

REQUEST FOR RECORDS DISPOSITION AUTHORITY

(See Instructions on reverse)

LEAVE BLANK

JOB NO.

N1-361-91-13

DATE RECEIVED

5-23-91

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disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.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

Planning & Resource Management Division

4. NAME OF PERSON WITH WHOM TO CONFER

Mr. Allen B. Easterly

5. TELEPHONE EXT.

274-6234

DATE

6/4/92

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 <i>17 May 91</i>	C. SIGNATURE OF AGENCY REPRESENTATIVE <i>Preston B Speed</i> PRESTON B. SPEED	D. TITLE Chief, Administrative Management Branch
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7. ITEM NO.	8. DESCRIPTION OF ITEM <i>(With Inclusive Dates or Retention Periods)</i>	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN <i>(NARS USE ONLY)</i>
	<p>The enclosed is a revision of the records disposition schedule for our Directorate of Contract Management. This revision will supersede the 830, 835, 840, and 866 series of our Files Maintenance and Disposition Manual (DLAM 5015.1). Proposed file number 831.05 will not have a retroactive impact and is scheduled for implementation in FY 92.</p>		

Copies sent to agency, NCF 6/19/92

830 CONTRACT MANAGEMENT. Relates to the directing and accomplishment of responsibilities in the administration of contracts including: contract administration, evaluation and negotiation; cost/price and financial analysis, production surveillance; property management; transportation and packaging, competition advocacy; and other functions as assigned.

830.01 Contracting Program Files. Documents related to the formulation, management, administration and execution of individual Contracting 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.*)

830.02 Contracting Correspondence Files. Documents providing general direction, staff guidance and reporting in the management and administration of Contracting 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.*)

831 CONTRACT OPERATIONS. Relates to the providing of technical guidance and exercise of staff supervision over the implementation of contract administration, evaluation and negotiation; development and coordination of policies, procedures, plans, and programs; providing leadership and administering periodic reviews of contract management functions.

831.05 Contracts. Individual and subcontract case files accumulated from the administration of individual contracts and consisting of purchase orders, contracts, comparable instruments, and other documentation, as applicable, as required by FAR.

a. Part A Contracts. Upon completion of contract, place in appropriate closed file depending on dollar value. Cut off closed files at annual or more frequent intervals, hold a comparable period, and unless eligible for immediate disposal, retire for ultimate disposal as indicated:

(1) Transactions of more than \$25,000. Destroy 6 years and 3 months after final payment.

(2) Transactions of \$25,000 or less. Destroy 3 years after final payment.

b. Part B Contracts. Destroy when completed and finally paid.

831.10 Cost Accounting. Federal Acquisition Regulation (FAR) and Administration Contracting Officer (ACO) Cost Accounting Standards (CAS). audit reports and findings, pricing reviews, contractor disclosure statements and revision requests, adequacy/inadequacy determination letters, noncompliance decisions, negotiation memorandums, correspondence with contractors relating to cost impacts and proposals used for research and review in the administration of cost accounting standards and compliance. (*Destroy when superseded, obsolete, or no longer needed for reference, whichever is sooner.*)

NEW

NEW

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NEW

831.15 Contractor Accounting System Review Records. DCAA approved/disapproved systems reports, pricing reviews, technical reviews, ACO disapproval letters, contractor correction notifications, revised DCAA reports, and related records used to monitor contractor accounting systems. *(Destroy after 3 years.)*

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831.20 Debarment and Suspension Files. Documents pertaining to contractor performance, correspondence, debarment recommendation letters, meeting minutes, notifications to buying activities, contractor rebuttals, debarment notification letters, Contractor Improvement Program (CIP) letters, and similar records related to contractor nonperformance issues. *(Destroy 2 years after debarment/suspension action lifted.)*

NEW

831.25 Administrative Contracting Officer (ACO, TCO/CACO) Appointment Files. Documents pertaining to the warranting of Contract Officers. *(Destroy 3 years after termination of appointment.)*

