Subject Outlines/Codes

A Mandatory Reference for ADS Chapter 502

Subject Outlines/Codes

Subject files consist of general file materials of incoming originals and outgoing record copies of letters, memoranda, telegrams, reports and materials involving a wide variety of subjects. They bring together documents relating to the same subject so that information can be easily found. The subject categories chosen as filing guides for USAID reflect the organization, policies, programs, and functions of the Agency. USAID subject files are arranged according to the Subject Outlines shown below.

There are two broad types of subject files:

1. **Administrative subject files –** relating to housekeeping, staffing, and managerial operations.

2. **Program subject files –** relating to the program activities of the Agency.

Under each of these are specific subject categories and subcategories. Of the 24 primary subject headings, seven pertain to **administrative subject files**. These include the following:

- **Administrative Management ADM**
- **Budget BUD**
- **Fiscal Accounting and Audit FIS**
- **General Services GRS**
- **Personnel PER**
- **Procurement and Contracting PRC**
- **Travel TRV**

Seventeen of the primary subject headings pertain to USAID program activities. These are further broken down into two subgroups:

A. **Program Background, Support, and Development:**

- **Economic and Financial Affairs ECF**
- **Information and Mass Communications INF**
- **Legislative and Legal LEG**
- **Loans, Guaranties, and Private Enterprise LGP**
- **Organizations, Committees and Meetings OCM**
- **Program Development, Evaluation and Research PRM**

B. **Program Files:**

- **Agriculture AGR**
- **Democracy and Governance DEM**

- **Education EDU**
- **Food for Peace FPC**
- **Health and Sanitation HLS**
- **Industrial Development IND**
- **Public Administration PUB**
- **Science and Technology SCT**
- **Social and Institutional Development SOC**
- **Training (for participants) TRG**
- **Transportation (as a sector) TRP**

The Subject Outlines provide the information needed to organize and correctly label official subject files. Even though subject files comprise roughly only twenty percent of all Agency files, knowledge of the Subject Outlines is indispensable in establishing and maintaining these files. The Subject Outlines are made up of subject file codes (e.g. EDU 12, PRC 4, ADM 8) with file classification captions such as Health Education, Administrative Management, etc., followed by a narrative description for each code and classification. Together, these comprise a system that provides offices with an effective method for filing and retrieving information.

Each subject outline (i.e., ADM, AGR) has an alpha numeric file group code (i.e., ADM-1, ADM-2, AGR-1, AGR-2), which provides primary and secondary breakdowns for subject file materials. These codes are subdivided into secondary breakdowns for more precise identification of subject content. Individual offices may subdivide subject categories further into tertiary or third levels of breakdown. Additions of new Subject Outlines may be authorized by the Agency Records Officer. Send requests for changes in subject categories to the Information and Records Division (M/AS/IRD).

How then are the Subject Outlines used to select the proper subject codes and classifications? To illustrate, suppose the record to be filed is the minutes of a USAID meeting on weed control. Browse through the listing of Subject Outlines and select the major subject area most likely to contain the topic, in this case Agriculture. Reading through the narrative descriptions leads to the file code and classification that encompasses weed control, which is **AGR 4 Crop Production.**

Future papers dealing with the same subject will be filed together in that folder. The file code AGR 4 will distinguish it from papers dealing with other agricultural subjects (e.g., AGR 2, AGR 6), all of which are grouped under the parent classification " **AGR Agriculture"**.

Together, the files in the AGR group constitute a separate entity from the files in the other major subject groups, such as BUD (Budget) or PER (Personnel), providing for an orderly division of subjects within the office filing system.

An alternate means of finding the subject file code is to use the Index to the Subject Outlines. In the example on weeds, looking under "Weed Control" would have led

directly to AGR 4. Even looking under the entry "Meetings" would have led eventually to AGR 4, since the entry advises to look under the appropriate subject.

Remember, your office can further break down the codes to tertiary levels to suit your particular needs. For example, if your office deals with energy programs, you could subdivide the category **SCT 20 Energy** (i.e., SCT 20.1, 20.2, etc.) to subdivide the following:

    a. **20.1 for Geothermal Energy**
    b. **20.2 for Solar Energy**

In general, offices will select a few major subject codes that pertain to the program functions of the office, such as Food for Peace (FPC), Loans, Guaranties and Private Enterprise (LGP), and Transportation (TRP). In addition to subject codes that reflect the program functions of the office, almost all offices will have codes and classifications for files dealing with general administrative office matters, such as Administrative Management (ADM), Personnel (PER), and Budget (BUD).

Index to the Subject Outlines/Codes

The Subject Codes Index is a listing of the most common documents created by USAID users and it is intended as a guide where a particular document may be filed. Consider record values such as Legal, Fiscal, Administrative, and Program (historical) whenever faced with a decision of where to file official records. For example, if you work in the Office of the Chief Financial Officer and create a financial document, you are required to preserve such document for the period stipulated by the disposition schedules and this will take care of the Legal and Fiscal values. If the document relates to an Agency Program (i.e. Strategic Objective or Project), then an additional copy must be filed with the program files. In all cases, you may decide, in addition to those copies already filed, to keep an administrative file copy for reference purposes and you may use the Administrative Subject Codes as listed above.

The first column of the Index ("Subject" column) lists in alphabetic order each of the topics contained in the subject outline, along with synonyms and other terms under which information might be sought. The second column opposite these terms lists for each subject entry the file code symbol under which papers on that subject will be filed.

Subject Outlines/Codes Index (PDF)

Setting up Subject File Codes

    File Group Codes

    Primary subject outlines are identified by a 3-letter file code, such as "Agriculture" being coded as "AGR". The secondary breakdown, known as files group codes

or subject codes, are identified by the primary subject outline, followed by a numeric code (i.e., AGR 4) which further breaks the subject outline into other related areas. For example, "Crop Production," a subdivision of "Agriculture," is identified by the file group code "AGR 4."

The Subject Outlines/Codes cover subdivisions to the secondary level only. Individual offices may create tertiary level divisions. An example of a tertiary level file group code is HLS 7.2 or AGR 4.1

Use only the chapters in the Subject Outlines that pertain to your office. Set up a folder with a primary subject file group code for papers that don't fit into any of the secondary subjects or that relate to two or more of the secondary subjects. This makes cross-referencing between subdivisions within a primary subject unnecessary. If a paper involves more than one secondary topic in a primary subject file group, file it at the next higher classification level. Use secondary and tertiary breakdowns only if the primary subject has been used and there is a need to file 10 or more documents.

Folders

a. Use the standard USAID Kraft file folders, square cut, scored to indicate label position.

b. For rarely used subjects it may be necessary to prepare only a primary folder. All documents on the primary subject area will then be filed in this folder. The primary folder can be subdivided into secondary file group codes, as volume increases or user need dictates.

Labels

a) Use pressure sensitive labels for subject files. Yellow-banded labels are required for official files. Working files, when kept, are labeled with green-banded labels.

b) Type the file group code and title on the label directly below the colored band. Type them exactly as shown in the Subject Outlines in Appendix A. Subject files are cut off and started anew each fiscal year (type the fiscal year in the lower right corner) See the samples below:

Placement of Filing Codes on Label

AGR AGRICULTURE
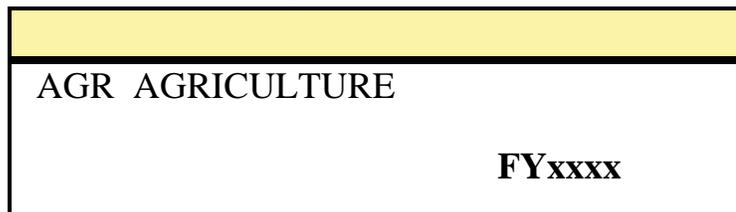
                    FYxxxx

AGR 4 CROP PRODUCTION
FYxxxx

AGR 4.1   Crop Production
(WINTER WHEAT)   **FYxxxx**

Positions of Labels on Folders

The USAID filing system provides for standard placement of labels on folders. The primary label is placed in the left position, secondary label in the center position and tertiary label in the right position.

AGR AGRICULTURE	AGR 4 CROP PRODUCTION	AGR 4.1 CROP PRODUCTION
FYxxxx	**FYxxxx**	(WINTER WHEAT) **FYxxxx**
	(FILES FOLDER)	

Subject Expansion Files

Subject expansion files consist of all subject breakdowns given by individual offices beyond the categorizations taken from the Subject Outlines. These can include further subject breakdowns, such as the example "Winter Wheat" above. Expansion files may also include files broken down by country or numerical scheme, as well as by activities, organizations, or events. The Description of Records in the Subject Outlines may be used to provide guidelines for expanding classification. The basic requirements for subject expansion filing are:

- Show the file group code and title of the subject breakdown, on the top line of the file labels.
- Show the expanded heading, such as number, country, subject breakdown, or event, in parentheses on the second line. The expanded heading identifies a further subdivision of the main subject breakdown.

Cutting-off Subject Files

All subject files are cut off at the end of the fiscal year. Following this practice will create "blocks" of files by fiscal year, which facilitates research and later disposition. Subject files are generally kept for the current year, plus two prior fiscal years, although some subject files are kept longer. Consult the Records Disposition Schedule for specific retention periods.

