



**DEFENSE LOGISTICS AGENCY
HEADQUARTERS
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September 14, 2017

MEMORANDUM FOR: SEE DISTRIBUTION

SUBJECT: Approved Defense Logistics Management Standards (DLMS) Change (ADC) 1151,
Update to Document Retention Periods in DLM 4000.25 Series of Manuals
(Finance/Supply)

We are forwarding the attached approved change to DLM 4000.25, Defense Logistics Management Standards (DLMS), for immediate implementation.

Addressees may direct questions to Mr. Eric Flanagan, Enterprise Business Standards Office Records Coordinator, email: eric.flanagan@dla.mil or the [Enterprise Business Standards website comment/feedback form](#): http://www.dla.mil/HQ/InformationOperations/Defense-Logistics-Management-Standards/comment_form/. Others must contact their designated PRC representative shown at www.dlmso.dla.mil/eLibrary/ServicePoints/allpoc.asp.

HEIDI M. DAVEREDE
Program Manager
Enterprise Business Standards Office

Attachment:
As stated

DISTRIBUTION:

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Department of Defense Activity Address Directory (DoDAAD) PRC
DOD Joint Physical Inventory Working Group (JPIWG)
Military Assistance Program Activity Directory (MAPAD) PRC
Joint Small Arms/Light Weapons Coordinating Group (JSA/LWCG)

cc:
ODASD (SCI)

Attachment to ADC 1151

Update to Document Retention Periods in DLM 4000.25 Series of Manuals

1. ORIGINATING SERVICE/AGENCY AND POC INFORMATION:

- a. Finance: Robert Hammond, Chair, Finance Process Review Committee (PRC), email: financehq@dla.mil
- b. Supply: Ellen Hilert, DOD MILSTRIP Administrator/Co-Chair Supply PRC or Mary Jane Johnson, DOD MILSTRAP Administrator/Co-Chair Supply PRC, DLMSSupply@dla.mil
- c. SDR: Ellen Hilert, DOD SDR System Administrator, or Ben Breen, SDR Alternate, email: DLMSSDR@dla.mil
- d. Pipeline Measurement: Tonja Daniels, Chair, Pipeline Measurement PRC, (703) 767-2811, DSN 427-2811, email: tonja.daniels-carter@dla.mil
- e. DoDAAD/MAPAD: Thomas (Tad) DeLaney, Chair, DoDAAD/MAPAD PRC, (703) 767-6885, email thomas.delaney@dla.mil
- f. Joint Physical Inventory Working Group (JPIWG): Rafael Gonzalez, Chair, JPIWG, (717) 767-6817, email: rafael.gonzalez@dla.mil

2. FUNCTIONAL AREA:

- a. **Primary/Secondary Functional Area:** Supply/Finance/SDR/Pipeline Measurement
- b. **Primary/Secondary Functional Process:** Document Retention

3. REFERENCES:

- a. DODI 5015.02, "DOD Records Management Program"
- b. National Archives and Records Administration (NARA) General Records Schedule (GRS)
- c. DODM 4140.01 DOD Supply Chain Materiel Management Procedures
- d. DOD 7000.14-R, Department of Defense Financial Management Regulation (DOD FMR)
- e. DLM 4000.25, Defense Logistics Management Standards (DLMS)
- f. DLM 4000.25-1, Military Standard Requisitioning and Issue Procedures (MILSTRIP)
- g. DLM 4000.25-2, Military Standard Transaction Reporting and Accountability Procedures (MILSTRAP)
- h. DLM 4000.25-4, Defense Automatic Addressing System (DAAS)

i. DOD 5105.38-M, Security Assistance Management Manual

4. APPROVED CHANGE(S): Substantive updates subsequent to staffing are highlighted in green.

a. Brief Overview of Change: This change updates the Defense Logistics Manual (DLM) 4000.25 series of manuals to remove references to specific record retention periods for documents/transactions, and advises the Components to retain data created as a result of DLMS business processes in accordance with the DODI 5015.02, DOD Records Management Program (Reference 3.a.).

Staffing Note: PRC representatives should coordinate this change with their Component Records Officers (CROs) to ensure compliance with their Component records management program.

b. Background:

(1) The National Archives and Records Administration (NARA) has the sole authority to approve records disposition schedules for Federal records. These records disposition schedules, which are developed jointly by NARA and the DOD Components, are based on input from Program Officers and business owners based on the business needs of the organization. They have the force and effect of Federal law.

(2) The DODI 5015.02, “DOD Records Management Program” (Reference 3.a) requires Components to develop a records management program. ~~record disposition schedules for all DOD records, with approval from NARA.~~ According to DODI 5015.02 paragraph 3.a, Component must, “Establish, sufficiently resource, and maintain a DoD Component records management program at an organizational level of sufficient authority to ensure this instruction and References (c) and (d) are efficiently and effectively implemented. Designate a records officer to administer the Component program and provide written notification of designation to the DoD SAORM.” In addition, DODI 5015.02 paragraph 3.e. states that, “All DOD records will be covered by a records schedule. Approval of the schedules must be obtained from NARA ... ”

(3) The authoritative source for records disposition is the Component’s applicable NARA-approved Component Records Disposition Schedule or NARA’s GRS (Reference 3.b.). Any supplemental information identified in issuances (such as DODM 4140.01 (Reference 3.c.) and DOD 7000.14-R (Reference 3.d.)) should be reflected in NARA-approved Component Records Disposition Schedules or NARA’s GRS.

