

## Request for Records Disposition Authority

Records Schedule Number      **DAA-0361-2020-0003**

Schedule Status                      **Approved**

Agency or Establishment              **Defense Logistics Agency**

Record Group / Scheduling Group      **Records of the Defense Logistics Agency**

Records Schedule applies to              **Agency-wide**

Schedule Subject                      **Acquisition (Contracting)**

Internal agency concurrences will be provided      **No**

Background Information                      **This Schedule relates to the function of obtaining supplies, equipment and services through the process of purchasing and contracting and the assurance of the effective performance of contractual requirements**

### Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
<b>16</b>	<b>0</b>	<b>16</b>	<b>0</b>

### GAO Approval

## Outline of Records Schedule Items for DAA-0361-2020-0003

Sequence Number	
1	Contractor Performance. Disposition Authority Number: DAA-0361-2020-0003-0003
2	Mobilization/Industrial Planning and Preparedness File. Disposition Authority Number: DAA-0361-2020-0003-0005
3	Contract Evaluations. Disposition Authority Number: DAA-0361-2020-0003-0006
4	Canceled Procurement Requests (RFP/IFB Issued). Disposition Authority Number: DAA-0361-2020-0003-0007
5	Contracting Policy Studies. Disposition Authority Number: DAA-0361-2020-0003-0009
6	Contractor System Reviews. Disposition Authority Number: DAA-0361-2020-0003-0012
7	Contractor Master Subcontracting Plan. Disposition Authority Number: DAA-0361-2020-0003-0013
8	Novation Files. Disposition Authority Number: DAA-0361-2020-0003-0014
9	Contract Requirements and Obligations. Disposition Authority Number: DAA-0361-2020-0003-0015
10	Pre-award Surveys. Disposition Authority Number: DAA-0361-2020-0003-0017
11	Cost Element Analyses. Disposition Authority Number: DAA-0361-2020-0003-0018
12	Labor Hours and Materials Surveillance Records. Disposition Authority Number: DAA-0361-2020-0003-0019
13	Cost/Schedule Control Systems. Disposition Authority Number: DAA-0361-2020-0003-0020
14	Program Managed Contracts Reports. Disposition Authority Number: DAA-0361-2020-0003-0021
15	Technical Studies and Analysis Support. Disposition Authority Number: DAA-0361-2020-0003-0022
16	Hazardous Waste Service Contracts: Contracting Officer Copy. Disposition Authority Number: DAA-0361-2020-0003-0023

## Records Schedule Items

Sequence Number					
1	<p><b>Contractor Performance.</b></p> <p>Disposition Authority Number      <b>DAA-0361-2020-0003-0003</b></p> <p>Information used to document contractor performance that includes the following types of records: • Contract performance, delinquency and discrepancy reports used for pre-award review and to evaluate contractor performance • Provide recommendations on contractor performance • Monthly and annual contractor performance reports used to provide an annual history of contractor performance.</p> <p>Final Disposition                      <b>Temporary</b></p> <p>Item Status                                <b>Active</b></p> <p>Is this item media neutral?            <b>Yes</b></p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      <b>Yes</b></p> <p>Do any of the records covered by this item exist as structured electronic data?                              <b>No</b></p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 50%;">Manual Citation</th> <th style="width: 50%;">Manual Title</th> </tr> </thead> <tbody> <tr> <td><b>4200.17</b></td> <td><b>DLA Records Retention Schedule</b></td> </tr> </tbody> </table> <p>GRS or Superseded Authority Citation      <b>N1-361-91-004 / 817.30 N1-361-91-013 / 834.50</b></p> <p><b>Disposition Instruction</b></p> <p>Cutoff Instruction                        <b>Cutoff at end of FY.</b></p> <p>Retention Period                         <b>Destroy 1 year(s) after cutoff</b></p> <p><b>Additional Information</b></p> <p>GAO Approval                              <b>Not Required</b></p>	Manual Citation	Manual Title	<b>4200.17</b>	<b>DLA Records Retention Schedule</b>
Manual Citation	Manual Title				
<b>4200.17</b>	<b>DLA Records Retention Schedule</b>				
2	<p><b>Mobilization/Industrial Planning and Preparedness File.</b></p> <p>Disposition Authority Number      <b>DAA-0361-2020-0003-0005</b></p> <p>Documents related to industrial preparedness production planning schedules; control registers; plant loading records; request, registration and survey forms; property records; code listings; correspondence with contractors; memorandums of understanding; production planning schedule contracts; and related schedules</p>				

and lists used to implement production policy and procedures relating to industrial resources and preparedness programs, negotiate mobilization production planning agreements, determine plant capacity available for mobilization needs and to react to emergency situations. Includes Documents' relating to DLA mobilization plans (BEP and FABEP) to include correspondence relating to DLA emergency support plans, staffing, and mission requirements.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? No

Manual Citation	Manual Title
4200.19	DLA Records Retention Schedule

GRS or Superseded Authority Citation N1-361-91-004 / 817.50  
N1-361-91-013 / 843.10

**Disposition Instruction**

Cutoff Instruction Cutoff at end of Event.

