

CHECKLIST AND TRACKING DOCUMENT FOR FINANCIAL LIABILITY INVESTIGATIONS OF PROPERTY LOSS

For use of this form, see AR 735-5; the proponent agency is DCS, G-4.

To: Accountable Officer

1.

To: Approving Authority

2.

To: Financial Liability Officer

3.

To: Approving Authority

4.

To: Staff Judge Advocate

5.

To: Approving Authority

6.

(A) Complete When a Loss is Discovered

Date loss was discovered _____ Originating Unit _____
 Preliminary search for item began _____ Preliminary search for item ended _____
 Date assigned document number _____ Date assigned inquiry/investigation number _____

(B) Initiator (Blocks 1 and 3 through 11 are completed by the individual initiating the investigation of property loss. Normally this will be the hand receipt holder or the accountable officer. When the hand receipt holder or accountable officer is not available, the person with the most knowledge of the incident causing the loss will initiate the financial liability investigating of property loss.)

Block 1.	Has the date the investigation of property loss initiated been entered?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
Block 3.	Has the date the loss was discovered been entered?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
Block 4.	Has the correct stock number(s) been entered? If more than one, use a continuation sheet per figure 13-5. For items with a line item number (LIN), enter the LIN and for those items with a reportable item control code (RICC) of, 2, A, B, C or Z, enter the RICC.	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
Block 5.	Has the correct nomenclature(s) been entered, to include serial numbers if items have serial numbers? For damaged property, enter the cost of repair or the estimated cost of repair if actual cost is not available. Use continuation sheet when the loss to be investigated involves more than one item.	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
Block 6.	Has the quantity of the item(s) lost, damaged or destroyed been entered? Use continuation sheet when necessary.	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
Block 7.	Has the unit cost of the item(s) lost, damaged or destroyed been entered? Use continuation sheet when necessary.	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
Block 8.	Has the total cost of the item(s) lost, damaged or destroyed been entered? Use continuation sheet when necessary.	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
Block 9.	Has an accurate and concise statement of facts surrounding the loss been entered? Statement should identify as much as possible what happened, how it happened, where it happened, who was involved, when it happened and any evidence of negligence, willful misconduct, or deliberate unauthorized use or disposition of the property.	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
Block 10.	Has a recommendation been entered by the initiator? Recommendations may be entered by the commander, accountable officer, and when appropriate by the financial liability investigating officer.	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
Block 11.	Has the individual who completed blocks 1 and 3 through 10, completed blocks 11a through 11e?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
Block 12.	Has the responsible officer or the reviewing authority completed blocks 12 through 12g?	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>

Attach the financial liability investigation of property loss to this checklist and tracking document, and forward to the accountable officer or person maintaining the expendable/durable document register for assignment of a document/voucher number.

(C) Accountable Officer (Block 17 is completed by the accountable officer or person maintaining the expendable or durable document register prior to forwarding the investigation to the appointing authority or approving authority as appropriate.)

Block 17.	Has the accountable officer completed blocks 17a through 17f showing the assignment of a document number or voucher number to the financial liability investigation of property loss for lost and destroyed property? For damaged property, a document number is not assigned.	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
-----------	--	------------------------------	-----------------------------	------------------------------

(D) Appointing Authority or Approving Authority as Appropriate (Leave blocks 13a and 13d through 13h blank at this time. These blocks are completed after the investigation is completed to show whether the appointing authority approves of the financial liability officer's findings and recommendations. When an appointing authority has not been designated, these blocks will be left blank.)

Block 13c.	Has the appointing authority or the approving authority as the appropriate completed block 13c indicating whether an financial liability officer is appointed? When a financial liability officer is appointed, use a memorandum as described in figure 13-12; when an AR 15-6 financial liability officer is appointed use, an appointment memorandum in accordance with AR 15-6, paragraph 2-1b.	Yes <input type="checkbox"/>	No <input type="checkbox"/>
------------	--	------------------------------	-----------------------------

(E) Financial Liability Officer (Block 15 is completed by the financial liability officer prior to returning the investigation to the appointing authority or approving authority as appropriate.)

