

**VOLUME 15, CHAPTER 6: “CASE FILES”****SUMMARY OF MAJOR CHANGES**

All changes are denoted by **blue font**.

Substantive revisions are denoted by an **asterisk (\*)** symbol preceding the section, paragraph, table, or figure that includes the revision.

Unless otherwise noted, chapters referenced are contained in this volume.

Hyperlinks are denoted by **bold, italic, blue, and underlined font**.

The previous version dated **July 2015** is archived.

<b>PARAGRAPH</b>	<b>EXPLANATION OF CHANGE/REVISION</b>	<b>PURPOSE</b>
060101.A & B	Added guidance from the National Archives and Records Administration (NARA) and the Department of Defense Instruction (DoDI) 5015.02, “DoD Records Management Program,” and added a link to the Department of Defense (DoD) Federal Agency Records Officers point of contact listing.	Addition
060101.E	Updated guidance to require coordination with the proper DoD-appointed Federal Agency Records Officer for appropriateness and any potential litigation holds prior to destruction.	Revision
060102	Added language to clarify that policy applies regardless of storage media.	Addition
060103	Removed reference to the Defense Finance and Accounting Service (DFAS) Manual, “Records Disposition Schedules,” 5015.2-M because the reference was specific to DFAS.	Deletion
060103	Established the Authoritative Guidance section, and added references to Title 36 of the Code of Federal Regulations, subchapter B, “Records Management,” parts 1220-1239; the Federal Acquisition Regulation, subpart 4.8, section 4.805, “Storage, Handling, and Contract Files;” the NARA, General Records Schedules 1.1, “Financial Management and Reporting Records;” and DoDI 5015.02, “DoD Records Management Program.”	Addition

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## CHAPTER 6

### CASE FILES

#### 0601 GENERAL

##### \*060101. Overview

A. National Archives and Records Administration (NARA). Within the Federal Government, NARA is responsible for promulgating procedures for the disposal of all United States Government (USG) records. The NARA Records Management Program provides guidance and assistance for the management and disposition of Federal records in the General Records Schedules (GRS).

B. Department of Defense (DoD) Records Management Program. The DoD Records Management Program outlines records management policy and responsibilities. Within DoD, there are 24 Records Management Programs, each with an appointed Federal Agency Records Officer, Records Management Manual, Instruction or Regulation, and Records Disposition Schedules (RDS). DoD's RDS must comply with NARA guidelines and may include additional financial records used in DoD business operations that are not listed in the NARA GRS.

1. DoD requires documentation to be retained for longer than the NARA requirement if the documentation will be used to support an audit. See Volume 1, "General Financial Management Information, Systems and Requirements," Chapter 9, "Financial Records Retention," Figure 9-1 for more information.

2. The Defense Security Cooperation Agency (DSCA) may issue exceptions to retention periods if there is a determination that Security Cooperation cases (hereafter "case files"), are needed for any other business purpose that may require access to the documentation (e.g., records associated with ongoing litigation proceedings and country suspensions). Consult your DoD-appointed Federal Agency Records Officer for additional guidance regarding Foreign Military Sales (FMS) records retention.

C. Case Files. Case files may be maintained in a decentralized manner by the various activities having responsibility for actions associated with the case. Each activity must maintain a comprehensive record of relevant correspondence, worksheets, and officially prepared forms that constitute a complete audit trail from the time of case initiation through case closeout or retirement.

D. Electronic Files. Reference to the Defense Security Assistance Management System (DSAMS) and other electronic files (including e-mail correspondence and compact disk read-only memory) is encouraged, provided such files are complete, secure, and readily retrievable. Electronic imaging is strongly encouraged to preserve documentation (e.g., historical documents and signature pages), when retention of the paper originals, or a copy of such documents, is materially expensive but necessary to protect USG interests.

E. Supporting Documentation. The case manager must maintain a directory of supporting documentation locations. All supporting documentation must be reviewed carefully prior to disposal or retirement. In addition, coordinate with your DoD-appointed Federal Agency Records Officer for appropriateness and any potential litigation holds. A closed case from an FMS purchaser perspective may remain open from a DoD accounting perspective.

\*060102. Purpose

This chapter establishes guidance on maintaining documents for case files. The guidance is designed to facilitate uniformity of case file maintenance and ensure that all necessary documentation is readily available and retrievable by the appropriate activities. All policy applies regardless of storage media (i.e., electronic and/or hard copy).

