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MARINE CORPS BULLETIN 4130

From: Commandant of the Marine Corps  
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Subj: MARINE CORPS SERIALIZED ITEM MANAGEMENT (SIM) POLICY

- Ref: (a) DOD Instruction 5000.64, "Accountability and Management of DoD-Owned Equipment and Other Accountable Property," November 2, 2006  
(b) DOD 4100.39-M Volume 10, "Federal Logistics Information System," August, 2010  
(c) DOD 4140.27-M, "Shelf-Life Management Manual," May 5, 2003  
(d) DON Serialized Item Management Strategy of July 2009  
(e) MCO P4400.150E  
(f) MCO P4400.151B  
(g) MCO 4855.10B  
(h) UM 4400-123  
(i) UM 4400-124  
(j) SECNAVINST M-5210.1

1. Purpose. This Bulletin provides policy and defines criteria, in accordance with references (a) through (d), for Serialized Item Management (SIM) of controlled Marine Corps ground equipment and supplies based on the Controlled Inventory Item Code (CIIC) assigned to National (or NATO) Item Identification Numbers (NIINS). This Bulletin further directs all Marine Corps commands and activities to identify items meeting SIM criteria and to properly catalogue the SIM attributes of those items in applicable Logistics Automated Information Technology (Log-AIT) systems.

2. Background

a. Change Management. The Marine Corps is undertaking a generational change in its capabilities to effectively manage the lifecycle of its equipment. To accomplish this, the Marine Corps must replace slow, cumbersome logistics processes and systems with responsive, anticipatory ones. These systems must enable the delivery of the right equipment and supplies in the right place, time, and quantities across the full spectrum of military operations. This will be made possible, in part, by implementing transformational innovations to include proven industry practices for standardized (and item-unique) parts marking, tracking, and management.

b. SIM Culture

(1) Transition to a SIM culture with supporting processes will provide commanders and supporting logistics personnel with information that dramatically improves their insight into cause-and-effect relationships between resources and readiness. Those commanders will capitalize on this insight by:

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(a) Improving mission capability through increased weapons system readiness, reliability, and safety.

(b) Making timely, well-informed logistics decisions at all levels through lifecycle asset visibility.

(c) Reducing ownership costs through enhanced, efficient, and effective weapons system sustainment operations.

(d) Gaining a more thorough understanding of how mission, environment, and logistics events affect equipment accountability, reliability, and maintainability.

(2) These insights will shape decisions on placement and quantity of spare parts, identifying overhaul candidates, designing effective warranties, determining level and depth of maintenance capabilities, shaping Performance Based Agreements (PBAs), modifying systems, investing in redesign and/or retrofit, and many other lifecycle-related determinations.

c. Attributes. To fully capitalize on the insights SIM provides, the Marine Corps must first decide what items fall within the scope of SIM and then establish and track the required characteristics (attributes). For SIM purposes, uniqueness goes beyond the ability to merely identify individual items - SIM adds the ability to characterize and manage these uniquely identified items by their specific and individual attributes. Attributes can be any quantifiable measure of performance, time, space, composition, environment, pedigree, cost, or other definable data, such as historical, contractual, or ownership information.

d. National (or NATO) Item Identification Numbers (NIIN). The NIIN is a nine-digit numeric code that uniquely identifies an item of supply in the NATO Classification System (NCS). The NIIN is often prefixed by the four-digit numeric Federal Supply Class (FSC), also known as the NATO Supply Class (NSC), to form a National Stock Number (NSN). However, the NIIN alone uniquely identifies an item and it is to this number that Controlled Inventory Item Codes (CIICs) are assigned.

