

Mandatory Reference: 502  
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**Automated Directives System Chapter 502 – RECORDS MANAGEMENT**  
**Records Disposition Schedule – Agency-Wide (USAID/W and Missions)**  
**Section 41 - Strategic Objective Document Disposition Schedule**

This schedule provides disposal authorization for the official strategic objective records in USAID at all organizational levels, worldwide. These records are described as precisely as possible to permit easy identification within file groups. The disposal instructions apply to all records of the type described regardless of their physical location, e.g., central files, decentralized files, or working files at an individual’s desk.

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
41010	<p><b>Activity Development Files</b> - These documents disclose how an activity is developed, the purpose, how the activity will achieve USAID goals or meet objectives and what will be accomplished. In designing an activity, if these types of documents are created, file here.</p> <p>Files include assessments, analyses, strategic planning, feasibility studies, pre-design documentation, market surveys, environmental studies/reviews, results framework, and customer service plans.</p>	<p><b>Permanent.</b> After the close of the activity, hold in the office for 3 years. Then transfer to off-site storage for 6 more years. Then after 6 years, send the records to USAID/W/M/AS/IRD for retirement.</p> <p>For example, if an activity closes October 31, 2000, you would retain the files in office space until October 31, 2003. Then, on November 1, 2003, you would transfer the files to off-site storage until October 31, 2009. Finally, on November 1, 2009, the records would be shipped to USAID/W/M/AS/IRD for retirement.</p>

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
41020	<p><b>Core Document Files</b> – These documents include the changes, decisions or revisions of the activity or objective issued by the Mission, USAID/W and/or program/project officer.</p> <p>Files include result packages (RP), result package amendments, result package approvals, cash transfers, performance monitoring/frameworks, bilateral grant agreements, bilateral grant agreement amendments, loan agreements, loan agreement amendments, policy measures, verification memoranda, memoranda of understanding (mou), waivers, implementation letters, congressional notifications, delegations of authority, general/action memoranda, and implementation documents.</p> <p>NOTE: MOU's (duplicated in 41040) filed here would be <b>retained TEMPORARILY with the Acquisition and Assistance (A&amp;A) files</b>. In this instance, file the original here and a copy with the A&amp;A files.</p>	<p><b>Permanent.</b> After the close of the activity, hold in the office for 3 years. Then transfer to off-site storage for 6 more years. Then after 6 years, send the records to USAID/W/M/AS/IRD for retirement</p>
41030	<p><b>Correspondence Files</b> – These documents contain general information about the activity. They do not contain the decision-making, change or revision of the activity. They usually only indicate conversations or thoughts that occur about the activity and are needed only for the life cycle of the activity.</p> <p>Files include cables (incoming and outgoing), letters, memoranda, e-mails, minutes of meetings, briefings, statutory checklists, and strategic objective team documents.</p>	<p><b>Temporary.</b> After the close of the activity, hold in the office for 3 years. Then transfer to off-site storage for an additional 6 years, 3 months, and then destroy.</p> <p>For example, if an activity closes October 31, 2000, you would retain the files in office space until October 31, 2003. Then, on November 1, 2003, you would transfer the files to off-site storage until January 31, 2010. Then destroy these records.</p>

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
41040	<p><b>Acquisition and Assistance (A&amp;A) Documentation Files</b> – These documents show the entire contractual process of the activity.</p> <p>Files include (but are not limited to) contracts, contract modifications, invitations for bids (IFB), requests for proposal (RFP), proposals, procurement plans, pre-award selection documents, memoranda of negotiation, tasks and delivery orders, resource requests, purchase orders, Modified Acquisition and Assistance Request Documents, (MAARDs), financing requests, non-governmental grants, Public International Organization grants (PIOs), cooperative agreements, Requests for Applications (RFA), Annual Program Statements (APS), and grant/cooperative agreement amendments,</p> <p>Interagency Agreements – Participating Agency Service Agreements (PASAs) and Resources Support Service Agreements (RSSAs) and amendments to them,</p> <p>Interagency Agreements - 632(a) transfer and allocation agreements (Memoranda of Understanding [MOU] ), and</p> <p>Interagency Agreements – 632(b) interagency agreements that are <b>NOT</b> PASA/RSSAs (transfers that obligate funds but NOT necessarily through the procurement office) and amendments to them.</p> <p>NOTE: MOU's (duplicated in 41020) filed here would be <b>retained PERMANENTLY with the core document files</b>. In this instance, file a copy here and the original with the core document files.</p>	<p><b>Temporary.</b> After the close of the activity, hold in the office for 3 years. Then transfer to off-site storage for an additional 6 years, 3 months, and then destroy.</p>
41050	<p><b>Disbursing Authorization Files</b> – These documents show the expenditures and funds allocated to the activity and include invoices or other billing statements.</p> <p>Files include letters of commitment, procurement authorizations, vouchers, direct reimbursement approvals, and excess property letter orders.</p>	<p><b>Temporary.</b> After the close of the activity, hold in the office for 3 years. Then transfer to off-site storage for an additional 6 years, 3 months, and then destroy.</p>

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
41060	<p><b>Reports Files</b> – These documents give an account of the activity, usually at regular intervals. They explain or audit the progress of the specific activity.</p> <p>a. Permanent files include final reports, audits, annual work plans, evaluations, performance reports, Resource Review and Resource Requests (R4), and reports to Congress.</p>	<p><b>Permanent.</b> After the close of the activity, hold in the office for 3 years. Then transfer to off-site storage for 6 more years. Then after 6 years, send the records to USAID/W/M/AS/IRD for retirement</p>
41061	<p>b. Temporary files include progress (monthly, quarterly, annual) reports and trip reports.</p>	<p><b>Temporary.</b> After the close of the activity, hold in the office for 3 years. Then transfer to off-site storage for an additional 6 years, 3 months, and then destroy.</p>
41070	<p><b>Electronic Strategic Objectives Files</b> – These electronic documents are identical to the hard copy records in the above dispositions. These records are usually kept for convenience or until a paper copy is included in the official file, if required.</p>	<p><b>Temporary.</b> After the close of the activity, hold in the office for 3 years. Then transfer to off-site storage for an additional 6 years, 3 months, and then destroy. See also the Electronic Records Disposition Schedule, item no. 3</p>