Retention Period Destroy 2 years after end of planning year or until no longer needed for business purposes.

**Additional Information**

GAO Approval Not Required

**Contract Evaluations.**

Disposition Authority Number DAA-0361-2020-0003-0006

Proposed awards and acquisition plans, copies of acquisition plan evaluations, proposed award/post-award checklists, computer reports of errors and inadequacies used to propose purchase actions, review acquisition plans, review and recommend awards of proposed contracts or recommend remedial buyer training, evaluate requests for waivers, process requests for letter contracts, conduct pre-solicitation reviews, uniformly apply contracting directives and laws, choose optimum methods of contracting, resolve contracting problems, ensure contracting data is adequate and ensure applicable clearances have been obtained.

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Final Disposition **Temporary**  
 Item Status **Active**  
 Is this item media neutral? **Yes**  
 Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**  
 Do any of the records covered by this item exist as structured electronic data? **No**

Manual Citation	Manual Title
<b>4200.22</b>	<b>DLA Records Retention Schedule</b>

GRS or Superseded Authority Citation **N1-361-91-004 / 818.10**

**Disposition Instruction**

Cutoff Instruction **Cutoff at end of Event.**  
 Retention Period **Destroy 3 years after contract is awarded or when issue is no longer significant, whichever is later.**

**Additional Information**

GAO Approval **Not Required**

**Canceled Procurement Requests (RFP/IFB Issued).**

Disposition Authority Number **DAA-0361-2020-0003-0007**

**Documents relating to proposed procurement actions which are canceled after issuance of invitations for bids (IFB) or requests for proposals (RFP) because of cancellation of the requirement or other factors causing the contracting officer to determine that an award will not be made.**

Final Disposition **Temporary**  
 Item Status **Active**  
 Is this item media neutral? **Yes**  
 Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**  
 Do any of the records covered by this item exist as structured electronic data? **No**

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Manual Citation	Manual Title
4200.25	DLA Records Retention Schedule

GRS or Superseded Authority Citation      N1-361-91-004 / 818.20

**Disposition Instruction**

Cutoff Instruction      Cutoff at end of Event.

Retention Period      Destroy 5 year(s) after cancellation.

**Additional Information**

GAO Approval      Not Required

**Contracting Policy Studies.**

Disposition Authority Number      DAA-0361-2020-0003-0009

Copies of contracting policy studies and analyses, notes, newspaper and magazine articles, contract presentations and related materials used to study, evaluate, and comparatively analyze the application of contracting policies as applied to individual contracts and to develop recommendations for revision of procedures and methods to enhance acquisitions and support.

Final Disposition      Temporary

Item Status      Active

Is this item media neutral?      Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      Yes

Do any of the records covered by this item exist as structured electronic data?      No

Manual Citation	Manual Title
4200.30	DLA Records Retention Schedule

GRS or Superseded Authority Citation      N1-361-91-004 / 818.50

**Disposition Instruction**

Cutoff Instruction      Review annually.

Retention Period      Destroy when no longer needed or when issue is no longer significant, whichever is sooner.

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**Additional Information**

GAO Approval Not Required

**Contractor System Reviews.**

Disposition Authority Number DAA-0361-2020-0003-0012

Correspondence, checklists, review findings, ACO approval/disapproval letters, related contractor correspondence, and similar records pertaining to review of contractor purchasing, insurance, pension, compensation, Material Management Accounting Systems (MMAS), and estimating system procedures used to determine contractor CAS compliance.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? No

Manual Citation	Manual Title
4200.42	DLA Records Retention Schedule

GRS or Superseded Authority Citation N1-361-91-013 / 831.35

**Disposition Instruction**

Cutoff Instruction Cutoff at end of Event.

Retention Period Destroy 3 years after subsequent review completed.