Depending on available filing equipment, the cut-off file folders may be filed behind the current fiscal year subject files or moved to separate cabinets.

Classifying Documents to Be Placed in Subject Files

Marking

Mark papers for subject files in the upper right corner with the appropriate file codes from your office files plan. Chapter 3 of the Records Management Reference Manual provides guidance for the preparation of the files plan. When marking a category that has not yet been included in the files plan, consult the Subject Outlines.

Sorting

Separate official file documents from working file papers. Keep case file documents separate from materials for the subject files.

Assembling

Assemble all the papers to be filed within each primary file group code. Then, within each primary file group code, assemble all the papers to be filed within each secondary or expanded file group code. Then file the papers chronologically within each subject breakdown. Place the latest date on top. Related papers should be stapled or otherwise fastened together.

Disposition of Subject Files

When considering the disposition of Subject Files, see the USAID Disposition Schedules and look within the following chapters to find the best match for your particular record. Should you need further assistance, contact your assigned Records Management Client Analyst in the Information and Records Division (M/AS/IRD).

AID/Washington:

Chapter 1: **Records Common to Most Offices**

Chapter 2: **Records of the Administrator and Assistant Administrator**

USAID Missions:

Chapter 25: **General Records**

Chapter 26: **Project Assistance Records**

Note: The Records Management staff recognizes that this listing of Subject Outlines/Codes is a bit outdated and we welcome your input as to any recommended deletions, additions, or revisions. Please contact your **M/AS/IRD Client Analyst** with your comments, ideas, and recommendations.

ADMINISTRATION MANAGEMENT

Instructions: Use for material on the organization, functions, management, and emergency planning of the Agency; and administration coordination and relations with other Federal agencies and with cooperative service organizations of host governments. Includes paperwork, automation, and other management systems and programs. Material concerning specific administrative areas and where pertinent, program areas, should be filed under appropriate subject classification, such as BUDGET, FISCAL ACCOUNTING, PERSONNEL, etc.

Subject Files	File Classification	Description of Records
ADMINISTRATIVE MANAGEMENT	**ADM**	**Material documenting Agency management techniques, concepts, and proposals, which is too comprehensive to be filed under one of the secondary breakdowns in this classification category.**
GENERAL POLICY AND PLANS	ADM 1	Overall policy and plans for the administrative management of the Agency. Some subjects which may be filed here include management improvement programs; cost reduction programs; management systems plans; and feasibility and workload studies.
GENERAL REPORTS AND STATISTICS	ADM 2	Reports and statistics which are too general to file under a more specific subject. Includes periodic administrative reports, reports submitted by USAID to Office of Management and Budget, and related feeder reports, analyses, and data. Subdivide by reporting unit, project control number, or title of report, if volume warrants.
MEETINGS AND CONFERENCES	ADM 3	Material regarding meetings and conferences which cannot be filed under a more specific subject. Subdivide by name, date, and location of meeting or conference, if volume warrants.
AUTOMATION	ADM 4	General correspondence, reports studies, planning, and training material regarding automation and its use in the Agency; includes information systems, systems policy and procedure, systems training, and word processing.
(Reserved)	ADM 5	(Reserved)
ORGANIZATION AND FUNCTIONS	ADM 6	History and background of the Agency and its offices, organizational charts, reorganization plans, and functional assignments. Includes opening and closing of offices and the coordination of functions within and between agencies. Subdivide by name of

Subject Files	File Classification	Description of Records
		office, USAID, or agency if volume warrants.
INSPECTIONS	ADM 7	Documentation which reflects policy, objectives, and guidelines for general administrative inspections, audits, and operational surveys. Includes field trips of personnel for briefing purposes. File inspections of specific functions under appropriate subject.
PAPERWORK MANAGEMENT	ADM 8	Papers documenting general plans and programs to reduce paperwork management systems and standards on creation, maintenance, use, and disposition of records; and the concept, design, and implementation of information management and retrieval systems. File material pertaining to a specific paperwork function under the appropriate subject heading. Files may consist of the following: • Policy and planning papers regarding development, review, and approval of any series of USAID directives. • Standards to simplify and speed the handling of mail and telegrams, Agency and non-Agency. • Correspondence and report files on communications administration and operations. • Standards and systems for organizing, maintaining, and disposing of files. • Feasibility studies to examine prospects for automation or data processing.
DOCUMENT AND INFORMATION SECURITY	ADM 9	Systems and procedures for protecting and controlling documents and information. Includes manuals, directives, plans, and reports reflecting policies and procedures developed in the administration and direction of the security program.
EMERGENCY PLANNING	ADM 10	Correspondence regarding administration and operation of the Agency's emergency planning program. Papers documenting A.I.D. policy and planning, and coordination with other agencies in the emergency planning program. Subdivide specific emergency planning programs if volume warrants.

AGRICULTURE

Instructions: This category is designed for all material regarding agriculture, including papers reflecting agricultural conditions or problems in cooperating countries; technical aspects of agriculture; and policy, procedures, and methods of implementing agricultural programs.

Subject Files	File Classification	Description of Records
Agriculture	**General**	**Data regarding agricultural technical aid aspects of the Foreign Aid program, including program purpose and concept, decisions or conditions affecting the course of its conduct, and planning, development, and implementation of agricultural programs and use of natural resources in cooperating countries.**
Agricultural Colleges and Universities	AGR 1	Correspondence, reports, evaluative and planning material regarding agricultural colleges and universities in cooperating countries and their relations to USAID program support and implementation. Includes experimental and research activities undertaken in connection with these institutions.
Agricultural Economics	AGR 2	Correspondence, reports, and evaluative and planning material regarding agricultural economics, farm management, marketing, distribution, and warehousing of unprocessed agricultural products.
Cooperatives and Credit	AGR 3	Correspondence, reports, and evaluative material regarding agricultural cooperatives and credit.
Crop Production	AGR 4	Correspondence, reports, and evaluative and planning material regarding crop and grain production; seed improvement; improvement of planting stock; agricultural use of radioactive material; narcotics; and weeds, diseases, and pests, affecting crop production.
Extension	AGR 5	Correspondence, reports, and evaluative and planning material regarding development of the agricultural extension programs and experiment stations; development of home economics, agricultural workshops, agricultural youth club programs; and farm buildings, farm mechanization.
Farms	AGR 6	Correspondence, reports, and evaluative material regarding farms, farm buildings, and farm mechanization.
Fisheries	AGR 7	Correspondence, reports, and evaluative and planning material regarding fisheries and aquaculture.
Forestry	AGR 8	Correspondence, reports, and evaluative and planning material regarding reforestation, deforestation, desert

Subject Files	File Classification	Description of Records
		ification, land capability, watershed protection, and woodlots.
Land	AGR 9	Correspondence, reports, and evaluative and planning material regarding land used for agricultural purposes; land distribution, including settlement, tenure, and reform programs; flood control; irrigation, drainage, and reclamation; range management and related water development activities; and soil conservation including soil surveys, analyses, and fertilization.
Livestock and Poultry	AGR 10	Correspondence, reports, and evaluative and planning material regarding livestock and poultry improvement.
Research	AGR 11	Agricultural research activities not classifiable under another subdivision of this outline.
Food Supply	AGR 12	Correspondence, reports, and evaluative and planning material regarding national and world food reserves, problems, shortages, and requirements.

BUDGET

Instructions: This category covers all phases of the Agency's budget activities; guidelines for and preparation of budget requests; review and revision of these requests; preparation of the Agency's submission to the Office of Management and Budget; preparation and presentation of the detailed Agency budget request to the Congress, and hearings before Congressional appropriations committees; copies and analyses of proposed approp riations bills and amendments, and the approved legislation; apportionment of the Agency's appropriated funds by the Office of Management and Budget, and administration of the approved budget.

Where it is useful to distinguish material regarding foreign currencies from those regarding dollars, case file within this category, adding "(FC)" to the established code.

Subject Files	File Classification	Description of Records
Budget	**General**	**Documentation of USAID policy and procedures governing budget administration, and reflecting policy decisions affecting expenditures for Agency Programs.**
Annual Budget Submission	BUD 1	Annual budget submission by each overseas post and each USAID/W organization entity. Includes instructions, assumptions, and guidelines for preparation, the budget request itself, supporting papers, and related communications.
Office of Management and Budget (OMB) Request	BUD 2	Consolidated Agency submission to OMB. Includes supplementary schedules, exhibits, and special data for OMB review.
Congressional Presentation	BUD 3	Documents the preparation of the detailed Agency budget request and its presentation to Congress, including supplementary schedules, exhibits, daily transcripts of hearings before Congressional committees, copies and analyses of proposed appropriation bills and amendments thereto, position papers on proposed legislation and appropriation acts, and requests for supplemental appropriations.
Tentative Program Level	BUD 4	Correspondence between USAID/W and overseas posts, and related data, supporting tentative program level.
Operational Year Funding Plan	BUD 5	Operating Year Budget (OYB) and Annual Administrative Funding Plan; and review and revision of these documents. Case file by country, region, or USAID/W organizational unit and/or by month or quarter if volume warrants.

