Administrative Guidance on How to Close a USAID Operating Unit – Checklists

A Mandatory Reference for ADS Chapter 527

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I. General

This guidance must be applied when USAID Missions, field units designated as Offices of AID Representatives, or other USAID overseas Operating Units (collectively referred to as “USAID Missions” throughout this document) are to be closed. It should be noted that closure of an Operating Unit must be USAID/Washington-generated and briefed and approved by the interagency and the appropriate Congressional committees. Similarly, the appropriate host country entities should be notified and involved as necessary to help facilitate a smooth transition.

The guidance addresses the termination or the transfer of administrative duties to successor B/IOs or Missions. This guidance covers administrative, financial, and logistical close-out matters only and not programmatic close-out, which is addressed through close-out plans and guidance developed for program operations, Acquisition & Assistance activities, communications/outreach and related programmatic functions.

The guidance also should be used as a reference when Missions are downsizing significantly due to decreased funding levels and ending activities in whole sectors or areas of programmatic emphasis.

The closing out of a USAID Mission may or may not include closing out all U.S. assistance activities. The closing out of a USAID Mission can take place as a "normal" closing, an "immediate" closing, or an "emergency" closing, as follows:

a. A normal closing out usually will occur as a consequence of a joint agreement of understanding between the United States and the host country or a phased reduction/termination of funds to support the development program.

b. An immediate closing out occurs because of unusual circumstances and in most instances is the result of unilateral action on the part of either the United States Government or the cooperating country. This may call for the termination of assistance pursuant to the Foreign Assistance Act or other U.S. Government prohibitions. Whereas a normal close-out permits a relatively unhurried approach, in an immediate close-out situation, time may be severely limited.

This document addresses both normal and immediate closings.

c. An emergency closing out occurs because of critical conditions at Post such as war, civil disturbance, or natural disaster (see **ADS 530, Emergency Planning Overseas**).

II. Guidance for Using the Checklists

The purpose of the nine checklists below is to provide a list of administrative, financial,

and/or logistical actions that need to be completed when a determination has been made to close a USAID Mission. This guidance addresses administrative, financial, and logistical close-out matters only and not programmatic close-out. This guidance and the following administrative checklists should be consistent with and used in coordination with the close-out plans and guidance developed for program operations, Acquisition & Assistance activities, communications/outreach and related programmatic functions. USAID/W management responsibilities for a USAID Mission close-out may be assumed by a task force consisting of representatives of the Management Bureau and the respective Regional Bureaus.

These checklists apply to Mission Administrative Procedures only. They are to be used after 1) the determination has been made to close a USAID Mission, 2) the Mission Director has submitted recommendations for closing out assistance activities, and 3) the Regional Bureau of the close-out Mission has reviewed the Close-Out Plan (see section IV below).

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III. Mission Close-Out Plan

This guidance and the following checklists should be consistent with and used in conjunction with other pertinent close-out plans and guidance developed for program operations, Acquisition & Assistance activities, communications/outreach and related programmatic functions. Taken together, all of these documents represent the elements of the overall Mission Close-Out Plan.

Local currency trust funds (LCTF), if applicable, (**ADS 627, Local Currency Trust Fund Management**) must be included in the Close-Out Plan. The Mission must report

on the status of local currency accounts, including any USAID responsibilities for endowments, trust funds, and similar instruments and plans for winding them down or alternative proposals. While the Close-Out Plan must address TCN/CCN/FSN severance pay, Missions must research in advance local laws and customs regarding severance and the Post Local Compensation Plan (LCP) and confer with the Office of Human Capital and Talent Management (HCTM). LCTF is discussed further in the CFO/FM section below.

Operating Units must ensure that sufficient human resources are available to carry out the steps listed in this document. To this end, the following must be kept in mind when developing plans:

a. Experienced close-out staff. It is vital to retain staff with essential roles in implementing a close-out, particularly in the Executive Officer (EXO), Controller, and the Program Officer backstop areas. The Contracting Officer and the Resident Legal Officer (RLO) must be involved at an early stage and throughout the process in order to address contract and legal issues associated with the close-out.

b. TCN/CCN/FSN staff. Missions are strongly encouraged to assist local hire staff in seeking post-USAID employment, consistent with U.S. law and policy.

IV. Review of Mission Close-Out Plan

The administrative, financial, and logistical sections of the Close-Out Plan are reviewed in USAID/W. The cognizant Regional Bureau chairs the review, with the participation of the M Bureau, the appropriate Pillar Bureau(s), HCTM, and the Office of the General Counsel (GC). For all exit country strategies, the cognizant Regional Bureau must prepare an Action Memorandum summarizing the plan's salient features, as modified by the review, along with any outstanding issues, and submits it to the Coordinator for Overseas Restructuring (Assistant Administrator for the Bureau for Management (AA/M)) for approval.

V. Preparation of Mission Close-Out Plan

Upon approval of the Mission Close-Out Plan, the Mission Director oversees the preparation of an operational plan (see **ADS 527.5.c**) for closing out the Mission. The Mission Director's plan conforms with and implements the Mission Close-Out Plan and includes provisions covering:

a. The retention of sufficient and experienced close-out staff and the delegation of authority and assignment of specific responsibility to each to carry to completion the required close-out action, with respect to each assistance activity and in accordance with the plan and time schedule.

b. Estimates of the personnel, space, and funds required to complete the close-out, taking into account the reduction possible by each successive stage of the plan.

c. The timetable for phasing out, transferring, or terminating all employee/staff categories and the replacement of assistance from other resources.

d. Actions for terminating the services of cooperating country and third country national staff in accordance with the established RIF plan.

A. Personnel

The following checklist should not be viewed as a comprehensive, all-inclusive how-to-guide but is to be used in conjunction with the Mission-specific plan in ensuring that basic areas are covered. The close-out procedures must be adjusted as necessary to meet special activities and circumstances (for policy directives and required procedures see **ADS Series 400, Human Resources**).

On receipt of final USAID/W determination that the Mission is to close, the Mission Director should, unless otherwise instructed by USAID/W, inform all staff of the pending action. The following steps must be followed by a closing Mission:

For U.S. Direct-Hire Employees

1. Submit to HCTM and the Regional Bureau a tentative transfer schedule for each USDH employee.

Completed Date _____

2. Submit a list of all Participating Agency Service Agreement (PASA) employees to the Management Bureau's Office of Acquisition and Assistance (M/OAA) in USAID/W for referral to the parent agency for action.

Completed Date _____

3. Consult with HCTM on placement for employees and have each individual submit their Employee Bidding Form (EBF) to HCTM, if not already submitted as part of the normal reassignment process.

Completed Date _____

4. Request from HCTM authority to issue transfer travel authorizations, as appropriate.

Completed Date _____

For all non-U.S. Direct-Hire Staff

1. In consultation with HCTM and the Embassy Human Resources Office (HRO), conduct termination procedures in accordance with **AIDAR Appendix J** for those staff hired under AIDAR Appendix J and the approved local compensation plan, to include monitoring any outstanding issues for local pension plans. For staff hired under AIDAR Appendix D, begin termination procedures as outlined in Appendix D. For all other non-U.S. Direct-Hire staff, consult the pertinent regulations/agreements for the appropriate next steps.

Completed Date _____

2. The EXO should initiate discussions with Mission management, FSN Committee, and Embassy HRO on the Reduction-in-Force (RIF) Plan and its implementation.

Completed Date _____

3. Develop an RIF timeline with reference to Agency programmatic requirements, develop Retention Registers, and issue RIF letters to all affected staff.

