



DCMA Manual 4501-04, Volume 2: Records Retention Schedule

Office of Primary Responsibility	Corporate Governance Capability
Effective:	April 14, 2021
Releasability:	Cleared for public release
New Issuance	
Implements:	DCMA Instruction 4501, "Administration," February 23, 2019
Reissues and Cancels:	DCMA Records Retention Schedule, December 30, 2019
Internal Control:	Process flow and key controls are located on the Resource Page
Labor Codes:	Located on the Resource Page
Resource Page Link:	https://360.intranet.dcmsa.mil/sites/policy/CG/SitePages/4501-04voll_2r.aspx
Approved by:	David G. Bassett, LTG, USA, Director

Purpose: This Manual is comprised of two volumes, DCMA Manual 4501-04, Volume 1, "Records and Information Management Program," and Volume 2, "Records Retention Schedule." The purpose of this volume is to implement policy, assign responsibilities, and provide the disposition instructions and authorities for the life cycle management of DCMA records in all media formats in accordance with DoD Directive 5105.64, "Defense Contract Management Agency (DCMA)," DoD Instruction 5015.02, "DoD Records Management Program," DoD 5015.02-STD, "Electronic Records Management Software Application Design Criteria Standards," and DCMA Instruction 4501, "Administration," Paragraph 1.2.d.

TABLE OF CONTENTS

SECTION 1: GENERAL ISSUANCE INFORMATION	4
1.1. Applicability.....	4
1.2. Policy.....	4
1.3. Internal Controls	5
SECTION 2: RESPONSIBILITIES	6
2.1. Chief of Staff.....	6
2.2. Corporate Governance Capability Board Manager	6
2.3. Agency Records Officer	6
2.4. Business Capability Framework Board Managers	6
2.5. Component Heads.....	7
2.6. Executive Director, Information Technology and Chief Information Officer.....	7
2.7. General Counsel.....	7
2.8. Executive Director, Office of Internal Audit and Inspector General	7
2.9. Component Records Liaison Officer.....	7
2.10. Contract Management Office/Directorate/Division Records Coordinator	8
2.11. Freedom of Information Act/Privacy Act Officer	8
2.12. System Program/Project Managers	8
2.13. Information Technology System/Solution Owners.....	9
2.14. Information Security Program Manager.....	9
2.15. DCMA Employees.....	10
SECTION 3: RECORDS RETENTION AND DISPOSITION INFORMATION	11
3.1. Overview	11
3.2. Determining the Appropriate Records Retention Period	11
3.3. Disposition Authority	12
3.4. Process for Maintaining a Current and Accurate Records Schedule	12
3.5. Records Cutoff Categories.....	13
3.6. General Records Schedule Updates.....	14
SECTION 4: COMMON OFFICE AND ADMINISTRATION MANAGEMENT RECORDS	15
4.1. Overview.....	15
SECTION 5: PHYSICAL SECURITY, LAW ENFORCEMENT, SAFETY AND HEALTH	20
5.1. Overview.....	20
SECTION 6: CONGRESSIONAL AND PUBLIC AFFAIRS, FREEDOM OF INFORMATION ACT, PRIVACY ACT; ETHICS AND STANDARDS OF CONDUCT; GENERAL COUNSEL OPINION AND LEGAL SERVICES	26
6.1. Overview	26
SECTION 7: HUMAN RESOURCES AND PAY ADMINISTRATION	34
7.1. Overview	34
SECTION 8: ELECTRONIC SYSTEMS DEVELOPMENT, IMPLEMENTATION, AND SUSTAINMENT	45
8.1. Overview	45

SECTION 9: ROUTINE AUDIOVISUAL, CARTOGRAPHIC, AERIAL PHOTOGRAPHIC, ARCHITECTURAL, AND ENGINEERING RECORDS 56
9.1. Overview 56

SECTION 10: PROPERTY, HOUSING, FACILITY AND VEHICLE MANAGEMENT, TRAVEL AND TRANSPORTATION RECORDS 60
10.1. Overview 60

SECTION 11: FINANCE RECORDS 63
11.1. Overview 63

SECTION 12: BUDGETING RECORDS 69
12.1. Overview 69

SECTION 13: DCMA CORPORATE OPERATIONS AND CORE MISSION PROGRAM MANAGEMENT PLANNING AND OVERSIGHT, EXCLUDING CONTRACT ADMINISTRATION SERVICES AND OTHER ACTIVITIES 70
13.1. Overview 70

SECTION 14: CONTRACT ADMINISTRATION SERVICE 83
14.1. Overview 83

GLOSSARY
G.1. Definitions 91
G.2. Acronyms 92

REFERENCES 94

TABLES

Table 3-1. Disposition Authority Breakdown 12

Table 3-2. Affected Record Series 14

Table 4-1. SERIES 100.00 – Common Office and Administration Management Records ... 15

Table 5-1. SERIES 110.00 – Physical Security, Law Enforcement, Safety and Health 20

Table 6-1. SERIES 120.00 – Congressional and Public Affairs, Freedom of Information Act, Privacy Act; Ethics and Standards of Conduct; General Counsel Opinion and Legal Services 26

Table 7-1. SERIES 130.00 – Human Resources and Pay Administration 34

Table 8-1. SERIES 140.00 – Electronic Systems Development, Implementation, and Sustainment 45

Table 9-1. SERIES 150.00 – Routine Audiovisual, Cartographic, Aerial Photographic, Architectural, and Engineering Records 56

Table 10-1. SERIES 160.00 – Property, Housing, Facility and Vehicle Management, Travel and Transportation Records 60

Table 11-1. SERIES 170.00 – Finance Records 63

Table 12-1. SERIES 180.00 – Budgeting Records 69

Table 13-1. SERIES 400.00 – DCMA Corporate Operations and Core Mission Program Management Planning and Oversight, Excluding Contract Administration Services and Other Activities 70

Table 14-1. SERIES 800.00 – Contract Administration Service 83

SECTION 1: GENERAL ISSUANCE INFORMATION

1.1. APPLICABILITY.

This Manual applies to all DCMA activities unless higher-level regulations, policy, guidance, or agreements take precedence.

1.2. POLICY.

It is DCMA policy that:

a. Records, regardless of media or security classification, will be created, maintained, used, dispositioned, and will preserve the transaction of business operation and execution of mission during periods of war and peace. Chapter XII, Subchapter B of Title 36, Code of Federal Regulations (CFR) and Chapters 21, 29, 31, and 33 of Title 44, United States Code (U.S.C.) require federal agencies to properly manage records.

b. Records will be maintained in accordance with (IAW) guidance issued by the National Archives and Records Administration (NARA), the Office of Management and Budget (OMB), M-19-21, "Transition to Electronic Records," OMB Circular A-130, "Managing Information as a Strategic Resource," the Federal Acquisition Regulation (FAR), and the Defense Federal Acquisition Regulation Supplement (DFARS).

c. All DCMA records, paper (analog) or electronic, regardless of security classification, will be dispositioned IAW this Manual. This Manual lists the types of records an organization or enterprise creates and mandates how long they will be retained according to legal, regulatory, and business requirements.

d. This volume aligns with DCMA functions or business processes and should be used in conjunction with DCMA Manual (DCMA-MAN) 4501-04, Volume 1, "Records and Information Management Program." It is the authority for DCMA records retention and disposition. The NARA approves records retention.

e. This Manual covers records unique to DCMA as well as most common records received or created by most Federal agencies. It aligns with the NARA General Records Schedule (GRS) format and contains both NARA GRS disposal authorizations and DCMA-specific authorizations. As changes occur within the NARA GRS, this Manual will be updated or revised accordingly.

(1) The GRS, which is managed by the NARA, specifies the retention period for common records. "Big bucket" schedule aggregates multiple series and/or records in electronic systems that relate to the same subject matter, business functions or work processes. DCMA has applied the "big bucket" concept to many, but not all, command records and includes them in the record schedule.

(2) Big bucket schedule items are typically broader in regard to the number of

series/systems and the scope of subject matter, function, or work process covered. An exception example is records related to personnel management. In this regard, DCMA will continue to follow the Office of Personnel Management (OPM) guideline for retaining long-term personnel records kept in the Official Personnel Folder (OPF) or Employee Medical Folder (EMF).

f. This Manual will be executed in a safe, efficient, effective and ethical manner.

1.3. INTERNAL CONTROLS.

Internal controls facilitate better performance by increasing effectiveness and efficiency of operations including use of Agency resources, reducing the risk of asset loss, and help to ensure compliance with laws and regulations. The internal controls for managing the Records Retention Schedule (RRS) will be IAW DCMA-MAN 4301-11, Volume 1, “Management Controls: Manager’s Internal Control Program.”

a. Agency records are an asset and must be properly managed. The records inventory, file plans, and this Manual control these assets.

(1) Records must be controlled and safeguarded against unauthorized destruction and misappropriation.

(2) Identifying and destroying records and non-records IAW this disposition schedule will reduce costs and needed storage space.

(3) Records maintained at Federal Records Centers or commercial storage facilities are inventoried and accounted for to contain costs and ensure compliance with the disposition schedule.

b. This Manual will be updated and maintained as changes occur in the NARA GRS.

SECTION 2: RESPONSIBILITIES

2.1. CHIEF OF STAFF.

The Chief of Staff:

- a. Manages and oversees the DCMA Records and Information Management Program and ensures the execution of the retention and disposition of records IAW this Manual.
- b. Appoints the Agency Records Officer (ARO) to administer and implement the DCMA Records and Information Management Program and this Manual.

2.2. CORPORATE GOVERNANCE CAPABILITY BOARD MANAGER.

The Corporate Governance Capability Manager approves or disapproves deviation/waiver requests to this Manual (if applicable) IAW DCMA-MAN 4501-01, "DCMA Issuances Program," Section 17.

2.3. ARO.

The ARO:

- a. Implements the requirements of this Manual.
- b. Updates and revises the content of this Manual as changes occur within the NARA GRS.

2.4. BUSINESS CAPABILITY FRAMEWORK BOARD MANAGERS.

The Business Capability Framework Board Managers:

- a. Ensure records management requirements are identified within all business processes specific to their capability.
- b. Ensure that all records identified integrate the retention and disposition instructions associated with the files series IAW this Manual.
- c. Develop and complete a DCMA Form 4501-04, "Records File Plan," (link to form provided on the Resource Page of this Manual) from the records inventoried for each mission and business-related process and forward to the ARO for approval.
- d. Ensure that the approved Records File Plan is incorporated into the respective process manual and uploaded to the process manual's Resource Page.
- e. Ensure that the Records File Plan remains accurate and current. This document must be reviewed annually for completeness and accuracy, when information technology (IT) changes, or when other guidance that may affect identified records or storage locations change.

2.5. COMPONENT HEADS.

Component Heads:

- a. Ensure execution of the retention and disposition instructions of all Agency records IAW requirements of this Manual.
- b. Review and coordinate Manual content during the Agency's formal coordination process.

2.6. EXECUTIVE DIRECTOR, IT AND CHIEF INFORMATION OFFICER (CIO).

The Executive Director, IT and CIO ensures all electronic information systems (EIS) that create, maintain or dispose of records have appropriate records retention and disposition instructions IAW this Manual before deployment and implementation.

2.7. GENERAL COUNSEL (GC).

GC:

- a. Provides legal recommendations and advice concerning Agency records retention and disposition instructions to ensure that DCMA complies with statutory and regulatory, and other requirements.
- b. Coordinates during the Agency's vetting process for the disposal of temporary records and accessioning of permanent electronic records.

2.8. EXECUTIVE DIRECTOR, OFFICE OF INTERNAL AUDIT AND INSPECTOR GENERAL.

The Executive Director, Office of Internal Audit and Inspector General coordinates with the ARO regarding any recordkeeping deficiencies identified during inspections and investigations.

2.9. COMPONENT RECORDS LIAISON OFFICER (RLO).

The Component RLO:

- a. Ensures all Component records are subject to the retention and disposition instructions of this Manual.
- b. Works with the Records Coordinator (RC) to ensure prompt accessioning of permanent electronic records as well as disposal of temporary records after retention periods expire.
- c. Coordinates changes to this Manual with the ARO and the local program managers.
- d. Coordinates during the Agency's vetting process in the disposition of all DCMA records, to include electronic records.

2.10. CONTRACT MANAGEMENT OFFICE (CMO)/DIRECTORATE/DIVISION RC.

The CMO/Directorate/Division RCs:

- a. Create and maintain cutoff records (see definition of Cutoff in the Glossary of DCMA-MAN 4501-04, Volume 1) IAW a suitable category as defined in Paragraph 3.4.c., of this Manual.
- b. Maintain only records authorized by and IAW this Manual.
- c. Coordinate with the RLO disposition of temporary records when their retention periods expire.
- d. Coordinate accessioning of permanent electronic records when their retention periods expire.
- e. Coordinate with the RLO and the ARO in periodic evaluations of the office's records.

2.11. FREEDOM OF INFORMATION ACT (FOIA)/PRIVACY ACT (PA) OFFICER.

The FOIA/PA Officer coordinates during the Agency's vetting process in the disposition of all DCMA records, to include electronic records.

2.12. SYSTEM PROGRAM/PROJECT MANAGERS.

System Program/Project Managers:

- a. Ensure the retention and disposition instructions of this Manual are integrated into the workflows of all records generated by an Agency's EIS.
- b. Identify records management as a documented requirement when developing or acquiring an IT system or solution that will create or maintain Agency records.
- c. Develop and implement processes to periodically migrate records within the system for retention or accessioning.
- d. Develop disposition plans for records generated by the system IAW DoD 5015.02-STD.
- e. Ensure records and information contained within a system being decommissioned is migrated or retained so records remain accessible throughout the entire records retention period.
- f. Design, develop, enhance, and implement record-keeping capabilities within the IT system that provide an efficient and coordinated records management strategy.

g. Ensure that the capability supports records creation, storage, security, archival, and disposition as prescribed within this Manual, file plan components, record folder components and records or metadata components.

h. Plan and budget for the migration of records to prevent the loss of record data due to media decay or technology obsolescence.

i. Ensure that any databases storing information and related records comply with the PA and the applicable system of records notice.

j. Ensure essential records maintained within EIS are properly identified IAW DCMA-MAN 3301-02, "Continuity of Operations and Emergency Management." Coordinate with the ARO and the DCMA Continuity of Operations and Emergency Management Program Manager for assistance with essential records inventory, determining appropriate maintenance practices of essential records and for validating and approving essential records inventory.

2.13. IT SYSTEM/SOLUTION OWNERS.

a. Ensure information they create, receive, or manage (e.g., papers, documents produced by office automation software, web content, all input, master files, output and transactions records from any IT system/solution, pictures, electronic mail (email)) are stored and categorized appropriately, consistent with applicable statute, regulation or issuances.

b. Support the inclusion of electronic records management functions into the design, development, enhancement, and implementation of an EIS.

c. Plan and budget for the migration of records and their associated metadata maintained in an EIS or database to new storage media or formats to prevent loss of record data due to media decay or technology obsolescence.

d. Complete annual Records and Information Management Training.

2.14. INFORMATION SECURITY PROGRAM MANAGER.

The Information Security Program Manager provides guidance to DCMA activities on applying the proper classification markings on Agency records IAW DCMA-MAN 3301-08, "Information Security."

2.15. DCMA EMPLOYEES.

Each employee will:

- a. Coordinate with their Directorate/Division RC regarding the retention and disposition of records under their control IAW this Manual.
- b. Ensure non-record material such as personal files, duplicates, or publications used as reference material are maintained separately from work-related records and information and are stored IAW applicable statutes, regulations or issuances.
- c. Maintain emails and attachments that document work-related activities IAW this Manual.
- d. Avoid removing records from the workplace without proper authorization.
- e. Ensure any mission or business-related records they have created and maintained on their government-issued laptop are uploaded to the required records repository before they depart from the Agency or transfer to another Directorate/Division within the Agency.

SECTION 3: RECORDS RETENTION AND DISPOSITION INFORMATION

3.1. OVERVIEW.

a. A RRS is a published agency manual or directive containing the records descriptions and disposition instructions approved by NARA. This Manual is a living document and must be reviewed and updated as needed to reflect DCMA's retention requirements.

b. The RRS need not include every record type. Its purpose is to help guide DCMA's recordkeeping authority in determining the appropriate records retention for each record series based on the activity or function under which it falls. In the event a record received or created by the Agency does not appear within a record series, the ARO must be contacted.

c. The DCMA RRS includes flexible retention. Flexible, which is an arrangement and disposition tool that can be applied to individual and groups of record series or electronic systems to establish consistent retention periods. This allows for records series or electronic systems within work process/functions to have the same stated minimum and/or maximum retention periods. Flexible retention is a flexible scheduling tool that can be used as a component of a "big bucket" (large aggregation schedule) or in a traditional series based schedule and gives agencies the retention flexibility they need to manage their records. To provide retention flexibility, the disposition instructions in a schedule may:

(1) Specify a mandatory minimum retention period for records, but allow for continued retention beyond that time. Example – “Destroy when 3 years old, but longer retention is authorized if records are still needed.”

(2) Specify a time band that provides both minimum and maximum retention periods for records. Example – “Destroy when records are no less than 6 years old, but no more than 10 years old.”

(3) Authorize the disposal of records when no longer needed. Example – “Destroy when records are no longer needed.” This disposition is generally appropriate only in the case of records that are not needed (e.g., protection of legal rights, audits) other than an Agency's day to day business.

3.2. DETERMINING THE APPROPRIATE RECORDS RETENTION PERIOD.

To determine a records retention period, CMO/Directorate/Division RCs need to review their processes and determine whether the record it maintains are for convenience or for recordkeeping purposes. Once determined, apply the retention period associated with the record series identified in this Manual. In this regard, records owners also need to understand when their records are sent to a higher office or other office for recordkeeping or for inclusion in a cumulative report.

3.3. DISPOSITION AUTHORITY. The Archivist of the United States, NARA, is the only person authorized to approve disposition of Federal records. Requesting disposition authority of records from NARA is called scheduling; once submitted and approved by the Archivist, the required disposition authority is assigned. NARA also releases disposition of common Federal records in the GRS, which is for use by all Federal agencies. DCMA uses a hybrid schedule and includes records retention periods approved specifically for DCMA and GRS retentions. Various disposition authorities are used within the DCMA RRS.

Table 3-1. Disposition Authority Breakdown

Sample Disposition Authority	Breakdown
DAA-0558-20XX-000X	Disposition Authority Approval (DAA) - Records Schedule created in the NARA Electronic Records Archives. 4-digit numerical records group – 0558 is DCMA. 4-digit Fiscal Year (FY). 4-digit place holder for sequential numbers assigned within a FY.
NI-0558-XX-XX	NARA office symbol and general appraisal (N1). Assigned when Standard Form (SF) 115, “Requests for Records Disposition Authority,” (link to form located on Resource Page of this Manual) is submitted. 4-digit numerical Records group – 0558 is DCMA. 2-digit FY when SF-115 was registered. Sequential SF-115 number assigned within a FY.
GRS, Item 1	GRS approved by NARA for all Federal Agencies Use. 1 = Sequential SF-115 Number assigned to NARA GRS.

3.4. PROCESS FOR MAINTAINING A CURRENT AND ACCURATE RECORDS SCHEDULE.

The RLO and/or RC will contact the ARO when records content is considered out-of-date, inaccurate, and/or a retention period needs to be changed based on internal or external influences. To explain further:

a. Creating/Retiring Records Series.

(1) A record series must be covered by an RRS to facilitate discovery and consistency in records retention. The ARO will work with process owners to determine under which Bucket Schedule(s) the records fall and, when necessary, assist to create or retire a records series code.

(2) The ARO will update the RRS. The Big Bucket Schedule does not have to be updated unless it does not include the necessary records. The ARO will consult with the NARA as needed to determine whether a formal change to DCMA’s RRS is required and will submit a SF 115.

b. Request to Change Retention Periods.

(1) As a result of legal, business, customer or financial requirements DCMA may need to maintain records longer than what is stipulated in DCMA's retention schedule. Requests to retain records beyond their retention period must be referred to the ARO.

(2) If the retention period needs to be changed, the ARO will work with the process owners to better understand the purpose and impact of the change to process. The DCMA ARO will communicate changes by issuing Agency-wide instructions advising stakeholders to update any relevant processes, file plans, or electronic systems.

c. Changes in Electronic Systems Purpose, Capabilities, Ownership. DCMA's RRS applies to records regardless of the media type (electronic or paper). In instances where an electronic recordkeeping system is shared with another Agency, such as the Defense Finance Accounting Service, DCMA's records retention period may be revised to ensure that records are kept for the longest period required (and agreed upon) by the sharing agencies.

d. Records Retention Exceptions. DCMA's "Big Bucket" Schedule includes Agency mission (e.g., contract) and common records. There are records retention exceptions within a given schedule based on Federal legislation, business or legal needs. Exceptions are identified in the RRS. If an exception is not found or needs to be addressed, the ARO should be contacted.

3.5. RECORDS CUTOFF CATEGORIES.

a. The amount of time a record is kept is called its retention period. A disposition rule is when a file begins its retention period, what that retention period is based and the final disposition action for a record at the end of its retention period. Disposition has a cutoff and a final disposition phase. Cutoff (an event or date trigger) determines when a record enters its retention period. Final disposition is when a record's retention period is over and it should be destroyed.

b. When converting from a traditional retention schedule to a "Big Bucket" Retention Schedule, cutoff does not apply to the records series types listed in Paragraph 3.4.c. Within the body of DCMA's RRS several cutoff categories may be listed under a given record type. The records owners (or those with records management responsibilities) will determine which cutoff is appropriate based on their understanding of how information is organized within the project, activity or mission.

c. An explanation of the cutoff categories referred to in this Manual are:

(1) Category A. Category A consists of publications, issuances, and similar documents. Cutoff is when a record is superseded or obsolete.

(2) Category B. Category B consists of records for activities that are organized, grouped, and maintained by task, job, assignment, agreement, or situation that has clearly defined start and end dates. Cutoff is when a project or event ends after final payment or final action, after settlement of disputes or incidents, or when a court order is lifted or litigation is concluded.

(3) Category C. Category C consists of certain Human Resources records. Cutoff is when an employee transfers, separates or retires from Federal service or an employee’s or dependent spouse’s eligibility is terminated or denied.

(4) Category D. Category D consists of certain accounting records in GRS 3, 6, 7, and 8. Cutoff is the end of the account coverage or claims collection period or upon receipt of a settlement certificate

(5) Category E. Category E consists of records for which the retention trigger is not a significant event, such as the new issuance release, task completion, personnel separation, or dispute settlement. Cutoff is annually. Applies every year on the first day of January.