(4) Current guidance in the DLM 4000.25 series of manuals identifies specific retention periods for many documents/transactions, and establishes business process rules based on those record retention periods. It is possible that these stated retention periods can be in conflict with a Component’s records disposition schedule, or the NARA General Records Schedules (GRS).

(5) Components are responsible for ensuring their business rules and internal retention periods comply with the records management requirements contained in DODI 5015.02, DOD Records Management Program.

c. **Approved Change in Detail:** Revises DLM 4000.25, DLMS (Reference 3.e.), DLM 4000.25-1, MILSTRIP (Reference 3.f.), DLM 4000.25-2, MILSTRAP (Reference 3.g.), and DLM 4000.25-4, DAAS (Reference 3.h.) to:

(1) remove language that specifies a particular document/transaction retention period,

(2) defer to the Component's applicable NARA-approved Component Records Disposition Schedule or NARAs GRS in accordance with DODI 5015.02, DOD Records Management Program as the authoritative source for disposition authority and,

(3) update, as needed, business rules in the DLM 4000.25 series of manuals linked to record retention.

d. **Revisions to DLM 4000.25 Manuals:** Specific updates to procedures, requirements for Components to document those procedures, or changes to retention periods specified in the manuals include the sections of the manuals listed below.

(1) DLM 4000.25, Volume 1, Appendix 3. Added "GRS, General Records Schedules" to the acronym list.

(2) DLM 4000.25, Volume 1; Chapter 2; C2.7.2.5. "~~DAAS DLA Transaction Services~~ procedures define the retention period for each type of transaction set."

Staffing Note for DAAS: DAAS representatives must verify with the DLA Component Records Manager whether or not electronic records related to logistics and billing processes are being retained in accordance with a NARA-approved DLA records schedule. Recommend that DAAS submit a future PDC documenting the specific retention requirements for each type of transaction set to be added to the DLM 4000.25 series of manuals.

(3) DLM 4000.25, Volume 2, Chapter 2, C2.2.16. C2.2.16.1–C2.2.16.3. Advises Components to maintain special program requirements (SPR) requests in accordance with DODI 5015.02.

(4) DLM 4000.25, Volume 2, Chapter 4, C4.7.11. Removes specific retention periods and advises Components to maintain requisition history records in accordance with DODI 5015.02.

(5) DLM 4000.25, Volume 2, Chapter 5, C5.1.6.12.8. Removes specific retention periods and advises Components to maintain history records for cancellation requests in accordance with DODI 5015.02.

(6) DLM 4000.25, Volume 2, Chapter 13, C13.2.8.2.9.1.1. –C13.2.8.2.9.1.2. Removes specific retention periods and advises Components to maintain accessible records of transaction documents in accordance with DODI 5015.02.

(7) DLM 4000.25, Volume 2, Chapter 16, C16.2.3. Modifies wording to remove the word, "retention."

(8) DLM 4000.25, Volume 2, Chapter 16, C16.7.1.2. Removes specific retention periods and advises Components to maintain turn-in receipt acknowledgment (TRA) documents in accordance with DODI 5015.02.

(9) DLM 4000.25, Volume 2, Chapter 17, C17.3.1.4. Advises Components to maintain shipping documentation in accordance with DODI 5015.02.

(10) DLM 4000.25, Volume 2, Chapter 17, C17.5.1.4. Removes specific retention periods and advises Components to maintain paper copies of Security Assistance shipping documentation in accordance with DOD 5105.38-M (Reference 3.i.) and DODI 5015.02.

(11) DLM 4000.25, Volume 2, Chapter 19, C19.10. Advises Components to maintain and dispose of source documents and transaction history in accordance with DODI 5015.02.

(12) DLM 4000.25, Volume 4, Chapter 2, Removes C2.3.1.– C.2.3.3 in their entirety.

(13) DLM 4000.25, Volume 4, Chapter 6, C6.2.3. Removes DAAS reference and advises Components to maintain interfund bills in accordance with DODI 5015.02.

(14) DLM 4000.25, Volume 6, C4.3.5.11. Inserts reference to DODI 5015.02.

(15) DLM 4000.25, Volume 6, Chapter 4, C4.6.4.4. Removes specific retention period for LMARS reports and inserts reference to DODI 5015.02.

(16) DLM 4000.25-1, Chapter 3, C3.10. Removes specific retention periods and advises Components to maintain requisition history records in accordance with DODI 5015.02.

(17) DLM 4000.25-1, Chapter 4, C4.10.12. Removes specific retention periods and advises Components to maintain BF supply status in accordance with DODI 5015.02.

(18) DLM 4000.25-2, Chapter 4, C4.9.3.1.1. – C4.9.3.1.2. Removes specific retention periods and advises Components to maintain accessible records of transaction documents in accordance with DODI 5015.02.

