IN REPLY
REFER TO DLMSO

August 12, 2008

MEMORANDUM FOR: SUPPLY PROCESS REVIEW COMMITTEE AND JOINT
SMALL ARMS COORDINATING GROUP MEMBERS

SUBJECT: Approved Defense Logistics Management System (DLMS) Change (ADC) 220 in
Two Parts, Part I: Revise Definitions for Small Arms to Address Light Weapons,
and Part II: Visibility and Traceability of Captured, Confiscated or Abandoned
Enemy Small Arms and Light Weapons (Staffed by PDC 134A)

The attached change to DoD 4000.25-M, DLMS, and DoD 4000.25-2-M, Military Standard
Transaction Reporting and Accounting Procedures (MILSTRAP), is approved for immediate
implementation. The updated DLMS supplements will be posted to the Defense Logistics
Management Standards Office Web site, http://www.dla.mil/j-
6/dlmso/elibrary/TransFormats/140_997.asp, within 10 days from the above date.

Addressee may direct questions to the DLMSO point of contact, Ms. Mary Jane Johnson,
Chair, Joint Small Arms Coordinating Group (JSACG), 703-767-0677, DSN 427-0677, e-mail:
Mary.Jane.Johnson@dla.mil. Others must contact their Component designated JSACG or
Supply Process Review Committee representative.

DONALD C. PIPP
Director
Defense Logistics Management
Standards Office

Attachment

cc:
ODUSD(L&MR/SCI)
DOD Small Arms Implementation Working Group Chair

Attachment to ADC 220 in Two Parts,
Part I: Revise Definitions for Small Arms to Address Light Weapons, and
Part II: Visibility and Traceability of Captured, Confiscated or Abandoned Enemy SA/LW

ADC 220 - <u>PART I</u>
Revise Definition of Small Arms and Rename the DoD Small Arms Serialization Program (DODSASP) to Address Small Arms and Light Weapons (SA/LW)

1. **ORIGINATOR:**

   a. **Service/Agency:** Defense Logistics Management Standards Office (DLMSO) and the Joint Small Arms Coordinating Group (JSACG)

   b. **Originator:** Ms. Mary Jane Johnson, DLMSO, DoD MILSTRAP Administrator, JSACG Chair, e-mail Mary.Jane.Johnson@dla.mil

2. **FUNCTIONAL AREA:** Supply, DoD Small Arms Serialization Program (DODSASP), and Unique Item Tracking

3. **REFERENCES:**

   a. United Nations International Instrument to Enable States to Identify and Trace in a Timely and Reliable Manner, Illicit Small Arms and Light Weapons, December 8, 2005 (http://www.un.org/events/smallarms2006/pdf/international_instrument.pdf)

   b. DLMSO memorandum, June 25, 2008, subject: Joint Small Arms Coordinating Group (JSACG) Meeting, June 11, 2008

   c. DLMSO memorandum, May 15, 2007, subject: JSACG Meeting, April 25, 2007

   d. DLMSO memorandum, January 9, 2007, subject: JSACG Meeting, December 12, 2006

4. **REQUESTED CHANGE:**

   a. **Title:** Revise definition of Small Arms and rename the DoD Small Arms Serialization Program (DODSASP) to Address Small Arms and Light Weapons (SA/LW)

   b. **Description of Change:**

   (1) Over the past several years the need for a revision to the small arms definition in DoD 4000.25-2-M, Military Standard Transaction Reporting and Accounting Procedures (MILSTRAP), and DoD 4000.25-M, Defense Logistics Management System (DLMS), has been discussed by the Joint Small Arms Coordinating Group (JSACG). The purpose of this change is to support the changing environment for DoD maintaining visibility and reporting of small arms and light weapons (SA/LW) serial number data within the Department of Defense. The MILSTRAP and DLMS manuals are available at: http://www.dla.mil/j-6/dlmso/eLibrary/Manuals/dlmso_pubs.asp.

(2) This change recognizes that there is not yet an internationally nor DoD agreed definition of SA/LW. The DoD "Small Arms Implementation Working Group (SAIWG)" participated in JSACG discussions of the revised SA/LW definition. The SAIWG is chaired by the Office of Under Secretary of Defense for Acquisition, Technology and Logistics/Defense Systems/Treaty Compliance. The SAIWG was created to ensure that the Department of Defense is prepared to fully implement and continues to be compliant with provisions of international agreements on SA/LW (see reference 3.a.). One of the SAIWG concerns was the fact that there are various definitions of SA/LW being used within the United States Government. The JSACG notes that it is essential to ensure that any definition included in a negotiated instrument will not necessitate a change in current practices that will affect the implementation of international agreements to which the United States is already a party. The JSACG notes that the DoD Small Arms Registry was neither created nor designed to be used as a tool for tracking DoD weapons for the international community in order to be in compliance with international treaties; however, the information in the DoD SA/LW Registry may be useful to assist in these obligations. <u>The MILSTRAP/DLMS SA/LW definition is intended to clarify and define SA/LW for DoD tracking and reporting requirements</u>.

c. Procedures:

(1) Revise DoD 4000.25-M (DLMS) and DoD 4000.25-2-M (MILSTRAP) TERMS and DEFINITIONS, definition for 'Small Arms' to 'Small Arms and Light Weapons' as follows:

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

(2) Revise the DLMS/MILSTRAP TERMS and DEFINITIONS, definition for Component Registry as follows:

"**COMPONENT REGISTRY.** The Military Service or Defense Agency which maintains visibility of all small arms *and light weapons (SA/LW)* serial numbers within that Component and provides the DoD *SA/LW* Registry with small arms status."

(3) Revise the DLMS/MILSTRAP TERMS and DEFINITIONS, definition for Department of Defense Registry as follows:

"**DoD *SA/LW* REGISTRY**. . ~~DoD designated activity which serves as repository for small arms serial numbers provided by the Component Registries~~. *DoD central repository for small arms and light weapons serial numbers. The registry serves as the single point of access for inquires relating to the last known record of small arms and light weapons serial numbers. Serial numbers are provided by the Component Registries on a scheduled and as required basis.*"

(4) Add Handguns to DLMS/MILSTRAP TERMS AND DEFINITIONS:

"HANDGUNS. Handguns are divided into one of two major groups depending upon the location of the chamber. Revolvers have a revolving chamber; pistols have a chamber integral with the barrel. Some handguns include single-shot pistols, revolvers, semi-automatic pistols, and fully automatic, or machine pistols."

(5) Change the title of DLMS Supplements (DS) 140A (Small Arms Reporting) to Small Arms and Light Weapons (SA/LW) Reporting, and make additional DS 140A changes as shown in the revision table at Enclosure 1. DS are available at http://www.dla.mil/j-6/dlmso/elibrary/TransFormats/140_997.asp

(6) Change the title of DS 888A (Small Arms Data Change) to Small Arms and Light Weapons (SA/LW) Data Change, and make additional DS 888A changes as shown in the revision table at Enclosure 2.

(7) Revises DLMS/MILSTRAP Acronyms to add SA/LW for small arms and light weapons.

(8) Throughout MILSTRAP Chapter 12, and DLMS, Volume 2, Chapter 18, this change (see Enclosure 3 for the revised DLMS, Volume 2, Chapter 18):

    (a) Renames the Joint Small Arms Coordinating Group (JSACG) to the Joint Small Arms and Light Weapons Coordinating Group (JSA/LWCG);

    (b) Replaces terminology 'small arms' with 'small arms and light weapons' or 'SA/LW'.

(9) Update MILSTRAP Appendix AP2.1, Document Identifier Codes, for the DS_ series DI Code titles and explanation to reflect Small Arms and light weapons as follows:

CODE	DOCUMENT TITLE	EXPLANATION
DSA	Small Arms *and Light Weapons* Multi-Field Corrections	Used for correcting erroneous or invalid NSN, DoDAAC/UIC, or WSN on the Component Registry.
DSB	Small Arms *and Light Weapons* Mass Stock Number Change	Used to update the Component Registry for all weapon serial numbers and stock numbers with one transaction.
DSC	Small Arms *and Light Weapons* Correction	Used for correcting rejected transaction or missing reconciliation transaction on the Component Registry.
DSD	Small Arms *and Light Weapons* Receipt/*Shipment* Follow-up	Used for follow up by the Component Registries to confirm serial number of weapon(s) shipped for which no receipt was confirmed or weapon(s) received for which no shipment was reported.
DSF	Small Arms *and Light Weapons* Reconciliation/Reject Follow-Up	Used to notify a unit/activity that rejected transaction or reconciliation transaction has not been received.
DSM	*Small Arms and Light* Weapon*s* Serial Number Control	Used for registration and reporting of small arms *and light weapons* between Component Registries and between the Component Registry and the DoD Registry.

CODE	DOCUMENT TITLE	EXPLANATION
DSR	Small Arms **and Light Weapons** Reconciliation/Reject	Used for annual reconciliation between all units/activities having possession or accountability of small arms *and light weapons* and the Component Registry. Used to reject invalid/incomplete transactions.

    (10)   Revise DLMS Data Dictionary, MILSTRAP AP 2.12, and corresponding MILSTRAP table of contents, to change title from "Small Arms Transaction Codes" to Small Arms *and Light Weapons* Transaction Codes".   Revise AP2.12 code explanations to reflect SA/LW in place of small arms as shown in Enclosure 4. Also includes administrative updates to replace outdated reference to "report of survey" with current term *"Financial Liability Investigation of Property Loss Report (DD Form 200)"* as noted in the enclosure.

    (11) Revise DLMS Data Dictionary, MILSTRAP AP 2.13, and corresponding MILSTRAP table of contents, to change "Small Arms Error Transaction Reject Codes" to "Small Arms *and Light Weapons* Error Transaction Reject Codes". Revise AP2.12 code explanations to reflect SA/LW in place of small arms as shown in Enclosure 5.

    (12) Update the MILSTRAP format appendices AP3.31 through AP3.37, DI Codes DSA, DSB, DSC, DSD, DSF, DSM, and DSR, respectively; **and corresponding MILSTRAP Table of contents,** to revise the transaction titles reflect "Small Arms and Light Weapons" in place of "Small Arms".

    (13) FLIS Unique Item Tracking Designator Code (UITDC). DLIS advised that upon publication of this approved change, a FLIS update will be forthcoming in a future release, to update the description for UIT Designator Code 'AAA' to reflect the change. Currently UITDC AAA refers to DoD Small Arms Serialization Program (DODSASP). Under the revised definition, AAA will refer to DoD Small Arms/Light Weapons Serialization Program.

5. REASON FOR CHANGE:

    a. The need to update the DoD small arms definition used for DODSASP had been raised at JSACG meetings to support the changing environment for maintaining visibility and reporting of small arms and light weapons serial number data within the Department of Defense. ADC 220 revises the definition and will enable the Components to address and fully comply with SA/LW serial number tracking and reporting requirements within the Department of Defense. This ADC is proactive in clarifying and defining small arms and light weapons for DoD tracking and reporting requirements.

    b. The revision to the definition for DoD Registry more clearly defines the intent of the DoD Registry and incorporates light weapons in the definition to support the revised definition to SA/LW.