Block 15a.	The financial liability officer's findings and recommendations are recorded here. In conducting the financial liability investigation of property loss has the financial liability officer--			
	<input type="checkbox"/> Scrutinized all available evidence.	Yes <input type="checkbox"/>	No <input type="checkbox"/>	
	<input type="checkbox"/> Interviewed witnesses and secured statements from individuals concerning: <input type="checkbox"/> The cause of the loss or damage. <input type="checkbox"/> The responsibility for the loss or damage.	Yes <input type="checkbox"/>	No <input type="checkbox"/>	
	<input type="checkbox"/> Compiled evidence substantiating or refuting any statement in block 9, DD Form 200.	Yes <input type="checkbox"/>	No <input type="checkbox"/>	
	<input type="checkbox"/> Physically examined the damaged property, when available, and released it for repair or disposal. This should be done on the first day of the financial liability officer's appointment.	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<input type="checkbox"/> Consulted with the appointing/approving authority as appropriate for guidance, when needed.	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<input type="checkbox"/> Determined the amount of damage, if property was damaged. This value may be the actual cost of repairs or an estimated cost of the repairs obtained from technical manuals or other reliable sources. Determine the value of the property immediately before it was damaged if the property is not economically repairable. The accountable officer may be asked to assist if he or she has not been directly involved.	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<input type="checkbox"/> Has action been taken to exercise control over the property recovered during the investigation?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<input type="checkbox"/> Has the total loss to the government been computed correctly?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<input type="checkbox"/> Has the financial liability officer coordinated this investigation with the claims investigating officer when the investigation covers the loss, damage or destruction of Government property that is being, has been, or shall be investigated because of attendant events by a claims financial liability officer. This includes cases where military personnel or civilian employees, while driving a privately owned vehicle, damage Government property and have insurance to pay for part of the loss.	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<input type="checkbox"/> Ensured that individuals being recommended for a possible charge of financial liability are aware of their rights.	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<input type="checkbox"/> Request individual(s) to acknowledge their understanding of their rights by completing block 16, DD Form 200.	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>

	<ul style="list-style-type: none"> o If appropriate, prepare a statement that individual recommended for a charge of financial liability refused to sign block 16g, DD Form 200, after being given the opportunity. <ul style="list-style-type: none"> oo A full explanation of the person's rights shall be included and a reply shall be requested. oo If the reply is not received within 30 days after the date of mailing, the financial liability officer shall record this fact and take action to complete the DD Form 200. This record of fact shall be included in, or appended to, the DD Form 200. oo Any reply received after the expiration of 30 days shall be forwarded through the same channels as the DD Form 200, form attachment to the original DD Form 200. o Was consideration given to any new evidence received after a recommendation was made? If the financial liability recommendation remains unchanged, the financial liability officer shall note that the added evidence was considered and provide the rationale for not changing the decision. The notation shall be on all copies of the report immediately following the original recommendation. If the financial liability officer makes a change in the original recommendations because of the new evidence, the financial liability officer shall record such change as "Amended Recommendations." These recommendations should be recorded immediately after the original recommendations. 	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Block 15b.	Has the dollar amount of the loss been entered by the financial liability officer?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Block 15c.	When a charge of financial liability is being recommended, has the monthly basic pay of the respondent been entered?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Block 15d.	When a charge of financial liability is being recommended, has the recommended amount of financial liability been entered?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Blocks 15e-15k.	Self explanatory.	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
On completion of the investigation, the financial liability officer forwards the completed DD Form 200 with all exhibits to the approving authority. When the approving authority has designated an appointing authority, the financial liability officer forwards the completed investigation to the appointing authority.				
(F) Appointing Authority (Block 13 is completed by the appointing authority when one has been designated by the approving authority. When an appointing authority has not been designated, block 13a through b and d through f are left blank.)				
Block 13a.	On completion of the appointing authority's review of the financial liability investigation of property loss, a recommendation is made to either approve or disapprove the financial liability officer's findings and recommendations.	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Block 13b.	The appointing authority's rationale for the decision reached in block 13a is entered in block 13b.	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Block 13c.	This block was previously completed, as indicated in (D) above.	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Blocks 13c-13h.	Self explanatory.	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
On completion of block 13, the financial liability investigation of property loss is either -- <ul style="list-style-type: none"> o Returned to the financial liability officer for additional investigation or documentation of findings and recommendation, or o Forwarded to the approving authority. 				
(G) Approving Authority (This set of blocks is completed by the approving authority to show the approving authority's preliminary decision after the approving authority's initial review of the financial liability officer's findings and recommendations.)				

