



DEPARTMENT OF THE AIR FORCE  
WASHINGTON, DC

OFFICE OF THE UNDER SECRETARY

20 SEP 1999

MEMORANDUM FOR SEE DISTRIBUTION

FROM: SAF/IA  
1080 Air Force Pentagon  
Washington, DC 20330-1080

SUBJECT: Case and Case Management Transfer Policy and Procedures (IAX 99013)

References: (a) SAF/IAR memorandum, "Supply/Services Complete (SSC) Case Transfer from SAF/IAR to AFLC ILC (C91021)", 10 Sep 91

(b) SAF/IAX memorandum, "Revised Procedures for Case Transfer (IAX95024)", 27 Sep 95

(c) SAF/IAX memorandum, "Cases Transferred to AFSAC (IAX 96002)", 18 Mar 96

(d) SAF/IAX memorandum, "Files for Cases Transferred to AFSAC or AFSAT (IAX 97004)", 7 Feb 97

(e) SAF/IAX memorandum, "Revised Procedures for Case Transfers (IAX 97019)", 28 Jul 97

Referenced memoranda dealt with the issue of Case Transfer and Case Management Transfer to AFSAC or AFSAT, as applicable. This memorandum establishes the current philosophy, policy, and procedures for Case Transfer and Case Management Transfer. It further rescinds all previous policy regarding this matter.

The purpose of shifting case files and day-to-day case management to AFSAC or AFSAT is to centralize case files and management and formally delegate non-headquarters administration to our field activities. Therefore, effective immediately, the following applies to all cases currently in SAF/IA inventory:

a. All active cases will be transferred to AFSAC or AFSAT, as applicable. Under our current plans, cases already in the closure process, and AFMC or AETC only cases will be immediately processed for transfer to AFSAC or AFSAT. Major system sale cases will be transferred by country, on a case-by-case basis. We intend this process to begin in November 1999, with all eligible cases transferred by 1 March 2000. Case writing responsibility transfer to AFSAC is estimated to commence on or after 1 November 1999. Further instructions concerning processes associated with AFSAC writing cases will be disseminated under separate cover. The only exceptions at this time for transfer are Leases (Z cases) and Acquisition Agreements (N1/W1 cases).

b. Attachments 1 and 2 represent the current forms to use during the transfer process. Attachment 1 is a sample of the Case Transfer Form. Attachment 2 is a sample of the Case Security Inspection Form. These forms serve a valuable purpose, both within SAF/IA and at the gaining organization. With regard to Security Inspection, please understand that SAF/IAX relies on the signatures of the security checkers as assurance that all classified material has been removed and/or identified accordingly. (Note: For SAF/IA personnel, these forms can be found under the Q:/ drive at \_IA Files/Projects/Cases.)

c. Case documentation retained within SAF/IA, for whatever reason, should be copies, not originals. Transferred files should be complete, and contain all original documentation as required. When transferring a case containing a SAF/IA managed line (OAC 43), the Country Director retains line management responsibility until the line is balanced and closed. To facilitate timely closure, it will be necessary for the Country Director to retain a file of appropriate line level documentation.

d. Transfer of a case file and its management does not equate to a transfer of the over-arching responsibility of Country Directors. Country Directors remain the key focal point for their individual Country's Security Cooperation issues, needs, assessments, and requirements. As such, it becomes incumbent upon Country Directors to further solidify lines of open communication between themselves and their counterparts at AFSAC and AFSAT.

e. Refer foreign disclosure issues on transferred cases to the disclosure office identified in paragraph 12 of the transfer form. It is important that proposed changes to the case are identified in advance to the foreign disclosure officer (FDO). By being informed, the FDO is able to recommend/obtain updates to existing disclosure guidance, when necessary, and assist the Case Manager in being responsive to the FMS customer. At a minimum, organizations must ensure appropriate review and coordination is obtained in accordance with AFMAN 16-101, Attachment 20.

f. Any modifications or amendments, whether major or minor, will be accomplished by the organization responsible for the management of the LOA. The attached matrix, attachment 3, provides a listing of tasks related to the lifecycle of an LOA. The matrix visually provides a snapshot of 'who' is responsible for tasks regarding LOA management.

g. For transfer candidates with classified material, Country Directors shall review the currency of the document(s) classification as follows:

- (1) If appropriate and where possible, declassification actions must be taken before case files are transferred. SAF/IAX and SAF/IAD are available to assist in making these determinations, if necessary.

- (2) If the document(s) classification is valid, the classification authority and appropriate declassification instructions will be identified by the Country Director and annotated on each document as directed in DoD 5200.1-R, Chapters 4 and 5.

