

(Revised 10/2016)

Procurement, Supply, and Equipment Maintenance

Functional Files

Function Number 700

Function number 700 relates to the processing of grants and procurement transactions for supplies, equipment, and services. Files pertaining to the procurement and disposal of real property are contained in Function 800. Where appropriate, Function 705, Equipment Information and Maintenance Files, have been incorporated into project case files for functional areas agency-wide; therefore, Function 705 has been revoked.

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.

This Function has been revised to incorporate the changes made by General Records Schedule 1.2: Grant and Cooperative Agreement Records dated September 2014 which states the following:

This schedule covers records created by Federal agency program offices responsible for managing grants and cooperative agreements such as program announcements, application files, case files and similar or related records, state plans, and final products or deliverables. It does not cover records related to financial transactions. Such financial transaction records are covered by GRS 1.1, Financial Management and Reporting Records. Nor does this schedule cover policy records documenting the legal establishment, goals, objectives, development, implementation, modification, and termination of agency grant and cooperative agreement programs. The type and significance of these programs vary widely among agencies, so no single disposition can be applied to the records on a Government-wide basis. An agency must submit a records schedule to NARA to cover these records or apply an existing schedule. This schedule also does not cover government-wide systems like GRANTS.GOV and USASPENDING.GOV.

A grant is an award of financial assistance in the form of money, or property in lieu of money, by the Federal Government to an eligible grantee. The principal purpose of such award is to transfer a thing of value from a Federal agency to a State or local government or other recipient to carry out a public purpose of support or stimulation authorized by Federal statute (31 U.S.C. 6304). A cooperative agreement is an award of financial assistance that is used to enter into the same kind of relationship as a grant. It is distinguished from a grant in that it provides for substantial involvement between the grant-making Federal agency and the award recipient in carrying out the activity contemplated by the award (31 U.S.C. 6305). A grant or cooperative agreement shall be used only when the principal purpose of a transaction is to accomplish a public purpose of support or stimulation authorized by Federal statute. Grants are distinguished from contracts, which are used to acquire property or services for the Federal government's direct benefit or use.

Table of Contents

702	Procurement and Grants Management Files
703	Supply Management Files
704	Personal Property Management and Property Disposal Files
705	Equipment Information and Maintenance Files (Revoked)
706	Federal Activities Inventory Reform (FAIR) Act Records

NOAA Record Series #	Records Series Title	Records Description	Disposition Authority	Disposition Instruction
702	Procurement and Grants Management Files.	These files relate to the processing of grants and procurement transactions for supplies, equipment, and services. See 802-02 for procurement of real property and the appropriate functional area for the program management of grants.		
702-01	General Correspondence Files.	Correspondence files of operating procurement units concerning internal operation and administration matters not covered elsewhere in this schedule.	GRS 3, item 2	TEMPORARY. Destroy when 2 years old.
702-02	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.	GRS 3, item 17	TEMPORARY. Destroy when 3 years old.
702-3	Routine Procurement Files.	Contract, requisition, purchase order, and lease, including correspondence and related papers pertaining to award, administration, receipt, inspection and payment.		
		Record Copy:	DAA-GRS-2013-0003-0001 (GRS 1.1, item 010)	TEMPORARY. Destroy 6 years after final payment or cancellation, but

				longer retention is authorized if required for business use.
		All Other Copies: Note: Obligation copy rescinded by GRS 1.1. Hard copies no longer exit in the e-system work process pipeline.	DAA-GRS-2013-0003-0002 (GRS 1.1, item 011)	TEMPORARY. Destroy when business use ceases.
		Record Copy:	DAA-GRS-2013-0003-0001 (GRS 1.1, item 010)	TEMPORARY. Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use.
		All Other Copies:	DAA-GRS-2013-0003-0002 (GRS 1.1, item 011)	TEMPORARY. Destroy when business use ceases.
702-05	Source Evaluation Board Files.	Documents pertaining to selection and operation of board to evaluate possible contractors for a major negotiated contract. Includes designation		

		of board members, minutes, standards used for evaluation, report on findings, etc. File a copy of findings with related contract case file and destroy with related contract case file.		
		Original Copy:	DAA-GRS-2013-0003-0001 (GRS 1.1, item 010)	TEMPORARY. Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use.
		All Other Copies:	DAA-GRS-2013-0003-0002 (GRS 1.1, item 011)	TEMPORARY. Destroy when business use ceases, but not as long as record copy disposition.
702-06	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		

		Original Copy:	DAA-GRS-2013-0003-0001 (GRS 1.1, item 010)	TEMPORARY. Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use.
		All Other Copies:	DAA-GRS-2013-0003-0002 (GRS 1.1, item 011)	TEMPORARY. Destroy when business use ceases.
		b. Accounting copy of requisition.		
		Original Copy:	DAA-GRS-2013-0003-0001 (GRS 1.1, item 010)	TEMPORARY. Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use.

