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10 JUN 2012

MEMORANDUM FOR Chief of Staff, Army, Supply Excellence Award (CSA SEA)  
Program Participants

SUBJECT: 2011-2012 Chief of Staff, Army, Supply Excellence Award (CSA SEA)  
Program Functional After Action Review (AAR)

1. The Supply Excellence Award evaluation "lessons learned" are enclosed and provided to all SEA participants in order to improve their operations. During the on-site evaluation of 127 units some general trends were noted. Winning units have made the effort to enhance their competitive status by implementing the recommendations from previous years' lessons learned.
2. Comments are general in nature and are not directed at any specific unit.
3. Additional information about the program can be found on the Quartermaster webpage at:  
[http://www.quartermaster.army.mil/ltd/supply\\_excellence\\_award\\_program.html](http://www.quartermaster.army.mil/ltd/supply_excellence_award_program.html)
4. Point of contact is michael.hansom.mil@mail.mil at DSN 687-3163.

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\Original Signed/  
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**Property Accountability**  
**Enclosure 1 to Chief of Staff, Army, Supply Excellence Award Program**  
**Functional After Action Review (AAR)**

**COMMAND DISCIPLINE SUPPLY PROGRAM:** The CSDP is a Commander's program; the success of the program is dependent upon the amount of emphasis placed on the planning, coordination and execution of the program. Few organizations had policy letters concerning the Command Supply Discipline Program; however CSDP was addressed in SOP's. Outdated CSDP checklists continue to be used when evaluating subordinate units. Commands are not providing a plan of action, in writing to the inspecting organization. Deficiencies are not followed up by the inspecting organization in a timely manner, if ever. Many of the Company Commanders and Supply Sergeants were not familiar with the Campaign on Property Accountability and its correlation to the Company Commander's Quick Reference Guide (Table B8). Units were not leveraging Subject Matter Experts (SMEs) to oversee programs (Senior NCOs and Warrant Officers).

**Recommendation:** Adhere to published guidance and conduct comprehensive inspections in the required time frames. Table B-3A (4) requires necessary additions to Tables B-1, 2, 3 to make the local program more complete. Place emphasis on eliminating repeat discrepancies. Ensure the organization's supervisor, during the out brief, establishes a get-well date for each discrepancy. Record the dates and follow up. CSDP should be added to the training plans and Commanders should submit Unfunded Requirements to support scheduled CSDP's at the Brigade and Battalion levels. Also recommend commands leverage SMEs to oversee the program.

**STANDARD OPERATING PROCEDURE (SOP):** SOP's require updating as they lacked detailed information on step- by- step procedures for handling routine and recurring task associated with property accountability issues. Many SOP's did not have enough information on how to handle excess, lacked information on CIF-ISM, and failed to mention procedures for unit status reporting. There was not enough continuity information required to train and remind soldiers of operating procedures (internal and external) in accordance with Army directives, and they contained obsolete acronyms (Report of Survey (ROS), ULLS-S4 and SPBS-R). Some units did not have their higher headquarters SOP's, and without guidance they believe the policies and procedures they have in place are adequate.

**Recommendation:** Brigade and Battalions must conduct periodic review of their subordinate units SOPs and provide training on developing and implement a unit level SOP. Provide "How to" example documents as part of the SOP and ensure it is accessible by all individuals in the unit. Enforce what is in writing and put the responsibility on unit personnel to adhere to the requirements in the SOP.

The Campaign on Property Accountability (COPA) EXORD 259-10 should also be addressed. SOPs are a valuable tool to ensure accurate property accountability is maintained especially during personnel changes and/or unit movement.

**Disposition of Property:** Completing turn-in and lateral transfer actions are systemic problems in the Army Reserve. Turn-in and Lateral Transfer actions (external/internal) are generated in the Force And Asset Search Tool (FAAST) which is a tool used by the Army Reserve to manage assets. The primary reason these requirements are not met is many of the Supply Sergeants handling the processing are TPU weekend soldiers that are inundated with complying with training objectives during battle assemblies and no time is allocated to complete these requirements. Likewise turn-in and lateral transfers are given low priority by AGR Supply Sergeants as Commanders have placed higher emphasis on operational objectives associated with achieving the units' mission during battle assemblies and annual training. Another contributory factor is the failure of Supply Sergeants to load transportation request secondary destination transportation request (SDT) into the FAAST module by the required suspense date which is published on the directive. This delays the processing of the commercial bill of lading by USARC.