NEW

831.30 Contractor Disclosure Statements. Cost accounting standards board disclosure statements, revisions, ACO approval letters, and similar records related to contractor disclosure of Cost Accounting Standards (CAS) practices. *(Destroy when superseded or no longer needed.)*

NEW

831.35 Contractor System Reviews. 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. *(Destroy 3 years after subsequent review completed.)*

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831.40 Contractor Overhead Rate Files. Overhead rate proposals, DCAA audit reports, pricing reviews, conversation records, prenegotiation objectives, negotiations, correspondence, price negotiation memoranda, and related records. *(Destroy replaced by current rate file.)*

NEW

831.45 Contractor Master Subcontracting Plan. Review announcement letters, forms containing subcontracting plans, review findings, ACO approval/disapproval letters, and related records used to monitor subcontracting matters. *(Destroy after 2 years.)*

NEW

831.50 Consent to Subcontract Files. Subcontract information documents, review recommendations, ACO approval letter, and related documents used to ensure contractor compliance with subcontractor selection procedures. *(Transfer contents of file to Prime contract when closed.)*

NEW

831.55 Advance Agreement Files. Requests for interpretation of allowed costs on cost reimbursable contracts, documentation of agreement to allow costs, and related records pertaining to negotiations for treatment of costs. *(Destroy 1 year after final overhead rates are settled pertaining to those years covered by the advance agreement.)*

NEW

831.60 Novation Files. Novation requests, notarized copy of name change, correspondence, modification listing contracts affected, and related records pertaining to contractor name changes. *(Destroy a year after novated contracts are closed.)*

NEW

831.65 Forward Price Rate Agreement (FPRA) Files. Proposals, reviews, negotiations, contractor reports, cost monitor reports, tracking reports, and related records pertaining to predetermination of contract rates. *(Destroy after 6 years.)*

NEW

832 CONTRACT PROPERTY MANAGEMENT. Relates to the management, control, and disposition of Government property in the possession of contractors.

832.20 Contract Requirements and Obligations. Copies of financial reports provided by contractors reflecting Government property in their possession, and copies of contract closeout documents. *(Destroy 3 years after contract closeout.)*

NEW

832.40 Contractor Property Management. Surveys of contractors used to evaluate, approve, or effect remedial action of contractors Government property management systems. *(Destroy after 3 years.)*

NEW

832.60 Property Control Systems. Summaries of systems condition used to conclude all actions required to correct unsatisfactory property control systems. *(Destroy after 3 years.)*

NEW

832.80 Contractor Inventory Procedures. Contractor inventory disposition procedures and related correspondence used to approve, direct, and evaluate the adequacy of contractors procedures and systems for effecting the disposition of contractor inventories. *(Destroy when superseded, obsolete or no longer needed, whichever is sooner.)*

NEW

833 FINANCIAL SERVICES. Relates to the implementation of cost price and financial analysis, and contractor system reviews.

833.10 Price/Cost Analysis Case Files. Requests for price/cost analysis; pre-analysis assignment sheets; case file indexes; pricing checklists; requests for audit, technical or other assistance; intrinsic value review statements; contractor proposals; price analysis and audit reports; pre-analysis reviews; TACPs; contractor information; correspondence; work papers and related documentation used to perform price/cost analyses of contractor proposals; implement cost monitoring programs; analyze contractor requests for progress payments; conduct analyses of funding reports; perform reviews and evaluations of subcontracts and purchase orders; and to determine the impacts of contract costs, prices of overhead, allowability of costs, financial systems, cost accounting standards, advance agreements and similar items. *(Destroy after 4 years.)*

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833.20 Contractor Financial Capability. Financial statements, reports, card files, correspondence with banks, and related documentation used to perform financial analyses of contractors financial capabilities on pre-award surveys, and to maintain surveillance of contractors financial condition during contract performance. *(Destroy when contractor is no longer under ~~DLA~~ DLA cognizance.)*

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833.30 Estimating Systems Review File. Review requests, engineering reports, DCAA review schedule, meeting minutes, DCAA technical assistance

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request, final report, case disposition correspondence, and similar records related to performance of contractor estimating system reviews. (Destroy after 9 years.)

