

Request for Records Disposition Authority

Records Schedule Number **DAA-0412-2013-0014**

Schedule Status **Approved**

Agency or Establishment **Environmental Protection Agency**

Record Group / Scheduling Group **Records of the Environmental Protection Agency**

Records Schedule applies to **Agency-wide**

Schedule Subject **Acquisitions and Contracts**

Internal agency concurrences will be provided **No**

Background Information **This schedule covers records of activities related to management and oversight of the acquisition of goods and services. Excludes: Superfund, Brownfields, and oil spill site-specific acquisitions and contracts, and final deliverables and reports.**

Item Count

| Number of Total Disposition Items | Number of Permanent Disposition Items | Number of Temporary Disposition Items | Number of Withdrawn Disposition Items |
|-----------------------------------|---------------------------------------|---------------------------------------|---------------------------------------|
| 5 | 0 | 5 | 0 |

GAO Approval

Outline of Records Schedule Items for DAA-0412-2013-0014

| Sequence Number | |
|-----------------|--|
| 1 | Acquisitions and Contracts |
| 1.1 | FAIR records and bid protest appeals Disposition Authority Number: DAA-0412-2013-0014-0001 |
| 1.2 | Procurements exceeding the acquisition threshold and contract records Disposition Authority Number: DAA-0412-2013-0014-0002 |
| 1.3 | Routine acquisitions records Disposition Authority Number: DAA-0412-2013-0014-0003 |
| 1.4 | Short term acquisitions records Disposition Authority Number: DAA-0412-2013-0014-0004 |
| 1.5 | Other acquisitions records Disposition Authority Number: DAA-0412-2013-0014-0006 |

Records Schedule Items

Sequence Number

1

Acquisitions and Contracts

1.1

FAIR records and bid protest appeals

Disposition Authority Number DAA-0412-2013-0014-0001

Includes, but is not limited to: bid protest appeals consisting of notices of appeal, written memoranda of arguments, legal briefs (if any filed), transcripts of any hearings held, correspondence, decisions, and related records; and Federal Activities Inventory Reform (FAIR) Act records documenting the implementation of Office of Management and Budget (OMB) Circular No. A-76, Performance of Commercial Activities, including inventories, reviews, consultations, summary reports, commercial activity codes, challenges, appeals, decisions, planning documents, public announcements, accountability statements, cost calculations, and performance measures.

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? Yes

| Manual Citation | Manual Title |
|-----------------|--------------|
| EPA 1004 item a | |

GRS or Superseded Authority Citation GRS 3/18a
N1-412-07-1/15a

Disposition Instruction

Cutoff Instruction Close when action is completed.

Retention Period Destroy 10 year(s) after file closure.

Additional Information

GAO Approval Not Required

1.2

Procurements exceeding the acquisition threshold and contract records

Disposition Authority Number **DAA-0412-2013-0014-0002**

Includes, but is not limited to: contract management records for program related procurements (e.g., environmental modeling) as well as administrative procurements (e.g., guard services) and maintained by contracting officers (COs) and contracting officer's representatives (CORs), including correspondence and other documents related to the award, administration, receipt, inspection, payment, review, and audit of contracts (except Superfund, Brownfields, and oil spill site-specific contracts covered by schedule 1036); routine procurement files documenting the acquisition of goods and non-personal services maintained by the procurement organization and that exceed the acquisition thresholds that are in effect at the time of acquisition award, including purchase documents such as purchase requisitions, travel and training authorizations, credit card and bank card slips, direct deposit forms for vendors, specifications, bids, schedules of delivery, initiating requisitions, records of receipt, inspection, and payment; and solicited and unsolicited bids and proposals for large purchases when filed separately from the contract files.

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? **Yes**

| Manual Citation | Manual Title |
|------------------------|--------------|
| EPA 1004 item b | |

GRS or Superseded Authority Citation **GRS 3/3a(1)(a)
GRS 3/3a(2)(a)
N1-412-06-6/5a
N1-412-06-6/5b
N1-412-06-6/5c
GRS 3/5b(2)(a)
N1-412-07-44d
N1-412-07-65/1a
N1-412-07-65/1b
N1-412-07-65/1c
N1-412-07-65/1d
N1-412-07-65/1e**

Disposition Instruction

1.3

Cutoff Instruction Close when activity completed or final payment for overall contract is made.

Retention Period Destroy 6 year(s) and 3 month(s) after file closure.

Additional Information

GAO Approval Not Required

Routine acquisitions records

Disposition Authority Number DAA-0412-2013-0014-0003

Includes, but is not limited to: administrative reports and data relating to procurement operations, including reports and data used for workload or other purposes; canceled solicitations for formal solicitations of offers to provide products or services that were canceled prior to award of a contract, including invitations for bids, requests for proposals (RFPs), requests for quotations (RFQs), presolicitation documentation on the requirement, any offers that were opened prior to the cancellation, documentation on any government action up to the time of cancellation, and evidence of cancellation; and data submitted to the Federal Procurement Data System (FPDS).

