ADMINISTRATIVE RECORDS SCHEDULE 3: PROCUREMENT, SUPPLY, AND GRANT RECORDS
March 2021
Revision 3

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 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 the Department to maintain a separate file of contracts for site audit. The 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 Department, 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 Department 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 are largely standardized by various regulations of the Comptroller General and the Administrator of General Services. 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 procurement organizations.

Other files related to the procurement and supply function include reports used for supply management purposes. 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 Department as long as the property remains in DOE's hands or if it has been sold or released -- conditionally or with recapture clauses. (The actual owner of the property is the Federal government. For the sake of simplicity, the Department is substituted for the Federal government.) 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 Department 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. In many instances, lands acquired are disposed of in different size parcels, and if the Department retains the title to any portion the title evidence should be retained.

This schedule also includes records relating to grant programs. Grant programs may involve projects that are contracted for between the Department and 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.

a. Records relating to property acquired after December 31, 1920, other than abstract or certificate of title.

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. (N1-434-98-6, item 1)

b. Abstract or certificate of title.

Transfer to purchaser after unconditional sale or release by the Government of conditions, restrictions, mortgages, or other liens. (GRS 3, item 1b)

Superseded by GRS 5.4, Item 020 (DAA-GRS-2016-0011-0002)

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.
Superseded by GRS 1.1, Item 001 (DAA-GRS-2016-0013-0001)

3. Routine Procurement Files. (GRS 3, item 3)

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.
Superseded by GRS 1.1, Item 010 (DAA-GRS-2013-0003-0001)

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

Destroy 3 years after final payment.
Superseded by GRS 1.1, Item 010 (DAA-GRS-2013-0003-0001)

(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.
Superseded by GRS 1.1, Item 010 (DAA-GRS-2013-0003-0001)

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

Destroy 3 years after final payment.
Superseded by GRS 1.1, Item 010 (DAA-GRS-2013-0003-0001)

[NOTE: Given the complexities of the rules on procurement, procurement officials should be involved when deciding which of the sub items to apply to a particular series of records.]

b. Obligation copy.

Destroy when funds are obligated.
Rescinded per GRS Transmittal 28

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

Destroy upon termination or completion.
Superseded by GRS 1.1, Item 011 (DAA-GRS-2013-0003-0002)

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.
GRS 1.1, Item 013 rescinded (Transmittal 30)

[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 you believe that a procurement file has long-term research value, you should contact the Departmental Records Officer.]

3.1 Pension Case Files.

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. Cases 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. (N1-434-98-6(3.1a))
Superseded by DOE 1.1, Item 010 (DAA-0434-2020-0006-0001)

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

Remains under EPI Moratorium until DOE lifts the hold

Cut off annually. Destroy 6 years and 3 months after contract completion or termination. (N1-434-98-6(3.1b))
Superseded by DOE 1.1, Item 020 (DAA-0434-2020-0006-0002)

3.2 Casualty Insurance Case Files. (N1-434-98-6(3.2))

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. N1-434-98-6(3.2a))
Superseded by DOE 1.1, Item 030 (DAA-0434-2020-0006-0003)

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

Remains under EPI Moratorium until DOE lifts the hold

Cut off annually. Destroy 6 years and 3 months after contract completion or termination. N1-434-98-6(3.2b))
Superseded by DOE 1.1, Item 030 (DAA-0434-2020-0006-0003)

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. (GRS 3, item 4a)

Destroy when 2 years old.
Superseded by GRS 5.4, Item 010 (DAA-GRS-2016-0011-0001)

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

Destroy when 1 year old. (GRS 3, item 4b)
Superseded by GRS 1.1, Item 010 (DAA-GRS-2013-0003-0001)

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).
Superseded by GRS 1.1, Item 010 (DAA-GRS-2013-0003-0001)

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.
Superseded by GRS 1.1, Item 010 (DAA-GRS-2013-0003-0001)

(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.
Superseded by GRS 1.1, Item 010 (DAA-GRS-2013-0003-0001)

(b) When filed with contract case files.

Destroy with ~~related~~ contract case file (see item 3 of this schedule).
Superseded by GRS 1.1, Item 010 (DAA-GRS-2013-0003-0001)

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.
Superseded by GRS 1.1, Item 010 (DAA-GRS-2013-0003-0001)

(2) Unopened bids.

Return to bidder.
Superseded by GRS 1.1, Item 010 (DAA-GRS-2013-0003-0001)

d. Lists or card files of acceptable bidders.