Subject Files	File Classification	Description of Records
		It includes: • Documentation of distribution by the Office of Management and Budget of Agency appropriation and other funds available under legislative authorities. • Requests for and establishment of allotments to regional bureaus, headquarters, offices, and overseas posts for each activity. • Statement of Funds Available for Obligation, furnished USAID offices as planning device for controlling expenditures. • Requests for, establishment of, and control of numerical authorization of staffing levels. Includes employment limitations.

DEMOCRACY AND GOVERNANCE

Instructions: This category is designed for materials regarding elections and political processes, civil society, governance and decentralization, and rules of law and human rights in cooperating countries; Agency programs in development and administration of democratic institutions; technical aspects of democracy and governance area; and Agency policies, procedures and methods and methodologies to support, sustain and encourage democratic development.

Subject Files	File Classification	Description of Records
Democracy and Governance	**General**	**Correspondence, reports, and evaluative and planning material regarding democracy institutions, human rights and lawful governance, including program purpose and concept and decisions or conditions affecting the course of its conduct, NOT FILED IN INDIVIDUAL PROJECT OR STRATEGIC OBJECTIVE CASE FILES.**
Elections and Political Processes	DEM 1	Correspondence, reports, evaluative and planning material regarding programs for improving function and organization of the executive branches, judicial branches and the legislative branch of cooperating country governments; also, election planning and administration, political party development; domestic/international monitoring, voter education; and women's political participation process.
Rules of Law (Justice)	DEM 2	Correspondence, reports, evaluative and planning material regarding programs for improving: legal reform; administration of justice; and citizen's access to justice. Related to due process, equal access and constitutional guarantees.
Governance	DEM 3	General materials including correspondence regarding governance support: constitutions and legislative modernization; anti corruption initiatives; decentralization, and transparency in government, local capacity building; civil military relations, and public development and implementation.
Human Rights	DEM 4	Correspondence, studies, reports, evaluative and planning material regarding human rights issues, protection, and respect for human rights; supported institutions that advocate respect for human rights, and human rights education.
Civil Society	DEM 5	Correspondence, reports, and evaluation and planning material to provide support in cooperating countries regarding civic society such as civic groups, labor organizations, business groups and other non-governmental advocacy groups.
Information Media	DEM 6	General material, reports, and correspondence regarding independent media (TV, radio, press) including information on

Subject Files	File Classification	Description of Records
		censorship, legal constraints, frequency auctions, technology, and political reporting.
Civic Education	DEM 7	Correspondence, reports, and planning materials regarding civic educations to promote civic values and debate.

ECONOMIC AND FINANCIAL AFFAIRS

Instructions: This category covers basic economic and financial data and its analysis, and groups material according to how the long range assistance requirements of cooperating countries and regions are estimated and Agency assistance programs developed. EXCEPT: Material which properly furnishes background information in recognized areas of Agency technical assistance programs (i.e., sector analysis), which is filed in the appropriate functional primary category. See AGR, EDU, HLS, IND, PUB, SOC, and TRP.

Subject Files	File Classification	Description of Records
Economic and Financial Affairs	**General**	**Material regarding plans, proposals, and stated purposes of the collection and analysis of data on economic factors in aid recipient countries.**
Banking and Credit	ECF 1	General correspondence, statistical and other data and its analysis, regarding central, state and other government banking operations. Includes credit portfolios, loans, deposits, discounts and rediscounts, currency issuance, circulation, and commercial banking and credit operations in cooperating countries. Also statements of legal reserve requirements, reserve reports, time and sight deposits, and discounts on commercial and other paper.
Cooperating Country	ECF 2	Material regarding cooperating country central government case flow statements, revenues and expenditures, debt accumulation, and short term supplier credits. Material regarding cooperating country central government budgets, and individual ministerial (departmental) budgets. Case file and arrange alphabetically by name of ministry or department. Includes material on debt accumulation and burden.
Economic Analysis	ECF 3	Documentation regarding review, assessment and/or summary of overall economic situation. Includes retail and wholesale price indicators, budget and import data, foreign exchange tax results, cost of living index, trends in construction activity, reports of gross national product, consumption and production analyses, population, and other economic indications.
International Trade	ECF 4	Statistics/reports summarizing foreign trade of cooperating countries. Trade agreements. Reports of capital movements, military offset programs, payments reports, reports of trade with other countries, relations with common market groups, import quotas, blocked currencies, barter and bilateral trade, restrictions on trade, reports of foreign exchange reserves, free & restricted currency holdings, contraband activities and smuggling rings, their effects on local economy.

EDUCATION

Instructions: This category is designed for all material regarding education in cooperating countries; Agency programs in the development and administration of educational institutions, systems, and methods; material on technical aspects of education; and Agency policy, procedures, and methods of implementing programs in this field.

Subject Files	File Classification	Description of Records
Education	**General**	**Correspondence, reports, and evaluative and planning material regarding educational technical aid aspects of the Foreign Aid Program, including program purpose and concept, and decisions or conditions affecting the course of its conduct; and planning and development of educational programs in cooperating countries.**
Adult	EDU 1	Correspondence, reports, and evaluative and planning material regarding literacy tests, eligibility criteria for assistance to schools and elements of school budgets.
Education Institutes	EDU 2	Case file documentation of U.S. support of individual American-sponsored schools.
Curriculum Development	EDU 3	Correspondence, reports, and evaluative and planning material regarding curriculum development and samples of teaching materials designed for schools at various levels.
Elementary	EDU 4	Correspondence, reports, and evaluative and planning material regarding planning, development, and conduct of elementary education programs.
Fellowships	EDU 5	Correspondence, reports, and evaluative and planning material regarding the availability of fellowships and scholarships in schools in cooperating countries.
Higher Education	EDU 6	Correspondence, reports, and evaluative and planning material regarding development and conduct of programs at college and university level.
Library Operation	EDU 7	Correspondence, reports, and evaluative and planning material regarding library operation in cooperating countries.
Professional Education	EDU 8	Correspondence, reports, and evaluative and planning material regarding development and conduct of educational programs at the professional level. Case file by type of profession if volume warrants.
School Facilities	EDU 9	Correspondence, reports, and evaluative and planning material regarding existing schools, need for additional school facilities, school administration, and school construction in cooperating countries.

Subject Files	File Classification	Description of Records
Secondary	EDU 10	Correspondence, reports, and evaluative and planning material regarding development and conduct of programs to improve secondary education in cooperating countries.
Teaching Methods and Media	EDU 11	Correspondence, reports, and evaluative and planning material regarding teaching methods and media not included in project files. Includes audiovisual aids, radio and television, lecture material, textbooks, and other teaching media.
Vocational Training	EDU 12	Correspondence, reports, and evaluative and planning material regarding development and conduct of programs to improve vocational education in cooperating countries.
English Language	EDU 13	Correspondence, reports, and evaluative and planning material regarding development and conduct of programs for teaching English as a second language.

FISCAL ACCOUNTING & AUDIT

Instructions: This category groups together material regarding the collection, disbursement, and accounting for Agency funds; the operation of accounting and fiscal reporting systems; accounting procedures for special programs; audit, management inspection, and investigation of Agency operations; payroll operations and allied functions of a fiscal nature. A file station which needs to distinguish records of foreign currency transactions from transactions in dollars may case file within any secondary or tertiary subdivision of this category, adding "(FC)" to the established code.

Subject Files	File Classification	Description of Records
Fiscal Accounting & Audit	General	Correspondence or subject files maintained by operating units responsible for accounting, pertaining to their internal operations and administration.
Accrual Accounting	FIS 1	Accounting manuals, procedures, and related communications. Material regarding accounting activities, reflecting discussion, adjustment, or particulars of specific accounts or accounting systems. Material regarding administrative, project and nonproject expenses, representing supporting documentation for accrued liability reporting requirements.
Appropriation Allotment Accounting	FIS 2	- Allotment records, showing status of obligations and allotments under each authorized appropriation. - Periodic reports on the status of appropriation accounts and apportionments, Advice of Charge Files, and papers documenting administrative reservations. - Liquidated obligations files, consisting of travel and transportation requests, requests for purchase, purchase orders, and other administrative obligations, and obligation copies of program documents, such as procurement authorizations, foreign currency authorizations, transfer authorizations, procurement authorizations/requisitions, project implementation orders, technical assistance authorizations amendments, and related correspondence. - Administrative correspondence, reports, and other data regarding voucher preparation and management and related accounting and disbursing operations. - Maintain individual disbursement vouchers as a separate case file group by Bureau voucher or schedule number.