- (3) Although 5200.1-R, Chapter 5, paragraph 5-600, states that remarking of documents classified prior to Executive Order (EO) 12958 is not required, each

classified document should contain information stating the classification authority, and the declassification instructions.

(4) Should such information not be available on the document, an attempt must be made to locate an originator to obtain the necessary declassification information. If such an attempt fails, an analysis must be made, in accordance with DoD 5200.1-R, Chapter 4, Section 2, which establishes the Country Director as the original classifier.

(5) Once the documents are marked and a determination that the information is germane for historical purposes or active management, the classified documents should be segregated from the case file. The classified documentation will be forwarded under separate cover to AFSAC for retention.

Questions concerning this matter can be directed to Patrick Fox, SAF/IAXM, DSN 425-8367, commercial (703) 588-8367, or e-mail [patrick.fox@pentagon.af.mil](mailto:patrick.fox@pentagon.af.mil).



**JEFFREY B. KOELLER, Brig Gen, USAF**  
**Asst Dep Under Sec of the Air Force**  
**International Affairs**

**Attachments:**

1. Case Transfer Form
2. Case Security Inspection Form
3. Case Roles and Responsibilities Matrix

cc: Distribution List

**Case Management Roles and Responsibilities  
(D, N, S, Y Cases Only)**

		Task	SAPM/ Line Manager	Case Manager	Country Director
<b>Development</b>		Receives LOR 'N,D,S,Y'			X
		Prepares and submits Congressional notification if required			X
		Receives Congressional approval feedback			X
		Prepares and submits Nonrecurring Cost waiver package			X
		Receives Nonrecurring Cost waiver feedback			X
		Inputs Customer Request into DSAMS			X
		Tasks Case/P&A Preparation			X
		Tasks Line pricing and preparation (CD for P&A)		X	X
		Prepares LOA		X	
		Submits for SAPM Assignment (Document MAJCOM POCs)			X
		Develops Management Action Team (MAT)	X		
		Participates on MAT	X	X	X
		Obtains SAF/IA signature			X
		Obtains DSCA countersignature			X
		Provides copy of LOA to DFAS-DE/I			X (IAXM)
		Offers LOA/P&A to Country			X
		Prepares and Obtains Sole Source			X
		Identifies source(s) for LOA Data		X	
		Prepares Transportation Plan for non-DTS		X	
		Issues Case Designator		X	
		Inputs Data System Transactions		X	
		Ensures LOA IAW current statutes, regs, policy			X
		Manages FAA actions		X	X
		Reviews weapons technical solutions in conjunction with IAW			X
		Develops disclosure guidance in conjunction with IAD/IAW			X
		Reviews Pricing and associated data in conjunction with IAD/IAW			X
		Brief USG disclosure and technical positions to Customers in conjunction with IAD/IAW			X
		Coordinates all sale actions with IAD/IAW, as appropriate			X
	Initiates USG agreements (Organizational, Ctry-Ctry, MIL-MIL)	X	X	X	
		Task	SAPM/ Line Manager	Case Manager	Country Director
<b>Implementation</b>		Receives Country signed document		X	
		Prepares and Issues IPD		X	
		Ensures OA is available		X	
		Notify foreign country of Case Implementation		X	
		Prepares and provides funding documents		X	
		Ensures DIFS and CMCS are in agreement		X	
		Works with DFAS and DSCA to authorize Emergency Obligation Authority (OA)		X	
		Receive and Process OED extensions/Restatements/Pen & Ink		X	