Completed Date _____

4. Implement, in conjunction with USAID/Staff Care, an employee assistance program, and consult with all affected staff on an as-needed basis.

Completed Date _____

5. Provide maximum allowed practical assistance to all staff to secure new employment as appropriate.

Completed Date _____

B. M/CFO - Financial Management (FM)

The following checklist should not be viewed as a comprehensive, all-inclusive how-to-guide but must be used in conjunction with the Mission-specific plan in ensuring that basic areas are covered. The close-out procedures should be adjusted as necessary to meet special activities and circumstances (for policy directives and required procedures, see **ADS Series 600, Budget and Finance**).

This checklist outlines some general and some specific procedures for closing a Mission Controller Office and transferring the financial records and responsibilities to a regional center. There are no typical Missions when it comes to close-out.

The USAID/W approved Program Close-Out Plan and Schedule must be used as a working document in the orderly close down or transfer of financial activities at the

Mission. It is also important to consult the termination provisions of the bilateral agreement, project/activity agreements, trust fund agreements, contracts, grants, etc., to determine any special procedures that may be necessary.

The Bureau for Management, Office of the Chief Financial Officer (M/CFO) in Washington designates another Mission or office to ensure responsibility for residual and/or transferred Controller functions and advises other Missions of the close-out and the name of the Mission or office assuming residual financial functions. The action of designating another Mission must take place at the time of approval of the Program Close-Out Plan and Schedule.

Planning and Preparation

1. Has the Mission and the Deputy CFO (D/CFO) for Overseas Operations agreed upon successor Controller and accounting and payment stations? Has the D/CFO for overseas requested that the successors be noted in the cognizant Controllers list?

Completed Date _____

2. Has the Embassy Financial Management Officer (FMO) been provided contacts of successor cognizant Controller stations for follow up with outstanding financial management issues?

Completed Date _____

Audit Management (ADS 500 Series)

1. Have all open audit recommendations been followed up and reasonable attempts been made to close them prior to the close of the Mission, and if not, have plans been made to transfer them to the applicable Cognizant Controller office, both in CACS and hard copy files?

Completed Date _____

2. Has M/CFO/APC been notified of the successor Controller? Has M/CFO/APC granted the successor Controller access to the USAID audit tracking database (CACS) folders for the close-out Mission?

Completed Date _____

Pipeline Reviews (ADS 201, 602, 603, 621)

1. Have detailed listings of all unliquidated obligations been prepared and continually updated to assist in the final close-out?

Completed Date _____

2. Are there any special cash transfer dollar accounts with balances? What is the plan? (**ADS 350**)

Completed Date _____

3. Are there any remaining gifts and donations amounts not yet obligated and/or not yet disbursed? What is the plan? (**ADS 628**)

Completed Date _____

4. Have activity pipeline reports been issued to help identify slow-moving activities and funds to appropriate Mission officials?

Completed Date _____

5. Have steps been taken to ensure that the 1311 unliquidated obligation balance review includes participation of activity officers and communication with vendors and contractors?

Completed Date _____

6. Has the financial instructional guidance for close-out Missions provided in the Deobligation Guidebook (see **ADS 621**) and **ADS 302**/**303sat** Close-Out been applied? Has the activity portfolio been reviewed recently by Obligation Managers to identify potential deobligation amounts, in part or in total?

Completed Date _____

7. Have open commitments and unliquidated obligations been reviewed to ensure validity?

Completed Date _____

8. Has M/CFO/FS Financial Systems Phoenix Team been notified of the successor accounting and payment stations? Have access roles been updated in Phoenix by the Phoenix security access team?

Completed Date _____

9. Has the Phoenix Reporting Team been notified of the successor accounting and payment stations? Have the successor Controller/FM employees been granted access to the Mission Phoenix Viewer MAPPR? BOE? FSN payroll? Reports? (Other?)

Completed Date _____

10. Do distributed but not yet committed funds exist, and if so what is the plan to return them to the Bureau level in Phoenix?

Completed Date _____

Claims and Litigations

Have OFM and/or the RLO, as appropriate, made the necessary arrangements for continuing communications among local counsel, the Embassy, and USAID for payment of claims?

Completed Date _____

Property (ADS 500 Series & 629 PP&E & IUS)

1. Review the real property ledger and personal nonexpendable (NXP) ledgers for completeness. Are all the receiving and disposal reports being posted on a current basis? Has the M/CFO/CAR Central Accounting & Reporting team been contacted and informed on disposals and assets transfers?

Completed Date _____

2. Has a current reconciliation been made with the EXO records?

Completed Date _____

3. Has a physical inventory been taken and has the Survey Board been convened to take actions as a result of the physical inventory?

Completed Date _____

4. Review property disposals. Consider what items can be sent to other Missions; what should be transferred to the Embassy, and what approvals are required from USAID/Washington offices per ADS and FAM guidance on property disposal? If appropriate, is available Operating Expenses (OE) property sold by public auction to maximize return to the USAID property replacement account?

Completed Date _____

Reporting

1. Have monthly Treasury GWA and State 1221 Fund Balance reconciliations been transferred to the successor accounting station? Has the transfer of the Agency Location Code (ALC) been transferred by Treasury to the successor accounting station? Have eCART cash reconciliation roles been transferred to the successor accounting and payment stations? Have State SHIFTS disbursements/collections Agency Location

Codes (ALC's) been transferred to the successor accounting and payment stations?

Completed Date _____

2. Has M/CFO/CAR Cash Team been notified of the transfer to the successor accounting station? The Cash Team handles IPACs to Missions for DOS charges that appear on Washington 1221 reports and charges for interns in the Missions that are paid out of USDO Charleston.

Completed Date _____

3. Has M/CFO been notified of the successor accounting and payment stations? Has the successor accounting and payments station been granted records in Asist for the Mission?

Completed Date _____

4. Have GLAAS FM roles for accountants and financial analysts been transferred to the successor Controller staff?

Completed Date _____

5. Have the suspense account reconciliations for both FSN payroll and non-FSN payroll been transferred to the successor accounting and payment stations?

Completed Date _____

6. Have the Purchase Card and Centrally-Billed Travel Card Washington Coordinators in M/OAA and M/CFO/FPS been contacted and decisions been made to close-out and/or transfer the cards to successor Missions? Does the Mission currently have Declining Balance Cards (DBC) and if so what is the plan to close them out and return them to the Travel Card Coordinator in M/CFO/FPS?

Completed Date _____

7. Have any tailored Phoenix Viewer reports been made available (done via PHV option) to the successor Controller and accounting, payment and financial analyst staff?

Completed Date _____

8. Have the data call submissions for the previous and current fiscal year been forwarded to the successor accounting and payment/payroll stations? Data call information is also maintained by M/CFO/CAR.

Completed Date _____

9. If applicable, have the FSN/CCN Voluntary Separation/Severance Liability (72X8342) reports/data calls been forwarded to the successor accounting station? Has the successor accounting station been granted access to the Phoenix account? Where severance deposits exceed severance payouts, the balance should be retained for use for Mission within the same Bureau that also has a voluntary severance component in their LCP (see **ADS 628**).

Completed Date _____

Local Currency Trust Funds (LCTF), if applicable (ADS 627)

1. Has the Mission developed a budget for the OE trust fund to cover all obligations to be paid from these accounts and made plans to return any excess to the host government?

Completed Date _____

2. Has the Mission budgeted for program trust fund requirements during the close-out period?

Completed Date _____

3. Has the Mission corresponded with the host government about disposition of property funded with trust funds?

Completed Date _____

4. Are all costs being charged to trust funds allowable under the agreement? Is the Mission maximizing use of trust funds?