(6) Category F. Category F consists of fiscal year records. Cutoff is the first day of the fiscal year. Applies every year on the first day of October.

3.6. GENERAL RECORDS SCHEDULE UPDATES.

a. In FY 2013, the NARA GRS Team began a 5-year project to update and revise the GRS. With GRS Transmittal 31, that project has successfully concluded. The old GRS is now completely superseded. As a result, disposition instructions were updated and RRS whose authority derived from rescinded GRS were withdrawn. Furthermore, all RRS contain the current disposition authority, as well as the pre-2018 and GRS Transmittal 31 disposition authorities. Table 3-2 lists record series affected.

Table 3-2. Affected Record Series

Withdrawn	Disposition Instruction Updated	New
110.04a2, 130.02a1, 130.02b1a1, 130.03a1, 130.03a3, 140.08b, 170.05a, 170.05b, 170.05c	100.02a, 100.03a1, 100.03a2, 100.03a3, 110.04a1, 130.02a1b, 130.02b1a2, 130.02b1b, 130.02b1c, 130.03a2, 140.03a1, 140.03a2, 140.04b1, 140.04b2, 140.05a, 140.07a1, 140.07b1, 140.08a, 150.03, 160.02a, 160.02b, 160.04, 170.03, 170.04b1, 170.04c1, 400.02b1	100.03a4, 100.03a5, 110.06, 110.06a, 110.06b, 120.07, 120.07a, 120.07b, 130.03, 130.03a, 130.03b, 130.03c, 130.03d, 130.04, 130.04a, 130.04b, 130.04c, 130.04d, 130.04e, 130.04f, 130.04g, 130.04h, 130.04i, 130.04j, 130.05, 130.05a, 130.06, 130.06a, 130.06b, 180.00, 180.01a, 180.01b

b. As revisions to the GRS occur, the affected file series located in this Manual will be appropriately updated.

SECTION 4: COMMON OFFICE AND ADMINISTRATION MANAGEMENT RECORDS

4.1. OVERVIEW.

This series of records are records that all organizations use, such as command administration records, supervisor’s personnel files, standard operating procedures, and correspondence files.

Table 4-1. SERIES 100.00 – Common Office and Administration Management Records

RECORD SERIES	TITLE/DESCRIPTION/RETENTION INSTRUCTION/DISPOSITION AUTHORITY
100.00	<p>TITLE: Common Office and Administration Records</p> <p>DESCRIPTION: Common Office and Administrative Management Records; Communications Records, Printing, Binding, Duplication and Distribution Records (excludes Corporate and Core Mission Program Management). Records related to routine, day-to-day records created or accumulated by DCMA headquarters (HQ) and individual offices with respect to the internal administration or housekeeping functions carried out across the Agency. Includes records such as:</p> <ul style="list-style-type: none"> a. General Administrative and Housekeeping Records. <ul style="list-style-type: none"> (1) Finding Aid (For Office Records File Plans with retentions refer to 100.03b). (2) Staff Visits. (3) Schedule of daily activities not of director or deputy director. (4) Tracking and control files includes logs, registers and other records to control or document the status of correspondence, reports or other records that are authorized for destruction by a NARA-approved schedule. (5) Reading File: Extra copies of outgoing communications, including Joint message forms, arranged chronologically, and maintained for reference. Refer to 400.02a for Director’s Reading Files. (6) Office studies and analysis not related to mission. b. Communication Records. <ul style="list-style-type: none"> (1) Messenger service files to include daily logs, assignment records, instructions, and dispatch records. (2) Communication general files to include correspondence pertaining to internal administration and operation. (3) Telecommunications general files, including plans, reports and other records pertaining to equipment requests, telephone service and like matters. (4) Post Office and private mail company records. (5) Mail and delivery service control files. c. Printing, Binding, Duplication, and Distribution Records. <ul style="list-style-type: none"> (1) Project files to include job or project records containing information related to planning and execution of printing, binding, duplication, and distribution jobs. Refer to 120.02a for guidance regarding official

Table 4-1. SERIES 100.00 – Common Office and Administration Management Records

RECORD SERIES	TITLE/DESCRIPTION/RETENTION INSTRUCTION/DISPOSITION AUTHORITY
	<p>release of DCMA publications. (2) Control files pertaining to requisitions and work orders.</p> <ul style="list-style-type: none"> • Refer to 100.02a for Transitory Files. • Refer to 100.03 for records related to Records Program Management. • Refer to 120.02a for guidance regarding retention of official copies of DCMA publications. • Refer to 400.02a for the records disposition of high level planning and management decisions. • Refer to 400.07a for records related to the development and implementation of policy, instruction, guidance or regulation; organization, mission and functions manual.
100.01a1	<p>TITLE: Originating Office Records.</p> <p>DESCRIPTION: Records maintained by originating office. This includes any records maintained on a DCMA website.</p> <p>INSTRUCTION: Temporary. Destroy 2 years after applicable cutoff category. Cutoff Category B, E.</p> <p>DISPOSITION AUTHORITY: N1-558-10-1-1.</p>
100.01a2	<p>TITLE: Other Offices' Records.</p> <p>DESCRIPTION: Refers to or includes:</p> <ol style="list-style-type: none"> a. Reference or convenience copies maintained by one office of the records of another office that is the office of primary responsibility (OPR) for managing recordkeeping copy IAW Agency's retention policy. This includes any records maintained on a DCMA website. b. Information provided by a lower office to a higher office's consolidated report. c. Records relating to a particular function or subject that are maintained by one office, when a different office is the OPR for that function or subject. <p>INSTRUCTION: Temporary. Destroy when superseded, obsolete, or no longer needed.</p> <p>DISPOSITION AUTHORITY: N1-558-10-1-2</p>
100.02a	<p>TITLE: Transitory Records.</p> <p>DESCRIPTION: Includes documents having minimal or no evidential value such as:</p> <ol style="list-style-type: none"> a. Routine requests for information or publications. b. Suspense and tickler files or "to do" task lists. c. Quasi-official notices including memoranda and other records that do not

Table 4-1. SERIES 100.00 – Common Office and Administration Management Records

RECORD SERIES	TITLE/DESCRIPTION/RETENTION INSTRUCTION/DISPOSITION AUTHORITY
	<p>serve as the basis of official actions, such as notices of holidays, or charity and welfare fund appeals, bond campaigns and similar records.</p> <p>d. Records documenting routine activities containing no substantive information, such as routine notifications of meetings, scheduling of work-related trips and visits, and other scheduling related activities.</p> <p>e. Originating office copies of letters of transmittal that do not add any information (e.g., routing slips) to that contained in the transmitted material, and receiving office copy if filed separately from transmitted material.</p> <p>INSTRUCTION: Temporary. Destroy when no longer needed or according to Agency pre-determined time period or business rule.</p> <p>DISPOSITION AUTHORITY: GRS 5.2, item 010 (DAA-GRS-2017-0003-0001).</p>
100.03a	<p>TITLE: Records Management Records</p> <p>DESCRIPTION: Records related to the policies, procedures, and management of Agency business records from creation to eventual disposition. Includes records created and maintained while planning, managing, evaluating, administering, and performing the function of agency records management.</p> <p>a. Activities include:</p> <ol style="list-style-type: none"> (1) Providing oversight of entire records management program. (2) Transferring, destroying, and retrieving records. (3) Inventorying records and conducting records surveys. (4) Scheduling records. (5) Providing other records management services to customer units (such as records storage/reference assistance, and technical assistance with file plans and other records management questions). (6) Conducting records "clean out" days. (7) Conducting special projects. <p>b. Records include:</p> <ol style="list-style-type: none"> (1) Agency records management program surveys or evaluations. (2) Reports of surveys or evaluations. (3) Reports of corrective action taken in response to agency program surveys or evaluations. (4) Disposal authorizations (Notice of Disposition), schedules, and reports. (5) Records schedules, legacy records schedules (SF 115). (6) SF 135, "Records Transmittal and Receipt," (link to form provided on the Resource Page of this Manual). (7) Transfer Request; SF 258, "Agreement to Transfer Records to the National Archives of the United States," (link to form provided on the Resource Page of this Manual).

Table 4-1. SERIES 100.00 – Common Office and Administration Management Records

RECORD SERIES	TITLE/DESCRIPTION/RETENTION INSTRUCTION/DISPOSITION AUTHORITY
100.03a1	<p>TITLE: Tracking and control records.</p> <p>DESCRIPTION: Records used to provide access to and control of records authorized for destruction by the GRS or a NARA-approved records schedule.</p> <p>INSTRUCTION: Temporary. Destroy when no longer needed.</p> <p>DISPOSITION AUTHORITY: GRS 4.1, item 010 (DAA-GRS-2013-0002-00016).</p>
100.03a2	<p>TITLE: Records Management Program Records.</p> <p>DESCRIPTION: Records related to the policies, procedures, and management of Agency business records from creation to eventual disposition. Includes records created and maintained while planning, managing, evaluating, administering, and performing the function of Agency records management.</p> <p>INSTRUCTION: Temporary. Destroy no sooner than 6 years after the project, activity, or transaction is completed or superseded, but longer retention is authorized if needed.</p> <p>DISPOSITION AUTHORITY: GRS 4.1, item 020 (DAA-GRS-2013-0002-0007).</p>
100.03a3	<p>TITLE: Essential Records Program Records.</p> <p>DESCRIPTION: Essential records inventories; cycling plans; results of tests, surveys, or evaluations; and reports of corrective in response to Agency tests. Records maintained by originating office.</p> <p>INSTRUCTION: Temporary. Destroy 3 years after project, activity, or transaction is completed or superseded, but longer retention is authorized if needed.</p> <p>DISPOSITION AUTHORITY: GRS 4.1, item 030 (DAA-GRS-2013-0002-0008).</p>
100.03a4	<p>DESCRIPTION: Copies of Agency records deemed essential to restore Agency functions in case of emergency</p> <p>INSTRUCTION: Temporary. Destroy when superseded by the next cycle.</p> <p>DISPOSITION AUTHORITY: GRS 4.1, item 031 (DAA-GRS-2013-0002-0015).</p>
100.03a5	<p>TITLE: Forms Management Records</p>

Table 4-1. SERIES 100.00 – Common Office and Administration Management Records

RECORD SERIES	TITLE/DESCRIPTION/RETENTION INSTRUCTION/DISPOSITION AUTHORITY
	<p>DESCRIPTION: Records involved with ensuring use of standard Federal and Agency forms to support effective recordkeeping and ensuring that Federal standard forms are available and used as appropriate to support Federal recordkeeping requirements.</p> <p>INSTRUCTION: Temporary. Destroy 3 years after form is discontinued, superseded, or cancelled, but longer retention is authorized, if needed.</p> <p>DISPOSITION AUTHORITY: GRS 4.1, item 040 (DAA-GRS-2013-0002-0009).</p>
100.03b	<p>TITLE: Management of Agency Records.</p> <p>DESCRIPTION: Correspondence, reports, authorizations, and other records that relate to the management of Agency records, including such matters as forms, correspondence, reports, mail, and files management to include; the use of microforms, automated data processing systems, and word processing; records management surveys; vital records programs; and all other aspects of records management not covered elsewhere in this schedule.</p>
100.03b1	<p>DESCRIPTION: Records maintained by originating office. This includes any records maintained on a DCMA website.</p> <p>INSTRUCTION: Temporary. Destroy 6 years after applicable cutoff category. Cutoff Category B, E.</p> <p>DISPOSITION AUTHORITY: N1-558-10-1-3.</p>
100.03b2	<p>TITLE: Other Offices' Records.</p> <p>DESCRIPTION: Refers to or includes:</p> <ul style="list-style-type: none"> a. Reference or convenience copies maintained by one office of the records of another office that is the OPR for managing recordkeeping copy IAW Agency's retention policy. This includes any records maintained on a DCMA website. b. Information provided by a lower office to a higher office's consolidated report. c. Records relating to a particular function or subject that are maintained by one office, when a different office is the OPR for that function or subject. <p>INSTRUCTION: Temporary. Destroy when superseded, obsolete, or no longer needed.</p> <p>DISPOSITION AUTHORITY: N1-558-10-1-4.</p>

SECTION 5: PHYSICAL SECURITY, LAW ENFORCEMENT, SAFETY AND HEALTH

5.1. OVERVIEW.

This series of records relates to activities concerning the occupational safety, security and protection of U.S. Government (USG) facilities, information, and personnel employed by the USG against workplace hazards, undo risk, sabotage, damage and theft or like matters.

Table 5-1. SERIES 110.00 – Physical Security, Law Enforcement, Safety and Health

RECORD SERIES	TITLE/DESCRIPTION/RETENTION INSTRUCTION/DISPOSITION AUTHORITY
110.01a	<p>TITLE: Physical Security, Law Enforcement, Safety and Health – General Records.</p> <p>DESCRIPTION: Includes but is not limited to:</p> <ul style="list-style-type: none"> a. Planning and Management. Records related to general planning, management and budgeting of physical security, emergency planning, law enforcement, safety and health, and foreign liaison matters; includes but is not limited to program plans, studies and analysis; reports, including those produced from tracking/control mechanisms, and guidance letters. b. Security. <ul style="list-style-type: none"> (1) Documents maintained by custodians of classified files that constitute authorization for access to top secret information as well the accountability and whereabouts of classified or top secret information. (2) Documents relating to the assignment of passwords or user identification to uniquely identify persons authorized to access entry into a building. (3) Documents designating security officers. (4) Documents reflecting scheduling, implementation of, and reports of security inspections to include vulnerability assessment reports. Refer to 110.01b for routine surveillance records. (5) Documents relating to review and regarding of specific case files of classified documents or equipment. (6) Request for personnel security clearances. (7) Operations Security survey files. (8) DCMA Foreign Liaison Program material to include but not limited to copies of regulations, point papers, weekly reports, general documents accumulated in connection with visits of foreign nationals to military installations and activities. c. Emergency Planning. <ul style="list-style-type: none"> (1) Emergency Planning case files to include copies of emergency plans or directives with related background document. Refer to 400.07b for official copy of the DCMA Emergency Plan. (2) Emergency Operation Test files to include files accumulated from tests conducted under Agency emergency plans, such as instructions to

Table 5-1. SERIES 110.00 – Physical Security, Law Enforcement, Safety and Health

RECORD SERIES	TITLE/DESCRIPTION/RETENTION INSTRUCTION/DISPOSITION AUTHORITY
	<p>members participating in test, staffing assignments, messages.</p> <p>d. Law Enforcement (Routine).</p> <ol style="list-style-type: none"> (1) Documents pertaining to acquisition and disposition of contraband and physical evidence that are not involving criminal cases. (2) Firearms registration. (3) Security of material documents relating to the use of locks, keys, and combinations; security storage areas and bins and inspections. (4) Routine security violations reports. (5) Routine Criminal Incident/Investigations; includes but is not limited to Vehicle Accident reports; reports of investigation, messages, statements of witnesses, subject and victims. For significant criminal investigative reports/case files refer to 110.03a. <p>e. Personnel/Occupational Safety and Health. Safety and Health reports and related information to identify hazardous conditions; accident investigations; and survey and inspection to include Occupational Safety and Health Log summary as required by law. This excludes Industrial Hygiene Survey Reports; refer to 130.02b EMF.</p> <ul style="list-style-type: none"> • Refer to 110.03a for Exceptions: Criminal Investigative Reports/Case Files. • Refer to 130.02b for Industrial Hygiene Survey Reports. • Refer to 400.03a for Agency’s official copy of Memorandum of Understanding (MOU) agreements, and authorizations concerning physical security, law enforcement, and criminal investigative matters with Military Departments and Federal and State agencies.
110.01a1	<p>DESCRIPTION: Records held by office performing Agency-wide responsibility (record serves as the legal copy). This includes any records maintained on a DCMA website.</p> <p>INSTRUCTION: Temporary. Destroy 6 years after applicable cutoff category. Cutoff Category B, E.</p> <p>DISPOSITION AUTHORITY: N1-558-10-2-1</p>
110.01a2	<p>DESCRIPTION: Other Offices’ Records. Refers to or includes:</p> <ol style="list-style-type: none"> a. Reference or convenience copies maintained by one office of the records of another office that is the OPR for managing recordkeeping copy IAW Agency's retention policy. This includes any records maintained on a DCMA website. b. Information provided by a lower office to a higher office's consolidated report. c. Records relating to a particular function or subject that are maintained by one office, when a different office is the OPR for that function or subject.

Table 5-1. SERIES 110.00 – Physical Security, Law Enforcement, Safety and Health

RECORD SERIES	TITLE/DESCRIPTION/RETENTION INSTRUCTION/DISPOSITION AUTHORITY
	<p>INSTRUCTION: Temporary. Destroy when superseded, obsolete, or no longer needed.</p> <p>DISPOSITION INSTRUCTION: N1-558-10-2-2.</p>
110.01b	<p>TITLE: Routine Surveillance Records.</p> <p>DESCRIPTION: Relates to records that are created or updated while performing routine surveillance activities. Included are motion picture and video surveillance recordings, backup tapes, and other formats of surveillance records. Records maintained by OPR. This includes any records maintained on a DCMA website. Refer to 110.01a for routine security files.</p> <p>INSTRUCTION: Temporary. Erase, delete, or destroy records when no longer needed and back-up tapes when superseded by a full back-up tape or when no longer needed, whichever is later.</p> <p>DISPOSITION AUTHORITY: N1-558-10-2-3.</p>
110.02a	<p>TITLE: Intelligence, Counter-Intelligence, and Antiterrorism (AT) Records.</p> <p>DESCRIPTION: Records relating to DCMA requirements pertaining to intelligence, counter-intelligence, and AT. Records include:</p> <ul style="list-style-type: none"> a. Intelligence records compiled by DCMA deriving from intelligence products generated by external organizations such as the Department of Homeland Security, Federal Bureau of Investigations, Defense Intelligence Agency, associated Combatant Commands, and the military services. Also included are copies of intelligence products generated by such external organizations. b. Files relating to DCMA's carrying out of DoD and other procedures relating to counter-intelligence. Included are functional services records relating to training, awareness, briefings and debriefings, inquiries (not investigations), program management, and assessments. c. Files relating to DCMA's carrying out of DoD and other procedures relating to AT. Included are files relating to training, assessments, local AT plans, liaison with law enforcement and security and intelligence organizations, and AT travel briefings.
110.02a1	<p>DESCRIPTION: Records maintained by the OPR. This includes any records maintained on a DCMA website.</p> <p>INSTRUCTION: Temporary. Destroy when 10 years old or after considered no longer relevant, whichever is later.</p> <p>DISPOSITION AUTHORITY: N1-558-10-2-4.</p>
110.02a2	DESCRIPTION: Other Offices' Records. Refers to or includes:

Table 5-1. SERIES 110.00 – Physical Security, Law Enforcement, Safety and Health

RECORD SERIES	TITLE/DESCRIPTION/RETENTION INSTRUCTION/DISPOSITION AUTHORITY
	<p>a. Reference or convenience copies maintained by one office of the records of another office that is the OPR for managing recordkeeping copy IAW Agency's retention policy. This includes any records maintained on a DCMA website.</p> <p>b. Information provided by a lower office to a higher office's consolidated report.</p> <p>c. Records relating to a particular function or subject that are maintained by one office, when a different office is the OPR for that function or subject.</p> <p>INSTRUCTION: Temporary. Destroy when superseded, obsolete, or no longer needed.</p> <p>DISPOSITION AUTHORITY: N1-558-10-2-5.</p>
110.03a	<p>TITLE: Exceptions: Criminal Investigative Reports/Case Files.</p> <p>DESCRIPTION: Criminal investigation reports constitute an exception to the files covered by 110.01a. Criminal investigation reports for which data is entered into the Defense Central Index of Investigations or designated national criminal records system; Criminal Incident/Investigation Files to include reports of investigations; messages, statement of witnesses, subjects and victims; photographs; laboratory reports; data collection reports; polygraph tests, analysis of criminal offenses and other related papers.</p> <p>Refer to 110.01a for routine files on criminal investigation.</p>
110.03a1	<p>DESCRIPTION: Reports or case files maintained by the OPR. This includes any records maintained on a DCMA website.</p> <p>INSTRUCTION: Temporary. Destroy 25 years after report/case is closed, or after considered no longer relevant, whichever is later.</p> <p>DISPOSITION: N1-558-10-2-6.</p>
110.03a2	<p>DESCRIPTION: Other Offices' Records. Refers to or includes:</p> <p>a. Reference or convenience copies maintained by one office of the records of another office that is the OPR for managing recordkeeping copy IAW Agency's retention policy. This includes any records maintained on a DCMA website.</p> <p>b. Information provided by a lower office to a higher office's consolidated report.</p> <p>c. Records relating to a particular function or subject that are maintained by one office, when a different office is the OPR for that function or subject.</p> <p>INSTRUCTION: Temporary. Destroy when superseded, obsolete, or no longer needed.</p>

Table 5-1. SERIES 110.00 – Physical Security, Law Enforcement, Safety and Health

RECORD SERIES	TITLE/DESCRIPTION/RETENTION INSTRUCTION/DISPOSITION AUTHORITY
	DISPOSITION AUTHORITY: N1-558-10-2-7.
110.04a	<p>TITLE: Classified Information Nondisclosure Agreements (NDA).</p> <p>DESCRIPTION: Copies of NDAs, such as SF 312, “Classified Information Non-Disclosure Agreement,” (link to form located on Resource Page of this Manual) signed by civilian and military personnel with access to information that is classified under standards put forth by Executive Orders governing security classification.</p>
110.04a1	<p>TITLE: NDAs.</p> <p>DESCRIPTION: Records maintained by the OPR separately from the individual’s OPF.</p> <p>INSTRUCTION: Temporary. Destroy when 50 years old.</p> <p>DISPOSITION INSTRUCTION: GRS 4.2, item 121 (DAA-GRS-2015-0002-0003).</p>
110.05	<p>TITLE: Physical Security, Law Enforcement, Safety and Health – Routine Background Material.</p> <p>DESCRIPTION: Refers to routine background materials relating to physical security, law enforcement, safety and health accumulated in the course of formulating or analyzing policy or similar activities that result in a clearly defined deliverable or issuances such as reports, publications, guidance documents, instructions, studies or white papers. Routine background material may consist of reference papers, extra copies of reports or other documents, and correspondence of a transitory or informational nature only. This includes any records maintained on a DCMA website.</p> <p>INSTRUCTION: Temporary. Destroy when superseded, obsolete, or no longer needed.</p> <p>DISPOSITION AUTHORITY: N1-558-10-2-8.</p> <p>DISPOSITION NOTICE: Place substantive background papers in the file pertinent to the subject matter or the function covered.</p>
110.06	<p>TITLE: Continuity and Emergency Management Planning Records</p> <p>DESCRIPTION: Records on continuity and emergency planning administrative and operational activities; continuity plans or directives and supporting documentation; records on continuity or emergency tests or exercises; evaluative reports on continuity or emergency tests or exercises.</p>
110.06a	TITLE: Continuity Planning and Related Emergency Planning Records.

