



DoD MANUAL 4140.25, VOLUME 2

DoD MANAGEMENT OF ENERGY COMMODITIES: RECORDS RETENTION AND FORMS MANAGEMENT

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Purpose: This manual is composed of several volumes, each containing its own purpose. In accordance with the authority in DoD Directive 5134.12 and DoD Instruction 4140.25:

- The manual implements policy, assigns responsibilities, and provides procedures for the supply chain management, quality assurance and quality surveillance; and storage of energy commodities and related services.
- In accordance with the policy in DoD Instruction 7750.07, this volume assigns responsibilities and provides procedures for implementation of the DoD Forms Management Program for the management and disposition of energy commodities and related services.

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SECTION 1: GENERAL ISSUANCE INFORMATION

1.1. APPLICABILITY. This issuance applies to:

a. OSD, the Military Departments, the Office of the Chairman of the Joint Chiefs of Staff and the Joint Staff, the Combatant Commands, the Office of the Inspector General of the Department of Defense, the Defense Agencies, the DoD Field Activities, and all other organizational entities within the DoD (referred to collectively in this issuance as the “DoD Components”).

b. Non-DoD federal government agencies participating in the DoD supply chain management of energy commodities, referred to collectively in this volume as “Participating Agencies,” but only when and to the extent they adopt the terms of this manual.

1.2. SUMMARY OF CHANGE 1. This change reassigns the office of primary responsibility for this issuance to the Under Secretary of Defense for Acquisition and Sustainment in accordance with the July 13, 2018 Deputy Secretary of Defense Memorandum.

SECTION 2: RESPONSIBILITIES

2.1. ASSISTANT SECRETARY OF DEFENSE FOR LOGISTICS AND MATERIEL READINESS (ASD(L&MR)). Under the authority, direction, and control of Under Secretary of Defense for Acquisition and Sustainment, and in accordance with DoD Instruction 4140.25, the ASD(L&MR) oversees energy commodities record management.

2.2. DIRECTOR, DEFENSE LOGISTICS AGENCY (DLA). Under the authority, direction, and control of the Under Secretary of Defense for Acquisition and Sustainment, and in addition to the responsibilities in Paragraph 2.3., the Director, DLA:

a. Appoints a government civilian as records management officer to maintain the records for DoD energy commodities.

b. Maintains and disposes of all records created and received by DLA to manage DoD energy commodities, in accordance with DoD Instruction 5015.02 and the DLA records management program.

c. Evaluates the adequacy of applicable records disposition standards for the DLA records management program. The Director, DLA, submits requests for new record series to the National Archives and Records Administration to establish appropriate disposal standards for categories of records not specifically identified in the DLA records schedule.

d. Performs an annual inventory of all records stored onsite to provide a complete and comprehensive written listing of DLA Energy records holdings stored onsite.

e. Appoints a government civilian vital records officer to:

(1) Identify and establish safeguards for records designated as necessary to the continuing operation of essential DLA Energy functions during an emergency.

(2) Ensure the management of DLA Energy vital records is consistent with all applicable requirements that protect the rights of individuals directly affected by DLA activities.

f. Oversees records management requirements and incorporates the records into DLA information system acquisitions.

g. Assists DLA Energy offices and field activities with the transfer of temporary, non-permanent, records to a federal records center (FRC), or the National Archives of the United States if records require permanent preservation.

2.3. DOD COMPONENT AND PARTICIPATING AGENCY HEADS. The DoD Component and Participating Agency heads:

a. Manage, create, maintain, retain, and preserve all records and forms used in the management of energy commodities in accordance with the procedures in DoD Instruction 7750.07; Chapter XII of Title 36, Code of Federal Regulations; Chapters 29, 31, 33, 35 of Title 44, United States Code; and DoD 5015.02-STD.

b. Appoint a:

(1) Responsible officer (RO) or terminal manager (TM) for government-owned, government-operated and government-owned, contractor-operated defense fuel support points (DFSPs).

