



DEPARTMENT OF THE NAVY
HEADQUARTERS UNITED STATES MARINE CORPS
3000 MARINE CORPS PENTAGON
WASHINGTON DC 20350-3000

NAVMC 4000.5A
LPC/EGEM
1 MAY 2015

NAVMC 4000.5A

From: Commandant of the Marine Corps
To: Distribution List

Subj: SUPPLY OFFICER'S INTERNAL CONTROLS HANDBOOK

Ref: (a) MCO 4400.150
(b) MCO 5200.24D

Encl: (1) NAVMC 4000.5A

1. Purpose. Per references (a) and (b), this Supply Officer's Internal Controls Handbook (NAVMC 4000.5A) contained in enclosure (1), provides guidance, procedures and methods used for implementing Supply Internal Controls reviews in compliance with the references.

a. The handbook was first published on 9 July 2014. It has been updated, and is being re-issued as the 2015 version.

b. The handbook will be reviewed annually and updated, as required, to reflect changing policy, process or enhanced controls.

2. Scope. The Deputy Commandant for Installations and Logistics (DC, I&L) is directly responsible for establishing and maintaining property control standards and discipline in the Marine Corps. The intent and primary goal of the Supply Officer's Internal Controls Handbook is to provide Commanders, Supply Officers, Accountable Property Officers or Personal Property Managers and their staff with a resource to achieve and maintain a strong Supply Internal Controls and audit readiness program.

DISTRIBUTION STATEMENT A: Approved for public release;
distribution is unlimited.

a. Per reference (b), Commanders, Heads of Staff Agencies, and Managers at all levels of the Marine Corps have a fundamental responsibility to develop and maintain effective internal controls over their processes to ensure that programs operate, and resources are used, efficiently to achieve desired objectives. Programs must operate, and resources must be used, in compliance with laws and regulations with minimal potential for waste, fraud, and mismanagement. Effective internal controls provide reasonable assurance that significant weaknesses in the program or system processes that might adversely affect the Marine Corps' ability to meet its objectives, can be prevented or detected in a timely manner. This handbook provides the tools necessary to maintain effective internal controls.

b. Supply Officers, Accountable Property Officers, and Personal Property Managers will use references (a), (b) and this NAVMC to ensure that proper implementation of semi-annual internal controls reviews are being administered and properly documented. These reviews, applicable Notices of Findings, and Corrective Action Plans will provide commanders reasonable assurance that effective and efficient supply internal controls are in place for the command or the activity.

c. Questions concerning this Handbook should be directed to Headquarters, U.S. Marine Corps, Assistant Deputy Commandant for Installations and Logistics (LP), Logistics Policy and Capabilities Branch/Enterprise Ground Equipment Management (LPC/EGEM).

3. Command. This handbook is applicable to the Marine Corps Total Force.

4. Certification. Reviewed and approved this date.



W. M. FAULKNER
Deputy Commandant for
Installations & Logistics

Distribution: PCN 10040000400

Supply Officer's Internal Controls Handbook

2015



For Military Equipment, Operating Materials and Supplies
and MILSTRIP TAR



Commander's Message



Focus on Audit Readiness

The Marine Corps faces a unique challenge. We must transform to meet the financial and managerial requirements of the digital age to produce more timely, accurate, and relevant business information that is consistently auditable. This accountability proves we are responsible stewards of the taxpayer's dollars and justifies the funds we request from Congress. Equipment accountability, visibility and audit readiness are inherent to the Marine Corps' ethos and preparedness because these allow us to better support the warfighter through improved management of Marine Corps resources.

Disciplined asset accountability is critical to accurate financial reporting and effective resource allocation. Our current processes require improvement in order to provide more expedient and precise information, which is essential to the effective management of warfighting resources. As such, we continue to comprehensively review, examine and update policies and procedures (acquisition, inventories and reporting) related to the accountability of mission critical assets. Our efforts include an assessment of the sufficiency and reliability of internal controls, source documentation, data reconciliation and data validity.

Commanders cannot wait for process control testing by this Headquarters (the Field Supply and Maintenance Analysis Office (FSMAO) or the Internal Controls and Audit Readiness Team (ICART)) to determine if the appropriate internal controls are in place. Instead, Commanders and Supply Officers must be proactive in preparing their command's audit readiness posture and ultimately sustaining an audit readiness state. This can be accomplished through internal control self-assessments conducted by the command quarterly, semi-annually or annually.

The Supply Officer's Internal Controls Handbook for Military Equipment (ME), Operating Materials and Supplies (OM&S) and Military Standard Requisitioning and Issue Procedures (MILSTRIP)/Tri-Annual Review (TAR) is a tool to assist the Marine Forces (MARFOR) and Supporting Establishment (SE). It provides Commanders and Supply Officers with an additional resource for their commands to achieve and sustain audit readiness, equipment visibility and equipment accountability.

A handwritten signature in black ink that reads "W. M. Faulkner".

William M. Faulkner
LtGen, USMC
Deputy Commandant,
Installations & Logistics

<u>SECTION</u>	<u>PAGE</u>
1.0 Executive Summary	4
2.0 Introduction	6
3.0 Supply Officer Audit Readiness Checklist Letter Format	7
4.0 Military Equipment Checklist	8
5.0 Operating Materials and Supplies (OM&S) Checklists	11
6.0 MILSTRIP Checklists	15
7.0 Supply Automated Information Systems	18
8.0 Sustainment, Education and Training	19
Enclosure 1 Responsibility Matrix	20
Enclosure 2 DOA Structure & DD 577 Structure	21
Enclosure 3 Corrective Action Plan Instructions	25
Enclosure 4 Corrective Action Plan Certification	26
Enclosure 5 Corrective Action POAM	27
Enclosure 6 Corrective Action Completion Certification	28
Enclosure 7 Completed Corrective Form Examples	29
Enclosure 8 References	32
Enclosure 9 Internal Controls and Audit Readiness Points of Contact	33
Enclosure 10 FSMAO Points of Contact	33
Enclosure 11 Sustainment, Education and Training Links	34
Enclosure 12 Audit Support Handbook (ME & OM&S)	36

[Leaders have a fundamental responsibility to develop and maintain effective internal controls.]

1.0 Executive Summary

Commanders, heads of staff agencies, and managers at all levels of the Marine Corps have a fundamental responsibility to develop and maintain effective internal controls over their processes to ensure that programs operate – and resources are used – efficiently and effectively to achieve desired objectives. Resources must be used in a

way consistent with unit missions, in compliance with laws and regulations, and with minimal potential for waste, fraud, and mismanagement. Effective internal controls provide reasonable assurance that any significant weaknesses in the design of program processes which might adversely affect the Marine Corps’ ability to meet its



objectives, can be prevented or detected in a timely manner. They also ensure the proper stewardship of government resources. The safeguarding of assets is a subset of these objectives.

Internal controls – organization, policies, and procedures – are tools to help commanders, program managers and financial managers achieve results and safeguard the integrity of their programs. Such controls include program, operational, and administrative areas as well as accounting and financial management.

The importance of internal controls is addressed in many statutes and executive documents. The Federal Manager’s Financial Integrity Act (FMFIA) establishes overall requirements with regard to internal controls. Leadership must establish controls that can reasonably ensure that:

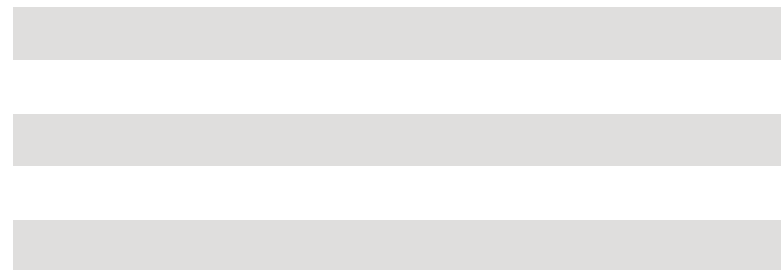
- (1) obligations and costs are in compliance with applicable law;
- (2) funds, property, and other assets are safeguarded against waste, loss, unauthorized use or misappropriation; and
- (3) revenues and expenditures applicable to agency operations are properly recorded and accounted for to permit the preparation of accounts and reliable financial and statistical reports and to maintain accountability over the assets.

In addition, leadership must evaluate and report on internal controls and financial systems that protect the integrity of programs annually (Section 2 and Section 4 of FMFIA respectively).

Instead of considering internal controls as isolated management tools, organizations should integrate

their efforts to meet the requirements of the FMFIA with other efforts to improve overall effectiveness and accountability. Thus internal control are an integral part of the entire cycle of planning, budgeting, management, accounting, and auditing. It should support the effectiveness and the integrity of every step of the process and provide continual feedback to management.

Leaders must carefully consider the appropriate balance between internal controls and the relative risk associated with particular programs and operations. Too many controls may not only be costly, but may result in inefficient and ineffective government operations. The benefits of establishing internal controls should outweigh the cost. Agencies should consider both qualitative and quantitative factors when analyzing costs against benefits. ■



2.0 Introduction

What are internal controls?

Internal controls are processes and procedures that Marines use every day to ensure the resources they are provided are used properly and safely guarded. As stewards of American tax dollars, Commanders, heads of staff agencies, and managers at all levels of the Marine Corps have a fundamental responsibility to develop and maintain effective internal controls and processes to ensure that programs (property control, fiscal resource management, logistics systems access) operate well and resources are used efficiently and effectively to achieve desired objectives. Programs must operate and resources must be used in compliance with laws and regulations, and with minimal potential for waste, fraud, and mismanagement. Effective internal controls provide reasonable assurance that significant weaknesses in the design of program processes or inherent program weakness which might adversely affect the Marine Corps' ability to meet its objectives, can be prevented or detected in a timely manner.

How can this handbook help me?

While not all encompassing, this handbook can assist Commanders, Supply Officers and their Marines in achieving and sustaining audit readiness for their commands.

How do I use the handbook?

Since FSMAO or the ICART team cannot analyze or conduct audit readiness testing on every unit or command in the Marine Corps during each fiscal year, Commanders, Officers in Charge (OIC) and Directors must conduct self-assessment actions in order to determine the audit readiness posture of their command. Using the handbook will provide the Commander and the Supply Officer with a gauge on the unit's audit readiness posture.

The handbook is meant to be a ready reference to help execute policy prescribed in MCO 4400.150 and MCO 5200.24D. It includes additional information and training guidance for unit supply personnel pertaining to:

- Military Equipment (ME)
- Operating Materials and Supplies (OM&S)
- Military Standard Requisitioning and Issue Procedures (MILSTRIP) Tri-Annual Review
- Corrective Action Plans
- Key Supporting Documentation
- Training & Education
- Audit Support Handbook

To meet and maintain audit readiness, Commanders and their Supply Officer should review the Internal Control Checklists within this handbook semi-annually, and conduct inventories in accordance with MCO 4400.150 and MCO 5400.24D. Results should be documented and corrective action plans developed. This will enable units to strengthen their internal controls, address gaps in processes and procedures, and ensure command-wide involvement.

You are not alone: questions can be answered by your local FSMAO or ICART POCs.

How does this handbook differ from the FSMAO checklist?

This handbook is provided to compliment the FSMAO Checklist. It focuses primarily on supply internal controls. Specifically, internal controls that focus on property control, process control key supporting document (KSD) retention and logistics system access. It also provides a tool to help Commands reach and sustain audit readiness. ■

3.0 Supply Officer Audit Readiness Checklist Results Letter

Below is an example format of a Supply Officer Audit Readiness Checklist Results Letter.

4400
(Code)
(Date)

From: Supply Officer
To: Commanding Officer, (add unit name)

Subj: (insert inventory type) SUPPLY OFFICER AUDIT READINESS CHECKLIST
RESULTS (insert DoDAAC)

Ref: (a) DoD 7000.14-R
(b) DoDI 5000.64
(c) MCO 4400.150
(d) Supply Officer's Handbook

Encl: (1) Supply Officer Audit Readiness Checklist
(2) Corrective Action Plan POAM
(3) Corrective Action Plan Certification
(4) Corrective Action Completion Certification

1. Per reference (d), the supply section has reviewed and completed the Supply Officer Audit Readiness Checklist.

a. Summary of results: (provide an executive summary of the results)

b. Summary of planned corrective actions: (summarize planned corrective actions initiated to eliminate future discrepancies)

2. The Supply Officer Audit Readiness Checklist results (Encl 1), Corrective Action Plan (CAP) Plan of Action and Milestones (POAM) (Encl 2), and the CAP Certification (Encl 3) are attached for review.

3. A copy of the results and your endorsement will be maintained until all actions contained in the CAP POAM are completed. The CAP Certification letter will be prepared for the Commander's signature upon CAP POAM completion.

(Signature)
(FI. MI. LAST Name of Supply Officer)



4.0 Military Equipment Checklist

Military Equipment			
General Information		Select Yes/No	Date Complete
1. Is the outgoing Commanding Officer (CO)'s/Accountable Officer (AO)'s Certificate of Relief with the incoming CO's/AO's endorsement retained in the supply files? (OMB A-123, Appendix A; MCO 4400.150 Ch 1 Para 7.a, Ch 2, Para 11.i, Appendix L; CMC MSG 111130Z Oct 12; CMC MSG 141733Z Jun 12)		Yes	No
2. Is the Accountable Property Officer/Supply Officer appointed in writing by the CO/AO and are applicable DD 577 Appointment/Termination Record-Authorized Signature Forms retained in the supply files? (OMB A-123, Appendix A; MCO 4400.150 Ch 1 Para 5.c(2)(c), Ch 2, Para 11.i, Appendices D and J; CAP ME-OMS-EC-6)		Yes	No
3. Is the outgoing Accountable Property Officer's/Supply Officer's Certificate of Relief with the incoming Accountable Property Officer's/Supply Officer's endorsement retained in the supply files? (OMB A-123, Appendix A; MCO 4400.150, Ch 1 Para 7.b, Ch 2, Para 11.i, Appendices N and M)		Yes	No
4. Are Property Custodians (Responsible Officers (ROs)) appointed in writing by the CO/AO and are applicable DD 577 Appointment/Termination Record-Authorized Signature Forms retained in the supply files? (OMB A-123, Appendix A; MCO 4400.150 Ch 1 Para 7.c, Ch 2, Para 11.i, Appendices E and J; CAP ME-OMS-EC-6; UM 4000.125 (Interim))		Yes	No
5. Are there Delegation of Authority (DOA) Forms (NAVMC 11869 Notice of Delegation of Authority) for personnel to receipt for and turn in government property? (OMB A-123, Appendix A; MCO 4400.150 Ch 1 Para 5.f, Ch 3 Para 7.f, Ch 2, Para 11.i, Appendix k; CAP ME-OMS-EC-6; UM 4000.125 (Interim))		Yes	No
6. Have applicable desktop procedures and turnover folders been prepared for each billet involving administrative and management property control functions? (OMB A-123, Appendix A; MCO 4400.150 Ch. 1 Para 12)		Yes	No
Property Control		Select Yes/No	Date Complete
7. Are annual/cyclic physical inventories conducted and results submitted to the CO/AO for certification and are they maintained on file? (DoDI 5000.64 Encl 3 pg 13; OMB A-123, Appendix A; MCO 4400.150 Ch 2 Para 9)		Yes	No
9. Are annual/cyclic physical inventory, voucherable, gain or loss transactions pre-approved by the appropriate authority based on his/her approval dollar thresholds and filed in the voucher file? (DoDI 5000.64 glossary pg 18; OMB A-123, Appendix A; MCO 4400.150 Ch. 2 Para 11.b.c.f.g.h. and i; CAP ME-OMS-EC-5)		Yes	No

Military Equipment			
Property Control	Select		Date Complete
	Yes	No	
10. Were all required adjustments, resulting from the annual/cyclic inventory, processed to correct the property records (accountable balances)? (DoDI 5000.64 Encl 2 pg 7; OMB A-123, Appendix A; MCO 4400.150 Ch. 2 Para 11; CMC MSG 171419Z Jun 11)	Yes	No	
11. Are all Money Value Gain/Loss (MVGL) Notices resulting from an annual/cyclic physical inventory certified by the CO/AO and are they maintained on file? (OMB A-123, Appendix A; MCO 4400.150 Ch. 2 Para 11.h. and i)	Yes	No	
12. Are the results of the annual/cyclic inventory documented and maintained on file? (OMB A-123, Appendix A; MCO 4400.150 Ch. 2 Para 9)	Yes	No	
13. Quarterly, or upon change of Property Custodian, are Property Custodians reconciling property record discrepancies and signing the sub-custody property record within 15 calendar days (semi-annually if approved in writing by the CO/AO)? (OMB A-123, Appendix A; MCO 4400.150 Ch. 2 Para 9; MCO 4400.150 Ch. 2 Para 6.c.(6) and 11.b.(2); UM 4000.125 (Interim))	Yes	No	
14. Do Property Custodians indicate they are physically reconciling serial numbers and NSNs listed on the property records against the serial number and NSN identified on the equipment identification plate (data plate)? (OMB A-123, Appendix A; MCO 4400.150 Ch 2 Para 11.b (2))	Yes	No	
15. Is an initialed, signed and dated copy of the Quarterly CMR/sub-account on hand (each page should be initialed in the lower right hand corner)? (OMB A-123, Appendix A; MCO 4400.150 Ch 2 Para 8 c.(6))	Yes	No	
16. Is the Supply Officer/Accountable Property Officer maintaining for each Property Custodian (i.e. RO) all supporting documentation (e.g., receipts, issues and adjustments) that affect the property records for all sub-accounts? (OMB A-123, Appendix A; MCO 4400.150 Ch. 2 Para 6.c.(4), 11.a. and i; UM 4000.125 (Interim))	Yes	No	
17. Are items on temporary loan reconciled and properly managed? (OMB A-123, Appendix A; MCO 4400.150 Ch. 6 Para 9 and UM 4000.125 (Interim))	Yes	No	
18. Has causative research been conducted and documented for unresolved sub-custody (i.e., CMR, Item Locator File (ILF)) discrepancies and have appropriate Request for Investigation letters been submitted to the CO/AO, via the Supply Officer, within five calendar days? (OMB A-123, Appendix A; MCO 4400.150 Ch. 2. Para 6.c.(5), 11.b.(3)(d), and Ch. 5 Para 4.b.(1); UM 4000.125 (Interim))	Yes	No	
19. Has the CO/AO endorsed each Request for Investigation and directed appropriate action within five calendar days of receipt of the request? (OMB A-123, Appendix A; MCO 4400.150 Ch. 2. Para 6.c.(5), 11.b.(3)(d),and Ch. 5 Para 4.b.(1); UM 4000.125 (Interim))	Yes	No	
20. Does the organization process receipts correctly within the time frame prescribed by MCO 4400.16H (or other policy as applicable)? (OMB A-123, Appendix A; MCO 4400.16H Para 9; MCO 4400.150 Ch. 3 Para 7.b.(3); UM 4000.125 (Interim))	Yes	No	
21. Is all key supporting documentation (KSD) used to receipt for property (e.g., DD 1348-1A, CBL Manifest, DD 1149) signed, dated, and applicable data elements captured on the KSD (e.g., serial #, NSN, SDN, qty)? (OMB A-123, Appendix A; DoD FMR 7000.14-R, Volume 6A; MCO 4400.150 Ch. 2 Para 11(a) (1); CAP ME-OMS-EC-6)	Yes	No	
22. Can the command certify that transferred or disposed assets were removed from the APSR? (DoDI 5000.64 Encl 2 pg 7; OMB A-123, Appendix A)	Yes	No	

Military Equipment			
Property Control	Select Yes/No		Date Complete
23. Is all key supporting documentation for property issues/shipments (e.g., DICs A5A, A5J transactions, DD 1348-1s) signed / dated with applicable data elements captured (e.g., NSN, SDN, DoDAAC) and filed in the voucher file? (OMB A-123, Appendix A; MCO 4400.150 Ch. 2 Para 11.(a) (1); UM 4000.125 (Interim))	Yes	No	
24. Are voucherable gain or loss transactions pre-approved by the appropriate authority based on his/her approval dollar thresholds and filed in the voucher file? (DoDI 5000.64 glossary pg 18; OMB A-123, Appendix A; MCO 4400.150 Ch. 2 Para 11.b.c.f.g.h and i; CAP ME-OMS-EC-5)	Yes	No	
25. Are Money Value Gain/Loss (MVGL) Notices certified by the CO /AO and are they maintained on file? (OMB A-123, Appendix A; MCO 4400.150 Ch. 2 Para 11.h. and i)	Yes	No	
26. Are all authorized allowances accurately reflected on the unit's APSR (MAL) to include approved Type II Allowances, Special Allowances, Command Adjustments, and Training Allowances (T/A) for the command? (DoDI 5000.64 Encl 2 pg 7; OMB A-123, Appendix A; MCO 4400.150 Ch. 2 Para 5 and 7)	Yes	No	
27. Are serially managed items accurately recorded and updated in the APSR? (DoDI 5000.64 Encl 2 pg 7; OMB A-123, Appendix A; MCO 4400.150 Ch. 2 Para 6. and 11)	Yes	No	
28. Is excess equipment identified and reported with a request for disposition instructions to higher headquarters and/or other appropriate activity? (OMB A-123, Appendix A; MCO 4400.150 Ch. 2 Para 15; MCO P4400.82F Para 1002.7, 1010, 5001, and 5005; UM 4000.125 (Interim))	Yes	No	
29. Are inventories of small arms/light weapons being conducted monthly? (OMB A-123, Appendix A; MCO 5530.14A Para 8003.4.b(4); MCO 4400.150 Ch. 2 Para 13; MCO 8300.1D Para 4.b.(5) (l)1., 4.b.(5)(p), and Encl (1) Para 11.a. and 11.b; CMC MSG 251744Z Mar 11; DoDI 5000.64; DoDM 4140.01)	Yes	No	
30. Are discrepancies noted during monthly serialized small arms/light weapons inventories reconciled through and discrepancies immediately identified to appropriate authorities? (OMB A-123, Appendix A; MCO 5530.14A Para 8003.4.b(4); MCO 8300.1D Para 4.b.(5)(l)1., 4.b.(5)(p), and Encl (1) Para 11.a. and 11.b.; CMC MSG 251744Z Mar 11; MCO 4400.150 Ch 2 Para 6.b.(3); and CMC DC L MSG 301412Z Jan 14 Para 4.B.4)	Yes	No	
31. Is the unit completing the annual reconciliation and verification of small arms/light weapons with the Naval Surface Warfare Center (NSWC), Crane, IN within the required time frame? (OMB A-123, Appendix A; MCO 8300.1D Encl (1) Para 11.c. and 19.d)	Yes	No	
32. Are signed copies of all receipts, issues, and documentation to support property losses (to include combat losses) and property gains for small arms/light weapons submitted to NAVSUR-WARCENDIV, Crane (NSWC) via the Crane Small Arms Web Portal within 48 hours? (OMB A-123, Appendix A; MCO 8300.1D Para 4.b.(5)(b) through Para 4.b.(5)(k), and Encl (1) Para 5.a., 6, 8.b., 9.a. (3), and 19.c.; CMC MSG 251744Z MAR 11)	Yes	No	
33. Does the unit have appropriate personnel assigned to make changes to the Marine Corps Serialized Small Arms/Light Weapons Registry? (OMB A-123, Appendix A; MCO 8300.1D Para 4.b.(5)(b) through Para 4.b.(5)(k), and Encl (1) Para 5.a., 6, 8.b., 9.a. (3), and 19.c.; CMC MSG 251744Z MAR 11 and CMC MSG DTG 061923Z May 13; CMC MSG DTG 251855Z Feb 15)	Yes	No	

5.0 Operating Materials & Supplies Checklist

5.1 Repairable Issue Point (RIP)/ Supply Management Unit (SMU)

Operating Materials & Supplies: Repairable Issue Point (RIP) / Supply Management Unit (SMU)		
General Information	Select Yes/No	Date Complete
1. Are the Accountable Property Officer/Supply Officer (SMU/RIP OICs) appointed in writing by the MLG Commanding Officer (CO) or equivalent and are applicable DD 577 Appointment/Termination Record-Authorized Signature Forms retained in the supply files? (OMB A-123, Appendix A; MCO 4400.150 Ch. 1 Para 5.c(2)(c), Ch. 2, Para 11.i, Appendices D and J; CAP ME-OMS-EC-6; MCO P4400.151B; DoDI 5000.64; DoDM 4140.01)	Yes No	
2. Are there Delegation of Authority (DOA) forms (NAVMC 11869 Notice of Delegation of Authority) for personnel to receipt for and turn in government property? (OMB A-123, Appendix A; MCO 4400.150 Ch. 1 Para 5.f, Ch. 3 Para 7.f, Ch. 2, Para 11.i, Appendix k; CAP ME-OMS-EC-6; UM 4000.125 (Interim); DoDI 5000.64; DoDM 4140.01)	Yes No	
3. Have applicable desktop procedures and turnover folders been prepared for each billet involving administrative and management property control functions? (OMB A-123, Appendix A; MCO 4400.150 Ch. 1 Para 12; DoDI 5000.64; DoDM 4140.01)	Yes No	
Property Control	Select Yes/No	Date Complete
4. Are annual/cyclic physical inventories conducted and are results submitted to the Battalion CO/AO for certification and are these results maintained on file? (OMB A-123, Appendix A; MCO 4400.150 Ch 2 Para 9; DoDI 5000.64; DoDM 4140.01)	Yes No	
5. Are annual/cyclic physical inventory, voucherable, gain or loss transactions preapproved by the appropriate authority based on his/her approval dollar thresholds and filed in the voucher file? (OMB A-123, Appendix A; MCO 4400.150 Ch. 2 Para 11.b.c.f.g.h. and I; CAP ME-OMS-EC-5; DoDI 5000.64; DoDM 4140.01)	Yes No	
6. Has causative research been conducted to identify administrative errors that have been made which may negate the need to investigate and/or process a gain/loss transaction and is the documented evidence kept on file? (MCO 4400.150 Ch. 2 Para 11.h. and I; CAP ME-OMS-EC-6; DoDI 5000.64; DoDM 4140.01)	Yes No	
7. Were all required adjustments resulting from the annual/cyclic inventory processed to correct the property records (accountable balances)? (OMB A-123, Appendix A; MCO 4400.150 Ch. 2 Para 11; CMC MSG 171419Z Jun 11; DoDI 5000.64; DoDM 4140.01)	Yes No	
8. Are all Money Value Gain/Loss (MVGL) Notices resulting from an annual/cyclic physical inventory certified by the CO/AO and are these maintained on file? (OMB A-123, Appendix A; MCO 4400.150 Ch. 2 Para 11.h. and i; DoDI 5000.64; DoDM 4140.01)	Yes No	
9. Is documentation available supporting that an annual inventory was conducted for 100% of controlled mission critical assets and for at least 33% of non-controlled inventory within the past year? (DoDM 4140.01 Ch. 5.7; DoD 4000.25-2-M Ch. 7; MCO P4400.151B, Para 3006; MCO 4400.150 Ch. 2 Para 11.h; DoDI 5000.64; DoDM 4140.01)	Yes No	
10. Are the results of an annual/cyclic inventory documented and maintained on file? (OMB A-123, Appendix A; MCO 4400.150 Ch. 2 para 9; DoDI 5000.64; DoDM 4140.01)	Yes No	

Operating Materials & Supplies: Reparable Issue Point (RIP) / Supply Management Unit (SMU)			
Property Control	Select Yes/No		Date Complete
11. Are daily reconciliations between STRATIS and GCSS-MC or MOWASP and ILF and SCS being done to identify inventory imbalances? Is reconciliation documentation being maintained? (OMB A-123, Appendix A; DoDI 5000.64; DoDM 4140.01)	Yes	No	
12. Are Property Custodians (RIP/SMU personnel) physically reconciling serial numbers and NSNs listed on the property records against the serial number and NSN identified on the asset identification plate (data plates)? (OMB A-123, Appendix A; MCO 4400.150 Ch 2 Para 11.b (2); DoDI 5000.64; DoDM 4140.01)	Yes	No	
13. Does the organization process receipts in a correct and timely manner? (OMB A-123, Appendix A; MCO 4400.16H Para 9; MCO 4400.150 Ch. 3 Para 7.b.(3); UM 4000.125 (Interim); DoDI 5000.64; DoDM 4140.01)	Yes	No	
14. Is the Supply Officer/Accountable Property Officer maintaining (for each Property Custodian) all supporting documentation (receipts, issues and adjustments) that affect the property records? (OMB A-123, Appendix A; MCO 4400.150 Ch. 2 Para 6.c.(4), 11.a. and i; UM 4000.125 (Interim); DoDI 5000.64; DoDM 4140.01)	Yes	No	
15. Is all Key Supporting Documentation (KSD) used to receipt for property (DD 1348-1A, CBL Manifest, DD1149) signed, dated, and applicable data elements captured on the KSD (e.g., Serial Number, NSN, SDN, Quantity, DoDAAC)? (OMB A-123, Appendix A; DoD FMR 7000.14-R, Volume 6A; MCO 4400.150 Ch. 2 Para 11(a) (1); CAP ME-OMS-EC-6; DoDI 5000.64; DoDM 4140.01)	Yes	No	
16. Is all key supporting documentation for property issues/shipments (i.e., DICs A5A, and A5J transactions, DD 1348-1As) signed and dated, and are applicable data elements captured on the KSD? (i.e., Serial #, NSN, SDN, Quantity, DoDAAC)? (OMB A-123, Appendix A; MCO 4400.150 Ch. 2 Para 11.(a) (1); CMC WASHINGTON DC L LP 111316Z Feb 13; CAP ME-OMS-EC-6; UM 4000.125 (Interim); DoDI 5000.64; DoDM 4140.01)	Yes	No	
17. Can the command certify that transferred or disposed assets were removed from the APSR? (OMB A-123, Appendix A)	Yes	No	
18. Does the organization process transfer/disposal transactions in a correct and timely manner? (OMB A-123, Appendix A; MCO 4400.16H Para 9; MCO 4400.150 Ch. 3 Para 7.b.(3); UM 4000.125 (Interim); DoDI 5000.64; DoDM 4140.01)	Yes	No	
19. Are serially managed items accurately recorded and updated in the APSR? (OMB A-123, Appendix A; MCO 4400.150 Ch. 2 Para 6. and 11; DoDI 5000.64; DoDM 4140.01)	Yes	No	
20. Did the organization complete its OM&S financial reporting requirements? (DoD 7000.14.R, Volume 4, Chapter 4; OMB Circular A-136; SFFAS No. 3)	Yes	No	
21. Have OM&S financial reporting workbooks, certification letters and applicable endorsements been provided to HQMC I&L (LP) and maintained on file?	Yes	No	
22. Is the OM&S financial reporting source data retained and available for review?	Yes	No	
23. Are procedures established to manage excesses and are those excesses reported via the Material Returns program? (DoDI 5000.64 Encl 3; OMB A-123, Appendix A; MCO 4400.150 Ch 2; DoDI 5000.64; DoDM 4140.01)	Yes	No	