Table 5-1. SERIES 110.00 – Physical Security, Law Enforcement, Safety and Health

RECORD SERIES	TITLE/DESCRIPTION/RETENTION INSTRUCTION/DISPOSITION AUTHORITY
	<p>DESCRIPTION:</p> <ul style="list-style-type: none"> a. Records on continuity and emergency planning administrative and operational activities: briefing materials and presentations; status reports; informational papers; files documenting policy or plan development including policy studies procedures, operational manuals, and related development records; implementation guidance; related correspondence; MOUs; Delegations of Authority/Orders of Succession. b. Continuity plans or directives and supporting documentation, including but not limited to: Continuity of Operations Plans; Devolution Plans; Occupant Emergency Plans, Emergency Action Plans; Facility Emergency Action Plans; Records Emergency Plans; Disaster Recovery Plans; Pandemic Influenza Plans. c. Records on continuity or emergency tests or exercises, such as: instructions to members participating in tests; staffing assignments; records of tests of communications and facilities. d. Evaluative reports on continuity or emergency tests or exercises, such as: result reports; readiness reports; risk and vulnerability assessments; site evaluations and inspections; corrective action plans; improvement plans. <p>INSTRUCTION: Temporary. Destroy when 3 years old or 3 years after superseded or obsolete, whichever is applicable, but longer retention is authorized if required.</p> <p>DISPOSITION AUTHORITY: GRS 5.3, item 010 (DAA-GRS-2016-0004-0001)</p> <p>DISPOSITION NOTICE: Continuity or emergency plans that are acted upon in the event of a national emergency may be of permanent value.</p>

SECTION 6: CONGRESSIONAL AND PUBLIC AFFAIRS, FREEDOM OF INFORMATION ACT, PRIVACY ACT; ETHICS AND STANDARDS OF CONDUCT; GENERAL COUNSEL OPINION AND LEGAL SERVICES

6.1. OVERVIEW.

This series of records relates to activities involving; liaison between DCMA and Congress, managing release of information to the public, participation in community relations as well as internal information programs concerning DCMA employees.

Table 6-1. SERIES 120.00 – Congressional and Public Affairs, Freedom of Information Act, Privacy Act; Ethics and Standards of Conduct; General Counsel Opinion and Legal Services

RECORD SERIES	TITLE/DESCRIPTION/RETENTION INSTRUCTION/DISPOSITION AUTHORITY
120.01a	<p>TITLE: Congressional and Public Affairs – General.</p> <p>DESCRIPTION: Records include but not limited to:</p> <ul style="list-style-type: none"> a. Records related to general planning, management and budgeting of Congressional and Public Affairs to include but not limited to program plans, studies and analysis; reports, including those produced from tracking/control mechanisms, and guidance letters. b. Congressional inquiry correspondence and related backup material. Refer to 120.03a for Congressional Hearings and Testimonies. c. Biographies, photographs, and related documents pertaining to leading military and civilian DCMA personnel used to provide information to various public organizations and groups. d. Speeches other than by the Agency Director or Deputy Director; reference files for all speeches. e. Clearance of speeches, articles, testimonies, and other informational material prior to release to the public. f. Records relating to public ceremonies and affairs such as parades, public displays, observances of local and national holidays. <ul style="list-style-type: none"> • Refer to 120.02a for guidance regarding retention of the official copy of DCMA Publications Public Affairs Releases, Executive Level Speeches. • Photographs of DCMA Leadership are not the record copies. The record copies are covered by permanent items in Defense Imagery Management Operations Center (DIMOC) Visual Information Schedule N1-330-08-4 or its successor schedule.
120.01a1	<p>DESCRIPTION: Records held by office performing Agency-wide responsibility (record serves as the legal copy). This includes any records maintained on a DCMA website.</p>

Table 6-1. SERIES 120.00 – Congressional and Public Affairs, Freedom of Information Act, Privacy Act; Ethics and Standards of Conduct; General Counsel Opinion and Legal Services

RECORD SERIES	TITLE/DESCRIPTION/RETENTION INSTRUCTION/DISPOSITION AUTHORITY
	<p>INSTRUCTION: Temporary. Destroy 6 years after applicable cutoff category. Cutoff Category B, E.</p> <p>DISPOSITION AUTHORITY: N1-558-10-3-1.</p>
120.01a2	<p>Other Offices' Records.</p> <p>DESCRIPTION: Other Offices' Records. Refers to or includes:</p> <ol style="list-style-type: none"> a. Reference or convenience copies maintained by one office of the records of another office that is the OPR for managing recordkeeping copy IAW Agency's retention policy. This includes any records maintained on a DCMA website. b. Information provided by a lower office to a higher office's consolidated report. c. Records relating to a particular function or subject that are maintained by one office, when a different office is the OPR for that function or subject. <p>INSTRUCTION: Temporary. Destroy when superseded, obsolete, or no longer needed.</p> <p>DISPOSITION AUTHORITY: N1-558-10-3-2.</p>
120.02a	<p>TITLE: Official Copy of Agency Publications, Public Affairs Releases, and Executive Level Speeches.</p> <p>DESCRIPTION: Relates to issuance of official releases in textual form to internal and external customers about DCMA activities and programs. Examples of textual records are speeches, news releases, employee newspapers, pamphlets, booklets or other similar informational documents. Includes:</p> <ol style="list-style-type: none"> a. One copy of each publication (i.e., Record Set) to include booklets, pamphlets, employee newspapers and other similar informational documents published and issued by DCMA such as "DCMA Communicator" and "Focus on Fraud." b. Public Affairs releases relating to release of information to the public that pertain to new Agency programs or termination of old Agency programs, major shifts in policy, changes in senior personnel, and similar documents. Includes but is not limited to news releases, articles, speeches. c. Speeches delivered by Agency Director and Deputy Directors (or acting in this capacity). <ul style="list-style-type: none"> • Refer to 400.07 for retention guidance related to issuances of DCMA policy and mission related instructions.

Table 6-1. SERIES 120.00 – Congressional and Public Affairs, Freedom of Information Act, Privacy Act; Ethics and Standards of Conduct; General Counsel Opinion and Legal Services

RECORD SERIES	TITLE/DESCRIPTION/RETENTION INSTRUCTION/DISPOSITION AUTHORITY
120.02a1	<p>DESCRIPTION: Records maintained by the OPR for retaining official record (For example, HQ DCMA Office of Congressional and Public Affairs, Agency Director, Deputy Director or similar high level authority). This includes any records maintained on a DCMA website.</p> <p>INSTRUCTION: Permanent. Cutoff annually. Transfer non-electronic records to the NARA 30 years after cutoff. Transfer physical custody of electronic records to the NARA 3 years after cutoff with any related technical documentation and finding aids specified IAW 36 CFR 1235.44 - 1235.50 or standard applicable at the time. Transfer legal custody of electronic records 30 years after cutoff.</p> <p>DISPOSITION AUTHORITY: NI-558-10-3-3.</p>
120.02a2	<p>DESCRIPTION: Copies of official releases kept in other DCMA offices. This includes any records maintained on a DCMA website.</p> <p>INSTRUCTION: Temporary. Destroy when superseded, obsolete or no longer needed.</p> <p>DISPOSITION AUTHORITY: N1-558-10-3-4.</p>
120.03a	<p>TITLE: Congressional Hearings and Testimonies.</p> <p>DESCRIPTION: Includes hearing schedule statements, witness lists, copies of other witnesses' statements, transcripts, legal opinion and other related materials accumulated as a result of preparing and presenting testimonies before Congress.</p>
120.03a1	<p>DESCRIPTION: OPR and respective systems for retaining official record (record serves as the legal copy). This includes any records maintained on a DCMA website.</p> <p>INSTRUCTION: Permanent. Cutoff annually. Transfer non-electronic records to the NARA 30 years after cutoff. Transfer physical custody of electronic records to the NARA 3 years after cutoff with any related technical documentation and finding aids specified IAW 36 CFR 1235.44 - 1235.50 or standard applicable at the time. Transfer legal custody of electronic records 30 years after cutoff.</p> <p>DISPOSITION: N1-558-10-3-5.</p>
120.03a2	<p>DESCRIPTION: Other Offices' Records. Refers to or includes:</p> <ul style="list-style-type: none"> a. Reference or convenience copies maintained by one office of the records of another office that is the OPR for managing recordkeeping

Table 6-1. SERIES 120.00 – Congressional and Public Affairs, Freedom of Information Act, Privacy Act; Ethics and Standards of Conduct; General Counsel Opinion and Legal Services

RECORD SERIES	TITLE/DESCRIPTION/RETENTION INSTRUCTION/DISPOSITION AUTHORITY
	<p>copy IAW Agency's retention policy. This includes any records maintained on a DCMA website.</p> <ul style="list-style-type: none"> b. Information provided by a lower office to a higher office's consolidated report. c. Records relating to a particular function or subject that are maintained by one office, when a different office is the OPR for that function or subject. <p>INSTRUCTION: Temporary. Cutoff annually. Destroy 1 year after cutoff or when no longer needed, whichever is later.</p> <p>DISPOSTION AUTHORITY: NI-558-10-3-6.</p>
120.04a	<p>TITLE: FOIA, PA, Ethics and Standards of Conduct.</p> <p>DESCRIPTION: Records include but not limited:</p> <ul style="list-style-type: none"> a. Planning and Management. Records related to general planning, management and budgeting of routine activities concerning FOIA, PA, Ethics and Standards of Conduct to include but not limited to program plans, studies and analysis; reports, including those produced from tracking/control mechanisms, and guidance letters. b. FOIA. <ul style="list-style-type: none"> (1) FOIA incoming requests. (2) Copies of replies include FOIA denials, supporting documentation for denial. (3) FOIA control files to include registers, logs, and case numbers. (4) FOIA report files. c. Privacy. <ul style="list-style-type: none"> (1) Privacy case files to include but not limited to documents accumulated in notifying requestors of the existence of records on them, providing or refusing to provide access. (2) PA General Administration files to include but not limited to notices, memoranda. (3) Privacy reports to include documents consisting of recurring reports and onetime information requirements relating to Agency implementation of the PA. d. Ethics and Standards of Conduct Files. Formal opinions, correspondence, training materials, program ideas, technical materials, tracking/control mechanisms, and related records used to inform DCMA personnel of their ethical and standards of conduct responsibilities.

Table 6-1. SERIES 120.00 – Congressional and Public Affairs, Freedom of Information Act, Privacy Act; Ethics and Standards of Conduct; General Counsel Opinion and Legal Services

RECORD SERIES	TITLE/DESCRIPTION/RETENTION INSTRUCTION/DISPOSITION AUTHORITY
120.04a1	<p>DESCRIPTION: Records held by office performing Agency-wide responsibility (record serves as the legal copy). This includes any records maintained on a DCMA website.</p> <p>INSTRUCTION: Temporary. Destroy 6 years and 3 months after applicable cutoff category. Cutoff Category B, E.</p> <p>DISPOSTION AUTHORITY: NI-558-10-3-7.</p> <p>DISPOSITION NOTICE 1: For certain PA Amendment Case Files, PA Accounting of Disclosure Files, FOIA Appeals Files, and Mandatory Review for Declassification Requests or Appeals Files, the records must not be disposed of prior to the approved retention period for the related records that are the subject of the PA, FOIA, or Mandatory Review action.</p> <p>DISPOSITION NOTICE 2: For Financial Disclosure Reporting Files submitted by individuals IAW Appendix 5a of Title 5, U.S.C., “The Ethics in Government Act of 1978” (Pub. L. 95-521) as amended, and related records, if the records are needed for an ongoing investigation, they must not be disposed of until no longer needed for the investigation.</p>
120.04a2	<p>DESCRIPTION: Other offices’ records. Refers to or includes:</p> <ul style="list-style-type: none"> a. Reference or convenience copies maintained by one office of the records of another office that is the OPR for managing recordkeeping copy IAW Agency's retention policy. This includes any records maintained on a DCMA website. b. Information provided by a lower office to a higher office's consolidated report. c. Records relating to a particular function or subject that are maintained by one office, when a different office is the OPR for that function or subject. <p>INSTRUCTION: Temporary. Destroy when superseded, obsolete, or no longer needed.</p> <p>DISPOSITION AUTHORITY: N1-558-10-3-8.</p>
120.05	<p>TITLE: GC Opinions and Legal Services.</p> <p>DESCRIPTION: Records relate to providing legal advice and services in all matters involving or affecting DCMA such as legislation; procurement and contract claims, appeal and litigation. Includes but is not limited to:</p> <ul style="list-style-type: none"> a. Records related to general planning, management and budgeting of general

Table 6-1. SERIES 120.00 – Congressional and Public Affairs, Freedom of Information Act, Privacy Act; Ethics and Standards of Conduct; General Counsel Opinion and Legal Services

RECORD SERIES	TITLE/DESCRIPTION/RETENTION INSTRUCTION/DISPOSITION AUTHORITY
	<p>counsel activities to include but not limited to program plans, studies and analysis; reports, including those produced from tracking/control mechanisms, and guidance letters. Legal opinions and related documentation on plans, programs, systems, and operations.</p> <p>b. Legislation files. Records accumulated as a result of preparing and processing legislation, Executive Orders, and proclamations proposed by or of interest to the DCMA. Includes staff summaries/coordinating actions, proposals, correspondence, draft DCMA legislation, comments to legislative proposal drafts by other agencies or DoD, and related background and supporting documentation.</p> <p>c. Court Contract Litigation. Case files consisting of litigation reports, court pleadings, motions, legal research memos, Department of Justice correspondence, copies of contracts, decisions, transcripts of trial, transcripts of depositions of witnesses, court decisions, or settlement agreements, withdrawal notices and related documentation used in contract litigation actions.</p> <p>d. Agency Protest Files. Contracting Officer final decisions papers, protest documents, attorney notes, correspondence, protect decision papers, and similar records used to support DCMA’s legal position relating to contract award protests.</p>
120.05a	<p>DESCRIPTION: Records held by office performing Agency-wide responsibility (record serves as the legal copy). This includes any records maintained on a DCMA website.</p> <p>INSTRUCTION: Temporary. Destroy 6 years and 3 months after applicable cutoff category. Cutoff Category B, E.</p> <p>DISPOSITION AUTHORITY: N1-558-10-3-9.</p>
120.05b	<p>DESCRIPTION: Other Offices’ Records. Refers to or includes:</p> <p>a. Reference or convenience copies maintained by one office of the records of another office that is the OPR for managing recordkeeping copy IAW Agency's retention policy. This includes any records maintained on a DCMA website.</p> <p>b. Information provided by a lower office to a higher office's consolidated report.</p> <p>c. Records relating to a particular function or subject that are maintained by one office, when a different office is the OPR for that function or subject.</p> <p>INSTRUCTION: Temporary. Destroy when superseded, obsolete, or no longer needed.</p>

Table 6-1. SERIES 120.00 – Congressional and Public Affairs, Freedom of Information Act, Privacy Act; Ethics and Standards of Conduct; General Counsel Opinion and Legal Services

RECORD SERIES	TITLE/DESCRIPTION/RETENTION INSTRUCTION/DISPOSITION AUTHORITY
	DISPOSITION AUTHORITY: NI-558-10-3-10.
120.06	<p>TITLE: Congressional and Public Affairs, FOIA, PA; Ethics and Standards of Conduct; GC - Routine Background Material.</p> <p>DESCRIPTION: Refers to routine background materials relating to Congressional and Public Affairs, FOIA, PA; Ethics and Standards of Conduct; GC Opinion and Legal Services accumulated in the course of formulating or analyzing policy or similar activities that result in a clearly defined deliverable or issuances such as reports, publications, guidance documents, instructions, studies or white-papers. Routine background material may consist of reference papers, extra copies of reports or other documents, and correspondence of a transitory or informational nature only. This includes any records maintained on a DCMA website.</p> <p>INSTRUCTION: Temporary. Destroy when superseded, obsolete, or no longer needed.</p> <p>DISPOSITION AUTHORITY: NI-558-10-3-11.</p> <p>DISPOSITION NOTICE: Place substantive background papers in the file pertinent to the subject matter or the function covered.</p>
120.07	Agency Accountability Records
120.07a	<p>TITLE: Administrative directives and notices.</p> <p>DESCRIPTION: Policy documents on administrative functions such as payroll, procurement, facilities, equipment, and human capital.</p> <p>INSTRUCTION: Temporary. Destroy when superseded, obsolete, or no longer needed, whichever is later.</p> <p>DISPOSITION AUTHORITY: GRS 5.7, item 030 (DAA-GRS-2017-0008-0003).</p>
120.07b	<p>DESCRIPTION: Mandatory reports to external Federal entities regarding administrative, but not finance (GRS 1.1) matters. Examples include: Agency Financial Report, Performance and Accountability Report, Annual Performance Plan/Report, Information collection clearances.</p> <p>INSTRUCTION: Temporary. Destroy 6 years after report submission or oversight entity notice of approval, as appropriate, but longer retention is authorized if required for business use.</p>

Table 6-1. SERIES 120.00 – Congressional and Public Affairs, Freedom of Information Act, Privacy Act; Ethics and Standards of Conduct; General Counsel Opinion and Legal Services

RECORD SERIES	TITLE/DESCRIPTION/RETENTION INSTRUCTION/DISPOSITION AUTHORITY
	DISPOSITION AUTHORITY: GRS 5.7, item 050 (DAA-GRS-2017-0008-0005).

SECTION 7: HUMAN RESOURCES AND PAY ADMINISTRATION

7.1. OVERVIEW.

a. This series of records relates to personnel development, civilian and military personnel staffing, payroll and pay administration, and DCMA Equal Employment Opportunity (EEO) Program. It also includes records which may be filed in the OPF or EMF.

b. Refer to record series 130.02 for personnel records kept in the OPF and EMF.

c. Refer to record series 400.02a for records disposition of high level planning and decision making.

d. Refer to record series 400.03a for disposition of official recordkeeping copy of agreements.

Table 7-1. SERIES 130.00 – Human Resources and Pay Administration.

RECORD SERIES	TITLE/DESCRIPTION/RETENTION INSTRUCTION/DISPOSITION AUTHORITY
130.01	<p>TITLE: Human Resources and Pay Administration – General Records.</p> <p>DESCRIPTION: Records includes but are not limited to:</p> <ul style="list-style-type: none"> a. Planning and Management. b. Records related to general planning, management, and budgeting of Personnel. Also includes but not limited to program plans, studies and analysis; reports, including those produced from tracking/control mechanisms, and guidance letters. Civilian and Military Personnel Staffing. <ul style="list-style-type: none"> (1) Union labor relation matters to include memoranda, correspondence, and associated records relating to relationship between management and employee unions or other groups. Refer to 400.04b for disposition of official recordkeeping copies of Agreements. (2) Copies of documents pertaining to re-alignment and re-organization used to activate approved realignments and reorganizations. Refer to 400.02a for official record retention guidance. (3) Personnel requisitions to include requisitions for military personnel. (4) Documents related to assignment and transfers of military personnel. (5) Special orders for military awards and decorations. (6) Case files accumulated as a result of recommendations for and presentation of military decorations and awards. c. Military manpower reports. d. Employee Relations/Benefits. <ul style="list-style-type: none"> (1) Counseling files to include reports of interviews, analyses. (2) Appraisals of unacceptable performance. (3) Performance Records. (4) Drug Testing Programs.

Table 7-1. SERIES 130.00 – Human Resources and Pay Administration.

RECORD SERIES	TITLE/DESCRIPTION/RETENTION INSTRUCTION/DISPOSITION AUTHORITY
	<ul style="list-style-type: none"> (5) Occupational Injury and Illness files. (6) Personal injury files to include forms, reports and related medical and investigatory records related to on the job injuries. Refer to 110.01a for Occupational Safety and Health log summary reports. (7) Administrative Grievance, Disciplinary and Adverse Action Case files and related records created in reviewing an action (disciplinary or non-disciplinary removal, suspension, leave without pay, reduction-in-force) against an employee. Includes copies of proposed adverse actions with supporting documents. Refer to 400.04b for records kept as reference when conducting subsequent collective bargaining agreements (CBA). <p>e. EEO.</p> <ul style="list-style-type: none"> (1) Records related to affirmative action programs to include statistical reports, and other backup material to monitor programs. (2) EEO correspondence files to include documents providing general direction, staff guidance and reporting in the management and administration of EEO including interpretations and decisions on applicability, requests for waivers and exceptions. (3) EEO complaints/investigations preliminary files involving DCMA personnel that do not develop into Official Discrimination Complaint Cases. (4) Official Discrimination Complaint Case Files. (5) Community relations to include copies of documents, correspondence and similar materials related to community related services. <p>f. Pay Administration, Hazard Pay Differential, and Position Classification (Refer to 130.03 for Employee Pay Records).</p> <ul style="list-style-type: none"> (1) Classification Standard Development Case files to include correspondence and other records relating to the development of standards for approval by OPM. (2) Position Descriptions. (3) Classification Survey Reports. (4) Classification Appeal Files. (5) Wage Surveys and Pay adjustment determinations. (6) Pay Comparability records. (7) Merit Promotion Case Files. (8) Leave (approved/not approved) Application Files. (9) Wage Deductions, Allotments, and electronic fund transfers to include but not limited to employee withholding allowance certificates, employee wages and tax statements. (10) Savings Bond Purchase files. (11) Payroll system reports to include error reports, system operation reports, and reports providing fiscal information on Agency payroll. (12) Records relating to retirement to include Register of Separations and

Table 7-1. SERIES 130.00 – Human Resources and Pay Administration.