6. ADVANTAGES AND DISADVANTAGES:

    a.   Advantages: This change supports the changing environment for maintaining visibility and reporting of small arms and light weapons serial number data within the Department of

Defense. It also supports the Department's DoD 4140.1-R, Supply Chain Materiel Management Regulation, policy to establish and maintain well defined DoD-Level UIT Programs.

   b. Disadvantages: None identified

7. IMPACT:

   a. Data Content/Procedures/systems: DoD Components may need to revise Component regulations and/or automated information systems as this change redefines SA/LW for DoD tracking and reporting requirements.

   b. Interface/impact: DoD Component SA/LW reporting and tracking systems and procedures, and wholesale and below wholesale logistics system modernization offices should consider this change.

   c. Publications: DoD 4000.25-M (DLMS); DoD 4000.25-2-M (MILSTRAP); DoD 4140.1-R, DOD Supply Chain Materiel Management Regulation (which provides the overarching DoD SA/LW Serialization Program policy); and applicable DoD Component publications.

8. COMMENTS DISPOSITION. The SA/LW definition approved by this change has evolved through several iterations based on review and discussion by the JSACG and others, first as PDC 134, then PDC 134A, and finally draft ADC 220. **For background, the comments and disposition for the evolving documents are provided at Enclosures 7, 8, and 9, for draft ADC 220, PDC 134A, and PDC 134 respectively.**

9. FINAL COMMENT DISPOSITION. An updated draft ADC 220, with the comments addressed at Enclosure 5 incorporated, was provided to the JSACG for review after the 2007 JSACG meeting, as well as to the proponent for D0D DoD 4160.21-M. No additional JSACG comments were received, however a comment was received from the proponent for DoD 4160.21-M. See Enclosure 6 for that comment and JSACG disposition after the June 2008 JSACG meeting.

Enclosures

ADC 220 - PART II
Visibility and Traceability of Captured, Confiscated or Abandoned Enemy Small Arms and Light Weapons

1. ORIGINATOR:

  a. Service/Agency: AMC Executive Agent f/Small Arms Logistics, TACOM-RI.

  b. Sponsor: JSACG Chair, DLMSO.

2. FUNCTIONAL AREA: Supply and DoD Small Arms Serialization Program

3. REFERENCES:

  a. DoD 4000.25-2-M, Military Standard Transaction Reporting and Accounting Procedures (MILSTRAP), Chapter 12, Small Arms Serial Number Registration and Reporting

  b. DoD 4000.25-M, Defense Logistics Management System (DLMS), Volume 2 Supply, Chapter 18, Small Arms Serial Number Registration and Reporting

4. REQUESTED CHANGE:

  a. Title: Visibility and Traceability of Captured, Confiscated or Abandoned Enemy Small Arms and Light Weapons

  b. Description of Change: This change provides procedures for registering weapons when a DoD agency captures, confiscates or assumes custody of abandoned enemy weapons as a result of military actions. The weapons may be of foreign or domestic manufacture and may include recaptured United States military weapons. This change incorporates use of the term small arms and light weapons as defined In Part I of this ADC.

  c. Comments received for PDC 134A, Part II Visibility and Traceability of Captured, Confiscated or Abandoned Enemy Small Arms and Light Weapons:

ORGANIZATION	COMMENT
Army SPRC and JSACG representatives, AMC Executive Agent f/Small Arms Logistics, AMC Logistics Support Activity (LOGSA)	Concur as written
Air Force SPRC representative	Concur.
Marine Corps SPRC representative	Concur as written.
Navy JSACG alternate representative	Concur.
DLA JSACG and SPRC representatives	Concur.
GSA SPRC representative	Change does not apply to GSA

d. Procedures: The changes below are as staffed by PDC 134A. No additional changes were recommended or made. Revise and add paragraphs as follows (changes identified by *bold, italicized red text*):

(1) DLMS Vol. 2, Chapter 18:

(a) REVISE CURRENT PARAGRAPH C18.2.1. AS FOLLOWS:

"**C18.2.1.** Purpose. This chapter provides procedures for reporting *SA/LW* serial number data between *the* DoD Components and 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~~ *shall* 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*)."

(b) ADD NEW PARAGRAPH C18.2.10:

"*C18.2.10 Enemy SA/LW. Captured, confiscated or abandoned enemy SA/LW in the possession of the Department of Defense as a result of military actions shall be registered. SA/LW may be of foreign or domestic manufacture and may include recaptured US military SA/LW.*"

(2)   MILSTRAP, Chapter 12:

(a) REVISE CURRENT PARAGRAPH C12.2.1 AS FOLLOWS:

"**C12.2.1** This chapter provides procedures for reporting *SA/LW* serial number data between *the* DoD Components and 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~~ *shall* 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*)."

(b) ADD NEW PARAGRAPH C12.2.10:

"*C12.2.10 Captured, confiscated or abandoned enemy SA/LW in the possession of the Department of Defense as a result of military actions shall be registered. SA/LW may be of foreign or domestic manufacture and may include recaptured US military SA/LW.*"

5. REASON FOR CHANGE: This change will fill a void in the current procedures that does not recognize confiscated or abandoned enemy small arms and light weapons for serial number visibility and traceability.

6. ADVANTAGES AND DISADVANTAGES:

a. Advantages: This change ensures that captured, confiscated or abandoned enemy small arms and light weapons in possession of the Department of Defense as a result of military actions are registered for the purpose of maintaining serial number visibility and traceability.

b. Disadvantages: None identified

7. IMPACT:

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

    b. Coordination/Staffing: The DoD Component SPRC representative's coordination for this change should have included, but not been limited to, their wholesale and retail logistics system modernization offices; and their JSACG representatives.

    c. Publications: Requires revision to MILSTRAP and DLMS, and may require revision to DoD Component publications.

ENCLOSURE 1 TO ADC 220, Part I
DS 140A, Small Arms and Light Weapons (SA/LW) Reporting
(Revision Table)

Revise DS 140A as shown below:

Item #	Location	DS 140A Revisions Changes are highlighted	Reason	Federal IC Impact
1	Title	<u>Revise the name of DS 140A as follows:</u> DLMS Supplement to Federal IC 140A Small Arms *and Light Weapons (SA/LW)* Reporting'	To support DoD functional change from "small arms" reporting to "small arms and light Weapons (SA/LW)".	Update Required.
2	DLMS Introductory Note 1	<u>Revise DLMS introductory note 1:</u> *1. Use a single occurrence of this transaction set to transmit small arms and light weapons information to one or more organizations. This transaction encompasses the functionality of MILSTRAP Small Arms and light weapons specific Document Identifier (DI) Codes DSC, DSD, DSF, DSM, and DSR.*	To support change from "small arms" to "small arms and light Weapons".	No update required.
3	DLMS Introductory Note 4	<u>Revise DLMS introductory note 4 to add ADC 220:</u> *ADC 220, Approved Defense Logistics Management System (DLMS) Change (ADC) 220 in Two Parts, Part I: Revise Definitions for Small Arms to Address Light Weapons, and Part II: Visibility and Traceability of Captured, Confiscated or Abandoned Enemy Small Arms and Light Weapons*	Administrative change to identify ADCs incorporated in DS.	No update required.
4	1/BGN07/20	<u>Revise DLMS notes for Transaction Type Code W4-Weapons Control Report:</u> **W4 Weapons Control Report** *1. Use when the transaction set contains a SA/LW Control Reporting Transaction. Used for registration and reporting of SA/LW between Component Registries, and between Component Registries and the DoD Registry. (MILSTRAP DI Code DSM functionality.)* *2. Use with BGN08, Action Code T, when the transaction set contains a SA/LW Receipt/Shipment Follow-up transaction. Used for follow up by the Component Registries to confirm serial number of weapon(s) reported as shipped for which no receipt was confirmed, or weapon(s) received for which no shipment was reported. (MILSTRAP DI Code DSD functionality.)*	1. To support ADC 220 terminology change from "small arms" to "small arms and light Weapons (SA/LW)". 2. To more clearly define how the beginning segment codes differentiate the different transaction functions/purpose.	No update required.

Item #	Location	DS 140A Revisions Changes are highlighted	Reason	Federal IC Impact
5	1/BGN07/20	<u>Revise DLMS notes for Transaction Type Code W5-Weapons Control Report Reconciliation:</u> **W5 Weapons Control Report Reconciliation** **DLMS Note:** *1. Use when the transaction set contains an original SA/LW Reconciliation transaction. Used for annual reconciliation between all units/activities having possession or accountability of SA/LW, and the Component registry. (MILSTRAP DI Code DSR functionality when DSR is used as a reconciliation transaction.)* *2. Use with BGN08 Action Code U when the transaction set contains a SA/LW Reject transaction. Used to reject invalid/incomplete SA/LW transactions. (MILSTRAP DI Code DSR functionality when DSR is used as a reject.)* *3. Use with BGN08 Action Code T when the transaction set contains a SA/LW Reconciliation/Reject Follow-up transaction. Used to notify a unit/activity that rejected transaction or reconciliation transaction has not been received. (MILSTRAP DI Code DSF functionality.)* *4. Use with BGN08 Action Code AC, when the transaction set contains a SA/LW Correction. Used to correct a rejected SA/LW transaction or missing SA/LW reconciliation transaction on the Component Registry. (MILSTRAP DI Code DSC functionality.)*	1. To support ADC 220 terminology change from "small arms" to "small arms and light Weapons (SA/LW)". 2. To more clearly define how the beginning segment codes differentiate the different DS 140A transaction functions/ purpose.	No update required.
6	1/BGN08/20	<u>Revise DLMS notes for Action Codes as follows:</u> **T Status Query** **DLMS Note:** *1. Use in conjunction with BGN07, code W4, when the transaction set contains a SA/LW Receipt/Shipment Follow-up. (MILSTRAP DI Code DSD functionality.)* *2. Use in conjunction with BGN07, code W5, when the transaction set contains a SA/LW Reconciliation/Reject Follow-up. (MILSTRAP DI Code DSF functionality.)* **U Reject** **DLMS Note:** *Use in conjunction with BGN07 code W5 when the transaction set contains a SA/LW Reject transaction. (MILSTRAP DI Code DSR functionality when DSR is used as a reject.)* **AC Acknowledge** **DLMS Note:** *Use in conjunction with BGN07 code W5, when the transaction contains a SA/LW Correction transaction. (MILSTRAP DI Code DSC functionality.)*	1. To support ADC 220 terminology change from "small arms" to "small arms and light Weapons (SA/LW)". 2. To more clearly define how the beginning segment codes differentiate the different DS 140A transaction functions/ purpose.	No update required.

Enclosure 1 to ADC 220 Part 1
DS 140A Revision Table

Item #	Location	DS 140A Revisions Changes are highlighted	Reason	Federal IC Impact
7	1/N101/40	Revise DLMS notes for qualifiers SF and ST as follows: **SF Ship From** **DLMS Note:** *Use in SA/LW control reporting of receipt to identify the activity which shipped SA/LW.* **ST Ship To** **DLMS Note:** *Use in SA/LW control reporting of shipment or SA/LW receipt/shipment follow-up to identify the ship-to organization.*	To support ADC 220 terminology change from "small arms" to "small arms and light Weapons (SA/LW)".	No update required.
8	1/N103/40 And 2/N103/20	Add DLMS notes to the N103 qualifiers as follows: **1 D-U-N-S Number, Dun & Bradstreet** **DLMS Note:** *DLMS enhancement; see introductory DLMS note 3a.* **9 DUNS+4, DUNS Number with Four Character Suffix** **DLMS Note:** *DLMS enhancement; see introductory DLMS note 3a.* **10 Department of Defense Activity Address Code (DODAAC)** **DLMS Note:** *Used to identify the DODAAC. Army only may also use the DODAAC qualifier when citing a Unit Identification Code (UIC) when a DODAAC is not assigned.* **M4 Department of Defense Routing Identifier Code (RIC)** **DLMS Note:** *1. The RIC is retained in the DLMS to facilitate transaction conversion in a mixed DLSS/DLMS environment. Continued support of the RIC in a full DLMS environment will be assessed at a future date. Typically under the DLMS, the RIC will be replaced with a DoDAAC or a commercial identifier.* *2. Future streamlined data; see introductory DLMS note 3c.*	Administrative updates to add DLMS notes referencing standard introductory notes, and to identify that in the SA/LW transactions, Army may enter a UIC when a DODAAC is not assigned, per existing DoD 4000.25-2-M MILSTRAP guidance.	No update required.
9	1/PER/90	Add DLMS segment level note: **DLM Note:** This segment is a DLMS enhancement. See introductory DLMS note 3.a.	Administrative update.	No update required.
10	2/REF01/15	Add a DLMS note for qualifier TN: **TN Transaction Reference Number** **DLMS Note:** *Use to identify the transaction number. This is also known as the document number.*	Administrative update for clarification.	No update required.

