



**DEFENSE LOGISTICS AGENCY
HEADQUARTERS
8725 JOHN J. KINGMAN ROAD
FORT BELVOIR, VIRGINIA 22060-6221**

IN REPLY
REFER TO

October 11, 2012

MEMORANDUM FOR SUPPLY PROCESS REVIEW COMMITTEE (PRC) MEMBERS

SUBJECT: Proposed Defense Logistics Management System (DLMS) Change (PDC) 1030, Implementation of Item Unique Identification (IUID) in the DLMS Shipment Status Supporting DOD IUID Supply Procedures and Associated Supply Discrepancy Report (SDR) Procedures (Supply/SDR)

We are forwarding the attached proposed change to DLM 4000.25 (DLMS), for evaluation and submission of a single coordinated DOD Component 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 DLA Logistics Management Standards Office not later than 45 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 Ms. Ellen Hilert, email Ellen.Hilert@dla.mil or Ms. Heidi Daverede, email Heidi.Daverede@dla.mil. Others must contact their Component designated Supply PRC representative.

DONALD C. PIPP
Director
DLA Logistics Management
Standards Office

Attachment

cc:
ODASD(SCI)
SDR Committee
IUID Working Group
Joint Small Arms/Light Weapons Coordinating Group

ATTACHMENT TO PDC 1030
Implementation of DOD Item Unique Identification (IUID) Supply Policy in DLMS
Shipment Status and Associated Supply Discrepancy Report (SDR) Procedures

1. ORIGINATING SERVICE/AGENCY AND POC INFORMATION:

- a. Technical POC: DLA Logistics Management Standards Office, 703-767-0676
- b. Functional POC: DLA Logistics Management Standards Office, 703-767-0676

2. FUNCTIONAL AREA/PROCESSES:

3. REFERENCES:

- a. DOD Instruction 4140.01, DOD Supply Chain Materiel Management Policy, December 14, 2011
- b. DOD Regulation 4140.1-R, DOD Supply Chain Materiel Management Regulation, May 23, 2003
- c. DOD Manual 4140.01-M, DOD Supply Chain Materiel Management Manual (Draft)
- d. DLM 4000.25, Defense Logistics Management System, Volume 2, available at www.dla.mil/j-6/dlms/eLibrary/manuals/dlm/dlm_pubs.asp
- e. Approved DLMS Change (ADC) 127, Unique Identification (UID) of Items and Radio Frequency Identification (RFID) in DLMS Shipment Status (856S), dated July 29, 2004
- f. ADC 399, Automated Data Capture for Serialized Item Shipments and Preparation of the Issue Release/Receipt Document (IRRD) (DD Form 1348-1A or DD Form 1348-2) Continuation Page, dated March 18, 2011
- g. Proposed Addendum to ADC 399A (Staffed as PDC 399A), Automated Data Capture for Serialized Item Shipments and Preparation of the Issue Release/Receipt Document (IRRD) (DD Form 1348-1A or DD Form 1348-2) Continuation Page, dated October 11, 2012
- h. ADC 417, Shipment Status for Local Delivery Manifested, Outbound MILS Shipments on Behalf of On-Base Customers, Re-Warehousing Actions between Distribution Depots, and non-MILS Shipments to Off-Base Customers, with Passive Radio Frequency Identification (pRFID), dated April 26, 2011
- i. DRAFT DOD Item Unique Identification Task Force Intensive Item Management Value Chain Integrated Requirements Set (IRS). This document establishes the logistics business policies and system requirements agreed upon by Component representatives at the Intensive Item Management Value Chain workshops and subsequently during Office of the Deputy Assistant Secretary of Defense Supply Chain Integration (ODASD (SCI))-led IUID Working Group meetings. The title and publication date of the draft IRS are subject to change.

j. AR 702–7/AFR 74–6/SECNAVINST 4855.5A/DLAR 4155.24, Product Quality Deficiency Report Program, available from the [DLA PQDR Home Page](#).

4. REQUESTED CHANGES(S):

a. **Brief Overview of Change**: This document is the first in a series of DLMS change proposals to define procedures and establish a coordinated implementation of IUID in accordance with DOD IUID Supply Policy.

(1) This change identifies procedures for the activity providing shipment status to incorporate available IUID content when the National Stock Number (NSN) has an IUID Indicator Y (Yes) and the DLMS 856S Shipment Status is generated in support of DOD IUID Supply Policy.

(2) This change identifies procedures for the receiving activity to submit an SDR identifying a mismatch between the shipment status and the UII and/or serial number for the materiel received.

(3) This change enhances the functionality of the shipment status to maintain positive control and visibility of IUID content in multiple-freight piece shipments as described above. Enhancements require expanding the use of the current pRFID looping structure for identification of the respective box number and total boxes, quantity per box, and associated pRFID and/or IUID content. **Note**: Pack identification by box may be provided with pRFID and IUID content. However, pack identification may be also provided with only pRFID or only IUID content.

(4) This change does not affect the procedures for items managed under existing UIT programs or other programs (existing or proposed) to intensively manage materiel except to allow for the inclusion of the UII and/or serial number in the DLMS transaction.

(5) Several administrative changes are included to update the DLMS Supplement to remove unused placeholders for IUID related data elements including the component pieces of a constructed UII, and to update terminology.

b. **Background**: DOD IUID Supply Policy encompasses managing and tracking a select population of items that have a unique item level traceability requirement. Unique item level traceability is the requirement to trace lifecycle management events related to acquisition, property accountability, storage, operation, maintenance, safety, physical security, retirement, and disposal by each individual item. An “individual item” is defined as a single instance of an NSN or a single assembly or subassembly. All individual items of a single NSN must be managed in the same manner.

(1) For an NSN to be managed under the DOD IUID Supply Policy, the item must be in at least one of the following categories:

- DOD serially-managed sensitive, DOD serially-managed critical safety, and/or DOD serially-managed pilferable items
- All depot-level repairable items, or
- Items the materiel manager/program manager identifies as requiring unique item level traceability.

(2) The manager of the item, in consultation with its users, determines the requirement for unique item level traceability.

(3) The concept of IUID-enabled serialized item management was defined to describe management by UII from an end to end supply chain perspective. The definition is shown below:

In addition to visibility of assets by NSN and quantity, as items move through the supply chain, items with a Federal Logistics Information System (FLIS) IUID Indicator equal to Yes (Y) will require that UII and serial number data be shared between automated information systems and validated at shipment and receipt. Owner/manager and storage activities will have visibility and traceability by NSN and quantity only. Inventory and location tracking by UII will only be required when the item is put into use at a maintenance activity or when arriving at a customer site. Mismatches identified by receiving activities must be reported under discrepancy reporting business rules, and corrective action taken where appropriate.¹

(4) IUID benefits the transportation node of the DOD supply chain in a key way.² While transportation will not carry IUID in its transactions, visibility of UIIs will be available in enterprise tracking systems (e.g., Integrated Data Environment (IDE) / Global Transportation Network (GTN) Convergence (IGC)), by maintaining referential integrity between the document number and its TCN. To simplify order tracking once one or more shipments are made to satisfy a requisition, all shipments, regardless of origin or destination, will be assigned a shipment Transportation Control Number (TCN) that is linked to the requisition. As shipments move through the transportation node and undergo consolidation or deconsolidation actions, the integrity of the TCN-to-requisition relationship documented in the supply shipment status is maintained. To facilitate customer follow-up with commercial carriers, supply sources using DLMS will provide carrier identification and the carrier tracking number. The DLMS 856S (and 856R) will identify the UIIs associated with a document number and the TCN under which the document number shipped. The transportation node will continue to transact business at the TCN level. TCN tracking while in transit can be associated back to UIIs through the use of the DLMS 856S Shipment Status. Rather than being the primary link, the UII is a byproduct of the link between the document number and the TCN.

¹ Reference 3.i.

² Ibid

(5) For items managed under an approved Unique Item Tracking (UIT) program,³ the UII (when available) and the serial number is mandatory in the DLMS 856S Shipment Status transaction. Serial number without the applicable UII may only be used during MILSTRIP/DLMS transition and pending implementation of IUID capability.

c. Describe Requested change in detail: This PDC focuses on default standard processing when the IUID Indicator is Y. This proposal directs activities providing DLMS 856S Shipment Status transactions to include the UII and/or machine readable serial number (hereafter referred to as “serial number” unless specifically noted) when available, on outbound shipment notices where applicable.⁴ The scope includes materiel shipped under MILSTRIP business rules, as well as non-MILSTRIP shipments documented on a DD 1149, Requisition and Invoice/Shipping Document, when DLMS Shipment Status is provided. Under this proposal, the shipment status transaction provides notification of the shipment including specific item identification, quantity, the associated UII(s) and corresponding serial numbers when required in support of DOD IUID Supply Policy. This PDC also provides enhanced procedures for inclusion of the UII and/or serial number for the following:

- Intensive management under DOD IUID Supply Policy based on item being managed under approved UIT programs is provided and will be enhanced as the IUID program matures.
- Shipment status transaction supporting freight multi-piece shipments allowing for the identification of the UII and pRFID to a specific box.
- SDR generation/processing for mismatches with IUID data between the shipment status and actual receipt.

(1) Overall Process Description: For tracking materiel across the DOD enterprise, the initial shipping activity is required to include the UII and/or machine readable serial number, in the shipment status transaction for NSNs subject to the DOD IUID Supply Policy (containing the IUID Indicator Y). Receiving activities will prepare SDRs to report supply-related IUID discrepancies involving mismatched content between the shipment status and the item or its packaging or missing IUID content under UIT program requirements. SDRs will identify the specific discrepant IUID data in the SDR transaction based upon SDR guidance, availability, and level of automation. **Staffing Note:** When identified, quality-related deficiencies involving IUID, e.g. an improperly constructed UII within the 2D data matrix, will be reported under Product Quality Deficiency Report (PQDR) procedures (Reference 3.i).