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? Yes

| Manual Citation | Manual Title |
|-----------------|--------------|
| EPA 1004 item c | |

GRS or Superseded Authority Citation GRS 3/3d
GRS 3/5c(1)
N1-412-07-64/1a
N1-412-07-64/1b

Disposition Instruction

Cutoff Instruction Close at end of fiscal year, after cancellation, or after data transfer.

Retention Period Destroy 5 year(s) after file closure.

1.4

Additional Information

GAO Approval **Not Required**

Short term acquisitions records

Disposition Authority Number **DAA-0412-2013-0014-0004**

Includes, but is not limited to: purchase card logs and supporting documentation; records related to printing services maintained by the procurement office, including copies of requisitions, invoices, specifications, and related records; routine procurement files documenting the acquisition of goods and non-personal services maintained by the procurement organization and that are below the acquisition thresholds that are in effect at the time of the acquisition award, including purchase documents such as purchase requisitions, travel and training authorizations, credit card and bank card slips, direct deposit forms for vendors, specifications, bids, schedules of delivery, initiating requisitions, records of receipt, inspection, and payment; small and disadvantaged business utilization records, including correspondence, reports, studies, goal statements, and related records; and solicited and unsolicited unsuccessful bids and proposals for small purchases.

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? **Yes**

| Manual Citation | Manual Title |
|-----------------|--------------|
| EPA 1004 item d | |

GRS or Superseded Authority Citation **GRS 3/3a(1)(b)
GRS 3/3a(2)(b)
GRS 3/5b(1)
GRS 3/17
GRS 3/6a**

Disposition Instruction

Cutoff Instruction **Close at end of fiscal year, or after completion or cancellation, or after date of award or final payment.**

Retention Period **Destroy 3 year(s) after file closure.**

1.5

Additional Information

GAO Approval Not Required

Other acquisitions records

Disposition Authority Number DAA-0412-2013-0014-0006

Includes, but is not limited to: lists or card files of acceptable bidders; obligation copies of routine procurement files maintained by finance offices; and other copies of routine procurement files used by component elements of a procurement office for administrative purposes.

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? Yes

| Manual Citation | Manual Title |
|-----------------|--------------|
| EPA 1004 item f | |

GRS or Superseded Authority Citation GRS 3/3b
GRS 3/3c
GRS 3/5d

Disposition Instruction

Cutoff Instruction Close when funds are obligated, or no longer needed for current agency business.

Retention Period Destroy immediately after file closure.

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 |
|------------|------------------------|------------------|---|--|
| 07/09/2013 | Certify | John Ellis | Agency Records Officer | Office of Environmental Information - Office of Information Collection |
| 09/11/2013 | Submit for Concurrence | Henry Wolfinger | Appraiser | National Archives and Records Administration - Records Management Services |
| 09/16/2013 | Concur | Margaret Hawkins | Director of Records Management Services | National Records Management Program - Records Management Services |
| 09/16/2013 | Concur | Laurence Brewer | Director, National Records Management Program | National Archives and Records Administration - National Records Management Program |
| 09/18/2013 | Approve | David Ferriero | Archivist of the United States | Office of the Archivist - Office of the Archivist |

Crosswalk for schedule 1004
June 20, 2013

402 Acquisitions

Activities related to management and oversight of acquisitions of goods and services.
Excludes: Superfund, Brownfields, and Oil Spill Site-Specific acquisitions and grants.

| Previous Schedule | Previous Title | Previous Retention | New Schedule |
|----------------------------------|--|--|---------------------|
| 036a(1)(a) GRS 3/3a(1) (a) | Routine Procurement Files – Procurement organization copy of transactions that exceed the thresholds, dated on or after July 3, 1995 | Close inactive records upon completion. Destroy 6 years, 3 months after file closure. | 1004b |
| 036a(1)(b) GRS 3/3a(1) (b) | Routine Procurement Files – Procurement organization copy of transactions below the thresholds, dated on or after July 3, 1995 | Close inactive records upon completion. Destroy 3 years after file closure. | 1004d |
| 036a(2)(a) GRS 3/3a(2) (a) | Routine Procurement Files – Procurement organization copy of other transactions exceeding \$2,000, dated earlier than July 3, 1995 | Close inactive records upon completion. Destroy 6 years, 3 months after file closure. | 1004b |
| 036a(2)(b) GRS 3/3a(2) (b) | Routine Procurement Files – Procurement organization copy of other transactions under \$2,000, dated earlier than July 3, 1995 | Close inactive records upon completion. Destroy 3 years after file closure. | 1004d |
| 036b GRS 3/3b | Routine Procurement Files – Obligation copy held by Finance offices | Destroy when funds are obligated. | 1004f |
| 036c GRS 3/3c | Routine Procurement Files – Other copies of records described above used by component elements of a procurement office for administrative purposes | Destroy upon termination or completion. | 1004f |
| 036d GRS 3/3d | Routine Procurement Files – Data submitted to the Federal Procurement Data System (FPDS) | Close inactive records upon transfer. Destroy 5 years after file closure. | 1004c |
| 202a N1-412-06-6/5a | Contract Management Records – Contracting Officer (CO) | Close inactive records upon final payment for the overall contract. Destroy 6 years and 3 months after file closure. | 1004b |
| 202b N1-412-06-6/5b | Contract Management Records – Contract-level Contracting Officer's Representative (COR) | Close inactive records upon filing of final invoice or completion or termination of the task order or work assignments. Destroy 6 years and 3 months after final payment for the overall contract. | 1004b |
| 202c N1-412-06- | Contract Management Records – Other Contracting Officer's | Close inactive records upon filing of final invoice or | 1004b |