e. SIM and Global Combat Support System - Marine Corps (GCSS-MC). The preponderance of logistics information within the Marine Corps enterprise will be initiated or coalesce within GCSS-MC. Integration in GCSS-MC of NIINs, equipment characteristic data, logistics chain transactions, and historical information means there is no need to transcribe or translate data between logistics command and control, supply, and maintenance stakeholders. What is absolutely essential to maintaining credible data within GCSS-MC is for SIM criteria, for any given NIIN, to be properly catalogued in Marine Corps Log-AIT systems (e.g., Total Force Structure Management System (TFSMS), Technical Data Management System (TDMS), Item Application File (ItemApps)) and in Department of Defense (DOD) data repositories (e.g., Federal Logistics Information System (FLIS)). When an item is catalogued, that catalogue entry represents the official requirements for Service management of that item.

f. "Serialized" versus "Serially Managed". A distinction must be made between "serialized" items and "serially managed" items. While the Marine Corps may use an item that has been serialized by the manufacturer, it may choose not to manage the item by means of its serial number, or to manage the item on an individual basis at all depending on its cost and/or application.

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When the Marine Corps elects to serially manage an item, it is designated to be tracked, controlled, and/or managed throughout its entire lifecycle by means of an alpha-numeric designator unique throughout all of the DOD. Serial numbers from manufacturers may be unique within a product or company, but Unique Item Identifiers (UIIs) are globally unique. This permits an item to be individually distinguishable throughout its lifecycle and within different databases.

g. Current Situation

(1) To achieve the stated generational change in managing the lifecycle of its equipment and to provide decision makers with more credible data and a better understanding of the performance of equipment in its actual environment, an investment in data acquisition, attribution (to individual items), and management (to model equipment lifecycle logistics chain activities) is required.

(2) To this effect, the Marine Corps has initiated several projects to include: collecting operational data via on-board sensors, i.e., Sense and Response Logistics (S&RL); tracking individual weapons systems and system components throughout their lifecycle, i.e., Item Unique Identification (IUID); institutionalizing logistics data stewardship via Log-AIT systems, i.e., GCSS-MC; and modeling logistics chain activities to more effectively manage weapon systems, i.e., Lifecycle Management - Operational Support Tool (OST). These capabilities require us to capture the condition, usage, and other data elements of individual items at the source of each lifecycle event, and to share that data throughout the enterprise without manual transcription or intervention.

(3) SIM is the foundation that will enable these capabilities and lead to true Marine Corps equipment lifecycle management by defining and driving the information that must be identified, collected, and analyzed across Marine Corps Log-AIT systems.

(4) Unfortunately, there is a historical lack of attributable serialized data and this has masked operational, environmental, and logistics activity and has limited opportunities for modeling and simulation. Improved serialized data will shed light on these activities and on their impacts to end item/component reliability, both individually and collectively.

(5) Continued movement toward change now requires the Marine Corps to publish updated and comprehensive SIM policy to guide the management and use of item-unique data within our Log-AIT systems.

3. Action. Upon publication of this Bulletin, Marine Corps commands and acquisition and logistical activities at all levels will implement SIM policy and properly catalogue, in applicable Log-AIT systems, SIM attributes for Marine Corps items/NIINs meeting the criteria defined in paragraph 5.c. of this Bulletin. These actions will enable attributes of serially-managed Marine Corps equipment to be captured and tracked, thereby achieving the future vision of Marine Corps equipment lifecycle management.

a. Commander's Intent. The Marine Corps will implement the SIM policy as outlined in this Bulletin to enable increased weapons system readiness, reliability, and safety; make informed logistics decisions at all levels

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through lifecycle asset visibility; and provide a reduction in ownership costs through enhanced, efficient, and effective weapons system sustainment. Through SIM, the Marine Corps will transition to DOD supply chain data integration strategies and constructs, to include managing assets using IUID. The end state is to have attribute data on specific items, and their respective total populations, readily available to program managers, system engineers, designers, maintainers, logisticians, and other functional area managers to inform and facilitate equipment decisions from the tactical to the strategic levels of Marine Corps logistics.

b. Concept of Operations

(1) SIM implementation will be Marine Corps-wide and will include new acquisition, wholesale inventory, and retail inventory. Marine Corps commands and acquisition and logistical activities at all levels will identify items meeting SIM criteria and will ensure attributes for any given NIIN are properly catalogued in Marine Corps Log-AIT systems (e.g., TFSMS, TDMS, ItemApps) and in DOD data repositories (e.g., FLIS); serial number constructs not compliant with this directive will be removed from all such systems.