(2) UII on Shipment Transactions: For NSNs with an IUID Indicator Y, the DLMS 856S Shipment Status will carry the UII and/or the machine readable serial number, when available, at the time of shipment; include both when both are available. The UII and/or serial number is a desired entry but is not mandatory at this time. The long-term end state goal is to eliminate reliance on serial number and only pass the UII when the IUID Indicator is Y. Table 1 shows the decision matrix that applies to scenarios where the UII and/or serial number may not

³ Reference 3.d., Chapter 19, Unique Item Tracking

⁴ Machine readable is specifically noted as the minimum requirement because of the labor intensive effort and accuracy concerns with hand typing multiple serial numbers in the status transactions.

be available when the item is being shipped. The overriding vision is that, pending full transition to the DOD IUID Supply Policy using the UII, processing of outgoing shipments does not stop due to lack of a viable UII and/or serial number when the NSN contains a IUID Indicator Y.⁵

Table 1. IUID Indicator Y Shipment Decision Matrix

UII	Serial Number	Approved UIT	Machine Readable Serial Number	Release Shipment?
Y	Y	N	Y	Y
Y	N	N	N	Y
N	Y	N	Y	Y
N	N	N	N	Y
Y	Y	Y	Y	Y
Y	N	Y	N	N
N	Y	Y	Y	Y
N	Y	Y	N	N
N	N	Y	N	N

Note: N (No) in the Release Shipment column indicates additional research is required by the shipping activity to identify a valid UII and/or serial number or to hand type the serial number data when required for UIT items.

(3) SDRs for Discrepancies Involving Mismatched/Missing IUID Content on Shipment Status

(a) During the receipt of NSNs with an IUID Indicator Y, receiving activities may prepare SDRs identifying a mismatch between the DLMS shipment status and the UII for the materiel received. Existing procedures require reporting of mismatches between the UII for the materiel received and the advance shipment notice provided by Wide Area Workflow (WAWF) for new procurement materiel requiring IUID under terms of the contract. Additionally, mismatches in IUID data (based upon serial number and UII when available) must be reported under approved UIT programs. In this context, a mismatch means that the IUID data in the shipping information data does not match the item or its packaging. Pending full transition to the DOD IUID Supply Policy using UII, where UII is not available and only the serial number is provided on the shipment status, SDRs are not required solely due to mismatch to the shipment status and no other factors. Where automation is available at the receiving activity to support electronic capture of IUID data and perpetuation to the SDR, SDRs for mismatch to the shipment status will be prepared citing both UII and corresponding serial number, when both are available. Pending integrated capability to support IUID reporting in SDRs, remarks text may also be used to clarify the specific mismatched data. Additionally, attachment files may be uploaded/transmitted to DOD WebSDR to identify UIIs and/or serial numbers.

(b) Pending full implementation of the DOD IUID Supply Policy, do not use SDRs to report missing IUID content on shipment status, items, or packaging originating from a Distribution Depot or other DOD shipping activity. The exception is items managed under an existing UIT program for intensively managed materiel.

⁵ Separate procedures apply to address when new procurement items are received by the storage activity and do not contain a UII when required by contract.

(c) SDRs prepared for a mismatch with no discrepancy in quantity received should include the UII and/or serial number identifying the mismatch. That is, identify the UII and/or serial number for item(s) received that do not correspond to the shipment status, as well as the UII and/or serial number for the expected item(s) NOT received. The SDR transaction is modified to include a new indicator to distinguish UIIs and/or serial numbers reported as received or not received. If no indicator is provided the UII and/or serial number will be interpreted as applicable to the materiel received. Cite Discrepancy Code U09, Mismatch between unique identification data on item or packaging and the associated due-in or shipping notice.

(d) SDRs prepared for a shortage of items identified by IUID Indicator Y should include the UII and/or serial number for the item(s) NOT received based upon comparison with the shipment status. Cite the applicable discrepancy code for the shortage and Discrepancy Code U09.

(e) SDRs prepared for an overage of items identified by IUID Indicator Y should include the UII and/or serial number for the extra item(s) received based upon comparison with the shipment status. Cite the applicable discrepancy code for the overage and Discrepancy Code U09.

(f) SDRs prepared for receipt of an incorrect item where the item received is identified by an NSN with an IUID Indicator Y should include the UII and/or serial number for the wrong item. Cite the applicable discrepancy code for the incorrect item receipt and Discrepancy Code U09.

(g) This PDC does not alter existing business rules for distribution of SDRs based upon factors including shipping activity, type of shipment, and ICP directing shipment. This PDC does not alter existing business rules for IUID discrepancies applicable to new procurement materiel.

(h) Table 2 provides a decision matrix that shows when an SDR is required based on mismatched or missing IUID data during receipt processing.

Table 2. SDR Decision Matrix: Discrepant IUID Data (IUID Indicator Y)

New Procurement (IUID contractually required)	Approved UIT	Wrong Item Received w/IUID Indicator Y	Missing UII on item or packaging	Mismatch UII with shortage/overage	Mismatch UII no shortage/overage	Create SDR	SDR Action Code ⁶
Y	Y/N	N	N	Y	N	Y	1A or 2A
Y	Y/N	N	N	N	Y	Y	1A
Y	Y/N	N	Y	N	N	Y	1A
Y	Y/N	N	N	N	Y	Y	1A
Y	Y/N	N	Y	N	N	Y	1A
Y/N	Y/N	Y	Y/N	Y/N	Y/N	Y	1A or 2A
N	N	N	N	N	Y	Y	3B
N	N	N	N	Y	N	Y	1A or 2A
N	N	N	Y	N	N	N	No SDR
N	Y	N	N	N	Y	Y	1A
N	Y	N	N	Y	N	Y	1A or 2A
N	Y	N	Y	N	N	Y	1A or 3B

(4) Issue Release/Receipt Document: Shipping activities will prepare the Issue Release/Receipt Document (IRRD), when applicable, in accordance with DLM 4000.25-1, MILSTRIP Manual, Chapter 5 and Appendices 1.35, 1.36, 3.48 and 3.49. Provide the UII(s) and/or serial number(s) of the items shipped using Automated Information Technology (AIT). The previously cited MILSTRIP references define procedures for the IRRD continuation page for shipment quantities of two or more serialized items and how the PDF417 symbol or Macro PDF417 symbols are used to include the IUID data. The term Macro PDF417 is used when concatenating multiple PDF417 barcodes. The continuation page contains linear bar coding with the included serial numbers to satisfy legacy system requirements and enables users to obtain the serial number if the Macro PDF417 data cannot be read.

Staffing Note: An addendum or replacement to ADC 399 is anticipated to correct identification of the serial number used for tracking and associating it with the applicable UII in the 2D bar code.

(5) Due In Record: Receiving activities will use the UIIs and/or serial numbers in the shipment status to append to the Prepositioned Materiel Receipt (PMR) if available or establish a means of accessing the UII and/or serial number information from the 856S Shipment Status during the receiving process. This information will be used to verify the UIIs actually received. Receiving activities will follow the supply discrepancy reporting procedures to report mismatches as appropriate.

⁶ SDR Action Codes are selected by the submitter based upon the desired response to the SDR. Codes identified in Table 2 are:

- 1A Disposition instructions for discrepant materiel requested; financial action not applicable.
- 2A Disposition of materiel and financial adjustment (credit) requested.
- 3B Discrepancy reported for corrective action and trend analysis; no reply required.

(6) Scenarios for Including the UII with Shipment Status

(a) Shipment Status Subsequent to a Material Release Order (MRO): Initial shipment status is normally prepared by the storage site on behalf of the materiel owner. When the material is shipped, the shipping activity will prepare and transmit a DLMS 856S Shipment Status with UII(s), and corresponding serial numbers, under DOD IUID Supply Policy requirements to DLA Transaction Services. The Defense Automatic Addressing System (DAAS) will route the shipment status to the designated status recipients per standard MILSTRIP distribution rules and to any additional parties identified in the transaction.

(b) Shipment Status Subsequent to a Redistribution Order (RDO): Initial shipment status is normally prepared by the storage site. When materiel is shipped, the shipping activity will prepare and transmit the DLMS 856S Shipment Status to the designated receiving activity including UII, and corresponding serial numbers, under DOD IUID Supply Policy requirements.

(c) Shipment Status Subsequent to a Direct Vendor Delivery (DVD): The source of supply is responsible for providing shipment status for materiel shipped directly by the vendor to the customer. Under this scenario, the source of supply will NOT provide IUID content or serial numbers on the DLMS 856S Shipment Status. It is anticipated that the receiving activity will be fully DLMS compliant and will receive a copy of the WAWF Advance Shipment Notice (856) containing IUID data content. There is no requirement for redundant transmission of IUID data to the receiving activity.

(d) Shipment Status Subsequent to a Lateral Redistribution Order (LRO) with Distribution Code 2 or 3: This LRO is a request by the manager to redistribute retail stock identified through retail level reporting or access to a retail asset visibility system.

1. In response to the LRO, the shipping activity will prepare and transmit the DLMS 856S Shipment Status (Document Identifier Code (DIC) AS6) to the originator of the LRO. The shipping activity will include:

- IUID content
- Distribution Code 2 or 3, as applicable
- Separate identification of the Ship To activity by DoDAAC at (2/N101/2200 = ST)

2. When the LRO shipment status (DLMS 856S (DIC AS6)) contains IUID content, DLA Transaction Services mapping will be used to prepare a DLMS 856S to perpetuate the IUID content to the ship-to activity. DLA Transaction Services, at a minimum, will indicate the following:

- DIC AS1 if the ship to activity is the requisitioner. If the ship-to activity is not the requisitioner, then indicate DIC AS2. The ship-to will be perpetuated from the DLMS 856S (DIC AS6).