5.2 Ammunition

Operating Materials & Supplies: Ammunition			
General Information		Select Yes/No	Date Complete
1. Is the Accountable Property Officer/Supply Officer appointed in writing by the CO/AO and are applicable DD 577 Appointment/Termination Record-Authorized Signature Forms retained in the supply files? (OMB A-123, Appendix A; MCO 4400.150 Ch. 1 Para 5.c(2)(c), Ch. 2, Para 11.i, Appendices D and J; CAP ME-OMS-EC-6)	Yes	No	
2. Are Property Custodians (Responsible Officers (ROs)) appointed in writing by the CO/AO and are applicable DD 577 Appointment/Termination Record-Authorized Signature Forms retained in the supply files? (OMB A-123, Appendix A; MCO 4400.150 Ch. 1 Para 7.c, Ch. 2, Para 11.i, Appendices E and J; CAP ME-OMS-EC-6; UM 4000.125 (Interim))	Yes	No	
3. Does the command maintain a Notice of Delegation of Authority (DOA) file that designates the authority of the receiving organization to request, approve, and receive Class V(W) assets, and does the command ensure that the requester and approver are different individuals (i.e., adequate separation of duties)?(MCO 4400.150; CAP ME-OMS-EC-6)	Yes	No	
4. Have applicable desktop procedures and turnover folders been prepared for each billet involving administrative and management property control functions? (OMB A-123, Appendix A; MCO 4400.150 Ch. 1 Para 12)	Yes	No	
Property Control		Select Yes/No	Date Complete
5. Does the Accountable Property Officer/Supply Officer perform regular inventory counts (e.g., monthly, quarterly, annually) and maintain the inventory results on file? (MCO P4400.151B; MCO 8015.3A)	Yes	No	
6. Are random sample inventories being conducted using the AMAR selection process in OIS-R on a weekly/bi-weekly basis? (MCO 8015.3A)	Yes	No	
7. Does the Commanding Officer/Accountable Officer review and sign inventory gain and loss adjustments? (MCO 8015.3A; CAP ME-OMS-EC-6)	Yes	No	
8. Are items accurately recorded and updated in the APSR? (DoDI 5000.64 Encl 2 pg 7; OMB A-123, Appendix A; MCO 4400.150 Ch. 2 Para 6. and 11)	Yes	No	
10. Was the Physical Inventory Data Collection Worksheet signed and verified by the Records Supervisor? (MCO 8015.3A)	Yes	No	
11. Are Location Surveys of all line item locations conducted at least once during the fiscal year? (MCO 8015.3A)	Yes	No	
12. Was the Location Survey Process Data Collection Worksheet signed and verified by the Records Supervisor?	Yes	No	
13. Is there a Physical Inventory Control Program on file? (MCO 8015.3A)	Yes	No	
14. Does the command maintain all Certificates of Inventory Completion that support that 100% of NSNs having been physically inventoried at least once during the fiscal year?	Yes	No	
15. Have all inventory gain and loss adjustments been certified by the Commanding Officer/Accountable Officer? (MCO 8015.3A; CAP ME-OMS-EC-6)	Yes	No	
16. Has causative research been conducted to resolve all discrepancies? (MCO 8015.3A)	Yes	No	
17. Does the Commanding Officer/Accountable Officer review and sign all Missing, Lost, Stolen or Recovered (MLSR) Reports? (MCO 5530.14A; CAP ME-OMS-EC-6)	Yes	No	

Operating Materials & Supplies: Ammunition			
Property Control	Select Yes/No		Date Complete
	18. Is all receipt key supporting documentation (DD 1348-1A, CBL Manifest, DD1149) signed and dated with the correct data attributes (e.g., Serial #, DoDIC, SDN, Quantity, DoDAAC)? (OMB A-123, Appendix A; DoD FMR 7000.14-R, Volume 6A; MCO 4400.150 Ch. 2 Para 11(a) (1); CAP ME-OMS-EC-6)	Yes	No
19. Have all ammunition assets received been picked-up on the accountable property record? (DoDI 5000.64 Encl 2 pg 7; OMB A-123, Appendix A; MCO 4400.150 Ch. 2 Para 6. and 11)	Yes	No	
20. Is all key supporting documentation for issues/outbound shipments (i.e., DICs A5A, and A5J transactions) signed and dated with the correct data attributes (e.g., Serial #, DoDIC, SDN, Quantity, DoDAAC) and maintained on file? (OMB A-123, Appendix A; DoD FMR 7000.14-R, Volume 6A; MCO 4400.150 Ch. 2 Para 11.(a) (1); CMC WASHINGTON DC L LP 111316Z Feb 13; CAP ME-OMS-EC-6; UM 4000.125 (Interim))	Yes	No	
21. Are receipts processed in a timely manner? (MCO 4400.16H Para 9; MCO 4400.150; UM 4000.125 (Interim); DLM 4000.25, Volume 2, 13 June 2012 Table C10.T; CAP ME-OMS-EC-6)	Yes	No	
22. Have all ammunition assets transferred from the command been removed from the command's APSR? (DoDI 5000.64 Encl 2 pg 7; OMB A-123, Appendix A)	Yes	No	
23. Are transfers processed in a timely manner? (MCO 4400.16H Para 9; MCO 4400.150; DLM 4000.25, Volume 2, 13 June 2012 Table C10.T; CAP ME-OMS-EC-6; UM 4000.125 (Interim))	Yes	No	
24. Can the command verify/certify that transfer/disposal assets were removed from the APSR? (DoDI 5000.64 Encl 2 pg 7; OMB A-123, Appendix A)			



6.0 MILSTRIP Checklist

6.1 MILSTRIP Tri-Annual Review

MILSTRIP Tri-Annual Review			
Certification & Report		Select Yes/No	Date Complete
1. Has the MILSTRIP Tri-Annual Review (TAR) been completed for the period of performance? (DoD FMR 7000.14-R Vol. 3, Chapter 8, 080401; P7300.21A, Chapter 12; MCO 4400.150; DLM 4000.25-1; DLM 4000.25-2)		Yes	No
a. Has the NAVMC 11675 been certified by the Commanding Officer (CO) /Accountable Officer (AO)? (DoD FMR 7000.14-R Vol. 3, Chapter 8, 080401)		Yes	No
b. Has the MILSTRIP TAR Report been annotated with the appropriate status codes to describe the condition of the open requisitions? (DoD FMR 7000.14-R Vol. 3, Chapter 8, 080401)		Yes	No
2. Is key supporting documentation maintained for a period of 2 years active and 5 years archived to show that the review has been completed and is it readily available for audit? (MCO 4400.150, para 11.i.(2), pp. 2-22)		Yes	No
a. Are DD Form 577s or Appointment Letters maintained and on hand for the MILSTRIP requisitioning unit? (MCO 4400.150; DoD FMR, 7000.14-R, Vol. 5)		Yes	No
b. Are NAVMC 11869 Notice of Delegation of Authority forms maintained and on hand for the MILSTRIP requisitioning unit? (MCO 4400.150; DoD FMR, 7000.14-R, Vol. 5)		Yes	No
3. Have all open requisitions been validated/processed in SABRS within 10 working days of review to confirm that the appropriate condition of the transactions is reflected? (DoD FMR 7000.14-R Vol. 3, Chapter 8, 080406) Note: Coordination with Comptroller is necessary.		Yes	No
4. Does a review demonstrate that all commitments and obligations properly reviewed and approved by an authorized official? (MCO 4400.150)		Yes	No
Transactional Details		Select Yes/No	Date Complete
5. Has sufficient due diligence been taken by the Supply Activity to ensure that funds appropriated were used consistently with the intent for which the funds were provided? (DoD FMR 7000.14-R Vol. 3, Chapter 8, 080410)		Yes	No
Transaction Condition - Undelivered Order (UDO) & Unliquidated Obligation (ULO)		Select Yes/No	Date Complete
6. Have requisitions been back ordered for longer than 45 days? (MCO 4400.16H)		Yes	No
a. Has the DLA Customer Service Representative (CSR) been contacted to resolve aged/problem DLA requisitions?		Yes	No
7. Does a bona fide need still exist and is there a valid requirement? (DoD FMR 7000.14-R Vol. 3, Chapter 8, 080410)		Yes	No
a. If a bona fide need still exists for the requisition, has the MILSTRIP TAR report been annotated with "VAL" to reflect the proper status of the transaction?		Yes	No
b. If a bona fide need does not exist for the requisition, has the MILSTRIP TAR report been annotated with "CXL" to reflect the proper status of the transaction?		Yes	No
c. If a bona fide need does not exist for the requisition, has the transaction been de-obligated in SABRS?		Yes	No

MILSTRIP Tri-Annual Review			
8. Did the unit attempt to acquire the item from an alternate source of supply?	Yes	No	
9. Have corrective actions been taken for erroneous requisitions that do not meet commitment/obligation criteria?	Yes	No	
Transaction Condition - Undelivered Order (UDO)	Select Yes/ No		Date Complete
10. Have the materials/services been received?	Yes	No	
a. Does key supporting documentation exist to support the receipt of goods/services?	Yes	No	
b. Did the goods/services information on the key supporting documentation agree with information on the receiving report and original obligation documentation?	Yes	No	
11. Has receipt/acceptance been performed? (MCO 4400.150)	Yes	No	
a. Do the supply records indicate receipt has been properly performed?	Yes	No	
b. Was the receipt/acceptance properly reviewed and approved by an authorized official? (MCO 4400.150)	Yes	No	
c. Has the expense posted to SABRS to resolve the UDO balance?	Yes	No	
12. Was the invoice/billing statement properly reviewed and approved by an authorized official? (MCO 4400.150)	Yes	No	
13. If the transaction has been received, has the MILSTRIP TAR report been annotated with "REC" to reflect the proper status of the transaction?	Yes	No	
Transaction Condition - Unliquidated Obligation (ULO)	Select Yes/ No		Date Complete
14. If the transaction has been received, is there key supporting documentation to support the receipt of goods/services?	Yes	No	
15. Has the receipt key supporting documentation been provided to the appropriate responsible party to support the liquidation?	Yes	No	
16. Has the liquidation posted to SABRS to resolve the ULO balance?	Yes	No	
17. If the transaction is waiting on liquidation, has the MILSTRIP TAR report been annotated with "LIQ" to reflect the proper status of the transaction?	Yes	No	
Transaction Condition - Unmatched Disbursement (UMD)	Select Yes/ No		Date Complete
18. Does the obligation's key supporting documentation exist to support the transaction?	Yes	No	
19. Has the obligation been posted to SABRS, with all attributes matching those attributes found in Report D - DNR Unmatch?	Yes	No	
20. If the transaction has been correctly obligated, has the MILSTRIP TAR report been annotated with the appropriate status code to reflect the proper status of the transaction?	Yes	No	
Transaction Condition - Dormant Unfilled Order (UFO)	Select Yes/ No		Date Complete
21. Has the dormant UFO been validated to determine if the requirement is still valid?	Yes	No	
22. If the requirement is not valid, have all funds associated with the UFO been returned to the requesting authority?	Yes	No	
23. Depending on the determined validity of the requisition, has the MILSTRIP TAR report been annotated with the appropriate status code to reflect the proper status of the transaction?	Yes	No	

6.2 Other

MILSTRIP			
Clothing		Select Yes/No	Date Complete
1. Has the NAVMC 604 / 604B been filled out to accurately to reflect the item(s) and person ordering in accordance with MCBul 10120?		Yes	No
2. Has the NAVMC 604 / 604B been signed and dated by the ordering individual's immediate Commanding Officer (CO)? (If the form has been signed by anyone other than the CO, is a copy of the "acting" delegation of authority letter attached to the NAVMC 604 form, along with a copy of the DD 577 authorizing the "acting" CO to obligate funds for the government?)		Yes	No
3. Has the NAVMC 604 / 604B been annotated with the Functional Account Number (FAN)?		Yes	No
4. Has the Approval Block been completed by the CO to reflect the type of issue/sale (e.g. Check-age)		Yes	No
5. Has the NAVMC 604 / 604B been signed and dated by the appropriate parties (e.g., person ordering and witness, when applicable)?		Yes	No
6. Has the supply officer (SupO) logged into Wide Area Workflow Miscellaneous Payments (WAWF-MP) as an acceptor to ensure the proper SDN, FY, and ACRN are associated to the applicable FAN for each NAVMC 604 form entered on the WAWF-MP Voucher? (CMC MSG DTG 251415Z Apr 14)		Yes	No
7. Has the SupO verified that the payment amount in WAWF-MP matches the NAVMC 604/604B form and the attached sales slip? (CMC MSG DTG 251415Z Apr 14)		Yes	No
8. Has the SupO accepted the miscellaneous payment for the NAVMC 604 / 604B form in WAWF-MP? (CMC MSG DTG 251415Z Apr 14)		Yes	No
Fuel		Select Yes/No	Date Complete
9. Is there a fuel receipt?		Yes	No
10. Does the purchaser have authority to use the key/card?		Yes	No
ServMart		Select Yes/No	Date Complete
11. Is there a buy list/ shopping list?		Yes	No
12. Has the buy list/ shopping list been approved by an authorized official?		Yes	No
13. Is there a ServMart sales receipt or online order confirmation?		Yes	No
14. Has the sales receipt been signed and dated by the shopper?		Yes	No
15. Does the shopper have appropriate authority?		Yes	No
16. Has the supply officer verified that all items purchased on the receipt were on the approved shopping list?		Yes	No
STORES		Select Yes/No	Date Complete
17. Is there an approved order?		Yes	No
18. Is there a receipt?		Yes	No
19. Is there an invoice?		Yes	No
20. Are any discrepancies between invoice and receipt resolved ?		Yes	No

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7.0 Supply Automated Information Systems Checklist

Supply Automated Information Systems Checklists			
General Information	Select Yes/No		Date Complete
	Yes	No	
1. Is the Supply Automated Information System (AIS) administrator (e.g. UUAM) appointed in writing by the Commanding Officer (CO)/Accountable Officer (AO)? (OMB A-123, Appendix A; MCO 4400.150 Para 5 (4); UM 4000.125 (Interim))	Yes	No	
2. Does the Supply Automated Information System (AIS) administrator meet the basic prerequisites and appropriate training for assignment? (OMB A-123, Appendix A; UM 4000.125 (Interim))	Yes	No	
3. Are required documents (e.g. Appointment Letters, SAAR, and Letter for Roles & Responsibilities, DD Form 577, and Training Certificates) maintained on file by the Supply AIS administrator for Users and Financial Approvers? (OMB A-123, Appendix A; UM 4000.125 (Interim))	Yes	No	
4. Is the Supply AIS administrator properly assigning system users only those roles and responsibilities authorized by direct supervisor's appointment letters? (OMB A-123, Appendix A; CMC MSG DTG 111448Z Sep 12 (UM 4000.125 (Interim))	Yes	No	
5. Are effective check-in and check-out procedures/controls in place to manage the addition and removal of system access as users are joined and detached from the organization? (OMB A-123, Appendix A; UM 4000.125 (Interim))	Yes	No	

8.0 Sustainment, Education & Training Checklist

Sustainment, Education & Training			
General Information		Select Yes/No	Date Complete
1. Have the following personnel, who are appointed to approve or certify the expenditure of funds, completed the Fiscal Law Course and Budget Execution Course? (MCO 4400.150; CAP ME-OMS-EC-6; DoD 7000.14-R; MARADMIN 350/11 Fund Control Personnel Training Requirement; UM 4000.125 (Interim))		Yes	No
a. Supply Officer		Yes	No
b. Fiscal, Budget and Accounting Officer		Yes	No
c. Government Commercial Purchase Card (GCPC) Program Approving Official		Yes	No
d. Supply Chief		Yes	No
e. Supply Resource Manager		Yes	No
f. Certifying Officer			
2. Have personnel responsible for property control (e.g. Supply Officer, Accountable Property Officer, Supply Chief) completed the following recommended courses? (MCO 4400.150)		Yes	No
a. Foundations of Government Property (CLM039) Course		Yes	No
b. Fiscal and Physical Accountability and Management of DoD Equipment (CLM047) Course		Yes	No
c. Proper Financial Treatment for Military Equipment (PFAT4ME) (CLM040) Course		Yes	No
d. Audit Readiness Requirements for DoD Equipment (CLM048) Online Course		Yes	No
e. Physical Inventories (CLM037) Course		Yes	No



Enclosure 1 - Responsibility Matrix

Responsibility	Typical Marine Corps Billets Executing these Responsibilities (not all encompassing)	Command Slated HQMC Ordered	Position Appointment Letter	Delegation of Authority NAVMC 11869	Appointment / Term Record – Authorized Signature (DD Form 577)	System Requiring Access To	System Authorization Request (SAAR) (DD Form 2875)	Authorizing Directive(s)
Accountable Officer	Commanding Officer, Director, Officer-in-Charge	Y	Y ¹	N	Y ¹			
Supply Officer, Accountable Property Officer	Supply Officer, Personal Property Manager	N	Y	N	Y	GCSS-MC, SCS, MOWASP, DPAS, PrBuilder, TFSMS, WAWF, DTS, AMS-TAC, OIS, CMOS, EMALL, GSA, Fuel Key, K-LOC, STRA-TIS, AMS-TAC	SAAR endorsed by Supply AIS Administrator	MCO 4400.150, DoD 7000.14-R (FMR), DoD 5000.64, DoDM 4140.01, OMB Cir-A-123
Fund Holder	Supply Officer, Fiscal Officer, Supply Chief, Facilities Manager	N	Y	N	Y			
GCPC Card Holder	GCPC	N	Y	Y	N			
Receipt and Acceptor	Warehouse Chief, Receiving Section	N	Y	Y	N			
Fiscal Budget & Accounting Officer	Supply Officer	N	Y	N	Y			
Supply Resource Manager	Supply Officer	N	Y	N	Y			
Certifying Officer	Supply Officer, Purchase Card AO, travel authorizing officials, centrally billed account approving officials	N	Y	N	Y			
Supply AIS Administrator	Supply Officer, Group Administrator, UUAM, workflow manager	N	Y	N	N			
GCPC Approving Official	Supply Officer/Chief	N	Y	N	Y			
Responsible Officer	Company Commander, Platoon Commander, Commodity OIC, Section Head	N	Y	Y	N			
Responsible Individual	Maintenance Section, Platoon Sgt	N	Y ²	N	N			

1: When the HQMC command slated Accountable Officer is a Command General/Commander or in unique command organizations (as described in Chapter 1, paragraph 5c(2) (b) of MCO 4400.150) the AO has the authority to appoint the most appropriate officer as the Accountable Officer.

2: Appointed by the Responsible Officer

Enclosure 2 - Delegation of Authority (DOA) and DD 577 Structures

The following pages contain DD Form 577 structures to help Supply Officers identify which personnel require a DD Form 577 and appointment letter or a NAVMC 11869. Three basic roles require a DD Form 577:

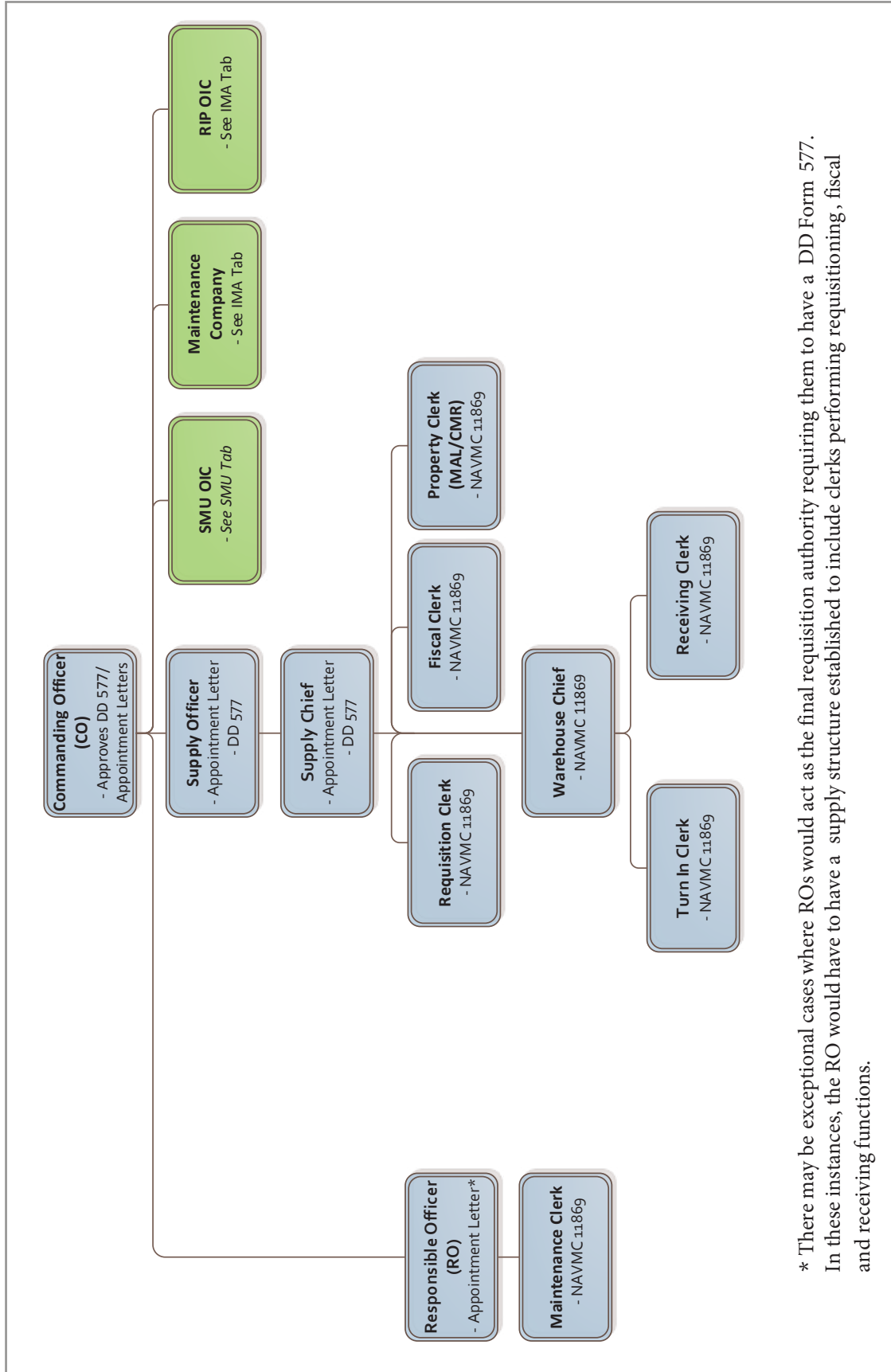
Supply Officer: Receives, manages, and approves the execution of authorized funds on behalf of the organization to accomplish and execute assigned missions. Positions with equivalent responsibilities include Accountable Property Officer (APO), Supply Resource Manager, and Personal Property Manager (PPM).

Fund Holder: Responsible for approving fiscal obligations against an administrative subdivision of funds or an operating target, and for managing the use of such funds. Fund Holder responsibilities are typically inherent to the Supply Officer, APO, PPM, or Supply Resource Manager billet. In exceptional cases, Responsible Officers who serve as the final authorizing official for the execution of allocated funds without the approval of a Supply Officer, APO, or PPM may serve as a Fund Holder.

Government Commercial Purchase Card (GCPC) Program Approving Official: GCPC Approving Officials maintain oversight of the GCPC program within their organization, approve the execution of GCPC purchases, and certify GCPC statements for payment.



Chart 1 - Consumer Level Account DD 577 & DOA Structure



* There may be exceptional cases where ROs would act as the final requisition authority requiring them to have a DD Form 577. In these instances, the RO would have to have a supply structure established to include clerks performing requisitioning, fiscal and receiving functions.

Chart 2 - IMA DD 577 & DOA Structure

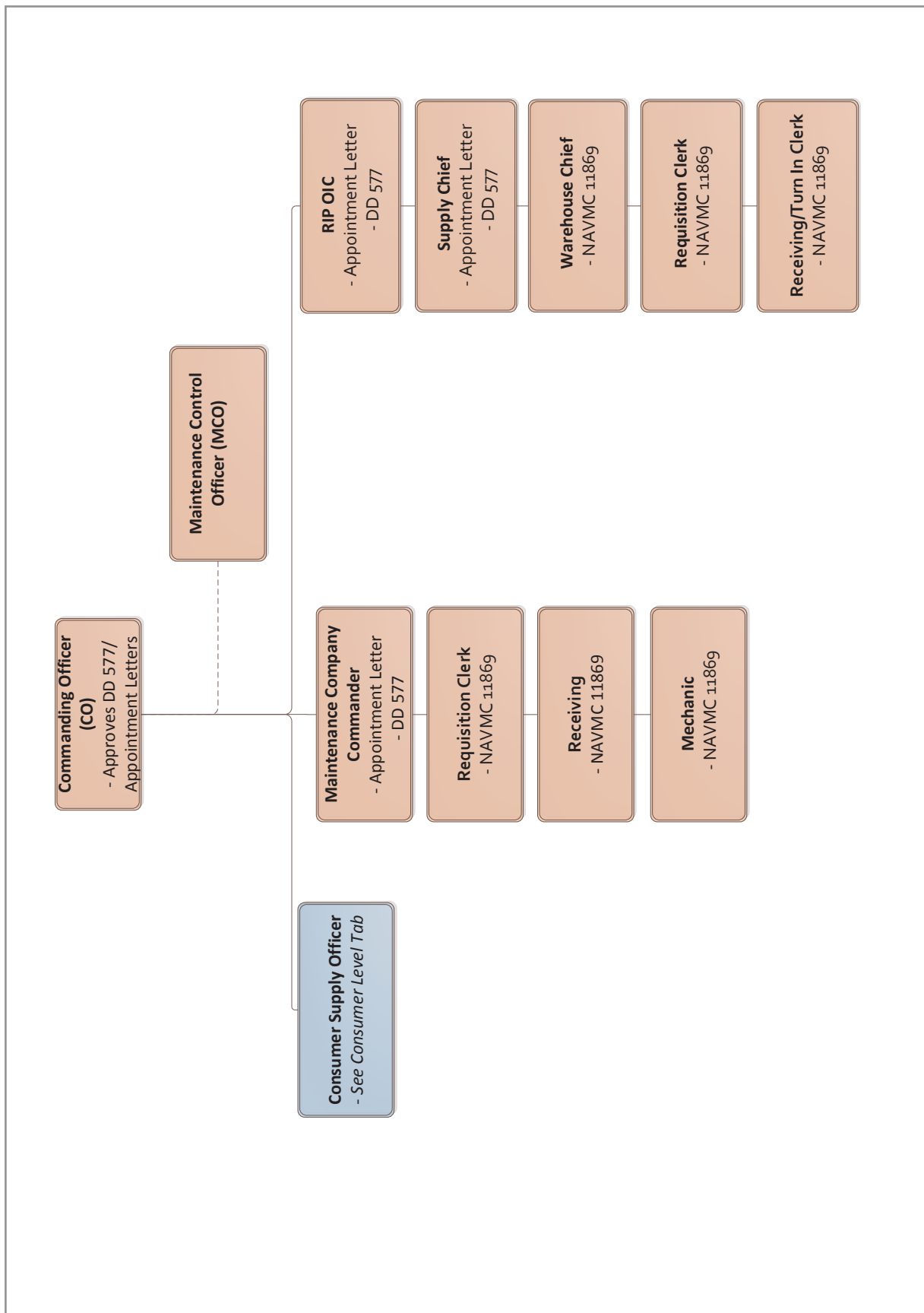
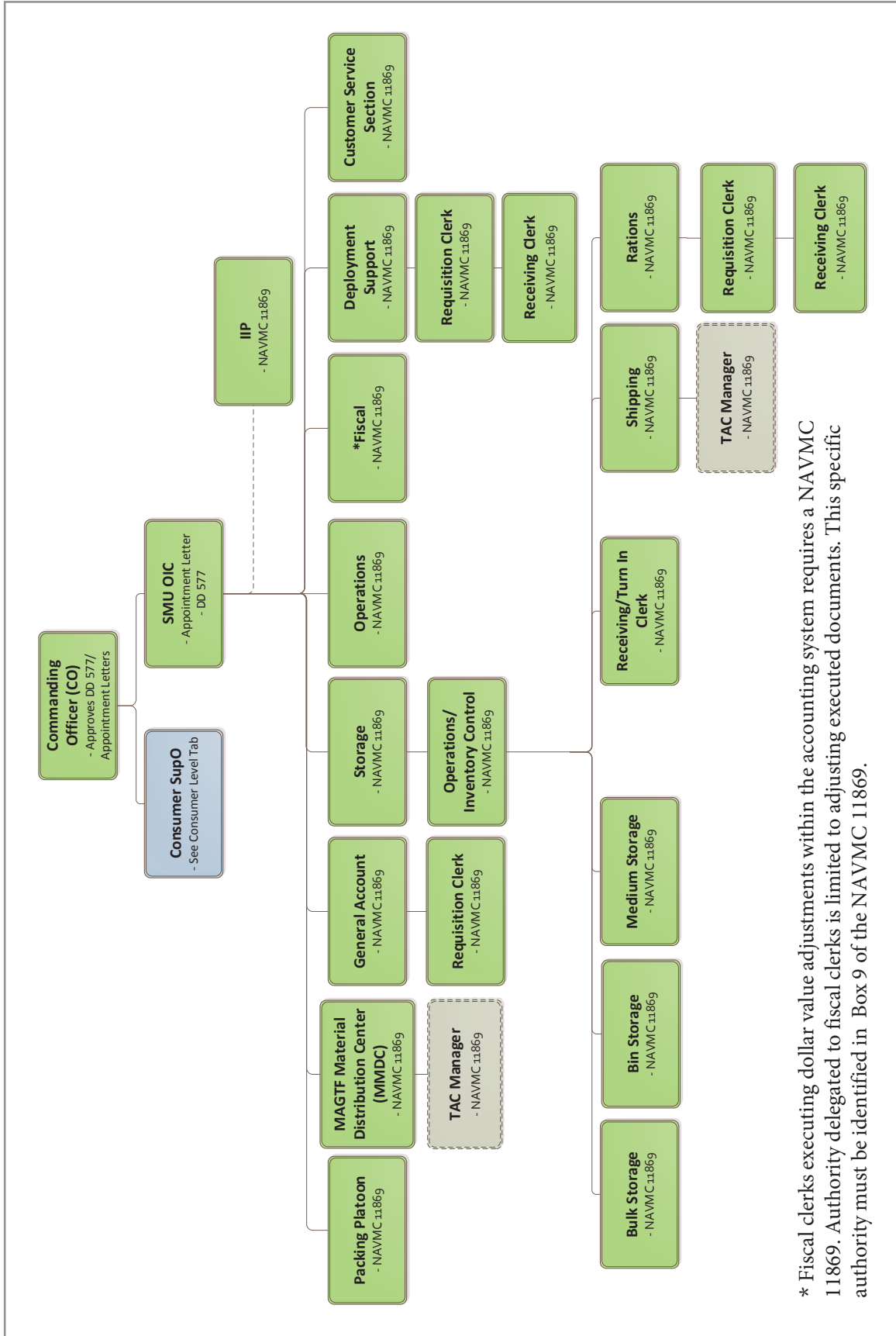


Chart 3 - SMU DD 577 & DOA Structure



* Fiscal clerks executing dollar value adjustments within the accounting system requires a NAVMC 11869. Authority delegated to fiscal clerks is limited to adjusting executed documents. This specific authority must be identified in Box 9 of the NAVMC 11869.

Enclosure 3 - Corrective Action Plan Instructions

The enclosures in the Supply Officer's Internal Controls Handbook have been designed to be straight forward and to assist the Commander and the Supply Officer in improving the command's audit readiness posture. The Commander and the unit's staff are encouraged to contact the ICART Team (Encl 8) with any questions in completing the checklist or any other document within the handbook.

The Supply Officer will complete the documents shown in enclosures 4, 5 and 6, and submit these to the Commander upon completion and review of the Audit Readiness Checklist. Completed examples are located in Enclosure 7.

The Corrective Action Plan (CAP) Certification Letter (Encl 4) will be completed by the Supply Officer and submitted to the Commanding Officer. This action will ensure that the Com-

mander has knowledge and visibility of the command's audit readiness posture.

The Supply Officer will develop a CAP Plan of Action and Milestones (POAM) (Encl 5) if corrective actions are not or cannot be completed within 45 days of the self-assessment date. The POAM will guide corrective action implementation and allow the Supply Officer and Commander to monitor audit readiness progress.

The Supply Officer will prepare the Corrective Action Completion Certification Letter (Encl 6) for the Commander's signature once all corrective actions annotated on the POAM have been completed. The signed Corrective Action Completion Certification should be retained on file for future reference. ■



Enclosure 4 - Corrective Action Plan Certification

Below is an example of the Corrective Action Plan Certification that should be submitted to the Commander, or to a higher authority as needed.

