

334

4 items

Standard Form No. 115
Revised November 1951
Prescribed by General Services
Administration
GSA FPMR 3-IV-106
5-103

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS

(See Instructions on Reverse)

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|---------------|------------|
| DATE RECEIVED | JAN 4 1973 |
| DATE APPROVED | |
| JOB NO | HR-173-119 |

NOTIFICATION TO AGENCY

IN ACCORDANCE WITH THE PROVISIONS OF PUBLIC LAW 91-287 DISPOSAL OF ITEMS MARKED "DISPOSAL APPROVED" IS AUTHORIZED.

1-12-73
DATE Jane B. Roads
ARCHIVIST OF THE UNITED STATES

TO. GENERAL SERVICES ADMINISTRATION,
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, D.C. 20408

1 FROM (AGENCY OR ESTABLISHMENT)

HQ Army & Air Force Exchange Service Dallas, Texas

2 MAJOR SUBDIVISION

Administrative Services Division

3. MINOR SUBDIVISION

Records Management Office

4. NAME OF PERSON WITH WHOM TO CONFER

5. TEL. EXT.

FRED D. AVERY Records Mgmt Officer

330-2173

6. CERTIFICATE OF AGENCY REPRESENTATIVE

I hereby certify that I am authorized to act for the head of this agency in matters pertaining to the disposal of records, and that the records described in this list or schedule of 13 pages are proposed for disposal for the reason indicated: ("X" only one)

A The records have ceased to have sufficient value to warrant further retention.

B The records will cease to have sufficient value to warrant further retention on the expiration of the period of time indicated or on the occurrence of the event specified.

2 Jan 73
(Date)

[Signature]
(Signature of Agency Representative)

RECORDS MANAGEMENT OFFICER
(Title)

| 7. ITEM NO | 8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS) | 9. SAMPLE OR JOB NO. | 10 ACTION TAKEN |
|------------|--|----------------------|-----------------|
| 1. | <p>(Listed below is a complete revision of the file standards in Chapter 12, Procurement Records, of ESM 5-1, AAFES Records Management. The file standards on attached copy of ^{the old} Chapter 12 will be deleted upon your approval of this revision. Also listed below is a complete revision of Section 8, Procurement Records (for exchange levels) of Chapter 16, cited records management manual. Attached as Incl 2, is a copy of the file standards in Section 8, which will be deleted upon your approval of this revision.)</p> <p>CHAPTER TWELVE PROCUREMENT RECORDS</p> <p>The files described in this chapter pertain to the procurement program. Included are general correspondence, inspection and surveillance, requirements and planning, purchasing activities, and transaction documentation.</p> <p>1200-01 General Correspondence Files</p> <p>Correspondence, reports and other records pertaining to the administration and operation of activities engaged in a procurement function but excluding files described elsewhere in this chapter. Arrange according to subject classification system.</p> | | |

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

| 7 ITEM NO | 8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS) | 9 SAMPLE OR JOB NO | 10 ACTION TAKEN |
|--------------|---|--------------------------|--|
| | <p>a. Policy Correspondence. --Files accumulated by offices of primary responsibility which document policy-making procurement instructions and/or significant procurement program management functions. Included are procurement instructions and procedural guidance issued by TWX, memorandum, indorsement, letter, etc., which provide amplification and/or clarification of procurement procedures. (HQ AAFES and HQ Oversea exchange systems only.)</p> <p>Permanent. Cutoff at close of fiscal year.</p> <p>b. Program Correspondence. Files accumulated by any AAFES organizational element which document the basic responsibilities, operations, and administration of procurement functions.</p> <p>Cutoff at close of fiscal year. Destroy after 3 years.</p> <p style="text-align: center;">SECTION 1</p> <p style="text-align: center;">INSPECTION AND SURVEILLANCE FILES</p> | | |
| 2. | <p>1201-01 Contract Review and Approval Correspondence Files</p> <p>Copies of documents pertaining to the review and approval of specific contracts as required in Exchange Service Procurement Instructions or other applicable directives, irrespective of the type merchandise or services involved. The original documents will be filed in the specific contract file folder maintained by the responsible contracting officer. Such documents become part of the permanent contract records and will be disposed of under the instructions contained in standard 1204-03, Contract and Purchase Order Transaction Case Files.</p> <p>Cutoff at, close of fiscal year. Destroy after 2 years.</p> | | <p><i>16.</i> DISPOSAL APPROVED</p> <p><i>2.</i> DISPOSAL APPROVED</p> |
| 3. | <p>1201-02 Procurement Management Surveillance Files</p> <p>Includes reports and related workpapers on procurement management surveillance visits covering in-depth review of all levels of procurement functions and responsibilities, contract documentation and maintenance of procurement records. Reports will be filed by each visited activity.</p> <p><i>a.</i> Addressee Activity: Cutoff at close of fiscal year in which final action is taken. Destroy after two years.</p> | | <p><i>1a.</i> DISPOSAL APPROVED</p> |

