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USAID Washington Disposition Schedule Chapter 1: Records Common to Most Offices

A Mandatory Reference for ADS Chapter 502

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USAID WASHINGTON DISPOSITION SCHEDULE

CHAPTER 1 RECORDS COMMON TO MOST OFFICES – These records are cutoff annually, by fiscal year, unless stated otherwise.

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
01010	<p><u>Office General Administrative Files</u></p> <p><u>Office Administrative Files</u> - Records accumulated by individual offices that relate to the internal administration or housekeeping activities of the office, rather than the functions for which the office exists. In general, these records relate to the office staffing, organization, procedures, and communications; the expenditure of funds, including budget papers; day-to-day administration of office personnel, including training and travel; supplies and office services and equipment requests and receipts; and the use of office space and utilities. They may also include copies of internal activity and workload reports (including work progress, statistical, and narrative reports prepared in the office and forwarded to higher levels) and other materials that do not serve as official documentation of the programs of the office.</p> <p>NOTE: This item is not applicable to the record copies of organizational charts, functional statements, and related records that document the essential organization, staffing, and procedures of the Agency.</p> <p><u>Chronological Files</u> - Files of extra copies of cables, letters, memoranda, etc., maintained for ease of reference in chronological order, by serial number, or by date of issuance.</p> <p>a. <u>Cable or Telegram File</u> - Files consisting of copies of incoming and outgoing telegraphic communications. Files are normally maintained by serial number by point of origin and are kept, for the most part, as a source of easy reference. These records should be <u>cutoff annually, on a calendar year basis</u>.</p>	<p>Temporary. Destroy when 2 yrs. old. (GRS 23, Item 1)</p>
01020	<p>1) <u>USAID/Washington Communications Center Master File</u> – The master file of all telegraphic correspondence sent or received by the Agency. In addition to being a reference point for the Communications Center message analysts, this file also receives considerable use for investigations, background studies, and research.</p>	<p>Temporary. Transfer to WNRC 3 months after cutoff. Destroy when 7 yrs. old. (NC 1 286-82-2-Item 1A)</p>
01030	<p>2) <u>Other Offices</u> - Files maintained in the individual offices of the Agency's Washington headquarters as "easy reference" files.</p> <p>b. <u>Correspondence Files</u> - Files consisting of extra copies of letters, memoranda, and other montelegraphic communications media. Files are normally maintained by date of issuance and are kept, for the most part, as "easy reference" files.</p>	<p>Temporary. Retain in active office files. Destroy when 1 yr. old or sooner if no longer needed for reference. (NC 1 286-82-2 Item 1 B)</p>
01040	<p>1) <u>Files maintained by or for the immediate offices</u> of the following Agency executives: the Administrator, Deputy Administrator, Assistant Administrators, and the Directors of <u>Offices that report directly to the Administrator</u>.</p>	<p>Temporary. Retain in active office files. Destroy when 1 yr. old or sooner, if no longer needed for reference.</p>
01050	<p>2) <u>Files maintained by other offices.</u></p>	<p>Temporary. Retain in active office files. Destroy when 1 yr.</p>