Completed Date _____

5. Are trust fund reports submitted in accordance with the trust fund agreement?

Completed Date _____

6. Have procedures been established to manage trust fund billings and collections?

Completed Date _____

7. Have LCTF bank reconciliations been forwarded to the successor Controller and accounting station?

Completed Date _____

8. Has the Local Currency Trust Fund bank account been transferred with the bank to

the successor Controller? Note: Should the account not be able to be transferred, then an immediate plan for closure of the account should occur and the funds transferred to the host government.

Completed Date _____

ICASS (ADS 520)

Has the Mission given the required six-month notice of withdrawal from the International Cooperative Administrative Support Services (ICASS) system? Has responsibility been assigned to review the ICASS agreements and workload counts? Have ILMS & Ariba accounts been closed or transferred to successor Missions?

Completed Date _____

ICASS Alternate Service Provider (ASP) Working Capital Fund (WCF) (ADS 635)

Does the Mission have a WCF? If so, what is the plan to pay or deobligate unliquidated obligation balances? Has M/CFO/CAR Funds Control been notified so that any residual balances in the account greater than $1,000 are returned to State via the transfer and apportionment process and then transferred by State back to the applicable country? Has M/MS/OMD ICASS contact been notified to ensure all ICASS-ASP rules for ASP closeout are properly followed?

Completed Date _____

Operating Expenses

1. Have USAID and State Embassy updated the housing pool tracker for the withdrawal of USDH and USPSCs? Are lease advance payments held to a minimum? Have any reductions in USAID positions been recorded and adjustments made in USAID participation in the ICASS Embassy Furniture, Appliance and Generator pools? Has the transfer of vehicle titles to State Embassy been completed if the vehicles have not been redistributed or disposed of in accordance with Agency guidance?

Completed Date _____

2. Are Living Quarters Allowances (LQA) and educational allowances provided in advance and if so, have employees submitted documentation to support the total amount provided?

Completed Date _____

3. Have the medical claim payments files for USDHs been transferred to the successor Controller and accounting station for follow up on the collection of refunds that USDHs receive from insurance companies on costs incurred and initially paid by USAID for

medical evacuations? Have employees been requested to file in a timely fashion?

Completed Date _____

4. Are salary, leave, severance, retirement and other final payments to USPSC, TCNPSC and FSN/CCN staff under the LCP covered under current-year OE and program budget allowances distributed to the Missions to be able to make final payments? If not, the Controller provided information on the shortfall to the Bureau Controller and/or relevant program funding office (both OE and program, and OFDA, OIG, etc.).

Completed Date _____

Advances (ADS 636, 308, 350)

1. Program advances: Are grants/cooperative advance balances outstanding (HG, PIO, and other grantees and some contractors) current? If not, has analysis and correspondence on overdue balances been forwarded to the successor Controller and accounting and payment stations for continued follow-up and resolution? If there are any legal or contractual issues related to overdue advance balances and/or bills for collections, has that info been included in the package and forwarded to the successor FM office?

Completed Date _____

2. Has all staff been informed in writing to file vouchers and liquidate all advances over 30 days old?

Completed Date _____

3. Are project officers being kept informed of the status of advances under their projects?

Completed Date _____

4. Are procedures in place to ensure the timely transfer of copies of collection documents from the cashier, whether it is ICASS or USAID, to ensure proper accounting treatment of repayment of advances?

Completed Date _____

5. Has the Mission reviewed or developed and communicated checkout procedures that preclude all staff from departing Post or terminating employment without clearing all outstanding advances (travel, salary etc.) and bills for collections with the Controller?

Completed Date _____

Accounts Receivable (including overdue advances) (ADS 636, 625)

1. Is the Mission system of control adequate to provide for prompt billings and timely collections of all amounts due to USAID? Is the collection of interest amounts due?

Completed Date _____

2. Does the Mission system allow for accurate and timely reporting of outstanding bills and advances?

Completed Date _____

3. Is due process clearly stated on each bill for collection – both formal AID Form xx or informal (non-AID Form xx can be a standard memo or email)?

Completed Date _____

Cashier Operations – Class B, Privatized Bank, State Petty Cash Funds (State FAM-FAH)

1. Has Class B Cashier, if applicable, been reconciled with Phoenix and U.S. Disbursing Office (USDO) and all balances now zero? Has the State Cashier Monitor issued a formal Class B Cashier closure cable to Charleston/Bangkok? Has a copy of the USDO closeout cable been sent to the Chief of Central Accounting and the Cash Team?

Completed Date _____

2. Has the privatized bank agreement, if applicable, been terminated and all reimbursements and monthly fees to the bank processed?

Completed Date _____

3. Have the DOS petty cash funds been reconciled and all transactions posted to Phoenix? Has the balance of the petty cash fund been returned to State Embassy Class B Cashier? If the petty cash accountability was established formally by cable (amounts => $10,000), has the USDO Cashier Monitor issued a formal cable to close the USAID subcashier petty cash fund?

Completed Date _____

4. Does the Mission have any 'cashier bank accounts'? Are they pass-through or checking? Have they been closed out? Has the close-out cable been received from the USDO Cashier Monitor? Have all transactions been posted to Phoenix and reconciled with Treasury? Has a copy of the USDO close-out cable been sent to the Chief of

Central Accounting and the Cash Team?

Completed Date _____

Voucher Processing and Prompt Pay (ADS 630)

1. Have contractors, grantees, other vendors and employees been advised of the transfer in payment station and been encouraged to submit invoices early in the month prior to the closure of the existing payment station (note: Prompt Pay allows for this in this situation) to ensure compliance with Prompt Pay rules during the transition?

Completed Date _____

2. Have employees been reminded to submit travel vouchers within five days of completion of trips and has every attempt been made to ensure all travel vouchers that are due are received audited and paid prior to the closeout of the Mission? Have E2 roles been transferred to the successor B/IO or Mission?

Completed Date _____

3. Have COR/AOR and other administrative approving officer roles been formally transferred in writing to the successor Mission when necessary?

Completed Date _____

4. Has the successor Mission payment station authorized certifying officer been granted access by the Phoenix security access team to now be able to certify the Mission's payments?

Completed Date _____

5. During the last month, have documentary files of all unpaid invoices, travel claims, contracts, etc. been assembled and prepared for shipment to the new accounting station?

Completed Date _____

Accruals (ADS 637)

1. Are accruals up to date and 100% complete and documented?

2. Have accrual records for the prior and current fiscal year been transferred to the successor Controller and accounting and financial analysis stations?

3. Are there any significant accrual issues? Are they documented? Have they been transferred to the successor Controller/FM station?

E2 Systems (ADS 522)

1. Have E2 accounts for employees departing USAID been reconciled and closed in E2?

Completed Date _____

2. For USDHs remaining with USAID and transferring to a new duty station, they will follow the standard USAID policies and procedures for transferring their account to the gaining station.

Completed Date _____

Payroll & Allowances – USDH

1. Have the Mission EXO and Controller approved the USAID AID Form 760-23 Projected Leave report completed by the employee? Does the projected leave on the 760-23 match leave requested in WebTA?

Completed Date _____

2. Have WebTA accounts been transferred to the successor timekeeper and supervisor?

Completed Date _____

3. Have employees been notified to which payment station to submit existing allowance claims and to submit earliest possible to ensure timely payment?

Completed Date _____

4. Have SF-1190 for allowances been updated for the various allowances (especially allowances such as separate maintenance allowance)?