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

| 7 ITEM NO | 8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS) | 9 SAMPLE OR JOB NO | 10 ACTION TAKEN |
|--------------|--|--------------------------|----------------------------------|
| | <p>Office of Origin and Intermediate Headquarters: Cutoff at close of fiscal year. Destroy after three years.</p> <p style="text-align: center;">SECTION 2</p> <p style="text-align: center;">MERCHANDISE PROCUREMENT REQUIREMENTS AND PLANNING FILES</p> <p>These files pertain to the procurement planning conducted with merchandise requirements submitted for procurement action. Included are seasonal and cycle requirements, market reports, batch listings of buyers' selections, fashion trends, and buying plans.</p> | | <p>11. DISPOSAL APPROVED</p> |
| 4. | <p>1202-01 Seasonal Requirements/Commitments</p> <p>Printouts showing quantities of seasonal merchandise items requested by exchanges. Includes branch number and quantities required.</p> <p>Cutoff at close of fiscal year. Destroy after 1 year.</p> | | <p>4. DISPOSAL APPROVED</p> |
| 5. | <p>1202-02 Cycle Requirements</p> <p>Printouts showing requirement of cyclical merchandise items requested by exchanges.</p> <p>Cutoff at close of fiscal year. Destroy after 1 year.</p> | | <p>5. DISPOSAL APPROVED</p> |
| 6. | <p>1202-03 Market Reports</p> <p>Market reports made by buyers before and after attending market sessions. Includes reports on current styles, colors, and trends for the coming season.</p> <p>Cutoff at close of fiscal year. Destroy after 2 years.</p> | | <p>6. DISPOSAL APPROVED</p> |
| 7. | <p>1202-04 Batch Listings of Buyers' Market Selections</p> <p>Printouts of buyers' market selections used to assure accuracy of seasonal requirements.</p> <p>Cutoff at close of fiscal year. Destroy after 1 year.</p> | | <p>7. DISPOSAL APPROVED</p> |
| 8. | <p>1202-05 Fashion Trends</p> <p>Reports made by fashion services forecasting clothing style trends for coming season.</p> <p>Destroy when superseded or cancelled.</p> | | <p>8. DISPOSAL APPROVED</p> |

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

| 7 ITEM NO | 8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS) | 9 SAMPLE OR JOB NO | 10 ACTION TAKEN |
|---|--|--------------------------|----------------------------------|
| 9. | <p>1202-06 Buying Plans</p> <p>Documents related to plans for seasonal merchandise procurement. Includes requirement placement sheets, requisition number, vendor name, copy of order showing quantities, sizes, styles by each item.</p> <p>Cutoff at close of fiscal year. Destroy after 2 years.</p> | | <p>9. DISPOSAL APPROVE</p> |
| 10. | <p>1202-07 Buyers Market Selections</p> <p>Source documents for keypunch. Includes vendor name, item, terms, allowances, shipping points, sell price, and other identifying information for merchandise items selected by a buyer for procurement action.</p> <p>Cutoff at close of fiscal year. Destroy after 1 year.</p> | | <p>10. DISPOSAL APPROVED</p> |
| <p>SECTION 3</p> <p>PURCHASING ACTIVITY FILES</p> <p>The files described in this section cover procurement administration not applicable to specific purchasing actions which are covered in another portion of this chapter. Files include certificates of compliance with ethical standards of procurement personnel, debarred and suspended contractors list, contracting officer certificates of appointment files, procurement custom clearance and entry files, commercial business accreditation files, contractors effectiveness files, source list files, AAFES, government and commercial contract source price and products reference files, contract control data files and merchandise sample control files.</p> | | | |
| 11. | <p>1203-01 Ethical Standards of Procurement Personnel</p> <p>Contains signed certificates required by Exchange Service Procurement Instructions.</p> <p>Cutoff when <u>superseded</u>, or upon <u>separation/transfer</u> of employee. Destroy after 6 years.</p> | | <p>11. DISPOSAL APPROVE</p> |
| 12. | <p>1203-02 Debarred and Suspended Contractors List</p> <p>Documents relating to the suspension of contractors and prohibition against award of AAFES contracts. Included are lists of debarred, ineligible, or suspended</p> | | |

