

Schedule 3 - Procurement, Supply, and Grant Records

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Introduction

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 documents become integral parts of other files, 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 Bureau of Land Management (BLM) 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 USC 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 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, 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 Governmentwide 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.

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This schedule does not apply to Interior Department records relating to the public domain (see Schedule 4) or to the title opinion files of the Department of Justice.

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.

A new item has been added to this schedule to authorize the destruction of electronic mail and word processing records maintained by the BLM in addition to the copy in the recordkeeping system. This item covers electronic copies of electronic mail and word processing records created and used solely to produce the recordkeeping copy, and electronic copies of electronic mail and word processing records that are needed in addition to the recordkeeping copy for dissemination, revision, or updating.

Item	Record Series Description		Disposition Authority
1	REAL PROPERTY RECORDS [1531]. Title papers documenting the acquisition of real property (by purchase, condemnation, donation, exchange, or otherwise). Exclusions: Records re. property acquired prior to January 1, 1921 (contact NARA).		See also Schedule 4/5 and 4/7.
	a.	Records re. Property Acquired after 12/31/1920 other than abstract or certificate of title.	TEMPORARY. Dispose 10 years after unconditional sale or release by the BLM of conditions, restrictions, mortgages or other liens. GRS 3/1a.
	b.	Abstract or Certificate of Title.	TEMPORARY. Transfer to purchaser after unconditional sale or release by BLM of conditions, restrictions, mortgages, or other liens. GRS 3/1b.
2	GENERAL CORRESPONDENCE FILES [1531]. Correspondence files of operating procurement units concerning internal operation and administration matters not covered elsewhere in this schedule. Confidentiality: Nonpublic record category 3. Location: All.		TEMPORARY. Destroy when 2 years old. GRS 3/2.

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Item	Record Series Description		Disposition Authority
3	<p>ROUTINE PROCUREMENT TRANSACTION FILES [1510]. See BLM Manuals 1510, 1511, and Federal Acquisition Regulations (FAR) for further detail. Contracts, requisitions, purchase orders, leases, equipment rental offers, cooperative assistance agreements, advertising orders, bond and surety records, credit card and uniform draw-down records including correspondence and related papers re. award, administration, receipt, inspection and payment (other than those covered in Items 1 and 12). Forms: SF-2, 2a-b, 18, 24-26, 28, 30, 33-36, 44a-d, 99, 119, 145-145, 145b, 252, 254, 255, 269-275, 279, 294-5, 308, 344, 424, 1093, 1411, 1442; OF-286, 294, 296, 297, 336, 347, 348; DI-1886; BLM 1103-1, 1510-5, 6, 7, 10, 17, 18, 18a, 20, 30, 36, 42, 44, 45, 45a, 47, 48, 53, 55-60; 1511-1, 2; 1520-54; 9130-3; OAS-20. Confidentiality: Non-public record category 3; Privacy Act Systems Interior/LLM-23, GSA-2, GSA-3, and GSA-4. Vital: Rights and interests records. Location: All. Exclusions: Copies filed in related resource improvement job or project files (Schedule 17/21) and contracts under appeal (Schedule 3/15). NOTE: Given the complexities of the rules on procurement, please involve procurement officials when deciding which of the subitems to apply to a particular series of records. Unique procurement files are not covered by this schedule. With the standardization of the Governmentwide 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 to NARA.</p>		
	a.	Procurement or Purchase Organization Copies and Related Papers.	
		(1) Transactions dated on or after July 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.	TEMPORARY. Destroy 6 years, 3 months after final payment is made. GRS 3/3a(1)(a).
		(b) Transactions at or below the simplified acquisition threshold and all construction contracts at or below \$2,000.	TEMPORARY. Destroy 3 years after final payment is made. GRS 3/3a(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.	TEMPORARY. Destroy 6 years, 3 months after final payment is made. GRS 3/3a(2)(a).
		(b) Transactions that utilize small purchase procedures and all construction contracts at or below \$2,000.	TEMPORARY. Destroy 3 years after final payment is made. GRS 3/3a(2)(b).
	b.	Procurement Transaction Obligation Copies.	TEMPORARY. Destroy when funds are obligated. GRS 3/3b.

