	Accountable Officer
BUR	Bottoms-Up-Reconciliation
CIIC	Controlled Inventory Item Code
CCMD	Combatant Commands
CMP	Civilian Marksmanship Program also known as Corporation for the Promotion of Rifle Practice and Firearms Safety
COSIS	Care of Supplies in Storage
CR	Causative Research
DEMIL	Demilitarization
DLMSO	Defense Logistics Management Standards Office
DoDAAC	Department of Defense Activity Address Code
DoD SASP	Department of Defense Small Arms Serialization Program
DSS	Distribution Standard System
EBS	Enterprise Business System
FLIPL	Financial Liability Investigation of Property Loss
FLO	Financial Liability Officer
IAW	In Accordance With
IAV	Inventory Adjustment Voucher
IRRD	Issue, Release/Receipt Document (e.g., DD Form 1348-1A, etc.)
IUID	Item Unique Identification
JSA/LWCG	Joint Small Arms/Light Weapons Coordinating Group
KCC	Kind, Count and Condition (Inspection)
LOGSA	U.S. Army Materiel Command Logistics Support Activity
MCN	Management Control Number
MILSTRAP	Military Standard Transaction Reporting and Accounting Procedures
MMR	DoD Supply Chain Materiel Management Regulation (DOD 4140.1)

ODASD	Office of the Deputy Assistant Secretary of Defense
ODASD (SCI)	Office of the Deputy Assistant Secretary of Defense, Supply Chain Integration
PBUSE	Property Book Unit Supply Enhanced
PPP&M	Preservation, Packaging, Packing and Marking
RCN	Receipt Control Number
RIC	Routing Identification Code
ROD	Report of Discrepancy
SA/LW	Small Arms/Light Weapons
SASP	Small Arms Serialization Program (DSS System)
SDR	Supply Discrepancy Report (i.e., SF 364)
SO	Serialization Officer
SPI	Special Packaging Instruction
TACOM	Tank Automotive and Armaments Command
UII	Unique Item Identifier
UIT	Unique Item Tracking
UITC	Unique Item Tracking Committee
WAWF	Wide Area Work Flow
WEBSDR	Web Supply Discrepancy Report
WEBLOG	Web Logistics (Army Component Registry System)
WSN	Weapon Serial Number

PART II. DEFINITIONS

Army Loan Tracking System (ALTS). A system database available to users in the loan community such as customers, loan officers, item managers, program managers, HQ Army, Army Materiel Command, etc. It provides status and reports on loan or lease materiel, speeds up the delivery of materiel and provides enhanced customer support and aid in tracking materiel. It is used as a location to find the original document number when it is missing on receipt documentation.

Blind Inventory Counts. Inventory counts taken when the inventory counter is provided with location information but has no access to inventory quantity information in DSS.

Box/Row Count. An inventory methodology used by the inventory counter when all boxes in a row are sealed and have the same quantity content. There is no requirement to open the box

unless there is evidence the seal has been comprised. If the seal is compromised, NSN/WSN verification of entire container contents must be performed.

Controlled Inventory Item Code. The code that represents the security classification and/or security risk or pilferage controls for items of supply in storage or transportation.

Defense Logistics Management Systems (DLMS). 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 Electronic Data Interchange and will be expanded to support emerging Electronic Business or Electronic Commerce capabilities such as: data sharing, AIT, object-oriented user interfaces, electronic malls, web-based technology, and electronic funds transfer, as appropriate.

Defense Logistics Standard System (DLSS). A broad base of logistics transactions and standards consisting of fixed-length DOD-unique standards designed to meet DOD's requirements for logistics support.

DLA Component Registry. An automated repository of small arms serial number data down to the lowest accountable DLA field activity, and maintained by the DLA Disposition Services at Battle Creek, Michigan.

DoD Registry. A consolidated, automated repository of small arms serial number data down to the DoD Component activity level, maintained by the U.S. Army Material Command, Logistics Support Activity (LOGSA). Serial number records are compiled and updated from data furnished by the DLA Component Registry and DoD Component Registries.

DoD Component Registries. Automated repositories of small arms serial number data down to the lowest accountable component activity, maintained by each of the Service Components. This information is consolidated into the DoD Registry.

