

DEPARTMENT OF ENERGY

ADMINISTRATIVE RECORDS SCHEDULE 3: PROCUREMENT, SUPPLY, AND GRANT RECORDS

07-31-02

Procurement and supply records are used in documenting the acquisition of goods and nonpersonal services, controlling the volume of stock on hand, reporting procurement needs, and related supply matters which constitute a part of daily procurement operations. The basic procurement files reflect a considerable range of procedure from simple, small purchases to complicated, prime contractor and subcontractor operations.

Copies of procurement papers integrated into other files, such as project files or general subject files pertaining to program operations, are not covered by this schedule.

General Accounting Office auditors may audit the contract files maintained in contracting offices.

Disregard records retention schedules and retain records relating to any claim filed by or against the Government until that claim is finally resolved or unless the General Accounting Office provides written approval to destroy the claim file (44 U.S.C. Section 3309 and 62 Comp. Gen. 42 (1982)). A claim is finally resolved: (1) when it is disallowed and the time for appealing the denial or instituting suit on the claim has expired; or (2) when it is allowed and paid, or the amount offered in compromise is accepted and paid; or (3) when the amount found due and owing proves uncollectible because time limits for collecting the indebtedness through legal proceedings or by way of setoff have expired.

Regulations of the Comptroller General and the Administrator of General Services generally standardize the records documenting procurement and supply by requiring that the official contract files contain a minimum core of specified documents.

The key procurement file is the transaction case file containing records such as the formal contract, an informal purchase order, lease instruments, and related papers. The documents maintained in the transaction file may differ in detail, but they include, in addition to the purchase document, specifications, bids, schedules of delivery, initiating requisition, invoices, and correspondence. Copies of these documents may be used for expediting and other administrative purposes in the various organizations that perform procurement related functions such as, inspections, and expediting shipments.

This records schedule also includes the reports used for supply management purposes. Other files that relate to the procurement and supply function include requisition and stock inventory files and other minor supply papers. Important procurement records are the title papers that document the acquisition of real property (by purchase, condemnation, donation, exchange, or otherwise). Title papers are required to be retained by the Government for as long as the property remains in Government hands. Also retain the title papers for property sold or released conditionally or for

property released with recapture clauses. For properties presumed to have been conveyed by quitclaim deed, confirm this prior to disposing of the title papers. In addition, retain the title papers to properties disposed of by general or special warranty deed for defense of the title, if necessary.

Prior to the destruction of any title evidence, ascertain that only the specific property sold by the government was covered. Property is often disposed of in parcels of varying sizes and whenever the Government retains title to any portion of a described property, the title evidence must be retained.

This schedule also includes administrative records related to grant programs. Grant programs may involve projects that are contracted for between the Department of an outside party.

All records described in this schedule are authorized for disposal in both hard copy and electronic formats. Retirement of non-current records to inactive storage is authorized.

1. Real Property Files.

Title papers documenting the acquisition of real property (by purchase, condemnation, donation, exchange, or otherwise), excluding records relating to property acquired prior to January 1, 1921.

- a. Records relating to property acquired after December 31, 1920, other than abstract or certificate of title. (NI-434-98-6)

Destroy 75 years after unconditional sale or release by the Government of the property, i.e, free of all conditions, restrictions, mortgages or other liens.

- b. Abstract or certificate of title. (GRS 3, item 1)

Transfer to purchaser after unconditional sale or release by the Government of conditions, restrictions, mortgages, or other liens.

[NOTE: Records relating to property acquired prior to January 1, 1921, are not covered by the GRS and must be scheduled by submission of a Standard Form (SF) 115 to NARA.]

2. General Correspondence Files. (GRS 3, item 2)

Correspondence files of operating procurement units concerning internal operation and administration matters not covered elsewhere in this schedule.

Destroy when 2 years old.

3. Routine Procurement Files. (NI-434-98-6)

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 in items 1 and 12).

a. Procurement or purchase organization copy, and related papers.

(1) Transaction dated on or after July 3, 1995 (the effective date of the Federal Acquisition Regulations (FAR) rule defining “simplified acquisition threshold”).

(a) Transactions that exceed the simplified acquisition threshold and all construction contracts exceeding \$2,000.

Destroy 6 years and 3 months after final payment.