		All Other Copies:	DAA-GRS-2013-0003-0002 (GRS 1.1, item 011)	TEMPORARY. Destroy when business use ceases.
702-07	Contract Appeal Case Files.	Contract appeals case files arising under the Contract 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 23
		b. Records created after September 30, 1979.	GRS 3, item 15b.	TEMPORARY. Destroy 1 year after final action on decision.
702-08	Contractor's Statement of Contingent or Other Fees			RESCINDED per GRS Transmittal 23.

702-09	Tax Exemption Files.	Tax exemption certificates and related papers.		
		Original Copy:	DAA-GRS-2013-0003-0001 (GRS 1.1, item 010)	TEMPORARY. Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use.
		All Other Copies:	DAA-GRS-2013-0003-0002 (GRS 1.1, item 011)	TEMPORARY. Destroy when business use ceases, but not as long as record copy disposition.
702-09A	Construction Contractors' Payroll Files. (Formerly 702-12).	Contractors' payrolls (construction contracts) submitted in accordance with Department of Labor regulations, with related certifications, anti-kickback affidavits, and other related papers.	DAA-GRS-2013-0003-0003 (GRS 1.1, item 050)	TEMPORARY. Destroy 3 years after completion of contract or conclusion of contract being subject to an enforcement action, but no

				longer retention is authorized if required for business use.
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1.2: Grant and Cooperative Agreement Records

This schedule covers records created by Federal agency program offices responsible for managing grants and cooperative agreements such as program announcements, application files, case files and similar or related records, state plans, and final products or deliverables. It does not cover records related to financial transactions. Such financial transaction records are covered by GRS 1.1, Financial Management and Reporting Records, NOAA Records Series 400. Records documenting the legal establishment, goals, objectives, development, implementation, modification, and termination of agency grant and cooperative agreement programs vary widely; therefore, a separate retention schedule would have to be submitted to NARA to cover these records, or the agency may use an existing schedule. This schedule also does not cover government-wide systems like GRANTS.GOV and USASPENDING.GOV.

A grant is an award of financial assistance in the form of money, or property in lieu of money, by the Federal Government to an eligible grantee. The principal purpose of such award is to transfer a thing of value from a Federal agency to a State or local government or other recipient to carry out a public purpose of support or stimulation authorized by Federal statute (31 U.S.C. 6304). A cooperative agreement is an award of financial assistance that is used to enter into the same kind of relationship as a grant. It is distinguished from a grant in that it provides for substantial involvement between the grant-making Federal agency and the award recipient in carrying out the activity contemplated by the award (31 U.S.C. 6305). A grant or cooperative agreement shall be used only when the principal purpose of a transaction is to accomplish a public purpose of support or stimulation authorized by Federal statute. Grants are distinguished from contracts, which are used to acquire property or services for the Federal government's direct benefit or use.

NOAA Record Series #	Records Series Title	Records Description	Disposition Authority	Disposition Instruction
702-10	Grants On-line	<p>Grants On-line is a fully operational end-to-end grants management software application. Records are created electronically and submitted to the Grants Office.</p> <p>[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.]</p>	N1-370-07-03	<p>TEMPORARY. Regardless of media, cut off at final payment. Delete/destroy 6 years and 3 months later. This is a media-neutral disposition system.</p>
702-11	Grant and Cooperative Agreement Program Management Records (formerly Grant Administrative Files)	<p>Records related to the coordination, implementation, execution, monitoring, and completion of grant and cooperative agreement programs, such as:</p> <p>a. Background Files – program announcements; notice of funding opportunity announcement, including Federal Register Notices, and Requests for Proposals.</p>	DAA-GRS-2013-0008-0007 (GRS 1.2, item 010)	<p>TEMPORARY Destroy 3 years after final action is taken on the file, but longer retention is authorized if required for</p>