Corrective Action Plan Certification		1. Applicable Naval Message:
		2. Date of Naval Message:
3. Unit/DoDAAC:		
4. Deficiency		
5. Method of Evaluation (Use a or b. If "a" is selected, indicate source of checklist.)		
a. Checklist		b. Alternative Method: (Describe below)
6. Evaluation conducted by:		
a. Name (Last, First)		b. Date of evaluation:
7. Remarks: (Continue on reverse side or additional sheets)		
8. CERTIFICATION		
I certify that the attached corrective action plan has been reviewed and approved, and will be implemented to resolve the deficiencies noted above. I also certify that internal reviews are in place to monitor these implementation efforts. This certification statement, corrective action plan and any supporting documentation will be retained on file subject to audit/inspection until implementation of corrective actions has been verified.		
a. Commanding Officer/Accountable Officer		b. Date certified
(1) Name and title		
(2) Signature		

Enclosure 5 - Corrective Action POAM

Below is the Corrective Action Plan of Actions and Milestones (POAM) that should be submitted to the Commander, or to a higher authority as needed.

Detailed Corrective Action Plan Timeline:

Completed milestones:

Date	Description of actions completed

Planned milestones:

Date	Description of actions planned

Point of Contact:

Approver:

Unit/DoDAAC:


Enclosure 6 - Corrective Action Completion Certification

Below is the Corrective Action Completion Certification that should be submitted to the Commander, or to a higher authority as needed, upon completion of your Command's Corrective Action Plan.

Corrective Action Completion Certification		1. Applicable Naval Message DTG:
		2. Date of Naval Message:
3. Unit/DoDAAC:		
4. Deficiency		
5. Method of Evaluation (Use a or b. If "a" is selected, indicate source of checklist.)		
a. Checklist		b. Alternative Method: (Describe below)
6. Evaluation conducted by:		
a. Name (Last, First)		b. Date of evaluation:
7. Remarks: (Continue on reverse side or additional sheets)		
8. CERTIFICATION		
I certify that corrective action has been completed to resolve the deficiencies noted above. I also certify that the key management controls of this function have been evaluated and are in place and operating effectively. The corrective actions taken are described above and supporting documents are attached. This certification statement and any supporting documentation will be retained on file subject to audit/inspection until superseded by a subsequent management control evaluation.		
a. Commanding Officer/Accountable Officer		b. Date certified
(1) Name and title		
(2) Signature		

Enclosure 7 - Completed Corrective Action Form Examples

Below is an example of a completed Corrective Action Plan Certification.

Corrective Action Plan Certification		1. Applicable Naval Message: DTG 131934Z
		2. Date of Naval Message: December 2013
3. Unit/DoDAAC: USMC-11MARINE107		
4. Deficiency We are unable to positively locate 14 of 15 items on the MSAG CMR. They were created in 2010 prior to GCSS-MC cutover.		
5. Method of Evaluation (Use a or b. If "a" is selected, indicate source of checklist.)		
a. Checklist	b. Alternative Method: (Describe below)	
	Record's causative research.	
6. Evaluation conducted by:		
a. Name (Last, First) MARINE, IAM	b. Date of evaluation: 20 February 2014	
7. Remarks: (Continue on reverse side or additional sheets)		
<p>The proper corrective action is to induct fourteen(14) D9Z transactions for the MSAG 41 CMR to reflect the proper number of items on hand. This transaction will have to be approved by the Accountable Officer for our DODAAC who is currently in Japan. Per MCO 4400.150, all MVGL transactions are to be approved by the CO or the acting CO. In the absence of the AO, these transactions will need to be executed upon her return on or about 1 March 2014.</p>		
8. CERTIFICATION		
I certify that the attached CAP has been reviewed and approved, and will be implemented to resolve the deficiencies noted above. In addition, internal reviews are in place to monitor its implementation. This certification statement, CAP and any supporting documentation will be retained on file subject to audit/inspection until implementation of corrective actions have been verified.		
a. Commanding Officer/Accountable Officer		b. Date certified 3 March 2014
(1) Name and title John Doe, by direction		
(2) Signature 		

Below is an example of a completed Corrective Action Plan of Actions and Milestones form.

Detailed Corrective Action Plan Timeline:

Completed milestones:

Date	Description of actions completed
2014 Mar 1	Causative research conducted. Issuing DD 3346-1A unavailable due to the 2 year file retention period for 14 out of the 15 items on the CMR and transactions being processed in calendar year 2010. The additional item is part of a Float Block from 2010.

Planned milestones:


Date	Description of actions planned
2014 Mar 28	Create adjustment records to remove unidentifiable items.
2014 Apr 06	Receive CO determination of adjustment letter.
2014 Apr 07	If no investigation inducted, keypunch D9Z transactions.
2014 Apr 09	If no investigation present MVGL Notices for CO signature.

Point of Contact: IAM MARINE

Approver: John Doe

Unit/Do:

Below is an example of a completed Corrective Action Completion Certification.

Corrective Action Completion Certification		1. Applicable Naval Message DTG: DTG 131934Z
		2. Date of Naval Message: December 2013
3. Unit/DoDAAC: USMC-11MARINE107		
4. Deficiency We couldn't locate 14 of 15 items on the MSAG CMR.		
5. Method of Evaluation (Use a or b. If "a" is selected, indicate source of checklist.)		
a. Checklist	b. Alternative Method: (Describe below)	
	Record's causative research.	
6. Evaluation conducted by:		
a. Name (Last, First) FIGHT, FIRST	b. Date of evaluation: 28 Apr 2014	
7. Remarks: (Continue on reverse side or additional sheets) Please see next page for comments.		
8. CERTIFICATION		
I certify that corrective action has been completed to resolve the deficiencies noted above. I also certify that the key management controls of this function have been evaluated and are in place and operating effectively. The corrective actions taken are described above and supporting documents are attached. This certification statement and any supporting documentation will be retained on file subject to audit/inspection until superseded by a subsequent management control evaluation.		
a. Commanding Officer/Accountable Officer		b. Date certified 29 Apr 2014
(1) Name and title Doe, Jane		
(2) Signature 		

Enclosure 8 - References

Reference		Link
DLM 4000.25	Defense Logistics Management System (DLMS) Manual	http://www2.dla.mil/j-6/dlms/elibrary/manuals/dlm/dlm_pubs.asp
DLM 4000.25-1	DLMS Manual Volume 1, Concepts and Procedures	http://www2.dla.mil/j-6/dlms/elibrary/manuals/dlm/dlm_pubs.asp
DLM 4000.25-2	DLMS Manual Volume 2, Supply Standards and Procedures	http://www2.dla.mil/j-6/dlms/elibrary/manuals/dlm/dlm_pubs.asp
DoD FMR 7000.14-R	DoD Financial Management Regulation	http://comptroller.defense.gov/fmr.aspx
DoDI 5000.64	Accountability and Management of DoD Equipment and Other Accountable Property	http://www.dtic.mil/whs/directives/corres/pdf/500064p.pdf
DoDI 5010.40	Managers' Internal Control Program Procedures	http://www.dtic.mil/whs/directives/corres/pdf/501040p.pdf
DoDM 4140.01	DoD Supply Chain Materiel Management Procedures: Operational Requirements	http://www.dtic.mil/whs/directives/corres/pdf/414001m/414001m_vol01.pdf
FIAR Guidance	Financial Improvement and Audit Readiness Guidance	http://comptroller.defense.gov/Portals/45/documents/fiar/fiar_guidance.pdf
MCO 4400.150	Consumer Level Supply Policy	http://www.marines.mil/News/Publications/ELECTRONICLIBRARY/ElectronicLibraryDisplay/tabid/13082/Article/158169/mco-4400150-prelim.aspx
MCO 4400.16H	Uniform Materiel Movement and Issue Priority System	http://www.marines.mil/Portals/59/Publications/MCO%204400.16H.pdf
MCO 5200.24D	Marine Corps Managers' Internal Control (MCMIC) Program	http://www.hqmc.marines.mil/Portals/137/Docs/AR%20Fiscal/MCO%205200.24D_MCMIC%20Program.pdf
MCO 7300.21A	Marine Corps Financial Management Standard Operating Procedure Manual	http://www.hqmc.marines.mil/Portals/137/Docs/AR%20Fiscal/MCO%207300.21A.pdf
MCO 8015.3A	Marine Corps Flass V (W) Physical Inventory Control Program	http://www.marines.mil/Portals/59/Publications/MCO%208015_3A.pdf
MCO P4400.151B	Intermediate-Level Supply Management Policy Manual	http://www.marines.mil/News/Publications/ELECTRONICLIBRARY/ElectronicLibraryDisplay/tabid/13082/Article/126682/mco-p4400151b-wch-1-2.aspx
OMB A-123	Management's Responsibility for Internal Control	http://www.whitehouse.gov/omb/circulars_a123_rev

Enclosure 9 - Internal Controls & Audit Readiness POCs

Billet	Name	Phone	Email
Head	Mr. Samuel Perez	571-256-7113	samuel.perez1@usmc.mil
SNCOIC	MGySgt Veronica Johnson	571-256-7185	veronica.johnson@usmc.mil
OpsSo	Mr. Chris Grooms	540-645-7828	cgrooms@columbiagroup.com
Audit Liaison	Ms. Patty Martinez	571-256-7190	patty.martinez.ctr@usmc.mil
Audit Liaison	Ms. Allison Gervasio	571-256-2721	allison.gervasio.ctr@usmc.mil
Data Lead	Mr. Brent Christie	703-291-6433	bchristie@columbiagroup.com
GFP/EOPR Lead	Mr. Joseph Nave	843-343-6366	jnave@KPMG.com
ME/MEV Lead	Mr. Joseph Nave	843-343-6366	jnave@KPMG.com
MILSTRIP Lead	Mr. Conrad Symber	732-397-8925	conrad.symber@morganfranklin.com
OM&S Lead	Mr. Matthew Hunt	434-774-7930	matthew.hunt@morganfranklin.com
Policy Lead	Mr. Brad McNamara	540-760-2131	brad.mcnamara1.ctr@usmc.mil
StratComm Lead	Ms. Allison Kennedy	571-256-7100	akennedy@columbiagroup.com

Enclosure 10 - FSMAO POCs

Billet	Phone	Email
HQMC		
FSMAO Coordinator	571-256-7185	
FSMAO East		
OIC	910-450-1201	
AOIC	910-450-1207	
Operations Officer	910-450-0382	
FIAR POC	910-450-0531	
FSMAO West		
OIC	760-763-9879	
AOIC	760-763-9877	
Operations Officer	760-763-9876	
FIAR POC	760-763-9885	
FSMAO Pac		
OIC	DSN 315-645-7267	
AOIC	DSN 315-645-7262	
Operations Officer	DSN 315-645-0155	
FIAR POC	DSN 315-645-9226	

Enclosure 11 - Sustainment, Education and Training Links

Course	Category	Link
Fiscal Law	Fiscal	http://www.finance.hq.navy.mil/fmc/Pep_Training.asp
Budget Execution	Fiscal	http://www.finance.hq.navy.mil/fmc/Pep_Training.asp
Foundations of Government Property (CLM039) Course	Property Control	http://icatalog.dau.mil/onlinecatalog/tabnavcl.aspx?tab=CLM
Fiscal and Physical Accountability and Management of DoD Equipment (CLM047) Course	Property Control	http://icatalog.dau.mil/onlinecatalog/tabnavcl.aspx?tab=CLM
Proper Financial Treatment for Military Equipment (PFAT4ME) (CLM040) Course	Property Control	http://icatalog.dau.mil/onlinecatalog/tabnavcl.aspx?tab=CLM
Audit Readiness Requirements for DoD Equipment (CLM048) Online Course	Property Control	http://icatalog.dau.mil/onlinecatalog/tabnavcl.aspx?tab=CLM
Physical Inventories (CLM037) Course	Property Control	http://icatalog.dau.mil/onlinecatalog/tabnavcl.aspx?tab=CLM





Enclosure 12 - Audit Support Handbook (ME & OMS) - Key Supporting Documents (KSDs)



contents

Background and Purpose ...	38
12.1 - SF26: Award/Contract	39
12.2 - Contracting Officer Appointment/Warrant Eligibility Transfer/ Term Request	41
12.3 - DD Form 448: Military Interdepartmental Purchase Request (MIPR)	45
12.4 - SF110s: U.S. Government Bill of Lading (GBL)	47
12.5 - DD Form 250: Material Inspection and Receiving Report (MIRR)	51
12.6 - DD Form 1348-1A: Issue Release/Receipt Document	54
12.7 - DD Form 1149: Requisition and Invoice/Shipping Document	57
12.8 - DD Form 1662: DoD Property in the Custody of Contractors	61

12.9 - Mechanized Allowance List (MAL)	63
12.10 - Consolidated Memorandum of Receipt (CMR)	65
12.11 - Physical Inventory Count Report/Sheet	68
12.12 - Responsible Officer (RO) Appointment Letter	71
12.13 - Responsible Officer (RO) Appointment Acceptance Letter	74
12.14 - Supply Officer (SupO) Appointment Letter	76
12.15 - Supply Officer (SupO) Appointment Acceptance Letter	79
12.16 - DD Form 577 Appointment/Termination Record-Authorized Signature	81
12.17 - Annual Physical Inventory Results Certification	84
12.18 - Annual Physical Inventory Results Spreadsheet....	88
12.19 - Commander's Annual Physical Inventory Certification	90
12.20 - NAVMC 11869: Notice of Delegation of Authority	92
12.21 - WAWF Receiving/Acceptance Report	94
12.22 - NAVMC 604 / 604B: Combined Individual Clothing Requisition and Issue Slip	99
12.23 - Money Value Loss / Gain Notice	102
Appendix A - List of Acronyms / Abbreviations	104
Appendix B - KSD Completion Instructions	106
Appendix C - Tier 2 KSDs	147

Background and Purpose

BACKGROUND

In October 2011, the Secretary of Defense (SecDef) issued a memorandum directing the military departments to achieve full audit readiness for all Department of Defense (DoD) financial statements by 2017. He explained that certain elements were necessary in meeting this goal which included: a detailed plan, sufficient resources to execute the plan, and senior leaders' awareness, support and sponsorship. In addition, he stressed the corporate value of financial auditability: "strengthening controls over our business processes [will increase] the accuracy of financial data which enables informed business decisions."

The Marine Corps is taking steps to ensure its information is timely, accurate, and relevant and consistently auditable. To achieve this, the Marine Corps has created a Financial Improvement Plan (FIP) to reach audit readiness. Its FIP aligns with the Office of the Under Secretary of Defense (Comptroller) (OUSD (C))'s Financial Improvement and Audit Readiness (FIAR) Plan to improve financial management, prioritize improvement activities, strengthen internal controls, and ultimately achieve auditability.

Each phase of the asset life cycle must be supported by appropriate key supporting documentation to support management's assertions.

Procurement, Receipt and Acceptance

Contracts, invoices, and receiving reports (i.e., DD Form 250s, DD Form 1348s, DD Form 1149s) support an organization's rights and obligations to an asset as well as acquisition costs (valuation) in the procurement, receipt, and acceptance phase.

Continual Management

Periodic physical inventory counts along with inventory count sheets support the Existence and

Completeness (E&C) of assets during the Continual Management phase.

Issuance, Transfers and Disposals

During the Issuances and Transfers and Disposal phase documents such as the DD Form 250, DD Form 1348, and DD Form 1149 support that assets were appropriately removed from the Accountable Property System of Record (APSR).

PURPOSE

This handbook is intended to improve awareness on audit readiness among Marine Corps organizational units and activities, while providing specific information on ME and OM&S Key Supporting Documentation (KSD). These documents support the internal control requirements of OMB A-123 and financial reporting objectives of OMB A-136 Revised.

The handbook is a tool for Marine Corps organizational units and activities to evaluate KSDs to ensure key attributes are recorded on the supporting documentation. In addition, its use will help ensure necessary procedures are performed through all phases of the ME and OM&S life cycle (i.e., contract award, receipt, acceptance, maintenance, transfer, disposal), in order to strengthen internal controls around ME and OM&S accountability. As the Corps' ME and OM&S business processes improve and discovery efforts are completed across the organization, additional KSDs supporting management's assertions and financial reporting objectives will be included in this handbook.

United States Marine Corps (USMC)
Key Supporting Documentation (KSD) Checklist

Please check whether the following elements are adequately addressed in the Key Supporting Documentation (KSD) and make comments, if necessary. For detailed instructions, see page 101.

12.1 - SF26s: Award Contract

1. KSD: SF26s: Award Contract	Yes	No	N/A	Comments
A1. Does the contract number on the Award/Contract agree to the contract number listed on the GBL and/or DD Form 250?				
B1. Is the Contract Effective Date recorded in the contract?				
C1. Is the Requisition/Purchase Request/Project Number recorded in the contract?				
D1. Is the party responsible for issuing the contract identified in the contract?				
E1. Is the contractor/ vendor (name and address) recorded on the contract?				
F1. Is the Accounting and Appropriation Data recorded on the Contract?				
G1. Is the Item Number, Supplies/Services (description), Quantity, Unit, Unit Price, Amount and Total Amount of the contract recorded on the contract?				
H1. Is the contractor's/ vendor's representative name/ title, signature and date recorded on the contract?				
I1. Is the Contracting Officer's name, signature and date recorded on the contract and does the Contracting Officer have a valid warrant?				

Preparer

Title: _____

Printed Name: _____

Signature: _____

Date: _____

Reviewer

Title: _____

Printed Name: _____

Signature: _____

Date: _____

Example: SF26, Award Contract

AWARD/CONTRACT		1. THIS CONTRACT IS A RATED ORDER UNDER DPAS (15 CFR 700)		RATING	PAGE OF PAGES		
2. CONTRACT (Proc. Inst. Ident.) NO. A1.		3. EFFECTIVE DATE B1.		4. REQUISITION/PURCHASE REQUEST/PROJECT NO. C1.			
5. ISSUED BY D1.		6. ADMINISTERED BY (If other than Item 5)					
7. NAME AND ADDRESS OF CONTRACTOR (No., street, county, State and ZIP Code) E1.		8. DELIVERY <input type="checkbox"/> FOB ORIGIN <input type="checkbox"/> OTHER (See below)		9. DISCOUNT FOR PROMPT PAYMENT			
10. SUBMIT INVOICES (4 copies unless otherwise specified) TO THE ADDRESS SHOWN IN		11. SHIP TO/MARK FOR		12. PAYMENT WILL BE MADE BY			
13. AUTHORITY FOR USING OTHER THAN FULL AND OPEN COMPETITION: <input type="checkbox"/> 10 U.S.C. 2304(c)() <input type="checkbox"/> 41 U.S.C. 3304(a)()		14. ACCOUNTING AND APPROPRIATION DATA F1.					
15A. ITEM NO.	15B. SUPPLIES/SERVICES	15C. QUANTITY	15D. UNIT	15E. UNIT PRICE	15F. AMOUNT		
G1.	G1.	G1.	G1.	G1.	G1.		
15G. TOTAL AMOUNT OF CONTRACT					\$ G1.		
16. TABLE OF CONTENTS							
(X)	SEC.	DESCRIPTION	PAGE(S)	(X)	SEC.	DESCRIPTION	PAGE(S)
PART I - THE SCHEDULE				PART II - CONTRACT CLAUSES			
	A	SOLICITATION/CONTRACT FORM			I	CONTRACT CLAUSES	
	B	SUPPLIES OR SERVICES AND PRICES/COSTS		PART III - LIST OF DOCUMENTS, EXHIBITS AND OTHER ATTACH.			
	C	DESCRIPTION/SPECS./WORK STATEMENT			J	LIST OF ATTACHMENTS	
	D	PACKAGING AND MARKING		PART IV - REPRESENTATIONS AND INSTRUCTIONS			
	E	INSPECTION AND ACCEPTANCE			K	REPRESENTATIONS, CERTIFICATIONS AND OTHER STATEMENTS OF OFFERORS	
	F	DELIVERIES OR PERFORMANCE			L	INSTRS., CONDS., AND NOTICES TO OFFERORS	
	G	CONTRACT ADMINISTRATION DATA			M	EVALUATION FACTORS FOR AWARD	
	H	SPECIAL CONTRACT REQUIREMENTS					
<i>CONTRACTING OFFICER WILL COMPLETE ITEM 17 (SEALED-BID OR NEGOTIATED PROCUREMENT) OR 18 (SEALED-BID PROCUREMENT) AS APPLICABLE</i>							
17. <input type="checkbox"/> CONTRACTOR'S NEGOTIATED AGREEMENT (Contractor is required to sign this document and return _____ copies to issuing office.) Contractor agrees to furnish and deliver all items or perform all the services set forth or otherwise identified above and on any continuation sheets for the consideration stated herein. The rights and obligations of the parties to this contract shall be subject to and governed by the following documents: (a) this award/contract, (b) the solicitation, if any, and (c) such provisions, representations, certifications, and specifications, as are attached or incorporated by reference herein. (Attachments are listed herein.)				18. <input type="checkbox"/> SEALED-BID AWARD (Contractor is not required to sign this document.) Your bid on Solicitation Number _____ including the additions or changes made by you which additions or changes are set forth in full above, is hereby accepted as to the terms listed above and on any continuation sheets. This award consummates the contract which consists of the following documents: (a) the Government's solicitation and your bid, and (b) this award/contract. No further contractual document is necessary. (Block 18 should be checked only when awarding a sealed-bid contract.)			
19A. NAME AND TITLE OF SIGNER (Type or Print) H1.				20A. NAME OF CONTRACTING OFFICER I1.			
19B. NAME OF CONTRACTOR H1.		19C. DATE SIGNED H1.		20B. UNITED STATES OF AMERICA I1.		20C. DATE SIGNED I1.	
BY _____ (Signature of person authorized to sign)				BY _____ (Signature of Contracting Officer)			
AUTHORIZED FOR LOCAL REPRODUCTION Previous edition is NOT usable				STANDARD FORM 26 (REV. 3/2013) Prescribed by GSA - FAR (48 CFR) 53.214(a)			

United States Marine Corps (USMC)
Key Supporting Documentation (KSD) Checklist

Please check whether the following elements are adequately addressed in the Key Supporting Documentation (KSD) and make comments, if necessary.

12.2 - Contracting Officer Appointment/ Warrant Eligibility Transfer/ Termination Request

2. KSD: Contracting Officer Appointment/Warrant Eligibility Transfer/Termination Request	Yes	No	N/A	Comments
A2. Is the date recorded on the Contracting Officer Appointment/Warrant Eligibility Transfer/Termination Request?				
B2. Does the Contracting Officer Appointment/Warrant Eligibility Transfer/Termination Request identify the appointing authority?				
C2. Does the Contracting Officer Appointment/Warrant Eligibility Transfer/Termination Request identify the Contracting Officer's immediate supervisor?				
D2. Are the appropriate fields marked on the Contracting Officer Appointment/Warrant Eligibility Transfer/Termination Request to identify the type of designation requested?				
E2. Is the Contracting Officer's name, grade, job title, signature and date recorded on the Contracting Officer Appointment/Warrant Eligibility Transfer/Termination Request?				
F2. Are the name, date, title, signatures and approvals of the approving/reviewing officials recorded on the Contracting Officer Appointment/Warrant Eligibility Transfer/Termination Request?				

Preparer

Title: _____

Printed Name: _____

Signature: _____

Date: _____

Reviewer

Title: _____

Printed Name: _____

Signature: _____

Date: _____

Example: Contracting Officer Appointment/ Warrant Eligibility Transfer/ Termination Request

page 1

Contracting Officer (CO) Appointment / Warrant Eligibility Transfer / Termination Request					DATE (A2)	
<small> PRIVACY ACT STATEMENT: Title 10 USC 8013; Title 10 USC, Subtitle A, Chapter 87; FAR 1.602. PRINCIPLE PURPOSE: Submission of information and records necessary to support the appointment of contracting officers, establish warrant eligibility transfers and facilitate termination or reinstatements of contracting officer warrants. ROUTINE USES: None. DISCLOSURE IS VOLUNTARY: Evaluation of an individual for appointment of Contracting Officer cannot be properly completed if appropriate information is not provided. Failure to provide the information may result in the inability to determine qualifications. </small>						
TO (APPOINTING AUTHORITY) (B2)			FROM (CANDIDATE'S IMMEDIATE SUPERVISOR) (C1)			
TYPE DESIGNATION REQUESTED						
<input type="checkbox"/> (D2) UNLIMITED		<input type="checkbox"/> (D2) LIMITED (Specify all limitations in Justification for Warrant block on page 2)		CHECK ALL THAT APPLY: <input type="checkbox"/> New appointment; <input type="checkbox"/> Warrant Reinstatement; (D2) <input type="checkbox"/> Warrant Eligibility Transfer; <input type="checkbox"/> Warrant Termination; <input type="checkbox"/> Procuring Contracting Officer (PCO); <input type="checkbox"/> Termination Contracting Officer (TCO); <input type="checkbox"/> Administrative Contracting Officer (ACO)		
IDENTIFICATION AND PERSONAL DATA						
CANDIDATE NAME (Last, First, Middle Initial) (E2)				GRADE/DESIGNATION/SERIES (Mil/Civ/Local National) (E2)		
CURRENT JOB TITLE / OFFICE SYMBOL (E2)			REQUIRES SPECIAL ACCOMMODATION FOR WARRANT TEST? (SPECIFY)			
LENGTH OF SERVICE (Military or Civilian)		LENGTH OF GOVERNMENT CONTRACTING EXPERIENCE		LENGTH OF CONTRACTING EXPERIENCE OTHER THAN GOVERNMENT		
YEARS	MONTHS	MILITARY (YEARS/MONTHS)	CIVILIAN (YEARS/MONTHS)	YEARS	MONTHS	
ACQUISITION CERTIFICATION <small>(Attach Civilian Career Brief/Single Unit Retrieval and Format (SURF) for military candidate, or copies of Certificate(s))</small>						
CONTRACTING		DATE CERTIFIED		OTHER		DATE CERTIFIED
LEVEL I				LEVEL I		
LEVEL II				LEVEL II		
LEVEL III				LEVEL III		
PREVIOUSLY HELD WARRANTS (Last three only - if none, so indicate)						
WARRANT TYPE (PCO, ACO, TCO, CCO)	LIMITED/UNLIMITED/FUNCTIONAL (Include Dollar Amount, if applicable)		WARRANT ISSUING ORGANIZATION		PERIOD WARRANT HELD (From - To)	
RESUME OF EXPERIENCE <small>(Start with present position and work back not more than 10 years or attach resume, and current Civilian Career Brief for civilian candidate or SURF for military candidate)</small>						
ORGANIZATION/OFFICE AND LOCATION		DATES (From - To)			POSITION TITLE	

Example: Contracting Officer Appointment/ Warrant Eligibility Transfer/ Termination Request

page 2

MOST RECENT ACQUISITION-RELATED TRAINING (Other than APDP Required Training) (May attach Civilian Career Brief/SURF and/or ACQ NOW Transcript)			
DATE COMPLETED	COURSE NUMBER / TITLE	DATE COMPLETED	COURSE NUMBER / TITLE
FORMAL EDUCATION (May attach Civilian Career Brief/SURF)			
RECEIVED A BACCALAUREATE DEGREE FROM AN ACCREDITED EDUCATIONAL INSTITUTION? <input type="checkbox"/> YES <input type="checkbox"/> NO (Specify exception)		IF YES, YEAR OF GRADUATION	COMPLETED AT LEAST 24 SEMESTER HOURS IN BUSINESS? <input type="checkbox"/> YES <input type="checkbox"/> NO (Not applicable if warrant for less than Simplified Acquisition Threshold)
NAME OF SCHOOL		SUBJECT MAJORED IN	DEGREE EARNED, IF ANY
DATE F2.	TYPED NAME OF CANDIDATE E2.	SIGNATURE OF CANDIDATE E2.	
JUSTIFICATION FOR WARRANT (TO BE COMPLETED BY REQUESTING OFFICIAL)			
<ol style="list-style-type: none"> 1. Programs/workload to be covered by the appointment and number of buyers the CO will be responsible for (if applicable): 2. Recommended limitations of authority to be placed on the warrant (if none, so state): 3. Indicate if the proposed warrant is necessary due to expanded workload, or replacement of another CO (include name of CO being replaced): 4. Total number of personnel within the organization: 5. Number of warranted personnel by type of warrant currently held within the organization (e.g., Squadron/Flight/Branch): 6. Impact if warrant is denied: 			
I certify that the information contained herein has been verified against this candidate's personnel file and that this candidate is qualified to be considered for appointment.			
DATE F2.	TYPED NAME, RANK, TITLE OF REQUESTING OFFICIAL (e.g., CANDIDATE'S SPONSOR, IMMEDIATE SUPERVISOR) F2.	SIGNATURE OF REQUESTING OFFICIAL F2.	
DATE F2.	TYPED NAME, RANK, TITLE OF REVIEWING OFFICIAL (DESIGNATED FOCAL POINT) F2.	SIGNATURE OF REVIEWING OFFICIAL F2.	
DATE F2.	TYPED NAME, RANK, TITLE OF ADDITIONAL REVIEWING/ENDORING OFFICIAL (IF USED BY MAJCOM/DRU) F2.	SIGNATURE OF REVIEWING/ENDORING OFFICIAL F2.	
DATE CANDIDATE PASSED CO WARRANT TEST F2.		DATE OF WARRANT BOARD (if applicable)	
<input type="checkbox"/> APPROVED FOR APPOINTMENT Remarks, if any:		<input type="checkbox"/> DISAPPROVED Remarks:	
DATE F2.	TYPED NAME, RANK, TITLE OF APPOINTING OFFICIAL F2.	SIGNATURE OF APPOINTING OFFICIAL F2.	
APPOINTMENT NUMBER ASSIGNED ON SF1402		DATE OF APPOINTMENT ON SF1402	

Example: Contracting Officer Appointment/Warrant Eligibility Transfer/ Termination Request

page 3

TERMINATION OF APPOINTMENT		
REASON FOR TERMINATION: FOR CAUSE (EXPLAIN—requires SCO/SCCO signature)		
EMPLOYMENT TERMINATED		
REASSIGNMENT		
DATE	TYPED NAME, RANK, TITLE OF TERMINATION OFFICIAL	SIGNATURE OF TERMINATION OFFICIAL
WARRANT ELIGIBILITY TRANSFER 1		
ELIGIBILITY TRANSFER TO (GAINING SCO/SCCO):		
LOSING SCO/SCCO or DESIGNEE COMMENTS / RECOMMENDATION:		
DATE	TYPED NAME, RANK, TITLE OF LOSING SCO/SCCO OR DESIGNEE	SIGNATURE OF LOSING SCO/SCCO OR DESIGNEE
<input type="checkbox"/> APPROVED Remarks, if any: <input type="checkbox"/> WARRANT NOT REQUIRED Remarks:		
TYPED NAME, RANK, TITLE OF GAINING APPOINTING OFFICIAL (SCCO/SCO or designee)		SIGNATURE OF GAINING APPOINTING OFFICIAL
APPOINTMENT NUMBER ASSIGNED ON SF1402		DATE OF APPOINTMENT ON SF1402
WARRANT ELIGIBILITY TRANSFER 2		
ELIGIBILITY TRANSFER TO (GAINING SCO/SCCO):		
LOSING SCO/SCCO or DESIGNEE COMMENTS / RECOMMENDATION:		
DATE	TYPED NAME, RANK, TITLE OF LOSING SCO/SCCO OR DESIGNEE	SIGNATURE OF LOSING SCO/SCCO OR DESIGNEE
<input type="checkbox"/> APPROVED Remarks, if any: <input type="checkbox"/> WARRANT NOT REQUIRED Remarks:		
TYPED NAME, RANK, TITLE OF GAINING APPOINTING OFFICIAL (SCCO/SCO or designee)		SIGNATURE OF GAINING APPOINTING OFFICIAL
APPOINTMENT NUMBER ASSIGNED ON SF1402		DATE OF APPOINTMENT ON SF1402

United States Marine Corps (USMC)
Key Supporting Documentation (KSD) Checklist

Please check whether the following elements are adequately addressed in the Key Supporting Documentation (KSD) and make comments, if necessary. For detailed instructions, see page 102.