Enclosure 1 to ADC 220 Part 1
DS 140A Revision Table

Item #	Location	DS 140A Revisions Changes are highlighted	Reason	Federal IC Impact
11	2/N101/20	<u>Correct spelling in DLMS note</u>: **RL Reporting Location** *Use to identify reporting activity when different from accountable activity.*	Administrative update correcting spelling error.	No update required.
12	2/DTM01/120	<u>Revise DLMS notes for qualifiers 011 and 050 as follows</u>: **011 Shipped** **DLMS Note:** *Use to indicate the SA/LW shipment date.* **050 Received** **DLMS Note:** *Use to indicate the SA/LW receipt date.*	To support ADC 220 terminology change from "small arms" to "small arms and light Weapons (SA/LW)".	No update required.
13	2/REF/130	<u>Revise Segment Level DLMS note 1</u>: **DLMS Note:** *1. Must use at least one repetition of the 2/REF01/130 segment for SA/LW Reporting transactions to provide SA/LW serial numbers or Unique Item Identifiers (UII).*	To support ADC 220 terminology change from "small arms" to "small arms and light Weapons (SA/LW)".	No update required.
14	2/N1/140	<u>Revise Segment Level DLMS note 1</u>: **DLMS Note:** *1. Use to identify the SA/LW manufacturer if duplicate serial numbers are assigned to the same item identified in 2/LIN/090.*	To support ADC 220 terminology change from "small arms" to "small arms and light Weapons (SA/LW)".	No update required.

Enclosure 1 to ADC 220 Part 1
DS 140A Revision Table

ENCLOSURE 2 TO ADC 220, Part I
DS 888A, Small Arms and Light Weapons (SA/LW) Data Change
(Revision Table)

Revise DS 888A as shown below:

Item #	Location	DS 888A Revisions	Reason	Federal IC Impact
1	Title	Revise the name of DS 888A as follows: DLMS Supplement to Federal IC 888A Small Arms *and Light Weapons (SA/LW) Data Chang*e.	To support DoD functional change from "small arms" reporting to "small arms and light Weapons (SA/LW)" reporting.	Update Required.
2	DLMS Introductory Note 1	Revise DLMS introductory note 1: *1. Use a single occurrence of this transaction set to transmit small arms **and light weapons** changes or corrections to one or more organizations. This transaction encompasses the functionality of MILSTRAP small arms **and light weapons** specific Document Identifier (DI) Codes DSA and DSB*	To support ADC 220 terminology change from "small arms" to "small arms and light Weapons".	No update required.
3	DLMS Introductory Note 4	Revise DLMS introductory note 4 to add ADC 220: *ADC 220, Approved Defense Logistics Management System (DLMS) Change (ADC) 220 in Two Parts, Part I: Revise Definitions for Small Arms to Address Light Weapons, and Part II: Visibility and Traceability of Captured, Confiscated or Abandoned Enemy Small Arms and Light Weapons*	Administrative change to identify ADCs incorporated in DS.	No update required.
4	DLMS Introductory Note 4	Revise DLMS introductory note 4 to add new subpara e: *e. Repetition of data (using multiple iterations or loops) which is not compatible with existing DLSS capability. Although supported by the use of the ANSI X12 standard, such data is not compatible with DLSS/DLMS conversion and may not be supported by the recipient's automated processing system. Components must coordinate implementation of enhanced capability with DLMSO prior to use.*	Administrative change to incorporate standard DLMS introductory notes-.	No update required.

Item #	Location	DS 888A Revisions	Reason	Federal IC Impact
5	DLMS Introductory Note 4	Revise DLMS introductory note 4 to add new subpara f: *f. Data associated with a DLMS enhancement authorized for implementation by modernized systems under DLMS migration. This data (including expanded field sizes) should be adopted during, or subsequent to, modernization when applicable to the Component's business process. Prior coordination is not required. Components should ensure that inclusion of this data in a DLMS transaction does not cause inappropriate rejection of the transaction.*	Administrative change to incorporate standard DLMS introductory note.	No update required.
6	2/BGN07/015	Revise DLMS note for Transaction Type Code W1-Weapons Data Change **W1 Weapons Data Change** **DLMS Note:** *Use to indicate the transaction set contains changes or corrections to SA/LW data. (MISTRAP DI Codes DSA and DSB functionality.)*	To support ADC 220 terminology change from "small arms" to "small arms and light Weapons (SA/LW)".	No update required.
7	2/BGN08/015	Revise DLMS note for Action Code U: **U Reject** **DLMS Note:** *Use with BGN07 code W1 to indicate that a DS 888A SA/LW correction transaction was rejected. (MILSTRAP DI Code DSA functionality when used to reject a DI Code DSA transaction)*	To support ADC 220 terminology change from "small arms" to "small arms and light Weapons (SA/LW)".	No update required.
8	1/N101/20	Revise DLMS notes for qualifiers B6, KK, and RL as follows: **B6 Registering Parent Party** **DLMS Note:** *Use to identify the DoD SA/LW Central Registry. The DoD SA/LW Central Registry may be a 'from address' when rejecting small arms transactions. (Applied in MILSTRAP to DI Code DSA 'K' transactions)* **KK Registering Party** **DLMS Note:** *Use only in SA/LW data change reject to identify the registry issuing the reject.* **RL Reporting Location** **DLMS Note:** *Use to identify the reporting activity submitting the SA/LW Data Change transaction.*	To support ADC 220 terminology change from "small arms" to "small arms and light Weapons (SA/LW)".	No update required.

Enclosure 2 to ADC 220 Part 1
DS 888A Revision Table

Item #	Location	DS 888A Revisions	Reason	Federal IC Impact
9	1/N103/020 And 2/N103/156	Add DLMS notes to qualifier 10 as follows: **10 Department of Defense Activity Address Code (DODAAC)** **DLMS Note:** *Used to identify the DODAAC. Army only may also use the DODAAC qualifier when citing a Unit Identification Code (UIC) when a DODAAC is not assigned.*	Administrative updates to add DLMS note identifying that in the SA/LW transactions, Army may enter a UIC when a DODAAC is not assigned, per existing DoD 4000.25-2-M MILSTRAP guidance.	No update required.
10	2/G53/010	Revise segment level DLMS note: **DLMS Note:** *Use the 2/G53/010 loop to identify the purpose of the transaction, the SA/LW data requiring change or correction, and the changed or corrected data.*	To support ADC 220 terminology change from "small arms" to "small arms and light Weapons (SA/LW)".	No update required.
11	2/G5301/010	Revise DLMS note for qualifier 001-Change: 001 Change *Use to identify SA/LW data changes or corrections.*	To support ADC 220 terminology change from "small arms" to "small arms and light Weapons (SA/LW)".	No update required.
12	2/N101/156	Revise DLMS notes for qualifiers B6, KK, and RL as follows: **B6 Registering Parent Party** **DLMS Note:** *Use to identify the DoD SA/LW Central Registry.* **KK Registering Party** **DLMS Note:** *Use to identify the registry to receive the SA/LW Data Change Transaction..* **RL Reporting Location** **DLMS Note:** *Use only in SA/LW Data Change Reject to identify the reporting activity o receive the transaction.*	To support ADC 220 terminology change from "small arms" to "small arms and light Weapons (SA/LW)".	No update required.
13	2/G55/165	Revise segment level DLMS note 2: **DLMS Note:** *2. DS 888A is not authorized for use to change a SA/LW item unique identification (IUID) unique item identifier (UII). IUID policy states that the concatenated UII will not change over the life of the item. For IUID policy refer to the UID web at URL:* *http://www.acq.osd.mil/dpap/pdi/uid/.*	To support ADC 220 terminology change from "small arms" to "small arms and light Weapons (SA/LW)".	No update required.

Enclosure 2 to ADC 220 Part 1
DS 888A Revision Table

Item #	Location	DS 888A Revisions	Reason	Federal IC Impact
14	2/LQ01/190	Update DLMS notes for qualifier A9, AJ, EW and EX: **A9 Supplemental Data** **DLMS Notes:** *1. Use to identify supplemental address/data.* *2. During the DLSS/DLMS transition, this field will be used to perpetuate/populate the DLSS Supplemental Address (SUPAAD) field. During this time, field size is restricted to 6 positions; see introductory DLMS note 4d.* *3. Expanded use of this field for supplemental data without size restriction is a DLMS enhancement; see introductory DLMS note 4a.* *4. Under full DLMS, the requirement to pass activity address information within the supplemental data field will be streamlined. Activity address data previously contained in the SUPAAD will be reflected exclusively in the N1 segment. Future streamlined data; see introductory DLMS note 4c.* **AJ Utilization Code** *1. Under DLMS this is the first position of the document serial number **within the document number.*** **EW Small Arms Error Transaction Reject Code** *DLMS Note: Use in reject reports and reject resubmissions to identify the **SA/LW error transaction reject code.*** **EX Small Arms Transaction Code** *Use to identify the **SA/LW** transaction code that reflects the required change or correction to **SA/LW** data.*	Administrative changes to: • Qualifiers A9 and AJ for consistency with standard DLMS notes. • Qualifiers EW and EX to note that ther codes are for SA/LW.	No update required.

Enclosure 2 to ADC 220 Part 1
DS 888A Revision Table

C18. CHAPTER 18

SMALL ARMS *AND LIGHT WEAPONS* SERIAL NUMBER REGISTRATION AND REPORTING

C18.1. SCOPE.

C18.1.1. Applicability. 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 procedures applicable to the following ASC X12 transaction functions identified by their beginning segment transaction type codes and, where applicable, action codes. The corresponding MILSTRAP transaction functionality is identified for information purposes in a mixed DLSS/DLMS environment. Other formats, such as DLMS XML, are also available. See the DLMSO website for available DLMS formats.

C18.1.2.1. DS to the Federal IC 140A, Small Arms and Light Weapons (SA/LW) Reporting, is used for the following transaction functions identified by the 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 – Weapons Control Report. This transaction provides MILSTRAP DI Code 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 DI Code 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 DI Code 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 DI Code 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 DI Code 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 DI Code DSC functionality.

C18.1.2.2. DS to the Federal IC 888A. SA/LW Data Change Transaction is identified by DS 888A beginning segment (1/BGN07/15) Transaction Type Code W1 – Weapons Data Change. This transaction provides MILSTRAP DI Code DSA/DSB functionality.

C18.2. GENERAL REQUIREMENTS

C18.*2.1*. Purpose. This chapter provides procedures for reporting *SA/LW* 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, *shall* 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.* List of Serial Numbers in Shipments. In addition to the shipment requirements contained in this volume, the shipping activity shall send a listing of the weapon 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 shall identify which serial numbers are within each of the containers.

