

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

LEAVE BLANK

JOB NO.

NI-361-91-4

DATE RECEIVED

12-28-90

TO: **GENERAL SERVICES ADMINISTRATION
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408**

NOTIFICATION TO AGENCY

In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10. If no records are proposed for disposal, the signature of the Archivist is not required.

1. FROM (Agency or establishment)

Defense Logistics Agency

2. MAJOR SUBDIVISION

Staff Director, Administration

3. MINOR SUBDIVISION

Resources Management Division

4. NAME OF PERSON WITH WHOM TO CONFER

Mr. Allen B. Easterly

5. TELEPHONE EXT.

274-6234

DATE

3/16/92

ARCHIVIST OF THE UNITED STATES

[Signature]

6. CERTIFICATE OF AGENCY REPRESENTATIVE

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records; that the records proposed for disposal in this Request of 8 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, if required under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, is attached.

A. GAO concurrence: is attached; or is unnecessary. *X Has been requested.*

B. DATE

20 Dec 90

C. SIGNATURE OF AGENCY REPRESENTATIVE

Preston B. Speed

PRESTON B. SPEED

D. TITLE

Chief, Administrative Management Br.

7. ITEM NO.

8. DESCRIPTION OF ITEM
(With Inclusive Dates or Retention Periods)

9. GRS OR SUPERSEDED JOB CITATION

10. ACTION TAKEN (NARS USE ONLY)

The enclosed is a revision of the records disposition schedule for our Directorate of Contracting and Production. This revision will supercede the 800, 810, 816, 820, 860, and 862 series of our Files Maintenance and Disposition Manual (DLAM 5015.1). Proposed file number 811.50 will not have a retroactive impact and is scheduled for implementation in FY 92.

Copies sent to agency 3/13/92

810 CONTRACTING AND PRODUCTION. Relates to providing contracting and production support for all supplies and services for central acquisition; support of DLA, DoD, and civil agencies as defined in Interservice Support Agreements; and local purchase support.

810.01 Contracting and Production Program Files. Documents related to the formulation, management, administration and execution of individual Contracting and Production programs such as program plans, studies and analyses, reports, letter guidance and direction, and related documents. (*Destroy 2 years after termination of program effort, or when no longer required, whichever is sooner.*)

NEW

810.02 Contracting and Production Policy Files. Documents providing general direction, staff guidance and reporting in the management and administration of Contracting and Production matters including interpretations and decisions on applicability, requests for waivers and exceptions, data calls and periodic reporting, and similar documents not covered elsewhere. (HQ DLA - Destroy after 2 years. Other Activities - Destroy after 1 year.)

NEW

CONTRACTING PRE-AWARD. Relates to contracting planning and purchasing for all items assigned for contracting, including single department acquisition items and installation support; implements Small and Disadvantaged Business, Economic Utilization, and other programs.

811.25 Debarred, Suspended, and Ineligible Contractors. Lists of debarred contractors used as a preventive measure against the solicitation or acceptance of offers from contractors that have been debarred from receiving government contracts. (*Destroy when superseded.*)

811.50 Contract Files. Original purchase orders, contracts and other contract documents as described in FAR 4.803 and DFARS 204.803 accumulated in purchasing activities.

a. Transactions more than \$25,000. Destroy 6 years and 3 months after final payment.

b. Transactions of \$25,000 or less and construction contracts under \$2,000. Destroy 3 years after final payment.

Exception: These dispositions do not apply to any records pertaining to outstanding exceptions, unsettled claims for or against the United States, incomplete investigations, cases pending or under litigation, or similar matters.

811.75 Contract Snapshot Reports. Computer generated reports that provide a snapshot of a particular week in the execution of a contract, used as a management tool in determining the progress of a contract. (*Destroy after 6 months, or when superseded, whichever is sooner.*)

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GRS 3,
Item 3(a)

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GRS 20,
Item 3,
GRS 3.
Item 3

812. CONTRACTING ANALYSIS. Relates to the development, monitoring, coordination and publication of implementing policies and programs. Includes analysis and establishment of overall policies and activities including ADP systems support needs.

