

Request for Records Disposition Authority

Records Schedule Number **DAA-0558-2013-0003**

Schedule Status **Approved**

Agency or Establishment **Defense Contract Management Agency**

Record Group / Scheduling Group **Records of the Defense Contract Management Agency**

Records Schedule applies to **Agency-wide**

Schedule Subject **Contract Administration Files**

Internal agency concurrences will be provided **No**

Background Information **Contract Administration Service records relate to DCMA's mission to provide contract administration services to the Department of Defense and its partners to ensure the delivery of quality products and services to the war fighter, on time and on cost. Records document the comprehensive contract administration service process, including but not limited to evaluation and negotiation, cost/price and financial analysis, production surveillance, property management, transportation and packaging, competition advocacy**

This schedule has been submitted to correct an oversight in schedule N1-558-10-10. When schedule N1-558-10-10 was going through the NARA approval process, DCMA and NARA discussed adding a provision to the disposition for item 800 02a1. This provision was that records due for destruction prior to Calendar Year 2012 under previously approved authorities should be destroyed in accordance with those previous authorities, while all other records should be destroyed in accordance with the disposition in N1-558-10-10 [Such a provision is consistent with 36 CFR 1226 14(d)]. However, due to an oversight, DCMA and NARA failed to include this provision for item 800 02a1 when Schedule N1-558-10-10 was sent for approval by NARA. This latest schedule (DAA-0558-2013-0003) corrects this oversight.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
1	0	1	0

GAO Approval

Outline of Records Schedule Items for DAA-0558-2013-0003

Sequence Number	
1	Contract Administration Services – Contract Files
1 1	800 02a1 Contract Administration Services - Contract Files, Office of Primary Responsibility Disposition Authority Number DAA-0558-2013-0003-0001

Records Schedule Items

Sequence Number	
1	<p>Contract Administration Services – Contract Files Records relate to DCMA mission of providing contract administration services to agencies as outlined in the FAR or in DCMA's agreement or similar document with the contracting office or stakeholder. This includes business and technical support at multiple locations, disposition of contract specific guidance and instructions, resolution of contract disputes, financial services, financial services include review of progress payments, vouchers, and invoices, performance and measurement which includes contractor accountability, quality assurance, transportation, and specialized safety services. Contract records include but are not limited to those specified in the FAR and DFARS and agreements with the contracting office or stakeholder. Examples of the types of records are</p> <p>1 BUSINESS SUPPORT RECORDS</p> <p>A Documents on which action was taken or that reflect actions by the contract administration office pertinent to the contract, including records of Boards of Review</p> <p>B Any document modifying the normal assignment of contract administration functions and responsibility for a specific contract</p> <p>C Consent to subcontract or purchase</p> <p>D Contract completion and closeout documents</p> <p>E Copy of the contract and all modifications, together with official record copies of supporting documents executed by the contract administration office</p> <p>F Cost or pricing data, Certificates of Current Cost or Pricing Data, information other than cost or pricing data, cost or price analyses, and other documentation supporting contractual actions executed by the contract administration office</p> <p>G Documentation regarding termination actions</p> <p>H Documents supporting advance or progress payments</p> <p>I Records of contract payments and supporting documents, surety records and bonds</p> <p>J 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</p> <p>K Insurance policies or certificates of insurance or references to them</p> <p>L Legal Advice</p> <p>M Orders issued under the contract</p> <p>N Post-award conference records</p> <p>O Property administration records</p> <p>P Purchasing system information</p> <p>Q Security requirements</p> <p>R Requests for equitable adjustment Claims and Government demands for payment</p> <p>S Issuance of Bills of Lading in performance of Contract Administration Services (Refer to 800 04 - Foreign Military Sales Bills of Lading)</p> <p>2 TECHNICAL SUPPORT RECORDS</p> <p>A Records of engineering support services that relate to tests and evaluations, technical system reviews, assessments of contractor performance; analyses of contractor reliability and maintainability/ integrated logistics support, and records of monitor contractor manufacturing and product support activities, assessments of contractor management and technical systems required by the contract</p> <p>B Records documenting oversight of contractor flight operations</p> <p>C Product acceptance records</p> <p>D Quality assurance records related to product testing, conducting audits and predictive analyses, quality, material and field discrepancy reports</p> <p>E Records of specialized safety services</p>