(19) DLM 4000.25-2, Chapter 13, C13.12.1. – C13.12.3. Advises Components to maintain special program requirements (SPR) requests in accordance with DODI 5015.02.

(20) DLM 4000.25-4, Chapter 2, C2.3.11.3. – C2.3.11.3.3. Removes specific retention periods and advises DAAS to maintain interfund bills in accordance with DODI 5015.02.

(21) DLM 4000.25.25-4, Chapter 5, C5.3.1. Removes specific retention periods and advises DAAS to archive EDI transactions in accordance with DODI 5015.02.

(22) DLM 4000.25-4, Appendix 1, AP1.1.2.1.1. Inserts reference to DODI 5015.02.

(23) DLMS 4000.25-4, Appendix 3, AP3.2.5.1.4. – AP3.2.5.1.7. Inserts reference to DODI 5015.02.

Staffing Note for DAAS: Multiple citations in the DAAS manual refer to specific retention periods for specific document types (See Enclosure). In many cases, neither the Enterprise Business Standards Office staff nor the DLA Records Manager is able to determine an authoritative source for these citations. DAAS must verify with the DLA Records Officer that the retention periods referenced in DLM 4000.25-4 are incorporated in a NARA-approved DLA Records Disposition Schedule or the NARA GRS.

See Enclosure for complete detailed listing of changes to the DLMs.

e. **Proposed Transaction Flow:** There are no changes to any transaction flows.

5. **Alternatives:** Maintain the status quo in the DLM 4000.25 manuals. This alternative would require knowledge of and continuous synchronization with NARA's GRS and Component retention schedules. This alternative was dismissed as being outside the Enterprise Business Standards Office's scope, area of expertise, and authority; it is impractical and prone to synchronization errors.

6. **REASON FOR CHANGE:** Correctly attribute document retention requirements to the applicable authoritative source.

7. **ADVANTAGES AND DISADVANTAGES:**

a. **Advantages:**

(1) Appropriately defers to the authoritative source for record maintenance/retention, which is outside the Enterprise Business Standards Office's scope, area of expertise and authority, thereby eliminating potential for DLM 4000.25 series of manuals to conflict with the authoritative retention guidance.

(2) Simplifies compliance with record retention policies.

(3) Eliminates potential errors/confusion due to lack of synchronization among multiple sources of retention guidance.

(4) Supports Component audit readiness by deferring to Component Records Officers for document retention guidance.

b. **Disadvantages:** The absence of specific records retention periods requires Components to update/establish NARA-approved Component Records Schedules in order to provide disposition instructions for data referenced throughout the DLM 4000.25. It is possible that each Component will have different retention periods, which may not be visible outside of that Component.

8. **ADDITIONAL COMMENTS TO CONSIDER:** Component representatives must coordinate with their designated Records Officers to review NARA's GRS and any NARA-approved Component Records Disposition Schedule procedures to ensure that their business requirements are being met and are in compliance with the authoritative source(s).

9. ESTIMATED TIME LINE/IMPLEMENTATION TARGET: This change will be effective immediately upon publication of the Approved DLMS Change.

10. ESTIMATED SAVINGS/COST AVOIDANCE ASSOCIATED WITH IMPLEMENTATION OF THIS CHANGE: None identified.

11. IMPACT:

- a. **New DLMS Data Elements:** No new DLMS data elements are required.
- b. **Changes to DLMS Data Elements:** No changes to existing DLMS data elements are required.
- c. **Automated Information Systems (AIS):** Components must ensure that any AIS that retains documents/transactions is in compliance with the retention guidance from the authoritative source(s) identified in this DLMS change.
- d. **DAAS:** DAAS must ensure that any internal system that retains documents/transactions is in compliance with the retention guidance from the DLA Records Officer and the NARA GRS.
- e. **Non-DLM 4000.25 Series Publications:** Components must ensure that any internal publications that cite retention periods use the retention periods specified in the authoritative source(s).

12. PDC 1151 Response Table:

	Originator	Response/Comment	Disposition
1.	AFSAC (AF Security Assistance)	Concurs without comment.	DSCA concurs with changes made to PDC 1151. This concurrence also covers the AFSAC non-concurrence.
2.	DSCA	Concurs with comment. The ILCOs and DSCA non-concur with subject PDC as written. The issue is with deleting the requirement for shipping activities to retain copies of Security Assistance shipping documentation, i.e., signed carrier's receipt and shipping documents. The PDC proposes such documentation to be maintained in accordance with the SAMM and DoD 7000.14-R. The problem is that the SAMM and DoD 7000.14-R only address the retention period for case files. Case files do not include shipping documentation. Eliminating the two year requirement for DoD shipping activities to maintain copies of shipping documentation could result in USG liability with regard to SDRs since suppliers (e.g.	DSCA and the ILCOs concurred after the references to the SAMM and DOD 7000.14-R were removed, and the 2 year retention period statement was preserved in DLMS Volume 2, Chapter 17: As worded in the PDC: C17.5.1.4. The DoD shipping activity will retain paper copies of the Security Assistance shipping documentation (signed carrier's receipt and

