

CHAPTER 9 - RECORDS MAINTENANCE

A. GENERAL

1. Maintain accountable records. These records, as well as supporting approval documentation such as DRMS Form 39-3, DD Form 200, DRMS Form 1983 and completed documentation for: DEMIL certification, downgrade to scrap certification, abandonment and destruction certification, etc., must be maintained to assure a clear and concise audit trail.

NOTE: Transactions affecting the accountable record will be input within 3 working days following any action that affects the DRMO inventory.

2. The discussion of records and files in this chapter is not all-inclusive since certain other files may be required by other directives/regulations. Records and files maintained by the DRMO are to be kept to the minimum necessary to support the operation and audibility of the office.

3. Recordkeeping requirements for hazardous property are provided in DRMS-I 6050.1, Environmental Compliance for the DRMS Hazardous Property Program, Chapter IV, paragraph U.

4. Administrative appointments (APO, RPO, etc.,) should be filed in file number 110.16, Policy and Precedent Files.

5. Document Imaging

a. Document imaging is provided for use on receipt documents (DTIDs and attachments). Documents for downgrades, DEMIL certificates, A&D placards, adjustments and corrections will be filed in WEBDOCS as an attachment to the original DTID for easier research of the audit trail.

b. The source document file for receipt documents will consist of imaged documents. Standard filing requirements prescribed in DLAI 5015.1 will continue for the source document file for documents other than receipt documents (DTIDs and attachments) to include maintaining batch lots, in hardcopy for the standard 3-year time frame.

When source documents contain pertinent information on the reverse or back of the document (for example: extended descriptive information on critical FSG/FSC that are LSNs), then the back of the document must also be imaged. The image must be uploaded to the system and indexed as a supplement page to the primary DTID.

NOTE: Batchlot documents will not be imaged in WEBDOCS. The hardcopy of the cover/header DTID for batch lots and the hardcopy of support documentation for batch lots will be maintained as hard copy for the current 3-year retention time frame.

c. Hardcopies of the source documents and attachments, e.g., DEMIL Certificate, will be held a minimum of 30 days, but may be held longer at DRMO discretion.

d. WEBDOC user Guide can be found at Attachment 1, this chapter.

B. ACCOUNTABLE RECORD FILES.

Record retention that exceeds the 3 years required for basic accountable records, e.g., receipts and issues, will be maintained for the appropriate time frames. WEBDOCS has been programmed to retain the accountable records for the different time frames. See notes 1 through 2, this paragraph, for categories of property with different time frame retention requirements.

1. Retain accountable record files such as DAISY listings specified in this chapter and source documents with

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supporting approval documents for audit and reference purposes until eligible for disposal as prescribed in, **DLA One Book**, Files Maintenance and Disposition. Use file number 630.55, Accounts Maintenance, for source documents. Maintain accountable record files for 3 years on a **calendar year** basis with a yearly cutoff on **31 December**. At the cutoff date (e.g., **December 31**, 2004) carry forward all active files/records to the current **CY** file. WEBDOCS will automatically begin to delete the authorized documents (receipt documents – DTIDs and attachments) based on programmed time frames, i.e., 3 years, 4 years or 5 years beginning in **CY** 2003. The year of receipt date determines the **CY** filing date. Until the automatic deletion process in WEBDOCS (restricted to receipt documents – DTIDs and attachments) becomes active, individual documents will be destroyed when superseded; obsolete or no longer needed for reference. An example of the 3-year concept is as follows:

| FISCAL YEAR | ACTION REQUIRED/FILES MAINTAINED |
|----------------|--|
| CY 2001 | 1. Destroy CY 97 files in December 2004. 2. Maintain CY 98, 99, 2000 and 2001 files. |

NOTE 1: Public law requires that records on the sale of abandoned privately owned property must be kept for 5 years to ensure that payment can be made to the owner based on proof of ownership. Use file number 630.60.

NOTE 2: Demilitarization certificates for small arms, which require control under the DoD Small Arms Serialization Program (SASP) will be retained indefinitely in a permanent file by the DoD activity responsible for the demilitarization of the small arms weapons and receivers. This applies to DoD generators and DRMOs that perform the demilitarization of small arms. ***DRMOs will keep indefinitely DEMIL certifications for Small arms, whether performed by the DRMO or the Generator. File number 620.90 can be used with an indefinite destruction date. The files can be retired to records holding after the normal 5-year retention.***

2. Maintain the accountable records for transactions processed during the current **calendar** year in the following manner:

a. Source Document File. Maintain one copy of each turn-in document, downgrade to scrap, A&D certificate, DEMIL certificate, inert certificate, transfer, donation, sale, inventory adjustment or correction. Source documents must contain the appropriate signatures and dates. If placards are used, the appropriate signature blocks must be completed.

(1) Issues.