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		old or sooner if no longer needed for reference. (NC 1 286-82-2 Item, 2A)
01060	Employee Travel Files - Correspondence copies of travel, authorizations, vouchers, itineraries, and other papers pertaining to employee travel, exclusive of records maintained in the Office of Financial Management.	Temporary. Destroy when 6 yrs. old. (GRS 9, Item 3.a.)
01070	Office Personnel Files - Folders on employees consisting of correspondence, memoranda, forms, copies of position descriptions, requests for personnel action, and other records on individual employees duplicated in or not appropriate for the Official Personnel Folder.	Temporary. Review annually and destroy superseded or obsolete documents; or destroy all documents relating to an individual employee 1 yr. after separation or transfer. (GRS 1, Item 18 a.)
01080	Transitory Files - Papers of short-term interest which have no documentary or evidential value and normally need not be kept more than 180 days. Examples of transitory correspondence are shown below: a. Request for Information or Publications - Routine requests for information or publications which require no administrative action, no policy decisions, and no special complications or research for reply, such as requests for publications or other printed material. b. Letters of Transmittal - Letters of transmittal that do not add any information to that contained in the transmitted material. c. Quasi-Official Notices - Memoranda and other papers that do not serve as the basis of official actions, such as notices of holidays, charity, and welfare fund appeals, bond campaigns, and similar papers.	Temporary. Destroy immediately, or when no longer needed for reference, or under a predetermined schedule or business rule (i.e., implementing the auto-delete feature of "live" electronic mail systems). (GRS 23, Item 7)
01090	Technical Reference Files - Copies of documents retained strictly for reference and informational purposes and which are not part of the official files. Includes extra copies of project material, copies of reports, studies, special compilations of data, drawings, periodicals, books, clippings, extra (nonrecord) copies of "policy and precedent" files, brochures, catalogs, vendor price lists, and publications prepared internally and externally.	Temporary. Review at end of fiscal year and destroy material of no further reference value.
01100	General Subject Correspondence Files – Letters, memoranda, studies, reports, forms, and other data documenting and/or implementing plans, policies procedures, accomplishments, opinions, and decisions pertaining to USAID program and staff activities, with related indexes and finding aids. Arranged by subject/name/country, as appropriate. a. Program Correspondence Files Maintained at High Organizational Levels - Subject, name, or country files maintained by or for the immediate offices of the following Agency executives: the Administrator, Deputy Administrator, the Assistant Administrators, and the Directors of Offices that report directly to the Administrator or his Deputy and that are filed centrally or in decentralized locations.	Permanent. Hold in office for 2 yrs., then retire to WNRC. Offer to NARA in 5 yr. blocks when the most recent record is 10 yrs. old. (i.e., in 1987 offer 1973-1977 records)
01110	b. Program Correspondence Files of Country Desk Offices in the Geographic Bureaus - Files documenting the operations in USAIDs and reflecting their problems and accomplishments.	Temporary. Hold in office for 2 yrs., then retire to WNRC. Destroy 10 yrs. after cutoff.

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01120	c. <u>All other Program Correspondence Files in USAID/W Offices</u>	Temporary. Hold in office for 2 yrs., then retire to WNRC. Destroy 10 yrs. after cutoff.
01130	<p><u>Budget Records</u></p> <p><u>Annual Budget Submission Files</u> - Annual budget submission by each overseas post and each USAID/W organizational entity. Includes instructions, assumptions, and guidelines for preparation; the budget request itself; supporting papers; and related information.</p> <p>a. <u>PPC's printed record copy</u> of annual budget submissions of overseas posts and USAID/W Bureaus and Staff Offices.</p>	Permanent. Hold in office for 5 yrs. after cut off, then retire to WNRC. Offer to NARA in 5 yr blocks when most recent record is 10 yrs. old. (i.e., in 1987 offer 1973-1977 records)
01140	b. <u>PPC budget background files</u> containing justifications, amounts requested and supporting papers.	Temporary. Hold in office for 1 yr., then transfer to offsite storage. Destroy 5 yrs. after cut off.
01150	c. <u>Files of all USAID/W components</u> , except PPC's, consisting of guidelines on annual budget preparation and preliminary budget estimates, supporting papers, cost estimates, rough drafts, and data accumulated in preparation of annual budget estimates, including duplicates of papers included in overseas posts' final budget estimate files.	Temporary. Destroy 3 yrs. after close of fiscal yr. covered by the budget.
01160	<p><u>Congressional Presentation</u> – Records relating to the development and preparation of the agency's request to Congress.</p> <p>a. <u>Office of Legislative and Public Affairs record</u> copy of the printed Congressional Presentation and one copy of each congressional notification.</p>	Permanent. Hold in office for 2 yrs., then retire to WNRC. Offer to NARA in 5 yr. blocks when most recent record is 10 yrs. old.
01170	b. <u>Files documenting the preparation of the detailed Agency budget request</u> to Congress, including supplementary schedules, exhibits, etc. The files contain documents used in Congressional budget presentations, providing, by years, the U.S. assistance, subdivided by major programs.	Temporary. Hold in office for one yr. Then transfer to WNRC. Destroy 5 yrs. after cutoff.
01180	c. <u>All other copies</u> of congressional presentations and notifications.	Temporary. Destroy when no longer needed.
	<u>Project Assistance Records</u> - Records relating to the AID Development Assistance Program. Assistance is provided in the form of loans and grants for improving the quality of life of people in less developed countries through programs in agriculture, rural development, nutrition, family planning, health, education and human	