Subject Files	File Classification	Description of Records
Audit and Inspection	FIS 3	Planning papers and communications which document policies and procedures under which the Agency's audit program is operated. Procedures for conduct of end use checks on commodities financed under Agency programs. Documentation for individual audits should be case filed.
Bank Financing	FIS 4	Material regarding letter of commitment financing of Agency commodity transactions, technical service contracts and loans. Specific loans or grants are case filed.
Billing and Collection	FIS 5	Documentation regarding billing and collection, and the availability, collection, custody, and deposit of funds.
Bonding of Employees	FIS 6	Federal personnel surety bond files.
Claims	FIS 7	Correspondence and memoranda expressing policy or guidance in handling of claims. Case file individual claims.
Codes	FIS 8	Notices and communications establishing allotment and appropriation symbols, and object classification codes.
Cost Accounting	FIS 9	Copies of cost accounting reports and related supporting papers. Ledgers, forms, and machine records used to accumulate data for use in cost reports.
Disbursing	FIS 10	Correspondence between USAID/W and overseas offices, giving guidance and explanation on disbursement matters.
General Ledger Accounting	FIS 11	Records used as posting and control media, subsidiary to the general and allotment ledgers, and not otherwise provided for in this schedule.
Payroll Procedures	FIS 12	General correspondence files pertaining to routine matters of administration and operation, preparations and processing of payrolls. Case file payroll actions and arrange alphabetically, as best suits users' needs
Reports	FIS 13	General documentation of the policies and procedures governing the Agency's financial reporting program. Case file by individual reports.
Special Programs Accounting	FIS 14	Documentation of Agency policy governing accounting procedures for the special programs administered. Programs in this file include: cash grants, counterpart funds, investment guaranties, loans and trust funds. Case file as necessary.

FOOD FOR PEACE

Instructions: Use for papers on Agency programs to furnish available agricultural commodities to developing countries by sale, grant, or donation as authorized under the Agricultural Trade Development and Assistance Act of 1954, as amended, and the Food for Peace Act of 1966 (Public Law 480).

Subject Files	File Classification	Description of Records
Food for Peace	**General**	**Records documenting the development of Standards, policies; procedures and the coordination of special programs under Title I, II, III, and IV of P.L. 480; and program coordination with other agencies.**
Commodities	FPC 1	Selection criteria for designation of types and quantities of surplus agricultural commodities available for sale, grant, or donation under P.L. 480. Subdivide by name of commodity, if volume warrants.
Famine Relief and other Assistance	FPC 2	General correspondence relating to grants of surplus food under Title II, Famine Relief, and other assistance, direct to host government, and including such topics as grants in connection with urgent or extraordinary needs (e.g., natural disasters, such as floods, earthquakes) and emergency programs and grant assistance to needy peoples in underdeveloped countries which includes refugee and child feeding, school lunch programs, and payment kind in connection with development projects. Case file by program when volume warrants.
Foreign Currency Sales	FPC 3	Policy and procedural materials governing the sale of surplus agricultral commodities for foreign currencies, under Title I. Case file each sales agreement.
Interagency Staff Committee on P.L. 480	FPC 4	Materials documenting the purpose, organization, and objectives of the Interagency Staff Committee on P.L. 480.
Long Term Supply Contracts	FPC 5	Policy and procedural materials governing sales of surplus agricultural commodities for long term dollar credits or for convertible foreign currencies under Title IV. Case file each long term supply contract.
Voluntary Agency Program	FPC 6	Records regarding donations of agricultural commodities under Title III to needy peoples for school lunch programs, refugee and child feeding, and for urgent or extraordinary relief needs, conducted by nonprofit voluntary agencies. Food for Peace program related material concerning

Subject Files	File Classification	Description of Records
		Advisory Committee on Foreign Aid.
Barter and Exchange	FPC 7	Papers on the barter or exchange of agricultural commodities for strategic material and other goods and equipment needed by the United States. Case file by name of strategic material or equipment, if volume warrants.

GENERAL SERVICES

Instructions: This category groups together records relating to internal service operations; acquisition, allocation, and administration of both office and residential space; building maintenance; safety and protection; administration and accountability for supplies and equipment; motor pool operation and maintenance; library, printing, reproduction, and distribution services provided for Agency internal operating purposes.

Subject Files	File Classification	Description of Records
General Services	**General**	**Material documenting the framework of design concept and operating functions of the division responsible for space and property management.**
Building Services	GRS 1	General correspondence relating to the provision of basic services for government-owned or leased buildings. Includes policy and procedures for obtaining maintenance, telephone, security and cleaning services. Case file by individual service area as needed.
Equipment and Supplies	GRS 2	General documentation regarding administration of and accountability for supplies and equipment, including loss, theft, and destruction and disposal by condemnation, sale or transfer. Case file sale of surplus property.
Library Service	GRS 3	General correspondence regarding operation of USAID-owned libraries.
Motor Pool Operations	GRS 4	General correspondence documenting policy and procedure for acquisition, use, maintenance and disposition of government-owned vehicles. Case files for individual vehicles should be used as necessary.
Reproduction and Distribution Services	GRS 5	Files of printing and distribution unit regarding administration and operation of the office.
Space	GRS 6	Material regarding space standards and arrangements; allocation, utilization, occupancy, and release of space; building plans and related records; agency ownership, custody, or rental of office space, and maintenance and repair of both individual office residential units. Maintain case files for each individual building or residence owned or leased.

HEALTH AND SANITATION

Instructions: This category is designed for material regarding health and sanitation in cooperating countries; Agency activities in the administration and conduct of medical and public health programs; family planning, population, and technical aspects of public health, medicine, and sanitation; and Agency policy, procedures, and methods of implementing programs in these fields.

Subject Files	File Classification	Description of Records
Health and Sanitation	**General**	**Correspondence, reports, and evaluation and planning material regarding health and sanitation technical aid aspects of the foreign aid program; correspondence, reports, and planning material relating to multilateral funding of Health and Sanitation programs and projects in host countries, including program purposes and concept and decision or conditions affecting the course of its conduct.**
Development of Health Personnel	HLS 1	Correspondence, reports, and evaluation and planning material regarding health and sanitation training of nationals of cooperating countries; administration and operation of medical, nursing, and health schools in cooperating countries. Case file by name of school as needed.
Diseases	HLS 2	Correspondence, reports, and evaluative and planning material regarding the detection, spread, and treatment of diseases and chronic health conditions in cooperating countries. Includes emergency medical activities; medical uses of atomic energy and drugs; and research into diagnosis, control, treatment, and eradication of diseases, including drug addiction.
Health Education	HLS 3	Correspondence, reports, and evaluative and planning material regarding activities for promotion of modern sanitation and disease prevention and control practices among populations of cooperating countries.
Health Facilities	HLS 4	Correspondence, reports, and evaluative and planning material regarding health centers, hospitals, clinics, laboratories, pharmacies, dispensaries, and mobile units in cooperating countries.
Nursing	HLS 5	Correspondence, reports,and evaluative and planning material regarding the quality and adequacy of nursing services in cooperating countries.
Nutrition	HLS 6	Correspondence, reports, and evaluative and planning

Subject Files	File Classification	Description of Records
		material regarding nutrition in cooperating countries. Includes programs to combat malnutrition, improve food, etc. File material concerning the overall nutrition program in this category. Use individual tertiary breakdowns for material regarding specific phases of the program.
Sanitation	HLS 7	Correspondence, reports,and evaluative and planning material regarding all aspects of environmental sanitation, sanitary engineering, and inspection activities. Use tertiary breakdowns for specific areas such as: design, construction, and engineering management of rural and urban community water supply systems, including water pollution and purification; industrial hygiene conditions in cooperating countries, and programs for their improvement; and control of insects and rodents that affect heath conditions in cooperating countries.
Research	HLS 8	Correspondence, reports, and evaluative material regarding health and sanitation research that cannot be filed under another breakdown in this outline. Includes periodic summaries of basic vital statistics used to support or verify findings relative to health and sanitation research in cooperating countries.
Population and Family Planning	HLS 9	Correspondence, reports, and evaluative material regarding birth control and family planning as means of coping with too rapid population growth, and related demographic studies. Case file by area of activity as volume warrants.

INDUSTRIAL DEVELOPMENT

Instructions: This category groups together material regarding industrial conditions in cooperating countries; their potential for development; technical and managerial aspects of industrial development; and procedures, policy, and methods of implementing industrial programs and projects.