- The RIC To from the DLMS 856S (DIC AS6) becomes the RIC From in the DLMS 856S (DIC AS1/2) (indicating that the shipment status is provided on behalf of the manager).
- The Signal Code B used in the LRO shipment status will not be perpetuated to the DLMS 856S (DIC AS1/2)
- The distribution code (e.g., 2 or 3) will be perpetuated in the DLMS 856S (DIC AS1/2)
- The UIIs and/or serial numbers will be perpetuated to the DLMS 856S (DIC AS1/2)
- The Supplemental Data field will not be perpetuated to the DLMS 856S (DIC AS1/2)

3. Upon receipt of the DLMS 856S (DIC AS6), the manager will then generate the DLMS 856S (DIC AS8), without UIIs and with the distribution code from the original requisition and send to DLA Transaction Services who will route it to status recipients under MILSTRIP distribution rules and to any additional parties as identified in the transaction.

4. The customer supply system must ensure that the shipment status provided by the manager without UIIs does not overlay the LRO shipping activity's shipment status with UIIs. The distribution code 2 or 3 may be used to recognize the LRO shipping activity shipment status.

(e) Shipment Status Subsequent to a Disposal Release Order (DRO): In response to directed release of property to a DLA Disposition Services Field Office, under DOD IUID Supply Policy, the shipping activity will provide shipment status including UII, and corresponding serial numbers.

(f) Shipment Status in Response to a Follow-Up: The ICP will follow the current MILSTRIP procedure to prepare the status transaction based on the Materiel Release Confirmation (MRC) (DLMS 945A), which will not include UII and/or serial number information at this time.

Staffing Note: We recognize this gap and a future DLMS enhancement may be required if the gap for IUID content on the shipment status provided in response to a follow-up is unacceptable to the Components. A significant systems change would be required to direct the follow-up to the shipping activity vice the ICP to retransmit the original shipment status with UIIs and corresponding serial numbers under the DoD IUID Supply Policy requirements. In the future, it is anticipated that items being intensively managed under DOD IUID Supply Policy procedures will carry the UII and/or serial number in the MRC; thus making it available for inclusion in the DLMS 856S Shipment Status in response to a follow-up.

(g) Shipment Status Prepared by Consolidation and Containerization Point (CCP) or Other Locations Performing Consolidation: When the CCP or other location performing consolidation prepares the shipment status, it will include the UII and/or serial number based on DOD IUID Supply Policy. CCP eligibility will not be altered based on the requirement to include the IUID data.

(h) Multiple Freight Pieces: ADC 127 (Reference 3.e) updated the DLMS 856S Shipment Status to carry UII information and pRFID tag information. However, it was documented at that time that there was a known gap under Scenario 3 of ADC 127 (Multiple Freight Piece Shipments – Materiel shipped in separate pieces without consolidation; no partial TCN). In this scenario, there is one customer requisition that is shipped in multiple boxes. Each box will have a Military Shipping Label (MSL) and pRFID at the carton level. Each MSL will be the same, except for the box designation that shows box number and total number of boxes (e.g., Box 1 of 3, 2 of 3, and 3 of 3). Under current business rules, there will only be one DLMS 856S Shipment Status for the entire shipment, referencing the total quantity shipped for the customer order, document number and one transportation control number (TCN); if pRFID tags are applied, they will be sent with no association to a particular box. The problem in this scenario is if the boxes become separated while intransit, which can happen, then there is no association of specific piece quantity, pRFID tag, UIIs and/or serial numbers to a particular box. See Enclosure 3 for a representation of the relevant data for the box number and relationship to the pRFID tag.

1. To resolve this issue, the DLMS 856S Shipment Status will be modified to identify the number of boxes associated with a particular document number – TCN pair and the contents of each box, to include quantity, pRFID tag(s), and UII(s) and/or serial numbers.

2. The HL segment/loop will be used to identify the contents of each box. Since the first HL loop is allocated to addressing and the second HL loop is allocated to the shipment, the third HL loop will be the start point for describing the box contents via the pack loop. Note that the parent in this instance will be the shipment loop. The HL loop for this scenario will always contain an SLN segment to identify the box contents; it may also contain a REF segment to carry any pRFID information in the Pack loop associated with the box.

- HL01 = “3”
- HL02 = “2”
- HL03 = “P”

3. A new segment will be added to the DLMS 856S to carry the information identifying the box number, total number of boxes, and the quantity and unit of issue in the box. If the MRO quantity is one, but it takes multiple boxes to ship the item, then the pack loop for box number one will show a quantity of one and the SLN03 = “I” (alpha ‘oh’). Subsequent boxes will show a quantity of zero and the SLN03 = “O” (alpha ‘eye’); this is to serve as an indicator that the MRO order is for a quantity of one, but shipped in multiple boxes due to the nature of the item.

- SLN01 = [Box Number]
- SLN02 = [Total number of boxes for the TCN]
- SLN03 = “I” (alpha ‘eye’) (if quantity is one or greater) or “O” (alpha ‘oh’) (if quantity is zero)
- SLN04 = [Quantity in the box]
- SLN05 = [Unit of Issue]

4. If pRFID was applied to the box (i.e., carton level tag), then a REF segment will be passed to identify the tag numbers for the box number cited in the SLN01.

- REF01 = “JH”
- REF02 = [pRFID tag number]

5. Separate iterations of the HL pack loop will be used until all individual boxes are accounted for in the DLMS 856S.

6. To identify the UIIs and/or serial numbers associated with each box, use separate HL item loops to identify the UII information. If there is pRFID at the item level, the pRFID tag information will be passed in a REF segment within the applicable item loop to which it applies. A separate HL item loop will be generated for each item; the parent will be the associated HL Pack loop matching the box which contains the UII and/or serial number.

Staffing Note: Request United States Transportation Command/DTR Administrator consider a change to the DTR 4500.9-R that no longer authorizes traffic management officers to create multi-freight piece shipments. While it served as an efficient tool many years ago, with the increasing emphasis of in-the-box visibility of items down to the UII, it is losing its efficiency. The overall supply chain would have better control visibility if in these situations, the TCN were partialled in record position 16. If the DTR change is made, it would obviate the need for this extensive/complex change required in this multi-freight piece section of this DLMS change.

(i) Non-MILSTRIP Shipments Documented on a DD1149: When the shipping activity is requested to ship materiel documented by a DD1149, Requisition and Invoice/Shipping Document, ADC 417 modified the DLMS 856S Shipment Status to enable the generation of a shipment status for these shipments.

1. The first HL loop is allocated to addressing and the second HL loop is allocated to the shipment. If there is pRFID at the carton level, it will be passed in the third HL loop, which will be a pack loop.

2. To identify the UIIs and/or serial numbers, use separate HL item loops to identify the UII and/or serial number information. If there is pRFID at the item level, the pRFID tag information will be passed in a REF segment within the applicable item loop to which it applies. A separate HL item loop will be generated for each item. If there is a pack loop, then the item loop will identify the associated pack loop as its parent in the HL02; if there are no pack loops, then there will be no HL02.

d. Revisions to DLM 4000.25 Manuals:

(1) Refer to Enclosure 1 for the detailed changes to the DLMS 856S Shipment Status and DLMS 842A/W SDR.

(2) Refer to Enclosure 2 for revisions to the DLM 4000.25, DLMS, Volume 2 Chapter 5 to reflect updates to the business rules for the processes addressed by this PDC. Changes to the DLMS manual are identified in the enclosure by *red, bold italics*.

(3) Refer to Enclosure 3 for revisions to DLM 4000.25, DLMS, Volume 2, Chapter 17, Supply Discrepancy Reporting, and Appendix 3, Supply Discrepancy Report Relevant Data Elements, to reflect updates to the Shipping Packaging and Storage Discrepancy Code (commonly referred to as Discrepancy Code).

e. Proposed Transaction Flows: No changes to transaction flow are required, except as specifically identified for LROs.

f. Alternatives: None identified, except as shown above for shipment status in response to a follow-up.

5. REASON FOR CHANGE: Supports the implementation of the DOD IUID Supply Policy. This change proposal documents how the UII requirements will be implemented within the DLMS 856S Shipment Status transaction and 842A/W SDR.

6. ADVANTAGES AND DISADVANTAGES:

a. Advantages: Providing the UII in the shipment status enables traceability of a UII to a physical location, as an item is issued and travels through the supply chain to the end user or other ultimate destination. This change enables the ability to notify downstream customers to whom items are being transported. This change allows the DLMS 856S Shipment Status to be used for transfer of government furnished property under a contract where the DOD IUID Supply Policy applies.

b. Disadvantages: None identified.

7. ASSUMPTIONS USED OR WILL BE USED IN THE CHANGE OR NEW DEVELOPMENT:

a. Users of this change have fully implemented the DLMS transaction capability in their business application.

b. The IUID Indicator will be available in the DLA Logistics Information System Master Data Capability (MDC) by April 2013 and in 2017, the reengineered FLIS will incorporate the IUID Indicator. This will require Components to initially modify systems to access the IUID Indicator in the MDC after April 2013, and later obtain the IUID Indicator through a standard cataloging interface when the redesigned FLIS is operational.

c. Designated ship-to activities will be WAWF compliant and will be registered to receive the WAWF ASN for new procurement items.

d. This PDC changes the policy currently in place for UIT by formalizing the inclusion of the UII in the shipment status.

8. ADDITIONAL FUNCTIONAL REQUIREMENTS: It is possible to expand the available information contained in the IUID loop in association with the UII and serial number, so that more information about a particular item can be communicated. During review of this PDC, Services/Agencies should consider this opportunity to formally add the batch/lot number to the

information within the loop as a mechanism to tie together specific items with their associated batch/lot number when this would be appropriate operationally. This would supplement the capability to identify the batch/lot number(s) applicable to the shipment independent of the specific item identification. The capability is currently identified in the DLMS 856S as a DLMS enhancement. A comparable enhancement capability is under consideration for inclusion of the batch/lot number in the “envelope” used to retain a relationship between a UII and its associated serial number in the bar coded data provided for serialized item shipments on the Issue Release/Receipt Document (IRRD) (DD Form 1348-1A or DD Form 1348-2). Refer to PDC 399A (see Reference 3.g.). **Staffing Note:** Services/Agencies should evaluate their requirement for identification of the batch/lot number and provide feedback on this approach with the Service/Agency staffing response.