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Item	Record Series Description		Disposition Authority
	c.	Procurement Transaction Reference Copies. Other copies of records described above used by component elements of a procurement office for administrative purposes.	TEMPORARY. Destroy upon termination or completion. GRS 3/3c.
	d.	Data Submitted to 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 FPDS.	TEMPORARY. Destroy or delete when 5 years old. GRS 3/3d.
4	SUPPLY MANAGEMENT FILES [1520]. 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). Confidentiality: Nonpublic record category 3. Location: All. Exclusions: Records 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.	TEMPORARY. Destroy when 2 years old. GRS 3/4a.
	b.	Copies in Other Reporting Units, and related working documents.	TEMPORARY. Destroy when 1 year old. GRS 3/4b.
5	SOLICITED AND UNSOLICITED BIDS AND PROPOSALS [1510]. Forms: SF-18, 19, 21, 26, 30, 33-35, 119, 1442; BLM 1510-5. See BLM Manual 1510. Confidentiality: Non-public record category 3; Privacy Act System Interior/LLM-23. Vital: Rights and interests records. Location: All.		
	a.	Successful Bids and Proposals.	TEMPORARY. Destroy with related contract case file (Schedule 3/3). GRS 3/5a.
	b.	Solicited and Unsolicited Unsuccessful Bids and Proposals.	
	(1)	Small Purchases as defined in FAR, 48 CFR 13.	TEMPORARY. Destroy 1 year after date of award or final payment, whichever is later. GRS 3/5b(1).
	(2)	Transactions above the small purchase limitations in 48 CFR 13.	
	(a)	When filed separately from contract case files.	TEMPORARY. Destroy when the related contract is completed. GRS 3/5b(2)(a).
	(b)	When filed with contract case files.	TEMPORARY. Destroy with related contract case file (Schedule 3/3). GRS 3/5b(2)(b).
	c.	Canceled Solicitations Files.	

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	(1)	Formal Solicitations of offers to provide products or services which were canceled prior to award of a contract. The files include presolicitation documentation on the requirement, any offers which were opened prior to the cancellation, documentation on any government action up to the time of cancellation, and evidence of the cancellation. Forms: Invitations for Bids, Requests for Proposals, Requests for Quotations.	TEMPORARY. Destroy 5 years after date of cancellation. GRS 3/5c(1).
	(2)	Unopened Bids.	Do not file. Return to bidder. GRS 3/5c(2).
	d.	Acceptable Bidders Lists or Card Files.	TEMPORARY. Destroy when superseded or obsolete. GRS 3/5d.
6	PUBLIC PRINTER FILES [1550]. Records relating to requisitions on the Printer, and all supporting papers.		
	a.	Printing Procurement Unit Copy of requisition, invoice, specifications, and related papers.	TEMPORARY. Destroy 3 years after completion or cancellation of requisition. GRS 3/6a.
	b.	Accounting Copy of Requisition.	TEMPORARY. Destroy 3 years after period covered by related account. GRS 3/6b.
7	NON-PERSONAL REQUISITIONS [1510/1550]. Requisitions for non-personal services, such as duplicating, laundry, binding, and other services. Forms: SF-1, 1a-c; GPO-1026b, 1815, 2511, 2511a; DI-550; BLM 1510-18, 18a; 1556-1. Confidentiality: Non-public record category 3. Location: All. Exclusions: Records associated with accountable officers accounts (Schedule 6) and copies maintained in printing, binding, and duplicating project files (Schedule 13/2).		TEMPORARY. Destroy when 1 year old. GRS 3/7.
8	INVENTORY REQUISITION FILES [1523]. Requisitions for supplies and equipment for current inventory. Forms: SF-344. Confidentiality: Nonpublic record category 3. Location: All.		
	a.	Stockroom Copy.	TEMPORARY. Destroy 2 years after completion or cancellation of requisition. GRS 3/8a.
	b.	All Other Copies.	TEMPORARY. Destroy when 6 months old. GRS 3/8b.
9	INVENTORY FILES [1523]. Confidentiality: Nonpublic record category 3. Location: All. Exclusions: Stores Accounting Work Papers (Schedule 8/4).		
	a.	Inventory Lists. Forms: BLM 1520-7, 9, 22	TEMPORARY. Destroy 2 years from date of list. GRS 3/9.