(2) Records management coordinator to certify that all Defense Working Capital Fund (DWCF) inventory transaction records are readily available for external review or audit for compliance with records and forms management procedures in DoD Instruction 7750.07; Title 36, Code of Federal Regulations; Title 44, United States Code; and DoD 5015.2-STD.

(3) Property administrator at contracted DFSPs to provide surveillance of compliance with the terms of the contract and with records retention policies and procedures in DoD Instruction 7750.07; Title 36, Code of Federal Regulations; Title 44, United States Code; and DoD 5015.2-STD.

SECTION 3: PROCEDURES

3.1. RECORDS RETENTION.

a. File Plan. DoD Components and Participating Agencies will oversee the management of all component electronic information systems, documents, and federal records that support DWCF energy commodity inventory, receipts, sales, issues, shipments, and inventory adjustment events. Each DFSP maintains a current file plan in accordance with their DoD Component or agency-specific records management issuances.

b. Records Retention. DFSPs:

(1) Create a document control file for federal records that support DWCF energy commodity inventory, receipts, sales, issues, shipments, and inventory adjustment events.

(a) Consolidate the inventory transaction records into a daily document control file when there is more than an average of 25 inventory transaction records.

(b) Consolidate the inventory transaction records into a weekly document control file when there is less than a daily average of 25 inventory transaction records.

(2) Create a document control file for energy transaction documents and associated document retention according to the governing contract or agreement terms in:

(a) North Atlantic Treaty Organization or international agreements, which are available by e-mailing DLA Energy, International Logistics at desc.internationalagreements@dla.mil.

(b) Transportation operating agreements.

(c) Commercial tender agreements.

(d) Contract specifications for commercially owned or operated terminals that are exempt from creation and maintenance of a daily document control file.

c. Retention and Storage. DoD Components and Participating Agencies oversee the retention and storage of all records associated with inventory, receipts, defuels, shipments, inventory adjustment events, and management of DWCF energy commodities in accordance with the DoD Component or agency-specific records management issuances. DFSPs:

(1) Maintain all records associated with inventory, receipts, issues, defuels, shipments, inventory adjustment events, and management of DWCF energy commodities in accordance with DoD Instruction 5015.02 and DoD Component or agency-specific records management issuances.

(2) Maintain records locally for the current fiscal or calendar year, as established by agency policy, plus the two previous fiscal or calendar years.

(3) Continue to store DWCF energy commodity records that have retention periods longer than 3 years locally at a DFSP facility.

(4) Transfer the records to the FRC with guidance reflecting agency-specific records management requirements if the volume of records exceeds the storage capacity of the DFSP.

(5) Commercially owned and operated DFSPs will request FRC storage for DWCF energy commodity records via the DLA Energy Records Management Office.

(6) Provide adequate storage space for all records generated.

(a) **Environmental Controls.** Records must be stored in an environmentally controlled space. Consult with local facility managers regarding the best methods and products for reducing dust, preventing mold, and avoiding insect and rodent infestation.

(b) **Permanent Material Construction.** Store records in an area with walls constructed with permanent materials, such as cement or concrete, to lessen the chance of fire damage. At a minimum, the facility should include a smoke detector or sprinkler system along with fire extinguishers located at strategic points.

(c) **Water Damage Prevention.** Protect records from water damage. DFSP facility managers inspect the records storage area for leaks through the roof or overhead pipes and for areas of potential flooding. The facility managers may consider the installation of floor water alarms and compliance with the disaster plan to reduce the damage caused by water. The facility managers may seek assistance and guidance from the DLA Energy Records Management Branch to improve the local records storage areas.

(7) Destroy locally stored records when the records have met their retention period in accordance with DoD Component or agency-specific records management issuances. DFSPs will utilize local recycling programs for the destruction of records, if available. Do **not** destroy after receiving notification from DLA records management office that a hold has been placed on the records.