9. ESTIMATED TIME LINE/IMPLEMENTATION TARGET: Staggered implementation is authorized. Implementation may begin as early as July 2013; full implementation is targeted for December 2015.

10. ESTIMATED SAVINGS/COST AVOIDANCE ASSOCIATED WITH IMPLEMENTATION OF THIS CHANGE: Not available.

11. IMPACT:

a. New DLMS Data Elements:

(1) Add IUID Received/Not Received Indicator for use in the SDR transaction. This is a one position indicator to distinguish IUID content provided in the SDR as applicable to items received or items not received. This indicator is required when providing both UIIs and/or serial numbers associated with a mismatch between the expected/intended item(s) and the item(s) actually received. Code values are R-Received and N-Not Received.

(2) Add multi-freight piece shipment data to include ‘Box Number’ and ‘Total Boxes’ (Table 1).

Table 3. Enhanced Content Definitions

	DS 4030 856S Enhanced Data Content	Usage Notes	Field Length
1.	Box Number	The number of the box used when identifying multi-freight piece shipments	1/20
2.	Total Number of Boxes	The total number of boxes in the shipment when identifying multi-freight piece shipments	1/20
3.	Box Quantity	The quantity of the MRO in the identified box when identifying multi-freight piece shipments	1/15

b. Changes to DLMS Data Elements:

(1) Specific data elements are to be removed from the DLMS 856S Shipment Status and 842 A/W SDR transaction, as shown in Enclosure 1.

(2) Revise the narrative explanation associated with Shipping Packaging and Storage Discrepancy Code as follows:

U08 Mismatch between unique identification data on item *or packaging marks/labels* and *the associated* shipping documentation

U09 Mismatch between unique identification data on item *or packaging marks/labels* and *the associated* due-in/~~OE~~ shipping notice

c. Component Automated Information Systems:

(1) Shipment Status Processing

a. Component automated information systems for shipping, shipment consolidation, and receiving need modification to ensure the IUID content is always included in the 856S Shipment Status transaction when applicable and required under DOD IUID Supply Policy.

b. Initial shipping activities, to include co-located DLA CCPs acting as the initial shipping activity, will always be required to include IUID content when the IUID Indicator is Y.

c. For shipments in response to LROs, the initial shipping activity must ensure the DLMS enhancement to identify the ship-to activity is implemented.

(2) SDR Processing

a. To facilitate reporting of discrepancies, particularly those involving discrepancies where inclusion of the IUID information is required/desirable, the SDR submission process should be integrated with the receiving process allowing receipt data to be captured once and reused.

b. SDR applications providing IUID content will normally reflect the UII and/or serial number applicable to items received; however, in the case of mismatches in IUID data, it may be necessary to perpetuate the UII and/or serial number for items not received. A new data element is established in the IUID loop to distinguish between IUID-required items received and not received.

d. DLA Transaction Services:

(1) No capability is required to store IUID information within DLA Transaction Services databases, outside of standard DLMS transaction history reporting requirements.

(2) Shipment Status (LRO): The DAAS generated DLMS 856S in response to the original shipping activity DLMS 856S (DIC AS6) will only be generated as a DLMS transaction; there is no requirement to map it back to legacy MILSTRIP DIC AS_.

(3) DOD WebSDR: SDR transactions and the WebSDR database will be updated to support use of the IUID Received/Not Received Indicator. WebSDR input screens will be modified to be consistent with the DLMS 842A/W transaction content. At this time, the WebSDR database can provide visibility of a maximum of 25 entries for IUID content. SDRs submitted with more than 25 UIIs will be passed to the receiving system via transaction, but the additional values will not be retained as visible data in the WebSDR database. Email recipients will receive up to the maximum of 25 entries. Additional PDCs will be provided as needed to further enhance SDR procedures related to IUID based upon Service/Agency requirements and evolving policy.

e. Non-DLA Logistics Management Standards Publications: IUID requirements are being addressed in the update to DOD 4140.1-R that will be republished as DOD 4140.01-M, DoD Supply Chain Materiel Management Procedures, at a future date. Components will update local procedures as necessary.

Enclosure 1, DLMS Supplement Revisions

Item #	Location	DLMS 842A/W Supply Discrepancy Report (SDR), Follow-up, Correction, Cancellation, & Reconsideration Request	Reason
1.	DLMS Introductory Notes	<p><u>Add PDC 1030 to DLMS Introductory Note 3:</u></p> <p align="center">- <i>PDC 1030, Implementation of Item Unique Identification (IUID) in the DLMS Shipment Status Supporting DoD IUID Supply Policy Procedures and Associated Supply Discrepancy Report Procedures</i></p>	To identify DLMS changes included in the DLMS Supplement
2.	Throughout DLMS Supplement	<p><u>Revise notes to reflect updated terminology as follows:</u></p> <p>From UID (Unique Identification) to <i>IUID (Item Unique Identification)</i>.</p>	Administrative change to update terminology.
3.	2/NCD03/2300	<p>Revise DLMS Note as shown:</p> <p>DLMS Note:</p> <p>1. Use as a counter to satisfy ANSI syntax. Cite numeric 1 EXCEPT where additional NCD loops are used to report multiple missing component parts or when providing unique identification of discrepant items. In these instances, increase incrementally by 1 for each missing component or uniquely identified item identified.</p> <p>2. When providing item unique identification due to a mismatch (including shortage/overage) resulting from comparison between shipping notice, due-in, or documentation, and the packaging or item, follow the numeric counter by an indicator to distinguish the item(s) received from the anticipated item(s) not received. Suffix the counter by the letter R for items received and N for items not received. See PDC 1030.</p> <p>3. Use of this looping structure to describe multiple incorrect items received in association with Discrepancy Code W5, Mixed Stock, is reserved for future implementation.</p>	Supports new usage to identify IUID content as received or not received when reporting an IUID mismatch.
4.	2/REF01/2600	<p>Revise DLMS Note at data element level:</p> <p>DLMS Note:</p> <p>1. For DLMS use, the following codes are authorized.</p> <p>2. Use codes separately or in combination, to identify appropriate information for <i>DoD IUID Supply Policy, including, but not limited to</i> unique item tracking (UIT) programs or reporting under UID policy. <i>Authorized DLMS Enhancement. See PDC 1030.</i></p>	Clarification of usage

Item #	Location	DLMS 842A/W Supply Discrepancy Report (SDR), Follow-up, Correction, Cancellation, & Reconsideration Request	Reason
5.	2/REF01/2600	<p>Remove PM and associated notes:</p> <p>PM—Part Number</p> <p>DLMS Note:</p> <p><i>1. Use to identify the missing component by part number or description.</i></p> <p><i>2. Use in UID loop to identify the applicable part number. This will be the original part number when associated with the UII. This is a future enhancement. (A data maintenance action was approved in version 5020. The approved code/name is "OPN—Original Part Number")</i></p> <p><i>3. For PM: WebSDR field length currently = 25 and will be modified to = 32.</i></p>	Removes requirement to identify individual parts of the UII

Item #	Location	DLMS 856S Shipment Status	Reason
1.	DLMS Introductory Notes	<u>Add PDC 1030 to DLMS Introductory Note 3:</u> - <i>PDC 1030, Implementation of Item Unique Identification (IUID) in the DLMS Shipment Status DoD IUID Supply Policy Procedures and Associated Supply Discrepancy Report Procedures</i>	To identify DLMS changes included in the DLMS Supplement
2.	Throughout DLMS Supplement	<u>Revise notes to reflect updated terminology as follows:</u> From UID (Unique Identification) to <i>IUID (Item Unique Identification)</i> .	Administrative change to update terminology.
3.	2/SLN/0400	<u>Open the SLN/0400 Segment and add a DLMS note:</u> DLMS Note: Must use only in the 2/HL/0100 ‘P’ (Pack/RFID) loop to identify the box number, total number of boxes, and quantity in the box when preparing an 856S transaction that includes multi-freight piece shipments. When present, UII data and/or serial numbers will be carried in IUID loops subordinate to ‘P’ (RFID) loops.	
4.	2/SLN01/0400	<u>Open data element SLN01 and add DLMS note:</u> DLMS Note: In the SLN01 contained in the first iteration of the 2/HL/0100 ‘P’ loop, cite numeric 1 to represent box number. Increment the value conveyed in the SLN01 by 1 for each box represented by subsequent iterations of the 2/HL/0100 ‘P’ loops.	
5.	2/SLN02/0400	<u>Open data element SLN02 and add DLMS note:</u> DLMS Note: In each 2/SLN/0400 iteration, cite the total number of boxes for the TCN identified in the 2/HL02/0400 shipment information loop.	

