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NAVMC 4000.5

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 4000.5

1. Purpose. Per references (a) and (b), this Supply Officer's Internal Controls Handbook contained in enclosure (1), elaborates upon procedures and methods and provides guidance for implementing Supply Internal Controls reviews.

2. Scope

a. 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 ensure that Supply Officers and their Marines' have a resource to assist them in achieving a sustainable audit readiness program.

b. 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 control 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, 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. This Handbook provides the tools necessary to maintain effective internal controls over their process.

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

c. Supply Officers, Accountable Property Officers, and Personal Property Officers will use references (a) and (b) to ensure proper implementation of semi-annual internal controls reviews are met as established in the guidelines provided in this Handbook. These reviews will provide Commanders reasonable assurance that effective and efficient supply internal controls are in place for the command or activity. Questions concerning this Handbook should be directed to the Head, Logistics Policy Branch (LPC-2).

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

4. Certification. Reviewed and approved this date.



C. C. CRENSHAW  
Assistant Deputy Commandant for  
Installations & Logistics

Distribution: PCN 10040000400

# Supply Officer's Internal Controls Handbook

2014



For Military Equipment, Operating Materials and Supplies  
and MILSTRIP TAR





# Commander's Message



## Focus on Audit Readiness

The Marine Corps faces an unprecedented challenge. The 238 year-old, mission focused organization must transform itself to meet the financial and managerial requirements of the digital age, producing 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 readiness because they allow us to better support the warfighter through better management of Marine Corps resources.

Readiness is the focus of effort and auditing is the method for evaluation. Disciplined asset accountability is critical to accurate financial reporting and effective resource allocation. Current processes for asset accountability require improvement in order to provide more timely and accurate information essential to the effect management of warfighting resources. As such, the Marine Corps continues with a comprehensive review, examination and update of policies and procedures (acquisition, inventories and reporting) related to the accountability of mission critical assets. These efforts will likely include an assessment of the sufficiency and reliability of internal controls, source documentation, data reconciliation and data validity.

The Field Supply Maintenance and Analysis Office (FSMAO) Teams and the Supply Management Audit Readiness Team (SMART) cannot conduct audit readiness testing and analysis of all Marine Corps commands during the Fiscal Year (FY). 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.

I have directed that a tool be developed to assist the Marine Forces (MARFOR) and Supporting Establishment (SE) Commands in achieving audit readiness. 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) has been designed to provide Commanders and Supply Officers with an additional resource to assist their commands in achieving audit readiness, equipment visibility and equipment accountability.

A handwritten signature in black ink, appearing to read 'C. Crenshaw'.

Craig C. Crenshaw  
BGen, USMC  
Assistant Deputy Commandant,  
Installations & Logistics (Plans)

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left blank.}

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# [ 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. Programs must operate and resources

must be used 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 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.

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

Internal controls are established to meet three objectives: to ensure the effectiveness and efficiency of operations, reliability of financial reporting, and compliance with applicable laws and regulations.

The safeguarding of assets is a subset of these objectives.

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 controls 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 utilized properly and safely guarded. As stewards to the American people, 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 (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?

Readiness is the focus of effort and auditing is the method for evaluation. The handbook's purpose is to assist the Commander, Supply Officer and their Marines in achieving and sustaining audit readiness for their command. While the handbook cannot be all encompassing, it is intended to assist and point you in the right direction.

### How do I use the handbook?

Since FSMAO or the SMART 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 designed to expand upon and complement the information found 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

Semi-annually, Commanders and their Supply Officer should review the Internal Control Checklists within this handbook. 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 SMART POCs.

### How does this handbook differ from 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 means for the organization to 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) DFMR 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's/Accountable Officer's Certificate of Relief 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 Commanding Officer/Accountable Officer and are applicable DD Form 577 Appointment/Termination Record-Authorized Signature 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. Are the outgoing Accountable Property Officer's/Supply Officer's Certificate of Relief letters and all endorsements 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 (RO) appointed in writing by the Commanding Officer/Accountable Officer and are applicable DD Form 577 Appointment/Termination Record-Authorized Signature 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; CMC MSG DTG 061906Z Sep 12 (GPN 8-12); CAP ME-OMS-EC-6)		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; CMC MSG DTG 301107Z Sep 11 (GPN 1-11); CAP ME-OMS-EC-6)		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 Commanding Officer/ Accountable Officer (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
8. Did the annual/cyclic physical inventory results letter contain the required reporting elements? (OMB A-123, Appendix A; MCO 4400.150 Ch. 2 Para 9.d.(7), Appendices Q and R)		Yes	No
9. 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? (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)			

Military Equipment			
Property Control	Select Yes/No		Date Complete
	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 Commanding Officer/Accountable Officer 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); CMC MSG DTG 061906Z SEP 12 (GPN 8-12))	Yes	No	
14. Are Property Custodians 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 (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; CMC MSG DTG 061906Z Sep 12 (GPN 8-12))	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 CMC MSG DTG 301115Z Sep 11 (GPN 2-11))	Yes	No	
18. Has causative research been conducted and documented for unresolved sub-custody (i.e., CMR, ILF) discrepancies and have appropriate Request for Investigation letters been submitted to the Commanding/Accountable Officer, 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); CMC MSG DTG 061906Z Sep 12 (GPN 8-12))	Yes	No	
19. Has the Commanding Officer/Accountable Officer 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); CMC MSG DTG 061906Z Sep 12 (GPN 8-12))	Yes	No	
20. 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); CMC MSG DTG 301107Z Sep 11 Para 4.B.4.E (GPN 1-11))	Yes	No	
21. Is all key supporting documentation (KSD) used to receipt for property (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)			



Military Equipment			
Property Control	Select		Date Complete
	Yes	No	
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); CMC MSG DTG 1120002Z Jan 12 (GPN 2-12); CMC MSG DTG 271623Z Jul 12 (GPN 1-12))	Yes	No	
24. Are voucherable gain or loss transactions transactions preapproved 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 Commanding Officer /Accountable Officer 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 as 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; CMC MSG DTG 091739Z Jul 12 (GPN 6-12))	Yes	No	
29. Does the Accountable Property Officer/Supply Officer and Property Custodians perform regular cyclic or spot inventories? (DODI 5000.64 Encl 3 pg 13; OMB A-123, Appendix A; MCO 4400.150 Ch 2, Para 9.a(3))	Yes	No	
30. 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)	Yes	No	
31. 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	
32. Is the unit completing the annual reconciliation and verification of small arms/light weapons with Naval Surface Warfare Center (NSWC), Crane, IN within the required timeframe? (OMB A-123, Appendix A; MCO 8300.1D Encl (1) Para 11.c. and 19.d)	Yes	No	
33. 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	
34. Does the unit have appropriate personnel assigned to affect 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 )	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. Is the SMU/RIP OIC appointed in writing by the Commanding Officer/Accountable Officer and are applicable DD Form 577 Appointment/Termination Record-Authorized Signature retained in the supply files? (OMB A-123, Appendix A; MCO P4400.151 Ch 3 Para 3010.1.a; MCO 4400.150, Ch 2, Para 11; CAP ME-OMS-EC-6)	Yes	No	
2. Does the appointment letter indicate the dollar value and type of adjustments that the SMU/RIP OIC or designated representatives are authorized to approve? (MCO P4400.151B Para 3010.1; CAP ME-OMS-EC-6)	Yes	No	
3. Are annual/cyclic physical inventories conducted and submitted to the Commanding Officer/Accountable Officer (CO/AO) for certification and maintained on file? (OMB A-123, Appendix A; MCO 4400.150 Ch 2 Para 9)	Yes	No	
4. Did the annual/cyclic physical inventory results letter contain the required reporting elements? (OMB A-123, Appendix A; MCO 4400.150 Ch. 2 Para 9.d.(7), Appendices Q and R)	Yes	No	
5. 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)	Yes	No	
6. Are voucherable gain or loss transactions preapproved 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	
7. Were all required adjustments, resulting from an 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)	Yes	No	
8. Are Money Value Gain/Loss (MVGL) Notices resulting from an annual/cyclic physical inventory certified by the Commanding Officer/Accountable Officer and are they maintained on file? (OMB A-123, Appendix A; MCO 4400.150 Ch. 2 Para 11.h. and i)	Yes	No	
9. Is documentation available that supports a 100% annual inventory of all controlled Mission Critical Assets and at least 1/3 of the non-controlled inventory within the past year? (DODM 4140.01 Chapter 5.7; DOD 4000.25-2-M Chapter 7; MCO P4400.151B, Para 3006; MCO 4400.150 Ch. 2 Para 11.h. and I)	Yes	No	
10. Are physical inventory results and documentation signed by the proper authority and are they kept on file? (MCO 4400.150 Appendix R)	Yes	No	
11. 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	
12. Are daily reconciliations occurring to identify inventory imbalances between STRATIS and GCSS-MC? (OMB A-123, Appendix A)	Yes	No	