Completed Date _____

5. Have employees been deactivated and/or transferred, if applicable, in the USAID Web-based COLA system?

Completed Date _____

Payroll & Allowances – USPSC (ADS 309)

1. Have WebTA accounts been marked ‘inactive’ and leave balance records been

saved and provided to the responsible CO for their files? What is the role of M/CFO/CMP **payroll@usaid.gov**?

Completed Date _____

2. Have employees been notified to which payment station to submit existing allowance claims and to submit earliest possible to ensure timely payment?

Completed Date _____

3. Have SF-1190 for allowances been updated for the various allowances (especially allowances such as separate maintenance allowance)?

Completed Date _____

4. Have employees been deactivated and/or transferred, if applicable, in the USAID Web-based COLA system?

Completed Date _____

5. Have unused annual leave balances been paid out if applicable and approved by the EXO?

Completed Date _____

6. Have contract terminations been issued and obligation balances in GLAAS/Phoenix been deobligated?

Completed Date _____

7. Has FM sent the contract terminations to M/CFO/CMP, **payroll@usaid.gov**?

Completed Date _____

8. Has M/CFO/CMP notified the USDA National Finance Center (NFC)?

Payroll & Allowances - TCN (non-LCP which are the majority currently at USAID)

1. Has USAID/El Salvador's Financial Management office been notified? Have WebTA accounts been marked 'inactive' and leave balance records been saved and provided to the EXO for their files?

Completed Date _____

2. Have employees been notified to which payment station to submit existing allowance claims and to submit earliest possible to ensure timely payment?

Completed Date _____

3. Have SF-1190 for Allowances been updated for the various allowances (especially allowances such as separate maintenance allowance)?

Completed Date _____

4. Have employees been deactivated and/or transferred, if applicable, in the USAID Web-based COLA system?

Completed Date _____

5. Have unused annual leave balances been paid out if applicable and approved by the EXO?

Completed Date _____

6. Have contract terminations been issued and obligation balances in GLAAS/Phoenix been deobligated?

Completed Date _____

7. Has FM sent the contract terminations to USAID/El Salvador FM for processing?

Completed Date _____

TCN/CCN/FSN Payroll & Allowances – TCN/CCN/FSN (Local Compensation Plan – LCP)

1. Have balances due to the staff or due from the staff to the USG for all advances, payouts, etc. been calculated, documented, approved by the EXO and Controller and appropriate cables been sent to State Charleston/Bangkok to terminate the employee in the State payroll system?

Completed Date _____

2. Have payout to staff for severance, RIF, retirement, etc. been calculated, documented and approved by the EXO and Controller? Have payments been made upon termination of the staff?

Completed Date _____

3. For the rare instance an FSN is under the CSR system (note: there are less than a dozen worldwide as of 2018 with USAID), has the HCTM FSN Unit been notified so that USAID can file the appropriate documents to OPM for processing?

Completed Date _____

4. Has the Embassy filed any final tax reports, if applicable, to the host government?

Completed Date _____

Host Country Owned Local Currency (HCOLC) Management (ADS 627)

1. Are timely audits being conducted of the special accounts and end uses when required and are plans in place to continue this monitoring/oversight function?

Completed Date _____

2. Have the responsible host country agencies charged with accounting and reporting on host country-owned local currency been notified of the new location to send the reports?

Completed Date _____

3. Are special accounts established and the responsible agency reporting to the Mission in accordance with the agreements?

Completed Date _____

4. Have the appropriate accounting records to verify amounts deposited, withdrawals, and balance on hand been compiled and prepared for forwarding to the new accounting station?

Completed Date _____

5. Review reporting to M/CFO via the U-205 Report. Is the report being prepared inclusive of all types of local currency activities and submitted in a timely manner?

Completed Date _____

Credit Programs – Sovereign Loans, Housing Guarantees, Host Government Loan Guarantees, Development Credit Authority Loan Guarantees

Has E3/DC, M/CFO/CAR & WFS Credit Team Members, as well as USAID's Paying Agent Midlands Loan Service (PNC-MLS), been contacted to plan for transfer of responsibilities for all types of credit instruments to the appropriate B/IO or Mission?

1. Are Mission loan memorandum records current and reconciled with the Bureau for Management, Office of Financial Management, Washington Financial Services Division (M/CFO/WFS) reports?

Completed Date _____

2. Are there any 620(q) or Brooke Amendment problems (related to loan delinquency)? If so, does the Mission have procedures in place to monitor the situation and/or to transfer the responsibility to the successor Mission? Has M/CFO/WFS been contacted?

Completed Date _____

3. Has the Controller communicated to the successor Mission the established liaison with appropriate staff in the Embassy to monitor host government debt?

Completed Date _____

4. Note: Host government semi-annual loan payments are wired to USAID's account at the Federal Reserve Bank of New York (FRBNY), hence Mission Controllers merely act as a liaison for the distribution of the semi-annual invoices and communication of any restructured loan agreements. In some Missions, however, local currency loans exist and host governments make semi-annual payments in local currency at the Embassy. Have the Controller and the successor Controller contacted M/CFO/WFS to ensure the closeout – transfer plan for sovereign loans with the host government and the required on-going communications is correct?

Completed Date _____

Credit Programs – Urban and Environment Housing Guarantees (UE-HG) (ADS 250, 623)

Are Mission Housing Guarantees memorandum records current and reconciled with the Bureau for Management, Office of Financial Management, Washington Financial Services Division (M/CFO/WFS) reports?

Completed Date _____

Credit Programs – Sovereign Loan Guarantees (ADS 623)

Are Mission Sovereign Loan Guarantees memorandum records current and reconciled with the Bureau for Management, Office of Financial Management, Washington Financial Services Division (M/CFO/WFS) reports? These are listed in USAID's annual Agency Financial Report (AFR).

Completed Date _____

Credit Programs – Development Credit Authority (DCA) Loan Guarantees (ADS 249, 623)

Has E3/DC and M/CFO/WFS been notified of the successor Mission and accounting station? Note: The accountants post loan guarantee obligations direct to Phoenix. Has the successor accounting station been granted access on the E3/DC Credit Management System (CMS) Web site to the Mission in order to download reports on subsidy obligations to reconcile with Phoenix?

Completed Date _____

Credit Programs – USAID's Paying Agent (ADS 623)

Has USAID Paying Agent, currently Midlands Loan Service (PNC Bank) been notified, via M/CFO/WFS of the successor accounting station for any loans, housing guarantees, and DCA guarantees so that they know to forward semi-annual invoices to the successor accounting station?

Completed Date _____

Transfer of Functions and Records and Memorandum from the Close-Out Mission to the Successor Controller and Accounting and Payment Stations

1. Have plans been made to transfer hard copy, if any, Mission Controller files to the new accounting and payment stations?

Completed Date _____

2. Have plans been made to transfer hard copy records in storage to secure USAID storage facilities?

Completed Date _____

3. Has a memorandum to the receiving Mission or office, plus a complete listing of all books, records, and files being transferred, with a copy to USAID/W, certifying the specific actions required and including the following verification statement, been prepared?

"I attest to the correctness and completeness of the books, files, and records being transferred from my responsibility to the USAID/_____Controller's responsibility. The financial management close-out procedures have been performed according to **ADS 527**, with the exception of the disclaimers and qualifications noted above."

Completed Date _____

4. Has the receiving Mission assisted in the smooth transfer of financial operations to avoid, to the extent possible, a disruption of service and reviewed the complete listing of all books, records, and files against items actually received to ascertain that no items are missing in transit?

Completed Date _____

5. Has the Mission notified M/MS/IRD, in advance, and received approval to transfer records eligible for shipment to USAID/W?