Originator	Response/Comment	Disposition
	<p>DLA/vendors/logistics centers/PROS/WWRS) must provide proof of shipment to non-receipt SDRs or issue credit. Since customers can submit SDRs for non-receipt for 1 year from billing date (can be up to 15 months), then resubmit/contest the original SDR decision, shipping documentation must be readily available for at least 2 years, and retained even longer for contested SDRs. We need to ensure that DoD shipping activities retain copies of Security Assistance shipping documentation as currently required by the DLM.</p>	<p>shipping document) at the shipping site. for a period of 2 years following the shipping date. DoD 5105.38-M, Security Assistance, specifies that Security Assistance shipping documentation must be maintained in accordance with DoD 7000.14-R, Volume 15, Chapter 6, and retired to the appropriate Federal Records Center after the required retention period in accordance with the DoDI 5015.02, DoD Records Management Program. After this point, the paper records will be retired to the appropriate Federal Records Center for a period of 28 years. Billing documentation will be retained by the Military Departments and DoD agencies as specified in MILSBILLS procedures and DoD 7000.14-R, Vol. 15, Department of Defense Financial Management Regulation (Security Assistance Policy and Procedures).</p> <p>Revision to include 2 year retention period:</p> <p>C17.5.1.4. The DoD shipping activity will retain paper copies of the Security Assistance shipping documentation (signed carrier's receipt and shipping document) at the shipping site for a period of 2 years following the shipping date. After this</p>

	Originator	Response/Comment	Disposition
			<p><i>point, the DoD shipping activity will retain a copy of the Security Assistance shipping documentation in accordance with its NARA-approved Component record schedule as required by DoDI 5015.02, DoD Records Management Program.</i> After this point, the paper records will be retired to the appropriate Federal Records Center for a period of 28 years. Billing documentation will be retained by the Military Departments and DoD agencies as specified in MILSBILLS procedures and DoD 7000.14-R, Vol. 15, Department of Defense Financial Management Regulation (Security Assistance Policy and Procedures).</p>
3.	Air Force	Concur without comment.	Noted.
4.	Army	Concur without comment.	Noted.
5.	Marine Corps	Concurs without comment.	Noted.
6.	Navy	<p>Concur with comment.</p> <p>Navy concurs with PDC 1151, with the following comment regarding section 4.c.(2): The DON SECNAV M-5210.1 is the official NARA-approved disposition schedule for all Navy records. Navy recommends referencing "DoD Component Records Management manuals and instructions" vice the term, "NARA-approved Component Records Disposition Schedule or NARA's GRS."</p>	<p>Response: The NARA-approved Components Records Disposition Schedule is the most encompassing term. Component manuals and instructions should use the respective Component records schedule as the basis for retention periods and disposition instructions. However, Navy publications can reference DON SECNAV M-5210.1.</p>
7.	DLA	Concur without comment.	Noted
8.	DPAP	Concur with comment.	Response: Paragraph 4.2 was modified as followed

	Originator	Response/Comment	Disposition
		<p>DODI 5015.02 does not contain the actual record schedules and the GRS are hard to navigate. Recommend excerpting the relevant portions of the GRS in a single appropriate location in the logistics regulations, in a fashion similar to the approach in FAR 4.805.</p>	<p>to include an excerpt from the August 2017 version of DODI 5015.02:</p> <p>(1) The DODI 5015.02, “DOD Records Management Program” (Reference 3.a) requires Components to develop a records management program. record disposition schedules for all DOD records, with approval from NARA. According to DODI 5015.02 paragraph 3.a, Component must, “Establish, sufficiently resource, and maintain a DoD Component records management program at an organizational level of sufficient authority to ensure this instruction and References (c) and (d) are efficiently and effectively implemented. Designate a records officer to administer the Component program and provide written notification of designation to the DoD SAORM.” In addition, DODI 5015.02 paragraph 3.e. states that, “All DOD records will be covered by a records schedule. Approval of the schedules must be obtained from NARA ...”</p>
9.	DAAS	Concur without comment.	Noted
10.	USTRANSCOM	Abstains	Noted

ENCLOSURE, Changes to DLM 4000.25 Manuals

Update the DLM 4000.25 series of manuals as indicated below. Additions are shown in **red bold italics**; deletions are shown in ~~double strikethrough~~.

1. **DLM 4000.25, Defense Logistics Management Standards, Volume 1**

a. Volume 1; Chapter 2:

[preceding text not shown]

C2.7.2.5. Component activities will maintain **readily accessible** copies of all transmissions ~~for at least one week, and will be able to retransmit them at the request of the receiving party.~~ **DAASDLA Transaction Services** will retain a copy of all receipts and transmissions **in accordance with DoDI 5015.02, DoD Records Management Program.** ~~The length of the retention periods will vary by the specific transaction set.~~ **DAASDLA Transaction Services** procedures define the retention period for each type of transaction set.

