

REQUEST FOR RECORD DISPOSITION AUTHORITY
(See instructions on reverse)

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

1. FROM AGENCY OR ESTABLISHMENT

Defense Nuclear Agency

2. MAJOR SUBDIVISION

Personnel/Administration Directorate

3. MINOR SUBDIVISION

Administrative Services Division

4. NAME OF PERSON WITH WHOM TO CONFER

Pauline E. Korpanty

5. TEL EXT

325-7058

LEAVE BLANK	
JOB NO	
NCI-314-81-44	
DATE RECEIVED	
2 OCT 1980	
NOTIFICATION TO AGENCY	
In accordance with the provisions of 41 U.S.C. 3303a the disposal request, including attachments, is approved for the records that may be disposed of after the retention period specified in the schedule.	
3-30-81	<i>[Signature]</i>
Date	Signature of the official

6. CERTIFICATE OF AGENCY REPRESENTATIVE

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records; that the records proposed for disposal in this Request of 8 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified.

☐ A Request for immediate disposal.

☒ B Request for disposal after a specified period of time or request for permanent retention.

C. DATE	D. SIGNATURE OF AGENCY REPRESENTATIVE	E. TITLE
SEP 24 1980	<i>Pauline E. Korpanty</i>	Records Administrator
7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.
1401 (1402 & 1403)	<p><u>PROCUREMENT POLICY AND INDIVIDUAL PROCUREMENT TRANSACTION FILES.</u> (The files accumulate almost exclusively in the HQ Acquisition Management Directorate, the AFRRI Logistics Department, and the FCDNA Acquisition Management Office.)</p> <p>1. These files relate to the supervision and administration of DNA procurement of supplies, equipment, and services.</p> <p>2. They also relate to the administration of individual procurement transactions which include documents relating to the negotiation, commitment, and placement of contracts, purchase orders, and comparable instruments.</p> <p>3. Files required for documentation of individual procurement transactions are listed and identified in the DAR. Also included, when applicable, are contract termination files, contract renegotiation files, contract appeal files, and other documents as specified by the appropriate command headquarters as essential to completion of the individual transaction files. These files may accumulate in various operating elements of a procurement office. The element responsible for a function which results in creation of a particular file will be designated as the office of record and will be responsible for complete documentation of that</p>	
		10. ACTION TAKEN

Changes made with DNA concurrently 9/17/81
Closed Out: 4-3-81: R.T.D.
Copy to Agency

25 items

Request for Records Disposition Authority - Continuation

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ITEM NO8. DESCRIPTION OF ITEM
(With Inclusive Dates or Retention Periods)9.
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(1401 - continued)

function in order that duplicate material maintained by other elements can be destroyed without extensive checking to determine the extent of duplication. Files of each operating element will be transferred to the RHA or appropriate records centers without consolidation with files of other elements relating to the same contract. No consolidation or paper-by-paper screening of files will be accomplished in RHAs or records centers. Files that are known to be pertinent to an unsettled claim, incomplete investigation, or pending litigation will not be destroyed until settlement of the claim or completion of the investigation or litigation. In addition, records relating to contracts involved in appeals handled by a Board of Contract Appeals will be retained for a period of 7 years from the date of the decision of the Board.

4. The disposition instructions below do not apply to specific types of contracts described in other sections of this Instruction for which differing disposition instructions are prescribed.

1401.01
(1402-01)

~~CONTRACT STATUTORY RESTRICTION FILES. Documents used in developing standard contract forms and clauses and in authorizing deviations from them. Included are copies of statutory requirements, coordination documents; studies; requests, approvals, and disapprovals of deviations; and similar documents. a. Documents relating to the development of standard forms and clauses: Permanent. Offer NARS in 10 year blocks when office performing DMR is cut off on completion of action, wide staff b. Other files: such as publication of clause or form, on approval or disapproval of deviation. Destroy 10 years after cutoff.~~

Withdrawn

of standard forms
20-30 years old.

Cut off

1401.02
(1402-02)

DETERMINATION AND FINDINGS FILES. Documents related to determinations and findings required prior to negotiation of contracts. Included are determinations and findings and directly related correspondence.

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

Destroy when 6 years old.