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

| 7. ITEM NO. | 8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS) | 9. SAMPLE OR JOB NO | 10 ACTION TAKEN |
|----------------|--|---------------------------|---|
| | <p>contractors, reports and recommendations relating to firms or individuals appearing on such lists, and deletions, additions and related information.</p> <p>Destroy lists of debarred, ineligible or suspended contractors when superseded. Destroy documents relating to AAFES contractors 6 years after the debarment, ineligibility or suspension.</p> | | <p>12. DISPOSAL APPROVED</p> |
| 13. | <p>1203-03 Certificates of Appointment</p> <p>Documents and related correspondence reflecting the appointment and termination of contracting officers, contracting officer representatives and ordering agents, including specific procurement authority and limitations, and registers reflecting appointments and termination, and the supporting data as to appointees qualifications.</p> <p>a. Certificates of appointment and termination letters: Cutoff at close of fiscal year in which appointment is terminated. Destroy after 6 years.</p> <p>b. Certificate of Appointment Registers: Cutoff when all listed appointments have terminated. Destroy after 6 years.</p> | | <p>13 a. DISPOSAL APPROVED</p> <p>13 b. DISPOSAL APPROVED</p> |
| 14. | <p>1203-04 Procurement Customs Clearance and Entry Files</p> <p>Documents relating to the entry and duty free admission of returned merchandise and supplies to CONUS contractors. Cutoff at close of fiscal year. Destroy after 5 years.</p> | | <p>14. DISPOSAL APPROVED</p> |
| 15. | <p>1203-05 Commercial Business Accreditations</p> <p>Documents relating to approvals and disapprovals of business solicitation activities on AAFES premises. Included are request for and authorization of accreditation, removal of accreditation of companies, agents, vendors, salesmen and solicitors, and related papers.</p> <p>Cutoff at close of fiscal year in which accreditation is terminated. Destroy after 3 years.</p> | | <p>15. DISPOSAL APPROVED</p> |
| 16. | <p>1203-06 Contractors' Effectiveness Files</p> <p>Records maintained to document and monitor contractors performance as required by Exchange Service Procurement Instructions. Files are categorized alphabetically by vendor/contractor into, (1) Active Files - consisting of commodity and service contractors holding current contracts or on an active source list, and (2) Inactive Files - consisting of vendors/contractors who have received past</p> | | |

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

| 7 ITEM NO | 8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS) | 9 SAMPLE OR JOB NO | 10 ACTION TAKEN |
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| 17. | <p>awards but who do not have an active contract, or who are no longer on an active source list.</p> <p>Cutoff at close of fiscal year in which files become inactive. Destroy after 6 years.</p> <p>1203-07 Source Lists</p> <p>Lists established by all AAFES purchasing activities for merchandise, equipment, supplies, construction and services, including direct or support services as required in the Exchange Service Procurement Instructions. Lists consist of all interested sources determined qualified to receive solicitations. Source lists for services and construction are developed for each specific service or project and become an integral part of the solicitation/contract file.</p> <p>Retain source lists on a continuing basis in active files until reaccomplished or superseded. Destroy after 2 years.</p> | | <p><i>No.</i> DISPOSAL APPROVED</p> |
| 18. | <p>1203-08 AAFES, Government & Commercial Contract, Source Price and Product Reference Files</p> <p>Information copies of AAFES consolidated contracts, price agreement bulletins, commercial sources, Government agency price lists and other commercial source product and price data as published in AAFES merchandise catalogs, procurement bulletins and other AAFES merchandise information notices. Also included are Government sources as published in GSA Store Stock Catalogs, Federal Supply Schedules, Services Contracts and National Industries for the Blind published schedules and commercial business catalogs, brochures, price lists, pamphlets and related documents pertaining to product offerings.</p> <p>Destroy when superseded or no longer required.</p> | | <p><i>17.</i> DISPOSAL APPROVED</p> |
| 19. | <p>1203-09 Contract Control Data</p> <p>Computer printouts, service control cards and medical examination cards for service-type contracts. Maintained by purchasing activities for all service, concession, agency and coin-operated machine activities to assure timely contract renewal or resolicitation, to insure continuous insurance coverage as required, and to flag requirements for periodic medical examinations of contractor's employees on specific contracts. Follow-up files are maintained by regional procurement management offices</p> | | <p><i>18.</i> DISPOSAL APPROVED</p> |

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

| 7 ITEM NO | 8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS) | 9 SAMPLE OR JOB NO | 10 ACTION TAKEN |
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| 20. | <p>to assure timely action by the purchasing activity.</p> <p>Cutoff at close of fiscal year in which contract expires or is terminated. Destroy after 2 years.</p> <p>1203-10 Merchandise Sample Control Files</p> <p>Documents accumulated in the receipt, storage, transfer and disposal of vendors' or contractors' merchandise samples, including food items, supplies, equipment or items relating to service or construction contracts. Included are vendors' memo invoices, transmittal documents, receipts, transfer vouchers, disposal certificates and sample registers.</p> <p>a. Files. Cutoff at close of fiscal year in which final disposition of sample is accomplished. Destroy after 3 years.</p> <p>b. Registers. Cutoff at close of fiscal year in which all disposition blocks are completed. Destroy after 3 years.</p> | | <p>19. DISPOSAL APPROVE</p> <p>20a. DISPOSAL APPROVED</p> <p>20b. DISPOSAL APPROVE</p> |
| 21. | <p style="text-align: center;">SECTION 4</p> <p style="text-align: center;">PURCHASE AND CONTRACT TRANSACTION FILES</p> <p>These files pertain to all AAFES purchase or contracting transactions worldwide and include price agreement contract files, procurement register and log files, contract and purchase order transaction case files, government agency order files and non-action solicitation files.</p> <p>1204-01 Price Agreement Contract Files</p> <p>Files documenting price agreements between AAFES and commercial firms. Included are: signed price agreement contracts, documented negotiations, record copy of price agreement bulletins and changes thereto, vendors credit rating checks, records of concurrence action by other AAFES divisions and all other documents relating to the price, terms and conditions of the contract. Arranged by AAFES Departmental Code, then alphabetically by vendor.</p> <p>Cutoff at close of fiscal year in which PAB is cancelled for any reason. Destroy after 6 years.</p> | | <p>21. DISPOSAL APPROVED</p> |