**Recommendation:** Company Commanders should be added to the distribution list on all FAAST generated transactions. This will give them a means to track suspense requirements. Our recommendation to USARC is to request the company that owns proprietary rights to FAAST establish an automatic alert that kicks out 5 days prior to the suspense and continues until some action is taken. This alert would be transmitted to Commanders, Supply Sergeants and gaining units.

**KEY CONTROL:** AR 190-11 states that personnel listed on the units Unaccompanied Access Roster can't serve as a Primary or Alternate Key Control Custodian for AA&E. For National Guard Units with limited AGR personnel we noted this presented a problem.

**Recommendation:** In a unit with 4 or more AGR personnel, 2 can be on the unaccompanied access roster, the other 2 serve as primary/alternate key custodians. In units with 3 AGR personnel, Supply Sergeant and either Readiness or Training NCO should be on the roster. Between the Readiness and Training NCO who are not on the roster, one should be the Primary AA&E Key Custodian and the other is the Alternate. In this case, Supply Sergeant does not get appointed as Primary or Alternate Key Custodian. In units with 2 AGR personnel, both go on the access roster but the Readiness NCO is the Primary Key Custodian and Supply Sergeant will be the alternate. Implement key control management procedures IAW AR 190-51, Appendix D and AR 190-11 when applicable. Ensure only authorized individuals have access to key boxes and that they are properly issuing keys. Appoint a key custodian and an alternate to manage and maintain key control.

**Inventories:** The majority of Hand Receipts were current. Annual inventories are conducted, and majority of commands use the cyclical method, choosing to inventory a certain percentage of LINs monthly, quarterly or semi-annually. Many commanders are delegating this responsibility to the sub hand receipt holder or are randomly selecting NCO's to conduct the inventory. We noted that units are not inventorying the components to the major end items during the change of command or annual inventory (cyclic) due to lack of resources (people/time).

**Recommendation:** Schedule inventories on the training calendar. When using the cyclic method, PBOs have flexibility in scheduling the number of LINs to be inventoried due to resources (people/time). When commanders delegate the inventories to the sub hand receipt holder they are still responsible and must ensure they are conducted properly.

**Shortage Annexes:** The majority of supply personnel knew how to prepare shortage annexes and component hand receipts, yet supply personnel were initialing/validating items with all accounting requirement codes - Expendable, Durable, and Non-Expendable. Documentation does not exist to support the items on the shortage annexes (i.e. changes to the TM/SC, adjustment document (FLIPL, SC, Durable Tool Loss memorandum, unserviceable turn in, etc). This has been a trend during previous SEA evaluation.

**Recommendation:** Follow regulatory guidelines for shortages. IAW DA PAM 710-2-1 shortage annexes are prepared at the level where the document register is maintained AND validated by the Commander, PBO or S4. This must be thoroughly checked during the unit evaluation (SAV, CSDP). Units need to become familiar with AR 735-5 to properly account for losses. Units do not have unrestricted discretion to order missing items without proper documentation to support that loss.

**LOGISTICAL TRAINING:** Most of the organizations had complied with requirements to send their 92Y soldiers to required MOS courses, however, Commanders failed to allocate section time on training schedules. Training schedules reviewed tied up 92Y's in completing other competing requirements which impacted soldier's abilities to maintain MOS proficiency. Some 92Ys did not have access to important property accountability management tools such as LIW and FMSWEB.

**Recommendation:** Commands need to establish a logistical training program and ensure it is documented on the organization training calendar to make property accountability a high priority interest item within their command and mentor junior leaders on their roles and responsibilities to enforce good supply discipline.