DoD Small Arms Serialization Program (DoD SASP). A program that provides special emphasis on, and visibility of, small arms by tracking, validating, and registering the status of each small arm by serial number and physical custodian. The DoD developed the DoD SASP in 1975 to satisfy statutory requirements to establish and maintain visibility over small arms from point of entry into the DoD logistics systems through disposal and demilitarization or shipment outside the control of DoD (i.e., "cradle to grave" tracking).

DoD Unique Item Tracking Committee (UITC). The joint committee chartered by the DoD Supply Chain Materiel Management Regulation (MMR) 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 to Unique Item Tracking (UIT) program concepts and technology. For additional information about the DoD UITC, please see the DoD Supply Chain MMR, <http://www.dtic.mil/whs/directives/corres/html/414001r.htm>, Chapter 5, paragraph C5.7.3 and the UITC Charter, Appendix 10. For DoD UITC committee member's meeting schedule and minutes of past meetings, please refer to the DLMSO Home Page. The UIT Committee will be absorbed by the IUID Program once it is implemented.

Gun Control Act of 1968 (as amended). This act governs who may purchase a privately owned weapon and regulates interstate commerce for firearms. It made it mandatory for any firearm manufactured in the United States to have a serial number engraved on it and made it illegal to purchase military surplus weapons in a foreign country.

Joint Small Arms/Light Weapons Coordinating Group (JSALWCG). The joint committee chartered by the DoD Supply Chain MMR for continuous improvement of the DoD SASP, identification of inter-Component problems, and the formulation of workable solutions to those problems. For additional information about the DoD JSALWCG, please see the DoD Supply Chain, MMR <http://www.dtic.mil/whs/directives/corres/html/414001r.htm>, Chapter 5, paragraph C5.7.4.2 and the JSALWCG Charter, Appendix 11. For DoD JSALWCG meeting schedule and minutes of past meetings, please refer to the DLMSO Home Page.

Qualifying Small Arm Loss or Gain. Criteria for determining which categories of small arms losses or gains require mandatory CR are: any classified or sensitive item regardless of dollar value; an item with a CIIC equal to “2,” “3,” “4,” “5,” “6,” or “8;” an item with a CIIC equal to “J” or “N”; pilferable small arm adjustments greater than \$2,500; uncontrolled item adjustments between \$5,000 and \$16,000 with a unit variance greater than 25 percent; and all uncontrolled item adjustments greater than \$16,000.

Sight Verification. Sight verification is a term used when a person(s) examines human readable interpretation product markings affixed to the UIT program item (e.g., data plate, etching, etc.) to verify the UII and compares it to UIT data uploaded from an AIT device on the product or accompanying shipping documentation. Uploading the UII from the AIT device will not constitute sight verification.

Small Arms/Light Weapons. For the purpose of DoD SA/LW reporting, SA/LW are defined as man-portable weapons made or modified to military specifications for use as lethal instruments of war that expel a shot, bullet or projectile by action of an explosive. Small arms are broadly categorized as those weapons intended for use by individual members of the armed or security forces. They include handguns; rifles and carbines; sub-machine guns; and light machine guns. Light weapons are broadly categorized as those weapons designed for use by two or three members of the armed or security forces serving as a crew, although some may be used by a single person. They include heavy machine guns; hand-held under-barrel and mounted grenade launchers; portable anti-aircraft guns; portable anti-tank guns; recoilless rifles; man-portable launchers of missile and rocket systems; and mortars.

Unique Item Identifier Validation. Comparison of the UII on exterior or unit pack markings with accompanying source documentation, e.g., shipper’s UII listing.

Unique Item Tracking System. All systems relevant to the unique identification and tracking of items of supply throughout the DoD 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 Systems.

UIT Central Registry/DoD Registry/Army Component Registry. The UIT Team at the USAMC LOGSA Logistics Information Center (LIC) executes the DOD Registry mission for all Army UIT programs, as well as the DoD SASP Central Registry and collocated Army Component Registry. These registries are collectively referred to as the DoD Registry.

Unresolved Small Arms Loss or Gain. Small arm loss or gain for which causative research resulted in no conclusive findings. A Financial Liability Investigation of Property Loss is required for qualifying unresolved small arms losses or gains.

Wide Area Work Flow (WAWF). A secure web base system for electronic invoicing, receipts and acceptance. It allows government vendors to submit and track invoices electronically.

Weapons Serial Number (Small Arms/Light Weapons Serial Number). The total series of characters appearing on the firing component part of SA/LW.

Weapons Serialization Program. Program implemented to provide tracking and reporting of SA/LW and their components by their WSN in addition to the national stock number.