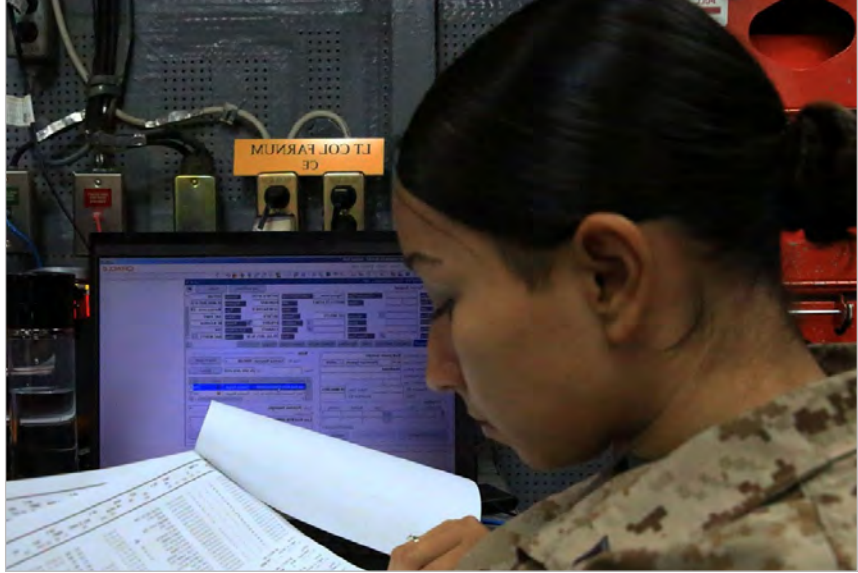
Operating Materials & Supplies: Repairable Issue Point (RIP) / Supply Management Unit (SMU)			
General Information	Select Yes/No		Date Complete
13. Are property custodians physically reconciling serial numbers and NSNs from the APSR to the serial numbers and NSNs on the equipment identification plates (Data Plates)? (OMB A-123, Appendix A; MCO 4400.150 Ch 2 Para 11.b (2))	Yes	No	
14. Does the organization receipt and maintain key supporting documentation for requisitioned items in accordance with UMMIPS? (OMB A-123, Appendix A; MCO 4400.16H Para 9; MCO 4400.150; CMC MSG DTG 301107Z Sep 11 Para 4.B.4.E (GPN 1-11))	Yes	No	
15. 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); CMC MSG DTG 301107Z Sep 11 Para 4.B.4.E (GPN 1-11))	Yes	No	
16. Is all receipt key supporting documentation (printed summary reports of receipts) signed and dated with the correct data elements (NSN, SDN, Quantity, DoDAAC, etc)? (DODFMR 7000.14-R, OMB A-123, Appendix A; Volume 6A: CAP ME-OMS-EC-6)	Yes	No	
17. Is all key supporting documentation for issues/outbound shipments (e.g., DICs A5A, and A5J transactions, DD 1348-1s, etc.) signed and dated with the correct data elements (NSN, SDN, Quantity, DoDAAC, etc) and filed in the voucher file ? (MCO 4400.150; DoD 7000.14-R, Volume 6A; DoDM 4140.01; CMC MSG DTG 1120002Z Jan 12 (GPN 2-12); CMC MSG DTG 271623Z Jul 12 (GPN 1-12); CMC WASHINGTON DC L LP 111316Z Feb 13; CAP ME-OMS-EC-6)	Yes	No	
18. Can the command certify that transferred/disposed assets were removed from the APSR? (DODI 5000.64 Encl 2 pg 7; OMB A-123, Appendix A)	Yes	No	
19. 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); CMC MSG DTG 301107Z Sep 11 Para 4.B.4.E (GPN 1-11))	Yes	No	
20. Does the command retain the required supporting documentation for receipts, issues, and adjustments of inventory that affect the property records? (DODFMR 7000.14-R, Volume 6A, MCO 4400.150, Ch 2, Para 11.i; CAP ME-OMS-EC-6)	Yes	No	
21. Did the organization complete its semi-annual OM&S financial reporting requirement? (DOD 7000.14.R, Volume 4, Chapter 4; OMB Circular A-136; SFFAS No. 3)	Yes	No	
22. Have OM&S financial reporting workbooks been completed and endorsed by the applicable chain of command?	Yes	No	
23. Have semi-annual OM&S financial reporting workbooks, Certification Letters and applicable endorsements been provided to HQMC I&L (LP) and maintained on file?	Yes	No	
24. Is the OM&S financial reporting data retained and available for review?	Yes	No	

## 5.2 Ammunition

Operating Materials & Supplies: Ammunition			
General Information		Select Yes/No	Date Complete
1. Is the outgoing Commanding Officer/Accountable Officer Certificate of Relief retained in the supply files? (MCO 4400.150; CMC MSG 111130Z Oct 12; CMC MSG 141733Z Jun 12)		Yes	No
2. Is the OIC appointed in writing by the Commanding Officer/Accountable Officer and are applicable DD Form 577 Appointment/Termination Record-Authorized Signature retained in the supply files? (OMB A-123, Appendix A; MCO P4400.151 Ch 3 Para 3010.1.a; MCO 4400.150, Ch 2, Para 11.; CAP ME-OMS-EC-6)		Yes	No
3. Are applicable DD Form 577 Appointment/Termination Record-Authorized Signature available for all Resource Managers (RM)/personnel performing RM responsibilities? (MCO 4400.150; CAP ME-OMS-EC-6)		Yes	No
4. Are Delegation of Authorities (DOA) NAVMC 11869 available for Resource Officer (RO) delegated duties? (MCO 4400.150; CAP ME-OMS-EC-6)		Yes	No
5. Does the command retain the required supporting documentation for receipts, issues, and adjustments of inventory that affect the property records? (DODFMR 7000.14-R, Volume 6A, CAP ME-OMS-EC-6) Documents: DD 1348-1, DD 250, DD 1149, Voucher File, etc) <i>Note: Supporting documentation can consist of receipt or issue documentation. Documentation must contain, at a minimum, the NSN, quantity, document number, condition code of the material, signature of the person authorized to accept/issue custody of the material and date received/issued.</i>		Yes	No
6. 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 (adequate separation of duties)?(MCO 4400.150; CAP ME-OMS-EC-6)		Yes	No
7. Does the Commanding Officer/Accountable Officer review and sign inventory gains and losses adjustments? (MCO 8015.3A; CAP ME-OMS-EC-6)		Yes	No
8. 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
Property Control		Select Yes/No	Date Complete
9. Does the OIC perform regular inventory counts (monthly, quarterly, annually)? (MCO P4400.151B; MCO 8015.3A ) Documentation required: Results of inventory counts, including number of items counted, number of adjustments made as a result, etc..		Yes	No
10. Are random sample inventories being conducted utilizing the AMAR selection process in OIS-R on a weekly/bi-weekly basis? (MCO 8015.3A)		Yes	No
11. Were the selected NSNs found?		Yes	No
12. If yes, does the selected asset's DoDIC, NSN, quantity, location, and condition code match with the APSR?		Yes	No
13. If no, is there sufficient documentation available to support the current location of the asset (Detail Transaction Report, DD 1348-1, etc.)? (DoD 7000.14-R, Volume 6A)		Yes	No
14. Was the Physical Inventory Data Collection Worksheet signed and verified by the Records Supervisor? (MCO 8015.3A)		Yes	No
15. Are Location Surveys of all line item locations conducted at least once during the fiscal year? (MCO 8015.3A)		Yes	No



Operating Materials & Supplies: Ammunition			
Property Control	Select		Date Complete
	Yes	No	
16. Was the Location Survey Process Data Collection Worksheet signed and verified by the Records Supervisor?	Yes	No	
17. Is there a Physical Inventory Control Program on file? (MCO 8015.3A)	Yes	No	
18. Does the command maintain all Certificates of Inventory Completion that supports that 100% of NSNs having been physically inventoried at least once during the fiscal year?	Yes	No	
19. 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	
20. Has causative research been conducted to resolve all discrepancies? (MCO 8015.3A)	Yes	No	
21. Is key supporting documentation present to verify the receipt of all ammunition assets for the command? (DODFMR 7000.14-R, Volume 6A; MCO P4400.151B; CAP ME-OMS-EC-6)	Yes	No	
22. Is the supporting documentation signed and dated with the correct data attributes (NSN, SDN, Quantity, DoDAAC, etc)? (DODFMR 7000.14-R, Volume 6A; CAP ME-OMS-EC-6)	Yes	No	
23. Is all documentation (i.e., DICs A5A, and A5J transactions) affecting the property records filed in the voucher file? (MCO 4400.150; DODM 4140.01; CMC MSG DTG 1120002Z Jan 12 (GPN 2-12); CMC MSG DTG 271623Z Jul 12 (GPN 1-12); CMC WASHINGTON DC L LP 111316Z Feb 13; CAP ME-OMS-EC-6)	Yes	No	
24. Have all ammunition assets received been picked-up on the accountable property record?	Yes	No	
25. Have all data attribute (NSN, Serial Numbers, Document Number and Document Date) for ammunition received been picked up on the accountable property records accurately?	Yes	No	
26. Are receipts processed in a timely manner? (MCO 4400.16H Para 9; MCO 4400.150; CMC MSG DTG 301107Z Sep 11 Para 4.B.4.E (GPN 1-11); DLM 4000.25, Volume 2, 13 June 2012 Table C10.T; CAP ME-OMS-EC-6)	Yes	No	
27. Is key supporting documentation present to verify the transfer of ammunition assets for the command? (DODFMR 7000.14-R, Volume 6A; MCO P4400.151B; CAP ME-OMS-EC-6)	Yes	No	
28. Is the supporting documentation signed and dated with the correct data elements (NSN, SDN, Quantity, DoDAAC, etc.)? (DODFMR 7000.14-R, Volume 6A; CAP ME-OMS-EC-6)	Yes	No	
29. Has the receiver signed and dated the transfer source document? If not, is there proof of receipt/delivery on file? (CAP ME-OMS-EC-6)	Yes	No	
30. Have all ammunition assets transferred from the command been removed from the command's accountable property records?	Yes	No	
31. Are transfers processed in a timely manner? (MCO 4400.16H Para 9; MCO 4400.150; CMC MSG DTG 301107Z Sep 11 Para 4.B.4.E (GPN 1-11); DLM 4000.25, Volume 2, 13 June 2012 Table C10.T; CAP ME-OMS-EC-6)	Yes	No	
32. Were the assets removed from the accountable records correctly (correct serial number, data plate verified, correct sub-account, quantity, etc.)?	Yes	No	
33. Can the command verify/certify that the transfer/disposal assets were removed from the APSR?	Yes	No	