\*060103. Authoritative Guidance

Authorities for case file policy include:

A. Title 36 of the Code of Federal Regulations, subchapter B, “Records Management,” parts 1220-1239;

B. The Federal Acquisition Regulation (FAR), subpart 4.8, section 4.805, “Storage, Handling, and Contract Files;”

C. NARA, GRS 1.1, “Financial Management and Reporting Records,” maintains FMS minimum document retention requirements; and

D. DoD Instruction 5015.02, “DoD Records Management Program.”

0602 CONCEPTS AND REQUIREMENTS

060201. General

A. Maintain case files in official folders, uniformly titled, and filed by section as discussed in paragraph 060301. When more than one file folder is required, the folders must be appropriately numbered (e.g., 1 of 2 or 2 of 2). The documents placed in each folder must be maintained in chronological sequence by section.

B. When a case is implemented, each implementing DoD Component must identify and direct which supporting activities are to maintain the required documentation on file. For example, a copy of the Letter of Offer and Acceptance (LOA) may be on file with several activities, while the Quarterly Requisition Report (QRR) applicable to that case would have a more limited distribution.

C. Certain records associated with a case may be voluminous listings that are too large to be printed and placed in official folders. Instead of filing the listing in the folder (as required in paragraph 060301), annotate on the General Information Cover Sheet or within the file

itself where such [electronic](#) information is located. The purpose of filing such documents, or cross-referencing notes to such documents, is to maintain the integrity of the case audit trail and to consider all applicable information during case execution and at case closure.

D. The uniform case folder, as outlined in [section 0603](#), lists those documents considered to be of primary relevance on a DoD-wide basis. DoD Components may also wish to include additional documents as part of the case file. The inclusion of such documents is encouraged, and it is recommended that they be filed in the form of numbered appendices following in sequence after the required sections.

E. The value of the uniform case folder is in maintaining a complete and accurate record for audit purposes and ensuring a standard and systematic approach to case file maintenance. With management support, it may also serve as a checklist of planned and completed actions, thereby facilitating the case [execution](#) and closure process. In addition, the existence of a comprehensive and well-maintained file facilitates supervisory reviews and brings greater efficiency to the transfer of ongoing case management responsibilities.

#### 060202. Responsibilities

Each DoD Component and [Defense Finance and Accounting Service](#) Security Cooperation Accounting (DFAS SCA) is responsible for maintaining its respective portion of the case file as required in [paragraph 060301](#).

### 0603 UNIFORM CASE DOCUMENTATION

#### 060301. Documentation Requirements

The minimum required documentation for complete and effective case management includes the following sections:

- A. General Information Cover Sheet: see Table 6-1,
- B. Letter of Request (LOR) [Documentation](#): see Table 6-2,
- C. Planning Information: see Table 6-3,
- D. Security Assistance ([SA](#)) Survey Documentation: see Table 6-4,
- E. FMS Contractual Instruments [Documentation](#): see Table 6-5,
- F. Financing Arrangements [Documentation](#): see Table 6-6,
- G. Financial Control [Documentation](#): see Table 6-7,
- H. Implementation Directives [Documentation](#): see Table 6-8,

- I. DSAMS and DSCA 1200 System Update Documentation: see Table 6-9,
  - J. Case Execution Documentation: see Table 6-10,
  - K. Special Logistics Documentation: see Table 6-11,
  - L. Accessorial Charges Documentation: see Table 6-12,
  - M. Government Furnished Materiel (GFM) Documentation: see Table 6-13,
  - N. FMS Billing Documentation: see Table 6-14,
  - O. Supply Discrepancy Report (SDR) Billing Documentation: see  
Table 6-15,
  - P. Review Information: see Table 6-16,
  - Q. Case Closure Documentation: see Table 6-17, and
  - R. Reopened Case Documentation: see Table 6-18.
060302. Documentation Maintenance and Disposition

The documentation must be accumulated throughout the life of the case from inception through final case closure. Implementing Agencies (IAs) may retire, but not destroy, closed case file records to document storage areas upon final case closure by DFAS SCA. DFAS SCA may retire, but not destroy, closed case file records, including delivery listings, no earlier than one year from the date of the latest case-related correspondence with the purchaser or final case closure, whichever is later. The IAs and DFAS SCA must maintain an accurate record of the location of all retired records to ensure they can be located as needed.