RECORD SERIES	TITLE/DESCRIPTION/RETENTION INSTRUCTION/DISPOSITION AUTHORITY
	<p>Transfers-Civil Service Retirement System, or equivalent.</p> <p>(13) Time and Attendance Source records.</p> <p>(14) Hazard Pay Differential to include survey results, decisions, Administrative Grievances, case files and related records created in reviewing an action.</p> <p>g. Personnel Development.</p> <p>(1) General training course records of Agency-sponsored training to include course reference material, backup and working files and correspondence, agreements relating to the establishment of training.</p> <p>(2) Developmental programs to include training plans, supervisors Quarterly reports, recommendations for improvement.</p> <p>(3) Training Evaluations.</p> <p>DISPOSITION NOTICE: Prior to executing disposition, these records are subject to the Records Disposition Notice pursuant to DCMA-MAN 4501-04, Volume 1, "Records and Information Management Program," Paragraph 6.6., and require Agency Review Panel (GC, FOIA, and ARO) disposition concurrence.</p>
130.01a	<p>Records maintained by OPR.</p> <p>DESCRIPTION: This includes any records maintained on a DCMA website.</p> <p>INSTRUCTION: Temporary. Destroy 6 years after applicable cutoff category. Cutoff Category B, C, E.</p> <p>DISPOSITION AUTHORITY: N1-558-10-4-1.</p>
130.01b	<p>Other Offices' Records.</p> <p>DESCRIPTION: Other Offices' Records. Refers to or includes:</p> <p>a. Reference or convenience copies maintained by one office of the records of another office that is the OPR for managing recordkeeping copy IAW Agency's retention policy. This includes any records maintained on a DCMA website.</p> <p>b. Information provided by a lower office to a higher office's consolidated report.</p> <p>c. Records relating to a particular function or subject that are maintained by one office, when a different office is the OPR for that function or subject.</p> <p>INSTRUCTION: Temporary. Destroy when superseded, obsolete, or no longer needed.</p> <p>DISPOSITION AUTHORITY: N1-558-10-4-2.</p>
130.02	OPF and EMF
130.02a	TITLE: OPF

Table 7-1. SERIES 130.00 – Human Resources and Pay Administration.

RECORD SERIES	TITLE/DESCRIPTION/RETENTION INSTRUCTION/DISPOSITION AUTHORITY
	<p>DESCRIPTION: Includes records that follow an employee throughout their career such as employment history, employee performance ratings.</p>
130.02a1	<p>DESCRIPTION: An Agency holding an OPF concerning one of its employees is the custodian of the OPF during the period the person to whom it pertains is an employee of the Agency and is responsible for the maintenance of that record regardless of format or media employed. This includes any records maintained on a DCMA website.</p> <p>INSTRUCTIONS: Records filed on the right side of the OPF. (See GRS 2.2, item 041, for temporary papers on the left side of the OPF). Folders covering employment terminated after December 31, 1920, excluding those selected by the NARA for permanent retention (separated employees). Destroy when survivor or retirement claims are adjudicated or when records are 129 years old, whichever is sooner, but longer retention is authorized if required for business use.</p> <p>DISPOSITION AUTHORITY: GRS 2.2, item 040 (DAA-GRS-2017-0007-0004).</p>
130.02a2	<p>DESCRIPTION: DCMA copy of OPF. Includes copies of records normally included in OPF maintained by supervisors or managers of staff under their administrative control. Refer to 130.02a1 for recordkeeping copy of OPF.</p> <p>INSTRUCTION: Temporary. Destroy or delete 2 years from date employee transferred to another Agency or to another supervisor within the DCMA; or terminated employment from the DCMA, or verification of receipt of OPF records by Agency or office having assumed responsibility for records, whichever is earlier.</p> <p>DISPOSITION AUTHORITY: N1-558-10-4-3.</p>
130.02a3	<p>DESCRIPTION: Other Offices' Records. Refers to or includes:</p> <ul style="list-style-type: none"> a. Reference or convenience copies maintained by one office of the records of another office that is the OPR for managing recordkeeping copy IAW Agency's retention policy. This includes any records maintained on a DCMA website. b. Information provided by a lower office to a higher office's consolidated report. c. Records relating to a particular function or subject that are maintained by one office, when a different office is the OPR for that function or subject. <p>INSTRUCTION: Temporary. Destroy when superseded, obsolete, or no longer needed.</p> <p>DISPOSITION AUTHORITY: N1-558-10-4-4.</p>

Table 7-1. SERIES 130.00 – Human Resources and Pay Administration.

RECORD SERIES	TITLE/DESCRIPTION/RETENTION INSTRUCTION/DISPOSITION AUTHORITY
130.02b	<p>TITLE: EMF</p> <p>DESCRIPTION: Records relating to storing of occupational medical records about an employee’s health status including personal and occupational health histories and the opinions and written evaluations obtained through the Data Collection Form and related Medical Surveillance Program; Pre-employment, deployment or overseas health screening forms or physicals; and one-time occupational health exposure documentation.</p>
130.02b1	<p>DESCRIPTION: An Agency holding an EMF concerning one of its employees is the custodian of the EMF during the period the person to whom it pertains is an employee of the Agency and is responsible for the maintenance of that record regardless of format or media employed. This includes records maintained on a DCMA website. (See note after GRS 1, item 21c)</p> <ul style="list-style-type: none"> a. Long-term medical records as defined in Title 5 of CFR Part 293, Subpart E (includes Industrial Hygiene Survey reports, or records generated in the course of diagnosis and/or employment related treatment) - separated employees. <p>INSTRUCTION: Temporary. Destroy 30 years after employee separation or when the OPF is destroyed, whichever is longer.</p> <p>DISPOSITION AUTHORITY: GRS 2.7, item 060 (DAA-GRS-2017-0010-0009)</p> <ul style="list-style-type: none"> b. Temporary or short-term records as defined in the Federal Personnel Manual. c. Individual employee health case files created prior to establishment of the EMF system that have been retired to a NARA records storage facility. <p>INSTRUCTION: Destroy 3 years after employee separation or transfer. Destroy 60 years after retirement to the NARA records storage facility.</p> <p>DISPOSITION AUTHORITY: GRS 2.7, item 060 (DAA-GRS-2017-0010-0009); GRS 2.7, item 061 (DAA-GRS-2017-0010-0010); GRS 2.7, item 062 (DAA-GRS-2017-0010-0011).</p>
130.02b2	<p>DESCRIPTION: DCMA copy of EMF. Includes copies of records normally included in the EMF maintained at a separate location for administrative need or convenience. Refer to 130.02b1 for recordkeeping copy of EMF.</p> <p>INSTRUCTION: Temporary. Destroy or delete 3 years from date employee transferred to another Agency or terminated employment from the DCMA, or verification of receipt of EMF records by Agency or office having assumed responsibility for records, whichever is earlier.</p>

Table 7-1. SERIES 130.00 – Human Resources and Pay Administration.

RECORD SERIES	TITLE/DESCRIPTION/RETENTION INSTRUCTION/DISPOSITION AUTHORITY
	DISPOSITION AUTHORITY: NI-558-10-4-5.
130.02b3	<p>DESCRIPTION: Other Offices' Records. Refers to or includes:</p> <ul style="list-style-type: none"> a. Reference or convenience copies maintained by one office of the records of another office that is the OPR for managing recordkeeping copy IAW Agency's retention policy. This includes any records maintained on a DCMA website. b. Information provided by a lower office to a higher office's consolidated report. c. Records relating to a particular function or subject that are maintained by one office, when a different office is the OPR for that function or subject. <p>INSTRUCTION: Temporary. Destroy when superseded, obsolete, or no longer needed.</p> <p>DISPOSITION AUTHORITY: NI-558-10-4-6.</p>
130.03	Employee Management Records
130.03a	<p>TITLE: Employee Management Administrative Records.</p> <p>DESCRIPTION: Records on routine office program support, administration, and human resources operations.</p> <p>INSTRUCTION: Temporary. Destroy when 3 years old, but longer retention is authorized if required for business use.</p> <p>DISPOSITION AUTHORITY: GRS 2.2, item 010 (DAA-GRS-2017-0007-0001).</p>
130.03b	<p>TITLE: Employee Incentive Award Records.</p> <p>DESCRIPTION: Agency awards files, including recommendations, approved nominations, correspondence, and reports about Agency-sponsored cash and noncash rewards.</p> <p>INSTRUCTION: Temporary. Destroy when 2 years old or 2 years after award is approved or disapproved, whichever is later, but longer retention is authorized if required for business use.</p> <p>DISPOSITION AUTHORITY: GRS 2.2, item 030 (DAA-GRS-2017-0007-0003).</p>
130.03c	TITLE: Notifications of Personnel Actions.

Table 7-1. SERIES 130.00 – Human Resources and Pay Administration.

RECORD SERIES	TITLE/DESCRIPTION/RETENTION INSTRUCTION/DISPOSITION AUTHORITY
	<p>DESCRIPTION: Includes chronological files, fact sheets, general correspondence, and forms about pending personnel actions maintained by Total Force office.</p> <p>INSTRUCTION: Temporary. Destroy when business use ceases.</p> <p>DISPOSITION AUTHORITY: GRS 2.2, item 050 (DAA-GRS-2017-0007-0006).</p>
130.03d	<p>TITLE: Supervisors' Personnel Records.</p> <p>DESCRIPTION: Records on positions, authorizations, pending actions, position descriptions, training records, individual development plans, telework agreements, award recommendations, and records on individual employees not duplicated in or not appropriate for the OPF.</p> <p>INSTRUCTION: Temporary. Review annually and destroy superseded documents. Destroy remaining documents 1 year after employee separation or transfer.</p> <p>DISPOSITION AUTHORITY: GRS 2.2, item 080 (DAA-GRS-2017-0007-0012).</p>
130.04	130.04 Employee Compensation and Benefits Records
130.04a	<p>TITLE: Employee Compensation Records.</p> <p>DESCRIPTION: Records used to calculate payroll, arrange paycheck deposit, and change previously issued paychecks.</p> <p>INSTRUCTION: Temporary. Destroy 3 years after paying Agency or payroll processor validates data, but longer retention is authorized, if required.</p> <p>DISPOSITION AUTHORITY: GRS 2.4, item 010 (DAA-GRS-2019-0004-0001).</p>
130.04b	<p>TITLE: Income Tax Withholdings.</p> <p>DESCRIPTION: Income tax withholding and adjustment documents such as Internal Revenue Service (IRS) Form W-4, "Employee's Withholding Allowance Certificate" (links to IRS forms provided on the Resource Page of this Manual), state equivalents, and records of fringe benefits and expense reimbursements provided to employees.</p> <p>INSTRUCTION: Temporary. Destroy when 4 years after superseded or obsolete, but longer retention is authorized, if required.</p>

Table 7-1. SERIES 130.00 – Human Resources and Pay Administration.

RECORD SERIES	TITLE/DESCRIPTION/RETENTION INSTRUCTION/DISPOSITION AUTHORITY
	DISPOSITION AUTHORITY: GRS 2.4, item 020 (DAA-GRS-2016-0015-0002).
130.04c	<p>TITLE: Time and Attendance Records.</p> <p>DESCRIPTION: Employee (civilian, military, contractor) time attendance records.</p> <p>INSTRUCTION: Temporary. Destroy when 3 years old, but longer retention is authorized, if required.</p> <p>DISPOSITION AUTHORITY: GRS 2.4, item 030 (DAA-GRS-2019-0004-0002).</p>
130.04d	<p>TITLE: Payroll Records.</p> <p>DESCRIPTION: Agency payroll record for each pay period. Aggregate records documenting payroll disbursed in each pay period.</p> <p>INSTRUCTION: Temporary. Destroy when 56 years old.</p> <p>DISPOSITION AUTHORITY: GRS 2.4, item 040 (DAA-GRS-2016-0015-0004)</p>
130.04e	<p>TITLE: Wage and Tax Statements.</p> <p>DESCRIPTION: Agency copies of IRS Form W-2, “Wage and Tax Statement,” IRS Form W-3, “Transmittal of Wage and Tax Statements,” IRS Form 1099, “Miscellaneous Income” (links to IRS forms provided on the Resource Page of this Manual), and state equivalents.</p> <p>INSTRUCTION: Temporary. Destroy when 4 years old, but longer retention is authorized, if required.</p> <p>DISPOSITION AUTHORITY: GRS 2.4, item 050 (DAA-GRS-2016-0015-0005).</p>
130.04f	<p>TITLE: Payroll Program Administrative Records.</p> <p>DESCRIPTION: Administrative correspondence between Agency and payroll processor, and system reports used for Agency workload and or personnel management purposes.</p> <p>INSTRUCTION: Temporary. Destroy when 2 years old, but longer retention is authorized, if required.</p>

Table 7-1. SERIES 130.00 – Human Resources and Pay Administration.

RECORD SERIES	TITLE/DESCRIPTION/RETENTION INSTRUCTION/DISPOSITION AUTHORITY
	DISPOSITION AUTHORITY: GRS 2.4, item 060 (DAA-GRS-2016-0015-0006).
130.04g	<p>TITLE: Payroll Program Administrative Reports.</p> <p>DESCRIPTION: Payroll system reports providing fiscal information on Agency payroll.</p> <p>INSTRUCTION: Temporary. Destroy when 3 years old or after Government Accountability Office (GAO) audit, whichever comes sooner, but longer retention is authorized, if required.</p> <p>DISPOSITION AUTHORITY: GRS 2.4, item 061 (DAA-GRS-2016-0015-0007).</p>
130.04h	<p>TITLE: Leave Donation Records.</p> <p>DESCRIPTION: Donated leave program administrative records related to managing the program. Includes records of leave bank management, statistical and narrative reports, publicity and program announcements, and records of leave bank governing board award decisions.</p> <p>INSTRUCTION: Temporary. Destroy when 3 years old, but longer retention is authorized, if required.</p> <p>DISPOSITION AUTHORITY: GRS 2.4, item 070 (DAA-GRS-2016-0015-0008).</p>
130.04i	<p>TITLE: Leave Donation Records – Individual Case Files.</p> <p>DESCRIPTION: Donated leave program individual case files. Records documenting leave donation and receipt, including recipient applications; Agency approvals or denials; medical or physician certifications; and records of leave donations, supervisor approvals, leave transfers, payroll notifications, and terminations from the program.</p> <p>INSTRUCTION: Temporary. Destroy 1 year after the employee receiving leave is no longer participating in the program, but longer retention is authorized, if required.</p> <p>DISPOSITION AUTHORITY: GRS 2.4, item 071 (DAA-GRS-2016-0015-0009).</p>
130.04j	TITLE: Family Medical Leave Act Program - Individual Case Files.

Table 7-1. SERIES 130.00 – Human Resources and Pay Administration.

RECORD SERIES	TITLE/DESCRIPTION/RETENTION INSTRUCTION/DISPOSITION AUTHORITY
	<p>DESCRIPTION: Includes employee eligibility, notice of employee rights and responsibilities, medical certifications, leave request, and records of premium payments of employee benefits.</p> <p>INSTRUCTION: Temporary. Destroy 3 years after conclusion of leave being taken, but longer retention is authorized, if required.</p> <p>DISPOSITION AUTHORITY: GRS 2.4, item 141 (DAA-GRS-2016-0015-0020).</p>
130.05	Employee Acquisition Records
130.05a	<p>TITLE: Job Applications.</p> <p>DESCRIPTION: Job application packages for competitive positions, in online application websites/utilities, and other systems, whether electronic or analog. Includes application, resume, supplemental forms, and other attachments.</p> <p>INSTRUCTION: Temporary. Destroy 1 year after date of submission.</p> <p>DISPOSITION AUTHORITY: GRS 2.1, item 060 (DAA-GRS-2014-0002-0011).</p>
130.05b	<p>TITLE: Interview Records.</p> <p>DESCRIPTION: Case files related to filling job vacancies, held by hiring official and interview panel members. Includes copies of records in the job vacancy case file, notes of interviews with selected and non-selected candidates, and reference check documentation.</p> <p>INSTRUCTION: Temporary. Destroy 2 years after case is closed by hire or non-selection, expiration of right to appeal a non-selection, or final settlement of any associated litigation, whichever is later.</p> <p>DISPOSITION AUTHORITY: GRS 2.1, item 090 (DAA-GRS-2014-0002-0008).</p>
130.06	Employee Relations Records
130.06a	<p>TITLE: Telework/alternate worksite program case files.</p> <p>DESCRIPTION: Includes Agency/employee agreements, questionnaires relating to the safety of the worksite, documentation of worksite safety and equipment, hardware, and software installation and use; and office use of secure, classified information or data subject to the PA or Agencies' personally identifiable information policies.</p>

Table 7-1. SERIES 130.00 – Human Resources and Pay Administration.

RECORD SERIES	TITLE/DESCRIPTION/RETENTION INSTRUCTION/DISPOSITION AUTHORITY
	<p>INSTRUCTION: Temporary. Destroy when superseded or obsolete or 1 year after end of employee’s participation in program, whichever is sooner, but longer retention is authorized, if required.</p> <p>DISPOSITION AUTHORITY: GRS 2.3, item 040 (DAA-GRS-2018-0002-0004).</p>
130.07	Employee Training Records
130.07a	<p>TITLE: Individual employee training records.</p> <p>DESCRIPTION: Records documenting training required by all or most Federal agencies, such as information system security and anti-harassment training, and training to develop job skills. Includes completion certificates or verification documents for mandatory training required of all Federal employees or specific groups of employees (e.g., supervisors, contractors), Individual Development Plans, and mentoring or coaching agreements.</p> <p>INSTRUCTION: Temporary. Destroy when superseded, 3 years old, or 1 year after separation, whichever comes first, but longer retention is authorized, if required.</p> <p>DISPOSITION AUTHORITY: GRS 2.6, item 030 (DAA-GRS-2016-0014-0003).</p>

SECTION 8: ELECTRONIC SYSTEMS DEVELOPMENT, IMPLEMENTATION, AND SUSTAINMENT

8.1. OVERVIEW.

This series of records relates to the development and implementation of newly acquired EIS and telecommunications systems to include but not limited to website and portal development. These records also relate to:

- a. Mission and non-mission related activities with regard to electronic systems development, implementation and sustainment; and
- b. Data maintained in databases for convenience of reference to support mission and non-mission activities such as program analysis. Refer to Schedule 400.06.

Table 8-1. SERIES 140.00 – Electronic Systems Development, Implementation, and Sustainment.

RECORD SERIES	TITLE/DESCRIPTION/RETENTION INSTRUCTION/DISPOSITION AUTHORITY
140.01	<p>TITLE: Electronic Systems Development and Implementation of New Systems – General.</p> <p>DESCRIPTION: Records include:</p> <ul style="list-style-type: none"> a. Planning and Management. Records related to general planning, management and budgeting of electronic system development and implementation to include but not limited to program plans, studies and analysis; reports, including those produced from tracking/control mechanisms, and guidance letters. b. Development records such as: <ul style="list-style-type: none"> (1) Mission requirements and specifications documents to include but not limited to economic analysis, sole source justifications, and statements of work list of requirements, studies reviewing or evaluating proposals. (2) Technical reference models, diagrams, graphics, model, sequencing plans, Website design records. (3) Analysis of Alternatives, Acquisition Baseline Agreements. (4) IT Capital Investment records – reports on IT capital investments, capital asset plans; business cases for investments, systems, acquisitions or operational assets. (5) Web management operations and management that provide structure related to the site to include site maps that show the directory structure into which content pages are organized. (6) Commercial off-the-shelf configuration files used to operate the site and establish its look and feel, including server environment configuration specifications. c. Implementation records such as:

Table 8-1. SERIES 140.00 – Electronic Systems Development, Implementation, and Sustainment.

RECORD SERIES	TITLE/DESCRIPTION/RETENTION INSTRUCTION/DISPOSITION AUTHORITY
	<p>(1) Reports, guidance, Analysis Findings, Risk Assessments, Portal and Website Usability studies.</p> <p>(2) Training and Education guides.</p> <p>(3) System Monitoring and Performance Report.</p> <p>(4) Inter and Full Operational Capability Status Reports.</p> <ul style="list-style-type: none"> • Refer to 400.02a for records disposition of high level planning and management decision. • Refer to 400.03a for records disposition of Agreements. • For content of web records refer to the specific retention schedule covering the subject and/or function of the contents.
140.01a	<p>DESCRIPTION: This includes any records maintained on a DCMA website. Records maintained by the OPR.</p> <p>INSTRUCTION: Temporary. Destroy or delete 6 years from when system meets final operational capability or project cancelled, whichever is later.</p> <p>DISPOSITION AUTHORITY: N1-558-10-5-1.</p>
140.01b	<p>DESCRIPTION: Other Offices’ Records. Refers to or includes:</p> <ol style="list-style-type: none"> a. Reference or Convenience copies maintained by one office of the records of another office that is the OPR for managing recordkeeping copy IAW Agency's retention policy. This includes any records maintained on a DCMA website. b. Information provided by a lower office to a higher office's consolidated report. c. Records relating to a particular function or subject that are maintained by one office, when a different office is the OPR for that function or subject. <p>INSTRUCTION: Temporary. Destroy when superseded, obsolete or no longer needed.</p> <p>DISPOSITION AUTHORITY: N1-558-10-5-2.</p>
140.02	<p>TITLE: Systems Sustainment – General.</p> <p>DESCRIPTION: Records related to activities concern the support of electronic systems (including websites and portals) – it includes but is not limited to daily program operation activities, analysis, assessments, annual system review, development and implementation of system modifications, system testing, decisions, help desk and related support. Includes, but not limited to;</p>

Table 8-1. SERIES 140.00 – Electronic Systems Development, Implementation, and Sustainment.

RECORD SERIES	TITLE/DESCRIPTION/RETENTION INSTRUCTION/DISPOSITION AUTHORITY
	<p>a. Records related to general planning and management of electronic system sustainment to include but not limited to program plans, studies and analysis; reports, including those produced from tracking/control mechanisms, and guidance letters.</p> <p>b. Agendas, briefing books, minutes, status reports, risk assessments.</p> <p>c. Operational Capability Status Reports, guidance to staff, Analysis of Alternatives.</p> <p>d. Reports/Data, Certifications considered critical to program funding decisions.</p> <p>e. Status Reports, guidance, Analysis Findings, Risk Assessments.</p> <p>f. Training and education guides.</p> <p>g. Metrics.</p> <p>h. Business Program Support.</p> <p>i. User support.</p> <p>j. Infrastructure Support, including records of routine maintenance of IT networks.</p> <p>k. System Performance Reports.</p> <p>l. Inventory Control Tracking Report to account for equipment.</p> <p>m. Telecommunication records to include communications service authorizations, commercial communications work order.</p> <p>n. Database Documentation about databases or similar type system containing electronic records that are scheduled for temporary retention in the GRS or in a NARA approved Agency schedule. Refer to 140.05a for Database Documentation on Permanent Systems.</p> <ul style="list-style-type: none"> • Refer to 140.04 for Systems Security and IT Asset Management Files. • Refer to 140.05 for documentation about databases containing permanent records. • For content of web records refer to the specific retention schedule covering the subject and/or function of the contents.
140.02a	<p>DESCRIPTION: Records maintained by the OPR. This includes any recordkeeping copies maintained on a DCMA website.</p> <p>INSTRUCTION: Temporary. Cutoff annually. Destroy or delete 3 years from annual cutoff or destroy 3 years from when no longer required, whichever is later.</p> <p>DISPOSITION AUTHORITY: N1-558-10-5-3.</p>
140.02b	<p>DESCRIPTION: Other Offices' Records. Refers to or includes:</p> <p>a. Reference or convenience copies maintained by one office of the records of another office that is the OPR for managing recordkeeping copy IAW Agency's retention policy. This includes any records</p>

Table 8-1. SERIES 140.00 – Electronic Systems Development, Implementation, and Sustainment.