## 6.0 MILSTRIP TAR Checklist

General Information	Select Yes/No		Date Complete
1. Has the MILSTRIP Tri-Annual Review (TAR) been completed for the period of performance? (DoDFMR 7000.14-R Vol. 3, Chapter 8, 080401; P7300.21A, Chapter 12;MCO 4400.150; DLM 4000.25-1; DLM 4000.25-2; MILSTRIP TAR MARADMIN pending)	Yes	No	
a. Has the NAVMC 11675 been certified by the Commanding Officer/Accountable Officer? (MILSTRIP TAR MARADMIN pending)	Yes	No	
b. Has the MILSTRIP TAR Report been annotated with the appropriate status codes to describe the condition of the open requisitions? (MILSTRIP TAR MARADMIN pending)	Yes	No	
2. Is key supporting documentation maintained for a period of 6 years 3 months and readily available for audit? (MCO 4400.150)	Yes	No	
a. Are DD Form 577s or Appointment Letters maintained and on hand for the MILSTRIP requisitioning unit? (MCO 4400.150; DoDFMR, 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; DoDFMR, 7000.14-R, Vol. 5)	Yes	No	
3. <i>Have all open requisitions been validated in SABRS to confirm that the appropriate condition of the transactions is reflected? (MILSTRIP TAR MARADMIN pending) Note: Coordination with Comptroller is necessary.</i>	Yes	No	
4. Were all commitments and obligations properly reviewed and approved by an authorized official? (MCO 4400.150)	Yes	No	
5. Have requisitions been back ordered for longer than 45 days? (MCO 4400.16H)	Yes	No	
a. Does a bona fide need still exist and is there a valid requirement? (DoDFMR 7000.14-R)	Yes	No	
b. Did the unit attempt to acquire the item from an alternate source of supply?	Yes	No	
6. Have the materials/services been received?	Yes	No	
a. Has receipt/acceptance been performed? (MCO 4400.150)	Yes	No	
b. Was the receipt/acceptance properly reviewed and approved by an authorized official? (MCO 4400.150)	Yes	No	
7. Did the goods/services information on the invoice agree with information on the receiving report and original obligation documentation?	Yes	No	
8. Was the invoice/billing statement properly reviewed and approved by an authorized official? (MCO 4400.150)	Yes	No	
9. Have corrective actions been taken for erroneous requisitions that do not meet commitment/obligation criteria?	Yes	No	

information

systems

## 7.0 Supply Automated Information Systems Checklist

General Information	Select Yes/No		Date Complete
1. Is the Supply Automated Information System (AIS) administrator (e.g. UUAM) appointed in writing by the Commanding Officer/Accountable Officer? (OMB A-123, Appendix A; CMC MSG DTG 111448Z Sep 12 (GPN 9-12), Para 3.B.2; MCO 4400.150 Para 5 (4))	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; CMC MSG DTG 111448Z SEP 12 (GPN 9-12), para 3.C.1.A THRU 3.C.1.F)	Yes	No	
3. Are/Is the Financial Approver(s) appointed in writing by the Commanding Officer /Accountable Officer? (OMB A-123, Appendix A; CMC MSG DTG 111448Z Sep 12 (GPN 9-12), Para 3.B.6)	Yes	No	
4. 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; CMC MSG DTG 111448Z Sep 12 (GPN 9-12), Para 3.B.6, 3.C.2.B.1 and 3.C.2.B.2.B; and CMC MSG DTG 251851Z Oct 12 GPN 9-12 Clarification)	Yes	No	
5. 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 (GPN 9-12), Para 3.C.2.B.3, .A and 3.C.2.B.4)	Yes	No	
6. Are effective check-in and check-out procedures/controls in place to manage the addition and removal of system user access as they are joined and detached from the organization? (OMB A-123, Appendix A; CMC MSG DTG 111448Z Sep 12 (GPN 9-12), Para 3.C.2.B.5 – 3.E.3)	Yes	No	

## 8.0 Sustainment, Education & Training Checklist

Sustainment, Education & Training			
General Information		Select Yes/No	Date Complete
1. Have the following personnel appointed to expend funds completed the Fiscal Law Course? (MCO 4400.150; CMC MSG DTG 061906Z Sep 12 (GPN 8-12); CAP ME-OMS-EC-6; DOD FINANCIAL MANAGEMENT REGULATION 7000.14-R; MARADMIN 350/11 FUND CONTROL PERSONNEL TRAINING REQUIREMENT)		Yes	No
a. Supply Officer		Yes	No
b. Fiscal Officer		Yes	No
c. Due and Status File (DASF) Clerk		Yes	No
d. Fiscal Clerk		Yes	No
e. Other Personnel		Yes	No
2. Have the following personnel who were appointed to expend funds completed the Budget Execution Course?		Yes	No
a. Supply Officer		Yes	No
b. Fiscal Officer		Yes	No
c. Due and Status File (DASF) Clerk		Yes	No
d. Fiscal Clerk		Yes	No
e. Other Personnel		Yes	No
General Information		Select Yes/No	Date Complete
1. Have personnel dealing with Property Control (e.g., Supply Officer, Supply Chief, Responsible Officers, Accountable Property Officer) completed the following 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 <sup>1</sup>	N	Y <sup>1</sup>			
Accountable Property Officer (Supply 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	Fiscal Chief/Clerk, Supply Requisition Clerk, TAD Clerk, Facilities Manager, Uniform Clerk	N	Y	N	Y			
GCPC Card Holder	GCPC	N	Y	N	Y			
Receipt and Acceptor	Warehouse Chief, Receiving Section	N	Y	N	Y			
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, UJAM, workflow manager	N	Y	N	N			
GCPC Approving Official	Supply Officer/Chief	N	Y	N	Y			
Responsible Officer	Commany Commander, Platoon Commander, Commodity OIC, Section Head	N	Y	Y	Y			
Responsible Individual	Maintenance Section, Platoon Sgt	N	Y <sup>2</sup>	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 - Corrective Action Plan Instructions

The enclosures in the Supply Officer's Internal Controls Handbook have been designed to be straight forward and 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 SMART Team (Encl 7) with any questions in completing the checklist or any other document within the handbook.

The Supply Officer will complete the documents shown in enclosures 3, 4 and 5, and submit these to the Commander upon completion and review of the Audit Readiness Checklist. A completed example is located in Enclosure 6.

The Corrective Action Plan (CAP) Certification Letter (Encl 3) 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 4) if corrective actions are not or cannot be completed within 45 days of the self-assessment date. The POAM will serve to guide corrective action implementation while allowing for the Supply Officer and Commander to monitor audit readiness progress.

The Supply Officer will prepare the Corrective Action Completion Certification Letter (Encl 5) 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 3 - 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.

<b>Corrective Action Plan Certification</b>		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. <b>CERTIFICATION</b>		
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 4 - 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:**



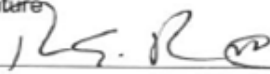
## Enclosure 5 - Corrective Action Completion Certification

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.

<b>Corrective Action Completion Certification</b>		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. <b>CERTIFICATION</b>		
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 6 - Completed Corrective Action Plan Example

Below is an example of a Corrective Action Plan Certification.

<b>Corrective Action Plan Certification</b>		1. Applicable Naval Message: DTG 131934Z
		2. Date of Naval Message: Dec 2013
3. Unit/DoDAAC: MWCS-18/M00107		
4. Deficiency Due to the GCSS-MC cut over occurring in 2010, we are unable to positively locate 14 of the 15 items on the MSAG 41 CMR. These 14 items were created/shipped in 2010 prior to the cutover therefore we are unable to trace the principle end items that these secondary reparables were associated to. Per UM 4400.124 we are not required to maintain 1348-1A receipts for longer than two years. Since these items were loaded to the MSAG 41 in 2010, we are unable to produce receipts illustrating transfer of custody of these secondary reparables from the RIP to M00107.		
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: 2ndLt Yanes, Alvaro L.		
a. Name (Last, First) Yanes, Alvaro	b. Date of evaluation: 20 March 2014	
7. Remarks: (Continue on reverse side or additional sheets)		
<p>The proper corrective action is to conduct (14) D9Z transactions in order 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 M00107, LtCol Dobrydney, who is currently in Korea in support of MEFEX. Per MCO 4400.150, all MVGL transactions are to be approved by the commanding officer or acting commanding officer. In the absence of the Accountable officer, these transactions will need to be executed upon his return on or about 1 April 2014.</p>		
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 T.E. Richards, by direction		
(2) Signature  20140320		

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

ATTACHMENT 2

**Detailed Corrective Action Plan Timeline:**

Completed milestones:

Date	Description of actions completed
20140320	Causative Research conducted. Issuing DD 1348-1A unavailable due to 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 conducted during 2013.

Planned milestones:

Date	Description of actions planned
20140328	Create Adjustment Letters to remove unidentifiable items
20140404	Receive Commanding Officer determination of Adjustment Letter
20140407	If no investigation inducted keypunch D9Z transactions
20140409	If no investigation present MVGL Notices for Commanding Officer signature

Point of Contact: 2ndLt Yanes, Alvaro L.

Approver: 2ndLt Yanes, Alvaro L.

Unit/DoDAAC: MWCS-18/MSAG41

Below is an example of a Corrective Action Completion Certification.

