

ED Records Schedule

SCHEDULE LOCATOR NO.: 111

REVISION DATE: 11/07/2014

TITLE: Contract Management Records

PRINCIPAL OFFICE: Department-wide

NARA DISPOSITION AUTHORITY: GRS – See disposition instructions

DESCRIPTION:

Records include correspondence and related papers pertaining to the requests for proposals (RFPs), successful bids and proposals, procurement award and administration, receipt, inspection, and payment (other than those covered by ED schedule 011 Real Property Files and ED 202 Tax Exemption). Records also include the contract, agreement, or interagency agreement; requisition, purchase order, lease, bond and surety records, as well as annual biennial reports to OMB.

DISPOSITION INSTRUCTIONS:

- a. Contracting Officer (CO)

GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)

CO records include the RFPs; successful bids and proposals; contract and modifications; copies of financial and payment documents; contract specifications, drawings or manuals incorporated into the contract by reference; performance evaluations; technical and financial progress reports; statements of work (SOWs) and level of effort (LOE) documents; COR designations; notices to proceed, stop work or correct deficiencies; and related documents.

TEMPORARY

Financial transaction records related to procuring goods and services, paying bills, collecting debts, and accounting.

- (1) Official record held in the office of record
 - (a) Records maintained by accountable officers to account for the availability and status of public funds, and are retained to enable GAO, Office of Inspector General, or other authority audit.

Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use.

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- (b) Financial transaction records including those created in the course of procuring goods and services, paying bills, collecting debts, and accounting for all finance activity, per the following definitions.

Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use.

b Contracting Officer's Representatives (CORs)

GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)

Supporting documentation of performance evaluations, technical and financial progress reports, invoices, and invoice approvals.

TEMPORARY

Financial transaction records related to procuring goods and services, paying bills, collecting debts, and accounting.

(1) Official record held in the office of record

- (a) Records maintained by accountable officers to account for the availability and status of public funds, and are retained to enable GAO, Office of Inspector General, or other authority audit.

Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use.

- (b) Financial transaction records including those created in the course of procuring goods and services, paying bills, collecting debts, and accounting for all finance activity, per the following definitions.

Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use.

c All Other Copies of Records Described Above Used By Component Elements of a Procurement Office for Administrative Purposes **GRS 1.1, item 011 (DAA-GRS-2013-0003-0002)**

Records include documents used for day-to-day technical direction of the task order or work assignment. Documents include work plans and schedules, amendments and/or modifications, draft deliverables submitted by the contractor, comments provided to the contractor or other records of technical direction, contract monitoring logs and communication records, cost estimates, meeting records and notes, evaluation forms, supporting documentation for statements of

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work (SOWs) and level of effort (LOE) documents, amendments and modifications, invoices and invoice approvals.

TEMPORARY

Destroy when business use ceases.

- d. Duplicate Copies Regardless of Medium Maintained for Reference Purposes and That do not Serve as the Record Copy

TEMPORARY

Destroy/delete when no longer needed for reference.

- e. Solicited and Unsolicited Bids and Proposals Files

GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)

- (1) Successful bids and proposals.

TEMPORARY

Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use.

- (2) Solicited and unsolicited unsuccessful bids and proposals.

TEMPORARY

- (a) Relating to small purchases as defined in the Federal Acquisition Regulation, 48 CFR Part 13. **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use.

- (b) Relating to transactions above the small purchase limitations in 48 CFR Part 13. **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

When filed separately from contract case files. Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use.

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When filed with contract case files. Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use.

- (3) Canceled solicitations files.
- (a) 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. **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

TEMPORARY

Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use.

- (b) Unopened bids. **Superseded by GRS 1.1, item 010 (DAA-GRS-2013-0003-0001)**

TEMPORARY

Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use.

IMPLEMENTATION GUIDANCE:

The CO is responsible for maintaining the official contract case files.

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 has long-term research value, the records officer should submit an SF 115.

ARRANGEMENT/ANNUAL ACCUMULATION:

PREVIOUS DISPOSITION AUTHORITY:

GRS 3, Item 3a.1 (ED/RDS Part 3, Item 3c)

SPECIFIC LEGAL REQUIREMENTS:

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SPECIFIC RESTRICTIONS:

LINE OF BUSINESS: Administration