

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

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

Substantive revisions are denoted by an * 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 2013 is archived.

PARAGRAPH	EXPLANATION OF CHANGE/REVISION	PURPOSE
Table 6-17	Updated the reference for the case closure checklist to Defense Security Cooperation Agency Manual 5105.38-M, Security Assistance Management Manual Appendix 7 Chapter 4, A7.C4.3.	Revision

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CHAPTER 6

CASE FILES

0601 GENERAL

060101. Purpose

This chapter establishes guidance on maintaining documents for Security Cooperation cases (hereafter "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.

060102. Overview

A. 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.

B. 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 Electronic imaging is strongly encouraged when necessary to preserve nonstandard vendor documents, historical documents, and signature pages when retention of the paper originals or a copy of such documents is materially expensive but necessary to protect United States Government (USG) interests.

C. The case manager **must** maintain a directory of supporting documentation locations. All supporting documentation **must** be reviewed carefully prior to disposal or retirement. A closed case from a Foreign Military Sales (FMS) purchaser perspective may remain open from a Department of Defense (DoD) accounting perspective.

D. The record retention period for FMS documents is 10 years from the date of final case closure. See the Defense Finance and Accounting Service (DFAS) Disposition Schedules 5015.2-M, **Volume 2, "Schedule 7360, FMS Records"** for more detailed guidance. The Defense Security Cooperation Agency (DSCA) may issue exceptions to this retention period, e.g., for records associated with ongoing litigation proceedings and country suspensions.

060103. Concepts and Requirements

A. Maintain case files in official folders, uniformly titled, and filed by section as discussed in Section 0602. 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 Section 0602), annotate on the case cover sheet or within the file itself where such 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 0602, 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 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.

060104. Responsibilities

Each DoD Component and **DFAS**, Security Cooperation Accounting, (DFAS SCA), **is** responsible for maintaining its respective portion of the case file as required in Section 0602.

0602 UNIFORM CASE DOCUMENTATION

060201. 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) Information: see Table 6-2;
- C. Planning Information: see Table 6-3;
- D. Security Assistance Survey Documentation: see Table 6-4;

- E. FMS Contractual Instruments: see Table 6-5;
- F. Financing Arrangements: see Table 6-6;
- G. Financial Control Documents: see Table 6-7;
- H. Implementation Directives: see Table 6-8;
- I. DSAMS and DSCA 1200 System Update Documents: see Table 6-9;
- J. [Case Execution Required](#) Documentation: see Table 6-10;
- K. Special Logistics Documents: see Table 6-11;
- L. Accessorial Charges: see Table 6-12;
- M. Government Furnished Materiel (GFM): see Table 6-13;
- N. FMS Billing Documentation: see Table 6-14;
- O. Supply Discrepancy Reports (SDRs): see Table 6-15;
- P. Reviews: see Table 6-16;
- Q. Case Closure Documentation: see Table 6-17; and
- R. Reopened Case Documentation: see Table 6-18.

060202. 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. Retain all case documentation in accordance with [060102.D](#).

Table 6-1. General Information Cover Sheet Required Documentation

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. Letter of Request (LOR) Required Documentation

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

Table 6-3. Planning Information Required Documentation

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. Security Assistance Survey Required Documentation

Security Assistance Survey Documentation
1. Defense requirements survey report (or cross-reference to where the report is located)
2. Site survey report (or cross-reference thereto)

Table 6-5. Foreign Military Sales (FMS) Contractual Instruments Required Documentation

FMS Contractual Instruments	
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 Required Documentation

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

Table 6-7. Financial Control Required Documentation

Financial Control Documents
1. Request and Approval of Department of Defense (DD) Form 2060, "FMS Obligational Authority" (or automated system equivalent)
2. DD Form 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 Required Documentation

Directives
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. Defense Security Assistance Management System (DSAMS) and Defense Security Cooperation Agency (DSCA) 1200 System Update Required Documentation

DSAMS and DSCA 1200 System Update
1. Copies of worksheets or other evidence that the DSAMS and DSCA 1200 Systems were updated at the appropriate times

Table 6-10. Case Execution Required Documentation

Case Execution Required Documentation
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., Standard Form 1080, "Voucher for Transfers between Appropriations and/or Funds"; DD Form 250, "Materiel Inspection and Receiving Report"; 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 Required Documentation

Special Logistics Documents
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 Required Documentation

Accessorial Charges
1. Applicable documentation to substantiate the reporting of actual (instead of the estimated percentage) packing, crating, handling and transportation (PCH&T) costs

Table 6-13. Government Furnished Materiel (GFM) Required Documentation

GFM
Note: 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 Required Documentation

FMS Billing Documentation
Note: 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 Form 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 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. Supply Discrepancy Report (SDR) Billing Required 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. Reviews Required Documentation

Reviews	
1. 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 Required 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 Appendix 7 Chapter 4, A7.C4.3)
5. The case closure notification sent to DFAS SCA via e-mail or fax as well as the system generated CII case closure transaction
6. A directory identifying the location of stored case records

Table 6-18. Reopened Case Required Documentation

Reopened Case Documentation
Note: 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 "Financial Control Documents" section)
3. The closure certification
4. The final DD 645

Figure 6-1. Key Planning Milestones Template¹

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		

¹ Other milestone plans as developed by the IAs may be used.