<b>Corrective Action Completion Certification</b>		1. Applicable Naval Message DTG:
		2. Date of Naval Message:
3. Unit/DoDAAC:		
4. Deficiency		
5. Method of Evaluation (Use a <b>or</b> 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. <b>CERTIFICATION</b>		
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 - References

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

## Enclosure 8 - Compliance and Internal Controls Standards Office 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
Asst OpsSo	Ms. Allison Kennedy	703-695-8394	akennedy@columbiagroup.com
Policy	Mr. Brad McNamara	540-760-2131	brad.mcnamara1.ctr@usmc.mil
OM&S	Mr. Matthew Hunt	434-774-7930	matthew.hunt@morganfranklin.com
MILSTRIP TAR	Mr. Conrad Symber	732-397-8925	conrad.symber@morganfranklin.com
MILSTRIP TAR	Mr. Ryan Strang	610-574-4139	ryan.strang@morganfranklin.com
OM&S CAPs	Mr. Michael McFadden	301-655-8224	michael.t.mcfadden.ctr@usmc.mil
ME/MEV	Mr. Joseph Nave	843-343-6366	jnave@KPMG.com
ME	Mr. Dave Hernandez	240-475-1086	dahernandez@KPMG.com
ME	Mr. Zachary Byrd	240-620-9596	zbyrd@KPMG.com
EOPR/GFP	Ms. Patty Martinez	571-256-7190	patty.martinez.ctr@usmc.mil
EOPR/GFP	Ms. Allison Gervasio	571-256-2721	agervasio@columbiagroup.com
Data	Mr. Brent Christie	703-291-6433	bchristie@columbiagroup.com
GFP	Ms. Danielle Murphy	571-256-7855	danielle.murphy.ctr@usmc.mil

## Enclosure 9 - FSMAO POCs

Billet	Name	Phone	Email
<b>FSMAO East</b>			
OIC	LtCol Brian Ehrlich	910-450-1201	Brian.ehrlich@usmc.mil
AOIC	Capt Timothy Aldrich	910-450-1207	Timothy.aldrich@usmc.mil
Operations Officer	Mr. David Rattae	910-450-0382	David.ratte@usmc.mil
FIAR POC	Mr. Victor Tompkins	910-450-0531	Victor.tompkins@usmc.mil
FIAR POC	GySgt Jamie Mohn	910-450-0363	Jamie.mohn@usmc.mil
<b>FSMAO West</b>			
OIC	LtCol Douglas Burkman	760-763-9879	Douglas.burkman@usmc.mil
AOIC	Capt Eric Jett	760-763-9877	Eric.jett@usmc.mil
Operations Officer	Mr. Mike Naputi	760-763-9876	Michael.naputi@usmc.mil
FIAR POC	Mr. Ken Holt	760-763-9885	Ken.holt@usmc.mil
FIAR POC	MSgt John Williams	760-763-9881	John.a.williams5@usmc.mil
<b>FSMAO Pac</b>			
OIC	Maj Lee Cooper	DSN 315-645-7267	Lee.cooper@usmc.mil
AOIC	Mr. Joseph Drake	DSN 315-645-7262	Joseph.t.drake@usmc.mil
Operations Officer	Maj Joseph Navario	DSN 315-645-0155	Joseph.c.navario@usmc.mil
FIAR POC	Mr. Fernandao Forte	DSN 315-645-9226	Fernando.forte@usmc.mil
FIAR POC	GySgt Robert Cruces	DSN 315-645-9226	Robert.cruces@usmc.mil

## Enclosure 10 - Sustainment, Education and Training Links

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





# Enclosure 11 - Audit Support Handbook (ME & OMS) - Key Supporting Documents (KSDs)



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## Background and Purpose

### BACKGROUND

In Secretary of Defense (SecDef) Leon Panetta's memorandum dated October 2011, he directed 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 includes; a detailed plan, sufficient resources to execute the plan, and senior leaders' awareness, support, and sponsorship. In addition, he added the importance of stressing the corporate value of financial auditability by "strengthening controls over our business processes, thereby increasing the accuracy of financial data which enables informed business decisions."

Upon the release of SecDef Panetta's memorandum, USMC took steps to ensure timely, accurate, and relevant information that is consistently auditable, as it moves towards its goal of audit readiness. To achieve this, USMC has created a Financial Improvement Plan (FIP) to reach audit readiness. The USMC FIP aligns with the Office of the Under Secretary of Defense (Comptroller) (OUSD (C)) Financial Improvement and Audit Readiness (FIAR) Plan to improve financial management, prioritize improvement activities, strengthen internal controls, and ultimately achieve auditability.

### PURPOSE

The purpose of this handbook is to assist USMC organizational units and activities in audit readiness awareness, with a focus around ME and OM&S Key Supporting Documentation (KSD) to support the internal control requirements of OMB A-123 and financial reporting objectives of OMB A-136 Revised.

Each phase of the asset lifecycle must be supported by appropriate key supporting documentation to support management's assertions. For example, contracts, invoices, and receiving reports (DD Form 250's, DD Form 1348's, DD Form 1149's, etc.) support an organization's rights and obligations to an asset as well as acquisition costs (valuation) in the procurement, receipt, and acceptance phase. Periodic physical inventory counts along with inventory count sheets support the Existence and Completeness (E&C) of assets during the Continual Management phase. 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).

This handbook along with a Key Supporting Documentation Matrix that identifies the different tiers of acceptable documentation will serve as a tool for USMC organizational units and activities in evaluating KSDs to ensure key attributes are recorded on the supporting documentation. In addition, it will also ensure necessary procedures are performed through all phases of the ME and OM&S lifecycle (i.e. contract award, receipt, acceptance, maintenance, transfer, disposal, etc.) that will assist USMC in strengthening internal controls around ME and OM&S accountability. As USMC 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 99.

## 11.1 - 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

<b>AWARD/CONTRACT</b>		1. THIS CONTRACT IS A RATED ORDER UNDER DPAS (15 CFR 700) <input checked="" type="checkbox"/>	RATING	PAGE	OF	PAGES	
2. CONTRACT (Proc. Inst. Ident.) NO. <b>A1</b>		3. EFFECTIVE DATE <b>B1</b>	4. REQUISITION/PURCHASE REQUEST/PROJECT NO. <b>C1</b>				
5. ISSUED BY <b>D1</b> CODE		6. ADMINISTERED BY (If other than Item 5) CODE					
7. NAME AND ADDRESS OF CONTRACTOR (No., street, county, State and ZIP Code) <b>E1</b>		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 <input checked="" type="checkbox"/> ITEM					
CODE	FACILITY CODE						
11. SHIP TO/MARK FOR CODE		12. PAYMENT WILL BE MADE BY CODE					
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. 293(c)( )		14. ACCOUNTING AND APPROPRIATION DATA <b>F1</b>					
15A. ITEM NO. <b>G1</b>	15B. SUPPLIES/SERVICES	15C. QUANTITY <b>G1</b>	15D. UNIT <b>G1</b>	15E. UNIT PRICE <b>G1</b>	15F. AMOUNT <b>G1</b>		
<b>15G. TOTAL AMOUNT OF CONTRACT</b> ▶ \$ <b>G1</b>							
<b>16. TABLE OF CONTENTS</b>							
(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					
<b>CONTRACTING OFFICER WILL COMPLETE ITEM 17 (SEALED-BID OR NEGOTIATED PROCUREMENT) OR 18 (SEALED-BID PROCUREMENT) AS APPLICABLE</b>							
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.)			
19A. NAME AND TITLE OF SIGNER (Type or Print) <b>H1</b>				20A. NAME OF CONTRACTING OFFICER <b>I1</b>			
19B. NAME OF CONTRACTOR <b>H1</b>		19C. DATE SIGNED <b>H1</b>		20B. UNITED STATES OF AMERICA <b>I1</b>		20C. DATE SIGNED <b>I1</b>	
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. 5/2011)  
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.

## 11.2 - 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 Officers immediate supervisor?				
D2. Are the appropriate fields marked on Contracting Officer Appointment/Warrant Eligibility Transfer/Termination Request to identify the type of designation requested?				
E2. Is the Contracting Officers 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

<b>Contracting Officer (CO) Appointment / Warrant Eligibility Transfer /Termination Request</b>					DATE A2.	
<p><i>PRIVACY ACT STATEMENT: Title 10 USC 8013; Title 10 USC, Subtitle A, Chapter 87; FAR 1.602.</i>  <i>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.</i>  <i>ROUTINE USES: None.</i>  <i>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.</i></p>						
TO (APPOINTING AUTHORITY) B2.			FROM (CANDIDATE'S IMMEDIATE SUPERVISOR) C1.			
<b>TYPE DESIGNATION REQUESTED</b>						
<input type="checkbox"/> UNLIMITED D2.	<input type="checkbox"/> LIMITED (Specify all limitations in Justification for Warrant block on page 2) D2.		CHECK ALL THAT APPLY: <input type="checkbox"/> New appointment; <input type="checkbox"/> Warrant Reinstatement; <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) D2.			
<b>IDENTIFICATION AND PERSONAL DATA</b>						
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	
<b>ACQUISITION CERTIFICATION</b> (Attach Civilian Career Brief/Single Unit Retrieval and Format (SURF) for military candidate, or copies of Certificate(s))						
<b>CONTRACTING</b>		DATE CERTIFIED		<b>OTHER</b>		DATE CERTIFIED
LEVEL I				LEVEL I		
LEVEL II				LEVEL II		
LEVEL III				LEVEL III		
<b>PREVIOUSLY HELD WARRANTS</b> (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)	
<b>RESUME OF EXPERIENCE</b> (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)						
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 E2.	TYPED NAME OF CANDIDATE E2.		SIGNATURE OF CANDIDATE E2.
JUSTIFICATION FOR WARRANT (TO BE COMPLETED BY REQUESTING OFFICIAL)			
<ol style="list-style-type: none"> <li>1. Programs/workload to be covered by the appointment and number of buyers the CO will be responsible for (if applicable):</li> <li>2. Recommended limitations of authority to be placed on the warrant (if none, so state):</li> <li>3. Indicate if the proposed warrant is necessary due to expanded workload, or replacement of another CO (include name of CO being replaced):</li> <li>4. Total number of personnel within the organization:</li> <li>5. Number of warranted personnel by type of warrant currently held within the organization (e.g., Squadron/Flight/Branch):</li> <li>6. Impact if warrant is denied:</li> </ol>			
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/ENDORISING OFFICIAL (IF USED BY MAJCOM/DRU) F2.		SIGNATURE OF REVIEWING/ENDORISING 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

<b>TERMINATION OF APPOINTMENT</b>		
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
<b>WARRANT ELIGIBILITY TRANSFER 1</b>		
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
<b>WARRANT ELIGIBILITY TRANSFER 2</b>		
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 100.

