SECTION 10. EXCESS PROCESS

10.1 General. The Excess Process is initiated by the SARSS Master Control System (SMCS) daily and runs in the batch mode. Its purpose is threefold: to process reports of excess from supported SARSS1 activities, to determine if the item is excess to a specific geographical area (RIC-GEO) or all geographical areas (RIC-ALL), and to create disposition instructions based on the RIC-GEO and RIC-ALL parameters.

10.2 Interfaces. The Excess Process has both external and internal interfaces.

10.2.1 External Interface. The Excess Process interfaces externally with the SARSS1/Direct Support Unit Standard Supply System (DS4) originating (reporting) activity, SARSS2A, SARSS2B, National Guard Bureau (NGB), and through the Defense Automatic Addressing System (DAAS) to wholesale activities as shown in figure 10.2-1.

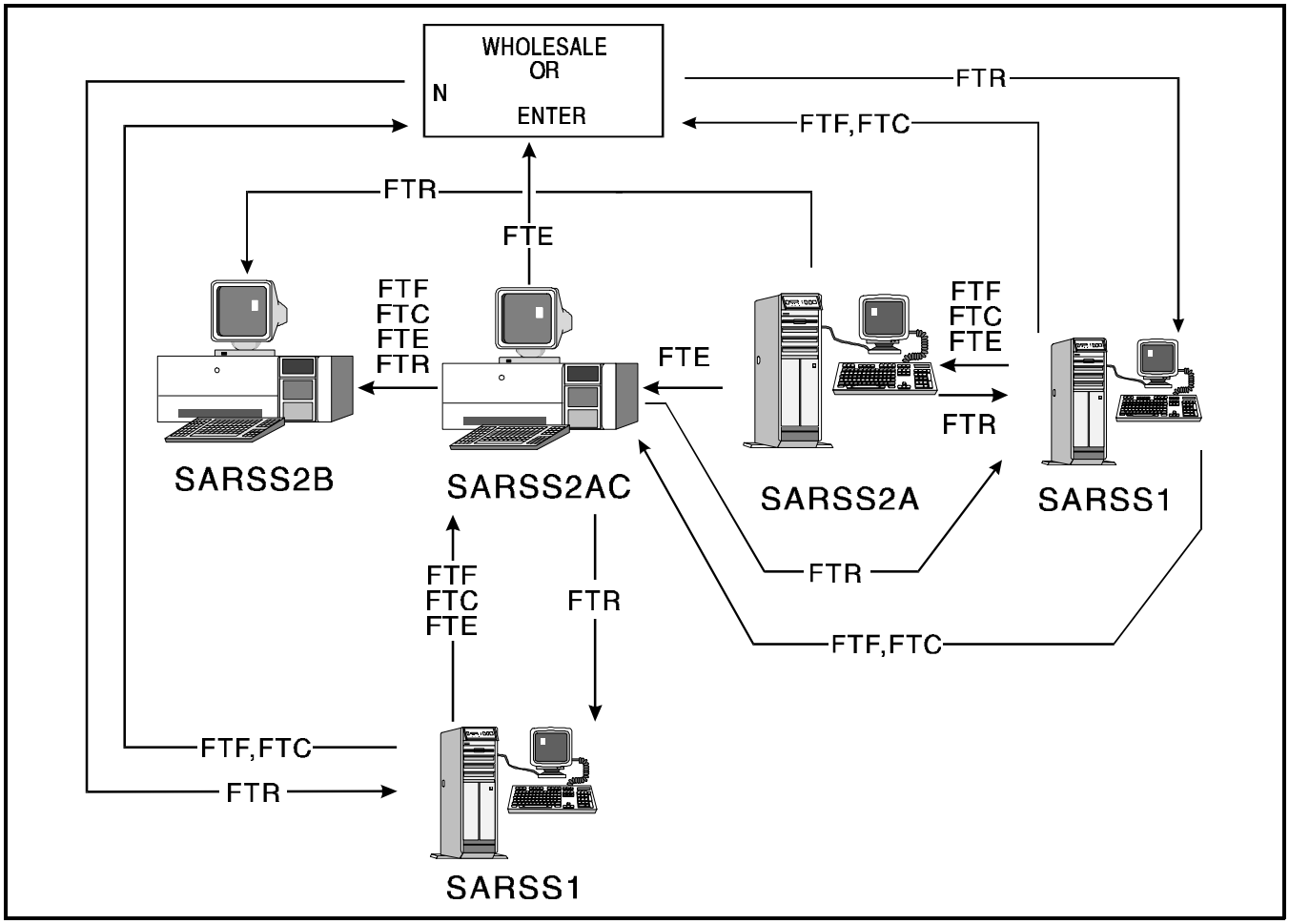

Figure 10.2-1. External Interfaces

10.2.2 Internal Files Interface. The Excess Process interfaces internally with SARSS2B and the following files:

a. Catalog Master File (CMF). The process reads this file by input national item identification number (NIIN) to ensure that there is a matching Catalog Record. The Excess Process uses codes and information from this file to process transactions.

b. Stock Number Relationship File (SNRF). The process reads this file to identify prime and substitute stock numbers.

c. Availability Balance File (ABF). The process reads this file for all stock numbers in a stock number group that can substitute for the prime number belonging to the same geographical area or RIC-ALL as the reporting SARSS1. The process determines the total retention and on-hand quantity of serviceable assets. The ABF on-hand quantity decreases when disposition to ship excess is given and the ABF Record matches information on the input transaction. The process uses the cycle date to update the date of last change.

d. Manager Review File (MRF). The process checks this file for a matching Document Identifier Code (DIC) FTE (report of excess). It writes transactions to this file along with the reporting SARSS1 RIC-GEO when error conditions exist.