Staffing Note: Component activities should defer to their NARA-approved Component Record Schedule or the NARA GRS Records Schedule as the authoritative source for disposition instructions in accordance with DODI 5015.02, DOD Records Management Program.

b. Volume 1; APPENDIX 3, ACRONYMS AND ABBREVIATIONS

ACRONYM OR ABBREVIATION	DEFINITION
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GRS **GENERAL RECORDS SCHEDULE**

2. **DLM 4000.25, Defense Logistics Management Standards, Volume 2**

a. Volume 2; Chapter 2:

[preceding text not shown]

C2.2.16. Retention of SPR Requests. The ICP ~~shall~~ will retain SPR requests until:

C2.2.16.1. The support date of those requirements for which SPR Status Code PA was furnished or until a requisition is received that can be identified to all or a portion of a particular SPR quantity.

C2.2.16.2. One procurement lead time/assembly time away from the support date when procurement/assembly is required in support of those requirements for which SPR Status Code PB was furnished.

C2.2.16.3. Assembly time prior to support date when extra time is required for assembly in support of those requirements for which SPR Status Code PC was furnished.

C2.2.16.4. SPR requests should be retained in accordance with DoDI 5015.02, DoD Records Management Program.

b. Volume 2; Chapter 4:

[preceding text not shown]

C4.7.11. Maintenance of Requisition History Records. Sources of supply will retain ~~accessible~~ requisition history records **in a readily accessible format** ~~for a minimum period of 6 months~~ after the closing of requisition records by cancellation, rejection, or shipment to provide for responsive replies to requisition inquiries **in accordance with DoDI 5015.02, DoD Records Management Program.**

c. Volume 2; Chapter 5:

[preceding text not shown]

C5.1.6.12.8. Cancellation Request. A DLMS 870S with Status Code BF sent in response to cancellation requests, with a document number not matching source of supply records, prevents source of supply processing of later transactions for this same document number. When providing Status Code BF in response to a cancellation request, also provide Status Code BF in response to all other transactions received containing the same transaction reference number. Sources of supply will retain accessible history records of Status Code BF generated from processing no-record cancellation requests ~~for a minimum of six months~~ following the generation of Status Code BF **in accordance with DoD 5015.02, DoD Records Management Program.**

d. Volume 2; Chapter 13

[preceding text not shown]

C13.2.8.2.9.1.1. Value Under \$100. If the NSN cannot be identified and the estimated value of the item is under \$100, receiving activities will not report the receipt to an owner. Ship the materiel directly to DLA Disposition Services using a local document number. Keep an accessible record of the transaction document and its backup ~~for 2 years~~ **in accordance with DoDI 5015.02, DoD Records Management Program.**

C13.2.8.2.9.1.2. Value Over \$100. If the NSN cannot be identified and the estimated value of the item is \$100 or more, the receiving activity will contact the manager of like-items to determine disposition. If GSA is the manager of like items, process in accordance with the procedures for receipts not due-in. If the manager of like-items can identify the NSN, the manager will direct the receiving activity to submit the receipt and SDR to the owner. If the IMM of like-items cannot identify the NSN, the IMM will give disposition instructions to the reporting activity. These instructions will include an item identification number (part number, etc.) for reporting the receipt and submitting the SDR. If the owner directs shipment to DLA Disposition Services, the owner will keep an accessible record of the transaction and its backup ~~for 2 years~~ **in accordance with DoDI 5015.02, DoD Records Management Program.**

e. Volume 2; Chapter 16

[preceding text not shown]

C16.2.3. Receipt of Requisitions by DLA Disposition Services. Upon receipt of the requisition, DLA Disposition Services will select the requested item for issue or provide appropriate supply status if not available. If the requested materiel is not available, DLA Disposition Services keep the requisition ~~in the requisition retention~~ **on** file for 60 calendar-days and send a DLMS 870S Supply Status with Status Code B1 to the requisitioner. If all of the requested materiel does not become available during the 60 calendar day ~~retention~~ period, DLA Disposition Services will cancel the remaining unfilled quantity and send a DLMS 870S with Status Code D1 to the requisitioner.

[intervening text not shown]

C16.7.1.2. Document Retention. Audit capability is required for a period of time following the transmission of the TRA transaction or comparable digitally-signed email. The DLA Disposition Services Field Office and the DoDAAC receiving the TRA transaction must retain an electronic image of the complete TRA or comparable email, including the date and time, as part of the transaction/receiving/shipping history ~~for a minimum of two years~~ **in accordance with DoDI 5015.02, DoD Records Management Program.** The activity receiving the TRA or email may need to communicate the acknowledgement of receipt to the turn-in activity if different. Also, consistent with Chapter 6, paragraph 6.9 (Retention of Accountable Documentation) the DLA Disposition Services Field Office will still maintain scanned images of the DTID receipt documentation (DD-1348-1As) in EDOCS **in accordance with DoDI 5015.02**, and the DoD Components will have access to EDOCS, as needed.

f. Volume 2; Chapter 17:

[preceding text not shown]