### 11.3 - 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 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 (requesting agency name, address, etc.) recorded on the MIPR DD Form 448?				
D3. Is the "From" field (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: \_\_\_\_\_





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 103.

## 11.4 - 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" (USMC name, address, etc.) recorded on the GBL SF1103?				
D4. Is the "Origin" (Contractor/Vendor name, address, etc.) 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 and date on the GBL SF1103 agree to the Contract Number and date 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 Contract Number and date on the GBL SF1103 agree to the Contract Number and date listed on the Contract SF26?				
N4. Is the date recorded on the GBL SF1103?				

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

4. KSD: SF1103: U.S Government Bill of Lading (GBL)	Yes	No	N/A	Comments
O4. Is the Freight on Board (FOB) point of contact recorded on the GBL SF1103?				

**Preparer**                      Title: \_\_\_\_\_  
 Printed Name: \_\_\_\_\_  
 Signature: \_\_\_\_\_                      Date: \_\_\_\_\_

**Reviewer**                      Title: \_\_\_\_\_  
 Printed Name: \_\_\_\_\_  
 Signature: \_\_\_\_\_                      Date: \_\_\_\_\_



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

page 2

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### 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

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### 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 41 CFR 101-41 313.2

6. Contractor will returned 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.

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#### 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 119.

## 11.5 - 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. Is the Invoice Number and Date recorded on the DD Form 250?				
C5. Is the Date Shipped recorded on the DD Form 250?				
D5. Does the Bill of Lading Number on the DD Form 250 agree to the Bill of Lading Number on the GBL SF1103?				
E5. Is the Tracking Control Number (TCN) recorded on the DD Form 250?				
F5. Is 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. Is the "Shipped From" name and address (if other than Prime Contractor/Vendor) recorded on the DD Form 250?				
I5. Is 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 the 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 O5 B5 TGN		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
<p>21. CONTRACT QUALITY ASSURANCE</p> <p>a. ORIGIN <input type="checkbox"/> CQA <input type="checkbox"/> ACCEPTANCE of listed items has been made by me or under my supervision and they conform to contract, except as noted herein or on supporting documents.</p> <p>b. DESTINATION <input type="checkbox"/> CQA <input type="checkbox"/> ACCEPTANCE of listed items has been made by me or under my supervision and they conform to contract, except as noted herein or on supporting documents.</p> <p>22. RECEIVER'S USE Quantities shown in column 17 were received in apparent good condition except as noted.</p> <p>DATE RECEIVED: _____ SIGNATURE OF AUTHORIZED GOVERNMENT REPRESENTATIVE: _____</p> <p>TYPED NAME: _____ TITLE: _____ MAILING ADDRESS: _____</p> <p>COMMERCIAL TELEPHONE NUMBER: _____</p> <p>* 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.</p> <p>23. CONTRACTOR USE ONLY</p>								

DD FORM 250, AUG 2000

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 127.

## 11.6 - DD Form 1348: 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 Issued 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), Unique Identifier (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: 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?				

**Preparer**

Title: \_\_\_\_\_  
 Printed Name: \_\_\_\_\_  
 Signature: \_\_\_\_\_ Date: \_\_\_\_\_

**Reviewer**

Title: \_\_\_\_\_  
 Printed Name: \_\_\_\_\_  
 Signature: \_\_\_\_\_ Date: \_\_\_\_\_





Example: DD Form 1348 - Issue Release/Receipt Document

page 2

DD Form 1348-1A ISSUE RELEASE RECEIPT DOCUMENT																				FORM APPROVED OMB No. 0704-0188																																																																																																													
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	51	52	53	54	55	56	57	58	59	60	61	62	63	64	65	66	67	68	69	70	71	72	73	74	75	76	77	78	79	80	81	82	83	84	85	86	87	88	89	90	91	92	93	94	95	96	97	98	99	100																														
DOC. FROM										QUANTITY										SUPPLEMENTARY ADDRESS										PLANT DISTRIBUTION PROJECT										REG. DEL. DATE										UNIT PRICE										DOLLARS										CTS										SHIP FROM										SHIP TO																																							
EA										00250										07										D6										22.50										5625.00										1HLD9										N25622																																																											
34 Procurement Number & Suffix (31-44)										N6																				DLA90089X1234										5 DOC. DATE										H6										20100CT18										7 FRT RATE										8 TYPE CARD										9 PS																																							
75 National Stock Number & Add (8-22)										M6																				1111223330002										10 QTY RECD										I6										11 UP										12 UNIT WEIGHT										13 UNIT CU										14 UPC										15 SL																													
28 RI (4-6) (1) (7-9) (2) (10-11) (3) (12) (4) (13-14) (5) (15-16) (6) (17-18) (7) (19-20) (8) (21-22) (9) (23-24) (10) (25-26) (11) (27-28) (12) (29-30) (13) (31-32) (14) (33-34) (15) (35-36) (16) (37-38) (17) (39-40) (18) (41-42) (19) (43-44) (20) (45-46) (21) (47-48) (22) (49-50) (23) (51-52) (24) (53-54) (25) (55-56) (26) (57-58) (27) (59-60) (28) (61-62) (29) (63-64) (30) (65-66) (31) (67-68) (32) (69-70) (33) (71-72) (34) (73-74) (35) (75-76) (36) (77-78) (37) (79-80) (38) (81-82) (39) (83-84) (40) (85-86) (41) (87-88) (42) (89-90) (43) (91-92) (44) (93-94) (45) (95-96) (46) (97-98) (47) (99-100)										L6																				EA00250 2250										16 FREIGHT CLASSIFICATION NOMENCLATURE										17 ITEM NOMENCLATURE										J6										STOPPER, DUCKY										18 TYPE CONT										19 NO CONT										20 TOTAL WT										21 TOTAL CU																			
22 RECEIVED BY										K6										23 DATE										K6										MARK FOR										DIMENSIONS										ISSUED BY										S0514A										PACKED BY										1HLD9										SHIPPED BY										1HLD9																			
27 ADDITIONAL DATA										NAVAL WEAPONS CENTER PHILADELPHIA, PA 01322										M/F: USS PRINCETON CG 59 San, AP 96675-1179										Receiving Officer Rating: DO-A7 ACRN: AB										<input type="checkbox"/> PARTIAL SHIPMENT										Unique Item Identification (UII)										O6										CAGE										SIN										FIN										23SKDO-STP										LDT										SIN									

TrueForm by Mil-Pac Technology, www.milpac.com  
Form MPLH0442 Rev 003.080906

(Previous Editions Are Obsolete)

DD FORM 1348-1A

PRIME CONTRACTOR		CODE: 1HLD9		CONTRACT NUMBER		ORDER		CLIN	
Mil-Pac Technology				DLA900-89-X-1234		5678		0017AB	
PO Box 2066				ADMIN OFC		PAYMENT OFC		INVOICE DATE	
Ramona, CA 92065				S0514A		HQ0339			
SHIP TO		CODE: N25622		FREIGHT CHARGE		INVOICE AMOUNT		TERMS	
NAVAL WEAPONS CENTER				0.00		\$0.00			
PHILADELPHIA, PA 01322				MARK FOR		CODE: R21447			
				USS PRINCETON CG 59					
				San, AP 96675-1179					

.....1.....+.....2.....+.....3.....+.....4.....+.....5.....+.....6.....+.....7.....+.....8  
1111223330002EA00250 12345200H065 07

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 131.

## 11.7 - 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 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 #, FSN, Description and Coding of Material 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 they 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. 0704-0248  
OMB Approval Expires April 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 Service Directorate (0704-0248). 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.**

<b>1. FROM:</b> <small>(Prescribed Code)</small> President, Marine Corps University 2076 South Street Quantico, VA 22134-5067		<b>5. SHEET NO.:</b> 1	<b>6. NO. OF SHEETS:</b> 1	<b>7. REQUISITION DATE:</b> (B7)	<b>8. REQUISITION NUMBER:</b> (C7)
<b>2. TO:</b> <small>(Prescribed Code)</small> Head, Regional Contracting Office, Northeast (RCO-NE) 2010 Henderson Road, Suite 206 Quantico, VA 22134		<b>7. DATE MATERIAL REQUIRED:</b> (YYYYMMDD)		<b>9. AUTHORITY OR PURPOSE:</b> Deputy Director, Lejeune Leadership Institute (D7)	
<b>3. SHIP TO: MARK FOR:</b> Marine Corps University ATTN: Lejeune Leadership Institute 2076 South Street, Room 032 Quantico, VA 22134-5067		<b>10. SIGNATURE:</b> (B7)		<b>11a. VOUCHER NUMBER &amp; DATE:</b> (F7) (YYYYMMDD)	
<b>4. APPROPRIATIONS DATA:</b> LOA: FIP:		<b>12. DATE SHIPPED:</b> (YYYYMMDD) (B7)		<b>b.:</b>	
		<b>13. MODE OF SHIPMENT:</b>		<b>14. BILL OF LADING NUMBER:</b> (B7)	
		<b>15. AIR MOVEMENT DESIGNATOR OR PORT REFERENCE NO.:</b>			
					<b>AMOUNT:</b> (I7)