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

| 7 ITEM NO | 8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS) | 9 SAMPLE OR JOB NO | 10 ACTION TAKEN |
|--------------|---|--------------------------|---|
| 22. | <p>1204-02 Procurement Register and Log Files</p> <p>Registers and logs used to record and control the assignment of numbers to solicitations, contracts, purchase orders and requisitions, or similar type documents, and to record other data relative to maintaining numeric controls and processing of procurement actions.</p> <p>Cutoff at close of fiscal year in which final entries are made on all procurement actions entered for that year. Destroy after 6 years.</p> | | <p>22. DISPOSAL APPROVE</p> |
| 23. | <p>1204-03 Contract and Purchase Order Transactions</p> <p>These files relate to all AAFES purchasing and contracting transactions worldwide and regardless of the procurement office level originating the purchasing documents. Procurement transaction files consist of two basic categories as follows: (1) Purchase order and changes thereto for merchandise, food and expense items, supplies and equipment and/or repair parts, and processed under a mechanized or manual system. Also includes customer special orders. (2) Bilateral contracts, including amendments thereto, which are awarded either as a result of competitive solicitations or single source solicitations/negotiations when authorized, including food and expense items, services, construction, architect-engineering services, rental and lease agreements, utility and communication services and equipment slaes contracts. Complete contract files consist of those documents identified in Exchange Service Procurement Instructions.</p> <p>a. Purchase order files including special orders or comparable instruments. Cutoff at close of fiscal year in which contract expires or is terminated. Destroy after 6 years (see note).</p> <p>b. Bilateral contracts and complete files relating thereto and pertaining to either single source solicitation/negotiation or multiple source solicitation which contain extensive documentation and records. Cutoff at close of fiscal year in which contract expires or is terminated. Destroy after 6 years (see note).</p> <p>NOTE: Purchase orders, contracts or related documents involved in unsettled claims, investigations or pending litigation will be held in office of record until completion of the unsettled action, then retired for the period indicated before destruction.</p> | | <p>23a. DISPOSAL APPROVED</p> <p>23b. DISPOSAL APPROVED</p> |

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

| 7 ITEM NO | 8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS) | 9 SAMPLE OR JOB NO | 10 ACTION TAKEN |
|--------------|--|--------------------------|----------------------------------|
| 24. | <p>1204-04 Government Agency Order Files</p> <p>Delivery orders issued against a contract awarded by a Government agency and maintained as a separate file. These files include orders for supplies, equipment, equipment maintenance and support services established through contracts awarded by the General Services Administration or other Government agency.</p> <p>Cutoff at close of fiscal year in which delivery or service expires or is terminated. Destroy after 6 years.</p> | | <p>24. DISPOSAL APPROVED</p> |
| 25. | <p>1204-05 Nonaction Solicitation Files</p> <p>Solicitations issued for any procurement which were cancelled or where no contract award was made.</p> <p>Cutoff at close of fiscal year. Destroy after 2 years.</p> | | <p>25. DISPOSAL APPROVED</p> |
| 26. | <p>1204-06 Purchase Order Reference Files</p> <p>Purchase orders identifying the vendor, merchandise, quantities, sell price, destination terms and similar information. Includes open end and definite quantity contract purchase orders held by purchasing offices for administrative or reference purposes.</p> <p>Cutoff at close of fiscal year. Destroy after 1 year. Earlier destruction is authorized when purpose is served.</p> <p style="text-align: center;">CHAPTER 16 SECTION 8</p> <p style="text-align: center;">PROCUREMENT RECORDS</p> | | <p>26. DISPOSAL APPROVED</p> |
| 27. | <p>1608-01 Certificates of Appointment</p> <p>Documents and related correspondence reflecting the appointment and termination of contracting officers, contracting officer representatives and ordering agents, including specific procurement authority and limitations, and registers reflecting appointments and terminations, and the supporting data as to appointees qualifications.</p> | | |

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

| 7 ITEM NO | 8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS) | 9 SAMPLE OR JOB NO | 10 ACTION TAKEN |
|--------------|--|--------------------------|---|
| | <p>a. Certificates of appointment and termination letters: Cutoff at close of fiscal year in which appointment is terminated. Destroy after 6 years.</p> <p>b. Certificate of Appointment Registers: Cutoff when all listed appointments have terminated. Destroy after 6 years.</p> | | <p>27a. SPOSAL APPROVED</p> <p>27b. SPOSAL APPROVED</p> |
| 28. | <p>1608-02 Contract and Purchase Order Transactions</p> <p>a. Purchase order files including special orders or comparable instruments. Cutoff at close of fiscal year in which contract expires or is terminated. Destroy after 6 years (see note).</p> <p>b. Bilateral contracts and complete files relating thereto and pertaining to either single source solicitation/negotiation or multiple source solicitation which contain extensive documentation and records. Cutoff at close of fiscal year in which contract expires or is terminated. Destroy after 6 years (see note).</p> <p>NOTE: Purchase orders, contracts or related documents involved in unsettled claims, investigations or pending litigation will be held in office of record until completion of the unsettled action, then retired for the period indicated before destruction.</p> | | <p>28a. SPOSAL APPROVED</p> <p>28b. SPOSAL APPROVED</p> |
| 29. | <p>1608-03 Contract Review and Approval Files</p> <p>Copies of documents pertaining to the review and approval of specific contracts as required in Exchange Service Procurement Instructions or other applicable directives, irrespective of the type merchandise or services involved. The original documents will be filed in the specific contract file folder maintained by the responsible contracting officer. Such documents become part of the permanent contract records and will be disposed of under the instructions contained in standard 1608-02, Contract and Purchase Order Transactions.</p> | | |