		<p>b. Application Packages - blank forms, instructions, guidelines, templates, checklists, evaluation criteria, etc. for a specific funding opportunity.</p> <p>c. Application Evaluation Files -panel composition, correspondence instructions, etc. for a specific funding opportunity.</p> <p>Note: If an agency believes certain program management records warrant permanent retention, it must submit a records schedule to NARA to cover these records.</p> <p>Exclusion 1: Policy records documenting the legal establishment, goals, objectives, development, implementation, modification, and termination of agency grant and cooperative agreement programs are not authorized for disposal. The type and significance of these programs vary widely among agencies, so no single disposition can be applied to the records on a Government-wide basis. An agency must submit a records schedule to NARA to cover these records or apply an existing schedule.</p> <p>Exclusion 2: Records related to financial transactions stemming from activities of agency grant and cooperative agreement programs. Such financial transaction records are covered by</p>		<p>business use.</p>
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		GRS 1.1.		
702-12	Construction Contractors' Payroll Files	Numbering Change - to keep all grant related files together. See 702-09A above.		
702-13	Grant and Cooperative Agreement Case File (formerly Unsuccessful Grant Applications File)	<p>Official record of applicant case files held in the office of record. Case files containing records relating to individual grant or cooperative agreements. Records include, but are not limited to:</p> <p>Applications, forms, and budget documents - evaluation reports, panelist comments, review ratings or scores; Notice of Grant Award or equivalent and grant terms and conditions; state plans, if any (submissions from states that assure compliance with all applicable Federal statutes and regulations in effect with respect to the period for which the State receives funding); amendment requests and actions, if any; periodic and final performance reports (progress, narrative, financial); audit reports and/or other monitoring or oversight documentation; summary reports and the like.</p> <p>Note: If an agency believes certain case files warrant permanent retention, it must submit a records schedule to NARA to cover these records.</p>		

		<p>Exclusion: Records related to financial transactions stemming from activities of agency grant and cooperative agreement programs. Such financial transaction records are covered by GRS 1.1.</p> <p>Legal citation: 31 U.S.C. 3731(b), False Claims Act.</p>		
		Successful applications.	DAA-GRS-2013-0008-0001 (GRS 1.2, item 020)	TEMPORARY. Destroy 10 years after final action is taken on file, but longer retention is authorized if required for business use.
		Unsuccessful applications.	DAA-GRS-2013-0008-0006 (GRS 1.2, item 021)	Temporary. Destroy 3 years after final action is taken on file, but longer retention is authorized if required for business use.
		<p>All other copies.</p> <p>Copies used for administrative or reference purposes.</p>	DAA-GRS-2013-0008-0002 (GRS 1.2, item 022)	TEMPORARY. Destroy when business use ceases.

702-14	Final grant and cooperative agreement products or deliverables	<p>The tangible result of a completed grant or cooperative agreement produced/delivered by the recipient to satisfy the purpose of the ward. These are maintained separately from other program records and may include materials such as a report, study, or publication; conference paper and/or presentation; book, journal article, or monograph; training material, education aid, or curriculum content plan, process, or analysis; database or dataset, audio, video, or still photography; website content or other Internet component; documentation related to any other kind of final product or deliverable (for example, documentation about a physical structure or element such as a building, kiosk, trail, or cabin or an instrument, device, or prototype); software or computer code.</p> <p>Note 1: Not all grants and cooperative agreements result in tangible products or deliverables. Some deliver services, assistance, training, or other intangible, though still measurable, outcomes.</p> <p>Note 2: If an agency believes the final product or deliverable of a grant or cooperative agreement warrants permanent retention, it must submit a records schedule to NARA to cover these records.</p>	DAA-GRS-2013-0008-0003 (GRS 1.2, item 030)	TEMPORARY. Destroy when business use ceases.
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NOAA Record Series #	Records Series Title	Records Description	Disposition Authority	Disposition Instruction
703	Supply Management Files.	These files relate to the operation of supply functions, including warehouses and supply centers, for NOAA or its elements, and maintaining accountability for property supplied to units. Other files related to the 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.		
703-01	Supply Management Files.	These files are 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.	GRS 3, item 4a	TEMPORARY. Destroy when 2 years old.