C18.*2.3*. *SA/LW* Without an NSN and/or Serial Number. *SA/LW* without an NSN and/or *SA/LW* (except museum pieces) with missing, obliterated, mutilated, or illegible serial numbers, when discovered, shall 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 shall not replace or be used in lieu of procedures to request assignment of an NSN where applicable. The Component Registry shall report all *SA/LW* without an NSN and/or *SA/LW* serial number, by message or letter, for assignment of serial number and/or NSN in the following format:

C18.T1. Format To Report *SA/LW* Without an NSN

NSN	Serial Number (SN)	Description
(NSN or none)	(SN or none)	(Make, model, caliber, and other nomenclature)

C18.*2.4.* LCN/MCN. LCNs/MCNs shall 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*, above, or notification that the MCN/LCN will not be assigned an NSN.

C18.*2.5*. *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, Chapter VI, and later turned into a DRMO, shall be registered immediately when they come under U.S. Government control.

C18.*2.6.* Non-appropriated Funded. Nonappropriated funded *SA/LW* turned into a DRMO and privately owned weapons classified as claims property shall 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 shall be reported immediately to the Component Registries.

C18.*2.7*. Ceremonial/Training. The DoD Components shall 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 shall be retained on the Component Registries as weapons subject to the reporting criteria.

C18.*2.8*. Lost, Stolen, and/or Recovered. The DoD Components shall establish procedures to ensure reporting of lost, stolen, unaccounted for, and/or recovered *SA/LW* under the provisions of DoD 5100.76-M.

C18.*2.9*. Mobilization. In the event of mobilization or other emergency, the DoD Registry and the Component Registries shall 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.

C18.2.10. Enemy SA/LW. Captured, confiscated or abandoned enemy SA/LW in the possession of the Department of Defense as a result of military actions shall be registered. SA/LW may be of foreign or domestic manufacture and may include recaptured US military SA/LW.

C18.3. OBJECTIVES

C18.3.1. Establish continuous visibility over all *SA/LW* by 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* 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 serial numbered *SA/LW*.

C18.4. EXCLUSIONS

C18.4.1. Non-appropriated 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.*6* and C18.2.*7*, above.)

C18.4.2. Classified Activities. Classified activities, which determine that specific *SA/LW* should not be registered under these procedures, shall 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*/LW*CG) and approval of the *JSA/LWCG Chair.* Submit requests for deviations, to include appropriate justification, *via electronic mail to DLMSO@dla.mil (when using electronic mail include "ATTN: JSA/LWCG Chair" in the subject line), or by traditional mail to:*

ATTN DLMSO J-6251 ROOM 1747
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 shall:

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* 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 serial numbered *weapon* (see paragraph C18.7.6, below).

Respond as expeditiously as possible to other inquiries, depending on 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 *shall* be accomplished by using DS 140A *SA/LW Control Reporting Transaction (MILSTRAP DI Code 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.

C18.5.1.4.2. For weapons identified as belonging to a DoD Component, these entries shall remain in the DoD active master file until the weapon is returned to DoD control and properly recorded on a Component Registry.

C18.5.1.4.3. Weapons identified as other than DoD in origin shall be placed in the inactive file of the DoD registry.

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

C18.5.1.5.1. Provide appropriate corrective instructions to the Component Registries reporting duplicate serial numbers.

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

C18.5.2. <u>Component Registries</u>. Component Registries shall:

C18.5.2.1. Maintain and control a mechanized active, and inactive, history file to control *SA/LW* serial numbers for which they maintain or had maintained 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 reflecting active and inactive files in serial number sequence.

C18.5.2.5. Identify duplicate serial numbers recorded 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 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 record's verification utilizing the registry files to obtain records compatibility with depot files and ICP files by stock number and quantity.

C18.5.2.8. Report weapons lost, damaged, or destroyed in accordance with DoD 7000.14-R, 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. Identify on the Component Registry, *using the SA/LW Control Reporting Transaction* with *SA/LW* Transaction Code L (Inventory Adjustment - Loss), weapons determined to be lost or stolen after all investigative requirements have been initiated, including preparation of a Financial Liability Investigation of Property Lost Report. (Note: The DoD Components are required to submit semiannual reports to the chairperson, Physical Security Review Board, in accordance with DoD 5100.76-M, 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 serial number, stock number, and quantity. The method of performing the reconciliation shall depend on the DoD Components' capability of using Defense Data Network transaction sets, tapes, or listings. When tapes or listings are used to perform the annual reconciliation, they shall 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 shall identify 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 DoD 4140.1-R.

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

C18.6.1. The *SA/LW* data contained in the ADP records of the DoD Registry could produce classified data if the total number of 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 shall be in accordance with DoD 5200.1-R.

C18.6.2. A determination to classify shall be made when there is sound reason to believe that knowledge of the information would provide un-friendlies 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.

C18.7. OPERATING PROCEDURES

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

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

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

C18.7.2.2. If duplicate serial numbers appear during the next check, and are owned by more than one DoD Component, the DoD Registry shall notify each Component Registry to validate its serial numbers. If duplicates remain after this validation process, the DoD Registry shall issue modified 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 shall 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 shall 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) shall 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 receipt of the weapon is provided by the receiving activity.

C18.7.4.1.2.1. Receiving Activity Actions. The receiving activity verifies the serial number(s) and sends ***SA/LW Control Reporting Transaction*** with ***SA/LW*** Transaction Code R (Receipt) to their 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 Serial Numbers. Discrepant serial number(s) shall be verified by 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 shall also be reported to appropriate Component Registries. This requirement shall be included in any maintenance support agreement.

C18.7.4.1.4. Shipping Timeframe. If 30 calendar days from date of shipment for CONUS and 90 calendar days for overseas is exceeded, the shipping Component Registry shall 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 shall also be sent to the receiving Component Registry.

C18.7.4.2. <u>Shipments from Procurement</u>. When weapons are shipped from a contractor to activities within the DoD, the contractor is required to prepare three **SA/LW Control Reporting Transactions**. **SA/LW** Transaction Code P (Procurement Gains) shall 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 shall be held in suspense until confirmation of receipt of the weapon is provided by the receiving activity. The receiving activity shall submit an **SA/LW Control Reporting Transaction** to update its Component Registry. The two remaining control reporting transactions shall have the RI Code of the shipping Component Registry to which the confirmation of receipt shall be provided. The **SA/LW Control Reporting Transaction** shall accompany the shipment documentation. When shipments consist of multiple containers, a listing shall identify which serial numbers are within each of the containers.

C18.7.4.3. <u>Shipments Outside the Control of the Department of Defense</u>. When **SA/LW** are selected for shipment to Foreign Military Sales/Grant Aid and other Agencies outside the control of the Department of Defense, 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 DoD, the **SA/LW** Control Reporting Transactions for the weapons shall 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/GA) depending on 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 the control of the Department of Defense shall be registered by the receiving activity on its Component Registry.

C18.7.5. <u>Demilitarization</u>. 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 shall code each of the weapons demilitarized and enter the **SA/LW** demilitarization data into the inactive file.

C18.7.6. **DoD SA/LW 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 serial-numbered **SA/LW**. Investigative agencies will process all inquiries by message, letter, or telephone to the DoD Registry. The DoD Registry shall identify the accountable Component Registry from the data contained in its master record and query that registry as to the last activity accountable for the specific 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 *DS 140A* Transactions. The Component Registry shall reject invalid or erroneous DS 140A *SA/LW* transactions to the originator using the DS 140A *SA/LW Reject Transaction (MILSTRAP DI Code DSR function).* (See paragraph C18.7.10 for rejecting DS 888A *SA/LW* Data Change Transaction with *SA/LW* Transaction Code K (Multi-Field Correction).) The rejecting Component Registry shall cite the appropriate *SA/LW* Error Transaction Reject Codes in the *SA/LW Reject Transaction. The code explanations identify corrective action required. In a DLMS environment,* the *SA/LW Reject Transaction* may contain more than one *SA/LW* error transaction reject code, and activities shall 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 shall review all other fields of the rejected transactions, prior to resubmission, to ensure that all date entries are correct.*

C18.7.7.1. Correction of Rejected Transactions. The Component Registry shall hold rejected transactions in a suspense file until corrective action has been received from the DoD Component. *DS 140A SA/LW Correction Transaction (MILSTRAP DI Code DSC function)* with the appropriate *SA/LW* error transaction reject code, shall 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 shall send a DS 140A *SA/LW Reconciliation/Reject Follow-up Transaction (MILSTRAP DI Code DSF function)* to the DoD Component.

C18.7.8. Annual Reconciliation. The annual reconciliation of all *SA/LW* on the Component Registry shall be done using DS 140A *SA/LW Reconciliation Transaction (MILSTRAP DI Code DSR function)* with *SA/LW* Transaction Code E (Intra-DoD Component Reconciliation of *SA/LW* serial 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 shall be considered reconciled. Duplicate *SA/LW* serial numbers detected during the reconciliation shall require modification instructions from the DoD Registry. Component Registries that perform the annual reconciliation using other than transaction reporting shall 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. Records not matched, or weapons for which no reconciliation was received by the Component Registry, shall 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 shall follow up using DS 140A *SA/LW*

Reconciliation/Reject Follow-up Transaction (MILSTRAP DI Code DSF function).

C18.7.9. Mass Stock Number/DoDAAC Changes. Accomplish mass stock number changes and mass DoDAAC/UIC changes using DS 888A *SA/LW Data Change Transaction* with *SA/LW* Transaction Code H (Mass Stock Number Change) *(MILSTRAP DI Code DSB function)* or *SA/LW* Transaction Code M (Mass DoDAAC/UIC Change) *(MILSTRAP DI Code to be determined)*.

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

C18.7.10.1. Preparation of *SA/LW Data Change Transaction*. Reporting activities shall 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 serial number.

C18.7.10.2. Rejection of *SA/LW 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, or serial number contained on the active/inactive file shall be rejected to the reporting activity *using DS 888A as a reject transaction*. The rejected *SA/LW Data Change T*ransaction (with *SA/LW* Transaction Code K) shall contain the appropriate *SA/LW* error transaction reject code. Rejected transactions shall 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 DI Code DSA), and the reporting activity must review all entries for additional invalid data before submitting the corrected transaction.*

C18.7.10.3. *SA/LW* Transaction Code K Conversion. The Component Registries shall 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 shall convert the DS 888A *SA/LW Data Change Transactions* (with *SA/LW* Transaction Code K) received from the reporting activity to DS 140A *SA/LW Control Reporting Transaction* with *SA/LW* Transaction Code K, *and the old serial number cited, for all changes to the 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* 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 DS 140A *SA/LW Control Reporting Transaction (MILSTRAP DI Code 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 shall send the *SA/LW Control Reporting Transaction* (with *SA/LW* Transaction Code S) to the shipping Component Registry to indicate which serial numbers are included in the in-transit shipment. Activities that do not have mechanized capability shall 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 means available, 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 shall 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 shall use the *SA/LW Control Reporting Transaction* data that accompanied the shipment to verify the serial number(s) received and provide the transaction (with *SA/LW* Transaction Code R) to the receiving Component Registry. Activities that do not have mechanized capability shall 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 means available.

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 shall send *SA/LW Control Reporting Transaction* (with *SA/LW* Transaction Code R) to the shipping Component Registry to provide notification of receipt of the weapons. The 10-calendar day requirement for notification of shipments/receipts also applies to *SA/LW* shipments from one DoD Component to another for maintenance purposes. This requirement shall be included in any maintenance support agreements between the DoD Components.