12.3 - DD Form 448: Military Interdepartmental Purchase Request (MIPR)

3. KSD: DD Form 448: Military Interdepartmental Purchase Request (MIPR)	Yes	No	N/A	Comments
A3. Is the date the form is prepared recorded on the MIPR DD Form 448?				
B3. Is the MIPR number recorded on the MIPR DD Form 448?				
C3. Is the "To" field (i.e., requesting agency name, address) recorded on the MIPR DD Form 448?				
D3. Is the "From" field (i.e., originating agency name, address and phone number) recorded on the MIPR DD Form 448?				
E3. Is the item number, description (NSN, nomenclature, specification and/or drawing number), quantity, unit, estimated unit price, estimated total price and grand total recorded on the MIPR DD Form 448?				
F3. Is the Paying Office Department of Defense Activity Address Directory (DoDAAD) recorded on the MIPR DD Form 448?				
G3. Is the Authorizing Officer's name, title, signature and date recorded on the MIPR DD Form 448?				

Preparer

Title: _____

Printed Name: _____

Signature: _____

Date: _____

Reviewer

Title: _____

Printed Name: _____

Signature: _____

Date: _____

Example: DD Form 448: Military Interdepartmental Purchase Request (MIPR)

MILITARY INTERDEPARTMENTAL PURCHASE REQUEST						1. PAGE 1 OF _____ PAGES
2. FSC	3. CONTROL SYMBOL NO.	4. DATE PREPARED A3.	5. MIPR NUMBER E3.		6. AMEND NO.	
7. TO: C3.			8. FROM: <i>(Agency, name, telephone number of originator)</i> D3.			
9. ITEMS <input type="checkbox"/> ARE <input type="checkbox"/> ARE NOT INCLUDED IN THE INTERSERVICE SUPPLY SUPPORT PROGRAM AND REQUIRED INTERSERVICE SCREENING <input type="checkbox"/> HAS <input type="checkbox"/> HAS NOT BEEN ACCOMPLISHED.						
ITEM NO. E3.	DESCRIPTION E3. <small>(Federal stock number, nomenclature, specification and/or drawing No., etc.)</small> b	QTY E3.	UNIT E3.	ESTIMATED UNIT PRICE E3. e	ESTIMATED TOTAL PRICE E3. f	
					\$0.00	
					\$0.00	
					\$0.00	
					\$0.00	
					\$0.00	
					\$0.00	
					\$0.00	
					\$0.00	
					\$0.00	
					\$0.00	
					\$0.00	
					\$0.00	
					\$0.00	
					\$0.00	
					\$0.00	
					\$0.00	
					\$0.00	
					\$0.00	
10. SEE ATTACHED PAGES FOR DELIVERY SCHEDULES, PRESERVATION AND PACKAGING INSTRUCTIONS, SHIPPING INSTRUCTIONS AND INSTRUCTIONS FOR DISTRIBUTION OF CONTRACTS AND RELATED DOCUMENTS.					11. GRAND TOTAL E3. \$0.00	
12. TRANSPORTATION ALLOTMENT <i>(Used if FOB Contractor's plant)</i>			13. MAIL INVOICES TO <i>(Payment will be made by)</i> F3. PAY OFFICE DODAAD			
14. FUNDS FOR PROCUREMENT ARE PROPERLY CHARGEABLE TO THE ALLOTMENTS SET FORTH BELOW, THE AVAILABLE BALANCES OF WHICH ARE SUFFICIENT TO COVER THE ESTIMATED TOTAL PRICE.						
ACRN	APPROPRIATION	LIMIT/SUBHEAD	SUPPLEMENTAL ACCOUNTING CLASSIFICATION	ACCTG STA DODAAD	AMOUNT	
15. AUTHORIZING OFFICER <i>(Type name and title)</i> G3.			16. SIGNATURE G3.		17. DATE G3.	

DD Form 448, JUN 72 (EG)

PREVIOUS EDITION IS OBSOLETE.

Reset

United States Marine Corps (USMC)
Key Supporting Documentation (KSD) Checklist

Please check whether the following elements are adequately addressed in the Key Supporting Documentation (KSD) and make comments, if necessary. For detailed instructions, see page 105.

12.4 - SF1103: U.S. Government Bill of Lading (GBL)

4. KSD: SF1103: U.S. Government Bill of Lading (GBL)	Yes	No	N/A	Comments
A4. Does the Bill of Lading Number on the GBL SF1103 agree to the Bill of Lading Number on the DD Form 250 and/or DD Form 1149?				
B4. Is the date the Bill of Lading was prepared recorded on the GBL SF1103?				
C4. Is the "Destination" (i.e., USMC name, address) recorded on the GBL SF1103?				
D4. Is the "Origin" (i.e., contractor/vendor name, address) recorded on the GBL SF1103?				
E4. Is the agency location code recorded on the GBL SF1103?				
F4. Is the "Number of Packages/Kind" and "Description of Articles" recorded on the GBL SF1103?				
G4. Are the shipper's initials recorded on the GBL SF1103?				
H4. Are the item seal numbers recorded on the GBL SF1103?				
I4. Is the carrier's pickup date recorded on the GBL SF1103?				
J4. Does the contract number on the GBL SF1103 agree to the contract number listed on the Contract SF26?				
K4. Is the issuing office recorded on the GBL SF1103?				
L4. Is the issuing officer recorded on the GBL SF1103?				
M4. Does the date on the GBL SF1103 agree to the date listed on the Contract SF26?				
N4. Is the Freight on Board (FOB) point of contact recorded on the GBL SF1103?				

SF1103 - U.S. Government Bill of Lading (GBL) Checklist continued

Preparer

Title: _____
Printed Name: _____
Signature: _____ Date: _____

Reviewer

Title: _____
Printed Name: _____
Signature: _____ Date: _____

Example: U.S Government Bill of Lading (GBL) Checklist

page 1

U.S. GOVERNMENT BILL OF LADING INTERNATIONAL AND DOMESTIC OVERSEAS SHIPMENTS						B/L NUMBER A4.		
TRANSPORTATION COMPANY TENDERED TO				SCAC	DATE B/L PREPARED B4.			
DESTINATION NAME AND ADDRESS C4.		SPLC (Dest.)	ORIGIN NAME AND ADDRESS D4.					
		SPLC (Orig.)						
CONSIGNEE (Name and full address of installation)		GBLOC (Cons.)	SHIPPER NAME AND ADDRESS					
APPROPRIATION CHARGEABLE			BILL CHARGES TO (Dept./agency, bureau/office mailing address and ZIP code)			AGENCY LOC CCDE E4.		
VIA (Route shipment when advantageous to the Government)								
MARKS AND ANNOTATIONS								
PACKAGES		HM	DESCRIPTION OF ARTICLES (Use carrier's classification or tariff description if possible; otherwise use a clear nontechnical description.)	19. WEIGHTS* (Pounds only)	FOR USE OF BILLING CARRIER ONLY			
NO.	KIND				Services	Rate	Charges	
F4.	F4.		F4.					
CLASSIFICATION ITEM NO.			TOTAL CHARGES					
TARIFF/SPECIAL RATE AUTHORITY				CARRIER WAY/FREIGHT BILL NO. AND DATE G4.				
STOP THIS SHIPMENT AT		FURNISH INFORMATION ON CAR/TRUCKLOAD/CONTAINER SHIPMENTS						
FOR		SEAL NUMBERS		LENGTH/CUBE		MARKED CAPACITY		DATE FURNISHED
				ORDERED	FURNISHED	ORDERED	FURNISHED	
CARRIER'S PICKUP DATE (Year, month, and day) I4.		APPLIED BY: H4.						
MODE	ESTIMATE	NO. OF CLS/TLS	TYPE RATE	PSC	REASON			
This U.S. Government shipment is subject to terms and conditions of 41 CFR 102-117 and CFR 102-118.				CERTIFICATE OF CARRIER BILLING -- CONSIGNEE MUST NOT PAY ANY CHARGES				
				DELIVERED ON (Year, month, and day)				
FOR USE OF ISSUING OFFICE								
ISSUING OFFICE (Name and complete address) K4.		GBLOC		ISSUING OFFICER L4.				
		CONTRACT/PURCHASE ORDER NO. OR OTHER AUTHORITY J4.			DATED M4.			
FOB POINT NAMED IN CONTRACT N4.								

*Show also cubic measurements for shipments via air, truck or water carrier in cases where required.

AUTHORIZED FOR LOCAL REPRODUCTION

STANDARD FORM 1103 (REV. 9/2003)
Prescribed by GSA/FMR 102-118

Example: U.S Government Bill of Lading (GBL) Checklist

page 2

TERMS AND CONDITIONS

It is mutually agreed and understood between the United States and carriers, including forwarders, who are parties to this bill of lading that:

This bill of lading is governed by the regulations relating thereto as published in Title 41, Part 101-41 of the Code of Federal Regulations.

Except as provided in 41 CFR 101 or as otherwise stated hereon, this bill of lading is also subject to the same rules and conditions as govern commercial shipments made on the usual forms provided therefor by the carrier.

Prepayment of charges shall in no way be demanded nor shall carrier make any collection of charges at time of delivery.

INTEREST SHALL ACCRUE FROM THE VOUCHER PAYMENT DATE ON OVERCHARGES MADE HEREUNDER AND SHALL BE PAID AT THE SAME RATE IN EFFECT ON THAT DATE AS PUBLISHED BY THE SECRETARY OF THE TREASURY PURSUANT TO THE DEBT COLLECTION

GENERAL INSTRUCTIONS AND ADMINISTRATIVE DIRECTIONS

1. SF 1109 Continuation Sheet should be used and attached hereto when space under "Description of Articles" on the face of this bill of lading is inadequate.

2. Where accessorial or special services, such as exclusive use of a car or truck, expedited service, protective service, reconsignment, etc., are ordered incident to the line-haul transportation, the bill of lading shall be endorsed to show the name of the carrier upon which the request was made and the kind and scope of the special services ordered. The endorsement may be placed on the face hereof in the "Marks and Annotations," block 15, or in the space provided on this page for "Special Services Ordered," and shall be signed by or for the person who ordered the services. If such an endorsement is impractical, the same information may be set forth in a statement bearing the number of the covering bill of lading, which shall be signed by or for the person who ordered the services and, if possible, attached to the bill of lading. If the bill of lading is not available, the original and one copy of the statement shall be surrendered to the carrier from which the services were ordered, the original to be transmitted to the last line-haul carrier for

3. Shortage or damaged reports shall be made on agency-designated forms, not on the bill of lading. Consignees shall observe the instructions on the reverse of the Consignee's Copy of the bill of lading.

4. Instructions for billing charges on Standard Form 1113, Public Voucher for Transportation Charges, are found in GSA's Federal Property Management Regulations 101-41 (41 CFR) which may be purchased from Superintendent of Documents, U.S. Government Printing Office, Washington, DC 20402. SF 1113 may be purchased from the Superintendent of Documents or reproduced in accordance with 41 CFR 101-41 313.2

5. American-flag carriers must be used for U.S. Government-financed carriage of personal property (household goods, personal effects, or privately owned vehicles) as prescribed by 46 USC 1241 and for U.S. Government-financed movement of freight as prescribed by 49 USC 1517. Statement by authorizing official justifying use of foreign-flag carrier must accompany appropriate voucher. See General Accounting Office standards in 4 CFR 52.2

6. Contractor will return unused or canceled bills of lading to the Government office from which received.

IMPORTANT--Regulations require Original, Shipping Order, and Freight Waybill Original and Carrier's Copy to be surrendered to carrier after signature. Memorandum Copy SF 1103-B must be sent to consignee.

SPECIAL SERVICES ORDERED

United States Marine Corps (USMC)
Key Supporting Documentation (KSD) Checklist

Please check whether the following elements are adequately addressed in the Key Supporting Documentation (KSD) and make comments, if necessary. For detailed instructions, see page 121.

12.5 - DD Form 250: Material Inspection and Receiving Report (MIRR)

5. KSD: DD Form 250: Material Inspection and Receiving Report (MIRR)	Yes	No	N/A	Comments
A5. Does the contract number on the DD Form 250 agree to the contract number listed on the Award/Contract SF26?				
B5. Are the invoice number and date recorded on the DD Form 250?				
C5. Is the date of shipment recorded on the DD Form 250?				
D5. Does the Bill of Lading number on the DD Form 250 match the Bill of Lading number on the GBL SF1103?				
E5. Is the Tracking Control Number (TCN) recorded on the DD Form 250?				
F5. Are the prime contractor/vendor name, address and code recorded on the DD Form 250?				
G5. Is the "Administered By" (Contract Administration Office) field recorded on the DD Form 250?				
H5. Are the "Shipped From" name and address (if other than Prime Contractor/Vendor) recorded on the DD Form 250?				
I5. Are the "Shipped To" name and address recorded on the DD Form 250?				
J5. Is the item number recorded on the DD Form 250?				
K5. Is the item NSN recorded on the DD Form 250?				
L5. Is the item description recorded on the DD Form 250?				
M5. Is the item quantity shipped/received recorded on the DD Form 250?				
N5. Is the unit recorded on the DD Form 250?				
O5. Is the unit price recorded on the DD Form 250?				
P5. Is "Amount (\$)" recorded on the DD Form 250?				
Q5. Is the Contract Quality Assurance (CQA) Origin recorded on the DD Form 250?				

DD Form 250: Material Inspection and Receiving Report (MIRR) continued

5. KSD: DD Form 250: Material Inspection and Receiving Report (MIRR)	Yes	No	N/A	Comments
R5. Is the Authorized Government Representative name, title, commercial phone number, signature and date recorded on the DD Form 250 CQA Origin section?				
S5. Is the "Contract Quality Assurance Destination" recorded on the DD Form 250?				
T5. Is the Authorized Government Representative name, title, commercial phone number, signature and date recorded on the DD Form 250 CQA Destination section?				
U5. Is the Authorized Government Representative name, title, mailing address, commercial phone number, signature and date recorded on the DD Form 250 Receiver's Use section?				

Preparer

Title: _____

Printed Name: _____

Signature: _____

Date: _____

Reviewer

Title: _____

Printed Name: _____

Signature: _____

Date: _____

Example: DD Form 250: Material Inspection and Receiving Report (MIRR)

MATERIAL INSPECTION AND RECEIVING REPORT							Form Approved OMB No. 0704-0248	
<p>The public reporting burden for this collection of information is estimated to average 30 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing the burden, to Department of Defense, Washington Headquarters Services, Directorate for Information Operations and Reports (0704-0248), 1215 Jefferson Davis Highway, Suite 1204, Arlington, VA 22202-4302. Respondents should be aware that notwithstanding any other provision of law, no person shall be subject to any penalty for failing to comply with a collection of information if it does not display a currently valid OMB control number.</p> <p>PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE ABOVE ADDRESS. SEND THIS FORM IN ACCORDANCE WITH THE INSTRUCTIONS CONTAINED IN THE DFARS, APPENDIX F-401.</p>								
1. PROCUREMENT INSTRUMENT IDENTIFICATION (CONTRACT) NO.			ORDER NO.		6. INVOICE NO./DATE		7. PAGE OF	8. ACCEPTANCE POINT
2. SHIPMENT NO.		3. DATE SHIPPED		4. B1		5. DISCOUNT TERMS		
9. PRIME CONTRACTOR CODE			10. ADMINISTERED BY CODE					
11. SHIPPED FROM (If other than 9) CODE			FOB:		12. PAYMENT WILL BE MADE BY CODE			
13. SHIPPED TO CODE			14. MARKED FOR			CODE		
15. ITEM NO.	16. STOCK/PART NO.	DESCRIPTION			17. QUANTITY SHIP/REC'D	18. UNIT	19. UNIT PRICE	20. AMOUNT
21. CONTRACT QUALITY ASSURANCE				22. RECEIVER'S USE				
a. ORIGIN		b. DESTINATION		Quantities shown in column 17 were received in				
<input type="checkbox"/> CQA <input type="checkbox"/> ACCEPTANCE of listed items		<input type="checkbox"/> CQA <input type="checkbox"/> ACCEPTANCE of listed items has		<input checked="" type="checkbox"/> USPP <input type="checkbox"/> US				
has been made by me or under my supervision and they conform to contract, except as noted herein or on supporting documents.		been made by me or under my supervision and they conform to contract, except as noted herein or on supporting documents.		DATE RECEIVED				SIGNATURE OF AUTHORIZED GOVERNMENT REPRESENTATIVE
DATE		DATE		TYPED NAME				
SIGNATURE OF AUTHORIZED GOVERNMENT REPRESENTATIVE		SIGNATURE OF AUTHORIZED GOVERNMENT REPRESENTATIVE		TITLE				
TYPED NAME		TYPED NAME		MAILING ADDRESS				
TITLE		TITLE		COMMERCIAL TELEPHONE NUMBER				
MAILING ADDRESS		MAILING ADDRESS		NUMBER				
COMMERCIAL TELEPHONE NUMBER		COMMERCIAL TELEPHONE NUMBER		* If quantity received by the Government is the same as quantity shipped, indicate by (X) mark; if different, enter actual quantity received below quantity shipped and encircle.				
NUMBER		NUMBER						
23. CONTRACTOR USE ONLY								

DD FORM 250, AUG 2000

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United States Marine Corps (USMC)
Key Supporting Documentation (KSD) Checklist

Please check whether the following elements are adequately addressed in the Key Supporting Documentation (KSD) and make comments, if necessary. For detailed instructions, see page 129.

12.6 - DD Form 1348-1A: Issue Release/Receipt Document

6. KSD: DD Form 1348: Issue Release/Receipt Document	Yes	No	N/A	Comments
A6. Is the Document Identifier recorded on the DD Form 1348?				
B6. Is the Unit of Issue recorded on the DD Form 1348?				
C6. Is the Quantity Released recorded on the DD Form 1348?				
D6. Is the Unit Price recorded on the DD Form 1348?				
E6. Is the Total Price recorded on the DD Form 1348?				
F6. Is the "Shipped From" name and address recorded on the DD Form 1348?				
G6. Is the "Shipped To" name and address recorded on the DD Form 1348?				
H6. Is the Document Date recorded on the DD Form 1348?				
I6. Is the Quantity Received recorded on the DD Form 1348?				
J6. Is the Item Nomenclature (description) recorded on the DD Form 1348?				
K6. Is the name/signature of the receiver and date received recorded on the DD Form 1348?				
L6. Is the Routing Identifier Code (RIC), Unit of Issue (UI), Condition Code and Distribution recorded on the DD Form 1348?				
M6. Is the item NSN recorded on the DD Form 1348?				
N6. Is the Document Number recorded on the DD Form 1348?				
O6. If applicable, is the Unique Item Identification (UII) provided?				
P6. If applicable, is the Contract Number provided?				

DD Form 1348-1A: Issue Release/Receipt Document continued

6. KSD: DD Form 1348: Issue Release/Receipt Document	Yes	No	N/A	Comments
Q6. If applicable, is the Order Number provided?				
R6. If applicable, is the CLIN provided?				
S6. Is the condition code of the item(s) received annotated?				
T6. If applicable, have the serial numbers been added?				

Preparer

Title: _____

Printed Name: _____

Signature: _____

Date: _____

Reviewer

Title: _____

Printed Name: _____

Signature: _____

Date: _____

Example 1: DD Form 1348-1A - Issue Release/Receipt Document

DD FORM 1348-1A, JUL 91 (EG) ISSUE RELEASE/RECEIPT DOCUMENT

24. DOCUMENT NUMBER & SUFFIX (DD44)

25. NATIONAL STOCK NO. & ADD (8-22)

26. RIC (4-6)
UI (23-24)
CON CODE (73)
DNST (65-66)
LP (74-80)

27. ADDITIONAL DATA

28. QUANTITY

29. SUPPLEMENTARY ADDRESS

30. SIGNATURE

31. DISTRIBUTION

32. PROJECT

33. PERIOD

34. REFERENCE

35. ADVISORY

36. RI

37. OT

38. CM

39. PT

40. DT

41. DT

42. DT

43. DT

44. DT

45. DT

46. DT

47. DT

48. DT

49. DT

50. DT

51. DT

52. DT

53. DT

54. DT

55. DT

56. DT

57. DT

58. DT

59. DT

60. DT

61. DT

62. DT

63. DT

64. DT

65. DT

66. DT

67. DT

68. DT

69. DT

70. DT

71. DT

72. DT

73. DT

74. DT

75. DT

76. DT

77. DT

78. DT

79. DT

80. DT

1. TOTAL PRICE (E6.)

2. SHIP FROM (F6.)

3. SHIP TO (G6.)

4. MARK FOR

5. DOC DATE (H6.)

6. NMFC (I6.)

7. FRT RATE

8. TYPE CARGO

9. PS

10. QTY. RECD

11. UP

12. UNIT WEIGHT

13. UNIT CUBE

14. UFC

15. SL

16. FREIGHT CLASSIFICATION NOMENCLATURE

17. ITEM NOMENCLATURE (J6.)

18. TY CONT

19. NO. CONT

20. TOTAL WEIGHT

21. TOTAL CUBE

22. RECEIVED BY (K6.)

23. DATE RECEIVED (K6.)

PRECEDING EDITION MAY BE USED

Reset

Adobe Designer 8.0

United States Marine Corps (USMC)
Key Supporting Documentation (KSD) Checklist

Please check whether the following elements are adequately addressed in the Key Supporting Documentation (KSD) and make comments, if necessary. For detailed instructions, see page 133.

12.7 - DD Form 1149: Requisition and Invoice/Shipping Document

7. KSD: DD Form 1149: Requisition and Invoice/ Shipping Document	Yes	No	N/A	Comments
A7. Is the information "From," "To" and "Ship To" recorded on DD Form 1149?				
B7. Is the Requisition Date recorded on DD Form 1149 and does it agree with the contract Requisition Date?				
C7. Is the Requisition Number recorded on DD Form 1149 and does it agree with the contract Requisition Number?				
D7. Is the Authority or Purpose recorded on DD Form 1149?				
E7. Is the signature recorded on DD Form 1149?				
F7. Is the Voucher Number & Date recorded on DD Form 1149?				
G7. Is Date Shipped recorded on DD Form 1149 and does it correspond to the contract terms and conditions?				
H7. Is the Bill of Lading Number recorded on DD Form 1149 and does it correspond to the contract information?				
I7. Is the Appropriation with the correct Line of Accounting (LOA) recorded on DD Form 1149?				
J7. Does DD Form 1149 include Item #, Federal Stock Number/National Stock Number (NSN), Description, and Coding of Materiel and/or Services?				
K7. Does DD Form 1149 include Unit of Issue, Quantity Requested, Unit Price and Total Cost, per contract requirements?				
L7. Are the Containers, Description, Date, Sheet Total, Grand Total and Voucher # fields complete, and do these correspond to the contract terms and conditions?				

DD Form 1149: Requisition and Invoice/Shipping Document continued

Preparer

Title: _____
Printed Name: _____
Signature: _____ Date: _____

Reviewer

Title: _____
Printed Name: _____
Signature: _____ Date: _____

Example: DD Form 1149 - Requisition and Invoice/Shipping Document

page 1

SHIPPING CONTAINER TALLY 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31 32 33 34 35 36 37 38 39 40 41 42 43 44 45 46 47 48 49 50

REQUISITION AND INVOICE/SHIPPING DOCUMENT

OMB No. 0704-0246
OMB approval expires Apr 30, 2009

The public reporting burden for this collection of information is estimated to average 1 hour per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing the burden, to the Department of Defense, Executive Services Directorate (0704-0246). Respondents should be aware that notwithstanding any other provision of law, no person shall be subject to any penalty for failing to comply with a collection of information if it does not display a currently valid OMB control number.

PLEASE DO NOT RETURN YOUR FORM TO THE ABOVE ORGANIZATION. RETURN COMPLETED FORM TO THE ADDRESS IN ITEM 2.

1. FROM: (Include ZIP Code)
President, Marine Corps University
2076 South Street
Quantico, VA 22134-5067

2. TO: (Include ZIP Code)
Head, Regional Contracting Office, Northeast (RCO-NE)
2010 Henderson Road, Suite 206
Quantico, VA 22134

3. SHIP TO - MARK FOR:
Marine Corps University
ATTN: Lejeune Leadership Institute
2076 South Street, Room 032
Quantico, VA 22134-5067

4. APPROPRIATIONS DATA
LOA:
FIP:

5. SHEET NO. 1 **6. NO. OF SHEETS** 1 **7. REQUISITION DATE** **8. REQUISITION NUMBER**
7. DATE MATERIAL REQUIRED (YYYYMMDD) **8. PRIORITY**

9. AUTHORITY OR PURPOSE
Deputy Director, Lejeune Leadership Institute

10. SIGNATURE **11a. VOUCHER NUMBER & DATE (YYYYMMDD)**
12. DATE SHIPPED (YYYYMMDD) **b.**

13. MODE OF SHIPMENT **14. BILL OF LADING NUMBER**
15. AIR MOVEMENT DESIGNATOR OR PORT REFERENCE NO.

ITEM NO. (a)	FEDERAL STOCK NUMBER, DESCRIPTION, AND CODING OF MATERIEL AND/OR SERVICES (b)	UNIT OF ISSUE (c)	QUANTITY REQUESTED (d)	SUPPLY ACTION (e)	TYPE CONTAINER (f)	CON-TAINER NOS. (g)	UNIT PRICE (h)	TOTAL COST (i)
								0.00
								0.00
								0.00
								0.00
								0.00

16. TRANSPORTATION VIA AMC OR MSC CHARGEABLE TO **17. SPECIAL HANDLING**

ISSUED BY	TOTAL CON-TAINERS	TYPE CON-TAINER	DESCRIPTION	TOTAL WEIGHT	TOTAL CUBE	CONTAINERS RECEIVED EXCEPT AS NOTED	DATE (YYYYMMDD)	BY	SHEET TOTAL
CHECKED BY									0.00
PACKED BY									
TOTAL									

19. CONTAINERS RECEIVED EXCEPT AS NOTED **DATE (YYYYMMDD)** **BY** **20. RECEIVER'S VOUCHER NO.**

DD FORM 1149, JUL 2006 **PREVIOUS EDITION IS OBSOLETE.** **Reset** Adobe Designer 7.0

United States Marine Corps (USMC)
Key Supporting Documentation (KSD) Checklist

Please check whether the following elements are adequately addressed in the Key Supporting Documentation (KSD) and make comments, if necessary. For detailed instructions, see page 137.

12.8 - DD Form 1662: DoD Property in the Custody of Contractors

8. KSD: DD Form 1662: DoD Property in the Custody of Contractors	Yes	No	N/A	Comments
A8. Is the Date recorded on DD Form 1162?				
B8. Are the "To" and "From" fields recorded on DD Form 1662?				
C8. Is the Contract Number recorded on DD Form 1662 and does it correspond to the actual contract?				
D8. Is the "Official Name" or "Company" field recorded on the DD Form 1662?				
E8. Is the property location(s) recorded in the DD Form 1662?				
F8. Is the information recorded clearly identifiable, does it correspond to the contract terms and conditions?				
G8. Is the "Contractor Representative" field complete with the following information: name, signature and date?				
H8. Is the DoD Property Representative recorded on DD Form 1662 with the following information: name, telephone #, signature and date?				

Preparer Title: _____
 Printed Name: _____
 Signature: _____ Date: _____

Reviewer Title: _____
 Printed Name: _____
 Signature: _____ Date: _____

Example: DD Form 1662 - DoD Property in the Custody of Contractors

DOD PROPERTY IN THE CUSTODY OF CONTRACTORS (DFARS 245.505-14) <i>(See Instructions on back before completing this form.)</i>		REPORT AS OF 30 SEP _____ OR _____	<i>Form Approved</i> OMB No. 0704-0246 Expires Feb 28, 2006			
The public reporting burden for this collection of information is estimated to average 1 hour per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing the burden, to the Department of Defense, Executive Services and Communications Directorate (0704-0246). Respondents should be aware that notwithstanding any other provision of law, no person shall be subject to any penalty for failing to comply with a collection of information if it does not display a currently valid OMB control number.						
PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE ABOVE ORGANIZATION. RETURN COMPLETED FORM TO THE ADDRESS IN ITEM 1.						
1. TO <i>(Enter name and address of property administrator)</i> B8.		2. FROM <i>(Enter full name, address and CAGE code of contractor)</i> B8.				
3. IF GOVERNMENT-OWNED, CONTRACTOR-OPERATED PLANT, ENTER GOVERNMENT NAME OF PLANT						
4. CONTRACT NO. <i>(PIIN)</i> C8.	5. CONTRACT PURPOSE D8.	6. BUSINESS TYPE <i>(Enter L, S, or N)</i> E8.	7. OFFICIAL NAME OF PARENT COMPANY E8.			
8. PROPERTY LOCATION(S) F8.		9. PLANT EQUIPMENT PACKAGE <i>(PEP No. and use)</i>				
a. PROPERTY <i>(Type or Account)</i>	b. BALANCE START OF PERIOD		c. ADDITIONS <i>(in dollars)</i>	d. DELETIONS <i>(in dollars)</i>	e. BALANCE END OF PERIOD	
	(1) ACQUISITION COST <i>(in dollars)</i>	(2) QUANTITY <i>(in units or acres)</i>			(1) ACQUISITION COST <i>(in dollars)</i>	(2) QUANTITY <i>(in units or acres)</i>
10. LAND	G8.	G8.			H8.	H8.
11. OTHER REAL PROPERTY						
12. OTHER PLANT EQUIPMENT						
13. INDUSTRIAL PLANT EQUIPMENT						
14. SPECIAL TEST EQUIPMENT						
15. SPECIAL TOOLING <i>(Government Title Only)</i>						
16. MILITARY PROPERTY <i>(Agency-Peculiar)</i>						
17. GOVERNMENT MATERIAL <i>(Government-Furnished)</i>						
18. GOVERNMENT MATERIAL <i>(Contractor-Acquired)</i>						
19. CONTRACTOR REPRESENTATIVE						
a. TYPED NAME <i>(Last, First, Middle Initial)</i> I8.		b. SIGNATURE I8.		c. DATE SIGNED (YYYYMMDD) I8.		
20. DOD PROPERTY REPRESENTATIVE						
a. TYPED NAME <i>(Last, First, Middle Initial)</i> J8.		c. SIGNATURE J8.		d. DATE SIGNED (YYYYMMDD) J8.		
b. TELEPHONE NUMBERS <i>(Commercial and DSN)</i> J8.						
DD FORM 1662, JUN 2003				PREVIOUS EDITION IS OBSOLETE.		Reset

United States Marine Corps (USMC)
Key Supporting Documentation (KSD) Checklist

Please check whether the following elements are adequately addressed in the Key Supporting Documentation (KSD) and make comments, if necessary.

12.9 - Mechanized Allowance List (MAL)

9. KSD: Mechanized Allowance List (MAL)	Yes	No	N/A	Comments
A9. Is the TAMCN and item description of all T/E assets recorded on the MAL?				
B9. Is the proper AAC recorded on the MAL?				
C9. Is the UIC recorded on the MAL, and does it match the organization's UIC?				
D9. Does the NIN (NIIN) for each TAMCN item recorded on MAL agree with the NSN (NIIN) recorded on the supporting documents?				
E9. Is the Unit T/E RQMT for all TAMCN items recorded on the MAL?				
F9. Are all current CMD adjustments recorded on the MAL and supported by KSDs?				
G9. Does the "Total RQMT" quantity agree with the "T/E RQMT" quantity plus/ minus adjustments?				
H9. Does the "Over (+)/Short (-)" field correctly represent the status of each TAMCN item recorded on the MAL?				