(2) SIM implementation will be based on, and aligned with: the registered Defense Logistics Information Service (DLIS) cataloging process; the DOD Item Identification Number cataloging process; the registered controlled inventory codes, in accordance with reference (b); and the DOD CIICs outlined in paragraph 5.c. of this policy. Internal cataloging processes will be reviewed to ensure SIM assets are being accurately and timely registered in DLIS and in TFSMS. SIM flags will be properly set in TFSMS, in accordance with this policy, and serial numbers will be reviewed and, when necessary, reissued. CIICs will be reviewed as well to ensure they are properly identified in TDMS (i.e., in the Master Header Information File (MHIF)). The MHIF will be reconciled quarterly to ensure item/NIIN TDMS records are kept current. HQMC assigned Table of Authorized Material Control Numbers (TAMCNs) and NIINs will be cataloged in DLIS and managed on Marine Corps property accounting records using the Marine Corps serial number or an identification number as prescribed by the Marine Corps Systems Command (MARCORSYSCOM) Product Group Directorates (PGDs).

(3) Updates will be provided when SIM attributes are modified to ensure items are managed in accordance with the SIM criteria established in this policy. The GCSS-MC Service Request Module, or the Product Quality Deficiency Reporting (PQDR) process, as outlined in reference (g), will be utilized to request or identify those items/NIINs requiring reissue of a serial number and/or that are missing an item data plate. Nominations for items deemed pilferable and, therefore, requiring cataloging for inclusion in the SIM program, will be submitted to HQMC I&L.

(4) The policy outlined herein supersedes item serialization policies provided in references (e), (f), (h), and (i) and will be incorporated into the current revision of the Consumer Level Supply Policy Manual (MCO P4400.150E).

c. SIM Criteria. Marine Corps PGDs will ensure that items/NIINs requiring serialized management are registered using the following FLIS codes:

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(1) Marine Corps Stores Account Code (SAC) equal to "3". All cataloged Marine Corps appropriated stores account principal items will be serially managed.

(2) Marine Corps Controlled Item Code (CIC) equal to "A". All cataloged Marine Corps items identified as requiring special control will be serially managed.

(3) Controlled Inventory Item Code (CIIC). The CIIC is a one-position cataloged code that indicates the security classification and/or pilferage controls required for, or the security risks associated with, storage and/or transportation of assets. When the Marine Corps is registered in DLIS as the Primary Inventory Control Activity (PICA), the Secondary Inventory Control Activity (SICA), or a NIIN registered user, assignment of any of the following CIIC codes to an item/NIIN will require that item/NIIN to be serially managed:

(a) Classified Item Code. A cataloged code indicating the material requires protection in the interest of national security in accordance with DoD 5200.1-R, Information Security Program. The following codes apply:

1. "A" Confidential - formerly restricted data.
2. "B" Confidential - restricted data.
3. "C" Confidential - arms, ammunition and explosives.
4. "D" Confidential - cryptologic
5. "E" Secret - cryptologic
6. "F" Top Secret - cryptologic
7. "G" Secret - formerly restricted data
8. "H" Secret - restricted data
9. "K" Top Secret - formerly restricted data
10. "L" Top Secret - restricted data
11. "O" Caution - store and handle in a manner that will prevent unauthorized access to this materiel
12. "S" Secret
13. "T" Top Secret
14. "9" Controlled Cryptographic Item (CCI)

(b) Sensitive Item Code. Material which is cataloged and requires a high degree of protection and control due to statutory requirements or regulations, such as narcotics and drug abuse items; precious