e. Parameter Tables. The process reads the following Parameter Tables to obtain information and codes needed to process and route transactions:

(1) SARSS2A Unit Unique Record. During initial processing, the process reads this record to ensure that data needed for processing is available. This record maintains Routing Identifier Codes (RICs), the excess pass indicator (EXC-PASS-IND), and Manager Codes (MGR-CD). The process uses these values to route transactions and assign Manager Codes. It also reads this record to determine the DOLLAR-THRESHOLD value when determining whether to compute the asset position at the RIC-GEO or RIC-ALL level.

(2) Excess Exception Materiel Category. The process checks to see if the materiel category of an excess NIIN matches this file. If it does, the process writes the DIC FTE transaction to the MRF with Reason Referred Code 79.

(3) Excess RIC Sequence. The process reads this table for the sequence of excess disposition.

(4) Manager Code by Materiel Category Structure Code (MATCAT). The process reads this for Manager Codes by MATCAT. It uses these values to assign a Manager Code when writing the transaction to the MRF.

(5) Manager Code by Source of Supply (SOS) RIC. The process reads this table for Manager Codes by SOS RIC. It uses these values to assign a Manager Code when writing the transaction to the MRF.

(6) Unit of Issue Conversion Table. The process uses this table to convert the quantity when the unit of issue changes.

(7) Condition Code. The process checks this table to verify that the Condition Code is valid. If it is valid but other than A, B, or C, the process writes the transaction to the MRF with Reason Referred Code 78. If the Condition Code is not valid, the process writes a DIC FTR transaction with Status Code SF to SARSS1 and SARSS2B and deletes the input DIC FTE.

(8) RIC-GEO Unit Unique. The process reads this table if the reporting SARSS1 does not pass excess to a higher SARSS2A and does not interface with wholesale and if the SARSS1 does pass excess to a higher SARSS2A. It does this to determine the retrograde RIC for turn-in of excess by class of supply.

(9) Serviceable Retrograde Table. The process reads this table for the Processing RIC and Receiving RIC to determine the disposition of excess by NIIN.

