



DEFENSE LOGISTICS AGENCY
HEADQUARTERS
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FORT BELVOIR, VIRGINIA 22060-6221

May 18, 2015

MEMORANDUM FOR SUPPLY PROCESS REVIEW COMMITTEE (PRC) MEMBERS
AND JOINT SMALL ARMS/LIGHT WEAPONS COORDINATING GROUP
(JSA/LWCG)

SUBJECT: Proposed Defense Logistics Management Standards (DLMS) Change (PDC) 1167,
Small Arms Light Weapons (SA/LW) Unique Item Identifier (UII) and Ship Rule
with Administrative Updates (SA/LW/Supply)

We are forwarding the attached proposed DLMS change to DLM 4000.25, Defense Logistics Management Standards, for evaluation and submission of a single coordinated Service/Agency position. It is the responsibility of the Component Supply PRC representative to ensure full coordination of the proposal within your Component.

Request you review the attached proposed change and provide your comments/concurrence to the Defense Logistics Management Standards Office (DLMSO) not later than **30** days from the date of this memorandum. If nonconcurrence is provided, please provide an alternate method to meet the requirement being addressed.

Addressees may direct questions to MAJ John Burnett, JSA/LWCG Chair, 703-767-6295, DSN 427-6295 or email: john.burnett@dla.mil; or Mary Jane Johnson, MILSTRAP Administrator, 703-767-0677 or DSN: 427-0677 or email to: mary.jane.johnson@dla.mil. Others may direct questions to their Component designated Supply PRC representative listed at: <https://www2.dla.mil/j-6/dlmsso/CertAccess/SvcPointsPOC/allpoc.asp>.

A handwritten signature in black ink, appearing to read "Donald C. Pipp", is written over the typed name.

DONALD C. PIPP
Director
Defense Logistics Management
Standards Office

Attachment
As stated

cc: ODASD (SCI)

PDC 1167
Small Arms/Light Weapons (SA/LW) Unique Item Identifier (UII)
and Ship Rule with Administrative Updates

1. ORIGINATING SERVICE/AGENCY AND POC INFORMATION: Defense Logistics Management Standards Office (DLMSO), Major John Burnett, Joint Small Arms/Light Weapons Coordinating Group (JSA/LWCG) Chair.

2. FUNCTIONAL AREA:

a. Primary/Secondary Functional Area: Supply/Small Arms and Light Weapons Visibility

b. Primary/Secondary Functional Process: Serial Number Registration and Reporting

3. REFERENCES:

a. [Defense Logistics Manual \(DLM\) 4000.25](#), Defense Logistics Management Standards, Volume 2, Chapter 18, Small Arms and Light Weapons Serial Number Registration and Reporting.

b. [DLM 4000.25-2, Chapter 12](#), Military Standard Transaction Reporting and Accountability Procedures (MILSTRAP), Small Arms and Light Weapons Serial Number and Registration

c. [DOD Manual \(DODM\) 4140.01](#), Volume 11, DoD Supply Chain Materiel Management Procedures: Management of Critical Safety Items, Controlled Inventory Items Including Nuclear Weapons-Related Materiel, February 10, 2014

d. “DOD Time Standards for Order Process and Delivery” document available at https://scitools.lmi.org/TDD_Standard/TDD_Standard_Script.pdf

e. [DoDM 5200.01](#), DOD Information Security Program, February 24, 2012

f. [DLM 4000.25 Volume 2, Chapter 19](#), Unique Item Tracking

g. [DLAI 4140.05](#), Small Arms Light Weapons Serial Number Reporting and Tracking by DLA Distribution, January 7, 2015

h. [DODM 5100.01](#), DOD Information Security Program, February 24, 2012

i. [DLAI 1301](#), Assignment of Transportation Priority and Determination of Delivery Time Standards, September 11, 2009.

j. [ADC 1030](#), Implementation of Item Unique Identification (IUID) in the DLMS Shipment Status Supporting DOD IUID Supply Procedures and Associated Supply Discrepancy Report (SDR) Procedures, February 21, 2013

4. REQUESTED CHANGE(S):

a. Overview of Change:

(1) This change proposes updates to DLM 4000.25, Volume 2, Chapter 18 and DLM 4000.25-2, Chapter 12, (reference 3.a. and 3.b.) regarding the procedures for DOD Small Arms/Light Weapons Serialization Program (DODSA/LWSP) in support of DOD 4140.01, Volume 11 (reference 3.c.), item unique identification (IUID) policy for SA/LW.

(2) This change revises the Continental United States (CONUS) Ship Timeframe in accordance with TDD standards and the Uniform Materiel Movement and Issue Priority System (UMMIPS) (reference 3.d.).

(3) This change incorporates administrative updates to further align DLMS, Volume 2, Chapter 18, with DLM 4000.25-2, Chapter 12, (reference 3.b.).

(4) This change moves a reference to the unique item tracking (UIT) designator requirement specific to SA/LW to the appropriate location.

(5) This change updates references to DOD 5200.1-R, DOD Information Security Program, that has been cancelled and reissued as DODM 5200.01 (reference 3.h.) in DLMS Volume 2, Chapter 18.

b. Background:

(1) The February 2014 issuance of DODM 4140.01, DOD Supply Chain Materiel Management Procedures, Volume 11, revised policy for SA/LW to addresses reporting by unique item identifier (UII). This policy change impacts the DLMS Volume 2 procedures for SA/LW.

(2) Unique item tracking (UIT) enables tracing lifecycle management events related to acquisition, property accountability, storage, operation, maintenance, safety, physical security, retirement, and disposal of each individual item, applicable to SA/LW. DOD policy requires UIT for managing select populations of items that the DOD has a critical need to account for at the item level, of which the DOD Small Arms and Light Weapons Serialization Program (DODSA/LWSP) is one.

(3) TDD standards are based on customer location. Each major location (CONUS, United States Africa Command (AFRICOM), U.S. Central Command (CENTCOM), U.S. Northern Command (NORTHCOM), United States European Command (EUCOM), United States Pacific Command (PACOM), and United States Southern Command (SOUTHCOM) may be further divided into different regional standards. (Reference 3.d.).

c. Describe Requested Change in Detail:

(1) Modify DLM 4000.25 Volume 2, Chapter 18, to implement DODM 4140.01, Volume 11, requirements for SA/LW tracking and reporting by UII. These changes also reference DLM 4000.25, Volume 2, Chapter 19, Unique Item Tracking requirements for SA/LW UIT (reference 3.c.).