Preparer

Title: _____

Printed Name: _____

Signature: _____

Date: _____

Reviewer

Title: _____

Printed Name: _____

Signature: _____

Date: _____

Example: Mechanized Allowance List (MAL)

Global Combat Support System - Marine Corps Mechanized Allowance List MAL Summary - 2012-APR-C2

A9 . TAMCN - Item Description	B9 . AAC	C9 . UIC	D9 . NSN	Unit		F9 . Allow	G9 . Adjust	G9 . Total RQMT	Due On Hand	Over (+) Short (-)
				T/E	SP					
D01987K - TRUCK, DFCS, CARGO, 7 TON, W/O WINCH	M1	UIC-M1	2320014652174	EA		0	0	0	44	44
			2320014652176	EA		0	0	0	8	8
			2320015525175	EA		0	0	0	40	40
			2320015525226	EA		0	0	0	7	7
		UIC-M1	2320015987736	EA		6	0	6	0	-6
		UIC-M1	2320015987736	EA		2	0	2	0	-2
		UIC-M1	2320015987736	EA		40	0	40	0	-40
		UIC-M1	2320015987736	EA		2	0	2	0	-2
		UIC-M1	2320015987736	EA		40	0	40	0	-40
		UIC-M1	2320015987736	EA		1	0	1	0	-1
		Total AAC M1				91	0	91	99	8
		Total TAMCN D01987K - TRUCK, DFCS, CARGO, 7 TON,				91	0	91	99	8

United States Marine Corps (USMC)
Key Supporting Documentation (KSD) Checklist

Please check whether the following elements are adequately addressed in the Key Supporting Documentation (KSD) and make comments, if necessary. For detailed instructions, see page 138.

12.10 - Consolidated Memorandum of Receipt (CMR)

10. KSD: Consolidated Memorandum of Receipt (CMR)	Yes	No	N/A	Comments
A10. Is the date on the CMR recorded?				
B10. Is the AAC recorded on the CMR and does it agree with unit's AAC?				
C10. Does the CMR clearly indicate the TAC-2 location?				
D10. Does the CMR clearly identify AO, RO and the Subordinate Unit Code?				
E10. Is the TAMCN clearly identified on the CMR?				
F10. Does Total On-Hand (TAMCN) on the CMR agree with the Total On-Hand recorded on the CMR for this location?				
G10. Does the Total Price (TAMCN) on the CMR agree with the Extended Price on the CMR?				
H10. Does the CMR NSN & nomenclature agree with the item's NSN & nomenclature?				
I10. Does the NSN Total On-hand agree with the NSN On-hand at the location?				
J10. Does the CMR clearly represent the item's unit price and the NSN's total price?				
K10. Do the serial numbers found at this location agree to the item serial numbers on the CMR?				
L10. Is the total on-hand at this location and the extended price correct?				
M10. Is the CMR initialed by the RO on each page (in the bottom right hand corner)?				
N10. Is the CMR signed by the RO on the last page and is the signature legible?				


Consolidated Memorandum of Receipt (CMR) continued

Preparer Title: _____
Printed Name: _____
Signature: _____ Date: _____

Reviewer Title: _____
Printed Name: _____
Signature: _____ Date: _____

Example: Consolidated Memorandum of Receipt (CMR)

Global Combat Support System - Marine Corps
Consolidated Memorandum Receipt
 22-Feb-12 A10



GCSS-MC
For Official Use Only

C10 AAC: B10
 TAC-2 Location: _____

D10 Accountable Officer: _____
 Subordinate Unit Code: _____

E10 TAMCN: _____

JP 901 2100

D10 Responsible Officer: _____

E10 TAMCN:	F10 Total On-Hand:	G10 Total Price:	
H10 NSN: _____	Nomenclature: _____	UI: EA SAC: 1 CIC: _____	Unit Price: _____
K10 Serial Numbers Found at: _____	I10 NSN Total On-Hand: 36	J10 NSN Total Price: _____	L10 Extended Price: _____
L10 P1-UNIT _____	TOECR Change Required _____	Total On-Hand at this Location: _____	
NSN: _____ Nomenclature: _____ UI: EA SAC: 1 CIC: _____ Unit Price: _____			
NSN Total On-Hand: 1 NSN Total Price: _____			
Serial Numbers Found at: _____			
P1-UNIT 36070 TOECR Change Required _____			
Total On-Hand at this Location: _____ Extended Price: _____			
TAMCN: _____ Total On-Hand: _____ Total Price: _____			
NSN: _____ Nomenclature: _____ UI: EA SAC: 3 CIC: A Unit Price: _____			
NSN Total On-Hand: _____ NSN Total Price: _____			
Serial Numbers Found at: _____			
P1-UNIT 001 TOECR Change Required _____			
Total On-Hand at this Location: _____ Extended Price: _____			
TAMCN: _____ Total On-Hand: _____ Total Price: _____			

1 of 5 Last page has space for final signature. N10

M10 *YD 21 MAR 12*

United States Marine Corps (USMC)
Key Supporting Documentation (KSD) Checklist

Please check whether the following elements are adequately addressed in the Key Supporting Documentation (KSD) and make comments, if necessary.

12.11 - Physical Inventory Count Report/Sheet (MARCORLOGCOM)

11. KSD: Physical Inventory Count Report/Sheet (MARCORLOGCOM)	Yes	No	N/A	Comments
A11. Does the "Inventory Count Sheet Originator" field agree with the item's Originator?				
B11. Does the DOC Identifier agree with the item's Identifier Code?				
C11. Is the date recorded on the physical inventory count sheet?				
D11. Do the NSN and nomenclature agree with the item's NSN and Nomenclature?				
E11. Does the owner code reflect the correct owner?				
F11. Does the condition code reflect the correct condition of the item?				
G11. Is the location of the item in the place the item is located?				
H11. Does the Inventory Count Sheet QTY agree with actual On-Hand inventory?				
I11. Does the Inventory Count Sheet Lot # agree with the item's actual Lot No?				
J11. Does the Freeze Code on the Inventory Count Sheet agree with the Freeze Code on the Inventory Count Report?				
K11. Is the "Inventory Count Report Suspense-Control-Number" field recorded and does it agree with the item Inventory-Control-Number?				
L11. Is the Inventory Count Report CUTOFF-DT and REPORT-DT information recorded?				
M11. Does the "Inventory Count Report & Sheet NSN" field agree to the item's NSN?				
N11. Does the "Inventory Count Report & Sheet Nomenclature" field agree to the item's nomenclatures?				
O11. Do the OTC, SEC and TIC amounts properly reflect the item's OTC, SEC and TIC?				
P11. Do the Inventory Count Report/Sheet OC and Owner Code agree with the item's OC and Owner Code?				

Physical Inventory Count Report/Sheet (MARCORLOGCOM) continued

11. KSD: Physical Inventory Count Report/Sheet (MARCORLOGCOM)	Yes	No	N/A	Comments
Q11. Does the "Inventory Count Report/Sheet Location" field agree with the item's location field?				
R11. Does the Inventory Count Report/Sheet CC agree with the item's CC?				
S11. Do the Inventory Count Report First, Second and Third count fields indicate QTY-Count, COUNT-DT and ORIG?				

Preparer Title: _____
 Printed Name: _____
 Signature: _____ Date: _____

Reviewer Title: _____
 Printed Name: _____
 Signature: _____ Date: _____

Example: Physical Inventory Count Report/Sheet (MARCORLOGCOM)

page 1

<u>A11</u>	ORIGINATOR	<u>B11</u>	DOC IDENT	REFERENCE INDIC	DATE															
	YKA		XAA	E136112	05/15/12															
<u>C11</u>	NSN	<u>G11</u>	NOMENCLATURE	RITQ	UI	STK LEV	FREQ	GROSS QTY	ISS	SECU RITY	SHLF LIFE	OTC	NO REC	PHY CAT	DEMIL CODE	<u>D11</u>	<u>D11</u>	MOD		
	98 01 440 13			0000000	EA	0000001	00017	0000034		9	0				D	061700J	34580W			
WT	CU	CARGO CODE	AIR COM	WATER COMM	AIR DIM	REA	SL3-PLF	COM MAN	ECH	BIN ROP	BIN LEVEL	ORIG	COMP CODE	SPC REQ	SAC	NO TRLR	STANDARD UNIT PRICE			
0000000	0000000		HZ	65829	A			4	2	00000	00000				2	002				
<u>E11</u>	OWNER CODE	<u>F11</u>	COND CODE	<u>G11</u>	LOCATION	INV SEG	<u>H11</u>	QTY	<u>I11</u>	LOT NO	<u>J11</u>	INSP DATE	FREQ	TYPE CODE	DISCRETE PRICE	TYPE ENVIRON	SIZE LOC1	SIZE LOC2	REMARKS	
4	F	F	M131		Y1	0000008				2136										
4	F	F	M132		Y1	0000001				2136	505									

Example Only

page 2

<u>K11</u>	PHYSICAL INVENTORY COUNT REPORT				PAGE	8		
<u>L11</u>	SUSPENSE-CONTROL-NUMBER	<u>L11</u>	CUTOFF-DT	<u>L11</u>	REPORT-DT	<u>L11</u>		
	213600074		136		2136			
<u>M11</u>	NATIONAL-STOCK-NUMBER	<u>N11</u>	UI	NOMENCLATURE	<u>O11</u>	<u>O11</u>	<u>O11</u>	<u>O11</u>
	98-01-440-13		EA		9	E		
<u>P11</u>	OC	<u>Q11</u>	LOCATION	<u>R11</u>	CC	TPC	<u>S11</u>	LOT-CONTR-NR
	4		M1316		F			
<u>S11</u>	COUNT-QTY	<u>S11</u>	COUNT-DT	<u>S11</u>	ORIG	<u>S11</u>	ECC	
	FIRST COUNT:	8	2137	034				
	SECOND COUNT:							
	THIRD COUNT:							

Example Only

United States Marine Corps (USMC)
Key Supporting Documentation (KSD) Checklist

Please check whether the following elements are adequately addressed in the Key Supporting Documentation (KSD) and make comments, if necessary.

12.12 - Responsible Officer (RO) Appointment Letter

12. KSD: Responsible Officer (RO) Appointment Letter	Yes	No	N/A	Comments
A12. Does the Appointment Letter identify the USMC unit/activity?				
B12. Is the date recorded on the Appointment Letter?				
C12. Does the "From" field identify the Accountable Officer (AO)/Commanding Officer (CO) for the unit/activity?				
D12. Does the "To" field identify the Responsible Officer (RO) for the unit/activity?				
E12. Does the "Subject" field clearly state the appointment/assignment of the RO and the unit/activity?				
F12. Does the Appointment Letter clearly identify the RO's duties and responsibilities?				
G12. Is the AO's/CO's signature recorded on the Appointment Letter?				
H12. If the RO will act as the final requisition authority, does the appointment letter include a DD Form 577 as an enclosure?				

Preparer Title: _____
 Printed Name: _____
 Signature: _____ Date: _____

Reviewer Title: _____
 Printed Name: _____
 Signature: _____ Date: _____

Example: Responsible Officer (RO) Appointment Letter

page 1

(A12.) [Unit Letterhead]

4400
(Code)
(Date)

(B12)

(C12.) From: Commanding Officer
 (D12.) To: (Rank First Name MI. Last Name)
 (E12.) Subj: APPOINTMENT AS RESPONSIBLE OFFICER

Ref: (a) DoD 7000.14-R
 (b) MCO 4400.150

A DD Form 577 is only necessary if the RO will act as the final requisition authority in the performance of his or her duties.

(H12.) Encl: (1) DD Form 577
 (2) Consolidated Memorandum Receipt

1. Per the references, you are appointed as the Responsible Officer for *(add unit name)*, Department of Defense Activity Code (DoDAAC)/Unit Identification Code (UIC)/Consolidated Memorandum Receipt (CMR) account: *(add DoDAAC)/(add UIC)/(add CMR account)*. You are directed to comply with the references and other applicable directions in the performance of your duties and responsibilities.

(F12.) 2. You will receive allocated funds in the Standard Accounting Budgeting and Reporting System (SABRS) under Work Center Identification (WCI): *(enter applicable WCI)*, Budget Execution Activity (BEA): *(enter applicable BEA(s))*, Budget Execution Sub-Activity (BESA): *(enter applicable BESA(s))* as a resource to accomplish and execute your mission.

3. Prior to your acceptance of this account, but no later than *(enter date)*, you must complete an inventory of all assigned equipment and return the CMR with the results of your inventory to me via the Supply Officer. You must reconcile with the Supply Officer prior to the deadline and report the status of your account through endorsement of this letter. Your endorsement will be your formal acceptance of the CMR account, with or without identified discrepancies.

4. As indicated in the references, you responsibilities include:

a. Assume responsibility for resources (financial and property) assigned to you for mission accomplishment. These resources are issued from the supply office in the performance your regular duties and will be properly accounted for within your span of control.

b. Serve as a Departmental Accountable Official (DAO), providing information, data, or services to certifying officers upon which the latter rely to certify vouchers for payment. This includes serving as your commodity representative for coordinating with the supply officer for the proper execution of allocated financial resources (i.e., requisitioning process).

c. Receipt for all equipment on-hand, ensuring the CMR identifies equipment by Marine Corps or manufacturer's serial number, when applicable, and ensure parent-child relationships are maintained within the Installed Base.

Example: Responsible Officer (RO) Appointment Letter

page 2

d. Maintain assigned equipment in a ready-for-use and serviceable condition in accordance with the applicable equipment's supporting technical manuals and Stock List publications.

e. Enforce a clear chain of custody for all equipment and always sub-custody equipment to others before allowing it to leave your area of responsibility. Any temporary loans outside of the command must be authorized by S-3, coordinated by S-4 and executed via Supply.

f. Report all changes of the accounting records to the Supply as they occur.

g. Report all discrepancies to the supply officer in writing that exist between the CMR and what is actually on hand, and fully state the circumstances of each discrepancy.

h. Request necessary investigative action in writing, for CMR discrepancies resulting from a known loss, damage, or destruction of government property, to me via the Supply Officer in accordance with the references.

i. Conduct inventories of all assigned equipment and reconcile the account with the Supply Officer on a quarterly basis.

j. Delegate in writing, via a NAVMC 11869, the individuals who will perform the following duties:

- (1) Receipt for Equipment, Supplies and/or Service
- (2) Submit/Sign Purchase Request
- (3) Turn-in excess or damaged government property

k. You may and are encouraged to appoint Responsible Individuals (RI) to assist in your property accountability responsibilities. RIs are subcustody holders of accountable supplies, originally signed for by you. They are appointed by you in writing and will sign for all supplies within their possession. Delegation of accounting responsibilities to a RI does not relieve the RO of accountability.

5. Prior to being relieved as the RO, you must request a change of RO from the Supply Officer and conduct a joint inventory no less than 30 calendar days prior to your date of relief. The account must be transferred prior to your transfer from the command. Additionally, if you anticipate being separated from your property in excess of 60 calendar days, a new RO will be appointed and a joint inventory conducted.

G12.

(Signature)
(FI. MI. LAST Name of CO)

United States Marine Corps (USMC)
Key Supporting Documentation (KSD) Checklist

Please check whether the following elements are adequately addressed in the Key Supporting Documentation (KSD) and make comments, if necessary.

12.13 - Responsible Officer (RO) Appointment Acceptance Letter

13. KSD: Responsible Officer (RO) Appointment Acceptance Letter	Yes	No	N/A	Comments
A13. Does the Appointment Acceptance Letter identify the USMC unit/activity?				
B13. Is the date recorded on the Appointment Acceptance Letter?				
C13. Does the "From" field identify the Responsible Officer (RO) for the unit/activity?				
D13. Does the "To" field identify the Accountable Officer (AO)/Commanding Officer (CO) for the unit/activity?				
E13. Does the "Subject" field clearly state the appointment/assignment of the RO and the unit/activity?				
F13. Does the Appointment Acceptance Letter clearly identify that the RO accepts his duties and responsibilities?				
G13. Is the RO's signature recorded on Appointment Acceptance Letter?				

Preparer Title: _____
 Printed Name: _____
 Signature: _____ Date: _____

Reviewer Title: _____
 Printed Name: _____
 Signature: _____ Date: _____

Example: Responsible Officer (RO) Appointment Acceptance Letter

(A13) [Insert Unit Letterhead]

4400
(Code)
(B13) (Date)

FIRST ENDORSEMENT on CO ltr 4400 Sup dated (date)

(C13) From: (Rank First Name MI. Last Name)

(D13) To: Commanding Officer

(E13) Subj: APPOINTMENT AS RESPONSIBLE OFFICER, ACCOUNT (account number)

Ref: (a) DoD 7000.14-R
(b) MCO 4400.150

Encl: (a) Relieved Supply officer Certificate of Relief
(b) Accepting Supply Officer Certificate of Acceptance

(F13) 1. I have read and familiarized myself with the duties and responsibilities as a Responsible Officer as outlined in the reference and the appointment order. I accept these duties and responsibilities as the Responsible Officer for this account.

(G13)

(Signature)
(FI. MI. LAST Name of CO)

United States Marine Corps (USMC)
Key Supporting Documentation (KSD) Checklist

Please check whether the following elements are adequately addressed in the Key Supporting Documentation (KSD) and make comments, if necessary.

12.14 - Supply Officer (SupO) Appointment Letter **

14. KSD: Supply Officer (SupO) Appointment Letter **	Yes	No	N/A	Comments
A14. Does the Appointment Letter identify the USMC unit/activity?				
B14. Is the date recorded on the Appointment Letter?				
C14. Does the "From" field identify the Accountable Officer (AO)/Commanding Officer (CO) for the unit/activity?				
D14. Does the "To" field identify the SupO for the unit/activity?				
E14. Does the "Subject" field clearly state the appointment/assignment of the SupO/Fiscal Officer (FO) and the unit/activity?				
F14. Does the Appointment Letter clearly identify the SupO's duties and responsibilities? (May differ from the example on next page if the duties are different.)				
G14. Is the AO's/CO's signature recorded on the Appointment Letter?				

Preparer Title: _____
 Printed Name: _____
 Signature: _____ Date: _____

Reviewer Title: _____
 Printed Name: _____
 Signature: _____ Date: _____

**** The SupO Appointment Letter shall include the DD Form 577: Appointment/ Termination Record-Authorized Signature as an enclosure.**

Example: Supply Officer (SupO) Appointment Letter **

page 1

(A14.) [Insert Unit Letterhead]

4400
(Code)
(Date)

(B14.)

(C14.) From: Commanding Officer
(D14.) To: (Rank First Name MI. Last Name)

(E14.) Subj: APPOINTMENT AS SUPPLY OFFICER

Ref: (a) DoD 7000.14-R
(b) NAVSUP 4200.99
(c) DON EBUSOPSOFFINST 4200.1A
(d) MCO 4400.150
(e) Local GCPC guidance

Encl: (1) DD Form 577

- (F14.) 1. Per the references, you are appointed as the unit Supply Officer for *(add unit name)*, Department of Defense Activity Code (DoDAAC)/Unit Identification Code (UIC): *(add DoDAAC(s))/(add UIC(s))*. You are a special staff officer and are directed to comply with the references and other applicable directions in the performance of your duties and responsibilities.
2. Prior to your acceptance of this account, but no later than *(enter date)*, you must complete an inventory of all property and equipment belonging to your DoDAAC/UIC and report the findings to me with recommendations for any actions that need to be taken to accurately record the inventory results. *(NOTE-this will be as an endorsement to the outgoing Supply Officer Certificate of Relief)*.
3. You are responsible for the property accounting functions for the command and are responsible for ensuring the accounting systems and records are accurate and updated at all times. In addition to properly receiving, accepting, and accounting for all government property received by the command, you will ensure the proper allowance item management principles are applied.
4. Serve as the unit Fiscal/Budget & Accounting Officer for DODAAC/UIC *(add DoDAAC(s)/add UIC(s))*. You are responsible for the management of the command's financial resources allocated in the Standard Accounting Budgeting and Reporting System (SABRS) under Work Center Identification (WCI): *(enter applicable WCI)*, Budget Execution Activity (BEA): *(enter applicable BEA(s))*, Budget Execution Sub-Activity (BESA): *(enter applicable BESA(s))*.
5. Serve as the unit Supply Resource Manager for DODAAC/UIC *(add DoDAAC(s)/add UIC(s))*. You will receive allocated funds in SABRS under WCI: *(enter applicable WCI)*, BEA: *(enter applicable BEA(s))*, BESA: *(enter applicable BESA(s))* as a resource to accomplish and execute your mission.
6. Serve as a Certifying Officer for DODAAC/UIC *(add DoDAAC(s)/add UIC(s))*. You will promptly certifying vouchers for payment in SABRS under WCI: *(enter applicable WCI)*, BEA: *(enter applicable BEA(s))*, BESA: *(enter applicable BESA(s))*.
7. Serve as the GCPC Approving Official for DODAAC/UIC *(add DoDAAC(s)/add UIC(s))*. Funding will be allocated to you for execution in the Standard

Example: Supply Officer (SupO) Appointment Letter **

page 2

Accounting Budgeting and Reporting System (SABRS) from WCI: *(enter applicable WCI)*, BEA: *(enter applicable BEA(s))*, BESA: *(enter applicable BESA(s))*.

8. Serve as the Supply Automated Information System (AIS) Administrator responsible for approving command access to automated system(s) used to support the purchase request, requisitioning, receipt and acceptance, equipment accountability, financial management, and other supply chain management systems.

9. Recommend to me which personnel should be delegated, in writing, with the following roles on behalf of the command and ensure the appointments are maintained current on file: Supply Resource Manager *(if not appointed)*, Fiscal/Budget & Accounting Officer *(if not appointed and in absence of a unit comptroller)*, Certifying Officer, GCPC Approving Official *(if not appointed)*, Supply AIS Administrator *(if not appointed)*, GCPC Cardholders, Fund Holders, Receipt & Acceptors, and Responsible Officers.

10. This letter supersedes all previous letters and will remain in effect until revocation or reassignment.

G14.

(Signature)
(FI. MI. LAST Name of CO)

United States Marine Corps (USMC)
Key Supporting Documentation (KSD) Checklist

Please check whether the following elements are adequately addressed in the Key Supporting Documentation (KSD) and make comments, if necessary.

12.15 - Supply Officer (SupO) Appointment Acceptance Letter

15. KSD: Supply Officer (SupO) Appointment Acceptance Letter	Yes	No	N/A	Comments
A15. Does the Appointment Acceptance Letter identify the USMC unit/activity?				
B15. Is the date recorded on the Appointment Acceptance Letter?				
C15. Does the "From" field identify the SupO for the unit/activity?				
D15. Does the "To" field identify the Accountable Officer (AO)/Commanding Officer (CO) for the unit/activity?				
E15. Does the "Subject" field clearly state the appointment/assignment of the SupO and the unit/activity?				
F15. Does the Appointment Acceptance Letter clearly identify that the SupO accepts his duties and responsibilities and has performed a review of the supply account?				
G15. Is the SupO's signature recorded on Appointment Acceptance Letter?				

Preparer Title: _____
 Printed Name: _____
 Signature: _____ Date: _____

Reviewer Title: _____
 Printed Name: _____
 Signature: _____ Date: _____

Example: Supply Officer (SupO) Appointment Acceptance Letter

(A15.) [Insert Unit Letterhead]

4400
(Code)
(Date)

(B15.)

FIRST ENDORSEMENT on CO ltr 4400 Sup dated (date)

(C15.) From: (Rank First Name MI. Last Name)

(D15.) To: Commanding Officer

(E15.) Subj: APPOINTMENT AS SUPPLY, ACCOUNT (account number)

Ref: (a) DoD 7000.14-R
(b) MCO 4400.150

Encl: (a) Relieved Supply officer Certificate of Relief
(b) Accepting Supply Officer Certificate of Acceptance

(F15.) 1. I have read and familiarized myself with the duties and responsibilities as a Supply Officer as outlined in the reference and the appointment order. I have reviewed this account and submit my results in encl (b). I accept these duties and responsibilities as the Responsible Officer for this account.

(G15.)

(Signature)
(FI. MI. LAST Name of CO)

United States Marine Corps (USMC)
Key Supporting Documentation (KSD) Checklist

Please check whether the following elements are adequately addressed in the Key Supporting Documentation (KSD) and make comments, if necessary. For detailed instructions, see page 142.

12.16 - DD Form 577 Appointment/ Termination Record-Authorized Signature

16. KSD: DD Form 577 Appointment/Termination Record-Authorized Signature	Yes	No	N/A	Comments
A16. Does the Appointment/Termination Record identify the Appointing Authority's printed name?				
B16. Does the Appointment/Termination Record identify the Appointing Authority's title?				
C16. Does the Appointment/Termination Record identify the Appointing Authority's DoD component/organization?				
D16. Is the date recorded on the Appointment/Termination Record?				
E16. Is the Appointing Authority's signature recorded on the Appointment/Termination Record?				
F16. Does the Appointment/Termination Record identify the Appointee's printed name?				
G16. Does the Appointment/Termination Record identify the Appointee's DoD ID number?				
H16. Does the Appointment/Termination Record identify the Appointee's title?				
I16. Does the Appointment/Termination Record identify the Appointee's DoD component/organization?				
J16. Does the Appointment/Termination Record identify the Appointee's address?				
K16. Does the Appointment/Termination Record identify the appointment effective date?				
L16. Does the Appointment/Termination Record identify the type of position?				
M16. Does the Appointment/Termination Record identify the Appointee's responsibilities?				
N16. Does the Appointment/Termination Record identify the regulations the Appointee should abide to?				

DD Form 577 Appointment/Termination Record-Authorized Signature continued

16. KSD: DD Form 577 Appointment/Termination Record-Authorized Signature	Yes	No	N/A	Comments
O16. Did the Appointee print their name and sign the Appointment Acknowledge section?				
P16. If applicable, was the date recorded upon termination of the appointment?				
Q16. If applicable, did the Appointee record his initials on the Appointment/Termination Record upon termination of the appointment?				
R16. If applicable, did the Appointing Authority print their name on the Appointment/Termination Record upon termination of the appointment?				
S16. If applicable, did the Appointing Authority record their title on the Appointment/Termination Record upon termination of the appointment?				
T16. If applicable, did the Appointing Authority record their signature on the Appointment/Termination Record upon termination of the appointment?				

Preparer Title: _____
 Printed Name: _____
 Signature: _____ Date: _____

Reviewer Title: _____
 Printed Name: _____
 Signature: _____ Date: _____

Example: DD Form 577 Appointment/Termination Record-Authorized Signature

APPOINTMENT/TERMINATION RECORD - AUTHORIZED SIGNATURE <i>(Read Privacy Act Statement and Instructions before completing form.)</i>		
PRIVACY ACT STATEMENT		
<p>AUTHORITY: E.O. 9397, 31 U.S.C. Sections 3325, 3528, DoDFMR, 7000.14-R, Vol. 5. PRINCIPAL PURPOSE(S): To maintain a record of appointment and termination of appointment of persons to any of the positions listed in Item 6, and to identify the duties associated with this appointment. SORN T1300 (http://dpclo.defense.gov/Privacy/SORNSIndex/DODComponentArticleView/tabid/7189/Article/6235/1300.aspx) ROUTINE USE(S): The information on this form may be disclosed as generally permitted under 5 U.S.C Section 552a(b) of the Privacy Act of 1974, as amended. It may also be disclosed outside of the Department of Defense (DoD) to the the Federal Reserve Banks to verify authority of the appointed individuals to issue Treasury checks. In addition, other Federal, State and local government agencies, which have identified a need to know, may obtain this information for the purpose(s) identified in the DoD Blanket Routine Uses published at: http://dpclo.defense.gov/Privacy/SORNSIndex/BlanketRoutineUses.aspx. DISCLOSURE Voluntary; however, failure to provide the requested information may preclude appointments.</p>		
SECTION I - APPOINTEE		
1. NAME <i>(First, Middle Initial, Last and Rank or Grade)</i> (F16)	2. DoD ID NUMBER (G16)	3. TITLE (H16)
4. DOD COMPONENT/ORGANIZATION (I16)	5. ADDRESS <i>(Include ZIP Code, email address, and telephone number with area code and DSN)</i> (J16)	
6. POSITION TO WHICH APPOINTED <i>(X appropriate box - one only. Checking more than one invalidates the appointment.)</i>		
<input type="checkbox"/> DISBURSING OFFICER: DSSN _____	<input type="checkbox"/> CASHIER	<input type="checkbox"/> CHANGE FUND CUSTODIAN
<input type="checkbox"/> DEPUTY DISBURSING OFFICER: DSSN _____	<input type="checkbox"/> PAYING AGENT	<input type="checkbox"/> IMPREST FUND CASHIER
<input type="checkbox"/> CERTIFYING OFFICER	<input type="checkbox"/> COLLECTIONS AGENT	<input type="checkbox"/> SAFEKEEPING CUSTODIAN
<input type="checkbox"/> DEPARTMENTAL ACCOUNTABLE OFFICIAL	<input type="checkbox"/> DISBURSING AGENT	<input type="checkbox"/> ASSISTANT SAFEKEEPING CUSTODIAN
7. YOU ARE APPOINTED TO SERVE IN THE POSITION IDENTIFIED IN ITEM 6. YOUR RESPONSIBILITIES INCLUDE: (M16)		
8. REVIEW AND ADHERE TO THE FOLLOWING PUBLICATION(S) NEEDED TO ADEQUATELY PERFORM YOUR ASSIGNED DUTIES: (N16)		
SECTION II - APPOINTING AUTHORITY		
9. NAME <i>(First, Middle Initial, Last)</i> (A16)	10. TITLE (B16)	11. DOD COMPONENT/ORGANIZATION (C16)
12. DATE <i>(YYYYMMDD)</i> D16	13. SIGNATURE (E16)	
SECTION III - APPOINTEE ACKNOWLEDGEMENT		
I acknowledge and accept the position and responsibilities defined above. I understand that I am strictly liable to the United States for all public funds or payment certification, as appropriate, under my control. I have been counseled on my pecuniary liability applicable to this appointment and have been given written operating instructions. I certify that my official signature is shown in item 16 below.		
14. PRINTED NAME <i>(First, Middle Initial, Last)</i> (O16)	15. DATE <i>(YYYYMMDD) (Not earlier than date in Item 12 or 13)</i> (K16)	
16.a. DIGITAL SIGNATURE (O16)	16.b. MANUAL SIGNATURE (O16)	
SECTION IV - APPOINTMENT TERMINATION		
The appointment of the individual named above is hereby revoked.	17. DATE <i>(YYYYMMDD)</i> (P16)	18. APPOINTEE INITIALS (Q16)
19. NAME OF APPOINTING AUTHORITY (R16)	20. TITLE (S16)	21. APPOINTING AUTHORITY SIGNATURE (T16)

DD FORM 577, NOV 2014

PREVIOUS EDITION IS OBSOLETE.

Adobe Designer 9.0

United States Marine Corps (USMC)
Key Supporting Documentation (KSD) Checklist

Please check whether the following elements are adequately addressed in the Key Supporting Documentation (KSD) and make comments, if necessary.

12.17 - Annual Physical Inventory Results Certification

17. KSD: Annual Physical Inventory Results Certification	Yes	No	N/A	Comments
A17. Does the certification have the correct date?				
B17. Does the it provide the dollar value of the account prior to inventory?				
C17. Does the it contain the signature of the supply officer?				
D17. Does the certificate state the total dollar value and percentage (compared to initial account value) of net losses/gains?				
E17. Does it include the total dollar value and percentage (compared to initial account value) of net losses/gains attributed to administrative errors based on causative research?				
F17. Does it list the total dollar value and percentage (compared to initial account value) of net losses/gains resulting from recommended adjustments due to non-conclusive causative research?				
G17. Does it include the total dollar value and percentage change (compared to initial account value) of the account after the inventory?				
H17. If applicable, does it provide the Supply Officer's opinion on the cause of variances for which causative research was non-conclusive?				
I17. Does the certification identify what corrective actions are necessary to eliminate future variances?				

Preparer

Title: _____
Printed Name: _____
Signature: _____ Date: _____

Reviewer

Title: _____
Printed Name: _____
Signature: _____ Date: _____

Example: Annual Physical Inventory Results Certification

page 1

[Unit Letterhead]

4400
(code)
(Date)

A17

From: Supply Officer
To: Commanding Officer, *(add unit name)*Subj: *(insert inventory type)* WALL TO WALL INVENTORY RESULTS FOR *(insert DoDAAC)*Ref: (a) DFMR 7000.14-R
(b) DoDI 5000.64
(c) MCO 4400.150Encl: (1) Wall-to-Wall Inventory Results
(2) Summary of recommended Wall to Wall inventory adjustments
(3) NAVMC 11867

1. Per the references, a physical inventory of all military equipment and accountable materiel for the command was completed on *(insert date)*. Causative research has been conducted for all inventory variances and recommended actions are addressed in paragraph 2. The detailed results of the annual physical inventory are provided in enclosures (1) with the following summary provided.