RECORD SERIES	TITLE/DESCRIPTION/RETENTION INSTRUCTION/DISPOSITION AUTHORITY
	<p>maintained on a DCMA website.</p> <p>b. Information provided by a lower office to a higher office's consolidated report.</p> <p>c. Records relating to a particular function or subject that are maintained by one office, when a different is the OPR for that function or subject.</p> <ul style="list-style-type: none"> • Personally identifiable information, security and privacy confidential nature and will not be accessed or shared without the appropriate approval and IAW DoD policy and/or Federal Law. <p>INSTRUCTION: Temporary. Destroy when superseded, obsolete, or no longer.</p> <p>DISPOSITION AUTHORITY: N1-558-10-5-4.</p>
140.03a	<p>TITLE: Systems Sustainment – Backup Media.</p> <p>DESCRIPTION: Relates to records that are routinely created or maintained to back up information or preserve/protect systems or information in the event of systems failure. Includes incremental and full records backup. Refer to 140.03b for back p of email records.</p>
140.03a1	<p>DESCRIPTION: Incremental records backup including any records maintained on a DCMA website. Maintained by the OPR.</p> <p>INSTRUCTION: Temporary. Destroy when superseded by a full backup, or when no longer needed for system restoration, whichever is later.</p> <p>DISPOSITION AUTHORITY: GRS 3.2, item 040 (DAA-GRS-2013-0006-0005).</p>
140.03a2	<p>DESCRIPTION: Maintained by the OPR. Full records backup including any records maintained on a DCMA website.</p> <p>INSTRUCTION: Temporary. Destroy when second subsequent backup is verified as successful or when no longer needed for system restoration, whichever is later.</p> <p>DISPOSITION AUTHORITY: GRS 3.2, item 041 (DAA-GRS-2013-0006-0006).</p>
140.03a3	<p>DESCRIPTION: Other Offices' Records. Refers to or includes:</p> <p>a. Reference or Convenience copies maintained by one office of the records of another office that is the OPR for managing recordkeeping copy IAW Agency's retention policy. This includes any records maintained on a DCMA website.</p>

Table 8-1. SERIES 140.00 – Electronic Systems Development, Implementation, and Sustainment.

RECORD SERIES	TITLE/DESCRIPTION/RETENTION INSTRUCTION/DISPOSITION AUTHORITY
	<ul style="list-style-type: none"> b. Information provided by a lower office to a higher office's consolidated report. c. Records relating to a particular function or subject that are maintained by one office, when a different office is the OPR for that function or subject. <p>INSTRUCTION: Temporary. Destroy when superseded, obsolete, or no longer needed.</p> <p>DISPOSITION AUTHORITY: NI-558-10-5-5.</p>
140.03b	Email Back Up Records
140.03b1	<p>DESCRIPTION: Records maintained by the OPR.</p> <p>INSTRUCTION: Temporary. Cutoff annually. Destroy or delete 3 years from annual cutoff.</p> <p>DISPOSITION AUTHORITY: N1-558-10-5-6.</p>
140.03b2	<p>DESCRIPTION: Other Offices' Records. Refers to or includes:</p> <ul style="list-style-type: none"> a. Reference or convenience copies maintained by one office of the records of another office that is the OPR for managing recordkeeping copy IAW Agency's retention policy. This includes any records maintained on a DCMA website. b. Information provided by a lower office to a higher office's consolidated report. c. Records relating to a particular function or subject that are maintained by one office, when a different office is the OPR for that function or subject. <p>INSTRUCTION: Temporary. Destroy when superseded, obsolete, or no longer needed.</p> <p>DISPOSITION AUTHORITY: N1-558-10-5-7.</p>
140.04a	<p>TITLE: Systems Security and IT Asset Management Files.</p> <p>DESCRIPTION: Includes:</p> <ul style="list-style-type: none"> a. Security of Systems and Data. <ul style="list-style-type: none"> (1) Systems Security Plans and Disaster Recovery Plans. (2) Documents identifying IT Risks and analyzing their impact, risk measurement and assessment, actions to mitigate risks, implementation of risk action plan, service test plans, test files and data. b. IT Asset and Configuration Management Files. Records created and

Table 8-1. SERIES 140.00 – Electronic Systems Development, Implementation, and Sustainment.

RECORD SERIES	TITLE/DESCRIPTION/RETENTION INSTRUCTION/DISPOSITION AUTHORITY
	<p>retained for asset management, performance and capacity management, system management, configuration and change management and planning, follow-up, and impact assessment of operational networks and systems. Included are data, detailed reports, and other substantive documentation on such matters as application sizing and resource management; identification, analysis, and authorization of changes; and software distribution and version management.</p> <ul style="list-style-type: none"> Refer to 140.04b for User Identification, Profiles, Authorizations and Password Files.
140.04a1	<p>Records maintained by the OPR.</p> <p>DESCRIPTION: This includes any records maintained on a DCMA website.</p> <p>INSTRUCTION: Temporary. Cutoff annually. Destroy or delete 3 years from when system superseded or terminated.</p> <p>DISPOSITION AUTHORITY: N1-558-10-5-8.</p>
140.04a2	<p>DESCRIPTION: Other Offices' Records. Refers to or includes:</p> <ol style="list-style-type: none"> Reference or convenience copies maintained by one office of the records of another office that is the OPR for managing recordkeeping copy IAW Agency's retention policy. This includes any records maintained on a DCMA website. Information provided by a lower office to a higher office's consolidated report. Records relating to a particular function or subject that are maintained by one office, when a different office is the OPR for that function or subject. <p>INSTRUCTION: Temporary. Destroy when superseded, obsolete, or no longer needed.</p> <p>DISPOSITION AUTHORITY: N1-558-10-5-9.</p>
140.04b	<p>TITLE: User Access Records.</p> <p>DESCRIPTION: User Identification, Profiles, Authorizations and Password Files (excluding records relating to electronic signatures). Records maintained by the OPR.</p> <ul style="list-style-type: none"> Refer to 110.01a for matters relating to physical security and access to

Table 8-1. SERIES 140.00 – Electronic Systems Development, Implementation, and Sustainment.

RECORD SERIES	TITLE/DESCRIPTION/RETENTION INSTRUCTION/DISPOSITION AUTHORITY
	<p>buildings.</p> <ul style="list-style-type: none"> Refer to 140.07 for matters relating to Public Key Infrastructure (PKI).
140.04b1	<p>TITLE: System Access Records – Sensitive Systems.</p> <p>DESCRIPTION: Systems requiring special accountability for access. User identification records associated with systems which are highly sensitive and potentially vulnerable. Records maintained by the OPR. This includes any records maintained on a DCMA website.</p> <p>INSTRUCTION: Temporary. Destroy 6 years after password is altered or user account is terminated, but longer retention is authorized, if required.</p> <p>DISPOSITION AUTHORITY: GRS 3.2, item 031 (DAA-GRS-2013-0006-0004).</p>
140.04b2	<p>TITLE: System Access Records – Non-Sensitive Systems.</p> <p>DESCRIPTION: Systems not requiring special accountability for access. User identification records generated according to preset requirements, typically system generated. A system may, for example, prompt users for new passwords every 90 days for all users.</p> <p>INSTRUCTION: Temporary. Destroy when business use ceases.</p> <p>DISPOSITION AUTHORITY: GRS 3.2, item 030 (DAA-GRS-2013-0006-0003).</p>
140.05	<p>TITLE: Data Administration Records.</p> <p>DESCRIPTION: Documentation (permanent systems) relating to electronic records scheduled as permanent in the GRS or in a NARA approved Agency schedule. Includes data system specifications, file specifications, codebooks, records layouts, user guides, output specifications, and final reports (regardless of medium).</p> <ul style="list-style-type: none"> Refer to 140.02a for Database Documentation for Temporary Systems.
140.05a	<p>DESCRIPTION: Records maintained by the OPR. This includes any records maintained on a DCMA website.</p> <p>INSTRUCTION: Permanent. Transfer to the NARA with the permanent electronic records to which the documentation relates.</p> <p>DISPOSITION AUTHORITY: GRS 3.1, item 050 (DAA-GRS-2013-0005-0002).</p>

Table 8-1. SERIES 140.00 – Electronic Systems Development, Implementation, and Sustainment.

RECORD SERIES	TITLE/DESCRIPTION/RETENTION INSTRUCTION/DISPOSITION AUTHORITY
140.06	<p>TITLE: Derived and Copied Data.</p> <p>DESCRIPTION: Includes data in these types of databases or their successors:</p> <ul style="list-style-type: none"> a. CLONE Database. A view only database which looks like the Mechanization of Contract Administration Services (MOCAS) database to facilitate research of the contract data. b. Integrated Database. Queries other internal and external databases such as DCMA’ Shared Data Warehouse (SDW) and Standard Procurement System for data of interest to DCMA users; provides a single source of data for e-tool applications and for users executing queries and reports. c. SDW. Populated from MOCAS, the reformatted information in SDW serves as source input to the Integrated Database where data is available to the DoD and its vendors to improve the procurement of supplies, services, and contract payments. <ul style="list-style-type: none"> • Refer to 140.02a for Database Documentation for Temporary Systems. • Refer to 140.08 for Source Input Records - Hardcopy (non-electronic) Administrative or mission data maintained only for convenience of reference (such as for running queries and reports), for which the recordkeeping copy is maintained elsewhere and scheduled under other authorities. This data is derived and copied primarily from separately scheduled databases. This data includes any records maintained on a DCMA website. <p>INSTRUCTION: Temporary. Delete when Agency determines that data is no longer needed.</p> <p>DISPOSITION AUTHORITY: N1-558-10-5-10.</p>
140.07	PKI Records
140.07a	<p>TITLE: PKI Administrative Records.</p> <p>DESCRIPTION: Refers to PKI-unique administrative records and related activities that establish or support authentication by tying the user to a valid electronic credential and other administrative non-PKI records that are retained to attest to the reliability of the PKI transaction process. Refer to GRS 24 Item 13 for more information about PKI.</p> <ul style="list-style-type: none"> a. Includes records such as: <ul style="list-style-type: none"> (1) Policies and procedures planning records. (2) Stand-up configuration and validation records. (3) Operation records.

Table 8-1. SERIES 140.00 – Electronic Systems Development, Implementation, and Sustainment.

RECORD SERIES	TITLE/DESCRIPTION/RETENTION INSTRUCTION/DISPOSITION AUTHORITY
	<p>(4) Audit and monitor records.</p> <p>(5) Termination, consolidation, or reorganizing records.</p> <p>(6) Policies and procedures planning records relate to defining and establishing PKI systems.</p> <p>(7) Stand-up configuration and validation records related to installing and validating both the Certification Authority (CA) and Registration Authority (RA).</p> <p>(8) Audit and monitor records related to conducting periodic internal and external reviews of auditable events IAW the Federal Bridge Certification Authority, X.509 Certificate Policy and other Entity CA policies.</p> <p>b. Related activities include but are not limited to:</p> <p>(1) Determining that a PKI must be established.</p> <p>(2) Creating project implementation plans.</p> <p>(3) Creating the certificate policy (CP), certification practice statement and other key documents.</p> <p>(4) Developing procedures IAW the CP and certification practice statement.</p> <p>(5) Conducting risk analyses.</p> <p>(6) Creating and generating a CA signature key.</p> <p>(7) Testing security procedures for the CA and RA.</p> <p>• Refer to 140.07b for PKI Transaction – Specific Records.</p>
140.07a1	<p>DESCRIPTION: The OPR and Agency system of record for retaining official records (record serves as the legal copy). This includes any records maintained on a DCMA website.</p> <p>INSTRUCTION: Temporary. Destroy/delete when 7 years 6 months to 20 years 6 months old, based on the maximum level of operation of the CA, or when no longer needed, whichever is later.</p> <p>DISPOSITION AUTHORITY: GRS 3.2, item 061 (N1-GRS-07-3, item 13-a-2).</p>
140.07a2	<p>DESCRIPTION: Copies of records kept in other DCMA offices. This includes any records maintained on a DCMA website.</p> <p>INSTRUCTION: Temporary. Destroy when superseded, obsolete, or no longer needed.</p> <p>DISPOSITION AUTHORITY: N1-558-10-5-11.</p>
140.07b	TITLE: PKI Transaction – Specific Records.

Table 8-1. SERIES 140.00 – Electronic Systems Development, Implementation, and Sustainment.

RECORD SERIES	TITLE/DESCRIPTION/RETENTION INSTRUCTION/DISPOSITION AUTHORITY
	<p>DESCRIPTION: Records related to transaction-specific records that are generated for each transaction using PKI digital signature technology. Refer to GRS 3.2, item 062 for more information about PKI Transaction-specific records. Includes records such as:</p> <ul style="list-style-type: none"> a. Digital Signature. b. Public key certificate. c. Certificate validation responses. d. Time stamp. e. Acknowledgment of receipt.
140.07b1	<p>DESCRIPTION: The OPR and Agency system of record for retaining official records (record serves as the legal copy). This includes any records maintained on a DCMA website.</p> <p>INSTRUCTION: Temporary. Destroy/delete when 7 years 6 months to 20 years 6 months old, based on the maximum level of operation of the appropriate CA and after the information record the PKI is designed to protect and/or access is destroyed, or in the case of permanent records, when the record is transferred to the NARA's legal custody. Longer retention is authorized if the Agency determines that transaction-specific PKI records are needed for longer period.</p> <p>DISPOSITION AUTHORITY: GRS 3.2, item 062 (N1-GRS-07-3, item 13-b).</p> <p>DISPOSITION NOTICE: Extreme care must be taken when applying the retention to PKI transaction records. Destruction of transaction-specific and administrative records embedded in the transaction prior to the authorized retention of the information record they access/protect will render the PKI incapable of performing what it is designed to do i.e., protect and provide access to the information records.</p>
140.08	Input/Source Records – Hard Copy (non-electronic).
140.08a	<p>TITLE: Input/Source Records – Hardcopy Temporary Records.</p> <p>DESCRIPTION: Refers to source input hardcopy (non-electronic) documents that have been specifically the Temporary by the NARA. Source input records are used to create, update, or modify electronic records when the electronic records are retained to meet recordkeeping requirements and are covered by a NARA-approved schedule. Included are such records as hard copy forms used for data input as well as hard copy documents that are scanned into an electronic recordkeeping system (e.g., correspondence, reports, still pictures, maps).</p>

Table 8-1. SERIES 140.00 – Electronic Systems Development, Implementation, and Sustainment.

RECORD SERIES	TITLE/DESCRIPTION/RETENTION INSTRUCTION/DISPOSITION AUTHORITY
	<ul style="list-style-type: none"> Excludes source input hard copy documents that contain information that is not or cannot be captured in electronic version of the records (e.g., certain handwritten annotations). In these situations apply the previously approved retention period for the hard copy records. <p>INSTRUCTION: Temporary. Destroy upon verification of successful creation of the final document or file, or when no longer needed, whichever is later.</p> <p>DISPOSITION AUTHORITY: GRS 5.2, item 020 (DAA-GRS-2017-0003-0002).</p>
140.09	<p>TITLE: Electronic Systems Development, Implementation and Sustainment – Routine Background Material.</p> <p>DESCRIPTION: Refers to routine background materials relating to Electronic Systems Development, Implementation and Sustainment accumulated in the course of formulating or analyzing policy or similar activities that result in a clearly defined deliverable or issuances such as reports, publications, guidance documents, instructions, studies or white-papers. Routine background material may consist of reference papers, extra copies of reports or other documents, and correspondence of a transitory or informational nature only. This includes any records maintained on a DCMA website.</p> <p>INSTRUCTION: Temporary. Destroy when superseded, obsolete, or no longer needed.</p> <p>DISPOSITION AUTHORITY: N1-558-10-5-13.</p> <p>DISPOSITION NOTICE: Place substantive background papers in the file pertinent to the subject matter or the function covered.</p>

SECTION 9: ROUTINE AUDIOVISUAL, CARTOGRAPHIC, AERIAL PHOTOGRAPHIC, ARCHITECTURAL, AND ENGINEERING RECORDS

9.1. OVERVIEW.

This series covers records related to routine audiovisual, cartographic, aerial photographic, architectural, and engineering records.

Table 9-1. SERIES 150.00 – Routine Audiovisual, Cartographic, Aerial Photographic, Architectural, and Engineering Records

RECORD SERIES	TITLE/DESCRIPTION/RETENTION INSTRUCTION/DISPOSITION AUTHORITY
150.01a	<p>TITLE: General Planning, Management and Budgeting of Audiovisual, Cartographic, Aerial Photographic, Architectural, and Engineering Records</p> <p>DESCRIPTION: Records related to general planning, management and budgeting of activities related to the production and maintenance of audiovisual, cartographic, aerial photographic, architectural and engineering records.</p>
150.01a1	<p>DESCRIPTION: Records held by office performing Agency-wide responsibility (record serves as the legal copy). This includes any records maintained on a DCMA website.</p> <p>INSTRUCTION: Temporary. Destroy 6 years after the applicable cutoff category. Cutoff Category B, E.</p> <p>DISPOSITION AUTHORITY: N1-558-10-6-1.</p>
150.01a2	<p>DESCRIPTION: Other Offices' Records. Refers to or includes:</p> <ul style="list-style-type: none"> a. Reference or convenience copies maintained by one office of the records of another office that is the OPR for managing recordkeeping copy IAW Agency's retention policy. This includes any records maintained on a DCMA website. b. Information provided by a lower office to a higher office's consolidated report. c. Records relating to a particular function or subject that are maintained by one office, when a different office is the OPR for that function or subject. <p>INSTRUCTION: Temporary. Destroy when superseded, obsolete, or no longer needed.</p> <p>DISPOSITION AUTHORITY: N1-558-10-6-2.</p>
150.02a	<p>TITLE: Routine Audiovisual Records Rejected for Accessioning by DIMOC.</p> <p>DESCRIPTION: Audiovisual records rejected for accessioning by the DIMOC or its successor Agency under schedule N1-330-08-4 or its successor schedule. Included are such records as:</p>

Table 9-1. SERIES 150.00 – Routine Audiovisual, Cartographic, Aerial Photographic, Architectural, and Engineering Records

RECORD SERIES	TITLE/DESCRIPTION/RETENTION INSTRUCTION/DISPOSITION AUTHORITY
	<p>a. Routine scientific, medical, or engineering footage or recording.</p> <p>b. Records that document routine activities such as meetings, award presentations, training programs, management instructions.</p> <p>c. Production files or similar files that document origin, development, acquisition, use and ownership of temporary audiovisual records.</p> <p>d. Interim copies of audiovisual records used in an intermediate stage for a final product, such as recordings of meetings made exclusively for transcription, stock footage used for motion pictures, or routine artwork for audio and visual production.</p> <ul style="list-style-type: none"> • For disposition of historically valuable audiovisual records, refer to permanent items in DIMOC Visual Information schedule N1-330-08-4 or its successor schedule. • Refer to 150.03 for disposition of personnel identification and passport photographs.
150.02a1	<p>DESCRIPTION: Records held by office performing Agency-wide responsibility (record serves as the legal copy). This includes any records maintained on a DCMA website.</p> <p>INSTRUCTION: Temporary. Destroy 2 years after the applicable cutoff category. Cutoff Category A, E.</p> <p>DISPOSITION AUTHORITY: N1-558-10-6-3.</p>
150.02a2	<p>DESCRIPTION: Copies of records kept in other DCMA offices. This includes any copies maintained on a DCMA website.</p> <p>INSTRUCTION: Temporary. Destroy when superseded, obsolete or no longer needed.</p> <p>DISPOSITION AUTHORITY: N1-558-10-6-4.</p>
150.02b	<p>TITLE: Routine Cartographic, Aerial Photographic, Architectural, and Engineering Records.</p> <p>DESCRIPTION: Includes records such as:</p> <ol style="list-style-type: none"> a. Architectural Drawings of Temporary Structures and Buildings or of Buildings not critical to the mission of the Agency. b. Space Assignment Plans. c. Drawings reflecting minor modifications.
150.02b1	<p>DESCRIPTION: Records held by office performing Agency-wide responsibility (record serves as the legal copy). This includes any records maintained on a DCMA website.</p>

Table 9-1. SERIES 150.00 – Routine Audiovisual, Cartographic, Aerial Photographic, Architectural, and Engineering Records

RECORD SERIES	TITLE/DESCRIPTION/RETENTION INSTRUCTION/DISPOSITION AUTHORITY
	<p>INSTRUCTION: Temporary. Destroy 2 years after the applicable cutoff category. Cutoff Category A, E.</p> <p>DISPOSITION AUTHORITY: N1-558-10-6-5.</p>
150.02b2	<p>DESCRIPTION: Copies of records kept in other DCMA offices. This includes any copies maintained on a DCMA website.</p> <p>INSTRUCTION: Temporary. Destroy when superseded, obsolete or no longer needed.</p> <p>DISPOSITION AUTHORITY: N1-558-10-6-6.</p>
150.03	<p>TITLE: Personnel Identification and Passport Photographs Rejected for Accessioning by DIMOC.</p> <p>DESCRIPTION: Personnel identification and passport photographs rejected for accessioning by the DIMOC or its successor Agency under schedule N1-330-08-4. Covered are records held by office performing Agency-wide responsibility (record serves as the legal copy). This includes any records maintained on a DCMA website.</p> <p>INSTRUCTION: Temporary. Destroy upon immediate collection once the temporary credential or card is returned for potential reissuance due to nearing expiration or not to exceed 6 months from time of issuance or when individual no longer requires access, whichever is sooner, but longer retention is authorized, if required.</p> <p>DISPOSITION AUTHORITY: GRS 5.6, Item 130 (DAA-GRS-2017-0006-0018).</p>
150.04	<p>TITLE: Routine Audiovisual, Cartographic, Aerial Photographic, Architectural, and Engineering Records – Routine Background Material.</p> <p>DESCRIPTION: Refers to routine background materials relating to Routine Audiovisual, Cartographic, Aerial Photographic, Architectural, and Engineering Records accumulated in the course of formulating or analyzing policy or similar activities that result in a clearly defined deliverable or issuance. Routine background material may consist of reference papers, extra copies of reports or other documents, and correspondence of a transitory or informational nature only. This includes any records maintained on a DCMA website.</p> <p>INSTRUCTION: Temporary. Destroy when superseded, obsolete, or no longer needed.</p>

Table 9-1. SERIES 150.00 – Routine Audiovisual, Cartographic, Aerial Photographic, Architectural, and Engineering Records

RECORD SERIES	TITLE/DESCRIPTION/RETENTION INSTRUCTION/DISPOSITION AUTHORITY
	DISPOSITION AUTHORITY: NI-558-10-6-7. DISPOSITION NOTICE: Place substantive background papers in the file pertinent to the subject matter or the function covered.