833.40 Overhead Activity. Review requests, contractor cost submissions, rate information, tracking data, price/cost analysis reports, audit, technical and overhead status reports, FPRA/FPRRs and formula pricing reviews, advance agreements, final overhead settlements, Independent Research & Development and Bid & Proposal, and similar records related to performance of contractor indirect cost reviews. (Destroy after 4 years.)

NEW

833.50 Cost Monitoring Activity. Cost monitoring plans, quarterly, annual and functional review reports, should cost reviews, audit and technical assistance reports on cost monitoring reviews, and similar records used to monitor costs at specific contractor locations. (Destroy after 3 years.)

NEW

833.60 Contractor Purchasing System Review (CPSR) Files. Review requests, checklists, correspondence, technical assistance requests, reports, recommendations, contractor responses, board of review invitations, board minutes, technical responses, contractor corrective action plan, evaluations of plan, summary report, and similar records accumulated as a result of reviewing contractor purchasing systems for compliance. (Destroy after 3 years.)

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833.70 CPSR Working Files. Spreadsheets, statistical reports, marketing materials and other related backup materials used to prepare CPSR reports. (Destroy after 3 years.)

NEW

833.80 Non-CPSR Special Studies. Study requests, conversation records, correspondence related to study findings, contractor replies, and similar records pertaining to special studies of contractor practices. (Destroy after 3 years. Except merge study with CPSR File if CPSR performed later.)

NEW

833.90 Contractor Insurance/Pension Reviews (CIPR). Review requests, data received from contractors and technical advisors, Insurance Pension Specialist reports, ACO decision documentation, and related backup materials such as spreadsheets, statistical reports, and technical data. (Destroy after 3 years.)

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834 INDUSTRIAL SUPPORT. Relates to the implementation of pre-award surveys, production surveillance and reporting, industrial resources and preparedness planning, and industrial labor relations.

834.10 Mobilization/Industrial Planning File. 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 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. (Destroy 2 years after end of planning year.)

NEW

834.20 Production Surveillance Files. Contract abstracts, modifications, production contract analysis and surveillance plan, correspondence, shipping documents, Quality Discrepancy Reports (QDRs), status requests, acceleration requests, progress payment records, and related documents pertaining to production activities. *(Destroy 1 year after completion of contract. Except contract in litigation, forward pertinent documents to assigned ACO.)*

NEW

834.25 Production Surveillance Requests and Status Reporting. Logs, status requests, analyses and reports relating to abstract data corrections, contractor progress payments, acceleration, delivery and similar areas used to perform production surveillance, follow-up and liaison; conduct progress payment evaluations, overtime analyses, miscellaneous surveys, and to report on progress and status. *(Destroy after 2 years.)*

NEW

834.30 Pre-award Surveys. 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. *(Destroy after 1 year.)*

NEW

834.40 Cost Element Analyses. 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. *(Destroy after 1 year.)*

NEW

834.50 Contractor Performance. Monthly and annual contractor performance reports used to evaluate and provide an annual history of contractor performance. *(Destroy after 1 year.)*

NEW

834.60 Industrial Plant Equipment (IPE)/Other Plant Equipment (OPE) Requests. Contractor requests, Industrial Plant Representative (IPR) review and recommendations, DIPEC screenings, and similar records related to contractor requests for IPE/OPE. *(Destroy after 5 years.)*

NEW

834.70 Priorities and Allocations. Contractor requests, IPR review and recommendations, and similar documents related to processing of requests for special assistance for materials. *(Destroy after 5 years.)*

NEW

834.80 Utilization Surveys. Survey report, backup materials, random sample findings, rental audits, and similar records related to utilization survey of active Plant Equipment Package (PEP) and government furnished equipment to ensure utilization limited to government contract items. *(Destroy after 5 years.)*

834.90 Special Tooling Requests. Special tooling and test equipment request forms, checklists, backup materials, reports, recommendations, and similar records related to contractor requests. *(Destroy after 5 years or when no longer needed whichever is later.)*

NEW

835 TRANSPORTATION AND PACKAGING. Relates to implementation of transportation, traffic management, packaging, materials handling, and travel contract management functions.