Subject Files	File Classification	Description of Records
Industrial Development	**General**	**Correspondence, reports, and evaluative and planning material regarding industrial technical aid aspects of the foreign aid program, including program purpose and concept, and decisions or conditions affecting the course of its conduct. Includes mechanization of industries in cooperating countries.**
Aerial Photography and Mapping	IND 1	Correspondence, reports, and evaluative and planning material regarding map making and related ground and aerial surveys.
Cooperatives and Credit	IND 2	Correspondence, reports, and evaluative and planning material regarding developement of cooperatives and credit in cooperating countries. Includes industrial development banks and cottage industries.
Engineering	IND 3	Correspondence, reports, and evaluative and planning material regarding architecture, and engineering development programs in cooperating countries, which are not classifiable under other outlines.
Industrial Management and Controls	IND 4	Correspondence, reports, and evaluative and planning material regarding methods of establishing ownership, management practices, business ethics, corruption, profit sharing, business failures, bankruptcy, etc. Includes government ownership or control of business and industry and the expropriation or confiscation of national or foreign owned industry or property and restitution or compensation by the takeover government. Subdivide by type of industry or by name of company if volume warrants.
Manufacturing and Processing	IND 5	Correspondence, reports, and evaluative and planning material regarding manufacture of electrical equipment, forest products, meat processing, manufacture of textiles, milling, machinery reproduction and fabrication of metals. Includes fertilizer production and supply. Arrange alphabetically by type of industry

Subject Files	File Classification	Description of Records
		where volume warrants.
Marketing and Distribution	IND 6	Material covering trade fairs and marketing and distribution of processed dairy products, agricultural and forest products, in cooperating countries. Includes export promotion.
Mining	IND 7	Correspondence, reports, and evaluative and planning material regarding ore exploration, development, refining, and smelting; and oil exploration, extracting, and refining in cooperating countries. Case file by type of industry if volume warrants.
Nuclear Energy	IND 8	Correspondence, reports, and evaluative and planning material regarding the use of nuclear energy for industrial purposes in cooperating countries.
Power	IND 9	Correspondence, reports, and evaluative and planning material regarding development and planning for power production, distribution, operation, and management in cooperating countries. Include utilities.
Productivity	IND 10	Technical information on industrial productivity, including statistics, indices, and measurements, and concepts and techniques.
Research	IND 11	Communications regarding USAID policy, procedures, and operational guidelines for industrial research. Limited to activities not classifiable under other secondary or tertiary subdivisions of this outline. Includes industrial standards.
Service Industries	IND 12	Correspondence, reports, and evaluative and planning material regarding service industries in cooperating countries. Includes maintenance and repair industries; development and economic growth of tourism as an industry; and warehousing and storage facilities. Case file by type of industry if volume warrants.
Telecommunications	IND 13	Correspondence, reports, and evaluative and planning material regarding telecommunications programs in cooperating countries. Includes radio, telephone, and telegraph.
Energy Development and Production	IND 14	Correspondence, reports, and evaluative and planning material regarding the specific development of various types of energy; facilities used to produce energy for industrial and domestic consumption; construction, availability, and utilization of facilities; energy producing programs.

INFORMATION AND MASS COMMUNICATIONS

Instructions: Material regarding dissemination of information on Agency operations; liaison with news media; arrangement of speaking engagements; clearance of speeches and articles for publication; preparation of periodic reports to the Congress; and dissemination of important news developments to Agency officials. Includes material regarding the application of audiovisual and other mass communication techniques in support of Agency technical assistance programs, both in the development of technical publications and other training materials, and of media for mass communications in cooperating countries.

Subject Files	File Classification	Description of Records
Information and Mass Communications	**General**	**Material reflecting USAID information policy in the United States and in cooperating countries.**
Audiovisual Material	INF 1	Material regarding techniques of production, utilization of available indigenous material, analysis of effectiveness of various media; design of emblems and letterheads; exhibits displayed publicly to explain or promote USAID objectives; publicity activities of USAID, and production and use of films. Case file where volume warrants.
Briefing Material	INF 2	Correspondence brief files prepared for the Administrator and/or Assistant Administrators; general briefing material prepared by overseas offices; reference files maintained by press officers.
Communications Resource Centers	INF 3	Information services project case files of Communications Resource Centers.
Inquiries, Transmittals, Acknowledgements	INF 4	Acknowledgements, requests for and transmittals of publications, photographps, literature, etc., either within USAID or to/from the public.
Press, Radio, and Television	INF 5	Correspondence and reports documenting the use of press, radio, and television in support of Agency programs in cooperating countries, and in disseminating information about the program to the public. Transcripts of press conferences held by major Agency officials. Case files of clippings of feature stories on USAID programs or personalities. Home town news story releases on Agency personnel.
Public Information Programs	INF 6	Papers which document the establishment and conduct of programs to disseminate information to the populace of other countries, and such programs as Freedom Of

Subject Files	File Classification	Description of Records
		Information, and Privacy Act; all correspondence, reports, policy, and other data relating to the above.
Publications	INF 7	Papers documenting development, clearance, and control of Agency information publications for general public consumption; programs to provide books and other publications to developing countries and to assist in developing and expanding local writing, printing, publishing, and distribution capabilities and resources.
Special Events	INF 8	Coverage of ceremonies, anniversaries, awards, and official social affairs, which involve the Administrator or high USAID officials, or include officials or guests from foreign countries. Speeches on the subject of foreign aid made by USAID officials to foreign or U.S. audiences.

LEGISLATIVE AND LEGAL

Instructions: Use this category for material regarding legislation of interest to the Agency; legal opinions, and determinations made pursuant to such legislation; relations with the Congress and its Committees, and Congressional hearings and investigations relating to Agency activities; economic and technical assistance agreements with cooperating countries, and agreements with participating agencies; executive orders; and similar subjects of legal nature.

Subject Files	File Classification	Description of Records
Legislative and Legal	**General**	**Material regarding the basic organization and responsibilities of legislative and legal advisory service to the Agency.**
Agreements	LEG 1	Material regarding procedures, objectives, and conditions for entering of agreements between USAID and other parties, including agreements negotiated and administered by overseas posts. Case file agreements between United States and cooperating countries, representing the basis for Agency development assistance programs.
Congressional Relations	LEG 2	General material regarding Congressional liaison activities, including correspondence with the Congress, both Committees and individual members, involving statements of policy and explanation of policy decisions, administrative action, and special research and compilation. Correspondence with individual Congressmen is filed in accordance with the subject content of the communications, and cross-referenced to case files arranged alphabetically by name of Congressman.
(Reserved)	LEG 3	Reserved for future use.
Determinations	LEG 4	General correspondence regarding evaluation of specific program proposals as required by the Agency, enabling appropriations and other legislative acts, and decisions that their implementation is consistent with criteria established in such legislation.
Executive Orders	LEG 5	Case file formal Determinations and supporting papers. Executive Orders (signed by the President of the United States) which affect USAID program or administrative operations and responsibilities, maintained by the Office of General Counsel.
Foreign Assistance Act	LEG 6	Proposal, presentation, and analysis of legislation (and amendments thereto) establishing or affecting the foreign assistance program, USAID, and the policy guidelines under

Subject Files	File Classification	Description of Records
		which it operates. Includes exhibits and supplementary documentation which supports legislative proposals.
Legal Opinions and Decisions	LEG 7	Files of requests by USAID offices for legal opinions on laws and Executive Orders, and replies to such requests by the General Counsel or Regional Counsels. File individual requests and opinions in accordance with subject content.
Legal Seals	LEG 8	One example of each authorized legal seal or other device used in USAID/W, or overseas posts for identifying legally certified papers.
Legislation, U.S.	LEG 9	Legislative review files containing copies (other than Agency) of bills and laws, draft proposals and staff comments on proposed, existing, or revised legislation. Where volume warrants, case file papers regarding a specific law and arrange alphabetically by title of law, or numerically.
Patents	LEG 10	Material regarding trademarks, trade names, copyrights, etc., and the infringement or violation of rights, book privacy, etc., not made a part of claim files. Subdivide by type if volume warrants.

LOANS, GUARANTIES, AND PRIVATE ENTERPRISE

Instructions: This category is designed for material regarding the financing of development assistance programs through loans and private investment, and the Agency's investment guaranty program.

Subject Files	File Classification	Description of Records
Loans, Guaranties, and Private Enterprise	**General**	**Material regarding concepts, objectives, and explanation of policies in Agency's loan, investment guaranty, or promotion of private enterprise programs.**
Investment Guaranties	LGP 1	General correspondence regarding investment guaranties, including material regarding both extended and specific risk coverage, and investment guaranty ceiling. Procedures and guidelines governing the negotiation and approval of investment guaranty agreements with other countries. Case file country agreements files. Case file individual investment guaranty contracts and arrange alphabetically by name of contractor, or by contract number, as best suits users' needs.
Loans	LGP 2	Material documenting the concept, objectives, and goals of the Agency loan program. Procedures and guidelines covering negotiation, renegotiation, financial analysis, etc., of loan agreements, including standard language development for use in loan agreements. Case file by type of loan when volume warrants.
Private Enterprise	LGP 3	Material documenting the concept, proposals, and implementation of Agency activities designed to enlist non-governmental resources into economic development activities in cooperating countries. Includes U.S. investment incentives; studies of the development potential of geographic areas; and analyses of laws, regulations, and attitudes in cooperating countries which affect the prospects of attracting private capital to those countries, including such specifics as tax exemptions and other incentives.

ORGANIZATIONS, COMMITTEES, AND MEETINGS

Instructions: Use for material which cannot be filed under a specific subject in any other outline in this chapter. Folder labels must clearly indicate the technical area involved (e.g., OCM Family Planning FY XX) or the specific organization, committee, or meeting documented (e.g., OCM President's Committee on Population Growth, FY XX).

Subject Files	File Classification	Description of Records
Organizations, Committees, and Meetings	General	Substantive USAID-related material prepared by, for, or about organizations, committees, or meetings in which USAID is involved or which are involved in USAID programs.