C18.8.2. Overage Shipments. The shipping Component Registry shall *send a follow-up* on all weapons in-transit 30 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 shall send DS 140A *SA/LW Receipt/Shipment Follow-up Transaction (MILSTRAP DI Code DSD function)* to the receiving Component Registry. Allow 10 calendar days for response to the follow-up transaction.

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

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

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

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

     C18.8.3. <u>Shipment Follow-Up Procedures</u>. Follow-up procedures shall be initiated by the receiving Component Registry for all weapons received for which no DS 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 serial number(s) reported as received matches the serial number(s) selected and shipped. The receiving Component Registry shall take the follow-up action with the shipping Component Registry within 10 calendar days after a weapon(s) has been confirmed as received using the *SA/LW Receipt/Shipment Follow-up Transaction.* Lack of response within 10 calendar days shall cause an electronic transmission (message) being sent to the shipping Component Registry with an information copy to the shipping activity and its higher headquarters.

     C18.8.4. <u>Intra-DoD Component Timeframes</u>. 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 TO ADC 220

AP2.12 APPENDIX 2.12

SMALL ARMS *AND LIGHT WEAPONS (SA/LW)* TRANSACTION CODES

NUMBER OF CHARACTERS: One

TYPE OF CODE: Alphabetic/numeric [1]

EXPLANATION: Transaction codes are used for reporting changes affecting the *SA/LW* status in the master file of the Component Registries and the DoD Registry.

RECORD POSITION: 7

<u>CODE</u>	<u>EXPLANATION</u>
A	Weapon not received. Used to respond to follow-up request.
B	Initial registration of *SA/LW*.
C	Inventory Adjustment Gain. Reports of a serial number gain through inventory adjustments will be made under this transaction.
D	Shipment Reversal. Used to reverse an invalid shipment transaction (code S) for which a serial number was previously reported to a Component Registry.
E	Used for intra-Component reconciliation of *SA/LW* serial numbers, and for inter-Component reconciliation when reconciling with DLA Distribution Depots.
F	Shipment to FMS/Grant Aid. Used for issues of *SA/LW* directed under Grant Aid or FMS agreements.
G	Shipment to General Officers. Used to record issues to general officers.

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[1]Unassigned codes are reserved for future DoD assignment. Codes 1, 2, 3, 4, and 5 are predesignated for intra-Army use in controlling category I non-nuclear missiles and rockets under the ~~DoDSASP~~ *DoD SA/LW Serialization Program*. DoD assignment or revision of codes 1 through 5 for intra-Army use will not be staffed prior to publication in this manual. When category I non-nuclear missiles and rockets are designated for DoD-wide registration under the ~~DoDSASP~~ *DoD SA/LW Serialization Program*, the code 1 through 5 assignments will be reviewed for inter-Component application.

Enclosure 4 to ADC 220
MILSTRAP AP 2.12

CODE   **EXPLANATION**

H   Mass Stock Number Change. Used by the Component Registry to accommodate stock number changes in *SA/LW*.

I   Interrogation/Inquiry Record. Enter all inquiries from law enforcement agencies and 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.

J   Emergency Suspense Status. Includes weapons shipped for mobilization or shipments with personnel/units to combat areas pending return to the supply system.

K   Multi-Field Correction. Used by reporting activities to correct erroneous serial number, NSN, MCN, LCN, or owning activity address (DoDAAC/UIC of activity in possession of the weapon) reported and posted to the Component Registries master file.

L   Inventory Adjustment - Loss. Reports inventory adjustment loss after all investigative requirements, including ~~report of survey~~ *a Financial Liability Investigation of Property Loss Report (DD Form 200)*, have been initiated.

M   DoDAAC/UIC Mass Change. This transaction will cause all serial numbers to be dropped from a DoDAAC/UIC (record positions 5l-56) and to be recorded with another DoDAAC/UIC (record positions 45-50), which normally results from unit redesignation. Only one transaction is required to change the DoDAAC/UIC in all records.

N   Shipment to Other Agencies. Reports shipments to activities outside the control of DoD. This would include shipments to civilian activities, non-DoD governmental activities, and nonreporting (classified) Military activities. (Excludes FMS/Grant Aid shipments.)

O   Reserved for future DoD assignment.

P   Procurement Gains. Prepared by procurement sources for initial registration of weapons when they are shipped.

Q   Notification of Suspected Loss. Reports potential lost or stolen weapon and investigation/~~report of survey~~ *Financial Liability Investigation of Property Loss Report (DD Form 200)* is in process.

R   Receipt. Confirms receipts of *SA/LW* from one reporting activity to another. Used to report receipts between DoD activities.

S   Shipment. Reports shipment from one reporting activity to another. Used to report shipments between DoD activities.

T   Confirmation of completed shipment from one Component to another. Used by the DoD Registry to reflect shipments completed between Services.

CODE   **EXPLANATION**

U   Found or Recovered. Investigation/*report of survey Financial Liability Investigation of Property Loss Report (DD Form 200)* completed, if required. Weapon has been located. (Prior to 1 Nov 84, code was for dual issue/receipt transactions for intra-Component transactions for intra-Component Registry reporting.)

V   Demilitarization. Used by demilitarization activities to report destruction of weapons through demilitarization.

W thru Y   Reserved for future DoD assignment.

Z   Initial Registration and Shipment. Used for registering the shipment of unregistered stock. Serves a dual purpose as B and S transactions.

1   Reserved for future DoD assignment for intra-Army use.

2   Expended tactical category I non-nuclear missile(s) or rocket(s). This code is used when the missile or rocket has been expended in use (fired) and terminates the requirement to report under the DoD *SA/LW serialization program*.

3 thru 5   Reserved for future DoD assignment for intra-Army use.

ENCLOSURE 5 TO ADC 220

AP2.13 APPENDIX 2.13
SMALL ARMS *AND LIGHT WEAPONS (SA/LW)* ERROR TRANSACTION REJECT CODES

NUMBER OF CHARACTERS: Two

TYPE OF CODE: Alpha/Numeric

EXPLANATION: Indicates the type of transaction error. These codes will be used on line or on reject transactions to identify erroneous transactions rejected by the DoD and Component Registries.

RECORD POSITIONS: 23-24

ERROR CODE	DOCUMENT TITLE	EXPLANATION
05	Identifies an existing *SA/LW* record on the Component Registry Master File but reporting activity did not submit E reconciliation record.	Verify active/inactive records. If weapon is on active file, return the error transaction to the Component Registry with the required transaction code in record position 7 to indicate that the Component Registry is correct, thereby removing the reject suspense and precluding follow-up action.
06	Identifies a duplicate record submitted for reconciliation by a reporting activity.	No action required. Duplicate records will be rejected to the Component Registry for verification action. Number of duplicates will be identified as summary information to the activity being reconciled.

ERROR CODE	DOCUMENT TITLE	EXPLANATION
07	Identifies a reconciliation request submitted to the Component Registry that reflects another reporting activity as the owner. Reject is included in the *SA/LW* Record Reject Suspense File which must be cleared to complete the reconciliation.	Verify active/inactive records. 1. If a receipt, request shipping activity to submit required shipment transactions and resubmit error transaction with an R in record position 7 and other pertinent data punched as required to post to Master File and remove the reject suspense. 2. If not a receipt of shipment, and weapon is physically on hand as reported, take the necessary action prescribed for duplicate serial numbers within the same NSN.
08	Reflects confirmation that the Component Registry had added serial number as a result of a reconciliation E transaction processed. No prior receipt of a transaction record received by the Component Registry.	No action required. The reconciliation record will be recorded in the next Component Registry Master File update as an initial registration. The number of code 8 records posted to the Component Master File will be identified as summary information to the activity being reconciled.
09	Identifies a reconciliation request submitted to the Component Registry that is not scheduled for reconciliation on date received.	Verify when reconciliation is scheduled. Reject suspense will not be created.
1A	NSN not Equal to Current NSN	DoD Registry and Component Registry use.
1B	Invalid NSN	DoD Registry and Component Registry use.
1C	NSN Table Date Invalid	DoD Registry and Component Registry use.
2A	Document Identifier Code/ Routing Identifier Code Invalid	Notify reporting activity of the error condition so that its files will be corrected. Correct and resubmit transaction.
2B	Serial Number Contains Blanks	Notify reporting activity of the error and request a corrected transaction be submitted.
2C	Invalid Transaction Code	Correct and resubmit transaction.

ERROR CODE	DOCUMENT TITLE	EXPLANATION
2D	Unmatched Stock Number	1. If the stock number is not reportable under chapter 12, notify the reporting units to discontinue reporting for this tock number. 2. If the stock number is in error, notify the reporting activity of the error and request that a corrected transaction be resubmitted. 3. If the stock number is valid and pertinent, but does not appear in the stock number file, prepare and submit transaction H to the computer.
2F	Document Number Date in Error	Verify, correct, and resubmit transaction.
2G	Document Number Serial in Error	Verify, correct, and resubmit transaction.
2J	Invalid DoDAAC/UIC from or DoDAAC/UIC to a Mass Change	Assure that DoDAAC/UIC (from-to) are valid and in the file; correct DoDAAC/UIC.
2K	Invalid DoDAAC/UIC in Document Number	Verify, correct, and resubmit transaction.
2L	Invalid Transaction Date	Verify, correct, and resubmit transaction.
2M	Action Date Greater Than Current Date	Verify, correct, and resubmit transaction.
2O	Invalid DoDAAC/UIC	Verify, correct, and resubmit transaction.
3A	Document Number Interrogation Exceeds Limit	Correct and return transaction by next cycle. Notification will be by card/listing. Listings will reflect error code and narrative description.
3B	Serial Number Interrogation Exceeds Limit	Same as 3A.
3C	Stock Number Interrogation Exceeds Limit	Same as 3A.
3D	DoDAAC/UIC Number Interrogation Exceeds Limit	Same as 3A.
3F	Transaction Date Prior to Master Date	Verify, correct, and resubmit transaction.

ERROR CODE	DOCUMENT TITLE	EXPLANATION
3G	Unmatched Transaction	Missing transaction(s). Verify, correct, and resubmit transaction.
3H	New Serial Number Matches Previously Established Master File	1. Error in reported serial number. 2. Duplicate serial number exists. 3. Reporting activity must be contacted to verify reported serial number if serial number is in error. Correct and resubmit transaction.
3I	From DoDAAC/UIC in Transaction Does Not Match DoDAAC/UIC in Master File	Verify, correct, and resubmit transaction.
3J	Transaction Matched on Stock Number But Not on Serial Number	1. Serial number error exists in transaction. 2. There are missing transactions in the computer. Verify, correct, and resubmit transactions.
3K	Receipt Transaction Received Prior to Shipment Transaction	Post receipt. Reject Transaction to shipping activity--verify serial number shipped--correct if required.
3L	Input Transaction is Incompatible to Master File	Compare rejected transaction against master file and take necessary action to make input transaction (record position 7) compatible, e.g., S transaction on the master file will accept R transaction only.
3M	Duplicate on Serial Number, Stock Number, and Transaction Code	Request printout from the computer by stock number and serial number (Transaction Code 3). Examine transaction to determine if transaction is an exact duplicate. If it is not, correct and resubmit transaction.

ERROR CODE	**DOCUMENT TITLE**	**EXPLANATION**
3U	NSN And Weapon Serial Number Duplicates Another Weapon On Master File	1. Verify NSN (record positions 8-22) and serial number (record position 67) of weapon. If incorrect, resubmit correct transaction. 2. If correct and weapon was received from activity shown in master file, submit receipt R transaction to the Component Registry. 3. If correct, and weapon was not received from activity shown on master file, take the necessary action described for duplicate serial numbers within same NSN.