(a) This file contains the original documents on which issue transactions are based (e.g., DD Form 1348-1, DD Form 1348-1A, SF 122, SF 123, DEMIL certification, inert certification, downgrade to scrap certification, abandonment/destruction certification, etc.). Maintain this file by the date and/or the date and serial number, which follows the DoDAAC or FEDSTRIP in the document number.

(b) As an option especially for larger DRMOs, this file may be maintained by the DoDAAC/FEDSTRIP (or Federal Bureau Code assigned in the first six positions of the requisition number) and by date and serial number for each DoDAAC.

(c) Your DRMO may elect to file all R/T/D transactions by NSN. If the issue document contains multiple lines, each line must be copied onto a separate document referencing the requisition number and DTID number. This option should be carefully considered before implementation and is not recommended unless most issues are on single item requisitions.

(3) Sales. Maintain the files for local sales at the DRMO. A transitory file for national sales may also be maintained by the DRMO. Since the file for national sales is a transitory file, the DRMO is not required to maintain that file. DRMS-O will maintain the official files for national sales. A cross-reference paper may be prepared and placed in the 110.19, Office Reference Files. See DRMS-I 4160.14, Volume V, Chapter 7, for additional information.

NOTE: A separate file must be maintained for the sale of abandoned, privately owned property. See NOTE 1 in paragraph B, this chapter.

(4) Adjustments and Corrections. This file contains the documents that support adjustment transactions (DRMS Form 39-3 or DD Form 200) and corrections (DRMS Form 1983).

b. Other Accountable Records. Maintain the following files by noun-name and in ascending order of receipt (e.g., DEMIL Certifications, Resolution B Listing, etc). With the availability of on-line inventory interrogation capability, retention of other hardcopy listings is at the discretion of the DRMO Chief.

(1) DEMIL **Documentation.**

(a) DEMIL Certificates, whether turned in by the generating activity or completed by the DRMO, are accountable records. DEMIL certificates (excluding small arms) must be retained for 4 years. Use file number 610.25. If DEMIL certification is recorded on the DTID, file the DTID in WEBDOCS for the 4 year time frame. (See paragraph B2a, this chapter.)

(b) DEMIL Challenge Documentation. This file consists of DEMIL Code Change Notices, cover letters, copies of demilitarization requirement, and related backup materials used to verify/challenge requirements to research and demilitarize questionable property. Files will be maintained by date and retained for four years. 14 May 03

(2) Letter transmitting copy of shipping document to Rock Island.

(3) Resolution B Listing (by site and/or DRMO) used to inventory property in the system 9 months or longer, which has been signed by the individual performing the review/inventory and signed/dated by the DRMO Chief. A physical inventory for Resi B items will be conducted monthly.

NOTE: Mandatory retention of the DD Form 1143 in hard copy is no longer required for any office in DRMS. Access data in the DD Form 1143 Report through the DRMO HP for the current month plus the 12 previous months or use Corporate DAISY or the Decision Support System (DSS) to access the current year plus the 2 previous fiscal years. Retention of hard copy is at the discretion of the DRMO Chief.

C. REFERENCE AND TRANSITORY PAPERS/SUSPENSE FILES.

Maintain the following reference/working files in hard copy until appropriate review or action has been completed. Upon completion of required review and action, dispose of these files (see DLAI 5015.1, Files Maintenance and Disposition).

1. File all documents and listings not included in paragraph B2, this chapter, that are used to research and provide overall accountability status of property, under file number 610.15.

2. DD Form 1342, DoD Property Record formerly DIPEC Property Record.

3. File all documents pertaining to weapons that are appearing on a DRMO's small arms inventory in the current year's file in file series number 620.40. This applies to those weapons that are appearing both "on hand" and as a "shipment loss." In the case of a shipment loss, hold records in the current file area until receipt has been verified by the gaining DoDAAC. Destroy these documents after the annual reconciliation is complete and the weapon serial number no longer appears on the DRMO's Small Arms Inventory Listing.

4. Maintain suspense files/working files, e.g., DRMS Form 917, for a maximum of 12 months. Destroy when no longer needed. Use file number 600.01.

5. Maintain a suspense file for the weekly usable/scrap yard checklist for 3 months. Use file number 600.01.

D. MICROFICHE.

Microfiche is no longer furnished.

E. RECORDS/LISTINGS MAINTAINED AT DRMS-O/N

DRMS-O will maintain the records/listings deemed necessary by the DRMS-O Director, to monitor the disposal programs at their respective DRMOs. Use file number 600.01.

F. BASE CLOSURE

In the event of base closure, the DRMO will provide access to source documents in WEBDOCS to the DRMO designated to provide service to the closing DRMO's customers. Source document files maintained in hardcopy will also be turned over to the receiving DRMO. Records documenting the maintenance and use of the DRMO's HM/HW facility/facilities will be sent to the environmental personnel at HQ DRMS. See DRMS-I 6050.1, Environmental Compliance for the DRMS Hazardous Property Program, Chapter IV, Enclosure 7, for detailed information for source documents for HM/HW.