C17.3.1.4. Shipping Documentation. Retain shipping and associated documentation **in a readily accessible format** to provide a copy if requested. Do not mail hard-copy documentation if data is otherwise accessible to the responsible action activity. Where relevant to the discrepancy, shipping documentation may be provided electronically as an SDR attachment. **Shipping activities should retain documents and transaction history records in accordance with DoDI 5015.02, DoD Records Management Program.**

[Intervening text not shown]

C17.5.1.4. The DoD shipping activity will retain paper copies of the Security Assistance shipping documentation (signed carrier's receipt and shipping document) at the shipping site for a period of 2 years following the shipping date. **After this point, the DoD shipping activity will retain a copy of the Security Assistance shipping documentation in accordance with its NARA-approved Component record schedule as required by DoDI 5015.02, DoD Records Management Program.** ~~After this point, the paper records will be retired to the appropriate Federal Records Center for a period of 28 years.~~ Billing documentation will be retained by the Military

Departments and DoD agencies as specified in MILSBILLS procedures and DoD 7000.14-R, Vol. 15, Department of Defense Financial Management Regulation (Security Assistance Policy and Procedures).

g. Volume 2, Chapter 19:

[preceding text not shown]

C19.10. RETENTION OF SOURCE DOCUMENTS AND TRANSACTION HISTORY.

Activities may require audit capability for a period of time following the processing of documents and transactions for UIT items. Activities will maintain and dispose of documents and transaction history records in accordance with **DoDI 5015.02, DoD Records Management Program.** ~~the National Archives and Records Administration (NARA) General Records Schedule (GRS) or the NARA-approved Component Records Disposition Schedule. These are the only approved sources for implementing disposition of DoD Component records.~~

3. **DLM 4000.25, Defense Logistics Management Standards, Volume 4**

a. Volume 4; Chapter 2:

[preceding text not shown]

C2.3. ~~RETENTION OF BILLING RECORDS~~ **RESERVED.**

~~C2.3.1. Billing offices must have accessibility to billing records for six years, three months after the month of the billing. Billing records include a copy of the bill and supporting records.~~

~~C2.3.2. Notwithstanding the requirements of C2.3.1, adjustment processing activities will retain accessibility to billing records for whatever time period is required to enable them to process adjustments for requests or validated discrepancy reports when the request or report leading to the adjustment is received within prescribed timeframes.~~

~~C2.3.3. For security assistance, interfund bills are considered supporting execution documentation required to be maintained by the Implementing Agency in accordance with DoD 7000.14R, Volume 15, 0602.J.7.~~

b. Volume 4; Chapter 6:

[preceding text not shown]

C6.2.3. Bill Retention. **Long term retention should be in accordance with DoDI 5015.02, DoD Records Management Program.** ~~Transaction Services must retain a copy of non-security assistance bills for two years and security assistance bills for four years after initial routing.~~

4. **DLM 4000.25, Defense Logistics Management Standards, Volume 6**

a. Volume 6; Chapter 4:

[preceding text not shown]

C4.3.5. DoD Components. DoD Components will support the Pipeline Measurement PRC by providing qualified, experienced representatives who will:

[intervening text not shown]

C4.3.5.11. Retain records of LRT, CWT, and TDD performance measurements for audit and oversight **in accordance with DoDI 5015.02, DoD Records Management Program.**

[intervening text not shown]

C4.6.4.4. Retention requirements. The monthly LMARS reports are maintained ~~for a minimum of 3 years~~, in accordance with DODI 5015.02, DOD Records Management Program.

Staffing Note for DAAS: DAAS must verify with the DLA Records Officer that retention requirements are incorporated into the DLA Records Disposition Schedule.

5. **DLM 4000.25-1 (MILSTRIP Manual):**

a. MILSTRIP Chapter 3

[preceding text not shown]

C3.10. MAINTENANCE OF REQUISITION HISTORY RECORDS. Sources of supply ~~will retain accessible~~ requisition history records **in a readily accessible format** ~~for a minimum period of six months~~ after **the** closing of requisition records by cancellation, rejection, or shipment to provide responsive replies to follow-up inquiries **in accordance with DoDI 5015.02, DoD Records Management Program.**

b. MILSTRIP Chapter 4

[preceding text not shown]

C4.10.12. Supply status (DIC AE_) with Status Code BF furnished in response to cancellation request (DIC AC_ or AK_) **will** preclude source of supply processing of subsequently received transactions. When BF status has been provided in response to a cancellation request, BF status **will** also be provided in response to all other received transactions (e.g., AF_, AT_, A0_, AM_) containing the same document number. No other processing of such transactions **will** be done by sources of supply. Sources of supply will retain **accessible** history records of BF status generated as a result of cancellation requests (DIC AC_ or AK_) ~~for a minimum of six months~~ following generation of the BF status **in accordance with DoDI 5015.02, DoD Records Management Program.**

6. **DLM 4000.25-2 (MILSTRAP Manual):**

a. **MILSTRAP Chapter 4**

[preceding text not shown]

C4.9.3.1.1. If the NSN cannot be identified and the estimated value of the item is under \$100, storage activities will not report the receipt to an ICP. Ship the materiel directly to DLA Disposition Services using a local document number. Retain an accessible record of the transaction and its backup ~~for two years~~ **in accordance with DoD 5015.02, DoD Records Management Program.**