(b) Transactions at or below the simplified acquisition threshold and all construction contracts at or below \$2000.

Destroy 3 years after final payment.

(2) Transactions dated earlier than July 3, 1995.

(a) Transactions that utilize other than small purchase procedures and all construction contracts exceeding \$2,000.

Destroy 6 years and 3 months after final payment.

(b) Transactions that utilize small purchase procedures and all construction contracts under \$2,000.

Destroy 3 years after final payment.

[NOTE: Given the complexities of the rules on procurement, agencies should involve procurement officials when deciding which of the subitems to apply to a particular series of records.

b. Obligation copy. (GRS 3, item 3b)

Destroy when funds are obligated.

c. Other copies of records described above used by component elements of a

procurement office for administrative purposes.

Destroy upon termination or completion. (GRS 3, item 3c)

- d. 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.

Destroy or delete when 5 years old.

[NOTE: NARA no longer considers that a unique procurement file may possibly have long-term research value. See the “NOTE” at ADM 3, item 1. The standardization of the Government-wide procurement process under the Federal Acquisition Regulations, has made such files unlikely to have such value, however, if anyone believes that a unique procurement file does have long-term research value, submit an SF 115 to NARA to schedule that file as a record of permanent value]

3.1 Pension Case Files. (NN-173-232)

Pension plan case files consisting of cost-type contractor pension plans, modifications, and amendments; correspondence, reports, studies, and analyses; negotiations; DOE requirements for acceptance and modification; funding and cost data; industry pension plan comparability studies.

- a. Case for which DOE has continuing obligations or liability for pension plan claims or adjustments after contract completion or termination.

Cut off annually. Destroy 80 years after contract completion or termination.

- b. Cases for which DOE has no obligations for liability after contract completion or termination.

Cut off annually. Destroy 6 years and 3 months after contract completion or termination.

3.2 Casualty Insurance Case Files. (NN-173-232)

Casualty insurance (including workman’s compensation) plan case files that consist of casualty insurance coverage plans for DOE cost-type contractors, including policies, endorsements, reports, correspondence, studies, analyses, actuarial data, and computations. Included is information showing premium adjustments, coverage, funding,

billing, and losses incurred.

- a. Cases assigned to or administered by DOE upon contract completion or termination.

Cut off annually. Destroy 80 years after contract completion or termination.

- b. Cases for which DOE has no obligation or liability after contract completion or termination.

Cut off annually. Destroy 6 years and 3 months after contract completion or termination.

4. Supply Management Files. (GRS 3, item 4)

Files of reports on supply requirements and procurement matters submitted for supply management purposes (other than those incorporated in case files or other files of a general nature).

- a. Copies received from other units for internal purposes or for transmission to staff agencies.

Destroy when 2 years old.

- b. Copies in other reporting units and related working documents.

Destroy when 1 year old.

5. Solicited and Unsolicited Bids and Proposals Files. (GRS 3, item 5)

- a. Successful bids and proposals.

Destroy with related contract case files (see item 3 of this schedule).

- b. Solicited and unsolicited unsuccessful bids and proposals.

- (1) Relating to small purchases as defined in the Federal Acquisition Regulation, 48 CFR Part 13.

Destroy 1 year after date of award or final payment, whichever is later.

- (2) Relating to transactions above the small purchase limitations in 48 CFR Part 13.

(a) When filed separately from contract case files.

Destroy when related contract is completed.

(b) When filed with contract case files.

Destroy with related contract case file (see item 3 of this schedule).

c. Canceled solicitations files.

(1) Formal solicitations of offers to provide products or services (e.g., Invitations for Bids, Requests for Proposals, Requests for Quotations which were canceled prior to award of a contract. The files include 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 the cancellation.

Destroy 5 years after date of cancellation.

(2) Unopened bids.

Return to bidder.

d. Lists or card files of acceptable bidders.

Destroy when superseded or obsolete.

6. Public Printer Files. (GRS 3, item 6)

Records relating to requisitions on the Printer, and all supporting papers.

a. Printing procurement unit copy of requisition, invoice, specifications, and related papers.

Destroy 3 years after completion or cancellation of requisition.

b. Accounting copy of requisition.

Destroy 3 years after period covered by related account.

