

Procurement, Supply, and Grant Records

Agency procurement and supply records document the acquisition of goods and non-personal services, controlling the volume of stock on hand, reporting procurement needs, and related supply matters which are 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.

Any records created prior to 1895 must first be offered to the National Archives and Records Administration (NARA) for appraisal before applying the disposal instructions. Frequently copies of procurement papers become integral parts of the other files in the agency, such as project files of various types or general subject files pertaining to program operations; such copies are not covered by this schedule because they cannot be considered and evaluated separately from the files of which they are a part.

The General Accounting Office (GAO) no longer requires agencies to maintain a separate file of contracts for site audit. The agency contract files maintained in the contracting officer's office are accessible to GAO auditors and have generally been used by them in the past.

When a claim is filed by or against the Government, records relating to the claim should be retained without regard to the otherwise applicable records retention schedules which would have authorized destruction of the records prior to the time when the claim is finally resolved unless the agency has received written approval from the GAO (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.

Records documenting procurement and supply in the agencies are largely standardized by various regulations of the Comptroller General and the Administrator of General Services. The physical arrangement of the transaction files themselves differs in the various agencies, however. In all agencies the official contract files, for example, contain a minimum core of specified documents, but there are also other documents that vary in accordance with what the individual agency deems to be best for its own operating purposes.

The key procurement file is the transaction case file containing the formal contract or informal purchase order or lease instruments and all related papers. The documents flowing into the transaction file differ in detail, but they include, in addition to the purchase document, specifications, bids, schedules of delivery, the initiating requisition, invoices, and correspondence. Other copies of these documents, made for expediting and

other administrative purposes, are scattered throughout the inspection, shipping, expediting, and other units of the agency procurement organization.

Other files related to the procurement and supply function include reports used for supply management purposes by the agency creating the records as well as the staff agency involved with Government-wide programs. They also include local requisition and stock inventory files and other minor supply papers. Of a specialized character in the procurement field are the title papers documenting the acquisition of real property (by purchase, condemnation, donation, exchange, or otherwise). These papers are required by the Government as long as the property remains in Government hands or if it has been sold or released -- conditionally or with recapture clauses. When properties are disposed of by quitclaim deeds, this fact should be confirmed prior to the disposal of title papers, since the title evidence might be needed by the Government to defend the title in the event the properties were disposed of by deeds containing general or special warranties.

It should also be ascertained that the title evidence relates only to the properties which were sold by the Government. In many instances, lands acquired by the Government are disposed of in different size parcels, and if the Government retains the title to any portion the title evidence should be retained.

This schedule includes some of the common agency records relating to grant programs. Since many Federal agencies conduct grant programs which document projects contracted between the agency and an outside party, these records are included as an adjunct to the procurement and supply records.

Instructions given are for record copies. All other copies are treated as informational unless separately scheduled. Informational copies cannot be retained beyond the retention period for the recordkeeping copies.

1. Real Property Files.

See note after item 1b.

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.

Disposition: Temporary.

Recordkeeping Copies: Dispose 10 years after unconditional sale or release by the Government of conditions, restrictions, mortgages or other liens.

Disposition Authority: [GRS 3, Item 1a]

- b. Abstract or certificate of title.

Disposition: Temporary.

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

Disposition Authority: [GRS 3, Item 1b]

[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.

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

Disposition: Temporary.

Recordkeeping Copies: Destroy when 2 years old.

Disposition Authority: [GRS 3, Item 2]

3. Routine Procurement Files.

See note after item 3d.

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). [See note after item 3a(2)(b).]

- 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.

Disposition: Temporary.

Recordkeeping Copies: Destroy 6 years and 3 months after final payment.

Disposition Authority: [GRS 3, Item 3a(1)(a)]

- (b) Transactions at or below the simplified acquisition threshold and all construction contracts at or below \$2,000.

Disposition: Temporary.

Recordkeeping Copies: Destroy 3 years after final payment.

Disposition Authority: [GRS 3, Item 3a(1)(b)]

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

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

Disposition: Temporary.

Recordkeeping Copies: Destroy 6 years and 3 months after final payment.

Disposition Authority: [GRS 3, Item 3a(2)(a)]

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

Disposition: Temporary.

Recordkeeping Copies: Destroy 3 years after final payment.

Disposition Authority: [GRS 3, Item 3a(2)(b)]

[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.

Disposition: Temporary.

Recordkeeping Copies: Destroy when funds are obligated.

Disposition Authority: [GRS 3, Item 3b]

- c. Other copies of records described above used by component elements of a procurement office for administrative purposes.

Disposition: Temporary.

Recordkeeping Copies: Destroy upon termination or completion.

Disposition Authority: [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.

Disposition: Temporary.

Recordkeeping Copies: Destroy or delete when 5 years old.

Disposition Authority: [GRS 3, Item 3d]

[NOTE: Unique procurement files are not covered by this schedule. With the standardization of the Government-wide procurement process under the FAR, such files are unlikely to exist. However, if an agency believes that a procurement file that has long-term research value, the records officer should submit an SF 115.]

4. Supply Management Files.

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), exclusive of Department of Defense Reports reflecting procurement under exemptions authorized under Section 201(a) of the Federal Property and Administrative Services Act of 1949 (40 U.S.C. 481).

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

Disposition: Temporary.

Recordkeeping Copies: Destroy when 2 years old.