ENCLOSURE 6 TO ADC 220, Part I

JSACG chair provided draft ADC 220 to JSACG for review after the 2007 JSACG meeting and incorporation of comments addressed at enclosure 5. This final review prompted no additional JSACG comments or changes, however comment was received from the proponent for DoD 4160.21-M via the DLA Supply Process Review Committee (PRC) representative.

At the 6/11/08 JSACG meeting, the chair asked the group to review the draft ADC 220 definition as well as the comment to that definition from the DoD 4160.21-M proponent, and respond, by July 11, 2008.

DRAFT ADC 220 SA/LW definition:

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

2007 COMMENT from the proponent for DoD 4160.21-M via the DLA Supply PRC representative:

"Concur with comments: The "revised definition" for SMALL ARMS AND LIGHT WEAPONS does not specify the caliber or millimeter threshold between small arms and light weapons that could be confusing and may adversely affect the way small arms ammunition is thought of and potentially result in an undesirable explosives safety hazard issue as follows:

a. Title 10 U.S.C. §2577 authorizes the sale of recyclable materials and the deposit of proceeds into the installation QRP. Regulations at Title 32, Code of Federal Regulations §172.2(b)(3)(ii), prohibit recycling of items that must undergo demilitarization or mutilation before sale. DoD Instruction 4715.4, "Pollution Prevention," establishes resource recovery and recycling through the Installation Qualified Recycling Program (QRP) and implements the aforementioned statutes.

b. One of the authorized recyclable items through the QRP is "small arms fired brass" provided they are mutilated. By definition, small arms ammunition is defined by the Disposal Manual (DoD 4160.21-M) as .50-caliber (12.7mm) or below. The .50-caliber machine gun, we believe, is considered a "heavy machine gun" by the proposed definition of SA/LW and that is where the distinction is currently made between what caliber (mm) fired brass is or isn't eligible for QRP processing. Request that "caliber / millimeter "cross-reference be identified accordingly and a distinctive cut-off for small arms ammunition made at .50-cal."

JSACG RESPONSE to 6/13/08 email tasking (as a result of 6/11/08 JSACG meeting) for review of definition and outstanding comment:

COMPONENT	COMMENT
Army:	
Army Executive Agent for Small Arms (Logistics) (Mr. Thomas Tkatch by 6/30/08 email)	Army concurs with draft ADC 220 definition.
Army LOGSA (Mr. Charles Royal by 7/2/08 email)	I nonconcur with the single outstanding comment to draft ADC 220 revised definition to small arms and light weapons (SA/LW) and recommend that the definition remain as written without reference to caliber or millimeter. The comment pointed out that the "revised definition" for SMALL ARMS AND LIGHT WEAPONS did not specify the caliber or millimeter threshold between small arms and light weapons and concern was expressed that it could be confusing and may adversely affect the way small arms ammunition is thought of and potentially result in an undesirable explosives safety hazard issue. As you noted it was the intent of the DoD SA/LWSP definition to define small arms and light weapons as a group specifically for DoD tracking and reporting requirements under the DoD SA/LW Serialization Program and was not meant to be an inclusive DoD definition to be used by other DoD programs. Inasmuch as there is no official DoD definition for small arms or light weapons this allows flexibility to

Enclosure 6 to ADC 220 Parts I and II
Final Comment Disposition

	programs to define these two terms to reflect the objectives and requirements for each unique DoD program. The revised definition for SA/LW should not impact DoD Disposal regulations and procedures since they will continue to define small arms and light weapons within their programs. In not specifying the caliber or millimeter limitations in the Draft ADC 220 definition it allows the DoD SA/LW Program the flexibility to quickly add those weapons that would meet all but the caliber threshold for tracking. With the influx of nonstandard weapons into DoD inventory and the ongoing weapon technology breakthroughs it is not beneficial to identify caliber parameters in the SA/LW definition for the DoD serial number tracking program.
Navy (Mr. Bruce Reese by 6/12/08 email)	Navy does not concur with the outstanding comment.
Air Force (Mr. Van L. Poindexter, Jr by 6/12/08 email)	Concur with draft ADC 220 definition.
Marine Corps (Mr. A.J. Trout by 7/1/08 email)	Agree with the draft ADC 220 Small Arms definition.
Coast Guard (CW02 John McDaniel by 6/13/08 email)	Concur with draft ADC 220 definition
DoD AT&L Treaty Compliance Office (Mr. William Alberque by 6/13/08 email)	Concur with draft ADC 220 definition.
DLA: (Mr. George Gray by 7/2/08 email)	I also nonconcur with the change [the outstanding comment]. Reference Chuck Royal's comments.
(Mr. Jeff Garrett by 7/2/08 email)	As the Deputy DoD Demil Program Manger, my concern with the draft ADC 220 revised definition to small arms and light weapons (SA/LW) is the confusion it may cause for DOD having two definitions for Small Arms. Currently the DoD Demil Manual 4160.21-M-1 and the Draft Demil Manual use the "International Traffic in Arms Regulations" (ITAR)(22 C.F.R. Parts 120-130) and Arms Export Control Act (AECA) (22 U.S.C. 2778-2780) as the bases for DoD Demil Policy, and to identify Significant Military Equipment (SME). The ITAR definition for Small Arms is Category I which is SME, are below. 1) Category 1 Firearms; Close Assault Weapons and Combat Shotguns "Non-automatic and semi-automatic firearms to caliber .50 inclusive (12.7mm)" 2) CATEGORY II. Guns and Armament; "Guns over caliber .50 (12.7mm), whether towed, airborne, self-propelled, or fixed, including but not limited to, howitzers, mortars, cannons and recoilless rifles. For internal DoD use only, not listing the cal or mm, may not have an impact. The issue is what happens when DoD wants to export these weapons, which definition will be used, when we go to the Department of State (DoS) for export, how do we distinguish or identify which Chapter applies, we may have them in Chapter 1, but ITAR may have them listed as Chapter 2? Do we need to engage DoS. The issue is this, when DoD makes a change to a regulation, how does that change affect other regulations. I just want to ensure we make the correct decision. Thoughts? Thanks jg
JSACG Chair Response to Mr Garret's comment above (Mary Jane Johnson by 7/7/08 email)	As stated in draft ADC 220, there is no single agreed upon DOD definition for small arms and light weapons. The ADC 220 definition is not intended to resolve that fact, rather it is intended to define small arms and light weapons (SA/LW) for the specific purpose of SA/LW reporting under the DOD SA/LW Serialization Program (DODSA/LWSP). For this purpose, we address small arms and light weapons as a group and do not distinguish between the SA/LW since the two groups have the same procedures for reporting within the DODSA/LWSP.

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	Your [Mr. Garret's] comment addresses export of weapons and asks "when DoD makes a change to a regulation, how does that change affect other regulations". Organizations dealing with export of weapons should refer to the applicable publication/guidance. They should NOT refer to DOD 4000.25-2-M, (MILSTRAP) nor DOD 4000.25-M (DLMS). Neither MILSTRAP nor DLMS addresses weapons export, nor do they provide definitions to be used for that purpose. Further, when a change is made to regulations covering weapons export requirements it does not impact the DOD MILSTRAP/DLMS DODSA/LWSP reporting requirements. Please be advised that after full JSACG review of the draft ADC 220 SA/LW definition, and the outstanding comment to that definition from the proponent for DOD 4160.21-M, with the exception of your comment below, the group unanimously concurred with the SA/LW definition as published in draft ADC 220. I have attached the JSACG comments in response to the June 11, 2008 JSACG meeting tasking. [The comments are above]
DLA response (Mr. Jeff Garrett by 7/7/08 email)	Thanks, Just want to ensure the JSACG and the DoD Demil Program are in-sync, what ever is serialized must be demiled.

Enclosure 6 to ADC 220 Parts I and II
Final Comment Disposition

ENCLOSURE 7 TO ADC 220, Part I
Comments Disposition to **DRAFT ADC 220** Provided as Background

DLMSO provided Draft ADC 220 for JSACG/SPRC review in 2007. Comments received to <u>Draft ADC 220</u>, Part I were discussed at the April 25, 2007 JSACG meeting as follows:

COMPONENT	RESPONSE TO DRAFT ADC 220	DISPOSITION
OSD Treaty Compliance Office DUSD (AT&L)TC	The Small Arms and Light Weapons Implementation Working Group (SAIWG) has several concerns and questions surrounding the proposed change. For those in attendance, particularly the representatives from the Services and Joint Staff, this was the first they had seen or heard of the proposed change. As of now, the Army representatives see no problem with the definition change. However, since this was the first they had seen of this, they would like to discuss the matter internally as well as with your office. **Treaty Compliance (TC) Office Comment 1.** The first question the SAIWG has is what is the exact reason for changing the definition? **TC Comment 2.** Will the definition be solely for internal DoD use, or will it be the definition that the DoD will use for other external discussions revolving around SA/LW (i.e. treaty negotiations). **TC Comment 3.** Although it is noted that there is no single agreed upon definition for SA/LW, the most widely used definition is the 1997 UN Group of Government Experts definition of SA/LW which includes separate categories for "revolvers and self-loading pistols," "rifles and carbines," and "assault rifles." **TC Comment 4.** Another concern we have is with the mention of a 200 pound weight limit for light weapons. The SAIWG is unaware of any definition or agreement which uses this weight limit in determining whether a weapon is considered a small arm or light weapon. There may be certain weapons, such as MANPADS, which may weigh over 200 pounds but would still be considered a light weapon. We suggest deletion of the 200 pound weight limit. **Comment 5.** The ATF representative who was present at the SAIWG also expressed concern that the change in the DoD definition would vary from the definition provided in U.S. law. Although not directly related to the DoD, the U.S. firearm industry would be watchful of any change relating to the definition of SA/LW and would be concerned of any future impacts this may have on the industry.	**TC Comment 1 and 3:** JSACG chair noted that comments 1 and 3 are directed at the change from the definition staffed by PDC 134A to delete "revolvers and self-loading pistols" in favor of "handguns" and to delete "assault rifles" from the definition. The definition published in the UN Instrument (reference 3.d.) was closely aligned with the PDC 134A definition. "Revolvers and self-loading pistols" vs "handguns": The JSACG noted that DOD tracks single shot pistols which are not revolvers or self loading pistols. The term "handgun" was deemed more inclusive and the JSACG did not believe it conflicted with the UN Instrument definition which cites "revolvers and self-loading pistols". A definition for "handguns" was also added to MILSTRAP/DLMS and that definition includes <u>single-shot</u> pistols, <u>revolvers</u>, <u>semi-automatic</u> pistols, and fully automatic, or <u>machine pistols</u>. Assault Rifles: JSACG concluded that assault rifles are covered under rifles, and should not be separately identified as there is no specific definition for assault rifle and it means different things to different interested parties. **TC Comment 2:** As noted in PDC 134A/ ADC 220, the DLMS/MILSTRAP SA/LW definition is intended to clarify and define small arms and light weapons for <u>DOD tracking and reporting requirements.</u> The DODSASP was not created nor designed to be used as a tool for tracking DOD weapons for the international community in order to be in compliance with international treaties; however, the information in the DOD Registry may be useful to assist in these obligations. JSACG agreed it would be beneficial to align the definitions where possible. **TC Comment 4:** JSACG agreed to eliminate the 200 pound weight restriction in favor of language in the UN instrument as follows: *"Light weapons are broadly categorized as those weapons* ==*weighing less than 200 pounds that are carried and used by several*== *designed for use by two or three members of armed or security forces serving as a crew,* ==*although some may be used by a single person*==*."* **TC Comment 5:** JSACG noted the DODSASP definition is not tied to US law, and is an internal DOD definition applying to DOD SA/LW tracking and reporting requirements.