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

<b>16. TRANSPORTATION VIA AMC OR MSC CHARGEABLE TO:</b>				<b>17. SPECIAL HANDLING:</b>						
<b>18. ISSUED BY:</b>	<b>TOTAL CON-TAINERS:</b> (L7)	<b>TYPE CON-TAINER:</b>	<b>DESCRIPTION:</b> (L7)	<b>TOTAL WEIGHT:</b>	<b>TOTAL CUBE:</b>	<b>19. CONTAINERS RECEIVED EXCEPT AS NOTED:</b>	<b>DATE:</b> (YYYYMMDD) (L7)	<b>BY:</b>	<b>SHEET TOTAL:</b> 0.00 (L7)	
	<b>CHECKED BY:</b>						<b>QUANTITIES RECEIVED EXCEPT AS NOTED:</b>	<b>DATE:</b> (YYYYMMDD)	<b>BY:</b>	<b>GRAND TOTAL:</b>
	<b>PACKED BY:</b>						<b>POSTED:</b>	<b>DATE:</b> (YYYYMMDD)	<b>BY:</b>	<b>20. RECEIVER'S VOUCHER NO.:</b>
			<b>TOTAL</b>							

**DD FORM 1149, JUL 2006** 51 52 53 54 55 56 57 58 59 60 61 62 63 64 65 66 67 68 69 70 71 72 73 74 75 76 77 78 79 80 81 82 83 84 85 86 87 88 89 90 91 92 93 94 95 96 97 98 99 100

PREVIOUS EDITION IS OBSOLETE.

Reset (Adobe Designer 2.0)





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 135.

## 11.8 - 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 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

<b>DOD PROPERTY IN THE CUSTODY OF CONTRACTORS</b> (DFARS 245.505-14) <i>(See Instructions on back before completing this form.)</i>		<div style="border: 1px solid black; border-radius: 50%; width: 20px; height: 20px; display: flex; align-items: center; justify-content: center; margin: 0 auto;">A8</div> <b>REPORT AS OF</b> 30 SEP _____ OR _____	<i>Form Approved</i> OMB No. 0704-0246 Expires Feb 29, 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.						
<b>PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE ABOVE ORGANIZATION.</b> <b>RETURN COMPLETED FORM TO THE ADDRESS IN ITEM 1.</b>						
1. TO <i>(Enter name and address of property administrator)</i>		2. FROM <i>(Enter full name, address and CAGE code of contractor)</i>				
<div style="border: 1px solid red; border-radius: 50%; width: 20px; height: 20px; display: flex; align-items: center; justify-content: center;">B8.</div>		<div style="border: 1px solid red; border-radius: 50%; width: 20px; height: 20px; display: flex; align-items: center; justify-content: center;">B8.</div>				
3. IF GOVERNMENT-OWNED, CONTRACTOR-OPERATED PLANT, ENTER GOVERNMENT NAME OF PLANT						
4. CONTRACT NO. <i>(PIIN)</i>	5. CONTRACT PURPOSE	6. BUSINESS TYPE <i>(Enter L, S, or N)</i>	7. OFFICIAL NAME OF PARENT COMPANY			
<div style="border: 1px solid red; border-radius: 50%; width: 20px; height: 20px; display: flex; align-items: center; justify-content: center;">C8</div>	<div style="border: 1px solid red; border-radius: 50%; width: 20px; height: 20px; display: flex; align-items: center; justify-content: center;">D8.</div>		<div style="border: 1px solid red; border-radius: 50%; width: 20px; height: 20px; display: flex; align-items: center; justify-content: center;">E8.</div>			
8. PROPERTY LOCATION(S)		9. PLANT EQUIPMENT PACKAGE <i>(PEP No. and use)</i>				
<div style="border: 1px solid red; border-radius: 50%; width: 20px; height: 20px; display: flex; align-items: center; justify-content: center;">F8.</div>						
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	<div style="border: 1px solid red; border-radius: 50%; width: 20px; height: 20px; display: flex; align-items: center; justify-content: center;">G8.</div>	<div style="border: 1px solid red; border-radius: 50%; width: 20px; height: 20px; display: flex; align-items: center; justify-content: center;">G8.</div>			<div style="border: 1px solid red; border-radius: 50%; width: 20px; height: 20px; display: flex; align-items: center; justify-content: center;">H8</div>	<div style="border: 1px solid red; border-radius: 50%; width: 20px; height: 20px; display: flex; align-items: center; justify-content: center;">H8</div>
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>		b. SIGNATURE		c. DATE SIGNED <i>(YYYYMMDD)</i>		
<div style="border: 1px solid red; border-radius: 50%; width: 20px; height: 20px; display: flex; align-items: center; justify-content: center;">I8.</div>		<div style="border: 1px solid red; border-radius: 50%; width: 20px; height: 20px; display: flex; align-items: center; justify-content: center;">I8.</div>		<div style="border: 1px solid red; border-radius: 50%; width: 20px; height: 20px; display: flex; align-items: center; justify-content: center;">I8.</div>		
20. DOD PROPERTY REPRESENTATIVE						
a. TYPED NAME <i>(Last, First, Middle Initial)</i>		c. SIGNATURE		d. DATE SIGNED <i>(YYYYMMDD)</i>		
<div style="border: 1px solid red; border-radius: 50%; width: 20px; height: 20px; display: flex; align-items: center; justify-content: center;">J8.</div>		<div style="border: 1px solid red; border-radius: 50%; width: 20px; height: 20px; display: flex; align-items: center; justify-content: center;">J8.</div>		<div style="border: 1px solid red; border-radius: 50%; width: 20px; height: 20px; display: flex; align-items: center; justify-content: center;">J8.</div>		
b. TELEPHONE NUMBERS <i>(Commercial and DSN)</i>				<div style="border: 1px solid red; border-radius: 50%; width: 20px; height: 20px; display: flex; align-items: center; justify-content: center;">J8.</div>		
<div style="border: 1px solid red; border-radius: 50%; width: 20px; height: 20px; display: flex; align-items: center; justify-content: center;">J8.</div>						

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.

## 11.9 - Letter of Authorization (LOA) \*\*

9. KSD: Letter of Authorization (LOA)	Yes	No	N/A	Comments
A9. Does LOA consist of the current date?				
B9. Does "From Commanding Officer" field clearly indicate the Unit information?				
C9. Does the "To" field clearly indicate the recipient's information?				
D9. Does the description of LOA clearly represent the intention of the LOA?				
E9. Is the information on the Marine Authorized to sign Ordnance Custody Receipts recorded on the LOA? (i.e. Rank, Name and Signature)				
F9. Is the POC information including POC's phone number recorded on LOA?				
G9. Is the Commanding Officer (CO)'s signature recorded on LOA?				

**Preparer**                      Title: \_\_\_\_\_  
    Printed Name: \_\_\_\_\_  
    Signature: \_\_\_\_\_                      Date: \_\_\_\_\_

**Reviewer**                      Title: \_\_\_\_\_  
    Printed Name: \_\_\_\_\_  
    Signature: \_\_\_\_\_                      Date: \_\_\_\_\_

\*\*The LOA was replaced by NAVMC 11869: Notice of Delegation of Authority in February 2014.

## Example: Letter of Authorization (LOA)

LETTER OF AUTHORIZATION ALLOWING THE SENIOR MARINE FROM  
THAT UNIT TO SIGN ORDNANCE CUSTODY RECEIPTS (NAVMC 10520)



UNITED STATES MARINE CORPS  
UNIT LETTERHEAD

8000  
S-3  
DATE

**B9.** From: Commanding Officer, UNIT  
**C9.** To: Commanding Officer, Weapons Training Battalion, Marine  
Corps Base, Camp Lejeune, NC (Attn: Armory)  
**D9.** Subj: AUTHORIZATION TO SIGN TEMPORARY WEAPONS CUSTODY RECEIPTS  
(NAVMC 10520)

Ref: (a) TM 4700.15/1G

**E9.** 1. The following Marine is authorized to sign temporary  
Ordnance Custody Receipts, MCBCL 8010/20 (Pink/Yellow Cards).  
From \_\_\_\_\_ To \_\_\_\_\_ Class# \_\_\_\_\_ (CMC/CMT) CIRCLE.

<b>F9.</b> <u>RANK</u>	<u>NAME</u>	<b>F9.</b> <u>SIGNATURE</u>
GySgt	Marine, John M.	_____

**G9.** 2. Point of contact is Armory Chief at extension 910-XXX-XXXX.  
3. This letter supersedes all other letters.

I. M. COMMANDING

**H9.**

Enclosure (6)



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.

## 11.10 - Mechanized Allowance List (MAL)

10. KSD: Mechanized Allowance List (MAL)	Yes	No	N/A	Comments
A10. Does the MAL have the correct date?				
B10. Is the TAMCN and Item Description recorded on the MAL?				
C10. Is the AAC recorded on the MAL?				
D10. Is the UIC recorded on the MAL, and does it correspond to the item's UIC?				
E10. Does the item NSN recorded on MAL agree with NSN recorded on the supporting documents?				
F10. Is Unit T/E RQMT recorded on the MAL?				
G10. Is the CMD adjustment recorded on the MAL and supported by KSD?				
H10. Does the "Total RQMT" field agree with T/E and adjustment?				
I10. Does "On-Hand" field agree with summation of T/E, adjustments, Total RQMT and Due-In?				
J10. Does the "Over (+)/ Short (-)" field signify correct representation of the MAL record?				