Block 14a.	<p>On completion of the approving authority's initial review of the financial liability officer's findings and recommendations, has the approving authority indicated his or her approval or disapproval of the financial liability officer's findings and recommendations?</p> <ul style="list-style-type: none"> o If the financial liability officer has recommended that all persons be relieved of responsibility and accountability for the loss and the approving authority agrees with the financial liability officer, the approving authority may approve the financial liability investigation of property loss and close the investigation, per AR 735-5, paragraph 13-39g(3). o If the financial liability officer has recommended that person(s) be charged with financial liability for the loss, and the approving authority agrees with the financial liability officer, the approving authority must forward the financial liability investigation of property loss to the supporting Office of the Staff Judge Advocate for legal review prior to making a final decision, per AR 735-5, paragraph 13-40d. o When the approving authority makes a decision contrary to the recommendations of the investigating officer or AR 15-6 financial liability officer, either to relieve all concerned from financial liability or assess financial liability against a new individual, this decision is entered in block 14a(1) with appropriate comments in block 14b, per AR 735-5, paragraph 13-40d(2). 	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Block 14b.	<p>Has the approving authority entered his or her rationale for the initial decision shown in block 14a? When a decision to charge an individual(s) with financial liability, comments should be entered stating who the respondent is and the amount of financial liability to be assessed.</p>	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Block 14c.	<p>Has the approving authority indicated whether a legal review is necessary? A legal review is required when --</p> <ul style="list-style-type: none"> o A charge of financial liability is recommended. o The recommendations appear to be inconsistent with the findings. 	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Blocks 14d-14h.	Self explanatory	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
<p>On completion of block 14, when the approving authority decides to approve a charge of financial liability, he or she must forward the financial liability investigation of property loss to the supporting Office of the Staff Judge Advocate for legal review prior to making the final decision to assess financial liability.</p>				
<p>(H) Staff Judge Advocate When financial liability is recommended, or when recommendations appear to be inconsistent with the financial liability officer's findings, a judge advocate or civilian attorney must review the findings and recommendations and provide an opinion on the adequacy of the evidence and its relationship to the findings and recommendations. This legal review will be attached to the financial liability investigation of property loss as an exhibit. On completion of the legal review, the financial liability investigation of property loss will be returned to the approving authority.</p>				
<p>(I) Approving Authority On receipt of the financial liability investigation of property loss containing a legal review from Staff Judge Advocate, the approving authority will conduct a final review of the financial liability officer's findings and recommendation together with the Staff Judge Advocate's legal review and make a final decision concerning the charge of financial liability.</p> <ul style="list-style-type: none"> o When a decision is reached to charge an individual with financial liability, the approving authority notifies the respondent by memorandum per AR 735-5, paragraph 13-42a. See AR 735-5, paragraph 13-43 addressing actions required when a respondent submits a request for reconsideration. o When a decision is reached to relieve all concerned of accountability and responsibility for the loss, investigation will be closed out per AR 735-5, paragraph 13-40e. 				