(10) Regional Repair Activity (RRA) Table. The process reads this table by the prime NIIN and the NIIN's RRA type indicator (TYP-IND). If the NIIN is on the table with a TYP-IND of R (for regional), the process performs a net asset computation for the RIC-ALL. If the excess item is an RRA item and the shipping RIC (RIC in RP 4-6 of the transaction) does not match the repair RIC (REP-RIC) on the RRA Table and the reporting SARSS1 does not interface with wholesale, the process provides disposition to ship the item to the activity identified by the REP-RIC on the RRA Table.

f. Department of Defense Activity Address File (DODAAF). The process reads this file for a matching Department of Defense Activity Address Code (DODAAC) and Type Unit Code. It checks the RIC-GEO and RIC-ALL of the reporting SARSS1 and uses them to continue processing the DIC FTE. It also looks at the RIC of the area-oriented depot (RIC-AOD) for processing non-cryptographic items.

g. Transaction-Out File. The process writes transactions to this file for routing to a SARSS1, an RRA, a higher SARSS2A, or wholesale.

h. Print File. The process writes transactions to this file for output to the Error Listing when certain error conditions exist.

i. Transaction-In File. The process reads this file for input transactions from SARSS1 or DS4 and subordinate SARSS2As. It also writes transactions to this file after processing for routing to SARSS2B.

j. Local Substitute NIIN (YBH) Table. The process reads this table to determine if there is a change in the stock number relationship. If there is a change, the process will include any additional NIINs belonging to the relationship in the asset position.

10.3 Process Overview. Initial processing edits both SARSS2A parameters and input transactions. After completing these edits, the process screens input transactions to identify and purify:

a. Duplicate transactions and delete them.

b. Cancellation of excess reports (DIC FTC) that decrease the quantity of a corresponding DIC FTE and delete them when the quantity is adjusted to zero.

c. Follow-up (DIC FTF) transactions with no matching excess reports and convert them to DIC FTE transactions.

10.4 Input. Input to the Excess Process comes from the Excess Input File. When the SMCS finds input in this file, it automatically runs the process to completion.

10.5 Type Processing. The Excess Process at SARSS2AC is a batch process that is initiated by the SMCS.

10.6 Edits. The Excess Process performs a number of preliminary parameter checks to verify that the transaction meets certain criteria. Once it determines that this criteria has been met, the process performs a series of edits based on the transaction's DIC (DIC FTE, FTC, or FTF).

a. Preliminary parameter checks include the following entries and corresponding criteria that must be met:

(1) RIC-SPT-2B. There must be an entry in the RIC-SPT-2B field of the SARSS2A Unit Unique Record. RIC-SPT-2B identifies the RIC of the SARSS2B supporting the activity.

(2) RIC. The RIC field on the SARSS2A Unit Unique Record cannot be blank. RIC identifies the RIC of the SARSS2AC/B activity.

(3) RIC-CCI-AOD. The RIC-CCI-AOD field cannot be blank. RIC-CCI-AOD identifies the RIC of the area-oriented depot (AOD) supporting the activity for controlled cryptographic items (CCI).

(4) RIC-DAAS-SPT. The RIC-DAAS-SPT field cannot be blank. RIC-DAAS-SPT identifies the RIC of the DAAS assigned to forward requisitions for your activity to wholesale.

(5) EX-WS-INTERFACE and RIC-AOD. If the EX-WS-INTERFACE field on the DODAAF Record for the SARSS1 with excess contains 1 (interfaces with wholesale), the RIC-AOD field on the DODAAF Record cannot be blank.

(6) RIC-GEO. If the RIC-GEO field on the DODAAF Record contains an entry, there must be a RIC-GEO Unit Unique Record. If the process finds a RIC-GEO entry on the DODAAF Record, it checks for a RIC-ALL entry on the DODAAF Record.

(7) RIC-ALL. If the RIC-ALL field on the DODAAF Record contains an entry, there must be a RIC-ALL Unit Unique Record.

b. The edits performed based on the transaction's DIC follow:

(1) DIC FTE:

(a) The process checks for more than one DIC FTE with the same document number and deletes any duplicates it finds.

(b) The process then checks for a matching record of the DIC FTE document number on the MRF. If it finds a matching record of the DIC FTE document number on the MRF, the process deletes the DIC FTE.

(c) The process checks the transaction quantity. The transaction quantity must be all numeric but not all zeroes.

(d) The process checks the DODAAC in RP 30-35 and RP 45-50. The transaction will not pass edit if the DODAAC in RP 30-35 is for a customer activity and the DODAAC in RP 45-50 is not for a SARSS1 activity, or if the DODAAC in RP 30-35 is not for a customer or a SARSS1 activity, or if the DODAAC in RP 30-35 or RP 45-50 does not match a record on the DODAAF.