Completed Date _____

Miscellaneous

1. If the Mission operates a guest house, are operations scheduled to close and funds accounted for as early as possible before closing? (**ADS 526**)

Completed Date _____

2. Have addresses, phone numbers, or contacts for successor Mission employees been compiled and furnished to M/CFO?

Completed Date _____

C. Procurement and Supply

The following checklist should not be viewed as a comprehensive, all-inclusive how-to-guide, but must be used in conjunction with the Mission-specific plan in ensuring that basic areas are covered. The close-out procedures should be adjusted as necessary to meet special activities and circumstances (for policy directives and required procedures, see **ADS Series 300, Acquisition and Assistance**).

USAID Mission Responsibilities

1. Determine any small purchase supplies under close-out schedule.

Completed Date _____

2. Modify or terminate Mission acquisition and assistance instruments in order to ensure adequate but not excess commodities and/or services until the close-out date. Additionally, property disposition under each award should follow Agency guidance on property disposition.

Completed Date _____

3. Curtail all new procurement other than for minimum needs through the final close-out date.

Completed Date _____

4. Check and update award files for:

a. Open actions,

b. Claims,

c. Warranties and titles,

d. Inventory records,

e. Receiving and inspection reports, and

f. Disposition instructions for commodities and spare parts.

Completed Date _____

5. Determine disposition of procurement files.

Completed Date _____

6. Coordinate contract/grant audits with the Bureau for Management, Office of Procurement, Procurement Support, Contract Audit Management Division (M/OAA/ CAM).

Completed Date _____

7. Complete all contract close-out requirements, including technical office and Controller review prior to close-out certification by responsible Contracting Officer.

Completed Date _____

8. Transfer any residual actions and contract/grant administration.

Completed Date _____

9. CORs/AORs should ensure that their files conform to the Records Management guidance on the filing and retention of official records.

Completed Date _____

D. Property

The following checklist should not be viewed as a comprehensive guide, but must be used in conjunction with the Mission-specific plan in ensuring that basic areas are covered. The close-out procedures should be adjusted as necessary to meet special activities and circumstances (for policy directives and required procedures see **ADS**

534, Personal Property Management Overseas).

Personal Property

1. In consultation with the ICASS service provider, ensure that an inventory of all NXP personal property titled to USAID is conducted: issued/stored; program/administrative; appropriated/trust-funded; expendable/nonexpendable; property on loan; and contractor-procured property.

Completed Date _____

2. List quantity, description, and condition code (see **ADS 534.3.6** and **14 FAM 417**) of expendable and nonexpendable property separately by object class on Form AID 534-1, Personal Property Disposal Authorization and Report form, using separate forms for OE-, program-, and trust-funded property. Send forms to the Bureau for Management, Overseas Management Division (M/MS/OMD). Separate forms are also needed for Information Technology (IT) (see Redistribution Checklist in Checklist E below) and the Office of Security (SEC).

Completed Date _____

3. List vehicles on a separate Form AID 534-1.

Completed Date _____

4. Dispose of OE property in accordance with the order of priority described below (see **ADS 534.3** and **14 FAM 417.2, Disposal of Personal Property**).

In consultation with the ICASS service provider, ensure that all OE property is considered replacement property and is not to be designated "excess property." Because of our continuing OE shortages, OE-funded property is to be redistributed or sold. Grant-in-Aid, Project Contributions, or Donations are to be viewed as an exception warranting a strong justification and require prior M/OMD approval.

Completed Date _____

14 FAM 417.2 Disposal Methods
(CT: LOG-184; 01-29-2015)
(Uniform State/USAID/Commerce/Agriculture)

a. All property disposal actions, except for (b)(7) Grants, must be documented on Form DS-132, Property Disposal Authorization and Survey Report, for State or Form AID-534-1, Personal Property Disposal Authorization and Report, for USAID and be subjected to a formal disposal process. Separate reports are prepared for expendable and nonexpendable property.

b. There are eight acceptable methods of property disposal, and the disposal must be in the following order:

1) Redistribution to establishments within the parent agency;

2) State only: Transfer to commissary/mess/recreational facility;

3) Transfer the property for reuse by other U.S. federal agencies abroad;

4) Sale or exchange;

5) USAID only: Grant-in-aid or project contribution;

6) Donation;

7) State only: Return excess personal property to the U.S. for reuse by eligible recipients per 41 CFR-102-36.390;

Note: The U.S. Government has a Web site, the GSAXcess Web site for the reporting of all available excess property or exchange/sale property worldwide that may be used to ensure U.S. federal agencies and eligible individual state agencies for surplus property have access to information about the available property and to process transfer requests. Any Post may request a user ID and password to report and/or acquire excess property via the GSAXcess Web site. The request should be submitted, via email, to the Department of State's National Property Utilization Officer (Chief, Property Management Branch (A/LM/PMP/PM); or

8) Abandonment or destruction. (State only: Disposal by grant to further public diplomacy objectives in accordance with Property Grants and requirements for the disposal of Property through Federal Assistance Awards (GPD 30) issued by A/OPE).

c. In determining the method of disposition most beneficial to the U.S. Government, consideration must be given to the following:

1) Condition of the property;

2) New and present value;

3) Bona fide need at another Post abroad (taking into consideration the cost of storage, packing and shipping, and other related costs);

4) Local sales interest and value;

5) Other U.S. Government agency needs; and

6) USAID only: Host-government and project needs.

14 FAM 417.2-1 Redistributing Replacement Property
(CT: LOG-124; 05-16-2012)
(Uniform State/USAID/Commerce/Agriculture)

a. Redistribution to other Posts is the preferred method of disposing of replacement property. The property being redistributed must be in good condition and the cost of packing and shipping must be economically compatible with the cost of acquiring new property.

b. USAID only: If the PDO determines that property is appropriate for redistribution to nearby Posts, the PDO must notify USAID/W, M/MS/OMD, of this decision. M/MS/OMD will notify Posts within the geographical area, or worldwide, of the availability of property for redistribution and allow for a 15-day or earlier response, depending on the disposing Mission's urgency to remove the property. M/MS/OMD will notify the Missions selected to receive available property. USAID/W, M/MS/OMD, makes the final determination on competing requests for redistribution of property.

c. Redistribution will be made without reimbursement, except that the receiving Post must pay for packing, transportation, and any other costs incident to the transaction.

d. All redistribution actions must be documented.

Completed Date _____

5. Dispose of trust-funded property in accordance with the terms and conditions of the Trust Agreement or other documents of understanding. Generally, all personal property procured with trust funds will either revert to the cooperating government or be sold with proceeds turned over to the cooperating government.

Completed Date _____

6. Dispose of all property in the custody of contractors which is titled to USAID in accordance with the procedures set forth for OE property above.

Completed Date _____

7. Dispose of project-titled property in accordance with the terms and conditions of the project agreement.

Completed Date _____

8. Has the disposal of all security equipment been coordinated with SEC to ensure the

proper disposition instructions have been provided?

Completed Date _____

Various NXP Property Reports to be Completed for Submission to M/MS/OMD

(For policy directives and required procedures, see **ADS 534**).

NXP Property Reports

Form AID 534-1. Property Disposed of During FY.

Completed Date _____

Motor Vehicle Reports

Send the following reports to M/MS/OMD:

1. AID 5-197, Motor Vehicle Record. Information on all vehicle disposal actions must be provided to M/MS/OMD to update Agency records.