Item #	Location	DLMS 856S Shipment Status	Reason
6.	2/SLN03/0400	<p><u>Open data element SLN03 and add new qualifier 'I' and 'O' with DLMS note:</u></p> <p>I Included DLMS Note: <i>1. Use in the Pack loop to indicate if the MRO quantity in the box (SLN04) is one or greater. See PDC 1030.</i> <i>2. DLMS Enhancement; see DLMS introductory note 2f.</i></p> <p>O Information Only DLMS Note: <i>1. Use in the Pack loop to indicate no quantity reported in SLN04, when total MRO quantity equals one and that MRO quantity is already identified in a different box with SLN03=I and SLN04=1. See PDC 1030.</i> <i>2. DLMS enhancement; see DLMS introductory note 2f.</i></p>	<p>Adds indicator to loop when MRO quantity is 1 (one), but multiple boxes are required to execute the shipment, resulting in no quantities reported in boxes 2 (two) and beyond.</p>
7.	2/SLN04/0400	<p><u>Open data element SLN04 and add DLMS note:</u></p> <p>DLMS Note: <i>Use to identify the quantity of the MRO in the box identified in the respective 2/SN1/0300 Item Detail loop.</i></p>	
8.	2/SLN05-01/0400	<p><u>Open data element SLN05 and add DLMS notes.</u></p> <p>DLMS Note: <i>Use to identify the unit of issue for the material included in the box identified in the respective SNI Detail Loop. DLMS users see the Unit of Issue Conversion Table for available codes.</i></p>	
9.	2/REF/1500	<p><u>Revise DLMS Note at segment level:</u></p> <p>1. This transaction will support unique will support unique item identification based upon the UII or the serial number. Data elements associated with the UII may be identified separately. Use the appropriate data elements to satisfy the desired functionality. Pending full transition to DoD IUID Supply Policy using the UII, shipment status shall be prepared using both the UII and corresponding serial number when available and required by DoD IUID Supply Policy. See PDC 1030.</p>	<p>Based on deleting the individual data elements associated with the UII</p>

Item #	Location	DLMS 856S Shipment Status	Reason
10.	2/REF01/1500	<p><u>Delete Federal Note and revise DLMS Note at data element level:</u></p> <p>Federal Note: Use any code.</p> <p>DLMS Note: 1. Use codes separately or in combination, to identify appropriate information <i>for DoD IUID Supply Policy, including, but not limited</i> to unique item tracking (UIT) programs. <i>See PDC 1030.</i> 2. For DLMS use, only the following codes are authorized.</p>	Clarifies intended use to support DoD IUID Supply Policy.
11.	2/REF01/1500	<p><u>Remove codes PM and QW with associated notes:</u></p> <p>PM Part Number DLMS Note: 1. Use in UID loop to identify the applicable part number. This will be the original part number when associated with the UII. A data maintenance action was approved in version 5020. The approved code/name is "OPN - Original Part Number". 2. DLMS enhancement; see introductory DLMS 2a.</p> <p>QW New Part Number DLMS Note: 1. Use in UID loop to indicate the current part number when different from the original part number identified in the UII. 2. DLMS enhancement; see introductory DLMS 2a.</p>	Removes requirement to identify individual parts of the UII
12.	2/REF01/1500	<p><u>Revise DLMS Notes for codes SE and U3:</u></p> <p>SE Serial Number DLMS Note: 1. Use in UID loop to identify the serial number. <i>See PDC 1030.</i> 2. DLMS enhancement; see introductory DLMS 2f.</p> <p>U3 Unique Supplier Identification Number (USIN) DLMS Note: 1. Use in UID loop to identify the UII value in REF03. <i>See PDC 1030.</i> A data maintenance action was approved in version 5020. The approved code/name is "UII - Department of Defense Unique Item Identifier". 2. DLMS enhancement; see introductory DLMS 2f.</p>	Revise DLMS enhancement status to authorize for implementation by modernized systems under DLMS migration.

Item #	Location	DLMS 856S Shipment Status	Reason
13.	2/REF04-01 /1500	<p><u>Remove code TO and associated note:</u></p> <p>TO — Dealer Type Identification DLMS Note: 1. Use to provide the UH Type, e.g., VIN, UID1, UID2, etc. A data maintenance action was approved in version 5030. The approved code/name is "UTY — Unique Item Identifier Type". 2. DLMS enhancement; see introductory DLMS note 2a.</p>	Removes requirement to identify individual parts of the UII
14.	2/N101/2200	<p><u>Revise DLMS Notes for code ST</u></p> <p>ST Ship To DLMS Note: 1. Use to identify the organization to receive the material. 2. For shipment status in response to LROs (DIC AS6), use to identify the ship to activity as directed in the LRO. Authorized DLMS enhancement. See PDC 1030. 3. For disposal shipments use to identify the DRMO. 2. For other than shipments to disposal, this is a DLMS enhancement; see introductory DLMS note 2a.</p>	Clarify DLMS enhancement to identify the ship-to activity for LRO shipments.
15.	2/N101/2200	<p><u>Remove code IAT and associated note:</u></p> <p>IAT — Party Executing and Verifying DLMS Note: 1. Use to indicate the Enterprise Identifier (EID) responsible for the UII. A data maintenance action was approved in version 5020. The approved code/name is "EID — Department of Defense Enterprise Identifier". 2. The value of the UID Issuing Agency Code (IAC) may be derived from the qualifier used for the Enterprise Identifier. Use only N103 qualifiers for which a corresponding IAC is noted.</p>	Removes requirement to identify individual parts of the UII

Item #	Location	DLMS 856S Shipment Status	Reason
16.	2/N103/2200	<p><u>Revise DLMS Notes for codes 1, 10, and 33</u></p> <p>1 D-U-N-S Number, Dun & Bradstreet DLMS Note: 1. Corresponds to IAC 'UN'. 2. DLMS enhancement; see introductory DLMS note 2a.</p> <p>10 Department of Defense Activity Address Code (DODAAC) DLMS Note: 1. When applicable to Enterprise Identifier, corresponds to IAC 'LD'. 1. Use as needed to identify the organizations listed to include: ship-to, bill-to, and shipping activity. 2. DLMS enhancement; see introductory DLMS note 2a.</p> <p>33 Commercial and Government Entity (CAGE) DLMS Note: Corresponds to IAC 'D'.</p>	Removes requirement to identify individual parts of the UII
17.	2/N103/2200	<p><u>Remove code 41 and associated DLMS note:</u></p> <p>41 Telecommunications Carrier Identification Code DLMS Note: 1. Corresponds to IAC 'LB' (ANSI T1.220, Commercial Telecommunications Standards). 2. DLMS enhancement; see introductory DLMS note 2a.</p>	Removes requirement to identify individual parts of the UII

Enclosure 2, Changes to DLM 4000.25, Volume 2, Chapter 5, Status Reporting

C5.1. SUPPLY AND SHIPMENT STATUS - GENERAL

C5.1.1. Status Data. Status data is either supply status or shipment status. Sources of supply to include inventory control point (ICP)/integrated materiel manager (IMM) and shipping activities prepare status transactions using the applicable transaction described under paragraphs C5.1.2. and C5.1.3.. Status documents from sources of supply shall be forwarded to the Defense Automatic Addressing System (DAAS) for transmission to status recipients. Status data may be informational or require additional action by organizations based on the assigned status code. Status recipients include, but are not limited to, requisitioners, storage activities, control offices, and/or monitoring activities. For security assistance (SA) shipment status, the control office or monitoring activity receives the status from the source of supply and provides it to the appropriate country status recipient. For foreign military sales (FMS) customers, the status goes to the Military Assistance Program Address Directory (MAPAD) type address code (TAC) 4 country status recipient. For grant aid (GA) customers, the status goes to the MAPAD TAC 3 country/in-country security assistance organization (SAO) status recipient.

C5.1.1.1. Supply Status. Supply status informs organizations of action taken or being taken on materiel requisitioned but not shipped, shipment consignment instructions, or disposition instructions for materiel offered under the materiel returns program (MRP).

C5.1.1.2. Shipment Status. Shipment status informs organizations of the actual shipping dates (such as the date released to the carrier), the release criteria for shipments, or shipment delay notifications. It also provides for an interface with transportation and for shipment tracing by organizations under [DTR 4500.9-R](#).

C5.1.1.3. Item Unique Identification. Shipment Status for NSNs containing an IUID Indicator Yes (Y) indicating that DoD IUID Supply Policy is required must contain the Unique Item Identifier (UII) and/or serial number for each item when available. See Section C5.1.3.6 for specific shipment status requirements for IUID.

[Intervening text not shown]

C5.1.3. Types of Shipment Status

C5.1.3.1. Preparation of Shipment Status. Shipment status shall be provided by the shipping activity or the source of supply for direct vendor delivery (contractor direct) or in response to a requisition follow-up. The consolidation and containerization point (CCP) and other locations performing consolidation subsequent to issuance of shipment status may also provide shipment status for the purpose of identifying passive radio frequency identification (pRFID).⁷ Under DLMS, the shipment status shall include enhanced data content and support item unique identification (IUID) and intransit visibility requirements as directed under DoD policy/procedures, when available and pending full DLMS implementation/modernization. Shipment status shall be provided by the DoD shipping activity, the CCP, or by the source of

⁷ Refer to ADC 257, DLMS Shipment Status Generated by the Consolidation and Containerization Point (CCP)

supply⁸ using the DLMS 856S. Maintenance activities (organic and commercial) shall provide shipment notification to the receiving activity and other interested parties when materiel is shipped to the distribution depot, DLA Disposition Services Field Office, or other designated receiving activity per source of supply/inventory control point guidance. This may be accomplished using either the DLMS 856S Shipment Status, or the DLMS 856 Advance Shipment Notice (ASN), provided via Wide Area Work Flow-Receipt and Acceptance (WAWF-RA).⁹ The DLMS Shipment Status shall include asset visibility content, such as IUID, and intransit visibility requirements, such as pRFID and the TCN as directed under DoD policy/procedures ([DoD 4140.1-R](#)). DLMS enhancements include, but are not limited to the following:

C5.1.3.1.1. PRFID for the shipment unit/case/pallet associated at the requisition document number level. The shipment status transaction may identify a hierarchy to clarify the relationship of pRFID tags within different shipment levels.

C5.1.3.1.2. For Unique Item Tracking (UIT) purposes, the ~~IUID~~ **UII (when available)** and/or serial number **shall be added to the shipment status transaction**. Serial number without **the** applicable ~~IUID~~ **UII** may only be used during MILSTRIP/DLMS transition and pending implementation of IUID capability. ~~Additional IUID information as identified in the DLMS 856S is optional.~~ Refer to Chapter 19 for UIT guidance.