**Preparer**

Title: \_\_\_\_\_

Printed Name: \_\_\_\_\_

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

**Reviewer**

Title: \_\_\_\_\_

Printed Name: \_\_\_\_\_

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Example: Mechanized Allowance List (MAL)

M11001

Global Combat Support System - Marine Corps Mechanized Allowance List MAL Summary - 2012-APR-02

B10. TAMCN - Item Description	C10. AAC	D10. UIC	E10. NSN	UOI	CIC	RQMT	Unit	G10.	H10.	I10.	J10.	K10.	
							T/E	SP	CMD	Total	Due	On	Over (+)
								Allow	Adjust	RQMT	In	Hand	Short (-)
D01987K - TRUCK, DFCS, CARGO, 7 TON, W/O WINCH	M11001	UIC-M11001	2320014652174	EA			0	0	0	0	0	44	44
			2320014652176	EA			0	0	0	0	0	8	8
			2320015525175	EA			0	0	0	0	0	40	40
			2320015525226	EA			0	0	0	0	0	7	7
		UIC-M11002	2320015987736	EA			6	0	0	6	0	0	-6
		UIC-M11006	2320015987736	EA			2	0	0	2	0	0	-2
		UIC-M11008	2320015987736	EA			40	0	0	40	0	0	-40
		UIC-M11016	2320015987736	EA			2	0	0	2	0	0	-2
		UIC-M11030	2320015987736	EA			40	0	0	40	0	0	-40
		UIC-M11051	2320015987736	EA			1	0	0	1	0	0	-1
		N10. Total AAC M11001					91	0	0	91	0	99	8
O10. Total TAMCN D01987K - TRUCK, DFCS, CARGO, 7 TON,							91	0	0	91	0	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 136.

### 11.11 - Consolidated Memorandum of Receipt (CMR)

11. KSD: Consolidated Memorandum of Receipt (CMR)	Yes	No	N/A	Comments
A11. Is the date on the CMR recorded?				
B11. Is the AAC recorded on the CMR and does it agree with item's AAC?				
C11. Does the CMR clearly indicate TAC-2 location?				
D11. Does the CMR clearly identify AO, RO and the Subordinate Unit Code?				
E11. Is the TAMCN clearly identified on the CMR?				
F11. Does Total On-Hand (TAMCN) on the CMR agree with the Total On-Hand at this location recorded on the CMR?				
G11. Does Total Price (TAMCN) on the CMR agree with Extended Price on the CMR?				
H11. Does CMR NSN & Nomenclature agree with the item's NSN & Nomenclature?				
I11. Does the NSN Total On-hand agree with NSN On- hand on location?				
J11. Does the CMR clearly represent the item's unit price and the NSN's total price?				
K11. Do the serial numbers found at this location agree to the item serial numbers?				
L11. Is the total on-hand at this location and the extended price correct?				
M11. Is the CMR initialed by the AO/RO on each page?				
N11. Is the CMR signed by the AO/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 A11



**GCSS-MC**  
For Official Use Only

---

C11 AAC: M13301 E11  
C11 TAC-2 Location: MAGTF MATERIAL DISTRIBUTION CENTER HQ(12TH 3D MARDIV M(330) BLDG 400 BAY4 CAMP KINSEY JA 6374004 OKINAWA JP 901 2100  
D11 Accountable Officer: SPENCER, Maj, PATRICK S D11 Responsible Officer: CRITES, CWO3, JOHN D  
D11 Subordinate Unit Code: YSUR

<span style="border: 1px solid black; border-radius: 50%; padding: 2px;">E11</span> TAMCN:	<b>Total On-Hand: 37</b> <span style="border: 1px solid black; border-radius: 50%; padding: 2px;">F11</span>	<b>Total Price: \$13,235.65</b> <span style="border: 1px solid black; border-radius: 50%; padding: 2px;">E11</span>
<span style="border: 1px solid black; border-radius: 50%; padding: 2px;">H11</span> NSN: 108001796025	Nomenclature: SUPPORT ASSEMBLY,CA	UI: EA SAC: 1 CIC: Unit Price: \$347.00
<span style="border: 1px solid black; border-radius: 50%; padding: 2px;">H11</span>	<span style="border: 1px solid black; border-radius: 50%; padding: 2px;">H11</span> NSN Total On-Hand: 36	<span style="border: 1px solid black; border-radius: 50%; padding: 2px;">J11</span> NSN Total Price: \$12,492.00
<u>Serial Numbers Found at</u>	<span style="border: 1px solid black; border-radius: 50%; padding: 2px;">C11</span> P1-UNIT 36070 TOECR Change Required	
<span style="border: 1px solid black; border-radius: 50%; padding: 2px;">L11</span>	<span style="border: 1px solid black; border-radius: 50%; padding: 2px;">L11</span> Total On-Hand at this Location: 30	<span style="border: 1px solid black; border-radius: 50%; padding: 2px;">L11</span> Extended Price: \$12,492.00
NSN: 4910013539944	Nomenclature: WASHER,PRESSURE,POR	UI: EA SAC: 1 CIC: Unit Price: \$743.65
	NSN Total On-Hand: 1	NSN Total Price: \$743.65
<u>Serial Numbers Found at</u>	P1-UNIT 36070 TOECR Change Required	
	Total On-Hand at this Location: 1	Extended Price: \$743.65
TAMCN: A00167G	<b>Total On-Hand: 1</b>	<b>Total Price: \$2,506,712.00</b>
NSN: 1290909580*42	Nomenclature: GROUND COUNTER FIRE	UI: EA SAC: 3 CIC: A Unit Price: \$2,506,712.00
	NSN Total On-Hand: 1	NSN Total Price: \$2,506,712.00
<u>Serial Numbers Found at</u>	P1-UNIT 36070 TOECR Change Required (00)	
	Total On-Hand at this Location: 1	Extended Price: \$2,506,712.00
TAMCN: A01167G	<b>Total On-Hand: 4</b>	<b>Total Price: \$600,000.00</b>

1 of 5 Last page has space for final signature. M11

M11 *YDC* 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.

## 11.12 - Physical Inventory Count Report/Sheet (MARCORLOGCOM)

12. KSD: Physical Inventory Count Report/Sheet (MARCORLOGCOM)	Yes	No	N/A	Comments
A12. Does the "Inventory Count Sheet Originator" field agree with the item's Originator?				
B12. Does the DOC Identifier agree with the item's Identifier Code?				
C12. Is the date recorded on the physical inventory count sheet?				
D12. Does the NSN and Nomenclature agree with the item's NSN and Nomenclature?				
E12. Does the owner code reflect the correct owner?				
F12. Does the condition code reflect the correct condition of the item?				
G12. Is the location of the item in the place the item is located?				
H12. Does the Inventory Count Sheet QTY agree with actual On-Hand inventory?				
I12. Does the Inventory Count Sheet Lot No agree with the item's actual Lot No?				
J12. Does the Freeze Code on the Inventory Count Sheet agree with the Freeze Code on the Inventory Count Report?				
K12. Is the "Inventory Count Report Suspense-Control-Number" field recorded and does it agree with the item Inventory-Control-Number?				
L12. Is the Inventory Count Report CUTOFF-DT and REPORT-DT information recorded?				
M12. Does the "Inventory Count Report & Sheet NSN" field agree to the item's NSN?				
N12. Does the "Inventory Count Report & Sheet Nomenclature" field agree to the item's Nomenclature?				
O12. Is the OTC, SEC and TIC amount properly reflect the item's OTC, SEC and TIC?				
P12. Does 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

12. KSD: Physical Inventory Count Report/Sheet (MARCORLOGCOM)	Yes	No	N/A	Comments
Q12. Does the "Inventory Count Report/Sheet Location" field agree with the item's location field?				
R12. Does the Inventory Count Report/Sheet CC agree with the item's CC?				
S12. 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

<b>A12.</b>	ORIGINATOR	DOC IDENT	<b>B12.</b>	REFERENCE INDIC	DATE											
	YKA	XAA		E136112	05/15/12											
<b>C12.</b>	NSN	<b>C12.</b>	NOMENCLATURE	RITQ	UI	STK LEV	FREQ	GROSS	SECU	SHLF	NO	PHY	DEMIL	<b>D12.</b>	<b>D12.</b>	MOD
	5998 01 440 1310 00		CIRCUIT CARD AS	0000000	EA	0000001	00017	0000034	9	0	REC	CAT	D	061700J	34580W	
WT	CU	CARGO	AIR	WATER	AIR	REAR	SL3-PLF	COM	ECH	BIN	BIN	COMP	SPC	NO	STANDARD	
		CODE	COM	COM	DIM	REA		MAN		ROP	LEVEL	DRIG	CODE	SAC	UNIT PRICE	
			HZ	65829	A			4	2	00000	00000			2	002	50,979.00
OWNER	COND	LOCATION	INV	QTY	<b>H12.</b>	LOT NO	<b>I12.</b>	INSP	PREZ	TYPE	DISCRETE	TYPE	SIZE	SIZE	REMARKS	
CODE	CODE		SEG					DATE	CODE	PACK	PRICE	ENVIRON	LOC1	LOC2		
<b>B12.</b>	<b>F12.</b>	<b>G12.</b>														
4	F	M131660BA	Y1	0000008		2136										
4	F	M132763AA	Y1	0000001		2136	505									

*F*  
*7*  
All recorded count match the IIF records

page 2

<b>K12.</b>	PHYSICAL INVENTORY COUNT REPORT		PAGE	8
SUSPENSE-CONTROL-NUMBER	CUTOFF-DT	<b>L12.</b>	REPORT-DT	<b>L12.</b>
213600074	136		2136	
NATIONAL-STOCK-NUMBER	<b>M12.</b>	UI	NOMENCLATURE	<b>N12.</b>
5998-01-440-1310		EA	CIRCUIT CARD AS	
			9	<b>E</b>
OC	LOCATION	<b>R12.</b>	TPC	LOT-CONTR-NR
4	M131660BA		F	
<b>P12.</b>	<b>Q12.</b>	<b>S12.</b>	<b>S12.</b>	<b>S12.</b>
		COUNT-QTY	COUNT-DT	ORIG
<b>S12.</b>	FIRST COUNT:	8	2137	224
<b>S12.</b>	SECOND COUNT:			
<b>S12.</b>	THIRD COUNT:			

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.