7. Nonpersonal Requisition File. (GRS 3, item 7)

Requisitions for nonpersonal services, such as duplicating, laundry, binding, and other

services (excluding records associated with accountable officers' accounts, ADM Schedule 6).

Destroy when 1 year old.

8. Inventory Requisition File. (GRS 3, item 8)

Requisitions for supplies and equipment for current inventory.

- a. Stockroom copy.

Destroy 2 years after completion or cancellation of requisition.

- b. All other copies.

Destroy when 6 months old.

9. Inventory Files.

- a. Inventory lists.

Destroy 2 years from date of list unless subject to retention by item 9c, below, due to inventory discrepancies. (GRS 3, item 9a)

- b. Inventory cards.

Destroy 2 years after discontinuance of item or 2 years after stock balance is transferred to new card or recorded under a new classification. or 2 years after equipment is removed from agency control. (GRS 3, item 9b)

- c. Report of survey files and other papers used as evidence for adjustment of inventory records, not otherwise covered in the GRS. Includes documentation indicating inventory discrepancies.

Destroy 10 years after date of survey action or date of posting medium. (NI-434-98-6)

10. Telephone Records. (GRS 3, item 10)

Telephone statements and toll slips.

Destroy 3 years after period covered by related account.

11. Contractors' Payroll Files. (GRS 3, item 11)

Contractors' payrolls (construction contracts) submitted in accordance with Department of Labor regulations, with related certifications, antikickback affidavits, and other related papers.

Destroy 3 years after date of completion of contract unless contract performance is subject of enforcement action on such date.

12. Tax Exemption Files. (GRS 3, item 12)

Tax exemption certificates and related papers.

Destroy 3 years after period covered by related account.

13. Unsuccessful Grant Application Files. (GRS 3, item 13)

Applications, correspondence, and other records relating to unsuccessful (rejected or withdrawn) applications.

Destroy 3 years after rejection or withdrawal.

14. Grant Administrative Files. (GRS 3, item 14)

Correspondence and/or subject files relating to routine operations and daily activities in administration of the grant program.

Destroy when 2 years old.

14.1 Grant Files. (N1-434-95-1)

(NOTE: The scope of this request for Records Disposition Authority has been expanded to apply to all Department of Energy HQ and Field units, per conversation M.A. Wallace/DOE and R. MacKay/NARA NIR (7/22/95). No further "Request for Disposition Authority" will be required for all future grants requiring disposition after final closeout, as this request will be sufficient to satisfy the requirements for disposition for all grant files.)

Records relating to Federal Financial Assistance awarded to grantees for Institutional Conservation Program, Weatherization Assistance Program, State Energy Conservation Program, Energy Extension Service, and Misc. Discretionary Programs. Files include Notification of Financial Assistance Awards, Financial Status Reports, Request for Reimbursements, Project Status Reports and other Government agency reports, as well as

general correspondence and other communication pertinent to the grant.

Transfer to Federal Records Center at least one (1) year from date of final closeout of grant. Destroy records six (6) years, three (3) months after final closeout of grant.

15. Contract Appeals Case Files. (GRS 3, item 15)

Contract appeals case files arising under the Contracts Dispute Act, consisting of notices of appeal and acknowledgments thereof; correspondence between parties; copies of contracts, plans, specifications, exhibits, change orders, and amendments; transcripts of hearings; documents received from parties concerned; final decisions; and all other related papers.

a. Records created prior to October 1, 1979.

Destroy 6 years, 3 months after final action on decision.

b. Records created after September 30, 1979.

Destroy 1 year after final action on decision.

16. Contractor's Statement of Contingent or Other Fees. (GRS 3, item 16)

Standard Form 119, Contractor's Statement of Contingent or Other Fees, or statement in lieu of the form, filed separately from the contract case file and maintained for enforcement or report purposes.

Destroy when superseded or obsolete.

17. Small and Disadvantaged Business Utilization Files. (GRS 3, item 17)

Correspondence, reports, studies, goal statements, and other records relating to the small and disadvantaged business utilization program, as required by Pub.L. 95-507.

Destroy when 3 years old.

18. Electronic Mail and Word Processing System Copies. (NI-434-98-6)

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

- a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

Destroy/delete within 180 days after the recordkeeping copy has been produced.

- b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

Destroy/delete when dissemination, revision, or updating is completed.