		b. Copies in other reporting units and related working documents.	GRS 3, item 4a	TEMPORARY. Destroy when 1 year old.
703-02	Nonpersonnal Requisition Files.	Requisitions for nonpersonal services, such as duplicating, laundry, binding, and other services (excluding records associated with accountable officers' accounts (Schedule 6)).	DAA-GRS-2013-0003-0001 (GRS 1.1, item 010)	TEMPORARY Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use.
703-03	Inventory Requisition Files.	Requisitions for supplies and equipment for current inventory.		
		a. Stockroom Copy	GRS 3, item 8a	TEMPORARY. Destroy 2 years after completion or cancellation of requisition.
		b. All Other Copies	GRS 3, item 8b	TEMPORARY. Destroy when 6 months old.
703-04	Inventory Management Files.			

		a. Inventory List	GRS 3, item 9a	TEMPORARY. Destroy 2 years from date of list
		b. Inventory Cards	GRS 3, item 9b	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 agency control.
		c. Inventory Files – c. Report of survey files and other papers used as evidence for adjustment of inventory records, not otherwise covered in the GRS.	GRS 3, item 9c	TEMPORARY. Destroy 2 years after date of survey action or date of posting medium.

NOAA Record Series #	Records Series Title	Records Description	Disposition Authority	Disposition Instruction
704	Personal Property Management and Property Disposal Files.	<p>These records are created and accumulated by organizations that have management control or formulate and prescribe property policies and procedures and by activities and offices applying these procedures. This schedule describes the pertinent records categories and specifies the retention period and disposition for each.</p> <p>Any surplus property transaction files dated prior to the establishment of the former Procurement Division of the Department of Treasury in 1933 must be offered to the National Archives and Records Administration (NARA) for appraisal before applying these disposition instructions. In no event may disposal (including sales) be made of records pertaining to accounts, claims, or demands involving the Government of the United States which have not been settled or adjusted by the General Accounting Office without written approval of the Comptroller General, as required by 44 U.S.C. 3309.</p>		
704-01	Surplus Property Case Files.	Case files on sales of surplus personal property, comprising invitations, bids, acceptances, lists of materials, evidence of sales, and related correspondence.		

		a. Transactions of more than \$25,000.	DAA-GRS-2013-0003-0001 (GRS 1.1, item 010)	TEMPORARY. Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use.
		b. Transaction of \$25,000 or less.	DAA-GRS-2013-0003-0001 (GRS 1.1, item 010)	TEMPORARY. Destroy 6 years after final payment or cancellation, but longer retention is authorized if required for business use.

704-02	Excess Personal Property Reports.	Report of excess personal property to the regional GSA offices, which initiate screening action and quarterly reports to the Office of Property Management, Office of Federal Supply and Services, GSA, which consolidates the data.	GRS 4, item 2	TEMPORARY. Destroy when 3 years old.
704-03	Property Disposal Correspondence Files.	Correspondence files maintained by units responsible for property disposal, pertaining to their operation and administration, and not otherwise provided for.	GRS 4, item 1	TEMPORARY. Destroy when 2 years old.
704-04	Personal Property Accountability Files.	Files relating to accountability for personal property lost or stolen.		
		a. Ledger Files	GRS 18, item 15a	TEMPORARY. Destroy 3 years after final entry
		b. Reports, loss statements, receipts, and other documents relating to lost and found articles	GRS 18, item 15b	TEMPORARY. Destroy when 1 year old.
704-05	Personal Property Tracking Databases.	Personal property tracking databases containing summary information on NOAA's accountable property. Includes inventory control/tag number, serial numbers, locations, name of custodial activity or officer, property status, and other relevant information.		
		a. Hardcopy or analog input/source records previously scheduled as temporary. Hardcopy or analog records	DAA-GRS- 2013-0001-0001 (GRS 4.3, item 010)	TEMPORARY. Destroy immediately after

		<p>previously scheduled as temporary used to create, update, or modify electronic records incorporated in their entirety into an electronic system. Included are copies of source documents such as Property Transfer Document; SF 120, Report of Excess Personal Property; SF 122, Transfer Order Excess Personal Property; property listings, and property records. Item applies to copies that are not required to be filed as records elsewhere.</p> <p>Not media neutral. Applies to hardcopy or analog records only.</p>		<p>verification of successful conversion, but longer retention is authorized if required for business use.</p>
		<p>b. Electronic input/source records. Electronic records used to create, update, or modify records in an electronic recordkeeping system.</p> <p>Exclusion 1: Original electronic records maintained in the source system.</p> <p>Exclusion 2: Electronic input records required for audit and legal purposes.</p> <p>Exclusion 3: Electronic input records produced by another agency under the terms of an interagency agreement or records created by another agency in response to the specific information needs of the receiving agency.</p>	<p>DAA-GRS- 2013-0001-0004 (GRS 4.3, item 020)</p>	<p>TEMPORARY. Destroy immediately after data have been entered or otherwise incorporated into the master file or database and verified, but longer retention is authorized if required for business use.</p>