SECTION 10: PROPERTY, HOUSING, FACILITY AND VEHICLE MANAGEMENT, TRAVEL AND TRANSPORTATION RECORDS

10.1. OVERVIEW.

This series relates to activities involving the maintenance and disposal of property, building, housing facilities, motor vehicles and aircraft maintenance; documenting the movement of goods and persons.

- a. Refer to 110.03a for criminal investigation reports.
- b. Refer to 170.02 for agreement or contracts involving financial acquisition of goods or services.
- c. Refer to 400.03a for non-financial agreements to include MOUs, inter-service agreements, interagency agreements, Occupancy Agreement or like arrangements.
- d. Refer to 160.03 for Bills of Lading records issued in performance of non- mission related activities; Refer to 800.02a for Bills of Lading records issued in performance of CAS; refer to 800.04 for Foreign Military Sales (FMS) Bills of Lading Case Files.

Table 10-1. SERIES 160.00 – Property, Housing, Facility and Vehicle Management, Travel and Transportation Records.

RECORD SERIES	TITLE/DESCRIPTION/RETENTION INSTRUCTION/DISPOSITION AUTHORITY
160.01	<p>TITLE: Property, Housing, Facility and Motor Vehicle Maintenance Operations; Travel and Transportation – General.</p> <p>DESCRIPTION: Includes but not limited to:</p> <ul style="list-style-type: none"> a. Planning and Management. Records related to general planning, management and budgeting of property, housing, facility and vehicles to include but not limited to program plans, studies and analysis; reports, including those produced from tracking/control mechanisms, and guidance letters. b. Facility/Space. <ul style="list-style-type: none"> (1) Work orders, requisitions and related papers in repair and maintenance work. (2) Correspondence files of the unit responsible for space and maintenance matter to include Agency reports to the U.S. General Services Administration. (3) Agency space files to include building plan files, surveys, and other records utilized in Agency space planning, assignment and adjustment. (4) Directory service files. (5) Identification credential files to include identification credentials such

Table 10-1. SERIES 160.00 – Property, Housing, Facility and Vehicle Management, Travel and Transportation Records.

RECORD SERIES	TITLE/DESCRIPTION/RETENTION INSTRUCTION/DISPOSITION AUTHORITY
	<p>as cards, badges, parking permits, photographs.</p> <p>(6) Copies of maintenance and support agreements.</p> <p>c. Motor Vehicles.</p> <p>(1) Motor vehicle operating records to include gas and oil consumption, dispatching and scheduling, individual employee operating driving test, authorization for use.</p> <p>(2) Maintenance records, including service and repair records.</p> <p>(3) Vehicle cost files to include vehicle logs and worksheets providing cost and expense.</p> <p>d. Aircraft Maintenance.</p> <p>(1) Logistical Support for Flight Operations.</p> <p>(2) General Aircraft Maintenance and Modifications Records.</p> <p>e. Property Disposal (Refer to 160.04 for Real Property Files related to transfer to non-federal ownership).</p> <p>(1) Excess personal and Agency property reports.</p> <p>(2) Tracking and accountability reports.</p> <p>(3) Surplus Property Case Files to include comprising invitations, bids, acceptance, evidence of sales and related correspondence.</p> <p>f. Housing.</p> <p>(1) Housing General Correspondence Files.</p> <p>(2) House Maintenance and Repair Files.</p> <p>(3) Reports pertaining to housing management, including survey, collection and other statistical and narrative data.</p> <p>(4) Housing Assignment and Vacancy Card Files.</p> <p>g. Movement of Persons (Refer to 160.02 for records payment of passenger and freight charges).</p> <p>(1) Passenger travel orders.</p> <p>(2) Passenger transportation vouchers.</p> <p>(3) Passenger transportation request.</p> <p>(4) Passenger travel authorizations.</p> <p>(5) Records relating Official Passports to include application files, annual reports concerning official passports, passport registers.</p>
160.01a	<p>DESCRIPTION: Records maintained by the OPR. This includes any records maintained on a DCMA website.</p> <p>INSTRUCTION: Temporary. Destroy 6 years after applicable cutoff category. Cutoff Category B, E.</p> <p>DISPOSITION AUTHORITY: N1-558-10-7-1.</p>
160.01b	DESCRIPTION: Other Offices' Records. Refers to or includes:

Table 10-1. SERIES 160.00 – Property, Housing, Facility and Vehicle Management, Travel and Transportation Records.

RECORD SERIES	TITLE/DESCRIPTION/RETENTION INSTRUCTION/DISPOSITION AUTHORITY
	<p>a. Reference or convenience copies maintained by one office of the records of another office that is the OPR for managing recordkeeping copy IAW Agency's retention policy. This includes any records maintained on a DCMA website.</p> <p>b. Information provided by a lower office to a higher office's consolidated report.</p> <p>c. Records relating to a particular function or subject that are maintained by one office, when a different office is the OPR for that function or subject.</p> <p>INSTRUCTION: Temporary. Destroy when superseded, obsolete, or no longer.</p> <p>DISPOSITION AUTHORITY: N1-558-10-7-2.</p>
160.02	Payment of Commercial Freight and Passenger Transportation
160.02a	<p>TITLE: Settled Accounts.</p> <p>DESCRIPTION: Includes original vouchers and support documents covering commercial freight and passenger transportation charges of settled accounts, including registers and other control documents, but excluding those covered by 160.02b. Records maintained by the OPR. This includes any records maintained on a DCMA website.</p> <p>INSTRUCTION: Temporary. Destroy 6 years after final payment or cancellation, but longer retention is authorized, if required.</p> <p>DISPOSITION AUTHORITY: GRS 1.1, item 010 (DAA-GRS-2013-0003-0001).</p>

SECTION 11: FINANCE RECORDS

11.1. OVERVIEW.

The series relates to overall financial management plans, accounting, disbursements, acquisitions, non-mission related contract administration, collection of appropriated and non-appropriated funds, records from auditing and cost accounting activities.

a. Refer to record series 400.03a for acquisition of goods and services through non-financial agreements or like transactions.

b. Some records related to finance have extended retentions; refer to record series 400.04a – Budget and Finance Inter-Service Cross and Common Service Agreement.

c. Refer to record series 800.00 for financial records relating to Contract Administration Services performed by DCMA for other agencies.

Table 11-1. SERIES 170.00 – Finance Records.

RECORD SERIES	TITLE/DESCRIPTION/RETENTION INSTRUCTION/DISPOSITION AUTHORITY
170.01	<p>TITLE: Routine Corporate Finance Records.</p> <p>DESCRIPTION:</p> <p>a. Records related to activities such as:</p> <ol style="list-style-type: none"> (1) Expenditure Accounting. Refers to showing how funds, appropriated and non-appropriated are spent after allotment by the OMB, and the sources and nature of any receipts. (2) Cost Accounting. Refers to showing accumulated data on the costs of Agency operation, the direct and indirect costs of production, administration, and performance of Agency’s program function. (3) Accountable Officers. Account refers to showing or accounting for the availability and status of public funds which includes the accounting officer, the disbursing officer and the certifying officer. (4) Contract Acquisition Management. Refers to DCMA’s own acquisition/leasing of goods and services and property. Includes but is not limited to procurement through contracts and credit card (Refer to 170.02 for Acquisition Case files). <p>b. Includes:</p> <ol style="list-style-type: none"> (1) Records related to general planning and management of finance Includes but not limited to program plans, studies and analysis; reports, including those produced from tracking/control mechanisms, and guidance letters. (2) Documents relating to the accounting for appropriations allotments and the commitment, obligation and expenditure of allotted funds. (3) Files relating to transactions making specific funds allocated to a fiscal operating Agency available for obligations to field installations.

Table 11-1. SERIES 170.00 – Finance Records.

RECORD SERIES	TITLE/DESCRIPTION/RETENTION INSTRUCTION/DISPOSITION AUTHORITY
	<p>(4) Journals. Books of original entry maintained to record all financial transactions and to summarize accounting for posting to the general ledger and special journals such as obligation journals.</p> <p>(5) General Ledgers (and supporting Subsidiary Ledgers) which contain the accounts necessary to reflect financial operations such as asset accounts, liability accounts maintained for the purpose of establishing in summary form the status of the accounts.</p> <p>(6) Trial Balances.</p> <p>(7) Financial Reports to include status of allotments, advance reports of cumulative obligations, net expenditures, schedule of foreign payments and foreign receipts, status of advance payments to contractors, report of appropriate reimbursements.</p> <p>(8) Integrated Command Accounting and Reporting documents received or required by directives or similar guidance.</p> <p>(9) Fund Utilization Reports and Listings furnished by or to the HQ DCMA Office of Comptroller for use in HQ DCMA financial accounting reports and statements.</p> <p>(10) Account Classification Audit lists received each year from the Finance and Account Offices.</p> <p>(11) Documents accumulated by the accountable disbursing officer or agents in administration of funds, disbursement, reimbursement, collections and adjustments. Includes but is not limited to; money accounts, vouchers, ledgers and registers covering all phases of the disbursement and accounting for obligations paid and the collection and crediting of funds due.</p> <p>(12) Document related to the resolution of issues and dissemination of information involving financial transactions in DCMA accounting and finances system and including the Defense Finance and Accounting System. Includes but is not limited to individual authorized allotment files, IRS Form W-4s, copies of contracts, commitment documents, travel claims, military purchase requests, and payroll transaction registers.</p> <p>(13) Contract, requisition, purchase order, and lease records, including correspondence and related papers pertaining to award, administration, receipt, inspection and payment (other than Real Property files or Acquisition Case files - Refer to 170.02c for Real Property Acquisitions. Refer to 170.02 for Acquisition Case files).</p> <p>DISPOSITION NOTICE: Prior to executing disposition, these records are subject to the Records Disposition Notice pursuant to DCMA-MAN 4501-04, Volume 1, Paragraph 6.6., and require Agency Review Panel (GC, FOIA, and ARO) disposition concurrence.</p>

Table 11-1. SERIES 170.00 – Finance Records.

RECORD SERIES	TITLE/DESCRIPTION/RETENTION INSTRUCTION/DISPOSITION AUTHORITY
170.01a	<p>DESCRIPTION: The OPR for retaining official record (record serves as the legal copy). This includes any records maintained on a DCMA website.</p> <ul style="list-style-type: none"> • For records that were due for destruction prior to January 1, 2012, according to previous authorities, follow the disposition in the previous authority. For all other records follow the disposition for this item (170.01a). <p>INSTRUCTION: Temporary. Destroy/delete no less than 6 years and 3 months, and no more than 15 years after applicable cutoff. Cutoff Category B, D, E.</p> <p>DISPOSITION AUTHORITY: DAA-558-2013-0005-0001.</p>
170.01b	<p>DESCRIPTION: Other offices' records. Refers to or includes:</p> <ol style="list-style-type: none"> a. Reference or convenience copies maintained by one office of the records of another office that is the OPR for managing recordkeeping copy IAW Agency's retention policy. This includes any records maintained on a DCMA website. b. Information provided by a lower office to a higher office's consolidated report. c. Records relating to a particular function or subject that are maintained by one office, when a different office is the OPR for that function or subject. <p>INSTRUCTION: Temporary. Destroy when superseded, obsolete, or no longer needed.</p> <p>DISPOSITION AUTHORITY: N1-558-10-8-2.</p>
170.02	<p>TITLE: Acquisitions/Procurement Case Files.</p> <p>DESCRIPTION: Relates to acquisition/procurement/lease case files of goods and services and property (excluding real property) by DCMA through transfer of funds to sustain DCMA operations to include solicited and unsolicited bids and proposal files. Includes but is not limited to acquisitions by contract or credit card. Refer to 170.04a for cancelled pre- award solicitations.</p> <ul style="list-style-type: none"> • Refer to 170.03 for real property acquisitions. • Refer to 400.03a for acquisition of goods and services through non-financial agreements or like transaction. • Refer to 800.02b for electronic records maintained in MOCAS; electronic database for open mission and non-mission related contract data.
170.02a	<p>DESCRIPTION: The OPR for retaining official record (record serves as the legal copy). This includes any records maintained on a DCMA website.</p>

Table 11-1. SERIES 170.00 – Finance Records.

RECORD SERIES	TITLE/DESCRIPTION/RETENTION INSTRUCTION/DISPOSITION AUTHORITY
	<ul style="list-style-type: none"> • For records that were due for destruction prior to January 1, 2012, follow the disposition in the previous authority. For all other records, follow the disposition for this item (170.02a). <p>INSTRUCTION: Temporary. Destroy/delete no less than 6 years and 3 months, and no more than 30 years after completion of the contract, or final payment or termination of the program effort, or settlement of disputes/incidents, whichever is later.</p> <p>DISPOSITION AUTHORITY: DAA-558-2013-0005-0002.</p>
170.02b	<p>DESCRIPTION: Copies of official records kept in other DCMA offices. This includes any records maintained on a DCMA website.</p> <p>INSTRUCTION: Temporary. Destroy when superseded, obsolete, or no longer needed.</p> <p>DISPOSITION AUTHORITY: N1-558-10-8-4.</p>
170.03	<p>TITLE: Real Property Acquisitions.</p> <p>DESCRIPTION: Title papers documenting the acquisition of real property (by purchase, condemnation, donation, or exchange), excluding records relating to property acquired prior to January 1, 1921. Records maintained by the OPR. This includes any records maintained on a DCMA website.</p> <ul style="list-style-type: none"> • Refer to 160.01 for disposal of property, building and housing facilities. • Records relating to property acquired prior to January 1, 1921, are not covered by this item and must be scheduled with a separate SF 115. <p>INSTRUCTION: Temporary. Transfer to new owner after unconditional sale or USG release of conditions, restrictions, mortgages, or other liens.</p> <p>DISPOSITION AUTHORITY: GRS 5.4, item 020 (DAA-GRS-2016-0011-0002).</p> <p>DISPOSITION NOTICE: Transfer the Abstract or Certificate of Title to purchaser after unconditional sale or release by the USG of conditions, restrictions, mortgages, or other liens.</p>
170.04a	Cancelled Pre-Award Solicitations
170.04a1	<p>DESCRIPTION: Refers to formal solicitations of offers to provide products or services (e.g., Invitations for Bids, Requests for Proposals, Requests for Quotations) which were cancelled prior to award of contract. The file includes pre-solicitation documentation on the requirements, any offers that were opened prior to the cancellation, documentation on any USG action up to the time of</p>

Table 11-1. SERIES 170.00 – Finance Records.

RECORD SERIES	TITLE/DESCRIPTION/RETENTION INSTRUCTION/DISPOSITION AUTHORITY
	<p>cancellation, and evidence of the cancellation. The OPR for retaining official record (record serves as the legal copy). This includes any records maintained on a DCMA website.</p> <p>INSTRUCTION: Temporary. Destroy/delete 6 years and 3 months after cancellation.</p> <p>DISPOSITION AUTHORITY: N1-558-10-8-5.</p>
170.04a2	<p>DESCRIPTION: Copies of official records kept in other DCMA offices. This includes any records maintained on a DCMA website</p> <p>INSTRUCTION: Temporary. Destroy when superseded, obsolete, or no longer needed.</p> <p>DISPOSITION AUTHORITY: N1-558-10-8-6.</p>
170.04b	Unopened Bids
170.04b1	<p>DESCRIPTION: The OPR for retaining official record (record serves as the legal copy). This includes any records maintained on a DCMA website.</p> <p>INSTRUCTION: Temporary. Destroy 6 years after final payment or cancellation, but longer retention is authorized, if required.</p> <p>DISPOSITION AUTHORITY: GRS 1.1, item 010 (DAA-GRS-2013-0003-0001).</p>
170.04b2	<p>DESCRIPTION: Copies of official records kept in other DCMA offices. This includes any records maintained on a DCMA website.</p> <p>INSTRUCTION: Temporary. Destroy when superseded, obsolete, or no longer needed.</p> <p>DISPOSITION AUTHORITY: N1-558-10-8-7.</p>
170.04c	Lists or Card files of Acceptable Bidders
170.04c1	<p>DESCRIPTION: The OPR for retaining official record (record serves as the legal copy). This includes any records maintained on a DCMA website.</p> <p>INSTRUCTION: Temporary. Destroy 3 years after removal from approved status, but longer retention is authorized if required for business use.</p> <p>DISPOSITION AUTHORITY: GRS 1.1, item 071 (DAA-GRS-2016-0001-0005).</p>
170.04c2	DESCRIPTION: Copies of official records kept in other DCMA offices. This includes any records maintained on a DCMA website.

Table 11-1. SERIES 170.00 – Finance Records.

RECORD SERIES	TITLE/DESCRIPTION/RETENTION INSTRUCTION/DISPOSITION AUTHORITY
	INSTRUCTION: Temporary. Destroy when superseded, obsolete, or no longer needed. DISPOSITION AUTHORITY: N1-558-10-8-8.

SECTION 12: BUDGETING RECORDS

12.1. OVERVIEW.

This series of records relates to budgeting and involves determining priorities for spending, forecasting future needs and related expenditures, and distributing budget authority to achieve results consistent with the formulated budget. This process includes records that document: formulating a budget to submit to OMB and Congress; defending requests for funds before both bodies; and, after Congress enacts an appropriations bill.

Table 12-1. SERIES 180.00 – Budgeting Records.

RECORD SERIES	TITLE/DESCRIPTION/RETENTION INSTRUCTION/DISPOSITION AUTHORITY
180.01a	<p>TITLE: Budget Formulation Records</p> <p>DESCRIPTION: Budget formulation, estimates, justification, and submission records, fiscal year 2017 and forward. Includes final settlement or approved appropriation, OMB and Congress pass-back responses and questions; Agency appeals, responses, and answers.</p> <p>INSTRUCTION: Temporary. Destroy 6 years after close of fiscal year, but longer retention is authorized, if required.</p> <p>DISPOSITION AUTHORITY: GRS 1.3, item 010 (DAA-GRS-2015-0006-0001).</p>
180.01b	<p>TITLE: Budget Execution Records</p> <p>DESCRIPTION: Records created and received in the course of implementing and tracking an appropriation. Includes allotment advice, revisions, and ceiling limitations; rescissions and deferrals; operating budgets; workforce authorization and distribution; and, impact statements.</p> <p>INSTRUCTION: Temporary. Destroy 6 years after close of fiscal year, but longer retention is authorized, if required.</p> <p>DISPOSITION AUTHORITY: GRS 1.3, item 020 (DAA-GRS-2015-0006-0002).</p> <p>DISPOSITION NOTICE: Prior to executing disposition, these records are subject to the Records Disposition Notice pursuant to DCMA-MAN 4501-04, Volume 1, Paragraph 6.6., and require Agency Review Panel (GC, FOIA, and ARO) disposition concurrence.</p>

SECTION 13: DCMA CORPORATE OPERATIONS AND CORE MISSION PROGRAM MANAGEMENT PLANNING AND OVERSIGHT, EXCLUDING CONTRACT ADMINISTRATION SERVICES AND OTHER ACTIVITIES

13.1. OVERVIEW.

This series of records relate to the management and executive direction of DCMA Organization and Core Mission programs for which DCMA has been assigned responsibility, excluding Contract Administration Services which are covered under Schedule 800.00.

a. Examples of Core Mission programs and activities covered by this schedule are:

(1) Small Business/Economic Utilization Projects, Federal Prison Industries Programs, Sheltered Workshop affiliated with National Industries for the Blind, International Programs, and Commercial Activity Program.

(2) Streamlining and standardizing the contracting process from pre-award through contract closeout.

(3) Evaluation and analyzing how well prime contractors ensure small businesses receive a fair proportion of and a maximum practicable opportunity to participate in prime contractors' subcontracts.

b. Refer to Schedule 800.00 for records related to planning, management and budgeting of Contract Administration Services.

Table 13-1. SERIES 400.00 – DCMA Corporate Operations and Core Mission Program Management Planning and Oversight, Excluding Contract Administration Services and Other Activities.

RECORD SERIES	TITLE/DESCRIPTION/RETENTION INSTRUCTION/ DISPOSITION AUTHORITY
400.01a	<p>TITLE: DCMA High Level Operations and Core Mission Programs; Management and Budget</p> <p>DESCRIPTION: Records related to planning, management and budget activities of DCMA high level operations (includes HQ DCMA, DCMA CMOs and other foreign or domestic field DCMA offices) to ensure corporate level and core mission programs, plans, or projects are planned, scheduled, budgeted and accomplished.</p> <p>a. Includes activities related to:</p> <ul style="list-style-type: none"> (1) Administration of resources, staff guidance, productivity improvement, performance analysis, training, contingency and strategic planning. (2) Agency Program Budget Development and Implementation. Refer to

Table 13-1. SERIES 400.00 – DCMA Corporate Operations and Core Mission Program Management Planning and Oversight, Excluding Contract Administration Services and Other Activities.