C4.9.3.1.2. If the NSN cannot be identified and the estimated value of the item is \$100 or more, the storage activity will contact the ICP managing like items to determine disposition. [EXCEPTION: If GSA is the manager of like items, process as prescribed in C4.9.3.3.11.] If the ICP can identify the NSN, the ICP will direct the storage activity to submit the receipt and supply discrepancy report (SDR) to the cognizant ICP. If the ICP cannot identify the NSN, the ICP will provide disposition instructions to the reporting activity. These instructions will include an item identification number (part number, MCN, LCN, etc.) for reporting the receipt and submitting the SDR. If the ICP directs shipment to DLA Disposition Services, the ICP will maintain an accessible record of the transaction and its backup ~~for 2 years~~ **in accordance with DoD 5015.02, DoD Records Management Program.**

b. **MILSTRAP Chapter 13**

[preceding text not shown]

C13.12. RETENTION OF SPECIAL PROGRAM REQUIREMENT REQUESTS. The ICP ~~shall~~ will retain SPR requests until:

C13.12.1. The support date of those requirements for which SPR Status Code PA was furnished or until a requisition is received that can be identified to all or a portion of a particular SPR quantity.

C13.12.2. One unit of procurement lead time/assembly time away from the support date when procurement/assembly is required in support of those requirements for which SPR Status Code PB was furnished.

C13.12.3. Assembly time prior to support date when extra time is required for assembly in support of those requirements for which SPR Status Code PC was furnished.

C13.12.4. After these business rules have been satisfied, maintain records in accordance with DODI 5015.02, DOD Records Management Program.

7. DLM 4000.25-4 (DAAS Manual):

Staffing Note for DAAS: DAAS must verify with the DLA Records Officer that the retention periods referenced in DLM 4000.25-4 are incorporated in a NARA-approved DLA Records Disposition Schedule or the NARA GRS.

a. DAAS Chapter 2

[preceding text not shown]

C2.1.3. Several 'stand-alone' DoD repositories, operated by **DAAS**~~DLA Transaction Services~~, maintain support for the primary mission of receiving, editing, validating, routing, and delivering more than one thousand DLSS 80 record position legacy transaction document identifier codes (DICs), and the numerous DLMS, ANSI ASC X12, XML, and User Defined File (UDF) formats. These repositories contain current up-to-date information that is used in direct support of the DoD, DLA, and **DAAS**~~DLA Transaction Services~~' missions. **DAAS**~~DLA Transaction Services~~ provides customers with the ability to access various transaction reports, perform research, and provide tracking of requisitions as they flow through the DoD supply chain to generate standard monthly, quarterly, semi-annual, and ad-hoc reports for DLA and the DoD Components/Participating Agencies. Special ad-hoc reports, related to logistical transaction processing, are accommodated by special request. Due to the fact that certain X12 transactions, such as ANSI 850 Purchase Orders and ANSI 810 Invoices, are considered to be legal documents, **DAAS**~~DLA Transaction Services~~ must retain copies of all such transactions for at least seven years. DLA is regularly requested, by various Defense Investigative Agencies, to provide copies of transactions for specific vendors and/or time periods.

Staffing Note for DAAS: The DLA Records manager is unable to identify the source of this seven year requirement; The NARA GRS likewise does not address this requirement. DAAS must provide the source for this retention rule.

[preceding text not shown]

b. C2.3.11. MILSBILLS Interfund Billing Process responsibilities:

[intervening text not shown]

C2.3.11.3. Archives and maintains official repository for **Interfund bills**. **Interfund bills are retained in a readily accessible format for:**

Staffing Note for DAAS: DAAS must ensure that these changes do not misstate what is intended in the DAAS manual.

C2.3.11.3.1. One-year ~~retention~~ for DoD Interfund bills.

C2.3.11.3.2. Two year ~~retention~~ for FMS bills.

C2.3.11.3.3. **The preceding procedures will be followed in accordance with DODI 5015.02, DOD Records Management Program.**

c. DAAS Chapter 4

[preceding text not shown]

C4.1. GENERAL

~~Defense Logistics Agency (DLA)~~ **DAAS** ~~Transaction Services~~ provides all the **Department of Defense (DoD)** Components/Participating Agencies a single entry point into the DoD Logistics Supply System. This eliminates the need to maintain multiple communication protocol rules and records and the unique supporting infrastructure necessary to send and receive information to/from multiple trading partners. All logistics transactions can be sent to ~~DAAS~~ **DLA Transaction Services** without regard to data content or ultimate destination of the information. Use of the ~~DAAS~~ **DLA Transaction Services** infrastructure, also, eliminates any need for the customer to sort transactions by type or destination. ~~DAAS~~ **DLA Transaction Services** maintains the necessary trading partner profiles to ensure data is delivered on time, in the correct format, and to the correct destination. An archive of all messages and transactions processed by the **Defense Automatic Addressing System (DAAS)** infrastructure is kept on **storage media** for later user access. All output transactions are permanently archived for historical, retransmission, and reporting purposes.