**Case Management Roles and Responsibilities  
(D, N, S, Y Cases Only)**

	Task	SAPM/LM	Case Manager	Country Director
<b>Execution</b>	Performs overall case management from country acceptance to closure		X	
	Performs overall Program Management/Execution	X		
	Prepares a Case Master Plan	X		
	Develops a Financial and Logistics Management Plan	X		
	Approves plans for execution, scope, and schedule of work	X		
	Reviews and verifies funding/program requirements	X		
	Establishes initial long range goals for execution	X		
	Determines/identifies need for Modification	X	X	
	Notifies foreign country of Modification preparation		X	
	Prepares Modification		X	
	Coordinates Modification		X	
	Obtains MILSGN		X	
	Obtains DSCA Countersignature, if required		X	
	Distributes copies of Modification, as appropriate		X	
	Updates IPD, as appropriate		X	
	Distributes IPD, as appropriate		X	
	Provides financial status, as/when appropriate		X	
	Reviews status of all case lines	X	X	
	Performs financial analysis (DIFS, CMCS, CPAS/BQ, SAMIS)		X	
	Researches/Resolves over-commitments		X	
	Advises customer of potential case funds transfers		X	
	Performs reconciliation for case closure		X	
	Works transportation issues germane to case		X	
	Investigates country inquiries on lost assets	X		
	Provides requisition statistics	X		
	Inputs/Updates requisition narratives	X		
	Responds to Country for accelerated deliveries	X		
	Works NMCS requisitions	X		
	Validates/reconciles/clears cost variances	X		
	Maintains central case file IAW DoD regulation		X	
	Interfaces with PROS office	X		
	Works case variances		X	
	Certifies FLO support invoices	X		
	Manages PSS	X		
	Manages TDY funds	X		
	Participates in Country Reviews	X	X	X
	Assists in contract protests and litigation and audits	X	X	X
	Responds to counterparts	X	X	
	Analyzes performance	X	X	
	Maintains Chronological Program Historical data	X		
	Performs periodic review of payment schedules		X	
	Ensures delivery of all articles within schedule	X		
Ensures articles and services within scope	X			
Ensures articles and services within cost	X			
Ensures timely case/line reconciliation and closure	X	X		
Monitors contractual and financial actions through closure	X	X		
Ensures timely resolution of problems identified by SAPM/LM		X		

**Case Management Roles and Responsibilities  
(D, N, S, Y Cases Only)**

	Task	SAPM/LM	Case Manager	Country Director
<b>Closure</b>	Issues NSSC Letters	X		
	Issues ACC Closure follow-ups	X		
	Processes Modification to draw down excess funds, as appropriate		X	
	Conducts case reconciliation		X	
	Issues Statement for Certificate of Closure	X		
	Issues Certificate of Closure to DFAS		X	

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### Case Transfer Form

1. Country/Organization: \_\_\_\_\_ 2. Case Identifier: \_\_\_\_\_
3. Description: \_\_\_\_\_ 4. Date LOA Accepted \_\_\_\_\_
5. SAF/IA Case Manager: \_\_\_\_\_ Division: SAF/IA\_\_ Phone (DSN): 425-\_\_\_\_\_
6. AFSAC Receiving Office: OMFP
7. Other Commands (Line Managers): \_\_\_\_\_
- POC Name/Office Symbol/Phone \_\_\_\_\_
- POC Name/Office Symbol/Phone \_\_\_\_\_
- POC Name/Office Symbol/Phone \_\_\_\_\_

8. Status of each line (other than AFMC [OACs 47 and 63]):

<u>Line</u>	<u>Line Manager Code</u>	<u>OAC</u>	<u>Status</u>	<u>Open Action(s)</u>
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____

9. Anticipated action w/in next 4 months: \_\_\_\_\_  
(For example, NSSC's, closures, modification/amendment, etc.)
10. IPD constitutes formal transfer of this case to AFSAC. Date issued: \_\_\_\_\_
11. This case has an assigned nickname of \_\_\_\_\_. When the case is closed, please submit a Form 608 to SAF/IA (Admin) if the case has a nickname.
12. Effective with this transfer the following organizations are responsible for remaining case disclosure functions:
- a. Cases transferred to AFSAC: ASC/SYSR, telephone number: DSN 785-3131
  - b. Cases transferred to AFSAT: AFSAT/SDD, telephone number: DSN 487-5281
13. The following additional information concerning applicability of nonrecurring charges (NC) is provided (strike out or insert required information):
- a. NC is/is not applicable to line(s) \_\_\_\_\_ for a total of \$ \_\_\_\_\_.
  - b. NC was waived by DSCA on \_\_\_\_\_ (dd/mm/yy)
  - c. NC was collected for a total of \$ \_\_\_\_\_

14. \_\_\_\_\_  
SAF/IAX Review Group (Date)

\_\_\_\_\_ (For cases with applicable NC only)  
SAF/FMBIS Review Group (Date)

\_\_\_\_\_ (Date)  
AFSAC/OMFP

Case Transfer Form (Continuation Sheet, if needed)

Country/Organization

Case Identifier

**I certify that case folder \_\_\_-D-\_\_\_ has been checked for classified documents. It contains (NO CLASSIFIED) (CONFIDENTIAL) (SECRET) material.**

**Verification #1** \_\_\_\_\_ **Date** \_\_\_\_\_  
(Signature)

**Verification #2** \_\_\_\_\_ **Date** \_\_\_\_\_  
(Signature)

**The aforementioned case folder reflects the appropriate security classification and markings.**

\_\_\_\_\_ **Date** \_\_\_\_\_  
(Division Chief)