3.2. ELECTRONIC DATA BACKUP REQUIREMENTS. DFSPs will complete data backup of DLA Energy Base Level Support Application (BLSA), excluding systems incapable of locally generating back up because they are part of the DLA Enterprise Business System.

a. For daily backup, DFSPs will:

(1) Back up all BLSA databases.

(2) Create, label, and alternately use backup media labeled “Daily Backup/Day” (“Daily Backup/Mon” or “Daily Backup Tue,” Monday – Friday). Daily backup media may be overwritten or reused after verification that the data is not corrupted.

b. For weekly backup, DFSPs will:

- (1) Back up all BLSA databases.
 - (2) Create and maintain a set of five weekly backup compact discs or labeled “Week 1,” “Week 2,” etc. A daily backup will not be required on the day the weekly backup is accomplished.
 - (3) Overwrite or reuse weekly backup media as necessary once the monthly data backup routine is successfully completed, and the data has been analyzed for corruption.
 - (4) Replace monthly backup media any time damage or data corruption occurs.
- c. For monthly and fiscal year backup, DFSPs will:
- (1) Back up all BLSA databases.
 - (2) Label the monthly backup media to reflect the fiscal year, data calendar month, and date the monthly data backup was completed.
 - (3) Package the 12 monthly backup media together after a successful completion of the end of year closeout actions. DFSPs will keep the package 6 years and 3 months as the fiscal year backup.
- d. DFSPs may obtain additional support and assistance with data backup obtained from the DLA Energy help desk at 1-800-446-4950 or by e-mail at dlaenergyhelpdesk@dla.mil.
- e. DFSPs will:
- (1) Review the Accountable Property System of Record Backup Utility Log and keep the backup media free from file corruption or damage prior to storage.
 - (2) Safeguard against data loss and overwriting the current data files. Do not restore the backup media to the folder.
- f. For storage and retention of electronic data backup media the RO or TM protects DWCF energy transaction data backup compact discs and tapes locally stored at the DFSP with:
- (1) Backup Media. Store all backup media away from the BLSA server, in a location with a different physical address. DFSPs keep fiscal year backup media for general records schedule 3.2 items 040 through 050, DoD Component or agency specific records disposition schedules and make available for audit upon request. The general records schedule is found on the National Archives website <https://www.archives.gov/records-mgmt/grs.html>. The RO or TM performs annual inventory of the fiscal year backup media to verify that satisfactory management controls remain in force to prevent media loss and damage.
 - (2) Forward Operating and Contingency DFSP Locations. Maintain on-site daily and weekly backup media of DWCF energy commodity transactions processed at forward operating or contingency DFSP locations.

g. The base or installation local area network (LAN) administrator may perform the mandatory daily, weekly, and monthly backup procedure, if a written agreement between the RO or TM and the LAN administration office manager is in place.

(1) Before LAN administrator performance of DWCF database backup routines, RO or TM will review potential risks.

(2) Close coordination between DFSP personnel and the LAN administrator is essential to prevent enterprise business system database corruption that occurs when the data backup routine is simultaneously run during BLSA.

h. DFSPs:

(1) Back up all BLSA databases.

(2) Maintain a written agreement between the RO or TM and the LAN administration office manager in the DFSP document control file to:

(a) Identify all specific database files required to backup and the mandatory backup frequency and timeliness directed by this volume.

(b) Address local backup media storage procedures, data recovery, and restoration accuracy to the BLSA.

i. If electronic data is lost, the RO or TM:

(1) Takes timely remedial and corrective action to minimize data loss caused by system failure or backup media corruption events.

(2) Completes an investigation and reports to DLA Energy help desk: 1-800-446-4950 or by e-mail: dlaenergyhelpdesk@dla.mil no later than 3 working days after a data loss incident.

(3) Records all pertinent facts related to the data loss incident and describes actions taken to achieve data recovery in the report.

(4) Allows the LAN administrator to have access to all BLSA databases. Include the databases in the daily backup routine.