C5.1.3.1.3. Under the DoD IUID Supply Policy, the UII and/or serial number (when available) will be added to the shipment status transaction. Serial number without the applicable UII may be used only during MILSTRIP/DLMS transition and pending implementation of IUID capability. Paragraph C5.1.3.6 contains specific procedures to identify the UII in shipment status transactions when the NSN(s) contains the IUID Indicator Y denoting that serialized item management is required.

C5.1.3.1.4. Both the TCN and a secondary transportation number, such as the small package carrier number, when this is applicable.¹⁰

C5.1.3.1.5. Identification of the carrier when other than United States Postal Service (USPS) by name and Standard Carrier Alpha Code (SCAC).¹¹

C5.1.3.1.6. Identification of the initial DoD shipping activity (origin) by DoDAAC.¹²

C5.1.3.1.7. For OCONUS shipments made via the Defense Transportation System (DTS), GBL/CBL, parcel post, and small package carrier shipments, specific

⁸ Direct vendor delivery shipment status using the 856S includes shipment status prepared by the DLA-sponsored Defense Planning and Management System (DPMS) application.

⁹ Business rules for use of the 856 for GFM or Property Transfer, including internal DoD transfers, are evolving. Refer to the Defense Procurement and Acquisition policy for UID available at url; <http://www.acq.osd.mil/dpap/pdi/uid/index.html>. Specific applicability and interoperability issues to be resolved by the UID Program Office and DUSD(L&MR)SCI.

¹⁰ Refer to ADC 223, DLMS Shipment Status Enhancements: Secondary Transportation Number, Initial Shipping Activity, Carrier Identification, and POE, approved for phased and staggered implementation.

¹¹ Ibid.

¹² Ibid.

identification of the POE or CCP. The shipment status shall specify air terminal, water terminal, or CCP by applicable qualifier code in the transaction. (During MILSTRIP/DLMS transition, DAAS may substitute a generic terminal qualifier for shipment status transactions converted from legacy 80 record position transactions where the type of facility is unknown.)¹³

C5.1.3.1.8. Under DLMS, the shipment status shall perpetuate data content as applicable: project code, the special requirements code (legacy MILSTRIP required delivery date (RDD) coded entries, e.g. 999), and priority designator.¹⁴

C5.1.3.1.9. The transportation priority shall be included in all shipment status transactions as derived under DoD 4140.1-R guidance or other pertinent criteria.¹⁵

C5.1.3.1.10. The shipment status may include the unit price (required for Distribution Standard System (DSS)-generated shipment status; otherwise optional).¹⁶

C5.1.3.2. Shipment Status from the CCP or Other Locations Performing Consolidation. Shipment status shall be provided by the CCP or other locations performing consolidation subsequent to the original issuance of shipment status, for the primary purpose of providing updated RFID information. This in turn supports intransit asset visibility and receipt processing. Other locations include distribution depots performing consolidation of local deliveries resulting in pRFID updates.

C5.1.3.2.1. Preparation of the CCP/Consolidation Shipment Status

C5.1.3.2.1.1. The CCP/consolidation shipment status shall be identified by a unique code in the transaction and shall include the information as describe below.

C5.1.3.2.1.1.1. Ship-To-Activity. This activity shall be explicitly identified.

C5.1.3.2.1.1.2. Lead TCN. This TCN may differ from that on the original shipment status.

C5.1.3.2.1.1.3. RFID Tag Value. When applicable, the transaction shall contain multiple pRFID tag values using a hierarchical structure. The original pRFID shall be repeated when it is available. Any additional tag values available shall also be provided.

C5.1.3.2.1.1.4. Transaction Originator. This shall identify the routing identifier code (RIC) of the ICP perpetuated from the original shipment status.

C5.1.3.2.1.1.5. Consolidation Activity. This shall identify the DoDAAC of the location where the consolidation occurred, e.g. CCP or depot performing local delivery manifesting.

¹³ Ibid.

¹⁴ Refer to ADC 242, Shipment Status DS 856S: Priority Designator (PD), Transportation Priority, Project Code, Special Requirements Code, approved for phased and staggered implementation.

¹⁵ Ibid

¹⁶ Refer to ADC 242A, Inclusion of Unit Price on DLMS Shipment Status (DS 856S).

C5.1.3.2.1.1.6. Shipment Date. This shall be the CCP/consolidation point shipment date.

C5.1.3.2.1.1.7. Mode of Shipment. This shall be the mode shipped by the CCP/consolidation point.

C5.1.3.2.1.1.8. IUID Data. UII and/or serial numbers (when available) shall be included for NSNs with an IUID Indicator Y. Requirements for including the UII in the CCP/Consolidation Shipment Status are provided in C5.1.3.6.

C5.1.3.2.1.2. Shipment status information content may be repeated from the original shipment status when this information is available, (e.g., when the original shipper was a co-located distribution depot). Where access to the original shipment status information is not available, the original data content shall not be perpetuated and applicable data fields shall not be populated.

[Intervening text not shown]

C5.1.3.3. Shipment Status for Local Delivery Manifested, Outbound MILSTRIP Shipments on Behalf of On-Base Customers, Re-warehousing actions/transshipments between Distribution Depots in support of ‘Home’ Industrial Activity and ‘Forward Support’ Industrial Activity site materiel requirements, and non-MILSTRIP Shipments (e.g., DD Form 1149) to Off-Base Customers, with PRFID. For shipments prepared by the transportation office that are local delivery manifested, materiel processing center (MPC) deliveries, outbound MILSTRIP shipments on behalf of on-base customers, re-warehousing actions between distribution depots, and outbound non-MILSTRIP shipments (e.g., DD Form 1149) to off-base customers, the shipment status shall be prepared in accordance with paragraph C5.1.3.1 using a DLMS 856S, Shipment Status, to include identifying the pRFID information and associating the tag data to the document number of the item(s) to be transshipped or cross-docked.

[Intervening text not shown]

C5.1.3.3.3. For outbound non-MILSTRIP shipments documented on a DD Form 1149, a DLMS 856S shall be created. Table C5.T1 lists the minimum data elements that shall be included in the shipment status message; sources of the data are the DD Form 1149 and pRFID tag information. ***For NSNs containing the IUID Indicator Y, include the UIIs and/or serial number(s) for each item when available.***

[Intervening text not shown]

C5.1.3.5. Shipment Status for Multiple Freight Piece Shipments. For NSNs with an IUID Indicator Y, the UIIs and/or serial numbers will be associated to their respective boxes. Multiple freight piece shipments are materiel shipped in separate pieces without consolidation and no partial TCN. In this situation, there is one customer document number that is shipped in multiple boxes. Each box will have a military shipping label (MSL) and may have passive RFID at the carton level. Each MSL will be the same, except for the box designation that shows box number and total number of boxes (e.g., Box 1 of 3, 2 of 3, and 3 of 3). To retain in-the-box visibility, in the event the boxes become separated while intransit, the DLMS 856S Shipment Status transaction will associate the item quantity within the freight

piece, passive RFID tag (if applied) and UIIs and/or serial numbers (if NSN has IUID Indicator Y to a particular box).

C5.1.3.5.1. To identify the box contents and associated pRFID tag numbers, use the HL pack loop with the following data:

C5.1.3.5.1.1. Box Number

C5.1.3.5.1.2. Total Number of Boxes for the TCN

C5.1.3.5.1.3. Quantity Indicator. Use I if the quantity in the box is one or greater. Use O (alpha) if the quantity in the box is zero; this occurs when the MRO quantity is one, but the item is shipped in multiple freight pieces (e.g., Bailey's Bridge, crane)

C5.1.3.5.1.4. Item Quantity in the individual box

C5.1.3.5.1.5. Unit of Issue

C5.1.3.5.1.6. Passive RFID tag number (if applied)

C5.1.3.5.2. Separate iterations of the HL pack loop must be used until all individual boxes comprising the total multiple freight piece shipment are accounted.

C5.1.3.5.3. See C5.1.3.6 for specific procedures to include the UII and /or serial number when available.

C5.1.3.6. Item Unique Identification Shipment Status

C5.1.3.6.1. UII and/or Serial Number on Shipment Transactions. For NSNs that contain the IUID Indicator Y, storage activities (or initial shipping activity) will provide the UII and/or serial number, on outbound shipment status using the DLMS 856S transaction. If the UII is not available provide the serial number if available. The long-term end state goal is to rely on the UII only. Table C5.T1 shows the decision matrix that applies to scenarios where the UII and/or serial number may not be available when the item is being shipped. The overriding vision is that, pending full transition to DoD IUID Supply Policy using the UII, processing of outgoing shipments does not stop due to lack of a viable UII and/or serial number when the NSN contains an IUID Indicator Y.

Table C5.T1. Shipment Decision Matrix

UII	Serial Number	Approved UIT	Machine Readable Serial Number	Release Shipment?
Y	Y	N	Y	Y
Y	N	N	N	Y
N	Y	N	Y	Y
N	N	N	N	Y
Y	Y	Y	Y	Y
Y	N	Y	N	N
N	Y	Y	Y	Y
N	Y	Y	N	N
N	N	Y	N	N

Note: N (No) in the Release Shipment column indicates additional research is required by the shipping activity to identify a valid UII and/or serial number or to hand type the serial number data when required for UIT items.

C5.1.3.6.2. Applicability. The requirement applies to shipments originated by the storage activity in receipt of any of the following directions to pick, pack, and ship: Materiel Release Orders (MRO), Lateral Redistribution Orders (LRO), or Redistribution Orders (RDO). The scope includes materiel shipped under MILSTRIP business rules, as well as non-MILSTRIP shipments documented on a DD 1149, Requisition and Invoice/Shipping Document, when DLMS Shipment Status is provided

C5.1.3.6.3. Issue Release/Receipt Document. Shipping activities will prepare the Issue Release/Receipt Document (IRRD), when applicable, in accordance with DLM 4000.25-1, MILSTRIP, Appendix 1.35 and 1.36, providing the UII(s) and/or serial number(s) of the items shipped using automated information technology (AIT).