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including safety surveillance, technical consultation and specialized safety training as required, clarify contractual safety requirements for contractors, contractor responses to corrective action requests, post-award orientation conferences, reviews of specifications/contracts relative to safety requirements, records of safety-related investigations as requested by contractors

800 02a1 Contract Administration Services - Contract Files, Office of Primary Responsibility

Disposition Authority Number DAA-0558-2013-0003-0001

Records maintained by office of primary responsibility or respective systems for retaining official record (record serves as the legal copy) Includes closed contract files contained in the Electronic Document Workflow (EDW) records management system and structured data in the Closed Contract Database (CCDB), or their successors This includes any records maintained on a DCMA website NOTE For records that are due for destruction prior to January 1, 2012 according to the previous authorities as listed in the crosswalk attached to this schedule, follow the disposition in the previous authority For all other records, follow the disposition for this item (800 02a1)

Final Disposition Temporary

Item Status Pending

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? Yes

GRS or Superseded Authority Citation N1-558-10-10, item 800 02a1

Disposition Instruction

Cutoff Instruction Completion of the contract, or final payment or termination of the program effort, or settlement of disputes/incidents, whichever is later

Retention Period Destroy/delete no less than 6 years and 3 months, and no more than 30 years after cutoff

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
07/10/2013	Certify	Gilbert Smeltzer	Records Manager Support	Defense Contract Management Agency - Defense Contract Management Agency
08/08/2013	Submit for Concurrence	Richard Noble	Appraiser	National Archives and Records Administration - Records Management Services
08/13/2013	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - Records Management Services
08/13/2013	Concur	Julie Reaves	for	National Archives and Records Administration - National Records Management Program
08/13/2013	Approve	Paul Wester	Chief Records Officer for the U S Government	National Archives and Records Administration - Office of the Chief Records Officer

	C	D	H	K	N	O	P	Q	R
	Bucket Section - Combined	Record Type (Temp, Perm, Temp system)	Current DLA-DCMA Records Series - Combined	GRS - combined	Current DLA-DCMA or GRS Cutoff Retention Instruction	NARA/ DCMA Authority	Current DLA-DCMA General Series Information	Current DLA-DCMA Record Title	Current DLA-DCMA Description/Information
1									
2	800 02a1	I	831 00	N/A-N/A	Informational		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	Contract Operations	
3	800 02a1	I	831 05 A	N/A-N/A	Informational		Contracts Individual and subcontract case files accumulated from the administration of individual contracts and consisting of contract, requisition, purchase order, lease, and bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection and payment (other than those covered elsewhere)	Contracts-Procurement or purchase organization copy, and related papers	

**Records Schedule 800
Records Series Crosswalk**

	C	D	H	K	N	O	P	Q	R
4	800 02a1	I	831 05 A(1)	N/A-N/A	informational		Contracts Individual and subcontract case files accumulated from the administration of individual contracts and consisting of contract, requisition, purchase order, lease, and bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection and payment (other than those covered elsewhere) ,		
5	800 02a1	T	831 05 A(1) (a)	GRS 03- Item 3a(1)(a)	Destroy 6 years and 3 months after final payment		Contracts Individual and subcontract case files accumulated from the administration of individual contracts and consisting of contract, requisition, purchase order, lease, and bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection and payment (other than those covered elsewhere)	Contracts - Procurement or purchase organization copy, and related papers - Transaction dated on or after July 3, 1995 (the effective date of the Federal Acquisition Regulations (FAR) rule defining "simplified acquisition threshold")	Transactions that exceed the simplified acquisition threshold and all construction contracts exceeding \$2,000
6	800 02a1	T	831 05 A(1)(b)	GRS 03- Item 3a(1)(b)	Destroy 3 years after final payment		Contracts Individual and subcontract case files accumulated from the administration of individual contracts and consisting of contract, requisition, purchase order, lease, and bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection and payment (other than those covered elsewhere)	Contracts - Procurement or purchase organization copy, and related papers - Transaction dated on or after July 3, 1995 (the effective date of the Federal Acquisition Regulations (FAR) rule defining "simplified acquisition threshold")	Transactions at or below the simplified acquisition threshold and all construction contracts at or below \$2,000