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

| 7. ITEM NO. | 8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS) | 9. SAMPLE OR JOB NO. | 10 ACTION TAKEN |
|----------------|---|----------------------------|---------------------------------|
| | Cutoff at the close of fiscal year. Destroy after 2 years. | | <u>29.</u> DISPOSAL APPROVED |
| 30. | 1608-04 Ethical Standards of Procurement Personnel Contains signed certificates required by Exchange Service Procurement Instructions. Cutoff when superseded, or upon separation/transfer of employee. Destroy after 6 years. | | <u>30.</u> DISPOSAL APPROVED |
| 31. | 1608-05 AAFES, Government and Commercial Contract Source Price and Product Reference Files Information copies of AAFES consolidated contracts, price agreement bulletins, commercial sources, Government agency price lists and other commercial source product and price data as published in AAFES merchandise catalogs, procurement bulletins and other AAFES merchandise information notices. Also included are Government sources as published in GSA Store Stock Catalogs, Federal Supply Schedules, Services Contracts and National Industries for the Blind published schedules and commercial business catalogs, brochures, price lists, pamphlets and related documents pertaining to product offerings. Destroy when superseded or no longer required. | | <u>31.</u> DISPOSAL APPROVED |
| 32. | 1608-06 Debarred and Suspended Contractors List Documents relating to the suspension of contractors and prohibition against award of AAFES contracts. Included are lists of debarred, ineligible, or suspended contractors, reports and recommendations relating to firms or individuals appearing on such lists, and deletions, additions and related information. Destroy lists of debarred, ineligible or suspended contractors when superseded. Destroy documents relating to AAFES contractors 6 years after the debarment, ineligibility or suspension. | | <u>32.</u> DISPOSAL APPROVED |
| 33. | 1608-07 Commercial Business Accreditations Documents relating to approvals and disapprovals of business solicitation activities on AAFES premises. Included are request for and authorization of accreditation, removal of accreditation of companies, agents, vendors, salesmen and solicitors, and related papers. Cutoff at close of fiscal year in which accreditation is terminated. Destroy after 3 years. | | <u>33.</u> DISPOSAL APPROVED |

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

| 7 ITEM NO | 8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS) | 9 SAMPLE OR JOB NO | 10 ACTION TAKEN |
|--------------|---|--------------------------|----------------------------------|
| 34. | <p>1608-08 Contractors' Effectiveness Files</p> <p>Records maintained to document and monitor contractors performance as required by Exchange Service Procurement Instructions. Files are categorized alphabetically by vendor/contractor into, (1) Active Files - consisting of commodity and service contractors holding current contracts or on an active source list, and (2) Inactive Files - consisting of vendors/contractors who have received past awards but who do not have an active contract or who are no longer on an active source list.</p> <p>Cutoff when files become inactive. Destroy after 6 years.</p> | | <p>34. DISPOSAL APPROVED</p> |
| 35. | <p>1608-09 Source Lists</p> <p>Lists established by all AAFES purchasing activities for merchandise, equipment, supplies, constructions and services including direct or support services as required in the Exchange Service Procurement Instructions. Lists consist of all interested sources determined qualified to receive solicitations. Source lists for services and construction are developed for each specific service or project and become an integral part of the solicitation/contract file.</p> <p>Retain in active files until reaccomplished or superseded. Destroy after 2 years.</p> | | <p>35. DISPOSAL APPROVED</p> |
| 36. | <p>1608-10 Contract Control Data</p> <p>Computer printouts, service control cards and medical examination cards for service-type contracts. Maintained by purchasing activities for all service, concession, agency and coin-operated machine activities to assure timely contract renewal or resolicitation, to insure continuous insurance coverage as required, and to flag requirements for periodic medical examinations of contractor's employees on specific contracts. Follow-up files are maintained by regional procurement management offices to assure timely action by the purchasing activity.</p> <p>Cutoff at close of fiscal year in which contract expires or is terminated. Destroy after 2 years.</p> | | <p>36. DISPOSAL APPROVED</p> |
| 37. | <p>1608-11 Merchandise Sample Control Files</p> <p>Documents accumulated in the receipt, storage, transfer and disposal of vendors' or contractors' merchandise</p> | | |