812.10 Policies, Procedures, Plans and Programs. Legislative initiatives, protests, complaint letters, basis' for change, investigations and analyzes, exemption/deviation requests, implementing guidance, and related backup materials and correspondence used to standardize contract clauses, and assess impact of legislation, for the ultimate development, evaluation, and publication of policies, procedures, plans, and programs. (*Destroy when superseded, obsolete, or no longer needed.*)

NEW

812.30 Information Requests. Copies of requests for information from contractors, cover letters, responses to requests and related backup data. (*Destroy 2 years after date of request.*)

NEW

812.50 Inquiries and Reviews. Copies of Acquisition Management reviews; suppliers protests; Hotline, Fraud, Waste and Abuse and similar reviews and audits, related analyzes, responses and backup materials used to follow-up on actions required as a result of the review or audit. (*Destroy when superseded or no longer needed for reference.*)

NEW

812.70 Delegations of Authority/Warrants. Lists, correspondence and related backup materials used to issue buying authority and impose limits to that authority. (*Destroy when superseded or when authority has expired.*)

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812.90 Emergency Procurement Plan. Copies of Basic Emergency Plans and mobilization plans from DLA and field activities. Includes communication records, messages, document transmittal forms and correspondence generated as a result of participation in special exercises. (*Destroy when obsolete, superseded, or no longer needed.*)

NEW

813 SOURCE DEVELOPMENT. Relates to the management of competition initiatives and efforts, providing operational control and coordination support for enhancing competition, establishment and management of competition goals.

813.30 National Stock Number (NSN) Files. Source requirement lists, data on procurement and pricing, contractor product qualification correspondence, item queries, records of significant contract events, evaluations of competition achievement reports, recommendations for contract awards, lists and reports of awards, incentive award nominations and approvals, performance recognition data sheets, industry correspondence, acquisition plan review sheets and related printouts, market surveys and research to develop sources, communication records, form letters, and correspondence used to establish competition initiatives, search and locate new sources of selected items, consider proposed noncompetitive procurement actions and future competition screening, monitor and publicize incentive programs for increasing competition. (*Destroy when item is obsolete, item purchases have ceased, or when no longer needed.*)

~~**813.60 Unsolicited Proposals.** Unsolicited offers and proposals from industry and related correspondence used to coordinate unsolicited proposals. (*Destroy when obsolete or no longer needed.*) (*Destroy 1 year after date of award or final payment, whichever is later.*)~~

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GRS 3,
Item 5

814. PRICING. Relates to providing analysis and other technical advice on cost, price and financial matters.

814.10 Pricing Management. Documents relating to the overall administration of pricing functions. *(Destroy six years after supersession or obsolescence.)*

NEW

814.20 Pricing and Finance Policy and Programs. Documents relating to the implementation of pricing policies and related regulations and instructions, and the conduct and reporting of pricing programs. *(Destroy six years after supersession or obsolescence.)*

NEW

814.30 Pricing Registers. Registers maintained to record and control the assignment of preaward price analysis requests, postaward overpricing reviews, voluntary refund efforts, contract audit follow-up, and other reviews and assistance provided by pricing. *(Destroy six years after final entries are made on all procurement actions entered for a fiscal year.)*

NEW

814.50 Contractor Pricing General. Contractor catalogs, price lists, financial statements, correspondence and other pricing and financial information and reports of externally and internally performed reviews, along with all supporting documents, relevant to the estimating, pricing, accounting, billing and financial policies, procedures, practices, and capability/status of specific contractors. *(Destroy after five years, except documents associated with controversial matters or which establish a historical pricing data bank or record shall be retained beyond the aforementioned period until their purpose has been served and then destroyed.)*

NEW

814.70 Price/Cost Analysis. Correspondence, reports, and all supporting documents of price/cost analyses in support of a specific contract action, including preaward pricing, contract repricing, terminations, etc. *(Destroy after nine years if the resulting contract action is subject to price reduction due to defective cost or pricing data, catalog data, etc; otherwise, destroy after four years; except that documents associated with controversial matters shall be retained beyond the aforementioned period until their purpose has been served and then destroyed.)*

NEW

814.90 Post Award Overpricing. Correspondence, reports, and all supporting documents of postaward reviews of potential overpricing and recoupment actions with an award or group of awards involving a specific National Stock Numbered item or group of items. *(Destroy after eight years if related to reviews of items that achieved high visibility, (e.g., via a newspaper article or public hearing); otherwise, destroy after four years; except that documents associated with controversial matters shall be retained beyond the aforementioned period until their purpose has been served and then destroyed).*