		Not media neutral. Applies to electronic records only.		
		<p>c. Output records. Output records are records derived directly from the system master record. Examples include system generated reports (in hardcopy or electronic format), online displays or summary statistical information, or any combination of the above.</p> <p>Exclusion 1: Reports created to satisfy established reporting requirements (e.g. statistical reports produced quarterly in accordance with an agency directive or other regular reports to management officials).</p> <p>Exclusion 2: Records containing substantive information, such as annotations, that is not included in the electronic records. (Reports that contain substantive information should be disposed of in accordance with a NARA-approved schedule that covers the series in which they are filed.)</p>	DAA-GRS- 2013-0001-0005 (GRS 4.3, item 030)	TEMPORARY. Destroy when business use ceases.
		<p>d. Data file outputs. Data files or copies of electronic records created from databases or unstructured electronic records for the purpose of information sharing or reference.</p>	DAA-GRS- 2013-0001-0006 (GRS 4.3, item 031)	TEMPORARY. Destroy when business use ceases.

		<p>Exclusion 1: Data files that are created as disclosure-free files to allow public access to the data.</p> <p>Exclusion 2: Data files consisting of summarized information from unscheduled electronic records or records scheduled as permanent but that no longer exist or can no longer be accessed.</p> <p>Exclusion 3: Data extracts produced by an extraction process which changes the informational content of the source master file or database.</p> <p>Exclusion 4: Technical reformat files created for transfer to NARA.</p>		
		<p>e. Non-recordkeeping copies of electronic records.</p> <p>Non-recordkeeping copies of electronic records maintained in email systems, computer hard drives or networks, web servers, or other location after the recordkeeping copy has been copied to a recordkeeping system or otherwise preserved.</p> <p>Note 1: Not all copies are non-record. Copies are non-record if they are kept only for convenience reference. If copies are used in the course of agency business to make decisions or take action they are a federal record. The</p>	<p>DAA-GRS- 2013-0001-0007 (GRS 4.3, item 040)</p>	<p>TEMPORARY. Destroy when business use ceases.</p>

		<p>records described here are records, but not recordkeeping copies of those records.</p> <p>Note 2: For electronic mail records the recordkeeping system must capture the names of sender and recipients and date (transmission data for recordkeeping purposes) and any receipt data when required along with the message text. Sender/recipient information should be individual account information, not the name of a distribution list.</p> <p>Not media neutral. Applies to electronic records only.</p>		
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NOAA Record Series #	Records Series Title	Records Description	Disposition Authority	Disposition Instruction
706	Federal Activities Inventory Reform (FAIR) Act Records.	These files relate to the review of agency commercial and industrial services for the purpose of determining whether these services should be contracted for or performed by government personnel.		
706-01	Federal Activities Inventory Reform (FAIR) Act Records.	<p>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.</p> <p><i>[NOTE: Procurement files related to Circular No. A-76 solicitations are scheduled under GRS 3, Item 3a, Routine Procurement Files.]</i></p>		
		a. Circular No. A-76 case files/studies maintained by office having primary responsibility.	GRS 3, item 18a	TEMPORAY. Cut off when action is

		<p><i>[NOTE: To implement this authority, each agency must select one fixed retention period, between 6 and 10 years, for the entire series of Circular No. A-76 case files or studies. Agencies are not authorized to use different retention periods for individual case files or studies. The agency should publish the chosen retention period in the agency's disposition manual, by directive, or any other issuance dealing with the disposition of these records.]</i></p>		<p>completed, hold 3 years, and retire to records center. Destroy 6 to 10 years after cut off.</p>
		<p>b. Circular No. A-76 records maintained by other offices, including information copies and background material.</p>	<p>GRS 3, item 18b</p>	<p>TEMPORARY. Cut off when action is completed, hold 3 years, and retire to records center. Destroy 6 to 10 years.</p>