

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-374-89-004

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 2/24/2021

ACTIVE ITEMS

These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

Items 1402.02 through 1402.11, 1402.13, 1402.15, 1402.16, 1402.17 and 1402.20 through 1402.27.

SUPERSEDED AND OBSOLETE ITEMS

The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided below as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

N1-374-02-001 supersedes items 1402.12, 1402.14, 1402.18, and 1402.19.

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

LEAVE BLANK

JOB NO.

NI-374-89-4

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

DATE RECEIVED

3/22/89

1. FROM (Agency or establishment)

Defense Nuclear Agency

NOTIFICATION TO AGENCY

2. MAJOR SUBDIVISION

Command Services Directorate

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disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.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

3. MINOR SUBDIVISION

Support Services Division (Asst Dir/Log & Engr)

4. NAME OF PERSON WITH WHOM TO CONFER

Pauline E. Korpanty

5. TELEPHONE EXT.

325-1162

DATE

6/15/89

ARCHIVIST OF THE UNITED STATES

Claudia J. Miller

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 7 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.

B. DATE

17 Oct 88

C. SIGNATURE OF AGENCY REPRESENTATIVE

Pauline E. Korpanty

D. TITLE

DNA Records Management Officer

7. ITEM NO.

27 items

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

1402 PROCUREMENT OPERATIONS

Attached are six pages (2-7) for DNAI 5015.4B, Defense Nuclear Agency Functional Filing System.

9. GRS OR SUPERSEDED JOB CITATION

~~NI-374-81-44, 1401, 1401.02, .03, .06, .09, .11, .16, .17, 4.9, 20, 1402.04, GRS 3, #13~~

10. ACTION TAKEN (NARS USE ONLY)

~~1402~~ PROCUREMENT OPERATIONS. Materials supporting decisions and reports related to DNA procurement operations.

~~1402.01~~ CONTRACTING OFFICER DESIGNATION FILES. (This file item replaces what was 1401.19 in the approved schedule.) Documents reflecting the designation and recession of contracting officers and contracting technical managers which include the specific procurement authorities delegated. (NCl-374-81-44, 1401.19, 12)

~~DESTROY 6 YEARS AFTER RECESSION OR TERMINATION.~~

~~1402.02~~ CONTRACT TECHNICAL MANAGERS DESIGNATIONS. Backup and status information related to appointments of CTMs within the DNA system.

Proposed Disposition

~~DESTROY 6 YEARS AFTER RECESSION OR TERMINATION.~~

~~1402.03~~ CONTRACTOR, GENERAL INFORMATION. (Subordinate files by contractor--used for review of FPRAs, Overhead Rates, Cost Accounting Standards issues, Contractor performance records, etc.) Documents maintained for the purpose of determining contractors responsibility as defined in the Federal Acquisition Regulation (FAR). Included are brochures; replies to questionnaires; financial data such as balance sheets, profit and loss statements, cash forecasts, financial history of contractor and affiliated concerns; current and past production records; personnel data; lists of tools, equipment, and facilities analyses of operational control procedures; and similar documents. Affirmative determinations of responsibility signed by the appropriate contracting officer are to be filed in the pre-award portion of the applicable contract files.

Proposed Disposition

~~DESTROY WHEN SUPERSEDED OR OBSOLETE, EXCEPT THAT ANY DOCUMENTS PERTAINING TO SPECIFIC CONTRACTS WILL BE DESTROYED 6 YEARS AFTER FINAL PAYMENT OF RELATED CONTRACT(S).~~

~~1402.04~~ COST/PRICING (GENERAL). (This file item replaces what was 1402.04 in the approved schedule.) Documents related to negotiating with commercial concerns as to future pricing methods for improving pricing on contracts and negotiating price adjustment required by contract clauses, such as price escalation and price redeterminations. Included are reports, pricing agreements, financial statements, production records, and similar documents. Files relating to a specific contract will be filed therewith. (NCl-374-81-44, 1401.03)