Completed Date _____

2. Annual Mission Motor Vehicle Inventory. Forward a memorandum to M/OMD with a complete description of method of disposal, whether redistribution to another Mission, transfer to another USG agency, sold, or abandoned. If sold, indicate the amount of proceeds less any commissions or sales expenses. If sold for scrap, specify the amount received. If abandonment is applicable, provide full explanation as to why. The memo must contain a statement that all vehicle transactions have been entered into the FM Web Tool.

If all actions are not completed by the closing date, please provide contact name of individual handling the final vehicles' disposition.

Completed Date _____

3. The Federal Automotive Statistical Tool (FAST) worksheet must be completed up to the date of disposal of the last vehicle (include with memo described above). A copy of the FAST worksheet can be obtained from the FAST Web site **http://fastweb.inel.gov/**.

Completed Date _____

4. The Consolidated Omnibus Budget reconciliation (COBRA) Report. Operating costs for OE vehicles must include all costs up to the disposal date for each vehicle. A copy of the COBRA report format can be obtained from M/OMD.

Completed Date _____

Motor Vehicle Record Folder

The sending Mission must ensure that the complete Motor Vehicle Record File is forwarded to the receiving Mission to which the vehicle was redistributed.

Completed Date _____

USAID Mission Director Residence

1. Representational Items. As early as possible, provide a detailed list of all representational items (glassware, flatware, hollowware, china) including pattern, condition, quantity, as well as availability date to M/MS/OMD.

Completed Date _____

2. Inventory. Send a memorandum to M/MS/OMD stating the disposition of all property sold or redistributed, including all property disposal documentation copies. The memo must include certification that the Director's inventory has been zeroed.

Completed Date _____

E. Information Technology (IT) Equipment

The following checklist should not be viewed as a comprehensive, all-inclusive how-to-guide but must be used in conjunction with the Mission-specific plan in ensuring that basic areas are covered. The close-out procedures should be adjusted as necessary to meet special activities and circumstances.

Due to the time-sensitive value of IT equipment, the following checklist is being provided to expedite redistribution of IT equipment, software, and supplies to where they are most critically needed.

The Agency goal, and one of the primary reasons for the development of detailed Mission operational and program close-out plans, is to ensure efficient and timely disposal of all property (real and personal, including IT non-expendable (NXP) and IT expendable (EXP)) by the closing date of each Mission. To meet this goal, priority must be given to preparation of an NXP inventory of items available for redistribution, sale, or transfer. This is especially important for IT NXP as this will affect receiving Missions' ability to handle additional workload and requires advance planning.

Please note that the designation for NXP is not "excess property" (it may not be needed by a particular Mission, but is a continuing need of the Agency), but rather "replacement property." Replacement property means such property is routinely replaced on conclusion of the property life cycle. Proceeds from the sale of replacement property are

returned to USAID and are used for property acquisition in the following fiscal year. In accordance with **ADS 534**, M/MS/OMD is responsible for the redistribution of all Agency property including IT equipment. However, due to the highly technical nature of IT equipment, M/CIO will determine what items must be transferred. M/CIO must be included on all correspondence regarding the disposal or transfer of IT equipment.

The following checklist is to be used for the disposal or redistribution of IT equipment.

1. Inventory

Executive Officers in coordination with System Managers:

a. Prepare an inventory of all IT equipment to be transferred, sold, or divided between re-deployable and non-re-deployable equipment. The inventory must be prepared with a complete description of both hardware and software and sent to M/CIO. M/CIO will review and provide guidance and recommendations regarding the method of disposal, i.e., redistribution, sale, project contribution, grant-in-aid, or donation. A complete description of the item must be provided and when items will be available for redistribution.

Completed Date _____

b. Transmit completed list to M/CIO and copy M/MS/OMD and also include it in the Close-Out Plan in the case of closing Missions.

Completed Date _____

c. Once M/CIO has determined where items will be transferred and notified EXOs or other designated individuals at both the sending and receiving Missions, the EXO at the closing Post is to arrange and confirm all necessary shipping arrangements, and promptly complete all required documentation/deletion from property records.

Completed Date _____

d. The receiving Mission is to provide funding for packing and shipping charges and for completing required receipt documentation and adding equipment to Mission inventory.

Completed Date _____

2. Re-deployable IT Equipment

Re-deployable IT equipment includes core equipment and current Agency standard equipment. M/CIO will provide instructions to ensure hard drives are reformatted to remove all OS and application software.

EXOs in coordination with System Managers or other individuals as appropriate must:

a. Redistribute IT equipment as a complete package, and only in accordance with M/CIO/ITO instructions. All redistributed equipment must be updated in the Agency IT Asset Inventory.

Completed Date _____

b. Transmit to M/CIO with a copy to M/MS/OMD all disposal documentation (AID 534-1).

Completed Date _____

3. Non-Re-deployable IT Equipment

Non-re-deployable IT equipment is equipment that is no longer required by the Agency and will be disposed of in accordance with M/CIO instructions by EXOs in coordination with System Managers or other individuals as appropriate. Note: M/CIO/ITO must approve the sale/auction of any Agency IT asset.

a. Sell items that are not current Agency standard to other USG agencies at Post at fair market value. Trade-ins can also be affected locally as long as all local laws, taxes, duties, or bilateral agreements are respected.

Completed Date _____

b. Dispose of IT equipment per guidance from M/CIO.

Completed Date _____

c. Destroy old and obsolete versions of software.

Completed Date _____

4. CIO Closeout IT Operation Planning

Submit an M/CIO Service Desk Ticket (**cio-helpdesk@usaid.gov**) with a Mission move or off -boarding notification. Ticket outlines all Mission POCs for request (SM, IT Specialists): **Responsibility**: EXO.

Completed Date _____

M/CIO will respond to the ticket with contacts for: the Network Services Mission Coordinator, Asset Management Coordinator, Warehouse point of contact and other relevant M/CIO support teams if necessary: **Responsibility**: M/CIO/ITO.

Completed Date _____

Contact the Mission EXO identified directly to discuss the requirements and schedule for AIDNet deactivation (details below): **Responsibility**: M/CIO Network Services Mission Coordinator.

Completed Date _____

Coordinate E2 Trips Archival.

Completed Date _____

Notify Phoenix Security Team to handle Phoenix Account administration: **Responsibility**: EXO.

Completed Date _____

Notify GLAAS Account Administration team to deactivate sign-in rights: **Responsibility**: EXO & Mission GLAAS POC.

Completed Date _____

Ensure all Mission data and servers are backed up in Washington: **Responsibility**: EXO, ISC.

Completed Date _____

Delete Mission mailboxes and distribution lists (inclusive of Exchange server).

Completed Date _____

Shut down domain controllers and demote back to a member server. Disassemble the following servers and remove from AD and DNS: Application, SQL, Patch Server, Nessus/IP360, SCCM, and ePO.

For a comprehensive list of M/CIO Server Close-out Operations tasks, click **here**.
A complete description of the item must be provided, to include quantity, general condition and when items will be available for redistribution: **Responsibility**: EXO.

Completed Date _____

Prepare a detailed **Asset Inventory Information sheet** of all IT equipment to be

transferred, sold, or divided between re-deployable and non-re-deployable equipment. The inventory must be prepared with a complete description of both hardware and software, and sent to M/CIO Asset Management for confirmation of disposal (e.g., redistribution, sale, project contribution, grant-in-aid, or donation). **Responsibility**: EXO.

Completed Date _____

Determine where each item will be transferred and notify the appropriate EXOs or other designated individuals at both the sending and receiving Missions or the Lorton Warehouse. Determine which devices need to be shipped back whole and which devices can be disassembled to return hard drive only: **Responsibility**: M/CIO Asset Management.