**Additional Information**

GAO Approval Not Required

**Contractor Master Subcontracting Plan.**

Disposition Authority Number DAA-0361-2020-0003-0013

Review announcement letters, forms containing subcontracting plans, review findings, ACO approval/ disapproval letters, and related records used to monitor subcontracting matters.

Final Disposition Temporary

Item Status Active

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Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**

Do any of the records covered by this item exist as structured electronic data? **No**

Manual Citation	Manual Title
<b>4200.44</b>	<b>DLA Records Retention Schedule</b>

GRS or Superseded Authority Citation **N1-361-91-013 / 831.45**

**Disposition Instruction**

Cutoff Instruction **Cutoff at end of FY.**

Retention Period **Destroy 2 year(s) after cutoff**

**Additional Information**

GAO Approval **Not Required**

**Novation Files.**

Disposition Authority Number **DAA-0361-2020-0003-0014**

**Novation requests, notarized copy of name change, correspondence, modification listing contracts affected, and related records pertaining to contractor name changes.**

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**

Do any of the records covered by this item exist as structured electronic data? **No**

Manual Citation	Manual Title
<b>4200.48</b>	<b>DLA Records Retention Schedule</b>

GRS or Superseded Authority Citation **N1-361-91-013 / 831.60**

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**Disposition Instruction**

Cutoff Instruction Cutoff at end of Event.  
Retention Period Destroy 1 year after novated contracts are closed.

**Additional Information**

GAO Approval Not Required

**Contract Requirements and Obligations.**

Disposition Authority Number DAA-0361-2020-0003-0015

Copies of financial reports provided by contractors reflecting Government property in their possession, and copies of contract closeout documents.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? No

Manual Citation	Manual Title
4200.50	DLA Records Retention Schedule

GRS or Superseded Authority Citation N1-361-91-013 / 832.20

**Disposition Instruction**

Cutoff Instruction Cutoff at end of Event.  
Retention Period Destroy 3 years after contract closeout.

**Additional Information**

GAO Approval Not Required

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**Pre-award Surveys.**

Disposition Authority Number DAA-0361-2020-0003-0017

Pre-award surveys, logs, copies of solicitations, technical evaluations, production capability data, reports on quality, finance, transportation and packaging, property control, security, plant safety, environment/energy, and related materials pertaining to pre-award surveys used to direct and coordinate the pre-award program,

conduct the production aspects of pre-award and related surveys, track the progress of pre-award survey teams, and respond to requests for information.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? No

Manual Citation	Manual Title
4200.66	DLA Records Retention Schedule

GRS or Superseded Authority Citation N1-361-91-013 / 834.30

**Disposition Instruction**

Cutoff Instruction Cutoff at end of FY.

Retention Period Destroy 1 year(s) after cutoff

**Additional Information**

GAO Approval Not Required

**Cost Element Analyses.**

Disposition Authority Number DAA-0361-2020-0003-0018

Technical analyses and related backup materials produced as a result of conducting cost element analyses of direct labor hours and materials on new contracts and modifications.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? No

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Manual Citation	Manual Title
4200.69	DLA Records Retention Schedule

GRS or Superseded Authority Citation      N1-361-91-013 / 834.40

**Disposition Instruction**

Cutoff Instruction      Cutoff at end of FY.

Retention Period      Destroy 1 year(s) after cutoff

**Additional Information**

GAO Approval      Not Required

**Labor Hours and Materials Surveillance Records.**

Disposition Authority Number      DAA-0361-2020-0003-0019

Records consist of individuals names, Employee Computer Access Account Number (EAN), position, supervisor, timekeeper, project manager, system access level, organization and office location, contract company, email address and office telephone numbers, rate, work schedule, project and workload records, time and attendance, regular and overtime work hours and leave hours. Records are used to track workload/project activity for analysis and reporting purposes, time and attendance, and labor distribution data against projects for financial purposes; to monitor all aspects of a contract from a financial perspective and to maintain financial and management records associated with the operations of the contract; to evaluate and monitor the contractor performance and other matters concerning the contract, i.e. making payments, accounting for services provided and received. Records devoid of personal identifiers are used for extraction or compilation of data and reports for management studies and statistical analyses for use externally as required by DoD or other government agencies.