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1401.03 (1402-09)	<p><u>COMPANY PRICING FILES.</u> 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.</p> <p>Destroy 4 years after establishment of a revised pricing agreement or when the commercial concern is no longer considered a prospective source of supply, <i>whichever is earlier.</i></p>		
1401.04 (1402-11)	<p><u>BUY AMERICAN ACT FILES.</u> Documents relating to implementation of the Buy American Act. Included are determinations, requests for exceptions with related approvals or disapprovals, lists of excepted items and materials, reports of violations, similar documents, and related correspondence. Files relating to specific contracts will be destroyed therewith.</p> <p><i>Cut off annually.</i></p> <p>Retire to WNRC 3 years after cutoff if volume warrants (more than 1 cubic foot); destroy 10 years after cutoff.</p>		
1401.05 (1402-12)	<p><u>CONTRACT REVIEW FILES.</u> 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 copies of contracts, worksheets, and related correspondence.</p> <p><i>in accordance with disposition instructions</i></p> <p>Destroy when 6 years old or after completion of review <i>for the related contract file.</i></p>		
1401.06 (1402-13)	<p><u>BID AND AWARD PROTEST FILES.</u> Documents relating to actions taken with respect to correcting mistakes in bids and in settling protests of award. Included are copies of bids, contracts, and notices of awards; decisions; copies of statutes; and related papers.</p> <p>PERMANENT. Cut off on final determination. Retire to WNRC 3 years after cutoff, offer to National Archives 20 years after cutoff.</p> <p><i>Destroy 10 years after final action or decision.</i></p>		

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1401.07 (1402-14)	<p><u>CONTRACT APPEAL FILES</u> (documents compiled by contracting officers and transmitted through channels to the Armed Services Board of Contract Appeals). These files relate to appeals by contractors from decisions on disputed questions by contracting officers or their authorized representative pursuant to Appendix A, DAR. Included are all documents pertinent to the appeal, such as findings of facts; and the decision from which the appeal is taken; the contract and pertinent plans, specifications, amendments, and change orders; correspondence between the parties; transcripts of testimony taken during the course of the proceedings on the matter in dispute prior to filing the notice of appeal with the Board; and such additional documents as the contracting officer may consider essential or as may be designated by the Board.</p> <p>a. Final decisions and decisions of the Board:</p> <p>(1) CRM: Preserve - 100-1000-3 and offer to National Archives 10 years after cutoff.</p> <p>(2) CRM: Transfer to RMA 2 years after cutoff and to NMARS 5 years after cutoff. Offer to National Archives 20 years after cutoff.</p> <p>b. Remaining files of the Board: Cut off on final decision of the Board; destroy 10 years after cutoff.</p>		
1401.08 (1402-19)	<p><u>DEBARRED BIDDER LIST FILES.</u> 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.</p> <p>a. Documents used in placing a bidder on such a list: <i>Destroy when no longer needed for current operations.</i></p> <p>b. Lists and remaining documents: Destroy when superseded or obsolete.</p>		

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1401.09 (1402-21)	<p><u>TECHNICAL DATA PACKAGE FILES.</u> Copies of documents or micro-film images assembled for the purpose of providing prospective bidders complete information relative to materiel required.</p> <p>a. The <u>performance-type</u> technical data package includes documents that establish performance requirements supplemented by quality assurance provisions and form and fit limits. These documents express in narrative form, the output, function, or operation and leave the detailed design, fabrication, and internal working to the manufacturer's option.</p> <p>b. The <u>design-type</u> technical data package includes data necessary to manufacture a product conforming to established design. These packages contain data essential to insure proper performance and to permit manufacture of the item by a competent manufacturer. Included are lists of contents, lists of drawing numbers, lists of parts, lists of parts lists, lists of GFE, lists of package data sheets, lists of supplementary quality assurance provisions, lists of gauge numbers, lists of gauge lists, engineering drawings, lists of specifications and standards, lists of specifications and standards lists, gauge drawings, package data sheets, specifications and standards, purchase descriptions, and similar data.</p> <p>Destroy when superseded, obsolete, or no longer needed for operations.</p>		
1401.10 (1402-22)	<p><u>ADVANCE PLANNING PROCUREMENT FILES.</u> Documents relating to the release of advance planning information to industrial firms for their use in future planning and to aid in submitting bids for required material. Included are synopses of advance procurement planning information, lists of bidders, inquiries from industrial firms and answers thereto, reports, and related papers.</p> <p>Destroy when 6 years old.</p>		
1401.11 (1403-01)	<p><u>TRANSACTIONS FOR \$10,000 OR LESS.</u> Contracts, purchase orders, delivery orders or comparable instruments for \$10,000 or less.</p>		