~~DESTROY 4 YEARS AFTER ESTABLISHMENT OF A REVISED PRICING AGREEMENT OR WHEN THE COMMERCIAL CONCERN IS NO LONGER CONSIDERED A SOURCE OF SUPPLY, WHICHEVER IS EARLIER.~~

~~1402.05~~ DEBARRED, SUSPENDED, AND INELIGIBLE CONTRACTORS. (This file item replaces what was 1401.09 in the approved schedule.) Documents relating to the suspension of bidders that prohibits contractual relationship with DOD. Included are lists of debarred, ineligible or suspended bidders; status reports and recommendations relating to bidders

appearing on the lists; modifications, deletions, and additions to the lists; and similar documents. ~~(NCl-374-81-44, 1401.09)~~

Proposed Revised Disposition

CUT OFF ANNUALLY. RETIRE TO WMRC 3 YEARS AFTER CUTOFF IF VOLUME WARRANTS (MORE THAN 1 CUBIC FOOT); DESTROY 10 YEARS AFTER CUTOFF.

~~1402.06 ADVANCED PROCUREMENT PLANNING. (This file item replaces what was 1401.11 in the approved schedule.) Documents relating to the release of advanced planning information to industrial firms for their use in future planning and to aid in submitting bids for required material. Included are synopses of advanced procurement planning information, lists of bidders, inquiries from industrial firms and answers thereto, reports, and related papers. (NCl-374-81-44, 1401.11, 10)~~

~~DESTROY WHEN 6 YEARS OLD.~~

~~1402.07 INTERDEPARTMENTAL PURCHASE REQUESTS. (This file item replaces what was 1401.17 in the approved schedule.) Documents accumulating in DNA staff offices and National Inventory Control Points relating to procurement of supply items by DNA for other departments or procurement by other elements of DNA. Included are copies of purchase requests, amendments thereto, and related correspondence. (NCl-374-81-44, 1401.17, 15)~~

~~DESTROY WHEN 5 YEARS OLD.~~

~~1402.08 DETERMINATIONS AND FINDINGS. (This file item replaces what was 1401.02 in the approved schedule.) Documents related to determinations and findings required prior to negotiation of contracts. Included are determinations, findings, and directly related correspondence. (NCl-374-81-44, 1401.02)~~

~~DESTROY WHEN 6 YEARS OLD.~~

NOTE: Officers administering contracts which result from the determinations and findings will file the documents with the resulting contract.

~~1402.09 CONTRACT REVIEW BOARD. (This file item replaces what was 1401.05 in the approved schedule.) Documents used by supervisory headquarters reviewing contracts for such aspects as legal sufficiency, appropriateness of award, reasonableness of price and cost, and similar matters. Included are appointment of review board members, copies of contracts, worksheets, and related correspondence. (NCl-374-81-44, 1401.05)~~

Proposed Revised Disposition

CUT OFF ANNUALLY. RETIRE TO WMRC 3 YEARS AFTER CUTOFF IF VOLUME WARRANTS (MORE THAN 1 CUBIC FOOT); DESTROY 10 YEARS AFTER CUTOFF.

1402.10 SOURCE SELECTION EVALUATION BOARD. Copies of supporting documentation reflecting the conduct of the Source Selection Board chaired by the Director, AM.

NOTE: Official copies of source selection memoranda will be maintained in the

individual contract file.

Proposed Disposition

CUT OFF ANNUALLY. RETIRE TO WNRC 3 YEARS AFTER CUTOFF IF VOLUME WARRANTS (MORE THAN 1 CUBIC FOOT); DESTROY 10 YEARS AFTER CUTOFF.

1402.01 SYNOPSIS TRANSMITTALS. Record copy of all synopsis statements issued by DNA AM to the Commerce Business Daily.

Proposed Disposition

CUT OFF ANNUALLY. RETIRE TO WNRC 3 YEARS AFTER CUTOFF IF VOLUME WARRANTS (MORE THAN 1 CUBIC FOOT); DESTROY 10 YEARS AFTER CUTOFF.