Final Disposition      Temporary

Item Status      Active

Is this item media neutral?      Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      Yes

Do any of the records covered by this item exist as structured electronic data?      No

Manual Citation	Manual Title
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<b>4200.78</b>	<b>DLA Records Retention Schedule</b>
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GRS or Superseded Authority Citation      **N1-361-08-005 / 1**

**Disposition Instruction**

Cutoff Instruction      **Cutoff at end of FY.**

Retention Period      **Destroy when 7 years old or when no longer needed.**

**Additional Information**

GAO Approval      **Not Required**

**Cost/Schedule Control Systems.**

Disposition Authority Number      **DAA-0361-2020-0003-0020**

**Cost/schedule control system reviews, subsequent application reviews, and retained copies of cost performance reports and cost/schedule status reports submitted to administrative contracting offices.**

Final Disposition      **Temporary**

Item Status      **Active**

Is this item media neutral?      **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      **Yes**

Do any of the records covered by this item exist as structured electronic data?      **No**

Manual Citation	Manual Title
<b>4200.80</b>	<b>DLA Records Retention Schedule</b>

GRS or Superseded Authority Citation      **N1-361-91-006 / 890.20**

**Disposition Instruction**

Cutoff Instruction      **Cutoff at end of Event.**

Retention Period      **Destroy 1 year after program termination, or completion of contract.**

**Additional Information**

GAO Approval      **Not Required**

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**Program Managed Contracts Reports.**

Disposition Authority Number      **DAA-0361-2020-0003-0021**

**Status reports on weapon systems and other priority program contracts.**

Final Disposition                      **Temporary**

Item Status                                **Active**

Is this item media neutral?            **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      **Yes**

Do any of the records covered by this item exist as structured electronic data?                              **No**

Manual Citation	Manual Title
<b>4200.83</b>	<b>DLA Records Retention Schedule</b>

GRS or Superseded Authority Citation      **N1-361-91-006 / 890.40**

**Disposition Instruction**

Cutoff Instruction                        **Cutoff at end of FY.**

Retention Period                         **Destroy 3 year(s) after cutoff**

**Additional Information**

GAO Approval                              **Not Required**

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**Technical Studies and Analysis Support.**

Disposition Authority Number      **DAA-0361-2020-0003-0022**

**Program and Technical Support elements' support to efforts such as cost estimating system surveys, should cost reviews, source selection information requests, tests and inspections, product reviews, independent research and development reviews, cost monitoring reviews, purchasing system reviews, progress payment evaluations and similar efforts evaluated for other contract management functions and activities.**

Final Disposition                        **Temporary**

Item Status                                **Active**

Is this item media neutral?            **Yes**

Do any of the records covered by this item currently exist in

electronic format(s) other than e-mail and word processing?

Do any of the records covered by this item exist as structured electronic data? **No**

Manual Citation	Manual Title
<b>4200.89</b>	<b>DLA Records Retention Schedule</b>

GRS or Superseded Authority Citation **N1-361-91-006 / 890.65**

**Disposition Instruction**

Cutoff Instruction **Cutoff at end of FY.**

Retention Period **Destroy 2 year(s) after cutoff**

**Additional Information**

GAO Approval **Not Required**

**Hazardous Waste Service Contracts: Contracting Officer Copy.**

Disposition Authority Number **DAA-0361-2020-0003-0023**

**Contract files relating to transportation, storage, and disposal of hazardous waste including hazardous waste manifests and other supporting documentation. Contracts are required to be maintained 100 years due to potential hazardous waste Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) litigation.**

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**

Do any of the records covered by this item exist as structured electronic data? **No**

Manual Citation	Manual Title
<b>4200.93</b>	<b>DLA Records Retention Schedule</b>

GRS or Superseded Authority Citation **N1-361-92-002 / 660.10A**

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Disposition Instruction

Cutoff Instruction

Cutoff at end of Event (Contract closeout). Maintain hard copy to avoid technological obsolescence.

Retention Period

Destroy 100 years after Contract closeout.

Additional Information

GAO Approval

Not Required

## Agency Certification

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

## Signatory Information

Date	Action	By	Title	Organization
02/08/2022	Certify	Cecilia Wiker	Agency Records Officer	Agency Wide - Agency Wide
02/23/2022	Return for Revision	David Weber	Senior Appraisal Archivist	National Archives and Records Administration - Records Management Services
05/24/2022	Submit For Certification	Cecilia Wiker	Agency Records Officer	Agency Wide - Agency Wide
05/24/2022	Certify	Cecilia Wiker	Agency Records Officer	Agency Wide - Agency Wide
11/29/2022	Submit for Concurrence	David Weber	Senior Appraisal Archivist	National Archives and Records Administration - Records Management Services
11/29/2022	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
11/30/2022	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
12/05/2022	Approve	Debra Wall	Deputy Archivist	National Archives and Records Administration - ND Archives I Office