GRS 3, Item 4

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(1401.11)	<p>- continued)</p> <p>a. <i>Transactions of \$10,000 or less</i> and transactions dated <i>prior to</i> after 26 July 1974 involving amounts of <i>less</i> more than \$2,500: Destroy 3 years after final payment, except that records relating to contracts involved in appeals handled by a Board of Contract Appeals will be destroyed 7 years after date of decision of the Board.</p> <p>b. Transactions pre-dating 26 July 1974 involving amounts of more than \$2,500: Destroy 6 years after final payment.</p>	GRS 3, Item 4a(2)	
<p>1401.12 (1403-02)</p>	<p>UNSUCCESSFUL BID FILES. Documents relating to unsuccessful bids (including the bids), and all unsuccessful proposals or quotations for contracts of \$10,000 or less.</p> <p>NOTE: Unsuccessful bids filed with the contract files will be destroyed with the contract.</p> <p><i>in accordance with disposition instructions for</i></p> <p>Destroy on final payment of related contract, or 1 year after date of award of contract, whichever ever is later.</p>	GRS 3, Item 4a	
<p>1401.13 (1403-03)</p>	<p>TRANSACTIONS FOR MORE THAN \$10,000. Contracts, delivery orders, or comparable instruments for amounts of more than \$10,000.</p> <p>a. HQ DNA and AFRR: Hold in CFA 2 years after cutoff; retire to WNRC; destroy 6 years and 3 months after final payment, except that records relating to contracts involved in appeals handled by a Board of Contract Appeals will be destroyed 7 years after date of decision of the Board. Earlier shipment of closed out contracts to WNRC may be authorized if it precludes the acquisition of new filing equipment in CFA.</p>	GRS 3, Item 4a(1)	

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(1401.13)	continued)		
	b. FCDNA: Hold in CFA 2 years after cutoff; transfer to RHA; destroy 6 years and 3 months after final payment, except that records relating to contracts involved in appeals handled by a Board of Contract Appeals will be destroyed 7 years after date of decision of the Board.		
1401.14 (1403-10)	<p><u>PROCUREMENT DIRECTIVE FILES.</u> Documents used in initiating procurement or production action. Included are procurement directives, purchase orders, purchase authorizations, requisitions (when used as a direct basis for purchase), consolidated bidders lists, written bids, summaries of proposals, abstracts of bids, cost analyses reports, and related papers.</p> <p>a. Directives canceled prior to award of contract or purchase order: Destroy when 2 years old.</p> <p>b. Other files: Destroy when 6 years old. Do not retire.</p>		
1401.15 (1403-11)	<p><u>PROCUREMENT ACTION REPORTING FILES.</u> 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, semi-annual, 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.</p> <p>Consolidated reports and summaries: Destroy 2 years after the end of the FY of preparation.</p>		
1401.16 (1403-16)	<p><u>INTERDEPARTMENTAL PURCHASE REQUEST FILES.</u> 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.</p> <p>Destroy when 5 years old.</p>		

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<u>1401.17</u> (1403-17)	<u>PROCUREMENT INSPECTION FILES.</u> Documents relating to the inspection and audit of procurement matters and contracts. Included are copies or extracts of reports made by inspectors general, (the OSD counterpart to the Army Audit Agency), GAO, and supervisory offices; documents indicating corrective action taken; and related correspondence. Destroy when 6 years old or 6 years after final payment of related contract, whichever is later.		
<u>1401.18</u> (1403-18)	<u>CONTRACTING OFFICER DESIGNATION FILES.</u> Documents reflecting the designation and recession of contracting officers and contracting officer's representatives which include the specific procurement authorities delegated. Destroy 6 years after recession or termination.		
<u>1401.19</u> (1403-20)	<u>TAX EXEMPTION CERTIFICATE FILES.</u> 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. Destroy when ³ 4 years old after period covered by related account.		GRS 3, Item 13