(2) Remove the specific guidance for **intra-service** delivery of 30 day ship CONUS rules and replace with shipment timeframes established in accordance with time definite delivery (TDD) standards (see reference 3.d.). In the absence of TDD standards, shipment must be in accordance with UMMIPS.

(3) Incorporate administrative updates that align DLM 4000.25-2, Chapter 12, Small Arms and Light Weapons Serial Number and Reporting, into DLMS Volume 2, Chapter 18, Small Arms and Light Weapons Serial Number Registration and Reporting.

(4) Removes reference to UIT indicator requirements for SA/LW from DLMS, Volume 2, Chapter 19 and move language to DLMS Volume 2, Chapter 18.

(5) Administrative update to replace reference to DOD 5200.1-R, DOD Information Security Program, that has been cancelled and replaced with the DODM 5200.01 in DLMS Volume 2, Chapter 18. DODM 5200.01 was reissued in February 24, 2012 (reference .

b. Revisions to DLM 4000.25 Manuals:

(1) Update DLMS 4000.25 Volume 2, Chapter 18, in accordance with (reference 3.c.) and under the authority, direction, and control of the USD(AT&L), the ASD(L&MR) that develops policy and oversees the operation of the DOD Small Arms and Light Weapons Serialization Program (DoDSA/LWSP), including the JSA/LWCG, as shown in enclosure 3. Also make comparable changes to DLM 4000.25-2, MILSTRAP, Chapter 12, Small Arms and Light Weapons Serial Number Registration and Reporting as shown in enclosure 1.

(2) Update the UMMIPs Time Standard hyperlink in DLM 4000.25-1, Military Standard Requisitioning and Issue Procedures (MILSTRIP), AP2.14. Appendix 2.14 Priority Designators, Standard and Required Delivery Dates as shown in enclosure 2.

(3) Update the UMMIPs Time Standards in DLM 4000.25, Volume 2, Chapter 18, Small Arms and Light Weapons Serial Number Registration and Reporting, as shown in enclosure 3.

(4) Update DLM 4000.25, Volume 2, Chapter 18, Small Arms and Light Weapons Serial Number Registration and Reporting, as shown in enclosure 3.

(5) Update DLM 4000.25, Volume 2, Chapter 19, Unique Item Tracking as shown in enclosure 4.

(6) Update reference to DOD 5200.1-R, DOD Information Security Program, that has been cancelled and reissued as DODM 5200.01 in DLMS Volume 2, Chapter 18, as shown in enclosure 3.

c. Transaction Flow: No Change

d. Alternatives: N/A

5. REASON FOR CHANGE: Supports the implementation of the DOD UIT Supply Policy, in accordance with Reference 3.c. and under the authority, direction, and control of the USD(AT&L), the ASD(L&MR): Develops policy and oversees the operation of the DOD SA/LWSP, including the JSA/LWCG.

6. ADVANTAGES AND DISADVANTAGES:

a. Advantages: Updates documentation to reflect current regulations and associated references, in accordance with Reference 3.c. and under the authority, direction, and control of the USD(AT&L), the ASD(L&MR): Develops policy and oversees the operation of the DODSA/LWSP, including the JSA/LWCG. Also, updates the CONUS ship rules to rules to reflect the requirements of CONUS shipment within 5 days.

b. Disadvantages: None noted.

7. ESTIMATED TIME LINE/IMPLEMENTATION TARGET: Upon publication of this ADC.

8. ESTIMATED SAVINGS/COST AVOIDANCE ASSOCIATED WITH IMPLEMENTATION OF THIS CHANGE: None identified.

9. IMPACT:

a. DLMS Data Elements: There are no new data elements or changes to existing data elements introduced by this PDC.

b. Automated Information Systems (AIS): Verification required.

Staffing note: All components confirm that supply and SA/LW systems are capable of managing SA/LW by UII.

c. DLA Transaction Services: None

d. Non-DLA Logistics Management Standards Publications: Components to make comparable updates to publications with the SA/LW references.

Enclosure 1, DLMS Manual Revisions

Revise DLM 4000.25-2 (MILSTRAP), Chapter 12, Small Arms and Light Weapons Serial Number Registration and Reporting, as follows:

C12. CHAPTER 12

SMALL ARMS AND LIGHT WEAPONS ~~SERIALIZATION~~ ~~PROGRAM SERIAL NUMBER~~ REGISTRATION AND REPORTING

Preceding text not shown...

C12.7.4.1.4. *For CONUS, ship in accordance with time definite delivery (TDD) and in the absence of TDD ship in accordance with Uniform Materiel Movement and Issue Priority System (UMMIPS). If the CONUS timeframe is exceeded, shipping Component Registry will initiate coordination to determine the status of the outstanding SA/LW Control Reporting Transactions with SA/LW Transaction Code S. If ~~30 calendar days from date of shipment for CONUS and~~ 90 calendar days for overseas is exceeded, the shipping Component Registry will initiate coordination to determine the status of the outstanding S transaction(s) (see paragraph C12.8.2.) (for receiving Component Registry procedures, see paragraph C12.8.3.). A monthly overage shipment listing will also be sent to the receiving Component Registry.*

Intervening text not shown...

C12.8.2. The shipping Component Registry will take follow-up action for all in-transit weapons *once the timeframe exceeds standards (prescribed above for CONUS) and ~~30 calendar days for CONUS shipments and~~ 90 calendar days for overseas shipments) from date of shipment, for which no confirmation of receipt (DIC DSM with SA/LW Transaction Code R) has been received. DIC DSD SA/LW Receipt/Shipment Follow-Up (Appendix AP3.34) will be transmitted to the receiving Component Registry. The transaction date (record positions 76-80) will be the 2-digit year and 3-digit ordinal day of the calendar year that the weapon(s) was shipped. Allow 10 calendar days for response to the follow-up transaction.*

Intervening text not shown...

C12.8.4. The standard timeframes for inter-DoD Component submission of SA/LW Transaction Codes R and S as prescribed above also apply to intra-DoD Component shipments and receipts.