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metals; items which are of high value, highly technical or of a hazardous nature; and arms, ammunition, explosives (AA&E) and demolition material will be serially managed. The following codes apply:

1. Highest Sensitivity (Security Risk Category (SRC) I). Cataloged Unclassified AA&E. Non-nuclear missiles, recoilless rifles and rockets in a ready-to-fire (certified round) configuration (e.g., Patriot Missile Launch Canister, FIM-92 Stinger, M47 Dragon, Javelin, M72 LAW, M136 AT4 LAAW, M141 BDM), and explosive rounds for non-nuclear missiles and rockets. This SRC also applies in situations where the launcher tubes and explosive rounds, though not in a ready-to-fire configuration, are jointly stored or transported.

2. High Sensitivity (SRC II) - Unclassified AA&E

3. Moderate Sensitivity (SRC III) - Unclassified AA&E

4. Low Sensitivity (SRC IV) - Unclassified AA&E

5. Highest Sensitivity (SRC I) - Secret AA&E

6. Highest Sensitivity (SRC I) - Confidential AA&E

7. Non-Sensitive (SRC-N/A) - Unclassified AA&E

8. High Sensitivity (SRC II) - Confidential AA&E

9. Moderate Sensitivity (SRC III) and Low Sensitivity (SRC IV) - Confidential AA&E

10. "\$" This code identifies nuclear weapons Use Control (UC) ground equipment which is CIIC unclassified but may require special controls. UC ground equipment is described as recorders, verifiers, adapters, power supplies, cables, programmers, monitors, controllers, code processors, power converters, computers and data modules which perform a nuclear weapon Use Control function.

(c) Pilferage Code. This code indicates the material has a ready resale value or civilian application for personal possession and, therefore, is especially subject to theft. Pilferage Code "J" states that pilferage controls will be assigned to all Marine Corps assets with an acquisition cost of \$5,000.00 or greater or as designated by the applicable Program Executive Office (PEO) or the PGDs at Marine Corps Systems Command (MARCORSYSCOM). Pursuant to reference (a), all pilferage code "J" items will be serially managed.

(4) Source, Maintenance, and Recoverability Code (SMRC). Marine Corps DLIS registered NIINs with the 5th position of the registered SMRC equal to "A", "D", "F", and "H" will be serially managed:

Note: Recoverability codes of F and H will only be serially managed when the mandatory SIM/UID clauses in the Defense Federal Acquisition Regulations (DFAR) for new solicitations and contracts are issued and the items/NIINs are being delivered with their serial number/UII affixed to the items/NIINs by

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the manufacturer or the DOD Inventory Control Points (ICPs) (i.e. Defense Logistics Agency (DLA), General Services Administration (GSA), U.S. Army Materiel Command (AMC), etc.).

(a) "A" Item requires special handling/or condemnation procedures because of specific reasons (i.e., precious metal content, high dollar value, critical material, or hazardous material).

(b) "D" Reparable item. When beyond lower level repair capability, return to depot level. Condemnation and disposal not authorized below depot level.

(c) "F" Reparable item. When uneconomically repairable, condemn and dispose at the field level.

(d) "H" Reparable item. When uneconomically repairable, condemn and dispose at the sustainment level.

(5) Marine Corps Operational Test Code "3" (OTC 3). OTCs are cataloged and used within the Marine Corps to identify items of supply where special procedures must be performed while under care-in-stores or as a part of the issue process. These special procedures are in addition to normal care-in-stores, shelf life (to include Lot numbers), and electrostatic discharge (ESD) handling procedures. OTCs are used to assure the quality of the item is maintained and to ensure the item will perform its intended function(s) upon issue from Condition Code A (serviceable, ready for issue) stocks. OTC 3 items require established calibration procedures (i.e., electronic test equipment, meters, gauges, torque wrenches, etc.), whether technical or non-technical in nature, and will therefore be serially managed.