**SOLDIER ISSUE FILES:** There are several requirements for maintaining Clothing Records. Units are required to maintain a DA Form 4886 (RC) or DA Form 3078(AC), an OCIE record and, at a minimum, an annual inventory of Personal

Clothing and OCIE. Unit commanders can elect to have SGT's and above sign a statement stating they have all authorized/Issued equipment on hand and in a serviceable condition. The majority of units are lacking at least one of these requirements.

**Recommendation:** There is a misperception that Enlisted AGR personnel do not require a DA Form 4886 in their clothing record. There is no mention of this within any Regulation we researched. Organizations must adhere to the regulatory guidance, when the regulation is not clear the proponent of the applicable regulation must be contacted for clarification of deviation.

**OCIE AND PERSONAL CLOTHING USAR:** Supply Sergeant were not utilizing the Commanders Report in CIF-ISM and matching it against the organizations Alpha Roster to complete the Reconciliation process for validating individual soldiers OCIE records in CIF-ISM. Some units still had OCIE on their hand receipts and had not met the objective of transferring organizational OCIE records and shipping the remaining on hand quantities to designated facilities listed in USARC OPOD 09-130 (Establishment of Central Issue Facility-Installation Support Module (CIF-ISM)). Many Supply Sergeants did not have a copy of the USAR CIF External Operating Procedure (ESOP) and were not reviewing weekly CIF tips. Retained OCIE items had not been shipped back to the collection point thus delaying the process of closing out ETS soldiers records in CIF-ISM.

**Recommendation:** Commanders involvement is essential as OCIE is necessary in order for the organization to complete its Mission Essential Task List (METL) requirements. Recommend Commanders be granted access and receive training on the CIF-ISM program as this gives them vested interest in tracking and validating OCIE requirements for their organization. Supply Sergeants must adhere to the procedures outlined in USARC External Standard Operating Procedures dated 7 September 2011. Recommend Brigade and Battalions establish teams to assist Supply Sergeants in eliminating OCIE from organizational hand receipts.

**SENSITIVE ITEM INVENTORIES:** In NG units, the requirements are for a monthly physical count and quarterly serial number in inventory of sensitive items. Unit supply personnel need to do a better job of quality control on these documents before accepting and filing. Several deficiencies exist in quantities not matching and no supporting documentation available, appropriate sentences not being lined out or same person conducting consecutive inventories.

**Recommendation:** Ensure these inventories are being conducted by personnel in the rank of Sergeant or above, Warrant or Commissioned Officer or GS 11 or above and that the same person does not conduct consecutive inventories. The person conducting the inventory should annotate the quantity of weapons inventoried versus signing a preprinted document that lists the amount of weapons on a memorandum.

**Reconciliation of open document numbers:** The purpose of the reconciliation is to confirm continued need for the item, the quantity requested and minimize the funds involved in un-needed requisitions. The process begins with the first source of supply providing its customer with a listing of dues out requiring validation. During the validation it is mandatory that an item by item review is conducted with the unit activity register. The unit activity register must also be cross checked against the customer due out reconciliation list; in numerous instances we noted this was not occurring. Units are only printing the activity register to cover the range of dates on the recon. By following this process the unit cannot determine if an item is recorded (open) on the document register but not listed on the recon. We also noted a few of the SSAs instructed their customers to process a manual AE\_ cancellation status if the item is on the PBUSE register and not on the SSA recon, this is not IAW Army Regulation. Before any action is taken, the unit should determine if the document number is still valid at the wholesale level (parts tracker, ILAP) and follow the procedures in DA PAM 710-2-1.

**Recommendation:** The activity register should be printed to include ALL open document numbers prior to the SSA cutoff date and take appropriate action identified in supply regulations for items on the activity register that are not listed on the recon. Customer validation and reconciliation procedures should be of interest during IG inspections, CSDPs, Staff Assistance Visits (SAVs) and Command Logistics Review Team (CLRT) visits.

**Supply Support Activity (SSA)**  
**Enclosure 2 to Chief of Staff, Army, Supply Excellence Award Program**  
**Functional After Action Review (AAR)**

**ASL REVIEW BOARDS:** Although ASL Review Boards were being conducted at all the SSAs evaluated, minutes and pertinent back-up data was not always on file or readily available. In some instances the boards deviated from the Expert ASL Review Boards (ERB) recommended actions but the SSAs did not have available the line items that were not accepted as recommended or the reason why they were not accepted.