B17

a. Dollar value of the account prior to the inventory: *(total dollar value of the account at beginning of inventory)*

D17

b. Total dollar value/percentage of net losses: *(total dollar amount of all losses)/(total dollar amount of all losses divided by the dollar value of the account at the beginning of inventory)*

E17

(1) Total dollar value/percentage of net losses attributed to administrative errors as a result of causative research: *(total dollar of administrative losses)/(total dollar of administrative losses divided by the dollar value of the account at the beginning of inventory)*

F17

(2) Total dollar value/percentage of net losses attributed to inventory losses resulting from recommended adjustments due to non-conclusive causative research: *(total dollar of inventor losses)/(total dollar of inventory losses divided by the dollar value of the account at the beginning of inventory)*

D17

c. Total dollar value/percentage of net gains: *(total dollar amount of all gains)/(total dollar amount of all gains divided by the dollar value of the account at the beginning of inventory)*

E17

(1) Total dollar value/percentage of net gains attributed to administrative errors as a result of causative research: *(total dollar of administrative gains)/(total dollar of administrative gains divided by the dollar value of the account at the beginning of inventory)*

F17

(2) Total dollar value/percentage of net gains attributed to inventory gains resulting from recommended adjustments due to non-conclusive causative research: *(total dollar of inventor gains)/(total dollar of inventory gains divided by the dollar value of the account at the beginning of inventory)*

Example: Annual Physical Inventory Results Certification

page 1

G17 d. Dollar value/percentage change of the account after the inventory:
(total dollar value of the account after adjustments)/(total dollar value of the account after adjustments minus the total dollar value of the account at the beginning of inventory divided by total dollar value of the account at the beginning of inventory)

2. Administrative adjustments are used to correct inventory discrepancies when causative research has determined within an acceptable level of certainty the cause of the accounting error. It is used when it is ascertained that the accounting error cannot be corrected by reversing the transaction that caused the error. Inventory adjustments are used to correct inventory discrepancies discovered during wall to wall inventories and causative research has proved non-conclusive. A listing of recommended administrative and inventory adjustments, which are reflected in paragraph 1 above, are provided in enclosure (2). *(Adjustments may be listed in body of letter as well.)*

H17 3. *(State opinions, if any, as to the cause of variances for which causative research was non-conclusive.)*

I17 4. *(State any corrective action required or initiated to eliminate future variances.)*

5. In accordance with reference (c), enclosure (3) is provided to identify the currently appointed individuals for this consumer level supply activity.

6. A copy of the inventory results and your endorsement will be maintained in the active supply file for 2 years with subsequent retention in the archive supply file for 5 years. In addition, a copy will be forwarded to *(insert higher headquarters)* for trend analysis.

C17 (Signature)
(FI. MI. LAST Name of Supply Officer)

United States Marine Corps (USMC)
Key Supporting Documentation (KSD) Checklist

Please check whether the following elements are adequately addressed in the Key Supporting Documentation (KSD) and make comments, if necessary.

12.18 - Annual Physical Inventory Results Spreadsheet

18. Annual Physical Inventory Results Spreadsheet	Yes	No	N/A	Comments
A18. Have the AAC and unit roll up UICs been provided ?				
B18. Is the inventory completion date provided?				
C18. Is the dollar value prior to inventory provided?				
D18. Have specific gain/loss items been identified by listing the TAMCN, NSN, Nomenclature and Document Number?				
E18. Has the type of adjustment (gain/loss) been properly identified by the DIC Code?				
F18. Have the reported quantity, quantity per inventory, and discrepancy (gain/loss) been accurately identified?				
G18. Have the unit price and extended price of the individual items gained or lost been provided and accurately calculated?				

Preparer Title: _____
 Printed Name: _____
 Signature: _____ Date: _____

Reviewer Title: _____
 Printed Name: _____
 Signature: _____ Date: _____

Example: Annual Physical Inventory Results Spreadsheet

ANNUAL PHYSICAL INVENTORY RESULTS (GAINS AND LOSSES)										
AAC:										
UNIT ROLLUP UIC: A18										
DATE OF INVENTORY COMPLETION: B18										
TOTAL VALUE OF THE ACCOUNT PRIOR TO THE INVENTORY: C18										
INVENTORY GAINS/LOSSES										
D18	D18	D18	D18	E18	ACCT BAL/ RPT OH	INV QTY	DISCREPANT QTY (GAIN)	G18	G18	
TAMCN	NSN	NOMENCLATURE	DOCUMENT NUMBER	DIC/ADJ TYPE				UNIT PRICE	EXTENDED PRICE	
			example	D8A		20	22	2	\$5.00	\$10.00
										\$0.00
						F18	F18	F18		\$0.00
										\$0.00
										\$0.00
TOTAL VALUE OF INVENTORY GAINS/LOSSES									\$10.00	

United States Marine Corps (USMC)
Key Supporting Documentation (KSD) Checklist

Please check whether the following elements are adequately addressed in the Key Supporting Documentation (KSD) and make comments, if necessary.

12.19 - Commander's Annual Physical Inventory Certification

19. Commander's Annual Physical Inventory Certification	Yes	No	N/A	Comments
A19. Does certification have the correct date?				
B19. Has the date of inventory completion been identified?				
C19. Does the certification state that all discrepancies have been reviewed and gain and loss transactions have been approved?				
D19. Does the certification state that the commander has reviewed internal controls and directed appropriate corrective actions to be taken?				
E19. Does the certification state that the inventory results and endorsement will be maintained for two years (active) and then five years (archive)?				
F19. Does the certification contain the signature of the Commander?				

Preparer Title: _____
 Printed Name: _____
 Signature: _____ Date: _____

Reviewer Title: _____
 Printed Name: _____
 Signature: _____ Date: _____

Example: Commander's Annual Physical Inventory Certification

[Insert Unit Letterhead]

4400
(code)
A19. (Date)

FIRST ENDORSEMENT on Supply Officer ltr 4400 (*insert code*) of (*insert date*)

From: Commanding Officer
To: Supply Officer

Subj: (*insert inventory type*) WALL TO WALL INVENTORY RESULTS FOR (*insert DoDAAC*)

- B19. 1. I certify that I have reviewed your wall to wall inventory results which was completed on (date) and concur with your recommendations.
- C19. 2. I have reviewed all inventory discrepancies and have approved all validated gain and loss transactions required to adjust the accountable property records.
3. I direct you to process the transactions required to properly adjust the property records.
- D19. 4. I have reviewed current internal control procedures, and I direct you to take the following corrective actions to strengthen internal control procedures in order to reduce inventory variances in the future (*if applicable*).
- a. (*Insert corrective action(s)*)
- E19. 5. Upon completion of the approved property transactions identified in paragraph 2, a copy of the inventory results, this endorsement, and all supporting documentation will be maintained in the active supply file for 2 years with subsequent retention in the archive supply file for 5 years. In addition, you will forward a copy of all documentation to (*insert higher headquarters*) for trend analysis.

F19.
(Signature)
(FI. MI. LAST Name of CO)

United States Marine Corps (USMC)
Key Supporting Documentation (KSD) Checklist

Please check whether the following elements are adequately addressed in the Key Supporting Documentation (KSD) and make comments, if necessary.

12.20 - NAVMC 11869: Notice of Delegation of Authority

20. KSD: NAVMC 11869: Notice of Delegation of Authority	Yes	No	N/A	Comments
A20. Does the notice contain the correct date?				
B20. Has the name of the unit and the installation where the unit is located been identified?				
C20. Has the need to request, receive and turn in supplies been completed as a "yes" or "no" for each authorized representative listed?				
D20. Have signatures and initials been provided for each authorized representative listed?				
E20. Has the appropriate box "Delegates to" or "Withdraws from" been checked and the specific class of supplies been identified?				
F20. Has the UIC and DoDAAC been identified?				
G20. Has the responsible officer been identified along with his rank/grade and telephone number and has the expiration date of card been identified?				
H20. Does the certification contain the signature of the responsible officer?				

Preparer Title: _____
 Printed Name: _____
 Signature: _____ Date: _____

Reviewer Title: _____
 Printed Name: _____
 Signature: _____ Date: _____

Example: NAVMC 11869: Notice of Delegation of Authority

NAVMC 11869 (11-12) (EF)
FOUO - Privacy sensitive when filled in. Print Form

NOTICE OF DELEGATION OF AUTHORITY DATE:

Purpose: To identify delegated individuals with the authority to request, receipt, or turn-in supplies on behalf of the appointed Responsible Officer in accordance with MCO 4400.150F. A20

AUTHORIZED REPRESENTATIVE(S)

2. ORGANIZATION RECEIVING SUPPLIES	3. LOCATION

4. LAST NAME, FIRST NAME, MI	AUTHORITY			8. SIGNATURE AND INITIALS
	5. REQ	6. REC	7. TURN IN	

AUTHORIZATIONS BY RESPONSIBLE OFFICER, SUPPLY OFFICER, OR ACCOUNTABLE OFFICER

9. THE UNDERSIGNED HEREBY DELEGATES TO WITHDRAWS FROM THE PERSON(S) LISTED ABOVE

THE AUTHORITY TO: E20

10. REMARKS

I ASSUME FULL RESPONSIBILITY

11. UNIT IDENTIFICATION CODE	12. DODAAC / ACCOUNT NUMBER		
13. LAST NAME, FIRST NAME, MI	14. GRADE	15. PHONE NUMBER	16. EXPIRATION DATE

17. SIGNATURE H20

United States Marine Corps (USMC)
Key Supporting Documentation (KSD) Checklist

Please check whether the following elements are adequately addressed in the Key Supporting Documentation (KSD) and make comments, if necessary.

12.21 - WAWF Receiving/Acceptance Report

21. KSD: WAWF Receiving/Acceptance Report	Yes	No	N/A	Comments
A21. Is the contract number recorded on the report and does it agree to the SF26 contract number?				
B21. Is the Issue Date recorded on the report?				
C21. Are the shipment number and shipment date recorded on the report?				
D21. Is the Freight on Board type (Shipping Point or Destination) recorded on the report?				
E21. Are the dollar amount and total dollar amount recorded on the report?				
F21. Is the prime contractor's information including Cage Code and name recorded on the report?				
G21. Is the "Ship To" information including DoDAAC and name recorded on the report?				
H21. Is the "Administered By" information including Code and name recorded on the report?				
I21. Is the "Payment Official" information including DoDAAC and name recorded on the report?				
J21. Is the Stock Number and Stock Type recorded on the report?				
K21. Is the Quantity Shipped recorded on the report?				
L21. Is the Item Description recorded on the report?				
M21. Is the "Initiator" information including name, phone number and email recorded on the report?				
N21. Are the Initiator Date of Action and type of action recorded on the report?				
O21. Is the "Acceptor" information including name, phone number and email recorded on the report?				
P21. Are the Acceptor Date of Action and type of action recorded on the report?				

WAWF Receiving/Acceptance Report ... continued

Preparer Title: _____
Printed Name: _____
Signature: _____ Date: _____

Reviewer Title: _____
Printed Name: _____
Signature: _____ Date: _____

Example: WAWF Receiving/Acceptance Report

page 1

RECEIVING REPORT

(Please look in WAWF for signed copy)

Contract Number	Delivery Order	Issue Date	<input checked="" type="checkbox"/> Supplies
			<input type="checkbox"/> Services

A21

B21

Shipment Number	Shipment Date	Final Shipment	Inspection Point	Acceptance Point	Estimated Delivery Date
B/L Number	TCN			First Line Haul Mode	Gross Weight FOB

C21

C21

D21

Summary of Detail Level Information

Total **E21** \$0.00

Routing Information

F21

Prime Contractor

Ship To

G21

H21

Administered By

Payment Official

I21

ACCEPTED IN WAWF

Page 1

Example: WAWF Receiving/Acceptance Report

page 2

RECEIVING REPORT

- CONTINUATION SHEET, LINE ITEM DETAILS -
(Please look in WAWF for signed copy)

Contract Number	A21	Delivery Order	
Shipment Number	C21	Invoice Number	

Item No	Stock No	Unit Price	Unit of Issue	Qty Shipped	Amount
	J21	D21 \$0.00	EA	K21	D21 \$0.00
	Stock Type	AAA	ACRN	GFE	

L21 Description

TOTAL: \$0.00 D21

ACCEPTED IN WAWF

Page 2

Example: WAWF Receiving/Acceptance Report

page 3

RECEIVING REPORT

– CONTINUATION SHEET, MISCELLANEOUS INFORMATION --
(Please look in WAWF for signed copy)

Contract Number (A21)	Delivery Order
Shipment Number (A21)	Invoice Number

(M21) **Initiator Information**

(N21) Date of Action:
Action(s): Submitted Web, Stand Alone

Comments:

MarkFor Representative:

MarkFor Secondary:

Attachment(s):

(O21) **Acceptor Information**

(P21) Date of Action:
Action(s): Accepted Processed via EDI

Name:
Title:
Phone #:
DSN:
Email:
Org Email:

Comments:

MarkFor Representative:

MarkFor Secondary:

Attachment(s):

ACCEPTED IN WAWF

Page 3

United States Marine Corps (USMC)
Key Supporting Documentation (KSD) Checklist

Please check whether the following elements are adequately addressed in the Key Supporting Documentation (KSD) and make comments, if necessary.

12.22 - NAVMC 604/ 604B: Combined Individual Clothing Requisition and Issue Slip

22. NAVMC 604/ 604B: Combined Individual Clothing Requisition and Issue Slip	Yes	No	N/A	Comments
A22. Has the NAVMC 604/ 604B been filled out to accurately reflect the item(s) and person ordering in accordance with MCBul 10120?				
B22. Has the NAVMC 604/ 604B been signed and dated by the orderer's Commanding Officer (CO)? If it is signed by an "acting" CO, is a copy of the delegation of authority letter attached, along with a copy of the DD 577 authorizing the "acting" CO to obligate government funds?				
C22. Has the NAVMC 604/604B been annotated with the Functional Account Number (FAN)?				
D22. Has the Approval Block been completed by the CO to reflect the type of issue/sale (e.g. checkage)?				
E22. Has the NAVMC 604/604B been signed and dated by the appropriate parties (person ordering and witness, when applicable)?				
F22. Has the Supply Officer (SupO) logged into Wide Area Workflow Miscellaneous Payments (WAWF-MP) as an acceptor to ensure the proper SDN, FY, and ACRN are associated to the applicable FAN for each NAVMC 604 form entered on the WAWF-MP Voucher?				
G22. Has the SupO verified that the payment amount in WAWF-MP matches the NAVMC 604 form and the attached sales slip?				
H22. Has the supply officer accepted the miscellaneous payment for the NAVMC 604 form in WAWF-MP?				

Preparer

Title: _____

Printed Name: _____

Signature: _____

Date: _____

Reviewer

Title: _____

Printed Name: _____

Signature: _____

Date: _____

United States Marine Corps (USMC)
Key Supporting Documentation (KSD) Checklist

Please check whether the following elements are adequately addressed in the Key Supporting Documentation (KSD) and make comments, if necessary.

12.23 - Money Value Gain/Loss (MVGL) Notice

23. KSD: Money Value Gain/Loss Notice	Yes	No	N/A	Comments
A23. Do all gain/loss adjustments listed on the MVGL Notice correspond with pre-approval letters signed by the Commanding Officer (CO)/Accountable Officer (AO)?				
B23. Is the TAMCN and item description for each gain/loss transaction recorded on the MVGL Notice?				
C23. Is the proper AAC/Inventory Organization recorded on the MVGL Notice?				
D23. Do all item serial numbers listed on the MVGL Notice have corresponding supporting documentation?				
E23. Has the MVGL Notice been signed and dated by the CO/ AO?				

Preparer Title: _____
 Printed Name: _____
 Signature: _____ Date: _____

Reviewer Title: _____
 Printed Name: _____
 Signature: _____ Date: _____

Example: Money Value Gain/Loss (MVGL) Notice

Global Combat Support System - Marine Corps Money Value Gain/Loss INV. Adjustments Total Price Range: Low Price : '0' High Price : '99999999' 02-APR-2015

Inventory Org.:

Sub Inventory:01A

SAC:1

Include Rej Items:Yes

Voucher #	Transaction #	Org	Sub Inv	AAC	DIC	TAMCN	NIIN	NIIN Description	Transaction Date	Qty	Unit Price	Total Price	SAC	CEC	CIC	Serial Number	Purp Code	Con Code
-----------	---------------	-----	---------	-----	-----	-------	------	------------------	------------------	-----	------------	-------------	-----	-----	-----	---------------	-----------	----------

A23

B23

D23

Total by Org:

Grand Total:

I have reviewed the documents on this notice and verify that required documents have been properly certified. Signature: _____ Date: _____

E23

Appendix A - List of Acronyms / Abbreviations

List of Acronyms / Abbreviations	
AAC	Activity Address Code
ACO	Administrative Contracting Officer
ACRN	Accounting Classification Reference Number
AO	Accountable Officer
CMR	Consolidated Memorandum of Receipt
CO	Commanding Officer
CON CODE	Condition Code
CQA	Contract Quality Assurance
CUTOFF-DT	Cutoff Date
DIST	Distribution
DIC	Document Identifier Code
DoD	Department of Defense
DoDAAD	Department of Defense Activity Address Directory
DoN	Department of the Navy
E&C	Existence and Completeness
FAN	Functional Account Number
FIAR	Financial Improvement and Audit Readiness
FIP	Financial Improvement Plan
FOB	Freight on Board
FSC	Federal Supply Classification
GBL	Government Bill of Lading
KSD	Key Supporting Documentation
LOA	Letter of Authorization
LOC CODE	Location Code
LOT NO	Lot Number
MAL	Mechanized Allowance List
ME	Military Equipment
MILSTRIP	Military Standard Requisitioning and Issue Procedures
MIPR	Military Interdepartmental Purchase Request
MIRR	Material Inspection and Receiving Report
NMFC	National Motor Freight Classification Commodity Number
NO CONT	Number of Containers
NSN	National Stock Number
OC	Operation Code

List of Acronyms / Abbreviations	
OM&S	Operating Materials & Supplies
OUSD	Office of the Under Secretary of Defense
OUSD (AT&L)	Office of the Under Secretary of Defense for Acquisitions, Technology and Logistics
PCO	Procuring Contract Officer
QTY	Quantity
RIC	Routing Identifier Code
RO	Responsible Officer
SCAC	Standard Carrier Alpha Code
SECDEF	Secretary of Defense
SF	Standard Form
STK LEV	Stock Level
TAC	Transportation Account Code
TAMCN	Table of Authorize Materiel Control Number
TAR	Tri-Annual Review
TCN	Transportation Control Number
TCO	Terminating Contracting Officer
T/E RQMT	Table of Equipment Requirement
TIC	Type Inventory Code
UI	Unit of Issue
UIC	Unit Identifier Code
UP	Unit Price
USMC	United States Marine Corps
WT	Weight

Appendix B - KSD Completion Instructions

Instructions: Award/Contract SF26

INSTRUCTIONS for STANDARD FORM 26

Instructions below correspond to blocks on the form. This form is NOT used for a solicitation.

1. Include the DPAS rating if applicable IAW FAR Subpart 11.6 and page information.
2. Insert the award PIIN once you've made award IAW DFARS 204.7003.
3. 19C., and 20C. The format for this form's date blocks is MM/DD/YY.
4. Insert the purchase requisition (PR) number from your PR form (i.e., DA 3953, NAVCOMP 2276, AF 9, etc.). This will normally be different from the PIIN. If applicable, you should also include the construction project number from your PR.
5. Insert the issuing contracting office information (and its code, if applicable).
6. Leave this blank unless administration functions are done somewhere other than the office shown block 5.
8. Place an X in the appropriate box to indicate whether Free on Board (FOB) will be Origin or Other (Destination or Government Pick Up). If Other, place the FOB in 15B or somewhere in the schedule (i.e., Section B).
9. Insert any discounts the contractor offered for expeditious payment.
10. Insert item 5, 6, 11, or 12, depending on where the contractor should address its invoice to receive proper and timely payment.
11. Insert the address the contractor should deliver item(s) or perform service(s) (and code, if applicable). If there will be multiple delivery points or performance areas, insert "see schedule, section ?-(usually F) and list the specific delivery points or performance areas in that section.
12. Insert the paying address (and code, if applicable).
13. See FAR Part 6.3 for guidance.
14. Insert the fund cite(s) from which you'll make payment. If the cite(s) will not fit in this block, insert "see schedule, section ?"- (usually G) and list your cite(s) in that section.
15. Complete these blocks as defined. If the item(s) will not fit in this block, insert "see schedule, section ?"- (usually B) and list your item(s) in that section.
16. Place an "X" in each section included in the solicitation / award and the number of pages in each applicable section. Note that since this is an award and not a solicitation, you will still include the numbering information in Part IV, sections K-M. However, you will not actually send those to the contractor as part of the award, but will keep them as part of your contract file. You will merely state those sections are incorporated by reference and remain in full force and effect.
- 17 or 18. Unless circumstance dictate otherwise, we recommend you check block 17 and obtain a bilateral agreement.
19. Insert the name and title of the contractor's authorized signature authority and have that person sign and date the offer before the contracting officer signs.
20. Insert the contracting officer's printed or typed name and have her / him sign and date. An award is not valid until the contracting officer completes these blocks.

Instructions: Military Interdepartmental Purchase Request (MIPR) DD Form 448

page 1

DFAS-IN Regulation 37-1

Chapter 12
H September 2000

COMPLETION INSTRUCTION BY BLOCK NUMBER FOR DD FORM 448-MILITARY INTERDEPARTMENTAL PURCHASE REQUEST	
(1)	Enter number of pages (includes attachments).
(2)	Enter Federal supply classification, if applicable.
(3)	Enter control symbol number, if applicable.
(4)	Enter the date MIPR is prepared. For amendments, enter the date the amendment is prepared.
(5)	Enter MIPR number which is also the SDN for a MIPR. See Table 5-4, item FF.
(6)	Enter the amendment number of the MIPR. On issuance of the first MIPR, enter "INITIAL". Consecutively number future amendments to the MIPR starting with 01.
(7)	Enter the complete address of the agency/activity that will be accepting the MIPR.
(8)	Enter the complete address of the agency/activity that is ordering the work/services/supplies.
(9)	Check the appropriate blocks.
(9a)	Enter the item number that relates to the description. If the MIPR is requesting more than one type of item of work/service, consecutively number each item.
(9b)	Enter the description of work/services being requested, the appropriate statement if order is an Economy Act order or a Project Order and a POC. For amendments, explain reason for increase/decrease.
(9c)	Enter quantity, if applicable.
(9d)	Enter unit of issue, if applicable.
(9e)	Enter estimated unit price. For amendment, enter amount of increase/decrease.
(9f)	Enter estimated total price (quantity X estimated unit price). For amendment, enter amount of increase/decrease.
(10)	Self explanatory.
(11)	Enter the grand total of the MIPR. For amendments, enter revised grand total (original amount plus/minus amended amount).
(12)	Enter transportation accounting classification if FOB contractor's plant.
(13)	Enter the address and DODAAD of the OPLOC/FAO that supports the ordering activity. Bills will be sent to the OPLOC/FAO that supports the ordering activity. Ordering activities may request "copies" of bills with supporting detail to be provided if so stated on the MIPR and agreed to by the performing activity.
(14)	In the ACRN block, enter the accounting classification reference number, if applicable. In the following blocks enter the "billed to" accounting classification. If additional space is required for additional fund citations, provide in and attachment to the MIPR and make reference to

Instructions: Military Interdepartmental Purchase Request (MIPR) DD Form 448

page 2

DFAS-IN Regulation 37-1

Chapter 12
H September 2000

	the attachment on the form. In the supplemental accounting classification block include the SDN which is the same as the MIPR number in block 5. For amendments, enter amount of increase/decrease.
(15)	Enter the authorizing officer name (typed or printed).
(16)	The authorizing officer will sign here. Electronic signature is authorized.
(17)	Enter the date the MIPR signed. For amendments, enter the date the amendment is signed.

COMPLETION INSTRUCTIONS BY BLOCK NUMBER FOR DD FORM 448-2 (ACCEPTANCE OF MIPR)	
(1)	Enter the address of the ordering activity. Address will be the same as that entered on block 8 of the DD Form 448.
(2)	Enter the MIPR number. This number will be the same as entered on block 5 of DD Form 448.
(3)	Enter the amendment number. This number will be the same as entered on block 6 of DD Form 448.
(4)	Enter the signature date. This date will be the same date as entered on block 17 of DD Form 448.
(5)	Enter the amount as entered on block 11 of DD Form 448.
(6)	Check the appropriate block.
(7)	Check, if applicable and enter comment/reasons in block 13.
(8)	In blocks 8a through 8c (self explanatory) enter the appropriate data if accepted through reimbursement. For amendments, in Blocks 8c-8d, enter amount of increase/decrease.
(9)	In blocks 9a through 9c (self explanatory) enter the appropriate data if accepted as a direct fund cite. It is recommended that the ordering activity issue a message/letter using a direct fund cite instead of the MIPR. For amendments, in Blocks 9c-9d, enter amount of increase/decrease.
(10)	Self explanatory.
(11)	Enter the grand total of MIPR. If grand total is different than that on DD Form 448, block 11, notify the ordering activity. This will require an amendment. For amendments, enter revised grand total (original amount plus/minus amended amount.
(12a)	Check block, if applicable and enter the additional dollar amount needed. Show justification in block 13.
(12b)	Check block, if applicable and enter amount that is no longer required and to be withdrawn by the ordering activity. When this block is filled out and returned to the ordering activity, no change orders are required by the ordering activity. Upon receipt of DD Form 448-2 and block 12b is checked and amount shown, adjust obligations accordingly.
(13)	Enter remarks, if applicable. Enter the appropriate statement if order is an Economy Act order or a Project Order and a POC.
(14)	Enter the complete address of the accepting (performing) activity.

Instructions: Military Interdepartmental Purchase Request (MIPR) DD Form 448

page 3

DFAS-IN Regulation 37-1**Chapter 12**
H September 2000

(15)	Enter the typed/printed name of the authorized official that is accepting the order.
(16)	The authorized official accepting the order will sign here.
(17)	Enter date that DD Form 448-2 is signed.

Instructions: U.S. Government Bill of Lading (GBL) SF 1103

page 1

1. B/L NUMBER

Enter a bill of lading number. Each bill of lading number is unique.

See OBTAINING AND CREATING BILL OF LADING NUMBERS, Chapter 7 for information on bill of lading numbers.

2. TRANSPORTATION COMPANY TENDERED TO

Enter the full business name of the initial line-haul Transportation Service Provider (TSP) to which the shipment is tendered. The business name should include the words "Company," "Incorporated," or "Limited," as appropriate. (These words may be abbreviated as Co., Inc., and Ltd.) No other company or TSP abbreviation, initial, or symbol may be used.

If a different TSP actually picks up the shipment, the name of the pickup TSP should be indicated in parentheses following the name of the origin line-haul TSP.

For shipments tendered to TSPs under the GSA Centralized Household Goods Traffic Management Program (*civilian agencies only*), enter the name of the transportation company that is party to a GSA Tender of Service Agreement.

3. SCAC

Enter the origin line-haul TSP's four letter Standard Carrier Alpha Code (SCAC).

SCACs are a means of TSP identification and **must** be included on bills of lading. These codes are an integral part of the government's transportation management system.

SCACs are assigned by the National Motor Freight Traffic Association, Inc (NMFTA) for all TSPs except railroads. All SCACs are listed in the Directory of Standard Carrier Alpha Codes, published by NMFTA.

TSPs may request a SCAC by writing to NMFTA, 1001 North Fairfax Street, Suite 600, Alexandria, VA 22314. NMFTA's web site is <http://www.nmfta.org>.

Railroad companies should write the Association of American Railroads, 50 F Street, NW, Washington, DC 20001-1564.

4. DATE B/L PREPARED

Enter the date the first entry is made on the bill of lading.

5. DESTINATION NAME AND ADDRESS

Enter the final destination point where the TSP is to make actual delivery of the shipment to the consignee. Use the complete address (name of federal activity, street address, city, town or point, state and ZIP Code or country) and commercial telephone number.

Instructions: U.S. Government Bill of Lading (GBL) SF 1103

page 2

If there are two or more cities or towns of the same name in the same state, the name of the county must be shown in addition to the city or town and state.

Include any additional information that will ensure shipment delivery to the specified destination. For example, gate entrance, building or warehouse number, bus terminal, station identification, railroad team track, or private siding within the limits of which the consignee receives carload freight. If space is insufficient, add the words "See Marks and Annotations" and insert the information in the MARKS AND ANNOTATIONS space.

STANDARD POINT LOCATION CODE:

- 6. SPLC (DEST.)**
- 7. SPLC (ORIG.)**

Civilian agencies may disregard these spaces.

Enter the nine-digit Standard Point Location Code (SPLC) for a shipment's origin and destination as published in applicable TSP tariffs and tenders. These codes must be on all bills of ladings issued by the Department of Defense (DOD). SPLC numbers are listed in the Continental Directory of Standard Point Location Codes, published by the National Motor Freight Traffic Association, Inc.

8. ORIGIN NAME AND ADDRESS

Enter the exact shipping point where shipment originates. Include the complete street address, city, town or metropolitan area, state and ZIP Code.

Complete information is necessary because shipping points, railheads, or billing stations are not always located in the same place. When there are several TSP stations within or adjacent to a metropolitan area, insert the full name of the city and state and the full name of the station or street address, including the ZIP Code where the shipment is tendered.

9. CONSIGNEE (Name and full address of installation)

Enter the full name and title, room number, and mailing address, including ZIP Code of the department, activity, and person designated to receive the shipment at its final destination. Only one consignee should be listed in this space. When the person to be notified of the delivery differs from the consignee, the name of the person to be notified should also be shown, preceded by the word "Notify."

When the shipment is consigned for delivery to a person or location other than the mailing address shown, add the words, "See Marks and Annotations" and insert an explanation in the MARKS AND ANNOTATIONS space.

10. GBLOC (Cons.)

Civilian agencies may disregard this space.

Instructions: U.S. Government Bill of Lading (GBL) SF 1103

page 4

Route Shipments when Advantageous to the Government

Enter the complete routing for carload quantities via rail, or equivalent quantities via motor or water, only when some substantial interest of the government is served thereby. If the space in this space is not sufficient for showing the full name of each TSP in the route, authorized initials or abbreviations may be used. Junction or interchange points should not be used unless they are required by tender or tariff.

Routings should be selected by experienced transportation personnel who are aware of various tariff restrictions and limitations. This will ensure that required transportation services are obtained at the lowest possible cost to the government.

Routing instructions on the bill of lading must be correct and legible. When there is doubt regarding the most advantageous route, do not specify TSP(s).

Rail Switching TSPs

When a rail switching TSP is required to complete delivery at destination, the authorized initials or abbreviations of the name of the switching TSP should be shown in parentheses next to the initials of the road or line-haul TSP, followed by the words "Switch Delivery"

VIA (Route shipment when advantageous to the Government)

CR-RFP-CSXT (NS). Switch Delivery

Classified and Sensitive Material

(DOD activities only)

VIA (Route shipment when advantageous to the Government)

SUBSTITUTE SERVICE NOT TO BE USED: CCOI 42011

For all motor movements of classified and sensitive material, annotate "Substitute Service Not to Be Used."

14. BILL CHARGES TO (Dept/agency, bureau/office mailing address and ZIP Code)

Enter the complete name and correct mailing address, including the ZIP Code, of the office that will pay and/or authorize the transportation charges. The TSP's bill, together with the original bill of lading properly certified by the TSP, will be forwarded to the name and address shown in this space. Initials or abbreviations of the federal activity should only be used when absolutely necessary.