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	resources, energy, private industry development, and science and technology.	
	<p><u>Development Assistance Project File</u> - Case files on technical and capital assistance development projects, consisting of studies, surveys, project identification documents, project papers, copies of loan and grant agreements and amendments, project implementation orders, implementation letters, contracts, audits, report and evaluations, and other related records and correspondence. These files document the initial concept, the approved design, the progress and problems of implementation, and the successes and/or failures of the individual project.</p>	
01190	a. <u>Original silver master microfilm and silver duplicate.</u>	<p>Permanent. Review automated index to project database annually and indicate closed projects. Transfer the microfiche with following images to NARA in 5 yr. blocks when most recent record is 2 yrs. old: All pre-PID documents, project paper or equivalent core official correspondence and all reports.</p>
01200	b. <u>Computerized index to project.</u>	<p>Permanent. Transfer pertinent portion of index in ASCII or (EBCDIC) format to magnetic tape. Offer magnetic tape with all necessary documentation to NARA with corresponding project records.</p>
01210	c. <u>All other silver master and silver duplicates.</u>	<p>Temporary. Destroy 2 yrs. after cut off.</p>
01220	d. <u>Bureau master diazo file.</u>	<p>Temporary. Destroy 4 yrs. after termination of project or when no longer needed, whichever is sooner.</p>
01230	e. <u>Project officer diazo working file.</u>	<p>Temporary. Destroy upon termination of project.</p>
01240	f. <u>Original paper copies of microfilm project records.</u>	<p>Temporary. Transfer original paper records to offsite storage</p>

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01250	<p>g. <u>Closed project files that are not microfiched.</u></p> <p>1) <u>PRE-PID documents</u>, project paper or equivalent core official documents and all reports.</p>	<p>upon verification of film. Destroy 2 yrs. after transfer.</p> <p>Permanent. Review automated index to project database and indicate closed projects. Transfer to NARA when 5 yrs. old.</p>
01251	<p>2) <u>All other records.</u></p>	<p>Temporary. Destroy at time of closeout.</p>
01260	<p>h. <u>Reference copies</u> of project documents maintained in various Agency offices.</p>	<p>Temporary. Destroy upon termination of the project.</p>
01270	<p><u>Project Plan and Engineering Files Copies</u> of engineering plans and related material pertaining to individual projects.</p>	<p>Temporary. Destroy in accordance with 01190 and 01200 above.</p>
01280	<p><u>Technical Project Feasibility Studies</u> – Copies of studies, reports, and related correspondence pertaining to proposed projects which do not develop into projects. (If project is approved, materials are filed in project file.)</p>	<p>Temporary. Hold in office for 1 yr. Then transfer to offsite storage. Destroy when 5 yrs old.</p>
01300	<p><u>Bureau Project Evaluation Files</u> – Documents pertaining to plans, evaluations, and reports on Mission (USAIDs) and Bureau activities in project planning and evaluation. This material duplicates information in project files.</p>	<p>Temporary. Cut off files when closed. Destroy when 3 yrs. old.</p>
01310	<p><u>Non-Project Assistance Records</u> – These records include grants and loans for program assistance in selected countries of special political interest to the United States. Recipients purchase goods and services from U.S. institutions and firms under existing Public Laws. Cash transfers and sector assistance are also provided as non-project assistance.</p>	<p>Temporary. Cut off after loan has been fully repaid (maximum of 40 yrs.) Destroy 1 yr. After cut off.</p>
01310	<p><u>Program (non-project) Procurement Files</u> - Case files of grants and loan agreements on cash transfer or commodity import activities consisting of such records as agreements, implementation letters, action memos, program assistance papers, and related documents and correspondence pertaining to program assistance transactions.</p> <p><u>Other General Files</u></p>	<p>Temporary. Cut off after loan has been fully repaid (maximum of 40 yrs.) Destroy 1 yr. After cut off.</p>
01320	<p><u>Schedules of Daily Activities</u> – Calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and activities of Federal employees.</p> <p>a. <u>Records containing substantive information</u> relating to the official activities of high-level officials, the substance of which <u>has been incorporated into</u> memoranda, reports, correspondence, or <u>other records included in official USAID files</u>. High-level officials include the Administrator, Deputy Administrator, the Assistant Administrators, and the Directors of Offices that report directly to the</p>	<p>Temporary. Cut off at end of calendar year. Destroy when 1 yr. old or sooner if no longer needed for reference.</p>