Enclosure 2, DLMS Manual Revisions

DLM 4000.25-1 (MILSTRIP), AP2.14. Appendix 2.14 Priority Designators, Standard and Required Delivery Dates

AP2.14.11. RDD Data Field. Requisitioning activities, after determining the appropriate PD applicable to requisitions, will determine the appropriate entry for the RDD data field. The combination of the PD and the designation or non-designation of an RDD or other allowable entry for rp 62-64, as stated in this appendix, will determine the supply and transportation system response time requirements. Response times are located in ~~DoD 4140.1-R, Appendix AP8,~~ UMMIPS Time Standards http://www.acq.osd.mil/log/sci/policy_vault.html (see *Aggregate TDD Standards link*)

Enclosure 3, DLMS Manual Revisions

Revise DLM 4000.25, Volume 2, Chapter 18, Small Arms and Light Weapons Serial Number Registration and Reporting, as follows:

C18. CHAPTER 18

SMALL ARMS AND LIGHT WEAPONS *SERIALIZATION* ***PROGRAM SERIAL NUMBER* REGISTRATION AND** **REPORTING¹**

C18.1. SCOPE.

C18.1.1. Applicability. *In accordance with DODM 4140.01, Volume 11 policy*, the provisions of this chapter apply to the DoD Components responsible for inventory management of small arms and light weapons (SA/LW) and other activities involved in the shipment, registration, or receipt of SA/LW.

C18.1.2. Transactions. This chapter addresses the item *unique identification (IUID)* procedures applicable to SA/LW unique item identifier (*UII*), *when available, and/or serial number* registration and reporting *data* using the DLMS 140A and 888A transactions. The corresponding Military Standard Transaction Reporting and Accounting Procedures (*MILSTRAP*) legacy transaction functionality is identified for information purposes in a mixed Defense Logistics Standard System (DLSS)/Defense Logistics Management System (DLMS) environment. Other formats, such as DLMS Extensible Markup Language (XML), are also available. See the DLA Logistics Management Standards Website www.dla.mil/j-6/dlms/eLibrary/TransFormats/140_997.asp for available formats. This chapter contains the *DoD SA/LW Serialization Program Unique Item Tracking (UIT) procedures. The Federal Logistics Information System (FLIS) UIT Designator Code AAA represents the DoD Small Arms and Light Weapons Serialization Program (DoDSALWSP). The Components must apply UIT Designator AAA to SA/LW national item identification numbers (NIINs). The DoD SA/LW Serialization Program, UIT Designator Code AAA, uses the following DLMS transactions for SA/LW UIT, identified in Table C18.T1.*

Table C18.T1. DoD SA/LW Serialization Program UIT transactions

Transaction	Title
140A	Small Arms and Light Weapons Reporting
888A	Small Arms and Light Weapons Data Change

¹ Refer to DoDM 4140.01 , February 10, 2014, for DoD IUID program guidance.

C18.1.2.1. DLMS 140A, SA/LW Reporting, is used for the following transaction functions identified by the Accredited Standards Committee (ASC) X12 beginning segment (1/BGN/20) Transaction Type Code (BGN07) and, where applicable, Action Code (BGN08):

C18.1.2.1.1. SA/LW Control Reporting Transaction is identified by Transaction Type Code W4 – Weapons² Control Report. This transaction provides MILSTRAP legacy Document Identifier Code (DIC) DSM functionality.

C18.1.2.1.2. SA/LW Receipt/Shipment Follow-up Transaction is identified by Transaction Type Code W4 – Weapons Control Report, with Action Code T – Status Query. This transaction provides MILSTRAP legacy DIC DSD functionality.

C18.1.2.1.3. SA/LW Reconciliation Transaction is identified by Transaction Type Code W5 – Weapons Control Report Reconciliation. This transaction provides MILSTRAP legacy DIC DSR functionality when DSR is used as reconciliation transaction.

C18.1.2.1.4. SA/LW Reject Transaction is identified by Transaction Type Code W5 – Weapons Control Report Reconciliation, with Action Code U – Reject. This transaction provides MILSTRAP legacy DIC DSR functionality when DSR is used to reject invalid/erroneous SA/LW transactions.

C18.1.2.1.5. SA/LW Reconciliation/Reject Follow-up Transaction is identified by Transaction Type Code W5 – Weapons Control Report Reconciliation, with Action Code T – Status Query. This transaction provides MILSTRAP legacy DIC DSF functionality.

C18.1.2.1.6. SA/LW Correction Transaction is identified by Transaction Type Code W5 – Weapons Control Report Reconciliation, with Action Code AC – Acknowledge. This transaction provides MILSTRAP legacy DIC DSC functionality.

C18.1.2.2. DLMS 888A. SA/LW Data Change Transaction is identified by ASC X12 beginning segment (1/BGN07/15) Transaction Type Code W1 – Weapons Data Change. This transaction provides MILSTRAP legacy DIC DSA/DSB functionality.

C18.2. GENERAL REQUIREMENTS

C18.2.1. Purpose. This chapter provides procedures for reporting SA/LW **UII and/or** serial number data between the DoD Components and the DoD SA/LW Registry (hereafter referred to in this chapter as the DoD Registry). SA/LW, as defined in Definitions and Terms, including those mounted on aircraft, vehicles, and vessels, that are accounted for in unclassified property records, will be reported (included will be foreign and commercial weapons, museum pieces with serial numbers, and captured, confiscated, or abandoned enemy SA/LW in the possession of the Department of Defense).

C18.2.2. Unique Item Tracking required for SA/LW. SA/LW must also meet the requirements described in DLMS Volume 2, Chapter 19 for assignment of a UIT designator

² From this point forward “weapons” is synonymous with SA/LW when used as Transaction Type Code text.

code, assignment of the IUID Indicator Y (yes), and transition from uniquely identifying items by serial number to the use of UII as required by DOD policy.³ Existing DoD level (inter-DoD Component) UIT programs are identified in paragraphs C19.25 and C19.26.

C18.2.2.1. DoD Components will transition from uniquely identifying SA/LW items by serial number to the use of UII and use UII for all items in approved Unique Item Tracking (UIT) program.⁴

C18.2.2.2. DoD components will include UII in functional databases to enable information sharing and information access to achieve collaboration between and among already existing, or emerging, SA/LW item management systems.⁵

C18.2.3. SA/LW Unique Item Tracking Designator Codes. The Federal Logistics Information System (FLIS) is the authoritative source for UIT designator codes. The UIT designator code indicates that an item is part of an established UIT program. .