Disposition Authority: [GRS 3, Item 4a]

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

Disposition: Temporary.

Recordkeeping Copies: Destroy when 1 year old.

Disposition Authority: [GRS 3, Item 4b]

5. Solicited and Unsolicited Bids and Proposals Files.

- a. Successful bids and proposals.

Disposition: Temporary.

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

Disposition Authority: [GRS 3, Item 5a]

- b. Solicited and unsolicited unsuccessful bids and proposals.

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

Disposition: Temporary.

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

Disposition Authority: [GRS 3, Item 5b(1)]

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

- (a) When filed separately from contract case files.

Disposition: Temporary.

Recordkeeping Copies: Destroy when related contract is completed.

Disposition Authority: [GRS 3, Item 5b(2)(a)]

- (b) When filed with contract case files.

Disposition: Temporary.

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

Disposition Authority: [GRS 3, Item 5b(2)(b)]

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.

Disposition: Temporary.

Recordkeeping Copies: Destroy 5 years after date of cancellation.

Disposition Authority: [GRS 3, Item 5c(1)]

(2) Unopened bids.

Disposition: Temporary.

Recordkeeping Copies: Return to bidder.

Disposition Authority: [GRS 3, Item 5c(2)]

d. Lists or card files of acceptable bidders.

Disposition: Temporary.

Recordkeeping Copies: Destroy when superseded or obsolete.

Disposition Authority: [GRS 3, Item 5d]

6. Public Printer Files.

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

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

Disposition: Temporary.

Recordkeeping Copies: Destroy 3 years after completion or cancellation of requisition.

Disposition Authority: [GRS 3, Item 6a]

- b. Accounting copy of requisition.

Disposition: Temporary.

Recordkeeping Copies: Destroy 3 years after period covered by related account.

Disposition Authority: [GRS 3, Item 66]

7. Nonpersonal Requisition File.

Requisitions for nonpersonal services, such as duplicating, laundry, binding, and other services (excluding records associated with accountable officers' accounts (Schedule 6)).

Disposition: Temporary.

Recordkeeping Copies: Destroy when 1 year old.

Disposition Authority: [GRS 3, Item 7]

8. Inventory Requisition File.

Requisitions for supplies and equipment for current inventory.

- a. Stockroom copy.

Disposition: Temporary.

Recordkeeping Copies: Destroy 2 years after completion or cancellation of requisition.

Disposition Authority: [GRS 3, Item 8a]

- b. All other copies.

Disposition: Temporary.

Recordkeeping Copies: Destroy when 6 months old.

Disposition Authority: [GRS 3, Item 8b]

9. Inventory Files.

- a. Inventory lists.

Disposition: Temporary.

Recordkeeping Copies: Destroy 2 years from date of list.

Disposition Authority: [GRS 3, Item 9a]

- b. Inventory cards.

Disposition: Temporary.

Recordkeeping Copies: Destroy 2 years after discontinuance of item, 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.

Disposition Authority: [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.

Disposition: Temporary.

Recordkeeping Copies: Destroy 2 years after date of survey action or date of posting medium.

Disposition Authority: [GRS 3, Item 9c]

10. Telephone Records.

Telephone statements and toll slips.

Disposition: Temporary.

Recordkeeping Copies: Destroy 3 years after period covered by related account.

Disposition Authority: [GRS 3, Item 10]

11. Contractors' Payroll Files.

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

Disposition: Temporary.

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

Disposition Authority: [GRS 3, Item 11]

12. Tax Exemption Files.

Tax exemption certificates and related papers.

Disposition: Temporary.

Recordkeeping Copies: Destroy 3 years after period covered by related account.

Disposition Authority: [GRS 3, Item 12]

13. Unsuccessful Grant Application Files.

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

Disposition: Temporary.

Recordkeeping Copies: Destroy 3 years after rejection or withdrawal.

Disposition Authority: [GRS 3, Item 13]

14. Grant Administrative Files.

See note after this item.

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

Disposition: Temporary.

Recordkeeping Copies: Destroy when 2 years old.

Disposition Authority: [GRS 3, Item 14]

[NOTE: Grant case files, which include accepted applications among many other documents, substantive correspondence and subject files relating to grant programs, and final product files, cannot be scheduled in the GRS. The types and significance of grant programs and the contents of the files vary, so no single disposition can be applied to the files on a Government-wide basis. To schedule these records, agencies must submit an SF 115 to NARA.]

15. Contract Appeals Case Files.

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.

Disposition: Temporary.

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

Disposition Authority: [GRS 3, Item 15a]

- b. Records created after September 30, 1979.

Disposition: Temporary.

Recordkeeping Copies: Destroy 1 year after final action on decision.

Disposition Authority: [GRS 3, Item 15b]

16. Contractor's Statement of Contingent or Other Fees.

SF 119, 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.

Disposition: Temporary.

Recordkeeping Copies: Destroy when superseded or obsolete.

Disposition Authority: [GRS 3, Item 16]

17. Small and Disadvantaged Business Utilization Files.

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

Disposition: Temporary.

Recordkeeping Copies: Destroy when 3 years old.

Disposition Authority: [GRS 3, Item 17]

18. Electronic Mail and Word Processing System Copies.

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.

Disposition: Temporary.

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

Disposition Authority: [GRS 3, Item 18a]

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

Disposition: Temporary.

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

Disposition Authority: [GRS 3, Item 18b]