1402.02 WORKLOAD REPORTS

a. Weekly PR Reports. Record copy of the follow-up reports issued by DNA AM to assure PR cycle time is adhered to.

b. Contracts Drafted Monthly. AM management data showing progress of contract drafter effort in the Administrative Division.

c. End of Year, FY 1986. Correspondence and management tracking data used in closing out FY 1986.

d. End of Year, FY 1987. Correspondence and management tracking data used in closing out FY 1987.

e. End of Year, FY 1988. Correspondence and management tracking data used in closing out FY 1988.

Proposed Disposition

CUT OFF ANNUALLY. RETIRE TO WNRC 3 YEARS AFTER CUTOFF IF VOLUME WARRANTS (MORE THAN 1 CUBIC FOOT); DESTROY 10 YEARS AFTER CUTOFF.

1402.13 PROTESTS AND CLAIMS. (This file item replaces what was 1401.06 in the approved schedule.) Documents relating to actions taken with respect to correcting mistakes in bides and in settling protests of ward. Included are copies of bids, contracts, and notices of awards; decisions; copies of statutes; and related papers. (NC1-374-81-44, 1401.06)

Office authorized to perform final review:

DESTROY 10 YEARS AFTER FINAL ACTION OR DECISION.

1402.14 CONTRACTS COMPLETED AND CLOSED OUT. Backup coordination and procedural guidance related to contract close-out procedures. This file contains procedural guidance supporting individual close-out work accomplished in File 201.05a.

Proposed Disposition

CUT OFF ANNUALLY. RETIRE TO WNRC 3 YEARS AFTER CUTOFF IF VOLUME WARRANTS (MORE THAN 1 CUBIC FOOT); DESTROY 10 YEARS AFTER CUTOFF.

1402.05 FIELD COMMAND--INCLUDING DELEGATIONS OF AUTHORITY. Policy and

procedural direction related to Headquarters AM staff surveillance of Field Command contracting. This includes delegations of general procurement authority.

Proposed Disposition

CUT OFF ANNUALLY. RETIRE TO WNRC 3 YEARS AFTER CUTOFF IF VOLUME WARRANTS (MORE THAN 1 CUBIC FOOT); DESTROY 10 YEARS AFTER CUTOFF.

1402.16 AFRI--INCLUDING DELEGATIONS OF AUTHORITY. Policy and procedural direction related to Headquarters AM staff surveillance of AFRI contracting. This includes delegations of general procurement authority.

Proposed Disposition

CUT OFF ANNUALLY. RETIRE TO WNRC 3 YEARS AFTER CUTOFF IF VOLUME WARRANTS (MORE THAN 1 CUBIC FOOT); DESTROY 10 YEARS AFTER CUTOFF.

1402.17 SDIO. Policy and procedural guidance related to handling SDIO procurements as an SDIO contracting agent. Also includes AM Director's duties as member of the SDIO Contract Policy Steering Group.

Proposed Disposition

CUT OFF ANNUALLY. RETIRE TO WNRC 3 YEARS AFTER CUTOFF IF VOLUME WARRANTS (MORE THAN 1 CUBIC FOOT); DESTROY 10 YEARS AFTER CUTOFF.

1402.18 PROCUREMENT ACTION REPORTING. (This file item replaces what was 1401.16 in the approved schedule.) Documents relating to the reporting system designed to provide statistics concerning placement, status, delivery, and settlement of procurement actions. Included are special, quarterly, procurement activity, status, monthly, contract settlement, semiannual, consolidated, and summary reports, and directly related correspondence. All the above reports, except consolidated reports and summaries, will be filed and disposed of with the related contracts. (NC1-374-81-44, 1401.16)

DESTROY 2 YEARS AFTER THE END OF THE FY OF PREPARATION.