### 11.13 - Responsible Officer (RO) Appointment Letter \*\*

13. KSD: Responsible Officer (RO) Appointment Letter **	Yes	No	N/A	Comments
A13. Does the Appointment Letter identify the USMC unit/activity?				
B13. Is the date recorded on the Appointment Letter?				
C13. Does the "From" field identify the Accountable Officer (AO)/Commanding Officer (CO) for the unit/activity?				
D13. Does the "To" field identify the Responsible Officer (RO) 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 Letter clearly identify the RO's duties and responsibilities?				
G13. Is the AOs/COs signature recorded on the Appointment Letter?				

**Preparer**                      Title: \_\_\_\_\_  
    Printed Name: \_\_\_\_\_  
    Signature: \_\_\_\_\_                      Date: \_\_\_\_\_

**Reviewer**                      Title: \_\_\_\_\_  
    Printed Name: \_\_\_\_\_  
    Signature: \_\_\_\_\_                      Date: \_\_\_\_\_

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

## Example: Responsible Officer (RO) Appointment Letter \*\*

page 1



A13.
 UNITED STATES MARINE CORPS  
 COMBAT LOGISTICS REGIMENT 3  
 3D MARINE LOGISTICS GROUP  
 UNIT 38416  
 FPO AP 96604-8416

IN REPLY REFER TO:  
 4400  
 SMD  
 DEC 15 2012 B13.

C13. From: Commanding Officer, Combat Logistics Regiment 3  
D13. To: Capt. Jesse R. Shook USMC  
E13. Subj: ASSIGNMENT OF RESPONSIBLE OFFICER, ACCOUNT NUMBER YMT  
 Ref: (a) MCO P4400.150E  
 (b) UM 4400-124

Encl: (1) Consolidated Memorandum Receipt (CMR)  
 (2) RO Acceptance Letter Format  
 (3) Discrepancy Letter  
 (4) Delegation of Authority  
 (5) Request for Investigation Letter  
 (6) Request for Extension Letter

1. In accordance with reference (a), you are hereby appointed as the RO for account number YMT. This appointment becomes effective immediately.

F13. 2. As directed in references (a) and (b), you shall ensure that the following duties are carried out:

a. Account for and maintain in serviceable condition all authorized equipment/material in your possession. Authorized material allowances and on-hands are reflected in enclosure (1).

b. Upon receipt of this appointment, physically inventory your account and report any discrepancies to the Supply Officer. Officially acknowledge acceptance of the account, using enclosure (2). Quarterly or when directed by the Commanding Officer via the Supply Officer, verify all property in your charge. Report and justify in writing all discrepancies with supporting documentation, gains and losses to the Commanding Officer via the Supply Officer, enclosure (3) pertains.

c. Report to the Supply Officer any property found on-hand which is not included on your CMR, thereby permitting recovery or inclusion on property records.

d. Report to the Commanding Officer via the Supply Officer, when identified, any authorized equipment/material lost or destroyed.



## Example: Responsible Officer (RO) Appointment Letter

page 2

Subj: ASSIGNMENT OF RESPONSIBLE OFFICER, ACCOUNT NUMBER YMT

e. Your CMR should reflect accurate allowance and on-hand postures at all times. Annotate any changes to allowance, on-hand quantities and serial numbers on your discrepancy letter. Maintain your interim receipts for a period of one year.

f. Ensure that all your subordinates are properly instructed and supervised in the care, use and maintenance of equipment/material.

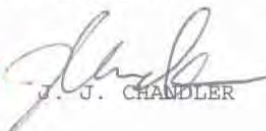
g. Delegate in writing to the Supply Officer, using enclosure (4), any individuals authorized to receive or turn-in authorized equipment/material. You are required to initial changes on Regimental Supply's master CMR (deployed units non-applicable).

h. Prior to the transfer of this account, you are required to conduct a joint physical inventory with your RO relief.

i. Any adjustments without supporting documentation will be submitted as a Request for Investigation utilizing enclosure (5) as an example.

3. The Supply Officer will provide you with detailed instructions concerning the preparation and signing of your CMR. You are authorized 15 calendar days to complete the physical inventory. If additional time is required to complete your inventory, request for an extension via the Supply Officer prior to the initial deadline. The extension request must be in writing and include justification.

G13.

  
J. J. CHANDLER

Copy to:  
HQCO

{This page is intentionally  
left blank.}



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.

## 11.14 - Responsible Officer (RO) Appointment Acceptance Letter

14. KSD: Responsible Officer (RO) Appointment Acceptance Letter	Yes	No	N/A	Comments
A14. Does the Appointment Acceptance Letter identify the USMC unit/activity?				
B14. Is the date recorded on the Appointment Acceptance Letter?				
C14. Does the "From" field identify the Responsible Officer (RO) for the unit/activity?				
D14. Does the "To" field identify the Accountable Officer (AO)/Commanding Officer (CO) for the unit/activity?				
E14. Does the "Subject" field clearly state the appointment/assignment of the RO and the unit/activity?				
F14. Does the Appointment Acceptance Letter clearly identify the RO accept his duties and responsibilities?				
G14. 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



UNITED STATES MARINE CORPS  
 COMBAT LOGISTICS REGIMENT 3  
 3D MARINE LOGISTICS GROUP  
 UNIT 38416  
 FPO AP 96604-8416

A14.

IN REPLY REFER TO:  
 4400  
 Sup

B14. FIRST ENDORSEMENT on CO, CLR 3 ltr 4400 Sup dated 12 Sept 2012  
 C14. From: Capt. Jesse R SHOOK  
 Responsible Officer Account YMT  
 D14. To: Commanding Officer, Combat Logistics Regiment 3  
 E14. Subj: ASSIGNMENT OF RESPONSIBLE OFFICER, ACCOUNT NUMBER YMT  
 Ref: (a) MCO P4400.150E

F14. 1. I have read and familiarized myself with the duties and responsibilities as a Responsible Officer as outlined in the references and the appointing order. I accept these duties and responsibilities as the Responsible Officer of this account.

G14.

*J. R. SHOOK*  
 J. R. SHOOK

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.

## 11.15 - Delegation of Authority (DOA) Letter \*\*

15. KSD: Delegation of Authority (DOA) Letter **	Yes	No	N/A	Comments
A15. Does the Delegation of Authority (DOA) Letter identify the USMC unit/activity?				
B15. Is the date recorded on the DOA Letter?				
C15. Does the "From" field identify the Responsible Officer (RO) for the unit/activity?				
D15. Does the "To" field identify the Supply Officer (SO) for the unit/activity?				
E15. Does the "Subject" field clearly state DOA Letter?				
F15. Does the DOA Letter clearly identify each individual and the functions the RO has authorized and has each authorized individual signed the DOA Letter?				
G15. Is the RO's signature recorded on DOA Letter?				

**Preparer**                      Title: \_\_\_\_\_  
    Printed Name: \_\_\_\_\_  
    Signature: \_\_\_\_\_                      Date: \_\_\_\_\_

**Reviewer**                      Title: \_\_\_\_\_  
    Printed Name: \_\_\_\_\_  
    Signature: \_\_\_\_\_                      Date: \_\_\_\_\_

\*\* The DOA Letter was replaced with the NAVMC 11869: Notice of Delegation of Authority in February 2014.



Example: Delegation of Authority (DOA) Letter \*\*



UNITED STATES MARINE CORPS  
COMBAT LOGISTICS REGIMENT 3  
3D MARINE LOGISTICS GROUP  
UNIT 38416  
PPO AP 96604-8416

A15.

IN REPLY REFER TO:  
4400

SUP  
MAR 21 2013

B15.

C15.

From: Responsible Officer, Account YMT

D15.

To: Supply Officer, Combat Logistics Regiment 3

E15.

Subj: DELEGATION OF AUTHORITY LETTER

Ref: (a)MCO p4400.150E  
(b)um 4400-124

F15.

1. Per the reference, the following individual(s) are authorized to sign on receipt and/ or turn in documentation for property listed on the CMR.

F15.

F15.

F15.

NAME	RANK
Santo Rivera	CySgt
Nyan Kendrick	SSgt
Antoine Allen	SGT

SIGNATURE

2. Per the reference, the following individual(s) are authorized to sign for the GSA/Servmart Card and purchase supplies for this section.

F15.

F15.

F15.

NAME	RANK
Santo Rivera	CySgt
Nyan Kendrick	SSgt
Antoine Allen	SSgt

SIGNATURE

3. Per the reference, the following individual(s) are authorized to sign for repair parts at the Supply Issue Point for this section.

F15.

F15.

F15.

NAME	RANK
Santo Rivera	CySgt
Nyan Kendrick	SSgt
Antoine Allen	SSgt

SIGNATURE

G15.

Responsible 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.

## 11.16 - Supply Officer (SO) Appointment Letter \*\*

16. KSD: Supply Officer (SO) Appointment Letter **	Yes	No	N/A	Comments
A16. Does the Appointment Letter identify the USMC unit/activity?				
B16. Is the date recorded on the Appointment Letter?				
C16. Does the "From" field identify the Accountable Officer (AO)/Commanding Officer (CO) for the unit/activity?				
D16. Does the "To" field identify the Supply Officer (SO) for the unit/activity?				
E16. Does the "Subject" field clearly state the appointment/assignment of the SO/Fiscal Officer (FO) and the unit/activity?				
F16. Does the Appointment Letter clearly identify the SO's duties and responsibilities?				
G16. 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 The SO Appointment Letter shall include the DD Form 577: Appointment/Termination Record-Authorized Signature as an enclosure.**