RECORD SERIES	TITLE/DESCRIPTION/RETENTION INSTRUCTION/ DISPOSITION AUTHORITY
	<p>400.07a for official budget policy retention guidance.</p> <ul style="list-style-type: none"> (3) Internal assessments. Refer to 400.06a for DCMA Internal Assessment Case File results. (4) HQ DCMA Commercial Activity Program Office documents pertaining to overall policy, procedures and administration of the Commercial Activity Program. <p>b. Records include but are not limited to:</p> <ul style="list-style-type: none"> (1) Program budget decisions, justifications, call letters, budget formats, DCMA projected guidance, inflation rates and related correspondence used in development, preparation, formulation, justification and execution of Defense Business Operations Fund. (2) Defense Business Operations Fund Inventory Transactions, journal vouchers, performance summaries, letters and other correspondence and other financial data used to conduct analysis. (3) Certification/Obligation Files. (4) Charts tracking planned/actual costs. (5) Data calls, periodic reviews and exercise of staff supervision over the implementation of special programs. (6) International Program Correspondence Files to include non-program specific correspondence, trip reports, and other materials use to direct the foreign liaison, integration and coordination with the USG International Community. (7) International Program/project files to include but not limited to documents related to the formulation, management, administration, training or execution of individual International Program/projects such as plans, studies and analyses, reports, letter guidance and direction, and related documents. (8) Management Control Plans to include risk analysis report and assessment records to include management reviews, manager’s internal control reviews, quality reviews, project tracking, working group charters, lessons learned, and similar records created or received documenting the implementation of policy and programs IAW Agency-wide plans or expectations. Refer to 400.06a for DCMA Internal Assessment Case File results. (9) Foreign and domestic Base Realignment and Closure Commission Files include briefings, agendas of executive groups, staff studies, and program evaluations. (10) Reports and management summaries such as Monthly and Annual Master Account Records, Situation Report. (11) Resource support material accumulated to conduct analysis or assess

Table 13-1. SERIES 400.00 – DCMA Corporate Operations and Core Mission Program Management Planning and Oversight, Excluding Contract Administration Services and Other Activities.

RECORD SERIES	TITLE/DESCRIPTION/RETENTION INSTRUCTION/ DISPOSITION AUTHORITY
	<p>staffing, space or operational needs; includes personnel staffing reports and other personnel information and reports from Human Resources or Automated Payroll, Cost and Personnel System such as military position requirements, reports pertaining to un-liquidated obligations.</p> <p>(12) Records of the CIO to include IT Program Planning Records, Enterprise Architecture Records, IT Capital Investment Records, Legal and Regulatory compliance records, CIO committee records, CIO Subject and Office Records.</p> <p>(13) Administrative Contracting Officer (ACO) Appointment Files.</p> <ul style="list-style-type: none"> • Some records of this type may also be contained in a contract case file or contract sub-file at the discretion of the ACO or similar authority because of their evidentiary value; refer to 800.02. • Refer to 400.02a for significant high level management records (permanent records).
400.01a1	<p>DESCRIPTION: Records maintained by the OPR. This includes any records maintained on a DCMA website.</p> <p>INSTRUCTION: Temporary. Destroy 6 years after applicable cutoff category. Cutoff Category B, E).</p> <p>DISPOSITION AUTHORITY: N1-558-10-9-1.</p>
400.01a2	<p>DESCRIPTION: Other Offices' Records. Refers to or includes:</p> <ol style="list-style-type: none"> a. Reference or convenience copies maintained by one office of the records of another office that is the OPR for managing recordkeeping copy IAW Agency's retention policy. This includes any records maintained on a DCMA website. b. Information provided by a lower office to a higher office's consolidated report. c. Records relating to a particular function or subject that are maintained by one office, when a different office is the OPR for that function or subject. <p>INSTRUCTION: Temporary. Destroy when superseded, obsolete, or no longer neededs.</p> <p>DISPOSITION AUTHORITY: N1-558-10-9-2.</p>
400.02a	<p>TITLE: High Level - Significant Program Planning, Oversight and Decision Making.</p>

Table 13-1. SERIES 400.00 – DCMA Corporate Operations and Core Mission Program Management Planning and Oversight, Excluding Contract Administration Services and Other Activities.

RECORD SERIES	TITLE/DESCRIPTION/RETENTION INSTRUCTION/ DISPOSITION AUTHORITY
	<p>DESCRIPTION: Relates to records issued or accumulated by the Directors or Commanders of DCMA Directorates and Commands, HQ Executives and Decision Boards to show evidence of significant decisions and activities regarding the DCMA mission and organization. Records include:</p> <ul style="list-style-type: none"> a. Planning. <ul style="list-style-type: none"> (1) DCMA Strategic Plan, maintained by the OPR. (2) HQ DCMA War and Emergency Support Planning Records; includes plans, policies, procedures and correspondence relating to preparedness measures taken for general war, limited war, contingencies, domestic emergencies and similar activities. For example, DCMA’s Basic Emergency Plan. b. Decisions. <ul style="list-style-type: none"> (1) HQ DCMA Activity Mission Change issuances. Includes standard organization documents, recommendations for change, and related guidance and correspondence used to furnish activity staff leadership and advice in coordinating the development of organizational plans for implementing changes in activity mission. (2) General Orders. Record copies of general orders published by orders issuing authority, including background material filed at HQ DCMA and Primary Level Field Activities. (3) Documents created or accumulated by offices of the Directors or Commanders of DCMA Directorates and Commands, regarding matters of critical interest such as organization change, Agency performance or mission changes. (4) Agency’s Director Reading Files. Director’s chronological file of outgoing correspondence signed personally by the DCMA Director or Deputy Director (includes acting Director or Deputy Director) and copies of significant letters dispatched from lower levels for personal information of the DCMA Director. <ul style="list-style-type: none"> • Refer to 400.02b for records related to Advisory Commissions, Committees, Councils, Boards and other groups established IAW Appendix of Title 5, U.S.C., the “Federal Advisory Committee Act” (FACA), cited hereinafter as FACA.
400.02a1	<p>DESCRIPTION: Records issued or accumulated by HQ DCMA Executive Level and the Directors or Commanders of DCMA Directorates and Commands and above. This includes any records issued or maintained on a DCMA website.</p> <p>INSTRUCTION: Permanent. Transfer non-electronic records to the National</p>

Table 13-1. SERIES 400.00 – DCMA Corporate Operations and Core Mission Program Management Planning and Oversight, Excluding Contract Administration Services and Other Activities.

RECORD SERIES	TITLE/DESCRIPTION/RETENTION INSTRUCTION/ DISPOSITION AUTHORITY
	<p>Archives 30 years after applicable cutoff. Transfer physical custody of electronic records to the NARA 3 years after cutoff with any related technical documentation and finding aids specified in 36 CFR 1235.44 - 1235.50 or standard applicable at the time. Transfer legal custody of electronic records 30 years after cutoff. Cutoff Category B, E.</p> <p>DISPOSITION AUTHORITY: N1-558-10-9-3.</p>
400.02a2	<p>DESCRIPTION: Records maintained by other offices. This includes any records maintained on a DCMA website.</p> <p>INSTRUCTION: Temporary. Destroy when superseded, obsolete or no longer needed.</p> <p>DISPOSITION AUTHORITY: N1-558-10-9-4.</p>
400.02b	Committee Records
400.02b1	<p>TITLE: Substantive Records of FACA Committees.</p> <p>DESCRIPTION: Records issued by committees (which also include commissions, councils, boards, and similar bodies) established IAW FACA. This includes any records issued or maintained on a DCMA website. Files documenting the committees' establishment, membership, policy, organization, deliberations, findings, and recommendations, including such records as charters, organization charts, agendas, briefing books, minutes, a record set of reports and other publications, correspondence and subject files of key staff, substantive records relating to research studies including related questionnaires and raw data, records IAW Section 552b of Title 5, U.S.C., "The Government in the Sunshine Act," and documentation of subcommittees and working groups.</p> <p>INSTRUCTION: Permanent. Transfer when records are 15 years old or upon termination of committee, whichever is sooner.</p> <p>DISPOSITION AUTHORITY: GRS 6.2, item 010 (DAA-GRS-2015-0001-0001).</p>
400.02b2	<p>TITLE: Other Committee Records.</p> <p>DESCRIPTION: Includes:</p> <ul style="list-style-type: none"> a. Records of FACA committees: <ul style="list-style-type: none"> (1) That relate to day-to-day activities and/or do not contain unique information of historical value. (2) Extra copies of records such as agendas, minutes.

Table 13-1. SERIES 400.00 – DCMA Corporate Operations and Core Mission Program Management Planning and Oversight, Excluding Contract Administration Services and Other Activities.

RECORD SERIES	TITLE/DESCRIPTION/RETENTION INSTRUCTION/ DISPOSITION AUTHORITY
	<p>b. Committee Management Records required to be available for public information and other related topics maintained by the Committee Management Officer; includes but is not limited to copies of charters, membership lists, agendas, request for approval of committed nominees; statistical and financial reports.</p> <p>c. All records of committees or similar bodies that are not FACA committees. This includes any records maintained on a DCMA website.</p> <p>INSTRUCTION: Temporary. Cutoff is annually. Destroy 6 years after cutoff.</p> <p>DISPOSITION AUTHORITY: N1-558-10-9-5.</p>
400.03a	<p>TITLE: Agreements, MOUs, or Similar Agreements and Activities Supporting these Agreements.</p> <p>DESCRIPTION: Records related to international agreements, inter-service support agreements; inter-Agency agreements; MOU, occupant agreement, and similar formal documentation to include but not limited to covering transfer or use of real property and facilities; supply management relationships; and production agreements negotiated at HQ and field levels; cross service agreements between DCMA and the owning military service and protective services.</p> <ul style="list-style-type: none"> • Refer to 170.02 for agreement and contracts involving acquisition/leasing of goods or services or property through transfer of funds. • Refer to 400.04a for CBA – Official Copy. • Some records of this type may also be contained in a contract case file or contract sub-file at the discretion of the Agency or similar authority because of their evidentiary value; Refer to 800.02.
400.03a1	<p>DESCRIPTION: The OPR for retaining official record (record serves as the legal copy). This includes any records maintained on a DCMA website.</p> <p>INSTRUCTION: Temporary. Destroy or delete 6 years and 3 months after superseded or expiration of agreement, or final payment or settlement of disputes/incident, whichever is later.</p> <p>DISPOSITION AUTHORITY: N1-558-10-9-6.</p>
400.03a2	<p>DESCRIPTION: Records maintained by other offices. This includes any records maintained on a DCMA website.</p>

Table 13-1. SERIES 400.00 – DCMA Corporate Operations and Core Mission Program Management Planning and Oversight, Excluding Contract Administration Services and Other Activities.

RECORD SERIES	TITLE/DESCRIPTION/RETENTION INSTRUCTION/ DISPOSITION AUTHORITY
	<p>INSTRUCTION: Temporary. Destroy when superseded, obsolete or no longer needed.</p> <p>DISPOSITION AUTHORITY: N1-558-10-9-7.</p>
400.04a	<p>TITLE: CBA – Official Record.</p> <p>DESCRIPTION: Formal agreement between management and employee unions or similar groups. Includes but is not limited to these types of records considered by the office responsible for negotiating agreements to be of significant value in conducting subsequent agreements:</p> <ul style="list-style-type: none"> a. CBA, labor/management correspondence, and any records related to collective bargaining negotiations, scheduling, attendance at meetings, and session notes. b. Labor arbitration case files or similar records such as administrative grievance and adverse action files. c. Union proposals. d. Union or labor grievance and arbitration records, to include forms, letters, memos, decisions and settlements, unofficial notes, and grievance tracking summary information.
400.04a1	<p>DESCRIPTION: The OPR for retaining official record of the CBA. This includes any records maintained on a DCMA website.</p> <p>INSTRUCTION: Temporary. Destroy/delete no less than 10 years, and no more than 30 years after expiration of the agreement or supersession.</p> <p>DISPOSITION AUTHORITY: N1-558-10-9-8.</p>
400.04a2	<p>DESCRIPTION: Other Offices’ Records. Refers to or includes:</p> <ul style="list-style-type: none"> a. Reference or convenience copies maintained by one office of the records of another office that is the OPR for managing recordkeeping copy IAW Agency's retention policy. This includes any records maintained on a DCMA website. b. Information provided by a lower office to a higher office's consolidated report. c. Records relating to a particular function or subject that are maintained by one office, when a different office is the OPR for that function or subject. <p>INSTRUCTION: Temporary. Destroy copies when superseded, obsolete, or no longer needed.</p> <p>DISPOSITION AUTHORITY: N1-558-10-9-9.</p>

Table 13-1. SERIES 400.00 – DCMA Corporate Operations and Core Mission Program Management Planning and Oversight, Excluding Contract Administration Services and Other Activities.

RECORD SERIES	TITLE/DESCRIPTION/RETENTION INSTRUCTION/ DISPOSITION AUTHORITY
400.05	Federal Inquiry and Independent Assessments
400.05a	<p>TITLE: Federal Inquiry (Oversight Agencies) – Mission Activities.</p> <p>DESCRIPTION: Records relating to submissions or responses on DCMA mission-related activities provided to agencies with oversight responsibilities such as the DoD Office of the Inspector General, GAO, and Defense Contract Audit Agency. Includes documents pertaining to reviews/surveys of DCMA mission-related operations performed; document accumulated during the review as well as follow-up documents relating to recommendations and action taken to resolve matters. Also includes reports issued by the oversight Agency such as DoD Office of Inspector General, GAO, or Defense Contract Audit Agency.</p>
400.05a1	<p>DESCRIPTION: OPR for retaining official record (record serves as the legal copy). This includes any records maintained on a DCMA website.</p> <p>INSTRUCTION: Permanent. Cutoff annually. Transfer non-electronic records to the NARA 30 years after cutoff. Transfer physical custody of electronic records to the NARA 3 years after cutoff with any related technical documentation and finding aids specified in 36 CFR 1235.44 - 1235.50 or standard applicable at the time. Transfer legal custody of electronic records 30 years after cutoff.</p> <p>DISPOSITION AUTHORITY: NI-558-10-9-10.</p>
400.05a1a	<p>DESCRIPTION: Records maintained by other offices. This includes any records maintained on a DCMA website</p> <p>INSTRUCTION: Temporary. Destroy 5 years after date information provided to designated authority, date case is closed, or there is no unresolved issues, whichever is later.</p> <p>DISPOSITION AUTHORITY: NI-558-10-9-11.</p>
400.05a2	<p>TITLE: Terminated Audits.</p> <p>DESCRIPTION: Pertains to reviews/survey of DCMA operations or mission by an Agency with Federal oversight authority which is terminated without conducting an audit.</p>
400.05a2a	<p>DESCRIPTION: The OPR for retaining official record (record serves as the legal copy). This includes any records maintained on a DCMA website.</p> <p>INSTRUCTION: Temporary. Destroy 2 years after notification of termination.</p>

Table 13-1. SERIES 400.00 – DCMA Corporate Operations and Core Mission Program Management Planning and Oversight, Excluding Contract Administration Services and Other Activities.

RECORD SERIES	TITLE/DESCRIPTION/RETENTION INSTRUCTION/ DISPOSITION AUTHORITY
400.05a2b	<p>DISPOSITION AUTHORITY: N1-558-10-9-12.</p> <p>DESCRIPTION: Records maintained by other offices. This includes any records maintained on a DCMA website.</p> <p>INSTRUCTION: Temporary. Destroy when superseded, obsolete or no longer needed.</p> <p>DISPOSITION AUTHORITY: N1-558-10-9-13.</p>
400.05b	<p>TITLE: Federal Inquiry (Oversight Agency) on Non-Mission Activities, and Independent Assessments by Agencies Without Federal Oversight Responsibilities.</p> <p>DESCRIPTION: Records related to submissions or responses on DCMA non-mission activities provided to agencies with oversight responsibilities and all submissions or responses provided to agencies without oversight responsibilities. Includes:</p> <ul style="list-style-type: none"> a. Documents pertaining to reviews/surveys of DCMA operations performed. b. Documents accumulated during the review as well as follow-up documents relating to recommendations. c. Reports issued by the independent Agency.
400.05b1	<p>DESCRIPTION: The OPR for retaining official record (record serves as the legal copy). This includes any records maintained on a DCMA website.</p> <p>INSTRUCTION: Temporary. Destroy 10 years after date information provided to designated authority, date case is closed, or there are no unresolved issues, whichever is longer.</p> <p>DISPOSITION AUTHORITY: N1-558-10-9-14.</p>
400.05b2	<p>DESCRIPTION: Other Offices' Records. Refers to or includes:</p> <ul style="list-style-type: none"> a. Reference or convenience copies maintained by one office of the records of another office that is the OPR for managing recordkeeping copy IAW Agency's retention policy. This includes any records maintained on a DCMA website. b. Information provided by a lower office to a higher office's consolidated report. c. Records relating to a particular function or subject that are maintained by one office, when a different office is the OPR for that function or subject. <p>INSTRUCTION: Temporary. Destroy copies when superseded, obsolete, or no longer needed.</p>

Table 13-1. SERIES 400.00 – DCMA Corporate Operations and Core Mission Program Management Planning and Oversight, Excluding Contract Administration Services and Other Activities.

RECORD SERIES	TITLE/DESCRIPTION/RETENTION INSTRUCTION/ DISPOSITION AUTHORITY
	DISPOSITION AUTHORITY: N1-558-10-9-15.
400.06a	<p>TITLE: Management Internal Review; DCMA Internal Assessment Case Files and Other Records Related to Internal Assessments.</p> <p>DESCRIPTION: Records related to the results of DCMA’s review and assessment of its mission driven operations which includes determining the effectiveness of internal program control, weaknesses and operations are consistent or comply with DCMA Policy/Instruction or Memorandum of Agreement. Includes internal reviews planning, analysis, liaison and support for external audit coordination, tracking performance commitments, conducting mission review and follow-up to assess if recommendations implemented.</p>
400.06a1	<p>DESCRIPTION: The OPR for retaining official record of Final Internal Assessment Report and supporting documentation. This includes any records maintained on a DCMA website.</p> <p>INSTRUCTION: Temporary. Cutoff when no further corrective action is necessary. Destroy 10 years after cutoff.</p> <p>DISPOSITION AUTHORITY: N1-558-10-9-16.</p>
400.06a2	<p>DESCRIPTION: Records maintained by other offices. This includes any records maintained on a DCMA website.</p> <p>INSTRUCTION: Temporary. Destroy when superseded, obsolete, or no longer.</p> <p>DISPOSITION AUTHORITY: N1-558-10-9-17.</p>
400.07	<p>TITLE: DCMA Policy, Instruction, Guidance or Regulation; Organization, Mission and Functions Manual.</p> <p>DESCRIPTION: Instructions contain those activities that are mandatory for all elements of the DCMA and which may not be deviated from without approval by the DCMA Director. Refer to 400.07b for record set of instructions. Guidance is completely discretionary in its use by any/all elements of the DCMA. Refer to 400.07c for record set of guidance.</p> <ul style="list-style-type: none"> • DCMA processes are deployed as “instructions” or “manuals.”
400.07a	<p>TITLE: Development and Implementation of DCMA Policy, Instruction, Guidance or Regulation; Organization, Mission and Functions Manual.</p> <p>DESCRIPTION: Includes but is not limited to:</p>

Table 13-1. SERIES 400.00 – DCMA Corporate Operations and Core Mission Program Management Planning and Oversight, Excluding Contract Administration Services and Other Activities.

RECORD SERIES	TITLE/DESCRIPTION/RETENTION INSTRUCTION/ DISPOSITION AUTHORITY
	<ul style="list-style-type: none"> a. Announcements/communication regarding changes to existing policy or issuances of new policy by the Director or similar approving authority. b. Reports, correspondence, briefings documenting the implementation of policy. Example include briefing to Senior Leadership on DCMA Policy Change Notices, CMO analysis of new policy changes with briefings of impact to Senior Leadership, Mission Performance Result reports, Policy Change Feedback/Survey. c. Training Material related to policy/instruction implementation. d. Related background material used in the development of and preparation of policy, instruction, regulation or organization, mission and functions manual.
400.07a1	<p>DESCRIPTION: Records maintained by the OPR. This includes any records maintained on a DCMA website.</p> <p>INSTRUCTION: Temporary. Destroy or delete 6 years from annual cutoff or destroy when no longer required, whichever is later.</p> <p>DISPOSITION AUTHORITY: N1-558-10-9-18.</p>
400.07a2	<p>DESCRIPTION: Other Offices’ Records. Refers to or includes:</p> <ul style="list-style-type: none"> a. Reference or convenience copies maintained by one office of the records of another office that is the OPR for managing recordkeeping copy IAW Agency's retention policy. This includes any records maintained on a DCMA website. b. Information provided by a lower office to a higher office's consolidated report. c. Records relating to a particular function or subject that are maintained by one office, when a different office is the OPR for that function or subject. <p>INSTRUCTION: Temporary. Destroy when superseded, obsolete, or no longer needed.</p> <p>DISPOSITION AUTHORITY: N1-558-10-9-19</p>
400.07b	<p>TITLE: Official Copy of Policy, Instruction, Regulation, Organization, Mission and Functions Manual.</p> <p>DESCRIPTION: Official copy of mandatory DCMA policy, instruction and regulation issuances. Also included is DCMA’s organization, mission, and functions manual.</p>

Table 13-1. SERIES 400.00 – DCMA Corporate Operations and Core Mission Program Management Planning and Oversight, Excluding Contract Administration Services and Other Activities.

RECORD SERIES	TITLE/DESCRIPTION/RETENTION INSTRUCTION/ DISPOSITION AUTHORITY
	<ul style="list-style-type: none"> Instructions contain those activities that are mandatory for all elements of the DCMA and which must not be deviated from without approval by the DCMA Director.
400.07b1	<p>DESCRIPTION: The OPR for retaining official record (record serves as the legal copy). This includes any records maintained on a DCMA website.</p> <p>INSTRUCTION: Permanent. Cutoff when superseded or obsolete. Transfer non-electronic records to the NARA 30 years after cutoff. Transfer physical custody of electronic records to the NARA 3 years after cutoff with any related technical documentation and finding aids specified in 36 CFR 1235.44 - 1235.50 or standard applicable at the time. Transfer legal custody of electronic records 30 years after cutoff.</p> <p>DISPOSITION AUTHORITY: N1-558-10-9-20.</p>
400.07b2	<p>DESCRIPTION: Copies of official release kept in other DCMA offices. This includes any records maintained on a DCMA website.</p> <p>INSTRUCTION: Temporary. Destroy when superseded, obsolete or no longer needed.</p> <p>DISPOSITION AUTHORITY: N1-558-10-9-21.</p>
400.07c	<p>TITLE: Official Copy of DCMA Guidance Publications.</p> <p>DESCRIPTION: Official copy of DCMA guidance publications which are completely discretionary in their use by any/all elements of the DCMA</p>
400.07c1	<p>DESCRIPTION: The OPR for retaining official record (record serves as the legal copy). This includes any records maintained on a DCMA website.</p> <p>INSTRUCTION: Temporary. Destroy 3 years after rescinded or superseded or deemed obsolete. Close after the calendar year involved.</p> <p>DISPOSITION AUTHORITY: N1-558-10-9-22.</p>
400.07c2	<p>DESCRIPTION: Copies of official release kept in other DCMA offices. This includes any records maintained on a DCMA website.</p> <p>INSTRUCTION: Temporary. Destroy when superseded, obsolete or no longer needed.</p> <p>DISPOSITION AUTHORITY: N1-558-10-9-23.</p>

Table 13-1. SERIES 400.00 – DCMA Corporate Operations and Core Mission Program Management Planning and Oversight, Excluding Contract Administration Services and Other Activities.