(e) The process checks for a matching record of the DIC FTE NIIN on the CMF. There must be a matching record of the DIC FTE NIIN on the CMF.

(f) The process checks to see if the DIC FTE unit of issue matches the unit of issue on the CMF. The DIC FTE unit of issue must match the unit of issue on the CMF or the process must be able to convert the unit of issue.

(g) The process checks the Condition Code. The Condition Code must be A, B, or C. If the Condition Code is not A, B, or C, the process writes the DIC FTE to the MRF with Reason Referred Code 78.

(2) DIC FTF:

(a) The process checks for a matching record of the DIC FTF document number on any incoming DIC FTE transactions. If it finds any, the process deletes the DIC FTF.

(b) The process then checks for a matching record of the DIC FTF document number on the MRF.

1 If it finds a matching record of the DIC FTF document number on the MRF but the DIC is FTE, the process deletes the incoming DIC FTF.

2 If it cannot find a matching record of the DIC FTF on the MRF, the process changes the DIC FTF to FTE and continues with the same edits as performed for the DIC FTE above.

(3) DIC FTC:

(a) The process checks to see if the DIC FTC document number matches a DIC FTE document number on the MRF.

(b) If the DIC FTC document number matches a DIC FTE document number on the MRF, the process edits the quantity field to ensure it is numeric and does not contain all zeroes.

(c) The process then checks for a matching record of the DIC FTC NIIN on the CMF. If it cannot find a matching record of the DIC FTC NIIN on the CMF, the process writes the DIC FTC to the MRF with Reason Referred Code 01.

(d) The process checks to see If the DIC FTC unit of issue matches the unit of issue for the DIC FTE on the MRF.

1 If the DIC FTC unit of issue matches the unit of issue for the DIC FTE on the MRF, the process adjusts the DIC FTE quantity on the MRF by the DIC FTC quantity. If the DIC FTE quantity is zero after this adjustment, the process deletes the MRF Record and the DIC FTC. If the DIC FTE has a remaining quantity, the process deletes only the DIC FTC.

2 If the DIC FTC unit of issue does not match the unit of issue for the DIC FTE on the MRF and the DIC FTE on the MRF has Reason Referred Code 01, the process writes the DIC FTC transaction to the MRF with Reason Referred Code 01 and deletes the DIC FTC. If the DIC FTE on the MRF has a Reason Referred Code other than 01, the process edits the unit of issue, then attempts to adjust the DIC FTE quantity by the adjusted DIC FTC quantity.

(e) If the DIC FTC document number does not match a DIC FTE document number on the MRF, the process deletes the DIC FTC transaction.

10.7 Processing. After performing these edits, the process determines if there are related NIINs on the SNRF or Local Substitute NIIN (YBH) Table. It separates the DIC FT_ transactions based on whether the NIIN is a prime, substitute for a prime, or a non-prime NIIN and not a substitute for a prime.

a. NIIN is a Prime or Substitute for a Prime. When the NIIN is a prime or substitute for a prime, the process determines the cumulative requisitioning objective (RO) and retention quantity for all SARSS1 activities with the same RIC-GEO as the activity with the excess. It also obtains a cumulative on-hand quantity for assets with Condition Code A, B, or C and without an Inventory Freeze Flag of 2 or 3.

(1) If the excess NIIN is on the RRA Table with a NIIN Type Indicator of R, or if the NIIN is not on the RRA Table but the unit price for the excess NIIN is higher than that for the Dollar Threshold parameter, the process determines the net asset position for all SARSS1 activities with the same RIC-ALL as the SARSS1 with the excess but with a different RIC-GEO.

(2) If these conditions are not met, the process determines the net asset posture for the RIC-GEO. It determines the total on-hand quantity, total RO quantity, and total retention quantity. It obtains the excess quantity by adding the total RO quantity and the total retention quantity together and subtracting this result from the total on-hand quantity.

(a) If the retention quantity is less than the on-hand quantity, there is no excess. The process generates a DIC FTR with Status Code TB (noncreditable return) for the SARSS1 with the excess and for document history. It then deletes the DIC FTE.

(b) If the retention quantity is greater than the on-hand quantity, the difference is the excess quantity.