NEW

815 OPERATIONS. Relates to the provision of centralized, specialized contracting support services.

815.20 Support Services. Bidders lists, contract bids, commodity listings, mailing lists, solicitations and offers, contract amendments, no bid responses, late bids, notices of late receipt, mailing list applications, mailing list removal requests, form letters, and related correspondence and documentation used for the preparation of abstracts, conducting bid openings, and classifying bidder capabilities. *(Destroy when superseded, obsolete, or no longer needed.)*

815.40 ADP Control. Copies of purchase requests, purchase orders, modifications, contracts, production progress reports, delay in delivery notices, and large purchase award worksheets used to input data to an automated system and provide a reference for input error identification and correction. *(Destroy after 2 years.)*

~~**815.60 Award Rejects.** Computer printouts used to identify post award rejects, validate shipment receipts and expenditure violations. *(Destroy after buyer corrects discrepancy.)*~~

815.80 Acquisition History File. Copies of solicitations, abstracts and cards used to review acquisition assignments and report infringements that can not be resolved. *(Destroy when no longer needed.)*

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NEW

817 PRODUCTION. Relates to manufacturing engineering research, production management, industrial preparedness, and industrial resource management support to the contracting and production program.

817.10 Manufacturing Engineering Research. Documents concerning manufacturing technology programs, industrial modernization incentives programs, and planning, programming, and budgeting actions consistent with the needs of the various developmental projects. (*Destroy when superseded, obsolete, or no longer needed.*)

NEW

817.20 Production Management. Documents relating to acquisition plans, economic production runs, economic buys, production lead times, industry capacity, contracting data packages, pre-award surveys, technical guidance on production matters, contractor performance, value engineering/analysis, other production cost reduction programs, and planning, programming, and budgeting actions consistent with the needs of production management. (*Destroy when superseded, obsolete, or no longer needed.*)

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817.30 Contractor Performance. Contract performance, delinquency and discrepancy reports used for pre-award review and to evaluate contractor performance and provide information and recommendations on contractor performance. (*Destroy after 1 year.*)

NEW

817.40 Industrial Preparedness. Documents relating to emergency/mobilization requirements, industry capacity/capability, mobilization production planning schedules, industry impact and conversion capability, mobilization lead times, supporting the peacetime contracting mission, remedial actions to resolve deficiencies, production base analysis development, industrial plant equipment and tooling requirements, and planning, programming, and budgeting actions consistent with the needs of industrial management. (*Destroy when superseded, obsolete, or no longer needed.*)

NEW

817.50 Mobilization Planning. Documents relating to DLA mobilization plans (BEP and FABEP) to include correspondence relating to DLA emergency support plans, staffing, and mission requirements. (*Destroy when superseded, obsolete, or no longer needed.*)

NEW

817.70 Contract Locator. Contract locator cards, registers, data sheets, and summary listings used to track the location of contract files. (*Destroy when related contract file is destroyed.*)

NEW

818 CONTRACT REVIEW. Relates to the assurance of high quality contracting actions during all phases of the contracting process.

818.10 Contract Evaluations. 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, insure contracting data is adequate and insure applicable clearances have been obtained. *(Destroy 3 years after contract is awarded or when issue is no longer significant, whichever is later.)*

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818.20 Cancelled Procurement Requests (RFP/IFB Issued). Documents relating to proposed procurement actions which are cancelled 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. *(Destroy 5 years after cancellation.)*

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818.30 Evaluation History File. Registers, logs, and checklist used for future contract evaluation analyses. *(Destroy after 5 years.)*

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818.50 Contracting Policy Studies. 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. *(Destroy when no longer needed or when issue is no longer significant, whichever is sooner.)*

NEW

818.70 Contract Announcements. Contract announcement forms, correspondence, and related documentation used to announce contracts of \$5 million and over. *(Destroy when related contract file is destroyed.)*

NEW

818.90 Internal Control Processes. Annual certifications, management control plans, risk assessment schedules, vulnerability assessments, test results, instructional material, special study results, audit reports, and related correspondence, forms and checklists used to review, test and evaluate the effectiveness of the internal control processes and administrative/technical controls to prevent fraud, waste, abuse, and mismanagement in contracting. *(Destroy after 10 years or when no longer needed, whichever is sooner.)*

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