C18.2.3.1. SA/LW items must be assigned UIT Designator AAA⁶ found in Table C19.12T5

C18.2.4. List of Unique Item Identifier and/or Serial Numbers in Shipments. In addition to the shipment requirements contained in this volume, the shipping activity will send a listing of the ~~weapon~~ SA/LW UIIs and/or serial numbers contained in each shipment with the shipment documentation accompanying SA/LW shipments between the DoD Components. When shipments consist of multiple containers, the listing will identify which UIIs and/or serial numbers are within each container.

C18.2.5. Small Arms and Light Weapons Without a National Stock Number and/or Serial Number. When discovered, SA/LW without a national stock number (NSN) and/or SA/LW (except museum pieces) with missing, obliterated, mutilated, or illegible UIIs and/or serial numbers, will be reported to the DoD Registry by the Component Registry for review and assignment of a management control number (MCN)/NSN and/or serial number. Assignment of local control number (LCN) or MCN will not replace or be used in lieu of procedures to request assignment of an NSN where applicable. The Component Registry will report all SA/LW without an NSN and/or SA/LW UII and/or serial number, by message or letter, for assignment of a UII and/or serial number and/or NSN in the format in Table C18.T1 below:

³ See DODM 4140.01, Volume 11

⁴ Ibid.

⁵ Ibid.

⁶ Refer to Table C19.T5. Unique Item Tracking Designator Codes

C18.T2. <u>Format To Report Small Arms and Light Weapons Without a National Stock Number/<i>UII</i>/Serial Number</u>			
<u>NSN</u>	<u><i>Unique Item Identifier</i></u>	<u>Serial Number</u>	<u>Description</u>
(NSN or none)	<i>(Unique Item Identifier or none)</i>	(Serial Number or none)	(Make, model, caliber, and other nomenclature)

C18.2.6. Management Control Number/Local Control Number. MCNs/LCNs will be used by the DoD Components for weapon identification until a valid NSN can be obtained from the DoD Registry in accordance with C18.2.3, or notification that the MCN/LCN will not be assigned an NSN.

C18.2.7. Lost, Abandoned, or Unclaimed Privately-Owned. Lost, abandoned, or unclaimed privately-owned SA/LW that are processed through a Board of Officers for actions described in [DoD 4160.21-M](#), “Defense Materiel Disposition Manual,” Chapter 4, and later turned into a DLA Disposition Services Field Office, will be registered immediately when they come under U.S. Government control.

C18.2.8. Nonappropriated Funded. Nonappropriated funded SA/LW turned in to a DLA Disposition Service Field Office and privately owned weapons classified as claims property will be registered immediately when they come under the control of the Department of Defense. SA/LW that are claimed (private property whose title has passed to the Department of Defense as a result of a claim against the U.S. Government due to its damage in connection with U.S. Government activities, usually movement of household goods) and confiscated (private property whose title has passed to the Department of Defense as a result of being confiscated by appropriate authority, usually as a result of being abandoned and/or unauthorized for personal possession) by DoD activities will be reported immediately to the Component Registries.

C18.2.9. Ceremonial/Training. The DoD Components will obtain a new NSN (or currently assigned NSN) from the DoD Registry for modified weapons rendered inoperable that are used for ceremonial or training purposes. These weapons will be retained on the Component Registries as weapons subject to the reporting criteria.

C18.2.10. Lost, Stolen, and/or Recovered. The DoD Components will establish procedures to ensure reporting of lost, stolen, unaccounted, and/or recovered SA/LW under the provisions of [DoDM 5100.76](#), “Physical Security of Sensitive Conventional Arms, Ammunition, and Explosives”.

C18.2.11. Mobilization. In the event of mobilization or other emergency, the DoD Registry and the Component Registries will continue to operate and be maintained. SA/LW Transaction Code J (Emergency Suspense Status) may be used in emergency situations as authorized by the individual DoD Components.

C18.2.12. Enemy Small Arms and Light Weapons. Captured, confiscated or abandoned enemy SA/LW in the possession of the Department of Defense as a result of military actions will be registered. SA/LW may be of foreign or domestic manufacture and may include recaptured US military SA/LW.

C18.2.13. Reporting Foreign Weapon Serial Numbers.

C18.2.13.1. When reporting foreign weapons' serial numbers that contain unidentifiable characters (non-English alpha characters/non-Arabic numerals) that can be translated into an alpha/numeric equivalent, the translated serial number will be permanently inscribed on the weapon. When the foreign-weapon serial number cannot be translated into alpha/numeric equivalents, the DoD Component will contact the DoD Registry for assignment of a serial number. Upon assignment of a serial number, the DoD Component will permanently inscribe the newly assigned serial number on the weapon.

C18.2.13.2. The translated or assigned serial number of the historical weapon must be reported to the Component and DoD Registries in accordance with reporting requirements of this document.

C18.2.13.3. Foreign weapons designated by their Component Registry as having historical value are exempt from the requirement to have translated or assigned serial numbers permanently inscribed, since inscription would destroy the historical value of the weapon.

C18.3. OBJECTIVES

C18.3.1. Establish continuous visibility over all SA/LW by **UII and/or** serial number from the contractor to depot; in storage; in transit to requisitioners; in post, camp, and station custody; in the hands of users; during turn-ins; in renovation; and during disposal/demilitarization.

C18.3.2. Interface the SA/LW **UII and/or** serial number reporting between the DoD Components using standard procedures.

C18.3.3. Provide follow up procedures for delinquent shipment/receipt transactions.

C18.3.4. Provide SA/LW records reconciliation procedures.

C18.3.5. Provide law enforcement agencies, within 72 hours, the identification of the last known accountable activity having a specific **UII and/or** serial-numbered SA/LW.

C18.4. EXCLUSIONS

C18.4.1. Nonappropriated Funds Purchases. SA/LW purchased with non-appropriated funds and privately-owned weapons are exempt from being reported to the DoD Registry since these weapons are controlled by civil authorities under the [Gun Control Act of 1968](#). This does not include weapons turned in for disposal (see paragraphs C18.2.5 and C18.2.6 above).

C18.4.2. Classified Activities. Classified activities that determine that specific SA/LW should not be registered under these procedures will request guidance through appropriate channels from the DoD Component.