(5) Includes, at a minimum, the name of the person who performed recovery actions, the date and time of the unscheduled recovery routine, and any other relevant data recovery information in the report.

(6) Immediately analyzes and reconstructs transaction data events for the respective data loss time-period.

(7) Includes collection and examination of all pertinent transaction documents in the transaction data reconstruction.

(8) Advises customers to provide energy product sale or credit quantity information recorded as point of sale transactions when necessary.

j. The DLA Energy help desk immediately notifies the DLA Energy response team after receiving a report from the RO or TM on a data loss incident.

3.3. FORMS MANAGEMENT. DFSPs:

a. Submit suggested changes for DLA Energy forms or other DoD forms where DLA Energy is the assigned the office of primary responsibility to the DLA Energy forms manager by e-mail at desc.record@dla.mil. Suggested changes to format, content, or construction should lead to improved use, effectiveness, or reduced costs.

b. Use any format for submitting recommended changes with as many details as possible, all point of contact information, and a statement explaining why the change is necessary.

GLOSSARY

G.1. ACRONYMS.

ASD(L&MR)	Assistant Secretary of Defense for Logistics and Materiel Readiness
BLSA	base level support application
DFSP	defense fuel support point
DLA	Defense Logistics Agency
DWCF	Defense Working Capital Fund
FRC	federal records center
LAN	local area network
RO	responsible officer
TM	terminal manager

G.2. DEFINITIONS. This definition is for the purpose of this volume and will serve as standard terminology for DoD supply chain materiel management of energy commodities and services.

FRC storage. National Archives and Records Administration-operated storage for non-current federal records.

Participating Agencies. Non-DoD Federal Government agencies that participate in the DoD supply chain management of energy commodities, but only when and to the extent they adopt the conditions, terms, and requirements of this manual.

RO. An individual who is directly responsible for all government property and oversees all aspects of the DFSP operation, must be a U.S. citizen and government employee, either military or civilian, and must be duly appointed by proper authority to provide diligent care, custody, and protection of government property at U.S. Government operated DFSPs. Refer to Paragraph 3.3.c. of Volume 6 of this manual for additional information.

TM. An individual who is directly responsible and accountable for all Government property in accordance with contract requirements and oversees all aspects of the DFSP operation. The TM established and maintains a property control system to control, protect, preserve, and maintain government property at contractor operated DFSPs. Refer to Paragraph 3.3.d. of Volume 6 of this manual for additional information.

REFERENCES

- Code of Federal Regulations, Title 36
- Deputy Secretary of Defense Memorandum, “Establishment of the Office of the Under Secretary of Defense for Research and Engineering and the Office of the Under Secretary of Defense for Acquisition and Sustainment,” July 13, 2018
- DoD 5015.02-STD, “Electronic Records Management Software Applications Design Criteria Standard,” April 25, 2007
- DoD Directive 5134.12, “Assistant Secretary of Defense for Logistics and Materiel Readiness (ASD(L&MR)),” May 25, 2000, as amended
- DoD Instruction 4140.25, “DoD Management Policy for Energy Commodities and Related Services,” June 25, 2015
- DoD Instruction 5015.02, “DoD Records Management Program,” February 24, 2015, as amended
- DoD Instruction 7750.07, “DoD Forms Management Program,” October 10, 2014
- The DLA Records, October 2015¹
- United States Code, Title 44, Chapters 29, 31, 33, 35

¹ <https://dla.deps.mil/dod/dla/dlaenergy/scm/SitePages/Publications.aspx> Available on the DLA Energy Portal to registered CAC users at:
[https://dla.deps.mil/dod/dla/dlaenergy/scm/DLA%20Energy%20Publications/DLAD%205025.3Q%20\(DLA%20Records%20Retention%20Schedule\)%20September%202011.pdf](https://dla.deps.mil/dod/dla/dlaenergy/scm/DLA%20Energy%20Publications/DLAD%205025.3Q%20(DLA%20Records%20Retention%20Schedule)%20September%202011.pdf).