Destroy when superseded or obsolete.
Superseded by GRS 1.1, Items 070 and 071 (DAA-GRS-2016-0001-0004 and 0005)

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.
Superseded by GRS 1.1, 010 (DAA-GRS-2013-0003-0001)

b. Accounting copy of requisition.

Destroy 3 years after period covered by related account.
Superseded by GRS 1.1, 010 (DAA-GRS-2013-0003-0001)

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.
Superseded by GRS 1.1, Item 010 (DAA-GRS-2013-0003-0001)

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. (GRS 3, item 8a)
Superseded by GRS 5.4, Item 010 (DAA-GRS-2016-0011-0001)

b. All other copies.

Destroy when 6 months old. (GRS 3, item 8b)
Superseded by GRS 5.4, Item 010 (DAA-GRS-2016-0011-0001)

9. Inventory Files.

a. Inventory lists.

Destroy 2 years from date of list. (GRS 3, Item 9a)
Superseded by GRS 5.4, Item 010 (DAA-GRS-2016-0011-0001)

b. Inventory cards.

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. (GRS 3, item 9b)
Superseded by GRS 5.4, Item 010 (DAA-GRS-2016-0011-0001)

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. (N1-434-98-6(9c))

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

Telephone statements and toll slips.

Destroy 3 years after period covered by related account. (GRS 3, item 10)
Superseded by GRS 1.1, Item 010 (DAA-GRS-2013-0003-0001)

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.
Superseded by GRS 1.1, Item 050 (DAA-GRS-2013-0003-0003)

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

Tax exemption certificates and related papers.

Destroy 3 years after period covered by related account.
Superseded by GRS 1.1, Item 010 (DAA-GRS-2013-0003-0001)

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.
Superseded by GRS 1.2, Item 021 (DAA-GRS-2013-0008-0006)

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.
Superseded by GRS 1.2, Item 010 (DAA-GRS-2013-0008-0007)

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

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.
Superseded by GRS 1.1, Item 010 (DAA-GRS-2013-0003-0001)

14.2 Debarment Case Files

Consists of documents relating to investigations of Contractors or Grant recipients resulting in the debarment or suspension from contracting with or receiving assistance from the DOE. The Case Files include copies of Inspector General reports, attorney recommendations for action, suspension notifications, hearing transcripts, briefs and motions, final determinations and settlement agreements for debarment and for suspension cases and other related documents. These records may be paper or word processing files or a combination of both. These case files are media neutral. Reference 48 CFR 9.4, 10 CFR 606, FAR Subpart 9.4 and DEAR 909.403

a. Case Files – Cutoff file when the case is closed, the debarment period or voluntary exclusion period is completed, whichever is later. Maintain inactive files in the office for 3 months after the cutoff. Destroy 6 years 3 months after cutoff. (N1-434-05-01(a))

b. Other related records – Destroy when no longer needed for reference or other business purpose. (N1-434-05-01(b))
Rescinded

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.
Rescinded per GRS Transmittal 28
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.
Superseded by GRS 1.1, Item 060 (DAA-GRS-2016-0001-0003)

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.
Rescinded per GRS Transmittal 23

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. Law. 95-507.

Destroy when 3 years old.
Rescinded per GRS Transmittal 29

18. Federal Activities Inventory Reform (FAIR) Act Records (created under OMB Circular A-76, Performance of Commercial Activities) (GRS 3, item 18)

Records documenting implementation of OMB Circular No. A-76, Performance of Commercial Activities. These records are created and maintained in paper and electronic formats and include but are not limited to inventories, reviews,

consultations, summary reports, commercial activity codes, challenges, appeals, decisions, planning documents, public announcements, Federal Register notices, standard and streamlined competition documents, accountability statements, cost calculations, and performance measures.

[NOTE: Procurement files related to Circular No. A-76 solicitations are scheduled under ADM 3, Item 3a, Routine Procurement Files.]

a. Circular No. A-76 case files/studies maintained by office having primary responsibility.

Cut off when action is completed, hold 3 years, and retire to records center. Destroy 6 years after cut off.
Superseded by GRS 5.7, Item 050 (DAA-GRS-2017-0008-0005)

b. Circular No. A-76 records maintained by other offices, including information copies and background material.

Cut off upon completion of study. Destroy 2 years after cut off.
Superseded by GRS 5.7, Item 050 (DAA-GRS-2017-0008-0005)