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	b. Inventory Cards. Forms: OF-131; BLM 1520-24	TEMPORARY. 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 the BLM control. GRS 3/9b.
	c. Report of Survey Files and other papers used as evidence for adjustment of inventory records, not otherwise covered in the GRS. Forms: OF-289; DI-103, 103a.	TEMPORARY. Destroy 2 years after date of survey action or date of posting medium. GRS 3/9c.
10	TELEPHONE FILES. Telephone statements and toll slips. Confidentiality: Non-public record category 3/Privacy Act System Interior/OS-36. Location: All.	TEMPORARY. Destroy 3 years after period covered by related account. GRS 3/10.
11	CONTRACTOR'S PAYROLL FILES [1510]. Contractor's payrolls (construction contracts) submitted in accordance with Labor Department regulations, with related certifications, anti-kickback affidavits, and other related papers. Forms: SF-98, 98a, 1093. Confidentiality: Non-public record category 3; Privacy Act Systems Interior/LLM-23 and GSA-2. Location: All.	TEMPORARY. Destroy 3 years after of date of completion unless contract performance is the subject of enforcement action on such date. GRS 3/11.
12	TAX EXEMPTION FILES [1510]. Tax exemption certificates and related papers. Forms: SF-1094, 1094a. Confidentiality: Non-public record category 3; Privacy Act System Interior/LLM-23. Location: All.	TEMPORARY. Destroy 3 years after period covered by the account. GRS 3/12.
13	UNSUCCESSFUL GRANT APPLICATIONS [1510]. Applications, correspondence, and other records re. unsuccessful (rejected or withdrawn) applications. Confidentiality: Non-public record category 3; Privacy Act System Interior/LLM-23. Location: WO, Centers, SO. Exclusions: Successful grant applications (Schedule 3/3).	TEMPORARY. Destroy 3 years after rejected or withdrawn. GRS 3/13.
14	GRANT ADMINISTRATIVE FILES [1510]. Correspondence and/or subject files relating to routine operations and daily activities in administration of the grant program. Confidentiality: Nonpublic record category 3. Location: WO, Centers, SO. Exclusions: Grant case files, which include accepted applications among many other documents, substantive correspondence and subject files relating to grant programs, and final product files (submit SF-115 to NARA).	TEMPORARY. Destroy when 2 years old. GRS 3/14.

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15	CONTRACT APPEALS CASE FILES [1510]. Contract appeals case files arising under the Contracts Dispute Act, consisting of notices of appeal and acknowledgements 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. Confidentiality: Non-public record category 3; Privacy Act System Interior/LLM-23. Vital: Rights and interests records. Location: WO, Centers, SO.	
	a. Records Created Prior to 10/01/1979.	TEMPORARY. Destroy 6 years, 3 months after final action on decision. GRS 3/15a.
	b. Records Created After 09/30/1979.	TEMPORARY. Destroy 1 year after final action on decision. GRS 3/15b.
16	CONTRACTOR'S STATEMENT OF CONTINGENT OR OTHER FEES [1510]. Filed separately from the contract case file and maintained for enforcement or report purposes. Forms: SF-119 or statement. Confidentiality: Non-public record category 3; Privacy Act System Interior/LLM-23. Location: All.	TEMPORARY. Destroy when superseded or obsolete. GRS 3/16.
17	SMALL AND DISADVANTAGED BUSINESS UTILIZATION FILES [1510]. Correspondence, reports, studies, goal statements, and other records re. the small and disadvantaged business utilization program, as required by PL 95-507. Confidentiality: Non-public record category 3; Privacy Act System Interior/LLM-23. Location: WO, Centers, SO.	TEMPORARY. Destroy when 3 years old. GRS 3/17.
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.	TEMPORARY. Destroy/Delete within 180 days after the recordkeeping copy has been produced. GRS 3/18a.
	b. Copies Used for Dissemination, Revision, or Updating. That are maintained in addition to the recordkeeping copy.	TEMPORARY. Destroy/Delete when dissemination, revision, or updating is completed. GRS 3/18b.

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