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01330	<p>Administrator or his Deputy, and staff assistants to these aforementioned officials, such as special assistants, confidential assistants, and administrative assistants.</p> <p>b. <u>Records of other than high-level Agency employees</u> as defined in a. above <u>containing substantive information relating to official activities</u>, the substance of which <u>has not been incorporated into official files</u>.</p>	<p>Temporary. Destroy or delete when 2 years old. (GRS 23, Item 5.a.)</p>
01340	<p>c. <u>Routine materials containing no substantive information</u> regarding the daily activities of other than high-level officials as defined in a. above; <u>records of all Federal employees containing substantive information, the substance of which has been incorporated into official files</u>; and <u>personal records of all Federal employees relating the nonofficial activities</u>.</p>	<p>Temporary. Destroy or delete when no longer needed for convenience of reference. (GRS 23, Item 5.b.)</p>
01350	<p><u>Research Studies Files</u> – Social and Economic Studies files prepared by USAID staff or by outside contractors (individuals or institutions), including periodic progress reports, correspondence, and final reports.</p> <p>a. <u>Final reports</u> of studies not described elsewhere in this schedule.</p>	<p>Permanent. Retire to WNRC. Transfer to NARA in 5 yr. blocks when most recent report is 10 yrs. old.</p>
01360	<p>b. <u>Back-up material</u> which includes copies of progress reports and correspondence.</p>	<p>Temporary. Cut off after final report is submitted. Destroy 3 yrs. after cut off.</p>
01370	<p>c. <u>Reference copies</u> of reports.</p>	<p>Temporary. Destroy when no longer needed for reference.</p>
01380	<p><u>Audit Report Files – Copies of</u> Inspector General and General Accounting Office <u>audit reports</u> and relating correspondence maintained by individual offices where audits occurred.</p>	<p>Temporary. Destroy 1 yr. after all audit exceptions noted in reports have been resolved.</p>
01390	<p><u>Publications File</u></p> <p>a. <u>Record copies of publications</u> maintained by the office responsible for the publication. These consist of books, pamphlets, booklets, formal reports and papers, studies, etc. prepared by or for the Agency.</p> <p>1) <u>In-house publications</u></p>	<p>Permanent. Retire to WNRC when 3 yrs. old. Offer to NARA in 5 yr. blocks when most recent record is 10 yrs. old (i.e., in 1987 offer 10973-77 records).</p>
01400	<p>2) <u>Publications prepared under grants and contracts</u></p>	<p>Permanent. Retire to WNRC when 3 yrs. old. Offer to NARA in 5 yr. blocks when most recent record is 10 yrs. old.</p>

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01410	b. <u>Reference copies of publications.</u>	Temporary. Review annually. Destroy material when no longer needed for reference.
GRS 23, Item 10	<p><u>Electronic Mail (E-mail) and Word Processing (WP) System Copies</u> - Electronic copies of records that are created on E-mail and WP systems and used solely to generate a recordkeeping copy of the records described in this chapter. Also includes electronic copies of records created on E-mail and WP systems that are maintained for updating, revision, or dissemination.</p> <p>a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal e-mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.</p> <p>b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.</p>	<p>Temporary. Destroy or delete with 180 days after the recordkeeping copy has been produced.</p> <p>Temporary. Destroy or delete when dissemination, revision, or updating is completed.</p>