C18.4.3. Deviations. Deviations from these requirements by DoD activities with small static inventories require concurrence of the Joint Small Arms/Light Weapons Coordinating Group (JSA/LWCG) and approval of the JSA/LWCG Chair. Submit requests for deviations, to include appropriate justification, via electronic mail to DLA Logistics Management Standards at www.dla.mil/j-6/dlms0/About/Comment/comment_form.php or by traditional mail to:

~~DLA~~ Defense Logistics Management Standards Office ~~J-62~~
J621D ROOM 1650
Defense Logistics Agency J6
JSA/LWCG Chair
8725 John J Kingman Road, STOP 6205
FORT BELVOIR, VA 22060-6217.

C18.5. DELINEATION OF RESPONSIBILITIES

C18.5.1. DoD Registry. The DoD Registry will:

C18.5.1.1. Be operated and maintained by the Department of the Army.

C18.5.1.2. Provide a central repository of SA/LW *UII and/or* serial numbers from the Component Registries, to include those on-hand, in transit, lost, stolen, demilitarized, or shipped outside the control of the Department of Defense.

C18.5.1.3. Provide law enforcement agencies, within 72 hours, the identification of the last known accountable activity (to include telephone number) having a specific *UII and/or* serial-numbered weapon (see paragraph C18.7.6, below). Respond as expeditiously as possible to other inquiries, depending upon volume and existing workload.

C18.5.1.4. Enter all inquiries from law enforcement agencies and inquiries from appropriate military and civilian activities for weapons located in foreign countries on the DoD Registry file when no record exists on the active or inactive file. This will be accomplished by using DLMS 140A SA/LW Control Reporting Transaction (MILSTRAP DIC DSM function) with SA/LW Transaction Code I (Interrogation/Inquiry Record) and entering the message/inquiry form number in the transaction number (document number) field for cross-reference purposes.

C18.5.1.4.1. For weapons identified as belonging to a DoD Component, these entries will remain in the DoD active master file until the weapon is returned to DoD control and properly recorded on a Component Registry.

C18.5.1.4.2. Weapons identified as other than the Department of Defense in origin will be placed in the inactive file of the DoD registry.

C18.5.1.5. At minimum, identify duplicate **UII and/or** serial numbers received from the Component Registries on a quarterly basis. The appropriate DoD Component will be contacted to verify duplicates and the DoD Registry will issue selected suffixes to modify affected **UII and/or** serial number(s) for all but one of the duplicate numbers. To the extent possible, weapons with duplicate **UII and/or** serial numbers located in the wholesale system will be modified first to maintain an audit trail for all modification actions:

C18.5.1.5.1. Provide appropriate corrective instructions to the Component Registries reporting duplicate **UII and/or** serial numbers.

C18.5.1.5.2. Establish a complete historical cross-reference record (mechanical or hard copy).

C18.5.2. Component Registries. Component Registries will:

C18.5.2.1. Maintain and control a mechanized active, inactive, and history file to control SA/LW **UII and/or** serial numbers for which they do or did maintain accountability.

C18.5.2.2. Update files based on transaction reporting (e.g., receipts, issues, turn-ins, and inter-DoD Component transfers). Perpetuate suffix codes from all receipt/issue/adjustment transactions when updating files.

C18.5.2.3. Use standard data elements and standard transactions (identified in paragraph C18.1.2) to interface between the Component Registries for reporting changes affecting the SA/LW status in the master file of the Component Registries.

C18.5.2.4. Provide monthly electronic file overlays to the DoD Registry showing active and inactive files in **UII and/or** serial number sequence.

C18.5.2.5. Identify duplicate **UII and/or** serial numbers on file and request altering instructions from the DoD Registry for all but one of the duplicate numbers. Suspend movement of these weapons pending verification of the record and/or receipt of instructions for modification of the **UII and/or** serial number on the weapon.

C18.5.2.6. Provide available data upon receipt of an inquiry from a law enforcement agency within 72 hours, and initiate action as deemed appropriate.

C18.5.2.7. Perform an annual records verification utilizing the registry files to obtain records compatibility with depot files and inventory control point (ICP) files by stock number and quantity.

C18.5.2.8. Report lost, damaged, or destroyed weapons in accordance with [DoD 7000.14-R](#), "Department of Defense Financial Management Regulations," Volume 12, Chapter 7. SA/LW Transaction Code Q (Notification of Suspected Loss) is applicable for reporting potential lost or stolen SA/LW pending full investigation and preparation of a Financial Liability Investigation of Property Loss Report ([DD Form 200](#)). SA/LW Transaction Code U (Found or Recovered) is applicable for reporting if the missing weapon is found or recovered. Use the SA/LW Control Reporting Transaction for updating the registries.

C18.5.2.9. After all investigative requirements have been initiated, including preparation of a Financial Liability Investigation of Property Lost Report, identify lost or stolen weapons on the Component Registry using the SA/LW Control Reporting Transaction with SA/LW Transaction Code L (Inventory Adjustment - Loss). (Note: In accordance with DoDM 5100.76, the DoD Components are required to submit semiannual reports to the chairperson, Physical Security Review Board for all SA/LW where theft, loss, and recovery occur.)

C18.5.2.10. Perform an annual SA/LW reconciliation with all activities recorded on the registry as having possession and/or accountability of reported SA/LW by **UII and/or** serial number, stock number, and quantity. The reconciliation method will depend on the DoD Components' ability to use Defense Data Network transaction sets or listings. When listings are used to perform the annual reconciliation, they will be identified by the appropriate transaction set either as header information or shown with each line entry (see paragraph C18.7.8 below).

C18.5.2.11. Report all new weapons or devices that could be construed as SA/LW to the JSA/LWCG chairperson. The chairperson will determine the reportability and notify the DoD Component. Weapons or devices for which no determination can be made will be discussed by the full JSA/LWCG.

C18.5.3. JSA/LWCG. JSA/LWCG responsibilities are as set forth in ~~4140.1-R~~ [DoDM 4140.01](#), ~~DoD Supply Chain Materiel Management Regulation~~, *DoD Supply Chain Materiel Management Procedures, Volume 11*.

C18.6. SAFEGUARDING AND PHYSICAL SECURITY OF AUTOMATIC DATA PROCESSING RECORDED DATA

C18.6.1. The SA/LW data contained in the Automatic Data Processing (ADP) records of the DoD Registry could produce classified data if the total number of **UII and/or** serial numbers by weapon type were summarized. Consideration must be given to security of the SA/LW records due to their sensitive nature. Security of ADP records will be in accordance with [DoDM 5200.01](#),⁷ "DoD Information Security Program," February 24, 2012.