Staffing Note for DAAS: DAAS must coordinate with the DLA Records Manager to ensure archiving these transactions permanently does not violate DLA's retention schedule or the NARA GRS. DAAS may need to complete a DLA Form 1690 and 1935 and send through their CRO to the DLA Records Manager.

The DAAS can process all computer-readable logistics transactions with the exception of certain logistics transactions containing narrative exception/supplemental data. Input and output to/from the DAAS is done by receiving/sending formatted messages through a variety of communications gateways and networks. The DAAS uses the following indicators to process logistics transactions:

d. DAAS Chapter 5

[preceding text not shown]

C5.3. ARCHIVING AND SEMANTIC ERROR RECOVERY

C5.3.1. Archiving. EDI transactions will be retained on-line at ~~DAAS~~ **DLA Transaction Services** for a period of 30 calendar days after receipt **in accordance with DoDI 5015.02, DoD Records Management Program**, and can be accessed by the ~~DAAS~~ **DLA Transaction Services** EDI Help Desk personnel. To obtain assistance, via e-mail, click on the following e-mail address: DAASHELP@DLA.MIL

Due to the fact that some EDI transactions (such as the ANSI ASC 850 Purchase Order) are considered to be legal documents, all such transactions are archived by ~~DAAS~~ **DLA Transaction Services** GEX eBusiness Gateway and are retained for at least 7 years. After successful processing, EDI transactions are, also, moved to the DAAS Logistics On-Line Tracking System (LOTS) archives. The ~~DAAS~~ **DLA Transaction Services** central communications facility provides significant archiving and error

recovery services for DLMS trading partners. To assist with historical research in legal issues or for error correction, ~~DAAS~~ ~~DLA Transaction Services~~ maintains cross-references between each customer's original inbound transmissions and their subsequent (different) outbound transmissions, which are forwarded to a receiving trading partner. Without these services, each end of the communication link would have to provide for extended data storage and recovery procedures.

Staffing Note for DAAS: The DLA Records Manager is unable to identify the source of this seven year requirement. The NARA GRS likewise does not address this requirement. DAAS must provide the source for this retention period and ensure that is incorporated into the DLA Records Disposition Schedule.

e. DAAS AP 1

[preceding text not shown]

AP1.1.2.1.1. Military Standard Billing System (MILSBILLS). The Defense Automatic Addressing System (DAAS) receives, edits, routes and transmits MILSBILLS interfund transactions for the DoD. Each requisition processed into a shipping action results in the generation of a billing transaction. These interfund bills are archived by the DAAS **in accordance with DoDI 5015.02, DoD Records Management Program**, and are available for retrieval and retransmission. The volume of billing transactions processed and stored averages between 3.6 and 4.6 million transactions each month. The DoD bills data **are retained in a readily accessible format** stored for one year, while the DoD FMS bills are ~~stored~~ **retained in a readily accessible format** for two years.

Staffing Note for DAAS: Are these transactions "stored" or are they "retained in a readily accessible format"?

The DoD Components are required to submit automated inquiries to the DAAS to retrieve bills for their use or may direct that the bills be sent to another activity, which is not identified in the MILSBILLS document. ~~DAAS~~ ~~Defense Logistics Agency (DLA) Transaction Services~~ maintains the MILSMOV inquiry system and provides the capability to interrogate the repository for recovery and retransmission of bills. See Appendix 3.2.4.

[intervening text not shown]

AP1.1.2.1.4. MILSMOV. The DoD validates all backordered requisitions each quarter. These validations are scheduled as required by the business rules established in DLMS. The validation process requires the recipient of the MOV to respond within 45 calendar days or have their backorder cancelled. Since many backorders have been funded with prior year's money, a cancellation of the requirement can be catastrophic and cause a considerable impact on the DoD Components/Participating Agencies. The DAAS processes the MOV, ensuring the batch contains all the individual transactions as determined by the transaction count in the header control document. ~~DAAS~~ ~~DLA Transaction Services~~ receives approximately 4 - 7 million MOV transactions each quarter, maintaining the MILSMOV inquiry system and providing the capability to interrogate the repository for recovery and retransmission

of MOV batches. The MOV system retains all MOV batches and batch acknowledgment receipt transactions sent during the current quarter. **Thereafter, transactions should be maintained in accordance with DODI 5015.02, DOD Records Management Program.**

f. DAAS AP3

[preceding text not shown]

AP3.2.5.1. DAAS~~DLA Transaction Services~~ provides the following services for the MILSBILLS Interfund Billing:¹

[intervening text not shown]

AP3.2.5.1.4. Retains DoD Interfund Bills in ~~the repository~~ **a readily accessible format** for one year.

AP3.2.5.1.5. Retains FMS Interfund bills in ~~the repository~~ **a readily accessible format** for two years.

AP3.2.5.1.6. **After these business rules have been satisfied, maintain records in accordance with DODI 5015.02, DOD Records Management Program.**

AP3.2.5.1.7. Provides the capability for query, recovery, and retransmission of Interfund bills.

¹ **ibid**