C5.1.3.6.4. Due In Record. Receiving activities will use the UIIs and/or serial numbers in the shipment status to create or update the due-in record. This information will be used to verify the UIIs actually received. Receiving activities will follow the supply discrepancy reporting procedures to report mismatches as appropriate.

C5.1.3.6.5. Scenarios for Including the UII in the Shipment Status

C5.1.3.6.5.1. Shipment Status Subsequent to a Materiel Release Order (MRO). Initial shipment status normally is prepared by the storage site on behalf of the materiel owner. When the material is shipped, the shipping activity will prepare and transmit a DLMS 856S with UII(s) and/or corresponding serial numbers, under DoD IUID Supply Policy requirements to DLA Transaction Services. For this scenario and the others to follow, the Defense Automatic Addressing System (DAAS) will route the shipment status to the designated status recipients per standard MILSTRIP distribution rules and to any additional parties as identified in the transaction.

C5.1.3.6.5.2. Shipment Status Subsequent to a Redistribution Order (RDO). Initial shipment status is normally prepared by the storage site. When materiel is shipped, the shipping activity will prepare and transmit the 856S to the designated receiving activity including UII and/or corresponding serial numbers, under the requirements in DoD IUID Supply Policy.

C5.1.3.6.5.3. Shipment Status Subsequent to a Direct Vendor Delivery (DVD). *The source of supply is responsible for providing shipment status for materiel shipped directly by the vendor to the customer. Under this scenario, the source of supply will NOT provide IUID content on the DLMS 856S. Instead, it is anticipated that the receiving activity will be fully DLMS compliant and will receive a copy of the Wide Area Workflow (WAWF) Advance Shipment Notice (856) containing the IUID data content. There is no requirement for redundant transmission of IUID data to the receiving activity.*

C5.1.3.6.5.4. Shipment Status Subsequent to a Lateral Redistribution Order (LRO) with Distribution Code 2 or 3. *The LRO is a request by the manager to redistribute retail stock identified through retail level reporting or access to a retail asset visibility system.*

C5.1.3.6.5.4.1. *In response to the LRO, the shipping activity will prepare and transmit the 856S (DIC AS6) to the originator of the LRO. The shipping activity will include IUID content, Distribution Code 2 or 3, and identification of the ship-to activity.*

C5.1.3.6.5.4.2. *When the LRO shipment status (DLMS 856S (DIC AS6)) contains IUID content, DLA Transaction Services mapping will be used to prepare a DLMS 856S to perpetuate the IUID content to the ship-to activity. DLA Transaction Services, at a minimum, will indicate the following:*

- *DIC AS1 if the ship-to activity is the requisitioner. If the ship-to activity is not the requisitioner, then indicate DIC AS2. The ship-to will be perpetuated from the DLMS 856S (DIC AS6).*

- *The RIC-To from the DLMS 856S (DIC AS6) becomes the RIC-From in the DLMS 856S (DIC AS1) (indicating that the shipment status is provided on behalf of the manager).*

- *Distribution Code 2 or 3*

- *UIIs and/or serial numbers*

- *Signal Code B used in the LRO will NOT be perpetuated*

- *The Supplemental Data field will NOT be perpetuated*

C5.1.3.6.5.4.3. *Upon receipt of the DLMS 856S (DIC AS6), the manager will then generate the shipment status 856S (DIC AS8), without UIIs and with the distribution code from the original requisition and send to DLA Transaction Services, who will route it to status recipients under MILSTRIP distribution rules and to any additional parties as identified in the transaction.*

C5.1.3.6.5.4.4. *The customer supply system must ensure that the shipment status provided by the manager without UIIs does not overlay the LRO shipping activity's shipment status with UIIs. The Distribution Code 2 or 3 may be used to recognize the LRO shipping activity shipment status.*

C5.1.3.6.5.5. Shipment Status Subsequent to a Disposal Release Order (DRO). *In response to directed release of property to a DLA Disposition Services Field Office, the shipping activity will provide shipment status including UII and/or corresponding serial numbers, under the requirements in DoD IUID Supply Policy.*

C5.1.3.6.5.6. Shipment Status in Response to a Follow-Up. *The source of supply will follow current MILSTRIP procedures to prepare the shipment status transaction based on the Materiel Release Confirmation (DLMS 945A) under DoD IUID Supply Policy. Since the MRC does not contain IUID data, no UII/serial numbers will be in source of supply shipment status transaction.*

C5.1.3.6.5.7. Shipment Status Prepared by Consolidation and Containerization Point (CCP) or Other Locations Performing Consolidation. *When the CCP or other location performing consolidation prepares the shipment status, it will include the UII and/or serial number based on DoD IUID Supply Policy. CCP eligibility will not be altered based on the requirement to include the IUID data.*

C5.1.3.6.5.8. Shipment Status on Multiple Freight Pieces.

C5.1.3.6.5.8.1. *When the shipping activity executes a multiple freight piece shipment (e.g., one document number with one TCN shipped in multiple boxes), the shipment status will include the UIIs and/or serial numbers. To identify the UIIs and/or serial numbers associated with each box, use separate HL item loops to identify each UII/serial number pairing. The HL item loops containing the IUID data content shall be subordinate (child) to the respective HL pack loop identifying the box number which it is packed. Table C5.T2 shows a representation of the relevant data for the box number and relationship to the pRFID tag when the customer requisition is shipped in multiple boxes.¹⁷*

Table C5.T2. Scenario Addressing Multi-Freight Piece Shipments With Unique Item Identifiers

Location	Sample Data	Comment
<i>HL01</i>	<i>1</i>	<i>First loop contains addressing information</i>
<i>HL01</i>	<i>2</i>	<i>Second loop contains the shipment information</i>
<i>HL01</i>	<i>3</i>	<i>Third iteration of the HL loop</i>
<i>HL02</i>	<i>2</i>	<i>Parent is the shipment information loop</i>
<i>HL03</i>	<i>P</i>	<i>Pack loop (pRFID and Box Data)</i>
<i>SLN01</i>	<i>1</i>	<i>Box Number</i>
<i>SLN02</i>	<i>2</i>	<i>Total number of boxes for the TCN in HL loop 2</i>
<i>SLN03</i>	<i>1</i>	<i>Quantity in box is greater than or equal to 1</i>

¹⁷ Refer to ADC 1030 for a more detailed discussion on identifying piece, quantity, pRFID and UII data in multi-freight piece shipments.

Table C5.T2. Scenario Addressing Multi-Freight Piece Shipments With Unique Item Identifiers

Location	Sample Data	Comment
<i>SLN04</i>	<i>2</i>	<i>Quantity of MRO in Box #1</i>
<i>SLN05</i>	<i>EA</i>	<i>Unit of Measure</i>
<i>REF01</i>	<i>JH</i>	<i>pRFID qualifier</i>
<i>REF02</i>	<i>1234567890</i>	<i>pRFID tag number</i>
<i>HL01</i>	<i>4</i>	<i>Fourth iteration of the HL loop (only shows box 1 for the UII example)</i>
<i>HL02</i>	<i>3</i>	<i>Parent is the pack/box loop</i>
<i>HL03</i>	<i>I</i>	<i>Item loop (IUID)</i>
<i>REF01</i>	<i>U3</i>	<i>UII qualifier</i>
<i>REF03</i>	<i>9876543</i>	<i>UII</i>
<i>REF04-01</i>	<i>SE</i>	<i>Serial number qualifier</i>
<i>REF04-02</i>	<i>CBA54321</i>	<i>Serial number</i>
<i>HL01</i>	<i>5</i>	<i>Fifth iteration of the HL loop (only shows box 1 for the UII example)</i>
<i>HL02</i>	<i>3</i>	<i>Parent is the pack/box loop</i>
<i>HL03</i>	<i>I</i>	<i>Item loop (IUID)</i>
<i>REF01</i>	<i>U3</i>	<i>UII qualifier</i>
<i>REF03</i>	<i>9876544</i>	<i>UII</i>
<i>REF04-01</i>	<i>SE</i>	<i>Serial number qualifier</i>
<i>REF04-02</i>	<i>CBA54322</i>	<i>Serial number</i>
<i>HL01</i>	<i>6</i>	<i>Sixth iteration of the HL loop</i>
<i>HL02</i>	<i>2</i>	<i>Parent is the shipment information loop</i>
<i>HL03</i>	<i>P</i>	<i>RFID loop</i>
<i>SLN01</i>	<i>2</i>	<i>Box Number</i>
<i>SLN02</i>	<i>2</i>	<i>Total number of boxes for the TCN in HL loop 2</i>
<i>SLN03</i>	<i>I</i>	<i>Quantity in box is greater than or equal to 1</i>
<i>SLN04</i>	<i>1</i>	<i>Quantity of MRO in Box #1</i>
<i>SLN05</i>	<i>EA</i>	<i>Unit of Measure</i>
<i>REF01</i>	<i>JH</i>	<i>pRFID qualifier</i>
<i>REF02</i>	<i>9876543210</i>	<i>pRFID tag number</i>

Table C5.T2. Scenario Addressing Multi-Freight Piece Shipments With Unique Item Identifiers

Location	Sample Data	Comment
<i>HL01</i>	<i>7</i>	<i>Seventh iteration of the HL loop (only shows box 1 for the UII example)</i>
<i>HL02</i>	<i>6</i>	<i>Parent is the pack/box loop</i>
<i>HL03</i>	<i>1</i>	<i>Item loop (IUID)</i>
<i>REF01</i>	<i>U3</i>	<i>UII qualifier</i>
<i>REF03</i>	<i>9876545</i>	<i>UII</i>
<i>REF04-01</i>	<i>SE</i>	<i>Serial number qualifier</i>
<i>REF04-02</i>	<i>CBA54323</i>	<i>Serial number</i>