C18.6.2. A determination to classify will be made when there is sound reason to believe that knowledge of the information would provide unfriendlies an insight into the war potential, war defense plans, or posture of the United States and could reasonably be expected to cause a degree of harm to the national security.

C18.6.3. The operation of this program does not relieve units/activities from the requirements for physical security of weapons in accordance with DoD Component regulations.

⁷ Refer to 5200.01, v1, <http://www2.dla.mil/j-6/dlms0/elibrary/manuals/regulations.asp>.

C18.7. OPERATING PROCEDURES

C18.7.1. The Component Registries will provide for electronic file transfer of their active and inactive files, in **UII and/or** serial number sequence, to arrive at the DoD Registry not later than the 10th of each month. The format will be in accordance with the DLMS 140A SA/LW Control Reporting Transaction (MILSTRAP DIC DSM function). The DoD Registry will verify record counts as indicated on the files.

C18.7.2. The DoD Registry will combine the DoD Components' electronic files into a single file, in **UII and/or** serial number sequence, not later than the 15th day of each month. At minimum, the DoD Registry will identify duplicate **UII and/or** serial numbers quarterly in accordance with subparagraph C18.5.1.5 above.

C18.7.2.1. If duplicate **UII and/or** serial numbers appear during the next check, and are owned by a single DoD Component, the Component Registry will be notified to validate the **UII and/or** serial numbers. If duplicate **UII and/or** serial numbers remain after this validation, the Component Registry will request altering instructions from the DoD Registry to modify the affected **UII and/or** serial number(s). The DoD Registry will issue modified **UII and/or** serial numbers (using selected alpha suffix(es) and maintain a complete historical cross-reference record.

C18.7.2.2. If duplicate **UII and/or** serial numbers appear during the next check, and are owned by more than one DoD Component, the DoD Registry will notify each Component Registry to validate its **UII and/or** serial numbers. If duplicates remain after this validation process, the DoD Registry will issue modified **UII and/or** serial numbers to one of the Component Registries (using selected alpha suffixes) and maintain a complete historical cross-reference record.

C18.7.3. Recovered Weapons. Weapons recovered by law enforcement agencies or foreign countries and returned to the custody of a DoD Component will be registered on the Component Registry using the SA/LW Control Reporting Transaction with SA/LW Transaction Code U (Found or Recovered).

C18.7.4. Inter-DoD Component Transfers. The SA/LW Control Reporting Transaction is used to report inter-DoD Component transfers between the Component Registries. The requirements for reporting shipments will be as follows:

C18.7.4.1. Shipments Between DoD Components:

C18.7.4.1.1. Shipping Registry. When weapons are selected for shipment by the shipping activity, SA/LW Control Reporting Transaction with SA/LW Transaction Code S (Shipment) will be sent to the shipping Component Registry. The shipping Component Registry enters the SA/LW data in the active file to indicate the in-transit shipment. The shipping Component Registry then sends the transaction to the destination Component Registry for all inter-DoD Component shipments.

C18.7.4.1.2. Receiving Registry. The receiving Component Registry enters the SA/LW data into the active file to open the record. This record is maintained until confirmation of weapon receipt is provided by the receiving activity.

C18.7.4.1.2.1. Receiving Activity Actions. The receiving activity verifies the **UII and/or** serial number(s) and sends SA/LW Control Reporting Transaction with SA/LW Transaction Code R (Receipt) to its Component Registry. The receiving Component Registry matches the SA/LW data against the in-transit record. A match constitutes a reconciliation and completes the record.

C18.7.4.1.2.2. Discrepant **UII and/or** Serial Numbers. Discrepant **UII and/or** serial number(s) will be verified by electronic mail, telephone or letter and corrective action taken as required.

C18.7.4.1.2.3. Receiving Registry. The receiving Component Registry provides SA/LW Control Reporting Transaction with SA/LW Transaction Code R to the shipping Component Registry.

C18.7.4.1.3. Maintenance Reporting. Weapons shipments from one DoD Component to another for maintenance purposes will also be reported to appropriate Component Registries. This requirement will be included in any maintenance support agreement.

C18.7.4.1.4. Shipping Timeframe.

C18.7.4.1.4.1. ***For CONUS, ship in accordance with TDD and in the absence of TDD ship in accordance with UMMIPS. If the CONUS timeframe standard is exceeded, shipping Component Registry will initiate coordination to determine the status of the outstanding SA/LW Control Reporting Transactions with SA/LW Transaction Code S. If ~~30 calendar days from date of shipment for continental United States (CONUS) and~~ 90 calendar days for overseas is exceeded, the shipping Component Registry will initiate coordination to determine the status of the outstanding SA/LW Control Reporting Transactions with SA/LW Transaction Code S (see paragraph C18.8.2) (for receiving Component Registry procedures, see paragraph C18.8.3).*** A monthly overage shipment listing will also be sent to the receiving Component Registry.

C18.7.4.2. Shipments from Procurement. When weapons are shipped from a contractor to activities within the Department of Defense, the contractor is required to prepare three SA/LW Control Reporting Transactions. SA/LW Transaction Code P (Procurement Gains) will be in the one transaction sent to the shipping Component Registry giving notification of shipment. The data are entered in the shipping Component Registry to open the record. This record will be held in suspense until confirmation of weapon receipt is provided by the receiving activity. The receiving activity will submit an SA/LW Control Reporting Transaction to update its Component Registry. The two remaining control reporting transactions will have the Routing Identifier Code (RIC) of the shipping Component Registry to which the confirmation of receipt will be provided. The SA/LW Control Reporting Transaction will accompany the shipment documentation. When shipments consist of multiple containers, a listing will identify which **UII and/or** serial numbers are within each container.

C18.7.4.3. Shipments Outside the Control of the Department of Defense. When SA/LW are selected for shipment to Foreign Military Sales (FMS)/Grant Aid and other Agencies outside DoD control, or when a DoD agency assumes title and accountability for U.S. weapons purchased or produced under a DoD contract then shipped directly to Security Assistance or other customers outside the Department of Defense, the SA/LW Control Reporting Transactions for the weapons will be provided to the shipping Component Registry giving notification of shipment. The shipping Component Registry codes each weapon in the shipment using SA/LW Transaction Code N (Shipment to Other Agencies) or code F (Shipment to FMS/Grant Aid) depending upon type of shipment. The shipping Component Registry then enters the SA/LW shipment data into the inactive file. Weapons returned to the DoD supply system from previous shipments to FMS/Grant Aid and other agencies outside DoD control will be registered by the receiving activity on its Component Registry.