**Recommendation:** Prior to each ASL Review Board a recorder should be appointed to record the proceedings of the board. The minutes should include pertinent back-up documentation with justification, if deviating from the ERB recommendations. The minutes of each ASL Review Board must be approved and signed by the commander who appoints the Stock Record Officer or their designated representative and maintained on file.

**GENERAL KNOWLEDGE:** Although all the Accountable Officers evaluated have been through the Warrant Officer Basic Course,(WOBC) and many have attended the Warrant Officer Advance Course,(WOAC) their seems to be a lack of basic knowledge about Standard Army Retail Supply System (SARSS-1) functions and reports. Many 920Bs (Department of the Army Civilian and Contractors incl.) do not have prior SSA experience.

**Recommendation:** Take a close look at the relevance of what's being taught at WOBC and WOAC, as well as the level of experience before assessment as a 920B. Select NCOs with experience in key position in the Supply Support Activities. Streamline the process to change Program Of Instruction (POI), so its flexible and allow for changes as they become relevant. Only place well qualified civilian personnel in Accountable Officer position.

**RECONCILIATION SSA:** Some SSAs are not managing the reconciliation process; in some instances the customer units are not returning reconciliations by the scheduled suspense dates or not at all. SSA managers and Commanders must enforce regulatory guidance and keep Senior Leaders informed when units do not comply.

**Recommendation:** Adhere to AR 710-2, paragraph 3-20. Reconciliations are required monthly for RA, quarterly for ARNG and USAR. SSAs should establish internal control procedures to monitor distribution and return of reconciliations. This is a vital and critical link between customers requisition requirements and the SSA.

**SUPPLY DESCREANCY REPORTS (SDRs):** Supply Discrepancy Reports (SDRs) are not always submitted or tracked. The purpose of submitting SDRs is to report shipping or packaging discrepancies; to determine the cause of discrepancies, and to generate corrective action/resolution, whether through the receipt of correct items or financial adjustment to the requestor. In some instances SDRs were submitted but not recorded or tracked by any means.

**Recommendation:** With the ease of electronic means of submission and tracking of supply discrepancies, all SSAs should establish procedures for automated reporting. As a minimum they should maintain a register of all SDRs submitted along with responses received from the responsible action activity, and dollar values recovered, either in the form of reshipped items or credit received and/or final resolution.

**STORAGE OPERATION:** SSAs storage locations are not IAW FM 10-15 (Basic Doctrine Manual for Supply and Storage) chapter 4. Most SSAs evaluated did have the location marked but done so incorrectly. Some had no marking in the bulk storage yard. In some cases the Accountable Officers did not know FM 10-15 existed.

**Recommendation:** SSA Accountable Officers get back to the basics and become familiar with, and set-up SSA IAW FM 10-15. Reinforce this at WOBC and WOAC level of training for MOS 920B.

**INVENTORY ADJUSTMENT REPORTS (IARs):** In some instances causative research was not done properly or the causative research documentation was not filed with the IARs.

**Recommendation:** Causative research must be conducted and documented on the IAR when discrepancies result in adjustment over the dollar threshold which currently is \$1,000 in extended line item value. All supporting documentation should remain with the IAR; the IAR must be completed within 30 calendar days, and forwarded to the approval authority. The approving authority must take final action on the IAR within five working days of receipt or return for additional research. Once completed the IAR with all supporting documentation must be kept on file.

**SIGNATURE CARDS:** DA Form 1687 (Delegation of Authority) were in some cases expired, not properly filled out and/or submitted using obsolete forms and not reconciled with the SARSS Customer DODAAC files.

**Recommendation:** Ensure customers submit properly completed signature cards on the latest version of DA Form 1687; develop internal control procedures to monitor their expiration; reconcile classes of supply support on signature cards versus SARSS system through customer DODAAC list or DOF/DODAAC file which

lists the chain of support for various classes of supply for a single DODAAC. Refer to DA Pam 710-2-1, for sample DA Form 1687.