1402.19 GOVERNMENT PROPERTY/FACILITIES. Policy and procedural guidance plus backup related to Government property in the possession of DNA contractors (or the acquisition thereof).

a. GODWIN INITIATIVES. Procedural guidance and quarterly reporting related to the 1987 Godwin Initiatives.

CUT OFF ANNUALLY. RETIRE TO WNRC 3 YEARS AFTER CUTOFF IF VOLUME WARRANTS (MORE THAN 1 CUBIC FOOT); DESTROY 10 YEARS AFTER CUTOFF.

~~1402.20 TAX EXEMPTION CERTIFICATES. (This file item replaces what was 1401.20 in the approved schedule.) Documents relating to the issue of tax exemption certificates which indicate proof of exemption of taxes excluded from the contract price under procurement regulations. Included are US Government tax exemption certificates, US Government tax exemption or identification cards, and related documents. (NC1-374-81-44, 1401.20) (GRS 3, #13)~~

~~DESTROY 3 YEARS AFTER PERIOD COVERED BY RELATED ACCOUNT.~~

1402.21 ROCHESTER INSTITUTE OF TECHNOLOGY (RIT) AND GRANT POLICY. Material related to FY 1986 Congressionally mandated grant to RIT.

Proposed Disposition

CUT OFF ANNUALLY. RETIRE TO WNRC 3 YEARS AFTER CUTOFF IF VOLUME WARRANTS (MORE THAN 1 CUBIC FOOT); DESTROY 10 YEARS AFTER CUTOFF.

1402.22 DARPA. Policy and procedural direction related to Headquarters DNA AM staff surveillance of DARPA contracting. This includes delegations of general procurement authority.

Proposed Disposition

CUT OFF ANNUALLY. RETIRE TO WNRC 3 YEARS AFTER CUTOFF IF VOLUME WARRANTS (MORE THAN 1 CUBIC FOOT); DESTROY 10 YEARS AFTER CUTOFF.

1402.23 CONTRACTOR HANDLING OF CLASSIFIED MATERIAL. Procedural guidance and correspondence related to contractor handling of classified material.

Proposed Disposition

CUT OFF ANNUALLY. RETIRE TO WNRC 3 YEARS AFTER CUTOFF IF VOLUME WARRANTS (MORE THAN 1 CUBIC FOOT); DESTROY 10 YEARS AFTER CUTOFF.

1402.24 CONFLICTS OF INTEREST AND ETHICS. Procedural guidance and samples related to both Organizational Conflicts of Interest (OCI) and personal conflicts and ethics.

Proposed Disposition

CUT OFF ANNUALLY. RETIRE TO WNRC 3 YEARS AFTER CUTOFF IF VOLUME WARRANTS (MORE THAN 1 CUBIC FOOT); DESTROY 10 YEARS AFTER CUTOFF.

1402.25 CONTRACT DELIVERABLES. Procurement guidance related to contract deliverables.

a. Reports. Significant reports related to delivery status.

Proposed Disposition

CUT OFF ANNUALLY. RETIRE TO WNRC 3 YEARS AFTER CUTOFF IF VOLUME WARRANTS (MORE THAN 1 CUBIC FOOT); DESTROY 10 YEARS AFTER CUTOFF.

1402.26 JOHNSTON ATOLL. Correspondence and backup related to DNA and DOE contracting and support of the Atoll, specifically the recompetition planned for FY 1990.

Proposed Disposition

CUT OFF ANNUALLY. RETIRE TO WNRC 3 YEARS AFTER CUTOFF IF VOLUME WARRANTS (MORE THAN 1 CUBIC FOOT); DESTROY 10 YEARS AFTER CUTOFF.

1402.27 SRI EXCEPTION. Correspondence and pertinent documents related to Director's FY 1987 decision to maintain SRI Poulter Labs as an essential research capability.

Proposed Disposition

CUT OFF ANNUALLY. RETIRE TO WNRC 3 YEARS AFTER CUTOFF IF VOLUME WARRANTS (MORE THAN 1 CUBIC FOOT); DESTROY 10 YEARS AFTER CUTOFF.