C18.7.5. Demilitarization. When SA/LW are selected for destruction at the demilitarization activity, the demilitarization activity sends SA/LW Control Reporting Transaction with SA/LW Transaction Code V (Demilitarization) to the Component Registry once the demilitarization has been completed. The Component Registry will code each of the demilitarized weapons and enter the SA/LW demilitarization data into the inactive file.

C18.7.6. Department of Defense Small Arms and Light Weapons Serialization Program. The DoD SA/LW Serialization Program is designed to provide investigative agencies, within 72 hours, the identification of the last accountable activity having a specific **UII and/or** serial-numbered SA/LW. Investigative agencies will process all inquiries by electronic mail, message, letter, or telephone to the DoD Registry. The DoD Registry will identify the accountable Component Registry from the data contained in its master record and query that registry as to the last accountable activity for the specific **UII and/or** serial-numbered weapon. Once the Component Registry identifies the last accountable activity, response is provided to the investigative agency through the DoD Registry.

C18.7.7. Invalid or Erroneous DLMS 140A Transactions. The Component Registry will reject invalid or erroneous DLMS 140A SA/LW transactions to the originator using the DLMS 140A SA/LW Reject Transaction (MILSTRAP DIC DSR function). (See paragraph C18.7.10 for rejecting DLMS 888A SA/LW Data Change Transaction with SA/LW Transaction Code K (Multi-Field Correction).) The rejecting Component Registry will cite the appropriate SA/LW Error Transaction Reject Codes in the SA/LW Reject Transaction. The code explanations identify required corrective action. In a DLMS environment, the SA/LW Reject Transaction may contain more than one SA/LW error transaction reject code, and activities will ensure that all error conditions are corrected prior to resubmission. Under the constraints of the 80 record position DLSS (MILSTRAP) environment, the reject advice code identifies only one error condition in the transaction, and activities will review all other fields of the rejected transactions prior to resubmission to ensure that all data entries are correct.

C18.7.7.1. Correction of Rejected Transactions. The Component Registry will hold rejected transactions in a suspense file until corrective action has been received from the DoD Component. DLMS 140A SA/LW Correction Transaction (MILSTRAP DIC DSC function) with the appropriate SA/LW error transaction reject code will be used to respond to rejected transactions.

C18.7.7.2. Follow-Up. If no corrective action is received by the Component Registry within 14 calendar days, the Component Registry will send a DLMS 140A SA/LW Reconciliation/Reject Follow-up Transaction (MILSTRAP DIC DSF function) to the DoD Component.

C18.7.8. Annual Reconciliation. The annual reconciliation of all SA/LW on the Component Registry will be performed using DLMS 140A SA/LW Reconciliation Transaction (MILSTRAP DIC DSR function) with SA/LW Transaction Code E (intra-DoD Component Reconciliation of SA/LW *UII and/or* numbers, and inter-DoD Component reconciliation when reconciling with DLA Defense Distribution Depots). This is a bottoms-up records reconciliation (i.e., matching records from the activity having physical custody and/or accountability of the weapon to the Component Registry records). Matching records will be considered reconciled. Duplicate SA/LW *UII and/or* serial numbers detected during the reconciliation will require modification instructions from the DoD Registry. Component Registries that perform the annual reconciliation using other than transaction reporting will ensure that listings contain SA/LW Reconciliation Transaction in the heading. SA/LW Transaction Code E need not be identified on the listing or posted to the Component Registry.

C18.7.8.1. Registry Rejects. Unmatched records and weapons for which no reconciliation was received by the Component Registry will result in a SA/LW Reject Transaction with the appropriate SA/LW error transaction reject code(s) to the DoD Component.

C18.7.8.2. Follow up for Response to Reject. If corrective transactions and/or notification of a problem is not received from the DoD Component within 60 calendar days, the Component Registry will follow up using DLMS 140A SA/LW Reconciliation/Reject Follow-up Transaction (MILSTRAP DIC DSF function).

C18.7.9. Mass Stock Number/Department of Defense Activity Address Code Changes. Accomplish mass stock number changes and mass DoD Activity Address Code (DoDAAC)/Unit Identification Code (UIC) changes using DLMS 888A SA/LW Data Change Transaction with SA/LW Transaction Code H (Mass Stock Number Change) (MILSTRAP DIC DSB function) or SA/LW Transaction Code M (Mass DoDAAC/UIC Change) (MILSTRAP DIC to be determined).

C18.7.10. Multi-field Corrections. Reporting activities must use DLMS 888A, SA/LW Data Change Transaction with SA/LW Transaction Code K (Multi-Field Correction) (MILSTRAP DIC DSA function) to change erroneous information on the Component Registry active/inactive file. The Component Registry will reject any SA/LW Data Change Transactions (with SA/LW Transaction Code K), that contain invalid data or do not match the file or *do not match the file*.

C18.7.10.1. Preparation of Small Arms and Light Weapons Data Change Transaction. Reporting activities will prepare SA/LW Data Change Transaction with SA/LW Transaction Code K when the Component Registry contains erroneous information. Changes can be made to the NSN/MCN/LCN/DoDAAC/UIC of the accountable activity and *UII and/or* serial number.

C18.7.10.2. Rejection of Small Arms and Light Weapons Data Change Transactions. SA/LW Data Change Transactions (with SA/LW Transaction Code K) received by the

Component Registry that do not match the NSN/MCN/LCN, reporting activity DoDAAC/UIC, **UII and/or** serial number contained on the active/inactive file will be rejected to the reporting activity using DLMS 888A as a reject transaction. The rejected SA/LW Data Change Transaction (with SA/LW Transaction Code K) will contain the appropriate SA/LW error transaction reject code. Rejected transactions will be suspended in the Component Registry pending receipt of a corrected SA/LW Data Change Transaction (with SA/LW Transaction Code K). Under DLMS, more than one SA/LW error transaction reject code may be shown in the rejected SA/LW Data Change Transaction (with SA/LW Transaction Code K), and the reporting activity must review all invalid data before resubmitting the corrected transaction. In a DLSS (MILSTRAP) environment, only one SA/LW error transaction reject code can be identified in the rejected transaction (MILSTRAP DIC DSA), and the reporting activity must review all entries for additional invalid data before submitting the corrected transaction.