(3) When the process determines there is excess, it looks at the Excess RIC Sequence Table to determine which SARSS1 should have its excess turned in first. After selecting the first RIC listed on this table that has the DIC FTE NIIN in excess and checking to see how certain parameters are set, the process determines how it will process the excess.

(a) If the NIIN in excess is a class 7, or 2 or 4 with an Accounting Requirements Code of N or the MATCAT for the NIIN is listed on the Excess MATCAT Table, the process writes the DIC FTE to the MRF with Reason Referred Code 79. If the DIC FTE quantity is less than the excess quantity, the process reduces the excess quantity by the DIC FTE quantity and deletes the DIC FTE from the Excess File. If the DIC FTE quantity is the same as the excess quantity, the process reduces the excess quantity by the DIC FTE quantity and deletes the DIC FTE. If the DIC FTE quantity is greater than the excess quantity, the process reduces the DIC FTE quantity by the excess quantity and sends a DIC FTR with Status Code TB to the SARSS1 with the excess, telling them to retain the quantity on the DIC FTR, and deletes the DIC FTE from the Excess File.

(b) If the DIC FTE does not meet the criteria in paragraph (a) above, the process checks the EX-WS-INTERFACE parameter entry for the SARSS1 with the excess. When this entry is 0 (SARSS1 does not interface with wholesale for excess), the process reads the Serviceable Retrograde Table by the RIC of the SARSS1 with the excess and by DIC FTE NIIN or by prime NIIN if the DIC FTE NIIN is not the prime. The Serviceable Retrograde Table allows the process to dispose of excess by NIIN if the following conditions are met:

1 There is a record on the Serviceable Retrograde Table for the DIC FTE NIIN or for its prime if the DIC FTE NIIN is not the prime.

2 The Processing RIC on the record and the RIC of the SARSS1 with the excess are the same.

3 The Processing RIC and the Receiving RIC are not the same.

(c) After determining that the DIC FTE meets these three conditions, the process compares the DIC FTE quantity to the quantity that is excess to the RIC-GEO or RIC-ALL. If the DIC FTE quantity is equal to or greater than the excess quantity, the process generates a DIC FTR transaction for the excess quantity. When the RIC-SHP-TO in RP 54-56 is the same as the Receiving RIC on the Serviceable Retrograde Table Record and the Status Code is TA, the process writes a DIC FTR to Transactions-Out for the SARSS1 with the excess and to Transactions-In for document history. The process reduces the ABF Record on-hand quantity by the DIC FTR quantity and reduces the DIC FTE quantity by the DIC FTR quantity. At this point, the excess quantity is zero. When the DIC FTE quantity is less than the excess quantity, the process generates a DIC FTR with the Receiving RIC in RP 54-56, the quantity from the DIC FTE, and Status Code TA and sends it to the SARSS1 with the excess and to document history. The process reduces the excess quantity by the DIC FTE quantity and deletes the DIC FTE.

(d) The Excess Process processes the excess by class of supply. It uses the CL?-RIC-RETRO from the RIC-GEO Unit Unique Record to determine the disposition of excess by class of supply. Each class of supply has a RIC that receives excess shipments. When the RIC for the appropriate class of supply is selected, it is compared to the RIC with the excess. If the two RICs are the same, the process writes the DIC FTE to the Error Listing with Reason Referred Code AA and deletes the DIC FTE. If the two RICs are not the same and the DIC FTE quantity is equal to or greater than the excess quantity, the process generates a DIC FTR with Status Code TA, the excess quantity in the quantity field, and the RIC selected from the RIC-GEO Unit Unique Record in RP 54-56 (RIC TO) and sends it to the SARSS1 with the excess and to document history. The process reduces the ABF Record quantity for the SARSS1 with the excess by the DIC FTR quantity and deletes that record if the excess quantity is zero. If the DIC FTE quantity is less than the excess quantity, the process generates a DIC FTR with Status Code TA, the quantity from the DIC FTE in the quantity field, and the RIC from the RIC- GEO Unit Unique Record in RP 54-56 and sends it to the SARSS1 with the excess and to document history. The process reduces the excess quantity by the FTE quantity and deletes the DIC FTE.