**Records Schedule 800
Records Series Crosswalk**

	C	D	H	K	N	O	P	Q	R
7	800 02a1	I	831 05 A(2)	N/A-N/A	informational		Contracts Individual and subcontract case files accumulated from the administration of individual contracts and consisting of contract, requisition, purchase order, lease, and bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection and payment (other than those covered elsewhere) ,	Contracts - Procurement or purchase organization copy, and related papers - Transactions dated earlier than July 3, 1995	
8	800 02a1	T	831 05 A(2)(a)	GRS 03- Item 3a(2)(a)	Destroy 6 years and 3 months after final payment		Contracts Individual and subcontract case files accumulated from the administration of individual contracts and consisting of contract, requisition, purchase order, lease, and bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection and payment (other than those covered elsewhere) ,	Contracts - Procurement or purchase organization copy, and related papers - Transaction dated earlier than July 3, 1995	Transactions that utilize other than small purchase procedures and all construction contracts exceeding \$2,000
9	800 02a1	T	831 05 A(2)(b)	GRS 03- Item 3a(2)(b)	Destroy 3 years after final payment		Contracts Individual and subcontract case files accumulated from the administration of individual contracts and consisting of contract, requisition, purchase order, lease, and bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection and payment (other than those covered elsewhere) ,	Contracts - Procurement or purchase organization copy, and related papers - Transaction dated earlier than July 3, 1995	Transactions that utilize small purchase procedures and all construction contracts under \$2,000

**Records Schedule 800
Records Series Crosswalk**

	C	D	H	K	N	O	P	Q	R
10	800 02a1	T	831 05 B	GRS 03- Item 3b	Destroy when funds are obligated		Contracts Individual and subcontract case files accumulated from the administration of individual contracts and consisting of contract, requisition, purchase order, lease, and bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection and payment (other than those covered elsewhere) ,	Contracts - Obligation copy	Contracts Obligation copy
11	800 02a1	T	831 05 D	GRS 03- Item 3d	Destroy or delete when 5 years old		Contracts Individual and subcontract case files accumulated from the administration of individual contracts and consisting of contract, requisition, purchase order, lease, and bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection and payment (other than those covered elsewhere) ,	Contracts - Data Submitted to the Federal Procurement Data System (FPDS)	Electronic data file maintained by fiscal year, containing unclassified records of all procurements, other than small purchases, and consisting of information required under 48 CFR 4 601 for transfer to the FPDS
12	800 02a1	T	831 05 E	N/A-N/A	Destroy 10 years after final payment	N1-361-99-1	Contracts Individual and subcontract case files accumulated from the administration of individual contracts and consisting of contract, requisition, purchase order, lease, and bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection and payment (other than those covered elsewhere) ,	Contracts - Foreign Military Sales Contracts	Contracts - Foreign Military Sales Contracts

**Records Schedule 800
Records Series Crosswalk**

	C	D	H	K	N	O	P	Q	R
13	800 02a1	T	831 50	N/A-N/A	Transfer contents of file to prime contract when closed	N1-361-91-13	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	Consent to Subcontract Files	Subcontract information documents, review recommendations, ACO approval letter, and related documents used to ensure contractor compliance with subcontractor selection procedures
14	800 02a1	T	831 55	N/A-N/A	Destroy 1 year after final overhead rates are settled pertaining to those years covered by the advance agreement	N1-361-91-13		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
15	800 02a1	T	831 60	N/A-N/A	Destroy 1 year after novated contracts are closed	N1-361-91-13		Notation Files	Novation requests, notarized copy of name change, correspondence, modification listing contracts affected, and related records pertaining to contractor name changes

**Records Schedule 800
Records Series Crosswalk**

	C	D	H	K	N	O	P	Q	R
16	800 02a1	T	833 10	N/A-N/A	Destroy after 4 years	N1-361-91-13	Relates to the implementation of cost price and financial analysis, and contractor system reviews	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 review, TACPs contractor information, correspondence, work papers and related documentation used to perform price/cost analyses of contractors 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 impact of contract costs, prices of overhead, allowability of costs, financial systems, cost accounting standards,
17	800 02a1	T	834 20	N/A-N/A	Destroy 1 year after completion of contract except contracts in litigation, forward pertinent documents to assigned ACO	N1-361-91-13		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
18	800 02a1	T	834 25	N/A-N/A	Destroy after 2 years	N1-361-91-13		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