Enclosure 7 to ADC 220 Part I
<u>DRAFTADC 220</u> **Comments/Disposition provided as background**

COMPONENT	RESPONSE TO DRAFT ADC 220	DISPOSITION
DUSD (AT&L)TC Con't	**TC Comment 6.** Finally, it appears that our two groups need to have more continuity. While your group includes expert folks from the Army, it does not include anyone from the Army staff. I'd suggest adding [specific SAIWG members] to your group. They both attend the SAIWG and are instrumental in implementing our Small Arms Agreements and Treaties. Army SAIWG member plans on talking to the Army LOGSA and/or Executive Agent for Small Arms logistics JSACG members about the definition, but at this time, the SAIWG has reservations about making a definitional change	**TC Comment 6:** JSACG and SA/LW IWG chair agreed there should be communication between both groups, and the Services should be aware of their corresponding group members. JSACG chair suggested chairs exchange group member names to alert JSACG and SAIWG of their Service counterparts with goal of opening communication lines if not already present. Regarding adding specific Service SALW IWG representatives to the JSACG, it is the JSACG Component representative's prerogative to bring additional representatives to the meetings. If the JSACG member requests, JSACG chair can add additional Service parties as interested parties to the JSACG membership list and email distribution.
Army SAIWG member Nonproliferation Policy Suggestions	<u>**Army Nonproliferation Policy Office Suggestions**</u> **1.** I suggest making the 'carry and use' language as identical as possible for small arms and light weapons, i.e. mention that small arms are intended to be carried and used by an individual, while SALW are intended to be carried and used by a crew. **2.** I suggest using the term 'weapon systems', rather than just weapons. As per JP 1-02 (2001 edition), the term weapon system includes everything required for employment, and I believe that the term more accurately reflects what the definition is trying to capture. For example, in some cases the weapon may require one solider to operate, but the 'weapon system' necessitates and assistant to carry ammunition, etc. **3.** I also agree that if weight is to be mentioned, that loaded or unloaded weight should be specified. For SALW, much of weight is in the ammunition. I personally recommend using an unladed weight figure.	**Comment 1:** Concur. JSACG revised definition as noted in disposition for Treaty Compliance Office comment 4 above. **Comment 2:** Non-concur**.** The term "weapon system" is mainly associated with larger and more sophisticated weapons. The weapons defined in the PDC are designed to incorporate weapons that are predominately used by a single person or a group that is limited to two or three persons. Reference: The Encyclopedia Britannica defines "weapon systems" as any integrated system, usually computerized, for the control and operation of weapons of a particular kind. Intercontinental ballistic missiles, long-range bombers, and antiballistic missiles are the weaponry of the strategic weapons system (*q.v.*). Guided missiles operating at shorter range, *e.g.,* anti-aircraft or battlefield weapons and air-to-air or air-to-surface attack-type missiles, constitute a tactical weapons system (*q.v.*). Army LOGSA JSACG representative noted that the term weapon system would be too inclusive (tripods [they do have serial numbers], silencers, and other items)and would add confusion where none is needed. **Comment 3:** Weight limit removed in response to Treaty Compliance (TC) Office comment 4 above.
USA Weapons Support Group	Recommend that the Small Arms and Light Weapons Implementation Working Group's select a small arms definition that is consistent with the below definitions: DoD 4160.21-M-1, Demilitarization Manual: All non-automatic, semiautomatic, automatic and other weapons up to and including 50 caliber (12.7 mm) including combat shotguns, shoulder fired	Definitions provided are noted. The DLA JSACG representative agreed to provide a copy of ADC 220 to the proponent for DOD 4160.21-M-1 which is a DLA office. (NOTE: the proponent for DOD 160.21-M-1 provided a comment and the comment as well as JSACG disposition is noted in ADC 220, Attachment, page 5, paragraph 8.

DOD 4000.25-2-M

COMPONENT	RESPONSE TO DRAFT ADC 220	DISPOSITION
	grenade launchers, man portable rocket launchers, individually operated weapons which are portable and/or can be fired without special mounts or firing devices, pyrotechnic pistols and other ground signal projectors, rifle grenade launchers, and firearms or other weapons having a special military application (e.g., insurgency-counterinsurgency and close assault weapons systems), regardless of caliber. DoD 5100.76-M, Physical Security of Sensitive Conventional Arms, Ammunition, and Explosives: Light automatic weapons up to and including .50 caliber and 40mm MK 19 machine guns, shoulder-fired weapons not fully automatic, handguns, flame throwers, mortar tubes up to and including 81mm, grenade launchers, recoilless rifles up to and including 106mm and rocket and missile launchers with an unpacked weight of 100 pounds.	
DLA SYSTEMS INTEGRATION OFFICE (DSIO)	As far as the definition for small arms, I feel we are splitting hairs and as firepower continues to evolve the definition will continue to change with it. Therefore, we will live with the current definition rather than attempt to add to it or detract from it. <hr>I am concerned about the visibility and traceability of captured small arms and the procedures for the reporting of them. The current version of MILSTRAP provides the following data when entering the serial number while creating a DSM image. Enter serial number. Right justify and fill unused positions with zeros. If the serial number begins with a zero, also enter a 12-zone in the zero position which starts the serial number. A 12 equates to an ampersand (&). Furthermore, an (*) asterisk is used to identify foreign or unidentifiable characters in the serial number field. Within the DLMS transactions the special characters are not valid. The * is used as a field separator. As of January 2007, DLA is moving into the realm of IUID within the small arms community. Within IUID, the (/) slash and (-) dash are the only valid special characters. Currently DLA records indicate that a (,) comma is also recorded as a valid character within a weapons serial number. Realizing that this ADC is not to provide functionality or procedures, the need for these conditions to be addressed in the supporting regulatory guidance is a real concern for this activity in light of world situations.	As indicated in the PDC Description of Change, "The purpose of this change is to support the changing environment for maintaining visibility and reporting of small arms and light weapons (SA/LW) serial number data within DOD. This change recognizes that there is not yet an internationally nor DOD agreed definition of small arms and light weapons." Therefore, the JSACG and SAIWG will continue to be proactive and monitor the definitions as necessary. == The remaining DLA DSIO comments address an issue with the serial number format not specific to the PDC/ADC to revise the small arms definition. As such they will be addressed separately from ADC 220.

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Enclosure 7 to ADC 220 Part I
DRAFTADC 220 Comments/Disposition provided as background

ENCLOSURE 8 TO ADC 220, Part I

Comments Disposition to original **PDC 134A** Provided as Background

COMMENTS AND DISPOSITION FOR PDC 134A ,Part I

PDC 134A definition: SMALL ARMS AND LIGHT WEAPONS. For the purpose of DoD small arms and light weapons reporting, small arms and light weapons are defined as man-portable weapons made or modified to military specifications for use as lethal instruments of war. Small Arms are broadly categorized as those weapons intended for use by individual members of armed or security forces. They include revolvers and self-loading pistols; rifles and carbines; sub-machine guns; assault rifles; and light machine guns that expel a shot, bullet or projectile by action of an explosive. Light weapons are broadly categorized as those weapons weighing less than 200 pounds that are carried and used by several members of armed or security forces serving as a crew. They include heavy machine guns; hand-held under-barrel and mounted grenade launchers; portable anti-aircraft guns; portable anti-tank guns; recoilless rifles; man-portable launchers of anti-tank missile and rocket systems; portable launchers of anti-aircraft missile systems; and mortars"

#/ORGANIZATION	PDC 134A COMMENT	COMMENT DISPOSITION
1. Army JSACG and SPRC representatives AMC Executive Agent f/Small Arms Logistics AMC Logistics Support Activity (LOGSA)	Concur as written	Noted.
2. Air Force SPRC representative	Concur.	Noted.
3. Marine Corps SPRC representative	Concur as written.	Noted.
4. Navy JSACG and SPRC representatives	Concur.	Noted.
5. DLA JSACG and SPRC representatives	Concur.	Noted.
6. DLIS	Assume this will require a change to the AAA UIT Designator code from DOD Small Arms Serialization Program (DODSASP) to DOD Small Arms/Light Weapons Serialization Program (DODSA/LWSP). Please let me know when the projected implementation date is known. It may take some time to change the FLIS references.	Change will be effective upon publication of the approved DLMS change (ADC). DLMSO will note in the ADC that a FLIS update will be forthcoming in a future release, to update the description for UIT Designator Code 'AAA' to reflect the change.
7. GSA SPRC representative	Change does not apply to GSA	Noted.
8. DLMSO JSACG Chair	**DLMSO COMMENT DISCUSSED AT 12/12/2006 JSACG MEETING**: The following comments were originally made by Navy to PDC 134, and received positive response from the JSACG, but were overlooked in preparing PDC 134A. **The JSACG chair recommended they be incorporated in the final definition if no objection from the JSACG after an additional review period of DRAFT ADC:** **NAVY** **1)** Why is the term assault rifles separated from rifles and carbines? Since "rifles and carbines" are listed should assault rifles just not be mentioned? **2)** Why not say all pistols? Why is self-loading pistols separated out?	**ORIGINAL JSACG RESPONSE TO NAVY COMMENTS:** **1)** Good point. Unless we have a definition, example, or category of small arms that fall into the "assault weapons" category assault weapons can be deleted from the definition. **2)** Good point. Deleting "self" would include all pistols. **DISPOSITION FROM DISCUSSION AT 12/12/06 JSACG MEETING**: 1) JSACG agreed that "assault weapons" be deleted from the definition as they would be covered under "rifles", and 2) JSACG recommended that the statement "revolvers and self-loading pistols" be deleted from the proposed definition and replaced with the term "handguns" which encompasses both revolvers and pistols. The JSACG also recommended that the definition of "handguns" be included in the Terms and Definitions published in DLMS and MILSTRAP.

ENCLOSURE 9 TO ADC 220, Part I
Comments Disposition to original **PDC 134** Provided as Background

Existing MILSTRAP/DLMS DEFINITION:

"**SMALL ARMS**. For the purpose of small arms reporting, small arms are defined as handguns; shoulder-fired weapons; light automatic weapons up to and including .50 caliber machine guns; recoilless rifles up to and including 106mm; mortars up to and including 81mm; rocket launchers, man-portable; grenade launchers, rifle and shoulder fired; and individually operated weapons which are portable and/or can be fired without special mounts or firing devices and which have potential use in civil disturbances and are vulnerable to theft"

PDC 134 PROPOSED DEFINITION:

"**SMALL ARMS AND LIGHT WEAPONS**. For the purpose of DoD small arms and light weapons reporting, small arms and light weapons are defined as man-portable weapons made or modified to military specifications for use as lethal instruments of war. Small Arms are broadly categorized as those weapons intended for use by individual members of armed or security forces. They include revolvers and self-loading pistols; rifles and carbines; sub-machine guns; assault rifles; and light machine guns that expel a shot, bullet or projectile by action of an explosive. Light weapons are broadly categorized as those weapons weighing less than 200 pounds that are carried and used by several members of armed or security forces serving as a crew. They include heavy machine guns; hand-held under-barrel and mounted grenade launchers; portable anti-aircraft guns; portable anti-tank guns; recoilless rifles; man-portable launchers of anti-tank missile and rocket systems; portable launchers of anti-aircraft missile systems; and mortars"

PDC 134A PROPOSED DEFINITION after incorporating comments as noted in the DISPOSITION from the table that follows. Changes from PDC 134 are highlighted.