(e) If there is still an excess quantity, the process reads the Excess RIC Sequence Table for the next RIC and continues processing as indicated above. If there are remaining DIC FTE transactions for this NIIN from RICs not on the Excess RIC Sequence Table, the process will process them after processing DIC FTE for RICs on this table.

(f) When the EX-WS-INTERFACE parameter entry is 0 and the RIC FROM is not for a National Guard activity, the process reads the RRA Table for a record that matches the DIC FTE by prime

NIIN with a NIIN-TYP-IND of R and a REP-RIC that matches the RIC of the activity with the excess. When these three conditions are met, or when none of the conditions are met, or when the first condition (NIIN on RRA Table) is met but the NIIN-Type-IND is not R, the process determines if the DIC FTE NIIN is ARI. If the NIIN is ARI (ARI Code C, E, R, or S), the CIIC is 9, and the DIC FTE quantity is equal to or greater than the excess quantity, the process generates a DIC FTR with Status Code TA, the RIC-CCI-AOD in RP 54-56, and three asterisks in 67-69. The asterisks cause the priority on the DIC FTR to be assigned based on the ARI Code: E for priority 03 in RP 60-61; C for priority 06 in RP 60-61; S for priority 06 in RP 60-61 and ARI for the Project Code in RP 57-59; and R for 13 in RP 60-61 and ARI for the Project Code in RP 57-59. It sends the DIC FTR to Transactions-Out for the SARSS1 with the excess and to Transactions-In for document history. The process reduces the DIC FTE quantity and the ABF Record on-hand quantity by the excess quantity. If all quantities on the ABF Record are zero, the process deletes the ABF Record.

(g) When the DIC FTE quantity is less than the excess quantity, the process generates a DIC FTR with Status Code TA, the quantity from the DIC FTE, the RIC-CCI-AOD in RP 54-56, and asterisks in RP 67-69. It assigns the priority as indicated above. The process sends the DIC FTR to the SARSS1 with the excess and to document history. It reduces the ABF Record quantity and the excess quantity by the DIC FTE quantity. The process deletes the ABF Record if all quantity fields are zero.

(h) If the NIIN is on the RRA Table and the NIIN-TYP-IND is R and the REP-RIC is not the RIC of the activity with the excess and the DIC FTE quantity is equal to or greater than the excess quantity, the process generates a DIC FTR with Status Code TA, the excess quantity in the quantity field, and the REP-RIC from the RRA Table in RP 54-56. It sends the DIC FTR to the SARSS1 with the excess and to document history. The process subtracts the excess quantity from the DIC FTE quantity and reduces the ABF on-hand quantity by the excess quantity. The excess quantity is now zero.

(i) If the DIC FTE quantity is less than the excess quantity, the process generates a DIC FTR transaction with Status Code TA and the REP-RIC from the RRA Table Record in RP 54-56 and sends it to the SARSS1 with the excess and to document history. The process reduces the ABF Record on-hand quantity by the DIC FTE quantity and reduces the excess quantity by the DIC FTE quantity. It deletes the DIC FTE transaction.

(j) National Guard. After determining that the DIC FTE will not go to the MRF, that the EX-WS-INTERFACE parameter entry is Y, that there is a RIC-NGB entry on the DIC FTE, and that the FTE-IND-NGB entry on the DODAAF Record is Y, the process reads the CMF for a matching record of the DIC FTE NIIN. If the RICC is on the RICC Parameter Table and the RIC-SOS entry is not the same as the FTE-RIC-NGB entry, the process reports the excess to the NGB. When the DIC FTE quantity is the same or greater than the excess quantity, the process generates a DIC FTE transaction with the FTE-RIC-NGB in RP 4-6 and RP 84-86, the SARSS2AC RIC in RP 81-83, and the excess quantity in the quantity field. It sends a DIC FTR with Status Code T6 and the FTE-RIC-NGB in RP 67-69 to the SARSS1 with the excess and to document history. The process reduces the DIC FTE quantity by the excess quantity, leaving the excess quantity at zero. If the DIC FTE quantity is less than the excess quantity, the FTE-RIC-NGB is in RP 4-6, the SARSS2A RIC is in RP 81-83, the FTE-RIC-NGB is in RP 84-86, and the quantity in the quantity field is the DIC FTE quantity, process sends the DIC FTE to the RIC of the activity in RP 4-6. It also generates a DIC FTR with Status Code T7, the FTE-RIC-NGB in RP 67-69, and the quantity from the DIC FTE and sends it to the SARSS1 with the excess and to document history. The process reduces the excess quantity by the DIC FTE quantity and deletes the DIC FTE transaction from the Excess File.