835.10 Transportation and Packaging Reviews, Surveys and Analyses. Cost analyses, TCMD's approval alerts, evaluation worksheets, printouts, listings, routing guides, shipping data, transportation and performance information, contractor information and data, copies of government bills of lading, government transportation requests, pre-award surveys, contractor packaging capability reviews, related correspondence and backup materials used to review, analyze or survey contractor information to determine contractor capabilities, physical distribution patterns, nature and adequacy of transportation and packaging requirements, costs, terms and conditions; to participate in pre-award surveys, post award conferences/orientations, contractor estimating methods, contractor purchasing systems, and should cost reviews; to service applications for GBLs, CBLs and TCMDs, and to identify contractors requiring orientation. *(Destroy after 3 years.)*

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835.20 Issuance Control. Listings and printouts of GBLs, GTRs, and MTAs, contractor travel authorizations, logs and notices of receipt used to control the issuance and use of GBLs, GTRs, and MTAs. *(Destroy after 3 years.)*

NEW

835.30 Tonnage Distribution. Listings, printouts and applications for GBLs used to ensure proper distribution of tonnage to carriers. *(Destroy after 3 years.)*

NEW

835.40 Contractor Coordination. Information on contractors, shipment data, motor freight classifications, related correspondence and backup materials used to assure compliance with common carrier tariff rules and regulations, provide freight classification, routing and rating technical information to contractors, and to maintain liaison and coordination with contractors and common carrier offices. *(Destroy when superseded, obsolete or upon completion of contract.)*

NEW

835.50 Contractor Assistance. Cost estimates, technical cost proposal analyses, trip reports, related correspondence and backup materials used to assist contractors and government personnel in preservation, packaging, packing, and marking matters pertaining to contract items, Defense industrial production equipment, and other government owned property; to review, approve and ensure adequacy of contractor packing/materials handling functions, price and cost proposals, data, and design drawings. *(Destroy after 3 years.)*

NEW

835.60 Procedure A Contractor File. Letters of traffic management delegation, correspondence and information related to changes in traffic management regulations used to implement Procedure A traffic management procedures and evaluate contractor ability to perform those services. *(Destroy when superseded, obsolete, or contractor no longer required to provide Procedure A services.)*

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~~**835.70 Hazardous/Protected Material Transportation.** Documents relating to contracts for packaging, marking, and transportation of hazardous, sensitive, or classified materials *(Destroy when superseded, obsolete, or no longer needed for reference.)*~~

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836 TERMINATION SETTLEMENT. Relates to the settlement of contracts terminated for the convenience of the Government.

836.30 Termination Docket Files. Termination file check list, termination notice and related documents, contract termination status report, contract or cross-reference sheet, Termination Contracting Officer (TCO) delegations/ revocations, memorandum of initial and other conferences, contractor no-cost letter, miscellaneous documents (correspondence), prime contractor's settlement proposal, partial payment applications and related documents, audit reports, technical reports, format-letter notification-excess funds, list and disposition of subcontractors' claims not included in settlement memorandum; documents supporting subcontract settlements, documents pertaining to counterclaims, set-offs, appeals, litigations, etc., subcontractor and contractor plant clearance reports, settlement memorandum, settlement review board actions, settlement agreement, amendment, or unilateral determination, and notice to and or concurrence of assignees, guarantor, and sureties accumulated as a result of contract terminations for the convenience of the government. (*Transfer to responsible ACO after case settled.*)

836.60 Subcontract Settlements. Inventory schedules, DCAA audit, TCO approval letter, contract, amendments, termination notice, technical reports, copy of negotiation summary, settlement agreement, contract termination proposal and inventory schedule, inventory verification surveys, inventory disposal reports, certificates of current cost and pricing data, and similar records related to government approval of contractor settlements with subcontractors. (*Transfer to responsible ACO after prime contract settled.*)

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