PERSONNEL

Instructions: This category covers all phases of personnel administration, including position classification and standards; recruitment, appointment, placement and separation of employees; employee-management relations and necessary personnel services; orientation and training of employees; evaluation, promotion and incentive programs; and conditions of employment. Separate files may be maintained for material regarding local and third country national employees, using any portion of this category, by inserting the letters "LOC" or "TCN" after "PER" in the code, as appropriate. For example: salary scales for American employees are classified PER 3; for local employees, PER LOC 3; and for third country national employees, PER TCN 3.

Subject Files	File Classification	Description of Records
Personnel	General	Material regarding the administration and operation of personnel functions in USAID offices, not otherwise provided for in this schedule.
ATTENDANCE AND LEAVE	PER 1	General material regarding attendance and leave, including annual, home, military, court, and sick leave, extended hours and compensatory time procedures; and tours of duty and temporary duty (TDY).
AWARDS AND INCENTIVES	PER 2	Criteria, activities, and procedures governing the recognition of superior performance, length of service, creative effort, etc.; papers regarding determination of eligibility, selection, and ceremonies for various honor awards. Includes letters of commendation, Agency meritorious service citation, distinguished public service, and Presidential awards.
COMPENSATION	PER 3	Regulatory and procedural papers covering salary and wage scales, overtime, night and holiday pay, periodic and longevity step increases, and related correspondence. Allotment of pay, U.S. savings bonds; Government life, and hospital and medical insurance; withholding taxes; and final salary clearances.
CONDUCT AND DISCIPLINE	PER 4	Regulations, procedures, and general material on conflict of interest, insubordination, prohibited political activity, sale or barter of personal property abroad, local currency transactions of employees, acceptance of gifts or decorations, legal offenses of employees, etc.; and related disciplinary action, such as official reprimand and suspension.
DEPENDENT EDUCATION	PER 5	Material regarding assistance to schools organized at overseas posts for the education of

Subject Files	File Classification	Description of Records
		dependents of employees; education allowances and educational travel.
DIPLOMATIC RANK AND TITLE	PER 6	Material regarding policy on privileges and immunities extended to Agency employees by cooperating country governments.
EMPLOYEE MANAGEMENT RELATIONS	PER 7	Material regarding employee unions and similar organizations, and their activities; consultation with employees by management on personnel and other management matters; and handling grievances and appeals. File specific types of grievances and appeals under appropriate subject in outline.
EMPLOYEE SERVICES	PER 8	Material regarding activities of, or services to, employees. Includes commissaries, post exchanges (PX), and similar facilities; charitable civic and other similar contributory efforts and annual drives; and employee welfare organizations, such as recreation associations and credit unions.
EMPLOYMENT	PER 9	Material regarding initial appointment, reinstatement, preemployment after break in service, or conversion, without break in service, between Civil Service and Foreign Service rolls; and employment of retired annuitants. Includes administration of personal services contract employees; policy and procedures to ensure against discrimination in employment on basis of race, sex, creed, national origin, etc., and the detail of employees within the Agency, between the Agency and other Government agencies and international organizations; transfer, promotion, rotation, and assignment of employees; exercise of reemployment rights; assignment system procedures; and nomination of employees to Foreign Service posts. When volume warrants, establish case files for type of appointment (e.g., competitive service, excepted service, executive appointment, Foreign Service, Presidential appointment, resident staff, and temporary appointments).
EVALUATION	PER 10	Guidelines and standards, with related background and comment, used in appraisal and evaluation of classes of USAID employees for promotion. Includes probationary ratings, performance measurement and ratings, completion of assignment reporting and related appeal procedures.

Subject Files	File Classification	Description of Records
HEALTH	PER 11	Material regarding preemployment and other medical examinations, medical clearances and waivers; immunization and treatment of foreign service employees and dependents (including care in U.S. Government-operated hospital); first aid and other health room services; medical evacuation of foreign service employees.
INSURANCE	PER 12	Policy/procedural material on employee insurance, special issuances regarding coverage, terms, eligibility, or conditions related to any kind of employee insurance recognized or administered by the Agency.
ORIENTATION AND TRAINING	PER 13	Material documenting the concept and detailed content of employee development programs, including description of courses, sponsors, sample schedule of classes, classroom work, conferences, workshops, supervised practice, etc., by this Agency or other agencies or educational institutions, etc. When volume warrants, case file and arrange alphabetically by type of training program or name of training agency or institution.
PERSONAL STATUS	PER 14	General material concerning Agency policies and procedures relative to the personal status (as opposed to employment status) of employees. Include such items as biographic data on marriage, divorce, name change and dependency status, present position, or assignment, etc.
POSITION CLASSIFICATION CSC	PER 15	General material regarding administration, decisions affecting classification work, classification standards problems, activity reports, and general memoranda. Includes procedures for appeals to USAID/W and the Civil Service Commission.
RETIREMENT	PER 16	Material regarding personnel retirement, correspondence between personnel & FS employees on routine inquiries and assistance regarding retirement.
SECURITY	PER 17	Correspondence files regarding administration and operation of routine personnel security matters, including investigation and clearance procedures covering loyalty, security, and suitability of Agency employees and their dependents; and applicants for employment. Includes fingerprinting and ID cards.
SEPARATION	PER 18	General correspondence regarding Agency policy and procedures covering employee resignation, separation

Subject Files	File Classification	Description of Records
		for cause (removal), death, and departure under special legislative and other authorities, such as Selection-Out; and reduction-in- force (RIF).
STAFFING	PER 19	General material regarding authorized staffing levels and personnel strength.

PROCUREMENT AND CONTRACTING

Instructions: This category covers policy, procedures, regulations, and operations regarding procurement of commodities, services, and supplies for Agency assistance programs and for administrative needs.

Subject Files	File Classification	Description of Records
PROCUREMENT AND CONTRACTING	**GENERAL**	**Correspondence, reports, and evaluative and planning material regarding the development of procurement standards, policies, and procedures.**
AUTHORIZATION	PRC 1	General correspondence regarding authorizations. Agreements and related papers reflecting procurement relationships with other U.S. Government agencies. Includes procurement authorization control; designation of private or public agencies to implement procurement transactions and special procedures governing purchasing activities of each; and procedures for preparation and use of procurement documents, such as procurement authorizations, project implementation orders, and purchase orders.
COMMODITIES	PRC 2	General correspondence and memoranda regarding designation of commodities by code, and use of or adjustment to codes. Commodity procurement controls. Arrival accounting, damage and shortage procedures, and commodity import processing.
CONTRACTS	PRC 3	Policy and procedural material governing contracts. Includes standard provisions established for inclusion in all contracts; responsibilities of contract representatives; preparation of invitation to bid, and ensuring availability to all bidders; lists of acceptable bidders and routine inquiries and requests for placement on bid lists;

Subject Files	File Classification	Description of Records
		background, capabilities, and eligibility of contractors; contract negotiation and award. Case file papers regarding awarding of specific contracts. Source limitations in commodity procurement, including "buy American" policy; and ownership of commodities financed under USAID programs.
DOCUMENTATION	PRC 4	General material regarding papers required to fully document procurement transactions.-
INSURANCE	PRC 5	Material regarding insurance financed under Agency procurement programs, including general average contributions.
MARKING REQUIREMENTS	PRC 6	Correspondence regarding design of emblems, labels, and symbols used to publicize and identify Agency activities. Waivers of marking requirements, not otherwise case filed.
SHIPPING SERVICE	PRC 7	Correspondence, reports, and evaluative and planning material regarding procedures, policies, and operations associated with the transportation of commodities financed under Agency programs. File material regarding a specific commodity transaction with other papers documenting the transaction, and arrange by commodity document number.
TRIANGULAR TRANSACTIONS	PRC 8	Papers documenting background, origin, procedures, and policies of triangular trade program.
U.S. GOVERNMENT OWNED PROPERTY	PRC 9	Policies, procedures, and criteria for acquiring and using U.S. Government-owned excess property in Agency programs. Agreements with cooperating countries, international organizations, and nonprofit relief agencies for utilization of domestic excess property. Case files concerning acquisition by host countries and voluntary agencies.
PRIVATELY DONATED PROPERTY	PRC 10	General material on property privately donated for use in development assistance programs. Includes Agency conditions of acceptance.

PROGRAM DEVELOPMENT, EVALUATION, AND RESEARCH

Instructions: This category concerns the substantive development of Agency programs, as distinguished from financial planning and management of program activities associated with formulation and administration of the Agency budget. It includes policy and procedural guidelines which provide the basis for detailed program planning; criteria for selection of the type of assistance most appropriate to the needs of a cooperating country or area; research into new techniques for economic and social development; evaluation of program effectiveness; and information on assistance programs in developing nations by other countries, other U.S. Government agencies, and international organization. EXCEPT: Project Files. Establish a case file to provide complete documentation for each project and arrange as prescribed in this chapter.