"**SMALL ARMS AND LIGHT WEAPONS.** For the purpose of DoD small arms and light weapons reporting, small arms and light weapons are defined as man-portable weapons made or modified to military specifications for use as lethal instruments of war that expel a shot, bullet or projectile by action of an explosive. Small Arms are broadly categorized as those weapons intended for use by individual members of armed or security forces. They include revolvers and self-loading pistols; rifles and carbines; sub-machine guns; assault rifles; and light machine guns that expel a shot, bullet or projectile by action of an explosive. Light weapons are broadly categorized as those weapons weighing less than 200 pounds that are carried and used by several members of armed or security forces serving as a crew. They include heavy machine guns; hand-held under-barrel and mounted grenade launchers; portable anti-aircraft guns; portable anti-tank guns; recoilless rifles; man-portable launchers of anti-tank missile and rocket systems; portable launchers of anti-aircraft missile systems; and mortars."

PDC 134 JSACG Comments	DISPOSITION
1 **OSD/TC (Treaty Compliance)** - M. Tuttle Recommended changes. The most important change is the recommendation to remove the weight limit for light weapons. I know that our office had previously recommended moving the weight limit to 200 pounds, but after further discussion with the Joint Staff, they recommended a removal of the weight limit. There are concerns that a weight limit would create more questions than it answers as there is no indication what the weight limit includes. Does it include the ammo, the tripod if necessary, etc? **RECOMMENDED CHANGE TO DEFINITION:** "<u>SMALL ARMS AND LIGHT WEAPONS.</u> For the purpose of DoD small arms and light weapons reporting, small arms and light weapons are defined as man-portable weapons made or modified to military specifications for use as lethal instruments of war that expel a shot, bullet or projectile by action of an explosive (this phrase was moved to this location so that it would apply to both small arms and light weapons). Small Arms are broadly categorized as those weapons intended for use by individual members of armed or security forces. They include revolvers and self-loading pistols; rifles and carbines; sub-machine guns; assault rifles; and light machine guns. Light weapons are broadly categorized as those weapons (recommend removal of weight limit as per the recommendation of the Joint Staff) that are carried and used by several members of armed or security forces serving as a crew. They include heavy machine guns; hand-held under-barrel and mounted grenade launchers; portable anti-aircraft guns; portable anti-tank guns; recoilless rifles; man-portable launchers of ~~anti-tank~~ missile and rocket systems; ~~portable launchers of anti-aircraft missile systems;~~ and mortars"	DLMSO concurs with comments except the removal of the weight limit. The definition defines light weapons as "….weapons that are carried and used by several members….". The definition suggests that the weapon's weight is the primary indicator and realizes that one or more components may be necessary to make the weapon operate as designed. Additionally, light weapon components such as the tripod may not be tracked but are necessary to the operation of the weapon. **(Chuck Royal/LOGSA can explain what is actually tracked on M-16 and mortars.*)** Further, the current definition of small arms includes weapons that are "….individually operated weapons which are portable and/or can be fired without special mounts or firing devices…" In the case of light weapons this condition would not be appropriate. ***Army LOGSA Response:** Components such as tripods and blast plates are not separately identified from the weapon and independently tracked in the Registry even though necessary (though not critical) to the use of the weapon. The weapon receiver (which contains the serial number of the weapon) is tracked in the Registry under a separate NSN when not part of the weapon but no other serial numbered part is tracked in this manner. The mortar tube, but not the blast plate, is tracked in like manner when separated from the mortar as the mortar tube.
2 **OSD/TC** - M. Tuttle Change to PDC 134 Description of change: Recommended wording change as none of the agreements pertaining to SA/LW actually prohibit or restrict the flows of SA/LW- they are basically transparency regimes aiming to identify the destabilizing flows of SA/LW as per the information submitted by the participating states: **PDC 134 Description of Change:** Over the past several years the need for a revision to the small arms definition in DoD 4000.25-2-M, Military Standard Transaction Reporting and Accounting Procedures (MILSTRAP), and DoD 4000.25-M, Defense Logistics Management System (DLMS), has been discussed by the Joint Small Arms Coordinating Group (JSACG). The purpose of this change is to support the changing environment for maintaining visibility and reporting of small arms and light weapons (SA/LW) serial number data within the DoD. This change recognizes that there is not yet an internationally nor DoD agreed definition of small arms and light weapons. The DoD "Small Arms Implementation Working Group (SAIWG)" was created to ensure that DoD is prepared to fully implement ***and continues to be compliant with*** provisions of international agreements ~~***that prohibit or restrict***~~ **on** small arms and light and light weapons~~***, in any way upon their entry into force***~~ and is chaired by Office of the Under Secretary of Defense for Acquisition, Technology and Logistics/Defense Systems/Treaty Compliance. …	DLMSO agrees with the OSD OTC change to correctly identify the purpose of the SAIWG, which they chair.

Enclosure 9 to ADC 220 Part I
PDC 134 Comments/Disposition provided as background

	PDC 134 JSACG Comments	**DISPOSITION**
3	**DLMSO** Comment to PDC 134 Description of Change (see #2 above): The DoD Small Arms registry was not created nor designed to be used as a tool for tracking DoD weapons for the international community in order to be in compliance with international treaties. However if the information in the DoD registry has can assist in these obligations that is a benefit.	DLMSO Recommendation: Suggest adding a sentence to that effect before the last sentence in the description paragraph as follows (*change is in bold italics*): "…It is essential to ensure that any definition included in a negotiated instrument will not necessitate a change in current practices that will affect the implementation of international agreements to which the United States is already a party. ***The DoD Small Arms registry was not created nor designed to be used as a tool for tracking DoD weapons for the international community in order to be in compliance with international treaties, however the information in the DoD registry may be useful to assist in these obligations.*** This PDC is intended to clarify and define small arms and light weapons for <u>DoD tracking and reporting requirements</u>."
4	**Army LOGSA** - C. Royal Concur with DLMSO comments above. The Small Arms Registry does not track the tripods or other components that make up the small arms and in fact, the current definition of small arms restricts the reporting of weapons that require special mounts or firing devices in order to fire the weapons. If we are to remove the weight limit from the proposed definition then we should input back into the definition the special mount and firing device restriction. However, I believe if we do this it will eliminate a number of 'light weapons' that are desired to be tracked in the small arms registry.	DLMSO concurs.
5	**NAVY -** M. Riggins Crane Division, Naval Surface Warfare Center **1)** Why is the term assault rifles separated from rifles and carbines? Since "rifles and carbines" are listed should assault rifles just not be mentioned? **2)** Why not say all pistols? Why is self-loading pistols separated out? **3)** Pyrotechnic pistols are not mentioned? Are they no longer required to be tracked? **4)** Shotguns are not included in the proposed definition? **5)** Demilled weapons, air guns, pellet guns, drill rifles, dart guns are all omitted from this definition. Is this acceptable? **6)** End of sentence that says "...that expel a shot, bullet or projectile by action of an explosive." What about compressed air?	**DLMSO RESPONSE** **1)** Good point. Unless we have a definition, example or category of small arms that fall into the "assault weapons" category assault weapons can be deleted from the definition.* **2)** Good point. Deleting "self" would include all pistols.* **3)** Pyrotechnic pistols are not specifically mentioned in the current definition. Pyrotechnic pistols per se are not classified as a weapon (lethal instruments of war); however, the DoD Components are not prohibited from tracking such items internally (would not be reported to the DoD Visibility Center). **4)** Shotguns are included in the definition as a lethal instruments of war i.e., "...that expel a shot, bullet or projectile by action of an explosive." **5)** The definition of small arms and light weapons does not include the items listed; however, DoD policy and procedure promulgate the requirements for tracking weapons (lethal instruments of war) from receipt to disposal, museum pieces that are demilled, etc. Air guns, pellet guns, drill rifles, dart guns, etc. are excluded from DoD reporting policy and procedures. The DoD Components are permitted to track such items internally. **6)** Compressed air guns (BBs, pellet, dart. etc.) are not considered lethal instruments of war. The DoD Components are permitted to track such items internally. ***** highlighted comments above were agreed to by JSACG but inadvertently left out of subsequent PDC 134A. JSACG Chair identified the comments for discussion at the Dec 2006 JSACG meeting, where the JSACG again concurred, and they were incorporated in the ADC 220 revised definition.

Enclosure 9 to ADC 220 Part I
PDC 134 Comments/Disposition provided as background

	PDC 134 JSACG Comments	DISPOSITION
6	**MARINE CORPS** Head, Combat Ground Weapons/Marine Air Command & Control Section (Code 583-2) MCLB The change is appropriate with one comment: the definition for light weapons, it targets "*portable anti-tank guns*" and "*man-portable launchers of anti-tank missile and rocket systems*". The "anti-tank" portion is understood, however not clear when stating "...rocket systems" if it includes rocket systems that could be broadly interpreted as shoulder-launched anti-structure rockets/missiles. Though the Marine Corps' SMAW has a dual capability, there could be rocket/missile systems designed specifically for engaging only structures.	DLMSO Response: Request clarification. Is the concern that the definition should be revised to include anti-structure….or to specify anti tank missile systems? USMC RESPONSE 5/17/06: The "Revise Definition for Small Arms and Rename the DoD Small Arms Serialization Program (DoDSASP)" is sufficient as per the Marine Corps understanding and usage. The engaged structures are adequate and additional clarity is provided in the definition by specific reference to the weight of the weapon categorized light weapon Army LOGSA suggestion: Additionally, I would recommend that we change the wording in the definition from **"man-portable launchers of anti-tank missile and rocket systems; portable launchers of anti-aircraft missile systems; and mortars**" to **"man-portable launchers of missile and rocket systems; and mortars"** as was discussed with the Marine Corps comment concerning the DoD Small Arms definition.
7	**DLA J-3731** DLA concurs with the change, but would like to note that it is crucial IMMs use the UIT Designator Code to identify UIT-reportable weapons, whether they will be known as Small Arms or Small Arms/Light Weapons.	DLMSO concurs.
8	**DLIS-SIA** It would take us approximately 6 weeks to make the change to the UIT CD ROM. However, we hope to have the data available online by then and it should be easier to change the definitions in the help/definition screens. I am still told that by the end of the year we will have UIT visibility in our online data, WEBFLIS.	Noted.
9	**DEFENSE SECURITY COOPERATION AGENCY (DSCA)** Supply Process Review Committee representative Concurs.	Noted.
10	**OSD/TC** Subsequent comment provided by OSD TC: I was just looking over the definition again and realized that I forgot about one of my other comments. I had recommended moving the phrase **"that expel a shot, bullet or projectile by action of a burning propellant"** to the beginning of the definition so that it would apply to both small arms and light weapons. As it reads it makes it sound like the description only applies to small arms. So the definition would read, "For the purpose of DoD small arms and light weapons reporting, small arms and light weapons are defined as man-portable weapons made or modified to military specifications for use as lethal instruments of war **that expel a shot, bullet or projectile by action of a burning propellant.** Small arms are broadly categorized as those weapons intended for use........sub-machine guns; and light machine guns. Light weapons are broadly categorized....etc." I apologize that I did not notice this earlier. You could also add "that expel a shot, bullet or projectile by action of a burning propellant" to the end of the light weapons list as well.	DLMSO concurs as amended.