(6) Shelf-Life Items. In accordance with reference (b), Type I, non-extendible shelf-life items, Type II extendible shelf-life items, subsistence items, and medical item inventories will be managed by lot, batch, or identification control number.

(7) Collectable Items. Collectable items (to include sets, chest, or kits) requiring management by serialization must be properly cataloged with the applicable FLIS codes identified above.

d. Tasks

(1) Deputy Commandant for Installations and Logistics (DC I&L)

(a) Ensure SIM policy is incorporated in a current revision of reference (e).

(b) Manage items/NIINs nominated by MARFORs/SE as pilferable to ensure those items/NIINs are catalogued in appropriate Marine Corps Log-AIT systems.

(2) Deputy Commandant for Combat Development and Integration (DC CD&I). Ensure SIM flags are properly set in TFSMS in accordance with SIM criteria outlined in this policy.

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(3) Commander, Marine Corps Systems Command (COMMARCORSYSCOM)

(a) Catalogue items/NIINS meeting SIM criteria with the appropriate codes, as outlined in this Bulletin, and ensure serial numbers are populated in Marine Corps Log-AIT systems at the first point of induction into the Marine Corps inventory.

(b) Issue mandatory SIM/UII DFAR clauses, regarding manufacturer or ICP affixing of serial number/UII, for new solicitations and contracts.

(c) Review cataloging and Defense Financial Management Regulations (DFMR) processes to ensure assets meeting SIM criteria are accurately registered in DLIS and TFSMS.

(d) Review and, when necessary, reissue serial numbers.

(e) Ensure serial numbers are assigned to TAMCNs/NIINS as outlined in this policy.

(f) Designate a single process owner to: develop a serial number schematic; issue and monitor Marine Corps serial numbers throughout the equipment life cycle process; and ensure special characters such as spaces, dashes, periods, apostrophes, etc. are not included within serial numbers.

(4) Commanding General, Marine Corps Logistics Command (CG, MARCORLOGCOM)

(a) Execute application of SIM criteria within Marine Corps Log-AIT applications as outlined in this policy.

(b) Ensure that CIICs are identified in TDMS (i.e., the MHIF).

(c) Reconcile quarterly to ensure item/NIIN TDMS records are kept current.

(d) Update item/NIIN characteristics when SIM attributes are changed (i.e., added, modified, or removed) to ensure those items/NIINS are managed in accordance with SIM criteria outlined in this policy.

(e) Keep accurate records that cross-reference the Marine Corps serial number, original equipment manufacturer serial number, and the UII.

(f) Ensure items inducted into the Depot Maintenance process retain previously assigned serializations throughout the repair/rebuild cycle.

(5) Commanders, Marine Corps Forces (MARFORs)

(a) Submit nominations to HQMC I&L (LPC) for items deemed pilferable and, therefore, requiring inclusion in the SIM program and subsequent cataloging actions.

(b) Utilize the Service Request Module of GCSS-MC or the Product Quality Reporting process, in accordance reference (g), to identify, as a material deficiency, those items/NIINS that require reissue of a serial number and/or missing item data plate.

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(c) Take appropriate action to replace missing or illegible serialized markings.

e. Administration

(1) Recommendations concerning the contents of this policy are invited and should be submitted to the Commandant of the Marine Corps (Code LPC-2) via the appropriate chain of command.

(2) All developers, owners, and users of Department of Defense and Marine Corps information systems have the responsibility to establish and implement adequate operation and information technology controls including records management requirements to ensure the proper maintenance and use of records, regardless of format or medium, to promote accessibility and authorized retention per the approved records schedule and reference (j).

4. Reserve Applicability. This Bulletin is applicable to the Marine Corps Total Force.

5. Cancellation Contingency. This Bulletin will be void one year after the date signed or when it is incorporated into both references (d) and (e), whichever occurs first.



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