Subject Files	File Classification	Description of Records
PROGRAM DEVELOPMENT, EVALUATION, AND RESEARCH	**GENERAL**	**Correspondence, reports, and evaluative and planning material regarding program feasibility, development and approval, not filed in individual project files.**
COUNTRY ACTIVITIES	PRM 1	Policy, procedural, and guidance material governing the development of USAID programs for cooperating countries, and schedules of submission. Includes correspondence between USAID/W and overseas offices regarding formulation and coordination of technical aid programs in underdeveloped countries; analysis of problems in identifiable regions within cooperating countries, and proposals for program activities; country program assistance plans; Country Assistance Strategy Statement (CASS); Long-range Assistance Strategy Statement (LASS); planning documents; project, sector or goal plans. Case file by country or activity as volume warrants.
INTER-REGIONAL	PRM 2	Correspondence/memoranda relating to formulation and coordination of technical aid programs in designated geographic regions which have broader geographic scope than is encompassed by established regional concepts. Includes statements of purpose, scope, and objectives of inter-regional technical aid activities; requests and approval of substantive program activities, applicable to interregional programs and statements of organization & technical application as related to interregional activities.

Subject Files	File Classification	Description of Records
REGIONAL ACTIVITIES	PRM 3	Correspondence relating to general program and backstopping activity extending beyond the geographic limits of a given country, but within regional boundaries established by the Agency (Africa, Asia, Latin America). Includes formal statements of purpose, scope, and objectives of regionally administered technical aid activities; regional program plans, appraisals, and evaluative documents; and project, sector, or goal plans.
PROGRAM EVALUATION	PRM 4	General material regarding policies and procedures for review and assessment of methods of providing assistance and appraisal of effectiveness of Agency programs. Case file individual evaluations.
PROGRAM METHODS	PRM 5	General material regarding methodology and types of programs; criteria for determining the method of financing and the administration of capital assistance projects; policy and procedural material regarding selection of program assistance as an Agency method of providing nonproject assistance and selection of technical assistance as a method of program implementation.
PROGRAM RESEARCH	PRM 6	Correspondence regarding overall activities in the exploration of new methods of program implementation. File material documenting individual research projects under appropriate subject.
OTHER ASSISTANCE PROGRAMS	PRM 7	Correspondence, memoranda, minutes of meetings, studies, and position papers regarding USAID participation or interest in reviewing programs and coordinating Agency and U.S. position before international organizations and cooperating committees. Includes arrangements and conditions for consortium agreements or multilateral financing of foreign aid activities; foreign assistance and USAID liaison with such organizations; programs of UN and its affiliated organizations; foreign assistance activities of other U.S. Government agencies, and other nations; student exchange and U.S. Exchange programs; Grants-in-Kind and Grants-in-Aid files and related papers; and background information on overseas activities of foundations, educational institutions, nonprofit voluntary agencies, etc.
OTHER ASSISTANCE	PRM 7	Case file by name of organization or country as need

Subject Files	File Classification	Description of Records
PROGRAMS		and volume dictates.

PUBLIC ADMINISTRATION

Instructions: Use for papers on public administration, including Agency policy, procedures, and methods of implementing and coordinating public administration programs in cooperating countries.

Subject Files	File Classification	Description of Records
PUBLIC ADMINISTRATION	**GENERAL**	**Correspondence, reports, and evaluative and planning material regarding public administration technical aid aspects of the foreign aid program, including program purpose and concept and decisions or conditions affecting the course of its conduct.**
ADMINISTRATIVE SERVICES	PUB 1	Correspondence reports, and evaluative and planning material regarding office management; paperwork management assistance to cooperating country governments and assistance in supply management.
BUDGETING AND FINANCE	PUB 2	Correspondence, reports, and evaluative and planning material regarding promotion of budget and finance management programs; better accounting and audit operations; administration and management of cooperating country government banking, currency and credit activities, bank examination systems, monetary reform, currency control and stabilization, development plans and overall economic policies; and procedures for budget formulation and administration.
GOVERNMENT ORGANIZATION AND FUNCTIONS	PUB 3	Correspondence, reports, and evaluative and planning material regarding programs for improved function and organization of the executive branches of cooperating country governments, including ministries, agencies, government corporations, central/ provincial/local government relations; judicial branches; and the legislative branch.
(Reserved)	PUB 4	
PUBLIC PERSONNEL ADMINISTRATION	PUB 5	Papers regarding programs for the improvement of public personnel administration in cooperating

Subject Files	File Classification	Description of Records
		countries, including recruitment and testing, classification, pay, personnel legislation, and civil service training and activities.
(Reserved)	PUB 6	
SCHOOLS OF PUBLIC ADMINISTRATION	PUB 7	Papers regarding programs for the improvement or establishment of schools of public administration, and institutes and schools of business administration, in cooperating countries.
STATISTICAL METHODS AND ACTIVITIES	PUB 8	Papers regarding programs for the improvement of cooperating countries' statistical methods and activities, including strengthening of organization and procedures for collection, analysis, and publication of statistical data.

SCIENCE AND TECHNOLOGY

Instructions: Use this category for material concerning science and technology programs, technical assistance activities employing applied science and engineering methodologies to advance economic and social development; assistance to host countries in acquiring modern technologies, capabilities, and expertise; and host country science and technology policy, programs, and operations.

Subject Files	File Classification	Description of Records
GENERAL POLICY, PLANS AND PROGRAMS	**GENERAL**	**Correspondence, memoranda, reports, and studies regarding the formulation and approval of the scientific and technology programs and their coordination with the other USAID programs.**
NARRATIVE AND STATISTICAL REPORTS	SCT 1	General science and technology reports and statistical documents not filed under more specific subject headings. Includes annual narrative and statistical reports.
ORGANIZATIONS, COMMITTEES, AND MEETINGS	SCT 2	General organizational items not filed under more specific file subjects. Includes agenda and minutes of USAID/S&T staff meetings. Subdivide by name of organization or committee (e.g., White House Advisor, National Bureau of Standards, World Bank, etc.).
RESEARCH	SCT 3	General correspondence, evaluative material, and other data on research centers and laboratories. Case file scientific and technical research reports and related data.
SCIENCE AND ENGINEERING	SCT 4	General correspondence and routine evaluative and administrative material for policy, plans, and programs on science and engineering.
NATIONAL SCIENCE POLICY	SCT 5	General correspondence relating to host country policy, plans, and programs for science and technology utilization for country development.
SCIENTIFIC AND TECHNICAL INFORMATION	SCT 6	Material regarding cooperating country requirements for scientific information, data, reports, publications, information exchange; acquisition, processing, and use of technical information, facilities, and skills.
TECHNOLOGY TRANSFER	SCT 7	Material on assistance to cooperating countries in adopting modern technologies, which cannot be filed

Subject Files	File Classification	Description of Records
		under a specific technical assistance category.
NATURAL RESOURCES	SCT 8	Correspondence and memoranda of a general nature on natural resources in cooperating countries.
MARINE SCIENCE AND FISHERIES	SCT 9	Correspondence, memoranda, reports, studies, and other data on marine science and fisheries policies, plans, and programs.
FORESTRY	SCT 10	Correspondence, memoranda, reports, studies and other data on host country programs for more effective management and use of forestry resources.
PUBLIC WORKS TECHNOLOGY	SCT 11	Correspondence, memoranda, reports, studies and other data on assistance in reducing building and construction materials.
HOUSING TECHNOLOGY	SCT 12	Correspondence, memoranda, reports, studies, and other data on innovative approaches to reducing costs; improving performance and utilizing local materials and labor in the construction of housing and related community buildings in developing countries.
COMPUTER TECHNOLOGY	SCT 13	Reports, correspondence, and surveys on applications of computer technology to cooperating country development needs, computer data processing systems; investment, manpower, and training requirements.
COMMUNICATIONS TECHNOLOGY	SCT 14	Reports and studies on low-cost telecommunications requirements; radio and television systems; educational applications; communications satellites.
TRANSPORTATION TECHNOLOGY	SCT 15	Reports and studies of efforts of cooperating countries to expand transportation technology.
INDUSTRIAL TECHNOLOGY	SCT 16	Correspondence and memoranda on attempts by cooperating countries to expand industrial base, small-scale industry, etc.
REMOTE SENSING	SCT 17	Correspondence, memoranda, reports, studies, and other data on the Earth Resource Survey Programs.
ENVIRONMENT	SCT 18	Correspondence, memoranda, reports, studies, and other data on control and abatement of earth, water, and air pollution; and assessing undersirable effects of modern technologies on the environmental safeguards. Includes papers and documents concerning short-term and long-term resource management as well as papers providing information on USAID's environmental programs and policies.

Subject Files	File Classification	Description of Records
EDUCATION AND UNIVERSITY ORIENTATION	SCT 19	Studies and surveys on encouraging more effective orientation of university, science and engineering programs to development needs in lesser-developed countries.
ENERGY	SCT 20	Policy or procedural, planning, and guidance material governing the development of energy programs and projects in under-developed countries. Includes general research and development on geothermal, low power, nuclear, and solar energy, as well as materials dealing with alternative forms of energy, such as bio-gas, biomass, hydro-power, and photovoltaic technology. Case file by individual name of project or form of energy if volume warrants.
LAWS, REGULATIONS AND AGREEMENTS	SCT 21	Reports and studies on legislative programs on legal matters pertaining to science and technology.