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

| 7 ITEM NO | 8 DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS) | 9 SAMPLE OR JOB NO | 10 ACTION TAKEN |
|--------------|---|--------------------------|---|
| | <p>samples, including food items, supplies, equipment or items relating to service or construction contracts. Included are vendors' memo invoices, transmittal documents, receipts, transfer vouchers, disposal certificates and sample registers.</p> <p>a. Files. Cutoff at close of fiscal year in which final disposition of sample is accomplished. Destroy after 3 years.</p> <p>b. Registers. Cutoff at close of fiscal year in which all disposition blocks are completed. Destroy after 3 years.</p> | | <p>37a DISPOSAL APPROVED</p> <p>37b DISPOSAL APPROVED</p> |
| 38. | <p>1608-12 Procurement Register and Log Files</p> <p>Registers and logs used to record and control the assignment of numbers to solicitations, contracts, purchase orders and requisitions, or similar type documents, and to record other data relative to maintaining numeric controls and processing of procurement actions.</p> <p>Cutoff at close of fiscal year in which final entries are made. Destroy after 6 years.</p> | | <p>38. DISPOSAL APPROVED</p> |
| 39. | <p>1608-13 Government Agency Order Files</p> <p>Delivery orders issued against a contract awarded by a Government agency and maintained as a separate file. These files include orders for supplies, equipment, equipment maintenance and support services established through contracts awarded by the General Services Administration or other Government agency.</p> <p>Cutoff at close of fiscal year in which delivery or service expires or is terminated. Destroy after 6 years.</p> | | <p>39. DISPOSAL APPROVED</p> |
| 40. | <p>1608-14 Nonaction Solicitations</p> <p>Solicitations issued for any procurement which were cancelled or where no contract award was made.</p> <p>Cutoff at close of fiscal year. Destroy after 2 years.</p> | | <p>40. DISPOSAL APPROVED</p> |
| 41. | <p>1608-15 Purchase Order Reference Files</p> <p>Purchase orders identifying the vendor, merchandise, quantities, sell price, destination terms and similar information. Includes open end and definite quantity contract purchase orders held by purchasing offices for administrative or reference purposes.</p> <p>Cutoff at close of fiscal year. Destroy after 1 year. Earlier destruction is authorized when purpose is served.</p> | | <p>41. DISPOSAL APPROVED</p> |

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CHAPTER TWELVE
PROCUREMENT RECORDS

The files described in this chapter pertain to the procurement program. Included are requirements and planning, procurement management, and purchase transactions.

1200-01 GENERAL CORRESPONDENCE FILES

Correspondence, reports, forms, and other records pertaining to the administration and operation of activities dealing with procurement but excluding files described elsewhere in this chapter. Arranged according to subject classification system.

a. Policy Correspondence Files.

Files accumulated by HQ AAFES or oversea exchange system headquarters' offices of primary responsibility which document policy-making procurement instructions and/or significant program management functions.

Permanent. Cutoff at close of fiscal year.

b. Program Correspondence Files.

Files accumulated by any AAFES organizational element which document the basic responsibilities, operations, and administration of the procurement function.

Cutoff at close of fiscal year. Destroy after 3 years.

SECTION 1

PROCUREMENT REQUIREMENTS AND PLANNING FILES

These files pertain to the procurement planning conducted with merchandise requirements submitted for action. Included are seasonal requirements, cycle requirements, market reports, batch listings of buyers selections, fashion trends, and buying plans.

1201-01 SEASONAL REQUIREMENTS/COMMITMENTS FILES

Printouts showing quantities of merchandise items requested by exchanges. Includes branch number, and quantities required.

Cutoff at close of fiscal year. Destroy after 1 year.

1201-02 CYCLE REQUIREMENTS FILES

Printouts showing requirement for cyclical clothing items by exchanges.

Cutoff at close of fiscal year. Destroy after 1 year.

Incl #1

1201-03 MARKET REPORT FILES

Market reports made by buyers before and after attending market sessions. Includes reports on current styles, colors, and trends for the coming season. Copies forwarded to exchanges for information.

Preparing office: Cutoff at close of fiscal year. Destroy after 2 years.

Receiving offices: Cutoff at close of fiscal year. Hold until superseded.

1201-04 BATCH LISTINGS OF BUYERS MARKET SELECTIONS

Printouts of buyers market selections used to assure accuracy of seasonal requirements.

Cutoff at close of fiscal year. Destroy after 1 year.

1201-05 FASHION TRENDS FILES

Reports made by fashion services forecasting clothing style trends for coming season.

Retain until superseded or cancelled.

1201-06 BUYING PLANS FILES

Documents related to plans for seasonal merchandise procurement. Includes requirement placement sheets, requisition number, vendor's name, vendor's copy of order showing quantities, sizes, styles by each item.

Cutoff at close of fiscal year. Destroy after 2 years.

1201-07 BUYERS MARKET SELECTION FILES

Source documents for keypunch. Includes vendor name, item, terms, allowances, shipping points, sell price, and other identifying information.

Cutoff at close of fiscal year. Destroy after 1 year.

SECTION 2

PROCUREMENT MANAGEMENT FILES

The files described in this section pertain to procurement management, including code of conduct certificates, debarred bidders lists, contracting officer designations, contract termination suspense files, customs entry papers, commercial business solicitations, merchandise returned to vendor and delivery orders.