C18.7.10.3. Small Arms and Light Weapons Transaction Code K Conversion. The Component Registries will not include SA/LW Data Change Transactions (with SA/LW Transaction Code K) on their electronic file transfer overlay records to the DoD Registry. The Component Registry will convert the DLMS 888A SA/LW Data Change Transactions (with SA/LW Transaction Code K) received from the reporting activity to DLMS 140A SA/LW Control Reporting Transaction with SA/LW Transaction Code K and the old **UII and/or** serial number cited for all changes to the **UII and/or** serial number field for the monthly electronic file transfer.

C18.8. TIME STANDARDS FOR PROCESSING UPDATES AND FOLLOW-UPS FOR SHIPMENTS AND RECEIPTS

C18.8.1. Weapons Visibility. One objective of the SA/LW **UII and/or** serial number registration and reporting procedures is to provide visibility of actual location of all weapons by the timely update of the Component Registries during the shipment or receipt process. The timeframe for processing DLMS 140A SA/LW Control Reporting Transaction (MILSTRAP DIC DSM function) for SA/LW Transaction Codes R and S is 10 calendar days from date of action.

C18.8.1.1. Notification of In-transit Shipment to Shipping Component Registry. Within 10 calendar days of selection for shipment, the shipping activity will send the SA/LW Control Reporting Transaction (with SA/LW Transaction Code S) to the shipping Component Registry to indicate which **UII and/or** serial numbers are included in the in-transit shipment. activities that do not have mechanized capability will provide the SA/LW Control Reporting Transaction (with SA/LW Transaction Code S) or hard copy information to the shipping Component Registry by the fastest available means, leaving the shipping activity within 10 calendar days of selection for shipment.

C18.8.1.2. Update of Shipping Component Registry. Within 10 calendar days of receipt of the SA/LW Control Reporting Transaction (with SA/LW Transaction Code S) from the shipping activity, the shipping Component Registry will use the transaction to update its files, establish the in-transit record, and send the SA/LW Control Reporting Transaction to the receiving Component Registry for all inter-DoD Component shipments.

C18.8.1.3. Receiving Component Registry Verification. Within 10 calendar days of receipt of the weapon(s), the receiving activity will use the SA/LW Control Reporting Transaction data that accompanied the shipment to verify the received **UII and/or** serial number(s) and provide the **Weapon Serial Number (WSN)** transaction (with SA/LW Transaction Code R) to the receiving Component Registry. activities that do not have mechanized capability will provide the SA/LW Control Reporting Transaction (with SA/LW Transaction Code R) or hard-copy information, to the receiving Component Registry by the fastest available means.

C18.8.1.4. Shipping Component Registry Verification. Within 10 calendar days of receipt of the SA/LW Control Reporting Transaction (with SA/LW Transaction Code R) from the receiving activity, the receiving Component Registry will send SA/LW Control Reporting Transaction (with SA/LW Transaction Code R) to the shipping Component Registry to provide notification of weapons receipt. The 10-calendar day requirement for shipment/receipt notification also applies to SA/LW shipments from one DoD Component to another for maintenance purposes. This requirement will be included in any maintenance support agreements between the DoD Components.

C18.8.2. Overage Shipments. The shipping Component Registry will send a follow-up on all in-transit weapons (***shipped in accordance with TDD and in the absence of TDD ship in accordance with UMMIPS30-calendar days for CONUS shipments, and*** 90 calendar days for overseas shipments) from date of shipment, for which no confirmation of receipt (SA/LW Control Reporting Transaction with code R) has been received. The shipping Component Registry will send DLMS 140A SA/LW Receipt/Shipment Follow-up Transaction (MILSTRAP DIC DSD function) to the receiving Component Registry. Allow 10 calendar days for response to the follow-up transaction.

C18.8.2.1. Weapon Received. If the weapon has been received, the receiving Component Registry will submit a SA/LW Control Reporting Transaction with SA/LW Transaction Code R.

C18.8.2.2. Weapon Not Received. If the weapon has not been received, the receiving Component Registry will submit SA/LW Control Reporting Transaction with SA/LW Transaction Code A (Weapon Not Received).

C18.8.2.3. No Response Received. If no response is received, an electronic transmission (message) will be sent to the receiving Component Registry with an information copy to the receiving activity and its higher headquarters.

C18.8.2.4. Negative/No Response Reporting. Negative response or no response to the message will cause the shipping Component Registry reporting the weapon(s) as missing, lost, or stolen to its appropriate investigative agency and the DoD Registry (see subparagraphs C18.5.2.8. and C18.5.2.9. above).

C18.8.3. Shipment Follow-Up Procedures. Follow-up procedures will be initiated by the receiving Component Registry for all received weapons for which no DLMS 140A SA/LW Control Reporting Transaction (with SA/LW Transaction Code S) was provided by the shipping

Component Registry. The follow up procedure is necessary to confirm that the *UII and/or* serial number(s) reported as received matches the *UII and/or* serial number(s) selected and shipped. The receiving Component Registry will take the follow-up action with the shipping Component Registry using the SA/LW Receipt/Shipment Follow-up Transaction within 10 calendar days after a weapon(s) has been confirmed as received. Lack of response within 10 calendar days will cause an electronic transmission (message) to be sent to the shipping Component Registry with an information copy to the shipping activity and its higher headquarters.

C18.8.4. Intra-DoD Component Timeframes. The standard timeframes for inter-DoD Component submission of SA/LW Control Reporting Transaction with SA/LW Transaction Codes R and S as prescribed above also apply to intra-DoD Component shipments and receipts.

Enclosure 4, DLMS Manual Revisions

Revise DLM 4000.25, Volume 2, Chapter 19, Unique Item Tracking

C19.2.2. DoD Small Arms and Light Weapons (SA/LW) Serialization Program. The DOD SA/LW Serialization UIT program has unique transaction requirements and procedures documented in Chapter 18. The SA/LW program is subject to the Item Unique Identification (IUID) transaction requirements, which are identified in paragraph C19.25.4. ~~SA/LW must also meet the requirements described in this chapter for assignment of a UIT designator code, assignment of the IUID Indicator Y (yes), and transition from uniquely identifying items by serial number to the use of unique item identifier (UII) as required by DOD policy.~~⁸

⁸ Refer to draft Change 5 publication and not the currently published version to see the original text.