Crosswalk for schedule 1004
June 20, 2013

| Previous Schedule | Previous Title | Previous Retention | New Schedule |
|----------------------------------|--|---|---------------|
| 6/5c | Representatives (CORs) | completion or termination of the task order or work assignment. Destroy 6 years and 3 months after final payment for the overall contract. | |
| 275a GRS 3/5a | Solicited and Unsolicited Bids and Proposals Files – Successful bids and proposals | File with related records and follow disposition instructions for related records (EPA 020 for Superfund site-specific contracts or EPA 202 for other contracts). | 1004 guidance |
| 275b(1) GRS 3/5b(1) | Solicited and Unsolicited Bids and Proposals Files – Solicited and unsolicited unsuccessful bids and proposals – Small purchases | Destroy 1 year after date of award or final payment, whichever is later. | 1004d |
| 275b(2)(a) GRS 3/5b(2) (a) | Solicited and Unsolicited Bids and Proposals Files – Solicited and unsolicited unsuccessful bids and proposals – Large purchases when filed separately from contract case files | Destroy when related contract is completed (6 years and 3 months after final payment for the overall contract). | 1004b |
| 275b(2)(b) GRS 3/5b(2) (b) | Solicited and Unsolicited Bids and Proposals Files – Solicited and unsolicited unsuccessful bids and proposals – Large purchases when filed with contract case files | File with related records and follow disposition instructions for related records (EPA 020 for Superfund site-specific contracts or EPA 202 for other contracts). | 1004 guidance |
| 275c(1) GRS 3/5c(1) | Solicited and Unsolicited Bids and Proposals Files – Canceled solicitations – Formal solicitations of offers to provide products or services that were canceled prior to award of a contract | Destroy 5 years after date of cancelation. | 1004c |
| 275c(2) GRS 3/5c(2) | Solicited and Unsolicited Bids and Proposals Files – Canceled solicitations – Unopened bids | Return to bidder. | 1004e |
| 275d GRS 3/5d | Solicited and Unsolicited Bids and Proposals Files – Lists or card files of acceptable bidders | Destroy when superseded or obsolete. | 1004f |
| 290a N1-412-07-64/1a | Administrative Reports and Data Relating to Procurement Operations – Reports and data relating to procurement operations | Close inactive records at end of year. Destroy 6 years after file closure. | 1004c |
| 290b N1-412-07-64/1b | Administrative Reports and Data Relating to Procurement Operations – All other reports | Close inactive records at end of year. Destroy 5 years after file closure. | 1004c |

Crosswalk for schedule 1004
June 20, 2013

| Previous Schedule | Previous Title | Previous Retention | New Schedule |
|-------------------------|--|--|--------------|
| | and data | | |
| 297a GRS 3/17 | Small and Disadvantaged Business Utilization – Record copy | Destroy when 3 years old. | 1004d |
| 348d N1-412-07-44d | Pesticide Usage Survey Data and Documentation – Contract implementation and administration records | Close inactive records when survey completed. Destroy 6 years after file closure. | 1004b |
| 535a GRS 3/6a | Public Printer Files – Printing procurement unit copy of requisition, invoice, specifications, and related papers | Destroy 3 years after completion or cancellation of requisition. | 1004d |
| 625a N1-412-07-65/1a | Guard Service Performance – Contracts | Close inactive records after completion of the contract. Destroy 2 years after file closure. | 1004b |
| 625b N1-412-07-65/1b | Guard Service Performance – General correspondence | Close inactive records at end of year. Destroy 2 years after file closure. | 1004b |
| 625c N1-412-07-65/1c | Guard Service Performance – Nonperformance of assigned duties records | Close inactive records after completion of contract. Destroy 1 year after file closure. | 1004b |
| 625d N1-412-07-65/1d | Guard Service Performance – Post orders | Close inactive records as a Post Order is superseded or discontinuance of the post. Destroy 1 year after file closure. | 1004b |
| 625e N1-412-07-65/1e | Guard Service Performance – Special orders | Close inactive records upon termination of the Special Order. Destroy 6 months after file closure. | 1004b |
| 673a GRS 3/18a | Federal Activities Inventory Reform (FAIR) Act Records – Circular No. A-76 case files and studies maintained by office having primary responsibility | Close inactive records when action is completed. Destroy 10 years after file closure. | 1004a |
| 679a N1-412-07-1/15a | Bid Protest Appeals – Record copy | Close inactive records at end of year. Destroy 10 years after file closure. | 1004a |