When more than one office is responsible for payment of charges, enter the name and address of the disbursing office accountable for the largest portion of weight listed on the bill of lading.

Instructions: U.S. Government Bill of Lading (GBL) SF 1103

page 5

15. AGENCY LOC CODE

DOD activities may disregard this space.

Bills of lading involving shipments for civilian agencies should also have an Agency Location Code (ALC) entered in this space. ALCs are assigned in accordance with procedures in the Treasury Financial Manual for Guidance of Departments and Agencies, Volume 1, Part 2, Section 3320. The ALC to be used should be obtained from the agency's local finance or accounting officer.

16. MARKS AND ANNOTATIONS

This space should be filled out when special marks or identifying symbols are used on packages or boxes comprising the shipment. Special marks assist in handling, accounting, and storing, and serve other useful purposes after the shipment has been delivered.

Supplemental data may also be entered in this space when space in other spaces is insufficient. When used for this purpose, data should be cross-referenced to the appropriate space.

When shipments are intended at destination for some person other than the consignee or for trans-shipment, insert the word "For" followed by the name or code, if applicable, of the person or activity to whom the delivery is to be made.

When a shipment is made to a port of export, insert the words "For Export," and follow with the name of the destination country.

When accessorial or special services are ordered incident to the line-haul transportation, the bill of lading must be endorsed to show the name of the TSP upon which the request was made and the kind and special services ordered. The endorsement may be placed in this space or on SF 1109, U.S. Government Bill of Lading Continuation Sheet and signed by or for the person who ordered the service.

If additional space is required, special notations may be entered on SF 1109 and cross-reference in this space.

PACKAGES:

17. NO

18. KIND

This space should show the total number of each type of package applicable to each group of articles opposite the related description of such articles as shown in the DESCRIPTION OF ARTICLES space.

A separate entry must be made for each article that is classified differently. Each type of container or package used, such as barrels, boxes, crates, drums, or cylinders, must be shown. Customary abbreviations may be used to describe the type of container used in the shipment. Generally, only the type of outer container or package is entered in this space,

Instructions: U.S. Government Bill of Lading (GBL) SF 1103

page 6

since inner containers or packages do not determine the classification rating or the freight rate.

Household Goods

(Civilian agencies only)

Enter "1 LOT" in this space.

Pallet Loads

When articles are shipped on pallets, the number of packages comprising the pallet load must be shown (e.g., 2 pallets of 20 boxes each; 1 bundle of 4,000 board feet).

Articles Shipped Loose

If articles are shipped loose, the number of pieces or units and the related description of such articles should be entered.

Bulk Shipments

When carload shipments of bulk freight such as coal, ore, gravel, sand, or loose grain are made, this space should be disregarded.

19. HM (Hazardous Material)

Enter an "X" if the shipper is requesting transportation for any hazardous materials subject to the Department of Transportation Regulations (Title 49, Code of Federal Regulations (CFR)). Then list the hazardous material(s) under "DESCRIPTION OF ARTICLES".

20. DESCRIPTION OF ARTICLES *(Use carrier's classification or tariff description if possible; otherwise use a clear nontechnical description.)*

Enter the proper freight description and any other information or special instructions to the TSP concerning the items being shipped. When freight items are subject to a released valuation, such released valuation must be shown on the bill of lading.

The information in this space should conform to the governing TSP's classification, tender or tariff description. The description of articles provided in the TSP's freight classification determines the freight rate to be applied.

If there is doubt concerning the proper description, a clear, non-technical description should be placed in this space. Trade names may be added in parentheses to the description if it will aid in proper classification of the commodity shipped. It is important that "used" articles or property be so designated in the description of articles.

SF 1109, Continuation Sheet should be used if additional space is needed to complete the description of articles to be shipped.

Instructions: U.S. Government Bill of Lading (GBL) SF 1103

page 7

Water Shipments

Rail or motor commodity descriptions should not be used for water shipments, unless so provided in the TSP's tariff.

Hazardous Materials

When shipping the hazardous materials listed in Title 49 of the Code of Federal Regulations (49 CFR 172.101), the description must be shown as listed therein. If the hazardous material description differs from the governing applicable rate authority description, the hazardous material description, including the appropriate United Nations number, must be shown first, and immediately behind it in parentheses, the applicable rate authority description. The hazardous class number must be shown on all international shipments. Abbreviations must not be used. When both a hazardous material and a non-hazardous material are listed, the hazardous material must be shown first or entered in a contrasting color.

Since hazardous materials regulations are subject to change, it is recommended the U.S. Department of Transportation's Hazardous Materials Regulations (49 CFR, Parts 171 through 180) be reviewed prior to such shipments. The U.S. Department of Transportation, Pipeline and Hazardous Materials Safety Administration (PHMSA) is responsible for coordinating a national safety program for the transportation of hazardous materials by air, rail, highway, and water. PHMSA Internet Web site, <http://www.phmsa.dot.gov/hazmat>, is designed to disseminate information about the agency's programs and activities and to assist in complying with the Hazardous Materials Regulations.

The following certification, as required by 49 CFR 172.204, should also be included in the Descriptions of Articles space, when hazardous materials are shipped by conveyances other than air TSPs:

"This is to certify that the above-named materials are properly classified, described, packaged, marked, and labeled, and are in proper condition for transportation, according to the applicable regulations of the Department of Transportation."

Certifying Official

Shipments via air TSPs require the following certification:

"I hereby certify that the contents of this consignment are fully and accurately described above by proper shipping name and are classified, packed, marked and labeled, and in proper condition for carriage by air according to applicable national governmental regulations."

Certifying Official

These certifications must be legibly signed by a principal, officer, partner, or employee of the shipper or his agent. The signature may be manually produced by typewriter, or by other mechanical means.

Instructions: U.S. Government Bill of Lading (GBL) SF 1103

page 9

21. WEIGHTS* (POUNDS ONLY)

The gross weight of the package(s) must be shown separately in the weight column opposite the appropriate description of the package(s) in the DESCRIPTION OF ARTICLES space.

The weight of pallets, platforms, or skids on which a shipment may be loaded should be shown separately on the bill of lading because some TSP tariffs provide that no charge will be made for their weight when it is shown separately.

When continuation sheets are required for separate listings of all packages, their total weight should be shown on the original bill of lading with a reference to the continuation sheet.

Weights are specified as "actual," "estimated," or "agreed." When "agreed" weights are used, reference to the weight agreement and the name of the issuing bureau should be shown on the original bill of lading. When "actual" weights cannot be determined before the shipment is made, estimated weights should be shown and the notation "Estimated weights; weigh and correct" should be placed on the bill of lading.

When property is shipped in truckload, carload or equivalent quantities, and dunnage, such as blocking, temporary lining, racks, bracing, or strapping is required; the weight of the dunnage must be shown separately. Provisions for dunnage allowances vary under the applicable tariffs.

The importance of correctly stating the applicable weight for shipments is self-evident. Since TSP's freight charges are based primarily on weight, it becomes a controlling factor in the efficient and economical expenditure of government transportation funds.

*Show also cubic measurements for shipments via air, truck or water in cases where required.

FOR USE OF BILLING ONLY:

22. SERVICES

23. RATE

24. CHARGES

26. TOTAL CHARGES

This section is for the sole use of the billing TSP who inserts the services provided and the proper rates and charges.

This section is left blank on the original and all copies furnished to the TSP. (The issuing officer may use this space to show estimated transportation charges and such accounting classifications as may be administratively required.)

25. CLASSIFICATION ITEM NO.

Enter the Uniform Freight Classification or the National Motor Freight Classification number for the article described on the bill of lading. When the shipment consists of more than one commodity, the classification number should be shown after each commodity listed in the DESCRIPTION OF ARTICLES space. This space can then be left blank. When the commodity description is "Freight of All Kinds," the appropriate number shown in the

Instructions: U.S. Government Bill of Lading (GBL) SF 1103

page 10

applicable government freight tender or rules publication governing the movement of freight traffic should be used.

27. TARIFF/SPECIAL RATE AUTHORITY

For carload, truckload, container, or volume shipments enter the tariff reference or special rate quotation under the provisions of 49 U.S.C. 10721, 13712. This reference is entered as a source of information; an audit of charges will not be limited to what is referenced.

When special rate quotations provide a reduction in transportation costs for shipments, regardless of their weight, including less-than-carload quantities, these rate authorities should be indicated. One time only quotes and rate agreements should be shown and copies attached to the bill of lading. Use the TSP's SCAC followed by the tariff or rate quotation number.

28. CARRIER WAY/FREIGHT BILL NO. AND 29. DATE

The TSP should transfer their way or freight bill number to this space and provide the date prior to billing for charges. This information is useful to the shipper and consignee for tracing and claims purposes.

30. STOP THIS SHIPMENT AT

Rail and motor TSP tariffs generally provide stop off-in-transit to partially load or unload shipments. This TSP service permits a conveyance to be stopped at one or more intermediate points during transit for the purpose of loading or unloading freight prior to arrival at the final destination. Charges are based on the total maximum weight shipped from original point of origin to final destination plus the stop off charges. Combining several shipments moving to or from the same general geographical area often results in lower overall transportation costs.

It is important that complete instructions are provided to the TSP on the bill of lading to ensure that all parties involved with such shipments are aware of the special loading or unloading requirements.

When a shipment is to be stopped in transit for partial loading or unloading, the following information must be fully and completely shown on the bill of lading:

- The point at which the stop is to be made.
- The purpose for the stop (to complete loading or to partially unload).
- The full name and address of the party to be notified at the stopoff point.
- The quantity of freight to be loaded or unloaded at each stopoff point.

If this space does not provide enough room, additional information may be shown in the MARKS AND ANNOTATIONS, DESCRIPTION OF ARTICLES, or on SF 1109, U.S. Government Bill of Lading Continuation Sheet. Appropriate cross-reference should be made in this space.

Instructions: U.S. Government Bill of Lading (GBL) SF 1103

page 11

Each portion of the shipment to be partially loaded or unloaded at intermediate points should be identified in the DESCRIPTION OF ARTICLES space.

Inclusion of the above details concerning the material to be stopped in transit will enable TSPs to perform the service with a minimum of delay.

Notification to Consignees

It is also necessary that each intermediate consignee at the stop off points is notified promptly of the shipment. This may be accomplished by the consignor forwarding a copy of the bill of lading to the intermediate consignees at the time the shipment is tendered to the origin TSP.

Under the GBL distribution procedures where the original SF 1103 is furnished to the origin TSP at the time of shipment, the intermediate consignee at the stop off point will issue a certificate to the stop off TSP and furnish copies to any other intermediate consignee and the final consignee. This certificate will provide specific details concerning the material loaded or unloaded at the stop off locations (GBL number, conveyance number, final destination, seal numbers, stop off points, portion of shipment loaded or unloaded, date of stop off and any loss, damage, or other discrepancies noted at the time the shipment is received at the stop off point).

Reporting Loss & Damage

Each consignee who discovers losses, damages, or other discrepancies must report them on government prescribed forms to the government paying office and other designated offices, as required by the agency issuing the bill of lading.

31. FOR

Civilian Agencies Only

If the SF 1103 is used for a household goods movement and there is to be a pickup in addition to the one at the origin residence, the extra pickup address should be entered in the STOP THIS SHIPMENT AT space and the words "EXTRA PICKUP" should be entered in this space.

If a delivery is to occur in addition to that at the final destination residence or warehouse, the extra delivery address should be entered in the STOP THIS SHIPMENT AT space and the words "EXTRA DELIVERY" should be entered in this space.

32. CARRIER'S PICKUP DATE (*Year, month, and day*)

The TSP to whom the shipment is tendered must complete this space. The bill of lading is legally in effect and the TSP assumes responsibility for the shipment on the date appearing in this space.

Instructions: U.S. Government Bill of Lading (GBL) SF 1103

page 12

The applicable rate on any shipment is the one published and in effect on the date the shipment is accepted by the TSP. If the published rate changes while the shipment is en route, the TSP's pickup date, determines which rate applies.

FURNISH INFORMATION ON CAR/TRUCKLOAD/CONTAINER SHIPMENTS

SEAL NUMBERS:

33. APPLIED BY

When a shipment is made in one or more closed rail cars, closed motor vehicles, or containers and these commercial conveyances are sealed at the point of origin, this space should show each of the seal numbers and who applied them (shipper for rail cars and intermodal containers; shipper or TSP for motor vehicles). When shipments are made by commercial conveyance, the TSP has access to his equipment during transit, even if seals are applied. If motor vehicles are loaded to full visible capacity, they should be sealed by the shipper. Seals are applied to protect the cargo in transit from pilferage or damage. Sealing of a truck does not trigger application of exclusive use vehicle rates.

A record of the original seal numbers assists in determining liability when equipment arrives at the destination with broken or missing seals or when loss, damage, or shortage is subsequently discovered in the shipment. Any changes from the original seal numbers should be noted by the consignee on his copy of the delivering TSP's documents and the consignee's copy of the bill of lading, if available. All notations must be signed by the consignee and the TSP's agent.

LENGTH/CUBE:

34. ORDERED

35. FURNISHED

This space must be completed when a railcar, truck, or container of a specific length or cubic capacity is ordered to accommodate a shipment. The information is required to ensure that the lowest freight charge will be applied to the shipment.

Enter the length (in feet and inches) or cubic feet of railcar (TSP or government-owned), motor vehicle, container, or barge ordered and furnished.

When carload, truckload, or containerized shipments are involved, TSPs cannot always furnish equipment of the length and cubic capacity ordered. They may furnish units of greater length and cube. If the bill of lading does not show the length and cubic capacity of the conveyance ordered, charges will be assessed on the minimum weight or cube applicable to the conveyance furnished and used. If the bill of lading shows a conveyance smaller than that furnished was ordered, charges will usually be based on the size of the smaller conveyance, unless otherwise provided by TSP tariff or other governing publication.

This space should not be completed when less-than-truckload shipments are involved, unless required by tariff or tender.

Instructions: U.S. Government Bill of Lading (GBL) SF 1103

page 13

When Size Ordered is Not Available

If a TSP indicates prior to furnishing the conveyance that he does not have the size ordered and offers one of a greater size or capacity, the larger size conveyance may be accepted if the TSP is willing to have the bill of lading annotated:

"THIS SIZE CONVEYANCE FURNISHED FOR THE CONVENIENCE OF THE TSP"

This notation will generally protect the minimum weight or cube for the conveyance ordered.

WARNING: If a shipper permits the loading of his shipment on equipment provided by the TSP which is different than the one he ordered, that constitutes acceptance of the equipment provided, and charges will be assessed on the basis of the equipment actually used.

MARKED CAPACITY:

36. ORDERED

37. FURNISHED

When one or more railcar or container is ordered for a shipment, or when exclusive use of a vehicle is required, enter the desired capacity, and if available, the marked capacity of the equipment such as pounds and/or cubic feet.

Loading rail freight cars is normally the responsibility of the shipper. Care should be exercised to prevent overloading when heavy commodities are involved, as unloading or reloading excess weight is quite costly.

Disregard this space when shipments are made in less-than-truckload quantities.

38. DATE FURNISHED

This space must be completed when the shipment comprises one or more carloads, truckloads, or containers.

"DATE FURNISHED," means the date on which the conveyance is placed in a satisfactory condition for loading.

The date on which a conveyance is furnished serves as a basis for determining the application of demurrage or detention charges and will govern the free time allowed for loading and/or unloading. Omission of this date could result in the payment of erroneous demurrage or detention charges.

When shipments are by ship or barge, it is also important to show the date the vessel is available for loading.

Disregard this space when shipments are made in less-than-truckload quantities.

Instructions: U.S. Government Bill of Lading (GBL) SF 1103

page 14

39. MODE

Enter the type of transportation used for the shipment (motor, rail, air) or identify any special type of conveyance used to transport the shipment (boxcar, flatbed trailer, etc.).

For DOD Shipments Only

Use specific codes assigned for entry in these spaces. Codes are published in the Defense Transportation Regulation.

40. ESTIMATE

Enter the estimated transportation cost for the shipment, if required by the issuing agency.

41. NO. OF CLS/TLS (Carload Shipment/Trailer Load Shipment)

Enter the number of conveyances used. Cross out conveyance not used. (Disregard this space for less-than-truckload quantities.)

42. TYPE RATE

Enter the type of rate used for the shipment (class, commodity, Sections 10721, 13712, contract, or mileage). If space is insufficient use the MARKS AND ANNOTATIONS space or see GENERAL INSTRUCTIONS AND ADMINISTRATIVE DIRECTIONS below if additional space is necessary.

For DOD Shipments Only

Use specific codes assigned for entry in these spaces. Codes are published in the DTR.

43. PSC (Protective Service Code)

Shipments requiring transportation protective services during transit must show the appropriate PSC shown in the applicable government rules publications governing the shipment.

For DOD Shipments Only

Use specific codes assigned for entry in these spaces. Codes are published in the Defense Transportation Regulations

44. REASON

For DOD Shipments Only

If a shipment cannot be sent via the lowest cost route, enter the appropriate reason code and the difference in cost in this space.

Specific codes assigned for entry in this space are published in the DTR.

Instructions: U.S. Government Bill of Lading (GBL) SF 1103

page 15

CERTIFICATE OF BILLING – CONSIGNEE MUST NOT PAY ANY CHARGES

45. DELIVERED ON (*Year, month, and day*)

This space certify that the TSP has performed the services required by the BL and must be completed by the delivering TSP before the government pays the charges.

FOR USE OF ISSUING OFFICE

46. ISSUING OFFICE (*Name and complete address*)

Enter the complete name and mailing address of the BL issuing office.

When GBL continuation sheets are used, the full name and complete mailing address of the issuing office must be shown in the space provided.

The issuing office is accountable for misuse, loss, or cancellation of a BL. Therefore, the specific office issuing the BL, as well as the department or agency, must be shown.

47. GBLOC

For DOD Shipments Only

Enter the GBLOC assigned to the issuing activity.

48. ISSUING OFFICER

Enter the typed or stamped name and title of the issuing officer. A manual or facsimile signature of the issuing officer's name is not required in this space except when issuing laser printed GBLs or when individual agency requires signature. When issuing laser printed GBLs, each original GBL should be signed in a color or ink other than black.

Only authorized personnel may issue GBLs. Regardless of whether the GBL is used by the issuing activity or by a contractor as shipper, only the name of the issuing officer or his authorized alternate is acceptable. Although the signature of the issuing officer is not required in this space, except as provided above, his typed name and title must appear on the original and all copies of the GBL. Therefore, if a facsimile name and title stamp is used, each copy of the GBL set must be individually stamped.

49. CONTRACT/PURCHASE ORDER NO. OR OTHER AUTHORITY

Enter the number of the procurement document, contract or purchase order number, or other authority for making the shipment.

Instructions: U.S. Government Bill of Lading (GBL) SF 1103

page 16

When one BL covers several lots of material with each lot under a different shipping authority, reference each shipping authority in connection with the description of the respective item or groups of items shown in the Consignee space.

For household goods shipments (*civilian agencies only*), enter the travel authorization number.

When the bill of lading is to be used by a contractor as shipper, it is particularly important that the issuing officer furnish the contractor with the contract or purchase order number, or other authority for shipment, its date, and f.o.b. point. In the absence of such data on a bill of lading, the TSP may refuse to accept the shipment from a contractor as shipper.

50. DATED

Enter the date of the contract, purchase order, or other authority.

For household goods shipments (*civilian agencies only*), enter the date the relocation travel authorization was signed.

51. FOB POINT NAMED IN CONTRACT

Enter the fob point of shipment named in the procurement document.

Instructions: Material Inspection and Receiving Report (MIRR) DD Form 250

page 1

DFARS Appendix F

PART 4—PREPARATION OF THE DD FORM 250 AND DD FORM 250C

F-401 Preparation instructions.

(a) *General.*

- (1) Dates must use nine spaces consisting of the four digits of the year, three-position alphabetic month abbreviation, and two digits for the day. For example, 2000AUG07, 2000SEP24.
- (2) Addresses must consist of the name, street address/P.O. box, city, state, and ZIP code.
- (3) Enter to the right of and on the same line as the word "Code" in Blocks 9 through 12 and in Block 14—
 - (i) The Commercial and Government Entity Handbook (H4/H8) code;
 - (ii) The DoD activity address code (DoDAAC) as it appears in the DoD Activity Address Directory (DoDAAD), DoD 4000.25-6-M; or
 - (iii) The Military Assistance Program Address Directory (MAPAD) code.
- (4) Enter the DoDAAC, CAGE (H4/H8), or MAPAD code in Block 13.
- (5) The data entered in the blocks at the top of the DD Form 250c must be identical to the comparable entries in Blocks 1, 2, 3, and 6 of the DD Form 250.
- (6) Enter overflow data from the DD Form 250 in Block 16 or in the body of the DD Form 250c with an appropriate cross-reference. Do not number or distribute additional DD Form 250c sheets, solely for continuation of Block 23 data as part of the MIRR.
- (7) Do not include classified information in the MIRR. MIRRs must not be classified.

(b) *Completion instructions.*

- (1) Block 1—PROCUREMENT INSTRUMENT IDENTIFICATION (CONTRACT) NO. See paragraph [F-301\(b\)\(1\)](#).
- (2) Block 2—SHIPMENT NO. See [F-301\(b\)\(2\)](#), SHIPMENT NO. When the series is completely used, change the shipment number prefix and start with 0001.
- (3) Block 3—DATE SHIPPED. Enter the date the shipment is released to the carrier or the date the services are completed. If the shipment will be released after the date of CQA and/or acceptance, enter the estimated date of release. When the date is estimated, enter an "E" after the date. Do not delay distribution of the MIRR for entry of the actual shipping date. Reissuance of the MIRR is not required to show the actual shipping date (see [F-403](#)).
- (4) Block 4—B/L TCN. When applicable, enter—
 - (i) The commercial or Government bill of lading number after "B/L;"

Instructions: Material Inspection and Receiving Report (MIRR) DD Form 250

page 2

(ii) The transportation control number after "TCN" (when a TCN is assigned for each line item on the DD Form 250 under Block 16 instructions, insert "See Block 16"); and

(iii) The initial (line haul) mode of shipment code in the lower right corner of the block (see [F-402](#)).

(5) Block 5--DISCOUNT TERMS.

(i) The contractor may enter the discount in terms of percentages on all copies of the MIRR.

(ii) Use the procedures in F-406 when the MIRR is used as an invoice.

(6) Block 6--INVOICE NO./DATE.

(i) The contractor may enter the invoice number and actual or estimated date of invoice submission on all copies of the MIRR. When the date is estimated, enter an "E" after the date. Do not correct MIRRs other than invoice copies to reflect the actual date of invoice submission.

(ii) Use the procedures in [F-406](#) when the MIRR is used as an invoice.

(7) Block 7--PAGE/OF. Consecutively number the pages of the MIRR. On each page enter the total number of pages of the MIRR.

(8) Block 8--ACCEPTANCE POINT. Enter an "S" for Origin or "D" for destination.

(9) Block 9--PRIME CONTRACTOR/CODE. Enter the code and address.

(10) Block 10--ADMINISTERED BY/CODE. Enter the code and address of the contract administration office cited in the contract.

(11) Block 11--SHIPPED FROM/CODE/FOB.

(i) Enter the code and address of the "Shipped From" location. If identical to Block 9, enter "See Block 9."

(ii) For performance of services line items which do not require delivery of items upon completion of services, enter the code and address of the location at which the services were performed. If the DD Form 250 covers performance at multiple locations, or if identical to Block 9, enter "See Block 9."

(iii) Enter on the same line and to the right of "FOB" an "S" for Origin or "D" for Destination as specified in the contract. Enter an alphabetic "O" if the "FOB" point cited in the contract is other than origin or destination.

(iv) For destination or origin acceptance shipments involving discount terms, enter "DISCOUNT EXPEDITE" in at least one-half inch outline-type style letters across Blocks 11 and 12. Do not obliterate other information in these blocks.

(12) Block 12--PAYMENT WILL BE MADE BY/CODE. Enter the code and address of the payment office cited in the contract.

(13) Block 13--SHIPPED TO/CODE. Enter the code and address from the contract or shipping instructions.

Instructions: Material Inspection and Receiving Report (MIRR) DD Form 250

page 3

(14) Block 14--MARKED FOR/CODE. Enter the code and address from the contract or shipping instructions. When three-character project codes are provided in the contract or shipping instructions, enter the code in the body of the block, prefixed by "Proj"; do not enter in the Code block.

(15) Block 15--ITEM NO. See paragraph F301(b)(14) with the exception to F301(b)(2)(B)2 that line item numbers not in accordance with the Uniform Contract Line Item Numbering System may be entered without regard to positioning.

(16) Block 16--STOCK/PART NO./DESCRIPTION.

(i) Use single or double spacing between line items when there are less than four line items. Use double spacing when there are four or more line items. Enter the following for each line item:

(A) The national stock number (NSN) or noncatalog number. Where applicable, include a prefix or suffix. If a number is not provided, or it is necessary to supplement the number, include other identification such as the manufacturer's name or Federal supply code (as published in Cataloging Handbook H4-1), and the part number. Show additional part numbers in parentheses or slashes. Show the descriptive noun of the item nomenclature and if provided, the Government assigned management/material control code. The contractor may use the following technique in the case of equal kind supply items. The first entry shall be the description without regard to kind. For example, "Shoe-Low Quarter-Black," "Resistor," "Vacuum Tube," etc. Below this description, enter the contract line item number in Block 15 and Stock/Part number followed by the size or type in Block 16.

(B) On the next printing line, if required by the contract for control purposes, enter: the make, model, serial number, lot, batch, hazard indicator, or similar description.

(C) On the next printing lines enter—

(1) The MIPR number prefixed by "MIPR" or the MILSTRIP requisition number(s) when provided in the contract; or

(2) Shipping instructions followed on the same line (when more than one requisition is entered) by the unit for payment and the quantity shipped against each requisition.

Example:	
V04696-185-750XY19059A	— EA 5
N0018801776038XY3211BA	— EA 200
AT650803050051AAT6391J	— EA 1000

(D) When a TCN is assigned for each line item, enter on the next line the transportation control number prefixed by "TCN."

(ii) For service line items, enter the word "SERVICE" followed by as short a description as is possible in no more than 20 additional characters. Some examples of service line items are maintenance, repair, alteration, rehabilitation, engineering, research, development, training, and testing. Do not complete Blocks 4, 13, and 14 when there is no shipment of material.

(iii) For all contracts administered by the Defense Contract Management Agency, with the exception of fast pay procedures, enter and complete the following:

Instructions: Material Inspection and Receiving Report (MIRR) DD Form 250

page 4

Gross Shipping Wt. _____
State weight in pounds only.

(iv) Starting with the next line, enter the following as appropriate (entries may be extended through Block 20). When entries apply to more than one line item in the MIRR, enter them only once after the last line item entry. Reference applicable line item numbers.

(A) Enter in capital letters any special handling instructions/limits for material environmental control, such as temperature, humidity, aging, freezing, shock, etc.

(B) When a shipment is chargeable to Navy appropriation 17X4911, enter the appropriation, bureau control number (BCN), and authorization accounting activity (AAA) number (e.g., 17X4911-14003-104).

(C) When the Navy transaction type code (TC), "2T" or "7T" is included in the appropriation data, enter "TC 2T" or "TC 7T."

(D) When an NSN is required by but not cited in a contract and has not been furnished by the Government, the contractor may make shipment without the NSN at the direction of the contracting officer. Enter the authority for such shipment.

(E) When Government furnished property (GFP) is included with or incorporated into the line item, enter the letters "GFP."

(F) When shipment consists of replacements for supplies previously furnished, enter in capital letters "REPLACEMENT SHIPMENT." (See [F-401](#), Block 17, for replacement indicators.)

(G) On shipments of Government furnished aeronautical equipment (GFAE) under Air Force contracts, enter the assignment AERNO control number, e.g., "AERNO 60-6354."

(H) For items shipped with missing components, enter and complete the following:

"Item(s) shipped short of the following component(s): NSN
or comparable identification _____, Quantity
_____, Estimated Value _____, Authority
_____"

(I) When shipment is made of components which were short on a prior shipment, enter and complete the following:

"These components were listed as shortages on shipment number
_____, date shipped _____"

(J) When shipments involve drums, cylinders, reels, containers, skids, etc., designated as returnable under contract provisions, enter and complete the following:

"Return to _____, Quantity _____,
Item _____, Ownership (Government/contractor)."

(K) Enter the total number of shipping containers, the type of containers, and the container number(s) assigned for the shipment.

(L) On foreign military sales (FMS) shipments, enter the special markings, and FMS case identifier from the contract. Also enter the gross weight.

Instructions: Material Inspection and Receiving Report (MIRR) DD Form 250

page 5

(M) When test/evaluation results are a condition of acceptance and are not available prior to shipment, the following note shall be entered if the shipment is approved by the contracting officer:

“Note: Acceptance and payment are contingent upon receipt of approved test/evaluation results.”

The contracting officer will advise—

(1) The consignee of the results (approval/disapproval); and

(2) The contractor to withhold invoicing pending attachment of the approved test/evaluation results.

(N) The copy of the DD Form 250 required to support payment for destination acceptance (top copy of those with shipment) or ARP origin acceptance shall be identified as follows: enter “PAYMENT COPY” in approximately one-half inch outline type style letters with “FORWARD TO BLOCK 12 ADDRESS” in approximately one-quarter inch letters immediately below. Do not obliterate any other entries.

(O) For clothing and textile contracts containing a bailment clause, enter the words “GFP UNIT VALUE.”

(P) When the initial unit incorporating an approved value engineering change proposal (VECP) is shipped, enter the following statement:

This is the initial unit delivered which incorporates VECP
No. _____, Contract Modification
No. _____, dated _____

(17) Block 17--QUANTITY SHIPPED/RECEIVED.

(i) Enter the quantity shipped, using the unit of measure in the contract for payment. When a second unit of measure is used for purposes other than payment, enter the appropriate quantity directly below in parentheses.

(ii) On the final shipment of a line item of a contract containing a clause permitting a variation of quantity and an underrun condition exists, the prime contractor shall enter a “Z” below the last digit of the quantity. Where the final shipment is from other than the prime contractor’s plant and an underrun condition exists, the prime contractor may elect either to—

(A) Direct the subcontractor making the final shipment to enter a “Z” below the quantity; or

(B) Upon determination that all subcontractors have completed their shipments, correct the DD Form 250 (see [F-405](#)) covering the final shipment of the line item from the prime contractor’s plant by addition of a “Z” below the quantity. Do not use the “Z” on deliveries which equal or exceed the contract line item quantity.

(iii) For replacement shipments, enter “A” below the last digit of the quantity, to designate first replacement, “B” for second replacement, etc. Do not use the final shipment indicator “Z” on underrun deliveries when a final line item shipment is replaced.

Instructions: Material Inspection and Receiving Report (MIRR) DD Form 250

page 6

17. QUANTITY
SHIP/REC'D
1000
(10)
Z

(iv) If the quantity received is the same quantity shipped and all items are in apparent good condition, enter by a check mark. If different, enter actual quantity received in apparent good condition below quantity shipped and circle. The receiving activity will annotate the DD Form 250 stating the reason for the difference.

(18) Block 18--UNIT. Enter the abbreviation of the unit measure as indicated in the contract for payment. Where a second unit of measure is indicated in the contract for purposes other than payment or used for shipping purposes, enter the second unit of measure directly below in parentheses. Authorized abbreviations are listed in MIL-STD-129, Marking for Shipping and Storage. For example, LB for pound, SH for sheet.

18. UNIT
LB
(SH)

(19) Block 19--UNIT PRICE. The contractor may, at its option, enter unit prices on all MIRR copies, except as a minimum:

(i) The contractor shall enter unit prices on all MIRR copies for each item of property fabricated or acquired for the Government and delivered to a contractor as Government furnished property (GFP). Get the unit price from Section B of the contract. If the unit price is not available, use an estimate. The estimated price should be the contractor's estimate of what the items will cost the Government. When the price is estimated, enter an "E" after the unit price.