SOCIAL AND INSTITUTIONAL DEVELOPMENT

Instructions: This category is designed for all material regarding the social structure and cultural patterns of cooperating countries and activities among local populations to initiate and implement self-help development programs. Includes background information and USAID policy, procedures, and operations in implementing programs in the fields of community development, cooperative organization and management, housing, labor affairs, and social welfare.

Subject Files	File Classification	Description of Records
SOCIAL AND INSTITUTIONAL DEVELOPMENT	**GENERAL**	**Correspondence, reports, and evaluative and planning material regarding social and institutional development technical aid aspects of the Foreign Service program, including program purpose and concept, and decisions or conditions affecting the course of its conduct.**
COMMUNITY DEVELOPMENT	SOC 1	Correspondence, reports, and evaluative and planning material regarding Agency programs for raising living standards and promoting political stability at the community or village level, and involving participation of local populations in planning and implementing self-help undertakings. Includes: financial markets, alternative strategies, and methodologies.
COOPERATIVES	SOC 2	Correspondence, reports, and evaluative and planning material regarding development and promotion of cooperatives. Material regarding specific cooperative organizations may be case-filed and arranged alphabetically by name of organization if volume warrants.
CULTURAL AND SOCIAL FACTORS	SOC 3	Correspondence, reports, and evaluative and planning material regarding racial, tribal and caste relationships; analyses of ethnic groups and other sociological and anthropological studies. Includes customs, manners, art, culture, and religion.
HOUSING AND URBAN DEVELOPMENT	SOC 4	Correspondence, reports, and evaluative and planning material regarding housing and urban development, housing design, facilities and specifications; self-help housing construction and utilization, availability and utilization of building materials, and construction of buildings; condition or extent of cooperative housing; housing finance, management of savings and loan associations, and mortgage insurance; housing and urban development programs; village and city planning, finance,

Subject Files	File Classification	Description of Records
		labor markets, migration, and workers' participation in development.
LABOR	SOC 5	Correspondence, reports, and evaluative and planning material regarding labor development. Includes cooperating country government attitudes and policies and makeup of labor forces; labor information programs; industrial relations; enforcement of labor standards; availability of skilled and unskilled laborers; utilization of training, projections of future requirements, and distribution of manpower; disability, retirement, and unemployment insurance programs; trade union administration; techniques of collective bargaining; and union-sponsored activities.
SOCIAL SERVICES	SOC 6	Correspondence, reports, and evaluative and planning material regarding social services, including maternal and child care, group work, community service organizations, vocational rehabilitation, and programs for relief of refugees and migrants.
WOMEN IN DEVELOPMENT	SOC 7	Programs and projects reflecting the role and function of women in less developed countries. Strategies for benefiting women; sex disaggregated data collection; gender-specific social soundness analysis and/or economic analysis; programs where special efforts are required due to cultural conditions; funding less developed country women for training.
DISASTER ASSISTANCE	SOC 8	Concerns natural and man-made disasters on a world-wide basis. For example, matters concerning earthquake reconstruction, refugee assistance, delivery of life support goods and services when and where needed, and enhancement of recovery by rehabilitation programs.

TRAINING

Instructions: This category covers Agency activities, policies, and procedures related to the training of cooperating-country nationals, including selection of participants, planning and implementation of their training courses, and follow-up to ensure optimum utilization of training and evaluations of the training program as a whole. Maintain case files of participant or training projects as a separate file group, arranged alphabetically by name of participant or by project number.

Subject Files	File Classification	Description of Records
TRAINING	**GENERAL**	**Substantive policy, planning, program and evaluative material documenting the development of methods and procedures for implementation of the participant training program. Routine administrative and evaluative correspondence regarding any phase of participant training program.**
ALLOWANCES	TRG 1	Material regarding training allowances for expenses, maintenance, books, travel, equipment, and supplies.
AREA OF TRAINING	TRG 2	Correspondence and reports relating to policy and procedures on third-country training and host country training, including information and evaluation of facilities. Papers regarding policy on training in the United States.
CONFERENCE ATTENDANCE	TRG 3	Papers regarding conferences attended by participants in connection with training programs, indicating number in attendance, dates, places, and itineraries.
COURSES	TRG 4	Material describing training courses available to participants, including prospectuses. If volume warrants, case file by technical activity covered by the courses.
DURATION	TRG 5	Papers regarding length of training programs and guidelines on desired starting and terminal dates.
EVALUATION	TRG 6	Reports and studies used to evaluate effectiveness of training methods and techniques in specific fields of activity, country, or overall participant training program. Case file by individual evaluation study or project if volume warrants.
FACILITIES	TRG 7	Liaison and strengthening of relationships with organizations that provide training, hospitality, community activity, or services to participants. Case file by individual facilities, as needed.
FOLLOW-UP OF	TRG 8	Correspondence and related material regarding methods to ensure continuing contact with participants after training to

Subject Files	File Classification	Description of Records
PARTICIPANTS		develop maximum potential of individual participants.
PROCESSING	TRG 9	Policy, procedures, and guidance papers regarding processing of individual participants. Papers regarding policy, procedures, and guidance in preparation and use of PIO/P's. Mission pre-departure briefing, port of entry and reception procedures, and orientation in country of training; participant and dependent travel, purchases, ownership and operation of automobiles, interpreter services, insurance, waiver of visa requirements, and handling of illness and death cases.
TRAINING NOTICES	TRG 10	Participant Training Directories, newsletters, and other issuances prepared for use of participants, S&T/IT, and other USAID staff.
SELECTION	TRG 11	Policy and procedural papers regarding criteria for selection of participants, including security clearances, academic requirements, etc.
SPONSORS	TRG 12	Material regarding training of cooperating country nationals under other than direct Agency administration and/or financing. Includes training arranged or administered by the Agency but financed from other sources.
TRAINING AIDS	TRG 13	Examples of training aids developed by the Agency, including books, translations, audiovisual, and other training media.

TRANSPORTATION

Instructions: This category groups together material regarding transportation systems in cooperating countries; existing transportation facilities or problems; technical aspects of air and surface transportation; and procedures, policies, and methods of implementing Agency capital and technical assistance programs in this field of activity.

Subject Files	File Classification	Description of Records
TRANSPORTATION	**GENERAL**	**Correspondence, reports, and evaluative and planning material regarding transportation technical aid aspects of the foreign aid program, including program purpose and concept, and decisions or conditions affecting the course of its conduct.**
AIR TRANSPORT	TRP 1	Correspondence, reports, and evaluative and planning material regarding air transport development; airline operation, maintenance, and safety; and air navigation systems and meteorological services of cooperating countries.
HIGHWAYS	TRP 2	Correspondence, reports, and evaluative and planning material regarding highways systems; the adequacy and quality of highway construction and maintenance; and motor transport systems in cooperating countries.
INLAND WATERWAYS	TRP 3	Correspondence, reports, and evaluative and planning material regarding inland waterways in cooperating countries.
PORTS AND HARBORS	TRP 4	Correspondence, reports, and evaluative and planning material regarding ports and harbors; handling of cargo, port storage and warehousing facilities; and dock facilities.
RAILROADS	TRP 5	Correspondence, reports, and evaluative and planning material regarding cooperating country railroads; their construction and maintenance; operation, and rail signal systems.
SHIP OPERATIONS	TRP 6	Correspondence, reports, and evaluative and planning material regarding operation of ships, sea navigational aids, and maritime facilities in cooperating countries. Includes reports of volume carried.

TRAVEL

Instructions: Policy, procedures, operations, and regulations regarding travel of Agency, participating agency and contract personnel and their dependents; movement of personal and household effects of such travelers; and Congressional and other travelers whose visit is concerned with, or of interest to, this Agency.

Subject Files	File Classification	Description of Records
TRAVEL	**GENERAL**	**General policy and procedural material regarding travel of Agency, participating agency, and contract.**
ALLOWANCES	TRV 1	Material furnishing information and interpretations of policy regarding monetary allowances for travel expenses, including per diem and mileage rates.
AUTHORIZATION	TRV 2	General correspondence and reports regarding travel authorizations (travel orders). File travel orders of individual travelers in employees' travel folder.
CARRIERS	TRV 3	Informational and procedural material regarding carriers, including services, rates, routes, and schedules. Includes air, ships, bus and rail carriers.
DEPENDENTS	TRV 4	Material regarding interpretation and explanation of policy, procedures, and operations governing travel of dependents, including advance home leave travel.
PASSPORTS	TRV 5	Passport files, including copies of completed forms used for application, issuances, renewal, etc., and related correspondence. Includes visas.
EFFECTS	TRV 6	Material regarding transport of effects, including interpretation or explanation of policy and procedures. Covers packing and crating, insurance, shipment, and storage and personal household effects, baggage and vehicles. Generally, material regarding effects of individual travelers is filed in employee's travel folder.
TRAVELERS	TRV 7	Name files (travel folders) consisting of passenger transportation records pertaining to reimbursement to individuals, copies of travel orders, per diem vouchers, travel requests, hotel and trip reservations, and other supporting papers regarding official travel of officers, employees, contract personnel, and dependents, including papers regarding shipment of automobiles, baggage, and effects. Arrange alphabetically by name of traveler.

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