1202-01 CODE OF CONDUCT FILES

Documents relating to requirements assuring that all personnel engaged in procurement activities understand the standards of conduct and ethics required of them, such as reading applicable directives and signing certificates indicating that directives are understood.

Retain in active files until superseded by new certificate or separation of employee, then destroy.

1202-02 DEBARRED BIDDER LIST FILES

Documents relating to the suspension of bidders, prohibiting contractual relations with AAFES. Included are lists of debarred, ineligible, or suspended bidders, reports and recommendations relating to bidders appearing on lists, deletions and additions, and related information.

Retain in active files of contracting officers and representatives until superseded by new list, and destroy.

1202-03 CONTRACTING OFFICER DESIGNATION FILES

Documents reflecting the designation and rescission of contracting officers and representatives, including specific procurement authorities delegated.

Cutoff at close of fiscal year in which rescinded or terminated. Destroy after 6 years.

1202-04 CONTRACT TERMINATION/PROCUREMENT FILES

Reports and related correspondence pertaining to the status of contract termination and procurement activities.

★ Cutoff at close of fiscal year in which contract is terminated. Destroy after 3 years.

1202-05 PROCUREMENT CUSTOMS ENTRY FILES

Documents relating to the entry and duty free admission of merchandise and supplies into non-CONUS areas.

Cutoff at close of fiscal year. Destroy after 5 years.

1202-06 U.S. CUSTOMS CLEARANCE FILES

Documents relating to the clearance of mail and air shipment of items thru U.S. Customs. Files cover merchandise shipped to HQ AAFES for testing and inspection and then returned to oversea exchange systems. Includes Customs Entry Permit, Customs Special Bond forms, Transportation Entry and Manifest of Goods Subject to Inspection and Permit, Shipping documents, and related papers. Arranged numerically by customs entry number.

Cutoff at close of fiscal year. Destroy after 5 years.

1202-07 COMMERCIAL BUSINESS SOLICITATION FILES

Documents relating to approvals and disapprovals of business solicitation activities on AAFES premises. Included are request for and authorization of accreditation, removal of accreditation of companies, agents, vendors, salesmen, and solicitors, and related papers.

Cutoff at close of fiscal year in which removal of accreditation has been made. Destroy after 3 years.

1202-08 OVERSEAS RETURNED MERCHANDISE/EQUIPMENT CASE FILES

Case files documenting return of merchandise and equipment to vendor for credit, repair or replacement because of overshipment, damage/defects, non-conformance, late deliveries, etc. Includes requests and approvals for return submitted by exchange, vendor's agreement to accept returned items, shipping particulars, freight bills and/or bills of lading for inland movements, advice to vendor that account is being debited, and related papers.

Cutoff at close of fiscal year in which vendor is advised of inland movement and amount of debit to vendor's account. Destroy after 6 years.

1202-09 DELIVERY ORDER FILES

Reports prepared to advise exchanges of merchandise on back order. Includes purchase orders, amendments to purchase orders, and vendor's invoices. Arranged alphabetically by vendor.

Preparing office: Cutoff at close of fiscal year, hold until superseded, and destroy.

Receiving offices: Cutoff at close of fiscal year, hold until superseded, and destroy.

SECTION 3

PURCHASE TRANSACTIONS FILES

These files pertain to purchase transactions, including solicitations, price agreements, procurement registers, contracts, contractor payrolls, purchase orders, purchase order logs, and bid invitations returned by vendors without action.

1203-01 SOLICITATION FILES

Solicitations issued for proposals on merchandise and supplies, including terms and conditions, prices, delivery factors, and similar information. Arranged chronologically by close date.

Cutoff at close of fiscal year in which award or rejection is made. Destroy after 6 years.

1203-02 PRICE AGREEMENT NEGOTIATION FILES

Records accumulated during precontract negotiations for price agreements for the procurement of merchandise, equipment and supplies. Included are item description, weight, size, casepack, price and destination terms. Arranged alphabetically by vendor.

Cutoff at close of fiscal year. Destroy after 2 years or upon supersession, whichever is sooner.

1203-03 PRICE AGREEMENT CASE FILES

Official case files documenting price agreements. Includes signed copy of price agreement contract, record copy of price agreement bulletin, record of concurrence action by other interested divisions,

notice of change to PAB, price lists, vendor credit checks, processing records and related correspondence. Arranged by AAFES Department Code, then alphabetically by vendor.

Cutoff at close of fiscal year in which PAB is cancelled for any reason. Destroy after 1 year.

1203-04 PROCUREMENT REGISTER FILES

Registers used to record and control the assignment of numbers to contracts, purchase orders, invitation to bid, requisitions, and similar type documents, and to record other data relative to processing procurement actions.

Cutoff at close of fiscal year in which final entries are made on all procurement action entered for that year. Destroy after 6 years.

★ 1203-05 PURCHASE TRANSACTION CASE FILES

- a. Contracts, purchase orders or comparable instruments.

Cutoff at close of fiscal year in which transaction is completed. Destroy after 6 years.