C5.1.3.6.5.8.2. MRO Quantity of One. *When the MRO quantity is one, and it takes multiple boxes to ship the item, the Pack loop for box number one will show a quantity of one and the SLN03 = 1 (alpha). Subsequent boxes will show a quantity of zero and the SLN03 = 0 (alpha). This serves as an indicator that the MRO order is for a quantity of one, but is shipped in multiple boxes due to the nature of the item.*

C5.1.3.6.5.9. Non-MILSTRIP Shipments Documented on a DD1149. *When the shipping activity is requested to ship material documented by a DD1149, Requisition and Invoice/Shipping Document, see paragraph C5.1.3.3.3. for procedures associated with the construct of the DLMS 856S Shipment Status. To add the UII and/or serial number data, key aspects of the HL looping of the 856S are:*

C5.1.3.6.8.9.1. *The first HL loop is allocated to addressing and the second HL loop is allocated to the shipment. If there is pRFID at the carton level, it will be passed in the third HL loop, which will be a pack loop.*

C5.1.3.6.8.9.2. *To identify the UIIs and/or serial numbers, use separate HL item loops to identify the UII and/or serial number information. If there is pRFID at the item level, the pRFID tag information will be passed in a REF segment within the applicable item loop to which it applies. A separate HL item loop will be generated for each item. If there is a pack loop, then the item loop will identify the associated pack loop as its parent in the HL02; if there are no pack loops, then there will be no HL02.*

C5.1.3.7. Shipment Status Message Changes/Updates. *In the event a shipment does not get lifted as originally intended (e.g., shipment is left off the truck) and the shipment is re-booked, the activities (e.g., shippers, ICPs) that originate the DLMS 856S shipment status transaction shall send an updated transaction with all of the changed transportation information. The shipment status update can also be used to convey updated pRFID tagging information, if it changed from the original erroneous submission. Examples of changed transportation information includes transportation method code, SCAC, ship date, bill of lading information, and tracking information.*

C5.1.3.7.1. Preparation of the Shipment Status Change/Update

C5.1.3.7.1.1. The shipment status change/update message shall be identified by a unique code (BSN02 = RR) in the transaction to flag it as an updated shipment status message.

C5.1.3.7.1.2. It shall convey a new Status Reason Code (BSN07 = A40) to advise the shipment status recipient that the updated shipment status transaction corrects erroneous content data (e.g., transportation data, pRFID data).

C5.1.3.7.1.3. It shall repeat the shipment status information from the original shipment status message, in addition to any changes to the original information.

C5.1.3.7.1.4. It shall convey updated pRFID information if it has changed from the original erroneous submission. When applicable, the transaction shall contain multiple pRFID tag values using a hierarchical structure. The original pRFID shall be repeated when it is available. Any additional tag values available to the shipment status recipient shall also be provided.

C5.1.3.7.1.5. It shall convey changed transportation information (e.g., transportation method code, SCAC, ship date, bill of lading information, and tracking information).

C5.1.3.7.2. DLA Transaction Services Distribution of Shipment Status Change/Update. DLA Transaction Services shall route the shipment status change/update to the shipment status recipient per standard business rules for distribution of the shipment status. DLA Transaction Services shall not distribute the shipment status change/update to MILSTRIP legacy recipients.

C5.1.3.7.3. Use of the Shipment Status Change/Update by the Receiving Activity. The value of this transaction to the receiving activity is to provide corrected transportation data and to support pRFID-enabled receipt processing. DLMS compliant systems' receiving applications should handle the updated transactions as the official shipment status, since they carry the corrected data.

[Remaining text not shown]

Enclosure 3, Changes to DLM 4000.25, Volume 2, for Supply Discrepancy Reporting

A. Revise Chapter 17, Supply Discrepancy Reporting, as follows:

C17.3.8. Discrepancies in Item Unique Identification (IUID) Data

C17.3.8.1. Report ***supply-related*** discrepancies involving IUID under ***DoD IUID Supply policy, including but not limited to*** Unique Item Tracking (UIT) programs, or as contractually required. ***Pending full transition to DoD IUID Supply policy using the unique item identifier (UII), SDRs identifying discrepancies in IUID data will be prepared citing both UII and/or corresponding serial number, when both are available. Applicability under DoD IUID Supply Policy is identified by NSNs with IUID Indicator Yes (Y). Report quality-related deficiencies involving IUID, e.g., improperly constructed unique item identifier within the 2D data matrix, using Product Quality Deficiency Report (PQDR) procedures under DLA Regulation 4155.24, et al.***

C17.3.8.2. ***In order to facilitate reporting of discrepancies, particularly those involving discrepancies where inclusion of the IUID information is required/desirable, the SDR submission process should be integrated with the receiving process allowing receipt data to be captured once and reused.*** IUID discrepancies may be related to the packaging label, including automated information technology (AIT) ***readable content***; the item marking, including AIT ***readable marks***; supply documentation; the due-in record; and/or a mismatch between the item and any of these. ***When reporting an IUID mismatch (including shortage, overage, and incorrect item) the IUID content may be specifically identified as applicable to items received or not received using the IUID Received/Not Received Indicator. If no indicator is provided, the UII and/or serial number will be interpreted as applicable to the materiel received. Pending integrated capability to support IUID reporting in SDRs, remarks text may also be used to clarify the specific mismatched data. Additionally, attachment files may be uploaded/transmitted to DoD WebSDR to identify UIIs and/or serial numbers.*** ~~The elements which may comprise unique identification are: unique item identifier (UII), UII type, issuing agency code, enterprise identifier (or manufacturer's CAGE), part number (original or current), serial number, and batch/lot number. The application of these elements vary according to multiple factors such as the type of item and the specific contract requirements.~~

C17.3.8.3. Discrepancies ~~with~~ ***involving missing or mismatched IUID data*** identified during receipt of new procurement materiel (***including direct vendor delivery (DVD)***) must be reported prior to acceptance. Materiel may be placed in a suspended condition pending resolution. Discrepancies that result in incorrect information within the IUID registry at DLA Logistics Information Service must be reported ***by the receiving activity and for*** corrective action ~~taken~~. ***Pending development of procedures for direct routing of SDRs to DLA Logistics Information Service, send an email to the DLA Logistics Information Service IUID Help Desk (iuid.helpdesk@bpn.gov).*** ***Missing IUID content in DLMS transactions will not be reported for stock shipments pending full transition to DoD IUID Supply Policy procedures except as applicable to UIT programs.***

C17.3.8.4. ***SDRs prepared for a mismatch with no discrepancy in quantity or stock number received should include the UII and/or serial number identifying the mismatch. That***

is, identify the UII and/or serial number for item(s) received that do not correspond to the shipment status, as well as the UII and/or serial number for the expected item(s) NOT received. Cite the IUID discrepancy code.

C17.3.8.5. SDRs prepared for a shortage of items identified by IUID Indicator Y should include the UII and/or serial number for the item(s) NOT received based upon comparison with the shipment status. Cite the applicable discrepancy code for the shortage and the IUID discrepancy code.

C17.3.8.6. SDRs prepared for an overage of items identified by IUID Indicator Y should include the UII and/or serial number for the extra item(s) received based upon comparison with the shipment status. Cite the applicable discrepancy code for the overage and the IUID discrepancy code.

C17.3.8.7. SDRs prepared for receipt of an incorrect item where the item received is identified by an NSN with a IUID Indicator Y should include the UII and/or serial number for the wrong item. Cite the applicable discrepancy code for the incorrect item receipt and the IUID discrepancy code.

C17.3.8.8. Table 1 provides a decision matrix for when an SDR is required based on missing or mismatched IUID data during receipt processing.

Table 2. SDR Decision Matrix: Discrepant IUID Data (IUID Indicator Y)

New Procurement (IUID contractually required)	Approved UIT	Wrong Item Received w/IUID Indicator Y	Missing UII on item or packaging	Mismatch UII with shortage/overage	Mismatch UII no shortage/overage	Create SDR	SDR Action Code ¹⁸
Y	Y/N	N	N	Y	N	Y	1A or 2A
Y	Y/N	N	N	N	Y	Y	1A
Y	Y/N	N	Y	N	N	Y	1A
Y	Y/N	N	N	N	Y	Y	1A
Y	Y/N	N	Y	N	N	Y	1A
Y/N	Y/N	Y	Y/N	Y/N	Y/N	Y	1A or 2A
N	N	N	N	N	Y	Y	3B
N	N	N	N	Y	N	Y	1A or 2A
N	N	N	Y	N	N	N	No SDR
N	Y	N	N	N	Y	Y	1A
N	Y	N	N	Y	N	Y	1A or 2A
N	Y	N	Y	N	N	Y	1A or 3B

¹⁸ SDR Action Codes are selected by the submitter based upon the desired response to the SDR. Codes identified in Table 2 are:

- 1A Disposition instructions for discrepant materiel requested; financial action not applicable.
- 2A Disposition of materiel and financial adjustment (credit) requested.
- 3B Discrepancy reported for corrective action and trend analysis; no reply required.

B. Revise Appendix 3, Supply Discrepancy Report Relevant Data Elements, Discrepancy Codes as follows:

~~**Unique Identification Unique Identification and Unidentifiable Materiel for Discrepancy Codes (Notes also indicated “Serial Number and UII Reason for Discrepancy Codes”)**~~

- U01 Unique identification data on label missing, damaged, or unreadable
- U02 Unique identification data on item missing, damaged, or unreadable
- U03 Unique identification data on supply documentation missing, damaged, or unreadable
- U04 Unique identification data not provided on shipping notice
- U05 Non-conformance to unique identification requirements under terms of contract
- U06 Multiple containers without separate unique identification data listings
- U07 Mismatch between unique identification data on item and label
- U08 Mismatch between unique identification data on item *or packaging marks/labels* and *the associated* shipping documentation
- U09 Mismatch between unique identification data on item *or packaging marks/labels* and *the associated* due-in/~~or~~ shipping notice
- U10 Mismatched or missing unique identification discovered upon opening a sealed pack
- U11 Materiel unidentifiable; stock number missing or damaged
- U12 Duplicate unique identification