Table 6-1. General Information Cover Sheet

General Information Cover Sheet	
1. Case Identifier	
2. Cognizant Personnel Information a) Name b) Phone number c) E-mail address d) Dates of tenure if responsibilities are transferred from one individual to another during the life of the case	A. Case Negotiation Officer
	B. Country/Case Manager at each level 1) Major/Systems Command 2) International Logistics Control Office 3) DFAS SCA
	C. Others as required 1) Inventory/Item manager focal point 2) Procurement office focal point
3. Key case planning milestones; see Figure 6-1 for an example	

Table 6-2. LOR Documentation

LOR Documentation
1. LOR for price and availability data or LOA data
2. Correspondence and other information relative to primary inquiry

Table 6-3. Planning Information

Planning Information	
1. Price and availability/LOA data relative to the case	
2. LOA data used to prepare the LOA format	A. Tasking direction
	B. Internal memoranda/worksheets
	C. Financial analysis and termination liability reserve data
	D. Methodology for computing the payment schedule reflected in the LOA
	E. Pricing data (e.g., DSAMS Document Pricing Calculations Report - RP069)
3. Response(s) to foreign purchaser if initially presented in a format other than an LOA	
4. Correspondence related to exceptions or waivers (e.g., nonrecurring cost recovery)	

Table 6-4. SA Survey Documentation

SA Survey Documentation
1. Defense Requirements Survey Report
2. Site Survey Report



Table 6-5. FMS Contractual Instruments Documentation

<b>FMS Contractual Instruments Documentation</b>	
1. Congressional notification documentation	
2. LOA	
3. Amendment(s) to the LOA	
4. Modification(s) of the LOA	
5. Any memoranda of understanding or memoranda of agreement relating to the LOA, amendments, or modifications	
6. Correspondence relative to internal review(s)/coordination	A. Letter forwarding an advanced copy of (unsigned) LOA to purchaser pending the results of congressional review, if applicable
	B. Letter of transmittal of countersigned LOA, if applicable
7. Correspondence/letters of transmittal to purchaser and acceptance of the LOA	

Table 6-6. Financing Arrangements Documentation

<b>Financing Arrangements Documentation</b>
1. Financing agreements
2. North Atlantic Treaty Organization country-to-country agreements
3. Requests and approvals for special waivers from routine loan conditions
4. FAR/Defense Federal Acquisition Regulation Supplement exception requests and approvals
5. Contract administration support waiver requests and approvals

Table 6-7. Financial Control Documentation

<b>Financial Control Documentation</b>
1. Request and Approval of <a href="#"><i>Department of Defense (DD) Form 2060</i></a> , "FMS Obligational Authority" (or automated system equivalent)
2. DD 2061, "FMS Planning Directive" (or automated system equivalent)
3. Expenditure authorizations
4. Documentation concerning DoD Component internal allotments or delegations of obligational and expenditure authorizations
5. Final Defense Integrated Financial System Financial Management Worksheet, as applicable

Table 6-8. Implementation Directives Documentation

<b>Implementation Directives Documentation</b>
1. FMS program/case directives
2. Program management plans
3. Implementing project directives
4. Implementation letters
5. Amendments or updates to #1-4

Table 6-9. DSAMS and DSCA 1200 System Update Documentation

<b>DSAMS and DSCA 1200 System Update Documentation</b>
Copies of worksheets or other evidence that the DSAMS and DSCA 1200 systems were updated at the appropriate times

Table 6-10. Case Execution Documentation

<b>Case Execution Documentation</b>
1. Documents substantiating annual financial and logistical reconciliation (see Chapter 7)
2. Documents substantiating payment schedule revisions (see Chapter 4) to include purchaser-requested schedules (and approvals)
3. Purchase requests
4. USG contracts with commercial vendor
5. Work requests and project orders
6. Military Interdepartmental Purchase Requests
7. Internal billing documentation (e.g., <a href="#">Standard Form 1080</a> , "Voucher for Transfers Between Appropriations and/or Funds;" <a href="#">DD 250</a> , "Material Inspection and Receiving Report" (or automated system equivalent); temporary duty orders/vouchers)
8. Requisition Document Control Listings (e.g., QRR and the annual consolidation of the QRR)
9. Receipt document from FMS purchaser or purchaser's representative (a freight forwarder), with official purchaser signature
10. Invitational travel orders