Records Schedule 800
Records Series Crosswalk

	C	D	H	K	N	O	P	Q	R
19	800 02a1	T	834 40	N/A-N/A	Destroy after 1 year	N1-361-91-13		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
20	800 02a1	T	834 60	N/A-N/A	Destroy after 5 years	N1-361-91-13		Industrial Plant Equipment (IPE)/Other Plant Equipment (OPE) Requests	Contractor requests, Industrial Plant Representative (IPR) review and recommendations, Defense Industrial Plant Equipment Center (DIPEC) screenings, and similar records related to contractor requests for IPE/OPE
21	800 02a1	T	834 70	N/A-N/A	Destroy after 5 years	N1-361-91-13		Priorities and Allocations	Contractor requests, IPR review and recommendations, and similar documents related to processing of requests for special assistance for materials

**Records Schedule 800
Records Series Crosswalk**

	C	D	H	K	N	O	P	Q	R
22	800 02a1	T	834 80	N/A-N/A	Destroy after 5 years	N1-361-91-13		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
23	800 02a1	T	834 90	N/A-N/A	Destroy after 5 years or when no longer needed whichever is later	N1-361-91-13		Special Tooling Requests	Tooling and test equipment request forms, checklists, backup materials, reports, recommendations, and similar records related to contractor requests
24	800 02a1	I	836 00	N/A-N/A	informational	N1-361-91-13	Relates to the settlement of contracts terminated for the convenience of the Government	Termination Settlement	Relates to the settlement of contracts terminated for the convenience of the Government

**Records Schedule 800
Records Series Crosswalk**

	C	D	H	K	N	O	P	Q	R
25	800 02a1	T	836 30	N/A-N/A	Transfer to responsible ACO after case settled	N1-361-91-13	Relates to the settlement of contracts terminated for the convenience of the Government	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
26	800 02a1	T	836 60	N/A-N/A	Transfer to responsible ACO after prime contract settled	N1-361-91-13	Relates to the settlement of contracts terminated for the convenience of the Government	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
27	800 02a1	T	890 55 A	N/A-N/A	Destroy 5 years after completion of contract	N1-361-91-06	Reviews and evaluations of contractor proposals such as Value Engineering proposals, cost reduction proposals, and engineering change cost proposals	Technical Evaluation of Cost Proposals -	Approved proposals

**Records Schedule 800
Records Series Crosswalk**

	C	D	H	K	N	O	P	Q	R
28	800 02a1	T	890 55 B	N/A-N/A	Destroy 1 year after final action	N1-361-91-06	Reviews and evaluations of contractor proposals such as Value Engineering proposals, cost reduction proposals, and engineering change cost proposals	Technical Evaluation of Cost Proposals -	Rejected proposal
29	800 02a1	T	890 60	N/A-N/A	Destroy after 5 years	N1-361-91-06		Facilities Evaluations and Reviews	Evaluations of proposed changes in plant facilities and equipment including Government-furnished equipment and property
30	800 02a1	I		N/A-N/A	informational		Relates to surveillance of contractor engineering and manufacturing systems and efforts, analysis of contractor generated engineering and technical proposals and reports, and Contract Administration Services support to Military Services and non-DoD program managers support for weapon systems and other critical Government acquisitions This section does not apply to documentation appropriate for retention under FAR Subpart 4.8 - Contract Files	Electronic Document Workflow	Electronic Document Workflow (EDW) is a contract retrieval, document routing, file management, and records management system. Currently EDW serves as an electronic records management system for contract administration services mission related records

**Records Schedule 800
Records Series Crosswalk**

	C	D	H	K	N	O	P	Q	R
	800 02a1	T		N/A-N/A	Destroy 10 years after close of contract, or final payment or when no unresolved issues			Closed Contract Database (CCDB)	CCDB is an optical storage device that interfaces with MOCAS. As contracts are closed in MOCAS a "picture" of the entire contract in MOCAS are written to an optical platter. In the event any contracts are prematurely closed, the data associated with the contract will be saved off and retrievable. If closed information is needed a copy can be loaded to a CLONE database. If a contract is closed and written to optical/CCDB and later reopened and then closed again, only the last picture of how the contract looked at closeout is available in CCDB. CCDB nor does MOCAS maintain copies of documents/correspondence.
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