- b. Open-end contracts. Included are contracts, delivery orders, comparable instruments and related papers.

Cutoff at close of fiscal year in which expired and final payment is made. Destroy after 6 years.

1203-06 CONTRACTOR PAYROLL FILES

Copies of payrolls submitted by construction contractors for use in determining compliance with labor acts, laws, and decisions. Arranged numerically by contract number.

Cutoff at close of fiscal year in which final payment of related contract has been made. Destroy after 3 years.

1203-07 PURCHASE ORDER LOG FILES

Logs or registers showing PO number, date of receipt, item, vendor, buyer, and receiving branch, arranged numerically by branch account number.

Cutoff at close of fiscal year. Destroy after 6 years.

1203-08 NONACTION SOLICITATIONS FILES

Solicitations returned by prospective vendors without bid action.

Cutoff at close of fiscal year in which solicitations are returned without action. Destroy after 1 year.

★ 1203-09 OFFICIAL CONTRACT FILES

These files are maintained in special folders designated "Official Contract File". Papers in the file are grouped by the following areas: A-Pre-Contract Documents; B - Contract and Modifications; C - Correspondence; D - Financial/Insurance Data and Payment Records; E - Contract Performance Contract Progress; F - Fixture, Equipment, Payroll and Labor Compliance Records; G - Drawings and Specifications. A Contract File Check List is fastened to the inside cover of the file. Documents contained in the official contract file include such items as solicitations, source lists, proposals, negotiations, determinations and findings, determinations of bidder responsibility, notices of unsuccessful offerors, the original signed contract and amendments, financial statements, insurance certificates, bonds, inspection records, and other related documents and correspondence.

Cutoff at close of fiscal year in which closed or when final payment is made. Destroy after 6 years.

★ 1203-10 PURCHASE ORDER REFERENCE FILES

Purchase orders identifying the vendor, merchandise, quantities, sell price, destination terms and similar information. Includes open end and definite quantity contract purchase orders held by purchasing offices for administrative or reference purposes.

Cutoff at close of fiscal year. Destroy after 1 year. Earlier destruction is authorized when purpose is served.

SECTION 8

PROCUREMENT RECORDS

The files described in this section pertain to the procurement functions.

1608-01 CONTRACTING OFFICER DESIGNATION FILES

Documents reflecting the designation and rescission of contracting officers and representatives, including specific procurement authorities delegated.

Cutoff at close of fiscal year in which terminated or rescinded. Destroy after 6 years.

★ 1608-02 PURCHASE TRANSACTION CASE FILES

Contracts, purchase orders or comparable instruments.

Cutoff at close of fiscal year in which transaction is completed. Destroy after 6 years.

1608-03 CONSTRUCTION CONTRACT FILES

Exchange copies of construction projects files maintained in special folders designated "Official Contract File." Papers in the file are grouped by the following areas: A — Pre-Contract Documents; B — Contract and Modifications; C — Correspondence; D — Financial/Insurance Data and Payment Records; E — Contract Performance Contract Progress; F — Fixture, Equipment, Payroll and Labor Compliance Records; G — Drawings and Specifications. Documents contained in the file may include exchange copies of such items as solicitations, source lists, proposals, negotiations,

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determinations and findings, determinations of bidder responsibility, notices to unsuccessful offerors, copies of the contract and amendments, financial statements, insurance certificates, bonds, inspection records, and other related documents and correspondence.

Cutoff upon completion of contract. Destroy after 6 years.

1608-04 ISSUE SLIP FILES

Store/branch issue slips recording the transfer of merchandise between facilities with same account number, such as stockroom to store or main store to annexes. Maintained by retail branches for merchandise accountability purposes. Arranged by location, then chronologically.

Cutoff monthly. Destroy after 1 year.

1608-05 TRANSFER VOUCHER FILES

Store/branch copies of transfer vouchers reflecting receipts and shipments of merchandise and equipment between branches. Arranged chronologically or by location, as appropriate.

Cutoff at close of fiscal year. Destroy after 1 year.

1608-06 RECEIVING REPORT FILES

Branch copies of purchase orders, receiving reports, invoices, and similar records covering incoming shipments of merchandise and supplies. Arranged alphabetically by vendor or numerically by purchase order, whichever is applicable.

★ Cutoff at close of fiscal year in which official inventory is taken. Destroy after 1 year.

1608-07 VENDOR REFERENCE MATERIAL FILES

Papers listing supplies and services offered by vendors. May include catalogs, brochures, mailing lists, etc.

Destroy when superseded, obsolete, or no longer needed.

★ 1608-08 CONTRACT TERMINATION/PROCUREMENT FILES

Reports and related correspondence pertaining to the status of contract termination and procurement activities.

Cutoff at close of fiscal year in which contract is terminated. Destroy after 3 years.

★ 1608-09 PURCHASE ORDER REFERENCE FILES

Purchase orders identifying the vendor, merchandise, quantities, sell price, destination terms and similar information. Includes open end and definite quantity contract purchase orders held by purchasing offices for administrative or reference purposes.

Cutoff at close of fiscal year. Destroy after 1 year. Earlier destruction is authorized when purpose is served.