(k) When the EX-WS-INTERFACE parameter entry is Y and the FTE-RIC-NGB entry is blank for the SARSS1 with the excess, or the FTE-IND-NGB entry is N, or the CMF Record RICC field entry is not on the RICC Parameter Table, or the CMF Record RIC-SOS entry is not the same as the FTE-RIC-NGB entry, the process processes the transaction the same as it would for a non-NGB activity.

b. Non-Prime NIIN and Not a Substitute for a Prime NIIN. When the NIIN is not a prime or substitute for a prime, the process determines if the DIC FTE will go to the MRF. In processing those transactions that remain after the MRF transactions are removed from the input file, the process checks the EX-WS-INTERFACE parameter entry.

(1) If the EX-WS-INTERFACE parameter entry is 0, the process determines the ISS-RIC-RETRO on the CMF for the NIIN. If the ISS-RIC-RETRO is the RIC of the SARSS1 with the excess, the process writes the DIC FTE to the Print Queue for output to the Error Listing with Reason Referred Code AA and deletes the DIC FTE from the input file. If the ISS-RIC-RETRO is not RIC of the SARSS1 with the excess, the process generates a DIC FTR with Status Code TA, enters the ISS-RIC-RETRO in RP 54-56 of the DIC FTR, and sends the DIC FTR to the activity with the excess and to document history. The process checks the ABF for a record with the RIC of the SARSS1 with the excess, Ownership/Purpose (OP) Code M, and the Condition Code from the DIC FTE. If it finds an ABF Record that meets this criteria, the process reduces the ABF on-hand quantity by the DIC FTE quantity and deletes the DIC FTE.

(2) If the EX-WS-INTERFACE parameter entry is 1, the process determines if the FTE-RIC-NGB field is blank. If this field is not blank, processing continues. If the FTE-RIC-NGB field is blank, the process determines whether the NIIN is for an ARI with ARI Code C, E, R, or S. If the CMF Record for the NIIN has one of these ARI Codes, the process creates a DIC FTR using the DIC FTE quantity. If the DIC FTR has an ARI Code of E, the process assigns it a priority of 03. If the DIC FTR has an ARI Code of C, the process assigns it a priority of 06. If the DIC FTR has an ARI Code of R, the process assigns it a priority of 13. If the DIC FTR has an ARI Code of S, the process assigns it a priority of 06 and a Project Code of ARI. In all cases, if the CMF Record CIIC is 9, the process generates a DIC FTR with Status Code TA, the RIC-CCI-AOD from the SARSS2AC/B Unit Unique Record in RP 54-56, and asterisks in RP 67-69. If the CIIC is not 9, the process generates a DIC FTR with the RIC-AOD from the SARSS1 DODAAF Record in RP 54-56. In both cases (when CIIC is 9 and is not 9), the process writes the DIC FTR to the Transaction-Out File for the SARSS1 with the excess and to the Transaction-In File for document history. If the process finds an ABF Record with the DIC FTE NIIN, Condition Code, blank Project Code, and OP M for the SARSS1 with the excess, it reduces the ABF on-hand quantity by the excess quantity and deletes the DIC FTE. When the ARI Code is not C, E, R, or S, the RIC-SOS on the CMF Record is in RP 4-6 of the DIC FTE, and the RIC-DAAS is in RP 84-86, the process writes the DIC FTE to the Transaction-Out File. It generates a DIC FTR with Status Code T6 and the RIC-SOS from the CMF Record in RP 67-69 unless the SOS is GSA, in which case, it enters the RIC-GSA-SPT in RP 67-69. The process sends the DIC FTR to the SARSS1 and to document history. If the process cannot find a RIC-SOS on the CMF Record or the SOS is LPC, the process writes the DIC FTE to the MRF with Reason Referred Code 79.

10.8 Output. Output from this process goes to the MRF, Transaction-Out File, Transaction-In File, or Print File.

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