Table 6-11. Special Logistics Documentation

<b>Special Logistics Documentation</b>
1. Cooperative Logistics Supply Support Arrangements FMS Order I Equity Listing
2. Concurrent Spare Parts listing
3. Other (e.g., Air Force Security Assistance Management Integration System local management reports)

Table 6-12. Accessorial Charges Documentation

<b>Accessorial Charges Documentation</b>
Applicable documentation to substantiate the reporting of actual (instead of the estimated percentage) packing, crating, handling, and transportation (PCH&T) costs

Table 6-13. GFM Documentation

GFM Documentation	
<b>Note:</b> The inclusion of GFM as part of a case requires special attention from a financial standpoint since the GFM becomes a part of the major item being procured. Unless this information is included as part of another section, this section should have the documentation listed in #1-3.	
1.	Listing, by contract number, of contracts under which GFM may be requisitioned by contractors
2.	Listing of GFM by requisition or document numbers
3.	Worksheets/backup data showing that PCH&T costs for other than Defense Working Capital Funds items has been added to the base price of GFM

Table 6-14. FMS Billing Documentation

FMS Billing Documentation	
<b>Note:</b> The detailed nature and size of this documentation may render inclusion in the case folder impractical. In such instances, it is sufficient to maintain a local record or checklist showing that the documentation and lists have been reviewed, as necessary, to monitor progress, detect errors, and perform satisfactory financial oversight.	
1.	DD 645, "FMS Billing Statement," and FMS Delivery Listing and financial forecast attachments. Replies to purchaser requests for adjustments are filed in a subsequent section. Include any documents pertaining to special billing arrangements directly associated with the case.
2.	DFAS SCA-prepared Command Pay Listing (if filed in the case file folder)
3.	Documentation relating to delivery transactions
4.	DFAS SCA worksheets and correspondence maintained in the case file folder appendices
5.	Correspondence related to authorized exceptions to normal billing procedures

Table 6-15. SDR Billing Documentation

SDR Billing Documentation	
1.	SDRs
2.	Correspondence/documentation relative to such discrepancies
3.	DFAS SCA reply to purchaser requests for listing of adjustments

Table 6-16. Review Information

Review Information	
The minutes and other correspondence resulting from:	A. FMS implementation review
	B. Country program/case review
	C. FMS financial management review

Table 6-17. Case Closure Documentation

Case Closure Documentation	
1.	The DoD Component's case closure certification to DFAS SCA. The final DD 2060 and 2061s should be on file in the "Financial Control Documents" section
2.	Any correspondence with DFAS SCA or other organizations relative to the case closure certification
3.	The final DD 645 (DFAS SCA only)
4.	The case closure checklist (see DSCA Manual 5105.38-M, "Security Assistance Management Manual" (SAMM), <a href="#">Appendix 7 Chapter 4, A7.C4.3</a> )
5.	The case closure notification sent to DFAS SCA via e-mail or fax, as well as the system generated CII case closure transaction (see SAMM, <a href="#">Appendix 7 Chapter 4, A7.C4.7</a> )
6.	A directory identifying the location of stored case records

Table 6-18. Reopened Case Documentation

Reopened Case Documentation	
<b>Note:</b> This section is only operative if the case, once closed, must be reopened.	
1.	All correspondence and data about why the case had to be reopened, including the written authorization(s) approving the reopening
2.	The re-finalized DD 2060 and 2061s (filed in the "Financial Control Documentation" section)
3.	The closure certification
4.	The final DD 645

Figure 6-1. Key Planning Milestones Template

Event	Planned Date of Completion	Actual Date of Completion
LOR acknowledged		
Completed DD 2061 or automated equivalent (DSAMS RP069)		
LOA Data completed		
Congressional notifications completed as necessary		
LOA prepared		
LOA countersigned/mailed to purchaser		
LOA implemented		
LOA lines delivery complete (delivery transactions with estimated prices submitted)		
001		
002		
Additional lines as needed		
LOA lines financially complete (delivery transactions with actual prices submitted)		
001		
002		
Additional lines as needed		
Final DD 2060 forwarded to DFAS SCA		
Case closure notification forwarded to DFAS SCA		

**Note:** Other milestone plans as developed by the IAs may be used.