(ii) Use the procedures in [F-406](#) when the MIRR is used as an invoice.

(iii) For clothing and textile contracts containing a bailment clause, enter the cited Government furnished property unit value opposite "GFP UNIT VALUE" entry in Block 16.

(iv) Price all copies of DD Forms 250 for FMS shipments with actual prices, if available. If actual price are not available, use estimated prices. When the price is estimated, enter an "E" after the price.

(20) Block 20--AMOUNT. Enter the extended amount when the unit price is entered in Block 19.

(21) Block 21--CONTRACT QUALITY ASSURANCE (CQA).

(i) The words "conform to contract" contained in the printed statements in Blocks 21a and 21b relate to quality and to the quantity of the items on the report. Do not modify the statements. Enter notes taking exception in Block 16 or on attached supporting documents with an appropriate block cross-reference.

(ii) When a shipment is authorized under alternative release procedure, attach or include the appropriate contractor signed certificate on the top copy of the DD Form 250 copies distributed to the payment office or attach or include the appropriate contractor certificate on the

Instructions: Material Inspection and Receiving Report (MIRR) DD Form 250

page 7

contract administration office copy when contract administration (Block 10 of the DD Form 250) is performed by the Defense Contract Management Agency.

(iii) When contract terms provide for use of Certificate of Conformance and shipment is made under these terms, the contractor shall enter in capital letters "CERTIFICATE OF CONFORMANCE" in Block 21a on the next line following the CQA and acceptance statements. Attach or include the appropriate contractor signed certificate on the top copy of the DD Form 250 copies distributed to the payment office or attach or include the appropriate certificate on the contract administration office copy when contract administration (Block 10 of the DD Form 250) is performed by the Defense Contract Management Agency. In addition, attach a copy of the signed certificate to, or enter on, copies of the MIRR sent with shipment.

(iv) *ORIGIN.*

(A) The authorized Government representative must—

(1) Place an "X" in the appropriate CQA and/or acceptance box(es) to show origin CQA and/or acceptance. When the contract requires CQA at destination in addition to origin CQA, enter an asterisk at the end of the statement and an explanatory note in Block 16;

(2) Sign and date.

(3) Enter the typed, stamped, or printed name, title, mailing address, and commercial telephone number.

(B) When alternative release procedures apply—

(1) The contractor or subcontractor shall complete the entries required under paragraph (A) and enter in capital letters "ALTERNATIVE RELEASE PROCEDURE" on the next line following the printed CQA/acceptance statement.

(2) When acceptance is at origin and contract administration is performed by an office other than the Defense Contract Management Agency, the contractor shall furnish the four payment office copies of the MIRR to the authorized Government representative for dating and signing of one copy and forwarding of all copies to the payment office.

(3) When acceptance is at origin and contract administration is performed by the Defense Contract Management Agency, furnish the contract administration office copy of the MIRR to the authorized Government representative for dating and signing and forwarding to the contract administration office (see F-501, Table 1).

(C) When fast pay procedures apply, the contractor or subcontractor shall enter in capital letters "FAST PAY" on the next line following the printed CQA/acceptance statement. When CQA is required, the authorized Government representative shall execute the block as required by paragraph (A).

(D) When Certificate of Conformance procedures apply, inspection or inspection and acceptance are at source, and the contractor's Certificate of Conformance is required, the contractor shall enter in capital letters "CERTIFICATE OF CONFORMANCE" as required by paragraph (b)(21)(iii) of this appendix.

(1) For contracts administered by an office other than the Defense Contract Management Agency, furnish the four payment office copies of the MIRR to the authorized

Instructions: Material Inspection and Receiving Report (MIRR) DD Form 250

page 8

Government representative for dating and signing of one copy, and forwarding of all copies to the payment office.

(2) For contracts administered by the Defense Contract Management Agency, furnish the contract administration office copy of the MIRR to the authorized Government representative for dating and signing and forwarding to the contract administration office (see [F-401, Table 1](#)).

(3) When acceptance is at destination, no entry shall be made other than "CERTIFICATE OF CONFORMANCE."

(v) *DESTINATION.*

(A) When acceptance at origin is indicated in Block 21a, make no entries in Block 21b.

(B) When CQA and acceptance or acceptance is at destination, the authorized Government representative must—

(1) Place an "X" in the appropriate box(es);

(2) Sign and date; and

(3) Enter typed, stamped, or printed name, title, mailing address, and commercial telephone number.

(C) When "ALTERNATIVE RELEASE PROCEDURE" is entered in Block 21a and acceptance is at destination, the authorized Government representative must complete the entries required by paragraph (b)(21)(v)(B) of this appendix.

(D) Forward the executed payment copy or MILSCAP format identifier PKN or PKP to the payment office cited in Block 12 within four work days (five days when MILSCAP Format is used) after delivery and acceptance of the shipment by the receiving activity. Forward one executed copy of the final DD Form 250 to the contract administration office cited in Block 10 for implementing contract closeout procedures.

(E) When "FAST PAY" is entered in Block 21a, make no entries in this block.

(22) Block 22--RECEIVER'S USE. The authorized representative of the receiving activity (Government or contractor) must use this block to show receipt, quantity, and condition. The authorized representative must--

(i) Enter the date the supplies arrived. For example, when off-loading or in-checking occurs subsequent to the day of arrival of the carrier at the installation, the date of the carrier's arrival is the date received for purposes of this block;

(ii) Sign; and

(iii) Enter typed, stamped, or printed name, title, mailing address, and commercial telephone number.

(23) Block 23--CONTRACTOR USE ONLY. Self explanatory.

Instructions: Issue Release/Receipt Document DD Form 1348-1A

page 1

DD FORM 1348-1A
ISSUE RELEASE/RECEIPT DOCUMENT FORMAT INSTRUCTIONS

FIELD LEGEND	RECORD POSITION(s)	ENTRY AND INSTRUCTIONS
Document Identifier	1-3	Perpetuate from requisition of source document unless otherwise indicated.
Routing Identifier (From)	4-6	Enter the RI code of the shipping activity.
Media and Status	7	Enter the M&S code assigned to the requisition or source document.
Stock or Part Number	8-22	Indicate the NSN or part number being released. See Block 25.
Unit of Issue	23-24	Indicate the U/I of the NSN or part number being released.
Quantity	25-29	Indicate the quantity being released. See Block 26.
Document Number	30-43	Enter the document number or requisition. See Block 24.
Suffix Code	44	Leave blank if the document represents release of the total quantity requisitioned. Indicate the appropriate suffix code assigned to indicate a partial quantity release. See Block 24.
Supplementary Address	45-50	Perpetuate from the original requisition or source document. See Block 26.
Signal	51	Perpetuate from the original requisition or source document.
Fund	52-53	Perpetuate from the original requisition or source document.
Distribution	54-56	Perpetuate from the original requisition or source document.
Project	57-59	Perpetuate from the original requisition or source document.
Priority	60-61	Perpetuate from the original requisition or source document.
Required	62-64	Perpetuate from the original requisition or source document.
Advice	65-66	Perpetuate from the original requisition or source document.
Routing Identifier	67-69	Perpetuate from the original requisition or source document.
Management	70-73	Perpetuate from the original requisition or source document.
Unit Price	74-80	Indicate the unit price of item being released. See Block 26.

Instructions: Issue Release/Receipt Document DD Form 1348-1A

page 2

BLOCK(S)	ENTRIES
1	Total price.
2	DODAAC of shipping activity/DRMO. If reduced print is used, in-the-clear address may be entered in addition to the DODAAC.
3	DODAAC of the activity to receive the shipment, if applicable. If reduced print is used, in-the-clear address may be entered in addition to the DODAAC.
4	DODAAC of the MARK FOR recipient, if applicable. If reduced print is used, in-the-clear address may be entered in addition to the DODAAC.
5	Document preparation date (enter numerical day of year).
6	National Motor Freight Classification Commodity Number.
7	Freight rate for the shipment.
8	Type of cargo code (see DoD MILSTAMP, DoD 4500.32-R, Vol. 1).
9	Enter applicable controlled inventory item code which describes the security/pilferage classification of the shipment from DoD 4100.39-M (FLIS Procedures Manual), volume 10, chapter 4. (Mandatory Entry)
10	Actual quantity received.
11	Unit pack of item shipped.
12	Unit weight of item shipped.
13	Unit cube of item shipped.
14	Uniform Freight Classification (UFC) Commodity Number.
15	Shelf life of item shipped. (Mandatory Entry)
16	Freight classification nomenclature.
17	Item nomenclature.
18	Type of container used for the shipment.
19	Number of container that make up the shipment.
20	Total weight of all containers that make up the shipment.

Instructions: Issue Release/Receipt Document DD Form 1348-1A

page 3

- 21 Total cube of all containers that make up the shipment.
- 22 Received by, signature of receiver, or call sign/code if individual authorized access to the automated file.
- 23 Date received, date shipment was received.
- 24 Document Number - The document number assigned to the requisition. ¹
- Suffix Code - Blank if the document represents release of the total quantity requisitioned. If partial shipment, the appropriate suffix code assigned to indicate partial quantity released.
- 25 National Stock Number - Enter the stock or part number being released.
- Add - For subsistence items, enter the type of pack code in position 21.²

FOR OTHER THAN FMS SHIPMENTS

- 26 Routing Identifier - The RI code of the shipping activity.
- Unit of Issue - The unit of issue of the stock or part number being released.
- Quantity - The quantity being released.

¹Data will be prepared in two configurations; (1) three-of-nine bar code and (2) in the-clear. When prepared manually, bar code will not be included.

²See Footnote 1, above.

Condition Code - The supply condition code of material being released.

Distribution - Perpetuate from record positions 55 and 56.

Unit Price - The unit price for the NSN/part number being released.³

- 26 Unit of Issue - two positions - the unit of issue of the stock or part number being released.
- Quantity - five positions - the quantity being released.
- Condition - one position - the supply condition code of material being released.

Instructions: Issue Release/Receipt Document DD Form 1348-1A

page 4

Unit Price - seven positions - the unit price for the NSN/
part number being released.

Supplementary Address - the first position and last three
positions of the supplementary address.

27

This block may contain additional data including bar coding
for internal use. Data entered in this block is as required by
shipping activity by commodity. When data is entered in
this block, it will be clearly identified.

Instructions: Requisition and Invoice/Shipping Document DD Form 1149

page 1

DoD 4161.2-M, December 1991

AP5. APPENDIX 5

INSTRUCTION FOR THE USE, COMPLETION, AND DISTRIBUTION OF DD FORM 1149, "REQUISITION AND INVOICE/SHIPPING DOCUMENT"

1. Use. The DD Form 1149 may be used for the following purposes (unless otherwise approved by the PA, CO, or contract):

a. Return of Government-Furnished Property (GFP) except for material obtained through the Military Standard Requisitioning and Issue Procedures (MILSTRIP) and Real Property. MILSTRIP material may be returned on DD Form 1348-1, as prescribed by DoD Manual 4000.25-1-M. Real Property will be transferred on DD Form 1354.

b. Shipment of Industrial Plant Equipment (IPE) controlled by the Defense Industrial Plant Equipment Center (DIPEC), Memphis, TN. (Use DD Form 1149 issued by DIPEC.)

c. Internal transfer of Government property accountability from one contract to another, with proper authorization; e.g., contract modification.

d. Shipment of Government Property to other contractors and subcontractors. DD Form 1149 may also be used for shipments to secondary locations of the prime contractor.

2. Preparation and Completion of DD Form 1149

a. The following information will be reflected in each appropriate block:

(1) From - Consignor (including contract number under which shipment is made).

(2) To - Consignee - Enter complete name. Do not abbreviate or use letter symbols.

(3) Ship to - Mark for - as indicated in the shipping instructions. Indicate contract number under which consignee will receive shipment, if furnished with shipping instruction.

Instructions: Requisition and Invoice/Shipping Document DD Form 1149

page 2

DoD 4161.2-M, December 1991

(4) Accounting and Funding Data - Cite applicable data if specified in the shipping or other instructions. For Item 4 leave blank in all other cases. Items (4a) through (4i) shall be completed in all instances.

(4a) Item No. - Numerical sequence of items being shipped or transferred.

(4b) National Stock Number, Description and Coding of Material and/or Services - enter data listed in applicable Federal catalogs. Use Manufacturer's part number and description if item is not listed in Federal catalogs and so indicate in the description. If applicable, include in this block a listing of all attachments and accessories.

(4c) Unit of issue - as appropriate.

(4d) Quantity requested - enter quantity requisitioned by consignee, if appropriate. If not applicable, leave blank.

(4e) Supply action - enter quantity being shipped or transferred.

(4f) Type container - carton, wooden or metal box, skid, etc.

(4g) Container Numbers. Number each container if more than one and indicate in this block the container numbers in which the particular item is located.

(4h) Unit price - cost of each individual item Use estimate when cost is not available.

(4i) Total cost - Unit price multiplied by the total number of the applicable item shipped.

(5), (6), (7) and (8) (Requisition date, number, requirement and priority) - Leave blank unless such data are included in the shipping instructions.

(9) Authority or purpose - cite document, contract modification, or other Government directive, which authorized shipment or transfer.

(10) Signature - leave blank.

Instructions: Requisition and Invoice/Shipping Document DD Form 1149

page 3

DoD 4161.2-M, December 1991

(11a) Voucher number and date - enter number assigned by the shipping contractor or consignor to identify this shipping document and to credit his property account.

(11b) Indicate date the voucher number was assigned.

(12) Date shipped - enter date items are picked up by carrier. For in-place transfers, enter date transaction is completed.

(13) Mode of shipment - enter type of carrier used - railroad, commercial or Government truck, pick-up, commercial or Government aircraft.

(14) Bill of Lading number - enter the commercial or Government bill of lading number on which shipment is accomplished.

(15) Air Movement Designator or Port Reference No. - enter data when applicable.

(16) Transportation via MSTTS Chargeable to - Cite appropriate funds for these items as called for in shipping instructions. Leave blank if not applicable.

(17) Special handling - enter special handling requirement specified in the shipping instructions or required by the nature of the items shipped; i.e., "fragile," "do not drop," etc.

(18) Recapitulation of shipment - enter appropriate data only when shipments are of such magnitude and complexity that this information will be helpful in controlling shipment. This block may be left blank at the discretion of the Consignor.

(19) Receipt data - for use by consignee.

b. QAR verification When appropriate, the QAR will place a verification stamp or signature in block (4b) following the last line item entered. DD Form 1149C, "Requisition and Invoice/Shipping Document (Continuation sheet)" will be used if more than one page is required for a single shipment.

Instructions: Requisition and Invoice/Shipping Document DD Form 1149

page 4

DoD 4161.2-M, December 1991

3. Distribution

a. The DD Form 1149, as a minimum, will be distributed as follows:

Original - To Consignee w/shipment

1 Copy - Consignor

1 Copy - Mailed to consignee as advance copy

1 Copy - Attached to original copy of Bill of Lading

1 Copy - Attached to Transportation Office copy of GBL

1 Copy - Carrier

1 Copy - Quality Assurance Representative (QAR)

1 Copy - Plant Clearance Officer (PLCO) (if applicable)

1 Copy - Property Administrator (if required for information purposes)

b. Distribution should be reflected in the body of DD Form 1149 or 1149-1.

c. Classified shipments and documents will be marked and handled in accordance with existing security regulations.

Instructions: DoD Property in the Custody of Contractors DD Form 1662

REPORTING INSTRUCTIONS

GENERAL. The prime contractor shall report all DoD property (as indicated) in its custody or in that of its subcontractors as of September 30 to the Government Property Representative by October 31 of each year. Also report zero end of period balances when no DoD property remains accountable to the contract. Report data from records maintained in accordance with FAR Subpart 45.5 and DFARS Subpart 245.5.

REPORT AS OF 30 SEP _____. Fill in the appropriate year (or other date).

ITEM 1 - TO. Enter the name of the Government Property Representative, the Contract Administration Office or other office the Government Property Representative works for, and the full mailing address (including City, State, and ZIP + 4).

ITEM 2 - FROM. Enter the full name and address of the reporting contractor with the Division name stated after the Corporate name. Use the name as it appears on the contract but omit articles and insert spaces between company names that are made up of letters like XYZ Inc., for example. Also enter the Commercial and Government Entity (CAGE) Code.

ITEM 3 - IF GOVERNMENT-OWNED CONTRACTOR-OPERATED PLANT, ENTER GOVERNMENT NAME OF PLANT. Enter the Government name of the plant if the plant is Government-owned and Contractor-operated. Leave blank if it is a contractor-owned plant.

ITEM 4 - CONTRACT NO. (PIIN). Enter the 13-digit contract number or Procurement Instrument Identification Number (PIIN) under which the Government property is accountable. Use format XXXXXX-XX-X-XXXX.

ITEM 5 - CONTRACT PURPOSE. Enter one of the following 1-character alphabetic codes to identify the general purposes of the contract:

- A. RDT&E
- B. Supplies and Equipment (*deliverable end items*)
- C. Facilities Contract
- D. Lease of facilities by the contractor
- E. Maintenance, Repair, Modification, or Rebuilding of Equipment
- F. Operation of Government-Owned Plant or Facilities including test sites, ranges, installations
- G. Service contract performed primarily on Military Installations, test facilities, ranges or sites
- H. Contract for storage of Government Property
- I. Others

ITEM 6 - BUSINESS TYPE. Enter a 1-character alphabetic code indicating the type of business concern:

L = Large S = Small N = Non-profit

(See FAR Part 19 for definition of Small Business and FAR 31.701 for definition of Non-profit Organizations.)

ITEM 7 - OFFICIAL NAME OF PARENT COMPANY. Enter the name of the Parent Corporation of the Reporting Contractor. The Parent Corporation is one in which common stock has been issued whether or not the stock is publicly traded and which is not a subsidiary of another corporation.

ITEM 8 - PROPERTY LOCATION(S). Enter the primary location(s) of the property if it is located at site(s) other than that of the Reporting Contractor, e.g., location of subcontract property or property at alternate sites of the prime contractor. Location is the City, State and Zip or the Military Installation or the Foreign site. Limit input to 69 characters. NOTE: Can be used as a "REMARKS" field.

ITEM 9 - PLANT EQUIPMENT PACKAGE. Enter the Number and Use of a Plant Equipment Package (PEP) if one exists on this contract. Leave blank otherwise. Example: ARMY PEP #570 - 81 mm Shells.

ITEMS 10 - 18.b.(1) - ACQUISITION COST (BALANCE AT THE BEGINNING OF THE FISCAL YEAR). Enter the acquisition cost for each type of property as defined in FAR 45.5 or DFARS 245.5. The amounts reported must agree with the amounts reported in the previous year for BALANCE AT END OF PERIOD.

ITEMS 10, 12 - 16.b.(2) - QUANTITY (BALANCE AT BEGINNING OF THE FISCAL YEAR). Enter the quantity for all categories of Government property except for Other Real Property and Material on hand at the beginning of the fiscal year. The amounts reported must agree with the amounts reported in the previous year for BALANCE AT END OF PERIOD.

ITEMS 10 - 15.c. - ADDITIONS (*in dollars*). For the property categories indicated, enter the acquisition cost for the total additions to the contract from any source during the fiscal year. Do not enter for Government Material or Military Property.

ITEMS 10 - 15.d. - DELETIONS (*in dollars*). For the property categories indicated, enter the acquisition cost for the total deletions from the contract during the fiscal year. Do not enter for Government Material or Military Property.

ITEMS 10 - 18.e.(1) - ACQUISITION COST (BALANCE AT THE END OF THE FISCAL YEAR). Enter the acquisition cost for each type of property as defined in FAR 45.5 or DFARS 245.5.

ITEMS 10, 12-16.e.(2) - QUANTITY (BALANCE AT END OF FISCAL YEAR). Enter the quantity for all categories of Government Property except for Other Real Property and Material on hand at the end of the fiscal year. These will be carried forward to reflect the balance at the beginning of the following year.

ITEMS 17 and 18 - GOVERNMENT MATERIAL. Report material as reflected on inventory records in accordance with FAR 45.505-3.

ITEM 19 - CONTRACTOR REPRESENTATIVE. Type the name of the contractor representative authorized by the property control system to sign this report.

ITEM 20 - DOD PROPERTY REPRESENTATIVE. Type the name of the DoD Property Administrator or other Authorized Property Representative, plus that individual's commercial area code and telephone number and DSN number (*if one exists*). Signature and date.

NOTE TO CONTRACTOR: When reporting more than one contract from the same location and the same contractor, you may elect to fill out Data Elements 1, 3, 6, 7, and 19 only once as long as each form can be readily identified if any form becomes separated from the others.

DD FORM 1662 (BACK), JUN 2003

Instructions: Consolidated Memorandum of Receipt (CMR)

page 1

CMR/Sub-Custody Procedures

1. CONSOLIDATED MEMORANDUM RECEIPT (CMR)/SUB-CUSTODY ACCOUNTS

CMR/sub-custody accounts list all accountable property in the hands of responsible officers (ROs) or responsible individuals (RIs). They are tools used by commanding officers (COs) or accountable officers (AOs) to hold individuals within their organization responsible for property apportioned to them to support mission requirements.

2. RESPONSIBLE OFFICER/PROPERTY CUSTODIAN

A responsible officer (RO)/property custodian is an individual appointed in writing by the CO/AO, who accepts custodial responsibility for property, typically by signing a hand-receipt. The RO is directly responsible for the physical custody of accountable property under their control. COs/AOs appoint ROs via an appointment letter to manage property within the command with specific emphasis on the following responsibilities:

- a. Accounting for property received and maintaining accurate custody records within the supply accountable property system of record (APSR).
- b. Conducting physical inventories of accountable property at required intervals (i.e., quarterly, annually, upon change of RO).
- c. Manual and/or automated tracking and recording of transactions affecting classes of supply under their functional control.
- d. Expeditious reporting of automated and/or manual property record adjustments to the supply officer and CO/AO.
- e. Timely identification, reporting, and disposition of serviceable, unserviceable, reparable, and excess materiel.
- f. Maintenance and security of auditable and/or accountable key supporting documents (KSDs).
- g. Immediately reporting all incidents involving lost, stolen, or damaged government property to the CO/AO.

3. APPOINTMENT LETTERS

RO appointment letters and endorsements (RO acceptance letter) will be maintained by the supply officer for a period of 2 years in the active file and an additional 5 years in the archive files after the RO ceases to serve. A sample RO appointment letter can be found on page 69 of this publication.

- a. Endorsement. The RO is required to formally accept their CMR/sub-custody account by endorsing the appointment letter from the

Instructions: Consolidated Memorandum of Receipt (CMR)

page 2

CO/AO within fifteen (15) calendar days after being appointed. A sample RO Acceptance Endorsement can be found on page 73 of this publication.

b. Delegation of Authority Letter. If an RO elects to delegate their authority for the receipt, request, or turn-in of property affecting their CMR/sub-custody account, a NAVMC 11869 "Notice of Delegation of Authority" must be prepared by the RO and forwarded to the supply officer in accordance with Chapter 1, Paragraph 5f of MCO 4400.150. The NAVMC 11869 must be updated and certified by the RO as changes occur. A sample Delegation of Authority letter can be found on page 75 of this publication.

4. CMR/SUB-ACCOUNT INVENTORIES

A physical inventory of accountable property managed by ROs/property custodians is required on a quarterly basis, or upon change of RO. Semi-annual vice quarterly inventories are authorized when approved in writing by the CO/AO. Physical inventories should be coordinated by the supply officer/accountable property officer. One of the quarterly inventories should coincide with the command-wide annual (wall-to-wall) physical inventory.

a. CMR/Sub-Custody Account Reconciliations. Once an RO receives a copy of the current CMR/sub-custody account from the supply officer, all on hand assets and serial numbers will be physically verified and reconciled against what is listed on the CMR/sub-custody account. The RO will return a copy of the CMR/sub-custody account listing to the supply officer by initially the bottom of each page and signing and dating the last page. This will be accomplished within 15 calendar days from the date of the letter.

b. CMR/Sub-Custody Account Discrepancies. RO's will report all discrepancies, to include variances in NSN, quantity, or serial number, to the supply officer/accountable property officer via a Discrepancy Letter. The RO will attempt to resolve all discrepancies with the supply officer as follows:

(1) If the supply officer and the RO agree that the CMR/sub-custody account is in error based on supporting documentation, the supply officer will make appropriate pen changes (NSN/NIIN, serial number, quantity) to the CMR/sub-custody account listing and both the supply officer and RO will initial the changes. The supply officer will then update the official CMR/sub-account property records accordingly.

(2) If after exhaustive causative research, the supply officer and RO are unable to resolve CMR/sub-custody account errors as identified in the RO Discrepancy Letter, the RO will still sign the CMR/sub-custody account listing. All unresolved discrepancies will then be submitted from the RO to the CO/AO, via the supply officer, as a Request for Investigation.

Instructions: Consolidated Memorandum of Receipt (CMR)

page 3

c. Supply Officer Endorsement/Recommendation. Within five calendar days, the supply officer will complete an endorsement on the RO's Request for Investigation. The supply officer will provide amplifying details and recommend to the CO/AO whether a formal investigation is warranted. (Ref: MCO 4400.150, Chapter 2, Paragraph 11.b.(3)).

d. CO/AO Review of Requests for Investigation. The CO/AO must make a determination concerning the need for further investigation. If the CO/AO feels that an investigation would have little or no chance of recovering missing items, the CO/AO may direct the supply officer to adjust the accountable records accordingly. If negligence or misconduct is involved in the loss or damage of property, the CO/AO may decide to initiate a formal investigation. The CO/AO will notify the supply officer of all required actions via an endorsement to the Request for Investigation. In cases of formal investigations, the completed investigation and all supporting documents will constitute authority for the supply officer to adjust the accountable property records.

5. KEY SUPPORTING DOCUMENTS

ROs/property custodians having custodial responsibility for the management of property must maintain key supporting documents (KSDs) that provide evidence of ongoing management and internal controls to account for property. The following guidance relative to CMR/sub-custody accounts applies:

a. Maintain the signed copy of each CMR/sub-custody account, together with all pending adjustment transactions (receipts, issues and inventory adjustment documents).

b. Once the new CMR/sub-custody account has been reconciled, the old copy with all adjustment transaction documents must be retained on file for 7 years.

c. Manufacturer/USMC serial numbers will be recorded on all copies of the CMR/sub-custody accounts.

d. A CMR/sub-custody account pending file must be maintained that contains all adjustment transactions which have not yet processed. Every change to the accountable records must have supporting documentation.

e. Per chapter 2, paragraph 11i of MCO 4400.150, all original RO Appointment Letters, RO Acceptance Endorsements, Delegation of Authority Letters and NAVMC 11869s, Requests for Investigation with all supporting documents, and all voucher files will be retained on file by the supply officer for a period of 2 years in the active file and additional 5 years in the archive files.

Instructions: Consolidated Memorandum of Receipt (CMR)

page 4

REFERENCES:

DoD Supply Chain Materiel Management Policy	DoDM 4140.01
DoD Financial Management Regulations	DoD 7000.14-R
Consumer-Level Supply Policy Manual	MCO 4400.150
GCSS-Marine Corps User's Manual	UM 4000-125

Instructions: DD Form 577 Appointment/Termination Record-Authorized Signature

APPOINTMENT/TERMINATION RECORD - AUTHORIZED SIGNATURE		
<i>(Read Privacy Act Statement and Instructions before completing form.)</i>		
PRIVACY ACT STATEMENT		
<p>AUTHORITY: E.O. 9397, 31 U.S.C. Sections 3325, 3528, DoDFMR, 7000.14-R, Vol. 5.</p> <p>PRINCIPAL PURPOSE(S): To maintain a record of certifying and accountable officers' appointments, and termination of those appointments. The information will also be used for identification purposes associated with certification of documents and/or liability of public records and funds.</p> <p>ROUTINE USE(S): The information on this form may be disclosed as generally permitted under 5 U.S.C Section 552a(b) of the Privacy Act of 1974, as amended. It may also be disclosed outside of the Department of Defense (DoD) to the the Federal Reserve banks to verify authority of the accountable individual to issue Treasury checks. In addition, other Federal, State and local government agencies, which have identified a need to know, may obtain this information for the purpose(s) identified in the DoD Blanket Routine Uses published in the Federal Register.</p> <p>DISCLOSURE: Voluntary; however, failure to provide the requested information may preclude appointment.</p>		
SECTION I - FROM: APPOINTING AUTHORITY		
1. NAME <i>(First, Middle Initial, Last)</i>	2. TITLE	3. DOD COMPONENT/ORGANIZATION
4. DATE <i>(YYYYMMDD)</i>	5. SIGNATURE	
SECTION II - TO: APPOINTEE		
6. NAME <i>(First, Middle Initial, Last)</i>	7.	8. TITLE
9. DOD COMPONENT/ORGANIZATION	10. ADDRESS <i>(Include ZIP Code)</i>	
11. TELEPHONE NUMBER <i>(include Area Code)</i>	12. EFFECTIVE DATE OF APPOINTMENT <i>(YYYYMMDD)</i>	
13. POSITION TO WHICH APPOINTED <i>(X as applicable (one only))</i>		
<input type="checkbox"/> DISBURSING OFFICER	<input type="checkbox"/> DEPUTY DISBURSING OFFICER	<input type="checkbox"/> DISBURSING AGENT
<input type="checkbox"/> PAYING AGENT	<input type="checkbox"/> CASHIER	<input type="checkbox"/> COLLECTION AGENT
<input type="checkbox"/> CHANGE FUND CUSTODIAN	<input type="checkbox"/> IMPREST FUND CASHIER	<input type="checkbox"/> CERTIFYING OFFICER
<input type="checkbox"/> DEPARTMENTAL ACCOUNTABLE OFFICIAL		
14. YOU ARE HEREBY APPOINTED TO SERVE IN THE CAPACITY IDENTIFIED IN ITEM 13. YOUR RESPONSIBILITIES INCLUDE:		
15. YOU ARE ADVISED TO REVIEW AND ADHERE TO THE FOLLOWING REGULATION(S) NEEDED TO ADEQUATELY PERFORM THE DUTIES TO WHICH YOU HAVE BEEN ASSIGNED:		
SECTION III - ACKNOWLEDGEMENT OF APPOINTMENT		
I acknowledge and accept the position and responsibilities defined above. I understand that I am strictly liable to the United States for all public funds under my control. I have been counseled on my pecuniary liability and have been given written operating instructions. I certify that my official signature is shown in item 17 below.		
16. PRINTED NAME <i>(First, Middle Initial, Last)</i>	17. SIGNATURE	
SECTION IV - TERMINATION OF APPOINTMENT		
The appointment of the individual named above is hereby revoked.		18. DATE <i>(YYYYMMDD)</i>
		19. APPOINTEE INITIALS
20. NAME OF APPOINTING AUTHORITY	21. TITLE	22. SIGNATURE

Appendix C - Tier 2 KSDs

The following are examples of alternative supporting documentation that may fulfill financial statement assertions:

- Contract modifications, or change orders
- Approved work order
- Approved last invoice
- Signed lease for leased property
- Transfer letter and documents for transferred assets
- DoD Property in the Custody of Contractors (DD Form 1662)
- Selected Acquisition Report (SAR)
- Valuation Data Report with Program Listing
- Budget Item Justification Sheet (Exhibit P-40, DD Form 2454, Exhibit R-2)
- Production Schedule (Exhibit P-21, DD Form 2445)
- Cost Analysis Worksheet (P-5)
- Budget Procurement History and Planning (Exhibit P-5a, DD Form 2446)
- Procurement Program (Exhibit P-1)
- Appropriation Bill Report
- Extracts from Accounting Systems Supporting Data

Tier 2 KSDs are expected to be maintained just as Tier 1 KSDs to support a financial statement audit.



For more information, visit:

[https://eis.usmc.mil/sites/HQMCLP/LPC/EGEM/fusioncenter/CIC/default.aspx.](https://eis.usmc.mil/sites/HQMCLP/LPC/EGEM/fusioncenter/CIC/default.aspx)