Completed Date _____

Send the **Equipment Disposal Procedures** to the Mission EXO and Systems Managers: **Responsibility**: EXO.

Completed Date _____

Prepare equipment for shipping wherever applicable. Ensure that the **Asset Inventory Information spreadsheet** is updated to accurately reflect what is being returned to USAID/W: **Responsibility**: EXO.

Completed Date _____

Release all IT licenses (Microsoft Office): **Responsibility**: M/CIO Release Management.

Completed Date _____

Stop service on secondary networks (DTSPO, VSAT): **Responsibility**: M/CIO Network Services Mission Coordinator.

Completed Date _____

Review terms of ISP Contract and cancel it.
Note: Depending on the contract, the length of notice for termination could vary considerably from Mission to Mission. Please take this into account: **Responsibility**: EXO.

Completed Date _____

O&M staff will assist in removing any configurations from devices and in removing

devices from the network, as necessary. Removal of Mission subnets from SCCM, ePO, Tripwire/Nessus: **Responsibility**: M/CIO/ITO.

Completed Date _____

Make updates, as necessary, to:
AIDNet SSP
Network Topology Diagrams
Mission Contact Lists/NECS: **Responsibility**: M/CIO/ITO.

Completed Date _____

For disposal by grant-in-aid or project contribution, obtain M/CIO's written concurrence and provide strong justification from the Mission. It is inconsistent with appropriation regulations to augment one type of appropriation by another. If redistributed to a project, the proceeds from the final sale of the NXP are not returned to USAID but to the host country. **Responsibility**: EXO & M/CIO.

Completed Date _____

F. Real Property Close-Out

The following checklist should not be viewed as a comprehensive guide but must be used in conjunction with the Mission-specific plan in ensuring that basic areas are covered. The close-out procedures should be adjusted as necessary to meet special activities and circumstances (for policy directives and required procedures see **ADS 535**).

Leased Property

Consult with the ICASS service provider to limit or eliminate any Agency liability for early termination of leases. Most overseas leases differ from those we are used to in the U.S. They are what we call a "net lease," meaning we lease the premises in a given condition and are responsible for returning them in the same condition. In most cases, this is what is called a "rentable condition," i.e., painted, cleaned, and ready for the next tenant to move into. In addition, most leases give us authority to make alterations provided that we get written permission from the landlord. In cases where a lease has a restoration clause, negotiating the restoration issue can be very tricky business. Before entering such negotiations, it is recommended that the ICASS service provider (M/MS/OMD for USAID leases) ensure that:

- The USG is not responsible for restoring damage to leased property not caused by the USG or its agents, such as natural disaster, earthquake, war, civil disturbance, fire (not the fault of the U.S. or one of its employees) or other casualty.

- In most instances it is easier and cheaper for the USG to negotiate a cash settlement rather than effecting restoration. However, this too can be a valuable negotiating tool. Most landlords want cash settlements and will agree to smaller settlements if we threaten to contract out the work rather than pay cash.

1. With the objective of closing the lease portfolio with a minimum of disruption to Mission operations, consult with the ICASS service provider to develop a list of all USAID-funded leased property and ensure each lease is appropriately terminated.

Completed Date _____

2. Ensure that all advance rent payments are taken into account when closing out the leases. Payments not actually refunded can be applied against the restoration settlement or other payments that might be due the landlord as a result of the lease termination.

Completed Date _____

3. Ensure that all agreements to terminate leases are documented with a termination and acquittance document executed by both parties to the lease.

Completed Date _____

4. M/MS/OMD will assist in identifying experienced EXOs who are able to assist Missions with all matters associated with the disposition of USAID property.

Completed Date _____

5. All USAID lease files active at the time the decision to close the Mission was rendered must be shipped back to M/MS/OMD via registered pouch. Please include copies of all termination letters, as well as termination and acquittance documents.

Completed Date _____

Owned Property

1. Submit to M/MS/OMD a list of all U.S. Government-owned properties with their estimated current market value, and give an assessment of the local real estate market along with your recommendations for disposal.

Completed Date _____

2. After reviewing **15 FAM 500 "Real Property Disposal Abroad"** which applies to disposal of USG owned, capital lease, and Trust Funded properties, **15 FAM 520 "Methods of Disposal and Processing of Proceeds"**, and **15 FAM 530 "Procedures for Disposal of Real Property"**, organize the sale of those properties designated for disposal in consultation with M/MS/OMD and your Resident Legal Officer (RLO). Conduct the sales and document them with copies of all contracts and other pertinent documents, issued for the proceeds of sale. All sales proceeds from properties originally purchased with OE funds must be deposited to Treasury Account 72 X 4175. When completed, the sales files must be forwarded to M/OMS.

Completed Date _____

Various Real Property Reports to be Completed for Submission to M/MS/OMD

For policy directives and required procedures see **ADS 535**.

USAID-Leased Property (Short- & Long-term, Functional and Residential Space)

1. In consultation with the ICASS service provider, send a memo to M/MS/OMD listing all terminated USAID-funded leases (including short- and long-term and functional and residential), specifying lease numbers and dates (in lieu of using form U-450).

Completed Date _____

2. Obtain M/MS/OMD approval to sign termination agreements on functional space leases; ensure executed Termination and Acquittance Agreements are included in all lease files. Please ensure that all Termination and Acquittance Agreements include the additional provision that all financial obligations under the lease have been fully met by USAID. For further guidance, contact M/MS/OMD Real Property section.

Completed Date _____

3. Forward all lease files for both functional space and residential property to M/MS/OMD, including copies of the Office of Financial Management payment vouchers, especially for final payment, and mail via registered official pouch to the attention of M/MS/OMD.

Completed Date _____

Real Property (USG-Owned)

Sale or transfer of USG-owned real property must be coordinated as early as possible with M/MS/OMD. All real property original documents and complete files must be forwarded to M/MS/OMD.

Completed Date _____

G. Records Management

The following checklist should not be viewed as comprehensive, but rather, an illustrative how-to-guide that must be used in conjunction with the Mission-specific plan in ensuring that basic areas are covered. The close-out procedures should be adjusted as necessary to meet special activities and circumstances (for records management policy directives and required procedures see **ADS 502, The USAID Records Management Program**).

1. Conduct Records Inventory

a. Identify "active" records by using the Records and Inventory Disposition Plan also known as the "file plan". Records can be paper or hard copy.

Completed Date _____

b. Identify "inactive" records – those records where the business activity has ended and are in the Mission possession. Records can be paper or hard copy. Note: Paper records are typically stored in the warehouse.

Completed Date _____

2. Organize Records

a. Label records according to guidance provided in **ADS 502.3.3.9**.

Completed Date _____

3. Disposition Records

Disposition is the instruction on what to do with records when no longer needed for Agency business and the required retention period has ended. There are three types of dispositions: 1) destruction, 2) retirement, or 3) transfer.

- Destruction is the authorized physical destruction of record material itself, or the removal of information content. Records may not be destroyed without the existence of an approved disposition authority (i.e., USAID Disposition Schedule or General Records Schedule).

- Retirement is the transfer of inactive records to an approved off-site storage facility.

- Transfer involves a change of custody from one organization or agency to another. Records may be transferred to another office as a result of reorganization or change in functions.

A. <u>Destruction:</u>

a. Destroy/delete all non-record material.

Completed Date _____

b. Separate the records into record groups dictated by the disposition (i.e., consolidate records that share the same disposition).

Completed Date _____

c. Identify records that have met their retention and are eligible for destruction/deletion.