RECORD SERIES	TITLE/DESCRIPTION/RETENTION INSTRUCTION/ DISPOSITION AUTHORITY
400.08	<p>TITLE: Corporate Operations and Core Mission Program Management Planning and Oversight – Routine Background Material.</p> <p>DESCRIPTION: Refers to routine background materials relating to corporate operations and core mission program management planning and oversight accumulated in the course of formulating or analyzing policy or similar activities that result in a clearly defined deliverable or issuances such as reports, publications, guidance documents, instructions, studies or white-papers. Routine background material may consist of reference papers, extra copies of reports or other documents, and correspondence of a transitory or informational nature only. This includes any records maintained on a DCMA website.</p> <ul style="list-style-type: none"> • For related background material used in the development of and preparation of policy, instruction, regulation or organization, mission and functions manual, refer to 400.07a. <p>INSTRUCTION: Temporary. Destroy when no longer needed.</p> <p>DISPOSITION AUTHORITY: N1-558-10-9-24.</p> <p>DISPOSITION NOTICE: Place substantive background papers in the file pertinent to the subject matter or the function covered.</p>

SECTION 14: CONTRACT ADMINISTRATION SERVICE

14.1. OVERVIEW.

a. This series of records relates to Contract Administration Service records that involve DCMA’s mission to provide contract administration services to the DoD and its partners to ensure the delivery of quality products and services to the war fighter, on time and on cost. Records document the comprehensive contract administration service process; including but not limited to: evaluation and negotiation, cost/price and financial analysis, production surveillance, property management; transportation and packaging, competition advocacy. For control of records the contracting process is represented as:

- (1) Contract Administration Services – Contract Development/Pre-Award Assistance.
- (2) Contract Administration Services – Contract Files.
- (3) Contract Administration Services – General Operations.

b. Items that are related to both Contract Administration Services and other core mission activities are covered in Series 400.00.

c. Contract records are defined IAW FAR 204.804(5), FAR 4.8 and DFARS 204.802.

Table 14-1. SERIES 800.00 – Contract Administration Service.

RECORD SERIES	TITLE/DESCRIPTION/RETENTION INSTRUCTION/ DISPOSITION AUTHORITY
800.01	<p>TITLE: Contract Administration Services – Contract Development/Pre-Award Assistance.</p> <p>DESCRIPTION: Records relate to assisting DoD Agencies with constructing sound acquisition strategies, identifying potential performance risks, evaluating contract proposals and pricing/cost data, supporting contract negotiations, and writing effective contracts; includes but not limited to records related to:</p> <ul style="list-style-type: none"> a. Formulation of acquisition strategy before contract award; pre-award surveys, including evaluations of contractor software development capabilities. b. DCMA participation in source selection activities; reviews of contractor proposals, surveys of contractor business systems; negotiating pricing agreements, and industrial base insight. <p>DISPOSITION NOTICE: Prior to executing disposition, these records are subject to the Records Disposition Notice pursuant to DCMA-MAN 4501-04, Volume 1, Paragraph 6.6., and require Agency Review Panel (GC, FOIA, and ARO) disposition concurrence.</p>
800.01a	<p>DESCRIPTION: Records maintained by the OPR. This includes any records maintained on a DCMA website.</p>

Table 14-1. SERIES 800.00 – Contract Administration Service.

RECORD SERIES	TITLE/DESCRIPTION/RETENTION INSTRUCTION/ DISPOSITION AUTHORITY
	<ul style="list-style-type: none"> • Refer to 800.02 for copies of contract administration services development and pre-award assistance records kept in a Contract Administration Services contract file or contract sub-file. <p>INSTRUCTION: Temporary. Destroy 3 years after applicable cutoff category. Cutoff Category B, E.</p> <p>DISPOSITION AUTHORITY: N1-558-10-10-1.</p>
800.01b	<p>DESCRIPTION: Other Offices’ Records. Refers to or includes:</p> <ul style="list-style-type: none"> a. Reference or convenience copies maintained by one office of the records of another office that is the OPR for managing recordkeeping copy IAW Agency's retention policy. This includes any records maintained on a DCMA website. b. Information provided by a lower office to a higher office's consolidated report. c. Records relating to a particular function or subject that are maintained by one office, when a different office is the OPR for that function or subject. <p>INSTRUCTION: Temporary. Destroy when superseded, obsolete, or no longer needed.</p> <p>DISPOSITION AUTHORITY: N1-558-10-10-2.</p>
800.02a	<p>TITLE: Contract Administration Service – Contract Files.</p> <ul style="list-style-type: none"> • Contract files are organized by individual contracts. For Contract Administration Services records that are not related to a specific contract refer to 800.03. <p>DESCRIPTION: Records related to DCMA mission of providing contract administration services to agencies IAW the FAR or in DCMA’s agreement or similar document with the contracting office or stakeholder. This includes business and technical support at multiple locations, disposition of contract specific guidance and instructions, resolution of contract disputes, financial services; financial services include review of progress payments, vouchers, and invoices, performance and measurement which includes contractor accountability, quality assurance, transportation, and specialized safety services. Contract records include but are not limited to those specified IAW FAR and DFARS and agreements with the contracting office or stakeholder. Examples of the types of records are:</p> <ul style="list-style-type: none"> a. Business Support Records. <ul style="list-style-type: none"> (1) Documents on which action was taken or that reflect actions by the contract administration office pertinent to the contract, including records of Boards of Review.

Table 14-1. SERIES 800.00 – Contract Administration Service.

RECORD SERIES	TITLE/DESCRIPTION/RETENTION INSTRUCTION/ DISPOSITION AUTHORITY
	<ul style="list-style-type: none"> (2) Any document modifying the normal assignment of contract administration functions and responsibility for a specific contract. (3) Consent to subcontract or purchase. (4) Contract completion and closeout documents. (5) Copy of the contract and all modifications, together with official record copies of supporting documents executed by the contract administration office. (6) Cost or pricing data, Certificates of Current Cost or Pricing Data, information other than cost or pricing data; cost or price analyses; and other documentation supporting contractual actions executed by the contract administration office. (7) Documentation regarding termination actions. (8) Documents supporting advance or progress payments. (9) Records of contract payments and supporting documents, surety records and bonds. (10) Individual and subcontract case files accumulated from the administration of individual contracts and consisting of purchase orders, contracts, comparable instruments, and other documentation, as applicable. (11) Insurance policies or certificates of insurance or references to them. (12) Legal Advice. (13) Orders issued under the contract. (14) Post-award conference records. (15) Property administration records. (16) Purchasing system information. (17) Security requirements. (18) Requests for equitable adjustment Claims and USG demands for payment. (19) Issuance of Bills of Lading in performance of Contract Administration Services (Refer to 800.04 - FMS Bills of Lading). b. Technical Support Records. <ul style="list-style-type: none"> (1) Records of engineering support services that relate to tests and evaluations, technical system reviews; assessments of contractor performance; analyses of contractor reliability and maintainability/integrated logistics support; and records of monitor contractor manufacturing and product support activities, assessments of contractor management and technical systems required by the contract. (2) Records documenting oversight of contractor flight operations. (3) Product acceptance records. (4) Quality assurance records related to product testing; conducting audits and predictive analyses, quality, material and field discrepancy reports. (5) Records of specialized safety services including safety surveillance; technical consultation and specialized safety training as required;

Table 14-1. SERIES 800.00 – Contract Administration Service.

RECORD SERIES	TITLE/DESCRIPTION/RETENTION INSTRUCTION/ DISPOSITION AUTHORITY
	clarify contractual safety requirements for contractors; contractor responses to corrective action requests; post-award orientation conferences; reviews of specifications/contracts relative to safety requirements; records of safety-related investigations as requested by contractors.
800.02a1	<p>DESCRIPTION: The OPR and Agency system of record for retaining official records (record serves as the legal copy). Includes closed contract files contained in Electronic Document Workflow records management system, or their successors. This includes any records maintained on a DCMA website.</p> <ul style="list-style-type: none"> • For records that were due for destruction prior to January 1, 2012, according to previous authorities, follow the disposition in the previous authority. For all other records, follow the disposition for this item (800.02a1). <p>INSTRUCTION: Temporary. Destroy/delete no less than 6 years, and no more than 30 years after completion of the contract, or final payment or termination of the program effort, or settlement of disputes/incidents, whichever is later.</p> <p>DISPOSITION AUTHORITY: DAA-558-2016-0004-0001.</p>
800.02a2	<p>DESCRIPTION: Copies of records kept in other DCMA offices. Refers to or includes:</p> <ol style="list-style-type: none"> a. Reference or convenience copies maintained by one office of the records of another office that is the OPR for managing recordkeeping copy IAW Agency's retention policy. This includes any records maintained on a DCMA website. b. Information provided by a lower office to a higher office's consolidated report. c. Records relating to a particular function or subject that are maintained by one office, when a different office is the OPR for that function or subject. <p>INSTRUCTION: Temporary. Destroy when superseded, obsolete, or no longer needed.</p> <p>DISPOSITION AUTHORITY: N1-558-10-10-4.</p>
800.02b	Electronic Database System of Record for Managing and Maintaining Open Contracts
800.02b1	<p>DESCRIPTION: Refers to the official source input for the Closed Contact Database, i.e., MOCAS or its successor. This item covers electronic database records only. This includes any records maintained on a DCMA website.</p> <ul style="list-style-type: none"> • Refer to 140.06 for mission data maintained in systems (e.g., Clone Database and Integrated Database) only for convenience of reference (such as for running queries and reports), for which the recordkeeping

Table 14-1. SERIES 800.00 – Contract Administration Service.

RECORD SERIES	TITLE/DESCRIPTION/RETENTION INSTRUCTION/ DISPOSITION AUTHORITY
	<p>copy is maintained elsewhere (e.g., Closed Contract Database and MOCAS) and scheduled under other authorities.</p> <ul style="list-style-type: none"> • Refer to 170.02a for open paper files related to non-mission related contract acquisitions. • Refer to 800.02a for open paper files related to mission related Contract Administration Services. <p>INSTRUCTION: Temporary. Delete after contract is closed and it is confirmed that contract records have been moved to the system of record for maintaining closed case data.</p> <p>DISPOSITION AUTHORITY: N1-558-10-10-5.</p>
800.02b2	<p>DESCRIPTION: Copies of records kept in other DCMA offices. Refers to or includes:</p> <ol style="list-style-type: none"> a. Reference or convenience copies maintained by one office of the records of another office that is the OPR for managing recordkeeping copy IAW Agency's retention policy. This includes any records maintained on a DCMA website. b. Information provided by a lower office to a higher office's consolidated report. c. Records relating to a particular function or subject that are maintained by one office, when a different office is the OPR for that function or subject. <p>INSTRUCTION: Temporary. Destroy when superseded, obsolete, or no longer needed.</p> <p>DISPOSITION AUTHORITY: N1-558-10-10-6.</p>
800.03	<p>TITLE: Contract Administration Services – General Operations.</p> <p>DESCRIPTION: Records relating to the formulation, management, administration and execution of Contract Management programs/projects that are not specific to a contract administration case file or that relate to more than one contract or the contractor in a general way (e.g., contractor’s management systems, past performance or capabilities).</p> <ol style="list-style-type: none"> a. Activities include but are not limited to: <ol style="list-style-type: none"> (1) Contractors’ costs incurred to be compliant with environmental concerns. (2) Surveillance of contractor engineering and manufacturing systems and efforts, analysis of contractor generated engineering and technical proposals and reports, and Contract Administration Services support to Military Services and non-DoD program managers support for weapons systems and other critical USG acquisitions. (3) Earned Value Management System Compliance Reviews,

Table 14-1. SERIES 800.00 – Contract Administration Service.

RECORD SERIES	TITLE/DESCRIPTION/RETENTION INSTRUCTION/ DISPOSITION AUTHORITY
	<p>subsequent Earned Value Management System Surveillance Reviews, and surveillance results of the contractor's cost/schedule data.</p> <ol style="list-style-type: none"> (4) Contractor System Surveillance reviews, evaluations, discrepancy documents, requests and related items concerning production, work measurement, design, software, configuration, test, performance, logistics support, and comparable system elements. (5) ACO determinations and approvals of Contractor's Cost Accounting Standards administration, Contractor Business Systems and Policies. (6) ACO establishment of Rates (Forward Pricing Rates, Incurred Cost & Billing Rates). (7) Transportation Management (Refer to 800.04 – FMS Bills of Lading). <p>b. Records include but are not limited to:</p> <ol style="list-style-type: none"> (1) Copies of negotiated Memorandums of Agreement with Program Management Offices, documents related to Program Management Office technical representatives and Integrated Logistics Support activities. Refer to 400.03a for recordkeeping copy of MOU. (2) Contractor System Surveillance Discrepancy reports to include Purchase System Reviews. Program and Technical Support Correspondence Files. (3) Industrial Modernization Incentive Program records such as studies, designs, working agreements, contractual requirements and related items on Government-Contractor plant modernization. (4) Technical Studies and Analysis Support records to include independent research and development reviews. (5) Situation reports regarding urgent or emerging defense issues. <ul style="list-style-type: none"> • Copies of these records may be contained in a contract case file or contract sub-file at the discretion of the appropriate CMO or HQ DCMA authority because of their evidentiary value. Refer to 800.2a.
800.03a	<p>DESCRIPTION: Records maintained by the OPR. This includes any records maintained on a DCMA website.</p> <p>INSTRUCTION: Temporary. Destroy/delete no less than 6 years and no more than 30 years after cutoff. Cutoff Category B, E.</p> <p>DISPOSITION AUTHORITY: DAA-558-2016-0004-0002.</p> <p>DISPOSITION NOTICE: For certain series, records that were due for destruction prior to January 1, 2012, according to a previous authority must follow the disposition in the previous authority. The file code, title, and previous NARA authority of these series are: #831.30 (Contractor Disclosure Statements, N1-361-91-13, item 831.30), #831.40 (Contractor Overhead Rate Files, N1-361-91-13, item 831.40), #832.80 (Inventory Disposition Procedures, N1-361-91-13,</p>

Table 14-1. SERIES 800.00 – Contract Administration Service.

RECORD SERIES	TITLE/DESCRIPTION/RETENTION INSTRUCTION/ DISPOSITION AUTHORITY
	<p>item 832.80), #833.20 (Contractor Financial Capability, N1-361-91-13, item 832.20), #835.40 (Contractor Coordination, N1-361-91-13, item 835.40), #835.60 (Procedure A Contractor File, N1-361-91-13, item 835.60), #835.70 (Hazardous/Protected Material Transportation, N1-361-91-13, item 835.70), #890.01 (Program and Technical Support Program Files, N1-361-91-6, item 890.01), #890.15 (Program Managed Contracts Memorandums of Agreement copies, N1-361-91-6, item 890.15). For all other records, follow the disposition in this schedule item (DAA-558-2016-0004-0002).</p>
800.03b	<p>DESCRIPTION: Other Offices’ records. Refers to or includes:</p> <ul style="list-style-type: none"> a. Reference or convenience copies maintained by one office of the records of another office that is the OPR for managing recordkeeping copy IAW Agency's retention policy. This includes any records maintained on a DCMA website. b. Information provided by a lower office to a higher office's consolidated report. c. Records relating to a particular function or subject that are maintained by one office, when a different office is the OPR for that function or subject. <p>INSTRUCTION: Temporary. Destroy when superseded, obsolete, or no longer needed.</p> <p>DISPOSITION: N1-558-10-10-8.</p>
800.04	<p>TITLE: FMS Bills of Lading Case Files.</p> <p>DESCRIPTION: Refers to case files which contain all records required to monitor and process the delivery of material and services to FMS customers, from receipt to closing of the case. Includes supporting document such as notices of availability, transportation control movement documents, issue release/receipt documents, inspection and receiving reports, air bills, supply transactions, signed transfer to carrier documents, and acceptance of material and services.</p>
800.04a	<p>DESCRIPTION: Records held by the OPR. This includes any records maintained on a DCMA website.</p> <p>INSTRUCTION: Temporary. Destroy when 30 years old or after settlement of disputes/incidents, whichever is later.</p> <p>DISPOSITION AUTHORITY: N1-558-10-10-9.</p> <p>DISPOSITION NOTICE: IAW DoD Directive 4500.9-R, Part II, “Defense Transportation Regulation,” Appendix E, Paragraph M - In compliance with International Law (the Government of Iran versus the Government of United States of America), the international court system required the USG to furnish hard copy Proof of Shipment for the last 30 years or refund the cost of SA</p>

Table 14-1. SERIES 800.00 – Contract Administration Service.

RECORD SERIES	TITLE/DESCRIPTION/RETENTION INSTRUCTION/ DISPOSITION AUTHORITY
	<p>material to the Government of Iran. Based on this decision, all FMS shipping documentation (includes Commercial Bill of Lading, Notice of Availability, Transportation Control and Movement Documents, DoD (DD) Form 1348-1A, “Issue Release/Receipt Documents,” DD Form 1149, “Requisition and Invoice/Shipping Document,” DD Form 250, “Material Inspection and Receiving Report,” (link to forms located in the DoD Forms Index) and Wide Area Work Flow Release Forms), Inspection and Receiving Reports, Air Bills, Supply Transactions, Transfer to Carrier Documents, Acceptance Data, and any similarly related material used to effect transfer of FMS shipments to carriers) must be retained for a mandatory time frame of 30 years. This normally means keeping the documentation two years at the shipper locations and 28 years in a National Records Archive. This FMS documentation must be maintained in hard copy format.</p>
800.04b	<p>DESCRIPTION: Copies of records kept in other DCMA offices. This includes any records maintained on a DCMA website.</p> <p>INSTRUCTION: Temporary. Destroy when superseded, obsolete, or no longer needed.</p> <p>DISPOSITION AUTHORITY: N1-558-10-10-10.</p>
800.05	<p>TITLE: Contract Administration Services – Routine Background Material.</p> <p>DESCRIPTION: Refers to routine background materials relating to contract administration services accumulated in the course of formulating or analyzing policy or similar activities that result in a clearly defined deliverable or issuances such as reports, publications, guidance documents, instructions, studies or white-papers. Routine background material may consist of reference papers, extra copies of reports or other documents, and correspondence of a transitory or informational nature only.</p> <p>INSTRUCTION: Temporary. Destroy when no longer needed.</p> <p>DISPOSITION AUTHORITY: N1-558-10-10-11.</p> <p>DISPOSITION NOTICE: Place substantive background papers in the file pertinent to the subject matter or the function covered.</p>

GLOSSARY

G.1. DEFINITIONS. See DCMA-MAN 4501-04, Volume 1, “Records and Information Management Program.”

GLOSSARY

G.2. ACRONYMS.

ACO	Administrative Contracting Officer
ARO	Agency Records Officer
AT	antiterrorism
CA	Certification Authority
CBA	collective bargaining agreement
CFR	Code of Federal Regulations
CIO	Chief Information Officer
CMO	Contract Management Office
CP	certificate policy
DAA	Disposition Authority Approval
DCMA Form 4501-04	Records File Plan
DCMA-MAN	DCMA Manual
DD Form	DoD Form
DD Form 250	Material Inspection and Receiving Report
DD Form 1149	Requisition and Invoice/Shipping Document
DD Form 1348-1A	Issue Release/Receipt Documents
DFARS	Defense Federal Acquisition Regulation Supplement
DIMOC	Defense Imagery Management Operations Center
EEO	Equal Employment Opportunity
EIS	Electronic Information Systems
EMF	Employee Medical Folder
email	electronic mail
FACA	Federal Advisory Committee Act
FAR	Federal Acquisition Regulation
FMS	Foreign Military Sales
FOIA	Freedom of Information Act
FY	fiscal year
GAO	Government Accountability Office
GC	General Counsel
GRS	General Records Schedule
HQ	headquarters
IAW	in accordance with
IRS	Internal Revenue Service
IRS Form W-2	Wage and Tax Statement
IRS Form W-3	Transmittal of Wage and Tax Statements

IRS Form W-4	Employee's Withholding Allowance Certificate
IRS Form 1099	Miscellaneous Income
IT	information technology
MOU	Memorandum of Understanding
MOCAS	Mechanization of Contract Administration Services
NARA	National Archives and Records Administration
NDA	Nondisclosure Agreement
OMB	Office of Management and Budget
OPF	Official Personnel Folder
OPM	Office of Personnel Management
OPR	Office of Primary Responsibility
PA	Privacy Act
PKI	Public Key Infrastructure
RA	Registration Authority
RC	Records Coordinator
RLO	Records Liaison Officer
RRS	Records Retention Schedule
SF	Standard Form
SF 115	Request for Records Disposition Authority
SF 135	Records Transmittal and Receipt
SF 258	Agreement to Transfer Records to the National Archives of the United States
SF 312	Classified Information Non-Disclosure Agreement
SDW	Shared Data Warehouse
U.S.C.	United States Code
USG	U.S. Government

REFERENCES

- Code of Federal Regulations, Title 5
Code of Federal Regulations, Title 36
DCMA Manual 3301-02, “Continuity of Operations and Emergency Management,”
September 7, 2018
DCMA Manual 3301-08, “Information Security,” January 20, 2019
DCMA Manual 4301-11, Volume 1, “Management Controls: Manager’s Internal Control
Program, June 23, 2019
DCMA Manual 4501-01, “DCMA Issuance Program,” TBD
DCMA Manual 4501-04, Volume 1, “Records and Information Management Program,”
TBD
DoD 5015.02-STD, “Electronic Records Management Software Applications Design Criteria
Standard,” April 25, 2007
DoD Instruction 5015.02, “DoD Records Management Program,” February 24, 2015, as
amended
DoD Directive 4500.9-R, Part II, “Defense Transportation Regulation”, January 8, 2007
DoD Directive 5105.64, “Defense Contract Management Agency (DCMA),” January 10, 2013
Defense Federal Acquisition Regulation Supplement, current edition
Federal Acquisition Regulation, current edition
National Archives and Records Administration General Records Schedule, April 2020
Office of Management and Budget Memorandum M-19-21, “Transition to Electronic Records,”
June 28, 2019
Office of Management and Budget Circular A-130, “Managing Information as a Strategic
Resource,” July 28, 2016
United States Code, Title 5
United States Code, Title 44