Completed Date _____

d. Destroy/delete records that have met their retention. Important note: Before destroying records, contact the Bureau for Management/Office of Management Services/Information & Records Division (M/MS/IRD) via the Records Inquiry Mailbox (**recordsinquiry@usaid.gov**) and request a Destruction Memo which will guide you in documenting the records that will be destroyed.

Completed Date _____

B. <u>Retirement:</u>

a. Identify records eligible for retirement according to an authorized disposition authority.

Completed Date _____

b. Pack paper records that share a disposition into record shipping boxes. Note: There are specific boxes that must be used when retiring files that are white with measurements of 14 ¾ x 12 x 9 ½.

You can estimate the number of boxes that will be needed using the chart below:

File Cabinet Measurements

Cabinet/Drawer Type	Equivalent # of Cubic Feet
One full letter size file drawer	1 cu.ft.
One full legal size file drawer	1 ½ cu.ft.
One full lateral file drawer	2 ½ cu.ft.

***Note:** One retirement box = 1 cu.ft.

Completed Date _____

c. Burn electronic records onto CDs/DVDs according to disposition (i.e., records on a CD/DVD should only share one disposition). Note: Mission users should not store Agency data on endpoint devices or on any local Mission level servers other than the core servers that are already automatically backed up to the USAID Enterprise Data Center. Records that are stored on Agency cloud services (e.g., Google or Huddle) are also backed up automatically.

Completed Date _____

d. Provide a shelf list* with paper record contents contained in record shipping boxes and send to Records Inquiry Mailbox (**recordsinquiry@usaid.gov**) for approval. Contact the Records Inquiry Mailbox for retirement Standard Operating Procedures (SOPs) if required.

Completed Date _____

e. Provide a shelf list* with electronic record contents contained on the CD/DVD and send to the Records Inquiry Mailbox (**recordsinquiry@usaid.gov**) for approval. Contact the Records Inquiry Mailbox for retirement Standard Operating Procedures (SOPs) if required.

Completed Date _____

*A shelf list is an itemization of the records contained in the box and/or CD/DVD.

f. Obtain approval from M/MS/IRD via **recordsinquiry@usaid.gov** before shipping.

Completed Date _____

g. Follow shipping instructions issued by M/MS/IRD.

Completed Date _____

C. <u>Transfer</u>

a. Consult with appropriate personnel to determine if selected records held by the closing Mission will be needed by other Missions, the U.S. Embassy, or other organizations assuming USAID residual functions.

Completed Date _____

b. Advise the Agency Records Officer (ARO) of the intent to transfer records to another USAID Mission or other U.S. Government agency and obtain approval for the transfer of records. Note: No official files may be transferred without the approval of the ARO. Submit a memorandum to include the following:

1. A copy of the shelf lists documenting all records pending transfer to other Missions, agencies, offices, etc.

Completed Date _____

2. Explain why the records should be transferred to other agencies, offices, or Missions (i.e., business purpose).

Completed Date _____

3. Notify the point of contact (POC) at receiving location of probable dates and volume of record(s) to be transferred.

Completed Date _____

4. Send records for transfer and request confirmation.

Completed Date _____

H. Participant Training

The following checklist should not be viewed as a comprehensive, all-inclusive how-to-guide but must be used in conjunction with the Mission-specific plan in ensuring that basic areas are covered. The close-out procedures should be adjusted as necessary to meet special activities and circumstances (for policy directives and required procedures see **ADS 253, Participant Training for Capacity Development**).

A review will be made of the following activities prior to the close-out, and the phased

close-out or extension of training activities must be planned and arranged to include both USAID's bilateral training program for the country (sending participants to the United States and third countries), and USAID's third country training program for participants from neighboring countries.

Bilateral Program for the Closing-Out USAID Mission Financing

1. Dollar Funds. Where necessary, dollar funds must be included to cover the costs of concluding essential third country and U.S. training which might not otherwise be met, including "pipeline" cases. These provisions must be covered in the Mission's training or close-out agreement with the recipient country.

Completed Date _____

2. Local Currencies. In the pre-close-out period, consideration should be given to provision of local currencies for use over a transitional period following the close-out in that country for training the country's own nationals, as well as incoming participants from other countries in a region.

Completed Date _____

3. Partially Financed Training. Training resources and program development and arrangements through USAID/W or a contractor in the U.S. and in third countries can be made available for partially financed training after the close-out. These provisions should be included in a specific training agreement or in the closing agreement.

Completed Date _____

Selection Procedures and Regional/Centrally Funded Training Grants

The host country should be encouraged to establish procedures to ensure continued quality selection of participants for regionally or centrally funded training when the training is USAID-financed.

Follow-up of Returned Participants

Interest in the participant's development does not end when he/she returns home. Follow up support, whenever feasible, should be explored with the Embassy prior to the close-out date. The following activities should be reviewed:

a. Technical Materials. Establish a means for the receipt of professional publications and technical journals and magazines or newsletters written by and for returned participants.

Completed Date _____

b. U.S. Cultural Presentations. Provide for the inclusion of returned participants in cultural and other activities sponsored by the U.S. and of benefit to the host country.

Completed Date _____

Regional Use of Resources in the Country

The Office of Education in the Bureau for Economic Growth, Education and Environment (E3/ED) recommends actions to be taken to provide for the continuance of this program to countries that usually send participants to the closing-out country. Sending countries may utilize host country services or contract with a local organization in the training country to backstop its participants. The Mission must also send to E3/ED and the regional Bureau the following data report:

a. The Bilateral Training Program. A list of those in training in the U.S. or third countries and those selected for future fully-funded training programs, which are in the pipeline.

Completed Date _____

b. The Third Country Training Program. A list of those now in the country in training, or those who are in process but who have not yet arrived.

Completed Date _____

Post Close-Out Assistance

E3 also informs the Embassy of the close-out of USAID's training program.

Completed Date _____

I. Missions without an Executive Officer

The following checklist should not be viewed as comprehensive but must be used in conjunction with the Mission-specific plan in ensuring that basic areas are covered. The close-out procedures should be adjusted as necessary to meet special activities and circumstances.

For a Mission without an incumbent EXO, TDY support should be requested for 5-10 workdays or more, depending on the ability of the Embassy or other administrative support unit to fulfill close-out duties.

The specific objective of this TDY is to finalize and implement an RIF plan, as approved by HCTM, ensure termination of ICASS services and service contracts, and prepare a personal and real property close-out plan in line with the checklists addressing property; disposal/redistribution of IT equipment; real property close-out; and records management (Checklists D, E, F and G).

1. The TDY EXO should initiate discussions with Mission management, FSN Committee, and Embassy HRO on RIF Plan and its implementation.

Completed Date _____

a. Develop Retention Registers and issue RIF letters to all affected employees.

Completed Date _____

b. Implement employee assistance program, and consult with all affected staff on an as-needed basis.

Completed Date _____

2. Ensure ICASS services withdrawal, in consultation with M/MS/OMD, and ensure termination of all service contracts.

Completed Date _____

3. USAID-owned property:

a. Complete an assessment of the condition of personal property, and make recommendations as to priority of items for disposal and priority of recipients.

Completed Date _____

b. Initiate disposal of Agency-owned NXP and EXP.

Completed Date _____

Completed Date _____

4. A second TDY assignment by a USAID/W EXO, consisting of four to eight weeks, may be recommended if necessary during final close-out to help the Embassy or Post EXO implement the administrative portion of the close-out plan. The TDY may be scheduled to commence after most USAID staff have departed Post and to ensure ICASS service provider and/or remaining USAID staff are able to complete remaining RIF actions and complete final USAID property disposals without further assistance.

Completed Date _____

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